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

*aggrant@utk.edu & extensiongrants@utk.edu are interchangeable.

** Business manager may advise you and coordinator.

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### Award State (continued)

<table>
<thead>
<tr>
<th>Activity</th>
<th>Department</th>
<th>OSP</th>
<th>SPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negotiate contract terms</td>
<td></td>
<td><a href="mailto:rxhafera@utk.edu">rxhafera@utk.edu</a></td>
<td></td>
</tr>
<tr>
<td>Negotiate and set up subaward</td>
<td></td>
<td><a href="mailto:rxhafera@utk.edu">rxhafera@utk.edu</a></td>
<td></td>
</tr>
<tr>
<td>Award in Cayuse</td>
<td></td>
<td></td>
<td><a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a></td>
</tr>
<tr>
<td>Request new account and post budget</td>
<td></td>
<td></td>
<td><a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a></td>
</tr>
<tr>
<td>Set up new account</td>
<td></td>
<td></td>
<td><a href="mailto:agspa@utk.edu">agspa@utk.edu</a></td>
</tr>
</tbody>
</table>

### Post-award

<table>
<thead>
<tr>
<th>Activity</th>
<th>Department</th>
<th>OSP</th>
<th>SPA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Help monitor performance &amp; spending</td>
<td></td>
<td>Bus. Manager</td>
<td></td>
</tr>
<tr>
<td>Budget amendments</td>
<td></td>
<td></td>
<td><a href="mailto:agspa@utk.edu">agspa@utk.edu</a></td>
</tr>
<tr>
<td>Change in key personnel, no-cost time</td>
<td></td>
<td></td>
<td><a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a></td>
</tr>
<tr>
<td>extensions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prepare/submit financial reports (SF-425)</td>
<td></td>
<td></td>
<td><a href="mailto:agspa@utk.edu">agspa@utk.edu</a></td>
</tr>
<tr>
<td>Submit progress reports</td>
<td></td>
<td></td>
<td><a href="mailto:aggrant@utk.edu">aggrant@utk.edu</a> if OSP required to submit</td>
</tr>
<tr>
<td>Award close-out</td>
<td></td>
<td></td>
<td><a href="mailto:agspa@utk.edu">agspa@utk.edu</a> **</td>
</tr>
</tbody>
</table>

**In collaboration with Business Manager.
## Who ya’ gonna call?

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

Explain the communication between investigators, OSP, SPA, and departmental business manager.
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.
What’s the purpose of the UTIA budget worksheet, and why is it 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

<table>
<thead>
<tr>
<th>Position/Descriptions</th>
<th>Lead PI/PD</th>
<th>Co-PI/PD</th>
<th>Other Key Personnel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular tenure or non-tenure track Faculty Members, such as: • Professor • Associate Professor • Assistant Professor</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Research Associate Research Assistant Extension Assistant</td>
<td>No - ask D/AD*</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Extension Agent Extension Specialist</td>
<td>Depends on unit, nature of proposal (ask D/AD*)</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Post-Doc Research Assoc</td>
<td>No - ask D/AD*</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Students, such as: • Graduate Research Assistant (GRA)/Graduate Assistant (GA)/Graduate Teaching Assistant (GTA) • Graduate Student • Undergraduate Student • Staff • Adjunct Professor • Term employees</td>
<td>No**</td>
<td>No**</td>
<td>No**</td>
</tr>
</tbody>
</table>

*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 or extensiongrant@utk.edu (ext. 4-7357)
•  http://agriculture.tennessee.edu/sponsoredprograms/contacts.asp

UTIA Sponsored Projects Accounting:
•  AgResearch:
  –  Department Business Manager
  –  AgSPA@utk.edu or Joan Webb (jwebb44@utk.edu; ext. 4-7278)
•  Extension/CVM:
  –  Department Business Manager
  –  AgSPA@utk.edu or Janelle Alexander(jpresco1@utk.edu; ext. 4-7447)

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

Departmental Business Managers:

- **4-H & ALEC** – Lela Moore (lmoore7@utk.edu)
- **Agricultural & Resource Economics** – Chris Rhodes (crhodes7@utk.edu)
- **Animal Science** – Heather Means (hmeans@utk.edu)
- **Biosystems Engineering & Soil Science** – Nicole Leverton (ngott@utk.edu)
- **Biomedical & Diagnostic Sciences** – Emily Dyke (edyke@utk.edu)
- **Center for Renewable Carbon** – Lyssa McKenry (lmckenery@utk.edu)
- **Entomology & Plant Pathology** – Kimberly Campbell (kcamp@tennessee.edu)
- **Family & Consumer Sciences** – Vicky Friend (vfriend1@utk.edu)
- **Food Science** – Davean Brown (dtbrown@utk.edu)
- **Forestry, Wildlife & Fisheries** – Lisa Widener (lcashion@utk.edu)
- **Large Animal Clinical Sciences** – Catheryn Hance (chance1@utk.edu)
- **Plant Sciences** – Sherri Dugger (s dugger@utk.edu)
- **Small Animal Clinical Sciences** – Cindy Knisley (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