ST. JOHN'S
UNIVERSITY

Office of Grants and Sponsored Research

Research Administration

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I. What is OGSR:

An Extension of the Provost Office –

Office of Grants and Sponsored Research (OGSR) oversees the administration of sponsored programs at SJU. OGSR operates through delegation of authority from the Office of the Provost. We provide service and support related to research activities across all schools and units. Our office identifies opportunities and partnerships, facilitates the submission of sponsored projects proposals on behalf of SJU. The office of OGSR also provides advice and guidance regarding applicable rules and regulations, assists faculty and staff in the proper submission of sponsored projects.

OGSR works closely with the Office of Business Affairs regarding some post-award items such as budget modifications, no-cost extensions, time and effort, IDC, EPCF's and PCF. We also work closely with General Counsel to ensure proper negotiation and execution of both funded and non-funded agreements, this also includes: sub awards, fee-for-service agreements and contracts. Our office also consults with the Biosafety, Facilities, the Controller, chair persons and directors of all schools. The OGSR also processes all IRB (Institutional Review Board) protocols.

The Mission of the OGSR:

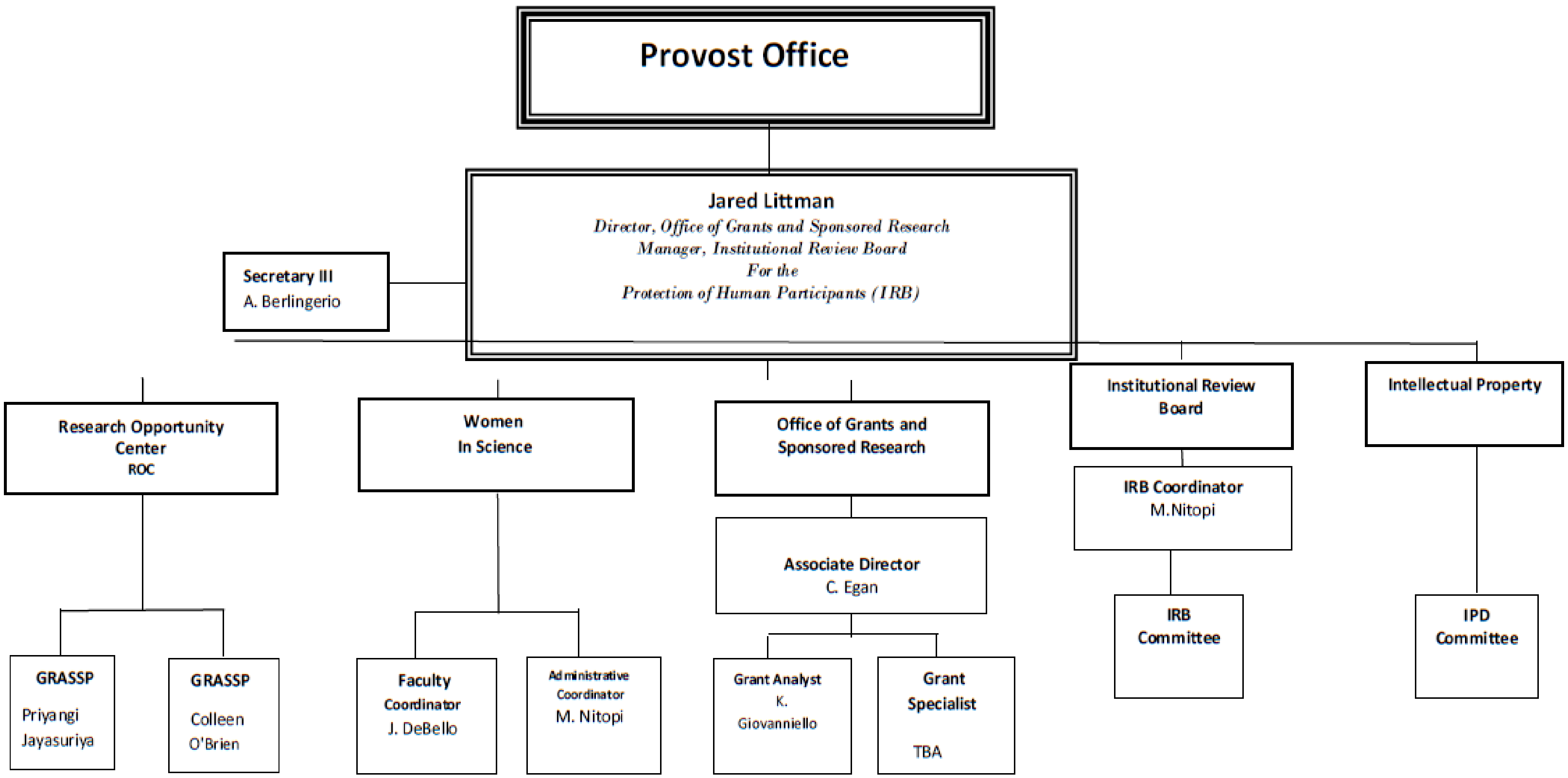
The support of University and Faculty initiatives to secure external financial support, as well as the management of ongoing funded research and service projects.

We provide service and support related to research activities across all schools and units at the University and work closely with the Office of Business Affairs regarding post-award items such as the financial management of sponsored projects. Sponsored programs include research, instruction and training, public service, evaluative testing, and other scholarly and creative activities conducted under the direction of University faculty and staff and funded by organizations external to the University in accordance with award regulations.

The Office also consults with the Office of General Counsel, Biosafety, and the IRB on items relating to the conduct of a sponsored project.

All activities are undertaken in congruence with the University's Vision and Mission.

II. Organizational Chart OGSR



revised. 10/8

A. Office of Grants and Sponsored Research

Newman Hall – 106

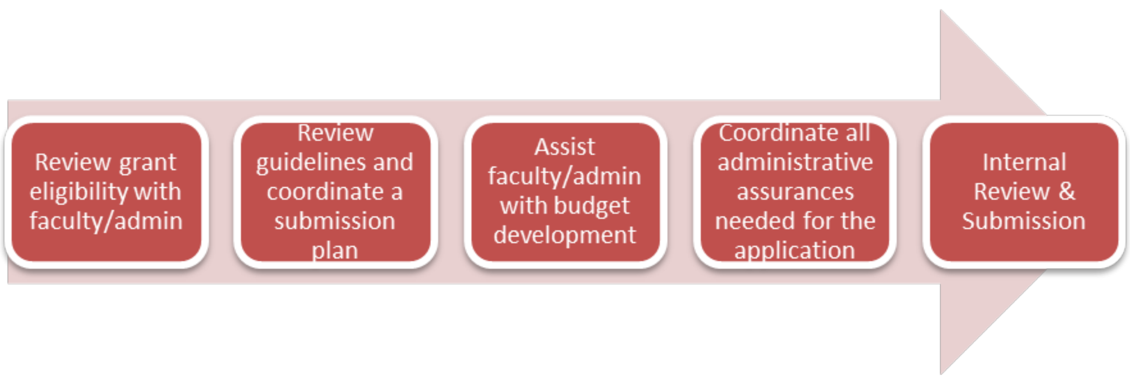
http://www.stjohns.edu/academics/centers/grants

Title	Name	Email	Phone
Director	Jared Littman, M.P.A.	littmanj@stjohns.edu	(718) 990-2920
Assistant Director	Christopher Egan, M.S.	eganc@stjohns.edu	(718) 990-1903
Grants Specialist	TBA		
Grants Analyst	Karen Giovanniello, M.B.A.	giovannk@stjohns.edu	(718) 990-6051
IRB Coordinator & Women in Science Coordinator	Marie Nitopi, Ed. D	nitopim@stjohns.edu	(718) 990-1440
Faculty Women in Science Coordinator	Joan DeBello, Ed. D	debelloj@stjohns.edu	(718) 990-2032
Administrative Assistant	Adrianna Berlingerio, B.S.	berlinga@stjohns.edu	(718) 990-6276

B. Our Services

OGSR office should be contacted as much as possible; it's a resource for you and your research career. The OGSR's website (http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research) has reference information that will help you in preparing your proposal and managing your pre and post award. OGSR also hosts training sessions to help you prepare, submit and manage your proposals successfully. Below are a handful of ways that OGSR can assist you:

- Provides final review and submission of all grant proposals.
- Works closely with faculty, administrators and staff, providing guidance and advice to ensure compliance with University and sponsor guidelines.
- Ensures proper execution with a sub recipient.
- Liaising with sponsors on behalf of PI's and schools
- Grant award negotiation and acceptance
- Post-award changes (budgeting, no-cost extension, award transfer, etc.)
- Award close-out (non-financial)
- Education, professional development and outreach



