

**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

To: Stephen DeLong  
From: Frank J. DiSanto *FJD*  
Date: 28 August, 1990  
Subj.: New Indirect Cost Rates

Administration 218  
Albany, New York  
12222

Attached is a copy of a fax transmission I received yesterday from the Research Foundation. It announces that the RF has finalized negotiations with DHHS in connection with the establishment of indirect cost rates effective 1 July, 1990.

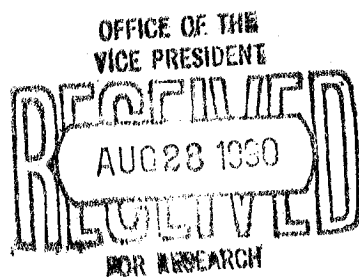
There are two important issues to note. First, the on campus research rate for the University at Albany dropped significantly as a result of these negotiations. Our previous rate was 52.1%, so the new rate of 50.5% represents a 1.6% drop. No other University center's rates dropped to this extent. Second, the RF negotiated this rate for a three year period, the longest I have seen in my tenure at the campus. Apparently they were concerned that annual negotiations would result in a further erosion of the rate, so they decided to seal this rate for the three year period.

You should be aware that as a result of this action there will be a considerable reduction in overhead recoveries for this campus over the next few years. That reduction will be further exacerbated by actions such as the financing of the ASRC building and decentralization.

Please let me know if you would like to discuss this matter.

cc. Jeanne Gullahorn

Attachment



THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK

DATE: 8/27/90

TO:

*Frank Di Santo*

FROM:

*Pat Winter*

THE FOLLOWING INFORMATION IS BEING TRANSMITTED:

*Indirect Cost Rates*



The Research Foundation  
of State University of New York

August 20, 1990

MEMORANDUM

TO: Peter Tenbeau  
FROM: Jack Beaudoin *Jack*  
SUBJECT: Indirect Cost Rates

This memorandum is a summary of the Indirect Cost Rates for the fiscal year. Please note that the eight locations listed under section A (Modified Total Direct Cost Base) reflect rates that have been negotiated for three years or until June 1993.

We have negotiated ratification agreements, but our DHHS negotiated with the City will confirm the rates, via telephone, responses need verification. The agreements will also reflect the increases in our Fringe Benefit Rate to 27% effective July 1, 1991.

If you have questions, please call.

cc: P. Winters  
R. Mason  
P. Ryan  
R. Telis

AUGUST 1990

THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK  
INDIRECT COST RATES  
1990-91

## I. FEDERAL

A. MODIFIED TOTAL DIRECT COST BASE	RESEARCH AND OTHER PROGRAMS			SPONSORED INSTRUCTION/TRAINING	
	ON CAMPUS	OFF CAMPUS	SPECIAL	ON CAMPUS	OFF CAMPUS
Albany	50.5	32.5			
Binghamton	52.4	30.8	20.8	46.7	32.7
Buffalo	52.5	32.5		43.7	32.3
Cornell	52.3	31.0		50.5	35.0
Durham	53.5	26.7	18.4 **	51.5	37.0
Environmental Science	55.7	32.9		49.6	26.7
Forestburg				59.8	37.4
Forestry	53.0	29.3			
Geneva	55.5	30.6		47.4	37.6
B. SALARY AND BENEFIT					
Brockport	73.5	24.8			
Buffalo	62.0	22.1			
Cornell	70.0	22.2			
Empire State	54.2	31.9			
Fredonia	70.0	21.4			
Geneseo	70.0	25.3			
New Paltz	63.2	22.2			
Old Westbury	70.0	35.4			
Oneonta	66.8	18.9			
Oswego	67.0	17.5			
Plastburgh	63.5	19.2			
Potadam	70.0	30.3			
Purchase	70.0	25.4			
Maritime	70.0	28.3			
Optometry	75.0	20.1			
Utica/Rome	70.0	39.4			
Alfred	70.0	22.3			
Delhi	70.0	32.1			
Farmer	70.0	25.6			
Geneva	70.0	24.9			
Canoe	75.0	29.3			
Cobleskill	75.0	31.7			

\* Binghamton - Trade Adjustment Center Program

\*\* ESC Syracuse - Family Planning Service



RF

Indirect Costs

St. Budget Officers -  
Chip Foster = SUNY

agreed that in RF contribution to  
annual income fund -  
not reimburse costs unable  
to recover for st. agencies

Affect also pool - maybe this year  
time it stay to  
allocation to campus -  
address

Phase down RF payment to  
income fund -

Does contribute to savings -  
we take the hit because we have  
the program -

Level of <sup>new</sup> rates on our income

Maximize income to system -

Income doc.

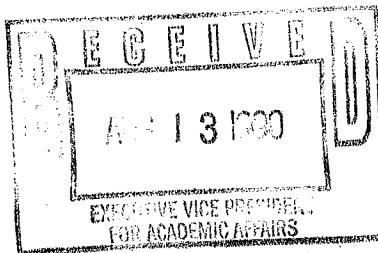
Where <sup>are</sup> future income streams -  
Based on past

New process for doc income

Correct inequity for  
Reserves



The Research Foundation  
of State University of New York



cc: *Zeuner*  
*Von Voorst*  
*DiStefano*  
*Kilchrist*  
*Dillaham*

August 6, 1990

**MEMORANDUM**

TO: Campus RF Fiscal Designees  
FROM: John F. Buckhoff, Jr. *JB*  
SUBJECT: The Near-Term Outlook

As you well know, the University's operating budget situation has been deteriorating for several years. I regret to now advise that the Research Foundation's operating revenue situation, at June 30, 1990 year end, has now begun to deteriorate as well.

We find that total booked awards (committed funds) during FY 90 suffered a net decline for the first time since FY 84 (Enclosure 1). Pending further analysis, it would appear that some or all of the following factors have had effect:

- Decrease in campus State operating budgets have reduced the ability to support new sponsored research and other program activity.
- "Big science" demands on the Federal level have caused redirection of funds by the large sponsoring agencies. SUNY has no "big science" projects.
- As a result, younger faculty are having difficulty getting first-time grants.
- SUNY campuses have not interacted with business and industry to the extent envisioned.

August 6, 1990

- The third world's financial condition has reduced the number and size of international contracts.
- No new GRI State operating funds were appropriated for FY 91 for the first time since FY 88.

The currently projected impact on the Foundation's FY 91 operating revenue and thus budget is displayed on Enclosure 2. You will see the difficulty this brings in meeting the FY 90-91 Financial Plan approved by the Board in June which is Enclosure 3. As a result, we have provided you with a July 1 allocation at the same level as FY 90 pending further determination. We shall be reviewing expenditure levels and indirect cost recovery at the end of the first quarter. Our Board meets on October 24 and we shall subsequently be in further touch with you.

In the interim period, it would be wise to place increased emphasis on campus to careful initial preparation of sponsored program budgets. That is to say that proper budgeting prior to discussion with prospective sponsors will more often than not result in awards that will accommodate both direct and indirect costs. The objective is to maximize both.

Enclosures

cc: Campus Sponsored Program Directors

**COMMITTED FUNDS  
(booked awards)**

June 30, 1988	+16.7%
June 30, 1989	+12.7%
June 30, 1990	+4%

8/6/90

## INDIRECT COST RECOVERY

June 30, 1989 (actual)	42.9 million
June 30, 1990 (actual)	46.2 million
June 30, 1991 (Executive Budget Projection)	54.3 million
June 30, 1991 (RF Financial Plan)	52.0 million
June 30, 1991 (Campus Projections)	47.6 million

8/6/90

**THE FINANCIAL PLAN OF THE RESEARCH FOUNDATION  
OF STATE UNIVERSITY OF NEW YORK**

REVENUE	1988-89 ACTUAL	1989-90 PROJECTED	1990-91 PLAN
Research and Other Sponsored Programs:			
Direct Cost Revenue	\$212,430,670	\$238,000,000	\$268,000,000
Indirect Cost Revenue	42,948,541	46,250,000	52,000,000
Federal Student Aid Program Revenue	18,785,340	15,000,000	18,000,000
Investment Income	2,088,229	2,000,000	1,800,000
Inventions and Licenses Income	294,893	350,000	425,000
Transfer from Reserve	5,600,000	0	0
<b>TOTAL REVENUE</b>	<b>\$282,147,673</b>	<b>\$301,600,000</b>	<b>\$340,225,000</b>

**ALLOCATIONS**

Direct Expenditures for Research and Other Sponsored Programs	\$212,430,670	\$238,000,000	\$268,000,000
Expenditures for Federal Student Aid Programs	18,785,340	15,000,000	18,000,000
Corporate Administration--Note A	22,960,148	24,980,000	26,460,000
Campus Program Support--Note B	8,608,211	8,682,000	10,901,000
Support of SUNY Academic and Research Programs--Note C	18,269,904	13,520,000	15,755,000
General SUNY Program Support--Note D	466,986	389,000	309,000
Transfer to Reserve	626,414	1,029,000	800,000
<b>TOTAL ALLOCATIONS</b>	<b>\$282,147,673</b>	<b>\$301,600,000</b>	<b>\$340,225,000</b>

**THE FINANCIAL PLAN OF THE RESEARCH FOUNDATION  
OF STATE UNIVERSITY OF NEW YORK**

FOUNDATION EQUITY AS OF JUNE 30:	1988-89 ACTUAL	1989-90 PROJECTED	1990-91 PLAN
Reserve Balance Beginning	\$10,739,119	\$ 5,765,533	\$ 6,794,533
Transfer To (From) Reserve	(4,973,586)	1,029,000	800,000
Reserve Balance Ending	5,765,533	6,794,533	7,594,533
Add: Unexpended Balance of Campus Allocations	12,727,021	13,500,000	14,000,000
<b>Total Foundation Equity</b>	<b>\$18,492,554</b>	<b>\$20,294,533</b>	<b>\$21,594,533</b>



Note A--CORPORATE ADMINISTRATION

	1988-89 ACTUAL	1989-90 PROJECTED	1990-91 PLAN
<b>CAMPUS</b>			
Campus Administration	\$12,306,602	\$14,400,000	\$16,000,000
SUNY Computer Center Services	537,359	550,000	600,000
Campus Patent Processing	0	0	250,000
SUNY Campus Communications Network Services	175,347	190,000	200,000
Insurance	230,020	260,000	280,000
Total Campus	13,249,328	15,400,000	17,330,000
Percent of Total Direct Expenditures	6.24%	6.47%	6.47%
<b>CENTRAL OFFICE</b>			
Central Office Administration	8,267,713	8,118,000	7,700,000
SUNY Central Administration Services	555,431	534,000	440,000
SUNY Computer Center Services	179,120	165,000	180,000
Annual Audit	126,120	150,000	160,000
Legal Counsel	32,252	10,000	20,000
Occupancy Costs	550,184	603,000	630,000
Total Central Office	9,710,820	9,580,000	9,130,000
Percent of Total Direct Expenditures	4.57%	4.03%	3.41%
TOTAL	\$22,960,148	\$24,980,000	\$26,460,000
Percent of Total Direct Expenditures	10.81%	10.50%	9.87%

**NOTE B--CAMPUS PROGRAM SUPPORT**

	<u>1988-89 ACTUAL</u>	<u>1989-90 PROJECTED</u>	<u>1990-91 PLAN</u>
Research Development and Support	\$7,327,660	\$7,376,000	\$ 9,541,000
Research Capital Equipment Fund	1,000,000	1,000,000	1,000,000
Campus Allocation-Inventions and Licenses Revenue	258,031	306,000	360,000
Presidents' Fund	22,520	0	0
<b>TOTAL</b>	<u>\$8,608,211</u>	<u>\$8,682,000</u>	<u>\$10,901,000</u>

NOTE C--SUPPORT OF SUNY ACADEMIC AND RESEARCH PROGRAMS [1]

	1988-89 ACTUAL	1989-90 PROJECTED	1990-91 PLAN
The Nelson A. Rockefeller [2] Institute of Government	\$ 256,052	\$ 162,000	\$ 0
University Press Subvention	253,500	253,500	253,500
Academic Program Support	13,557	4,000	4,000
Faculty Grants for Improvement of Undergraduate Instruction	59,079	50,000	50,000
Faculty Exchange Scholar Program	8,940	22,000	22,000
Conversations in the Disciplines	31,896	30,000	30,000
University-Wide Program in the Arts	58,745	53,000	48,000
University Research Development	44,717	0	0
Community College Sponsored Program Office	43,418	45,500	47,500
SUBTOTAL	769,904	620,000	455,000
Payment to the State [3] University Income Fund	17,500,000	12,900,000	15,300,000
TOTAL	\$18,269,904	\$13,520,000	\$15,755,000

- [1] This total allocation as distributed above covers partial actual or anticipated costs incurred by the University in meeting its goals for research. Specific programs supported are determined by the Chancellor of the University.
- [2] This allocation reflects the University's three year plan to eliminate Research Foundation support for Institute operations.
- [3] The total represents reimbursement of calculated central State indirect costs incurred by the conduct of sponsored programs on the campuses.

NOTE D---GENERAL SUNY PROGRAM SUPPORT [1]

	1988-89 ACTUAL	1989-90 PROJECTED	1990-91 PLAN
International Programs	\$ 34,455	\$ 20,000	\$ 0
Chancellor's Awards for Excellence	4,047	4,000	4,000
Chancellor's Fund	35,165	50,000	50,000
Contingency	25,149	27,000	27,000
Board of Trustees	19,660	30,000	30,000
Council/Conference of Presidents	5,008	9,000	9,000
University Alumni and Development Programs	34,668	40,000	40,000
New York City Office	35,172	0	0
Federal Relations Office	71,274	75,000	75,000
Community Colleges-Governance	7,279	8,500	8,500
University Internal Audit [2] Services	173,281	120,000	60,000
Public Service	10,987	0	0
Honorary Degree Committee and Convocation of Distinguished Faculty	10,841	5,500	5,500
<b>TOTAL</b>	<b>\$466,986</b>	<b>\$389,000</b>	<b>\$309,000</b>

[1] This total allocation as distributed above covers partial actual or anticipated costs incurred by the University for the general support and furtherance of its purpose. Specific programs supported are determined by the Chancellor of the University.

[2] This allocation reflects the University's three year plan to eliminate Research Foundation support for SUNY internal audit operations.

ADDENDUM TO FINANCIAL PLAN

	1988-89 ACTUAL	1989-90 PROJECTED	1990-91 PLAN
<b>TOTAL UNIVERSITY SUPPORT OF SPONSORED PROGRAMS</b>			
Total Calculated Indirect Costs [1] Attributable to Sponsored Programs	\$ 69,418,558	\$ 77,774,159	\$ 90,218,024
Total Indirect Cost Recovery	42,948,541	46,250,000	52,000,000
Total Calculated University [2] Support of Sponsored Programs	\$ 26,470,017	\$ 31,524,159	\$ 38,218,024
Direct Expenditures for Research and Other Sponsored Programs	\$212,430,670	\$238,000,000	\$268,000,000
Ratio of Calculated University Support to Total Direct Expenditures	1: 12.5	1: 13.3	1: 14.3
Estimated Educational Benefits [3] Received by the State due to Direct Expenditures of Sponsored Programs	\$ 42,610,000	\$ 46,600,000	\$ 54,056,000

[1] Calculated in accordance with Federal guidelines as set forth in Federal Circular A-21.

[2] Sponsor cost sharing and indirect cost policies preclude recovery of full indirect costs by universities and colleges. Total university support represents an investment of university funds in order to further the universities education, research and public service mission by leveraging external support.

[3] Sponsored program dollars expended for student fellowships, stipends, equipment, seminars, colloquiums, etc. which augment State appropriations available to the University to carry out it's educational mission.

THE REG  
STATE UN

ION OF  
YORK

DATE: 8/15/90

FROM:

Dr. Jeanne E. Gullahorn

John F. Buckhoff, Jr.

THE FOLLOWING INFORMATION IS BEING TRANSMITTED:

The attached material is for the  
Conference Call for tomorrow, 8/16  
at 11:00 am.

Thank you. Any questions, feel free  
to contact our office,

Randi Ford  
(518) 434-7015



The Research Foundation  
of State University of New York

August 15, 1990

M E M O R A N D U M

TO: Mr. Peter B. French  
Dr. Jeanne E. Gullahorn  
Dr. Dale M. Landi  
Dr. Robert F. Schneider

FROM: John F. Buckhoff, Jr. *JFB*

SUBJECT: Indirect Cost Rates

Enclosed is further analysis displaying six options. For the purpose of even comparison, we have discounted the debt service interest cost at Buffalo. First, that cost is borne by the State, not the campus operating budgets. Second, that cost exists for all campuses but is allowed under A-21 only for buildings built since 1982.

We lean toward option 6. Pragmatically, those rates will have the least impact on total revenue flowing into SUNY and distributes the "potential pain" as evenly as possible.

We have scheduled a conference call for Thursday, August 16 at 11:00 a.m. to conclude discussion.

Enclosure

cc: Mr. Hickok

INDIRECT COST RATE PROPOSED WORKSHEET FOR FISCAL YEAR 1991

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1989	PROPOSED	OPTION 1	OPTION 2	OPTION 3	OPTION 4	OPTION 5
ALBANY	54.3%	53.3%	51.3%	51.0%	49.0%	50.0%
BUFFALO [2]	56.2%	57.5%	51.9%	52.4%	52.9%	51.9%
STONY BROOK	55.5%	55.5%	51.7%	52.1%	51.1%	51.1%
BROOKLYN	63.1%	53.1%	56.9%	55.1%	59.0%	58.1%
	229.1%	229.4%	214.1%	211.0%	211.0%	211.0%

OPTION 1 TO RATES

ALBANY	53.3%	56.25%	95.68%	91.93%	93.83%	96.25%
BUFFALO [2]	57.5%	90.26%	91.13%	92.00%	90.02%	90.26%
STONY BROOK	55.5%	93.16%	93.87%	92.07%	92.10%	92.97%
BROOKLYN	53.1%	58.1%	87.96%	91.92%	92.10%	88.91%

\*\*\*\*\*

ALBANY	54.3%	92.92%	90.24%	92.10%	94.48%	93.00%
BUFFALO [2]	56.2%	92.10%	92.10%	92.10%	92.35%	92.10%
STONY BROOK	55.5%	92.10%	92.10%	92.10%	92.10%	92.97%
BROOKLYN	63.1%	92.10%	92.10%	92.10%	92.10%	88.91%

Handwritten initials and marks.



INDIRECT COST RATE ADJUSTMENT WORKSHEET FOR FY 1990-91

	1989 RATE	CURRENT RATE	DIFFERENCE	OPTION 6 RATE	DIFFERENCE
ALBANY	54.3%	52.1%	2.2%	50.5%	3.9%
BUFFALO 121	55.2%	52.7%	3.5%	52.5%	3.7%
STONY BROOK	55.5%	52.4%	3.1%	52.3%	3.2%
BROOKLYN	63.1%	56.9%	6.2%	55.7%	7.4%

OPTION 5

BASED ON INDIRECT COST RECOVERY FOR FY 1990. ASSUMES ASSIGNED THE CURRENT RATE  
ASSUMES PER A SHAPING INDEX OF RATES ON

1,465% ADJUSTED REDUCTION CALCULATED RATE RATIO FINAL COMPUTED LOSS

	ADJUSTED	ADJUSTED	REDUCTION	CALCULATED	RATIO	FINAL	COMPUTED	LOSS	
	BASE	ADJUSTED		RATE		RATE	RECOVERY		
ALBANY	52.18	34,908	4,560,424	2,341,073	51.33%	24.33%	51.3%	2,341,579	34,402
BUFFALO	52.78	128,893	16,647,144	8,644,152	51.93%	24.61%	51.9%	8,646,018	121,023
STONY BROOK	52.48	142,585	19,511	9,560,411	51.63%	24.47%	51.6%	9,562,475	121,491
BROOKLYN	56.98	48,394	5,798,956	3,245,523	56.06%	26.57%	56.1%	3,246,224	47,701
		750	45,813,637	23,791,159	210.95%	100.00%	211.0%	23,796,295	349,616

211,008

ALBANY 7,117,509

BUFFALO 5,706,088

SUNY BROOK 13,544,840

BROOKLYN 4,210,275

*[Handwritten signatures and notes]*



THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK

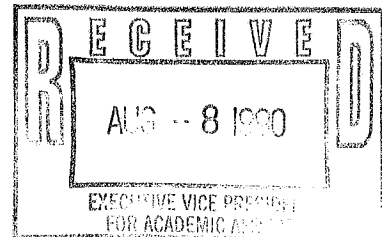
DATE: 8/8/90

TO: Dr. Joanna Gullahorn  
FROM: John F. Buckhoff, Jr.

THE FOLLOWING INFORMATION IS BEING TRANSMITTED:

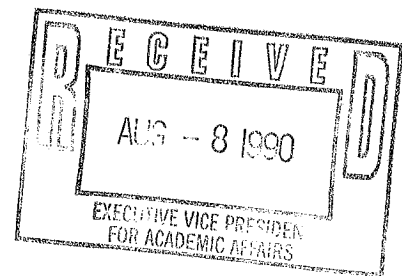
Materials for conference call  
scheduled for Thursday, August 9  
at 11:15.

Any questions, feel free to contact  
our office. Please call to confirm  
receipt.





The Research Foundation  
of State University of New York



August 8, 1990

M E M O R A N D U M

TO: Mr. Peter French  
Dr. Jeanne Gullahorn  
Dr. Dale Landi  
Dr. Robert Schneider

FROM: John F. Buckhoff, Jr. *JFB*

SUBJECT: FY 91 and FY 92 Indirect Cost Rates

The enclosed Indirect Cost Rate Adjustment Worksheet displays the results of discussion with the DHHS auditors on rates. They had made an on-site review at Albany and Stony Brook. Their conclusion is that the general administration component is overloaded within SUNY.

You will see from the enclosed that we are well above the mean, nationwide for this component which is "region neutral." Stan's opinion is that we are vulnerable. I am disheartened, however, by the fact that we under recover utilities expenditure which would partially offset the reduction in GNA components. We do not have building metering in SUNY and thus can't make that case.

The bottom line is that DHHS will not approve any increase for any campus on the research rate. Further they insist that we reduce the rates for your campuses from a combined total of 214.1% currently to 211.0% for this and next fiscal year. Finally, they did indicate that a slight upward adjustment in training and off-campus research rates would be acceptable.

We have scheduled a conference call for Thursday, August 9 at 11:15 a.m. to discuss.

Enclosures

*3 yrs.*

INDIRECT COST RATE ADJUSTMENT WORKSHEET FOR FY 1990-91

*divide impact equally*

*value of increase in terms of net revenue*

	PROPOSED	CURRENT	ORIGINAL NEGOTIATORS	ADJUSTED NEGOTIATORS	OPTION 1	OPTION 2	OPTION 3
ALBANY	53.3%	52.1%	46.6%	49.4%	51.3% .8	51.0% 1.2	49.0%
BUFFALO (2) <i>credit service of 4.8</i>	57.5%	52.7%	50.8%	53.0%	51.9% .6	52.4% 3	52.9% <i>8.3%</i>
STONY BROOK	55.5%	52.4%	48.9%	51.7%	51.7% .7	52.1% 3	52.1% <i>9.3%</i>
BROOKLYN	63.1%	56.9%	54.7%	56.9%	56.1% .8	55.5% 1.4	55.0% <i>8.7%</i>
	229.4%	214.1%	201.0%	211.0%	211.0%	211.0%	211.0%

*not viable*

NOTES: Options for the possible distribution of the difference between the total of the current rates and the total of the negotiators' adjusted rates follows:

- OPTION 1: Equal sharing in rate reduction.
- OPTION 2: Equal sharing in the dollar impact of the rate reduction.
- OPTION 3: Proration of the proposed rates.

The negotiators will accept slight increases in off-campus and training rates

- [1] This is not acceptable to negotiators since they will not accept an increase in any rates.
- [2] Proposed rate excludes interest on debt service on new buildings.

08/06/90

THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK

CURRENT FEDERAL  
INDIRECT COST RATES  
1988-90

PROPOSED FEDERAL  
INDIRECT COST RATES  
1990-92

MODIFIED TOTAL DIRECT COST BASE	RESEARCH AND OTHER PROGRAMS			RESEARCH AND OTHER PROGRAMS		
	ON CAMPUS	OFF CAMPUS	SPECIAL	ON CAMPUS	OFF CAMPUS	SPECIAL
Albany	52.1	31.5		53.3	33.1	
Binghamton	52.4	30.8	20.8 *	57.6	35.4	20.7 *
Buffalo	52.7	31.5		62.3	35.8	
Stony Brook	52.4	30.0		55.5	33.6	
HSC Syracuse	53.5	26.7	15.3 **	56.4	30.4	15.4 **
HSC Brooklyn	56.9	31.9		63.1	38.1	
Environmental Science & Forestry	53.0	29.3		57.1	36.7	
Central Administration	32.6	32.6		35.5	35.5	

MODIFIED TOTAL DIRECT COST BASE	SPONSORED INSTRUCTION/TRAINING		SPONSORED INSTRUCTION/TRAINING ✓	
	ON CAMPUS	OFF CAMPUS	ON CAMPUS	OFF CAMPUS
Albany	44.7	31.7	47.3	34.0
Binghamton	43.7	32.3	45.2	37.2
Buffalo	49.5	34.0	56.4	35.6
Stony Brook	50.8	36.0	53.1	38.2
HSC Syracuse	49.5	26.7	52.2	29.8
HSC Brooklyn	53.8	36.4	64.1	40.9
Environmental Science & Forestry	47.4	37.6	53.8	39.7

\* Binghamton - Trade Adjustment Center Program  
 \*\* HSC Syracuse - Family Planning Service

INDIRECT COST RATE ADJUSTMENT WORKSHEET FOR FY 1990-91

	PROPOSED	CURRENT	ORIGINAL NEGOTIATORS	ADJUSTED NEGOTIATORS	OPTION 1	OPTION 2	[2] OPTION 3
ALBANY	53.3%	52.1%	46.6%	49.4%	51.3%	51.0%	49.3%
BUFFALO [2]	57.5%	52.7%	50.8%	53.0%	51.9%	52.4%	52.9%
STONY BROOK	55.5%	52.4%	48.9%	51.7%	51.7%	52.1%	51.4%
BROOKLYN	63.1%	56.9%	54.7%	56.9%	56.1%	55.5%	55.7%
	229.4%	214.1%	201.0%	211.0%	211.0%	211.0%	211.0%

NOTES: Options for the possible distribution of the difference between the total of the current rates and the total of the negotiators' adjusted rates follows:

OPTION 1: Equal sharing in rate reduction.

OPTION 2: Equal sharing in the dollar impact of the rate reduction.

OPTION 3: Proration of the proposed rates.

The negotiators will accept slight increases in off-campus and training rates

[1] This is not acceptable to negotiators since they will not accept an increase in any rates.

[2] Proposed rate excludes interest on debt service on new buildings.

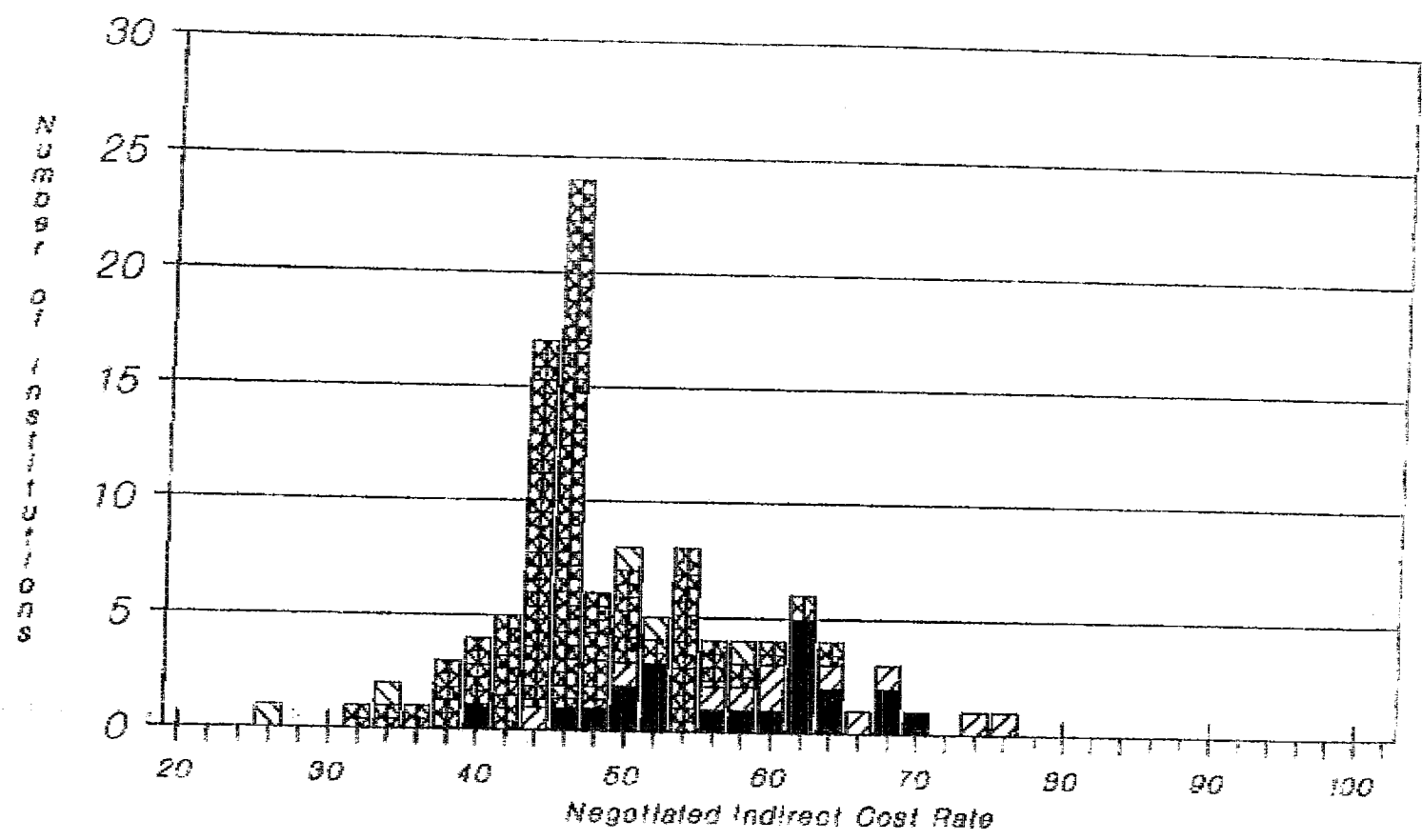
08/07/90





# Distribution of Total Negotiated Rates 1988-89

COER Survey Feb. 1989



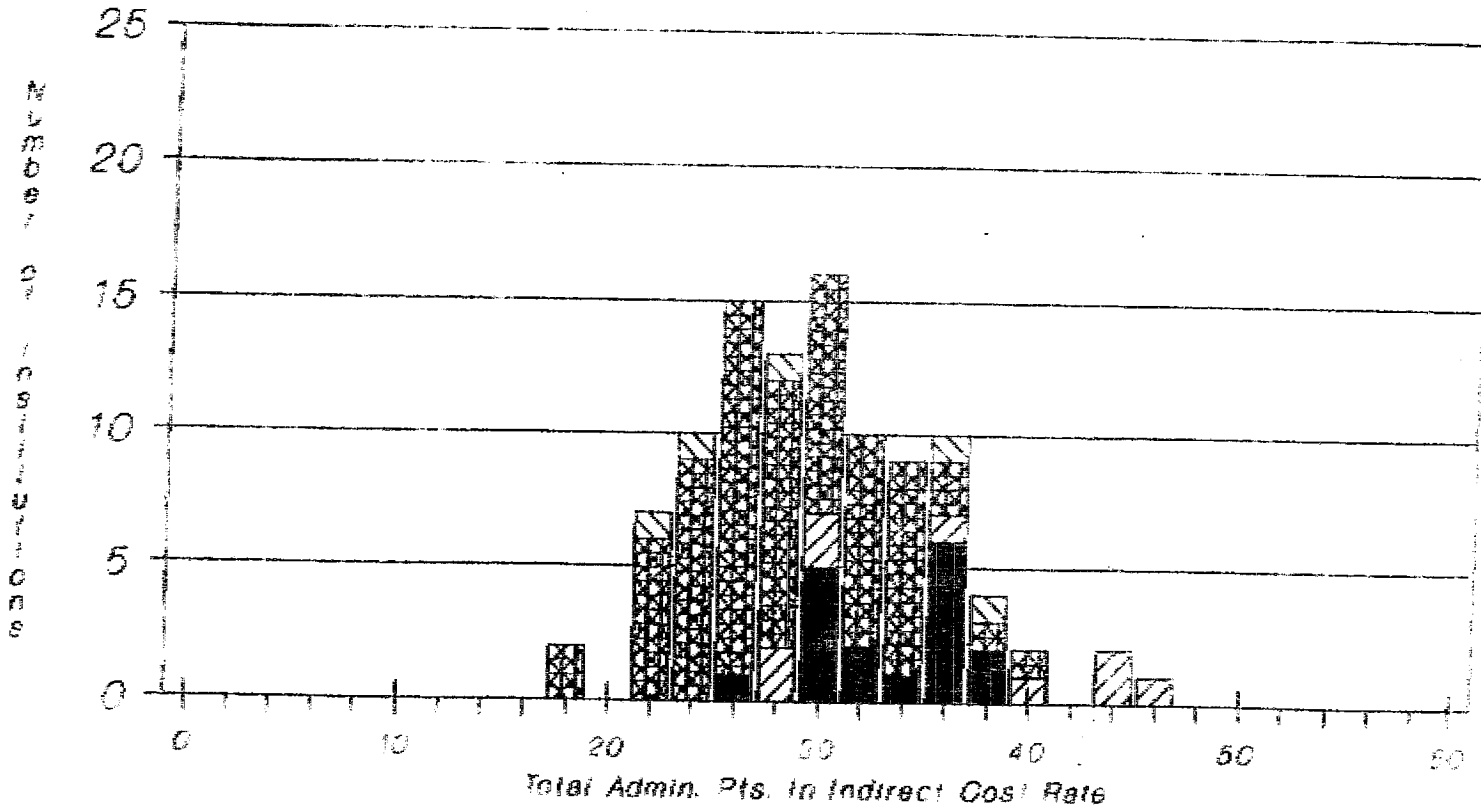
Private HHS(21)
  Private Non-HHS(11)
  Public HHS(77)
  Public Non-HHS(5)

**High=74.1 Low=25.0 Median=46.0 Mean=49.1 Std Dev=9.0**

**Average Proposed SUNY University Centers Rate = 52.7%**  
**(Excluding Interest at SUNY Buffalo)**

08/08/90 15:20 518 434 7290 SUNY RF 008

# Distribution of Pts. in Administrative and Related Pools (SPA, G&A, SS, Lib) 1988-89



■ Private HHS(17)                      ▨ Private Non-HHS(9)  
 ▩ Public HHS(70)                        ▧ Public Non-HHS(5)

High=44.1 Low=16.4 Median=28.3 Mean=28.7 Std Dev=5.4

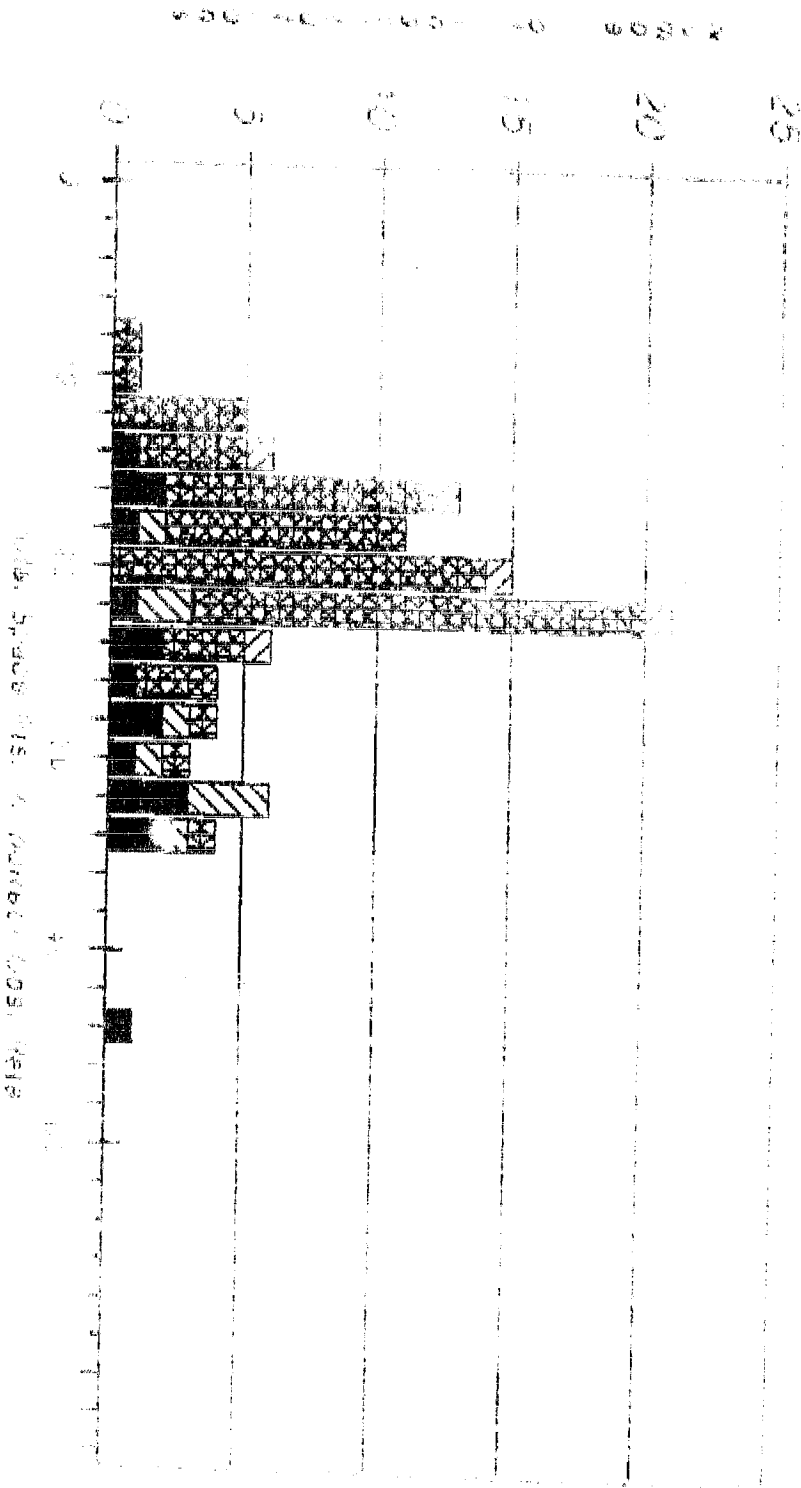
Average Proposed SUNY University Centers Rate = 36.3%  
(Excluding Interest at SUNY Buffalo)

0009  
 SUNY RF  
 518 434 7290  
 15:21  
 08/08/90

FORM REPORT 348, 1103

### Distribution of Points in Space-Related Pools (O&M, Build., Equip., Land, Other) 1988-89

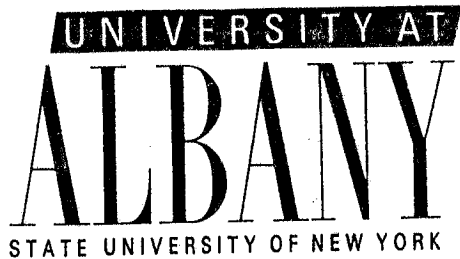
CHART IV



■ Private (HS/MS)      ■ Private (non-HS/MS)  
 ▨ Public (HS/MS)      ▩ Public (non-HS/MS)

High=42.4    Low=6.9    Median=19.9    Mean=20.4    Std Dev=6.4

Average Proposed SUNY University Centers Rate = 19.8%  
 (Excluding Interest at SUNY Buffalo)



Office of the President  
518 442-5400

June 18, 1990

Mr. John F. Buckhoff  
Executive Vice President  
Research Foundation of State  
University of New York  
State University Plaza  
Albany, New York 12246-0001

Administration 246  
Albany, New York  
12222

Dear John:

This is in response to your memorandum dated May 29, 1990 regarding proposed FY 90-91 indirect cost rates.

