

# Sponsored Projects Pre- and Post-Award

UTIA Lunch-and-Learn  
May 21, 2019

# Sponsored Projects

- Role of Office of Sponsored Programs (OSP), Sponsored Projects Accounting (SPA), and departmental business managers (Dept.)
- Questions

# Role of OSP, SPA, and Dept.

- OSP –** Pre-award proposal and pre-proposal compilation (include starting proposal in Cayuse)
- Prepare proposal budgets, including informal
- Approve and submit proposals
- Process external funds (except gifts & recharge center)
- Contract and subaward negotiation and processing
- Post budgets in IRIS
- Material Transfer Agreements
- Confidentiality or Non-disclosure Agreements
- Requests to sponsor requiring AOR (no-cost time extensions, changes in key personnel, some budget changes, some progress reports)

**865-974-7357** [aggrant@utk.edu](mailto:aggrant@utk.edu) or [extensiongrants@utk.edu](mailto:extensiongrants@utk.edu)

# Role of OSP, SPA, Dept.

- SPA** – Set up accounts in IRIS
- Monitor accounts for allowability of costs
- Invoice sponsors
- Draw down funds for USDA
- Prepare financial reports for sponsors
- Process and post budget changes (T-1) in IRIS
- Request OSP contact sponsor if needed
- Advise OSP, departments, and PIs, as needed

Contact [AgSPA@utk.edu](mailto:AgSPA@utk.edu)

# Role of OSP, SPA, Dept.

## Departmental business managers –

Assist with costing estimates and budget categories

PI's primary daily support in managing accounts

Primary contact person when changes needed

Assist with account close out

# Who ya' gonna call?



	Department	OSP	SPA
<b>Pre-award (Proposal) Stage</b>			
Start working on a proposal		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a> * ASAP	
Proposal preparation (requirements, formatting, Cayuse, etc.)		Coordinator <a href="http://agriculture.tennessee.edu/sponsoredprograms/contacts.asp">http://agriculture.tennessee.edu/sponsoredprograms/contacts.asp</a>	
Proposal budget (before sharing with sponsor)		Coordinator -** UT/sponsor guidelines, UT/sponsor budget forms	
Submit proposal		Federal – OSP Dir./Asst. Dir. Other – Coord. (PI may be able to submit after OSP approval)	
<b>Award Stage</b>			
Forward award or draft contract to		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a>	
Confirm you approve budget, scope of work, terms and conditions of award (and subawards, if applicable)		Coordinator **	

\*[aggrant@utk.edu](mailto:aggrant@utk.edu) & [extensiongrants@utk.edu](mailto:extensiongrants@utk.edu) are interchangeable.

Real. Life. Solutions.™

\*\* Business manager may advise you and coordinator.

# Who ya' gonna call?



	Department	OSP	SPA
<b>Award State (continued)</b>			
Negotiate contract terms		<a href="mailto:rxhafera@utk.edu">rxhafera@utk.edu</a>	
Negotiate and set up subaward		<a href="mailto:rxhafera@utk.edu">rxhafera@utk.edu</a>	
Award in Cayuse		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a>	
Request new account and post budget		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a>	
Set up new account			<a href="mailto:agspa@utk.edu">agspa@utk.edu</a>
<b>Post-award</b>			
Help monitor performance & spending	Bus. Manager		
Budget amendments			<a href="mailto:agspa@utk.edu">agspa@utk.edu</a>
Change in key personnel, no-cost time extensions		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a>	
Prepare/submit financial reports (SF-425)			<a href="mailto:agspa@utk.edu">agspa@utk.edu</a>
Submit progress reports		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a> if OSP required to submit	
Award close-out			<a href="mailto:agspa@utk.edu">agspa@utk.edu</a> **

# Who ya' gonna call?



	Department	OSP	SPA
<b>Other activities/questions</b>			
Faculty Incentive Plan request	CVM – Business Manager (at time of award)	Extension or AgResearch – Coordinator (at time of proposal)	
Non-exchange check	Business Manager		
Confidentiality/Non-disclosure agreement		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a>	
Material transfer agreements (materials in-coming or out-going) – send draft agreements or request MTA		<a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a>	
Intellectual property issues		<a href="mailto:rxhafera@utk.edu">rxhafera@utk.edu</a> , <a href="mailto:Janeburns@utk.edu">Janeburns@utk.edu</a> (or UTRF <a href="https://utrff.tennessee.edu/">https://utrff.tennessee.edu/</a> )	
Compliance issues		<a href="mailto:Janeburns@utk.edu">Janeburns@utk.edu</a> or <a href="http://agriculture.tennessee.edu/sponsoredprograms/compliance.asp">http://agriculture.tennessee.edu/sponsoredprograms/compliance.asp</a>	

# Questions

# Question

Explain the communication between investigators, OSP, SPA, and departmental business manager

# Answer:

*PI should consider OSP, SPA, and department business manager as part of your team.*

- PI's primary pre-award contact = OSP Coordinator; e-mail and in person; if you give notice about what need, coordinator can prepare and use less of your time
- Important to e-mail [aggrant@utk.edu](mailto:aggrant@utk.edu) when *considering* applying (or providing ballpark budget); stay in contact
- PI's primary post-award contact = Dept. Bus. Manager
- OSP and SPA are located in same suites and communicate closely at all phases.

