

Research Administration Forum XVII

Marta I. Torruella, Associate Director, Pre-Award
Cindy Fuqua, Sr. Manager- Administrative Post-Award
Maura Gilmartin, Sr. Grants Management Specialist
Mukul Mathur, Sr. Grants Management Specialist
Jim F. Keller, Grants Management Specialist
Joyce Ng, Grants Management Specialist
Betty (Mei-Ki) Chan, Grants Management Specialist

Sponsored Research & Program Development

www.rockefeller.edu/sr-pd

May 29, 2014



SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

Updates

Gila Budescu, Ph.D.

Director

Sponsored Research and Program
Development



SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

www.rockefeller.edu/sr-pd

Post-Award Area

Sponsored Research & Program Development

www.rockefeller.edu/sr-pd

May 29, 2014



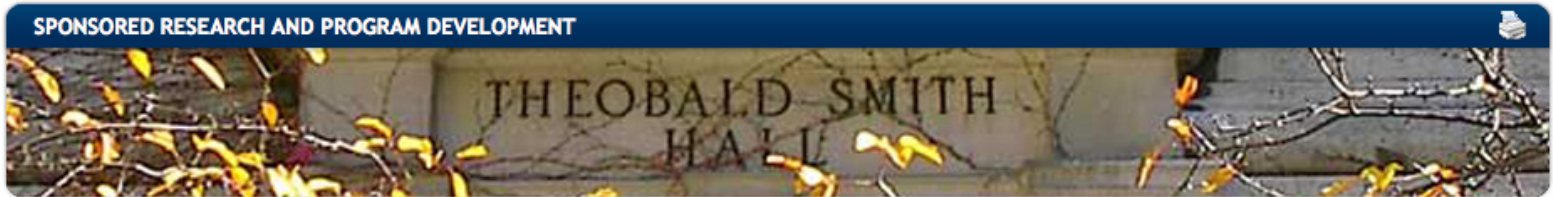
SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

Major Roles

The Post-Award Manager:

- Is the primary contact for all non-financial post-award matters.
- Reviews and, when applicable, negotiates all sponsored research awards.
- Is SR-PD's primary liaison between Finance Research Administration , the Office of Technology Transfer, and the Office of General Counsel (OGC).





SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

- [About](#)
- [News](#)
- [Tips](#)
- [InfoEd FAQ](#)
- [Spotlight](#)
- [Forms and E-Tools](#)
- [Administrative Data](#)
- [Funding Database](#)
- [Your GMS](#)
- [Contact Us](#)

InfoEd

Use RUNET login

April 2014						
Su	Mo	Tu	We	Th	Fr	Sa
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	1	2	3

Most Visited

[Postdoctoral Prog...](#)

[News](#)

Search SR-PD

Post-Award Services

The Rockefeller University's Office of Sponsored Research and Program Development (SR-PD) manages grants and contracts, ensuring consistent compliance with University, Government, and grant-makers' policies and regulations. The SR-PD Manager, Administrative Post-Award, is the primary contact for all non-financial post-award matters.

Services

- [Managing Your Award](#)
- [Data Access Approvals](#)
- [Prior Approvals](#)
- [Compliance Coordination](#)
- [Transferring Awards](#)
- [Closing Awards \(closeout\)](#)
- [No-Cost Extension \(NCE\)](#)
- [Carryforward Procedure](#)
- [Non-Research Grants Requirements](#)
- [Federal-Wide Research Terms and Conditions](#)
- [Agency-Specific Research Terms and Conditions](#)
- [OMB Circulars](#)

Subawards

- [RU requirements for new applications](#)
- [RU requirements for non-competing applications](#)
- [FDP Subaward Agreement Forms](#)
 - [Domestic Template](#)
 - [Foreign Template](#)
- [FDP PHS FCOI Institutional Clearinghouse](#)

Other Resources

- [Research Performance Progress Report \(RPPR\), NOT-OD-12-083](#)
- [NIH Administrative Supplements](#)
- [NIH "All About Grants" Podcast](#)

What are SR-PD Post-Award Services?

The Post-Award area is responsible for all non-financial post-award matters, such as award notices and summaries, prior approval/no-cost extensions/carryforward requests, award and sub-award negotiations and agreements, award transfers and closeouts, and more.



