



BUDS WORKSHOP

December 18, 2019

10:00am – 2:00pm

STOCKTON | OFFICE OF RESEARCH
UNIVERSITY | & SPONSORED PROGRAMS



Presenters



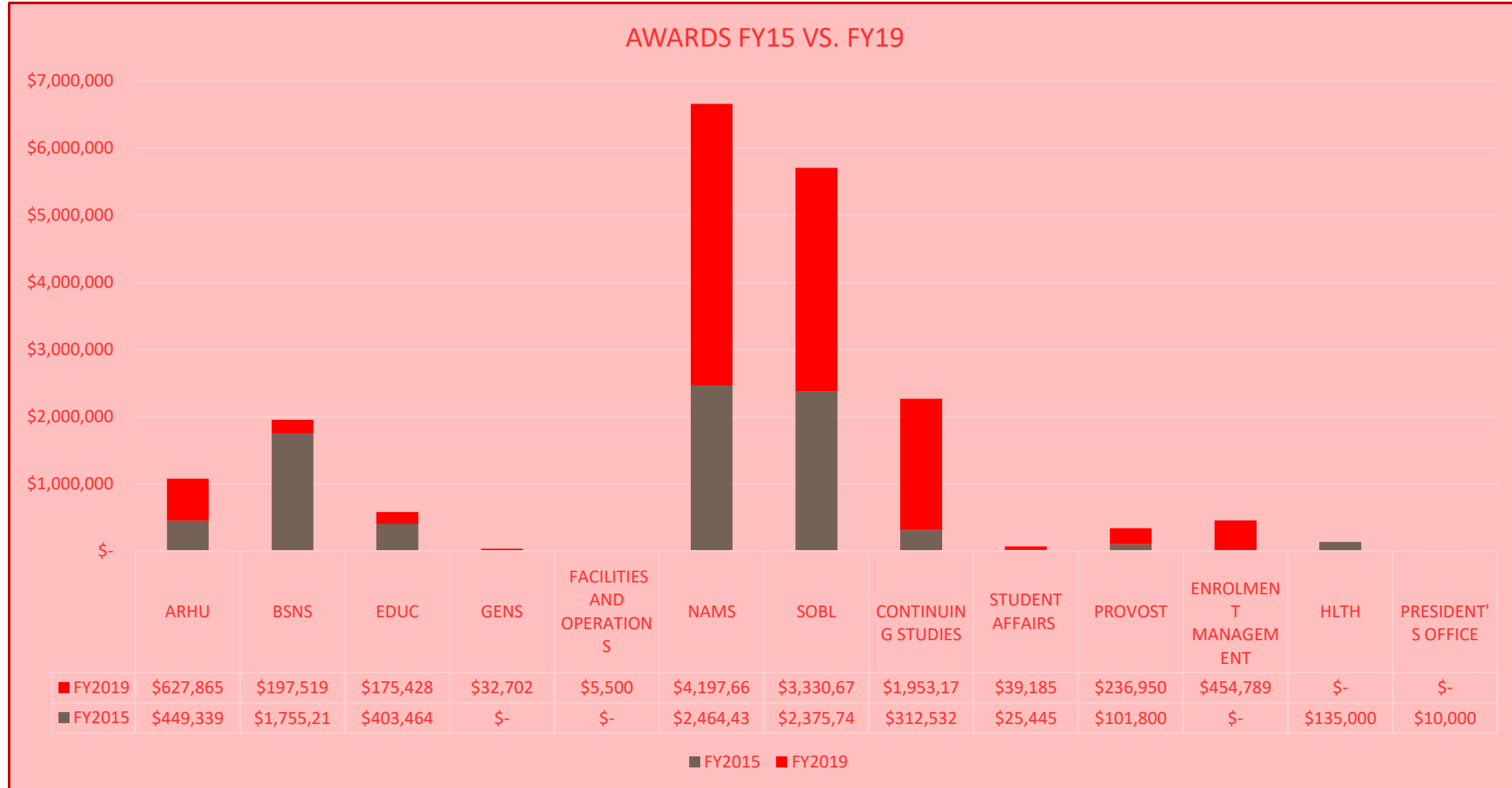
- Pantelia Bairaktaris
- Ronnie Carlini
- Joan Joseph
- Christy Santiago

Guest Speaker: Allison Monroe

Grant Team Introductions

- **Pre-award**
 - ✓ Lia Bairaktaris
- **Post-award**
 - Postaward@Stockton.edu
 - ✓ Joan Joseph
 - ✓ Christy Santiago
- **Internal Awards**
 - ✓ Ronnie Carlini

