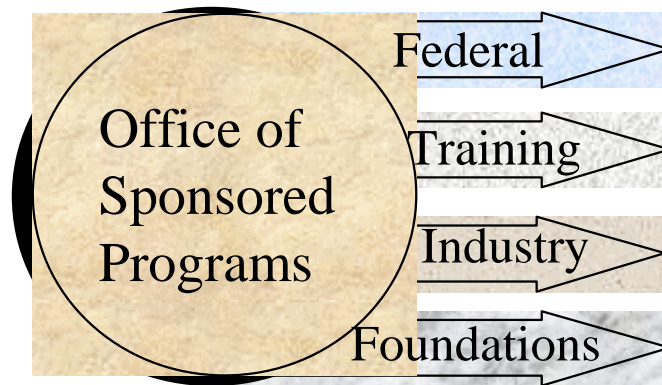


Grant Application Guide



Prepared by the
Office of Sponsored Programs
The Research Foundation of SUNY
Stony Brook University

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1. WHO CAN BE A PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR

Persons holding a faculty appointment at SUNY Stony Brook are eligible to be named principal investigator/project director (PI/PD) e.g., Instructor, Lecturer, Adjunct Professor, Assistant Professor. The PI/PD is the point person for project. Therefore, he/she will retain the majority of the responsibility to meet the scientific requirements of the sponsorship. If there are co-investigators, the PI/PD is the one designated to handle the administrative responsibilities. A faculty appointment is not required in the case of co-investigator status.

Researchers who do not have faculty status at the time of application, but expect to be appointed at the time of award, are permitted to be listed as PI/PD. At the time of application there must be in place a memo to the Office of Sponsored Programs from the appropriate chair or dean indicating that, by the time the award is made, faculty appointment will be completed.

Graduate Student Applications

Campus policy requires graduate students to apply for grants under the direction of an advisor who retains a faculty appointment. The faculty advisor is the PI/PD and the student can be the co-investigator. The title of the research will be, for example, "Fellowship Research for...(student name)...in the study of....," or "Dissertation Improvement Grant for...."

Non-Resident Investigators

Non U.S. residents who wish to apply for funding must meet sponsor requirements as to their eligibility of serving as PI/PD. Additionally, they must determine if their VISA status will allow them to participate. To do this the best resource available is the International Services Office at 632-4685.

Non-immigrant Investigators

Non-immigrants to the United States, wishing to apply for sponsor funding, must have the appropriate immigration status to participate in the proposed activity. In cases where the sponsor requires U.S. permanent residence (green card) or U.S. citizenship for application these requirements must be met. In cases where Permanent Residence and /or citizenship are not sponsor requirements, please contact International Services for information on obtaining the appropriate non-immigrant status for participation on a particular project.

Current Immigration regulations place severe penalties on non-immigrants who violate the terms and conditions of their immigration status. Non-immigrants currently employed on campus in H-1 or J-1 status should consult with International Services about changes that may be required prior to beginning a new project or new employment. H-1 status is employer specific and job specific, therefore, a change from State employment to Research Foundation employment requires a petition to the Immigration and Naturalization Service for new or concurrent H-1 employment authorization.

J-1 Research Scholars are admitted to the United States to complete a specific objective, defined prior to issuance of the initial Form IAP-66. Changes and additions to that objective will require review of the program sponsor prior to beginning a new project.

Additional Information on immigrant and non-immigrant statuses in the United States may be obtained by phoning International Services at 632-4685. International Services is located in The Graduate School, 2401 Computer Science z=4433.

II. APPLICATION GUIDELINES:

WHAT TO LOOK FOR



In reading the sponsor application guidelines as you begin to prepare the proposal, following is a list of items that should be considered:

- ⇒ Qualifications of the Principal Investigator or Project Director (PI/PD) and the institution:
 - Do you meet the qualifications to apply for the program as outlined by the sponsor? Many sponsors have numerous programs that are applicable to project directors at a specific point of their careers.
 - If defined by the sponsor, does The Research Foundation meet the requirements to qualify?
 - If the sponsor specifies only a limited number of proposals will be accepted from a single institution, have you been approved to apply? (Contact the Office of Research Resources at 2-9033 for more information about Institutional Nominations)

- ⇒ When is it due:
 - What kind of deadline does the sponsor specify: receipt date, postmark date, target date?

Receipt Dates: The last day the sponsor will accept proposals.

Target Dates: Unless otherwise stated in announcements or solicitations, proposals postmarked after these “cutoff” dates will be reviewed, although they may miss a particular panel meeting or review cycle. It is recommended that project directors contact their Program Official concerning specific target dates.

Postmark Dates: A postmark is a *stamped calendar date* set by the sponsor for proposals. It is important to have your proposal stamped on or before the required postmark date. To obtain a postmark, project directors need to bring their proposal package(s) to a local United States Post Office. A postmark is NOT the same as a deadline; the actual postmark is the requirement of the sponsor.

Electronic Submission Dates: Proposal must be submitted electronically by the date and time indicated in the proposal announcement. Attention should be paid to the time zone indicated.

Other Types of Submission Dates: Most programs that do not have a specific deadline or target date will accept proposals at any time of the year. If unsure, contact the sponsor for clarification.

⇒ Application forms:

- Are you using the most recent issue of application forms?
- What is the sponsor policy regarding use of facsimiles--do they require original forms only?

⇒ Budgetary considerations:

- What kinds of costs are permitted? What may be permitted by one sponsor may not necessarily be allowed by another.
- How do they want the budget prepared?
- Are matching funds required? Did you get approval?

⇒ Science:

- Does the sponsor explain how to present the text of the proposal?
- What are the specific areas and concerns cited by the sponsor that should be included in the text?

⇒ Application format:

- Is there a limit in the type size? Page limits?
- Are there specific instructions regarding margins, copying and binding?

⇒ What kinds of institutional endorsement besides that of The Research Foundation are required:

- Additional signatures from the PI/PD, chair, dean, or compliance?

⇒ The structure of the application:

- How is the proposal assembled for mailing or electronic submission?

⇒ Electronic Submission:

- Does the PI need to be registered to use the sponsor's electronic proposal submission site?

As you begin to prepare your application materials, keep in mind the need to contact the Office of Compliance and Informatics (see Section XI, Resources) if you intend to utilize any of the following in your project:

Human Subjects

Vertebrate Animals which will be studied in any way, shape, or form

Recombinant DNA (Deoxyribonucleic Acid)

Controlled Substances

For use of the following materials, contact Gary Kaczmarczyk, the University Health Physicist/Radiation Safety Officer, Environmental Health and Safety Office at 632-9670 or e-mail, gary.kaczmarczyk@sunysb.edu:

Radioactive Materials, Ionizing Radiation, Lasers, etc.

Biologically or Chemically Hazardous Materials

III. PROPOSAL CONTENT AND FORMAT

Most sponsoring agencies have specific format guidelines for preparing proposals, including the required forms for cover page, text, biographical data and budget. **IN THE ABSENCE OF SUCH GUIDELINES**, the following format may be useful.

Cover or Title Page:

The cover or title page should include the following:

- The title of the proposed research;
- the name and address of the sponsor to whom the proposal is submitted;
- the name and address of The Research Foundation of SUNY: Office Sponsored Programs, SUNY Stony Brook, Stony Brook, NY, 11794-3362.
- the University department where the work will be conducted;
- The proposed period of performance;
- total requested support;
- name and title of the principal investigator/project director (PI/PD);
- signatures of authorizing officials: the signatures of the PI/PD and the authorized representative of The Research Foundation.

