

# Current Issues at NIH Spring 2013

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NCURA Region IV—April 2013

# NIH Budget News

# **NIH Fiscal Policy for Grant Awards FY 2013**

- **Consolidated and Further Continuing Appropriations Act, 2013 (P.L. 113-6) signed March 26, 2013**
- **Combines provisions of the 2011 Budget Control Act (a.k.a. Sequestration) with a continuing resolution to fund the rest of fiscal year 2013.**
- **All FY 2012 legislative mandates and priorities remain in effect**
- **Salary Limits: Continues with Executive Level II**
- **Many of the funding principles used in FY2012 are being continued; however exact details on IC funding plans are still being finalized**
- **New Investigators: NIH will continue to support new investigators on R01 equivalent awards at success rates equivalent to that of established investigators submitting new (Type 1) R01 equivalent applications**

# NIH Fiscal Policy for Grant Awards FY 2013 (cont'd)

- **No Inflationary Increases for Future Years**
  - Note that application instructions are unchanged; grantees may still request COL increases in accord with institutional policy
- **No Stipend Increases for Kirschstein-NRSA**
- **Additional Information:**
  - NIH Guide Notice will be issued
  - Additional details on Fiscal Operations, including specific funding strategies for ICs will be posted at <http://grants.nih.gov/grants/financial/index.htm>

# The End of the Era of ARRA

- Timely Quarterly and Closeout Reports Required;
- Accelerating Unspent ARRA Awards
  - [OMB Memorandum M-11-34](#) Issued 9/15/2011, directs agencies to assure ARRA funds are spent by 9/30/2013 and to “revise the terms of Recovery Act discretionary grant agreements, to the extent permitted by law, to provide for reclamation of funds that remain unspent after September 30, 2013, absent a waiver issued by OMB pursuant to this memorandum.”
  - NIH waiver requests have received OMB approval
  - Grantees can expect to see revised awards to extend beyond 9/30/2013.
  - We continue to strongly encourage grantees to accelerate expenditures for all active ARRA grants regardless of the current or projected project period end date.
- [See NOT-OD-12-014](#), Notice of Revised Term of Award for All Recovery Act Awards to Ensure Project Completion by September 30, 2013.

More at: <http://www.grants.nih.gov/recovery/>

# Hurricane Sandy

# Hurricane Sandy

- **Notice of Assistance Available to Institutions Impacted by Super Storm Sandy, [NOT-OD-13-013](#) describes actions NIH is taking and lists resources available from NIH to assist researchers and research institutions recovering from Sandy. Resources include but are not limited to:**
  - **Administrative Supplement Funding for Existing Grants. Sandy specific Type-3 Funding Opportunity Announcement is pending;**
  - **Payment of Salary and Fringe Benefits Under Unexpected or Extraordinary Circumstances;**
  - **Extensions of Time for Financial and Other Reporting;**
  - **See also website on NIH Extramural Response to Natural Disasters and Other Emergencies: [http://grants.nih.gov/grants/natural\\_disasters.htm](http://grants.nih.gov/grants/natural_disasters.htm).**
- **Disaster Relief Appropriations Act, 2013 signed January 29, 2013**
- **Two Funding Opportunity Announcements published 4/15/2013; More coming**

# Hurricane Sandy (continued)

- **Published Published 4/15/2013:**
  - **RFA-OD-13-005 (R21): Restoration of New Investigator Pilot Projects Adversely Affected by Hurricane Sandy**
  - **RFA-OD-13-199 (Administrative T-3s):**
    - 1) **Funded extensions—12 month extension of the current budget period; 12 months of \$\$\$ based on current funded level; provides 24 months to spend**
    - 2) **Single supplements:**
      - a) **\$50,000 DC to replace lost and/or damaged research resources; e.g., small pieces of equipment or their repair, supplies, reagents, animals, etc**
      - b) **up to \$100,000 to replace a single item of equipment**
      - **Both may be requested; however, total may not exceed \$100,000**
- **Special Provisions:**
  - **Awarded funds must be expended within 24 months of the initial award issue date**
  - **No-cost extensions prohibited**
- **Anticipate special reporting requirements (like ARRA); e.g., Quarterly Financial & Programmatic Reporting. Details to be provided in NoA.**



# Policy Updates

# Changes to Policies and Procedures for FY2013 NIH Awards to Foreign Institutions

- **Payment**
  - All foreign awards issued after October 1, 2012, will be paid via PMS B subaccounts;
- **Carryover**
  - Carryover of an unobligated balance from an award issued prior to October 1, 2012, to an award issued after that date requires NIH assistance;
- **FFRs for SNAP awards**
  - For all initial SNAP awards issued to foreign institutions after October 1, 2012, foreign grantees are only required to report expenditure data at the end of a competitive segment;
- **Currency Rate**
  - For awards issued after October 1, 2012, grantees must use currency rate in effect at the time of drawdown from PMS.

