



Post-Award Administration

An Overview for New Investigators

Agenda

1. *What is a Notice of Award?*
2. *What do I have to report and when?*
3. *What's a "Prior Approval Request" and when do I need to do one?*
4. *I'm changing jobs, can I take my grant with me?*
5. *I have more questions, where can I find more information?*

The Notice of Award (NoA)

What is it?

The Notice of Award (NoA) – What is it?



- Right?!?!?

The Notice of Award (NoA) – In Detail!

- Available in the eRA Commons & Provides:
 - Grant number
 - Period of support
 - Amount of funds provided
 - Funds for the current year are available.
 - Future years are commitments & subject to change, depending on Fiscal Year funding policies.
 - Terms and Conditions
 - legally binding, so be familiar with what they are!
 - Drawing funds from the award constitutes agreement with the terms.
- Your institution's sponsored projects staff will help you navigate this – reach out to them for assistance!

Reporting Requirements

Which reports and how often?

Reporting Requirements

- Research Performance Progress Reports (RPPRs) required each year:
 - Due 45 days prior to the budget period start date
 - Fellows in the crowd? Your RPPR will be due 60 days before the budget period start date
 - Submitted via the eRA Commons RPPR module
 - RPPR Questions:
 - Change in Other Support? *Provide updated Other Support*
 - Change in effort for senior/key personnel? *Provide explanation*
 - Unobligated balance greater than 25%? *Provide estimate and justification for use*

Reporting Requirements, continued

- Ensure any special terms and/or programmatic requirements are accounted for, as appropriate
 - Career Awards have a minimum effort requirement (usually 9 person months) – be sure that the effort devoted meets the requirement
- RPPR is where you report progress **and** any issues, challenges, or delays
 - However, you do not need to wait for the RPPR – you can always reach out to your assigned Program Official to discuss any issues your grant may be encountering



- One of the TOP reasons for a late award to provide continued funding is....
- **A LATE PROGRESS REPORT!!**

Prior Approval Requests

When is approval needed?

Recipient Authorities

- Standard terms and conditions give many authorities to the recipient organization. Here are a few of the most common:
 - Carryover of unobligated balances from one budget period to the next
 - Rebudgeting of funds, unless:
 - Change in scientific scope
 - Addition of a new foreign component
 - Funds are restricted (via term of award, patient care, etc.)
 - Extension of the project period without additional funds for up to 12 months
- These can be overridden by specific terms in the NoA – please read your terms and conditions!

Prior Approval Requests:

- Prior approval is required for any deviation in the award terms. Here are a few of the most common:
 - Pre-award costs more than 90 days ahead of competing award
 - Change in scope – if you're not sure whether it would be a change in scope, discuss with the Program Official
 - Change in status for the PI or other senior/key personnel named in the NoA
 - Change of PIs for Fellowships and Career Awards are not allowed.
 - Change in recipient organization (i.e. transfer)
- This list is not all inclusive – please work with your sponsored projects office!
- Requests must come from the Authorized Organization Representative (AOR)!

Prior Approval Requirements:

- Requests should be submitted via the eRA Prior Approval module
 - If it must be emailed, the AOR must send the request to NCIGrantsPostAward@mail.nih.gov with a cc: to the assigned Program Official
- Submit the request 30 days prior to the proposed change
- Provide a scientific and/or budgetary justification for the change
- Approval for any prior approval request **must** come from the Office of Grants Administration

Prior Approval Examples – Change in PI status:

- Change in the PI or senior/key personnel status
 - NIH definition of senior/key person – all PIs and any person named on the Notice of Award
 - Any change in effort greater than 25% from approval level or below effort required by funding opportunity (i.e. 9 person months for most Career Award PIs)
 - Replacement or absence greater than 3 continuous months
 - Changes of PI on Career Awards/Fellowships is not allowed, but leave of absences are allowed with prior approval
- Detail any scientific and/or budget impact in the request

Prior Approval Examples – Change in Scope:

- Recipient institution makes initial determination on significance of change
 - Consult with your assigned Program Official as needed
- Some possible indications of change in scope:
 - Significant rebudgeting of more than 25% of total award
 - Change in use of animals or human subjects research
 - Significant change in senior/key personnel
 - Shift in research emphasis
 - Application of new technology
- If you're unsure of whether what you're doing needs prior approval, work with your institution's sponsored projects staff!



Change of Recipient Institution

Moving institutions? Here's what you need to know!

Change of Recipient Organization

- Award belongs to the institution and must be relinquished
- New institution must submit a change of recipient organization application
 - Submit the transfer application even if IRB/IACUC approvals not received – we can work through any other issues while waiting for those approvals
- Application should address any impact to the award due to the change
- Issues that are typically encountered with a transfer:
 - Late notice of a PI leaving the institution
 - Late submission of relinquishing statement and/or transfer application
 - Changes in scope of the project

How does this happen??

- Let's listen into a call between a PI and NIH Grants Management



What Did We Learn?

- Awards are made to recipient institutions, not individuals!
 - A grant MUST be relinquished to move so work closely with your current institution regarding your plans
- NIH cannot work as the mouthpiece for you...please initiate conversation between the place you are departing as well as the place you are going!
- We need a change of recipient organization (transfer) application BEFORE we can assess this proposed move
 - This is a prior approval item – and we need the specifics to understand the plans and the proposed new environment to ensure it will work for this grant's research.

Still uneasy in this space??

- You are not alone! NIH is here to help!
- Reach out to your NIH Program Official and Grants Management Specialist to talk it through.

Resources

More Questions? Here's where to look!

Available Resources for more information:

- NIH Grants & Funding Page - <https://grants.nih.gov/grants/oer.htm>
 - Instructions & Forms Library
 - NIH Grants Policy Statement – update published annually
 - NIH Guide for Grants & Contracts (FOAs, Policy Notices, etc.)
- NCI Grants and Training Page - <https://www.cancer.gov/grants-training>
 - Policies and Processes
 - Grant Funding Information (FOAs, Funding Strategy, etc.)
- Office of Laboratory Animal Welfare - <https://olaw.nih.gov/>
 - Policy Changes & Guide Notices
 - Reporting Noncompliance

Resources, continued:

- Clinical Trial Requirements for Grants and Contracts - <https://grants.nih.gov/policy/clinical-trials.htm>
 - Policies & Changes
 - Clinicaltrials.gov Registration & Reporting
- Research Involving Human Subjects - <https://humansubjects.nih.gov/>
 - Regulations, Policies & Guidance
 - Human Subjects Protections Training
- Public Access Policy - <https://publicaccess.nih.gov/>
 - When & How to Comply
 - Managing Papers & Reporting to NIH

Thank you



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