Top 10 Ways to Streamline Your Proposal Review

Presented by
OSP Proposal Group
10. UT-Battelle Forms

- UTB budgets and Exhibit 2’s signed by PI’s

**Exhibit 2**
Ref: FAR 52.227-15

**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) —

- [x] (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:
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
OFFEROR: The University of Tennessee

SIGNATURE: Jean Mercer

PRINTED NAME: Jean Mercer

TITLE: Asst. Vice Chancellor for Research

DATE: 7/10/2017
- Budgets often show up on the wrong form
- Osp.utk.edu/budget-preparation

### UT/ORNAL Proposal Budget

<table>
<thead>
<tr>
<th>Title:</th>
<th>SAP Requisition Number</th>
<th>ORNL Subcontract # (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposed Duration (Number of Months):</td>
<td>CFDA Code:</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:
List each separately with name and title

<table>
<thead>
<tr>
<th>Appointment 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>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Other UTB Budget Issues

- GRA tuition and fringe benefit rates
- Inflation rates (3%, 8%, 6%)

These are scrutinized closely for consistency!
9. Contact Info - Cayuse

- Cayuse – General Information

- Cayuse – Investigator Research Team

<table>
<thead>
<tr>
<th>Person</th>
<th>Unit</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Casual&amp;cell &amp; molec biology (U013410016)</td>
<td>Lead Principal Investigator</td>
<td></td>
</tr>
<tr>
<td>Knoxville Development Pay (U000102002)</td>
<td>Other Participant (no routing)</td>
<td></td>
</tr>
</tbody>
</table>

- Common Roles - Lead Principal Investigator, Principal Investigator, Other Participant (Non-Routing)
Contact Info – Sponsor Forms

• Workspace Application Standard Package
  • 5. Person to be contacted on matters involving this application = Award Coordinator
    • OSP Agency Distribution List
  • 14. Project Director/Principal Investigator
  • 19. Authorized Representative = David Smelser
    • Phone: (865) 974-3466
    • Email: osp@utk.edu

http://osp.utk.edu/proposals/proposal-information/
Contact Info – Sponsor Forms

- Workspace Application Standard Package
- Budget Form – Cognizant Federal Agency
- DHHS, Daniel Levinson, (202) 619-3148

Audit Agency:
DHHS (Department of Health and Human Services)
Office of the Inspector General
Office of Audit Services
330 Independence Avenue, SW
Washington, DC 20201
Daniel R. Levinson, Inspector General
(202) 619-3148
https://oig.hhs.gov/

http://osp.utk.edu/proposals/proposal-information/
Contact Info – Sponsor Forms

• Location Information
  • Workspace
    • Application Information = University of Tennessee and OSP address
      • Proposal Information
    • Project/Performance Site Primary Location = PI Office or Lab
• NSF Fastlane Proposal
  • Primary Place of Performance

ADDRESS OF PRIMARY PLACE OF PERF, INCLUDING 9 DIGIT ZIP CODE
University of Tennessee Knoxville
1 Circle Park
TN, 379960003, US.
Contact Info – Submission Method

• How will the proposal be submitted?
  • Cayuse 424
  • Grants.gov
  • Paper
  • Other
    • List method to be used (i.e. Fastlane, Online Portal, Email)

How will this proposal be submitted?
Select Submission Method: Other ▼ Email or URL: 
8. Effort Table

- Cayuse Investigators/Research Team Effort Table
Effort Table

- Person Months: Number of months on the project in the first year only. This includes salary for time being requested from sponsor and any cost shared effort.

- Sponsored Effort: Percent effort of time being requested from sponsor in the first year only. This is calculated by dividing appointment by person months.

- Cost Shared Effort: Percent effort of time being cost shared in the first year only. This is calculated by dividing appointment by person months.
Effort Table

- **Total Effort**: Total of sponsored effort and cost shared effort. This is automatically calculated by the system.

