THE PRINCIPAL INVESTIGATOR'S (PI) HANDBOOK

Division of Research & Sponsored Programs

TENNESSEE STATE UNIVERSITY

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INTRODUCTION

Tennessee State University (TSU) receives awards for research, training, and technical assistance from a variety of extramural funding sources, including the Federal Government and private organizations. Because Policies and procedures governing research and sponsored programs are diverse and complex, this Handbook is designed to guide administrators, faculty, and staff from the initial development of a research idea through the administration of an award.

In addition to addressing common questions, the Handbook provides guidance on Federal regulations and policies related to civil rights and intellectual property, including patents and copyrights. It also outlines compliance requirements associated with 2 CFR Part 200, also known as the Uniform Guidance – formally OMB Circulars A-21, A-110, and A-133, (including the earlier Circular A-128, as consolidated and supplemented) — as well as policies governing the protection of human research subjects, animal care and use, radiation safety, hazardous materials, and controlled substances.

Principal investigators (PI) are encouraged to review the Uniform Guidance regulations, which are available at https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1

SECTION I: DIVISION OF RESEARCH & SPONSORED PROGRAMS

The Division of Research and Sponsored Programs (RSP) provides research leadership, information, technical assistance, and a wide range of services to encourage faculty and staff to engage in research and training programs supported by extramural funding sources. A major goal of RSP is to increase TSU's research capacity while strengthening its instructional programs and infrastructure.

The University engages in a broad spectrum of sponsored programs, including basic research, applied research, training, and faculty and student development. These programs range from individual investigator-led projects to large-scale collaborative research initiatives.

RSP serves as the primary liaison between funding agencies, principal investigators (PIs) or project directors (PDs), and the University's administrative units. Key functions of RSP include:

- Assisting with identification of potential funding sources.
- Coordinating compliance policies on human subjects, animal care and use, research standards of conduct and integrity, radiation safety, and biosafety with federal, state, and local regulations.
- Guiding faculty and staff through the grant and contract application process.

- Routing proposals through appropriate institutional channels for approvals and endorsements.
- Maintaining University award files and records
- Establishing research partnerships, collaborations, and cooperative agreements.
- Conducting workshops and seminars on grant writing and administration
- Negotiating and managing intellectual property (IP) rights, including patents, copyrights, and publication agreements.
- Administering of research grants, contracts, and cooperative agreements.
- Disseminating information through the Research Website on funding opportunities and submission deadlines
- Managing technology transfer, commercialization, and licensing of University's IP
- Reviewing proposals for research and fiscal compliance, including budget review and negotiation of indirect cost rates

1.1 The Organization of The Division of Research & Sponsored Programs

The Division of Research and Sponsored Programs (RSP) is composed of a Vice President, Director, Research Administrators, Director of Tech Transfer and Commercialization, and a Research Compliance Coordinator/Officer.

RSP works in close collaboration with the Division of Business and Finance to support the administration of grants, contracts, and cooperative agreements. These collaborative efforts include coordination with purchasing agents and financial analysts who assist in the post-award management of sponsored projects and work in partnership with RSP to ensure proper financial oversight and compliance.

The RSP staff directory and organizational chart are available on the Division of Research and Sponsored Programs website.

A. Research and Sponsored Programs (RSP) Staff

1. Associate Vice President of Research and Sponsored Programs

The Vice President for RSP is the senior academic officer responsible for providing vision, direction, and leadership for the University's research mission. This role includes oversight of pre-award research administration, research policy development, the administration of the research enterprise, and education and training in the responsible conduct of research and scholarly activity.

The Vice President for RSP fosters a university environment that encourages and supports faculty in advancing knowledge through innovative scholarship, teaching, and research. In this capacity, the Vice President promotes excellence in research and creative activity and supports faculty in pursuing leadership in their respective fields.

The Vice President for RSP (VPR) negotiates for Facilities and Administrative (F&A) cost rate reductions or waivers, and approves all matching funds (cash or in-kind). The Vice President is also responsible for overseeing intellectual property matters, including patents, copyrights, and technology transfer arising from inventions and discoveries made by university faculty, research associates, and adjunct professors.

Furthermore, the VPR also evaluates campus Centers, Schools, Colleges, Institutes, and Departments to support strategic planning of pre-award activities aimed at achieving the University's research funding goals.

2. Research Administrators

Research Administrators develop procedures to implement the policies established by the Vice President for RSP and is responsible for performing daily operational duties and activities.

Research Administrators review proposal content and budgets, and communicate with federal agencies regarding program announcements, active grants, contracts, and cooperative agreements. In addition, research administrators provide oversight of research budgets and serve as a liaison between funding agencies and University personnel. In addition, Research Administrators oversee grant proposal development across the University. Research Administrators also coordinate the activities of Human Subjects Committee (IRB).

3. Compliance Coordinator/Director

The Compliance Coordinator/Director within the Division of RSP is responsible for coordinating the activities of the Institutional Animal Care and Use Committee (IACUC), Institutional Biosafety Committee (IBC), Radiation Safety Subcommittee (RSS), Human Subjects Committee (IRB), and the Research Integrity Committee (RIC).

4. Director of Tech Transfer and Commercialization

The Director of Technology Transfer and Commercialization leads Tennessee State University's technology transfer, intellectual property, innovation, and commercialization activities. The Director is responsible for receiving and evaluating invention disclosures; coordinating patent, copyright, trademark, and other intellectual property protection; maintaining the University's intellectual property portfolio; and ensuring compliance with applicable University policies, sponsored research requirements, and federal obligations, including Bayh-Dole and iEdison reporting.

The Director develops and implements commercialization strategies for University technologies by assessing market potential, identifying industry partners, marketing available technologies, and coordinating licenses, options, assignments, confidentiality agreements, material transfer agreements, and related commercialization transactions in consultation with University counsel and appropriate officials. The Director also supports faculty and student entrepreneurship, startup formation, SBIR/STTR opportunities, proof-of-concept development, customer discovery, industry-sponsored research, and connections with investors, accelerators, economic development organizations, and other commercialization partners.

The Director promotes a University-wide culture of innovation by providing intellectual property and commercialization education, supporting the Intellectual Property Committee, developing industry and economic development partnerships, and advising University leadership on technology transfer strategy and policy. The Director tracks and reports commercialization performance through measures such as invention disclosures, patents, licenses, startups, industry partnerships, commercialization funding, and licensing revenue, with the overall objective of moving TSU research discoveries from the laboratory and academic environment into commercially viable products, services, companies, and societal applications.

B. Research Committees

Research at Tennessee State University is an integral part of the University's mission, goals, and strategic objectives. To ensure that research activities are conducted efficiently and in compliance with federal, state, and local regulations, several research oversight committees have been established to advise the Office of RSP on matters related to research and sponsored program activities.

The Biosafety Committee**,** Radiation Safety Subcommittee**,** Human Subjects Committee**,** and Animal Care and Use Committee review and approve research involving hazardous materials, human subjects, and the use of experimental animals. The Research Council provides guidance to RSP on policies and procedures governing the University's research programs.

The committees are as follows:

- Research Council
- Institutional Animal Care and Use Committee (IACUC)
- Institutional Review Board/Human Subjects Committee (IRB)
- Institutional Biosafety Committee (IBC)
- Radiation Safety Subcommittee (RSS)
- Research Integrity Committee (RIC)

1. Research Council

The purpose of the Research Council is to advise RSP in developing realistic goals, procedures governing research programs, and new research initiatives at the University. The Council reviews research-related policies and procedures, makes appropriate recommendations, and provides follow-up to ensure effective implementation of relevant issues.

Membership of the Research Council, as appointed by the VP of RSP, includes the deans or their designees from various academic units, directors of research units, the VP of RSP, selected members of the RSP staff, the VP for Business and Finance or designee, selected principal investigators (PIs), and representatives from industry, government agencies, and other universities.

SECTION II: FUNDING SOURCES

The University receives funding for research and sponsored programs from federal agencies, corporations, small businesses, and private foundations. RSP assists potential principal investigators (PIs) in the early stages of proposal development by identifying potential sponsors for their projects.

PIs can access a wide range of funding information through the University's Research website. RSP maintains web resources, reference materials, application kits, reports, electronic databases, sponsor guidelines, directories, and newsletters from federal, state, local, and private agencies to support faculty in identifying funding opportunities.

A primary resource for identifying funding sources is Pivot and Atom Grants, which provide information on funding opportunities across many disciplines, including the arts and sciences, social sciences, humanities, and basic science and engineering. Additional information is available on the Grant Search Services page on the University's Research website.

SECTION III: PROPOSAL DEVELOPMENT

All academic grants, contracts, and cooperative agreements are managed by the Division of Research and Sponsored Programs (RSP). The elements of a proposal generally include a title page, abstract, project description, budget, budget narrative, and appendices. The project description should clearly define the purpose, significance, objectives, methods, evaluation plan, and anticipated outcomes. PIs are encouraged to review and consult proposal guidelines from the funding agency for each proposal.

3.1 Qualifications of PI/PD

Before a PI writes a competitive research proposal or a demonstration project for extramural funding, it is critical that the PI has a well-conceived idea that falls within his or her area of expertise. Competency in an area of expertise must be supported by the PI's level of education, relevant experience, familiarity of the literature in the area of interest, and peer-reviewed publications and presentations. The PI should have an excellent research reputation in order to be seriously considered by external review panelists. It must be clear that the proposed PI has the ability and capacity to implement the suggested research project or activity. Some important components of qualified PIs or PDs are listed below:

- Earned degrees, dates, and institutions(s)
- Grants, contracts, and cooperative agreements received
- Employment status at the University
- Recent refereed publications with relevance to proposed project
- Referred presentations
- Research interests and teaching experience

3.2 Proposal Content

Generally, each sponsor or funding agency sets its own requirements and guidelines for proposal components and content. A strong proposal is typically built on a well-developed idea, a clear implementation plan, and an understanding of the current knowledge in the field. The format below provides a general overview of elements that may be included in a proposal.

- Cover Sheet
- Certification Pages (usually federal)
- Table of Contents
- Project Summary
- Project Description
- Evaluation
- Biographical Sketches
- References
- Budget
- Appendices

The principal investigator or project director should use a checklist that is appropriate for the proposal. An online proposal checklist is available on the Research website.

A. Cover Sheet

Each federal or private sponsor typically provides its own cover sheet. Cover sheets usually include information about the applying institution, such as the institution's name, the PI's name, the amount of funding requested, the project duration, the name

of the institutional representative, address, telephone, fax, email, project title, and required signatures. Only the President or the Vice President of Research and Sponsored Programs may sign the cover sheet as the authorized representative of the University. The Proposal Preparation Fact Sheet, which contains much of the information requested about the University on agency cover sheets, is available on the Research website.

B. Certification Pages

Federal agencies require all PIs and Co-PIs to certify compliance with regulations related to a drug-free workplace, lobbying activities, and matters concerning debt, debarment, and suspension by providing the appropriate responses and acknowledging/signing required certification forms. The institutional representative must also certify that the statements in the proposal are accurate and complete to the best of their knowledge and that the institution agrees to comply with the award's terms and conditions. In addition, the institutional representative must confirm that the University has established and enforces a policy addressing conflicts of interest. Only the President, Vice President of RSP, or designee by the President or VPR may sign as the authorized representatives of the University.

C. Table of Contents

Strong proposals should include a clear and useful table of contents that identifies each major section of the proposal as well as significant subsections.

D. Project Summary

A strong proposal should include a one-page project summary of the proposed activity written in the third person and suitable for publication. The project summary should be a self-contained description of the activities to be undertaken rather than simply an abstract of the proposal. It should outline the project objectives, the methods to be used, the anticipated outcomes, and the significance of the work. In most cases, the project summary is written for a broad audience. When appropriate and required by the sponsoring agency, an abstract may be used in place of a project summary.

E. Project Description

The main body of the proposal should clearly describe the work to be performed and include the following elements:

- Objectives for the proposed work period, preferably stated in measurable terms
- Significance of the proposed project
- Review of current knowledge in the relevant field of study
- Work plan, including the design and sequence of activities to be carried out
- Description of experimental methods and procedures

For projects involving collaborations or partnerships, these must be fully detailed in this section, supported by official letters from each collaborator or partner, and reflected appropriately in the budget.

F. Evaluation Plan

The purpose of an evaluation plan is to determine whether the objectives of the proposed project have been achieved. Evaluation typically includes two components:

- ***Formative Evaluation****:* Used to monitor the ongoing implementation of the project, identify challenges, and make adjustments as needed to ensure the project stays on track.

- ***Summative Evaluation****:* Conducted at the conclusion of the project to assess overall outcomes, effectiveness, and impact.

The evaluation plan should clearly describe the criteria, methods, and tools that will be used to measure progress and outcomes. Where applicable, include specific performance indicators, timelines for assessment, and plans for reporting results. For additional guidance, contact the Research and Sponsored Programs (RSP) staff.

G. References

All references should be drawn from peer-reviewed journals whenever possible. Each citation must be complete and include:

- Full names of all authors
- Title of the publication
- Name of the journal or source
- Volume, issue, and page numbers
- Year of publication

References should be current and directly relevant to the proposed project, demonstrating familiarity with the existing literature and supporting the rationale and methodology of the project.

H. Biological Sketches

The biographical sketch of the Principal Investigator (PI) should provide evidence of their expertise and qualifications to conduct the proposed research or training program. Key components include:

- Earned Degrees and dates received
- Academic Institutions where degrees were earned
- Grants and Contracts Received, including the funding agency, a brief project description, and award amounts

- Recent Peer-Reviewed Publications relevant to the proposed project
- Referred Presentations
- Research Interests and Teaching Experience
- Professional Memberships, Honors, and Awards (optional but recommended)
- Relevant Collaborations (optional, if they demonstrate capability to execute the project)

Biographical sketches should highlight the PI's experience, accomplishments, and ability to successfully manage the proposed work.

I. Budget Development

All budgets must be reviewed and approved by the Research and Sponsored Programs (RSP) office before submission. A well-prepared budget ensures that the costs requested are reasonable, necessary, and directly aligned with the objectives outlined in the project description.

Key points for preparing a budget include:

- ***Alignment with Project Objectives***: Each cost element should clearly support the activities and goals described in the proposal.

- ***Accurate Cost Estimates***: Individual line items should be carefully calculated to ensure that requested funds are sufficient but not excessive.

- ***Cost Sharing or Matching Funds***: Many proposals require cost sharing, which may take the form of cash contributions or in-kind support such as specialized services, equipment, or personnel provided by the University. These contributions should be documented and clearly reflected in the budget.

- ***Budget Components:*** A comprehensive budget generally includes:

    - *Budget Summary*: A high-level overview of total costs broken down by category.

    - *Budget Details*: Itemized listings of costs, including personnel, equipment, supplies, travel, and other direct costs.

    - *Budget Justifications*: Explanations for each major expense, demonstrating why the costs are necessary for the project's success.

Budgets are typically divided into two broad categories:
- Direct Costs
- Indirect Costs

Additionally, the budget should include a timeline for expenditure, indicate any anticipated subcontracts, and account for inflation or contingencies when appropriate. Clear and transparent budgeting increases the credibility of the proposal and facilitates sponsor review and approval.

Note: A budget worksheet is available on the Research Website. It also includes the current F&A (indirect cost) rates for each proposal category:

- Traditional research: 42%
- Off-campus research: 26%
- Instructional: 56%
- On-campus sponsored activities: 40%
- Off-campus sponsored activities: 22%

1. Direct Costs

Expenses that can be specifically identified with the project, such as salaries, fringe benefits, supplies, equipment, travel, and consultant fees.

a) Senior Personnel Costs

This category includes principal investigators (PIs), co-principal investigators (Co-PIs), research faculty, project directors, and other senior research associates. When budgeting salaries for senior personnel, an inflation factor of up to 3% may be added to the base salary charged to the grant to account for anticipated increases.

No additional compensation or extra service pay may be charged to a sponsored project unless it is explicitly identified in the proposal requested from the funding agency and approved. Summer salaries for faculty should not exceed 33% of the academic year salary unless otherwise permitted by the funding agency. All salary requests must comply with University policies and sponsor guidelines.

b) Other Personnel Costs

Other personnel costs include post-doctoral associates, technicians, computer programmers, graduate students, undergraduate students, and clerical/secretarial staff. Current salary figures should be used, with an optional 3% inflation factor for post-doctoral fellows, technicians, computer programmers, and clerical/secretarial personnel.

- For new positions, contact the Director of Human Resources to determine an approximate grade and salary.

- For graduate student wages, consult the Dean of the Graduate School.

