



INTRODUCTION TO GRANTS

Weinberg Research Administration

April 2014

<http://www.weinberg.northwestern.edu/research/administration/index.html>

Research Administration in the Weinberg Dean's Office

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<http://www.weinberg.northwestern.edu/research/administration/index.html>

Today's topics

- What is a grant or sponsored project?
- Types of sponsors
- Proposal process – overview of Dean's Office role
- Award management
 - What do departments need to know
 - Who does what (Dean's Office vs. Department)
- Resources

What is a Sponsored Project? (or Grant)

- Specified Statement of Work (proposal)
- Budget
- Deliverables-technical/financial reports
- Period of performance
- Subject to facilities and administrative (F&A) costs
- Can support research, training, instruction, public service

Funds that are not sponsored projects

- Graduate Research Grants (GRG) from The Graduate School
- Faculty Discretionary/Research Accounts
- Any other internally funded research award, scholarship, or grant
- Gifts

Where do sponsored projects come from?

- Federal and state agencies
- Private foundations
- Private corporations
- Other institutions or universities (subawards)

Federal Agencies

Agency for International Development
Appalachian Regional Commission
Bureau of Reclamation
Christopher Columbus Fellowship
Foundation
Corporation for National and Community
Service
Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Housing and Urban
Development
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of Veterans Affairs
Department of the Interior

Department of the Treasury
Election Assistance Commission
Energy Cluster Program
Environmental Protection Agency
Federal Mediation and Conciliation Service
General Services Administration
Institute of Museum and Library Services
Institute of Peace
James Madison Memorial Fellowship
Foundation
Japan-United States Friendship Commission
Marine Mammal Commission
Millennium Challenge Corporation
National Aeronautics and Space
Administration
National Archives and Records
Administration
National Council on Disability
National Credit Union Administration
National Endowment for the Arts
National Endowment for the Humanities
National Science Foundation

Nuclear Regulatory Commission
Office of the Director of National Intelligence
President's Committee on the Arts and
Humanities
Small Business Administration
Social Security Administration
Woodrow Wilson Center

Private Foundations

Ewing Marion Kauffmann Foundation
The Robert Wood Johnson Foundation
Andrew W. Mellon Foundation
Carnegie Corporation of New York
John D. and Catherine T. MacArthur Foundation
John Templeton Foundation
The Kresge Foundation
The Alfred P. Sloan Foundation
Charles G. Koch Charitable Foundation
James S. McDonnell Foundation
(just to name a few)

Private Foundations

- May be more (or less) flexible about how grant funds are spent
- Fund research that relates to their mission as a foundation
- Grant proposals vary in form and content
- Office of Foundation Relations as a resource

Proposal Process

Faculty member (Principal Investigator – PI)

- Find Funding
- Contact Weinberg Research Administrator (RA)
- Provide input on budget
- Write proposal

Research Administrator (RA)

- Create Budget (using budget template)
- Create record in system (InfoEd)
- Liaise with OSR Grants Officer

Proposal Process (continued)

Department

- InfoEd approval

Office for Sponsored Research (OSR)

- Review proposal for compliance and provide feedback
- Submit proposal
- Authorized Signature

Award Mailing - NIDA; Weinberg; 610-4011400-60028123

DATE: 11/21/2013
TO: Professor Richard Weinberg
RE: National Institute on Drug Abuse; Weinberg; 610-4011400-60028123
CC: Chris Beglinger, GO
CC: Reid Wellensiek, Department Contact

Congratulations on your award (sponsor# 5R01DA030604-04, NU# SP0010198). Attached are the key documents required for the administration of this award, including the official award notification, the project account summary, and any additional award guidelines. You may also view them in InfoEd Proposal Tracking, where they are uploaded as attachments. The Office for Sponsored Research (OSR) is available to assist you in interpreting these documents throughout the life of your award.

Funds should be spent in accordance with the sponsor's guidelines and Northwestern's policies. As principal investigator of this award, you are obligated to ensure that all of the provisions of the award are met and that the information on the project account summary is accurate. If you have any questions concerning the budget or the guidelines and policies, please contact OSR. We will be glad to assist you.

Office for Sponsored Research

Evanston
1801 Maple Ave.
2nd Floor, Suite 2410
(847) 491-3003

Project Account Summary (see handout)

- Notes
- Award letter attached
- Account codes open (and if not...)
- Cost share
- Subcontracts

Chartstrings:

The fund code tells you it is a sponsored project

Grants & Contract Funds (600 series)

- 610 Federal Grants & Contracts ← Funds from federal agencies like NSF, NIH, etc.
- 611 Federal ARRA Grants & Contracts
- 620 Federal Flow-Through ← Funds from a subaward through another institution
- 621 Federal ARRA Flow-Through
- 630 State of Illinois Funding
- 640 Industry Clinical Trials
- 650 Non-Federal Non-Industry Clinical Trials ← Funds from private foundations

Spending on sponsored projects

- Expenses are allocable, allowable, reasonable, and consistent
- Foreign travel – may be restricted
- Alcohol not allowed
- Add pay is considered a red flag for auditors
- Correction journals need to be carefully documented
- Summer salary/research leaves
- ASRSP approval required on transactions
- Budget period end date vs. Project end date

Roles and Responsibilities

Department

- Process expenditures
- Review monthly reconciliation and Cognos reports
- Notify Dean's Office of post award needs
- Approve ESPR requests/assist PI
- Pre-review effort reports

Dean's Office

- Prepare monthly reconciliation and Cognos reports
- Create post award requests in ESPR (no more OSR-1's!)
 - Open account codes, no cost extension, subcontracts, rebudget

Useful Cognos Reports

In Project Café Reports>School>Sponsored Programs Management

- GM045 – Sponsored Project Budget Statement
- GL008 – Revenue and Expense Activity Report
- GM033 – Project Account Summary
- GM044 – Sponsored Project Portfolio
- FASIS PED

Questions a PI might ask

- What's my balance?
- How much can I spend?
- How much will it cost to pay for a grad student?
- What's my F&A rate?
- Have I received my Year 2 funds?
- Is the account code open(or can I pay for xxx)?
- What is the project end date?



