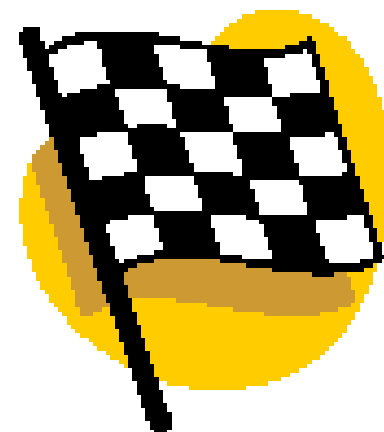


Managing Your Grant: A Roadmap to the Finish Line

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ORSP Post-Award Services

- Negotiation of awards, compliance review and notification of award to internal stakeholders
- Assistance with non-financial post-award matters, Eg; no-cost extension requests
- Assistance with understanding and interpreting complex agency requirements, Eg; prior approval requests
- Revising grant award budgets in accordance with sponsor guidelines
- Negotiate continuing/incrementally funded awards with federal and non-federal sponsors
- Drafting, review and management of subawards
- Assisting with the timely submission of interim and final programmatic reports
- *And many more.....when in doubt, ask!*

Individual and Institutional Responsibilities

- The Principal Investigator/Project Director is responsible for carrying out the project, *however*, the institution is the legal recipient of the award and ultimately responsible for ensuring the project is conducted in accordance with sponsor guidelines, rules and regulations.

Types of Awards



- Grant: financial assistance provided by a sponsor in support of a public purpose, or need. Eg; Research, Training, etc.
 - Subaward: a transferring of a substantive portion of the scope of work to an external entity.
- Cooperative Agreement: similar to a grant, however, sponsor is substantially involved in programmatic work.

Types of Awards- Continued

- Contract: acquisition of property or services for the direct benefit or use by the sponsor. A procurement action. Eg; Dept of Defense contract for testing and analysis services.



Federal Regulations

Cost Principles for Educational Institutions (OMB Circular A-21)

- Guide to allowable and unallowable charges
- Some examples

Allowable	Unallowable
<ul style="list-style-type: none">• Salaries and Wages; Fringe Benefits• Consultants• Materials and Supplies• Equipment• Membership in business, professional, technical societies• Travel• Subawards	<ul style="list-style-type: none">• Alcohol• General use office supplies• Entertainment Costs• Advertising/Public Relations Costs• Administrative Costs (covered by F&A)

Indirect Costs: What and Why?

- Commonly referred to as “Overhead”, or “Facilities & Administrative” Costs.
- Are charged to reimburse the University for the associated costs of performing research and other sponsored activities.
- Pays for maintenance of labs, utilities, administrative and library staff, to name a few.
- MSU’s current federally negotiated overhead rate is 59% of salaries and wages.

Sponsor Guidelines

- Non-Federal Sponsor Guidelines
- Federal: guidelines to implement the Federal Regulations and supplement agency-specific requirements
 - [NSF Grant Policy Manual \(new changes eff. 01/13!\)](#)
 - [NIH Grants Policy Statement](#)
 - [NASA Grant & Cooperative Agreement Handbook](#)

Changes: Prior Approvals

- Prior Approval Matrix: Very useful!
 - Expanded Authority which assigns the university the authority to approve some changes that require prior approval

http://www.nsf.gov/bfa/dias/policy/fedrtc/priorapproval_oct08.pdf

- Some common scenarios that typically require agency prior approval:
 - Absence or Change of PI
 - Change in Key Personnel
 - Subawards not in original proposal

Reporting: Non-Financial

- Technical Interim Reports
 - NIH SNAP and eSNAP
 - US Department of Education Annual Progress Report
 - New Jersey State Council on the Arts
- Final Technical Reports
 - NSF Project Outcomes
 - NIH eRA Commons
 - National Endowment for the Arts
 - New Jersey State Council for the Humanities

Grant Accounting



Expectations.....

- Your grant is not a gift. It comes with certain obligations on the part of the grantee and expectations on the part of the grantor.
- The success of an award is contingent not only on the ability of the PI to carry out the project but on the institution to provide proper financial guidance.
- It is our goal to support your project and assist you with all your financial needs.

