

Pre-Award Research Administration Guide  
College of Arts and Sciences

**August 2023**

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*The information contained herein is subject to change and periodic updates.*

*Thanks to Kit Boone for allowing us to modify her guide for the  
College of Engineering to create this document*

## INTRODUCTION

A significant responsibility of full-time faculty is scholarly research. CAS departments provide research support to faculty to encourage and motivate them to compete for external support in order to develop their research capability, increase productivity and engage in wider scholarly community.

This handbook provides information to support faculty in generating a successful proposal.

UofM offers various resources to support faculty in their research endeavors. These include Pre-Award Services, Office of Research and Innovation, Post-Award Services, OPAM, and Research Compliance.

**Division of Research and Innovation** provides resources to faculty in need of external review support, consultations on finding funding and getting started with the research process, and any other needs of faculty in their pursuit of funding. This office also serves as an initial conduit for faculty to other parts of the division such as the FedEx Institute of Technology and Technology Transfer. Research Development maintains a repository of documents and information on topics such as finding funding opportunities, team building, budget preparations, proposal applications, sponsor specific resources, etc. Use your UofM login credentials to access this information at <https://www.memphis.edu/research/training/archive.php>.

**Office of Research Enterprise Services** is the new name for the merged pre- and post-award offices. Led by Terrice Watson, the focus of the Office of Research Enterprise Services is to enhance services to the research community as the University of Memphis' research enterprise evolves and grows. The merged offices will help prepare us for growth by bolstering the research administration infrastructure, allowing us to increase central administration staff competencies and integrate processes. The merger will result in improved customer service, financial compliance, and the implementation of best practices, which will enhance proposal submission, account setup, and award management processes.

**Research Administration- Pre-Award** (previously called the Office of Sponsored Programs) is the central research support team responsible for the review and submission of proposals (grants, contracts, cooperative agreements, non-monetary) to external sponsors and for the review and acceptance of any sponsored project funds. The team includes Pre-Award Services, Grants Accounting, Contract and Award Services, and Electronic Research Administration. To subscribe to their listserv, send an email to [listserv@listserv.memphis.edu](mailto:listserv@listserv.memphis.edu). Enter Subscribe RESADMIN-L in the body and delete all other text, including your signature line. For Research Administration – Pre-Award Services, contact Stephanie Thompson at [sthmps24@memphis.edu](mailto:sthmps24@memphis.edu).

**Research Administration- Post-Award** (previously called Grants and Contracts Accounting) is responsible for the review and reporting of all restricted and endowment accounts at the University. This includes grants, post award administration, invoices, reporting, account set up, contracts, gift accounts, scholarships, Chairs of Excellence, Centers of Excellence, and other restricted activities. For Research Administration – Post-Award Services, contact Linda Heide at [lheide@memphis.edu](mailto:lheide@memphis.edu).

**Research Development** is available to help PIs identify research interests and align with external funding opportunities. You can email [researchdev@memphis.edu](mailto:researchdev@memphis.edu) to set up one-on-one session to get support.

**Research Compliance** oversees all compliance requirements of state and federally regulated research activities of the faculty, staff and students engaged in university research, including IRB, Financial Conflict of Interest, and Export Controls. You can email Research Compliance at [researchcompliance@memphis.edu](mailto:researchcompliance@memphis.edu).

**Office of Institutional Research** supports data-driven decisions by compiling and analyzing information about the University for the President, the Provost, the University community, and external agencies. Statistical information sometime required in proposals are available on their website. You can email IRB at [IRB@memphis.edu](mailto:IRB@memphis.edu).

**Office of Post-Award Management (OPAM)** Research Support Analysts are liaisons with Research Administration- Pre-Award for post-award inquiries and workflow. They make sure grant awards are set up properly as they move between Research Administration units and assist departments with post-award matters. You can email OPAM at [OPAM@memphis.edu](mailto:OPAM@memphis.edu).

### CAS Pre-Award Support

Pre-award Coordinators (PAC) serve as liaisons to Research Administration- Pre-Award staff and CAS researchers. They work with researchers to increase submission activities by assisting with funding search, reviewing solicitations, drafting budgets and budget justifications, basic editing of the proposal documents, coordinating proposal submissions in CAYUSE and other electronic submission portals, and other proposal management tasks.

