

# **AN OVERVIEW OF POSTAWARD MANAGEMENT OF YOUR GRANT**

**Farin Kamangar, MD, PhD  
Morgan State University**

# D-RED SEMINAR SERIES

## *D-RED Grant-Writing & Management Seminar:* Budget Preparation for Grants

The MSU Division of Research and Economic Development (D-RED) is proud to present monthly seminars on grant writing and management.

### COME JOIN US THIS MONTH!

**Topic:** Budget Preparation for Grants

**Speaker:** Dr. Farin Kamangar

**When:** March 10, 2021

Slides, handouts, and questions will be shared.

Seminars will be  
hosted virtually  
from  
2:00-4:00pm.

**Register [here.](#)**

Connect with us  
on [zoom.](#)

### SEE WHATS COMING UP NEXT

Apr 14, 2021	<b>Tips for Post-Award Management of Grants</b> Dr. Farin Kamangar
May 12, 2021	<b>Using the D-RED Website as a Resource</b> Ms. Envia Malone
Jun 9, 2021	<b>Finding the Right Award to Apply For</b> Dr. Edet Isuk
Jul 14, 2021	<b>Tips for Award Submission</b> Ms. Ailing Zhang
Aug 11, 2021	<b>Budget Preparation for Grants</b> Dr. Farin Kamangar
Sep 8, 2021	<b>Subawards: What You Need to Know</b> Mr. Matthew Lee
Oct 13, 2021	<b>Time Compensation and Effort Reporting</b> Ms. Sharon John
Nov 10, 2021	<b>Compliance and Integrity in Research</b> Dr. Edet Isuk
Dec 8, 2021	<b>Tips for Post-Award Management of Grants</b> Dr. Farin Kamangar



*Office of Research  
Administration*

# INNOVATIONS IN URBAN RESEARCH AWARDS

- **Funds**: Provost through the Vice President for Research, each up to \$10,000, at least 10 awards
- **Purpose**: To initiate research with an eye on securing external funding primarily focused research to benefit the “Urban Community”.
- **Eligibility**:
  - New faculty
  - Faculty looking to switch their field of research
  - Faculty planning to revitalize their research
- **Document**: 2- to 3-page white paper, due April 20, 2021 (send to [Envia.Malone@Morgan.Edu](mailto:Envia.Malone@Morgan.Edu))
- **Outcomes**: This is an “investment” that MSU is making in faculty to secure external funding. Please include the outcomes and the funding agency you will be applying to.

