

# Updates in NCI Grants Processing

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# Career Award (K) Updates

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**Career Award (K) Policy Update:** Temporary Adjustments to Percent Effort or Part-Time Institutional Appointment

**(Guide Notice [NOT-OD-18-156](#))** – Effective **April 10, 2018**

- For Temporary Reductions in Effort and Temporary Part Time Appointments:
  - NIH will adjust the total salary amount committed to the K award consistent with the adjusted level of effort, but will continue to provide full research costs in other budget categories as indicated on the original Notice of Award.
- K awardee may request to extend the duration of the award to account for the reduced effort.

## Career Award (K) Updates (Continued)

### Career Award (K) Policy Update: Concurrent Support from a Mentored K Award and a Research Grant

(**Guide Notice** [NOT-OD-18-157](#) ) – Effective **April 6, 2018**

- Reduction in effort is allowable if the K awardee becomes a PD/PI on any non – federal peer reviewed research grant \$100,000 direct cost or more.
- K22 and K99 awardees must provide strong justification and institutional assurance that the additional research responsibilities will be beneficial to their overall career development.
- During the period of reduced effort, NIH will adjust the total salary support committed to the K award consistent with the adjusted level of effort

# Career Award (K) Updates (Continued)

## Salary Supplementation and Compensation

(Guide Notice [NOT-OD-17-094](#)) – Effective **July 24, 2017**

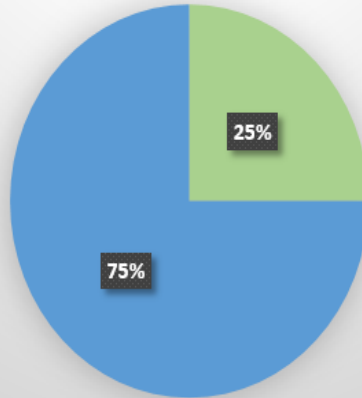
- Effort related to the career award can be supplemented from a Non-Federal source, i.e. institutional funds or private contributor.
- Effort NOT related to the career award can be compensated by another Federal grant as long as the work is not related to the career award.

# Career Award (K) Updates (Continued)

## Salary Supplementation and Compensation

### 100% Full-Time Professional Percent Effort for K award PIs

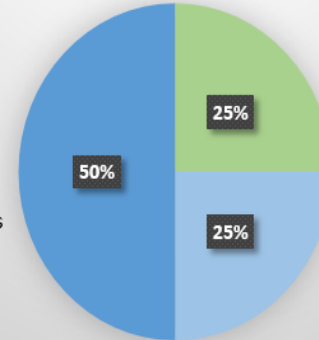
75% minimum devoted to K award (50% minimum for certain clinical specialties). *Salary supplementation* must be from non-Federal source



Up to 25% not devoted to K award. *Salary compensation* may be from Federal grant or non-Federal source, including salary support for research, teaching or clinical duties.

### Percent effort for *mentored* K award PI with independent federal funding during the final 2 years of their K award\*

50% minimum devoted to K award. *Salary supplementation* must be from non-Federal source



Up to 25% not devoted to K award. *Salary compensation* may be from Federal grant or non-Federal source

25% research and career development. *Salary compensation* only if PD/PI on Federal grant

\* Only for K award programs 3-5 years long. See NIH Guide Notice [NOT-OD-08-065](#) for full policy details

<https://nexus.od.nih.gov/all/2017/10/11/clarifying-percent-effort-and-support-for-career-development-k-awardees/>

## Career Award (K) Reminders

- K awardees are not prohibited from applying for or holding R01s or other NIH grants during their K.
- K awardees may be co-investigators on other NIH grants—must have effort available to receive salary compensation and the aims must be different
- Private/foundation grants are OK. Cannot detract from the purpose of the K Award.
- Most Ks can be extended by the institution for up to 12 months
- Transfers are common, but a change of PI is not allowed.

