



NICHD GRANTS MANAGEMENT

WASHINGTON, DC

November 2007

OVERVIEW

- NIH Budget and NIH Wide Issues
- NIH Commons & Electronic Submission
- Role of Grants Management
- EARDA Program
 - Grants Management Issues
- Resources – Web Links & Contacts

Fiscal Years 2007 & 2008

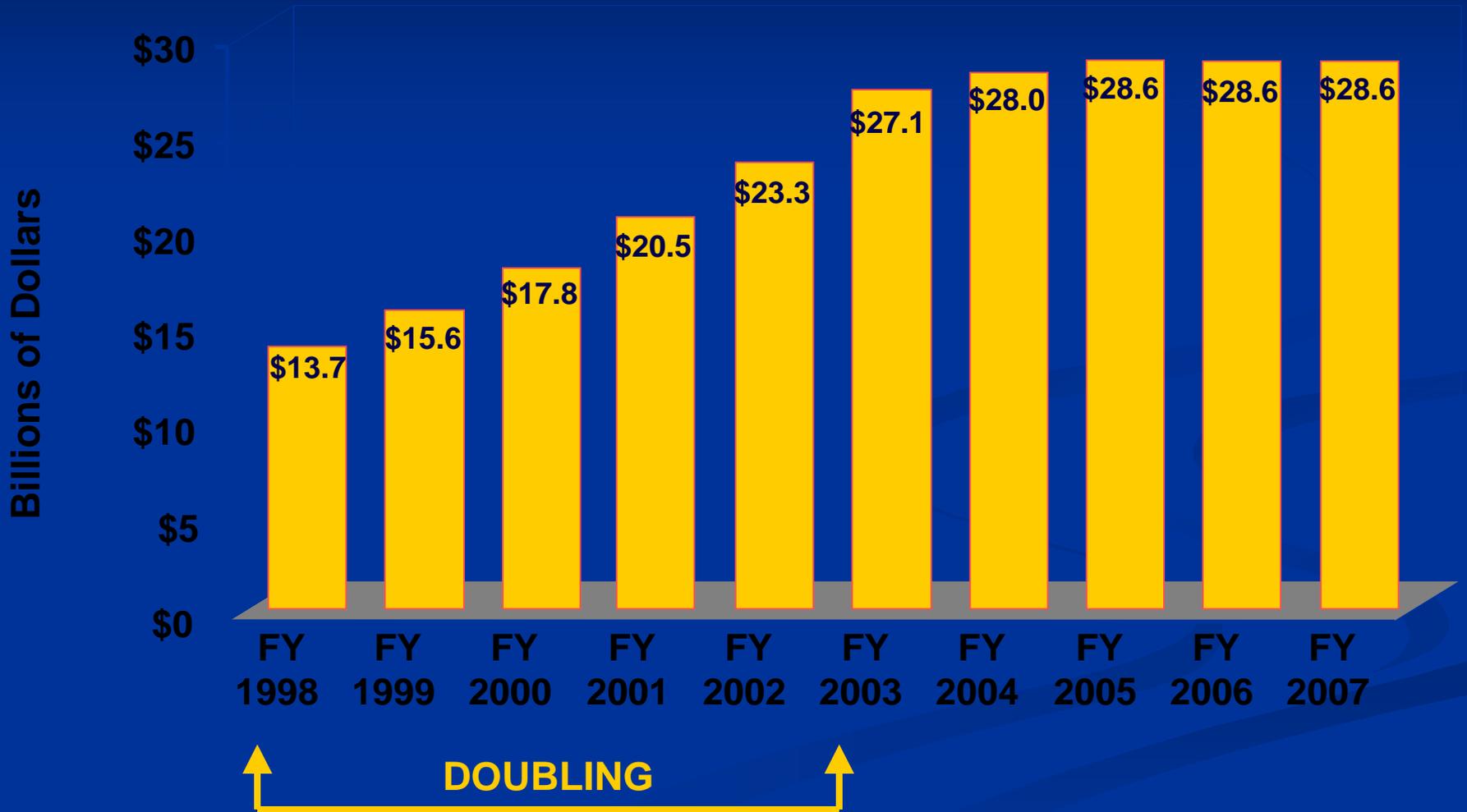
- FY 2007:
- Budget & Funding
- FY 2008:
- Budget Request



