



SRAI 2022
NORTHEAST-SOUTHERN
SECTION MEETING

Same Goal, Different Paths

NIH and a Recipient Organization Talk about Grants

Who we are



Our planned topics

- Just-in-time (JIT) submissions
- Other support
- Award management – Prior approval requests and Salary Cap questions
- Reporting (annual and final) and Close-out

Just-in-time (JIT) submissions

Generic JIT request



era-notify@mail.nih.gov

REQUEST FOR JUST-IN-TIME INFORMATION

To: [REDACTED] Cc: nga@ordmail.umaryland.edu,

Reply-To: eraNotifications@mail.nih.gov

Award copies March 23, 2021 at 10:09 PM

[Details](#)

*** This is an automated notification - Please do not reply to this message. ***

Principal Investigator: James [REDACTED]

Application 1 R03 NS076002 entitled Targeting Type I IFN signaling to promote recovery following brain trauma in aged animals has completed the first phase of peer review.

REQUEST FOR JUST-IN-TIME INFORMATION

THIS IS NOT A NOTICE OF GRANT AWARD NOR SHOULD IT BE CONSTRUED AS AN INDICATOR OF POSSIBLE AWARD

This is a standard notice and request for information from all principal investigators with grant applications receiving an impact score of 30 or less (regardless of the IC's payline) which reflects NIH's current tightened paylines and new Impact Scoring system. This notice is a request for Just-In-Time Information. NIH Institutes and Centers (ICs) have varying pay lines and funding strategies that determine which grants will be funded.

If a decision is made to fund this application, the assigned IC will need the following information PRIOR to making an award.

- **Current Other Support:** Provide active and pending support information for all individuals designated in an application as senior/key personnel—those devoting measurable effort to a project. Other support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available to support the project.

Timely submission of the requested information will enable NIH staff to expedite an award should an application be identified for funding. Institute staff will contact you if they have not received the requested information or if additional information is required. If you have any additional questions, please contact the assigned Grants Management Specialist. Contact information for these individuals can be found in Commons Status.

Please be reminded that this notice and request for information applies only to principal investigators with grant applications receiving an impact score of 40 or less (regardless of the IC's payline). For additional information on the Just-in-Time procedures, see section 2.5.1 of the NIH Grants Policy Statement.

Respond to this JIT request!

From: "Rojas, Cynthia (NIH/NIAID) [E]" <cynthia.rojas@nih.gov>
Subject: JIT Request: Grant Number: 1R21AI142501 - 01 PI Name: Chatterjee, Som
Date: February 14, 2019 at 4:45:08 PM EST
To: "dpaffrat@umaryland.edu" <dpaffrat@umaryland.edu>
Cc: [REDACTED]; "Huntley, Clayton (NIH/NIAID) [E]" <chuntley@niaid.nih.gov>, [REDACTED]



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

National Institutes of Health
National Institute of Allergy
and Infectious Diseases
Bethesda, Maryland 20892

02/14/19

1R21A [REDACTED] 01 [REDACTED]

The above referenced application is being considered for funding by the National Institute of Allergy and Infectious Diseases. Please note that this request is not a guarantee of funding. Official notification of funding is only made by issuance of a Notice of Award (NoA).
The following Just-In-Time information (JIT) identified is requested:

_____ Current Other Support - Provide active and pending support information for ALL individuals designated in an application as key personnel.
There is no form page for providing other support, although a sample format page is available at <https://grants.nih.gov/grants/forms/othersupport.htm>

_____ Other

1. Confirm institution's Entity Identification Number (EIN) is 1526002036A1.
2. **Please provide a copy of your latest F&A rate agreement with your JIT response.**
3. **Provide a contact phone number for the PI, Dr. [REDACTED]**

The requested Just In Time (JIT) information must be submitted via eRA Commons ([NIH Guide Notice NOT-OD-12-101](#)) by **02/18/2019**. If unable to submit the requested information through eRA Commons, please contact your Grants Management Specialist. Timely submission of the above information will enable us to expedite the issuance of an award should the application be identified for funding.