- **Allocation of Credit**: Internal credit for the project. This is for the percentage of credit allocated to each individual. This is not related to the effort on the project but is for internal purposes only.
Table with “Sponsored Effort”

<table>
<thead>
<tr>
<th>Person</th>
<th>Unit</th>
<th>Role</th>
<th>Sponsored Effort</th>
<th>Cost Shared Effort</th>
<th>Total Effort</th>
<th>Allocation of Credit</th>
<th>Person Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tony Stark</td>
<td>Avengers (U01001)</td>
<td>Lead Principal Investigator</td>
<td>16.6667%</td>
<td>0.0000%</td>
<td>16.6667%</td>
<td>50.0000%</td>
<td>2.0000</td>
</tr>
<tr>
<td>Bruce Banner</td>
<td>Avengers (U01001)</td>
<td>Principal Investigator</td>
<td>22.2222%</td>
<td>0.0000%</td>
<td>22.2222%</td>
<td>50.0000%</td>
<td>2.0000</td>
</tr>
<tr>
<td>Phil Coulson</td>
<td>S.H.I.E.L.D. (U01002)</td>
<td>Investigator:</td>
<td>0.0000%</td>
<td>0.0000%</td>
<td>0.0000%</td>
<td>0.0000%</td>
<td>0.0000</td>
</tr>
<tr>
<td>Maria Hill</td>
<td>S.H.I.E.L.D. (U01002)</td>
<td>Other Participant (no routing)</td>
<td>0.0000%</td>
<td>0.0000%</td>
<td>0.0000%</td>
<td>0.0000%</td>
<td>0.0000</td>
</tr>
</tbody>
</table>
Table with “Sponsored Effort” and “Cost Shared Effort”
7. Travel Justification

• What Should a Travel Justification Include
  • Purpose of Travel (Conference, Fieldwork, Collaborator Meeting, Etc.)
  • Number of Travels
  • Number of Days Traveling
  • Location of Travel – For future conference, use best guess based on previous locations
Travel Justification

• What Should a Travel Justification Include
  • Break Down of Costs for each trip
    • Airfare/Mileage if Driving
    • Other Transportation (Car Rental, Parking, Taxi, etc.)
    • Lodging
    • Subsistence/Per Diem
    • Registration Fees
Travel Justification

• What Should a Travel Justification Include
  • Basis for costs (GSA Rates, Previous Experience, Conference Website, Travel Website, etc.)
    • GSA Website
Travel Justification

- Example

<table>
<thead>
<tr>
<th>Destination</th>
<th>Purpose</th>
<th>Traveler(s)</th>
<th>Airfare / Ground Trans. / person</th>
<th>Per Diem /day</th>
<th>Lodging / nt.</th>
<th>Conference Reg. Fees / person</th>
<th># of Trips</th>
<th>Total / yr.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Travel</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New York, NY</td>
<td>Conference Travel, 4Days</td>
<td>2</td>
<td>$600</td>
<td>$69</td>
<td>$242</td>
<td>$400</td>
<td>1</td>
<td>$4,488</td>
</tr>
</tbody>
</table>

- Costs totaling $XXX are included for domestic travel for the PI/GRA to attend professional conferences (e.g., NAME OF CONFERENCE) to present findings associated with the investigation. Cost includes an estimated registration fee of $400, an estimated $600 for flights to the conference, $242 per day for 4 days for lodging and $69 per day for per-diem. Estimates are based on CONUS rates and prior costs, and include anticipated airfares, conference registration fees, lodging and per-diem.

http://osp.utk.edu/budget-preparation/
6. Affiliated Units

• Use of affiliated or other approving units
Affiliated Units

• Use of affiliated or other approving units

<table>
<thead>
<tr>
<th>Routing Order</th>
<th>Unit Code</th>
<th>Unit</th>
<th>Roles(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>U013425080</td>
<td>Nuclear engineering</td>
<td>Admin Unit, Lead Principal Investigator, Administrative Contact</td>
</tr>
<tr>
<td>2</td>
<td>U013410012</td>
<td>Microbiology</td>
<td>Investigator</td>
</tr>
<tr>
<td>2</td>
<td>U013410</td>
<td>College of arts &amp; sciences</td>
<td>Rollup From - U013410012</td>
</tr>
<tr>
<td>3</td>
<td>U013425</td>
<td>College of engineering</td>
<td>Rollup From - U013425080</td>
</tr>
</tbody>
</table>
Affiliated Units

