# UTC Office of Research and Sponsored Programs (ORSP)

**CAS Research Orientation**
**March 4, 2022**

# Session Overview

- ORSP Overview
- Finding and Assessing Funding Opportunities
- Proposal Preparation and Budgeting Considerations
- Steps for Success
- Key Compliance Issues (ORI)

# ORSP Overview

# UTC Office of Research and Sponsored Programs (ORSP)

- Mission: 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.*

- Location:

  109 Race Hall

  utc.edu/orsp

# UTC Office of Research and Sponsored Programs (ORSP)

## Who we are:


Meredith Perry
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Ashley-Ledford@utc.edu


*ORSP staff members are currently working hybrid schedules. Email is the best way to get in touch with us

# Why Grants?

- Create opportunities for students and enrich the learning environment
- Competitive funding builds credibility
- Protect time for research
- Build your case for promotion and tenure
- Grant awards draw attention to your department (NSF CAREER, REU, etc.)

# ORSP services – Pre-award*

- Resources & help getting started – assistance in finding funding opportunities (PIVOT, etc.), sample funded proposals, application guidelines, timelines, checklists, templates, and “tip” sheets for specific agencies
- Budget development
- External review & critique prior to submission
- Assistance with the coordination of collaborative efforts (connect with partners, participate in team meetings, etc.)

*with sufficient lead time

# ORSP services – Proposal Review and Submission

- Compliance Review* – covers agency/sponsor requirements, UT fiscal policy, budget review, research compliance considerations, etc.
- Cayuse routing for internal approval – 5 business days prior to submission
- Submission - Help complete agency forms and submit the proposal to the funding agency

*With sufficient lead time

# ORSP services – Award & Post-award

- Negotiate research-related contracts and agreements – including industry sponsored research contracts, MOUs, non-disclosure agreements, click-through agreements, licensing agreements, etc.

  **Do not sign these! Only the VCR is authorized to sign.**

- Award-intake processing
- Award orientation & mid-term emails
- Account requests (all post-award financial services handled by Accounting Services)
- Just-In-Time Requests
- Subaward Origination & Execution
- Other post-award actions (personnel changes, sponsor-required budget revisions, no-cost extensions, etc.)

# Finding Funding and Assessing Funding Announcements

# Where to find funding opportunities

https://new.utc.edu/research/research-and-sponsored-programs/pivot-tutorial

- Pivot – UTC's subscription-based funding database
- Staff-assisted searches
- Individual consultations & strategic funding plans
- Sign up for updates by sponsor and/or keyword

# Other Funding Opportunities

- Grants.gov
- Federal agencies – NSF, NIH, DoD, DOE, DOT
- Philanthropy News Digest
- Internal Grant Competitions
  - Limited Submission Competitions - InfoReady

# Assessing Funding Opportunities

- Eligibility – What types of organizations are eligible? Who can serve as a PI?
- Limitations - Are there limits to number of proposals per institution? Per person?
- What are the sponsor's priorities? Is the research a good fit?
- Deadline – Does the PI have enough time to develop a competitive proposal?
- Budget – What is the budget limit? Are there any restrictions? Cost share requirements?
- Awards – Look at prior awards to assess how many awards will be made and to what types of organizations

# Assessing Funding Opportunities

- Are there any special instructions or requirements?
- Supplemental documents/ items from collaborators – Letters of commitment, budgets, quotes, etc. Do you have enough time to gather all of these items?
- Look for bold, italics and language like “strongly encouraged”
- Contact information – How can you contact the program officer? Is there a generic email address to direct questions to? Is there a limited timeframe of when questions can be submitted?
- What are the review criteria?

# Assessing Funding Opportunities

## Who is eligible to serve as a PI and are there any limitations?

**Who May Serve as PI:**

The PI must be in a senior academic administrative role, at the level of Dean or higher, at the Lead (defined in Section II: Program Description) institution.

Each Partner (defined in Section II: Program Description) institution must identify a senior academic administrator at the level of Dean or higher to be included as Senior Personnel.

