

**RAS-Grants
Continuation/Progress Report
User Guide**

Continuation/Progress Report User Guide

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OVERVIEW:

In order to comply with sponsors' reporting requirements, we use RAS-Grants to capture information about the award. Any changes in compliance information must not only be reported to the funding agency, but also require internal protocols to be active and in place for work on the project to continue. With input from the PI and/or their AC, the Continuation/Progress Report allows The Rockefeller University to meet its management, compliance, and reporting obligations.

Continuation Process

PIs and/or their ACs will receive automated reminders sixty (60) and thirty (30) days prior to the deadline. You are encouraged to reach out your SPO at this time to review the subsequent year's budget and address any required reallocations. In RAS-Grants, initiate the Continuation/Progress to enter any changes in compliance information about the project in the SmartForms, such as updated IACUC/IRB protocols and changes in personnel. This is in addition to and separate from any required sponsor forms. The PI or AC uploads the Continuation/Progress Report attachments to the SmartForms and submits to their SPO for review. Once the Continuation/Progress Report is approved in RAS-Grants, the report can be submitted to the sponsor.

The PI must complete the **PI Certification in RAS-Grants in order for the record to be submitted to the SPO for review.**

This process is also summarized in the flowchart on the following page.

Roles

RAS-Grants will move a proposal through the Rockefeller process, notifying each party of its obligations on the application:

- **PI** (Principal Investigator): Initiates the application, uploads all attachments, and approves the proposal for submission.
- **AC** (Administrative Contact): Can perform all PI functions, except PI certifications.
- **PT** (Proposal Team): Participants on the project, who can be assigned to *read only* or *edit*.
- **SPO** (Sponsored Programs Officer): Supports PI in determining application requirements, drafting and revising the budget, and reviewing the proposal for Rockefeller.
- **AOR** (Authorized Organizational Representative): Performs final institutional review, and submits proposal (as required by the sponsor).

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Before you begin, a few notes:

- Be sure to allow pop-ups for the RAS-Grants system.
- Questions with a red asterisk (*) are required.
- At the top and bottom each page is a list of functions. Click either the “Save” or the “Continue” button to save your work. Clicking “Exit” will prompt you to save any changes.



PROCEDURES

A. Logging in to RAS-Grants

1. Type this link in your web browser: <https://rasgrants.rockefeller.edu>
2. Type your **User Name** and **Password** (same as your RU logon) in the appropriate fields.
3. Click **Login**.
4. Click the Grants link at the top of the page. This will direct you to your Grants workspace.



5. To logout, click the **Logout** link located at the top right hand corner of the screen.

B. Continuation Development

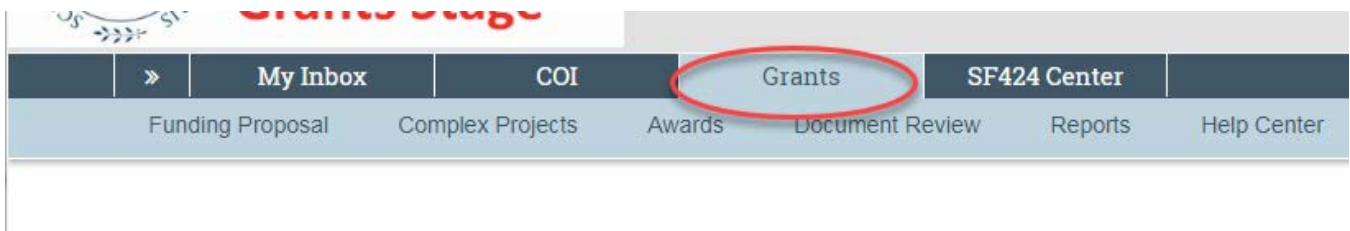
1. Reminder Notification

Sixty (60) days and thirty (30) days prior to the due date of the Progress report, you will receive a Notification from RAS-Grants system alerting you to the upcoming deadline. Follow the steps below to capture the information previously collected on the Institutional Routing Form, provide Certifications, and route to your SPO.

