

WTP Awardee Meeting
NIEHS
October 6, 2014
Pamela Clark
BUSINESS BREAKOUT SESSION



Overview items to be discussed in the Business Breakout Session

- Final FFRs due – 12/31/2014 or sooner
- Carryover of Unobligated Balances
Request Timeline
- Program Income
- Close-out Process
- Changes in GMB

Budget News!!

- All 2014 Non-competing awards have been issued!
 - HWWT/HDPT/MWT
 - DOE

Electronic NoA have been sent.

FY 2015 Fiscal Policies have not been received (Still operating on FY 2014 Policies.

- No Continuing Resolution
- No Revised/Updated NIH Grants Policy Statement



FFR's are due on or before 12/31/2014

Federal Financial Report

[Back to Search Result](#) [FFR/FSR New Search](#)

CAS Information																																			
Long Form																																			
<input type="button" value="Save"/> <input type="button" value="Accept"/> <input type="button" value="Reject"/> <input type="button" value="Cancel"/>		Unexpended Balance from Prior Project Period		1,728,823.00																															
1. Federal Agency and Organizational Element to Which Report is Submitted NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM				2. Federal Grant or Other Identifying Number																															
3. Recipient Organization (Name and complete address, including ZIP code) UNIVERSITY OF PENNSYLVANIA Office of Research Services 3451 Walnut Street P-221 Franklin Building PHILADELPHIA PA 19104				4a. DUNS Number		4b. Employer Identification Number (To report multiple grants, use FFR Attachment) <input type="button" value="Attachment"/>																													
				5. Recipient Account Number or Identifying Number		7. Basis of Accounting <input type="radio"/> Annual <input checked="" type="radio"/> Final <input type="radio"/> Cash <input type="radio"/> Accrual																													
6. Report Type <input type="radio"/> Quarterly <input type="radio"/> Semi-Annual				9. Reporting Period End Date 01/31/2010																															
8. Funding/Grant Period From 12/01/1999 To 01/31/2010				10. Transactions: Cumulative																															
(Use lines a-o 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						3,457,646.00																													
e. Federal share of expenditures						0.00																													
f. Federal share of unliquidated obligations						0.00																													
g. Total Federal Share (sum lines e and f)						0.00																													
h. Unobligated balance of Federal funds (line d minus g)						3,457,646.00																													
Recipient Share:																																			
i. Total recipient share required						0.00																													
j. Recipient share of expenditures						0.00																													
k. Remaining recipient share to be provided (line i minus j)						0.00																													
Program Income:																																			
l. Total Federal program income earned						0.00																													
m. Program income expended in accordance with the deduction alternative						0.00																													
n. Program income expended in accordance with the addition alternative						0.00																													
o. Unexpended program income (line l minus line m or line n)						0.00																													
11. Indirect Expense:																																			
Indirect Expense Entry																																			
<table border="1"> <thead> <tr> <th>a. Type</th> <th>b. Rate</th> <th>c. Period From</th> <th>Period To</th> <th>d. Base</th> <th>e. Amount Charged</th> <th>f. Federal Share</th> </tr> </thead> <tbody> <tr> <td>Predetermined</td> <td>2.00</td> <td>01/01/2010</td> <td>01/02/2010</td> <td>3.00</td> <td>0.06</td> <td>0.06</td> </tr> <tr> <td>Predetermined</td> <td>1.00</td> <td>01/01/2010</td> <td>01/02/2010</td> <td>3.00</td> <td>0.03</td> <td>0.03</td> </tr> <tr> <td colspan="4">g. Totals:</td> <td>6.00</td> <td>0.09</td> <td>0.09</td> </tr> </tbody> </table>								a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share	Predetermined	2.00	01/01/2010	01/02/2010	3.00	0.06	0.06	Predetermined	1.00	01/01/2010	01/02/2010	3.00	0.03	0.03	g. Totals:				6.00	0.09	0.09
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g. Totals:				6.00	0.09	0.09																													
12. Remarks: Testing 1 2 3																																			
Carryover Request 0.00																																			
13. Authorized Official		13a. Name * test		13c. Telephone		13e. Date Report Submitted * (MM/DD/YYYY) 06/23/2010																													
		13b. Title		13d. Email Address																															
14. Approved by		Name		Date Report Accepted																															

Carryover of Unobligated Balances (UOB)

- Requires NIEHS Prior Approval
- Requests should be sent to the NIEHS Program Official and Grants Management Specialist “**ON OR BEFORE 02/28/2015**”
- Should come from the Business/Signing Official in writing via email or in letter format.
- Request should include a clear explanation why there is a balance and what the intended use of funds is.
- A Checklist Page identifying any requested indirect costs
- Detailed budget and budget justification for uob.
 - Tables 1 and 2 should accompany the request!!
 - Table 1 – An Analysis of the unobligated balance for a specified budget period.
 - Table 2 – Proposed budget for the carryover funds

TABLE 1: BUDGET PERIOD _____ UNOBLIGATED BALANCE ANALYSIS

Category	NGA Award Amount (NA)	Supplements, if applicable (\$)	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).

