NYU Offices Supporting Your Research Endeavors

Pre-Award Services for Research, Training, Outreach and Related Activities:
Office of Sponsored Programs (OSP) - 212.998.2121
www.nyu.edu/sp
Grant and Contract Negotiations:
Contract Office (CO) - 212.998.2121
www.nyu.edu/research/resources-and-support-offices/getting-started-withyourresearch/contracts.html
Post-Award Financial Administration Services:
Sponsored Programs Administration (SPA) - 212.998.2704
www.nyu.edu/financial.services/cdv/ssp
Cost Analysis:
Email: teresa.maryniak@nyu.edu or michael.miller@nyu.edu
Technology Transfer and Licensing:
Office of the Industrial Liaison (OIL) - 212.263.8178
www.nyu.edu/oil
Oversight for Research Involving Animal Subjects:
University Animal Welfare Committee - www.nyu.edu/uawc
Office of Veterinary Resources - 212.998.2112
www.nyu.edu/o/v
Oversight for Research Involving Human Subjects:
University Committee on Activities Involving Human Subjects 212.998.4608
www.nyu.edu/ucaihs
Export Controls:
Chief Global Compliance Officer, Robert Roach - 212.998.2075; Email: robert.roach@nyu.edu
www.nyu.edu/compliance
Capital Equipment:
Assets Management: www.nyu.edu/asset
Environmental Health and Safety:
Department of Environmental Services - 212.998.1450
www.nyu.edu/ehs
Radiation Safety Office:
212.998.7588; Email: kg72@nyu.edu
University Compliance Coordination:
Office of Compliance - 212.998.2075
www.nyu.edu/compliance
Internal Policies:
Faculty Handbook: www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/faculty-handbook.html
Principal Investigator Guide:
NYU Business Expenses and Expense Reimbursement Policies (including Travel Policy):
www.nyu.edu/employees/resources-and-services/financiallink/buying-paying-payments.html
Federal Regulations:
www.whitehouse.gov/omb/grants_docs
Fly America Act:
www.acquisition.gov/far/current/html/Subpart%2047_4.html

NEW YORK UNIVERSITY
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The Principal Investigator’s Pocket Guide to the Administration of Sponsored Programs at NYU

Project Planning and Proposal Submission
- Communicate with your departmental research administrator and Project Officer in the Office of Sponsored Programs (www.nyu.edu/content/dam/nyu/research/documents/OSP/OSP_CO_Team_Assignments.pdf) early and often to access proposal development support; to facilitate internal routing, review and approval; and to ensure timely submission to and receipt by the awarding agency.
- Consider time and effort required of key personnel for the proposed effort as well as effort already committed to other projects; resources and facilities needed from the department, school, or University including expertise from external collaborators necessary to conduct the work; document and track commitments.
- Check the OSP website (www.nyu.edu/research/resources-and-support-offices/getting-started-withyourresearch/administration/ -of-sponsored-programs/policies/nyu-administrative-information-for-proposal-preparation.html) for current rates including Facilities and Administration (F&A) costs (aka indirect costs), fringe benefits, and tuition remission as well as other NYU-specific information needed for proposals.
- Prior to approaching foundations or corporations for unsolicited proposals or fundraising, clearance must be obtained from University Development and Alumni Relations (UDAR).

Use of Animal and Human Subjects, Radioactive Materials or Recombinant DNA in Research
- Submit a protocol for review and approval by the University Animal Welfare Committee (www.nyu.edu/uawc) and/or the University Committee on Activities Involving Human Subjects (www.nyu.edu/ucaihs), prior to involving animal or human subjects, respectively, in any research project. All PIs must pass a tutorial prior to applying for either committee’s approval.
- Submit the protocol well in advance of a project start to allow sufficient time for review. No work may be initiated until formal, written approval is issued by the relevant committee.
- Contact Environmental Services (www.nyu.edu/ehs) if there are environmental health and safety concerns.
- Contact the Department of Radiation Safety (Email: kg72@nyu.edu) if radioactive materials will be used.
- For studies proposing to utilize recombinant DNA, visit www.nyu.edu/ehs/programs/biosafety.html#DNA

For all post-award matters refer to the Sponsored Programs Administration Post-Award Handbook: www.nyu.edu/spahandbook

Direct Costs
Consider the following criteria before charging a federally funded sponsored project:
- Allowability—certain expenditure types may be unallowable, either as described 2 C.F.R. 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (www.whitehouse.gov/omb/grants_docs), or per sponsor or University policy.
- Allocability—costs attributable to a particular sponsored project and expenditures charged should be in direct proportion to the benefit realized by the project.
- Reasonableness—a cost is deemed reasonable if a prudent person would be willing to pay the same amount for the good or service.
- Consistency—costs should be categorized and charged as either direct or indirect costs. For individual research grants, costs such as administrative staff salaries, general office supplies, general purpose equipment, local telephone, etc., generally may not be charged as direct costs.
- For restricted gifts or grants from non-federal sponsors where full indirect recovery is not permitted, direct charge costs which normally are included in the F&A rate, e.g. clerical salaries, accounting costs, general office supplies, etc.