Project Title: Working together: a study of productivity in team and work groups
Submitted To: The Sand Management Center 1500 Main Highway Arlington, VA 22335
Submitted By: The Research Foundation of SUNY Office of Sponsored Programs State University of New York Stony Brook, NY 11794-3362 14-1368361, non-profit
Project Director: Janet Waverly, Assistant Professor Harriman School SUNY Stony Brook Stony Brook, NY 11794
Administrative Contact: Michele Rosen Contracts and Grants Administrator 631-632-4402, 631-632-6963 fax
Project Period: 2/1/97-1/31/98
Support Requested: \$150,000
_____ Contracts and Grants Administrator The Research Fdn. of SUNY
_____ Janet Waverly Principal Investigator

Abstract

While an abstract, or project summary, is not required by all sponsors, it is a highly effective means of presenting a project to a reviewer or review board. The abstract should highlight the scope of the proposed research, including its objectives and the intended methodology, the anticipated results, a statement of potential significance, and the time span of the project. Abstracts should be approximately 200-250 words, unless otherwise noted in the application instructions.

Keep in mind that many program directors and review panel members will not read much more than the abstract. Program directors also use abstracts to select appropriate reviewers.

Table of Contents

The table of contents should list major sections of the proposal and give the specific page location where each section begins in the narrative. It need not include all subheadings but should be detailed enough to allow reviewers to find the section or sections they are interested in, without having to search through the entire proposal.

Introduction or Statement of Need

While usually brief, the proposal introduction or statement of need is one of the most important parts of the grant application. The introduction should engage the reviewer's attention, encouraging a full reading of the proposal.

Description of Proposed Research

The description is a detailed extension of the proposal abstract. Indicate how the research will relate to and reflect the current state of the art. Explain project goals and methodology carefully. The research plan should include the project objectives, results of preliminary studies relevant to the application, procedures, and time frame.

Budget

In completing the budget, it is necessary to review the elements of the project as well as the sponsor guidelines. It is important to be cognizant of any sponsor restrictions regarding specific budgetary allowances or disallowances (e.g., one sponsor may allow the PI to charge salary, another may not). Listed below are the standard parts of a budget.

It is important to substantiate your budget with an explanation or a budget justification. The budget justification is used to clarify various line items such as the percentage of inflation, fringe benefits, difference in effort vs. salary requested, the type of equipment you plan to purchase, travel, etc.

Salaries and Wages

All personnel are listed, along with their percentage of effort for the project, PI/PD first and students or clerical personnel last. If the amount of salary requested does not represent the percentage of effort, an explanation should be included on the budget justification.

Clerical Staff

If you intend to include clerical staff on your budget for a federal sponsor, one of the following reasons, or one similar in nature, must be included in your justification. These examples are not exhaustive nor are they intended to imply that charging of administrative or clerical salaries would always be appropriate for the situations illustrated:

- *Large, complex programs, such as General Clinical Research Centers, primate centers, program projects, environmental research centers, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.*
- *Projects that involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting, such as epidemiological studies, clinical trials, and retrospective clinical records studies.*
- *Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.*
- *Projects where the principal focus is the preparation and production of manuals and large reports, books and monographs (excluding routine progress and technical reports).*
- *Projects that are geographically inaccessible to normal departmental administrative services, such as seagoing research vessels, radio astronomy projects, and other research field sites that are remote from the campus.*
- *Individual projects requiring significant amounts of project-specific database management; individualized graphics or manuscript preparation; human or animal protocol, IRB preparations and/or other project-specific regulatory protocols; and multiple project-related investigator coordination and communications.*

Fringe Benefits

Unless specifically called “stipends” by the sponsor (as in most fellowships), all salaries must be accompanied by fringe benefits, whether the individuals are working full or part time on the project. The most current fringe benefit rates can be found at: <http://www.stonybrook.edu/research/spo/fbrate.pdf> Please note that there are different rates for Research Foundation employees, State employees, graduate students, undergraduate students and summer only appointments.

For a student to be eligible for the student rate, the following must apply:

- *Undergraduate students must be enrolled full time at a SUNY institution and must meet the criteria for and are appointed to one of the following titles: R267 (Research Aide), R268 (Senior Research Aide). All other undergraduate student salaries will be charged at the regular employee rate.*
- *Graduate students must be enrolled full time at a SUNY institution and must meet the criteria for and are appointed to one of the following titles: R149 (Project Instructional Assistant), R150 (Research Project Assistant), R267 (Research Aide) or R268 (Senior Research Aide). All other graduate student salaries will be charged the regular employee rate.*

Equipment

Equipment is defined as having a useful life of at least one year and an acquisition cost of \$5,000 or more. Items not meeting this definition are considered supplies. Some sponsors may have their own definitions of equipment. Generally, we would subscribe to the sponsor’s definition. If you have any questions, please contact your Sponsored Programs Coordinator at 632-9949.

Travel

Domestic and foreign travel should be listed as two line items, unless specified otherwise by the sponsor. The purpose of the trips, the destinations, number of travelers, number of trips and other costs should be discussed in the budget justification. It is a requirement on federal awards to use U.S. flag carriers to foreign destinations or, in the absence of through service, to the farthest interchange point.

Participant Support Costs

For programs relating to conferences, symposia, meetings, training activities or workshops, include costs of transportation, per diem, stipends and other related costs for participants or trainees.

Patient Care Costs

Routine medical costs that would normally have taken place and are now within the scope of the research, i.e., x-rays, blood tests, travel costs associated with diagnostic testing, EKG, etc.

Alterations and Renovations

Alterations and renovations required for project performance and having a cost of \$15,000 or more per alteration or renovation.

Materials and Supplies

The costs of materials or supplies needed to do the project.

Publications

The costs of disseminating and sharing research findings in the process of documenting, preparation, and publication.

Consultants

List the name and daily amount for each consultant. Any travel for the consultant is listed in the this category. Some federal sponsors have established daily rates. SUNY Stony Brook faculty cannot be paid as consultants on a Stony Brook award. They are considered collaborators. (see Section V, Consultants).

Computer Services

Costs of computer time and related support services, calculated according to an approved rate schedule for the facility concerned.

Subcontracts

Costs for performance and completion of a designated portion of project objectives executed by an organization other than SUNY. The total amount (direct and indirect costs) of the subcontractor budget are listed as direct costs on the Stony Brook budget. The amount is to be documented by the subcontractor's institutionally endorsed letter of intent and budget, which is to be included in the application. (see Section VI, Contractual/Consortium Arrangement Requirements).

Tuition

Unless prohibited by sponsor policy, all proposals which budget support for a graduate

student must also budget tuition costs of \$3,450 for each academic year. More information and instruction can be found at:

<http://www.grad.sunysb.edu/policies/Policy/RMcGrath.pdf>

Other

This category is used for items that are not suitable for any other category. A detailed list should be included in the budget justification.

Facility and Administrative Costs (F & A)...formerly known as indirect costs

(also see Section IV, Facility & Administrative costs)

Facility and Administrative costs (sometimes referred to as overhead, administrative costs, administrative allowance or occasionally, institutional allowance) are costs incurred in support of sponsored programs, in general, but not identifiable with any single project. Facility and Administrative Costs generally consist of sponsored program and general administration such as payroll and purchasing, and general institutional support services such as building maintenance, libraries, etc.

