



Department
of Health

Wadsworth
Center

Grant Contract Reporting & Compliance: The Basics

For Investigators & Administrators of organizations receiving funding for Breast Cancer, Spinal Cord Injury or Stem Cell Research

Provided by Extramural Grants Administration

July 14, 2015

The EGA Mission

Facilitate and support research and education that leads to the treatment, cure and prevention of diseases or health conditions, through consistent program administration that balances the needs of taxpayers and researchers/educators.

Reporting Requirements & Monitoring: Why So Important?

Program Stability – Macro View

- Demonstrates Public Health Impact
- Demonstrates Value of Program



Reporting Requirements & Monitoring: Why So Important?

Program Stability – Micro View

- Accountability
 - Timeliness, Accuracy and Completeness
 - Scientific advancement of public health with taxpayer funds
 - Reasonable and necessary budget workplans



Grants Have Goals

Financial support for an investigator to conduct research in a particular subject area or field, without detailed stipulations as to the direction of the research.

- Contain categorical budgets
- Payment made in advance of expenditures
- Research objectives specified, but with some latitude in the direction the work
- Prior approvals needed for a few changes

Grant Contracts Have Expectations

Financial support for an investigator to conduct research in a particular subject area or field under specific stipulations and conditions.

- Contain line item budgets
- Payment as reimbursement of expenditures
- Specifically define the research to be completed within the contract term
- Specifically define the deliverables, performance measures and time period for completion of activities
- Prior approvals needed for most changes

Topics

- Vouchers, Fiscal Reports & Budget Management
- Progress Reports
- Intellectual Property Activity Reports
- Compliance Monitoring

Vouchers, Fiscal Reports and Budget Management

Grant Contracts

- Fiscal Monitoring Overview
- Voucher and Budget Statement and Report of Expenditures (BSROE)
- Budget Modification Requests
- Carry Forward unexpended funds Requests
- No-Cost time Extension Requests

Fiscal Monitoring

- Separate account established for each project
- Expenses are charged in accordance with
 - Contract Terms and Conditions
 - Salary Rate Limitation
 - Cost Accounting Standards
 - OMB Circulars
- Expenses are appropriately and adequately documented

Expenditure Monitoring

At least monthly, compare actual expenses to the budget to ensure that:

- Budget lines on the contract have not been exceeded
- Budget lines are used appropriately
- Upcoming expenditures will not exceed remaining budgeted amounts for the next period



Accurate Charges

At least monthly, review actual expenses to ensure that they are:

- Accurate
- Reasonable
- Allocable
- Allowable
- Consistently applied

Accurate Charges Continued

- A cost may be considered reasonable if the nature of the goods or services acquired reflects the action that a prudent person would have taken under the circumstances prevailing at the time the decision was made to incur the cost.
- A cost is allocable to a specific contract if:
 - It is incurred solely in order to advance work under the contract;
 - It benefits both the contract and other work of the organization;
 - And is deemed assignable, at least in part, to the contract.

Accurate Charges Continued

- A cost is ***allowable*** if it is reasonable, allocable, and conforms to the cost principles and the contract AND is not prohibited by law or regulation.
- Contractors must be ***consistent*** in assigning costs to cost objectives. Although costs may be charged as either direct costs or F&A, depending on their identifiable benefit to a particular project or program, they must be treated ***consistently*** for all work of the organization under similar circumstances, ***regardless of the source of funding***, so as to avoid duplicate charges.

Cost Transfers (charge corrections)

- Must be well-documented
- Must be made within **90 days from the time error was discovered**
 - Erroneous
 - Unreasonable
 - Unallocable
 - Unallowable
 - Inconsistently applied

