
Department of Finance / Grant Accounting

DOCUMENT VERSION 1.0

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Jed M. Shivers
Associate Dean for Finance and Administration

Department of Finance / Grant Accounting

DATE: January 25, 2011

DOCUMENT VERSION 1.0

(in alphabetical order)

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Preface

Purpose of this Document
This document may be used by Department Administrators and others as a resource guide to the policies and procedures that apply to the post award management of grants and contracts funded by extramural agencies at the Albert Einstein College of Medicine of Yeshiva University.

Conventions Used in the Document

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<tr>
<th>Convention</th>
<th>Purpose</th>
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<tr>
<td>Note:</td>
<td>Used to place importance on, indicate an exception to, or clarify the previous paragraph.</td>
</tr>
<tr>
<td>Bold</td>
<td>Used to highlight screen components when navigating, viewing, and performing actions. These include menu items, screen field names, columns, buttons, checkboxes, and tabs. For example: Click ENTER to review your selection.</td>
</tr>
<tr>
<td><strong>hyperlink</strong></td>
<td>Indicates the electronic link associated with a word or phrase to its definition.</td>
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<tr>
<td>Single Brackets:</td>
<td>Brackets appear around text within parentheses. For example: (screen display name [Figure 1]).</td>
</tr>
<tr>
<td>Double Brackets:</td>
<td>Double brackets serve as a placeholder for text to be entered by the PI, Administrator, or another person who is completing the form, document, or memo.</td>
</tr>
<tr>
<td><img src="hand.png" alt="Hand" /></td>
<td>The ‘hand’ directs the reader to a particular area or item on a screen display to perform an action that defines a step in an online process.</td>
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<tr>
<td><img src="bullet.png" alt="Bullet" /></td>
<td>A document “bullet,” indicating a form or document described in the procedure.</td>
</tr>
<tr>
<td><img src="help.png" alt="Help" /></td>
<td>Indicates a sequence of steps to be taken, displayed in the instructional narrative as well as on the screen display or document.</td>
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<tr>
<td><img src="visual-aid.png" alt="Visual aid" /></td>
<td>A visual aid that highlights a particular word, phrase, or area on a screen display or document.</td>
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Document Version Control

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<td>Bob Ness</td>
<td>Final Draft for signoff by ...</td>
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Subject Matter Experts Who Can Be Contacted For Assistance

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
<th>Phone Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Accounting - G/L and Related Topics</td>
<td>Denise Giocondo</td>
<td>718-430-2201</td>
</tr>
<tr>
<td>Grant Accounting - Equipment, Contracts, Intercharges</td>
<td>Joseph D’Errico</td>
<td>718-430-2573</td>
</tr>
<tr>
<td>Grant Accounting – Interdepartmental Expenditures</td>
<td>Arleen Montemurro</td>
<td>718-430-2250</td>
</tr>
<tr>
<td>Grant Accounting – Web Services</td>
<td>Joyce Ng</td>
<td>718-430-3288</td>
</tr>
<tr>
<td>Purchasing Capital Equipment</td>
<td>Neil Alexander</td>
<td>718-430-8878</td>
</tr>
<tr>
<td>Jacada Training, SciQuest; Purchasing Office &amp; Lab Supplies</td>
<td>Anita Buttta</td>
<td>718-420-8886</td>
</tr>
<tr>
<td>Shared Scientific Facilities</td>
<td>Amy Myers</td>
<td>718-430-4220</td>
</tr>
<tr>
<td>Accounts Payable</td>
<td>Stephanie Bucci</td>
<td>718-430-3011</td>
</tr>
<tr>
<td>CAYUSE</td>
<td>Regina Janicki</td>
<td>718-430-8686</td>
</tr>
<tr>
<td>Budget</td>
<td>Gloria Alysed-Lewis</td>
<td>718-430-3594</td>
</tr>
<tr>
<td>Payroll</td>
<td>Maria Lombardozzi</td>
<td>718-430-2217</td>
</tr>
<tr>
<td>Human Resource Services</td>
<td>Tracy Wilmont</td>
<td>718-430-2556</td>
</tr>
<tr>
<td>Effort Certification</td>
<td>Lydia Pernesiglio</td>
<td>718-430-3647</td>
</tr>
<tr>
<td>Shared Facilities</td>
<td>Amy Myers</td>
<td>718-430-4220</td>
</tr>
<tr>
<td>Mainframe Access (Jacada)</td>
<td>Mayra Santiago-Cushing</td>
<td>718-430-2209</td>
</tr>
<tr>
<td>YESS (Yeshiva Employee Status System)</td>
<td>Wendy Ingram-Nunes</td>
<td>718-430-3752</td>
</tr>
<tr>
<td>National Institutes of Health (NIH) Hotline</td>
<td></td>
<td>301-435-0714</td>
</tr>
<tr>
<td>ITS Help Desk (for Manhattan &amp; Bronx locations)</td>
<td></td>
<td>#6123 [on-campus] or 212-960-5294</td>
</tr>
</tbody>
</table>
1.0 Overview

