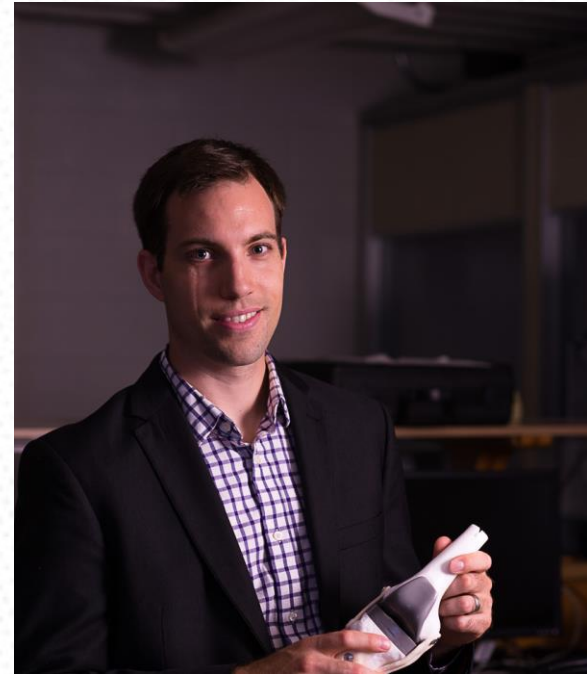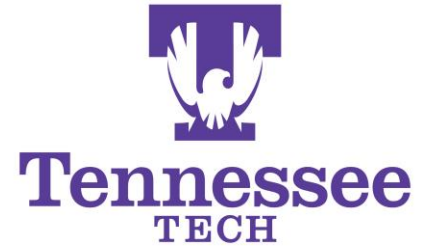# Research 101 Workshop:

Sponsored Projects Overview

Tennessee TECH

Research 101 Workshop

Sponsored Projects Overview

September 23, 2021

Topics to be Covered

- Definition of sponsored research/external funding
- Role of the Office of Research (OoR) and Office of Grant Accounting (GA)
- Internal process and required paperwork
- Overview of roles and responsibilities in proposal development and grant management process
- Overview of training requirements
- Resources available on website/Sharepoint
- Staff contacts and communication strategies

What is a Sponsored Project?

– Sponsored programs are projects and/or activities conducted by members of the faculty or, in some instances staff members or students, that are supported wholly or in part by external restricted funds awarded to the University.

– Externally funded activities in which a formal written agreement, i.e., a grant, contract, or cooperative agreement, is entered into by the University and the sponsor.

Office of Research/Grant Accounting

Tennessee Tech University (TTU) receives awards for research, training, public service and technical assistance from extramural funding sources, including federal, state and local governments and private organizations.

The policies and procedures governing research and sponsored programs are diverse and complex. Our goal is to assist faculty, staff, and students in preparing proposals, conducting research activities, and utilizing external funding in **compliance** with relevant government laws and regulations, and TTU policies and procedures.

Dr. Otuonye is the university official authorized to sign/submit all proposals and most contracts (awards).

Life Cycle of a Sponsored Project

Develop Proposal

Put together competitive proposal that meets all applicable guidelines.

Submit Proposal

Submit proposal in a timely manner through the required method.

Identify Funding Source

Utilize SPIN, Grants.gov, and other resources.

Manage Award

If funded, the project should be implemented according to award documents and complying with all applicable guidelines.

Project Idea

Award Close-out

Ensure that all required reports are completed and applicable closing procedures are followed.

Internal Process

- Notice of Intent to Submit Proposal Form: Completed 30+ days before deadline. Provides information such as preliminary title, PI and other TTU personnel involved, funding program, **deadline**, and **type of assistance needed**.

- Subrecipient/Contractor Checklist and Subrecipient Commitment form (if applicable): required for collaborative proposals involving subrecipients or contractors/vendors.

- Proposal Endorsement Form (PEF): includes budget and personnel information, match requirements, identifies potential compliance issues, etc. Must be signed by PI, Co-PIs and applicable chairs and deans.

