

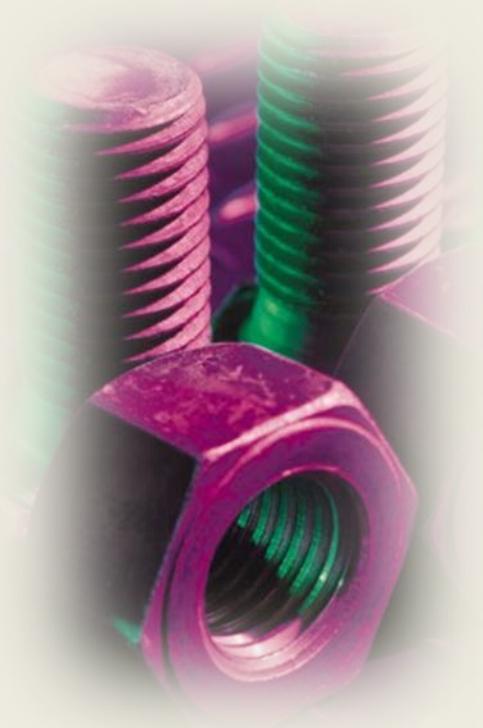
The Nuts and Bolts of the NIH Grants Process



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**Deputy Director for
Extramural Research**

**National Institutes of
Health**



Grants Process Overview

Planning, Writing, & Submitting

- Applicant often begins writing application several months prior to application due date
- Applicant organization submits most applications to NIH through the Federal portal, Grants.gov

Receipt & Referral (Months 1-3)

- Applications compliant with NIH policies are assigned for review by the Division of Receipt and Referral in the Center of Scientific Review
- CSR assigns application to an NIH Institute/Center (IC) and a Scientific Review Group (SRG)

Peer Review (Months 4-8)

- Initial level of review by SRG members for scientific merit
- Impact scores & summary statement available to Principal Investigator on eRA Commons
- Second level of review by advisory council/board

Award (Months 9-10)

- Pre-award process: IC grants management staff conducts final administrative review and negotiates award
- NIH IC director makes funding decision. IC staff issues and sends Notice of award to applicant institution/organization

Post-Award Management (ongoing)

- Conduct of research
- Administrative and fiscal monitoring, reporting, and compliance.

A delicate balance....



Planning, Writing, & Submitting



The investigator, in collaboration with his/her institution:

- Develops a research idea
 - Should be important (have high impact)
 - Needs to align with an IC mission
- Identifies a funding opportunity
 - FOA may be specific to a research area or a “parent” announcement.
- Talks with NIH staff about the idea and where it fits
- Writes a strong proposal that addresses review criteria



Planning, Writing, & Submitting



Institution registration requirements:

- **Data Universal Numbering System (DUNS):** an identifier that government vendors need to register their organization in the System for Award Management (SAM) so they can apply for a federal grant.
- **SAM:** consolidates Federal procurement systems and the Catalog of Federal Domestic Assistance. SAM registration is necessary to submit applications to Grants.gov.
- **Grants.gov:** a centralized location for grant seekers to find and apply for federal funding opportunities.
- **eRA Commons:** provides applicants, grantees and federal staff the tools necessary for electronic processing of grants.



Planning, Writing, & Submitting

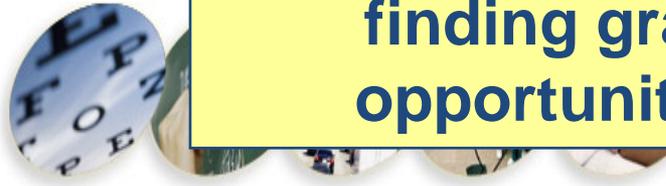


- Investigators should work with their institution's office of sponsored research to be sure they are registered and their account is affiliated with their institution **BEFORE** they apply.
- 2 weeks lead time – PI registration in eRA Commons
- 6-8 weeks – All institutional registrations and renewals



Progress
Modular grants
ASSIST
SciENcv

Fed-wide portal for finding grant opportunities



Find. Apply. Succeed.

Grants.gov is your source to FIND and APPLY for federal government grants. The U.S. Department of Health and Human Services is proud to be the managing partner for Grants.gov, an initiative that is having an unparalleled impact on the grant community. [Learn more](#) about Grants.gov and determine if you are eligible for grant opportunities offered on this site.

Grants.gov does not provide personal financial assistance. To learn where you may find personal help, check [Government Benefits](#), [Student Loans](#) and [Small Business Start-up Loans](#).

