

# UTC RESEARCH AND SPONSORED PROGRAMS NEW FACULTY GUIDE

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## OVERVIEW

The Office of Research and Sponsored Programs (ORSP) is UTC's centralized office for research administration, providing pre- and post-award support to the entire campus. ORSP is the only unit authorized to submit proposals to sponsors and intake awards for sponsored activities. If you are requesting or receiving funding to carry out a specific project or activity, please contact UTC's Research Administration Team in ORSP as soon as possible so we can assist.

We look forward to working with you! Learn more about ORSP by visiting <https://www.utc.edu/orsp> or stop by our office suite at **109 Race Hall** to say hello.

### Who We Are

#### ASSISTANT VICE CHANCELLOR FOR RESEARCH

The Assistant Vice Chancellor of Research oversees ORSP and supports the strategic direction for the Research Division.

- ❖ **Meredith Perry**, *Assistant Vice Chancellor for Research*, [Meredith-Perry@utc.edu](mailto:Meredith-Perry@utc.edu)
- ❖ **Terri Bearbower**, *ORSP Research Office Manager*, [Terri-Bearbower@utc.edu](mailto:Terri-Bearbower@utc.edu)



#### PRE-AWARD SERVICES TEAM

The Pre-Award Services team supports faculty and staff in building capacity for research and preparing proposals for external funding.

- ❖ **Ashley Ledford**, *Director of Pre-Award Services*, [Ashley-Ledford@utc.edu](mailto:Ashley-Ledford@utc.edu)
- ❖ **Todd Moore-Doman**, *Grant Specialist*, [Todd-Moore-Doman@utc.edu](mailto:Todd-Moore-Doman@utc.edu)
- ❖ **Lindsey Nabors**, *Pre-Award Coordinator*, [Lindsey-Nabors@utc.edu](mailto:Lindsey-Nabors@utc.edu)

#### AWARD SERVICES TEAM

The Award Services team supports faculty and staff receiving external funding by processing awards and research-related contracts and facilitating post-award actions requiring prior sponsor approval.

- ❖ **Angie Morelock**, *Director of Award Services*, [Angie-Morelock@utc.edu](mailto:Angie-Morelock@utc.edu)
- ❖ **David Veazey**, *Award and Contract Specialist*, [David-Veazey@utc.edu](mailto:David-Veazey@utc.edu)

### How We Help

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.

#### Pre-Award Services

- Research Development
- Proposal Development
- Budget Preparation
- Compliance Review
- Submission Support
- Just-In-Time Requests

Learn more on our [Pre-Award Services](#) page.

#### Award Services

- Award Intake
- Award or Equipment / Material Transfers
- Research-Related Contracts
- Subaward Origination
- Account Set-Up Requests
- Sponsor Prior Approvals

Learn more on our [Award Services](#) page.

## UTC'S RESEARCH ADMINISTRATION COMMUNITY

### Accounting Services

207 Race Hall

<https://www.utc.edu/finance-and-administration/accounting-services>

Accounting Services handles all accounting functions at UTC. For sponsored projects, Accounting Services sets up the account, oversees post-award expenditure compliance, and assists with financial reporting to sponsors. The day-to-day budgeting and expenditures of a sponsored project is the responsibility of the PI and the PI's departmental administrative assistant.

Contacts:

- ❖ Virginia Moore, *Director*, [Virginia-Moore@utc.edu](mailto:Virginia-Moore@utc.edu)
- ❖ Nikki Ellis, *Assistant Director*, [Nikki-Ellis@utc.edu](mailto:Nikki-Ellis@utc.edu)
- ❖ Christine Malone, *Staff Accountant*, [Christine-Malone@utc.edu](mailto:Christine-Malone@utc.edu)
- ❖ Stacey Malecky, *Staff Accountant*, [Stacey-Malecky@utc.edu](mailto:Stacey-Malecky@utc.edu)

### Office of Research Integrity

109 Race Hall

<https://www.utc.edu/research/research-integrity>

The Office of Research Integrity (ORI) oversees research involving human beings, animals, biological hazards, and technology and information that is regulated by the U.S. government for reasons of national security. ORI also promotes the responsible and ethical conduct of research, manages the policy on visitors engaged in research at UTC, and investigates allegations of research misconduct.

