

# Guide to Sponsored Programs

## SUNY College of Optometry

Institutional Review Board, Grants Management, Post Award Finance

Campus Research Foundation Operations Manager – David Bowers – x5666

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## Information for sponsored programs

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### 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.
- Contact the Associate Dean for Research for authorization to complete non-sponsored research.
- Contact the Grant Administrator for authorization documents related to applications for sponsored projects.
- The SUNY Research Foundation 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 Operation 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 Sponsored Program Authorization form. (link)  
*Investigators are not authorized to sign on behalf of the institution.*
- **F&A and fringe rates:** Please confer with the Grant Administrator to confirm indirect cost and fringe benefit rates prior to preparing a proposal. A link to rates is included in this document.
- **Submission deadline:** Submit a full copy of the completed proposal **no later than 14 business days** before the application due date to ensure proper processing and compliance with due date requirements. The Grant Administrator can assist with budget development and administrative aspects of the proposal.  
*The Sponsored Program Authorization 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, the Associate Dean for Research and this office should be conducted well in advance.
- **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 a corresponding budget of 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 faculty assigned to state service 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

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## Pre AWARD issues:

### **Applications for external support require institutional approval.**

#### **Investigators must complete the Sponsored Program Authorization form -**

[www.sunyopt.edu/.../docs/Sponsored%20Program\\_Authorization\\_Form.doc](http://www.sunyopt.edu/.../docs/Sponsored%20Program_Authorization_Form.doc)

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 the 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/res\\_inst\\_poli.shtml#irb](http://www.sunyopt.edu/research/res_inst_poli.shtml#irb)

IRB Chair - Dr. Mort Soroka (x4174, RM# 920)

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 ( Dawn Conover x5895).

[www.sunyopt.edu/research/docs/SUNY\\_protocol\\_form.rtf](http://www.sunyopt.edu/research/docs/SUNY_protocol_form.rtf)

### **Research Involving Biohazardous 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:

[https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/License\\_A\\_Technology/Tech\\_Transfer\\_Policies/Conflict\\_of\\_Interest\\_Policy](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/License_A_Technology/Tech_Transfer_Policies/Conflict_of_Interest_Policy)

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

[http://www.sunyopt.edu/research/res\\_inst\\_poli.shtml#scimis/](http://www.sunyopt.edu/research/res_inst_poli.shtml#scimis/)

It is recommended, but not required, that faculty PI's or supervisors also complete this module. Completions are automatically sent to the Office of the Associate Dean for Research. Approval to conduct research will depend on satisfactory completion of this training module.

Disclosure Form has become part of the Sponsored Program Authorization form. : and can be found here:

[https://portal.rfsuny.org/portal/page/portal/Intellectual\\_property/Policies/mufrm001.pdf](https://portal.rfsuny.org/portal/page/portal/Intellectual_property/Policies/mufrm001.pdf)

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## Assurance and Entity Identification numbers and information

<b>Federal Wide Assurance Number: for Human Subjects Approvals</b>	<b>FWA00001460 - For SF424 use 00001460 expires. 9/5/2011 IRB00000185 expires 9/4/2010</b>
<b>Animal Research – IACUC PHS Assurance No. on Humane Care and Use of Animals</b>	<b>A4329-01 expires 11/30/2010</b>
<b>Legal Name (SF424 item 5.):</b>	Research Foundation of SUNY
<b>Address:</b>	Box 9, Albany, NY 12201
<b>Organization DUNS (SF424 item 5.):</b>	152 652 764 (no spaces) 152652764
<b>EIN number (SF424 item 6.):</b>	14-1368361 (NIH: 1-146013200-L7)
<b>Type of Applicant: (SF424 Item 7)</b>	Other (X) (Specifically- Non profit educational corporation)
<b>Entity Type</b>	Corporate
<b>State of Incorporation:</b>	New York
<b>Congressional District: (SF424 Item 14)</b>	14
<b>CCR Cage and MPIN Numbers-</b>	3GPT5 and MPIN 580RESEAR All caps
<b>NAICS: (North American Industry classification) code</b>	541720
<b>SIC - Standard Industrial Code:</b>	8733 – Non-Commercial research organization
<b>NIH Institutional Profile Number (IPF)</b>	5992605
<b>For NIH: To be notified if an award is made</b>	Regina Buschmann, 35 State Street, Albany, NY 12207 Phone: 518-434-7141   Email: AWARDS@RFSUNY.edu

