

FOA Applicant Information Briefing

Hazardous Materials Worker Health and Safety Training
(U45 Clinical Trials Not Allowed) [RFA-ES-19-003](#)

&

Hazmat Training at DOE Nuclear Weapons Complex
(UH4 Clinical Trials Not Allowed) [RFA-ES-19-004](#)

**NIEHS Keystone Bldg and NIEHS Videocast
September 12, 2019**



Introduction and Welcome

Joseph T. Hughes Jr.

Director

Worker Training Program

Division of Extramural Research & Training

Briefing Meeting Guidelines

- Agenda
- Site Logistics
- Questions & Answers

WTP Homepage:

www.niehs.nih.gov/wtp

- Click on Funding Opportunities page
 - [Current Funding Opportunities](#)
 - FOAs: [RFA-ES-19-003](#) and [RFA-ES-19-004](#)

Questions During Videocast

- Two question and answer sessions during the meeting
- E-mail questions to wetp@niehs.nih.gov
 - Monitored throughout videocast
 - E-mail address will be displayed periodically

Agenda

1:00 pm	Introduction and Welcome	Joseph “Chip” Hughes
1:10 pm	FOA Program and Component Descriptions <ul style="list-style-type: none">• Overview• Program Component - HWWT• Program Component – ECWTP• Program Component – HDPTP• DOE FOA – Hazmat Training at DOE Nuclear Weapons Complex• Overall Component, Evaluation, Attachments, and Appendices	Joseph “Chip” Hughes Sharon D. Beard Sharon D. Beard James Remington Demia Wright Sharon D. Beard & Demia Wright
2:10 pm	Break	
2:25 pm	Questions and Answers of Program Issues	NIEHS WTP Staff
3:10 pm	<ul style="list-style-type: none">• Tips for a Successful Application• ASSIST Video Presentation	Sharon D. Beard
3:30PM	FOA Fiscal and Administrative Issues/Guidelines	Lisa Edwards
3:45 pm	FOA Review Process and Considerations /Guidelines	Janice Allen
4:00 pm	Questions and Feedback	All
4:30 pm	Conclusion	Joseph “Chip” Hughes



NIH

National Institute of Environmental Health Sciences
Your Environment. Your Health.

NIEHS 2018-2023 Mission, Vision, and Strategic Plan

Mission

To discover how the environment affects people in order to promote healthier lives

Strategic Themes for Environmental Health Science

Vision

To provide global leadership for innovative research that improves public health by preventing disease and disability



Available in print and on the NIEHS website at www.niehs.nih.gov/strategicplan

WTP Overview

Joseph T. Hughes Jr.

Director

Worker Training Program

Division of Extramural Research & Training

NIEHS Worker Training Program (WTP)

Mission

Support the development of a **network of nonprofit organizations and universities** that are committed to **protecting workers and their communities** by delivering high-quality, peer-reviewed **safety and health** curriculum to target populations of **hazardous waste workers and emergency responders**

WTP: Preparing workers since 1987

Increasing **worker safety and health** across the country

Trained approximately **4 million workers** since 1987

Helps **businesses and municipalities** meet worker training needs; helps keep worksites and communities safer

Increasing the country's capacity for **disaster preparedness and emergency response**

Trained thousands of workers in response to many of the worst **natural and manmade disasters** in the U.S., including:

- World Trade Centers
- Hurricanes Katrina, Sandy, Harvey, Irma, Maria, and Florence
- Deepwater Horizon Gulf Oil Spill
- Ebola/Biosafety Response

Providing a **job and life skills training program** to unemployed and underemployed individuals

Reached over **12,000 individuals** in 30 communities across U.S., with **average job placement rate of 70%**

Annual federal investment of **\$3.5M** generates a **\$100M return**

Purpose of Programs

Support the development of model programs for the training and education of workers engaged in activities related to hazardous materials and waste generation, removal, containment, transportation and emergency response.

Prevent work-related harm through safety and health training.





Need for Programs

A variety of sites may pose severe health and safety concerns to workers and the surrounding communities.

These sites contain many hazardous substances, sometimes unknown, and often a site is uncontrolled.



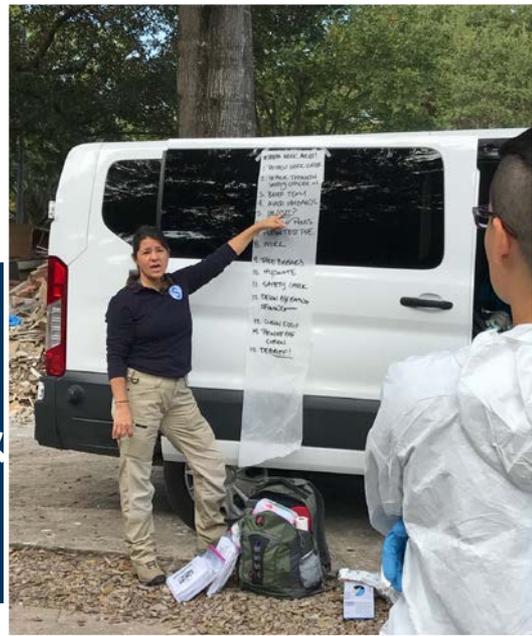


WTP: Dynamic, Responsive Health and Safety Training



Core,
fundamental
topics

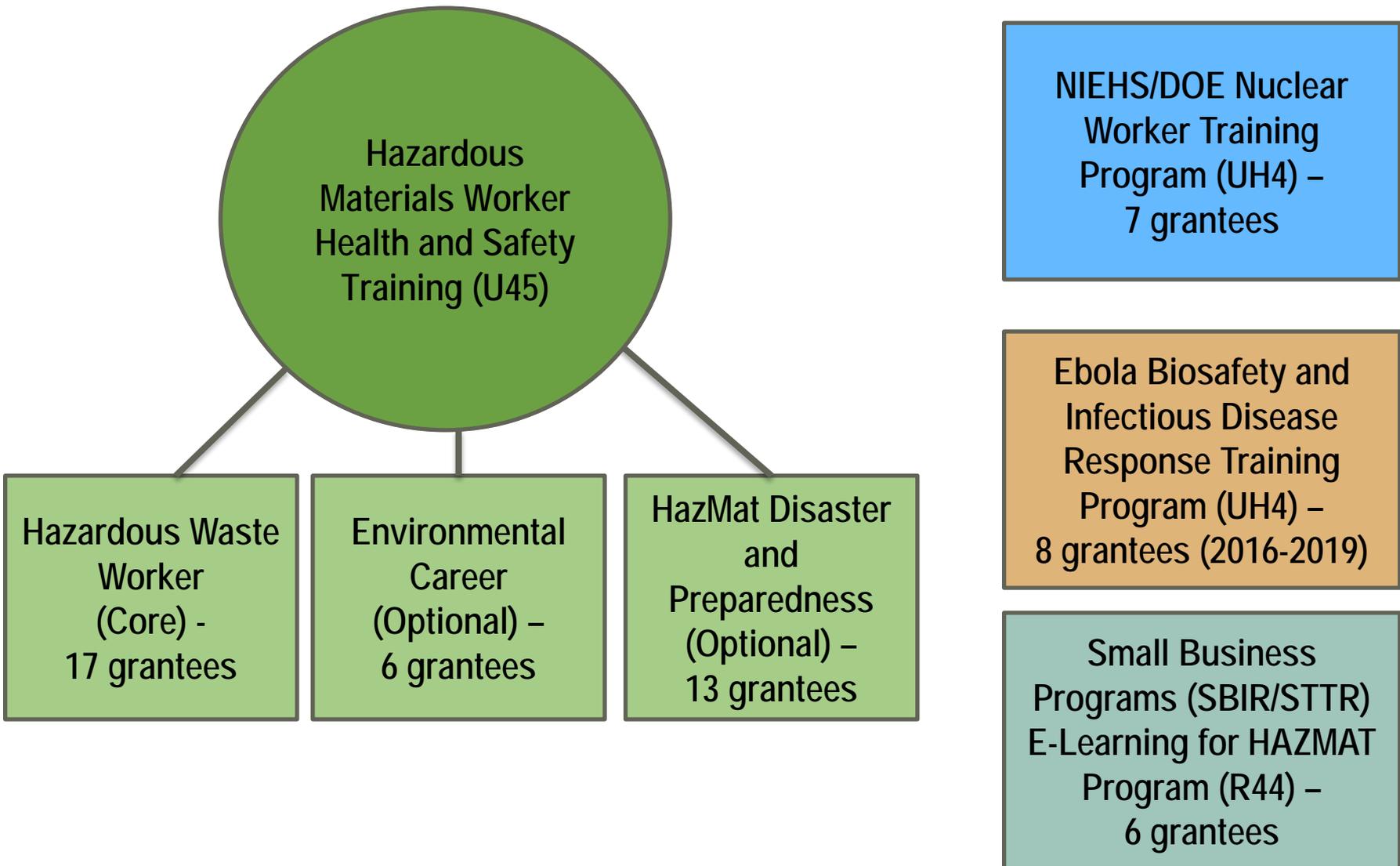
Disaster
response &
recovery



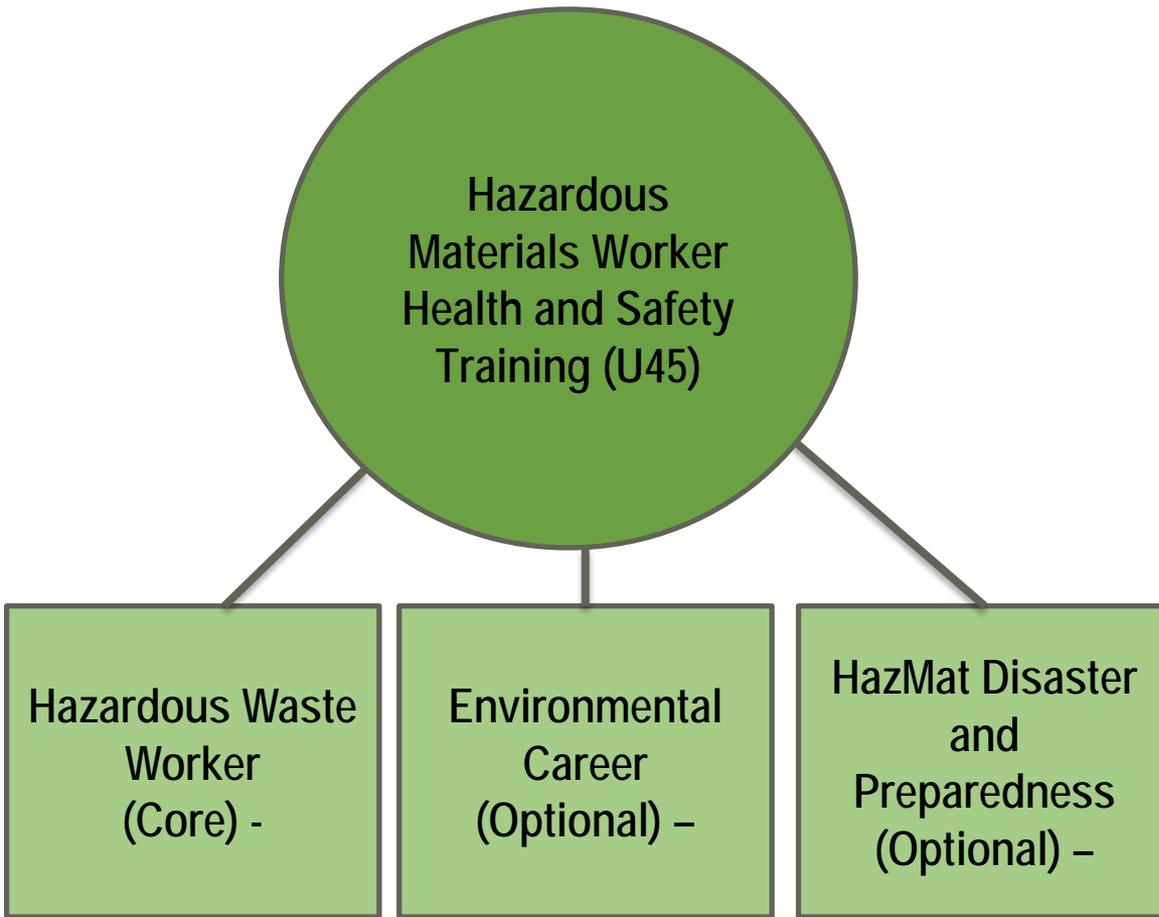
New
hazards



WTP Programs and Current Grantees



WTP Current Funding Opportunities



NIEHS/DOE Nuclear Worker Training Program (UH4) -

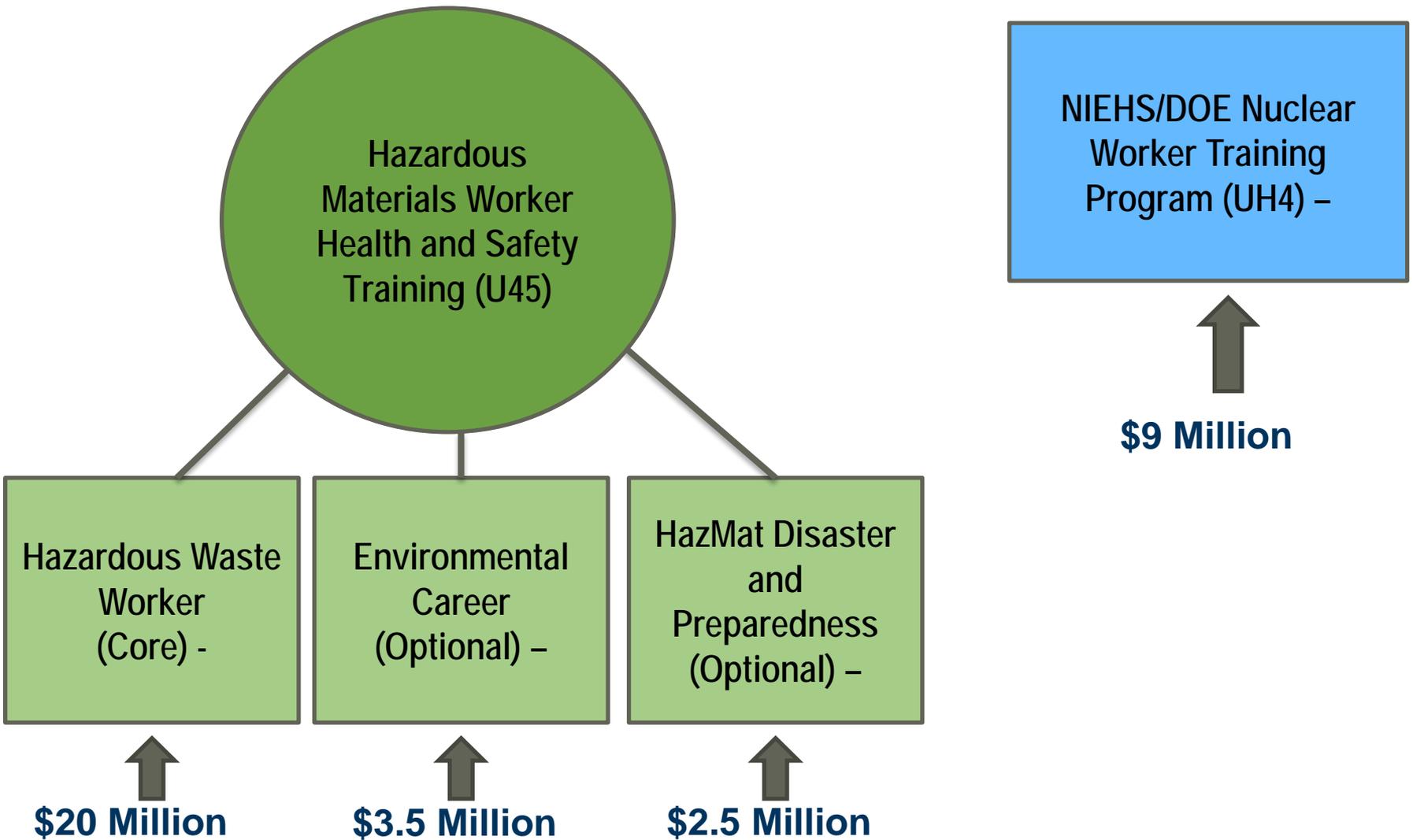


Hazmat Training at DOE Nuclear Weapons Complex (UH4 Clinical Trials Not Allowed) [RFA-ES-19-004](#)



