



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

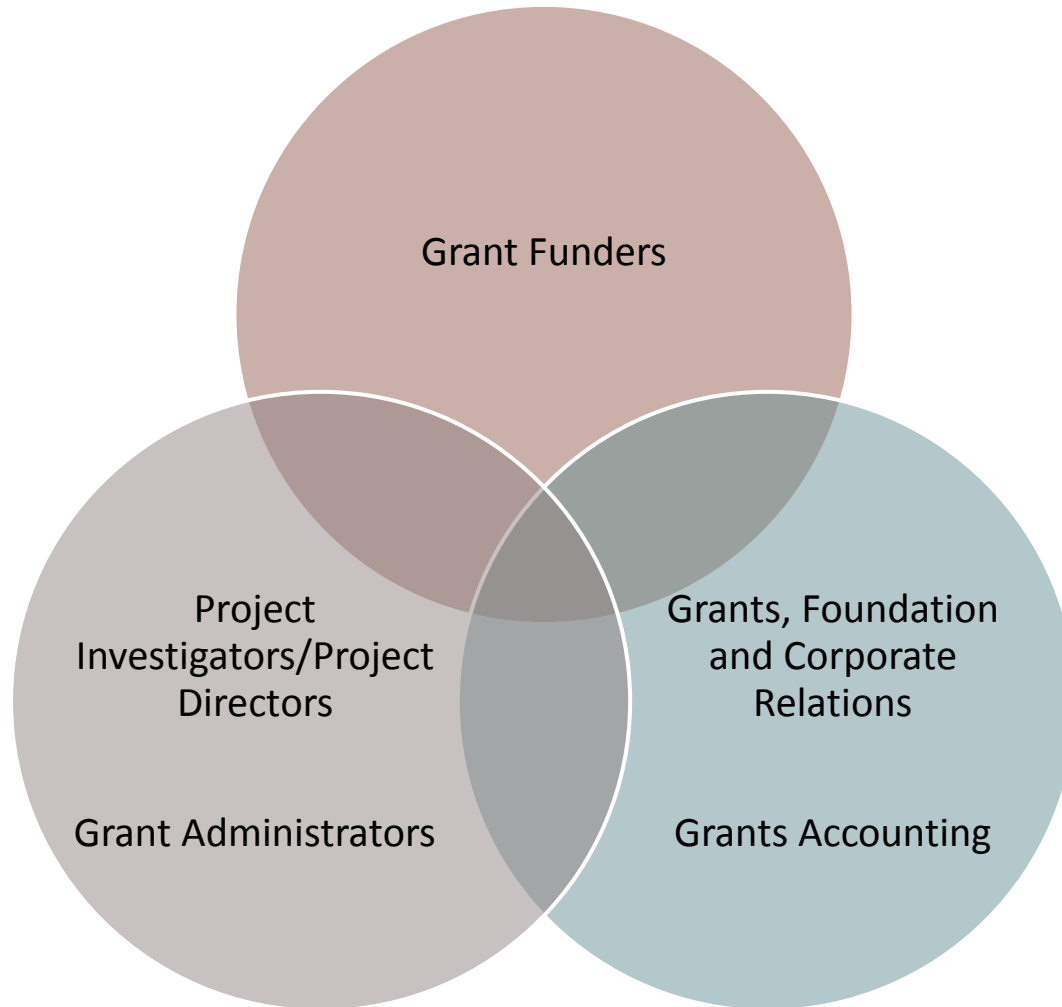
- *Grant funds*

Lilly Program

- *Started with grant funds, now Macalester funds*



Relationships





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



FY2012

Fate of Proposals Submitted:

▶ <i>Submitted</i>	83	
▶ <i>Awarded</i>	39	(47%)
▶ <i>Declined</i>	28	(34%)
▶ <i>Under Review</i>	16	(19%)
▶ <i>Withdrawn</i>	0	
▶ <i>Amount Awarded</i>	\$3.439M	