Project Management
- The Principal Investigator (PI) has programmatic and fiduciary responsibility for the sponsored projects under her/his direction, and is accountable to NYU and the sponsor for award management and reporting, from inception and account reconciliation to close-out. For detailed information, refer to the Sponsored Programs Administration Post-Award Handbook (www.nyu.edu/spahandbook).

Office of Sponsored Programs
September 2016

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Project Management - continued

- NYU is committed to the ethical and responsible conduct of research and related activities by its faculty, students, research staff and administrators. PI shall comply with research-related policies, procedures, and practices on topics including, but not limited to, proposal submission and award management, conflict of interest, scientific misconduct, protection of human and animal subjects, environmental health, export controls, and intellectual property.

- Post-award: Review Project Authorization Form issued by SPA, including sponsor, period of performance, sponsor award number and award amount. This email notification provides the chartfield in established NYU’s accounting system (Peoplesoft) for your sponsored project and will be used to expend funds.

- Effort Certification: Required for individuals who have committed and/or paid effort on any sponsored project established under Fund 25.

- Award Documentation: Review Notice of Award, distributed by OSP or the Contracts Office, including the final approved budget, PI level of effort, period of performance dates, project deliverables, if any, any restrictions on changes to the project, special terms and conditions. Contact relevant office immediately with any corrections/questions.

Cost Transfers

- Defined as any transfer of expenditures from one sponsored project to another sponsored project, discretionary, or required for individuals who have committed and/or paid effort on any sponsored project established under Fund 25.

- Award Closeout:
  - Verify Financial Reports: Review records at least 3 months prior to expiration of the award to ensure completeness, accuracy and allowability of all costs.
  - Identify Data Retention Requirements: Develop a plan for retaining and storing data to ensure institutional and sponsor access to information.
  - Ensure that all Subcontracts and Consultants have provided necessary documentation.
  - File Final Technical Reports with the Sponsor.
  - File Invention Report, property and equipment report or other required closeout documents as needed.
  - Audit: Contact your departmental grant administrator and SPA immediately for assistance if you are contacted by an auditor—either internally or from an external agency.
  - If a PI leaves the University, SPA and OSP should be notified to ensure appropriate action regarding any sponsored awards.

Costsharing

- Defined as funds devoted to a sponsored project which are either provided by the university or by a third party.

- There are 3 types of costsharing: mandated (either by statute or sponsor and specified in the guidelines as a requirement); voluntary committed (although not required by the sponsor, costsharing it is offered and quantified in the proposal) and voluntary uncommitted (although not required and not quantified in the proposal, it is nonetheless contributed).

- Unallowable costs and federal funds (unless specifically authorized) may not be used to meet costsharing obligations.

- Effort commitments made to meet mandatory or voluntary committed costsharing must be reflected in the time and effort certification and documented in a cost share chartfield. Contact Sponsored Programs Administration (SPA) at www.nyu.edu/finance/link.

- Equipment (Property): Ensure that all capital equipment, defined as items with a useful life of more than one year at a unit cost of $3K or more and purchased by or fabricated at NYU with sponsored project funds, is tagged by Asset Management and reported to your school administrator for inclusion in NYU’s inventory systems and allocated to the appropriate capital equipment account line. Equipment is reported to the sponsor at close-out, if required.

- Retain all correspondence related to the project; retain all expenditure documentation demonstrating that the expenditure was appropriate, allowable and consistent with sponsor and NYU policy unless such documentation is available through PASS, ERS, JEMS, or AP Workflow; retain all data, programmatic, and reporting information. Check agency guidelines for records and data retention requirements.

- Effort Certification: Required for individuals who have committed and/or paid effort on any sponsored project established under Fund 25.

- Any voluntary cost sharing of PI effort above 5% on a single grant or 10% cumulatively (in the sum total of all awards) requires the written permission of the Chair, Dean and Senior Vice Provost for Research.

- For further details, visit: www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/cost-sharing-policy.html