FCM Grant Preparation Process:

**FCM Pre-Award:** Our role is to assist with the preparation, review, approval, and negotiation of proposal development and to advise FCM faculty & staff who seek external funding from federal, state, private, and local entities.

Our services include conducting funding opportunity searches, assisting with budget preparation/review of salary and benefit information, allowability of budget expenses, indirect cost calculations, COI forms, obtaining necessary signatures, submitting completed proposals and coordinating the routing of proposals for department HRRC review.

The PI planning to submit a grant should contact FCM’s Pre-Award as early as possible and schedule a meeting with a Pre-Award specialist to answer questions and assist with proposal process.

Your submission will then be added to On the Radar tracking list. We will then request a copy, or a link, to the electronic proposal guidelines so that the guidelines can be reviewed. After the guidelines are reviewed, a checklist of requirements will be created for the specific grant/contract proposal.

In order to allow enough time for all parties to review the final proposal and to submit signatures, we request that the proposal package be submitted to FCM Pre-Award 15 business days before the deadline. Please see our timeline for details.

**Award Notification Process**

- HSC Office of Sponsored Projects (OSP) is notified that the grant is funded and receives a Notice of Grant Award (NGA)
- OSP receives award and issues notification to PI and department contact via email.
- The transmittal is sent to HSC Contract and Grant Accounting (CGA)
- HSC CGA assigns a grant number and sets up the award in Banner.
- HSC CGA requests an index from HSC Financial Services
- FCM Pre-Award completes an Award Budget (ABS) which tells HSC Financial Services how you plan to spend the grant money. At this time your budget is revised.
- When the index number is received from HSC Financial Services, HSC CGA notifies the PI and FCM Pre-Award via email and attaches the Signature Authorization form.
- The PI completes the Signature Authorization form and returns it to HSC CGA. This will allow expenditures to be charged to the project.
- If an index is needed prior to the official award notification, please contact the FCM research accountant Elizabeth Downs to process a Request for Approval to Spend Funds.

Post Award services are available to assist FCM faculty and staff in achieving the Statement of Work of sponsored projects, while maintaining sufficient fiscal controls and ensuring compliance with:

- Terms and conditions of the award, as well as state, local, and federal regulations
- Expenditure of funds against budgets
- University policies and applicable federal and agency guidelines
- Effort certifications
- The submission of project reports
- Closeout procedures to complete an award

The fund closing process begins when the budget period end dates expires. If you anticipate receiving an extension of supplement, please contact FCM post-award specialist, Virginia Chavez.
**FCM RMT GRANT SUBMISSION TIMELINE**

*All deadlines are calculated including the submission date as the final day.*

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**Internal Grants**

- Notify FCM RMT of intent to apply as soon as possible. Provide budget and justification narrative so RMT can complete the application and PDS.

- **TWO DAYS BEFORE DUE:** Submit final packet to FCM RMT including research plan, biosketches, letters, and COI.

- **DUE DATE** Submit by email.

- Applications vary. Check the specific funder’s website.
- An IRB (Departmental Review and Click/IRB Submission) Date may be required prior to proposal submission
- Resubmissions require a complete new application and clear acknowledgement of all previous reviewer comments from the previous Summary Statement.
**FCM (External) Electronic Grant Application Submission Timeline (BUSINESS DAYS):**

**Grant Preparation**
PI’s begin to work on application

- FCM RMT should be notified of intent to submit grant application well in advance of this date.

**15 days prior to Sponsor Due Date**
FCM Internal Departmental Review

- RMT prepares F&A waiver, if required.
- PI works closely with RMT on all proposal checklist items (i.e., budget and forms).
- 15-days prior to grant submission due date, budget and checklist items are due to FCM RMT for review.

**10 days prior to Sponsor Due Date**
DRAFT Application Due to HSC SPO/ PreAward

- **FINAL VERSIONS**
  - Proposal Data Sheet (PDS). Allow time to obtain signatures.
  - Budget
  - Budget Justification
  - SubAward Budget and Justification, if needed.

- **DRAFT VERSIONS**
  - Items such as abstract, research plan, specific aims, human subjects, enrollment tables, appendices, letters of support, biosketches and conflict of interest forms (COI) and all appendices.

**5 days prior to Sponsor Due Date**
FINAL Application Due to HSC SPO/PreAward

- Research Plan
- Budget
- Justification
- Enrollment Tables
- Narrative
- Abstract
- Bibliography
- Human Subjects
- Appendices
- Key Personnel Biosketches
- COI forms/cover page for all research staff
- Copyright Form
- Letters of Support
- SubAward packet, if applicable

**BEFORE Sponsor Due Date**
FINAL application accepted without any errors

**IMMEDIATELY FOLLOWING 5-DAY SUBMISSION OF FINAL APPLICATION TO SPO/PREAWARD:**

- RMT Staff, HSC SPO/PreAward & PI work together to resolve errors/issues & submit packet to funding agency ASAP (before due date).

This allows adequate time for electronic system errors to be addressed and for the agency to receive the application packet before the grant submission deadline.