Contacts:

- ❖ Dr. Cheryl Murphy, *Director*, [Cheryl-Murphy@utc.edu](mailto:Cheryl-Murphy@utc.edu)
- ❖ Alexa McClellan, *Assistant Director*, [Alexa-McClellan@utc.edu](mailto:Alexa-McClellan@utc.edu)
- ❖ Baley Whary, *IRB Coordinator*, [Baley-Whary@utc.edu](mailto:Baley-Whary@utc.edu)
- ❖ Human Subjects: [irb@utc.edu](mailto:irb@utc.edu)
- ❖ Vertebrate Animal Research: [iacuc@utc.edu](mailto:iacuc@utc.edu)
- ❖ Research Security & Export Control: [eco@utc.edu](mailto:eco@utc.edu)
- ❖ Biohazardous Materials: [ibc@utc.edu](mailto:ibc@utc.edu)

### Office of Undergraduate Research and Creative Endeavors

102A Race Hall

<https://www.utc.edu/research/undergraduate-research-and-creative-endeavor>

The Office for Undergraduate Research and Creative Endeavor (URaCE) broadens undergraduate research experiences for all students regardless of background, discipline, or year of study. URaCE currently operates 6 domestic and international research and internship programs for undergraduate students; hosts a Spring Research and Arts Conference, a fall research conference, and discovery learning seminars; and manages the SEARCH awards program, which supports UTC student and faculty collaborative research.

Contacts:

- ❖ Lisa Piazza, *Executive Director*, [Lisa-Piazza@utc.edu](mailto:Lisa-Piazza@utc.edu)
- ❖ Caitlin Kelly, *Program Administrator*, [Caitlin-B-Kelley@utc.edu](mailto:Caitlin-B-Kelley@utc.edu)

## The Graduate School

103 Race Hall

<https://www.utc.edu/research/graduate-school>

The Graduate School is the centralized office for managing graduate programs across campus. The office administers the graduate assistantship program and reviews all graduate curriculum proposals through the Graduate Council.

### Contacts:

- ❖ Dr. Ethan Carver, *Associate Dean*, [Ethan-Carver@utc.edu](mailto:Ethan-Carver@utc.edu)
- ❖ Bonny Clark, *Program Liaison: Engineering, Nursing, Data Analytics, Computational Sciences*, [Bonny-Clark@utc.edu](mailto:Bonny-Clark@utc.edu)
- ❖ Jessica Dickerson, *Program Liaison: Athletic Training, Public Health, Computer Science, English, Environmental Science, Math, Public Administration, Non Degree, Psychology, Criminal Justice*, [Jessica-Dickerson@utc.edu](mailto:Jessica-Dickerson@utc.edu)
- ❖ Mark Fairchild, *Program Liaison: Counseling, Education, Learning and Leadership, Physical Therapy, Occupational Therapy, School Leadership, School Psychology, Social Work*, [Mark-Fairchild@utc.edu](mailto:Mark-Fairchild@utc.edu)

## UTC RESEARCH CENTERS & RESOURCES

### UTC Research Institute

<https://www.utc.edu/research/research-institute>

The UTC Research Institute is intended to bolster UTC's focus on building cross-disciplinary teams and catalyzing partnerships to establish enduring programs of excellence to address challenges that can't be solved using a single-discipline approach. Two of the Research Institute's main focus areas are **transportation** (intelligent transportation systems, electric vehicle and battery technologies, social factors, automation, multimodal systems, policy and planning, cyber security, privacy, infrastructure, etc.) and **quantum technologies** (quantum computing, quantum sensing and quantum networks). The UTC Research Institute houses the Center for Urban Informatics and Progress (CUIP) and the Center for Excellence in Applied Computational Science and Engineering (CEACSE) and manages a collection of state-of-the-art research facilities.

