



Last Revised: July 15, 2020

Unit: Sponsored Programs, Office of the Provost

## **Grants Submission Policy for Full-time Faculty**

### Policy:

1. Effective November 1, 2019, all grant proposals for Full Time faculty must be routed through Yeshiva University's Office of Sponsored Programs (OSP). This includes proposals where YU is the lead institution and collaborative proposals where YU is listed as a Multi-PI site or subaward site. Final approval of all grant proposals will go through the faculty member's Dean and Provost prior to submission.
2. Full time YU faculty must list themselves as YU faculty on all grant applications and research publications. If the faculty member holds a joint or affiliate appointment at another institution and is applying for a grant as a subawardee with the other institution, the PI must specify that they are affiliated with both institutions. Joint or affiliate appointments must always be disclosed to both the faculty member's Dean as well as the Provost.
3. Collaboration with other institutions is welcomed and encouraged. Full-time YU faculty may apply for grants in collaboration with other universities through a subaward process. When another institution serves as the lead institution, YU is to be set up as a subawardee. If YU serves as the lead institution, YU will create subaward agreements for the Co-PI(s) at other institutions.
4. Expenses to be included in subawards are personnel and other than personnel services (OTPS) associated with the PI and their site of performance. Anyone whose primary affiliation is with YU (faculty, post docs, other senior personnel, students, etc.), should allocate all salary and time and effort under YU. Any OTPS expenses – such as materials and supplies, travel, and other miscellaneous expenses – associated with YU personnel should be included in the YU budget. As per federal grant subcontracting rules and regulations, YU's federally established F&A rate will be applied to all eligible direct costs incurred by YU personnel on the grant.
5. Since particular medical research requires specialized facilities and resources that YU does not currently have, it may be permissible for a YU faculty member with an agreed upon affiliation elsewhere to be a PI at the medical institution and oversee a subaward (from the same grant) at YU. All PI salary, YU student salaries, fringe and indirect costs should be included in the subaward. All associated medical and patient costs are to remain at the medical institution. YU has a specific collaborative agreement regarding grant activity with Einstein School of Medicine.
6. Full-time Yeshiva University faculty typically hold 9- or 12-month appointments. As such, the maximum possible allowable amount of time and effort that can be committed to grant activity per year is 3 summer months. In the event that academic year time and effort is desired through a grant, this request will require pre-approval by both their Dean and the

University Provost. Federal time and effort policies require that faculty must obtain a course buyout or academic year time reduction in order to fulfill the duties of any academic year commitment on grants.

7. If any full-time YU faculty member is listed on a grant at another institution at the time of the enactment of this policy, the YU faculty member will take appropriate steps to transfer the award or subcontract their expenses on the award back to Yeshiva University.
8. Any exceptions to the above rules must be vetted by the Director of Sponsored Programs, General Counsel, and the Provost.
9. Violations to this policy will be addressed by YU's Provost and the YU Research Misconduct Committee.
10. Any questions regarding this policy should be directed to the Office of Sponsored Programs.