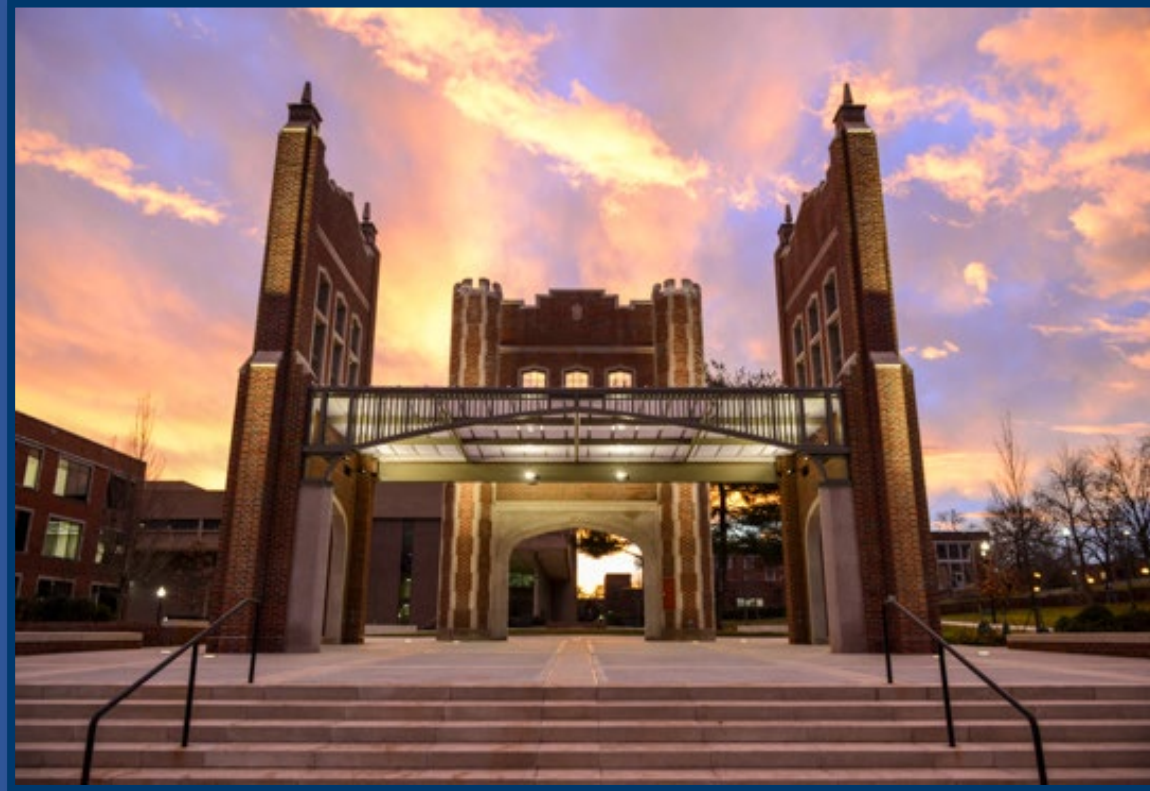


UTC Office of Research and Sponsored Programs (ORSP)



Research Orientation
March 4, 2022

Session Overview

- ORSP Overview
- Finding and Assessing Funding Opportunities
- Proposal Preparation and Budgeting Considerations
- Steps for Success
- Key Compliance Issues (ORI)

ORSP Overview

UTC Office of Research and Sponsored Programs (ORSP)

- Mission: *ORSP seeks to promote scholarship, research, creative activities, and engagement by encouraging and providing comprehensive support to faculty and staff in the pursuit of sponsored programs.*
- Location:
 - 109 Race Hall
 - utc.edu/orsp

UTC Office of Research and Sponsored Programs (ORSP)

Who we are:



Meredith Perry
Assistant Vice Chancellor
for Research
Meredith-Perry@utc.edu

Angie Morelock
Assistant Director
Angie-Morelock@utc.edu

Terri Bearbower
Research Office Manager
Terri-Bearbower@utc.edu

Todd Doman
Grant Specialist
Todd-Doman@utc.edu

Sam Stanley
Grant Specialist
Sam-Stanley@utc.edu

Ashley Ledford
Research Development and
Award Specialist
Ashley-Ledford@utc.edu

*ORSP staff members are currently working hybrid schedules. Email is the best way to get in touch with us

Why Grants?

