

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

Pre-Award Services Team

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

- ❖ **Ashley Ledford**, *Director of Pre-Award Services*, Ashley-Ledford@utc.edu
- ❖ **Todd Moore-Doman**, *Grants Specialist*, Todd-Moore-Doman@utc.edu
- ❖ **Jennifer Corbin**, *Grants Specialist*, Jennifer-Corbin@utc.edu
- ❖ **Samantha Dean**, *Pre-Award Coordinator*, Samantha-Dean01@utc.edu

Award Services Team

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

- ❖ **Angie Morelock**, *Director of Award Services*, Angie-Morelock@utc.edu
- ❖ **Reagan de la Torre**, *Contract and Award Specialist*, Reagan-delaTorre@utc.edu

Sponsored Programs Accounting Team

The Sponsored Programs Accounting team supports PIs with sponsored project accounting, award drawdowns, and financial reporting.

- ❖ **Virginia Moore**, *Director of Sponsored Program Accounting*, Virginia-Moore@utc.edu
- ❖ **Nikki Ellis**, *Assistant Director of Sponsored Program Accounting*, Nikki-Ellis@utc.edu
- ❖ **Amy Tarpley**, *Sponsored Program Accountant*, Amy-Tarpley@utc.edu
- ❖ **Alicia Collier**, *Sponsored Program Accountant*, Alicia-Collier@utc.edu
- ❖ **Karen Campbell**, *Sponsored Program Accountant*, Karen-Campbell01@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.

Unit	Services
<u>Pre-Award Services</u>	• Research Development • Proposal Development • Budget Preparation • Compliance Review • Proposal Submissions • Just-In-Time Requests
<u>Award Services</u>	• Award Intake, including award contracts • Award or Equipment / Material Transfers • Research-Related Contracts (NDAs, DUAs, MOUs, etc.) • Subaward Origination • Sponsor Prior Approvals
<u>Sponsored Programs Accounting</u>	• Award Account Set-Up • Post-Award Expenditure Compliance • Award Drawdowns • Financial Reporting

UTC's Research Administration Community

ORSP works closely with our colleagues across campus to support the development and implementation of sponsored projects.

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.

Staff:

- ❖ **Dr. Cheryl Murphy**, *Director*, Cheryl-Murphy@utc.edu
- ❖ **Baley Whary**, *Research Compliance Officer – IRB & IACUC*, Baley-Whary@utc.edu
- ❖ **Majdi Alghader**, *Senior Research Compliance Officer – Export Control*, Majdi-Alghader@utc.edu
- ❖ **Brandon Williams**, *Research Compliance Officer – RCOI, RECR*, brandon-k-williams@utc.edu

Compliance Areas:

- ❖ Human Subjects: irb@utc.edu
- ❖ Vertebrate Animal Research: iacuc@utc.edu
- ❖ Biohazardous Materials: ibc@utc.edu
- ❖ Research Security & Export Control: eco@utc.edu
- ❖ Visitors Engaged in Research: eco@utc.edu
- ❖ Responsible & Ethical Conduct of Research: rcr@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
- ❖ **Melissa Glosup**, *Program Administrator*, Melissa-Glosup@utc.edu
- ❖ **Kate Devore**, *Administrative Assistant*, Kathleen-Devore@utc.edu

UTC Library

439A UTC Library

<https://www.utc.edu/library/services/scholarly-communications>

Contact: Levi Fleming, *Scholarly Communications Librarian*, scholar@utc.edu.

The UTC Library's Scholarly Communications unit helps scholars navigate every step of the publication lifecycle for funded and nonfunded research, including the open access publication process. Staff are also available to assist researchers in preparing the data management plans for proposal submission and implementing data management plans post-award.

The UTC Library manages [UTC Scholar](#), an in-house, open access database for UTC's research, creative works, and publications. In addition to Undergraduate Honors Theses, Masters Theses, and Doctoral Dissertations, UTC Scholar hosts journals, conference proceedings, research paper series, open data, and open access books.

UTC Research Centers

UTC operates a number of established research centers and initiatives across campus.