Summary of the President's FY2008 Budget Request:

<http://officeofbudget.od.nih.gov/PDF/Press%20info-2008.pdf>

NIH Congressional Appropriations



CHANGES TO BUSINESS PROCESSES ANNOUNCED IN FY2006

[NOT-OD-06-054](#): NIH Announces Change in Business Process: Replacing the Principal Investigator Signature on Grant Applications, Progress Reports, and Prior Approval Requests with an Institutional Compliance Requirement

[NOT-OD-06-055](#): NIH/AHRQ Announce Change in Business Process Concerning eRA Commons Verification of Electronically Submitted Applications

[NOT-OD-06-056](#): NIH Announces Interim Changes to the PHS 398 Application & Instructions

[NOT-OD-06-057](#): NIH Announces Changes to the SF424 (R&R) Instructions

[NOT-OD-06-058](#): NIH Announces Interim Changes to the PHS 2590 Noncompeting Progress Report Forms and Instructions

PI Signature Replaced w/ Institutional Compliance Requirement

- The signature of the PI is no longer required as part of a submitted application, Progress Report, or Prior Approval.
- Instead, the applicant organization agrees to secure and retain a written assurance from the PI prior any submission.
- Applicants must retain a unique signature and date for each submission.

Guide Notice: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-054.html>
FAQs: http://grants2.nih.gov/grants/policy/pi_signature_faqs.htm



Person Months

Conversion From Percent Effort



- Person months - Is the metric for expressing the effort (amount of time) PI(s), faculty and other senior personnel devote to a specific project.
- The effort is based on the type of appointment of the individual with the organization; e.g., calendar year (CY), academic year (AY), and/or summer term (SM).
- The use of person months is driven by the NIH use of the SF 424 (R&R) and the transition to accepting applications via [grants.gov](https://www.grants.gov).

PERSON MONTHS: FAQs AND CALCULATOR

- How do you calculate person months?
- Multiply the percentage of your effort times the number of months of the appointment. For example:
 - 10% of a 9 month academic year appointment equals .9 person months ($9 \times .10 = .9$ person months)*
 - 10% of a 12 month calendar appointment equals 1.2 months ($12 \times .10 = 1.2$ person months)*
- How do I know if I'm over committed?
- Personnel with over 12 person months would be the indicator of over-commitment (i.e. 12 person months translates to 100% effort).
- *Actual figures for person months should be included in appropriate columns – do not round up or down.

Where To Go For Help

http://grants.nih.gov/grants/policy/person_months_faqs.htm

NIH COMMONS
And
ELECTRONIC SUBMISSION



eRA Commons' Functionality



- Administration
- Just-In-Time (JIT) Information
- No-Cost Extensions (1st Time)
- Financial Status Reports (FSR)
- Closeout
- Demo Facility

eRA Commons' Functionality: Important for Investigator

- Status
 - Study Section and IC Assignments*
 - Priority Score*
 - Summary Statement*
 - NGA

* This is the only place
for PIs to access this information.

eRA Commons: Your Only Source for an Application's Status

- The NIH will no longer be mailing the following paper notifications:
 - Summary Statements – Effective October 1, 2005
 - Peer Review Outcome Letters – Effective February 1, 2006
 - Assignment Letters – Effective June 1, 2006
 - Change of Assignment Letters – Effective June 1, 2006
 - PIs and Fellows must access this information through the eRA Commons.
 - **Reminder!** Effective May 10, 2006, all applications must include the eRA Commons User name for all Project Directors/Principal Investigators (PD/PI) and Individual Fellows – Applies to paper and electronic applications
 - To avoid delays in the e-notification process, it is vital that grantees and PIs register in the eRA Commons early and periodically check e-mail addresses for accuracy. PIs should consult with their business office for creating a Commons account.
- eRA Commons Home Page: <https://commons.era.nih.gov/commons/>
 - NIH Guide Notice, September 8, 2005:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-075.html>
 - NIH Guide Notice, May 3, 2006:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-066.html>

