

## External Funding Submission Guidelines & Procedures

### CEHHS Proposal Processing

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### Overview of Procedures

**IMPORTANT NOTE:** To submit a grant through UT, the Principal Investigator (PI) must be a faculty member, Postdoctoral Researcher or Center staff member, unless otherwise required in the RFP and/or approved by the Associate Dean of Research in advance. If a student or Postdoctoral researcher is the PI, a CEHHS faculty member must be included as a Co-PI on the application and in Cayuse. Graduate students are only allowed to submit as lead PI for training opportunities.

- The PI must complete the CEHHS “**Submitting a Proposal**” form located here: <https://tinyurl.com/plantosubmit>.
- **Preliminary proposals, letters of intent, projects where other UTK departments are the lead, and subcontracts with other institutions** need to follow this procedure. Delay or non-notification of such projects may mean projects will not be submitted.
- Once the sponsor guidelines have been reviewed for the submission, the Research Administration Manager will contact the PI to setup a meeting with PI(s) and send a timeline prior to meeting with suggested resources and list of recent agency guidance. The Manager will discuss the PI preferences on what they are comfortable completing on their own (e.g. uploading files in sponsor portal, personnel files, creating draft budget/justification). The manager will modify the timeline to reflect decision.
- Once the timeline is approved by the PI, an email will be sent to the faculty member(s), department head(s) and business manager with this statement:  
***I understand and agree to the following:***
  - *I am responsible for reading all the guidelines for this submission and preparing all my files in accordance with the most recent sponsor guidance and templates.*
  - *I am responsible for notifying my assigned OREF team member of deviations from this timeline in advance so new dates can be arranged.*
  - *I acknowledge that if I deviate from these original timeline dates as agreed upon with OREF managers, I may receive less support than initially discussed. If the timeline cannot be readjusted to get on track to meet [DRA's deadlines](#), the proposal is at risk for not getting submitted.*
  - *I understand that ultimately this submission is my responsibility to lead and OREF team is here to support the process.*
- DRA (Division of Research Administration) will conduct the final review of the proposal to ensure that it follows Federal, State, and University regulations before submitting it to the sponsor.

### DRA Deadline and PI's Responsibility

**Proposal Submission Deadlines:** All proposals must be approved by departments(s) and college(s) in Cayuse SP and **ALL FINAL proposal documents and application package materials** received by DRA, **five (5) business days** before the sponsor deadline that is entered on the proposal form in Cayuse.

- No changes will be allowed for any documents that are initiated by key personnel on the proposal. At this time only changes identified by DRA to meet institutional, or sponsor requirements will be accepted. To allow the proposal to be submitted, final revisions to all changes requested by DRA must be provided to them no less than two days before submission. If not received by this time, the proposal will not be allowed to be submitted.

**To assist faculty in meeting the deadline above, DRA and CEHHS's OREF are requesting the following at least ten (10) Business Days Prior to Submission:**

- All non-technical, financial, and supplemental documents submitted to DRA fully routed and approved via Cayuse. Routing should also include a draft of the technical documents that describe the project being proposed.
  - This deadline allows DRA to begin the review, while also allowing investigators to continue to edit technical documents, such as the proposal narrative/research strategy, project summary/specific aims and references cited. It also builds in some buffer in case required materials are accidentally missed by the faculty member or Research Administration Manager.
- **It is the PI's responsibility to take ownership of understanding and following the Sponsor and University**

**guidelines/policies and completing all required forms correctly and in a timely manner to make internal deadlines.** If the Research Administration Manager believes processes are not being followed, the PI, department head, and Associate Dean of Research will be notified to find a solution. If Sponsor and/or University guidelines/policies are not followed, the PI will not be allowed to submit.