C. Data Sheet

ST. JOHN'S UNIVERSITY

Data Sheet

For proposals submitted through **St. John's University**

University Information

Applicant Organization's Legal Name	**St. John's University**
Mailing Address of Applicant Institution	**On behalf of: *INSERT NAME OF COLLEGE/UNIT* 8000 Utopia Parkway, Queens, NY 11439-9000**
Congressional District	**NY-005**
County	**Queens**
Non-Profit 501(c) (3) Determination Date	**March 3, 1946**
Institutional Representative/Financial Officer	**Sharon Hewitt Watkins, CPA, CGMA**
Telephone Number	**(718) 990-3369**
FAX Number	**(718) 990-6020**
E-mail	**hewittws@stjohns.edu**
Employee Identification Number (EIN): AKA Entity ID# or TIN	**11-1630830**
Federal Interagency Committee on Education (FICE):	**xxx**
CAGE Code	**7A570**
Dun & Bradstreet (DUNS) Number AKA Data Universal Numbering System	**073134744**

Compliance Information

For Research Involving Animal Subjects		
Animal Welfare Assurance Number	**A3578-01**	
Assurance Period	**May 1, 2017 – April 30, 2021**	
Institutional Animal Care & Use Committee (IACUC) Chair	**Dr. Louis Trombetta**	(718) 990-0000
E-mail	**trombetl@stjohns.edu**	
Division of Animal Resources Web Site	http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research/human-participants-irb-animal-use-research	
For Research Involving Human Subjects		
Human Subject Assurance Number	**FWA00009066**	
Institutional Review Board Chair	**Raymond DiGiuseppe**	(718) 990-1955
Email	digiuser@stjohns.edu	
IRB # Web Site	http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research/human-participants-irb-animal-use-research	
For Research Having Biosafety Issues		
Biosafety Institutional Chair	**Colleen M. Greaney**	(718) 990-1348
Biosafety Committee Web Site	http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research/institutional-biosafety-committee	
For Research Having Radiation Safety Issues		
Radiation Safety Institutional Chair	**Colleen M. Greaney**	(718) 990-1348
Office of Radiation Safety Web Site	http://www.	
For General Safety and Health Issues		
Safety and Health, Director	**Colleen M. Greaney**	(718) 990-1348
Office of Safety and Health Web Site	http://www.stjohns.edu/about/administrative-offices/operations/environmental-health-safety	
Misconduct in Science		
Date Misconduct in Science Policy Filed	**April 2016**	

Fiscal Information

F & A	Federal Cognizant Agency	**US Department of Health and Human Services**
	Indirect Cost Rate Period	**June 1, 2016—May, 31, 2020**
	Date of Indirect Cost Rate Agreement with DHHS	**March 6, 2017**
	Federal Agent POC	**Michael Stanco, 212-264-2069**
	Federally Negotiated Indirect Cost Rate	
	Organized Research	***Instructions:***
	On Campus (06/01/2016-05/31/2020) 64% *Modified Total Direct Costs*	On Campus (06/01/2016—05/31/2020) 64%
	Off Campus 26%	Off Campus 26%
Benefits	**Fringe Benefits**	
	St. John's University Full Time	37.58%
	St. John's University Part Time	8.00%

Revised 08/10/17

ST. JOHN'S UNIVERSITY

Data Sheet

For proposals submitted through St. John's University

Fringe Benefit Breakdown

Health & Dental	11.76%	0.00%
Tuition Remission	10.59%	0.00%
FICA	6.20%	6.20%
Medicare	1.45%	1.45%
Pension	6.89%	0.00%
MTA Tax	0.34%	0.00%
Group Life Insurance	0.19%	0.00%
NYS. Disab. Exp.	0.16%	0.00%
Total FB	**37.58%**	**8%**

Fringe Rates

Fringe Rates: effective June 1, 2015

FT Faculty	→	37.58%
Adjunct < 20hrs	→	8%
Faculty (Summer)	→	8%
FT Clerical	→	37.58%
FT Students	→	AY or 8%
Summer Student	→	8%

Indirect Costs as follows:

64% on campus - efective 3/6/2017
26% off campus

IDC Breakdown

IDC Breakdown: effective 3/6/2017

100%
60% → University
20% → PI
10% → Dean
10% → Provost

Revised 10/1/2018 (PJ)

III. Pre-Award

A. Finding Funding Opportunities

There are several sources that OGSR uses to identify potential sponsors'. Faculty and staff are encouraged to network internally as well as externally, as funding opportunities are offered in many disciplines across the University. Searching and identifying funding announcements and opportunities can be challenging, and OGSR team should be utilized. Funding Databases & Sponsor Websites

- SJU subscribes to SPIN's major database. You can develop your own profile to generate email alerts of funding opportunities related to your field of research. www.infoedglobal.com (aka – Spin, requires account access from SJU. Email Karen Giovanniello: giovannk@stjohns.edu)

Good luck!

We've also listed a few links below that also list funding opportunities.

Grants.Gov
http://www.grants.gov/web/grants/home.html

Foundation Center
http://foundationcenter.org/

National Institutes of Health (NIH)
http://grants.nih.gov/grants/guide/index.html

National Science Foundation (NSF)
http://www.nsf.gov/funding/pgm_list.jsp?org=NSF%28%22d=date
http://www.nsf.gov/index.jsp

National Endowment for the Humanities (NEH)
http://www.neh.gov/grants

National Endowment for the Arts (NEA)
http://arts.gov/grants

U.S. Department of Education
http://www2.ed.gov/fund/grant/apply/grantapps/index.html

NYC Department of Education
http://schools.nyc.gov/Offices/DCP/Vendor/Default.htm

Letter of Intent

Many Funding Opportunity Announcements (FOAs) (whether Program Announcements or Requests for Applications) request that prospective applicants submit a letter of intent prior to the submission of a grant application. For those FOAs that request it, a letter of intent should include the following:

- Descriptive title of proposed research
- Name, address, and telephone number of the Principal Investigator(s)
- Names of other key personnel
- Participating institutions
- Number and title of the funding opportunity

Although a letter of intent is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows Institute/Center (IC) staff to estimate the potential review workload and plan the review.

The letter of intent should be sent by the date listed on the specific FOA and to the contact and address listed therein. For more information, contact the Program Officer (Scientific/Research Contact(s)) listed in the FOA.

Also, remember that if your budget is at or going to exceed $500,000 in direct costs for any year of the project, NIH policy (NOT-OD-02-004) requires prior approval from IC programmatic staff at least six weeks prior to the anticipated submission date. Information regarding this approval should be submitted in a cover letter along with the application.

B. Proposal Review Guidelines Review

OGSR will provide a **full REVIEW** of the administrative content of all proposals submitted 5 full business days in advance of the sponsor deadline while allowing additional time for the research content to be finalized and submitted to OGSR. Standard Process: - all proposals are DUE to OGSR, before submission, within 5 business days of the sponsor deadline if there is no cost share and 10 business days if there is cost share. Failure to submit proposals on time will put you out of compliance and your proposal will more not get a **thorough review**, all of which fall under the PI’s responsibility.

Grant Life Cycle – OGSR Submission Process

Once a Project Director/Investigator has affirmed their intent to apply to an opportunity the OGSR will assist with the following:

→ Conduct a thorough review of agency guidelines

→ Establish a formal submission agenda with the PI

→ Construction of electronic/hardcopy applications

→ Assist PI in competitive budget development including application of fringe benefits and maximum indirect cost recovery (when applicable)

→ Edit narratives to ensure conformance with sponsor mandates

→ Administer, coordinate internal review process

→ Review all final applications

→Submit proposals in coordination with internal/agency deadlines

C. Cayuse:

Cayuse Policy and Procedures

Electronic Routing for Grant Applications / Internal Approvals Using Cayuse 424

Cayuse 424 is the web-based system for preparing and submitting University grant applications to federal agencies through Grants.gov. Cayuse 424 also stores data concerning proposals that will not be submitted electronically to the federal government. In Cayuse, these proposals are termed “non-federal”.

The “Routing and Approvals” feature in Cayuse 424 is designed to obtain sequential departmental and institutional approval of grant application submissions. This system will be used for internal sign-offs on all applications regardless of whether the actual submission will be made electronically to a federal agency.

Introduction

Submission of applications for extramural funding must be approved by Central Administration. This includes:

1) New Federal and non-Federal applications

2) Non-competing reports (a/k/a "Progress Reports" or "RPPRs."

3) requests to enter into consortia via sub-awards and sub-contracts to grants and contracts awarded to other institutions, and

4) "OPAS" [Other Pre-Award Submissions]--any communication with an extramural funding source that presents specific detailed budgetary information, discusses commitment of university resources, or requires signature approval by a University official (including Deans Office, Safety, etc).

All proposals created in Cayuse will automatically generate a Proposal Summary (containing most of the information necessary for pre-submission review) and a Routing Chain (the electronic pathway for obtaining pre-submission institutional approvals).

1. Proposal Summary: Found on the left side navigation panel, near the bottom of the application, it contains basic information about a submission and a document link for attaching additional files that may be required for institutional review. **Neither of these will be part of the *submitted* application, if the application is being submitted electronically.**

2. Routing Chain. The Proposal Management section of a proposal is found at the bottom of the navigation panel of a Cayuse application. The second link on the bottom takes you to “Routing and Approval”, which contains the routing chain.

Preparations for Routing

The profiles of PD/PIs and Department Chairs contain information that is important to the routing process. Viewing and making changes to these profiles requires the appropriate permissions. If you need access to someone’s profile to make a change, ask that person or call the Office of Grants and Sponsored Research.

PI and Department Chair profiles must contain correct email addresses.

