

Sponsored Program Guide

Institutional Review Board, Grants Management, Post Award Finance

Campus Research Foundation Operations Manager – Stewart Bloomfield – x5532

Dean for Academic Affairs - David Troilo – x5541

Director, Clinical Vision Research Center - Kathryn Richdale – x4165

Director of Sponsored Programs – Eric Samonte – x4159

Associate Vice President for Administration and Finance- Marcel Catafago – x5670

(20 July 2016)

07.20.2016

Information for sponsored programs

Purpose and Requirement for Review

- This office will ensure compliance with SUNY and college guidelines, Federal and State regulations and budgetary issues, including overhead cost recovery (F&A) and salary offset. Appropriate official signatures (or electronic sign off) will be obtained after the proposal is reviewed for adherence with the guidelines and policies. All applications must be reviewed prior to submission. Use the Research Authorization Form to obtain authorization to do any research at the College.
- Contact RF Operations Manager for authorization to complete sponsored or non-sponsored research.
- Contact the Clinical Vision Research Center for clinical studies, sponsored or not.
- The Research Foundation for SUNY is the recipient of all sponsored program awards. SUNY College of Optometry does not receive nor does it hold the funds of sponsored programs. The Research Foundation monitors finance issues and provides services related to pre and post award management, intellectual property and provides general support for all sponsored programs.
- Only institutional officials are authorized to sign grant proposals and contracts that are binding for the Institution. Investigators and department heads do not have this authority.
- The RF Operations Manager provides final approval for all applications for extramural funding.

General Requirements:

- **Signatures:** Authorization to submit a proposal for sponsored research will be obtained based on the summary of the project as presented in the Research Authorization Form. ([RAF](#))
Investigators are not authorized to sign on behalf of the Institution.
- **F&A and Fringe Rates:** Please confer with the Sponsored Programs Office to confirm indirect cost and fringe benefit rates prior to preparing a proposal. ([Link](#))
- **Submission Deadline:** Submit a full copy of the completed proposal **no later than 5 business days** before the application due date to ensure proper processing and compliance with due date requirements. The Sponsored Program Office can assist with budget development and administrative aspects of the proposal. Contact the Clinical Vision Research Center for all clinical studies. The *Research Authorization Form (RAF)* and the *Disclosure of Financial Conflict of Interest* forms are required prior to submission of the application to the sponsor. NIH Program Projects must be submitted at least 21 days in advance and discussions with the Dean for Academic Affairs. This office should be included well in advance of the due date.
- **Budget Requirements:** All applications require a budget. NIH modular applications require a detailed budget for internal review and financial management. Clinical budgets must have a budget for sponsor review and corresponding budget for salary and other expenses for internal review, as well as clinic release time authorization.
- **Compliance with IRB, IACUC and Other Rules and Policies:** Use of human subjects requires IRB approval. Use of animals requires IACUC approval. Animals may not be purchased without IACUC approval. Bio- or chemical hazards must have EH&S approval. All conflicts of interest must be disclosed.
- **Salary Offset:** All faculties assigned to state services and supported by state salaries should include a request for salary and fringe benefit offset. The goal is to have research time paid for by salary offset although the institution does not require more than 30% salary offset for research effort.

Guide to Sponsored Programs

PRE-AWARD Issues:

Applications for external support require institutional approval. Investigators must complete the Research Authorization Form (RAF)

The form is located on the Policies and Procedures [page](#).

This provides basic information on the project in order to obtain approval to submit the application. This form contains the Disclosure of Conflict of Interest Form. The Grant Administrator will not submit the application to sponsor without appropriate sign-off. Required signatures include the PI's supervisor/Department Chair, the Dean and Vice President for Academic Affairs and the authorized representative for the SUNY Research Foundation, the RF Operations Manager.

Research Involving Human Subjects

All research involving human subjects, conducted under the auspices of the College of Optometry, must be approved by the Institutional Review Board (IRB). <http://www.sunyopt.edu/research/policies-and-requirements>
Contact Suzan McGovern for clinical research issues and procedures (212-938-5535)
Only the IRB chair may put research into the exempt category or authorize expedited review:

Exempt Studies require that:

- (1) The program under study must deliver a public benefit or service.
- (2) The research or demonstration project must be conducted pursuant to specific federal statutory authority.
- (3) There must be no statutory requirement that the project be reviewed by an Institutional Review Board (IRB).
- (4) The project must not involve significant physical invasions or intrusions upon the privacy of participants.

