

Managing Your Grant From the Beginning to End



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Notice of Award (NoA)

- The NoA is the legal document issued to notify the grantee that an award has been made and that funds may be requested from the designated HHS payment system or office. An NoA is issued for the initial budget period. If subsequent budget periods are also approved, the NoA will include a reference to those budgetary commitments. Funding for subsequent budget periods are generally provided in annual increments following the annual assessment of progress. This funding is also contingent on the availability of funds. The NoA includes all applicable terms of award either by reference or specific statements. It provides contact information for the assigned program officer and grants management specialist.

Accepting the Award

- The grantee accepts an NIH award and its associated terms and conditions by drawing or requesting funds from the Payment Management System, or upon the endorsement of a check from the US Treasury for foreign awardees.

Compliance with Terms and Conditions of Award

An NoA includes two sections (Sections III & IV) where terms of award are described. Section III of awards lists standard terms such as:

- Grant program legislation and program regulation cited in this NoA.
- Restrictions on the expenditure of federal funds in [appropriation acts](#), to the extent those restrictions are pertinent to the award.
- Code of Federal Regulations/Regulatory Requirements - [45 CFR Part 74](#) or [45 CFR Part 92](#) as applicable.
- The [National Institutes of Health Grants Policy Statement](#) (NIHGPS) in effect at the beginning date of the budget period.
- The award notice including any special terms and conditions....”
- A reference to carryover authority when applicable -
- A reference to inclusion or exclusion to SNAP as applicable
- A reference on the treatment of Program Income
- A reference to participation in the Federal Demonstration Partnership as applicable.

The NIH Grants Policy Statement, [NIHGPS](#), as a term and condition for all awards contains the legally binding requirements for all grant recipients (See Part II Terms of Award). Section IV of awards contains Special Terms and Conditions specific to the particular NIH Institute/Center and/or specific to the particular grant. It is important that you pay careful attention to the terms and conditions of an award, particularly any specific to the grant. Unless these terms are carefully reviewed and addressed, grantees may unknowingly violate the terms and conditions of the award. In those cases, NIH may place a restriction on the award, institute special monitoring procedures, or potentially terminate an award.

Post-Award Process

If you are the recipient of a grant from the NIH, there is a great deal of information that your organization will need in order to be successful steward of federal funds. The NIH [Welcome Wagon Letter](#) provides information and resources for new grantee organizations on how to manage the award.

NIH publishes policy updates in the [NIH Guide for Grants and Contracts](#). Individuals may subscribe for weekly e-mail updates.

The information provided below is just a brief overview of selected post-award processes and requirements. For full details on any of these topics, see the [NIH Grants Policy Statement](#). In addition, for specific questions, consult first with the administrative officials within your organization. The assigned NIH program officials and grants management specialists are also available to answer any remaining questions.

Monitoring Your Award

- Grantees are responsible for managing the day-to-day operations of their grant. To fulfill their role in regard to the stewardship of federal funds, NIH awarding offices monitor grants to identify potential problems and areas where technical assistance might be necessary. This active monitoring is accomplished through review of reports and correspondence from the grantee, audit reports, site visits, and other information available to NIH.

Payment

- HHS grant payments may be made by one of several advance payment methods, including SMARTLINK II/ACH, CASHLINE/ACH, or cash request, or by cash request on a reimbursement basis, as specified in the NoA. Additional information on payment is in the [NIH Grants Policy Statement](#).

Monitoring Expenditures

Applicant organizations are required to have financial systems in place to monitor their grant expenditures. NIH monitors grantee expenditures under individual grants within each budget period and within the overall project period. **The funding that NIH provides for each budget period is based on an assessment of the effort to be performed during that period and the grantee's associated budget, including the availability of "un-obligated" balances.** Although NIH allows its grantees flexibilities with respect to re-budgeting (see "[Administrative Requirements—Changes in Project and Budget](#)" in the NIH Grants Policy Statement), NIH expects the rate and types of expenditures to be consistent with the approved project and budget and may question or restrict expenditures that appear inconsistent with these expectations.

The Grants Management Specialist (GMS) reviews grantee cash expenditure reports to determine whether they indicate a pattern of accelerated or delayed expenditures. Expenditure patterns are of particular concern because they may indicate a deficiency in the grantee's financial management system or internal controls. Accelerated or delayed expenditures may result in a grantee's inability to complete the approved project within the approved budget and period of performance. In these situations, the GMS may seek additional information from the grantee and may make any necessary and appropriate actions.

Prior Approval Requests

All requests that require prior NIH approval must be made in writing (e-mail is acceptable) to the Grants Management Officer at least 30 days before the proposed change. The request must be endorsed by the Authorized Organization Representative. Failure to obtain required prior approval from the appropriate NIH awarding office may result in the disallowance of costs, termination of the award, or other enforcement action within the NIH's authority.

See the [NIH Grants Policy Statement on Prior Approval Requirements](#).

If you have questions, contact the grants management specialist or the program official named in your NoA.

Requests for Prior Approval

All requests for NIH awarding IC prior approval must be made in writing (including submission by e-mail) to the GMO no later than 30 days before the proposed change, and signed by the AOR. If the request is e-mailed, it must provide evidence of the AOR's approval; a cc to the AOR is not acceptable. Failure to obtain required prior approval from the appropriate awarding IC may result in the disallowance of costs, termination of the award, or other enforcement action within NIH's authority. While the PD/PI signature is no longer required as part of the submission to NIH, the grantee must secure and retain such a signature for each prior approval request and make it available to NIH or other authorized DHHS or Federal officials upon request. When multiple PD/PIs are recognized for a particular grant, this requirement applies to all PD/PIs. (See [Policies Affecting Applications-Program Director/Principal Investigator, Individual Fellowship and Sponsor Assurance](#)).

