

Grants 101

Office of Research and Sponsored Projects
(ORSP)



College of Graduate Studies and Research

Michael J. Stern, Ph.D., Dean

Nancy Wrinkle, Ph.D., Associate Dean

ORSP Staff

Sharon Todd, Director

Stephanie Logaras, Coordinator of Research Compliance and
Grants Services

Brooke Ha, Business Administrative Associate

This Grants 101 training session has three key parts

- Overview of ORSP areas of responsibility and PI/ORSP roles in pre-award and post-award activities
- Overview of the proposal/contract life cycle and pre-award internal processes
- Overview of post-award processes, including budget launch

Overview of ORSP

Areas of Responsibility and PI/ORSP Roles

ORSP Key Areas of Responsibility

- **Grants and Contracts**
- **Human Subjects Research**
- **Animal Care and Use**

Grants and Contracts

What ORSP Does

- Provides support for proposal preparation and grant award administration.
- Informs University/College/Department leadership and the Controller's Office/Grant Accounting of grants and contracts being pursued by faculty and staff.

Grants and Contracts

What ORSP Does, continued

- Routes grant and contract information for approval and signatures prior to submission
- Submits all institutional proposals except those that require a 501(c) (3), which are submitted through the NEIU Foundation.

Grants and Contracts

Sponsored Projects are funded by grants and contracts.

Grants and Contracts

The Principal Investigator (PI) is ultimately responsible for sponsored projects, including:

- The research/creative activity
- Stewardship of grant funds
- Project leadership and management

A PI's role in oversight of a grant is just as important as their role in research, creative activity, or program delivery.

ORSP and PI Roles in Grants or Contracts

The Pre-Write Conference

- Is a meeting or series of meetings with ORSP to work out details related to sponsored projects
- Facilitates a smooth approval process for personnel time commitments and other resources needed to produce a strong proposal
- Ensures the needed support is provided to PI in the proposal development process

Pre-Award

Key points to remember:

- **Contact ORSP right away when you think you may pursue a grant or contract.**
- **Work with ORSP to develop proposals, contracts and budgets.**

Pre-Award

ORSP will:

- **Ensure the process includes proper routing and procedures**
- **Support for PIs includes, but is not limited to, data requests, contact with funders, and budget development**

Post-Award

- **Contact ORSP right away when you receive an award or a request for additional information from a funder**
- **When you receive your award notification, set up a Post-Award Conference at the earliest opportunity**

The Post-Award Conference

- Is a meeting or series of meetings with ORSP to work on the project launch
- Review commitments worked out during the Pre-Write Conference.
- Facilitates the budget launch process
- Ensures support for PI in understanding all the key elements for successful project execution

Post-Award

ORSP assists PIs in the Post-Award process by:

- **Assisting the Provost and PIs as they fulfill their responsibilities related to sponsored projects**
- **Explaining key responsibilities and processes related to their projects**
- **Streamlining processes when possible and appropriate**

ORSP and PI Roles in Human Subjects Research

CITI Program Training

Before any research activity begins, PI must complete the CITI Program Course Group 1. Social and Behavioral Research – Basic Course.

Completing the Basic Course with a score of at least 80% on all quizzes will certify a researcher for three years and enable the researcher to apply to the University's Institutional Review Board (IRB) for approval for research projects.

Browser tabs: Northeastern Illinois..., NEIU Departments an..., Inbox (308) - sktod4..., Pandora Radio - Liste..., CITI - Collaborativ... x

USA - English | Text Size: A A | Log In | Register | Help

CITI PROGRAM Collaborative Institutional Training Initiative at the University of Miami

Search Knowledge Base

Home | About Us | Courses | Become a Subscriber | CE Credits | News and Events | Resources | Contact Us



Over 5.6 million CITI Program courses have been completed since 2000

Username

Password

Forgot Username or Password?

Create an account

Access requires registration as an affiliate of a subscribing CITI institution or as an unaffiliated learner.

CITI Program Announcements

- [Extended Support Hours and Other Notable Updates \(January 2014\)](#)
- [Continuing Nursing Education \(CNE\) Availability \(December 2013\)](#)
- [CITI Program Quarterly Newsletter \(November 2013\)](#)
- [New RCR Refresher Course \(November 2013\)](#)
- [Working with Zebrafish in Research Settings Course \(October 2013\)](#)
- [More...](#)

Help & Support

- [How do I register?](#)
- [Merge duplicate accounts](#)
- [I forgot my Username or Password](#)
- [More...](#)

Conditions of Use | Copyright and Disclaimer | Privacy Notice | Site Accessibility | Site Index | Contact Us

9:53 AM
1/14/2014

Human Subjects Research

Key points:

- Do not begin research with human subjects before you receive approval from the IRB
- Data collected without IRB approval cannot be used for presentation or publication

Human Subjects Research

The IRB Application

Provide two hard copies and one electronic copy of your IRB application and Informed Consent Forms in Microsoft Word format to ORSP.

