



**NAVIGATE**  
UNIVERSITY OF MICHIGAN

**National Institutes of Health (NIH)**

February 27, 2020

# A Note on International Engagement

## Key points from the February 17, 2020 Town Hall

### Faculty Responsibilities

- Familiarize yourself with funding agency and U-M policies
- Disclose all activities and affiliations in M-Form, federal grant proposals, progress and final reports, and publications
- Register foreign travel
- Expand your knowledge of export controls
  - Do not bring electronic devices with sensitive data outside the U.S.
- Provide a welcoming environment for foreign visitors

*Find the link to the town hall video at:*

<https://research.umich.edu/research-u-m/international-partnerships/international-research-scholarship-guidance>

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# A Note on International Engagement

## Key points from the February 17, 2020 Town Hall

### NIH Defines “Other Support”

- All resources you have access to and are potentially related to your research - not just grants and contracts that directly support your research
- Financial and in-kind support from another institution or government (salary, lab support, travel funding, etc.)
- Support available to you at other institutions
- High-value materials (antibodies, transgenic or KO mice, etc.) that are not freely available to everyone
- Lab staff, students, and postdocs whose salary is paid by a non-U-M entity and the funds are not awarded to U-M



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# Welcome and Introduction

## Today's Guest Speakers

**Stacey Althouse, CRA**

Director of Research Administration, Ophthalmology & Visual Science

**Daniela Marchelletta**

Project Representative - Government Sponsor Team, ORSP



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# Today's Discussion



- NIH at a Glance
- Proposal Development and Submission
- Post Submission/JIT
- Award Time
- Post-Award Management
- Things to Know/Helpful Websites



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# NIH at a Glance

## MISSION

To seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability.

***For more information see:***

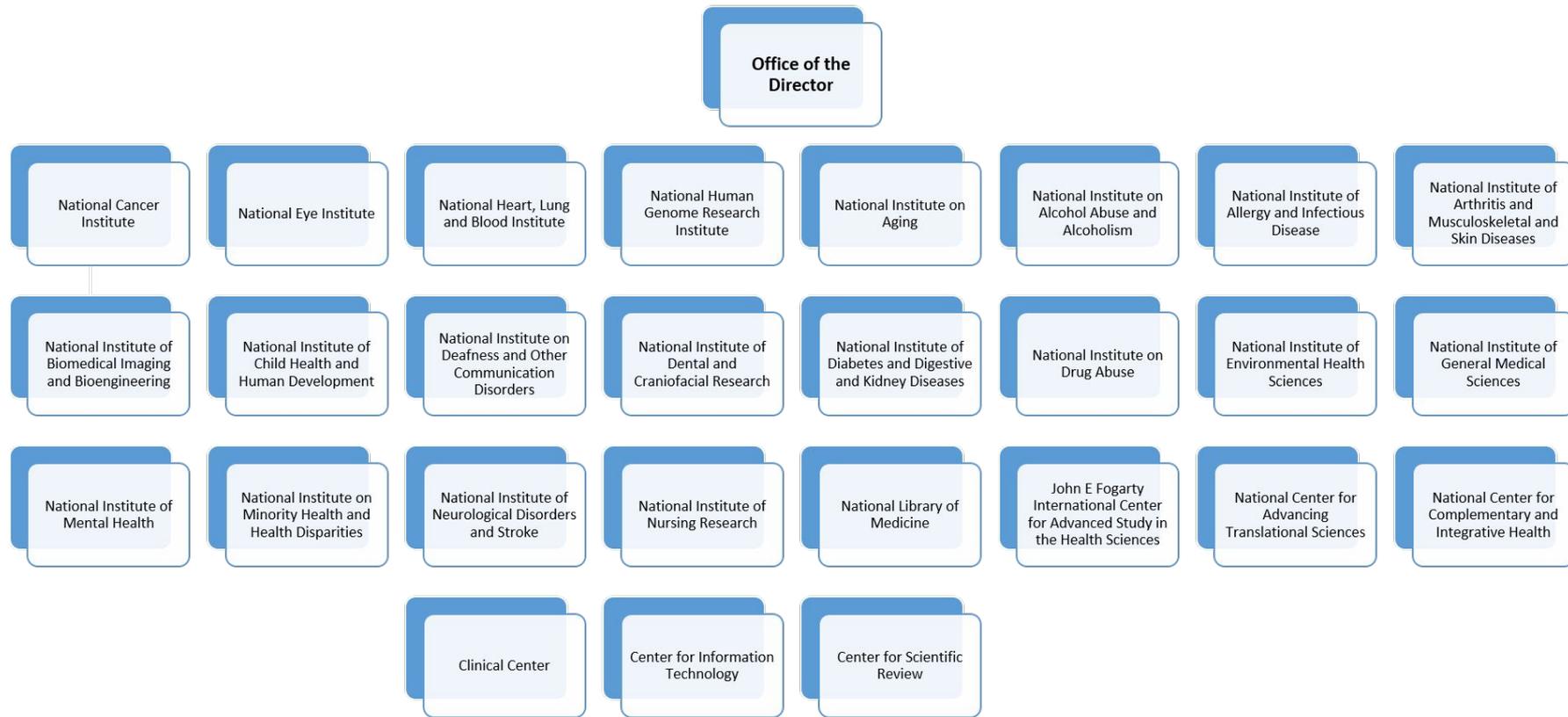
<https://www.nih.gov/sites/default/files/about-nih/discovery-into-health/nih-turning-discovery-into-health.pdf>



