Introduction to Grant Administration
Life Cycle of a Grant

- Proposal Development
- Project Start-up
- Award Management
- Award Close-out
- Finding Funding
Types of Sponsored Projects

- Grants
- Contracts
- Cooperative Agreements
PI Responsibilities

Pre-Award
- Agency Review (6-9 mos)

Post-Award
- Project Period
  - 1st Budget Period
  - 2nd Budget Period
  - 3rd Budget Period
  - No Cost Extension

Closeout
- Submit Renewal / Competing Continuation
- Final Reports

Development
- Submit Proposal
- Revised Budget
- Pre-Award Costs
- Award

Award
- Apply

Perform
- (Principal Investigator)

Administer/Monitor
- (Post-Award Office)

Technical Close
- (Principal Investigator)

Financial Close
- (Post-Award Office)
Types of Agreements

- Grant – (NSF, NASA, NIH)
  - Purpose is to transfer funds to recipient in order to accomplish a public purpose
  - Idea originates with researcher/faculty
  - No substantial involvement is anticipated between sponsor and recipient during performance of activity
Types of Agreements

- **Contract (State)**
  - Often called a “procurement mechanism”
  - Sponsor determines that procurement contract is appropriate
  - Principal purpose is to acquire property or services for direct benefit or use of the sponsor
  - Idea originates with sponsor
  - Types-fixed price, cost-reimbursement, *time and materials*, *labor-hour*
Types of Agreements

- Cooperative Agreement (State)
  - Purpose is to transfer funds to recipient to accomplish a public purpose
  - Idea may originate with researcher/faculty
  - Substantial involvement is anticipated between sponsor and recipient during performance of activity
  - Sometimes called a “partnership” agreement
About Funding Sources

- Federal (NSF, NASA, ED, DOD, DOE, NIH, etc)
  - 26 Federal grant-making agencies
- State
  - Education (www.tennessee.gov)
  - TBR (Access and Diversity program)
  - THEC (ITQ program)
- Local
- Industry
- Philanthropic/Foundations
Identification of Funding Opportunities

- **Active strategies**
  - Keyword searches
    - InfoEd
    - Grants.gov
    - Agency websites
  - Correspondence with Office of Research staff and other colleagues

- **Passive strategies**
  - InfoEd’s SMARTS email
  - Listservs
InfoEd

- www.infoed.org
  - Comprehensive database of funding opportunities.
  - Highly customizable searches
  - Covers all disciplines
BASIC SEARCH

To perform a basic search for a grant opportunity, complete at least one of the following fields: Keyword Search, Search by Funding Opportunity Number, or Search by CFDA Number and then select the search button.

Only open opportunities will be returned. To search closed or archived opportunities, use Advanced Search.

For helpful search tips and to learn more about finding grant opportunities check out the Search Grant Opportunities guide.

Keyword Search:

Search by Funding Opportunity Number:

Search by CFDA Number:

