

Topic: Sponsor Updates

The latest and greatest news from our sponsors

State of Tennessee Updates by Raymond Norris

- Signatories:
 - We have requested that the State not pre-print the name of the UTK signatory on the signature page. At one point, Dr. Greg Reed was the only acceptable signatory on State research grants/contracts and the agreement would have his name already included in the PDF to process. The problem occurs when Dr. Reed is out of town or not available to sign, which causes delays.
 - Beth Eslick has been working with the State Contract Office to request that they recognize multiple signatories from the University (as listed on the UT Signature Authority website).
 - We have asked that the signature line be left blank so the appropriate signatories name and title can be filled in. Blake Reagan, Director of UT Contract Administration, personally checks the UT Signature Authority list every month to ensure accuracy.
 - The State has yet to respond to our request. Please stay tuned for more updates.
- New Clause:
 - You will start seeing a new clause in **Section E** of most State awards regarding Tennessee Department of Revenue Registration.
 - Wording: "UTK shall be registered with the Department of Revenue for the collection of Tennessee sales and use tax. This registration requirement is a material requirement of this contract." No need to worry! We checked and verified that UT *is* registered and the State has even been including the clause in awards with other agencies.

NSF Updates by David Smelser

The new NSF GPG goes into effect Monday, February 24, 2014.

Last year, there was an extreme overhaul. This year, it's much more mechanical in the way it's changing.

- The project summary is still the same type of text boxes
- Unfunded Collaborators - NSF is starting to push for explanation
 - Unfunded Collaborators are people who are involved in the project but who are not getting funded.
 - Describe their roles in the "Other Resources" box
- Updates to the travel for symposium, conferences, and workshops
 - This is not just for travel on a grant; includes proposal for hosting a conference/workshop
- Updates to the Equipment proposal requirements
- Updates to the Cover page

- More check boxes, more buttons
- Must distinguish what kind of proposal you're submitting
 - Collaborative, collaborative with subs, collaborative internal, etc.
- International collaborations - in the past, that always meant you have a collaborator in another country. Now it includes if you're going to a foreign country
 - Sometimes you don't know where a conference is going to be held! Hopefully, there will be a "to be determined" country button...
- New environmental impact questionnaire
 - Is anything you're going to do going to impact the air quality, water, etc.?
 - Implemented post proposal (only for some, not all awards).

NSF 2013 Changes by Terri Hollis

What we've learned...

- The PIs need to paginate the project description
 - The proposal project description should be paginated with 1 inch margins all around.
 - Type of fonts: Arial, Times New Roman in size 11 or larger; Courier in font size 10 or larger
- NSF has said multiple times, please put in a list of suggested reviewers
 - Make sure you give them some kind of contact information for suggested reviewers. Include name, email or phone number, etc.
- Project summary issues
 - Character count restricted to 4600 characters.
 - Cannot submit proposal if over limit
- Questions on Prior Support
 - If you don't have prior NSF support, you need to state this
 - If you do have prior support, you have to include information such as award number, how much, project period, etc.
- Bio sketches should **not** include personal information- do not include home phone numbers, social security numbers, or any personal information!
- **Do** list undergrad and grad education, post doc training, most current appointment to least current appointment, list of collaborators and co-editors within the last 48 months. If you don't have any, say none.
- Support vs Commitment
 - Commitment means something tangible will be provided
 - Support just says "I think this is a great project and I'm willing to support it"
 - We can accept commitment letters but not letters of support...

Question: Can you say more about commitment vs. support?

Answer: On the letter, we suggest listing out the commitments first, and then voicing support. Keep the commitment separate from the support. NSF does not give you a chance to edit the letter. NSF doesn't care about your opinion that you think it's great. They want to know what you're going to do!

USDA, Local Government, Non-Profits, and Foundations by Barb Wygant

With USDA, one of the main funding branches is NIFA (National Institute of Food and Agriculture). USDA/NIFA may fund research on food security and hunger, climate change, sustainable energy, childhood obesity, food safety and nutrition..

- New NIFA RCR (Responsible and Ethical Conduct of Research) Training Requirement:
 - Effective for awards subject to the February 2013 and subsequent Research Terms and Conditions, USDA NIFA requires that program directors, faculty, and undergraduate students, grad students, post doc researchers, and any staff participating in the research project receive appropriate training and oversight in the responsible and ethical conduct of research.
 - Currently, there is no action required by the PI at the time of proposal. In the event of an award, OSP and ORE will notify the PI of the RCR requirement and provide guidance on the procedures related to the RCR compliance.
 - The NIFA training requirements can be met by completing Collaborative Institutional Training Initiative (CITI) RCR training modules. CITI is a web-based training program with content developed by a national consortium. The CITI RCR course is available on the ORE website.
- ORE is responsible for monitoring compliance of required RCR training
 - OSP will identify at award time
 - ORE training coordinator will submit email note to project's PI, Dept. Head, and Dept. Business Manager about the RCR requirements and the UT RCR Training Confirmation Form
 - When RCR training is completed, the online system will issue a "Completion/Grade Report". That report, along with the UT RCR Training Confirmation Form must be signed by the trainee and the PI. Both documents are then submitted to Lesli Rowan or emailed to ortraining@utk.edu
 - ORE will maintain receipt of the documents and cross reference the individuals that have met the RCR requirements with individuals identified as being employed on the Sponsored Project that requires RCR training
 - OSP will be responsible for following up with the PI, Business Manager, and Dept. Heads if full compliance with the RCR training has not occurred

Local Governments

When a local government, nonprofit, or foundation proposal is being prepared, it is important to identify if Federal flow-through dollars are funding the proposal, especially for local contracts because local governments are audited regularly and detailed accounting reports are released to the public annually.