Your Notice of Award

After a grant proposal has been accepted by SR-PD and submitted to a sponsor, and the proposal is selected for funding, the negotiation and acceptance processes begin. Awards are reviewed and, when necessary, negotiated by SR-PD to ensure the terms and conditions are acceptable to our institution. As appropriate, SR-PD will consult with the PI and other administrative offices, such as the [Technology Transfer Office](#) and the Office of General Counsel. Depending on the size of a budget reduction imposed by the sponsor, a corresponding scope reduction may need to be required/considered.

Review the [Manage Your Award](#) page at the Post-Award site.



Sponsor Terms & Conditions

Sponsor Notice of Award – may incorporate terms by reference (such as to the RFA, PA, and/or sponsor policy statements)

[NIH Grants Policy Statement \(10/1/13\)](#)

[NSF Proposal and Award Policies and Procedures Guide \(2/1/14\)](#)



Grants & Funding



Grants Policy

- Policy & Guidance
- Compliance & Oversight
- Research Involving Human Subjects
- Office of Laboratory Animal Welfare (OLAW)
- Animals in Research
- Peer Review Policies & Practices
- Intellectual Property Policy
- Acknowledging NIH Funding
- Invention Reporting (iEdison)
- NIH Public Access
- Research Integrity

NIH Grants Policy Statement

(10/13)

Table of Contents

[[Search Policy Statement](#)] [[Table of Contents](#)] [[Previous Page](#)] [[Next Page](#)]

NIH Grants Policy Statement (10/1/2013) - Effective for all NIH grants and cooperative agreements with budget periods beginning on or after *October 1, 2013*. See *10/1/2012 NIHGPS* for prior budget periods. See [NOT-OD-14-001](#) for description and notable changes since the 2011 version. See also the [Significant Changes document](#) (PDF - 74 KB) which summarizes the significant changes in this revision of the NIH GPS.

Download PDF File - A PDF file containing the NIHGPS is available for viewing, searching and/or printing. You may download the [Complete NIHGPS in a Single File](#) (PDF - 2.8 MB).

Introduction

Part I: NIH Grants—General Information

1 Glossary

1.1 Abbreviations

1.2 Definitions of Terms

2 The National Institutes of Health as a Grant-Making Organization

2.1 Roles and Responsibilities

2.1.1 NIH and HHS Staff

2.1.2 Grantee Staff

2.2 eRA Commons



SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

www.rockefeller.edu/srpd/



AWARD SUMMARY - COMPETING

THIS AWARD IS RENEWABLE: PLEASE CONTACT YOUR GMS

SECTION 1: PRINCIPAL INVESTIGATOR INFORMATION

PI's Name Lab Head (if not PI) PI Department RU Account # CCLXXXXXX

SECTION 2: GENERAL AWARD INFORMATION

Sponsor/Agency Name National Heart, Lung, and Blood Institute/NIH/DHHS Sponsor # and/or Subaward # 1R01HLXXXX-01 Project Dates 01-Feb-2014-31-Jan-2019 Current Budget Period 01-Feb-2014-31-Jan-2015

Award Title The role of nucleases in Interstrand crosslink repair

Proposal Type (Check all that apply) New Competing Renewal Resubmission Transfer Supplement/Revision Extension with Funds (Bridge funding)

Program Type Single PI Research

Amount Awarded (current budget period) Direct: \$ 250,000 F&A (Indirect): \$ 173,750 Total: \$ 423,750 Current Rate: 69.5%

Future Years Support: Budget Period: 01-Feb-2015-31-Jan-2016 Total Costs: \$ 423,750 Budget Period: 01-Feb-2016-31-Jan-2017 Total Costs: \$ 423,750 Budget Period: 01-Feb-2017-31-Jan-2018 Total Costs: \$ 423,750 Budget Period: 01-Feb-2018-31-Jan-2019 Total Costs: \$ 423,750

Subawards Outgoing: Institution: Amount: \$ Institution: Amount: \$ Institution: Amount: \$ Institution: Amount: \$