For most departments, the Department Chair should be assigned as “Next Reviewer” for each PI. The Office of Grants and Sponsored Research must be assigned as “Next Reviewer” for each Department Chair. This will allow for an auto-generation of a generic routing chain (which can be modified, according to your needs).

Every PI and every person/office involved in approving proposals may decide to “delegate” authority to another user. A delegate receives all email messages related to routing approvals and has full power to access routed proposals, approve the proposal, and perform rejections (see below). Common reasons for delegating authority include 1) preventing a possible break in the routing chain when an approver is absent, 2) distributing the workload among several people, and 3) transferring approval duties to a subordinate.

Creating a Routing Chain

Routing Chains are created at the same instant that a proposal is created. The routing chain may be accessed within a Cayuse proposal through the Proposal Management section found at the bottom of the navigation panel or the second icon from the left in the upper right hand corner of a proposal.

The name of the PD/PI on the grant is auto-filled as the first person on the chain. In most departments, each proposal created will have a fuller, albeit generic, routing chain produced automatically. Click on the "Edit Chain?" icon in the upper right to add more steps in the chain. If, at any point in the grant submission process, you need to add or edit the names on the list, just click on that same icon.

The suggested order of the routing chain is shown below. If the business rules of your department call for a change in this order, you may change it according to your needs. Additional necessary (or desired) steps in the chain should be inserted into the routing chain before routing is initiated. These steps may include IACUC, EH&S, etc. However, the PD/PI must be the first step in the chain, OGS-Budget should be the second to last step in each chain, and the Authorized Organizational Representative must be the next to last (FCOI--Financial Conflict of Interest Office is the very last. However, you will have the ability to submit prior to their approval):

1. Program Director/Principal Investigator (PD/PI)
2. Additional PD/PIs (on Multiple PD/PI Grants only). Only Einstein PD/PIs will be included on the routing chain. Additional PD/PIs who are not Einstein faculty will not be placed in the chain. Their approval will be inferred from sub-award documentation.
3. Departmental Chair (Insert name of Chair or request that a separate profile be created for routing only.)
4. Office of Grants and Sponsored Research (Insert "OFFICE OF GRANTS AND SPONSORED RESEARCH, [Routing Contact]").

The role of the OGSR in routing is to verify that
A) the routing chain has been constructed correctly and contains the necessary steps and
B) the minimum required institutional forms have been attached in the Proposal Summary.
The OGSR will **<u>not</u>** check on the presence or appropriateness of documents required by other administrative units.

5. Dean’s Office (Insert “DEAN'S OFFICE, [Routing Contact]” Dean’s Office approval can and should be done at this stage of the routing. They do not need to be added at the end).
6. For most departments, when needed, the following steps should be inserted AFTER the Deans Office.
EH&S (Environmental Health and Safety)
IACUC
Office of Biotechnology
7. OGSR-Budget (Insert “OGS-Budget, [Routing Contact]”)
8. Authorized Organizational Representative (Insert “AOR-Authorized Organizational Representative, [Routing Contact]”). Authorized Organizational Representative will be the only AOR on a routing chain and his/her approval will indicate that the proposal is ready to submit (as indicated by the yellow lightning bolt).
9. Office of Biotechnology--optional, as needed.
10. MWBE--optional, as needed.
11. FCOI-Financial Conflict of Interest will do a more detailed check. If you are ready to submit, do not wait for their approval. You can submit once the AOR approves and do not have to wait for FCOI approval.

When Should Routing Begin? What is Required?

Proposals should be routed for internal review and approval **at least 10 days** before the application deadline. The following must be included in the Cayuse proposal file before routing begins:
Note: When a PI signs the PI/PD Certification portion of St. John’s University Final Approval Form, *he/she is taking responsibility for the proposal and stating that he/she has reviewed the access permissions associated with the proposal. Therefore, every PI on a proposal MUST have a minimum of “Write” and “Change Permissions” permissions to that proposal, regardless of who creates the proposal or whether the PI has formally delegated authority to another user.*
Other necessary documents may include forms for approvals from EH&S, IACUC, etc.
For non-federal “generic” applications that are using the Cayuse system only for internal routing, please consult with the OGSR about the additional documents needed for internal review.
Note: attachments in the “Documents” section do NOT need to be in PDF. If you have trouble uploading, choose the second box-- "source"--to upload your document.

Starting the Routing

Routing is initiated when the PI (or the PI’s delegate) goes into the Routing and Approval section of a proposal and puts a check mark in the first box in the routing chain. As soon as this is done, the access rights to the Proposal forms are curtailed for the PI and anyone who had permissions to that proposal. Attachments, such as the Research Plan, can be modified, but not the form data or the budget.

Each person on the chain will receive an email when there are 0 steps away; this indicates it is now their turn to review the proposal. Another email will be sent to all approvers when the AOR approves the grant and it is ready for submission.
Each person/office/approver on the routing chain will need to view those parts of the proposal that are relevant to their approval decision. Several things can occur at each step in the routing process. The approver may conclude that:

1) The proposal is ready for submission. The approval box is checked.
2) The proposal is ready for submission but the PI needs to be aware of some issues. The approval box is checked. Comments are made in the "Routing History" and/or an email message is sent to the PI.
3) Some minor or isolated changes must be made prior to submission. A phone call or email to the PI describes the problem. Changes are made. The approval box is checked.
4) Serious problems are discovered that require a) the PI to make changes and re-initiate the routing or b) re-evaluation of the proposal by a specific intermediate step in the routing. The approval box for the specific previous approval that now requires re-evaluation is UNCHECKED.

Rejections During Routing

"Unchecking" a previously checked box is termed a "Rejection" and brings the approval process back to that step. This also results in emails regarding the rejection being sent to all people on the routing chain. Some or all of these people will eventually need to go back in and reapprove the revised application. Rejection can result in unnecessary delays in the routing process.

Changes to the Budget During Routing

A common example of #3 and #4 above is the discovery by OGSR-Budget of problems with the submitted budget. When changes are required, it is essential that there be timely communication between OGSR-Budget and the PI so that everyone understands 1) that a problem exists, 2) the nature of the problem and the change required and 3) who will be making the change. Depending on the complexity of the problem, OGSR-Budget will determine whether a phone call or email is the best approach to a solution so that the routing can continue.
As noted above, formal "Rejection" by OGSR-Budget back to the PI should be avoided when possible. When the PI step immediately precedes OGSR-Budget, rejection will not interfere with other earlier approvals and, when accompanied by a comment in the routing history, may be an alternative to sending an email.

Who Submits Approved Proposals?

When OGSR-Budget approves the application, the AOR approves and the proposal is authorized for submission to the funding agency. At this stage in the process, ANYONE with "Write" permissions to a proposal may perform the actual application submission to the agency.

Who Will Receive Notification of Proposal Arrival at NIH eRA Commons?
Several people must be informed about the arrival of a proposal on NIH Commons. These include the PI, any person assisting the PI with the submission, and the Office of Grants and Sponsored Research. Adherence to the following conventions will ensure that the appropriate people are kept aware of proposal progress:

SF424 R& R page:
Item 5 Applicant Information: "Person to be contacted regarding this submission" must be auto-filled. Jared Littman should be selected from the drop-down menu. Confirm that his email is littmanj@stjohns.edu

Item 19 Authorized Representative: Auto-fill Simon Moller as the AOR. However, for the email address, insert the email address of the departmental administrative person who should receive emails concerning the proposal status.

How are Changed/Corrected Applications Submitted?

If errors or warnings require that the grant application needs to be resubmitted as a changed/corrected application, the "Submit" permissions need to be re-set by the Office of Grants and Sponsored Research.

Every effort will be made to do this shortly after the first submission of an application, but if you log on and find that you are in "read-only" mode (i.e., you cannot make any changes to the forms), please call the OGSR and request restored permissions.

D. Administrative Content:

- Application forms
- Budget & Budget Justification preparation
- Cost Share commitments
- Subaward documents
- Letter of Intent
- Current and Pending forms
- Letters of Support
- Appendices
- Supplemental Documents (as requested/as required by Foundation)

Application Forms

RFP (Request for Proposal), RFA (Request for Application), BAA (Broad Agency Announcement, RFQ (Request for Quote) and or Funding Opportunity Announcement, guidelines can be very detailed with specific forms to accompany proposal text. Often there are limitations for page length, type size, title length, and supporting documents. Where there are no sponsor guidelines, SJU recommends that the No Guidelines or Forms provided rules be followed.

A cover page should always accompany your proposal. It should include the PI and an SJU Authorized Official or an OGSR Director signature and should also include:

- Proposal Title
- PI Name
- Submitting Department(s) School (s)
- Total Funds requested
- Period of Performance

Page numbers are essential and a Table of Contents helps the reviewers.
An Abstract accompanying the proposal should be both concise and complete. Agencies often use abstracts in their annual reports.

Proposal Contents:

- Summary Page (statement of the project goals and objectives)
- Project Description with defined deliverables, if applicable

- References
- Biographical Sketch
- Budget
- Budget Justification
- Current and Pending Support

Budget and Budget Justification

Every proposal must include a budget (SJU's Excel Budget Form) outlining the intended use of the funds being requested. The total cost of the project should be made up of direct and indirect cost. **Direct costs** are those costs directly associated with, and essential to the completion of the project.