SEARCH  CLEAR FORM
# Search Results

**Sort:** Open Date, Descending  
**Sort By:** Close Date, Relevance  

<table>
<thead>
<tr>
<th>Open Date</th>
<th>Opportunity Title</th>
<th>Agency</th>
<th>Funding Number</th>
<th>Attachment</th>
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<tbody>
<tr>
<td>09/22/2010</td>
<td>Ultra-Fast Efficiency and Lightweight Thin Film Photovoltaic Electric for Portable, On-Demand Power for Defense Applications</td>
<td>Air Force - Research Lab</td>
<td>BAA-VS-07-03-0024</td>
<td>Section K, Overview Information</td>
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<td>09/22/2010</td>
<td>Interoperable Communications and Training Project</td>
<td>Office of Procurement Operations - Grants Division</td>
<td>DOD-10-NPPD-124-0001</td>
<td>AMENDMENT 1, 1 of 52 DARPA-BAA-10-04 Insight Broad Agency Announcement</td>
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<td>06/20/2010</td>
<td>Materials Processing and Manufacturing</td>
<td>National Science Foundation</td>
<td>RD-10-1467</td>
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<td>09/20/2010</td>
<td>InsPhit</td>
<td>DARPA - Microsystems Technology Office</td>
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<td>09/15/2010</td>
<td>Integrity and Reliability of Integrated Circuits (IRIS)</td>
<td>DARPA - Microsystems Technology Office</td>
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<td>09/08/2010</td>
<td>Combating Illegal Wildlife Trafficking in Asia</td>
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<td>USAID-RDMA-486-10-032-RFA</td>
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<td>Vocational Training and Education for Clean Energy and Sustainable Development</td>
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<td>09/03/2010</td>
<td>Asia Regional Sustainable Landscapes Program</td>
<td>Thailand USAID-Bangkok</td>
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<td>09/03/2010</td>
<td>300 Luce Cancer Early Detection Clinical Consortium</td>
<td>Dept. of the Army - USAAMC</td>
<td>669-10-019</td>
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<td>09/02/2010</td>
<td>LEAD-BASED PAINT HAZARD CONTROL GRANT PROGRAM</td>
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<td>09/02/2010</td>
<td>LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM</td>
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<tr>
<td>09/01/2010</td>
<td>Office of Elementary and Secondary Education (OESOE): Advanced Placement (AP) Test Fee Program (FTE): Number 44-3338</td>
<td>Department of Education</td>
<td>ED-GRANTS-000111-0001</td>
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<tr>
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<td>Quantum Assisted Sensing and Readout (QaSAR)</td>
<td>DARPA - Defense Sciences</td>
<td>DARPA-BAA-10-09</td>
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<td></td>
<td>Model Broad Agency Announcement (BAA)</td>
<td>DARPA - Defense Sciences</td>
<td>DARPA-BAA-10-09</td>
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Strategic Technologies

The synopsis for this grant opportunity is detailed below, following this paragraph. This synopsis contains all of the updates to this document that have been posted as of 09/09/2010. If updates have been made to the opportunity synopsis, update information is provided below the synopsis.

If you would like to receive notifications of changes to the grant opportunity click send me change notification emails. The only thing you need to provide for this service is your email address. No other information is requested.

Any inconsistency between the original printed document and the disk or electronic document shall be resolved by giving precedence to the printed document.

Document Type: Grants Notice  
Funding Opportunity Number: DARPA-BAA-10-63  
Opportunity Category: Discretionary  
Posted Date: Sep 09, 2010  
Creation Date: Sep 09, 2010  
Original Closing Date for Applications: Sep 07, 2011  
Current Closing Date for Applications: Sep 07, 2011  
Archive Date: Oct 07, 2011  
Funding Instrument Type: Cooperative Agreement  
Grant  
Other  
Procurement Contract  

Category of Funding Activity: Science and Technology and other Research and Development  
Category Explanation:  
Expected Number of Awards:  
Estimated Total Program Funding:  
Award Ceiling:  
Award Floor:  
CFDA Number(s): 12.910 -- Research and Technology Development  
Cost Sharing or Matching Requirement: No  

Eligible Applicants
grants.gov
DOWNLOAD OPPORTUNITY INSTRUCTIONS AND APPLICATION

You have chosen to download the instructions and application for the following opportunity:

CFDA Number: 12.910: Research and Technology Development
Opportunity Numbers: DARPA-BAA-10-83; Strategic Technologies
Agency: Defense Advanced Research Projects Agency
Opening Date: 09/09/2010
Closing Date: 09/07/2011

If you would like to be notified of any changes to this opportunity please enter your e-mail address below, and you will be e-mailed in the event this opportunity is changed and republished on Grants.gov before its closing date.

Submit

Download the instructions and application by selecting the download links below. While the instructions or application files may open directly, you may save the files to your computer for future reference and use. You do not need Internet access to read the instructions or the application once you save them to your computer.

