Sponsored Programs News

February/March 2012

The University of Tennessee, Knoxville Office of Research

A Message from the Director:

By the time you read this issue of Sponsored Programs News, the Sponsored Programs office will finally be fully staffed. For one reason or another we have been understaffed for about a year. Before I welcome the new employees, I want to thank the SP staff for their continuous dedication and hard work. They all pulled together and made sure that the customer service we provide and the work we do did not suffer. The number of proposals being submitted and the number of awards and award actions being processed have not decreased and therefore the level of work continues.

The latest additions to our group are Barb Wygant and Ken Carter. Barb came to us from the College of Engineering Research Office. Prior to coming to UT, Barb worked at Western Michigan University. She brings with her over 7 years in Research Administration experience. Barb will be working on our Contract side. Ken is a Knoxville native and new to UT. He brings over 8 years of experience working in private industry on proposal development. Ken will be working on the Proposal side. Please help us welcome both Barb and Ken to our office.

In this issue of the newsletter Beth Eslick and Raymond Norris explain the differences between a Subaward, a Consultant and a Vendor and provide useful information on how to determine which one to use on proposals. Also in this issue is an article from Lauren Hill on determining if a project is On or Off Campus, which affects the F&A rate on the project. These are great articles so make sure not to miss them.

Enjoy this issue.

Submit Suggestions and Ideas to: Miriam Campo
mcampo@utk.edu
Write "New Ideas" on the Subject Line

Miriam Campo, Director of Sponsored Programs

Sponsor News:

eRA Information: ACTION REQUIRED Password Changes and Password Expiration for Accounts

In October the eRA Commons moved to establishing a new NIH/Agency Log-in process. As a result of this change, passwords for the accounts within eRA Commons were given an expiration date of February 22, 2012. To avoid the lines and ensure access to your account, you will want to change your password as soon as possible.

***If your account was created, or you have changed your password since October 08, 2011, then you do not need to change your password.

Please be sure you review the password policy.
This password policy and login procedures can also be reviewed in the eRA Commons User Guide.
Questions? Please contact the eRA Help Desk at Web: http://itservicedesk.nih.gov/eRA/ (Preferred method of contact); Toll-free: 1-866-504-9552; Phone: 301-402-7469; TTY: 301-451-5939 helpdesk@od.nih.gov.

Sponsor News continued…

NIH Notice of Salary Limitation on Grants, Cooperative Agreements and Contracts
The NIH Notice Number NOT-OD-12-035 provides information regarding the salary limitation for NIH grant and cooperative agreement awards and extramural research and development contract awards. This is the first year that the salary limitation has been reduced; it is now restricted to **Executive Level II of the Federal Pay Scale**. The Executive Level II salary is $179,700. Since this reduction was included in the law signed December 23, 2011, implementation of the lower level is effective with FY2012 awards where the initial Issue Date of the award is on/after 12/23/2011.

The complete NIH Guide on Salary Limitation is available at:
http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-035.html

Ask Sponsored Programs…

Q: If the sponsor's solicitation requires that a graduate student be the Lead PI on a project, how do we list them in TERA-PAMS?

A: For the purposes of UT, the graduate students mentor or advisor needs to be listed as the Lead Principal Investigator in TERA-PAMS. The graduate student would be listed as a Principal Investigator, if the graduate student is in IRIS. Both the Lead PI and the PI will need to certify the proposal, which is equivalent to their electronic signature. On the sponsor's documents, the graduate student will be listed as the lead since that is a requirement of the sponsor. In the event that the graduate student is not in IRIS, then he cannot be listed in TERA-PAMS at all. In these cases, we ask that you include a submission note, letting us know the Graduate Student's name.

Q: How do I request an NSF no-cost time extension?

A: To request an NSF extension, you will need to:

1. Log into Fastlane
2. Choose "Awards and Reporting Functions"
3. Choose "Notifications and Requests"
4. Under the "Prepare New" drop down box and choose the award number that you need an extension for
5. Click "Prepare New"
6. On the left hand side choose "Grantee Approved No Cost Extension" (or "NSF Approved No Cost Extension" on the right if this is your second extension on the award)
7. Fill out the required information and save.
8. Then click "Send to SRO". This will generate an automatic email to the Sponsored Programs staff alerting us that there is an action for review and approval.

> Submit Questions for Q&A to: **Lauren Hill**
> lhill28@utk.edu
> Write "Q&A" in the Subject Line

On-Campus versus Off-Campus Research

by: Lauren Hill, Sponsored Programs Administrator

Part of the process of submitting your proposal to the Office of Research is identifying what percentage of your Sponsored Research, Instruction, and Other Sponsored Activities is on campus or off campus. This decision is not taken lightly as it reflects if you will be using the on-campus F&A rate or off-campus rate. To many this can become confusing and frustrating. In order to understand these categories we need to start with a definition of F&A.