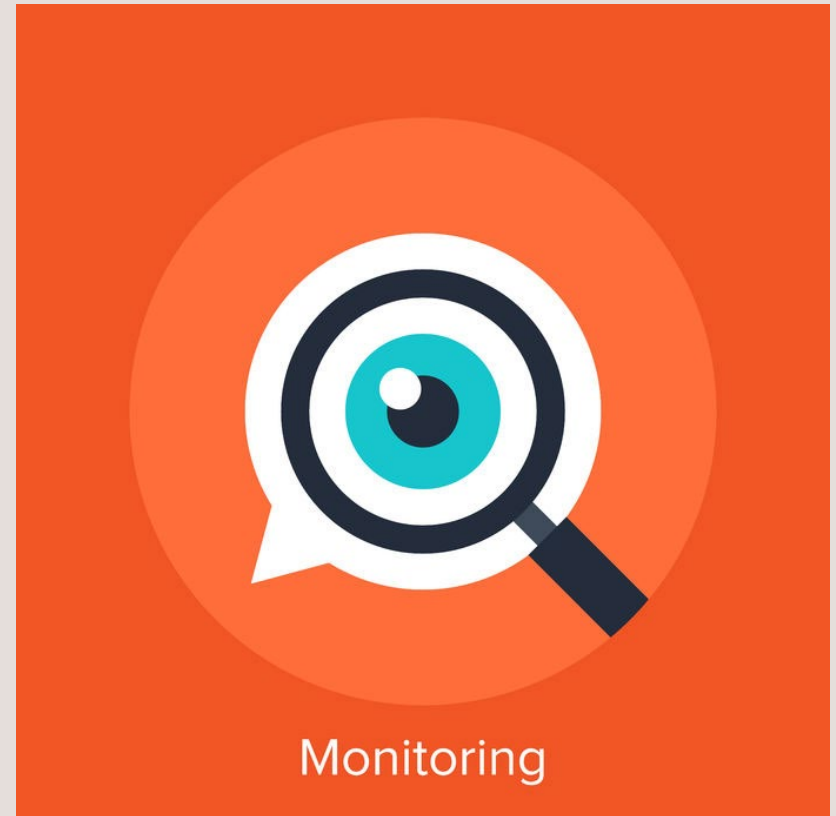
# OUTLINE

- **Types of awards**
  - Grants
  - Cooperative agreements
  - Contracts
- **Post-award steps**
  - Set-up
  - Award management
  - Reporting
  - Close-out

# **TYPES OF AWARDS**

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- **Institutional Advancement**
  - Unrestricted gifts
  - Endowments
- **D-RED**
  - Grants
  - Cooperative agreements
  - Contracts



# POST-AWARD STEPS

- Award Set-Up
- Award Management
  - Programmatic
  - Financial
  - Compliance
- Reporting
  - Programmatic
  - Financial
  - Time and effort
- Close-out



# **AWARD SET-UP**



# **AWARD SET-UP**

**Make sure the award is accepted**

**Communicate the receipt of the award**

**Review the NoA and FOA**

**Participate in Post-Award Briefing (if needed)**

**Ask if a budget code is assigned and budget is set up**

**Receive P-Card Training and request a P-Card (if needed)**

**Receive Banner training and request access to the funds**

# ACCEPT

- **Contracts and subawards:**

- Often need signatures.
- Work with Matthew Lee, ORA.

- **Grants:**

- Sometimes need signatures.
- Sometimes only need drawing down.



Matthew Lee, Contracts Specialist, ORA

# **COMMUNICATE**

## **(DO NOT ASSUME EVERYBODY KNOWS.)**

- It is often the ORA that receives the NoA first, but not always.
- Make sure the following know:
  - ORA (Farin Kamangar)
  - Department chair, Dean, and School Budget Officer
- ORA further communicates with all relevant parties.



Farin Kamangar, ORA

# REVIEWING THE TERMS & POST-AWARD BRIEFING

- Review your NoA, FOA, and proposal carefully
- Make sure you know what you have promised to do
- Post-award briefing
  - ORA (Dr. Edet Isuk)
  - .



Dr. Edet Isuk, Director of Compliance



# BUDGET SET-UP

## ■ Budget Set-Up

- ORA sends the budget info to the Office of Restricted Funds Accounting (RFA).

## ■ RFA assigns a budget code (index and fund) and an accountant.

## ■ Budget is assigned to lines, such as:

- 01: Regular salaries
- 02: Contractual salaries
- 03: Communications
- 04: Travel
- 08: Contractual services
- 09: Supplies
- 11: Equipment
- 12: Grants and contributions

# **PURCHASE CARD & BANNER ACCESS**

- **Purchase Card Training**
  - P-Card Office (Ms. Betty Ransom)
- **Submit a request for purchase card**
  - To P-Card Office (Ms. Ransom)
- **Submit a workflow request for Banner access to your funds**
  - To Comptroller's Office (Ms. Sophia Jacobs)
- **Requisitions will be done using Banner**

**Congratulations! Your award is set up!**

# **AWARD MANAGEMENT**

# **AWARD MANAGEMENT (1: THE PROJECT)**

**Spend the funds (hire staff, purchase supplies, ...)**

**Run the research as promised (collect data, analyze, etc)**

**Train the junior investigators, as needed**

**Monitor the progress of subawardees**

**Disseminate the results (presentations, publications)**



# **POTENTIALLY ALLOWABLE**

## **(NOT EXHAUSTIVE)**

- **Salaries**
- **Wages**
- **Consultancy fees**
- **Stipend**
- **Tuition**
- **Incentives / gift cards**
- **Supplies (< \$5,000)**
- **Equipment (> \$5,000)**
- **Travel**
- **Communications**
- **Contractual payments**
- **Subawards**

