Overview of Procedures

*IMPORTANT NOTE: In order to submit a grant through UT, the Principal Investigator (PI) must be a faculty member, Postdoctoral Researcher or Center Director, 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 faculty member must be included as an Co-PI on the application and in Cayuse.

- The PI completes the CEHHS “Submitting a Proposal” Request form at least 10 days prior to the due date of the proposal for the CEHHS Director to review and assign to one of the grant managers to support. This form is on the CEHHS website under “Submitting A Proposal.” The website address for this form is: http://cehhs.utk.edu/submitting-a-proposal-form
  - 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 no assistance or review by our office.
- Once the proposed project has been reviewed, the Grant Manager will contact the PI, the department business manager or accounting specialist, and the department head to start working on the preliminary steps for the proposal.
- 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 proposal documents received by DRA by 9:00 am, five (5) business days before the sponsor deadline that is entered on the proposal form in Cayuse. Please review the DRA deadline policy HERE to fully understand what documents need to be in final form when submitted to DRA.
- **It is the PI’s responsibility to take ownership of understanding the Sponsor guidelines and completing all required forms in a timely manner to make internal deadlines.** At any point during the submission the grant manager believes that any of our processes are not being followed, the PI, department head, and Associate Dean of Research will be notified to find a solution. In the most extreme cases, the PI may not be allowed to submit.

Budget and Documentation Submission

1. **TIMELINE AND CHECKLIST CREATION** – Within 2 days of receiving the “Submitting a Proposal” Request Form, a grants 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. **GRANT SERVICES SUPPORT** - A draft proposal, budget, and budget justification with title and project period should be sent to the Grant Manager at least 10 business days before the proposal deadline. This ensures routing and approval in Cayuse within the 5-day deadline set by DRA. 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.**
3. **ABSTRACT/SUMMARY/AIMS REVIEW** – Upon request by the PI, CEHHS Grant Services will include review and feedback on the lead PI’s abstract/project/summary/specific aims if provided 14 days 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.
4. **BUDGET** - As soon as the PI knows the scope of the project (preferably in correlation with the Aims/abstract/summary page) the Grant Manager will work collaboratively with the PI to create a budget using CEHHS standard budget form.
5. **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/
6. **SUBAGREEMENTS WITH OTHER INSTITUTIONS** - If there are subrecipients from other institutions, the
CEHHS Principal Investigator (PI) must get a very early start obtaining budgets and approvals from each subcontractor. For each subcontracting PI, the Subrecipient Form and, if the sponsor is a Public Health Service agency, Appendix A regarding conflict of interest policies the subrecipient PI will follow, must be completed and signed by an Authorized Representative from the collaborating institution.

7. **CONSULTANTS** - The PI needs to obtain a consultant commitment form from each named consultant 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.

8. **BIOSKETCHES** - Biosketches have very specific sponsor formats and are required by most sponsors for all key personnel. The Grant Manager will identify the required format for the PI and provide an example if needed.

9. **CEHHS RESOURCE NEEDS** – The PI must specify what CEHHS resources he/she will need in order to conduct this research (e.g., CEHHS office space, CEHHS IT needs).

10. **REQUIRED ATTACHMENTS** – CEHHS requires a draft of the research plan/statement of work, final budget, budget justification, sponsor guidelines, and proposal review checklist before routing in Cayuse can begin.

11. **CAYUSE** – CEHHS 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 and Community Benefits), and certify as PI 6-7 days prior to the sponsor deadline to allow adequate department and DRA review of the proposal.

12. **PROPOSAL REVIEW CHECKLIST** – The Grant Manager will create a simplified review checklist and include it in the Cayuse submission to aid in the review by the department head. It is highly recommended that the faculty member discuss the proposal and their department needs (i.e. space for new students or staff, technology, course release, cost sharing, expectations, etc.) with their department head as early as possible to expedite the review and approval of the proposal in Cayuse.

13. **ELECTRONIC SUBMISSION TO SPONSOR** – The Grant Manager will assist the PI in completing the electronic application (i.e. FastLane, grants.gov workspace, Cayuse 424, ASSIST, etc.) and will give access to DRA for their review.

**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.

- It is the PI’s responsibility to originate, prepare, and finalize the proposal. The CEHHS Grant Manager will assist with this process, 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**

- Sponsored Program Services 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.

**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.