Within the past month, we were provided an advanced copy of the proposed rates as they had been submitted to DHHS. Subsequently, campus representatives (Leo Neveu, Jim VanVoorst, and Frank DiSanto) met for several hours with your staff to discuss the proposal at length.

During these discussions, several areas of costs were examined closely to ensure that the full cost of sponsored programs was reflected in the proposal. Campus representatives will continue to examine this situation on an ongoing basis. Overall, however, we are satisfied that the composition of the proposed rate fairly represents costs incurred at this campus for the period. My only concern at this point is that the negotiation process not result in a substantial reduction from the rate proposed, especially considering the fact that we will be tied to the final rate for a two-year period.

Accordingly, I would appreciate your keeping us informed of these negotiations. We would also like to review the "final" rate before negotiations with DHHS are finalized.

Sincerely,

Vincent O'Leary

cc: Vice President Gullahorn  
Vice President Hartigan



The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

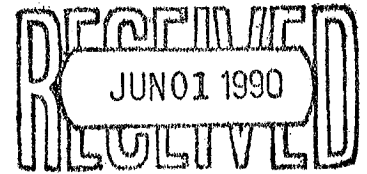
RECEIVED

JUN 1 1990

OFFICE OF THE  
PRESIDENT

*Jeanne Gullahod*

OFFICE OF THE  
VICE PRESIDENT



May 29, 1990

President Vincent O'Leary  
State University at Albany  
1400 Washington Avenue  
Albany, New York 12222

Dear Vince:


We shall shortly begin discussions with the Department of Health and Human Services (our cognizant Federal Agency) on SUNY campus Federally sponsored program indirect cost rates for FY 90-91. The campus expenditure analysis and full rate calculation was previously forwarded to your campus RF fiscal designee for review and any corrections.

We are now on a two-year Federal rate cycle. The current Federal rates were established two years ago. The rates negotiated this year will be in effect for the next two years. The full 1990-91 rates shown on the enclosed have been developed from actual indirect cost expenditures reported by the campuses through the SUNY accounting system.

Two campuses now have reported actual indirect costs exceeding 60% of modified total direct expenditures (MTDC). While these percentages are not out of line for research universities in the Northeast, it is not likely that DHHS will approve an increase to that level in today's climate.

I would welcome any reaction that you may have on the reported actual campus rate.

Sincerely,

  
John F. Buckhoff, Jr.

Enclosure

cc: Chancellor Johnstone  
Dr. Komisar  
Dr. Burke  
Mr. Spindler

LONG FORM INSTITUTIONS  
COMPARISON OF SPONSORED RESEARCH RATES

	1989-90		1990-91	
	Actual	Negotiated	Actual	Negotiated
Albany	54.3	52.1	53.3	
Binghamton	57.6	52.4	57.6	
Buffalo	58.5	52.7	62.3	
Stony Brook	54.9	52.4	55.5	
Syracuse	55.3	53.5	56.4	
Brooklyn	58.5	56.9	63.1	
Forestry	57.7	53.0	57.1	

NOTE: The actual rate for each year represents total expenditures by the campus in the previous year in support of sponsored research allowed by and distributed in accordance with the provision of OMB Circular

RF

PAX

In process of negotiating  
overhead

DHHS downward pressure

Contracted

4% increase - COLA

rate of return hasn't changed

Financial plan: 54.3M

June 52.1M

RF Clapperton

Jan - 47.6M

Looked at operations

Admin - central admin -  
costs - sponsored

devel admin  
NY

the contract - being hit -  
allocation of utility costs  
at campus -  
formula of admin -



2000000  
reconciled with - to provide change

is a low rate -

both lines = col. 3

We're above cut-off

for volume g.p. -

Let us decide how to share  
pain.

Utilities -

Try to get HHS accept

control of the' dsn factor -

HHS not accept since we

14.6 no metering

14.2 SB

13.9 - 14.9 Albany

Regulated close -

Reg. of HHS - going for 12-67 -  
negotiating units will  
be stronger.

Want more uniformity in periods.

Will work on metering, the bldgs.

sent on bus

but based on  $\approx 1/3$  for every  
inputs

~~\_\_\_\_\_~~

HHS rate

proposed cost -

option 2 disparity

\_\_\_\_\_

UNIVERSITY AT BUFFALO  
STATE UNIVERSITY OF NEW YORK

# FACSIMILE TRANSMITTAL SHEET

Office of the Vice President  
for Sponsored Programs  
State University of New York at Buffalo  
316 Capen Hall  
Buffalo, New York 14260

(716) 636-3321

Fax # (716) 632-0805

*Mr. Charles* FAX Buffalo # (716) 442-3500  
*Dr. Walter S. ...* (716) 442-3500  
*...*  
*Dr. H. ...* (716) 636-3321  
*...*  
*...*

REMARKS

*Four pages to follow*

OFFICE OF THE  
VICE PRESIDENT  
**RECEIVED**  
AUG 10 1990  
**RECEIVED**  
FOR RESEARCH



UNIVERSITY AT BUFFALO  
STATE UNIVERSITY OF NEW YORK

Office of the Vice President  
for Sponsored Programs  
516 Capen Hall  
Buffalo, New York 14260  
(716) 636-3321  
FAX (716) 636-3790

VIA FAX

August 10, 1990

Mr. John F. Buckhoff, Jr.  
Executive Vice President  
The Research Foundation  
State University of New York  
P.O. Box 9  
Albany, New York 12201-0009

Dear John:

I am writing to follow-up on our conference call yesterday regarding proposed indirect cost rates at Albany, Buffalo, Stony Brook and Binghamton.

As I indicated during the conference call, we believe the most equitable basis for determining new rates at the four centers is the extent to which the new rate enables each campus to recover its actual costs. The enclosed charts show our recommended rates, based on this principle, in comparison with current rates and the Option 2 rates provided by your office.

We are not aware of any reason for allowing some campuses to recover a significantly greater percentage of their costs than other campuses except for artificial and arbitrary constraints imposed by HHS. It is apparent that Brooklyn and Buffalo are now at a substantial disadvantage in this respect relative to Albany and Stony Brook. This is true whether or not interest on debt service for new buildings at Buffalo is included (Schedule A) or excluded (Schedule B). The rates shown in the recommended column are the most equitable adjustments that can be made to current rates if we accept the HHS constraint of "no increase at any campus." It is also the closest we can come to the HHS negotiator's adjusted rates without violating the no-increase constraint, the HHS constraint being accommodated by shifting 0.3 percent from Buffalo to Albany.

-2-

John, we believe it is important to achieve agreement with HHS on new rates that do not further disadvantage Brooklyn and Buffalo relative to other campuses especially since these decisions are likely to have long term consequences.

Sincerely,



Dale M. Landi  
Vice President for  
Sponsored Programs

DML 260

Enclosures

cc: Mr. Stanley G. Mickok  
Dr. Robert Schneider  
Dr. Jeanne E. Gullenorn  
Mr. Peter B. French  
Dr. Charles Keays

PROPOSED INDIRECT COST RATES

SCHEDULE A\*

	<u>Actual</u>	<u>Current</u>	<u>Point Actual</u>	<u>Option 2</u>	<u>Point Actual</u>	<u>Recommended</u>	<u>Point Actual</u>
ALBANY	53.3%	52.1%	7.7%	51.0%	95.7%	49.7%	93.2%
BUFFALO	52.3	52.7	4.6	52.4	84.1	52.7	84.6
STONY BROOK	55.5	52.4	4.4	52.1	93.9	51.7	93.2
BROOKLYN	<u>53.1</u>	<u>56.9</u>	<u>3.2</u>	<u>53.5</u>	<u>88.0</u>	<u>56.9</u>	<u>90.2</u>
	234.4%	214.1%	5.3%	211.0%	90.0%	211.0%	90.0%

\*Includes Interest on Debt Service for Sew Buildings at Buffalo.

Report on the Financial Condition of the City of Buffalo

TABLE B

	<u>Actual</u>	<u>Current</u>	<u>Point Actual</u>	<u>Debt Ratio</u>	<u>Point Actual</u>	<u>Recommended</u>	<u>Point Actual</u>
ALBANY	51.3%	52.1%	97.7%	0%	95.7%	49.7%	93.2%
BUFFALO	57.5	52.7	91.7	1%	91.1	52.7	91.7
STONY BROOK	5	52.4	94.4	1%	93.9	51.7	93.2
BROOKLYN	<u>63.1</u>	<u>56.9</u>	90.2	2%	88.0	<u>56.9</u>	90.2
	229.4%	214.1%	93.3%	21%	92.0%	211.0%	92.0%

\*Excludes Interest on Debt Service for New Buildings at Buffalo.

Mtg Gai 7/6  
10:00 am

Gullahorn



Albany, New York  
12222

*Pending*  
*There'll be another mtg*

MEMORANDUM

To: Vice President Gullahorn ✓  
Vice President Hartigan

From: Kim I. Murray *Kim*

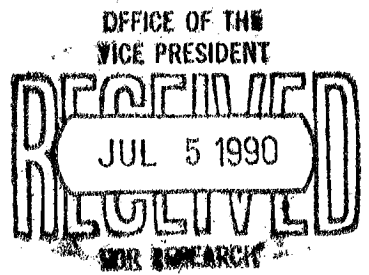
Re: 1990-91 Indirect Cost Recovery Budget

Date: July 5, 1990

The comments and recommended increases received from your offices have been incorporated into the attached 1990-91 Indirect Cost Recovery Budget. You will find the justifications for the requested increases at the end of the document in the correspondence which you forwarded to me.

A meeting to discuss this material has been scheduled for tomorrow, Friday, July 6, at 10:00 a.m. in room AD123. Should you have any questions prior to the meeting, please let me know.

- cc: L. Neveu
- F. DiSanto
- E. Gilchrist
- L. Webster-Saft







Controller (9307)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Administrative Staff Assist IV	E04	0.80	34,851		34,851	9,061
Secretary I	N03	1.00	17,000		17,000	4,420

Total		1.80	51,851	0	51,851	13,481
Temporary Service					6,000	1,560

Total Salaries & Wages 72,892

Other Than Personal Service

Supplies						0
Travel						0
General						2,620
Equipment						564

Total Other than Personal Service 3,184

Total Base Budget 76,076

Total Budget Request 76,076

Safety (9310)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Administrative Staff Assist II	E03	1.00	38,212		38,212	9,935
Administrative Staff Assist II	E03	1.00	29,948		29,948	7,786
Secretary I	N03	1.00	17,208		17,208	4,474
Total		3.00	85,368	0	85,368	22,196
Temporary Service			0		0	0
Total Salaries & Wages						107,564
Other Than Personal Service						
Supplies						2,109
Travel						56
General						17,747
Equipment						3,440
Consultant						2,245
Total Other than Personal Service						25,597
Total Base Budget						133,161
Requested Increases (not included above)						
1. General- hazardous waste disposal (one-time)						20,000
2. Equipment - Liquid Scintillation Counter (one-time)						17,000
3. Temporary service to monitor chemical exposure (ongoing) S&W \$10,000, FB \$2,600						12,600
Total Requested Increases						49,600
Total Budget Request						182,761

Office of Sponsored Funds Personnel (9318)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Personnel Coordinator	E05	1.00	45,210		45,210	11,755
Personnel Associate	E03	1.00	vacant		25,000	6,500
Administrative Assistant	N08	1.00	30,019		30,019	7,805
Clerk III	N06	1.00	20,857		20,857	5,423
Secretary III	N06	1.00	22,120		22,120	5,751
Secretary III	N06	0.50	vacant		8,450	2,197
Clerk II	N05	1.00	15,479		15,479	4,025
* Clerk II	N05	0.50	15,300		11,191	2,910
Total		7.00	148,985	0	178,326	46,365
Temporary Service			4,200		4,200	1,092
Total Salaries & Wages						229,983
Other Than Personal Service						
Supply						550
Travel						196
General						3,494
Equipment						2,750
Total Other than Personal Service						6,990
Total Base Budget						236,973
Requested Increases (not included above)						
1. Supplies - 3 connections to IBM database (one-time)						1,500
2. Increase to printing budget (ongoing)						1,500
Total Requested Increases						3,000
Total Budget Request						239,973

\* 1989-90 Base Budgeted supported .5 FTE Senior Account Clerk, \$11,191.  
Current actual is 1.0 FTE Clerk II, \$15,300.

Sponsored Funds Purchasing (9319)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Associate Director	E06	1.00	47,037		47,037	12,230
Administrative Staff Assist IV	E04	1.00	42,748		42,748	11,114
Sponsored Programs Assistant II	E02	1.00	34,266		34,266	8,909
Sponsored Programs Assistant II	E02	1.00	30,160		30,160	7,842
Principal Clerk	011	1.00	26,423		26,423	6,870
Clerk II	N05	1.00	21,050		21,050	5,473
<b>Total</b>		<b>6.00</b>	<b>154,647</b>	<b>0</b>	<b>201,684</b>	<b>52,438</b>
Temporary Service					3,226	839
<b>Total Salaries &amp; Wages</b>						<b>258,187</b>
<b>Other Than Personal Service</b>						
Supply						820
Travel						300
General						7,739
Equipment						0
<b>Total Other than Personal Service</b>						<b>8,859</b>
<b>Total Base Budget</b>						<b>267,046</b>
<b>Total Budget Request</b>						<b>267,046</b>

Equipment Management (9320)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Clerk III	N06	1.00	17,709		17,709	4,604

Total		1.00	17,709	0	17,709	4,604
Temporary Service					0	0

Total Salaries & Wages 22,313

Other Than Personal Service

Supplies						137
Travel						54
General						0
Equipment						820

Total Other than Personal Service 1,011

Total Base Budget 23,324

Total Budget Request 23,324

Plant (9322)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Administrative Staff Assist I	E01	1.00	22,020		22,020	5,725
Research Technician II	N06	1.00	22,136		22,136	5,755
Services Worker I	N01	1.00	15,000		15,000	3,900
Cleaner		0.25	vacant		4,800	1,248
Total		3.25	59,156	0	63,956	16,629
Temporary Service					0	0
Total Salaries & Wages						80,585
Other Than Personal Service						
Supplies						0
Travel						0
General						0
Equipment						0
Total Other than Personal Service						0
Total Base Budget						80,585
Total Budget Request						80,585

Thunderstorm Research (9324)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Project Administrative Officer	SE3	0.50	19,913		0	0
Total		0.50	19,913	0	0	0
Temporary Service					0	0
Total Salaries & Wages						0

Total Base Budget

0

Total Budget Request

0



Sponsored Funds Internal Audit (new account)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Total		0.00	0	0	0	0
Temporary Service					0	0
Total Salaries & Wages						0
Total Base Budget						0
Requested Increases (not included above)						
1. Entry level Internal Auditor (Administrative Staff Assistant) S&W \$22,500, FB \$5,850						
						28,350
Total Requested Increases						28,350
Total Budget Request						28,350

Office for Research (9306)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Assistant Vice President	E07	1.00	65,799		65,799	17,108
Associate Director	E06	1.00	44,988		44,988	11,697
Associate Director	E06	1.00	42,621		42,621	11,081
Assistant Director	E05	1.00	35,733		35,733	9,291
Sponsored Programs Associate II	E04	1.00	30,000		30,000	7,800
Editor II	E02	1.00	22,000		22,000	5,720
Administrative Staff Asst I	E01	0.53	9,657		9,657	2,511
Clerical Specialist	N07	1.00	26,145		26,145	6,798
Secretary III	N06	1.00	22,409		22,409	5,826
Clerk I	N03	0.69	11,916		11,916	3,098
<b>Total</b>		<b>9.22</b>	<b>311,268</b>	<b>0</b>	<b>311,268</b>	<b>80,930</b>
Temporary Service			0		0	0

Total Salaries & Wages 392,198

Other Than Personal Service

Supplies	2,735
Travel	11,250
General	0
Equipment	4,000
Consultant	4,500

Total Other than Personal Service 22,485

Total Base Budget 414,683

Requested Increases (not included above)

1. Sponsored Funds Associate II S&W \$30,000, FB \$7,800	37,800
2. Supplies: mail & messenger (ongoing)	3,700
central duplicating (ongoing)	7,000
general (ongoing)	1,500
	<b>50,000</b>

Total Budget Request 464,683

Research Center Support (9308,9309,9313)

Salaries and Wages

Position	Center	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
/1 Administrative Assistant	ASRC	N08	0.55	10,564		10,564	2,747
/2 Senior Stenographer	Biology	009		0		4,500	1,170
/3 Secretary III	Hindelang	N06	0.50	18,300		18,300	4,758

Total			1.05	28,864	0	33,364	8,675
Temporary Service				0		0	0

Total Salaries & Wages 42,039

Other Than Personal Service

- Supplies
- Travel
- General
- Equipment

Total Other than Personal Service 0

Total Base Budget 42,039

- /1 Position funded for value of .55 FTE.
- /2 Position funded for dollar amount of \$4,500 which remains constant.
- /3 Position funded for value of .5 FTE.

Office of Laboratory Animal Services (9321)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Laboratory Animal Caretaker	005	0.50	8,320		8,320	2,163
Research Aide	S01	0.40	4,992		4,992	1,298
Research Project Assistant	SE2	0.50	7,280		7,280	1,893
* Subtotal Actual Commitments		1.40			20,592	
FTE and dollars to establish funding consistent with 1989-90 Budget.		1.10			17,303	4,499
Total		2.50	20,592	0	37,895	9,853
Temporary Service					0	0
Total Salaries & Wages						47,748
Other Than Personal Service						
Supplies						750
Travel						1,500
General						2,950
Equipment						2,000
Consultant (Veterinarian)						26,000
Total Other than Personal Service						33,200
Total Base Budget						80,948
Total Budget Request						80,948

\* Actual commitments 1.4 FTE, \$20,592.  
 1989-90 Base Budget 2.5 FTE, Laboratory Animal Caretakers, \$37,895.

Development and Incentive Support (9360)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Senior Typist	007	1.00	0		12,500	3,250
						0
						0
						0
Total		1.00	0	0	12,500	3,250
Temporary Service					0	0
Total Salaries & Wages						15,750
Other Than Personal Service						
Scholarly Journals						25,000
Industrial Linkages						9,500
Distinguished Lecture Series						1,000
Development Meetings						2,000
General Support						6,499
Total Other than Personal Service						43,999
Total Base Budget						59,749
Total Budget Request						59,749

1990-91 Indirect Cost Recovery Budget

Research Development and Incentive	130,000	
University Awards Program	150,000	
Research Equipment Challenge Grant Program	100,000	
	-----	
Total Base		380,000
		=====
Requested Increases (not included above)		
-----		
1. Increase to University Awards Program	12,000	
	-----	
Total Requested Increases		12,000
		-----
Total Budget Request		392,000
		=====

Affirmative Action

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Secretary I	N03	1.00	14,042		14,042	3,651
Total		1.00	14,042	0	14,042	3,651
Temporary Service					0	0
Total Salaries & Wages						17,693
Total Base Budget						17,693
Total Budget Request						17,693

1990-91 Indirect Cost Recovery Budget

Estimated Reserve for Salary Increases  
(7.2% Salaries)

-----	
Salaries & Wages	90,443
Fringe Benefits	23,515
	-----
Total	113,958



To: Kim Murray  
From: John Hartigan *John Hartigan*  
Date: July 3, 1990  
Subject: OR-5 Budget Request for Finance and Business

Administration 328  
Albany, New York  
12222

I have examined all requests from the various accounts within the division. I am only forwarding to you those items above the base that I support. Please consider the items below for the 1990-91 Initial Allocation of indirect costs from the Research Foundation. Funds totaling \$91,360 are needed.

Safety (9310):

A. General - Hazardous Waste Disposal - one time - \$20,000

This has emerged as one of the most critical issues facing the University. We are legally, morally, and ethically bound to dispose in an environmentally sound manner, hazardous wastes created by the focus and sophistication our research activities in the sciences. The current disposal technologies, such as incineration, are extremely expensive, but provide the University with the best protection from potential liability as a generator of hazardous waste.

There is currently a critical inventory of old or abandoned chemical and gas cylinders in both the Chemistry and Biology departments. The term "critical" in this instance means a significant increase in the probability that these extremely dangerous materials that could become explosive and need to be removed from the campus immediately. The backlog is primarily due to the following:

1. Reluctance on the part of researchers to expend precious research dollars on waste removal;
2. Retirement or relocation of senior faculty members, thus leaving behind a myriad of abandoned old chemicals and wastes for the department to assume responsibility;
3. Departments are reluctant or unable to spend operating funds to clean up or dispose of abandoned hazardous chemicals;
4. Absence of a centralized funding source for hazardous waste disposal on a continual basis.

- B. Equipment - Liquid Scintillation Counter - one time - \$17,000

Due to the age, the difficulty of locating replacement parts, and increasing down time, this 20 year old unit needs to be replaced. It is used in routine radiation surveys such as lab wipe tests and leak testing of sealed radioactive sources. These tests are required by the New York Department of Health for compliance with the conditions of the University's radioactive materials license.

- C. Temporary Service - Monitor Chemical Exposure - ongoing - \$10,000

OSHA's long awaited final regulations "Occupational Exposure to Hazardous Chemicals in Laboratories" became effective May 1, 1990. These regulations will primarily impact our research laboratories. This regulation places yet another major Industrial Hygiene program for us to implement without relaxing any of the requirements of current Hazard Communication regulations.

As part of this new standard, employers must assure that employee exposures to OSHA regulated substances do not exceed Permissible Exposure Levels (PELs) by conducting exposure monitoring. This necessary regimen of monitoring exceeds our current capabilities. We request the support of an Industrial Hygienist. In addition to the mandated monitoring, this individual would be an invaluable asset in the formulation of the Chemical Hygiene Plan and OSHA mandated training sessions.

Sponsored Funds Accounting (9305):

- A. Personal Service - Increase FTE from .6 to .75 (Sponsored Programs Associate I, Janice Greene) - ongoing - \$7,325 Salary + \$1,905 Fringe = \$9,230

As a response to increasing workload in this office, Janice Greene was extended from 60% to 75% time effective February 1990. At that time, the decision was made to absorb the additional cost for the remainder of the fiscal year. Janice plays a very important role within the office primarily as Jackie DiStefano's second but also overseeing some of the more complex grants and contracts processed through this office. As we move toward decentralization, her role within the office and Jackie's need to rely on Janice's expertise in additional areas will increase.

- B. Personal Service - Reclassification (Sr Administrative Staff Assoc, Jacqueline DiStefano) - ongoing - \$3,000 Salary + \$780 Fringe = \$3,780

With the campus moving toward decentralization, two additional functions, Sponsor Billing and Sponsor Reporting will be added. It

will be necessary for Jackie to devote a substantial portion of her time overseeing the operation of these two functions. Following is a summary of what the new duties will entail.

Final Reporting - Primarily this function involves maintaining records and preparing interim and final financial activity reports as required by sponsors. This function is critical in that many sponsors require the reports as a basis for program payments or release of subsequent year funding. Jackie will have to ensure the reports are accurate and issued in a timely manner in the form prescribed by the sponsor. In addition, she will be responsible to answer questions raised by sponsors regarding the financial reports.

Account Billing - Primarily this function will require the Office to maintain accounts receivable for all of the sponsored funds grants and contracts. Bills will need to be issued in a timely manner and in accordance with the grant or contract provisions. Accuracy and timeliness are key. Jackie will oversee the establishment of sound working relationships with the sponsors to resolve any questions regarding the bills and its payments.

Sponsored Funds Internal Audit (new account):

- A. Personal Service - Entry Level Internal Auditor (Admin Staff Assist, E02) - ongoing - \$22,500 Salary + \$5,850 Fringe = \$28,350

During the past three or four years, there has been a dramatic decrease in the audit coverage of Campus Research Foundation activities that had been provided by the SUNY Office of Internal Audit and the audit staff of the Central Office of the Research Foundation. In contrast, the amount of total awards to the University for the same time period has increase significantly and the trend appears to be one that will continue. This divergence between increased sponsored fund activity and the limited amount of audit coverage places the University administration in assuming an element of risk that greatly exceeds the current measurement of management's right and responsibility for a need-to-know basis. During the recent past, the element of risk became a reality in that certain activities of a particular project director were found to be in violation of certain Laws and University policies.

The Office of Internal Audit currently provides a small degree of audit coverage on certain Sponsored Funds Accounting Office functions as well as providing assistance on a variety of matters. However,

these audit services do not provide for wide coverage which needs to be ongoing and span a wide scope of functions and activities. At present, the major constraint is limitation of staff which prompts this request for an entry level Internal Auditor.

Sponsored Funds Personnel (9318):

A. General - 3 Connections to the IBM Database Side of the University's Mainframe - one time - \$1,500

In order to access the Personnel Data System on the IBM mainframe, IRMA boards were purchased to emulate the appropriate terminal configuration. It costs \$500 each to have Data Communications wire a computer/terminal to this mainframe. There is a need to connect three computers in this office.

B. General - Increase Printing Budget - ongoing - \$1,500

This permanent budget increase would cover the ongoing printing of Classification Compensation update, Informational Memoranda, and the development, printing and updating of an employee handbook. Distribution of the Classification and Compensation updates as well as Information Memoranda is approximately 400 individuals. The employee handbook distribution would be approximately 700.

In summary, Finance and Business is requesting \$91,360 above the base in one time and ongoing items.

cc: Laurie Webster-Saft

**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

To: Kim Murray  
Office of Financial Management

From: Jeanne E. Gullahorn *J.E.G.*  
Vice President for Research

Date: 2 July, 1990

Subj.: Proposed 1990-91 Indirect Cost Recovery Base  
Budget Adjustments

Administration 218  
Albany, New York  
12222

Attached are narrative documents supporting requests for increases to the base budget for the initial overhead allocation from the Research Foundation. In summary, they are:

1. RF Account 320-9306: "Office for Research"  
\$50,000
2. RF Account 320-9700 - "University Awards  
Program": \$12,000

Please contact Frank DiSanto if there are any questions.

cc. Frank DiSanto

UNIVERSITY AT  
ALBANY  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

To: Vice President Gullahorn  
From: Frank J. DiSanto *FJD*  
Subj.: Proposed Adjustments for 1990-91 OR-5 Budget  
Date: 29 June, 1990

Administration 218  
Albany, New York  
12222

The following items are my requests for additional funds in account 320-9306 (Office for Research) OR-5 account for upcoming fiscal year 1990-91:

Salaries & Wages: \$30,000

Funds are requested to support a new professional position Sponsored Funds Associate II. The need for such a position has been apparent for several years. This position will provide assistance to faculty in connection with proposal submissions, grant and contract negotiations, and post award administration. Current and projected workloads warrant the establishment of this position. Comparisons with other institutions, both within and outside the SUNY system, yield a scenario where the current 2 FTE research administrators is woefully inadequate to perform all service functions required of these positions.

As of today, there is over \$120 million of active sponsored projects on the books. I estimate the level of booked awards for the current fiscal year, ending 30 June, 1990 will exceed \$45 million. Application submissions are up as well. Compounding the situation is an increase in federal regulations, certifications, and assurances all of which are the responsibility of the Office for Research. One of the results of this severe understaffing is that a dozen or so large, complex projects must be handled by the Director. That becomes problematic when issues arise and I am not in the office to handle them. Furthermore, it takes me away from my responsibilities as Director and Assistant Vice President.

This request is separate and distinct from decentralization. It reflects the need to properly staff a unit in order to insure faculty are served, mistakes are not made due to overwork and inability to devote ample time to projects, and to protect the institution from potential disallowances. Additionally, increased federal regulation requires closer scrutiny of proposals which often are submitted to the Office for Research for processing a day or two before the application deadline.

Current staff in this portion of the office is having to work nights and weekends in order to try to keep up with the workload. Still, there are the issues of complying with federal regulations, and giving professionals time to think about important issues in order to avoid problems with proposal submissions, audits, and legal disputes. Furthermore, there are many aspects of this work which are not being properly attended to, simply because the two people doing this work do not have the time. By adding another professional in this capacity, the assignment of academic and research units can be re evaluated, resulting in a more appropriate level of work for each individual.

Fringe Benefits: \$7,800

This represents fringe benefits at a rate of 26% of the salary requested above.

Mail & Messenger: \$3,700

This amount is needed in order to provide adequate funds for the mailing of proposals and award materials, in connection with current workloads. Last year, costs for this item exceeded budget within the Office for Research's state S&E account by the amount requested. Several causes were evident, including increases in postage rates, increased dependability on overnight service, and an increase in the number of proposal submissions.

Central Duplicating: \$7,000

As in the previous category, State allocations have not kept pace with the annual costs incurred in this category. Last fiscal year, the expenditures in this category exceeded budget by the amount requested, after excluding one time activities. This category has taken an increased portion of the Office for Research's budget in recent years. Development activities, compliance, and governance are office activities which, in addition to pre and post award grants administration responsibilities, eat into the office's Other Than Personal Service budget categories.

Supplies: \$1,500

These additional funds are requested to support the increased costs of office supplies, in connection with supporting a larger Office for Research staff.

Request for an Increase in the Funds for the  
Faculty Research Awards Program

(320-9700)

REF  
JUL 02 1990  
FOR RESEARCH

The University at Albany Faculty Research Awards Program provides modest funds in partial support of faculty research and other creative activities. These funds are regarded as catalyzing agents for stimulating research and scholarly endeavors and for seed funding projects that have potential for subsequent external support. The FRAP is similar in size and scope to the type of small research grant programs offered by most research universities, and is perceived by faculty to be a valuable research incentive.

The annual allocation for the program has remained at \$150,000 for the last four years. There has been no adjustment to reflect the establishment of the School of Public Health and the addition of new faculty appointments there and elsewhere within the University. The Division for Research requests an additional \$12,000 in allocation for the FRAP program specifically to underwrite School of Public Health participation. This sum would provide for three fully funded awards of \$4,000 each in the 1990-91 round, or more awards at a lesser rate of support. At present, the school has approximately 12 FTE faculty eligible to apply by virtue of primary appointment to the University.



Acct #	Account	Base Budget				Total	Requested In		
		Personal Service	Fringe Benefits	Supplies & Expense	Equip		Personal Service	Fringe Benefits	Supplies & Expense
9305	Accounting	250,429	65,112	10,108	3,337	328,986	10,325	2,685	
9307	Controller	57,851	15,041	2,620	564	76,076	0	0	
9310	Safety	85,368	22,196	22,157	3,440	133,161	10,000	2,600	2
9318	Personnel	182,526	47,457	4,240	2,750	236,973	0	0	
9319	Purchasing	204,910	53,277	8,859	0	267,046	0	0	
9320	Equipment Management	17,709	4,604	191	820	23,324	0	0	
9322	Plant Department	63,956	16,629	0	0	80,585	0	0	
9324	Thunderstorm Research	0	0	0	0	0	0	0	
	Sponsored Funds Internal Audit	0	0	0	0	0	22,500	5,850	
9306	Office for Research	311,268	80,930	18,485	4,000	414,683	30,000	7,800	11
	Research Center Support (9308/9309/9313)	33,364	8,675	0	0	42,039	0	0	
9321	Lab Animal Services	37,895	9,853	31,200	2,000	80,948	0	0	
9360	Incentive/Development Support	12,500	3,250	43,999	0	59,749	0	0	
9700	Development and Incentive	0	0	130,000	0	130,000	0	0	
	University Awards Program	0	0	150,000	0	150,000	0	0	12
	Research Equipment Challenge Grant	0	0	0	100,000	100,000	0	0	
9323	Affirmative Action	14,042	3,651	0	0	17,693	0	0	
	Salary Increase Pool	90,443	23,515	0	0	113,958	0	0	
<b>TOTAL</b>		<b>1,362,261</b>	<b>354,190</b>	<b>421,859</b>	<b>116,911</b>	<b>2,255,221</b>	<b>72,825</b>	<b>18,935</b>	<b>47,</b>

UNIVERSITY AT  
ALBANY  
STATE UNIVERSITY OF NEW YORK

M E M O R A N D U M

To: Vice President Hartigan  
Vice President Gullahorn ✓

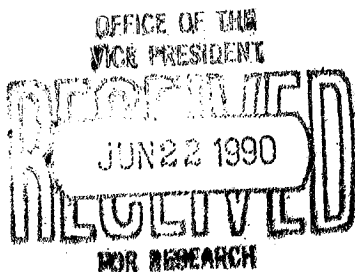
From: Kim I. Murray *Kim*

Re: 1990-91 OR-5 Budget

Date: June 22, 1990

The OR-5 Budget meeting scheduled for Monday, July 2 has been rescheduled to Friday, July 6 at 10 a.m.. In order to prepare the materials for this meeting, I am requesting that budget requests and revisions be submitted to me by Tuesday, July 3. I will then return full budget packages to each of you by Thursday, July 5 so that you will have time to review prior to our meeting. Please let me know if this schedule is not convenient. Thank you

cc: Mr. Neveu  
Dr. Gilchrist  
Mr. DiSanto  
Ms. Webster-Saft



M E M O R A N D U M

To: Vice President Hartigan  
Vice President Gullahorn ✓

From: Kim I. Murray *Kim*

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cc: Mr. Neveu  
Dr. Gilchrist  
Mr. DiSanto  
Ms. Webster-Soft

*mtg w/ Frank  
Mon 7/2 - 11:00 am*

OFFICE OF THE  
VICE PRESIDENT  
**RECEIVED**  
JUN 22 1990  
**RECEIVED**  
FOR RESEARCH

**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

*Mon 7/2  
8:00 mtg*

*OR-5 Budget*

Office for Research  
518 442-3510

*50K*  
*last yr - 100K*  
*JH - 95K in previous yr*

To: Vice President Gullahorn  
From: Frank J. DiSanto *FJD*  
Subj.: Proposed Adjustments for 1990-91 OR-5 Budget  
Date: 29 October, 1990

Administration 218  
Albany, New York  
12222

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OFFICE OF THE  
VICE PRESIDENT  
**RECEIVED**  
JUN 29 1990  
FOR RESEARCH

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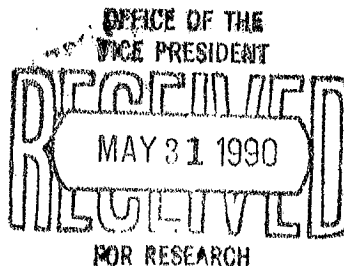
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Supplies: \$1,500

These additional funds are requested to support the increased costs of office supplies, in connection with supporting a larger Office for Research staff.