# **BEFORE YOU SPEND...**

- **Understand the meaning of each category**
- **Make sure they are allowable (and to what extent) under your award**
- **Make sure you have enough money in that line (or otherwise, if you can transfer from other lines)**
- **Learn the process**
- **Preferably, understand the implications**

# EXAMPLE: PAYING STUDENTS

## ■ What is the difference?

- Wages
- Stipends
- Tuition



# CATEGORIES

- **Wages** are hourly payments to employees for each hour they work. Although the rate usually remains constant, the total sum paid may fluctuate from pay period to pay period.
- **Stipends** are different from salaries and wages. Stipends are typically predetermined (fixed) amounts paid to trainees to defray the cost of living. Unlike salaries and wages, which are given to employees to accomplish the work, stipends are mostly for the benefit of the trainees. Think of benefit to the trainee, not to the project.
- **Tuition benefits** may be considered for students.

# WAGES: PROCESS

Office (Person)	Role
Initiator (Admin)	Initiates contract documents: For new employees; PF10 + HR06 For previous work experience at Morgan: EPAF + HR06
PI/PD (can be the initiator)	Approves that he/she made this request, and that this is in accordance with terms and conditions of the award.
ORA Budget Officer	Makes sure that this is the correct budget code, has enough funds in it, and the request is consistent with the NoA and federal and state rules.
HR	Reviews and finalizes the contract.

# STIPENDS: PROCESS

Office (Person)	Role
Initiator (Admin)	Prepares a stipend memo with a spreadsheet that lists each individual student name, SSN, MSU ID, address, and account codes. Account codes include grant code, index, fund, organization and program. Asks the students to complete a W9 form, preferably at least one month in advance.
PI (can be the initiator)	Approves that he/she made this request and it is in accordance with the terms and conditions of the award.
ORA Budget Officer	Make sure that the correct budget code, has enough funds in it, and the request is consistent with the NoA and federal/state rules.
Accounts Payable	Processes request to the State to pay the stipends. They will also notify the PI when the payment has been processed.

# TUITION: PROCESS

Office (Person)	Role
Initiator (Admin)	Prepares a tuition memo with each individual student's name, MSU ID, MD residency, and address. Based on this information, the amount of tuition and allowable fees are calculated. Usually done before the beginning of the term, or as early as possible.
PI/PD (can be the initiator)	Approves that he/she made this request and that it is in accordance with the terms and conditions of the award.
ORA Budget Officer	Confirms that the correct budget code is being used, has enough funds in the account, and that the request is consistent with the NoA and federal/state rules.
Financial Aid	Financial Aid Office establishes a Financial Aid (FA) code and applies the aid to the student account.
Bursar's Office	Checks the students to make sure no more than 100% of the tuition is paid. Posts to the student's account.

# WAGE: ALLOWABLE? SUFFICIENT FUNDS?

## ■ Wages (Contractual hiring)

- Is hiring contractual people allowed by this award?
  - **PI + ORA**
- Is the hourly rate reasonable and consistent with the similar people in that category (or with the proposal)?
  - **HR + ORA**
- Is the person being paid over 100% on multiple awards?
  - **ORA + HR**
- Are there other restrictions on hiring this person? (e.g., being a student with more than 20 hours/week of work during the academic year?)
  - **ORA + HR**
- Is this person barred from being paid with federal grants?
  - **ORA + HR**
- Is the total amount correct? And is the total amount available in the budget?
  - **PI + ORA**



