



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 !

Ask.com x PA-16-160: NIH Research P... x +

grants.nih.gov/grants/guide/pa-files/PA-16-160.html

Most Visited SUNY RF - RF For SUNY Subrecipient Monitori...

Due Dates for E.O. 12372 Not Applicable

Required Application Instructions

It is critical that applicants follow the instructions in the [SF424 \(R&R\) Application Guide](#), except where instructed to do otherwise (in this FOA or in a Notice from the [NIH Guide for Grants and Contracts](#)). Conformance to all requirements (both in the Application Guide and the FOA) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in [Section IV](#). When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions. **Applications that do not comply with these instructions may be delayed or not accepted for review.**

There are several options to submit your application to the agency through Grants.gov. You can use the ASSIST system to prepare, submit and track your application online. You can download an application package from Grants.gov, complete the forms offline, submit the completed forms to Grants.gov and track your application in eRA Commons. Or, you can use other institutional system-to-system solutions to prepare and submit your application to Grants.gov and track your application in eRA Commons. [Learn more.](#)

[Apply Online Using ASSIST](#) [Apply Using Downloadable Forms](#) ←

Problems accessing or using ASSIST should be directed to the [eRA Service Desk](#).
Problems downloading forms should be directed to [Grants.gov Customer Support](#).

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 - [Section IV. Application and Submission Information](#)
 - [Section V. Application Review Information](#)
 - [Section VI. Award Administration Information](#)
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Part 2. Full Text of Announcement

Section I. Funding Opportunity Description

The NIH Research Project Grant supports a discrete, specified, circumscribed project in scientific areas that represent the investigators' specific interests and competencies and that fall within the mission of the participating NIH Institutes and Centers (ICs). The R01 is the original, and historically the oldest, grant mechanism used by the NIH to support health-related research and development.

Research grant applications are assigned to participating ICs based on receipt and referral guidelines and many applications are assigned to multiple participating ICs with related research interests. Applicants are encouraged to identify a participating IC that supports their area of research via the [R01 IC-Specific Scientific Interests and Contact](#) website and contact Scientific/Research staff from relevant ICs to inquire about their interest in supporting the proposed research project.

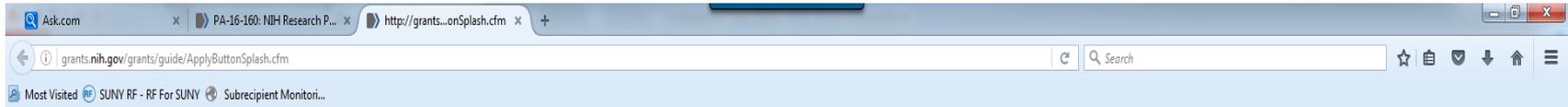
For specific information about the mission of each NIH IC, visit the [List of NIH Institutes, Centers, and Offices](#) website.

Applicants should note that some ICs (please see the [Related Notices](#) section above) do not accept applications proposing a clinical trial through this funding opportunity announcement. If the proposed research project includes an NIH-defined [clinical trial](#) that would be assigned to one of these ICs, applicants are advised to contact relevant [Scientific/Research staff](#) to discuss alternative mechanisms of support of these studies.

See [Section VIII. Other Information](#) for award authorities and regulations.

Section II. Award Information

Continue to follow the links...



Important Note for All Applicants:

Applicants MUST Follow ALL Application Guidance

Conformance to all instructions documented in the following is required and strictly enforced:

- Funding Opportunity Announcement
 - Pay special attention to FOA-specific notices in the Related Notices section and to FOA-specific requirements in section IV
- Policy notices in the [NIH Guide for Grants and Contracts](#)
- [Application guides and supplemental instructions](#)

Registrations in Multiple Federal Systems are Required to Submit

See [Registrations](#) for details.

All registrations must be completed and active to apply. [System for Award Management](#) (SAM) registration must be renewed annually. We urge you to complete all registrations and renewals as soon as possible.



Proceed to [Grants.gov](#) to Download Application

Continue to follow the links...

The screenshot shows the Grants.gov website interface. At the top, there is a search bar with the text "Grant Opportunities" and a "GO" button. Below the search bar is a navigation menu with links for HOME, LEARN GRANTS, SEARCH GRANTS, APPLICANTS, GRANTORS, SYSTEM-TO-SYSTEM, FORMS, OUTREACH, and SUPPORT. The main content area is titled "VIEW GRANT OPPORTUNITY" and displays the following information:

- Logo of the Department of Health and Human Services
- Grant ID: PA-16-160
- Grant Title: NIH Research Project Grant (Parent R01)
- Agency: Department of Health and Human Services, National Institutes of Health

Below this information are tabs for SYNOPSIS, VERSION HISTORY, RELATED DOCUMENTS, and PACKAGE. The PACKAGE tab is active, and it contains a section titled "Select Grant Opportunity Package". A yellow warning box states: "READ BELOW BEFORE YOU APPLY FOR THIS GRANT! Before you can view and complete an application package, you MUST have Adobe Reader installed. Packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader. If more than one person is working on the application package, ALL applicants must be using the same software version. Click for more information on Adobe Reader Compatibility." Below the warning box, there is a table of opportunity packages:

CFDA	Competition ID	Competition Title	Opportunity Package ID	Opening Date	Closing Date	Workspace Compatible	Actions
	FORMS-D	Use for due dates on or after May 25, 2016	PKG00222267	04/17/2016	05/07/2019	Yes	Select Package

A red arrow points to the "Select Package" link in the table. At the bottom of the page, there is a footer with links for "CONNECT WITH US" (Blog, Twitter, YouTube, Alerts, RSS, XML Extract, Get Adobe Reader) and "GRANTS.GOV Applicant Support" (1-800-518-4726, support@grants.gov). The footer also includes links for "HEALTH & HUMAN SERVICES" (HHS.gov, EEOC/No Fear Act, Accessibility, Privacy, Disclaimers, Site Map) and "COMMUNITY" (USA.gov, WhiteHouse.gov, USAspending.gov, SBA.gov, CFDA.gov, SAM.gov, DUNS Request, Report Fraud).

Almost there...

