



NIEHS

**National Institute of
Environmental Health Sciences**

GRANTS MANAGEMENT

BUSINESS BREAKOUT SESSION

September 13, 2011

Donald Ellis and Pamela Clark



WORKER EDUCATION AND TRAINING PROGRAM



Highlights

- Deep Water Horizon/BP (DWH)
- Expanded Authorities
- Carryover Requests
- FFR Submission
- Progress Report Submission
- Change of Grantee Institution
- Communicating with NIH
- *****
- Small Business Innovative Research (SBIR) Process

IMPORTANT !

DeepWater Horizon/BP (DWH)

Strict adherence to document preservation is required.

Those individuals directly responsible for maintaining funding correspondence, financial transactions and research activities related to the DWH Oil Spill Activities are required to keep project related documents in the event of a future request for DWH documents.

- Preferred Document Preservation – Electronic Documents (pdf, **word**, **excel**). Ensure documents are locked as “read only”.
- Designate individual(s) to control document internal/external.
- Most WETP related and administrative documents will be preserved by NIEHS program administrator, grants specialist or CGMO.

Expanded Authorities

- Expanded Authorities-Operating authorities provided to grantees that waive the requirement for NIH prior approval for specified actions ((see “Administrative Requirements—Changes in Project and Budget—Expanded Authorities”)).
- Even though projects are technically awarded under “Expanded Authority”; Most WETP activities require “Prior Approval”.
- When unsure; **REQUEST APPROVAL!!!**

CARRYOVER

- Carryover of Federal Financial Report (FFR) Unobligated Balance (UB) requires prior approval request.
- A timely request is required. If Unobligated Balance is not requested, funds could possibly be used as future award offset.

Carryover of Unobligated Balance

- Request should include at a minimum the following information:
- Detailed Budget by direct costs category with F&A cost information (base and rate) for the proposed use of the carryover funds. If personnel costs are requested, include a detailed breakdown of personnel costs, including base salary, salary requested and effort to be spent on the project during the extension.
- A scientific justification for use of funds.
- The reason for the Unobligated Balance

Carryover Request - Table 1

Table 1: Unobligated Funds

Year: Year XX -- MM/DD/YYYY – MM/DD/YYYY

Program: NIEHS [Choose 1: HWWTP, MWT, HDPT, or DOE] - 5 U45 ES0XXXX

Category	Award Amount	Prior Year Carryover	Total Adjusted Funds	Total Expenditures	Unobligated Balances	Explanation of Unobligated Balance
Salaries Fringe Benefits Total Personnel						
Consultant						
Equipment						
Supplies						
Travel						
Other						
Consortium						
Total Direct Costs						
Indirect Costs						
TOTAL						

Carryover Request – Table 2

Table 2: Proposed Budget for Carryover of Unobligated Funds, from Year XX to Year YY

Year: Year YY -- MM/DD/YYYY – MM/DD/YYYY

Program: NIEHS [Choose 1: HWWTP, MWT, HDPT, or DOE] - 5 U45 ES0XXXXX

Category	Amount	Explanation
Salaries	0	0
Fringe Benefits		
Total Personnel		
Consultant	0	0
Equipment	0	0
Supplies	0	0
Travel	0	0
Other	0	0
Consortium	0	0
Total Direct Costs	0	0
Indirect Costs	0	00
TOTAL	0	0

FFR Submission –NOT-OD-11-017 Released (01/04/2011)

- Federal Financial Report (FFR)
http://odoerdb2.od.nih.gov/gmac/nihgps_2010/nihgps_ch8.htm#_Toc271264984
- Grantees are required to electronically submit the final FFR through the eRA Commons (<https://commons.era.nih.gov/commons>).
- FFR – Implementation Information:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-017.html>

