# Fundamentals of Grant Management for the PI

## Small Office Solutions

# Personal/Institutional Backgrounds

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# Office Characteristics

## Franklin & Marshall – Institution #1

- Combined: Sponsored Programs and Foundation & Corporate Relations (as Office of College Grants)

- Reporting to: Senior Director of College Grants & Assistant Dean for Academic Advancement

- Office Staff:
  - SPO – 2.5 FTE
  - Office Coordinator (also Internal Grants & IRB staffing) – 1.0 FTE
  - FCR – 2.0 FTE
  - Embedded Fiscal (both faculty & institutional awards) – 0.4 FTE

## University of Bridgeport – Institution #2

- Stand Alone: Sponsored Research and Programs Office

- Reporting to: Senior VP for Graduate Studies and Research

- Office Staff:
  - SPO – 2.0 FTE
  - Office Coordinator – 1.0 FTE
  - No formally committed percent of time to Fiscal Management – distributed between three employees

# Who Are You?

# Challenges at Institution #1

- Organizational Structures Unclear ➔
  - Question: How can faculty learn who can assist them at various junctures of the grants management process?

- Faculty Learned to Manage Grants from Peers ➔
  - Question: How to overcome deficiencies of "word of mouth" transmission of "knowledge"?

- Forensic Research Administration ➔
  - Question: How can faculty/staff capture & manage key post-award decisions/changes for future reference in a consistent fashion?

# Challenges at Institution #1 (cont.)

- Money Left on Table ➔
  - Question: How to ensure faculty expend award fully, and have sufficient time/rationale for NCE's?

- Novice/Expert Divide and "Pig in the Middle" ➔
  - Question: How to address faculty/staff (and staff/staff) communication issues?
  - Question: How to engage interest of finance personnel in purpose of the award?

- Changes/Differences in Funder Requirements ➔
  - Question: How to easily integrate differing terms & conditions, compliance requirements, and so on, in faculty training?

# Challenges at Institution #2

- Challenges at Institution #2 mirror Institution #1's challenges quite closely…

- Additionally:
  - Institution #2 experienced a gap between salient post-award services provided to PIs and the support PIs expected/needed .
  - Institution #2 has established policies for federal grant compliance but is less formalized in terms of well-defined procedures and roles for grant management.

# Concurrent Session Learning Objectives

1. Identify PI-critical post-award compliance and management responsibilities

2. Organize a checklist of key post-award tasks over the life of the grant

3. Identify effective strategies to build bridges between PIs and financial grants staff

4. Adapt another institution's grant management processes and forms to work with your institutional organizational structures and processes

# Institution #1 Solution

- Individualized "Fundamentals of Grant Management" Sessions
- "Mid-Year Program Check-In" Meetings
- "Grant Close-Out Check In" Meetings
- Budgeting Parameters Tool

(See also slide #20)

# Institution # 1: Fundamentals of Grant Management

**FUNDAMENTALS OF GRANT MANAGEMENT**
FACULTY MEMBER & STAFF REVIEW FOR NEW AWARDS

| | |
|---|---|
| **Date:** | |
| **PI/Co-PIs:** | |
| **Funder/Program:** | |
| **Project Title:** | |
| **Award Date:** | |
| **Award/Subaward Number:** | |
| **Project Period** | |
| **Award Amount** | |
| **iFOAPAL #:** | |
| **Prime Institution (if other than F&M):** | |
| **Subrecipient Institution (if applicable):** | |
| **Attendees:** | |

| TOPIC | REVIEWED | COMMENTS |
|---|---|---|
| **Federal/Other Funding Agency Requirements** | | |
| 1. Review award **terms and conditions** with PI/PIs, including **performance and financial reporting** requirements, and **compliance issues and requirements.** Review rebudgeting requirements for situations when the proposed budget amount differs from the award amount. | | |
| 2. As applicable, point PI/Co-PI to funder **award management guidelines.** | | |
| 3. Review funder's policy on **pre-award costs** | | |
| 4. Review **travel rates** and, if **international travel** is included in a federal award, review the **Fly America Act** requirements. | | Federal travelers are required by 49 U.S.C. 40118, commonly referred to as the "Fly America Act," to use U.S. air carrier service for all air travel and cargo transportation services funded by the U.S. |