The screenshot shows a web browser window displaying the Grants.gov website. The browser's address bar shows the URL: www.grants.gov/view-opportunity.html?dpp=1&oppId=282652. The Grants.gov logo is at the top left, with the tagline "FIND. APPLY. SUCCEED." and a search bar on the top right. The navigation menu includes: HOME, LEARN GRANTS, SEARCH GRANTS, APPLICANTS, GRANTORS, SYSTEM-TO-SYSTEM, FORMS, OUTREACH, and SUPPORT. The main content area is titled "VIEW GRANT OPPORTUNITY" and features the NIH logo and the following text: "PA-16-160 NIH Research Project Grant (Parent R01) Department of Health and Human Services National Institutes of Health". Below this, there are tabs for SYNOPSIS, VERSION HISTORY, RELATED DOCUMENTS, and PACKAGE. The PACKAGE tab is active, showing a summary of the selected opportunity package. A yellow warning box contains the text: "Please review Applicant FAQs as you prepare and submit your application." Below the warning box, there is a form to provide an email address for notifications. The form includes fields for "Email:" and "Confirm Email:", a checkbox for "No, I do not wish to provide my email address", and a "Submit" button. The footer of the page contains links for "CONNECT WITH US" (Blog, Twitter, YouTube, Alerts, RSS, XML Extract, Get Adobe Reader) and "GRANTS.GOV Applicant Support" (1-800-518-4726, support@grants.gov). The Windows taskbar at the bottom shows the system clock as 12:31 PM on 8/22/2016.

ASK.COM x PA-16-160: NIH Research P... x View Opportunity | GRANT... x

www.grants.gov/view-opportunity.html?dpp=1&oppId=282652

Most Visited SUNY RF - RF For SUNY Subrecipient Monitor...

GRANTS.GOV™
FIND. APPLY. SUCCEED.™

HELP | MANAGE SUBSCRIPTIONS | REGISTER | LOGIN

SEARCH: Grant Opportunities Enter Keyword... GO

HOME LEARN GRANTS SEARCH GRANTS APPLICANTS GRANTORS SYSTEM-TO-SYSTEM FORMS OUTREACH SUPPORT

GRANTS.GOV View Opportunity

VIEW GRANT OPPORTUNITY

PA-16-160
NIH Research Project Grant (Parent R01)
Department of Health and Human Services
National Institutes of Health

Back | Link

SYNOPSIS VERSION HISTORY RELATED DOCUMENTS PACKAGE

Back to Packages | Print Package Details ?

You have chosen the following Opportunity Package:

Funding Opportunity Number – Title: PA-16-160 – NIH Research Project Grant (Parent R01)
Opportunity Package ID: PKG00222267
CFDA:
Competition ID – Title: FORMS-D – Use for due dates on or after May 25, 2016
Agency: Department of Health and Human Services – National Institutes of Health
Opening Date: Apr 17, 2016
Closing Date: May 07, 2019

Please review Applicant FAQs as you prepare and submit your application.

To be notified of any changes to the opportunity package before the closing date, you will need to submit an email address. Your email address will allow us to email you in the event this opportunity package is changed and republished on Grants.gov before its closing date.

Email:
Confirm Email:
 No, I do not wish to provide my email address
Submit

CONNECT WITH US: Blog Twitter YouTube Alerts RSS XML Extract Get Adobe Reader
HEALTH & HUMAN SERVICES: HHS.gov EEOC / No Fear Act Accessibility Privacy Disclaimers Site Map
COMMUNITY: USA.gov WhiteHouse.gov USAspending.gov SBA.gov CFDA.gov SAM.gov DUNS Request Report Fraud

GRANTS.GOV Applicant Support
1-800-518-4726
support@grants.gov

12:31 PM
8/22/2016

Download the Application

Ask.com x PA-16-160: NIH Research P... x View Opportunity | GRANT... x

www.grants.gov/view-opportunity.html?dpp=1&oppId=282652

SEARCH: Grant Opportunities Enter Keyword... GO

GRANTS.GOV™
FIND. APPLY. SUCCEED.™

HOME LEARN GRANTS SEARCH GRANTS APPLICANTS GRANTORS SYSTEM-TO-SYSTEM FORMS OUTREACH SUPPORT

GRANTS.GOV > View Opportunity

VIEW GRANT OPPORTUNITY

PA-16-160
NIH Research Project Grant (Parent R01)
Department of Health and Human Services
National Institutes of Health

« Back | Link

SYNOPSIS VERSION HISTORY RELATED DOCUMENTS PACKAGE

« Back to Packages | Print Package Details ?

You have chosen the following Opportunity Package:

Funding Opportunity Number – Title: PA-16-160 – NIH Research Project Grant (Parent R01)
Opportunity Package ID: PKG0022267
CFDA:
Competition ID – Title: FORMS-D – Use for due dates on or after May 25, 2016
Agency: Department of Health and Human Services – National Institutes of Health
Opening Date: Apr 17, 2016
Closing Date: May 07, 2019

Since you did not subscribe, you will not be notified of any future changes to this Opportunity Package. If you would like to receive notifications please click here.

⚠ Please review [Applicant FAQs](#) as you prepare and submit your application.

Option 1: Download Instructions and Package

Download Instructions and Package by clicking the appropriate button below. Instructions will open directly in your browser and can be saved to your computer. Packages must be saved directly to your computer. You do not need Internet access to read the instructions or the Package once you save them to your computer.

Download Instructions »

Download Package »

Option 2: Create a Grants.gov Workspace

Login to create a Workspace, where your organization's applicants can download, complete, and upload individual forms of an opportunity package.

[Learn more about Workspaces »](#)

Login for Workspace Features »

CONNECT WITH US: Blog Twitter YouTube Alerts RSS XML Extract Get Adobe Reader

HEALTH & HUMAN SERVICES: HHS.gov EEOC / No Fear Act Accessibility Privacy Disclaimers Site Map

COMMUNITY: USA.gov WhiteHouse.gov USAspending.gov SBA.gov CFDA.gov SAM.gov DUNS Request Report Fraud

GRANTS.GOV Applicant Support
1-800-518-4726
support@grants.gov

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8/22/2016

The Application...

appPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

File Edit View Document Comments Forms Tools Advanced Window Help

Create Combine Collaborate Secure Sign Forms Multimedia Comment

1 / 9 198% Find

Grant Application Package

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: 05/07/2019 ←

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:

12:41 PM 8/22/2016

... Cover page

The screenshot displays the Adobe Acrobat Pro interface with a PDF document titled "oppPA-16-160-cidFORMS-D.pdf". The document content is a "Grant Application Package" from GRANTS.GOV. The form includes the following fields:

- Opportunity Title:** NIH Research Project Grants (Parent R01)
- Offering Agency:** National Institutes of Health
- CFDA Number:** [Empty field]
- CFDA Description:** [Empty field]
- Opportunity Number:** PA-16-160
- Competition ID:** PGRMS-D
- Opportunity Open Date:** 04/17/2016
- Opportunity Close Date:** 08/07/2016
- Agency Contact:** eRA Service Desk, Monday to Friday 7 am to 6 pm ET, <http://grants.nih.gov/support/>

Below the form, a note states: "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." An "Application Filing Name" field is present and highlighted in yellow.

