

National Institutes of Health Who, What and How

1

**PRESENTER:
DAVID NGO**

JULY 2014

National Institutes of Health

Who, What and How



2

Who is NIH:

- They are an agency within the Public Health Service (PHS), under the umbrella of the Department of Health & Human Services (DHHS)

What is their purpose:

- To improve human health by increasing scientific knowledge related to disease & health.

How are they set-up?

- NIH is made up of 27 Institutes and Centers, each with its own mission and functions, separate appropriations and statutory authorities.

<http://www.nih.gov/icd/>

NIH Research: Intramural vs. Extramural

3



- The NIH conducts its own **Intramural Research** Program utilizing staff scientists on its Bethesda campus.
- The NIH **Extramural Research** Grants Program funds research nationally at universities and research centers through grants, cooperative agreements and contracts. [UTSW and other Universities utilize the Extramural Research Grants Program.](#)

The 27 (yes, I counted!) Institutes and Centers of NIH



4

- **NIH INSTITUTES**

1. [National Cancer Institute \(NCI\)](#)
2. [National Eye Institute \(NEI\)](#)
3. [National Heart, Lung, and Blood Institute \(NHLBI\)](#)
4. [National Human Genome Research Institute \(NHGRI\)](#)
5. [National Institute on Aging \(NIA\)](#)
6. [National Institute on Alcohol Abuse and Alcoholism \(NIAAA\)](#)
7. [National Institute of Allergy and Infectious Diseases \(NIAID\)](#)
8. [National Institute of Arthritis and Musculoskeletal and Skin Diseases \(NIAMS\)](#)
9. [National Institute of Biomedical Imaging and Bioengineering \(NIBIB\)](#)
10. [Eunice Kennedy Shriver National Institute of Child Health and Human Development \(NICHD\)](#)
11. [National Institute on Deafness and Other Communication Disorders \(NIDCD\)](#)
12. [National Institute of Dental and Craniofacial Research \(NIDCR\)](#)
13. [National Institute of Diabetes and Digestive and Kidney Diseases \(NIDDK\)](#)
14. [National Institute on Drug Abuse \(NIDA\)](#)
15. [National Institute of Environmental Health Sciences \(NIEHS\)](#)
16. [National Institute of General Medical Sciences \(NIGMS\)](#)
17. [National Institute of Mental Health \(NIMH\)](#)
18. [National Institute on Minority Health and Health Disparities \(NIMHD\)](#)
19. [National Institute of Neurological Disorders and Stroke \(NINDS\)](#)
20. [National Institute of Nursing Research \(NINR\)](#)
21. [National Library of Medicine \(NLM\)](#)

- **NIH CENTERS**

1. [Center for Information Technology \(CIT\)](#)
2. [Center for Scientific Review \(CSR\)**](#)
3. [John E. Fogarty International Center \(FIC\)](#)
4. [National Center for Complementary and Alternative Medicine \(NCCAM\)](#)
5. [National Center for Advancing Translational Sciences \(NCATS\)](#)
6. [NIH Clinical Center \(CC\)](#)

** **The Center for Scientific Review (CSR)** is the portal for NIH grant applications and their review for scientific merit. CSR organizes the peer review groups or study sections that evaluate the majority of the research grant applications sent to NIH. The CSR mission has remained clear and timely: to see that NIH grant applications receive fair, independent, expert, and timely reviews — free from inappropriate influences — so NIH can fund the most promising research.

NIH Office of Extramural Research

5

Because UTSW does Extramural Research, the OER website is the best place to start when looking for information about NIH grants:

<http://grants.nih.gov/grants/oer.htm>

The screenshot shows the top portion of the NIH Office of Extramural Research website. At the top left is the U.S. Department of Health & Human Services logo and text. To the right is the www.hhs.gov logo. Below this is the Office of Extramural Research logo and text, along with a photograph of four people in a laboratory setting. On the right side of the header, there are links for 'Contact Us' and 'Print Version', a search bar with a 'Go' button, and links for 'Advanced Search' and 'Site Map'. Below the header is a dark blue navigation menu with white text links: 'Home', 'About Grants', 'Funding', 'Forms & Deadlines', 'Grants Policy', 'News & Events', 'About OER', and 'NIH Home'.