External Grant Facts



	<u>Number</u>	<u>Award</u>
<i>Active Grants as of 8/1/12:</i>		
▶ <i>Federal</i>	40	\$ 5.32M
▶ <i>State</i>	7	\$.59M
▶ <i>Other</i>	<u>41</u>	\$ <u>7.62M</u>
▶ <i>Total</i>	88	\$13.53M
▶ <i>Summer 2012 student jobs funded by grants</i>	92	
▶ <i>Wages paid to these students through 8/20/12</i>	\$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

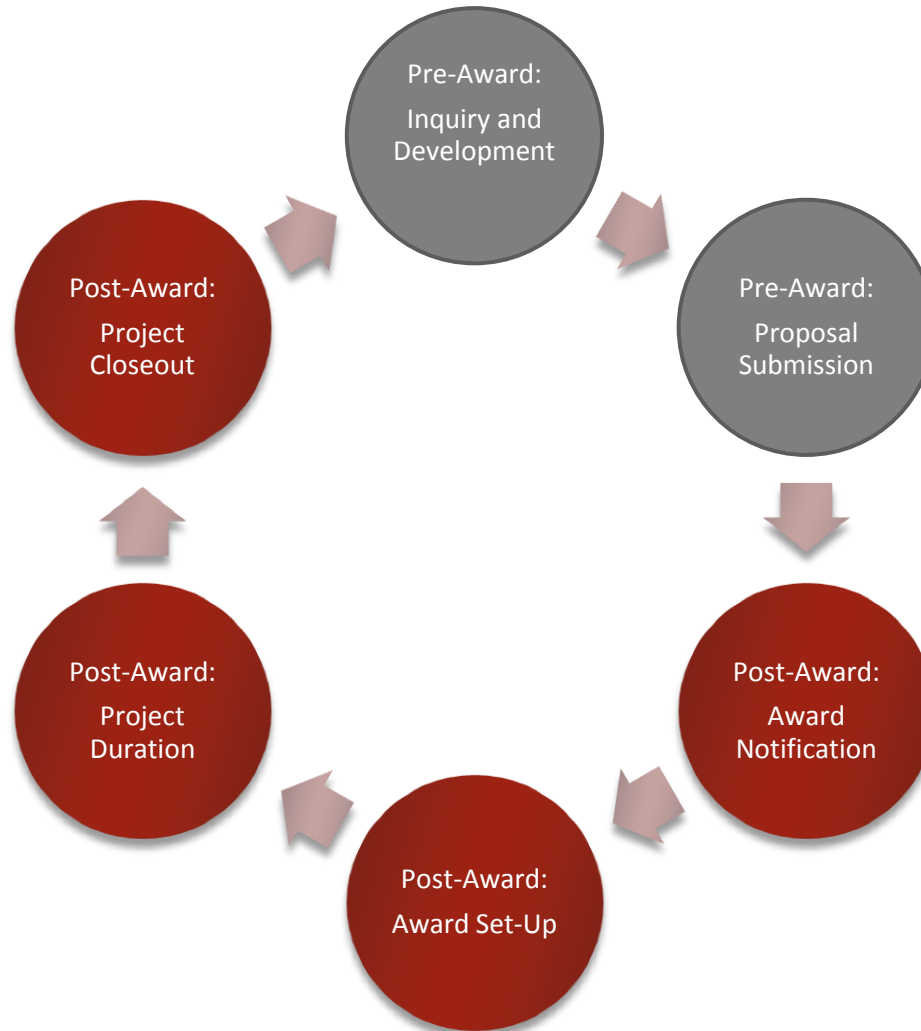
- ▶ *Andrew W. Mellon Foundation*
- ▶ *Lilly Endowment*
- ▶ *Research Corporation*
- ▶ *Teagle Foundation*
- ▶ *National Geographic Society (NGS)*
- ▶ *Minnesota Historical Society (MHS)*
- ▶ *Howard Hughes Medical Institute (HHMI)*
- ▶ *Arnold and Mabel Beckman Foundation*