Grants Awards by Division



Grants Awards by Sponsor Type

Grants/Contracts by Funding Source

FY 2019 Total

\$11,251,448

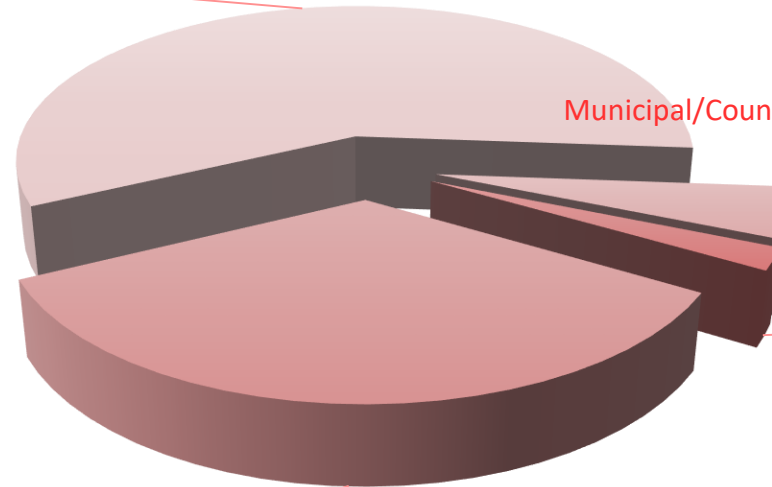
State, \$6,562,869

Municipal/County, \$563,222

Private, \$241,810

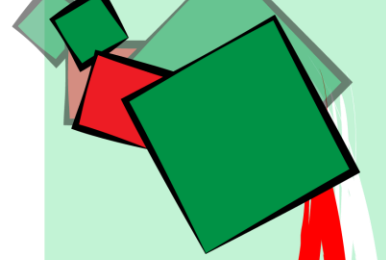
Federal, \$3,883,547

■ Federal ■ State ■ Municipal/County ■ Private



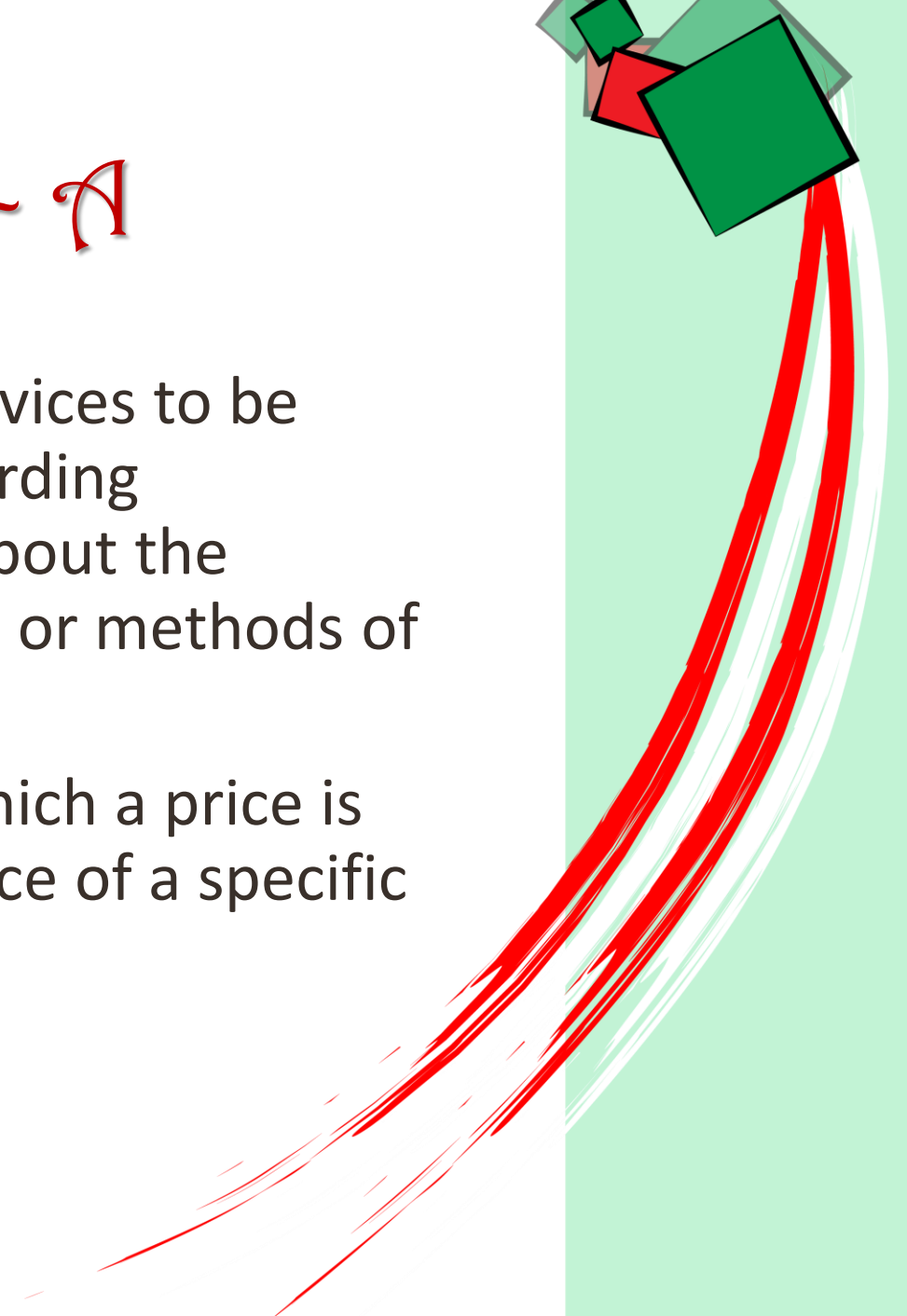
Recent Successes

- **USDA** – Stockton will lead research and outreach programs to increase maple syrup production in NJ and the larger Mid-Atlantic region by use of novel technology, landowner engagement, and sustainable best management practices.
- **100K Strong in the Americas** – A student Exchange Internship Program between Stockton University and Universidad del Rosario funded by the Innovation Fund Program.
- **Cooperative Ecosystem Studies Unit (CESU)** – Stockton was accepted to the North Atlantic Coast network of CESU. CESU is a national network of biogeographic programs established to provide research, technical assistance and education to federal land management, environmental and social issues within our nation's ecosystems.



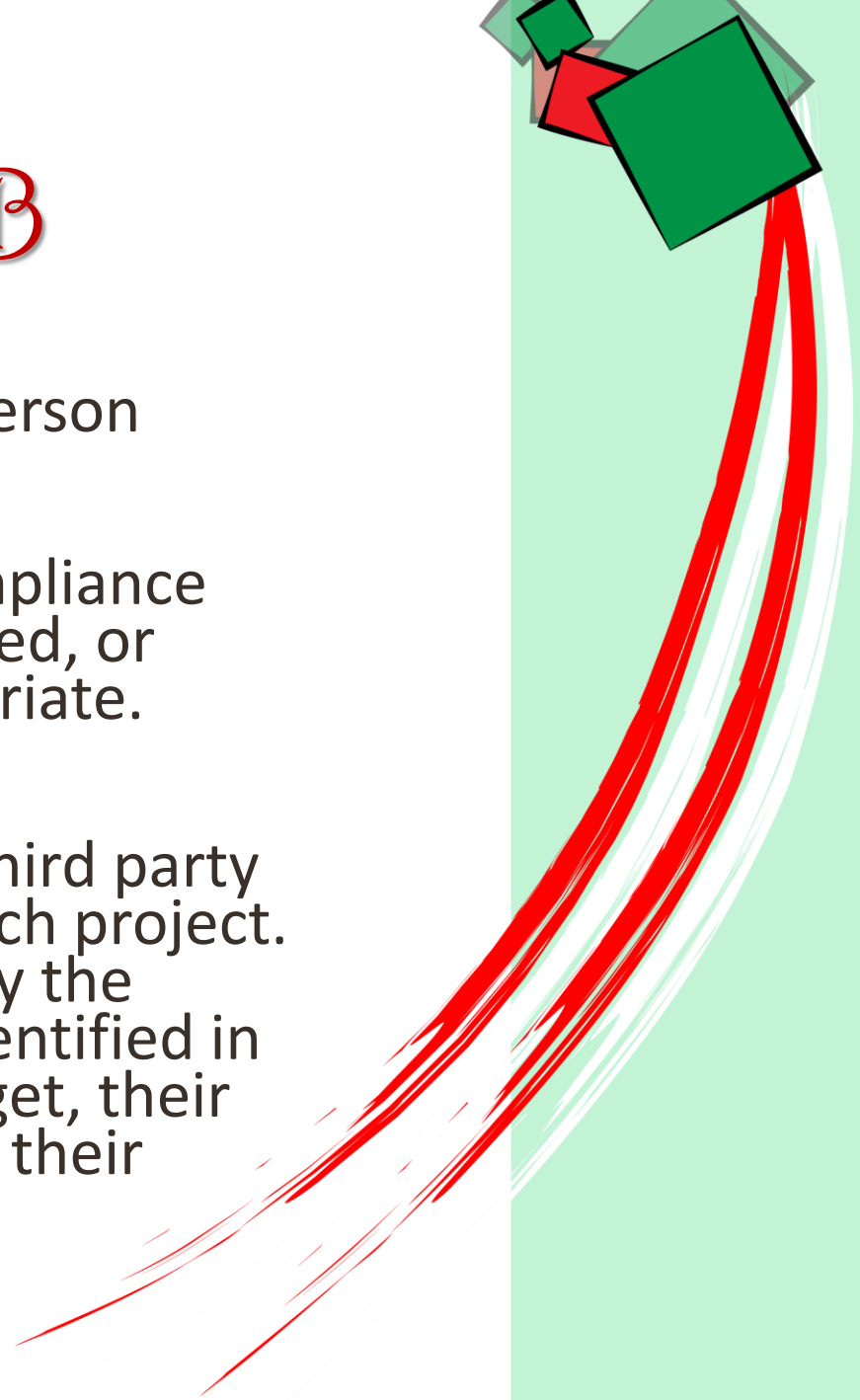
Definitions - A

- **Grant Agreement**— An agreement for services to be performed by an organization for the awarding agency. Contracts are generally specific about the objectives, direction, specifications, costs, or methods of performance.
- **Fixed Price Contract** - An agreement in which a price is determined in advance for the performance of a specific project or scope of work.

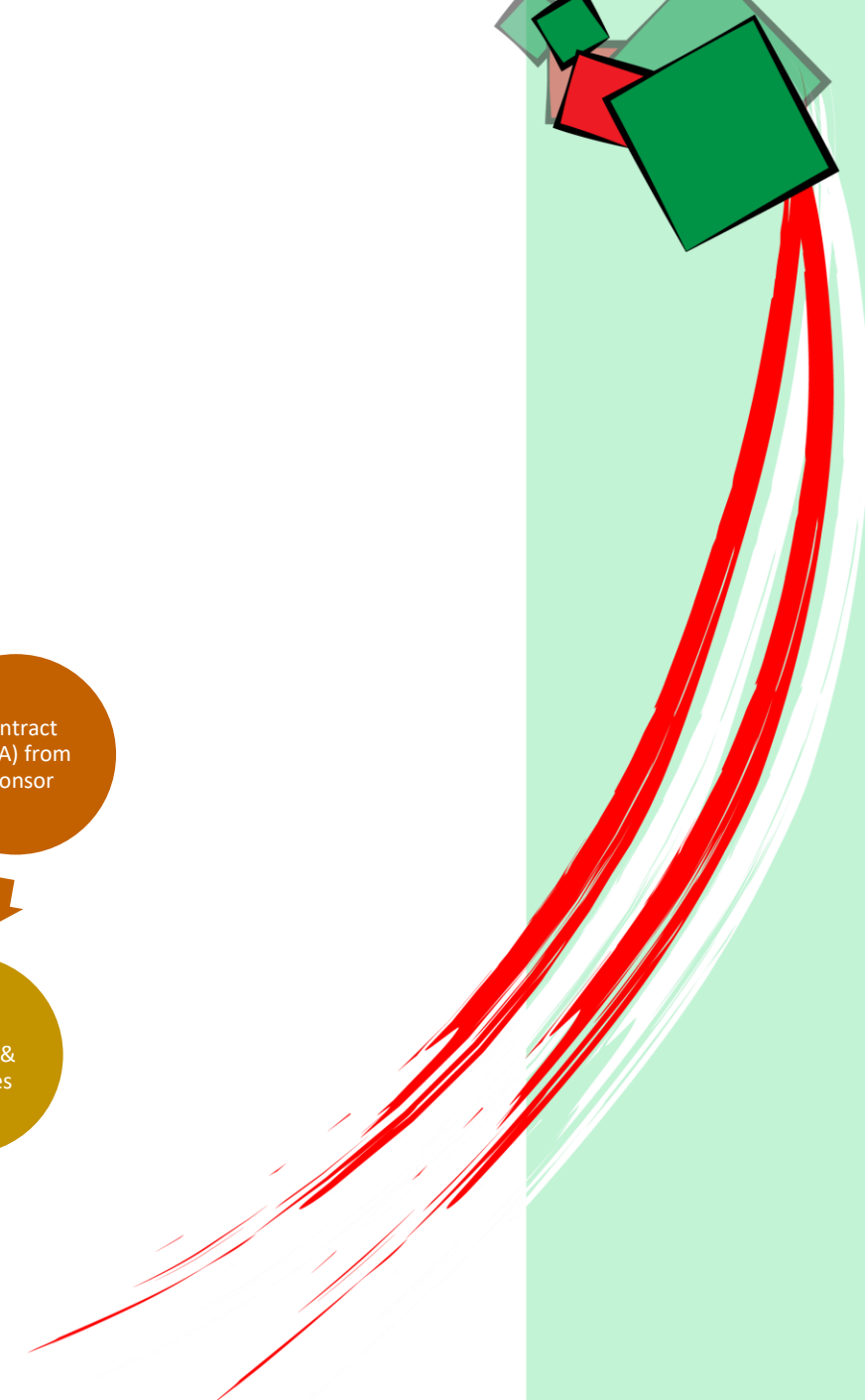
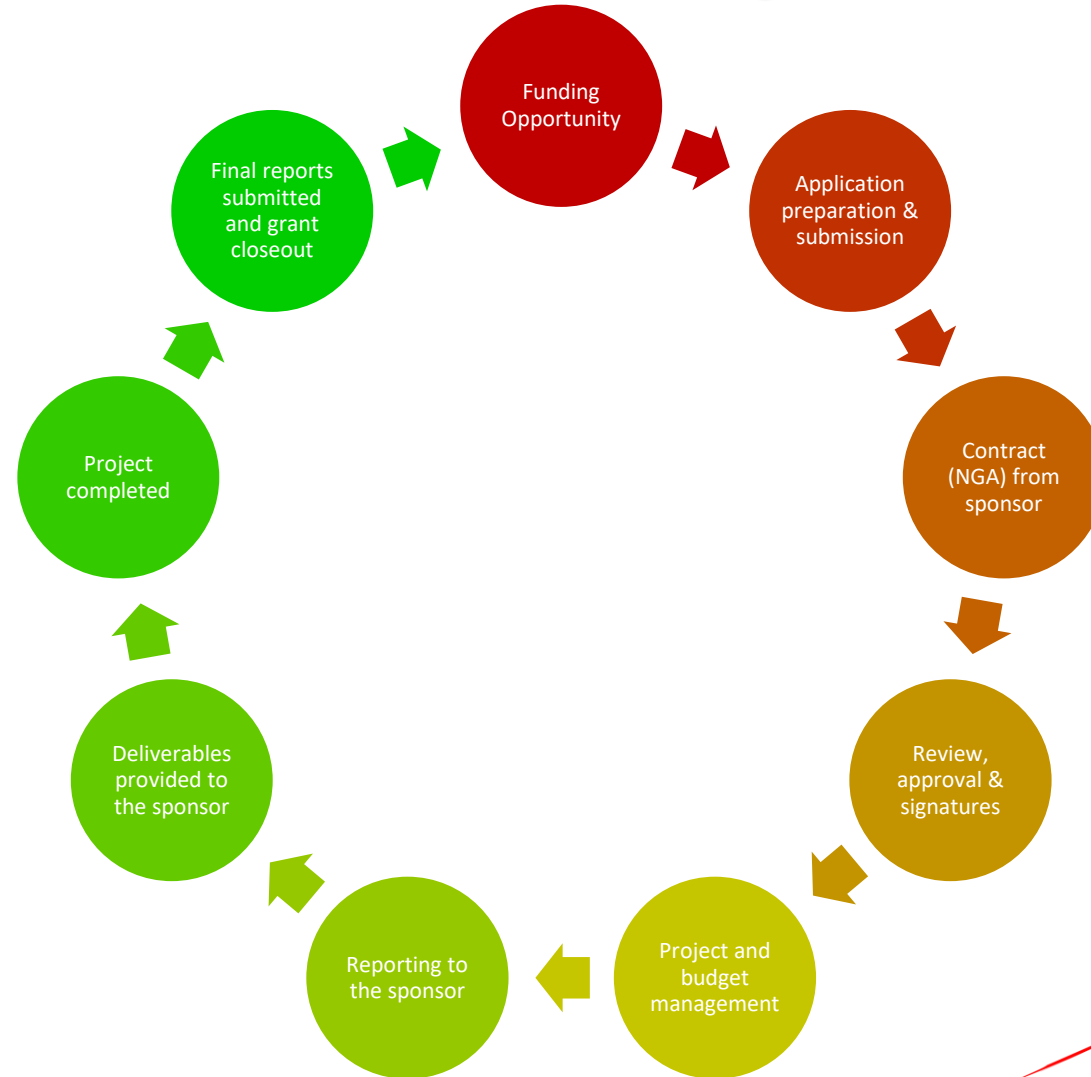


