



National Institute of Environmental Health Sciences  
*Your Environment. Your Health.*



# WTP Fall Awardee Meeting

**September 19, 2016**

**Pamela Clark**

**Business Breakout Session**

**Grants Management Branch  
Division of Extramural Research and Training  
National Institute of Environmental Health Sciences**



# Overview

- **Welcome to New Grantees to the Worker Training Program**
  - ❖ Duke University, University of Alabama at Birmingham, Emory University
- **Policy Updates**
  - ❖ Salary Cap
  - ❖ FAPIIS
  - ❖ New Biographical Sketch
  - ❖ NIH Natural Disaster Policy – Flooding in Louisiana
- **SNAP versus Non SNAP**
- **RPPR 101 - The Process / Format**
- **Prior Approval Reminders**
  - ❖ Carryover Requests
  - ❖ PI/Key Personnel Changes
- **Supplement Reporting....Submission Reminder**

# Budget News!!

## ➤ FY 2016

### ➤ Salary Cap Limitation on NIH Grants and Cooperative Agreements

- ❖ Limited to Executive Level II – Set at \$185,100 effective **January 10, 2016**. See **NOT-OD-16-059** <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-059.htm>

### ➤ Implementation of Federal Awardee Performance and Integrity Information System (FAPIIS) Requirements

- ❖ Issued **February 22, 2016** – This notice informs research community of implementation of this requirement for all NIH grants and cooperative agreement awards, excluding fellowships. NIH officials are now using information in the Federal Awardee Performance and Integrity Information System (FAPIIS) as part of the risk assessment process for making grant awards. Grantees with more than \$10m in awards from all federal agencies must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award. See **NOT-OD-16-067** <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-067.html>

## Budget News....continued

### ➤ Clarification and Consolidated Biosketch Instructions and Format Pages- Guide Notice

- ❖ Issued **March 23, 2016** – This notice informs the research community that the biosketch instructions and format pages have been updated. See NOT-OD-16-080 <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-080.html>

### ➤ Natural Disaster Policy

- ❖ Issued **August 19, 2016** – This policy resulted in NIH recognizing some Applicant Organizations being closed and could not submit applications due to the Louisiana flooding. See NOT-OD-16-135 <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-135.html>

# SNAP vs “NON”-SNAP

## What is SNAP as it applies to the RPPR??

- **Streamline Non-Competing Award Process** - GPS Section 8.4.1.2
  - ❖ Streamlined process includes provisions that modify annual progress reports, NoAs, and financial reports.
  - ❖ Funds are automatically carried over and are available for expenditure during the entire project period.
  - ❖ NIH **award notices** identify whether the grant is subject to or **excluded from SNAP**
  - ❖ SNAP Applies to “K” awards, “R” awards except R35s
- **Non-SNAP Awards that are Excluded from SNAP Process**
  - ❖ Grantee **does not** have the authority to automatically carry over unobligated funds
  - ❖ **Cooperative Agreements**, Centers, NRSA Training Grants, SBIR and STTR Phase I
  - ❖ Clinical Trials (regardless of activity code)

## RPPR Process

### Research Performance Progress Report (RPPR)

- **ALL** NIH Grantees are required to use the RPPR- Progress Reports submitted in any other format will not be processed by NIH. **See NOT-OD-15-014**
- Submitted through the eRA Commons, link accessed through the Commons Status tab.
- Only the **Project Director/Principal Investigator (PD/PI)** or their delegate **can initiate the RPPR**. For Multi-PI grants, the Contact PI or his or her delegate only).
- **Signing Officials must submit the RPPR.**
- **Non-SNAP RPPRs are due 60 days before the next grant year budget period start date.**
  - ❖ Ex. HWWTP – 06/01/2017 - DOE – 07/01/2017 - **EBOLA – 04/01/2017 - New**

**NOTE: (Requirements by Program (DMS) are not a part of the standard RPPR Process)**



## RPPR Process....continued

### ➤ The RPPR requests various types of information, including:

- ❖ Accomplishments/Progress
- ❖ Products (publications, technologies, inventions, etc.)
- ❖ Participants and Other Collaborating Organizations
- ❖ Impact
- ❖ Changes/Problems (changes that may have a significant impact on statement of work or expenditures, human subjects)
- ❖ Budget/Justification Information (Items are also required on the Consortia Organization.)



## RPPR Format

- A. Overall Cover Page / Face Page
- B. Overall Accomplishments – This is also the section where Grantees should upload additional information regarding the progress as addressed in Section B.
- C. Overall Products – Publications, Inventions, Patents, Licenses, Resource Sharing.
- D. Overall Participants – Formerly the “All Personnel List” in the 2590 format. – Anyone performing 1 calendar month or more should be listed here.
  - ❖ Personnel Updates, Level of effort, Senior/Key Personnel changes, Multi-PI Leadership Plan, etc.

