

# **Role of the Program Director and the Grants Management Specialist**

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DCCPS New Grantee Workshop

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# Overview of Presentation

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- Role of Program Directors
  - Advise applicants prior to application submission
  - Attend reviews – in person or by phone
  - Post Review – address IRG concerns; advise PIs on resubmission, assess JIT
  - Post Award – assess Progress Reports
- Role of Grants Management Specialists
  - Evaluate grant applications for compliance
  - Consult and assist interpretation of grants policies
  - Evaluate prior approval requests

# DCCPS Program Directors

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- Have scientific expertise in particular fields (e.g., epidemiology, behavioral science, statistics, etc.)
- Manage a variety of grant funding mechanisms (e.g., R01, R21, P01, U01, U54)
- Identify research gaps and develop concepts for NCI/trans-NIH funding opportunities (RFA, PA, SBIR, etc.)
- Reach out to the investigator community (e.g., workshops, conferences, etc.)
- Disseminate scientific findings and advances
- Serve as NCI liaisons and representatives to other organizations
- Help PIs build on their initial funded grant and further their research

# **Program Directors Can Work With You To Facilitate Submission of Your Grant Application**

- Identify other funding opportunities or resources
- Provide advice on the use of different grant mechanisms to support new research ideas/projects
- Explain funding announcements (FOAs)
- Discuss how to frame your research so it fits with NCI and DCCPS strategic priorities
- Help you interpret NIH pre-submission policies and procedures

# Program Directors Can Help You Locate and Navigate Funding Announcements

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Announcement Type	Description
PA-13-302 PAR-14-007 PA-13-292 (R01) PA-13-288 (R21)	NIH R01 Omnibus/Parent FOA NCI Small Grants (NCI Omnibus R03) Behavioral/Social Science Research on Understanding and Reducing Health Disparities
RFA	Request for Applications; set-aside dollars
PA	Statement of interest by the institute; interest is considered during review; no set aside funds
PAR	Statement of interest by the institute with a special review; no set aside funds
Other	NIH Common Fund NCI SBIR/STTR New initiatives NCI Provocative Questions RFA

# Words of Advice: Contacting your Program Director

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- Your Program Director (PD) can be your initial contact for questions about research ideas, grant mechanisms, and policies related to conducting research
- Email your PD to set up an appointment to discuss a new or on ongoing research project
  - Provide key points in advance that you want to discuss
  - Your PD has many competing demands so be persistent
  - Ask your PD the best way to communicate (e.g., email, phone)
- You **MUST** contact your PD in cases of inadequate progress large unobligated balances, etc.

# Program Directors Can Provide Guidance About Pre-Submission Policies

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- Large applications (direct costs of \$500K or more in any year) require prior approval for submission
- Amended applications
- Competitive renewal (T-2) – NCI cap policies
- Receipt dates for submission of applications (some FOAs have special receipt dates)

# Large Grant Policies: Awaiting Receipt of Applications (ARAs)

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- Grants with direct costs  $\geq$  \$500,000 in any year require special Program approval for submission
- A package containing the following must be submitted to your Program Director  $\geq$  8 weeks prior to receipt date:
  - A letter requesting approval to submit (on letterhead)
  - Application Face Page and Specific Aims
  - Abstract
  - Budget and Budget Justification
  - Application Checklist page
- If the grant application is a resubmission, include brief responses to the more significant reviewer concerns from the Summary Statement
- A new ARA request is required for each submission large grant application

<http://epi.grants.cancer.gov/funding/ara/>



# Grant Review

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- Program Directors listen to study sections but do not participate in the review
- Scores and Summary Statements appear in your Commons account; **be sure to keep your Commons account updated**
- Score - 3 business days; Summary Statement - 30 days (10 days for \*R01)
- PDs can discuss your Summary Statement with you after it is released
- Just-in-time (JIT) requests – if you receive an automated email – check with your PD or Grants Management Specialist to see if they need you to send it

# Words of Advice: Post Review

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## **After receiving your Summary Statement:**

- Contact your Program Director to discuss the report
- Always plan to revise and resubmit – you don't want to miss the next receipt date
  