## **Support from Office of Research and External Funding**

1. **TIMELINE AND CHECKLIST CREATION** – Within 2 business days of receiving the “[Submitting a Proposal](#)” Request Form, a Research Administration Manager will contact you to schedule a meeting to discuss your submission. During that meeting, an agreed upon timeline will be created. This will be emailed to you along with any existing templates we have to support your submission to that sponsor.
2. **BUDGET** - As soon as the PI knows the scope of the project (**in correlation with the Aims/abstract/summary page**) the Research Administration Manager will work collaboratively with the PI to create a budget. The process of this will be decided upon between the PI and the Manager, and once the budget is finalized, the Manager will place the budget into the CEHHS standard budget form. Reference tools from DRA that can be used in the process are [here](#).
3. **BUDGET JUSTIFICATION** - The PI must provide a budget justification with the final budget. DRA requires a detailed budget; all items in the budget must be included in the budget justification. Resources and sample budget justification templates are available at: <https://cehhs.utk.edu/office-of-research/proposals/proposal-budgets/>
4. **RESEARCH ADMINISTRATION SERVICES SUPPORT** – Please reference this file for our tiered support: <https://cehhs.utk.edu/wp-content/uploads/sites/15/2023/03/External-Funding-Support-and-Responsibility-Matrix.pdf> A draft narrative, summary and references and all remaining sponsor documents should be in final form and sent to the Research Administration Manager **12-14 business days** before the proposal deadline for a full review and feedback. PI is responsible for editing all documents based upon feedback from OREF manager prior to routing in Cayuse, as well as making requested changes upon request from DRA proposal coordinator. In addition, the budget must be final before routing begins in Cayuse. This includes projects where other UT departments (outside CEHHS) are the lead and when PIs are working with other institutions on subrecipient arrangement submissions.
5. **ABSTRACT/SUMMARY/AIMS REVIEW** – Upon request by the PI, CEHHS Research Administration Services will include review and feedback on the lead PI’s abstract, project summary, or specific aims if provided 21 days or earlier, prior to submission. This review is designed to assist faculty with submitting an application that fits the proposed mechanism, has a strong premise, and has appropriate methodology. We strongly encourage EARLIER and multiple rounds of review by this office and your colleagues.
6. **OUTSIDE INTEREST DISCLOSURE** -- All outside interests must be fully and accurately disclosed in the university’s [outside interests disclosure system](#).
7. **SUBAGREEMENTS WITH OTHER INSTITUTIONS** - If there are subrecipients from other institutions, the CEHHS Principal Investigator (PI) must get a **very early** start (30 days ahead of deadline) obtaining budgets and approvals from each subcontractor. For each subcontracting PI, the subrecipient form must be completed and signed by an Authorized Representative from the collaborating institution. The Research Administration Manager will assist with determining the appropriate form found [here](#) to be used.
8. **CONSULTANTS** - The PI needs to obtain a signed and complete [consultant commitment form](#) from each named consultant (not required for advisory board members) prior to the submission to DRA. The form requires the consultant’s rate of compensation per hour or per day and number of hours or days of service in each year of the project. It also requires a detailed description of the services to be provided. The total costs should include travel for the consultant, if applicable.
9. **CEHHS AND DEPARTMENTAL RESOURCE NEEDS** – The PI must specify what CEHHS and/or Departmental resources he/she will need in order to conduct this project (e.g., CEHHS/Dept. office space, CEHHS IT needs, indirect expenses such as advertising, printing, in-house equipment rental, etc.)
10. **CAYUSE** – The Research Administration Manager will initiate the [Cayuse SP](#) proposal and will ask the PI to complete the compliance related sections (i.e. Conflict of Interest, Regulatory Compliance, Export Control, Intellectual Property, Project Location and Community Benefits), and certify as PI **10-14 days prior** to the sponsor deadline to allow adequate department and DRA review of the proposal.
11. **PROPOSAL REVIEW CHECKLIST/ROUTING SOON EMAIL** – The Research Administration Manager will create a simplified review checklist and include it in the Cayuse submission to aid in the review by the department head. A “ROUTING SOON” email to all CEHHS involved units will be compiled and sent 10-14 days prior to the sponsor deadline. It is highly recommended that the faculty member discusses the proposal, and their

department needs (i.e. space for new students or staff, technology, course release, cost sharing, expectations, etc.) with their DH as early as possible to expedite the review and approval of the proposal in Cayuse. If the DH does not approve of the proposal or requires additional information before approval, the proposal may not meet the DRA deadlines and/or be allowed to be submitted.

12. **ELECTRONIC SUBMISSION TO SPONSOR** – The Research Administration Manager will assist the PI in completing the general information sections of the electronic application (i.e. FastLane, grants.gov workspace, Cayuse 424, ASSIST, etc.) and will give access to DRA for their review before routing of the proposal in Cayuse. This package will also be required to be in final form 5 business days prior the sponsor deadline.

## Proposal Submission to Sponsor

- Often DRA recommends corrections to proposals. The PI should leave sufficient time to work collaboratively on making the required changes in order to finalize the proposal before the deadline as well as be highly responsive and available in the last 3-5 business days prior to sponsor deadline to make requested changes. **No changes will be allowed from any interested party besides DRA in the last 5 business days prior to the sponsor deadline.**
- It is the PI's responsibility to originate, prepare, and finalize the proposal. The CEHHS Research Administration Manager will assist with and support this process by providing detailed review of submission materials, but ultimately the PI is responsible for creating a completed proposal package that meets all the sponsor requirements.
- Prior to submission, the PI must respond to the proposal coordinator in DRA via email that they approve the final proposal and it is ready for submission.

## University Closing and Sponsor Deadlines

- **DRA closes its offices at 5:00 pm EST, Monday through Friday. Therefore, if DRA is submitting a PI's proposal electronically, DRA must submit it by 5:00 pm, even if the sponsor deadline is midnight.**
- In the event of a University closing (due to inclement weather, power outage or another emergency), DRA will be closed. In this situation, the PI with a grant deadline during that period of time, is responsible for contacting the funding agency for an extension of the deadline date.
- If an extension was granted, DRA will work with the PI to get the proposal submitted prior to the new deadline.
- Business days are categorized as any working day the University is fully open and operational for business. Holidays, inclement weather days, and administrative closings and not consider working business days.

## Internal Proposal Note

- Please note that all **INTERNAL** University of Tennessee grant proposals should be submitted and managed by academic departments. Only external grant proposals are submitted and managed by CEHHS Office of Research and External Funding.

## Other CEHHS Procedures to Reference

- [External Funding Support and Responsibility Matrix](#)
- [External Funding Guidelines for PostDocs and Graduate Students](#)
- [Graduate Assistantships Factsheet for Sponsored Projects](#)
- [Review of Aims and Editing Criteria](#)
- [Workload Guidelines for Faculty and Staff Engaged in External Funding](#)
- [Resolving COI Created by Dual Roles](#)
- [Fiscal Control Steps for Sponsored Projects](#)
- [CEHHS Research Incentive Plan](#) and [Approval Form](#)
- Other forms found here: <https://cehhs.utk.edu/forms/>