# Institution #2 Interim Grants Management Table Allocation of Responsibilities

| Area | Tasks | Person(s) responsible |
|---|---|---|
| Grant agreement finalized | Terms and conditions reviewed, negotiated, and approved | |
| | Review financial terms and conditions of the grant<br>(1) In the Grant Agreement<br>(2) In separate funder documents<br>(3) Uniform Guidance (all federal grants) | |
| UB Grant Account set-up | Establish GL# for grant | |
| | Establish GL# for matching commitment (if applicable) | |
| | Grant folder set up in Shared Drive | |
| | Grant agreement scanned and uploaded to grant folder in Shared Drive | |
| | Approved line-item grant budget (and matching budget if applicable) document uploaded to grant folder in Shared Drive | |
| | Notify grantsaccounting@bridgeport.edu | |
| | Populate the line-item approved budget (and matching budget if applicable) into Colleague | |
| | Transfer matching funds to match GL account (if applicable) | |
| | Give PI access to the Colleague grant budget (and matching budget if applicable) | |
| | Receivable is set up for revenue – whole amount – year end adjustment | |
| PD/PI Orientation | Explain expenditure paperwork/approvals process | |
| | Explain access to Colleague view of grant expenditures | |
| | Explain grants accounting questions email to grantsaccounting@bridgeport.edu | |
| Shared Drive Management | Access to Shared Drive | |
| | Enter new grant account information into Grant Account Excel Sheet (non-scholarship funds) | |
| | Enter new grant account information into Grant Account Excel Sheet | |

# Adaptation by Institution #2: Fundamentals of Grants Management

- Successes
  - Initiated an orientation meeting for new grant awards with PI, financial office representative, and director, OSRP.
  - For most grants, the financial office representative posts the grant budget to the institution's Colleague Finance module for potential PI access.
- Challenges
  - Some PIs do not acquire access to the Colleague Finance module, instead relying on requests for printed reports generated upon request by the financial office representative.
- Lessons Learned in Adaptation
  - The current meeting appears insufficient for PIs.

# Institution # 1: Mid-Year Program Check In

**FRANKLIN & MARSHALL COLLEGE**

**MID-YEAR PROGRAM CHECK IN**

FACULTY MEMBER & STAFF REVIEW FOR EXISTING AWARDS

| | |
|---|---|
| *Date:* | |
| *PI/Co-PIs:* | |
| *Funder/Program:* | |
| *Project Title:* | |
| *Award Date:* | |
| *Award/Subaward Number:* | |
| *Project Period* | |
| *Award Amount* | |
| *iFOAPAL #:* | |
| *Prime Institution (if other than F&M):* | |
| *Subrecipient Institution (if applicable):* | |
| *Attendees:* | |

| | YES | NO | N/A | NOTES |
|---|---|---|---|---|
| 1. Review Cognos report and summary of account activity (attached). | | | | |
| 2. Discuss remaining account balance, if any, and line item spending in relation to grant budget. | | | | |
| 3. Are there any unallowable charges showing in the account (i.e. alcohol purchases with federal funding dollars)? | | | | |
| 4. Are there any charges appearing in the account that shouldn't be there? | | | | |
| 5. Are any budget categories overspent? If so, identify the category and discuss a corrective action plan in the box provided. | | | | |
| 6. Are any transactions miscoded? If so, list the miscoded transaction(s), the amount to be moved, and where the expense should go. | | | | |
| 7. Is a budget reallocation needed? If so, please provide the details and a rationale for the budget | | | | |

# Adaptation by Institution #2: Mid-Year Program Check-In

- ## Successes
  - The plan identifies the financial office representative to approve expenditures as per their alignment with the approved grant budget as part of the institutional approval process.
  - The plan identifies the finance office representative to review expenditures with the PI on a quarterly basis to make sure that funds are being spent in a timely fashion.
- ## Challenges
  - Approvals were partially implemented.
  - The meetings have not occurred regularly.
- ## Lessons Learned in Adaptation
  - Institutionalization of new procedures may not be easily achieved when other priority tasks take precedence in departments that are involved.

# Institution # 1: Grant Close-Out Check In

**FRANKLIN & MARSHALL COLLEGE**
**GRANT CLOSE OUT CHECK IN**
FACULTY MEMBER & STAFF REVIEW for EXISTING AWARDS

| | |
|---|---|
| *Date:* | |
| *PI/Co-PIs:* | |
| *Funder/Program:* | |
| *Project Title:* | |
| *Prime Award Number* | |
| *Award Date:* | |
| *Project Period:* | |
| *Award Amount:* | |
| *Account #:* | |
| *If F&M is the sub-awardee:* | |
| *Prime Institution* | |
| *Sub-award agreement #:* | |
| *Match Acct. # (if applicable:* | |
| *Attendees:* | |

| | YES | NO | NOTES |
|---|---|---|---|
| 1. Review summary of account balance (attached). | | | |
| 2. If applicable, discuss plans to spend down remaining balance. | | | |
| 3. Are there any unallowable charges showing in the account (i.e. alcohol purchases with federal funding dollars)? | | | |
| 4. Is the account overspent? If so, please indicate where to charge the overage. | | | |
| 5. Are there any charges appearing in the account that shouldn't be there? | | | |
| 6. Are any transactions miscoded? If so, list the miscoded transaction(s), the amount to be moved, and where the | | | |

# Adaptation by Institution #2: Grant Close-Out Check In

- Successes
  - Grants are properly closed out.