The "Select Forms to Complete" section is divided into two categories:

- Mandatory:** Includes links for 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), and PHS 398 Research Plan. Buttons for "Save", "Save & Submit", and "Check Package for Errors" are available.
- Optional:** Includes checkboxes for Research & Related Budget, R & R Subaward Budget Attachment(s) Form 5 YR 30 ATT, PHS 398 Modular Budget, PHS 398 Inclusion Enrollment Report, and PHS Assignment Request Form.

An "Instructions" section with a "Show Instructions >>" link is also present. A final note at the bottom states: "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."

General information, page 1

oppPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

File Edit View Document Comments Forms Tools Advanced Window Help

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2 / 9 80% Find

View Burden Statement

OMB Number: 4045-0001
Expiration Date: 6/30/2016

APPLICATION FOR FEDERAL ASSISTANCE SF 424 (R&R)

3. DATE RECEIVED BY STATE State Application Identifier

1. TYPE OF SUBMISSION
 Pre-application Application Changed/Corrected Application

4. a. Federal Identifier
b. Agency Routing Identifier

2. DATE SUBMITTED Applicant Identifier
c. Previous Grants.gov Tracking ID

5. APPLICANT INFORMATION

Legal Name: Organizational DUNS:

Department: Division:

Street: Street2:

City: County / Parish: Province:

State: Province:

Country: USA: UNITED STATES ZIP / Postal Code:

Person to be contacted on matters involving this application

Prefix: First Name: Middle Name: Last Name: Suffix:

Position/Title: Street: Street2: City: County / Parish: Province: State: Province: Country: USA: UNITED STATES ZIP / Postal Code: Phone Number: Fax Number: Email:

6. EMPLOYER IDENTIFICATION (EIN) or (TIN):

7. TYPE OF APPLICANT: Please select one of the following

Other (Specify):

Small Business Organization Type Women Owned Socially and Economically Disadvantaged

8. TYPE OF APPLICATION:

New Resubmission Renewal Continuation Revision

If Revision, mark appropriate box(es):
 A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration
 E. Other (specify):

Is this application being submitted to other agencies? Yes No What other Agencies?:

9. NAME OF FEDERAL AGENCY:

National Institutes of Health TITLE:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. PROPOSED PROJECT:

Start Date Ending Date

13. CONGRESSIONAL DISTRICT OF APPLICANT

12:58 PM
8/22/2016

General Information, page 2

oppPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

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SF 424 (R&R) APPLICATION FOR FEDERAL ASSISTANCE Page 2

14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION

Prefix: [] First Name: [] Middle Name: []
Last Name: [] Suffix: []
Position/Title: []
Organization Name: []
Department: [] Division: []
Street1: []
Street2: []
City: [] County / Parish: []
State: [] Province: []
Country: [USA: UNITED STATES] ZIP / Postal Code: []
Phone Number: [] Fax Number: []
Email: []

15. ESTIMATED PROJECT FUNDING

a. Total Federal Funds Requested []
b. Total Non-Federal Funds []
c. Total Federal & Non-Federal Funds []
d. Estimated Program Income []

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE: []
b. NO PROGRAM IS NOT COVERED BY E.O. 12372. OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW.

17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

I agree

*The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18. SFLLL (Disclosure of Lobbying Activities) or other Explanatory Documentation

[] Add Attachment Delete Attachment View Attachment

19. Authorized Representative

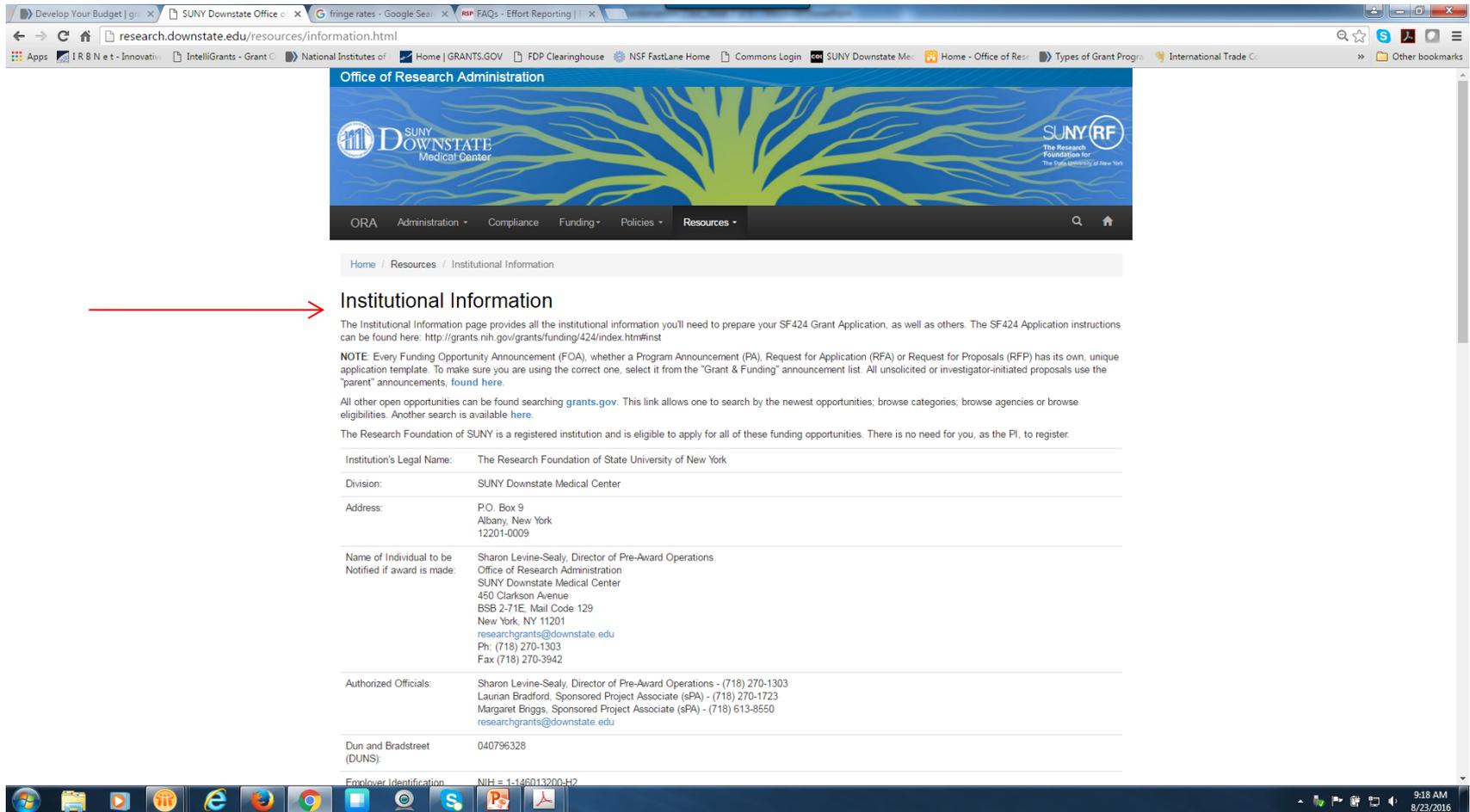
Prefix: [] First Name: [] Middle Name: []
Last Name: [] Suffix: []
Position/Title: []
Organization: []
Department: [] Division: []
Street1: []
Street2: []
City: [] County / Parish: []
State: [] Province: []
Country: [USA: UNITED STATES] ZIP / Postal Code: []
Phone Number: [] Fax Number: []
Email: []

Signature of Authorized Representative [] Date Signed []

Completed on submission to Grants.gov [] Completed on submission to Grants.gov []

1:04 PM 8/22/2016

Where to find grant information?



