SUNY Canton Principal Investigators Handbook

WRITTEN AND EDITED BY THE OFFICE OF
RESEARCH AND SPONSORED PROGRAMS

SUNY CANTON | 602 MacArthur Hall, 34 Cornell Drive, Canton, NY 13617

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Congratulations, you have taken the first step toward seeking out and administering funds in support of your innovative and exploratory concepts! Your ideas and work will enhance the academic, commercial, and/or social communities in New York and around the globe. The *Principal Investigators Handbook's* primary goal is to help any Project Manager (PM), Principal Investigator (PI), or project staff to navigate the grant process from application to close-out of an award administered by The Research Foundation for The State University of New York (RF SUNY).
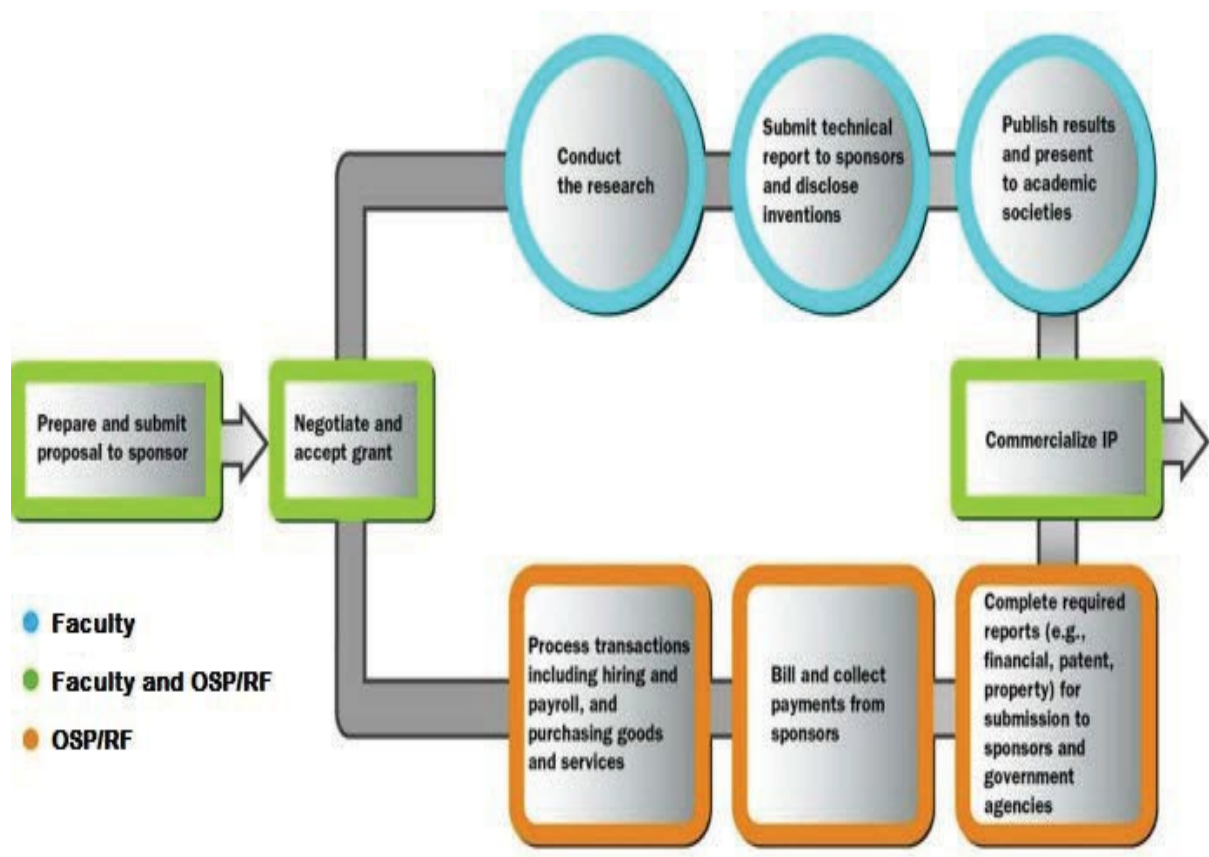
Figure 1.1 Lifecycle of a Grant

While the RF SUNY is the legal recipient of the award on behalf of the campus, you are accountable for the proper fiscal management and conduct of the project. If you fail to abide by the policies of the RF SUNY, the campus, or the sponsor, you may be held liable. The RF's central mission is to ensure that each PM, PI, or anyone assisting those individuals has the necessary tools at his/her disposal to manage a successful project.

Using this Handbook

The structure of the *PI Handbook* replicates the lifecycle of your idea from concept to award closeout.

This handbook is not intended as a complete guide to grant application or sponsored program (SP) administration, but as a guide to help you, the investigator, understand the most fundamental processes that affect the life of a sponsored project and direct you to the appropriate resource for your situation.

The reference materials provide concise explanations of the most common questions and issues. This guide will not explain every step or nuance involved in administering a sponsored project. This handbook provides links to important and detailed information to help you comply with federal and organizational rules and regulations.

To mitigate any omissions of detail from the document, a few other additional items have been included:

- **Interactive appendix** – links to commonly referenced policies and procedures that govern sponsored research in both the RF/SUNY system and the federal government.

- **Glossary of Acronyms and Terms** – a dictionary of sorts, defining common sponsored program, SUNY, and RF terms you may encounter while performing the sponsored project administration.

- **OMB Circulars** – information and links.

Do not hesitate to contact your Office of Research and Sponsored Programs should you need assistance in any phase of your project.

Campus Research/Sponsored Program Office Contacts

For you, the Principal Investigator, the first point of contact should be your campus's Office of Research and Sponsored Programs (ORSP).

SUNY Canton's ORSP current contact information:

Office of Research and Sponsored Programs, MacArthur Hall Room 602

Betsy Rohr Adams, Executive Director, (404) 819-3468, rohradams@canton.edu

Rebecca Snyder, Research Administrator, (315) 386-7951, snyderr@canton.edu

Becky Blackmon, Administrative Assistant, (315) 386-7686, blackmonr@canton.edu

The RF/SUNY Relationship and You

The RF was founded in 1951 to serve SUNY and to capitalize on its scope, scale, and diversity as an engine of New York's innovation economy.

The largest, most comprehensive university-connected research foundation in the country, the RF supports nearly $1 billion in SUNY research activity annually, providing sponsored programs administration and innovation support services to SUNY faculty performing research in life sciences and medicine; engineering and nanotechnology; physical sciences and energy; social sciences; and computer and information sciences.

If you are new to the Research Foundation, or would just like to learn more go to the RF Learning and Development webpage: https://www.rfsuny.org/our-work/learning--development/

Roles and Responsibilities

The RF SUNY is the legal recipient of the award on behalf of the campus. You are accountable for the proper fiscal management and conduct of the project.

ROLE	RESPONSIBILITY
Principal Investigator	When you function as a funded researcher, you assume fiscal and legal responsibilities. Each Principal Investigator (PI) is responsible for assuring that the terms of the award are met and the policies of the campus are followed. You must keep in mind that sponsoring agencies, your campus, and your academic department are all stakeholders in your success, and each may have specific requirements they wish to fulfill. Generally, a PI must: Conduct and manage the technical research. Comply with all applicable state and university policies, procedures, and laws. Comply with all terms and conditions of the sponsored award. Manage project funds efficiently and effectively within approved budgets. Ensure that the project is completed professionally. Accept fiscal responsibility on behalf of his/her department, administrative unit, and/or campus in case the project is overextended, or an unauthorized expenditure is disallowed by the sponsor and/or auditors*. *In such cases the academic unit must cover the cost.
Office of Research and Sponsored Programs (ORSP)	All SUNY campuses have a dedicated staff that assists in the development and submission of new grant proposals. The primary mission of the Office of Research and Sponsored Programs (ORSP) is to promote external funding of research and scholarly interests and to help you, either individually or as part of a group, by: Providing administrative services to help meet the requirements of the sponsor,

	Research Foundation, and the campus. Ensuring you are protected from any conflicts prior to the acceptance of a sponsored program. Verifying that the project does not: Challenge institutional integrity, Threaten your academic freedom, or Overburden you with management procedures. Protecting the campus from conflicts by making certain no unnecessary risks and liabilities are undertaken. Ensuring proper stewardship of sponsored funds. Creating mechanisms for accountability. Developing procedures for the proper use of sponsored funds. Interpreting sponsor's rules and regulations. Ensuring compliance with public policies. Submitting assurances and certifications regarding regulatory compliance. Serving as the official liaison between the campus, the Research Foundation, and the funding agency.
The Research Foundation for The State University of New York (RF SUNY)	The Research Foundation for The State University of New York is the legal recipient of the awards administered by them. The RF SUNY assists campuses and faculty by: Reviewing, negotiating, and accepting all sponsored agreements on behalf of SUNY campuses. Management of central accounting functions including billing and fiscal reporting to sponsors. Compliance assistance.