*Appraisal  
by 10/13 for  
how far*  
*Cert. fees &  
overhead proposal*  
*drug free workplace*  
*Debbie's alerts*  
*Student success*



MEMORANDUM

To: Vice President Gullahorn ✓  
Vice President Hartigan

From: Kim I. Murray *Kim*

Date: May 30, 1990

Re: Indirect Cost Recovery Budgeting

As the Research Foundation fiscal year approaches, we begin the process of budgeting for campus Indirect Cost Recovery Allocations. Our usual process for arriving at a Budget Plan is to establish base funding by account, integrate changes and requested increases received from you into the plan, meet to discuss the revised plan, and make a recommendation to the President.

We have arrived at base funding by decreasing prior year allocations for "one-time" items, and by funding personnel items at current salaries. Consistent with last year, salary increases have not been budgeted for in the accounts but separately. An estimation of the pool, budgeted at 7.2%, has been provided. Contrary to procedure in the past, the base budget has not been verified by a member of your staff. We ask that you return comments about the base funding analysis with your recommendations for the new year by June 25.

Although the Research Foundation has not provided us with an initial allocation figure, we will continue the budgeting process as usual. We will be sure to inform you as soon as this figure is received.

I propose to you that we proceed as usual within the following schedule:

*July 2*

May 30	Distribution of Base Allocation
June 25	Base allocation changes and recommended increases to Office of Financial Management and Budget
June 26	Summaries of allocation changes and increases returned to Vice Presidents

Indirect Cost Recovery Budgeting  
Page 2

June 28          VP meeting to discuss plan

June 29          Recommendation to President

Please feel free to contact me if you have any questions.

cc: President O'Leary  
Executive Vice President Ilchman  
Mr. DiSanto  
Mr. Neveu  
Mr. Gilchrist





Controller (9307)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Administrative Staff Assist IV	E04	0.80	34,851		34,851	9,061
Secretary I	N03	1.00	17,000		17,000	4,420

Total		1.80	51,851	0	51,851	13,481
Temporary Service					6,000	1,560

Total Salaries & Wages 72,892

Other Than Personal Service

Supplies						0
Travel						0
General						2,620
Equipment						564

Total Other than Personal Service 3,184

Total Base Budget 76,076

=====

Safety (9310)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Administrative Staff Assist II	E03	1.00	38,212		38,212	9,935
Administrative Staff Assist II	E03	1.00	29,948		29,948	7,786
Secretary I	N03	1.00	17,208		17,208	4,474
Total		3.00	85,368	0	85,368	22,196
Temporary Service			0		0	0
Total Salaries & Wages						107,564
Other Than Personal Service						
Supplies						2,109
Travel						56
General						17,747
Equipment						3,440
Consultant						2,245
Total Other than Personal Service						25,597
Total Base Budget						133,161

Office of Sponsored Funds Personnel (9318)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Personnel Coordinator	E05	1.00	45,210		45,210	11,755
Personnel Associate	E03	1.00	vacant		25,000	6,500
Administrative Assistant	N08	1.00	30,019		30,019	7,805
Clerk III	N06	1.00	20,857		20,857	5,423
Secretary III	N06	1.00	22,120		22,120	5,751
Secretary III	N06	0.50	vacant		8,450	2,197
Clerk II	N05	1.00	15,479		15,479	4,025
* Clerk II	N05	0.50	15,300		11,191	2,910
Total		7.00	148,985	0	178,326	46,365
Temporary Service			4,200		4,200	1,092
Total Salaries & Wages						229,983
Other Than Personal Service						
Supply						550
Travel						196
General						2,444
Equipment						2,750
Total Other than Personal Service						5,940
Total Base Budget						235,923

\* 1989-90 Base Budgeted supported .5 FTE Senior Account Clerk, \$11,191.  
 Current actual is 1.0 FTE Clerk II, \$15,300.



Equipment Management (9320)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Clerk III	N06	1.00	17,709		17,709	4,604

Total		1.00	17,709	0	17,709	4,604
Temporary Service					0	0

Total Salaries & Wages 22,313

Other Than Personal Service

Supplies						137
Travel						54
General						0
Equipment						820

Total Other than Personal Service 1,011

Total Base Budget 23,324

=====

Plant (9322)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Administrative Staff Assist I	E01	1.00	22,020		22,020	5,725
Research Technician II	N06	1.00	22,136		22,136	5,755
Services Worker I	N01	1.00	15,000		15,000	3,900
Cleaner		0.25	vacant		4,800	1,248

Total		3.25	59,156	0	63,956	16,629
Temporary Service					0	0

Total Salaries & Wages 80,585

Other Than Personal Service

Supplies						0
Travel						0
General						0
Equipment						0

Total Other than Personal Service 0

Total Base Budget 80,585

Thunderstorm Research

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Project Administrative Officer	SE3	0.50	19,913		0	0

Total		0.50	19,913	0	0	0
Temporary Service					0	0

Total Salaries & Wages 0

Total Base Budget 0

Office for Research (9306)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Assistant Vice President	E07	1.00	65,799		65,799	17,108
Associate Director	E06	1.00	44,988		44,988	11,697
Associate Director	E06	1.00	42,621		42,621	11,081
Assistant Director	E05	1.00	35,733		35,733	9,291
Sponsored Programs Associate II	E04	1.00	30,000		30,000	7,800
Editor II	E02	1.00	22,000		22,000	5,720
Administrative Staff Asst I	E01	0.53	9,657		9,657	2,511
Clerical Specialist	N07	1.00	26,145		26,145	6,798
Secretary III	N06	1.00	22,409		22,409	5,826
Clerk I	N03	0.69	11,916		11,916	3,098
<b>Total</b>		<b>9.22</b>	<b>311,268</b>	<b>0</b>	<b>311,268</b>	<b>80,930</b>
Temporary Service			0		0	0

Total Salaries & Wages 392,198

Other Than Personal Service

Supplies						2,735
Travel						11,250
General						0
Equipment						4,000
Consultant						4,500

Total Other than Personal Service 22,485

Total Base Budget 414,683



1990-91 Indirect Cost Recovery Budget

05/29/90

Research Center Support (9308,9309,9313)

Salaries and Wages

*Daryl Morris - Valhalla*  
*12/2/90*

Position	Center	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
/1 Administrative Assistant	ASRC	N08	0.55	10,564		10,564	2,747
/2 Senior Stenographer	Biology	009		0		4,500	1,170
/3 Secretary III	Hindelang	N06	0.50	18,300		18,300	4,758

*12/2/90*  
*Barla*

Total			1.05	28,864	0	33,364	8,675
Temporary Service				0		0	0

Total Salaries & Wages 42,039

Other Than Personal Service

- Supplies
- Travel
- General
- Equipment

Total Other than Personal Service 0

Total Base Budget 42,039

- /1 Position funded for value of .55 FTE.
- /2 Position funded for dollar amount of \$4,500 which remains constant.
- /3 Position funded for value of .5 FTE.

Office of Laboratory Animal Services (9321)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Laboratory Animal Caretaker	005	0.50	8,320		8,320	2,163
Research Aide	S01	0.40	4,992		4,992	1,298
Research Project Assistant	SE2	0.50	7,280		7,280	1,893
* Subtotal Actual Commitments		1.40			20,592	
FTE and dollars to establish funding consistent with 1989-90 Budget.		1.10			17,303	4,499
Total		2.50	20,592	0	37,895	9,853
Temporary Service					0	0
Total Salaries & Wages						47,748
Other Than Personal Service						
Supplies						750
Travel						1,500
General						2,950
Equipment						2,000
Consultant (Veterinarian)						26,000
Total Other than Personal Service						33,200
Total Base Budget						80,948

\* Actual commitments 1.4 FTE, \$20,592.  
 1989-90 Base Budget 2.5 FTE, Laboratory Animal Caretakers, \$37,895.

Office of Laboratory Animal Services (9321)

Salaries and Wages  
-----

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Laboratory Animal Caretaker	005	0.50	8,320		8,320	2,163
Research Aide	S01	0.40	4,992		4,992	1,298
Research Project Assistant	SE2	0.50	7,280		7,280	1,893
*		1.10			17,303	4,499
Total		2.50	20,592	0	37,895	9,853
Temporary Service					0	0
Total Salaries & Wages						47,748
-----						
Other Than Personal Service						
-----						
Supplies						750
Travel						1,500
General						2,950
Equipment						2,000
Consultant (Veterinarian)						26,000
Total Other than Personal Service						33,200
-----						
Total Base Budget						80,948
=====						

\* 1989-90 Base Budget 2.5 FTE, Laboratory Animal Caretakers, \$37,895.  
Actual 1.4 FTE, \$20,592.

Development and Incentive Support (9360)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Senior Typist	007	1.00	0		12,500	3,250
						0
						0
						0

Total		1.00	0	0	12,500	3,250
Temporary Service					0	0

Total Salaries & Wages 15,750

Other Than Personal Service

Scholarly Journals						25,000
Industrial Linkages						9,500
Distinguished Lecture Series						1,000
Development Meetings						2,000
General Support						6,499

Total Other than Personal Service 43,999

Total Base Budget 59,749

1990-91 Indirect Cost Recovery Budget

Research Development and Incentive	130,000
University Awards Program	150,000
Research Equipment Challenge Grant Program	100,000

Affirmative Action (9323)

Salaries and Wages

Position	Grade	FTE	Current Salary	1990-91 Increase	1990-91 Budget	Fringe Benefits
Secretary I	N03	1.00	14,042		14,042	3,651
Total		1.00	14,042	0	14,042	3,651
Temporary Service					0	0
Total Salaries & Wages						17,693
Total Base Budget						17,693

1990-91 Indirect Cost Recovery Budget

Estimated Reserve for Salary Increases  
(7.2% Salaries)

-----	
Salaries & Wages	90,443
Fringe Benefits	23,515
	-----
Total	113,958

## Base Budget

Acct #	Account	Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total
9305	Accounting	250,429	65,112	10,108	3,337	328,986
9307	Controller	57,851	15,041	2,620	564	76,076
9310	Safety	85,368	22,196	22,157	3,440	133,161
9318	Personnel	182,526	47,457	3,190	2,750	235,923
9319	Purchasing	203,413	52,888	8,859	0	265,160
9320	Equipment Management	17,709	4,604	191	820	23,324
9322	Plant Department	63,956	16,629	0	0	80,585
9324	Thunderstorm Research	0	0	0	0	0
9306	Office for Research	311,268	80,930	18,485	4,000	414,683
	Research Center Support (9308/9309/9313)	33,364	8,675	0	0	42,039
9321	Lab Animal Services	37,895	9,853	31,200	2,000	80,948
9360	Incentive/Development Support	12,500	3,250	43,999	0	59,749
9700	Development and Incentive	0	0	130,000	0	130,000
	University Awards Program	0	0	150,000	0	150,000
	Research Equipment Challenge Grant	0	0	0	100,000	100,000
9323	Affirmative Action	14,042	3,651	0	0	17,693
	Salary Increase Pool	90,443	23,515	0	0	113,958
	TOTAL	1,360,764	353,801	420,809	116,911	2,252,285



**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

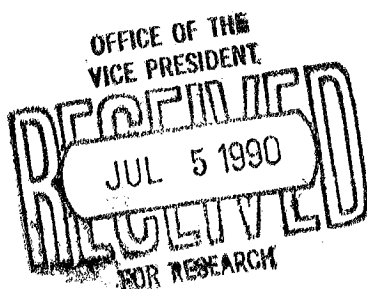
To: Jeanne Gullahorn  
From: Frank J. DiSanto *FJD*  
Subj.: OR-5 "Over-the-Target" Allocation  
Date: 5 July, 1990

Administration 218  
Albany, New York  
12222

Attached is a copy of a memo I sent to President O'Leary in May, concerning the projections for additional overhead recoveries as a result of 1989-90 fiscal year activities. Since the final figures are now in, I thought you would be interested in the actual numbers.

Our target for this year is \$5,537,399. Actual indirect cost expenditures through the end of June were \$5,705,589 (see attached spreadsheet). The difference, or \$168,190, represents the amount of indirect costs which the Foundation will return to us as "over the target" funds (assuming SUNY wide overhead recoveries allow them to return these funds on a dollar for dollar basis). These will be sent to the President, and will be available for incentive and discretionary purposes over the next two years.

Please call if you need any other information.



UNIVERSITY AT  
ALBANY  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

To: President O'Leary  
From: Frank J. DiSanto  
Subj.: OR-5 "Over-the-Target" Allocation  
Date: 21 May, 1990

Administration 218  
Albany, New York  
12222

You were wondering this morning when the next allocation of overhead funds from the Research Foundation would take place. Let me try to give you a few more specifics about this issue.

Each July 1st, the Foundation allocates funds (termed "initial allocation"), largely to pay for administrative costs of housing sponsored research projects. At that time, they also establish a mechanism which provides for a campus to receive "over-the-target" funds at the end of the fiscal year. The later allocation is based on the average of three fiscal years (estimate of current year's activity, plus actual activity in the preceding two fiscal years) of indirect cost recoveries. If the actual recovery for the current year exceeds this average, the excess is returned to the campus as "over-the-target" funds at the end of the fiscal year. If the actual recovery is less than the average (target), the campus must make up the shortfall.

Our target for this year is \$5,537,399. Actual indirect cost expenditures through the end of April (that is, 1 July, 1989 through 30 April, 1990), are \$4,459,913. The difference, or \$1,077,486, represents the amount of indirect cost expenditures needed during May and June 1990, in order to meet our target. For comparison purposes, the total expended for last May and June was \$1,223,237. In other words, if 1990 expenditures for the next two months equal 1989 expenditures for the same period, we would exceed our target by \$145,751 (\$1,223,237 less \$1,077,486).

Hope this helps. Please call if you need any other information.

cc. Vice President Gullahorn  
Vice President Hartigan

COMPARISON OF DIRECT/INDIRECT EXPENDITURES 1988-89 VS. 1989-90

DIRECT COSTS

MONTH	JUL 88- JUNE 89	JUL 89- JUNE 90	\$ VARIATION	% VARIATION
JULY	\$3,756,081	\$3,010,797	(\$745,284)	-19.84%
AUGUST	\$2,958,732	\$3,122,715	(\$581,301)	-8.66%
SEPTEMBER	\$2,147,012	\$2,674,476	(\$53,837)	-0.61%
OCTOBER	\$1,852,748	\$2,640,562	\$733,977	6.85%
NOVEMBER	\$2,534,879	\$3,110,022	\$1,309,120	9.88%
DECEMBER	\$2,817,488	\$2,618,635	\$1,110,267	6.91%
JANUARY	\$2,386,921	\$2,618,635	\$1,341,981	7.27%
FEBRUARY	\$2,925,634	\$2,401,805	\$818,152	3.83%
MARCH	\$2,224,671	\$2,401,805	\$995,286	4.22%
APRIL	\$2,244,345	\$2,401,805	\$1,152,746	4.46%
MAY	\$2,497,170	\$2,768,495	\$1,424,071	5.79%
JUNE	\$3,578,341	\$3,914,212	\$1,759,942	6.98%
TOTAL	\$31,924,022	\$33,683,964	\$1,759,942	6.98%

DIRECT7

**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

*Mtg. Fri 7/6  
10:00 am*

*D.G.*

Office for Research  
518 442-3510

To: Kim Murray  
Office of Financial Management

From: Jeanne E. Gullahorn *J.E.G.*  
Vice President for Research

Date: 2 July, 1990

Subj.: Proposed 1990-91 Indirect Cost Recovery Base  
Budget Adjustments

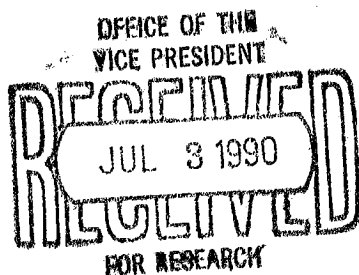
Administration 218  
Albany, New York  
12222

Attached are narrative documents supporting requests for increases to the base budget for the initial overhead allocation from the Research Foundation. In summary, they are:

1. RF Account 320-9306: "Office for Research" \$50,000
2. RF Account 320-9700 - "University Awards Program": \$12,000

Please contact Frank DiSanto if there are any questions.

cc. Frank DiSanto



**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

To: Vice President Gullahorn  
From: Frank J. DiSanto *FJD*  
Subj.: Proposed Adjustments for 1990-91 OR-5 Budget  
Date: 29 June, 1990

Administration 218  
Albany, New York  
12222

The following items are my requests for additional funds in account 320-9306 (Office for Research) OR-5 account for upcoming fiscal year 1990-91:

Salaries & Wages: \$30,000

Funds are requested to support a new professional position Sponsored Funds Associate II. The need for such a position has been apparent for several years. This position will provide assistance to faculty in connection with proposal submissions, grant and contract negotiations, and post award administration. Current and projected workloads warrant the establishment of this position. Comparisons with other institutions, both within and outside the SUNY system, yield a scenario where the current 2 FTE research administrators is woefully inadequate to perform all service functions required of these positions.

As of today, there is over \$120 million of active sponsored projects on the books. I estimate the level of booked awards for the current fiscal year, ending 30 June, 1990 will exceed \$45 million. Application submissions are up as well. Compounding the situation is an increase in federal regulations, certifications, and assurances all of which are the responsibility of the Office for Research. One of the results of this severe understaffing is that a dozen or so large, complex projects must be handled by the Director. That becomes problematic when issues arise and I am not in the office to handle them. Furthermore, it takes me away from my responsibilities as Director and Assistant Vice President.

This request is separate and distinct from decentralization. It reflects the need to properly staff a unit in order to insure faculty are served, mistakes are not made due to overwork and inability to devote ample time to projects, and to protect the institution from potential disallowances. Additionally, increased federal regulation requires closer scrutiny of proposals which often are submitted to the Office for Research for processing a day or two before the application deadline.

Current staff in this portion of the office is having to work nights and weekends in order to try to keep up with the workload. Still, there are the issues of complying with federal regulations, and giving professionals time to think about important issues in order to avoid problems with proposal submissions, audits, and legal disputes. Furthermore, there are many aspects of this work which are not being properly attended to, simply because the two people doing this work do not have the time. By adding another professional in this capacity, the assignment of academic and research units can be re evaluated, resulting in a more appropriate level of work for each individual.

Fringe Benefits: \$7,800

This represents fringe benefits at a rate of 26% of the salary requested above.

Mail & Messenger: \$3,700

This amount is needed in order to provide adequate funds for the mailing of proposals and award materials, in connection with current workloads. Last year, costs for this item exceeded budget within the Office for Research's state S&E account by the amount requested. Several causes were evident, including increases in postage rates, increased dependability on overnight service, and an increase in the number of proposal submissions.

Central Duplicating: \$7,000

As in the previous category, State allocations have not kept pace with the annual costs incurred in this category. Last fiscal year, the expenditures in this category exceeded budget by the amount requested, after excluding one time activities. This category has taken an increased portion of the Office for Research's budget in recent years. Development activities, compliance, and governance are office activities which, in addition to pre and post award grants administration responsibilities, eat into the office's Other Than Personal Service budget categories.

Supplies: \$1,500

These additional funds are requested to support the increased costs of office supplies, in connection with supporting a larger Office for Research staff.

Request for an Increase in the Funds for the  
Faculty Research Awards Program

(320-9700)

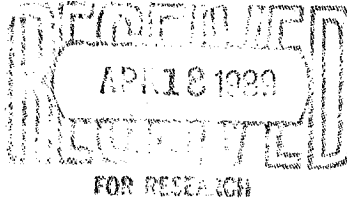
RECEIVED  
JUL 02 1990  
FOR RESEARCH

The University at Albany Faculty Research Awards Program provides modest funds in partial support of faculty research and other creative activities. These funds are regarded as catalyzing agents for stimulating research and scholarly endeavors and for seed funding projects that have potential for subsequent external support. The FRAP is similar in size and scope to the type of small research grant programs offered by most research universities, and is perceived by faculty to be a valuable research incentive.

The annual allocation for the program has remained at \$150,000 for the last four years. There has been no adjustment to reflect the establishment of the School of Public Health and the addition of new faculty appointments there and elsewhere within the University. The Division for Research requests an additional \$12,000 in allocation for the FRAP program specifically to underwrite School of Public Health participation. This sum would provide for three fully funded awards of \$4,000 each in the 1990-91 round, or more awards at a lesser rate of support. At present, the school has approximately 12 FTE faculty eligible to apply by virtue of primary appointment to the University.

UNIVERSITY AT  
ALBANY  
STATE UNIVERSITY OF NEW YORK

VICE OF THE  
VICE PRESIDENT



Office for Research  
518 442-3510

To: Peter Tenbeau  
From: Frank J. DiSanto *Frank DiSanto*  
Subj.: Indirect Cost Recovery Process  
Date: 17 April, 1989

Administration 218  
Albany, New York  
12222

Thanks for sending me a copy of the draft Research Foundation audit on this subject, along with the proposed policy revision. John Hartigan had shared the draft audit report with me already, but the movement on the new overhead recovery policy was quicker than I expected.

I'm pleased to see that the Foundation is planning on implementing this through the normal process, that is, having (at least) both SPAC and FMAC review and pass on the proposal. However, I don't think it is standard procedure to put such an important policy change into effect prior to the internal review process. As was strongly pointed out by all of the participants in our conference call last week, this will be viewed by Project Directors as a major change in the way indirect costs are claimed by the Research Foundation. I'm not convinced the RF currently has the systems in place to run this process properly. Furthermore, the impact on direct costs could be substantial. There needs to be more time devoted to planning the implementation, if indeed it is passed by the oversight committees.

Accordingly, I would like to voice my disagreement with the Foundation's putting this new policy into effect before it is formally adopted. It will discriminate against those project directors who hold grants which are managed under the Federal Demonstration project. It will, I feel, alienate faculty, and possibly provide a disincentive for submitting proposals. The impact will be substantial, and thus there is a need to fully evaluate the repercussions before claiming additional indirect costs which, in the event the rate rises, could not have been budgeted. Coupled with the unexpected rise in fringe benefits, this action will have a deleterious effect on current direct cost budgets, most of which have already been cut by 10-20%.

In light of the fact that, as you confirmed, the Foundation has no figures to substantiate that the current method for claiming indirect costs results in an under recovery, I don't see the need to rush into this new process. I hope you will reconsider.

cc. Vice President Gullahorn  
Vice president Hartigan  
Jackie DiStefano

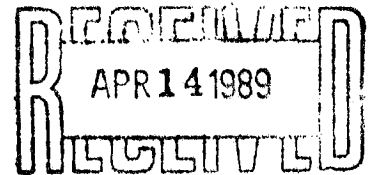




The Research Foundation of  
State University of New York  
P. O. Box 9  
Albany, New York 12201-0009

Contract and Grant Administration

OFFICE OF THE  
VICE PRESIDENT



FOR RESEARCH

April 13, 1989

M E M O R A N D U M

To: Mr. Allen  
Mr. DiSanto  
Ms. DiStefano  
Mr. Gilje  
Dr. Kaars  
Ms. Kopra  
Mr. Mabie  
Mr. Parker  
Ms. Rockett  
Dr. Schneider  
Mr. Temple

From: Mr. Tenbeau *PT*

Subj: Post Award Indirect Cost Recovery Procedure

As promised during our April 4th conference call, enclosed is a draft of a revised procedure in order to bring the post award indirect cost recovery process in line with the Foundation's mandate to maximize recovery of indirect costs.

Also, enclosed is the audit report which (as we have recognized during our FDP implementation) points out the need to bring the procedure in line with our current policy.

Before any change in the current practice is implemented, review by the appropriate RF advisory committee(s) will take place.

The approach we are recommending is to input the appropriate rate and base to the system and permit indirect costs to calculate without regard to indirect cost budget limitations. However, as Stephen Gilje points out, there is a need for you to receive advance warning of when the actual recovery is approaching the indirect cost budget so that you can discuss with the Project Director the need for a budget revision before the system begins to recover indirect costs out of direct costs. To accomplish this, we plan to revise

the current AES report to provide a projection of total indirect cost, revised as changes in direct expenditure patterns or rate changes occur. Action must be taken to actually revise the budget (via GISR for example) or the indirect cost budget will overexpend and direct cost budget will be correspondingly reduced.

In cases where there is a surplus in indirect costs, campuses will be permitted to transfer indirect costs to direct costs (via GISR) after a budget analysis is performed. Of course, transfers of awarded indirect costs can occur only if permitted by the sponsor. Therefore, the system will require that codes be applied to accounts funded by sponsors which prohibit such transfers.

Since this draft is very rough, and since its purpose is to give you a sense of our position in order for you to respond, it may be best to limit distribution of the draft.

Please send me your recommendations. We wish to accumulate all the suggestions before the proposal is discussed with our advisory groups.

In the interim, and until a revised procedure is issued, we will advise you before recovering indirect costs out of remaining direct costs prior to any carry forward. If you determine that, for some reason, all or a portion of the indirect cost due should not be recovered, a waiver request should be sent to us. On any resulting carry forward, there should be an appropriate distribution between direct and indirect costs. It is our intent to retain the requirements of the current indirect cost waiver policy for both this interim process as well as the revised procedure described above.

It seems that during our conference call there was at least some recognition that a revised procedure is necessary. Now let's try to develop one that will meet our mutual needs and requirements with as little inconvenience as possible to you and Project Directors.

Thanks.

Enclosures

cc: Mr. Buckhoff  
Mr. Hickok  
Mr. Vona  
Ms. Seward  
Administrators  
Ms. Zeigler  
Ms. Davis  
Ms. Steve

POST AWARD ADMINISTRATION OF INDIRECT COSTS -

(BRINGING THE PROCEDURE IN LINE WITH THE POLICY)

1. BACKGROUND

The agreement between State University of New York and The Research Foundation states:

"The Foundation shall attempt to obtain from sponsors the maximum possible reimbursement of indirect costs -----."

As a result of this provision, the Foundation has an indirect cost policy which deals with the establishment of indirect cost rates and the budgeting of such rates in project proposals. This policy also provides for a formal indirect cost waiver process.

While the preaward process for establishment of indirect cost rates and the budgeting of such costs in proposals is operating in accordance with the Foundation's indirect cost policy the current post award process does not. This inconsistency was recently cited by the Foundation's Internal Audit Department after a review of indirect cost recovery procedures (see enclosed). Currently the accounts established on the Foundation's books, at the time awards are made, provide a breakdown of both direct and indirect costs. In addition, the appropriate indirect cost rate and base are entered into the Foundation's computer system. As direct cost expenditures are made, indirect costs are recovered up to the amount of the indirect cost budget. At the point at which the recovery equals the indirect cost budget, no additional recovery occurs until the end of the award period. At that time, any shortfall of indirect costs are recovered if any unencumbered direct costs remain before refunds are made to the sponsor. However, if sufficient unencumbered direct costs do not remain, indirect costs due and owing are not recovered.

Underrecovery also can occur if the indirect cost rate increases during the life of the project as a result of the rate negotiation process. Since the indirect cost budget is not increased at the time of a rate change, the result is a faster recovery of indirect costs up to the budgeted amount. Collection of indirect costs due in excess of the budgeted amount again depends upon unencumbered funds remaining at the end of the project period.

Conversely, when the direct cost base upon which indirect costs are calculated decreases over the life of a project, the resulting unexpended indirect costs may be available to fund additional direct costs, provided the sponsor permits such transfers and the campus acts to rebudget the account.

Therefore, the purpose of the following procedure is to bring the post award indirect cost recovery process in line with the policy.

## 2. PROCEDURE

Upon establishment of a sponsored program account both the appropriate indirect cost rate and the base upon which such costs are calculated (whether on total direct costs, modified total direct costs, etc.) will be input to the Foundation's Grants Information System (GIS) along with the direct and indirect cost budget. As direct cost encumbrances and expenditures occur, the system will calculate indirect cost encumbrances and expenditures on a real time basis. During the life of the project should indirect cost expenditures (including encumbrances) exceed the indirect cost budget, the available direct costs will be correspondingly reduced. In the event of indirect cost rate changes, the GIS will be updated automatically at the appropriate time (providing no sponsor restriction exists). From that point, indirect costs will be calculated on the basis of the new rate.

Monthly AEA reports are available to the campus to monitor the status of indirect cost expenditures. Project Directors should be informed of the need to revise project budgets if the indirect cost budget will be exceeded. If a need to adjust the established indirect cost rate occurs, the indirect cost waiver process must be followed. In all cases, approved waivers must be documented and the coding required to identify waivers on the computer system must be input on the GIS along with changes to the direct and indirect cost budget.

Enclosure

UNIVERSITY AT  
ALBANY  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

To: Vice President Hartigan

From: Frank J. DiSanto

Subj.: Indirect Cost Recovery Process

Date: 12 April, 1989

Administration 218  
Albany, New York  
12222

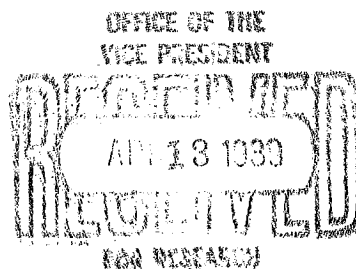
Thanks for sending me a copy of the internal Research Foundation audit on this subject. More important than the content of the audit is the implication in John Buckhoff's memo to you and Linwood Lee, alluding to the RF's intent to change their current policy on the way indirect costs are claimed.

Contrary to the casual tone of John's memo, this proposal has serious implications to our research faculty. It will result in a major policy change concerning the way the RF claims indirect costs on expenditures. It will discriminate against those project directors who hold grants which are managed under the Federal Demonstration project. It will, I feel, alienate faculty, and possibly provide a disincentive for submitting proposals.

Jackie and I participated recently in a conference call between the Research Foundation and about eight major campuses. When this proposal was raised by Peter Tenbeau, it was unanimously discouraged by all campus representatives. It would put us all in a situation of having to submit a formal waiver of indirect costs (either to President O'Leary or to Chancellor Johnstone) each time a grant or contract could not absorb the increased indirect costs assessed. Furthermore, the Foundation admitted it had no figures to substantiate that the current method for claiming indirect costs results in an under recovery.

There are many other issues. Suffice it too say, at this point, be wary of this proposal. It should be thoroughly reviewed and scrutinized by represented campus groups in order to properly air all concerns.

cc. Vice President Gullahorn





The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

cc  
Never  
Handwritten  
for file ✓

April 5, 1989

MEMORANDUM

TO: Dr. Linwood Lee  
Chair - SPAC

Mr. John Hartigan  
Chair - FMAC

FROM: John F. Buckhoff, Jr. *JFB*

SUBJECT: The Indirect Cost Recovery Process

I had assumed all these years that as a dollar was expended on any given project, indirect cost was automatically drawn down at the rate established for the project. Such is not necessarily the case, I now find.

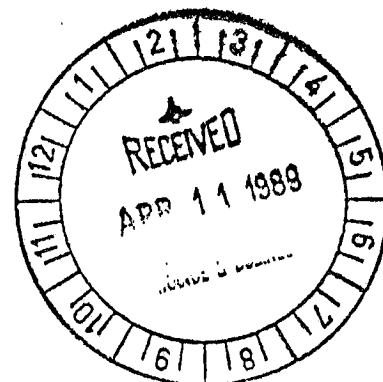
Enclosed is a recent internal audit. Pertinent also is the recent condition provided under the Federal Demonstration Project which allows roll-over of all unexpended project funds from one year to the next which raises issues concerning the present system.

It would seem that all involved, principal investigators, project directors, campus administrations and the corporate entity would benefit by simplification of the present disjointed process. We are presently looking at an option or two.

Once developed, the proposal will benefit from critique and input from your two advisory groups. I will send them on to you when drafted and perhaps we can then arrange appropriate review and discussion.

Enclosure

cc: Mr. Hickok  
Mr. Tenbeau  
Mr. Shinnars



THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK

INTERNAL AUDIT DEPARTMENT

REVIEW OF INDIRECT COST  
FOR THE OFFICE OF CONTRACT AND GRANT ADMINISTRATION

FOR THE PERIOD OF JANUARY 1, 1988 - OCTOBER 31, 1988

TO

Peter Tenbeau

Distribution:

John F. Buckhoff, Jr. - Executive Vice President  
Stanley Hickok - Secretary/Treasurer  
John Baran - Partner, Ernst & Whinney  
Leonard W. Vona - Director, Audit and Administrative Systems

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## Executive Summary

Overall, indirect cost (I/C) rates and indirect cost expenditures were properly recorded on Research Foundation accounts. However, our review indicated indirect cost recovery procedures should be strengthened on "federal flow through" funded accounts and on some federal grants. In addition, current OCGA practices for indirect cost recovery should be formalized and approved by management. Otherwise, we noted that indirect cost recovery procedures were in place and operating in accordance with Research Foundation policies and procedures.

### Purpose/Objective

The purpose of our review was to:

1. Determine that appropriate indirect cost rates were applied to Research Foundation accounts in accordance with sponsor guidelines and Research Foundation policy/procedures.
2. Determine that indirect cost expenditures were properly calculated.

### Scope

We randomly selected 31 accounts between January 1, 1988 through October 31, 1988 for detailed examination.

## Observations/Recommendations

The observations and recommendations presented should in no way reflect upon the honesty or integrity of any Research Foundation (RF) employee. However, in our opinion, the implementation of these recommendations would strengthen internal controls.

### 1. Indirect Cost Recovery

Current OCGA administrative practices for indirect cost recovery are not consistent with the indirect cost policy statement. The policy statement as written indicates:

"The Research Foundation, therefore, has a mandate from the University to obtain the 'Maximum possible reimbursement' of indirect costs to the University...."

#### Background

However, our review indicated that five Federally funded contracts were not adjusted for the increase in the predetermined indirect cost rates, as follows:

<u>Account</u>	<u>I/C Budget</u>	<u>I/C Expenditures Claimed/Recovered</u>	<u>**Actual I/C Expenditures</u>	<u>Potential Loss On I/C</u>
320-6357A*	\$92,270	\$92,270	\$109,822	(\$17,552)
320-6495A	2,273	2,224	2,295	( 71)***
150-6494B	13,429	13,429	15,211	( 1,782)***
320-6434A	17,640	17,640	21,101	( 3,461)***
431-6504A	22,985	22,985	24,474	( 1,489)***

\* Account is still active.

\*\* I/C expenditures computed with the appropriate predetermined rates.

\*\*\* I/C recovered up to the total allowable I/C budget.

In reviewing the contract for account 320-6357A, we noted that the contract was for a five year period. In addition, an inflation factor was incorporated into the contract. Therefore, in our opinion, additional indirect cost may have been recoverable had the rate been adjusted. In the remaining accounts, the indirect cost expenditures were recovered up to the total allowable indirect cost budget. While additional funds may not have been recoverable, had the rate been adjusted, the indirect cost could have been recovered at a faster rate.

### OCGA Practices

Through discussions with OCGA Management, we learned that the following practices are generally followed:

1. OCGA is authorized to increase the budgeted indirect cost by transferring funds from direct costs to cover the increases. However, in the past, OCGA has taken the position that such transfers are not in the best interests of the project and have decided not to reduce direct costs once they have been awarded by the sponsor. However, on termination of the project unencumbered direct costs are transferred to the indirect cost category to cover any shortages in recovery.
2. OCGA has routinely requested additional funds from Federal sponsors, but we were never successful in receiving reimbursement. The reason is that Federal sponsors operate under budgetary constraints and they use all their available funds to make as many awards as possible. It would not be cost effective to simply send out a request on each account, where under-recovery occurs, knowing that sponsors will decline such requests.

### Audit Conclusion

While the reasons cited by OCGA appear to be sound business decisions, the noted procedures appear to be inconsistent with the overall philosophy of "Maximum possible recovery."

### RECOMMENDATION

We suggest:

- A. We suggest that OCGA formalize into a written document the various administrative practices for recovery of indirect costs. The practices should then be reviewed and approved by the appropriate central office management.
- B. OCGA management should strengthen the review process of indirect cost on "federal flow through" funded accounts to:
  - ensure the appropriate indirect cost rate(s) are applied to the account.
  - ensure that sufficient indirect cost budget is available through the life of the project.
- C. Since account 320-6357A is still active, OCGA should attempt to recover additional indirect cost funds.

Management Response

- We will plan to formalize our administrative practices for the maximum possible recovery of indirect cost.
- Adjustments of the rates should occur in a timely fashion after we are notified of rate changes. These changes do not necessarily permit us to collect more indirect cost than we have budgeted but will permit us to recover such costs more quickly when there are rate increases.
- As to the requesting of additional funds from sponsors, we have had no success with these actions in the past. Sponsors refuse our requests by indicating that no funds are available to increase the indirect costs originally awarded.