- Sometimes, agreement forms through a casual discussion, sometimes very formal
- Often times, they have terms that are not acceptable and need careful review i.e. payment terms, insurance, state laws, etc.

Nonprofits and Foundations

Foundations and Nonprofits are a rapidly growing economic sector and key component of higher education R&D funding. They have unique and varying political pressures to maintain tax-exempt status.

- Areas of Concern:
 - Growing scrutiny from public and government
 - Community Service becoming more institutionalized; University has obligation for compliance (internal and external compliance policies)
 - Contract terms vary greatly from not clearly marked but implied to overly restrictive
 - Accounting side – there may be more reporting requirements, milestone payments based on deliverables
 - Increase in Data Rights and Confidentiality issues (UT wants to maintain our rights to publish)
 - Growing number of venture philanthropists such as the Gates Foundation, targeted health/disease groups, etc., insert complex and problematic terms and conditions, sometimes review and acceptance of the terms and conditions are required at proposal time
 - Crowd source funding – protecting intellectual property (caution about new field)
 - Miscellaneous terms to watch out for:
 - Media Terms – needing foundations approval for press releases
 - Payment Terms – return money if work not completed
 - Closeout – specify how projects are closed out

DoD Updates by Tara Halstead

Export Control and DFARS Disclosure of Information (August 2013)

- Changes to DFARS (Defense Federal Acquisition Regulation Systems)
- Revised DFARS 252.204-7000 “Disclosure of Information” has new clause (a)(3)
 - The solicitations have now been stating whether or not the research is considered “fundamental research” or not
 - PIs and departments should ask their DOD sponsors on the front end if the research is considered “fundamental research” or not. This will help Dairin speed up Export Control reviews and get the award executed more quickly if we have in writing from DOD that it is fundamental research or not.
 - As a University, we don’t want our PIs to be prohibited from publishing journals. Before the clause was revised, we always had to ask for the removal of this DFARS clause requiring that the contracting officer has to give written approval of information to be disclosed such as published journal articles. Now that the clause has been revised, we are not seeing it listed at all in the FAR/DFARS sections of DOD award contracts.
 - Because the Clause has been revised to add section (a)(3), which says that the contracting officer has to provide in writing to the recipient whether or not this is fundamental research, the contracting officers are now putting this information in the award upfront.
- If you have something that you know is going to involve classified information such as

defense item radar or missile components, classified computer programs, etc., please let us know in the proposal so we know it is going to be an export controlled project.

NIH Updates by Betsy Saylor

- NIH Reduced Awards under Continuing Resolution
 - NIH recently issues some non-competing research awards at reduced levels – *generally 10% decrease from previously committed level* – due to operating under the extended Continuing Resolution.
 - Now that FY 2014 appropriations have been enacted, NIH stated increases in those reduced awards will be considered. The Increase will likely be up to the amount indicated on prior Notice of Award (but no lower than 3% less than that commitment).
 - Out-year commitments for continuation awards in FY 2015 and beyond will remain unchanged.
- NIH Salary Cap Increase
 - Please note the NIH Salary Cap was increased.
 - Executive level II raised by 1% from \$179,700 to \$181,500 effective January 12, 2014
- Stipend Increase
 - NIH is also increasing the undergraduate and graduate student stipends of Ruth L. Kirschstein National Research Service awards by 2%
 - The full range of stipend adjustments for FY 2014 is on the NIH website.

SAMHSA Updates

Change in SAMHSA Carryover Policy from 25% to 10%

- Effective October 1, 2013, a formal request is necessary to carryover funds in excess of 10% of the amount budgeted for the current budget period, a significant change from the previous threshold of 25%
- This change applies to all SAMHSA awards, including those previously citing automatic carryover of up to 25%

A Few More Updates... by Theresa Sears

- We are submitting the HR128 training credit for attending RAOR forums. We are turning them in for you. That is why it is important to sign in each time you attend.
- ORE updates: People coming and going
 - Newcomer – Dr. Robert Nobles, new Assistant Vice Chancellor for The Responsible Conduct of Research and Research Integrity (“the compliance guy”)
 - People retiring – Dr. Reed, Bill Dockery, Brenda Lawson...
- The March RAOR Forum will be held in the Tickle Building
- April Forum will be in Ayres Hall