- Undergraduate student wages should follow the University's student employment policies.

All personnel costs should be clearly justified in the proposal budget.

c) Fringe Benefits

Fringe benefits include Social Security (FICA), retirement, unemployment, and insurance. The standard fringe benefit rate for full-time PIs, project directors, faculty, computer programmers, clerical/secretarial staff, technicians, and other non-student employees is 35% of salary and wages. For part-time employees, the rate is 7.65%.

- The 35% rate represents the minimum for budgeting purposes. If a funding agency allows a higher fringe benefit rate, the higher rate may be applied.
- Graduate and undergraduate students are exempt from fringe benefits (0%).

Fringe benefits should be calculated consistently and documented in the budget justification.

d) Equipment

At the University, equipment is defined as tangible property with an acquisition cost of $5,000 or more and a useful life expectancy exceeding one year. Items with a value below $5,000 are considered supplies and should be budgeted as such.

- All equipment purchases must be necessary for the project and justified in the proposal.
- Include shipping, installation, and any required accessories in the equipment budget.

University and sponsor policies regarding equipment ownership, use, and disposal must be followed.

e) Travel

All travel charged to a sponsored project must comply with Uniform Guidance and Tennessee State University (TSU) policies. Allowable travel includes attendance at professional meetings, consultation trips, field work, project director's meetings, relevant workshops, and visits to directors or managers at federal agencies.

Travel is generally categorized as domestic or foreign:

i. **Domestic Travel:**
Travel within the continental United States. This includes air travel (economy class), ground transportation (car, rail, bus, taxi), lodging, meals (per diem), and parking.

Per diem rates, mileage rates, and lodging limits for in-state and out-of-state travel are available through the Division of Business and Finance and on the TSU Travel website.

ii. **Foreign Travel**:
Travel outside the continental United States requires prior approval from the President of TSU and the Tennessee Board of Regents, as proposals involving foreign travel are considered non-standard. All travelers must carry adequate insurance covering accidents, sickness, and death. Additional guidance on foreign travel requirements and procedures can be found on the TSU Travel website.

All travel costs must be justified in the budget and directly related to the project.

f) Participant Support Costs

Participant support costs cover expenses for individuals who are not employees, such as trainees or participants in conferences, meetings, training activities, or workshops. These costs may include:

- Transportation
- Per diem and meals
- Stipends
- Other related expenses

Note: Indirect costs are generally not allowed for participant support. All participant support costs should be clearly documented and justified in the budget.

g) Other Direct Costs

Other direct costs include items and services necessary to carry out the project, such as:

- Materials and supplies
- Publications and dissemination costs
- Subcontracts
- Consultants
- Computer and data services
- Communication expenses (telephone, internet, postage)
- Repairs and maintenance for project-related equipment

All other direct costs should be itemized, reasonable, and justified in the proposal budget.

i. Materials and Supplies

The budget should provide a general description of the types of expendable materials and supplies required for the project, along with estimated costs. All materials and supplies must comply with Uniform Guidance (formerly OMB Circular A-21) and University policies.

ii. Publications

Funds may be requested to document, prepare, disseminate, and publish the findings of the research or project. This can include journal publications, reports, conference proceedings, or other dissemination activities directly related to the proposed work.

iii. Subcontracts

Collaborative or research partnerships with other institutions may involve closely related and coordinated activities. Any intent to enter into such arrangements must be fully disclosed and detailed in the proposal. Subcontracts should clearly identify the work to be performed, the budget, and deliverables.

Note: Indirect costs on subawards are calculated only on the first $50,000 of each subcontract. These rates may be applied to grants that require use of the negotiated indirect cost rate. In some cases, private foundations or corporations may allow a rate based on the actual cost of research administration, which could exceed the negotiated rate.

iv. Consultant Services

This category covers services provided to Tennessee State University by external individuals or organizations. It includes consultant fees, professional services, honoraria, and speaker fees. All consultant services must be justified and necessary for the project.

v. Computer Services

Costs for computer services include access to scientific, technical, or educational databases, as well as telecommunication services required for project activities

vi. Communications

This category includes telephone, facsimile, postage, data lines, advertising, and other related communication expenses directly associated with the project.

vii. Repairs and Maintenance

This includes costs for maintaining property and equipment necessary for the project, such as maintenance contracts for computers, photocopiers, or other office and research equipment.

2. Indirect Costs (Facilities and Administration (F&A)

Indirect costs, also known as Facilities and Administrative (F&A) costs, are expenses incurred by the University in support of research and sponsored program activities that cannot be readily identified with a specific project.

At TSU, the negotiated indirect cost rate approved by the U.S. Department of Health and Human Services (HHS) is 42% of modified total direct costs (MTDC) for on-campus projects and 26% for off-campus projects (defined as projects where more than 75% of the work is conducted off-campus). These rates may be applied to grants and sponsored programs that allow the use of the University's federally negotiated F&A rate.

. PIs should consult with RSP if there are questions regarding the appropriate indirect cost rate.

Refer to the University Research website for additional information and to verify the current negotiated indirect cost rate.

3.3 Proposal Routing and Approval Form (Intent to Submit Proposal Form)

All Principal Investigators (PIs) are required to complete the Intent to Submit Proposal Form via (teamgrants.com) prior to submitting a proposal. This form must be fully completed to provide key information about the proposed project, including the funding agency, proposal due date, and the amount of funding requested.

The online form may be completed as early as desired; however, proposal submitters should provide at least one week's notice prior to the sponsor's submission deadline to allow sufficient time for internal review and approvals. The form can be accessed directly through the Research Website.

Depending on departmental requirements, documentation may need to be submitted to departmental leadership for preliminary review and approval before it is forwarded to RSP.

To allow sufficient processing time, the fully completed and approved form must be submitted to RSP at least five (5) business days prior to the sponsor's submission deadline.

Before writing the proposal, PIs should contact RSP for guidance on proper forms, formatting specifications, and submission procedures.

Important Checklist for Proposal Preparation:

- Cost sharing contributions and percentages
- Appendix materials allowed by the sponsor
- Maximum budget allowed
- Special budget forms and application checklists
- Table of contents requirements
- Indirect costs (F&A) allowed and applicable percentages
- Special assistance forms and required formats
- Prior approval signatures
- Electronic submission portal for the sponsoring agency.
- Any special instructions provided by the sponsor
- Application deadlines (postmarked or received dates)
- Minimum and maximum page limits for each section
- Project duration (number of years of support allowed by the sponsor)

Adhering to this process helps ensure that proposals are complete, meet both University and sponsor requirements, and are submitted in a timely manner.

3.4 Proposal Review, Approval, and Submission

Before submission and institutional approval, all proposals must undergo a structured review process. This includes review by the PI's department head/director and/or the college dean, and a Proposal Review Panel (PRP). A visual overview of this process is provided in the Proposal Routing and Review Flowchart.

Once all required departmental approvals are obtained, the proposal packet should be submitted to the Division of Research and Sponsored Programs (RSP) at least five (5) business days before the sponsor's deadline. A complete proposal packet must include:

1. Intent to Submit Form
2. Agency Cover Sheet
3. Proposal Narrative
4. Proposal Budget
5. Agency Certification and Assurance Forms
6. Approval from the appropriate Compliance Committee(s), if required
7. Letters of University Endorsement (if applicable)

The VP for RSP will sign only proposals that are fully complete and ready for submission. RSP is available to provide assistance and strongly encourages investigators to begin the

proposal development process as early as possible. Only complete proposal packages will be reviewed by RSP and forwarded for the RSP VP's signature. Any incomplete submissions will be returned to the Principal Investigator (PI) for revision and completion.

A. Review by Department Head/Director

The PI should first determine whether their department or unit requires internal review or approval prior to submission. If departmental regulations or leadership directives exist, the proposal should be submitted to the department head or director for review and approval. This step helps ensure the proposed project aligns with departmental priorities and that faculty and staff commitments are appropriate and feasible.

Key areas typically included in the departmental review are:

- Academic appropriateness and significance of the proposed research or sponsored activity
- Faculty and staff effort commitments, ensuring total commitments do not exceed 100% of available effort
- Salary arrangements, including summer support or distribution during the academic year
- Identification of proprietary or confidential information
- Space and facility requirements needed to support the project
- Budget review, including verification of all costs, realistic estimates, compliance with University and sponsor policies, and confirmation of any cost-sharing funds
- Identification of special conditions requiring additional review (e.g., human subjects, biohazards, radioactive materials)

If no departmental review requirements exist, the PI may submit the proposal packet directly to RSP for review.

B. Review by RSP Staff

After obtaining the required information and signatures from the department head and dean, the proposal packet must be submitted to RSP no later than five (5) business days prior to the sponsor's submission deadline. The proposal packet should include the items outlined in Section 3.4.

C. University Authorization

All proposals must be signed by an official authorized to sign on behalf of the University. The signature of the authorized official signifies the University's endorsement of, and commitment to, the proposed project. In many cases, this authorization also certifies compliance with applicable federal regulations. In other instances, the authorization represents the University's preliminary acceptance of the terms and conditions associated with the potential award.

At TSU, the VP of RSP serves as the authorized institutional official. Please use the name and contact information provided below when referencing the authorized institutional official on grant proposal cover pages, certifications, and related documents.

Quincy Quick, Ph.D.
Chief Research Officer and
Associate Vice President for Research and Sponsored Programs
3500 John A. Merritt Boulevard
Nashville, Tennessee 37209-1561
Phone: (615) 963-7631
Fax: (615) 963-5068
E-Mail Address: research@tnstate.edu

D. Submission to Agency

Once a proposal has been signed by the VP of RSP, it is ready for submission to the funding sponsor. The Principal Investigator (PI) is responsible for preparing the required copies and submitting the proposal to the sponsor. The number of copies required varies by sponsoring agency. In addition to the original proposal submitted to the sponsor, one copy must be provided to RSP for the official University file. If the sponsor's guidelines do not specify the number of required copies, the PI should contact the sponsor for clarification.

To ensure timely submission, the PI should be aware of the type of deadline specified by the sponsor:

- **Receipt Deadline** – The proposal must be received by the sponsor on or before the stated deadline.

- **Postmark Deadline** – The proposal must be postmarked by the stated deadline, but it does not necessarily need to be received by that date.

In most cases, proposals that miss the agency's deadline will not be considered. To meet critical deadlines, PIs should plan accordingly and be familiar with available express courier services to facilitate timely submission.

E. Electronic Submission of Proposals

An increasing number of funding agencies require electronic submission of proposals. Proposals submitted electronically are subject to the same University review and approval process as paper submissions. Proposals should not be transmitted to the sponsor until the University's internal review and approval process has been completed, including obtaining the signature of the VP of RSP on the TSU Proposal Approval Form.

Submission procedures vary by sponsor. Principal Investigators (PIs) should consult the funding agency's website for specific instructions regarding electronic proposal submission.

SECTION IV: COMPLIANCE POLICIES

The University is committed to maintaining a safe, ethical, and fully compliant research environment that aligns with federal, state, and local regulatory requirements. Research conducted at the University frequently involves the use of biological, chemical, and radioactive materials, as well as activities that involve human subjects, animals, and other regulated materials. Each of these research areas carries specific compliance obligations designed to protect researchers, research participants, the campus community, and the environment.

Hazardous biological, chemical, and radiological materials—if not properly used, stored, transported, or disposed of—can pose significant risks due to their inherent properties such as toxicity, corrosiveness, reactivity, flammability, and infectivity. To ensure safe handling and oversight of these materials, the University adheres to a comprehensive framework of federal and state regulations, including:

Federal Agencies & Regulations

- **National Institutes of Health (NIH):** *NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules*
- **Centers for Disease Control and Prevention (CDC):** *Biosafety in Microbiological and Biomedical Laboratories (BMBL)*
- **U.S. Department of Health and Human Services (HHS):** *45 CFR 46 (Common Rule)* for human subjects protections
- **Food and Drug Administration (FDA):** oversight of clinical investigations and human subject protections
- **Office of Laboratory Animal Welfare (OLAW):** *PHS Policy on Humane Care and Use of Laboratory Animals*
- **U.S. Department of Agriculture (USDA–APHIS):** oversight of animal and plant pathogens, select agents, and agricultural research
- **Occupational Safety and Health Administration (OSHA):** laboratory safety standards, including Hazard Communication and Bloodborne Pathogens

- **Environmental Protection Agency (EPA):** environmental and chemical waste regulations
- **U.S. Department of Transportation (DOT):** *49 CFR 173* governing the shipping and transport of hazardous materials
- **Nuclear Regulatory Commission (NRC)/National Materials Program:** regulation of radioactive materials and radiation-producing equipment
- **Uniform Guidance (2 CFR Part 200):** governing federal grants management, including requirements formerly in OMB Circulars A-21, A-110, and A-133

Research Compliance Oversight Structure

To ensure adherence to these complex regulatory requirements, the RSP Compliance Coordinator is responsible for coordinating the University's major Research Compliance Committees, including:

- Institutional Animal Care and Use Committee (IACUC),
- Institutional Biosafety Committee (IBC),
- Radiation Safety Subcommittee (RSS),
- Institutional Review Board/Human Subject Committee (IRB),
- Research Integrity Committee (RIC).

Members of these Committees are appointed by the Vice President for Research and Sponsored Programs. Together, these committees provide essential oversight of research involving biological agents, hazardous chemicals, radioactive materials, animal care and use, human subjects, and allegations of research misconduct.

The Research Compliance Office (RCO) also reviews and summarizes Compliance matters associated with the Uniform Guidance (2 CFR Part 200) – formally Office of Management and Budget (OMB) Circulars, A-21, A-110, and A-133 – ensuring that sponsored programs adhere to federal requirements for financial management, allowability of costs, documentation, auditing, and internal controls.

Commitment to Safe and Ethical Research

Through coordinated oversight by the IBC, IACUC, IRB, RSS, Research Integrity Committee, and Environmental Health & Safety (EHS), the University ensures that all research activities are conducted responsibly, safely, and in accordance with applicable regulations and institutional policies. Principal Investigators play a central role in upholding this culture of compliance and are expected to understand and implement the requirements associated with their research areas.

A. Human Subject Committee/Institutional Review Board (IRB)

The University complies with 45 CFR 46: Protection of Human Subjects, as amended by federal policy and effective August 19, 1991. These federal regulations require the University to provide the funding agency with a statement of assurance for each research proposal that involves human subjects. Therefore, any project seeking external

funding that includes human subjects must be reviewed and approved by the Institutional Review Board (IRB) or Human Subjects Committee. An exception may occur when the Chair of the Human Subjects Committee or the RSP Compliance Coordinator determines that the proposal qualifies for an expedited review.

Expedited review procedures may be used only under the following circumstances:

- When the research falls within categories eligible for expedited review and is determined to involve no more than minimal risk to participants.
- When minor modifications are proposed for research that has already been approved, provided the changes occur within the authorized approval period of one year or less.

The Human Subjects Committee has the authority to suspend or terminate approval of research if it determines that the project is not being conducted in accordance with IRB requirements or if it results in unexpected and serious harm to participants. If approval is suspended or terminated, the Committee will provide the Principal Investigator (PI) with a written explanation outlining the reasons for the action.

When human participants are involved in research, the PI must obtain legally valid informed consent from the participant or the participant's legally authorized representative. Consent must be obtained in circumstances that allow the individual sufficient time and freedom to decide whether to participate, without coercion or undue influence. The information provided must be written or explained in clear and understandable language. Informed consent documents, whether oral or written, must not include language that causes participants to waive their legal rights or appear to release the PI, the sponsor, the University, or its representatives from liability for negligence (45 CFR 46.116).

The Human Subjects Committee is responsible for maintaining thorough documentation of its activities. These records include:

- Copies of all research proposals reviewed, along with any scientific evaluations, approved consent forms, progress reports from PIs, and reports of participant injuries.
- Detailed minutes of Committee meetings, including attendance, actions taken, voting outcomes (numbers for, against, and abstaining), and the rationale for approving, modifying, or disapproving research. Minutes must also document any contested issues discussed during meetings.
- Records of continuing review activities conducted by the Committee.
- Copies of all correspondence between the Committee and PIs.
- A detailed list of Committee members as required under section 46.103(b)(3).
- Written procedures governing Committee operations as described in sections 46.103(b)(4) and 46.103(b)(5).
- Documentation of significant new findings that must be communicated to research participants in accordance with section 46.116(b)(5).

All records required under this policy must be retained for at least three years after the completion of the research. These records must also be available for inspection and copying by authorized representatives of the Office for the Protection from Research Risks (OPRR).