# Changes to Policies and Procedures for FY2013 NIH Awards to Foreign Institutions

- For additional information see:
  - NIH Guide Notices [NOT-OD-12-139](#) and [NOT-OD-13-019](#).
  - [Information for Foreign Applicants and Grantees](#) webpage
    - Changes to Foreign Awards for FY13: Training for NIH Program and Grants Management Staff
  - Frequently asked questions
  - [Changes to Continuing Foreign Awards in FY13](#)
  - [Carryover of Funds on Foreign Awards for FY13](#)

# Biomedical Research Workforce Working Group

- **Advisory Committee to the Director (NIH) approved model for a sustainable & diverse biomedical research workforce to inform decisions about training optimal number of people for appropriate types of positions to advance science and promote health.**
- **Conclusions**
  - **Increase in PhDs & an aging workforce make launching a traditional academic research career more difficult;**
  - **Long training time & low early salaries may make such a career less attractive;**
  - **Current training programs may limit trainees to an academic research career;**
  - **See details of their report at: <http://acd.od.nih.gov/bwf.htm>.**
- **Next steps include:**
  - **Small implementation teams formed for Workforce (focused on Grad Students and Postdocs), Diversity, Data/Informatics;**
  - **Sample Goals:**
    - **Provide broader & better training experience for grad students & postdocs;**
    - **Expand/improve programs;**
    - **Improve data collection on career outcomes of students/postdocs.**
- **RFI seeking public input on various initiatives issued 2/21/2013. See [NOT-OD-13-045](#).**
- **First initiative announced: [Broadening Experiences in Scientific Training—DP7](#). See [RFA-RM-12-022](#).**

# Revised Policy for Managing Conflict of Interest in the Initial Peer Review of NIH Grant and Cooperative Agreement Applications

- Replaces the 2011 policy
- Revised policy includes:
  - addition of new language to clarify regulatory requirements concerning COI involving direct and indirect financial benefit;
  - addition of new language to clarify regulatory requirements concerning COI involving reviewers who are salaried employees of the applicant institution or investigator, or is negotiating employment with those entities; and
  - deletion of the section on management of COI for individuals in multi-component or multi-site applications.

More at: [NOT-OD-13-010](#)

# Post-Submission Application Material Update

- **News of professional promotion or positive tenure decision for any PD/PI & Senior/Key Personnel will be accepted**
  - **SRO must receive the material 30 calendar days prior to the peer review meeting**
  - **Material must demonstrate concurrence from the applicant organization's AOR.**
- **Policy provides exceptions for applications submitted in response to RFAs that have a single due date. Because similar issues apply to the last due date of an RFA with multiple due dates, the policy is revised throughout to apply those exceptions to applications submitted for the last due date of an RFA.**
- **The policy lists acceptable post-submission materials for institutional training and training-related grants [not Fs or Ks] applications, including "appointments and/or achievements." The following types of information will be accepted:**
  - **News of a trainee's or former trainee's graduation, employment, promotion, funding, publication or other professional achievement since the training grant was submitted;**
  - **News of a faculty member's promotion, funding, publication, or other professional achievement since the training grant was submitted; and**
  - **News of an additional faculty member who will be involved in the training activity.**

More at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-030.html>

# Interim Guidance for Videos Submitted as NIH Application Materials

- For applications submitted to NIH on/after January 25, 2013
- NIH will accept only videos as non-traditional application materials; no other devices or media will be accepted unless specified in the FOA.
- Submitted videos are not part of the competing application, are submitted separate from an application submitted via Grants.gov, and must be submitted to the SRO 30 days before initial peer review.
- The only acceptable content for videos is demonstrations of devices and experimental data with a temporal element, or demonstrates movement or change.
- Video formats
  - Multiple videos may be submitted per application but their aggregate length must not exceed 2 minutes for single-project applications and 5 minutes for multi-component applications;
  - Post-submission videos must be embedded in .pdf files with a maximum file size of 25 MB. May be submitted on CD/DVD or via e-mail. Currently popular, cross-platform, video formats include mp4, mov, avi, flv, and wmv.
- Additional information: see NIH Guide Notice [NOT-OD-12-141](#)

# Upcoming Changes – Subaccounts for Domestic Grantees

- Pending HHS payment policy will require all grants to be in PMS subaccounts
- NIH Implementation
  - 10/1/2013 implementation date
  - Plan to transition all awards in FY14
  - Will Likely Use PMS “P” Subaccounts (like ARRA)
    - Existing cash and expenditure reporting requirements will remain
    - Real time data available at the transaction level for monitoring
  - Guidance will be forthcoming