UTC Research Institute

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

Contact: Julia Bursch, *Chief Operating Officer*, julia-bursch@utc.edu

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. The Research Institute has four main focus areas: **transportation** (intelligent transportation systems, electric vehicle and battery technologies, social factors, automation, multimodal systems, policy and planning, cyber security, privacy, infrastructure, etc.); **quantum technologies** (quantum computing, quantum sensing and quantum networks); **nanoengineering** (energy, bioscience, and defense); and **sustainable and smart energy systems** (grid integration, energy management, data analytics, cybersecurity, etc.). The UTC Research Institute houses the Center for Urban Informatics and Progress (CUIP), the Quantum Center, and the Nano-Engineering Center, oversees campus-wide research initiatives, and manages a collection of state-of-the-art research facilities.

Center for Urban Informatics and Progress

<https://www.utc.edu/research/center-urban-informatics-and-progress>

Contact: Julia Bursch, *Chief Operating Officer*, julia-bursch@utc.edu

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.

Quantum Center

<https://www.utc.edu/research/quantum-center>

Contact: Dr. Rick Mukherjee, *Director*, rick-mukherjee@utc.edu

The Quantum Center engages all UTC colleges in building applied R&D capacity in Quantum Information Science and Engineering (QISE), and leveraging our access—as the first university in the country to be part of a commercial quantum network—to the EPB Quantum Network. Center outreach activities deliver experiential learning in QISE to undergraduates and graduate students in STEM and non-STEM disciplines and engage the UTC Center for Professional Education to provide upskilling opportunities to those already in the workforce.

Nano-Engineering Center

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

Contact: Dr. Murat Barisik, *Lead PI*, murat-barisik@utc.edu

Leveraging funding from the US Department of Energy and the National Science Foundation, the Nano-Engineering Center targets high-priority problems in three nationwide, critical areas: Energy, Bio-science, and Defense. Research tracks include multiphysics and multiscale simulations, and machine learning guided design and development of functional nanomaterials for energy storage/efficiency, biodegradables, and hypersonic thermal protections.

UTCRI Research Initiatives

Biomechatronics in Healthcare

Contact: Dr. Erkan Kaplanoglu, lead PI, erkan-kaplanoglu@utc.edu

The Biomechatronics in Healthcare Initiative is a cross-campus research effort designed to organize and expand collaborative work in engineering, computer science and healthcare. The goal is to connect technical development with clinical, operational and human-performance perspectives so that research teams can address healthcare challenges ranging from AI and digital healthcare systems to wearable robotics and rehabilitation technologies to clinical integration and human performance.

Sustainable and Smart Energy Systems

Contact: Dr. Vahid Disfani, lead PI, czd631@tennessee.edu

The Sustainable and Smart Energy Systems Initiative aims to address the challenges of transitioning current energy systems to more sustainable and reliable models. With a focus on grid integration, energy management, data analytics, cybersecurity, and energy policies, research efforts are underway to develop holistic solutions for integrating renewable energy technologies while addressing critical environmental and system reliability concerns.

Computational Resources

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

Contact: utcri-help@utc.edu

The UTC Research Institute manages a Data Center with multiple open access computational clusters to support research integrating big data and high-performance computing. Visit the program webpage for a full list of the clusters and nodes available.

Center for Applied Geospatial Data Science

<https://www.utc.edu/research/utc-center-for-applied-geospatial-data-science>

Contact: Charlie Mix, *Director*, Charles-Mix@utc.edu

The Center for Applied Geospatial Data Science (CAGDS) provides expertise and a platform for the successful integration of geospatial technologies and spatial thinking into academic instruction and problem solving. CAGDS staff provide consultation and project management services to UTC and the larger community. The center also connects UTC faculty and students with community partnerships that provide students unique real-world GIS learning opportunities through internships, applied research and sponsored projects; and its partners with GIS and cartography support.

UTC InfoSec Center

<https://www.utc.edu/engineering-and-computer-science/cae-cd>

Contact: Dr. Mengjun Xie, *Director*, Mengjun-Xie@utc.edu

Housed in the Department of Computer Science and Engineering, the UTC InfoSec Center is a National Center of Academic Excellence in Cyber Defense. The mission of the Center is to serve as a regional model for promoting excellence in cybersecurity education, assisting businesses, government agencies, education institutions and industries in their cybersecurity needs, and serving as the first point of call for cybersecurity emergency.