2. Locating Appropriate Award

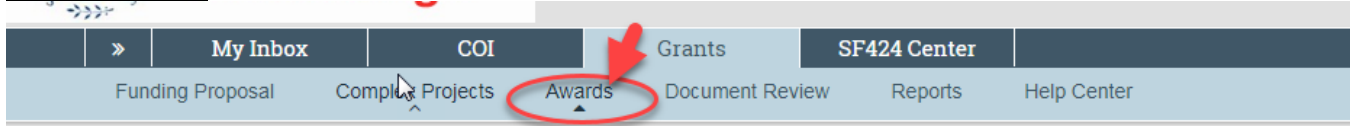
2A: Grants Tab

You can click on the link included in the email notification and skip to Step 3 on Page 7, or go to the Grants tab in RAS-Grants.

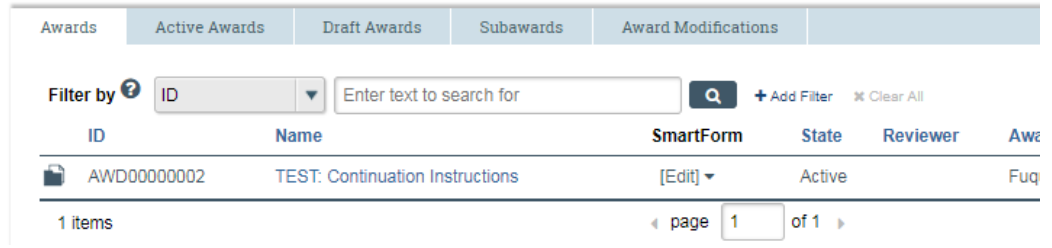


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2B: Awards Tab



Awards

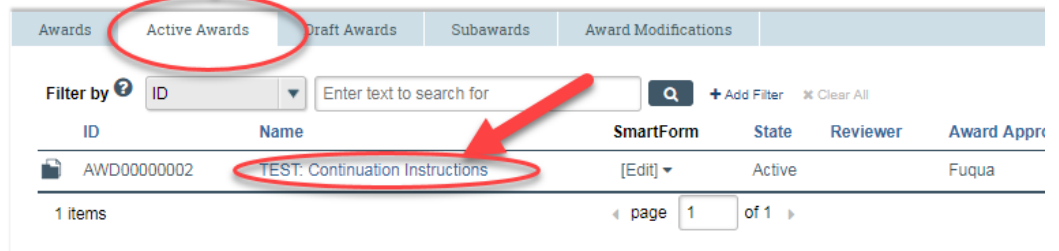


2C: Active Awards and Selection

Click on Active Awards. This will pull up all of your currently active awards. Click on the Name of the award needing a Continuation.



Awards



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3. Create Continuation

This will take you into the Award workspace. On the left hand side of the page you will see a project creator "Create Continuation." Click on this to launch the Continuation Smartform.

Active

Next Steps

- View Award
- Printer Version
- Request Award Modification
- Create Continuation**
- Award Documents
- Team Disclosure Status
- Terms And Conditions
- Set Award Relationships
- Update Award Personnel
- Upload Award Documents
- Manage Deliverables
- Manage Relationships
- Send Email
- Manage Guest List
- Log Private Comment

TEST: Continuation Instructions

AWD00000002 Funding Award

Proposal Information		Budget Information	
PD/PI:	Winrich Freiwald	Starting Date:	12/1/2017
Laboratory:	Freiwald Laboratory	End Date:	11/30/2020
Head of Laboratory:	Winrich Freiwald	Award Date:	12/1/2017
Laboratory Admin Contact:	Lihong Yin	Current Year Direct:	\$136,110
Specialist:	Mukul Mathur	Current Year Indirect:	\$94,596
Direct Sponsor:	Dana Foundation	Current Year Total:	\$230,706
Prime Sponsor:			
Sponsor Number:	DANA-19-123		

Awarded Funding Proposals:			
ID	Name	Principal Investigator	Status
FP00000002	TEST: Continuation Instructions	Winrich Freiwald	Awarded

Modifications	Totals	Funding Allocations	Deliverables	Subawards	Oracle Award #	Child Awards	...
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Modification Requests

No data to display.

Remainder of this page intentionally left blank.