# Upcoming Changes: NIH Implementation of New HHS Closeout Requirements

- NIH implementation date proposed: 10/01/2014
- Maintains the 90 day requirement for recipients to submit closeout documents after completion of the award.
- New Proposed: Revised Financial Reports and Expenditures must be submitted no later than 6 months from the due date for the original report.
- New Proposed: A 270 day post-project period requirement for agency completion of the entire closeout process.
- Includes new guidelines for administrative closeout (a.k.a. “unilateral closeout”).
  - If acceptable final reports are not received by NIH, GMO must initiate unilateral closeout of the award within 180 day of the completion date of the award.
  - Unilateral closeout defined as “the process by which an OPDIV closes out an award without receipt of all final reports required by the Terms and Conditions of an award, after making reasonable efforts to obtain them.”
- Stay tuned for future Policy Guide Notices on implementation

# Revised NIH Grants Policy Statement

- **Effective 10/1/2012**
- **Incorporates all policy changes implemented since the 10/1/2011 version**
- **Other minor edits to clarify text based on user feedback**
- **A summary of the significant changes**  
[http://grants.nih.gov/grants/policy/nihgps\\_2012/Significant\\_Changes\\_NIHGPS\\_2012.doc](http://grants.nih.gov/grants/policy/nihgps_2012/Significant_Changes_NIHGPS_2012.doc).

See [NOT-OD-12-157](#)

# Updated Forms/Instructions Posted

- [NIH Forms & Applications](http://grants.nih.gov/grants/forms.htm) page has updated forms/instructions for progress reports, other post award actions, and NRSA (<http://grants.nih.gov/grants/forms.htm>)
- SBIR/STTR Application Guide posted Jan. 2013
- Revised competing applications and instructions to be implemented in the summer of 2013
  - **Following development of applicable electronic forms**
- Note new location for Final Progress Report instructions under Closeout on Forms & Applications Page

More at: [NOT-OD-12-152](#)

# Q&As on Costing of NIH-Funded Core Facilities

- New Q&As on *Costing of NIH-Funded Core Facilities* now available
- In follow-up to draft Q&As published in September 2010 (NOT-OD-10-138) for comment
- Not new policy. Covers answers to questions raised regarding NIH-funded core facilities and other applicable research related facilities that support NIH research.
- See NIH Guide Notice [OD-13-053](#)

# Upcoming NIH Regional Seminar

- NIH Regional Seminar on Program Funding and Grants Administration to be held June 23 – 28, 2013; Inner Harbor, Baltimore MD
- Will be the only Regional Seminar this year
- Wednesday June 26<sup>th</sup> is optional eRA Workshop
- Thursday & Friday (6/27 & 28) will be concurrent sessions
- Registration now Open
- For more information, including registration, see:  
[http://grants.nih.gov/grants/regionalseminars/Baltimore\\_2013/index.html](http://grants.nih.gov/grants/regionalseminars/Baltimore_2013/index.html)

# **Fed-wide Streamlining Efforts**

# Research Performance Progress Report - Update

- **Guide Notice for RPPR changes issued 2/6/2013**
  - Progress reports for SNAP and Fellowships with budget start dates on/after 7/1/13 must be submitted using the RPPR;
  - Progress Report Additional Materials (PRAM) functionality expanded to include requests from ICs.
- **RPPR for non-SNAP and multi-year funded awards**
  - Implementation timeline TBD.

More at [NOT-OD-13-035](https://www.fda.gov/oc/NOT-OD-13-035)

# RPPR – Resources

- [NIH RPPR webpage](#)
  - Background
  - NIH RPPR Instruction Guide
  - Archive of Webinar for NIH Grantees
  - [Frequently Asked Questions](#)

More at: <http://grants.nih.gov/grants/rppr/index.htm>



# Council on Financial Assistance Reform (COFAR)

- Established by [OMB Memorandum M-12-01](#) and composed of an interagency group of Executive Branch officials to coordinate financial assistance.
- Replaces two Federal boards – the Grants Policy Council and the Grants Executive Board to create a more streamlined, flexible, and strategic structure.
- Activities include:
  - providing recommendations to the OMB on policies and actions necessary to effectively deliver, oversee, and report on grants and cooperative agreements;
  - sharing with executive departments and agencies (agencies) best practices and innovative ideas for transforming the delivery of this assistance.
- For additional information including Council reports and documents; Council minutes; and related links, visit <http://cfo.gov/cofar/>

# COFAR – Omni-Circular

- Published in the Federal Register 2/1/2013 for comment: *Reform of Federal Policies Relating to Grants and Cooperative Agreements; Cost Principles and Administrative Requirements (Including Single Audit Act)* (<https://federalregister.gov/a/2013-02113>)
- Proposes new guidance for grants intended to streamline language from eight existing OMB circulars into one document. (Referred to as the “Omni-Circular.”)
- Comments must be received by OMB electronically through [www.regulations.gov](http://www.regulations.gov) no later than midnight Eastern Standard Time (E.S.T.) on June 2, 2013. Those interested in submitting comments may do so by clicking “Submit a Formal Comment” on the website above.