<http://grants.nih.gov/grants/forms.htm>

http://grants.nih.gov/grants/policy/nihgps_2011/index.htm

Important Links on NIH Site

6

The “Grants Policy” link includes the roles, responsibilities, processes , what's allowed and not allowed. Of special interest is Item 7 which discusses Cost Considerations, and includes an excellent chart for an explanation of Allowable Costs .

7.9.1 Selected Items of Cost

Exhibit 5: Selected Items of Cost

The table presents specific items that may or may not be included in the cost portion of grants.

Items	Explanation of Allowable Costs
Advertising	Allowable only for recruitment of staff, trainees, or study participants; procurement of goods and services; disposal of scrap or surplus materials; and, other specific purposes necessary to meet the requirements of the grant-supported project or activity.
Alcoholic Beverages	Unallowable as an entertainment expense, but allowable if within the scope of an approved research project.
Alteration and Renovation	Individual A&R projects that are treated as direct costs and that will not exceed \$500,000 will be subject to the A&R policies specified in this exhibit and in the Construction Grants chapter, as applicable. Individual A&R projects exceeding \$500,000 in direct costs will be subject to the requirements specified in the Construction Grants chapter.

Important Links on NIH Site

7

The “Forms” link includes the Application Guides (i.e. SF424) and links to all the Available Forms.

Note this is a sampling of the guides and forms.

Research Grants and Fellowships		
Forms / Applications / Instructions	Revision Dates	Description / Comments
SF424 (R&R)	03/2011	<p>Standard Form 424 (Research & Related) Grant Application Forms <i>Includes application guides and forms to be used with all competing applications for Research, Career Development, Institutional Training awards, and SBIR/STTR Awards.</i></p> <p>See Applying Electronically Page and Related NIH Guide Notices.</p>
PHS 398	06/2009	<p>Competing - Public Health Service Grant Application <i>Includes application guides and forms to be used with all competing applications for Cooperative Agreements and Complex Mechanisms that do not use the SF424 (R&R) application package.</i></p> <p>See 11/23/2009 NIH Guide Notice.</p>

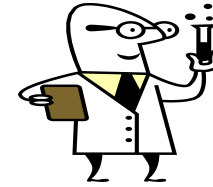
Additional Format Pages

NIH requires all text attachments in an SF424 (R&R) application to be PDF. However, to avoid system errors, applicants should create text attachments using word processing software and then convert to PDF using PDF-generating software. While Word samples are provided below, applicants will need to convert the finished product to PDF before attaching within an SF424 (R&R) application. Do not use the PDF samples from the PHS398 application page. Those are fillable-PDF forms which will cause an error in the electronic submission of an SF424 (R&R) applications.

Additional Format Pages	Date Posted	File Link/Format/Size
Biographical Sketch Format Page – Adobe Forms Version B (use also for Fellowship Sponsor/Co-Sponsors)	11/13/2009	MS Word (36 KB)
Biographical Sketch Sample – Adobe Forms Version B	03/25/2011	MS Word (44 KB)
Fellowship Applicant Biographical Sketch Format Page	02/05/2010	MS Word (52 KB)
Fellowship Application Biographical Sketch Sample	04/19/2011	MS Word (79 KB)
Referee Instructions for Mentored Career Development Awards	08/11/2011	MS Word (38 KB)
References for Fellowship Awards	02/05/2010	MS Word (49 KB)
Targeted/Planned Enrollment Table Format Page	10/12/2005	MS Word (48 KB)
Inclusion Enrollment Report Format Page (New Format)	10/12/2005	MS Word (71 KB)
Modular Budget Sample: Same Modules	11/08/2005	PDF (27 KB)
Modular Budget Sample: Variable Modules	07/23/2008	PDF (26 KB)