FFR Document

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page 1 of	pages		
3. Recipient Organization (Name and complete address including Zip code)							
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)			
10. Transactions				Cumulative			
<i>(Use lines a-c for single or multiple grant reporting)</i>							
Federal Cash: (To report multiple grants, also use FFR Attachment):							
a. Cash Receipts							
b. Cash Disbursements							
c. Cash on Hand (line a minus b)							
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized							
e. Federal share of expenditures							
f. Federal share of unliquidated obligations							
g. Total Federal share (sum of lines e and f)							
h. Unobligated balance of Federal funds (line d minus g)							
Recipient share:							
i. Total recipient share required							
j. Recipient share of expenditures							
k. Remaining recipient share to be provided (line i minus j)							
Program income:							
l. Total Federal program income earned							
m. Program income expended in accordance with the deduction alternative							
n. Program income expended in accordance with the addition alternative							
o. Unexpended program income (line l minus line m or line n)							
11. Indirect Expense							
a. Type		b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
						g. Totals	
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.							
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official				c. Telephone (Area code, number and extension)			
b. Signature of Authorized Certifying Official				d. Email address			
				e. Date Report Submitted (Month, Day, Year)			
14. Agency use only:							

Standard Form 425
OMB Approval Number: 0548-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no person is required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0548-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0548-0061), Washington, DC 20503.

WORKER EDUCATION AND TRAINING PROGRAM

Due dates for FFR Expenditure Data

Budget End Date	Final FFR Due Date (90 Days)	Calendar Quarter End	Annual FFR Due Date (90 Days after end of quarter)
1/31	5/1	3/31	6/30
2/28	5/29	3/31	6/30
3/31	6/29	3/31	6/30
4/30	7/29	6/30	9/30
5/31	8/29	6/30	9/30
6/30	9/28	6/30	9/30
7/31	10/29	9/30	12/31
8/31	11/29	9/30	12/31
9/30	12/29	9/30	12/31
10/31	1/29	12/31	3/31
11/30	2/28	12/31	3/31
12/31	3/31	12/31	3/31

NIH OFM Contacts

- NIH Office of Financial Management Contacts:
- For Questions regarding the FFR
- Mr. Alan Whatley – Lead Accountant – whatleyA@od.nih.gov
- Ms. Shannon Hershman – hershmans@od.nih.gov

Progress Report

- Use PHS 2590 “Grant Progress Report”.
- The newly revised **forms** and **instructions** (06/2009 Revision) are available at

<http://grants.nih.gov/grants/forms.htm>

At the bottom of this page see the “Notable Changes” made to the PHS 2590. This page also has a **FAQ link for All Personnel Report**.

- Instructions for the All Personnel Report modified to clarify that the **PD/PI(s) should be listed on the form**, that regardless of the source of compensation all personnel who participated in the project for at least one person month should be listed, that one person month equals approximately 160 hours or 8.3% of annualized effort ([NOT-OD-09-150](#)). (09/22/2009).

PHS 2590 Application Contents

- **Submit a full progress report for each sub-project .**
 - **Face page (Form Page 1)**
 - **Project/Performance Site Format Page (list all sites after the face page)**
 - **Detailed Budget for Next Budget Period (Form Page 2)**
 - **Budget Justification (Form Page 3)**
 - **NOTE: Composite, Subprojects, Consortia budgets required**
 - **Biographical Sketch (only for NEW Key Personnel)**
 - **Progress report summary (all subprojects)**
 - **Targeted/Planned Enrollment (when applicable)**
 - **Inclusion Enrollment (when applicable)**
 - **Other Support (For Key Personnel on the Notice of Award)**
 - **All Personnel report**
 - **Checklist (Form Page 6)**

Change of Grantee Institution

- From the Original Grantee Institution
 1. Relinquishing Statement (Form PHS 3734)
 2. Federal Financial Report – FFR (SF-425)
 3. Final Invention Statement and Certification (Form HHS 568)

Forms can be found at:

<http://grants.nih.gov/grants/forms.htm>

Change of Grantee Institution....cont.