1. Download Application Instructions
2. Download Application Package
Proposal Development

Strategy

Funding Solicitations
Strategy: A Convergence of Missions/Visions

To be one of the best universities in the nation through a commitment to:

Life-long success of TTU students

Distinguished by public trust in its:

Program quality
Research
Service

TTU Vision

TTU Faculty

TTU Vision

Office of Research

Proposal Development

Needs Assessment

Request for Proposals

Funding Agency Mission

Office of Research

Request for Proposals

TTU Faculty

TBR Vision

TBR Vision
Federally Sponsored Opportunities

- Program Solicitations
- Program Announcements
- Request for Proposals (RFP)
- Request for Applications (RFA)
- Funding Opportunity Announcements (FOA)
Understanding Proposal Solicitations: Organization and Content

- Funding Opportunity Description
- Award Information
- Eligibility Information
- Application and Submission Information
- Application Review Information
- Award Administration Information
- Agency Contacts
- Other Information
Ground Rules for Proposal Preparation and Submission

Intent to Submit
Proposal Endorsement Form
Project Activation Form
Intent to Submit

Tennessee Technological University
Office of Research and Graduate Studies

INTENT TO SUBMIT PROPOSAL FORM

Please complete this form to the best of your ability and submit as soon as you know it is likely you are applying to the funding agency.

Principal Investigator (PI) Name: [ ]
Email Address: [ ]
Department or Center of PI: [ ]
Funding Source / Solicitation Number: [ ]
Proposal Deadline: [ ]

Is Cost Sharing or Match Required? YES [ ] NO [ ]
Are Indirect Costs Permitted? YES [ ] NO [ ]

Is there a limit on the number of proposals that may be submitted by an institution? YES [ ] NO [ ]
Is this a collaborative proposal? YES [ ] NO [ ]
Are Human Subjects Involved? YES [ ] NO [ ]
Are Animal Subjects Involved? YES [ ] NO [ ]
Have you completed the Responsible Conduct in Research Training accessible from: www.tntech.edu/research

This form may be submitted as an email attachment, faxed, or hand-delivered to:

TTU Office of Research
DeBerry Hall RM 306
TTU Box 5056
Fax: 372-6374

SUBMIT FORM
Proposal Approvals:
Proposal Endorsement Form (PEF)

Tennessee Technological University
Office of Research
PROPOSAL ENDORSEMENT FORM

1. Title
2. Funding Agency
3. Contact Information
4. Submission Type
   - New Proposal
   - Continuation
   - Revisions
5. Proposed Project Period
   - Start
   - End
6. Grant Personnel
   - Name
   - Personnel Code
   - College
   - Dept.
   - Rank
   - Title

7. Category
8. Project Type

9. Agency
   a. Project Funds Requested
   b. FTE/Fac. & Admin. Costs
   c. FTE/Fac. & Admin. Costs
   d. 39.5% of Modified Total Direct Costs

10. Cost Sharing
    a. UT UTU Cost Share
    b. Source of UTU Cost Share
    c. Source of Other Cost Share

11. Other
    a. Extra pay requested
    b. Agency approval required (OMB A-21)
    c. Proposed project involves any restricted data, inventions, or proprietary information
    d. Other

12. Signature

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Tennessee Technological University
Office of Research
## Proposal Approvals:

**Proposal Endorsement Form (PEF)**

<table>
<thead>
<tr>
<th>Approvals</th>
<th>PI/Co-PI</th>
<th>Person/Support Personnel</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPROVALS (In Sequence) MUST be signed by PI and Co-PI, and appropriate administrators (Director(s), if applicable, Chairperson(s), Dean(s), and, if applicable, Research Liaison Officer) PRIOR to submission to Office of Research.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Principal Investigator</td>
<td>PI/Co-PI</td>
<td>Support Personnel</td>
<td>Date</td>
</tr>
<tr>
<td>Co-PI/Senior Personnel Support Personnel</td>
<td>Date</td>
<td>Co-PI/Senior Personnel Support Personnel</td>
<td>Date</td>
</tr>
<tr>
<td>Co-PI/Senior Personnel Support Personnel</td>
<td>Date</td>
<td>Co-PI/Senior Personnel Support Personnel</td>
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<td>Date</td>
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<td>Date</td>
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<tr>
<td>Co-PI/Senior Personnel Support Personnel</td>
<td>Date</td>
<td>Co-PI/Senior Personnel Support Personnel</td>
<td>Date</td>
</tr>
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</table>