The screenshot shows a web browser window displaying the SUNY Downstate Office of Research Administration website. The page title is "Office of Research Administration" and the URL is "research.downstate.edu/resources/information.html". The page content includes a navigation menu with "Resources" selected, a breadcrumb trail "Home / Resources / Institutional Information", and a section titled "Institutional Information". A red arrow points to this section. The "Institutional Information" section provides details about the SUNY Downstate Medical Center, including its legal name, division, address, and contact information for Sharon Levine-Sealy, Director of Pre-Award Operations. The page also includes a table with Dun and Bradstreet (DUNS) and Employer Identification (EIN) numbers.

Office of Research Administration

SUNY DOWNSTATE Medical Center

SUNY (RF) The Research Foundation for The State University of New York

ORA Administration Compliance Funding Policies Resources

Home / Resources / Institutional Information

Institutional Information

The Institutional Information page provides all the institutional information you'll need to prepare your SF424 Grant Application, as well as others. The SF424 Application instructions can be found here: <http://grants.nih.gov/grants/funding/424/index.htm#inst>

NOTE: Every Funding Opportunity Announcement (FOA), whether a Program Announcement (PA), Request for Application (RFA) or Request for Proposals (RFP) has its own, unique application template. To make sure you are using the correct one, select it from the "Grant & Funding" announcement list. All unsolicited or investigator-initiated proposals use the "parent" announcements, [found here](#).

All other open opportunities can be found searching [grants.gov](#). This link allows one to search by the newest opportunities; browse categories; browse agencies or browse eligibilities. Another search is available [here](#).

The Research Foundation of SUNY is a registered institution and is eligible to apply for all of these funding opportunities. There is no need for you, as the PI, to register.

Institution's Legal Name:	The Research Foundation of State University of New York
Division:	SUNY Downstate Medical Center
Address:	P.O. Box 9 Albany, New York 12201-0009
Name of Individual to be Notified if award is made:	Sharon Levine-Sealy, Director of Pre-Award Operations Office of Research Administration SUNY Downstate Medical Center 450 Clarkson Avenue BSB 2-71E, Mail Code 129 New York, NY 11201 researchgrants@downstate.edu Ph: (718) 270-1303 Fax (718) 270-3942
Authorized Officials:	Sharon Levine-Sealy, Director of Pre-Award Operations - (718) 270-1303 Laurian Bradford, Sponsored Project Associate (sPA) - (718) 270-1723 Margaret Briggs, Sponsored Project Associate (sPA) - (718) 613-8550 researchgrants@downstate.edu
Dun and Bradstreet (DUNS):	040796328
Employer Identification:	NIH = 1-146013200-H7

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

Cover Page Supplement

oppPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

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Create Combine Collaborate Secure Sign Forms Multimedia Comment

4 / 9 80% Find

PHS 398 Cover Page Supplement OMB Number: 0925-0001
Expiration Date: 10/31/2018

[View Burden Statement](#)

1. Human Subjects Section

Clinical Trial? Yes No

*Agency-Defined Phase III Clinical Trial? Yes No

2. Vertebrate Animals Section

Are vertebrate animals euthanized? Yes No

If "Yes" to euthanasia

Is method consistent with American Veterinary Medical Association (AVMA) guidelines? Yes No

If "No" to AVMA guidelines, describe method and provide scientific justification

3. *Program Income Section

*Is program income anticipated during the periods for which the grant support is requested?

Yes No

If you checked "yes" above (indicating that program income is anticipated), then use the format below to reflect the amount and source(s). Otherwise, leave this section blank.

Budget Period	Anticipated Amount (\$)	Source(s)
<input type="text"/>	<input type="text"/>	<input type="text"/>

4. Human Embryonic Stem Cells Section

*Does the proposed project involve human embryonic stem cells? Yes No

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: <http://stemcells.nih.gov/research/registry/>. Or, if a specific stem cell line cannot be referenced at this time, please check the box indicating that one from the registry will be used:

Specific stem cell line cannot be referenced at this time. One from the registry will be used.

Cell Line(s) (Example: 0004):

<input type="text"/>

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Cover Page Supplement (cont.)

oppPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

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Find

PHS 398 Cover Page Supplement

5. Inventions and Patents Section (RENEWAL) ←

*Inventions and Patents: Yes No

If "Yes" then answer the following:

*Previously Reported: Yes No

6. Change of Investigator / Change of Institution Section ←

Change of Project Director / Principal Investigator

Name of former Project Director/Principal Investigator:

Prefix:

*First Name:

Middle Name:

*Last Name:

Suffix:

Change of Grantee Institution

*Name of former institution:

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Other Project Information

oppPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

File Edit View Document Comments Forms Tools Advanced Window Help

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RESEARCH & RELATED Other Project Information OMB Number: 4040-0001
Expiration Date: 6/30/2016

1. Are Human Subjects Involved? Yes No

1.a. If YES to Human Subjects

Is the Project Exempt from Federal regulations? Yes No

If yes, check appropriate exemption number: 1 2 3 4 5 6

If no, is the IRB review Pending? Yes No

IRB Approval Date:

Human Subject Assurance Number:

2. Are Vertebrate Animals Used? Yes No

2.a. If YES to Vertebrate Animals

Is the IACUC review Pending? Yes No

IACUC Approval Date:

Animal Welfare Assurance Number:

3. Is proprietary/privileged information included in the application? Yes No

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment? Yes No

4.b. If yes, please explain:

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? Yes No

4.d. If yes, please explain:

5. Is the research performance site designated, or eligible to be designated, as a historic place? Yes No

5.a. If yes, please explain:

6. Does this project involve activities outside of the United States or partnerships with international collaborators? Yes No

6.a. If yes, identify countries:

6.b. Optional Explanation:

7. Project Summary/Abstract

8. Project Narrative

9. Bibliography & References Cited

10. Facilities & Other Resources

11. Equipment

12. Other Attachments

1:13 PM 8/22/2016

Performance site locations

oppPA-16-160-cidFORMS-D.pdf - Adobe Acrobat Pro

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7 / 9 80% Find

View Burden Statement OMB Number: 4040-0010
Expiration Date: 9/30/2016

Project/Performance Site Location(s)