Human Subjects Research, continued

- **ORSP reviews the application for completeness and compliance.**
- **The IRB reviews the application and provides comments on needed clarifications, revisions or changes**
- **The PI provides needed clarifications, revisions or changes prior to receiving IRB approval**

ORSP Services

Proposal Preparation Assistance

- Liaison with funding agencies
- Pre-Write Conference
- Proposal development and submission support

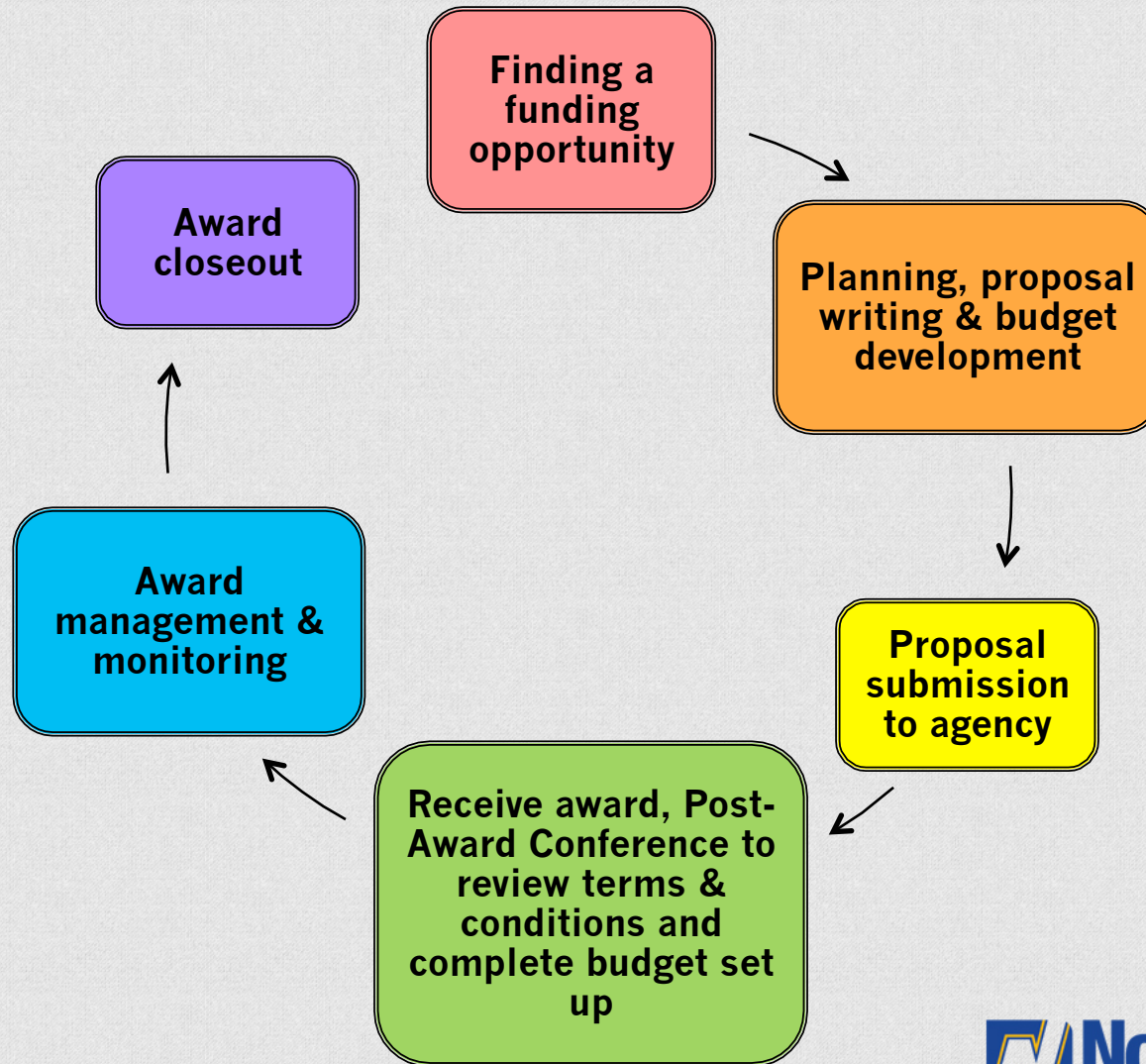
Grant Award Administration

- Post-Award Conference
- Financial management support
- Compliance and reporting support

