


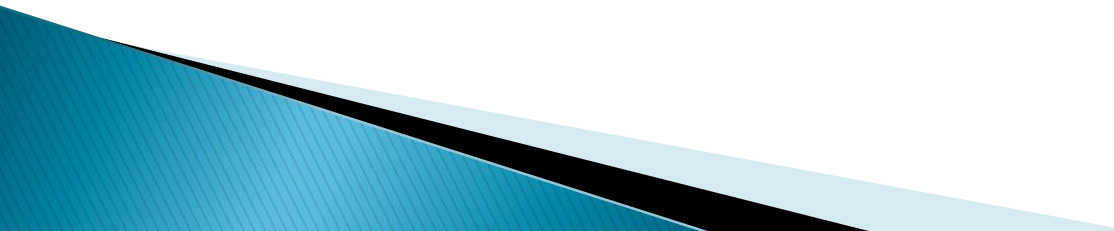
# Fundamentals of Research Administration

Office of Research Administration  
Sharon Levine-Sealy, Pre-Award Director  
Elliot Feder, Post-Award Director

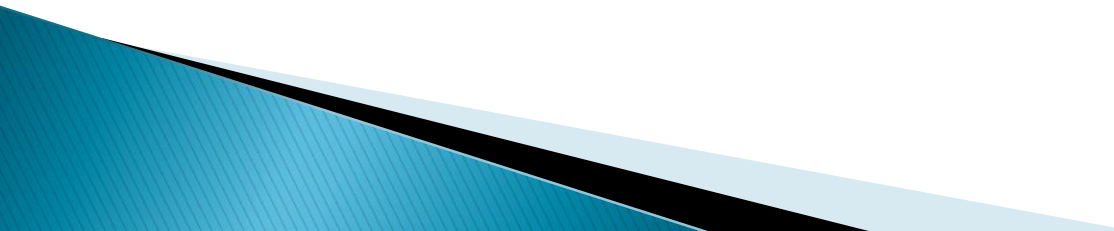
# Agenda

- ▶ The Abstract – How to Interpret it
  - ▶ The Award – What is “At Risk?”
  - ▶ Are there Subcontracts?
  - ▶ The Award – How to Spend the Funds?
  - ▶ The Fly America Act / Open Skies Agreements
  - ▶ Subrecipient Monitoring; Post–Award
  - ▶ Budget Modifications and Prior Approval
- 

# The Abstract

- ▶ A Summary of the Award
    - Award number
    - Sponsor information
    - Project Start and End Dates
    - Total Costs (direct and indirect)
    - F&A rate
    - Credit Distribution
- 

# The “At Risk” Award

- ▶ Is set up prior to the Notice of Award based on notification of a pending NOA
  - ▶ Requires a “back stop” account – must be “non-sponsored”
  - ▶ Status will be changed to “Active” upon receipt of a NOA
- 

Sponsor Name -

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Research Project Title -

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Amount – D.C. \_\_\_\_\_

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Has proposed research received IRB approval? \_\_\_\_\_ YES \_\_\_\_\_ N/A

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If YES, please attach IRB approval.

Has proposed research received IACUC approval? \_\_\_\_\_ YES \_\_\_\_\_ N/A

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If YES, please attach IACUC approval

Has proposed research received IBC approval? \_\_\_\_\_ YES \_\_\_\_\_ N/A

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If YES, please attach IBC approval

Conflict of Interest:

*Annual Disclosure Complete?	_____ YES	_____ NO
*Transactional Form Complete?	_____ YES	_____ NO
*COI Training Complete?	_____ YES	_____ NO

Backstop Account: \_\_\_\_\_

P.I. Name -

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P.I. Signature- I certify that the above information is accurate.