NIH's Electronic Receipt Goal

By the end of FY 2008, NIH plans to:

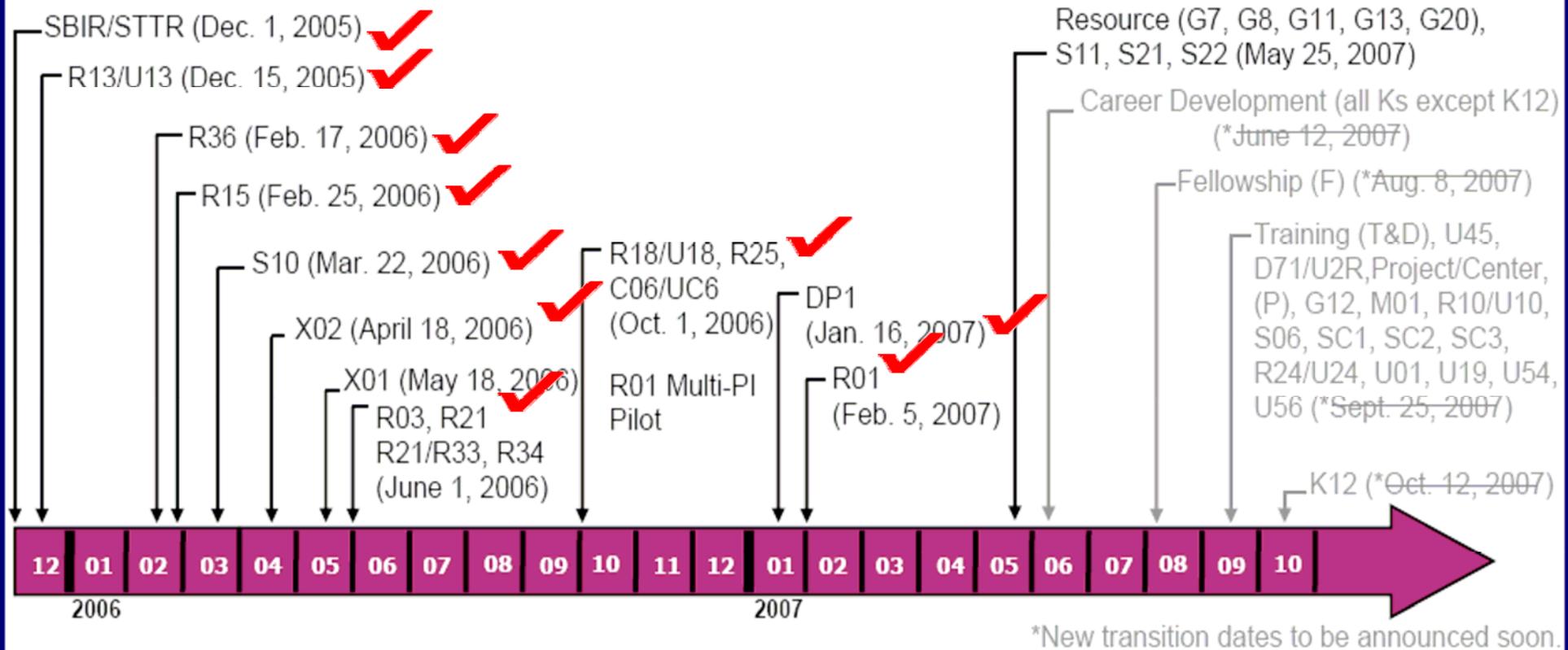
- Require electronic submission through Grants.gov for all NIH grant applications.
- Transition from the PHS 398 application form to SF424 family of forms data set.
 1. SF424 Research and Research-Related (SF424 [R&R])
 2. SF424 Discretionary (of limited use for NIH)

Revised Timeline:

http://era.nih.gov/ElectronicReceipt/files/Electronic_receipt_timeline_Ext.pdf

NIH Planned Transition Dates of Mechanisms for Electronic Submission using the SF424 (R&R)

NIH Planned Transition Dates of Mechanisms for Electronic Submission using the SF424 (R&R)



*New transition dates to be announced soon.

