

# Yale

## **The American Recovery & Reinvestment Act of 2009 (ARRA): Impact on Yale**

Research Administrator Group Meeting

March 31, 2009

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Grant and Contract Administration

Please find this presentation at: [http://www.yale.edu/grants/funding\\_info/ARRA-FAQ.html](http://www.yale.edu/grants/funding_info/ARRA-FAQ.html)

# RAG Meeting Agenda

## Update on the American Recovery and Reinvestment Act of 2009 (ARRA): Impact on Yale

| Topic   | Presenter  |
|---|--|
| Introduction/Overview   | Rita Nigri   |
| ARRA Highlights <ul style="list-style-type: none"><li>• Details on NIH Challenge Grants and Competitive Revisions</li><li>• Other Funding Opportunities</li></ul> | Yuri Shane   |
| Update: Revised ProSum dated 3/19/2009  | Tracy Coston   |
| Upcoming Proposals <ul style="list-style-type: none"><li>• Impact on Grants.gov Portal</li><li>• Early Compliance Reviews</li></ul>                               | <i>Team Leaders:</i><br>Maureen Bogan<br>Cheryl Magoveny |
| Demonstration of Yale's ARRA Webpage  | Melanie Smith  |
| ARRA Reporting Requirements   | Tracy Walters  |
| Questions and Answers   | Penny Cook   |

**For the most updated information, please continue to refer to our ARRA web site:  
[www.yale.edu/grants/funding\\_info/ARRA.html](http://www.yale.edu/grants/funding_info/ARRA.html)**

# **Introduction/Overview**

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# Introduction/Overview

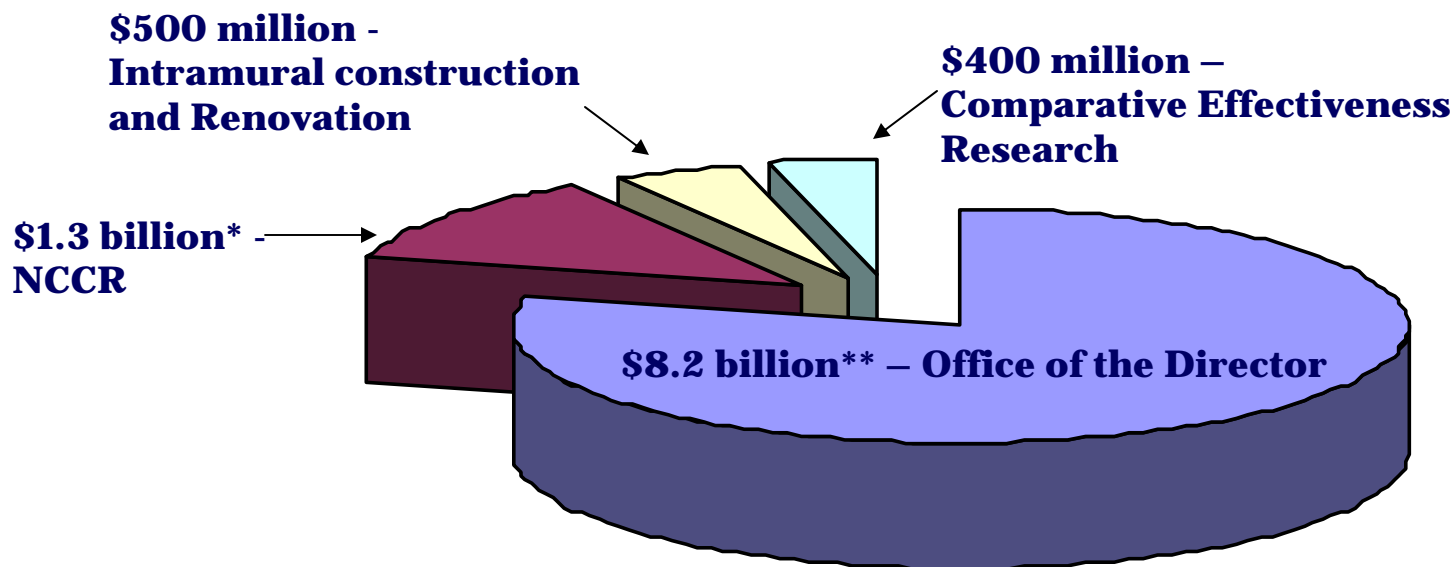
- Purpose of Meeting
- Introduce Speakers
- Background Information on ARRA
  - For more information, refer to:  
<http://www.recovery.gov/>