1.1 What Policies And Procedures Are In This Resource Guide?
The policies and procedures that have been selected, researched, and written for this Guide conform to either grantor regulations or Einstein-Yeshiva policies. Einstein’s Departmental Administrators and others may refer to these policies and procedures as they manage the daily research and training activities in their department (e.g., managing grants, hiring new employees, purchasing supplies, etc.).

The following are procedures that have been included in this manual, with a brief synopsis of each.

GETTING STARTED

3.1 WHAT IS A NOTICE OF AWARD?
The Notice of Award ("NoA") is granted by the National Institutes of Health ("NIH") or other grantor agencies to institutions that have submitted research proposals and require a means of funding their work. Each NoA stipulates the maximum amount of funding over a specific period of time (budget increments) that can be applied to such allowable expenses as Personnel (staff) and OTPS (Other Than Personnel Services), such as equipment, office and lab supplies, professional and miscellaneous services, travel, etc. A sample NoA is provided. This procedure briefly explains how the NIH determines whether or not a grant is to be awarded and provides links to several NIH sites for further explanation.

3.2 HOW DO I ACCESS THE FINANCIAL INFORMATION SYSTEM?
The ITS ("Information Technology Services") mainframe computer is the source of the institution’s financial information through which Department Administrators obtain financial information related to their active grants and departmental expenses. Permission—consisting of a user name and password from ITS—is required before the Administrator can access the mainframe to view and/or print reports that are relevant to their department. This procedure explains the steps that must be taken to access the ITS Mainframe Access Form on the Yeshiva website, instructions to complete it, and to whom it is submitted for processing.

3.3 WHICH FINANCIAL REPORTS DO I NEED TO ACCESS?
Administrators can access grant reports via Jacada to determine the financial status of their grants and department budget. This procedure describes the financial reports that Administrators are able to access.

3.4 WHAT IS REPORT-TO-WEB AND HOW DO I USE IT?
(to be completed)

3.5 HOW DO I ACCESS THE YESS SYSTEM?
(to be completed)

3.6 HOW DO I ACCESS THE SHARED FACILITIES MANAGEMENT SYSTEM?
(to be completed)

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1 Jacada is the software “vehicle” Administrators use to access the ITS mainframe where all reports reside.
SETTING UP AN ACCOUNT

4.1 HOW DO I OBTAIN A GRANT GENERAL LEDGER NUMBER?
The general ledger is a record of all financial activities within department accounts. Grant general ledger numbers allow the Administrator access to grant reports and itemized purchasing activities. This procedure explains the steps that Administrators must follow to obtain a grant general ledger number.

4.2 HOW DO I OBTAIN PRE-AWARD SPENDING APPROVAL?
When Einstein receives a Notice of Award (NoA) from a grantor, the award is given a project start date. However, pre-award cost approval may be permitted prior to the award’s start date, allowing the PI to begin making expenditures (e.g., purchases, services, staff, etc.) against the approved budget. Because the request for pre-award approval is initiated by the Administrator, completion of the requesting form and subsequent routing between Einstein departments for authorizations requires the form to be approved in a timely manner. This procedure explains the steps that the Administrator must follow to initiate and process a request for pre-award spending approval.