Vouchers & BSROEs – Why They Matter

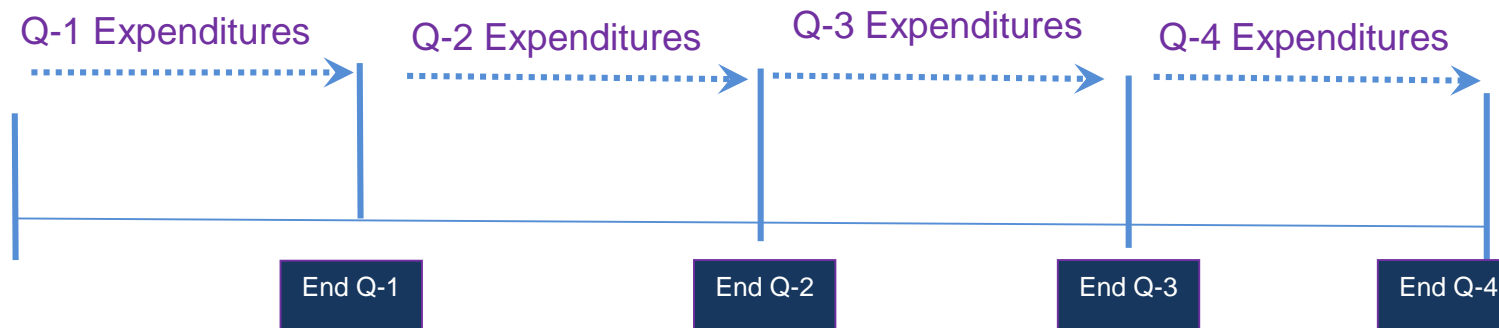
Timeliness – Accuracy – Completeness

- Improves entire program cash management; influences current and future year funding for the entire program
- Reimburses you promptly
- Keeps your project on track



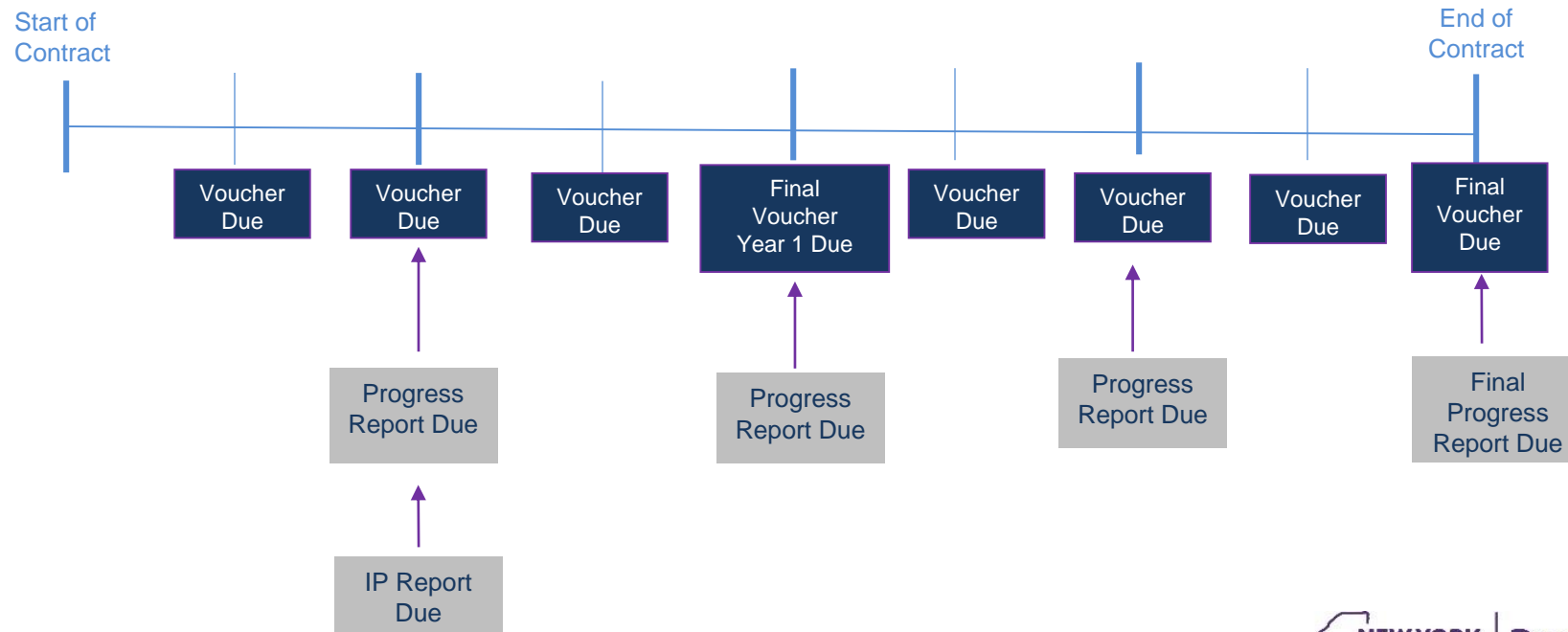
Voucher & Budget Statement and Report of Expenditures (BSROE)

