PI Perspective
• Troll grants.gov
• Check out foundation websites – FSM Foundation Relations
• NU Office of Research Development email lists – matchmaking
• FSM Research Office
• Sign up for any and all email lists:
  • NIDILRR Announcements, NIDILRR-announcements@naric.com
  • Subscribe to CDMRP on YouTube: http://www.youtube.com/CDMRP
  • The more you submit and apply for grants the more you find yourself added to email lists
• Network
  • Find collaborators...they may have access to internal funding too!
  • Introduce yourself to funding program officers – some mail out information
  • Industry colleagues – FSM Research Partnership Developments
Submit Application
Read the instructions
Write the science
Figure out the budget*
Assemble all ancillary documents*
Internal approvals/forms*
(*with help from RA)
Submit Application
- Read the instructions
- Write the science
- Figure out the budget*
- Assemble all ancillary documents*
- Internal approvals/forms*
  (*with help from RA)

Notice of Award
- Know terms of award
- Get your chart string
Submit Application
Read the instructions
Write the science
Figure out the budget*
Assemble all ancillary documents*
Internal approvals/forms*
(*with help from RA)

Notice of Award
Know terms of award
Just in time documents
Get your chart string

Manage Project
People, tasks, dollars, reporting, regulations...
Do the science

Find the funding
Manage Project
People, tasks, dollars, reporting, regulations…
Do the science

Submit Application
Read the instructions
Write the science
Figure out the budget*
Assemble all ancillary documents*
Internal approvals/forms*
(*with help from RA)

Close the Award
No cost extension?
Reconcile budget
Tally your outputs

Notice of Award
Know terms of award
Just in time documents
Get your chart string

Find the funding
What I’ve Learned

• Identify and work with your research administrator (RA)
  – OSR point person
• Give your RA the heads up as early as possible about submitting an application
• Meet regularly with RA to manage your project
  – Also meet regularly with study team
• Take any training you can find!!!!!!!!!!!!!!!!!!!!!
• Frustrations are inevitable
  – Every project is different
  – Every grant/contract is different
  – Every funding agency is different
  – Regulations change regularly
Northwestern University
Chicago Campus

David Lynch
Executive Director
Office for Sponsored Research
Mission

The Office for Sponsored Research serves as Northwestern University’s central research administration office and the institutional point of contact for external research sponsors.

OSR provides comprehensive pre- and post-award services including proposal review, submission, award negotiation, nonfinancial post-award administration and reporting, amendments, closeout and training services.

OSR will assist with the interpretation of regulatory requirements and provides oversight of compliance systems and related policies.
OSR Chicago

Executive Director

Grants Team
- 2 Senior Grants Contract Officers
- 3 Grants Officers
- 1 Associate GO
- 1 Assistant GO
- 4.5 Grants Assistants

Governmental Contracts Team
- 1 Senior Contract Grants Officer
- 1 Assistant Grants Officer

Corporate Team
- 4 Senior Contract Grants Officers
- 2 Contracts Officers
- 3 Coordinators of Administration and Grants

Department Assistant
OSR Grants Team Responsibilities

**Grants Officers** provide a full range of pre- and post-award services to the University research community, including proposal review, contract negotiation, subcontracting, reviewing requests for budget changes, no-cost extensions, prespending authorizations, issue outgoing subawards and oversee subrecipient monitoring and secure signatures and authorizations on behalf of Northwestern University. They serve as liaisons between NU faculty/staff, subrecipient organizations and governmental and nonprofit sponsors/funding agencies.

**Grants Assistants** provide pre- and post-award review of all extramural funding activities. They review budgets for accuracy and insure that both University policy and funding agency/sponsor guidelines have been met on all proposal submissions. Grants Assistants also support Grants Officers in creating University accounts for sponsored programs; they serve as liaisons between departments, OSR, and Accounting Services for Research and Sponsored Programs (ASRSP) in establishing such accounts.
Contract and Grant Officers are responsible for preparation, review, redlining, and negotiation of contracts and other sponsored programs agreements. These typically industry sponsored basic and clinical trial agreements and associated agreements such as confidentiality disclosure, data use and material transfer agreements.

Coordinators of Administration and Grants are responsible for coordination and administration of industry sponsored clinical trial and basic research proposals and accounts, and non-funded material transfer agreements, data use agreements and confidentiality agreements.
Award Types

• Grants/Cooperative Agreements

• Contracts

• Subawards

• Industry sponsored Clinical Trial Agreements (and basic science agreements)

• Other related agreements:
  • Non-Disclosure Agreements (Confidentiality Agreements)
  • Material Transfer Agreements
  • Data Use Agreements
  • Master Agreements
FY15 Proposal and Award Activity

- Submitted 2066 proposals with a combined value of $1.68B (12% increase)
- Activated 1778 awards, combined valued at $408M (6% increase)
- Issued 700+ outgoing subaward agreements; 34% new, 66% amendments
- Negotiated 1929 clinical research agreements (all types)
Awards % Total by Sponsor Type (FY15)