**For the most updated information, please continue to refer to our ARRA web site:  
[www.yale.edu/grants/funding\\_info/ARRA.html](http://www.yale.edu/grants/funding_info/ARRA.html)**

# Introduction/Overview

## Funds Available by Agency:

National Institutes of Health - \$10.4 billion overall



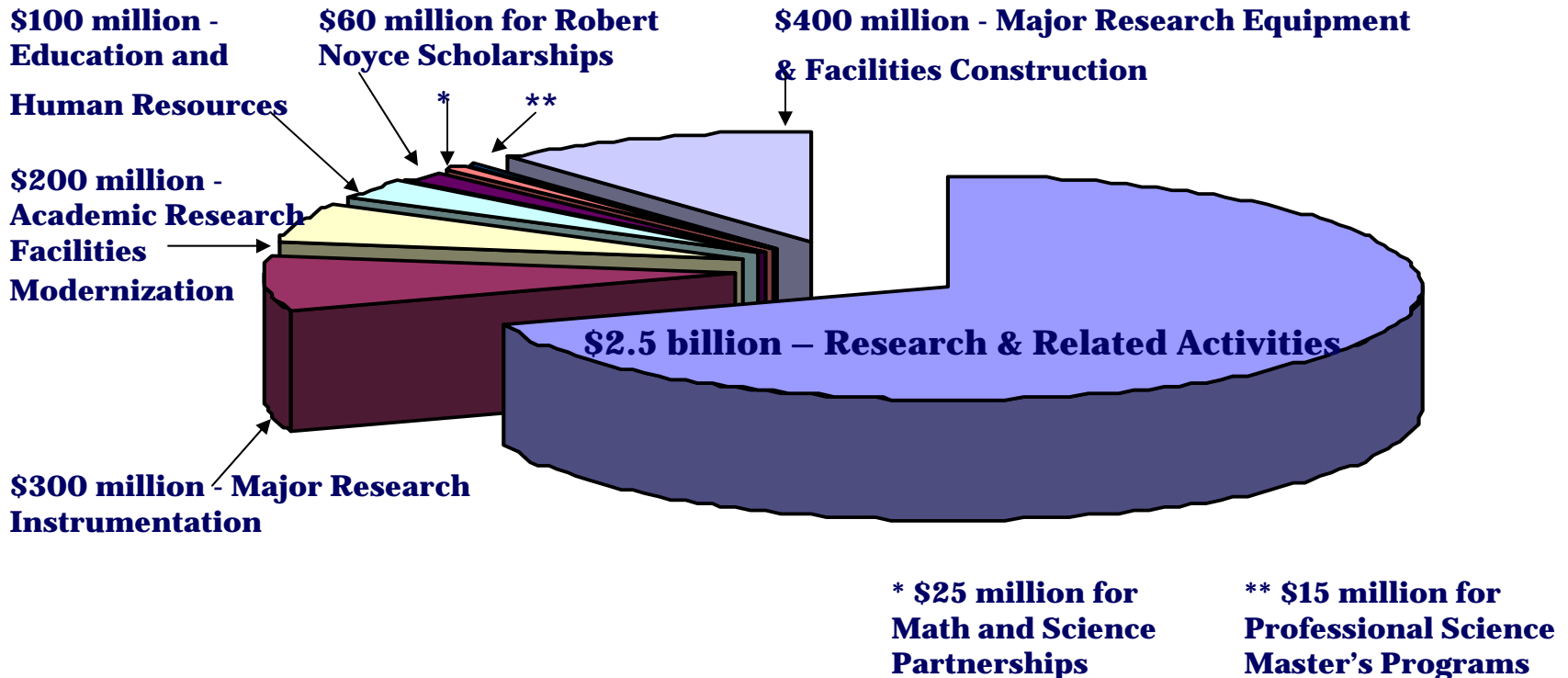
\* \$300 million for shared instrumentation, capital research equipment; and \$1 billion for competitive awards for construction and renovation of extramural research facilities