# Career Award (K) Resources

## NIH's Research Career Development homepage

<https://researchtraining.nih.gov/programs/career-development>

Contains: Explanation of programs, FAQs, Policy Notices, NIH Resources

## Career Development Chapter of NIH Grants Policy Statement:

[http://grants.nih.gov/grants/policy/nihgps/HTML5/section\\_12/12\\_research\\_career\\_development\\_k\\_awards.htm?Highlight=career development](http://grants.nih.gov/grants/policy/nihgps/HTML5/section_12/12_research_career_development_k_awards.htm?Highlight=career%20development)

**FAQs for all things K:** <http://researchtraining.nih.gov/resources/faq>

**Career Path Resource:** <https://researchtraining.nih.gov/career-path>



# Research Grants and Cooperative Agreement Updates...

# New Application Packages (FORMS-E)

- FORMS-E Application Packages is ***REQUIRED*** starting **01/25/2018** (including new Human Subject and Clinical Trails form)
- Consolidates information from multiple forms
- Incorporates structured data fields
- Collects information at the study-level
- More information on new form at <https://grants.nih.gov/policy/clinical-trials/new-human-subject-clinical-trial-info-form.htm>

**PHS Human Subjects and Clinical Trials Information**

OMB Number: 0925-0001  
Expiration Date: 03/31/2020

Please complete the human subjects section of the Research & Related Other Project Information form prior to completing this form.

The following items are taken from the Research & Related Other Project Information form and displayed here for your reference. Any changes to these fields must be made on the Research & Related Other Project Information form and may impact the data items you are required to complete on this form.

Are Human Subjects Involved?  Yes  No

Is the Project Exempt from Federal regulations?  Yes  No

Exemption number:  1  2  3  4  5  6  7  8

**If No to Human Subjects**

Does the proposed research involve human specimens and/or data?  Yes  No

If Yes, provide an explanation of why the application does not involve human subjects research.

Skip the rest of the PHS Human Subjects and Clinical Trials Information Form.

**If Yes to Human Subjects**

Add a record for each proposed Human Subject Study by selecting 'Add New Study' or 'Add New Delayed Onset Study' as appropriate. Delayed onset studies are those for which there is no well-defined plan for human subject involvement at the time of submission, per agency policies on Delayed Onset Studies. For delayed onset studies, you will provide the study name and a justification for omission of human subjects study information.

**Other Requested Information**

**Study Record(s)**

Attach human subject study records using unique filenames.

**Delayed Onset Study(ies)**

	Study Title	Anticipated Clinical Trial?	Justification
		<input type="checkbox"/>	<input type="text"/>
			<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>

# Prior Approvals and Reminders

# NIH NATIONAL CANCER INSTITUTE

Español

1-800-4-CANCER Live Chat Publications Dictionary

- ABOUT CANCER
- CANCER TYPES
- RESEARCH
- GRANTS & TRAINING
- NEWS & EVENTS
- ABOUT NCI
- search
- Q

## RESEARCH GRANTS

- Funding Opportunities
- Research Program Contacts
- Funding Strategy

## GRANTS POLICIES & PROCESS

- Introduction to Grants Process
- Legal Requirements
- NCI Policies

## APPLY FOR A GRANT

- Application Development & Submission
- Receipt & Assignment
- Peer Review & Outcomes
- Award Issuance

## MANAGE YOUR AWARD

- Grants Management Contacts
- Monitoring
- Prior Approvals ←
- Annual Reporting & Auditing
- Grant Transfer
- Grant Closeout

## CONTRACTS & SMALL BUSINESS

## TRAINING

- Cancer Training at NCI (Intramural)
- Funding for Cancer Training (Extramural)
- Building a Diverse Workforce
- Other Fellowships & Internships
- Training Program Contacts

**MANAGE YOUR AWARD**Grants Management  
Contacts

Monitoring

**Prior Approvals**

Carryover Requests

Annual Reporting and  
Auditing +

Transfer of a Grant

Grant Closeout

# Prior Approval Guidance

## Prior Approval Requests

In general, NIH recipients are allowed a certain degree of latitude to rebudget within and between budget categories to meet unanticipated needs and to make other types of post-award changes. Some changes may be made at the recipient's discretion as long as they are within the limits established by NIH, and some will require prior approval.

**ON THIS PAGE**

- [Prior Approvals](#)
- [Rebudgeting](#)

### Prior Approvals

In some cases, NIH prior written approval may be required before a recipient makes certain budget modifications or undertakes particular activities. Circumstances in which prior approval is required include but are not limited to:

- a change in scope of the project,
- extensions beyond the allowable 12 month period,
- change in status of key personnel,
- change of recipient organization,
- deviation from award terms and conditions,
- foreign component added to a grant to a domestic organization,
- or a need for additional NIH funding.

