



National Institute of
Environmental Health Sciences
Worker Training Program

Ensuring Up-to-Date Guidance:

Revising the NIEHS Minimum Health and Safety Training Criteria

OCTOBER 16–18, 2017 | Research Triangle Park, North Carolina



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WTP Fall Awardee Meeting

Pamela Clark

October 16, 2017

4:00 p.m. – 5:00 p.m.

Business Breakout Session

Grants Management Branch

Division of Extramural Research and Training

National Institute of Environmental Health Sciences



Overview

➤ Introduction of New GMB Staff

➤ Policy Updates

- ❖ Salary Cap
- ❖ Natural Disaster Policy
- ❖ CR
- ❖ Policy Specific to Hurricane Maria

➤ RPPR Reminders

- ❖ Process
- ❖ Format

➤ Prior Approval Reminders

➤ Due Dates Reminders

- ❖ FFR
- ❖ Carryover Request



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Introduction of New GMB Staff



Bryann Benton
Grants Management Officer



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Policy Updates

- **Revision: Guidance on Salary Limitation for Grants and Cooperative Agreements**
 - ❖ Issued **July 3, 2017** – Limited to Executive Level II – Set at \$187,000 from previous \$185,100 – **See Guide Notice:** NOT-OD-17-087 - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-087.html>

- **Reminder: NIH Natural Disaster Policy – Hurricane Irma**
 - ❖ Issued **September 14, 2017** – Notice informs research community that NIH will consider accepting late applications on a case-by-case basis due to a natural disaster. **See Guide Notice:** NOT-OD-17-113 - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-113.html>

- **NIH Operating Under a Continuing Resolution Through December 8, 2017**
 - ❖ Issued **October 2, 2017** – NIH is still operating under the Continuing Appropriations Act, 2018 and Supplemental Appropriations for Disaster Relief Requirements Act, 2017 until December 8, 2017. **See Guide Notice:** NOT-OD-17-124 - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-124.html>

- **Application and Report Submission Flexibilities Available to Institutions Impacted by Hurricane Maria**
 - ❖ Issued **October 3, 2017** – This notice informs the research community that NIH is deeply concerned about the health and safety of people and animals and about the biomedical enterprise in the areas affected by Hurricane Maria. Due to the impact of the storm NIH assures the grantee community that NIH will do their part to help them continue their research. **See Guide Notice:** NOT-OD-18-002 - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-002.html>



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RPPRProcess

Annual Research Performance Progress Report (RPPR) - <https://grants.nih.gov/grants/rppr/index.htm>

- **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 – RPPR Module - <https://era.nih.gov/erahelp/commons/#Commons/rppr/rppr.htm>**
- **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. EBOLA – 04/01/2018 - HWWTP – 06/01/2018 - DOE – 07/01/2018**

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



RPPRProcess continued

➤ Parts of the RPPR

- ❖ A. Overall Cover Page
- ❖ B. Overall Accomplishments/Progress
- ❖ C. Overall Products (publications, technologies, inventions, etc.)
- ❖ **D. Overall Participants** (and Other Collaborating Organizations)
- ❖ E. Overall Impact (on development of Human, Physical, Institutional or Informational Resources)
- ❖ F. Overall Changes/Problems (changes that may have a significant impact on statement of work or expenditures, human subjects)
- ❖ G. Overall Special Reporting Requirements
- ❖ **H. Overall Budget** (Justification Information Items are also required on the Component/Consortia Organization.)



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D. Participants

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research
Grant List Manage RPPR
A Cover Page B Accomplishments C Products D Participants E Impact F Changes G Special Reporting Req H Budget I Outcomes

D. Participants ?

FORM: D. Participants
Question: D.1

Tips & Notes:

THE FOLLOWING DOES NOT APPLY TO FELLOWSHIPS:

For NIH awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles.

Additionally, individuals with these roles on a project are required to complete the following fields in the Commons Personal Profile: Date of Birth, Gender, Ethnicity and Race, Disability, and Citizenship Status. For the Gender, Race and Ethnicity, and Disability fields, one of the acceptable responses is 'Do not wish to provide'. Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree. The profile must also include the name of institution issuing the degree.

Save Cancel

D.1 What individuals have worked on the project?

Provide or update the following information for: (1) program director(s)/principal investigator(s) (PDs/PIs); and (2) each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort).

Provide the name and identify the role the person played in the project. Indicate the nearest whole person month (Calendar, Academic, Summer) that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student.