Where to Find More Information



DER Home

NIH Office of Extramural Research Electronic Submission of Grant Applications

Search

[Advanced Search](#)

[Home](#)

[Electronic Application Process](#)

[Transition Timeline](#)

[Avoiding Common Errors](#)

[Frequently Asked Questions \(FAQs\)](#)

[Resources](#)

[Finding Help](#)

[Site Map](#)

[Intranet Link \(NIH Staff only\)](#)

Electronic Submission

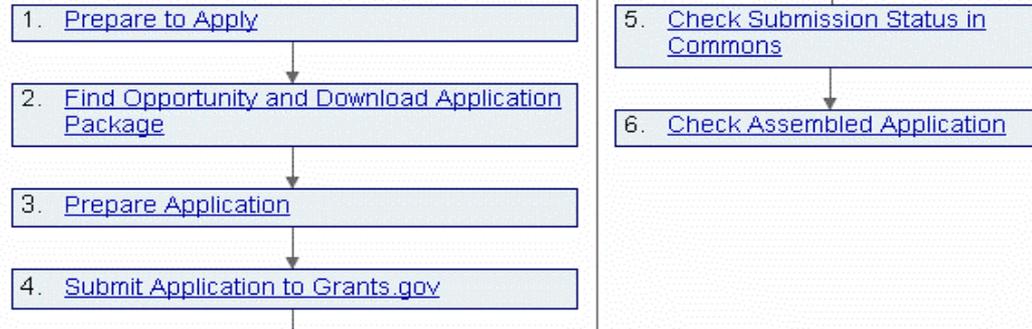
Paper No More, Use 424 (R&R)

[Subscribe to the latest eSubmission News!](#)

NIH is transitioning from paper PHS398 grant application submissions to electronic submission using the SF424 (R&R) application. [Timeline for Transition](#)

Electronic Application Process

[View Detailed Chart](#)



Transition Timeline

- [Timeline \(Graphic format\)](#)
[More...](#)

Avoiding Common Errors

• **Electronic Submission Website at:**
<http://era.nih.gov/ElectronicReceipt/>

Latest Updates

Recent Updates to Website

- New training [videos](#) on eSubmission process and Commons features (July 29, 2006)
- Updated [SF424 \(R&R\) Validations](#) (July 14, 2006)
- [Application Guides](#) updated. Version 2 now available. (July 7, 2006)

[More...](#)

eSubmission News **NEW**

- [Posted on AOR/SO Listserv](#)
- [Posted on PI Listserv](#)

[More...](#)

Related NIH Guide Notices

- [Workaround for Adding More Than Eight Senior/Key Persons](#) (July 31, 2006)

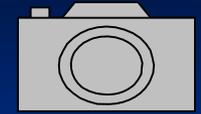
[More...](#)

Where To Go For Help

- General information on Electronic Submission and the SF424 (R&R):
 - <http://era.nih.gov/ElectronicReceipt>
- Grants.gov registration, submission and Pure Edge behavior questions:
 - Visit: <http://www.grants.gov/CustomerSupport>
 - Grants.gov Customer Service
 - E-mail: support@grants.gov
 - Phone: 1-800-518-4726
- eRA Commons registration and post submission questions on Commons functionality
 - Web Support: <http://ithelpdesk.nih.gov/eRA/>
 - eRA Commons Help Desk
 - E-mail: commons@od.nih.gov
 - Phone: 1-866-504-9552 OR 301-402-7469
- Forms transition and questions on NIH's overall plan for electronic receipt
 - NIH Grants Information
 - E-mail: grantsinfo@nih.gov
 - Phone: 301-435-0714



Enter your own
help ticket!