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4: Continuation SmartForm: General Information

« Back
Save Print
Continue »

General Information - Award Continuation Year Approval

1.0 Title:

Description:

2.0 PD/PI: Winnich Freiwald
Primary Mentor:
Submitting Department: Freiwald Laboratory
Direct Sponsor: Dana Foundation
Prime Sponsor:
Sponsor Award Number: DANA-19-123
Financial Chart String:
Upcoming Budget Period: 2 of 3
Project Period:
Start Date:
End Date:

3.0 Is this the final Continuation/Budget Year for this award?
 Yes No [Clear](#)

4.0 Have any inventions or patents been conceived or reduced to practice during the course of this project?
 Yes No [Clear](#)

A direct sponsor funds your institution directly. A prime sponsor is the originator of an opportunity whose funds are awarded through intermediary organizations. Specify a prime sponsor only if this is a submission to an intermediary organization.

For single proposals:
The sponsor list is limited to these categories:
 - Industry
 - Foundation
 - Government Agency/Sponsor
 - Division/Department
 - Institution
 - State/Local Government

If you do not find the sponsor in this list, select TBD from the list and enter the name in the next line.

For multi-project proposal (MPP) components:
The sponsor is specified in the MPP and is read-only here.

« Back
Save Print
Continue »

Field Name	Field Description/Purpose
1.0 Title	This pulls in from the award and is appended with “ – Continuation” at the end. You may add a description in the text box below, if desired (e.g., “Progress report for year 2” etc.)
2.0 PD/PI: Primary Mentor: Submitting Department: Direct Sponsor: Prime Sponsor: Sponsor Award Number: Financial Chart String:	These fields are filled in automatically from the award, as applicable.
Upcoming Budget Period: Start Date: End Date:	Pulls from the award, based on which year is next for awarding. Pulls dates from the award. Can be edited if needed.
3.0 Is this the final Continuation/Budget Year for this award?	If this is the last year or period for this award, choose “Yes.”

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Field Name	Field Description/Purpose
4.0 Have any inventions or patents been conceived or reduced to practice during the course of this project?	Select "Yes" or "No," as appropriate. <u>This is a cumulative question: If an invention was made and disclosed in Year 1, and you are applying for year 4 you must still answer "Yes."</u>
	Click "Continue" to save and move forward.

5: Continuation SmartForm: Effort and Budget

If you are completing an NIH RPPR progress report, some of these questions will be the same as those on the RPPR. You must still answer them, as they are required for internal reporting.

◀ Back
Save Exit Hide/Show Errors Print Jump To ▶
Continue ▶

Level of Effort & Budgeting

1.0 Other Support - Indicate below if there has been a change in the other support of key personnel since the last reporting period:
 Yes No [Clear](#)

2.0 Effort - In the next budget period, will there be a significant change in the level of effort for any senior/key personnel designated for this project?
 Yes No [Clear](#)

If yes, please explain:

3.0 Upcoming Budget Period: 2 of 3

Awarded Direct:	\$140,193.00
Awarded F&A:	\$97,434.00
Total Awarded Budget:	\$237,627.00

Please ensure that level of effort information is entered for all persons included in the budget.

[Download R&R Subaward Budget forms](#)

*** Budget** - Attach a detailed budget for the upcoming period below:
 [None] [Upload](#)

In the next budget period, will there be a significant change in any budget category from what was approved for this project?
 Yes No [Clear](#)

If yes, provide a detailed budget justification:
 [None] [Upload](#)

4.0 Carryover - Do you estimate an unobligated balance?
 Yes No [Clear](#)

Has this number been verified with Research Finance? Yes No [Clear](#)

Financial contact that verified the unobligated balance:

Financial report backing up the unobligated balance: [None] [Upload](#)

If this is a federal award subject to expanded authorities, will the estimated unobligated balance be greater than 25 percent of the current year's approved budget (including prior year(s) carryover)?
 Yes No [Clear](#)

If yes, provide an estimated percentage and explanation:

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Continue ▶

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Field Name	Field Description/Purpose
1.0 Other Support	Choose Yes or No.
2.0 Effort – upcoming budget year	Choose Yes or No. If yes, use text box to explain.
3.0 Upcoming budget period	A budget for the next year will be required. Please contact your SPO for assistance.
4.0 Carryover	Please answer the questions to the best of your ability. Your SPO will use these to review data from Finance.
	Click “Continue” to save and move forward.