On-Campus Versus Off-Campus Research *continued*

Facilities and Administrative Costs (F&A): F&A costs are real costs that the institution incurs in support of extramural activities but which cannot be directly charged to a specific grant or contract. F&A costs include building and equipment use and depreciation, operations and maintenance, general and administrative, departmental administration, sponsored projects administration, library, and student administration and services (UT fiscal policy FI0205, Section No.13:). F&A costs also are sometimes called indirect costs or institutional overhead. F&A rates are negotiated with our cognizant Federal audit agency, the Department of Health & Human Services. The off-campus rate of 26% represents only the administrative costs.

Research is more than the data collecting process. Research project activities may also include information gathering, meetings with colleagues, analyzing data, and writing reports and publications. These activities are normally covered under a grant or contract funded project as salary compensation and/or time commitment and tend to take place at the home Institution.

With an understanding of what F&A constitutes and an understanding of what Research involves, the issue of where the activity for the project is taking place needs to be considered. The research activity place that the University is concerned with is that in which UTK personnel are **physically located** during the project period. The on-campus/off-campus classification is strictly an internal determination, subcontractors and collaborators work locality is not included in the calculation.

Below are some statements to consider when determining if your project classifies as on or off campus:

You should use the **on campus** rate if:
* 50% or more of proposed salaries for UTK personnel is performed in space that the University owns or space that some entity of the University leases, such as specific ORNL, and NTRC offices.

You should use the **off campus** rate if:
* 51% or more of the proposed salaries for UTK personnel is performed in space that the University does not own or space that the University does not lease..

If you have any questions about this article, please contact our office at 974-3466.

Reminders …

Remembering the terminology differences between our TERA-PAMS internal routing system and our common sponsors can be frustrating. Below is a chart to help you remember how to classify yourself and others working on a project.

PAMS (internal)	NSF	NIH
Lead Principal Investigator	Principal Investigator	Project Director/Principal Investigator
Principal Investigator	Co-Principal Investigator	Co-Project Director/Principal Investigator or Co-Investigator
Co-Investigator	Senior Personnel	Other Senior/Key Personnel categories

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Subawards, Vendors and Consultants……oh, MY!   Page 4

By: Beth Eslick and Raymond Norris, Sponsored Program Administrators

Have you ever felt like you were taking a pop quiz in a class you had not attended when you were trying to write a proposal and include your partners with the "correct" distinction of subawardee, vendor or consultant? Have you also wondered if it really mattered?
Yes, it is important to identify the appropriate mechanism for your specific project because an incorrect designation could cost you valuable dollars in both direct and indirect costs.

The first step would be to determine the intended relationship between the two parties; this determination is primarily dependent upon the nature of the work.

• If the party is performing a substantive portion of the programmatic work and has responsibilities for programmatic decision making then that relationship would most likely be that of a subawardee (subaward).

• If the party is performing a stated piece of work, analyzing results or providing advice then that relationship would most likely be that of a consultant (professional services).

• If the party is providing goods and services as part of its normal business operation and is not subject to compliance requirements of the program then that relationship would most likely be that of a vendor (vendor agreement).

The table below serves as a general guide for appropriate identification; however, please feel free to contact the Office of Research, Sponsored Programs Office if you would like additional assistance (865-974-3466).

Determining if you have a Subaward, Professional Service or Vendor Agreement

	Subaward (GL Code 481100 and 482100)	Professional Services (Consultant) (GL Code 446000)	Vendor Agreement (GL Code 446000)
Involvement	Subawardee performance is measured against whether the objectives of the award are met. Has responsibility for programmatic decision making. Has responsibility for adherence to applicable program compliance requirements. Publication of results expected.	May perform work, analyze results, evaluate project accomplishment, or provide advice.	Provides the goods and services within normal business operations. Provides similar goods or services to many different purchasers. Operates in a competitive environment. Provides goods or services that are ancillary to the project.
F&A (IDC)	F&A recovery applies only to the first $25,000 of the subaward regardless of the time it takes to reach the $25,000 figure.	F&A recovery applies to the entire figure; you will be asked to specify an estimate of number of days and daily pay; pay cannot exceed normal market expectations.	F&A recovery applies to the entire figure.
At proposal stage: Internal Paperwork for Routing	Budget, budget justification, Scope of Work (SOW), Subrecipient Commitment Form	Budget(must include hourly rate and number of days or daily rate and number of days), SOW, written confirmation attesting to their involvement.	Quote/bid which includes rates per service
At award stage: Internal Paperwork for Routing	Managed by the Office of Research. Budget, budget justification, SOW, Non-Competitive Justification Form as described in UT System Fiscal Policy No. FI0420 Sec. 23. (Link to policy is below)	Managed by the Office of Finance and Administration: See link : http://web.utk.edu/~dfinance/Contract.shtml	Managed by the Office of Finance and Administration: See link : http://web.utk.edu/~dfinance/Contract.shtml

For more information about UTK fiscal policy related to sponsored grants and contracts follow the link:
https://my.tennessee.edu/portal/page?_pageid=34,140536&_dad=portal&_schema=PORTAL&p_policy=FI0205

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