# Sponsored Projects and Finance Training for PI's at Navajo Technical University

July 9, 2021
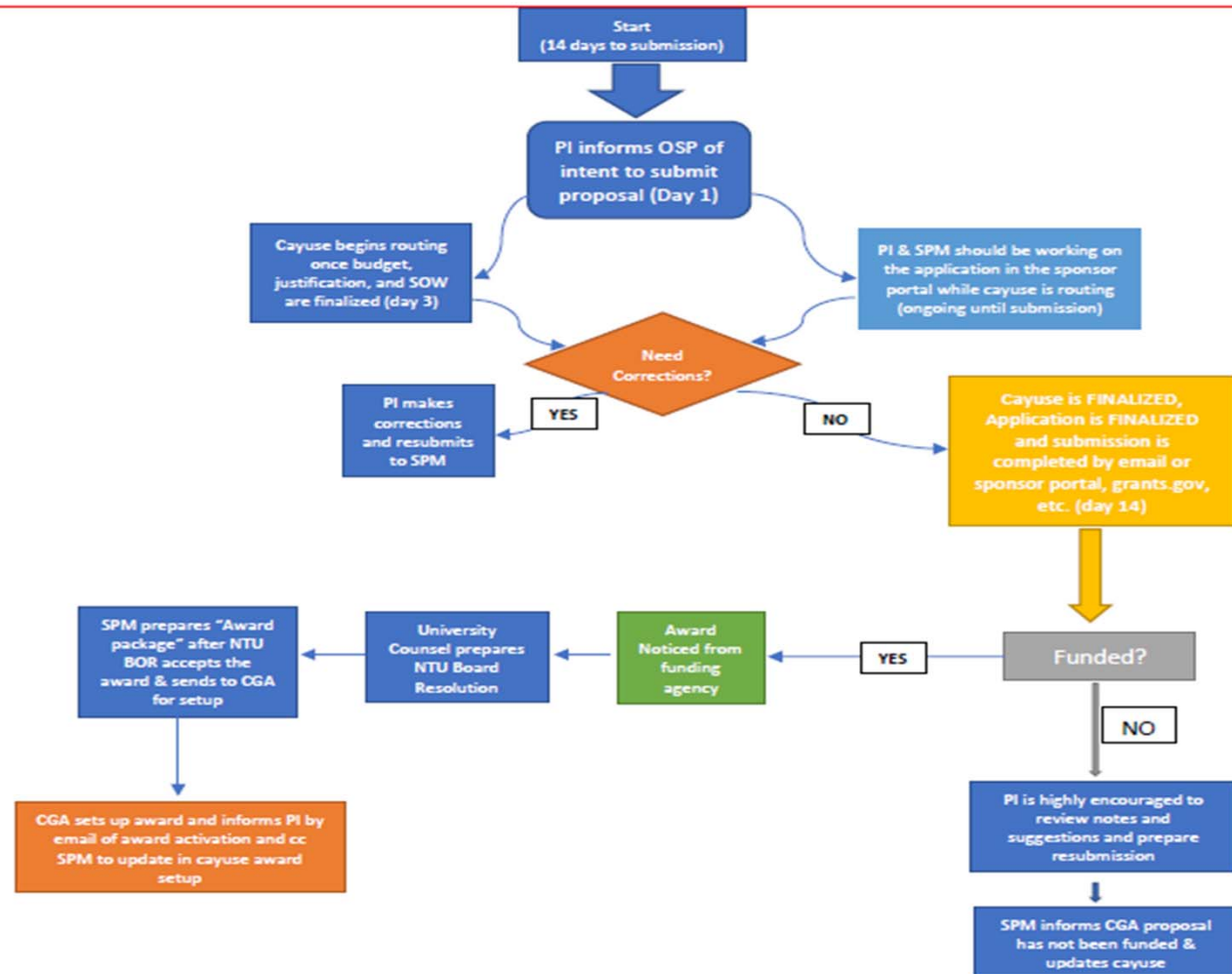
# Pre Award Cycle

Sponsored Projects Office

Tomacita Grey, SPM

# Pre Award Flow Chart



**Navajo Technical University**
**Office of Sponsored Projects**
**Pre-Award Process Flowchart**

Start
(14 days to submission)

PI informs OSP of intent to submit proposal (Day 1)

Cayuse begins routing once budget, justification, and SOW are finalized (day 3)

PI & SPM should be working on the application in the sponsor portal while cayuse is routing (ongoing until submission)

Need Corrections?

PI makes corrections and resubmits to SPM — YES

NO — Cayuse is FINALIZED, Application is FINALIZED and submission is completed by email or sponsor portal, grants.gov, etc. (day 14)

Funded?