Post Award Phase

- Once your grant or contract has been awarded ORSP will send Grant Accounting all of the necessary documents to establish an FRS Account from ORSP.
- Notification of the account number will be sent along with the following link to define your new access or update your current access:

<http://www.montclair.edu/finance/forms/frsapplication.pdf>

- We suggest at this time you arrange a meeting with Grant Accounting to discuss your budget and to answer any questions you may have regarding the financial management of your award. This will ensure that nothing will fall through the cracks.



Things to Remember....



Fringe: This is an automatic charge once payroll forms are submitted. When you hire someone you must consider the fringe amount and ensure your budget has an allocation for this expense.

Graduate Assistants: Grant Accounting will send an application to the Fiscal Agent for completion. Once completed and received from the Fiscal Agent, Grant Accounting will review, approve and send the application to the Graduate School for processing.

Effort Reports: In order to remain compliant with Federal Cost Principals, every semester including summer, you will be asked to certify your effort on your award.

Certification is required for individuals who have committed effort on a sponsored project.

Pcard for Restricted Accounts

- Grant Accounting, in conjunction with Procurement, is pleased to be able to now offer Pcards to some restricted accounts.
- Benefits include: discontinued use of personal credit cards, decreased need for check requisitions, decreased amount of transfers of expense, no vendor create forms, speed in the ordering process.
- If you feel your account can benefit from the use of a Pcard, please call Grant Accounting to schedule a phone conference to initiate the process.

**PLEASE NOTE: THIS DOES NOT TAKE THE PLACE OF
ON LINE REQUISITING**



Important FRS Screens

019 Screen

This is the snapshot of the overall status of your account. This shows the budget, expenses, encumbrances and available balance.

- Grants or 5 Ledger accounts have their budget in pools and the object codes draw down from the pool amount.

Remember: This screen is like a checkbook – if there are items in the system but not posted the available balance may not reflect the actual amount available.

023 Screen

This screen shows every transaction that occurs on your account.

- All expenses are reviewed and approved by Grant Accounting for compliance with the Federal, State and Local guidelines as well as the terms and conditions of the award.

Remember: Every expense must be prior approved by Grant Accounting.

Overview of 019 screen

Map Code: 21093			Flags:	Del	Frz	Rvw	Drp	Sup	ABR
				0	0	0	0	0	1
Obj	Description	Budget	Actual	Encumb			Avail		
1800	STUDENT ASSISTAN	2,400	0.00			0.00		2,400.00	
	PERSONNEL SERVICES	2,400	0.00			0.00		2,400.00	
1900	FRINGE BENEFITS	184	0.00			0.00		184.00	
	FRINGE BENEFITS	184	0.00			0.00		184.00	
	** SALARY/BENEFIT	2,584	0.00			0.00		2,584.00	
2000	MAT'L/SUPP POOL	99	0.00			0.00		99.40	
2450	OTHER MAT'L/SUPP	301	300.60			0.00		0.00	
	MATERIALS & SUPPLIE	400	300.60			0.00		99.40	
3000	TRAVEL POOL	516	0.00			0.00		516.00	
	TRAVEL	516	0.00			0.00		516.00	
	** NON-SALARY EXP	916	300.60			0.00		615.40	
	*** TOTAL EXPENSES	3,500	300.60			0.00		3,199.40	
	**** ACCOUNT TOTAL	3,500	300.60			0.00		3,199.40	

Overview of 023 Screen

Sub	TC	Ref 1	Date	Description	Amount	I	Batch	Offset	Acct
1700	022		04/30	TRANSFER REQUEST	300.00	D	AGM001	xxxxxx	-3100
1700	063		05/25	PAY PERIOD # 235	300.00		LD 489		-1610
2000	022		02/20	TRANSFER REQUEST	3,950.00	D	AGM001		-3100
2000	022		02/20	TRANSFER REQUEST	1,550.00	-D	AGM001		-3000
2000	022		02/20	TRANSFER CORR	1,550.00	D	AGM001		-3000
2000	022		02/20	TRANSFER REQUEST	1,500.00	D	AGM001		-3000
2000	022		02/20	TRANSFER REQUEST	50.00	D	AGM001		-3000
2000	022		04/20	TRANSFER REQUEST	500.00	-D	AGM005		-3100
2150	050	R124427	03/08	DIRECT PRINTING IMP	2,500.00	D	WGS004		
2150	051	R124427	03/13	DIRECT PRINTING IMP	2,500.00	-C	P003TH		
2150	050	P123910	03/13	DIRECT PRINTING IMP	2,500.00	D	P003TH		
2150	068	P123910	04/02	DIRECT PRINTING IMP	2,500.00		APD899	xxxxxx	-2100
2150	069		05/03	STUDIO 042 01 OF 01	165.00		PCD001		
2150	069		05/03	STUDIO 042 01 OF 01	165.00		PCD001		
2150	069		05/03	STUDIO 042 01 OF 01	165.00		PCD001		