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# NIH at a Glance



# NIH at a Glance - The Players

- **Scientific Review Officer (SRO)**
  - Review each application assigned to the review group and determine if group is appropriate; reassign as necessary
  - Recruit reviewers and ensure scientific expertise is represented in review group
- **Program Official (PO)**
  - Develop research and training initiatives
  - Write funding opportunities
  - Provide scientific guidance to principal investigators (PIs) and monitor performance



# NIH at a Glance - The Players *(continued)*

- **Grants Management Specialist (GMS)**
  - Evaluate applications for administrative compliance
  - Negotiate awards
  - Interpret grant policies
  - **Need their approval on all requests!**
- **Authorized Organizational Representative (AOR)**
  - AORs are the ORSP Project Representatives
  - **ALL COMMUNICATIONS MUST COME FROM ORSP**

**For more information see:**

<https://grants.nih.gov/grants/how-to-apply-application-guide/resources/contacting-nih-staff.htm>



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# Proposal Development & Submission

# Types of Grant Programs

- **Types of Grant Programs**

- [https://grants.nih.gov/grants/funding/funding\\_program.htm](https://grants.nih.gov/grants/funding/funding_program.htm)
- [https://grants.nih.gov/grants/funding/ac\\_search\\_results.htm](https://grants.nih.gov/grants/funding/ac_search_results.htm)

- **Types of Applications**

- <https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/type-of-applications.htm>

- **SF424 Guide**

- <https://grants.nih.gov/grants/how-to-apply-application-guide.html>



# Types of Grant Programs

**R  
Series**

Research Grants

**P  
Series**

Program Project/Center Grants

**U  
Series**

Research Project Cooperative Agreement

**K  
Series**

Career Development Awards

**T & F  
Series**

Research Training and Fellowships



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# Types of Grant Programs

## Research Grants

**R**  
**Series**

- **Research Project Grant Program (R01)**
  - Most commonly used grant mechanism
  - Prior approval to exceed \$499,999 direct costs/year
  - 1-5 years
- **Exploratory/Developmental Research Grant Award (R21)**
  - Used for pilot and feasibility studies
  - \$275,000 total direct costs for two years



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# Types of Grant Programs

## Research Grants

**R**  
**Series**

- **Clinical Trial Planning Grant Program (R34)**
  - Allows for early review of clinical trial feasibility
  - \$100,000 - \$450,000 total direct costs for up to three years
- **Small Business Technology Transfer (R41/R42) and Small Business Innovative Research (R43/R44)**
  - Stimulates innovation in the private sector
  - Conducted in phases
  - U-M as subcontract



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# Types of Grant Programs

## Program Project/Center Grants

**P**  
**Series**

- **Research Program Project (P01)**
  - Supports integrated research projects who share resources
  - Direct costs limit in FOA
- **Center Core Grants (P30)**
  - Supports shared resources for investigators from different disciplines
- **Specialized Center (P50)**
  - Supports multidisciplinary attack on specific disease area
  - May serve as regional or national resource for specific purpose



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# Types of Grant Programs

## Cooperative Agreements

- **Research Project Cooperative Agreement (U01)**
  - Supports research projects when substantial programmatic involvement is anticipated from NIH
  - No specific dollar limit unless specified in FOA

