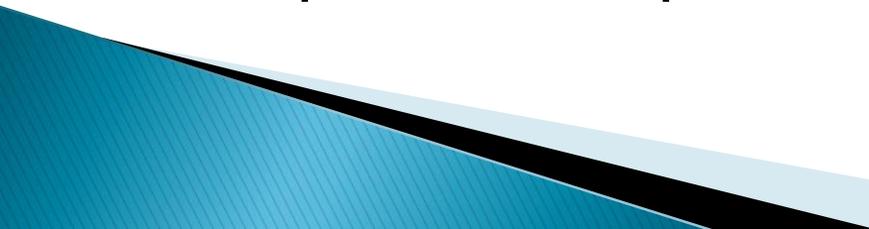


# Extramural Funding Training Session

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

# Agenda

- ▶ Identify the different funding opportunities
  - ▶ Interpret the program announcement or solicitation
  - ▶ Identify the submission requirements and limitations when reading through the announcements
  - ▶ Gathering information from all involved with the proposal
  - ▶ Adhering to Federal and University regulations as part of proposal preparation
  - ▶ Recognize the general guidelines for preparing your proposal
  - ▶ Prepare a competitive proposal
- 

# Sponsors

- ▶ The National Institutes of Health (NIH) – The Nation’s Medical Research Agency – includes 27 Institutes and Centers and is a component of the U.S. Department of Health and Human Services. It is the primary federal agency for conducting and supporting basic, clinical and translational medical research, and it investigates the causes, treatments, and cures for both common and rare diseases. For more information about NIH and its programs, visit [www.nih.gov](http://www.nih.gov)

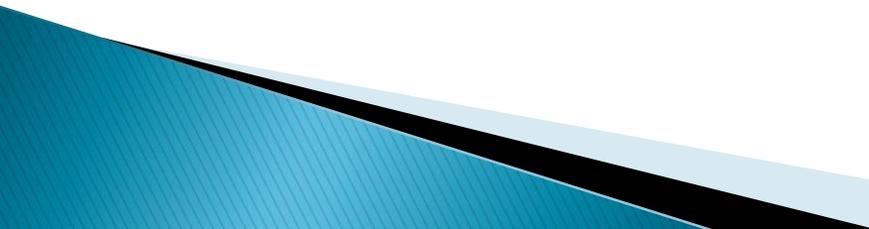
# Types of Funding Available: Grants, Contracts & Cooperative Agreements

## ▶ Grants

- Financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. The sponsor anticipates no substantial programmatic involvement with the recipient during performance of the financially assisted activities.
- The PI is responsible for developing the concepts, methods, and approach for a research project. The sponsor is interested in the productivity of the study vs. the product.
- Grants may or may not be in response to a specific funding announcement. Some sponsors have ongoing standard deadlines several times a year.

# Types of Funding Available: Grants, Contracts & Cooperative Agreements

## ▶ Contract

- An award instrument establishing a binding legal procurement relationship between the sponsor and a recipient obligating the latter to furnish a product or service.
  - The sponsor is responsible for establishing the detailed requirements. The principle purpose of the study is to acquire a specific service or end product for the direct benefit of that sponsor.
  - Usually in response to a Request for Proposal (RFP).
- 

# Types of Funding Available: Grants, Contracts & Cooperative Agreements

## ▶ Cooperative Agreements

- A support mechanism used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.
  - Both the sponsor and the PI have substantial responsibility.
  - Solicitation in response to a specific Program Announcement (PA) or Request for Application (RFA).
- 

# Funding Opportunity Announcements (FOAs)

- ▶ A publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds.
- ▶ FOAs may be known as:
  - Program Announcements
  - Requests for Applications
  - Notices of Funding Opportunities
  - Solicitations
  - or other names depending upon the Agency and type of program.