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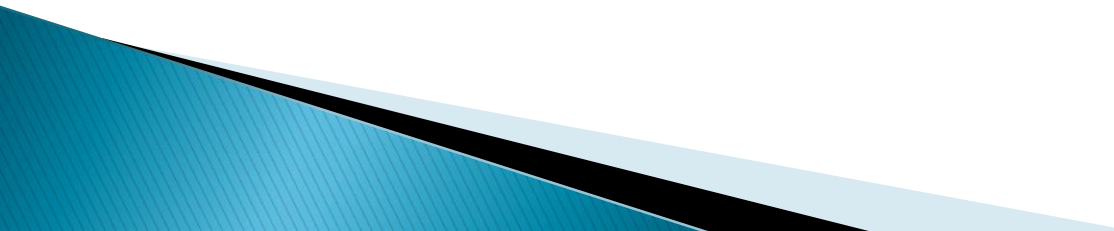
Backstop Account Signature-When Required (If P.I. on Backstop Account is not P.I. on At-Risk Account)

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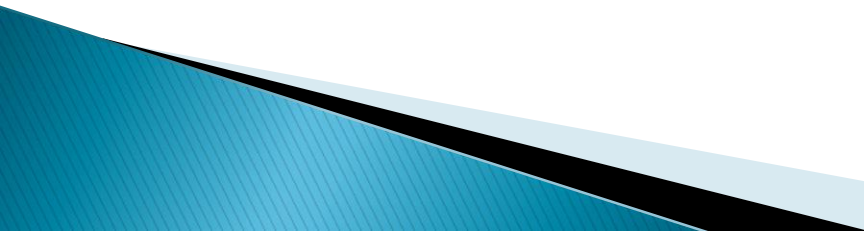
Approval –Office of Research Administration

\*Answers must be “YES” prior to establishment of “at-risk” account

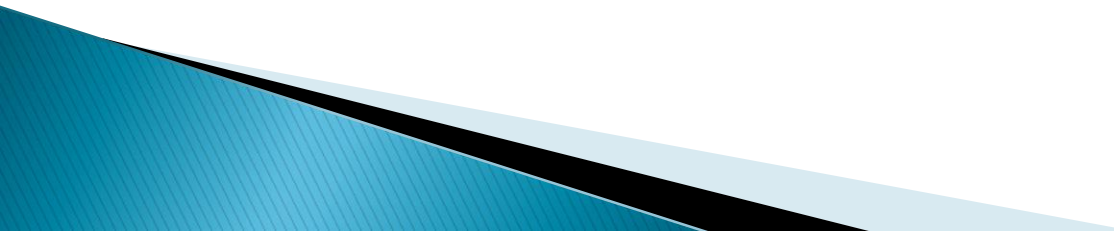
# The Award Notice

- ▶ Terms and Conditions
  - ▶ Regulations
  - ▶ Reporting Requirements
  - ▶ Other Requirements
- 

# Are there Subcontracts?


- ▶ Project Associate has reviewed all required documents
  - ▶ New site? Contact your Project Associate
  - ▶ Upon approval from the campus, a Subcontract will be issued to the site
  - ▶ Will include flow-down language from our Notice of Award
  - ▶ Additional terms and conditions will be added based on results of the Risk Assessment
- 

# Subcontracts Risk Assessment

- ▶ See Attached Handout
  - ▶ 2 CFR 200.331 (b) Pass-through entities must evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for the purpose of determining the appropriate monitoring actions.
- 