\*\* \$7.4 billion to transfer to Institutes and Centers and Common Fund and \$800 million retained by OD “for purposes that can be completed within 2 years”

# Introduction/Overview

## Funds Available by Agency:

National Science Foundation - \$3 billion overall



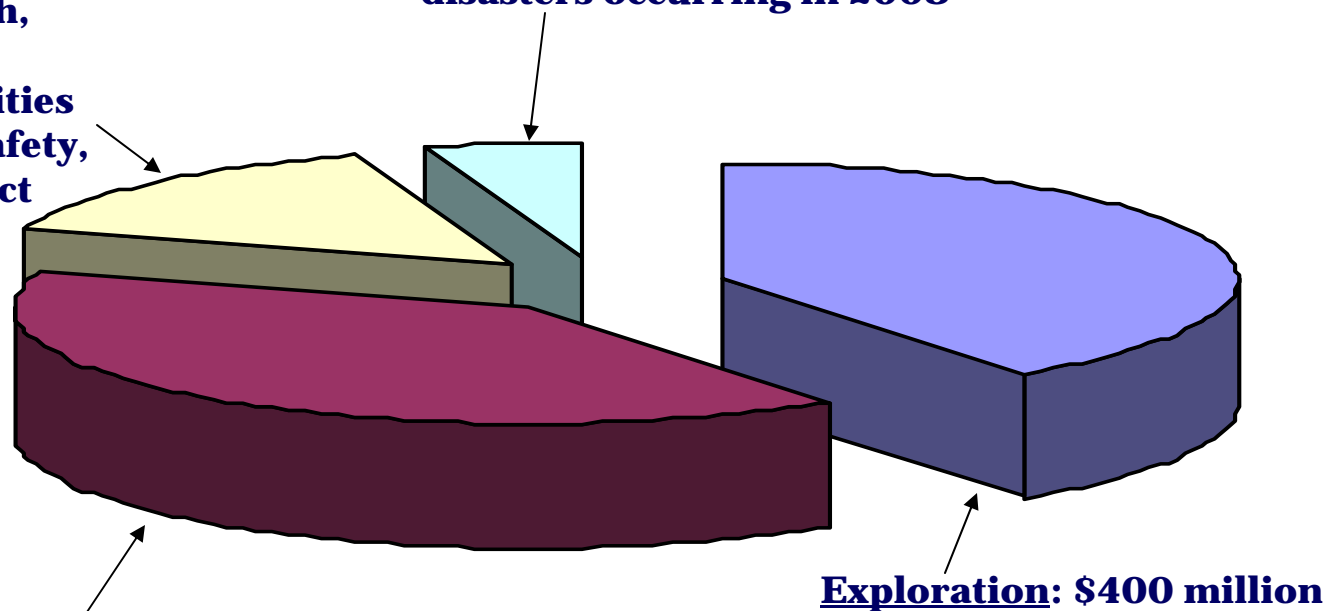
# Introduction/Overview

## Funds Available by Agency cont:

NASA - \$1 billion overall

Aeronautics: \$150 million for system-level research, development and demonstration activities related to aviation safety, environmental impact mitigation, and Next Generation Air Transportation

\$50 million to restore NASA-owned facilities damages from hurricanes and other natural disasters occurring in 2008



Science: \$400 million, to include acceleration of tier 1 Earth Science climate research missions recommended by the National Academies Decadal Survey

# Introduction/Overview

## **Funds Available by Agency cont:**

### Department of Energy Office of Science

- \$1.6 billion to fund research in such areas as climate science, biofuels, high-energy physics, nuclear physics, and fusion energy sciences

### National Institute of Science and Technology

- \$600 million overall
- \$220 million for Scientific and Technical Research and Services
- \$360 million for construction of research buildings (\$180 million of that total for competitive construction grant program for research science buildings)