Hazardous Materials Worker Health and Safety Training (U45 Clinical Trials Not Allowed) [RFA-ES-19-003](#)

WTP Anticipated Award Totals





Cooperative Agreements

- National coordination to avoid duplication and overlap
- Facilitate ongoing exchange of scientific and technical information
- Ensure regulatory compliance with applicable federal worker health and safety requirements
- National consistency in the delivery of training curricula
- Allow for a timely and appropriate response to events of national significance



Partnerships

- Programs operate with over 100 non-profit training organizations across the country.
 - Both through NIEHS and through grantees
 - Partnerships with federal, state, local, tribal, and community organizations
- Grantees partner through both a consortium member/ subgrantee and consultant model, as appropriate



Ongoing Program Initiatives that may be Incorporated into Applicant Programs

- Examples from RFAs:
 - Infectious disease response and biosafety
 - Responder and community resilience
 - Opioids and Substance Use
 - Responder safety
 - Workplace Prevention & Response
 - Preparedness, response, and recovery efforts in federally-declared disaster areas





Program Success that Informs the Next Five Years

- Worker engagement through adult learning principles
- Diffusion of model programs and best practices
- Creation of national safety and health training benchmarks and guidance
- Integration of safety and health training with work practices & workplace OSH programs
- Establishment of innovative program evaluation protocols



Hazardous Waste Worker Training (HWWTP) and Environmental Career Worker Training Program (ECWTP)

Sharon D. Beard

Industrial Hygienist/Program Administrator

Worker Education and Training Branch

Division of Extramural Research & Training

Hazardous Materials Worker Health and Safety Training (U45) Components

Hazardous Waste Worker Training Program (HWWT)



Train workers engaged in hazardous materials and emergency response activities

Environmental Career Worker Training Program (ECWTP)



Train individuals from disadvantaged and underserved communities in job readiness and technical skills

HazMat Disaster Preparedness Training Program (HDPTP)



Train workers engaged in hazardous materials and emergency response activities

All programs *must include* or meet the following criteria:

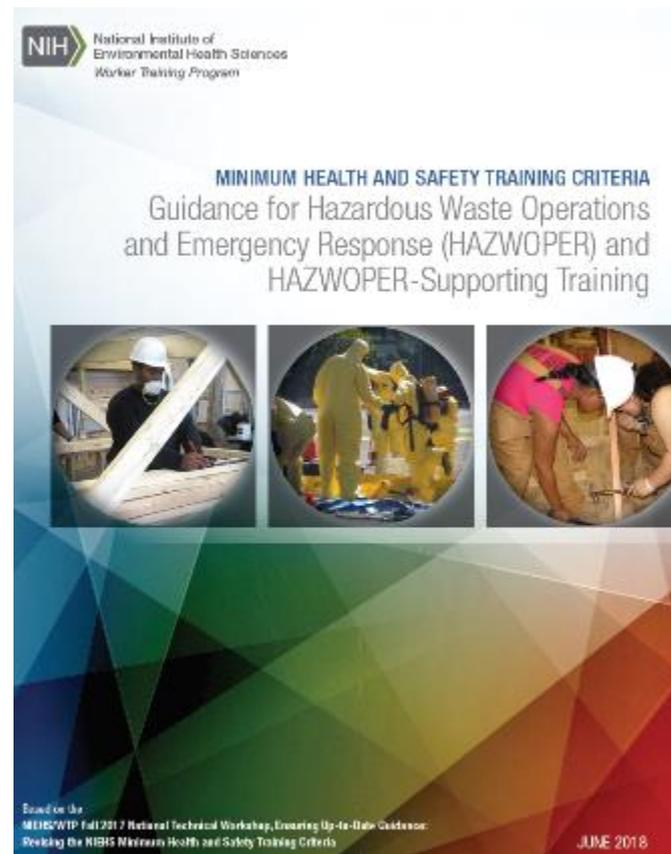
- Have Consortia arrangements and training partnerships
- Use a balanced approach and include priority training areas as listed in new program initiatives
- Be multi-state or national in scope of work
- Encourage peer-learning, hands-on activities, and critical thinking skills
- Incorporate training evaluation to measure student learning and assess training impact
- Adhere to the NIEHS Minimum Criteria for Health and Safety Training



NIEHS Minimum Criteria for Health and Safety Training

A training requirements and guidance document for WTP

- The Minimum Criteria serves as the quality control document for training grants awarded by WTP
- Last update completed following October 2017 workshop – version published and made available June 2018



Key Research Strategy Elements for Each Program Component

- Progress Report and Accomplishments/Compliance with Terms of Prior Award(s)
- Background and Experience in conducting health and training programs
- Compliance with NIEHS Minimum Criteria (Appendix E of 1910.120)
- Administration/Advisory Boards
- Training Program
- Target Populations



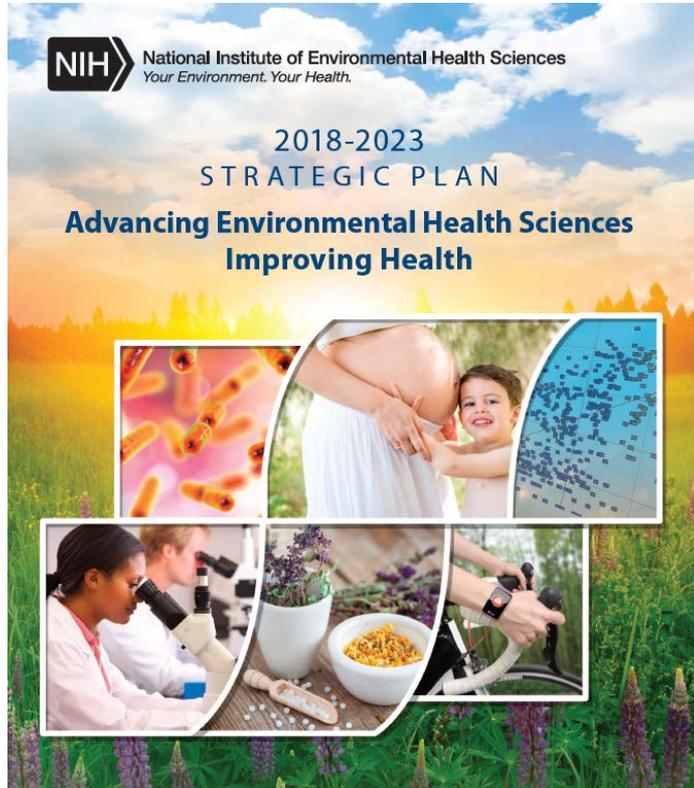
OTHER KEY CONSIDERATIONS

- Strong and detailed consortia alignment
- Competent program management
- Adequate training facilities
- Quality Control and Evaluation





NIEHS STRATEGIC PLAN 2018-2023



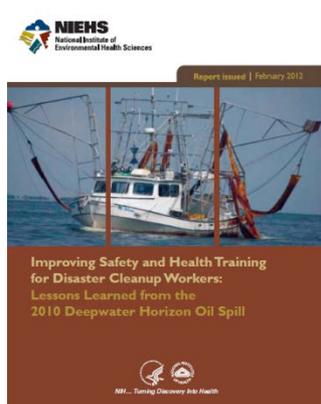
- **Goals for Promoting Translation – Data to Knowledge to Action**
 - **Outreach, Communications, and Engagement**
 - **Evidence-Based Prevention and Intervention**
 - **Environmental Health Disparities and Environmental Justice**
 - **Emerging Environmental Health Issues:**
 - **Partnerships for Action**

All programs are *encouraged* to facilitate different training initiatives, such as:

- Addressing low literacy, limited English language proficiency
- Using advanced training technology/E-learning
- Training responses for emerging technologies
- Using trade and occupation-specific models
- Implementing community involvement and outreach
- Responding to challenges such as climate change and occupational health disparities
- Meeting the needs of new training audiences (e.g., citizen recovery workers and military veterans)

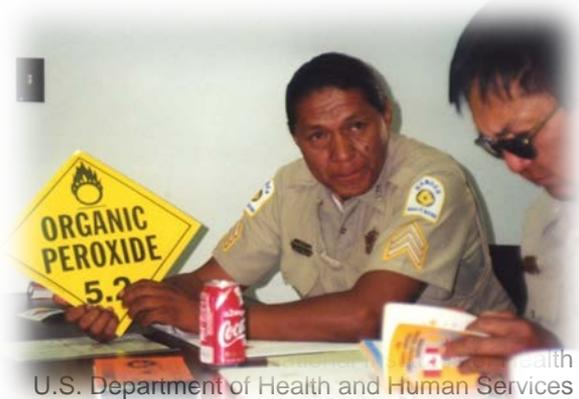
WTP Technical Workshops

- **Eliminating Health and Safety Disparities at Work**
- **Deepwater Horizon Lessons Learned Workshop: Improving Safety and Health for Disaster Cleanup Workers**
- **Global Safety and Health Issues and Their Impact on Worker Training**
- **Opioid-Related Hazards in the Workplace: Developing a Training Framework to Address Exposure, Use, and Prevention**
- **Safety Culture/Climate**
- ***Prove It Makes a Difference: Evaluation Best Practices for Health and Safety Training***
- **2018 National Trainers' Exchange: Looking to the Future, Generational Transitions**



NIEHS Hazardous Waste Worker Training Program -HWWTP

- The Superfund Amendments and Reauthorization Act of 1986 (SARA), Section 126(g), authorizes an assistance program for training and education of workers engaged in activities related to hazardous waste generation, removal, containment or emergency response and hazardous materials transportation and emergency response.
- Long-term goals of the model training programs should be to assure that workers become and remain active participants in determining and improving the health and safety conditions under which they work and that avenues for collaborative
 - employer-employee relationships in creating
 - safe workplaces are established.





Hazardous Waste Worker Training Program (HWWTP)

- Since 1987, the NIEHS WTP has trained workers in every state and territory – a total of **3.2 million workers**
- Annually 112,000 to 172,000 workers trained since 2010
- In **2018**: 7,979 courses were held for 134,641 workers resulting in 1.1 million contact hours of training



17 awardees/consortia
supported by HWWTP

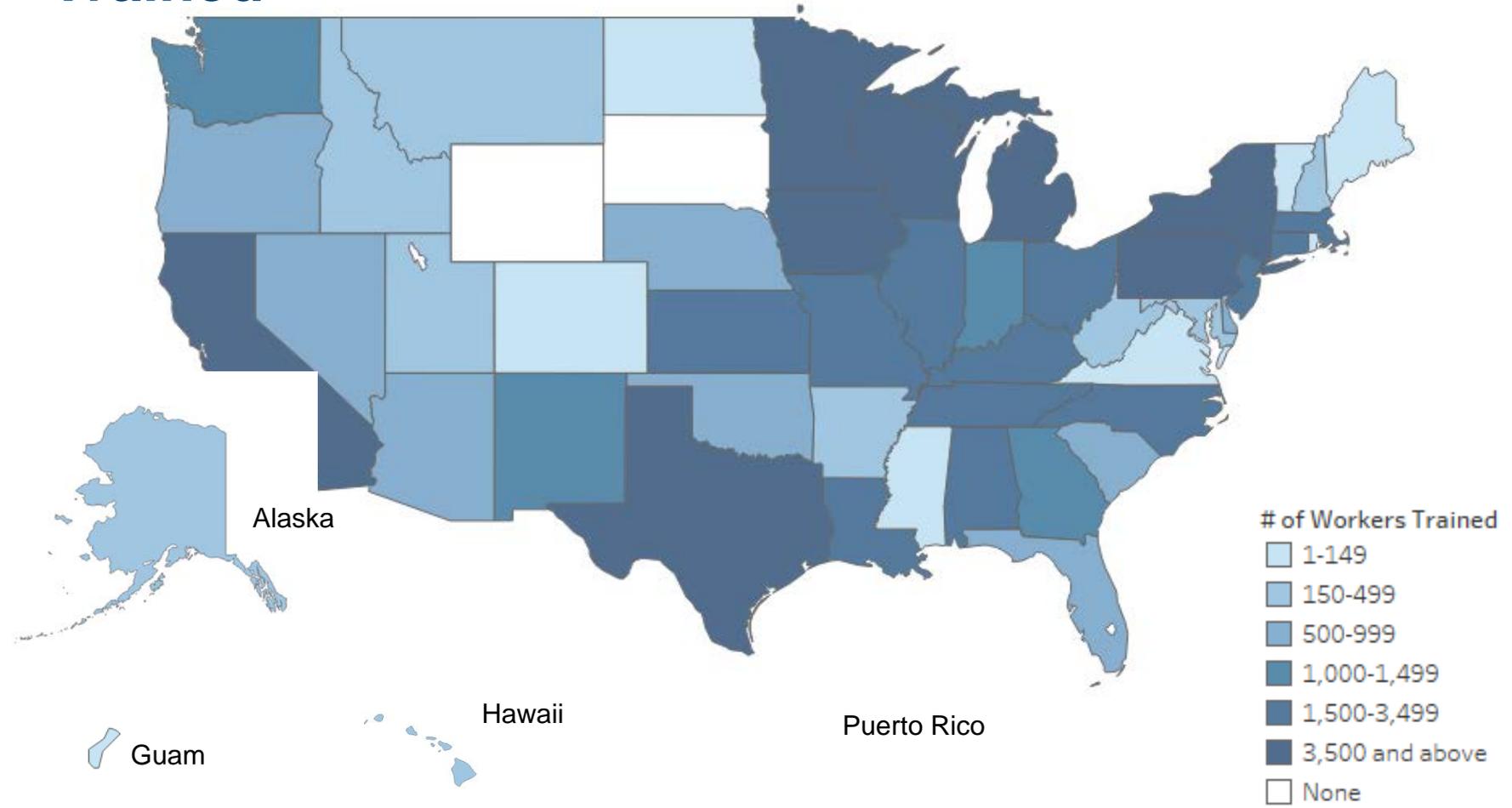


HWWTP in action: Saving lives and preventing injuries across industries

- Examples of grantee training across industries:
 - **LIUNA Training and Education Fund:** HAZWOPER for laborers (CA)
 - **International Union, United Automobile, Aerospace and Agricultural Implement Workers of America/UAW:** Control of hazardous energy (lockout/tagout) for manufacturing employees (KY)
 - **OAI, Inc.:** Grain bin rescue operations for rural emergency responders and firefighters (IL)