*OSP, SPA, and department business managers talk at all phases. If PI is working with multiple offices, please keep others in the loop.*

## Q: Why do I need multiple accounts for my project?

A: A separate/new account is needed when:

1. Funds will also go to another:
  - Activity (research, instruction, etc.),
  - Unit (AgResearch, Extension, CVM), or
  - Department (including REC) or Extension Regional Office.
2. The contract has a new number
3. Funds can't be carried over, or
4. The project includes match.

# Question

What's the purpose of the UTIA budget worksheet, and why it is so complicated?

# Answer:

- The UTIA budget worksheet:
  1. Helps the OSP coordinator prepare the sponsor budget (which has different line item requirements), and
  2. Is necessary to set up budget in IRIS, so that the PI can spend funds, when awarded.

Although it looks complicated, the amount of detail helps the Coordinator make edits/corrections (during budget development and at the time of award).

*Ask your Coordinator for guidance.*

**Q: What should the budget justification include?**

**A: What the sponsor requires. It should match the sponsor budget categories and be appropriate for the work being conducted. Include enough detail to justify cost, but not too much detail.**

# Question

When do we have to include indirect costs in a budget, and what determines the rate?

# Answer:

Indirect costs (IDC or F&A) should be included because they are actual costs of the project, and full costs should be recovered, when possible. Full costs can't be recovered when a sponsor has a restriction on IDC. Our IDC rates are federally-negotiated.

The IDC rates that apply to a project depend on:

- unit (AgResearch, Extension, and CVM),
- activity type (research, instruction, etc.), and
- location (on- or off-campus).

# Q: What can we use for cost sharing/matching?

A: Faculty salaries and benefits; sometimes indirect cost (possibly including unrecovered); other direct costs, with department approval; in-kind from outside partners.

Must benefit the project, be properly costed, occur during project period, and be tracked.

Subs should provide their own.

# Q: What fringe benefit rates are used in proposal budgets?

A: Want to be sure there is enough.

For proposals, actual is used when person is known.

When not known, default rates used are:

- 45% for others (technical, post-doc, etc.)
- 35% for faculty
- 8% for term or student (except GRA, which is monthly charge)

**Q: Why do we need a budget if the sponsor doesn't care?**

A: To post in IRIS, so it is made available for spending (according to UT policy.)

Contract language may not match the idea that the sponsor doesn't care.

Uniform Guidance and cost principles require us to be consistent in costing and include full costs (including IDC). Otherwise we have audit risk.

USDA's now treats capacity funding more like competitive funds, including effort reporting.

If all costs aren't included in industry budgets, then industry work might be subsidized by state and federal funding.

# Question

Can I give the potential sponsor a ballpark budget?

# Answer:

Yes, as “unapproved” -- but we often run into situations where the budget isn’t enough to cover the costs of the project, and it’s hard to go back and ask for more.

*Get the help of your Business Manager and/or OSP first.*

*Route in Cayuse if you provide line-item budget or sponsor requires match.*

# Question

Sometimes OSP e-mails my Department Head about cost share or equipment purposes. Since they approve in Cayuse, why do they send an e-mail?

# Answer:

So that they aren't missed, OSP points out unusual items that the department and/or dean's office will need to prepare/budget for, such as:

- Direct cost sharing they will have to come up with (other than hard-funded faculty salaries)
- Equipment purchases not fully covered by grant

And items against normal policy, such as voluntary cost share

# As a PI, what are my post-award responsibilities?

- When award is received, PI needs to make sure budget and deliverables are correct, before the account is set up, & compliance approvals are in place, as needed.
- PI is responsible for continuously monitoring the programmatic progress
- PI, departmental accountant and/or SPA representative review all invoices submitted by a vendor/subrecipient to ensure that the invoice is in line with program activities
- If there are personnel/program changes or problems with invoices or performance, PI needs to inform departmental staff and SPA as soon as possible to seek resolution
  - It is too late if invoices have been authorized for payment**
- If there are problems with compliance issues or program changes requiring protocol changes (or vice versa), contact Jane Burns and applicable specific compliance contact

# Question:

**Why do I need justification for NCE and what should it include?**

**Answer:** Need is determined by terms and conditions of contract or award.

Generally, to extend account end date, need short reason work wasn't finished and requested new end date. (Reason should not be just because money wasn't spent. Scope of work should be the same as originally proposed.)

# Q: What are primary red flags to auditors?

- Cost transfers, especially near project end
  - Purchase of supply stock or equipment near project end
- International travel not include in budget justification

# Question

Who is allowed to submit a proposal  
and serve as PI or Key Personnel?