- Create opportunities for students and enrich the learning environment
- Competitive funding builds credibility
- Protect time for research
- Build your case for promotion and tenure
- Grant awards draw attention to your department (NSF CAREER, REU, etc.)

ORSP services – Pre-award*

- Resources & help getting started – assistance in finding funding opportunities (PIVOT, etc.), sample funded proposals, application guidelines, timelines, checklists, templates, and “tip” sheets for specific agencies
- Budget development
- External review & critique prior to submission
- Assistance with the coordination of collaborative efforts (connect with partners, participate in team meetings, etc.)

*with sufficient lead time

ORSP services – Proposal Review and Submission

- Compliance Review* – covers agency/sponsor requirements, UT fiscal policy, budget review, research compliance considerations, etc.
- Cayuse routing for internal approval – 5 business days prior to submission
- Submission - Help complete agency forms and submit the proposal to the funding agency

*With sufficient lead time

ORSP services – Award & Post-award

- Negotiate research-related contracts and agreements – including industry sponsored research contracts, MOUs, non-disclosure agreements, click-through agreements, licensing agreements, etc.

Do not sign these! Only the VCR is authorized to sign.

- Award-intake processing
- Award orientation & mid-term emails
- Account requests (all post-award financial services handled by Accounting Services)
- Just-In-Time Requests
- Subaward Origination & Execution
- Other post-award actions (personnel changes, sponsor-required budget revisions, no-cost extensions, etc.)

Finding Funding and Assessing Funding Announcements

Where to find funding opportunities



The screenshot shows the Pivot website interface. At the top left is the Pivot logo. At the top right are links for "Log in", "Sign up", and "Get Started". The main content area is divided into three sections, each with an icon and a list of bullet points:

- FUNDING OPPORTUNITIES**
 - Comprehensive global source of funding opportunities
 - Billions of dollars in funding and growing
- PRE-POPULATED SCHOLAR PROFILES**
 - Your institution's profiles matched against funding opportunities
 - Find collaborators from among 3 million profiles worldwide
- COLLABORATIVE WORK FLOW**
 - Connects research development professionals and faculty
 - Cultivate essential partnerships and alliances

The background of the screenshot shows three people in a laboratory setting looking at a laptop screen.

- Pivot – UTC’s subscription-based funding database

- Staff-assisted searches

- Individual consultations & strategic funding plans

- Sign up for updates by sponsor and/or keyword

<https://new.utc.edu/research/research-and-sponsored-programs/pivot-tutorial>

Other Funding Opportunities

- Grants.gov
- Federal agencies – NSF, NIH, DoD, DOE, DOT
- Philanthropy News Digest
- Internal Grant Competitions
 - Limited Submission Competitions - InfoReady

Assessing Funding Opportunities

- Eligibility – What types of organizations are eligible? Who can serve as a PI?
- Limitations - Are there limits to number of proposals per institution? Per person?
- What are the sponsor's priorities? Is the research a good fit?
- Deadline – Does the PI have enough time to develop a competitive proposal?
- Budget – What is the budget limit? Are there any restrictions? Cost share requirements?
- Awards – Look at prior awards to assess how many awards will be made and to what types of organizations

Assessing Funding Opportunities

- Are there any special instructions or requirements?
- Supplemental documents/ items from collaborators – Letters of commitment, budgets, quotes, etc. Do you have enough time to gather all of these items?
- Look for bold, italics and language like “strongly encouraged”
- Contact information – How can you contact the program officer? Is there a generic email address to direct questions to? Is there a limited timeframe of when questions can be submitted?
- What are the review criteria?

Assessing Funding Opportunities

Who is eligible to serve as a PI and are there any limitations?

