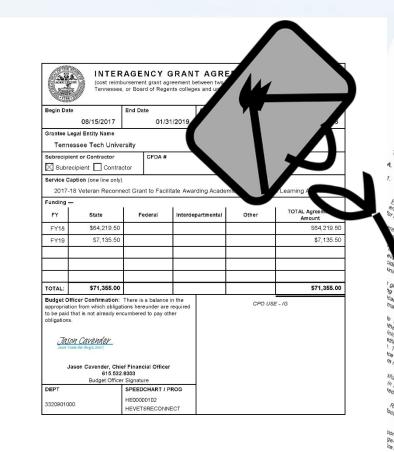


## Bookkeeper Training

Project Startup & Activation

#### The contract has arrived! Here we go....





ATTACHMENT B

BILL HASLAM

and Directors of Tennessee

at Grant Request for Proposals

Commission (THEC) is pleased to announce the third (RFP) for Veteran Reconnect Grants. This initiative is a خ, Governor Haslam's goal of equipping 55 percent of th a degree or certificate by 2025.

ards in 2015. Veteran Reconnect Grants have funded campus arans and provided veteran-specific resources, such as the nters and professional development for faculty and staff on the its with military experience.

tutional efforts to improve the assessment of prior learning dent veterans. There are an estimated 83,000 veterans in college credits, but no degree.1 For these veterans attempting ther education, the ability to obtain credit for their military a driver of institutional choice, and a reason to return to college.

Higher Education Commission intends to fund initiatives that will: (1) valuation processes for translating military training to academic credit; icies that clarify and support the alignment of academic ary training; and, (3) improve communication strategies to ensure this ation is available to veterans before they enroll.

merican Community Survey (2010-2014) 5 yr. estimates. Public Use Microdata.

#### Appendix C: Budget

NT	BUDGET
be	applicable only to expenses incurred during the
	END : January 31, 2019

	END : January 31, 2019												
r <sup>1</sup>	GRANT CONTRACT	GRANTEE PARTICIPATION	TOTAL PROJECT										
H	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
ice,	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										
	\$0.00	\$0.00	\$0.00										

fined by the Department of Finance and ng Requirements and Cost Allocation Plans for nies, Appendix A. (posted on the Internet at: policy3.pdf). tem is funded.

#### Project Startup & Activation

- The contract approval and grant activation process is the mechanism whereby principal investigators/project directors and appropriate administrators review and agree to the University's obligations to a project and all original contractual documents are provided to the Business Office.
- Grant agreements, contracts, cooperative agreements etc., are reviewed in the Office of Research to ensure that they are in compliance with University and federal and state policies and regulations prior to being accepted by the University.

Note: grant agreements, contracts, and cooperative agreements are all legal instruments used to enter into a relationship with the entity granting funds. While there are slight differences in definition, for the purposes of this training, the word "contract" will be used.

### Project Startup | Overall Procedure

- The President of the University has been designated to approve and sign all contracts between the University and outside agencies. The President has delegated responsibility to the Associate Vice President for Research for reviewing and signing all contracts for compliance with policies and regulations relative to those contracts processed through the Office of Research.
- After a contract has been fully executed (i.e. approved by the University, as indicated by the signature of the President or Associate Vice President for Research, and the funding agency), the project must be "activated" through an internal review process to obtain an account number prior to payment for expenses and invoicing to the agency. Unless the contract states otherwise, all expenses chargeable to the contract must occur during the contract period.

#### Project Startup | Implementation

- When a contract is received from an agency, it should immediately be sent to the Contract Compliance Specialist in the Office of Research for review and determination of its acceptability. This includes compliance with University and federal and state policies, laws, and regulations.
- The Office of Research will consult with the principal investigator and other stakeholders as needed to ensure they are knowledgeable of the contract. The Associate Vice President for Research, with assistance from the Contract Compliance Specialist, will be responsible for negotiating any changes with the agency.