Facilities and Administrative Costs (F&A), also known as Indirect costs are not necessarily directly attributable to a specific project, but rather are included to address general administrative, personnel, and facilities-related expenditures related to the project. F& A rates are expressed as a percentage of direct costs. The University negotiates the rates approved for use with Federal grants, contracts and other agreements with the DHHS acting on behalf of all federal agencies. For budgets submitted to Federal sponsors', Uniform Guidance 2CRF 200 is available on our website which establishes principals for determining costs applicable to grants, contracts and other agreement with intuitions of higher education.

MTDC

Federal F & A cost are calculated based on the project's Modified Total Direct Costs
MTDC = minus the following:
Equipment
Patient Care
Student Tuition Remission
Scholarships and Fellowships
Capital expenditures (includes alterations and renovations)
Portion of sub awards over $25,000

Budget Justification

Budget Justification should include all supporting information for all budget categories, including an explanation for the need of unusual or large expenses such as equipment, travel, use of facilities and or subcontractors, and consultants.

Cost Share or Match Commitment(s)

Cost share or match may be required for your project by either legislation or the sponsored program requirement. (OMB Circular 2CFR 200.306) **Cost** sharing occurs either when a sponsor requires, or the University commits in a proposal, funds beyond those awarded by the sponsoring agency to support a particular **grant** or contract.

Federal funding agencies define and acknowledge various types of cost sharing or matching funds, including:

- Mandatory Cost Sharing required by a sponsor as a condition for making an award and usually refers to an overall percentage of total projects costs to be contributed by a source other than the sponsor.
- Committed Cost Sharing not required by the sponsor yet reflected in the proposal budget, usually in the form of effort that will be contributed by the principal investigator or other project staff and paid from University or non-federal funds.
- Voluntary Cost Sharing not required by the sponsor or shown on the proposal budget, but usually reported, in addition to mandatory or committed cost sharing, as cost share through the University's effort reporting system.
- In-Kind Contribution the value of *non-cash* contributions provided by the University or non-federal third-party participants. Such contributions may be in the form of real property, equipment, supplies/other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

If cost sharing is required, it should, whenever possible, take the form of investigator and/or other project staff effort contributions, including personnel salary and fringe benefits as well as the associated institutional F&A costs. In general, UI faculty and staff should refrain from budgeting non-personnel-related cost sharing whenever possible, unless it can be easily documented in the accounting system. Cost sharing is expensive to document and adversely affects the University's F&A rate, so should therefore be kept to a minimum.

Match is grantee contributions such as cash or in-kind (property, equipment, supplies, or services. Match can be defined as cash or in-kind (donated goods and /or services).

All Cost share and Match requests must undergo initial vetting and secure the approval of Business Affairs, and advance time must be afforded them in order to review any and all SJU contributions prior to your submission. All final proposals and Budgets (PABS form bearing the signature of your Chair and Dean) should be in receipt of the OGSR no later than ten (10) business days prior to the agency deadline.

All Cost Share and Match are required to be documented and accounted for. And you cannot use Federal funds for cost share, Match or in-kind contributions.

Cost Share Requests

All cost share requests must undergo initial vetting and secure the approval of Business Affairs, and advance time must be afforded them in order to review any and all St. John's University contributions prior to your submission. All such final proposals (and PABS forms bearing the signature of your Chair, Dean or Supervisor) should be in receipt of the OGSR no later than **ten (10) business days prior to the agency deadline.**

E. Research Content:

- Project Summary/Abstract
- Narrative/ Research Strategy/ Project Description
- Specific Aims

F. Sub-Award (Consortium Agreements)

To enable grantees to collaborate with other organizations on grant-supported research.

Grantees must establish a subaward, or consortium agreement, with any outside organization that performs any of their grant-supported research activities. Normal grant purchases and fee-for-service arrangements are not considered subawards.

Each subaward must have a formal written agreement for meeting the scientific, administrative, financial, and reporting requirements of a grant. In every agreement, the grantee must have a substantive role in the project.

NIH holds grantees accountable for their subawardees' research, spending, and reporting actions, which must conform to all terms and conditions of a grant award. Subaward organizations may receive funds only from the grantee. Subawardees cannot use funds from the grantee to form their own subaward agreements with other organizations—no third party or third tier subawards are allowed.

G. Timing of Submission Review

The type of review and feedback provided depends on when the proposal is received by the OGSR.

- Full Review – Complete and Final Version
- Limited Review
- No Review

H.Internal Review Process

In order to guarantee the submission of all competitive grant proposals, it is required that all final applications for external support (and related PABS forms bearing the signature of your Chair, Dean or supervisor) be in receipt of the Office of Grants and Sponsored Research for internal review no later than **five (5) business days prior to the applicable agency deadline**. Sufficient lead time should be provided for institutional review and endorsement, and to accommodate applicable submission mechanics (either electronically or hard copy). The OGSR will do everything possible to ensure that a proposal is submitted complete and on time; however, as the amount of processing time is reduced, so are our chances to take the appropriate actions leading to strong, competitive grant awards.

Project Authorization Budget Summary Form (PABS)

Once your budget is finalized, the assigned OGSR Grants Administrator will provide you with the **internal Project Authorization Budget Summary (PABS)** form for routing through administrative channels. It is the Project Investigator's (PI) responsibility to forward the PABS to their applicable **Chair or administrative supervisor** for their review and signature. Once in place, the PABS must be sent to the attention of the PI's **Dean** for additional signature.

The following supporting documentation should accompany each PABS:

- **Final Budget with Budget Justification**
- **Abstract**
- **Copy of final proposal**

Once both signatures are in place, the PABS should be returned to the OGSR (in accordance with the internal deadlines noted above) to secure the **OGSR Director's** final approval and signature. Only after these internal authorizations are in place, the OGSR will submit the complete proposal to the attention of the sponsor.

Non-Compliance Measures

Proposals not following these described procedures and internal deadlines will be **deemed as non-compliant with institutional process**, and their submission cannot be guaranteed as a result.

Any awards that subsequently result from *independent submissions* without prior OGSR administrative review will be automatically deemed as non-compliant with this internal process, and run the risk of being declined by the University.

IV. Award

A. Compliance

- Review and process agency Programmatic Progress Reports
- Institutional Review Board for the Protection of Human Subjects in Research (IRB)
- Institutional Animal Care and Use Committee (IACUC)
- National Institutes of Health Financial Conflict of Interest (FCOI)
- National Science Foundation Responsible Conduct of Research (RCR)
- Office of Research Integrity

OGSR Compliance

- Review and process agency Programmatic Progress Reports
- Institutional Review Board for the Protection of Human Subjects in Research (IRB)
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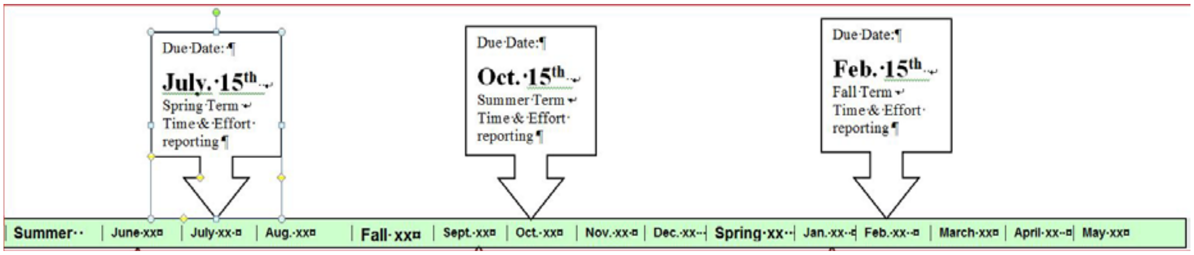
- National Institutes of Health Financial Conflict of Interest (FCOI)
- National Science Foundation Responsible Conduct of Research (RCR)
- Office of Research Integrity

Time and Effort

The University defines three cycles of reporting:



Summer – defined as the immediate start of pre-session summer course offerings (on or about mid-May) and though August 31 of that year. (For further guidance on summer cycle, please see below).

Fall – defined as September 1 through December 31.

Spring – defined as January 1 through May 31 (Unless summer pre-session applies; see below for further guidance on summer cycle).

Overview of Time and Effort Reporting: requires recipients of Federal Funding to periodically confirm that the direct salary charges to sponsored projects are reasonable and reflect actual work performed. Institutional effort reporting policy and procedures are set for how SJU administers this federal regulation in order to certify that effort expended on a project is at least commensurate with the salary charged against the sponsored program. The University employs “after the fact” effort reporting system for faculty, administrators, and staff who have a portion of their salary or time charged to a sponsored program. Individual effort reports are required for each cycle, as defined below. The Office of Grants and Sponsored Research (OGSR) shall ensure full compliance with the University’s time and effort reporting requirements along with Business Affairs, maintaining full documentation, which will be available for inspection by the University’s auditors.

Summer Effort

Summer sponsored research activities must be consistent with the level of effort provided during that time period.

It is not allowable for an individual who is absent from research for a substantial period of the summer session to charge full salary to sponsored research and report 100% research activities on effort report.