2. Indirect Cost Procedures

Discussions with OCGA personnel indicated that OCGA does not have a procedure to adjust for the increase in the indirect cost rate on some federal grants (i.e., NASA, NSF, etc.). Currently, the indirect cost expenditures are adjusted for the changes in the indirect cost rate(s) at the termination of the grant. In our opinion, to improve the rate of indirect cost recovery the grant should be adjusted at the time the rates are published.

RECOMMENDATION

We suggest OCGA management establish a procedure to improve the rate of indirect cost recovery on federal grants.

Management Response

We will be examining our indirect cost recovery policy for federal grants and contracts as a result of the FDP and the audit comments made concerning the need for a formal procedure are appropriate.

\*\*\*\*\*

We appreciate the assistance and cooperation extended to us by Mr. Peter Tenbeau and his staff during the course of our review.

**UNIVERSITY AT**  
**ALBANY**  
 STATE UNIVERSITY OF NEW YORK

Albany, New York  
 12222

June 27, 1988

M E M O R A N D U M

TO: Leo Neveu  
 FROM: Jackie DiStefano *Jackie*  
 SUBJECT: 1988-89 Indirect Cost Proposal

I have reviewed the current indirect proposal. My review consisted of comparing this year's step down to the previous year computation, primarily for consistency in the overall methodology and to identify any unusual trends.

The proposed on-campus research rate compared with the previous year is as follows.

	1988-89 <u>Proposed Rates</u>	1987-88 <u>Negotiated</u>	Rates <u>Proposed</u>	Change in <u>Proposed Rates</u>
Use Allowance	5.0	5.2	5.2	(.2)
Maintenance & Operation	14.9	13.9	13.9	1.0
Library	1.5	1.5	1.5	-
Central Services	.2	.2	.2	-
Gen. Adm. & Gen. Expense	10.0	10.6	10.6	(.6)
Sponsored Funds Adm.	11.2	10.7	10.7	.5
Departmental Adm.	<u>11.5</u>	<u>10.0</u>	<u>12.0</u>	<u>(.5)</u>
	<u>54.3</u>	<u>52.1</u>	<u>54.1</u>	<u>.2</u>

The results of my review are:

- the methodology was consistent with previous years;
- the increase in the M&O component is primarily attributable to increased cost of utilities;
- the increase in SFA component is due primarily to increased costs from the RF Central Office;
- the decrease in GA & GE was a combination of several items - moderate cost increases in the cost with a corresponding increase in the base, combined with a decrease in the amount allocated to the research pool has resulted in a decrease in the rate.

All of these items and the "negotiating posture" mentioned in John Buckhoff's May 16, 1988 letter were discussed with Frank DiSanto. We agreed that there was no need for a meeting to discuss the proposal and that the Research Foundation's planned negotiating tact was appropriate.

cc: F. DiSanto ✓  
 J. Van Voorst

**UNIVERSITY AT**  
**ALBANY**  
 STATE UNIVERSITY OF NEW YORK

Albany, New York  
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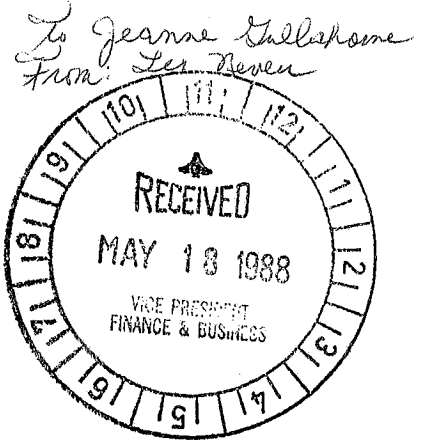
cc: F. DiSanto ✓  
 J. Van Voorst



The Research Foundation of  
State University of New York  
P. O. Box 9  
Albany, New York 12201-0009

Office of the Secretary-Treasurer

518-434-7052



*5/18*  
*Les*  
*Can we*  
*wrap up*  
*a campus*  
*response*  
*working with*  
*Frank?*

May 16, 1988

Mr. John Hartigan, Jr.  
Vice President for Finance  
and Business  
SUNY at Albany  
1400 Washington Avenue  
Albany, New York 12222

Dear Mr. Hartigan:

Enclosed is a copy of the 1986-87 Indirect cost Proposal for your campus. This document will provide the basis for establishing rates applicable to the 1988-89 fiscal year.

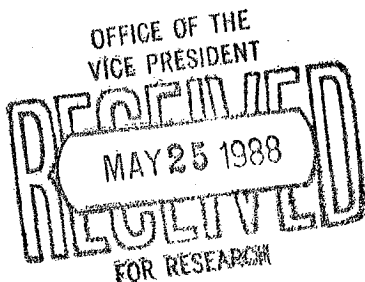
If you have any questions or would like to discuss specific aspects of this document, please let me know.

Since we expect a prompt negotiation of these rates with the Department of Health and Human Services, your response would be appreciated as soon as possible.

Sincerely,

*John Beaudoin*  
John Beaudoin  
Associate Director  
Indirect Cost

Enclosure





INDIRECT COST PROPOSAL  
STATE UNIVERSITY OF NEW YORK  
ALBANY  
FISCAL YEAR 1987

INDIRECT COST PROPOSAL  
STATE UNIVERSITY OF NEW YORK  
ALBANY  
FISCAL YEAR 1987

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SUNY at Albany  
 Computation of Indirect Cost Rate  
 Fiscal Year 1987

Exhibit A

	Total		On-Campus		Off-Campus	
	Ind Costs	Rate	Ind Costs	Rate	Ind Costs	Rate
<u>Sponsored Research</u>						
Use Allowance	338,142		338,142	5.0		
Maintenance & Operation	1,007,756		1,007,756	14.9		
Library	97,210		97,210	1.5		
Central Services	15,426		10,655	0.2	4,771	0.2
Gen Admin & Gen Expense	977,634		675,253	10.0	302,381	10.0
Sponsored Funds Administration	1,098,759		758,914	11.2	339,845	11.2
Departmental Administration	1,132,082		781,930	11.5	350,152	11.5
	<u>4,667,010</u>		<u>3,669,860</u>	<u>54.3</u>	<u>997,150</u>	<u>32.9</u>
 Modified Total Direct Cost Base	 <u>9,785,270</u>		 <u>6,758,695</u>		 <u>3,026,575</u>	
 <u>Sponsored Instruction &amp; Training</u>						
Use Allowance	78,823		78,823	1.9		
Maintenance & Operation	362,572		362,572	8.9		
Library	57,542		57,542	1.4		
Central Services	6,246		3,510	0.1	2,736	0.1
Gen Admin & Gen Expense	724,349		407,022	10.0	317,327	10.0
Sponsored Funds Administration	814,094		457,451	11.2	356,642	11.2
Departmental Administration	731,761		411,187	10.1	320,574	10.1
Student Services	107,187		60,230	1.5	46,957	1.5
	<u>2,882,575</u>		<u>1,838,339</u>	<u>45.1</u>	<u>1,044,236</u>	<u>32.9</u>
 Modified Total Direct Cost Base	 <u>7,250,109</u>		 <u>4,073,943</u>		 <u>3,176,166</u>	

SUNY at Albany  
Distribution of Indirect Costs  
Fiscal Year 1987

Exhibit B

Ref	Title	Total Costs	Central Services	Use Allowance	M & O	Gen Admin Gen Exp	Spons Fund Admin	Library	Deptl Admin	Student Services
Exhb C	Total Cost Column 5	134,147,575	765,526	3,147,922	13,112,772	9,168,237	1,935,885	6,076,016	887,979	5,827,558
Sch B-1	Central Services		(765,526)		90,067	49,106	0	41,734	6,099	40,028
Sch B-2	Use Allowance			(3,147,922)		553,607	7,546	324,192	65,340	121,134
Sch B-3	Maintenance & Operation				(13,202,839)	885,533	24,221	1,927,484	260,259	575,879
Sch B-4	Gen Admin & Gen Expense					(10,656,484)	64,438	607,047	88,717	582,224
Sch B-5	Spons Funds Administration						(2,032,090)			
Sch B-6	Library							(8,976,473)		
Sch B-7	Departmental Administration								(1,308,394)	
Sch B-8	Student Services									(7,146,822)
	Total	134,147,574	0	0	0	0	0	0	0	0

Ref	Title	I & D R	Sponsored Research	Sponsored Inst & Trng	Other Spon Programs	Other Instl Activ
Exhb C	Total Cost Column 5	57,765,950	9,785,270	7,250,109	758,421	17,665,930
Sch B-1	Central Services	396,775	15,426	6,246	786	119,257
Sch B-2	Use Allowance	1,246,048	338,142	78,823	14,980	398,107
Sch B-3	Maintenance & Operation	5,770,357	1,007,756	362,572	65,627	2,323,152
Sch B-4	Gen Admin & Gen Expense	5,771,322	977,634	724,349	75,773	1,764,980
Sch B-5	Spons Funds Administration		1,098,759	814,094	85,161	34,077
Sch B-6	Library	8,556,616	97,210	57,542	8,697	256,407
Sch B-7	Departmental Administration Dept Heads & Faculty (3.6% of MTDC base)	88 (640,577)	779,812 352,270	470,757 261,004	57,738 27,303	
Sch B-8	Student Services	7,039,635		107,187		
	Total	85,906,213	14,452,280	10,132,684	1,094,486	22,561,910
	Less: Direct Cost Spons Progs		(9,785,270)	(7,250,109)		
	Indirect Costs - Exhibit A		4,667,010	2,882,575		

SUNY at Albany  
Distribution of Central Services  
Fiscal Year 1987

Schedule B-1

Function	Total (1) Cost	%	Central Services
Maintenance & Operation	13,112,772	11.8	90,067
Gen Admin & Gen Expense	7,149,335	6.4	49,106
Sponsored Funds Administration	0	0.0	0
Library	6,076,016	5.5	41,734
Departmental Administration	887,979	0.8	6,099
Student Services	5,827,558	5.2	40,028
Instruction & Deptl Research	57,765,950	51.8	396,775
Sponsored Research	2,245,870	2.0	15,426
Sponsored Instruction & Training	909,379	0.8	6,246
Other Sponsored Programs	114,481	0.1	786
Other Institutional Activities	17,362,453	15.6	119,257
<b>Total</b>	<b>111,451,793</b>	<b>100.0</b>	<b>765,526</b>

(1) From Exhibit B and amended to reflect only state funded activities:

Gen Admin & Gen Expense	9,168,237	
Research Foundation Admin	(382,912)	
University-Wide Admin	(1,635,990)	
<b>Total</b>	<b>7,149,335</b>	
Sponsored Funds Administration:		
Reclassified Gen Admin & Gen Exp		
Income Fund Offset		
<b>Total</b>	<b>0</b>	
Sponsored Research:		
Cost Sharing	1,522,223	
Income Fund Offset	723,647	
<b>Total</b>	<b>2,245,870</b>	
Sponsored Instruction & Training:		
Cost Sharing	437,004	
Income Fund Offset	472,375	
<b>Total</b>	<b>909,379</b>	
Other Sponsored Programs:		
Cost Sharing	12,670	
Income Fund Offset	101,811	
<b>Total</b>	<b>114,481</b>	
Other Institutional Activities	17,665,930	
Research Fdn Funded Programs	(303,477)	
<b>Total</b>	<b>17,362,453</b>	

SUNY at Albany  
Distribution of Use Allowance  
Fiscal Year 1987

Schedule B-2

Building	Total Use Allow	Gen Admin Gen Exp	Spons Fund Admin	Library	Deptl Admin	Student Services	I & D R	Sponsored Research	Sponsored Inst & Trng	Other Spon Programs	Other Instl Activ
Administration	123,506	69,731	7,377	0	0	35,861	4,994	501	326	267	4,449
Air Structure	6,646	0	0	0	0	0	6,646	0	0	0	0
Alumni House	1,934	0	0	0	0	0	0	0	0	0	1,934
Biology	193,021	0	0	0	7,198	0	105,680	72,297	5,684	2,163	0
Business	145,840	25,075	0	0	916	11,152	106,924	443	1,033	298	0
Campus Center	115,337	152	0	0	0	24,649	0	0	7	0	90,529
Chemistry	210,291	4,416	0	0	6,889	0	129,521	64,619	194	3,318	1,335
Commissary	13,724	0	0	0	0	0	0	0	0	0	13,724
Computing Center	227,063	227,063	0	0	0	0	0	0	0	0	0
Draper	89,264	15,641	0	1,721	2,299	0	41,176	7,906	14,695	921	4,905
Earth Sciences	173,317	0	0	0	9,149	0	124,394	33,284	50	0	6,441
Education	68,500	2,707	0	0	8,169	0	51,452	2,063	3,208	514	387
Fine Arts	75,972	1,820	0	0	0	0	51,306	0	10,322	349	12,175
Hawley	26,150	0	0	26,150	0	0	0	0	0	0	0
Humanities	54,126	0	0	0	203	0	49,868	2,442	969	36	608
Husted	20,911	0	0	856	0	0	1,008	486	3,212	792	14,556
Infirmary	37,284	177	0	0	0	37,107	0	0	0	0	0
Lecture Center	326,921	14,454	0	1,933	473	1,049	187,339	2,501	4,702	610	113,860
Library	327,125	5,027	0	290,078	2,754	4,367	15,957	1,529	739	0	6,673
Linear Accelerator Lab	131,927	0	0	0	0	0	25,161	103,628	3,139	0	0
Milne	22,862	130	0	2,452	1,455	0	11,755	2,116	1,515	0	3,439
Page	13,328	0	0	0	0	5,721	0	0	0	0	7,606
Performing Arts Center	149,662	0	0	0	0	0	63,484	0	719	0	85,460
Physical Education	31,292	0	0	0	0	0	31,292	0	0	0	0
Physics	124,384	0	0	0	5,172	0	95,312	17,078	150	3,815	2,858
Public Safety	7,574	0	0	0	0	0	0	0	0	0	7,574
Richardson	60,738	659	0	0	12,071	0	22,835	416	23,841	726	189
Service Building	159,820	159,820	0	0	0	0	0	0	0	0	0
Social Science	146,227	16,924	0	0	8,248	0	105,538	11,319	2,950	466	781
Warehouse	7,360	7,360	0	0	0	0	0	0	0	0	0
Whiteface Mtn Weather Sta	7,084	0	0	0	0	0	0	5,816	0	0	1,268
Atmos Sci Res Ctr	11,818	0	0	0	122	0	0	6,626	0	522	4,548
Atmos Sci Res Ctr Annex	368	0	0	0	0	0	0	206	28	14	120
Presidents Residence	788	788	0	0	0	0	0	0	0	0	0
Sculpture Studio	923	0	0	0	0	0	923	0	0	0	0
Stress & Anxiety Clinic	7,029	0	0	0	0	0	0	0	0	0	7,029
Whiteface Mtn Annex	0	0	0	0	0	0	0	0	0	0	0
Whiteface Mtn Lodge	2,464	0	0	0	0	0	0	550	0	0	1,914
<b>Sub Total</b>	<b>3,122,584</b>	<b>551,946</b>	<b>7,377</b>	<b>323,191</b>	<b>65,118</b>	<b>119,906</b>	<b>1,232,565</b>	<b>335,824</b>	<b>77,481</b>	<b>14,811</b>	<b>394,363</b>
Grounds	25,337	1,661	169	1,001	222	1,228	13,483	2,318	1,342	169	3,744
<b>Grand Total</b>	<b>3,147,921</b>	<b>553,607</b>	<b>7,546</b>	<b>324,192</b>	<b>65,340</b>	<b>121,134</b>	<b>1,246,048</b>	<b>338,142</b>	<b>78,823</b>	<b>14,980</b>	<b>398,107</b>

SUNY at Albany  
Distribution of Building Use Allowance  
Fiscal Year 1987

Schedule B-2

Building	Building Use Allow	Gen Admin Gen Exp	Spons Fund Admin	Library	Deptl Admin	Student Services	I & D R	Sponsored Research	Sponsored Inst & Trng	Other Spon Programs	Other Instl Activ
Administration	72,177	40,750	4,311	0	0	20,957	2,919	293	191	156	2,600
Air Structure	6,241	0	0	0	0	0	6,241	0	0	0	0
Alumni House	180	0	0	0	0	0	0	0	0	0	180
Biology	83,947	0	0	0	3,130	0	45,961	31,443	2,472	941	0
Business	96,801	16,644	0	0	608	7,402	70,971	294	685	198	0
Campus Center	106,811	141	0	0	0	22,827	0	0	6	0	83,837
Chemistry	69,629	1,462	0	0	2,281	0	42,886	21,396	64	1,098	442
Commissary	13,596	0	0	0	0	0	0	0	0	0	13,596
Computing Center	23,523	23,523	0	0	0	0	0	0	0	0	0
Draper	63,417	11,112	0	1,223	1,633	0	29,253	5,617	10,440	655	3,485
Earth Sciences	84,965	0	0	0	4,485	0	60,982	16,317	24	0	3,157
Education	42,016	1,661	0	0	5,010	0	31,559	1,266	1,968	315	238
Fine Arts	58,339	1,398	0	0	0	0	39,398	0	7,926	268	9,349
Hawley	17,964	0	0	17,964	0	0	0	0	0	0	0
Humanities	43,725	0	0	0	164	0	40,285	1,973	783	29	491
Husted	14,752	0	0	604	0	0	711	343	2,266	559	10,269
Infirmary	30,410	144	0	0	0	30,265	0	0	0	0	0
Lecture Center	214,042	9,464	0	1,266	309	687	122,655	1,637	3,079	399	74,546
Library	190,377	2,926	0	168,817	1,603	2,541	9,286	890	430	0	3,884
Linear Accelerator Lab	26,294	0	0	0	0	0	5,015	20,654	626	0	0
Milne	15,743	90	0	1,688	1,002	0	8,095	1,457	1,043	0	2,368
Page	11,899	0	0	0	0	5,108	0	0	0	0	6,791
Performing Arts Center	108,356	0	0	0	0	0	45,963	0	520	0	61,873
Physical Education	11,272	0	0	0	0	0	11,272	0	0	0	0
Physics	41,898	0	0	0	1,742	0	32,105	5,752	51	1,285	963
Public Safety	114	0	0	0	0	0	0	0	0	0	114
Richardson	53,332	579	0	0	10,599	0	20,050	366	20,934	638	166
Service Building	41,477	41,477	0	0	0	0	0	0	0	0	0
Social Science	94,299	10,914	0	0	5,319	0	68,059	7,300	1,903	301	504
Warehouse	581	581	0	0	0	0	0	0	0	0	0
Whiteface Mtn Weather Sta	3,800	0	0	0	0	0	0	3,120	0	0	680
Atmos Sci Res Ctr	0	0	0	0	0	0	0	0	0	0	0
Atmos Sci Res Ctr Annex	0	0	0	0	0	0	0	0	0	0	0
Presidents Residence	0	0	0	0	0	0	0	0	0	0	0
Sculpture Studio	0	0	0	0	0	0	0	0	0	0	0
Stress & Anxiety Clinic	0	0	0	0	0	0	0	0	0	0	0
Whiteface Mtn Annex	0	0	0	0	0	0	0	0	0	0	0
Whiteface Mtn Lodge	0	0	0	0	0	0	0	0	0	0	0
<b>Sub Total</b>	<b>1,641,977</b>	<b>162,865</b>	<b>4,311</b>	<b>191,562</b>	<b>37,887</b>	<b>89,788</b>	<b>693,665</b>	<b>120,115</b>	<b>55,410</b>	<b>6,841</b>	<b>279,533</b>
<b>Grounds</b>	<b>25,337</b>	<b>1,661</b>	<b>169</b>	<b>1,001</b>	<b>222</b>	<b>1,228</b>	<b>13,483</b>	<b>2,318</b>	<b>1,342</b>	<b>169</b>	<b>3,744</b>
<b>Grand Total</b>	<b>1,667,314</b>	<b>164,526</b>	<b>4,480</b>	<b>192,563</b>	<b>38,109</b>	<b>91,016</b>	<b>707,148</b>	<b>122,433</b>	<b>56,752</b>	<b>7,010</b>	<b>283,277</b>

SUNY at Albany  
Distribution of Equipment Use Allowance  
Fiscal Year 1987

Schedule B-2

Building	Equipment Use Allow	Gen Admin Gen Exp	Spons Fund Admin	Library	Deptl Admin	Student Services	I & D R	Sponsored Research	Sponsored Inst & Trng	Other Spon Programs	Other Instl Activ
Administration	51,330	28,980	3,066	0	0	14,904	2,076	208	136	111	1,849
Air Structure	406	0	0	0	0	0	406	0	0	0	0
Alumni House	1,754	0	0	0	0	0	0	0	0	0	1,754
Biology	109,075	0	0	0	4,067	0	59,719	40,854	3,212	1,222	0
Business	49,039	8,432	0	0	308	3,750	35,953	149	347	100	0
Campus Center	8,526	11	0	0	0	1,822	0	0	1	0	6,692
Chemistry	140,661	2,954	0	0	4,608	0	86,636	43,223	129	2,219	893
Commissary	128	0	0	0	0	0	0	0	0	0	128
Computing Center	203,540	203,540	0	0	0	0	0	0	0	0	0
Draper	25,848	4,529	0	498	666	0	11,923	2,289	4,255	267	1,420
Earth Sciences	88,352	0	0	0	4,664	0	63,413	16,967	25	0	3,283
Education	26,484	1,047	0	0	3,158	0	19,892	798	1,240	199	150
Fine Arts	17,633	423	0	0	0	0	11,908	0	2,396	81	2,826
Hawley	8,186	0	0	8,186	0	0	0	0	0	0	0
Humanities	10,401	0	0	0	39	0	9,583	469	186	7	117
Husted	6,159	0	0	252	0	0	297	143	946	233	4,287
Infirmary	6,874	33	0	0	0	6,842	0	0	0	0	0
Lecture Center	112,879	4,991	0	668	163	362	64,684	863	1,624	211	39,313
Library	136,748	2,102	0	121,261	1,151	1,825	6,670	639	309	0	2,790
Linear Accelerator Lab	105,633	0	0	0	0	0	20,146	82,974	2,513	0	0
Milne	7,119	41	0	763	453	0	3,660	659	472	0	1,071
Page	1,429	0	0	0	0	613	0	0	0	0	815
Performing Arts Center	41,306	0	0	0	0	0	17,521	0	198	0	23,587
Physical Education	20,020	0	0	0	0	0	20,020	0	0	0	0
Physics	82,487	0	0	0	3,430	0	63,207	11,325	99	2,530	1,895
Public Safety	7,460	0	0	0	0	0	0	0	0	0	7,460
Richardson	7,406	80	0	0	1,472	0	2,784	51	2,907	89	23
Service Building	118,343	118,343	0	0	0	0	0	0	0	0	0
Social Science	51,929	6,010	0	0	2,929	0	37,479	4,020	1,048	166	277
Warehouse	6,779	6,779	0	0	0	0	0	0	0	0	0
Whiteface Mtn Weather Sta	3,284	0	0	0	0	0	0	2,696	0	0	588
Atmos Sci Res Ctr	11,818	0	0	0	122	0	0	6,626	0	522	4,548
Atmos Sci Res Ctr Annex	368	0	0	0	0	0	0	206	28	14	120
Presidents Residence	788	788	0	0	0	0	0	0	0	0	0
Sculpture Studio	923	0	0	0	0	0	923	0	0	0	0
Stress & Anxiety Clinic	7,029	0	0	0	0	0	0	0	0	0	7,029
Whiteface Mtn Annex	0	0	0	0	0	0	0	0	0	0	0
Whiteface Mtn Lodge	2,464	0	0	0	0	0	0	550	0	0	1,914
Sub Total	1,480,607	389,082	3,066	131,628	27,231	30,118	538,900	215,710	22,072	7,970	114,830
Grounds	0										
Grand Total	1,480,607	389,082	3,066	131,628	27,231	30,118	538,900	215,710	22,072	7,970	114,830



SUNY at Albany  
 Distribution of Maintenance & Operation Costs  
 Fiscal Year 1987

Schedule B-3

<u>Function</u>	<u>Square Footage</u>	<u>%</u>	<u>Total Costs</u>
Gen Admin & Gen Expense	91,000	6.7	885,533
Sponsored Funds Administration	2,489	0.2	24,221
Library	198,074	14.6	1,927,484
Departmental Administration	26,745	2.0	260,259
Student Services	59,179	4.4	575,879
Instruction & Deptl Research	592,979	43.7	5,770,357
Sponsored Research	103,560	7.6	1,007,756
Sponsored Instruction & Training	37,259	2.7	362,572
Other Sponsored Programs	6,744	0.5	65,627
Other Institutional Activities	238,734	17.6	2,323,152
Total	<u>1,356,763</u>	<u>100.0</u>	<u>13,202,839</u>

SUNY at Albany  
 Distribution of Gen Admin & Gen Expense  
 Fiscal Year 1987

Schedule B-4

<u>Function</u>	<u>Total (1) Cost</u>	<u>%</u>	<u>Gen Admin Gen Exp</u>
Sponsored Funds Administration	644,972	0.6	64,438
Library	6,076,016	5.7	607,047
Departmental Administration	887,979	0.8	88,717
Student Services	5,827,558	5.5	582,224
Instruction & Deptl Research	57,765,950	54.2	5,771,322
Sponsored Research	9,785,270	9.2	977,634
Sponsored Instruction & Training	7,250,109	6.8	724,349
Other Sponsored Programs	758,421	0.7	75,773
Other Institutional Activities	17,665,930	16.6	1,764,980
Total	<u>106,662,205</u>	<u>100.0</u>	<u>10,656,484</u>

(1) From Exhibit B or excluded as follows:

Spons Funds Administration	1,935,885
Research Foundation	
Central Office	1,290,913
Total	<u>644,972</u>

SUNY at Albany  
 Distribution of Sponsored Funds Admin.  
 Fiscal Year 1987

Schedule B-5

<u>Function</u>	<u>Modified Total Direct (1) Cost</u>	<u>%</u>	<u>Sponsored Funds Admin</u>
Sponsored Research	9,785,270	54.1	1,098,759
Sponsored Instruction & Training	7,250,109	40.1	814,094
Other Sponsored Programs	758,421	4.2	85,161
Other Instl Activities (2)	303,477	1.7	34,077
Total	<u>18,097,277</u>	<u>100.0</u>	<u>2,032,090</u>

(1) From Exhibit B

(2) Amount shown represents only the RF Funded Programs portion  
 included in OIA from Exhibit B

SUNY at Albany  
 Distribution of Library Costs  
 Fiscal Year 1987

Schedule B-6

<u>Allocation</u>	<u>(1) F T E</u>	<u>%</u>	<u>Library</u>
Instruction - Students	13,458	87.4	7,844,505
All Other Users (Distribution Below)	1,942	12.6	1,131,968
Total	<u>15,400</u>	<u>100.0</u>	<u>8,976,473</u>

<u>Distribution - Other Users</u>	<u>(2) S &amp; W</u>	<u>%</u>	<u>Library</u>
Instruction - Faculty	34,311,538	62.9	712,111
Sponsored Research	4,683,869	8.6	97,210
Sponsored Instruction & Training	2,772,557	5.1	57,542
Other Sponsored Programs	419,040	0.8	8,697
Other Institutional Activities	12,354,426	22.7	256,407
Total	<u>54,541,430</u>	<u>100.0</u>	<u>1,131,968</u>

(1) Represents the full time equivalent of students and all SUNY and RF employees.

(2) Represents the salaries of all professional employees.

SUNY at Albany  
Distribution of Departmental Administration  
Fiscal Year 1987

Schedule B-7

Departments	Sponsored Research	Sponsored Inst & Trng	Other Spon Programs	Total
Dean's Off Humanities	979	62	0	1,040
English	0	0	201	201
French	0	0	10	10
Judiac Studies	21	0	0	21
Philosophy	0	0	488	488
Peurto Rican Studies	1,951	70	0	2,021
Slavic Languages & Literature	2,825	0	0	2,825
Biology	151,081	7,248	12,886	171,216
Chemistry	93,149	29	2,038	95,217
Computer Science	8,406	0	0	8,406
Atmospheric Science	44,869	0	0	44,869
Geology	24,831	0	0	24,831
Math & Statistics	22,009	0	6,578	28,586
Physics	59,302	1,834	8,407	69,543
African & Afro-Amer Studies	0	89	0	89
Anthropology	16,167	236	422	16,824
Economics	1,324	0	1,940	3,265
Geography	66	73	0	139
Psychology	71,754	5,550	1,452	78,756
Dept of Communication	0	0	24	24
Sociology	14,497	141	214	14,852
Dean's Office School of Bus.	0	3,105	0	3,105
Business	21	870	0	891
Management Sci & Info Sys	2,887	0	0	2,887
Dean's Off Criminal Justice	368	0	0	368
Criminal Justice	8,991	0	0	8,991
Hindelang Center	70,762	0	223	70,985
Prog Devel & Education	53,079	24,932	293	78,305
Counseling Psych. & Student	0	16,403	0	16,403
Psychology & Statistics	164	68,690	368	69,222
Reading	7,704	74	0	7,778
Educatnl Admn & Policy Studies	6,002	1,256	6	7,264
All Other Departments	250	1,101	0	1,351
Provost-Rockefeller College	14	7,891	0	7,905
Academic Resource Management	0	0	14	15
Dean's Office-Inform. Science	0	0	210	210
Schl of Information Sci. & Pol	0	0	10,178	10,178
Dean's Off Grd Sch Pub Affairs	228	6,424	0	6,653
Political Science	730	0	0	730
Public Administration	2,466	23,547	208	26,221
Social Welfare	13,172	212,723	3,743	229,638
International Education	0	798	0	798
Child Study Research Ctr	1,018	0	1,539	2,557
Regional Education Center	160	51,519	0	51,680
Governmental Res & Services	5,782	754	249	6,785
Atmospheric Sciences Res Ctr	72,540	3,154	436	76,130
Center for Women in Gov't	19,142	22,129	5,697	46,968
Continuing Education	1,101	10,057	0	11,157
<b>Total</b>	<b>779,812</b>	<b>470,757</b>	<b>57,825</b>	<b>1,308,394</b>

SUNY at Albany  
 Distribution of Student Services  
 Fiscal Year 1987

Schedule B-8

<u>Function</u>	<u>(1) F T E</u>	<u>%</u>	<u>Student Services</u>
Instruction & Deptl Research (Students & Faculty)	14,186	98.5	7,039,635
Sponsored Instruction & Training	216	1.5	107,187
Total	<u>14,402</u>	<u>100.0</u>	<u>7,146,822</u>

(1) Represents the full time equivalent of students and all SUNY and RF employees.

SUNY at Albany  
Fiscal Year 1987

Exhibit C  
Page 1 of 2

Function	Total Cost	Exclusions (Sch C-2)	Reclass (Sch C-5)	Adjusted Cost	Function Total
<b>Instruction &amp; Deptl Research</b>					
Salaries & Wages	41,769,490	(877,911)	(1,836,138)	39,055,441	
Supplies & Expense	7,255,633	0	(42,940)	7,212,693	
Fringe Benefits	12,275,411	(259,538)	(518,057)	11,497,816	57,765,950
<b>Organized Activities</b>					
Salaries & Wages	2,012,776	(30,022)	(1,982,754)	0	
Supplies & Expense	322,499	0	(322,499)	0	
Fringe Benefits	582,160	(8,875)	(573,285)	0	0
<b>Organized Research</b>					
Salaries & Wages	824,524	(91,698)	(732,826)	0	
Supplies & Expense	63,991	0	(63,991)	0	
Fringe Benefits	241,028	(27,109)	(213,919)	0	0
<b>Extension &amp; Public Service</b>					
Salaries & Wages	713,169	0	(713,169)	0	
Supplies & Expense	135,412	0	(135,412)	0	
Fringe Benefits	204,437	0	(204,437)	0	0
<b>Library</b>					
Salaries & Wages	2,936,045	(2,092)	(34,880)	2,899,073	
Supplies & Expense	344,359	0	(102,148)	242,211	
Library Acquisitions	2,117,152			2,117,152	
Fringe Benefits	828,510	(618)	(10,312)	817,580	6,076,016
<b>Student Services</b>					
Salaries & Wages	3,326,627		232,124	3,558,751	
Supplies & Expense	1,163,152		87,454	1,250,606	
Fringe Benefits	949,578		68,623	1,018,201	5,827,558
<b>Maintenance &amp; Operations</b>					
Salaries & Wages	5,142,455		630,376	5,772,831	
Supplies & Expense	5,526,265		126,570	5,652,835	
Fringe Benefits	1,500,747		186,359	1,687,106	13,112,772
<b>General Administration</b>					
Salaries & Wages	3,806,971		(472,875)	3,334,096	
Supplies & Expense	737,275		1,892,947	2,630,222	
Fringe Benefits	1,118,992		(139,797)	979,196	6,943,514
<b>General Institutional Services</b>					
Salaries & Wages	4,689,507		(3,443,233)	1,246,274	
Supplies & Expense	(497,665)		612,505	114,840	
Fringe Benefits	1,355,398		(491,789)	863,609	2,224,723

SUNY at Albany  
Fiscal Year 1987

Exhibit C  
Page 2 of 2

Function	Total Cost	Exclusions (Sch C-2)	Reclass (Sch C-5)	Adjusted Cost	Function Total
Auxiliary Enterprises					
Salaries & Wages	4,601,882	0	(4,601,882)	0	
Supplies & Expense	10,732,166	(7,143,053)	(3,589,113)	0	
Fringe Benefits	1,296,216	0	(1,296,216)	0	0
Equipment Acquisitions	1,935,184	(1,935,184)		0	0
Sub Total	120,011,348	(10,376,100)	(17,684,714)	91,950,534	91,950,534
Work Study Program	129,637		(129,637)	0	0
Use Allowance - Schedule C-3	3,147,922			3,147,922	3,147,922
Central Services	765,526			765,526	765,526
University-Wide Administration	1,635,990		(1,635,990)	0	0
Building Repairs	389,076		(389,076)	0	0
Sponsored Funds Administration	2,318,797		(382,912)	1,935,885	1,935,885
Sponsored Programs	16,125,380		(16,125,380)	0	
Sponsored:					
Research			9,785,270	9,785,270	9,785,270
Instruction & Training			7,250,109	7,250,109	7,250,109
Other			758,421	758,421	758,421
Departmental Administration					
Salaries & Wages			643,625	643,625	
Supplies & Expense			54,099	54,099	
Fringe Benefits			190,255	190,255	887,979
Other Institutional Activities					
Salaries & Wages			10,853,239	10,853,239	
Supplies & Expense			4,237,725	4,237,725	
Fringe Benefits			2,574,966	2,574,966	17,665,930
Grand Total	144,523,676	(10,376,100)	0	134,147,576	134,147,576



State University of New York  
SUNY at Albany  
Notes to Exhibit C  
Fiscal Year 1987

Column 1	Amount
Campus expenditures are from the University Accounting Report and reconciled with the State Department of Audit and Control.	99,658,869
Fringe Benefits - From University Wide Administration submission Schedule 2 Column 6.	20,352,479
The State portion of the Work Study Program is 20% of the total payroll processed by the Research Foundation.	129,637
Building and Equipment Use Allowance Schedule 3	3,147,922
From University-Wide Administration submission:	
Central Services from Exhibit A Column 6	765,526
Administration Expense - Exhibit C Column 3	1,635,990
Building Repairs - Schedule 3 Column 3	389,076
From Research Foundation Submission Exhibit A:	
Sponsored Programs - MTDC Column 3	16,125,380
Total Administration Column 7	2,318,797
 Total Cost Exhibit C Column 1	 <u>144,523,676</u>

SUNY at Albany  
 Fringe Benefit Distribution  
 Fiscal Year 1987

Schedule C-1

Function	Salaries & Wages	Less Students & Honorariums	Adjusted S&W	Fringe Benefits
Instruction & Deptl Research	41,769,490	246,759	41,522,731	12,275,411
Organized Activities	2,012,776	43,564	1,969,212	582,160
Organized Research	824,524	9,224	815,300	241,028
Extension & Public Service	713,169	21,640	691,529	204,437
Library	2,936,045	133,533	2,802,512	828,510
Student Services	3,326,627	114,589	3,212,038	949,578
Maintenance & Operation	5,142,455	66,037	5,076,418	1,500,747
General Administration	3,806,971	21,874	3,785,097	1,118,992
General Institutional Services	4,689,507	104,745	4,584,762	1,355,398
Auxiliary Enterprises	4,601,882	217,310	4,384,572	1,296,216
Total	69,823,446	979,275	68,844,171	20,352,479