Applicability of expedited review will be determined by the IRB chair.

Research Involving Animals – Animal Care Facility

All research or teaching involving the use of animals conducted under the auspices of the College of Optometry must have approval of the Institutional Animal Care and Use Committee (IACUC). Animal care and use budgets must be reviewed with the Biological Research Facility Manager (Xiomara Santiago x5895).

Additional information is here: <http://www.sunyopt.edu/research/policies-and-requirements>

Research Involving Biohazard Agents or Chemicals, Including Select Agents

All research must comply fully with NIH/CDC biosafety regulations for recombinant DNA research, infectious agents, lasers and hazardous chemicals. All studies involving hazardous materials must provide a safety plan and be authorized by the Environmental Health and Safety officer. Contact Ms. Gaea Austin – x5581.

Responsible Conduct in Research

All investigators are required to disclose any potential financial conflict of interest on all research programs. The comprehensive policy can be found on the Research Foundation website:

Research Ethics Training requirements are here: <http://www.sunyopt.edu/research/policies-and-requirements-ethicstraining>

All students, postdocs and staff engaged in research are required to complete the Responsible Conduct of Research training module.

Consult the CVRC for training requirements.

Disclosure of Financial Conflict of Interest is found on the link below:
http://www.sunyopt.edu/research/policies-and-requirements/fcoi_form

Guide to Sponsored Programs

Assurance and Entity Identification numbers and information

| | |
|--|--|
| Federal Wide Assurance Number for Human Subjects Approvals | FWA00001460 – For SF424 use 00001460 Expires: 03/11/2021; Dated: 03/11/2016 |
| Animal Research – IACUC PHS Assurance No. on Humane Care and Use of Animals | A4329-01 |

| | | |
|--|---|---------------------------------------|
| Legal Name (SF424 item 5): | Research Foundation for SUNY | |
| Address: | Box 9, Albany, NY 12201-0009 | |
| Organization DUNS (SF424 item 5): | 152652764 | |
| EIN number (SF424 item 6): | 14-1368361 (NIH: 1-146013200-L7) | |
| Type of Applicant (SF424 item 7): | Other (X) (Specifically - Non profit educational corporation) | |
| Entity Type: | Corporate | |
| State of Incorporation: | New York | |
| Congressional District (SF424 item 14): | NY-014 | |
| CCR Cage and MPIN Numbers: | 3GPT5 and MPIN 580RESEAR | |
| NAICS (North American Industry Classification) code: | 541720 | NY State VENDOR ID: 1000013735 |
| SIC – Standard Industrial Code: | 8733 – Non-Commercial Research Organization | |
| NIH Institutional Profile Number (IPF) | 5992605 | |
| For NIH: To be notified if an award is made | Regina Buschmann, PO Box 9, Albany, NY 12207-0009 Phone: (518) 434-7141 Email: AWARDS@RFSUNY.EDU | |

Additional assurances can be found on www.rfsuny.org under Sponsored Program Management / Pre-Award: https://portal.rfsuny.org/portal/page/portal/Pre_award/Certifications%20and%20Assurances

Fringe Benefit Rates are available on the RF Website (log in is required) The F&A (Indirect Costs or Overhead) Policy.

Indirect costs cover space utilization costs (e.g. building cost), housekeeping and utilities; services such as payroll, purchasing, accounting and administration. F&A also covers salaries of personnel who provide research related services that cannot be attributed to one specific project. All grant charges must be directly attributable to the project that is charged.

RF Optometry's current indirect cost rate for Federal Research Grants is based on the Rate Agreement dated August 25, 2014 and is 62% of Modified Total Direct Cost (MTDC).

| Description | On Campus | Off Campus | Notes** |
|---|-----------|------------|---|
| F&A and fringe benefit rates | 62% | 29.80% | Click here for the RF website |
| Clinical Trials (Industry Sponsored) | 30%** | | Modified Total Direct Cost |
| Federal Training Grants | | | Or max allowable – often 8% |
| Other Training Grants | | | Or max allowable – often 8% |
| City Grants or Contracts/ Other Sponsored Projects/ Foundations and other Non-Profit Organizations/ Private Gifts and Donations | | | As allowable |

Cognizant Agency info – DHHS: 08/25/2014, Darryl W. Mayes; phone, 212 - 264-2069

Guide to Sponsored Programs

Application Procedure for External Funding

Both Federal and Non-Federal Awards must be approved prior to submission.