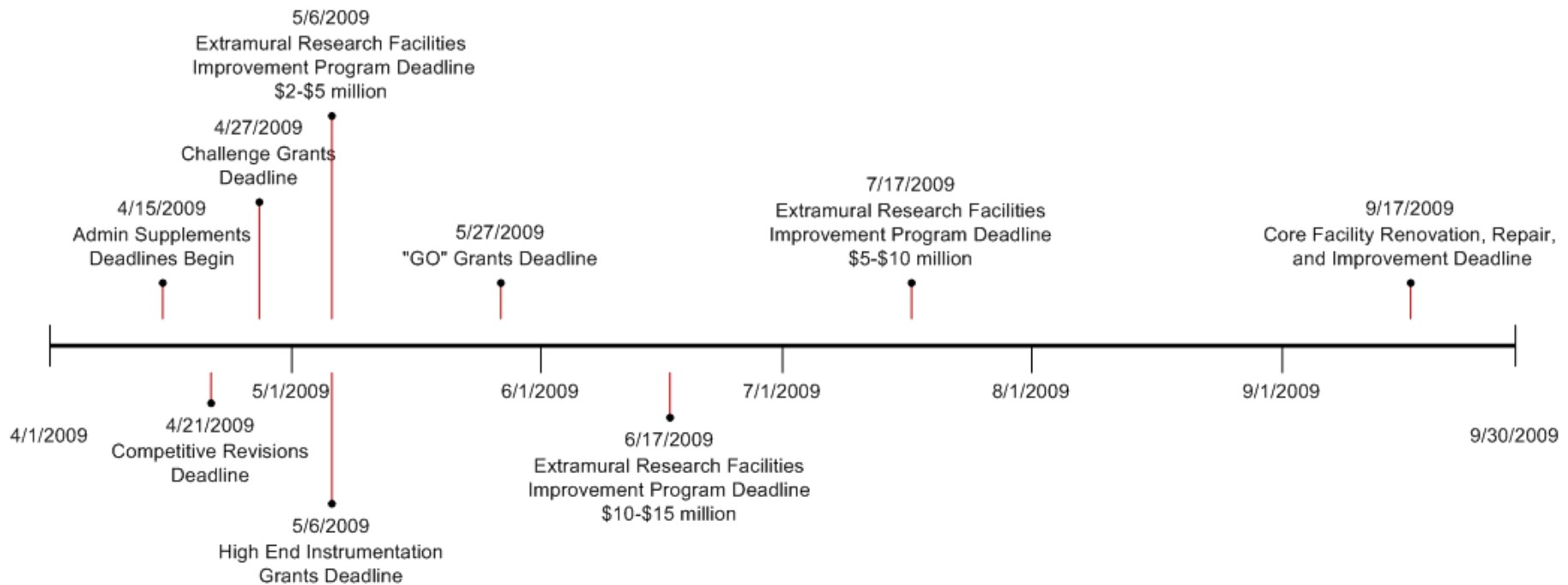
### Department of Energy Advanced Research Projects Agency

- \$400 million to support high-risk, high-payoff research into energy sources and energy efficiency in collaboration with industry

# ARRA Highlights

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# ARRA Highlights



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# ARRA Highlights

## Competitive Revisions (\$1 billion total available)

- Revisions to active NIH Research Grants (including SBIR and STTR) to support a significant expansion of the scope or research protocol of approved and funded projects.
- Formerly known as Competitive Supplements.

|   |   |   |   |   |                            |
|---|---|---|---|---|----------------------------|
| <b>May be funded for up to 2 years.</b> | <b>Parent grant must be active at time revision application is submitted.</b> | <b>Research proposed in revision should be accomplished within current competitive segment.</b> | <b>Revision's period of support cannot exceed project's current end date of the parent grant, including projects on no-cost extensions.</b> | <b>No cost extension should be in place before revision application is submitted.</b> | <b>Due April 21, 2009.</b> |
|---|---|---|---|---|----------------------------|

- Not all agencies are participating such as FIC, NIAID, NHLBI – check individual Institute and Center ARRA websites.