**U  
Series**



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# Types of Grant Programs

## Career Development Awards

**K  
Series**

- **Mentored Research Scientist Career Development Award (K01)**
  - Supports postdoctoral fellows or early career research scientists who are committed to research
- **Mentored Clinical Scientist Research Career Development Award (K08)**
  - Provides clinician scientists opportunity to develop into independent investigators



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# Types of Grant Programs

## Career Development Awards

**K**  
**Series**

- **Clinical Scientist Institutional Career Development Program (K12)**
  - Provides clinician scientists appointed by the University the opportunity to develop independent research skills
- **Mentored Patient-Oriented Research Career Development Award (K23)**
  - Provides support for the career development of clinician scientists dedicated to patient-oriented research



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# Types of Grant Programs

## Research Training and Fellowships

**T & F  
Series**

- **National Service Research Award (T32)**
  - Enables institutions to recruit pre and postdoctoral fellows
- **Predoctoral Individual National Research Service Award (F31)**
  - Provides predoctoral fellows with supervised research training leading toward doctoral degree
- **Postdoctoral Individual National Research Service Award (F32)**
  - Provides postdoctoral fellows with training to broaden their scientific background



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# Types of Grant Programs

## Important Note on K, F, and T Series

- Individuals applying for these awards must be U.S. citizens or green card holders at the time their appointment begins.



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# NIH Funding Announcements

- **Funding Opportunity Announcements (FOA)**
  - Parent announcements for unsolicited or investigator initiated applications
  - [https://grants.nih.gov/grants/Annotated\\_FOA.pdf](https://grants.nih.gov/grants/Annotated_FOA.pdf)
- **Program Announcements (PA)**
  - Identifies area of increased priority; accepted on standard deadlines
- **Request for Application (RFA)**
  - Identifies a narrowly defined area; accepted on specific date
- **Request for Proposals**
  - Solicits contract proposals; accepted on a specific date

**Source:** <https://grants.nih.gov/grants/guide/description.htm>



# Standard Due Dates

Activity Codes	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
R01 <i>new</i>	Research Grants	February 5	June 5	October 5
R01 <i>Renewal, resubmission, revision</i>	Research Grants	March 5	July 5	November 5

**Source:**

<https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm>



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# Submission Policy

## Continuous Submission Policy

- See chart in link for due dates and explanation
  - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-060.html>
- List of reviewers eligible for continuous submission is kept on NIH website
  - [https://grants.nih.gov/grants/peer/continuous\\_submission.htm](https://grants.nih.gov/grants/peer/continuous_submission.htm)
- A Cover Letter is required if submitting as a continuous submission



# Proposals - Review and Award Cycles

## Key Dates

	Cycle I	Cycle II	Cycle III
Application Due Dates	January 25 - May 7	May 25 - September 7	September 25 - January 7
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

### Source:

<https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm>



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# Proposals - Review Process

## Proposal Scoring

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-024.html>

### Scientific Review Panels

- Proposals are assigned to non-federal scientists and each reviewer assigns a score 1-9 (1 = exceptional; 9 = poor) on each of the following: Significance, Investigator(s), Innovation, Approach, and Environment.

### Advisory Council

- Proposals recommended for funding by the Scientific Review Panel are then reviewed by the Advisory Council of the Institute/Center. The IC Director makes the funding decisions based on Council advice.

Overall Impact or Criterion Strength	Score	Descriptor
High	1	Exceptional
	2	Outstanding
	3	Excellent
Medium	4	Very Good
	5	Good
	6	Satisfactory
Low	7	Fair
	8	Marginal
	9	Poor
Other Designations for Final Outcome		
AB	Abstention	
CF	Conflict of Interest	
DF	Deferred	
ND	Not Discussed	
NP	Not Present	
NR	Not Recommended for Further Consideration	



# Submission Systems

## Submission Options - Refer to Solicitation

- **Grants.gov**
- **ASSIST** (Multi Project Application)
  - <https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/submission-options/assist.htm>
  - **TIP:** takes a long time to do, so plan ahead
- **eRA Commons - submission of supplements**
  - [https://era.nih.gov/files/eRA\\_Commons\\_Admin-Supp\\_UG.pdf](https://era.nih.gov/files/eRA_Commons_Admin-Supp_UG.pdf)
- **Email** - submission of some supplements



# Proposals - Roles

- **Program Director/Principal Investigator (PD/PI)**
  - Individual having full responsibility for the project
- **Multi PI**
  - When more than one PD/PI has equal responsibility/authority for project
  - *This is different from NSF as they refer to this as Co-PI rather than Multi PI*
- **Co-Investigator or Co-I**
  - Make significant contributions but do not have overall responsibility and authority for project.
  - Not considered a PD/PI
- **Key Personnel**
  - Contribute to the design, conduct, and reporting