Total Pages: 6 This Page: 1 Next Page: ____

Overview of 021 Screen

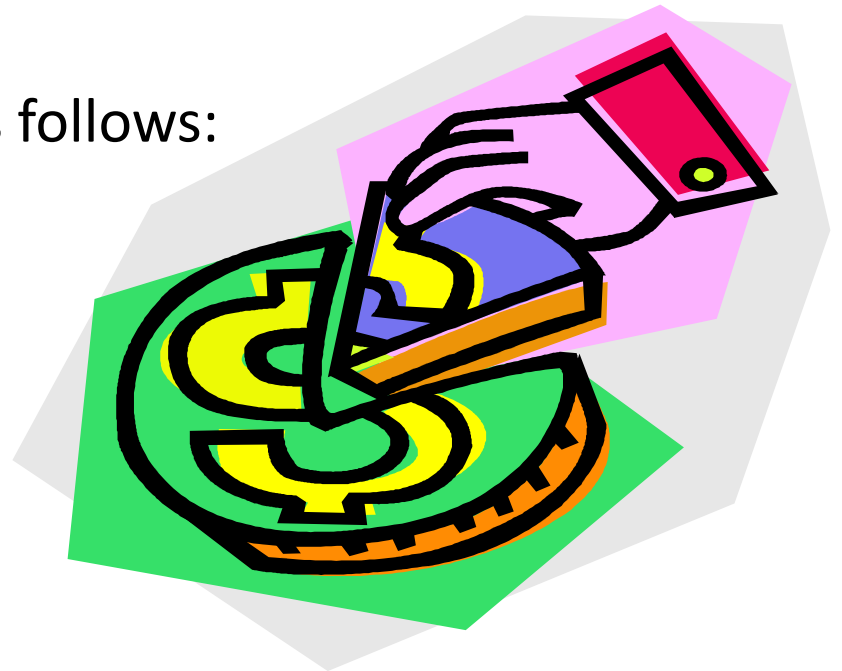
2450	P135189	05/16	552.00	552.00	0.00	0.00
U0000538450	10/16	TJM PROMOTIONS INC				
3010	TR50524	09/23	3,131.35	0.00	0.00	3,131.35
		09/23	[REDACTED] CHICAGO			
3010	TR50525	09/23	3,127.50	0.00	0.00	3,127.50
		09/23	[REDACTED] CHICAGO			
3650	S135193	05/16	500.08	0.00	0.00	500.08
U0000376320	05/16	METROPOLITAN MUSEUM				
3855	C2516	07/02	982.30	0.00	0.00	982.30
		07/02	7/3/13 COOKOUT			
7600	P142019	10/07	10,272.00	0.00	0.00	10,272.00
U0000082040	10/07	APPLE COMPUTER INC				

This Screen shows the status of all encumbrances. In this example, there are Supply, Travel, Other Services and Equipment encumbrances.

- Supplies, equipment: The numbers after the “P” indicate Fiscal Year
- Travel: The traveler’s name and destination are in the body - the TR number is displayed
- Other Services: The text is as descriptive as possible – in this case there was an event on 7/13/13
- The “S” indicates a standing order – This is used when there will be no receiving

Indirect Accounts

- Indirect Cost Charges are applied by the University to specific grants.
- Funds are allocated quarterly into accounts.
- The PI account is established during the initial set up of the grant.
- Generally the allocations are as follows:
 - Department 25%
 - PI 10%
 - ORSP 20%
 - University 30%
 - School 15%



Financial Reports and Revenue

- Each Grant is unique with the type of Financial Reporting that is required and the frequency of the submission of those reports.
- Working in conjunction with your award, Grant Accounting will provide you with every financial report for your review prior to submitting to the sponsor.
- Grant Accounting will be responsible to ensure that the grant is reimbursed by the sponsor.



