GRANTS PRIMER

The basics a principal investigator should know in 30 minutes
Proposals and Grants Support - Who does what?
PRIME Chartstrings – Making sense of the craziness
Proposal and Grant Best Practices for PIs
Demo of four useful reports
Q & A
Departmental Grant Support

Keith Axsom
- Proposal Production
- Modifications
- Statement Review
- Report Submissions

Susan Duncan
- Post Award Monitoring
- Labor Accounting
- Expense Review and Transfers
- Award Closeout
Institutional Grant Support

- University Research Board (URB)
- Office of Project and Research Administration (ORPA)
- Sponsored Research Accounting or SRA (SRA)
The University Research Board, a University-wide committee formed in 1959, is composed of members of the faculty and administration. Advisory to the president of Princeton University on all matters concerning research performed at the University, the board consists of six members of the faculty, two elected by the faculty and four appointed by the president. Each of the four divisions of the faculty -- engineering and applied science, humanities, natural sciences and social sciences -- is represented by at least one board member.

- Selects internally competitive proposals
- Helps negotiate major projects and costshare
- Determines PI Status
The Office of Research and Project Administration (ORPA) provides support and guidance to the research enterprise of Princeton University for obtaining sponsored research funds and managing sponsored program activity in today’s complex regulatory environment.
Sponsored Research Accounting (SRA)

- Monitors grants for potential unallowable expenses and overruns
- Invoices sponsors per award terms
- Provides interim and final financial reports
- Monitors effort certification
- Coordinates audits
- Monitors costshare

- Assists Principal Investigators and Departmental Administrators with federal and non-federal grants and contracts from the time that a new award is opened through the completion of the award. Throughout the life cycle of the award, SRA performs a variety of functions to ensure financial compliance. These functions include financial reporting, cash management, effort reporting oversight, award closeout, and training and development
PRIME CHARTSTRING - ELEMENTS

- Department – always needed
- Fund – always needed
- Program – sometimes, do not combine with a project code
- Site – rarely needed, please leave blank
- Project – always needed for a grant, do not combine with a program
- Activity – rarely needed, usually 101
- Account Codes – usually automatically assigned
PRIME CHARTSTRING – BASIC CODES 1

Astro Subdepartment Codes:
- 23100 – Astrophysics Home
- 23102 – Astrophysics Fellowships
- 23103 – HSC related
- 23104 – LSST related
- 23105 – Plasma Theory Program
- 23106 – Department Computing Recharge
- 23107 – Center for Computation Astrophysics

Key Fund Codes:
- A0000 – Central Budget
- A0001 – Department Budget
- A0002 – Rebates
- A0003 – Science Fund
- A0014 – Dummy/Default Holding
- BXXXX - Gifts
- EXXXX – Endowment Funds
- G0002 – Non U.S. Govt Sponsored Research
- G0001 – U.S. Govt Sponsored Research
Key Program Codes:
- AC – Academic Programs
- AM – Administrative Programs
- FA/FB – Individual Faculty Programs
- GR – Graduate Student Programs
- GU – General Administrative Programs
- OA – Individual Research Programs
- UG – Undergraduate Programs
- VA – Individual Visitor Programs

Project Codes:
- All project codes are 8 digits. Every project code has an award code. Award codes begin with the letters AWD followed by 6 digits. An award may have multiple project numbers.

*** The only chartstring that might contain both project and program codes are costshare.

Activity Codes:
- Activity codes may be assigned to track expenses specific to the funding year if required by the sponsor. 101 will be assigned to year 1, 102 to year 2 and so on.
Five First Steps of Proposal Preparation

1) Notify Keith well in advance of intent to submit a proposal
2) Provide Keith a link to the solicitation
3) Confirm PI Status
4) Develop a budget with Keith
5) Note ORPA five day review guideline.
Proposal Best Practices - 2

Elements Needed to Initiate a Proposal

1) List of key personnel and their roles
2) Defined start date and performance period
3) Final Title
4) Target bottom line
5) Costshare sources only if costshare is required
PI STATUS REQUEST

All postdoctoral researchers associates and fellows and most visiting appointments are required to request PI Status prior to submitting a proposal. The request is made by the Chair to the URB through Mindy. She will need the following information:

- Your updated cv
- Name of the funding body
- Name of the proposal program
- The goal of the research (be brief)
- Any co-Is and their institutions
- Proposal title
- Proposed budget
- Mentoring plan if supporting graduate students
When a proposal is awarded and fully processed by ORPA, you will receive a notification that looks like this. This notification provides the chartstring for the project and loads of information about the award such as restrictions and reporting requirements.
PI RESPONSIBILITIES