SECTION 3: COMPLIANCE INFORMATION

Protocol # Approval Date [X] Human Subjects (includes GWAS) [] Human Pluripotent Stem Cells and/or Generation of Human Gametes [X] Animal Subjects [] Custom Antibodies [] Biohazardous Agents Level 3 (BL3) [] Recombinant DNA [] Radioactive Materials On file with Lab Safety [] Responsible Conduct of Research (RCR) o/a Reported to Sponsor: [] Financial Conflict of Interest [] NONE OF THE ABOVE

SECTION 4: REPORTING

Progress Report: 1/1515 Final Report/Invention: 90 DAYS AFTER END DATE

SECTION 5: SPONSOR CONTACTS

GRANTS MANAGEMENT PROGRAM OFFICIAL Name: Joe Scubit Name: Jane Do Telephone: Telephone: E-mail: E-mail:

SECTION 6: COMMENTS

No-Cost Extensions

- Overall, sponsors expect Principal Investigators (PI) to complete projects and deliverables by the stated end date. Occasionally additional time is needed. A no-cost extension gives the PI time to complete the scope and objectives of the project without additional funds being provided by the sponsor.
- All award terms and conditions remain in effect during a no-cost extension period.
- SR-PD's [No-Cost Extension page](#)



Communicating with Sponsors

- The Program Official/Officer is your scientific contact. Useful when planning a submission/resubmission, evaluating your summary statement, and for technical/programmatic questions.
- The Grants Management Specialist is the administrative contact. This is the contact for all prior approval requests, questions about terms/conditions, and administrative matters such as reporting and management of an award.



Compliance Coordination

- Compliance matters at RU are coordinated by multiple offices as a means of ensuring research compliance. Sponsored Research and Program Development ([SR-PD](#)) works closely with our campus compliance officers/institutional committees (IRB, IACUC, IBC) to ensure all sponsored research (including awards under no-cost extension) complies with applicable sponsor, federal, state, and University requirements.
- Please note: awarded funds may be placed on hold if compliance is in not place at any time during the award.



[DONATE](#)



SPONSORED RESEARCH AND PROGRAM DEVELOPMENT

- [About](#)
- [News](#)
- [Tips](#)
- [InfoEd FAQ](#)
- [Spotlight](#)
- [Forms and E-Tools](#)
- [Administrative Data](#)
- [Funding Database](#)
- [Your GMS](#)
- [Contact Us](#)

InfoEd

Use RUNET login

April 2014						
Su	Mo	Tu	We	Th	Fr	Sa
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	1	2	3

Most Visited

- [Postdoctoral Prog...](#)
- [News](#)

Compliance Support

Compliance policy at The Rockefeller University is coordinated by multiple offices as a means of ensuring research compliance. Sponsored Research and Program Development (SR-PD) works closely with our campus compliance officers to ensure all sponsored research (including awards under no-cost extension) complies with applicable sponsor, federal, state, and University requirements. Upon learning of noncompliance, SR-PD must promptly contact, Finance, the principal investigator and cc SR-PD Director and Associate Director, as well as the head of the specific compliance area. Awarded funds may be placed on hold until compliance is in place.

Professional Conduct

- [University Policies](#)
- [Code of Conduct p. 6-7](#)
- [Reporting Possible Violations of the Code of Conduct p. 8-9](#)
- [Financial Conflict of Interest University Policies](#)
- [Research Misconduct Policy and Procedure University Policies p. 34](#)
- [Human Resources Forms, Policies, and Guidelines](#)

Research Subjects

- [Institutional Animal Care and Use Committee \(IACUC\)](#)
- [Institutional Review Board \(IRB\)](#)
- [Training for Research Involving Human Subjects](#)
- [Embryonic Stem Cell Research Oversight \(ESCRO\)](#)

Public Access

- [Markus Library PubSubmit](#)
- [NIH Public Access Policy](#)

Biohazards and Biosafety

- [Laboratory Safety Committee](#)
- [Institutional Biosafety Committee](#)

Responsible Conduct of Research

- [Responsible Conduct of Research \(RCR\)](#)

SPONSORED RESEARCH AND PROGRAM DEVELOPMENT



[About](#)

[News](#)

[Tips](#)

[InfoEd FAQ](#)

[Spotlight](#)

[Forms and E-Tools](#)

[Administrative Data](#)

[Funding Database](#)

[Your GMS](#)

[Contact Us](#)

InfoEd [Log-In](#)

Use RUNET login

May 2014

Su	Mo	Tu	We	Th	Fr	Sa
27	28	29	30	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Responsible Conduct of Research (RCR)

The Rockefeller University (RU) [RCR training](#) is provided in collaboration with Memorial Sloan-Kettering Cancer Center (MSKCC).