Grant and Contract Lifecycle

Overview, Pre-Award Development, and Post-Award Compliance

Proposal/Contract Lifecycle Overview

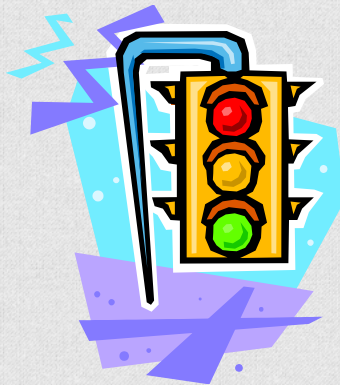


Pre-Award Development and Process Overview

- **Program Planning & Proposal Development**
- **Budget Development**
- **Internal Proposal Routing, Submission, and Just-in-time**

Program Planning and Proposal Development

- ORSP can help with finding and considering funding opportunities.
- Before selecting a specific opportunity, there are key facts that need to be confirmed from within the funder instructions/guidelines.



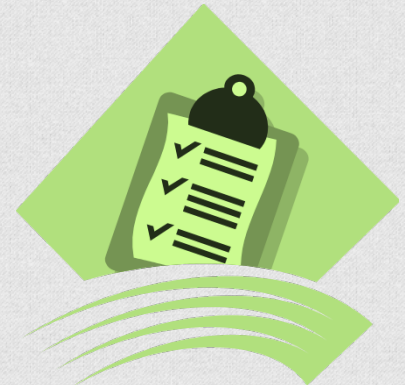
Program Planning and Proposal Development, cont.

- When a funding opportunity is chosen, notify ORSP right away!
 - ORSP has a lot of experience with funder guidelines.
 - ORSP will assist with proposal development planning and required components needed for proposal submission.



Budget Development

- A budget should be a best estimate of costs that clearly tie back to the programmatic elements of the project
- Budget guidelines vary for each funding opportunity. Key things to take note of:
 - Maximum or minimum budget limits
 - Budget format requirements
 - Budget items that are not allowed
 - Budget items that must be included
 - Cost sharing, cash/in-kind match or other institutional contribution



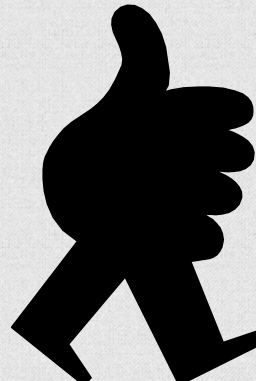
Budget Development, cont.

- **Allowable and Unallowable Costs may vary for each funding opportunity. Refer to the guidelines for rules.**



Internal Proposal Routing

- **ORSP routes all proposals for internal approvals before submission**
 - Routing should take place 5 business days prior to the submission deadline
 - Routing ensures that key NEIU stakeholders are in agreement with the details of the proposal



Proposal Submission

- **ORSP submits all institutional proposals** except those that require a 501(c)(3), which are submitted by the NEIU Foundation
- ORSP coordinates closely with PIs
- ORSP sends submission confirmation to project PIs

“Just-in-time” Process



- Up-to-date information on key personnel time commitments
- Revised budgets
- **Funder requests for just-in-time information should be routed to ORSP as soon as possible.**

Pre-Award Development and Process Recap

- Program Planning
- Proposal and Budget Development
- Evaluating Funding Opportunity Guidelines
- Internal Proposal Routing
- Proposal Submission
- Just-in-time

Award Receipt and Post-Award Compliance

- What to do When Your Project is Funded
- Compliance Tips and Resources



Award Administration:

What to Do When Your Project Is Funded



- Let ORSP know right away!
- Set up Post-Award Conference meeting(s) with ORSP
- ORSP obtains the signature of the Authorized/Institutional Official
- Awards are awarded to NEIU rather than to individuals
- Review of award Terms and Conditions for key issues

Award Administration:

Universal Rules of Thumb & Compliance Tips

- **Expenses charged to your grant account must be:**
 - allowable and directly related to the project
 - incurred during the project period
- **Reporting deadlines must be met**
- **Consider each award as unique and be familiar with the terms and conditions**
 - Ask ORSP any questions
- **Terms and conditions may be explicit and/or implied**
 - ORSP will assist with interpretation

Post-Award Compliance Policy Resources, (P. 13 in packet)