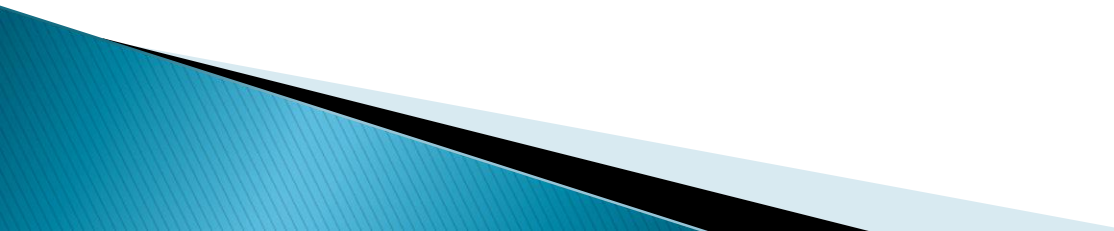
# The Award – Guidelines for Spending

- ▶ Any significant budget reductions should have already been discussed – with your Project Associate in the Pre-Award division
    - If not, now is the time to have that conversation (prior to spending any dollars)
  - ▶ The expenses must be allowable, allocable and reasonable
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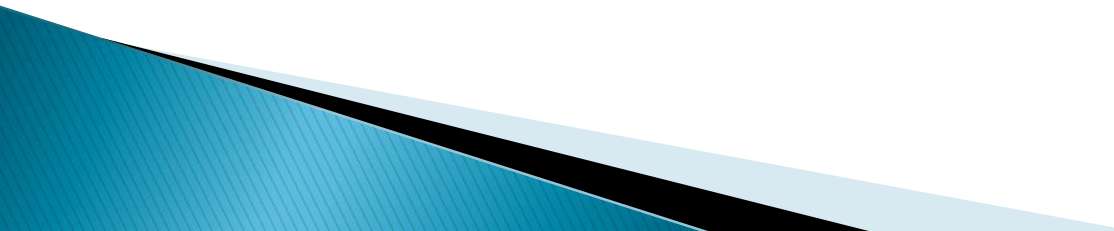
# The Award – Personnel Costs

- ▶ An IFR must be prepared for all State personnel committing effort to the project
  - Effort committed, regardless of salary requested
  - Is Cost Share documentation on file?
  - Are there any changes to the cost share paperwork?
- ▶ RF personnel
  - Has all the paperwork been submitted? Are approvals and signatures in place?
  - Have the positions been posted and personnel hired?
  - Cost-Share is not applicable

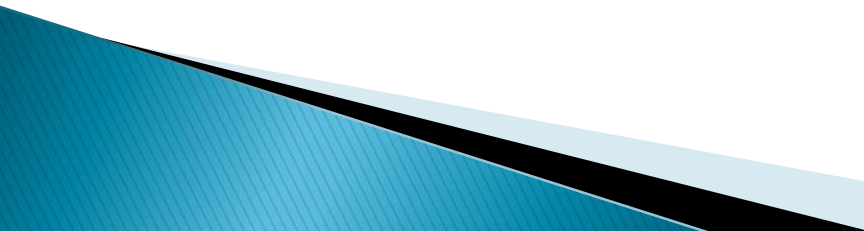
# The Award – Equipment

- ▶ Should match the application budget
    - If not, Prior Approval is required – contact Project Associate in Pre-Award
  - ▶ Must meet the threshold of \$5,000 per item
  - ▶ Is there an insurance requirement?
  - ▶ Are there maintenance costs?
  - ▶ Must be tagged by Downstate upon arrival
  - ▶ Capital Expenditure rules and regulations
  - ▶ What happens if equipment is stolen?
- 

# The Award – Supplies

- ▶ All items must be project specific
  - ▶ Are there enough funds? Internal rebudget
- 

# The Award – Consultant Costs

- ▶ Should have been budgeted for at the time of submission
  - ▶ Individual may be Senior/Key Personnel
  - ▶ Individual may not be an employee
  - ▶ Consultant Agreement is issued by Purchasing
- 

# The Award – Human Subject costs

## ▶ Subject Remuneration

- 1. Department submits Purchase Requisition to the Grant Manager indicating the amount of funds needed to pay human subjects
- 2. Grant Manager reviews the request to verify if it is appropriate based on clinical trial budget
- 3. Grant Manager reviews request and budget to determine if subjects are projected to earn a minimum of \$600
- 4. If subjects are to receive LESS than \$600 a check will be issued to an individual designated within the department. The check may be cashed and distributed to subjects.
- 5. If subjects are to receive \$600 or MORE , RF is required to collect the recipient's full legal name, SSN/ITIN, permanent address, and mailing address (if different). The recipient must be paid by A/P check.
- 6. Department must keep receipts and accurate records of cash distributions. Additional Purchase Requisitions cannot be processed until a full reconciliation is performed for any prior payments.