Department	Contact for Pre-Award Support
Anthropology	Mary Earheart-Brown
Biological Sciences	Emilie Bowman
Chemistry	Emilie Bowman
Center for Earthquake Research and Information (CERI)	Emilie Bowman
Center for Community Research and Evaluation	Mary Earheart-Brown
Computer Science	A. Mikhelle Taylor
Criminology and Criminal Justice	Mary Earheart-Brown
Earth Sciences	Emilie Bowman
English	Madison Austin
History	Madison Austin
Interdisciplinary Programs	Madison Austin
Institute for Intelligent Systems	Madison Austin
Mathematical Sciences	A. Mikhelle Taylor
Philosophy	Madison Austin
Physics and Materials Science	A. Mikhelle Taylor
City and Regional Planning	Mary Earheart-Brown

Political Science	Madison Austin
Psychology	Maureen Smith
Public and Nonprofit Administration	Mary Earheart-Brown
Public Safety Institute	Mary Earheart-Brown
School of Urban Affairs and Public Policy	Mary Earheart-Brown
School of Social Work	Mary Earheart-Brown
Sociology	Madison Austin
World Languages and Literatures	Madison Austin

Pre-Award Coordinators assist faculty in many ways, including with the following activities:

- A. FINDING FUNDING: Assists in identifying funding sources from a variety of sponsors (e.g., federal, industry, foundation, non-profit), summarizes and disseminates to appropriate faculty, staff and researchers.
- B. PROPOSAL DEVELOPMENT SUPPORT
  - 1. Assists PI in determining requirements, deadlines and timelines for responses to solicitations and general application submissions in a proactive manner.
  - 2. Works with faculty in the preparation of sponsored project proposals in accordance with sponsor standards and requirements.
  - 3. Assists faculty in preparing budget & cost shares, and budget narratives and subaward documents in compliance with University, sponsor and federal guidelines and deadlines.
  - 4. Reviews and provides feedback on proposal narratives and documents.
  - 5. In coordination with Research Administration staff, creates, updates and maintains templates, boilerplate information and online resources that support proposal development and submission processes.
  - 6. Researches appropriate information to resolve questions or refers to other UofM staff who can help resolve the question.
  - 7. Provides tools and best practices for the development of grants for submission, as requested.
- C: OTHER RESEARCH ADMINISTRATION ISSUES: Assists the PI with requests for No Cost Extensions (NCE) if needed; Advance Accounts; Budget Revisions; and Changing or removing principal investigators.

### FINDING FUNDING

Research Development is all-inclusive resource for finding external funding opportunities. The team has an array of resources and can provide one-on-one guidance to find external funding opportunities. Email [researchdev@memphis.edu](mailto:researchdev@memphis.edu) for support.

One of the best ways to identify potential funding is through networking with faculty colleagues, professional organization members, industry and government agency contacts. UofM Division of Research and Innovation has made [GrantForward](#) available to anyone with a University e-mail to

locate potential funding sources. Faculty are encouraged to create an account in GrantForward to access some of their services. Pre-award coordinators can also help with searching the Academic Analytics service to identify potential funding, awards, and collaborators.

Links to additional resources are available on the University of Memphis Research and Innovation website, and include [online resources](#), information on [internal funding opportunities](#), [instrumentation funding opportunities](#), or [limited submissions](#), and special resources for [student opportunities](#).

To receive funding alerts, faculty and staff can sign up to listservs such as [Grants.gov](#), [NSF](#), [NIH](#).