# **STIPENDS: ALLOWABLE? SUFFICIENT FUNDS?**

## ■ **Stipends**

- Does this grant allow for stipends to be paid to students/trainees?
  - **PI + ORA**
- Are these specific students/trainees eligible for stipends under this award? Sometimes only US citizens and green card holders are eligible.
  - **PI or designee**
- Is the amount of stipend consistent with what was proposed in the notice of award or with federal NRSA requirements?
  - **PI + ORA**
- Are there sufficient funds in the account to pay the stipends?
  - **PI + ORA**

# **TUITION: ALLOWABLE? SUFFICIENT FUNDS?**

## ■ **Tuition**

- Does this grant allow for tuition to be paid? If yes, what percentage?
  - **PI + ORA**
- Are these students/trainees eligible for tuition under this award? Sometimes only US citizens and green card holders are eligible.
  - **PI**
- Make sure that the student's tuition paid by this grant and other sources does not exceed 100%.
  - **ORA + Bursar**
- Are there sufficient funds to pay the request?
  - **PI + ORA**

# IMPLICATIONS

	For Work?	Timesheet needed?	Fixed or variable?	Time of payment	Payable to the student?
<b>Wages</b>	<b>Yes</b>	<b>Yes</b>	<b>Variable</b>	<b>Every two weeks</b>	<b>Yes</b>
<b>Stipends</b>	<b>No</b>	<b>No</b>	<b>Fixed</b>	<b>Usually once a month</b>	<b>Yes</b>
<b>Tuition</b>	<b>No</b>	<b>No</b>	<b>Fixed</b>	<b>Usually at the beginning of the semester</b>	<b>No*</b>

**\* Reimbursing the student is allowable only if the student paid part of the tuition but not if the total tuition from various resources exceed 100%.**

# HOW TO SPEND YOUR FUNDS?

## ■ Human Resources

- Salaries & Wages

## ■ Other Offices

- Stipends
- Tuition
- Subawards
- Travel

## ■ Purchase Card

- Supplies (< \$2,500)
- Hotel rooms

## ■ Requisitions (Banner)

- Consultancy fees
- Contractual agreements
- Equipment ( $\geq$  \$2,500)

# OFFICES INVOLVED

- **Division of Research and Economic Development**
  - Office of Research Administration (ORA)
  
- **Division of Finance**
  - Office of VP for Finance
  - Office of Human Resources
  - Purchase Card Office
  - Office of the Comptroller
  - Office of Restricted Funds Accounting
  - Office of Procurement
  - Bursar's Office
  
- **Division of Academic Affairs**
  - Chair
  - Dean
  - Provost
  - Financial Aid

