

# UT-Battelle Proposals

Stacey Wade, UT

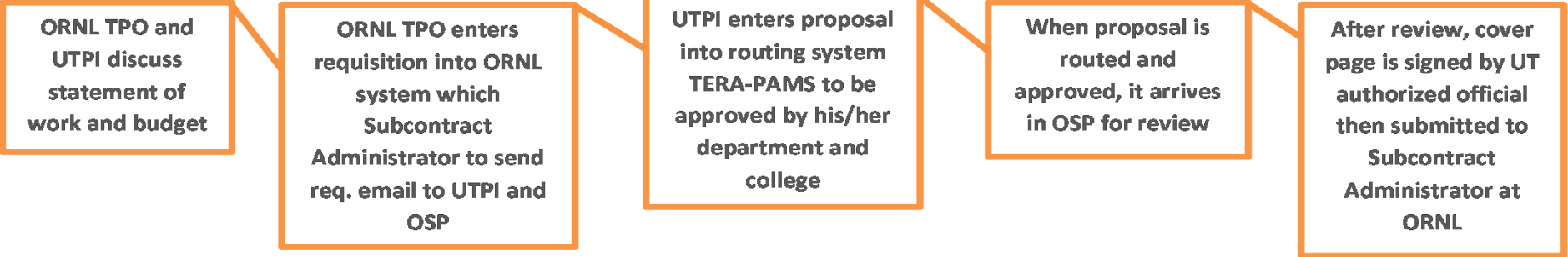
Darrell Arrington, ORNL

# The Players

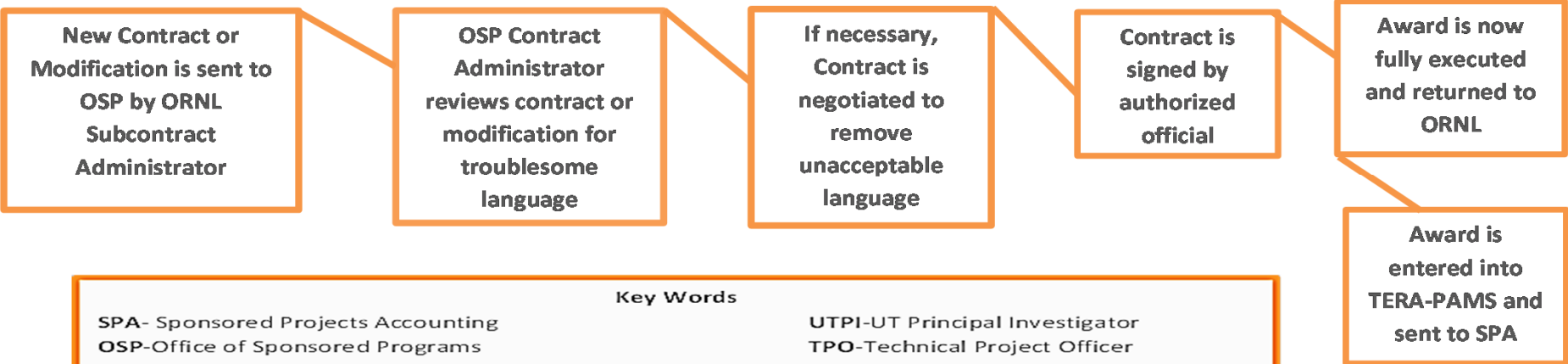
- UT-Battelle/ORNL (UT-B)
  - A U.S. Department of Energy facility
- The University of Tennessee, Knoxville (UTK)



# UT-ORNL Proposal Process



# UT-ORNL Contractual Process



**Key Words**

SPA- Sponsored Projects Accounting	UTPI-UT Principal Investigator
OSP-Office of Sponsored Programs	TPO-Technical Project Officer
UT- University of Tennessee	ORNL- Oak Ridge National Laboratory
TERA-PAMS-electronic routing systems for awards and proposals for UT sponsored programs	

# The 411

- Proposals for projects for UTK personnel to perform work for Oak Ridge National Laboratory (ORNL).
- Requests are made by the ORNL technical program officer (TPO) and sent to the Principal Investigator at UT (UTPI)

# 411 2.0

- Starts with a discussion between the ORNL TPO and the UTPI
- The UT-B procurement officer (Darrell Arrington and Becky Wagner) sends a SAP requisition email to the UTPI, business manager, and OSP
- This email triggers the proposal to be uploaded in PAMS which starts the process

# Sample Req. Emails

Subject: ORNL SAP Requisition 3400111111 – UTPI Huck Finn – ORNL TPO – Tom Sawyer

I have received Requisition 3400111111 with the attached UT/ORNL Proposal Budget. However, it doesn't look like it has been processed through OSP. Please provide this form approved by OSP along with Exhibit 2. The period of performance will be 12 months. Attached is the Statement of Work.

