SUNY RF
The Research Foundation for
The State University of New York
Downstate Medical Center

Fundamentals of Research Administration

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

Agenda

- Determine the 4 W's
- The Application – A glimpse into the SF424
- Overview of the other types of applications
- The Review – what does your Sponsored Project Associate (sPA) look for?
- Adhering to Federal and University regulations (as part of proposal preparation)

Gather the Facts

Who, What, When, and Where – Plus 1

- **Who** – is going to be the Principal Investigator?
- **What** – announcement are you responding to?
- **When** is this proposal due?
  - to the sponsor
  - to ORA
- **Where** – is this proposed research going to be conducted?

PLUS 1 – Notify your sPA

Who?

- Who is the PI?
- Will there be Multiple PI's?
- Is this a collaborative project?
- Are multiple institutions involved?
- Consultants?
- Postdocs, Graduate Students?
- Nurses, Lab Techs?
- Who are the Key Personnel?

Definition of Key Personnel

The PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. Senior/key personnel must devote measurable effort to the project whether or not salaries or compensation are requested. "Zero percent" effort or "as needed" are not acceptable levels of involvement for those designated as Senior/Key Personnel.

http://grants.nih.gov/grants/glossary.htm#Senior/KeyPersonnel

What?

- What is the scope of work ?
- What resources will the PI need in order to meet the scope of work?
- What are the sponsor requirements, both in terms of general federal guidelines and expectations outlined in the funding announcement?
  - For example, does the sponsor require cost sharing or matching of funds?
- What must the PI commit to?

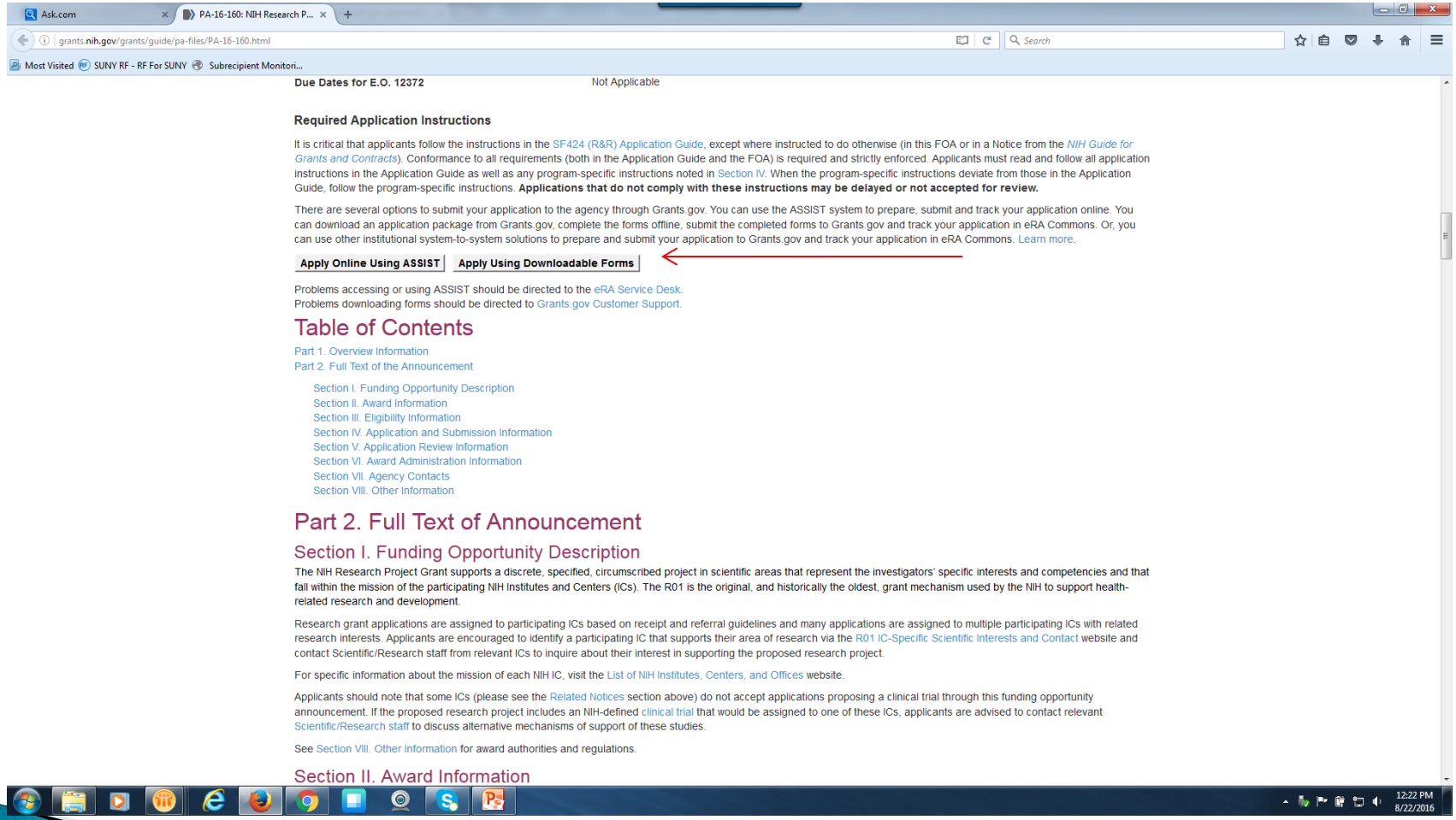
When?

- When is the proposal due?
- When were the latest forms and sponsor policies published?
- When will the research be completed?
- When will funding be determined?

Where?

- Where will the work be performed?
- Consortium sites?
- Foreign institutions?
- Travel for conferences, meetings?
  - Foreign or Domestic
  - Export Control
  - Fly American Act http://www.gsa.gov/portal/content/103191

Back at the FOA…let's start !



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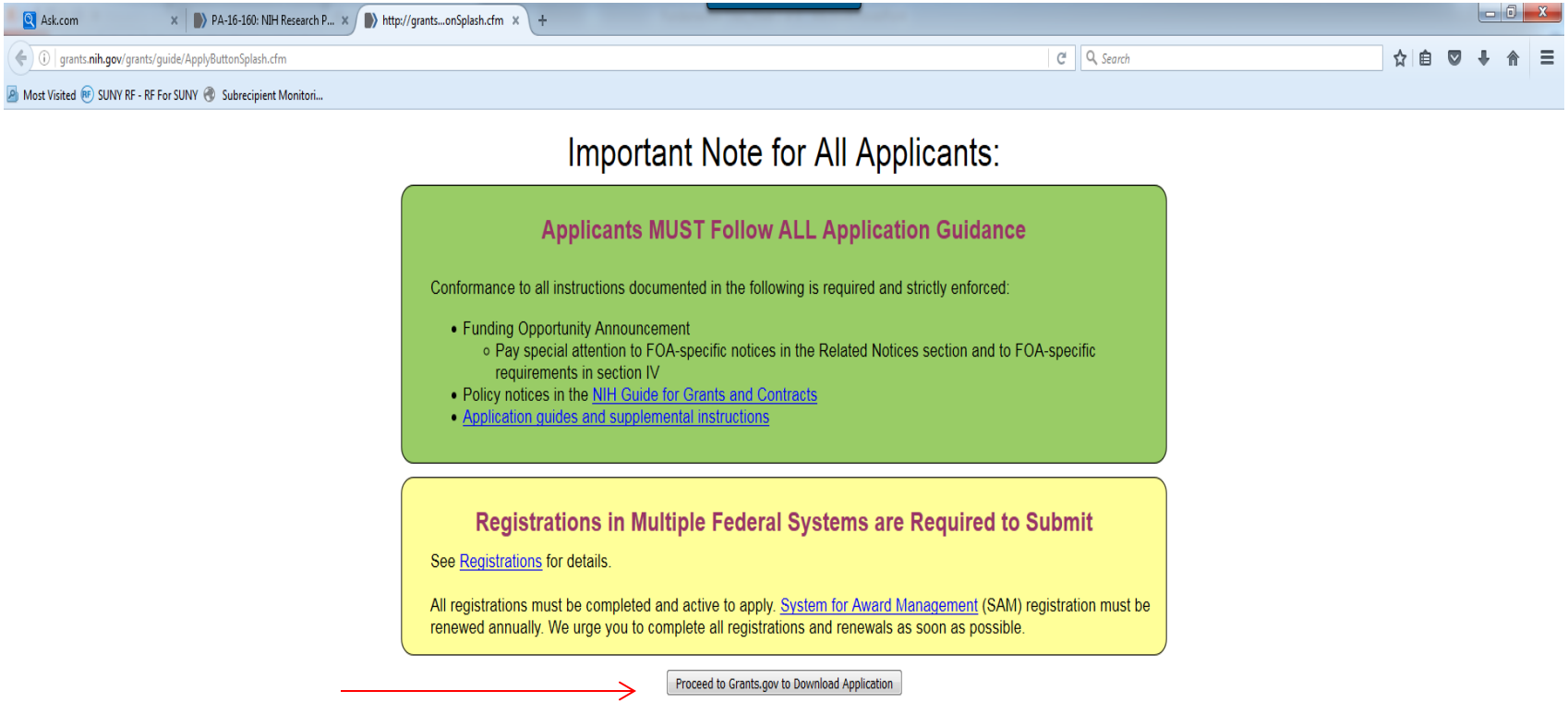