SUNY at Albany  
Exclusions  
Fiscal Year 1987

Schedule C-2

	<u>Salaries &amp; Wages</u>	<u>Fringe Benefits</u>	<u>Supplies &amp; Expense</u>	<u>Total</u>
<u>Instruction &amp; Deptl Research</u>				
Income Fund Offset	877,911	259,538		1,137,449
Exhibit C Column 2	<u>877,911</u>	<u>259,538</u>	<u>0</u>	<u>1,137,449</u>
<u>Organized Activities</u>				
Income Fund Offset	30,022	8,875		38,897
Exhibit C Column 2	<u>30,022</u>	<u>8,875</u>	<u>0</u>	<u>38,897</u>
<u>Organized Research</u>				
Income Fund Offset	91,698	27,109		118,807
Exhibit C Column 2	<u>91,698</u>	<u>27,109</u>	<u>0</u>	<u>118,807</u>
<u>Extension &amp; Public Service</u>				
Income Fund Offset		0		0
Exhibit C Column 2	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
<u>Library</u>				
Income Fund Offset	2,092	618		2,710
Exhibit C Column 2	<u>2,092</u>	<u>618</u>	<u>0</u>	<u>2,710</u>
<u>Auxiliary Enterprises</u>				
Scholarships & Fellowships			171,900	171,900
College Work Study			134,760	134,760
Food Service			6,836,393	6,836,393
Exhibit C Column 2	<u>0</u>	<u>0</u>	<u>7,143,053</u>	<u>7,143,053</u>
<u>Equipment Acquisitions</u>				
Exhibit C Column 2				<u>1,935,184</u>
Grand Total				<u>10,376,100</u>

SUNY at Albany  
 Computation of Use Allowance  
 Fiscal Year 1987

Schedule C-3

Plant Assets	Total Cost	Less Federal Share	Adjusted Cost	Use Allowance
Building Academic	84,598,740	1,233,000	83,365,740	
Use Allowance Factor 2%				1,667,315
Equipment Academic	22,474,995	267,000	22,207,995	
Use Allowance Factor 6.667%				1,480,607
Grand Total				3,147,922

SUNY at Albany  
Departmental Administration  
Fiscal Year 1987

Schedule C-4

Departments	Salaries & Wages	Fringe Benefits	Supplies & Expense	Total
Dean's Off Arts & Sciences	7,971	2,356	855	11,183
Dean's Off Humanities	732	216	119	1,068
English	67	20	3	90
Philosophy	172	51	2	225
Peurto Rican Studies	568	168	34	770
Slavic Languages & Literature	958	283	0	1,241
Dean's Off Science & Math	39,552	11,692	1,539	52,782
Biology	74,250	21,948	4,477	100,675
Chemistry	36,252	10,716	447	47,415
Computer Science		0	716	716
Atmospheric Science	12,518	3,700	3,944	20,163
Geology	5,014	1,482	580	7,076
Math & Statistics	10,361	3,063	435	13,858
Physics	27,053	7,997	3,666	38,715
Dean's Off Social Science	19,122	5,652	2,003	26,777
African & Afro-Amer Studies		0	3	3
Anthropology	5,148	1,522	514	7,184
Economics		0	58	58
Geography	33	10	2	45
Psychology	14,756	4,362	2,345	21,462
Dept of Communication	6	2	0	9
Sociology	2,636	779	328	3,743
Dean's Office School of Bus.	4,017	1,187	205	5,409
Business	178	53	9	240
Dean's Off Continuing Studies	5,865	1,734	3,887	11,486
Dean's Off Criminal Justice	32,798	9,695	905	43,398
Criminal Justice	1,118	330	0	1,448
Hindelang Center	12,757	3,771	0	16,528
Dean's Off Education	51,348	15,178	3,632	70,158
Prog Devel & Education	53	16	390	459
Counseling Psych. & Student	3,764	1,113	117	4,994
Psychology & Statistics	17,892	5,289	167	23,348
Reading	1,499	443	141	2,083
Educatnl Admn & Policy Studies	2,080	615	0	2,695
Provost-Rockefeller College	42,056	12,432	4,019	58,507
Academic Resource Management	30,744	9,088	21	39,852
Dean's Office-Inform. Science	5,778	1,708	225	7,711
Schl of Information Sci. & Pol		0	36	36
Dean's Off Grd Sch Pub Affairs	6,187	1,829	1,477	9,493
Political Science	184	54	1	240
Public Administration	373	110	66	549
Dean's Off Social Welfare	76,245	22,538	5,357	104,140
International Education	354	105	212	671
Child Study Research Ctr	1,348	398	197	1,944
Regional Education Center	27,527	8,137	210	35,874
Governmental Res & Services	433	128	1,305	1,865
Atmospheric Sciences Res Ctr	37,976	11,226	7,108	56,310
Center for Women in Gov't	16,102	4,760	2,339	23,201
Continuing Education	7,781	2,300	0	10,081
<b>Total</b>	<b>643,625</b>	<b>190,255</b>	<b>54,099</b>	<b>887,979</b>

SUNY at Albany  
Reclassification of Accounts  
Fiscal Year 1987

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	Salaries & Wages	Fringe Benefits	Supplies & Expense	Total
<u>Instruction &amp; Deptl Research</u>				
To; Departmental Administration	(539,701)	(159,535)	(42,940)	(742,176)
Cost Sharing; to Spons Research	(957,683)	(264,351)		(1,222,034)
Cost Sharing; to Spons Instr & Trng	(328,846)	(91,409)		(420,255)
Cost Sharing; to Other Spons Programs	(9,908)	(2,762)		(12,670)
Exhibit C Column 3	<u>(1,836,138)</u>	<u>(518,057)</u>	<u>(42,940)</u>	<u>(2,397,135)</u>
<u>Organized Activities</u>				
To; Departmental Administration	(29,308)	(8,663)	(1,712)	(39,683)
Cost Sharing; to Spons Research	(18,928)	(5,149)		(24,077)
Cost Sharing; to Spons Instr & Trng				0
Balance; to Other Instl Activities	(1,934,518)	(559,473)	(320,787)	(2,814,778)
Exhibit C Column 3	<u>(1,982,754)</u>	<u>(573,285)</u>	<u>(322,499)</u>	<u>(2,878,538)</u>
<u>Organized Research</u>				
To; Deptl Administration	(50,733)	(14,997)	(7,108)	(72,838)
Cost Sharing; to Sponsored Research	(215,983)	(60,129)		(276,112)
Balance; to Other Instl Activities	(466,110)	(138,793)	(56,883)	(661,786)
Exhibit C Column 3	<u>(732,826)</u>	<u>(213,919)</u>	<u>(63,991)</u>	<u>(1,010,736)</u>
<u>Extension &amp; Public Service</u>				
To; Deptl Administration	(23,883)	(7,060)	(2,339)	(33,282)
Cost Sharing; to Spons Instr & Trng	(12,940)	(3,809)		(16,749)
Balance; to Other Instl Activities	(676,346)	(193,568)	(133,073)	(1,002,987)
Exhibit C Column 3	<u>(713,169)</u>	<u>(204,437)</u>	<u>(135,412)</u>	<u>(1,053,018)</u>
<u>Library</u>				
Cost Sharing; to Sponsored Research				0
Income Fund Reimbursable; to OIA	(34,880)	(10,312)	(102,148)	(147,340)
Exhibit C Column 3	<u>(34,880)</u>	<u>(10,312)</u>	<u>(102,148)</u>	<u>(147,340)</u>
<u>Student Services</u>				
Income Fund Reimbursable; to OIA	(129,184)	(38,191)	(165,869)	(333,244)
Student Billing & Cashiering; from G A	469,652	138,844	158,364	766,860
Campus Bussing Serv (80%); from GIS	239,872	70,914	123,736	434,522
Student Union; to OIA	(221,055)	(65,351)	(12,449)	(298,855)
Equal Opportunity Admin; to OIA	(127,161)	(37,593)	(16,328)	(181,082)
Exhibit C Column 3	<u>232,124</u>	<u>68,623</u>	<u>87,454</u>	<u>388,201</u>
<u>Maintenance &amp; Operation</u>				
Income Fund Reimbursable; to OIA	(108,136)	(31,968)	(215,514)	(355,618)
Security & Safety; from GIS	738,512	218,327	49,328	1,006,167
From; Building Repairs			292,756	292,756
Exhibit C Column 3	<u>630,376</u>	<u>186,359</u>	<u>126,570</u>	<u>943,305</u>

SUNY at Albany  
Reclassification of Accounts  
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	<u>Salaries &amp; Wages</u>	<u>Fringe Benefits</u>	<u>Supplies &amp; Expense</u>	<u>Total</u>
<u>General Administration</u>				
Income Fund Reimbursables; to OIA	(3,223)	(953)		(4,176)
Stu Billing & Collections; to Stu Serv	(469,652)	(138,844)	(158,364)	(766,860)
From; Work Study Program (25%)			32,409	32,409
From; University-Wide Administration			1,635,990	1,635,990
From; Sponsored Funds Administration			1,027,884	1,027,884
Cost Sharing; to Sponsored Research				0
Support Cost; to Spons Funds Admin			(644,972)	(644,972)
Exhibit C Column 3	<u>(472,875)</u>	<u>(139,797)</u>	<u>1,892,947</u>	<u>1,280,276</u>
<u>General Instl Services</u>				
Income Fund Reimbursables; to OIA	(281,392)	(83,188)	(638,528)	(1,003,108)
Security & Safety; to M & O	(738,512)	(218,327)	(49,328)	(1,006,167)
Unallowable Costs; to OIA:				
Alumni Relations	(101,725)	(30,073)	(33,761)	(165,559)
Commencement	(630)	(186)	(9,120)	(9,936)
Publications	(284,579)	(84,130)	(93,893)	(462,602)
University News Service	(16,812)	(4,970)		(21,782)
Automotive Services				0
Computer Services	(1,779,711)		1,779,711	0
Mail & Messenger			(61,182)	(61,182)
Telephone & Telegraph			(157,658)	(157,658)
Sub Total - Unallowable Costs	<u>(2,183,457)</u>	<u>(119,360)</u>	<u>1,424,097</u>	<u>(878,720)</u>
Campus Bussing Serv (80%); to Stu Serv	(239,872)	(70,914)	(123,736)	(434,522)
Exhibit C Column 3	<u>(3,443,233)</u>	<u>(491,789)</u>	<u>612,505</u>	<u>(3,322,517)</u>
<u>Auxiliary Enterprises</u>				
From; Building Repairs			96,320	96,320
Balance; to Other Instl Activities	(4,601,882)	(1,296,216)	(3,685,433)	(9,583,531)
Exhibit C Column 3	<u>(4,601,882)</u>	<u>(1,296,216)</u>	<u>(3,589,113)</u>	<u>(9,487,211)</u>
<u>Work Study Program</u>				
To; General Admin (25% of Total)			(32,409)	(32,409)
To; Other Instl Activ (75% of Total)			(97,228)	(97,228)
Exhibit C Column 3			<u>(129,637)</u>	<u>(129,637)</u>
<u>University-Wide Administration</u>				
To; General Administration			(1,635,990)	(1,635,990)
Exhibit C Column 3			<u>(1,635,990)</u>	<u>(1,635,990)</u>
<u>Building Repairs</u>				
To; Maintenance & Operation			(292,756)	(292,756)
To; Auxiliary Enterprises			(96,320)	(96,320)
Exhibit C Column 3			<u>(389,076)</u>	<u>(389,076)</u>
<u>Sponsored Funds Administration</u>				
From; General Administration			644,972	644,972
To; General Administration			(1,027,884)	(1,027,884)
Exhibit C Column 3			<u>(382,912)</u>	<u>(382,912)</u>

SUNY at Albany  
Reclassification of Accounts  
Fiscal Year 1987

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	Salaries & Wages	Fringe Benefits	Supplies & Expense	Total
<u>Sponsored Programs</u>				
To; Sponsored Research	(5,521,261)		(2,741,786)	(8,263,047)
To; Sponsored Instruction & Training	(4,565,046)		(2,248,059)	(6,813,105)
To; Other Sponsored Programs	(564,350)		(484,878)	(1,049,228)
Exhibit C Column 3	<u>(10,650,657)</u>		<u>(5,474,723)</u>	<u>(16,125,380)</u>
<u>Sponsored Research</u>				
From; R F Sponsored Programs	5,521,261		2,741,786	8,263,047
Cost Sharing; from I & DR	957,683	264,351		1,222,034
Cost Sharing; from Org Activities	18,928	5,149		24,077
Cost Sharing; from Org Research	215,983	60,129		276,112
Cost Sharing; from Library	0	0		0
Cost Sharing; from Gen Admin	0	0		0
Exhibit C Column 3	<u>6,713,855</u>	<u>329,629</u>	<u>2,741,786</u>	<u>9,785,270</u>
<u>Sponsored Instruction &amp; Training</u>				
From; R F Sponsored Programs	4,565,046		2,248,059	6,813,105
Cost Sharing; from I & DR	328,846	91,409		420,255
Cost Sharing; from Org Activities	0	0		0
Cost Sharing; from Ext & Public Serv	12,940	3,809		16,749
Exhibit C Column 3	<u>4,906,832</u>	<u>95,218</u>	<u>2,248,059</u>	<u>7,250,109</u>
<u>Other Sponsored Programs</u>				
From; R F Sponsored Programs	564,350		484,878	1,049,228
Cost Sharing; from I & DR	9,908	2,762		12,670
RF Funded Programs; to OIA	(85,895)		(217,582)	(303,477)
Exhibit C Column 3	<u>488,363</u>	<u>2,762</u>	<u>267,296</u>	<u>758,421</u>
<u>Departmental Administration</u>				
From; Instruction & Deptl Research	539,701	159,535	42,940	742,176
From; Organized Activities	29,308	8,663	1,712	39,683
From; Organized Research	50,733	14,997	7,108	72,838
From; Extension & Public Service	23,883	7,060	2,339	33,282
Exhibit C Column 3	<u>643,625</u>	<u>190,255</u>	<u>54,099</u>	<u>887,979</u>
<u>Other Institutional Activities</u>				
From; Organized Activities	1,934,518	559,473	320,787	2,814,778
From; Organized Research	466,110	138,793	56,883	661,786
From; Extension & Public Service	676,346	193,568	133,073	1,002,987
From; Auxiliary Enterprises	4,601,882	1,296,216	3,685,433	9,583,531
Inc Fund Reimb; from Overhead Functions	556,815	164,612	1,122,059	1,843,486
Student Union; from Student Services	221,055	65,351	12,449	298,855
Equal Oppor Admin; from Student Serv	127,161	37,593	16,328	181,082
From; Gen Instl Serv - Unallow Costs	2,183,457	119,360	(1,424,097)	878,720
From; Work Study Program (75%)			97,228	97,228
RF Funded Progs; from Other Spons Progs	85,895		217,582	303,477
Exhibit C Column 3	<u>10,853,239</u>	<u>2,574,966</u>	<u>4,237,725</u>	<u>17,665,930</u>



SUNY at Albany  
 Summary of Expenditures  
 Fiscal Year 1987

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	<u>Salaries &amp; Wages</u>	<u>Supplies &amp; Expense</u>
<u>Library</u>		
General Library	2,825,355	198,517
Microfilm Services	17,110	12,921
Library Conservation Program	58,700	30,773
Income Fund - Reimbursables	34,880	102,148
	<u>2,936,045</u>	<u>344,359</u>
Total		
 <u>Student Services and Staff Benefits</u>		
Dean of Student Affairs	153,821	32,355
V.P. for Student Affairs	266,493	105,901
Admissions	441,890	185,195
Student Counseling	269,010	5,223
Counseling-International Student	50,927	7,879
Counseling - Disabled Students	51,434	3,206
Counseling - Serv.-Minor. Students	39,356	7,128
Equal Opportunity Administration	127,161	16,328
Financial Aids	372,310	89,552
Career Development - Student Placement	110,349	41,419
Registrar	405,097	422,301
Student Health Services	678,147	20,668
Student Union	221,055	12,449
Student Activities	4,941	25,502
Off Campus College	5,452	4,717
Child/Day Care		17,460
Income Fund - Reimbursables	129,184	165,869
	<u>3,326,627</u>	<u>1,163,152</u>
Total		

SUNY at Albany  
 Summary of Expenditures  
 Fiscal Year 1987

Schedule C-6  
 Page 2 of 5

	<u>Salaries &amp; Wages</u>	<u>Supplies &amp; Expense</u>
<u>Maintenance and Operations</u>		
Director of Physical Plant	273,555	33,028
Custodial Services	2,198,193	149,133
Furniture Maintenance & Repair	31,656	14,613
Special Functions and Activities		8,948
Refuse Collection	34,187	33,801
Buildings-Structural Maint.	1,157,903	166,288
Equip-Bldg. Sys-Util-Dist. Sys.	327,554	283,320
Grounds Maintenance	293,450	108,858
Motorized Equipment Maintenance	120,104	65,327
Moving and Trucking	21,589	12,518
Utilities Plant	576,128	165,973
Rental of Facilities		204,707
Alterations to Physical Plant		13,334
Utilities-Electricity		2,458,486
Utilities-Natural Gas		387,907
Utilities-Water		597,860
Utilities-Fuel		528,122
Utilities-Other Fuel		628
Energy Management Control System		77,900
Income Fund - Reimbursables	108,136	215,514
	<u>5,142,455</u>	<u>5,526,265</u>
Total		

SUNY at Albany  
 Summary of Expenditures  
 Fiscal Year 1987

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 Page 3 of 5

	<u>Salaries &amp; Wages</u>	<u>Supplies &amp; Expense</u>
<u>General Administration</u>		
PEF Supplemental Training		463
PDQWL 1011 Orientation Program		2,583
Student Intern	44,646	
Office of the President	251,479	97,184
V.P. for University Affairs	230,315	40,406
Vice President for Academic Affairs	213,211	25,943
V.P. for Acad. Planning & Development	95,464	30,484
V.P. for Graduate Studies & Research	131,202	30,677
Office for Research	20,131	31,709
V.P. for Finance and Business	129,742	31,785
Governance	23,511	4,787
Faculty Senate		453
Space Management	80,896	4,507
Institutional Research	180,069	36,428
Downtown Campus Administration	22,088	392
Controller	87,155	2,827
Management Analysis	45	1,789
Division Technology Center	19,201	3,818
Office of Finance Management and Budget	198,669	18,474
Accounting	348,047	34,573
Purchasing	215,393	30,443
Accounts Payable	57,328	
Payroll	159,423	39,547
Personnel	424,334	93,019
Employee Assistance Program	7,727	1,877
Affirmative Action	112,058	8,201
Office for Equipment Management	90,842	3,521
Internal Audit	84,296	3,021
Billing	332,388	143,984
Bursar	137,264	14,380
Administrative Overhead	106,824	
Income Fund - Reimbursables	3,223	
	<u>3,806,971</u>	<u>737,275</u>
Total	<u>3,806,971</u>	<u>737,275</u>

SUNY at Albany  
 Summary of Expenditures  
 Fiscal Year 1987

Schedule C-6  
 Page 4 of 5

	<u>Salaries &amp; Wages</u>	<u>Supplies &amp; Expense</u>
<u>General Institutional Services</u>		
Campus Bussing Service	299,840	154,670
Automotive Services	93,856	
Alumni Relations	101,725	33,761
Resource Development	42,213	49,723
Central Duplicating & Printing	144,028	40,888
Central Duplicating-Rapid Copy	61,345	(92,069)
Commencement	630	9,120
Micro-Maintenance		(49,045)
Computer Services	1,779,711	(1,779,711)
Malpractice Ins. Clinical Train.		2,168
Postage Administration	13,696	16,141
Mail and Messenger	215,134	61,182
Membership Fees		29,134
Publications	284,579	93,893
University Information Service	16,812	
Security and Safety	738,512	49,328
Environmental Health & Safety	67,270	32,729
Central Stores	400	489
Telephone and Telegraph	99,216	157,658
Telephone Systems	43,698	5,547
Telecomm & Information Systems	116,298	30,358
Shipping and Receiving	261,122	5,036
Radiation Protection Service	28,030	12,619
Income Fund - Reimbursables	281,392	638,716
	<u>4,689,507</u>	<u>(497,665)</u>
Total		

SUNY at Albany  
 Summary of Expenditures  
 Fiscal Year 1987

Schedule C-6  
 Page 5 of 5

	<u>Salaries &amp; Wages</u>	<u>Supplies &amp; Expense</u>
<u>Auxiliary Enterprises</u>		
Admin. & Mgmt Services M&O	143,700	10,309
Custodial Services	1,399,147	76,738
Furniture Maintenance & Repair	41,602	40,756
Special Functions		6,138
Refuse Collection	20,592	16,292
Buildings-Structural	351,436	187,397
Equip-Bldg. Sys-Util. Dis.	207,313	121,398
Grounds Maintenance	145,203	5,547
Motorized Equipment		126
Moving and Trucking	16,590	5,545
Utilities-Plant	301,408	105,580
Security & Safety	328,967	5,921
Utilities - Electricity		999,347
Utilities - Natural Gas		222,295
Utilities - Water		220,120
Utilities - Fuel Oil		218,042
Residence Hall	142,187	21,500
Administration	802,027	221,842
Food Service - FSA Contract		6,836,393
Other		
College Work Study		134,760
Fellowships and Scholarships		171,900
Equal Opportunity Program	289,896	844,361
Income Fund - Reimbursable	411,814	259,859
	<u>4,601,882</u>	<u>10,732,166</u>
Total		

UNIVERSITY AT  
ALBANY  
STATE UNIVERSITY OF NEW YORK

For mtg - Pres on 7/1

Albany, New York  
12222

MEMORANDUM

TO: Vice President Gullahorn ✓  
Vice President Hartigan

FROM: Eugene A. Gilchrist *EG*

DATE: June 27, 1988

RE: Indirect Cost Recovery Budget

President O'Leary reviewed the proposed budget you forwarded to him. He concurs with your recommendations with the exception of the increase to the Dean's Incentive Accounts. In this matter he hopes to discuss the issue in greater depth with Jeanne Gullahorn on his return.

We are, then, in the process of allocating these monies to your accounts. There are three items in the Budget which will be reserved in the Controller's account until the appropriate review processes have been completed. They are: (1) the reserve for professional merit, (2) the salary reclassification funds which need review by the Classification Committee (Equipment Management and Office for Research), and (3) the escrow for Research Foundation decentralization. At the appropriate time, these items will be distributed to the applicable accounts.

Campus officials will notify the Research Foundation of the allocation to be established in each account. If you have any questions, please call me at your convenience.

cc: President O'Leary  
Mr. DiSanto  
Mr. Neveu

OFFICE OF THE  
VICE PRESIDENT  
RECEIVED  
JUN 28 1988  
RECEIVED  
FOR RESEARCH

1988-89 OR-5 Approved Increases

<u>Sponsored Funds Accounting</u>	
Senior Clerk increase .5 FTE to 1.00 FTE	\$12,528
Micro Computer	3,000
<u>Sponsored Funds Personnel</u>	
DEMO increase .5 FTE to 1.00 FTE	9,408
Temporary Service increase	1,860
Micro Computer	2,500
<u>Sponsored Funds Purchasing</u>	
Purchasing Agent - SG 018	36,186
Equipment	1,100
<u>Equipment Management</u>	
Assistant Director reclassification PR-2 to PR-3	2,976 <sup>1</sup>
<u>Plant Department</u>	
Refrigeration Mechanic - SG 012	25,678
Mail and Supply Clerk - SG 005	17,283
<u>Office for Research</u>	
Salary increase - Editorial Assistant	<u>2,344<sup>1</sup></u>
Total Approved Increases	\$114,863

1) Withheld pending campus review process

1988-89 OR-5 Budget

Research Foundation  
Escrow for Decentralization

Research

1/3 - 2 FTE positions totaling \$35,000 \$11,667  
S&W = \$9,409, FB = \$2,258

Finance and Business

1/3 - 2 FTE positions totaling \$35,000 11,667  
S&W = \$9,409, FB = \$2,258

Equipment 2,500

Total \$25,834



1988-89 OR-5  
Budget

Office of Sponsored Funds (Accounting) (9305)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Assoc.Univ.Fin.Analy.	PR 3	1.00	41,923	2,096	44,019	10,565
Asst. " " "	PR 2	0.60	20,276	1,014	21,290	5,110
Head Acct. Clerk	018	1.00	33,621	1,681	35,302	8,472
Principal Clerk	011	1.00	23,738	1,187	24,925	5,982
Sr. Account Clerk	011	1.00	21,441	1,766	23,207	5,570
Sr. Clerk	007	1.00	9,622	481	20,206	4,850
Clerk	005	1.00	15,857	1,006	16,863	4,047
Clerk	003	1.00	14,042	1,254	15,296	3,671
Total		7.60	180,520	10,485	201,108	48,267
Temporary Service					5,219	1,253
Total S&W						255,847

OTPS

Supply	654
Travel	1,272
General	8,182
Equipment (Micro Computer one-time \$3,000)	<u>6,337</u>
Total OTPS	16,445
Total Budget	\$ 272,292

Requested Increases (included above)

1. Senior Clerk from .5 FTE to 1 FTE S&W = \$10,103, FB = \$2,425	\$ 12,528
2. MicroComputer for Director (one-time)	<u>3,000</u>
Total Requested Increases	\$ 15,528

1988-89 OR-5  
Budget

Sponsored Funds - Personnel (9318)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Personnel Assoc.	PR 2	1.00	40,284	2,014	42,298	10,152
Jr. Admin. Asst.	014	1.00	27,032	1,352	28,384	6,812
Sr. Account Clerk	009	1.00	18,320	1,206	19,526	4,686
Sr. Account Clerk	009	.50	11,120	556	11,676	2,802
Sr. Clerk	007	.50	9,605	480	10,085	2,420
Sr. Clerk	007	.50	9,692	485	10,177	2,442
Data Entry Mach. Op.	004	1.00	7,021	566	15,174	3,642
<b>Total</b>		<b>5.50</b>	<b>123,074</b>	<b>6,659</b>	<b>137,320</b>	<b>32,956</b>
Temporary Service					4,200	1,008
Total S&W						175,484
<u>OTPS</u>						550
Supply						196
Travel						5,250
Equipment (computer one-time)						<u>2,444</u>
General						
Total OTPS						8,440
Total Budget						\$ 183,924
 <u>Requested Increases (included above)</u>						
1. DEMO from .5 FTE to 1.00 FTE						\$ 9,408
S&W = \$7,587, FB = \$1,821						
2. Temporary Service						1,860
S&W = \$1,500, FB = \$360						
3. Computer hardware/software						<u>2,500</u>
for local area network						
Total Requested Increases						\$ 13,768

1988-89 OR-5  
Budget

Sponsored Funds - Purchasing (9319)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Purchase Assoc.	PR 2	1.00	37,023			
Purchasing Agent	018	1.00	29,350	1,851	38,874	9,330
Purchasing Agent	018	1.00	-	2,645	31,995	7,679
Principal Clerk	011	1.00	23,739	-	29,182	7,004
Sr. Clerk	007	1.00	19,277	1,187	24,926	5,982
Data Entry Mach. Oper	004	.50	7,319	964	20,241	4,858
				499	7,818	1,876
<b>Total</b>		<b>5.50</b>	<b>116,708</b>	<b>7,146</b>	<b>153,036</b>	<b>36,729</b>
Temporary Service					3,226	775
<b>Total S &amp; W</b>						<b>193,766</b>
<u>OTPS</u>						
Supply						
Travel						820
General						300
Equipment (one-time)						7,739
						<u>1,100</u>
<b>Total OTPS</b>						<b>9,959</b>
<b>Total Budget</b>						<b>\$ 203,725</b>

Requested Increases (included above)

1. Purchasing Agent, Grade 18 S&W = \$29,182, FB = \$7,004	\$ 36,186
2. Office Equipment for New Purchasing Agent	<u>1,100</u>
<b>Total Requested Increases</b>	<b>\$ 37,286</b>

1988-89 OR-5  
Budget

Equipment Management (9320)

Salaries and Wages

<u>Position</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Assistant Director	PR 3	1.00	37,565	1,878	39,443	9,466
Account Clerk		.50	7,319	499	7,818	1,876
<b>Total</b>		1.50	44,884	2,377	47,261	11,342
<b>Total S&amp;W</b>						58,603

OTPS

Travel	54
Supply	137
Equipment	<u>820</u>
<b>Total OTPS</b>	<b>1,011</b>
<b>Total Budget</b>	<b>\$ 59,614</b>

Requested Increases (not included above)

*1. Reclassification of Assistant Director from PR-2 to PR-3 S&W = \$2,400, FB = \$576	\$ <u>2,976</u>
<b>Total Requested Increases</b>	<b>\$ 2,976</b>

\*Withheld pending campus review process

1988-89 OR-5  
Budget

Safety (9310)

Salaries and Wages

<u>Position</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Technical Specialist	PR 2	1.00	33,234	1,662	34,896	8,375
Technical Specialist	PR 2	1.00	24,150	1,208	25,358	6,086
Data Entry Mach. Op.	004	1.00	15,300	816	16,116	3,868
		3.00	72,684	3,686	76,370	18,329
Total S&W						94,699
<u>OTPS</u>						
Supply						
Travel						2,109
Consultant						56
General						2,245
Equipment						17,747
						<u>3,440</u>
Total OTPS						25,597
Total Budget						120,296

1988-89 OR-5  
Budget

Controller (9307)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Proj. Assoc.	R02	.70	26,250	1,313	27,563	6,615
Technical Assistant	PR 1	.50	7,009	-0-	7,009	1,682
Total		1.20	33,259	1,313	34,572	8,297
Temporary Service					6,000	1,440
Professional Merit					7,728	1,854
Salary Reclassification:						
Equipment Management					2,400	576
Office for Research					1,890	454
Escrow for RF Decentralization					18,818	4,516
Total S&W						\$88,545
<u>OTPS</u>						
General						2,620
Terminal Maintenance						816
Equipment						564
Equipment Escrow RF Decentralization						<u>2,500</u>
Total OTPS						6,500
Total Budget						95,045

1988-89 OR-5  
Budget

Plant Department (9322)

Salaries and Wages

<u>Position</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Research Assistant	PR-1	1.0	\$14,400	720	\$15,120	\$ 3,629
Refrigeration Mechanic	012	1.0	-	-	\$20,708	\$ 4,970
Mail & Supply Clerk	005	1.0	-	-	\$13,938	\$ 3,345
Cleaner		.25	\$ 4,516	226	\$ 4,742	\$ 1,138
Total		3.25	\$18,916	946	\$54,508	\$13,082
Total S&W						\$67,590
Total Budget						\$67,590

Requested Increases (included above)

1. Refrigeration Mechanic, Grade 12		
S&W = \$20,708, FB = \$4,970	\$	25,678
2. Mail and Supply Clerk		
S&W = \$13,938, FB = \$3,345	\$	<u>17,283</u>
Total Requested Increases		\$ 42,961

1988-89 OR-5  
Budget

Office for Research (9306)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Asst. VP/Director	PR 4	1.00	57,000	2,850	59,850	14,364
Associate Director	PR 3	1.00	36,567	1,828	38,395	9,215
Associate Director	PR 3	1.00	32,762	1,638	34,400	8,256
Assoc. for Spon. Prog.	PR 2	1.00	25,358	1,268	26,626	6,390
Assistant Director	PR 2	1.00	30,280	1,514	31,794	7,631
Editorial Assistant	PR 1	1.00	18,000	900	18,900	4,536
Research Assistant	RO1	.50	8,844	442	9,286	2,229
Administrative Aide	011	1.00	23,942	1,197	25,139	6,033
Senior Stenographer	009	1.00	20,521	1,026	21,547	5,171
Clerk	003	.70	10,501	806	11,307	2,714

Total		9.20	263,775	13,469	277,244	66,539
Total S&W						343,783

OTPS

Supply						2,735
Travel						11,250
Consultant						4,500
Equipment						<u>2,800</u>
Total OTPS						21,285
Total						\$365,068

Requested Increase (not included above)

*1. Salary increase for Editorial Assistant (S&W = \$1,890, FB = \$454)						\$ 2,344
						<u>2,344</u>
						\$ 2,344

\*Withheld pending campus review process



1988-89 OR-5  
Budget

Development and Incentive Support (9360)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc.	1988-89 Budget	Fringe Benefits
Sr. Typist	007	1.0	11,904	595	12,499	3,000
Total			11,904	595	12,499	3,000
Total S&W						15,499

OTPS

Scholarly Journals	18,200
Industrial Linkages	9,500
Distinguished Lecture Series	1,000
Development Meetings	2,000
General Support	<u>6,499</u>
Total OTPS	37,199
Total Budget	52,698

1988-89 OR-5  
Budget

Research Center Support (9308, 9309, 9313)

Salaries and Wages

Position	Center	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Acct. Clerk <sup>1</sup>	ASRC	005	.55	12,430	622	13,052	3,132
Sr. Steno <sup>2</sup>	Biology	009	.50	4,500	-0-	4,500	1,080
Asst. to <sup>3</sup> Director	Hindelang	-	.50	15,560	778	16,338	3,921
Total			1.55	32,490	1,400	33,890	8,133

1. Position funded for value of .55 FTE.
2. Position funded for dollar amount of \$4,500 which remains constant.
3. Position funded for value of .50 FTE

1988-89 OR-5  
Budget

Research Development and Incentive	\$130,000
University Awards Program	150,000

1988-89 OR-5  
Budget

Office of Laboratory Animal Services (9321)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Animal Caretaker	005	1.0	14,000	1,259	15,259	3,662
Animal Caretaker	005	1.0	14,000	1,153	15,153	3,637
Animal Caretaker	005	0.5	7,000	483	7,483	1,796
Total		2.5	35,000	2,895	37,895	9,095
Total S&W						46,990

OTPS

Supply	750
Travel	1,500
General	2,950
Consultant (Veterinarian)	26,000
Equipment	<u>2,000</u>
Total OTPS	\$33,200
Total Budget	80,190

OFFICE OF THE  
VICE PRESIDENT  
**RECEIVED**  
JUN 23 1988  
**RECEIVED**  
FOR RESEARCH

MEMORANDUM

TO: President O'Leary

FROM: Jeanne E. Gullahorn  
John A. Hartigan *Jeanne E. Gullahorn* *John Hartigan*

DATE: June 22, 1988

RE: Indirect Cost Recovery - Initial Allocation

Per course, we directed a process designed to arrive at a budget for the Indirect Cost Recovery Allocations dedicated to campus administration and program. We did not address the supplemental distribution from the Research Foundation which is managed from your office.

The process identified those items in existing accounts which were intended as on-going allocation, and added to those amounts allocation sufficient to provide for a 5% across-the-board salary increase and salary adjustments for employees the same as their State, bargaining unit colleagues. We allocated 1% for professional merit and retained that amount in a holding account pending a review process to be conducted at the same time as the State process.

We then identified items for potential increase. These items were solicited from research support managers both pre- and post-award, and they were reviewed by us individually to determine their relationship to research as well as their desirability. We then reviewed the request items together with Leo Neveu and Frank DiSanto.

The result is a budget described in the attached pages. The total allocation versus the proposed allocations relate as follows:

Initial Distribution	\$1,908,314
Base Allocations	1,681,768
Proposed Increases	184,863
Escrow for Decentralization	25,834
Balance	\$ 15,849

A list of the proposed increases is attached for your review and included with this memorandum. Two comments are required.

1. We recommend that we hold \$25,834 against the possibility that the Research Foundation decentralization of responsibilities occurs during this fiscal year. We believe that we should add 4 FTE positions in this case. The amount recommended assumes that no action will occur before two-thirds of the fiscal year is elapsed;

Indirect Cost Recovery  
Page two

2. Earlier, following the State fiscal year budget process, you agreed to fund ASRC alterations. You were asked to provide funds from the initial allocation budget, and we believe that this was in error. Rather, we believe that this allocation should come from the supplemental distribution you hold. This is, actually, just a technical matter.

