

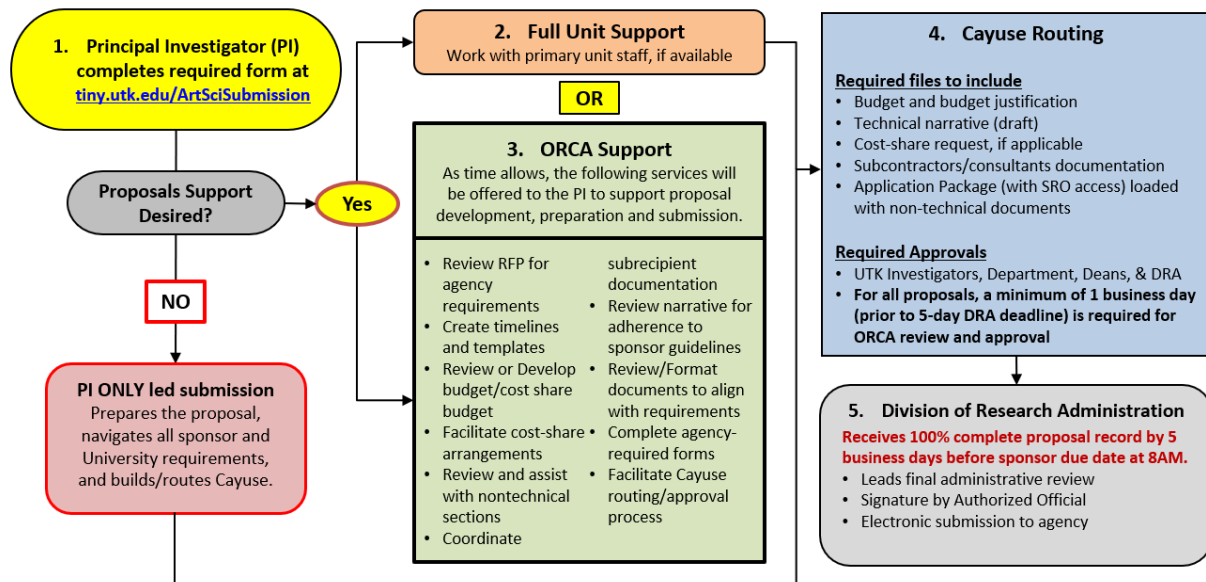
College of Arts & Sciences Office of Research and Creative Activity (ORCA): Pre-award workflows

The College of Arts & Sciences Office of Research and Creative Activity (ORCA) has been created to support proposal submissions and to advance understanding of sponsored projects. The ORCA team consists of Director, Courtney Holbert and Research Coordinator, Annie Brown with two additional Research Coordinators and a Research Development Manager anticipated to start in early 2024. The team has developed a pre-award process that includes a new simple step, described below, and enhanced workflows (Figure 1) that are intended to expedite and improve proposal submissions.

New process and directions

- 1. Submit New Form:** Principal Investigators (PIs) are now asked to complete the *intent to submit form* at <https://tiny.utk.edu/ArtSciSubmission> for every submission to clearly indicate desired support path as soon as a decision has been made to submit a proposal.¹ Ideally, this will occur 30 or more business days before the sponsor's due date to coordinate support, if requested. There is no penalty if the PI later decides to delay or not submit the proposal.

Figure 1: New workflows for Arts & Sciences proposal submissions



- 2. Coordination of Support:** Once the form is received, both ORCA and Unit staff will be notified of the submission regardless of support path indicated. Coordination is expected between ORCA and Unit staff to ensure requested support is provided based on remaining time to due date. See Figure 1 for ORCA support services available based on time left to submission. *Please note that Units may have additional processes that PIs should follow.*
- 3. Timing of Routing:** It is important to begin routing as soon as possible to allow all units involved more time to perform reviews and/or to provide services to support the proposal.

¹ If Unit staff complete the form on behalf of faculty, please mark the box sending the form responses to the PI.

Ideally this will occur earlier than 7 business days before the due date. It is understood this is not always necessary, but this guidance should be followed when possible.

4. **What to include in Cayuse routing?** It is *recommended* to include the following, or give access to the portal where loaded, to ensure unit and College approvals are made with a full understanding of the scope and resources needed to complete the work, if awarded.
- Final budget and budget justification including cost share commitments, if required
 - Draft technical narrative or statement of work
 - Consultant paperwork (form complete and signed with Outside Interest Disclosure completed, if required), if named in proposal
 - Subrecipient documentation including:
 - Completed subrecipient form (FDP or Non-FDP)
 - Budget and justification
 - Statement of work
 - Performance site
 - Application Package (with SRO access) loaded with non-technical documents and proposal ID in Cayuse comments
 - Additional comments that help give an overview of the submission to aid in the Unit and College review and authorization

Please note: The PI should be the one fully responsible for completing and/or certifying the accuracy of the following Cayuse sections: Conflict of Interest, Regulatory Compliance, Export Control, Intellectual Property, and Location of Sponsored Activities.

5. **ORCA Cayuse Review:** Once proposals are routed in Cayuse, the College needs a minimum of 1 business day for review and approval. If ORCA leads the proposal support, the review time should be less than 24 hours due to familiarity with details of the submission.
6. **DRA's Role in Proposal Submission:** DRA staff serve as official institutional signatories for proposals submitted to external sponsors and provide the following support to principal investigators with College/Department Support:
- a. RFP and solicitation review to ensure compliance with sponsor requirements
 - b. Creation of agency-specific user accounts (NSF Research.gov, NIH eRA Commons, etc.)
 - c. Proposal review, processing, and submission to sponsor
 - d. Assistance with responding to sponsor requests for additional information

Please note that application packages should be built by the PI, in the unit, or by ORCA to facilitate a full review

7. **Exception Requests:** A limited number of exception requests can be made during a fiscal cycle, so it is anticipated that requests will only be made if the PI encounters unanticipated complications resulting from exigent circumstances, including late notification from a prime sponsor, bereavement leave, or illness. A request will not be made under circumstances that could have been planned for, such as late communications from collaborators, being on travel, or being on vacation.