Additional Involved Parties

In addition to your responsibilities, the below parties are or may be involved in your project.

Operations Manager (OM) and Deputy Operations Manager (DOM):

Reporting to The Research Foundation President (RF), the Research Foundation Operations Managers (OM and DOM) serve as the top-level Research Foundation executives on campus and are responsible for supporting SUNY's research mission and the successful implementation of the RF's strategic plan. The campus President nominates the individuals from the campus to be considered for the OM and DOM roles. They are responsible for all Research Foundation operations on campus, including:

- Sponsored program administration services to the SUNY community (faculty, students, and staff) and stewardship to our sponsors.

- Creating an environment to support and increase sponsored program funding.

- Creating an environment to increase technology transfer and commercialization in support of SUNY's efforts to revitalize New York's economy.

Co-Principal Investigator/Project Director:

Other person(s) primarily responsible for the scientific, technical, and administrative conduct of a project. In this secondary role to the PI, a Co-PI:

- Provides leadership over a specific task of the project.

- Coordinates with his/her Research Foundation, if at another institution.

- Coordinates necessary approvals, if at other institutions.

- Contributes to managing the project and any reporting requirements.

Collaborator:

A person or entity typically *volunteering* some effort to conduct one minor task, measurement, or analysis. He or she is not compensated and is not involved in management or reporting if a project is funded. He or she may be asked by a sponsor for a letter explaining the contribution to the project.

Sponsor:

A sponsor is a person or entity who funds the sponsored program. There are three main types of sponsors:

- Federal agencies.

- Other government agencies (state or local government).

- Private entities such as foundations, corporations, or individuals.

Overview

You have primary responsibility for obtaining and managing awarded funds from finding funding sources to closing out the award when research is complete or the funding ends.

Your ORSP can assist you in all aspects of any phase during the grant process.
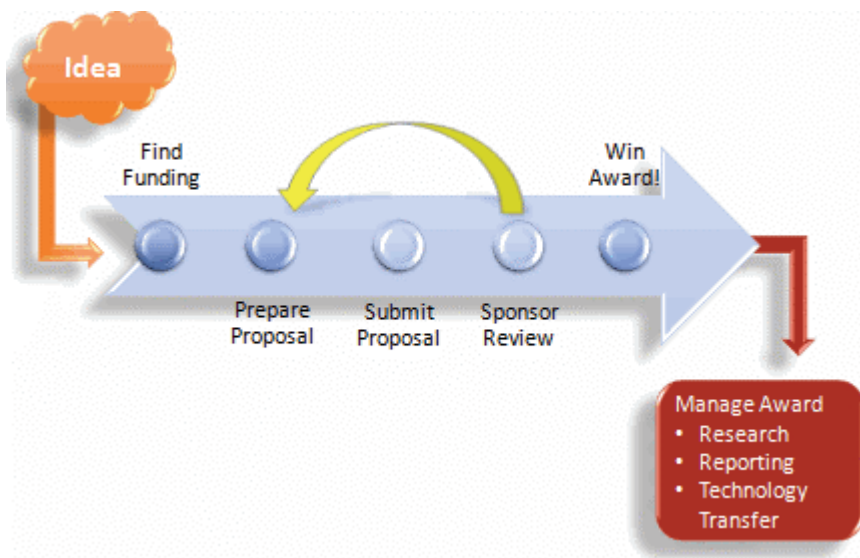
Figure 2.1: The Grant Process

Developing a Concept

A good proposal stems from a good concept. Your work should link to an important problem, challenge, or new idea.

What is a "good" idea?

For research, a good idea adds to the general knowledge base, brings a new perspective, or fills holes in previously conducted research. For other types of projects, the good idea may fill a need for the institution or the community at large. A thorough literature review will be essential to provide the background and rationale for your work.
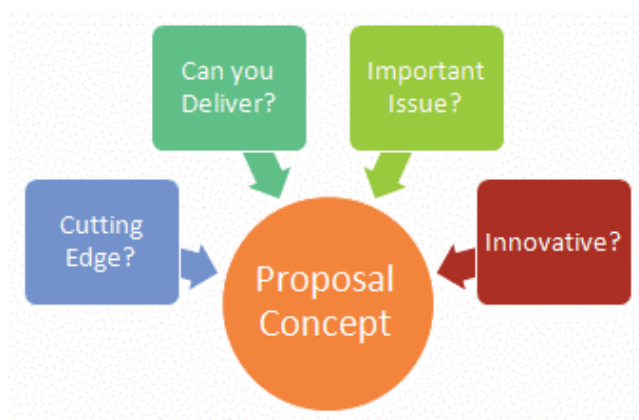
Figure 2.2: Proposal Concepts Must Be...

Preparing a strong proposal requires a significant investment of time, ingenuity, and energy. The sections below will help you focus your efforts on specific principles that help you accomplish this goal.

A host of factors impact the probability of success. It is best to use each suggestion as a guideline and not as a hard and fast rule. Knowing how to draft a good proposal and having the time to do it may be two separate things. Be sure you have a sound plan prior to putting the application together; this will help make certain you do not run out of time or get discouraged and rushed in the proposal preparation process.

> "A good proposal is a good idea, well expressed, with a clear indication of the methods for pursuing the idea, evaluating the findings, and making them known to all who need to know."
>
> – National Science Foundation

Proposals should be concise if responding to a solicitation. Contact the program officer at the sponsoring agency for details as you develop your concept and subsequent proposal. Also, consider getting input from peers before discussing new lines of research you have developed. If your proposal is petitioning for unsolicited funding, you still need to meet some basic guidelines; your idea's impact on your industry or the community, the expertise available and needed, the cost effectiveness of your plan, and how you will evaluate and disseminate findings. *

This is not an all-inclusive list. Refer to standard proposal guidelines from potential sponsors or grant writing resources for specific instructions.

Check out some useful resources to help you prepare a proposal.

- https://www.rfsuny.org/our-work/sponsored-programs-administration/

- For grant writing, you can go to:
    - https://changinghighered.com/higher-education-grant-writing-101/

Identify a Good Solicitation

Once you identify a potential solicitation, it is prudent to begin assessing the likelihood of your chances for that specific solicitation. This will help you select only the best candidates for funding your projects.

The best way to do this is to get to know the sponsor.

- Know the sponsor's priorities: find out which specific areas they are funding and match them with your research priorities.

- Know what types of proposals have been previously funded: look at their annual report to see who they have been funding, and if the awarded grants were for programs like yours.

- Contact the sponsor: studies have shown that the best thing a PI can do to increase their chances of getting funded is to contact the program officer. Program officers can provide up-to-date information about available funds, discuss your project with you and how it would or wouldn't fit into their program, and possibly even read a summary or draft of your proposal.

Always read the sponsor's guidelines and procedures: This is where you should call upon the resources of your Sponsored Programs Office. Typically, they can give you some insight about a specific solicitation. You may also want to ask if other investigators at your institution have been successful.

Award Types

Consider the type of award agreement you are considering entering with a sponsor. Types of awards include:

GRANT is defined as an award mechanism to transfer money, goods, property, services, or other items of value to universities to accomplish a public purpose. In general, the following characteristics describe a grant:

- No substantial involvement is anticipated between the sponsor and recipient during the performance of the activity.

- The award comes with terms, conditions, and/or other contractual requirements that need to be met.

- There are budgetary restrictions that must be followed.

- Reports may be required including financial reports and technical or progress reports.

- Documentation of expenditures is required.

- Deliverables of any kind, including the sharing of research results.

- There is a start and stop date.

CONTRACT is defined as a binding agreement between parties for the purpose of securing goods or services. Also known as "*is an agreement between your institution and another where you are not the primary award recipient.*" In general, the following characteristics describe a contract:

- There is extensive input from the sponsor into the tasks to be performed.

- The award mechanism used by the sponsor is a contract.

- The principal purpose is for direct benefit or use by the sponsor.

- The sponsor requires formal reports of any kind, including financial or technical.

- Invoicing or billing is required.

- The contracting mechanism also has terms and conditions such as:

    o Ownership of intellectual property.

    o Right of first refusal, or right of first negotiation of intellectual property.

    o Ownership or access to research results.

    o Publication review of faculty, graduate student, or postdoc research.

- o Deliverables of any kind.

- o There is a start and stop date.

Typically, in these agreements, you are performing a piece of a larger project that was awarded to the other institution. A subcontract specifies the terms between the two institutions and outlines what you are expected to do as well as provides the budget for your work.

Other types of agreements are Cooperative Agreements, Clinical Trials, Vendor Data Use, Material Transfer, or Consulting Agreements. All these agreement types are typically funded as contracts.

Award types are managed, reported, and monitored in different ways. Once a funding opportunity has been identified, contact your Sponsored Programs Office. They can guide you through the rest of the proposal development process.