Contact the Sponsored Programs Office or the Associate Dean for Graduate Studies and Research to complete the application approval process and to obtain the appropriate “sign off”.

<http://www.sunyopt.edu/research/policies-and-requirements>

Federal New and Competing Applications – General Information

(For all Federal Agencies including NIH and DoD):

- Find FOA (Funding Opportunity Announcement)
Unsolicited: http://grants.nih.gov/grants/guide/parent_announcements.htm
Funding Opportunities: <http://grants.nih.gov/funding/index.htm>
- Download the application package, instructions and full description of the FOA.
- Notify the Associate Dean for Graduate Studies and research and the Sponsored Programs Office of your intent to submit, well in advance of the due date, and provide links to the application package at grants.gov and stipulate the final due date. Final submissions must be provided to the Sponsored Programs Office at least 5 business days in advance so it can be reviewed and amended as required and then uploaded to grants.gov by the Grant Administrator.
- If submitted to grants.gov prior to the due date, the AO (Authorized Certifying Official or Authorized Official Representative) or the SO (Signing Official) can “reject” the assembled application and submit a corrected version for up to 2 days. This is done to address warnings or errors or lost information on submission.
 - Warnings do not stop further processing.
 - NIH may reject applications if it is resubmitted past the two-day period and NIH will not review incomplete applications.
 - Since email can be unreliable, it is up to the PI to check the applications status in the eRA Commons.

POST-AWARD Issues:

Forward Receipt of Funding Award Notice to Sponsored Programs Office

On Receipt of an award notice, any outstanding IRB or IACUC issues need to be resolved. Contact the Chair of the appropriate committee as soon as possible. If your grant is awarded, you must file appropriate paperwork to get your employees (and your IFR salary) charged to the grant – this is not an automatic event. RF will receive funds but will not assign any employee to your grant, until they receive instructions from SUNY Optometry. Generally, H.R. will assist with assignment of staff personnel and the Sponsored Programs Office will assist with PI and personnel requiring IFR/Salary Offset.

Research Foundation documents for assigning personnel to a sponsored program:

- **Person Initiation Form** for a new employee. This is a SUNY internal form to get a new employee into the Oracle/Payroll System. This form will be filled out by personnel, in coordination with the new employee; award information maybe obtained from the Sponsored Programs Office.
- **Employee Assignment Form** for assignment of salary to a grant. Without such, your employee’s salary will not be charged to the new grant/award. Personnel Office will complete this form in coordination with the new hire; award information can be obtained from the Sponsored Programs Office.
- **SUNY IFR/Cost Share Form** for State Employees – typically the PI will fill this out, in coordination with the Sponsored Programs Office, in order to have the grant charged for the PI’s time and effort. Any effort not charged to the grant is the College’s contribution to the study and is therefore cost shared and may be tracked with a Cost Share Award.

Guide to Sponsored Programs

Research Foundation Web Portal

Monitor awards on the Research Foundation Portal (log in is required)

<https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/Login>

Rates to consider, such as F&A and Fringe Benefit rates are listed here:

<http://www.rfsuny.org/Information-For/Rates/F--A-and-Fringe-Benefit-Information-/>

Training opportunities can be found at the RF Learning Center (log in is required)

<https://portal.rfsuny.org/portal/page/portal/Training>

RF YouTube Training Channel

<https://www.youtube.com/user/rfsuny>

RF Report Center (log in is required)

<https://srfapplp03.rfsuny.org/analytics/saw.dll?bieehome>

Guide to Sponsored Programs

Selected NIH Terminology Revisions

As part of the ongoing effort to keep the PHS 398 and the SF424 (R&R) synchronized, new terminology has been implemented by NIH:

| OLD TERM | NEW TERM |
|--|---|
| Competing continuation application | Renewal application |
| Revision or amendment [to application] | Resubmission application |
| Competing supplement | Revision application |
| Principal Investigator | Program Director/Principal Investigator (PD/PI) |
| Key Personnel | Senior/Key Personnel |
| Performance site | Project/Performance site |
| Duly authorized representative | Authorized Organizational Representative |

(Additional information can be found here <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-028.html>)

NIH Late Policy

Late applications are generally not accepted. Permission for a late submission is not granted in advance.