How Grants Management Fits into the Picture

Roles and Responsibilities Within the Grants Management Branch (Cont...)

- Monitors administrative and fiscal aspects of the grant
- Assures compliance with Federal laws and NIH policies and procedures
- Analyzes grant applications prior to award
- Reviews and responds to grantee prior approval and rebudgeting requests
- Assures documentation of official grant files
- Is the only NIH official authorized to obligate the NIH to funds or other terms and conditions of award.

Interaction With Program Staff

- Summary Statement Remarks
- Budget Adjustments
- Request Additional Information (other than JIT)
- Start dates
- Terms and Conditions of Award
- Progress Reports
- Financial Status Reports
- Carryover Requests, Extensions
- Issues, Problems, or Questions From the Grantee

Remember.....

THEY APPROVE THE SCIENCE



..... WE APPROVE THE MONEY!



GRANTS MANAGEMENT ISSUES

EARDA

G11 Mechanism

- Institutional grants
- F&A Rate is 8%
- Require annual Financial Status Reports (FSRs)
- No carryover of unexpended funds

EARDA

G11 Mechanism

- Are there any limits to the amount an institution can request?
 - For the first year the limit is **\$60K DC**
 - Fund an office of research development
 - Subsequent years funding is increased by **\$40K DC**
 - Fund pilot projects

EARDA

G11 Mechanism

- Are there any limits on the length of time that an institution can request?
 - The project period cannot exceed 5 years
 - Renewable for an additional 3 years
 - Total project period may not exceed 8 years

EARDA RESTRICTIONS

- Grant awards include some restrictions as to how the funds may be used.
 - RFA
 - Section IV of the NGA

PROGRESS REPORT REMINDER—Don't Be Late!

A recent OIG study concluded that major contributing factors to late awards were late and/or incomplete progress reports.

- An annual progress report is due two months prior to anniversary date.
- All grantees have access to searchable list of due progress reports at:
http://era.nih.gov/userreports/pr_due.cfm
- NIH e-mails 2 progress report reminders to the PI
 - Two months prior to the due date
 - Two weeks after the due date for overdue report
 - NIH Guide, August 5, 2003:
 - <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-03-054.html>
- Centralized Receipt of ALL NIH Progress Reports – effective 10/1/04
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-04-054.html>

EARDA

Annual Progress Reports

- Are the annual progress reports submitted electronically?

NO!

- Progress report must be prepared using PHS 2590 paper form application.

EARDA

Annual Progress Reports

- Follow the current PHS 2590 (<http://grants.nih.gov/grants/forms.htm>) and RISE supplemental instructions
- Summarize the progress achieved in the reporting period with respect to the EARDA Program goals
- Narrative part is limited to three pages
- Due 2 months before the next budget start date

EARDA

Additional Progress Report Reminders

- Be aware of the page order of the Progress Report. Pages that come after the Personnel Report will be regarded as appendix materials by Centralized Receipt and may be delayed in arrival.
- Be aware of the format. Progress reports must be single-sided and single-spaced, staying within the margin limitations indicated on the form. **NIH now requires the use of Arial, Helvetica, Palatino Linotype or Georgia typeface and a font size of 11-points or larger.**

Where do I submit my annual progress report?

- The progress report due information is available in the Commons status system
(http://era.nih.gov/userreports/pr_due.cfm)
- Division of Extramural Activities Support, OER
National Institutes of Health
6705 Rockledge Drive, MSC 7987
Room 2207
Bethesda, MD 20892-7987 (for regular or US Postal Service Express mail)
Bethesda, MD 20817 (for other courier/express mail delivery only)
Tel: 301-594-6584
- Due 2 months before the next non-competing start date

What Not to Submit with the Non-Competing Progress Reports

- Carryover Requests
- Requests for Supplemental Funding
- Requests for Additional Time to the Final Budget and Project Period
- * These are administrative actions that need to be addressed separately.

