

GUIDELINES FOR RESEARCH PROPOSALS, CONTRACTS, GRANTS AND OTHER DOCUMENTS REQUIRING LEGAL REVIEW AND SIGNATURE

**University of Tennessee Space Institute
Office of Research
October 2010**

These guidelines have been prepared by the Office of Research to guide principal investigators through the proposal development process and provide information regarding other documents processed through this office. They should be followed in the contract and grant preparation and submission process as well as for processing documents requiring legal review and signature. Following these guidelines will ensure efficient and effective processing of proposals and other documents covered herein.

SIGNATURE AUTHORITY

The Executive Director, Associate Executive Director and the Director of Contracts Administration of the University of Tennessee Space Institute (UTSI) are authorized to approve research proposals, modifications to proposals, and other pre-contract activities. The Executive Director and the Associative Executive Director are authorized to sign research contracts under the UTSI signature delegation. No other UTSI administrator, faculty, or staff member is authorized to sign these documents.

PROPOSAL DEVELOPMENT & SUBMISSION

The principal investigator shall notify the Office of Research that a proposal is being developed as soon as the decision is made to do so. Research proposals should be discussed with the Executive Director prior to developing the final version of the proposal. Every proposal to be submitted to an external sponsor-whether it is new, a continuation, supplemental, renewal, or revision must be reviewed and approved by the Office of Research prior to submission. **All proposals shall be submitted to the Office of Research in final form for review and approval a minimum of two (2) business days prior to the date and time that the submission is due. Proposals requiring additional checking for completeness or for anything other than the standard compliance checks ordinarily performed by the Office of Research shall be submitted in final form a minimum of five (5) business days prior to the date and time that the submission is due along with a copy of the solicitation for which the proposal was prepared.** For proposals that are to be submitted in hardcopy to the receiving agency, the deadline is two business days prior to the date and time that the proposal must be physically dispatched from UTSI via mail or courier service. The Office

of Research shall process no proposal that is submitted for review less than two business days prior.

Contract offers resulting from proposals submitted independently of the Office of Research shall not be negotiated or processed by UTSI.

PROPOSAL PROCESSING

Principal Investigator/Department Responsibilities:

The Principal Investigator (PI) is responsible for the following actions associated with processing a proposal:

1. Notify the Office of Research when a decision is made to develop a proposal **and concurrently** complete and submit the Proposal Document Review/Approval sheet, which must accompany **every** proposal (this includes electronic submission and hard copies). The PDR/A sheet must include either the physical or electronic signature of the PI(s). The PDR/A sheet is necessary for proposal tracking. A fill-in PDF version of the PDR/A sheet can be downloaded from the UTSI Office of Research web page.
2. Notify the Executive Director should there be any **cost sharing** requirements associated with the proposal.
3. Ensure that proposal budget and cost estimates are prepared and initialed by the UTSI Business and Finance Administration Office. Initials are required on the original hardcopy for the official proposal file.
4. Prepare a Cover Sheet/Signature Page for proposals submitted in hard copy. If the agency to which the proposal is being submitted does not have a standard form for the proposal cover page, the PI shall prepare one following the format of the attached example.
5. Prepare a draft Proposal Transmittal Letter for the Executive Director's, Associate Executive Director's signature for proposals that are submitted in hard copy to the agency.
6. Proposals to be transmitted electronically to the funding agency shall be submitted to the Office of Research for review and approval a **minimum of two (2) business days** before the proposal transmission deadline date and time. Proposals requiring additional checking for completeness or for anything other than the standard compliance checks ordinarily performed by the Office of Research shall be submitted in final form a **minimum of five (5) business days** prior to the date and time that the

submission is due along with a copy of the solicitation for which the proposal was prepared. All parts of the electronic proposal package must be in final form when submitted to the Office of Research for review. This includes the proposal itself, any cost sharing request if applicable, supporting documentation from proposed subcontractors, and a copy of the solicitation, if applicable. The already executed Proposal Document Review/Approval Sheet (see article 1) completes the package.

7. Proposals to be delivered in hard copy to the funding agency shall be submitted to the Office of Research for review and approval a **minimum of two (2) business days** before the proposal is to be couriered to the sponsor. Proposals requiring additional checking for completeness or for anything other than the standard compliance checks ordinarily performed by the office of Research shall be submitted in final form a **minimum of five (5) business days** before the proposal is to be couriered to the sponsor. It is strongly recommended that hard copy proposals be express mailed at least two days prior to the submission deadline date. Submission to the Office of Research includes the proposal itself, any cost sharing request if applicable, supporting documentation for proposed subcontractors, and a copy of the solicitation, if applicable. The already executed Proposal Document Review/Approval Sheet (see article 1) completes the package. All sections of the proposal must be in final form at that time.
8. The PI shall provide the Office of Research with one complete hard copy of final proposal and all associated correspondence for the UTSI official file, regardless of the form of submission.
9. The PI or department shall provide proposal rejection notification to the Office of Research for the purpose of updating the proposal database.