What's New This Week at Grants.gov

New Opportunities This Week

April 15, 2009: Grants.gov Stakeholder Webcast

Recovery Act Opportunities on Grants.gov

Notices and System Information
(Login Issues, Error Messages, Adobe Reader)

Guidelines to Combat Grant Fraud 

Verify if Your Adobe Reader Version is
Compatible with Grants.gov

Sign-up for our
"Succeed"
Quarterly
Newsletter

Quick Links

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Funding Opportunities



- **Advertised through**

- Grants.gov
- NIH Guide for Grants and Contracts

- **Issued by**

- Each IC
- “Parent” announcements span the breadth of the NIH mission, include many ICs



Types of Funding Opportunity Announcements (FOA)

Type of FOA	Description
Program Announcements (PA, PAR, PAS)	<ul style="list-style-type: none">• Highlights areas of focus• Usually ongoing (3 yrs)• Often use standard receipt dates
Requests for Applications (RFA)	<ul style="list-style-type: none">• Narrowly defined scope• Usually single receipt date• Set aside funds• IC usually convenes review panel
Parent Announcements	<ul style="list-style-type: none">• Type of program announcement• Generally span the breadth of NIH mission• By activity code (R01, R03, etc)• For “investigator initiated” or “unsolicited” research ideas

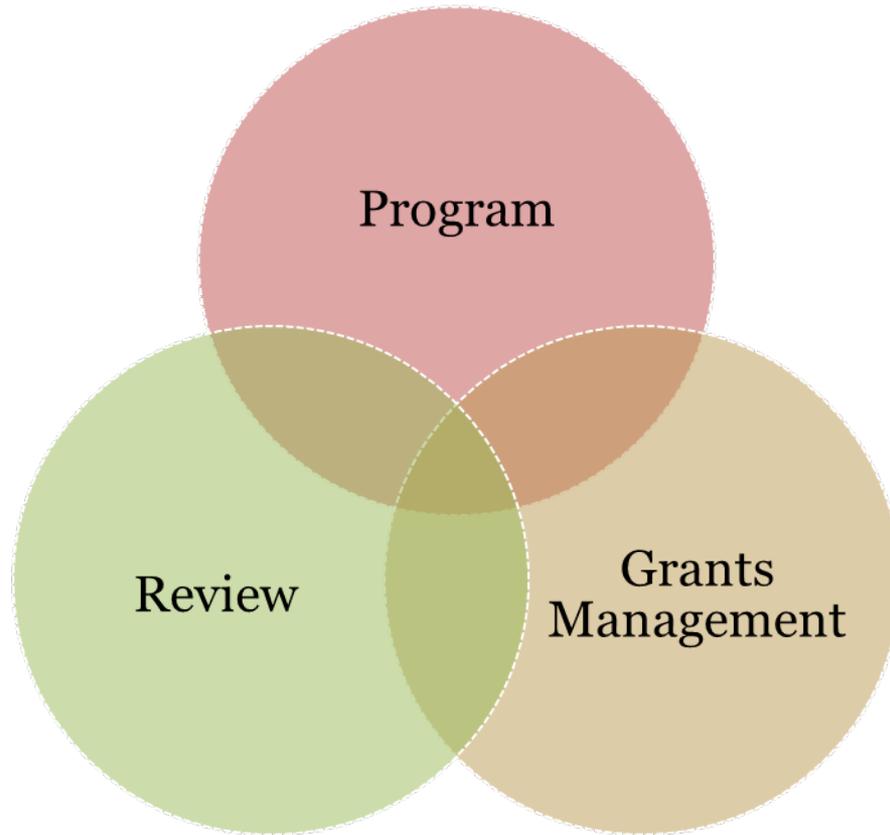
Application Due Dates

3 standard receipt dates a year.

Activity Codes	Program Description	Application Form	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
P Series <i>All - new, renewal, resubmission, revision</i>	Program Project Grants and Center Grants Standard receipt dates for each type of grant cycles. Transition to SF424 (R&R): On Hold	PHS 398	January 25	May 25	September 25
R18/U18 R25 <i>All - new, renewal, resubmission, revision</i>	Research Demonstration Education Projects	SF424 (R&R)	January 25	May 25	September 25
T Series D Series <i>All - new, renewal, resubmission, revision</i>	Institutional National Research Service Awards Other Training Grants NOTE: Applicants should contact the Institute or Center (IC) for series applications for each cycle. Applicants should contact the IC's scientific research Contacts for information for each IC's scientific research contact for the NRSA T32 program.	SF424 (R&R)	January 25	May 25	September 25

Scroll further on page for timelines for each "round"

Understanding the NIH Extramural Team



Program Official



- Responsible for the programmatic, scientific, and/or technical aspects of a grant
- Provides scientific guidance to investigators pre- and post-award
- Develops initiatives
- Provides post-award oversight



