



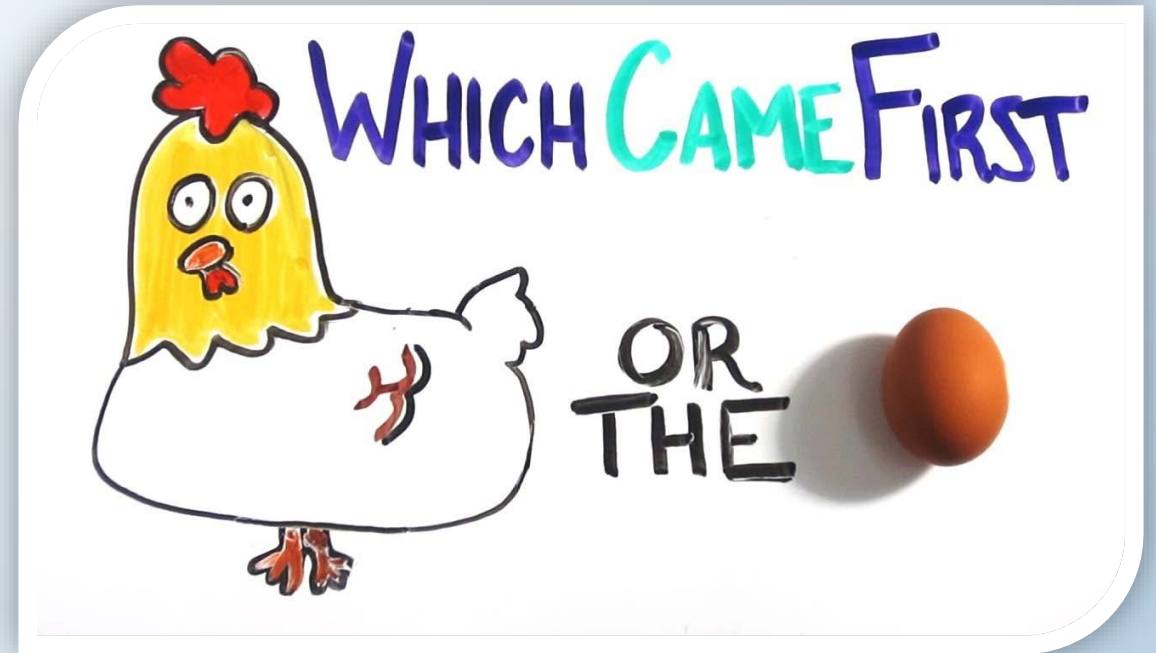
Bookkeeper Training

The Life Cycle of a Grant

The Project Life Cycle

- Let's be honest- most of us know that receiving a grant means we are receiving some sort of external money but who can answer the real question....

Which came first, the chicken or the egg?



Ok, let's get serious.....

The Project Life Cycle

The project life cycle has 7 stages.

1. Identify Funding
2. Proposal Development
3. Proposal Preparation
4. Proposal Submission
5. Project Start-Up
6. Award Management
7. Award Close-out



Stage 1: Identify Funding

- The pre-award phase begins when the agency plans for the solicitation through Notice of Funding Opportunity (NOFOs), also referred to as Request for Proposals (RFPs) and various other names. With the PI armed with the idea, it's time to identify potential funding sources. There are many types of research funding sources available.
 - Government Funding Sources
 - Corporations and Foundations
 - State Agencies

There are resources available for the Principal Investigator:
<https://www.tntech.edu/research/find-funding/>



Stage 2: Proposal Development

Next, the PI begins to develop the proposal's concept including:

- identifying the resources necessary to carry out the project
- giving notice of intent to submit the proposal to both the Office of Research and the department.

Typically, the program goals as well as a timeline for completing those goals is included.

Intent to Submit

Please complete and submit this form only to the following: (1) research@tntech.edu, (2) department chair, (3) college dean, (4) Center director (if applicable), and (5) other individuals as appropriate 30 days prior to proposal submission or **at the earliest possible time** you are preparing to apply for external funding. Complete, ready-to-submit proposals must be received in the Office of Research **no later than five (5) working days** from the Sponsor or Funding Agency deadline; otherwise your proposal might not be submitted or will be submitted without a review, which could reduce your chances of funding.