### ADMINISTRATIVE SIGNATURES REQUIRED

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI/Co-PI</td>
<td>Date</td>
</tr>
<tr>
<td>Center Director(s)</td>
<td>Date</td>
</tr>
<tr>
<td>Departmental Chairperson(s)</td>
<td>Date</td>
</tr>
<tr>
<td>Office of Research</td>
<td>Date</td>
</tr>
</tbody>
</table>
CERTIFICATIONS, DISCLOSURES AND ASSURANCES

Directions: Fill in the proposal number and sign form. Signatures are required for all personnel listed.

CERTIFICATION REGARDING DISCLOSURE, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

The Investigator/Project Director (I/Project Director) certifies to the best of his/her knowledge and belief that (a) all certifications and disclosures have been made, and (b) the following is true:

(a) is not presently, or has not been within the past five years, directly involved in the preparation of the proposal, interpretation of any relevant data, or the conduct of any component of the research for any Federal department or agency.
(b) has not within the past five years, been in a position to control the funding or conduct of the research sponsored by any Federal department or agency.
(c) is not presently employed by or associated with the applicant for the funds for the period of the grant as a consultant, partner, or employee.
(d) has not been a Federal employee within the past five years.
(e) is not presently related to the applicant for funds or a member of the same household as a relative who is a Federal employee.
(f) does not have any federal or non-federal official or contract with a Federal department or agency.
(g) is not a Federal employee who has any personal or professional relationship with the applicant for funds.
(h) is not a Federal employee who has any personal or professional relationship with a member of the individual's household.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE

In compliance with the Federal regulations requiring the Drug-Free Workplace Act of 1988 and in accordance with TTC's policy dated March 15, 1989, the Investigator/Project Director certifies that no drug-related offense has occurred in the workplace as of the date of certification.

Employee Agreement:

As a condition of employment, the Investigator/Project Director certifies that no drug-related offense has occurred in the workplace as of the date of certification.

CONFLICT OF INTEREST

The Investigator/Project Director certifies that there is no conflict of interest with respect to the research proposed.

CERTIFICATION OF LOBBYING

The Investigator/Project Director certifies that there is no lobbying activity associated with the proposal.

SIGNATURE

[Signature]

Date

Role (PE, Co-PI, Senior Personnel, Support)
Account Setup Approvals: Project Activation Form (PAF)

<table>
<thead>
<tr>
<th>NOTICE OF PROJECT ACTIVATION</th>
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<tbody>
<tr>
<td>Project Title:</td>
</tr>
<tr>
<td>Project Abstract:</td>
</tr>
<tr>
<td>Agency:</td>
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<tr>
<td>Category:</td>
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<tr>
<td>Project Type:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Period of Project:</th>
<th>Period of Activation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>From:</td>
</tr>
<tr>
<td>To:</td>
<td>To:</td>
</tr>
</tbody>
</table>

*Must be actual dates of project: Must be actual dates of TBRN activation*

## GRANT PERSONNEL

<table>
<thead>
<tr>
<th>Name</th>
<th>Pernsional Code</th>
<th>College</th>
<th>Dept.</th>
<th>Ext.</th>
<th>Box</th>
<th>Center</th>
</tr>
</thead>
</table>

**Personnel Codes:** 001-099: Co-Principal PI, 003: Support Personnel, 004: Undergraduate, 005: Graduate Personnel

### 1. DIRECT COSTS:

<table>
<thead>
<tr>
<th>Account Code</th>
<th>Agency</th>
<th>Center</th>
<th>TTR Other</th>
<th>Total</th>
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<tbody>
<tr>
<td>61110</td>
<td>$</td>
<td>$</td>
<td>$</td>
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<tr>
<td>6244</td>
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<tr>
<td>61500</td>
<td>$</td>
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### 2. FUNDED FAC. & ADMIN. COSTS:

<table>
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<tr>
<th></th>
<th>$</th>
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</thead>
</table>

### 3. TOTAL FUNDS (1 plus 2) $0.00

### 4. COST SHARING:

- **Voluntary (not required)**
- **Involuntary (required)**

<table>
<thead>
<tr>
<th>Cost Sharing</th>
<th>$</th>
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</thead>
</table>

### TOTAL COST SHARING: $0.00

*Reason for waiver: Comments:
### Listing of Percent Effort and (if applicable) Extra and/or Summer Pay:

<table>
<thead>
<tr>
<th>Name</th>
<th>(a) Acct. Code</th>
<th>(b) Position No.</th>
<th>Percent of Effort (must be a non-negative)</th>
<th>Extra Pay</th>
<th>Summer Pay</th>
<th>Source of Pay</th>
<th>12 mo. Appr.</th>
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**NOTE:** The numbers in parentheses are estimated percent of effort for the account. Periods 440 are the information code in this field to provide payment to the employee for work done under this activity.

### Listing of Cost Sharing from Line Item 4:

<table>
<thead>
<tr>
<th>(a) Acct. Code</th>
<th>(b) Index Code</th>
<th>Cost Shared Items such as: Computer Time, Benefits, Travel, etc.</th>
<th>Amount</th>
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<tr>
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### Reference for Personnel Codes & Pay Types:

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<th>Description</th>
<th>Code of Personnel</th>
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<tr>
<td>Regular Employee, permanent part-time and full-time employee, with benefits</td>
<td>6111</td>
<td>Fixed Regular</td>
<td>6122</td>
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<tr>
<td>Regular Employee, with benefits</td>
<td>6112</td>
<td>Fixed Regular</td>
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<td>Professor and/or Adjunct</td>
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<td>Fixed Regular</td>
<td>6124</td>
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<tr>
<td>Faculty and Acad. Staff - Teaching CTA working 30 hrs or more</td>
<td>6114</td>
<td>Fixed Regular</td>
<td>6125</td>
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<tr>
<td>Faculty and Acad. Staff - Teaching CTA working less than 30 hrs.</td>
<td>6115</td>
<td>Fixed Regular</td>
<td>6126</td>
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<tr>
<td>Student Support Staff - Temporary CTA working 30 hrs or more</td>
<td>6116</td>
<td>Fixed Regular</td>
<td>6127</td>
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<td>Fixed Regular</td>
<td>6128</td>
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<tr>
<td>Student Support Staff - CTA Employee Over Time Pay</td>
<td>6118</td>
<td>Fixed Regular</td>
<td>6129</td>
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<tr>
<td>Student Support Staff - CTA Employee Over Time Pay</td>
<td>6119</td>
<td>Fixed Regular</td>
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<td>Administrative Assistant, Temporary, 30 hrs or more</td>
<td>6120</td>
<td>Fixed Regular</td>
<td>6131</td>
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<td>Administrative Assistant, Temporary, 20 hrs or more</td>
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<td>Fixed Regular</td>
<td>6132</td>
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<td>Personnel with less than 30 hrs.</td>
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<td>Fixed Regular</td>
<td>6133</td>
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<td>Professional Support Staff - CTA providing administrative support working on a CTA</td>
<td>6123</td>
<td>Fixed Regular</td>
<td>6134</td>
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<tr>
<td>Professional Support Staff - CTA providing administrative support working on a CTA</td>
<td>6124</td>
<td>Fixed Regular</td>
<td>6135</td>
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</tr>
<tr>
<td>Fixed Professional Staff - CTA providing administrative support working on a CTA</td>
<td>6125</td>
<td>Fixed Regular</td>
<td>6136</td>
<td></td>
<td></td>
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</tbody>
</table>

### Approvals (in sequence):

<table>
<thead>
<tr>
<th>Project Director</th>
<th>Date</th>
<th>Engineering Area or Services Officer</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department Chair(s)</td>
<td>Date</td>
<td>Associate VP for Research &amp; Graduate Studies</td>
<td>Date</td>
</tr>
<tr>
<td>Project Director’s Dean or Associate</td>
<td>Date</td>
<td>Grants Accountant</td>
<td>Date</td>
</tr>
<tr>
<td>Career Director(s)</td>
<td>Date</td>
<td>VP for Business and Finance Affairs</td>
<td>Date</td>
</tr>
</tbody>
</table>
Pathway for Proposals

1. Faculty member decides to seek external sponsored support.

2. PI consults Office of Research website including research profiles, Community of Science (COS), and funding databases.