**Limit on Number of Proposals per Organization:** 1

Organizations only may be a participant (Lead or Partner) in one proposal per deadline identified in this solicitation.

New Partner Institutions may only be named in one such supplemental funding request per deadline.

**Limit on Number of Proposals per PI or co-PI:** 1

An Individual may be PI, co-PI, or Senior Personnel of only one NSF I-Corps Hub proposal per deadline identified in this solicitation.

## When are proposals due? Is a preliminary proposal or LOI required?

| | |
|---|---|
| **FOA Issue Date:** | 02/09/2022 |
| **Submission Deadline for Letter of Intent:** | 02/28/2022 5:00pm ET |
| **Submission Deadline for Full Applications:** | 03/21/2022 5:00pm ET |
| **Expected Date for EERE Selection Notifications:** | 05/24/2022 |
| **Expected Timeframe for Award Negotiations:** | June 2022 - July 2022 |

## Due at 5pm? Might be earlier!

| | | |
|---|---|---|
| 5. Deadline for Applications | 2:00 p.m. | February 25, 2022 |

## How many awards will be made?

**III. AWARD INFORMATION**

NSF plans to make approximately one Institute award in each of themes 1-5, and one award to each of the two tracks listed in theme 6. Institute awards will be made for between $16,000,000 and $20,000,000 for four to five years ($4,000,000 per year on average). Proposals outside this range may be returned without review. Estimated program budget, number of awards and average award size/duration are subject to the availability of funds.

# Proposal Preparation and Budget Considerations

# Proposal Preparation Basics

- Begin working on your proposal well in advance of the deadline and let ORSP know you're working on it
- Reach out to the program officer (PO) to ensure your project is a good fit and aligns with funding priorities
- Review previously funded proposals and look at prior awards
- Assemble your team –internal to UTC and external partners
- Be realistic, but ambitious
- Allow time for proofreading and editing

# Proposal Preparation Basics

- What do you want to do and why?
- How much will it cost and how long will it take?
- Does your proposed project relate to the sponsor's priorities? How?
- How will your project be impactful to: you, your students, your field, the community, the state, etc.?
- What has already been done in the area of your project? What are the knowledge gaps?
- How do you plan to do it?
- How will the results be evaluated or analyzed?
- Why are you (and not someone else) the best person to do this project?

# Budget Basics

- Work with ORSP to develop your budget early in the process– budgets may go through multiple iterations!
- Align budget and narrative – remember, the budget is the financial representation of your project
- Be as accurate as possible (use actual rates, quotes, prior expenses,  accurate F&A rate)
- Request what you need – reviewers do look at budgets to make sure they're reasonable
  - Avoid under-budgeting, padding the budget, excessive personnel, etc.
- ORSP can also help draft a budget justification outline for you

# Budget Basics

- Typical budget categories include:
  - Personnel time and fringes (faculty and staff, postdocs, TBH, graduate assistants, hourly graduate students, undergrads)
  - Travel, materials & supplies, equipment (per unit cost >$5,000)
  - Participant support costs
  - Other direct costs (subawards, publication costs,  etc.)
  - Indirect costs -  UTC's current federally negotiated rate is 37.5% of modified total direct costs

- Some funders require proof of every budget line item

- Most funders have their own budget form which can be simple or complex (a breakdown by person, month, task, etc.)

- Funding opportunities might only request a budget figure
  - It's still a good idea to develop an internal budget so if you're funded, you know that you requested enough to do the project

# Additional Budget Considerations

- Familiarize yourself with UT fiscal policies
  - Ex. When all summer pay – including teaching and grant pay – is combined, the total cannot exceed 33 1/3% of the faculty member's academic-year salary.

- Refer to ORSP's budget page for:
  - Budget Development Guidance
  - Subaward, Consultant, or Vendor guidance

- Cost share
  - We do not include voluntary cost-share. This is only included if required by the sponsor

- Make sure you obtain approvals early (cost share, release time, etc.) and keep your department heads in the loop

# Other Considerations

- Refer all awards and any type of research-related agreement to ORSP. Never, ever sign any kind of document from a sponsor or partner.
  - Angie-Morelock@utc.edu is your ORSP point of contact for contract questions

- Project implementation, expenditure management, & report submissions can impact current & future awards (for you & others)!