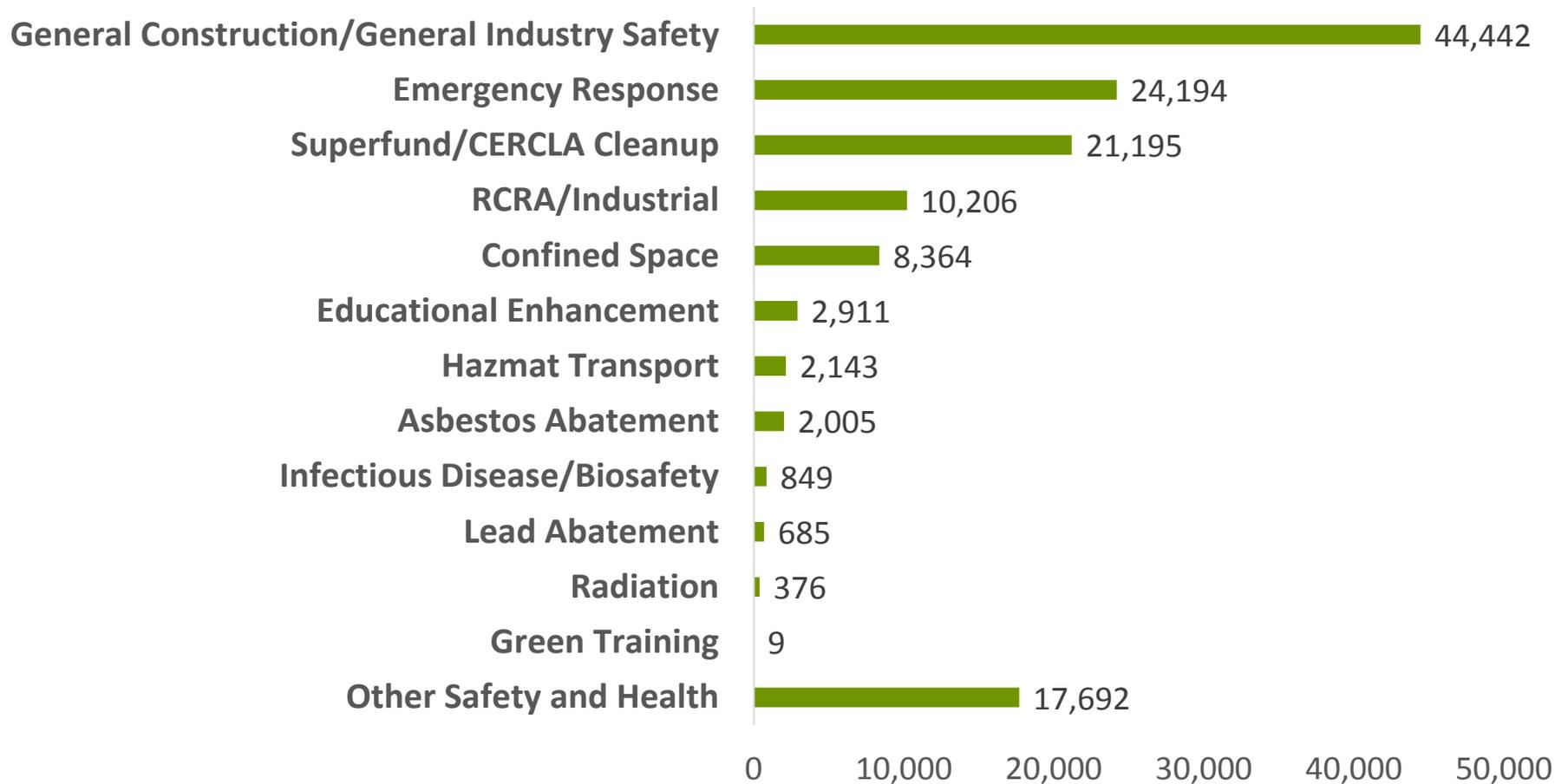


Hazardous Waste WTP: 2018 Number of Workers Trained



Not to scale

HWWTTP 2018: Number of Workers Trained in Course Areas



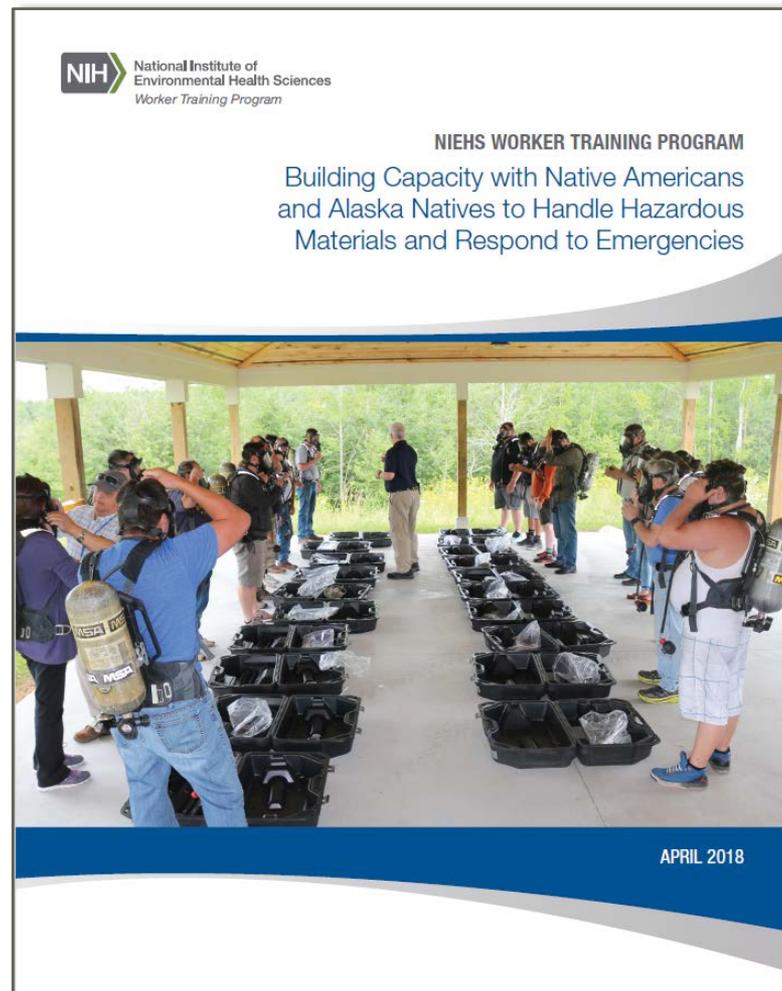


Building capacity with Native Americans and Alaska Natives via training

April 2018 report provides an overview of WTP grantee-led **training for tribes** across the U.S. during program years 2015 – 2017

For 2017, WTP Awardees trained

- More than 1,500 tribal workers
- More than 60 courses
- Nearly 13,000 contact hours
- Over 20 Types of Courses



HWWTTP: Areas of Emphasis

- Continue all aspects of existing training
- Push an all hazards approach to training
- Expand partnerships to community volunteers and vulnerable populations
- Incorporate Ebola and infectious disease training





HWWTWP: Areas of Emphasis

- Include training on new and emerging health threats, such as occupational exposure to opioids
- Expand use and scope of revised NIEHS Minimum Criteria in all aspects of training, such as evaluation and disaster response
- Integration between new NIEHS Strategic Plan and WTP Plan





Environmental Career Worker Training Program (ECWTP)

- Provide job and life-skills training programs for unemployed and underemployed individuals
- Recruit, train, and employ underserved residents living in disadvantaged communities for construction and environmental remediation work
- Build partnerships in underserved, low income communities for occupational health and worker education, and mitigate health disparities at the community level



6 awardees/consortia
supported by ECWTP



ECWTP in action: Creating new job opportunities

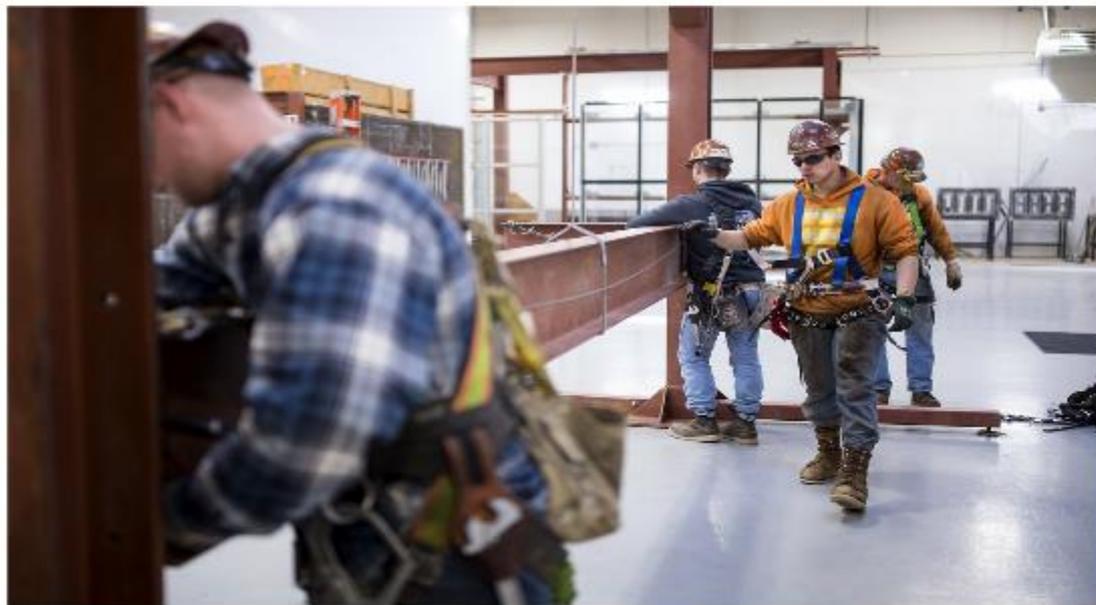
- ECWTP includes a job training component
- Job training for individuals in communities across the U.S. to help cleanup and rebuild their communities

High-Paying Trade Jobs Sit Empty, While High School Grads Line Up For University

April 25, 2018 - 4:33 PM ET
Heard on All Things Considered

ASHLEY GROSS

JON MARCUS



Garret Morgan (center) is training as an Ironworker near Seattle and already has a job that pays him \$50,000 a year.
By Ben/The Hechinger Report



Center for Construction Research and Training

- New Orleans, LA; St. Paul, MN; and East Palo Alto, CA.

OAI

- Chicago, IL; Dallas, TX; and Wyandotte County, KS/Eastern Jackson County, MO.

University of California, Los Angeles- Western Regions University Consortium

- Los Angeles, CA and Seattle, WA

Rutgers, The State University of New Jersey-NJ/NY Consortium

- Newark, NJ and New York City, NY

Texas Southern University/Deep South Center for Environmental Justice

- New Orleans, LA; Pensacola, FL; Houston, TX; and Detroit, MI.

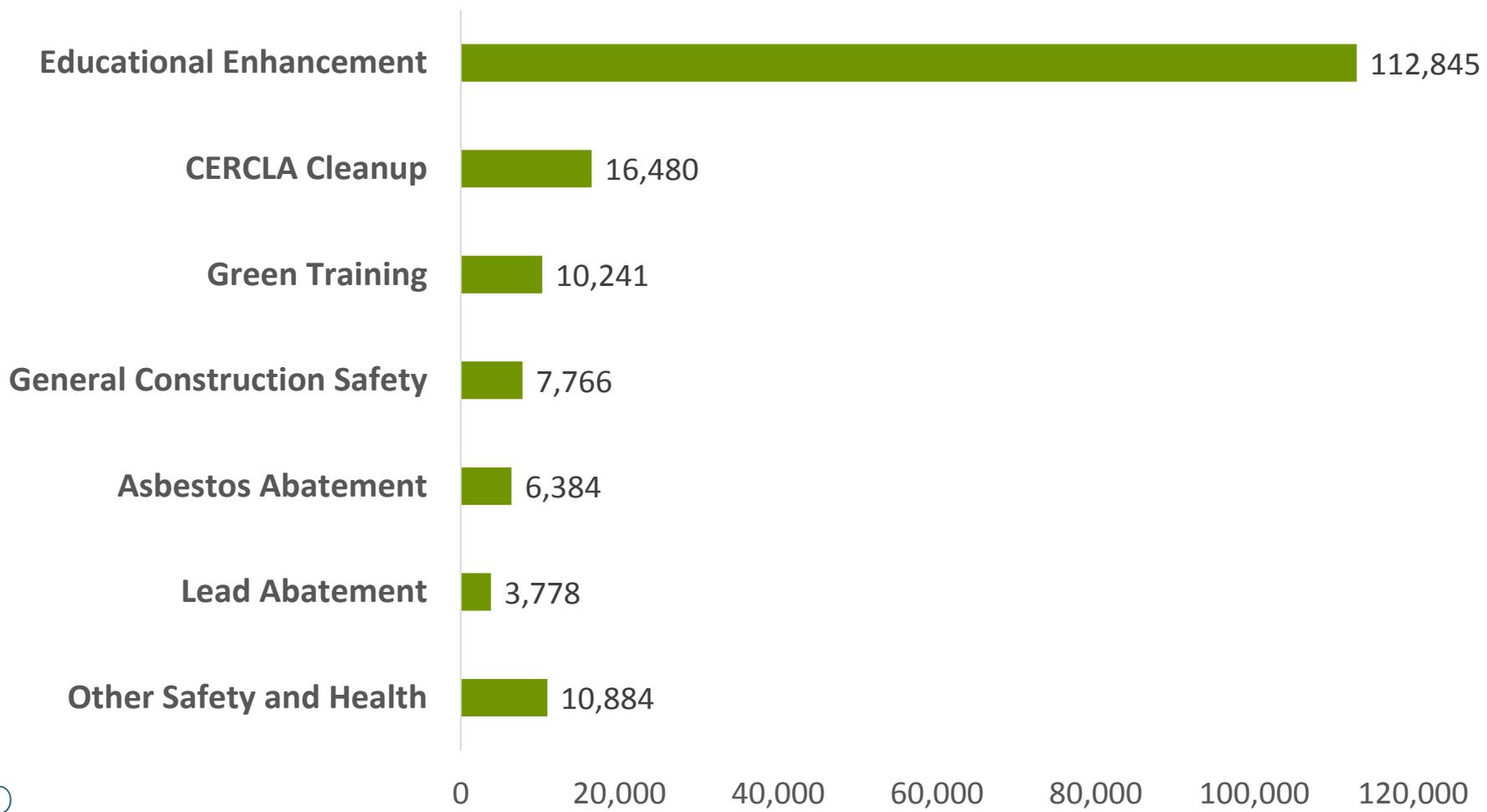


15 Communities





ECWTP 2018: Contact Hours for Course Areas





ECWTP in action: Creating new job opportunities

- **Success:** Over 11,952 workers trained with an average 70% job placement rate with long term employment for workers.
- **Economic impact analysis:**
\$100M return on \$3.5M investment
 - Increases probability of employment by approximately 59%
 - \$1.6M in higher earnings for graduates (from increased likelihood of employment, more hours worked, and higher wages)





ECWTP: Success stories

CPWR – The Center for Construction Research and Training

The photo to the right is of Lushorn L. at a work site. Lushorn L. is a 38 year old mother of seven children and graduated from the 2013-2014 program year.

