



WTP Grantee Meeting

BUSINESS BREAKOUT SESSION

September 28, 2015

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Grants Management Branch

Division of Extramural Research & Training

National Institute of Environmental Health Sciences



So you got funded....What's Next?

What's Due...When is it Due...Where Do I send it?

Things you need to know!

- Budget News, Policy Updates and Reminders
- RPPR Progress Report Submission
- Audit Requirements
- Prior Approval Requirements
- Carryover Requirements
- FFR
- Program Income
- Hurricane Sandy Supplements
- eRA Commons

I Got Funded





Budget News Policy Updates

Budget News!!

- FY 2015 Fiscal Policies:
 - Salary Cap Limitation – Executive Level II - \$183,300
 - All Renewal Competing Awards have been made:
 - Hazardous Waste
 - DOE
 - Updated NIH Grants Policy Statement - effective **03/31/2015** for all grants and Cooperative Agreements with budget periods beginning on or after 12/26/2014
 - Updated NIHGPS can be found at:
 - <http://grants.nih.gov/grants/policy/policy.htm#gps>
 - The NIHGPS supersedes the NIH Implementation of Uniform Guidance issued on **02/05/2015**.



New Biographical Sketch

- NIH and AHRQ (Agency for Healthcare Research and Quality) encourage applicants to use the newly published biosketch format for all grant and cooperative agreement applications submitted for due dates on or after January 25, 2015, and will require use of the new format for applications submitted for due dates on or after May 25, 2015.
- The revised forms and instructions are now available and adjustments have been made to improve their usability. The following are some of the features of the new format;
 - Extends the page limit from four to five pages
 - Investigators can outline the central findings of prior work and the influence of those findings on the investigator's field work
 - Investigators involved in Team Science are provided the opportunity to describe their specific role(s) in the work

See [NOT-OD-15-032](#) for additional information

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-032.html>

Upcoming Changes: NIH Implementation of Dual Use Research of Concern (DURC)

- **Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern issued on September 24, 2014**
 - **Applies to all New and Renewal awards issued on applications submitted on or after January 25, 2015, and to all non-competing continuation awards issued on or after January 25, 2015.**
 - **Institutions have one year (until September 24, 2015) to establish the necessary infrastructure to come into full compliance with this policy.**

See [NOT-OD-15-017](#) for more information

iEdison Requirement

- **Grantees must report inventions electronically through iEdison (Interagency Edison).**
 - **Allows government grantees and contractors to report government-funded inventions, patents, and utilization data to the agency that made the award.**
 - **Helps grantees comply with the federal law, Bayh-Dole Act**
 - **NIH's electronic invention reporting System**
<https://era.nih.gov/iedison/iedison>
- **iEdison reports submitted by fax, mail, drop offs, etc. will not be accepted.**

For details see [NOT-OD-15-080](#)



NIH/AHRQ Policy for Application Submission

- **Reminder that the basic requirements for allowable applications have not changed with the updated NIH/AHRQ policy on application submission.**
- **Investigators now may submit a New Application, following an unsuccessful application, without concern for scientific overlap with previously reviewed applications.**
- **A New Application that does not conform to the rules for a New Application will not be reviewed and will not be considered for funding.**

More at [NOT-OD-15-059](https://www.fda.gov/oc/ohrt/2015-05-15-not-od-15-059)



Policy Reminders



Individual Development Plans (IDPs)

- As of October 1, 2014, grantees are required to report on the use of IDPs with RPPR submissions
 - **Grantees must include a report on the use of IDPs in Accomplishments, Question B.4 for all grad students & postdocs reported in Section D. List of Participants.**
- **IDPs are not mandatory, grantees are encouraged to develop as part of training program**
- Do not include the actual IDP; instead report whether or not IDPs are used to help manage the training for these individuals

See [NOT-OD-14-113](#) for details.

Genomic Data Sharing Policy

- Reminder that the NIH Genomic Data Sharing Policy became effective with NIH grant applications submitted for January 25, 2015, due dates and thereafter.
- The new GDS Policy promotes sharing for research purposes of large scale genomic data generated by NIH funded research.
 - Includes human, non-human, and model organism data

See [NOT-OD-15-027](#) for reminder.



PMS Subaccounts – Revised Implementation Timeline FY 2016

➤ **October 1, 2015 – September 30, 2016**

- NIH will continue transitioning payment for all domestic awards with document numbers from PMS pooled accounts (G accounts) to PMS Subaccounts in response to a U.S. Department of Health and Human Services (HHS) directive to Agencies.
- To enhance financial data integrity and financial closeout for all awards.
- Competing Awards
 - NIH will continue to award all new funding to subaccounts
- Type 3 Awards
 - Beginning October 1, 2015, all type 3 funding will be awarded to subaccounts regardless of parent award account type
- Type 5 Awards
 - Beginning October 1, 2015, NIH will use an administrative process to transition all non-competing awards to P subaccounts

➤ **September 30, 2016 – All awards transitioned to subaccounts.**



PMS Subaccounts – Implementation Type 5 funding

Beginning October 1, 2015

- No change in grantee progress report submission
- NIH will award type 4s to transition funding to subaccounts
- Grantees will submit Subaccount Transitional Federal Financial Reports (FFRs)
 - Subaccount Transitional FFRs may include unliquidated obligations
- See [NOT-OD-14-103](#) for detailed transition steps
- [Grants.nih.gov/grants/payments/faqs.htm](https://grants.nih.gov/grants/payments/faqs.htm)

