



**NIEHS**

National Institute of  
Environmental Health Sciences

# GRANTS MANAGEMENT ISSUES

Prior Approval Requirements

NIH Commons Registration



**WORKER EDUCATION AND TRAINING PROGRAM**





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# PRIOR APPROVAL REQUIREMENTS AND EXPANDED AUTHORITIES

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**WORKER EDUCATION AND TRAINING PROGRAM**



- PRIOR APPROVAL ACTIONS
  - A&R
  - Capital Expenditures
  - Change in Scope
  - Change in Key Personnel
  - Change of Grantee Organization
  - Change in Grantee Organizational Status
  - Addition of a Foreign Component
  - Deviation from Award Terms and Conditions
  - Carryover of Unobligated Balances
  - Need for Additional NIH Funding

- A&R
  - Significant Rebudgeting or Change in Scope
- Capital Expenditures
  - All Instances
- Change in Scope
  - Change in methodology, approach, or other aspects of the project may be okay; however a change in direction, type of training, or other areas constitute a significant change from the aims, objectives, or purposes of training

- Change in Key Personnel
  - Required to notify the GMO in writing if the PI or Key personnel specifically named in NGA will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or reduce effort by 25% or more.
- Change of Grantee Organization
  - Transfer of the legal and administrative responsibility for the project from one legal entity to another within a project period

- Change in Grantee Organizational Status
  - Advance notice of a Merger, Successor-in-Interest, or Name Change required to ensure that the organization is still able to meet legal and administrative obligations
- Addition of a Foreign Component
  - As stated in the RFA, Foreign organizations and foreign institutions are not eligible to participate in this program.

- Deviation from Award Terms and Conditions including Restrictions on the NGA
  - Prior approval required for any deviation from terms or conditions stated or referenced in the NGA. This includes undertaking any activities disapproved or restricted as a condition of the award
- Need for Additional NIH Funding
  - Requests within the scope may not be required to go through the competitive process--at the discretion of the program or funding source
  - Other requests for supplemental funding are considered to change the scope and may be required to compete for funding

- Carryover of Unobligated Balances\*
  - NIH Accepted FSR
  - Carryover Request and Justification
  - Table 1 (Sources of Funds)
  - Table 2 (Proposed Uses for Funds)
  - Carryover Justification

\*Previous Breakout Session. Copies available by email.

## Expanded Authorities:

- Cost-related prior approvals
  - NIH prior approval is not required to rebudget funds for any direct cost item that the applicable cost principles identify as requiring the Federal awarding agency's prior approval, unless the incurrence of costs is associated with or is considered to be a change in scope.  
This is rebudgeting within the approved budget of other than restricted funds and not a change in scope
- Extension of Final Budget Period of a Project Period Without Additional NIH Funds
- Transfer of the Performance of Substantive Programmatic Work to a 3<sup>rd</sup> Party by Means of a Consortium Agreement—Change in Scope potential

## Requests for Prior Approval

- Requests must be made in writing to the GMO no later than 30 prior to the proposed change.
- Signed by and/or emailed by the AOO (Authorizing Organizational Official)
- Include the grant number and the name of the PI
- Justification of prior approval request

Note: As stated in the NIEHS update session, PI signature is not required. Preference is to receive requests in pdf format via email.

## NIH eRA COMMONS

### Why register?

- Receive NGA electronically
- Check status of grant applications
- Allows for electronic submission of the FSR
- PI can view the Summary Statement
- One of the two required registrations needed to electronically submit the SF 424 R&R

- Demo Facility available that will allow you to try most of the NIH eRA Commons capabilities
- Comprehensive FAQ page

Where to start?

<https://commons.era.nih.gov/commons/>

This site has a direct link for registration

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## What is the NIH eRA Commons?

NIH has developed a system to facilitate the discrete exchange of essential information between NIH and applicant organizations. The "Commons" is a Web interface where NIH and the grantee community are able to conduct their extramural research administration business electronically.

## NIH eRA Commons Registration: Who, What and How?

An institution must be registered in the NIH eRA Commons before faculty and staff can take advantage of electronic submission and retrieval of grant information. Only an individual with signatory authority for the institution in grant-related matters (see [Q5: What is an SO Role?](#)) can register an institution. To register in the NIH eRA Commons, open the [NIH eRA Commons homepage](https://commons.era.nih.gov/commons/) (<https://commons.era.nih.gov/commons/>) and click on the Grantee Organization Registration link. Follow the step-by-step instructions. The institution is registered when the information is completed, submitted (by pressing the Submit button) and confirmed by the NIH.

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## Other FAQ Information

- Definition/description of roles and responsibilities
- Information on an IPF number
- Information on where the NGA will be sent

## Having Problems with NIH eRA Commons?

Contact Information:

eRA Commons helpdesk available at:

<http://era.nih.gov>

Email: [commons@od.nih.gov](mailto:commons@od.nih.gov)

Phone: 301-402-7469/866-504-9552 (Toll Free)

# QUESTIONS?

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