**Contact:** Dr. Mina Sartipi, *Executive Director*, [Mina-Sartipi@utc.edu](mailto:Mina-Sartipi@utc.edu)

### CENTER FOR URBAN INFORMATICS AND PROGRESS

The Center for Urban Informatics and Progress (CUIP) is a smart city and urbanization research center. Using the power of big data, artificial intelligence, statistical modeling, machine learning, and more, CUIP is studying how cities can adapt to our generation's challenges to ensure that our future is safer, smarter, and healthier for all. CUIP's applied research efforts have pioneered ways to improve traffic flows, reduce vehicle and pedestrian accidents, reduce carbon emissions, and optimize healthcare patient outcomes. In collaboration with the City of Chattanooga, CUIP manages a Testbed Corridor with a wide array of sensors, computing resources, and experimental wireless networks to monitor air quality, traffic control, and connected vehicles signals. Additional research infrastructure includes an automated vehicle and a driving simulator. Learn more about CUIP, its facilities and equipment, and how you can participate at <https://www.utc.edu/research/center-urban-informatics-and-progress>.

### QUANTUM INITIATIVE

UTC has launched an institutional initiative in Quantum Information Science and Engineering with the goal to establish a program known for excellence in education, innovation, and economic development enabled by Quantum Technology. In collaboration with several partners, the UTC Quantum Initiative is establishing a User Lab connected to the EPB Quantum Network powered by Qubitekk. Learn more about the Initiative and how to utilize the lab for your research and classroom activities at <https://www.utc.edu/research/quantum-initiative>.

### CENTER FOR EXCELLENCE IN APPLIED COMPUTATIONAL SCIENCE AND ENGINEERING

The mission of the Center of Excellence in Applied Computational Science and Engineering (CEACSE) is to establish and expand a cohesive multidisciplinary effort in applied computational science and engineering that is leveraged across UTC and produce sustained growth in research funding, excellence in integrated education and research, and to increase national and international stature and competitiveness in Tennessee. CEACSE operates an internal funding program that provides seed funding for faculty research and collaborations. See more at <https://www.utc.edu/research/center-of-excellence-applied-computational-science-and-engineering-ceacse>.

### COMPUTATIONAL RESOURCES

The UTC Research Institute manages a Data Center with multiple open access computational clusters to support research integrating big data and high-performance computing. For a full list of the clusters and nodes available, visit <https://www.utc.edu/research/research-institute/computational-resources>.

## **Interdisciplinary Geospatial Technology Lab**

<https://www.utc.edu/interdisciplinary-geospatial-technology-lab>

The Interdisciplinary Geospatial Technology Lab (IGTLab) provides geospatial expertise and support to campus and the community at large through cloud-based GIS platform, ArcGIS Online. Expertise includes spatial thinking, GIS data collection and management, spatial analysis, cartography and GIS application development. The IGTLab also connects UTC faculty and students with community partnerships that provide students unique real-world GIS learning opportunities.

**Contact:** Charlie Mix, *GIS Director*, [Charles-Mix@utc.edu](mailto:Charles-Mix@utc.edu)

## WORKING WITH ORSP – FIRST STEPS

### 1. Complete an Outside Interest Disclosure (OID) Form

All new UT employees are required to complete an Outside Interest Disclosure (OID) form within 30 days of employment start date and then annually (by December 31) for the remainder of your employment. If there are any changes to your outside affiliations, a new OID form must be completed within 30 days of acquiring a new outside interest.

This disclosure process helps the University identify and manage conflicts between employees' outside interests and their University responsibilities. For individuals engaged in sponsored research, it is critical that UTC identify potential conflicts of interest (financial or otherwise) as soon as possible to avoid legal, financial, and program implementation issues – for the institution as well as individual researchers. For that reason, a current OID form (filed within the last 12 months) must be on file before submitting proposals to external sponsors.

Note that disclosing an activity does not imply wrongdoing, nor does a disclosure mean that there is a conflict—it simply helps the university identify any perceived, potential, or actual conflicts that may need to be managed. Even if you do not have anything to disclose on your OID, you are still required to complete the form to certify that you have nothing to disclose.