The budget should be in place by July 1st. We ask for your approval by that date.

cc: Mr. DiSanto  
Mr. Neveu

1988-89 OR-5 Proposed Increases

Sponsored Funds Accounting

Senior Clerk increase .5 FTE to 1.00 FTE \$12,528  
Micro Computer 3,000

Sponsored Funds Personnel

DEMO increase .5 FTE to 1.00 FTE 9,408  
Temporary Service increase 1,860  
Micro Computer 2,500

Sponsored Funds Purchasing

Purchasing Agent - SG 018 36,186  
Equipment 1,100

Equipment Management

Assistant Director reclassification  
PR-2 to PR-3 2,976

Plant Department

Refrigeration Mechanic - SG 012 25,678  
Mail and Supply Clerk - SG 005 17,283

Office for Research

Salary increase - Editorial Assistant 2,344

Research Development and Incentive 70,000

Total Proposed Increases \$184,863

1988-89 OR-5 Budget

Research Foundation  
Escrow for Decentralization

Research

1/3 - 2 FTE positions totaling \$35,000 \$11,667  
S&W = \$9,409, FB = \$2,258

Finance and Business

1/3 - 2 FTE positions totaling \$35,000 11,667  
S&W = \$9,409, FB = \$2,258

Equipment

2,500

Total \$25,834



1988-89 OR-5  
Budget

Office of Sponsored Funds (Accounting) (9305)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Assoc.Univ.Fin.Analy.	PR 3	1.00	41,923	2,096	44,019	10,565
Asst. " " "	PR 2	0.60	20,276	1,014	21,290	5,110
Head Acct. Clerk	018	1.00	33,621	1,681	35,302	8,472
Principal Clerk	011	1.00	23,738	1,187	24,925	5,982
Sr. Account Clerk	011	1.00	21,441	1,766	23,207	5,570
Sr. Clerk	007	1.00	9,622	481	20,206	4,850
Clerk	005	1.00	15,857	1,006	16,863	4,047
Clerk	003	1.00	14,042	1,254	15,296	3,671

Total		7.60	180,520	10,485	201,108	48,267
Temporary Service					5,219	1,253
Total S&W						255,847

OTPS

Supply						
Travel						654
General						1,272
Equipment (Micro Computer one-time \$3,000)						8,182
						<u>6,337</u>

Total OTPS 16,445

Total Budget \$ 272,292

Requested Increases (included above)

1. Senior Clerk from .5 FTE to 1 FTE  
S&W = \$10,103, FB = \$2,425 \$ 12,528

2. MicroComputer for Director (one-time) 3,000

Total Requested Increases \$ 15,528

Total Budget \$ 272,292

2. ACCOUNTING

a) SG 7 Senior Clerk \$10,103  
Increase from 50% to 100% Fringe - \$ 2,425

There has been a significant increase in workload in the last few years, as evidenced by the following:

Total Expenditures - increase of 106.5% since FY84  
Total Payments Processed - increase of 47.9% since FY84  
Total Dollar Value of Payments Processed - increase of 138.7% since FY84  
Detailed Final Reports Submitted - increase of 30% since FY84  
Number of Accounts Maintained - increase of 41.8% since FY84  
Number of Cost Transfers-Nonpersonnel Service - increase of 129.5% since FY84

FTE at Beginning of Budget Year - 18.3% increase since FY84 (from 6 FTE to 7.1 FTE)

Obviously, these increases have had substantial effects on all functions that the office performs, i.e., file maintenance, review of proposed expenditures, final financial reporting, detailed financial reporting and, most importantly, project director/grant administrator assistance.

Further pressures are expected with new projects such as the Federal Demonstration Project, the Graduate Research Initiative, etc.

b) Microcomputer for Director \$ 3,000

Currently, the Director of the Sponsored Funds Accounting Office uses a microcomputer located outside her office, shared with other employees.

This one-time request is to purchase a microcomputer for the Director's exclusive use. Since access to SUNY Central's computer is no longer limited by the use of the IBM Series 1, a dedicated PC for the Director is not only practical, but will make a big contribution toward the Director's efficiency and effectiveness in carrying out her duties.

1988-89 OR-5  
Budget

Sponsored Funds - Personnel (9318)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Personnel Assoc.	PR 2	1.00	40,284	2,014	42,298	10,152
Jr. Admin. Asst.	014	1.00	27,032	1,352	28,384	6,812
Sr. Account Clerk	009	1.00	18,320	1,206	19,526	4,686
Sr. Account Clerk	009	.50	11,120	556	11,676	2,802
Sr. Clerk	007	.50	9,605	480	10,085	2,420
Sr. Clerk	007	.50	9,692	485	10,177	2,442
Data Entry Mach. Op.	004	1.00	7,021	566	15,174	3,642

Total 5.50 123,074 6,659 137,320 32,956

Temporary Service 4,200 1,008

Total S&W 175,484

OTPS

Supply 550

Travel 196

Equipment (computer one-time) 5,250

General 2,444

Total OTPS 8,440

Total Budget \$ 183,924

Requested Increases (included above)

Justification attached

1. DEMO from .5 FTE to 1.00 FTE  
S&W = \$7,587, FB = \$1,821 \$ 9,408

2. Temporary Service  
S&W = \$1,500, FB = \$360 1,860

3. Computer hardware/software  
for local area network 2,500

Total Requested Increases \$ 13,768

Total Budget \$ 183,924

5. PERSONNEL

a)	DEMO (Grade 4), from half to full time		\$ 7,587
		Fringe	1,821
b)	Temporary Service, clerical support for cyclical fluctuating workload pressures		\$ 1,500
		Fringe	\$ 360

Since 1984 the Sponsored Funds Personnel Office has acquired numerous responsibilities through decentralization as well as workload increases through the expanded research business. Staff has increased from 4 to 5. Recently, the office has acquired additional responsibility for Classification and Compensation, I-9 processing and Vacancy Announcement Posting.

These new responsibilities have added new workload. The I-9 processing has required the verification and preparation of forms for 555 employees. This increased workload coupled with the concomitant office interruption has now placed us in a manpower shortage situation.

Because of the understaffing, various aspects of operations are backlogged or not done. Filing is always behind even though student help is utilized, follow up is done when time allows, Research Foundation monitoring reports are reviewed on an infrequent basis, payroll accounting on over-committed accounts is delayed, and PARS reporting is generally behind schedule.

The research Foundation has also begun to test the RF Database, which this office is piloting. When the system is put into full use (July, 1988 is the target date) the input requirements will more than double. Currently, each appointment is a one screen input. This will increase to three screen input, plus the need to use an additional transaction to access RF Database to input local information. The Foundation is also developing a leave accrual system which will require mandatory posting of time usage on a bi-weekly basis. This additional workload simply cannot be handled without staff augmentation.

5. PERSONNEL (Continued)

c)	Computer hardware	\$2,000
	Software	\$ <u>500</u>
	Total	\$2,500

The Personnel Office has been automating processes for the past year utilizing personal computers. More meaningful data is now provided to Directors, Vice Presidents and administrators, with a reduction in paperwork and time required to compile this information. This request for hardware and software would provide a second station for data input. The PC would be hooked to the mainframe, and have the capability to download data. Grant summaries, now requested in hard copy from the Research Foundation, would be produced locally.

1988-89 OR-5  
Budget

Sponsored Funds - Purchasing (9319)

Salaries and Wages

<u>Position</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Purchase Assoc.	PR 2	1.00	37,023	1,851	38,874	9,330
Purchasing Agent	018	1.00	29,350	2,645	31,995	7,679
Purchasing Agent	018	1.00	-	-	29,182	7,004
Principal Clerk	011	1.00	23,739	1,187	24,926	5,982
Sr. Clerk	007	1.00	19,277	964	20,241	4,858
Data Entry Mach. Oper	004	.50	7,319	499	7,818	1,876
<b>Total</b>		<b>5.50</b>	<b>116,708</b>	<b>7,146</b>	<b>153,036</b>	<b>36,729</b>
Temporary Service					3,226	775
Total S & W						193,766
<u>OTPS</u>						
Supply						820
Travel						300
General						7,739
Equipment (one-time)						<u>1,100</u>
Total OTPS						9,959
Total Budget						\$ 203,725

Requested Increases (included above)

Justification attached

1. Purchasing Agent, Grade 18	
S&W = \$29,182, FB = \$7,004	\$ 36,186
2. Office Equipment for New Purchasing Agent	<u>1,100</u>
Total Requested Increases	\$ 37,286
Total Budget	\$ 203,725

3. PURCHASING

- a) Grade 18 Purchasing Agent \$29,182  
Fringe - \$ 7,004

The professional staff has not been augmented since 1979. Since that time, the number of purchase requisitions handled annually has increased by 73%, while the dollar value has grown by 300%. Although several efficiency measures have been introduced over time and both Tom and Charlene frequently work beyond normal business hours, the turnaround time from requisition to purchase order has increased from three days to ten. Consequently, research project directors are now being served less well than account managers on the State side, as may be inferred from the following table:

		<u>Apr. 88</u>	<u>May 88</u>
Reqs. on hand end-of-month:	State	67	81
	Research	125	196

Complaints from project directors are becoming increasingly common. Besides processing purchase orders, purchasing agents also provide consultation to project directors in the budget making effort at the time of application for an award. The dollar volume of applications has increased 140% over the past four years.

- b) Office equipment for purchasing agent \$ 1,100  
Chair, file cabinet, calculator  
also telephone monthly charges

4. EQUIPMENT MANAGEMENT

- a) Reclassification adjustment \$ 2,400  
Fringe \$ 576

Justification is contained in separate reclassification action.

1988-89 OR-5  
Budget

Equipment Management (9320)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Assistant Director	PR 3	1.00	37,565	1,878	41,843	10,042
Account Clerk		.50	7,319	499	7,818	1,876
Total		1.50	44,884	2,377	49,661	11,918
Total S&W						61,579

OTPS

Travel	54
Supply	137
Equipment	820
Total OTPS	1,011
Total Budget	\$ 62,590

Requested Increases (included above)  
Justification attached

1. Reclassification of Assistant Director from PR-2 to PR-3 S&W = \$2,400, FB = \$576	\$ 2,976
Total Requested Increases	\$ 2,976
Total Budget	\$ 62,590



1988-89 OR-5  
Budget

Safety (9310)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Technical Specialist	PR 2	1.00	33,234	1,662	34,896	8,375
Technical Specialist	PR 2	1.00	24,150	1,208	25,358	6,086
Data Entry Mach. Op.	004	1.00	15,300	816	16,116	3,868
		3.00	72,684	3,686	76,370	18,329
Total S&W						94,699
<u>OTPS</u>						
Supply						2,109
Travel						56
Consultant						2,245
General						17,747
Equipment						<u>3,440</u>
Total OTPS						25,597
Total Budget						\$120,296

1988-89 OR-5  
Budget

Controller (9307)

Salaries and Wages

<u>Position</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Proj. Assoc.	R02	.70	26,250	1,313	27,563	6,615
Technical Assistant	PR 1	.50	7,009	-0-	7,009	1,682
Total		1.20	33,259	1,313	34,572	8,297
Temporary Service					6,000	1,440
Professional Merit					7,728	1,854
Total S&W						\$59,891
<u>OTPS</u>						
Supply						-
Travel						-
Consultant						-
General						2,620
Terminal Maintenance						816
Equipment						564
Total OTPS						4,000
Total Budget						\$63,891

1988-89 OR-5  
Budget

Plant Department (9322)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc	1988-89 Budget	Fringe Benefits
Research Assistant	PR-1	1.0	\$14,400	720	\$15,120	\$ 3,629
Refrigeration Mechanic	012	1.0	-	-	\$20,708	\$ 4,970
Mail & Supply Clerk	005	1.0	-	-	\$13,938	\$ 3,345
Cleaner		.25	\$ 4,516	226	\$ 4,742	\$ 1,138
<b>Total</b>		<b>3.25</b>	<b>\$18,916</b>	<b>946</b>	<b>\$54,508</b>	<b>\$13,082</b>
<b>Total S&amp;W</b>						<b>\$67,590</b>

Requested Increases (included above)

Justification attached

1. Refrigeration Mechanic, Grade 12 S&W = \$20,708, FB = \$4,970	\$ 25,678
2. Mail and Supply Clerk S&W = \$13,938, FB = \$3,345	\$ <u>17,283</u>
<b>Total Requested Increases</b>	<b>\$ 42,961</b>
<b>Total Budget</b>	<b>\$ 67,590</b>

1. PLANT

1 Grade 12 Refrigeration Mechanic	\$20,708
(Equipment Repair Support)	
Fringe	4,970

The Physical Plant department, and more specifically the refrigeration maintenance shop, maintains and repairs hundreds of independent air conditioning units in support of research activities, and also is responsible to repair the campus' technical and special research equipment ranging from centrifuge to distillation machines.

Examples include equipment in Orville's Lightning Detection Center, the Biology labs, Steve DeLong's Geological Sciences, climate control equipment in the ASRC and electronic microscopes.

The workload is expected to continue increasing, since 9 out of 10 items of technical equipment purchased in recent years are research related. Such repairs have never been recharged.

Currently 6 refrigeration mechanics perform the necessary repairs to this technical equipment as well as to over 1,600 pieces of refrigeration equipment on campus. Research Foundation work occupies the time of more than 1 FTE.

PLANT

1 SG 5 Mail and Supply Clerk \$13,938  
Fringe \$ 3,345

The existing workload is processed by a permanent staff of 15 after losses of prior years. Workload has been increasing in the mailroom over the last few years.

As a result, in order to cope with the everyday processing of the mail, the Director and/or Administrative Aide have been forced, with increasing frequency, to step into the operating line and sort or deliver mail, leaving their administrative and supervisory duties unattended, with serious consequences.

This request is for one clerk (an increase of 6.67%) to relieve current workload pressures and meet anticipated increases in 1988-89.

During the Planning meeting with the President last Fall, problems of mail processing were discussed and the need for an operations survey crystallized. Bernie Lynch conducted that survey indicating several weaknesses attributable to understaffing requiring attention and time of the SG 13 and the PR-1.

Unless an additional mail processor is approved, very important areas will go unattended viz. maintenance of adequate user manuals, adequate liaison with departments, proper supervision over downtown campus and effecting economies within the mailroom and within the departments.

The increase in the workload is seen to be attributable entirely to a continuing growth in the volume and complexity (with special emphasis on internationalization) of research activities. For example,

	<u>1985-86</u>	<u>1986-87</u>	<u>1987-88</u>	<u>Increase Over Two Years</u>
Amount invoiced to RF	\$49,393	\$59,963	\$70,000	40%
Amount invoiced to RF as % of total charges	9%	12%	14%	56%

1988-89 OR-5  
Budget

Office for Research (9306)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc.	1988-89 Budget	Fringe Benefits
Asst. VP/Director	PR 4	1.00	57,000	2,850	59,850	14,364
Associate Director	PR 3	1.00	36,567	1,828	38,395	9,215
Associate Director	PR 3	1.00	32,762	1,638	34,400	8,256
Assoc. for Spon. Prog.	PR 2	1.00	25,358	1,268	26,626	6,390
Assistant Director	PR 2	1.00	30,280	1,514	31,794	7,631
Editorial Assistant	PR 1	1.00	18,000	900	20,790	4,990
Research Assistant	RO1	.50	8,844	442	9,286	2,229
Administrative Aide	011	1.00	23,942	1,197	25,139	6,033
Senior Stenographer	009	1.00	20,521	1,026	21,547	5,171
Clerk	003	.70	10,501	806	11,307	2,714

Total	9.20	263,775	13,469	279,134	66,993
Total S&W					346,127

OTPS

Supply	2,735
Travel	11,250
Consultant	4,500
Equipment	<u>2,800</u>

Total OTPS 21,285

Total \$367,412

Requested Increase (not included above)

Justification attached

1. Salary increase for Editorial Assistant (S&W = \$1,890, FB = \$454)	\$ 2,344
Total Requested Increases	\$ <u>2,344</u>
Total Budget Requested	\$367,412

**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

Office for Research  
518 442-3510

Administration 218  
Albany, New York  
12222

To: Jeanne Gullahorn  
From: Frank J. DiSanto *FJD*  
Subj.: 1988-89 OR-5 Budget Adjustment  
Date: 14 June, 1988

Pursuant to our discussion of yesterday afternoon, I considered the appropriate adjustment for our Editorial Assistant (PR-1). A 10% increase would bring this position to an annual salary of \$20,790 (\$18,900, plus \$1,890). I believe this to be an adequate reflection of the work responsibilities of this individual. Accordingly, I suggest you request the following increase to the Office for Research (9306) budget:

Salaries and Wages:	\$1,890
Fringe Benefits:	<u>454</u>
Total	\$2,344

Please let me know if there are any issues you would like to discuss.

*Rsch Dev + Incentive*  
*\$70K Increase from 130 → 200K*

OFFICE OF THE  
VICE PRESIDENT  
**RECEIVED**  
JUN 14 1988  
**RECEIVED**  
FOR RESEARCH

1988-89 OR-5  
Budget

Development and Incentive Support (9360)

Salaries and Wages

Position	Grade	FTE	Current Salary	1988-89 Salary Inc.	1988-89 Budget	Fringe Benefits
Sr. Typist	007	1.0	11,904	595	12,499	3,000
Total			11,904	595	12,499	3,000

Total S&W

15,499

OTPS

Scholarly Journals	18,200
Industrial Linkages	9,500
Distinguished Lecture Series	1,000
Development Meetings	2,000
General Support	<u>6,499</u>

Total OTPS

37,199

Total Budget

\$52,698



1988-89 OR-5  
Budget

Research Center Support (9308, 9309, 9313)

Salaries and Wages

<u>Position</u>	<u>Center</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Acct. Clerk <sup>1</sup>	ASRC	005	.55	12,430	622	13,052	3,132
Sr. Steno <sup>2</sup>	Biology	009	.50	4,500	-0-	4,500	1,080
Asst. to <sup>3</sup> Director	Hindelang	-	.50	15,560	778	16,338	3,921
Total			1.55	32,490	1,400	33,890	8,133
Total Budget							42,023

1. Position funded for value of .55 FTE.
2. Position funded for dollar amount of \$4,500 which remains constant.
3. Position funded for value of .50 FTE

1988-89 OR-5  
Budget

Research Development and Incentive	\$200,000
University Awards Program	150,000

Requested Increases (included above)  
Justification attached

1. Increase Research Development and Incentive	\$ 70,000
Total Requested Increases	\$ 70,000
Total Budget	\$350,000

1988-89 INITIAL ALLOCATION  
DEVELOPMENT AND INCENTIVE ACCOUNT  
REQUESTED INCREASE

+ \$70,000

THE CURRENT BUDGET FOR THE DEAN'S DEVELOPMENT AND INCENTIVE ACCOUNT IS \$130,000. THIS AMOUNT HAS REMAINED RELATIVELY CONSTANT SINCE 1983 WHEN THE CAMPUS TOOK GREATER CONTROL OVER INCENTIVE FUNDING. UP UNTIL 1983 THE FUNDING HAD HOVERED AROUND \$80,000. SINCE THAT TIME DIRECT EXPENDITURES BY RESEARCHERS HAVE INCREASED FROM \$11,300,000 IN 1983 TO \$24,800,000 IN 1987.

THERE ARE INSTITUTIONS WHERE RESEARCHERS ARE RETURNED UP TO 10% OF INDIRECT COST RECOVERED. AT THIS TIME WE RETURN DIRECTLY ABOUT 3% IN THE FORM OF THE ANNUAL DEAN'S INCENTIVE FUND OF \$130,000.

WE REQUEST AN ADDITION OF \$70,000 BRINGING THE RETURN PERCENTAGE TO 4.4%. THE ALLOCATION WOULD ALLOW FOR ADDITIONAL BRIDGE FUNDING, INVESTMENT OPPORTUNITIES AND MEETING OF NEW RESEARCH COSTS UNFUNDED AT THE DEANS' LEVEL. IT WOULD ALSO SERVE TO ENRICH THE TRUE "INCENTIVE" AT THE RESEARCHERS LEVEL, HOPEFULLY INCREASING OUR OPPORTUNITIES FOR INCREASING THE RESEARCH BASE. THIS WILL BE CRUCIAL AS THE STATE'S FUNDING OF THE GRI WILL REQUIRE ADDITIONAL INDIRECT COST RECOVERED EACH YEAR IN THE FUTURE.

1988-89 OR-5  
Budget

Office of Laboratory Animal Services (9321)

Salaries and Wages

<u>Position</u>	<u>Grade</u>	<u>FTE</u>	<u>Current Salary</u>	<u>1988-89 Salary Inc</u>	<u>1988-89 Budget</u>	<u>Fringe Benefits</u>
Animal Caretaker	005	1.0	14,000	1,259	15,259	3,662
Animal Caretaker	005	1.0	14,000	1,153	15,153	3,637
Animal Caretaker	005	0.5	7,000	483	7,483	1,796
Total		2.5	35,000	2,895	37,895	9,095
Total S&W						46,990

OTPS

Supply	750
Travel	1,500
General	2,950
Consultant (Veterinarian)	26,000
Equipment	<u>2,000</u>
Total OTPS	\$33,200
Total Budget	\$80,190

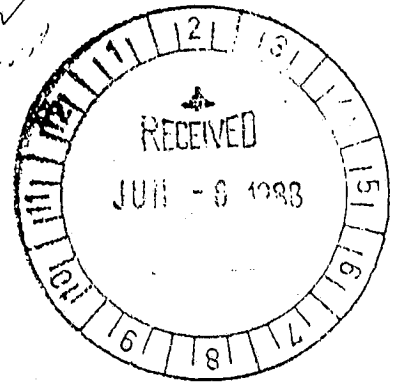


The Research Foundation of  
State University of New York  
P. O. Box 9  
Albany, New York 12201-0009

Office of the Secretary-Treasurer

(518) 434-7050

*cc memo  
6/6/88  
Stanley  
JCH*



June 3, 1988

Mr. John Hartigan, Jr.  
Vice President for Finance  
and Business  
SUNY at Albany  
1400 Washington Avenue  
Albany, New York. 12222

Dear John:

Based upon our preliminary Income Distribution Plan for  
FY 88-89, the July 1 allocation for your campus is \$1,908,314.

Please provide budgets, including category detail if desired,  
for the accounts into which you wish these funds to be placed. In  
planning your allocations, please bear in mind that your 1987-88  
administrative accounts are closed out each year as of June 30 following  
payment of outstanding encumbrances and any remaining funds carried  
forward as support or development allocations. Also, if there are any  
remaining 87-88 funds as yet unallocated, these also must be allocated  
for support or development.

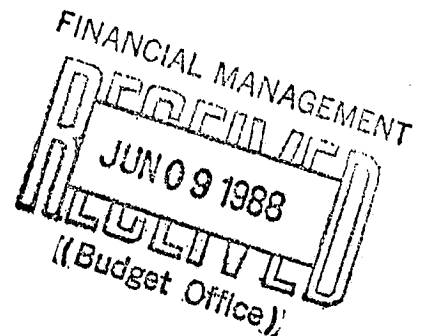
I will finalize the plan in July using actual FY 87-88 data  
to compute your target. I will also need your confirmation of a revised  
estimate of indirect cost recovery for FY 88-89.

If you have any questions, please call.

Sincerely,

*Stan*  
Stanley G. Hickok  
Secretary-Treasurer

cc: Mr. Frank DiSanto  
Ms. Jacqueline DiStefano  
Ms. Paula Ryan



Acct #	Account	Base Budget					Requested Increases					Total Budget Requested				
		Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total	Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total	Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total
9305	Accounting	196,224	47,095	10,108	3,337	256,764	10,103	2,425	0	3,000	15,528	206,327	49,520	10,108	6,337	272,292
9318	Personnel	132,433	31,783	3,190	2,750	170,156	9,087	2,181	0	2,500	13,768	141,520	33,964	3,190	5,250	183,924
9319	Purchasing	127,080	30,500	8,859	0	166,439	29,182	7,004	0	1,100	37,286	156,262	37,504	8,859	1,100	203,725
9320	Equipment Management	47,261	11,342	191	820	59,614	2,400	576	0	0	2,976	49,661	11,918	191	820	62,590
9310	Safety	76,370	18,329	22,157	3,440	120,296	0	0	0	0	0	76,370	18,329	22,157	3,440	120,296
9307	Controller	48,300	11,591	3,436	564	63,891	0	0	0	0	0	48,300	11,591	3,436	564	63,891
9306	Office for Research	277,244	66,539	18,485	2,800	365,068	1,890	454	0	0	2,344	279,134	66,993	18,485	2,800	367,412
9360	Incentive/Development Support	12,499	3,000	37,199	0	52,698	0	0	0	0	0	12,499	3,000	37,199	0	52,698
9308	Research Center Support	33,890	8,133	0	0	42,023	0	0	0	0	0	33,890	8,133	0	0	42,023
9309																
9313																
9700	Development and Incentive	0	0	130,000	0	130,000	0	0	70,000	0	70,000	0	0	200,000	0	200,000
	University Awards Program	0	0	150,000	0	150,000	0	0	0	0	0	0	0	150,000	0	150,000
9321	Lab Animal Services	37,895	9,095	31,200	2,000	80,190	0	0	0	0	0	37,895	9,095	31,200	2,000	80,190
9322	Plant Department	19,862	4,767	0	0	24,629	34,646	8,315	0	0	42,961	54,508	13,082	0	0	67,590
	Escrow for Decentralization						18,818	4,516	0	2,500	25,834	18,818	4,516	0	2,500	25,834
TOTAL		1,009,058	242,174	414,825	15,711	1,681,768	106,126	25,471	70,000	9,100	210,697	1,115,184	267,645	484,825	24,811	1,892,465

Initial Allocation 1,908,314

1,908,314

Balance 226,546

15,849

Base Budget					Approved Increases /1					Total Budget				
Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total	Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total	Personal Service	Fringe Benefits	Supplies & Expense	Equip	Total
196,224	47,095	10,108	3,337	256,764	10,103	2,425	0	3,000	15,528	206,327	49,520	10,108	6,337	272,292
132,433	31,783	3,190	2,750	170,156	9,087	2,181	0	2,500	13,768	141,520	33,964	3,190	5,250	183,924
127,080	30,500	8,859	0	166,439	29,182	7,004	0	1,100	37,286	156,262	37,504	8,859	1,100	203,725
47,261	11,342	191	820	59,614	0	0	0	0	0	47,261	11,342	191	820	59,614
76,370	18,329	22,157	3,440	120,296	0	0	0	0	0	76,370	18,329	22,157	3,440	120,296
48,300	11,591	3,436	564	63,891	23,108	5,546	0	2,500	31,154	71,408	17,137	3,436	3,064	95,045
277,244	66,539	18,485	2,800	365,068	0	0	0	0	0	277,244	66,539	18,485	2,800	365,068
12,499	3,000	37,199	0	52,698	0	0	0	0	0	12,499	3,000	37,199	0	52,698
33,890	8,133	0	0	42,023	0	0	0	0	0	33,890	8,133	0	0	42,023
0	0	130,000	0	130,000	0	0	0	0	0	0	0	130,000	0	130,000
0	0	150,000	0	150,000	0	0	0	0	0	0	0	150,000	0	150,000
37,895	9,095	31,200	2,000	80,190	0	0	0	0	0	37,895	9,095	31,200	2,000	80,190
19,862	4,767	0	0	24,629	34,646	8,315	0	0	42,961	54,508	13,082	0	0	67,590
					0	0	0	0	0	0	0	0	0	0
1,009,058	242,174	414,825	15,711	1,681,768	106,126	25,471	0	9,100	140,697	1,115,184	267,645	414,825	24,811	1,822,465

Initial Allocation 1,908,314 1,908,314

Balance 226,546 85,849

ment/Office for Research held in Controller's account.

tralization held in Controller's account.



The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

December 21, 1987

*Indirect  
Costs from  
State Agency Psch*

M E M O R A N D U M

TO: Dr. Jeanne E. Gullahorn  
FROM: John F. Buckhoff, Jr. *JF*  
SUBJECT: The State as a Sponsor

I want to thank you for the useful discussion we had by teleconference on the subject. The points raised in that discussion and provided subsequently are all well taken.

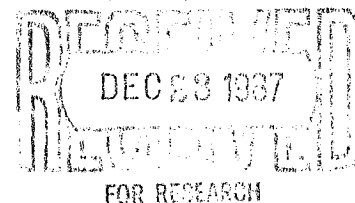
As I mentioned, it is important that we have a consistently applied policy given the growing utilization of SUNY resources by the State. I believe the enclosed approach establishes a framework within which you have flexibility to accommodate the issues raised by you and your colleagues.

We shall work it out as we go along. Let me know if problems arise that are troublesome.

Enclosure

cc: Acting Chancellor Komisar  
Dr. Burke  
Mr. Tenbeau  
Mr. Hickok  
Mr. Gordon

OFFICE OF THE  
VICE PRESIDENT







**The Research Foundation of  
State University of New York**  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

December 21, 1987

M E M O R A N D U M

**TO:** Campus Sponsored Program Officers  
Campus Fiscal Designees

**SUBJECT:** Indirect Cost Recovery - Research and Other  
Programs Sponsored by New York State

The volume of research and other programs sponsored by the State and funded entirely by appropriated State-purpose allocations is growing. In each case, the Foundation enters into a formal contract with the State entity concerned.

These programs are in the same category as those from any other sponsors with one notable exception. Unlike other sponsors, the State has provided indirect cost funds, in the first instance, through the State Operations appropriation. The only indirect costs not, therefore, already provided in the first instance by the State are the overhead costs of the Research Foundation (RF overhead).

The administrative overhead cost of the Research Foundation, combining both Central Office and campus operations, was established at 11.4% of total direct costs for FY 87-88. However, this rate includes only administrative cost allocated by the campuses against the total RF campus allocation not funded in the first instance by the State. Not included are support costs currently funded by the Foundation and also not funded in the first instance by the State. However, these by definition directly relate to the conduct of sponsored programs on the campuses and represent a legitimate RF sponsored program overhead cost. For this reason, it is anticipated that the FY 88-89 RF overhead rate will be established at 15% of total direct costs.

For the purposes of applying the RF overhead rate to sponsored projects and accounting for the return, the Foundation considers New York State as one sponsor regardless of the Branch of State

Sponsored Program Officers  
and Fiscal Designees

-2-

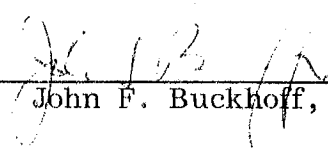
December 21, 1987

Government and related agency, commission, office, etc. making the award or providing the contract since the State Comptroller as a single entity is the final executor.

Budgeting RF overhead for programs sponsored by the State will be done in the context of these definitions of the RF overhead cost and the State as a single sponsor. The objective is to finish each fiscal year with an aggregate indirect cost return by the Foundation from the State on all such programs equivalent to the established RF overhead rate for the year. The campus is responsible for managing the establishment of individual project budgets comprising that total program to achieve this objective.

This policy does not apply to programs funded by Federal funds flowing through State Agencies. In essence, these projects are being conducted through State Agencies for the Federal Government who has not provided indirect cost funds in the first instance. In these cases, the full Federal Rate will be budgeted.

The difficulty in gaining State Agency personnel understanding of the sponsored program grant and contract process is recognized. We will be pleased to participate with you in negotiations on project budgets if you would find that to be of assistance.

  
\_\_\_\_\_  
John F. Buckhoff, Jr.

cc: Mr. Tenbeau  
Mr. Hickok  
C&G Administrators

Problem -

Indirect Cost  
From St. Supported  
Agencies ✓

Increase in amt of rsch.  
supported from  
appropriated - state - purpose funds

Negotiating ind. cost rates -

Probl. -

state legislature (projects originate)

Stony Brook + Buff - 2 insts <sup>U + Fdn.</sup> <sup>included for ind. cost.</sup>  
- several million  
position of legislature  
providing approp. <sup>payments</sup> state \$ to cover  
ind. cost exp.  
except for RF expenses  
= 11.4% this yr.

Want consistent approach for  
fully state-funded projects  
11.4%

6-8% across system -  
so 11.4% will overall increase

11.4% = average RF costs -  
some projects involve extraordinary costs  
advice = budget costs on direct cost  
side -  
so budgeting watched closer

11.4% based on sponsored prog admin -

not for support  
not for development.

Obj 1 - estab admin. + support -  
or more, rate to 12-14%

Level of funding to cover ind. cost -

Fully funded by state - appropriated \$ -

Directly from state <sup>St. pass thru funds -</sup>  
includes Long Island Water Authority  
key = original source of funds -

Stat Ed

Soc Services

Who will make determination - pass-thru vs state-approp.  
Fed. vs. non-fed code -

What do if a mix. of funding? -  
(does not fall under policy)

Epelude

Stat of Ed.

Dept of Soc. Services -

(Have to cost-share to  
make match -  
Try to get 15% -

Will policy be concurrent DOB?

No -

DOB wants full overhead recovery -

If don't get 11.4% -  
RF want to be involved  
if can't - the money will be appraised -

Arizona costs ~ 60%  
Fund of state-funding  
does not cover incremental costs of profits

Int. support services study (Dick Brown at  
Stony Brook) - compares centers on levels of  
actual expenditures  
does not show optimum level needed -  
Want to get comparable data for  
support services

The Research Foundation of State University of New York  
 Analysis of Direct and Indirect Cost Recovery by Program Classification  
 SUNY All Locations  
 Fiscal Year 1987-88

	Total Program Costs	Direct Costs Recovered	Direct Costs Shared	Indirect Costs Recovered	Indirect Costs Unrecovered	Indirect Costs Unrecovered Due To		
						Cost Sharing	Rate Negotiation	Sponsor Policy Limitations
Research	\$179,676,700	\$109,260,668	\$19,640,906	\$30,417,915	\$20,357,211	\$10,797,659	\$3,011,111	\$6,548,441
Educational Support	42,276,922	31,656,640	1,971,110	2,429,443	6,219,728	1,864,353	199,375	4,156,000
Public Service	24,486,530	15,933,070	1,423,271	1,256,638	5,873,550	2,191,730	171,583	3,510,237
Inst'l & Dept'l Support	12,668,413	11,149,622	234,912	496,004	787,876	28,424	0	759,452
	<u>259,108,565</u>	<u>168,000,000</u>	<u>23,270,199</u>	<u>34,600,000</u>	<u>33,238,366</u>	<u>14,882,166</u>	<u>3,382,069</u>	<u>14,974,131</u>

Note: University cost sharing for Educational Support, Public Service, and Institutional and Departmental Support is not recoverable under current sponsor policy.

Column 1 is the sum of columns 2 through 5.

Column 5 is the sum of columns 6 through 8.



The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

December 3, 1987

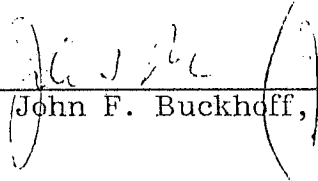
MEMORANDUM

TO: Campus Sponsored Program Coordinators  
Campus Fiscal Designees

SUBJECT: Conference Call - December 9, 1987

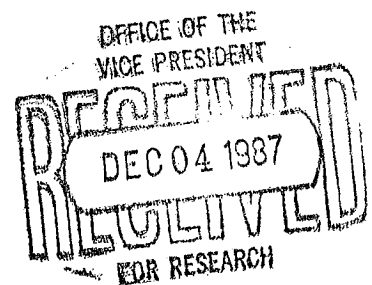
Please review the attached. We are scheduling a conference call for Wednesday, December 9 at 11:00 a.m. and would like you to take part in this call to discuss the attached issue.

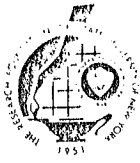
My office will be in touch with you on Monday, December 7 to see if you are able to participate in the conference call.

  
\_\_\_\_\_  
John F. Buckhoff, Jr.

Attachment

cc: Mr. Hickok  
Mr. Tenbeau





The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

**DRAFT**

December 1, 1987

M E M O R A N D U M

TO: Campus Sponsored Program Coordinators  
Campus Fiscal Designees

SUBJECT: Interim Indirect Cost Rate - Research and Other  
Programs Sponsored by New York State

The volume of research and other programs sponsored by the State and funded entirely by appropriated State-purpose allocations is growing. In each case, the Foundation enters into a formal contract with the State Agency concerned.

These programs are in the same category as those from any other sponsors with one notable exception. Unlike other sponsors, the State has provided indirect cost funds, in the first instance, through the State Operations appropriation. The only indirect costs not, therefore, already provided in the first instance by the State are the costs of the Research Foundation.

On this basis, and effective January 1, 1988, budgets for all projects to be awarded by the State and funded wholly by appropriated State-purpose funds will carry a fixed indirect cost charge of 11.4% of total direct cost.

That rate represents only those administrative costs currently funded by the Research Foundation for FY 87-88, both corporate and on the campuses associated with the administration of grants and contracts. Not included are support costs currently funded by the Foundation but not funded in the first instance by the State. We are examining that specific issue. For this reason both the rate and this interim exception to the Foundation's Indirect Cost Policy is effective through June 30, 1988 and is subject to revision after that date.



Sponsored Program Coordinators -2-  
and Fiscal Designees

December 1, 1987

We will be pleased to participate with you in negotiations on project budgets with State entities if you would find that to be of assistance.

---

John F. Buckhoff, Jr.

Enclosure

cc: Mr. Hickok  
Mr. Tenbeau  
C&G Administrators  
Mr. Spindler  
Mr. Gordon

NON-FEDERAL STATE AGENCY EXPENDITURES  
FISCAL YEAR ENDED JUNE 30, 1987

S.U.N.Y. ALBANY

SPONSOR	TOTAL DIRECT	TOTAL INDIRECT	ROR
NYS EDUCATION DEPARTMENT	106,388	0	0.0
NYS DEPARTMENT OF SOCIAL SERVICES	14,246	0	0.0
NYS CMSN/CRIM JUSTICE/USE OF FORCE	52,686	7,903	15.0
NYS CSEA SAFETY&HLTH MAINTNANCE COM	14,693	2,204	15.0
NYS DEPARTMENT OF CIVIL SERVICE	17,697	2,655	15.0
NYS DEPARTMENT OF COMMERCE	40,582	6,087	15.0
NYS DEPARTMENT OF HEALTH	2,386	358	15.0
NYS DEPARTMENT OF LABOR	47,749	7,162	15.0
NYS DEPARTMENT OF STATE	7,800	0	0.0
NYS DEPARTMENT OF TRANSPORTATION	4,610	522	11.3
NYS DEPT OF CORRECTIONAL SERVICES	70,736	10,610	15.0
NYS DEPT OF ENVIRONMENTAL CONS	1,258	126	10.0
NYS DIVISION OF PAROLE	8,662	1,105	12.8
NYS DIVISION OF THE BUDGET	3,351	804	24.0
NYS DMH-MENTAL HEALTH	3,456	518	15.0
NYS DMH-MENTAL RETARDATION	12,071	1,811	15.0
NYS ENERGY RES & DEV AUTHORITY	321,300	9,000	2.8
NYS HEALTH RESEARCH COUNCIL	4,413	0	0.0
NYS O D HECK DEVELOPMENTAL CENTER	9,485	0	0.0
NYS OFFICE OF COURT ADMINISTRATION	37,469	4,512	12.0
NYS OFFICE OF EMPLOYEE RELATIONS	2,219,114	227,925	10.3
NYS OFFICE OF GENERAL SERVICES	6,433	837	13.0
NYS OFFICE OF PARKS & RECREATION	3,442	503	14.6
NYS POWER AUTHORITY	47,286	7,093	15.0
NYS SCIENCE & TECHNOLOGY FOUNDATION	13,505	8	0.1
STATE UNIVERSITY OF NEW YORK	6,554	0	0.0
TOTAL	3,077,372	291,743	9.5

12/2/87



State University of New York

State University Plaza  
Albany, New York 12246

Vice Chancellor for  
Research, Graduate Studies,  
and Professional Programs

MEMORANDUM

TO: Directors of Animal Laboratories

FROM: Dr. Alden N. Haffner

A handwritten signature in black ink, appearing to read "Alden N. Haffner".