It is not allowable for an individual to do any other work besides that on the sponsored award if the full (100%) salary is being charged to the sponsored award for that period of time. (i.e. cannot teach summer courses, prepare teaching materials, write proposals, work on other research projects, do any administrative tasks, etc. over this time period).

The University employs an after-the-fact effort reporting system for faculty, administrators, and staff who have a portion of their salary or time charged to a sponsored program.

The University defines the maximum (100% effort) summer course load as follows:

Any combination of three (3) courses (3 credits/each), which includes Pre-Session, Summer

Session I and Summer Session II

- Each summer month equates to 33.334% effort
- Each summer course equates to 33.334% effort

Additional Compensation

Additional compensation cannot exceed 20% of the employee's base salary.

http://www.stjohns.edu/about/administrative-offices/provost/grants-and-sponsored-research/policies

Important Time and Effort Facts:

- Confirms effort expended After-the Fact.
- Effort report shows % of salary charged to various funding sources. The certifier is verifying that the payroll distribution reasonably reflects the actual effort expended on the activity.
- Time and effort reporting has been the single largest category of questioned cost upon audit.
- Budget estimates on the budget forms do not qualify as support for the e time and effort.
- Provider agencies should understand the burden of proof is with the contractor to have a time and effort system and to substantiate personal services charges to the contract.
- Calculating effort:
  Total effort must equal 100%
  Not based on a standard 40 hour work week
  Does not include outside activities (e.g. External consulting)
- Any cost shared effort must be considered in the effort report.

** Policies and procedures can be found on website

- **<u>Grant Life Cycle – Grant Fund Set Up and Banner</u>**

<u>Set up of Grant Fund Number in Banner</u>

- SADS – The Sponsored Awards Data Sheet is created by OGSR and then provided to BA to enter into our financial system of record, Banner.
- Example of a grant fund number string is 3XXXX
- Each grant fund is assigned an organization code (ORG number) based on the sponsor type. For example: Federal ORG-975, Private-985 as well as other existing ORGS.

It is important to have the correct grant fund and org type and account line when a PCF/EPCF is created and when charges are being submitted.

- **<u>Grant Life Cycle – OGSR – Independent Contractor Agreement (ICA)</u>**

Independent Contractor Payments Process

→ Independent contractors/Consultants must be non-University employees

→ Independent Contractor Request Form must be prepared by the PI and submitted to the OGSR

→ OGSR prepares the ICA

→ Once ICA is complete it must be vetted through OGSR and BA and signed by both parties

ICA's must be fully executed prior to services rendered

- **<u>Grant Life Cycle – Check Requisitions</u>**

<u>Main Steps to Submit a Check Requisition to BA:</u>

→ At BA we review and approve check requisitions for grants which are then paid out by Accounts Payable.

→ Be sure to log in to UIS and confirm a Finance Tab exists with access to the "Check Requisitions for Grants" link. If you do not have access please contact us.

→ Per recent Policy change the Requestor <u>cannot</u> be the Approver. The Budget Approver for a grant is the <u>Principal Investigator</u> for the grant. Please make sure the PI name is chosen.

→ The vendor, purpose and invoice number (as well as other pertinent information) <u>must match</u> in the system as they appear on the vendor issued invoice. If they do not agree, we may email the PI for revisions or the check requisition may be rejected and sent back for resubmission.

→ The barcoded cover page, vendor invoice and all required supporting documentation must be included in the packet that will be sent to Databank. Please do not send this information to BA.

→ Check Requisitions must be submitted with sufficient lead time to allow payment to vendors.

→ Please become familiar with the Check Requisition Manual:

http://www.stjohns.edu/sites/default/files/documents/adminoffices/ba-check-req-manual.pdf

- **<u>Purchase and Check Requisition Important Notes on Bids</u>**

- The guidelines below apply to all University Departments other than Facilities Services, Design and Construction and Auxiliary Services. Facilities Services, Design and Construction and Auxiliary Services follow a separate set of guidelines as stated in their Campus Facilities and Purchasing Policies and Procedures Manual

→ $ 1 - $ 2,499 Bids, quotations or proposals are recommended but not required

→ $ 2,500 - $ 4,999 Two (2) telephone, written or faxed bids, quotations or proposals are required

→ $ 5,000 and over Three (3) written or faxed bids, quotations or proposals are required

- *This is required for all payments in excess of $5,000 *even* if an Independent Consultant Agreement (I.C.A) is issued by OGSR. The bids must be attached to the check requisition/purchase requisition in order to be approved. *

- **Also, please become familiar with the sole source policy:**

→ **Manual**

Section 3.09 page 15 of the University Purchasing Policies and Procedures Manual

https://www.stjohns.edu/sites/default/files/documents/adminoffices/ba-2015_-_revised_purchman.pdf

→ **Form:**

https://www.stjohns.edu/sites/default/files/documents/adminoffices/ba-justification-sole-source-purchase.pdf

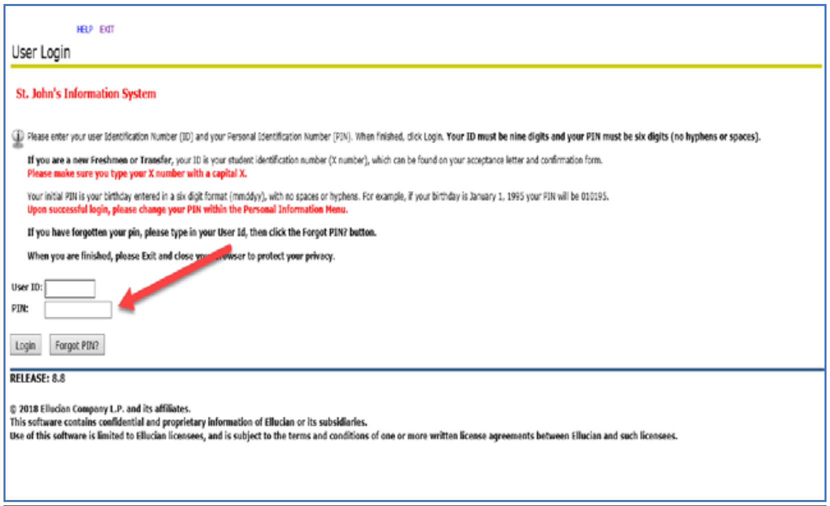
- ## Use BUDGET QUERY in UIS to monitor your grant

Principal Investigators are expected to monitor grant activity by logging to UIS to see live to date transaction activity. Monthly Banner reports will no longer be emailed on a monthly basis.

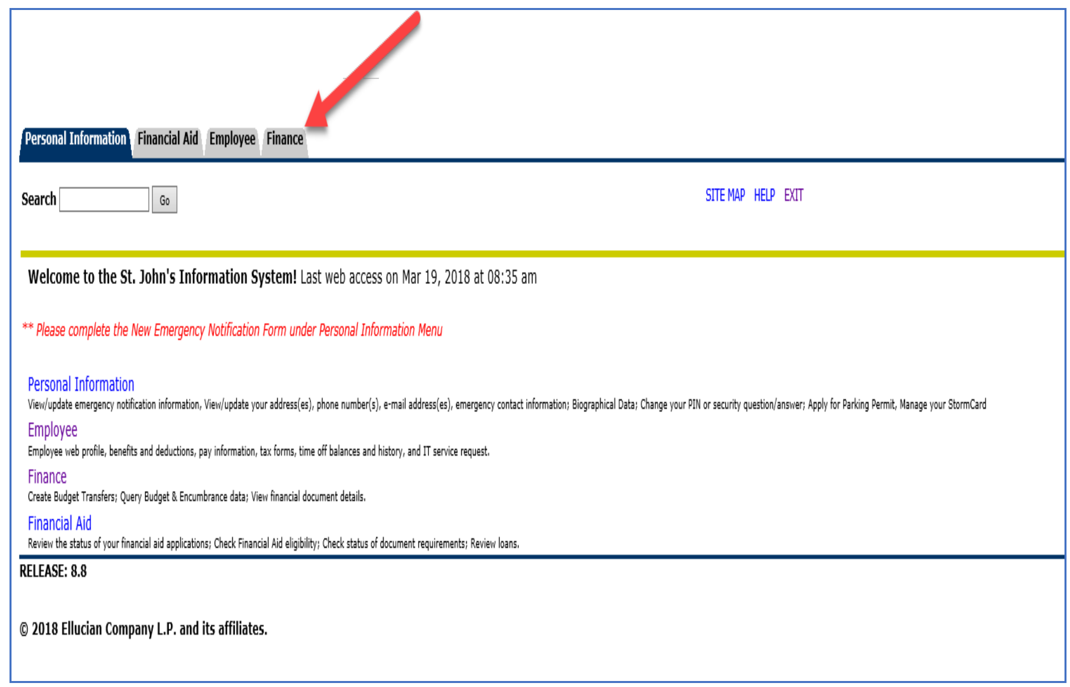
→ **Login to UIS**:

https://apollo.stjohns.edu/sjusis/twbkwbis.P_WWWLogin

https://cas.stjohns.edu/cas-web/login?service=https%3A%2F%2Fmysju.stjohns.edu%2Fc%2Fportal%2Flogin

