GRANT ADMINISTRATION:
How Do I Obtain Interim Support?

Introduction

It is Einstein’s policy to provide interim support to Principal Investigators (“PIs”) whose grant funding has decreased by more than $5,000 of the investigator’s salary support (e.g., termination of grant, end of grant period with no continuation). The intent is to permit continuation of the research project during the period required for preparation and submission of a revised application.

NOTE: A request for PI salary support above $5,000 per year requires a complete interim support request.

Einstein will make every effort to support the salary and fringe benefit components of the PI, up to the level currently supported by the research activity that was not funded unless other sources of funding can be identified. Funds for an appropriate level of technical help, personnel, supplies, and necessities will be allocated to permit continuation of the research project.

At the end of the first year of interim support, if the PI has still not received renewal of their federal funding and if other funding is not available, a request for a second year of support must be submitted. The Chairman (or their designee) should advise the PI, in writing, that Einstein will be unable to continue its support beyond the second year.

NOTE: A PI may not submit a new grant application during the notice period except with the written approval or the Chair (or their designee) and the Dean.

Form

- Budget Memorandum Requesting Interim Support (Figure 1)
Procedure

1. The following funding sources should be considered by the PI and Chairman (or their designee) for use before requesting interim support:

<table>
<thead>
<tr>
<th>Other extramural grants</th>
<th>All non-Federal grants.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Royalty accounts</td>
<td>Funding based upon a percentage of gross or net revenue derived from the use of an asset such as an intellectual property.</td>
</tr>
<tr>
<td>Endowment income</td>
<td>A financial endowment is a transfer of money or property donated to an institution. Endowment revenue can be restricted by donors in numerous ways. An endowment may come with stipulations regarding its usage. In some circumstances, an endowment may be required to be spent in a certain way or alternatively invested, with the principal to remain intact in perpetuity or for a defined period of time. This allows the donation to have an impact over a longer period of time than if it was spent all at once.</td>
</tr>
<tr>
<td>Unrestricted donations</td>
<td>Unrestricted donations are funds that are available for the nonprofit to use for any purpose. Unrestricted funds usually go toward the operating expenses of the organization.</td>
</tr>
<tr>
<td>Unexpended research support funds provided by Einstein, including start-up accounts</td>
<td>Unspent research funds remaining after 3 years that the PI has been at Einstein.</td>
</tr>
<tr>
<td>Retention funds (if they are more than five years old)</td>
<td>When a PI is about to leave Einstein, a counter-offer--such as a special account--may be created to change their mind. This account may consist of additional staff, higher salary, OTPS (other than personnel services), or a combination of the above.</td>
</tr>
<tr>
<td>Unexpended industry-sponsored research accounts for completed projects</td>
<td>A surplus balance on a fee-for-service reimbursement account (e.g., a pharmaceutical clinical trial), similar to a royalty account.</td>
</tr>
<tr>
<td>75% policy funds (after the first 12 months of interim support)</td>
<td>If the PI is more than 75% funded in grants, they receive the overage to spend—without restriction—but within federal cap limits.</td>
</tr>
</tbody>
</table>

2. After considering the PI’s funding options listed above, the Chairman (or their designee) submits a request for interim support that should include the following information in the cover letter:

- The financial request, from a specific start date until the anticipated award date, of any pending or proposed grant application(s);
- Interim support funding history for the past eight years;
- Identification of funds listed above that have not been used, with an explanation as to why they may not be used;
- Justification for all requested personnel and OTPS\(^1\);

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\(^1\) Other Than Personnel Services, such as supplies, Independent contractors, and the cost of animals.
• An assessment—by the Chairman (or their designee)—of the likelihood of future funding success for the PI (using descriptors such as: ‘Excellent,’ ‘Very Good,’ ‘Good,’ ‘Poor’), to be updated as soon as the priority score and funding potential from any granting agency are known;
• The amount of space occupied by the PI; and
• Tenure status.

The cover letter is attached to the supporting documents, which should include:

• A budget of requested interim support;
• A full current status of the PI’s Einstein funding accounts; and
• A copy of the internal budget pages and justifications of all pending grant applications.

3. The Administrator forwards the original documents to the Dean’s Office, with a copy to Grant Accounting. A copy of all originals is retained by the Administrator and filed in the grant’s file folder.

4. Grant Accounting verifies the information on the financial request and forwards it to the Dean’s Office.

5. The Dean’s Office reviews and, if appropriate, approves funding up to the next pending grant award date or until the end of the first year of interim support, whichever comes first. The amount of support may be:

• The faculty salary level on the lost grant
• A maximum of two post-doctoral/technical/staff positions
• Graduate student stipends
• Associated fringe benefits
• Up to $2,000 per month of OTPS and certain animal and human subject costs

If necessary, the Dean or Executive Dean, the Chairman (or their designee), and the PI will meet to discuss and determine the level of approved interim support.