Scientific Review Officer



- **Responsible for scientific and technical review**
 - Ensures fair and unbiased evaluation of scientific and technical merit
 - Provides a summary of the evaluation
 - Reviews applications for completeness and conformance with application requirements
- **Point of contact for applicants during the review process**



Grants Management Officer



Responsible for completion of business management requirements

- **Evaluates applications for administrative content and compliance with policy**
- **Negotiates Awards**
- **Interprets grants administration policies**



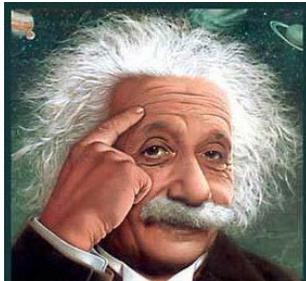


How Long Does It Take to Get
Funded?

How does a grant get funded?

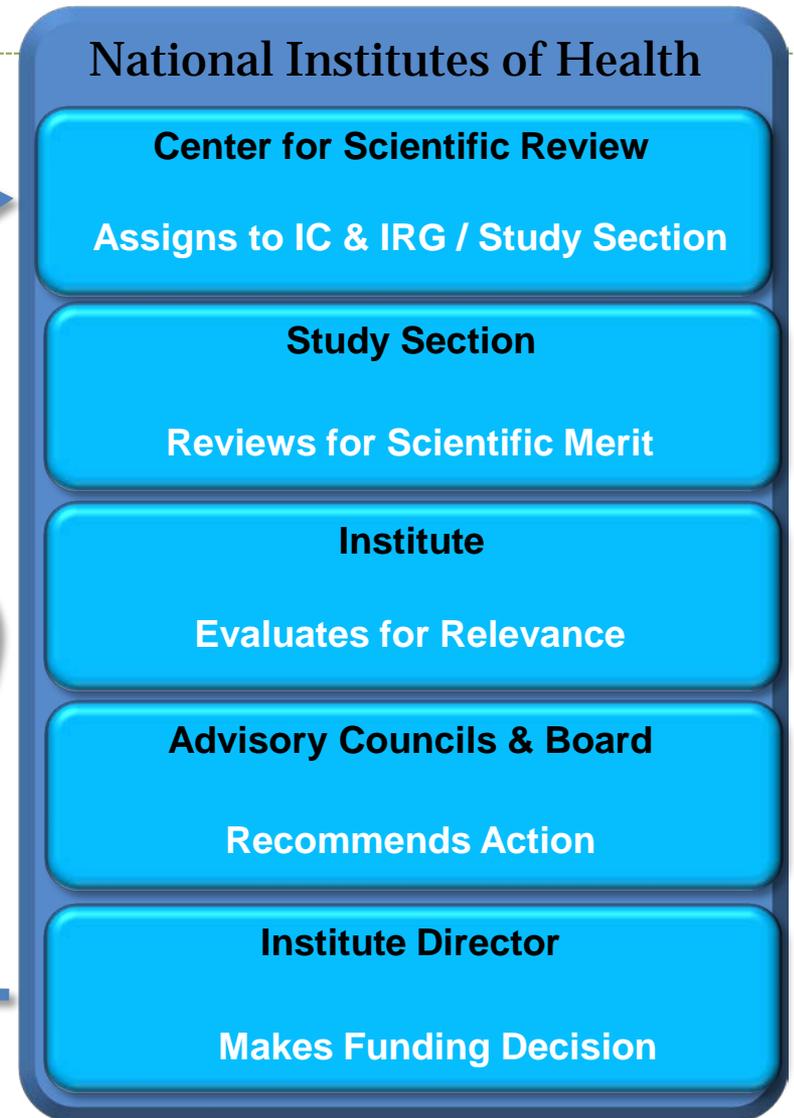
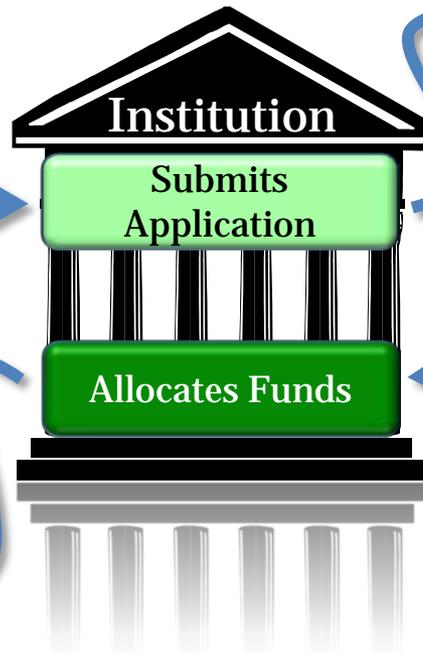


Great Research
Idea!