If a research project initially does not involve human subjects but later proposes to include them, the project must first receive approval from the Human Subjects Committee before the research can proceed. The University must then submit the appropriate certifications to OPRR.

Each Human Subjects Committee must include at least five members with diverse backgrounds to ensure comprehensive and balanced review of research activities. In accordance with federal guidelines (45 CFR 46), the University's Committee typically includes a community representative, an attorney, a psychologist, and a physician to address the broad range of research involving human participants.

The Committee generally meets each month to review research proposals and to participate in seminars and workshops related to the protection of human subjects in research. Additional meetings may be scheduled as needed. The IRB accepts new applications, amendments, exemption requests, and all supporting documentation through the Microsoft Forms link available on the University's IRB webpage at tnstate.edu/irb. The general processing timeframe for all application types is approximately 21 days.

B. Institutional Biosafety Committee (IBC)

The Institutional Biosafety Committee (IBC) is a federally mandated oversight body, established under the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules, which require any institution receiving NIH funding for r/sNA research to maintain an active and compliant IBC. As a condition of federal funding, the NIH Guidelines carry the force of policy, making IBC review and oversight mandatory for institutions engaged in biological research involving recombinant or synthetic nucleic acids or other potentially hazardous biological materials.

The IBC is responsible for ensuring that all research involving biological materials, including recombinant or synthetic nucleic acids (r/sNA), infectious agents, human materials, plant/animal pathogens, select agents, and regulated biological materials, is conducted safely, responsibly, and in compliance with applicable federal, state, and institutional requirements.

The IBC ensures adherence to:

- NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules
- OSHA Bloodborne Pathogens Standard – *(29 CFR 1910.1030)*
- CDC/NIH *Biosafety in Microbiological and Biomedical Laboratories (BMBL)*

- USDA APHIS and TN Department of Agriculture (TDA) requirements for regulated organisms, plant pests, and agricultural pathogens
- Select Agent Regulations – *(42 CFR 73, 9 CFR 121, 7 CFR 331)*
- TSU's Biosafety Program and institutional safety policies

The IBC protects research personnel, the campus community, the public, and the environment by assessing biological risks, reviewing research protocols, monitoring compliance, and ensuring that federally mandated biosafety standards are implemented across all research activities involving biological materials.

1. When PI Review and Approval is Required

PIs must submit a protocol to the IBC *before* initiating research that involves:

- **Recombinant or Synthetic Nucleic Acids (r/sNA)**
  - Plasmids, viral vectors, CRISPR, gene editing tools
  - Transgenic organisms (plants, animals, microbes)

- **Infectious or Potentially Infectious Agents**
  - Bacteria, viruses, fungi, parasites
  - BSL-2 or higher organisms
  - Attenuated, non-pathogenic, or replication-deficient vectors

- **Human-Derived Materials**
  - Cells, tissues, blood, or other potentially infectious materials (OPIM)

- **Animal or Plant Pathogens**
  - Any agent requiring ABSL-2 or greenhouse biosafety containment

- **Environmental or Agricultural Biocontainment**
  - Regulated soils
  - Biological pesticides
  - USDA-regulated organisms

- **Any Activity Involving Biological Hazards in Labs, Greenhouses, or Animal Facilities**

No work may begin—and no materials may be ordered or transferred—until full IBC approval is granted.

2. PI's Responsibilities in Biosafety Compliance

As the Lead Investigator, the PI is ultimately responsible for ensuring that all research activities under their direction adhere to biosafety and institutional requirements. Key responsibilities include:

- **Protocol Submission & Updates**
  - Submit complete and accurate IBC protocols before initiating research
    - IBC approval must be obtained *before* the grant proposal package is forwarded to the VP of RSP for signature
  - Obtain IBC approval prior to making changes (materials, procedures, personnel, lab location, etc.)
  - Renew protocols based on committee-defined cycle or institutional requirements.

- **Personnel Training & Competency**
  - Ensure all personnel complete ***annual*** biosafety and lab safety training (institutional and CITI Biosafety recommended).
  - Provide project-specific training, including SOP reviews, PPE requirements, and emergency procedures.
  - Maintain records of personnel training and competency

- **Safe Laboratory Practices**
  - Enforce appropriate biosafety levels (BSL-1, BSL-2, ABSL-1/2, greenhouse biosafety).
  - Ensure biosafety equipment (BSCs, PPE, autoclaves, eyewash stations) is functional and certified.
  - Maintain accurate inventories of biological agents and materials.

- **Incident and Exposure Reporting**
  - Immediately report exposures, spills, near misses, or biosafety incidents to:
    - Environmental Health & Safety (EHS)
    - IBC
    - Research Compliance Office
  - Ensure medical follow-up and provide incident documentation.

- **Material Transfer & Permits**
  - Submit required Material Transfer Agreements (MTAs) before receiving/sending biological materials.
  - Obtain and maintain USDA APHIS, CDC, or TDA permits when required.
  - Ensure regulatory compliance when collaborating with off-campus institutions.

3. IBC Review Process and Timeline

a) Submission

Complete the Biosafety Protocol Submission Form and send to the IBC email. Ensure all supporting documents (SOPs, training certificates, agent descriptions, etc.) are attached.

b) Administrative Pre-Review
Research Compliance performs initial screening for completeness

c) Committee Review
- **i.** Protocols are assigned to reviewers
- **ii.** Reviews are conducted at scheduled IBC meetings or via expedited review when appropriate.

d) Revision/Clarifications
PIs may be asked to provide additional information before final approval.

e) Final Approval
An approval letter and protocol number will be issued. Work may begin only after this point.

Typical review times: 3-6 weeks, depending on completeness and meeting schedule.

4. Required Documentation

PIs must maintain (and provide upon request):
- IBC approval letter & approved protocol
- Training records for all personnel
- SOPs for all biological procedures
- Agent inventories and storage logs
- Waste disposal and decontamination logs
- Equipment certifications (e.g., BSC annual certification)

5. Non-compliance and Consequences

Failure to comply with IBC policies and NIH Guidelines may result in:
- Suspension of research activities
- Revocation of protocol approval
- Restrictions on funding or sponsored projects
- Institutional sanctions
- Federal reporting obligations (for significant violations)

The IBC and Research Compliance Office will work collaboratively with PIs to resolve issues, but compliance is mandatory.

6. Support and Resources for PIs

The Research Compliance Office provides:
- Assistance with protocol preparation
- Training resources (CITI, classroom sessions, lab-specific sessions)
- Biosafety consultations
- Facility inspections and risk assessments
- Guidance on federal regulations and permit requirements

C. Radiation Safety Subcommittee (RSS)

The Radiation Safety Subcommittee (RSS) is a standing subcommittee of the Institutional Biosafety Committee (IBC) charged with providing oversight, guidance, and regulatory compliance assurance for all activities involving radioactive materials and radiation-producing devices. The RSS ensures that the use of ionizing radiation across academic, research, and instructional environments meets federal, state, and institutional requirements, protects personnel and the public, and maintains the University's license to possess and use radioactive materials.

The RSS operates under the authority of state radiation regulations, the Tennessee Department of Environment and Conservation (TDEC) - (Division of Radiological Health), and, when applicable, the Nuclear Regulatory Commission (NRC) or Agreement State license conditions.

1. Purpose and Responsibilities

The primary responsibilities of the RSS include:

a. Review and Approval of Radiation Use Proposals:
The Subcommittee evaluates all new and renewal applications involving radioactive materials, sealed sources, radiation-producing machines, or devices emitting ionizing radiation to ensure that proposed work meets safety and compliance standards.

b. Oversight of Regulatory Compliance:
The RSS ensures adherence to applicable federal and state regulations, license conditions, and institutional policies related to procurement, possession, use, storage, and disposal of radioactive materials.

c. Environmental and Personnel Monitoring:
Oversight includes review of laboratory surveys, radiation monitoring reports, exposure records (dosimetry), contamination control practices, and incident investigations.

d. Program Evaluation:
The RSS conducts periodic evaluations of the Radiation Safety Program to maintain effectiveness, ensure continuous improvement, and assess institutional readiness for inspections by regulatory agencies.

2. Membership

The RSS is composed of:

- **Radiation Safety Officer (RSO)** – A required member who provides technical expertise, training, and regulatory interpretation.
- **Faculty Members** with experience in radiation-related teaching or research.
- **Ad Hoc Subject Matter Experts**, as needed based on proposal type (e.g., medical physics, engineering).

Members are appointed for multi-year terms to ensure continuity and stable oversight. The RSO serves as the primary technical and compliance advisor to the Subcommittee and PIs.

3. Radiation Safety Officer (RSO) Role

The RSO plays a central role in supporting both the RSS and PIs by:

- Overseeing day-to-day implementation of the Radiation Safety Program.
- Providing required safety training to faculty, students, and staff.
- Conducting radiation surveys, contamination assessments, and facility inspections.
- Maintaining the radioactive materials license and coordinating with the state regulatory agency.
- Responding to incidents and facilitating corrective actions.

4. PI Responsibilities Under the RSS

PIs engaged in radiation-related research must:

- Obtain RSS approval prior to initiating any use of radioactive materials or radiation-producing equipment.
- Complete required radiation safety training for themselves and their personnel and ensure refresher training is completed annually or as required by policy.
- Maintain accurate inventory records, perform routine contamination surveys, and ensure proper labeling, posting, and storage of radioactive materials.
- Follow all license conditions, state regulations, and institutional SOPs related to radiation safety.
- Report incidents, spills, unusual exposures, or equipment failures to the RSO immediately.
- Ensure personnel dosimetry is used as required and that exposure records remain current.

Failure to comply may result in suspension of laboratory radiation privileges and mandatory corrective actions.

5. Types of Research Requiring RSS Review

RSS approval is required for, but not limited to, the following:

- Use of open or sealed radioactive sources
- Operation of radiation-producing machines (e.g., X-ray devices, irradiators)
- Use of radioisotopes in biological, chemical, or animal studies
- Experiments involving radioactive waste generation
- Modification of facilities housing radiation sources
- Transfer of radioactive materials between laboratories or institutions

If a PI is unsure whether a project requires RSS review, consultation with the RSO is strongly encouraged.

6. Training and Support for PIs

To ensure safe and compliant research environments, the RSS and RSO provide:

- Mandatory radiation safety training (annual or per license requirement)
- On-site laboratory assessments
- Assistance with radiation shielding needs, equipment calibration, and dosimetry
- Guidance on waste disposal, spill response, and regulatory documentation
- Support in preparing for state inspections or audits

7. Recordkeeping and Documentation

PIs must maintain accessible and up-to-date documentation, including:

- Current RSS protocol approval
- Training records for all personnel
- Radiation surveys and wipe test logs
- Dosimetry reports (as applicable)
- Inventory and usage logs
- Emergency procedures and signage

These records must be available during internal audits or regulatory inspections.

D. Institutional Animal Care and Use Committee (IACUC)

The Institutional Animal Care and Use Committee (IACUC) is the federally mandated oversight body responsible for ensuring that all animal care and use activities at Tennessee State University comply with applicable laws, regulations, and ethical standards. The IACUC oversees all research, teaching, testing, and training involving live vertebrate animals—whether conducted in vivaria, laboratories, classrooms, or field sites—and operates under the authority of the Office of the Vice President for Research and Sponsored Programs.

TSU adheres to Subchapter A ("Animal Welfare") of Title 9 of the Animal Welfare Act, the Public Health Service (PHS) Policy, and the NIH *Guide for the Care and Use of Laboratory Animals*, which collectively govern the humane care, housing, and use of animals in all institutional activities.

Membership is broadly representative of both the University and the local community. The Committee meets quarterly and conducts additional business electronically as needed.

1. Regulatory and Ethical Framework

PIs must be familiar with the regulatory landscape governing animal research. The IACUC ensures institutional compliance with:

Federal Regulations

- **Animal Welfare Act (AWA) & Animal Welfare Regulations (AWRs)** – Administered by the U.S. Department of Agriculture (USDA), Animal and Plant Health Inspection Service (APHIS).

- **Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals** – Overseen by the Office of Laboratory Animal Welfare (OLAW), NIH.

- **The Guide for the Care and Use of Laboratory Animals (The Guide)** – The foundational resource for housing, husbandry, veterinary care, and program oversight.

- **U.S. Government Principles for the Utilization and Care of Vertebrate Animals in Teaching, Research, and Training.**

Other Relevant Standards

- State regulations governing animal care and use.
- AAALAC International recommendations (if applicable).
- University policies, SOPs, and facility-specific operating standards.

2. Scope of IACUC Oversight

The IACUC has jurisdiction over all activities involving:

- Live vertebrate animals used for research, testing, teaching, or training.
- Breeding colonies when animals are produced for research.
- Field studies involving free-living vertebrates.
- Animal work conducted at collaborating institutions when the University retains responsibility for the research.

- Any live animal procedures performed by students, faculty, staff, or visiting scholars.

The IACUC may also oversee transportation, housing, surgical facilities, and equipment associated with animal research.

3. PI Responsibilities

PIs bear primary responsibility for ensuring that all animal research under their supervision is conducted ethically, safely, and in full compliance with IACUC requirements. PIs must:

a. Protocol Requirements

- Submit a complete Animal Use Protocol (AUP) prior to initiating any animal work.
- Receive IACUC approval before acquiring animals or starting procedures.
- Submit amendments for any proposed changes (species, procedures, personnel, housing, etc.).
- Submit annual continuing reviews (if applicable) and full renewals at the required intervals.

b. Personnel Training

Ensure all research staff and students complete required animal care and use training, including:

- General animal welfare and ethics training.
- Species-specific training.
- Procedure-specific competency assessments (e.g., injections, anesthesia, surgery).

Maintain documentation of training and competence.

c. Operational Responsibilities

- Ensure humane care and minimize pain and distress.
- Use appropriate anesthesia, analgesia, and humane endpoints.
- Follow approved methods for euthanasia.
- Maintain accurate and complete animal records.
- Ensure all procedures are performed only by approved, trained personnel.

d. Facility and Safety Compliance

- Follow all facility SOPs, access policies, and PPE requirements.
- Maintain sanitized and compliant research areas.
- Follow biosafety, chemical safety,

4. Protocol Review Process

a. Submission
PIs submit AUPs electronically to the IACUC Office. Submission deadlines are posted on the Research Compliance website

b. Review Pathway
Protocols may undergo:
- Full Committee Review (FCR)
- Designated Member Review (DMR)
- Veterinary Pre-Review

c. Review Criteria
The IACUC evaluates protocols based on:
- Justification of animal use (including the 3Rs: Replacement, Reduction, Refinement).
- Adequacy of housing and veterinary care.
- Methods of minimizing pain and distress.
- Qualifications and training of personnel.
- Adherence to federal and institutional regulations.

d. Approval
No animal work may begin until written IACUC approval is issued. Approval letters and protocol numbers must be retained by the PI.

Note: *During the grant submission process, IACUC approval must be obtained from the committee before the package is forwarded to the VP for Research and Sponsored Programs for signature*.

5. Post-Approval Monitoring (PAM)

The IACUC conducts ongoing oversight through:
- Semiannual program and facility inspections.
- Directed or for-cause inspections.
- Protocol audits and records review.
- Observation of research procedures to ensure compliance with approved protocols.

PIs must cooperate fully with PAM activities and promptly address any corrective actions.

6. Reporting Concerns and Noncompliance

The University maintains a zero-tolerance policy for animal welfare violations. The IACUC is required by federal regulations to review and investigate all concerns involving animal care and use.

Examples of noncompliance include:

- Conducting animal activities without IACUC approval.
- Deviating from the approved protocol.
- Using unapproved personnel or procedures.
- Failure to provide appropriate veterinary care.

Any individual may confidentially report concerns to the IACUC, Attending Veterinarian (AV), Consulting Veterinarian (CV), Compliance Coordinator, or the Research Compliance Office.

PIs must report:

- Unexpected animal illness or death.
- Adverse events.
- Protocol deviations.
- Facility or equipment failures impacting animal welfare.

7. Veterinary Care

The Attending Veterinarian (AV) or Consulting Veterinarian (CV) provides oversight for the health and well-being of all research animals. The AV/CV has authority to:

- Provide care and treatment to animals as needed.
- Temporarily suspend research activities that compromise animal welfare.
- Advise the IACUC on proper veterinary, surgical, and husbandry practices.

PIs must notify the AV/CV immediately of any animal health concerns.

8. Collaborations and External Research

For collaborations involving another institution:

- A Memorandum of Understanding (MOU) may be required.
- The home IACUC must review the collaborating institution's approved protocol.
- PIs remain responsible for ensuring compliance with both institutions' requirements.