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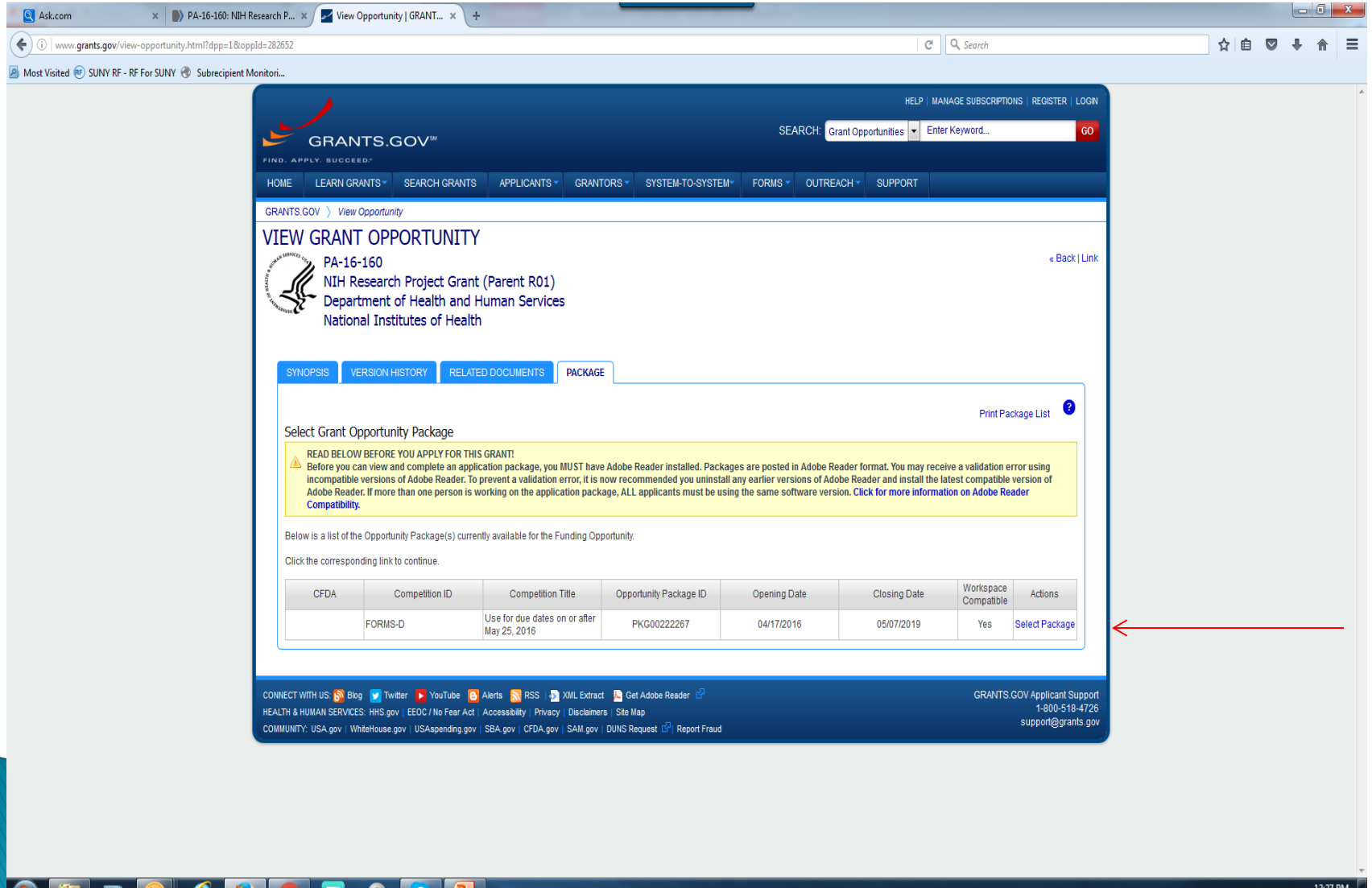
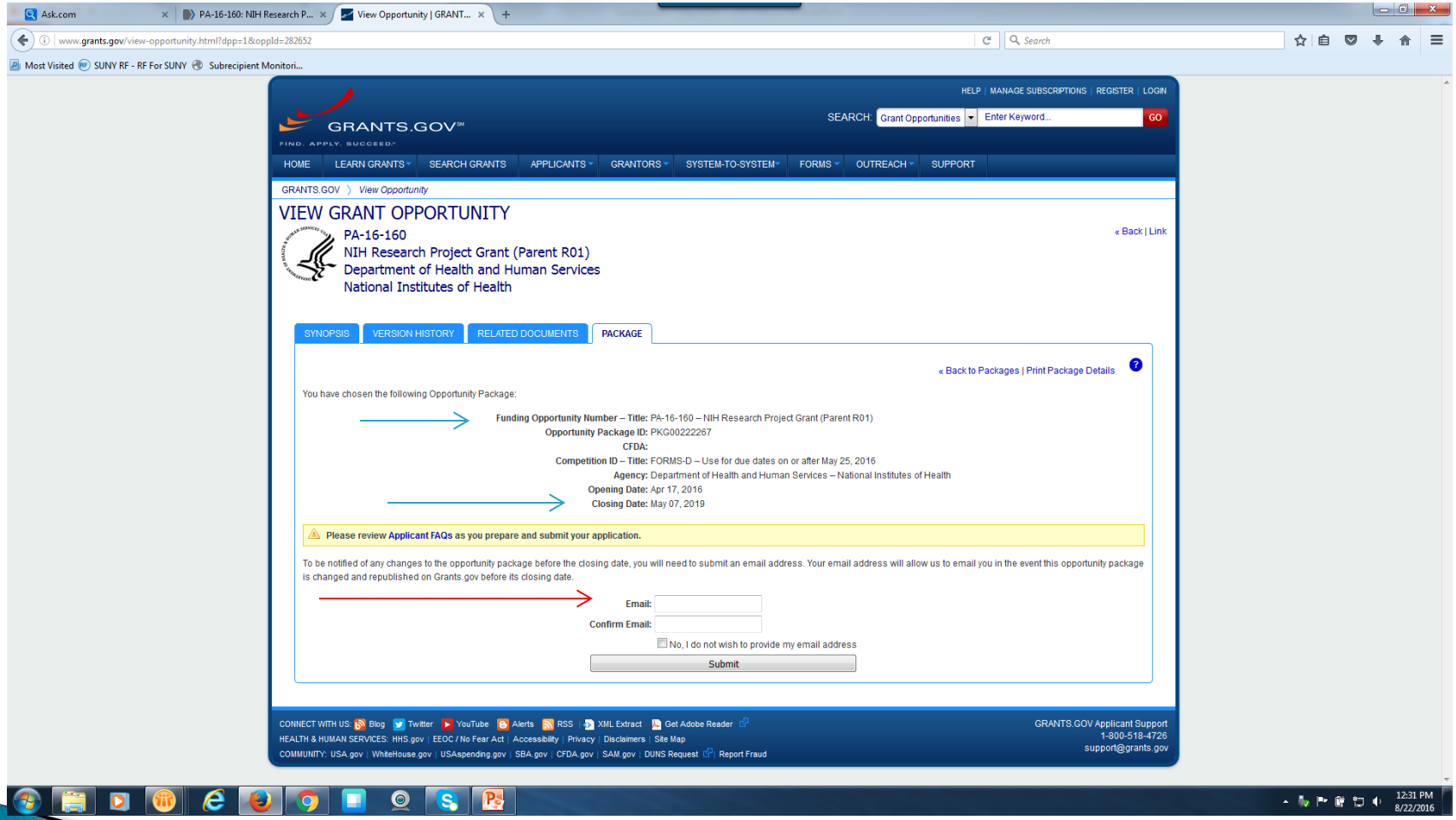
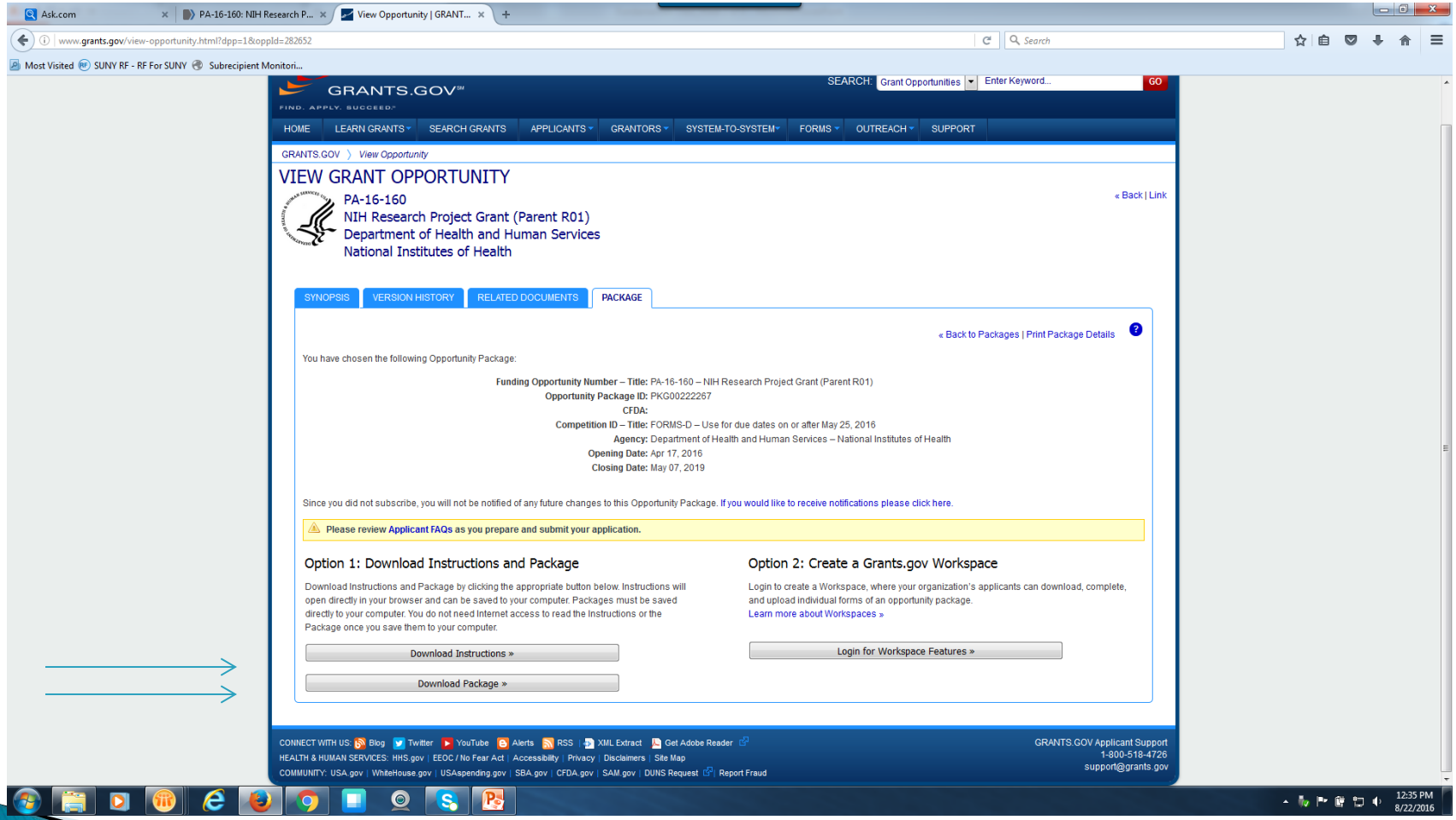