GIFT is defined as any item of value given by a donor who **expects nothing of significant value in return** other than recognition and disposition of the gift in accordance with the donor's wishes. In general, the following characteristics describe a gift:

- No contractual requirements are imposed and there are no "deliverables" to **the donor**. However, the gift may be accompanied by an agreement that restricts the use of the funds to a particular purpose.

- A gift is irrevocable. While the gift may be intended for use within a certain time frame there is no:
  - o Specified period of performance or start and stop dates.

  - o Formal fiscal accountability to the donor.

Overview

There are important standard components in a good proposal; omission of any of these components jeopardizes your chances of getting funded.

No one wants to have their application *"rejected without review"* for a technicality. Reviewing and preparing your application according to these instructions will guarantee that your application is reviewed. In turn, each application announcement draws a very high number of responses.

NSF	NIH
39,138 Proposals Submitted in 2022	54,571 Proposals Submitted in 2022
10,970 Awards Funded which is equal to 28%.	11,311 Awards Funded which is equal to 21%.

Application Statistics from January 2023

Application Guidelines

All solicitations post specific guidelines on how applications must be prepared for sponsor review. Start with a logical outline. Develop an outline that either follows the specifics or one that leads the reviewer from significance to the specifics of the proposed activity.

Some proposal guidelines prescribe *sections*; if so, **DO NOT** deviate from them. It is imperative that you follow the instructions each sponsor posts. These instructions outline the very specific ways in which an application must be developed.

The next figure identifies the general components of both research and a humanities or training grant proposal.
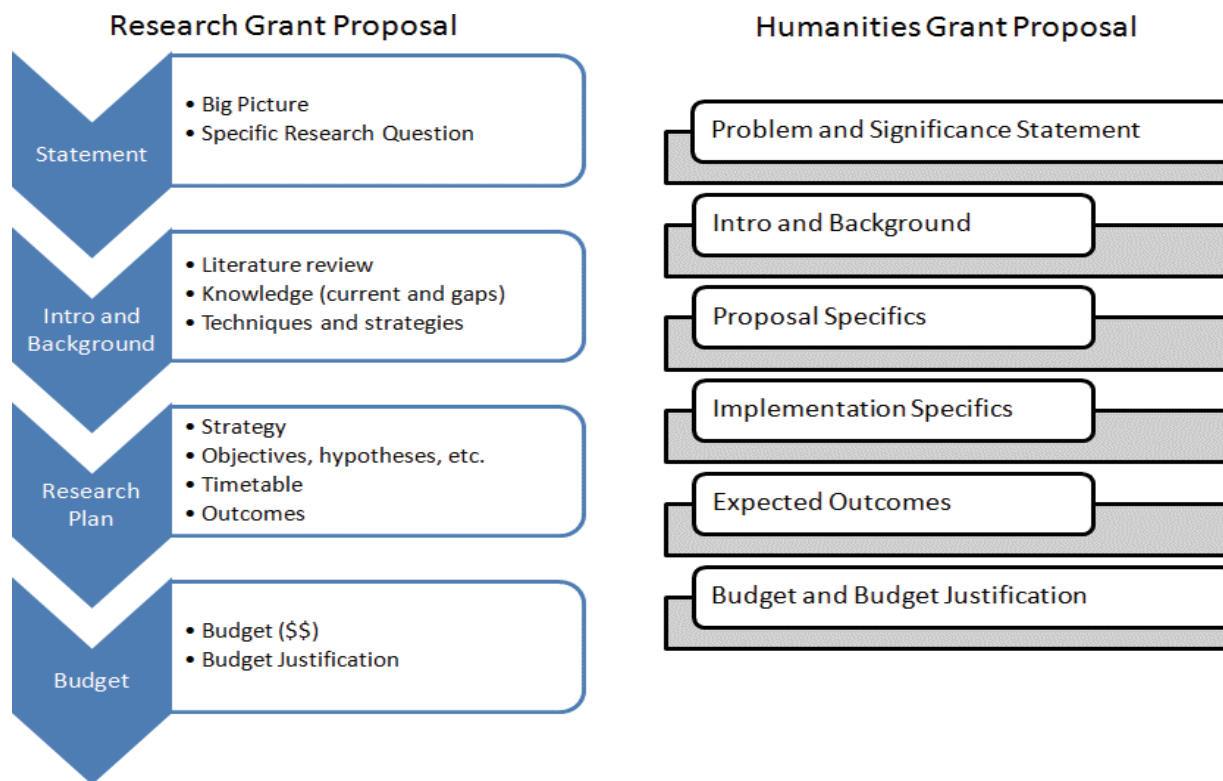
Figure 3.2: Research Grant Proposal vs. Humanities Grant Proposal Components

Key Components

Take special note of the sections given below. These are components that should be thoroughly reviewed with your Sponsored Programs Office to reduce any errors or surprises later in the process if your project is funded.

Budgeting

Developing a budget can seem like an intimidating and daunting task; it needn't be. Your Sponsored Programs administrator is well-versed in how to draft a budget. The administrator will know how to calculate some of the costs, what can and cannot be included, and help ensure that you haven't forgotten any potential costs. A proposal budget typically consists of two parts: the *budget form* and the *budget justification*, where you explain how you arrived at the figures given on the form.

Some basic tenets are:
- All costs need to be **reasonable**. You must make sure your costs reasonably reflect what is needed to complete your project.
- All costs must be **allowable**. There are some rules regarding what allowable costs are. Talk with your Sponsored Programs administrator to identify those rules.
- All costs must be **allocable**. This means that the costs must be used to solely advance the work of this sponsored project if awarded.

Good budget development ensures you have the financial resources to complete your project as proposed and, if awarded, limits the potential for difficulties in post-award fiscal management. To help you begin the development of your budget, below is a list of the more common budget items and some guidance for each.

Personnel Costs

The RF is legally obligated to properly classify workers based on the criteria listed below. *You are obligated to ensure that personnel budgeted in an application are properly classified.*

A project may incur significant delays if an error is made in the application budget and then must be changed during the post-award phase of the project. To avoid these unnecessary delays, budget employees and consultants using the following guidelines:

Employee versus Consultant

In general, an employee is someone whose primary employment is as a New York State or Research Foundation of SUNY employee.
A consultant does not have a state or Research Foundation appointment and will provide specific and measurable outcomes to a specific task in a separate scope of work. Examples include delivery of a training curriculum, review and opinion of experiment results, or establishment of a clinical trial protocol on behalf of a clinical research organization. Typically, a consultant is not a New York State or Research Foundation of SUNY employee.

Institutional Base Salary

The actual base salary of the individual who will work on the project. Do not guess at this figure, your Sponsored Programs Office will be able to access this information and provide you with the most up-to-date and accurate figure. In your justification be sure to explain, in some detail, why the individual was chosen for the work.

Fringe Benefits

A benefits package for being employed by the institution. Most employees of a project will receive fringe benefits. Carefully consider the time frame of the project. This will allow you to determine which fringe benefit rate to use. Do not undersell this value.
When an award is made, the fringe benefit rates in place at the time the expenditure occurs will be assessed. So regardless of how you initially budget a project, the current rate will apply, so it is in your best interest to use the projected fringe rates. This is available online at: https://www.rfsuny.org/information-for/rates/f--a-and-fringe-benefit-information-/.

The cost of personnel to conduct a project is typically the largest and most important component of any budget.

Equipment

The federal definition for equipment is something with a useful life of one year or more and with a unit cost of $5,000 or more. Some sponsors will have different criteria for equipment, which you will need to use. Items with a lower cost, including computers, should be included in the materials and supplies budget line.

Tuition Remission

If you are including a student research assistant as part of your research team, you can budget for tuition remission.

Subrecipient (Subaward) versus Independent Contractor (Supplier)

Budgeting a sub-awardee versus an independent contractor is like the dilemma posed by budgeting an employee versus a consultant. What to consider in this situation only differs in that:

- A sub-awardee is an academic institution or other outside entity providing significant intellectual contributions to the proposed project. It is anticipated that a subrecipient will provide the results of an entirely separate project team that will be working on a separate research question or another component that will add significant intellectual value to your overall project.

- An independent contractor is a service provider that will perform a task that does not require any "new" intellectual contributions to complete the work. Keep in mind that any work contracted to an independent contract will be fully owned by the Research Foundation, and the contractor will have no rights to the work performed.
  Note: Do not use this arrangement to avoid indirect costs of subcontractors. The terms of an independent contractor arrangement will not be attractive to potential collaborators.

Materials and Supplies

Materials and Supplies are the costs you need to perform the experiments or fieldwork of the project.

When developing your budget, it is best to also develop a detailed justification to complement the amounts you are requesting. Succinct descriptions of not only the cost but also what is necessary will ultimately make your efforts successful.