4.3 HOW DO I SET-UP AND MANAGE INDEPENDENT CONTRACTORS/CONSULTANTS?
(to be written)

4.4 HOW DO I ACCEPT A GRANT OR AWARD FROM ANOTHER INSTITUTION?
Transferring a grant (e.g., personnel, equipment, etc.) from another institution to Einstein requires approval from federal agencies such as the National Institutes of Health. Other agencies may also require prior approvals. As the receiving institution, Einstein PIs and Administrators need to coordinate with their counterparts at the transferring institution and Grant Accounting to ensure that all information regarding the transfer is accurate and complete. This procedure explains the steps that must be taken to transfer a grant from another institution to Einstein.

4.5 HOW DO I PROCESS A NON-COMPETING PROGRESS REPORT (NON-eSNAP)?
(to be written)

4.6 HOW DO I PROCESS A CONTINUATION UNDER eSNAP?
(to be completed)

MANAGING AN AWARD

5.1 HOW DO I RE-BUDGET FUNDS IN AN AWARD?
Re-budgeting funds in an award that were originally designated for a specific purpose (e.g., purchasing supplies or services) requires the Administrator to verify that (1) Einstein’s requirements are met and that (2) the circumstances for the re-budget do not require prior approval from sponsoring agencies. Similar to the procedure to obtain pre-award spending approval, the Administrator must complete a requesting form and route it among Einstein departments for authorizations. This procedure explains the steps that must be taken to initiate and process a request to re-budget award funds.

5.2 HOW DO I PROCESS A SUBCONTRACT AND/OR INTERCHARGE AGREEMENT?
(to be written)
5.3 HOW DO I PROCESS AN AMENDMENT TO A SUBCONTRACT?
(to be written)

5.4 WHICH PURCHASES (OBJECT CODES) REQUIRE PRIOR GRANT ACCOUNTING APPROVAL?
Most purchases can be completed by the Administrator with a Purchase Requisition and Purchase Order without prior approval from Grant Accounting. However, several types of purchases with specific expenditure object codes are reviewed by Grant Accounting to ensure that the expenditure is permitted under the terms and conditions of the award. (For example: computers and other equipment costing $3,000 or more should have object code 331 assigned to it.) This procedure lists and describes the object codes that are reviewed by Grant Accounting before a Purchase Requisition is approved and forwarded to Procurement Services—or “flagged” and returned to the Administrator.

5.5 HOW DO I INTERPRET G/L INFORMATION TO MANAGE GRANT AND CONTRACT ACTIVITY?
(to be completed)

5.6 HOW DO I CHARGE INTER/INTRADEPARTMENTAL EXPENDITURES TO MY GRANT OR AWARD?
(to be written)

5.7 HOW DO I MONITOR EXPENSES AND BALANCES ON MY GRANT OR AWARD?
There are seven Grant Master File reports that Administrators use to monitor expenses and balances on their grants. This procedure describes how these reports are obtained, the information contained in each report, and how Administrators can utilize this information to monitor and reconcile their grants.

5.8 HOW DO I CHARGE TRANSFER EXPENDITURES AND BALANCES ON MY GRANT OR AWARD?
(to be written)

5.9 HOW DO I ASSIST IN EFFORT REPORTING AND CERTIFICATION?
(on hold)

5.10 HOW DO I OBTAIN A NO-COST EXTENSION?
(to be written)

5.11 HOW DO I OBTAIN A CREDIT MEMO?
(to be written)

CLOSING OUT AN ACCOUNT
6.1 HOW DO I RE-BUDGET FUNDS IN AN AWARD?
(to be written)

6.2 HOW DO I REQUEST A CARRY FORWARD?
(to be written)

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2 Object codes are an accounting tool to categorize expenses or revenues. They help Administrators determine where award money is being charged, by category.
6.3 HOW DO I TRANSFER A GRANT OR AWARD TO ANOTHER INSTITUTION?
(to be written)

6.4 HOW DO I SUBMIT A FINAL INVENTION STATEMENT?
(to be written)

6.5 HOW DO I OBTAIN INTERIM SUPPORT?
(to be written)
1.2 Einstein Administrative Departments

Below are the names and descriptions of Administrative Departments within Einstein that Department Administrators may contact as part of the post award grant management process:

<table>
<thead>
<tr>
<th>Department</th>
<th>Location</th>
<th>Contact Information</th>
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<tbody>
<tr>
<td>Communications and Public Affairs</td>
<td>Belfer 905</td>
<td>718.430.3101</td>
</tr>
<tr>
<td>Environmental Health and Safety</td>
<td>Forchheimer 800</td>
<td>718.430.4150</td>
</tr>
<tr>
<td>Facilities Management/Engineering</td>
<td>Golding C03</td>
<td>718.430.2805</td>
</tr>
<tr>
<td>Finance</td>
<td>Belfer 1102</td>
<td>718.430.8747</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Belfer 1207</td>
<td>718.430.3308</td>
</tr>
<tr>
<td>Information Technology Services</td>
<td>Belfer 1107</td>
<td>718.430.2707</td>
</tr>
<tr>
<td>International Students and Scholars</td>
<td>Belfer 1201</td>
<td>718.430.2850</td>
</tr>
<tr>
<td>Occupational Health Service</td>
<td>Mazer 219</td>
<td>718.430.3141</td>
</tr>
</tbody>
</table>

Communications and Public Affairs:
- Internal and external communications, including media relations, branding, marketing, publications, community and government relations, and the Einstein website.
- Communication & Marketing
- Community & Government Relations
- Editor, Science News & Publications
- Internal & Web Communications

Environmental Health and Safety:
- Includes the following:
  - Biological Spill
  - Chemical Spill
  - Fire Safety
  - Industrial Hygiene
  - Laboratory Safety
  - Personal Injury
  - Radiation Spill
  - Refresher Training
  - YU Safety Specialist

Facilities Management/Engineering:
- Includes the following:
  - Facilities Management
  - Construction & Renovation
  - Operations & Maintenance
  - Facilities Budget

Finance:
- Budgeting and accounting of all Einstein financial activity.
  - Grant Accounting
  - Inventory-Property Management
  - Payroll Office
  - Student Finance

Human Resources:
- Includes the following:
  - University Benefits
  - University Compensation
  - Laboratory Safety
  - Diversity & Affirmative Action
  - Employment Engagement & Development
  - Human Resource Services
  - Recruiting Services
  - Human Resource Technology
  - Labor Relations

Information Technology Services:
- Provides technology solutions for faculty and staff in support of teaching, research, and administration.
- Includes the following:
  - Network Operations & Support
  - Research Computing
  - On-Campus Help Desk

International Students and Scholars:
- The college liaison with the Department of State and the United States Citizenship & Immigration Services (USCIS), provides guidance to our international students, faculty, and their families on matters relating to their studies and employment.