The Principal Investigator is expected not to just DO the research but to manage the award with the following responsibilities:

1) Ensures compliance of all project activities to the sponsor’s terms, rules, laws or regulations.
2) Manages the project budget
3) Requests modifications as needed
4) Oversees subawards
5) Certifies time and effort
6) Submits technical and progress reports on a timely basis

** ORPA, SRA and your grant manager are here to assist and advise.**
BUDGET WHAT YOU WILL SPEND

Spend what you budget... High carried balances

1) Could be construed as poor project management
2) Could suggest over-subscribed effort
3) Require detailed explanations in annual reports
4) May disqualify a no cost extension

An unused obligation is wasteful and denies other’s research funding

** ORPA, SRA and your grant manager are here to assist and advise.**
AUDITS ... HOW NOT TO FEAR THEM

The following are areas that are commonly scrutinized by auditors:

1) Projects with a great deal of travel
2) Projects with several subawards
3) Delayed changes in labor and effort and secondary certifications
4) Chronic untimely reporting
5) Costsharing
6) Participant support and other budget restrictions
7) Equipment purchased late in project cycle.

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FOUR USEFUL REPORTS

- Individual Portfolio
- Monthly Actuals (Program)
- FIN037 Personnel Expense by Chartstring
- FIN050 Sponsored Project Detail

https://prime.princeton.edu/
HOW TO GENERATE AN INDIVIDUAL PORTFOLIO

This is a good report providing a summary of all of your programs and projects balances.

1) First go to the PRIME webpage: https://prime.princeton.edu/

2) Click on the “reporting” icon and login with your userid and password, DUO authentication will be triggered too.
   Select "Financial Management"
   Select "Individual Portfolio"

3) The form for the report should pop up with a few boxes.
   Select fiscal year FY:18 and enter the month you want to see, current month is default.
   Choose the “NO” bullet under include costshare.

4) Enter your last name in the "program manager/PI" box. Click on search. Your full name should appear in the "results box" Highlight it and select “insert” so it goes into the “choice” box.

5) Select the "RUN" button at the top and wait. It will generate your report and you can drill on anything that is the color blue.
This is a good report that summarizes program expenses by month.

1) First go to the PRIME webpage: https://prime.princeton.edu/

2) Click on the “reporting” icon and login with your userid and password, DUO authentication will be triggered too.
   Select “Financial Management”
   Select “Monthly Actuals”

3) The form for the report should pop up with a few boxes.
   Select fiscal year FY18 and enter the month you want to see, current month is default.
   At the top or bottom, select the “NEXT>” box.

4) Enter your program code in the "program" box. Click on search. The program name should appear in the "results box" Highlight it and select "insert" so it goes into the "choice" box.

5) Select the "RUN" button at the top and wait. It will generate your report and you can drill on anything that is the color blue.
GENERATE FIN037 PERSONNEL EXPENSE

This report provides a list of personnel you support by $$ not % of effort

1. First go to the PRIME webpage: https://prime.princeton.edu/

2. Click on the “reporting” icon and login with your userid and password, DUO authentication will be triggered too.
   - Select “Labor Accounting"
   - Select “FIN037 Personnel Expense by Chartstring"

3. The form for the report should pop up with many boxes.
   - Select fiscal year FY18 and enter the month you want to see, current month is default.

4. Enter home department 23100 only and you will get a list of everyone in this department you support. You can enter other parameters such as “project” to narrow the search. Each parameter requires Search/Results/Insert to be included in the run.

5. Select the "RUN" button at the top and wait. It will generate your report and you can drill on anything that is the color blue.
GENERATE FIN050 PROJECT DETAIL

This report provides full detail of expenses on a project for a specified period.

1) First go to the PRIME webpage: https://prime.princeton.edu/

2) Click on the “reporting” icon and login with your userid and password, DUO authentication will be triggered too.
   Select “Sponsored Research”
   Select “FIN050 Sponsored Project Detail”

3) The form for the report should pop up with lots of boxes.
   Select fiscal year and month start and end parameters. I suggest one month at a time.

4) Enter the 8 digit project number in the “project” box. Click on search. The number with title should appear in "results box" Highlight it and select "insert" so it goes into the "choice" box.

5) Select the "RUN" button at the top and wait. It will generate your report and you can drill on anything that is the color blue.