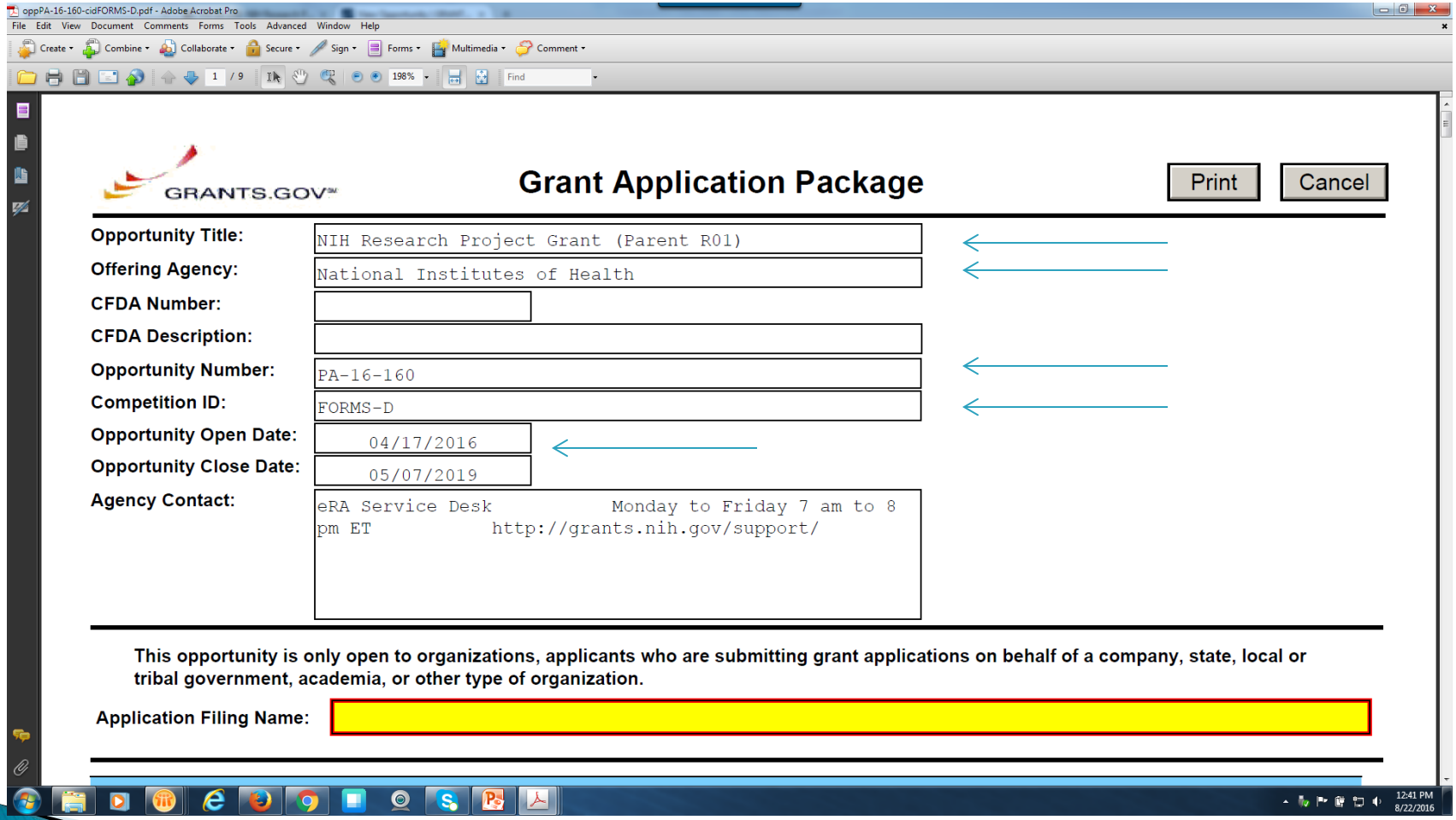
Almost there…



Download the Application



The Application…



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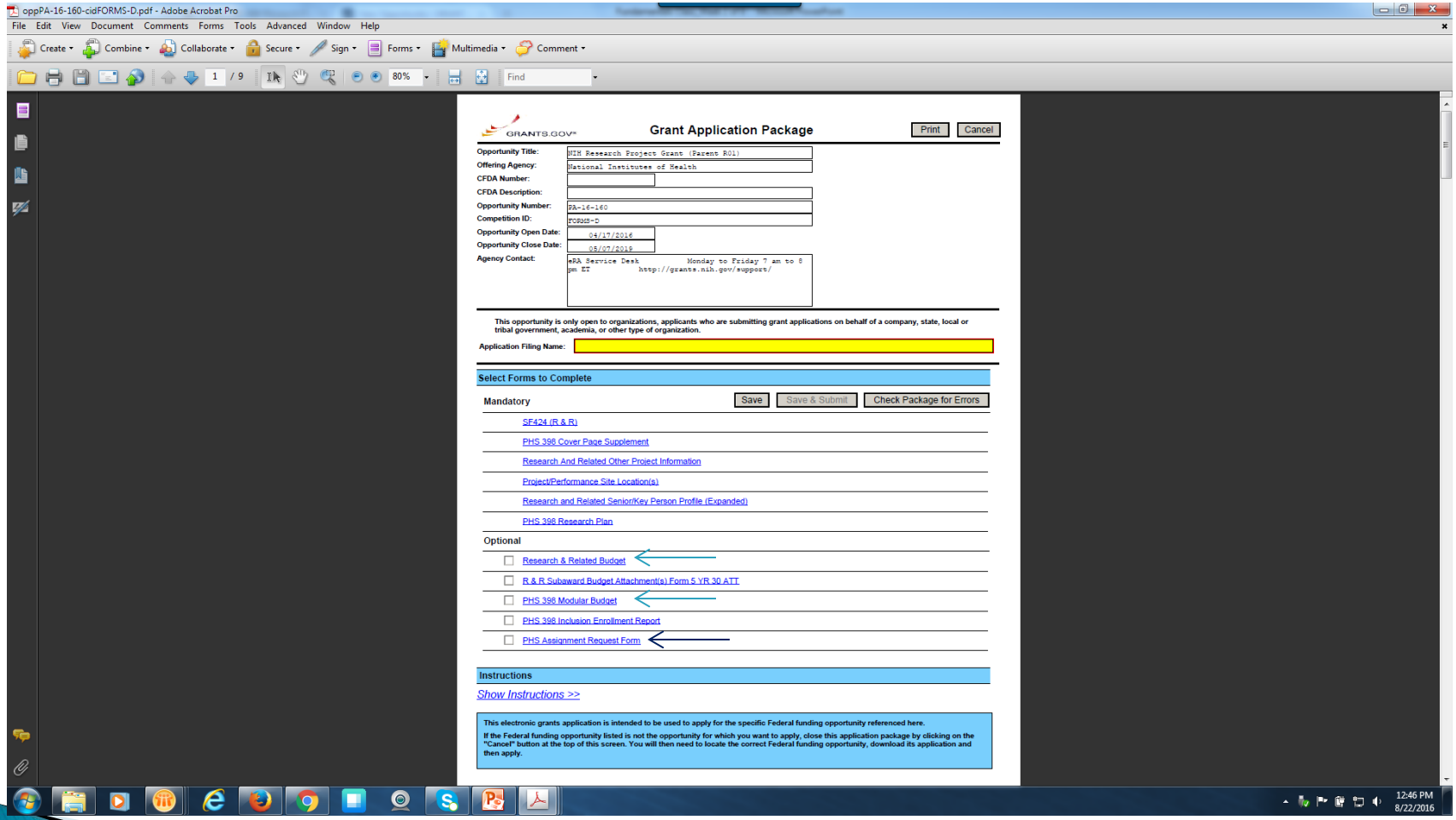
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File Edit View Document Comments Forms Tools Advanced Window Help
Create Combine Collaborate Secure Sign Forms Multimedia Comment
GRANTS.GOV
Grant Application Package
Print
Cancel
Opportunity Title: NIH Research Project Grant (Parent R01)
Offering Agency: National Institutes of Health
CFDA Number:
CFDA Description:
Opportunity Number: PA-16-160
Competition ID: FORMS-D
Opportunity Open Date: 04/17/2016
Opportunity Close Date: 05/07/2016
Agency Contact: eRA Service Desk Monday to Friday 7 am to 8 pm ET http://grants.nih.gov/support/
This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.
Application Filing Name:
Select Forms to Complete
Mandatory
Save
Save & Submit
Check Package for Errors
SF424 (R & R)
PHS 398 Cover Page Supplement
Research And Related Other Project Information
Project/Performance Site Location(s)
Research and Related Senior/Key Person Profile (Expanded)
PHS 398 Research Plan
Optional
Research & Related Budget
R & R Subaward Budget Attachment(s) Form 5 YR 30 ATT
PHS 398 Modular Budget
PHS 398 Inclusion Enrollment Report
PHS Assignment Request Form
Instructions
Show Instructions >>
This electronic grants application is intended to be used to apply for the specific Federal funding opportunity referenced here.
If the Federal funding opportunity listed is not the opportunity for which you want to apply, close this application package by clicking on the "Cancel" button at the top of this screen. You will then need to locate the correct Federal funding opportunity, download its application and then apply.
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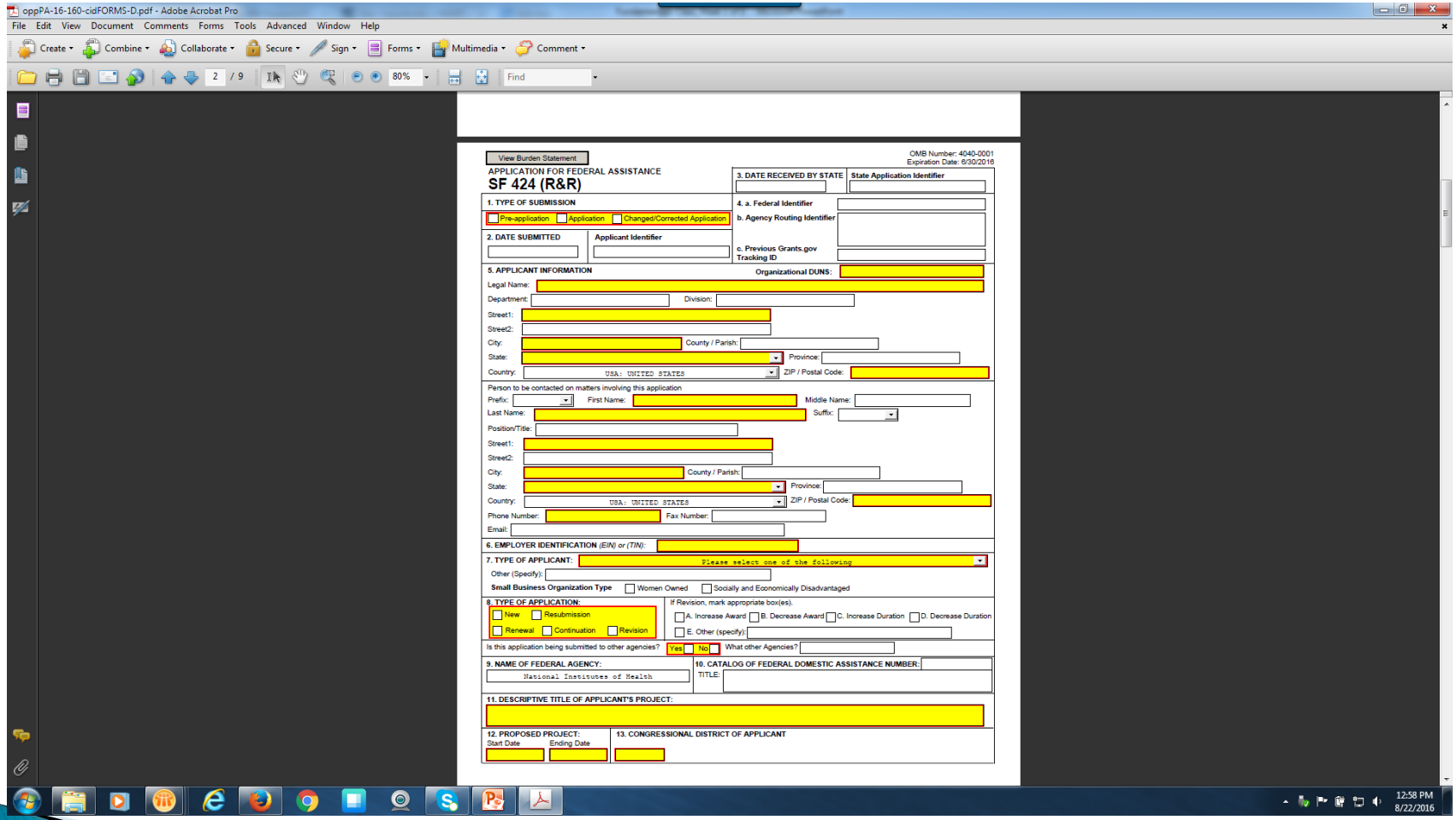
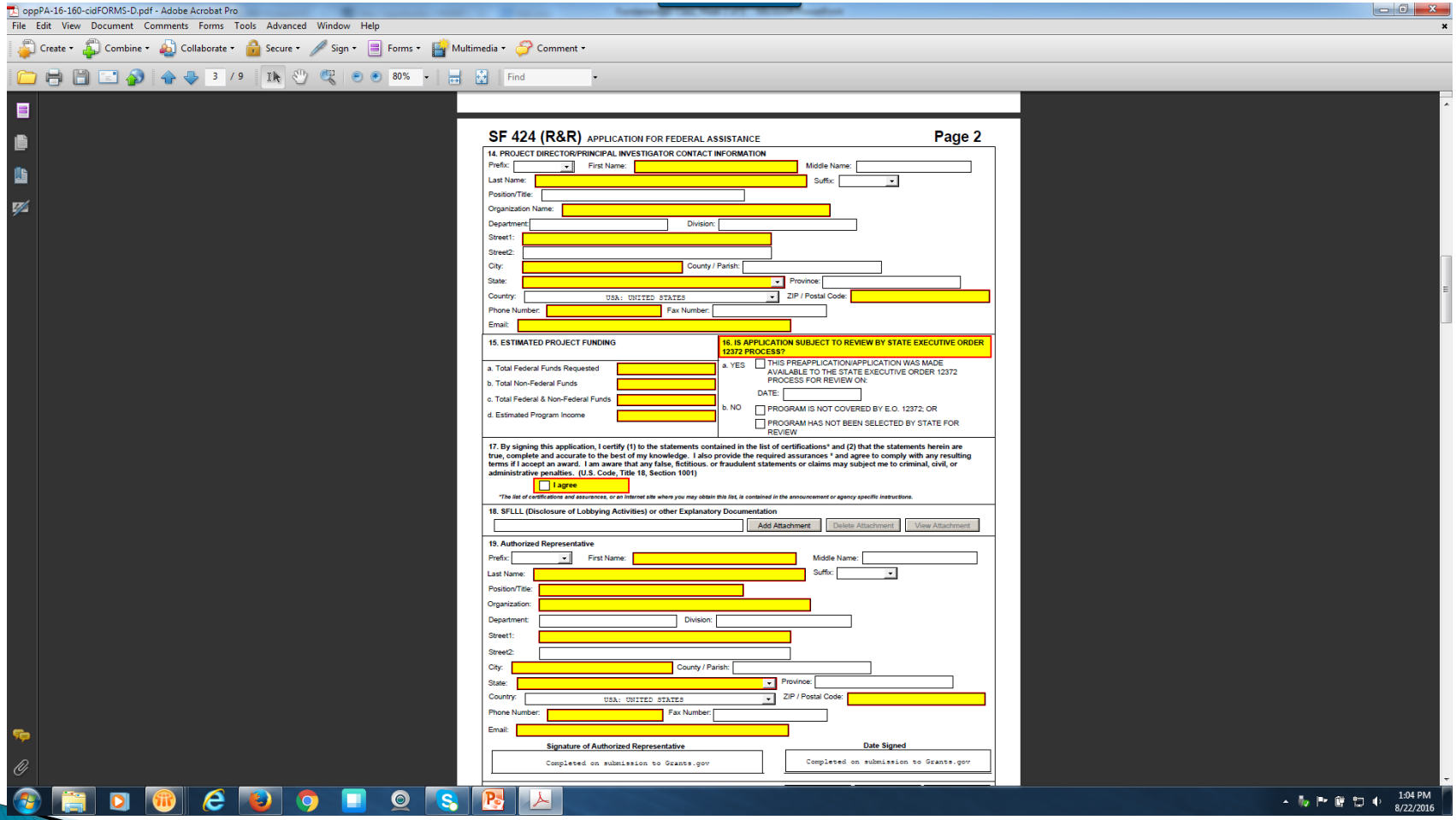
8/22/2016