Prior Approval Requests cont.

- E-mail requests must be clearly identified as prior approval requests, must reflect the complete grant number in the subject line, and should be sent by the AOR to the GMO that signed the NoA. Contact information is provided on each NoA and is also available in the eRA Commons. E-mail addresses for NIH staff can be also obtained from the NIH Enterprise Directory at: <https://ned.nih.gov/search/>. E-mail requests must include the name of the grantee, the name of the initiating PD/PI, the PD/PI's telephone number, fax number, and e-mail address, and comparable identifying information for the AOR.
- The GMO will review the request and provide a response to the AOR indicating the final disposition of the request, with copies to the PD/PI and to the cognizant NIH PO. Only responses provided by the GMO are considered valid. Grantees that proceed on the basis of actions by unauthorized officials do so at their own risk, and NIH is not bound by such responses.
- Whenever grantees contemplate rebudgeting or other post-award changes and are uncertain about the need for prior approval, they are strongly encouraged to consult, in advance, with the GMO.
- Under a consortium agreement or contract, the prior approval authority usually is the prime grantee. However, the prime grantee may not approve any action or cost that is inconsistent with the purpose or terms and conditions of the NIH grant. If an action by a consortium participant will result in a change in the overall grant project or budget requiring NIH approval, the prime grantee must obtain that approval from NIH before giving its approval to the consortium participant

Reporting Requirements

- Progress reports are required at least annually as part of the non-competing continuation award process. The [Non-Competing Continuation Progress Report](#) (PHS 2590), or equivalent documentation, must be submitted to, and approved by, the NIH to receive funding for each subsequent budget period (non-competitive segment) within a previously approved project period (competitive segment).

NIH Announces an Adjustment to Transition Timeline for Electronic Submission of Multi-Project Applications

Background

Since 2005, NIH has been transitioning its grant programs to electronic submission of applications through the fed-wide portal, Grants.gov, using the SF424 (R&R) form set. In 2010, NIH completed the transition for all its grant programs, except NIH's complex, multi-project applications.

NIH has been piloting a new submission system (ASSIST) with select FOAs since January 2013 (see [timeline](#)). Feedback from the pilot has been used to improve the submission process and enhance the ASSIST user experience. Applicant organizations which use system-to-system solutions will be able to use those services for submitting multi-project applications into Grants.gov if the provider offers that service.

Transition Plan

The transition will be done by activity code. As each activity code transitions, all applications submitted in response to funding opportunity announcements (FOAs) for programs with that activity code will require electronic submission

May 25, 2014 — Electronic submission required for all applications intended for due dates on or after May 25, 2014 submitted in response to FOAs with the following activity codes: U54, UM1. (including new, resubmission, renewal and revision applications).

NIH Will Require the Research Performance Progress Report (RPPR) for All Type 5 Non-SNAP Progress Reports on October 17, 2014

Background

NIH requires use of the RPPR module to submit progress reports for Streamlined Non-competing Award Process (SNAP), fellowship, and multi-year funded awards. NIH has piloted the use of the RPPR for non-snap type 5 awards since November 2013, and is now expanding the requirement to use the RPPR to all type 5 non-SNAP awards. Note: NIH continues development of the RPPR for final progress reports and for administrative extensions (Type 4s; e.g., SBIR/STTR Fast-Track Phase II application) and will update the community as progress is made.

Additional information and resources on the RPPR, including the current RPPR Instruction Guide and training archives, can be found at:

<http://grants.nih.gov/grants/rppr/>.

Financial Reporting

Financial reporting is accomplished using the Federal Financial Report (FFR) ([SF-425/SF-425A](#)).

Federal Financial Report (SF425) Cash Transaction Reports.

- Cash transaction data is submitted on a quarterly basis directly to PMS. For more information on cash transaction reports, see the [Division of Payment Management's Web site](#).
- **Federal Financial Report (SF425) Expenditure Data Reports**
- Expenditure data is required as documentation of the financial status of grants according to the official accounting records of the grantee organization.
- Except for awards under SNAP and awards that require more frequent reporting, the FFR expenditure data is required on an annual basis. Annual expenditure data is required for awards to foreign organizations and federal institutions, whether or not they are under SNAP. When required on an annual basis, the report must be submitted for each budget period no later than 90 days after the end of the calendar quarter in which the budget period ended. The report also must cover any authorized extension in time of the budget period. If more frequent reporting is required, the NoA will specify both the frequency and due date.
- Beginning February 1, 2011 all FFR expenditure data must be submitted electronically through the [eRA Commons](#). ([NIH Guide Notice](#))

Reminders:



- U54's do not have carry over authority
- Read terms and conditions included in NoA once you receive it
- Submit Progress Report on time
- If in doubt, contact your grants management specialist or you may also contact me: perryc@mail.nih.gov, 240-276-7282

Links

- http://grants.nih.gov/grants/policy/nihgps_2013/ **NIH Grants Policy Statement**
- <http://grants.nih.gov/grants/rppr/> **Research Performance Progress Report (RPPR)**
- <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-092.html> **NIH Will Require the Research Performance Progress Report (RPPR) for All Type 5 Non-SNAP Progress Reports on October 17, 2014 - See more at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-092.html#sthash.XyXFPWb7.dpuf>**
- <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-075.html> **NIH Announces an Adjustment to Transition Timeline for Electronic Submission of Multi-Project Applications, guide notice, May 30, 2013**
- <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-161.html> **NIH Announces Plans to Transition to Electronic Submission of Multi-Project Applications, guide notice, September 28, 2012**

Questions

