

CON Office of Research Administration	SOP: SPONSORED RESEARCH
Updated: January 2022	CON ORS 001

Purpose

The purpose of this procedure is to clarify the roles, responsibilities, routing, approvals, and resources for researchers in the University of Tennessee (UTK) College of Nursing (CON) related to stages of sponsored projects including pre-proposal, proposal development and Cayuse.

Abbreviations	Current CON Personnel
PI: Principal Investigator ORS: Office of Research Services CON: College of Nursing DRA: Division of Research Administration FMC: Financial Management and Compliance ORIED: Office of Research, Innovation & Economic Development PIF: Proposal Intent Form	Associate Dean for Research: Dr Tami Wyatt Director of Research Services: Nancy Taylor Administrative Assistant: Holly Hauck

I. Pre-proposal¹

a. Principal Investigator Responsibilities

- i. Ensure the project is an internal or external sponsored project and not a **gift**. ORS can assist with this determination.
- ii. Read the solicitation (funding opportunity) for clarity and understanding.
 1. Every solicitation is unique, even those from the same funding agency.
 2. Funding restrictions may be award-specific or may be governed by the HHS Uniform Guidance and/or University guidelines.
 3. Entertainment (including food), office supplies and foreign travel are unallowable costs unless specifically identified as allowable in the funding opportunity.
- iii. Proposal submissions with any of the following elements requires University level approval:
 1. Detailed budget items and justification
 2. Letters of Commitment (PI's cannot sign these)
 3. Cost sharing commitments
 4. Space commitments
 5. Effort commitments (e.g., "Dr. Smith will commit 5% of her annual effort")
 6. Third party commitments (e.g., "CON, as a partner, will perform 50% of the work)
 7. Authorized representative's signature/University approval (DRA only)

b. Project Intent Form (PIF) Submission *(found on the CON website under Research)*

- i. Complete the PIF as soon as a decision is made to submit a research or translation project. Required for Internal and External funding. Including PI submissions.
- ii. List all requested information including potential subcontractors and UT collaborators.

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- iii. Route the PIF to the Director of Research Administration who will have it logged into Atlas.
- iv. The ORS will contact the PI to setup an initial meeting to discuss details.

II. Proposal Development and Cayuse

a. Using Cayuse

- i. The ORS will determine if the proposal must be entered into Cayuse.
- ii. The ORS will initiate the Cayuse process

b. Prior to routing a final proposal to the UT DRA via Cayuse the PI must work with ORS to address the following:

- i. Budgeting:
 - 1. **Meet** with the Director of Research Services to prepare an accurate budget including only allowable and allocable items per specific solicitation and review proposal deadlines
 - 2. **Review** subawards and consulting. PI to provide contact to ORS.
 - a. Scope of work
 - b. Budget and justification
 - c. Completion of all required budget-related agency documents
 - d. Signature of a representative authorized to contractually commit the institution or college
 - 3. **Discuss** cost sharing if required
- ii. Voluntary cost share is discouraged. Uniform Guidance states “Under Federal research proposals, voluntary committed cost sharing is not expected,” (§200.306). Also, excessive or unnecessary cost sharing can have the effect of reducing the University’s negotiated Facilities and Administrative cost rate.
- iii. Mandatory cost share commitments must be supported by confirmation via email or letter from the Dean of the College of Nursing which ORS will obtain.
- iv. Once routed to DRA, all commitments must be document by an authorized official of the entity contributing cost share such as a letter stating approval. If ORE is committing cost share, a designated Assistant Vice Chancellor, Associate Vice Chancellor, or Vice Chancellor of the Office of Research & Engagement must confirm in writing.
- v. Mock Reviews: All large applications are required to undergo the mock review process six weeks prior to submission. Discuss with ORS about facilitation of internal and external mock reviews for the proposed project.
- vi. IRB/RCR/Other Compliance: Review the UTK Office of Research Integrity website to ensure all required approvals are completed. Usually not required at time of submission
- vii. Financial Conflict of Interest (FCOI): Many sponsors, including Department of Health and Human Services (HHS) agencies such as NIH, HRSA, and AHRQ, apply FCOI requirements in the proposal phase. Must be completed prior to cayuse routing. This requirement is for all consultants and subcontractors if listed as key personnel. ORS can provide the link to complete this document.

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c. Finalizing Proposal entry into Cayuse

- i. The PI is responsible for allowing time for accurate entry in Cayuse. ORS will provide assistance, but all PIs should have working knowledge of Cayuse.
- ii. All proposal information must be submitted to **ORS by 9am ten (10) business days** prior to the sponsor deadline in order to meet the **9am five (5) business day deadline required by UTK DRA.**
- iii. All proposals must complete the routing process and have all associated department and college approvals prior to the DRA five business day deadline. If not submitted per 5-day rule DRA will not guarantee accuracy of final submission and will be reflected on monthly report provided to Dean.

d. Routing Proposal in Cayuse

- i. The PI must “certify” the proposal in Cayuse once all required information is entered into Cayuse. Certification indicates that the PI has reviewed all responses to questions and the documents are true and accurate, and is equivalent to the PI’s signature.
- ii. The proposal will route for approval to the College’s Director of Research Services, the Associate Dean for Research and other associated departments/colleges as applicable.
- iii. Once all approvals are authorized, the proposal is available for DRA review.
- iv. DRA will assign a Proposal Coordinator to work with the PI and the Director of Research Services to finalize the proposal for submission.

e. DRA Review—Required Proposal Documents

- i. Fully authorized proposal through the Cayuse system **-all documents must be in FINAL form**
- ii. Complete line-item budget
- iii. Budget justification
- iv. Cost sharing request, if applicable
- v. All supporting documentation for proposed subawards and consultants, if applicable
- vi. All other required documents per the solicitation
- vii. All documents must be uploaded in the appropriate funding agency portal (Workspace, Fastlane, Foundation sites)
- viii. Draft copy of the project narrative. Final document required 3 days prior to submission.

f. Final Submission of Proposal

- i. DRA submits the final proposal to sponsors, providing official institutional signature. Occasionally the sponsor specifies the PI must submit in which case DRA must provide approval prior to PI submission.
- ii. Once the proposal is submitted, DRA acts as a liaison for CON by streamlining communication with the sponsor (assisting with updated other support requests, revised proposal budgets, etc.).
- iii. Any communication from the sponsor to the PI should be relayed to the CON’s Director of Research Services to ensure compliance with UT policy.

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- iv. If submission has to be submitted by PI, DRA must give final approval on Cayuse documents before PI can submit.

III. Post-Proposal Submission

- a. **Post-submission inquiries from DRA and/or sponsors** (Just-In-Time requests, etc.) should be communicated to the Director of Research Administration for assistance.
- b. **Pre-award spending** (not recommended)
 - i. The PI must consult with the Director of Research Services to identify alternative funding to cover the risk of disallowed costs or failure of the sponsor to make an award.

ⁱ Detailed information related to proposal submission can be found in the CON ORS procedure for Pre-IRB Review Submission