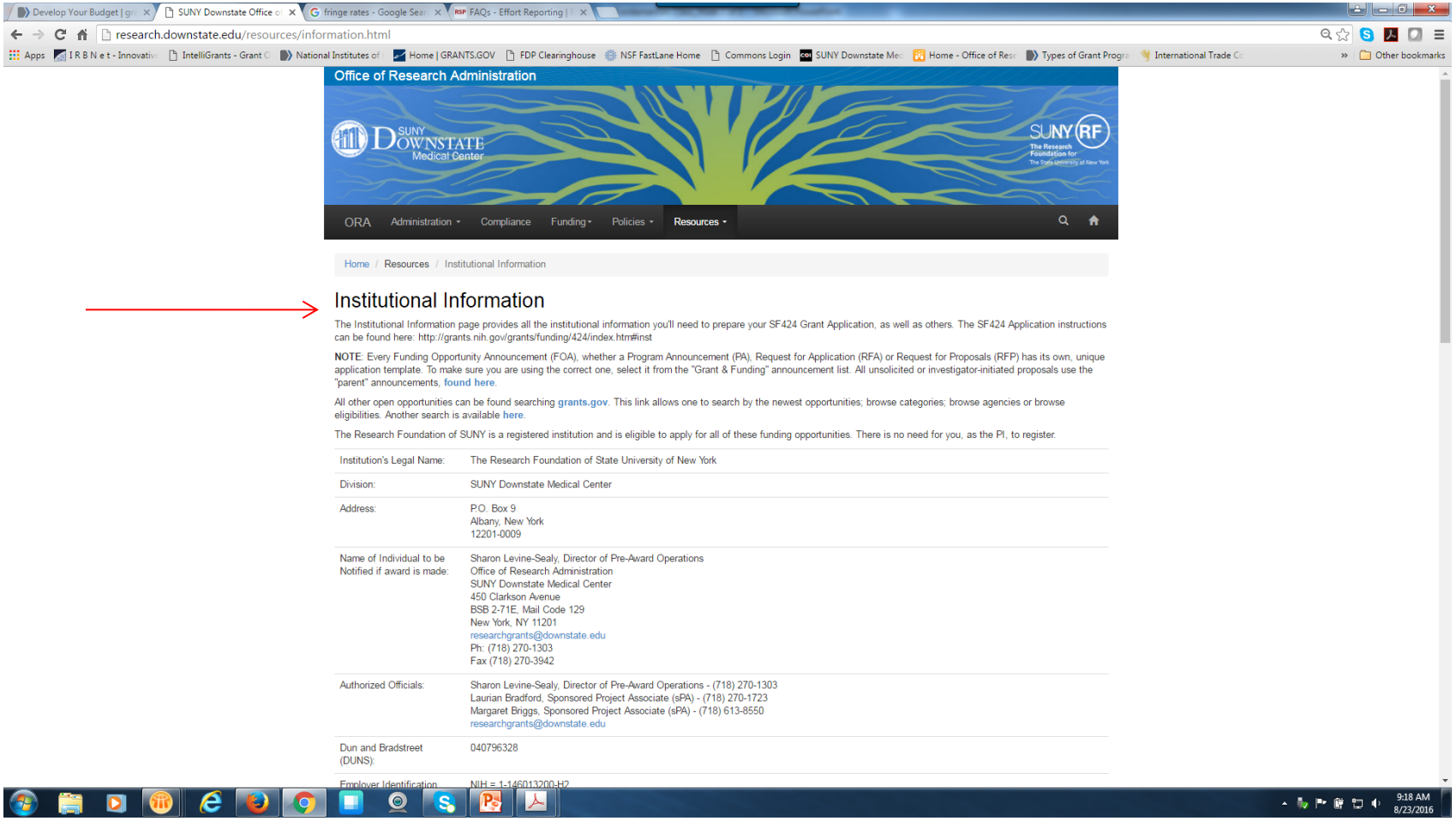
General information, page 1



General Information, page 2

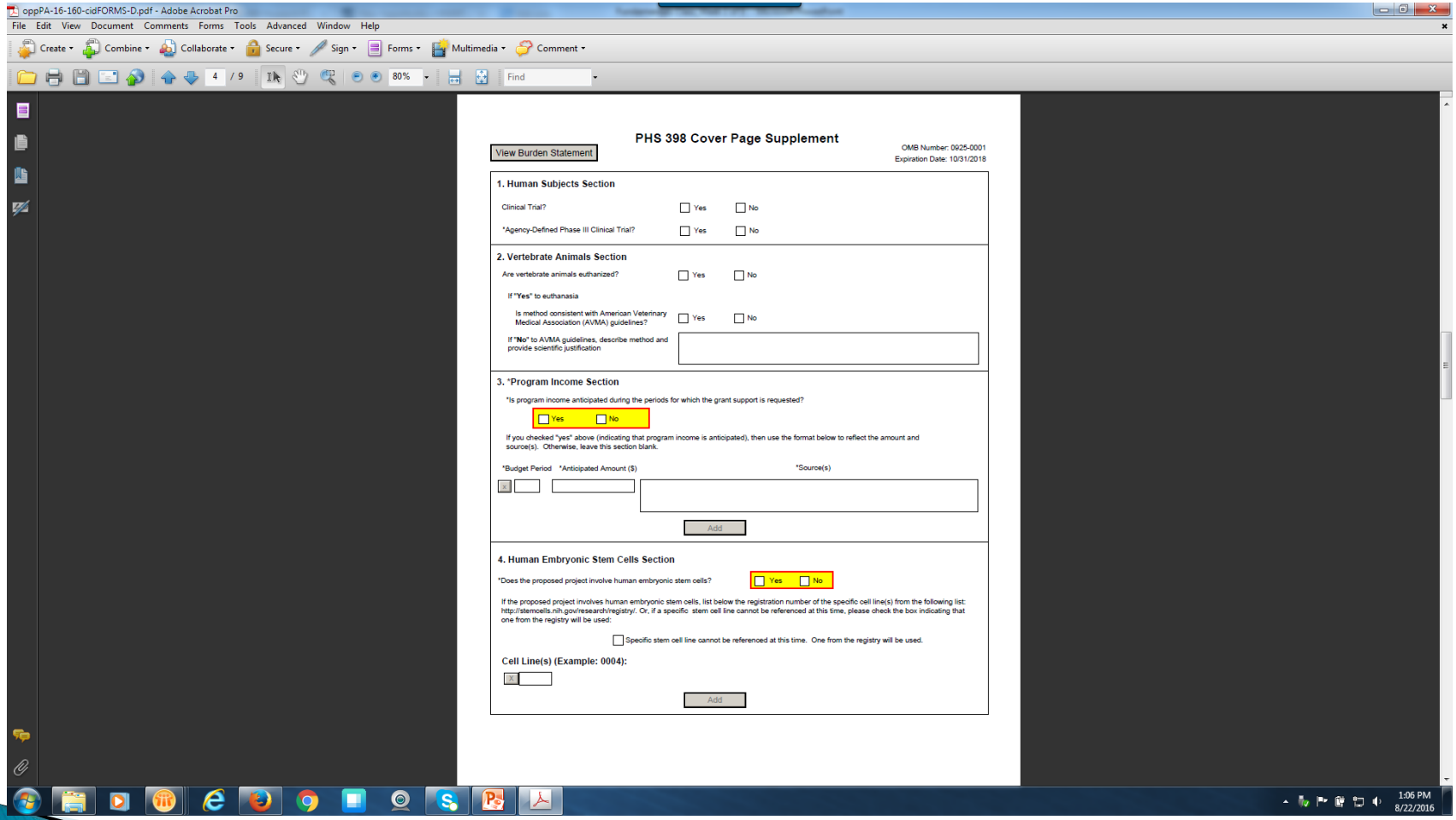


Where to find grant information?



http://research.downstate.edu/resources/information.html

Cover Page Supplement



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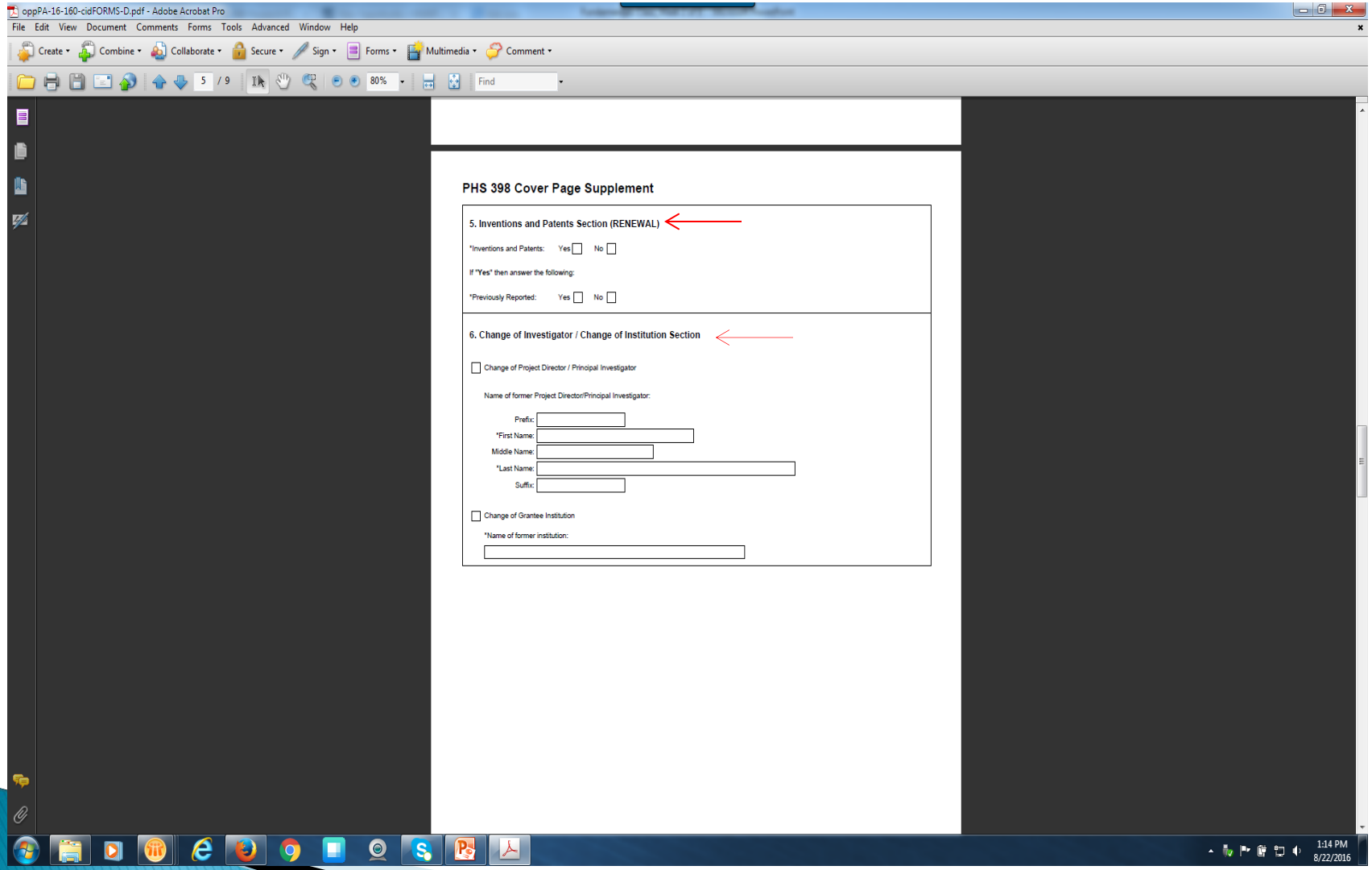
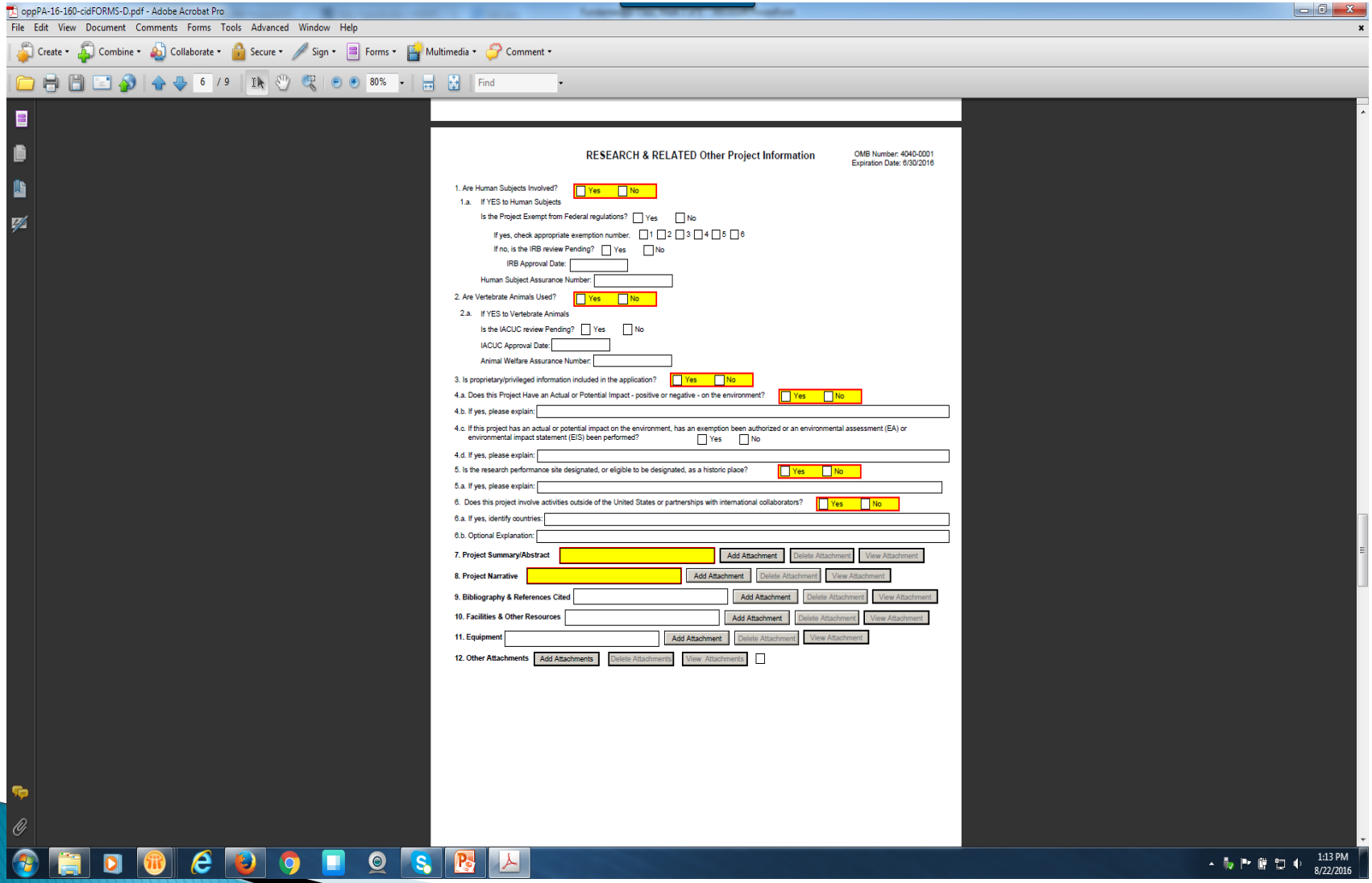
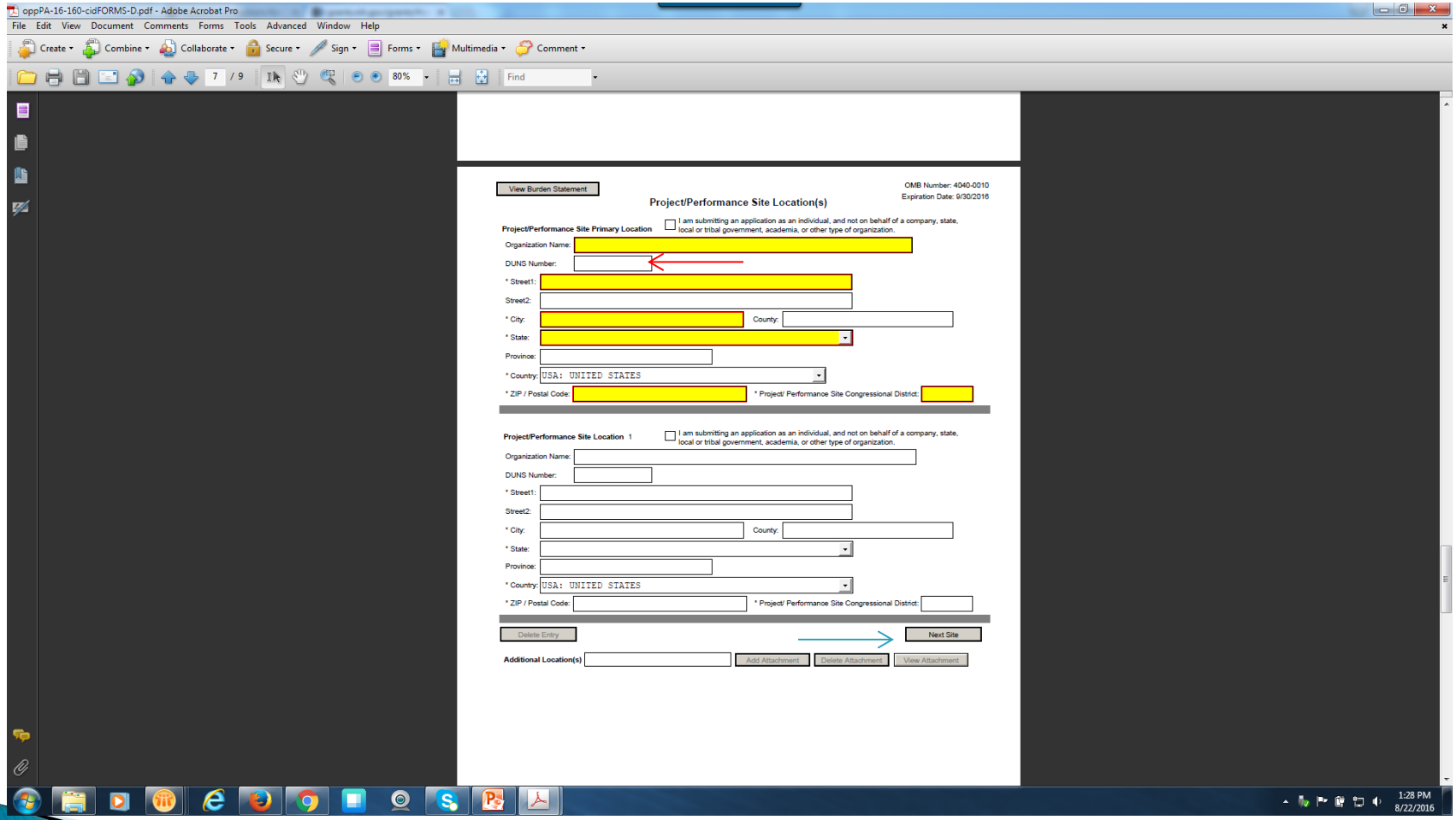


