



The Principal Investigator Institute is a series of information sessions on topics of concern to researchers and principal investigators, including proposal development, project management, and compliance with regulations. The series is designed to give new and experienced investigators a better understanding of the issues involved in sponsored research. Please see our website for registration and details.

**2009-2010 Sessions**

Resources for Researchers	September 16, 2009
Budgeting for Research Projects	September 23, 2009
Planning a Successful Proposal	September 30, 2009
Human Subjects Research	October 7, 2009
Award Management	October 14, 2009
Technology Commercialization	December 2, 2009
Research with Companies	December 9, 2009
Sponsored Research Agreements	December 16, 2009
Working with Private Foundations	January 6, 2010
Winning at Peer Review	January 13, 2010
Evaluation and Assessment	March 10, 2010
Research Computing Resources	March 17, 2010
Managing Multiple Projects	March 23, 2010
Compliance and Research	March 24, 2010
Intellectual Property in Grants, Contracts and Licenses at RIT	March 31, 2010

**Grant Writer's Boot Camp**

**November 23 & 24, 2009**

The Grant Writer's Boot Camp is a two-day immersion into grant writing, sponsored by Teaching and Learning Services & Sponsored Research Services. Participants are invited or nominated by their department heads or deans.

**rapid RIT Awards and Proposals Database**

RAPID gives the RIT community up-to-the-minute information on sponsored projects. RAPID is available on the SRS website, [www.rit.edu/research/srs](http://www.rit.edu/research/srs).

**PI Reception**

**February 12, 2010**

RIT celebrates the accomplishments of its grant awardees at the annual Principal Investigators' Program and Reception.

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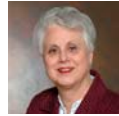
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**Who to Call**

**Proposal Development and Funding Opportunities**

CAST, CIAS, COLA .....	Nancy Forand
CCIS, CIMS/GIS.....	David Harrison
COB, COE .....	Scott Miller
COS (CIS, Physics) .....	Nicholas Rogers
COS (Bio, Life), NTID, WML .....	Andrea Rommel
COS (Chem, Math), AA, SA, F&A .....	Maria Cortés

**Post-Award Administration, PIMs, and NOAs..** Shane Crouse  
..... Katherine Clark

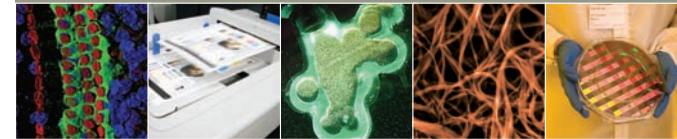
**Contract Services (Government)** ..... Katherine Clark  
**(Corporate)** ..... Jason Polito

**Event Registration** ..... Kelly Evinsky

**R·I·T**

**Sponsored Research Services**

VICE PRESIDENT FOR RESEARCH



**2009-2010 Guide to SRS Services**

- Learn Grantsmanship
- Identify Funding Sources
- Develop a Winning Proposal
- Know the Regulations
- Manage Awards
- Process Contracts

The office of Sponsored Research Services is a supportive infrastructure that promotes the expertise of the RIT community by facilitating all aspects of externally funded grants and contracts.

—SRS Mission Statement

## Securing Funding for Your Ideas



SRS can help you find funding for your projects. Funding opportunities are available from numerous sources, including federal, state, and local government, foundations, non-profit organizations, corporations, and professional associations.

The SRS Senior Research Administrator (SRA) assigned to your college or unit works with you to match your interests with possible sponsors. By keeping pace with funding trends, your SRA can help you make sense of the vast array of funding opportunities.

From grant databases and e-mail notification services, to our in-house reference library and proposal archive, we put the world of external funding at your fingertips. To learn more, contact your SRA, or visit our website at [www.rit.edu/research/srs](http://www.rit.edu/research/srs) and click on “Funding Opportunities.”

## Preparing a Successful Proposal



A winning proposal starts with a great idea. Once you have matched your idea with a funding source, we'll help you maximize your chances of receiving funding.