9. Consequences of Noncompliance

The IACUC has authority to:

- Require corrective actions.

- Suspend a protocol.
- Halt all animal activities under the PI.
- Report violations to OLAW, USDA, and institutional officials.

Noncompliance may jeopardize funding and the institution's Animal Welfare Assurance.

E. Research Integrity Committee (RIC)

The Research Integrity Committee (RIC) is a standing university committee responsible for promoting ethical research practices and ensuring compliance with federal regulations, institutional policies, and professional standards. The RIC oversees matters related to research misconduct—including allegations of fabrication, falsification, and plagiarism—and ensures that all concerns are reviewed promptly, fairly, and confidentially in accordance with applicable regulations (e.g., 42 CFR Part 93).

The committee also plays a proactive role in fostering a culture of integrity by supporting education and training in the Responsible Conduct of Research (RCR), advising on best practices, and providing guidance to investigators, staff, and students. The RIC works in coordination with the Office of Research and Sponsored Programs (RSP) and other compliance committees to uphold the credibility, accountability, and ethical standards of the University's research enterprise.

1. Purpose and Authority

Tennessee State University (TSU) is committed to maintaining the highest standards of research integrity and responsible conduct of research. In accordance with 42 CFR Part 93 and applicable sponsor requirements, the University has established the Research Integrity Committee (RIC) to oversee the review, inquiry, and investigation of allegations of research misconduct.

The RIC ensures that allegations are addressed in a fair, objective, thorough, and timely manner, while protecting the rights and responsibilities of all parties.

2. Scope and Definition

a. Research Misconduct

Consistent with 42 CFR §93.103, research misconduct includes:

- **Fabrication** – Making up data or results
- **Falsification** – Manipulating research materials, processes, or data
- **Plagiarism** – Appropriation of another's work without attribution

Research misconduct does not include:

- Honest error

- Differences of opinion
- Good-faith scientific judgment

b. Covered Activities

The RIC has oversight responsibility for allegations related to:

- Federally sponsored research
- Institutionally supported research
- Research conducted under external agreements

3. Responsibilities of the Committee

The Research Integrity Committee is responsible for:

- Receiving and assessing allegations of misconduct
- Conducting inquiries and investigations
- Ensuring compliance with federal regulations and sponsor requirements
- Protecting confidentiality and due process
- Making findings and recommendations to University leadership
- Promoting responsible research conduct and ethical standards

4. Membership and Conflict of Interest

a. Membership

The RIC consists of:

- Faculty members with broad research expertise
- A Compliance Coordinator
- Chair and Co-Chair
- Legal and community representatives, as appropriate
- Ex officio senior academic and research administrators

Members are appointed for terms of up to four years by University leadership. Ad hoc members may be appointed when specialized expertise is required or when conflicts exist.

b. Conflict of Interest (COI)

All members must be free from actual, potential, or perceived conflicts of interest. Members with conflicts must recuse themselves in accordance with 42 CFR §93.300.

5. Action Step I: Inquiry Phase

a. Purpose

An inquiry is a preliminary fact-finding process conducted to determine whether an allegation warrants a formal investigation. In accordance with 42 CFR §93.307, an inquiry:

- Is not a formal hearing
- Does not determine guilt or innocence
- Distinguishes credible allegations from unfounded claims

b. Procedures

During an inquiry:

- The respondent is notified in writing
- Relevant records are secured and reviewed
- Interviews may be conducted, as appropriate
- All parties must cooperate fully
- Confidentiality is maintained to the extent permitted by law

c. Timeframe

Inquiries are normally completed within 90 days, unless an extension is justified.

d. Findings

At the conclusion of the inquiry:

- A written report is prepared
- The respondent may provide comments
- The RIC determines whether an investigation is warranted

If allegations are unsupported and made in good faith, the matter is closed.

6. Action Step II: Investigation Phase

a. Purpose

An investigation is initiated when an inquiry finds sufficient evidence to warrant further review. Its purpose is to determine:

- Whether misconduct occurred
- The individuals responsible
- The seriousness and impact of the conduct

b. Procedures

Consistent with 42 CFR §93.310 – 93.313, investigations include:

- Comprehensive review of records
- Interviews with relevant parties

- Opportunity for respondent response
- Documentation of findings

c. Timeframe

Investigations are normally completed within 180 days, including conducting the investigation, preparing the draft investigation report for each respondent, providing the draft report to each respondent for comment in accordance with §93.312, and transmitting the institutional record, including the final investigation report and decision by the Institutional Deciding Official to ORI in accordance with §93.316, unless an extension is approved.

d. Findings

The final investigation report includes:

- Allegations and evidence reviewed
- Findings and conclusions
- Basis for determinations
- Recommended institutional actions

Respondents receive the report and may submit written comments. Required notifications are made to sponsors.

7. Confidentiality and Protection of Participants

a. Confidentiality

In accordance with 42 CFR §93.106, the University protects:

- Identities of respondents and complainants
- Research records
- Witnesses and informants

Information is disclosed only on a need-to-know basis or as required by law.

b. Protection from Retaliation

Retaliation against individuals who participate in good faith is prohibited under 42 CFR §93.300(d).

c. Cooperation

All respondents and witnesses are required to cooperate fully and provide access to relevant information.

8. Appeals and Final Review

a. Appeals

Respondents may submit a written appeal based on:

- Procedural error
- New evidence
- Arbitrary or unsupported findings

Appeals are limited to the existing record.

b. Final Review

In appropriate cases, the President or designee may conduct a final institutional review. The outcome is final.

9. Institutional Actions and Disposition

a. Disciplinary Measures

When misconduct is substantiated, the University may impose sanctions consistent with institutional policy, including:

- Removal from projects
- Reprimand and enhanced monitoring
- Probation or suspension
- Rank or salary reduction
- Termination
- Restrictions on research activity

b. External Notifications

As appropriate, the University may notify:

- Funding agencies
- Journal editors and collaborators
- Professional societies
- Licensing boards
- Law enforcement
- Other institutions

c. Record Retention

All institutional records and all sequestered evidence are securely retained for seven (7) years after completion of the proceeding or the completion of any HHS proceeding involving the research misconduct allegation, whichever is later, unless custody has been transferred to Health and Human Services (HHS).

10. Committee Operations and Oversight

The RIC:

- Meets regularly and as needed
- Provides guidance on ethical research practices
- Oversees related compliance matters
- Works collaboratively with the Compliance Coordinator, the Chief Research Officer, and University leadership

11. Resources and Support

Principal Investigators may consult with:

- The Office of Research and Sponsored Programs
- The Compliance Coordinator
- Institutional Legal Counsel
- Federal agency guidance

Additional research integrity resources are available through the Research Compliance website.

F. Office of Management and Budget (OMB) Circulars and Uniform Guidance (2 CFR Part 200)

The Office of Management and Budget (OMB) provides leadership in developing and implementing policies that govern the administration of Federal financial assistance. OMB establishes government-wide standards to promote accountability, transparency, and efficient stewardship of Federal funds.

OMB's former Circulars (A-21, A-110, and A-133) have been consolidated and superseded by 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance).

The Uniform Guidance establishes standardized requirements for:

- Financial management systems
- Cost principles
- Procurement standards
- Property management
- Subrecipient monitoring
- Audit requirements
- Internal controls

Tennessee State University administers all Federal awards in accordance with 2 CFR Part 200 and applicable sponsor regulations.

G. Definitions of Research and Instruction

In accordance with 2 CFR Part 200, Appendix III and federal cost principles, University activities are classified to ensure proper cost allocation and reporting.

1. **Organized Research**

   Organized research includes all research and development activities that are separately budgeted and formally accounted for.

   a. **Sponsored Research**
   Research and development activities funded by external sponsors, including Federal agencies, foundations, and industry partners.

   b. **Institutional Research**

   Research activities funded internally by the University and separately budgeted and accounted for.

2. **Instruction**

   Under 2 CFR Part 200, Appendix III (Indirect (F&A) Costs Identification and Assignment for Institutions of Higher Education), instruction is defined as all teaching and training activities of the University, whether offered for academic credit, certificate, professional development, or on a non-credit basis, and regardless of the delivery method (in-person, hybrid, online, distance learning, or experiential).

   a. **Sponsored Instruction and Training**

   Sponsored instruction and training include specific instructional or training activities funded by a grant, contract, or cooperative agreement. For purposes of cost principles, this activity may be considered a major function even though the University's accounting treatment may include it in the instruction function.

   Sponsored Instruction and Training include specific instructional or training activities funded by a grant, contract, or cooperative agreement.

   Examples include:
   - Training grants (e.g., fellowships, traineeships)
   - Workforce development programs
   - Curriculum development projects
   - Federally sponsored academic training programs

   For cost accounting purposes under 2 CFR Part 200, sponsored instruction may be treated as a major function distinct from organized research, even if

the University's internal accounting structure groups it within the instructional category.

b. Departmental Research

Departmental research refers to research, scholarly, or creative activities that:

- Are not separately budgeted.
- Are conducted as part of faculty instructional responsibilities.

Departmental research is considered part of the instruction function for F&A and cost allocation purposes.

Examples include:

- Faculty scholarship conducted without external funding
- Student research projects embedded in coursework
- Research undertaken primarily for instructional enrichment

c. Training and Education Support Activities

Instruction also includes activities directly supporting academic programs, such as:

- Academic advising and mentoring related to coursework
- Curriculum design and instructional innovation
- Development of instructional materials
- Academic program accreditation preparation

However, activities that are primarily administrative (e.g., central academic administration) are classified under Other Institutional Activities, not Instruction.

d. Cost Classification Under Instruction

For purposes of Federal awards administration under 2 CFR Part 200:

Costs charged to the Instruction function must meet the standards of:

- Allowability
- Allocability
- Reasonableness
- Consistency

Faculty salary charged to Instruction should reflect actual instructional effort as documented through effort certification systems.

Costs that benefit both Instruction and other major functions (e.g., Organized Research) must be allocated proportionally based on relative benefit.

e. Distinction Between Instruction and Organized Research

Proper classification is critical for compliance and F&A rate calculations:

Instruction	Organized Research
Teaching and academic training	Systematically structured research projects
Embedded scholarly activity	Separately budgeted and externally funded research
Departmental research	Sponsored research

Misclassification may result in audit findings under 2 CFR Part 200 Subpart F (Audit Requirements).

f. PI Responsibilities

Principal Investigators and faculty must:

- Ensure proper functional classification of effort
- Accurately document instructional vs. research effort
- Work with Research & Sponsored Programs (RSP) to ensure proper budget development
- Avoid charging instructional costs to sponsored research unless explicitly allowable

3. Other Sponsored Activities

Other sponsored activities include externally funded programs that are not classified as instruction and organized research, such as public service, outreach, and community engagement programs.

4. Other Institutional Activities

Other institutional activities include administrative, student services, auxiliary, and general operational functions not otherwise classified

H. Unallowable Costs

In accordance with 2 CFR §200.403–200.475, certain costs are unallowable on Federal awards unless explicitly authorized in writing by the sponsor.

Examples of unallowable costs include, but are not limited to:

- Alcoholic beverages and entertainment expenses
- Alumni and commencement activities
- Bad debts and fines or penalties
- Lobbying and political activities

- Fundraising and investment management costs
- Goods and services for personal use
- Memberships in social or civic organizations
- Marketing and selling costs
- Losses on other sponsored projects
- Excessive severance pay
- Unallowable travel costs exceeding standard airfare

Principal Investigators (PIs) are responsible for ensuring that all charged costs comply with sponsor and institutional policies.

I. Allowable, Allocable, and Reasonable Costs

All costs charged to sponsored projects must meet the standards of allowability, allocability, reasonableness, and consistency under 2 CFR Part 200.

1. Allowability

A cost is allowable if it:

- Is permitted under Federal regulations and award terms
- Conforms to University policies
- Is treated consistently
- Is adequately documented

2. Allocability

A cost is allocable if it:

- Is incurred solely for the project, or
- Benefits multiple projects in proportion to the benefits received, or
- Supports overall institutional operations and is reasonably assignable

Costs may not be shifted to cover overruns, avoid restrictions, or for administrative convenience.

3. Reasonableness

A cost is reasonable if a prudent person would incur it under similar circumstances.

4. Cost Allocation and Documentation

The University maintains systems to ensure:

- Proper internal controls
- Segregation of duties
- Accurate cost distribution
- Timely documentation
- Compliance with sponsor requirements

Direct costs benefiting multiple projects must be allocated using reasonable and consistently applied methodologies.

J. Cost Accounting Standards (CAS)

The Cost Accounting Standards Board (CASB) establishes standards for cost measurement and allocation for Federal contracts and grants.

Educational institutions subject to CAS must comply with:

- CAS 501 – Consistency in Estimating, Accumulating, and Reporting Costs
- CAS 502 – Consistency in Allocating Costs
- CAS 505 – Accounting for Unallowable Costs
- CAS 506 – Cost Accounting Period

Tennessee State University complies with applicable CAS requirements when managing covered awards.

K. Disclosure Statements

Institutions that receive Federal funding above established thresholds may be required to submit a Cost Accounting Standards Disclosure Statement (DS-2).

The DS-2 documents the institution's cost accounting practices and ensures transparency in Federal cost reimbursement.

Each applicable reporting unit is responsible for maintaining accurate disclosure documentation in accordance with federal requirements.

L. Conflict of Interest (COI) and Financial Conflict of Interest (FCOI)

Tennessee State University maintains a comprehensive Conflict of Interest and Financial Conflict of Interest (FCOI) program in accordance with:

- 42 CFR Part 50 Subpart F (PHS)
- 45 CFR Part 94
- NSF Proposal & Award Policies
- 2 CFR Part 200

1. Institutional Responsibilities

The University shall:

- Maintain written COI and FCOI policies
- Review and manage disclosed interests
- Report FCOIs to sponsors as required
- Enforce compliance measures

2. Investigator Responsibilities

All investigators must:

- Complete FCOI training at least every four (4) years
- Submit financial disclosures prior to proposal submission
- Update disclosures annually and as required
- Disclose new significant financial interests within 30 days
- Comply with approved management plans
- Certify compliance through institutional proposal systems

Retraining is required when:

- Policies are revised
- An investigator joins the University
- Noncompliance is identified

3. Proposal Certification

By submitting a proposal, investigators certify that:

- Budget estimates are accurate and complete
- Information provided is truthful
- Applicable regulations are followed
- Progress reports will be submitted
- Intellectual property policies are observed
- Financial interests are fully disclosed
- Responsible Conduct of Research standards are upheld

False or misleading information may result in administrative, civil, or criminal penalties.

4. Disclosure and Monitoring

Investigators must:

- Submit annual disclosures
- Update disclosures within 30 days of changes
- Cooperate with institutional reviews
- Accept institutional determinations regarding FCOIs

The University retains final authority regarding conflict determinations and management.

5. Compliance with Research Standards

All research activities must comply with:

- University policies
- State regulations
- Federal regulations

- Responsible Conduct of Research requirements
- Research misconduct regulations

Violations may result in disciplinary action and sponsor notification

SECTION V: CONTRACT AND GRANT ADMINISTRATION

The administration of sponsored programs is a critical function of the University's research enterprise, ensuring that all externally funded projects are managed in accordance with institutional policies, sponsor requirements, and applicable federal and state regulations. Effective contract and grant administration supports the responsible stewardship of funds, promotes compliance, and enables investigators to successfully carry out their research, instructional, and service activities.

Grants and contracts are awarded to the University by state and federal agencies, foundations, corporations, and other sponsors to support research, instruction, or other sponsored activities. While both mechanisms provide funding for University initiatives, they differ in purpose and structure.

- **Grants and cooperative agreements** typically support research or programmatic activities initiated by the investigator and allow for greater flexibility in project execution, within the scope of the approved proposal.

- **Contracts** generally involve specific deliverables, services, or products defined by the sponsor and often include more detailed terms, conditions, and performance requirements.

The Office of Research and Sponsored Programs (RSP), in collaboration with Principal Investigators (PIs), departmental administrators, and institutional leadership, is responsible for overseeing the full lifecycle of sponsored projects from award acceptance and account setup to financial management, compliance monitoring, reporting, and closeout. This section provides guidance to help PIs understand their roles and responsibilities and to ensure that all sponsored activities are conducted with integrity, accountability, and in alignment with sponsor expectations.

A. Proposal Award Receipt

Receipt of a sponsored award establishes a binding contractual obligation between the sponsor and the University. Awards may be issued in several forms, including a formal award letter, grant agreement, contract document, or cooperative agreement. Regardless of format, acceptance of an award signifies the University's commitment to fulfill the terms, conditions, and deliverables outlined by the sponsor.

