



WETP Awardee Meeting

Omni Shoreham Hotel

Washington, DC

June 10, 2013



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Grants Management

Business Breakout

Session



NIH Budget News

NIH Fiscal Policy for Grant Awards FY 2013

- NIH is still operating under a Continuing Resolution – **NOT-OD-13-002**
- FY 2013 Funding Levels - [NOT-OD-12-036](#)
 - Non-competing awards issued without cost of living/inflationary adjustments
- No Inflationary Increases for Future Years
- Overall effort to keep average size of grants consistent to the FY2012 levels or lower
- NIH Guide Notice issued May 8, 2013 at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-064.html>
- Commitments for continuation awards in FY 2014 and beyond are unknown at this time.
- **Additional Information:**
 - **Additional details on Fiscal Operations, including specific funding strategies for ICs are at <http://grants.nih.gov/grants/financial/index.htm>**

NIH Fiscal Policy for Grant Awards FY 2013

- No Stipend Increases for Kirschstein – NRSA Grants
- All FY 2012 legislative mandates and priorities remain in effect.
- Salary Limits: Continues with Executive Level II.
- Many of the funding principles used in FY2012 are being continued; details on IC funding plans still being finalized.
- New Investigators: NIH will continue to support new investigators on R01 equivalent awards at success rates equivalent to that of established investigators submitting new (Type 1) R01 equivalent applications.

American Recovery and Reinvestment Act of 2009 ARRA

- Timely Quarterly and Closeout Reports Required;
- Accelerating Unspent ARRA Awards
 - OMB Memorandum M-11-34 Issued 9/15/2011, directs agencies to assure ARRA funds are spent by 9/30/2013 and to “revise the terms of Recovery Act discretionary grant agreements, to the extent permitted by law, to provide for reclamation of funds that remain unspent after September 30, 2013, absent a waiver issued by OMB pursuant to this memorandum.”
 - **We continue to strongly encourage grantees to accelerate expenditures for all active ARRA grants regardless of the current or projected project period end date.**

Policy Updates

Revised NIH Grants Policy Statement

Effective 10/1/2012;

- Incorporates all policy changes implemented since the 10/1/2011 version;
- Other minor edits to clarify text based on user feedback;
- A summary of the significant changes
http://grants.nih.gov/grants/policy/nihgps_2012/Significant_Changes_NIHGPS_2012.doc

POLICY REMINDERS

2012 Revised FCOI Regulations

- 42 CFR Part 50 Subpart F (grants and cooperative agreements)
- 45 CFR Part 94 (contracts)

Revised Final Rule published on 8-25-11

- <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>

Compliance Date: August 24, 2012

Audit Requirements

All NIH Grantees that expend \$500,000 or more within a year in Federal awards are subject to an audit requirement.

- Audits are due within the earlier of 30 days after receipt of the auditor's report(s) or 9 months after the end of the grantee's audit period.
- Grantees delinquent in submitting audits risk the imposition of sanctions and potential loss of Federal funds.

Non-Competing Continuation Progress Reports

- Non-SNAP annual progress reports are due two months prior to the anniversary date (paper submission);
- SNAP progress reports (e-SNAP) are due 45 days prior to the anniversary date (electronically submitted through eRA Commons eSNAP Module);
- All grantees have access to a searchable list to determine which progress reports are due at: http://era.nih.gov/userreports/pr_due.cfm
- Failure to submit complete and timely progress reports may affect future funding to the organization!

Prior Approvals

- Prior Approval Requests must be submitted by an Authorized Institutional Signing Official to the NIEHS Grants Management Specialist.
- The following are some issues that require Prior Approval:
 - Deviations from Award Terms and Conditions (e.g. – changing consortium partners)
 - Carryover of Unobligated Balances
 - Change of Scope (e.g. – significant rebudgeting of > 25%; change in human subject activities)
 - Reduction of Effort by PI/Key Personnel by 25% or more
 - No-cost Extensions (beyond first 12 months)
- NIEHS tries to respond to all prior approval requests within 30 days of receiving all necessary information from the grantee.

Carryover Requests

- A carryover request should include the following:
 - A cover letter explaining why there is a balance, and what the intended use of funds is, countersigned by a Signing Official.
 - A detailed budget and budget justification for unobligated balance AND requested use of unobligated balance.
 - Levels of effort must be stated for all salary requests
 - Separate budget breakdowns should be provided for each subproject
 - Separate budget breakdowns should be provided for each consortium involved
 - A checklist page identifying any requested indirect costs
- It may be helpful for you to categorize your unobligated balance and request in the following budget tables.



TABLE 1: BUDGET PERIOD _____ UNOBLIGATED BALANCE ANALYSIS

Category	NGA Award Amount (NA)	Supplements, if applicable (S)	Prior Years Carry-Over (PCO)	Total Awarded (NA+S+PCO)	Total Expenditure	Unobligated Balance	Explanation of Unobligated Balance
Salaries				\$ -		\$ -	
Fringe Benefits				\$ -		\$ -	
Total Personnel	\$0	\$0	\$0	\$0	\$0	\$0	
Consultant				\$ -		\$ -	
Equipment				\$ -		\$ -	
Supplies				\$ -		\$ -	
Travel				\$ -		\$ -	
Other				\$ -		\$ -	
Consortium A				\$ -		\$ -	
Consortium B				\$ -		\$ -	
Consortium C				\$ -		\$ -	
Consortium D				\$ -		\$ -	
Total Consortium	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Total Direct Cost	\$0	\$0	\$0	\$0	\$0	\$0	
List F&A Rate							
List Base							
Indirect Cost	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
TOTAL	\$0	\$0	\$0	\$0	\$0	\$0	



TABLE 2: PROPOSED BUDGET FOR CARRYOVER OF UNOBLIGATED BALANCE
FROM BUDGET PERIOD ____ TO BUDGET PERIOD ____

Category	Amount
Salaries & Wages	
Fringe	
Personnel	\$ -
Consultants	\$
Equipment	\$ -
Supplies	\$
Travel	\$
Other	\$
Consortium Cost	\$ -
Total Direct Costs	\$ -
Indirect Cost	\$ -
list F&A rate & base in box below	
TOTAL	\$ -

formulas

Justification/Explanation

Reasons why Carryover Requests are Rejected:

1. The prior year Federal Financial Report (FFR) must be received and approved by NIH first.
2. The request was not signed by an authorized institutional signing official.
3. Requested costs appear to duplicate costs in the current year's award (e.g. extra salary for someone already at 12 months of effort).
4. All carryover funds must be spent in the budget period they are requested (so get your requests in early!)
5. Carryover funds must be within the currently approved scope of the grant.
6. Carryover requests should only reflect immediate needs (therefore, try to avoid salary for "TBN" positions).



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	
(Use lines a-c for single or multiple grant reporting)						
Federal Cash (To report multiple grants, also use FFR Attachment):						
a. Cash Receipts						
b. Cash Disbursements						
c. Cash on Hand (line a minus b)						
(Use lines d-o for single grant reporting)						
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: 0348-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are 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 0348-0061. 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 the 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 (0348-0060), Washington, DC 20503.



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Questions?