Definitions - B

- **Principal Investigator / Project Director**—The person ultimately responsible for managing the timely implementation and completion of a specific project. Principal investigators must ensure compliance with sponsor regulations for project costs incurred, or licensing and reporting requirements, as appropriate.
- **Subcontract/Subaward** - An agreement with a third party organization, performing a portion of the research project. In most cases, subcontracts must be approved by the sponsoring agency. Subcontractors should be identified in the proposal, including the subcontractor's budget, their indirect rates, scope of work, and approval from their administration to participate in the project.

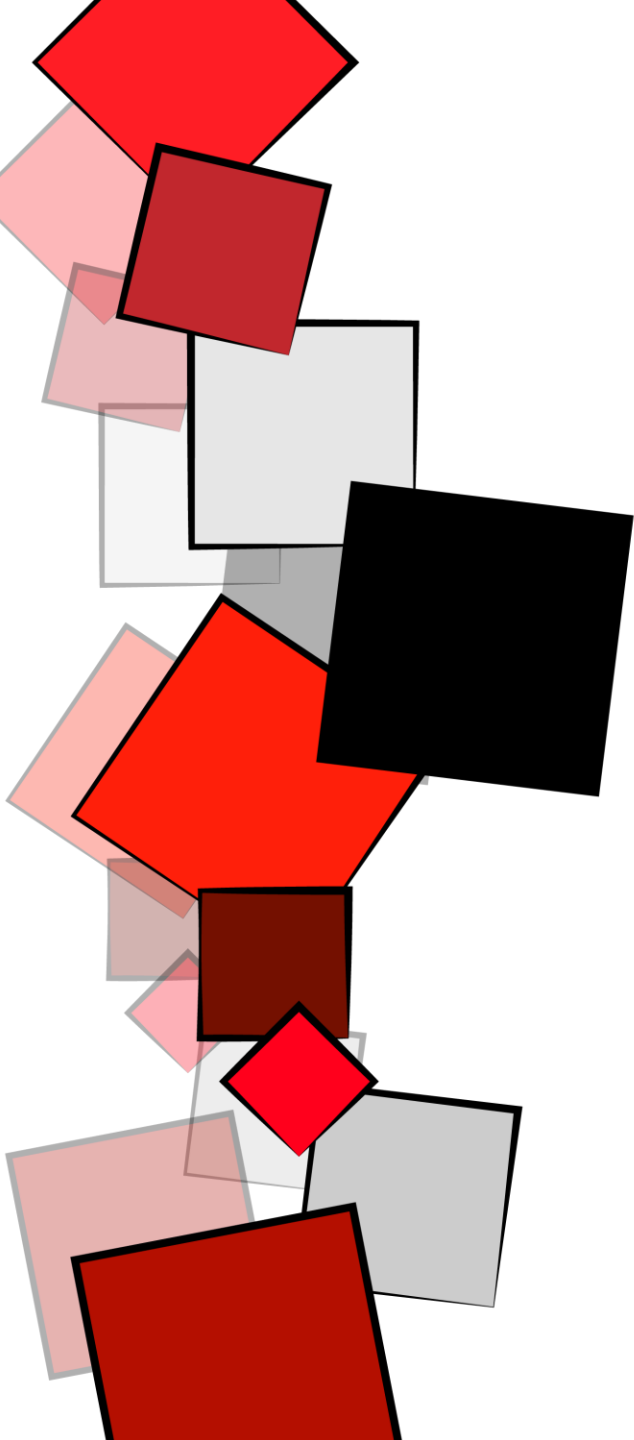


Grant Life Cycle



Pre-award Management

- Assist faculty in identifying external funding
- Prepare and submit proposals to external sponsors
- Negotiating awards
- Grant award documents review and signature
- Advance fund/full fund setup decisions
- Issuing subawards
- Award modifications