I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Project/Performance Site Primary Location

Organization Name: [Redacted]

DUNS Number: [Redacted] ←

* Street1: [Redacted]

Street2: [Redacted]

* City: [Redacted] County: [Redacted]

* State: [Redacted]

Province: [Redacted]

* Country: USA: UNITED STATES

* ZIP / Postal Code: [Redacted] * Project/Performance Site Congressional District: [Redacted]

Project/Performance Site Location 1

I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: [Redacted]

DUNS Number: [Redacted]

* Street1: [Redacted]

Street2: [Redacted]

* City: [Redacted] County: [Redacted]

* State: [Redacted]

Province: [Redacted]

* Country: USA: UNITED STATES

* ZIP / Postal Code: [Redacted] * Project/Performance Site Congressional District: [Redacted]

Delete Entry → Next Site

Additional Location(s) [Redacted] [Add Attachment] [Delete Attachment] [View Attachment]

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Senior/Key Person Profile

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8 / 9 80% Find

OMB Number: 4040-0001
Expiration Date: 6/30/2016

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator

Prefix: * First Name: Middle Name:
* Last Name: Suffix:
Position/Title: Department:
Organization Name: Division:
* Street1:
Street2:
* City: County/Parish:
* State: Province:
* Country: * Zip / Postal Code:
* Phone Number: Fax Number:
* E-Mail:
Credential, e.g., agency login:
* Project Role: Other Project Role Category:
Degree Type:
Degree Year:
* Attach Biographical Sketch
Attach Current & Pending Support

PROFILE - Senior/Key Person 1

Prefix: * First Name: Middle Name:
* Last Name: Suffix:
Position/Title: Department:
Organization Name: Division:
* Street1:
Street2:
* City: County/Parish:
* State: Province:
* Country: * Zip / Postal Code:
* Phone Number: Fax Number:
* E-Mail:
Credential, e.g., agency login:
* Project Role: Other Project Role Category:
Degree Type:
Degree Year:
Attach Biographical Sketch
Attach Current & Pending Support

To ensure proper performance of this form; after adding 20 additional Senior/Key Persons; please save your application, close the Adobe

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8/22/2016

The Biosketch

biосketch-sample-Forms-D (1) (Protected View) - Microsoft Word

Protected View This file originated from an Internet location and might be unsafe. Click for more details. Enable Editing

BIOGRAPHICAL SKETCH
DO NOT EXCEED FIVE PAGES

NAME: Hunt, Morgan Casey
eRA COMMONS USER NAME (credential, e.g., agency login): huntmc

POSITION TITLE: Associate Professor of Psychology

EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing; include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date (MM/YYYY)	FIELD OF STUDY
University of California, Berkeley	B.S.	05/1999	Psychology
University of Vermont	Ph.D.	05/1996	Experimental Psychology
University of California, Berkeley	Postdoctoral	03/1998	Public Health and Epidemiology

A. Personal Statement

I have the expertise, leadership, training, expertise and motivation necessary to successfully carry out the proposed research project. I have a broad background in psychology, with specific training and expertise in ethnographic and survey research and secondary data analysis on psychological aspects of drug addiction. My research includes neurobiological changes associated with addiction. As PI or co-investigator on several university- and NIH-funded grants, I laid the groundwork for the proposed research by developing effective measures of disability, depression, and other psychosocial factors relevant to the aging substance abuser, and by establishing strong ties with community providers that will make it possible to recruit and track participants over time as documented in the following publications. In addition, I successfully administered the projects (e.g., staffing, research protections, budget), collaborated with other researchers, and produced several peer-reviewed publications from each project. As a result of these previous experiences, I am aware of the importance of frequent communication among project members and of constructing a realistic research plan, timeline, and budget. The current application builds logically on my prior work. During 2005-2006 my career was disrupted due to family obligations; however, upon returning to the field, I immediately resumed my research projects and collaborations and successfully competed for NIH support.

- Merryle, R. J. & Hunt, M. C. (2004). Independent living, physical disability and substance abuse among the elderly. *Psychology and Aging*, 23(4), 10-22.
- Hunt, M. C., Jensen, J. L. & Crenshaw, W. (2007). Substance abuse and mental health among community-dwelling elderly. *International Journal of Geriatric Psychiatry*, 24(9), 1124-1135.
- Hunt, M. C., Wachesa, S.A. & Merryle, R. (2008). Predicting the substance-abuse treatment needs of an aging population. *American Journal of Public Health*, 45(2), 236-245. PMID: PMC916232 Hunt, M. C., Newlin, D. B. & Fallesen, D. (2005). Brain imaging in methamphetamine abusers across the lifespan. *Gerontology*, 46(3), 122-145.

B. Positions and Honors

Positions and Employment

- 1999-2000 Fellow, Division of Intramural Research, National Institute of Drug Abuse, Bethesda, MD
- 2003-2002 Lecturer, Department of Psychology, Middlebury College, Middlebury, VT
- 2001- Consultant, Coastal Psychological Services, San Francisco, CA
- 2002-2005 Assistant Professor, Department of Psychology, Washington University, St. Louis, MO
- 2007- Associate Professor, Department of Psychology, Washington University, St. Louis, MO

Other Experience and Professional Memberships

- 1995- Member, American Psychological Association
- 1995- Member, Gerontological Society of America
- 1995- Member, American Geriatrics Society
- 2005- Associate Editor, *Psychology and Aging*
- 2005- Board of Advisors, Senior Services of Eastern Missouri
- 2003-06 NIH Peer Review Committee, *Psychology of Aging*, ad hoc reviewer
- 2007-11 NIH Risk, Adult Addictions Study Section, members

Honors

- 2003 Outstanding Young Faculty Award, Washington University, St. Louis, MO
- 2004 Excellence in Teaching, Washington University, St. Louis, MO
- 2009 Award for Best in Interdisciplinary Ethnography, International Ethnographic Society