# Policy Reminders

# 2011 Revised FCOI Regulations

- **42 CFR Part 50 Subpart F (grants and cooperative agreements)**
- **45 CFR Part 94 (contracts)**

**Revised Final Rule published on 8-25-11**

- <http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf>

**Compliance Date: August 24, 2012**

# NIH Implementation Updates and Activities

- Updated eRA FCOI Module
- 8/12/2012 Training Webinar on FCOI Reporting Requirements and eRA FCOI Module Demo (archived) found at <http://grants.nih.gov/grants/policy/coi/index.htm>
- Checklist for Policy Development for grantees
- Presentations and Case Studies
- Summary Charts on FCOI Reporting Requirements
- FAQs (continually updating)
- Tutorial (with certificate of completion)
- Policy clarification - disclosure requirements for reimbursed and sponsored travel – see NIH Guide NOT-OD-13-004 (10/18/2012) <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-004.html>.

# FCOI Compliance Oversight

- **NIH Proactive FCOI Compliance Oversight Program**
  - Assess institutional compliance with the 2011 revised FCOI regulation and policy development
  - Obtain and evaluate publicly accessible FCOI policies for a sample of grantee institutions and assist grantee compliance by providing technical assistance through constructive feedback
  - Share results with NIH research community to improve and enhance compliance with the regulation
  - NIH Guide [NOT-OD-12-159](#)
  - Expand the FCOI Compliance Program during FY 2013

# FCOI Reporting Requirements

- **Initial and annual FCOI Reports are provided to NIH through the eRA Commons FCOI Module**
  - **Prior to the expenditure of funds**
  - **During the period of award**
    - **Within 60 days of identifying a new FCOI**
  - **Annually**
    - **At the same time as when the annual progress report or multi-year progress report is due or at time of extension**

# FCOI Resources

- **Mailbox for inquiries**
  - [FCOICompliance@mail.nih.gov](mailto:FCOICompliance@mail.nih.gov)
- **OER FCOI Web Site**
  - <http://grants.nih.gov/grants/policy/coi/>

**Note: FAQs are periodically updated.**





# Transparency Act

## Subaward Reporting

- **Where is information on subawards reported?**
  - To FFATA Subaward reporting system (FSRS) [fsrs.gov](http://fsrs.gov);
  - FSRS.gov also used for the executive compensation of subawardees when information not available in CCR;
  - XML Upload available;
  - Information made publicly available at [USASpending.gov](http://USASpending.gov);
  - FSRS User support through the Federal Service Desk [www.fsd.gov](http://www.fsd.gov);
- **Where can I get more information?**
  - Direct questions concerning reporting on NIH grants to: [GrantsPolicy@mail.nih.gov](mailto:GrantsPolicy@mail.nih.gov) ;
  - **FAQs:** [Federal Funding Accountability and Transparency Act](#)

# Transparency Act—Subrecipient Reporting Reminder

- Previously, requirement for Subrecipient Reporting only applied to “New” (Type 1) grants issued in FY2011 and beyond;
- In FY2012 and beyond, this expands to MOST awards where the Type 1 was awarded after October 1, 2010. This includes:
  - Non-competing Type 5 and Type 7 awards (that follow an FY2011 T-1); and,
  - Type 2s competing continuations when the original Type 1 was awarded on or after October 1, 2010.
- Beginning in FY2012, awards have more definitive “Yes/No” award term for this requirement.

# Need Assistance with the NIH FFATA Requirements?

The screenshot shows the NIH website with the following content:

- U.S. Department of Health & Human Services | www.hhs.gov
- Office of Extramural Research | National Institutes of Health
- Navigation: Home, About Grants, **Funding**, Forms & Deadlines, Grants Policy, News & Events, About OER, NIH Home
- Search: [input field] Go
- Advanced Search | Site Map
- Funding Opportunities**
  - Funding Opportunities (RFAs, PAs) & Notices
  - Unsolicited Applications (Parent Announcements)
  - Research Training & Career Development
  - Small Business (SBIR/STTR)
  - Contract Opportunities
- NIH-Wide Initiatives**
  - New and Early Stage Investigators
- Federal Funding Accountability and Transparency Act**

The [Federal Funding Accountability and Transparency Act](#) of 2006 (FFATA), ensures that the public can access information on all entities and organizations receiving Federal funds. Central to the law was the development of [www.USASpending.gov](#), a publicly available website with searchable information on each Federal grant and contract over \$25,000. Moving one step further, reporting on executive compensation and first-tier subawards has been implemented as of October 1, 2010 with the development of the Federal Subaward Reporting System ([FSRS](#)). While NIH is responsible for providing award information to USASpending, grantees will be responsible for entering their executive compensation and subaward information into [FSRS.gov](#). In implementing these requirements, NIH grantees may find the following resources useful.