Reimbursement of facility and administrative costs to educational institutions is predicated upon use of a facility and administrative cost rate. This facility and administrative cost rate is developed in accordance with cost principles specified by the Federal Government in OMB Circular A-21. The rate is reviewed and approved every three years by our cognizant audit agency, The U.S. Department of Health and Human Services (DHHS).

The facility and administrative cost rate is applied across a base consisting of all direct project costs (other than equipment, rental of outside facilities, amounts over the first \$25,000 of each subcontract, participant support, patient care costs, and alterations/renovations totaling \$15,000 or more). The rate is termed a Modified Total Direct Cost (MTDC) rate. Separate rates are developed for grants, contracts, and cooperative agreements that 1) support research; 2) support training and other educational activities; 3) support sponsor-initiated clinical trial activity.

All applications submitted by the Stony Brook Campus must include the facility and administrative costs at the rates approved by our cognizant audit agency unless one of three conditions is met:

- The Sponsor has a **formally published facility and administrative cost policy which it consistently applies to all** applications. In this event, the Sponsor policy prevails.
- The project qualifies for either the Evaluative Testing Rate or the Administrative Rate. Both of these special campus rates have very specific requirements which a project must meet in order to be eligible for use.
- Appropriate approval to include facility and administrative costs at a reduced rate has been obtained, using the procedure indicated in Section VII, University Support, well in advance of submission of the grant application.

Biographical Sketch

Generally requested for key personnel, the biographical sketch should include research and professional experience, education and training, and a brief list of publications relevant to the proposed research.

Current and Pending Support

This section should include current and pending support providing the name of the sponsor, the title of the project, your effort, and amount of the award and the period of support. Some sponsors may require you to note any overlap.

Facilities

List the facilities where the project will take place, indicating the availability of equipment, and laboratory or research space.

IV. FACILITY & ADMINISTRATIVE COSTS (FYA)

...formerly known as indirect costs (IDC)

The latest policy and rates can be found at

<http://www.stonybrook.edu/research/spo/RateAgreement01192007.pdf> or call 632-9949

Unless there is a written facility and administrative (F&A) sponsor policy, full F&A recovery must be included in your budget. Institutional support for facility & administrative costs is orchestrated in advance by the Office of the Vice President for Research, but are funded fully by departments, chairs or deans and not by the Office of the Vice President for Research. Efforts to waive a sponsor's share of F&A costs to enhance competitiveness remain the fiscal responsibility of the unit(s) benefiting by the waiver. (See Section VII, University Support)

Research and Development Rate:

Applies to contracts/cooperative agreements and grants in support of research and/or investigator-initiated clinical activities. F&A is calculated using a modified total direct cost (MTDC)* base.

**MTDC: In calculating facility & administrative costs, do not include alterations and renovations having a cost of \$15,000 or more per alteration or renovation, in/out patient care, rental/maintenance of off-site activities; student tuition remission, participant support costs (student aid, stipends, travel, etc.), amounts over the first \$25,000 of each subcontract and equipment (over \$5,000).*

Training and Sponsored Instruction Rate:

Used for programs whose principal purpose is instruction and/or other educational activities. F&A is calculated using a modified total direct cost (MTDC)* base.

Projects conducted on and off campus may apply the Research and Development and the Training and Sponsored Instruction F&A rates to the proportioned effort of the project carried on versus off. The relative proportion of on to off campus activity should be rounded to the nearest 25%: 100% on; 100% off ; 75% on/25% off; 50% on/50% off; and 25% on/75% off. No greater level of refinement is permitted

To determine the off and on campus rate, only the Stony Brook personnel effort is considered (effort on any subcontract is excluded). After determining the amount of all effort, ascertain the effort that is only for off campus. The effort for off campus is divided by the total effort. The closest increment to 25%, 50%, 75% or 100% is considered as the off-campus percentage.

Evaluative Testing Rate*:

Used for agreements with companies providing a specific company-issued protocol to be used in testing and evaluating a new or investigational device, drug, or compound that they own. Such testing must be required to obtain or maintain federal government approval.

Administrative Rate*:

Applies to funds received in support of research or training activities where the sponsor provides the funds in advance and without further obligation on the part of the institution: no constraints on how the funds may be used, no financial or technical reporting requirements, no claims to copyright nor other claims to the ownership or licensing of intellectual properties.

This rate also applies to:

- Income from external sources deposited to Service and Facility Accounts and Copyright and/or licenses not flowing through the Campus Royalty distribution policy and other authorized income accounts.
- Fellowship awards from sponsors who do not have their own policy.
- Awards made specifically and solely for support of a conference, seminar, or workshop to be held at the Stony Brook campus.

*Does not apply to federal (or federal flow-thru) funds. Applications for federal (or federal flow-thru) shall include the rates approved by DHHS unless otherwise specified in the application guidelines.

Interpersonnel Agreement (IPA) Rate:

Applies to federal funds received to support expenses incurred by institution when faculty are involved in an assignment to that federal entity. These awards typically reimburse the institution for salaries, fringe benefits and travel expenses.

Sponsor policy examples:

Actual Sponsor Policies:

“Facility & administrative costs are limited to 10% TDC.”

“Administrative overhead costs will be considered in a case by case basis. Applicants are strongly discouraged from requesting facility & administrative costs in excess of 10%.”

“No grant funds may be expended on institutional overhead allowance.”

“Include in your budget...facility & administrative costs at the rate of 15% of personnel costs.”

“Facility & administrative costs will be awarded at 8% of total allowable direct costs (exclusive of tuition and related fees) or at the actual indirect cost rate, whichever results in a lower dollar amount.”

“In general we do not provide for facility & administrative costs. Applicants are encouraged to request an indirect cost waiver from their institutions. If this is not possible and the proposal is deemed particularly promising, facility & administrative costs may be considered, but not to exceed 10%. Preference will be given to proposals with no facility & administrative costs.”

“Facility & administrative costs are limited to 20% of the total award.”

Budgetary Requirements:

The budget must include 10% facility & administrative costs, calculated on all direct costs.

Full facility & administrative costs must be budgeted.

Facility & administrative costs are not included.

Facility & administrative costs are included at 15% of salary and fringe.

A comparison of the 8% and the DHHS negotiated rate is done. The 8% and the DHHS rate use two different bases in calculating the facility & administrative costs. Whichever rate results in lower facility & administrative costs is the one used on the budget.

Facility & administrative costs must be included at 10%, calculated on all direct costs.

The budget must include 20% facility & administrative costs which are calculated on the bottom line, not the direct costs. For example, if there is a limit of \$50,000 to the award, the facility & administrative costs would be \$10,000 (20% of \$50,000).

V. CONSULTANTS



(Independent Contractors)

The Research Foundation of SUNY reviews all issues concerning the classification of **Employee or Independent Contractor** in accordance with the rules and regulations of the Internal Revenue Service.

If the employer, The Research Foundation of SUNY, unintentionally fails to withhold income taxes for the independent contractor who should have been classified as an employee, the employer's liability for those taxes will be determined along with penalties.

How will a misclassification be detected?

- IRS or NYS income tax audit
- Individual applies for Unemployment
- Individual applies for Disability or Worker's Compensation
- Individual completes and submits form SS-8 to IRS
- Research Foundation Internal Audit

What can happen if an independent contractor is misclassified?

If someone, or an entity, is misclassified as an independent contractor, charges will be moved from the independent contractor category to salary & wage category on the grant; the grant will be charged for the fringe benefit rate relating to the salary & wages; and The Research Foundation, and in turn, the principal investigator/project director (PI/PD), will be responsible for any penalties resulting from misclassification.