# **AWARD MANAGEMENT (2: COMPLIANCE)**

**Complete any required training**

**Retain approved IRB, IACUC, or other documents**

**Renew the required certifications (eg, IRB)**

**Ensure that all expenses are allowable**

**Comply with export control issues, as promised**

**Do not exceed 100% effort**

**Notify ORA of changes in PI or key personnel**

# RESEARCH COMPLIANCE: HOW WAS IT IN THE PAST?

**Emil Grube**

**Pioneer in Radiation Research**



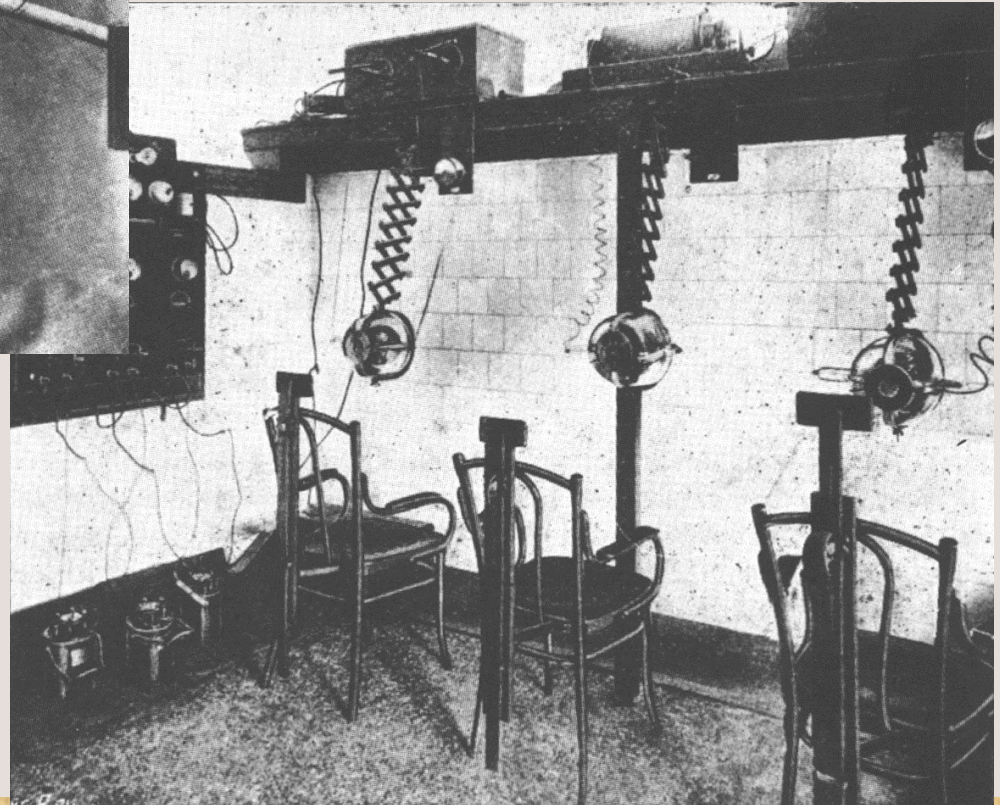
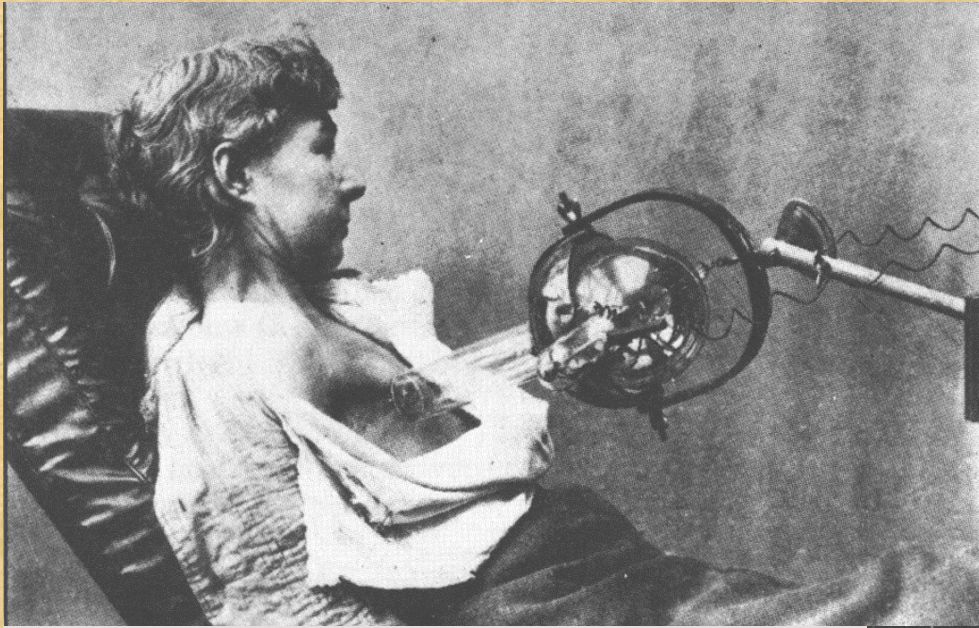
**Thomas Harvey**  
**Pathologist**





# BREAST CANCER RESEARCH

## 1903





# **BRAIN RESEARCH**

## **1955**



# RESEARCH ETHICS



**AUTONOMY**



**Beneficence**



NON-MALEFICENCE



**Justice**

*Remember!*



## Replace

The use of animals must be replaced with alternative techniques.