NIH Staff Contacts



8

- **Program Official:** The PO is responsible for the programmatic, scientific, and/or technical aspects of assigned applications and grants. **This is the PI's main contact.**
- **Scientific Review Officer :** SROs are health science administrators who manage the activities of SRGs, including CSR study sections. The SRO reviews applications for completeness and conformity to requirements, and serves as the overall point of contact with applicants during the initial phase of the peer review process.
- **Grants Management Officer/Specialist :** The GMO whose name appears in the Notice of Award (NOA) is the NIH official responsible for the business management and other non-programmatic aspects of the award . **This is the department/grant manager main contact, in coordination with SPA.**

Types of Funding Opportunities

Request for Application

NIH requested research in a well defined area. Very specific program objectives. Single submission date designated.

Program Announcement

Often broadly defined or a reminder of a scientific need. Investigator Initiated “unsolicited research”. Standard submission dates apply.

Parent Announcement

Not specific. Investigator initiated unsolicited research. Maybe submitted on any topic in the breadth of the NIH’s mission. Standard submission dates .



How to Apply for Funding

10

- **eRA Commons** -Registration required. Each PI and Post Doc must individually be registered here. The department administrator must also be registered.
- **Grants .gov** - This is a government portal where almost all NIH applications are submitted electronically. Very few paper submissions are still being done.



What is ERA Commons?

11

Overview of the eRA Commons

- eRA Commons is an online interface where grant applicants, grantees and federal staff at NIH can access and share administrative information relating to research grants.
- The functions available to a user in Commons are based on the “role” associated with their eRA Commons account (see [eRA Commons Roles](#)).
- eRA Commons users, based on their role, can conduct a variety of business in Commons, including:
 - Track the status of their grant applications.
 - View [summary statements](#) and [score](#) letters
 - View [notice of award](#) and other key documents.
 - Submit [Just-in-Time](#) information (SO only) requested by the grantor agency prior to a final award decision.
 - Submit the required documentation, including the Financial Status Report and Progress Reports (via esnap).
 - Submit a No-Cost Extension notification (SO only).
 - Submit a streamlined annual progress report electronically, provided the grantee institution is eligible to submit one under the Electronic Streamlined Non-competing Award ([eSNAP](#)) process.

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

ERA Commons Roles

12

Signing Official (SO)



A Signing Official (SO) is a Business Official (BO) within an extramural organization. The SO has institutional authority to legally bind the institution in grant-administration. The SPA rep “Signs” or “Submits” on behalf of UTSW.

Principal Investigator (PI)



A Principal Investigator (PI) directs a research project or program supported by the NIH. The PI will also receive a eRA commons ID that is needed for the grant application that will be submitted in grants.gov.

Administrative Official (AO) –Department/Grant Manager



An Administrative Official (AO) is a Business Official (BO) within the academic department .The AO reviews grant applications for accuracy before the SO submits final applications to the NIH.

Grants.gov

13

What is Grants.gov?

Grants.gov is the web site that the government is using to inform citizens of grant opportunities and provide a portal for submitting applications to government agencies.

<http://www.grants.gov/>



Types of Funding Instruments



14

- **Grant**

Financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. There is no substantial programmatic involvement between the sponsor and the recipient during performance of the financially assisted activities. There are no guaranteed deliverables.

- **Cooperative Agreement**

A support mechanism used when there will be substantial Federal scientific or programmatic involvement.

- **Contract**

A contract is an award instrument establishing a mutually binding legal relationship between the Government (buyer) and a Contractor (seller). There is a guarantee on deliverables.

Grants Process At-A-Glance

15

Planning, Writing, Submitting

Planning: Applicant should start early, collect preliminary data, and determine internal deadlines.

Writing: Applicant often begins writing application several months prior to application due date.

Submitting: Applicant organization submits most applications to NIH through Federal portal, Grants.gov.

Receipt and Referral

Months 1-3

Applications compliant with NIH policies are assigned for review by the Division of Receipt and Referral in the Center of Scientific Review (CSR).

CSR assigns application to an NIH Institute/Center (IC) and a Scientific Review Group (SRG).

Scientific Review Officer (SRO) assigns applications to reviewers and readers.