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

### Fringe Benefit Rates are [here](#) on the RF website.

Projected Federal Funds FB rates: FY2012/ FY2013 are 43.27 and 50.18%, respectively. Use for budgeting.

### The F&A (overhead rates) Policy. (Indirect Costs or Overhead)

Indirect costs cover space utilization costs(e.g. building cost), housekeeping, and utilities, and services such as payroll, purchasing, accounting, and administration. F&A and also covers salaries of personnel who provide research related services that can not 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 July 07, 2010 and is 79.5% of salary and wage(does not include fringe benefits.)

Description	On Campus	Off Campus	Notes**
F&A and fringe benefit rates	79.5	32.2	Log on to the RF site and <a href="#">click here for rates</a>
State Grants or Contracts	25%**	25%**	Salary and Wage Base
City Grants or Contracts	25%**	25%**	Modified Total Direct Cost
Federal Training Grants	25%**	25%**	
Other Training Grants	25%**	25%**	
Clinical Trials (Industry Sponsored)	57.3%	21.4	Modified Total Direct Cost
Other Sponsored Projects (Service, Demonstration)	57.3%	21.4%	Salary and Wage Base
Foundations and other Non-Profit Organizations	25%**	25%**	Modified Total Direct Cost
Private Gifts and Donations	25%**	25%**	Modified Total Direct Cost

\*\*or maximum allowable by sponsor. Training grants are often 8%

**Cognizant Agency info – DHHS: 07/22/10, Robert Aaronson; phone, 212 - 264-2069**

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## Post AWARD issues:

### Forward Receipt of Funding Award Notice to Grant Administrator

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 Grant Administrator 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 with the help of the Grant Administrator, and the new employee. The form then goes to personnel to get the new hire into the “system.” Since salary and title are needed, this must be done in conjunction with Personnel Office and the Grant Administrator.
- **Employee Assignment Form** for assignment of salary to a grant. Without such a filing your employee will not receive salary from the new grant/award. Personnel Office will complete this form in conjunction with a new hire. Grant Administrator will complete this form in conjunction with new hire and PI.
- **SUNY IFR/Cost Share form** for State Employees – typically the PI. will fill this out, in conjunction with the Grant Administrator, in order to have the grant charged for PI’s time and effort. Any effort over and above salary is the College’s contribution to the grant and is therefore Cost Share and may be tracked with a Cost Share Award.

### Research Foundation Web Portal

Monitor awards on the Research Foundation Portal [www.rfsuny.org](http://www.rfsuny.org)

Log in with your name and password, or register by contacting the webmaster listed on that page and the Director of Business Affairs for authorization.

Use the Business Applications Principal Investigator Award Interface(PIAI) or the Research Foundation’s new Quick View for award financial information.

You must be logged in to use the links below.

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

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

Training opportunities can be found at this link:

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

# Guide to Sponsored Programs

## Application Procedure for External Funding

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### **Both Federal and non-Federal awards must be reviewed prior to submission.**

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

[www.sunyopt.edu/.../docs/Sponsored%20Program\\_Authorization\\_Form.doc](http://www.sunyopt.edu/.../docs/Sponsored%20Program_Authorization_Form.doc)

### **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](http://grants.nih.gov/grants/guide/parent_announcements.htm)  
Funding Opportunities - <http://grants.nih.gov/grants/guide/index.html>
- Download the application package, instructions and full description of the FOA.
- Notify the Associate Dean for Graduate Studies and Research and the Grant Administrator 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 Grant Administrator at least 5 business days in advance so it can be reviewed, 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. If resubmitted past the two day period the application may be rejected by NIH. Incomplete applications will not be reviewed by.  
Since email can be unreliable, it is up to the PI to check the applications status at the eRA Commons.