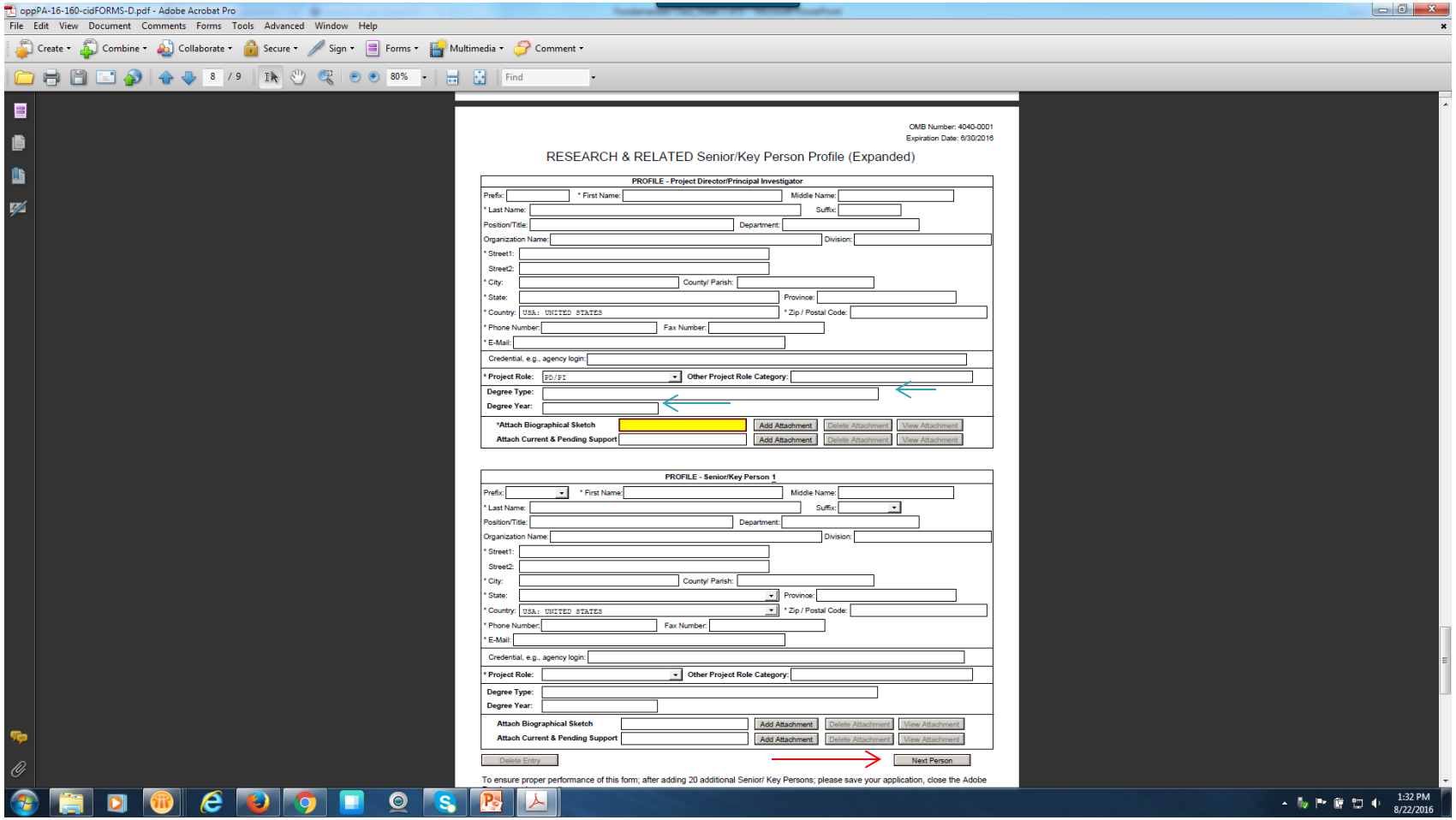
Other Project Information



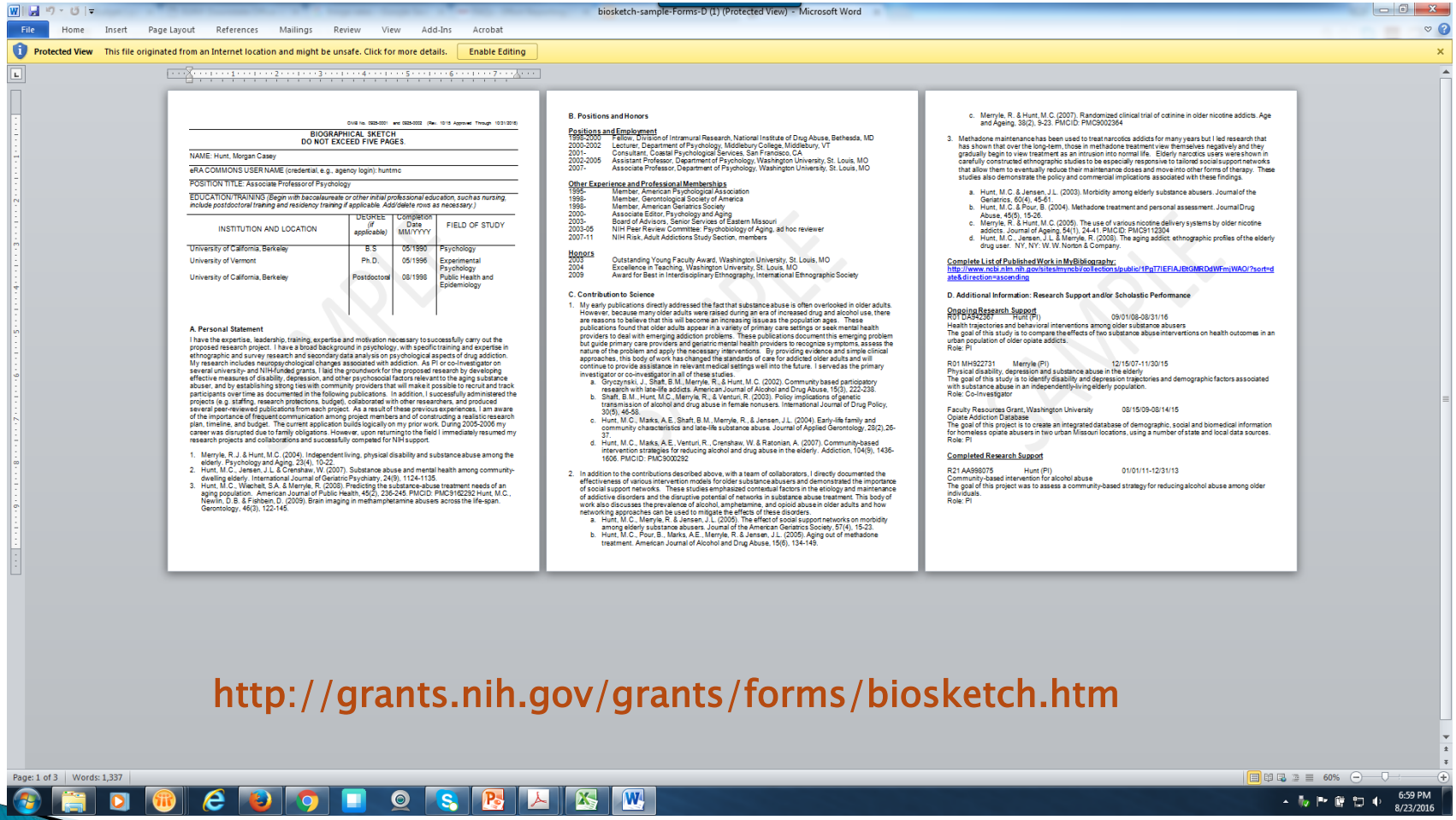
Performance site locations



Senior/Key Person Profile

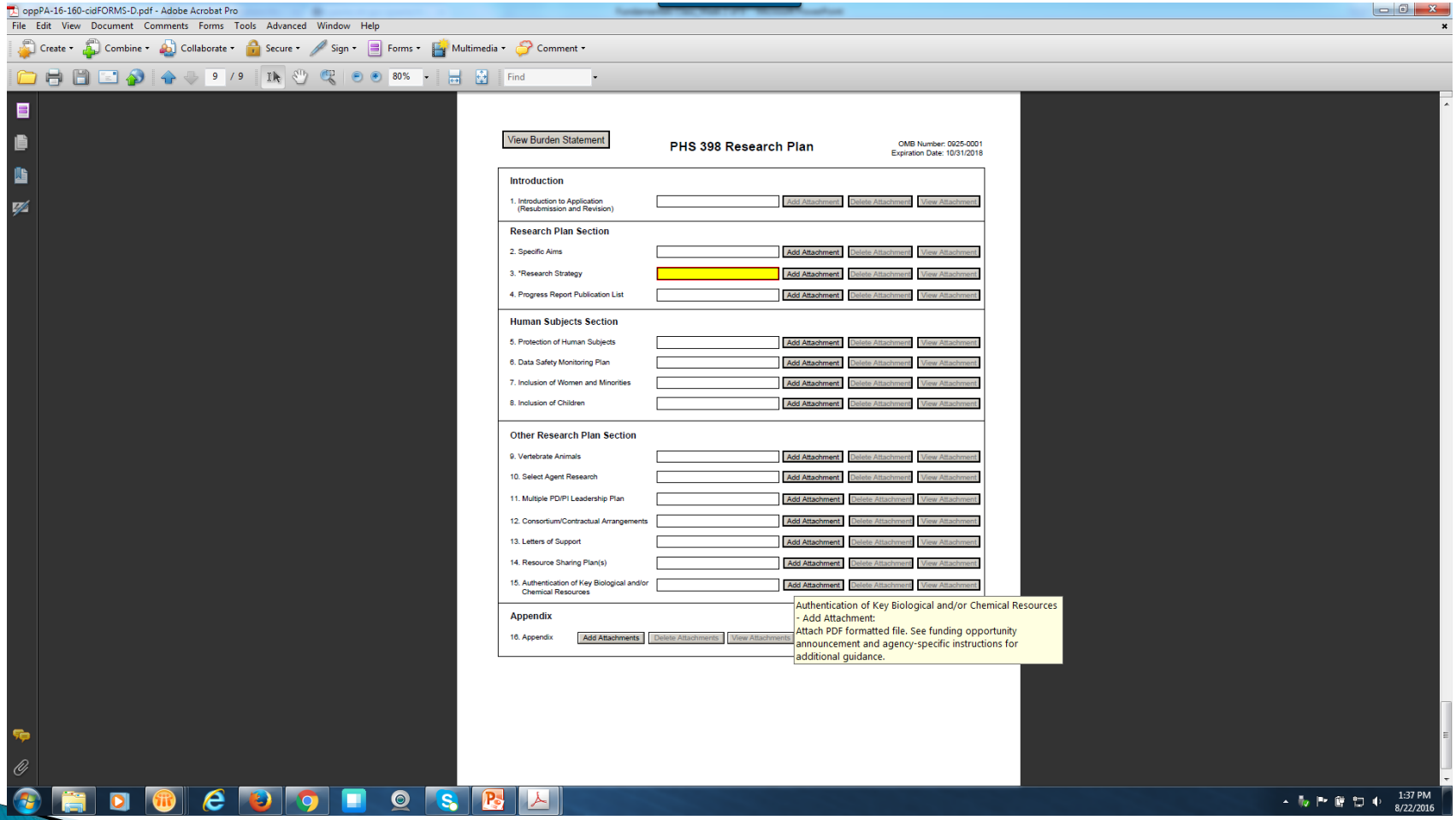


The Biosketch

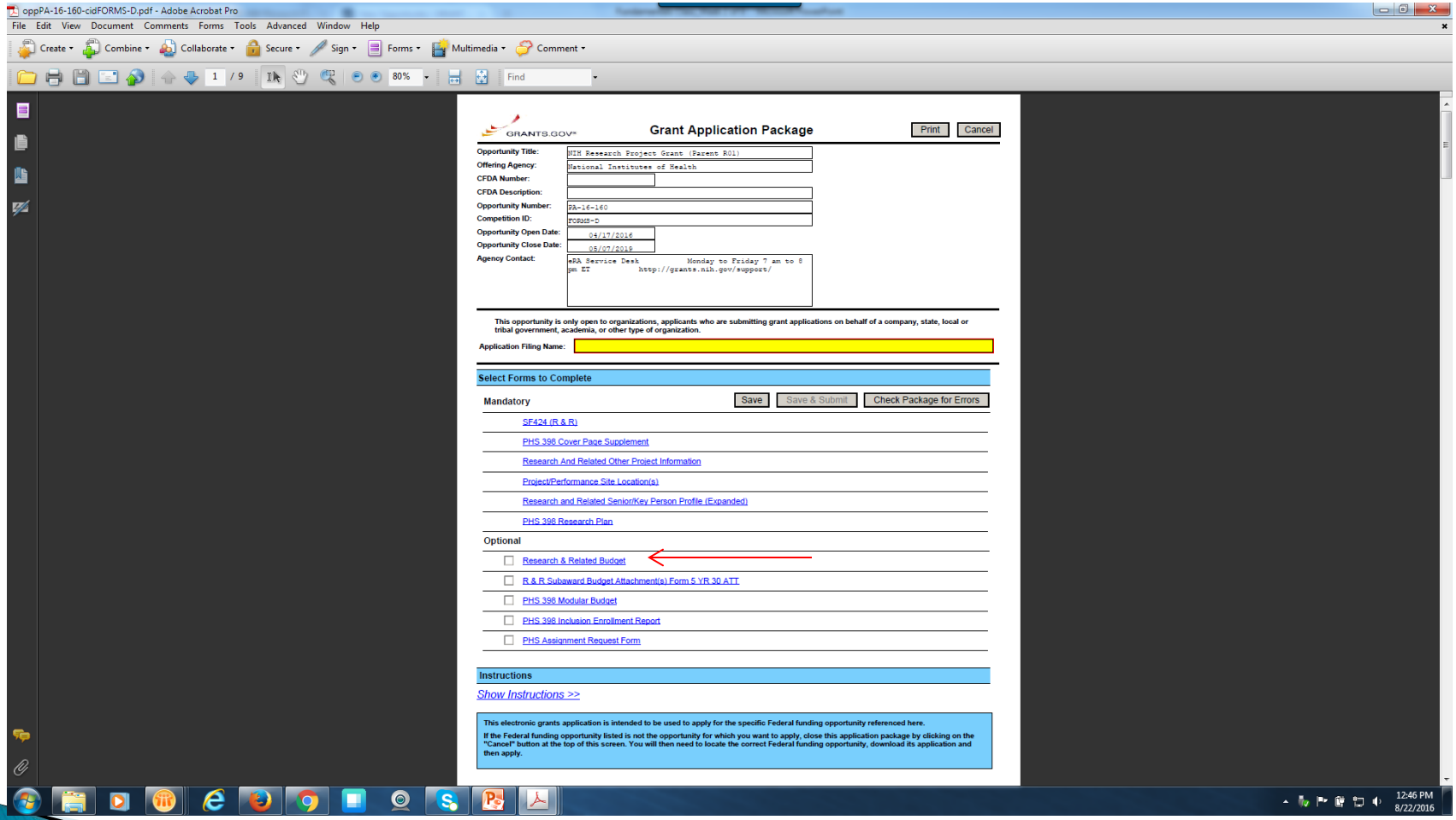


http://grants.nih.gov/grants/forms/biosketch.htm

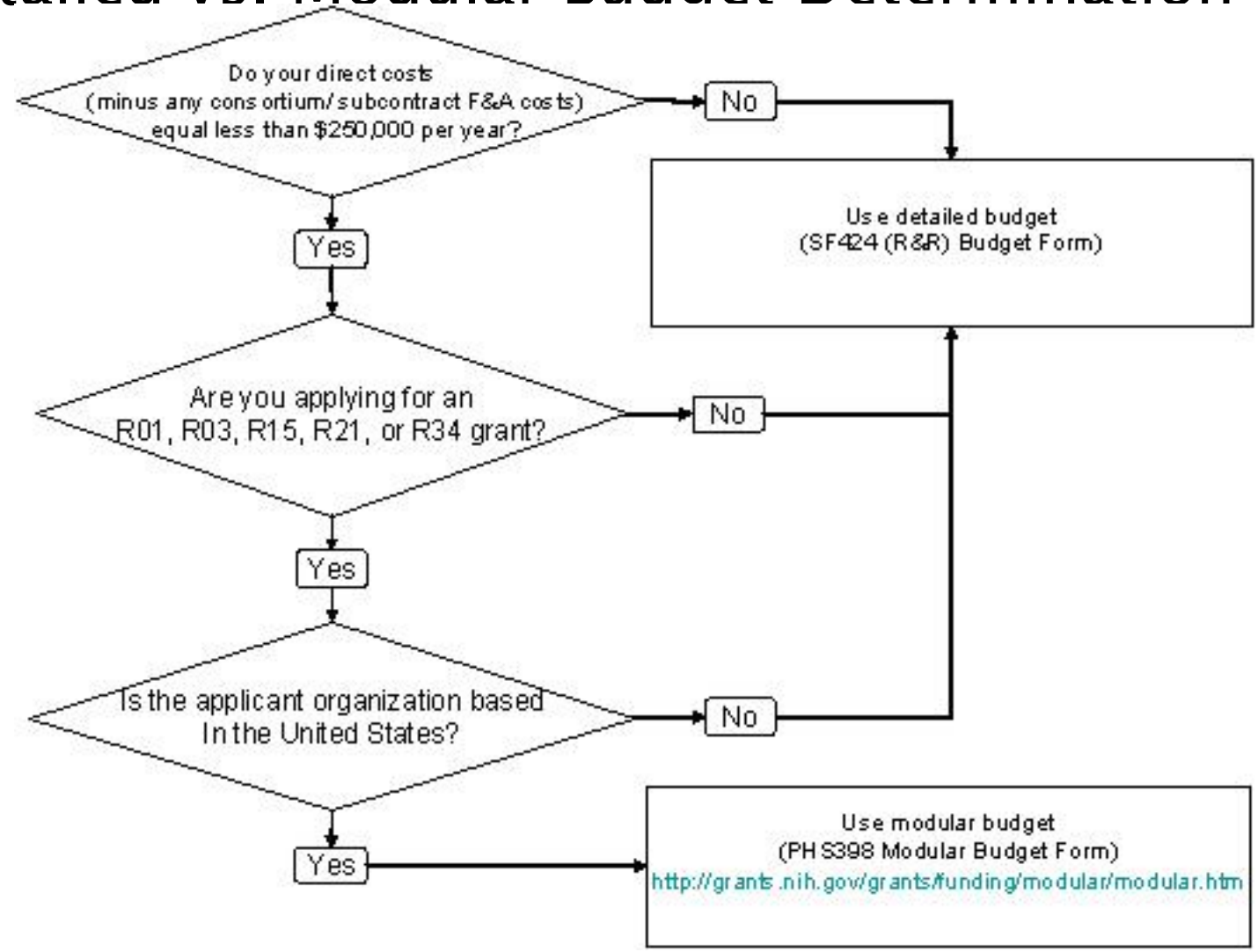
Research Plan



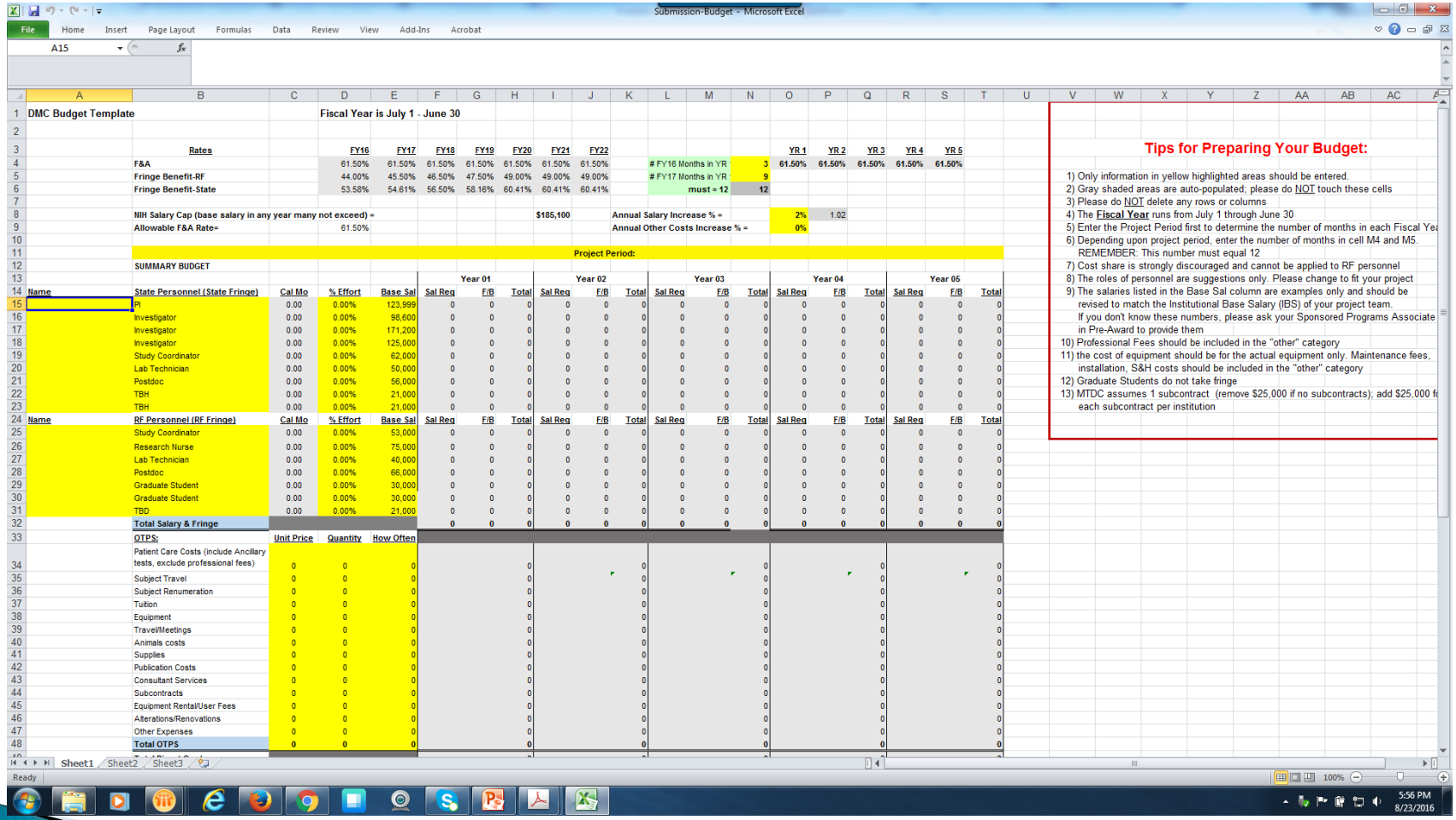
The end ... Just kidding!



Detailed vs. Modular Budget Determination



Internal Budget Template



Submission-Budget - Microsoft Excel

DMC Budget Template — Fiscal Year is July 1 - June 30

Rates	FY16	FY17	FY18	FY19	FY20	FY21	FY22
F&A	61.50%	61.50%	61.50%	61.50%	61.50%	61.50%	61.50%
Fringe Benefit-RF	44.00%	45.50%	46.50%	47.50%	49.00%	49.00%	49.00%
Fringe Benefit-State	53.58%	54.61%	56.50%	58.16%	60.41%	60.41%	60.41%

FY16 Months in YR: 3 | # FY17 Months in YR: 9 | must = 12: 12

	YR 1	YR 2	YR 3	YR 4	YR 5
F&A	61.50%	61.50%	61.50%	61.50%	61.50%

NIH Salary Cap (base salary in any year many not exceed) = $185,100 — Annual Salary Increase % = 2% (1.02)

Allowable F&A Rate= 61.50% — Annual Other Costs Increase % = 0%

Project Period:

SUMMARY BUDGET

Name	State Personnel (State Fringe)	Cal Mo	% Effort	Base Sal	Year 01 Sal Req	Year 01 F/B	Year 01 Total	Year 02 Sal Req	Year 02 F/B	Year 02 Total	Year 03 Sal Req	Year 03 F/B	Year 03 Total	Year 04 Sal Req	Year 04 F/B	Year 04 Total	Year 05 Sal Req	Year 05 F/B	Year 05 Total
	PI	0.00	0.00%	123,999	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Investigator	0.00	0.00%	98,600	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Investigator	0.00	0.00%	171,200	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Investigator	0.00	0.00%	125,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Study Coordinator	0.00	0.00%	62,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Lab Technician	0.00	0.00%	50,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Postdoc	0.00	0.00%	56,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	TBH	0.00	0.00%	21,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	TBH	0.00	0.00%	21,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Name	RF Personnel (RF Fringe)	Cal Mo	% Effort	Base Sal	Year 01 Sal Req	Year 01 F/B	Year 01 Total	Year 02 Sal Req	Year 02 F/B	Year 02 Total	Year 03 Sal Req	Year 03 F/B	Year 03 Total	Year 04 Sal Req	Year 04 F/B	Year 04 Total	Year 05 Sal Req	Year 05 F/B	Year 05 Total
	Study Coordinator	0.00	0.00%	53,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Research Nurse	0.00	0.00%	75,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Lab Technician	0.00	0.00%	40,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Postdoc	0.00	0.00%	66,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Graduate Student	0.00	0.00%	30,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Graduate Student	0.00	0.00%	30,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	TBD	0.00	0.00%	21,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total Salary & Fringe				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