Sincerely,



Cynthia Rojas
Grants Management Specialist

Other support

**PHS OTHER SUPPORT
For All Application Types – DO NOT SUBMIT UNLESS REQUESTED**

There is no "form page" for reporting Other Support. Information on Other Support should be provided in the format shown below.

*Name of Individual:
Commons ID:

Other Support – Project/Proposal

*Title:

*Major Goals:

*Status of Support:

Project Number:

Name of PD/PI:

*Source of Support:

*Primary Place of Performance:

Project/Proposal Start and End Date: (MM/YYYY) (if available):

* Total Award Amount (including Indirect Costs):

* Person Months (Calendar/Academic/Summer) per budget period.

Year (YYYY)	Person Months (##.##)
1. <u> </u> [enter year 1]	
2. <u> </u> [enter year 2]	
3. <u> </u> [enter year 3]	
4. <u> </u> [enter year 4]	
5. <u> </u> [enter year 5]	

Reminders

- NIH Other Support page:

<https://grants.nih.gov/grants/forms/othersupport.htm>

- Transparency is key!
- In-kind support
- Electronic signature

- UMB's guidance page:

<https://www.umaryland.edu/spa/award-management/pre-award-sponsor-requests/nih-other-support-reporting/>

Prior approval requests

SNAP versus non-SNAP

Awards routinely included in SNAP are "K" awards and "R" awards, except R35

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

https://grants.nih.gov/grants/policy/nihgps/html5/section_8/8.1.2_prior_approval_requirements.htm

Non-SNAP awards

Example of Estimated Unobligated Balance (RPPR)

G.10 ESTIMATED UNOBLIGATED BALANCE

G.10.a Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total approved budget?

Yes

Estimated unobligated balance: \$661,630

G.10.b Provide an explanation for unobligated balance:

We anticipate having an unobligated balance of approximately 28%. As described in section F2, enrollment was impacted by the COVID-19 pandemic for a variety of reasons. In addition, enrollment into some strata was paused as a result of DSMB recommendations. Both of these factors resulted in reduced enrollment into the trial. In an effort to reduce costs to the trial, the efforts of many personnel were reduced to ensure that their true efforts were being reflected in the budget.

G.10.c If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent

If authorized to carryover the balance, we plan to increase staff efforts to the levels at which they were prior to the pandemic. It is our expectation that recruitment levels will continue to increase, reaching pre-pandemic levels. This increase in recruitment will necessitate a corresponding increase in staff efforts to accommodate all study visits. In addition, the pandemic has resulted in an increase in supply costs, and we therefore anticipate dedicating a portion of carryover costs to cover these increase costs. Finally, carryover funds will be used to support proteomic processing of samples by Dr. [REDACTED]'s lab, for which we have a fully executed agreement in place executed within the past year.

Carryover requests

- Before requesting carryover on a Non-SNAP award, ensure the FFR has been accepted by NIH. No request for carryover can be approved until the FFR has been accepted by NIH and the Grants Management Specialist has reconciled the FFR to ensure the requested funds are available for carryover.

9784790	[REDACTED]	[REDACTED]	Accepted	11/25/20	UNIVERSITY OF PENNSYLVANIA	Accepted By: Shannon Hershman Date Report Accepted: 02/04/2021 Carryover to be requested under separate cover.
9985605	5 U01 DE 027637 - 04	McGeehan, Marissa +1 (484) 431-7246	Received	11/24/21	UNIVERSITY OF PENNSYLVANIA	

Date

NIH/NCI
Grants Management Officer
National Cancer Institute
ABC

Re: No Cost Extension & Carryover Request for Grant 5P01xyx
Principal Investigator: Dr. PI

Dear ABC,

We are writing to formally request your approval for a no cost extension and carryover of an unobligated balance of **\$ 0.00** total cost for project **\$0.00 direct cost; \$0.00 F&A costs for 5P01xyz**, entitled **“Important Research about...”** from budget period [dates] to budget period [dates].