#### Pre-activation | Procedure

- In special cases where approval of a contract by the funding agency and the University has been assured, it is possible to preactivate the project; i.e., to activate prior to receiving the fully executed contract. If this is done, the unit initiating the preactivation request is responsible for covering all expenditures if the contract, for some unforeseen reason, is not approved.
  - See website for more details on pre-activating funds.

# This section is required only if requesting to pre-activate the project (to activate prior to receiving the fully executed contract). There may be occasions when the agency allows a pre-activation. In the event that the award does not materialize or pre-award costs are not allowable under the terms and conditions of the award, the requesting department/unit will be responsible for covering all funds expended and any liability issues that arise. Drawing funds from a pre-activated account constitutes acceptance of liability for those costs. By selecting this box, you confirm that you are authorizing the project to be pre-activated and assuming the conditions above. Provide the index number that will be used to cover any pre-award costs incurred in the event that an award is not made, or pre-award costs are not allowable under the terms and conditions of the award: 2-\_\_\_\_\_\_ (must be an unrestricted index).

**Bookkeeper Training** 

## Grant Activation Form (GAF)



#### Grant Activation

 To activate a contract after it has been signed by all parties, an internal Grant Activation Form must be completed, reviewed, and approved by all appropriate persons. Relevant information, such as the contract and budget documents, should be attached to the activation form.

https://www.tntech.edu/research/forms.php/

GRANT ACTIVATI	ON FORM		roposal No. (Required t	o process GAF)		Activation	No.
ennessee Technologic	I University		Grant Accounting I				
ffice of Research   De	erryberry Hall,		Grant No Fund:				
			runu:		Prog:		
PROJECT INFO	RMATION						
Project Title					Len	gth of T	otal Project
Project Abstract	Submit a r Abstract F		nmary of this project us	sing the Office of Resear	77,000,000	From: _	
unding Agency							quired? YO NO
Category		Proje	ct Type		<u>Peri</u>	od this A	ctivation
FDA Number	(for federa	ally funded progra	ams only)			From: _	<del></del>
GRANT PERSO		2 (50 00) 003 (510	ORODI DEDCOMBIELL OOM (F	DO OWEEDED! OOF ISLINGED			TARIOD DEDCOMBIELS
NAME	T-Numbe		ersonnel Code	College College	Dept.	OR), 007 (SE	Center
DIRECT COST	s	AGENCY	DEPARTMENTAL COST SHARING	. CENTER COST SHARING	TTU/OT		
DIRECT COST	s	AGENCY					Justification of
DIRECT COST	s	AGENCY					Justification of Cost Sharing
DIRECT COST	s	AGENCY					Cost Sharing Mandatory
DIRECT COST	s	AGENCY					Cost Sharing
DIRECT COST	s	AGENCY					Cost Sharing Mandatory
DIRECT COST	s	AGENCY					Cost Sharing Mandatory O Voluntary
DIRECT COST	S	AGENCY					Cost Sharing Mandatory O Voluntary
DIRECT COST	s	AGENCY					Cost Sharing Mandatory O Voluntary
DIRECT COST	s	AGENCY					Cost Sharing Mandatory O Voluntary
DIRECT COST	s	AGENCY					Cost Sharing Mandatory O Voluntary
DIRECT COST		AGENCY \$ 0.00					Cost Sharing Mandatory O Voluntary
	T COSTS		COST SHARING	SHARING	COST SH		Cost Sharing Mandatory Voluntary Comments
TOTAL DIRECT     MODIFIED TO DIRECT COST     INDIRECT COST	rt costs DTAL S	\$ 0.00	COST SHARING \$ 0.00 \$	\$ 0.00 \$	COST SH/		Cost Sharing Mandatory Voluntary Comments  Reason for Waive
TOTAL DIREC     MODIFIED TO DIRECT COST	IT COSTS DTAL S ST RATE	\$ 0.00	COST SHARING \$ 0.00 \$	\$ 0.00 \$	COST SH/	ARING	Cost Sharing Mandatory Voluntary Comments  Reason for Waiver
TOTAL DIREC     MODIFIED TO DIRECT COST     INDIRECT COUNSED	IT COSTS DTAL S ST RATE ECT COSTS	\$ 0.00 \$ Recovered %	\$ 0.00 \$	\$ 0.00 \$ Contributed %	COST SHA	ARING	Cost Sharing Mandatory Voluntary Comments  Reason for Waiver