3. PI completes Proposal Endorsement Form (PEF) and obtains required approval from department and college.

4. PI brings signed PEF form plus the original proposal to the Office 24 hours before submission. The proposal is checked for accuracy and compliance with all applicable guidelines.

5. Copy of approved PEF is returned to PI, Center Director (if applicable), and College Research Liaison Officer; proposal is submitted to agency according to agency requirements (either by hard copy or electronically).

6. PI reviews proposal if desired.


8. Award notification received. Activation and Article are completed and appropriate signatures are obtained (Chair, dean, Office of Research). Office of Research reviews and approves any contractual agreements; forwards award to Grant Accounting and assigns account number.

9. Requests for any changes to the approved/signed modification requests.
Congratulations – you’ve been funded!

What to do once you receive Notification of an award. . .
External Funding – Project Set-up

Sources of Funding
Types of Agreements
Project Start-Up

- Department receives Notification from the Office of Research that their project has been funded
- Department Initiates the Project Activation Form
- Signatures are gathered and the Project Activation Form is submitted to the Office of Research
- The Office of Research will review/approve the Project Activation Form and forward to Grant Accounting
- Grant Accounting will establish a Unique FOAPAL or FOAPALs for the Project
Additional Steps that might be needed:

- If the Project contains Cost-Share Commitments
  - A Budget revision from each area providing Cost-Share will need to be submitted
  - The new Cost-Share FOAPAL will need to be monitored to ensure cost-share is being met

- If part of the project is being Sub-contracted
  - Subcontracts will need to be prepared and approved by Purchasing
Project Start-Up

Review the following on the Notice of Grant Award:

- Period of performance or Budget Period
- Dollars funded and/or obligated
- Future Year Commitments
- Cost-Sharing
- Reporting Requirements
- Deliverables
Project Start-Up

Review the following on the Notice of Grant Award:

- Special Terms & Conditions
- Export Control Requirements
- Invoice/Billing Requirements
- Patent Agreements
- Compliance Issues
Internal Forms – Grant/Contract Approvals
Proposal Activation Form (PAF)

- Post-award form used to “activate” project
- Provides budget to Grants Accountant so that TTU FOAPAL can be established
- Reflects cost sharing commitments – should be itemized on back of form
- Project Abstract Form used to make research activity available to public by TTU

Web link: https://www.tntech.edu/images/stories/research/agreesforms/PAF.pdf
Award Management

Day-to-Day Administration of the Project
Award Management

- Financial Management
- Effort Reporting
- Cost-Share Monitoring
- Release Time Tracking
- No-Cost Extensions
- Budget Revision Requests
- Sub-contract Monitoring
- Record-Keeping
Award Management – Financial Responsibilities

All Expenditures Should Be:

- Allowable
- Reasonable
- Allocable

- If in question, refer to Office of Research at:

New link here
## Award Management – Financial Responsibilities-Unallowable Costs

<table>
<thead>
<tr>
<th>Category</th>
<th>Cost Description</th>
<th>Cost Description</th>
<th>Cost Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advertising and public relations</td>
<td>Alcoholic beverages</td>
<td>Communications costs</td>
<td>Compensation for personal services</td>
</tr>
<tr>
<td>Donations and contributions</td>
<td>Entertainment costs</td>
<td>Equipment and other capital expenditures</td>
<td>Fines and penalties</td>
</tr>
<tr>
<td>Goods or services for personal use</td>
<td>Housing and personal living expenses</td>
<td>Insurance and indemnification</td>
<td>Most lobbying costs</td>
</tr>
<tr>
<td>Losses on other sponsored contracts</td>
<td>Maintenance and repair costs</td>
<td>Memberships, subscriptions and professional activity costs</td>
<td>Patent costs</td>
</tr>
<tr>
<td>Pre-agreement costs</td>
<td>Professional services costs</td>
<td>Proposal costs</td>
<td>Publication and printing costs</td>
</tr>
<tr>
<td>Rearrangement and alteration costs</td>
<td>Recruiting costs</td>
<td>Rental costs of buildings and equipment</td>
<td>Royalties and other costs for use of patents</td>
</tr>
<tr>
<td>Scholarships and student aid costs</td>
<td>Student activity costs</td>
<td>Termination costs applicable to sponsored agreements</td>
<td>Training costs</td>
</tr>
<tr>
<td>Transportation (freight) costs</td>
<td>Travel costs</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Award Management – Financial Responsibilities

Regular (at least monthly) Index Reconciliation Should Include:

- Review for Allowable, Reasonable, and Allocable
- Salaries – expenditures should match effort certification
- Graduate Student Tuition & Fees – should only be for students appointed to project
- Travel Authorizations – only travel approved by funding agency
- Equipment Purchases
  - should be listed on award budget (or have other written agency approval)
  - Should not happen in last year of the Award
Award Administration – Financial Responsibilities

- **Cost Transfers**
  - Transactions that move expenses from one fund to another.
  - Should happen within 90 days from the discovery of an error, but no later than 15 days after the termination of the budget period of the award.
  - Must follow OMB A-21 requirements
    - Allowable
    - Allocable
    - Reasonable
    - Consistently treated
Award Management – Financial Responsibilities

- Cost Transfer Red Flags
  - Cost transfers on charges older than 90 days
  - Transfers made in the last two months of a grant
  - Transfers made after the grant has ended
  - Amounts that coincidentally zero out the remaining balance on a grant
  - Large dollar amounts
  - Explanations that raise more questions than answers
  - Large amount of transfers made on one grant
Award Management – Financial Responsibilities

Fund Deficits or Cost Overruns

- How To prevent
  - Review Balance at least monthly
  - Monitor Termination dates of Grants
  - Keep P.I. informed of available balance
  - Keep your Chair in the loop – deficit overruns will need to be covered by the P.I.’s department
Federal Regulations require that the University must certify effort that is devoted to sponsored projects including committed cost sharing effort.
Award Management – Effort Reporting

After the Fact Certification

- Method to reasonably confirm an individual’s time and effort as directly related to charges on a sponsored agreement
Award Management – Effort Reporting

Effort Certification is Completed 3 times per year

Once per Semester
Award Management – Effort Reporting

- Certification Report Should Include
  - All Regular Salaried work
  - All Research, Public Service, and Instruction
  - All Cost-Share
  - 100% of total **EFFORT**, not total Pay

- Certification should NOT include
  - Overtime / Overload time
  - Student Pay (unless person is also paid Graduate Assistant stipend)
What is Cost Sharing?

- The University’s portion of the total costs of a sponsored project

Categories of Cost Sharing:

- Mandatory – Stated in the proposal guidelines
- Voluntary Committed – Voluntarily written into the proposal
- Voluntary – Not required nor proposed in the budget
Award Management – Cost-Share Monitoring

Set-up for Cost Share

- Cost-Share Index Codes Established for all Cost-Share
- Department is responsible for ensuring that their cost-share commitment has been fulfilled
- Release time is automatically charged to Cost-share Index Codes as identified on Project Activation Form
Award Management – Cost-Share Monitoring

Requirements for Cost-Sharing per OMB Circular A-110:

- Verifiable
- Cannot be match for another project
- Necessary and Reasonable
- Allowable under OMB A-21
- Not Federal Funding, except where authorized
- Provided for in Approved award budget

http://www.whitehouse.gov/omb/circulars_a110/
What is Release Time

- Release Time is Regular Faculty pay that is paid by a source other than the Faculty member’s department to ‘pay’ for the person to be released from his/her teaching responsibility.
Award Management – Release Time Tracking