For guidance on how to answer each questions, please visit our [UTC OID Form Help Guide for Researchers](#) page.

### 2. Meet with ORSP to Establish a Research Strategic Plan

Before you dive into proposal-writing, ORSP recommends taking some time to get familiar with sponsors to determine where to channel your proposal writing efforts. The Pre-Award Services team is here to help! Work with us to build an individual strategic funding plan that's tailored to you and your research. The plan includes a list of recommended sponsors and programs and a suggested submission schedule for the next 3-5 years. All you need to get started is your CV.

Visit our Bookings page to schedule an initial consultation:

<https://outlook.office365.com/owa/calendar/UTCORSPFacultyConsultations@live.utk.edu/bookings/>

### 3. Get Registered

ORSP recommends that you take a few moments to complete the registration process for internal and sponsor-required accounts. The most commonly needed accounts are listed below. ORSP will help you identify others that may be specific to your funding plan.

#### PIVOT

[Pivot](#) is a subscription-based searchable database of funding opportunities, potential collaborators, and calls for papers. The database is user-friendly and has features that allow you to search by subject keywords, eligibility, and deadline. As a UTC employee, you already have access to Pivot, but if you would like to get weekly notifications for updates matching your search criteria, then you will need to sign up for an account. With an account, you can make your profile viewable to other researchers to facilitate collaboration and team building. Visit our [Pivot Tutorial page](#) to set up an account and claim your profile.

#### INFOREADY REVIEW

ORSP uses [InfoReady Review](#) for limited submission competitions (where an external sponsor limits the number of proposals we can submit) and for internal grant opportunities administered by our office. To establish your account, use the link for UT users to log in with your UTC ID and password. New users will be asked to affiliate with a department. Visit our [InfoReady Review webpage](#) for quick links and a use guide.

## LOGIN.GOV

Many federal agencies are now requiring users to have a login.gov account to access submission portals and track proposals. To create an account, go to <https://login.gov/create-an-account/> and follow the prompts to complete the registration.

## RESEARCH.GOV

If you plan to apply to or participate on a proposal to the National Science Foundation, you will need to register in research.gov and affiliate with UTC.

- **Confirm you don't have an NSF account** by accessing the [NSF ID Lookup](#) page. Email addresses cannot be associated with more than one NSF ID. If you forgot your password to an established NSF account, you may reset it at the [forgot my password](#) page. If you are transferring to UTC from another institution, please update your existing account information.
- **To create a new account**, go to <https://www.research.gov/accountmgmt/#/registration> and follow the guidance [here](#) to complete your registration, affiliate with UTC, and request the PI role. You will need UTC's UEI: JNZFHMGJN7M3.

## ERA COMMONS

All individuals participating on a proposal to or a project awarded by the National Institutes of Health must have an eRA Commons ID. Please reach out to a [Pre-Award Services team member](#) to set up a new account or affiliate your existing account with UTC. Once your ID is established, you will receive an email with instructions for setting your password and completing your profile.

**Note:** eRA Commons now requires PIs to log in using login.gov. Follow the prompts to link your login.gov account with your eRA Commons ID.

## SCIENCY

Beginning **October 23, 2023**, NSF and other federal agencies will require that the Biosketch and Current and Pending Support documents used in grant proposals be created through SciENcv, an application in My NCBI. A third-party login, such as login.gov, research.gov, and eRA Commons, is required to access the system. Follow the help guide [here](#) to access SciENcv and create your Biosketch and/or Current and Pending support form.

If you run into difficulties, schedule a time to meet with a Pre-Award team member at <https://outlook.office365.com/owa/calendar/UTCORSPFacultyConsultations@live.utk.edu/bookings/>.

## 4. Get the Insider's Perspective

### FIND A MENTOR

Connecting with experienced, grant-active faculty is a great way to get oriented to the grant proposal writing enterprise. Ask your department head for referrals and connections within the department. If your research area is multi/interdisciplinary, ORSP can help you identify potential mentors outside of your department as part of the research strategic planning process.