**PLEASE NOTE: Other Support of all Key Personnel listed on the NoA is to be reported ONLY IF THERE ARE CHANGES.**

## RPPR Format.....continued

- E. Overall Impact
- F. Overall Changes – Changes in approach, Anticipated challenges or delays, significant changes, Animal Research, Biohazards, etc.
- G. Overall Special Reporting Requirements – NoA Reporting, Human Subjects Research, Responsible Conduct of Research, Performance Sites, **Estimated Unobligated Balance, Program Income**, etc.
- H. Overall Budget – Research & Related (R&R) Budget
  - ❖ **Parent and Consortium**
  - ❖ Sections A-K
  - ❖ Justification(s)

## RPPR Reminders.....

- If your award was not issued under the Streamlined Non-Competing Award Process (SNAP), a detail budget must be included in the RPPR (Parent and Consortium).
- PHS 398 Budget Pages will not be accepted with the RPPR submission.
- RPPR for this Project is always due 60 days prior to the start of the new performance period.
- Only PDF files may be uploaded, and the maximum size per PDF is 6 MB. The only location in the RPPR where multiple PDFs inn response to one question is G.1 – Special Notice of Award and Funding Opportunities...

<http://grants.nih.gov/grants/rppr/faqs.htm#3868> – Frequently Asked Questions



# PHS 2590/RPPR OTHER SUPPORT FORMAT PAGE

Submit other support for all new senior/key personnel, and updated other support for all senior/key personnel for whom there has been a change since the last reporting period.

Provide only active support for all new senior/key personnel. Provide updated other supported for all senior/key personnel for whom there has been a change in other support. If a previously active grant has terminated and/or if a previously pending grant is now active, update by annotating accordingly.

**Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards.** Training awards, prizes, or gifts do not need to be included. Effort devoted to projects must be reported in person months; indicate calendar, academic, and/or summer months associated with each project.

<b>NAME OF INDIVIDUAL ACTIVE/INACTIVE</b>		
Project Number or Name (PD/PI name) Source of Support Title of Project or Subproject	Dates of Approved/Proposed Project Annual Direct Costs	Person Months  (Calendar/Academic/ Summer)
The major goals of this project are...		
<u>OVERLAP</u> (summarized for each individual)		

### Examples

#### NEW SENIOR/KEY PERSONNEL (D.2.b)

**BENNETT, P.**

ACTIVE

5 R01 HG 000000-07 (Daumier)

NIH/NHGRI

Identification of the Risk Factor Genes for Alzheimer's Disease

3/1/2009 – 2/28/2018

\$196,639

3.6 calendar

The major goals of this project are to identify of new Alzheimer's disease genes and predicting Alzheimer's disease.

OVERLAP No Overlap

**RICHARDS, L.**

No Other Support

## WHEN IS IT DUE???

### ➤ Hazardous Waste and DOE Grantees

- Federal Financial Reports are due on or before 12/31/2016 – **Hazardous Waste and DOE Projects**
- Carryover Requests are due on or before 03/01/2017

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### ➤ **NEW AWARDEES! Ebola UH4**

- Federal Financial Reports for the **EBOLA Competing projects** Awarded with 06/01/2016 Start Dates are due on or before 09/30/2017
- Carryover Requests will be due on or before 12/01/2017

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- Non-SNAP RPPRs are due 60 days before the next grant year budget period start date.

❖ Ex. HWWTP – 06/01/2017 - DOE – 07/01/2017 - **EBOLA** – 04/01/2017 - **New**

# Carryover Requests!!

## ➤ Carryover of Unobligated Balances (UOB)

- ❖ 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

## PRIOR APPROVAL REMINDERS.....

- **Principal Investigator (PI)/Key Personnel (KP) Changes**
  - ❖ Should always be in writing **from** Parent Organization
  - ❖ Sent via Organization Letter or Email from Authorized SO
  - ❖ Grant Number and PI name should be stated in Subject Line.
  - ❖ Should include Biosketch(es) and Other Support of new personnel.
  
- **This process also applies to the Consortium/Subawardee; however, those requests should be addressed/routed through the Parent Organization.**

# Supplement Reporting

- Administrative
- Ebola Virus
- Flint Water Contamination
- Louisiana Flooding
- No funding yet for Zika





## Reminder.....Supplement Submissions

- **Preferred Method is through Grants.gov**
- [adminsupsupplements@niehs.nih.gov](mailto:adminsupsupplements@niehs.nih.gov)
- **PHS 398 Budget Format**
  - Cover Letter (**optional**)
  - Signed Face Page
  - Budget Pages
  - Justification
  - Checklist Page
  - Training or Course Related Information

## Other Requirements

### ➤ Reporting Program Income

- ❖ Should still be reported on your FFR as well as on your RPPR.
- ❖ Requests to utilize Program Income should be submitted to the NIEHS PO and GMS.

### ➤ Audit Requirements

- ❖ Grantees that expend **\$750,000** (increased from \$500,000) or more within a year in total Federal Awards are subject to A-133 audit requirement. They are to be reported as previously done.

# Grants Management Contacts

George Tucker [tuckerg@niehs.nih.gov](mailto:tuckerg@niehs.nih.gov), Chief, GMO

Lisa A. Edwards [archer@niehs.nih.gov](mailto:archer@niehs.nih.gov), Supervisor, GMO

Pamela B. Clark [evans3@niehs.nih.gov](mailto:evans3@niehs.nih.gov), GMO