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



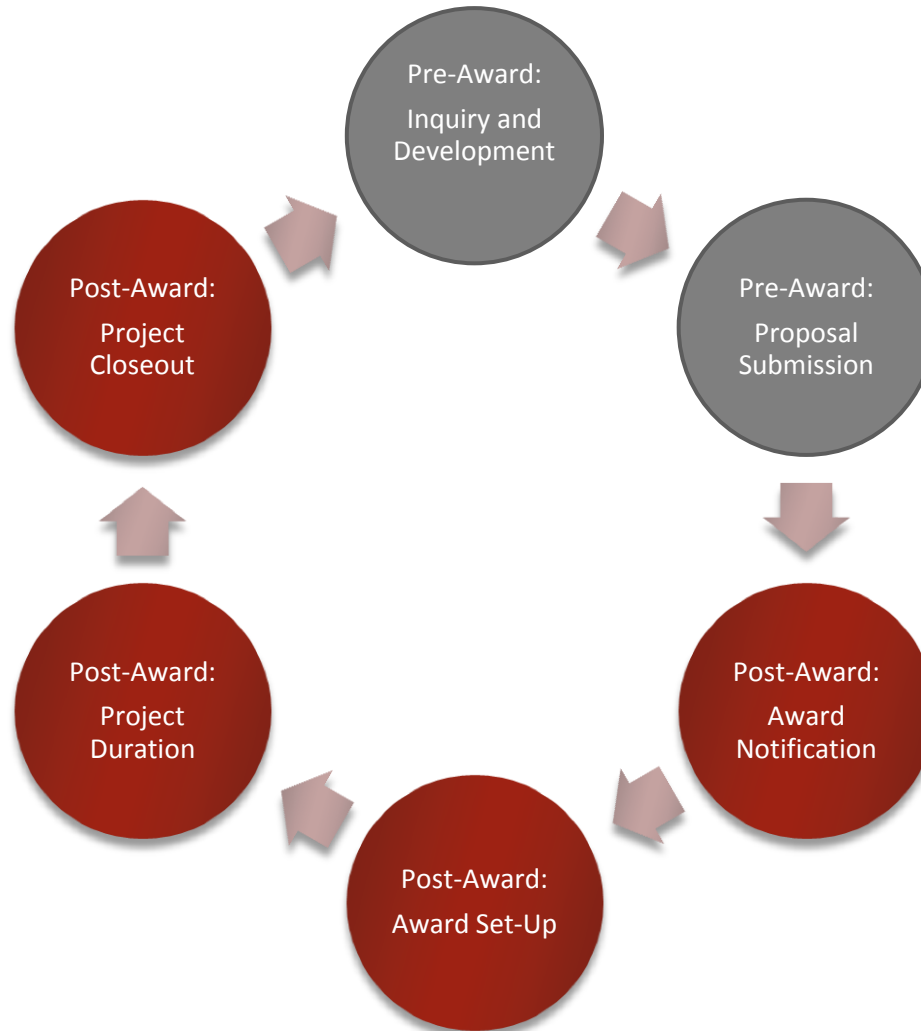
Grant Lifecycle



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



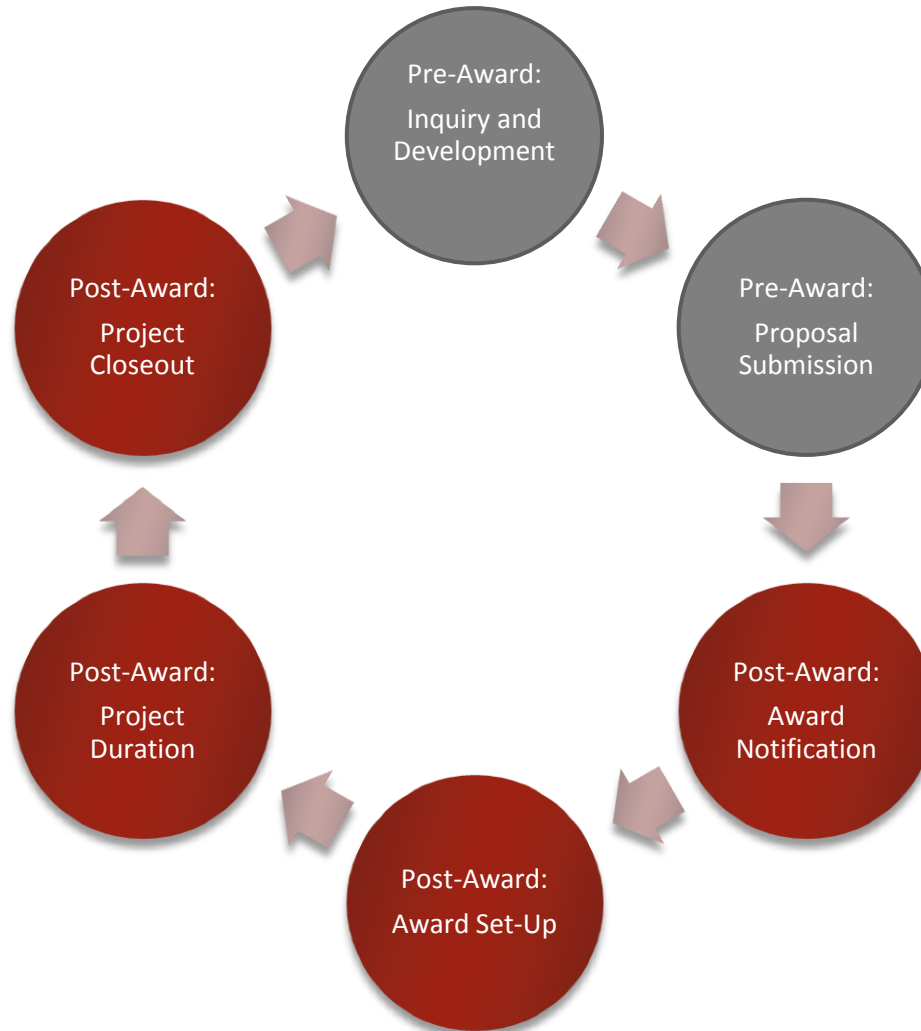


Grant Lifecycle

Pre-Award: Proposal Submission Stage

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

Grant Lifecycle



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



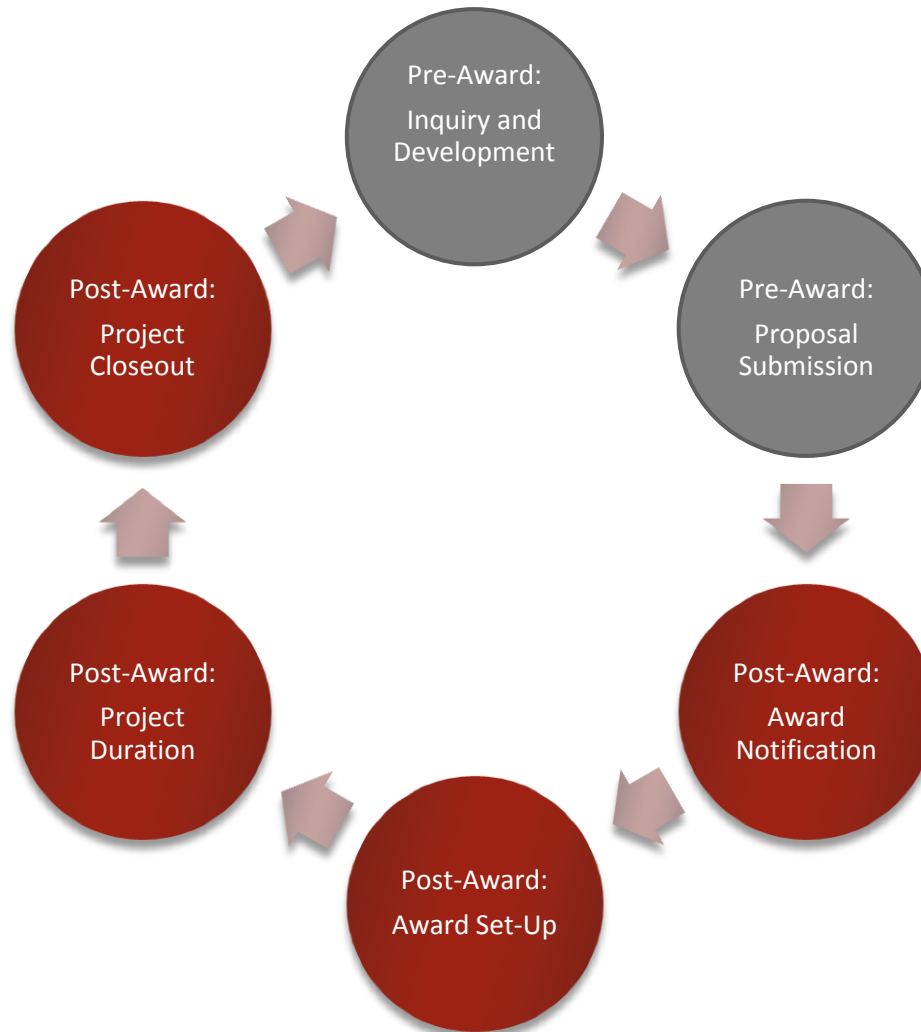
Grant Lifecycle



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



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*

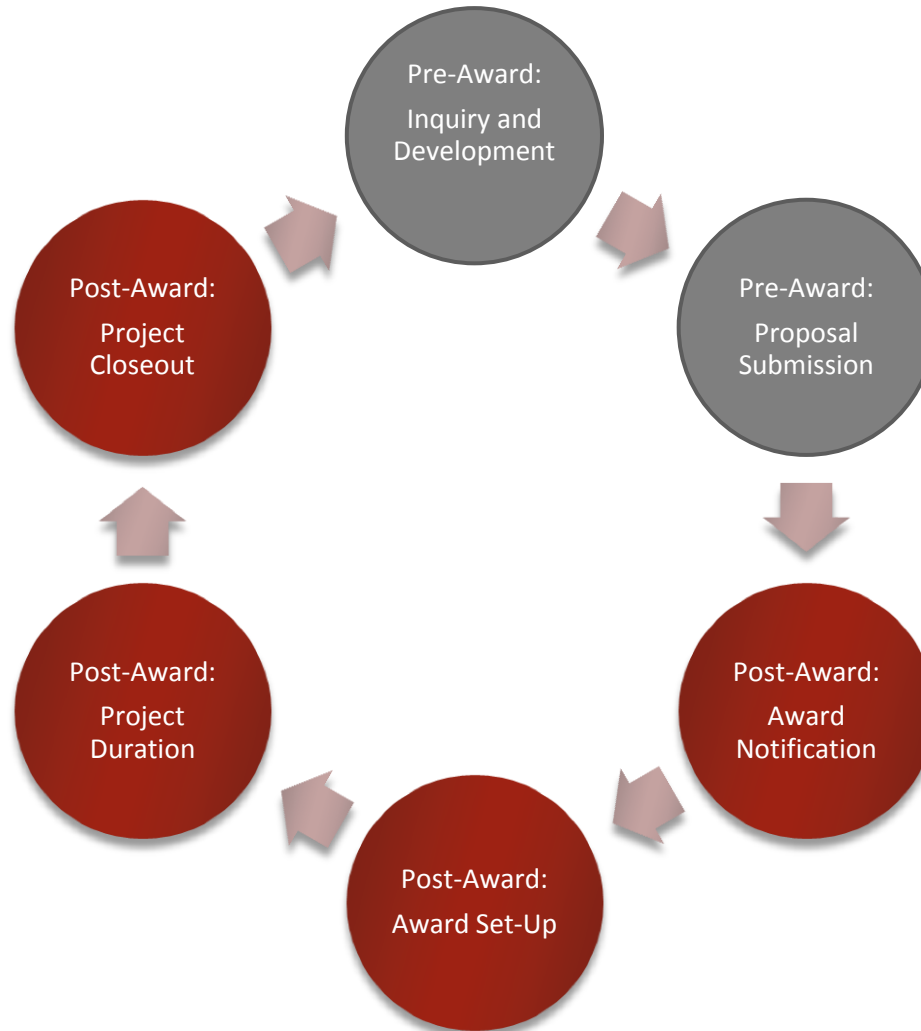


Grant Lifecycle