Please note that NIH continues to finalize its implementation of the Transparency Act requirement. Further guidance will be provided as it becomes available.

**FFATA-related websites**

- Visit the NIH FFATA/Public Accountability Web Page
  - [http://grants.nih.gov/grants/public\\_accountability/ffata.htm](http://grants.nih.gov/grants/public_accountability/ffata.htm)
  - Includes Frequently Asked Questions
- Send your NIH-specific questions by e-mail to [GrantsPolicy@mail.nih.gov](mailto:GrantsPolicy@mail.nih.gov)

# Common Problem: Can't Find Grant in FSRs to Report

## Trouble-Shooting

- Is it truly part of the FFATA reporting requirement?
  - Confirm that the award is a Type 1 award issued on or after October 1, 2010 or subsequent award to such a Type 1;
- Are you using the correct identifier?
  - The FAIN for NIH awards is based on the NIH award number but only the activity code, IC, and serial number. Example: NIH award *1R01CA987654-01A1* appears as FAIN *R01CA987654*.
- Is the award in USASpending?
  - Do a grant search at <http://www.usaspending.gov/advanced-search>. If your award is listed on USASpending.gov it should also appear in FSRs.gov.

# Audit Requirements

**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.**

# Summary of Audit Requirements

Grantee Type	Source of Audit Requirement	Where to Submit Audit Reports
State & Local Governments Colleges & Universities Non-Profits Hospitals	OMB Circular A-133 45 CFR Part 74.26	Online to: <a href="http://harvester.census.gov/fac/colle ct/ddeindex.html">http://harvester.census.gov/fac/colle ct/ddeindex.html</a> Questions: 1-800-253-0696
For-Profits	45 CFR Part 74.26 (d)	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
Foreign	NIH GPS, uses 45 CFR Part 74.26(d)	(same as For-Profits)

# 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 1<sup>st</sup> of the month preceding the month in which the budget period ends (paper submission)
- SNAP progress reports are due the 15<sup>th</sup> 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 due on the anniversary  
(<http://grants.nih.gov/grants/policy/myf.htm>)
- Searchable list to determine which progress reports are due: [http://era.nih.gov/userreports/pr\\_due.cfm](http://era.nih.gov/userreports/pr_due.cfm)

# Closeout Final Reports

***Grantees are strongly encouraged to 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:**
  - Division of Centralized Grants Processing, OER**
  - 6705 Rockledge Drive, Suite 5016, MSC 7986**
  - Bethesda, MD 20892-7986 (for regular or US Postal Service Express mail)**
  - Bethesda, MD 20817 (for other courier/express mail only)**



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# **Requirements and Compliance Assistance for OHRP / OLAW**

# News from the Office for Human Research Protections

- **2013 Update to the International Compilation of Human Research Standards - Now Available at <http://www.hhs.gov/ohrp/international/index.html>**

**More at: <http://www.hhs.gov/ohrp/newsroom/index.html>**

# Office of Laboratory Animal Welfare (OLAW)

*...provides guidance & interpretation of the PHS Policy, supports educational programs, and monitors compliance with the Policy by Assured institutions and PHS funding components to ensure the humane care and use of animals in PHS-supported research, testing, and training, thereby contributing to the quality of PHS-supported research.*

- **New MOU Between NIH and the VA Posted January 24, 2013** - available at [http://grants.nih.gov/grants/olaw/references/mou\\_olaw.htm](http://grants.nih.gov/grants/olaw/references/mou_olaw.htm)
- **Flow Chart for Guidance on Departures from the Guide Posted January 18, 2013**
  - Added tool for Assured institutions in meeting the reporting requirements for departures from the *Guide*. The chart is available for download on the [Departures from the Guide](#) webpage.
- **Notice of Change to Electronic Submission of Non-compliance reports: See [NOT-OD-13-144](#) issued 2/21/2013**