Please contact me if you have any questions.

Thank you,

Becky

**Rebecca A. Wagner**

Subcontract Administrator, Contracts Division

UT-Battelle, LLC, Contractor to the Department of Energy

Email: [wagnerba@ornl.gov](mailto:wagnerba@ornl.gov)

Phone: (865) 576-1406

Fax: (865) 241-1064

# Sample Req. Emails

Subject: ORNL SAP Requisition 3400222222 – UT PI – Mickey Mouse/ORNL TPO – Donald Duck

I need a UT/ORNL Proposal Budget form for a new cost-type subcontract. The period of performance will be from the start date of November 1, 2014 thru December 31, 2015 and the Statement of Work is copied below. The ORNL SAP requisition number is 3400222222. Please contact me if you have any questions. Thank you.

## **STATEMENT OF WORK**

October 10, 2014

Also, please have Exhibit 2 completed & returned.

Thanks!

Darrell Arrington

Contracts Division

Oak Ridge National Laboratory

Managed by UT-Battelle for The Dept. of Energy

PO Box 2008 Bethel Valley Road

Oak Ridge, TN 37831

Phone: (865) 576-6849

Fax: (865) 241-1034

# The Parts

## What will it include?

- Statement of work
- Budget form (Exhibit A) found on UTK's Office of Sponsored Programs (OSP) website  
<http://research.utk.edu/osp/forms-osp/>
- Budget Justification
- Exhibit 2 (signed by Associate Vice Chancellor for Research) (new proposals only)



# Budget

- The Budget form may be found at <http://research.utk.edu/osp/forms-osp/>. This is the required budget that is sent to ORNL for approval.
- You should get some guidance from your TPO regarding what to include (supplies, etc.) and any budget limitations
- Budget should not include travel.
- For tuition, include semesters being covered

# Travel

- Travel is not to be included in UT-Battelle proposals.
- For all UT-Battelle proposals that will require travel, UT-Battelle, not the University, will provide all travel costs.

**UT/ORNL Proposal Budget**

**Exhibit A**

Title:		SAP Requisition Number:		ORNL Subcontract # (if applicable)	
Duration of Proposal:		CFDA Code:			
UT Principal Investigator/Project Manager:		Phone Number:		FAX:	E-mail:
<b>A. UT Personnel:</b> List each separately with name and title		Appointment Type	% of Effort	Annual Salary	Total Requested from ORNL
1					
2					
3					
4					
5					
6					
7					
<b>B. TOTAL SALARIES</b>					\$0
<b>C. FRINGE BENEFITS PERCENT</b> (list separately if different)					
<b>D. EQUIPMENT *</b>					
(list additional equipment on separate page) TOTAL EQUIPMENT					
<b>E. OTHER DIRECT COSTS*</b>					
1. MATERIALS AND SUPPLIES					
2. PUBLICATION/DOCUMENTATION/DISSEMINATION					
3. CONSULTANT SERVICES					
4. COMPUTER SERVICES					
5. SUBCONTRACTS					
6. STUDENT FEES (Include semesters being covered)					
7. OTHER					
TOTAL OTHER DIRECT COSTS (E.1. through E.7.)					\$0
<b>F. TOTAL DIRECT COSTS (A. through F.7)</b>					\$0
<b>G. F&amp;A COSTS (SPECIFY RATE )</b> (26% or 49%)					\$0
<b>H. TOTAL DIRECT AND F&amp;A (INDIRECT) COSTS (G+H)</b>					\$0

- For lines D. through E.7. , supporting documentation is required for each of those line items except E.6.

By submission of this Proposal Budget, The University of Tennessee confirms that there are no changes to the Representations and Certifications previously submitted on November 8, 2013.

# Budget Justification

- Budget justification will be similar to any other budget justification that you prepare for proposals.
- A budget justification is required when supplies are included on a budget.

# Office of Sponsored Programs

What will the Office of Research provide to ensure a successful proposal to UT-Battelle?