- From the New Institution

Guidance Instructions

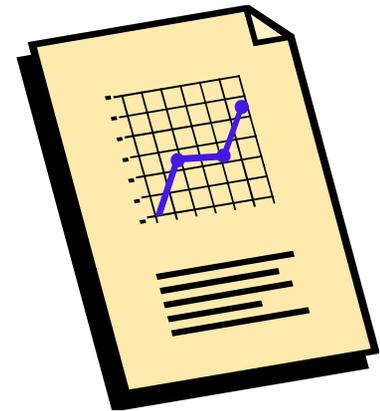
1. Form PHS 398; Grant Application
<http://grants1.nih.gov/grants/funding/phs398/phs398.html>
2. Application should include at a minimum:
 - A. Application Face Page
 - B. Budget Pages
 - C. Resource Page
 - D. Progress Report for current year and statement concerning current research plan, aims, objectives
 - E. Updated Biosketches, other support, IRB/IACUC approvals

Communicating with NIH: Notice of Awards (NoA)

- Reminder:
- The NoA is a legally binding document that contains:
 - Award Data & Fiscal Information
 - Payment Information
 - Terms and Conditions
- The grantee indicates acceptance of the terms and conditions of the award by **drawing down funds** against the grant from the Payment Management System.

Communicating with NIH.....cont.

- Administrative and Fiscal Monitoring Requirements:
 - Annual Progress Report (PHS 2590): Due 60 days before the end of the budget period.
 - Federal Financial Report (FFR): Due 90 days after the end of the budget period.
 - Invention Reporting
 - Yearly Audits (as applicable)



Who Is My Grants Management Specialist (GMS)?

We Are Now Assigned by Program Official (PO):

PROGRAM OFFICIAL

- Sharon Beard
- Jim Remington
- Chip Hughes
- Ted Outwater
- Kathy Ahlmark
- For SBIR's