## Reduce

Use of minimum number of animals, so that information is obtained from fewer animals or more information is gained from the same number of animals.



## Refine

Use of refined procedures to minimize the suffering of the animals

## RESEARCH MISCONDUCT

FABRICATION

FALSIFICATION

PLAGIARISM

Source: <http://www.animalresearch.info>

# **ALLOWABLE?**

- **Your esteemed consultant from UCSF is visiting. Which one is allowable using your NIH grant?**
  - **Paying for the speaker's travel expenses?**
  - **Paying a per diem to the speaker while on travel?**
  - **Paying a speaker fee of \$400?**
  - **Paying for alcoholic beverages as entertainment after the talk?**
  - **Paying for dinner at Charleston Restaurant using your P-card?**
  - **Buying the speaker a gift of \$100 using your P-card?**

# PLEASE

- **Review**

- **The Funding Opportunity Announcement (FOA)**
- **The Notice of Award (NoA)**
- **The Budget Document prepared by the D-RED ORA**

- **Ask for guidance**

- **Google federal and state rules, in case you are super-interested!!**

- **NIH GPS**
- **NSF PAPPG**
- **2 CFR 200**

# EXPORT CONTROL

**From University of Massachusetts:**

**“United States laws and regulations ban or restrict the release of critical technologies, information, and services to foreign nationals, within and outside of the United States, and foreign countries for reasons of foreign policy and national security. The scope of export-controlled items is very broad and includes, but is not limited to, equipment, software code, chemical and biological materials, and technical data.”**



# **CHANGE OF PI (OR OTHER KEY PERSONNEL)**

- Often needs to receive permission from:
  - The funding agency
  - The prime (if we are a subaward recipient)
  - Department chair (or the appropriate supervisor)
- Documents often needed for a change of PI request
  - Reason for the change of PI
  - Date of start
  - Budget changes resulting from change of PI
  - Updated other support
  - Biographical sketch of the new PI
  - Certifications (eg, human subjects), if relevant
- Some agencies like NIH need to know about (and allow for) any change of effort over 1/4 of the initial amount (for example if the effort changes from 50% to 70%).

# **AWARD MANAGEMENT (3: OTHER DUTIES)**

**Approve timesheets**

**Reconcile monthly P-card logs**

**Approve invoices**

**Be in touch with your RFA accountant**

**Request for carry-over funds in a timely manner**

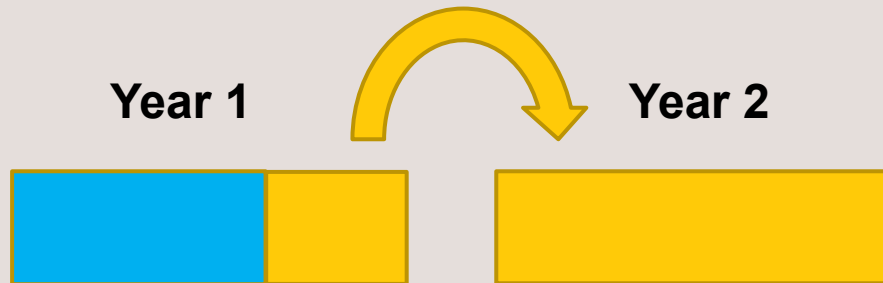
**Request no cost extensions at least 45 days in advance**





# CARRY OVER REQUESTS

- Funds that are not spent in the fiscal year
  - For example, you have a 2-year project. Funds considered for Y1 were 1,000,000. You spent only \$700,000. You may be able to request \$300,000 in carry over (aka, carry forward).