Office of Research Responsibilities:

1. The Office of Research shall review all proposals to assure adherence to agency guidelines, and UT policies and procedures. An official proposal cannot be submitted to a potential sponsor until it has been reviewed and signed by the Office of Research authorized representative.
2. The Office of Research shall return approved and signed proposals that must be submitted in hard copy to the PI/Department.
3. **Electronic submissions:** The Office of Research shall submit all electronic proposals unless a sponsor specifically requires that the proposal be submitted by the PI.

All official UTSI proposals must be submitted through the Office of Research. There will be no exceptions. Proposals not submitted through the Office of Research shall not be administered by UTSI.

UTSI PARTICIPATION AS SUBCONTRACTOR

The PI shall notify the Office of Research if they are participating in a proposal effort as a subcontractor. This includes supporting an SBIR, STRR, or any other proposal not submitted directly by UTSI. Please also provide the anticipated amount of the UTSI portion of the overall award. The PI is responsible for coordinating with the Business and Finance Administration Office for developing all budgets submitted for subcontracted research efforts.

RESEARCH CONTRACT AND GRANT REVIEW AND NEGOTIATION

Office of Research Responsibilities:

1. Contract review for negotiation purposes includes, but is not limited to, the following: correct legal name of the University (as awardee); appropriate awardee address; period of performance; statement of work; budget; payment terms; terms and conditions; contract clauses; Government clauses, if applicable; deliverables reporting requirements; publications; ownership of intellectual property and technical and administrative contacts. Some of the above items will be negotiated according to established University or State of Tennessee policy. These include payment terms, terms and conditions, legal name of the University, address, and venue of any ensuing legal dispute. Negotiation regarding the plan of work, budget, and so on is done in consultation with the principal investigator.

On no occasion shall a principal investigator negotiate directly with sponsor contracting staff regarding a project. This extends to pre-award conversations as well. **PIs are not empowered to represent the University for administrative purposes, and cannot make commitments regarding cost sharing of direct costs or facilities and administrative (F&A) costs or use of other university resources such as space or personnel.** PIs are authorized and encouraged to discuss the technical aspects of the contract with the sponsor.

2. Negotiate and accept, or recommend for acceptance, all awards. Only an approved authority can sign a contract.
3. Administer all awards, including post-award changes, e.g. re-budgeting (support provided by Office of Finance and Administration), no cost time extensions, etc., and submission of miscellaneous reports, e.g. invention reports.
4. Review all invention and creation disclosures whether sponsored or un-sponsored.
5. Write and/or review, negotiate and administer subcontracts to lower tier contractors.
6. Serve as liaison among principal investigators/researchers/staff and sponsors.

Principal Investigator Responsibility

The PI shall carry out the tasks identified in the statement of work, meet the specified reporting requirements, produce the required deliverables, track project expenditures, and ensure that all terms and conditions of the grant or contract are met.

UTSI CONTRACTS AND OTHER DOCUMENTS REQUIRING LEGAL REVIEW AND/OR SIGNATURE BY UTSI SIGNATURE AUTHORITY OR A UT VICE PRESIDENT

All contract documents which bind the University must be signed for UTSI by the Executive Director or Associate Executive Director. These type of documents include but are not limited to: Memoranda of Understanding; Materials Transfer Agreement; Confidentiality Agreements; Service Contracts; Software Agreements, and Leases. If a contract does not fall under the UTSI signature delegation, it must be sent to Knoxville for a UT Vice President's signature.

PROPOSAL INFORMATION

Name of Institution or Applicant Organization:
The University of Tennessee, Space Institute
411 B. H. Goethert Parkway
Tullahoma, TN 37388-9700

Authorized Representatives:
Dr. Robert Moore
Dr. Charles Johnson
Joyce A. Moore

Telephone Number: 931-393-7212
Fax Number: 931-393-7285

CAGE Code: 4B491
Congressional District: 4th Tennessee
Employer Identification Number (EIN): 62-6001636
FICE Code: 003530
IRS Number: 62-6001636
NSF Institutional Code: 0035303050
Social Security Number: 69-0630318
North American Industry Classification System Code (NAICS): 611310

Person(s) Authorized to Conduct Negotiations:
Joyce A. Moore
Diane Chellstorp

Example Proposal Cover Sheet/Signature Page

**UNIVERSAL WINDOWS BASED HIGH SPEED DATA ACQUISITION
AND CONTROL GRAPHICAL USER INTERFACE SYSTEM**

In Response to Request For Proposal
Number STG-SC-98-R-ST98-007

Submitted By

The University of Tennessee Space Institute
411 B. H. Goethert Parkway
Tullahoma, TN 37388-9700

To

SRS Technologies
500 Discovery Drive
Huntsville, AL 35806
(205) 971-7000

Date:

Ahmad Vakili, PhD
Principal Investigator

Robert N. Moore, PhD
Executive Director