(Additional information can be found here <http://grants.nih.gov/grants/guide/notice-files/not-od-11-035.html>)

Selected NIH Activity Codes

R01 A research grant program to support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing his specific interest and competencies. [More Information](#)

R03 A small research grant program to provide research support specifically limited in time and amount for studies in categorical program areas. Small grants provide flexibility for initiating studies, which are generally for preliminary, short-term projects and are non-renewable. [More Information](#)

R21 An exploratory/developmental research grant award that encourages the development of new research activities in categorical areas. It is intended to encourage exploratory/developmental research projects by providing support for the early and conceptual stages of development. Investigators wishing to apply for an R21 grant should be aware that not all ICs accept investigator-initiated R21 applications. Investigators are strongly encouraged to consult the list of participating ICs and also with the NIH staff contacts. [More Information](#)

P01 A program project/center grant for the support of a broadly based, multidisciplinary, often long-term research program, which has a specific major objective or a basic theme. A program project generally involves the organized efforts of relatively large groups, members of which are conducting research projects designed to elucidate the various aspects or components of this objective. Each research project is usually under the leadership of an established investigator. The grant can provide support for certain basic resources used by these groups in the program, including clinical components, the sharing of which facilitates the total research effort. A program project is directed toward a range of problems having a central research focus, in contrast to the usually narrower thrust of the traditional research project. Each project supported through this mechanism should contribute or be directly related to the common theme of the total research effort. [More Information](#)

(Additional information can be found here http://grants.nih.gov/grants/funding/funding_program.htm#PSeries)

Guide to Sponsored Programs

Informational Web Addresses:

National Institutes of Health

<https://www.nih.gov>

NIH – A Comprehensive Internet Guide: http://grants.nih.gov/grants/internet_guide.htm

Office of Extramural Research (OER): <http://grants.nih.gov/grants/oer.htm>

OER Policy Guide: <http://grants.nih.gov/policy/index.htm>

PHS Grants Policy Statement: <http://grants.nih.gov/policy/index.htm>

NIH Guide: <http://grants.nih.gov/funding/index.htm>

NIH Funding Guide: <http://grants.nih.gov/funding/index.htm>

NIH Forms and Applications, including PHS 398 and 2590: <http://grants.nih.gov/grants/forms.htm>

NIH Offerings

Conferences: <http://grants.nih.gov/grants/funding/r13/>

Pathway to Independence: <http://grants.nih.gov/grants/guide/pa-files/pa-06-133.html>

Small Grant Program: <http://grants.nih.gov/grants/guide/pa-files/PA-11-262.html>

Exploratory – R21: <http://grants.nih.gov/grants/guide/pa-files/pa-09-164.html>

NEI R21 for secondary data analysis: <http://grants.nih.gov/grants/guide/pa-files/PAR-06-326.html>

Research Project – R01 unsolicited: <http://grants.nih.gov/grants/guide/pa-files/pa-10-067.html>

Grants.gov

Home page: <http://www.grants.gov>

Apply for Grants: <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>

Unsolicited R21: <http://grants.nih.gov/grants/guide/pa-files/pa-09-164.html>

Unsolicited R01: <http://grants.nih.gov/grants/guide/pa-files/pa-10-067.html>

Office for Human Research Protections

<http://www.hhs.gov/ohrp/>

Office of Research Integrity

<http://ori.hhs.gov>

Additional Helpful Sites

<http://www.fda.gov>

Good Clinical Practice (GCP) in FDA-Regulated Clinical Trials:

<http://www.fda.gov/ScienceResearch/SpecialTopics/RunningClinicalTrials/default.htm>

Responsible Conduct of Research: <http://www.responsible-research.org>

National Science Foundation – NSF: <http://www.nsf.gov> and <http://www.research.gov>