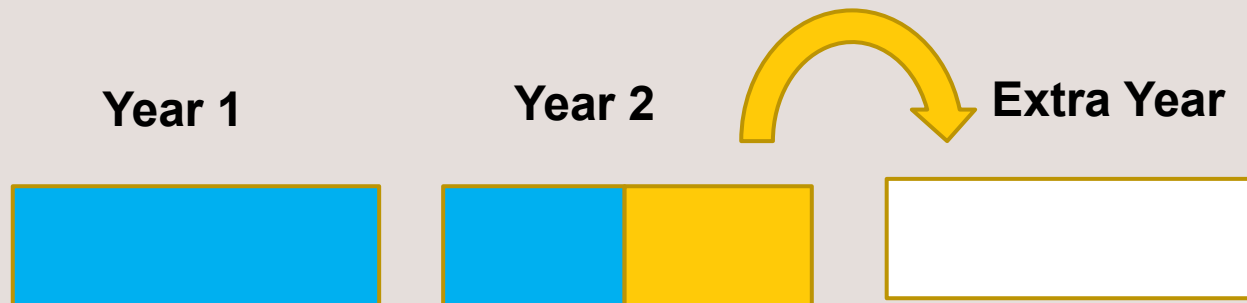


# **CARRY OVER REQUESTS**

- **What you typically need for that request:**
  - **Describe how much was not spent and why.**
    - **Acceptable reasons are those that were out of your control and your institution's control (eg, Covid-19 hit and travel money was not spent)**
  - **Describe what the money will be spent on.**
    - **The request should be allocable to the aim of your study.**
    - **Typically, only one-time expenditures (eg, buying equipment) are acceptable, not recurring expenses.**

# NO COST EXTENSION

- Funds are not fully exhausted within the period of your study. You ask for more time to finish the study without asking for any more funds.
  - For example, you have a 2-year project. You spent 1.5 million out of 2 million dollars and finish much of the study. You ask for one year extra, with the remaining \$500 K, to finish the study.



# **NO COST EXTENSION**

- **Some funding agencies (eg, NIH and NSF) need no reason or authorization for the first no-cost extension. All we need to do is put in a request in a timely manner.**
- **However, for the 2<sup>nd</sup> no cost extension, good reasons and authorization is needed.**
- **Contact ORA at least 45 days in advance.**

# **REPORTING AND CLOSE-OUT**

**Report the progress of your research as promised**

**Make sure that RFA submits the Financial Report**

**Certify the time and effort reports**

**Submit the final research (programmatic) report**

**Make sure RFA submits the final financial report**

# **PROGRAMMATIC REPORTS & FINANCIAL REPORTS**

- **The frequency of programmatic reporting depends on the funding agency requirements.**
  - Typically, NIH wants annual reports (RPPR) 2 months before the end of the award fiscal year.
  - Some funding agencies may need quarterly reports.
  - Read the NoA. Discuss the terms with the Program Officer.
  - It is the PI who prepares the programmatic report.
- **The frequency of invoicing and financial reporting depends on the funding agency requirements.**
  - Typically NIH wants annual reports (FFR) 3 months after the end of the award fiscal year.
  - Some funding agencies may need quarterly invoicing and reports.
  - It is the RFA that prepares the financial reports.

# **CLOSE OUT REPORTS**

- **Similar to interim reports, it includes both**
- **The frequency of invoicing and financial reporting depends on the funding agency requirements.**
  - **Typically NIH wants annual reports (FFR) 3 months after the end of the award fiscal year.**
  - **Some funding agencies may need quarterly invoicing and reports.**
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# **AWARD SET UP**