The Distinction Between an Independent Contractor and an Employee

The distinction between an independent contractor and employee rests upon the degree of control or right to control that the PI/PD exercises over the contractor's physical conduct in the performance of the work or duties involved.

If the PI/PD has **NO RIGHT** to control the way the result is produced, the agent is called an independent contractor. If the PI/PD **HAS THE RIGHT** to control the agent's physical conduct in the performance of the work, he or she is an employee.

The essential analysis is whether the PI/PD has the right, even though they may not wish to exercise that right, to control HOW the tasks are to be performed.

Independent Contractors typically produce a desired result for a fee upon performance.

Agent An individual, or legal entity, capable of comprehending the act to be undertaken is qualified to serve as an agent, either general, special or gratuitous. Additionally, an agent may be a separate individual or the contractor himself.

Employee v. Independent Contractor



Employees

If the PI/PD can control when work time is to start or the workday is to end, the manner in which operations are to be accomplished, the agent is an employee.

Also, if you have the right to evaluate the performance of the agent, i.e. performance evaluation of the employee or faculty member, then he/she is an employee.

Independent Contractor

If the PI/PD has an understanding to only control the WHAT is to be performed, i.e. renovate a building or paint a room with the physical actions in the control of the agent, then the agent is an independent contractor. The understanding between the PI/PD and the agent with regard to the WHAT to be performed, in this circumstance, would become the “contract” stating the agreed upon relationship. In an independent contracting relationship, the PI/PD would only have the right to evaluate the completed job not the way it is accomplished.

EMPLOYEE OR INDEPENDENT CONTRACTOR TEST OR “THE COMMON LAW TEST”

To assist PI/PD’s in their determination of an agent’s potential working relationship, The Office of Grants Management, provides an Employee or Independent Contractor Test, also referred to as “The Common Law Test.” This questionnaire gives some guidance in the determination of the employee’s or the independent contractor’s nature of work. If you need assistance in making this determination, please contact StephanieAmmann, Manager,

Sponsored Project Expenditures, Office of Grants Management, 632-9071, or e-mail, sammann@notes.cc.sunysb.edu

The federal government uses these 20 questions in analyzing the nature of the working arrangements set forth between the employer and the employee or independent contractor.

CONFIRMING CONSULTANT STATUS

At the time the application is reviewed the PI/PD will be asked to complete these 20 questions for any consultant listed who is earning \$600 or more and not incorporated. The answers must be provided in full sentences. Consultant status is confirmed by the Office of Grants Management based on the answers provided.



THE TWENTY FACTORS OF THE “COMMON LAW TEST”

All of the following factors must be considered in determining whether an employment relationship exists:

Compliance with instructions. Employees must comply with another person’s instructions on when, where, and how the work is performed. In a true independent contractor relationship, the only control to which the contractor is subject is the result.

Training required. Independent contractors are not normally trained but rather are hired for their expertise in a field.

Integration of services into business operations. Employees’ services are usually a vital part of the daily operation of an employer’s operation.

Services rendered personally. Employees personally render the services, while contractors may delegate such work to others.

Hiring, supervising and paying assistants. Usually individuals who perform all these functions are treated as independent contractors.

Continuing relationship. Employees are usually hired for an ongoing period, while a contractor’s work ends when the job ends.

Set hours of work. Employees usually must adhere to a work schedule established by the employer.

Full-time required. Generally, employees work full-time for an employer, while independent contractors work when and for whom they choose.

Performing work on the employer’s premise. Those working at the employer’s site may be viewed as employees.

Services performed in order or sequence set. Persons told to perform work in a certain sequence generally are considered employees.

Oral or written reports. Employees are more likely to be required to submit regular reports to the employer.

Payment by hour, week, month. Typically, employees are paid on a regular basis, while independent contractors are compensated by the job or on a lump-sum or straight commission basis.

Payment of business and/or travel expenses. Employer payments of a person’s work-related travel expenses generally indicates employee status.

Furnishing of tools and materials. Employees, not individual contractors, are generally provided with supplies.

Significant investment. Individuals who have a significant personal investment in the facilities they use for work are normally independent contractors.

Realization of profit or loss. Unlike employees, independent contractors realize a profit or loss based on their success in performing a service.

Working for more than one firm at a time. Individuals who perform services for a number of employers are usually independent contractors.

Making services available to the general public. Individuals who regularly make their services available to the general public are usually treated as independent contractors.

Right to discharge. Employees can be fired, while independent contractors cannot be discharged if they fulfill contract specifications.

Right to terminate relationship without incurring liability. An employee can terminate his employment relationship with his employer at any time, whereas an independent contractor may be liable for breach of contract for leaving work unfinished.

VI. CONTRACTUAL or CONSORTIUM ARRANGEMENT REQUIREMENTS (a.k.a. subcontracts)

The following guide is provided to ensure that applications contain the essential elements required for submission as part of a larger project application. Whether (a) you have been contacted by another institution to do substantive work on its federally sponsored project or (b) you have a particular person/institution in mind to complete some portion of work on your project, you will generally need to provide the Office of Sponsored Programs with the following information:

Statement of Work/Scope of Work. A brief description of the proposed work. This should detail only the portion of the project to be conducted by the subcontractor institution.

Budget. In general, a detailed budget is required for the first year and each year thereafter. This may vary depending on the sponsor. For further information, see the application guidelines or call your Sponsored Programs Coordinator.

Budget Justification. This is a narrative which justifies the budget.

Institutional Endorsement. Institutional endorsement certifies that the subcontractor institution has reviewed the proposal for its own concerns, both scientific and financial, and that, if awarded, it is approved for implementation.

Depending on whether (a) you are submitting as the subcontractor on another institution's grant or (b) you are submitting a grant with a subcontract as part of the proposal, you will need to either supply institutional endorsement or receive institutional endorsement by the following means:

Signed Letter. Provide an institutional endorsed letter agreeing to the work relationship being proposed between the primary grant institution and the subcontractor institution. This relationship is outlined in the Scope of Work/Statement of Work and research project. Also, indicate that the budget submitted for the portion of the subcontractor's work is accurate and in accord with the subcontractor institution's indirect cost and fringe benefit rates, as approved by **their** cognizant audit agency.

OR

Specific Sponsor Forms. When submitting to some sponsors, including but not limited to NSF and NIH, an institutionally endorsed cover page or Face Page indicates agreement between the two parties for the proposed work. By way of this signature, the subcontractor institution agrees to the portion of work described for the amount requested on the face page/cover page. This also assures that the subcontractor institution is in compliance with assurance issues, if applicable.

Assurances. By way of the institutional endorsement, all the assurances required by the "sponsor" including but not limited to animals, humans, recombinant DNA, radioactive materials usage, civil rights, debt/debarment, lobbying, conflict of interest, etc...for the **subcontractor's** institution, will be acknowledged as pending approval or approved.

FOR ADDITIONAL REQUIREMENTS, ALWAYS REFER TO THE SPONSOR-SPECIFIC GUIDELINES. (This information serves as a model. Certain sponsors and/or institutions may require additional or different information. Please verify with specific sponsor and/or institution before submission deadline.)