- Review
- Rights in Data(Exhibit 2)
- Coversheet

# Office of Sponsored Programs

## Review

- the coordinator will review the proposal for completeness
- This includes but is not limited to:
  - Information in TERA-PAMS
  - UT/ORNL budget form
  - Statement of Work
  - Budget Justification
  - Exhibit 2
  - Any other documents provided

# Office of Sponsored Programs

- Rights in Data (Exhibit 2)-when you receive your request for proposal from UT-Battelle, they will request the Exhibit 2 be included
  - The Office of Research will ask you to check the appropriate box and confirm the information
  - The Office of Research will have this form signed by Dr. Janet Nelson
  - The PI does not need to submit this document, it is submitted by the university on behalf of the PI

REPRESENTATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE (Sept 2010)

(a) This solicitation sets forth the Company's known delivery requirements for data (as defined in the Rights in Data - General clause). Any resulting subcontract may also provide the Company the option to order additional data under the Additional Data Requirements clause, if included in the subcontract. Any data delivered under the resulting subcontract will be subject to the Rights in Data - General clause included in this subcontract. Under the latter clause, the Seller may withhold from delivery data that qualify as limited rights data or restricted computer software, and deliver form, fit, and function data instead. The Rights in Data - General clause also may be used with additional paragraphs comparable to *Alternate II* and/or *III* in FAR 52.227-14 to obtain delivery of limited rights data or restricted computer software, marked with limited rights or restricted rights notices, as appropriate. In addition, use of *Alternate V* in FAR 52.227-14 with the Rights in Data-General clause provides the Company the right to inspect such data at the Seller's facility.

(b) By completing the remainder of this paragraph, the offeror represents that it has reviewed the requirements for the delivery of technical data or computer software and states (offeror check appropriate block) ----

(1) None of the data proposed for fulfilling the data delivery requirements qualifies as limited rights data or restricted computer software; or

(2) Data proposed for fulfilling the data delivery requirements qualify as limited rights data or restricted computer software and are identified as follows:

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(c) Any identification of limited rights data or restricted computer software in the offeror's response is not determinative of the status of the data should a subcontract be awarded to the offeror.

OFFEROR: \_\_\_\_\_

BY: Dr. Janet E. Nelson

TITLE: Associate Vice Chancellor for Research

DATE: \_\_\_\_\_



# Office of Sponsored Programs

## Coversheet

- This document is signed by an authorized signing official(Director or Assistant Director)
- It is included at the time of submission to ORNL
  - It includes all pertinent information that is needed for the proposal to be accepted by the UT-Battelle procurement officers
  - It includes information on the project period, the requested budget amount, the TPO's name, and the SAP requisition number or contract number.



THE UNIVERSITY of TENNESSEE

Office of Research & Engagement  
Office of Sponsored Programs

1534 White Avenue  
Knoxville, Tennessee 37996-1529  
Phone: 865-974-3466  
Fax: 865-974-2805

Submitted to: **UT-Battelle, LLC**

Proposal Title:

Submitted by: The University of Tennessee  
Office of Research  
1534 White Avenue  
Knoxville, TN 37996-1529  
(865) 974-3466; FAX (865) 974-2805

University Contact: Terri Hollis  
Office of Sponsored Programs  
1534 White Avenue  
Knoxville, TN 37996-1529  
(865) 974-1804; FAX (865) 974-2805

Authorized Organization Representative: David Smelser, Assistant Director

Total Requested \$

Performance Period:

UT Principal Investigator(s):

By Submission of this Proposal, The University of Tennessee confirms that there are not changes to the Representations and Certifications previously submitted on: 11/8/2013

Please Complete at Least One of the Boxes Below

ORNL TPO(s):

SAP Requisition Number:

ORNL Subcontract Number:

# OSP review

- After the proposal specialist has reviewed and approved the proposal documents, the proposal cover sheet is sent to the Director or Assistant Director for signature.
- The Director or Assistant Director will sign the coversheet and send it back to the proposal specialist.
- After approval all documents will be combined into a single PDF and submitted via email to the ORNL procurement officer
- The procurement officer will review the proposal and if they have any questions they will contact the Office of Sponsored Programs proposal specialist

# Questions?



Stacey Wade

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865-974-4808

Darrell Arrington

[arringtontd@ornl.gov](mailto:arringtontd@ornl.gov)

865-576-6849