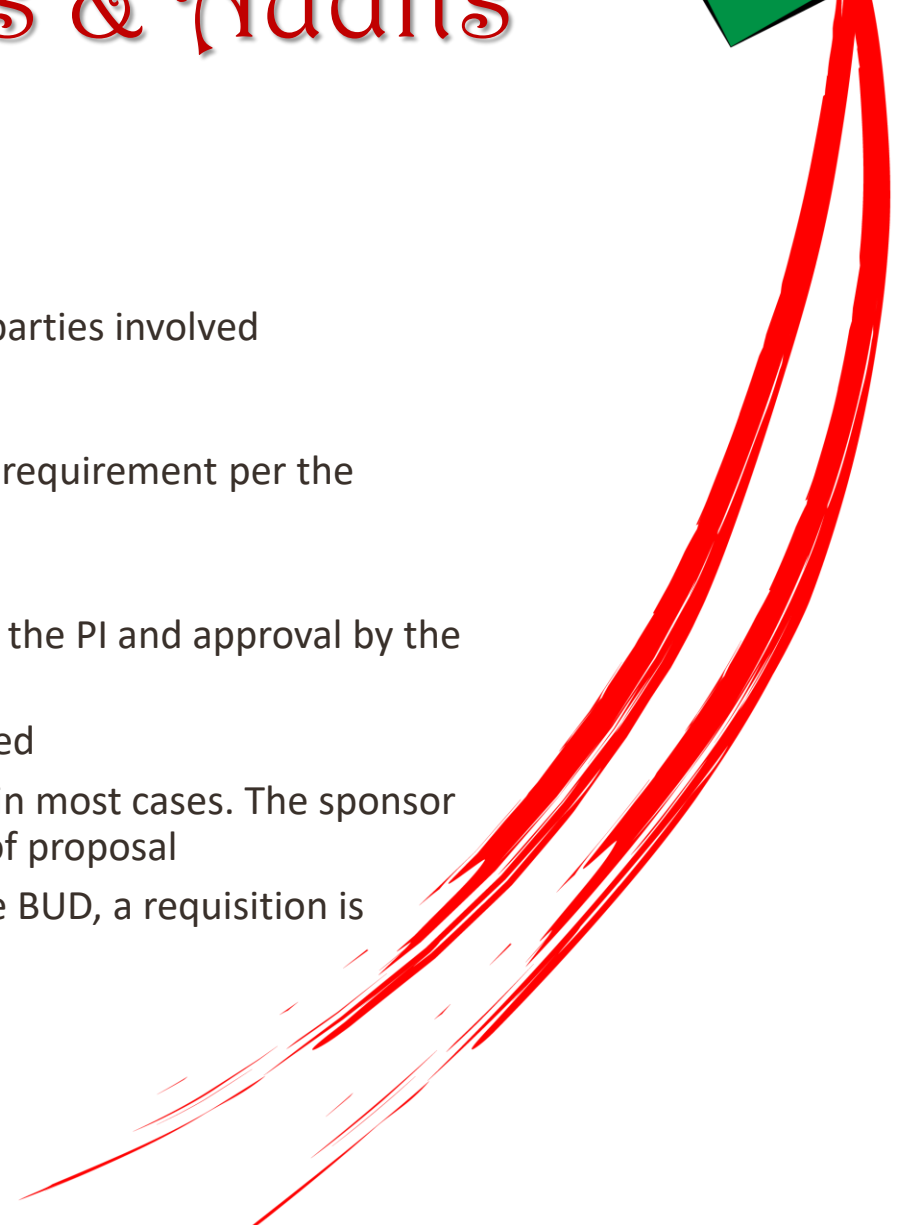
Step by Step Process – Pre-award

- Step 1: PI identifies a sponsor to submit the idea
- Step 2: Discuss project with Lia
- Step 3: Review the RFP, discuss the budget, deadline, submission requirements and assign tasks
- Step 4: Internal approval is obtained through smartgrant
- Step 5: Proposal preparation
 - Electronic or hard copy
 - Abstract, budget, budget justification, narrative, institutional info, appendices
 - Space, regulatory compliance, subawards
- Step 6: Proposal is submitted
- Step 7: Proposal awarded or declined
- Step 8: If awarded- contract review, negotiation and signature
- Step 9: Advance Fund setup decision or waiting for fully executed

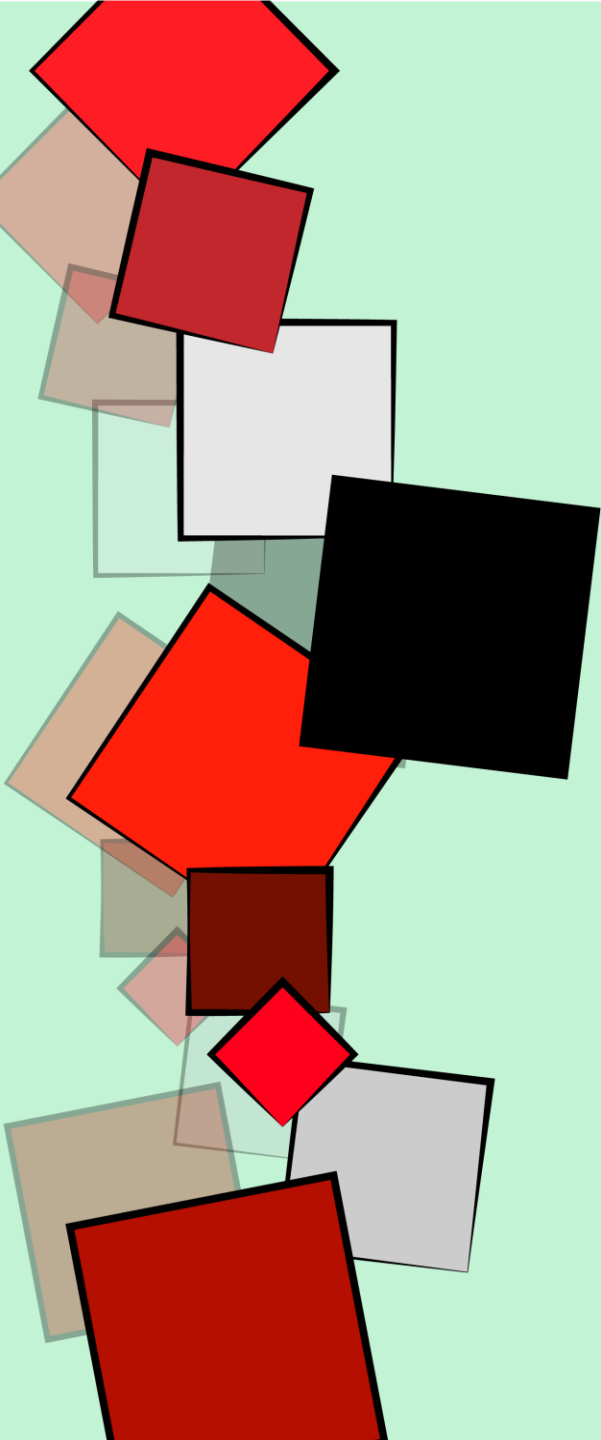


Modifications, Subawards & Audits

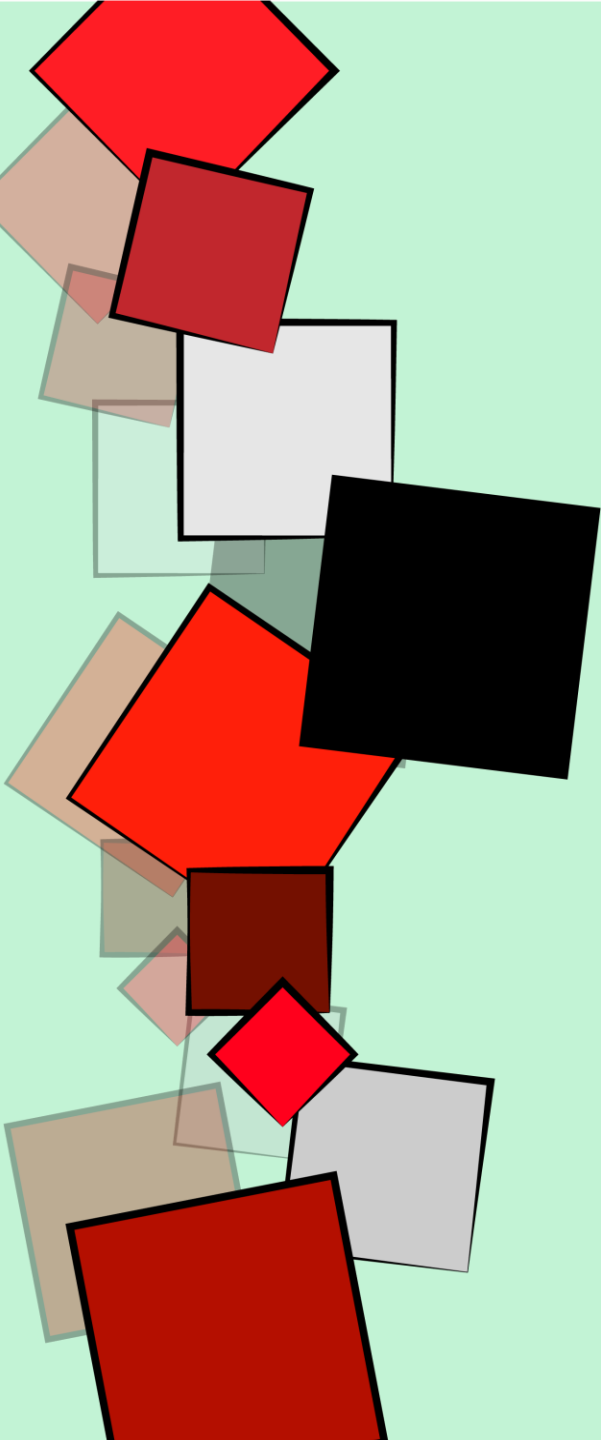


- Award modification requests
 - Audits
 - Point of contact for external audits, gathers all parties involved
 - Subawards
 - Subrecipient commitment form is in the works, requirement per the uniform Guidance
 - Awardee risk assessment
 - Lia issues the subawards after a discussion with the PI and approval by the sponsor
 - A scope of work and detailed budget are required
 - Purchasing forms required. There is no bidding in most cases. The sponsor has pre-approved the subawardee at the time of proposal
 - The fully executed subaward is submitted to the BUD, a requisition is entered in banner
- 