Investigator

Performs the
Research



Review dates and
earliest start date by
submission round

Review and Award Cycles

	Cycle I	Cycle II	Cycle III
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

Award Process



- All pre-award issues must be resolved
 - Program and grants management review for scientific or budgetary overlap
 - Budget negotiation
 - Determination of Facilities and Administrative (F&A) Costs
 - Certification of education on human subjects
 - Animals & human subject protection issues
 - Other support documentation
- Application to award takes ~9-10 months



Progress
Just-in-time
Streamlined terms
& conditions

What Can Delay the Award Process?



- Late submission of the progress report
- Inadequate description of progress
- Missing information for Key Personnel
- Out-of-date IRB/IACUC approvals
- Lack of population data for clinical trials
- Budgets with inadequate justification
- Other Support for an individual that exceeds 12 CM (100%)

Notice of Award (NoA)



- **Legally binding document**
 - Award data and fiscal information
 - Grant payment info
 - Terms and conditions of award
- **Grantee accepts terms and conditions of award when drawing down funds from the Payment Management System**



Accessing the Funds



- Generally centralized through the Payment Management System (<http://www.dpm.psc.gov/>)
- Applicant organizations are required to have financial systems in place to monitor their grant expenditures.
- The Grants Management Specialist reviews grantee cash expenditure reports to determine whether they indicate a pattern of accelerated or delayed expenditures.

Post Award Management



- Annual progress reporting
- Annual federal financial reporting
- Invention reporting
- Yearly audits (as applicable)
- Closeout reporting



Progress

RPPR

Easier effort reporting

SNAP

Automatic no cost extensions

Annual Progress Reports



- Progress reports are required at least annually as part of the non-competing continuation award process.
 - RPPR Required for: SNAP, Fellowship, Multi-Year Funded (ex. R15)
 - All others have the option of paper-submission utilizing the PHS 2590...for now
 - ✦ Anticipated to be required for all non-SNAP progress reports by October 2014
 - Further information:
<http://grants.nih.gov/grants/rppr/>

Financial Reporting



- **Federal Financial Report (FFR):** Annual FFR due 90 days after the end of calendar quarter in which the budget period end date falls
- **Final FFRs** - due 90 days after the project period end date
- **Annual and Final FFRs** reporting expenditure data must be submitted via the eRA Commons
- **Impact on future awards** – delinquent submission of the required FFR will most likely result in the holding of any future awards to support the particular project

Grants

About Grants

- Grants Process Overview
- Grant Application Basics
- Types of Grant Programs
- How to Apply
- Peer Review Process
- Award Management
- Foreign Grants Information
- Funding Strategies

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- Electronic Grants**
- Electronic Research Admin (eRA)
- eRA Commons
- Applying Electronically

- Forms & Deadlines**
- Forms & Applications
- Due Dates & Submission Policies
- Submitting Your Application

- Grants Policy**
- Policy & Guidance
- Compliance & Oversight
- Research Involving

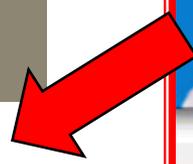


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Submission News
Reports to the Office of Animal Welfare due , 2014
Will Be Offline Dec. 6 - e Dates Adjusted

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Blog)
& Training
Feeds



Grants Process At-A-Glance

Any successful project requires planning. The Grants Process At-A-Glance Chart shows the submission through award and close out. Look to the related resources on each page for special guidance from NIH experts that can help make your understanding of the grants process and help you submit a successful grant application.

grants.nih.gov/grants/grants_process.htm

Planning, Writing, Submitting

Planning: Applicant should start early, collect preliminary data, and determine internal deadlines.

Writing: Applicant often begins writing application several months prior to application due date.

Submitting: Applicant organization submits most applications to NIH through Federal portal, Grants.gov.

Receipt and Referral

Months 1-3

Months 1-3

Applications compliant with NIH policies are assigned for review by the Division of Receipt and Referral in the Center of Scientific Review (CSR).

CSR assigns application to an NIH Institute/Center (IC) and a Scientific Review Group (SRG).

Scientific Review Officer (SRO) assigns applications to reviewers and readers.

Peer Review

Months 4-8

Initial Level of Review: SRG members review and evaluate applications for scientific merit.

Impact Scores: Available to Principal Investigator on eRA Commons.

Summary Statement: Available to Principal Investigator on eRA Commons.

Second Level of Review: Advisory council/board reviews applications.

Award

Months 9-10

Pre-Award Process: IC grants management staff conducts final administrative review and negotiates award.*

Notification of Award: NIH Institute/Center (IC) director makes funding decision. IC staff issues and sends Notice of Award (NoA) to applicant institution/organization.

Congratulations! Project period officially begins.

Questions?