ANTHROPOLOGY GRADUATE STUDENT GRANTS WORKSHOP

Weinberg Research Administration

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

Research Administration in the Weinberg Dean's Office

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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