Official notification of proposal acceptance or rejection is typically received by the Office of Research and Sponsored Programs (RSP), the Division of Business and Finance, or the Office of the President. If an award notice or rejection letter is received directly by the Principal Investigator (PI) or another University official, the document must be forwarded

promptly to RSP and the Grants Office within Finance and Accounting to ensure proper processing and institutional recordkeeping.

Upon receipt of an award, RSP works in collaboration with the PI to conduct a comprehensive review of the award document. This review confirms alignment with the approved proposal and verifies key elements, including the scope of work, project timeline, budget, deliverables, and applicable compliance requirements. Any discrepancies or proposed changes must be addressed promptly, as modifications to scope or terms may impact financial arrangements, contractual obligations, or project performance.

Following this review, RSP forwards the necessary documentation to the Grants Office within Finance and Accounting to initiate award setup. Finance and Accounting is responsible for establishing the official project account and assigning an account number. RSP also supports the PI in finalizing the project budget and provides guidance on University policies and procedures governing grant and contract administration in accordance with sponsor requirements.

Only the President or the Vice President for RSP is authorized to sign award documents on behalf of the University. Awards associated with proposals that were not properly reviewed and approved through the University's internal processes may be declined. The University reserves the right to reject any award that does not meet institutional requirements or obligations.

No project activities may begin, and no expenses may be incurred, until the formal award has been received, fully processed by RSP, and an official account has been established by Finance and Accounting. Additionally, no commitments to personnel, vendors, or subcontractors should be made prior to execution of the award. The PI must also complete any required institutional certifications or training prior to initiating project activities.

In limited circumstances where a delay in receiving the official award document may impede project progress, the PI may request authorization for pre-award expenditures. Such requests must be submitted in writing through RSP and require approval from the VP for RSP and the VP for Business and Finance. All exceptions to standard policy are reviewed on a case-by-case basis and must be formally documented.

B. Negotiations

The Division of Research and Sponsored Programs (RSP) is responsible for negotiating the contract type, terms and conditions, and financial arrangements, including the project budget. The Principal Investigator (PI), in coordination with the sponsor, leads negotiations related to the technical aspects of the proposal.

Although the PI engages directly with the sponsor on technical matters, RSP must be notified immediately of any proposed or approved changes. Modifications to the project scope may impact budget allocations, contractual obligations, project duration, and

performance requirements. Early coordination ensures that all changes remain compliant with University policies and sponsor expectations.

Effective collaboration between the PI and RSP is essential to developing appropriate negotiation strategies and ensuring successful project implementation. RSP serves as the University's authorized representative for negotiating budgetary terms, contract implementation, and the interpretation of institutional policies.

If negotiations result in significant changes to the original scope of work—whether technical or contractual, the revised proposal must be resubmitted and approved through the University's established proposal approval process prior to execution.

C. Grant and Contract Responsibilities

Once a proposal is awarded as a grant or contract, the Principal Investigator (PI) collaborates with the RSP and Grants Accounting to effectively manage the project. In general, the PI is responsible for the scientific and technical execution of the project, while RSP and Grants Accounting oversee financial management, compliance, and administrative oversight of the award.

The roles and responsibilities of the PI, , Financial Analysts in Finance and Accounting, RSP Research Administrators, and the Vice President for Research and Sponsored Programs are outlined in the sections that follow.

1. Principal Investigator

The Principal Investigator (PI) has primary responsibility for the scientific, technical, administrative, and financial oversight of sponsored projects. In collaboration with the Office of Research and Sponsored Programs (RSP), Finance and Accounting, and academic leadership, the PI is expected to fulfill the following responsibilities:

a. Establishment of Project Account

- Work with RSP to ensure a project account number is established through Finance and Accounting prior to initiating expenditures.
- Confirm that spending does not begin until the award is fully executed and institutional approvals are in place.

b. Project Implementation and Performance

- Conduct the project in accordance with the approved proposal, sponsor guidelines, and the terms and conditions of the award.
- Ensure that project activities are completed in a timely manner and within the approved project period.

- Consult with RSP and the sponsor's program officer if significant modifications to scope, objectives, or methodology are required

c. Effort Commitments and Personnel Planning

- Coordinate with department heads, deans, or directors to determine and document appropriate percent effort commitments for faculty, adjunct faculty, research associates, postdoctoral fellows, and other project personnel, consistent with sponsor requirements and institutional workload policies.
- Ensure effort commitments align with the awarded budget and comply with institutional effort reporting requirements.

d. Financial Oversight and Budget Management

- Manage project funds in accordance with sponsor regulations, 2 CFR Part 200 (Uniform Guidance), and University policies.
- Monitor expenditures to ensure they are allowable, allocable, reasonable, and consistently treated.
- Work closely with Grants Accounting financial personnel to review spending rates, authorize purchases, monitor budget balances, and initiate requests such as rebudgeting or no-cost extensions when necessary.

e. Personnel Recruitment and Supervision

- Recruit, hire, and supervise project personnel in accordance with University policies and procedures, including equal employment opportunity and affirmative action requirements.
- Provide oversight and performance management consistent with the terms of the grant, contract, or cooperative agreement.

f. Compliance with Institutional and Sponsor Requirements

- Ensure full adherence to all applicable University policies and procedures, including research compliance requirements (e.g., IRB, IACUC, IBC, export controls, conflict of interest, research security).
- Maintain required documentation to support audit readiness and sponsor monitoring.

g. Reporting and Closeout

- Prepare and submit all required technical, interim, and final reports in accordance with sponsor deadlines and award terms.

- Provide copies of required reports to the Department Head and RSP as appropriate.
- Ensure that all project deliverables and closeout requirements are completed within the sponsor's prescribed timeframe

2. Departmental Head

The Department Head serves as the official administrative supervisor of the Principal Investigator (PI) or Project Director (PD) within the academic department. The Department Head is responsible for ensuring that sponsored activities conducted within the department comply with University policies and applicable sponsor regulations.

a. Responsibilities

i. Administrative Oversight

- Provide supervisory oversight of PIs/PDs within the department.
- Ensure that proposed and funded projects align with departmental resources, workload expectations, and strategic priorities.

ii. Effort Reporting and Certification

- Ensure compliance with federal effort reporting requirements, including those under 2 CFR Part 200 (Uniform Guidance), as applicable.
- Review, verify, and certify the accuracy of Time and Effort reports for PIs/PDs and other personnel supported by federally sponsored awards.
- Confirm that salary charges to sponsored projects are reasonable, allocable, and properly documented.
- Sign and approve required effort certification documentation in accordance with University policy.

Time and Effort for federally funded projects is documented through the University's established payroll certification process (monthly or bi-monthly, as applicable). Detailed procedures are outlined in the University's Time and Effort Policy (Section V. D).

The Department Head plays a critical role in safeguarding the integrity of salary allocations, supporting compliance with federal cost principles, and ensuring accurate reporting of sponsored project effort within the department.

3. College Dean or Center Director

The College Dean or Center Director provides strategic leadership and administrative oversight for research activities within the college, school, or center. Working through department heads and in coordination with the Office of Research and Sponsored Programs (RSP), the Dean/Director ensures that externally funded projects align with institutional priorities and are supported with appropriate resources and oversight.

The Dean/Director is responsible for:

a. Strategic Research Leadership

- Developing and advancing a college/center research action plan aligned with the University's strategic goals.
- Encouraging and supporting department heads, faculty, and research staff in pursuing innovative research and training initiatives

b. Resource Allocation and Infrastructure Support

- Allocating college/center resources necessary to support awarded research projects.
- Ensuring adequate infrastructure, staffing, and administrative support for proposal commitments and funded activities

c. Proposal Review and Negotiation Oversight

- Advising RSP during award negotiations regarding preferred strategies, institutional priorities, and acceptable terms.
- Reviewing and revising college-level commitments as necessary based on sponsor negotiations and final award terms

d. Compliance and Administrative Oversight

- Ensuring that Principal Investigators (PIs) adhere to University policies, sponsor requirements, and project administrative responsibilities.
- Reviewing and authorizing appropriate documentation related to payroll actions, personnel appointments, purchasing, cost sharing, and other project-related expenditures in accordance with University policy.

The Dean or Director plays a critical role in fostering a culture of research excellence, compliance, and accountability within the academic unit while supporting the success of Principal Investigators and their sponsored projects.

4. Finance and Accounting Staff

Finance and Accounting staff support Principal Investigators (PIs) in the fiscal administration of sponsored projects and ensure compliance with University policy and applicable sponsor regulations, including federal requirements under 2 CFR Part 200 (Uniform Guidance), when applicable.

Finance and Accounting staff are responsible for:

- Establishing and maintaining project accounts in the University's financial system following award acceptance.
- Monitoring expenditures to ensure that charges are allowable, allocable, reasonable, and consistently treated in accordance with sponsor terms and conditions and University policy.
- Reviewing payroll distributions, cost transfers, and budget transactions for accuracy and compliance.
- Providing financial reporting, including interim and final financial reports, as required by the sponsor.
- Assisting with effort reporting and ensuring alignment between payroll charges and certified effort.
- Advising PIs and departmental staff on budget management, spending rates, re-budgeting, and financial closeout procedures.
- Coordinating financial closeout activities to ensure timely submission of final financial reports and reconciliation of project accounts.

While Finance and Accounting staff provide oversight and technical guidance, the Principal Investigator retains primary responsibility for the programmatic direction of the project and for ensuring that expenditures are appropriate, necessary, and aligned with the approved scope of work.

5. Vice President for Research and Sponsored Programs

The Vice President for Research and Sponsored Programs (VP-RSP) serves as the University's Chief Research Officer and provides executive oversight of the Division of Research and Sponsored Programs (RSP), the administrative unit responsible for research administration and sponsored activities.

In the post-award phase of sponsored projects, the VP-RSP's responsibilities include:

- ***Approving exceptions to University research and sponsored programs policies***, when justified and consistent with applicable federal, state, sponsor, and institutional requirements;

- ***Serving as the University's final authority on negotiating position*s** related to sponsored agreements, modifications, and disputes;

- ***Overseeing legal and financial matters associated with sponsored projects***, including coordination with the Office of Legal Affairs, Finance and Accounting, and other appropriate units to resolve contractual, compliance, and financial issues.

The VP-RSP ensures that sponsored projects are administered in accordance with University policy and applicable regulations, while safeguarding the institution's legal, financial, and reputational interests.

6. Research Administrators of Research and Sponsored Programs

Research Administrators of Research and Sponsored Programs (RSP) provide administrative oversight for the comprehensive management of externally funded research and training activities, including grants, contracts, and cooperative agreements.

Research Administrators are responsible for ensuring that sponsored projects are administered in accordance with applicable federal and state regulations, sponsor requirements, and University policies and procedures. This includes oversight of both pre-award and post-award functions within the Division of Research and Sponsored Programs.

When a Principal Investigator (PI) or Project Director (PD) is uncertain about the appropriate point of contact within RSP, Research Administrators serves as a resource and will facilitate connection with the appropriate RSP staff member to ensure timely and accurate guidance.

D. Time and Effort Reporting System

The University maintains a formal Time and Effort Reporting System to document and certify the distribution of salaries and wages charged to federally sponsored projects. This process is administered by the Grants Accounting Office in accordance with 2 CFR Part 200 (Uniform Guidance) and University policy.

Federal sponsors require institutions to maintain accurate records that reasonably reflect the total activity for which an employee is compensated. All faculty, staff, and students

whose salaries are charged, in whole or in part, to federal awards must comply with these requirements.

1. **Time and Effort Certification Procedures**

   The University's official documentation for certifying time and effort is the monthly or bi-monthly payroll timesheet.

   For employees paid from federally sponsored projects:
   - The pre-printed account number(s) and associated percentage of effort must be carefully reviewed for accuracy prior to signing.
   - The employee must certify that the distribution of effort reasonably reflects the work performed during the reporting period.
   - The timesheet must then be certified by the employee's immediate supervisor.

   An immediate supervisor is defined as an individual with direct knowledge of the employee's work activities and effort distribution. Certification confirms that the reported effort is accurate, allowable, and properly allocable to the sponsored project.

   Failure to complete certifications in a timely manner may result in salary cost transfers, audit findings, or other administrative action.

2. **Corrections to Time and Effort Reports**

   If inaccuracies are identified in a certified timesheet:
   - A Time and Effort Correction Form (available through the Division of Research and Sponsored Programs website) must be completed.
   - The correction must be signed by the employee and certified by the immediate supervisor.
   - The completed form must be submitted to Grants Accounting/RSP for processing.
   - A Personnel Action Request (PAR) Form must also be completed to ensure payroll adjustments are reflected prior to the next payroll cycle.

   All corrections must be completed promptly to ensure compliance with federal regulations and to minimize the need for retroactive salary cost transfers.

   - **PI Responsibilities**

     Principal Investigators are responsible for:
     - Monitoring effort commitments included in sponsored project proposals and awards.
     - Ensuring that actual effort devoted to the project is consistent with certified payroll distributions.

- Reviewing and approving effort reports in a timely manner.
- Promptly initiating corrections when discrepancies are identified.

Accurate effort reporting is a critical compliance requirement and subject to federal audit review.

Special Purchasing Arrangement

The nature of research and training activities often requires timely acquisition of specialized equipment, supplies, and services that may not be fully anticipated during proposal development. Principal Investigators (PIs) and Project Directors (PDs) must balance evolving technical needs, sponsor spending expectations, invoicing timelines, project deliverables, and award end dates.

Delays in procurement may jeopardize project milestones, compliance with award terms and conditions, or timely completion of deliverables. To support proper stewardship of sponsored funds, the University provides prioritized purchasing support for grants, contracts, and cooperative agreements, consistent with institutional policy and federal regulations.

All purchases must:

- Be allowable, allocable, reasonable, and necessary under 2 CFR Part 200
- Comply with sponsor terms and conditions
- Adhere to University procurement and financial policies

Competitive Procurement Requirements

In accordance with 2 CFR §200.317–200.327 (Procurement Standards), all procurement transactions must be conducted in a manner that provides full and open competition.

PIs and PDs are responsible for:

- Working with Purchasing and Business Services to ensure compliance
- Avoiding conflicts of interest in vendor selection
- Ensuring documentation supports vendor selection and price reasonableness

University Purchasing policies govern procurement thresholds, bidding requirements, and documentation standards. PIs should consult Purchasing and Business Services early when planning significant acquisitions.

Sole Source (Non-Competitive) Procurement

Non-competitive procurement (sole source) may only be used when permitted under 2 CFR §200.320(c) and University policy. Sole source justification must be documented and approved in advance.

Sole source procurement may be appropriate when one or more of the following conditions apply:

- **Single Source Availability**
  The item or service is available from only one responsible source, and no equivalent alternatives exist.

- **Public Exigency or Emergency**
  An urgent need will not permit the delay associated with competitive solicitation.

- **Sponsor Authorization**
  The federal awarding agency or pass-through entity expressly authorizes non-competitive procurement in writing.

- **Inadequate Competition**
  After solicitation of multiple sources, competition is determined inadequate.

A written sole source justification must clearly describe:

- The unique features of the item/service
- Why alternatives are not acceptable
- The impact on the project if not acquired
- Cost analysis supporting price reasonableness

PIs must obtain and complete the appropriate sole source justification form through Purchasing and Business Services prior to committing funds.

3. Property and Equipment Management

- **Federal Requirement**

  Equipment purchased with sponsored funds is subject to the property standards outlined in 2 CFR §200.313 (Equipment). Federal agencies require accountability, tracking, and proper maintenance of equipment acquired under federal awards.

- **Universal Inventory Requirements**

  The University requires inventory control for all equipment that:

  - Has a useful life of one (1) year or more, and
  - Has an acquisition cost of $5,000 or more per unit (or the sponsor-defined threshold, if lower).

  PIs and PDs are responsible for:

  - Ensuring equipment is used for authorized project purposes
  - Safeguarding assets against loss, damage, or theft
  - Participating in required annual inventory verification

- Notifying the appropriate office of equipment location changes, transfers, or disposition needs

Equipment disposition at the end of a project must follow sponsor and University requirements

- **PI Responsibilities Summary**

Principal Investigators are responsible for ensuring that:

- All purchases are consistent with the approved budget and award terms
- Procurement complies with 2 CFR Part 200 and University policy
- Sole source purchases are properly justified and approved
- Equipment is inventoried, safeguarded, and used in accordance with sponsor requirements
- Expenditures occur within the project period of performance

Early coordination with Purchasing and Business Services is strongly encouraged to prevent delays and ensure compliance.