- DHHS: 43%
- DOD: 10%
- NSF: 3%
- Vol Health: 4%
- Other: 3%
- Indus: 20%
- Found: 7%
- Other Fed: 10%

FY14 Comparison

Proposals % Total by Sponsor Type (FY15)

- DHHS: 68%
- NSF: 7%
- Vol Health: 4%
- Other: 3%
- Indus: 9%
- Found: 4%
- Other Fed: 10%

FY14 Comparison
Take home points

Research awards are made to Northwestern University
- Faculty and staff are employees of NU
- Faculty carries out research in their role and to support the institutional mission
- Staff maintain the administrative policies, systems and procedures in its role and to support the institutional mission
Take home points

Nurture the faculty-staff partnership
- Identify your Research Administrator and work closely with them
- Trust their administrative expertise
- Respect the organizational structure and communication lines
- Faculty focus is science, staff focus is business
Take home points

Be a good steward of extramural funding support, exercise honesty and integrity in science, maintain public trust

- Annual audits
- NU Compliance and Integrity program
- Program reviews
- False Claims Act
- Follow the rules because everyone is watching
Questions?
Research Accounting
(ASRSP)

Presented by Kathy Mustea
12/14/15

Northwestern
ASRSP Responsibilities

- Financial reporting and compliance
  - Prepares all interim and final financial reports
  - Generates invoices where required
  - * Timeliness of reporting is becoming Key!
- Audit intermediaries
- Collects receivables
  - Deposits revenue (wire transfers, checks, cash, refunds, rebates)

➢ Have a check in your hands for a grant? Send it to ASRSP for deposit.
Other ASRSP Duties

- Provides Approval for some transactions
- Reviews and approves sponsored project adjustments
- Inventories government-titled equipment
- Subcontract payments

Please note we don’t like saying No, so the easier you make it for us to say yes the better.

- Follow compliance rules and make request early as possible so we can assist you
Auditing Hot Topics

• Cost Transfers/Corrections, especially those over 90 days old
• Effort Reporting Timeliness
• Late reports (Progress reports & Financial)
• Exceeding Salary caps (NSF 2 month, NIH)
• Unallowable items found on grants
  ➢ Remember that not all grant related expense are necessarily allowable as direct cost to a grant.
Things to watch out for

• Expenses must be incurred within the grant period

• Communicate with RA and hold them accountable for your awards

• Non-federal projects – can be more restrictive
  • Ex: may not allow No Cost Extensions or carryover

• Delinquent or Non-payment by sponsor
  • Your department may use your start up funds or PI account to pay for these and any other cost overruns.
PI responsibilities

• It is your name and reputation on the project: know what is being charged
  • Read and understand award "terms and conditions" and note restrictions with the use of funds
• Purchase items according to sponsor and university guidelines
  • Create a final budget or revise budget following sponsor guidelines, know what requires sponsor approval
• Review expenditures alongside your RA on a monthly basis. Ask them to go over your financial statements.
• Understand Effort Reporting fundamentals
• Understand Program Income and how it must be reported
Communicating with your RA

- Does this grant allow me to carryover a balance? If not what can I do to request those funds if I should need them?

- Does this grant allow me to re-budget funds? If so I plan to make the following changes do you think they are allowable? Be specific so they can do the homework for you.

- What is the deadline for a No Cost Extension?

- When is my progress report due?

- Regarding financials make sure all salaries are posting correctly and all expenses are posting. If your going over budget or are very under budget have them explain why. They should be following your budget plan so something is off.
Signature Required- PI Certifications

• Before signing anything, read and understand what you are signing.
• Timeliness is important.
  • Types:
    – Effort (Quarterly)
    – Budget statement (Review monthly)
    – Program income (at Reporting)
    – Transactions that need to be corrected over 90 days old.
  ◆ PI’s will be asked to sign off on transaction over 90 days old.
  • If you are frequently signing, that’s a red flag there is a problem in the department.
Sample of Typical Unallowable Costs

- Entertainment
- Alcoholic beverages
- Use of foreign air carriers (Act of Congress)
- Air/rail fare above the lowest available cost
- Telephone (basic recurring service)
- Memberships
- Fees (due to errors or mistakes may not be allowable)
- Office Supplies/Services - with no proper documentation
- Borrowing money from one grant by charging expenses to it that belong on a pending grant is not allowed it is stealing.
- Watch your Language “It is where I have money available” (Illegal/Fraud).
- Certain repairs or installation of equipment
How to locate your GCFA

- Easy way: We are listed on the GM045 Budget Statement header
ASRSP = Stewardship & compliance of sponsored funding.

We are here to protect you and the university. In order to understand your situation we may ask a lot of questions in some cases. Please do not get offended when we ask for details or request additional information. Your full cooperation will allow us to approve your request.
Questions?

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http://www.northwestern.edu/asrsp/