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-058.html>

# ARRA Highlights

## Key Proposal Requirements for Competitive Revisions

Follow all parent grant requirements. In addition there are requirements specific to Competitive Revisions outlined in your ***Competitive Revision Summary*** and ***Checklist*** handouts. A few highlights:

|   |  |
|---|--|
| <b>Submission Method</b>                      | Same as parent grant.  |
| <b>Biosketch</b>                              | Include updated biosketch for the PD/PI and any new Senior/Key Personnel.  |
| <b>Human subjects and IACUC documentation</b> | <ul style="list-style-type: none"><li>• Include current IRB and IACUC approval letters (otherwise, required at time of funding).</li><li>• IRB and IACUC approvals must be in place prior to revision award being made.</li><li>• Any differences in involvement or use of human subjects/specimens and/or vertebrate animals between revision and parent grant should be noted.</li></ul> |

# ARRA Highlights

## Key Proposal Requirements for Competitive Revisions cont.

|   |  |
|---|--|
| <b>Budget Timeline</b>                      | <ul style="list-style-type: none"><li>• Restricted to 2 years maximum (scope must reflect aims that can be accomplished in 2 years).</li><li>• Cannot exceed current project end date of parent grant, including projects on no cost extension (NCE must be in place before revision application).</li></ul>           |
| <b>Budget Amount</b>                        | <ul style="list-style-type: none"><li>• No dollar limit; must be reasonable for aims.</li><li>• Can procure additional needed equipment (costing under \$100,000).</li><li>• Do not need prior approval to submit budget over \$500,000 in annual direct costs; ignore any e-submission validation warnings.</li></ul> |
| <b>Foreign Components/<br/>Subcontracts</b> | <ul style="list-style-type: none"><li>• Not to exceed 10% of the total requested direct costs or \$25,000 per year (per subcontract/subaward or in aggregate for multiple subcontracts/subawards), whichever is less.</li></ul>  |

# ARRA Highlights

## Challenge Grants (at least \$200 million total available)

- Challenge Grants-funded proposals are to address specific scientific and health research challenges in biomedical and behavioral research that would benefit from significant 2-year jumpstart funding.
- Specific Challenge Grant areas exist – see website.

|   |  |  |   |   |                            |
|---|--|--|---|---|----------------------------|
| <b>Resubmissions and renewals are not permitted (unless applicants withdraw currently pending application).</b> | <b>Previously unfunded applications can be submitted as New application.</b> | <b>Earliest start date is 9/30/2009.</b> | <b>Funding is for up to two years; funds must be obligated by NIH by 9/30/2010 so projects must be completed no later than 9/29/2011.</b> | <b>No specific constraints on no cost extensions.</b> | <b>Due April 27, 2009.</b> |
|---|--|--|---|---|----------------------------|

[http://grants.nih.gov/grants/funding/challenge\\_award/](http://grants.nih.gov/grants/funding/challenge_award/)

# ARRA Highlights

## Key Proposal Requirements for Challenge Grants

Follow all parent grant requirements. In addition there are requirements specific to Challenge Grants outlined in your **Challenge Grants Summary** and **Checklist** handouts. A few highlights:

|                        |  |
|------------------------|--|
| <b>Project Summary</b> | 1-page only.   |
| <b>Bibliography</b>    | 1-page only.   |
| <b>Biosketch</b>       | <ul style="list-style-type: none"><li>• 2-pages only.</li><li>• Cite 10 or fewer publications.</li><li>• Current and completed support (part C of the traditional NIH biosketch) is required within this 2-page limit for biosketches. Pending support is considered part of Other Support and will be part of the JIT request sent to those in a fundable range closer to award time.</li></ul> |