- Use Claim for Payment form (AC3253-S) to report quarterly expenditures
- BSROE must accompany and support expenses
- Vouchers are due no later than 30 days after end of quarter and 60 days after end of contract term



Contract Management: Reporting and Monitoring Timeline

Example: 2 Year Contract Timeline



Common Invoice Mistakes

- Voucher missing signature
- BSROE not included
- Budget line(s) exceeded
- Incorrect budget numbers:
 - Outdated budget numbers used
 - Total Budget, not Contract Year Budget used
- Mathematical errors
- Not all funded items listed on BSROE, including Personal Service



Statewide Financial System

<http://www.sfs.ny.gov>

Integrated system designed to improve efficiency, effectiveness, integrity, transparency and accountability.

ADVANTAGES for VENDORS

- Maintain own contract information
- View voucher payment status
- Electronic payments



COMING SOON

- Enter vouchers and transmit electronically to DOH

BUDGET MANAGEMENT

Justification Required

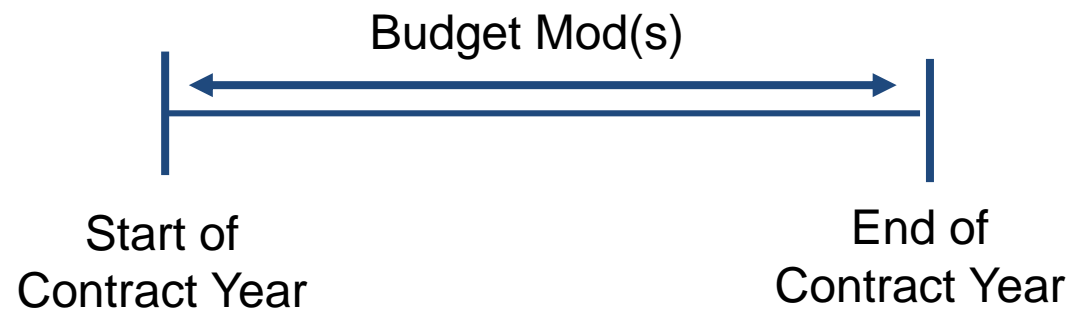
Be Specific

- Strength of justification is *critical* to approval of the request
- Justification must be tied to progress made on contract aims.
 - Progress to date on each specific aim
 - Plans for use of funds to accomplish stated aims

Budget Modification Requests

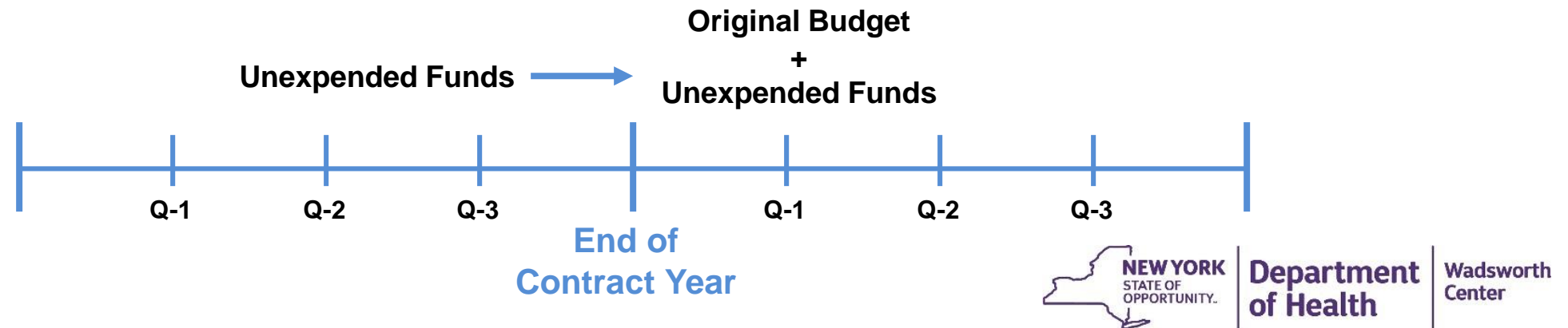
Use to move funds between budget lines within a contract year

- Program approval required for all requests
- Office of the State Comptroller (OSC) approval *may also* be required
- Changes cannot jeopardize ability to complete research aims within contract term