6. Compliance

This page pulls in the information from the existing award. If changes are needed, note in the box and alert your SPO.

You Are Here: TEST: Continuation Instruction... TEST: Continuation Instruction...

[Back](#)
[Save](#)
[Exit](#)
[Hide/Show Errors](#)
[Print](#)
[Jump To](#)
[Continue](#)

Compliance

1.0 Will the project involve any of the following in the coming year?

- * Human Subjects: Yes No [Clear](#)
- * Laboratory Animals: Yes No [Clear](#)
- * Recombinant DNA: Yes No [Clear](#)
- * Biohazardous Agents Level 3 (BL3): Yes No [Clear](#)
- * Radioactive Materials: Yes No [Clear](#)
- * Custom Antibodies: Yes No [Clear](#)
- * Human Pluripotent Stem Cells: Yes No [Clear](#)
- * Human Embryos: Yes No [Clear](#)

If other compliance information is required, enter a description below:

Attachments (optional):

[+ Add](#)

Name	Version
There are no items to display	

7. Completion Instructions

Click “Finish” to return to the award workspace. If an NIH RPPR, make sure to complete the necessary steps in eRA Commons. If another sponsor, follow their instructions for completion of their forms.

You Are Here: TEST: Continuation Instruction... TEST: Continuation Instruction...

[Back](#)
[Save](#)
[Exit](#)
[Hide/Show Errors](#)
[Print](#)
[Jump To](#)
[Finish](#)

Completion Instructions

Congratulations, you have completed the Award Continuation Year approval forms.

In the toolbar, select “Hide / Show Errors” to validate that all required questions in this application are complete. Update any errors or incomplete sections.

When you select “Finish” in the lower right-hand corner of this form, you will be returned to the Continuation’s main workspace. When you are ready to initiate the approval process, select the activity “Submit for Department Review” from the Continuation’s main workspace.

If this award is eligible for RPPR, proceed with the steps necessary to initiate that process, or contact the Sponsored Programs Office for more information.

[Back](#)
[Save](#)
[Exit](#)
[Hide/Show Errors](#)
[Print](#)
[Jump To](#)
[Finish](#)

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9. PI Certification

This activity must be completed by any Rockefeller personnel with the role PD/PI on this proposal. It must be completed before the Continuation can be submitted to the Sponsor.

This activity can be completed only by the PD/PI as it is a legal certification.

Draft

Fed Proposal for CR

Next Steps

- Edit Funding Proposal
- Printer Version
- View Differences
- Create Document Review
- Team Disclosure Status
- PI Certification**
- Submit for Specialist Review
- Withdraw Proposal

Proposal Information

PD/PI:

Laboratory:

Head of Laboratory:

Laboratory Admin Contact:

Specialist:

Direct Sponsor:

Prime Sponsor:

Sponsor Number:

Funding Awards

In the Funding Proposal workspace, click the PI Certification activity. The Certification pop-up opens.

Click the assurance checkbox, then "OK" to record the certification.

Execute "PI Certification" on FP00050043 - Google Chrome

Secure | <https://mpclkrustage2.huronclick.com/Grants/sd/ResourceAdministration/Activity/form?ActivityType=com.we...>

PI Certification

I certify that, to the best of my knowledge:

1. the information submitted within the application and any related documentation is true, complete and accurate to the best of my knowledge;
2. that I understand any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties;
3. that I am responsible for the scientific conduct and financial management of the project and to provide the required progress reports if a grant is awarded as a result of the application; and
4. that if the project is currently awarded and involves one or more subrecipients, that I have reviewed and approved the subrecipient(s)'s technical report(s)
5. that I am not excluded from participation in federally-funded activities as a result of government-wide suspension or debarment.

I agree to the above investigator assurances

OK Cancel

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C. Additional Activities

1. Email your SPO

If you need to contact your SPO regarding the proposal, it is **strongly recommended** that you use the "Email Specialist" activity within the Funding Proposal workspace, rather than through Outlook. This will keep your message in the history of the proposal so it can be referred to later, if needed. Use this activity to send your SPO your proposed budget details for drafting.