Today's Date: _____ Sponsor or Funding Agency Deadline: _____

Principal Investigator (PI): _____ Email Address: _____
Department of PI: _____ Center of PI (if applicable) _____

TTU Personnel: _____ Email Address: _____
Department or Center of Personnel: _____

TTU Personnel: _____ Email Address: _____
Department or Center of Personnel: _____

TTU Personnel: _____ Email Address: _____
Department or Center of Personnel: _____

Sponsor or Funding Agency: _____ Anticipated Project Start and End Dates: _____ | _____
Solicitation Number, CFDA, and/or Title of Solicitation: _____
Preliminary Proposal Title: _____

Will this proposal be submitted via a Center?: Yes No If yes, which Center: _____

Have you completed the Responsible Conduct of Research (RCR) training modules at TTU?: Yes No *If no, complete RCR training prior to proposal submission.*

List any special equipment/facilities needed for this project: _____

How may the Office of Research assist you? (check all that apply)

<input type="checkbox"/> Review of solicitation/proposal planning	<input type="checkbox"/> Letter of intent or pre-proposal
<input type="checkbox"/> Budget development	<input type="checkbox"/> Graphics support
<input type="checkbox"/> Application forms	<input type="checkbox"/> Proof reading and/or editing
<input type="checkbox"/> Review of proposal sections to ensure solicitation guidelines and evaluation criteria are met.	<input type="checkbox"/> No assistance requested

Note: Complete, ready-to-submit proposals must still be received by the Office of Research no later than five working days from the sponsor or funding agency deadline.

Form is available online at <https://www.tntech.edu/research/forms>. Click on the Intent to Submit Form link under the Pre-Award section toward the middle of the page. Intent_to_Submit_122015

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Stage 3: Proposal Preparation

With the thoughts gathered, the PI puts pen to paper and prepares their proposal nailing down details such as:

- ❑ the research plan,
- ❑ the budget,
- ❑ the timeline,
- ❑ completing any sponsor-specific and University-required forms.



Stage 3: Proposal Preparation

There is a wide range of assistance available for the PI during the proposal preparation stage such as:

- Review of solicitation/proposal planning
- Budget Development
- Application Forms
- Review of proposal sections to ensure solicitation guidelines and evaluation criteria are met
- Letter of intent or pre-proposal
- Graphics support
- Proof reading and/or editing



Stage 4: Proposal Submission

Once the proposal is prepared, the proposal documents along with a completed Proposal Endorsement Form (PEF) is submitted to the Office of Research at least 5 days before the deadline for:

- ✓ review and administrative approval.
- ✓ submission to the sponsor.

Checkout the complete proposal submission checklist at:

https://www.tntech.edu/assets/usermedia/cis/getting-started-with-a-grant/Five_Day_Proposal_Check_list_1.pdf

Revised 6/13/2018
 Paper Color | Blue-Water Center | Gold-University (Grant/Contract not administered by a Center) | Green-Manufacturing | Pink-STEM Center | Yellow-Energy

PROPOSAL ENDORSEMENT FORM (PEF) Proposal No. _____
 Tennessee Technological University | Office of Research | Derryberry Hall, Room 128

Proposal Title: _____
 Funding Agency: _____
 Agency Address: _____
 Program Officer Info: _____

Submission Type: New Proposal Proposed Project Period: (MM/DD/YY)
 ♦ Start Date: _____
 ♦ End Date: _____

Category: _____ Project Type: _____

● **Grant Personnel: Personnel codes: 001-Pi; 002-Co-Pi**

Any individual who holds a full-time position, such as tenured, tenure track, non-tenure track research, director of a state-designated Center or University Center may serve as a Principal Investigator/Project Director for sponsored activities, and be responsible for a contract or grant. In addition, an individual who holds the position of Lecturer, Instructor, Adjunct/Affiliate, Emeritus, or part-time faculty (50% appointment) may serve as a Principal Investigator/Project Director for sponsored activities if he or she receives the approval of his or her chair and dean as shown by their signatures on this form and a tenured or tenure-track research faculty or director is named as co-investigator on the project.

Name	T-Number	Personnel Code	College	Dept.	Center

● **Senior Personnel: Personnel code: 007-Senior Personnel**

Name	T-Number	Personnel Code	College	Dept.	Center
		007			
		007			
		007			
		007			

● **Other Personnel: Personnel codes: 003-Support Personnel; 004-Bookkeeper; 005-Subrecipient Monitor**

Name	T-Number	Personnel Code	College	Dept.	Center

The table below should include all budget-related items as submitted to the funding agency (i.e., all requested funds and required cost share).

