

ANTHROPOLOGY GRADUATE STUDENT GRANTS WORKSHOP

Weinberg Research Administration

May 17 1 2017

<http://www.weinberg.northwestern.edu/research/graduate/>

Research Administration in the Weinberg Dean's Office

Kelly Mayo, Ph.D.

Associate Dean for Research
and Graduate Studies

Reid Wellensiek

Director of Research and Graduate Studies

Ela Klapczynska

Assistant Director of Research Administration

Gina Berardesco

Research Administrator

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

3 Sources of Graduate Student Research Funds

TGS - Internal

- Internal grants and fellowships from The Graduate School (TGS)
- Research funds (\$2K – 7\$K)
(<http://www.tgs.northwestern.edu/funding/fellowships-and-grants>)
- Interdisciplinary Graduate Assistantships and Service Opportunities
<http://www.tgs.northwestern.edu/funding/assistantships/cross-discipline.html>

Office of Fellowships - External Fellowships

- Apply through the Office of Fellowships
(<http://www.northwestern.edu/fellowships/>)
- Applicant is the student
- Fellowships (including NSF Graduate Research Fellowship Program (GRFP))
- Can support travel for research, living expenses, stipends

Sponsored Projects/Grants – External

- Work with Research Admin to develop proposal
- Submitted by Office for Sponsored Research (OSR)
- Applicant is usually Northwestern University
- Funds are for research costs (i.e. NSF DDRI)

What is a Sponsored Project?

- 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

Proposal Roles and Responsibilities

Graduate Student

- identifies funding opportunities
- informs Research Administrator of intent to submit
- reviews solicitation carefully
- completes all required items before internal deadlines
- responsible for completing COI disclosure
 - required prior to submission for federal agencies

Advisor

- Provides signed statement/letter of recommendation if required
- Provide current biographical sketch
- Approve proposal record in InfoEd
- Complete COI disclosure
- Provide feedback to student on proposal content

Roles and Responsibilities, continued

Research Administrator

- assists with
 - Budget & budget justification
 - cover sheets
 - current and pending support
 - other administrative items
- provides checklist for proposals, along with guidance on sponsor requirements
- creates the proposal record in InfoEd, uploads necessary documents
- liaise with OSR on proposal submission

Office for Sponsored Research (OSR)

- reviews proposal record, provides feedback
- submits proposal (except for Wenner Gren)
 - either through InfoEd, Fastlane or otherwise as specified by sponsor

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, public abstract
- Official Notice of Award will be sent to PI
- Student is responsible for obtaining IRB approval if human subjects are included
 - If already have IRB approval, need to modify to include award
- Award Setup
 - OSR will get notice from sponsor
 - Will follow up with Research Admin for items such as IRB approval if needed
 - OSR will create chartstring and send Project Account Summary to PI and administrators

Spending on sponsored projects

- Proposal stage: 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
- Expenses must be allocable, allowable, reasonable, and consistent
- Alcohol not allowed
- ASRSP approval required on transactions

Post-Award 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, 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)

What happens once you receive a grant?

- NSF time to award is roughly 6 months (from submission)
- OSR will set up a chartstring that you will use to charge your research expenses. This should take 1 - 2 weeks from when OSR receives the Notice of Award.
- 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.

Wenner-Gren and other nonfederal grants

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

When is OSR involved?

Do you need to work with our office for ALL external grants/fellowships (including private foundations etc), or just those with federal funds?

- 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 should review the budget, and award is run through NU.
 - Fullbright – can be run through NU

Bottom Line: it’s complicated. Always contact your RA!

Spending your funds

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:

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

Post-Award: Rebudgeting

How much can we depart from our original budget?

- 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 (25% of direct costs can be rebudgeted)
- 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

Policies covering sponsored projects

- The 90 Day Rule

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

Cost Transfers to Sponsored Accounts

http://www.northwestern.edu/coststudies/docs/Cost_Transfers_Policy.pdf

- Travel

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