Research Administration in the Weinberg Dean’s Office

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http://www.weinberg.northwestern.edu/research/administration/index.html
What is a Sponsored Project? (or Grant)

- Work funded by an external entity (sponsor)
- Sponsored projects require:
  - 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
- Fellowships (including NSF Graduate Research Fellowship Program (GRFP))
Proposal Process

Faculty member/Grad Student (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

Department
- InfoEd approval

Office for Sponsored Research (OSR)
- Review proposal for compliance and provide feedback
- Submit proposal
- Authorized Signature
Awards

- May get email from Program Officer that proposal is recommended for funding (NSF)
  - Award not official at this point, but very very likely
  - You maybe asked to submit a revised budget
- Official Notice of Award will be sent to PI
- Award Setup
  - OSR will get notice from sponsor
  - Will follow up with Research Admin for items such as IRB approval if needed
    - IRB review and approval – PI/Grad student responsibility
  - OSR will create chartstring and send Project Account Summary to PI and administrators
Spending on sponsored projects

- Expenses are allocable, allowable, reasonable, and consistent
- Alcohol not allowed
- ASRSP approval required on transactions
- Must read solicitation carefully to see what budget should cover
- Once a grant is awarded, those costs are approved and you can spend in those categories
Roles and Responsibilities

Department
• Process expenditures
• Review monthly reconciliation and financial reports
• Notify Dean’s Office of post award needs
• Approve ESPR requests/assist PI

Dean’s Office
• Prepare monthly reconciliation and Cognos reports
• Create post award requests in ESPR
  • Open account codes, no cost extension, subcontracts, rebudget
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 Officer and Grants Assistant

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)
Your Questions

• Any clarity about what happens once you receive a grant (awarded through NU):
  • OSR will set up a chartstring that you will use to charge your research expenses. This should take roughly 2 weeks from when OSR receives the Notice of Award.
  • NSF time to award is roughly 6 months
  • Correspondence – NSF will notify you of award, OSR sends award mailing to your advisor (PI)
  • You will work with departmental staff to be reimbursed for expenses in accordance NU policies.
  • Awards set up as grants at NU are not income and are not taxable.
Your Questions

For Wenner-Gren and other nonfederal grants: what are the implications of choosing to have the grant administered by OSR vs. just getting the check and autonomously taking care of reporting expenses?

• All proposals for both federal and non-federal grants must be reviewed and approved by OSR prior to submission.
• All awards for both federal and non-federal grants will be set up as sponsored projects.
• This protects you!
Your Questions

Do we need to work with OSR for ALL grants/fellowships (including private foundations etc), or just those with federal funds? What's the proper process for doing that? As we apply or after it's awarded? Or never?

• Clarification: you work with RA; RA works with OSR
• Fellowships vs. grants
  • Who is the “applicant” in solicitation?
    • If student, then it’s probably a fellowship
    • If institution (i.e. NU) is applicant, then it’s probably a grant
      • Also means you cannot do actual submission, it must be OSR
  • If you are working with Office of Fellowships, it’s a fellowship.
  • If Wenner Gren: student is applicant, but it’s a grant and OSR must review the budget, and award is run through NU.
  • Fulbright – can be run through NU
• Bottom Line: it’s complicated. Always contact your RA!
Your Questions

How are we supposed to report our spending? Are there standard forms for that? Should we always calculate based on a per diem? What do we do with our receipts?

• Work with departmental staff to follow NU policies for reimbursement
• You do not need to use the full per diem rate
• See NU travel policy:
Your Questions

When OSR is responsible for the reporting and reimbursement of our grant, how much can we depart from our original budget? And when instead we are dealing directly with the funding agency (e.g. WennerGren)?

- Depends on the sponsor’s policy
- In general, you should contact your RA to discuss changes in spending.
- It may be necessary at times for you to contact your program officer.
- NSF allows flexibility in spending (within 25% of budget categories)
- May need to work with RA to open additional spending categories (account codes)
- Wenner Gren: must contact them for approval of any budget changes over $100.
Your Questions

How do we report NSF grant money (or other grants/fellowships) on tax forms?

- Grants awarded to the university are not income
- Fellowships may be taxable
Your Questions

Once we have our external funding, how do we make sure we get that extra year of internal support/TAship?

The provisions listed below apply to those awards that provide student stipend support. Therefore, awards such as the doctoral dissertation research improvement grants (DDRIG), which provide only research and travel support, are not eligible for the support listed below.

- A 1:1 match up to an additional three quarters to be used in the 6th year of support for graduate students who are awarded and accept an external competitive award within their first five years of study; and
- A stipend supplement of $500 per month for the duration of the external award to students through their fifth year.
- A stipend top-up to the TGS base stipend if the external award stipend is lower to students through their sixth year.

http://www.tgs.northwestern.edu/about/policies/financial-aid-policies.html
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