OTPS:	Unit Price	Quantity	How Often	Year 01	Year 02	Year 03	Year 04	Year 05
Patient Care Costs (include Ancillary tests, exclude professional fees)	0	0	0	0	0	0	0	0
Subject Travel	0	0	0	0	0	0	0	0
Subject Renumeration	0	0	0	0	0	0	0	0
Tuition	0	0	0	0	0	0	0	0
Equipment	0	0	0	0	0	0	0	0
Travel/Meetings	0	0	0	0	0	0	0	0
Animals costs	0	0	0	0	0	0	0	0
Supplies	0	0	0	0	0	0	0	0
Publication Costs	0	0	0	0	0	0	0	0
Consultant Services	0	0	0	0	0	0	0	0
Subcontracts	0	0	0	0	0	0	0	0
Equipment Rental/User Fees	0	0	0	0	0	0	0	0
Alterations/Renovations	0	0	0	0	0	0	0	0
Other Expenses	0	0	0	0	0	0	0	0
Total OTPS	0	0	0	0	0	0	0	0

Tips for Preparing Your Budget:

1) Only information in yellow highlighted areas should be entered.
2) Gray shaded areas are auto-populated; please do NOT touch these cells
3) Please do NOT delete any rows or columns
4) The **Fiscal Year** runs from July 1 through June 30
5) Enter the Project Period first to determine the number of months in each Fiscal Yea
6) Depending upon project period, enter the number of months in cell M4 and M5. REMEMBER: This number must equal 12
7) Cost share is strongly discouraged and cannot be applied to RF personnel
8) The roles of personnel are suggestions only. Please change to fit your project
9) The salaries listed in the Base Sal column are examples only and should be revised to match the Institutional Base Salary (IBS) of your project team. If you don't know these numbers, please ask your Sponsored Programs Associate in Pre-Award to provide them
10) Professional Fees should be included in the "other" category
11) the cost of equipment should be for the actual equipment only. Maintenance fees, installation, S&H costs should be included in the "other" category
12) Graduate Students do not take fringe
13) MTDC assumes 1 subcontract (remove $25,000 if no subcontracts); add $25,000 f each subcontract per institution

Sheet1 Sheet2 Sheet3 — Ready — 100% — 5:56 PM 8/23/2016

The Budget

- What is considered direct vs indirect?
- What are fringe benefit rates?
- What F&A should be used?
- Is there a budget cap in the FOA?
- Will the direct costs be $500,000 or more?
  - Will prior approval be required from NIH?

http://research.downstate.edu/resources/information.html
http://research.downstate.edu/policies-downstate.html

The Budget (cont.)

- Should identify all costs necessary and reasonable

- Should define all allowable costs
  - Research Costs vs. Standard of Care
  - Patient Care Costs vs. Subject related Costs
  - Research Personnel vs. Professional Fees
  - Consortium vs. Contractor
  - Research Pharmacy
  - Data Safety Monitoring Board members and travel

http://research.downstate.edu/resources/information.html

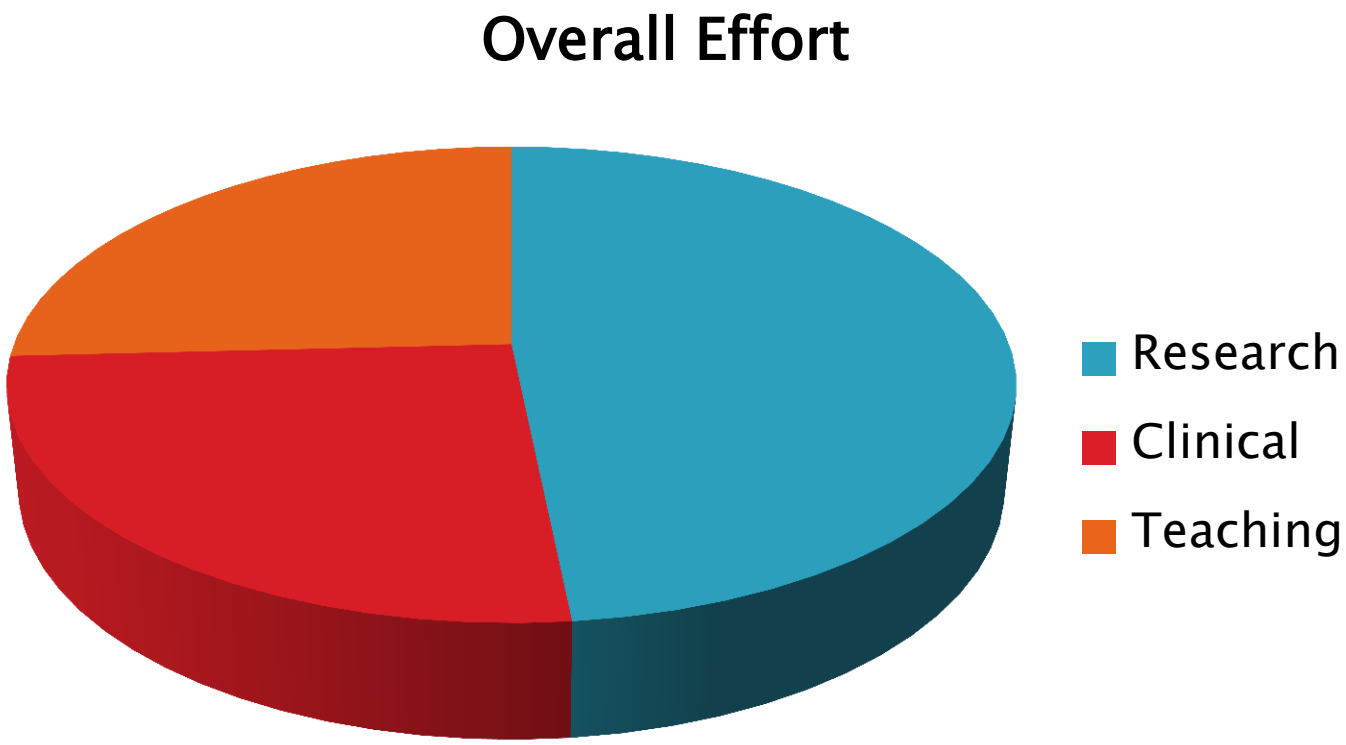
Budget Items and Preparation

- Salary and Fringe
- Consultants
- Equipment & Supplies
- Animals
- Travel
- Consortium / Subawards
- Patient Care Costs
- Other Costs, includes:
  - Study Subject Costs
  - Pharmacy
  - Publication costs
  - Advertising
  - Professional Fees
- Facilities & Administrative (F&A)

Personnel Costs -- Institutional Base Salary (IBS)

- Institutional Base Salary (IBS) consists of:
  - Base Salary plus
  - Guaranteed additional "Also-Receives"
- Salaries are maintained and updated in Human Resources
  - State salaries
  - Research Foundation salaries
- The amount of salary that can be compensated from sponsored projects cannot exceed an individual's guaranteed annual salary, the IBS

Personnel -- Effort



http://research.downstate.edu/policies-downstate.html

Personnel Costs
Cost Share or Matching Funds

- When an institution shares a portion of the cost of a sponsored project
  - Mandatory
  - Voluntary Committed
  - Voluntary Uncommitted (VUCS)
- Matching Funds – when an institution is required to solicit additional project costs by a third-party, as identified in the FOA

http://research.downstate.edu/policies-downstate.html

Personnel Costs
Cost Share or Matching Funds

- Mandatory cost share:
  - Proposals should include the minimum amount of cost sharing necessary, in order to meet the sponsor's requirements
- Voluntary committed cost share:
  - Is strongly discouraged
- As you develop your budget, keep cost sharing in mind

http://research.downstate.edu/policies-downstate.html

Equipment and Supplies

- Equipment – each individual item must be $5,000 or more. These items are excluded from the MTDC base when calculating F&A

- Supplies – each item must be project specific, e.g. binders, study materials, etc. The purchase of pens, paper and the like should not be requested from a sponsored project

- http://research.downstate.edu/policies-downstate.html

Consulting Costs

- The consultant must be a non-University employee
- A consultant agreement should be put in place
- The consultant will need to provide confirmation of FCOI prior to award

Consortiums / Subcontracts

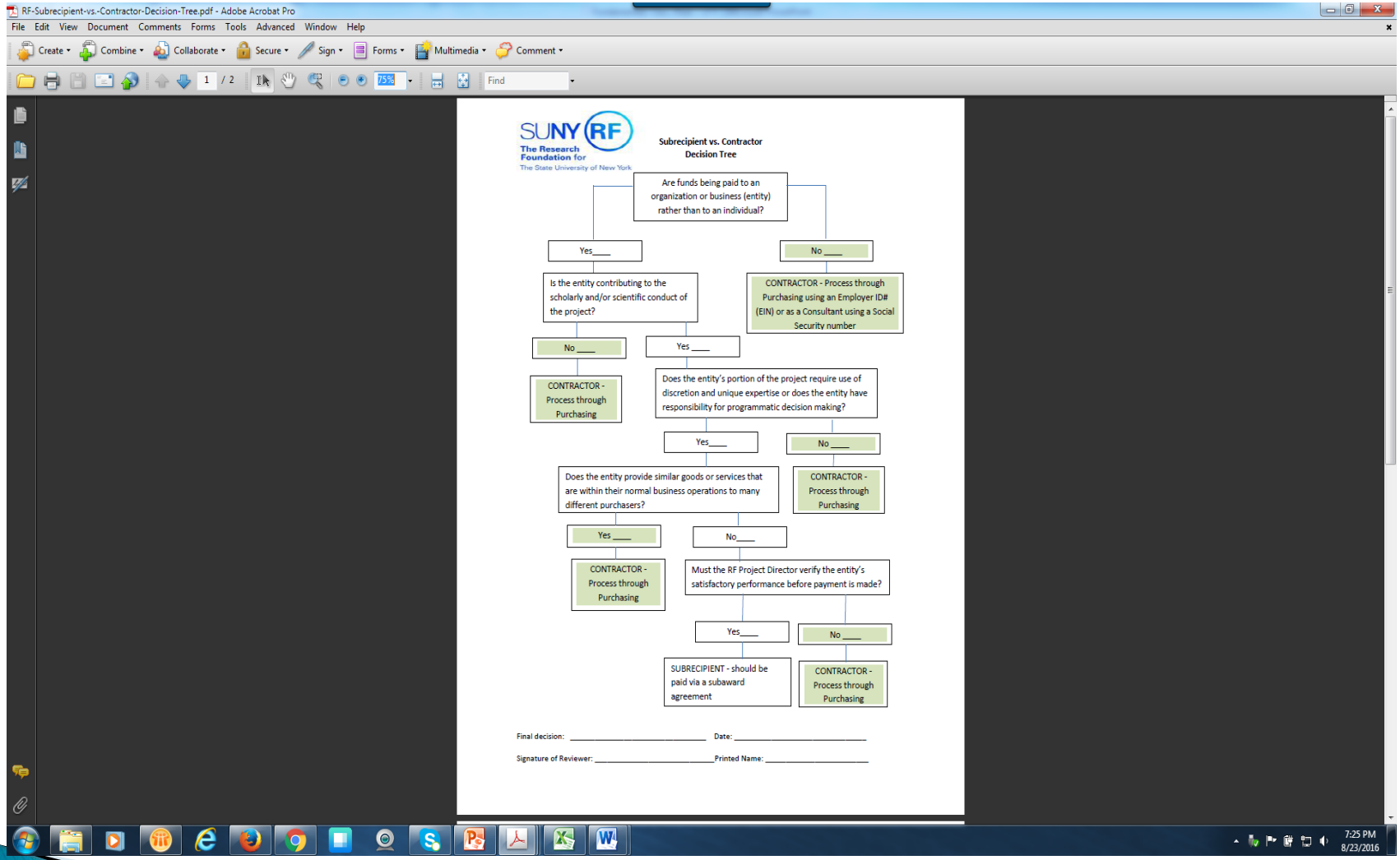
- An agreement typically issued through Sponsored Projects, whereby the research project is carried out by the grantee and one or more other organizations. The grantee must perform a substantive role in the conduct of the planned research and not merely sere as a conduit of funds to another party or parties.