C. Contributions to Science

- My early publications directly addressed the fact that substance abuse is often overlooked in older adults. However, because many older adults were raised during an era of increased drug and alcohol use, there are reasons to believe that this will become an increasingly serious problem as the population ages. These publications found that older adults appear in a variety of primary care settings or seek mental health providers to deal with emerging addiction problems. These publications document this emerging problem but guide primary care providers and geriatric mental health providers to recognize symptoms, assess the nature of the problem and apply the necessary interventions. By providing evidence and simple clinical approaches, this body of work has changed the standards of care for addicted older adults and will continue to provide assistance to relevant medical settings well into the future. I served as the primary investigator or co-investigator in all of these studies:
 - Goyczynski, J., Shaft, B.M., Merryle, R., & Hunt, M.C. (2002). Community-based participatory research with late-life addicts. *American Journal of Alcohol and Drug Abuse*, 15(3), 222-236.
 - Shaft, B.M., Hunt, M.C., Merryle, R., & Venturi, R. (2005). Policy implications of genetic transmission of alcohol and drug abuse in female twins. *International Journal of Drug Policy*, 30(5), 46-58.
 - Hunt, M.C., Marks, A.E., Shaft, B.M., Merryle, R., & Jensen, J.L. (2004). Early-life family and community characteristics and late-life substance abuse. *Journal of Applied Gerontology*, 28(2), 26-37.
 - Hunt, M.C., Marks, A.E., Venturi, R., Crenshaw, W., & Ratonian, A. (2007). Community-based intervention strategies for reducing alcohol and drug abuse in the elderly. *Addiction*, 104(9), 1436-1456. PMID: PMC300392.
- In addition to the contributions described above, with a team of collaborators, I directly documented the effectiveness of various intervention models for older substance abusers and demonstrated the importance of social support networks. These studies emphasized contextual factors in the etiology and maintenance of addictive disorders and the disruptive potential of networks in substance abuse treatment. This body of work also discusses the prevalence of alcohol, amphetamine, and opioid abuse in older adults and how networking approaches can be used to mitigate the effects of these disorders.
 - Hunt, M. C., Merryle, R. & Jensen, J. L. (2005). The effect of social support networks on morbidity among elderly substance abusers. *Journal of the American Geriatrics Society*, 53(4), 15-23.
 - Hunt, M. C., Four, B., Marks, A.E., Merryle, R. & Jensen, J.L. (2005). Aging out of methadone treatment. *American Journal of Alcohol and Drug Abuse*, 15(6), 134-145.

D. Additional Information: Research Support and/or Scholarly Performance

Ongoing Research Support

- ROT DAS42567 Hunt (PI) 09/01/08-09/31/16 Health trajectories and behavioral interventions among older substance abusers The goal of this study is to compare the effects of two substance abuse interventions on health outcomes in an urban population of older opiate addicts. Role: PI
- R01 MH522731 Merryle (PI) 12/15/07-11/30/15 Physical disability, depression and substance abuse in the elderly The goal of this study is to identify disability and depression trajectories and demographic factors associated with substance abuse in an independently-living elderly population. Role: Co-investigator
- Faculty Resources Grant, Washington University 08/15/09-08/14/15 Opioid Addiction Database The goal of this project is to create an integrated database of demographic, social and biomedical information for homeless opiate abusers in two urban Midwestern locations, using a number of state and local data sources. Role: PI

Completed Research Support

- R21 AA688075 Hunt (PI) 01/01/11-12/31/13 Community-based intervention for alcohol abuse The goal of this project was to assess a community-based strategy for reducing alcohol abuse among older individuals. Role: PI

Complete List of Published Work in My Bibliography:
<http://www.ncbi.nlm.nih.gov/pubmed/16761676> [PubMed] 16774764 [PubMed] 16761676 [PubMed] 20070404 [PubMed] 16761676 [PubMed] 16761676 [PubMed]

Complete List of Published Work in My Bibliography:
<http://www.ncbi.nlm.nih.gov/pubmed/16761676> [PubMed] 16774764 [PubMed] 16761676 [PubMed] 20070404 [PubMed] 16761676 [PubMed] 16761676 [PubMed]

Page: 1 of 3 Words: 1,337 60% 6:59 PM 8/23/2016

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

Research Plan

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[View Burden Statement](#) **PHS 398 Research Plan** OMB Number: 0925-0001
Expiration Date: 10/31/2018

Introduction

1. Introduction to Application (Resubmission and Revision) [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

Research Plan Section

2. Specific Aims [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

3. *Research Strategy [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

4. Progress Report Publication List [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

Human Subjects Section

5. Protection of Human Subjects [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

6. Data Safety Monitoring Plan [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

7. Inclusion of Women and Minorities [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

8. Inclusion of Children [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

Other Research Plan Section

9. Vertebrate Animals [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

10. Select Agent Research [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

11. Multiple PD/PI Leadership Plan [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

12. Consortium/Contractual Arrangements [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

13. Letters of Support [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

14. Resource Sharing Plan(s) [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

15. Authentication of Key Biological and/or Chemical Resources [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

Appendix

16. Appendix: [Add Attachments](#) [Delete Attachments](#) [View Attachments](#)

Authentication of Key Biological and/or Chemical Resources
- Add Attachment:
Attach PDF formatted file. See funding opportunity announcement and agency-specific instructions for additional guidance.

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The end

...

Just kidding!

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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: PCPMS-D

Opportunity Open Date: 04/17/2016

Opportunity Close Date: 08/07/2016

Agency Contact: eRA Service Desk Monday to Friday 7 am to 6 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](#)