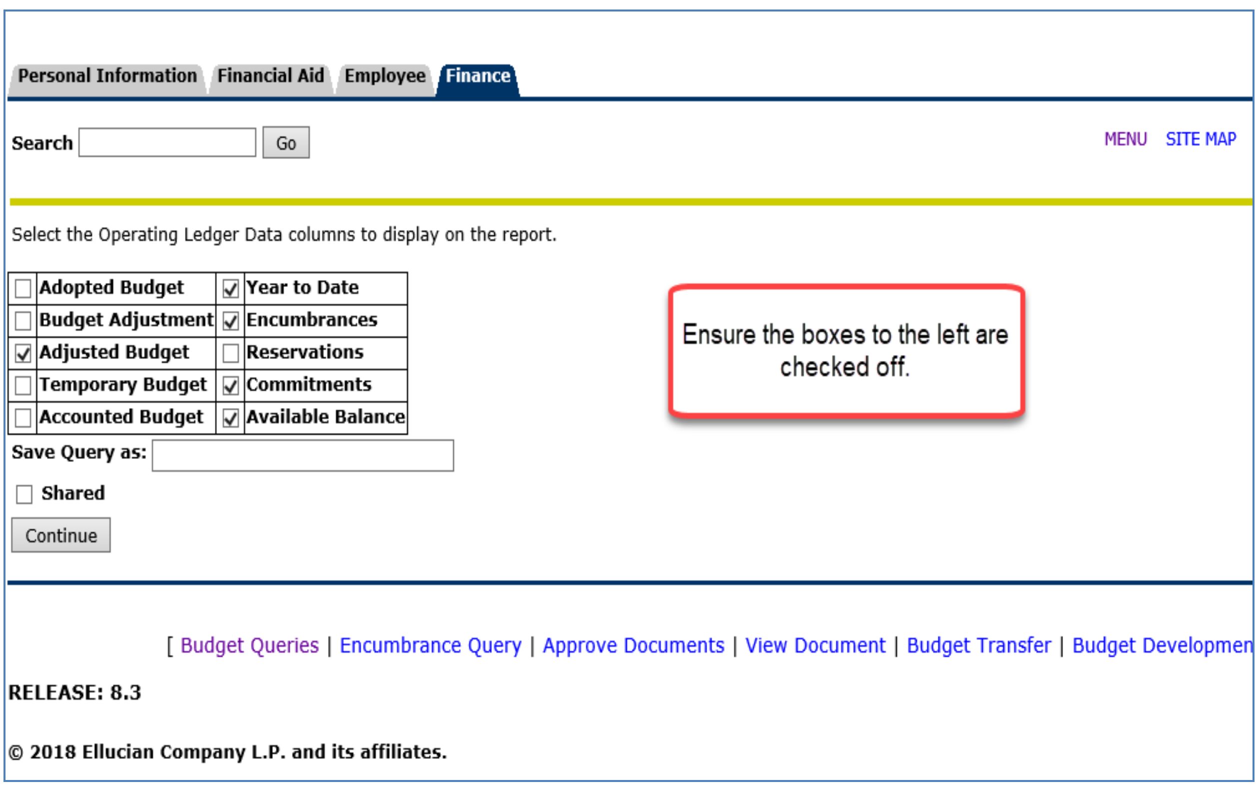


- Click on the Finance Tab. If you do not see the Finance Tab immediately contact Elizabeth to obtain an IT Access Request Form and the new Finance Request form.

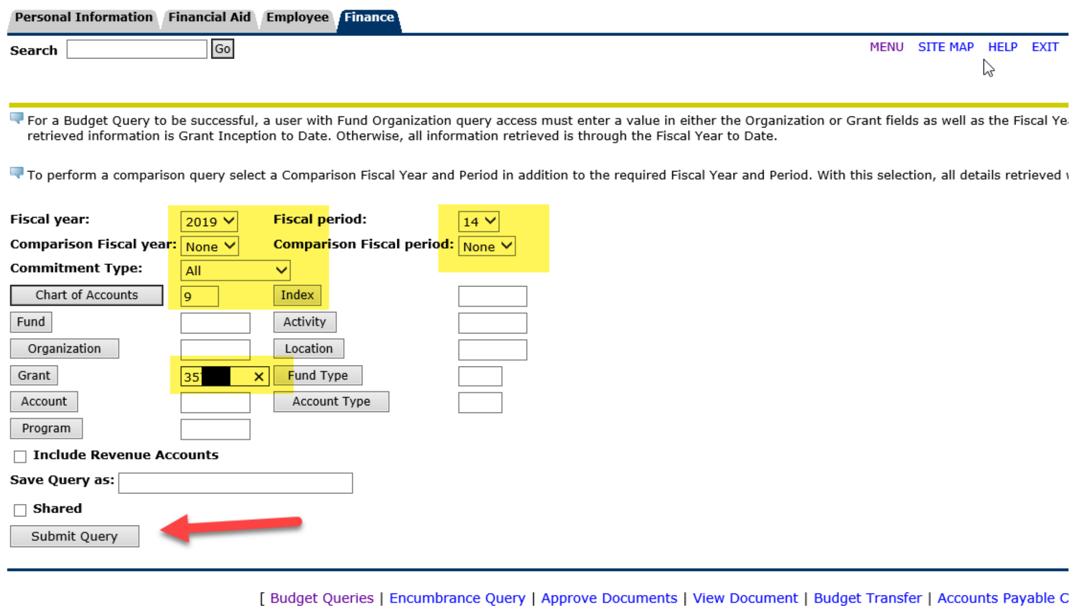


- Click on the Budget Query Link.

- Once the Budget Query link is accessed be sure to select the below options exactly as in the snapshot below.

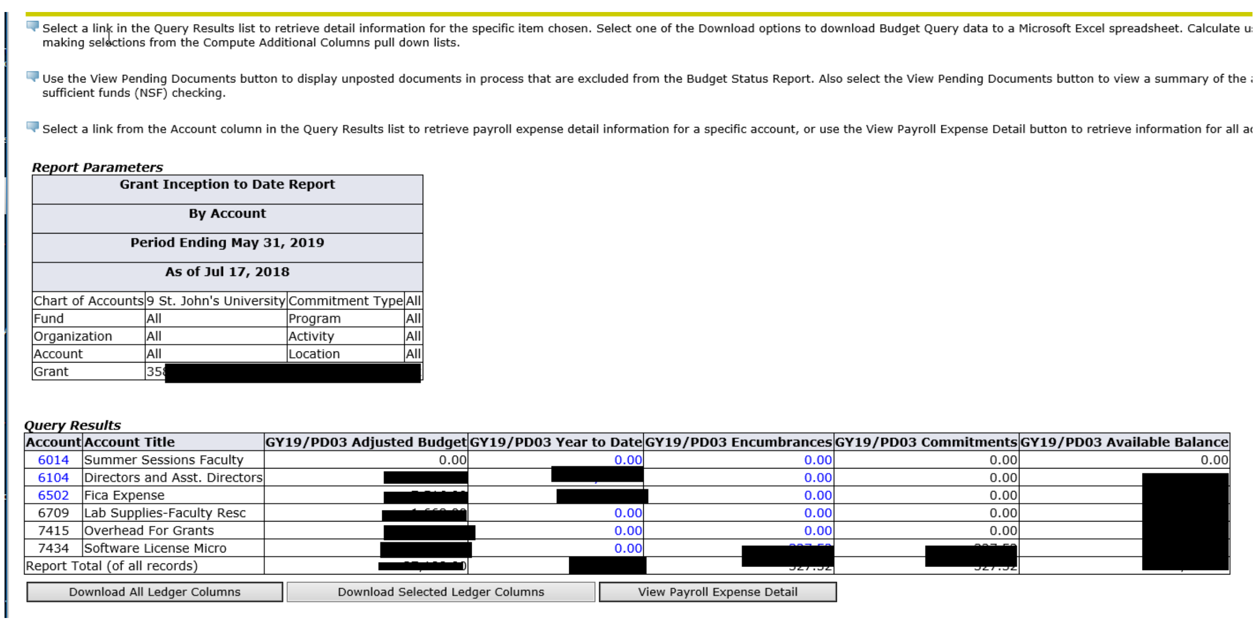


- Next update the highlighted fields exactly as shown below. Then click Submit Query.



- Once the Query runs this screen should appear. If you receive a Cannot Retrieve Query message, then please contact Elizabeth for a Finance Access Request Form.

Please note that you can click on the blue hyperlinks to drill down further for more detail.



Select a link in the Query Results list to retrieve detail information for the specific item chosen. Select one of the Download options to download Budget Query data to a Microsoft Excel spreadsheet. Calculate u making selections from the Compute Additional Columns pull down lists.

Use the View Pending Documents button to display unposted documents in process that are excluded from the Budget Status Report. Also select the View Pending Documents button to view a summary of the a sufficient funds (NSF) checking.