# OLAW Educational Outreach

- FAQs at <http://grants.nih.gov/grants/olaw/faqs.htm>
- OLAW online free quarterly webinars series:
  - OLAW Online <http://grants.nih.gov/grants/olaw/e-seminars.htm>
  - Recordings of past webinars  
[http://grants.nih.gov/grants/olaw/educational\\_resources.htm](http://grants.nih.gov/grants/olaw/educational_resources.htm)



# Planned Upcoming OLAW-supported Workshops 2013

May	New York, NY	SCAW Contingency Planning
June	St. Louis, MO	IACUC 101/Special Scenarios
June	Beltsville, MD	Meeting the Information Requirements of the Animal Welfare Act
September	Portland, OR	IACUC 101/201 PLUS
October	Baltimore, MD	SCAW IACUC Training
November	Washington, DC	IACUC 101/201 PLUS
December	San Antonio, TX	IACUC Winter Conference

# **Electronic Post Award Administration**

# Electronic Administrative Supplements

- **Electronic submission of admin supplement pilot began February 1, 2012.**
  - **Optional for all single project grantees**
    - **Complex, multi-project grants not included in pilot;**
  - **Parent FOA PA-12-100 used for submission**
  - **Can submit through the eRA Commons**
    - **To take advantage of pre-population of fields;**  
**OR**
  - **Can submit through Grants.gov**
    - **For schools that have systems that interact directly with Grants.gov.**
- **Contact IC or review IC web site before submitting**

More at: [NOT-OD-12-024](#)



# Electronic Post-Award Change of Grantee Organization

- Pilot of electronic submission of post-award Change of Grantee Organization applications (Type 7)
- Available only if the activity code of award has transitioned to electronic submission of competing application
- NIH Guide [NOT OD-12-134](#)
- Must use Parent FOA for Change of Grantee Organization Applications: [PA-12-270](#)

# Electronic Post-Award Change in Grantee Status (Successor-in-Interest)

- Pilot of electronic submission of post-award Change of Grantee Organizational Status Successor-in-interest Applications (Type 6)
- Available only if the activity code of award has transitioned to electronic submission of competing application
- NIH Guide [NOT OD-12-133](#)
- Must use Parent FOA for Change of Grantee Organizational Status: [PA-12-269](#)

# Electronic Post-Award Relinquishing Statements

- Pilot of electronic submission of Official Statement Relinquishing Interests and Rights in a PHS Grant (PHS 3734)
- eRA Change of Institution module
- Available to all--does not require activity code to have transitioned to electronic application submission
- NIH Guide [NOT OD-12-132](#)

# My NCBI

- **New Tool now available for Paper Progress Reports: My Bibliography can generate printable PDF report of publications. Use to submit Section 2.2.6, Section E. Publications of the paper PHS 2590 progress report.**
- **Facilitates grantee reporting in two ways;**
  - **quickly provides public access compliance status of each publication arising from the award in an easy to understand format;**
  - **ensures grant-paper associations reported on PHS 2590 are captured in RePORTER and other NIH electronic systems.**
- **Grantees are encouraged to voluntary use the PDF report now. Will be required this summer (when the RPPR is required for SNAP and Fellowships awards.)**
- **Instructions for the PDF report are available at [http://www.nlm.nih.gov/pubs/techbull/nd12/nd12\\_myncbi\\_pdf.html](http://www.nlm.nih.gov/pubs/techbull/nd12/nd12_myncbi_pdf.html)**

More at: [NOT-OD-13-017](#)

# Public Access Compliance Monitor

- NIH announced release of the Public Access Compliance Monitor (<http://www.pubmedcentral.nih.gov/utis/pacm>)
- A web-based tool that institutions can use to track compliance of publications that fall under the NIH Public Access Policy.
- By providing efficient and flexible methods for retrieving, viewing, and organizing public access compliance information, the compliance monitor supports the efforts of grantee organizations to ensure their awards are compliant.
- For additional information, see [NOT-OD-13-020](#).

# Changes to Public Access Compliance— Effective with 7/1/2013 Start Dates

- For non-competing award with starts dates on/after 7/1/2013
- NIH will delay processing award if publications arising from it are not in compliance
- Investigators must use My NCBI
- Electronically associated on RPPRs
- Include PDF Report from My NCBI in paper Progress Reports
- See Notice [NOT-OD-13-042](#)