### Proposal Preparation Cheat Sheet

1. Inform your Pre-Award Coordinator of your intention to submit a proposal including a copy of the solicitation or URL link **as soon as you begin planning**. The Pre-Award Coordinator will work with you to establish a timeframe for the proposal submission that includes internal approvals and review by Research Administration- Pre-Award prior to submission (see page 7 for more details on timelines).
2. Create a Cayuse SP record and include your Pre-Award Coordinator as “Proposal Editor” in the Research team section (with 0% effort and 0 person months) or ask your Pre-Award Coordinator to create a record for you. You may also need to add your business officer or other administrative support to the record (based upon your department’s practice.)
3. Your Pre-Award Coordinator will need the contact information of any subawards, including the contact person and their institutional Office of Sponsored Programs or equivalent. Please communicate UofM’s deadlines to your collaborators so that they are aware of the timeframe the Pre-Award Coordinator will need to fulfill their requests.
4. Cost share is discouraged unless required by the sponsor. Proposals with any cost share, even mandatory cost share, will require extra time for approvals and Research Administration- Pre-Award review, so please plan accordingly.
5. Use UofM as the acronym for The University of Memphis (brand identity).
6. Inform the College Development Officer if submitting a proposal to a foundation or industry sponsor(s) and obtain approval to proceed with the proposal submission.

### Salaries

**FACULTY:** Most faculty members are engaged in teaching, research, service and administrative activities during the academic year. Request for salary support whether as a salary course buy-out/release and/or summer must reflect the actual effort (%) and salary cost of a faculty’s time dedicated to the sponsored project. If you are requesting a course buy-out, please discuss the buy-out with your department chairperson (and business officer if appropriate) early in the proposal development process and prior to routing for internal approvals. Current faculty and staff salaries are available in public Salary database: <https://umwa.memphis.edu/salary/index.php/main/search>.

Policy UofM HR5012 (Summer Compensation for Nine-Month Faculty) establishes that the maximum summer salary a faculty may earn is 3 months and is equivalent to 1/3 of the 9-month faculty's AY salary. Furthermore, the total compensation from sponsored programs cannot exceed 90% of the maximum summer compensation.



**Note:** As a general rule, NSF allows 2 months total of all NSF funded salaries for budgeting purposes.

GRADUATE ASSISTANT(s): GA stipends vary by department. Please check with your department business officer and/or PAC when adding GAs to a sponsored project budget.

### Serving as Principal Investigator (PI) on a Sponsored Project

Full-time faculty may serve as a PI on a sponsored project. Other university staff (postdocs, administrators, etc.) must follow the procedure below in order to submit a proposal on behalf of the University.

### Procedure to Request Approval to Serve as PI on a Sponsored Project

1. Send an email to the appropriate chairperson and college dean requesting for the person to serve as PI on the sponsored project. Include a copy of the person's CV and a copy of the RFP of the grant competition with this email. Request their approval via return email.
2. Forward these approvals to [OSP@memphis.edu](mailto:OSP@memphis.edu) (including the CV and RFP) for their approval.
3. Upload the email approval from Research Administration to the Cayuse record.
4. Graduate student fellowships may have a different process—check with your PAC or Research Administration for assistance. A faculty mentor will need to be involved and may need to be the PI in the Cayuse record.

### Limited Submission Proposals

There are some funding solicitations that specify single or limited submission from an institution. When Research Development becomes aware of such condition, an internal competition may be held for these opportunities. If you are interested in applying for a limited submission proposal, notify your pre-award coordinator and Research Development **immediately**.

### Letters of Intent

The CAS requires that COMPETITIVE letters of intent be entered into Cayuse and routed for internal approvals. If you have questions, you can ask your PAC or business officer.

### Proposals submitted via the UofM and UMRF Foundations

The CAS requires that proposals submitted by through UofM Foundation AND the UM Research Foundation be input to internal [InfoReady platform](#). If you have questions, you can ask your PAC or business officer.



## Internal Funding

1. If you receive an internal award or win internal competition, let your pre-award coordinator AND business officer/admin support know immediately so they can help with set up of Cayuse SP. These do not need to route for internal review.

## Incentives for Funded Research

UofM and College of Arts and Sciences encourages its faculty to pursue external funding as part of its strategic initiative to maintain R1 recognition. Both have policies to incentivize faculty to pursue grants and those with active research grants are provided with financial incentives that are distributed twice/year- approximately at the end of the fall and spring semesters. Please refer to the UofM's **Faculty Incentive Compensation policy**. *Not all projects nor positions are eligible for incentive pay—please review the policy carefully.*

In addition, some sponsored projects can provide the faculty member a portion of the F&A or indirect costs for future research expenses. Check with your department chairperson to see how these funds are distributed and whether you are eligible.

## SAMPLE PROPOSALS

Sample UofM proposals can be obtained by sending a request to [researchdev@memphis.edu](mailto:researchdev@memphis.edu).