6. After funding has been approved, Grant Accounting sets up an interim support account and assigns a grant number with a specific end date to fund salaries, fringe benefits, and OTPS (except the salary and fringe of the PI and/or faculty, which will be added to the department’s University-funded budget).

7. A copy of the approval letter and funding notice is sent to the PI and Department Administrator (“Administrator”). Grant Accounting will monitor interim support funds to ensure their use is consistent with the purpose for which they were approved. The PI may not expend funds after the end date without permission.

**NOTE:** A new interim support request is required when a pending grant is denied or when another grant is not renewed. Thus, multiple requests may be submitted for an individual PI, and sometimes a PI may have more than one current interim support account.
8. When a grant is awarded, the PI is responsible for assuming financial responsibility for all expenses associated with that project, i.e., which were awarded on interim support.

9. If the granting agency delays funding beyond the normal award date, interim support will be continued following a Letter of Request from the Chair (or their designee) without submission of the complete interim support request to the Dean’s Office described above.

10. When a request for interim support only involves only the PI’s salary, a request for up to $5,000 per year may be processed via a PSF\(^2\); however, justification must be provided in the YESS system\(^3\) “Notes” field (not “Routing Notes”).

**NOTE:** An interim support request must be submitted if the PSF “Notes” do not justify the increase.

11. A PI on interim support may not accept a new graduate student without prior written permission of the Dean’s Office. The Assistant Dean for Graduate Studies will be notified by the Dean’s Office of all PIs on interim support and by Grant Accounting when any graduate student is put on an interim support account.

12. The maximum period of interim support is usually two years, although it may be extended at the Dean’s discretion. Following discussions, which include the Dean, Chairman (or their designee), and PI, the Chairman/designee may be advised by the Dean to send a one-year Notice of Termination of Appointment letter to the PI (with a copy to the Executive Dean, in accordance with the “Rules and Regulations” governing appointments), by the end of the first year of interim support (when the PI has been significantly supported on interim funds). This letter will be withdrawn by mutual agreement of the Dean and the Chairman (or their designee) if the PI receives adequate funding before the end of the notice period, provided it is consistent with programmatic priorities.

13. For a tenured faculty member who is unsuccessful in renewing grants, support of research activity on interim support and retention of research space may be continued at the discretion of the Dean, on a case by case basis.

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\(^2\) Personnel Status Forms, which can be completed online via the YESS system.

\(^3\) YESS is the acronym for Yeshiva Employee Status System, a web-based tool that is used to process new hire requisitions and changes in employee/student status, hire new employees, and perform personnel file updates and terminations for all existing employees and students. The system eliminates the need to fill out paper forms and manually *move them through* the various departments for approvals.
Budget Memorandum Requesting Interim Support – Sample

Allen M. Spiegel, M.D.
Dean, Albert Einstein College of Medicine

Dear Mr. Spiegel,

When we met last week regarding John Doe, you indicated that you would be open to providing additional interim support for his lab with the understanding that he will receive a letter in the spring of 2011, should he not be funded at that time.

I am writing to request the following:

Interim Support for the period 12/12/2010-6/30/2011

<table>
<thead>
<tr>
<th>Name</th>
<th>Start/End Date</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Jane Smith</td>
<td>12/1/10-2/26/11*</td>
<td>$55,474</td>
</tr>
<tr>
<td></td>
<td>3/1/11-6/30/11</td>
<td>$55,788</td>
</tr>
<tr>
<td></td>
<td>f/b @ 31.3%</td>
<td>$27,999</td>
</tr>
</tbody>
</table>

*Byz grant ends

<table>
<thead>
<tr>
<th>Name</th>
<th>Start/End Date</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zing Ziu Sang</td>
<td>12/1/10-6/30/10</td>
<td>$23,621</td>
</tr>
<tr>
<td></td>
<td>f/b @ 31.3%</td>
<td>$7,394</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Start/End Date</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sam Tai-Kwan Do</td>
<td>12/1/10-6/30/11</td>
<td>$18,240</td>
</tr>
<tr>
<td></td>
<td>f/b @ 31.3%</td>
<td>$5,710</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Start/End Date</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lab supplies</td>
<td>1/1500/month</td>
<td>$10,500</td>
</tr>
</tbody>
</table>

**Total Request** $182,666

I thank you for your consideration of this matter.

Sincerely,

Donald Smith, Ph.D.
Professor and Chair
Department of _________________________

Co-R. Nes <Grant Accounting>

Figure 1