# **Update on Electronic Submission & eRA Commons**

# Electronic Submission of Multi-Project Applications

- **NIH plans to transition all multi-project applications to electronic submission using the SF 424 (R&R) form set by January 2014.**
  - **November 2012 — Launched Application Submission System and Interface for Submission Tracking (ASSIST) and began issuing a series of pilot funding opportunity announcements of varying activity codes that will require electronic submission for due dates between January and September 2013. These FOAs will be listed on the [multi-project application electronic submission transition timeline](#) as they are published;**
  - **September 25, 2013 — All applications submitted in response to FOAs with the following activity codes intended for September 25, 2013 due dates and beyond will require electronic submission: P01, P20, P50, R24, U24, U19;**
  - **January 25, 2014 — All applications submitted in response to FOAs with the following activity codes intended for January 25, 2014 due dates and beyond will require electronic submission: G12, P30, P40, P41, P42, P51, P60, R28, U10, U41, U42, U45, U54, U56, UC7, UM1.**
- **Organizations that use [system-to-system](#) solutions to transmit applications via data stream to Grants.gov rather than using the Grants.gov forms should check with their service providers to determine when their systems will be able to accommodate multi-project applications through Grants.gov.**

More at: [NOT-OD-12-161](#)



# Update on eRA Commons: LikeThis

## A Thesaurus-Based Search Tool

LikeThis provides a powerful and integrated search tool in a user friendly interface. With the ability to find similar projects and publications, Principal Investigators can more quickly and efficiently:

- find out new ideas for research based on what NIH has awarded in the past;
- see what NIH is doing in his or her area of interest;
- use the information as a decision tool to determine if they need to come up with a fresh research idea;
- and figure out in which study section his or her application should be reviewed.

More at:

[http://era.nih.gov/services\\_for\\_applicants/like\\_this/likethis.cfm](http://era.nih.gov/services_for_applicants/like_this/likethis.cfm)

# Update on eRA Commons: Streamlining Delegations

- New Delegation Tab added to Commons;
- Found on the Admin tab after logging into eRA Commons;
- Allows scientists to delegate administrative tasks;
  - Status;
  - Progress Reporting;
  - Publications;
  - And More.
- SOs will be able to delegate authority from the *Delegate Progress Report* and *Delegate Sponsor* links on their *My Delegates* screen.

# Update on eRA Commons: Password Reminder

- Password policy
  - eRA Commons passwords now expire every 90 days;
  - Change was *required* for compliance with security policies;
  - Details of the password policy:  
[http://era.nih.gov/files/NIH\\_eRA\\_Password\\_Policy.pdf](http://era.nih.gov/files/NIH_eRA_Password_Policy.pdf)

# Tips for eSubmission Success

**Remember to use the latest forms available for your funding opportunity announcement (FOA)**

- **Identify form version by Competition ID**
- **Competition ID ADOBE-FORMS-B2 currently in use**
- **Competition ID FORMS-C coming summer 2013**

# Tips for eSubmission Success

- **Register Early!**
  - Registration with both Grants.gov (organizations only) and eRA Commons (organizations & PD/PIs); must be completed before the submission deadline
  - Allow 4 weeks to complete new registrations.
- **Keep registrations active**
  - System for Award Management (SAM), formerly CCR, information must be updated at least every 12 months to remain active.
  - See also NIH Guide Notice [OD-13-054](#) Reminder of NIH Policy on System Issues that Threaten On-Time Grant Application Submission

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

# Tips for eSubmission Success

- **Carefully follow the specific guidelines found in the Application Guide and the Funding Opportunity Announcement (FOA)**
  - **Instructions in the FOA trump those found in the Application Guide**
- **Check your application for common errors before you submit**
  - [http://grants.nih.gov/grants/ElectronicReceipt/avoiding\\_errors.htm](http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm)
- **Submit early!**
  - **Think days, not hours or minutes before deadline**

# Tips for eSubmission Success

- **Correct any errors before the application due date**
  - **If errors are found in the submission process, you must submit a changed/corrected application before the submission deadline.**
- **View your application in Commons**
  - **YOU are responsible for verifying that your error-free application is viewable in the eRA Commons and correctly reflects your submission;**
  - **If you can't VIEW it, NIH can't REVIEW it!**

# Helpful NIH Resources



# Frequently Asked Questions

- **FAQs include questions about:**
  - **Application/progress report preparation, funding initiatives, policies, human subjects, animals, disaster response, etc...**
    - [http://grants.nih.gov/grants/frequent\\_questions.htm](http://grants.nih.gov/grants/frequent_questions.htm)
  - **NIH Salary Cap in FY 2013**
    - [http://grants.nih.gov/grants/policy/fy2012\\_salary\\_cap\\_faqs.htm](http://grants.nih.gov/grants/policy/fy2012_salary_cap_faqs.htm)
  - **Key word search**

More at: [http://grants.nih.gov/grants/frequent\\_questions.htm](http://grants.nih.gov/grants/frequent_questions.htm)

# Tools to Search NIH Funding

- **Research Portfolio Online Reporting Tools (RePORT)** <http://report.nih.gov>
  - Provides access to reports, data and analysis of NIH research activities, including ARRA-specific data queries, and more;
  - Quick links to “Frequently Requested Reports,” FAQs.
- **RePORT EXPENDITURES & RESULTS (RePORTER)** <http://projectreporter.nih.gov/reporter.cfm>
  - Tool used to search information from NIH project databases and funding records, PubMed abstracts and full-text articles, and invention reporting (iEdison, Interagency Edison);
  - Replaces CRISP.