YES — Award Noticed from funding agency

University Counsel prepares NTU Board Resolution

SPM prepares "Award package" after NTU BOR accepts the award & sends to CGA for setup

CGA sets up award and informs PI by email of award activation and cc SPM to update in cayuse award setup

NO — PI is highly encouraged to review notes and suggestions and prepare resubmission

SPM informs CGA proposal has not been funded & updates cayuse

# Pre-Award Proposal development

- Finding solicitations
  - Federal, State, and Private funding
  - Determine solicitation is NOT limited to one per institution
  - Be clear on deadline / Timelines
- Notifying OSP of your intention to submit a proposal
  - 14 business days advance notice
- PI Eligibility
  - Full time Faculty
- Proposal development
  - Required RFP documents such as:
    - Project Summary
    - Project Narrative
    - Bio sketches or Curriculum Vitae
    - Budget & Budget justification
    - Other required docs per solicitation

# Pre-Award Proposal development

- Cayuse record development and uploading supporting documents
  - Who creates the cayuse record? For now OSP will setup the record
  - OSP will upload all supporting documents prior to routing the cayuse record for internal NTU approvals
- Determine if subcontracts are needed
  - PI's will need to provide contact information ASAP so we can coordinate with the sub awardees on documents needed and to establish a timeline
- PI and OSP will work together to upload documents to sponsor proposal portal and complete the final submission
- PI and OSP will work together to enter budget information (if no SF424 is uploadable)

# Budget development

- Salary & Personnel
  - Full time employees (Institutional Base Salary {Annual IBS / # of appointment months = Monthly IBS} All sources should equal 100% for instruction, research, and/or service)
    - 2/9ths for NSF  Example: Professor X makes $60,000 x 0.22 = $13,200 max
    - 3/9ths for NIH  Example:  Professor X makes $60,000 x 0.33 = $19,800 max
  - Students (Graduate & Undergraduates)
- Travel
  - Domestic
  - Foreign
- Consultants
- Subcontractors
- Other Direct Costs
- Equipment
- Cost sharing
- Facilities & Administrative (F&A) Costs

# Award notification / negotiation and setup

- Once an award notification is received – this document should be sent to the OSP office.
  - OSP will prepare the BOR resolution and submit to NTU Attorney and Tonilee for inclusion in upcoming BOR agenda and meeting
  - Award notice is reviewed, signed, and returned to the Sponsor
- After BOR resolution is approved
  - OSP will prepare the award setup package and sent to the Finance Office for account number setup
  - Finance will send an email to the PI that the account is setup and ready for use
- SPAR Form items
  - No Cost Extensions
  - Budget Revisions
  - PI Change Requests

# Human Resources & Payroll

HR & Payroll

Wanda Cooke, HR Director

# HR involvement

- HR will need to be involved in the development of the budget:
  - Verifying PI salaries to determine IBS (Institutional Base Salary)
  - Full time employees (Institutional Base Salary {Annual IBS / # of appointment months = Monthly IBS} All sources should equal 100% for instruction, research, and/or service)
    - 2/9ths for NSF  Example: Professor X makes $60,000 x 0.22 = $13,200 max
    - 3/9ths for NIH  Example:  Professor X makes $60,000 x 0.33 = $19,800 max
- Developing a NEW position
  - This will require notifying HR about the new position and developing a job description, etc.
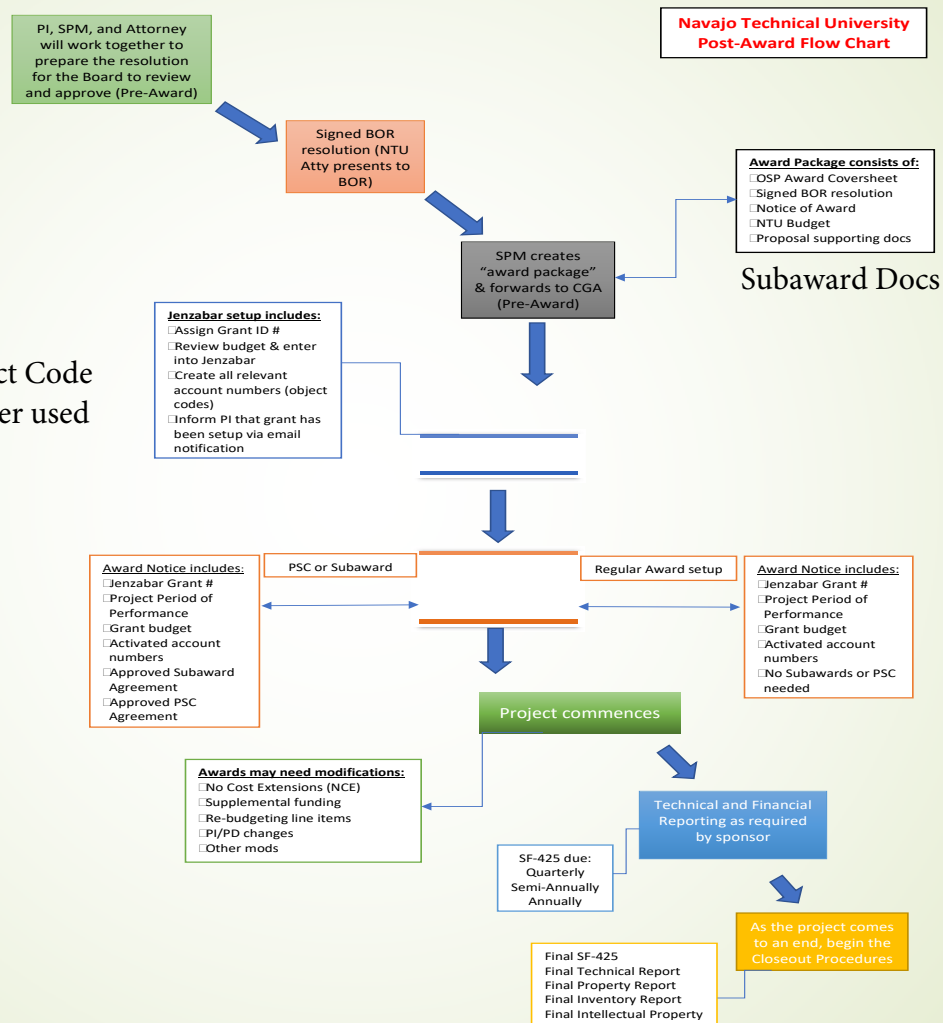  - New form and new submission process via email at vpr@navajotech.edu