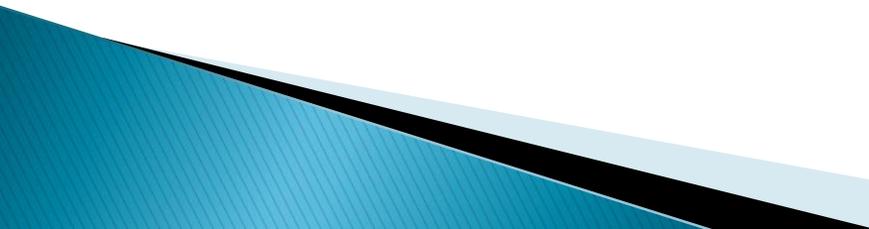
## NIH Specific: Parent Announcement / Unsolicited / Investigator-Initiated Grants

- ▶ NIH-wide FOA enabling applicants to submit an electronic investigator-initiated grant application for a single grant mechanism, e.g., Research Project Grant (Parent R01).
- ▶ Go to Parent Announcements for Unsolicited or Investigator-Initiated Applications.
  - [http://grants.nih.gov/grants/guide/parent\\_announcements.htm](http://grants.nih.gov/grants/guide/parent_announcements.htm)

# NIH Specific: Solicited Applications

- ▶ Program Announcement (PA) – An announcement by an NIH Institute or Center requesting applications in the stated scientific areas. PAs are published in the NIH Guide for Grants and Contracts.
- ▶ Request for Applications (RFA) – The official statement inviting grant or cooperative agreement applications to accomplish a specific program purpose. RFAs indicate the amount of funds set aside for the competition and generally identify a single application receipt date.
- ▶ Request for Proposals (RFP) – Announces that the sponsor would like to award a contract to meet a specific need, such as the development of an animal model. RFPs have a single application receipt date. Contracts are based on deliverables and milestones.
- ▶ <http://grants.nih.gov/grants/guide/index.html?CFID=10110956&CFTOKEN=5eab9058129fd544-BF2F1820-5056-9439-7E005170B2465609>

# NIH Specific (but similar across other sponsors): NIH Staff and Functions

- ▶ Scientific Review Officer (SROs) – A Federal Scientist who presides over a scientific review group and is responsible for coordinating and reporting the review of each application assigned to it. The SRO serves as an intermediary between the applicant and reviewers and prepares summary statements for all applications.
  - ▶ Program Officer (PO) – The NIH official responsible for the programmatic, scientific, and/or technical aspects of a grant.
  - ▶ Grants Management Specialists (GMS) – A NIH staff member who oversees the business and other non-programmatic aspects of one or more grants and/or cooperative agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations and guidelines; negotiating grants; providing consultation and technical assistance to grantees; and administering grants after award.
- 

# NIH Specific: Types of Announcements

## ▶ NIH Notices

### ◦ Notice (NOT)

- announces policy and procedures
- announces changes to RFA or PA announcements
- announces changes to RFP's
- other general information items

[http://grants.nih.gov/grants/guide/search\\_results.htm?year=active&scope=not](http://grants.nih.gov/grants/guide/search_results.htm?year=active&scope=not)

# NIH Specific: Numbering System

- ▶ PA numbering (e.g. *PA-12-241*): Indicates a Program Announcement issued in 2012 or for funding in 2012 (12) with an associated serial number (241).
  - ▶ RFA numbering (e.g. *RFA-HL-13-013*): Indicates an RFA issued by NHLBI (HL) in 2012 for funding in 2013 (13) with an associated serial number (013).
  - ▶ Notice Numbering (e.g. *NOT-OD-12-157*): Indicates a Notice issued by the Office of Director (OD) in Fiscal Year 2012 (12) with an associated serial number (157).
- 

# Where do you find these Announcements?

- ▶ Grants.gov is your source to FIND and APPLY for federal government grants.
  - <http://www.grants.gov>
- ▶ All discretionary grants offered by the 26 federal grant making agencies can be found on Grants.gov
- ▶ **DO NOT REGISTER ON GRANTS.GOV**
- ▶ *ORA is authorized on behalf of RFSUNY and Downstate Medical Center to submit all proposals and accept all awards on behalf of the institution.*

# Components of the Funding Announcement – NIH example

## Part I – Overview:

1. How is the application going to be submitted? Use the correct forms
  2. Key Dates: VITAL INFORMATION
  3. Executive Summary: This is just an Abstract. Answer the 4 W's.
- 