	Agency	Departmental Cost Share	Center Cost Share	TTU Cost Share	Other and/or In-Kind Cost Share
1. Total Direct Costs					
2. Modified Total Direct Costs					
3. Indirect Cost Rate Used (Attach supporting documentation if different from TTU rate)	%	%	%	%	%
4. Total Indirect Costs	Recovered	Contributed	Contributed	Contributed	Contributed
5. Indirect Cost Waived					
6. Total Project Funds					

Cost share: **Mandatory** or **Voluntary** If cost share is mandatory, provide documentation (e.g., solicitation, email from program officer, etc.).

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Then we wait....

Not every proposal that gets submitted is funded. Proposals may be rejected for a variety of reason:

Problem (Significance) 58%

- The proposed research is based on a hypothesis that rests on insufficient evidence, is doubtful, or is unsound.
- The description of the nature of the research and of its significance leaves the proposal without a clear research aim.

Approach (73%)

- The overall design of the study has not been carefully thought out.

Investigator (55%)

- The investigator does not have adequate experience or training for this research.

Other (16%)

- The requirements for equipment or personnel are unrealistic.
- The institutional setting is unfavorable.



And then....

The heaven's
open....



the agency
hands us some
money....



...and game on!



Stage 5: Project Start-Up

When the proposal is funded the University and PI will receive award notification from the sponsor and Project Start-Up begins.

In this step, the Grant Activation Form is completed and sub-agreements, if applicable, are created and the FOAPAL is assigned for the award index and any match indexes that may have been in the proposal.

Updated 6/23/2018 | Paper Color: Blue Water Center | Gold University (Grant/Contract is not administered by a Center) | Green Manufacturing | Pink STEM Center | Yellow Energy

GRANT ACTIVATION FORM (GAF)

Tennessee Technological University
Office of Research | Derryberry Hall, Room 155

Proposal No. (Required to process GAF) _____ **Activation No.** _____

Grant Accounting Use _____ **Index No.** _____
Grant No. _____ **Org** _____

Fund _____ **Prog** _____

PROJECT TITLE

Project Abstract Submit a non-technical summary of this project using the [Office of Research Abstract Form](#). **Period of Project**
(must be actual dates of project)
From: ___/___/___
To: ___/___/___

Funding Agency _____

Category _____

Project Type _____

CFDA Number (for federally funded programs only) _____ **Period of Activation**
(must be actual dates of THIS activation)
From: ___/___/___
To: ___/___/___

GRANT PERSONNEL

NAME	T-Number	Personnel Code	College	Dept.	Center

PERSONNEL CODES: 001 (PI), 002 (CO-PI), 003 (SUPPORT PERSONNEL), 004 (BOOKKEEPER), 005 (SUBRECIPIENT MONITOR), 007 (SENIOR PERSONNEL)

	AGENCY	DEPARTMENTAL COST SHARING		CENTER COST SHARING		TTU/OTHER COST SHARING	Justification of Cost Sharing Mandatory <input type="radio"/> Voluntary <input type="radio"/> Comments <div style="border: 1px solid black; height: 60px; width: 100%;"></div>
		Recovered %	Contributed %	Contributed %	Contributed %		
1. TOTAL DIRECT COSTS	\$ 0.00	\$	\$	\$	\$	\$ 0.00	Reason for Waived IDC <div style="border: 1px solid black; height: 60px; width: 100%;"></div>
2. MODIFIED TOTAL DIRECT COSTS	\$	\$	\$	\$	\$	\$	
3. INDIRECT COST RATE USED							
4. TOTAL INDIRECT COSTS	\$	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
5. INDIRECT COST WAIVED	////	////	////	////	////	\$ 0.00	
6. TOTAL PROJECT FUNDS	\$	\$	\$	\$	\$	\$	

Stage 6: Award Management

And, the research begins. The PI will start charging supplies, etc. to the award as approved in the proposal budget. Now we are in the Award Management cycle.

Activities that are part of Award Management that continue throughout the life of the grant include:

- Monthly budget and expenditures reviewing,
- progress reporting,
- time and effort reporting and sponsor invoicing.



Stage 7: Closeout

At the completion of the grant, the Award Close-Out begins at which time project budgets are reconciled and closed and a final performance report is sent to the sponsor.



Revised 6/12/2018

Index No. _____ Fund No. _____

Tennessee Tech University • Office of Research PROJECT CLOSEOUT FORM

1. Title: _____
2. Funding Agency: _____
3. Grant Personnel: _____

Name	College	Dept.	Center



NO-COST EXTENSION (To be completed by the Principal Investigator)

Yes No N/A Is a *no-cost extension* needed (if so, the Request for Budget or Program Revision [form](#) must be completed, and the Office of Research will forward the request to the agency)?