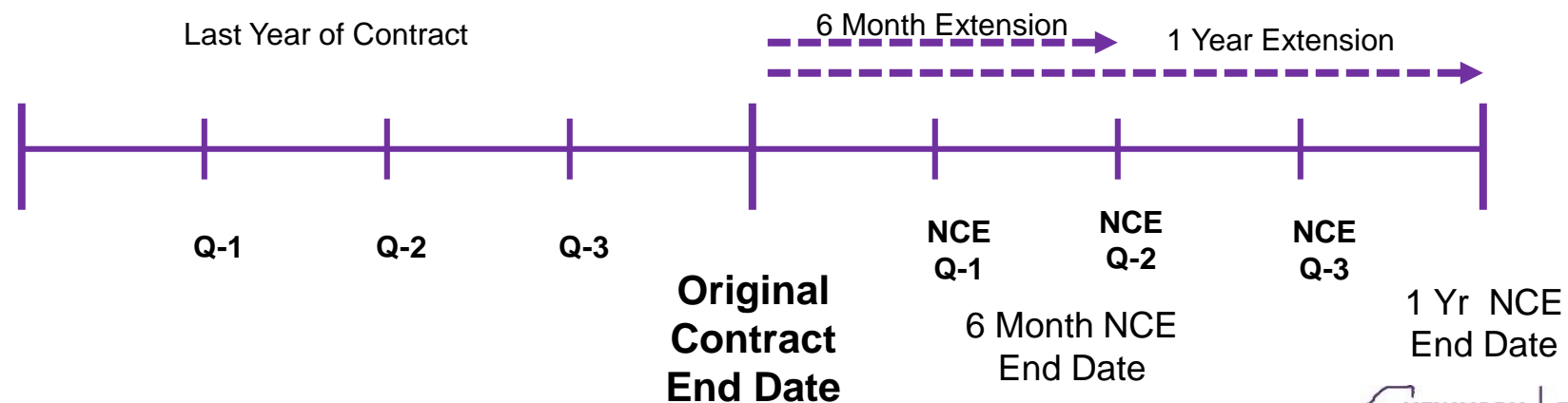
Carry Forward Requests

- Use to move unexpended funds from one budget period to the next
- Due 45 days after the end of the contract year
- 4th Quarter voucher for contract year required to approve request
- Requires EGA and DOH approval
- Progress Report requirements are unchanged
- Funds **MUST** be carried forward to same budget line



No-Cost Time Extension Request

- Use to allow more time to complete contracted research project
- Funds **must** remain in current budget lines
- Start process **at least six (6) months** prior to end of contract
 - Requires DOH, AG and OSC approval
 - Progress Report required for approval
- Periodic and Final Progress Report still required



Frequent Budget Requests – What's the Big Deal?

Program Stability

- Carry Forwards and No Cost Extensions negatively impact entire program cash management and current/future year funding for the entire program

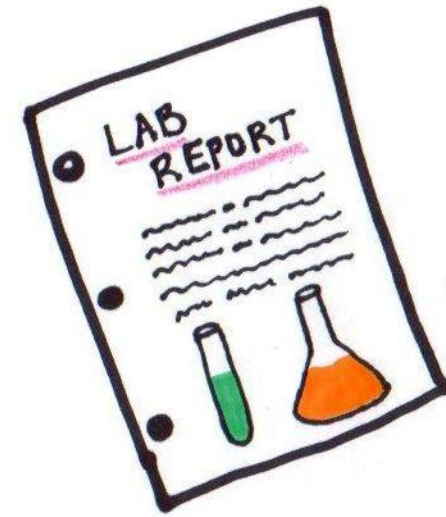
Timeliness – Accuracy – Completeness

- Improves entire program cash management; influences current and future year funding for the entire program
- Reimburses you promptly