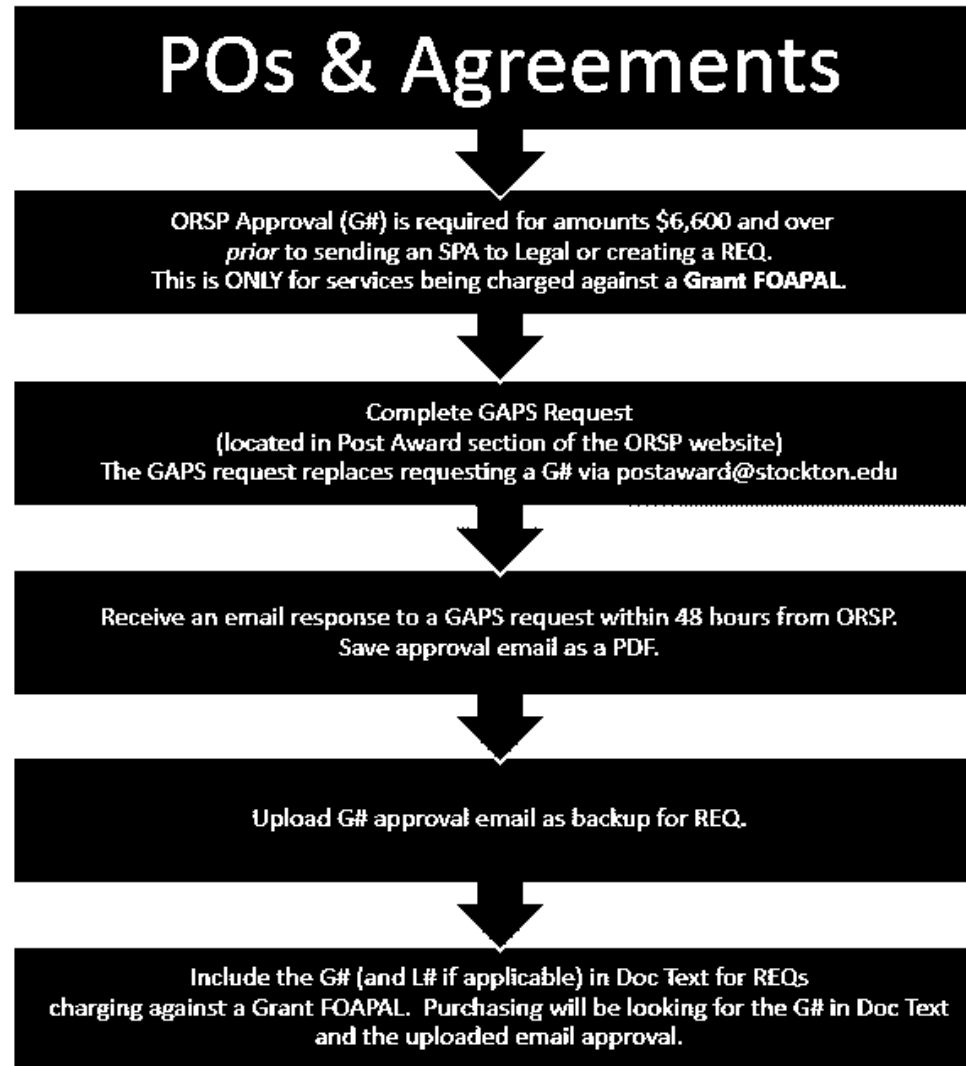
Questions



GAPS Form



Grants Approval for Services (GAPS)



Grants Approval for Services (GAPS)

Office of Research and Sponsored Programs

[About Us](#)

[Policies & Procedures](#)

[Proposal Development](#)

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[Funding Sources & Resources](#)

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[IACUC](#)

[Institutional Review Board](#)

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[Student Research Funding Opportunities](#)

[Staff](#)

[Calendar](#)

Post Award

Principal Investigator Responsibility in Funding:

The person ultimately responsible for managing the timely implementation and completion of a specific project is the Principal Investigator/Project Director. Principal investigators must ensure compliance with sponsor regulations for project cost incurred, patents, or licensing and reporting requirements, as appropriate.

- [Guidelines](#)
- [New Awards Data Point](#) - Completed by Grant Accounting and forwarded to the PI/BUD for each funded project.
- [Principal Investigator \(PI\) Responsibilities](#)
- [Grant Flow Chart](#)
- [Effort Reporting](#)
- [Grants and Contracts Cost Sharing \(Matching\) Procedure](#)
- [Grants and Contracts Cost Transfer Procedure](#)
- [Notice of Award New Award Checklist](#)
- [Grant Monthly End User Checklist](#)

**Requisitions and Service Provider Agreements created on grant accounts must be approved by ORSP and given a G# prior to being entered in Banner.
Submit your request using the Grants Approval for Services (GAPS) form.**

[GAPS Request](#)

Grants Approval for Services (GAPS)

Grants Approval for Services (GAPS)	
* Name of Vendor:	Partnering For Prevention (Specify) Vendor Z#: Z00249134 (if available)
* Requestor's Name:	Allison Monroe
* Your E-Mail:	allison.monroe@stockton.edu
Principal Investigator E-Mail:	dawn.konrady@stockton.edu
Carbon Copy (CC) E-Mail:	narina.parrish@stockton.edu
* Fund:	220380
* Organization:	240005
* Total Amount:	3500.00
* Existing Contract Amendment:	<input checked="" type="radio"/> Yes <input type="radio"/> No If yes, G#: G061919-4
Supporting Documentation:	<input type="button" value="Choose File"/> Grants Appro...d email.pdf
* Brief Description of Service (1-2 Sentences):	Will you kindly increase <u>G061919-4</u> by \$3500 to support continued <u>trainings</u> delivered by this vendor for <u>NJCWTP</u> , please? The original approval email assigning <u>G061919-4</u> is attached.
* Indicates Required Field	
<input type="button" value="Submit Request"/>	

Grants Approval for Services (GAPS)

Reply Reply All Forward

Mon 12/2/2019 12:08 PM



grants@stockton.edu

Grants Approval for Services form submission

To Monroe, Allison

 Grants Approval FY20 - G#s assigned email3.pdf
405 KB

[Phish Alert](#)

Thank you for submitting your GAPS request. We will respond to you with a G-number within 48 hours.

Here are the details for the form submission -

Name of Vendor - Partnering For Prevention
Vendor Z-Number - 200249134

Requestor's Name - Allison Monroe
E-Mail - allison.monroe@stockton.edu

Principal Investigator E-Mail - dawn.konrady@stockton.edu
Carbon Copy (CC) E-Mail - narina.parrish@stockton.edu

Fund - 220380
Organization - 240005
Total Amount - 3500.00

Contract Extension - Yes
G-Number - G061919-4

File Attachment - Yes

Brief Description of Services -

Will you kindly increase G061919-4 by \$3500 to support continued trainings delivered by this vendor for NJCWTP, please? The original approval email assigning G061919-4 is attached.

Grants Approval for Services (GAPS)

Reply Reply All Forward

Mon 12/2/2019 1:40 PM



Joseph, Joan

RE: Grants Approval for Services form submission

To: Monroe, Allison; Post Award; Nesbitt, Tina L.

Phish Alert

Allison,

The G# would be G061919-49-A1.

Thank you,
Joan

Joan M. Sylvester-Joseph, CBM, MBA

Financial Analyst
Stockton University
[101 Vera King Farris Drive](#)
[Galloway, NJ 08205-9441](#)
P - 609-652-4327
Joan.Joseph@Stockton.edu



From: allison.monroe@stockton.edu <allison.monroe@stockton.edu>

Sent: Monday, December 02, 2019 12:08 PM

To: Post Award <postaward@stockton.edu>; Nesbitt, Tina L. <Tina.Nesbitt@stockton.edu>

Subject: Grants Approval for Services form submission

Here are the details for the form submission -

Name of Vendor - Partnering For Prevention
Vendor Z-Number - Z00249134

Requestor's Name - Allison Monroe
E-Mail - allison.monroe@stockton.edu

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Questions & General Discussion



Internal Awards

Internal Awards Application Process



- The Call for Applications is emailed to the University.
- Faculty apply for funds via the Online Application System prior to the Deadline.
ALL APPLICATIONS REQUIRE DEAN SIGNATURE ACKNOWLEDGEMENT AND APPROVAL.
- Committee reviews applications and sends recommendations to Provost for final approval.
 - Sabbaticals also require Board Approval and a signed Sabbatical Leave Acknowledgement of Terms before official award.
- Award letters are sent to the Awardee and copied to the Dean and Provost Office.
 - The Dean may access applications online once they are officially denied or awarded.

Internal Award Budget Transfers

- Budget transfers are made according to the timeline of the specific award. BUDS are sent the transaction information indicating the faculty name, project title, total award amount, budget detail breakdown, and J#. The Budget Processors, Dean, AD, K. Lutgen and K. Oquist are also copied.
- *Applications are not copied to the BUD. Budget details are provided based on the recommendations of the RPD Committee and do not always adhere to the application's stated budget request. Discrepancies occur for a variety of reasons:*
 - Award funded for less than requested amount.
 - Budget was completed incorrectly on application, and revised in the budget details to reflect the proper amounts/line items.
 - Some budget expenditures referenced in the application were to be expended outside the fund's fiscal year and therefore are not eligible.
- If when you receive your budget details, you have any questions – please feel free to contact Ronnie Carlini at extension 6028 for clarification.

RPD Main Round FY19: (award period 7.1.19 to 6.30.20)

Last Name	First Name	School	Project Title	Full Amount	70000	006000
Doe	John	NAMS	A Pilot Project for the Ages.	\$6,000.00	\$2886 Equip/ Supp	\$2000 - 613345; \$1450 - 613411

Stipend Payment vs Line Item

- Stipend Awards to Faculty are payment TIME spent working on their proposed and awarded project. Stipends to Faculty members are not to be used to pay contractors or other individuals who are contributing to the project.
- Contractors, TES, Student Workers are paid from the appropriate line item/position number via a Service Provider Contract Agreement or Payroll Web Time entry for TES/Student Workers. This maintains oversight, accountability for work performed and adherence to University policies and procedures.