Lushorn joined the carpenters union and started working at an hourly wage of \$25.44 with Cahill Construction. Lushorn is now a second year apprentice, with an hourly wage rate of \$42.



Lushorn L. is a former East Palo Alto ECWTP trainee

ECWTP - Training to reach underserved communities





ECWTP Major Program Goals

- No age restrictions for participants
 - Strongly encourage recruitment of underrepresented and disadvantaged adults and increase participation of women
- Target training for distressed communities
(at least 2 separate cities/communities each year)
- Job placement in various construction trade, hazardous waste & environmental industry
- Promote partnerships with academic and other institutions, i.e. historically black colleges and universities (HBCUs), public schools and community-based organizations

Construction



Environmental



Hands on Training/On the Job Training





Program Elements

- Access to target population (no overlap)
- Appropriate adult education (life skills)
- Detailed training plan
- Incorporation of best practices and lessons learned
- Qualified key personnel
 - i.e. technical, trade, and adult education
- Retention/tracking of Students
- Partnerships critical
- Job Placement
- Tracking



National, Strong & Effective Consortia

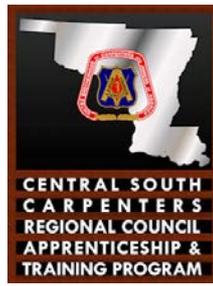


Department of Environmental and Occupational Health Sciences
Continuing Education Programs



JOB TRAINING THAT WORKS

CELEBRATING 45 YEARS OF TRANSFORMING LIVES



TEXAS SOUTHERN UNIVERSITY



THE CENTER FOR CONSTRUCTION RESEARCH AND TRAINING



National Institute of Environmental Health Sciences
Worker Training Program

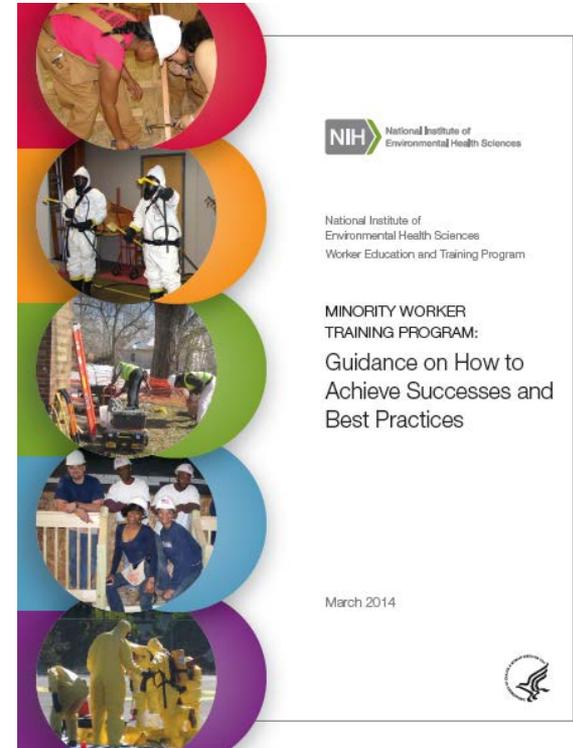


Minority Workers Training Program: Success and Best Practices Report

- Purpose: To document the importance of the MWTP and illustrate the program's best practices and major successes

- **How the MWTP works: Components of the program and why is it successful (best practices)**

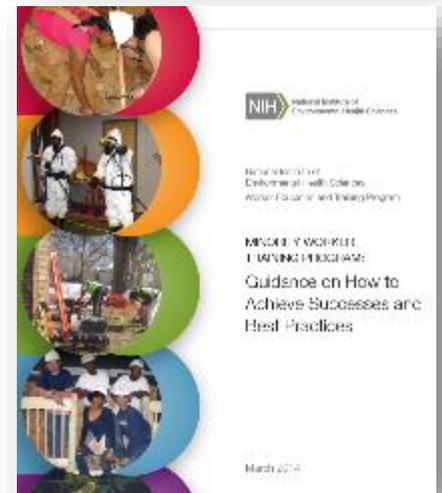
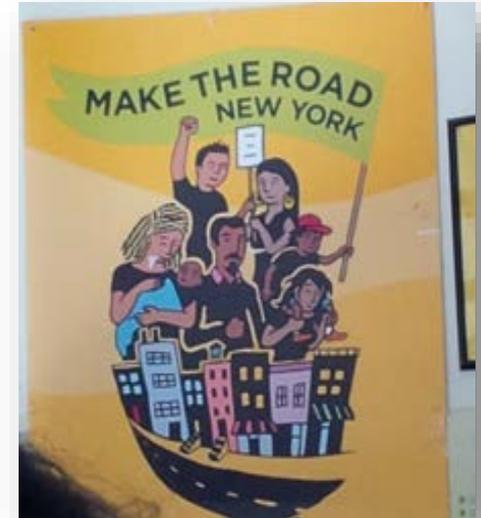
- Life skills and social support network
- Holistic approach to promote capacity building and promoting environmental justice.
- Partnership development: *joint partnerships with communities, unions, universities (e.g. HBCUs)/academia and contractors/employers*
- Sustainability - *ability to sustain itself through leveraging funds (e.g. drawing in funds from other organizations)*
- Approaches to addressing impediments or barriers to successful program implementation
- Evaluation component (Results of the Program):
Impacts and Outcomes





ECWTP: Areas of Emphasis

- More geographic spread of training sites
- Diversity of health, safety, env/career training for CHWs, utility, waste workers, and green industries
- Strong life skills, mentoring, and remedial education training
- Job skills-based training (trade or craft specific)
- Expand partnerships with local, state, tribes, and regional governmental organizations
- Promote use of economic impact or return on investment on training



NIEHS Environmental Career Worker Training

NIEHS ECWTP (formerly MWTP)

24-year Training Summary for the Budget Period
Aug. 1, 1996 – July 31, 2018*

Year	Students Trained	Placed in Jobs	Percentage of Students Placed in jobs
1996-2008	7,566	5,115	68%
2009	379	285	75%
2010	531	372	70%
2011	396	291	73%
2012	366	274	75%
2013	367	279	76%
2014	348	269	77%
2015	397	323	81%
2016	440	334	76%
2017	562	392	70%
2018	569	423	74%
Total	11,921	8,357	70%

2020



* The 1996-2008 numbers include numbers from the NIEHS/EPA Brownfields Minority Worker Training Program



NIEHS Hazmat Disaster Preparedness Training Program

Jim Remington

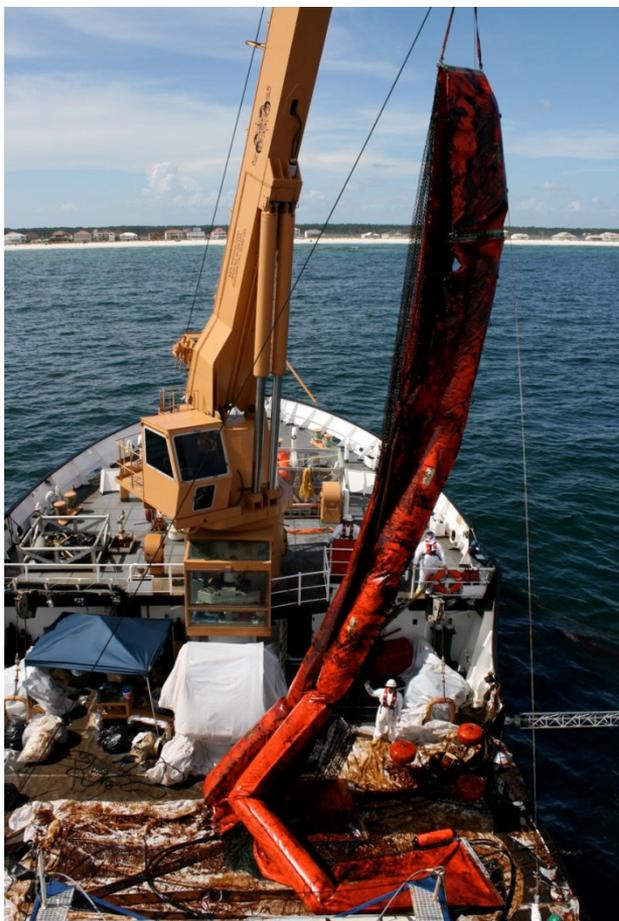
Program Analyst

**Worker Education and Training Program
Division of Extramural Research & Training**

What is it?

- Extension of the HWWT Emergency Response portion:
 - Program enhances the safety and health of current hazardous materials workers and chemical responders to create materials and deliver training to workers responding to disaster.
 - Augments prevention and preparedness efforts to ensure responders are aware of site specific hazards and mitigation techniques prior to, and during response activities.
- Focus on preparedness training for responders/workers whose duties may include disaster response and cleanup.
- May include topics suited to disaster response beyond protection from basic hazardous material exposures and site specific training at the disaster site.
- To be eligible must get funded for HWWT as a prerequisite

Born after 9/11 the program was aligned with Department of Homeland Security disaster scenarios. The National Response Framework, National Contingency Plan, and National Disaster Recovery Framework are some of the mechanisms our program uses.



Training for “skilled response personnel”

- Training initiatives should support the development of a nation-wide cadre of well-trained environmental response workers and emergency responders to ensure that the nation is prepared to respond to future disasters of national significance.
- NIEHS will support development of awareness and operations level training programs that will prepare in-plant workers to react quickly to interface with the emergency response system, to prevent the release of hazardous materials during normal operations and to limit damage at the plant and to protect themselves, their fellow workers and the general public.
- New training modules may be developed to address different biological (infectious disease), radiological, and chemical agents, as well as resilience, that can be incorporated into Hazardous Waste Refresher courses or can stand alone as part of a larger all hazards preparedness disaster training program.
- Provide training and courses in other appropriate languages **and literacy level based off Minimum Criteria principles**
- Access and partnerships with vulnerable populations who would benefit from the training.

HDPTP Applied

- Since the program started in 2005, awardees have responded and trained workers after Hurricanes Katrina, Rita, and Sandy, California wildfires, and oil and chemical spills. Infectious diseases, mental health resilience, and use and abuse of prescription and non prescription chemicals.
- Course examples:
 - Native American first responders.
 - Day laborers/Immigrant workers.
 - Public Safety in medical response.
 - Disaster Responder and Disaster Site Worker with building trades and Community Emergency Response Teams (CERT).
 - Longshoremen and First Responder Awareness.
 - Emergency Response to terrorism, illicit drug labs, chemical process for chemical workers and responders.
 - Recovery from hurricanes, wildfires, earthquakes, pandemics.
 - Mental health resilience
 - Opioid public health emergency

Emergency Support Activation Plan (ESAP)

- Cooperative agreement
- Resource of prepared trainers who could be deployed to assist in the health and safety of responders
- Local contacts within disaster areas with contractors, city, state, local government, community organizations, Environmental Justice, etc.
- Familiar with unique cultural and language needs for the impacted areas
- Familiar with Incident Command System (ICS) under the National Incident Management System (NIMS)
- Awardee Deployment Preparedness Guide
- Minimum Criteria

RECAP - WTP FOA

Hazardous Materials Worker Health and Safety Training (U45 – Clinical Trial Not Allowed; RFA-ES-19-003)

Consistent focus: Prevent work-related harm through safety and health training.

Inclusive of newer initiatives:

- Infectious disease preparedness
- New and emerging health threats, such as opioids in the workplace
- Mental health resilience



HAZMAT Training at DOE Nuclear Weapons Complex

(UH4 Clinical Trial Not Allowed) (ES-19-004)

Demia S. Wright, MPH

Public Health Educator

Worker Training Program

Division of Extramural Research & Training

NIEHS/DOE Nuclear Worker Training Program

Focuses on training workers engaged in environmental restoration, waste treatment, and emergency response activities at sites in the U.S. DOE nuclear weapons complex





The Nation's Cold War Environmental Legacy

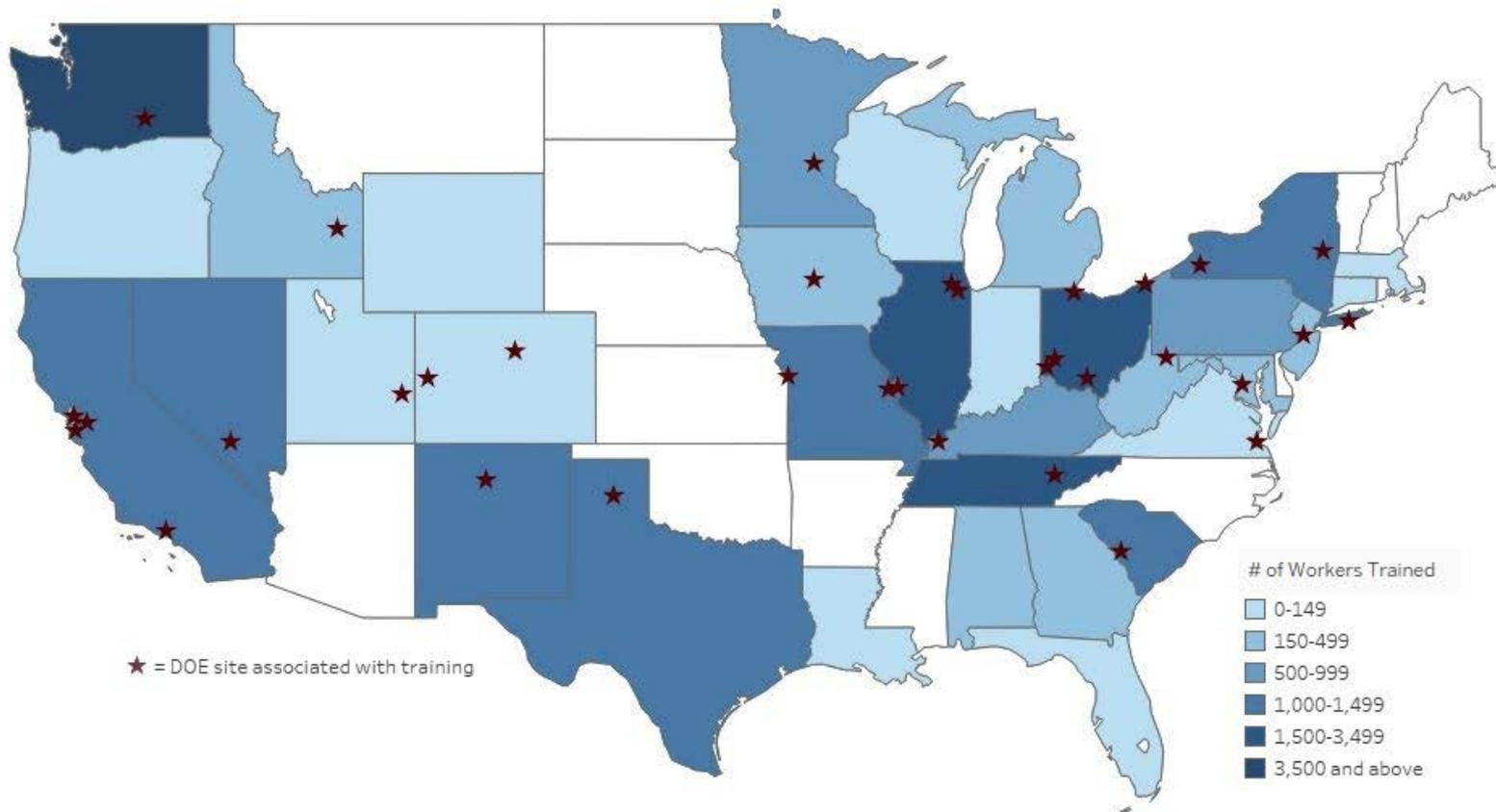
- Some of the world's most dangerous radioactive sites
- Decades of nuclear weapons production and nuclear energy research
- DOE nuclear complex has ongoing cleanup, research, production, storage, and maintenance





Grantees train workers around the country.