THE SPONSOR, GRANTEE AND SUBRECIPIENT RELATIONSHIP

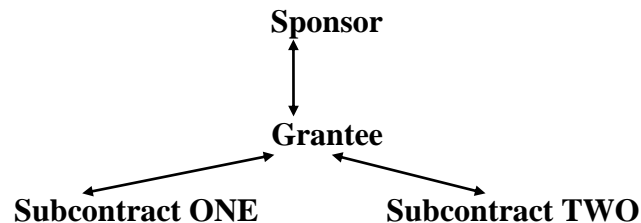
There is a one-on-one relationship between the sponsor and the grantee and between the subrecipient and the grantee.

THE SPONSOR AND THE GRANTEE INSTITUTION

The sponsor will expect the grantee institution to assure that all assurances and policies are being adhered to at the grantee institution and the subrecipient's institution. The relationship between the sponsor and the grantee institution is a two-way communication and information freely passes between the two entities.

THE SUBRECIPIENT AND THE GRANTEE INSTITUTION

The subrecipient and the grantee institution have a relationship similar to that of the sponsor and grantee institution. However, the subrecipient and the sponsor DO NOT have a relationship without the grantee institution. Therefore, all communication and information MUST pass from the subrecipient through the grantee institution to the sponsor. The sponsor does not deal directly with a subrecipient (except under unusual circumstances).



VII. UNIVERSITY SUPPORT

The Vice President of Research has in place a process to facilitate the review requests for institutional support. This process will assist project directors in orchestrating a fiscal plan.

1. A Research Support Request form (RSR) should be delivered to the Office of the Vice President for Research well in advance of the submission of any proposal or pre-proposal to an external funding source. Henceforth, at least four weeks lead time will be required for proper consideration of a Research Support Request.

2. A significant matching dollar commitment from both the Division Dean(s) and/or Department Chair(s) must be specified in the budget page of the Research Support Request form. Letters of endorsement from the Dean(s) and Chair(s) must accompany these commitments.

3. Signatures of the Division Dean(s) and/or Department Chair(s) must be included on the Research Support Request form to ensure that each has reviewed the proposal with respect to divisional and/or departmental long-range planning. The signature of the PI/PD is required.

HOW DO I GET APPROVAL TO REDUCE MY INDIRECT COST RATE?

Facility & Administrative costs, like direct costs, are very real and must be paid. The University recognizes that there are times when an Investigator may feel an application will

be uncompetitive and its success compromised by the inclusion of full indirect cost recovery in a proposal budget. In such cases, Investigators may seek a waiver of the requirement to budget full indirect cost by securing alternative funds to support these costs. These funds may come from their Chair, Dean, Provost and/or other parties on campus having RF University Development Research Funds.

The Research Support Request form found at <http://www.stonybrook.edu/research/forms/campus/rsr-form.pdf> should be completed and submitted to the Office of the Vice President 30 days before the sponsor deadline.

The final approval from the Vice-President for Research to proceed with a reduced rate must be attached to the four page form when submitting an application for review to the Office of Sponsored Programs. Applications lacking this documentation will not be endorsed until the appropriate approval is received.

VIII. The SUSB 299 PROPOSAL/AWARD PROCESSING FORM (a.k.a 4-page form)

SUSB 299 is the required internal document used to gather important information pertaining to a particular grant or contract submission. Every application must be accompanied by a SUSB 299. This form will not be forwarded to the sponsor. The Office of Sponsored Programs uses the information contained in this form to facilitate the administrative review process and also, initiate a pending computer and hardcopy file. The form can be found at: <http://www.stonybrook.edu/research/forms/ors/susb299.html>

The completion of this form, including all required signatures from chairs and deans, enables The Research Foundation of SUNY to submit proposals *for and in conjunction with* the State University of New York at Stony Brook. Also, in the event action on the request is favorable, a completed SUSB 299 enables The Research Foundation of SUNY to serve as fiscal administrator of the award and depository for all funds in support of such an award.

Contact your Sponsored Programs Coordinator at 2-9949 if you have any questions regarding the completion of the SUSB 299.

IX. SUBMITTING YOUR PROPOSAL TO THE SPONSOR

Principal investigators/project directors are required to submit complete proposal packages to the Office of Sponsored Programs 5 working days prior to a sponsor's deadline or postmark date.

Postmarks

Some sponsors have a postmark deadline to meet. Proof of mailing, receipt of postmark, can be obtained at your local U.S. Postal Office.

Airborne Express, Federal Express and other **EXPRESS** shipping options...

There are a number of options available to anyone wishing to utilize a “next day delivery” service:

1. **Federal Express:** Guaranteed overnight delivery! One of the most flexible options. For your convenience, there are dropboxes located in various locations on campus. Also, Federal Express offers pick-up service from your office, laboratory or home. If you choose to have Federal Express pick-up at a specific location, be sure to call them in advance and receive a confirmation number. Federal Express also has various off-site locations which you may visit and drop off packages for delivery (not limited to: Bohemia, Calverton, or Hicksville).

If you choose to have the Office of Sponsored Programs Federal Express your package, you must provide a completed Federal Express mailing slip with your Federal Express account number for billing purposes. At the time of mailing, you cannot charge this mailing to an account such as a grant, state account, etc... you must provide a valid Federal Express account number. All packages, ready to be mailed, must be at the OSP by 3:00 p.m.

Packaging materials can be obtained by contacting Federal Express.

1. **Airborne Express:** Overnight delivery. Another popular overnight mail service here on campus! Like Federal Express, there are a number of drop boxes located on campus. Also, Airborne offers pick-up service from your office, laboratory or home. You must be sure to call in advance for a pick-up. If you wish to leave your package at OSP for pick-up, be sure to have the package in OSP **no later than 12 noon for same day shipping.** Airborne Express must be contacted before 12 noon for pick-up from OSP. Airborne usually picks up from OSP some time around 3 p.m.

If you decide to have OSP send out your package, you must provide a completed Airborne Express mailing slip with your package including your Airborne account number. This mailing cannot be charged to any other account at the time of mailing. It must be charged to your Airborne account number ONLY.

2. **Other Express Options:** Express Mail from the U.S. Postal Office, U.P.S. Next Day Air, or call Mail Services at 632-6231 for more information.



X. SPECIAL TOPICS IN GRANTS ADMINISTRATION

In this chapter, topics such as Program Project Grants, Equipment Grants, National Research Services Awards (Individual and Institutional) and award transfers are discussed. The information provided is to acquaint you with some unique situations and possibilities. For more detailed information, contact Peter Saal in the Research Resource Center (632-9033) or your Sponsored Programs Coordinator (632-9949). Before planning a proposal or initiating an action to transfer, it is strongly encouraged you contact Sponsored Programs at 632-9949.

National Institutes of Health
offer
PROGRAM PROJECT GRANTS



The National Institutes of Health use the program project and research center grants to foster multidisciplinary approaches in research. In program projects, the research effort is facilitated by the sharing of ideas, data, and specialized core resources such as equipment, laboratories, clinical facilities, and administrative services. Through a focused approach of many, the research objectives are achieved. Through collaborative efforts directed toward one common theme, program projects may accelerate the acquisition of knowledge and may facilitate economy of effort, space, and equipment.

Program project grants support an investigator-initiated research program in which a team of investigators work in a clearly defined area of mutual scientific interest and specialty. The program director must possess recognized scientific and administrative competence and must show a substantial commitment of time and effort to the program and exercise leadership in the maintenance of its quality. It is the responsibility of the program director to define the integrating theme and to develop the approaches that would be used to accomplish the objective of the proposed research program.