Adjunct Faculty Opportunity Fund (AFOF)

- Funding for Adjuncts, $\frac{1}{2}$ time, and $\frac{3}{4}$ time faculty who are not employed as staff.
- Application deadlines in December and May w/ funds available to awardees for **Spring Semester and Fall Semester Only**
- Ronnie makes the fund transfer to your school's account in the beginning of each semester
- Review by R&PD Sub-Committee
- Maximum award per application \$1000 & often, the Dean will contribute

Provost Faculty Opportunities Fund (PFOF)

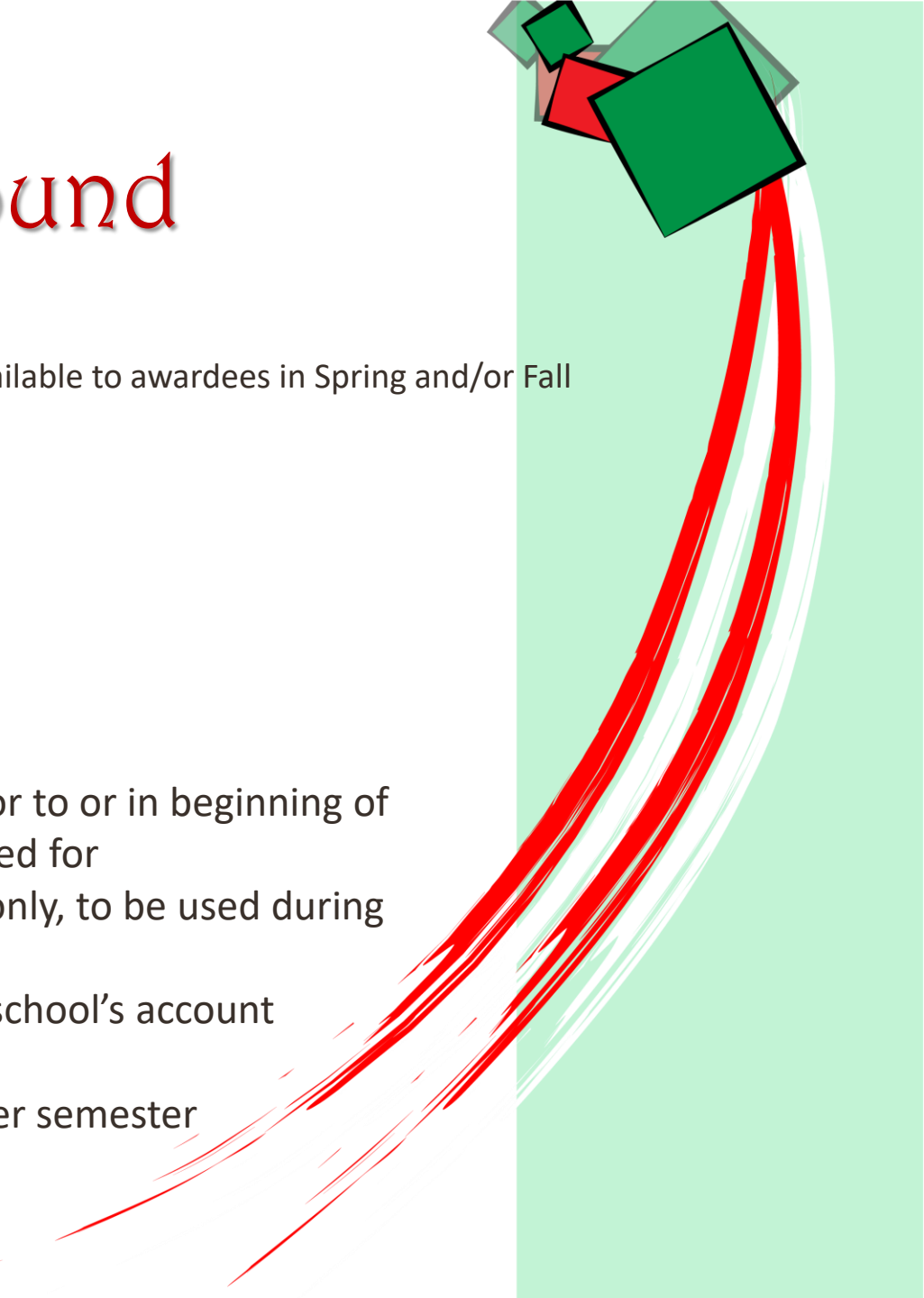
- Application deadlines in June and December w/ funds available bi-annually: from **January 1 – June 30** and from **July 1 - December 31**
- Ronnie makes the fund transfer to your school's account after January 1 and again after July 1
- Review by R&PD Sub-committee
- Maximum award per applicant \$2,000
- Often, the Dean will contribute



Sabbatical Round

- Applications due in October for 1-2 semesters available to awardees in Spring and/or Fall
- There are no funds to transfer
- Review by R&PD committee
- Maximum award per applicant - 2 semesters
- Dean approval required

Sabbatical Subventions –

- Submission to be made immediately prior to or in beginning of the semester that the sabbatical is granted for
 - Funds available to sabbatical recipients only, to be used during sabbatical semester(s)
 - Ronnie makes the fund transfer to your school's account
 - Review by ORSP
 - Maximum award per applicant \$2,000 per semester
 - Dean approval required
- 

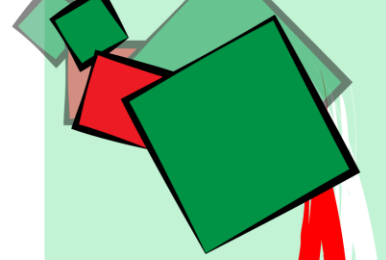
R&PD Main Round

- Deadline in February for funds available to awardees from **July 1 - June 30**
- Ronnie makes the fund transfer to your school's account after July 1st
- Review by R&PD committee
- Average award per applicant \$6,000
- Often, the Dean will contribute



Scholarship of Engagement

- Deadline in March for funds available to awardees from **July 1 - June 30**
- Ronnie makes the fund transfer to your school's account after July 1st
- Review by R&PD committee
- Average award per applicant \$6,000
- Often, the Dean will contribute

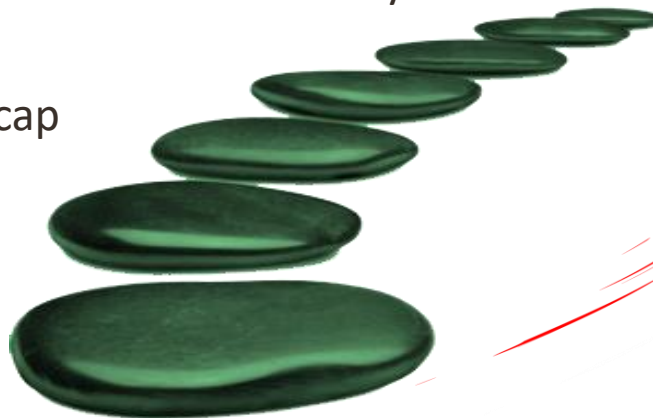


Course Release

- Deadlines in September and January for course release available spring and fall semesters.
- Review by R&PD Sub-committee
- Maximum award per applicant – 1 course release
- Dean approval required

Career Development Committee

- Deadline early May with funds available to awardees from **July 1 - June 30**
- Ronnie makes the fund transfer to your school's account after July 1st
- Review by CDC committee
- Average award per applicant \$1,500, \$3,000 cap
- Often, the Dean will contribute