All sponsors want to know that the funds will ultimately be spent. Give them a reason to choose your project over another team. Time and again reviewers highlight a lack of detail about a budget to know if the costs are efficient and an effective use of money.

Travel Expenses

Conference and research travel are common aspects of many sponsored awards.

The RF cannot reimburse above the federal per diem rates unless there is an acceptable written justification showing how the award benefits from this additional cost.

For example, if a conference is being hosted at a hotel and there is a published, negotiated conference rate (higher than the per diem), the RF can reimburse the conference rate with documentation.

Conferences:

- If you need to travel internationally, check with your Sponsored Programs officer before making any travel arrangements.
- There could be restrictions on foreign travel based on sponsor policy or other federal regulations, including export controls.
  - An export control form must be submitted with the request to travel.

Flight Information:

- Flight reservations can be made either directly with the airline, through a website, or through a university-approved travel agent.
  - Airline tickets must be refundable.
- Utilizing these agents will enable the expense to be directly billed to the RF and will eliminate the need to charge a personal credit card and wait for reimbursement.

Travel Reimbursements:

- All requests for travel reimbursement require original detailed receipts.
- Conference travel requires proof that the traveler attended the conference.
- Acceptable proof is a copy of your conference name tag or a copy of the conference certificate of attendance/completion.
- Travel for meetings requires a copy of the written agenda.

Subject Costs (Human or Animal)

Sometimes awards provide payments to human subjects as an incentive for them to participate in the study.

If you intend to supply gift cards, cash, or other non-cash incentives be sure to discuss, with your Sponsored Programs officer, how to handle these payments shortly after your project account is established.

Direct vs. Indirect Costs

The sponsor may provide F&A costs directly to the institution, it is not acceptable to charge costs that cannot be allocated to a specific cost in a project.

- **Direct Costs:**

  - Can be identified specifically with a sponsored project, instructional activity, or other sponsored activity, and thus directly assigned relatively easily with a high degree of accuracy.

    - Examples: salaries and wages, fringe benefits, equipment, supplies, utilities, travel, or publication expenses

- **Indirect Costs:**

  - Referred to as Facilities and Administrative (F&A) costs by the federal government; sometimes referred to as "overhead."

  - Is comprised of negotiated costs an institution contributes to a project and is thus reimbursed for those expenses.

  - Defined as expenses that cannot be directly and uniquely assigned to any project and aligned with two categories: Facilities and Administrative

To help you better determine whether a cost is a direct expense vs. an indirect cost you must consider the impact that the cost has on a project.

> *For example, if a computer is being purchased by a grant, the federal sponsors require the institution to have documentation that the computer will **only** be used to further the goals of the project. If for some reason the cost cannot be reasonably allocated directly to one grant and no other activity, the question will arise - "Why is the grant being used to purchase the computer?".

You **must** consult your ORSP about any cost you include as a direct charge. The staff will help you determine how to best proceed in what should be and should not be a direct cost for your project.

I**ndirect costs are calculated at 63% Modified Total Direct Charges (MTDC) at SUNY Canton.** Please confirm this rate with the ORSP in case the rate has changed.

Other budget considerations include project evaluation, participant support costs, insurance, project-specific audit costs, and more. Again, work with your ORSP to project your budget.

Budget Justification

Your project will be a success when you have the resources to adequately cover your costs. As we all are aware, federal, state and even private funders are taking issue with rising research costs. Keep this fact in mind when constructing your project budget and justification. In your budget justification, you want to show, in as much detail as possible, why certain costs are necessary to conduct the project. Providing a good rationale on certain items can help you provide more transparency to the application reviewers.

Compliance

Most research involves compliance with some federal laws and regulations governing the conduct of the work. Below is a list of the more common regulatory areas affecting federally funded research projects.

This is not an all-inclusive list so your work may involve laws and regulations that are not mentioned here. If there are any questions or concerns about any regulatory issues you should contact your Sponsored Programs Office.

Human Subjects Protections	All human subjects research, federally funded or not, must be reviewed by your campus's Institutional Review Board (IRB). Many proposal applications will ask if the research proposed involves human subjects and, if so, request the IRB date of submission (Must be **before** the grant application is submitted to the sponsor). Be sure to know well in advance the IRB protocol review schedule so that you can be sure to have a complete review prior to the proposal being funded.

Animal Protections	All research involving animals, federally funded or not, must be reviewed by the campus Institutional Animal Care and Use Committee (IACUC). Many proposal applications will ask if the research proposed involves animals and, if so, request the IACUC approval date. Be sure to know well in advance the IACUC protocol review schedule so that you can be sure to have a complete review prior to the proposal deadline.
Conflict of Interest (COI)	To ensure the validity of your research it is imperative that there be no personal financial conflict of interest, real or apparent. Be familiar with your institution's conflict of interest policy. Also, be aware of your prospective sponsor's conflict of interest requirements. All sponsors have stringent requirements of which you need to be aware.
Use of Hazardous Material, Blood-Borne Pathogens	Campuses conducting research where these materials are used have committees that ensure that they are used appropriately and will not pose a hazard to the research subject, researchers, or the community at large.
Health Insurance Portability Accountability (HIPAA)	HIPAA limits the use of protected health information that is held or transmitted in any form or media whether electronic, written, or oral to protect the privacy of patient health information. If your research involves the use of individual medical records, you need to be familiar with the HIPAA guidelines and human subject protection laws.
Export Controls	These federal regulations involve the disclosure, shipment, transfer, or transmission of any commodity, technology, or software that is on the Commerce Controlled List, Munitions List, or the Office of Foreign Assets Control Embargoed List for use outside of the U.S. Prior to taking any piece of research equipment including laptops, USBs, or external hard drives out of the U.S. or sharing it domestically with a foreign national, you need to determine if it falls under any of these lists. If so, you will need to get a license prior to leaving the country. Since obtaining a license can be very time-consuming, you will need to check in with your Sponsored Programs Office early to determine if a license is needed. Out-of-country travel requires an Export Control form.
Confidential/ Research Data	Proprietary Data should be disclosed and marked as confidential as part of the application. Disclosure of information prior to taking the proper protections (patent copyrights, etc.) could limit our ability to commercialize research results.

	Please consult your Sponsored Programs officers during the application for consistency.
Research Misconduct	Fabrication, falsification, or plagiarism in proposing, performing, and reviewing research or reporting research results constitutes research misconduct.
	Your campus has a policy and procedure for handling research misconduct. You should become familiar with both if you are a witness to such conduct.

Compliance Training Resources

The RF supplies resources to you and your project staff to learn about regulations and compliance standards. Your course completion is tracked giving verifiable proof to sponsors of your knowledge of the subject areas.

CITI Training: A system-wide license for all campuses to use specialized training on several research-related topics including Responsible Conduct of Research, Financial Conflict of Interest, and Humans Subjects and Animal Care.

Please go to the Sponsored Programs website and click on the CITI Training information tool at the bottom of the web page. https://www.canton.edu/grants/

A list of training topics including compliance training and information can be found at: https://www.rfsuny.org/our-work/compliance/

Contact your Sponsored Programs Office if you need help accessing these tools.

Overview

The ORSP is designated by the Research Foundation as the primary signatory on all applications submitted on behalf of SUNY campuses; **you may never submit an external grant or contract on your own**, your campus must review it prior to submission of an application.

Provide a full copy of your application at least ten business days prior to a submission deadline. It is always helpful, if possible, to give your ORSP as much notice before sending the application for review.

- It is the PI's responsibility to notify their Department Chair and Dean of the intent to submit a proposal.

- For additional institutional requirements: contact the ORSP for specific campus requirements on IRB, Export Control, and IACUC requirements. Reviewing the guidelines for additional criteria is a normal component of review prior to an application being submitted. Getting an idea of what is missing early and identifying who will assist you is crucial to your success.

Award Acceptance and Negotiation

The Research Foundation negotiates and accepts all awards on behalf of the PI and the campus. The Research Foundation representatives have the knowledge and expertise to ensure that faculty, staff, and students are not adversely affected by the agreement terms.

The agreement terms specify the amount of the award, the start and end dates of the grant, any reporting requirements, and deliverables expected at the end of the grant period and will outline any other requirements or conditions the sponsor may have.