  - Research Foundation Central issues subcontracts for DMC
  - Budget consists of DC & IC
  - Grantee collects IC on the 1st $25,000

Contract / Service Agreement

- An agreement typically issued through Procurement whereby the grantee is purchasing a service from another institution (i.e. assays, scans, etc)
  - Research Foundation Central issues service agreements for DMC
  - Budget consists of a total cost, inclusive of IC
  - Grantee collects IC on the entire amount

The Decision Tree … and the UG



Facilities & Administrative Costs/ Indirect Costs

- Costs incurred by the Grantee for joint or common objectives and cannot be identified specifically to a grant or project

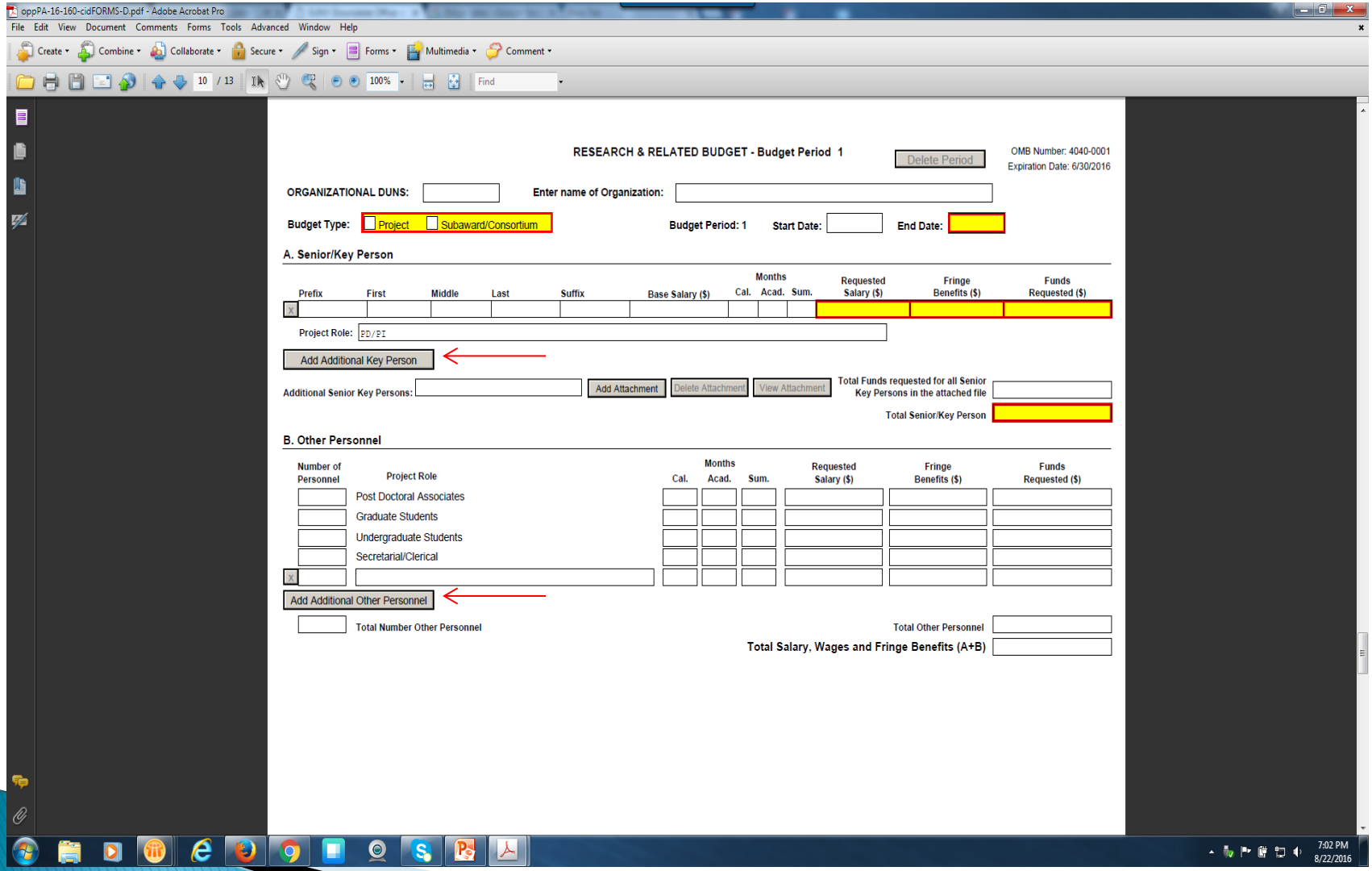
- Rate is based on a negotiated DHHS rate agreement

http://research.downstate.edu/resources/information.html

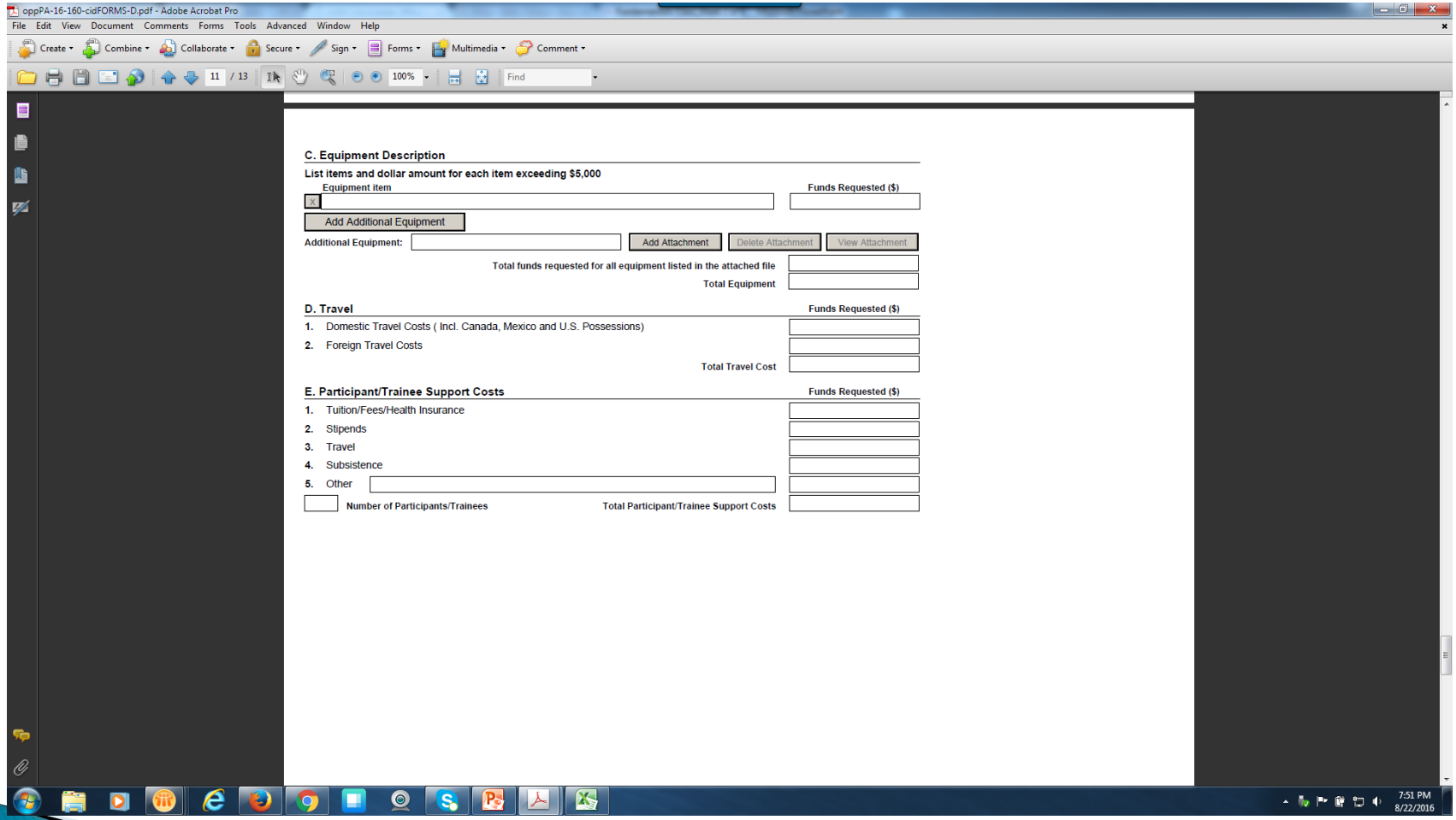
Modified Total Direct Cost (MTDC)

- Consists of all direct costs except for:
  - equipment
  - capital expenditures
  - patient care costs (e.g. tests not SOC in hospital setting)
  - participant costs (for NSF applications only)
  - tuition reimbursement
  - rental costs of off-site facilities
  - scholarships, fellowships (mostly NSF)
  - the portion of each subcontract in excess of $25,000

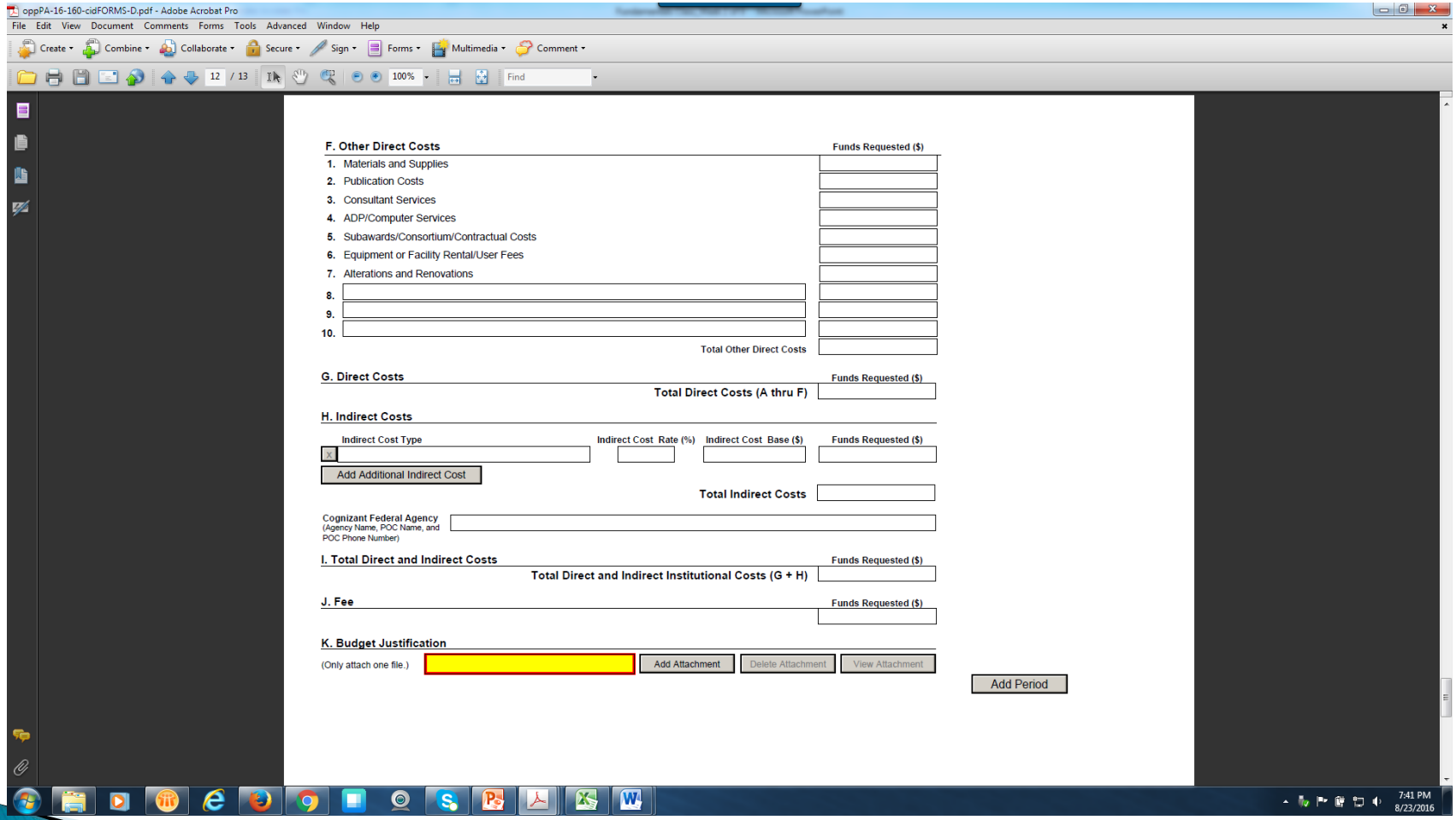
Back to the Budget pages… Personnel



Budget … Equipment, Travel & Participant Support Costs



Budget … Other Direct Costs (plus our Indirect)



The Budget Justification

- Is a detailed narrative of the budget
- Every line item should be justified
- It should follow in the same order as the budget
- It should only include DMC costs, except for the consortium

Other grant budgets…

- Every sponsor is slightly different though all are similar
- Follow the FOA and download the application package and instructions
- All sponsor instructions are online

Plan way ahead of sponsors deadline

- Must get the proposal to ORA at least five business days before the sponsor's deadline!
- Must have the Proposal Tracking form from PI and approvals from all academic offices involved with the proposal (science, resources, space, faculty)
- Must have Cost Share documentation from PI for self and all other faculty where cost share is applicable, as well as approvals from all academic offices involved with the proposal
- All Financial Conflict of Interest (FCOI) annual disclosures must be filed annually in COI-SMART, effective October 2014, for your sPA to submit the proposal. A transactional questionnaire must be filed for each application.
    - http://research.downstate.edu/compliance.html

What the sPA reviews…

- All the components of the grant application
- The FOA
- The consortium paperwork (if applicable)
- FCOI documentation
- Internal paperwork: The Signature Worksheet and
- Cost Share Template

Financial Conflict of Interest

- "The public trust in what we do is just essential, and we cannot afford to take any chances with the integrity of the research process."

  — Dr. Francis Collins, Director, NIH

FCOI – The Ruling

- Public Health Service (PHS) regulations govern:
  - Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 C.F.R. Part 50, Subpart F)
  - Responsible Prospective Contractors (45 C.F.R. Part 94

2011 Key Changes to FCOI policy

- Definition of Significant Financial Interest (SFI)
- Extent of Investigators' disclosure of information to Institutions regarding their SFIs;
-
- Institutions' management of identified Financial Conflicts of Interest (FCOI);
- Information reported to the PHS funding component (e.g., NIH);
- Information made accessible to the public (i.e., Institutions' FCOI policy and FCOIs of Senior/Key personnel)
- Investigator training

FCOI – what it really means

- Must have a policy publicly available
- Must have ALL investigators complete an annual FCOI disclosure
- Must have ALL investigators complete an additional FCOI disclosure for each new research project
- Must report to any conflicts and management plans to the federal government

http://downstate.edu/coi/

Communicate with your Sponsored Programs Associate (sPA)

- Ask for help
  - Need assistance with the requirements of an FOA?
  - Need salary and fringe costs for budget personnel?
  - Need help determining subcontract compliance?
  - Need help with the budget?
  - With anything else? CALL US, we're here to help

Resources

- Office of Research Administration
  - http://research.downstate.edu/
- Pre-Award division
  - http://research.downstate.edu/administration/pre-award.html
- Post-Award division
  - http://research.downstate.edu/administration/post-award.html
- Forms
  - http://research.downstate.edu/resources/forms.html
- Policies
  - http://research.downstate.edu/policies-downstate.html
- Funding Opportunities
  - http://research.downstate.edu/funding/funding-opportunities.html
- Institutional Information
  - http://research.downstate.edu/resources/information.html

External Resources

- CDC – List of Select Agents
  - http://www.cdc.gov/od/sap/docs/salist.pdf

- NIH instructions for Appendices
  - http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-080.html

  - http://www.cdc.gov/od/sap/docs/salist.pdf

Contact Us

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