All requests that require prior approval must be made at least 30 days before the proposed change. The eRA Commons Prior Approval module is available for electronic submission of several prior approval requests (Withdrawal of an application, \$500K or More Direct Costs, Change of PD/PI, No Cost Extension beyond 12 mo, and Carryover). It includes the ability for the request to be routed within the institution for PD/PI input, but must be submitted by the Signing Official or Authorized Organization Representative (AOR). Once submitted, the GMO will review the request and provide a response to the AOR with copies to the PD/PI and the NCI program director. **Only responses from the GMO are considered valid.** Recipients that proceed on the basis of actions by unauthorized officials do so at their own risk.

Failure to receive prior approval may result in enforcement action such as the disallowance of costs or termination of award or other actions within agency authority. Questions should be directed to the grants management specialist designated in the NoA.

# Prior Approvals – New Online Requests

- eRA Commons now offers the capability to request some common prior approval items.
- The system includes institutional routing; only the authorized business official may submit the requests.
  - Withdrawal of an Application
  - \$500K or More Requests – Only the NCI Program Director can activate this option
  - Change of PD/PI
  - No Cost Extension
  - Request for Carryover Funds

[eRA Commons User Guide - https://era.nih.gov/docs/Commons\\_UserGuide.pdf](https://era.nih.gov/docs/Commons_UserGuide.pdf)

[Training Videos for Prior Approval Requests in the eRA Commons - https://era.nih.gov/era\\_training/era\\_videos.cfm#eracommons](https://era.nih.gov/era_training/era_videos.cfm#eracommons)

# Prior Approval – Benefits of Online Submission

- Request is tracked in the NIH systems and in your Commons account
- Request is automatically routed to the assigned Program Director and Grants Management Specialist
- **The system will pre-populate the following fields for you:**
  - Principal Investigator
  - Organization
  - IC (to which the application will be submitted)
- **The system has capability to upload supporting documents**

## MANAGE YOUR AWARD

Grants Management Contacts

Monitoring

Prior Approvals

+

Annual Reporting and Auditing

+

**Transfer of a Grant**

Grant Closeout

## Transfer of a Grant

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (period of performance). A change of recipient organization may be accomplished under most NIH grants, including construction grants. A change of recipient that involves the transfer of a grant to or between foreign institutions or international organizations must be approved by the IC's Advisory Council or Board.



- A grant to an individual may not be transferred. However, an individual fellowship may be transferred to a new sponsoring organization. The transfer process will be the same as for a change of recipient organization.
- A change in an individual fellow's department or sponsor within the same organization is not considered a change of recipient organization.
- A successor-in-interest or a name change is not considered a change of recipient.
- A change of recipient organization may involve the transfer of equipment purchased with grant funds. The transfer may be accomplished as part of the original recipient's relinquishment of the grant; otherwise, the NIH reserves the right to transfer title to equipment to the new organization as indicated in "[Administrative Requirements—Management Systems and Procedures—Property Management System Standards](#)."
- The NIH may request additional information necessary to accomplish its review of the request. Acceptance of a relinquishing statement by NIH does not guarantee approval of a transfer application for the continued funding of a project.

### Change of Institution Request (Type 7)

A Relinquishing Statement is required as part of the Change of Institution process that allows an extramural grant recipient institution to transfer an active grant to another institution. The process is initiated by the signing official of the institution that currently holds the award, who submits a Relinquishing Statement in the eRA Commons and identifies the institution that will take over the award. **This process must occur before the expiration of the current approved project period.** The receiving institution must then submit a Change of Grantee Organization application using the associated Parent Funding Opportunity Announcement.

# Change of Institution Guidance



# Reminder – Change of Institution

- **Per the NIH Grants Policy Statement (8.1.2.7)**
  - *A change of recipient organization request **must be made before the anticipated start date at the new organization and preferably several months in advance.** Failure to provide timely notification may result in disapproval of the request or significant delays in processing. Recipients are encouraged to discuss any potential issues with the awarding IC(s) prior to submitting a change of recipient organization request. If requesting a transfer in the middle of a budget period or at the end of the Federal fiscal year, recipients should contact the awarding IC for IC-specific guidance on the timing and preparation of the change of institution application.*
- **Everything can now be submitted electronically!**
  - Relinquishing statement can be submitted via the eRA Commons
  - Transfer Application Announcement (PA-18-590):  
<https://grants.nih.gov/grants/guide/pa-files/PA-18-590.html>

Thank you!





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[www.cancer.gov/espanol](http://www.cancer.gov/espanol)