How to be a PI: I got a grant! Now what do I do?

Leslie Schmidt
Office of Sponsored Programs

Jamie McEvoy
Earth Sciences

Nika Stoop
Center for Faculty Excellence

Sponsored by
The Center for Faculty Excellence, Office of Sponsored Programs, and ADVANCE Project TRACS...
Your Award Letter

• Dates of award
• Final budget amount
• Terms/Conditions/Provisions
• Deliverables/Program Details
Goal: Give faculty an overview of what is needed for managing a grant.

- Fiscal Management
- Reporting
- Student Mentoring/Managing a Research Group
THANK YOU!

- **Workshop Organizers:**
  - Jamie McEvoy, Earth Sciences
  - Leslie Schmidt, OSP
- **Workshop Facilitators:**
  - Mary Cloninger, Chemistry & Biochemistry
  - Suzanne Held, Health & Human Development
  - Bok Sowell, Animal & Range Sciences
  - Carmen Fike, Fiscal Manager OSP
  - Lisa White, Accountant, Animal & Range Sciences
- **Advice and Input:**
  - Eric Boyd, Land Resources & Environmental Sciences
  - Robert Walker, Chemistry & Biochemistry
  - Cassandra Balent, Letters & Sciences
  - Kathy Osen, Engineering
  - Julia Haggerty, Earth Sciences
  - Betsy Webb, Professional Development & Training, HR
  - Catherine Johnson, Education Graduate Student
  - Fiscal Managers in OSP

**AWARD LETTERS**
Mark Quinn
Michael Giroux
Timothy Minton
Fiscal Management
Principal Investigator’s Research Guidelines

“How To” Guide
Both Pre Award & Post Award Guidance
Available at:

http://www.montana.edu/wwwvr/osp/index.html
MSU Grants Management Environment

- Institution Audit & Advisory Services
- Human Resources
- Procurement Services
- External Audit
- VP for Research and Economic Development
- Graduate School
- Procurement Services
- Property Control
- Funding Agencies
- Office of Sponsored Programs
- Research Compliance
- Technology Transfer Office
- College/School
### Who is Responsible?

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<td>22</td>
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**Initiating**
- Negotiate and accept award
- Read award letter
- Set up award in Banner
- Process personnel documents
- Process expenditure documents
- Initiate, negotiate and execute subawards/contracts

**Managing**
- Monitor expenses, reconcile monthly financials
- Initiate and process cost transfer
- Review and approve cost transfer
- Initiate budget modifications (OPAS)
- Submit modification to sponsor after OSP approval
- Cost share monitoring
- Financial reporting/invoicing
- Time & effort reporting/monitoring
- Monitor progress and process subaward/subcontract invoices
- Approve and reconcile subaward/subcontract payments
- Prepare programmatic/scientific progress reports
- Personnel reviews and changes

**Close-out**
- Institutional Close-out
- Final programmatic/scientific reports

*Primary  Secondary*

*Updated: 3/8/17*
<table>
<thead>
<tr>
<th>Fund Inception to Date</th>
<th>ITD Amounts to OCT FY 2016</th>
<th>21-OCT-2015 10:22 AM</th>
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<tbody>
<tr>
<td>Grant/Fund: W3101/4W3101</td>
<td>Title: BREAD: Inactivating rust resistance suppressors to unlock multiple defense resp</td>
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<tr>
<td>Status: Active</td>
<td>PI: Huang, Li</td>
<td>Sponsor: National Science Foundation (NSF)</td>
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<tr>
<td>Proj Start: 01-MAY-2016</td>
<td>OSP EM: Fike, Carmen</td>
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<tr>
<td>Proj End: 30-APR-2016</td>
<td>Roll</td>
<td>F&amp;A IDC: (42.5%) M&amp;I Base 785,970.78</td>
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<tr>
<td>Max Funds: 2,287,015</td>
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<table>
<thead>
<tr>
<th>Budget Year</th>
<th>Period Amount</th>
<th>Incept To Date</th>
<th>Encumbrance</th>
<th>Total Commit</th>
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<td>FY16</td>
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<table>
<thead>
<tr>
<th>Expenditures</th>
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<tbody>
<tr>
<td>Salaries</td>
<td>546,529.00</td>
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<tr>
<td>Benefits</td>
<td>122,712.00</td>
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<tr>
<td>Sub Awards</td>
<td>699,781.00</td>
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<td>Contracted Services</td>
<td>59,000.00</td>
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<td>Supplies</td>
<td>164,692.00</td>
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<td>Communication</td>
<td>0.00</td>
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<td>Travel</td>
<td>69,700.00</td>
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<td>Rent</td>
<td>11,506.00</td>
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<td>Repair and Maint</td>
<td>0.00</td>
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<tr>
<td>Awards</td>
<td>15,000.00</td>
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<tr>
<td>Participant Support</td>
<td>134,141.00</td>
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<tr>
<td>Capital Equipment</td>
<td>19,615.00</td>
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<tr>
<td>Total Direct Cost</td>
<td>1,842,676.00</td>
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<tr>
<td>F&amp;A IDC (42.5%)</td>
<td>444,339.00</td>
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<tr>
<td>Total Expenditures</td>
<td>2,287,015.00</td>
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| Cash Balance: | -179.90 |
| Free Balance: | 515,384.73 |

<table>
<thead>
<tr>
<th>Bill Format/Freq</th>
<th>Total GB Billed</th>
<th>Total GB Unbilled</th>
<th>Total GB On Hold</th>
<th>Total GB Expenditures</th>
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</thead>
<tbody>
<tr>
<td>LOC/Month</td>
<td>1,687,716.32</td>
<td>12,338.58</td>
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</tbody>
</table>

All Purchasing Encumbrances are Closed

Facilities & Administration Costs

• How do they impact your budget?