- Award Activation Form (AAF): Completed if project is funded. Contains similar information to PEF and details in what budget categories the award will be spent.

Key Roles and Responsibilities

- The Principal Investigator (PI) has the **primary responsibility** for the scientific, technical and fiscal leadership of the project, as well as intermittent progress reports.

- The Dean and Department Chair approve that PI is qualified to serve and approve any cost share commitments. Department Chair also approves any release time and ensures release occurs.

- The OoR assists PI in preparing proposals and implementing awards that are compliant with relevant government laws and regulations, and TTU policies and procedures.

- The Project Bookkeeper assists the PI with budget monitoring to ensure expenditures are authorized and within approved budget. The Bookkeeper also develops and maintains documentation and records in accordance with records management procedures.

- Grant Accounting collaborates with bookkeeper to ensure appropriate fiscal management and prepares and submits all invoices and financial reports to the agency as articulated in the award documents.

See OoR website for a more complete list of roles and responsibilities:
https://www.tntech.edu/research/researchcompliance/roles-and-responsibilities.php

OoR Pre-Award Services

– Assist in identifying appropriate and relevant funding opportunities

– Promote and support collaborative, transdisciplinary research and scholarly activities

– Conduct proposal development workshops

– Assist with proposal and budget development

– Assist in the determination of subrecipient or contractor

– Provide editorial and graphic support on proposals

– Review proposals to ensure sponsor's requirements are addressed

– Coordinate the submission of proposals to external sponsors using online portals

OoR Post-Award Services

- Process all awards from external sponsors

- Negotiate and execute sponsored agreements

- Conduct initial risk assessment for any subrecipient

- Initiate Project Kickoff Meeting to discuss award details, roles and responsibilities, university and sponsor requirements (including reporting) and closeout procedures.

- Ensure administrative compliance with TTU, state, sponsor, and federal regulations

- Coordinate with GA to respond to audit and bookkeeping-assistance requests and to provide training

- Assist faculty in all matters regarding intellectual property protection and commercialization.

GA Post-Award Services

– Provide oversight for sponsored projects accounting at Tech

– Submit invoicing and financial reporting to the sponsor

– Ensure fiscal compliance with TTU, state, sponsor, and federal regulations

– Monitor all matching accounts and requirements, both 3rd party and internal

– Conduct the draw down of funds and reconcile the draw down to expenses.

– Prepare, disseminate and collect effort reporting certifications on a semester basis

– Coordinate with OoR to respond to audit and bookkeeping-assistance requests and to provide training

Required Training

TTU subscribes to the Collaborative Institutional Training Initiative (CITI) to provide training in the Responsible Conduct of Research, Animal Subjects, Human Subjects, and Export Controls.

- All personnel on funded grants are required to complete training in the Responsible Conduct of Research (RCR).

- Additional training modules are required for individuals dealing with human subjects, animal subjects, and export controls.

Communication

- Staff contact information
  - Office of Research
    - tntech.edu/research/aboutus – contains a list of OoR staff phone numbers and email addresses
  - Grant Accounting
    - tntech.edu/businessoffice/grant-acc – contains a list of GA staff phone numbers and email addresses
- OoR newsletter, Tech Times, faculty listserv, emails to chairs/deans
- GA monthly bookkeeper meetings, Teams Group for Bookkeepers, emails.

OoR website: tntech.edu/research

Contains:

- All internal forms and agreements

- Essential information (e.g. congressional district, EIN, DUNS)

- Proposal development resources including toolkit and SharePoint site (e.g. New Faculty Guide to Competing for Research Funding)

- Faculty research directory

- Policies and procedures

- ORED supported committee information

Upcoming Research 101 Workshops

- Identify Funding
  - October 21, 2021

- Best Practices in Proposal Development
  - November 4, 2021

- Subrecipient Monitoring
  - February 3, 2022

- Post-Award Management
  - February 24, 2022

- Responsible Conduct of Research
  - March 10, 2022