The number of projects to be included in a program project should be thoughtfully considered. It must have a sufficient number of scientifically meritorious research projects and involve an efficacious collaborative effort among participating investigators. Fewer than three projects, even with appropriate core units, usually does not provide the anticipated multidisciplinary and cooperative benefits of a program project. Yet, it is important to also

keep the complexity or magnitude of the program limited. It should not be so large and diverse as to hinder the productive interaction or essential coordination of the program. All the projects included in the program should have supporting pilot data and should be of the highest technical merit.

The related projects included in the program should reflect a variety of disciplinary and specialty backgrounds of experienced scientists who are willing to identify new scientific leads that may be effectively pursued by others in the program. Meetings of participating investigators, who share and evaluate results and new ideas, are essential to the research projects' cohesive program. An internal advisory committee can be effective in assisting the program director in making scientific and administrative decisions.

Specific Characteristics

- a well-defined, unifying research theme, or overall goal, to which each project relates and contributes;
- a program director of recognized scientific and administrative competence, who must commit substantial time and effort to the program and who will exercise leadership in maintaining the quality of the program;
- long-term support (five years) for research projects, each of which must be meritorious, as assessed by peer review;
- usually a minimum of three interrelated research projects that complement each other, and at least one core, all recommended for support for five years;
- at the discretion of the program director, projects included that do not require five years of support would be in addition to the usual minimum of three projects for five years of support;
- the participation of established investigators in several disciplines or investigators with special expertise in several areas of one discipline; and
- the expectation that support of interrelated projects and collaborating investigators would yield results beyond those achievable were each project pursued separately and without interaction among the participating investigators.

Preparing a Program Project or Research Center Grant Application

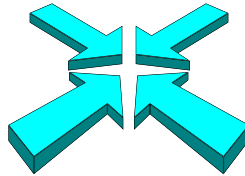
Inquires about the preparation of all program project grant applications and administrative aspects of funded program projects should be directed to the appropriate office at the specific sponsoring Institute.

NIH policy requires that applicants for unsolicited new (Type 1) grants who plan to request \$500,000 or more direct cost for any year, **must** contact the appropriate Institute program staff before preparing the application. To ensure compliance with this policy, applicants must identify, in a covering letter, the staff member who agreed to accept the assignment of the application. The covering letter must be sent with the application. This does not apply to

competing renewal (Type 2) applications, applications submitted in response to a “Request for Applicants”, and amended or revised applications.

Due to the complexity and preparation involved in program project grants, it is important to plan well in advance. Contact your Sponsored Programs Coordinator as soon as possible to assist in your planning and preparation.

EQUIPMENT GRANTS



Some Federal Sponsors offer funding for the purposes of specialized pieces of equipment. Often, equipment grants incorporate more than one user, more than one department, and even more than one institution. There is often a “funding range” for proposals. Some times, specific directorates of federal agencies will cooperate with other federal agencies or directorates within the same agency to fund the acquisition of certain equipment.

Specific options and information concerning equipment grants can be explored by contacting Peter Saal in the Research Resource Center.

NATIONAL RESEARCH SERVICE AWARD



Origin and Purpose

The Congress of the United States established the National Research Service Award (NRSA) Program in 1974 to “increase the capability of the institutes of the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA) to carry out their responsibility of maintaining a superior national program of research into the physical and mental diseases and impairments of man,” (Public Law 93-348). The Congress felt that the success of the Federal research effort depended on the availability of

excellent scientists. Two of the mechanisms established to ensure this goal were direct training support through individual and institutional NRSAs. Congress extended the authority to make NRSAs to the Agency for Health Care Policy and Research (AHCPR) in 1985.

What is the difference between an Institutional NRSA and an Individual NRSA?

Institutional NRSAs support a research training program at a specific domestic public or non-profit institution in a specified area(s) of research. Individual NRSAs support an individual predoctoral, postdoctoral or senior level fellow in a targeted area of research.

INSTITUTIONAL NATIONAL RESEARCH SERVICE AWARDS

Who is appointed to Institutional NRSAs?

The individuals appointed to a research training program are termed as *Trainees*. Appointments to the program are available at the predoctoral and postdoctoral levels with “other” positions available for the support of the program.

What type of support does an Institutional NRSA provide?

Institutional NRSAs support includes stipends, tuition, fees and insurance, trainee travel and other training-related expenses.

How do I apply for an Institutional NRSA?

In order to apply for an Institutional NRSA, you must have a specific Research Training Plan. At the application stage, the proposed project director/principal investigator proposes the plan, direction, available faculty, proposed training and trainee candidates, along with a budget for the program.

INDIVIDUAL NATIONAL RESEARCH SERVICE AWARDS

Who is awarded Individual NRSAs?

Individuals who receive Individual NRSAs are called fellows. Individual NRSAs are available at the predoctoral, postdoctoral, and senior levels. Predoctoral fellowships are available from NIH. ADAMHA, AHCPR, and NIH support postdoctoral fellowships. Senior fellowships are available only at NIH.

What type of support does an Individual NRSA provide?

NRSA fellowships awards are “fixed”. The budgets are based on a formula or determined at the time of the award by the awarding institute. (Exception being Senior fellowships which are based upon experience and salary information provided by the applicant.)

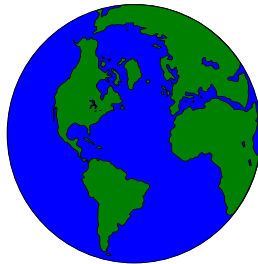
How do I apply for an Individual NRSA?

You must meet the eligibility requirements as set forth: Citizenship, Degree Requirements, Research Training Program, and Research Area(s). PHS416 provides some of the necessary information and guidelines, along with forms, for the completion of the Individual NRSA application.

Also, don't forget...you will need a "sponsor". In order to apply for an Individual NRSA, you will need a member of the SUNY Stony Brook faculty in your area of research to endorse and support your application.

Best advice! Call your Sponsored Programs Coordinator and make an appointment to discuss your application plans. Also, you will be able to obtain the necessary application materials, such as, SUSB Form 299.

AWARD TRANSFERS



New faculty members transferring their awards from their prior institution to The Research Foundation of SUNY for and in conjunction with SUNY Stony Brook, are encouraged to talk to Sponsored Programs as early as possible. The exact forms and timing of filing will depend on the sponsor. Additionally, a Proposal/Award Processing Form will be required.

These documents could include the following:

- New face page
- Revised budget for funds to be transferred to Stony Brook campus
- Update on progress
- Biographical sketch and current/pending support for any new key personnel
- Completed relinquishing statement signed by prior institution

XI. RESOURCES

Office of the Vice President for Research

Dr. Gail S. Habicht, Vice President for Research, Research Foundation
Operations Manager, and Professor of Pathology
Phone: 632-7932, Fax: 632-9520 ghabicht@notes.cc.sunysb.edu

Dr. Michael Hadjiargyrou, Associate Vice President for Research and Professor of
Biomedical Engineering Phone: 632-4402, Fax: 632-6963
Michael.hadjiargyrou@stonybrook.edu

Nancy Daneau, Assistant Director for Administrative & Operations Management,
Phone: 632-9942, Fax: 632-9520 ndaneau@notes.cc.sunysb.edu

Esther Miller, Financial Assistant, Phone 632-9025, Fax 632-6963
emmiller@notes.cc.sunysb.edu

The Research Foundation of State University of New York is a private, non-profit, educational corporation chartered in 1951 by the NYS Board of Regents. Its purpose is to assist the State University of New York and SUNY faculty in administering sponsored research, training, and other sponsored activities. The Research Foundation's activities are governed by the 1951 charter and the terms of a 1977 Agreement with SUNY, which defines the relationship between the Foundation and SUNY. The Research Foundation endorses applications for fiscal support to possible sponsors of research activities, and services as trustee and fiscal administrator for all funds awarded in support of sponsored programs. To facilitate activities, a branch office of the Research Foundation resides at Stony Brook under the management of the Vice-President for Research.