What Can Delay the Award Process?

- Lack of or slow response to inquiries
- Info sent without identification—always include grant number
- Missing counter-signature of an authorized business official
- Budgets with inadequate justification

What Can Delay the Award Process?

(continued)

- Other Support for an individual that adds to more than 12 person months.
- Missing information for Key Personnel
- Out-of-date IRB/IACUC approvals
- Lack of population data for clinical trials

Financial Status Report Description

- A Financial Status Report SF-269 is a statement of expenditures reported against funds awarded to a grantee institution.
- Grantees are awarded funds and required to report the expenditure activity to the awarding institute annually or at the end of the project.
- All Financial Status Reports are due 90 days after each budget period ends.

Who is responsible for FSR Reporting

- Institution's accounting office is responsible for submitting the FSR...
- **HOWEVER**, the Principal Investigator **MUST** forward budget information to the accounting office and is responsible for following up to make sure the FSR was submitted by the due date and that the information is accurate.

Consequences of a late FSR

- If an FSR is delinquent this would delay the release of the award past the original start date.
- If the FSR is **MORE** than 30 days late from the start date of the current award, NICHD may **PRORATE** the time and amount of funds allocated to the award until the FSR is submitted and **approved**.

Points to Remember

- Submit the FSR 90 days after each budget period ends.
- If a program does not spend all awarded funds by the end of the budget period the remaining funds remain as restricted unobligated funds.
- Left over funds at the end of the year does not entitle the grantee to a carryover.

Submission of FSR's

- For quick submission sign up for the COMMONS
<https://commons.era.nih.gov/commons/>
- Mailing Address (Slower process)

Government Accounting Branch
Office of Financial Management
National Institutes of Health
2115 East Jefferson Street, Suite 4B432
MSC 8500
Bethesda, MD 20892-8500

(For FedEx, UPS, and other courier services use Rockville, MD 20852)

What happens to funds left over at the end of the budget year?

- The funds awarded for any year must be spent in that grant year.
- You cannot automatically carry over these funds into a new budget period, and any funds remaining at the end of a budget period must be reported on the Financial Status Report (FSR)

Prior Approval

- Certain post-award actions require the prior approval of the NIH Grants Management Officer
- NIH Grants Policy Statement, Prior Approval Section:
http://grants1.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part7.htm

Prior Approval

- Examples of actions requiring NIH Prior Approval:
 - No-Cost Extensions beyond first extension
 - Change in Principal Investigator
 - Carryover of restricted funds
 - Undertaking activities disapproved or restricted as a term of award
 - Change in Scope or Research Objectives

Prior Approval

- Change in Status: (including absence of PI)
 - Grantee must notify NIH if the PI will:
 - Reduce his/her time by more than 25% of approved effort at time of award
 - Withdraw from the project
 - Absence from project more than 3 months

RESOURCE WEB LINKS

- Office of Extramural Research Grants Home Page:
<http://grants.nih.gov/grants/oer.htm>
- NIH Grants Policy Statement (12/03):
http://grants.nih.gov/grants/policy/nihgps_2003/index.htm
- PHS 2590 Progress Report (form pgs are PDF-fillable):
<http://grants.nih.gov/grants/funding/2590/2590.htm>
- Handy Reference: Activity Code, Organization Codes and Definitions Used In Extramural Programs:
<http://grants.nih.gov/grants/funding/ac.pdf>

RESOURCE WEB LINKS

(continued)

- Frequently Asked Questions:

http://grants.nih.gov/grants/frequent_questions.htm

- Notice of Award Letter

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-060.html>

- Progress Reports

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-04-063.html>

CONTACT INFORMATION

- Mario Martinez, Grants Management Team Leader
 - E-mail: martinem@mail.nih.gov
 - Telephone: (301) 402-4078

QUESTIONS?