NSF Fast lane: <https://www.fastlane.nsf.gov/index.jsp>

Air Force Research Laboratory: <http://www.wpafb.af.mil/AFRL/>

NAEVR – National Alliance of Eye and Vision Research: <http://www.eyeresearch.org>

Guide to Sponsored Programs

Animal Research and Welfare

| | |
|---|--|
| National Association for Biomedical Research | http://www.nabr.org |
| Association for Accreditation of Laboratory Animal Care | http://www.aaalac.org |
| American Association for Laboratory Animal Science | https://www.aalas.org |
| NIH Animal Care and Use | https://oacu.oir.nih.gov https://oacu.oir.nih.gov/nih-policies |
| NIH Office of Laboratory Animal Welfare | http://grants.nih.gov/grants/olaw/olaw.htm |
| USDA Animal Welfare | https://www.aphis.usda.gov/aphis/ourfocus/animalwelfare |

Societies and Associations

| | |
|---|---|
| Society of Research Administrators International | http://srainternational.org |
| National Council for University Administrators | http://www.ncura.edu |
| Society for Clinical Trials | http://www.sctweb.org/public/home.cfm |
| Greater New York Hospital Association | http://www.gnyha.org |
| PRIM&R (Public Responsibility in Medicine and Research) | http://www.primr.org |
| Association of American Medical Colleges | https://www.aamc.org |
| Drug Information Association | http://www.diaglobal.org |

Guide to Sponsored Programs

Selected NIH Policy Guide Information

Modular Budget Guidelines

Modular budgets are applicable to certain research grant applications from domestic organizations requesting \$250,000 or less per year for direct costs. International organizations and others that do not fall under this definition should use the detailed budget forms. Consortium/Contractual F7A costs are not factored into the direct cost limit. Sub-award F&A may be requested in addition to the \$250,000 direct cost limit. Modular budgets are simplified; therefore, detailed categorical information is not to be submitted with the application. The modular budget is applicable only to R01, R03, R15, R21 and R34 applications.

Modular budgets are made in multiples of \$25,000. There are no future year escalations. A typical modular grant application will request the same number of modules in each year. Even though the PI might submit a modular budget, a detailed budget is required for the internal review process.

Percent Effort/Salary and Person Months

http://grants.nih.gov/grants/policy/person_months_faqs.htm#1041

1. What is the definition of person months?

Person month is the metric for expressing the effort (amount of time) PIs, faculty and other senior personnel devote to a specific project. The effort is based on the type of appointment of the individual with the organization; e.g., calendar year (CY), academic year (AY) and/or summer term (SM); and the organization's definition of such. For instance, some institutions define the academic year as a 9-month appointment while others define it as a 10-month appointment.

2. How do you calculate person months?

Conversion of percentage of effort to person months is straightforward. To calculate person months, multiply the percentage of your effort associated with the project times the number of months of your appointment. For Example:

25% of a 9-month academic year appointment equals 2.25 (AY) person months ($9 \times 0.25 = 2.25$)

10% of a 12-month calendar appointment equals 1.2 (CY) person months ($12 \times 0.10 = 1.2$)

35% of a 3-month summer term appointment equals 1.05 (SM) person months ($3 \times 0.35 = 1.05$)

10% of a 0.5 FTE 12-month appointment equals 0.6 (CY) person months ($12 \times 0.5 \times 0.1 = 0.6$)

Another Example:

If the regular pay schedule of an institution is a 9 month academic year and the PI will devote 9 months at 30% time/effort and 3 months summer term at 30% time/effort to the project, then 2.7 academic months and 0.9 summer months should be listed in the academic and summer term blocks of the application ($9 \times 30\% = 2.7$ person months; $3 \times 30\% = 0.9$)

3. How will this affect monitoring of percent effort when there is an increase/decrease and when you are determining overlap and over-commitment?

Resolution of overlap normally occurs at the time of award in conjunction with applicant institution officials, the principal investigator and awarding Institute or Center (IC) staff. IC staff review other support and budget justifications (for modular applications) to determine if any personnel exceed 12 person months of funding. Personnel with over 12 person months would be the indicator of over-commitment (i.e. 12 person months translates to 100% effort).