Peer Review

Months 4-8

Initial Level of Review: SRG members review and evaluate applications for scientific merit.

Priority Scores: Available to Principal Investigator on eRA Commons.

Summary Statement: Available to Principal Investigator on eRA Commons.

Second Level of Review: Advisory council/board reviews applications.

Award

Months 9-10

Pre-Award Process: IC grants management staff conducts final administrative review and negotiates award.*

Notification of Award: NIH Institute/Center (IC) issues and sends Notice of Award (NoA) to applicant institution/organization.

Congratulations! Project period officially begins!

*NIH Requests additional information needed [just-in-time](#) for award.

Most Common Type of Research Grant

16

R01

NIH Research Project Grant Program (R01)

- Used to support a discrete, specified, circumscribed research project
- NIH's most commonly used grant program
- No specific dollar limit unless specified in FOA
- Advance permission required for \$500K or more (direct costs) in any year
- Generally awarded for 3 -5 years
- All ICs utilize
- See parent FOA: [PA-11-260](#)

We found a funding opportunity, now what ?

17

The PI decides he is going to submit an R01. This PI decides on a investigator-initiated R01 application, which means: a good idea for an application, no specific program requirements (better know as “Unsolicited”).

However, the R01 research plan must be related to the program interests of one or more of the NIH Institutes and Centers (e.g. National Institute of General Medical Sciences “NIGMS”) based on descriptions of their programs.

Funding Opportunity Announcement (FOA) Number	PA-11-260
Companion FOA	None
Number of Applications	See Section III. 3. Additional Information on Eligibility .
Catalog of Federal Domestic Assistance (CFDA) Number(s)	93.113, 93.121, 93.143, 93.172, 93.173, 93.213, 93.233, 93.242, 93.273, 93.279, 93.286, 93.361, 93.389, 93.393, 93.394, 93.395, 93.396, 93.399, 93.837, 93.838, 93.839, 93.846, 93.847, 93.853, 93.855, 93.856, 93.859, 93.865, 93.866, 93.867, 93.879
FOA Purpose	The Research Project Grant (R01) is an award made to an institution/organization to support a discrete, specified, circumscribed project to be performed by the named investigator(s) in areas representing the specific interests and competencies of the investigator(s). The R01 research plan proposed by the applicant institution/organization must be related to the stated program interests of one or more of the NIH Institutes and Centers (ICs) based on descriptions of their programs.
Key Dates	
Posted Date	July 22, 2011
Open Date (Earliest Submission Date)	August 12, 2011 (Previously September 5, 2011)
Letter of Intent Due Date	Not Applicable
Application Due Date(s)	Standard dates apply, by 5:00 PM local time of applicant organization.
AIDS Application Due Date(s)	Standard dates apply, by 5:00 PM local time of applicant organization.
Scientific Merit Review	Standard dates apply

Sample Program Announcement

18

Funding Opportunity Announcement (FOA) Number
PA-11-260

Apply for Grant Electronically



CFDA	Opportunity Number	Competition ID	Competition Title	Agency	Instructions and Application
	PA-11-260	ADOBE-FORMS-B2	ADOBE-FORMS-B2	National Institutes of Health	download

Know Your Due Dates (Timeline for Applications)



Mechanism(s)	Program Description	Application Form	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
R01 <i>new</i>	Research Grants	SF424 (R&R)	February 5	June 5	October 5
R01 <i>renewal, resubmission, revision</i>	Research Grants	SF424 (R&R)	March 5	July 5	November 5

Review and Award Cycles

	Cycle I	Cycle II	Cycle III
Scientific Merit Review	June - July	October - November	February - March
Advisory Council Round	August or October *	January	May
Earliest Project Start Date	September or December *	April	July

The timeline is very important for budget reasons. It can take up to 10 months from application to funding (i.e., Feb to Dec), so plan accordingly. On renewals, consider the timeline because you do not want a gap in funding between the original award and the renewal.

Note that SPA requires a completed application 3 business days before the due date

<http://grants.nih.gov/grants/funding/submissionschedule.htm#elec>

Parts of the Application

20



You must follow page limits and font requirements .