*Exceptions to Due Dates require approval from Robert Rhyne, Vice Chair for Research and/or Dr. Larson. Notify RMT ASAP if a deadline will be missed & provide an alternate deadline that can be met. If a late waiver is granted All documents must be FINAL when submitted to HSC SPO/PreAward.*
*Faculty members who are unable to meet these deadlines due to unforeseen circumstances must:

- Notify FCM PreAward ASAP
- Email Dr. Larson and ask for a late waiver and give a date of when their application will be submitted to PreAward
- If a late waiver is granted, all documents **MUST BE FINAL** when submitted to PreAward
**PI Transition to Post Award Meeting:** (Recommended)

1. Identifies or seeks a funding opportunity through available resources and online databases.
2. Arranges meeting with PreAward to discuss the Proposal and Budget (optional)
3. PreAward Receives Internal Forms. Final Proposal and Final Budget to Sponsor (including additional items such as subaward information, letters of support & COIs)
4. Compliance Processing, if required (e.g., COI, IRB, IACUC)
5. PreAward Proposal Approval/Signature
   - PreAward reviews for accuracy and completeness;
   - PreAward comments or negotiates proposed language prior to submission;
   - Submits to Sponsor if Electronic;
   - Returns to PI to Submit if Mailing.
6. Sponsor Notifies PI or PreAward of Award (or Denial)
7. Final Negotiations of Award
8. Acceptance executed via Associate VP for Financial Services signature (if required)
9. PI Submits Revised Budget per Award
10. **AWARD**
11. PreAward Process Completed
12. AWARD FILE RECEIVED FROM PREAWARD
13. Signature Authorization Form with designated index for over-expenditures is received from PI
14. PI Transition to Post Award Meeting: (Recommended)
15. Post Award and PI review:
   - Financial Deliverables,
   - Terms & Conditions of the Sponsored Project
16. As required, Post Award reviews expenditures, completes billing, and fiscal reporting.
17. NOTE: Prior approval is required from the University and/or the funding agency for any modification (e.g., budget revisions) during the budget period. If funding agency approval is required, process with a PDS through PreAward.
18. Post award will communicate impending budget period end dates. PI must:
   - Request No Cost Extension -OR-
   - Request approval to Carryforward Funds -OR-
   - Prepare for Closeout

University of New Mexico – Principal Investigator Guide 08/2007
GRANT FUNDING CYCLE ("QUICK STEPS")

**Identify**
- Identify funding needs and proposal focus
- Find and select funding options

**Draft**
- Develop draft proposal and budget
- Build proposal in Cayuse424

**Submit**
- If required, send letter of inquiry or pre-proposal and receive invitation from funder to submit full proposal, after review by PreAward
- Route for approvals more than 10 days before deadline
- Submit to PreAward more than 5 business days before deadline

**If Awarded, the following actions may be necessary:**
- Reconcile any budget changes in the award
- Establish fund in Banner
- Maintain records for and submit annual reports
- Submit requests for extensions or revisions to PreAward
- Submit required approvals (IRB, IACUC, etc.) to agency, if necessary
- Reviews of Export Control / COI must be complete

**If Not Awarded:**
- Obtain reviewers comments
- Assess whether resubmission is allowed/appropriate
- Revise and resubmit to PreAward

Begin anew!
Principal Investigators (PIs) are responsible for all aspects of their contracts and research projects, including scholarly activity and proper stewardship of awards. This summary addresses key PI responsibilities for oversight and project management.

**PROPOSAL DEVELOPMENT AND SUBMISSION**
- Inform FCM Contract & Grant Administrators (CGA’s) of intent to submit a grant or contract so it can be added to The Radar
- Read grant instructions
- Work with CGAs to develop budget/justification, review F&A/fringe/Sub award information and submission timeline and proposal checklist
- Ensure that the level of effort required for a proposed project can be met relative to other effort commitments/Provide Other Support information
- Confirm completion of CITI training by all project staff and completion of UNM HSC PI Grant Training course
- Request Letters of Support ASAP
- Comply with FCM Pre-Award / HSC Sponsored Projects Office and sponsor due dates

**IRB**
- Obtain and maintain human subjects research approvals from UNM /relevant community partners
- All IRB applications must undergo an FCM Dept. Scientific Review before submission to the HPRO
- PI/staff must complete UNM CLICK training and upload IRB application in CLICK for review
- HSC IRB Continuation/Closure reports are due 45 days prior to your study’s expiration date.
- Review award terms and conditions to confirm deliverables terms, report dates and restrictions on expenditures / approvals needed for project changes

**ACCOUNT/INDEX MANAGEMENT**
- Review and approve sub-recipient agreements and deliverables
- Review and approve sub-recipient invoices monthly
- Review and approve other project changes, some of which may require sponsor approval (such as a change to the scope of work, or significant change in a PI’s project effort)

**AWARD CLOSEOUT**
Before the project ends (3 months prior to the end date):
- Review the project’s financial status with project accountant
- Assure that sub-recipient agreements have submitted or will submit all required deliverables, reports and invoices
- Plan for payroll changes and staff transitions
- Request a no-cost extension when allowable and appropriate
- Prepare and submit results for publication
- Present results to community stakeholders
When the project ends, the PI should:
- Meet sponsor’s deadline(s) for final reports
- Submit required final project report
- Submit Community reports
- Review the final financial report with account
- Submit IRB Closure Report
- Retain the project records for at least 3 years after submission of the final report

**AWARD DOCUMENTATION**
- PI’s share responsibility with project administrative staff / students for ongoing administrative project record and data management
- Identify significant dates and activities, such as report due dates, timeline for completion of milestones, and requirements for award renewal/continuation
- Honor community commitments / meet obligations in a timely manner

**PROJECT MANAGEMENT**
- Oversee conduct of the project, including work of collaborators and sub-recipients
- Maintain project related records
- Submit all required project reports on-time

**ACCOUNT/INDEX MANAGEMENT CON’T**
- Coordinate with FCM accountant/post-award staff to ensure that personnel and other expenditure records are reviewed, approved and maintained monthly
- Ensure that expenditures charged to an award (for personnel, supplies, equipment, travel, etc) are allocable to the project as well as allowable and reasonable
- Certify effort semi-annually
- Monitor effort commitments. Ensure PI and key personnel are meeting effort commitments agreed to when award was accepted. Update effort distribution as changes become known
- Review award expenditures monthly with accountant and post-award staff to ensure that expenditures are tracked, correct and appropriate