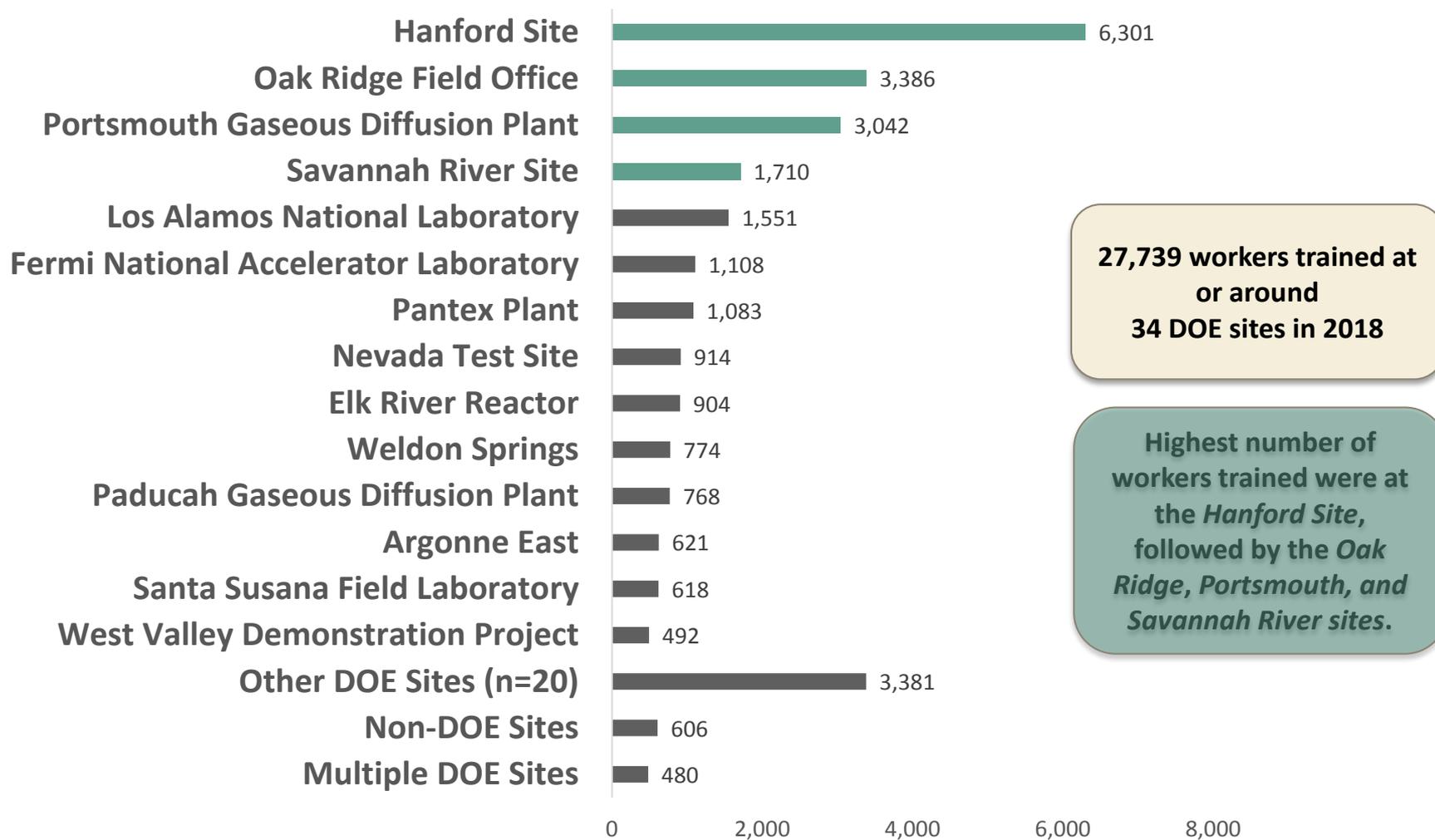
The scope of the program is national and multi-site.



Reflects training data from Sept. 1, 2017 – Aug. 31, 2018



The most workers are trained at large cleanup sites for DOE's Office of Environmental Management.

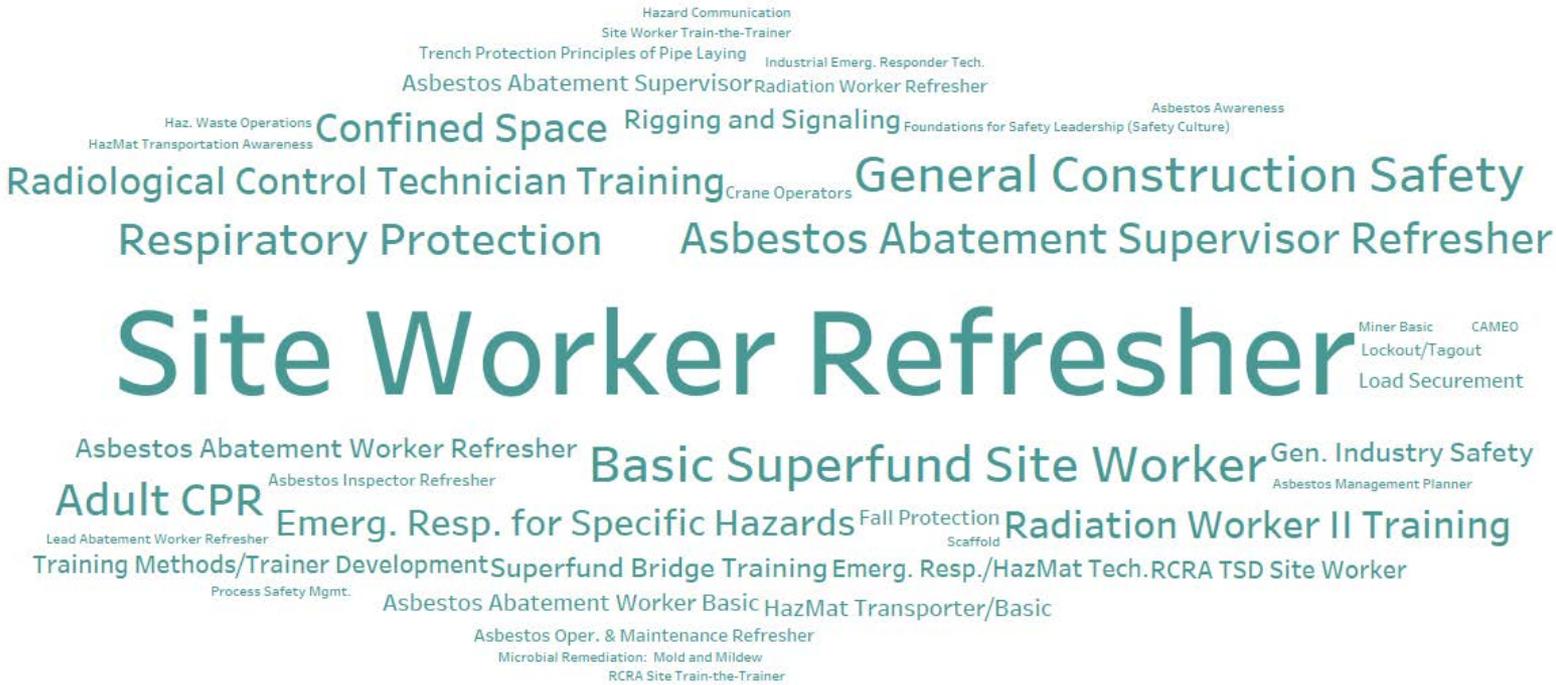


Reflects training data from Sept. 1, 2017 – Aug. 31, 2018



DOE grantees deliver a wide variety of courses every year.

Site Worker Refresher delivered the most



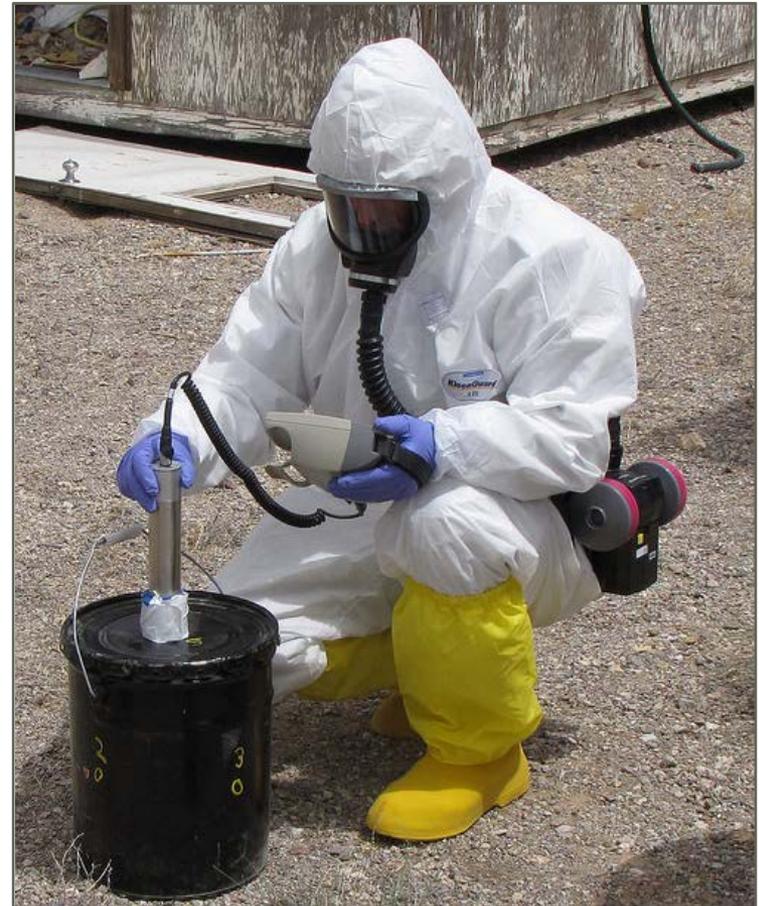
Size of text reflects relative number of workers trained in that course in 2018

Program Authorization

Authorized by National Defense Authorization Act: Section 3131 (FY 1992)

Implemented through Interagency Agreement with DOE and in partnership with DOE to improve training quality, reduce training redundancy, and meet training needs in areas of:

- Site clean-up activities
- Waste management
- Hazardous materials response
- 10 CFR 851 compliance



Key DOE Safety Directives: A central part of any training activities at DOE sites

10 CFR 851 Worker Safety and Health Program

- [10 CFR 851](#) outlines the requirements for a worker safety/health program to ensure that DOE contractors and their workers operate a safe workplace.
- Establishes management responsibilities, worker rights, safety and health standards, and required training.

Key DOE Safety Directives (continued)

DOE Order 440.1B Worker Protection Program for DOE Federal Employees

- [440.1B](#) establishes the framework for an effective worker protection program under Rule 10 CFR 851

DOE Policy 450.4A Integrated Safety Management (ISM)

- [450.4A](#) establishes DOE's expectation for safety, including ISM that will enable the Department's mission goals to be accomplished efficiently while ensuring safe operations at all departmental facilities and activities.