- Proposal No.: Previously assigned by OoR.
   Reference the Proposal Endorsement Form (PEF).
- Activation No.: Will be assigned by OoR. Leave blank.
- Grant Accounting Use: Grant Accounting will complete this information and assign an index number. Leave blank.

#### **Project Information and Grant Personnel**

 Project information such as Title, Funding Agency, Project Type, Project Dates as well as Grant Personnel would have been listed on the PEF and other proposal documents and should be confirmed with Pl.

GRANT ACTIVAT	ON FORM (GAF) Proposal No. (Required to process GAF)	Activation No.
Tennessee Technologic	A CONTROL A CONTROL AND A CONT	Index No Org: Prog:
PROJECT INF	ORMATION	
Project Title		Length of Total Project
	Submit a non-technical summary of this project using the Office of Research Abstract Form.	Date From: Date To:
Project Abstract	ABSTRUCT OTTI	Date 10.
	<u> </u>	New Index Required? Y N
Project Abstract Funding Agency Category	Project Type	

Length of Total Project: 7/1/2018 – 6/30/2021 Period this Activation: 7/1/2018 – 6/30/2019 \* Only activate one year at a time.

#### **Completing the Budget Section**

- Direct Costs: select from the account code listing in the drop-down menu.
- Cost-share: Departmental, Center and Other may apply. Select radial button.
- Total Direct Costs: sum of all costs.
- Modified Total Direct Costs: this would be the base used for calculating indirect costs and may exclude items such as equipment, participant support, capital expenses, and that portion of each subaward in excess of \$25,000.
  - See rate agreement.

## This should only be new money that has not previously been listed on another activation.

	DIRECT COSTS	AGENCY	DEPARTMENTAL COST SHARING	CENTER COST SHARING	TTU/OTHER COST SHARING	
In-Kind Support Program Income 61111 Administrative Salaries Temporary 61131 Administrative Salaries Release Time 61210 Faculty Regular Salary 61231 Faculty/Acad Release Time 61241 Faculty Summer School   Research Pay 61245 Faculty and Acad Adjuncts 61245 Faculty and Acad Adjuncts 61245 Faculty Acad GA's						Justification of Cost Sharing Mandatory Voluntary Comments
	•					
1.	TOTAL DIRECT COSTS	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
2.	MODIFIED TOTAL DIRECT COSTS	\$	\$	\$	\$	Reason for Waived IDC
3.	INDIRECT COST RATE USED	Recovered %	Contributed %	Contributed %	Contributed %	
4.	TOTAL INDIRECT COSTS	\$	\$	\$	\$	
5.	INDIRECT COST WAIVED				\$	
6.	TOTAL PROJECT FUNDS	\$	\$	\$	\$	

#### **Completing the Budget Section**

- Indirect Cost Rate Used: reference the proposal budget.
- Total Indirect Costs: this is MTDC x Rate
- Indirect Cost Waived: TTU has a federally negotiated rate of 42% for on-campus projects and 11.5% for off-campus projects. If any other rate was used, then waived IC's should be calculated on MTDC.
  - Example: A15% rate was used with MTDC \$10,000. The calculation would be 42% 15% = 27% and then 27% x \$10,000 = \$2,700 of waived indirect costs. This amount could go under line 5 TTU/Other Cost Sharing.