# Biosketches

## Biosketch Requirements

- Pay attention to formatting
  - <https://grants.nih.gov/grants/forms/biosketch.htm>
- Limited to 5 pages
- List foreign affiliations
  - <https://orsp.umich.edu/announcements/requirements-identifying-foreign-collaboration-proposals-nih>



# Biosketches

## Biosketch Requirements *(continued)*

- May include four publications with personal statement
- May include up to five contributions to science, each with up to four publications
- Research section is limited to current and completed in last 3 years - should not reference effort or money

Biosketch Formatting: <https://grants.nih.gov/grants/forms/biosketch.htm>



# Human Subjects Use

## Human Subjects & Clinical Trial Info Form

**Question:** Does Project Involve Human Specimens and/or data?

➡ If you are dealing with human specimens or data you must say “Yes” and give an explanation of why this is not human subjects research.

- <https://grants.nih.gov/policy/humansubjects/hs-decision.htm>
- [https://orsp.umich.edu/sites/default/files/resource-download/nih\\_forms-e\\_worksheet-final-v.7.pdf](https://orsp.umich.edu/sites/default/files/resource-download/nih_forms-e_worksheet-final-v.7.pdf)



# Modular Budgets

## Using Modular Budgets

- Format to request up to a total of \$250,000 of direct costs per year (exclude consortium F&A costs when determining \$250,000 cap).
- **Must still read solicitation as the solicitation may ask for a budget.**
- *Personnel Justification*
- *Consortium Justification* - include subk personnel here with roles and person months.
- *Additional Narrative Justification*- Include explanation of variations in modules requested, any direct costs that were excluded from total direct costs (equipment, tuition), and any work being conducted off site especially foreign study site. (R21 EXCLUSION)



# Detailed Budgets

## Using Detailed Budgets

- If requesting \$500,000 or more (***equal to or greater than***) in direct costs per year then need prior approval from the NIH Institute or Center before submitting application
  - Seek approval at least 6 weeks in advance.
- **Application will be rejected by sponsor if approval not sought.**

### Source:

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm>



# Detailed Budgets

## Using Detailed Budgets *(continued)*

- Consortium (SUBCONTRACT) F&A costs are NOT included as part of the direct cost base when determining whether prior approval is needed to submit an application.
  - **Note:** The \$500K prior approval policy does not apply to applications submitted in response to RFAs or in response to other funding opportunity announcements including specific budgetary limits above \$500K.
  - Must include a cover letter in this scenario.
- Must include a detailed budget justification providing text on each line item.

### Source:

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm>



# Budgets

## Things to Keep in Mind

- **GSRA Request**
  - Should include language indicating that 6 months is considered full time effort
- **Participant Support Costs (*rarely seen on NIH awards*)**
  - Stipends or subsistence allowances, travel allowances or registration fees paid to or on behalf of participants or trainees (**not U-M employees**) in connection with meetings, conferences or training grants.
  - <https://orsp.umich.edu/participant-support-costs>



# Budgets

## Things to Keep in Mind *(continued)*

- **Assistance for calculating person months:**
  - [https://grants.nih.gov/grants/policy/person\\_months\\_faqs.htm](https://grants.nih.gov/grants/policy/person_months_faqs.htm)
- **Salary cap**
  - [https://grants.nih.gov/grants/policy/salcap\\_summary.htm](https://grants.nih.gov/grants/policy/salcap_summary.htm)



# Proposals

## Things to Keep in Mind *(continued)*

- **DHHS certification-** required for certain proposals
  - *Examples:* K99 or when sponsor PI is not the same as the U-M PI
- **Letters from AORs** come from ORSP
  - Will be provided after proposal is finalized
  - Should be cosigned by PI
- **S10 applications**
  - ORSP has letter that needs to be included in application regarding instrument usage



# Proposals

## Things to Keep in Mind *(continued)*

- **Project Summary** limited to 30 lines of text
- **Project Narrative** limited to 3 sentences
- **eRA Commons username** required as “credential” on Senior/Key Person Profile
- **Facilities & Equipment** documents should not reference money
- **Data Sharing Plan**
  - Required in proposals requesting  $>$  or  $=$  \$500,000 Direct Costs per year or if specifically requested in solicitation