Program Delivers All Hazards and Tailored Training

- All-hazards approach overall
- Trade-specific training
- Site-specific training - understanding worker and site contractor training needs
 - Site cleanup, production, lab, etc.
 - Gaps in the workforce and in training delivery
- Hazard-specific training, ongoing or new, e.g.
 - Radiation, beryllium, tank farm vapors, electrical safety, emergency response





NIH

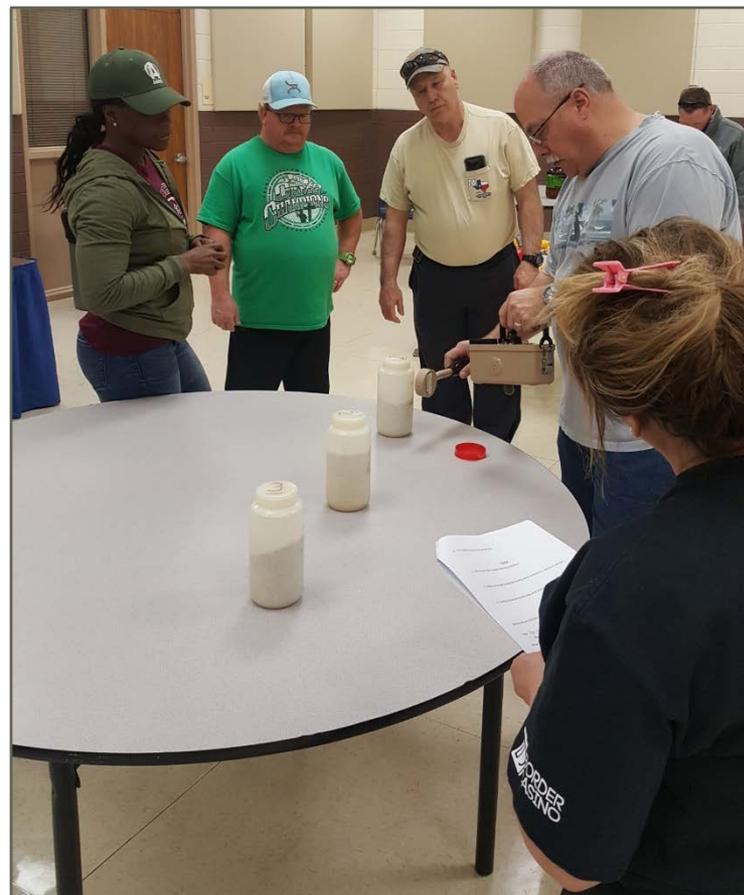
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Program Delivers Worker-focused Training

Workers as trainers

Adult learning principles

Draw on lessons learned



Inclusive Target Populations from the RFA

- Existing **DOE workforce**
- Those **likely to perform DOE environmental cleanup and waste management work** within 120 days following the completion of training
- Those involved in **waste transportation** on, to, and from DOE sites
- **Supervisors and managers** of contractor and subcontractor activities
- **Emergency response personnel** with site mutual aid agreements
- **Federal, state, tribal, and local government officials** who are involved in compliance efforts
- **Community members, members of tribal nations, and emergency response personnel surrounding DOE sites** who would be responsible for or involved in a hazardous materials release

Partnerships are Key at Federal and Grantee Level

- **Federal**

- Office of Environmental Management (EM)
- Office of the Associate Under Secretary for Environment, Health, Safety and Security (AU)
- National Training Center
 - Reciprocity process

- **DOE Site Managers**

- **Contractors**

- Signatory/Primary contractor
- Energy Facility Contractors Group (EFCOG) working groups

- **Labor**

- Labor Training Working Group
- Onsite labor representatives

- **Municipalities, local emergency responders, tribal nations, and fence-line communities**

NIEHS/DOE Program Examples



International Brotherhood of Teamsters (IBT)

- Partnerships with major trucking and rail unions to train workers and supervisors involved in DOE remediation and transportation of radioactive and chemical waste from DOE facilities
- Including drivers of specialized off-road and waste hauling vehicles, truck and rail transportation workers



International Chemical Workers Union Council (ICWUC) Center for Worker Health and Safety Education

- Primarily trains workers at Hanford, Kansas City, Los Alamos, and Oak Ridge, with consortium member International Association of Machinists and Aerospace Workers
- Trains workers responsible for remediation activities, waste treatment and disposal, chemical spills, emergency response, and more

NIEHS/DOE Program Examples (cont'd)

CPWR—The Center for Construction Research and Training



- Organization sponsored by North America's Building Trades Unions
- Training consortium provides training for many DOE sites across the country and includes Insulators and Asbestos Workers; Iron Workers; Boilermakers; Painters; Bricklayers; Plasterers and Cement Masons; Carpenters; Plumbers and Pipe Fitters; Electrical Workers; Roofers; and Sheet Metal Workers.



National Partnership for Environmental Technology Education (PETE)/ The Community College Consortium for Health and Safety Training (CCCHST)

- Primarily provides training at colleges near Oak Ridge, Pantex, and Savannah River through partnerships with DOE site staff and contractor

DOE FOA Features

Consistent focus: Support health and safety training across the DOE nuclear weapons complex

Inclusive of newer initiatives:

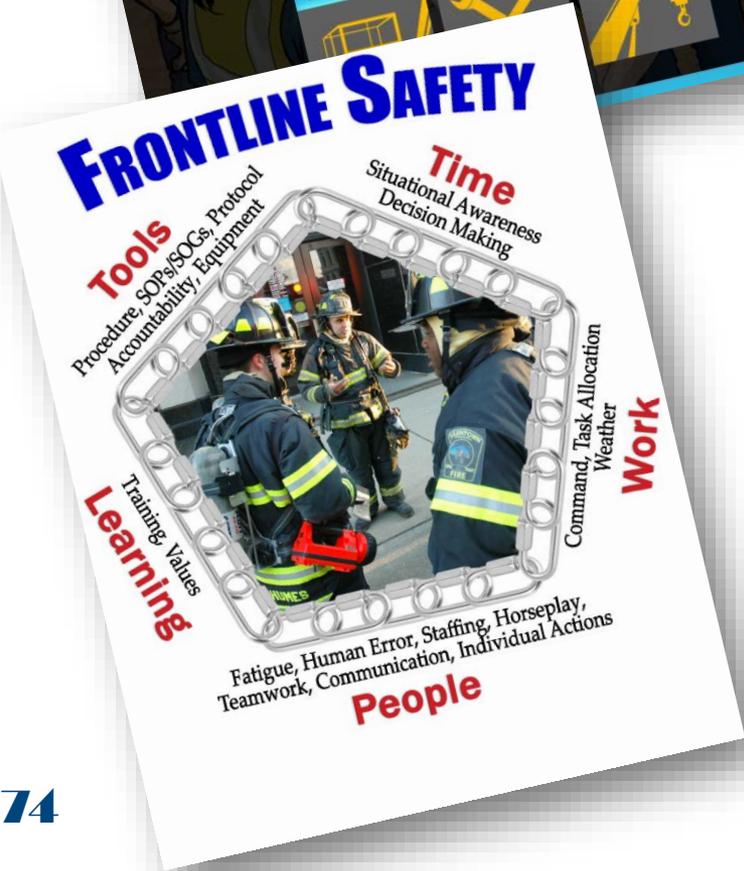
- Training for communities and tribal nations near sites on emergency preparedness and job readiness
- Mental health resilience in terms of disasters and opioid use in occupational settings





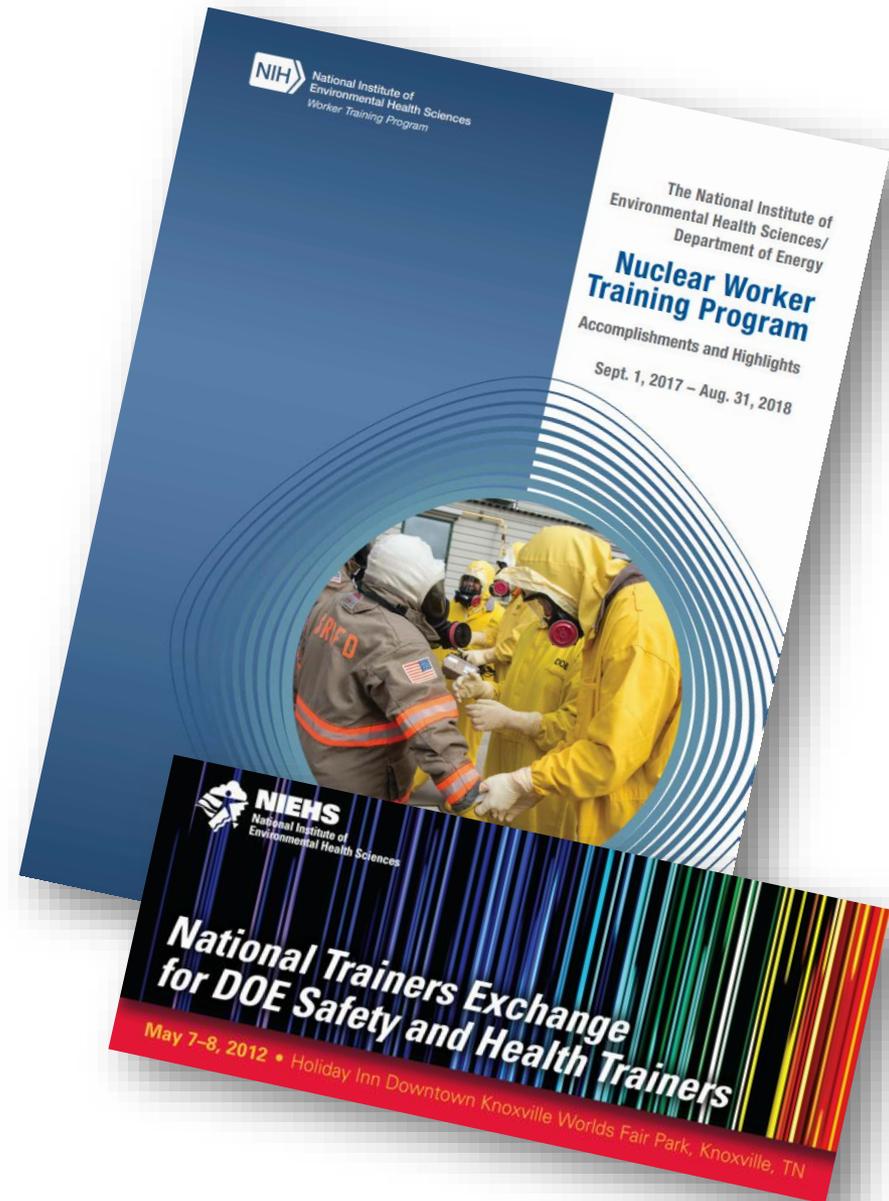
Curricula Highlight: Safety Culture for Workers

- Three courses developed through supplemental funding, can be delivered under the grant
 - Foundations for Safety Leadership for DOE, 2.5-3 hrs
 - Safety Orientation for DOE Workers, 8 hrs
 - Frontline Safety for DOE, 8 hrs



Resources

- [2018 Annual Program Report](#)
- Program [fact sheet](#)
- Past Trainers' Exchange Workshops
 - [2012](#), Knoxville, TN
 - [2015](#), Richland, WA
- DOE-focused curricula in the [Clearinghouse Curricula Catalog](#)



Notes on the DOE RFA

- ✓ Single component application
- ✓ DOE-specific attachment required, “*Tables of DOE Sites, Collaborators, and Worker Populations*”
- ✓ 30 page limit for Research Strategy





Overall Component, Evaluation, Attachments, and Appendices

Sharon D. Beard and Demia Wright



- Research & Related Other Project Information
 - Program Summary/Abstract – state problem(s) and how the Center will address target problems related to hazardous waste training
 - Project Narrative –Public health relevance of the training and ability of Center to conduct training
- Other Attachments
 - Training Center Organizational Structure
 - Description of Curricula
 - Tables of Year One Training Plan



Please refer to the [Current WTP Funding Opportunities](#) website for example illustrations of a curriculum description and training plan tables.

For this application, tables must be uploaded in the Overall section. Please include separate tables for each program component.



- Research Plan
 - Specific Aims for the Center as a whole, target populations and what the Center proposes as a whole
 - Research Strategy:
 - Overview of the Center especially institutional capacity to conduct the training and provide an overview of the entire application and explain how the components work together.
 - State relevance and connection to NIEHS and WTP Strategic Plans

Quality Control and Evaluation Plan: Both FOAs

- The **Minimum Criteria section 10.10 Program Evaluation** provides guidance for developing an evaluation plan
 - *Updated in 2018*
- Proposed evaluation plan should include both process and outcome evaluation: Program implementation and effectiveness
- Plan addresses
 - Measurement and evaluation of student learning, progress and performance;
 - Methods and procedures for evaluating appropriateness, quality, and effectiveness of worker health and safety training;
 - Process for assessing instructor effectiveness, trainee retention of knowledge and hands-on skills, and the positive impacts of training activities on work practices and overall worker protection from on-the-job hazards.

Attachments and Letters of Support

- “Other Attachments” **must** be included
 - Label clearly; attachment title and within the attachment (especially for components)
 - [WTP Funding Opportunities website](#) has example illustrations
 - Table formats are guides to presenting the requested information. Applicants may reformat the tables as needed.
- Letters of Support are allowed

Appendices



- Limited Appendix materials are allowed.
- Refer to [NIH Notice Number NOT-OD-18-126](#).
- RFA-ES-19-003 and RFA-ES-19-004 do not request additional allowable Appendix materials.
 - “No other items are allowed in the Appendix. Simply relocating disallowed materials to other parts of the application **will result in a noncompliant application** unless they are items specified in the FOA as optional or required for those other sections of the application.”



Attachments: RFA ES-19-003

- The following "Other Attachments" must be included with the **overall component** to aid in the review of applications.
 - Training Center Organizational Structure
 - Demonstrate interaction of consortia members and across components
 - Description of Curricula 
 - Tables of Year One Training Plan 
 - Type A - Year One Total Projected Training
 - Type B - Year One Projected Courses

Description of Curricula, example

Course Title	Emergency Response Refresher
Course short description	Annual refresher designed for members of emergency response teams in industrial settings.
Training Provider	Primary Applicant Organization
Languages	English, Spanish
Delivery Method	Classroom-based
Course Hours	8
Intended Audience	Industrial workers who have completed a 24-hour emergency response basic operations course.
Learning Objectives	<p>At the end of the course, students should be able to:</p> <ul style="list-style-type: none">• List changes to regulations and emerging hazards that affect their emergency response job responsibilities.• Describe the physical and chemical hazards involved in an emergency response to a HazMat incident, and the most common routes of exposure.• Describe lessons learned from a HazMat emergency incident tabletop exercise.• Identify an action to improve readiness for emergencies at their worksite.
Course Outline	[Insert course outline here]

Tables of Year One Training Plan, examples

Total Projected Year one Training, example

RFA-ES-19-003: Clearly label each component

	Courses	Students	Training Contact Hours
Primary Organization	50	761	16,508
Consortium Member 1	25	495	7,170
Consortium Member 2	20	227	5,416
Consortium Member 3	13	195	5,970
Consortium Member 4	18	265	4,130
Totals:	126	1,943	39,194

Tables of Year One Training Plan

Year One Projected Courses, example

RFA-ES-19-003: Clearly label each component

Training Organization:	Primary Organization			
Curriculum	Number of Courses	Number of Trainees per Course	Contact hours per Course	Total Number of Contact hours
Site Worker	1	10	40	400
Site Worker Refresher	16	224	8	1792
HAZWOPER Awareness	24	156	3	468
Confined Space Rescue	2	14	40	560
Industrial Emergency Response	1	11	24	264
Emergency Response Refresher	3	19	8	152
Incident Command	6	47	16	752
TOTAL	53	481	139	4,388

Attachments: RFA ES-19-004

- First three the same as RFA ES-19-003
- Tables of DOE Sites, Collaborators, and Worker Populations
 - Table A - DOE Sites, Collaborators, and Worker Populations
 - Table B - DOE Site Partners, Collaborators, and Worker Populations



Tables of DOE Sites, Collaborators, and Worker Populations (RFA-ES-19-004 only).