OMB A-21

Establishes principles for determining costs allowed for grants, contracts, and other agreements with educational institutions

http://www.whitehouse.gov/omb/circulars_a021_2004

OMB A-110

Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non - Profit Organizations

Establishes requirements for consistency in application of cost principles across federal funding agencies

http://www.whitehouse.gov/omb/circulars_a110

**U.S. Department of Education:
Education Department General
Administrative Regulation (EDGAR)**

Policy guide for funding from the U.S. Department of Education

<http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**National Science Foundation:
Award and Administration Guide
(AAG)**

Policy guide for funding from the National Science Foundation (NSF)

<http://www.nsf.gov/pubs/policydocs/pappguide/nsf14001/aagprint.pdf>

**National Institutes of Health:
Grants Policy Statement**

Policy guide for funding from the National Institutes of Health (NIH)

http://grants.nih.gov/grants/policy/nihgps_2013/

**Research Terms & Conditions
(RTC)**

Federal-wide, standardized core set of terms defining conditions when prior approval is waived or required for grantees

If an award notice cites Research Terms and Conditions (RTC), then there is guidance about which administrative actions will require prior funding agency approval and which will not require prior agency approval

<http://www.nsf.gov/awards/managing/rtc.jsp>



Award Receipt and Post-Award Compliance Recap

- What to do when you get an award
- Award terms and conditions
- Compliance

PROJECT LAUNCH AND EXECUTION



Grant Award Notification

- Notify ORSP right away and send a copy of the GAN or other award notice.
- ORSP will start to work with the PI immediately to set up the grant.



POST-AWARD CONFERENCE

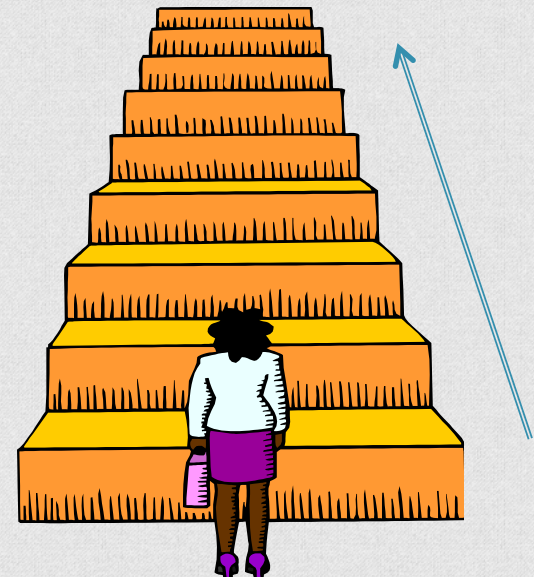
- *PI meets with ORSP to:*
 - *Review the terms of the grant*
 - *Set up the grant budget*
 - *Complete all required NEIU budget launch paperwork*



Post-Award Process

1. Initial meeting between ORSP & PI
2. ORSP obtains Grant Code/Fund #
3. ORSP & the PI work together to complete the Post-Award Packet
4. ORSP sends the completed Post-Award Packet to the Budget Office
5. ORSP enters grant information into Banner and the budget becomes “live”

“Live” budget



Initial meeting

The Advantages of Post-Award Packet

- All post-award forms are available at ORSP
- ORSP expedites forms for signatures and saves PI from getting signatures all over campus
- All forms are kept together and grant records are easily accessible

The Post-Award Packet

1. Grant Cover Sheet
2. Budget Sheet
3. Budget Transfer Request
4. Financial Information Request Form
5. Application for Fund Number
6. Authorized Financial Manager Signatory Cards



Project Launch

- Notify ORSP when you receive your GAN
- Schedule a Post-Award Conference with ORSP
- Complete the paperwork to set up your project & budget

Happy spending!



Key Terms to Note:



F-O-A-P

- Identifies a specific grant award
- Consists of 4 components: the Fund, the Organization, the Account and the Program
- Is used to make purchases, charge expenditures, etc.
- Each FOAP has an identified Financial Manager

What are Account Codes?

Personnel	Salaries/Wages	619000
	Retirement Contribution (SURS)	621160
	FICA Contribution (FICA/Medicare)	621170
	Group Insurance (Health, Dental, Life)	621180
Non- Personnel	Contractual Services	710000
	Travel	720000
	Commodities/Supplies	730000
	Equipment	740000
	Telecommunications	750000
	Operation of Automotive Equipment	760000
	Award & Grants (Tuition Waivers, Awards Matching)	770000
	Cost Sharing	780000
	Indirect Cost	785000
	Permanent Improvements	790000