Provide a detailed paragraph on why there is an unobligated balance and why carryover is necessary.

An unobligated balance exists due to ***[explain why there is a balance]***. This carryover is essential for the successful completion of the project. Use of the unobligated balance will ensure our ability to fulfill the specific aims of the project... ***[Provide specifics of how will carryover be utilized, why is it necessary].***

Attached please find a detailed carryover budget, budget justification and checklist, for your review. Should you have any questions or concerns regarding this request, please contact our Office of Grant Support at preaward@einsteinmed.edu or PI information.

Sincerely,

I concur,

Dr. PI

abc.

Albert Einstein College of Medicine
<http://www.einstein.yu.edu/labs/john-condeelis>
Department of Anatomy and Structural Biology
Albert Einstein College of Medicine
1300 Morris Park Avenue
Bronx, NY 10461-9998
Phone: 718-430-0000
Email:

Approved by:

Director, Office of Grant Support
Albert Einstein College of Medicine
1300 Morris Park Avenue
Bronx, NY 10461-9998
Phone: 718-000-0000
Email: preaward@einsteinmed.edu

Salary Cap

Salary cap

The Consolidated Appropriations Act, 2021, restricts the amount of direct salary to Executive Level II of the Federal Executive pay scale. The Office of Personnel Management released new salary levels for the Executive Pay Scale and effective January 2, 2022, the salary limitation for Executive Level II is \$203,700.

- <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html>
- https://grants.nih.gov/grants/policy/salcap_summary.htm

Reporting and Close-out

Non-compliance Notice

Dear Signing Official,

Grant Number: [REDACTED]

According to our records, the project period end date for the above referenced grant was 8/31/2018. NIH policy (http://grants.nih.gov/grants/policy/nihgps/HTML5/section_8/8.6_closeout.htm) requires that close-out documentation be submitted no later than 120 days after the project period end date.

At this time, your institution is non-compliant with federal regulations and NIH Grants Policy requirements. The following documents are needed in order to properly closeout the above referenced grant:

_____ Final Research Performance Progress Report - (<http://grants1.nih.gov/grants/funding/finalprogressreport.pdf>)

_____ Final Invention Report- **HHS 568** (PDF - 46 KB) or **HHS 568** (MS Word - 79 KB)

Noncompliance of grant closeout is a breach of the terms and conditions under which the grant was awarded and requires your immediate attention.

The delinquent closeout documentations must be submitted via the eRA Commons at <https://public.era.nih.gov/commons/public/login.do> within 9 calendar days of the date of this notice. Non-compliance with this deadline will result in the NIDDK invoking Unilateral Closeout procedures for this grant and may initiate further enforcements actions such as removal of authority, delay or withholding support on other awards and/or closing the award based on the financial information we have available.

NOTE: As part of the close-out process, grantees must ensure there are no discrepancies between the final FFR expenditure data (as reported on the FFR submitted via the Commons) and the FFR cash transaction data in the Payment Management System. If discrepancies exist, Unilateral Closeout may result in a debt status for your organization.

There are no exceptions to the grant closeout requirements. If you are unable to provide a report, please provide a written explanation so that we may proceed with Unilateral Closeout and NIDDK will consider extreme circumstances and justification in our decision to proceed with further enforcement actions.

To assist you in monitoring close-out for all grants awarded to your institutions, NIH provides a quick query tool on the eRA Commons. Click [here](#) to obtain a list of grants pending closeout for your organization.

NIH tools

- Search for Progress Reports due:

<https://public.era.nih.gov/commons/public/quickqueries/progressReportByIpf.era>

- Search for Grants Pending Close-out:

<https://public.era.nih.gov/commons/public/quickqueries/gpc.era>

Contact Us

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pettitt@od.nih.gov
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