### REVIEW SAMPLE FUNDED PROPOSALS

Once you are connected to a mentor, ask to review copies of their proposals and reviewer comments. Funded proposals will illustrate the depth of content and rhetorical strategies common to successful proposals. Reviewer comments on unfunded proposals will help you see patterns to what reviewers identify as weaknesses.

ORSP also maintains a funded proposal library from external PIs. Once you have identified programs of interest after the research strategic planning process, ORSP can share copies of sample funded proposals for those programs. If we don't have any proposals on file for a program, we are happy to request them.



## SERVE AS A REVIEWER

Serving as a grant proposal review panelist is one of the single best ways to prepare yourself to develop a grant proposal. This service will help you learn about the grant process, become familiar with a particular grant program and/or funding agency, learn about innovations in your area of interest, and network with colleagues and funding agency representatives in your field. Links to the reviewer application process for select federal agencies are below:

- National Science Foundation (NSF): [https://www.nsf.gov/bfa/dias/policy/merit\\_review/reviewer.jsp](https://www.nsf.gov/bfa/dias/policy/merit_review/reviewer.jsp)
- National Institutes of Health (NIH): <https://public.csr.nih.gov/ForReviewers/BecomeAReviewer/ECR>
- US Department of Agriculture (USDA): <https://www.nifa.usda.gov/about-nifa/what-we-do/panelist-information>
- U.S. Department of Education: <https://www2.ed.gov/about/offices/list/ope/peer-reviewers/index.html>
- National Endowment for the Humanities (NEH): <https://securegrants.neh.gov/signup/>
- Health Resources & Services Administration (HRSA): <https://www.hrsa.gov/grants/reviewers>

## ATTEND PROFESSIONAL DEVELOPMENT OPPORTUNITIES

ORSP hosts workshops and other professional development opportunities throughout the year. The opportunities are announced through campus-wide and faculty-specific email channels. You can view past opportunities at our [Resources and Workshops webpage](#).

Federal agencies also host annual conferences and webinars for their various programs throughout the year. Sign up to be notified of upcoming events for each agency of interest to you through the links below:

- National Science Foundation (NSF): <https://new.nsf.gov/events>
- National Institutes of Health (NIH): <https://calendar.nih.gov/>
- US Department of Agriculture (USDA): <https://www.usda.gov/reconnect/events>

## 5. Explore Additional Opportunities

### EMAIL BULLETINS

Nobody knows your research better than you do. While ORSP can do the initial legwork identifying potential funding opportunities as part of the research strategic planning process, new programs and funding opportunities are released throughout the year so it's important to sign up to receive notifications for agencies/areas that are of interest to you.

If you've registered with [Pivot](#) (Step 3), you'll be able to create and save searches to receive weekly emails with lists of new funding opportunities matching your search criteria. Additional funding opportunity distribution channels are listed below.

### Federal Agencies

[Grants.Gov](#) is the primary search engine for federal sponsors available to the general public. It includes funding opportunities for all the following government entities (plus more), but they also have their own websites that you can search as well:

- National Science Foundation (NSF): <https://new.nsf.gov/funding/opportunities>
- National Institutes of Health (NIH): <https://grants.nih.gov/funding/searchguide/index.html#/>
- U.S. Department of Education: <https://www2.ed.gov/fund/grant/apply/grantapps/index.html?src=banner>
- U.S. Department of Energy: <https://www.energy.gov/funding-financing>
- U.S. Department of Transportation: <https://www.transportation.gov/rural/ev/toolkit/ev-infrastructure-funding-and-financing/federal-funding-programs>

### Philanthropy News Digest

The Philanthropy News Digest (PND) is a daily news service of Candid, is a compendium, in digest form, of philanthropy-related articles and features culled from print and electronic media outlets nationwide. They publish Request for Proposals (RFP) listings daily, and the RFP Bulletin summarizes the week's listings every Friday afternoon. Sign up for RFP alerts here: <https://philanthropynewsdigest.org/rfps>

### LIMITED SUBMISSION OPPORTUNITIES

ORSP oversees the process by which proposals are selected for submission by the university in response to federal, private, and corporate funding solicitations that limit the number of proposals that can be submitted per applicant institution. These opportunities are announced via campus-wide and faculty-direct email list serves and managed through the UT System's InfoReady Review Portal. See more at our [Limited Submissions webpage](#).