- **Applications scored within the “fundable range”**
  - a Grants Management Specialist will contact your Office of Sponsored Research
  - NOTE - An application may be under funding consideration for some time

# NCI Multi-Step review of Exceptions

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- **Applications scored outside of the “fundable range”**
  - May be identified by Program for exception funding – will be reviewed and must be approved at multiple levels of NCI authority
- The exception review and approval process is complex and may occur over several months. Approvals are needed at multiple NCI Levels
  - Branch
  - Program
  - Division
  - NCI (SPL)
  - Applications identified for funding by exception compete directly with all the applications from the NCI brought to the Scientific Program Leaders (SPL)

# Selected for Funding: Prior to Award

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## Program Directors:

- Will request information from PIs to address any bars to funding- e.g., human subjects, IRG concerns, etc.
- Submit documentation for NIH clearance on international grants or domestic grants with foreign components through the Fogarty International Center (FIC)
- Submit foreign awards or significant foreign component awards for NCAB approval

# Post Award Actions That Require Prior Approval From Your Program Director

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- Changing key personnel (named in the Notice of Grant Award)
- Changing the grantee institution – grant transfer
- Adding, removing, or transferring a foreign sub-award or foreign site
- Carrying over unobligated funds to the next award if your grant requires prior approval (check the NoA)
- Helping PIs manage budget reductions in line with NCI policy
- Requesting a 2nd no cost extension

# No Cost Extensions (NCEs)

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- Grantees may request to extend the final budget period of a project if:
  - If no additional funds are required from the NIH awarding office, and
  - If there will be no change in the project's originally approved scope
- NCI Prior approval is not required for the first NCE
  - A NCE should be requested in the eRA Commons no earlier than 90 (or less than 30) days prior to project end date
- A second NCE requires NCI approval - contact your Grants Management Specialist

# Words of Advice:

## When to Contact Your Program Director

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- Contact your PD as soon as possible if you:
  - Have questions about pre- or post- submission processes
  - Are considering a large grant ( $\geq$  \$500K in direct costs any year) request
  - Anticipate a large carryover/unobligated balance
  - Will be changing institutions
  - May have a change in PI on a single or multi-PI grant
  - Need to discuss/request a change in aims or scope
  - Are having recruitment issues
  - Are having significant delays in your research

# Role of Program Director vs. Grants Management Specialist

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## Program Directors:

- Advocate for scientific research
- Monitor scientific progress
- Review and approve progress
- Review JIT information
- Assist PIs with scientific and project issues
- Review requests for carryovers (if not automatic)
- Review requests for second no cost extensions (NCE)
- Identify and discuss funding opportunities with PIs
- Are the focal point for all “scientific” issues related to the research

