

**The Research Foundation for SUNY**  
Policy and Procedure

Subject: **Award Establishment**

Effective Date: November, 2014; Revised December, 2022

Issued By: The Office of Research Administration (ORA)

Responsible parties:

- DRA'S- Department Research Administrator
- Department Administrators
- SPA's- Sponsored Program Administrator
- GM's- Grant managers
- PI- Principal Investigator
- RFCO- Research Foundation Central Office

Background:

Sponsored funding, upon receipt, requires an award be set up in our financial system of record. Funding must be accompanied by a Notice of Award (NOA); an inbound Subcontract; an award letter; a contract or a letter (typically in the instances of a gift). Each award is a separate source of funding and awards will be setup separately so that funds are not comingled with other funds.

General Responsibilities:

All responsible parties will ensure that an awards' terms and conditions can be met prior to award establishment.

Steps required to establish an award:

1. Upon receipt of the notice of award, the SPA will review to ensure it matches the application submitted and will email the PI and Department Research Administrator to request the following:
  - PI approval/Concurrence with the sponsor's terms and conditions
  - Completion of outstanding COI requirements, as applicable
  - Compliance approvals (IRB, IACUC, IBC or radiation)
  - Confirmation/ updated application budget

- This allows for verification of state effort for IFRs and RF Employee Labor Distribution
  - If a budget has been cut, the updated budget will be used to assist in the management of the award
2. Upon receipt of the email, the DRA or Department Administrator will coordinate with the PI to ensure:
    - The award budget is correct and/or needs to be adjusted
    - Effort proposed by research team doesn't require adjustments (i.e., over committed) on other awards
    - If the budget is cut and changes need to be made, they must be made at this time (i.e. perhaps cost-share for state personnel).
  3. Once the DRA or Department Administrator confirms effort and makes any other changes to the award budget, they submit concurrence to the SPA and provide approval to set up and establish a new award or extension of an existing award.
  4. The SPA will request award establishment or an extension from RFCO.
  5. RFCO will either create or update an award (1-2 weeks) and notify the post award team by emailing an award abstract.
  6. The GM will review the award to confirm that all direct and indirect costs are calculated properly.
  7. Upon confirmation of costs, the GM will notify the PI that the award is established, issue the award abstract and provide the award number. The GM will also process any applicable IFRs and submit this paperwork to HR to process.

**Related Processes:**

Effort and Labor Distribution