GRANTS MGMT SPECIALIST

Molly Puente

Pamela Clark

Donald Ellis

Pamela Clark, Aaron Nicholas
and Molly Puente

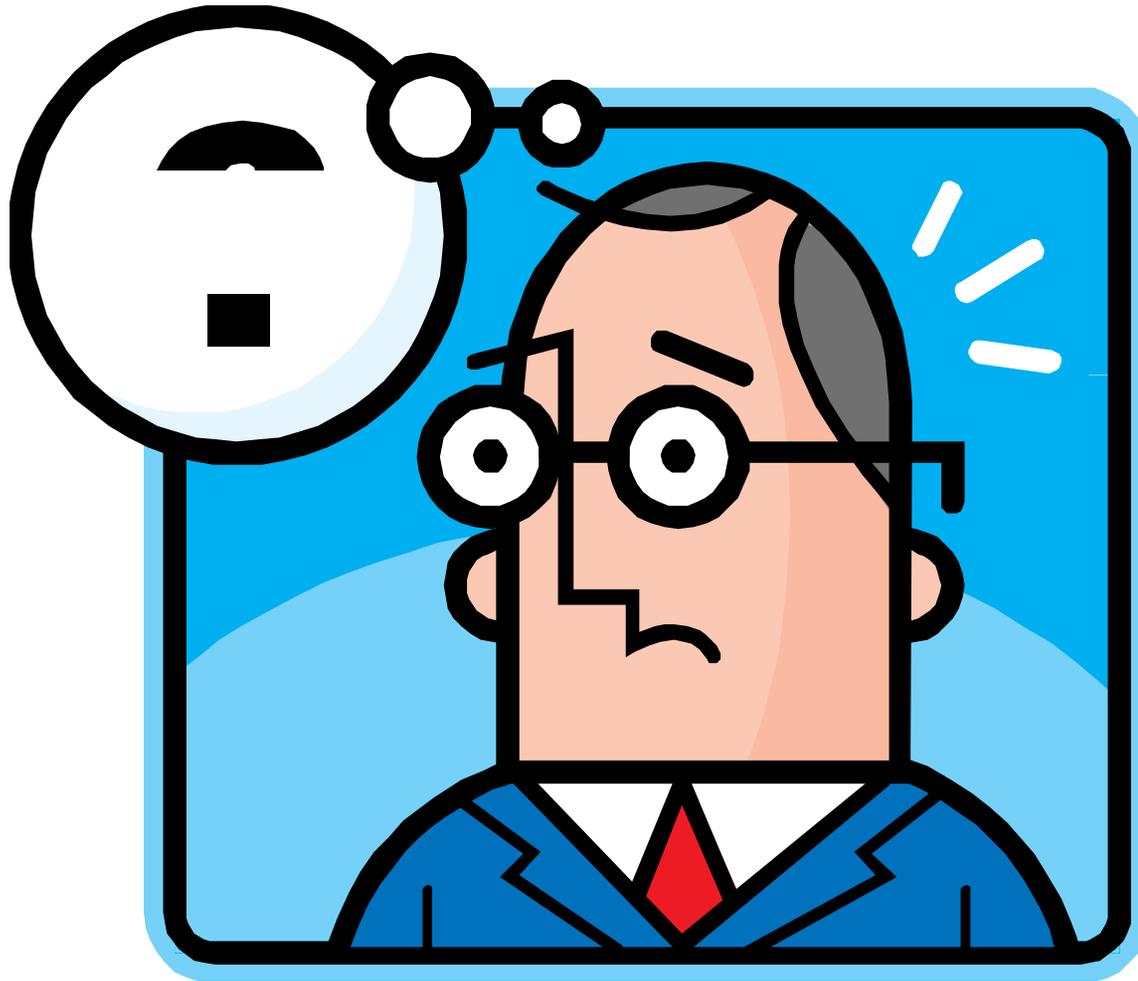
Take Home Messages

- Monitor NIH websites and Guides (<http://grants.nih.gov/grants/guide/>)
- Get to know Program Administrator; Contact them about:
 - Your Specific Training Needs
 - Changes to your Project
 - General Programmatic issues or concerns
- Get to know your Grants Management Specialists; Contact them about:
 - General budget or business related questions
 - Overall issues or concerns

GRANTS MGMT CONTACT INFORMATION

- Pamela Clark - (919) 541-7629
evans3@niehs.nih.gov
- Donald Ellis – (919) 541-1874
donaldellis@niehs.nih.gov
- Aaron Nicholas – (919) 541-7823
nicholaa@niehs.nih.gov
- Molly Puente – (919) 541-1373
puentem@niehs.nih.gov

Questions????





NIEHS

**National Institute of
Environmental Health Sciences**

Small Business Innovation Research (SBIR)

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WORKER EDUCATION AND TRAINING PROGRAM



SBIRs – The Basics

Program Description

- Set-aside program for small business concerns to engage in federal R&D - - with the potential for commercialization
- Comprised of about 2.5% of NIH's extramural research budget.

SBIR: 3-Phase Program

PHASE I

- Feasibility Study
- Generally 150K and 6-12 months



PHASE II

- Full Research/R&D
- \$1M and 2-Year Award



PHASE III

- Commercialization Stage
- Use of non-SBIR Funds





- SBA raises budget levels for SBIR awards
 - Phase I: \$100K to \$150K
 - Phase II: \$750K to \$1M

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-079.html>

SBIR Requirements (R43/R44)

- PI primarily employed by the SBC at least 51%
 - Don't confuse employment w/time and effort
 - PI employment is not negotiable
-
- Make sure everything is accurate before submission



Consortiums

- Phase I third party involvement
 - Normally NTE 33% of total award amount
 - Includes consultants & consortia
- May exceed 33% if requested, justified, approved by Reviewers , Program and Grants Management
- Firms should always follow NIH consortium requirements



SBIR Progress Report Procedures

- SBIR Grantees are now eligible to submit their Progress Report utilizing the Streamlined Non-Competing Award Process (SNAP)
- Can be submitted through the eRA Commons
<http://commons.era.nih.gov/commons/index.jsp>
- Hard copies must still be submitted on the PHS 2590 forms.
- Due date for SNAP Progress Reports is 45 days prior to end of budget period versus 60 days if submitting via hardcopy