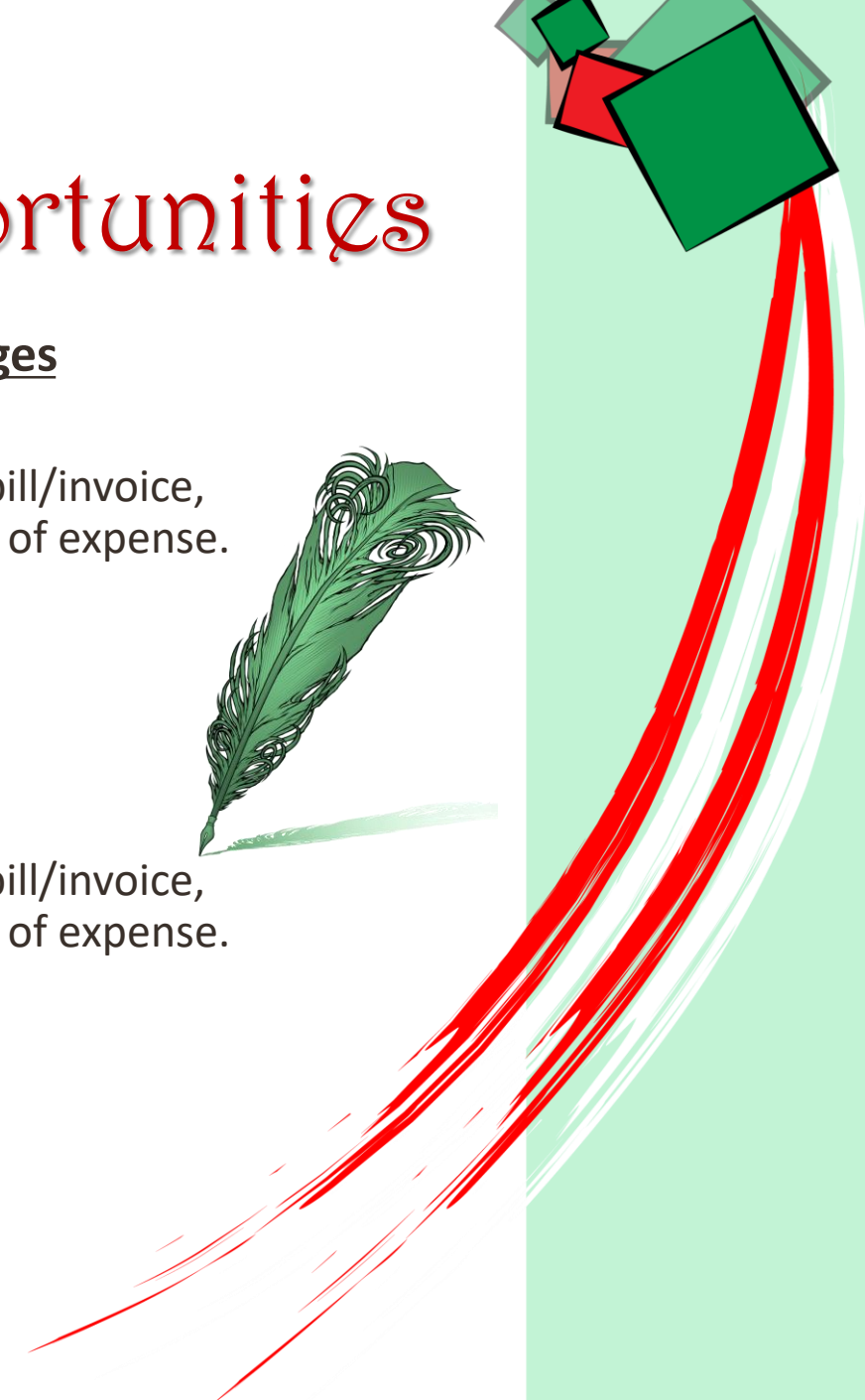
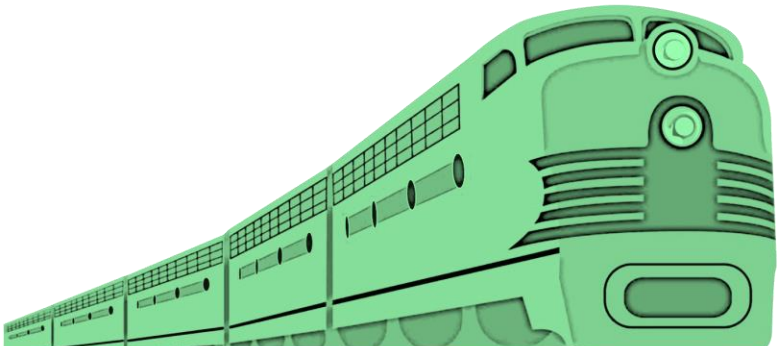
ORSP Funding Opportunities

- **Request for Publication, Poster, Exhibit or Performance Charges**

- Funds limited to one request per fiscal year
- Once School's BUD receives receipt/proof of payment or office bill/invoice, BUD should contact Tina Nesbitt with the FOPAL for the transfer of expense.
- Review by ORSP w/max award per applicant of \$300
- Often, the Dean will contribute

- **Travel Funding**

- Open Deadline w/ funds available for Principal Investigator only
- Once School's BUD receives receipt/proof of payment or office bill/invoice, BUD should contact Tina Nesbitt with the FOPAL for the transfer of expense.
- Review by ORSP w/max award per applicant of \$300
- Dean's approval required



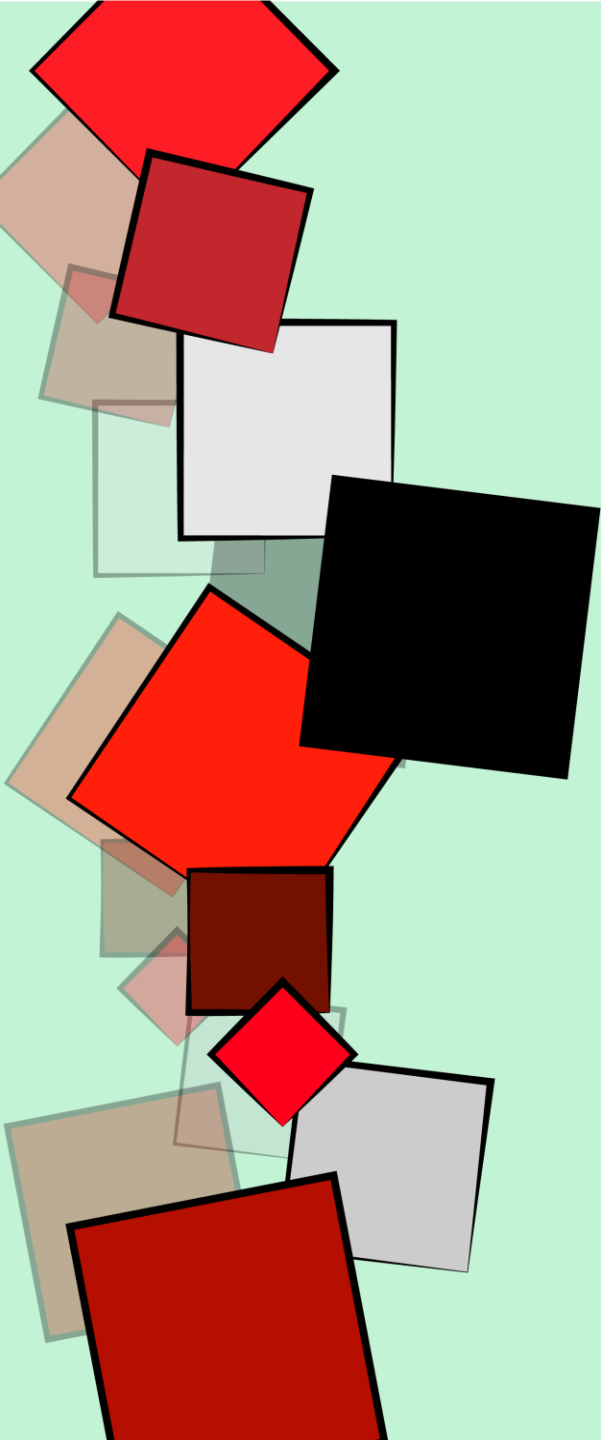
General Information

- General information on the awards and the committee can be found on the ORSP [website](#).
- Information on processing awards
 - The spreadsheet sent by Ronnie includes a detailed budget of each award
 - Deviations from the approved award, need to be approved by ORSP
 - Applications are submitted electronically through the [ORSP Internal Award Online System](#)
- For Questions, contact:
 - Applications, award letters, post award, and budget matters including transfers – Ronnie Carlini (ext. 6028)
 - Deviations from the approved award or issues – Ronnie Carlini or Todd Regn (x4844)

The background is a solid light green color. On the left side, there is a vertical cluster of overlapping squares and rectangles in various colors: red, dark red, brown, black, white, and grey. On the right side, there is a large, curved red brushstroke that starts from a green square at the top right and sweeps downwards and to the left. The word "Questions" is centered in the middle of the page in a red, serif font.

Questions

Lunch





Postaward - Joan

Cost Transfers

- Required to move Salary & Non-Salary charges to/from Sponsored Projects due to:
 - Errors in Posting
 - Allocation of costs benefiting more than one project fund
 - Unauthorized charges or over expended budget

** Cost Transfers cannot be processed for a closed Fiscal Year*

Cost Transfers



- Forms must be:
 - Properly Documented (Copies of Invoices have to be attached)
 - Sent to ORSP (Joan) for review & approval before going to Fiscal Affairs
 - Processed within 90 days of original charge posting to Banner
 - Approved by the PI and the Budget Unit Manager that will be paying the cost when transferred

** Please do not send to "jetransfers@Stockton.edu"*



Labor Distributions & Redistributions

Labor Distribution –
before an employee's salary is charged to a fund

Labor Redistribution –
after an employee's salary has been charged to a fund and
needs to be corrected

** The same form is used for both salary charge changes*

Labor Distributions & Redistributions

LD's & Redistributions required to charge salary to/from sponsored programs:

- Due to Course Releases
- To charge salary of an employee that worked on a sponsored project that is not designated as a regular payroll cycle
- To correct any salary charge that does not belong to a specific sponsored program

Labor Distributions & Redistributions

- Salary discrepancies must be identified by the BUD or PI as soon as possible
- Report any concerns to ORSP (Joan) for the forms to be started
- Corrections can only be made between payroll cycles
- Inaccurate payroll postings affect the reports & billings that are issued to the sponsors

Forms must be:

- Approved by the Dean or the Supervisor of the employee
- Completed per employee per pay period
- Returned to ORSP for review & approval as soon as possible
- Email approvals are acceptable & may expedite the processing
- *Redistributions cannot be processed for a closed Fiscal Year*

Supplemental Payroll Sheets

Required to pay academic year grant supported work, summer stipends to PIs or approved after hours supplemental payment for staff

Spreadsheets must be:

- Prepared by the BUD
- Represent the pay period that it will be processed in
- List the dates or pay period actually worked
- Have the correct FOAPAL & Position Number for the current sponsored program fund
- Submitted to ORSP (further notes & approvals will be requested by Joan)
- Once most approvals are acquired, the ORSP will submit the spreadsheet to the Provost's Office
- The Provost's Office obtains the President's Office approval & submits the spreadsheet to Payroll for processing
- The additional approvals take time – consider in preparation time
- Deans & Supervisors – provide estimated preapproval lists for employees receiving more than \$5,000