Types of Funding for Release Time

- Agency-Funded
- Department Cost-Share
- University Cost-Share
- Center of Excellence Cost-Share
- Faculty Research Awards
Award Management – Release Time Tracking

How Release Time is Processed

• Release Time is Identified on the Project Activation Form (PAF)
• A Labor Distribution Change Form is created based on the information on the PAF
• The Faculty Member’s Salary is adjusted so that a portion of his/her regular salary is paid directly from the source identified on the PAF for the period listed on the PAF
Award Management – Program Changes

- Program changes are requested on Request for Award Modification Form – new link here
  - No-cost extensions
  - Budget revisions—include Request for Budget Revision Form
  - Change in project scope or objectives
  - PI absence for > 3 months
  - Transfer of funds from direct to indirect
  - Inclusion of costs requiring prior approval
  - Issuance of subaward not originally identified
An Extension may be necessary if:

- Additional time is needed to assure completion of the original approved project’s scope and objectives
- Lack of success in locating and recruiting a graduate student with suitable capabilities
  - Extensive delay in production or shipment of key equipment or supplies
  - Transfer, illness or injury of key project personnel
  - Extended contract negotiations
- Agency funds only a partial amount of the proposed work due to budget constraints
- Subcontract experiences delays in completing tasks which in turn delay deliverables
  - Instrumentation downtime which delays testing/research
Contracting with Subrecipients

- Subrecipients should be chosen during the proposal process
  - Scope of work
  - Budget
- Subcontracts require approval of the Office of Research and the Vice President for Business Affairs-routed through Purchasing
- Web links for guidelines:
  - Office of Research - http://www.tntech.edu/research/monitoringsubrecipients/
  - Purchasing - http://www.tntech.edu/purchasing/contracting-for-services/
Post Award--Subrecipient Monitoring

- PI’s must monitor subcontracts during project for:
  - Deliverables
  - Reports
  - Financial reports/invoices

- Services Contract Monitoring Form is required to close out all subcontracts
  - Purchasing - [http://www.tntech.edu/purchasing/contracting-for-services/](http://www.tntech.edu/purchasing/contracting-for-services/)
Post Award – Project Closeout Form

Project Monitoring and Closeout Form

http://www.tntech.edu/images/stories/research/agreesforms/Project_Closeout_Form.pdf
Project Closeout

- Project closeout
  - Agency requirements
  - TTU/TBR requirements
Project Closeout

Departmental Pre-Expiration Review
- Request No-Cost Extension
- Finalize Expenditures
- Draft Final Reports
- If no NCE, begin completing Closeout Checklist

Departmental Post-Expiration Review
- Post Final Expenses
- Review Expenditure Report
- Send Cost Share Documents to Grant Accountant

Closeout
- On-Time Final Reports
- Finalize Closeout Checklist

-60 -45 -30 Award End Date
- +30 Days +45 +60 +90 +120

Advance Closeout Notification

PI verifies deliverables have been met by subcontractor(s)

Office of Research sends out closing documents to subcontractor(s)

 NSF-Approved No-Cost Extension required 45 days prior to project expiration

All project time extension requests should be submitted

Last day for changes or to provide evidence of agency-approved time extension

Last opportunity to check for errors (on-line expenditure statement date + 2 working days)
Project Closeout

- No-cost extension (flow down to subcontractors?)
- Budget changes > 10%
- Reports and deliverables
  - Final invoice
  - Final technical report/deliverables
  - Final inventory of property report
  - Final report of inventions and subcontracts
- Subcontracts
Project Closeout

- Closing out subcontracts
  - Final technical report/deliverables
  - Final invoice
  - Final inventory of property report
  - Final report of inventions and subcontracts

- Subcontract Monitoring Form
  - Due to Office of Research
Project Closeout – Record Retention

- Record retention follows:
  - Federal guidelines for federally funded projects – 3 years from date of final invoice
  - TBR guidelines for record retention
    http://www.tbr.edu/policies/default.aspx?id=1726