Post-Award Management

Overview

Congratulations on receiving your award! The intent of this section is to provide guidance on the financial and other post-award administration of your project. Keep in mind that the material discussed below is not intended to be a comprehensive review of all issues that may arise. You should contact your Sponsored Programs Office whenever you have concerns or questions.
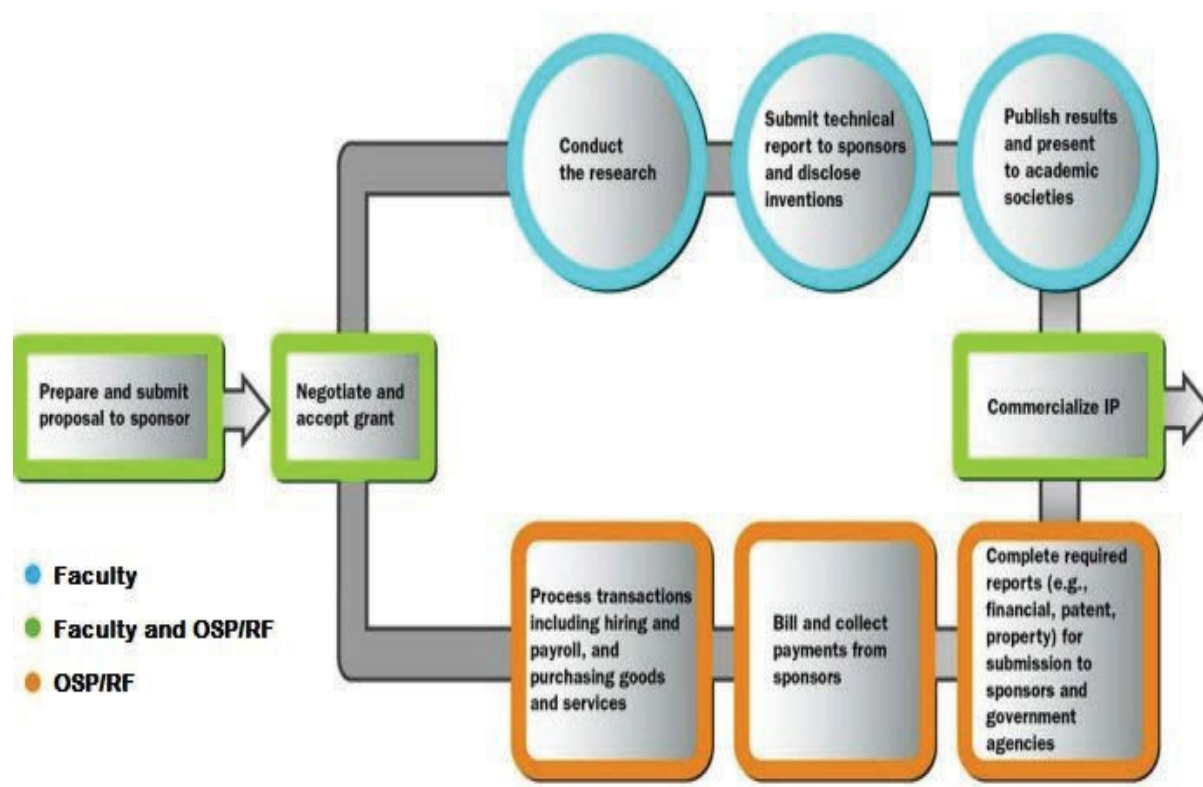
Figure 4.1: Lifecycle of a Grant

Revisiting the grant lifecycle above, there are processes assigned to you, the PI, and the RF either through the RF Central Office or by the representation of your campus ORSP. Your campus ORSP is there to assist you in keeping on track with your research and sponsor requirements. In the end, remember, that you are still accountable for all requirements.

Award Establishment

The ORSP will facilitate with the RF of SUNY to create a project-specific account after your official award notice has been accepted, referred to as PTAEO (pat-ay-oh). The account number consists of an award number, a project number, and a task number. This account number may change from year to year. Please check with the Office of Research and Sponsored Programs as each new grant year arrives.
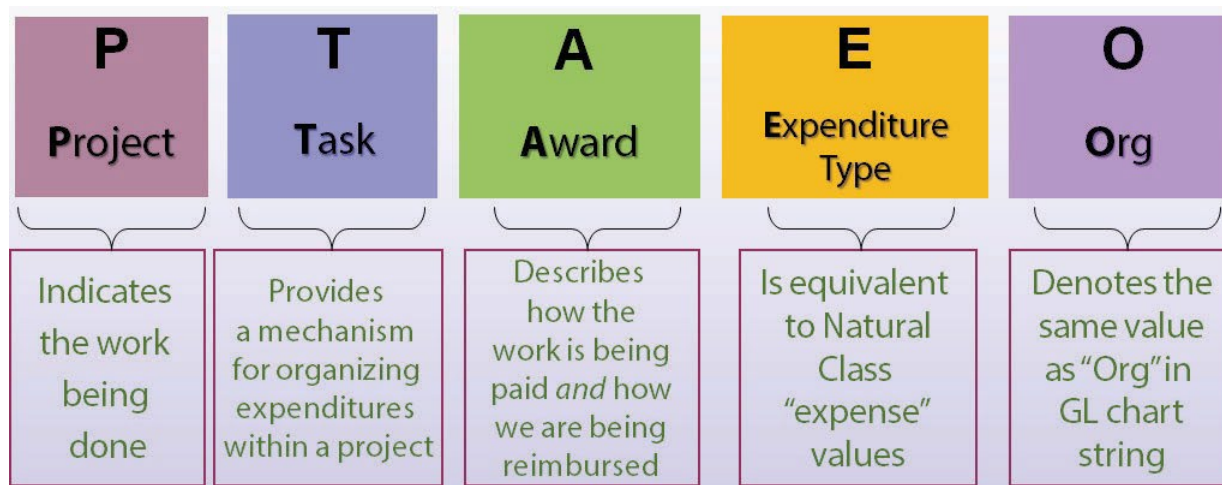
Figure 4.2: PTAEO Breakdown

This specific account is created to track all project expenditures. You will be notified when the account is established.

Prior to any account establishment, the ORSP verifies all appropriate compliance approvals are completed.

Monitoring Sponsored Award Financial Activity

The RF offers a web-based system to allow you to monitor the financial activity of your sponsored award(s). R**eport Center** provides the ability for the PI to see the award's budget, what has been spent, what is encumbered, and what balance remains in each budget category. To access the systems, you must:

- Contact the ORSP for information on getting a login to Report Center.

- After obtaining an account to the RF Report Center portal you can learn more about the use and features of Report Center here: https://www.rfsuny.org/information-for/online-tools-/rf-report-center/user-help/

The ORSP monitors all grants verifying payment of all expenses submitted and ensuring there are no unauthorized charges against the award.

Although, we recommend that you (or your designee) reconcile the activity of the account monthly. Upon request, you will be provided with an accounting workbook for your award to track your expenditures and be able to make sure all your expenses have been correctly posted on your Report Center account.

Awarded Budget Revisions

As you are aware, your award has a budget that has been approved by the sponsor. Part of effectively managing any award is to stay within the originally agreed-upon budget parameters. Please contact the ORSP to assist you with any budget revisions.

It is not uncommon to need budget category revisions. In this case, you as the PI, cannot simply change the budget. This is because each sponsor has specific policies when it comes

to making budget modifications, typically outlined in the award, which must be adhered to in the management of a project. If you need to modify your budget, you must work with your ORSP to make these modifications.

Key Award Considerations

Though not an all-inclusive list, the items below are all major concerns while managing your award.

Project Specific Personnel

Hiring project staff may be a necessity to complete your work. The RF complies with applicable laws and regulations that have been established to maintain salary and wage equity and for the consistent treatment of all its employees. As such, some measures will be taken, during both the search and hiring process, to ensure that the final candidate was chosen fairly and has the appropriate credentials.

Before any commitments are made, verbally or in writing, you *must* contact your ORSP and work with the campus Human Resources Department to ensure you are complying with RF and campus policies on employee hiring.

Effort Reporting

Each project budget or award will designate an amount of effort a PI and other project staff will devote to a project. If any changes are expected to your effort, you must contact ORSP immediately. Changes to effort generally have a ripple effect through the budget and can significantly affect the terms of your research agreement.

Effort reporting must be approved by the employee's supervisor at least twice a year.

A good quick reference guide to certify an Effort statement may be found here:

https://www.rfsuny.org/media/rfsuny/policies/effort_reporting_pol.pdf

Purchasing

The Office of Research and Sponsored Programs (ORSP) at SUNY Canton must ensure that all expenditures comply with the sponsor, the Research Foundation of SUNY (RF), and the Campus Research guidelines. In addition, the expenditures must be in accordance with federal requirements found in 2 CFR Part 200. All expenditures must be **Reasonable, Allowable, and Allocable** to the sponsored project.

The role of the ORSP is to assist project PI's and staff with the purchase of necessary goods and services for a reasonable price and establish quality relationships with suppliers.

ORSP will check to ensure funds are available to support the purchases utilizing the RF Report Center and, if necessary, assist PI's or staff in the proper completion of a purchase requisitions. (please see the attached blank RF requisition form or download it here). In all cases, ORSP at SUNY Canton will abide by the RF Policies and Procedures for Procurement.

When submitting requisitions please attach a webpage or an actual quote.