# Answer:

Significant contribution to project; manage project/accounts; notify agency if change

Position/Descriptions	Lead PI/PD	Co-PI/PD	Other Key Personnel
Regular tenure or non-tenure track Faculty Members, such as: <ul style="list-style-type: none"> <li>•Professor</li> <li>•Associate Professor</li> <li>•Assistant Professor</li> </ul>	YES	YES	YES
Research Associate Research Assistant Extension Assistant	No - ask D/AD*	YES	YES
Extension Agent Extension Specialist	Depends on unit, nature of proposal (ask D/AD*)	YES	YES
Post-Doc Research Assoc	No - ask D/AD*	YES	YES
Students, such as: <ul style="list-style-type: none"> <li>• Graduate Research Assistant (GRA)/Graduate Assistant (GA)/Graduate Teaching Assistant (GTA)</li> <li>• Graduate Student</li> <li>• Undergraduate Student</li> <li>• Staff</li> <li>• Adjunct Professor</li> <li>• Term employees</li> </ul>	No**	No**	No**

\*Typically requires Dean's Office approval

\*\* If RFA requires person in this position to be key personnel, may be PI in agency document; faculty member PI in Cayuse.

# Questions?

UTIA Office of Sponsored Programs – Jane Burns, Rumira Xhaferaj, or coordinator

- [aggrant@utk.edu](mailto:aggrant@utk.edu) or [extensiongrant@utk.edu](mailto:extensiongrant@utk.edu) (ext. 4-7357)
- <http://agriculture.tennessee.edu/sponsoredprograms/contacts.asp>

UTIA Sponsored Projects Accounting:

- AgResearch:
  - Department Business Manager
  - [AgSPA@utk.edu](mailto:AgSPA@utk.edu) or Joan Webb ([jwebb44@utk.edu](mailto:jwebb44@utk.edu); ext. 4-7278)
- Extension/CVM:
  - Department Business Manager
  - [AgSPA@utk.edu](mailto:AgSPA@utk.edu) or Janelle Alexander([jpresco1@utk.edu](mailto:jpresco1@utk.edu); ext. 4-7447)

Unit Budget Officers:

- Missy Kitts, Extension ([jmkitts@utk.edu](mailto:jmkitts@utk.edu); ext. 4-7113)
- Tonya Kenley, CVM ([tcromwel@utk.edu](mailto:tcromwel@utk.edu); ext. 4-0988)
- Cyndie Nichols, AgResearch ([cnichols@utk.edu](mailto:cnichols@utk.edu); ext. 4-7122)
- Amy Stover, Herbert College, UTIA Administration ([amwallace@utk.edu](mailto:amwallace@utk.edu); ext. 4-7453)
- Tim Fawver, CBO to Chancellor ([tfawver@utk.edu](mailto:tfawver@utk.edu); ext. 4-7108)

# Questions?

## Departmental Business Managers:

- 4-H & ALEC – Lela Moore ([lmoore7@utk.edu](mailto:lmoore7@utk.edu))
- Agricultural & Resource Economics – Chris Rhodes ([crhodes7@utk.edu](mailto:crhodes7@utk.edu))
- Animal Science – Heather Means ([hmeans@utk.edu](mailto:hmeans@utk.edu))
- Biosystems Engineering & Soil Science – Nicole Leverton ([ngott@utk.edu](mailto:ngott@utk.edu))
- Biomedical & Diagnostic Sciences – Emily Dyke ([edyke@utk.edu](mailto:edyke@utk.edu))
- Center for Renewable Carbon – Lyssa McKenry ([lmckenry@utk.edu](mailto:lmckenry@utk.edu))
- Entomology & Plant Pathology – Kimberly Campbell ([kcamp@tennessee.edu](mailto:kcamp@tennessee.edu))
- Family & Consumer Sciences – Vicky Friend ([vfriender1@utk.edu](mailto:vfriender1@utk.edu))
- Food Science – Davean Brown ([dtbrown@utk.edu](mailto:dtbrown@utk.edu))
- Forestry, Wildlife & Fisheries – Lisa Widener ([lcashion@utk.edu](mailto:lcashion@utk.edu))
- Large Animal Clinical Sciences – Catheryn Hance ([chance1@utk.edu](mailto:chance1@utk.edu))
- Plant Sciences – Sherri Dugger ([sdugger@utk.edu](mailto:sdugger@utk.edu))
- Small Animal Clinical Sciences – Cindy Knisley ([cknisley@utk.edu](mailto:cknisley@utk.edu))

# Resources

- UTIA Office of Sponsored Programs website:  
<http://agriculture.tennessee.edu/sponsoredprograms/>
- Links to UT and UTIA policies and procedures:  
<http://agriculture.tennessee.edu/sponsoredprograms/policies.asp>
- Uniform Guidance: <https://www.ecfr.gov/cgi-bin/text-idx?SID=5206145ccd8d4e55b23d22b1a6f24081&mc=true&node=pt2.1.200&rgn=div5>