**Open Grants** supported by the [Gordon and Betty Moore Foundation](#)'s Data-Driven Discovery Initiation through Grant GBMF4563 to Ethan White, provides access to both funded and unfunded proposals to federal agencies and private foundations.

## CAS Grant Proposal Preparation Timeline

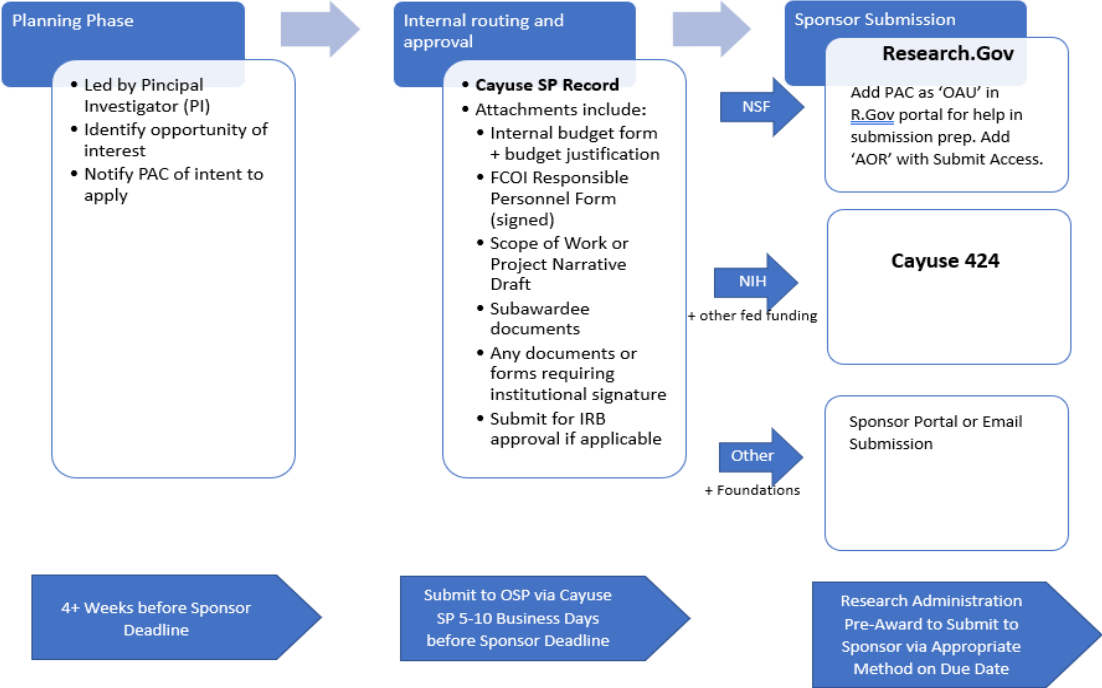
A timeline provides both you and the College Pre-Award Coordinator sufficient time to prepare a robust proposal. It allows time to complete a thorough review of the different components of your proposal package and make changes prior to routing. Please be aware that further revisions may be required after your proposal has gone through the Research Administration approval process.

The CAS Pre-Award Coordinators will work diligently with every PI to submit the proposal on-time and with accuracy. However, if the following timeline is not followed, on-time submission cannot be guaranteed. In the event of multiple submissions during the same timeframe, PIs who follow the timeline will be given preference.

<b>DUE DATES</b> Prior to Sponsor Deadlines	<b>CHECKLIST ITEM</b>
<b>Proposal planning begins</b>	<input type="checkbox"/> Notify PAC of intent to apply
<b>4 WEEKS</b> or earlier	<input type="checkbox"/> Create a record in CAYUSE (SP and 424, if applicable) <input type="checkbox"/> Connect PAC with subaward institution Research Administration and lead PI (if applicable)