# The Award – Human Subject costs

- ▶ Pay subject with cash, have them sign receipt
- ▶ Gift Cards – budget addt'l to cover gift card fee
  - Purchase with P-Card from Purchasing with a Purchase Requisition
- ▶ Subject Travel
  - Did you budget for subject travel? Metro cards or cab?

# The Award – Vertebrate Animals

- ▶ Animal Purchases
- ▶ Animal Per Diem
- ▶ Authorization Form for Animal Purchases



# Payment Authorization Form

- ▶ It is my understanding that I will receive, on a monthly basis, the DCM invoice with charges for animal purchases, per diem charges and any services performed by DCM (original bill) to be made by me for the billing period. In accordance with the policy on *“Eligibility to Use the SUNY Downstate Division of Comparative Medicine (DCM) Animal Facility”* I hereby authorize the Office of Research Administration to encumber the awarded animal budget and pay monthly charges for animals (original bill) to the Division of Comparative Medicine (DCM) from my protocol linked account and research grant noted below as the animals are housed by my authority at this facility.

# Payment Authorization Form

- ▶ As the policy states, I understand that:
- ▶ 1. If I disagree with the original bill in any given month, it is my responsibility to contact the DCM office within two weeks to dispute that month's charges (reconciled bill). Lack of communication confers consent to pay the encumbered charges.
- ▶ 2. My Research Foundation (RF) account (or other) will have the annual animal budget encumbered in accordance with the above indicated policy and my monthly animal charges assessed against that encumbered budget.

# Travel Costs

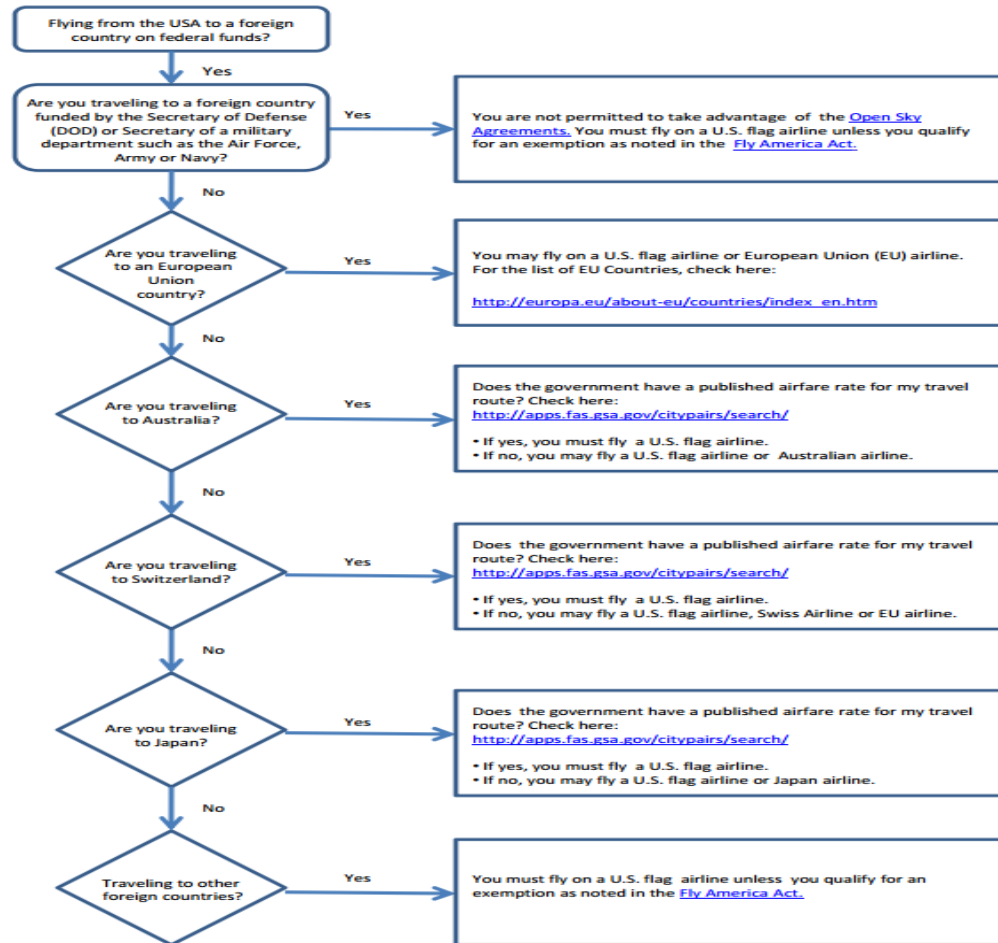
- ▶ The Research Foundation Travel Handbook
- ▶ [http://www.rfsuny.org/media/RFSUNY/Policies/travel\\_handbook.pdf](http://www.rfsuny.org/media/RFSUNY/Policies/travel_handbook.pdf)