Violence Reduction Initiative

<https://www.utc.edu/arts-and-sciences/college-of-arts-and-sciences/criminal-justice/criminal-justice-vri>

Contact: Dr. Rick Dierenfeldt, *Lead PI*, ricki-dierenfeldt@utc.edu

Housed in the Criminal Justice Department, the Violence Reduction Initiative (VRI) is a research center dedicated to the study and reduction of violent crime in Tennessee and beyond. Through its focus on community-based partnerships, the VRI acts as a hub for collaboration between researchers, criminal justice agencies, service providers, community organizations, and local leaders. The VRI is committed to producing practical, evidence-based solutions to real-world problems impacting our communities and works together with stakeholders to develop and evaluate strategies for addressing violent crime and its correlates.

Journey Health Foundation Research Center

<https://www.utc.edu/gary-w-rollins-college-of-business/journey-health-foundation-research-center>

Contact: Shelley Kay, *Operations Manager*, Shelley-Kay@utc.edu

Sponsored by the Journey Health Foundation and housed in the Gary W. Rollins College of Business, the Journey Health Foundation Research Center is dedicated to acquiring, curating, and sharing data related to the **social determinants of health** and **economic disparities** across the Greater Chattanooga region. The datasets are made available to researchers, students, and community partners conducting work on health equity, healthcare access, and community well-being. Click [here](#) to browse the data catalog or submit a data request.

Working with ORSP – First Steps

1. Complete a Conflicts of Interest (COI) Disclosure

All new UT employees are required to complete a Conflicts of Interest (COI) Disclosure within 30 days of employment start date and then during UT's annual disclosure period for the remainder of your employment. If there are any changes to your outside affiliations, a new COI disclosure 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, all personnel named on a project must have a current COI disclosure must be on file before the proposal can be submitted to the sponsor or the award processed. Having a current COI disclosure means that it has either been submitted for the first time or reviewed and updated/certified within the last 30 days.

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 any outside activities to disclose, you are still required to complete the form in DASH Research.

See ORI's [Research Conflicts of Interest](#) webpage for guidance.

2. 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 team is here to help! Work with us to build an individualized 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.

[Click here](#) to submit your request for research development support.

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.

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.

- **To create a new account**, go to <https://apps.research.gov/account/registration> and follow the guidance [here](#) to complete your registration, affiliate with UTC, and request the PI role. You will need UTC's UEI: JNZFHMGN7M3.
- **To reset your password**, follow the instructions [here](#).
- **To update an existing account**, navigate to your profile, affiliate with UTC and set it as your primary institution, and request the PI role. If you are transferring to UTC from another institution, you will need to contact your previous institution to have them remove your old affiliated roles.
- After account setup, [use your UTC credentials](#) to sign in to research.gov.

ERA Commons

All individuals (including students) 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 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.

SciENcv

Most federal agencies require that the Biosketch and Current and Pending Support documents for grant proposals be created through [SciENcv](#), an application in My NCBI. A third-party login, such as login.gov, research.gov, or 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 forms.

Note: Once your account is created, you must use the **same** third-party login each time to access the documents you created in SciENcv under that account. Otherwise, the system will create a new account for you, and your library of documents within SciENcv will be blank. You can link multiple third-party logins to the same account by following the instructions [here](#).

If you run into difficulties, schedule a time to meet with a Pre-Award team member [here](#).

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. Peruse ORSP's [monthly sponsored activity reports](#) to see researchers with similar interests or 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 what reviewers commonly identify as weaknesses.

Serve as a Reviewer

Serving as a reviewer is one of the single best ways to prepare yourself to develop a grant proposal. This service will help you 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.research.gov/research-web/content/reviewingForNSF>
- National Institutes of Health (NIH): <https://public.csr.nih.gov/ForReviewers/BecomeAReviewer/ECR>
- US Department of Agriculture (USDA): [link to USDA events listserv](#)
- Health Resources & Services Administration (HRSA): <https://www.hrsa.gov/grants/reviewers>
- U.S. Department of Education: <https://www2.ed.gov/about/offices/list/oep/peer-reviewers/index.html>
- National Endowment for the Humanities (NEH): <https://securegrants.neh.gov/signup/>

Attend Professional Development Opportunities

ORSP promotes workshops and other professional development opportunities throughout the year. The opportunities are announced through campus-wide and faculty-specific email channels.