• How are they figured?
  – The rate is negotiated with the federal government and is calculated by dividing the cost of doing business (infrastructure costs) by the research expenditures.
Top 3 Things You Need to Know

- Read your award letter carefully
- Check your accounts monthly
- Questions? Talk with your FM or Department Finance person
Reporting
Why is it important to do a report on time?

– May not give you the next year’s funding
– May not look upon the next proposal favorably
– May affect all funding to MSU from that agency
Type of Reporting?

- Financial Report – OSP FM
  - With the help of the PI and Department finance staff
- Technical Report – PI
  - With the help of students and collaborators/subawardees
What goes into a report?

• Accomplishments/Progress
  – What was completed during the time period and evaluation of the progress
• Products
  – papers, presentations, strains, and other materials
• Participants
  – who did the work including students and collaborators, etc.
• Target Audience/Outreach
  – who received information about your work and what was their feedback
• Changes/Problems
  – why did you not meet goals or changes necessary from your original proposal
• Goals/Timeline for the next time period
<table>
<thead>
<tr>
<th>Research.gov - NSF</th>
<th>Foundation example</th>
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<tbody>
<tr>
<td>– Accomplishments</td>
<td>– Workplan/timeline</td>
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<tr>
<td>– Products</td>
<td>– Progress to date</td>
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<tr>
<td>– Participants</td>
<td>– Evaluation</td>
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<tr>
<td>– Impact</td>
<td>– Project Successes</td>
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<tr>
<td>– Changes/Problems, and</td>
<td>– Unexpected Challenges</td>
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<tr>
<td>– Special Requirements</td>
<td>– Program budget (changes)</td>
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<tr>
<td>USDA</td>
<td>– Budget Report</td>
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<tr>
<td>– Participants</td>
<td>NIH RPPR</td>
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<tr>
<td>– Target Audience</td>
<td>– Accomplishments</td>
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<tr>
<td>– Products</td>
<td>– Products</td>
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<tr>
<td>– Other Products</td>
<td>– Participants</td>
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<tr>
<td>– Accomplishments</td>
<td>– Impact</td>
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<td>– Changes/Problems</td>
<td>– Changes</td>
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<td>– Special reporting req.</td>
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<td>– Outcomes</td>
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</table>

**Foundation example**

- Workplan/timeline
- Progress to date
- Evaluation
- Project Successes
- Unexpected Challenges
- Program budget (changes)
- Budget Report

**NIH RPPR**

- Accomplishments
- Products
- Participants
- Impact
- Changes
- Special reporting req.
- Outcomes
Top 3 Things You Need to Know

- Know when your reports are due
- Recruit help in the writing process
- Keep your Program Official in the loop
Student Mentoring/Managing a Research Group
In 2009, the US Council of Graduate Schools in Washington DC reported survey results showing that 65% of the 1,856 doctoral students who responded identified mentoring or advising as a main factor in PhD completion.

You Are Not Working for Me; I Am Working with You
- Florian Markowetz, PLOS, 2015
Maintaining your adviser means asking for what you need rather than hoping that he or she will know what to provide.
- Kearns & Gardner

Teaching
Clinical Care
Research
Service
Self Development
Networking
Work/Life Balance
Additional Mentors
Team Dynamics

- Different work styles
- Different goals
- Different projects or sometimes different parts of the same project

Balancing Leading with Listening
- Florian Markowetz, PLOS, 2015

https://realcolors.org/
Top 3 Things You Need to Know

- Communicate with your students/team
- Keep up on training requirements
- Hire the best and mentor them to be a part of the team
Top 3 Things You Need to Know

- Communicating is key!
- Do your reports on time
- Check your budget monthly
Important Links

- OSP Website: http://www.montana.edu/wwwvr/osp/index.html
- CFE Website http://www.montana.edu/facultyexcellence/
- CFE Helpful Links http://www.montana.edu/facultyexcellence/research/helpfullinks.html
- Articles:
  - http://www.sciencemag.org/careers/2014/06/want-be-pi-what-are-odds
  - http://www.chronicle.com/article/Becoming-a-Successful/66133
  - http://journals.plos.org/ploscompbiol/article?id=10.1371/journal.pcbi.1004387
  - http://www.nature.com/naturejobs/science/articles/10.1038/nj7331-570a
Case Scenarios

• 15 minutes to read your scenario and discuss the questions
  – NIH – Mentoring
  – USDA – Reporting
  – NSF – Fiscal Management

• 5 minutes – Choose a person to share your scenario and answers to the questions with the class.