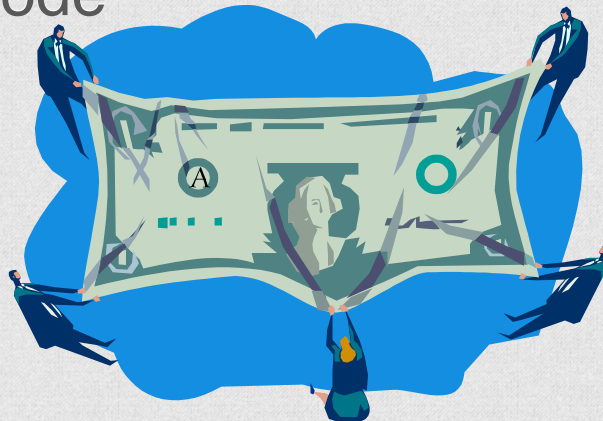
Account Codes

- Identify specific pots of money within a grant budget
- Specify what the money is to be used for
- Are either pooled/roll up or detailed
- Roll up Account code for Commodities/supplies **73**0000
- Detailed account code for office supplies (pencils) **73**1308

Budget Sheet



- A working budget document created to facilitate spending
- Is used as a reference on budget details
- Budget details are transparent and charged to the correct account code



College: _____
 Name of Grant: _____
 Grant Period: _____
 Sponsor: _____
 OSP Proposal Number: _____

<u>PERSONNEL</u>		
<u>Description</u>	<u>ACCOUNT</u>	<u>AMOUNT</u>
Principal Investigator: Bryan X (30%)	619000	25,000
Project Coordinator: Charlotte Y (50%)	619000	20,000
TOTAL		44,000
<u>FRINGE BENEFITS</u>		
<u>Description</u>	<u>ACCOUNT</u>	<u>AMOUNT</u>
SURS (11.71%): Bryan X	621160	2,927.50
Medicare (1.45%): Bryan X	621170	362.50
Health, Dental & Life (\$1,984 + \$22.72): Bryan X	621180	7,224.19
FICA (6.2%): Charlotte Y	621170	1,240
Medicare (1.45%): Charlotte Y	621170	290
TOTAL		12,044.19
<u>CONTRACTUAL SERVICES</u>		
<u>Description</u>	<u>ACCOUNT</u>	<u>AMOUNT</u>
Conference Registration	710000	100
External Evaluator	710000	10,000
TOTAL		10,100
<u>TRAVEL</u>		
<u>Description</u>	<u>ACCOUNT</u>	<u>AMOUNT</u>
National Conferences	720000	2,500
TOTAL		2,500
<u>COMMODITIES & SUPPLIES</u>		
<u>Description</u>	<u>ACCOUNT</u>	<u>AMOUNT</u>
Office Supplies	730000	2,000
Printing/Duplication	730000	500
TOTAL		2,500

Account codes

Types of expenses

Recap of Key Terms

F-O-A-P

- *Fund* – where the money is coming from
- *Organization* – college/department the grant is assigned to
- *Account* – type of income, expenses, assets, liabilities, etc.
- *Program* – for the University's financial reporting purposes

Account Codes

- Identify specific pots of money within a grant budget
- Specify what the money is to be used for
- Are either pooled/roll up or detailed

GRANTS 101 RECAP OF KEY POINTS

What the PI Does:

Pre-award

- Informs the Unit Head about the proposal and time/effort
- Contacts ORSP & work with ORSP on developing the proposal

What ORSP Does:

Pre-award

- Assists with developing proposal & budget preparation
- Ensures proposals meet agency guidelines
- Expedites campus review

GRANTS 101 RECAP cont.

What the PI Does:

Post-award

- Works with ORSP and other NEIU units to complete business processes
- Routinely monitors project activities and budget status.
- Responsible for project performance reports, annual reports, etc.

What ORSP Does:

Post-award

- Works with Grant Accounting to enter the grant budget in Banner so that the PI can start spending
- Assists PI with Post-Award activities as needed

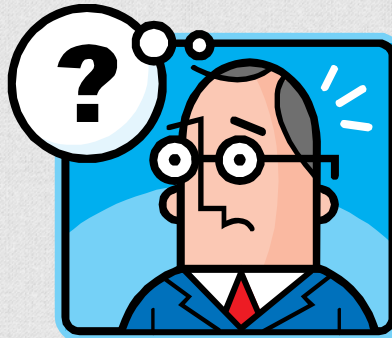


Red Flags to Look Out For:

- Delayed budget launch
- Inadequate budget monitoring
- Inadequate PI oversight
- Incorrect charges
- Late reports to funders
- Overspending
- Underspending



QUESTIONS?



Sign up for Self-Service Banner Training

Hands-on fun for everyone!