In the Workspace, Click the activity "Email Specialist." This will bring up a pop-up window where you can enter your message and include any needed attachments. Click "OK" to send the message to your specialist. You can use this to send additional documents to your SPO, such as the

The screenshot shows a web application interface for a funding proposal. On the left, a sidebar contains a list of activities. The 'Email Specialist' activity is highlighted with a red box and a red arrow. The main content area displays the 'Email Specialist' pop-up window. The window title is 'Execute "Email Specialist" on FP00050052 - Google Chrome'. The URL is 'https://mpclkrustage2.huronclick.com/Grants/sd/ResourceAdmini...'. The main content area is titled 'Email Specialist' and contains the text: 'This message will be sent via Email to the Financial/Grants Specialist: Collette Ryder'. Below this, there are two sections: '1. * Message:' with a large text input field, and '2. Attachments:' with an '+ Add' button and a 'Name' input field. At the bottom, there are 'OK' and 'Cancel' buttons. A red arrow points to the 'Email Specialist' option in the left sidebar of the background application.

Remainder of this page intentionally left blank.

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Specialist Review State

In the *Specialist Review* state, if the SPO finds that changes are needed they can:

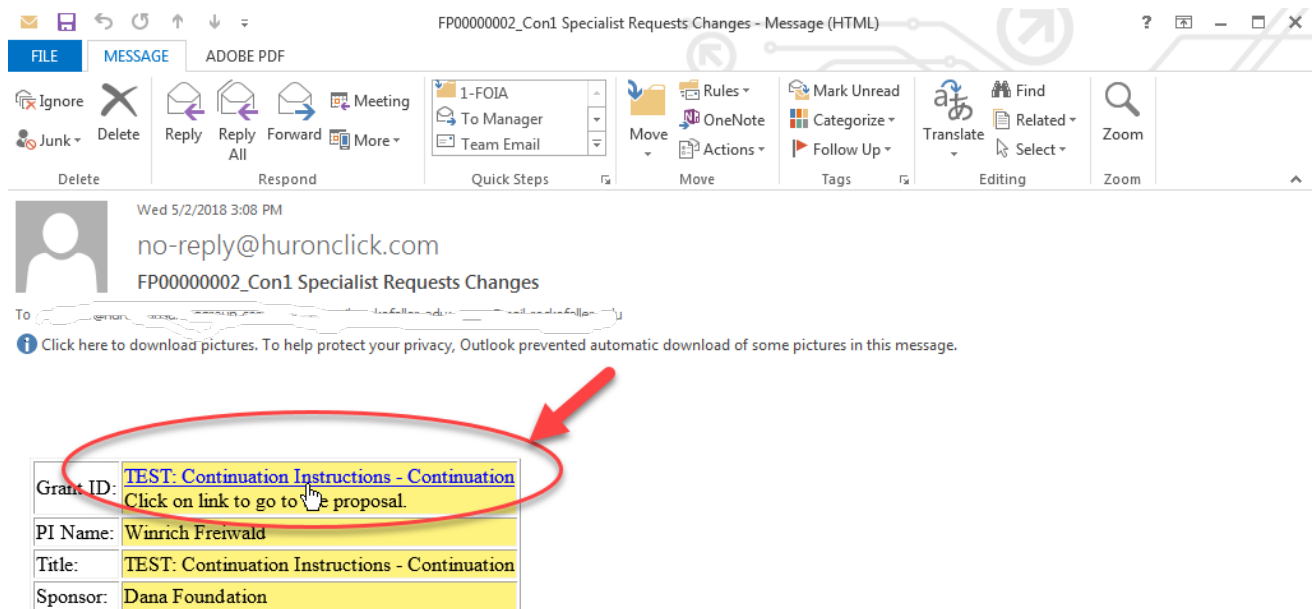
- Edit the Continuation SmartForm; or
- Execute the *Specialist Requests Changes* activity.

The SPO will also verify on the *Team Disclosure Status* activity of the Funding Proposal Workspace that all certifications have been completed. If not completed, they can:

- Execute the *Email Proposal Team* activity; to inform the PI and AC what is still outstanding.