**NORTHWESTERN
UNIVERSITY**

Sponsored Project Budget Statement

For Fiscal Year 2011

As of Accounting Period 11 - July 2011 (Closed)

Fiscal Year: 2011
Accounting Period: 11 - July
Department: All
Project Status: Active Projects Only
Project: 60029313 - Undergrad and Graduate Research,
 60026881 - Great Migrations: Emancipation,
 60019476 - The Rise Of

Account & Description	Fund	Dept	Activity ID	(A) Incep-TD Budget	(B) Current Period Exp	(C) FY-TD Exp	(D) Incep-TD Exp	(E) Open Req Enc	(F) Budget Checked Not Posted	(A-D-E-F) Bal Remaining	(A-D-E-F) % Available
Project: 60026881 - Great Migrations: Emancipation -											
Award ID: SP0009537 FDP/RTC: No Bill Type: LOC Flow Through: No Sponsor: Department of Education Originating Sponsor: - Sponsor Reference Award #: P019A100045 ASRSP GCFA: Elizabette Rischall Clinical Trial: No Project Dates: 7/1/2010 - 12/31/2011 Project PI: Fischer,Brodwyn M Project Status: Open Primary Project: 60026881 Great Migrations: Emancipation Primary Project Department: 4023600 History Project Type: Federal Grants and Contracts Product: GRANTS_REIMBURSABL Total Payments Applied: \$32,349.93											
Activity ID: 01 Budget Period Ending 12/31/11											
F&A Rate and Base: 0.19% TDC											
Sponsor											
60010 Academic Personnel	610	4023600	01	\$46,083.00	\$9,422.23	\$18,741.69	\$37,175.03	\$9,422.23	\$0.00	(\$514.26)	-1.12%
60020 Faculty Summer Salary					\$9,422.23	\$18,741.69	\$37,175.03	\$9,422.23	\$0.00		
60100 Non-Academic Personnel	610	4023600	01	\$3,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$3,000.00	100.00%
60180 Fringe Benefits	610	4023600	01	\$0.00	\$2,261.34	\$4,498.01	\$8,737.67	\$2,261.34	\$0.00	(\$10,999.01)	0.00%
60186 Fringe Benefits Full					\$2,261.34	\$4,498.01	\$8,737.67	\$2,261.34	\$0.00		
73000 Supplies	610	4023600	01	\$500.00	\$910.99	\$2,376.99	\$2,376.99	\$0.00	\$0.00	(\$1,876.99)	-375.40%
73500 Photography Supplies					\$910.99	\$2,376.99	\$2,376.99	\$0.00	\$0.00		
76762 Travel, Foreign	610	4023600	01	\$2,100.00	\$0.00	\$1,494.10	\$1,494.10	\$0.00	\$0.00	\$605.90	28.85%
76770 Foreign Travel-Transportation					\$0.00	\$1,494.10	\$1,494.10	\$0.00	\$0.00		
78630 Other Expenses	610	4023600	01	\$0.00	\$0.00	(\$5,345.66)	(\$5,345.66)	\$0.00	\$0.00	\$5,345.66	0.00%
78656 Clear Salary Deficit					\$0.00	(\$5,345.66)	(\$5,345.66)	\$0.00	\$0.00		
Total Direct:				\$51,683.00	\$12,594.56	\$21,765.13	\$44,438.13	\$11,683.57	\$0.00	(\$4,438.70)	-8.59%
78700 F&A	610	4023600	01	\$100.00	\$23.94	\$41.37	\$84.45	\$22.20	\$0.00	(\$6.65)	-6.65%



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Account codes open on a grant.
Remember: some account codes roll up.



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Sponsored project end date.



Offices that work with grants

Office for Sponsored Research (OSR)

- Proposal review and submission
- Award set up
- Post award requests – account codes, no cost extension
- Who? Grants Office and Grants Assistant

Offices that work with grants

Accounting Services for Research and Sponsored Programs (ASRSP)

- Post-award financial administration of grant funds –
 - Approving expenses
 - Invoicing sponsor
- Award close out
- Effort reporting
- Who? Grant & Contract Financial Assistant (GCFA)

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Where to find Grant and Contract Financial Assistant (GCFA) on GM045 report.

Policies covering sponsored projects

- The 90 Day Rule

[http://www.northwestern.edu/financial-operations/policies-procedures/policies/90-Day Rule Policy and FAQs.pdf](http://www.northwestern.edu/financial-operations/policies-procedures/policies/90-Day_Rule_Policy_and_FAQs.pdf)

- Charging Sponsored Projects

[http://www.northwestern.edu/coststudies/docs/Charging Sponsored Projects.pdf](http://www.northwestern.edu/coststudies/docs/Charging_Sponsored_Projects.pdf)

Cost Transfers to Sponsored Accounts

[http://www.northwestern.edu/coststudies/docs/Cost Transfers Policy.pdf](http://www.northwestern.edu/coststudies/docs/Cost_Transfers_Policy.pdf)

- Travel

<http://www.northwestern.edu/financial-operations/policies-procedures/policies/travel.pdf>