### **Subcontracts for NIH applications will include:**

- Completed Face Page in PHS 398 Format
- Statement of Intent to enter into a consortium agreement
- Collaborator’s biographical sketch
- Collaborator’s Resources (PHS 398 form)
- Checklist – including F&A costs worksheet and summary
- Description of “Scope of Work” on which payments are based
- Budget on PHS 398 Detailed Budget form for current and all periods

# Guide to Sponsored Programs

## Applying for a Federal Grant (from [www.grants.gov](http://www.grants.gov))

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### Step 1:

- Find Grant Opportunities: [http://www07.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www07.grants.gov/applicants/find_grant_opportunities.jsp)
- [Download a Grant Application Package](#)
- Downloading a grant application package provides the essentials for submitting an application to any and all Federal Agencies. The FOA (Funding Opportunity Announcement) will include a “button” to download the application for that Funding Opportunity. Applications are specific to each FOA.
- You will need the Funding Opportunity Number (FON) and/or CFDA number of the desired grant. [To search for this FON and/or CFDA information, click here.](#)

### Step 2: Complete the Grant Application Package

- Now that you have finished Step 1, complete the grant application offline.
- Instructions on how to open and use the forms in the package are on the application package cover sheet. You will also have access to agency application instructions, which will include what is required for your submission.
- Save changes to your application as you go. Grants.gov does NOT automatically save changes.
- The package cannot be submitted until all required fields have been completed.
- [View a narrated tutorial on how to complete a grant application package using Adobe Reader.](#)
- View a narrated tutorial on how to complete a grant application package using the **New Adobe forms**.
- If you're having problems completing the package, [view our Frequently Asked Questions.](#)

### Step 3: Submit the Completed Grant Application Package

- Click the submit button located at the top of the application package cover page. It will not be live until you have:
  - completed all required forms
  - attached all required documents
  - saved your application package
- If the Submit button is active and you are still unable to submit the application, make sure that your computer meets the system requirements.
- Review the summary to confirm the application will be submitted to the correct program. Click "Yes" if this information is correct.
- If you are not already connected to the Internet, you will be directed to do so and will need to log in to Grants.gov using your username and password.
- After you have clicked the "Sign and Submit" button on the summary page, your application package will automatically be uploaded to Grants.gov.
- A confirmation screen will appear once the upload is complete. A Grants.gov tracking number will be provided at the bottom of this screen, as well as the submission's official date and time. Record the tracking number so that you may refer to it should you need to contact NIH for support. There is a help screen here: <http://www.grants.gov/help/help.jsp>
- If you are using a dial-up modem, it may take several minutes for the application to upload and be submitted. A high-speed Internet connection or DSL connection will process the application much faster.

### Step 4: Track the Status of a Submitted Grant Application Package

- Once your application has been submitted, you can check the status on the [Track Your Application](#) page. You can identify your application by CFDA Number, Funding Opportunity Number, Competition ID, and/or Grants.gov Tracking Number.
- Once uploaded to NIH from Grants.gov – you can check your application progress at the eCommons website: <https://commons.era.nih.gov/commons/>.

# Guide to Sponsored Programs

## Selected NIH terminology revisions

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

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-028.html>

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

## NIH Late Policy

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<http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-05-030.html>

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

## Selected NIH Activity Codes

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Additional info: [http://grants.nih.gov/grants/funding/funding\\_program.htm#RSeries](http://grants.nih.gov/grants/funding/funding_program.htm#RSeries)

### R01

Research Projects Research Project 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

Research Projects Small Research Grants 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

Research Projects Exploratory/Developmental Grants To encourage the development of new research activities in categorical program areas. (Support generally is restricted in level of support and in time.)

The R21 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 shown below. Consultation with the NIH staff contacts is also encouraged. [More Information](#)

### T14

Training Programs Conferences For support of international and national meetings, conferences and workshops.