Occupational Health Service:
- Services Einstein employees and students with regard to occupational health needs. Anyone who sustains an occupational exposure may call the OHS hotline number 24/7 for information on post-exposure procedures. If the exposure occurs after hours (4:30 pm weekdays), employees are to go to the nearest Emergency Room and contact OHS and EH&S the next working day.
| Office of Academic Appointments | Location: Belfer 1202 | Processing and maintenance of all Faculty and Post Doctoral appointments at the College of Medicine. This office serves as a resource for all faculty-related issues. | 718.430.2844 |
| Office of Biotechnology | Location: Belfer 908 | Serves as the technology transfer office of the College, facilitating the licensing of College technology to industry and research collaboration between industry and faculty. | 718.430.3357 |
| Office of Grant Support | Location: Belfer 917 | Assists with grant and research-related matters, including funding sources, guidelines, collaborations, editorial support, and assistance with using CAYUSE. | 718.430.3642 |
| Office of Scientific Resources | Location: Belfer 313A | Provides administrative oversight to the shared research facilities and cores. It supports core directors in the areas of business processing, budget, and management; coordinates SIG (Shared Instrumentation Group) applications for shared instruments. Includes the following facilities & cores:  
- Analysis and Data Management  
- Animal Research  
- Biohazard Research  
- Cell Analysis  
- Genetic Analysis  
- Clinical and Translational Research  
- Hepatic Research  
- Molecular Structure Analysis  
- Tissue Analysis | 718.430.4220 |
| Office of the Dean | Location: Belfer 312 | 718.430.2801 |
| Patent Committee | Location: Belfer 908 | 718.430.3357 |
| Procurement Services | Location: Belfer 105 | Includes the following:  
- Accounts Payable  
- Car Service  
- Computer Purchases  
- Express Mail  
- Freezer Program  
- Jacada Access  
- Software Pricing  
- Staff Discounts  
- Training Schedule  
- STAPLES/Office Supplies  
- Travel Agency  
- Vendor News | 718.430.3001 |
| Supporting Services | Location: Belfer 110 | Includes the following:  
- Food Services – Location: Mazer Dining Hall and Forchheimer  
- Mailroom – Location: Belfer, Room 8-01  
- Security – Location: Forchheimer G-9  
- ID Cards – Monday-Friday 9am - 5pm  
- Escort Service – Monday-Friday Sundown to 11:15pm  
- Lockouts: Housing Lockouts  
- College Lockouts  
- Accessing & exiting buildings after hours  
- Lost and Found  
- Duplicating  
- Electronic Work Orders/Applications  
- Groundskeeping  
- Housekeeping  
- Housing  
- Parking  
- Receiving  
- Telecommunications | 718.430.2112 |

*Office of the Dean*  
Office Email: mailroom@einstein.yu.edu

Dial-a-Menu: 718.430.4182  
Call ext. 3066  
Call ext. 2019  
Call ext. 4111  
Call ext. 8738
CHEMICAL, RADIOACTIVE, BIOLOGICAL, AND OTHER HAZARDS IN RESEARCH

The Environmental Health and Safety Department (EH&S), is responsible for maintaining a safe work environment at the College. EH&S must approve all research applications that utilize hazardous materials (e.g., chemicals, biohazards, and radionuclides). The activities of EH&S are carefully supervised by four faculty committees. These are the Institutional Biohazards Committee, Chemical Hazards Committee, Non-Human Use Radiation Safety Committee, and the Human Use Radiation Safety Committee. The EH&S department and the faculty safety committees ensure that activities involving hazardous materials are conducted safely and conform with Federal, State, and City regulations. For further information, including specific regulations and dates of workshops concerned with safety, contact EH&S in room 800, Forchheimer, ext. 4150.

RENOVATIONS AND STRUCTURAL CHANGES

All research projects that will require laboratory and office renovations or structural changes must be approved by the Department Chairman and by Facilities Management, room C03 Golding, ext. 2805, prior to submission. Alterations cannot be made on short notice; therefore, advance planning and budgeting are essential.

INDUSTRY SPONSORED RESEARCH

All industry sponsored research agreements are negotiated by the Office of Biotechnology. Faculty are encouraged to consult the Office of Biotechnology (room 908, Belfer, ext. 3357) as early as possible when contemplating collaborating with industry regarding research projects. As research sponsored by industry incurs the same overhead costs as research funded by the National Institutes of Health (NIH), privately funded research budgets must bear the same overhead rates as specified in the Department of Health and Human Services agreement with Einstein. Exceptions may be made for small projects with limited budgets. The College’s regulations in this regard (Administrative Policy No. 4.4) may be obtained from Grant Accounting or the Administrator. Clinical trials funded by pharmaceutical companies must be approved by the Institutional Review Board (IRB) and university counsel according to the principles described in the section on “Human Subjects.”

PATENTS AND COPYRIGHTS

All faculty members, trainees, students, and staff are subject to the College’s Policy on Patents and Licensing Agreements. All faculty members and trainees and are required to sign an agreement accepting its provisions. The Policy, which was written to conform to federal law and NIH regulations, mandates that all inventions that are related to work at the College must be disclosed to the Patent Committee and assigned to Einstein. If the Dean decides to patent and/or license the invention, two-thirds of the net income from such inventions are returned to the inventor in the form of both direct remuneration and research support. For additional information, consult the Patent Committee, room 908, Belfer, ext. 3357.