Select a link from the Account column in the Query Results list to retrieve payroll expense detail information for a specific account, or use the View Payroll Expense Detail button to retrieve information for all ac

Report Parameters

Grant Inception to Date Report			
By Account			
Period Ending May 31, 2019			
As of Jul 17, 2018			
Chart of Accounts	9 St. John's University	Commitment Type	All
Fund	All	Program	All
Organization	All	Activity	All
Account	All	Location	All
Grant	35[redacted]		

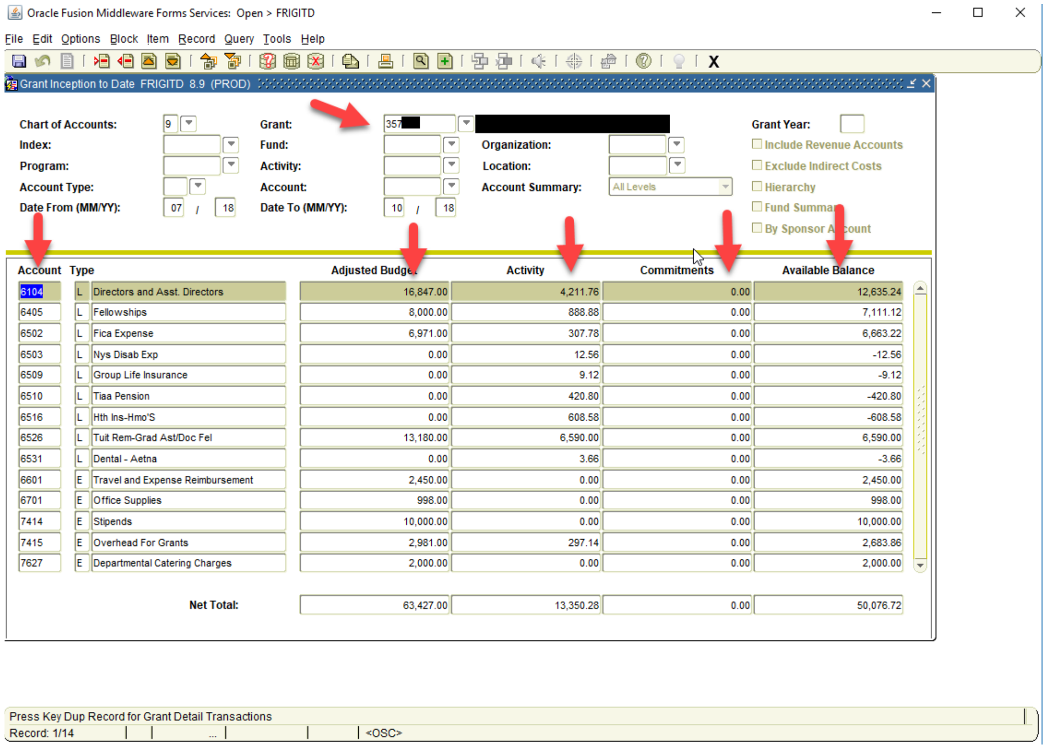
Query Results

Account	Account Title	GY19/PD03 Adjusted Budget	GY19/PD03 Year to Date	GY19/PD03 Encumbrances	GY19/PD03 Commitments	GY19/PD03 Available Balance
6014	Summer Sessions Faculty	0.00	0.00	0.00	0.00	0.00
6104	Directors and Asst. Directors	[redacted]	[redacted]	0.00	0.00	[redacted]
6502	Fica Expense	[redacted]	[redacted]	0.00	0.00	
6709	Lab Supplies-Faculty Resc	[redacted]	0.00	0.00	0.00	
7415	Overhead For Grants	[redacted]	0.00	0.00	0.00	
7434	Software License Micro	[redacted]	0.00	[redacted]	[redacted]	
Report Total (of all records)		[redacted]	[redacted]			

Download All Ledger Columns | Download Selected Ledger Columns | View Payroll Expense Detail

- # <u>Grant Life Cycle – BANNER Financial System</u>

- UIS provides the same and up to date information as you see in this Banner Screen.



Oracle Fusion Middleware Forms Services: Open > FRIGITD

File Edit Options Block Item Record Query Tools Help

Grant Inception to Date FRIGITD 8.9 (PROD)

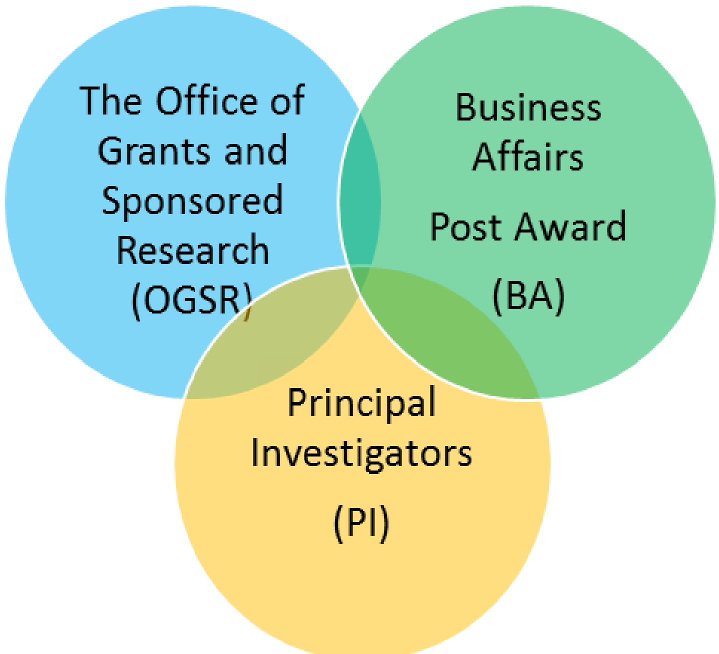
Chart of Accounts: 9
Grant: 357[redacted]
Grant Year:
Index:
Fund:
Organization:
Include Revenue Accounts
Program:
Activity:
Location:
Exclude Indirect Costs
Account Type:
Account:
Account Summary: All Levels
Hierarchy
Date From (MM/YY): 07 / 18
Date To (MM/YY): 10 / 18
Fund Summary
By Sponsor Account

Account	Type		Adjusted Budget	Activity	Commitments	Available Balance
6104	L	Directors and Asst. Directors	16,847.00	4,211.76	0.00	12,635.24
6405	L	Fellowships	8,000.00	888.88	0.00	7,111.12
6502	L	Fica Expense	6,971.00	307.78	0.00	6,663.22
6503	L	Nys Disab Exp	0.00	12.56	0.00	-12.56
6509	L	Group Life Insurance	0.00	9.12	0.00	-9.12
6510	L	Tiaa Pension	0.00	420.80	0.00	-420.80
6516	L	Hth Ins-Hmo'S	0.00	608.58	0.00	-608.58
6526	L	Tuit Rem-Grad Ast/Doc Fel	13,180.00	6,590.00	0.00	6,590.00
6531	L	Dental - Aetna	0.00	3.66	0.00	-3.66
6601	E	Travel and Expense Reimbursement	2,450.00	0.00	0.00	2,450.00
6701	E	Office Supplies	998.00	0.00	0.00	998.00
7414	E	Stipends	10,000.00	0.00	0.00	10,000.00
7415	E	Overhead For Grants	2,981.00	297.14	0.00	2,683.86
7627	E	Departmental Catering Charges	2,000.00	0.00	0.00	2,000.00
		Net Total:	63,427.00	13,350.28	0.00	50,076.72

Press Key Dup Record for Grant Detail Transactions
Record: 1/14 ... <OSC>

V. Post-Award

A. Award Management



The Office of Grants and Sponsored Research supports its researchers in making changes to budgets, no cost extensions, projections on spending, and other project changes.

In order to ensure the appropriate approvals are in place, the OGSR will correspond with the principal investigator and the sponsors. The OGSR team will also ensure all information related to the grant is entered into the University's system for research administration, Cayuse, and will support the principal investigator in the following ways, as required:

- Establishing award budgets and accounts for grant expenditures.
- Communicating the terms of the award and requirements to the research team.
- Conducting launch meetings with the principal investigators to identify and to coordinate project business needs.
- Developing account projections and internal financial reporting for principal investigators in order to monitor and plan for grant expenditures.

NEED MORE INFORMATION? For more information on any of the budgeting and reporting services or to request one-on-one consultation for complex grants please contact the OGSR office or email Jared Littman at littmanj@stjohns.edu.

Budget Modifications

→ All budget modifications must be requested through the OGSR

→ All requests should include a written justification

→ OGSR will process an updated SADS reflecting each modification

- ## Grant Life Cycle – OGSR – Personnel Payments

Personnel Change Form (PCF) & Electronic Personnel Change Form (EPCF)

→ Either PCF or EPCF is required for all personnel who will be paid from the grant

→ Prepared and approved by the PI

→ Submit to the OGSR for final approval

Additional Compensation Payments:

→ Requires additional documents including additional compensation form and a log of service

The Business Affairs Office:

Elizabeth Czerska-Rojas, Grants Manager

czerskae@stjohns.edu

718-990-6762

Our Area Manages on a Day to Day basis:

- Grants – Post Award
- Restricted/Designated Funds
- Student Financial Aid
- Fiscal Year End
- All Audits related to Uniform Guidance and other agency audits.