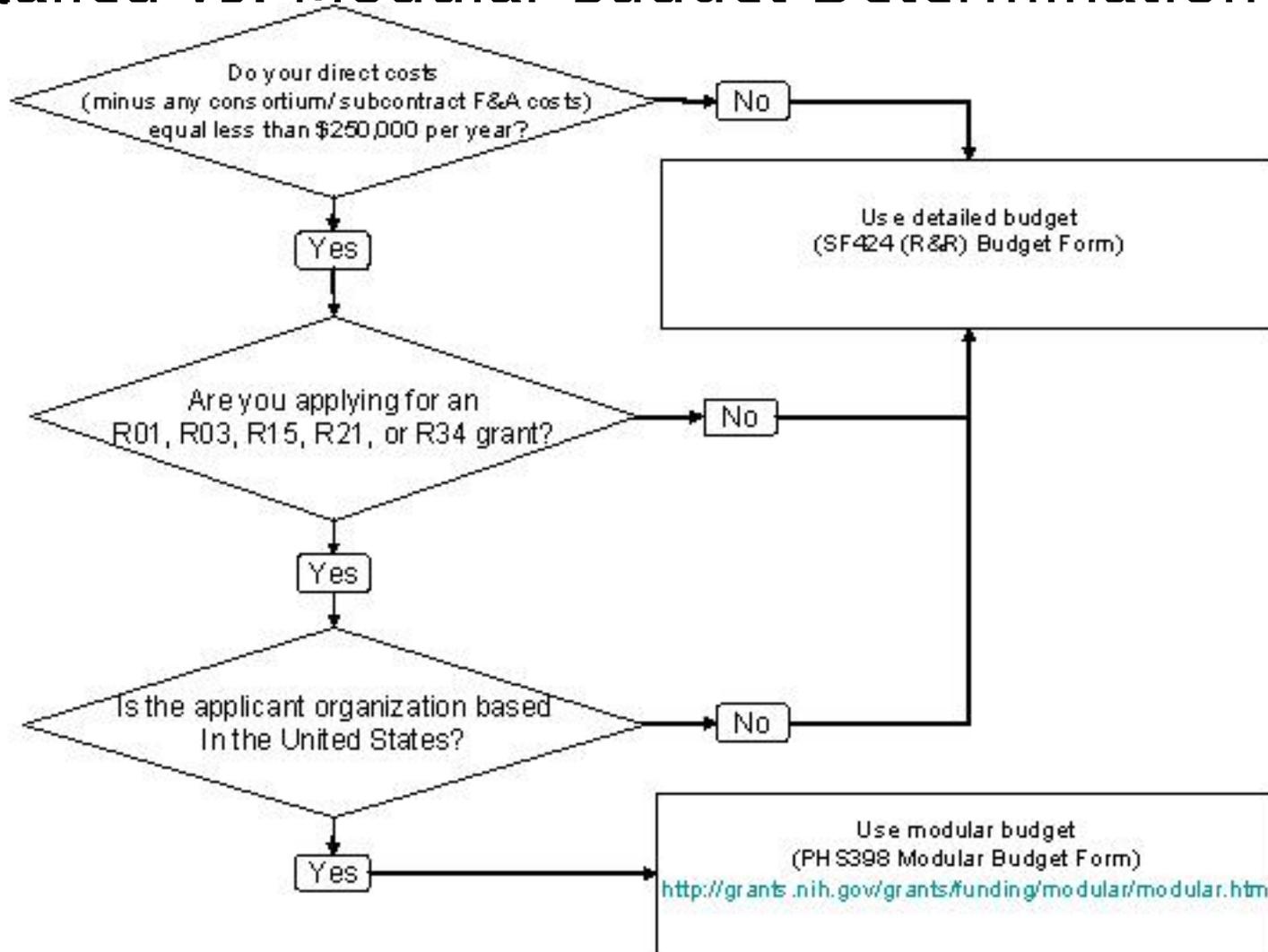
Instructions

[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.

12:46 PM 8/22/2016

Detailed vs. Modular Budget Determination



Internal Budget Template

Submission-Budget - Microsoft Excel

File Home Insert Page Layout Formulas Data Review View Add-Ins Acrobat

A15

DMC Budget Template Fiscal Year is July 1 - June 30

Rate	FY16	FY17	FY18	FY19	FY20	FY21	FY22	# FY16 Months in YR	YR 1	YR 2	YR 3	YR 4	YR 5
F&A	61.50%	61.50%	61.50%	61.50%	61.50%	61.50%	61.50%	3	61.50%	61.50%	61.50%	61.50%	61.50%
Fringe Benefit-RF	44.00%	45.50%	48.50%	47.50%	49.00%	49.00%	49.00%	9					
Fringe Benefit-State	53.58%	54.81%	58.50%	58.18%	60.41%	60.41%	60.41%	12					

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	Sal Req	F/B	Total	Year 01	Year 02	Year 03	Year 04	Year 05
PI	0.00	0.00%	123,999	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
Investigator	0.00	0.00%	171,200	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
Study Coordinator	0.00	0.00%	62,000	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
Postdoc	0.00	0.00%	56,000	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
TBH	0.00	0.00%	21,000	0	0	0	0	0	0	0	0	0

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

Total Salary & Fringe

OTPS:	Unit Price	Quantity	How Often
Patient Care Costs (include Ancillary tests, exclude professional fees)	0	0	0
Subject Travel	0	0	0
Subject Remuneration	0	0	0
Tuition	0	0	0
Equipment	0	0	0
Travel/Meetings	0	0	0
Animals costs	0	0	0
Supplies	0	0	0
Publication Costs	0	0	0
Consultant Services	0	0	0
Subcontracts	0	0	0
Equipment Rental/User Fees	0	0	0
Alterations/Renovations	0	0	0
Other Expenses	0	0	0
Total OTPS	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 Year
- 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 for each subcontract per institution

Ready Sheet1 Sheet2 Sheet3

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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

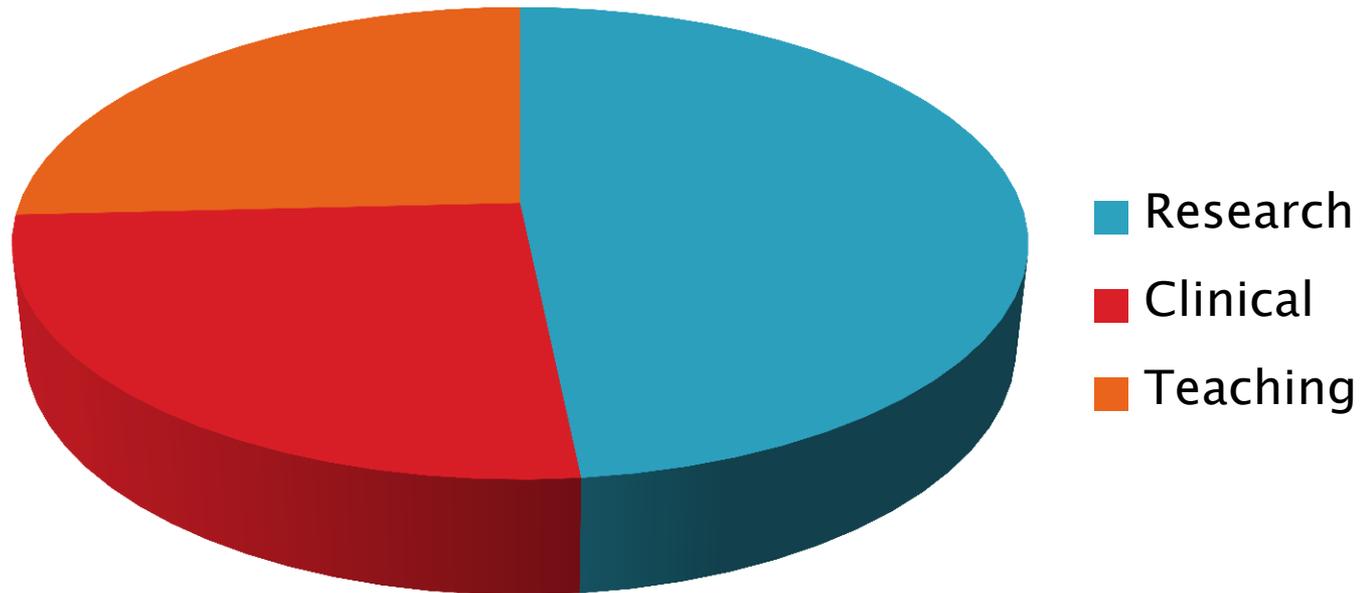
- ▶ Salary and Fringe
- ▶ Consultants
- ▶ Equipment & Supplies
- ▶ Animals
- ▶ Travel
- ▶ Consortium / Subawards
- ▶ Patient Care Costs
- ▶ Other Costs, includes:
 - Study Subject Costs
 - Pharmacy
 - Publication costs
 - Advertising
 - Professional Fees
- ▶ Facilities & Administrative (F&A)