PROGRESS REPORTS

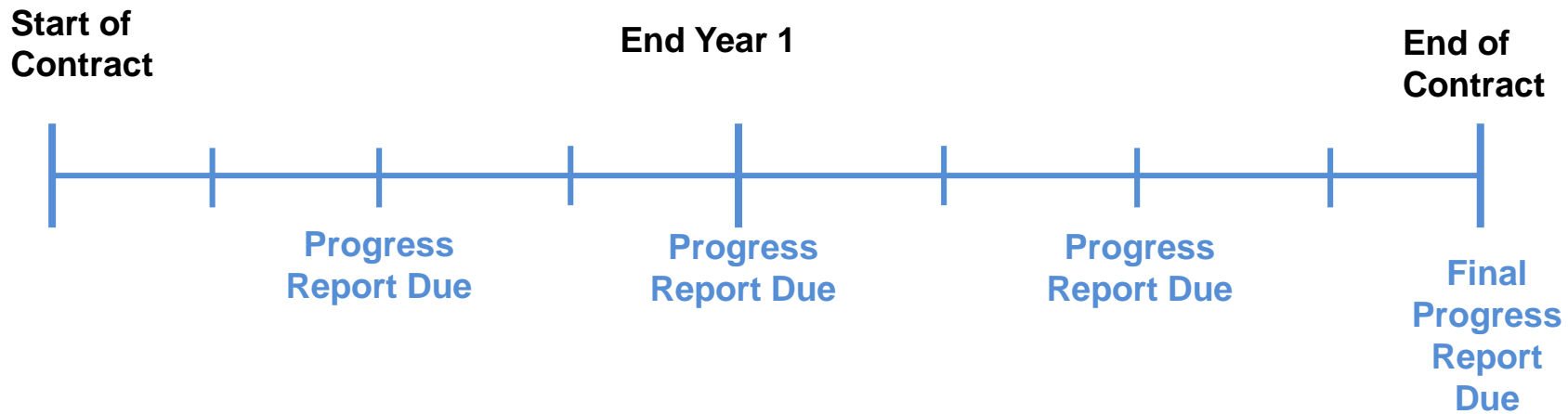
Progress Report Sections

- Section 1 Cover Page
- Section 2 Lay Abstract
- Section 3 Scientific Progress
- Section 4 Personnel Effort
- Section 5 Other Support
- Section 6 Publications
- Sections specific to funding mechanism (type of contract)



Progress Reports - Timeline

Example: 2 Year Contract Timeline



Progress Reports – Requirements

- Periodic (current reporting period) Progress Report due as specified in contract terms
- Final (comprehensive) Progress Report due no later than 60 days after contract end, or per contract specifications
- Must be submitted electronically in MS Word
- Must be submitted on current forms
(Initial forms will be provided to you by your Contract Manager)
- Publications must be submitted as PDF files



Progress Reports – Common Errors

- Insufficient detail provided in Progress Abstract and/or Scientific Progress areas
 - What have you done in comparison to the contract workplan?
 - What issues have come up and how do you propose to address them?
 - What is your plan for work during the next reporting period?
- Personnel Effort changes not explained
- Other Support incomplete or incorrect
- Publications not submitted



Progress Reports – Why They Matter

Program Stability

- Continued funding for each contract (accountability) and the entire program depends on verifiable progress (funding levels)

Timeliness – Accuracy – Completeness

- Reimburses you promptly
- Keeps your project on track



INTELLECTUAL PROPERTY ACTIVITY REPORTS

Intellectual Property Activity Report Requirements

- Semi-annual reporting
 - January 1 through June 30 report is due by July 31
 - July 1 through December 31 report is due by January 31
- Must be submitted electronically on current forms
(Check program websites regularly for updated forms)
- Supporting documentation must be submitted as PDF files and marked Confidential or Proprietary

Intellectual Property Reports – Why They Matter

Program Stability

- Demonstrates Value of Program
 - Scientific advancement with public funds
 - Program income
 - Potential economic benefit to NYS

Timeliness – Accuracy – Completeness

- Reimburses you promptly
- Keeps your project on track



Compliance Monitoring

Compliance Monitoring

- Continuous process verifies that contract requirements are being met (accountability and program value)
 - Fiscal/Administrative
 - Workplan progress
 - Safety (IRB, IACUC, SCRO, IBC)
- Communications
 - Reports
 - Policy, procedure and documentation reviews
 - Technical assistance
 - Training
 - On-site visits



Find us on the web!



- New York State Stem Cell Science Program (NYSTEM)
<http://stemcell.ny.gov>
- Breast Cancer Research and Education Program
<http://www.wadsworth.org/extramural/breastcancer/>
- Spinal Cord Injury Research Program
<http://www.wadsworth.org/extramural/spinalcord/>

Find us on the web!