# Proposals

## Things to Keep in Mind *(continued)*

- **One resubmission application** is allowed within 37 months of the original submission and can be submitted once the PI has received the summary statement from the original application
  - Duplicate or highly overlapping applications cannot be under review at the same time
- **Federal identifier** (i.e. EY001122) is required on SF424 for renewal, resubmission, or revision applications
- **Foreign justification** required as “Other Attachment” if collaborating internationally



# Post Submission / Just In Time (JIT)

# Proposals - Post Submission

## Allowable post submission materials:

NIH will only accept materials detailed in the link below:

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-083.html>



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# Just in Time Request (JIT)

## Current Other Support

- Every “other support” document should have an overlap statement
- Effort listed should not say zero calendar months or 0%
  - If the PI is putting forth **any effort** on the project (even if the PI is not being compensated) it needs to be documented
  - NIH is pushing back on this and requesting explanations
- Support received from foreign entities should be listed

See <https://orsp.umich.edu/policies-procedures/other-support-reporting>



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# Just in Time Request (JIT)

## Other Just in Time Requirements

- Human Subjects Education (PEERRS acceptable)
- IRB Approval date if human subjects in proposal
  - If you have a subcontract that will be doing human subjects work, you still need to contact our IRB and request a HUM
- IACUC approval date if using animals



# Just in Time Request (JIT)

## Other Just in Time Requirements *(continued)*

- Genomic Data Institutional Certification
  - Project teams must contact IRB
  - ORSP can only sign after IRB contacts ORSP and gives the ok
- If your project has subs and human use applies, you need to include their Other Support and PEERRS-equivalent information



# Award Time

# Award Time

- **Key Personnel** - individuals named on Notice of Award
- **Fellowships** (examples: F31, F32)
  - Fellows cannot start or enter duty in the months of October or November
  - Require an Activation Notice (F series)
  - Activation Notice must be completed and signed (wet signatures) by Fellow and Sponsor and returned to ORSP for signature
    - <https://grants.nih.gov/grants/funding/416/phs416-5.pdf>
  - Some require a Payback agreement
    - These do not need to go through ORSP and are submitted by the fellow if applicable (Post-Doc)
    - <https://grants.nih.gov/grants/funding/416/phs6031.pdf>
  -



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# Award Time

- **Training Grants** (Examples: T32, T34)
  - Require use of *xTrain* for activation and termination (Termination handled by Sponsored Programs)
  - [https://era.nih.gov/files/xTrain\\_external\\_user\\_guide.pdf](https://era.nih.gov/files/xTrain_external_user_guide.pdf)
- **How to Decipher NIH Application/Grant Numbers:**  
[https://era.nih.gov/files/Deciphering\\_NIH\\_Application.pdf](https://era.nih.gov/files/Deciphering_NIH_Application.pdf)



# Post-Award Management

# Post-Award Management

## When Is Prior Approval from Sponsor Needed?

- First consult the Prior Approval Matrix  
[https://www.nsf.gov/bfa/dias/policy/fedrctc/appendix\\_a.pdf](https://www.nsf.gov/bfa/dias/policy/fedrctc/appendix_a.pdf)
- Also consult the following:  
[https://www.nsf.gov/bfa/dias/policy/fedrctc/agencyspecifics/nih\\_417.pdf](https://www.nsf.gov/bfa/dias/policy/fedrctc/agencyspecifics/nih_417.pdf)
- ORSP Post Award Change Requests (PAC-Rs)  
<https://orsp.umich.edu/post-award-change-request-form>



# Post-Award Management

## Change in Scope

See Section 8.1.2.5 of grants management policy statement:

<https://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>

- Significant rebudgeting - whether or not the expenditure requires prior approval. (Does not apply to modular grants)

Example: expenditures in a single direct cost budget category deviate from categorical commitment level for budget period by 25% or more of the total costs awarded:

- If \$200,000 in total costs are awarded for your budget period. Any increase or decrease of \$50,000 or more in a budget category would require prior approval.