### INTERNAL FUNDING OPPORTUNITIES

ORSP manages a limited number of internal grants to support research, scholarship, and creative activities at UTC. These opportunities are announced via campus-wide and faculty-direct email list serves and managed through the UT System's InfoReady Review Portal. Visit our [Internal Funding webpage](#) to learn more.

## WORKING WITH ORSP - PROPOSAL DEVELOPMENT & SUBMISSION

When you're ready to dive into grant proposal writing, ORSP is here to help!

Have questions? Visit our [Bookings](#) page to schedule a consultation or reach out to one of our [Pre-Award staff](#) directly.

### Engagement Timeline

While we understand that grant opportunities often pop up with tight submission windows, it's important to notify ORSP as soon as you identify an opportunity of interest. A minimum of **45 days** in advance of the submission deadline is ideal.

PIs are **strongly discouraged** from pursuing grant opportunities with deadlines in less than 2 weeks.

### Proposal Development Services

Once notified, a Pre-Award team member will be assigned to your proposal. Depending on the submission window, your assigned grant specialist can provide the following services. **Note:** *Items marked with an asterisk (\*) require a 45-day lead time.*

- Develop a detailed, funding opportunity-specific checklist of all required application components
- Provide outline and/or template documents for the proposal narrative and other required documents
- Assist with identifying and engaging internal or external collaborators\*
- Assist with coordination of and attend planning team meetings (if desired)
- Develop the project budget with PI input and feedback
- Draft the budget justification/narrative
- Provide an editorial review of the proposal draft (responsiveness, rhetorical strategies, line edits, etc.)\*
- Identifying external, content experts to provide a technical review of the proposal prior to submission to the sponsor\*
- Conduct a full proposal "compliance review" including formatting requirements, sponsor & program requirements, grantsmanship strategies, etc.
- Set up proposal entry in Cayuse (internal approval system)
- Submit the proposal in consultation with the PI

For more information on these and other services, visit our [Pre-Award Services webpage](#).

### Cayuse SP

[Cayuse](#) is UT's system of record for all sponsored projects. All proposals to external sponsors must be created and routed in this system for internal approvals. This process is distinct from the submission to the sponsor.

Your grant specialist will help you set up the proposal in Cayuse SP and will prompt you to complete it and submit it for routing. The PI should submit the proposal for routing in Cayuse at least 5 business days before the submission deadline.

Visit our [Cayuse webpage](#) for quick links and user guides.

## AWARD PROCESSING & MANAGEMENT

### Award Review & Intake (New, Continuing, Transfers)

ORSP is the only portal into UTC for sponsored projects awards – including new awards, continuing or renewal awards, and award transfers from other organizations. ORSP's Award Services team reviews the terms & conditions for all awards and accepts awards on behalf of the institution. ORSP processes awards in Cayuse and maintains institutional files with information on each award (distinct from project records which are maintained by the PI). Visit our [Award Management page](#) for more details.

If you need to transfer an award from your prior institution, have received a notice of a new award, or need to set up a contract to conduct research or a lead a project for an industry or community partner, reach out to an [Award Services team member](#) today!

### Grant Account Request to Accounting Services

As the final step of the award intake process, ORSP sends a request to Accounting Services to set up a restricted or "R" account for each project. Depending on the specific needs of each project, one or more R accounts may be established – for example, it is common to establish separate accounts for cost-share or participant support costs. Accounts fall under the signature authority of the PI/PD and under the financial management responsibility of the Lead Administering Unit identified in Cayuse – most typically the Unit that the PI/PD is housed within. R-Account information is shared with the PI, Department Head, and Dean when accounts are established.