# Summary of Helpful NIH Web Pages

- **Office of Extramural Research (OER) Web Page**  
<http://grants.nih.gov/grants/oer.htm>
- **NIH Grants Policy Statement (Rev. 10/11)**  
[http://grants.nih.gov/grants/policy/nihgps\\_2011/index.htm](http://grants.nih.gov/grants/policy/nihgps_2011/index.htm)
- **NIH Extramural Nexus – newsletter for the extramural community**  
<http://nexus.od.nih.gov/all/nexus-by-date/>
- **Rock Talk**  
<http://nexus.od.nih.gov/all/rock-talk/>
- **Grant Application Basics**  
[http://grants.nih.gov/grants/grant\\_basics.htm](http://grants.nih.gov/grants/grant_basics.htm)

# Summary of Helpful NIH Web Pages

- **Applying Electronically**

<http://grants.nih.gov/grants/ElectronicReceipt/index.htm>

- **Annotated SF424 (R&R) Application Forms (General and Small Business and Multi-project)**

<http://grants.nih.gov/grants/ElectronicReceipt/communication.htm#forms>

- **Ten Checks to Help Avoid Common Application Errors**

[http://grants.nih.gov/grants/ElectronicReceipt/avoiding\\_errors.htm#10checks](http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm#10checks)

- **Do I have the right electronic forms for my NIH application?**

[http://grants.nih.gov/grants/ElectronicReceipt/files/right\\_forms.pdf](http://grants.nih.gov/grants/ElectronicReceipt/files/right_forms.pdf)

# Summary of Helpful NIH Web Pages

- **NIH Extramural Response to Natural Disasters**  
[http://grants.nih.gov/grants/natural\\_disasters.htm](http://grants.nih.gov/grants/natural_disasters.htm)
- **eRA Commons Web pages**  
<http://era.nih.gov/>
- **eRA Commons User Guides**  
[http://era.nih.gov/commons/user\\_guide.cfm](http://era.nih.gov/commons/user_guide.cfm)
- **Updated (1-24-2012) Commons User Guide**  
[http://era.nih.gov/Docs/COM\\_UGV2630.pdf](http://era.nih.gov/Docs/COM_UGV2630.pdf)
- **Self Help Resources page:**  
[http://era.nih.gov/help/self\\_help.cfm](http://era.nih.gov/help/self_help.cfm)
- **Intellectual Property Policy**  
<http://grants.nih.gov/grants/intell-property.htm>

# NIH OER Listservs

- **NIH Guide for Grants and Contracts:**
  - Official publication for NIH Grant Policies, Guidelines & Funding Opportunities
  - <http://grants.nih.gov/grants/guide/listserv.htm>
- **Office for Human Research Protections (OHRP):**
  - [Office for Human Research Protections \(OHRP\)](#)
- **Office of Laboratory Animal Welfare (OLAW):**
  - <http://grants.nih.gov/grants/olaw/references/list.htm>
- **eSubmission:**
  - Separate listservs available for scientists and administrators
  - <http://era.nih.gov/ElectronicReceipt/listserv.htm>

# Grants Information: Who to Contact!

- **General Application Questions:**
  - E-Mail: [GrantsInfo@nih.gov](mailto:GrantsInfo@nih.gov)
  - Phone: 301-435-0714
- **Grants.gov Customer Support:**
  - E-Mail: [support@grants.gov](mailto:support@grants.gov)
  - Webpage: <http://grants.gov/>
  - Phone: 800-518-4726
- **eRA Commons Helpdesk:**
  - Web: <http://era.nih.gov/help/>
  - Toll-free: 1-866-504-9552
  - Phone: 301-402-7469
  - TTY: 301-451-5939
  - Hours: Mon-Fri, 7a.m. to 8 p.m. Eastern Time

# Grants Information: Who to Contact (cont'd)

- **Division of Grants Policy:**
  - **E-Mail:** [GrantsPolicy@mail.nih.gov](mailto:GrantsPolicy@mail.nih.gov)
  - **Phone:** 301-435-0949
- **Division of Grants Compliance & Oversight:**
  - **E-Mail:** [GrantsCompliance@mail.nih.gov](mailto:GrantsCompliance@mail.nih.gov)
  - **Phone:** 301-435-0949



**Thank You!**

**Questions?**