UT-Battelle Proposals
UT-Battelle, LLC, was established in 2000 as a private not-for-profit company for the sole purpose of managing and operating the Oak Ridge National Laboratory for the U.S. Department of Energy. The proposals being submitted to UT-Battelle are for projects for UTK personnel to perform work for ORNL.
<table>
<thead>
<tr>
<th>UTK KEY WORDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>OSP – Office of Sponsored Programs</td>
</tr>
<tr>
<td>SPA – Sponsored Projects Accounting</td>
</tr>
<tr>
<td>UT PI – UT Principle Investigator</td>
</tr>
<tr>
<td>CAYUSE – electronic routing system for awards &amp; proposals for UT sponsored programs</td>
</tr>
<tr>
<td>UT – University of Tennessee</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ORNL KEY WORDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>ORNL – Oak Ridge National Laboratory</td>
</tr>
<tr>
<td>TPO – Technical Project Officer</td>
</tr>
<tr>
<td>Contracting Officer – Darrell Arrington, Derek Miller, Eva Rather</td>
</tr>
</tbody>
</table>
The Proposal Process

Conversation between ORNL TPO & UT PI to discuss statement of work and budget

ORNL TPO enters the requisition into their system.

Contracting Officer generates a requisition email and sends to UT PI & OSP
The Process continued

UT PI enters proposal into CAYUSE to be routed and approved by college and department.

Once routed and approved, the proposal arrives in OSP.

Proposal administrator reviews documents and has cover page signed by UT authorized official.
Items needed for Proposal

• Statement of Work – found in ORNL email
• Budget form in Excel (Exhibit A) – this can be found on the OSP website here: [http://research.utk.edu/osp/forms-osp/](http://research.utk.edu/osp/forms-osp/)
  • This form can change on occasion. Please check the OSP website for the most up to date version.
• Budget Justification
• Exhibit 2 (new proposals or a new statement of work)
Email Example #1: This is an example of a new fixed price subcontract. It will typically include more project information and request a completed Exhibit 2.

Benson, Jennifer C

Subject: FW: ORNL SAP Requisition 3400211234 - UTPI Bob Smith/ORNL TPO Frank White
Attachments: ex2-sept10.pdf

From: Arrington, T. D. [mailto:arringtontd@ornl.gov]
Sent: Friday, December 05, 2014 11:14 AM
To: Sponsored Programs
Subject: ORNL SAP Requisition 3400211234 - UTPI Bob Smith/ORNL TPO Frank White

I need a UT/ORNL Proposal Budget form for a new fixed-price subcontract. The period of performance will be from the start date of December 15, 2014 thru May 31, 2015 and the Statement of Work is copied below. The ORNL SAP requisition number is 3400211234. Please contact me if you have any questions. Thank you.

**STATEMENT OF WORK**
December 2, 2014

**Project Title**

**BACKGROUND**

**PURPOSE/OBJECTIVE**
The purpose of this work is to perform....

**SCOPE**
The ultimate goal is to provide.... In support of that goal, the following list summarizes the proposed work that will be completed at UTK.

**TASKS**
Over the initial 6 month term of this project, this is the proposed work: Task 1. Provide....
Email Example #2: This is an example of an existing subcontract. Because this is already in existence, an Exhibit 2 is not requested and there is less information.

Benson, Jennifer C

Subject: FW: Subcontract 4000119361 - UTPI Mark Alexander/ORNL TPO Lee Wright
Importance: High

From: Arrington, T. D. [mailto:arringtontd@ornl.gov]
Sent: Friday, October 24, 2014 2:08 PM
To: Sponsored Programs
Subject: Subcontract 4000114321 - UTPI Mark Alexander/ORNL TPO Lee Wright
Importance: High

Please provide a UT/ORNL Proposal Budget form for a modification to existing fixed-price Subcontract 4000114321, which expires 12/31/14. The period of performance will be extended through 12/31/15, and the Statement of Work is copied below. The ORNL SAP requisition number is 3400211122. Please contact me if you have any questions. Thank you.

**STATEMENT OF WORK**

November 7, 2012

The University of Tennessee (UT) will work on the computational study of X. A particular emphasis will be on X. The Seller will work closely with the Oak Ridge National Laboratory (ORNL) Technical Project Officer (TPO), Lee Wright.
Types of Contracts

<table>
<thead>
<tr>
<th>FIXED PRICE CONTRACTS</th>
<th>COST REIMBURSABLE CONTRACTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed amount of money to spend</td>
<td>Reimbursed for actual costs</td>
</tr>
<tr>
<td>Monthly invoices are same</td>
<td>Monthly invoices differ</td>
</tr>
</tbody>
</table>

UT-Battelle decides what type of contract is used.