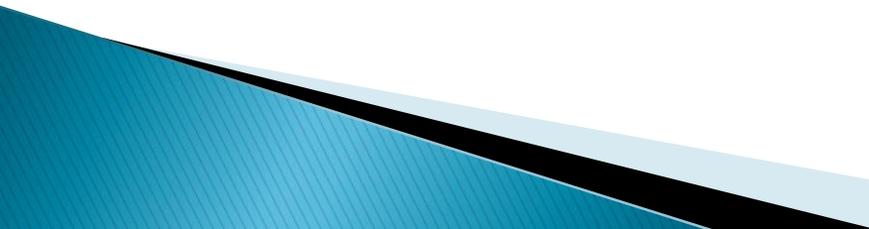
# Components of the Funding Announcement – NIH example

Part II – Full text of the announcement

Section I – Funding Opportunity Description

- Research Objectives

Section II – Award Information

- Mechanisms of Support
  - Funds Available
- 

# Components of the Funding Announcement – NIH example

## Part III – Eligibility Information

1. **Institutional Eligibility:** STOP: if the Institution can only submit a certain number of applications (Limited Submission). Contact your sPA immediately.
2. **PI Eligibility:** STOP: if the PI doesn't have an Institutional Base Salary. Contact your sPA immediately

# Components of the Funding Announcement – NIH Example

Part IV – Application and Submission Information

Part V – Application Review Information

Part VI – Award Administration Information

Part VII – Agency Contacts

Part VIII – Other Information



# Funding Requirements in FOA

- ▶ Know your limits! Carefully read the FOA for budget criteria. Look out for limits on types of expenses (e.g. no construction allowed), spending caps on certain expenses (e.g. travel limited to \$10,000), and overall funding limits (e.g. total costs cannot exceed \$300,000 per year). Relevant sections include:
  - II.1 (Mechanisms of Support)
  - II.2 (Funds Available)
  - III.2 (Cost Sharing or Matching), and
  - IV.5 (Funding Restrictions)

# Developing the Proposal

- ▶ The proposal needs to be constructed according to the guidelines established by the sponsor
  - ▶ Get help interpreting the announcement from your Sponsored Project Associate (sPA)
  - ▶ Always use forms and format required by the sponsor
- 

# 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?
- 

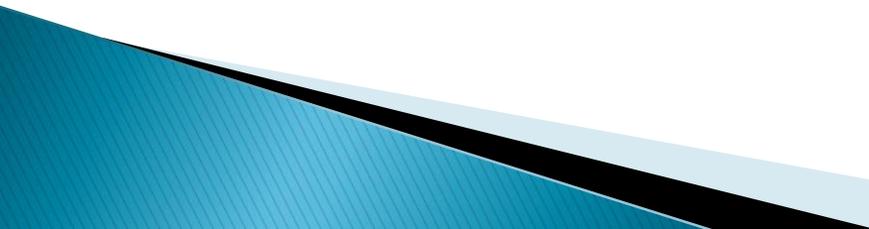
# Definition of Key Personnel

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>

# Budget and Budget Justification

- ▶ 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>

# Budget and Budget Justification

- ▶ 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>

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

# 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>

# Consulting Costs

- ▶ The consultant must be a non–University employee
  - ▶ A consulting 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 serve as a conduit of funds to another party or parties.
  - Research Foundation Central issues subcontracts for DMC
  - Budget consists of DC & IC (sometimes inclusive)
  - Grantee collects IC on the 1<sup>st</sup> \$25,000

# 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>

# 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

# 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)
  - tuition reimbursement
  - rental costs of off-site facilities
  - scholarships, fellowships (mostly NSF)
  - the portion of each subcontract in excess of \$25,000

# 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>



# 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 October, starting with 10/2014 for your sPA to submit the proposal. A transactional questionnaire must be filed for each application.
  - <http://research.downstate.edu/compliance.html>

# Plan way ahead of sponsors deadline:

## Will there be Consortium / Subcontracts?

- ▶ Has the Statement of Work and the Budget been received?
- ▶ Has the Subcontract Proposal Face sheet or the PHS signed cover page been obtained and signed by the Institution's Authorized Official?
- ▶ Are we a pass-through entity?
- ▶ Subrecipient vs. Contractor Decision Tree
  - [http://research.downstate.edu/\\_pdf/RF-Subrecipient-vs-Contractor-Decision-Tree.pdf](http://research.downstate.edu/_pdf/RF-Subrecipient-vs-Contractor-Decision-Tree.pdf)
- ▶ FCOI – Verification of Financial Conflict of Interest (FCOI) for consortium must be complete prior to submission, using either the FDP Clearinghouse or the Subcontract FCOI form, available on our website
- ▶ Visual Compliance – confirm that the institution is not on the sanctioned party's list and the PI is not debarred/suspended from doing research