### P01

Research Program Projects and Centers Research Program Projects 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. These scientifically meritorious projects should demonstrate an essential element of [More](#)

# Guide to Sponsored Programs

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[Information](#)

# Guide to Sponsored Programs

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## Informational Web Addresses:

### National Institutes of Health

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<http://www.nih.gov/>

NIH – A Comprehensive Internet Guide: [http://grants1.nih.gov/grants/internet\\_guide.htm](http://grants1.nih.gov/grants/internet_guide.htm)

Office of Extramural Research(OER): <http://grants1.nih.gov/grants/oer.htm>

OER Policy Guide: <http://grants1.nih.gov/grants/policy/policy.htm>

PHS Grants Policy statement: <http://grants1.nih.gov/grants/policy/gps/index.html>

NIH Guide: <http://grants1.nih.gov/grants/guide/index.html>

NIH Funding Guide: <http://grants1.nih.gov/grants/oer.htm>

NIH Forms and Applications, including PHS 398 and 2590: <http://grants1.nih.gov/grants/forms.htm>

Office of Biotechnology Activities: <http://www4.od.nih.gov/oba/>

#### NIH Offerings

Conferences: [NIH Support for Conferences and Scientific Meetings \(R13/U13\)](#)

Pathway to Independence: [NIH Pathway to Independence \(PI\) Award \(K99/R00\)](#)

Small Grant Program: [NIH Small Research Grant Program \(Parent R03\)](#)

Exploratory – R21: [NIH Exploratory/Developmental Research Grant Program \(Parent R21\)](#)

NEI R21 for secondary data analysis: [NEI Research Grant for Secondary Data Analysis \(R21\)](#)

Research Project – R01 unsolicited: [Research Project Grant \(Parent R01\)](#)

#### Grants.gov:

Home page: [www.grants.gov](http://www.grants.gov)

Finding Opportunities: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp)

Apply for Grants: [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp)

Unsolicited R21: [NIH Exploratory/Developmental Research Grant Program \(Parent R21\)](#)

Unsolicited R01: [Research Project Grant \(Parent R01\)](#)

#### Office for Human research Protections

<http://ohrp.osophs.dhhs.gov/>

#### Office of Research Integrity

<http://ori.dhhs.gov/>

#### Office of Human Research Protections

Policy and Assurances –

<http://ohrp.osophs.dhhs.gov/polasur.htm#LST> Including information below:

### Additional helpful sites

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[www.fda.gov](http://www.fda.gov)

Good Clinical Practice (GCP) in FDA-Regulated Clinical Trials: <http://www.fda.gov/oc/gcp/default.htm>

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

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

NSF Fastlane - <https://www.fastlane.nsf.gov/index.jsp>

Department of Defense Research Opportunities - <http://www.defense.gov/faq/pis/21.html>

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

NAEVR – National Alliance for Eye and Vision Research

<http://www.eyeresearch.org/>

SUNY Eye Institute - [http://www.downstate.edu/ophthalmology/suny\\_eye\\_institute.html](http://www.downstate.edu/ophthalmology/suny_eye_institute.html)

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## Animal Research and Welfare

National Association for Biomedical Research	<a href="http://www.nabr.org">www.nabr.org</a>
Association for Accreditation of Laboratory Animal Care	<a href="http://www.aaalac.org">www.aaalac.org</a>
American Association for Laboratory Animal Science	<a href="http://www.aalas.org">www.aalas.org</a>
NIH Animal Care and Use	<a href="http://oacu.od.nih.gov/">http://oacu.od.nih.gov/</a> <a href="http://oacu.od.nih.gov/NIHpolicy/index.htm">http://oacu.od.nih.gov/NIHpolicy/index.htm</a>
NIH Office of Laboratory Animal Welfare	<a href="http://grants.nih.gov/grants/olaw/olaw.htm">http://grants.nih.gov/grants/olaw/olaw.htm</a>
USDA Animal Welfare	<a href="http://www.aphis.usda.gov/ac/">http://www.aphis.usda.gov/ac/</a>