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





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



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*

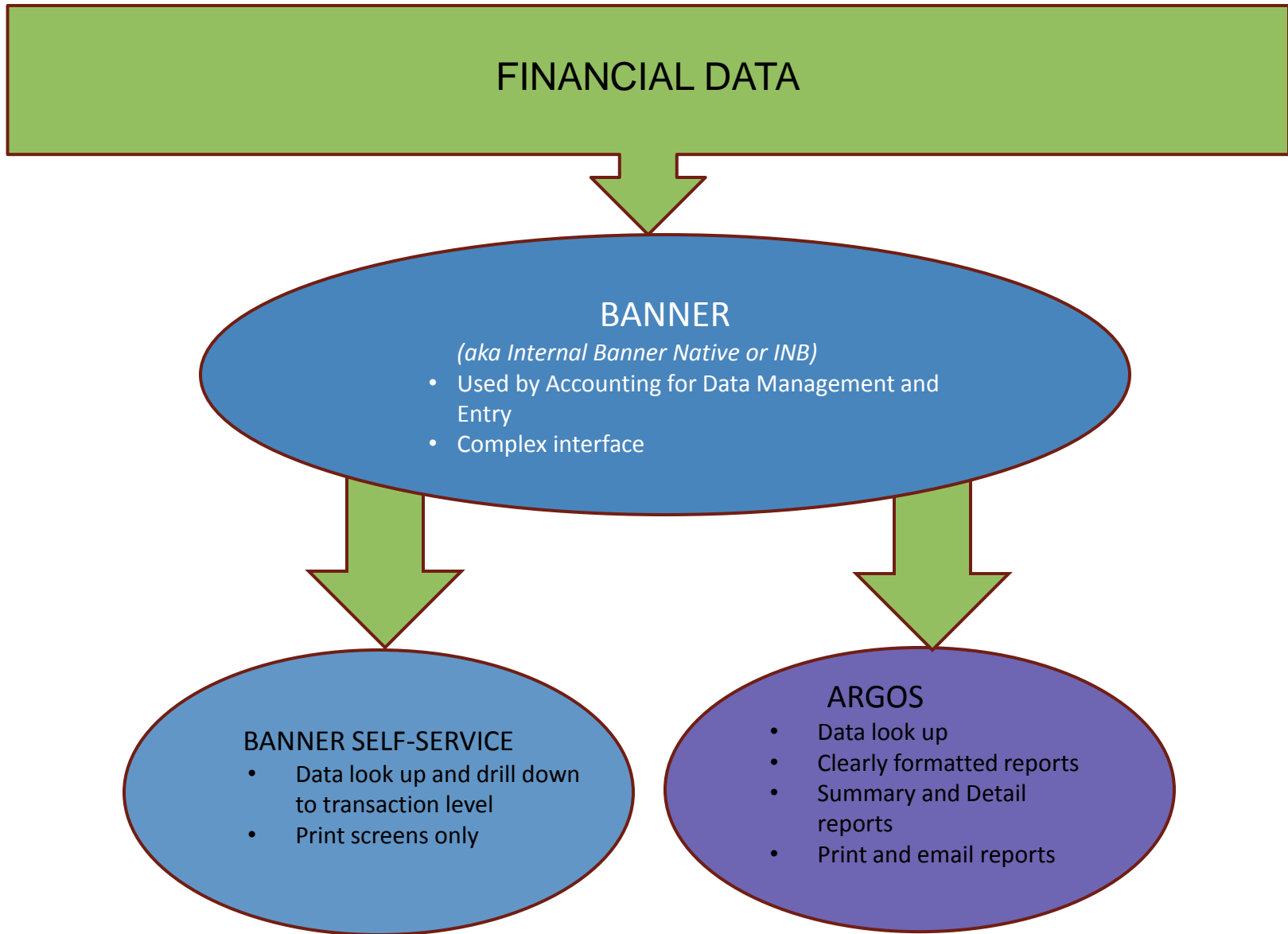
Funder Requirements



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 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.



Report Generated: 11/29/2012

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

Grant: 210072

Grant Title: Faculty Development at Macalester College: Next Stages and New Challenges

70 - Expenditures

Fund	Org	Account	Program	Activity	Trans Date	Activity Date	Document #	Transaction Description	Transaction Amt