PACT Forms & Position Numbers



- Fulltime Grant employees do need a PACT form:
 1. Started in the School
 2. Processed through Human Resources
 3. Budget Office –provides position number via Pact form
- NO PACT forms are needed: grant funded TES, Undergraduate and Graduate Student Workers, Faculty Academic Year & Summer Stipends or Staff Supplemental
- Position numbers for Grant funded Part time positions will be requested by the ORSP (Joan) when the fund & budget are set up in Banner
- Until budget is set up in the account line, a position number cannot be requested
- The Budget Office will not be able to provide a position number until the request is made by the ORSP



Questions

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Postaward ~ Christy

Award Set Up

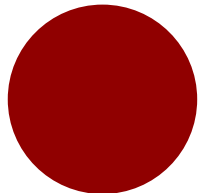
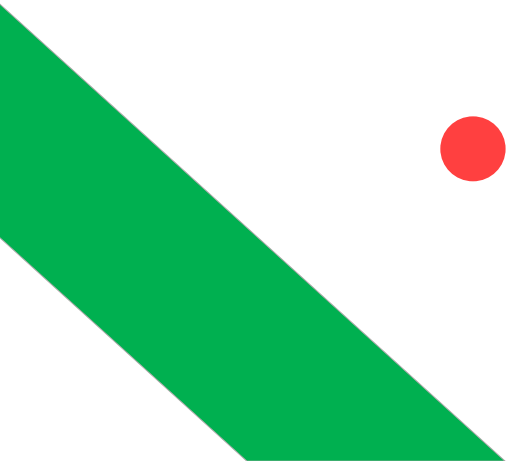
Award Set Up Procedures

1. Request must come from ORSP
2. Fully Executed Documents
3. Cost Share Documents (MUST be signed)
4. Categories for Contracts vs. Banner

Award Set Up

To set up an account A & F completes the following steps:

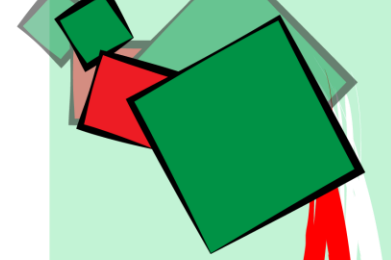
- Review the request to set up the account to make sure all elements required for setup have been completed.
- Review the budget to make sure it matches the award, as well as to make sure that all budget information is accurate and complete.
- Determine the type of fund, the school, and the organization to establish the correct account number.
- Review all funding agency, institutional, and contractual policies and guidelines in order to administer the account appropriately.
- Scan the account file into the shared drive for A&F and ORSP to establish an official electronic record of the account
- Send an email to Banner Finance Custodian to establish appropriate access to the account.
- Send an email to the PI or organizational manager and other appropriate personnel, informing them that the account has been set up.



Financial Monitoring

Grant-Related Budget and Expenditure Monitoring Procedure:

- Grant-related expenditure requests are initiated by BUD working directly on sponsored projects.
- Disbursement Services is considered a secondary reviewer who monitors all expenses per college policy prior to payment.
-
- On at least a quarterly basis, the BUD should review the general ledger and grant-related budget vs. expenses for each sponsored project for errors and/or omissions.
- Information should also be provided to the PI for review.
- Any errors should be corrected at this time.





Financial Reporting

- Financial Reporting frequency is dictated by the sponsors and CANNOT be adjusted without written approval
- Only expenses POSTED in BANNER can be reflected on a financial report
- Financial reports are provided to auditors for review
- If a grant also has a cost sharing portion, financial reports must be provided on the same schedule as the dictated financial reports from the funder

Financial Reporting

Administration & Finance is trying to maintain a consistent invoice format



Remittance Address:
Stockton University
101 Vera King Farris Drive
Galloway, NJ 08205

INVOICE

DATE: October 31, 2019

Invoice #1-DRAFT

"Project Name"

Grant Period: 07/01/19-06/30/20
Reporting Period: 10/01/19-10/31/19

Funder Project Director:
SU Project Directors:

Bill To:
Funder
Contact's Name
Address
Address
[Email](#)

DESCRIPTION	Approved Budget	Previously Reported	Current Expense	Cumulative Expense
(1) Personnel Costs -	1,000.00	-	250.00	250.00
(1) Personnel Costs -	1,000.00	-	150.00	150.00
(1) Personnel Costs -	1,000.00	-	-	-
(2) Personnel Costs -	1,000.00	-	100.00	100.00
(3) Fringe Benefits	1,136.00	-	204.25	204.25
(4) Travel	1,000.00	-	25.00	25.00
(5) Equipment	1,000.00	-	500.00	500.00
(6) Indirect Cost @ 29% Salaries	1,966.00	-	245.75	245.75
For Office Use: Fund/Org/Account/Program	9,102.00	-	1,475.00	1,475.00

PAYMENT REQUESTED THIS INVOICE \$ 1,475.00

Make all checks payable to Stockton University
If you have any questions concerning this invoice, please contact [Christy Santiago \(609\) 626-3610](#)

I certify this report is true and correct and all figures reported herein have been made in accordance with the terms and conditions of this grant and are properly reflected in the grantee's accounting records

Eleonora R. Carr-Controller

Date

THANK YOU !

Close Out

The closeout step is where the grant process ends

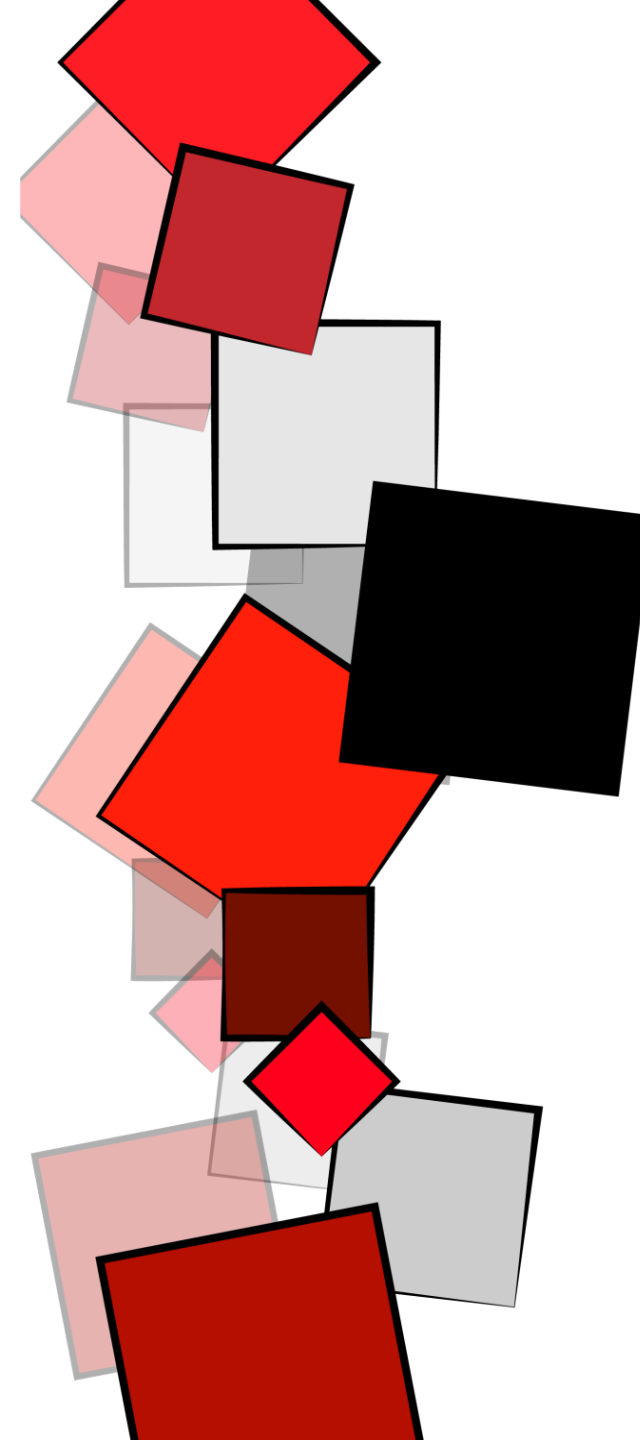
- Preparation for close out should begin three months prior to the end date of a grant
- This is also the point when PI's should communicate with ORSP about requesting a no-cost extension if needed
- Administration & Finance will begin phasing in a grant close out procedure to ensure all expenses are recorded and reported accurately and timely

Close Out

Task	Grant Accountant	BUD & PI
Project End Date Monitoring	Contact PI that project is ending in 60 days and inquire about No Cost Extension.	Make request to ORSP if no cost extension is needed
Email Notification regarding closure of fund	Sends email 2 weeks prior to initiating any fund closure	Responds to email; if no response is received, A & F will proceed with closure
Cost Transfer	Reviews and processes transfers or returns to BUD and ORSP for additional information	Submit expenditure transfers within 90 days of charge
Program, Technical, and Financial Reports	Monthly Report Notification sent out for Program and Technical Reports. Responsible for submitting ALL financial information to funders.	Provide information on financial transactions as requested. Includes matching expenses Provide reports as required by contract
Inactivating grants	Responsible for removing budgets and closing grants in BANNER	Provide information on financial transactions as requested. Includes matching expenses

Communication

Communication is a vital element in successful grant management. There is a need for expanded communication and information sharing involving various personnel throughout the grant process.





Questions

Thank you!

