Grants – What You Didn’t Know But Were Afraid to Ask

Presented by:
Grants Accounting, Business Services
Welcome to the world of grants

- Working with grants is rarely boring
- Things are always changing
- Provides me the opportunity to work with faculty, staff and students all over campus
- Love to hear faculty discuss their projects and know that the work I do to support them is meaningful
How are these programs funded?

Global Health Scholars Program
- Grant and Macalester funds and student fees

Bonner Scholars
- Started with grant funds, but now endowment funds

Conversations About Our Scholarly Lives
- Grant funds

Urban Faculty Colloquium
- Grant funds
How are these programs funded?

Student-Faculty Summer Research (SFSR)
- Macalester funds

Connected Colleagues
- Grant funds

Mellon Mays Undergraduate Fellowship
- Grant funds

Lilly Program
- Started with grant funds, now Macalester funds
Relationships

Grant Funders

- Project Investigators/Project Directors
- Grant Administrators
- Grants, Foundation and Corporate Relations
- Grants Accounting
What are grants?

- A giving of funds for a specific purpose. (The Free Dictionary by Farlex)

- An award of financial assistance, the principal purpose of which is to transfer a thing of value from a federal agency to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States (see 31 U.S.C. 6101(3)). A grant is distinguished from a contract, which is used to acquire property or services for the federal government's direct benefit or use. (Grants.gov)
Types of Grants

Internally Funded

Macalester awards grants to faculty and students from operating and endowment funds

- Student-Faculty Summer Research (SFSR)
- Wallace Grants
- Beltmann Grants
Types of Grants

Externally Funded

- Projects are funded from outside sources
  - Federal government agencies
  - State government agencies
  - Non-profit organizations
  - Private foundations
  - Corporations
Do grants fit with Macalester’s mission?

Mission

Macalester is committed to being a preeminent liberal arts college with an educational program known for its high standards for scholarship and its special emphasis on internationalism, multiculturalism, and service to society.
What value do grants add to the College?

- Help recruit top students
- Help increase scholarly depth for faculty
- Brand recognition at conferences, meetings, etc.
- External grant funds are **not** part of the operating budget
- Grants provide **extra** funds that support additional programming, curricular development, and research experiences for faculty, staff, and students
- Provide jobs for students, staff, and faculty
External Grant Facts

Fate of Proposals Submitted:

- Submitted: 83
- Awarded: 39 (47%)
- Declined: 28 (34%)
- Under Review: 16 (19%)
- Withdrawn: 0

- Amount Awarded: $3.439M

Provided by GFCR at 2012 Grants Summit
### External Grant Facts

#### Active Grants as of 8/1/12:

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- **Summer 2012 student jobs funded by grants**: 92
- **Wages paid to these students through 8/20/12**: $301,815

Provided by Grants Accountant at 2012 Grants Summit
External Grant Facts

Macalester has been the recipient of external grants for many years. Dave Lanegran, John S. Holl Professor of Geography received his first grant in 1973 and has had at least one grant continuously since 1985.

Size of Awards
- Range between $2,000 to $2,000,000

Project Periods
- Range from 3 months to 5 years
External Grant Facts

Departments (changes depending on current awards)

- Chemistry; Biology; Physics & Astronomy; Geology; Geography; History; Center for Religious and Spiritual Life; Math, Statistics, and Computer Science; Environmental Studies; Anthropology; Psychology; Library; Sustainability; Athletics; Civic Engagement Center; Facilities; Institutional

Competitive Process

- Funders may invite institutions to apply
- Funding opportunities may be open to anyone
External Grant Facts

Competition for Grant Funds is Increasing

- As institutions look for increased funding and new funding sources, grant funding becomes more appealing
- More institutions are applying for grants
- Funders may have less to award, growth is minimal
- Importance to the faculty and student experience causes colleges and universities to encourage grant seeking

Funders have different rules, regulations, and requirements in how their funds are used. Grants are subject to funder audits.
External Grant Administration Staffing

With the number of active grants at any point in time being between 60 and 105 grants, what kind of staffing is required to administer grants?