<p><b>3 WEEKS</b> or earlier</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Meet with the Pre-Award Coordinator to draft the budget and, if applicable, provide name(s) and affiliation(s) of consultant(s).</li> <li><input type="checkbox"/> Prepare a list of names and entities from whom to request support letters, if applicable.</li> <li><input type="checkbox"/> Provide Pre-Award Coordinator with draft of sponsor-specific required formatted documents such as Biosketches, Current and Pending, Collaborators and Other Affiliations.</li> </ul>
<p><b>10</b> Business Days</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide Pre-Award Coordinator subawardee(s), collaborator(s) and/or consultant(s) <b>final</b> documents.</li> <li><input type="checkbox"/> Provide proposal documents for Pre-Award Coordinator’s compliance review, such as: <ul style="list-style-type: none"> <li>• Summary</li> <li>• Project Narrative</li> <li>• References Cited</li> <li>• Support and/or Commitment Letters</li> </ul> </li> <li><input type="checkbox"/> Finalize the budget and budget justification.</li> <li><input type="checkbox"/> Route CAYUSE record for internal approvals.</li> </ul>
<p><b>5 to 7</b> Business Days</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Proposal documents are under review by PAC/ Research Administration, including: <ul style="list-style-type: none"> <li>• Project Summary/Abstract</li> <li>• Near-Final Project Narrative</li> <li>• Any document/form that requires Research Administration signature</li> <li>• Internal Budget and Budget Justification</li> <li>• All subawardee documents</li> <li>• FCOI personnel list</li> </ul> </li> </ul>
<p><b>&lt; 5</b> Business Days</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide final version of Project Narrative, remaining documents</li> <li><input type="checkbox"/> Be available by phone or email to make revisions upon Research Administration review</li> <li><input type="checkbox"/> Be available to confirm submission readiness of your proposal</li> </ul>



## Submission Portals

### **Proposals to NIH and other federal funders**

Cayuse 424 system is used to submit applications to grants.gov, including NIH and most other federal grant funders.

### **Proposals to NSF**

NSF submissions will use Research.gov. The PI must set up the application and provide the Pre-award Coordinator with access, adding them as Other Authorized User (OAU) and adding Research Administration as Sponsored Projects Office/Authorized Organization Representative (SPO/AOR) in order for them to be able to view, upload and review the proposal documents and its status.

### **Proposals to Private Foundations**

Many private foundations have their own submission portals. Some require that the UofM Research Administration register and approve your submission, others require that the PI submit the proposal directly. Even if the PI submits the proposal directly to the foundation, all submission materials **MUST** be entered into Cayuse and approved by your chairperson, the Dean, and Research Administration **in advance of submission**.

### **Proposals to Corporate Sponsors**

Sometime corporate sponsors have terms and conditions which are at odds with those of UofM and negotiation is required. Often negotiations with corporate sponsors may involve intellectual property issues and non-disclosure agreements. Please contact your PAC and Kimberly Grantham, the Director of Corporate and Foundation Relations at [kimberly.grantham@memphis.edu](mailto:kimberly.grantham@memphis.edu) for questions related to corporate sponsorships.

## CAS Faculty Research Grants

The Faculty Research Grants (FRG) program for the College of Arts and Sciences (CAS) is an internal effort by the University and College intended to promote the scientific and research activity of College faculty. The goals of the Faculty Research Grants program are to provide seed funds for: (1) research projects that will produce pilot data for proposals to be submitted to outside funding agencies or (2) faculty embarking on new research areas that are likely to lead to outside funding or recognition of the faculty member, his or her department, and the University and College. Please use the [InfoReady platform](#) for internal CAS FRG competitions.

## CAS Travel Enrichment Funds

Three times a year faculty can apply for support to attend a conference to present your research or to conduct research (Fall semester fund applications are available in mid-July; Spring semester fund applications are available in mid-October; and Summer fund applications are available in mid-March.) More information is available [here](#).

## Research and Innovation Internal Funding

The University, through the Division of Research and Innovation typically offers internal grants and bridge funding opportunities, although programs vary each year. Please create a Cayuse record for any internal grant you apply for. Check the Division's website for current calls for proposals: <https://www.memphis.edu/research/proposals.php>.