Instructions

- An individual's Commons user ID may be used to partially populate his or her information.
- A Commons ID is required for all individuals with a postdoctoral role and/or supported by a Reentry or Diversity Supplement
- Individuals with a postdoctoral-like role should be identified as "Postdoctoral (scholar, fellow, or other postdoctoral position)."
- Do not include Other Significant Contributors who are not committing any specified measurable effort to this project.
- Do not report personnel for whom a PHS 2271 Appointment form has been submitted through xTRAIN.
- Required fields are marked with an *.

eRA Commons User ID ?

*First Name

Middle Name

*Last Name

*Senior/Key Personnel? ?

Yes No

Degree(s)

*Project Role

Please select a role

Other (Project Role)

Supplement Support (SS) ?

Not Applicable

Calendar

*Person Months ?

Academic

Summer

*Is the individual's primary affiliation with a foreign organization? Yes No

Check "no" if the individual's primary affiliation is with a foreign organization but the individual is working on this award solely while in the U.S.

If yes, provide the name of the organization and country

Organization Name

Country

Please select a country



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OCTOBER 16-18, 2017 | Research Triangle Park, North Carolina

Participants List

RPPR

FINAL

D. OVERALL PARTICIPANTS

| D.1 WHAT INDIVIDUALS HAVE WORKED ON THE PROJECT? | | | | | | | | | | | | |
|--|-----|------|-----|-----|-----------------|-------|-----|-----|-----|-------------|---------|----|
| Commons ID | S/K | Name | SSN | DOB | Degree(s) | Role | Cal | Aca | Sum | Foreign Org | Country | SS |
| | Y | | | | OTH,BS,MS,MOT H | PD/PI | 1 | 0 | 0 | | | NA |
| | N | | | | BS | | 4 | 0 | 0 | | | NA |
| | N | | | | | | 2 | 0 | 0 | | | NA |
| | Y | | | | Ed. M. | | 3 | 0 | 0 | | | NA |
| | N | | | | BA | | 2 | 0 | 0 | | | NA |
| | N | | | | | | 1 | 0 | 0 | | | NA |
| | N | | | | AA | | 1 | 0 | 0 | | | NA |
| | N | | | | BS | | 1 | 0 | 0 | | | NA |
| | N | | | | | | 1 | 0 | 0 | | | NA |
| | N | | | | AA | | 3 | 0 | 0 | | | NA |
| | N | | | | | | 2 | 0 | 0 | | | NA |
| | N | | | | | | 1 | 0 | 0 | | | NA |
| | N | | | | | | 1 | 0 | 0 | | | NA |
| | N | | | | | | 1 | 0 | 0 | | | NA |
| | N | | | | | | 2 | 0 | 0 | | | NA |
| | N | | | | BS | | 2 | 0 | 0 | | | NA |
| | N | | | | | | 4 | 0 | 0 | | | NA |



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RPPR Budget Section Screen Shot

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval **RPPR** Internet Assisted Review xTrain xTRACT Admin Supp eRA Partners Non-Research
Grant List Manage RPPR
A Cover Page B Accomplishments C Products D Participants E Impact F Changes G Special Reporting Req **H Budget** I Outcomes

H. Budget ?

Please click the **Save** button before leaving this page. Otherwise, all changes will be lost.

H.1 Budget Form

To complete the detailed budget for this award, follow the instructions in the SF424 (R&R) Application Guide for NIH and other PHS Agencies, Section I, 4.7 Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g. total rebudgeting greater than 25 percent of the total award amount for this budget period).

Select a budget to add from the dropdown list:

Please select a budget type

| Budget Type | Funds Requested | Action |
|-----------------------------------|-----------------|---|
| SF424 Research and Related Budget | \$0.00 | Edit Delete |

H.1 Budget Form

For awards with subaward/consortium budgets, the grantee may select up to 30 subaward budgets. To complete a detailed budget for a subaward/consortium, follow the detailed SF242 (R&R) Application Guide for NIH and other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium.

Select a subaward budget to add from the dropdown list:

Please select a budget type

| Budget Type | Subaward | Organization | Funds Requested | Action |
|--------------------------|----------|--------------|-----------------|--------|
| Nothing found to display | | | | |

[A Cover Page](#) | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [F Changes](#) | [G Special Reporting Req](#) | **H Budget** | [I Outcomes](#)



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Budget Composite Page - RPPR

RPPR

FINAL

Composite Application Budget Summary

| Categories | HWWTP | HDPTP | ECWTP | | Budget Period |
|---|-------|-------|-------|--|---------------|
| Salary, Wages and Fringe Benefits | | | | | |
| Equipment | | | | | 0 |
| Travel | | | | | |
| Participant/Trainee Support Costs | | | | | |
| Other Direct Costs (excluding Consortium) | | | | | |
| Consortium Costs | | | | | |
| Direct Costs | | | | | |
| Indirect Costs | | | | | 0 |
| Total Direct and Indirect Costs | | | | | |

