Applying for and Managing Non-Profit Funding:
Grant Administration Tips for Successful Programs

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Gifts vs Grants

Proposals

Notify the Relevant Offices

- Office of Research Support/Research Administration
- Foundation Relations/Corporate & Foundation Relations
- Office of Sponsored Programs

Why?

Who notifies?

- Faculty
- Grant Managers
Proposals

Sponsor Expectations

- RFPs/RFAs/Calls for Proposals/Guidelines
  - Submissions limited by Sponsor
  - Internally Managed Opportunities
    - Which Funders are Internally Managed?
    - Why?

Types of Non-profit Funders

- Foundations
  - Private foundations
  - Family foundations
  - Community foundations
- Corporate Philanthropy
- Professional Associations / Societies
- Non-Governmental Organizations
- Non-Profit Interest Groups
- Other Non-profits
Proposals

Types of Proposals

- Letters of Inquiry
- White Papers/Position Papers
- Full Proposals
  - Multi-Phase Proposals

Sponsor Requirements that Conflict with Duke Policy

Sponsor Submission Process

- Online Submissions
- Electronic (email)
- Hard-copy

Who Submits?
Proposals

Duke Submission Process

• Checklists
  o "Tina Radford's Checklist"
  o OCFR and ORS Checklists
  o Completely Answer All Sponsor Questions

Duke Submission Process (continued)

• Timeline
  o ORS/ORA Deadlines
    ➢ Waiver May Not Guarantee Submission
  o Physical Signatures/Letters of Endorsement
  o Multiple Reviews

• DPAF / Prior Approvals
  o Why?
  o How to get them / Timeliness

• ORS/ORA Specific Requirements
Proposals

Budgeting

• 3 types of budgets
  o Programmatic
  o Need Based
  o Anticipated Expenditures (lines up with Duke G/Ls)

Budgeting (continued)

• Sponsor-defined Allowable Costs
• Foreign Currency
  o Specified Rate
  o Revenue Issues
  o Foreign Subcontracts
Proposals

Budgeting (continued)

• Graduate Students and Post-docs
  o Compensatory vs Non-compensatory payroll
• Cost-sharing
• Fringe rates
  o Awareness of Prime Sponsor
  o Fringes on Fellowships
  o Changes to PostDoc Fringes

• Subcontracts
  o Foreign Subcontractors
    ➢ Duke Sub-recipient Checklist
  o Re-granting Programs
    ➢ Re-granting Process
Proposals

Budgeting (continued)

- Tuition Remission
  - May require educations of sponsors
- F&A
  - Written verification of rates
  - Historical knowledge of what rates to use
  - SPS Institutional Data

Proposals

Institutional Data

- Where to find it
- Annual Information
- Institutional Data vs School/Department/Center/Program Data
Proposals

What to do if you are rejected?

• Prepare for next round
• Graciousness
• Make sure you are using all of your institutional resources

Award Acceptance

Types of Awards

• Letter
• Check/Wire-transfer
• Email
• Grant Agreement (No Signature)
• Grant Agreement (Signature)
• Contract
• Other Awards (Not a Sponsored Program)
Award Acceptance

What to do with your award letter?

- Office of Research Support/Research Administration
- Corporate and Foundation Relations/Medical Center Foundation Relations
- Alumni & Development Records

Award isn't what you were expecting?

Negotiations

- Duke-required Changes
- PI/Department Requested Changes
  - Intellectual Property
  - Special Programmatic Provisions
- Reporting Requirements
Award Acceptance

Grant Period vs. Reporting Dates
  • Confirm if the distinction isn’t clear

Ancillary Agreements
  • Material Transfer Agreements
  • Memorandums of Understanding/Agreement
  • Intellectual Property Agreements

Award Acceptance

Process of Negotiation
  • Multiple Offices
  • Managing PI Expectations
  • Managing Sponsor Expectations
Award Acceptance

Who signs for Duke?

- Not You, the PI, or the Dean/Chair/Director

What happens once it is signed?

- Fund Code Set up
  - Gifts
    - ORS/ORA - Requesting 39X code
    - ADR
    - Endowment Office
  - Grants/Contracts
    - ORS/ORA
    - OSP
    - DCRI
Award Acceptance

- **Fund Code Set Up (Continued)**
  - Codes in Advance of an Award
  - Pre-award Spending (Federal Award Concept)
  - Notifications
    - Grant Management Tab/ R3
      - Departmental Administrator Specifies
    - Grant Administrator
    - Department Project Name
    - ORS / ORA Notifications of Awards

Award Management

- **Roles & Responsibilities**
- **Review Award & Documentation**
  - Manage the Award You Received (not the one that you have in your head)
  - Start on the Start Date
  - Make Sure that Central Administration Processed It Correctly
    - Award Dates
    - SPS Award Information
    - Plan in R3
Award Management

• Programmatic Changes

• Administrative Changes
  • Prior Approvals
    o Who Approves for Duke?
    o Who Approves for Sponsor?
  • Format
  • Matching Programmatic Changes to the Budget

Award Management (continued)

Administrative Changes

• Rebudgeting
  o Allowable to Sponsor
  o Reality vs Plan at time of Proposal
  o Prior Approval vs Authority (or Limited Authority) to Rebudget
    o Miscellaneous / Other Costs
Awards Management

Administrative Changes (continued)

- No-Cost Extensions
- Carry-Forward Requests
- Other Administrative Changes

Duke Internal Payments

- Faculty Discretionary
- Student Support Allowances
- How Will It be Reported?
Award Management

Reporting

• Understanding requirements
• Grant Reporting vs Gift "Reporting"
• Who Does What?
  o OSP - Reporting on all 38X series codes
  o PI/Department Technical/Narrative Reports
• Sponsor Required Forms/Systems
  o Send Forms to OSP as Soon as You Receive Them
  o OSP Always Reviews
  o Online Reporting Systems

Award Management

Reporting (continued)

• Invoicing
  o Grants vs Gifts
  o Cost-reimbursement
  o By Schedule of Deliverables
  o Payment Schedules
  o Coordinate with OSP
Award Management

Reporting (continued)

• Coordination of Technical/Narrative and Financial Reports
• Reporting Dates vs Program Dates

Revenue

• What Goes to Whom? (OSP, ADR, ORS/ORA, or PI/Department)
• Checks
• Wire Transfers
• Suspense Accounts
• Monitoring Revenue
  ○ What to Do if a Payment Doesn't Arrive?
• Receipt of Payment May Be Dependent upon Reporting
Award Management

Investment Income

• What to do with it? Additive?
• Reportable to Sponsor?

Monitoring

• Has the Money Been Spent?

Asset Disposition

• Export Controls
• Allowableness

Contact Info.

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