Additional Prior Approval Actions:

In addition to the Carryover Request, the following will more than likely be approved in this final Budget Year:

- Change in Key Personnel (if named on Notice of Award)
- No Cost Extension (beyond first 12 mnths)
- Reduction in Effort by PI/Key Personnel by 25% or more

The following requests are not likely to be approved in this final Budget Year:

- Change in Scope
- Change in Grantee Organization
- Administrative Supplement - **only if it is Program initiated or if a national disaster occurs resulting in emergency need for “Additional NIH Funding” for the affected area.**

Program Income

Per the Grants Policy Statement 8.3.2, “Program Income may be used only for allowable costs in accordance with the applicable cost principles” and terms and conditions of the Notice of Award.

NIH applies the Program Income Additive Alternative to all grantees, including for-profit entities unless there is a concern with the recipient or activity or the program requires a different alternative. For use of Program Income, Additive Alternative states: “Added to funds committed to the project or program and used to further eligible project or program objectives.”

http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch8.htm#

Closeout: Final Reports:

Grantees should submit closeout documents electronically through the eRA Commons!

- Failure to submit timely reports may affect future funding to the organization;
- Documents are due within 90 days of project period end date:
 - Final Federal Financial Report (FFR) SF-425 Expenditure Data (submitted through eRA Commons);
 - Final Inventions Statement & Certification;
 - Final Progress Report;
- Grantees must ensure there are no discrepancies between the final FFR expenditure data (in eRA Commons) and the FFR cash transaction data in the Payment Management System.

Closeout : NIH Centralized Processing Center

- Centralized office accepts receipt of all non-financial, paper-based closeout documents;
 - Final Progress Report;
 - Final Invention Statement and Certification.
- If not using eRA Commons Closeout Module, mail closeout documents to the Central NIH unit at:

NIH Centralized Processing Center
6705 Rockledge Drive, Room 2207, MSC 7987
Bethesda, MD 20892-7987 (for regular or US Postal Service
Express mail)
Bethesda, MD 20817 (for other courier/express mail only)

Hurricane Sandy Supplement Reporting

- **Timely Quarterly and Closeout Reports Required;**
- **Accelerating Unspent Sandy Supplement funds.**
 - We continue to strongly encourage grantees to accelerate expenditures for all active Hurricane Sandy Supplements regardless of the current or projected project period end date.
 - Notice of Annual Reporting requirements and Revised financial closeout requirements for NIH Administrative Supplements Awarded to Recover Losses due to Hurricane Sandy under the Disaster Relief Appropriations Act (DRAA)

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-112.html>

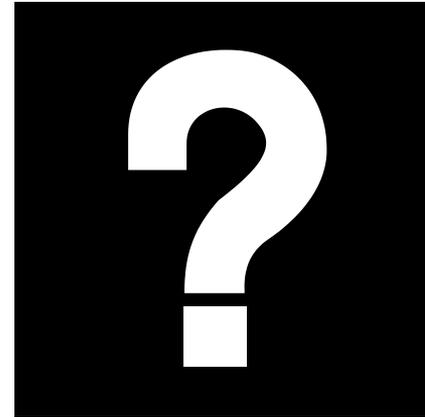
Reminder: OMB Circular A-133 Audit Requirement!

- **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.**



Grantee Type	Source of Audit Requirement	Where to Submit Audit Reports
State & Local Governments	OMB Circular A-133 45 CFR Part 74.26	<p>Online to: http://harvester.census.gov/fac/collect/ddeindex.html</p> <p>Questions: 1-800-253-0696</p>
Colleges & Universities		
Non-Profits		
Hospitals		
For-Profits	45 CFR Part 74.26 (d)	<p>HHS Office of Inspector General HHS Office of Audit Services National External Audit Review Center 1100 Walnut Street, Suite 850 Kansas City, MO 64106-2197 Phone: 800-732-0679/816-426-7720</p>
Foreign	NIH GPS, uses 45 CFR Part 74.26(d)	(same as For-Profits)

Changes in Grants Management



Don's replacement

**Pam will be the POC for
all Grants Management
Inquiries!**

evans3@niehs.nih.gov

Questions??

