



SOCIOLOGY GRADUATE STUDENT WORKSHOP

Weinberg Research Administration

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<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>

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

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 Northwestern University
- Funds are generally for research costs (i.e. NSF DDRI)

Interdisciplinary Graduate Assistantships and Service Opportunities

- The assistantships provide the opportunity to extend funding beyond the initial 19 quarters for students who wish to explore special interests in another area.
- If assistantships are awarded during students' 2nd through 5th year, students are eligible to receive up to 3 additional quarters of University funding during their sixth year.

www.tgs.northwestern.edu/funding/assistantships/cross-discipline.html

Finding Grant Funding

- SciVal Funding Search

<http://www.funding.scival.com/home>

- Pivot

http://pivot.cos.com.turing.library.northwestern.edu/funding_main

- Federal Agencies

<http://www.weinberg.northwestern.edu/research/graduate/external-funding-sources.html>

- Professional Associations

- Networking

Recent Sociology Graduate Student Applications (for external research funds)

- National Institute of Justice
- NSF - Science, Technology and Society DDRI
- AHRQ Grants for Health Services Research Dissertation Program (R36)
- NSF – Sociology DDRI
- NSF Law and Social Sciences DDRI

Grant Proposal Process

Faculty member/Grad Student (Principal Investigator – PI)

- Identify Funding Opportunity
- Contact Weinberg Research Administrator (RA)
- Provide input on budget
- Thoroughly read solicitation
- 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)

FAQs

- 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.

FAQs

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?

- 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.
 - Fullbright – can be run through NU
 - **Bottom Line: it’s complicated. Always contact your RA!**

FAQs

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>

FAQs

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 (within 25% of budget categories)
- May need to work with RA to open additional spending categories (account codes)

FAQs

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

FAQs

When to apply?

- Research grants – after qualifying exam and project is approved.
- Fellowships – need to get awards by the 4th or 5th year in order to bank funding

Is there help on campus?

- The Writing Place – Peer writing consultants

<http://www.writing.northwestern.edu/>

- Grant writing resources

<http://www.weinberg.northwestern.edu/research/faculty/grant-writing-resources.html>

- Your peers

FAQs

How do the banked quarters work?

- TGS provides 19 quarters of funding, which takes you to spring quarter of 5th year.
- If you've received external funding in earlier quarters (fellowship w/stipend), then you will receive 3 quarters of funding in 6th year.

FAQs

Once we have our external funding, how do we bank quarters to use in 6th year?

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

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>