Role of the Program Director and the Grants Specialist

Erik Augustson, PhD, MPH Program Director, BRP

Damali Martin, PhD, Program Director, EGRP

Carol Perry, Office of Grants Administration

DCCPS New Grantee Workshop
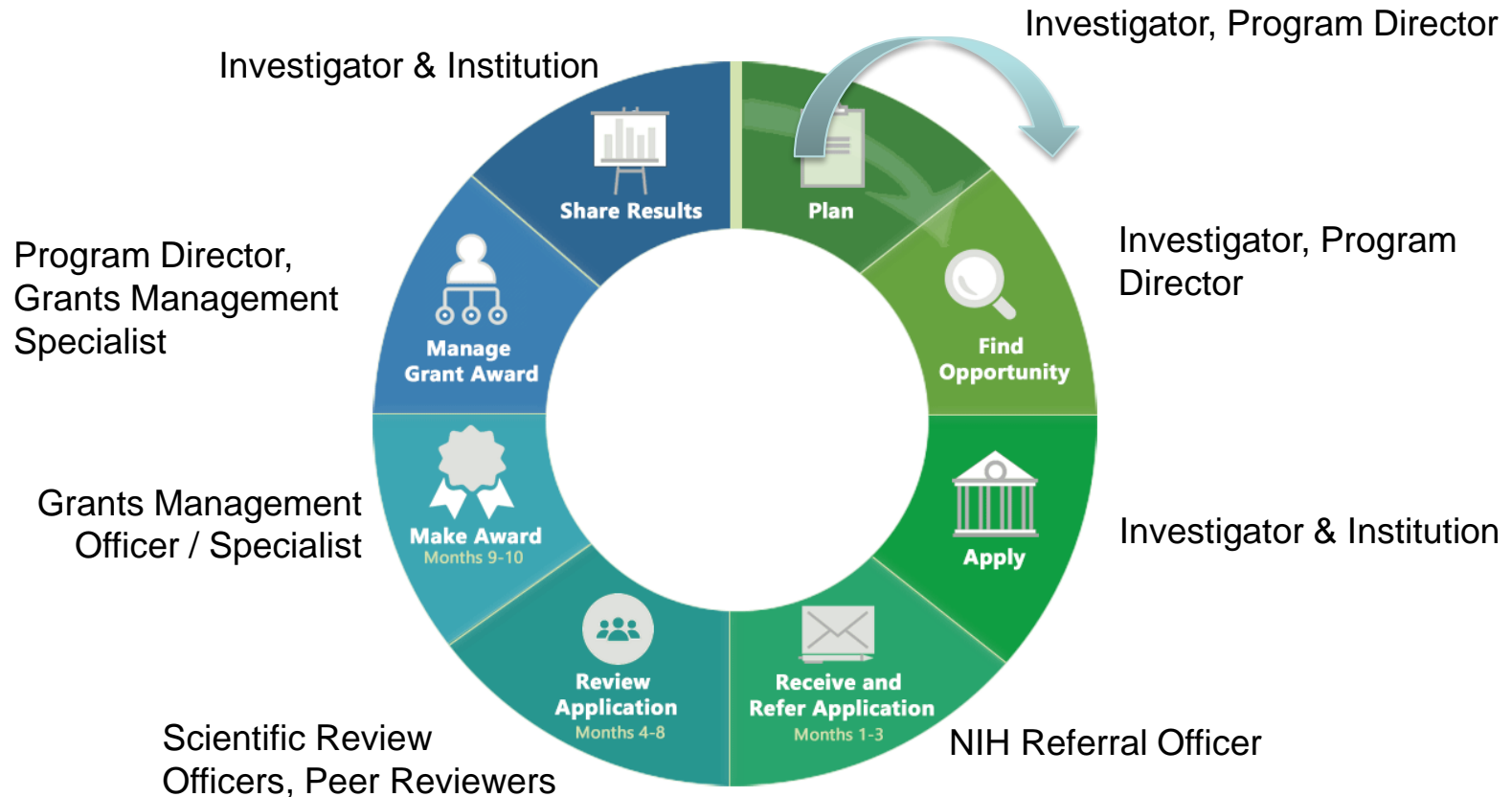September 18-19, 2017

Overview of Presentation

- Key players in the grants process
- Managing your R01: program's perspective
- Role of the program director at different stages