# The Award – Travel Costs

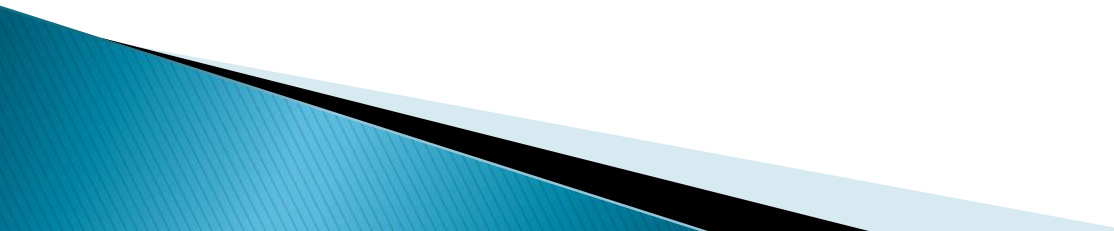
- ▶ Travel to Scientific Meetings
  - Fly America Act – federal travelers are required to use U.S. air carrier service for all air travel and cargo transportation services funded by the U.S. government
  - Open Skies Agreements – An exception to the Fly America Act under a bilateral or multilateral air transport agreement, to which the U.S. government and the government of a foreign country are parties. Currently there are 4 agreements:
    - European Union
    - Australia
    - Switzerland
    - Japan
- ▶ Review Fly America / Open Skies Decision Tree

# Fly America Act / Open Skies Decision Tree

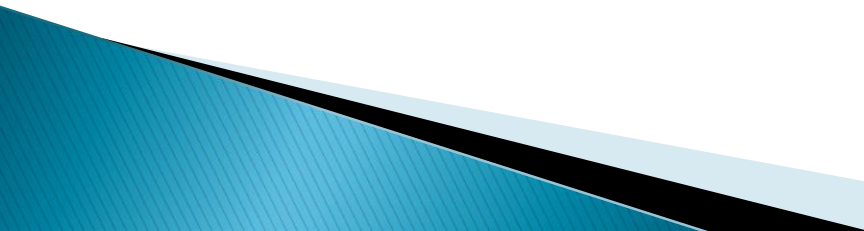
## Fly America Act and Open Skies Agreements



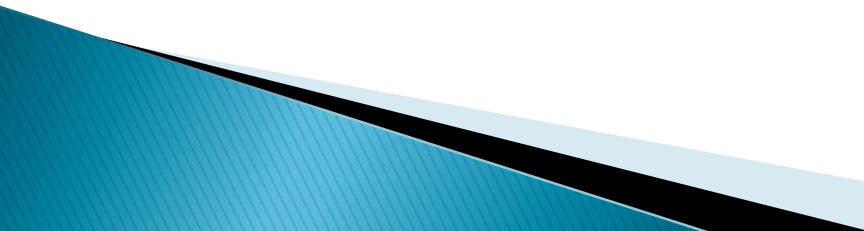
# Other Costs

- ▶ Publications
  - ▶ Postage (unallowable)
  - ▶ Postage (allowable)
  - ▶ Express Mail
  - ▶ External rent
  - ▶ Participant Support
  - ▶ Phone (only long distance)
- 