Signature: _____ Date: _____

Comments: _____

That completes the cycle!



Forms Recap:



Intent to Submit

Please complete and submit this form only to the following: (1) research@tntech.edu, (2) department chair, (3) college dean, (4) Center Director (if applicable), and (5) other individuals as appropriate 30 days prior to proposal submission or at the earliest possible time you are planning to apply for external funding. Complete, ready-to-submit proposals must be received in the Office of Research no later than **five (5) working days** from the Sponsor or Funding Agency deadline; otherwise your proposal might not be submitted or will be submitted without a review, which could reduce your chances of funding.

Today's Date: _____ Sponsor or Funding Agency Deadline: _____

Principal Investigator (PI): _____ Email Address: _____
 Department of PI: _____ Center of PI (if applicable): _____

TU Personnel: _____ Email Address: _____
 Department or Center of Personnel: _____

TTU Personnel: _____ Email Address: _____
 Department or Center of Personnel: _____

Sponsor or Funding Agency: _____ Anticipated Project start and end Dates: _____
 Solicitation Number, CTA, a no./or title of solicitation: _____
 File Internal Proposal Title: _____

Will this proposal be submitted via a Center? Yes No. If yes, which Center: _____

Have you completed the Response File Card, List of Research (RFL) and/or TTU _____ Yes No (see complete instructions to proposal submitters)

List any special requirements/files needed for this project: _____

How may the Office of Research assist you? (check all that apply)

Review of solicitation/proposal planning Letter of intent or pre-proposal
 Budget development Grants support
 App. assistance Proposal reading and/or editing
 Review of proposal sections to ensure solicitation guidelines and evaluation criteria are met. No assistance requested

Note: Complete, ready-to-submit proposals must still be received by the Office of Research no later than five working days from the sponsor or funding agency deadline.

Form is available online at <https://www.tntech.edu/research/forms>. Click on the Intent to Submit form link under the Proposed section on the right side of the page.

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PROPOSAL ENDORSEMENT FORM (PEF)

Submission Type: New Proposal Revision

Proposed Project Period (MM/DD/YYYY): _____
 Start Date: _____ End Date: _____

Category: Grant Personnel: Personnel codes: 002-PH, 002-Q-PH

Grant Personnel:

Name	T-Number	Personnel Code	College	Dept.	Center
		007			
		007			
		007			

Senior Personnel:

Name	T-Number	Personnel Code	College	Dept.	Center
		007			
		007			
		007			

Other Personnel:

Name	T-Number	Personnel Code	College	Dept.	Center
		007			
		007			
		007			

Use share: Mandatory or Voluntary If cost share is mandatory, provide documentation (e.g., no cost share program or flyer, etc.).

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GRANT ACTIVATION FORM (GAF)

Project Title: _____

Project Abstract: _____

Funding Agency: _____

Category: _____

Project Type: _____

CTDA Number: _____

GRANT PERSONNEL

NAME	T-Number	Personnel Code	College	Dept.	Center

DIRECT COSTS

	AGENCY	DEPARTMENTAL COST SHARING	CENTER COST SHARING	TTU/OTHER COST SHARING	Justification of Cost Sharing: <input type="radio"/> Mandatory <input type="radio"/> Voluntary <input type="radio"/> Other
1. TOTAL DIRECT COSTS	\$ 0.00	\$	\$	\$ 0.00	Reason for Waived IDC
2. MODIFIED TOTAL DIRECT COSTS	\$	\$	\$	\$	
3. INDIRECT COST RATE USED	percentage %	Cost-based %	Cost-based %	Cost-based %	
4. TOTAL INDIRECT COSTS	\$	\$ 0.00	\$ 0.00	\$ 0.00	
5. INDIRECT COST WAIVED	\$	\$	\$	\$ 0.00	
6. TOTAL PROJECT FUNDS	\$	\$	\$	\$	

Tennessee Tech University • Office of Research

PROJECT CLOSEOUT FORM

1. Title: _____

2. Funding Agency: _____

3. Grant Personnel: _____

Name	College	Dept.	Center

PROJECT PRE-EXPIRATION

NO-COST EXTENSION (To be completed by the Principal Investigator)

Yes No N/A In a no-cost extension needed (if so, the Request for Budget or Program Revision Form must be completed, and the Office of Research will forward the request to the agency)?