- **Grant, Foundation and Corporate Relations** – 3 people
- **Grants Accountant**
- **Accountant (part-time)**
- **Center for Scholarship & Teaching** – 2 people on a part-time basis
- **Dept. Coordinators/Other Staff** – multiple departments
Government Funders

- National Science Foundation (NSF)
- National Institutes of Health (NIH)
- National Endowment for the Humanities (NEH)
- Space Telescope Science Institute (STScI)
- Library of Congress (LOC)
- National Park Service (NPS)
- National Aeronautics and Space Administration (NASA)
- Minnesota Office of Higher Education (MOHE)
- Minnesota Pollution Control Agency (MPCA)
Other Funders

- Andrew W. Mellon Foundation
- Lilly Endowment
- Research Corporation
- Teagle Foundation
- National Geographic Society (NGS)
- Minnesota Historical Society (MHS)
- Howard Hughes Medical Institute (HHMI)
- Arnold and Mabel Beckman Foundation
Other Funders

- Bigelow Foundation
- Corella and Bertram F. Bonner Foundation
- American Chemical Society Petroleum Research Fund (ACS-PRF)
- Davis United World Scholars Projects for Peace
- National Collegiate Athletic Association (NCAA)
- Bush Foundation
- Ford Foundation
- W. M. Keck Foundation
- Camille & Henry Dreyfus Foundation
Grant Lifecycle

- Pre-Award: Inquiry and Development
- Pre-Award: Proposal Submission
- Post-Award: Award Notification
- Post-Award: Award Set-Up
- Post-Award: Project Duration
- Post-Award: Project Closeout
Grant Lifecycle

Pre-Award: Inquiry and Development Stage

- Project Director/Project Investigator (PI/PD) contacts Grant, Foundation and Corporate Relations (GFCR) to discuss project ideas and possible funders
- PI/PD prepares a draft narrative and budget for GFCR to review (GFCR provides assistance)
- Typical expenses include: salaries, benefits, lab supplies, travel, consultants, publication fees, and indirects
- Considerations include assessment, Macalester match, support letters, and Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC) involvement
Grant Lifecycle

Pre-Award: Inquiry and Development

Post-Award: Project Closeout

Pre-Award: Proposal Submission

Post-Award: Project Duration

Post-Award: Award Notification

Post-Award: Award Set-Up
Grant Lifecycle

Pre-Award: Proposal Submission Stage

- PI/PD completes the Proposal Clearance Form (PCF)
- GFCSR reviews the PCF
- GFCSR forwards the PCF for clearance from the Provost, VP for Admin & Finance, Asst VP for Finance, and others as required
- Once approval is obtained, GFCSR or PI/PD submits the proposal to the funder
Grant Lifecycle

- Pre-Award: Inquiry and Development
  - Post-Award: Award Set-Up
  - Post-Award: Award Notification
  - Post-Award: Award Closeout
  - Post-Award: Project Duration
  - Post-Award: Project Closeout

- Pre-Award: Proposal Submission
Grant Lifecycle

Post Award: Award Notification Stage

- **Funder notifies the Project Director/Project Investigator (PI/PD) and/or the College**
- **Grant, Foundation and Corporate Relations (GFCR) coordinates campus and external publicity**
- **GFCR notifies other offices on campus, including the Grants Accountant**
Grant Lifecycle

- Pre-Award: Inquiry and Development
- Pre-Award: Proposal Submission
- Post-Award: Award Notification
- Post-Award: Award Set-Up
- Post-Award: Project Duration
- Post-Award: Project Closeout
Grant Lifecycle

Post Award: Award Set-Up Stage

- Grants Accountant sets up the grant
- GFCR and the Grants Accountant complete the Grant Data Form (GDF)
- GFCR and the Grants Accountant meet with the PI/PD and the Grant Administrator
- Banner FOAPAL is activated
- Banner access and approvals are given
- Training on financial reporting systems is provided
Grant Lifecycle

Pre-Award:
- Inquiry and Development

Post-Award:
- Project Closeout
- Project Duration
- Award Set-Up
- Award Notification

Pre-Award:
- Proposal Submission
- Award Notification
Grant Lifecycle

Post Award: Project Duration Stage

- **PI/PD completes the objectives of the project**
- **PI/PD is responsible for managing the funds**
- **Funds must be spent according to funder requirements**
- **Argos Grant Transactions Report should be used to monitor grant transactions on a regular basis**
- **Grants Accountant provides assistance with monitoring and managing the funds**
- **PI/PD is responsible for narrative and technical reports**
- **GFCR provides assistance with narrative reporting**
Grant Lifecycle

Post Award: Project Duration Stage

- Grants Accountant prepares financial reports with assistance from PI/PD and Grant Administrator
- Changes to the Award – PI/PD submits the Grant Revision Request Form (GRR) to GFCR for approval and assistance with funder notification
  - Extensions
  - Budget Revisions
  - Change in scope
  - Other changes
- GFCR and Grants Accounting partner with the PI/PD and Grant Administrators throughout the project
Grant Lifecycle

Pre-Award: Inquiry and Development

Post-Award: Proposal Submission

Post-Award: Award Notification

Post-Award: Award Set-Up

Post-Award: Project Duration

Post-Award: Project Closeout
Grant Lifecycle

Post Award: Project Closeout Stage

- PI/PD or GFCR submits final reports – technical, narrative, and financial
- Banner FOAPAL is closed
- Banner access and approvals are removed
- Financial records, supporting documents and other pertinent records must be retained in accordance with Macalester and funder requirements
- Grants are subject to Macalester and funder audits from the beginning of the project period through the last day of the record retention period
Grant Lifecycle