210072	270010	704000	43	1301	02/14/2012	02/14/2012	I0082600	Green, Frederik H..	\$150.00
210072	270010	704500	43	1301	02/28/2012	02/28/2012	I0083060	Lucas-Thompson, Rachel	\$150.00
210072	270010	700005	43	1500	02/06/2012	02/06/2012	I0082231	Bon Appetit Management Company	\$79.91
210072	270010	700005	43	1500	03/31/2012	05/02/2012	J0020243	Reclass Turtle bread exp	\$13.55
210072	270010	700005	43	1500	03/31/2012	05/02/2012	J0020243	Reclass Lunds exp	\$19.75
210072	270010	700005	43	1500	03/31/2012	05/02/2012	J0020243	Reclass Turtle bread exp	\$27.48
210072	270010	700005	43	1500	02/29/2012	03/14/2012	PC000074	KLAUER 17-FEB KOWALSKI COMPANIE	\$35.95
210072	270010	700005	43	1500	02/29/2012	03/14/2012	PC000074	KLAUER 10-FEB KOWALSKI COMPANIE	\$43.00
210072	270010	700005	43	1500	02/29/2012	03/14/2012	PC000074	CHRISTIANS 06-FEB LUNDS #7	\$52.08
210072	270010	700005	43	1500	03/31/2012	04/23/2012	PC000075	CHRISTIANS 20-MAR LUNDS #7	\$33.22
210072	270010	700005	43	1500	03/31/2012	04/23/2012	PC000075	CHRISTIANS 06-MAR OOP	\$10.02
210072	270010	700005	43	1500	03/31/2012	04/23/2012	PC000075	CHRISTIANS 29-JAN OOP	\$35.80
210072	270010	700005	43	1500	05/31/2012	06/13/2012	PC000077	CHRISTIANS 30-APR SEWARD COMMUNITY	\$54.20
210072	270010	700005	43	1500	10/31/2012	11/19/2012	PC000082	CHRISTIANS 28-SEP KOWALSKI'S MARKET	\$50.52
210072	270010	700007	43	1500	09/30/2012	10/15/2012	PC000081	CHRISTIANS 23-SEP WORLD MKT 000	\$33.23
210072	270010	700501	43	1500	05/31/2012	06/13/2012	PC000077	CHRISTIANS 07-MAY AMAZON.COM	\$96.00
210072	270010	700501	43	1500	06/30/2012	07/17/2012	PC000078	CHRISTIANS 06-MAR OOP	\$12.00
210072	270010	703201	43	1500	11/21/2012	11/21/2012	I0091560	Scheurer, Erica C..	\$200.00
210072	270010	703201	43	1500	11/27/2012	11/27/2012	I0091744	Rutz, Carol	\$200.00
210072	270010	704004	43	1500	11/27/2012	11/27/2012	I0091746	Rutz, Carol	\$48.84

Transaction Detail Total: \$1,345.55





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 –

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