For OSP and the review process, it doesn’t matter which type of contract it is. We do not treat them any differently and will review it just the same.

This does affect SPA and the awards side.
UT/ORNL Budget Form

• This budget form is required for UT-B proposals (http://research.utk.edu/osp/forms-osp/)
• The PI should get information from the TPO on what to include (supplies, salary, etc.) and any limitations that may exist.
• Do not include travel in your budget (this is handled by TPO/UT-B directly)
• If student tuition is included, please indicate what semesters are covered. Don’t duplicate semesters that may have already been covered.
# UT/ORNL Proposal Budget

## Exhibit A

<table>
<thead>
<tr>
<th>Title</th>
<th>SAP Requisition Number</th>
<th>ORNL Subcontract # (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposable Duration (Number of Months):</td>
<td></td>
<td></td>
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<tr>
<td>CFDA Code:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UT Principal Investigator/Project Manager</td>
<td>Phone Number</td>
<td>FAX</td>
</tr>
</tbody>
</table>

### A. UT Personnel

<table>
<thead>
<tr>
<th>Name</th>
<th>Type</th>
<th>% of Effort</th>
<th>Annual Salary</th>
<th>Total Requested from ORNL</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
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<td>2</td>
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<td>7</td>
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</tr>
</tbody>
</table>

### B. TOTAL SALARIES

$0

### C. fringe benefits (include any separate if different)

### D. EQUIPMENT *

*Note additional equipment on separate page*

TOTAL EQUIPMENT

### E. OTHER DIRECT COSTS *

1. Materials and Supplies
2. Publication/Discussion Dissemination
3. Consultant Services
4. Computer Services
5. Subcontracts
6. Student Fees (include summer being counted)
7. Other

TOTAL OTHER DIRECT COSTS (E.1 through E.7)

$0

### F. TOTAL DIRECT COSTS (A. through E.7)

$0

### G. F&A Costs (Specify Rate) (26% or 51%)

Rate: 26%

$0

### H. TOTAL DIRECT AND INDIRECT COSTS (G-H)

$0

* For lines D through E.7., supporting documentation is required for each of these line items except E.6.

For submission of this Proposal Budget, the University of Tennessee confirms that there are no changes to the Representations and Certifications previously submitted on April 30, 2016.

Revised: April 26, 2016
Budget Justification

• The budget justification should be similar to any other budget justification that you prepare for a proposal.

• A budget justification is required when supplies are included on a budget.

• Remember – travel is not to be included. It’s handled by UT-B directly.

• The more information you can provide to OSP, the easier it is to turn proposals around.
Exhibit 2 Form

• New proposals/statements of work only.
• OSP will ask you to check the appropriate box.
• The PI may also check the box and upload this document to CAYUSE for verification.
• PI does not need to submit this form to UT-B.
• OSP will have the form signed and will submit to ORNL with proposal.
REPRESENTATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE (July 21, 2015)

(a) This solicitation sets forth the Company’s known delivery requirements for data (as defined in the Rights in Data – General clause). Any resulting subcontract may also provide the Company the option to order additional data under the Additional Data Requirements clause, if included in the subcontract. Any data delivered under the resulting subcontract will be subject to the Rights in Data – General clause included in this subcontract. Under the latter clause, the Seller may withhold from delivery data that qualify as limited rights data or restricted computer software, and deliver form, fit, and function data instead. The Rights in Data – General clause also may be used with additional paragraphs comparable to Alternates II and/or III in FAR 52.227-14 to obtain delivery of limited rights data or restricted computer software, marked with limited rights or restricted rights notices, as appropriate. In addition, use of Alternate V in FAR 52.227-14 with the Rights in Data-General clause provides the Company the right to inspect such data at the Seller’s facility.

(b) By completing the remainder of this paragraph, the offeror represents that it has reviewed the requirements for the delivery of technical data or computer software and states (offeror check appropriate block) —

[☑] (1) None of the data proposed for fulfilling the data delivery requirements qualifies as limited rights data or restricted computer software; or

[☐] (2) Data proposed for fulfilling the data delivery requirements qualify as limited rights data or restricted computer software and are identified as follows:

____________________________________

____________________________________

____________________________________

[☐] (a) Such data will be delivered, or

[☐] (b) Such data will not be delivered, but form, fit and function data (FFFD) will be delivered.