2. Specialist Requests Changes

If your SPO needs you to make changes to the Continuation, they will send it back to you by using the “Specialist Requests Changes” activity in the continuation workspace. The system will send you a notification that changes are requested. Click the link in the notification to be taken back into the Continuation.



The screenshot shows an Outlook email window titled "FP00000002_Con1 Specialist Requests Changes - Message (HTML)". The sender is "no-reply@huronclick.com" with the subject "FP00000002_Con1 Specialist Requests Changes". The email body contains a table with the following information:

Grant ID:	TEST: Continuation Instructions - Continuation Click on link to go to the proposal.
PI Name:	Winrich Freiwald
Title:	TEST: Continuation Instructions - Continuation
Sponsor:	Dana Foundation

A red circle and arrow highlight the link in the Grant ID row.

0 Reviewer Notes Logged. Please update the personnel page with those who will be continuing on the proposal in the next year.

Rest of this page intentionally left blank. Instructions continued on the next page.

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3. Submit Changes to Specialist

Once you have made the needed changes, you can route it back to your SPO by using the “Submit Changes to Specialist” activity within the workspace.

The screenshot shows a workspace titled "TEST: Continuation Instructions - Continuation Instructions". The top navigation bar includes "My Inbox", "COI", "Grants", "SF424 Center", and "Help Center". A sidebar on the left lists "Next Steps" such as "Edit Funding Proposal", "Printer Version", "View Differences", "Create Document Review", "Team Disclosure Status", "Submit Changes To Specialist" (highlighted with a red box and arrow), "Withdraw Proposal", "Manage Relationships", "Copy", "Email Specialist", "Manage Guest List", and "Add Comment". The main content area displays "Proposal Information" and "Budget Information" tables. The "Proposal Information" table includes fields for PD/PI, Laboratory, Head of Laboratory, Laboratory Admin Contact, Specialist, Direct Sponsor, Prime Sponsor, and Sponsor Number. The "Budget Information" table includes fields for Starting Date, End Date, Number of I, Proposed T, and PD Involver. Below the tables is a "Funding Awards" section with a "No data to display" message and a pagination control showing "page 1 no results". At the bottom, there is a "History" tab and an "Activity" table with columns for "Activity" and "Author".

A pop-up will open. Enter any comments or attachments, and click “OK” to send back to your SPO.

The screenshot shows a pop-up dialog box titled "Submit Changes To Specialist". It contains the instruction "Enter any additional comments or documents that you have below." followed by two sections: "1. Comments:" with a large text input area, and "2. Attachments: (Optional)" with an "+ Add" button and a "Name" input field. Below the attachments section, it says "There are no items to display". At the bottom right, there are "OK" and "Cancel" buttons, with the "OK" button circled in red.

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4. Final Review

When the Continuation is ready for review by the AOR, the SPO will execute the “Final Review” activity in the workspace. This will notify the AOR that the Continuation is ready for review. Note any special requirements or unusual aspects for review.

Specialist Review

TEST: Continuation Instructions - Continuation

Original Funding Proposal: TEST: Continuation Instructions

Proposal Information		Budget Information	
PD/PI:	Winrich Freiwald	Starting Date:	
Laboratory:	Freiwald Laboratory	End Date:	
Head of Laboratory:	Winrich Freiwald	Number of Periods:	
Laboratory Admin Contact:		Proposed Total Direct:	
Specialist:	Collette Ryder	Proposed Total Indirect:	
Direct Sponsor:	Dana Foundation	Proposed Total:	
Prime Sponsor:		PD Involvement:	
Sponsor Number:			

Funding Awards

No data to display.

< page 1 no results >

History	Reviewers	Attachments	Related Projects	Reviewer Notes	SF424 Summary
Activity	Author	Activity Date			
→ Submit Changes To Specialist	Freiwald, Winrich	5/2/2018 2:13 F			
sending back for submission					

Final Review

Executing the Final Review activity will lock the Funding Proposal from further edits. If there is an SF424, it will be locked as well.

1. Exceptional Requirements:

- Limited Submission
- Approval over/equal \$500,000
- PI Effort requirement
- Resource/Genomic Sharing Plan
- Responsible Conduct of Research (RCR)

2. Add additional comments if required:

OK Cancel