Key Players in the Grants Process

NIH Staff	Roles
Referral Officers	Serve as liaisons to the Center for Scientific Review (CSR); ensure appropriate assignment of grant applications to programmatic areas; and provide guidance to extramural community with respect to application submission process
Scientific Review Officers	Oversee and manage peer review process; serve as point of contact during review phase for applicants and reviewers; interact with program directors before, during, and after review
Program Directors	Provide scientific and administrative stewardship of research grants and contracts; serve as point of contact for applicants pre- and post-review
Grants Management Officers/Specialists	Oversee and monitor grant award process and ensure fiscal compliance; negotiate awards; interpret policies; work closely with program directors

Grants Process at the National Institutes of Health (NIH) – Key Players

Investigator & Institution

Investigator, Program Director

Program Director, Grants Management Specialist

Investigator, Program Director

Grants Management Officer / Specialist

Investigator & Institution

Scientific Review Officers, Peer Reviewers

NIH Referral Officer

http://grants.nih.gov/grants/grants_process.htm

Role of Program Directors and Grants Specialists

Role of Program Directors

- Oversee programmatic, scientific, and technical aspects of grants
- Manage portfolio of grants within scientific area of interest / expertise
- Identify scientific opportunities, gaps in the portfolio, future directions
- Scientific liaison with other institutes, agencies, professional societies
- Foster excellent science and promote effective communication

Role of Grants Specialists

- Oversee legal and financial aspects of grant
- Issue the NoA (NGA) – legal terms of award
- Post grant award, assess progress reports – the business side

Post Award Actions That Require <u>Prior Approval</u> From Your Program Director

All changes should come from Institute's Business Official

- **Managing budget reductions in line with NCI policy**

- **Changing the scope of your project**
  - Examples: changing specific aims, using a new technology, reducing subject study numbers, etc.
  - Be sure to speak to the PD *before* you make the change
  - Will need to consider if your budget was reduced by 25% or more

Post Award Actions That Require <u>Prior Approval</u> From Your Program Director

- **Changing key personnel and PI**
  - Justification for changing, adding or removing PI (if multi-PI grant)
  - Biosketch needed for any changes in key personnel
  - Requires program approval

- **Changing the grantee institution**
  - Communicate with the PD as soon as possible
  - Start the process as early as possible, as there are many steps and approval levels
  - Institute's Business Official should communicate with OGA regarding the release of the award to new institute

Post Award Actions That Require Prior Approval From Your Program Director

- **Adding, removing, or transferring a foreign sub-award or foreign site**

  - Name of added site

  - Name of PI at site

  - Indicate how PI at added site will participate in research

  - If foreign site, indicate budget going to foreign site

  - If grant falls under GDS policy, will need institutional certificate from added site

- **Carrying over unobligated funds 25% or more to the next year**

  - Need justification in progress report

  - Does not hurt to let PD know before progress report is due

NATIONAL CANCER INSTITUTE

Post Award Actions That Require <u>Prior Approval</u> From Your Program Director

- **Genomic Data Sharing -** *NCI GDS Policy website*
  - Inform PD after data generation is complete
  - Data should be submitted after data cleaning and QC
  - Include notification of data generation, cleaning, and QC in progress report
  - Will help register study in dbGAP with your input
  - Data is released 6 months after initiation of submission process OR at time of first publication (whichever is first)

Post Award Actions That Require <u>Prior Approval</u> From Your Program Director

- **Requesting a 2nd no cost extension (NCE)**
  - Justification to PD and OGA
    - Describe what has been accomplished since the first NCE
    - Describe what was not completed and why
    - Describe how much funds are unobligated
    - What will be done during NCE, timeline for completion, budget, and any other relevant information specific to the award
  - PD and grants specialist need to approve

Other Post Awards Communications

- **Communicate with you about other resources to enhance research**
    - Administrative or competitive supplements
    - Interesting FOAs from NCI, NIH, and other funding agencies
    - Useful databases, e.g., genomic resources, cancer epidemiology cohorts, dietary assessment resources (https://epi.grants.cancer.gov/research-resources/)
    - Guidance towards applying for a type 2 or a new application

Program Directors: When Should You Contact Them?

- Early - before submission

- To seek information about a policy/guideline

- To inquire about a scientific area and funding for that area

- To inquire about new scientific directions for institute/program

- Need additional information about a funding announcement

- **TIP: Email your PD to set up an appointment to discuss specific aims or questions.**

  - **Provide key points you want to discuss in advance**
  - **Identify best way to communicate (e.g., email, phone)**
  - **Be persistent – your PD has many competing demands**

Before Application Receipt

Program Directors can..