## Grants Management Specialists:

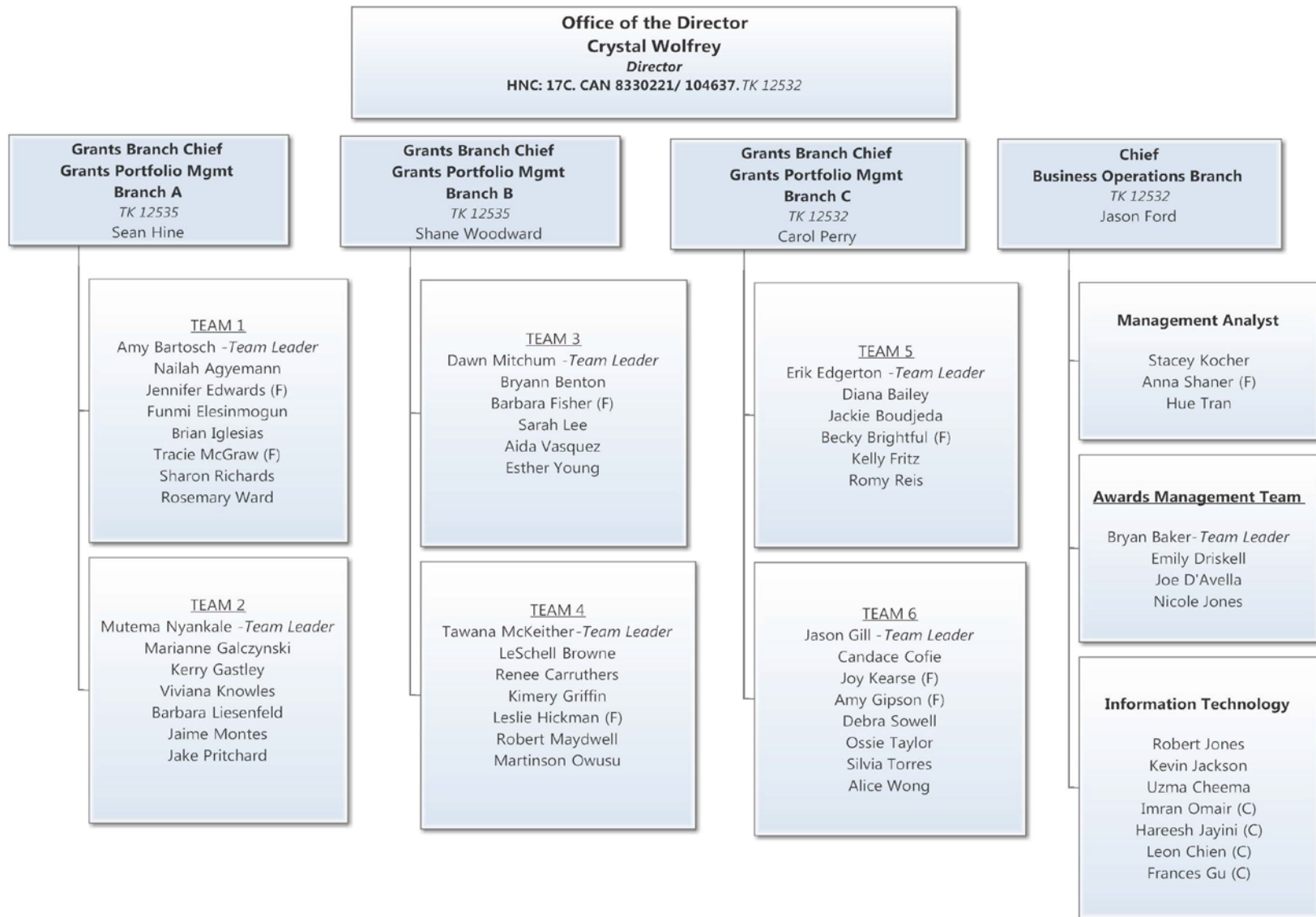
- Review applications and progress reports for compliance with policy
- Request all JIT (IRB, IACUC, HS Education, Other Support)
- Review administrative and budgetary compliance of grant
- Issue Notice of Awards (NoA) using current funding policy
- Are the focal point for all correspondence from “business” and compliance issues related to the grant (carryover requests, no cost extension requests, etc.)



# Office of Grants Administration - OGA

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- Director and Chief Grants Management Officer (GMO)
  - Crystal Wolfrey
- Four Branches
  - Three Grants Branches
    - Branch A – Sean Hine, Grants Branch Chief
    - Branch B – Shane Woodward, Grants Branch Chief
    - Branch C – Carol Perry, Grants Branch Chief
      - Branch Chiefs serve as liaisons to the Cancer Divisions, Offices and Centers
  - Business Operations Branch, Jason Ford, Chief



(F) Office in Frederick  
(C) Contractor

updated 10/18/2015

# Office of Grants Administration - OGA

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- NCI OGA manages the largest Institute grant portfolio at NIH
- In FY 2015 OGA obligated over \$3 billion dollars in
  - 7,086 initial awards
  - 2,774 revisions
- OGA currently has 36 Grants Management Specialists (GMS)
- GMS are assigned between 165 – 220 competing and non-competing awards each year; not including revisions and post award actions

# OGA Responsibilities

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- Grants Management Officer (GMO)
  - Monitors administrative and fiscal aspects of grants
  - Only NCI Official authorized to obligate expenditure of funds and permit changes to the approved projects
  - Responsible for ensuring that all parties meet all requirements of laws, regulations and formally established policies
  
- Grants Management Specialist (GMS)
  - Acts as an agent of the GMO and oversees the day-to-day business and non-programmatic aspects of awards
  - Evaluates administrative content of applications, reviewing for compliance with NIH policy
  - Negotiates awards and responds to post-award requests