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# Post-Award Management

## Change in Scope *(continued)*

- Change in Senior/key personnel or reduction in effort of 25% or more
- Incurrence of *research patient care costs* if costs in that category were not previously approved by NIH or if rebudgeting additional funds beyond those approved into or out of the research patient care category
- Addition of a foreign sub (***does not apply to non-Foreign sub***)
- Change in *specific aims* approved at time of award



# Post-Award Management

## Change in Scope *(continued)*

- Substitution of one animal model for another
- Change from approved use of live vertebrate animals
- Change in approved involvement of human subjects that would result in an increased risk
  - For more information, see the NIH Grants Policy Statement:  
<https://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>



# Post-Award Management

## No Cost Time Extension

- Explanation should address why the project could not be completed in the time allotted
- Need to provide an estimated unobligated balance
  - You cannot request an extension if no funds remain on the grant
- Extension requests are due by the end date of the budget period
  - If late, prior approval is required from the sponsor



# Post-Award Management

## Carry Forward Requests

- **Sponsor wants to know what from prior year still needs to be done!**
- Carryover requests are not routine anymore, we see them getting rejected!
- Requests should include budgets on [PHS 2590](#) or [PHS 398](#) forms.
  - Be sure to include the checklist.
  - If there is a sub on the award, budgets from the subs should also be included.
- Requests for carryover cannot be approved by sponsor until Federal Financial Report (FFR) is approved. ORSP cannot submit carryover requests until the FFR has been submitted.

**Note: Some projects have automatic carry forward. No request is needed from the project team.**

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# Post-Award Management

## Equipment

An item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than 1 year

- General Purpose Equipment - equipment costing \$5,000 or more that will be used on multiple projects or for personal use should not be listed as a direct cost (should come out of F&A costs) *unless* primarily or exclusively used in the actual conduct of the proposed scientific research
- Special Purpose Equipment
- If using equipment for more than one project then PAC-R needs to include details regarding what mechanism project team will use to track/measure usage of equipment for each project



# Post-Award Management

## UG-Monitored Costs

To charge a UG-monitored item as a direct cost, you need to provide a justification as to how the item constitutes an unlike circumstance; include a scientific explanation as to why this item is needed for this project; include reference to the specific aims.

Example: Office Supplies (Computer Costing \$2,000)

Computers may be necessary to the overall administration of a sponsored project but generally cannot be charged as a direct costs (treated as F&A).

- **Acceptable justification:** “The computer is necessary to control or monitor certain scientific equipment used in the project.”
- **Unacceptable justification:** “I need the computer to prepare presentations or finish project”.

For more on UG: <https://orsp.umich.edu/uniform-guidance-monitored-costs-formerly-21>



# Post-Award Management

## Pre-award Costs

- Need sponsor approval if > 90 days
- Transfer awards (non competing) do not need to follow the 90 day rule
- No Pre-award costs allowed for training grants or fellowships

## PI Change Request

- Sponsor approval needed
- Need signatures of new and old PI on letter request
- Need to include biosketch and Other Support for new PI

## Participant Support Costs (rare for NIH)

- Cannot move in or out of budget categories without sponsor approval

**Important Note:** If Multi PI project, then prior approval request requires signature of all PIs on the PAC-R including signatures of PIs at other organizations.



# Post-Award Management

## Research Performance Progress Reports (RPPRs)

### Resources for RPPRs

- Due Dates: <https://grants.nih.gov/grants/rppr/index.htm>
- Instruction Guide: [https://grants.nih.gov/sites/default/files/rppr\\_instruction\\_guide.pdf](https://grants.nih.gov/sites/default/files/rppr_instruction_guide.pdf)
- For answers to many questions regarding reporting requirements, see: <https://grants.nih.gov/grants/rppr/faqs.htm#3956>

### Annual RPPRs

- Used to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year
- Post comment when ready for submission



# Post-Award Management

## RPPRs *(continued)*

### Interim RPPRs

- If submitted a renewal app (type 2) on or before date that Final RPPR would be required for the current competitive segment, then an Interim RPPR is required
- [https://era.nih.gov/erahelp/commons/Commons/rppr/Interim\\_RPPR/interim\\_RPPR\\_overview.htm](https://era.nih.gov/erahelp/commons/Commons/rppr/Interim_RPPR/interim_RPPR_overview.htm)

### Final RPPRs

- Final RPPRs and Final Invention Statements are due 120 days after end of project
- Check for errors on Final RPPR before routing to signing official (SO)
- Initiate an ACR when ready for submission



# Post-Award Management

## RPPRs *(continued)*

RPPR Section D.1 - Individuals that have worked on the project

- Report on individuals that have worked on the project (for > one month) during the last budget period minus any approved no cost extensions
- Grad students must have an eRA Commons ID

Provide a justification for your unobligated balance amount on the RPPR

- If you say that you do not have an unobligated balance and you do, then the Grants Management Specialist will request additional information and justifications