- Discuss how to frame your research so it fits with NCI and DCCPS strategic priorities

- Clarify Funding Opportunity Announcement (FOA) intent

- Help interpret NIH pre-submission policies and procedures

- Process Awaiting Receipt of Application (ARA)

  - PI must request approval to submit large application

  - Subtotal direct costs (excludes indirects) $\geq$ $500K

- Coordinate/conduct pre-application meeting between DCCPS and PIs for complex grants (P, U)

- Offer general information about current review standards as well as different mechanisms

Types of Funding Opportunity Announcements

Type of Funding Opportunity Announcements	
Program Announcement (PA, PAR)	• Highlights specific area of focus • Standard receipt dates, open for 3 years • Investigator-initiated or unsolicited research • No set-aside funds (except PAs)
Parent Announcement (Omnibus FOA)	• Generally spans the breadth of NIH mission • Standard receipt dates, open for 3 years • Investigator-initiated or unsolicited research • No set-aside funds
Requests for Applications (RFA)	• Narrowly defined scope • Usually single receipt date • Set-aside funds

Program Directors Can Help You Navigate Funding Announcements

Type of Funding Opportunity Announcements	
PA-16-160 PAR-16-416 PAR-16-176	• R01 Omnibus solicitation • NCI Small Grants (NCI Omnibus R03) • NCI Clinical and Translational Exploratory / Developmental Studies (NCI Omnibus R21)
PAR-16-278	• Stimulating Innovations in Behavioral Intervention Research for Cancer Prevention and Control
Other	• Common Fund • SBIR/STIR • New Initiatives • NCI Provocative Questions (RFA)

After Application Review: Words of Advice

- After receiving your summary statement, you can set up an appointment with your PD to discuss the review and scoring

- Application is within the fundable range: An Office of Grants Management (OGA) Specialist will contact your Office of Sponsored Research
    - Just-in-Time (JIT) documents are valid for 90 days

- Good score but just outside the fundable range: Talk with your PD, but always plan to revise and resubmit

- Program may select an application for exception: Exception funding is competitive and limited! Your application may be under consideration for a while.

Selected for Funding: What to Do Prior to Award

- Your program director may ask for documents to submit for clearance on

    - International grants or domestic grants with foreign components

    - Funding bars or unacceptable designations noted in SS

- Research that are foreign awards or have significant foreign components prior to award must be approved by the National Cancer Advisory Board (NCAB)

- Submit your Just-in-Time (JIT) documents electronically to update your other support, add certifications for human subjects or other training, and IRB approval documents

Words of Advice: Contact Your Program Director Early

Contact your PD early if you…

- Have questions about processes pre- or post-submission
- Are considering a large grant (≥ $500K in direct costs any year)
- May have a large carryover ($\geq$ 25% of budget)
- Will be changing institutions
- Will have a change in PI on a single or multi-PI grant
- Need to discuss/request a change in aims/scope
- Are having recruitment issues
- Are having significant delays in your research

DCCPS New Investigator's Meeting

Carol Perry
Branch Chief
Office of Grants Administration
National Cancer Institute

September 18, 2017

NIH NATIONAL CANCER INSTITUTE

Role of Program Director vs. Grants Management Specialist

Program Director:

- Reviews and approves progress report
- Reviews requests for second no cost extensions
- Reviews JIT information
- Reviews requests for carryovers (if not automatic)
- Assists PI in scientific and project issues
- Identify and discuss funding opportunities with PI
- Focal point for all scientific issues related to the research

Grants Management Specialist:

- Reviews applications and progress report for compliance with policy
- Requests and obtains all JIT (IRB, IACUC, HS Education, Other Support)
- Reviews administrative and budgetary portions of application
- Issues Notice of Award using current funding policy
- Focal point for all correspondence from grantee related to the non-scientific business of the grant (carryover requests, no cost extension requests, etc.)