## Societies and Associations

Society of Research Administrators International	<a href="http://www.srainternational.org">www.srainternational.org</a>
National Council for University Administrators	<a href="http://www.ncura.edu">www.ncura.edu</a>
Society for Clinical Trials	<a href="http://www.sctweb.org">www.sctweb.org</a>
Greater New York Hospital Association	<a href="http://www.gnyha.org/">http://www.gnyha.org/</a>
PRIM&R (Public Responsibility in Medicine and Research)	<a href="http://www.primr.org/">http://www.primr.org/</a> <a href="http://www.primr.org/rcr.html">http://www.primr.org/rcr.html</a>
Association of American Medical Colleges	<a href="http://www.aamc.org/research/start.htm">http://www.aamc.org/research/start.htm</a>
Drug Information Association	<a href="http://www.diahome.org">www.diahome.org</a>

## POLICY GUIDANCE

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**Salary Offset** – [http://www.sunyopt.edu/research/res\\_inst\\_poli.shtml#salary](http://www.sunyopt.edu/research/res_inst_poli.shtml#salary)  
<http://www.sunyopt.edu/research/docs/salaryoffset.pdf>

**Responsible Conduct of Research** – Ethics and conflict of interest  
[http://www.sunyopt.edu/research/res\\_inst\\_poli.shtml#scimis](http://www.sunyopt.edu/research/res_inst_poli.shtml#scimis)

**Travel Policy** - <http://www.sunyopt.edu/research/docs/Travel%20Policy.pdf>

## Web Space on Special Server (\odin)

To facilitate transfer of large document files related to NIH, grants.gov or other proposals, I.S. has established a special web server for research at which large files can be “deposited” for pickup and viewing by the Grants Administrator or Associate Dean for Graduate Studies and Research. Files can still be transferred by “sneaker transfer” by CD’s or memory sticks, which has worked well in the past.

Folders with the PI’s name will be available to the PI and no one else except the Associate Dean for Graduate Studies and Research, the Grant Administrator, or the Director of Business Affairs. Be sure to label files appropriately.

To access the web server device from a PC running **Windows** do the following:

1. Double click on My Computer icon or click on Start / My Computer
2. Type the following inside the address box: **\\odin** ---> the pane will show the available shares (shared folder name = last name): (those are back slashes, not forward slashes).

If another window opens asking for a password it means the user is not connected to the OPTNET network. If this is the case, the user needs to type his network account (user####) and password.

To Access the web server device from a computer running **Apple software** do the following:

1. Users can access their shared folders by using the web interface. Open the browser (Firefox is recommended) and connect to the following site:

**https://odin/shared\_folder**

Firefox will probably display a certificate error. Ignore it by clicking on OK.

2. Another window will open asking for the network username (user####) and password.
3. The following window shows the web interface. Mac users can upload documents from their machines to the NAS and save files from the NAS to their Macs.

Note: 2. Users can also use the NAS IP address to access it: **\\10.10.3.58\“shared\_folder”**

# Guide to Sponsored Programs

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## Selected NIH Policy Guide information:

### **Modular Budget Guidelines**

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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 F&A costs are not factored into the direct cost limit. Subaward 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**

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[http://grants.nih.gov/grants/policy/person\\_months\\_faqs.htm](http://grants.nih.gov/grants/policy/person_months_faqs.htm)

#### **1. What is the definition of person months?**

Person months - Is the metric for expressing the effort (amount of time) PI(s), 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. (Person months can be listed up to two decimal places)

#### **2. How do you calculate person months?**

Conversion of percentage of effort to person months is straight-forward. 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 ( $9 \times .25 = 2.25$ )

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

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

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 .9 summer months should be listed in the academic and summer term blocks of the application ( $9 \times 30\% = 2.7$  person months;  $3 \times 30\% = .9$ )

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#### **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.

In reviewing person months, IC staff will continue to pay close attention to other support pages 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).