

Grants Management Guide

REFERENCE DOCUMENTS FOR RESEARCH ADMINISTRATION, FACULTY, AND STAFF WHEN CREATING A BUDGET FOR APPLICATION SUBMISSION THAT INCLUDES PROPER CLASSIFICATION OF AN EMPLOYEE OR INDEPENDENT CONTRACTOR.

WHEN SUBMITTING A CONTRACT OR GRANT APPLICATION IT IS IMPARATIVE TO ENSURE THAT THE APPROPRIATE BUDGET CATEGORIES ARE USED. ONE AREA OF CONCERN IS CLASSIFYING SOMEONE AS AN EMPLOYEE OR INDEPENDENT CONTRACTOR /CONSULTANT. THIS CLASSIFICATION NEEDS TO BE DONE AT THE APPLICATION STAGE TO ENSURE FUNDS ARE PROPERLY ADMINISTERED WITHOUT RISK OF LOSS IF FUNDED.

Human Resources, in consultation with Payroll Services, has institutional responsibility for making the determination on whether a position is designated as an employee or Independent Contractor.

The legal determination as to whether a worker is an employee or an independent contractor is based on a comprehensive review of all the conditions under which a person is working. The label a company places on the worker has no bearing on the matter. Generally a person is an employee if the employer has the right to control the person's work process; whereas a worker is classified as an independent contractor if the employer does not control the process but dictates only the end result or product of the work. Note that the employer does not actually have to control the work process: the mere ability of the employer to take control is sufficient to create an employer-employee relationship.

Employee: A person in the service of another under any contract of hire, express or implied, oral or written, where the employer has the power or right to control and direct the employee in the material details of how the work is to be performed.

Independent Contractor/Consultant: One who, in the exercise of an independent employment, contracts to do a piece of work according to his/her own methods and is subject to his/her employer's control only as to the end product or final result of his/her work.

http://www.upstate.edu/hr/document/intra/research_contractor_request.pdf

http://www.upstate.edu/hr/document/intra/state_contractor_request.pdf

Contact: Classification and Compensation (Jill Darling, ext. 4-4951)

TOOLS FACULTY AND STAFF CAN USE TO MANAGE THEIR SPONSORED FUNDING ONCE AWARDED

Each business area plays a significant role in administering sponsored funding. It is important to understand the policies and best practices for each to ensure compliance with sponsor and institutional guidelines. Below is a brief description of those business offices that provide service to our faculty and staff. Please refer to the links below for campus policies, best practices, frequently asked questions and helpful documents.

Research Foundation Accounts Payable

This area processes all payments that are to be made from any Research Foundation Grant in accordance with the Research Foundation policies and procedures.

Accounts Payable can be reached at 315 464-5480 or by fax at 315 464-4981.

http://www.rfsuny.org/media/RFSUNY/Policies/procurement_policy_pol.htm

Research Foundation Travel

This area processes all employee, consulting, etc. reimbursements for traveler's expenses that have effort on the Research Foundation Grant in accordance with Research Foundation Travel policies and procedures.

Travel can be reached at 315 464-4978 or by fax at 315 464-4981.

http://www.rfsuny.org/media/RFSUNY/Policies/travel_handbook.pdf

Sponsored Programs Post-Award

Sponsored Programs Post-Award is responsible for the stewardship of research grants, contracts, and agreements. This involves overseeing the establishment of new and existing sponsored account funds and budgets, reviewing all award guidelines and/or sponsor restrictions/requirements and providing guidance to Principal Investigators/University staff to facilitate and ensure compliance with federal, state, private, and non-profit sponsors in addition to University/Research Foundation policies/procedures. Post-Award interprets sponsor requirements and determines if expenditures are allowable, allocable, and reasonable. We maintain working relationships with sponsors and serve as liaison with PIs to communicate policies and procedures for compliance with all guidelines. This includes advising PIs of potential issues such as over/under spending of funds, allowability of expenditures, or carry forward requests. We provide recommendation for corrective actions. Post Award is responsible for the preparation, execution, and monitoring of all subaward agreements.

http://www.upstate.edu/researchadmin/sponsored_programs/post_award/sponsored-post-award.php

Sponsored Programs Post-Award can be reached at 315-464-5146.

Campus Purchasing

The Campus Purchasing and Contracts Department assists the campus in procuring quality goods and services in a cost efficient, timely manner, while ensuring compliance with the State of New York and Research Foundation of SUNY Policies and Procedures.

The following are common areas of concern regarding RF awards that should be noted:

Payments to clinical trial subjects must be made either by check (required for payments of \$50 or more), by setting up a petty cash fund, or by the use of an approved ClinCard (debit card) program. *Gift cards are not an acceptable means of payment.*

http://www.rfsuny.org/media/RFSUNY/Policies/phi_gifts-contributions-fundrasing_pol.htm

The purchase and use of live vertebrate animals for research are subject to state and federal regulations. Prior approval must be granted through Upstate Medical University's Institutional Animal Care and Use Committee (IACUC). For more information, contact the Department of Lab Animal Resources at (315) 464-6563.

Relocation expenses can only be paid with RF funds for RF employees who are appointed to a full time position for more than one year. Reimbursable items include the basic cost of loading, transporting, and unloading of household goods, transportation for employee and family members at the IRS mileage rate for moving expenses, and lodging and meals at the current NYS per diem rates (found on the Travel website).

http://www.rfsuny.org/media/RFSUNY/Policies/pay_moving-expense-reimbursement_pol.htm

The Research Foundation is TAX EXEMPT

http://www.rfsuny.org/media/RFSUNY/Policies/procurement_policy_pol.htm

We are located on the 2nd floor of the Sarah Loguen Center, 650 South Salina St. We can be contacted by phone 315-464-5720, or fax 315-464-4599, Monday – Friday, between 8:00 am and 4:30pm