Office of Grants Administration - OGA

- Director and Chief Grants Management Officer
  - 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 Divisions, Offices and Centers
    - Business Operations Branch, (Branch Chief – Vacant)

Office of Grants Administration - OGA

- OGA currently has 36 Grants Management Specialists (GMS)

- Depending on the experience level, GMS are assigned 165 – 220 competing and non-competing awards each year; not including revisions and post award actions

- In FY 2017 OGA obligated over $3 billion dollars in
  - 11,565 (awards and revisions)

Total OGA Awards and Revision actions as of September 13, 2017
11,565 actions so far.
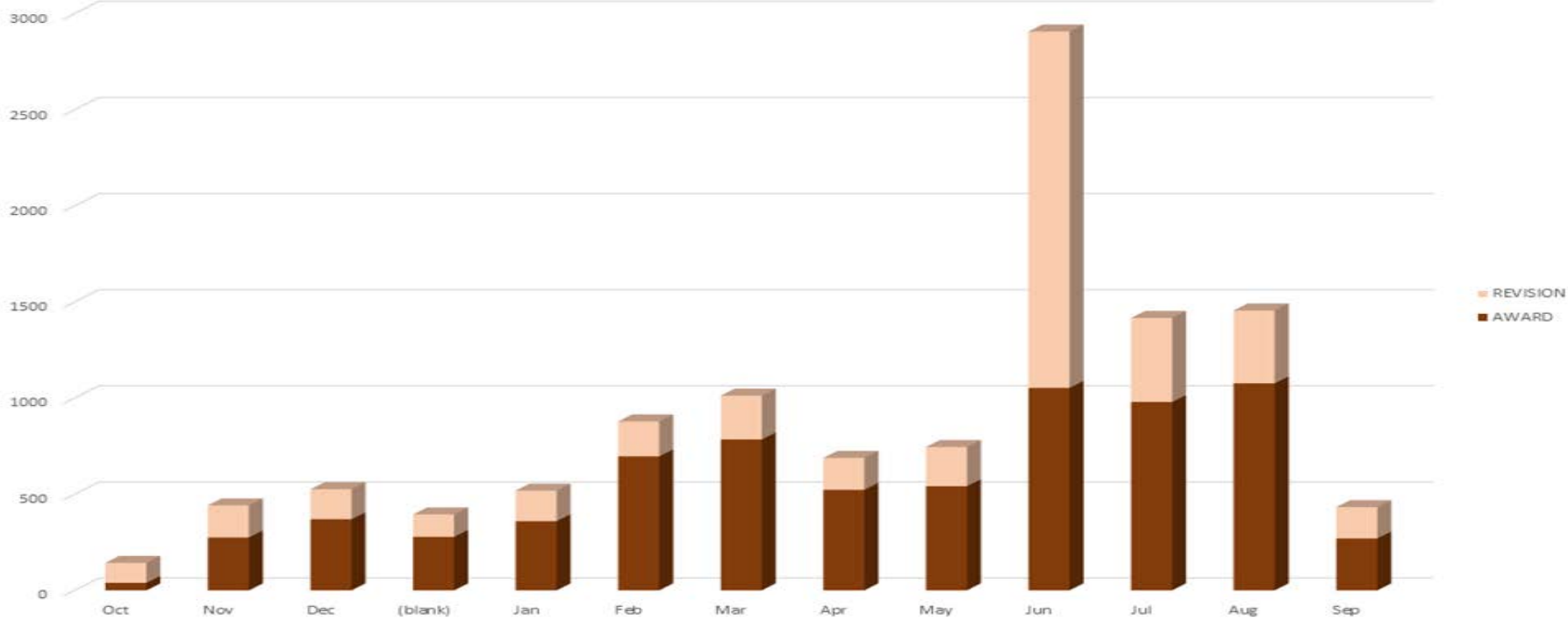
Crystal Wolfrey
Director, Chief Grants Management Officer

Grants Portfolio Management *Branch A*	Grants Portfolio Management *Branch B*	Grants Portfolio Management *Branch C*	Business Operations Branch BOB
Sean Hine - Branch Chief	**Shane Woodward - Branch Chief**	**Carol Perry - Branch Chief**	**Crystal Wolfrey - Acting Branch Chief**

Vacant **-** Lead Specialist

Jaime Montes **-** Lead Specialist

Alice Wong - Lead Specialist

Hue Tran - Program Specialist

Team 1
Amy Bartosch - Team Leader
Nailah Agyemann
Funmi Elesinmogun
Nicole Franklin
Rogers Gross
Tracie McGraw
Avery Tucker

Team 2
Mutema Nyankale - Team Leader
Marianne Galczynski
Kerry Gastley
Barbara Hodgkins
Viviana Knowles
Long Nguyen
Jake Pritchard