The Bill To and Ship To addresses read as:

Bill To:	Ship To:
Research Foundation at	**Research Foundation at**
SUNY Canton	**SUNY Canton**
MAC 614	**Receiving**
34 Cornell Dr.	**34 Cornell Dr.**
Canton, NY 13617	**Canton, NY 13617**

Purchase Requisitions:

Every time a purchase is needed the principal investigator or designee needs to complete a Purchase Requisition form. The following information needs to be included on the Purchase Requisition: (all procurement forms can be found here).

- Req. # - Start with the award number then – 01, 02, 03, etc. An example using the sample Purchase Requisition form is 77777-01.
- Requisition Date
- Supplier name, Address, Website, Phone Number, and Email (if available)
- Name of the person it should be sent to
- Project, Task, Award Number assigned to the grant.
- Requisitioner and extension
- Type (i.e., GNS, EQP, SUP, etc.) and Category
- Item - can be attached (i.e., a prepared Quote or Estimate)
- Quantity, Unit, Unit Price, Total

The following are expenditure types:
   SUP = if ordering materials that come to less than $5,000
   EQP = if ordering materials that come to equal or more than $5,000 GNS = general
   FPS = stipends
   RCH = recharges i.e., telephone bill, postage
   TRV = travel which will be used on the Travel Payment Request form

Approvals Required for a Purchase Requisition:
- Requestor
- Principal Investigator signature
- Deputy Operations Manager (DOM) signature

The requisition will be:
1. Ordered via a P-Card (Requesting Department or ORSP Staff)
2. High dollar purchases will be turned into a Purchase Order (PO) and processed once the order is received and complete.

It is the responsibility of the requesting grant's PI to ensure the purchase is *Reasonable and Allowable* prior to the paperwork being sent to the ORSP for processing.

ORSP will maintain and check for:
- Requisition
- Order confirmation/Invoice

ORSP Administrative Assistant (AA), will then contact the end user of the requisition being approved, and the end user will then order and pay with their P-Card.

Just a reminder that all purchases **must** be delivered to SUNY Canton Receiving. After items are received, forward or scan the packing slip (with the requisition number written on it) to the ORSP Administrative Assistant via email.

*Ordering, Receiving, and Payment will ultimately be the responsibility of the individual grant's PI.

All P-Card statements will need the following to match with each purchase listed for the month:

- The affiliated requisition number is written next to each charge on the P-Card statement.
- Order confirmation invoice and/or receipt.
- Copies of receiving/packing slips for each requisition, indicating items received, dated, and initialed.

Once all information is included with the P-Card statement, it must be sent to the ORSP for processing and payment. All completed P-Card reconciliations are due in the ORSP by the 10th of each month to avoid late charges. Reconciled statements can be submitted via email to the ORSP Administrative Assistant with the completed form and backup materials.

The Research Foundation of State University of New York

Req. #

Purchase Requisition

Requisition Date

Supplier _____ Address _____

_____

City _____ State _____ Zip Code _____ Social Sec # or Fed ID # _____

Ship to Address	Payment Terms: _____	
Organization Name (Department)	Freight ___ Due Paid	Project Task Award
Building Room Number	FOB Destination FCA Origin	Expenditure Type
Attention		Organization Name (Department)
Need by Date: _____		Requisitioner Telephone #
	Confirming (Yes/No) _____	Authorized Signature Date

Type	Item Category	Item Catalog # & Complete Description (including notes & buyer notes)	Quantity	Unit	Unit Price	Total

Quotation: Written   Verbal   By _____   Total: $ _____

Travel Forms

Please complete and submit at least two weeks prior to Travel to allow for processing.

Every time traveling is necessary, the principal investigator or designee needs to complete an RF Request to Travel *and* a Travel Final Expense form. The following information needs to be included on each of the Forms (which can be found here):

Travel Request Form to be completed Pre-Trip:

- Req. # - Start with the award number then - 01, 02, 03, etc., ending with the letter "T".
- Project, Task, Award
- Date
- Name
- Destination
- Purpose of Travel
- Attach Passenger List (if applicable)
- Departure: Date, Time
- Return: Date, Time
- Lodging estimate **Bring Tax Exempt Certificate ST-129 with you if traveling within NYS. Taxes will not be reimbursed.** Please ensure that you are using, GSA Per Diem Rates.
- Meal(s) estimate Please ensure that you are using, GSA Per Diem Rates.
- Registration (Conference) fees
- Transportation estimate
  - Mileage (Personal car or State car), Airfare **(Must be refundable)**,
  - Other: parking, tolls, taxi, baggage, internet, taxes (out-of-state)
- If a cash advance required, you will receive 80% of estimated expenses only.
- Total Encumbrance
- Appropriate signatures, Traveler, PI, ***Note: out-of-state travel must be signed by area VP.**
- Submit to Office of Research and Sponsored Programs via email - blackmonr@canton.edu.

NOTE: All foreign travel must be accompanied by a completed EXPORT CONTROL FORM

RF Travel Final Expense Form to be completed after travel is completed:

- Req. # - Same as Travel request document (Pre-Travel)
- Liability Date
- Travel Advance amount.
- Normal work hours and work phone number
- Name
- Destination
- Home Address
- Departure Date, Time
- Return Date, Time
- Purpose of Travel
- Transportation:
    - airfare,
    - train or bus,
    - vehicle rental, fuel (state vehicle gas card only),
    - personal vehicle mileage, attach mileage statement, or Google map.
- Lodging actual receipt required (even if zero balance). Please ensure that you are using, GSA Per Diem Rates.
- Meal(s) actual (receipts required), or per diem (Please ensure that you are using, GSA Per Diem Rates) must be consistent.
- Incidental expenses (use R.F P-card whenever possible)
    - Parking, tolls, taxi, shuttle, internet, baggage, out-of-state tax, other.
- Registration/conference fees.
- Total expenses
- Appropriate signatures, Traveler, PI. **Note: Out-of-state travel must be signed by the area VP.**
- Project, Task, Award
- Submit to Office of Research and Sponsored Programs via email - blackmonr@canton.edu.

Reminder: An Export Control Form must be completed if traveling out of the country.

RF REQUEST TO TRAVEL FORM

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

Please allow at least Three weeks for processing of Travel Request.

For Reimbursment of travel expenses, travel voucher and receipts must be submitted to the RF Procurement Office within 30 days of returning.

DATE: January 18, 2024 Req. No: _____

STATE VEHICLE REQUEST

Request confirmed & initialed by Physical Plant Staff

Forward completed form directly to Physical Plant - DO NOT use separate form for vehicle reservations. Physical Plant staff will forward Travel Request Form to the RF Travel Office at SUNY Canton after scheduling and confirming vehicle registration.

TRAVELER _____ **Phone #** _____

Location: Canton

DESTINATION: _____

PURPOSE OF TRIP (Attach Documentation)

Vehicle pick-up date &/or time if different from Departure date & time.

Passenger List Attached: No ☐ Yes ☐

Car 0.45	12 pass. van 0.55
Mini van 0.45	With others

DEPARTURE: Date: _____ Time: _____   Lens Approved (license on file) No ☐ Yes ☐

RETURN: Date: _____ Time: _____   Rental Car | E-Z Pass | No ☐ Yes ☐

State Vehicle ONLY. NOT claiming additional expenses.   Personal car- record estimated miles below

ESTIMATED EXPENSES: List Estimated $ Amounts

*Lodging   Prepaid on RF P-Card ☐   Confirmation # _____

No ☐   Yes ☐   I choose to be reimbursed later ☐   # Nights _____   at (rate) _____

Hotel information:
Hotel Name: _____   Tax Exempt certificate ST-129
Address: _____   Fed. I.D.: _____
City/State: _____   Zip Code _____ $ -

*Meals   No ☐   Yes ☐   Reimburse per diem ☐   Paying with RF P-Card ☐

Per Diem Rate	# Breakfast			# Dinner		
$0.00	$0.00	at	$0.00	at	$0.00	
$0.00	$0.00	at	$0.00	at	$0.00	$ -

*Registration/Conference Fee(s)

Registration Fee information: Pre-registered with RF P-card on RF Award ☐
Payee: _____   Please register me & pay fee by check ☐
Fed. I.D.: _____
Address: _____   Reg. Fee Amount: _____
City/State: _____   Zip Code _____ $ -

*Personal Car Mileage

Estimated mileage _____   at rate $ 0.670   *1/1/24 - 12/31/24 $ -

State Vehicle Mileage - Physical Plant approval required.

Destination of State Vehicle _____   estimated miles $0.450 $ -

Airfare   I have pre-paid with RF P-Card $ -

*Other

Parking	$0.00	Tolls	$0.00	Taxi	$0.00	$0.00	$ -
Baggage	$0.00	Internet	$0.00	Taxes	$0.00	$0.00	$ -

P.I. : Check here if a CASH ADVANCE is required. Cash advance will be 80% of estimated expences

PATEO		PATEO		TOTAL:	$ -

I Certify: This travel is for RF business. I have read the vehicle policy and accept all driver responsibilities as stated in that policy. I authorize office of Physical Plant to verify my Driver's License information utilizing the DMV Lens program to determine my eligiblity to drive a college owned/leased vehicle.