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

Overall 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>

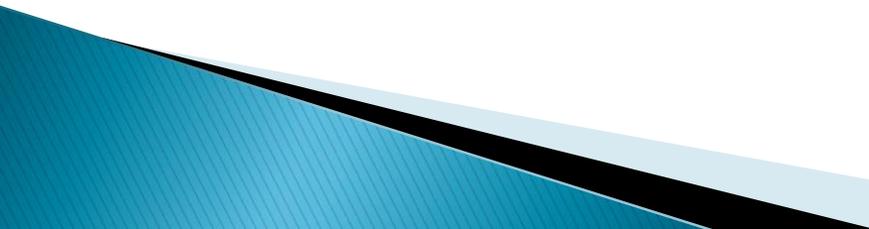
Consulting Costs

- ▶ 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 serve 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

RF-Subrecipient-vs.-Contractor-Decision-Tree.pdf - Adobe Acrobat Pro
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Create Combine Collaborate Secure Sign Forms Multimedia Comment

1 / 2 Find

SUNY RF
The Research Foundation for
The State University of New York

Subrecipient vs. Contractor Decision Tree

```
graph TD; Q1[Are funds being paid to an organization or business (entity) rather than to an individual?]; Q1 -- Yes --> Q2[Is the entity contributing to the scholarly and/or scientific conduct of the project?]; Q1 -- No --> C1[CONTRACTOR - Process through Purchasing using an Employer ID# (EIN) or as a Consultant using a Social Security number.]; Q2 -- No --> C2[CONTRACTOR - Process through Purchasing]; Q2 -- Yes --> Q3[Does the entity's portion of the project require use of discretion and unique expertise or does the entity have responsibility for programmatic decision making?]; Q3 -- No --> C3[CONTRACTOR - Process through Purchasing]; Q3 -- Yes --> Q4[Does the entity provide similar goods or services that are within their normal business operations to many different purchasers?]; Q4 -- No --> C4[CONTRACTOR - Process through Purchasing]; Q4 -- Yes --> Q5[Must the RF Project Director verify the entity's satisfactory performance before payment is made?]; Q5 -- No --> C5[CONTRACTOR - Process through Purchasing]; Q5 -- Yes --> S1[SUBRECIPIENT - should be paid via a subaward agreement];
```

Final decision: _____ Date: _____
Signature of Reviewer: _____ Printed Name: _____

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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

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RESEARCH & RELATED BUDGET - Budget Period 1 Delete Period OMB Number: 4040-0001
Expiration Date: 6/30/2016

ORGANIZATIONAL DUNS: Enter name of Organization:

Budget Type: Project Subaward/Consortium Budget Period: 1 Start Date: End Date:

A. Senior/Key Person

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
<input checked="" type="checkbox"/>											

Project Role:

←

Additional Senior Key Persons: Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates						
<input type="text"/>	Graduate Students						
<input type="text"/>	Undergraduate Students						
<input type="text"/>	Secretarial/Clerical						
<input checked="" type="checkbox"/>							

←

Total Number Other Personnel

Total Other Personnel
Total Salary, Wages and Fringe Benefits (A+B)

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8/22/2016

Budget ... Equipment, Travel & Participant Support Costs

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11 / 13 100% Find

C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

Equipment Item	Funds Requested (\$)
<input type="text"/>	<input type="text"/>
<input type="button" value="Add Additional Equipment"/>	
Additional Equipment: <input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Total funds requested for all equipment listed in the attached file <input type="text"/>	
Total Equipment <input type="text"/>	

D. Travel

	Funds Requested (\$)
1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)	<input type="text"/>
2. Foreign Travel Costs	<input type="text"/>
Total Travel Cost	<input type="text"/>

E. Participant/Trainee Support Costs

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input type="text"/>
2. Stipends	<input type="text"/>
3. Travel	<input type="text"/>
4. Subsistence	<input type="text"/>
5. Other <input type="text"/>	<input type="text"/>
<input type="text"/> Number of Participants/Trainees	
Total Participant/Trainee Support Costs	<input type="text"/>

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Budget ... Other Direct Costs (plus our Indirect)

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F. Other Direct Costs				Funds Requested (\$)
1.	Materials and Supplies			
2.	Publication Costs			
3.	Consultant Services			
4.	ADP/Computer Services			
5.	Subawards/Consortium/Contractual Costs			
6.	Equipment or Facility Rental/User Fees			
7.	Alterations and Renovations			
8.				
9.				
10.				
Total Other Direct Costs				

G. Direct Costs			Funds Requested (\$)
Total Direct Costs (A thru F)			

H. Indirect Costs			
Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
Add Additional Indirect Cost			
Total Indirect Costs			

Cognizant Federal Agency (Agency Name, POC Name, and POC Phone Number)

I. Total Direct and Indirect Costs		Funds Requested (\$)
Total Direct and Indirect Institutional Costs (G + H)		

J. Fee		Funds Requested (\$)

K. Budget Justification

(Only attach one file.)

Add Attachment Delete Attachment View Attachment

Add Period

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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
- 

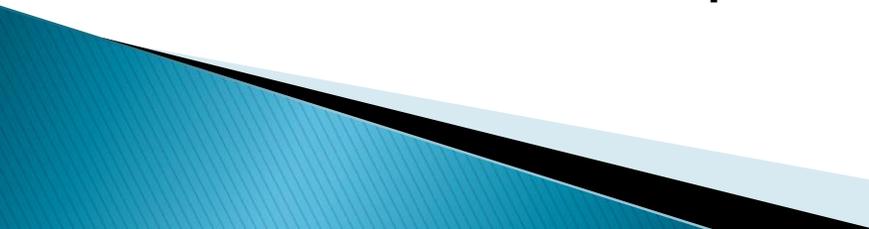
Other grant budgets...

- ▶ 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
- 

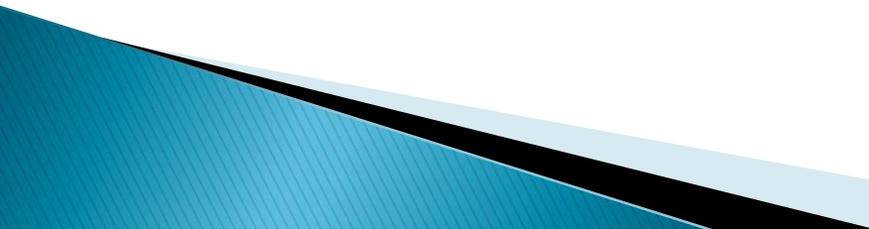
Financial Conflict of Interest

- ▶ "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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