- Font : Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.)
- Attachments must be in PDF file format



The SF424 Application Guide

21

This is the all inclusive manual on the grant application process-Bookmark this site. The pdf version contains a multitude of links to all parts of the application(s). The next slide is just a portion of the table of contents

SF424 (R&R) Application Guide for NIH and Other PHS Agencies

A guide developed and maintained by NIH for preparing and submitting applications via Grants.gov to NIH and other PHS agencies using the SF424 (R&R)

http://grants1.nih.gov/grants/funding/424/SF424_RR_Guide_General_Adobe_VerB.pdf

Sample Page-SF424 Guide

PHS SF424 (R&R) Adobe Forms Version B Application Guide

2.16.1	Finding Help for Grants.gov Registration or Submissions	I-34
2.16.2	Finding Help for the eRA Commons Registration or eRA Commons Validation Processes	I-34
2.16.3	Finding Help for Application Preparation.....	I-35
3.	Using the Grant Application Package	I-35
3.1	Verify Grant Information	I-35
3.2	Enter the Name for the Application.....	I-36
3.3	Open and Complete Mandatory Documents	I-37
3.4	Open and Complete Optional Documents.....	I-37
3.5	Submitting the Application via Grants.gov.....	I-37
4.	Completing the SF424 Research and Related (R&R) Forms.....	I-38
4.1	Overview	I-38
4.2	Cover Component.....	I-39
4.3	Project/Performance Site Locations Component.....	I-53
4.4	Other Project Information Component	I-57
4.5	Senior/Key Person Profile (Expanded) Component	I-64
4.6	Selecting the Appropriate Budget Component	I-73
4.7	R&R Budget Component	I-73
4.7.1	Section A and B.....	I-74
4.7.2	Sections C through E	I-80
4.7.3	Sections F through K	I-83
4.7.4	Cumulative Budget	I-88
4.8	Special Instructions for Preparing Applications with a Subaward/Consortium	I-89

Biosketch instructions are here. This is discussed on the next slide



Parts of Application (continued)

23

Research & Related Key Personnel:



- PI and Key personnel
 - Include NIH Bio Sketch in proper format. This includes:
 - ✦ Personal Statement- why your experience and qualifications make you particularly well-suited for your role. Within this section you may, if you choose, briefly describe factors such as family care responsibilities, illness, disability, and active duty military service that may have affected your scientific advancement or productivity.
 - ✦ Positions and Honors-listed in chronological order, concluding with present position
 - ✦ Peer Review Publications limited to 15 with PMCID #
 - ✦ Research Support-List both selected ongoing and completed research projects for the past three years (Federal or non-Federally-supported). *Begin with the projects that are most relevant to the research proposed in the application*
 - Include eRA Commons ID for PI and all Post Doc's

Parts of Application (continued)

24

Budget and Justification:



Know How Much Money to Request:

- Ask for only enough money to do the work.
- Reviewers look for reasonable costs

Types of Budgets:

- If your budget is less than \$250K in Direct Costs per year and you are from a domestic institution, you usually prepare a **modular budget that requests funding in \$25K increments.**
- If your budget is more than \$250K in Direct Costs per year or you are from a foreign institution (or both) you are required to do a detailed line item budget.
- NOTE: **Direct cost requests equal to or greater than \$500K per year require prior approval** from the NIH Institute/Center before application submission. This limit is exclusive of any consortium F&A costs.

Budget Justification “Cap” Disclosures



25

- **NIH Salary Cap:** When preparing a budget the current NIH Salary Cap is \$181,500 (Awards issued Jan 12, 2014 – September 30, 2014) which is the Executive Level II pay scale. This is for AY and Summer salary. When calculating summer salary, if the PI’s total salary (AY and Summer) is over the Cap, the base used in the calculation is the NIH CAP. Any amount over this must be charged to separate account.
- **Graduate Student Compensation Cap:** The maximum amount that can be budgeted for Grad. Student compensation (stipend and tuition) is the zero level post doc salary rate posted by NIH. This amount is currently \$38,496. (Predoctoral level is: \$21,600)