# Routing Process

- ▶ Grant Review
  - Grant complete
  - Budget finalized
  - All required forms in place
- ▶ PI and Department Chair signature on Proposal Tracking/Signature Worksheet
- ▶ Additional signatories
  - Dean's office
  - CFO
  - Operations Manager

# Overlap: Scientific, Budgetary or Effort

- ▶ The PI certifies on the Proposal Tracking/  
Signature Worksheet the following:
  - To the best of my/our knowledge, any scientific, budgetary or overlap between this proposal and any other proposal or award has been appropriately disclosed in this proposal. If this project is awarded, any such overlap that exists will be identified, reported and approved by the requisite sponsors prior to acceptance of such award.

# Compliance

- ▶ Know the rules!
  - What's your responsibility when submitting and accepting an award?
- ▶ What are the pitfalls?
  - Start-up costs weren't requested
  - Milestones weren't realistic, can't recruit
  - Understanding the out-years
- ▶ Institutional Compliance
  - Routing/Approval paperwork
    - Proposal Tracking/Signature Worksheet
    - Cost Share template
    - FCOI in place (training, transactional & annual)

# 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?
- 

# Upcoming Changes

- ▶ Effective October 1<sup>st</sup>, the pre-award portfolio will be split up by department assignments
  - ▶ Coming soon, sPA's will be authorized to submit grant applications
  - ▶ Open position available for a Contracts Manager
  - ▶ Pre-Award Compliance System (PACS)
  - ▶ Future Trainings
- 

# Grant Budget Information

Program Director/Principal Investigator (Last, First, Middle): [REDACTED]

**DETAILED BUDGET FOR INITIAL BUDGET PERIOD  
DIRECT COSTS ONLY**

FROM 07/01/2012 THROUGH 06/30/2013

List PERSONNEL (Applicant organization only)  
Use Cal, Acad, or Summer to Enter Months Devoted to Project  
Enter Dollar Amounts Requested (omit cents) for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	INST.BASE SALARY	SALARY REQUESTED	FRINGE BENEFITS	TOTAL
[REDACTED] Dr. Downstate	PD/PI	2.4			199,700	5,000	2,541	7,541
[REDACTED]	Co-I	0.48			199,700	7,988	4,059	12,047
[REDACTED]	NETT Coordinator	12			50,000	25,000	12,703	37,703
<b>SUBTOTALS</b>						<b>37,988</b>	<b>19,303</b>	<b>57,291</b>
CONSULTANT COSTS								0
EQUIPMENT (Itemize)								0
SUPPLIES (Itemize by category)								0
TRAVEL								0
1 trip for PI to annual NETT meeting for PI and coordinator								1,600
INPATIENT CARE COSTS								0
OUTPATIENT CARE COSTS								0
ALTERATIONS AND RENOVATIONS (Itemize by category)								0
OTHER EXPENSES (Itemize by category)								0
CONSORTIUM CONTRACTUAL COSTS								0
SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD (Item 7a, Face Page)							<b>\$ 200,000</b>	
CONSORTIUM CONTRACTUAL COSTS							<b>69,847</b>	
TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD							<b>\$ 269,847</b>	



# Completed IFR Form


 The Research Foundation for State University of New York  
**IFR/CS ASSIGNMENT (Appointment)/CHANGE FORM**

