Research Administration in the Weinberg Dean’s Office

Kelly Mayo, Ph.D.
Associate Dean for Research and Graduate Studies

Gretchen Talbot
Assistant Dean for Research and Graduate Studies

Reid Wellensiek
Assistant Director of Research Administration

Gina Berardesco
Associate Research Administrator

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)
<table>
<thead>
<tr>
<th>Agency for International Development</th>
<th>Department of the Treasury</th>
<th>Nuclear Regulatory Commission</th>
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<tbody>
<tr>
<td>Appalachian Regional Commission</td>
<td>Election Assistance Commission</td>
<td>Office of the Director of National Intelligence</td>
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<tr>
<td>Bureau of Reclamation</td>
<td>Energy Cluster Program</td>
<td>President’s Committee on the Arts and Humanities</td>
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<td>Christopher Columbus Fellowship</td>
<td>Environmental Protection Agency</td>
<td>Small Business Administration</td>
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<tr>
<td>Foundation</td>
<td>Federal Mediation and Conciliation Service</td>
<td>Social Security Administration</td>
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<tr>
<td>Corporation for National and Community Service</td>
<td>General Services Administration</td>
<td>Woodrow Wilson Center</td>
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<tr>
<td>Department of Agriculture</td>
<td>Institute of Museum and Library Services</td>
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<tr>
<td>Department of Commerce</td>
<td>Institute of Peace</td>
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<tr>
<td>Department of Defense</td>
<td>James Madison Memorial Fellowship</td>
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<tr>
<td>Department of Education</td>
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<td>Department of Energy</td>
<td>Japan-United States Friendship Commission</td>
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<td>Marine Mammal Commission</td>
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<td>Department of Homeland Security</td>
<td>Millennium Challenge Corporation</td>
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<td>Department of Housing and Urban Development</td>
<td>National Aeronautics and Space Administration</td>
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<td>Department of Labor</td>
<td>National Council on Disability</td>
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<td>Department of State</td>
<td>National Credit Union Administration</td>
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<td>Department of Transportation</td>
<td>National Endowment for the Arts</td>
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<td>Department of Veterans Affairs</td>
<td>National Endowment for the Humanities</td>
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<td>Department of the Interior</td>
<td>National Science Foundation</td>
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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
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?
## Sponsored Project Budget Statement

For Fiscal Year 2011  
As of Accounting Period 11 - July 2011 (Closed)

**Project: 60026881 - Great Migrations: Emancipation**

### Activity ID: 01 Budget Period Ending 12/31/11

<table>
<thead>
<tr>
<th>Sponsor</th>
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<th>(A-D-E-F) % Available</th>
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<td>$18,741.69</td>
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**GM045 V 10.7**  
Run Date: 8/6/11  
Run Time: 3:44:29 PM
Account codes open on a grant. Remember: some account codes roll up.
Sponsored Project Budget Statement
For Fiscal Year 2011
As of Accounting Period 11 - July 2011 (Closed)

<table>
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<th>Account &amp; Description</th>
<th>Fund</th>
<th>Dept</th>
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<th>(A) Incep-TD Budget</th>
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</table>

Project Dates: 7/1/2010 - 12/31/2011
Project PI: Fischer, Brodwyn M
Primary Project: 60026881 Great Migrations: Emancipation
Primary Project Department: 4023600 History
Project Type: Federal Grants and Contracts
Product: GRANTS_REIMBURSABLE
Total Payments Applied: $32,349.93

Activity ID: 01 Budget Period Ending 12/31/11
F&A Rate and Base: 0.19% TDC

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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)

Where to find Grant and Contract Financial Assistant (GCFA) on GM045 report.
Policies covering sponsored projects

- The 90 Day Rule
- Charging Sponsored Projects
  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
- Travel