*In the budget justification (modular and detailed), there must be a statement on these two line items stating **the amounts requested in the budget are in accordance with the NIH policy.***

Both of these topics are covered in detail in later SPA training sessions.

http://grants.nih.gov/grants/policy/salcap_summary.htm

NIH Salary Cap

http://grants.nih.gov/grants/policy/fy2012_salary_cap_faqs.htm

NIH Salary Cap frequently asked questions

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-067.htm>

Grad Student Compensation

Budget Justification

26

Modular Budget Justifications

Personnel Justification(Required): all Personnel by position, role, and level of effort. This includes consultants, personnel on any Consortium/Contractual arrangement and any "to be appointed" positions. Do not provide salary information. **Note that UTSW does not commit to Academic Year Effort for any faculty and that compensation budgeted is in accordance with the NIH policy regarding the NIH Salary Cap and Graduate Student Compensation.**

Narrative Justification: will be required in the application only if there is a variation in the number of modules requested. This usually occurs when equipment is requested in any of the budget periods.

Budget Justification-Continued

27

Detailed Budget Justification

Use the budget justification to provide the additional information requested in each budget category identified and any other information the applicant wishes to submit to support the budget request. The level of effort (in person months) is listed on the budget page. **Note that UTSW does not commit to Academic Year Effort for any faculty. Also note that compensation budgeted is in accordance with the NIH policy regarding the NIH Salary Cap and Graduate Student Compensation.**

The following budget categories must be justified, where applicable: personnel costs, equipment, travel, participant/trainee support and other direct cost categories.

Submit, Track and Review

28

- UTSW requirement is to get a full and final Grant Application **3 business days prior to submission deadline. (Notification of intent to submit proposal due 14 days prior to submission deadline).**
- SPA administrator will submit via grants .gov and get a tracking number
- Status of application is tracked in eRA commons
- The PI and department can review and correct the application and resubmit only **prior to the submission deadline.**

Just In Time Request (JIT)

29

The eRA Commons users will find a feature to submit Just-In-Time information when requested by the NIH. NIH policy allows the submission of certain elements of a competing application to be deferred.

- **Other Support:** Send up-to-date information on active and pending support for key.
- **Vertebrate Animals:** updated protocol and approvals are included
- **Human Subjects Research:** updated protocol and approvals are included
- **Human Subjects Education:** if required, provide certification that each person identified under Key Personnel has completed an educational program on the protection of human subjects.
- **Response to Summary Statement:** Only the PI will see this. They may be asked to respond to scientific or administrative concerns.

Grant Numbers: What do they mean?

1 R01 CA 123456-04S1A1

30

Application Type

1=New
2=Renewal
3=Revision
4=Extension
5=Non-competing
7=Transfer

Activity Code

R01= Research Project
R21=Exploratory/Developmental
R03=Small Research Grant

Institute Code

CA=Nat'l Cancer Institute
AG= Nat'l Institute on Aging
MH=Nat'l Institute of Mental
Health

Serial number

123456 (always 6 numbers)

Grant Year

Actual segment or budget period

Other

S=Supplement

A=Amendment

NOA-Notice of Award

31

- Legally binding document
- Identifies grantee and PI
- Provides terms and conditions
- Establishes funding and support period
- Provides contact information:
 - Grant Management Officer
 - Grants Management Specialist
- E-mailed to the business official:
grants.mgt@utsouthwestern.edu
- Also available in Commons “Status” tab



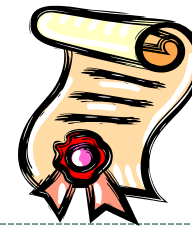
What is in the Notice of Award?

32

The first few paragraphs of the award document contain the following information:

- ❖ **Budget Period:** 07/01/10-06/30/11
- ❖ **Project Period:** 07/01/10-06/30/14
- ❖ Why the NOA is being issued:
 - ❖ New funding for a specific year
 - ❖ No-cost extension
- ❖ Statement accepting NIH Terms and Conditions when funds are drawn
- ❖ NIH acknowledgement & disclaimer language for each publication
- ❖ Requirement of Public Access Policy-PubMed
- ❖ Conflict of Interest statement establishing NIH requirements
- ❖ Name of Grants Management Officer who is authorizing the award

Sample of Actual Notice of Award



33

- Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number R01GM059383 from the National Institute Of General Medical Sciences. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of General Medical Sciences or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

What is in the Notice of Award?