Who May Serve as PI:

The PI must be in a senior academic administrative role, at the level of Dean or higher, at the Lead (defined in Section II: Program Description) institution.

Each Partner (defined in Section II: Program Description) institution must identify a senior academic administrator at the level of Dean or higher to be included as Senior Personnel.

Limit on Number of Proposals per Organization: 1

Organizations only may be a participant (Lead or Partner) in one proposal per deadline identified in this solicitation.

New Partner Institutions may only be named in one such supplemental funding request per deadline.

Limit on Number of Proposals per PI or co-PI: 1

An Individual may be PI, co-PI, or Senior Personnel of only one NSF I-Corps Hub proposal per deadline identified in this solicitation.

When are proposals due? Is a preliminary proposal or LOI required?

FOA Issue Date:	02/09/2022
Submission Deadline for Letter of Intent:	02/28/2022 5:00pm ET
Submission Deadline for Full Applications:	03/21/2022 5:00pm ET
Expected Date for EERE Selection Notifications:	05/24/2022
Expected Timeframe for Award Negotiations:	June 2022 - July 2022

Due at 5pm? Might be earlier!

5. Deadline for Applications	2:00 p.m.	February 25, 2022
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How many awards will be made?

III. AWARD INFORMATION

NSF plans to make approximately one Institute award in each of themes 1-5, and one award to each of the two tracks listed in theme 6. Institute awards will be made for between \$16,000,000 and \$20,000,000 for four to five years (\$4,000,000 per year on average). Proposals outside this range may be returned without review. Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

Proposal Preparation and Budget Considerations

Proposal Preparation Basics

- Begin working on your proposal well in advance of the deadline and let ORSP know you're working on it
- Reach out to the program officer (PO) to ensure your project is a good fit and aligns with funding priorities
- Review previously funded proposals and look at prior awards
- Assemble your team –internal to UTC and external partners
- Be realistic, but ambitious
- Allow time for proofreading and editing

Proposal Preparation Basics

- What do you want to do and why?
- How much will it cost and how long will it take?
- Does your proposed project relate to the sponsor's priorities? How?
- How will your project be impactful to: you, your students, your field, the community, the state, etc.?
- What has already been done in the area of your project? What are the knowledge gaps?
- How do you plan to do it?
- How will the results be evaluated or analyzed?
- Why are you (and not someone else) the best person to do this project?

Budget Basics

- Work with ORSP to develop your budget early in the process– budgets may go through multiple iterations!
- Align budget and narrative – remember, the budget is the financial representation of your project
- Be as accurate as possible (use actual rates, quotes, prior expenses, accurate F&A rate)
- Request what you need – reviewers do look at budgets to make sure they're reasonable
 - Avoid under-budgeting, padding the budget, excessive personnel, etc.
- ORSP can also help draft a budget justification outline for you

Budget Basics

- Typical budget categories include:
 - Personnel time and fringes (faculty and staff, postdocs, TBH, graduate assistants, hourly graduate students, undergrads)
 - Travel, materials & supplies, equipment (per unit cost >\$5,000)
 - Participant support costs
 - Other direct costs (subawards, publication costs, etc.)
 - Indirect costs - UTC's current federally negotiated rate is 37.5% of modified total direct costs
- Some funders require proof of every budget line item
- Most funders have their own budget form which can be simple or complex (a breakdown by person, month, task, etc.)
- Funding opportunities might only request a budget figure
 - It's still a good idea to develop an internal budget so if you're funded, you know that you requested enough to do the project

Additional Budget Considerations

- Familiarize yourself with [UT fiscal policies](#)
 - Ex. When all summer pay – including teaching and grant pay – is combined, the total cannot exceed 33 1/3% of the faculty member's academic-year salary.
- Refer to [ORSP's budget page](#) for:
 - Budget Development Guidance
 - Subaward, Consultant, or Vendor guidance
- Cost share
 - We do not include voluntary cost-share. This is only included if required by the sponsor
- Make sure you obtain approvals early (cost share, release time, etc.) and keep your department heads in the loop

Other Considerations

- Refer all awards and any type of research-related agreement to ORSP. Never, ever sign any kind of document from a sponsor or partner.
 - Angie-Morelock@utc.edu is your ORSP point of contact for contract questions
- Project implementation, expenditure management, & report submissions can impact current & future awards (for you & others)!