# Subcontract Costs

- ▶ Site will invoice us based on the terms identified in the Contract
  - ▶ Invoice will be reviewed by Grants Manager
  - ▶ Invoices are signed by Department and process for payment
  - ▶ Problem with the site? Programmatic or problem with Subcontract – contact your Project Associate
  - ▶ Final Invoice should be marked “Final”
- 

# Revisions to the Budget

- ▶ Are there any necessary changes to the budget?
  - ▶ A budget modification for City and/or State awards are processed by the Grants Manager
  - ▶ Any request for Prior Approval for Federal or Foundation awards are processed by the Project Associate
- 



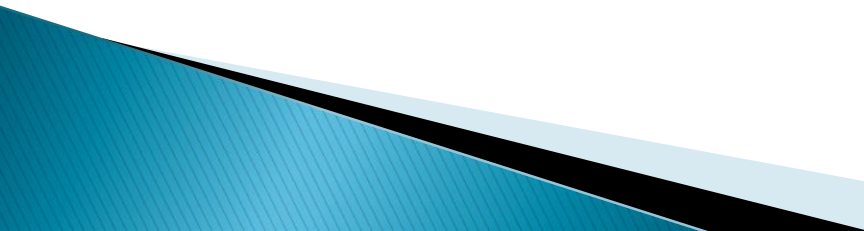
# Revisions to the Budget

- ▶ Personnel Change – may require Prior Approval
- ▶ New Subcontract – may require Prior Approval
- ▶ Above 24% of the total costs
  - Requires prior approval on ALL awards
  - Indicative of a change in Scope of Work
- ▶ Under 24% of the total costs
  - Does not require prior approval unless it's to purchase equipment OR not covered under expanded authorities

# Requesting Prior Approval


- ▶ Contact your Sponsored Project Associate – Pre-Award office
- ▶ Project Associate will contact the Grants Management Specialist
  - Provide a revised Budget (when applicable)
  - Provide a revised Justification (when applicable)
  - Provide a Biosketch or Other Support pages
  - Provide Subcontract documents as necessary

# City & State Budget Modifications

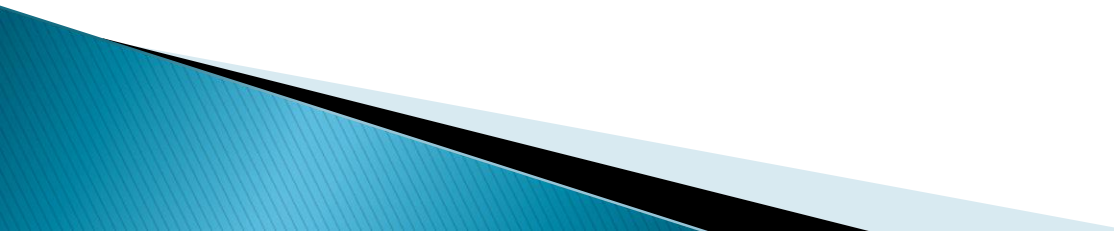
- ▶ Prepare the documents as requested by the Sponsor
  - ▶ Grant Managers to review and submit to the agency
  - ▶ Includes City and State COLA documents
- 

# Overhead

## ▶ Rate Agreement

- Facility & Administrative Costs (F & A)
  - F & A formerly Indirect Costs (IDC)
  - Fringe Benefit Rate
  - Modified Total Direct Costs (MTDC)
  - Total Direct Costs (TDC)
- 

# The Award – Clinical Trials

- ▶ Hospital Billing Ancillary Tests
  - ▶ Clinical Trial Coordinator
  - ▶ IRB Fee
  - ▶ Pharmacy Fee
  - ▶ IRB Preparation
- 

# Fundamentals of Research Administration

Next Workshop Oct 5, 2016, 2:00 PM – 4:00 PM

Lecture Hall 1A