## UofM Research-Related Policies

Faculty and staff should be familiar with the following policies, with full policies accessible through PolicyTech link on UofM Policy site: <https://memphis.policytech.com/>

- **Institutional Base Salary** - Institutional Base Salary is the guaranteed annual compensation for an employee's appointment, whether that employee's effort is spent on teaching, research, administration, or service, and whether that employee is appointed full-time or part-time.
- **Summer Compensation for 9-month Faculty** - Summer appointments are contingent on the teaching, research, administrative, and service needs of the department and the University. Summer assignments are separate from academic-year appointments, and compensation is based on prior academic-year salary. Summer compensation is for work performed during the Summer Term.
- **Faculty Incentive Compensation** - The purpose of the Incentive Compensation Agreement is to create an understanding between faculty and chairs regarding a faculty member's involvement on sponsored programs, including the disposition of salary recovery from sponsors. The incentive compensation can be negotiated at any time; however, routine negotiation should occur during the faculty annual performance review. Incentive Compensation will be paid following each semester.
- **Extra Compensation and Outside Employment** - Remuneration paid for work outside the employee's normal work schedule or within the normal work schedule provided the supervisor has either approved the use of annual leave or has agreed to an adjusted work schedule. Extra compensation charged to Federal grants is a rare and unusual occurrence and will only be allowed with prior approval from the sponsor.
- **Sponsored Agreements Cost Sharing** - Cost sharing must be proposed, approved, administered, and accounted for in a consistent and prudent manner. This includes understanding workload implications of the cost sharing commitment, determining when cost sharing is appropriate, and accurately recording and reporting cost sharing expenses. The University of Memphis provides only the minimum amount of cost sharing necessary to meet sponsors' requirements.
- **Disclosure of Financial Interest Related to Sponsored Agreements** - Any University employee responsible for the design, conduct, or reporting of a sponsored project at the University must disclose significant personal financial interests related to the Investigator's institutional responsibilities. When the University determines that such an interest might

reasonably appear to be directly and significantly affected by the sponsored project, the University will take steps either to manage or to eliminate the conflict of interest. Contact [researchcompliance@memphis.edu](mailto:researchcompliance@memphis.edu) for more information.

- **Research Misconduct** - The University of Memphis is the primary agent for the prevention, detection and investigation of research misconduct by faculty, staff, and students. The University strives to ensure the integrity of research, protection of the rights of faculty, staff, and students involved in research, the rights of research subjects, and the protection and rights of the public. The University also observes the local requirements related to federal research funding and other external funding sources.
- **Intellectual Property** - This policy covers the ownership, distribution and commercial development of the intellectual property of all faculty, staff, student employees, students and postdoctoral fellows, as well as non-employees who participate or intend to participate in teaching and/or research or scholarship projects at The University of Memphis.
- **Human Subject Protection** - Human subjects protection is a collaborative effort by the researcher and the University of Memphis. The IRB is charged with the responsibility of protecting the rights and welfare of human subjects involved in research.
- **Vaccination of Faculty, Staff and Students Exposed to Medical Hazards** - It is the policy of the University to provide protection, by means of vaccination against the special medical risks associated with the handling of animals or specimens of animal or human origin, for faculty, staff, and students involved in approved research projects. It is also the policy of the University to provide protection by means of vaccination for other employees of the University who may be exposed to medical hazards due to the nature of their work.
- **Effort Certification** - The purpose of this policy is to ensure that effort certification reporting completed in connection with University sponsored projects are accurate, reasonably reflect the actual level of effort expended on a sponsored project, and comply with sponsor requirements. As a condition of receiving sponsored awards, University Research Administration – Post-Award must assure sponsors that the effort expended on its sponsored projects justifies the salary charged to those projects. In addition, the University must assure sponsors that the commitment indicated (including mandatory and voluntary committed cost sharing) in the proposal and subsequent award is met in accordance with the sponsor’s terms and conditions. The University provides this assurance by requiring monthly effort reports for each individual whose salary is charged to one or more sponsored projects and/or cost sharing account during the effort reporting period. These effort reports are completed by individual faculty/researchers through Banner 9 and indicate the percentages of the individual’s total effort that are dedicated to the sponsored project(s) and other University activities, and require a PI certification that the reported effort percentages are accurate. Instructions for effort certification: <https://www.memphis.edu/grants/effort.php>.
- **Travel Policy** - Reimbursement information for transportation and miscellaneous expenses is maintained by the Accounting Office and can be found on the [University’s travel website](#).

These provisions and reimbursement rates will be consistent with the [Comprehensive Travel Regulations of the State of Tennessee](#)