Closing the Award

- Grant Accounting will send an email reminder 3 months, 2 months and 1 month prior to the end date of the award.
- Once all expenses are processed and all encumbrances closed, a final financial report will be completed.

Note: All items must be ordered, received and invoiced by the end date of the grant to be considered an allowable expense.

- It is our suggestion that all award recipients communicate frequently with Grant Accounting to review their budget, expenditures and to discuss any questions they may have.



Questions?

**OBJECT
CODE**

MATERIALS & SUPPLIES

**Pool
2000**

2010 Food
2100 Office Supplies
2125 Central Stores
2135 Central Duplication
2145 Xerox
2150 Printing & Duplicating
2300 Educational Supplies
2310 Library Books
2400 Housekeeping Supplies
2410 Clothing
2450 Other Materials & Supplies

TRAVEL

3000

3010 Conference
3015 Advance
3020 Business

Other Service

3100

3115 Telephone Usage
3230 Messenger Service
3300 Insurance
3310 Royalties
3410 Information Processing Service
3430 Software
3520 Security Services
3610 Educational Consultants
3620 Evaluation Consultants
3630 Co-op Teachers

**OBJECT
CODE**

Other Service - cont.

**Pool
3100**

3640 Honorariums
3650 Professional/Misc.
3820 Subscriptions/Memberships
3825 Registration Non Travel
3830 Advertising
3845 Reception VP Events
3855 Official Receptions
3860 Miscellaneous Services

Postage

3960

3965 Postage Meter
3970 Postage Stamps

Maintenance Charges

4000

4100 Equipment maintenance
4110 Office Equip. Maintenance
4120 Education Equip. Maintenance
4140 Lab Equip. Maintenance
4400 Rental Building & Grounds
4500 Rental - Vehicular
4710 Equipment Rental
4720 Charter Rental

Educational Equipment

7600

Data Processing Equip.

7700

Research Terms and Conditions Prior Approval and Other Requirements Matrix* ** **October 2008**

	AFOSR	ARO	AMRMC	EPA	NASA	NIH	NSF	ONR	USDA	DOC	DOE
General Requirements											
Change in Scope	Prior approval required										R
Absence or Change of PI	R	R	R	R	R	21	R	R	R	R	R
Need for Additional Funding	Prior approval required										R
Subaward of "significant part" of programmatic effort	R	R	R	R	R	2	R	R	3	R	1
Pre-award costs (90 days)	Prior approval waived										W
Pre-award costs (more than 90 days)	Prior approval required										W
Initial no-cost extension of up to 12 months (per competitive segment)	R	R	W	4	W	W	W	R	5	W	W
Subsequent no-cost extension or extension of more than 12 months	Prior approval required										R
Carry-forward of unexpended balances to subsequent funding	W	W	W	W	6	7	W	W	W	W	22
Cost-related Requirements											
Rebudgeting among budget categories	W	W	W	W	W	8	W	W	W	W	22
Rebudgeting between direct and F&A costs	W	W	W	W	W	8	W	W	W	W	22
Rebudgeting of funds allotted for training allowances (direct payment to trainees) to other categories of expense.	W	W	W	W	W	9	R	W	W	W	W
Equipment not in approved budget	W	W	W	W	W	8	W	W	W	W	22
Capital expenditures for improvement of equipment not in the	Prior approval waived										22
Alterations and Renovations costing less than \$25,000	W	W	W	W	W	11	W	W	W	W	W
Foreign Travel	W	10	W	R	W	W	W	W	W	W	W
Inclusion of costs requiring prior approval in Cost Principles	W	W	W	W	W	12	W	W	W	W	22
Faculty consulting compensation that exceeds base salary	Prior approval waived										22
Restrictions on costs not explicitly unallowable under Cost Principles	none	none	none	none	none	14	15	none	16	none	13

R Prior approval required. "Prior approval" means prior written approval from the sponsor. Prior approval can take the form of the sponsor's acceptance of the proposal and/or proposal budget and subsequent incorporation into the award, or written approval of a separate request submitted by the recipient.