At The Rockefeller University the RCR training is overseen by the [Dean's Office](#).

The RCR course heightens the awareness of trainees to ethical considerations relevant to the conduct of research, to inform them of federal, state and institutional policies, regulations and procedures, and to provide trainees with critical analysis and problem solving skills for ethical decision-making. The course is offered every year in the fall and is comprised of four face-to-face sessions (eight hours) and nine online sessions.

All pre- and post-doctoral appointees on NIH funded NRSA programs are required to attend this course in the first year of their appointment. In addition, NIH funded NRSA programs require all first year Graduate Fellows and third year Biomedical Fellows to take the RCR training, so that they are versed in ethical considerations from the outset of their graduate education. [More>>](#)

The NSF requires institutions (as of Jan. 4, 2010) to verify that undergraduate students, graduate students, and post-doctoral researchers supported by NSF to conduct research have received training in the responsible and ethical conduct of research (RCR). [More>>](#)

(Applicants applying for funding subject to the RCR requirement may use the SR-PD [RCR boilerplate](#) in their applications.)

Upon learning of noncompliance, the SR-PD Manager, Post-Award, will promptly notify Finance, the principal investigator and cc SR-PD Director. Awarded funds may be placed on hold until compliance is in place.

Contact the [Dean's Office](#) for additional information on RCR @ Rockefeller.

[Reporting Possible Violations of the Code of Conduct \(p. 8\)](#)

Welcome to the Fall 2013 RCR Course



Sponsored by:
Memorial Sloan-Kettering Cancer Center
and The Rockefeller University



Acknowledgments:

This course covers a range of topics typically included in instruction about the responsible conduct of research (RCR). It is intended to be part of a program designed to meet National Institutes of Health (NIH) training grant, career award and National Science Foundation (NSF) award requirements for such instruction.

The original content was derived from courses taught by Dr. Michael Kalichman at the University of California, San Diego and Dr. Francis Macrina at Virginia Commonwealth University. The present course is further derived from one developed for the Tri-Institutional Responsible Conduct of Research Program for Research Trainees that had been traditionally sponsored by Memorial Sloan-Kettering Cancer Center, The Rockefeller University and Weill Cornell Medical College.

Materials and content from 2008-present have been edited, adapted and/or written by Debra Schaller-Demers, MSOM, Director, Research Outreach and Compliance, MSKCC and RCR Course Director.



Closing an Award

- At the end of each project, the Principal Investigator (PI) must complete the closeout process. It is important to submit all deliverables (including technical reports and patent/intellectual property reports) to sponsors in a timely manner, and to assist SR-PD as requested, as all reports normally must be completed and submitted within 30-90 days of the end of the project. Financial reporting is overseen by Finance's [Budget and Research Administration](#).
- NIH Closeout
A Final Progress Report should include, at a minimum, a summary statement of progress toward the achievement of the originally stated aims, a list of results (positive or negative) considered significant, and a list of publications resulting from the project as well as plans for further publications.
More in the [PHS Final Progress Report Instructions](#).

A Final Invention Statement is also required. [SR-PD Post-Award Manager](#) gets this information from the [Office of Technology Transfer](#) and submits the statement via NIH Commons.

Final Federal Financial Report are submitted by the University's [Budget and Research Administration](#) at Finance.
- Other Sponsors' Closeouts
Review closely the terms & conditions of your award for specific closeout procedures (provided on sponsor's award notice, SR-PD Award Summary, sponsor's site), and submit all required documentation to [SR-PD Post-Award Manager](#), in a timely manner.



NIH RePORTER

- NIH [RePORTER](#) – database of awarded NIH grants
 - Search by key words, PI name, specific program announcement, CSR study section, funding mechanism, etc
 - Provides information on project (abstract), program official, study section, awarded budget, project start/end dates, publications, patents



Questions?



SPONSORED RESEARCH AND PROGRAM DEVELOPMENT