DATE: November 3, 1987

RE: Indirect Cost Rates

Enclosed, herewith, is a copy of a memorandum from The Research Foundation of State University of New York. It will be helpful to you in seeking help to support the animal research facilities when used by researchers who receive external funding. As you will recall, this matter was extensively discussed at our recent conference.

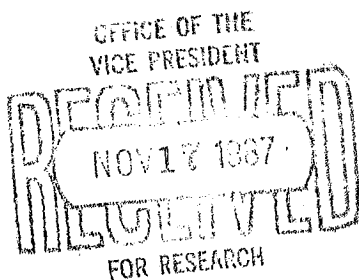
ANH:ew

Enclosure

cc: (w/Enclosure)

V.P. for Administration

V.P. for Graduate Studies and Research



THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK

M E M O R A N D U M

S.U.N.Y. - STATE  
COLLEGE OF OPTOMETRY  
RECEIVED  
NOV 2 1987

October 27, 1987

OFFICE OF THE PRESIDENT

TO: Dr. Haffner

FROM: Roberta Teliska

SUBJECT: Animal Facilities and Indirect Cost Rates

As a result of questions raised at the conference on care and use of animals in research, I checked whether costs for animal facilities are part of the indirect cost rate. I found that, essentially, all of the direct costs for the animal facilities at SUNY/Buffalo, SUNY/Stony Brook, HSC-Syracuse and HSC-Brooklyn are not included in the indirect cost rate. By direct costs, I mean those expenses appropriated by the State for the facility's specific chart of accounts such as personnel, animal costs, supplies, etc. Therefore, these costs should be charged directly to sponsored programs provided there is appropriate documentation.

The only cost that is included in the indirect cost rate at these campuses is the maintenance and operation costs associated with the space occupied by the facility (e.g., utilities, janitorial service, security, etc.).

For the other campuses, none of the costs of the animal facility are included in the indirect cost rate.

The Administrators in OCGA are advising their sponsored fund contacts at the campuses of the above information.

cc: Mr. Tenbeau

*James  
Hale*



The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246-0001

Executive Vice President

*Indirect cost rates*

RECEIVED

JUL 09 1987

OFFICE OF THE  
PRESIDENT

July 6, 1987

President Vincent O'Leary  
State University at Albany  
1400 Washington Avenue  
Albany, New York 12222

Dear Vince:

We have now concluded the Indirect Cost Rate negotiation process with DHHS for the annual period beginning July 1, 1987. Those results are enclosed.

Two substantive concerns were expressed during the negotiating process (letters from Presidents O'Leary and Sample enclosed). The first addressed faculty perception that an increase in rates would result in a reduction of funds available for research. In considering the validity of that concern, we need to weigh the following:

- °Overhead costs related to support of sponsored programs are real costs not fully accommodated in the current SUNY budgeting formula.
- °The overhead rates for FY 87-88, even as increased, still would not recover full costs if applied in total to each sponsored project. Put in another way, campus operating budgets contribute substantial support to sponsored program activity.
- °To achieve excellence, an increase in sponsored research and training programs is a key ingredient. At the same time, care must be taken not to dilute the basic educational mission resource base.
- °SUNY/RF policy has long been to hold harmless research project budgets. When necessary, campus presidents have the authority to insure that the planned research will be conducted by reducing the amount of overhead recovery on a given project.
- °Federal funds available for research in the aggregate continue to increase each year albeit not uniformly across the disciplines.

July 6, 1987

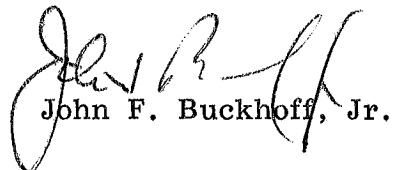
I conclude from all of this that, absent an additional significant infusion of State-purpose support funding, it continues to be essential that overhead revenues from sponsored programs are recovered to the maximum possible degree. Second, faculty in disciplines carrying Federal priority should not be affected by overhead rates if projects are budgeted properly. Faculty in less well funded disciplines should not be disadvantaged given campus presidents' ability to adjust overhead rates.

The second issue relates to the amount of overhead recovery received by the campus generating the income. During 1987-88, almost 70% of estimated Foundation income will return to campuses in direct support of research and graduate education, 30% will support RF corporate operations and University-wide programs. That 30% will be reviewed by our Board Budget Committee in October in light of SUNY's new budget flexibility and an RF operations review now underway.

One historical irritant has been and is the fact that the 30% has been borne almost entirely by the seven research campuses. Put in another way, the large campuses subsidize sponsored program support on the smaller campuses. The smaller campus missions and related sponsors policies preclude recovery of overhead in the same relative percentage as the larger campuses. At the same time, a real cost is involved which must be met by the University. A different source of funding becomes a University policy issue beyond the Research Foundation.

I hope the foregoing will serve to clarify the current direction taken on these two issues.

Sincerely,



John F. Buckhoff, Jr.

Enclosure

cc: Acting Chancellor Komisar  
Executive Council  
RF Senior Staff

Federal Indirect Cost Rates  
Comparison of Sponsored Research Rates (On-Campus)

	<u>1986-87 Rate</u>	<u>*1987-88 Full Reimbursement Rate</u>	<u>1987-88 Approved Reimbursement Rate</u>	<u>Increase Over Current Rate</u>	<u>Shortfall</u>
Albany	50.5	54.1	52.1	1.6	2.0
Binghamton	50.6	54.4	52.4	1.8	2.0
Buffalo	50.7	55.1	52.7	2.0	2.4
Stony Brook	50.6	54.4	52.4	1.8	2.0
Syracuse	52.7	54.2	53.5	0.8	0.7
Brooklyn	54.9	60.3	56.9	2.0	3.4
Environmental Science	51.0	58.7	53.0	2.0	5.7

\*Based on actual expenditures reported by the campuses for FY 85-86.

UNIVERSITY AT  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

Office of the President  
518 442-5400

RECEIVED

JUN 18 1987

June 16, 1987

OFFICE OF THE EXECUTIVE  
VICE PRESIDENT

Mr. John F. Buckhoff, Jr.  
Executive Vice President  
The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246

Administration 246  
Albany, New York  
12222

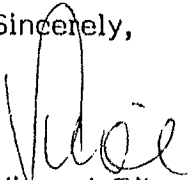
Dear John:

Thank you for soliciting our reaction to the proposed Federal indirect cost rate increase for FY 87-88 described in your letter of May 20, 1987. Although we share the objective of having more indirect cost recovery returned to campus, we are concerned about the proposed change in the rate for the University at Albany.

Our main concern relates to the impact of the proposed increase on our research faculty. Researchers at our University -- like their peers elsewhere -- are quite cognizant of the national debate over indirect costs and are well aware of the rationale for the recently imposed cap on administrative overhead. Our analysis of the basis for the proposed increase in the University at Albany indirect cost rate indicates that most of the rate increase comes from an increase in the administrative cost category, with most of that increase related to departmental administration. It is not clear how we can justify an increase on such a basis when, as you know, faculty already consider administrative costs too high and moreover have had their judgments (whether justifiable or not) reinforced by Federal cost containment efforts. Faculty challenges to the validity of such a rate increase and the erosion of the goodwill of many faculty toward the research enterprise (which they demonstrated in recent advocacy efforts during the state budget process) might well be counterproductive as we launch the GRI and seek to promote more grant activity among faculty.

Our recommendation, therefore, is that the indirect cost rate not be increased at this time for the University at Albany. Hopefully the review of Foundation operations will identify other means of increasing returns to campuses, for example by reducing administrative costs.

Sincerely,

  
Vincent O'Leary

6/18/87  
cc: Mr. Buckhoff





**UNIVERSITY AT BUFFALO**  
STATE UNIVERSITY OF NEW YORK

RECEIVED

JUN 29 1987

Office of the President  
Capen Hall  
Buffalo, New York 14260  
(716) 636-2901

OFFICE OF THE EXECUTIVE  
VICE PRESIDENT

June 18, 1987

Mr. John F. Buckhoff, Jr.  
Executive Vice President  
The Research Foundation of  
The State University of New York  
State University Plaza  
Albany, New York 12246-0001

Dear John:

Thank you for your recent letter regarding the negotiations for Federal indirect cost rates for FY 87-88 and the proposed sponsored research rates for individual campuses within State University. As you know, this topic is of great interest to both faculty and administration here at SUNY-Buffalo as we continue to strive for a major increase in our level of sponsored program activity. The SUNY Graduate and Research Initiative has, of course, improved our ability to do so. Accordingly, I would like to react to your suggestions in light of the concerted efforts, both here at SUNY-Buffalo and throughout the SUNY System, to attract a larger market share of external resources for research and training.

I believe such an increase in our market share as a campus, and indeed as a system, is absolutely essential to achieving the level of excellence to which we aspire. As you know, we do not come even close to receiving our market share of federal research dollars either as individual campuses or as a system. All of us are working to remedy that situation at a time when the competition for a limited amount of federal funding is increasingly severe. However, unlike any other public research university of which I am aware, less than half of the overhead costs recovered from externally sponsored research funding within SUNY is returned to the campus which generated the funding. Thus, we are trying strenuously to overcome an historical deficiency in federal research funds, while at the same time we continue to hamper ourselves by returning to our campuses a much lower fraction of recovered overhead costs than that received by the other public research universities with which we must compete.

Therefore, any proposal to negotiate an increase in approved indirect cost rates must be evaluated against its projected impact on present and future sponsored research efforts and outcomes. As you are well aware, John, the recent trend in various federal agencies has been to reduce the approved rates of indirect cost reimbursement, and it appears likely that there will continue to be considerable pressure from Washington to move in this direction. Moreover, many principal investigators feel that the total amount of available research funds is essentially fixed; therefore, from their perspective, the higher the rate of indirect cost recovery, the fewer the dollars that remain to be expended on research. I believe sizeable increases in indirect cost rates would be a disincentive to faculty, and would damage our competitive position at precisely the time at which we are striving most intensely to catch up with other premier public research universities.

To put it very simply, it would be much easier for me to support full recovery of indirect costs if much more of the indirect cost recovery were to be returned by the Research Foundation directly to the campuses which generate these funds. I am not opposed to a small increase in negotiated indirect cost rates, say on the order of two percent. But in view of the opposing trend of federal government support for indirect cost reimbursement, and the historically adverse situation faced by the research campuses in SUNY, I believe that any increase in approved indirect cost rates negotiated by the Research Foundation must be kept very small. Moreover, I believe strongly that any such increase must be accompanied by a substantial increase in the percentage of recovered indirect costs that is returned by the Research Foundation to the campuses. It is with respect to this last point that we especially need to be on an equal footing with other public research universities in competing for large federal grants.

Finally, on the other matter you raised in your letter, I am looking forward to the results of your review of Foundation operations centrally and on the campuses. As you know, we here at SUNY-Buffalo believe there are a number of functions performed centrally that can and should be performed at the campus level, especially in the case of the major research campuses. Over the long run our mutual goal of providing optimum support to principal investigators, while ensuring minimum indirect cost levels and maximum return of recovered overhead funds to the campuses, will be achieved only if there is a cost-effective balance between those functions that are centralized and those that are decentralized.

Mr. John F. Buckhoff, Jr.  
June 18, 1987  
Page 3

Please let me know, John, if you need any additional information or comments on these issues.

Sincerely,



Steven B. Sample  
President

xc: Acting Chancellor Jerome B. Komisar  
Provost Joseph C. Burke  
Senior Vice Chancellor Harry K. Spindler

*cc: Mrs. Nechach*

**UNIVERSITY AT**  
**ALBANY**  
STATE UNIVERSITY OF NEW YORK

*Jeanne Gullaborn*  
*Indirect cost*

Office of the President  
518 442-5400

June 16, 1987

Mr. John F. Buckhoff, Jr.  
Executive Vice President  
The Research Foundation of  
State University of New York  
State University Plaza  
Albany, New York 12246

Administration 246  
Albany, New York  
12222

Dear John:

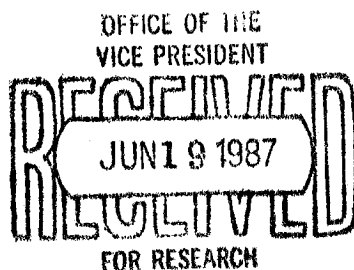
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Sincerely,

*Vincent O'Leary*  
Vincent O'Leary





UNIVERSITY AT BUFFALO

STATE UNIVERSITY OF NEW YORK

Office of the President  
Capen Hall  
Buffalo, New York 14260  
(716) 636-2901

*John  
BVI*

June 18, 1987

RECEIVED

JUN 29 1987

OFFICE OF THE  
PRESIDENT

Mr. John F. Buckhoff, Jr.  
Executive Vice President  
The Research Foundation of  
The State University of New York  
State University Plaza  
Albany, New York 12246-0001

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OFFICE OF THE  
VICE PRESIDENT

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JUN 30 1987  
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FOR RESEARCH

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Mr. John F. Buckhoff, Jr.  
June 18, 1987  
Page 3

Please let me know, John, if you need any additional information or comments on these issues.

Sincerely,



Steven B. Sample  
President

xc: Acting Chancellor Jerome B. Komisar  
Provost Joseph C. Burke  
Senior Vice Chancellor Harry K. Spindler

Indirect Cost Waivers

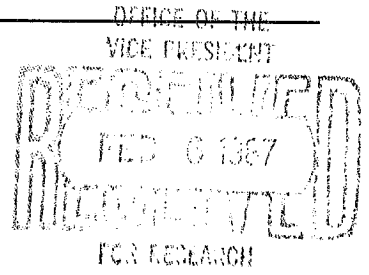
Office for Research  
518/442-3510

# State University of New York at Albany

Administration 218, Albany, New York 12222

## M E M O R A N D U M

TO: Vice President Gullahorn  
FROM: Georgia Hanchar *gh*  
DATE: 6 February 1987  
SUBJECT: William S.F. Kidd NASA Waiver



Dr. Kidd has informed Frank that due to the severe budget reduction NASA has enforced, he will be unable to accept our offer of a partial indirect cost waiver to 12.4%, (a reduction of \$3,590 from the normal 29.2% off campus rate). He has decided to relinquish control of the grant and have it transferred to Johns Hopkins University (which has offered a 5% overhead rate).

Dr. Kidd tried several times to persuade NASA to increase his budget by at least \$3,000 to cover our indirect costs. They absolutely refused him any additional money. Subsequently, he feels he has reduced the direct costs to the bare minimum needed to fund the project. Any further cuts would substantially harm the proposed research. The problem is that the bulk of the budget, the travel costs, are locked in and there is no room for reduction even though the field team has been pared down. For this reason he has reluctantly decided to turn over the grant and Project Director's duties to his collaborator at Hopkins. Kidd will continue to serve as the co-project director.

Dr. Kidd fully understands our position. His anger, if any, is directed at NASA for arbitrarily cutting his budget nearly in half while expecting the same quality of research. Frank still feels strongly that the partial waiver was the appropriate decision. To have waived all indirect costs in this case, was not justified given that NASA placed the entire burden of administering the project, essentially for free, on the Research Foundation.

We made every effort to compromise and accommodate both the NASA budget constraints and our administrative costs. Every research project is an important addition to the University and we certainly do not want to turn anyone away, however, we feel in this case every appropriate gesture was made.

I have attached copies of all correspondence connected with this issue. Please let me know if you have any questions or need further information.

Thank you.

GHH:smh  
Attachments



## State University of New York at Albany

---

Earth Science 351, Albany, New York 12222

February 2, 1987

Dr. William C. Phinney  
Program Manager - Early Crustal Genesis Project  
NASA Johnson Space Center  
Houston, TX 77058

Dear Dr. Phinney:

A revised budget for this grant is enclosed. Please note that it has been revised from an original application of \$43,810 (Direct costs \$34,700). The revision to \$24,500 total that you have offered is based on two main changes, one to the scope of the work to be accomplished, and the other to reducing the overhead charges to a minimum.

The change to the scope of the work to be accomplished is the deletion of the proposed investigations in the most remote area, Anialiak River. While it would have been better to do this work, its deletion will not substantially harm the project. We cannot, however, delete any of the other 3 areas without gutting the core of the proposal. Two of these have already had substantial time (and last year's money) invested in them, and must be completed this year. The third (Octopus Fm.) is absolutely essential to the study, and also must be completed this year for the goals of the original proposal to be accomplished.

In order to do this work, it is necessary for myself, Kusky and two assistants all to be there for 2 months minimum, and for DePaor to be there for 2-3 weeks. Thus the travel and subsistence costs cannot be cut beyond those shown in the revised budget, which are firmly based on last year's experience. If overhead is charged at more than 5%, this will leave insufficient funds to cover essential items (airphotos, thin sections, radio rental, and so on) which, you will note, form a beggerly tail end to the budget anyway.

That is why I am formally requesting, with this letter, that the grant be transferred to Johns Hopkins University, to be under Dr. Declan DePaor's supervision as PI, since he informs me that Hopkins have agreed to take it with 5% overhead charges, as opposed to the minimum of 12.4% offered here (see copy of memo from DiSanto, attached). I will continue my involvement with the project, but only as a co-investigator. I have sent a copy of this letter and the revised budget to DePaor at Hopkins and told him, following your instructions, to send it on to you with the appropriate Hopkins Business Office signature.

Yours sincerely,

W.S.F. Kidd  
Associate Professor

Budget Detail - Direct Costs

	<u>Initial Proposal</u>	<u>Revised Minimum Budget</u>
<u>Personnel</u>		
W.S.F. Kidd, Principal Investigator	\$ 400	---
T. Kusky, Graduate Student, summer salary	1,500	\$ 500
Field Assistants (summer)	2,000 (2)	\$ 2,000
Fringe Benefits at 24% (except students)	96	---
<u>Travel</u>		
Albany/Baltimore - Yellowknife, roundtrip	6,000 (6)	\$ 5,000 (5)
Float plane @ \$500/hr	12,000	8,000
Subsistence (5 persons, 3 months in the field)	4,000	3,500
Travel to meetings:		
a) GAC Summer Field Conference, Yellowknife (includes airfare Albany-Yellowknife, R/T)	2,000	---
b) two persons to GSA	1,000	---
<u>Equipment</u>		
Screen tent	300	300
<u>Materials &amp; Supplies</u>		
Airphotos	1,000	500
Drafting supplies, film	454	250
Thin sections	750	750
<u>Miscellaneous Other</u>		
Xerox, telephone, manuscript preparation	400	---
Two-way radio rental	1,800	1,475
Sample shipping	<u>1,000</u>	<u>1,000</u>
Total Direct Costs	\$ 34,700	
<u>Indirect Costs</u> base = \$31,200		
\$31,200 x 29.2% = \$9,110		Indirect costs
(off-campus rate)		@ 5% 1,225
Total Costs	\$ 43,810	\$ 24,500

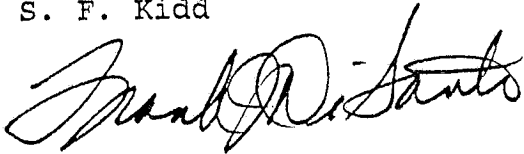
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## State University of New York at Albany

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Administration 218, Albany, New York 12222

### M E M O R A N D U M

TO: Professor William S. F. Kidd  
FROM: Frank J. DiSanto   
DATE: 15 January 1987  
SUBJECT: Request for Waiver of Overhead

We have reviewed your request for full waiver of indirect costs for your NASA Grant. Such a request requires approval of both the campus President and the SUNY Chancellor. Accordingly, requests for full waiver of indirect costs are rarely granted. In this case, however, it is clear that some assistance is needed to assist you in conducting your work at the revised level.

We are prepared to waive indirect costs down to 12.4% of total direct costs which will allow you a \$21,800 direct costs budget. This we feel is a fair compromise that recognizes both the continued importance of your research and our costs in administering the grant. This also represents the minimum amount needed to administer the grant, and a substantial waiver of indirect costs.

We know time is of the essence and will look forward to a response at your earliest convenience.


Thank you.

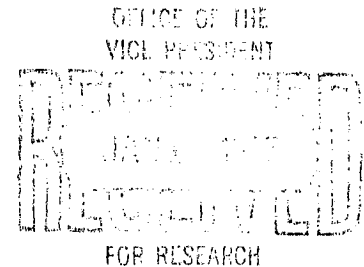
Ghh:smh

## State University of New York at Albany

Administration 218, Albany, New York 12222

### M E M O R A N D U M

TO: Jeanne Gullahorn  
FROM: Frank DiSanto   
DATE: 14 January 1987  
SUBJECT: Request for Waiver of Overhead



Attached is a request for full waiver of overhead in connection with a renewal proposal submitted to NASA by Professor Kidd in the Geology Department.

My reaction to this is not to approve a full waiver. The current grant is funded at a level of \$23,700, so I think the original renewal request of \$43,810 was high to begin with. If we offer Kidd a partial waiver down to the Administrative Rate (12.4% of total direct costs), he would be left with \$21,800 of direct costs out of the \$24,500 being offered by NASA. That compares with about \$18,000 direct costs available in this year's grant. Furthermore, I don't feel there is a strong enough case to recommend full waiver to the President, and then to SUNY Central.

While Kidd may take his marbles and go play someplace else, I don't think we should back down completely. A partial waiver results in about \$3,600 being relinquished by the campus. I think that's an appropriate gesture in this case.

Time is of the essence. Please respond as soon as possible.  
Thanks.

FJD:smh

Attachment

*I concur with  
your recommendation -  
Jeanne E. Gullahorn*

## State University of New York at Albany

---

Earth Science 351, Albany, New York 12222

### M E M O R A N D U M

TO: Frank DiSanto

FROM: W. Kidd, Geological Sciences *WSFK*

DATE: January 12, 1987

SUBJECT: Overhead (or not) on NASA Grant NAG 9-138 (320-1601A) 1 year renewal

The renewal on this grant is for \$24,500 when \$43,800 was estimated in the budget.

I cannot cut any of the personnel commitment without prejudicing the core of the work that we said we would do. The one item that I can cut from the field program without sacrificing the whole point of the research is going to the northernmost area, Anialiak River. This will result in savings of \$4,000 for float plane costs, and \$500 for subsistence. All other costs are essential to getting there and doing the work, apart from travel to meetings (all deleted) and office and manuscript preparation costs (also eliminated; to be covered by sponging off the department, I suppose). I emphasize that the revised budgeted amounts are bare minimum values. Under better circumstances, we would certainly ask for manuscript preparation costs, and we would add \$1,250 for chemical analyses (which ought to be done, based on data we obtained from the last field season after we submitted the proposal).

Given the fact that the bare bones revised budget comes to the full amount offered, I request a waiver of overhead on this grant. If it is not waived, I will get the grant renewal placed at Johns Hopkins (who will waive overhead) under my Co-Investigator DePaor's supervision.

We had to scrimp on last year's budget to cover the field expenses, despite being given some non-trivial free assistance from the Department of Indian Affairs and Northern Development. If this happens again, we would not be able to complete the work we proposed, and a budget below the amounts set out in the revised list (attached) will put us at this risk.

WSFK/dlp

Attachment

Budget Detail - Direct Costs

	<u>Initial Proposal</u>	<u>Revised Minimum Budget</u>
<u>Personnel</u>		
W.S.F. Kidd, Principal Investigator	\$ 400	---
T. Kusky, Graduate Student, summer salary	1,500	\$ 1,500
Field Assistants (summer)	2,000 (2)	\$ 2,000
Fringe Benefits at 24% (except students)	96	---
<u>Travel</u>		
Albany/Baltimore - Yellowknife, roundtrip	6,000 (5)	\$ 5,000 (5)
Float plane @ \$500/hr	12,000	8,000
Subsistence (5 persons, 3 months in the field)	4,000	3,500
Travel to meetings:		
a) GAC Summer Field Conference, Yellowknife (includes airfare Albany-Yellowknife, R/T)	2,000	---
b) two persons to GSA	1,000	---
<u>Equipment</u>		
Screen tent	300	300
<u>Materials &amp; Supplies</u>		
Airphotos	1,000	500
Drafting supplies, film	454	250
Thin sections	750	750
<u>Miscellaneous Other</u>		
Xerox, telephone, manuscript preparation	400	---
Two-way radio rental	1,800	1,700
Sample shipping	1,000	1,000
Total Direct Costs	\$ 34,700	\$ 24,500
<u>Indirect Costs</u> base = \$31,200		
\$31,200 x 29.2% = \$9,110 (off-campus rate)		
Total Costs	\$ 43,810	

# State University of New York at Albany

Administration 218, Albany, New York 12222

## M E M O R A N D U M

TO: Jeanne Gullahorn  
FROM: Frank DiSanto *FJD*  
DATE: 19 December 1986  
SUBJECT: 1986-87 Indirect Cost Recovery Status

Through the end of November, we have expended \$1,757,324 of indirect costs on our sponsored projects. That represents 52% of our 1986-87 "target" of \$3,373,383. As a result, the Research Foundation is now estimating we will generate indirect costs for the fiscal year at a level of \$3,926,725. The difference between these two figures, \$553,342, is the estimated over-the-target allocation for this fiscal year. This compares to the original estimate of about \$48,000.

Following a process which occurred this time last year, the Foundation will now advance about one-half of the estimated over-the-target allocation to each campus. For us, this means an incentive account for \$250,000 will be established shortly. I would advise discretion before spending this, to make sure we, in fact will earn it this year.

I assume you'll want to brief the President on this transaction.

Merry Christmas!

FJD:smh

cc: John Hartigan

*Reported to  
VOC 12/20/86*

STATE UNIVERSITY OF NEW YORK  
AT ALBANY  
OFFICE OF THE  
PRESIDENT  
ALBANY, NEW YORK 12222

M E M O R A N D U M

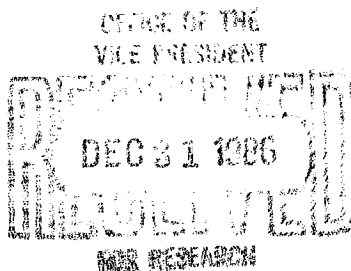
To: Frank DiSanto  
From: Pat McCord  
Date: December 29, 1986  
Subj: Indirect Cost Allocation

Please allocate \$5,000 from the 1984-85 Indirect Cost Recovery to the Vice President for Research. This allocation should be entirely in Salaries and Wages.

The purpose of this allocation is to provide support for temporary staff necessitated by the temporary appointment of Jeff Cohen as Acting Director of Animal Laboratories.

Thank you.

cc: Vice President Gullihorn ←  
Mr. Gilchrist  
Ms. DiStefano





COMPARISON OF DIRECT/INDIRECT EXPENDITURES 1985-86 VS. 1986-87

MONTH	DIRECT COSTS				MONTH	INDIRECT COSTS			
	JUL 85- JUNE 86	JUL 86- JUNE 87	\$ VARIATION	% VARIATION		JUL 85- JUNE 86	JUL 86 JUNE 87	\$ VARIATION	% VARIATION
JULY	\$2,143,598	\$2,565,940	\$422,342	5.54%	JULY	\$376,585	\$532,236	\$155,651	12.15%
AUGUST	\$2,616,863	\$2,648,387	\$453,866	5.95%	AUGUST	\$474,386	\$510,990	\$192,255	15.01%
SEPT.	\$1,294,376	\$1,760,374	\$919,864	12.06%	SEPT.	\$204,097	\$157,210	\$145,368	11.35%
OCT.	\$1,573,636	\$2,280,335	\$1,626,563	21.32%	OCT.	\$225,975	\$274,117	\$193,510	15.11%
NOV.					NOV.				
DEC.					DEC.				
JAN.					JAN.				
FEB.					FEB.				
MARCH					MARCH				
APRIL					APRIL				
MAY					MAY				
JUNE					JUNE				
TOTAL	\$7,628,473	\$9,255,036	\$1,626,563	21.32%	TOTAL	\$1,281,043	\$1,474,553	\$193,510	15.11%

SUMMARY OF RESEARCH INCENTIVE ACCOUNTS

ACCOUNT. NO.	ORIGINAL BUDGET	LESS	EXPENDED/ ENCUMBERED	LESS	COMMITTED	=	BALANCE OURS	or =	BALANCE O' LEARY'S
RF 320-9306S	\$257,091		\$257,091		\$0		\$0		
RF 320-9700A	\$410,600		\$400,200		\$10,400		\$0		
RF 320-9700B	\$230,573		\$0		\$167,786				\$62,787
RF 320-9725B	\$80,000		\$47,695		\$32,281		\$24		
RF 320-9700C	\$236,671		\$207,951		\$27,306		\$1,414		
RF 320-9700D	\$464,889		\$0		\$0				\$464,889
RF 320-9360F	\$170,170		\$170,170		\$0		\$0		
RF 320-9360G	\$50,399		\$20,297		\$4,400		\$25,702		
RF 320-H500D	\$45,066		\$11,777		\$8,635		\$24,654		
<b>SUB TOTAL</b>	<b>\$1,945,459</b>		<b>\$1,115,181</b>		<b>\$250,808</b>		<b>\$51,794</b>		<b>\$527,676</b>
<b>LESS: NON INCENTIVE FUNDS</b>	<b>\$257,091</b>		<b>\$257,091</b>		<b>\$0</b>		<b>\$0</b>		<b>\$0</b>
<b>TOTAL (INCENTIVE)</b>	<b>\$1,688,368</b>		<b>\$858,090</b>		<b>\$250,808</b>		<b>\$51,794</b>		<b>\$527,676</b>

COMMITMENTS, PER GILCHRIST, AS FOLLOWS

ITEM	AMOUNT	ACCOUNT NO.
VP RESEARCH SEARCH CONTRACT	\$20,000	'9705B
VP RESEARCH SEARCH TRAVEL	\$5,250	'9705B
SCH OF BUSINESS GRAD ASSISTS.	\$8,600	'9701B
PHYSICAL PLANT ALTERATIONS	\$20,200	'9703,4B
HUNT RESEARCH MAGAZINE	\$6,800	'9706B
RESEARCH OFFICE (TEMP SVCS)	\$3,000	'9708B
RESEARCH OFFICE (S&E)	\$1,387	'9708B
SUNY FELLOWSHIP REDUCTION	\$16,000	'9707B
COMPUTER UPGRADE	\$4,098	'9702B
EQUIP. SCH. OF PUBLIC HEALTH	\$20,000	'9709B
LEES INFO SYSTEMS & TECH.	\$19,921	
CHEM DEPT. HAUSER	\$21,500	
NAUTILUS EQUIPMENT	\$21,030	
<b>TOTAL</b>	<b>\$167,786</b>	

*Direct Cost exp. of 22.1M*

*Booked awards thru May - 23.6M*

7/25/86

SUMMARY OF RESEARCH INCENTIVE ACCOUNTS

ACCOUNT. NO.	EXPLANATION
RF 320-9306S	RESEARCH OFFICE ADMINISTRATIVE ACCOUNT, THRU 6/30/86
RF 320-9700A	RESEARCH INCENTIVE ACCOUNT 5/84-6/86
RF 320-9700B	PRESIDENT'S RESEARCH INCENTIVE ACCOUNT 5/85-4/87
RF 320-9725B	RESEARCH INCENTIVE ACCOUNT 5/85-4/87
RF 320-9700C	RESEARCH INCENTIVE ACCOUNT 5/85-6/87
RF 320-9700D	PRESIDENT'S RESEARCH INCENTIVE ACCOUNT 1/86-12/87
RF 320-9360F	RESEARCH INCENTIVE ACCOUNT 7/84-6/86
RF 320-9360G	RESEARCH INCENTIVE ACCOUNT 7/85-6/87
RF 320-H500D	BIOMED INCENTIVE ACCOUNT 4/86-WHENEVER

SUNYA INDIRECT EXPENDITURES FROM JULY 1, 1985 THROUGH JUNE 30, 1986  
MONTHLY

MONTH/ YEAR	ACTUAL EXPENSES	ESTIMATED EXPENSES	\$ VARIATION	% VARIATION
JULY 1985	\$376,585	\$385,000	(\$8,415)	-2.19%
AUGUST 1985	\$474,386	\$448,000	\$26,386	5.89%
SEPT. 1985	\$204,097	\$231,000	(\$26,903)	-11.65%
OCT. 1985	\$225,975	\$269,500	(\$43,525)	-16.15%
NOVEMB. 1985	\$187,835	\$238,000	(\$50,165)	-21.08%
DEC. 1985	\$383,210	\$224,000	\$159,210	71.08%
JAN. 1986	\$294,697	\$262,500	\$32,197	12.27%
FEB. 1986	\$231,928	\$248,500	(\$16,572)	-6.67%
MARCH 1986	\$290,183	\$308,000	(\$17,817)	-5.78%
APRIL 1986	\$295,542	\$297,500	(\$1,958)	-0.66%
MAY 1986	\$272,232	\$283,500	(\$11,268)	-3.97%
JUNE 1986	\$401,604	\$304,500	\$97,104	31.89%
TOTAL	\$3,638,274	\$3,500,000	\$138,274	

SUNYA INDIRECT EXPENDITURES FROM JULY 1, 1985 THROUGH JUNE 30, 1986  
YEAR TO DATE

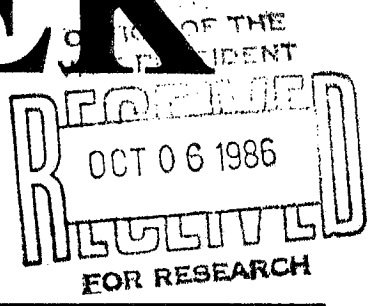
MONTH/ YEAR	ACTUAL EXPENSES	ESTIMATED EXPENSES	\$ VARIATION	% VARIATION
JULY 1985	\$376,585	\$385,000	(\$8,415)	-2.19%
AUGUST 1985	\$850,971	\$833,000	\$17,971	2.16%
SEPT. 1985	\$1,055,068	\$1,064,000	(\$8,932)	-0.84%
OCT. 1985	\$1,281,043	\$1,333,500	(\$52,457)	-3.93%
NOVEMB. 1985	\$1,468,878	\$1,571,500	(\$102,622)	-6.53%
DEC. 1985	\$1,852,088	\$1,795,500	\$56,588	3.15%
JAN. 1986	\$2,146,785	\$2,058,000	\$88,785	4.31%
FEB. 1986	\$2,378,713	\$2,306,500	\$72,213	3.13%
MARCH 1986	\$2,668,896	\$2,614,500	\$54,396	2.08%
APRIL 1986	\$2,964,438	\$2,912,000	\$52,438	1.80%
MAY 1986	\$3,236,670	\$3,195,500	\$41,170	1.29%
JUNE 1986	\$3,638,274	\$3,500,000	\$138,274	3.95%
TOTAL	\$3,638,274	\$3,500,000	\$138,274	3.95%

Indirect Costs

# NIH WEEK

Box 2239, Washington, D.C. 20013-2239

Charles Turbyville  
Editor and Publisher



Volume 6, Number 35

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September 22, 1986



## Use of Indirect Costs Payments Examined at House Panel Hearing

A largely overlooked aspect of the indirect costs debate surfaced at hearings held by the House Science Committee Sept. 16 and 18.

Administrators, researchers and government officials have bickered among themselves for two decades about complex cost accounting rules, whether the government is being taken for a ride by grantee institutions, whether the opportunities for individual scientists are lessened because institutions are soaking up too much money for overhead, or whether the institutions need every dime they can get and charges of their greed or profligacy are false.

An unasked question during these debates has been: What happens to the money the government pays as reimbursement for indirect costs of research? According to the U.S. General Accounting Office, which prepared a report examined at the committee hearings, a good part of it is plowed back into more research. From the limited data compiled by the GAO, it isn't possible to make any estimates of just how large a part this is, but it may be substantial.

The GAO's report, "Research Revenues and Expenditures," was prepared at the request of the committee for its Science Policy Task Force, which is expected to complete a report and a set of recommendations by next spring.