34

Section I:

Award Data

Section II:

Payment Information

Section III:

Terms & Conditions (standard)

Section IV:

Special Terms and Conditions

Actual Section I-Award Data

35

Detailed Budget

- Salaries and Wages
\$87,326
- Fringe Benefits
\$29,429
- Personnel Costs (Subtotal)
\$116,755
- Equipment
\$13,260
- Supplies
\$1,545
- TOTAL FEDERAL DC
\$131,560
- TOTAL FEDERAL F&A
\$72,163
- TOTAL COST
\$203,723

Modular Budget

Award Calculation (U.S. Dollars)

Federal Direct Costs
\$241,441

Federal F&A Costs
\$129,613

Approved Budget
\$371,054

Federal Share
\$371,054

TOTAL FEDERAL AWARD AMOUNT
\$371,054

**AMOUNT OF THIS ACTION
(FEDERAL SHARE)**
\$371,054

Actual Section I-Award Data

36

- SUMMARY TOTALS FOR ALL YEARS

YR

THIS AWARD

CUMULATIVE TOTALS

3

\$282,667

\$282,667

4

\$283,381

\$283,381

5

\$284,095

\$284,095

These usually change in competitive periods as the NIH FY Policy changes and are pending satisfactory progress reports.

Section II- Payment Info

No action is needed
by PI or SPA.

Sponsored Research
Accounting draws
down the money
monthly as it is spent
on the award.



Section III-Standard Terms & Conditions



38

- ❑ How to handle unobligated balance
 - ❑ Carry over to next budget period without GMO approval
 - ❑ Requires GMO prior approval
- ❑ Reference to SNAP- Streamlined Noncompeting Award Procedures
 - ❑ Applicable
 - ❑ Not Applicable
- ❑ Treatment of Program Income
- ❑ References the Grants Policy Statement in effect at the beginning date of the budget periods.

Actual Section III-Standard Terms & Conditions

- **SECTION III - TERMS AND CONDITIONS - 5R01MH083686-03**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, **INCLUDING THE TERMS AND CONDITIONS CITED BELOW.**

(See NIH Home Page at '<http://grants.nih.gov/grants/policy/awardconditions.htm>' for certain references cited above.)

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

Section IV-Special Terms & Conditions

40

- **Special Terms & Conditions-specific to the particular grant**
 - Less funding than original NOA estimate
 - Recycled start date-to even out NIH award budget periods
 - Specific Consortiums may be mentioned
 - Key personnel may be spelled out
 - Other special restrictions/requirements that apply to this award.



Actual Section IV-Special Terms & Conditions

41

SECTION IV - MH Special Terms and Conditions - 5R01MH123456-03

KEY PERSONNEL:

In addition to the PI, any absence, replacement, or substantial reduction in effort of the following individual(s) below, requires the **written prior approval** of the National Institute of Mental Health.

Dr. XXXXXXXX

Dr. XXXXXXXX

Grantee Acceptance

42

The grantee indicates acceptance of the NIH award and its associated terms and conditions by **drawing down funds** from the Payment Management System.

This is done by SRA as previously mentioned.

Stewardship

NIH may disallow costs if it determines through audit or otherwise, that the costs do not meet the tests of:

- Allowability
- Allocability
- Reasonableness
- Necessity
- Consistency

Progress Reports are required annually as part of the non-competing continuation award process

44

PHS 2590-Paper

- Forms & instructions can be found here <http://grants.nih.gov/grants/funding/2590/2590.htm>
- P50, U, R35 and others
- Generally these awards also do NOT have automatic carryforward
- Lots of info required including a detailed budget
- Must be submitted (mailed) and approved by NIH before each additional budget period.