## This should only be new money that has not previously been listed on another activation.

	DIRECT COSTS	AGENCY	DEPARTMENTAL COST SHARING	CENTER COST SHARING	TTU/OTHER COST SHARING	
		•				Justification of
In-Kind Supp	ort	^				Cost Sharing
Program Income 61111 Administrative Salaries Temporary						Mandatory O
61210 Facult	histrative Salaries Release Time by Regular Salary					Voluntary 🔘
61241 Facult	ty/Acad Release Time ty Summer School   Research Pay					, 0
61242 Facult 61243 Facult	ty and Acad Adjuncts ty/Acad GA's	~				Comments
		•				
		•				
		•				
		-				
		•				
		•				
		•				
		•				
		·				
1.	TOTAL DIRECT COSTS	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
2.	MODIFIED TOTAL	\$	\$	\$	\$	Reason for
	DIRECT COSTS					Waived IDC
3.	INDIRECT COST RATE USED	Recovered %	Contributed %	Contributed %	Contributed %	
4.	TOTAL INDIRECT COSTS	\$	\$	\$	\$	
5.	INDIRECT COST WAIVED	WHIHIIIII.			\$	
6.	TOTAL PROJECT FUNDS	\$	\$	\$	\$	

#### Source of Cost-Share | Departmental Info

- List the index providing the match and give a cost break-down. This should mirror the budget revision that would be prepared moving monies from the departmental index into the match index.
  - Example: Professor Doe is contributing \$1,500 in release time. His base index is 210555 with account code 61210-Faculty Salaries.

Acct Code	Index Code	Cost Shared Items	Amount
61210	210555	Professor Doe Release Time	\$1,500
62000	210555	Professor Doe Fringe Benefits	\$525

- This table represents where the monies are coming from.
- Be sure to attach the budget revision required by the Business Office!

Source of Cost-Share   Departmental Information Attach Budget Revision (Note: If this is a new project, leave the grant FOAPAL blank and Grant Accounting will complete once an index number has been assigned.)											
Account Code	Index Code	Cost Shared Items Such As Computer Time, Benefits, Travel, Etc.	Amount								

By listing the percent of effort below, a portion of the employee's salary will be redistributed in Banner HR to reflect what is provided in the table. Space has been provided to include the year below each month for projects that overlap calendar years. If a new or revised PAF will be done on the employee, it is unnecessary to enter the percent effort below. Summer pay is not paid from this form. Please see the policies and procedures for summer pay posted online. This table is primarily for faculty release time, account code 61231. Should additional account codes be needed, see the Banner HR page.

Name (first initial/ last name)	T. No.	Acct. Code	Jan	E	Mar	Apr	May	June	July	Aug	Sept	Oct.	Nov	Dec	Source of Release (Index# If available)
					12	70									

REQUEST FOR PRE-ACTIVATION
This section is required only if requesting to pre-activate the project (to activate prior to receiving the fully executed contra
There was be appeared in the second allows a second of the second that the second days and restart for an are according to

There may be occasions when the agency allows a pre-activation. In the event that the award does not materialize or pre-award cost are not allowable under the terms and conditions of the award, the requesting department/unit will be responsible for covering all funds expended and any liability issues that arise. Drawing funds from a pre-activated account constitutes acceptance of liability for those costs.

By selecting this box, you confirm that you are authorizing the project to be pre-activated and assuming the conditions above.

Provide the index number that will be used to cover any pre-award costs incurred in the event that an award is not made, or pre-award costs are

APPROVALS

DECLIFET FOR DRE ACTIVATION

not allowable under the terms and conditions of the award: 2-

#### **Listing of Percent Effort**

- This table is used primarily by Grant Accounting and HR. It tells them how to redistribute the employee's (EE) pay.
- It is the PI's responsibility to tell you which months they will be released.
  - Example: say the EE was paid 100% out of their departmental index. Now that they've got 4.80% release, the percentages will change to 95.2% department and 4.80% release.

