

**Grants Management 101
or
Everything You Always
Wanted to Know about Grants**

Mary H. Mitchell

Director of Grants & Contracts

Massachusetts General Hospital

Partners Research Management

What we will cover tonight

- Basic Grants Management Terminology
- Types of Sponsored Projects
- Partners Research Policies
- Funding Opportunities
- Basic Application & Statement of Work Components
- Managing the Award
- NIH Overview
- Where to go for help
- Q&A

Basic Terminology: Principal Investigator (1)

- Responsible for science & day-to-day management of project.
- Responsible for project's technical, financial, and administrative compliance.
- Usually a single individual, although there may be multiple PI's for team science projects. See: http://grants.nih.gov/grants/multi_pi/

Basic Terminology:

Principal Investigator (2)

The PI works closely with institutional officials to

- Create & maintain award documentation, including technical & administrative reports
- Prepare budget and justification.
- Ensure appropriate acknowledgement of sponsor support in publications, announcements, etc.
- Comply with organizational and sponsor requirements.

Basic Terminology: Grantee Organization

- Recipient of the funds.
- Institution not PI
 - MGH: The General Hospital Corporation
 - BWH: Brigham and Women's Hospital, Inc.
- Responsible and accountable for the use of funds and for the project's technical performance.
- Must possess institutional infrastructure to assure compliance with all applicable policies, Federal statutes and regulations.

Basic Terminology:

Authorized Institutional Official (1)

- Designated representative of grantee organization in all matters related to the award.
- Signature of this official is required for all official correspondence to sponsor.

Basic Terminology:

Authorized Institutional Official (2)

This Official's signature on a grant application or contract proposal

- Certifies applicant institution will comply with all applicable assurances & certifications referenced in the application.
- Assures applicant institution will be accountable for the appropriate use of funds and performance of grant-supported project.
- Attests that all information contained in the application is true, complete & in conformance with sponsor and institutional requirements.

Basic Terminology: Direct Costs

- Costs that can be identified specifically with a particular sponsored project or can be directly assigned with a high degree of accuracy.
- Includes, but is not limited to, salaries, supplies, patient costs, travel.
- Must be allowable, allocable, and reasonable.

Basic Terminology: Indirect Costs

- Costs incurred for common or joint objectives that cannot be readily identified with a specific project.
- Includes, but is not limited to, building-related expenses, operations and building maintenance, utility costs, library expenses, and general administrative costs.

Basic Terminology: Institutional Review

- All research proposals to external sponsors must be reviewed and approved by the PI's institution before submission to sponsoring agency, foundation or company.
- All research proposals must be reviewed by the Service/Department/Unit Chief before institutional signature is provided.
- Grant & Contract Administrators are assigned to support each hospital department or unit.

http://phsresearchintranet.partners.org/PHS_ResearchMgmt/RM_Contacts.asp

Basic Terminology

- **Key Personnel:** Investigators with measurable effort considered to be of primary importance to the successful conduct of the project.
- **Other Significant Contributors:** Investigators committed to the project with no measurable effort.
- **Other Support:** All financial resources providing direct support to an Investigator's research endeavors. Includes research grants, contracts, cooperative agreements and institutional awards. Excludes prizes and gifts.
- **Notice of Grant Award:** NoGA or NGA
- **Effort:** Let's save this for later.

Partners

Research Management Policies

http://phsresearchintranet.partners.org/PHS_ResearchMgmt/RM_Policies.asp

Advance Accounts Policy

Award Close-out Policy

Billing and Collection Policy

Budget Revision and Carry Forward Policy

Cost Charging Policy

Cost Sharing Policy

Cost Transfer Policy

Financial Report Policy

Overdraft and Deficit Monitoring Policy

Research Cores/Recharge Policy

Research Equipment Management Policy

Sponsored Project Cost Charging Policy

Sub-recipient Monitoring Policy

Related Partners Policies

- Code of Conduct
- Conflicts of Interest
- Disbursements to Non-US Citizens
- Document Retention
- Independent Contractor Services
- Sundry Fund Policy
- Travel Policy

Types of Sponsored Projects (1)

- **Grant:** a financial assistance mechanism whereby funds or equipment is provided to carry out an approved set of activities.
- **Contract:** a mechanism for the procurement of a product or service with specific obligations for both sponsor and recipient. They may include restrictive terms, usually specified in the RFP, and require deliverables.
- **Cooperative Agreement:** similar to grants, but typically involve a significant level of sponsor participation.