**Make sure the award is accepted**

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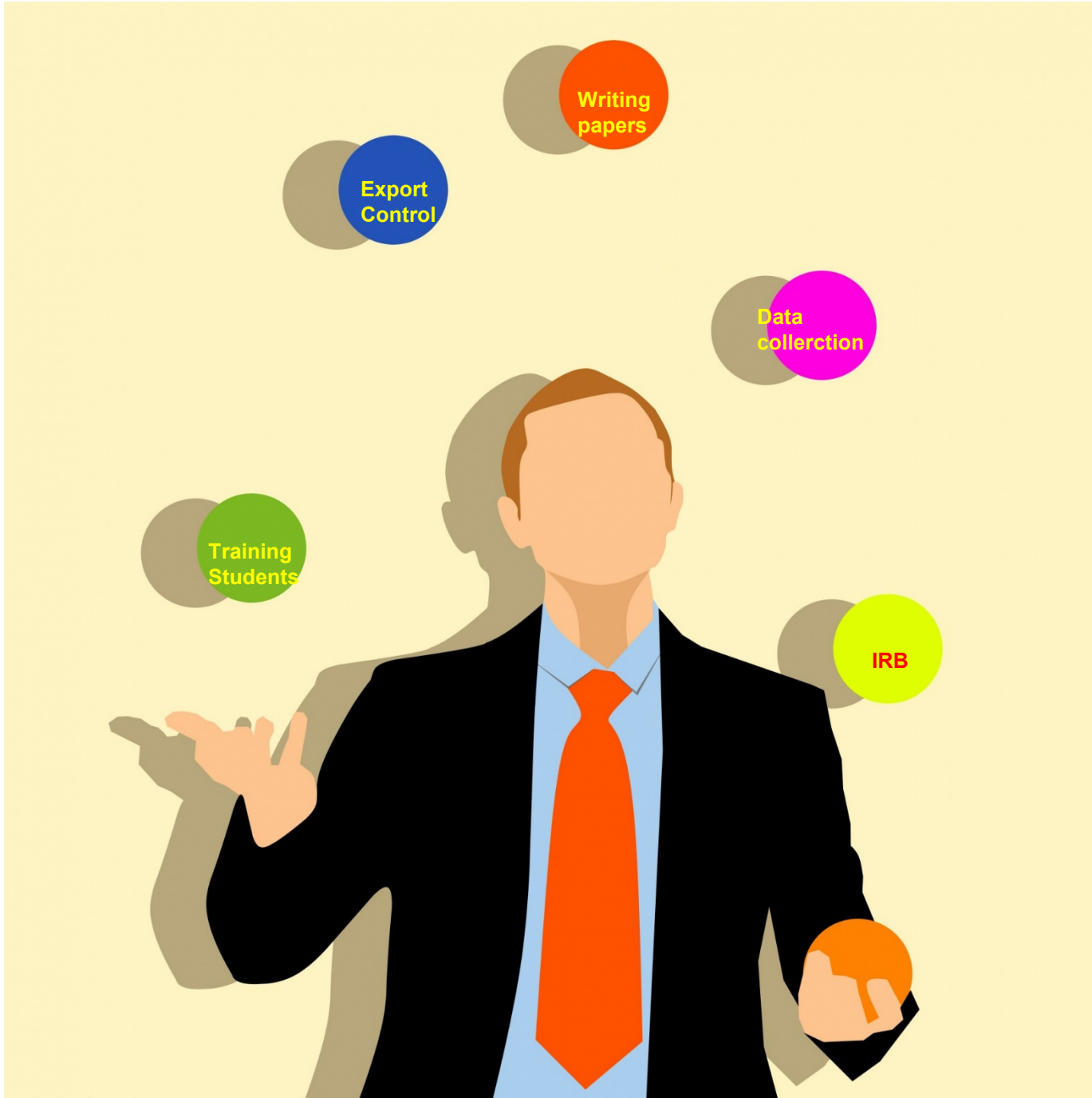
**Make sure RFA submits the final financial report**



**THE  
PI**

**200  
YEARS  
AGO**





# THE PI NOW

# **ITEMS THAT WILL BE SHARED WITH YOU**

- **These slides**
- **Order of Post-Award Processes (Draft)**
- **Slides from the Previous Presentation (Budget Prep)**
- **Budget Preparation Document**
- **Excel Budget Sheet**
- **Budget Justification Template**
- **MSU Indirect Cost Rate Agreement**

# UPCOMING SEMINARS

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