Team 3
*Dawn Mitchum **-** Team Leader*
Justin Birken
Sarah Lee
Stephanie Mitchell
Ashley Salo
Cornice Young

Team 4
Tawana McKeither - Team Leader
LeSchell Browne
Alania Foster
Kimery Griffin
Leslie Hickman
Martinson Owusu

Team 5
*Erik Edgerton **-** Team Leader*
Dianna Bailey
Becky Brightful
Mohammed Kurtom
Romy Reis
Jackie B. Saval
Ashley Utter

Team 6
*Jason Gill **-** Team Leader*
Candace Cofie
Joy Kearse
Jennifer Meininger
Debra Sowell
Angela Walters

Business Services Team 1
Bryan Baker - Team Leader
Joe D'Avella
Emily Driskell
Nicole Jones
Anna Shaner

Business Services Team 2
Stacey Kocher - Team Leader
Eugenia Chester
Kevin Jackson
Robert Jones
Lisa Vytlacil
Imran Omair (contractor)
Hareesh Jayini (contractor)
Leon Chien (contractor)
Frances Gu (contractor)

OGA Responsibilities

- Grants Management Officer (GMO)

  - Monitors administrative and fiscal aspects of grants and cooperative agreements

  - Only official authorized to obligate NIH to the expenditure of funds and permit changes to the approved projects

  - Responsible for ensuring that both the granting agency and the grantee community meet all requirements of laws, regulations and formally established policies

- Grants Management Specialist (GMS)

  - Acts as an agent of the GMO and oversees the 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

Recipient Responsibility

- Award is made to the institution, not the PI
- Legally responsible for proper conduct and execution of the project
- Provides fiscal management of the project
- Oversight of 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
- AOR signs all official correspondence attesting that all information/documentation is accurate

Prior Approval and Post Award Requests

- 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 approval of request
- If the request is e-mailed; a cc to the AOR is not acceptable evidence of approval

Lines of Communication
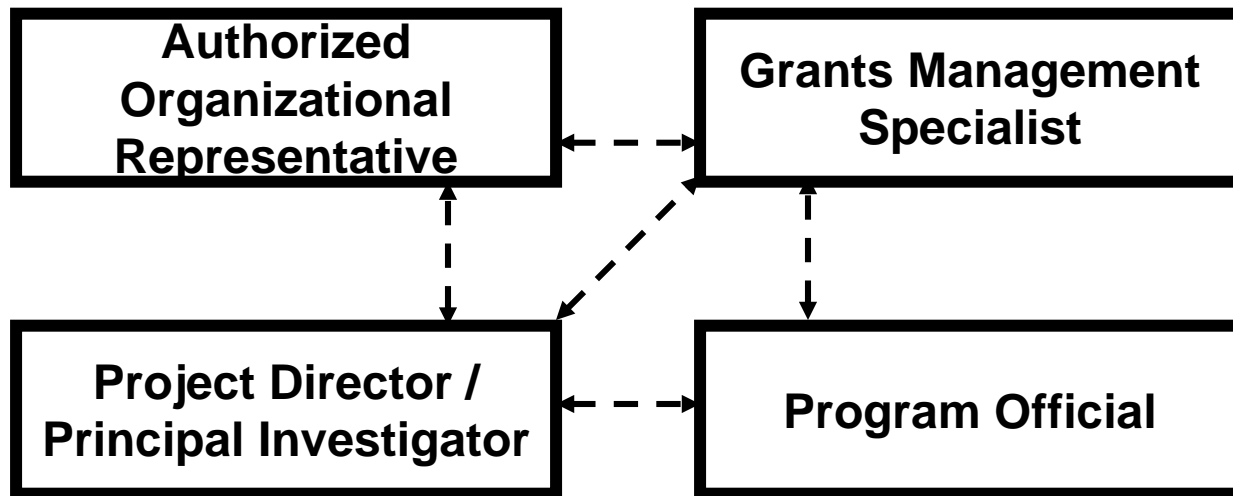
RESOURCES

- The Office of Grants Administration information can be found online at the following links:
  - https://mynci.cancer.gov/topics/office-grants-administration-oga
  - https://www.cancer.gov/about-nci/organization/oga/about
  - https://www.cancer.gov/about-nci/organization/oga/about/staff
  - OGA Recipient Institution Contacts: https://www.cancer.gov/grants-training/grants-management/contacts

NIH⟩ NATIONAL CANCER INSTITUTE