### Contracts & Research-Related Agreements

All research-related agreements must be processed through ORSP. Examples include, but are not limited to, general award contracts issued by a sponsor, memoranda of understanding, material transfer agreements, non-disclosure agreements (also referred to as confidentiality or proprietary information agreements), data use agreements, click-through agreements, and licensing agreements. Visit our [Contracts webpage](#) for more details.

If you receive any document that requires a signature, please send it directly to an [Award Services team member](#). **Under no circumstances should a faculty or staff member sign an agreement.** Only the Vice Chancellor for Research is authorized to sign research agreements on behalf of the University.

### Subaward Origination & Execution

Subawards that pay outside/third parties to conduct a substantive portion of the work on an externally funded project are jointly developed by ORSP and the PI. This includes cases in which UTC is subcontracting to an external institution AND cases in which an external institution is subcontracting to UTC.

The PI is responsible for notifying ORSP when it's time to initiate a subaward to an external institution. Subawards also require PI and departmental oversight to ensure the project is being conducted in accordance with both federal and university policies. Review the [PI Guidance for Subaward Monitoring checklist](#) for more information about this process and feel free to reach out to the [Award Services team](#) with any questions.

### Award Management

The PI is responsible for all aspects of project implementation and award management. Departmental administrative assistants and Accounting Services provide financial management support, but it is up to the PI to track expenditures, submit required reports, and complete project milestones consistently with the scope of work outlined in the funded proposal or contract. Please see the [Sponsored Project Management Roles & Responsibilities](#) section for more information.

## **Post-Award Actions**

As you implement your project, you may find that you need to make changes to the project or request more time to complete it. Some changes, such as no-cost extensions, budget revisions, and personnel changes, may require prior approval from the sponsoring agency. Funding supplements will always require prior sponsor approval and are submitted in coordination with Pre-Award Services.

Regulations vary by sponsor, so reach out to the [Award Services team](#) as soon as you realize changes are needed. ORSP is happy to help you determine if you need prior approval and work with you to submit requests for post-award changes, if needed. There is also a [helpful chart](#) that outlines specific requirements for several federal agencies.

## SPONSORED PROJECT MANAGEMENT ROLES & RESPONSIBILITIES

### Principal Investigator / Project Director Responsibilities

<b>Project Implementation</b>	Scientific, technical, and programmatic oversight of all aspects of project implementation and completion. Ensure prior approval for revisions and other charges is obtained when necessary.
<b>Personnel Management</b>	Recruit, hire, supervise, monitor effort, monitor leave balances; ensure effort certification is completed timely by all personnel. Ensure that all personnel complete Outside Interest Disclosure within 30 days of employment and IP Assignment as required.
<b>Sponsor Reporting</b>	Complete all Programmatic, Technical, and Financial (with assistance from Accounting Services) reporting as required by the sponsor.
<b>Institutional Compliance</b>	Adhere to appropriate UT policies & federal, state or local regulations; Complete annual Outside Interest Disclosure and ensure completion by every member of the research team; Monitor conflict management plans if applicable
<b>Regulatory Compliance</b>	Maintain appropriate research compliance approvals and ensure that training requirements are met by all staff (IRB, IACUC, Citi Training, etc.).
<b>Financial Management</b>	Ensure charges are posted in a timely manner and are reasonable, necessary, allowable, allocable, consistently treated; Review & authorize ledgers monthly; Identify variances between approved budget and expenditures and work with ORSP and/or Accounting Services to determine if agency prior approvals are needed for budget changes. Work with Administrative Department and Accounting Services on financial close out.
<b>Subaward Monitoring</b>	Conduct subaward monitoring and approval of subaward invoices.