# Post-Award Management

## RPPRs *(continued)*

- If there are issues with the progress report, NIH may request that a PRAM (Progress Report Additional Materials) or FRAM (Final Report Additional Materials) be submitted
  - The PI will need to log into eRA Commons to initiate the PRAM or FRAM and attach the requested materials
  - PI will then route to the SO, and RA will initiate an ACR
  - Most frequent requests- My NCBI PDF Reports  
[https://www.nlm.nih.gov/pubs/techbull/nd12/nd12\\_myncbi\\_pdf.html](https://www.nlm.nih.gov/pubs/techbull/nd12/nd12_myncbi_pdf.html)
- **Instructions for PRAM:** <https://era.nih.gov/commons/Commons/rppr/ag-PRAM/initlCPram.htm>
- **Instructions for FRAM:** <https://era.nih.gov/commons/Commons/status/closeout/fram.htm>



# Post-Award Management

## RPPRs *(continued)*

### Publications & Public Access Compliance

- If awardees list a paper in section C.1 of an RPPR, then they are responsible for its compliance with the [NIH public access policy](#).
- Publications must be in the following states in order to be compliant:  
**Complete, PMC Journal in Process, in process at NIHMS, or Not Applicable (N/A)**
- Need Help-
  - Contact [nihms-library-support@umich.edu](mailto:nihms-library-support@umich.edu)
  - Helpful websites:
    - <https://www.ncbi.nlm.nih.gov/books/NBK53595/>
    - <https://publicaccess.nih.gov/determine-applicability.htm>
    - <https://publicaccess.nih.gov/include-pmcid-citations.htm>
    - <https://publicaccess.nih.gov/communications.htm>



# Things to Know

# Things to Know

- All prior approval requests need approval from the Grants Management Specialist!
- Approval from the Program Official is not sufficient!
- ORSP strongly recommends that the PI not discuss administrative issues with their Program Officer.
- Cost sharing is not an advantage for peer review.



# Useful Websites for NIH Applicants

<https://grants.nih.gov/grants/forms/all-forms-and-formats.htm>

Helpful site with NIH forms and instructions

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

Central resource for grants and funding information

[https://grants.nih.gov/grants/guide/parent\\_announcements.htm](https://grants.nih.gov/grants/guide/parent_announcements.htm)

The list of “parent” announcements

<http://www.nih.gov/icd/> - Links to all NIH Institutes and Centers

<http://www.csr.nih.gov/review/irgdesc.htm#bbbp>

Descriptions of the Initial Review Groups

[https://grants.nih.gov/grants/frequent\\_questions.htm](https://grants.nih.gov/grants/frequent_questions.htm)

An extensive collection of FAQs on all topics

<https://commons.era.nih.gov/commons/index.jsp> - Links to the NIH Commons



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# More Useful Websites for NIH Applicants

<https://nexus.od.nih.gov/all/category/blog/>

The Extramural Nexus – Open Mike

<https://researchtraining.nih.gov>

Explanation of all training mechanisms

<https://www.hhs.gov/about/agencies/hhs-agencies-and-offices/index.html?language=es>

Links to other DHHS funding agencies: AHRA, ATSDR, CDC, CMS, FDA, HRSA, SAMHSA

<https://www.nsf.gov/awards/managing/rtc.jsp>

Prior Approval website hosted by NSF

<https://report.nih.gov/fundingfacts/fundingfacts.aspx> - NIH RePORTER

<https://orsp.umich.edu/develop-proposal/budget-and-cost-resources/graduate-student-research-assistant-gsra-cost-estimates> - GSRA Cost Estimates



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# Questions & Answers

Following are questions from session participants and answers.

*Note: no audio accompanies this part of the video presentation.*



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## Can I budget for salary increases over a multi-year proposal?

Check with your school/department/unit for local policy or process.

Per the NIH application guide (*Develop Your Budget*):

*“In general, NIH does not have policy on salary escalation submitted in an application. We advise applicants to request in the application the actual costs needed for the budget period and to request cost escalations only if the escalation is consistent with institutional policy.”*

See

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm>



**If a PI wants to apply for retroactive pre-award costs, when is the PAC-R submitted?**

Submit the PAC-R once you receive the Notice of Award.