By listing the percent of effort below, a portion of the employee's salary will be redistributed in Banner HR to reflect what is provided in the table. Space has been provided to include the year below each month for projects that overlap calendar years. If a new or revised PAF will be done on the employee, it is unnecessary to enter the percent effort below. Summer pay is not paid from this form. Please see the policies and procedures for summer pay posted online. This table is primarily for faculty release time, account code 61231. Should additional account codes be needed, see the Banner HR page.

Name (first initial/ last name)	T. No.	Acct. Code	Jan	Feb	Mar	Apr	Мау	June	July	Aug	Sept	Oct	Nov	Dec	Source of Release (Index # If available)

			Account														Source of
	Name	T Number	Code	Jan	Feb	Mar	Apr	May_	Jun	_ Jul_		Aug	Sep	Oct	Nov	Dec	Release
	Dr. Doe	T0055555	61231	4.80%	4.80%	4.80%	4.80%	Γ.	Would need to enter the		r tho	4.80%	4.80%	4.80%	4.80%	652555	
Ī									would ne	eu to e	пе	i tile					
								,	year besid	es the	mo	nth.					

- Lastly, the PI would obtain the necessary signatures and forward the completed form to the Contract Compliance Specialist in the Office of Research.
- Documents to accompany the GAF:
  - An electronic copy of the contract if our office was not copied on previous correspondence.
  - Awarded budget and budget justification
    - It should be very clear why you are activating the monies into the accounts codes chosen. If not, please explain.

	ng to pre-activate the project (		eu contracti.
are not allowable under the terms and funds expended and any liability issues those costs.	conditions of the award, the red that arise. Drawing funds from	e event that the award does not materialize or questing department/unit will be responsible for a pre-activated account constitutes acceptance roject to be pre-activated and assuming the co	or covering all e of liability for
Provide the index number that will be used not allowable under the terms and condition	And the state of t	rred in the event that an award is not made, or pro (must be an unrestricted index).	e-award costs are
APPROVALS			
Project Pl Note: By signing, you certify that if you lead deliverables on the award have been met, final project reports and closeout form.	**		
Note: By signing, you certify that if you lead deliverables on the award have been met, final project reports and closeout form.	e the university, all	Associate VP for Research	Date
Note: By signing, you certify that if you leav deliverables on the award have been met,	ve the university, all including the submission of	Associate VP for Research  Manager, Grant Accounting	Date Date

Bookkeeper Training

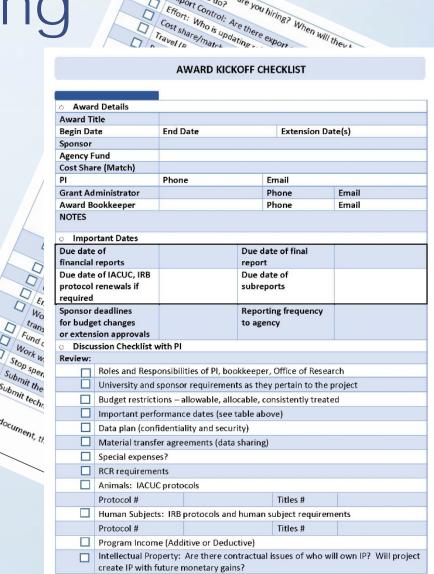
## Award Kick-off Meeting



#### Award Kickoff Meeting

In November 2018, the Office of Research started holding award kickoff meetings with the PI, AVP for Research, project bookkeeper and the Contract Compliance Specialist.

The purpose of these meetings is to ensure that all attendees are aware of their role/responsibilities on the project and all details related to the specific award are understood.



#### We hope that helped....



## **Upcoming Training Modules**

- Module 4: Understanding Personnel Types & Account Codes
- Module 5: Cost-sharing
- Module 6: Revisions, Changes
   & Closeout