<http://www.wadsworth.org/extramural/index.htm>

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NEW YORK STATE DEPARTMENT OF HEALTH

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Extramural Funding

Wadsworth Center administers legislatively authorized extramural funding programs that support New York State investigators studying specific topics, including:

- ♦ **Stem Cells** - New York Stem Cell Science works to further the agenda of the Empire State Stem Cell Board, established in April 2007 to administer grants for basic, applied, translational or other research and development activities that will advance scientific discoveries in fields related to stem cell biology.
- ♦ **Breast Cancer** - The New York State Health Research Science Board has supported breast cancer research studies and education projects since 1996.
- ♦ **Spinal Cord Injuries** - The New York State Spinal Cord Injury Research Board, established in 1999, distributes research grants to find a cure for spinal cord injuries.

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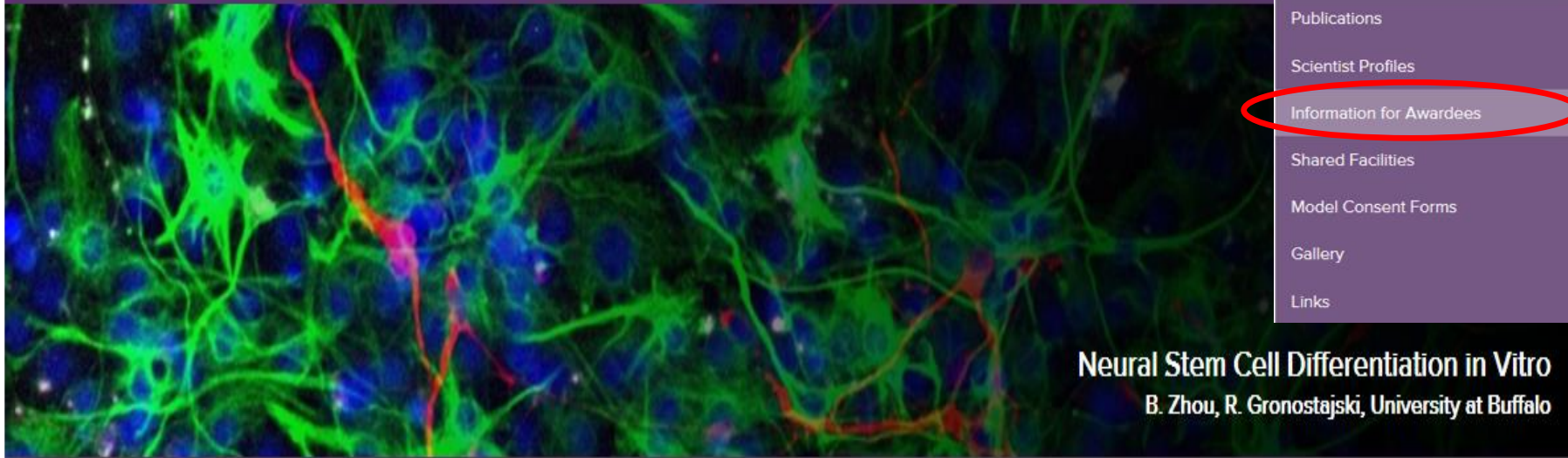
Information for Awardees

Shared Facilities

Model Consent Forms

Gallery

Links



Neural Stem Cell Differentiation in Vitro

B. Zhou, R. Gronostajski, University at Buffalo



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http://stemcell.ny.gov/awardee_information.htm

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NYSTEM New York State Stem Cell Science

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Awardee Information

For alternative versions of the documents below, please contact 518-474-7002 or nystem@health.ny.gov.

Awardee Requirements

Guides and Forms

The New York State Department of Health contracts for NYSTEM research awards require periodic progress, reporting and proper fiscal management and oversight. To assist contractors in meeting these contractual obligations, the Extramural Grants Administration unit provides the following forms and tools.

Research contracts require the timely reporting of scientific and fiscal information. The purpose of this reference manual is to assist investigators, fiscal staff, and research administration staff in managing the contract award.

[Contractor Training Presentation](#) (PDF file size: 8.2M)

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http://www.wadsworth.org/extramural/breastcancer/index.htm

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Information

Breast Cancer Research and Education

The Health Research Science Board has supported breast cancer research studies and education projects since 1996.