# Post Award Cycle

Finance Office – Contracts & Grants Accountant

Shirleen Willie, CGA

# Post Award Flow Chart

Ex Acct #: 30806-21-Dept#-Object Code
30806 is a recycled account number used
in the past. New part is the "21"

PI, SPM, and Attorney will work together to prepare the resolution for the Board to review and approve (Pre-Award)

Signed BOR resolution (NTU Atty presents to BOR)

SPM creates "award package" & forwards to CGA (Pre-Award)

**Award Package consists of:**
☐OSP Award Coversheet
☐Signed BOR resolution
☐Notice of Award
☐NTU Budget
☐Proposal supporting docs

Subaward Docs

**Jenzabar setup includes:**
☐Assign Grant ID #
☐Review budget & enter into Jenzabar
☐Create all relevant account numbers (object codes)
☐Inform PI that grant has been setup via email notification

PSC or Subaward

Regular Award setup

**Award Notice includes:**
☐Jenzabar Grant #
☐Project Period of Performance
☐Grant budget
☐Activated account numbers
☐Approved Subaward Agreement
☐Approved PSC Agreement

**Award Notice includes:**
☐Jenzabar Grant #
☐Project Period of Performance
☐Grant budget
☐Activated account numbers
☐No Subawards or PSC needed

Project commences

**Awards may need modifications:**
☐No Cost Extensions (NCE)
☐Supplemental funding
☐Re-budgeting line items
☐PI/PD changes
☐Other mods

Technical and Financial Reporting as required by sponsor

SF-425 due:
Quarterly
Semi-Annually
Annually

As the project comes to an end, begin the Closeout Procedures

Final SF-425
Final Technical Report
Final Property Report
Final Inventory Report
Final Intellectual Property

# Post-award processes

- Account number setup after BOR approval
- Notification to the PI of account setup
- Invoicing Prime sponsors
- Issuing Subaward agreements
- Issuing Consultant agreements
- Audit of Sponsored Projects
- Budget modifications
- Effort Distribution reporting
- Equipment Management
- Record Retention
- Close out process

# Post Award processes: Account setup & PI notification

- Once the BOR resolution is approved, OSP will transmit an "award setup package" to the Finance office for account number setup

- Finance will also inform the PI of the account activation via email

  - The email shall contain the designated "fund" number along with the associated cost center and object codes as identified in the approved budget

  - The email shall contain the start date, end date, and amount of the approved award

- PI Responsibilities:

  - The PI shall verify the object codes are correct

  - The PI shall also confirm the existing employees that will be compensated under this grant – NTU employees and student workers

# Finance Responsibilities & Project Management

- SF-425's
  - Finance will ensure all SF-425's will be submitted on a timely basis with the sponsor
- Monitoring expenditures
  - Finance will ensure all expenditures are posted on a timely basis to Jenzabar so that reporting is accurate
- Drawdowns
  - Finance will complete drawdowns on a quarterly basis after all expenditures are posted and accurate
  - Invoicing for Reimbursement - Cost of Reimbursement process

# Closing out the award

- A collective process in which communication between C&G and PI is crucial and imperative within the 90 day window (most sponsors)

- 90 days prior to closing, all FINAL invoices and expenditures should be transmitted to the Finance Office for processing.

- All payroll expenditures should be identified by the PI so that HR & Finance can anticipate the changes or ending of recurring charges

- Unallowable and Un-allocable Costs: costs that are defined as expenditures that are not in compliance with OMB Uniform Guidance, University policy, or sponsor terms & conditions.

# Closing

- Questions?
- Concerns?

- Please email us at [OSP@navajotech.edu](mailto:OSP@navajotech.edu) with your suggestions, questions, concerns.