# Grantee Responsibility

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- Awards are made to the Recipient (Institution) but the PI manages the day-to-day scientific activities of the grant
- Legally responsible for proper conduct and execution of the project
- Provides fiscal management of the project
- Oversees all decisions that may impact the grant
- Assures compliance with Federal laws and regulations, and NIH policies and procedures
- Authorized Organization Representative (AOR) designated by the institution:
  - Signs all official correspondence attesting that all information/documentation is accurate

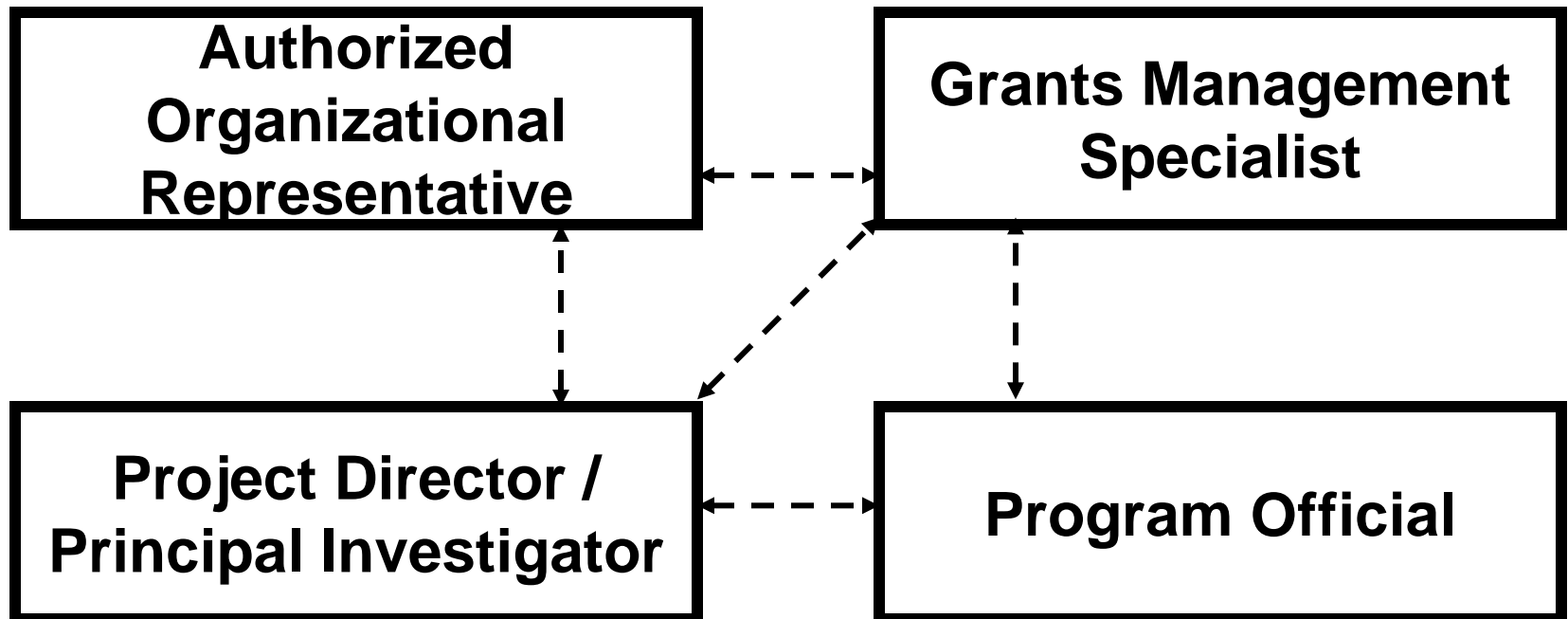
# Prior Approvals and Post Award Requests

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- Must be made in writing (including submission by e-mail) to the GMS no later than 30 days before the proposed change
- Request must be signed by the AOR as evidence of Grantee approval of request
- If the request is emailed; a cc: to the AOR is not acceptable evidence of approval

# Lines of Communication

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**Thank you!**

**Questions?**