- **Budget Revisions and Rebudgeting of Sponsored Projects**

All changes to the approved budget of a sponsored research or training project must comply with sponsor requirements, 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards), and University policy.

1. **Prior Approval Requirement**

Funds awarded under grants, contracts, or cooperative agreements may not be reallocated between object codes (budget categories) without prior review and approval by the Office of Research and Sponsored Programs (RSP).

Significant budget revisions may alter the scope, objectives, or approved activities of the project. Rebudgeting without appropriate review and approval may result in:

- Unallowable costs
- Cost disallowances during audit
- Sponsor enforcement actions
- Institutional liability for repayment of funds

2. **Allowable Rebudgeting**

Under 2 CFR §200.308 (Revision of Budget and Program Plans), certain rebudgeting actions may be allowable without prior sponsor approval if:

- The change does not alter the approved scope of work;

- The sponsor has not restricted rebudgeting authority in the award terms and conditions; and
- The rebudgeting complies with University policy and internal controls.

As a general institutional guideline, modest rebudgeting within budget categories may be permissible when it does not exceed sponsor thresholds and does not change project scope. However, PIs must not assume authority to re-budget without confirmation from RSP.

3. Changes Requiring Sponsor Prior Approval

Prior written sponsor approval is typically required for:

- Changes that alter the scope or objectives of the project
- Significant rebudgeting beyond sponsor-authorized thresholds
- Reallocation of participant support costs
- Changes in key personnel effort (as defined in the award)
- Carryover of unobligated balances when restricted
- Subaward additions not originally approved

The Principal Investigator (PI) must submit a written rebudgeting request to RSP before initiating any change that may require sponsor approval.

4. Rebudgeting Process

- The PI submits a justification and revised budget to RSP.
- RSP reviews the request for compliance with sponsor terms and federal regulations.
- If sponsor approval is required, RSP will prepare and submit the formal request to the sponsoring agency.
- Upon receipt of sponsor-written approval (if required), RSP will coordinate with Finance and Accounting to implement the approved budget revision.

RSP will assist PIs in preparing all required documentation and will facilitate communication with the sponsor. No budget changes may be implemented until all required approvals have been obtained.

Important: The PI is responsible for ensuring that all expenditure remains allowable, allocable, reasonable, and consistent with the approved project scope in accordance with 2 CFR Part 200 and sponsor-specific terms and conditions.

- **Technical Research and Training Reports**

Principal Investigators (PIs) are responsible for submitting all required technical, progress, and training reports for sponsored projects in accordance with the terms and conditions of the award. Federal sponsors generally require periodic (e.g., annual) and final performance reports that comply with the reporting standards outlined in 2 CFR Part 200 (Uniform

Guidance) and agency-specific regulations and guidance. Private foundations and other sponsors may impose additional or alternative reporting requirements.

Reports must accurately describe project activities, accomplishments, participant outcomes (for training grants), and progress toward stated aims. PIs are responsible for ensuring that reports are submitted by the sponsor's stated deadlines and through the appropriate sponsor-designated system (e.g., Research.gov, eRA Commons, or other agency portals).

A complete copy of all submitted technical, progress, and final reports, including confirmation of submission, must be provided to the Office of Research and Sponsored Programs (RSP) for institutional records and compliance tracking.

Failure to submit required reports in a timely manner may result in delayed funding, withholding of future awards, or other sponsor-imposed restrictions.

SECTION VI: RESEARCH & SPONSORED PROGRAMS POLICIES

Research, training, and other scholarly and creative activities are central to the mission of Tennessee State University. Faculty, staff, and students engage in research to advance knowledge and contribute to the broader academic and scientific community – an essential responsibility of institutions of higher education. Through participation in sponsored programs, University personnel further their professional development, enhance institutional research capacity, strengthen academic programs, and expand opportunities for student engagement and public service.

This section of the handbook is designed to guide faculty and staff in understanding the University's research policies and procedures related to the development, submission, and administration of proposals for research and other sponsored activities. It also provides guidance on the management of awarded grants, contracts, and cooperative agreements in accordance with institutional and sponsor requirements.

A. Drug-Free Workplace

The University is committed to maintaining a workplace e free from illegal drugs and substance abuse. In addition to its institutional Drug-free Workplace Policy, the University complies with the requirements of the Drug-Free Workplace Act of 1988, and any applicable agency-specific drug-free workforce regulations, including those issued by the U. S. Department of Defense and other federal sponsors.

Principal investigators (PIs) on federally sponsored projects are responsible for promoting and maintaining a drug-free workplace within their research teams and ensuring compliance with applicable federal and institutional requirements. In accordance with federal regulations, the University must notify the appropriate federal contracting or

granting agency within the required timeframe upon receiving notice of an employee's criminal drug conviction occurring in the workplace.

B. Research Incentive Award (currently on pause until further notice)

The Division of Research and Sponsored Programs (RSP) has established the Research Incentive Award (RIA) to strengthen the University's research enterprise and support the strategic goal of increasing extramural funding to $100 million. The RIA program is designed to recognize and reward externally funded research activity while enhancing the University's research capacity and competitiveness.

1. Program Objectives

The Research Incentive Award Program is intended to:

- Recognize and reward active researchers for securing external funding and contributing to the University's research mission.
- Encourage broader faculty and staff participation in externally sponsored research.
- Attract and support high-performing researchers capable of establishing research laboratories, centers, and programs in high-growth areas.
- Promote the retention of productive and externally funded investigators

2. Compliance with Federal Cost Principles

The RIA program is structured to ensure compliance with federal cost principles under 2 CFR Part 200 (Uniform Guidance).

- Incentive awards may not be charged directly to federal grants or contracts unless expressly authorized by the sponsor.
- The total cost to the sponsor must remain unchanged as a result of the University's internal incentive program.
- Incentive payments are funded exclusively from Facilities and Administrative (F&A) cost recoveries (indirect costs) received by the University.

Once F&A costs are recovered and incorporated into the University's budget, these funds may be allocated in accordance with institutional policy, including for research incentive purposes, without violating federal cost principles

3. Distinction Between Incentive Award and Extra Compensation

Research Incentive Awards are financial bonuses and *do not require additional work beyond 100% institutional effort*. Therefore, they are not considered extra service compensation.

Faculty may receive both extra compensation (where allowable) and incentive compensation when appropriate and compliant with institutional and state policy.

4. Research Incentive Award Eligibility and Distribution Guidelines

a. Eligibility

- The Primary Investigator (PI) must successfully obtain external funding that includes an approved F&A (indirect cost) component.
- The PI must be in full compliance with University and RSP policies to receive an award.

b. Award Calculation

- For research projects (as defined by the National Science Foundation), a minimum of 10% of the indirect costs recovered will be allocated as follows:
  - 5% to the PI as a personal incentive award
  - 5% to the PI's laboratory or project account
- For service, training, and other sponsored awards, 6% of indirect costs recovered will be allocated as follows:
  - 3% to the PI
  - 3% to the PI's laboratory or project account
- Exceptions may be recommended by the Vice President for Research and Sponsored Programs and require Presidential approval.

c. Collaborative Projects

- Incentive awards are calculated based only on the indirect costs recovered by the University.
- For projects with multiple PIs, the incentive award will be distributed proportionally based on each PI's documented percent effort.

d. Duration of Awards

- RIA payments are contingent upon active funding.

- When sponsored funding terminates, associated incentive payments also terminate.

e. Distribution Schedule

- Incentive awards will be distributed annually during the fall semester, based on indirect costs recovered in the preceding fiscal year.

f. Program Administration

- The Division of Research and Sponsored Programs will administer the RIA program and mediate any issues related to eligibility, calculation, or distribution.
- The RIA policy will be reviewed annually and revised as necessary to ensure compliance, fiscal responsibility, and alignment with institutional goals.

This program reflects the University's commitment to fostering a culture of research excellence, accountability, and sustainable growth in externally funded scholarships.

C. Extra Service Pay (ESP)

Extra Service Pay (ESP) for principal investigators (PIs) and project directors (PDs) engaged in externally sponsored research or training activities is strongly discouraged. As a general practice, PIs and PDs are expected to request reassigned time (release time) from teaching or other institutional responsibilities to support sponsored project effort, rather than seeking additional compensation through ESP.

ESP is considered an exception to institutional policy and will be approved only under limited and well-justified circumstances. Any request for ESP must:

- Be formally endorsed by the PI's or PD's immediate supervisor

All ESP requests must comply with applicable institutional policy, state regulations, and sponsor requirements.

For additional information please review the university's ESP policy.

D. Faculty Release Time

Faculty release time for prospective PIs or PDs should be discussed at the departmental level during the early stages of proposal development. The PI/PD must consult with the Department Head to ensure that the proposed project aligns with the strategic priorities and academic mission of the department and the respective college, school, or center.

If the proposed project is supported at the departmental level, the request for release time will be reviewed and approved by the Dean or Center Director as part of the pre-proposal or proposal development process.

The amount of release time requested and approved must be commensurate with the level of effort necessary to successfully conduct and manage the proposed research or training project, and must accurately reflect the percent effort committed in the proposal budget and supporting documentation.

E. Travel

All research travel, whether domestic or international, must comply with 2 CFR Part 200, also known as the Uniform Guidance—formally OMB Circular A-21, and applicable TSU travel policies and procedures.

PIs are responsible for ensuring that travel costs are allowable, reasonable, and allocable to the sponsored project, and that all required institutional approvals are obtained prior to travel. International travel requires prior approval in accordance with TSU and Tennessee Board of Reagents (TBR) policies, as well as any applicable sponsored requirements.

Faculty and staff traveling on official University business are covered under the University's Workers Compensation and Group Life Insurance Policies, subject to applicable terms and conditions. Travelers are encouraged to review insurance coverage and risk considerations, particularly for international travel.

For additional guidance regarding travel authorization, reimbursement, and compliance requirements, contact the University Travel Office within the Division of Business and Finance.

F. Leaves

Tennessee State University provides various categories of leaves in accordance with institutional policy and applicable state regulations. These include annual leave, professional leave, sick leave, jury duty leave, and military leave.

1. Annual Leave

Annual leave is available only to 12-month employees. Eligible employees accrue annual leave at a rate of two (2) days per month, for a maximum of twenty-four (24) days per year. Accumulated annual leave may not exceed forty-five (45) days. Any accrued leave beyond the forty-five (45) day maximum will automatically convert to sick leave.

Employees may transfer between state-funded positions and restricted-funded positions, subject to the following provisions:

a. Transfer from State Funds to Restricted Funds

An employee with accrued annual leave who transfers from a position supported wholly or partially by state-funds to a position supported by restricted funds must:

- Use all accumulated annual leave; or
- Be compensated for the accrued annual leave prior to transfer or termination

b. Transfer from Restricted Funds to State Funds

An employee with accrued annual leave who transfers from a restricted position to a state-funded position, or who separates from employment, must:

- Use all accumulated annual leave; or
- Be compensated for the accrued annual leave prior to transfer or termination.

c. Annual Leave for Restricted Fund Employees

Employees supported wholly or partially by restricted funds (e.g., grant-funded positions) must use or be compensated for accrued annual leave within each budget year. Prior to the closeout of a restricted-funded program, all personnel must take scheduled leave or receive payment for any remaining accrued annual leave.

2. Sick Leave

Permanent employees supported by state funds accrue sick leave at a rate of one (1) day per month. Nine-month employees accrue (9) days per year, and twelve-month employees accrue twelve (12) days per year.

Sick leave may be used for:

- Personal illness or injury
- Medical appointments
- Illness or medical needs of an immediate family member.

a. Transfer of Sick Leave

When an employee transfers from a state-funded position to a restricted-funded position, any unused accrued sick leave will be placed in escrow at the time of transfer. The Department of Human Resources will maintain the escrowed balance, which may be reinstated if the employee returns to state-funded employment.

G. No-Cost Extension (NCE)

A No-Cost Extension (NCE) allows the project period of a sponsored award to be extended without additional funding in order to complete the approved scope of work or achieve the original project objectives.

No-cost extensions may be requested when additional time is needed due to circumstances such as:

- Unforeseen project delays
- Delays in hiring project personnel
- Delays in equipment procurement or installation
- Time required to complete data collection, analysis, or reporting
- Other programmatic circumstances beyond the control of the Principal Investigator (PI)

A no-cost extension may not be requested solely to expend unspent funds.

1. Request Requirements

Principal Investigators (PIs) seeking a no-cost extension (NCE) must complete the No-Cost Extension Request Form available on the University Research website. The completed request must be submitted to the Office of Research and Sponsored Programs (RSP) at least sixty (60) days prior to the project end date to allow adequate time for institutional review and submission to the sponsor.

The request submitted to RSP must include:

- A completed No-Cost Extension Request Form
- A copy of the original award notice
- Copies of any award amendments or modifications, if applicable

Depending on sponsor requirements, additional documentation may be required, such as:

- The most recent financial report for the award
- Letters of support
- Documentation demonstrating project progress and justification for the extension

Many federal sponsors allow a one-time, first no-cost extension of up to twelve (12) months under expanded authorities. Any additional extensions typically require prior approval from the sponsoring agency.

2. Departmental Review

Some academic departments or colleges may require internal review or approval prior to submission of a no-cost extension request to RSP. Principal Investigators should consult with their department head, dean's office, or departmental grants administrator to determine whether such internal review is required before submitting the request.

3. Institutional Review and Submission

Upon receipt of the completed request and supporting documentation, the Office of Research and Sponsored Programs (RSP) will review the submission to ensure compliance with sponsor requirements and University policies. If appropriate, RSP will either submit the request to the sponsoring agency or process the extension internally when permitted under expanded authorities.

If the extension is approved, RSP will coordinate with Finance and Grants Accounting to update the project period in the University's financial system and ensure continued compliance with the terms and conditions of the award.

H. Carryover Fund

Sponsor policies differ with respect to the use of unexpended funds at the end of a budget period. Carryover authority defines whether unobligated funds from one budget period may be carried forward and used in a subsequent budget period.

1. Types of Carryover Authority

Carryover provisions typically fall into one of the following categories:

Automatic Carryover:	Some sponsors allow unobligated balances to automatically carry forward into the next budget period without prior approval.
Restricted Carryover:	Certain sponsors require prior written approval before funds may be carried forward.
Prohibited Carryover:	Some awards prohibit carryover entirely and require the return of unobligated balances.

2. Carryover Request Procedure

When sponsor approval is required, the Principal Investigator (PI) must submit a request through the Office of Research and Sponsored Programs (RSP) that includes:

- A justification for the unobligated balance
- An explanation of how the remaining funds will be used in the subsequent budget period
- A revised budget and spending plan, if applicable

RSP will review the request for compliance and, if appropriate, forward it to the sponsor for approval in accordance with sponsor guidelines and the requirements of 2 CFR Part 200.

I. Transfer of Grant or Contract

The transfer of a grant or contract involves the reassignment of a sponsored project from one institution to another or, in certain cases, a change in the Principal Investigator (PI) responsible for the project. Such transfers may occur when a PI relocates to a new institution, when institutional priorities change, or when project leadership must be reassigned to ensure continuity and successful completion of the sponsored work.

Because sponsored awards are made to the University—not to the individual PI—any transfer of a grant or contract requires formal review, approval, and coordination among the sponsor, the University, and the receiving institution, if applicable. Transfers must be conducted in accordance with sponsor requirements, award terms and conditions, and applicable federal regulations, including 2 CFR Part 200 when federal funding is involved.

The Office of Research and Sponsored Programs (RSP), in collaboration with Finance and Accounting, plays a central role in managing the transfer process. This includes reviewing transfer requests, ensuring compliance with sponsor and institutional policies, coordinating communications with the sponsoring agency, and facilitating the proper closeout or transition of the award.

This section provides guidance associated with transferring a grant or contract to or from the University, including necessary approvals, documentation, and financial considerations to ensure a smooth and compliant transition.

1. Transfer of Sponsored Projects to Tennessee State University

When a faculty member joins Tennessee State University (TSU) from another institution and seeks to transfer an active sponsored project, the transfer must receive approval from all relevant parties, including:

- The originating institution
- The sponsoring agency
- Tennessee State University

The transfer process generally includes the following steps:

- Submission of a formal relinquishment statement by the original institution
- Sponsor review and approval of the transfer request
- Submission of a revised proposal or transfer application through the Office of Research and Sponsored Programs (RSP)
- Establishment of a new award account at Tennessee State University

Throughout the process, the Principal Investigator (PI) must work closely with RSP to ensure compliance with sponsor requirements and institutional policies and to facilitate a smooth transition of the project.