- Use of affiliated or other approving units

<table>
<thead>
<tr>
<th>Order</th>
<th>Unit</th>
<th>Authorizing Person(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Nuclear engineering</td>
<td>Lawrence Heilbronn, J Hines, Pamela Arrowood</td>
</tr>
<tr>
<td>2</td>
<td>Microbiology</td>
<td>Karen Cole, Steven Wilhelm, Heidi Goodrich-Blair</td>
</tr>
<tr>
<td>2</td>
<td>College of arts &amp; sciences</td>
<td>Andrew Haswell, Christine Boake, Mary Witherspoon, Patricia Anthony, Theresa Love, Charles Collins</td>
</tr>
<tr>
<td>3</td>
<td>College of engineering</td>
<td>Wayne Davis, Kenneth Carter, Jada Huskey, William Dunne, Melissa McDonald, Lynne Parker, Masood Parang</td>
</tr>
<tr>
<td>4</td>
<td>University of Tennessee Pre-award Office</td>
<td>Admin Office</td>
</tr>
</tbody>
</table>
5. Submission Notes
Reasons to leave a submission note

• When location of project is at ORNL, include a note with the ORNL building number and room number.

• When the sponsor is not listed in Cayuse, include a note with the sponsor name along with a website.
  • This applies for prime funding agency and subcontractors that are not listed in Cayuse

• Contact information for email submission

• Add a note to state if any of the subcontractors have already been contacted
Reasons to leave a submission note (Cont.)

• Contact information for subcontractors if OSP needs to contact the subcontractor for documents

• When the proposal is “odd”, some information about what is going on would be nice

• When the contract is already in OSP or even attached to the proposal in Cayuse

• If the PI and/or department contact will be out of town near the deadline
Reasons to leave a submission note (Cont.)

• If the deadline for our proposal is not the same as the sponsor deadline, include a note stating the reason for the difference
• GRA/GTA appointment/effort/tuition information
• Difference in names for individuals listed on budget (IRIS name vs name he/she goes by)
• Any information that would be helpful as we start to review the proposal
• Anything else you think OSP may need to know about any part of the proposal
Reasons leaving a submission note benefits everyone

• Cuts down on back and forth emails between OSP and the PI/Dept.
• Allows the OSP Proposal Coordinator to better review the proposal from the start
• Helps to ensure everyone is on the same page as early as possible
• If you don't tell us, we don’t know
4. Fringe Benefits

Accurate calculation of fringe benefit rates
## Fringe Rates

<table>
<thead>
<tr>
<th>Category</th>
<th>Fringe Rate</th>
</tr>
</thead>
</table>
| Salaried Faculty/Staff | • Actual fringe benefit rate  
|                    | • IRIS: ZPR_BEN_STATE                                                                                        |
| TBD Faculty/Staff  | • 33% UTK average or staff benefits calculator                                            |
| Hourly Employees  | • 8% FICA                                                                                                  |
| GRAs/GTAs         | • Monthly rate for health insurance (FY18 $157)  
|                    | • Required if employed at least 25% FTE  
|                    | • Budget 8% annual increase                                                                                 |
| Joint Faculty     | • Rate provided with salary verification                                                                    |
Fringe Benefits: Actual Rates

The University of Tennessee
Personalized Benefits Statement For
Effective Date: 07/26/2017

Personnel Number:

<table>
<thead>
<tr>
<th>SALARY:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary (annual rate)</td>
<td>$44,637</td>
</tr>
<tr>
<td>longevity</td>
<td>$500</td>
</tr>
<tr>
<td>Total</td>
<td>$45,537</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>UT PAID TAXES:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Security</td>
<td>$2,823</td>
</tr>
<tr>
<td>Medicare</td>
<td>$660</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>$3,483</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>UT PAID RETIREMENT:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>TCES</td>
<td>$8,592</td>
</tr>
<tr>
<td>401(k) Matching</td>
<td>$5</td>
</tr>
<tr>
<td>TSP</td>
<td>$5</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>$8,602</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>UT PAID INSURANCE:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>CIGNA Partnership FF</td>
<td>$10,284</td>
</tr>
<tr>
<td>Basic Life</td>
<td>$40</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>$10,324</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OTHER UT PAID BENEFITS:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Education Act YTD</td>
<td>$0</td>
</tr>
<tr>
<td>Deposit Edu Act YTD</td>
<td>$5,596</td>
</tr>
<tr>
<td>Workers Compensation</td>
<td>$115</td>
</tr>
<tr>
<td>Unemployment Ins</td>
<td>$5</td>
</tr>
<tr>
<td>UT PAID BENEFIT TOTAL</td>
<td>$28,052</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>COMPENSATION TOTAL</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$73,589</td>
</tr>
</tbody>
</table>