SIGNATURES:	SIGNATURE INSTRUCTIONS:
Traveler/ Driver:	All travelers must sign
P.I.	
Grants Office	
Operations Manager	
Area V.P.	Only for out of state travel

Revised 1/24

RF TRAVEL FINAL EXPENSE FORM

Traveler must fill in Blue highlighted areas

SUNY RF at CANTON

Originating Agency	Originating Agency Code	Interest Eligible (Y/N)	Liability Date (mm/dd/yy)	Travel Advance amount
SUNY Canton	360	N		

Official Station	IRS Code		Payee Amount $0.00	
SUNY Canton				

	Normal work Hours	Work Phone #		Merch / Inv. Rec'd Date

Payee Name (Last)	(First-Full)	(MI)	Suffix	Destination (City & State)	County

Home Address	Departure Date	Time	☐ AM ☐ PM

City	State	Zip Code	Return Date	Time	☐ AM ☐ PM

Purpose of Travel

Airfare	$0.00
Train or Bus	$0.00
Vehicle Rental	$0.00
Fuel (When taking a State Vehicle use the Gas Card in the vehicle)	$0.00

(Whole numbers only)	0	$0.670 per mile	*1/1/24 - 12/31/24		$0.00

	Days @	$0.00	State Rate	$0.00	$0.00
	Days @	$0.00	State Rate	$0.00	$0.00
	Days @	$0.00	Other Than State Rate		$0.00

Per Diem Rate:	$0.00		0.00 +		Dinners @	0.00		$0.00
Per Diem Rate:	$0.00		0.00 +		Dinners @	0.00		$0.00
				Total of Meals on RF P-Card:		$0.00	$0.00	

Parking	$ -	Tolls	$ -	Please Note:		$0.00	$0.00
Taxi	$ -	Shuttle	$ -	Incidental Expenses should be charged on the		$0.00	$0.00
Internet	$ -		$ -	RF P-card card whenever possible!		$0.00	$0.00
Baggage	$ -	Out of state tax	$ -			$0.00	$0.00
Other:						$0.00	$0.00

Registration/Conference Fees:	$0.00	$0.00

PAYEE'S CERTIFICATION

	Total RF P-Card Charges	Total Reimbursement Due to Traveler

I hereby certify that the above account and attached schedules are just, true and correct, that no part thereof has been paid, except as stated therein, and that the balance therein stated is actually due and owing, and that the amounts claimed were necessary and incurred in the performance of my official duties.

$0.00	**$0.00**

OR

Traveler's Signature	Title	Date

SUPERVISOR'S CERTIFICATION

Total Amount Due from Traveler Attach personal check payable to Research Foundation

I, the claimant's supervisor, certify that this account has been examined and, to the best of my knowledge and belief, the amounts claimed therein were necessary for the performance of the claimant's authorized duties.

$0.00

P.I.'s Signature	Date	Operations Manageer	Date

Grant Office Signature	Date	Area VP's Signature (Out of State Travel)	Date	(If additional Grant funds being used, fill in below)
			PTA	
			Exp. Type	
			Organization	Revised 1/24

SUNY Canton / Research Foundation Export Controls Foreign Travel Disclosure Form	Rev. 31 May 2022

Traveler's Legal Name: _____ Email: _____

Department: _____ Phone Number: _____

In accordance with the Research Foundation's Foreign Travel Policy and the Federal Export Control requirements, this form is required each time you will be traveling outside of the United States; and /or when transporting items, software, data, or technology outside of the United States or to a foreign person in the U.S.; or when working with foreign persons, educational institutions, or businesses.

Please complete and submit this form a minimum of two weeks prior to all International Travel or (preferably) as soon as you know that you will be traveling outside of the U.S. If it is determined that a license is required, it may take up to two (2) months to secure.

Business Purpose of the Travel; include Country(ies) and City(ies):

_____

Dates of Travel: _____ You are a citizen of what country: _____

Will you be working with foreign persons, faculty, students, educational institutions, or businesses while traveling for your project?   Yes   No   If yes, please list the name(s) and institutional affiliation(s) of the foreign persons with whom you will be working. _____

_____

Will you be transporting any encrypted software, technology, items, or data to a foreign country?   Yes   No

If yes, please describe them below. _____

_____

Will you be transporting any equipment to a foreign country? Yes No If yes, please list the equipment (i.e., laptop computer, cell phone, GPS). You are required to have the ECCN code for the equipment and/or its parts. Please include that information (available from the manufacturer) below. _____

_____

Have you received information regarding International Medical insurance? Yes No Will any dependents be traveling with you? Yes No If yes, please list their full legal name and citizenship. _____

_____

Cell Phone Number used when travelling: _____ Cell Phone Carrier: _____

****

Please sign and date, then submit the completed form to the Office of Research and Sponsored Programs, MAC 602. If it is determined that you may need an Export Control license, the Export Control Officer will work with you to further investigate your compliance requirements with the applicable federal regulations. Travel to countries on the Federal Watch List require prior approval by the Campus President and Operations Manager. Your travel advance/reimbursement may be delayed or determined unallowable if the appropriate process is not followed. Funding Source / Account Number (SUNY Canton or Research Foundation): _____

Traveler's Signature: _____ Date: _____

Name / Signature: _____ Date: _____

Cost Transfers

A cost transfer reassigns expenditures previously recorded in one award to another award. The award to which a cost is transferred must benefit from the goods or services related to that charge, and the charge should be allowable under sponsor guidelines.

Expenditures should be charged to the appropriate award when they are incurred. If it is necessary to transfer expenditures to a different award for *approved* circumstances, the cost transfer should occur within **30 days** of when that need is identified.

Prior to initiating a cost transfer, you should contact your Sponsored Programs Office for guidance.

Reporting

Financial, technical, and progress reports are often required by sponsors on a fixed schedule throughout the lifetime of an award. These reports provide the sponsor with assurance that project activities are moving forward according to the terms of the agreement. Typically, you, as the PI, are responsible for making sure.

- All progress reports are submitted to the sponsor on time.

- Copies of all reports, along with the transmittal letter or e-mail, have been provided to the Sponsored Programs Office.

Failure to provide required reports can result in funding delays in multi-year awards, early termination of the award by the sponsor, and can lead to the Research Foundation not being able to apply for any future awards.

The RF is responsible for the submission of any required *fiscal* reports.

Extending Awards

Sometimes a project cannot be completed in the agreed-upon timeframe. In this case, you may need to request a no-cost extension to allow for time to finish the work. Requests for no-cost extensions
- Usually includes a justification and a projected budget that provides a spending plan for any unused funds.

- Must be coordinated with your sponsored programs officer.

- The request should be submitted to the ORSP a minimum of 60 days in advance of the award's termination date.

The development of intellectual property is a natural and regular outgrowth of research programs and other scholarly activities being conducted across the SUNY system. Intellectual property includes anything that is considered marketable, such as inventions, books, articles, study guides, syllabi, workbooks or manuals, bibliographies, instructional packages, tests, video or audio recordings, films, slides, transparencies, charts, other graphic materials, photographic or similar visual materials, film strips, multi-media materials, three-dimensional materials, exhibits, and computer software.

To protect your work from illegal copying, these items can be patented, copyright-protected, or trademarked.

The SUNY policy on intellectual property states the RF is the owner of all intellectual property created using SUNY resources or facilities, supported directly or indirectly by funds administered by the RF, developed within the scope of employment by SUNY employees, or agreed in writing to be a specially commissioned work. The RF has a generous policy for sharing any royalties derived from work that is patented. Exceptions to this ownership right are regular academic work products, work created solely for the purpose of satisfying a course requirement, work covered by a contractual agreement, and work resulting from outside consulting activities.

NOTE: The RF has an Intellectual Property website that describes its policies and procedures. SUNY RF Intellectual Property Policy

Additionally, it is a requirement on federal grants to disclose intellectual property developed under the grant. You should contact your ORSP regarding compliance with this requirement.

Your campus wants to work with you to ensure that your intellectual property is identified and protected.

To do so, you must disclose your discovery or development as soon as possible, and contact your ORSP, who will coordinate a meeting with the ORSP Director who will guide you through this process.

Closing Awards

Once the award period officially ends, each sponsor establishes its own deadlines for the submission of final financial and technical reports, as well as final invoices. Please be aware of, and ready to meet these deadlines. Typically, the close-out process is smooth, provided that all reports and all expenses have been judiciously accounted for.

Appendix: Policies, Procedures, and Regulations

Grant PIs are obligated to adhere to all policies, procedures, and regulations throughout the lifecycle of your award.