- **<u>Grant Life Cycle – Business Affairs Post Award (BA)</u>**

Our Area Manages on a Day to Day basis:

- Grants – Post Award
- Restricted/Designated Funds
- Student Financial Aid
- Fiscal Year End
- All Audits related to Uniform Guidance and other agency audits.

<u>Post Award Activities BA Manages in Collaboration with the PI</u>

→ Set up of grant fund number in Banner (3XXXX)

→ Billing and/or financial reporting of grants

→ Purchase requisitions

→ Check requisitions

→ Concur approvals

→ Cost transfers

→ Record check deposits and wire payments from sponsors

→ Draw downs on all federal grants

→ Customer service to PIs and one-on-one meetings

→ Close-out of grants

→ Audits

• Banner

- Please work with the Business Affairs office for Banner

VI. Closeout

- **Grant Life Cycle – Grant Close Out Period**

Grant Close-Out

The close-out phase of the grant lifecycle involves the submission, review, and approval of all final reports as required by specific program policies and regulations.

- PI will receive the first Notification approximately 30 days in advance of the grant end date. At that time PI will be asked to review and finalize all grant related expenditures/activity.

- PI will receive the Final Notification approximately within two weeks of the grant end date. At that time PI will provided a deadline to submit his/her certification that Banner has final grant expenditures and will provide if required final cost share figures and any other pertinent information to BA.

BA must sign off on all final financial reports and certify any reports (programmatic/narrative etc.) that have a financial component.

• Grant Life Cycle – Grant Audits

At BA we Manage Several Audits Throughout the Fiscal Year

- Uniform Guidance Audit
- Fiscal Annual Reviews
- Financial Statements Audit
- Internal Audit Reviews
- Program Audits
- And all other agency audits related to grants at the University

- During the audits BA coordinates and works directly with the auditors on or offsite.
- BA will contact PI's in event of questions that are program specific.
- It is important to retain all grant related timesheets, vacation/sick forms, participant lists, etc. for seven years.
- An electronic filing system is highly encouraged. In the event paper copies are ruined the soft copy can be used as a backup. The soft copy documents for a grant should be retained in a location that can be accessed centrally irrespective of personnel changes.
- Audits are required and must be adhered to by the University. When a grant is selected for audit all involved parties must provide the required time and attention to meet audit deadlines.

Collaboration is imperative amongst BA, OGSR, and PI's

for successful audit outcomes.

**Closeout forms are available on our website.

VII. Internal Review Board (IRB)

Human Participants (IRB

General Policy

Projects proposed by faculty, students, and administrators involving the use of humans or animals as participants in research must be submitted for special institutional review and approval. Generally, funding sponsors and agencies expect that this review process will be completed - and institutional approval obtained - prior to submission of a grant proposal. These reviews are intended to minimize discomforts and/or risks to the participants and to assure that researchers comply with Federal regulations. Please be advised that all individuals submitting applications or interacting with human participants must obtain a certification demonstrating their knowledge of research ethics. Download the information on the certification exam below.

Human Participants

Projects that involve humans as research participants should be submitted for review and approval by the University's Institutional Review Board (IRB). Complete information regarding the University's policies and procedures on the use of humans as subjects can be obtained from the following documents:

- IRB Manual and Procedures
- Scientific Misconduct Policy
- University Senate Policy on Students as Human Participants
- University's Multiple Project Assurance with DHHS dated July 1998
- Office of Human Research Protection (OHRP) - NIH Office of Extramural Research
- Research Ethics Training

Animal Use

Projects involving the use of animals should be submitted to the University's Institutional Animal Care and Use Committee (IACUC), headed by Dr. Louis Trombetta. The University's IACUC will evaluate the number of animals to be used, the selection of species, and the animals' possible exposure to discomfort and pain. Animal use review and approval is generally governed by regulations outlined in the NIH Publication Guide for the Care and Use of Laboratory Animals. More specifically, animal use is governed by the following federal laws: Animal Welfare Act, P.L. 89-544 as amended by P.L. 91-579, 94-279, and 99-198, and the regulations promulgated in CFR, Title 9, Subchapter A, Parts 14.

Separate from the animal use and care review committee is the Animal Care Center. For information regarding day-to-day operations of, or special needs from, the Animal Care Center, contact the Center's Director. The Animal Care Center reports to the Chair of the IRB.

Important Notice

IRB and IACUC approval is necessary for all projects involving humans and vertebrate animals, respectively. IRB and IACUC approval is not limited to projects funded through external grants.

Contact Information

Institutional Animal Care and Use Committee (IACUC)
Dr. Louis Trombetta
718-990-6025

Animal Care Center
Helen Scaramell, Director
718-990-6086

Please see the University's Institutional Animal Care and Use Committee for more information on animal use.

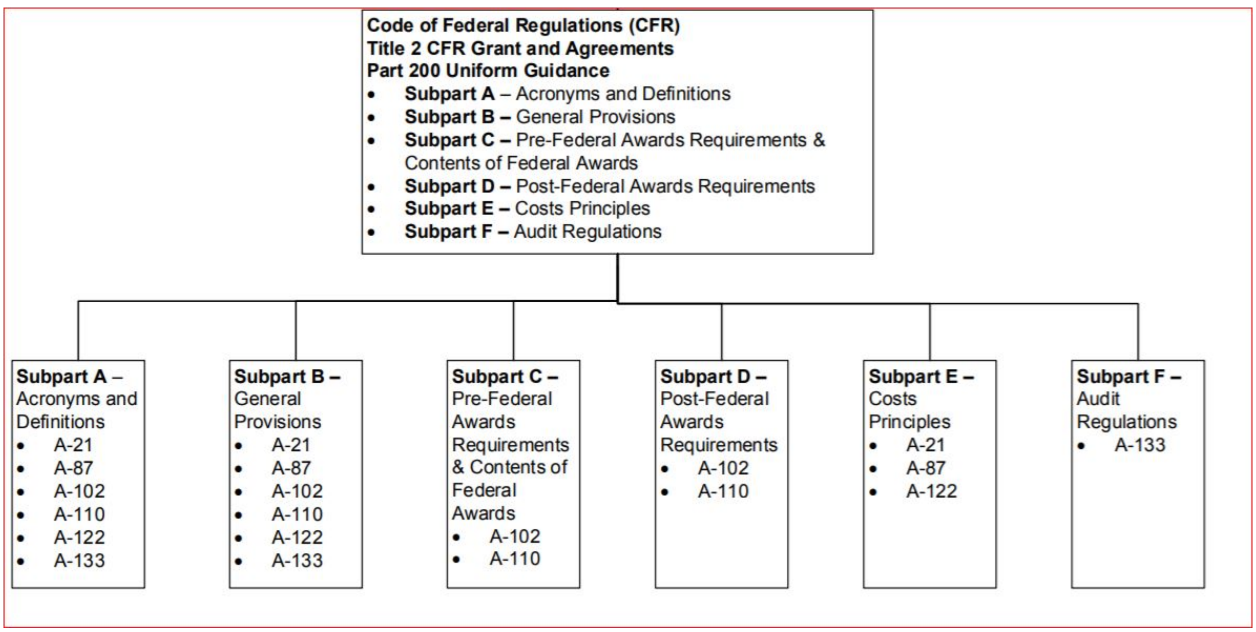
Institutional Review Board (IRB)		
Newman Hall, Room 106 718-990-1440 nitopim@stjohns.edu	Dr. Raymond DiGiuseppe IRB Chair	Marie Nitopi, Ed.D. IRB Coordinator

VIII. OMB - 2CRF200

The Office of Management and Budget's (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (commonly called "Uniform Guidance") was officially implemented in December 2014 by the Council on Financial Assistance Reform (COFAR). The Uniform Guidance – a "government-wide framework for grants management" – synthesizes and supersedes guidance from earlier OMB circulars.
The reforms that comprise the Uniform Guidance aim to reduce the administrative burden on award recipients and, at the same time, guard against the risk of waste and misuse of Federal funds. Among other things, the OMB's Uniform Guidance does the following:

- Removes previous guidance that is conflicting and establishes standard language.
- Directs the focus of audits on areas that have been identified as at risk for waste, fraud and abuse.
- Lays the groundwork for Federal agencies to standardize the processing of data.
- Clarifies and updates cost reporting guidelines for award recipients.

The Guidance was drawn from OMB Circulars A–21, A–87, A–110, and A–122 (which have been placed in past OMB guidance's); Circulars A–89, A–102, and A–133.



Current and Pending Form

The purpose of the current and pending form is for the Agency to get a general sense of what other projects require a portion of their time. Depending on sponsor requirements, the report may include everything from planned, to pending, to current projects. Its use is generally informational in nature pending applications.

Each investigator and senior /key person must include a current and Pending form with their proposal if required (see induvial instructions). An individual's time must be expressed as an annual percent effort, allocated to each project. . If the total annual percent of effort across all current and pending projects exceeds 100%, the applicant must explain how time will be allocated.

NIH For New and Renewal Applications (PHS 398) – DO NOT SUBMIT UNLESS REQUESTED PHS 398 OTHER SUPPORT

Provide active and pending support for all senior/key personnel. Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

Effort devoted to projects must be measured using person months. Indicate calendar, academic, and/or summer months associated with each project.

NSF