Office of the Associate Vice President for Research

Dr. Michael Hadjiargyrou, Associate Vice President for Research and Associate Professor of
Biomedical Engineering Phone: 632-4568, Fax 632-6963
Michael.Hadjiargyrou@stonybrook.edu

Stefanie Massucci, Multidisciplinary Project Associate Phone: 632-8589, Fax 632-6963
smassucci@notes.cc.sunysb.edu

Peter M. Saal, Funding Opportunities Administrator Phone: 632-9033, Fax 632-6963
psaal@notes.cc.sunysb.edu

Multidisciplinary and Interdisciplinary Activities

Strengthening multidisciplinary and interdisciplinary research at Stony Brook is the primary responsibility of the Office of the Associate VP for Research. There is a growing trend among sponsoring agencies to fund research that draws upon expertise from different disciplines. This trend is largely driven by the need to address complex problems. This office helps to organize multidisciplinary groups working on a wide array of topics who are interested in responding to various sponsor opportunities, and provides dedicated staff resources to assist investigators not only in identifying such opportunities, but also with the compilation, submission, and administration of multidisciplinary projects. Researchers interested in pursuing large (>\$1M per year) multidisciplinary grant opportunities are encouraged to contact our office to request this assistance.

Research Resources Center

One of the tools available to help foster multidisciplinary research efforts is the Research Interests and Funding Opportunities database (<http://www.stonybrook.edu/researchinterests>). This web-based system has two major functions:

1) *Research Interests Profiles*: In this part of the database, we gather SBU faculty profiles which reflect research interests and expertise, career and educational histories, lists of grants received and publications, keywords, and much more. This information is available to the whole campus in a web-based searchable format, and with several views and dynamic search features, is a powerful tool for researchers looking to identify collaborators.

2) *Funding Opportunities*: This office has the primary responsibility for locating, collecting and distributing funding opportunities to the campus. Every week, dozens of new and renewed funding opportunities from a wide range of sponsors, covering a wide range of topics, are loaded into the database. Each one is assigned keywords, based on the interests expressed by the sponsor. Those keywords are automatically matched to the keyword selections in the researcher profiles, and once-weekly automated emails are sent to faculty providing information on the opportunities that matched their stated interests. All opportunities remain on the database until they have expired, and there are numerous views (including weekly funding bulletins, opportunities sorted by discipline, keyword, due date, funding amount, etc.) available to help locate those that are relevant to your needs.

This database is available to anyone at Stony Brook University (faculty, student, staff, etc.), and every faculty member / researcher is encouraged to create or update their profile in order to benefit fully from this service. Also, departmental administrators are encouraged to access the database to review the weekly funding bulletins.

In addition to the opportunities distributed through the database described above, our office is also responsible for coordinating the selection of sponsor-limited nominations and applications from the campus, and for facilitating active membership and maintenance of researcher profiles on the Community of Science (COS) system. Also, on an as-needed basis, our office provides group or individual training sessions on Grants.Gov, new investigator workshops, etc.

Office of Research Compliance:

Judy Matuk, Director, Phone: 632-9036, Fax: 632-9839 jmatuk@notes.cc.sunysb.edu

The Office of Research Compliance is responsible for administering the campus' compliance with laws and regulations dealing with research involving: human subjects, laboratory animals, and recombinant DNA. In addition, the office monitors compliance with federal and state requirements regarding conflict of interest relating to sponsored research (SUNY 2 process) and coordinating the investigation of allegations regarding scholarly misconduct.

The Office publishes and distributes guidelines, application materials and forms dealing with the above areas. It administers the activities of the campus Institutional Review Board, IRB (the Committee on Research Involving Human Subjects, CORIHS), the Institutional Animal Care and Use Committee, (IACUC) and the Institutional Biosafety Committee (IBC). The Office also participates on relevant matters handled by the University Radiological Protection Committee (URPC).

All investigators proposing research activities involving any or all of the regulated activities above, whether or not seeking external funding, must obtain approval from the appropriate committee.

RESEARCH COMPLIANCE: (<http://www.research.sunysb.edu/rescomp/>)

Office of Sponsored Programs:

Ivar Strand, Assistant Vice President, Phone: 632-4402, Fax: 632-6963
istrand@notes.cc.sunysb.edu

Esther M. Miller, Assistant to the AVP, Phone: 632-9025, Fax 632-6963
emmiller@notes.cc.sunysb.edu

Kathryn Belmonte, Senior Administrative Asst., Phone: 632-4402, Fax 632-6963
kbelmonte@notes.cc.sunysb.edu

Leana Price, Administrative Assistant, Phone: 632-9949, Fax: 632-6963
lprice@notes.cc.sunysb.edu

Contracts and Grants Administrators

Lydia Chabza, Phone: 632-4849, Fax 632-6963 lchabza@notes.cc.sunysb.edu

Alina Kukta, Phone: 632-9028, Fax 632-6963 akukta@notes.cc.sunysb.edu

Susan Gasparo, Phone: 632-9029, Fax 632-6963 sgasparo@notes.cc.sunysb.edu

The Administrator is the senior member of the Office of Sponsored Programs management team, with responsibility for liaison between faculty and corporate sponsors, campus administrative offices and the central office of The Research Foundation. Experienced in contract and subcontract negotiation and intellectual property matters, an Administrator will be the primary contact for investigators and sponsors when the results of any award will be a contract, subcontract or complex grant or cooperative research agreement.

Administrators provide assistance in proposal development, fiscal planning and management, and patent and licensing issues, as well as general contract and grant administration. They will draft and/or negotiate terms and conditions for full range of industrial and governmental agreements.

As authorized institutional officials, Administrators may approve and sign all documents pertaining to proposal submission, award acceptance, and contract execution. They authorize establishment of accounts and fiscal transactions pertaining to the advance of funds, increases in budget and extensions of term dates, with and without additional funding.

Administrators also represent the institution and faculty in executing all agreements which require institutional approval and acknowledgment. Any sponsor document which requires a signature of any sort, (e.g., investigator, chair, dean, institutional official) should be brought to the attention of the Contracts and Grants Administrator.

To find out which Contracts and Grants Administrator is responsible for your department, please call 632-4402 or visit

<http://www.research.sunysb.edu/research/spo/deptasgn.pdf>

Clinical Trials Administrators

Leigh Gentilcore, Phone: 632-4949, Fax 632-6963 lgentilcore@notes.cc.sunysb.edu

Alina Kukta, Phone 632-9028, Fax 632-6963 akukta@notes.cc.sunysb.edu

Leigh Gentilcore and Alina Kukta negotiate, administer and assist faculty with proposal development for all pharmaceutical company-sponsored clinical trial agreements where the protocol has been developed by the company. They also work closely with the Office of Clinical Trials in the Office of Scientific Affairs (SOM) to provide guidance on budget preparation.

NYS Contract Administrator

Annette DePietri, Phone: 632-4702, Fax 632-6963 adepietri@notes.cc.sunysb.edu

Annette DePietri assists faculty with proposal preparation/submission, contract negotiation and administration for all contracts sponsored by agencies of the State of New York.