**How much have I paid?**
- Accrued Leave Hours: 224.0
- Sick Leave Hours: 90.00
- Maximum Value of Annual Leave: 214.8 hours x $21.45 = $4,607

**How much does the University pay?**
- Salary: 61%
- Longevity: 10%
- Benefits: 29%

[Link to Personalized Benefits Statement]

[URL: http://humanresources.utk.edu/beneftips.htm] or contact Benefits and Wellness, benefits@utk.edu, (865) 974-8147 or 800-844-9847.
Fringe Benefits: Actual Rates
Academic/Calendar

To calculate actual fringe rates, divide UT Paid Benefit Total by Total Salary

\[
21,407 \div 77,494 = 0.2762
\]

Fringe Rate = 27.62%
Fringe Benefits: Actual Rates
Summer

For summer effort on 9-month appointments, subtract UT Paid Insurance from UT Paid Benefit Total

\[
\begin{align*}
\text{Salary:} & \quad \text{Salary (annual rate):} \quad \$77,494 \\
& \quad \text{Total:} \quad \$77,494 \\
\text{UT Paid Taxes:} & \quad \text{Social Security:} \quad \$4,804 \\
& \quad \text{Medicare:} \quad \$1,123 \\
& \quad \text{Sub-Total:} \quad \$5,928 \\
\text{UT Paid Retirement:} & \quad \text{ORP:} \quad \$7,749 \\
& \quad \text{401(k) Matching:} \quad \$600 \\
& \quad \text{TSP:} \quad \$ \ \\
& \quad \text{Sub-Total:} \quad \$8,349 \\
\text{UT Paid Insurance:} & \quad \text{HCBS Partnership PPO:} \quad \$6,864 \\
& \quad \text{Basic Life:} \quad \$49 \\
& \quad \text{Sub-Total:} \quad \$6,913 \\
\text{Other UT Paid Benefits:} & \quad \text{Education Assist YTD:} \quad \$ \ \\
& \quad \text{Dept Ed Assst YTD:} \quad \$ \ \\
& \quad \text{Workers' Compensation:} \quad \$183 \\
& \quad \text{Unemployment Ins:} \quad \$22 \\
\text{UT Paid Benefit Total:} \quad \$21,407 \\
\text{Compensation Total:} \quad \$98,901
\end{align*}
\]

Fringe Rate = 18.7%
Fringe Benefits: Actual Rates

Subtract Dependent Education Assistance from UT Paid Benefit Total

\[
\begin{align*}
$28,052 & \quad - \quad $5,506 \\
$22,546 & \div 45,537 = 0.4951
\end{align*}
\]

Fringe Rate = 49.51%
Fringe Benefits: TBD

The University of Tennessee
Calculation of Employee Benefit Rate
Effective 12/1/2016 - revised 12/15/2016

**Employee Name May Be Entered Here**

<table>
<thead>
<tr>
<th>Type</th>
<th>Rate</th>
<th>Annual Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Annual Salary</strong></td>
<td></td>
<td>$75,000.00</td>
</tr>
<tr>
<td>Staff Benefits</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Retirement</td>
<td>9.00%</td>
<td>6,750.00</td>
</tr>
<tr>
<td>Social Security*</td>
<td>7.65%</td>
<td>5,737.50</td>
</tr>
<tr>
<td>Unemployment™</td>
<td>0.2760%</td>
<td>24.64 $9K Limit Exceeded, see footnote</td>
</tr>
<tr>
<td>Workers Comp</td>
<td>0.25%</td>
<td>187.50</td>
</tr>
<tr>
<td>Group Insurance</td>
<td>EE &amp; SP &amp; CH</td>
<td>$1486.00/mo.</td>
</tr>
<tr>
<td>401K Matching</td>
<td>Yes</td>
<td>$50/mo.</td>
</tr>
<tr>
<td><strong>Total Staff Benefits</strong></td>
<td></td>
<td>31,131.64</td>
</tr>
<tr>
<td><strong>Total Salary &amp; Benefits</strong></td>
<td></td>
<td>$106,131.64</td>
</tr>
</tbody>
</table>

**Employee Staff Benefits Rate**

41.51%

* OASDI of 6.2% on first $127,200 plus 1.45% of annual salary on a calendar year basis.
* Unemployment is calculated on the first $9,000 of salary on a calendar year basis.