Signature: _____ Date: _____

Comments: _____

Revised 6/23/2018 Index No. _____ Fund No. _____

Revised 03/15/2018

All of the Office of Research forms can be found at:
<https://www.tntech.edu/research/forms/>

Completing the new
**Grant Activation
Form (GAF)**



Same form, new look!

DIRECT COSTS	AGENCY	DEPARTMENTAL COST SHARING	CENTER COST SHARING	TTU/OTHER COST SHARING	
61610 Perm. Full-Time Grant Funded	\$ 18,346.00	\$ 33,087.00			Justification of Cost Sharing Mandatory <input checked="" type="radio"/> Voluntary <input type="radio"/> Comments 1:1 Match Required. Total Cost-share, including in-kind support, is \$118,000.
61611 Professional Support Salaries/Temporary	\$ 25,350.00				
61410 Student Salaries & Wages	\$ 3,870.00				
62000 Employee Benefits	\$ 25,767.00	\$ 11,580.00			
73000 Travel Budget Pool	\$ 8,000.00				
74000 Operating Expense Budget Pool	\$ 17,000.00				
In-Kind Support				\$ 32,940.00	
				\$ 0.00	
1. TOTAL DIRECT COSTS	\$ 98,334.00	\$ 44,667.00	\$	\$ 32,940.00	Reason for Waived IDC Agency required 20% IC Rate to be used.
2. MODIFIED TOTAL DIRECT COSTS	\$ 98,334.00	\$ 44,667.00	\$	\$ 0.00	
3. INDIRECT COST RATE USED	20 covered %	42 ntributed %	Contributed %	0 Contributed %	
4. TOTAL INDIRECT COSTS	\$ 19,667.00	\$ 18,760.00	\$ 0.00	\$ 0.00	
5. INDIRECT COST WAIVED	////	////	////	\$ 21,633.00	
6. TOTAL PROJECT FUNDS	\$ 118,000.00	\$ 63,427.00	\$	\$ 54,573.00	

So what changed?

- ✓ New Departmental Cost Sharing column.
- ✓ In-Kind Support has been added to the drop-down list.
- ✓ Larger section for the comments

We are now collecting data such as:

- Modified Total Direct Costs
- Indirect Cost Rate Used



AND....

- Waived Indirect Costs

So how do I complete the GAF?

I'm glad you asked! Let's look at the proposal budget to see how the information can be transferred to the GAF.

- **Total Direct Costs** are those that can be specifically and easily identified with a particular project or activity and are allowable under the sponsoring organizations guidelines.
- **Modified Total Direct Costs:** consist of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract) and exclude capital expenditures (buildings, individual items of equipment; alterations and renovations).
- **Indirect Cost Rate:** TTU's federally negotiated rate is 42%.
- **Total Indirect Costs:** are those costs that cannot be easily and specifically identified with a particular project. These costs are also sometimes called "facilities and administrative costs (F&A)" or "overhead." The terms indirect costs, overhead costs, and F&A costs are synonymous. These indirect costs are different than direct costs.
- **Indirect Cost Waived:** if a rate less than 42% was used there will be waived indirect costs.
- **Total Project Funds:** this is the total direct costs plus the indirect costs.

	YEAR 2 Agency	YEAR 2 TTU
a. Personnel		
Total Personnel	47,566	33,087
b. Fringe Benefits		
Total Fringe Benefits	25,767	11,580
c. Travel		
Total Travel	8,000	-
e. Supplies		
Total Supplies	7,000	-
h. Other		
Biz Foundry (In-kind)	-	32,940
Total Other	10,000	32,940
i. Total Direct Charges (sum a-h)	98,334	77,607
Modified Total Direct Costs (less equip & other)	98,334	44,667
20% of Total Direct Costs	19,667	
42% of Modified Total Direct Costs		18,760
Waiver of 22% of Modified Total Direct Costs		21,633
k Totals (sum i-j)	118,000	118,000

	YEAR 2 Agency	YEAR 2 TTU
k Totals (sum i-j)	118,000	118,000
Waiver of 22% of Modified Total Direct Costs		21,633
42% of Modified Total Direct Costs		18,760
20% of Total Direct Costs	19,667	

We hope that helped....

Thank you !

.... Questions ?



Upcoming Training Modules

- **Module 3:** Project Startup & Activation
- **Module 4:** Understanding Personnel Types & Account Codes
- **Module 5:** Cost-sharing
- **Module 6:** Revisions & Changes

