Research Administration Forum XVII

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Sponsored Research & Program Development
www.rockefeller.edu/sr-pd
May 29, 2014
Updates

Gila Budescu, Ph.D.
Director
Sponsored Research and Program Development
Post-Award Area

Sponsored Research & Program Development

www.rockefeller.edu/sr-pd

May 29, 2014
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).
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)
NIH Grants Policy Statement
(10/13)

Table of Contents

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
**Section 1: Principal Investigator Information**

<table>
<thead>
<tr>
<th>PI's Name</th>
<th>Lab Head (if not PI)</th>
<th>PI Department</th>
<th>RU Account #</th>
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**Section 2: General Award Information**

<table>
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<tr>
<th>Sponsor Agency Name</th>
<th>Sponsor # and/or Subaward #</th>
<th>Project Title</th>
<th>Current Budget Period</th>
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</table>

**Program Type**

- [ ] New
- [ ] Competing Renewal
- [ ] Resubmission
- [ ] Transfer
- [ ] Supplement/Revision
- [ ] Extension with Funds (Bridge funding)

**Single PI Research**

<table>
<thead>
<tr>
<th>Amount Awarded (current budget period)</th>
<th>Direct</th>
<th>F&amp;A (Indirect)</th>
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<td>69.5%</td>
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**Future Years Support**

<table>
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<th>Total Costs</th>
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<tr>
<td>01-Feb-2016-31-Jan-2017</td>
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<tr>
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**Subaward Outgoing**

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<th>Institution</th>
<th>Amount</th>
<th>Institution</th>
<th>Amount</th>
<th>Institution</th>
<th>Amount</th>
</tr>
</thead>
</table>

**Section 3: Compliance Information**

- [ ] Human Subjects (includes GWAS)
- [ ] Human Purposely Stem Cells and/or Generation of Human Gametes
- [ ] Animal Subjects
- [ ] Biologically Agents Level 3 (BL3)
- [ ] Recombinant DNA...
- [ ] Radioactive Materials
- [ ] Responsible Conduct of Research (RCR) On file with Lab Safety
- [ ] Financial Conflict of Interest Reported to Sponsor: o/a
- [ ] NONE OF THE ABOVE

**Section 4: Reporting**

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

**Section 5: Sponsor Contacts**

<table>
<thead>
<tr>
<th>Grants Management</th>
<th>Name</th>
<th>Telephone</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joe Smith</td>
<td>Jane Doe</td>
<td>Joe Smith</td>
<td>Jane Doe</td>
</tr>
</tbody>
</table>

**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.
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 or 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)
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?