SNAP-Electronic

- NOA will specify if you can use SNAP
- Guide is located here: http://era.nih.gov/services_for_applicants/reports_and_closeout/esnap.cfm
- K awards and R awards-except R35
- Generally these awards also have automatic carryforward
- Simplified info for next budget period
- State no or yes (yes requires a justification) to 3 questions.
- Submit electronically in eRACommons.

Some Details for a SNAP report

45

- #1-Any change in “other support” (active only) of senior/key personnel?
 - #2-Any reduction $\geq 25\%$ in level of effort PI or anyone named in NOA?
 - #3-Unobligated balance $>25\%$ of current year total funding including prior year carryforward?
- For any of these-if yes provide detailed justification, why it happened, include the plan for this year.



Things to Remember for both SNAP and Non-SNAP Reports

46

If a balance of unobligated funds > 25% of total amount awarded for the budget period-the GMO will review to see if these funds are necessary to complete the project. If it is determined NOT to be necessary:

- Automatic carryforward may be restricted in future year
- Balance may be used to reduce NIH funding in the next budget period
- Any combo of these actions

The decision will be detailed by the GMO in the Terms & Conditions of the next Notice of Award.

Things to Remember for both SNAP and Non-SNAP Reports-Cont'd

47

Unliquidated

These funds are committed but not yet used and should not be reported as unobligated.

Unobligated

These funds are not used and the disposition of these balances are in the Terms & Conditions of the award.

**Auto carryforward or
Prior approval required**

Grantees can make some changes

48

No cost extension-1 time for up to 12 months

Pre-award costs-If allowed in NOA

Rebudgeting-if Scope of Work is not changing

Add a subcontract-if it is not foreign and SOW doesn't change

Automatic carryforward of unobligated balance-except P50, P60, P30, U, T and others



Grantees can make some changes

49

No Cost Extensions can be made without NIH approval **one time** for up to 12 months if:

- No additional funds are needed

- Scope of work will not change

- One of the following applies:

 - Needed to ensure adequate completion of approved project

 - Continuity while a competing continuation is under review

 - To permit an orderly phase out

Having unspent funds is NOT an acceptable reason to request an extension.

Some changes require Prior Approval*

50

- Change of Grantee organization
- Change of PI or Key Personnel named in NOA
 - Withdraw
 - Absence > 3 months
 - Reduce proposed effort $\geq 25\%$
- New subcontract if foreign or results in change in SOW
- Change in Scope
 - Research aims or emphasis
 - New use of humans or animals
 - New technology use
- 2nd no cost extension
- Pre-award costs > 90 days

* There are many more that require approval.

Some changes require Prior Approval Cont'd

51

Any of these requests must be:

- Made in writing
- Signed by PI and SPA (Sent to GMO by SPA representative)
- No later than 30 days before requested change

If approved-change will be documented by GMO
through a revised NOA or letter.

Some changes require Prior Approval Cont'd

52

Example



Change of PI

- Justification for change
- Bio of proposed new PI
- Current & Pending for new PI
- Any budget changes

**All must be in written
request to GMO**



A timely closeout (within 90 calendar days of the end of grant support) is required by NIH.

Failure to submit timely and accurate documents may affect future funding to UTSW.

Requirements are:

1. Final Federal Financial Report (FFR)
2. Final Progress Report
3. Final Invention Statement

Closeout Details

54

Final Federal Financial Report (FFR)

SPA-Reporting does this through eRACommons.

Unobligated funds are returned to NIH-or reflected in an appropriate accounting adjustment

Final Progress Report

Submitted by the PI-through eRACommons.

Should include:

Progress made toward aims

Positive/negative results

List of publications

Any other specific requirements

Link:

http://grants.nih.gov/grants/policy/nihgps_2010/nihgps_ch8.htm#_Final_Progress_Report

Closeout Details

55

Final Invention Statement:

After confirming with TechDev , the PI submits this through eRA Commons and Cheryl Anderson signs, as UTSW Signing Official.

Currently not required for:

Training (T)

Fellowship (F)

R13, R25, S15

Questions

56