(Disclaimer) These policies and procedures were created based upon the current positions of the Office of Research and Sponsored Programs at SUNY Canton as of the most recent update on the cover of this Handbook.

Policies and Procedures

Access the RF policies and procedures through the links below:
- RF Procurement Policy
- RF Travel Handbook
- SUNY RF Service Center Policy
- RF Transmittal for Deposit

Campus policies and procedures may vary slightly from, and supersede, RF policies and procedures.

Contact your campus Sponsored Programs Office for questions, concerns, and guidance.

OMB Circulars

The U.S. Office of Management and Budget (OMB) Circulars serve as the backbone of all federal contracting and are generally the guidance documents that can be referred to whenever questions arise. The RF and SUNY Canton abide by the Code of Federal Regulations 2 CFR 200.

The RF has an obligation to follow the regulations provided by the federal government outlined by each circular.

- **Circular A-21** establishes principles for determining costs applicable to sponsored awards.

- **Circular A-110** establishes the requirement to apply principles Therefore, consistently, and uniformly, the principles of A-21 are applied to all RF accounts, regardless of the sponsor or source of funds.

- **Circular A-133** establishes the basis for audit requirements and standards.

To ensure compliance there is an annual A-133 audit of the RF of SUNY. In this audit, the financial systems are reviewed, and a final report is offered to identify the RF's compliance with A- 133's standards. Every year four institutions within the SUNY system that utilize the services of the RF of SUNY are internally audited by the RF on a rotating basis to ensure A-133 audit standards throughout the system are met.

The overall A-133 audit report of the RF is filed with the federal government and made available publicly on their website.

Sponsors, who are investing money in a sponsored award, are entitled to perform audits of all aspects of the award (financial and programmatic).

The following is a list of audit types:

- Pre-award
- Financial statement
- OMB A-133
- Program Specific
- Special Review
- F&A Cost Proposal and Disclosure Statement
- Business System Review (accounting, procurement, property, etc.)

These audits may also be accompanied by site visits where the sponsor sends an individual or team to get a first-hand look at award activity to ensure that it is following the sponsor's regulations and the scope of work outlined in the funded proposal.

The RF is obligated to comply with any requests for audits and/or site visits. The RF will provide appropriate personnel and resources to the sponsoring agency to demonstrate compliance.

You must notify the ORSP as soon as you are informed of an audit or site visit.

Appendix: Subawards versus Supplier

A subaward is likely appropriate if you can answer "yes" to any of the following questions:
- Does the entity's scope of work (SOW) represent an intellectually significant portion of the programmatic effort of the overall project?
- Does the entity have responsibility for programmatic decision-making?
- Could the entity's work result in intellectual property developed or publishable results (including co-authorship)?
- Will the entity need animal and/or human subjects' approvals for its portion of the work?

The following information provides tips to distinguish a subaward from a supplier situation.

If the situation involves an…	The relationship is a…
An entity selling goods or services as part of their routine business operations, usually at a fixed price or rate (e.g., pipettes, tanks of hydrogen, etc.).	Supplier
An entity using human subjects or animal subjects (and needs both the subrecipient's AND Campus' IRB or IACUC approval) to do their portion of the work.	Subaward
An entity conducting a survey using de-identified data, and annual IRB approval is not required.	Supplier
An entity who might be a legitimate author or co-author of a paper done on the project.	Subaward
Invention arising from the work done by the subrecipient.	Subaward
Entity performing a test on data we provide to them and who gives us the results to analyze.	Supplier
Entity performing a test on data we provide to them and provides routine professional services in analyzing the results (e.g., a radiologist reading an X-ray).	Supplier
Entity performing a test on data we provide to them and provides routine professional expertise to contribute to generalized knowledge in new ways.	Subaward

Other procurement actions may be appropriate when the supplier:
- Provides the goods and services within its normal business operations.
- Provides similar goods or services to many different purchasers.
- Operates in a competitive environment.
- Provides goods or services that are ancillary to the operation of the RF-sponsored project.
- Is not subject to compliance requirements of the sponsor.

Listed below are common acronyms you may see over the lifecycle of your sponsored program. This is only a portion of the full list. Access the full RF Acronyms and Common Terms list link.

Acronym	Name
AAAH	American Association for the Advancement of Humanities
AAALAC Council	American Association of Animal Laboratory Accreditation
AAAS	American Association for the Advancement of Science
AACUO	Association for Affiliated College and University Offices
ACC	Application Control Center
ACE	American Council on Education
ACLS	American Council for Learned Societies
ACO	Administrative Contracting Officer
ACS	American Cancer Society
ADAMHA	Administration on Drug Abuse, Mental Health, and Alcoholism
AFDC	Aid to Families with Dependent Children
AFOSR	Air Force Office of Scientific Research
AHA	American Heart Association
AID	Agency for International Development
AOA	Administration on Aging
ARI	Army Research Institute
ARO	Army Research Office
AUTM	Association of University Technology Managers
AVA	American Vocational Association
BAA	Broad Agency Announcement
BIA	Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
CAS	Cost Accounting Standards
CASB	Cost Accounting Standards Board
CASE	Council for the Advancement and Support of Education
CBD	Commerce Business Daily
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CIES	Council for the International Exchange of Scholars
CPB	Corporation for Public Broadcasting
CO	Contracting Officer
COP	Certificate of Proposal
COS	Community of Science
COGR	Council on Governmental Relations
CURI	College and University Resource Institute
DARPA	Defense Applied Research Projects Agency (formerly ARPA)
DC	Direct Costs
DCA	Division of Cost Allocation (HHS)
DCAA	Defense Contract Audit Agency
DCE	Direct Cost Equivalent
DEA	Drug Enforcement Administration

DEAR	Department of Energy Acquisition Regulations
DFAR	Defense Federal Acquisition Regulations
DHHS	Department of Health and Human Services
DOD	Department of Defense
DOE	Department of Energy
DOEd	Department of Education
DOT	Department of Transportation
EDGAR	Educational Department General Administration Regulations
EDI	Electronic Data Interchange
EFT	Electronic Funds Transfer
EO	Executive Order
EPA	Environmental Protection Agency
ERIC	Education Resources Information Clearinghouse
ERA	Electronic Research Administration
ERS	Economic Research Service
ESEA	Elementary and Secondary Education Act
ETA	Employment and Training Administration
F & A	Facilities and Administrative Costs (formerly Indirect Costs)
FAR	Federal Acquisition Regulations
FDP	Federal Demonstration Partnership
FIE	Federal Information Exchange
FIPSE	Fund for the Improvement of Postsecondary Education
FMC	Federal Management Circular
FOIA	Freedom of Information Act
FR	Federal Register
FSR	Financial Status Report
FY	Fiscal Year
GAO	Government Accounting Office
GEPA	General Education Provisions Act
GPRA	Government Performance and Results Act
GSA	General Services Administration
GSL	Guaranteed Student Loan
HEA	Higher Education Amendment
HEARS	Higher Education Administrative Resource Service
HED	Higher Education Daily
HENA	Higher Education and National Affairs
HHS	Department of Health and Human Services
IACUC	Institutional Animal Care and Use Committee
IACP	Institutional Animal Care Program
IDC	Indirect Costs (now called Facilities and Administrative Costs)
IG	Inspector General
IHE	Institution of Higher Education
IRB	Institutional Review Board
IREX	International Research and Exchanges Board
LAR	Laboratory Animal Resources
MTA	Material Transfer Agreement
MTDC	Modified Total Direct Costs
NASA	National Aeronautics and Space Administration
NCES	National Center for Educational Statistics
NCURA	National Council of University Research Administrators

NEA	National Education Association
NEA	National Endowment for the Arts
NEH	National Endowment for the Humanities
HFAH	National Foundation on the Arts and Humanities
NIA	National Institute on Aging
NIAAA	National Institute on Alcohol Abuse and Alcoholism
NIDA	National Institute on Drug Abuse
NIE	National Institute on Education
NIH	National Institute of Health
NIHR	National Institute for Handicapped Research
NRA	National Rehabilitation Association
NRSA	National Research Service Award
NSF	National Science Foundation
OFCC	Office of Federal Contract Compliance
OMB	Office of Management and Budget
ONR	Office of Navel Research
OSHA	Occupational Safety and Health Administration
OSI	Office of Science Integrity
PA	Program Announcement
PETA	People for the Ethical Treatment of Animals
PHS	Public Health Service
PI	Principal Investigator
RDA	Recombinant DNA
RFA	Request for Applications
RFP	Request for Proposal
RFQ	Request for Quotation
SBA	Small Business Administration
SPA	Sponsored Programs Administration
SRA	Society of Research Administrators
TDC	Total Direct Costs
TGA	The Grant Advisor
UBIT	Unrelated Business Income Tax
USC	United States Code
USDA	United States Department of Agriculture