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 Potential Funding Opportunities

ORSP Newsletters

ORSP distributes weekly newsletters through faculty listserv. The newsletters highlight announcements related to sponsored projects, such as changes to sponsor requirements, and a list of upcoming funding opportunities.

Sponsor Listservs

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.

[Grants.Gov](#) is the primary search engine for federal sponsors and is available to the general public. You can sign up to receive daily alerts for all new funding opportunities posted to grants.gov [here](#).

Alternatively, you can sign up for more targeted email feeds directly from agencies of interest:

- National Science Foundation (NSF): <https://new.nsf.gov/funding/opportunities>
- National Institutes of Health (NIH): <https://grants.nih.gov/funding/searchguide/index.html#/>
- National Endowment for the Humanities (NEH): <https://www.neh.gov/grants/listing>
- U.S. Department of Energy: <https://www.energy.gov/funding-opportunities>
- U.S. Department of Justice: <https://www.justice.gov/grants>
- U.S. Department of Transportation: <https://www.transportation.gov/grants>
- U.S. Department of Education: <https://www.ed.gov/grants-and-programs/apply-grant/available-grants>

Funding Opportunity Search Requests

Have a great project idea but can't find a good home for it? The pre-award team is here to help! [Click here](#) to submit a request for funding opportunity search support. This service provides a list of currently available funding opportunities based on an abstract or summary of your project, along with recommendations on where to target future searches.

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.

6. Become Familiar with DASH Research HGA

As part of the UT System's adoption of the Huron Research Suite of products, UT is launching the Huron Grants & Agreements (HGA) modules in December 2026. When it launches, HGA will replace [Cayuse](#) as the internal system of record for all sponsored projects and research-related agreements and will include a number of benefits:

- Greater visibility and transparency for all end-users into sponsored project records.
- Some cross-module integrations will bolster compliance and increase efficiency.
- Financial System Integration between HGA and DASH financial will streamline account creation.
- Specialized Agreements module to house and handle research-related agreements from proposal and award records.

To prepare for this transition, review UTC's cutover plan [here](#). Help guides and other UTC-specific resources will be available on this webpage soon.

ORSP will offer live training sessions for UTC faculty in fall 2026. In the meantime, check out the suite of training materials available on the [DASH Research HGA SharePoint Site](#).

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 Services staff](#) directly.

Engagement Timeline

It's never too early to put a funding opportunity on our radar. As soon as you identify a program/solicitation of interest, even if you're not ready to start writing or sure that you will apply, email Ashley-Ledford@utc.edu with a link to or copy of the solicitation or program guidelines to get assigned to a Grants Specialist.

ORSP has the following internal deadlines for all proposal types (including preliminary proposals). See the [FAQ](#) for more details.

11 business days before sponsor deadline

Last day to notify ORSP of intent to submit a proposal.

5 business days before sponsor deadline

The PI/project team have completed **ALL** the following actions:

- PI has finalized UTC's budget (including subawards, if applicable).
- In cases where the sponsor requires a budget breakdown by task, the PI has finalized the task list.
- PI has shared a full draft of the proposal narrative with the assigned Grants Specialist.
- Each project team member has sent all non-budget dependent personnel documents to the assigned Grants Specialist.

Before submission to sponsor

The following actions have been completed:

- Each named team member has updated their [COI disclosure](#).
- PI has submitted proposal for departmental approvals.
- All covered personnel have completed the required proposal certifications.
- All required documentation has been reviewed and approved by ORSP.

Proposal Development Services

The ORSP pre-award team provides the following development services for proposals meeting the internal deadlines above. Some services require additional lead time, as noted below.

Proposal Preparation Documentation

- Detailed proposal checklist specific to your funding opportunity
- Outlines and/or templates for narrative-based documents (30+ day notice)
- Sample funded proposal requests, as available (3+ month notice)

Team-Building Assistance

- Coordination with subawards and other collaborative institutions
- Identifying internal/external collaborators (45+ day notice)

Budget Development

- Budget preparation based on project work plan, sponsor requirements, and UT policy
- Budget justification draft based on finalized budget and sponsor requirements

Compliance and Content Review

- COI disclosure reviews with ORI
- Proposal compliance reviews (sponsor requirements and UT policy)
- Editorial review of proposal documents (30+ day notice)
- External SME review coordination (3+ month notice)

Internal Approvals

- Internal record set-up and handoff to PI
- Final review/approval of internal record

For more information on these and other services, visit our [Proposal Development](#) webpage.