The GAO studied the finances of 28 universities selected randomly from among the top 100 univer-

sity recipients of federal research grants and contracts. The top 100 schools get around 85% of all the federal funds awarded to academic institutions for research.

Seventeen of 18 public universities studied by the GAO provided information on the use of indirect costs reimbursement. Thirteen retained 50% to 100% of the money. The other four either had to hand it over to the state treasurer or have it treated as an offset to state appropriations they would otherwise have received. (As the GAO observed, "Indirect cost payments are reimbursements for past research related costs, and for most state universities, state appropriations are the source of the original expenditures. Budget offsets and indirect costs passed back to the state are, in fact, reimbursements for those original expenses that generated the indirect costs.")

The GAO said "many" of the public institutions put "at least some share" of their indirect costs payments back into research. The money is "often" distributed among the various university schools according to a formula taking into account where the research that generated the reimbursements was conducted, the GAO reported.

In addition, according to the GAO, one of the states that commandeered the money gave about a quarter of it back for "a special university research initiative."

Only six of the 10 private uni-  
(Continued on Page 2)

### INSIDE

DIABETES researcher was named director of the new National Institute of Diabetes, Digestive and Kidney Diseases. The appointee, Phillip Gorden, was chief of NIH intramural research on the disease ... 2

HEART INSTITUTE named a new extramural research chief, Frances Pitlick, who formerly worked in the institute's blood research division ..... 3

NEW RFAs & RFPs .... 3

versities participating in the GAO study supplied information about their use of indirect costs reimbursements, the GAO said. Of the six, four put the money in their general operating accounts. Two distributed a "portion" of it to individual schools for more research.

One witness at the committee hearings, Wayne State University president David Adamany, said at his school 42% of the first \$4 million in indirect costs payments is directly reinvested in research activity. All payments exceeding \$4 million are spent for research.

"These investments of indirect cost recovery help stimulate and support research in areas that are not currently favored by the federal government, foundations, or private industry," he said. "They therefore serve the purpose of preparing the research groundwork for areas that now have the lower priority but may in the future have higher priority."

The money is also used to beef up sponsored research projects whose direct costs are not always fully covered, he added.

The GAO also found, as has been previously reported, that no other sponsors of research are willing to pay indirect costs at the same rate as the federal government. This is determined differently, the GAO said.

"Individual states and corporations may pay indirect costs which are based on arbitrarily set rates or rates negotiated on a project-by-project basis. Additionally, costs of research that may be claimed as indirect costs under federal funding are sometimes paid as direct costs under a specific industry or state government research award."

In 1984, the GAO said, 26% of the federal research dollars given the 28 universities was for indirect costs. Industrial research sponsors paid only 14%, and state governments paid 7%.

Up to five free copies of the GAO report, "University Finances: Research Revenues and Expenditures," may be ordered from the GAO, P.O. Box 6015, Gathersburg, Md. 20877. The report number, RCED-86-162BR, should be included in your order.

### Diabetes Expert Is Appointed Director of New Institute

NIH announced the appointment of Phillip Gorden as director of the new National Institute of Diabetes and Digestive and Kidney Diseases.

Gorden, described as an internationally recognized expert in diabetes, endocrinology and metabolism, assumed his new position Sept. 5. He had been chief of the diabetes branch of the institute since 1983 and also was clinical director in the intramural research arm. Gorden had also been chief of the section on clinical and cellular biology of the diabetes branch since 1978.

Also for the past eight years, Gorden, 51, held appointments as clinical professor of medicine, Uniformed Services University of the Health Sciences in Bethesda, and clinical associate professor at Howard.

Gorden has been a research scientist with NIDDK for the past 20 years. From 1976 to 1978, he was a visiting professor at the Institute of Histology and Embryology at the University of Geneva School of Medicine, Switzerland.

His research interests include disorders of insulin secretion, heterogeneity of circulating polypeptide hormones, phyoglycemic states and disorders of growth hormone secretion. In collaboration with others, he has studied insulin-resistant states in man, especially those characterized by disorders of the insulin receptor and has pioneered work on receptor mediated endocytosis of polypeptide hormones.

Gorden was born in Baldwin, Miss. and received his M.D. degree from Vanderbilt. He performed his internship and residency at Yale and began his biomedical research career as a Public Health Service clinical fellow and research fellow in metabolism there.

The author of more than 200 scientific papers, Gorden has received numerous awards for his work.

### NHLBI Extramural Affairs Post Goes to Blood Research Official

Frances Pitlick was named director of the Division of Extramural Affairs for the heart institute.

A native of Pasadena, Calif., Pitlick received her A.B. degree from the University of California, Berkeley, and her Ph.D. from the University of Washington. She then taught and conducted research at Yale.

Her research interests centered on thrombosis and hemostasis, including the role of the blood vessel wall in initiating coagulation and platelet aggregation.

Pitlick began her career at NIH in 1978, as a health scientist administrator in NHLBI's Devices and Technology Branch, and was most recently deputy director of the Division of Blood Diseases and Resources.

Piclick succeeds Jerome G. Green, who was appointed director of NIH Division of Research Grants earlier this year.

*ordered 10/7*

### NEW RFAs & RFPs

**RFA AVAILABLE: REDUCTION IN AVOIDABLE MORTALITY FROM CANCERS**

**Application Receipt Date: Dec. 15, 1986**  
**Letter of Intent Receipt Date: Oct. 31, 1986**

The Division of Cancer Prevention and Control (DCPC) of the National Cancer Institute (NCI) invites grant appli-

## State University of New York at Albany

---

Administration 227, Albany, New York 12222

July 30, 1986

TO: President O'Leary

FROM: Walter M. Gibson, Acting Vice President for Research and Dean  
of Graduate Studies

SUBJECT: Indirect Cost Recovery

The final accounting of direct and indirect cost expenditures for the year just past (July 1, 1985 through June 30, 1986) are now in. Direct cost expenditures were 22.1M. As I indicated previously, the booked awards for the same period will be about 30M. The final tally on this is not yet available.

The matter of immediate and direct interest is the indirect cost recovery which was \$3,638,274. This is well over our estimated \$3,500,000 and was \$581,110 over our target of \$3,057,164. Due to strong activity during the last two months, this "over the target" amount is substantially higher than the expected \$440,000 that I have been projecting. If the Foundation only returns 80% as indicated, we will receive a total supplementary allocation of \$464,889. Some of the supplementary allocation (\$221,000) has already been allocated; the balance should be added in the next few days.

A negotiation concerning the initial allocation of 1.481M will be held on Thursday. The budget requests which include both the Faculty Research Awards Program (\$150,000 increased from \$126,200) and the Deans Development and Incentive Program (\$130,000 increased from \$110,471) against the initial allocation is \$1,367,731. Along with these increases, the only other addition to the budget of last year is \$41,416 to cover the research portion of the new "right to know" regulations involving employee exposure to toxic substances. I expect that some paring down of the budget requests will occur with an unallocated amount within the range of \$120,000 to \$140,000 remaining from the initial allocation.

The total available OR5 funds for allocation will then be \$595,000 ± \$10,000. I recommend that \$100,00 be allocated to the Vice President for Research for development, incentive and emergencies. I recommend that as much as possible of the \$500,000 remainder be banked to cover a shortfall in Biomedical support funds expected in June 1987 (approximately \$100,000) and a projected decrease of "over the target" allocation (to less than \$100,000) expected for next year.

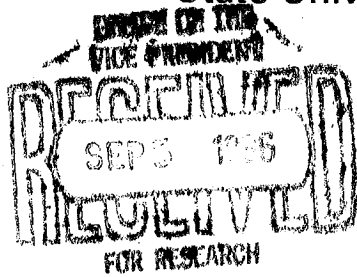


I am sending this to you now so that we may have a chance to discuss it before I go on vacation on August 2. Also, the Vice President incentive allocation of \$80,000 for the past year (June 30, 1985 to July 1, 1986) is down to a balance of \$24. In order to address ongoing needs, this needs replenishment.

W. M. G.

cc: J. A. Ramaley  
J. W. Shumaker

State University of New York at Albany



9/2/86  
President + O'Leary

\* You need to know the answer I sought from Leo. The other VP's, particularly Joanne and Jan, August 29, 1986 have an interest in

cc Ramaley  
Gulabhorn ✓  
Shumaker  
Welsh  
Pogue

TO: John A. Hartigan  
FROM: Leo F. Neveu *LFN*  
SUBJECT: Life of OR-5 Allocations

In answer to your question, OR-5 monies all have a life of two years. This requires explanation, however.

In actuality, there are three different types of OR-5 accounts: Administrative (pre- and post-award administration, such as Office for Research and Purchasing Office), Support (direct support of existing sponsored projects), and Campus Research Development.

The Administration category of accounts, in and of themselves, have an active life of twelve months--from July 1 to June 30. Any uncommitted balances as of the close of the fiscal year automatically revert to the Campus Research Development category and continue to live for one more year.

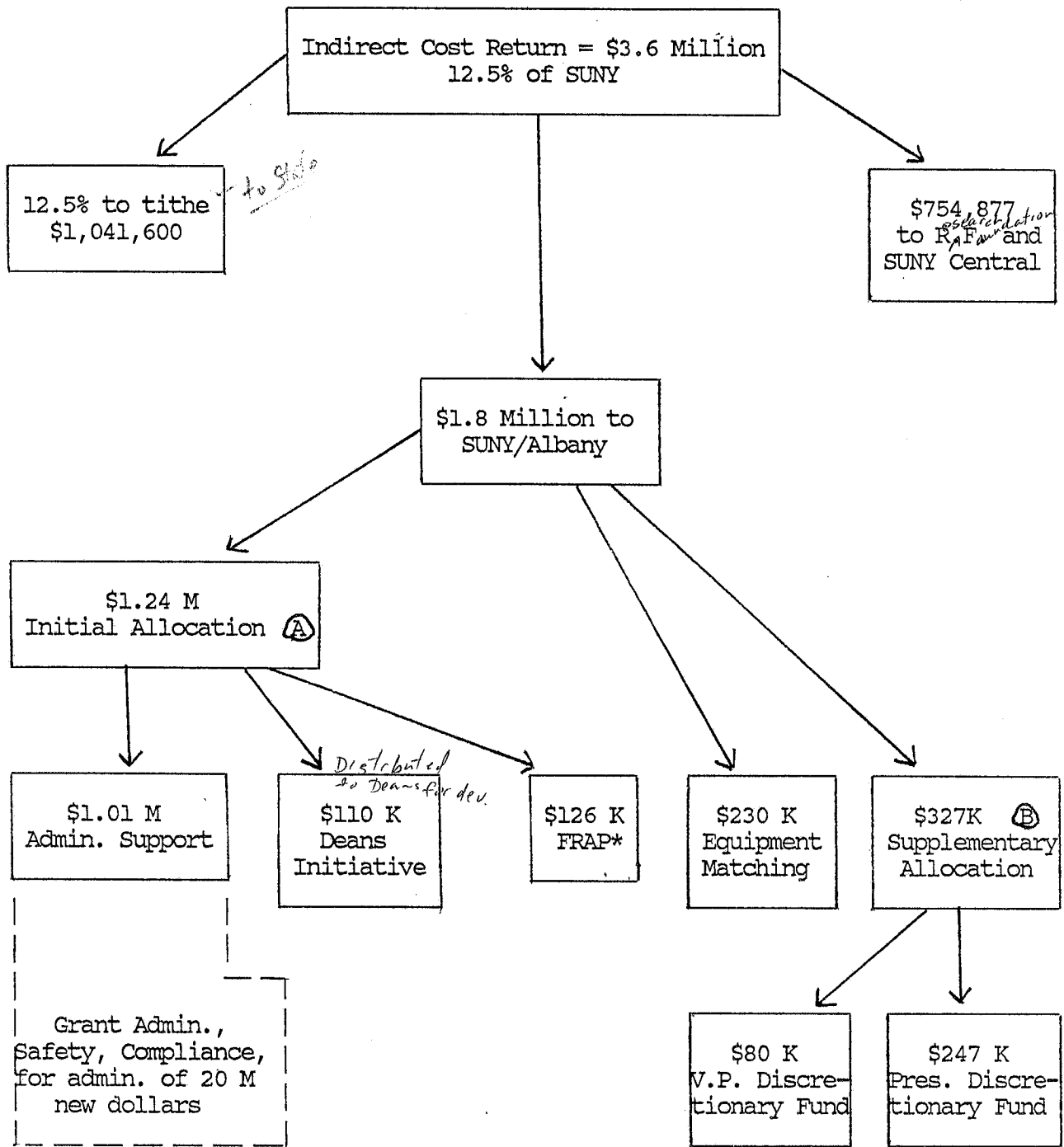
Support and Campus Research Development accounts, in contrast, have a straightforward two-year life. The sole exception is for allocations that have rolled over from the Administration category, as described in the preceding paragraph.

Lastly, I should note that the life and, for that matter, the type of account, is not necessarily dependent on whether the origin of the money was the campus' Initial Allocation or Supplemental Allocation. The Initial Allocation may be used, at the President's discretion, for administrative costs or for research program development and support. The Supplemental Allocation, on the other hand, is intended to be used only for research program development, on the assumption that administrative needs will have been satisfied from the Initial Allocation.

\* < To conclude, then, the \$123,000 (if that was the number) that is being held in reserve will not lapse if it is not encumbered by June 30, 1987. It will be available for Support and Research Development purposes for one year beyond that.

*page 2 deans*

SUMMARY OF INDIRECT COST DISTRIBUTION  
FOR SUNY/ALBANY - 7/1/85 - 6/30/86



\*Faculty Research Awards Program

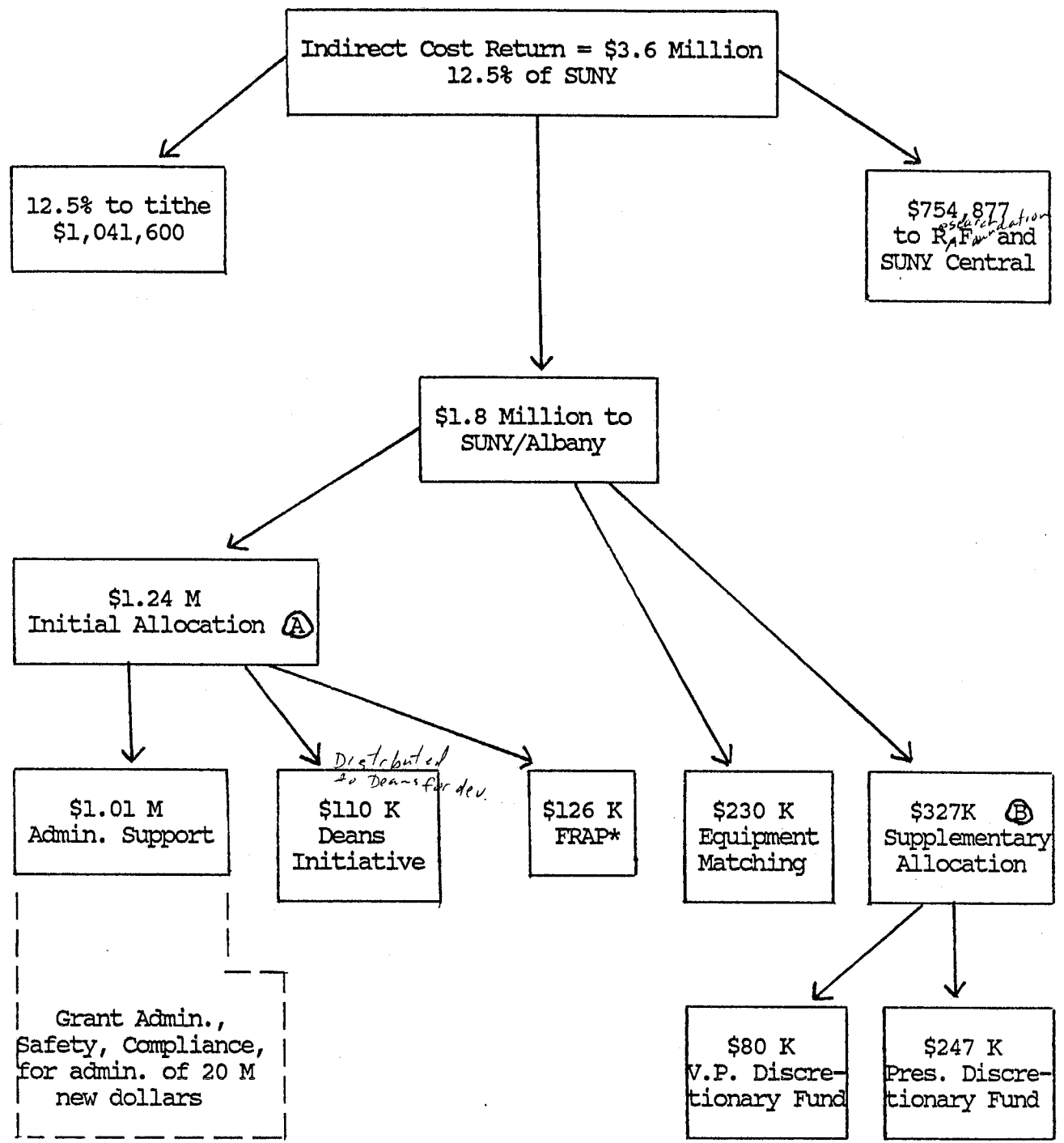
- A. The Formula for determining the initial allocation for FY 86-87 takes direct expenditures for FY 84-85 and determines what % we are of all SUNY Category I (University Centers, Health Centers, Environmental Science and Forestry, Buffalo College) Schools. The weighted factor (15.07% for SUNYA) is applied to the total pool available (\$9.8 million) to arrive at base allocation (at 7/1/86 = \$1.481 M).
- B. The supplemental allocation is computed by subtracting actual indirect costs expended in a F.Y. from a target which is computed by averaging actual indirect costs earned in prior two years plus estimated amount to be earned in current year. A factor (determined by Research Foundation)  $\leq 1.0$  is applied to this difference to determine allocation. For the year just passed the factor was .80, the over-the-target earnings were \$440 K; therefore, the allocation is \$352 K.

NOTE: The amounts indicated in these footnotes do not agree with those in the chart because they are for the current year (1986-87) whereas the chart values are for (85-86). The same formula was used for the (85-86) numbers. Even though there is not yet sufficient information to construct a complete chart for (86-87) (therefore, 85-86 was used for illustrative purposes), I thought that the current values for these two items would be of interest. - W.G.

7/11/86

*gjt to deans*

SUMMARY OF INDIRECT COST DISTRIBUTION  
FOR SUNY/ALBANY - 7/1/85 - 6/30/86



\*Faculty Research Awards Program

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7/11/86

I M P O R T A N T   N O T I C E

On June 30, 1986, the Research Foundation of S.U.N.Y. signed new Indirect Cost agreements with the Department of Health and Human Services.

The rates are effective immediately and should be incorporated henceforth into all proposals where the sponsor allows use of the HHS rate. The new rates, and base, are as follows:

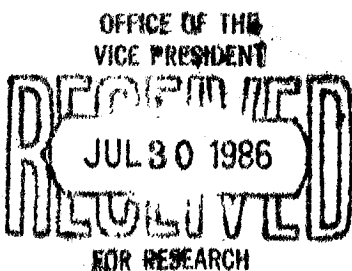
	<u>On Campus</u>	<u>Off Campus</u>
Research	50.5%	29.2%
Training (Educational Service Agreement)	42.7%	31.6%

All rates are to be applied to the following base (referred to as Modified Total Direct Cost Base):

1. Salaries and Wages
2. Fringe Benefits
3. Consultant Services
4. Supplies
5. Travel

Fringe Benefits are now 24% of Salaries and Wages, excluding Undergraduate and Graduate Students, for the period July 1, 1986 through June 30, 1987. An increment of 1.0% should be included in multi-year budgets, for each year beyond 1987.

Please call the Office for Research if you have any questions. (442-3510)



Jeanne Gullahorn  
Vice President for Research  
& Dean of Graduate Studies

## State University of New York at Albany

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Administration 227, Albany, New York 12222

August 29, 1986

TO: Judith A. Ramaley  
FROM: Walter M. Gibson *W. M. G.*  
SUBJECT: OR 5 Incentive Fund Allocation

Following discussions with Jeanne Gullahorn and the President, I have moved ahead on distributing research incentive funds to the Deans. Everyone is feeling strapped because of the time lapse since the last funding ran out in June. I had wanted to discuss this one more time at RMG or APG after Jeanne got here but time ran out. However, I felt that I had your input forwarded through Frank DiSanto. I appreciate your concerns about the "Continuing Education" portion even though it is small and have subsumed this into the Dean's pool. I did not allocate these or other funds to the Vice President for University Affairs as you suggested because I am not convinced that is an appropriate use of research funds. Establishment of such a precedent requires more discussion. Indeed, the entire question of OR 5 allocation could well stand reopening as was started at the Deans' Retreat.

Since the FRAP allocation is not so urgent, I know that Jeanne will want to discuss this further in the light of the review that was conducted for me last spring by Fran Stevens and Richard Norelli.

W. M. G.

cc: J. Gullahorn



September 24, 1985

TO: —

FROM: Walter Gibson, Acting Vice President for Research

SUBJECT: OR 5 Incentive Funds

I would like to congratulate and thank you and members of the for the important role you have played in bringing the University to a new level of accomplishment and prominence as a research university. I have long felt that the fact of SUNY Albany as a Major Research University has been one of the best kept secrets in New York State and even locally. Finally, the secret is leaking out and, as reported by President O'Leary in the general faculty meeting on September 11, we can all be proud in achieving in a remarkably short and difficult (especially the last ten years) time the position of 24th in the nation among universities without medical schools as measured by Federal R & D funding. I have requested that one page offprints be made of the summary of the President's remarks that appeared in the September 18 issue of the University news. If you would like a supply of these offprints for distribution with recruiting or promotional materials, please let me know.

I share with you the frustration of experiencing not only an absence of increase but an actual decrease in the ratio and in some cases even the amount of indirect cost (overhead) of funds produced by this increased grant activity that gets back to the colleges, departments, and research programs responsible for their generation. I know personally how much effort goes into proposal writing (especially when they are not successful) as well as administering and carrying out the research programs that are funded. It is fortunate that the indirect cost return is not the only, or even the principle, benefit from this activity. Otherwise, I could not in good conscience ask you to keep up the effort to continue to move ahead. A large factor in the overhead cost return (or lack thereof) is the tax levied on these funds by the State Government. This year that tax was increased to 8.5 million dollars or nearly 30% of the total. Since the costs of administering the grants increases with total grant activity (this is well below a proportional increase) and with increasing compliance and accounting complexity the tax takes a disproportionate toll on incentive and

development funds. I am pleased to report that the University and the Research Foundation is making a vigorous effort to reduce or even eliminate the tax and I intend to work hard in the executive and working committees of University-wide Sponsored Programs Advisory Council to this end.

In the meantime, because of the tax and because of special transitional pressures resulting in part from changes in the way in which salary and operational funds are managed at the University, the total incentive funds available to our campus this year is significantly less than last year or even the year before. This reduction will be largely felt in the funds available to the Vice President for Research for emergency and development purposes. The funds returned directly to the faculty through the faculty awards program and to the colleges and Research Centers through the research incentive allocation have been held at the same level as last year. The incentive allocation is based on the relative contributions from the various colleges and Research Centers using a formula similar to that used last year. This year's allocation for the \_ is \_.

The Office for Research will shortly be distributing information to you regarding the account number of your allocation. Accompanying this will be general guidelines to be used for the expenditure of these funds. Any questions regarding disbursement of these funds should be directed to Frank DiSanto (441-3510).

The reduced funds available to the Vice President for Research will be reserved primarily for activities directly connected to direct development of now funded research opportunities. We are exploring alternative ways to support important activities such as journals, conference and operation of Centers and Institutes, but will need to depend on increased support from colleges and departments if we are to continue to meet these and other important needs. In spite of this somewhat bleak picture, I am confident that we can continue to move ahead and am anxious that we do this in a unified and carefully planned way. Indeed, I am convinced that by targeting our efforts and limited resources on people and programs of particular potential and promise, we can not only continue to increase our research activity and effectiveness but we can also more effectively meet our shared educational and intellectual goals. I will be in direct contact with all Deans, Department Chairs and Research Directors in the very near future for help in identifying those special people and programs.

W. G.

Name and Title\_College\_

Paul Wallace, Acting Dean, College of Humanities and Fine Arts\_College of Humanities and Fine Arts\_\$1546\_

Daniel Wulff, Dean, College of Science and Mathematics\_College of Science and Mathematics\_\$25,502\_

John Webb, Dean, College of Social and Behavioral Sciences\_College of Social and Behavioral Sciences\_\$6182 (less \$4000 previously borrowed against this)\_

Robert Koff, Dean, School of Education\_School of Education\_School of Education\_\$9276\_

Harvey Kahalas, Dean, School of Business\_School of Business\_School of Business\_\$773\_

Richard Dressner, Associate Vice President for University Affairs\_Division of University Affairs\_Divison of University Affairs\_\$1546\_

Warren Ilchman, Provost, Rockefeller College of Public Affairs and Policy\_Rockefeller College\_Rockefeller College\_\$6955\_

James Garofalo, Director, Hindelang Criminal Justice Research Center\_Hindelang Center\_Hindelang Center\_\$2318\_

David Andersen, Dean, Graduate School of Public Affairs\_Graduate School of Public Affairs\_\$7728\_

Stuart Kirk, Dean, School of Social Welfare\_School of Social Welfare\_\$6955\_

Volker Mohnen, Director, Atmospheric Sciences Research Center\_Atmospheric Sciences Research Center\_Atmospheric Sciences Research Center\_\$8501\_

Richard Halsey, Dean, School of Information and Library Science\_School of Information and Library Science\_


Terrence Thornberry, Dean, School of Criminal Justice\_School of Criminal Justice\_

## State University of New York at Albany

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Administration 218, Albany, New York 12222

### M E M O R A N D U M

TO: Walt Gibson  
FROM: Frank DiSanto   
DATE: 25 July 1986  
SUBJECT: 1985-86 Indirect Cost Recovery

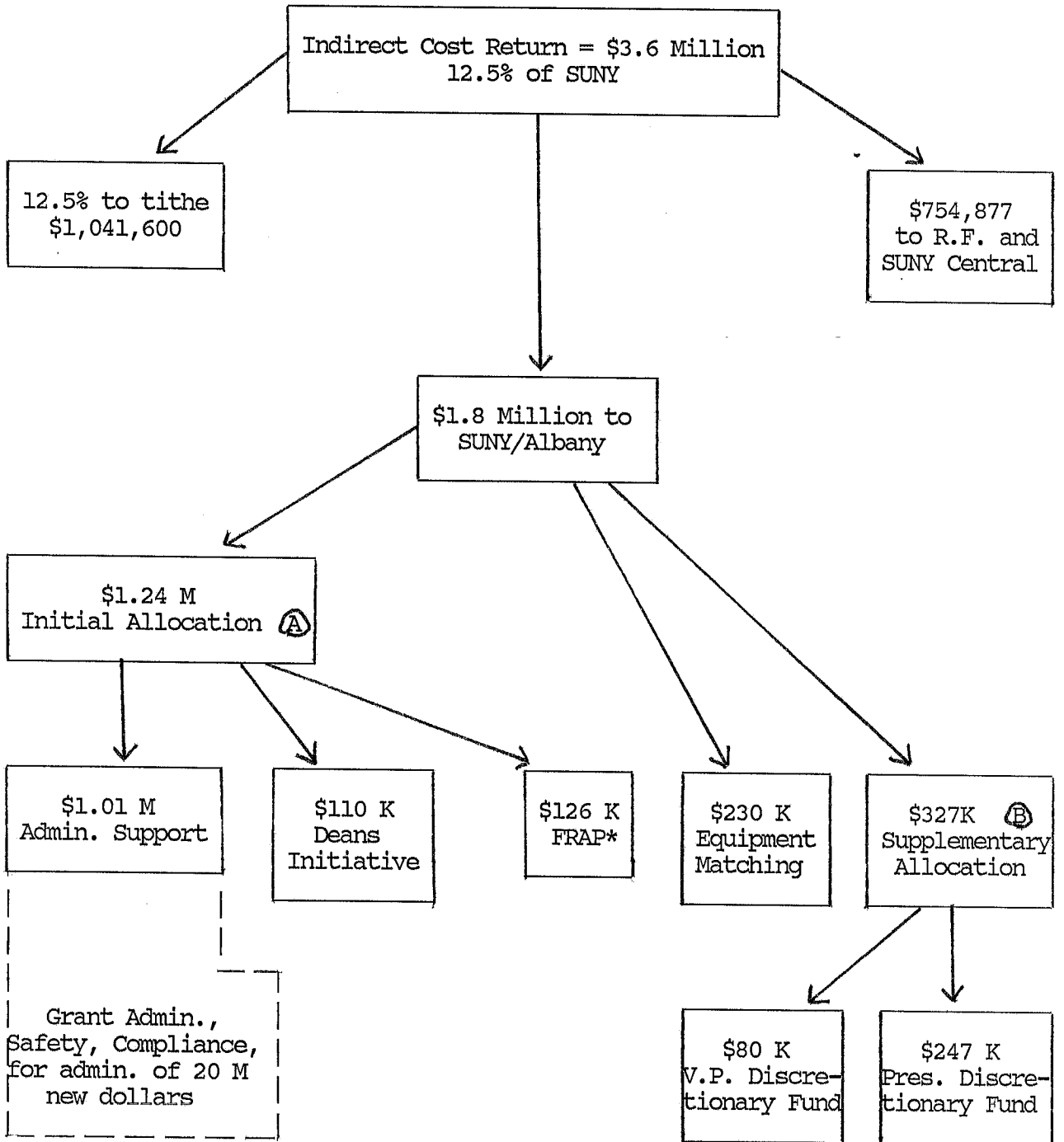
As the attached spreadsheet indicates, the total indirect costs expended from 7/1/85 - 6/30/86 amounted to \$3,638,274. With a target of \$3,057,164, we end the fiscal year \$581,110 over target.

If the Foundation only returns 80%, (and I understand that is all they will return), we will receive a total over-the-target allocation of \$464,889. Of that amount, \$221,000 was already allocated, and is in the hands of the President. The balance of about \$243,889 will be added to that account in the next few days.

FJD:smh

Attachments

SUMMARY OF INDIRECT COST DISTRIBUTION  
 FOR SUNY/ALBANY - 7/1/85 - 6/30/86



\*Faculty Research Awards Program

- A. The Formula for determining the initial allocation for FY 86-87 takes direct expenditures for FY 84-85 and determines what % we are of all SUNY Category I (University Centers, Health Centers, Environmental Science and Forestry, Buffalo College) Schools. The weighted factor (15.07% for SUNYA) is applied to the total pool available (\$9.8 million) to arrive at base allocation (at 7/1/86 = \$1.481 M).
- B. The supplemental allocation is computed by subtracting actual indirect costs expended in a F.Y. from a target which is computed by averaging actual indirect costs earned in prior two years plus estimated amount to be earned in current year. A factor (determined by Research Foundation)  $\leq 1.0$  is applied to this difference to determine allocation. For the year just passed the factor was .80, the over-the-target earnings were \$440 K; therefore, the allocation is \$352 K.

NOTE: The amounts indicated in these footnotes do not agree with those in the chart because they are for the current year (1986-87) whereas the chart values are for (85-86). The same formula was used for the (85-86) numbers. Even though there is not yet sufficient information to construct a complete chart for (86-87) (therefore, 85-86 was used for illustrative purposes), I thought that the current values for these two items would be of interest. - W.G.

7/11/86

APG

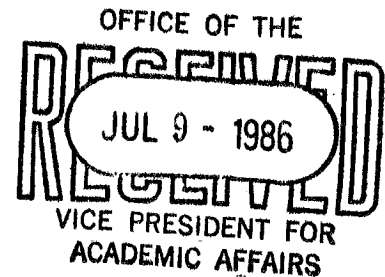
**State University of New York at Albany**

*what is FRAP?*

Administration 227, Albany, New York 12222

*faculty research awards  
July 9, 1986  
program*

TO: Judith Ramaley  
FROM: Walter Gibson *Wab*  
SUBJECT: Indirect Cost Return



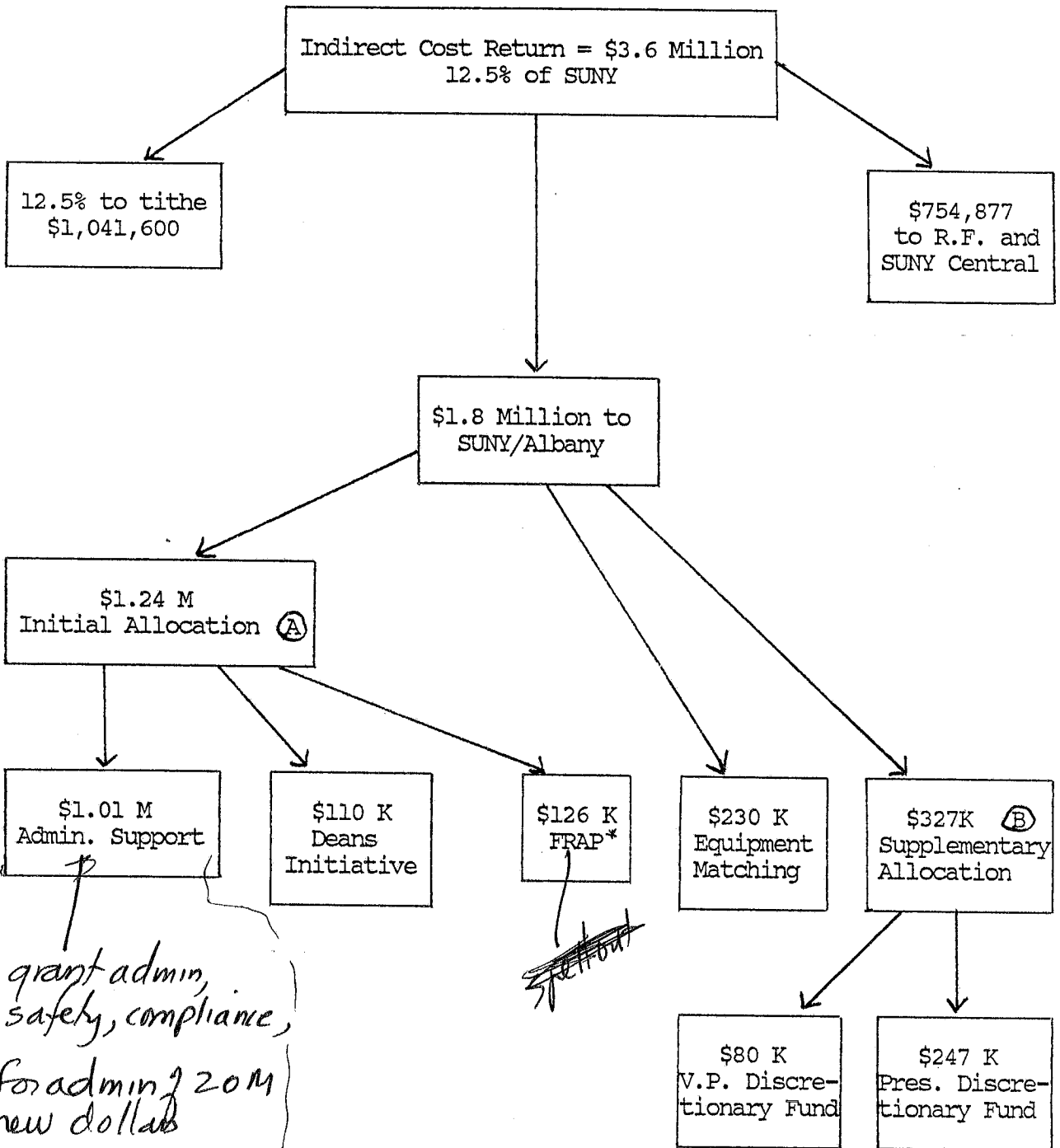
Attached is a summary of last years indirect cost return to our campus. By the formula we received 15.1% of all funds returned to campuses by the Research Foundation, although we contributed 12.5% of the total indirect cost return funds received by the Research Foundation. This will be part of the research status summary that I am preparing for the President and Jeanne Gullahorn.

I have been appointed as one of two Vice Chairmen of the Sponsored Programs Advisory Committee for the Research Foundation and a member of the Executive Committee. Jeanne Gullahorn has been appointed as an institutional representative to the Research Foundation Board of Directors. Frank DiSanto, Tom Kinney, and John Hartigan will continue as members of the large SPAC Committee with John also serving on the Resources and Development Subcommittee and on the special ad hoc FMAC (Financial Management Advisory Committee) Committee investigating Research Foundation programs and expenditures. We, therefore, have our hooks pretty well into the Research Foundation and, hopefully, can find some way to increase the indirect cost return to the campus.

W. M. G.

Attachment

SUMMARY OF INDIRECT COST DISTRIBUTION  
FOR SUNY/ALBANY - 7/1/85 - 6/30/86



\*- Faculty Research Awards Program

05268



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7/8/86