With our background in assisting RIT faculty and our experience with sponsoring organizations, we can help you distill the essence of a funding solicitation. We can advise on how best to tailor your proposal to the mission and goals of the sponsor, how to develop a budget to accomplish your aims while adhering to applicable guidelines, and how to navigate the daunting task of preparing paperwork and supporting documents.

We can also guide you through RIT's internal review process, from preparing the Project Review Form (PRF) to obtaining signatures and approvals necessary for your project.

## Compliance @ RIT

A number of laws and Institute and sponsor guidelines govern the conduct of sponsored programs in higher education. At every step of the process, we are here to help your project meet the requirements.

### RIT Policies

Investigators should familiarize themselves with RIT policies governing the conduct of research at RIT:

- C.1 Oversight Policy for Externally Sponsored Projects
- C.2 Misconduct in Research and Scholarship
- C.3 Intellectual Property Policy
- C.4 Conflict of Interest Policy Pertaining to Externally Funded Projects
- C.5 Policy for the Protection of Human Subjects in Research

### Federal Guidelines

Federal laws that apply to sponsored projects include:

- Office of Management & Budget (OMB) Circulars A-21, A-110, and A-133: allowable costs under grants, record keeping, and audit procedures
- Code of Federal Regulations (CFR) 45.46: human subjects research
- Federal Acquisition Regulations (FAR) and agency supplements: award of federal monies for contracts
- International Traffic in Arms Regulations (ITAR) and Export Administration Regulations (EAR): export controls
- Internal Revenue Service (IRS) Revenue Procedure 97-14: use of university facilities purchased with tax-exempt bonds
- US Code (USC) 35 §§202-212/Bayh-Dole Act: university intellectual property
- Specific federal agency policies and procedures

### Oversight Committee

The Oversight Committee administers RIT's Oversight Policy for Externally Sponsored Projects, assuring openness in research and protection of Institute and researcher interests. The OC is comprised of faculty, staff, and a student government appointee.

The OC reviews Notices of Awards (NOAs) submitted by investigators when projects are funded. The Committee reports its findings on an annual basis to the university administration and governance committees, and provides the RIT public with a listing of NOAs.

### Institutional Review Board

The Institutional Review Board (IRB) helps to ensure the protection of human subjects in research projects. The IRB conducts a priori and ongoing reviews of all projects involving human participants to ensure that risks to participants are minimized, rights of participants are adequately protected, and informed consent is obtained appropriately.

Two IRB committees comprised of faculty, staff, and an outside member serve RIT researchers. One committee reviews projects involving RIT's deaf population.

## Contract Services



Externally funded projects generally require a contract between RIT and the sponsor, as well as any subrecipients. SRS administers these agreements, determining the appropriate agreement type for your project, and negotiating to protect your interests and those of the University. Sponsor-supplied contracts or RIT's Sponsored Research, Applied Research, or Educational Agreements are executed when a sponsor confirms its intent to fund a project. SRS will obtain the signature of an authorized university representative, which is required on all contracts.

Ancillary agreements, such as Equipment Loan, Teaming, or Non-Disclosure Agreements are sometimes required in connection with a project or project discussions. Our office will work with you and the sponsor to put these agreements in place; just let us know as soon as you anticipate needing one.

## Award Management

When a sponsor funds your project, our office will help make sure you are off to a great start. Our post-award specialist arranges a Project Initiation Meeting (PIM) with you to discuss terms of your award and your responsibilities as Principal Investigator (PI). At the PIM, you and those involved in administering and directing the project will meet with representatives from SRS and Sponsored Programs Accounting (SPA) to learn about accessing funds through a special project account, reporting requirements, budget flexibility, record retention, policy adherence, and any additional sponsor policies or requirements. The meeting is an opportunity to discuss anything that may have changed within your project since the time of submission—whether technical, budgetary, or personnel-based—and to provide and obtain contact names and information. If your project involves a subcontractor, we will prepare the subagreement paperwork and assist you in finalizing the scope of work.

As a PI, you will receive periodic emails from us reminding you of upcoming university and sponsor deadlines for reports, forms, and deliverables. We will file for extensions or modifications to your project if needed. We will work with you during the course of your project to review the options available and function as a liaison with the sponsor to request and seek approval of any necessary changes.