Final Progress Report

- Phase I, intending to submit a Phase II application:
 - The Phase II application is considered the final progress report for Phase I.
 - The Phase II application must be submitted within six receipt dates of the end of Phase I (~2 years).
- Phase I, not intending to continue:
 - There is no “form” for the Final Progress Report.
 - Instructions on what should be included are in Section IV of your last Notice of Award.
- Phase II:
 - Only 1 Phase II grant can be funded from a Phase I award; “renewal” applications for Phase II are not accepted.
 - Follow the instructions in Section IV of your last Notice of Award.
- Final Progress Reports can be submitted as pdf files to the eRA Commons Closeout Module.

eRA Commons

The screenshot shows the eRA Commons website in a Windows Internet Explorer browser window. The address bar displays the URL <https://commons.era.nih.gov/commons/index.jsp>. The page header includes the eRA Commons logo, the text "Electronic Research Administration" and "Sponsored by National Institutes of Health", and the version number "Version 2.30.01". A navigation menu contains links for "Home", "Links", "eRA Partners", and "Help". A "Welcome Guest" message is visible in the top right corner, indicating the user is not affiliated with an institution.

What's NEW on the COMMONS

SYSTEM STATUS:

- All systems currently available
- **Scheduled Commons Maintenance:** For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).
- **Support:** Take advantage of our web support at [eRA Help Desk](#)
- **Electronic Submission:** Learn about the most frequent application errors at [Avoiding Common Errors](#).
- **IAR:** Please visit eRA [Reviewers Page](#) for information about basic reviewer tasks and to find answers to your questions (FAQs, IAR access, electronic scoring, submission of documents and other topics).

Commons Login

* indicates required field.

Username *

Password *

Login Reset

[Forgot Password/Unlock Account?](#)

System Notification

More Recent Features of Commons include:

- ◆ *****NEW*** Training and related appointments and terminations must be submitted via xTrain after January 1, 2011. Find further information at the [eRA xTrain page](#).**
- ◆ **eSNAP** - Allows an institution to review non-competing grant data and submit a progress report online.
- ◆ **Reference Letters:** To submit a reference letter when requested by an applicant, please follow this link: [Submit Reference Letter](#)
- ◆ **Internet Assisted Review (IAR)** - Allows reviewer to submit critiques and preliminary scores for applications they are reviewing. Allows Reviewers, SRAs, and GTAs to view all critiques in preparation for a meeting. IAR creates a preliminary summary statement body containing submitted critiques for the SRA or GTA.
- ◆ **Demo Facility** - [Demo Facility](#) allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

NIH Public Access Compliance Reports - Detailed reports of all manuscripts for your institution deposited in PubMed Central or still outstanding under the NIH Public Access Policy.

About the Commons

- ▶ [Scope and Purpose](#)
- ▶ [Frequently Asked Questions](#)
- ▶ [Grantee Organization Registration](#)
- ▶ [eRA Contacts](#)
- ▶ [Enter eRA NIH Commons Demo](#)

Links

- ▶ [RePORT](#)
- ▶ [eRA User Guides & Support](#)
- ▶ [Applying Electronically](#)
- ▶ [Grants.gov](#)
- ▶ [iEdison](#)
- ▶ [Loan Repayment Program](#)
- ▶ [National Institutes of Health](#)
- ▶ [Public Access Policy Page](#)

Local intranet | Protected Mode: Off | 150%

WORKER EDUCATION AND TRAINING PROGRAM

WHERE TO SUBMIT

Hard copies should be sent to the following:

NIH-DEAS-TYPE 5 Center

Attn: Lucy Rowser, Task Leader

6705 Rockledge Drive, (RKLI)

Room 2207, MSC 7987

Bethesda, MD 20817 (carrier/FEDEX)

20892 (regular mail)

Having Problems with NIH eRA Commons?

Contact Information:

eRA Commons helpdesk available at:

<http://era.nih.gov>

Email: commons@od.nih.gov

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

QUESTIONS???