See PAC-R instructions:

<https://orsp.umich.edu/manage-project/post-award-change-request-form-pacr#retroactive-pre-award>



**Where can I find information about all active T awards and trainees?**

You can locate information about active awards through the NIH Research Portfolio Online Reporting Tools (RePORT) at [report.nih.gov](https://report.nih.gov)

Trainee information may be available in xTrain, but restricted to the individual training grant (not publicly available).



**If Key Personnel or PI effort is dropping more than 25% starting with the new grant year on my project, other than mentioning it in the RPPR, what do I need to do?**

Submit a PACR to request approval and include:

1. the most recent sponsor-approved level of effort;
2. the new level of effort being requested;
3. a justification related to the project;
4. either an attestation that the goals or specific aims of the project can still be met with the reduced effort or a description of proposed changes to the goals or specific aims; and
5. the effective date of the proposed change.



The [prior approval matrix](#) (as of Dec 10, 2018) states that prior approval is waived for:

*"Rebudgeting among direct cost categories for Federal awards in which the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the approved budget."*

The presentation mentioned 25% per budget category which would be more lenient. Can you please clarify?

The matrix refers to a rebudgeting waiver.

However, once the rebudgeting exceeds 25%, this triggers a change in scope. NIH requires prior approval for changes in scope.



**You mentioned that NIH doesn't allow zero % effort or calendar months in Other Support. What about the new information about affiliations, such as a PI who has access to resources at their former university? Can we list zero % effort of calendar months for affiliations?**

If you list an affiliation(s) in Other Support with zero % effort/calendar months, we recommend you include an explanation.



**Regarding RPPR budget remaining - do you need to provide a justification only if the unobligated balance is greater than 25%?**

Yes, a justification is required if the estimated unobligated balance (including prior year carryover) is > 25% of the current year's total approved budget.

See the NIH RPPR Instruction Guide (Section G.10.a):

[https://grants.nih.gov/grants/rppr/rppr\\_instruction\\_guide.pdf](https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf)



## What is an SF424?

The SF 424 Form is used in all grant applications.

This form collects information including type of submission, applicant information, type of applicant, and proposed project dates.

See:

[https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.200-sf-424-\(r&r\)-form.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-e/general/g.200-sf-424-(r&r)-form.htm)



## What is a multi-project grant?

A Multi-Project Research (P, U) Grant shares the following:

- At least 2 interrelated research projects (unless stated otherwise in the FOA) related to a theme with each capable of standing on its own scientific merit but complementing one another.
- Collaboration and interaction among projects and investigators to achieve a common goal.
- Synergy among projects.
- One grantee institution that will be legally and financially responsible for the use of funds.
- Support as needed for shared resources - core resources or facilities - that provide services or resources to at least two research projects.

Source:

<https://www.niaid.nih.gov/grants-contracts/multi-project-research-p-u-applications#Features%20of%20Multi-project%20Grants>



## What is a Sponsor PI and how does it differ from the U-M PI?

A U-M Sponsor Principal Investigator (PI) is an employee or student of the University of Michigan who meets the eligibility requirements of the sponsor.

When an individual does *not* qualify as both the Sponsor PI and U-M PI, both must be named separately on the PAF:

- U-M Sponsor Principal Investigator (Sponsor PI)
- U-M Principal Investigator (PI)

See: <https://orsp.umich.edu/principal-investigator-pi>



## What is the eRA Commons?

## How is it different than Grants.gov?

eRA Commons is an online interface where grant applicants, grantees and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants.

eRA Commons is used throughout the lifecycle of a grant - from application submission to grant closeout.

Grants.gov is an online interface that allows organizations to *search* and *apply for* federal funding opportunities.

Source:

<https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/registration/investigators-and-other-users/era-commons-user-registration.htm>



**Does the 25%  
rebudgeting approval  
apply to the budget  
period only, or to the  
total cumulative award?**

The 25% rebudgeting approval requirement applies to the budget period.



**Can I request a No Cost Time Extension at the end of a project even though the only funds available were from the first year and were deobligated?**

You cannot request an extension if no funds remain on the grant.



# Navigate Training Offerings

For information about other *Navigate* training and professional development opportunities, visit:

## Navigate: Training & Workshops

[orsp.umich.edu/navigate](https://orsp.umich.edu/navigate)



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# Navigate Volunteer Opportunities!

- ★ Help develop content for Navigate courses
- ★ Be a Navigate instructor
- ★ Join a RAAC Training Subcommittee Working Group

To learn more, please email  
[navigate-research@umich.edu](mailto:navigate-research@umich.edu)



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# Wrap Up

thank you!



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