Cayuse SP

[Cayuse SP](#) is UT's system of record for all sponsored projects through November 2026. 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.

The assigned Grants Specialist initiates the proposal record in Cayuse SP and then prompt you to complete it and submit it for routing. The PI must submit the proposal for routing and certify it before ORSP can submit the proposal to the sponsor.

Cayuse SP is also used to secure internal approvals for all award agreements and research-related contracts. The process for these varies slightly, and ORSP staff initiate the contract entries in these instances.

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

Sponsor Submission

ORSP submits all federal proposals and most non-federal proposals to the sponsor on behalf of the PI. Any deviation from this procedure must be approved by the assigned Grants Specialist or Pre-Award Director. See the list of [required pre-submission actions](#) above.

The PI may opt to join a virtual submission meeting with the assigned Grants Specialist or provide approval via email for the Grants Specialist to submit on their own time.

Other Proposal Development Resources

Regulatory Compliance

Know your regulatory compliance responsibilities before submitting a proposal. Visit the [Office of Research Integrity](#) website to review policies and procedures for research involving human subjects or human data, vertebrate animals, biohazardous materials, ITAR- or EAR-controlled technology (such as drones, lidar, and infrared cameras), and/or international travel or collaborations.

Intellectual Property

Protect your IP before submitting a proposal. Visit the [UT Research Foundation](#) webpage to learn more about invention disclosures, technology transfer, commercialization licensing, and/or paths to entrepreneurship.

Institutional Data

High-level aggregate data on enrollment, matriculation, and graduation for completed academic years are available from the Office of Planning, Evaluation, and Institutional Research (OPEIR) through the [Institutional Dashboards](#) or through the [Factbook](#). Proposal teams can request other institutional data directly from OPEIR [here](#).

Working with ORSP - Award Processing & Management

Award Review & Intake (New, Continuing, Transfers)

ORSP is the only office authorized to intake sponsored projects awards – including new awards & contracts, continuing or renewal awards, and award transfers from other organizations. ORSP's Award Services team reviews the terms and conditions for all awards and accepts awards on behalf of the institution. ORSP processes awards 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.

Contracts and awards that require a signature to accept the funding must be signed by the Assistant Vice Chancellor for Research. Neither the PI, the department head, nor the dean are authorized to sign grant awards or contracts.

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 Setup

As the final step of the award intake process, Sponsored Programs Accounting sets up a DASH account for each project. Depending on the specific needs of each project, one or more 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 – this is most typically the Lead PI/PD's home department. Sponsored Programs Accounting will notify the PI, Department Head, and Dean when project accounts (SPNs) are established in DASH.

Following SPN setup, the Departmental Administrator assists the PI with the submission of expenses. Sponsored Programs Accounting assist with labor distribution setup.

Research-Related Agreements

All research-related agreements must be processed through ORSP. Examples include, but are not limited to, 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 Assistant 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 a sponsored 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 is time to initiate a subaward to an external institution. Subawards also require PI and departmental oversight to ensure the project is conducted in accordance with both federal and university policies. Review the [PI Guidance for Subaward Monitoring](#) 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 provide financial management support, but it is the PI's responsibility to track expenditures, complete project milestones consistently with the scope of work outlined in the funded proposal or contract, and submit all required reports on time. See the [roles and responsibilities](#) section below for more details.

Post-Award Actions

It is not uncommon to need changes to the project as you implement it. Some changes, such as no-cost extensions, budget revisions, and personnel changes, may require prior approval from the sponsor. Funding supplements 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 can help you determine if you need prior approval and will work with you to submit requests for post-award changes, if needed. There is also a [helpful chart](#) that outlines specific prior approval requirements for several federal agencies.

Financial Reporting

While the PI is responsible for managing reporting deadlines, Sponsored Programs Accounting can help ensure the expenditures reported to the sponsor align with DASH records and will submit all Federal Financial Reports (FFRs) and financial reports to the State of Tennessee. Reach out to spa@utc.edu well in advance of the reporting deadline for assistance.