2. Transfer of Sponsored Projects From Tennessee State University

When a Principal Investigator (PI) departs from Tennessee State University and requests to transfer an active sponsored project to another institution, the request must undergo formal review and approval by the University.

The request must be routed through the Office of Research and Sponsored Programs (RSP) and receive approval from the following:

- Department Head
- Dean or Center Director
- Office of Finance and Accounting
- Vice President for Business and Finance
- Vice President for Research and Sponsored Programs
- University President, when required

In all cases, sponsor approval must be obtained prior to the transfer of funds or project responsibility.

If the transfer is approved, RSP, in coordination with Finance and Grants Accounting, will prepare the necessary relinquishment statement and complete all required final financial reporting to facilitate the transition.

J. Subawards, Subcontract and Subrecipient Monitoring

A subaward (subcontract) is a formal agreement issued by Tennessee State University (TSU) under a prime award that authorizes another organization (the subrecipient) to carry out a portion of the project's programmatic work. **Subawards are required to be review by the Office of General Counsel.**

Subrecipients are typically responsible for substantive contributions to the scientific or programmatic aspects of the project, including meeting specific project objectives and deliverables.

All subawards must be issued and managed in compliance with the requirements for pass-through entities as outlined in 2 CFR §200.332.

1. **Subrecipient vs Contractor Determination**

   Prior to issuing a subaward, the University must determine whether the collaborating organization should be classified as a subrecipient or a contractor/vendor. This distinction is important because it determines the applicable administrative, financial, and compliance requirements.

   A subrecipient is an entity that performs a substantive portion of the programmatic work under the award. Subrecipients typically:

   - Participate in programmatic decision-making
   - Contribute to the intellectual direction of the project
   - May publish, present, or otherwise disseminate project findings
   - Are responsible for carrying out a portion of the project objectives

   A contractor or vendor, by contrast, provides goods or routine services that support the project but does not assume responsibility for the programmatic aims of the award. Contractors typically:

   - Provide routine goods or services
   - Operate in a competitive business environment
   - Offer similar goods or services to many different purchasers
   - Are not responsible for the scientific or programmatic objectives of the project

   The appropriate classification must be made prior to issuing the agreement to ensure compliance with sponsor requirements and applicable regulations.

2. **Subaward Documentation at the Proposal Stage**

   When a subrecipient is included in a proposal, the following documentation is typically required:

   - Scope of Work describing the subrecipient's responsibilities
   - Detailed budget and budget justification
   - Letter of commitment signed by an authorized institutional official
   - Biographical sketches of key personnel
   - Current and pending support information (if required)
   - Facilities and resources information
   - Compliance certifications (e.g., human subjects or animal research assurances)

If the subrecipient budget includes Facilities and Administrative (F&A) costs, the organization must provide a copy of its current negotiated F&A rate agreement.

Under federal regulations, the prime institution may charge F&A costs on only the first $50,000 of each subaward during the life of the award.

3. Issuing the Subaward

Upon receipt of the prime award and confirmation of sponsor approval for the subrecipient, RSP will prepare and issue the subaward agreement.

The subaward agreement will include, at a minimum:

- The approved scope of work
- Budget and payment terms
- Reporting requirements
- Applicable compliance provisions
- Audit requirements
- Subrecipient monitoring provisions

RSP collaborates with the PI and the subrecipient organization to ensure that the agreement complies with sponsor terms and conditions, applicable federal regulations, and University policies.

4. Subrecipient Monitoring

Tennessee State University is responsible for monitoring subrecipients to ensure compliance with federal regulations and award terms.

Monitoring activities may include:

- Review of financial and technical reports
- Review and approval of subrecipient invoices
- Regular communication between project personnel
- Site visits when appropriate
- Review of audit reports and corrective actions

Monitoring requirements are governed by 2 CFR §200.332.

5. Responsibilities of the Principal Investigator

The PI is responsible for:

- Ensuring subrecipient work progresses according to the project scope
- Reviewing and approving subrecipient invoices
- Maintaining communication with subrecipient investigators
- Verifying completion of required deliverables

- Notifying RSP of any performance or compliance concerns

6. Responsibilities of the Office of RSP

RSP is responsible for:

- Monitoring subrecipient compliance with federal regulations
- Reviewing audit reports and corrective actions
- Ensuring appropriate documentation is maintained for audit purposes

7. Payment of Subrecipient Invoices

Subrecipients submit invoices to the Principal Investigator or designated administrative unit.

Invoices must include:

- Current and cumulative expenditures
- Cost sharing, if applicable
- Period of performance covered

The PI must review and approve invoices to verify that the charges are consistent with project progress.

Approved invoices are forwarded to Accounts Payable for payment. Payments require:

- PI approval
- Valid purchase order number
- Compliance with University financial procedures

K. Grant and Contract Closeout

The University must complete all administrative and financial actions required to close a sponsored project in accordance with sponsor regulations and University policies.

Most federal awards require closeout activities to be completed within 90 days after the project end date, unless otherwise specified.

Closeout activities may include:

- Final financial reports
- Final technical or performance reports
- Invention and patent disclosures
- Equipment and property reports
- Final invoices or payment requests

Finance and Accounting monitors expiring awards to ensure that only expenditures incurred during the approved project period are charged to the award.

After all obligations are satisfied, the project account is closed in the University's financial system.

Any unexpended funds are returned to the sponsor or otherwise disposed of according to the terms and conditions of the award

SECTION VII: INVENTIONS, PATENTS, AND INTELLECTUAL PROPERTY

As a leading, research-intensive institution, Tennessee State University (TSU), through the Office of Technology Transfer and Licensing in the Division of Research and Sponsored Programs, encourages faculty, staff, students, and volunteers to engage in research activities that lead to inventions and innovation; discoveries that are copyrightable or qualify for a trademark; technology transfer; and the development of intellectual property. TSU and its affiliated organizations, such as any university-connected research corporation, also have a responsibility to encourage the use of such discoveries and inventions for the public good and to provide equitable distribution between TSU and the inventor(s) of licensing revenues resulting from commercialization of novel discoveries and inventions in which the University is deemed to have an interest. Please review the University's IP policy at www.tnstate.edu/research.

A. Research

For purposes of this policy, "research" includes all research conducted in the course of an investigator's employment with TSU and/or other affiliated organizations (including, but not limited to, performance of a grant, contract, or award made internally or by an extramural agency), as well as any research activity conducted with the use of TSU or University-affiliated resources.

B. Applicability

This policy applies to all discoveries, developments, or inventions made by persons employed (full-time, part-time, or temporary) by TSU and/or affiliated organizations, as well as students, volunteers, and other persons using University facilities and resources, if such discoveries and inventions are either of the following:

1. The result of research or investigation performed by or under the direction of any faculty member, staff member, student, trainee, or volunteer of the University or affiliated organizations where the cost was partially or wholly paid with funds

under the control of, or administered by, the University and/or affiliated organizations.

2. The result of efforts by a TSU faculty member, staff member, student, trainee, or volunteer utilizing TSU or affiliated organization facilities, laboratories, or other resources that are available to such individuals because of their status within TSU or a University-affiliated organization.

Contracts for works-for-hire between TSU or affiliated organizations and independent contractors must define the respective rights and responsibilities of the parties with respect to ownership of any intellectual property developed as a result of the contract.

C. Responsibility for Utilization

Responsibility for the utilization of any invention, discovery, or intellectual property—and the sharing of resulting proceeds—will be determined by the following factors:

- University sponsorship of the project leading to the invention, discovery, technology transfer, or intellectual property;
- Significant use of University facilities, services, or equipment in the discovery or production process; and
- Sponsorship of the project through the University by agencies or persons outside the University.

If any one of these factors is present, the University shall have an interest in the invention, discovery, copyrights, trademarks, or other intellectual property. The University's interest is not affected by whether the researcher continues to be employed by the institution after University resources are committed to the project.

D. Invention Disclosures

Inventions, discoveries, and other developments conceived or first reduced to practice in the furtherance of research conducted by University personnel, as defined in Section VII.B (Applicability), must be promptly disclosed in writing to the Division of Research and Sponsored Programs through the Office of Technology Transfer and Licensing. The standard disclosure forms (Invention Disclosure or Copyrightable Work Disclosure) provided by the University should be used for this reporting process and may be obtained from the Research website or Tech Transfer Office located in the Office of Research and Sponsored Programs.

Graduate students, visiting scientists, and post-doctoral fellows are responsible for disclosure if inventions, discoveries, copyrightable material, or trademarks directly result from classwork or programs of study, or if significant University resources were utilized.

E. Ownership of Intellectual Property (IP)

All rights to and interests in discoveries, developments, inventions, or other intellectual property resulting from research or investigation conducted in the course of the discoverer's or inventor's employment with TSU and/or affiliated organizations (including, but not limited to, performance of a grant, contract, or award made internally or by an extramural agency), or with the use of University resources, shall be the sole and exclusive property of TSU. No other person or entity shall have ownership or other property rights in such discoveries, inventions, or intellectual property, unless an exception is approved by the President upon recommendation of the Vice President for Research and Sponsored Programs.

Intellectual property developed outside an employee's scope of employment, on the employee's own time, and without the use of significant University resources shall be the sole and exclusive property of the Inventor or Author. In consideration of University support in evaluating the intellectual property, seeking patent protection, and/or pursuing commercialization activities, the University and the Inventor or Author may agree to assign all or a portion of the ownership rights to TSU.

The University will not assert ownership of "scholarly" works, regardless of whether the circumstances surrounding creation of the work satisfy one or more of the tests outlined in this policy for determining University ownership. Disclosure of scholarly works is nonetheless required, subject to the condition that only those copyrightable works that could reasonably be expected to have commercial value must be disclosed.

F. Rights and Obligations of the Parties

All rights to and interests in discoveries, inventions, or intellectual property arising in the course of research or investigation sponsored by TSU or University-affiliated organizations, or any government or private agency, are controlled by the terms of the applicable research agreement. Such agreements must be reviewed, negotiated, and approved by the Division of Research and Sponsored Programs prior to execution. In the absence of provisions to the contrary, the following rights and obligations apply.

1. Inventor Rights

Inventors have the right to:

- Receive notice within a reasonable time of the University's intention to file a patent application or otherwise retain title to the discovery or invention after disclosure;

- Receive a share of any licensing fees or royalties received by the University from commercialization of the discovery or invention, in accordance with the distribution schedule in Section VII.I (Distribution of Proceeds);

- Receive title to the discovery or invention if TSU elects not to retain title; and

- Publish research findings in a timely manner, subject to reasonable delays required to secure intellectual property protection.

2. Inventor Obligations

Inventors are obligated to:

- Promptly report to the Division of Research and Sponsored Programs, through the Office of Technology Transfer and Licensing, by preparing an Invention Disclosure that summarizes the concepts, relevant data, observations, general claims, and names of collaborators;

- Assign title to the discovery or invention to the University; and

- Cooperate, as reasonably requested by the University, in delaying publication to allow for submission of a patent application; in prosecuting patent applications or other required documents; in defending patents during prosecution, interference, or infringement proceedings; and in assisting with licensing or marketing efforts.

3. University Rights

TSU has the right to:

- Assign to the inventor title to any invention, discovery, or development subject to this policy for which TSU chooses not to retain title; and

- Make, use, license, assign, or sell to a third party the rights and interests in any patented or unpatented discovery, invention, or development owned by TSU, and to exclude others from doing so.

4. University Obligations

TSU is obligated to:

- Make faculty, staff, students, trainees, and volunteers aware of this policy and of any ongoing agreements with external sources to evaluate and/or market discoveries and inventions

- Act in a timely fashion, after disclosure, to determine whether TSU will retain title, submit to an external source for evaluation, and/or file a patent application

- Provide reasonable notice to the inventor of the University's decision to file a patent application or otherwise retain title

- Expedite intellectual property protection so as to minimize any delay in publication and

- Distribute licensing fees or royalties received by the University for any discovery, invention, or development.

5. Intellectual Property Procedures

The Vice President for Research and Sponsored Programs will:

- Conduct investigations to assess the rights and responsibilities of all parties involved
- Receive all disclosures made by members of the University community concerning inventions, discoveries, and intellectual property and
- Act expeditiously to determine the extent to which an invention, discovery, or intellectual property resulted from University sponsorship or external funding sources.

If it is determined that no University sponsorship, external funding, or significant use of University resources was involved, the Vice President shall advise the University to waive all claims. If, however, significant sponsorship by the University or an external agency and/or use of University resources is found, the Vice President, through the Office of Technology Transfer and Licensing, shall determine the terms of any applicable sponsorship agreement as it relates to patents and copyrights and shall advise the President accordingly.

In evaluating inventions and discoveries; filing patent and copyright applications; licensing; and administering patents and copyrights, the University is authorized to obtain legal and technical assistance or services from independent patent and copyright organizations.

G. Appeals

An Inventor or Author may appeal decisions of the President or the President's designee. If the Inventor or Author disagrees with an initial decision, they may request a re-evaluation by the President. The President may not delegate responsibilities related to appeals. The request must be received within thirty (30) calendar days of notification of the initial decision. The Inventor or Author may submit documents or other evidence in support of their position.

H. Licensing

It is the policy of the University to encourage the development, marketing, and commercialization of inventions resulting from research so as to achieve public usefulness and benefit. This policy may require various forms of agreements, including the granting of exclusive licenses.

In appropriate circumstances, and when consistent with law applicable to federally supported research, TSU may license a patented invention on an exclusive or nonexclusive basis for a reasonable period up to the full term of the patent, provided that such license contains provisions that promote realization of public benefit (e.g., due diligence requirements and march-in rights if the licensee does not adequately perform). TSU may also elect to license unpatented technology on an exclusive or nonexclusive basis.

I. Distribution of Proceeds

For all discoveries, inventions, or developments for which TSU receives proceeds, TSU shall first deduct all expenses incurred that are directly attributable to the technology and that have not been previously recovered. Such expenses may include costs of patent protection, copyright registration, and commercialization activities. Please review the University's IP policy at www.tnstate.edu/research.

The University is authorized to accept equity in lieu of cash, in total or partial consideration, for use of the University's intellectual property rights. Dividend income and income received from the sale of such equity shall be divided in accordance with the distribution rules adopted by the University.

GLOSSARY

Acceptance: Before an offer can become a binding promise and result in a contract, it must be accepted. Acceptance can be made in oral or written form or by commencing performance on the contract. The acceptance must be identical with the offer and unconditional. This means that the acceptance must be positive and unambiguous and cannot change, add to or qualify the terms of the offer. Any alterations or conditions imposed on an offer create a counteroffer, which is basically a rejection of the original offer.

Allowable Costs: Determined by the Office of Management and Budget (OMB), the sponsor's requirements and/or University policy. OMB Circular A-21 defines allowable costs as those that are:

- Reasonable
- Allocable to the project
- Given consistent treatment by use of generally accepted accounting principles
- Conform to any limitations or exclusions or exclusions set forth by the sponsored agreement or OMB Circular A-21

Amendment: See Modification

Assurances: See Certification

Author: The person or persons responsible for creation of a copyrightable work.

Award: Funds provided from an external sponsor for support of a project. This term is used for both original award and supplements; it can mean money or equipment.

Broad Agency Announcement: An announcement that is general in nature and that identifies areas of research interest, including criteria for selecting proposals, and soliciting the participation of all offerers capable of satisfying the government's needs.

Budget: An estimate of expenditures proposed to be incurred in the performance of a proposed statement of work.

Capital Equipment: An article of property that is not permanently attached to buildings or grounds and that has an acquisition cost of $5,000 or more (exclusive of sales and/or use tax, freight, and installation) and a life expectancy of one year or more.

Certifications: a written statement signed by the/an authorized institutional representative that certifies the University is in compliance with federal regulations.

- *Conflict of Interest (Disclosure of Financial Interest)* - For NSF and PHS a certification requires an institutional representative to certify that the institution has implemented and is enforcing a written policy on conflicts of interest consistent with federal regulations, all financial disclosures required by the conflict of interest policy were made; and that conflicts of interests, if any, were, or prior to the institution's expenditure of any funds under the award, will be satisfactorily managed, reduced or eliminated in accordance with the institution's conflict of interest policy and/or disclosed to the agency (as required by the agency).

- *Debarment and Suspension* - A certification assuring the federal agency that the research personnel and the institution are not presently declared ineligible for receiving federal support, have not been convicted of

fraud or a criminal offense in the performance of a federal award, are not in violation of federal or state statutes, are not presently indicted for criminal or civil charges and have not within a three-year period preceding the application had one or more federal, state or local transactions terminated for cause or default.