Each year, nearly 14,000 New York State citizens are diagnosed with breast cancer and approximately 3,000 die from the disease. The Health Research Science Board was created in 1996 to support research for the cure and prevention of breast cancer and to consider requests for the release of confidential pesticide information for specific health-related research projects from the Pesticide Sales and Use Database, maintained by the New York State Department of Environmental Conservation (DEC) in conjunction with Cornell University.

To date, the Health Research Science Board has recommended nearly \$11 million in breast cancer research studies and education projects supported by the Breast Cancer Research and Education Fund.

Extramural Funding

Breast Cancer

Health Research Science Board

- Board Statutes
- Bylaws
- Members
- Biennial Report
- HRSB Program Staff
- Events
- Related Links

Research Support

- Requests for Applications
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- Information for Contractors**

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Guides and Forms

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[Contractor Training Presentation \(PDF file size: 6.9M \)](#)

Extramural Funding

Breast Cancer

Health Research Science Board

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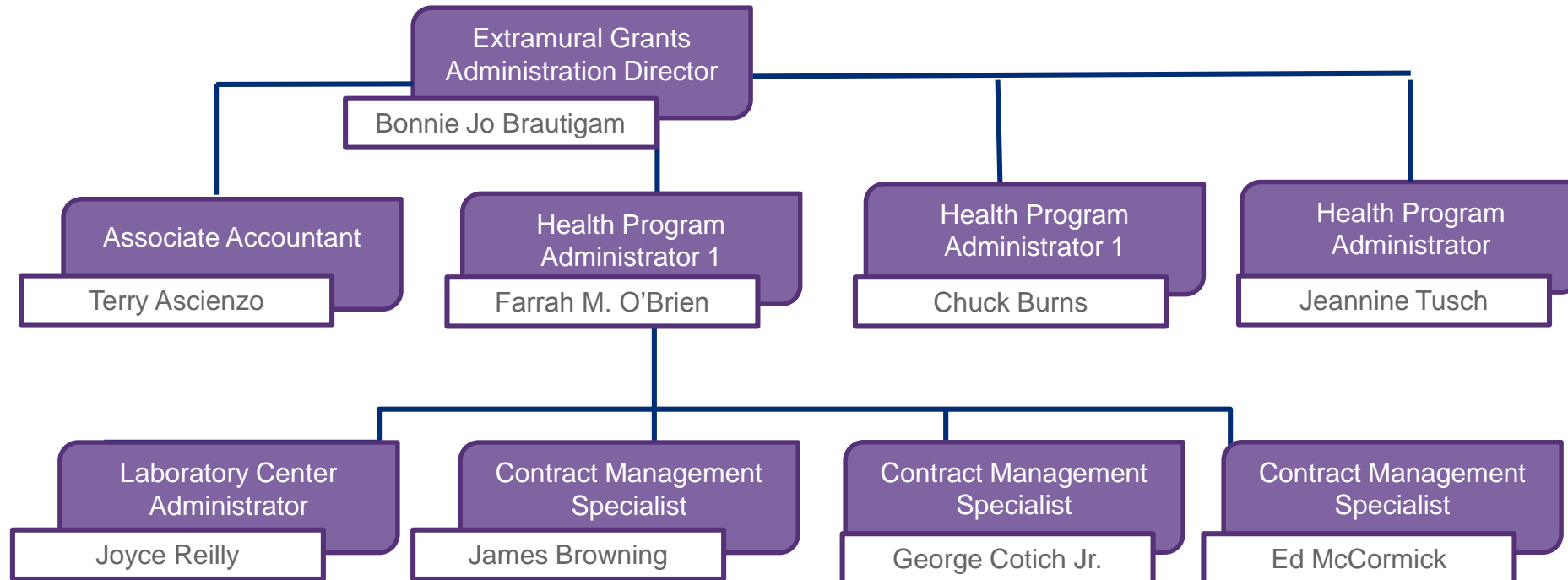
Research Support



EGA e-Alerts

- Sign up to receive notification of new:
 - Requests for Applications (RFAs & RFPs)
 - Events (Board Meetings, Scientific Meetings, etc.)
 - News (Recent Press Releases)

NYS Department of Health Extramural Grants Administration Program Staff – Here to help!



NYS DEPARTMENT OF HEALTH EXTRAMURAL GRANTS ADMINISTRATION

SPECIFIC QUESTIONS?

Contact us at:

HRSB@health.ny.gov

NYSTEM@health.ny.gov

SCIRB@health.ny.gov

or

(518) 474-7002



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