Steps to Success

Building Capacity & Increasing Knowledge

- Establish expertise – publish and participate in conferences
- Collaborate and network - cultivate relationships with POs/representatives , potential collaborators
- Create a Pivot profile and become familiar with grant opportunities in your field / area of interest
- Review sample funded proposals (For some programs, ORSP can request these)
- Serve on review panels
- Attend sponsored programs related workshops & trainings

Tips & Tricks

- Reach out to ORSP early – the earlier we know about a proposal, the more assistance we can provide
- Allow sufficient time – especially for high volume deadlines (CAREER, TDOT, etc.)
- DO sweat the “small stuff” – biosketches, data management plan, etc. These are critical
- Make sure you’re using the sponsor’s current grant proposal guide
 - NSF’s biosketch recently increased from 2 pages to 3
 - NIH’s application package was updated in January 2022
- If you’re not successful on your first try, revise and resubmit. (Discuss proposal with program officer, incorporate feedback into resubmission, obtain an external reviewer, etc.)

Key Compliance Issues

UTC Office of Research Integrity (ORI)

Mission: To ensure that research conducted at UTC is in compliance with university, state, and federal regulations

Location: 109 Race Hall

utc.edu/research/research-integrity

Staff: David Deardorff – Interim Director
Alexa McClellan – Assistant Director
Baley Whary – IRB Coordinator (part-time)

Human Research – irb@utc.edu

**Human
Research –
Institutional
Review Board**

Research involving collection of information from living individuals, such as:

- Surveys to assess pedagogical approaches
- Surveys of program participants (e.g., NSF REU)
- Analyses of “big data” from human beings

Export Control – eco@utc.edu

**Research with
Controlled
Technology—
[Export Control](#)**

- Exports are the transfer of anything, anywhere, by any means, to a foreign individual or entity, regardless of their location
- Some exports are controlled by the U.S. government for reasons of national security
- Penalties can include prison sentences and fines exceeding \$1 million per violation

Export Control – eco@utc.edu

**Research with
Controlled
Technology—
[Export Control](#)**

Examples of exports:

- Shipping or traveling with controlled items to foreign countries
- Sharing controlled information/materials with foreign entities via e-mails, phone calls, speaking engagements, consulting
- “Deemed exports” —providing foreign nationals in the U.S. with unauthorized access to controlled items

Visiting Researchers – eco@utc.edu



Visitors
Engaged in
Research

Access to UTC research facilities by people not employed by or enrolled at a UT system institution requires:

- Sponsorship
- Defined period of access
- Background check
- Compliance review
- Intellectual Property Agreement

Biohazards – ibc@utc.edu

**Biohazards–
Institutional
Biosafety
Committee
[PENDING]**

Research/educational activities involving:

- Recombinant or synthetic nucleic acid molecules
- Select biological agents and toxins
- Bloodborne pathogens
- Hazardous chemicals
- Novel nanoparticles conjugated to biologically active or cell-modifying molecules

Animals – iacuc@utc.edu

**Animal
Research –
Institutional
Animal Care
and Use
Committee**

- Research and educational activities involving vertebrate animals
- Laboratory or field studies

Responsible & Ethical Conduct of Research – rcr@utc.edu



Responsible
and Ethical
Conduct of
Research

Training and education to help ensure integrity in research and strengthen public trust

Required by:

- National Science Foundation
- USDA – NIFA
- National Institutes of Health – training grants

Strongly encouraged for anyone who mentors or conducts research

Research Misconduct Investigations



Research
Misconduct

UT Policy and Procedures on
Responsible Conduct in Research and
Scholarly Activities (RE0001):

“Research Misconduct means intentional, knowing, or reckless fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or reporting research results, which constitutes a significant departure from accepted practices of the relevant research community.”

Questions?