W Prior approval requirement waived

- 1 Waived except when subaward would be more than 25% of the total dollars of the award
- 2 Waived unless change in scope and except when subawardee is foreign
- 3 Waived except when subaward(s) would be more than 50% of the total dollars of the award; required for any subaward to federal agencies
- 4 Waived except for extensions that would result in a project period in excess of five years
- 5 Waived only for first-time requests for extensions of 12 months or less
- 6 Uncommitted carryforward funds are to be included in the continuation proposal if they are "substantial."
- 7 Waived except when award indicates prior approval is required
- 8 Waived unless change in scope
- 9 Waived except for Kirschstein-NSRA grants
- 10 Waived, but trip report is required within 30 days after trip completion. See agency specific requirements, Article No. 17, Foreign Travel Reporting Requirements.
- 11 Waived for alterations and renovations costing up to \$300,000, unless change in scope or rebudgeting into A&R exceeds 25% of budget period total
- 12 Waived, but costs not specifically covered in the Circulars are subject to NIHGPS.
- 13 Interest penalties for late payment are not allowable
- 14 Prior approval required for patient care costs if change in scope
- 15 Prior approval required to modify the amount of cost sharing reflected on Line M of the award budget.
- 16 Non-working meals and compensation for harm to persons or property are unallowable; also other unallowable costs for awards made under statutory authority cited in Article 3 of the ASR are: graduate assistant tuition remission, F&A in excess of statutory amount, and fixed and real property.

Research Terms and Conditions Prior Approval and Other Requirements Matrix* **

October 2008

												AFOSR	ARO	AMRMC	EPA	NASA	NIH	NSF	ONR	USDA	DOC	DOE
Cost-related Requirements (cont.)																						
Inclusion of unrecovered F&A costs as cost sharing				Permitted									P									
Transfer of funds between construction and non-construction				Prior approval required									R									
Use of program income earned during the project period				Funds added to the amount available for the project									Same									
Use of program income earned after the project period				No obligation to the federal government									23									
Property-related requirements																						
Title to supplies with value of more than \$5,000 at the end of a				R	R	R	W	W	W	W	R	W	W	W								
Acquire real property				Prior approval required									R									
Encumber real property acquired with federal funds				Prior approval required									R									
Use real property acquired with federal funds for other non-federal projects rather than compensating the federal government for its fair				Prior approval required									R									
Encumber equipment acquired with federal funds				Prior approval required									R									
Trade in equipment purchased with project funds to buy replacement				Permitted									P									
Own equipment upon acquisition without conditions or without obligation to the sponsor at termination of project				Permitted									P									
Funding agencies' rights in data				Not waived									Not waived									
Use of valuation methods other than the lesser of book value or fair market value for contributed capital assets				Permitted									P									
Procurement requirements associated with the simplified acquisition threshold				Wherever FDP Terms and Conditions incorporate A-110 provisions referring to the "Small Purchase Threshold," the term "Simplified Acquisition Threshold" is substituted.									Same									
Equipment threshold				Even if institutions establish a threshold for equipment lower than \$5,000, the FDP provisions relating to equipment apply only to those items costing \$5,000 or more.									Same									
Project Management Requirements																						
Monthly submission of Cash Transaction Reports when advances exceed \$1 million/year				Not required									24									
Up-front specification of interrelationship among projects				Not required									24									
Publication acknowledgment and disclaimers				Required									R									
Additional requirements for use of human subjects beyond those imposed by federal law				none	none	17	none	none	none	none	none	none	none									
Additional requirements for use of anatomical substances beyond those imposed by federal law				none	none	17	none	none	none	none	none	none	none									
Use of sponsor budget forms for budget revisions				18	18	18	18	18	19	20	18	18	18									
Use of electronic records to meet record retention requirements				Permitted									P									

17 Army Surgeon General approval also required

18 Not required, but budget should be in same general format as original

19 Not required for SNAP awards; but others use "Next Period Budget" form page from PHS2590.

20 Must be submitted electronically via the NSF FastLane system at <https://www.fastlane.nsf.gov>

21 Required for the PI and any other individuals specifically named in the Notice of Award

22 Prior approval required for non-profits

23 For universities - no obligation to the federal government; for non-profits see special terms and conditions

24 Not required for universities

* Any of the waivers noted above may be over-ridden by a special term or condition of award.

** Only the full text of the Research Terms & Conditions and the Agency-specific Requirements (ASR) available electronically at: <http://www.nsf.gov/bfa/dias/policy/rtr/index.jsp> are authoritative.