Sponsored Project Management Roles & Responsibilities

Principal Investigator / Project Director Responsibilities

Project Implementation	Scientific, technical, and programmatic oversight of all aspects of project implementation and completion. Ensure prior approval for revisions and other changes is obtained when necessary.
Personnel Management	Recruit, hire, supervise, and monitor effort and leave balances for project personnel; ensure effort certification is completed on time. Ensure that all new hires complete a Conflicts of Interest (COI) disclosure within 30 days of employment.
Sponsor Reporting	Complete all Programmatic, Technical, and Financial reporting (with assistance from Sponsored Programs Accounting) as required by the sponsor.
Institutional Compliance	Adhere to appropriate UT policies and federal, state or local regulations. Complete annual COI disclosure and ensure completion by every member of the research team. Monitor COI management plans, if applicable.
Regulatory Compliance	Maintain appropriate research compliance approvals and ensure that training requirements are met by all project staff (IRB, IACUC, Citi Training, etc.).
Subaward Monitoring	Monitor subawards and approve subaward invoices.
Financial Management	Ensure charges are posted in a timely manner and are reasonable, necessary, allowable, allocable, and consistently treated. Review the Sponsored Project Summary Report and Sponsored Project Detail Report for accuracy of expenses. Utilize the PI DASHboard for snapshots of expenditures. For missing or incorrect labor, contact spa@utc.edu for labor distribution administration. Initiate Non-Labor Cost Transfers by using the appropriate form and submit these to spa@utc.edu . Identify variances between approved budget and expenditures, and work with Sponsored Programs Accounting to determine if agency prior approvals are needed for budget changes. Work with Administrative Department and Sponsored Programs Accounting on financial close out. DASH training is available here .

Lead Administrative Unit Responsibilities

Financial Management	Utilize the PI DASHboard for snapshots of expenditures and reconcile DASH project ledgers. Ensure any cost transfers are handled in a timely manner. For missing or incorrect labor, contact spa@utc.edu for labor distribution administration. Assist the PI with initiating Non-Labor Cost Transfers and submit the appropriate form to spa@utc.edu . Reconcile procurement card charges against correct accounts. Assist with project closeout requirements.
Personnel & Payroll	Assist with hiring and supervision of personnel for grant-funded programs. Monitor Graduate Assistantship costs assigned to grants; ensure partial semesters are pro-rated accordingly. Ensure accurate payroll entry and reconciliation and monitor annual leave accrual for grant-funded personnel.
Effort Certification	Monitor effort certification completion for project personnel.
COI / FCOI	Ensure that ALL personnel – faculty, staff, and graduate students – update their COI disclosure before proposal submission, within 30 days of hire, or within 30 days of acquiring a new award. The affiliated research certification should reflect any special circumstances related to the project, as applicable.
Purchasing & Inventory Control	Ensure that all procurement standards are followed for 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.

UT Policies for Sponsored Projects

The following policies govern sponsored projects across all UT campuses. 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/ut-system-policies/>.

- **[FI0205 – 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.
- **[FI0206 – Sponsored Projects – Distinguishing Direct vs Indirect Costs](#)** delineates direct and indirect (F&A) costs on sponsored projects.
- **[FI0207 – Sponsored Projects – Salary Policy](#)** provides policies and procedures for charging salary to sponsored projects.
- **[FI0208 – Sponsored Projects – Federal Salary Rate Limitation](#)** provides guidance to ensure compliance with salary rate limitations.
- **[FI0210 – Sponsored Projects – Cost-Sharing](#)** establishes procedures for recording cost-share expenditures in the university's accounting and effort certification systems for sponsored projects.
- **[FI0215 – Sponsored Projects – Effort Certification](#)** ensures compliance with federal requirements for documenting personnel expenses through the university's process of effort certification on sponsored projects.
- **[FI0220 – 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.
- **[FI0225 – Sponsored Projects – Code of Business Ethics](#)** outlines UT's expectations that all employees conduct sponsored activities to the highest moral and ethical standards and maintains compliance with applicable laws and regulations.
- **[FI0205 – 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.
- **[FI0235 – Sponsored Projects – Program Income](#)** ensures compliance with sponsor program income requirements.
- **[FI0420 – Contracts](#)** outlines authority and responsibilities of university personnel regarding drafting, reviewing, and signing contracts.
- **[FI0115 – 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.
- **[FI0705 – 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.