- Pre-Award: Inquiry and Development
- Pre-Award: Proposal Submission
- Post-Award: Award Notification
- Post-Award: Award Set-Up
- Post-Award: Project Closeout
- Post-Award: Project Duration
Grant Lifecycle

Web Resources

- *Proposal Preparation and Grant Management Guide (PPGMG) is available on the Campus Resources tab of 1600grand*
- *Grants Accounting website – coming soon*
Grants Accounting

Key Responsibilities

- Oversee post-award grant administration functions for external grant funding
- Prepare and submit grant financial reports
- Work with PI/PD’s, department coordinators, GFCR, Business Services and Employment Services staff, and other departments to address complex issues associated with grant management
- Review sponsoring agency policies, regulatory documents, and other literature related to financial grant administration
Funder Requirements

Spending the Funds

- Approved budget items
- During the project period only (see Grant Data Form)
- Follow Macalester policies and funder rules
- Justify expenses for the project (why?) on Check Requisitions, Pcard statement, Travel Expense Reports, Standard Engagement Contracts, Travel/Cash Advance Requests, invoices, Purchase Orders
- Maintain accurate and complete records (receipts, quotes)
- Avoid cost transfers by using the correct FOAPAL (see Grant Data Form)
- Documentation is very important
Funder Requirements

Reporting

- **Types:** narrative, technical, financial
- **Format:** funder provided forms or guidelines
- **Detail:** total, budget category, sub-category
- **Submission methods:** online systems, email, mail
- **Frequency:** monthly, quarterly, semi-annually, annually
- **Time Requirements:** varies based on funder requirements, complexity of grant, number of transactions, etc.
- **Tracking expense detail for reporting purposes:** contact Grants Accountant for suggestions/assistance (this step is vital)
MACALESTER College Financial Systems

FINANCIAL DATA

BANNER
(aka Internal Banner Native or INB)
• Used by Accounting for Data Management and Entry
• Complex interface

BANNER SELF-SERVICE
• Data look up and drill down to transaction level
• Print screens only

ARGOS
• Data look up
• Clearly formatted reports
• Summary and Detail reports
• Print and email reports
Financial Reporting at Macalester

Argos, one of Macalester’s financial reporting systems, is a Windows-only reporting solution that is accessed via the Web. If you are a Mac OS user, you must have Citrix installed in order to access Argos.

Argos “pulls” data from the Banner and presents the data in an easy-to-read, printable format.

You must have access to financial reporting in order to access the Business Services link in 1600 Grand and ARGOs. Please see your manager to gain this special access.

You can access Argos directly, if you use a PC, you can log-in directly at http://argos.macalester.edu/ using your primary username and password. If you use a Mac, you will want to follow ITS provided directions at https://www.macalester.edu/its/accounts-services/argosinfo/.

Or you can access Argos via the 1600 Grand Portal – see the next slide.
Formatted PDF reports

Only selected Accounts will appear in the report.

![Image of grant transaction report]

- **Grant Transaction Report 1/2/2012 - 11/29/2012**

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**Transaction Detail Total:** $1,346.55
Help is available

- **Business Services – Grants Accountant**
  - Dorothy Johnson
    - 651-696-6354
  - djohnso9@macalester.edu

- **Grant, Foundation and Corporate Relations**
  - Michelle Epp
    - 651-696-6062
  - mepp@macalester.edu
Help is available

- **Business Services – Financial Reporting Training**
  - Aimee Baxter
    - 651-696-6696
  - abaxter@macalester.edu
Top 5 Takeaways

1. External grants provide **extra** funds that support additional programming, curricular development, and research experiences for faculty, staff, and students

2. Macalester has a healthy mix of external grant funding in terms of type and amount of funding

3. Grants involve many people on campus, operate on a different cycle than the college fiscal year, but work in conjunction with other college processes
Top 5 Takeaways

4. *Funders have different rules, regulations, and requirements in how their funds are used and what reporting is required*

5. *Grant, Foundation Relations and Grants Accounting partner with Project Directors/Project Investigators and Grant Administrators throughout the grant lifecycle to ensure successful projects*
Related January Thaw Presentations

- **Research in Science with Macalester Students: What Do They Do over There in Olin/Rice All Summer?**
  
  *Date: Wednesday, January 23, 2013 Time: 1:00pm – 2:00pm*
  
  *Location: Hall of Fame, Leonard Center*

- **Financial Reporting Tools**
  
  *Date: Friday, January 25, 2013 Time: 1:00pm – 2:00pm*
  
  *Location: Olin/Rice 287*
Questions
Thank You