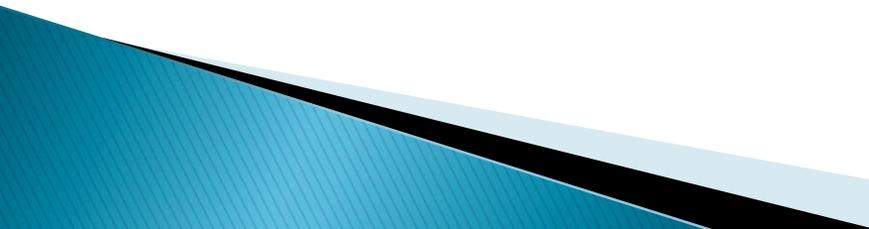
<b>Effective Date:</b> (For a new appointment, date of SUNY hire)						
<b>EMPLOYEE DATA</b>						
Last Name: Downstate			First Name: Jane		MI:	
Title: <input checked="" type="checkbox"/> Dr. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms.   Gender: <input type="checkbox"/> M <input checked="" type="checkbox"/> F   Social Security #:						
<b>APPOINTMENT SPECIFICS</b>						
SUNY Salary (including any guaranteed "Also Receives" and location pay): \$ 250,000.00						
Total SALARY to be reimbursed (without fringe benefits): \$ 5,000.00						
Project	Task	Award	Organization	Start Date	End Date	% of SUNY Salary to be Reimbursed
1000000	1	20000	NIH study	01-jul-2015	30-jun-2015	2
1110000	1	20000	CS for Award 20000	01-jul-2015	30-jun-2015	13
7770000	1	54321	CS Overage Account	01-jul-2015	30-jun-2015	4
<b>SUNY CHART OF ACCOUNTS (COA)</b>						
SUNY COA:						
<b>REMARKS</b>						
<b>APPROVALS</b>						
This assignment is consistent with sponsored program terms and conditions, and with Research Foundation policy.						
<b>Signatures:</b>						
Principal Investigator/Co-Principal Investigator:				Date: _____		
Operations Manager or Delegate:				Date: _____		
<b>Other signatures as required by campus:</b>						
Name: _____				Date: _____		
Title: Chairperson						
Name: _____				Date: _____		
Title: Dean						
<b>Input by:</b> _____				<b>Date:</b> _____		

This represents  
\$5K/\$250K

This represents  
the voluntary  
committed CS  
\$34,900/\$250K

This represents  
the above the  
cap CS  
\$10,060/\$250K

# TOP 10 IFR RULES

- ▶ Upon receipt of a new award the department is required to complete an IFR form to reflect the effort dedicated to the project.
  - ▶ An IFR form should be processed even if all the dedicated effort is to be costs shared.
  - ▶ In instances where the department chooses to increase the cost sharing above the amount in the application a new cost share form should be prepared and approved by the Chair, and Dean, of the department. CFO & OM approvals are also required.
  - ▶ An IFR form should be processed within 90 days of a change in effort.
  - ▶ A change in salary without a change in effort should NOT precipitate an IFR form. However, Post-Award Administration should be made aware of the new salary.
- 

# TOP 10 IFR RULES

- ▶ A separate IFR form should be processed for each award for which the faculty has dedicated effort.
  - ▶ The IFR period should correspond to the period of the award.
  - ▶ Review E-CERT effort reports to determine if an IFR form is needed to properly reflect the dedicated effort.
  - ▶ If the effort charged to the grant is less than budgeted by more than 24.99% of the original amount the IFR may not be processed without approval of the awarding agency. (for Federal awards)
  - ▶ Don't hesitate to call for HELP!
- 

# Coming Attractions

- ▶ As mandated by Federal regulations, an inventory will be conducted of RF (and DMC) equipment. You should anticipate personnel visiting your lab for this purpose probably next Spring.
- ▶ We will be enacting procedures to more aggressively obtain outstanding effort reports. We will be monitoring outstanding Effort Reports and are in the process of developing an escalation plan. The requests for completion will be made at different levels of the RF hierarchy based on the lateness of the report.
- ▶ Grant Managers will be assigned to work with specific departments and will be responsible for all awards related to their assigned departments.
- ▶ Grant Managers will continue to provide services to departments:
  - Monitor grant balances
  - Review expenditures to determine they are allowable and allocable
  - Determine final expenditure amount for reporting and invoicing
  - Determine when awards may be activated “AT RISK”
- ▶ We will be monitoring clinical trials to see that expenditures incurred are recorded. Large surplus balances should not be available to be transferred into Multiple Sponsor accounts. In order for human subjects to be reimbursed, department should request a check charged directly to the award. The check should be cashed and the subjects paid. Department should keep very accurate records of all disbursements and provide an accounting to the Grant Manager.

# 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>

# Contact Us

- ▶ Joseph Barabino
  - [Joseph.barabino@downstate.edu](mailto:Joseph.barabino@downstate.edu)
- ▶ Sharon Levine–Sealy
  - [Sharon.levine-sealy@downstate.edu](mailto:Sharon.levine-sealy@downstate.edu)
- ▶ Elliot Feder
  - [Elliot.feder@downstate.edu](mailto:Elliot.feder@downstate.edu)