### Lead Administrative Unit Responsibilities

<b>Financial Management</b>	Reconcile grant (R-account) ledgers monthly and obtain signatures of PI & Dept. Head. Make sure charges are submitted and any cost transfers are handled in a timely manner, Ensure that procurement card charges are reconciled to correct accounts. Assist with closeout requirements for the department and work with PI and Accounting Services on closeout issues.
<b>Personnel &amp; Payroll</b>	Assist and monitor hiring of personnel for grant-funded programs. If the budget includes release time from teaching or other duties, make sure that appropriate forms are completed timely. Monitor Graduate Assistantship costs assigned to grants to make sure that all charges are allocable and that partial semesters are prorated accordingly. Ensure accurate payroll entry and reconciliation, and monitor annual leave accrual for grant-funded personnel.
<b>Effort Certification</b>	Monitor completion of effort certification for faculty and staff paid on grant.

<p><b>COI / FCOI</b></p>	<p>Ensure that ALL personnel – faculty, staff, and graduate students – have an annual Outside Interest Disclosure approved at the time of proposal submission, within 30 days of hire, or within 30 days of acquiring a new award. The OID forms should accurately reflect that the individual is engaged in research (sponsored programs) activity and should reflect any special circumstances related to the project, as applicable.</p>
<p><b>Purchasing &amp; Inventory Control</b></p>	<p>Ensure that all procurement standards are followed in purchases made with grant funds. Manage inventory of equipment purchased with sponsored funds within UT’s inventory system and assist with any transfers of ownership or custody, as needed.</p>

## FREQUENTLY USED POLICIES FOR SPONSORED PROJECTS

The following policies govern sponsored projects across all UT campus. If you are unsure how to interpret a policy or have a question about how it applies to your project, please reach out to ORSP for guidance. Please note that this list is not exhaustive and additional policies may be applicable to individual sponsored projects. A full list of University of Tennessee Policies can be found here: <https://policy.tennessee.edu/>.

- [F10205 – Sponsored Projects](#) establishes policies and procedures for administering sponsored grants and contracts including budgets, proposals and applications, cost-sharing, subcontracts, and salary allocation to sponsored programs.
- [F10206 – Sponsored Projects – Distinguishing Direct vs Indirect Costs](#) delineates direct and indirect (F&A) costs on sponsored projects.
- [F10207 – Sponsored Projects – Salary Policy](#) provides policies and procedures for charging salary to sponsored projects.
- [F10208 – Sponsored Projects – Federal Salary Rate Limitation](#) provides guidance to ensure compliance with salary rate limitations.
- [F10210 – Sponsored Projects – Cost-Sharing](#) establishes procedures for recording cost-share expenditures in the university's accounting and effort certification systems for sponsored projects.
- [F10215 – Sponsored Projects – Effort Certification](#) ensures compliance with federal requirements for documenting personnel expenses through the university's process of effort certification on sponsored projects.
- [F10220 – Sponsored Projects – Cost Transfers](#) provides guidelines to ensure the timely allocation of charges or credits to the correct externally-sponsored account (WBS element) or cost center.
- [F10205 – Sponsored Projects – Subaward Origination and Subrecipient Monitoring](#) outlines the responsibilities and procedures across the lifecycle of the subcontracting / subawarding process.
- [GE0002 – Conflicts of Interest & Commitment](#) policy promotes high standards of objectivity and integrity by requiring disclosure of all outside interests including institutional reporting requirements and Public Health Service disclosure requirements.
- [F10235 – Sponsored Projects – Program Income](#) ensures compliance with sponsor program income requirements.
- [F10420 – Contracts](#) outlines authority and responsibilities of university personnel regarding drafting, reviewing, and signing contracts.
- [F10115 – Reconciling and Reviewing Departmental Ledgers](#) establishes fiscal responsibility for reconciling and reviewing ledgers of university accounts, including restricted accounts established for each externally-sponsored project.
- [F10705 – Travel](#) outlines policies and procedures related to travel costs. Note that some federal awards may have more restrictive travel regulations than UT's policy; in those cases, you must follow the sponsor regulations.
- [RE0001 – Responsible Conduct in Research & Scholarly Activities](#) outlines expectations for high standards of research integrity and procedures related to allegations of misconduct.
- [RE0002 – Visitors Engaged in Research](#) describes standards and requirements for individuals engaging in research on UT campuses who are not UT employees or enrolled students.