- *Delinquent Federal Debt* - A certification provided to the federal awarding agency that the applicant organization is not delinquent on the repayment of any federal debt. Drug-Free Workplace – A certification assuring the federal agency that the institution does and will continue to provide a drug-free workplace as required by the Drug-Free Workplace Act of 1988.

- *Lobbying* - A certification assuring the federal agency that no federal appropriated funds or any other non-federal funds have been paid or will be paid for influencing any federal official or employee in connection with the awarding of any contract, grant or agreement.

- *Misconduct in Science* - A certification that the institution has established administrative policies dealing with and reporting possible misconduct in science and that it will comply with the policies and requirements as published in the federal agency's regulations.

Classified Research: Research sponsored by a federal government entity that involves restrictions imposed by agreement or otherwise on the distribution or publication of the research findings or results following completion, for a specified period or for indefinite duration.

Cognizant Audit Agency: The office or staff that is designated to perform audits on behalf of the federal government for sponsored projects at a University. The cognizant audit agency for TSU is the Department of Health and Human Services (DHHS).

Consortium: A consortium is two or more institutions working on the same research project, either funded directly by the supporting agency or one prime institution subcontracting out the funds to the other members of the consortium.

Continuation Proposal/Renewal Proposal: Additional funding increments for projects beyond the original grant period. See specific sponsor guidelines for submission requirements.

Contract: A contract is an agreement to acquire services that primarily benefit the sponsor. For an award to be considered a contract, it normally must contain all of the following elements:

- Detailed financial and legal requirements must be included with a specific statement of work to be performed.
- A specific set of deliverables and/or reports to the sponsor is required.
- Separate accounting procedures are required.
- Legally binding contract clauses must be included.
- Benefits of the project accrue first to the sponsor, then to the University, then to the nation.

Cooperative Agreement: A funding mechanism used by federal agencies when a program requires more agency involvement and restrictions than a grant but requires less agency supervision than a contract.

Co-Principal Investigator (Co-PI): One investigator sharing equal responsibility for the direction of a research program.

Cost Reimbursement: A type of agreement whereby payments are based on actual allowable costs incurred in performance of the work.

Cost Sharing: The portion of project costs not borne by the sponsor. Acceptable cost-sharing contributions must meet the following criteria:

- The contributions to be cost-shared are verifiable by TSU records.
- The contributions to be cost-shared are allowable, allocable, reasonable, and necessary for proper and efficient accomplishment of specific project or program objectives.
- Federal funds, directly or indirectly, are not used for cost sharing on other federally funded projects, except where authorized by federal statute to be used for cost sharing or matching.
- The contributions to be cost-shared are not included as contributions for any other project.
- The contributions to be cost-shared are directly identifiable with the sponsored project as outlined in the proposal budget and/or budget justification, and thus incorporated in the award notice.

Cumulative Net Lifetime Proceeds: Gross revenues or other payments received by the University from a licensed technology minus applicable patent filing fees, other legal fees associated with the technology, fees for patentability and marketability searches, fees arising out of litigation, legal advice or any other fees or costs

directly attributable to the invention being licensed. Indirect costs, overhead or other costs usually associated with operation of the University and not directly attributable to the invention shall not be deducted from gross revenues.

Direct Costs: Direct costs charged to sponsored agreements must be allowable, allocable, and reasonable. Those costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Examples: (1) compensation of employees for performance of work under the sponsored agreement, including related fringe benefit cost; (2) the costs of materials consumed or expended in the performance of the work; (3) other items of expense incurred for the sponsored agreement, provided such costs are consistently treated in like circumstances.

Division: Administrative subdivision, i.e. college, school or center, of the University that provided the environment in which the research program(s) of the inventor(s) is (are) conducted.

Donated Property: Property provided by an outside party for specific activities related to sponsored project and/or research activities of the University; title to the property passes to the University at essentially no cost.

Effort: The amount of time, usually expressed as a percentage of the total, that a faculty member or other employee spends on a project

Equipment: Generally, articles of non-expendable tangible personal property having a useful life and an acquisition cost which meet or exceed the established thresholds for defining equipment. Equipment is not a replacement part or component returning a piece of equipment to its original condition. If a component increases the capability of the original equipment and has an acquisition cost that meets or exceeds the established equipment cost thresholds, it is considered a capital item.

Expanded Authorities: Policy implemented by some federal granting agencies which delegates certain prior approval authorities to grantee institutions. This delegation allows for internal University approval of administrative and spending actions, thus avoiding delays in project progress.

Extramural Funds: Funding for research, training or public service programs provided by federal or private sources outside the University.

Facilities and Administrative (F&A) Costs: Also referred to as indirect costs, overhead, overhead costs, or administrative costs. Facilities and administrative costs are actual costs incurred to conduct the normal business activities of an organization that

	cannot be readily identified with or directly charged to a specific project or activity. The normal activities of the University include instruction and departmental research, organized research, public service, and other institutional activities. F&A costs are real, auditable costs incurred by the University each time it accepts an award for a sponsored project. If the University does not collect full reimbursement for these costs, other University resources must be used to subsidize them. Negotiated, approved rates are to be used for all agreements, as allowable. Information on current F&A cost rates are available from the RSP website.
Federal Acquisition Regulations (FAR):	The Federal Acquisition Regulations System is established for the codification and publication of uniform policies and procedures for acquisition by all executive agencies. It consists of rules and regulations governing business with Federal Government. These regulations govern all aspects of federal procurement.
Firm Fixed-Price (FFP):	A type of agreement whereby payment is not based on actual costs expended but upon a mutually agreed upon price.
Foreign Travel:	Foreign travel includes travel outside of the United States and its territories and possessions (Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) and Canada. A trip is considered foreign travel for all legs of the itinerary if the traveler does not return to his or her post prior to departure for a foreign destination
Formal Proposal:	Any proposal submitted by a University employee to an outside entity that may directly lead to an award. All formal proposals require an institutional endorsement by the Vice President for Research and Sponsored Programs.
Full and Open Competition:	The solicitation of bids from prospective suppliers which is used to assure that all responsible bidders are permitted to compete for the procurement.
General Purpose Equipment:	Equipment that is not limited to research, scientific, or other technical activities. Examples of general purpose equipment include office equipment and furnishing, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment.
Gift:	A unilateral transfer of money, property, or other assets to the recipient for the recipient's ownership and use by a donor who makes no claims on the recipient in connection with the gift. Gifts normally have the following characteristics:

- The statement of work allows the project director significant freedom to change emphases within the general area of work as the project progresses.
- No deliverables are involved.
- Separate accounting procedures are not required.
- Benefits of the project are to accrue to the nation and the world.
- Sponsor has no audit rights.
- No regulatory issues are involved, such as human subjects or animal care.

Grantee: A grantee is the recipient of a grant. When the University accepts a grant award, on behalf of an individual, it becomes the grantee.

Gross Income: Proceeds from the sale, lease, or licensing of intellectual property by a TBR Institution; dividends derived from equity received in consideration for the sale, lease, or licensing of intellectual property by a TBR Institution; or proceeds from the sale of equity received in consideration for the sale, lease, or licensing of intellectual property by a TBR Institution.

Human Subjects: A living individual about whom an investigator conducting research obtains:

- Data through intervention or interaction with the individual.
- Identifiable private information.

Indirect Costs See Facilities and Administrative (F&A) Costs.

Informal Proposal: A short (generally 2-5 pages) description of the proposed project that does not involve a commitment of University resources or a signature on behalf of the University. An informal proposal may include a total cost estimate but does not include a budget and is not expected to result directly in an award. The purpose of an informal proposal is usually to inform and interest the potential sponsor enough to request a more detailed formal proposal. Also sometimes called a letter proposal, mini-proposal, preliminary proposal, pre-application, or concept paper.

Informed Consent: The voluntary agreement obtained from a subject (or the subject's legally authorized representative) to participate in research or related activity, before participating in that activity. The consent must permit the individual (or legally authorized representative) to exercise free power of choice without undue inducement or any element or deceit, fraud, force, duress, or other form of coercion or constraint.

Infrastructure Support: As a requirement for accepting federal funding for research, the University must negotiate Facility and Administration Agreement with the Department of Health and Human Services. Facility and administration expenditures as defined by this agreement are referred to as infrastructure support.

In-Kind Contribution: A non-cash commitment (such as contributed effort, facilities use, or supplies) to share the costs of a sponsored project.

Institutional Authorized Officials: Individuals authorized by the Tennessee Board of Regents to sign grants, contracts, and agreements on behalf of TSU.

Institutional Review Board (IRB): A board or committee organized at the University to provide review at the institutional level for ethical concerns in research, such as laboratory animal care and the use of human subjects in research.

Intellectual Property (IP): Intellectual property is a broad term that encompasses the various intangible products of the intellect of inventors. These include patents, trademarks, copyrights, trade secrets, know-how, and other proprietary concepts, including an invention, scientific or technological development, and even computer software and genetically engineered microorganisms. Intellectual property means inventions and works.

Intergovernmental Agreement (IGA): An agreement whereby two or more public agencies of the state may contract with each other provided that such contracts are authorized by the governing bodies of each agency.

Invention: Any discovery, invention, new use or application, process, composition of matter, article of manufacture, know-how, design, model, technological development, or biological material.

Inventor: The person or persons responsible for conception of an idea or ideas leading to an invention. An individual or individuals who has/have made a contribution to the conception and/or reduction to practice of an invention, discovery or development and who is/are identified as such on the licensed patent, patent application or unpatented technology. In the case of a patent or patent application, this contribution must be applicable to at least one claim. In cases of joint inventorship, it is not necessary that each inventor make the same type or amount of contribution to the invention, and it is not necessary that each inventor make some contribution of each claim.

Invitation to Bid: Written documents soliciting pricing and/or technical proposals to supply goods or services as specified in the requesting document. Correct use of Invitations to Bid constitutes full and open competition. See Request for Proposal (RFP).

Key Professional Personnel: Key professional personnel (or key personnel) are all individuals who participate in the scientific development or execution of the project. Typically, key personnel have a Ph.D. Ed.D., or M.D., but may also include

the master's or baccalaureate level, provided they contribute in a substantive way to the research.

Letter of Inquiry: A letter of inquiry is initiated by an applicant to determine if a proposed project is within a private agency's fundable program areas and to request agency policy and program information, as well as instructions and forms.

Letter of Intent: A letter of intent advises a funding agency that an application will be submitted in response to their solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.

Loaned Equipment: Property provided by an outside party for use by the institution for sponsored project or research related activities; title to the property does not pass to the University.

Major Project: A large, complex project that entails assembling and managing teams of investigators. They also require a significant amount of administrative effort to complete specifically identified requirements of the project. Examples per OMB Circular A-21 are:

- Large, complex programs such as General Clinical Research Centers, Primate Centers, Program Projects, environmental research centers, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.
- Projects which involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting (such as epidemiological studies, clinical trials, and retrospective clinical records studies).
- Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.
- Projects whose principal focus is the preparation and production of manuals and large reports, books and monographs (excluding routine progress and technical reports).
- Projects that are geographically inaccessible to normal departmental administrative services, such as research vessels, radio astronomy projects, and other research fields sites that are remote from campus.
- Individual projects requiring project-specific database management; individualized graphics or manuscript preparation; human or animal protocols; and multiple project-related investigator coordination and communications.

Matching Funds: A cash commitment to share the costs of a sponsored project. See also Cost Share.

Misconduct in Science Certification:	See Certifications
Modification:	Any change made to an existing sponsored agreement.
Net Income:	Gross income minus the direct costs associated with patent prosecution, copyright registration, commercialization, defense, maintenance, and administration of intellectual property.
No-Cost Extension (NCE):	Provides for an additional period of performance to accomplish project goals. Permission for NCE must be requested from the sponsor.
Overhead:	See Facilities and Administrative (FAC or F&A) Costs.
Participant:	A participant is an individual who receives services from a project or program funded by an award. Participants perform no work or services for the project or program other than for their own benefit. University employees may not be participants.
Participant Costs:	Program Participants are the recipients of service or training provided at a workshop, conference, seminar, symposia or other short-term instructional or information sharing activity funded by an external grant or award or the training beneficiaries of the project or program funded by an external grant or award. A participant is not involved in providing any deliverable to the University or a third party, or would not be terminated or replaced for failure to perform.
Participant Payments:	are costs used to pay program participants small stipends and possibly reimbursement of travel costs or other out-of-pocket costs incurred to support attendance at a workshop, conference, seminar, symposia or other short-term training or information sharing activity.
Personnel Action Request Form (PARF):	The document used to authorize effort for an individual to be charged to a specific project. PARF must be submitted to RSP any time there is a change in an employee's effort distribution on a grant.
Peer Review:	A process utilized by some federal and private agencies, whereby committees of research investigators in the same area of research or with the necessary expertise (from other institutions) review and recommend applications to the funding agency.
Principal Investigator (PI):	Typically, a faculty member who submitted a proposal that was accepted and funded by an external sponsor, also referred to as the project director. The PI has primary responsibility for technical compliance, completion of programmatic work, and fiscal stewardship of sponsor funds.

Program Income: Program income is gross income earned by a research grant recipient from the activities, part or all of which are borne as a direct cost by the grant. Examples are fees for services performed under the grant, rental or usage fees charged for use of equipment purchased with grant funds, third party patient reimbursements for hospital or medical services paid from the grant, funds generated by the sale of commodities, such as cell lines or research animals developed from or paid for from the grant, and patent or copyright royalties.

Project Director: See Principal Investigator.

Proprietary Research: Research sponsored by non-governmental entity or individual that involves restrictions on the distribution or publication of the research findings or results following completion, for a specified period or for indefinite duration.

Re-budgeting: Process by which funds available for spending are reallocated between budget categories to allow best use of funds to accomplish project goals.

Request for Applications (RFA): Any resulting awards would normally be funded by a grant. The RFA instructions include the information necessary to complete the application and mailing instructions.

Request for Proposals (RFP): An RFP contains specific instructions for technical and cost proposals, and usually include a sample contract with terms and conditions that need to be reviewed and approved prior to the submission of the proposal. The institutional endorsement for this type of proposal is considered an official offer; therefore, it must meet certain requirements before if can be signed and submitted.

Scholarly works: include, but are not limited to, articles written for publication in academic journals, textbooks, works of art, musical compositions, and literary works. Theses and dissertations are not, for the purposes of this policy, scholarly works. Works by non-faculty employees shall not, for the purposes of this policy, be considered scholarly works.

Scope of employment: Activities which have been assigned to an employee by his or her supervisor or which are performed during normal working hours or which fall within the employee's job description.

Significant use: Utilization of Institution funds, personnel, facilities, equipment, materials or other resources resulting in a cost to the Institution (direct, indirect, or depreciative) of more than $2,500 (in constant 2001 dollars).

Sole Source Acquisition: Issuing an award to a subcontractor without full and open competition. This may be done if an award is the result of a collaboration (where the ideas,

concepts, and methodology were developed by the two parties jointly). There are restrictions on the use of this means of procurement and documentation must show justification for using sole source acquisition.

Site Visit: An agency-initiated review of a proposed project conducted at the applicant's institution.

Special Purpose Equipment: Equipment which can be used only for research, scientific, or other technical activities.

Sponsor: An external funding source which enters into an agreement with the University to support research, instruction, public service or other sponsored activities. Sponsors include private businesses, corporations, foundations and other not-for-profit organizations, other universities, and federal, state and local governments.

Sponsored Project: A project supported by an external funding source under a mutually binding agreement that restricts the use of funds to the approved project and stipulates other conditions with which the University must comply. Sponsored projects typically:

- are initiated by a formal proposal and award notice
- are restricted to a particular purpose as described in the proposal
- require technical and/or financial reports
- entail other administrative requirements.

Sub-award: An award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible sub-recipient or by a sub-recipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services nor does it include any form of assistance which is excluded from the OMB Circular A-110 definition of "award" in paragraph (e).

Subcontract: A contract issued under a prime contract, agreement, purchase order, or grant for the procurement of services or program-related tasks.

Subcontractor: Any supplier, distributor, vendor, or firm that furnishes supplies or services to or for a prime contractor or another subcontractor.

Sub-recipient: The legal entity to which a sub-award is made and which is accountable to the recipient for the use of the funds provided.

Supplemental Proposal: Additional support requested to assure adequate completion of the original scope of work.

Works: Any copyrightable material, such as literary works; musical works, including any accompanying words; dramatic works, including any accompanying music; pantomimes and choreographic works; pictorial, graphic, and sculptural works; motion pictures and other audiovisual works; sound recordings; architectural works; computer software or databases; circuit diagrams; architectural and engineering drawings; and lectures.