- Challenges
  - Current practice relies heavily on one member of the finance staff who has a substantial workload.

# Institution # 1: Pre- and Post-Award Budgeting Parameters Tool

*Last Updated: August 11, 2017*

**PRE- AND POST-AWARD BUDGETING PARAMETERS TOOL**
RATES FOR BUDGETING AND RE-BUDGETING, AND GUIDELINES FOR PROPOSING AND MANAGING YOUR GRANT
**Franklin & Marshall College**

**Effective Period:** July 1, 2017 – June 30, 2018 (*Please note: this document is subject to change due to the nature of the external grant-seeking environment.*)

**Reviewed for Use By:** The College Grants Council; Laura Fiore, Assoc. Vice President for Human Resources.

**Useful For:** 1) Development of externally-funded proposals and proposal budgets by faculty or project staff.
2) Development and review of budgets for externally funded projects across the College including, but not limited to, the Provost's Office, Office of College Grants, Finance and Administration, Office of the Dean of the College, and College Advancement.
3) Ensuring costs are reasonable, allowable at the funder or institutional level, allocable to the proposed or funded project, and consistent with institutional and funder guidelines.
4) Management of externally funded awards by PIs or Project Directors.

**Franklin & Marshall Info:** 415 Harrisburg Ave. PO Box 3003, Lancaster, PA 17604-3003
**EIN/TIN:** 23-1352635      **DUNS #:** 069773646      **PA-SAP Vendor #:** 117560
**CAGE CODE #:** 0JKN8      **F&M Congressional District:** PA-016

**NOTE TO USERS:** The Pre- and Post-Award Budgeting Parameters Tool (BPT) necessarily is a detailed document, and is intended to comport with 2 CFR §200 for federal grants as well as with institutional requirements. If you have questions about planning for an externally funded project, the first and best thing you can do is to read the relevant application guidance. Then, as early as possible in your planning process, contact Amy Cuhel-Schuckers, Director of Faculty Grants and Compliance Resourcing, who can assist with things such as your early stage proposal development, project budgeting from a feasibility perspective, how/when to contact program officers, and acquiring example proposals.

With this document, we cannot anticipate all possibilities. The BPT is therefore a statement of policies and general practices as opposed to absolute statements on all matters. Additionally, please be aware that at the point of award and once each year of a funded project, OCG staff will meet with PIs/PDs to discuss issues of grant management.

If you have suggestions on how to improve the usefulness of this document, please contact Amy Cuhel-Schuckers or Molly Dellinger in the Office of College Grants. Contact information and titles for all persons or offices referenced herein appear on the last page.

| 1. PERSONNEL COSTS & CONCERNS – FACULTY | Federal | Non-Federal |
|---|---|---|
| **1.A. HOW DO I CALCULATE FACULTY SUMMER AND ACADEMIC YEAR SALARY FOR MY BUDGET?** In most cases, faculty are limited to 2 months summer salary; if explicitly allowed by a funder, this may be increased to a maximum of 2½ months of summer salary. -To calculate: Use the faculty member's projected academic year (AY) salary, or | | |

# Adaptation by Institution #2: Pre- and Post-Award Budgeting Parameters Tool

- Successes
  - The new Controller is taking the NCURA's On-demand Webinar, "Award Monitoring/Award Management."

- Challenges
  - Allocating sufficient time to develop, finalize, and put into practice detailed written guidelines can be difficult.

- Lessons Learned in Adaptation
  - Adapting another institution's guidelines as per differences in our institutions' infrastructure and practices requires careful consideration.