Consultants
Materials & Supplies

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HWWTP Consortia

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HDPTP Consortia

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ECWTP Consortia

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Additional RPPR Budget Information

➤ It is very important to:

- ❖ Review your Budget Format before submission to insure it complies with the RPPR.
- ❖ Not include Foreign Travel
- ❖ Not use wording such as Honorariums or Stipends
- ❖ make sure of your budget calculations (multiple errors found during the last progress reporting period).
- ❖ make sure your budget justification matches your budget pages (a lot of inconsistent or incorrect information found (possibly result of cutting and pasting)).



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



Carryover versus Offset

Grants Policy Statement (GPS) – 8.4.1.5.4 – Unobligated Balances (UOB) and Actual Expenditures –

Disposition of unobligated balances is determined in accordance with the terms and conditions of the award. (See [Administrative Requirements-Changes in Project and Budget](#) for NIH approval authorities for unobligated balances.) Using the principle of "first in-first out," unobligated funds carried over are expected to be used before newly awarded funds.

Upon receipt of the annual FFR, the GMO will compare the total of any UOB shown and the funds awarded for the current budget period with the NIH share of the approved budget for the current budget period. If the funds available exceed the NIH Share of the approved budget for the current budget period, the GMO may **(1) authorize the recipient to spend the excess funds (carryover) or (2) Offset the current award by the amount representing some or all of the excess funds.**

Unobligated Balances – Carryover versus Offset

Unobligated Federal funds remaining at the end of any budget period that, with the approval of the GMO may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization).

Carryover increases the approved budget authorization using prior year funds

- Example: Award provides new fiscal year \$ in the amount of \$500K plus a carryover of \$50K. Resulting authorization (i.e. the \$ that can be spent this year) is \$550K

An offset “partially pays” the current year’s grant with funds from a prior year – no increased budget authorization (part new funds and part prior years funds to total the actual authorization amount).

- Example: Budget authorization is \$500K. Award provides new fiscal year dollars in the amount of \$450K plus an offset of \$50K. Resulting authorization is \$500K



PRIOR APPROVAL REMINDERS

- **Rebudgeting of Funds Request** – Prior approval is required if the rebudgeting involves more than 25% of the total cost of the awarded budget amount. Ex. Grantee awarded **\$300,000** wants to rebudget **\$75,000**. Prior approval is required.
- ❖ **One Exception:** If Grantee is purchasing Equipment in excess of \$5,000, Prior Approval is required whether the rebudgeting is less than the 25% or not.

- **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.



Other Requirements

➤ Reporting Program Income – GPS Section 8.3.2

- ❖ Gross income earned directly generated by the grant-supported project or earned as a result of the award during the period of performance.
- ❖ Should still be reported on your FFR as well as on your RPPR.
- ❖ NIEHS has not been mandated to report anything to Congress regarding Program Income
- ❖ However, 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.



Automated Post Award Changes

Effective March 2, 2017, recipients of NIH awards can submit the following prior approval requests electronically through eRA Commons.

Prior Approval Request for Change of PD/PI

- SOs can initiate the request for a Change of Program Director/Principal Investigator (PD/PI) electronically through eRA Commons via Prior Approval.

Prior Approval Request for No Cost Extension (NCE)

- SOs will be able to request NCEs (in addition to the requests made under expanded authority) electronically through eRA Commons via Prior Approval.



Other Reminders

- Please follow the proper protocol when contacting the NIEHS office.
- ❖ Official Correspondence should come from the Authorized Signing/Business Official (SO/BO) to the Grants Management Official (GMO). **(Person listed in the eRA Commons for your organization.)**
- ❖ Correspondence between the Parent organization's PI and the NIEHS Program Official – if it is information that requires an official response or action, the SO/BO and GMO should be included in the correspondence.



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Finally!!

- Make sure you submit early in the eRA Commons and correct any errors before the due date!
- View your application in the commons. **Remember, if you can't “View” it, NIH cannot “Review” it!**

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

Toll Free: 866-504-9552



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Grants Management Contacts

Pamela Clark

evans3@niehs.nih.gov

919-541-7629 (New telephone number coming soon)

Bryann Benton

bryann.benton@nih.gov

919-323-5577

Other Contacts

Lisa Edwards - Supervisor

archer@niehs.nih.gov

George Tucker - Chief Grants Management Officer

george.tucker@nih.gov



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