# ARRA Highlights

## Key Proposal Requirements for Challenge Grants cont.

|   |   |
|---|---|
| <b>Research Plan</b>  | <ul style="list-style-type: none"><li>• 12-pages maximum.</li><li>• Research Plan must include:<ul style="list-style-type: none"><li>– <i>A statement of the Challenge Area and specific Challenge Topic;</i></li><li>– <i>The Challenge and Potential Impact;</i></li><li>– <i>The Approach; and</i></li><li>– <i>Timeline and Milestones.</i></li></ul></li></ul>   |
| <b>The following items may be separate pdf attachments and are not included in the 12-page Research Plan limit:</b> | <ul style="list-style-type: none"><li>• Inclusion Enrollment Report</li><li>• Protection of Human Subjects</li><li>• Inclusion of Women and Minorities</li><li>• Targeted/Planned Enrollment</li><li>• Inclusion of Children</li><li>• Vertebrate Animals</li><li>• Select Agent Research</li><li>• Multi-PI Leadership Plan</li><li>• Consortium/ Contractual Arrangements</li><li>• Letters of Support</li><li>• Resource Sharing Plans</li></ul> |

# ARRA Highlights

## Key Proposal Requirements for Challenge Grants cont.

### **Budget**

- Limited to \$500,000 total costs/year
- Total of \$1,000,000 total costs/two years.
- Total costs = Direct + Indirect costs.
- This program does not require cost sharing.
- Pre-award costs are allowable.

- GCA strongly encourages PIs to use Economic Stimulus language (reflecting jobs that could be created or retained) in their proposals.
- Please refer to your summary documents for samples of suggested language.

### Please remember:

- Summaries and Checklists are for your reference but are working drafts as information is updated frequently. Check Yale's ARRA website often for updates and the latest versions of documents!

# ARRA Highlights

## Additional ARRA Funding Opportunities

### **Opportunity**

**Administrative Supplements:** <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-056.html>

NOT-OD-09-056.

Application Deadlines: Most institutes and centers (IC) have specific deadlines.

**Administrative Supplements Providing Summer Research Experiences for Students and Science Educators:** <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-060.html>

NOT-OD-09-060.

Application Dates: OPEN, though some institutes and centers (IC) may have specific deadlines.

**Recovery Act Limited Competition: High-End Instrumentation Grant Program (S10)**

<http://grants.nih.gov/grants/guide/pa-files/PAR-09-118.html>

RFA-RR-09-018.

Application Deadline: May 6, 2009.

Support for direct costs to purchase a single major item of equipment to be used for biomedical research that costs at least \$600,000. The maximum award is \$8,000,000. It is expected that the funds will be expended within 18-24 months from the date of award.

# ARRA Highlights

## Additional ARRA Funding Opportunities

### Opportunity

#### **Recovery Act Limited Competition: Extramural Research Facilities Improvement**

**Program (C06)** - <http://grants.nih.gov/grants/guide/rfa-files/RFA-RR-09-008.html>

*RFA-RR-09-008.*

Application Deadline: May 6, 2009, projects between \$2M and \$5M.

Application Deadline: June 17, 2009, projects between \$10M and \$15M.

Application Deadline: July 17, 2009, projects between \$5M and \$10M.

Support for direct costs between \$2M and \$15M may be requested to expand, remodel, renovate, or alter basic research, clinical research, and animal facilities to meet the biomedical or behavioral research, research training, or research support needs of an institution. The total project period for an award may not exceed five years.

# ARRA Highlights

## Additional ARRA Funding Opportunities

### **Opportunity**

#### **NIH RESEARCH and RESEARCH INFRASTRUCTURE "GRAND OPPORTUNITIES"**

**(RC2) - "GO" Grants** - <http://grants1.nih.gov/grants/guide/rfa-files/RFA-OD-09-004.html>

RFA-OD-09-004.

Application Deadline: May 27, 2009.

\$200 million is available to support projects that address large, specific biomedical and biobehavioral research endeavors that will benefit from significant 2-year funds without the expectation of continued NIH funding beyond 2 years. "GO" Grants will exceed \$500,000 total costs per year for 2 years to support large-scale research projects that accelerate critical breakthroughs, early and applied research on cutting-edge technologies, and new approaches to improve the synergy and interactions among multi-and inter-disciplinary research teams.

#### **Recovery Act Limited Competition: Core Facility Renovation, Repair, and**

**Improvement (G20)** - <http://grants.nih.gov/grants/guide/rfa-files/RFA-RR-09-007.html>

RFA-RR-09-007.

Application Deadline: September 17, 2009

Support can be requested to alter and renovate the core facility, as well as to improve the general equipment in the core facility and/or to centralize core facilities. Funds requested under this FOA can range from \$1 million to \$10 million and can include purchase of general equipment for specialized groups of researchers.

