

2016 PACHE Investigators Workshop

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Topics to be discussed...

- Explanation of the Notice of Award (NoA)
- Accounting for the funding of an award
- Annual Reporting
- Prior approval
- Unobligated balances
- Things to remember
- Resources

The Notice of Award (NoA)

- Legally binding document
- Identifies grants number, recipient, PD/PI
- Establishes funding level and period of approved support with future year commitments
- Sets forth terms and conditions
- Includes awarding agency contact info – Grants and Program
- Electronically available to recipient

Accounting for the funding in the NoA

- Funds are made available via the Payment Management System
- All restricted funds must be tracked separately
- Recipients are responsible for connecting all expenses to the grant
- The recipient indicates acceptance of all terms and conditions included in the award by drawing down funds from the Payment Management System

Annual Progress Reports

- Research Performance Progress Report (RPPR)
- Due 60 days prior to the anniversary date
- More information on the RPPR including can be found on the NIH Website: <http://grants.nih.gov/grants/rppr/index.htm>

Annual Progress Reports

- The Specialist reviews
 - Human/animal subjects assurances and IRB/IACUC approvals
 - Reviews changes in Other Support
 - Changes in Key Personnel and effort levels
 - Resolves budgetary issues (carryover requests, restricted funds, financial status reports, etc...)
 - Follows up on restricted terms of award



Prior Approval

NCI prior approval is required for, but not limited to, the following
(send requests to both the PD and GMS):

- Change in scope
- Change of PI and or Key personnel named in the NOA
- Change in Multi PI status
- Change of grantee institution
- Addition of a foreign component
- Undertaking activities disapproved or restricted as a term of award
- Need for additional NIH funds
- Carryover of funds between budget periods
- Second or subsequent No-Cost Extension
- Retention of research grant funds when a career award (K) is made

Prior Approval

Of particular note:

- Significant reduction in the level of effort of key personnel requires NCI prior approval
 - Significant is defined as a 25% or more reduction in effort
 - PI is **always** defined as key personnel
 - Other key personnel would need to be specifically named in the terms of the notice of grant award

Prior approval issues – the Rules

- All requests for prior approval must be:
 - Submitted in writing/e-mail letter – included complete grant number, PD/PI name and recipient name
 - Must be submitted by the Authorized Organizational Official for the recipient
 - Best to submit the request approximately 30 days prior to change
 - Send the request to the grant's Grants Management Specialist and Program Official
 - Detail the specific need with appropriate justification (scientific and budget, as appropriate)

Prior Approval – the Rules

- The following items do require prior approval which can only be provided by the grants management office (in consultation with Program)
 - Additional of a foreign component
 - Pre-award costs more than 90 days of a competing award
 - Change in scope
 - Deviation from award terms and conditions
 - Change in the PI or other key personnel identified in the award
 - Change in recipient organization (i.e. transfer)
 - Extension for more than 12 months
 - Need of additional funding

Post-Award Issue – problems with the research

- Scientific and therefore budget delays do occur
 - Research is starting slower than expected
 - Issues with hiring personnel
 - Trouble with obtaining necessary approvals
 - Enrollment is lower than anticipated
- Engage with your Grants Management and Program staff sooner than later
 - Will greatly aid in future conversations and considerations

Post-Award Issue – unobligated balances

- NIH is held to the Bona Fide Need Rule – can we (the awarding agency) expect all available and yet to be awarded \$ to be spent in the listed time period given what is scientifically planned?
- Provide an accurate estimate of the balance and assessment of the project
- Be clear in explaining what may have occurred and what you are planning

Post-Award Issue – Unobligated Balance

- Tips in working with NIH on situations regarding your balance:
 - Balances typical equate to slow progress – be forthcoming
 - Submit timely reports (FFRs) and information
 - Discuss options proactively

Carryover Requests

Includes at a minimum:

- A detailed budget by direct cost category with the F&A cost information (base and rate) for the proposed use of the carryover funds. If personnel costs are requested, include a detailed breakdown of personnel costs, including base salary, salary requested and effort to be spent on the project during the extension.
- A scientific justification for the use of funds.
- The reason for the unobligated balance.

No Cost Extension

- The request should include:
 - A description of the project activities that require support during the extension
 - A statement about the funds available to support the extension.

Further any late notification of the initial no-cost extension provided by the NIH Standard Terms of Award also requires prior approval.

Things to Remember

- Prepare for closeout for any projects that are ending
 - Close-out is serious business – see [NIH guidance](#)
- Submit timely reports and applications
- Stay on top of your associated requirements (ex. [Public Access](#) and [Financial Conflict of Interest](#))
- Make sure you know your organization's policies and procedures – they may be more rigid than the Federal requirements

Resources

- NIH Grants Policy Statement:
 - <http://grants.nih.gov/grants/policy/nihgps/HTML5/introduction.htm>
- NCI Grants Process
 - <http://www.cancer.gov/grants-training/grants-process>
- NIH Guide to Grants and Contracts
 - [http://grants.nih.gov/funding/searchGuide/nih-guide-to-grants-and-contracts.cfm?
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