# Steps to Success

# Building Capacity & Increasing Knowledge

- Establish expertise – publish and participate in conferences
- Collaborate and network - cultivate relationships with POs/representatives , potential collaborators
- Create a Pivot profile and become familiar with grant opportunities in your field / area of interest
- Review sample funded proposals (For some programs, ORSP can request these)
- Serve on review panels
- Attend sponsored programs related workshops & trainings

# Tips & Tricks

- Reach out to ORSP early – the earlier we know about a proposal, the more assistance we can provide
- Allow sufficient time – especially for high volume deadlines (CAREER, TDOT, etc.)
- DO sweat the “small stuff” – biosketches, data management plan, etc. These are critical
- Make sure you’re using the sponsor’s current grant proposal guide
  - NSF’s biosketch recently increased from 2 pages to 3
  - NIH’s application package was updated in January 2022
- If you’re not successful on your first try, revise and resubmit. (Discuss proposal with program officer,  incorporate feedback into resubmission, obtain an external reviewer, etc.)

# Key Compliance Issues

# UTC Office of Research Integrity (ORI)

Mission: To ensure that research conducted at UTC is in compliance with university, state, and federal regulations

Location: 109 Race Hall

utc.edu/research/research-integrity

Staff: David Deardorff – Interim Director
Alexa McClellan – Assistant Director
Baley Whary – IRB Coordinator (part-time)

# Human Research – irb@utc.edu

**Human Research – Institutional Review Board**

Research involving collection of information from living individuals, such as:

- Surveys to assess pedagogical approaches
- Surveys of program participants (e.g., NSF REU)
- Analyses of “big data” from human beings

# Export Control – eco@utc.edu

**Research with Controlled Technology—**
**Export Control**

- Exports are the transfer of anything, anywhere, by any means, to a foreign individual or entity, regardless of their location
- Some exports are controlled by the U.S. government for reasons of national security
- Penalties can include prison sentences and fines exceeding $1 million per violation

# Export Control – eco@utc.edu

**Research with Controlled Technology—**
**Export Control**

Examples of exports:

- Shipping or traveling with controlled items to foreign countries
- Sharing controlled information/materials with foreign entities via e-mails, phone calls, speaking engagements, consulting
- “Deemed exports”—providing foreign nationals in the U.S. with unauthorized access to controlled items

# Visiting Researchers – eco@utc.edu

**Visitors Engaged in Research**

Access to UTC research facilities by people not employed by or enrolled at a UT system institution requires:

- Sponsorship
- Defined period of access
- Background check
- Compliance review
- Intellectual Property Agreement

# Biohazards – ibc@utc.edu

**Biohazards–Institutional Biosafety Committee [PENDING]**

Research/educational activities involving:

- Recombinant or synthetic nucleic acid molecules
- Select biological agents and toxins
- Bloodborne pathogens
- Hazardous chemicals
- Novel nanoparticles conjugated to biologically active or cell-modifying molecules

# Animals – iacuc@utc.edu

**Animal Research – Institutional Animal Care and Use Committee**

- Research and educational activities involving vertebrate animals
- Laboratory or field studies

# Responsible & Ethical Conduct of Research – rcr@utc.edu

**Responsible and Ethical Conduct of Research**

Training and education to help ensure integrity in research and strengthen public trust

Required by:

- National Science Foundation
- USDA – NIFA
- National Institutes of Health – training grants

Strongly encouraged for anyone who mentors or conducts research

# Research Misconduct Investigations

UT Policy and Procedures on Responsible Conduct in Research and Scholarly Activities (RE0001):

"Research Misconduct means intentional, knowing, or reckless fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or reporting research results, which constitutes a significant departure from accepted practices of the relevant research community."

# Questions?