3. Cost Share Documentation

- Approval should be sought well in advance of routing a proposal in Cayuse.
  - *Upload that email!*
- Recognizing cost share
  - Committed versus Uncommitted
  - Cash & In-kind
- Who approves?
  - Start with your Department Head
- Provide a cost share budget & detail these costs in the budget justification
2. Subcontract Documentation
What is FDP?

- Federal Demonstration Partnership
- Cooperative initiative among federal agencies and institutions to reduce administrative burdens with research grants and contracts
- FDP Expanded Clearinghouse
  - https://fdpclearinghouse.org/organizations
FDP Institutions

• Still need the same information, without AOR involvement
• No longer have to exchange institutional information
  • TIN, DUNS, audit information, etc.
• Still required to exchange project specific information
  • SOW, budget, compliance details, etc.
FDP Institutions’ OSP May Email

- Sub PI Name:
- Performance Location:
- Subaward Amount:
- Are you contributing cost share (and if so the amount)?
- Are there Human Subjects involved?
- Are there Animal Subjects involved?

- Office of Sponsored Programs Contact
  - Name:
  - Email:
  - Phone:
- Please provide an institutionally approved:
  - Statement of Work
  - Budget
  - Budget Justification

Email me if you’d like a copy of our email template!
Non-FDP Institutions

• We need from an AOR:
  • SOW
  • Budget
  • Budget justification
  • Subrecipient commitment form
  • Appendix A - if your project is PHS funded research (or an organization that follows PHS FCOI Part II requirements)

• We also need:
  • All documents required by sponsor, such as biosketch, C&P, facilities, etc.

• The process for gathering documentation from these institutions will not change from historical the process
Why Do We Document?

• We cannot finalize our proposal components without their documents
• Uniform Guidance § 200.331
  • In review of the proposed SOW and in accordance with UT Fiscal Policy, FI 0230, Exhibit 01 - Determination Guide, [external entity] has been evaluated and is classified as a [subrecipient, contractor, or consultant].
1. Sponsor Deadline

- The date listed in Cayuse is the date we work towards. It’s important to ponder some of the following questions to ensure you list the proper deadline date for your proposal.

- If the deadline is not correct and it turns out the proposal is actually late, the proposal coordinator will mark it late.
Sponsor Deadline

- Is this a hard deadline?
- Are we a subcontractor to another entity?
- Has the proposal already been submitted?
- Is this a UT-Battelle proposal?
- Is the PI going on vacation prior to the sponsor deadline?
Questions?
Training Credit

• Effective August 2017, employees must use k@te to submit training credit forms

• hr.tennessee.edu/training

• Choose: Register, then login, Learning, View Your Transcript, Options, Add External Training

• An EOD staff member will approve trainings weekly
Questions?

Proposal Coordinator Contacts

<table>
<thead>
<tr>
<th>Stacey Wade:</th>
<th>Kiley Compton:</th>
</tr>
</thead>
<tbody>
<tr>
<td><a href="mailto:swade@utk.edu">swade@utk.edu</a></td>
<td><a href="mailto:kcompto1@utk.edu">kcompto1@utk.edu</a></td>
</tr>
<tr>
<td>Jennifer Benson:</td>
<td>Jordan Brown:</td>
</tr>
<tr>
<td><a href="mailto:jennifer.benson@tennessee.edu">jennifer.benson@tennessee.edu</a></td>
<td><a href="mailto:jordan.brown@utk.edu">jordan.brown@utk.edu</a></td>
</tr>
<tr>
<td>Marie Penn:</td>
<td>Nicole Plavnick:</td>
</tr>
<tr>
<td><a href="mailto:marie.penn@utk.edu">marie.penn@utk.edu</a></td>
<td><a href="mailto:nplavnick@utk.edu">nplavnick@utk.edu</a></td>
</tr>
</tbody>
</table>