DOE Sites, Collaborators, & Worker Populations, example

<i>Training Organization</i>	<i>DOE Sites</i>
International Union 1	Hanford, Oak Ridge and Los Alamos National Laboratory
International Union 2	Hanford, Portsmouth Gaseous Diffusion Plant
Local Organization 1	West Valley Demonstration Project

DOE Site Partners, Collaborators, & Worker Populations, example

<i>DOE Site</i>	<i>Partner or Collaborators</i>	<i>Worker Populations</i>
Hanford Site	HAMMER Training Center, Local 332 ABC Union, Nez Pearce Tribe, and Contractor DEF health & safety staff	Heavy Equipment Operators, Plumbers & Pipefitters
Savannah River	Site contractor health & safety staff, Local 17 XYZ Union, Lower Savannah Council of Governments, County Community College	First responders



Break

E-mail questions to wetp@niehs.nih.gov



Questions and Answers: Program Issues

E-mail questions to wetp@niehs.nih.gov

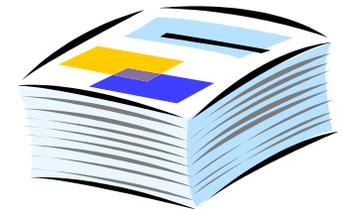


Tips: Guidelines and Instructions

Sharon D. Beard

Tips for a Successful Application

- Make it easy for the reviewers, follow the instructions in the RFA
- Application should be well organized, clearly written, and complete in all details
- Closely follow the Guidelines



- Two separate solicitations and supplemental instructions ([RFA-ES-19-003](#) and [RFA-ES-19-004](#))
- Applicants should submit only one application per organization/institution, which contains separate budget pages and a training plan for up to a five-year period (9/1/2020 – 8/31/2025 for [RFA-ES-19-004](#) and 8/1/2020– 7/31/2025 for [RFA-ES-19-003](#)).
- If applying for more than one program component (HWWT, ECWTP, and HDPTP) under the [RFA-ES-19-003](#), separate budget pages and a separate training plan must be submitted for EACH program component in one application.

RFA-ES-19-003

- It is required that each application have the HWWT component.
- It is optional for applications to have ECWTP and/or HDPTP components

FOR Both RFA's

- It is very important to include strong organizational charts for the Program, as well as Consortia interrelations

Page Limitations and Instructions: RFA-ES-19-003

Page Limitations

Available Component Types	Research Strategy/Program Plan Page Limits
Overall	12
HWWTP	12
ECWTP	12
HDPTP	12

- You must use these component type names when assembling the application in assist
- Note: HDPTP must be used even though some places in the document were incorrect in stating HPDTP.**

- Identify, describe, and document access to target populations to be trained
 - size of the target population
 - worker profiles
 - types of hazardous materials
 - trades and job categories to be trained
 - geographic locations of workers
 - degree of health and safety training already received
 - Underserved and disadvantaged individuals (ECWTP)

- Describe curriculum to be used
 - Use existing curricula
 - Do not include copies of actual curriculum as attachment material.
 - Outline each curriculum (not to exceed two pages in length and should be included as an attachment).

FOAs - Important Dates

- **Hazardous Materials Worker Health and Safety Training (U45; [RFA-ES-19-003](#))**
 - Letter of Intent Receipt Date: October 21, 2019
 - Application Receipt Date: November 21, 2019
- **HAZMAT Training at DOE Nuclear Weapons Complex (UH4; [RFA-ES-19-004](#))**
 - Letter of Intent Receipt Date: October 21, 2019
 - Application Receipt Date: November 21, 2019
- **Want to Know More?** All FAQ's and material from the FOA Informational meeting will be posted to these [WTP Funding Opportunity Announcement page](#)

Make the Reviewers Job Easy!

- Be Clear
- Be Complete but Concise
- Be Organized
- Be on time – Application due
November 21, 2019, by 5:00 PM
local time of applicant organization

Best of Luck!



Next we will watch:

[ASSIST Overview](#) – 15 minutes

Other helpful vides for your information:

[NIH eSubmission Top 10 Tips](#) (7 minutes)

[Webinar - Using ASSIST to Prepare and Submit Multi-Project Applications to NIH](#) (1 hr 45 minutes)

WTP and NIH Resources

[NIEHS Worker Training Program homepage](#)

NIEHS WTP [Current Funding Opportunities page](#)

NIEHS WTP [National Clearinghouse for Worker Safety and Health Training Page](#)

NIH Additional Information

- [SF424 \(R&R\) Application Guide](#)
- Use [ASSIST](#)
- [Applying Electronically – Training](#)

Important things to remember...

Read the FOAs carefully and talk to NIEHS staff

Use the WTP web site:

<http://www.niehs.nih.gov/wtp>

Use the web version of the FOA and the ASSIST Instructions. Go with FOA first if they differ!!!!

Send questions to wetp@niehs.nih.gov

Frequently asked questions (FAQ's) will be posted on the [WTP Funding Opportunity Announcement page](#)



FOA Applicant Information Briefing

for

Hazardous Materials Worker Health and Safety Training (U45)

[RFA-ES-19-003](#)

and

Hazmat Training at DOE Nuclear Weapons Complex (UH4)

[RFA-ES-19-004](#)

Budget

NIEHS GRANTS MANAGEMENT

Lisa Edwards

Definitions

Grantee/Recipient

- **An entity** that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program

Consortium

- Non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program
- Separate legal entity that will carry out a portion of the scientific or programmatic activity, under the direction of the grantee
- **The entity is bound to the grantee through a contract with the grantee**
- A consortium may also be referred to as:
 - Subawardee
 - Sub
 - Consortium partner
 - Subrecipient
 - Subgrantee

Definitions

Consultant

- An individual who provides professional advice or services for a fee, but **normally not as an employee of the engaging party.**

In unusual situations, an individual may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried employee.

- To prevent apparent or actual conflicts of interest, recipients and consultants **must establish written guidelines indicating the conditions of payment of consulting fees. Consultants also include firms that provide professional advice or services**

Definitions

Signing Official

- An Authorized Organization representative with the “Signing Official (SO)” role in the Commons
- The individual who is authorized to act for and obligate the recipient

Principal Investigator (PI)

- Individual designated by the applicant organization/recipient to direct the project or program to be supported by the award.

NOTE:

The Principal Investigator and the Signing Official should **NOT** be the same individual.

Roles and Responsibilities

Signing Official

- Submits documents (application, JIT, etc.) and prior approval requests
- Provide written concurrence for any info submitted by the PI
- Communicates directly with the Grants Management Specialist

Principal Investigator

- Directs the project
- Prepares all required reports
- Works with Signing Official on all policy or financial questions and prior approval requests
- Communicates directly with the Program Officer on any scientific or programmatic issues

Roles and Responsibilities

Grants Management Specialist

- NIH contact for financial and policy questions
- Individual responsible for issuing Notice of Award and executing Prior Approvals
- Communicates directly with the Signing Official

Program Officer

- NIH contact for scientific and programmatic questions
- Prepares all required reports
- Communicates directly with the Principal Investigator

Grants Management Specialist and Program Officer work very closely together

Budget Preparation

- **SF424 submitted through ASSIST**
- **Detailed categorical budgets are required for**
 - Each Project/Component
 - Each Subaward/Consortium

Note: SF424 will not allow Subawards on Subawards

Escalation

Budgets submitted in subsequent years may request an escalation on recurring direct costs. (Note: While NIH allows escalation, NIEHS does **not** currently provide escalation in out years)

Must be justified:

- Is the amount of escalation requested supported by institutional policies?
- Is the amount clearly stated?

Travel to Annual Meetings

Budget: Funds should be requested for travel as it is required that appropriate staff (i.e., PI & Business Official) attend awardee meetings at least twice annually.

Budget Preparation

- Subawards/Consortium
 - must follow same guidelines as parent; budget forms are required and should follow the associated project or core
 - Subawards/consortium direct costs are included in the parent grant Subtotal Direct Costs, which may be subject to budget caps
 - F&A of subawards/consortium is included in Total direct Costs of parent grant , but will not count against budget cap
- Budget Justifications (Be detailed and specific)
 - Are all costs itemized?
 - Are all additions and changes in subsequent/future years fully justified and identified clearly?
- Honoraria
 - Funds for honoraria will not be provided. Incentives & stipends for participants are allowed & should be listed under Section F. Other (8, 9 or 10)

R&R Budget Sections C-E

C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

Equipment item		Funds Requested (\$)
<input type="text"/>	Equipment = per-unit cost of \$5,000 or more and a useful life of at least one year	<input type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file
Total Equipment

D. Travel

	Funds Requested (\$)
1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)	<input type="text"/>
2. Foreign Travel Costs	<input type="text"/>
Total Travel Cost	<input type="text"/>

E. Participant/Trainee Support Costs

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input type="text"/>
2. Stipends	<input type="text"/>
3. Travel	<input type="text"/>
4. Subsistence	<input type="text"/>
5. Other <input type="text"/>	<input type="text"/>
<input type="text"/> Number of Participants/Trainees	<input type="text"/> Costs

Do NOT include any costs in this section. All Travel should go in section D-Travel and any stipends and other costs should go in Section F-Other Direct Costs.

R&R Budget Sections A - C

Personnel section should include only the organization's employees. Trainers who are not employees of the organization and consultants should be listed in the consultants section

- **A. Senior/Key Person** - First field must be completed, even if the person is a "Project Leader" and not PD/PI
- **B. Other Personnel** - Postdocs, Grad Students, Undergrads: Only number of personnel required (not specific names – more detail should be provided in the budget justification)
- **C. Equipment** – any item that is \$5,000 or greater
- **D. Travel** – For any personnel listed in section A & B

Close Form

RESEARCH & RELATED BUDGET - SECTION F-K, BUDGET PERIOD 1

Next Period

* ORGANIZATIONAL DUNS:

* Budget Type: Project Subaward/Consortium

Enter name of Organization:

Delete Entry Start Date: * End Date: Budget Period 1

F. Other Direct Costs

Funds Requested (\$)

- 1. Materials and Supplies
- 2. Publication Costs
- 3. Consultant Services
- 4. ADP/Computer Services
- 5. Subawards/Consortium/Contractual Costs
- 6. Equipment or Facility Rental/User Fees
- 7. Alterations and Renovations
- 8.
- 9.
- 10.

Total Other Direct Costs

G. Direct Costs

Funds Requested (\$)

Total Direct Costs (A thru F)

H. Indirect Costs

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	* Funds Requested (\$)
1. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Indirect Costs			<input type="text"/>

Cognizant Federal Agency
(Agency Name, POC Name, and POC Phone Number)

I. Total Direct and Indirect Costs

Funds Requested (\$)

Total Direct and Indirect Institutional Costs (G + H)

J. Fee

Funds Requested (\$)

K. * Budget Justification

(Only attach one file.)

Add Attachment

Delete Attachment

View Attachment

R&R Budget Sections F-K

Subaward/Consortium are not pre-populated. Include BOTH Total Direct and Indirect cost. Individual Budget pages are REQUIRED for all Subaward/Consortium and should total the amount listed here

R&R Budget Sections F-K

- **F. Other**

- **Supplies** - Enter on line F.1 (Materials and Supplies)
- **Consultant/Fees Costs** - Enter on line F.3 (Consultant Services)
- **Computer Services** - Enter on line F.4 (ADP/Computer Services)
- **Consortium/Subaward** - Enter on line F.5 Total cost
- **Facility Rental** - Enter on line F.6 (Equipment or Facility Rental/User Fees)
- **Alteration and Renovations** - Enter on line F.7
- **Lines 8, 9 or 10 can include items that are not spelled out about (Ex: Incentives, postage, gas, vehicle maintenance)**

Sections G – K should be completed (except for J. Fee)

Facilities and Administrative Costs

- Capped at 8% of Modified Total Direct Costs. The F&A base excludes:
 - Amounts over the first \$25k for subawards
 - Equipment
 - Tuition and related training fees
- 8% cap is applicable to recipients and subrecipients
- F&A must be provided to all subrecipients in accordance with the 8% cap. It is not permissible for recipients to force or entice a proposed subrecipient to accept a lower rate.

Cumulative budget is automatically calculated based on budget period data provided.

RESEARCH & RELATED BUDGET - Cumulative Budget

		Totals (\$)
Section A, Senior/Key Person		<input type="text"/>
Section B, Other Personnel		<input type="text"/>
Total Number Other Personnel	<input type="text"/>	
Total Salary, Wages and Fringe Benefits (A+B)		<input type="text"/>
Section C, Equipment		<input type="text"/>
Section D, Travel		<input type="text"/>
1. Domestic	<input type="text"/>	
2. Foreign	<input type="text"/>	
Section E, Participant/Trainee Support Costs		<input type="text"/>
1. Tuition/Fees/Health Insurance	<input type="text"/>	
2. Stipends	<input type="text"/>	
3. Travel	<input type="text"/>	
4. Subsistence	<input type="text"/>	
5. Other	<input type="text"/>	
6. Number of Participants/Trainees	<input type="text"/>	
Section F, Other Direct Costs		<input type="text"/>
1. Materials and Supplies	<input type="text"/>	
2. Publication Costs	<input type="text"/>	
3. Consultant Services	<input type="text"/>	
4. ADP/Computer Services	<input type="text"/>	
5. Subawards/Consortium/Contractual Costs	<input type="text"/>	
6. Equipment or Facility Rental/User Fees	<input type="text"/>	
7. Alterations and Renovations	<input type="text"/>	
8. Other 1	<input type="text"/>	
9. Other 2	<input type="text"/>	
10. Other 3	<input type="text"/>	
Section G, Direct Costs (A thru F)		<input type="text"/>
Section H, Indirect Costs		<input type="text"/>
Section I, Total Direct and Indirect Costs (G + H)		<input type="text"/>
Section J, Fee		<input type="text"/>

Just-In-Time

Additional information requested by NIH after review, while the application is under consideration for funding.

- Other Support – required for all key personnel
 - “0%,” “Varies,” “As Needed,” etc., are not acceptable levels of effort
 - Total time commitment cannot exceed 12 calendar months for any individual
- Human Subjects Research - IRB Approvals
 - **Submit your protocol for IRB review at the time of application**
 - Final approval date will be requested through Just In Time*
 - If an IRB approval is not in place at time of award, the project may not be funded.

What is Human Subjects Research?

An institution is engaged in human subjects research if:

- the institution's employees or agents intervene or interact with human subjects for research purposes
- the institution's employees or agents obtain individually identifiable private information about human subjects for research purposes
- the institution receives a direct HHS award to conduct human subjects research, even where all activities involving human subjects are carried out by a subcontractor or collaborator.

https://grants.nih.gov/grants/policy/nihgps/HTML5/section_4/4.1.15_human_subjects_protections.htm

Exempt Human Subjects Research

8 Exemptions

Consider

1

Meets the definition of human subjects research.

Exempt studies involve human subjects research: research involving a living individual about whom data or biospecimens are obtained/used/studied/analyzed through interaction/intervention, or identifiable, private information is used/studied/analyzed/generated

2

Meets the criteria of one of the following exemptions:



Exemption 1: conducted in an educational setting using normal educational practices*

*Cannot include any other procedures, such as collection of clinical data or biospecimens

Exemption 2: uses educational tests, surveys, interviews, or observations of public behavior*

*Limited IRB review may be required.

Exemption 3: benign behavioral interventions in adults*

*Limited IRB review may be required.

Exemption 4: involves the collection/study of data or specimens if publicly available, or recorded such that subjects cannot be identified*

*May be identifiable in limited cases. See §46.104(d)(4)(iii) and (iv)

Exemption 5: public service program research or demonstration projects

Exemption 6: taste and food quality evaluations

Exemption 7: storage of identifiable information or biospecimens for secondary research use. *Broad consent* and *limited IRB review* are required.