(c) Any identification of limited rights data or restricted computer software in the offeror’s response is not determinative of the status of the data should a subcontract be awarded to the offeror.

OFFEROR: The University of Tennessee

SIGNATURE: Jean Mercer

PRINTED NAME: Jean Mercer

TITLE: Asst. Vice Chancellor for Research

DATE: 12/3/16
What does the Exhibit 2 mean?

• As a PI, is there something that may result from this research that you can’t share with ORNL?
• Is there already something in existence that you can’t share with ORNL?
• Examples: export control, confidentiality, personal information (human subjects), proprietary information
OSP Review

• The proposal coordinator will review the proposal for accuracy and to ensure it’s complete.

• The more information that is provided to OSP, the better. This includes:
  • CAYUSE information
  • UT/ORNLI Budget form
  • Budget justification
  • Statement of Work
  • Exhibit 2 (new proposals/statement of work)
  • Any additional documents provided
  • Add any submission notes for information that may be useful for proposal review
OSP Review

- If the F&A being used is off-campus (26%) and the location of sponsored activities is listed as Anderson or Roane, please add a submission note with the building name and room number.
  - If a submission note has not been added, the proposal coordinator will email the PI to obtain this information.
- This information is needed to verify that the proper F&A rate is being used. UTK does have some on-campus space at ORNL.
UT-B Coversheet

• This document is signed by the proposal coordinator.

• This is included at time of submission to ORNL and is internal to UTK. The PI does not need to complete this form.
  • It includes all necessary information needed for the proposal to be accepted by the UT-Battelle procurement officers
  • Includes information about project period, requested budget, TPO’s name, SAP Req # and/or contract number.
Submitted to: UT Battelle, LLC

Proposal Title: ________________________________

Submitted by: The University of Tennessee
Office of Research & Engagement
1534 White Avenue
Knoxville, TN 37996-1529
(865) 974-3466

University Contact: Office of Sponsored Programs
1534 White Avenue
Knoxville, TN 37996-1529
(865) 974-3466

Authorized Organization Representative: ________________________________

Total Requested: ________________________________

Performance Period: ________________________________

UT Principal Investigator(s): ________________________________

By submission of this proposal, the University of Tennessee confirms that there are not changes to the Representations and Certifications previously submitted on: 04/26/2016

Please complete at least one of the boxes below:

ORNL TPO(s): ________________________________

SAP Requisition Number: ________________________________ ORNL Subcontract Number: ________________________________
Overview of OSP Process

- Once the proposal specialist has reviewed and approved all documents, the cover sheet is signed.
- Once signed, all documents are combined into a single PDF and submitted via email to the ORNL procurement officer. Exhibit 2 is submitted as additional document. PI will be copied on submission email.
- Contracting officer reviews proposal and will contact OSP with any questions.
What if I don’t have a requisition email?

Per UT-Battelle guidelines, each new proposal submission must include a unique SAP requisition number. Under federal contracting guidelines, proposals submitted must be in response to a request for proposal (RFP/RFA), which begins with the ORNL TPO requesting a requisition number in their system for the work to be done. Recent proposals submitted by UTK to UT-Battelle without requisition numbers have resulted in lengthy delays, creating a financial hardship for departments as well as the students involved. In order to avoid this situation in the future, UT-Battelle has formally changed their policy, requiring requisition numbers on all proposal submissions. To be compliant, OSP cannot submit proposals to ORNL without the requisition number.
After proposal submission, a new contract or modification is sent to OSP from ORNL Contract Officer.

OSP Contract Administrator reviews the contract or modification for troublesome language.

If necessary, the contract is negotiated to remove unacceptable language until both parties agree.
Contract Process

Contract is signed by UTK authorized official.  
Award is now fully executed and returned to ORNL.  
Award is entered into CAYUSE and sent to SPA.
# SPA Contacts

<table>
<thead>
<tr>
<th>FIXED PRICE CONTRACTS</th>
<th>COST REIMBURSABLE CONTRACTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alice Bradley</td>
<td>Stacey Conroy</td>
</tr>
<tr>
<td>(865) 974-4032</td>
<td>(865) 974-0275</td>
</tr>
<tr>
<td><a href="mailto:abradle4@utk.edu">abradle4@utk.edu</a></td>
<td><a href="mailto:sec@utk.edu">sec@utk.edu</a></td>
</tr>
</tbody>
</table>
Questions?

Contact the Office of Sponsored Programs

osp@utk.edu
865-974-3466