# Summation: Institution #2's Process to Adapt Institution #1's Procedures

- Institution #2 conducted a series of meetings with VP Finance & Administration, key members of F&A staff, and OSRP Director to develop an interim plan: identify and distribute post-award grants management responsibilities.
  - Included plan to eventually hire a part-time staff member exclusively for financial grants management.
- Institution #2's rationale for adaptation was to:
  - Establish a more formalized process
  - Clarify resources for PIs
  - Clarify PI grants management responsibilities

# Institution #1's Additional Innovation

- Grant-Related Institutional Policies and Procedures (GRIPP) Working Group, which includes the following representatives:
  - Director of Faculty Grants and Compliance Resourcing (Office of College Grants [OCG]), Chair
  - Associate Dean of the Faculty for Research (Provost's Office)
  - Controller and Director of Financial Reporting (Finance and Admin)
  - Grants Management Coordinator (OCG)
  - Associate Director of Foundation and Corporate Relations (OCG)
  - Senior Accounting Analyst (Controller's Office and OCG)

# Lessons Learned in Strengthening the Culture in Support of Faculty PIs

- Maintaining the institution's attention on the importance of developing and implementing streamlined, PI-friendly practices is essential.

- Introducing and implementing new procedures requires commitment to consistent practice.

- Reminder, "Rome wasn't built in a day."

# Questions?

# Our Contact Info:

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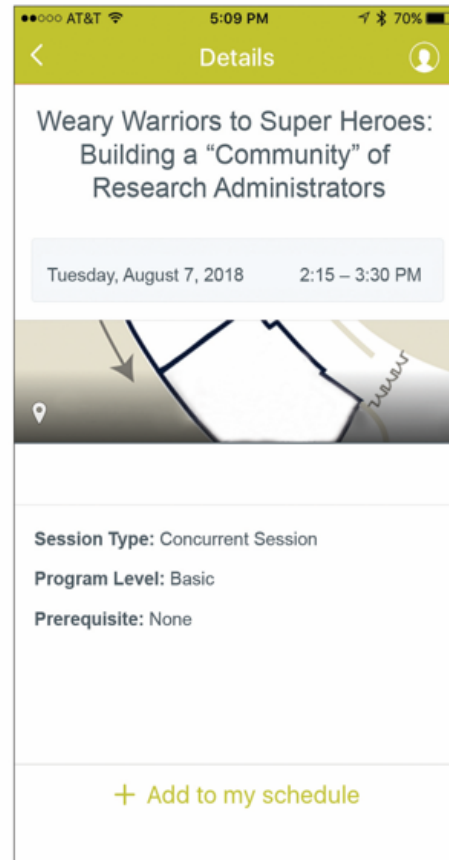University of Bridgeport, Bridgeport, CT
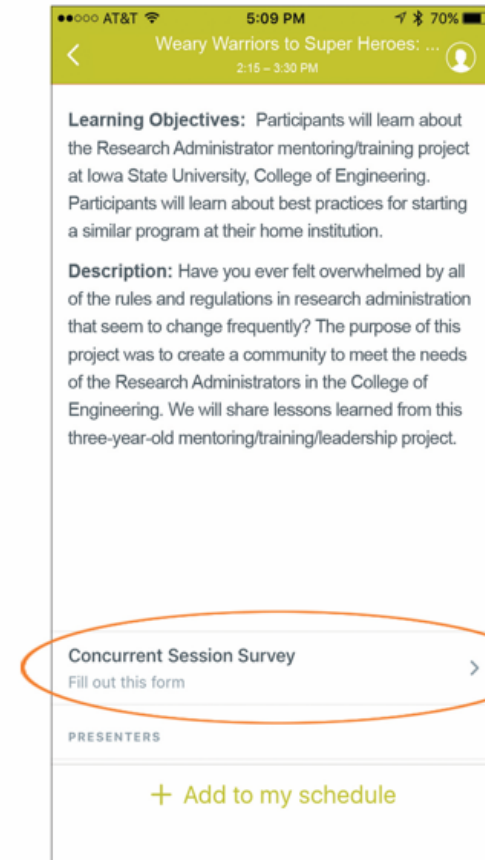
chemp@Bridgeport.edu

203-576-4973

# PLEASE RATE THIS SESSION

1. In Guidebook, search the schedule and open the session you are attending.

**Weary Warriors to Super Heroes: Building a "Community" of Research Administrators**

Tuesday, August 7, 2018     2:15 – 3:30 PM

**Session Type:** Concurrent Session

**Program Level:** Basic

**Prerequisite:** None

+ Add to my schedule

2. Open the details of the session.

**Learning Objectives:** Participants will learn about the Research Administrator mentoring/training project at Iowa State University, College of Engineering. Participants will learn about best practices for starting a similar program at their home institution.

**Description:** Have you ever felt overwhelmed by all of the rules and regulations in research administration that seem to change frequently? The purpose of this project was to create a community to meet the needs of the Research Administrators in the College of Engineering. We will share lessons learned from this three-year-old mentoring/training/leadership project.

**Concurrent Session Survey**
Fill out this form     >

PRESENTERS

+ Add to my schedule

3. Scroll down to enter the session survey and answer four multiple choice questions.