# **Update: Revised ProSum**

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# Revised 1304 FR.03 Proposal Summary and Certification Form

**Yale University** NOTE: NEW PROPOSAL TYPES ADDED FOR AMERICAN RECOVERY & REINVESTMENT ACT (ARRA) REQUESTS 1304 FR.03 Proposal Summary & Certification Form

**SECTION I - DEADLINE AND SUBMISSION INFORMATION**

SPONSOR DEADLINE (mm/dd/yy):   RECEIPT  POSTMARK Proposal MIC#:

Submission Method:  If Other (please specify)

Sponsor ID:  Dept. Admin. Contact:  Ph#:

For pick up, please contact (name, tel.# and email)

**SECTION II - PRINCIPAL INVESTIGATOR**

Last Name:  First Name:  M.I.:  Suffix:

Appt. Type/Title:  Email:  Net ID:

Department:

Fax No.:  Ph#:  Award Owning Org#:

**SECTION III - PROPOSAL INFORMATION**

Proposal Title:

Award Short Name:  TOTAL Budget Period (mm/dd/yy):

Sponsor:  Proposed Start Date:  Proposed End Date:

Address (include contact person, tel.#, and email address):

Federal Pass Through  Yes  No Prime Agency (if Yale is subrecipient)

Proposal Type:  If proposal type is a revision, indicate former MIC#

Award Type:  Activity Type:  If Activity Type is a Fellowship, refer to instructions. If Other, (please specify)

RFA/RFP#:  CFDA#:

**SECTION IV - COMPLIANCE**

Yes No (Please select one)  Non-Competing contribution  Renewal  Resubmission  HUMAN SUBJECTS  (If yes, provide HIC/HSC info.) HIC/HSC#:  Approval Date:

LOCATION:  ON CAMPUS  OFF-CAMPUS  OFF-CAMPUS SUBAWARD

ANIMALS (if yes, choose location(s)) LOCATION:  ON CAMPUS  OFF-CAMPUS VA  OFF-CAMPUS SUBAWARD (Domestic)  OFF-CAMPUS SUBAWARD (Outside US)

Yes No OTHER  Biohazards  Will this project involve the transfer or provision of equipment, materials, data or services outside of the US?  Radioactive Substances  Will this project involve any foreign travel, especially foreign travel with a laptop computer or other electronic devices?

INSTRUCTIONS PROSUM Page 1 PROSUM Pages 2-3 Sub Comp Cert Form Clinical Trial Addendum NRSA Fellowship Comp Cert Form

| Proposal Type (Drop-down List) |  |
|--------------------------------|--|
|                                | The American Recovery and Reinvestment Act of 2009 (ARRA) was signed into law February 17, 2009. This stimulus funding carries with it extensive tracking and reporting requirements. The following three new Proposal Types have been added to assist us with tracking these proposal submissions. The proposal types are as follows: ARRA-New, ARRA-Supplement, and ARRA-Conversion. Definitions of these types are noted below. If your request for funding falls under the ARRA, please select the applicable proposal type for your submission. If your proposal is not subject to ARRA funding, select from the list of non-ARRA Proposal Types. |
| * ARRA-New (1)                 | This is a request for American Recovery & Reinvestment Act (ARRA) funds for a new funding opportunity, in response to a specific ARRA RFA/RFP/PAS. Examples would include Challenge Grants, Shared Instrumentation Grants, and/or Construction grants.   |
| * ARRA-Supplement (2)          | This is a request for ARRA funds to support an administrative or competitive supplement to an existing grant. These are supplements to current projects that are on-going at Yale.   |
| * ARRA-Conversion (3)          | This is a request for ARRA funds to support applications that were already submitted but did not get funded. The agency has asked for JIT-like information to now fund the proposal with stimulus funding. Information that may be requested: revised budget, revised scope of work, updated other support, IACUC and/or HIC approvals.  |

For the most recent ProSum, please refer to our GCA web site:

<http://www.yale.edu/grants/forms/docs/ProposalSummaryandCertificationForm.xls>

# Upcoming Proposals

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# Upcoming Proposals

- Review Windows
  - April 7 for the April 21 Competitive Revision (Supplement) Deadline
  - April 13 for the April 27 Challenge Grant Application Deadline
- Upcoming Proposals as of 3/31/2009 (am):

| <b>GCAT</b>        | <b>RC1</b> | <b>Comp Rev</b> | <b>Admin Supp</b> | <b>Grand Total</b> |
|--------------------|------------|-----------------|-------------------|--------------------|
| GCAT1              | 35         | 2               |                   | 37                 |
| GCAT2              | 24         |                 | 1                 | 25                 |
| GCAT3              | 87         |                 |                   | 87                 |
| GCAT4              | 65         | 16              | 13                | 94                 |
| GCAT5              | 57         | 1               | 17                | 75                 |
| <b>Grand Total</b> | <b>268</b> | <b>19</b>       | <b>31</b>         | <b>318</b>         |

Please continue to update us, particularly on Competitive Revisions and Supplements.

# Upcoming Proposals

- Impact on Grants.gov Portal
  - NIH may use another submission mechanism
- Early Compliance Reviews
  - COI
  - IACUC
  - Human Subjects
  - VA MOUs

# **Demonstration of Yale's ARRA Webpage**

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# Demonstration of ARRA Webpage

Yale University Calendar | A-Z Index  GO Y

GRANTS & CONTRACTS Provost | Research Administration | Yale School of Medicine

## Office of Grant & Contract Administration

[Training](#) | [Toolkit](#) | [Contacts](#) | [FAQ's](#)

### Funding Opportunities and Deadlines

**American Recovery & Reinvestment Act of 2009 (ARRA)**  
[http://www.yale.edu/grants/funding\\_info/ARRA.html](http://www.yale.edu/grants/funding_info/ARRA.html)

As information becomes available about implementation of the American Recovery & Reinvestment Act of 2009 (ARRA), it will be posted to the "ARRA" webpage -- new content will always appear at the top, but you are encouraged to review all content within the ARRA webpage.

#### Deadlines

- [Upcoming Deadlines for Funding Opportunities](#)  
Visit Yale's new Funding Opportunities webpage to find deadlines and information on more than 400 grants
- [Scholar Awards](#)



**Funding Information**

- ARRA
  - Agency/Institute Webpages
  - FAQ
  - Funding per Agency
  - Funding Opportunities
  - Reporting Requirements
  - Timeline
  - Yale Procedures
- Deadlines
- Databases
- NIH Roadmap
- Create Expertise Profiles
- Request for Funding
- Search Assistance
- Grants.gov

**For the most updated information, please continue to refer to our ARRA web site:  
[www.yale.edu/grants/funding\\_info/ARRA.html](http://www.yale.edu/grants/funding_info/ARRA.html)**

# **ARRA Reporting Requirements**

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# ARRA Reporting Requirements

|                                 |   |
|---------------------------------|---|
| <b>Terms &amp; Conditions</b>   | Awarded ARRA-related funds will require compliance with award terms and conditions beyond standard terms and conditions.  |
| <b>Reporting Requirements</b>   | Institutions will be required to submit reports including financial and programmatic information, with an emphasis on detailed information being provided on subrecipient spending.   |
| <b>Reporting Due Dates</b>      | These financial and programmatic reports will be due quarterly and no later than 10 days after the end of each calendar quarter. Reporting will start with the quarter ending June 30, 2009 and will be due by July 10, 2009. |
| <b>Job Creation / Retention</b> | Although the specific reporting format has yet to be determined, the reports will contain information on ARRA-related details such as the number of jobs created or retained by the project.                                  |

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[www.yale.edu/grants/funding\\_info/ARRA.html](http://www.yale.edu/grants/funding_info/ARRA.html)**

# Questions and Answers

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Please email any additional questions to:  
**[gacommunications@yale.edu](mailto:gacommunications@yale.edu)**

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our ARRA web site:  
[www.yale.edu/grants/funding\\_info/ARRA.html](http://www.yale.edu/grants/funding_info/ARRA.html)**