Exemption 8: secondary research use of identifiable information or biospecimens. *Broad consent* and *limited IRB review* are required.

NIH Requirements:

- HS education
- Inclusion tracking for all except 4.

45 CFR 46 Requirements:

- Limited IRB review for 7 & 8, and some study designs under 2 & 3.
- Broad consent for 7 & 8.

Cannot involve **prisoners**, unless includes a broader population that happens to include prisoners.

Cannot involve **children** in:

- Exemption 2 if investigators participate in the activity being observed or includes identifiable info, OR
- Exemption 3.

For more information see the [NIH OER Human Subjects Research website](#).
Send questions/comments to OER-HS@nih.gov.

Resources

- SF424 (R&R) Application and Electronic Submission Information:
 - <http://grants.nih.gov/grants/funding/424/index.htm>
- Applying Electronically to Multi-project Applications:
 - <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/multi-project-forms-e.pdf>
- Webinar for Applicants: Initial Look at the Electronic Submission Process of Multi-Project Applications
 - http://grants.nih.gov/grants/webinar_docs/webinar_20121213.htm
- Need help with ASSIST?
 - http://grants.nih.gov/grants/ElectronicReceipt/faq_full.htm#about
- Am I Doing Human Subjects Research?
 - <https://grants.nih.gov/policy/humansubjects/research.htm>

eRA Commons - <https://commons.era.nih.gov/commons/index.jsp>

Registered PD/PIs can check assignment/contact information, review outcome, and other important information.

eRA Service Desk:

Hours: Mon-Fri, 7AM-8PM EDT/EST Web: <http://era.nih.gov/help/> Toll-free: 866-504-9552. Phone: 301-402-7469. TTY: 301-451-5939.



Application Process and Peer Review

Janice B. Allen, Ph.D.

Scientific Review Officer

Scientific Review Branch

National Institute of Environmental Health Sciences

984-287-3232

allen9@niehs.nih.gov

Letters of Intent

- Letters of Intent (LOI) are due **October 21, 2019**
- Separate LOIs for Hazmat (HWWTP, ECWTP, HDPTP), and DOE; indicate which FOA and components are being submitted
- Email to allen9@niehs.nih.gov is preferred, or hard copy to me at address in FOA or fax to 301-480-3705
- Include PI name, address, telephone number, email address; key personnel; and participating organizations.

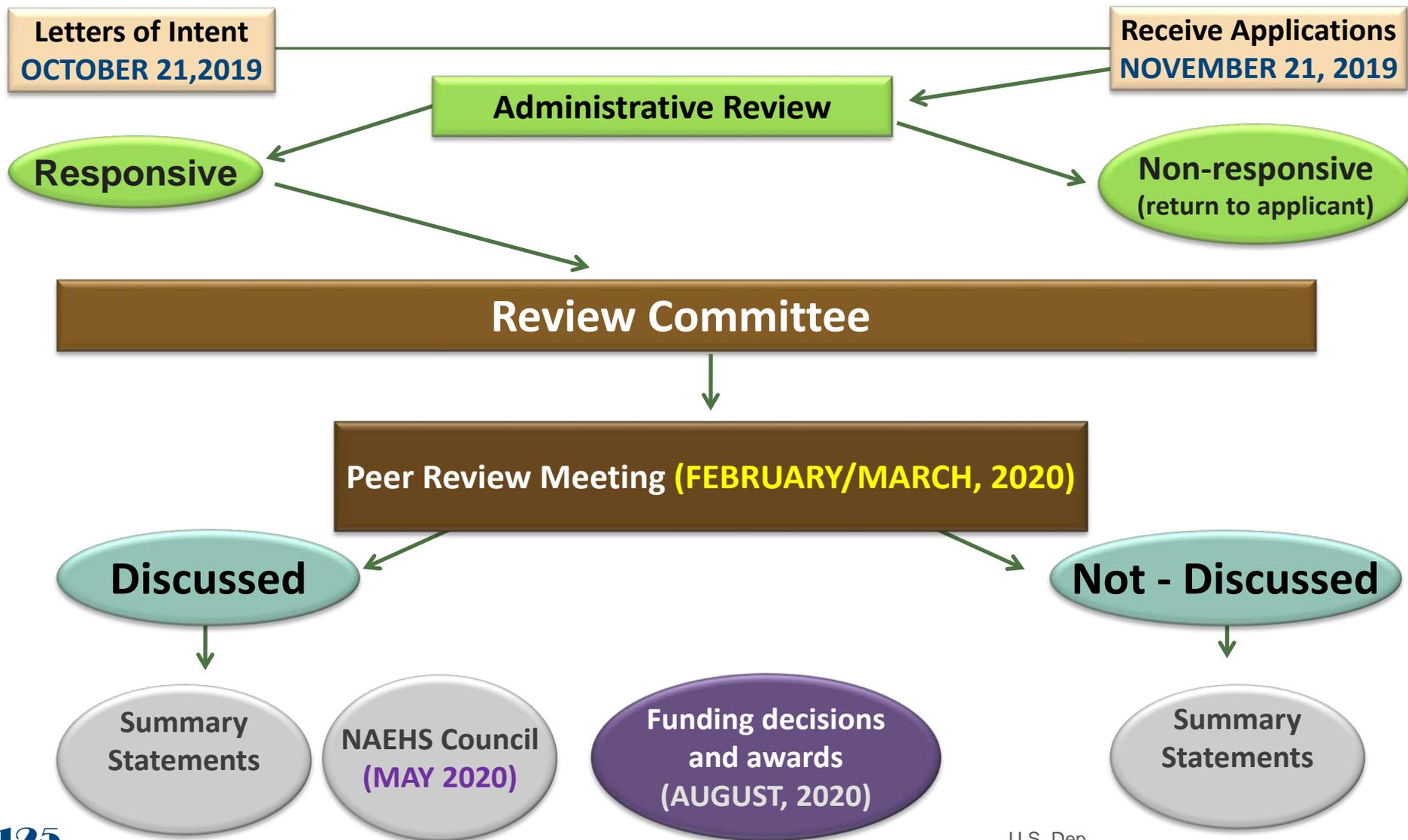




Application Process Pointers

- Applicant organizations must register in NIH Commons and Grants.gov, PIs register: <https://commons.edr.nih.gov/commons/>
- **Receipt Date: 5:00PM local time, November 21, 2019 (FIRM)**
- **Electronic submission through ASSIST is the only acceptable submission process.**

Peer Review Process (First Level): OVERVIEW



Cover Letter:

The cover letter should be used for a number of important purposes:

- Identify individuals in conflict*
- Identify areas of expertise needed to evaluate the application
- Discuss any special situations**
- Required for an electronic changed/corrected submission



***It is not appropriate to use the cover letter to suggest specific reviewers.**

****It IS appropriate to use the cover letter to explain why you had to submit late; approved on an individual basis by CSR, not me.**

CRITICAL MESSAGE:

- ***Periodically check your eRA Commons Account:*** If you do not see your grant application image in eRA Commons, the NIH does not see it either. You must follow up on the process and use eRA Commons to check. We need to know you have submitted a grant application in order to assign and review it.

AGAIN: Start preparing early and submit early!

- **This is critical – Submit EARLY –** You may not be able to do anything about colleagues who work up to the last minute, so find ways to send “gentle reminders” with deadlines.
- **Errors may require >1 day to post – then you are 1 day LATE, and your application may be returned without review (cover letter).**



Special Emphasis Panels (SEPs)

- Two SEPs, one for each FOA, recruited ad hoc
- Composed of experts with expertise relevant to the applications and the FOA
- Reviews are confidential, panelists are required to disclose potential conflicts of interest and sign a confidentiality document
- Multi-component applications submitted to ES19-003 will receive an overall priority score as well as a priority score for each component
- DOE FOA (ES19-004) allows only single component applications and will receive one priority score
- All PIs will receive written critiques in Commons; discussed applications will include summary of discussion



Peer Review Scoring:

- **Scoring system focuses on impact of the grant application on the field, what it will accomplish if successful.**
- **Scores use the 1 (best) to 9 (worst) Scores, reported as an average X 10 (between 10 and 90).**
- **Described in detail:**
http://grants.nih.gov/grants/peer_review_process.htm
- **NIH policy suggests that only the lower half (best scored) applications be discussed, so as to spend more time on more meritorious ones.**



NIH Scoring (simplified)

1	Exceptional	Exceptionally strong component with essentially no weaknesses
2	Outstanding	Extremely strong component with negligible weaknesses
3	Excellent	Very strong component with some minor weaknesses
4	Very Good	Strong component with numerous minor weaknesses
5	Good	Strong component with at least <u>one moderate weakness</u> and some minor weaknesses
6	Satisfactory	Component has some strengths and also some moderate weaknesses as well as some minor weaknesses
7	Fair	Component has some strengths and also at least <u>one major weakness</u> and some moderate as well as minor weaknesses
8	Marginal	Component has very few strengths and numerous major weaknesses as well as some moderate and minor weaknesses
9	Poor	Component has few strengths

Negligible: Weakness(es) is (are) usually points of clarification or suggestions, that could potentially aid what is being proposed and is (are) duly noted.

Minor Weakness: Easily addressable weakness that does not substantially lessen impact.

Moderate Weakness: A weakness that lessens impact.

Major Weakness: A weakness that severely limits impact.

Review Criteria (from FOA)

- Significance
- Investigator(s)
- Innovation
- Approach
- Environment

NIH's Five Review Criteria
(defined in RFA)
(*criterion scores 10-90*)

**Impact Score
(10-90)**

Each grant application is reviewed and receives a written critique and criterion scores.

Note: Applications not discussed will NOT receive a Summary of Discussion

***Note:** In RFA: Additional review criteria for HWWTM, ECWT and HDPTP is provided.

****Note:** Scores are reported in the summary statement.

****NOTE:** Human Subjects, Animal Care, and Biohazards can be considered in the overall score. Budgets are reviewed but are not considered in score.

Peer Review Focus

- **Significance:**

- Does the project address an important problem or a critical barrier to progress in the field?
- Is the prior research that serves as the key support for the proposed project rigorous?
- If the aims of the components are achieved, how will scientific knowledge, technical capability, and/or clinical practice be improved?
- How will successful completion of the aims change the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field?
- **Refer to ES 19-003 and ES 19-004 and highlighted text for specifics.**



Investigator(s):

- Does the proposed team demonstrate appropriate expertise that is well-suited to execute the project?
- If the project is collaborative or has multi-PD/PI, do the investigators have complementary and integrated expertise; are their **leadership** approach, governance and organizational structure appropriate?
- **Is there sufficient evidence of an applicant's organizational structure or consortium, if applicable, that provides adequate knowledge and oversight of resources and administrative management of the program?**
- **Do the PD/PI and the proposed staff have the ability to manage complex training programs?**
- **Refer to ES 19-003 and ES 19-004 for specifics to the ECWT and HDTPT.**



Innovation:

- Does the application challenge and seek to shift current research or clinical practice paradigms by utilizing novel theoretical concepts, approaches or methodologies, instrumentation, or interventions?
- Are the concepts, approaches or methodologies, instrumentation, or interventions novel to one field of research or novel in a broad sense?
- Is a refinement, improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions proposed?
- Is there evidence of inclusion of worker training initiatives and innovations?
- Does the applicant show innovation in addressing existing and new challenges to the field of worker health and safety, such as with training tools, curriculum development, worker outreach, and program evaluation?
- **Refer to ES 19-003 and ES 19-004 for specifics.**



Approach:

- Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project?
- Have the investigators included plans to address weaknesses in the rigor of prior research that serves as the key support for the proposed project ?
- Have the investigators presented strategies to ensure a robust and unbiased approach, as appropriate for the work proposed?
- Are potential problems, alternative strategies, and benchmarks for success presented?
- If the project is in the early stages of development, will the strategy establish feasibility and will particularly risky aspects be managed?
- Have the investigators presented adequate plans to address relevant biological variables, such as sex, for studies in vertebrate animals or human subjects?
- **Refer to RFAs for ECWT and HDPTP specifics.**



Environment:

- Will the scientific environment in which the work will be done contribute to the probability of success? Are the institutional support, equipment and other physical resources available to the investigators adequate for the project proposed? Will the project benefit from unique features of the scientific environment, subject populations, or collaborative arrangements?
- Are the facilities and equipment appropriate to support the described worker health and safety training and education activities, including hands on instruction?
- Is there evidence that the operation of training facilities assures the protection of prospective trainees during program delivery?
- Are there appropriate policies and procedures for assuring fitness for training and medical clearance?

Applicable to the ECWT program:

- Is there evidence of the applicant's ability to track program participants for up to one year after completion of the program?
- Is there evidence of ability to conduct training in more than one geographically discrete location during the program year?



Additional Points to Consider:

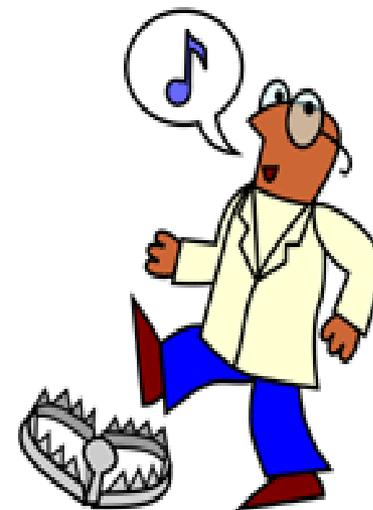
- **Protection of human subjects in research is reviewed and may affect scores.**
- **Human subject research generally does not occur in training, but if it is proposed, protections must be addressed.**
- **Competing renewals have additional requirements to demonstrate progress in previous grant periods.**



Applications that review poorly...

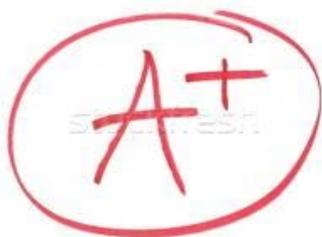
- Lack clarity. Reviewers are unable to determine what you are planning to do.
- Lack sufficient detail. Specificity generates confidence.
- Are poorly prepared. Typos, misspelled words, small font size, poor grammar irritate reviewers.
- Are poorly thought out. Reviewers can tell a first draft when they see one.

Start Early; have colleagues read for content and grammar!



Applications that review well...

- Specifically address all the essential components of the FOAs. Tell the reviewers what they need to know.
- Are clearly written, well organized, and prepared according to instructions. Again, don't make the reviewers work too hard.
- Demonstrate rather than assure. A “Trust me” attitude is **kiss of death**.



Peer Review Process – Second Level

- Funding plan prepared by program officers
- Council meets May 2020
- Submitted to **National Advisory Council** for concurrence and make recommendations to IC Director
 - Research priority area, Policy, Appeals*, Funding, Quality of review
- Funding decisions communicated with PIs



*RFAs are not appealable

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NIEHS/DERT





Questions and Answers: FOA Fiscal, Administrative, and Review Issues

E-mail questions to wetp@niehs.nih.gov

New Program? More questions?

Contact us to discuss your ideas or ask questions.

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**Thank
you for
your
interest!**