Sponsored Programs Coordinators

Lydia Chabza, Supervisor, Phone: 632-4849; Fax 632-6963 lchabza@notes.cc.sunysb.edu

Mary Serra, Phone: 632-9079, Fax: 632-6963 mserra@notes.cc.sunysb.edu

Joann Delucia-Conlon, Phone: 632-9102, Fax: 632-6963 jodeluciacon@notes.cc.sunysb.edu

Laureen Velez, Phone: 632-1681, Fax: 632-6963 lvelez@notes.cc.sunysb.edu

Jin Bentley, Phone: 632-1682, Fax: 632-6963 jbentley@notes.cc.sunysb.edu

Sponsored Programs Coordinators are responsible for assisting project directors in the preparation of grant applications and the administration of grant awards. In addition, they are one of the contacts/liasons between departments and/or project directors and the sponsors for information relating to proposals and awards.

Sponsored Programs Coordinators have assigned campus departments. They work closely with faculty, administrative assistants, graduate students and other research personnel. Often, your Sponsored Programs Coordinator will be one of your first contacts at the Office of Sponsored Programs.

When preparing a grant application, a Coordinator will guide you through the Research Foundation of SUNY's review process. In preparing for this review, the Coordinator needs to ensure SUNY/Research Foundation and sponsor guidelines and policies are being followed. The goal is to make this process as easy as possible. Therefore, should you decide you are going to submit a proposal, contact your Coordinator as soon as possible.

In most cases, if a project director has a question about a pending and/or active account(s), contact should be made with a Sponsored Programs Coordinator.

To find out which Sponsored Program Coordinator is responsible for your department, please call 632-9949 or visit

<http://www.research.sunysb.edu/research/spo/deptasgn.pdf>

Account Establishment and Maintenance Unit

Razeema Sahib, Supervisor, Phone: 632-6568, Fax: 632-6963 rsahib@notes.cc.sunysb.edu

The Account Establishment & Maintenance Unit plays an important role in the processing of proposals and establishing and maintaining awards for the project directors.

The Unit is responsible for analyzing and reconciling budgets ensuring that they meet The Research Foundation, SUNY, campus, and sponsor guidelines and policies as part of the proposal review process. The Unit is also responsible for coding, inputting, and establishing applications and awards received from the agencies into the Research Foundation's Grants Management System.

Once the accounts have been established on The Research Foundation System, the account must be maintained. This may entail such functions as extending the termination date, adding additional funds (either cash driven accounts or accounts that have multiple years of funding), and changing reporting requirements as may be required as a result of extending the dates of the award.

The Unit assists the project directors by informing them when their technical progress reports are due at the agencies so that their funding will not be interrupted. Overdue reports from any one investigator may have an impact on other project directors not receiving their funding.

Office of Grants Management

Aaron Rosenblatt, Assistant Vice President, Phone: 632-1953 Fax: 632-9147
aaron.rosenblatt@stonybrook.edu

Marie Bilbao, Administrative Staff Assistant, Phone: 632-1953 Fax: 632-9147
marie.bilbao@stonybrook.edu

Once an award has been accepted, your main point of contact with the Office of Grants Management will be with the Grants Management Specialist assigned to your campus department for the processing of post award expenditures such as personnel, purchasing, travel, acquisition of services and other transactions associated with the conduct of the project. Grants Management Specialists review these transactions for consistency with institutional, federal and sponsor requirements and forwards them to the appropriate office (Payroll, Purchasing, Travel Payables, etc.) for implementation. The Grants Management Specialist will assist you in accomplishing your project needs within the complex requirements that apply to the use of external funds.

To find out which Grants Specialist is responsible for your department, please visit <http://www.research.sunysb.edu/research/gmo/ogmassign.pdf> or call Grants Management at 2-9038.

To schedule training for the RF Business System (Principal Investigator Award Interface / PIAI) contact Marie Bilbao.

Accounts Receivable/Financial Reporting Unit

The Accounts Receivable/Financial Reporting Unit prepares and submits all sponsor required financial reports and invoicing for collection of sponsored funds as the result of awards received. This area within the Office of Grants Management reviews all new awards to ensure timely submission of required financial reports and statements on behalf of awardees. As part of the preparation of these reports, the Financial Specialist responsible will review expenditures, including cost shared items for both sponsor and institutional fiscal compliance.

To find out which Financial Specialist is responsible for your department, please call Grants Management at 2-9038.

Research Informatics

Adnan Rangwala, IT/ Financial Systems Manager, Phone: 632-1997 Fax: 632-5704
adnan.rangwala@stonybrook.edu

Anthony DeVietro, Sr. Systems Administrator & RF Security Administrator,
Phone: 632-9840 (Fax 632-5704) anthony.devietro@stonybrook.edu

Research Informatics is responsible for the maintenance and dissemination of information about the campus' research activities. This unit maintains the campus' Research Informatics web site, <http://www.research.sunysb.edu> a collection of over 800 web documents providing current and historical information about sponsored project expenditures. It also maintains the database, computing and network environment of the offices of the Vice President for Research. It manages a document imaging system to serve the research administration offices.

Informatics has shared responsibility for representing the Stony Brook campus in the implementation of the Research Foundation's Business System, which replaced the legacy system for sponsored projects.

This unit also produces a wide range of customized reports on research activities to both internal and external constituencies.

Research Informatics is responsible for the administration of security on the Research Foundation business system. Investigators seeking access to the RF system, for themselves or their delegates, should contact Anthony DeVietro.

Office of Economic Development

Dr. Ann-Marie Scheidt, Director, Phone 632-7006, Fax: 632-5704
amscheidt@notes.cc.sunysb.edu

Catherine LaGrega, Secretary, Phone 632-7006, Fax 632-5704
klagrega @notes.cc.sunysb.edu

The Office is responsible for linking the academic and research resources of the campus with the economic needs of Long Island and New York State. Stony Brook is the intellectual engine for the globally competitive high technology and knowledge-based industries that are defining the region's and State's economic future. The Office sustains institutional participation in the region's principal business organizations, works closely with State and municipal economic development agencies, fosters efforts to promote industry-university collaboration, especially in entrepreneurial ventures, and is responsible for research outreach publications in print and Web media. Researchers interested in the opportunities created by the University's economic development mission are invited to contact the Office to explore areas of potential participation/collaboration.

Office of Technology Licensing and Industrial Relations

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This office assists in the preparation of new technology disclosures, and is involved in the marketing of such property to the private sector. The Office of Technology Licensing and Industry Relations is the focus for issues regarding Patents, Copyrights, Technology Transfer and intellectual property of all kinds.

The term "invention" includes new substances, devices and processes that are novel, useful, and not obvious. These are also the criteria for obtaining a patent. However, the process of technology transfer is not limited to patentable inventions. Licenses may be negotiated based on "know-how." That is, the knowledge and skill of a particular investigator related to a specific technology may be marketable, as may a new material, even though a patent is not obtained. In addition, computer programs or software can be protected by copyright or patent.

Since it is SUNY policy to bring its inventions into the marketplace for public benefit, as well as for the benefit of the inventors and SUNY, inventions should be disclosed promptly and completely by SUNY faculty members, students, and employees. A completed and dated record of an invention is essential.

SUNY investigators are encouraged to publish the results of their research. However, patent rights may be jeopardized by public disclosure prior to the filing of a patent application; therefore, professional judgment is required regarding the timing of publication. Other functions of the Office of Technology Licensing and Industry Relations include the general protection of intellectual property and the inventors' and university's rights, providing for confidential exchanges of information, and material transfers for technical evaluation purposes.