NIH FCOI Implementation Updates and Activities

- Financial Conflict of Interest exists when the recipient's designated official determines that an investigator's significant financial interest could directly affect the conduct or reporting of the PHS-funded research.
- NIH Proactive FCOI Compliance Oversight Program - NIH Guide [NOT-OD-12-159](#)
 - Assess institutional compliance with the 2011 revised FCOI regulation (42 CFR Part 50 Subpart F) and policy development **(SBIR/STTR applicants and recipients are excluded)**.
 - The FCOI Compliance Program will continue during FY 2015
 - FAQs (continually updating)

FCOI Resources

➤ Mailbox for inquiries

- FCOICompliance@mail.nih.gov

➤ OER FCOI Web Site

- <http://grants.nih.gov/grants/policy/coi/>

➤ FCOI FAQs

http://grants.nih.gov/grants/policy/coi/coi_faqs.htm



Research Performance Progress Report (RPPR)

- As of October 17, 2014, NIH requires grantees to submit all type 5 progress reports using the RPPR module in eRA Commons.
- Annual progress reports submitted in any format other than the RPPR **will not be processed by the NIH** and will require resubmission through the RPPR.

More at [NOT-OD-15-014](#)

RPPR Progress Reports

- Failure to submit complete and timely progress reports may affect future funding to the organization
- Non-SNAP annual progress reports are due the 1st of the month preceding the month in which the budget period ends
- SNAP progress reports are due the 15th of the month preceding the month in which the budget ends (electronic submission RPPR only as of 5/15 due date)
- Multi-year funded progress reports are due on the anniversary of the budget/project period start date of the award (electronic submission RPPR only)
- Searchable list to determine which progress reports are due:
<https://public.era.nih.gov/chl/public/search/progressReportByIpf.era>

- **RPPR Webpage:**
<http://grants.nih.gov/grants/rppr/>
- Includes links to
 - RPPR Application Guide
 - RPPR Guide Notices
 - Frequently Asked Questions
 - Training
 - Contacts

Audit Requirements

All NIH Grantees that expend \$750,000 or more within a year in Federal awards are subject to an audit requirement.

- **Applicable to Non-Federal Entity Fiscal Years Beginning on or after 12/26/2014**

- **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**



Summary of Audit Requirements

Recipient Type	Source of Audit Requirement (Non-Federal Entity Fiscal Years Beginning <i>Prior</i> to 12/26/2014)	Source of Audit Requirement (Non-Federal Entity Fiscal Years Beginning <i>On/After</i> 12/26/2014)	Where to Submit Audit Reports
State & Local Governments	OMB Circular A-133	45 CFR 75.501	Federal Audit Clearinghouse (See contact information in NIH GPS Part III)
Institutions of Higher Education	OMB Circular A-133	45 CFR 75.501	Federal Audit Clearinghouse (See contact information in NIH GPS Part III)
Non-Profits, including non-profit hospitals	OMB Circular A-133	45 CFR 75.501	Federal Audit Clearinghouse (See contact information in NIH GPS Part III)
For-Profits, including for-profit hospitals	45 CFR 74.26(d)	45 CFR 75.501(h) through 75.501(k) and 45 CFR 75.215	National External Audit Review Center (See contact information in NIH GPS Part III)
Foreign Organizations	<u>NIH Grants Policy Statement</u> (same as For-Profits)	<u>NIH Grants Policy Statement</u> (same as For-Profits)	National External Audit Review Center (same as For-Profits, see contact information in NIH GPS Part III)



Requests Requiring Prior Approval

- **Key Personnel Changes**
- **Reduction in Effort by PI/Key Personnel by 25% or more**
- **Minor Program/Training Changes (through end of budget period)**

Requests can be sent via email to the GMS and PO

Must be signed by the Business/Signing Official



CARRYOVER REQUESTS!!

Carryover of Unobligated Balances (UOB)

- Requests should be sent to the NIEHS Program Official and Grants Management Specialist “**ON OR BEFORE 03/31/2016**”
- 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



FEDERAL FINANCIAL REPORT (FFR)

DUE: 90 days after the end of your budget quarter.

**Sample: grants ending 07/31 and 08/31 FFR is due
Annually on or before December 31st.**

**Where to submit: Electronically in the eRA Commons at
<https://commons.era.nih.gov/commons/>**

Program Income

- **Gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 45 CFR 75.307(f).**
 - Includes income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds.
 - **Interest earned on advances of Federal funds is not program income.**
 - does not include rebates, credits, discounts, and interest earned on any of them.

Program Income.....Continued

- **NOTE: Program income from license fees and royalties from copyrighted material, patents, and inventions is exempt from reporting requirements unless otherwise specified in the terms and conditions of award.**
- **Reporting Program Income:**
 - **The amount of program income earned and the amount expended must be reported on the FFR.**

Hurricane Sandy Supplement Reporting

- **8th and Final Quarterly Reporting is complete!**
- **Unspent Hurricane Sandy Supplement funds will be returned to the U. S. Treasury.**
- **Timely Closeout is required;**



Update on Electronic Submission & eRA Commons

Tips for eSubmission Success

- Update Update Update

- Learn more about choosing the correct forms packages at:

http://grants.nih.gov/grants/ElectronicReceipt/files/right_forms.pdf.

- System for Award Management (SAM) information must be updated at least every 12 months to remain active.
- See [NOT-OD-13-054](#) Reminder of NIH Policy on System Issues that Threaten On-Time Grant Application Submission

<https://www.sam.gov/portal/public/SAM>



NIH eRA Commons

eRa Commons site

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

**Having Problems with submissions...contact the
Commons Helpdesk at <http://era.nih.gov>**

Email: commons@od.nih.gov

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

Questions??