Types of Sponsored Projects (2)

- **Subaward or Subcontract:** a special category of sponsored projects that may be made under a grant, contract or cooperative agreement and refers to work to be carried out at one or more than one institution.
- A subcontract relationship is described in the proposal but not executed until after the award has been made to the organization submitting the primary proposal.

Finding Federal Funding Opportunity Announcements (FOA)

- Fed Biz Ops

<http://www.fedbizopps.gov/>

- Grants.gov

http://www.grants.gov/applicants/find_grant_opportunities.jsp

Key Elements of FOA

- Purpose
- Deadline
- Research Objectives
- Award mechanism
- Funds available
- Institutional &/or PI eligibility
- Application requirements
- Review criteria
- Possible limit of applications from institution
- Special terms and conditions.

Types of FOAs (1)

- **NIH Program Announcement (PA):** a special announcement to stimulate applications in a high priority or special area.
 - Applications treated as unsolicited.
 - Follow common receipt dates.
 - Follow standard review procedures.

Types of FOA (2)

- **Request for Applications (RFA):** targeted solicitation in a well-defined area.
 - One time competition
 - Specific & possibly unique application requirements.
 - Different deadlines
- **Request for Proposals (RFP):** solicitation for a specific contract opportunity in a well-defined area. Includes terms and conditions applicable to the award, proposal format, deliverables, contract type, etc.

Types of FOA (3)

- **Broad Agency Announcement (BAA):** an announcement of a Federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award may be made. Not considered a formal solicitation.

Basic Application Components

- Cover sheet
- Abstract or project summary
- Statement of work
- Budget
- Budget Justification
- Biosketch
- Current & Pending Support
- Required Approvals
- Resources
- Checklist

SOW Components (1)

- **Specific Aims:** should answer questions about the application and the research being proposed.

Why is this research being studied?

Who will be studied?

What will be studied?

How will it be studied?

When will it be studied?

Where will it be studied?

SOW Components (2)

- Background and Significance
 - States the problem to be studied
 - Describes state of existing knowledge, including literature and data.
 - Identifies what the project will accomplish that is missing in the existing knowledge.

SOW Components (3)

- **Preliminary Studies Section:** Describes prior work of the PI and collaborators relevant to the proposal and the preliminary data, experience, and capabilities of the Investigators.
- **Research Design and Methods:** Overview of the study plan
 - Hypothesis
 - Methods
 - Phases
 - Measurement

Managing the Award: Roles & Responsibilities

- Shared responsibility of PI and research administrators, although primary responsibility resides with PI.
- PI is responsible for
 - (1) Planning & managing project
 - (2) Adhering to sponsor terms & conditions and funding purposes
 - (3) Ensuring charges are reasonable & appropriate
 - (4) Adequately documenting all expenditures in accordance with sponsor and institutional policies

Managing the Award: Expenditures (1)

- Costs should be
 - (1) **Allowable** under organization's applicable cost principles & award terms.
 - (2) **Allocable**: expense can be associated with the project with a high degree of accuracy.
 - (3) **Reasonable**: cost reflects what a "prudent person" would pay in a like circumstance.

Managing the Award: Expenditures (2)

- Practices for estimating costs should be **consistent** with accumulating and reporting costs during project performance.
- Institutions should be **consistent** in budgeting, accumulating and reporting costs in both Federal and non-federal awards.
- Costs incurred for same purpose and like circumstances must be treated **consistently**.
- Costs must be treated **consistently** as direct or indirect costs.

Managing the Award: Change in Scope

- A change in direction, type of training or other area that constitutes a significant change from approved aims, objectives or purposes.
- Requires prior sponsor approval and may require internal approvals before submission to sponsor.

Managing the Award: Change in Scope Examples

- Change in aims
- Change in use of human or animal subjects.
- Substitution of one animal model for another.
- Change in emphasis from one disease to another.
- Introduction of new technology to research plan.
- Transfer of substantive programmatic work to a third party.
- Incurring patient costs not previously budgeted or rebudgeting patient costs.

If in doubt, check with Program Officer.

Managing the Award: Key Personnel

- Required to notify sponsor in advance if the PI or other key personnel will
 - Withdraw from project entirely.
 - Be absent 3 months or more.
 - Reduce effort by 25% or more.
- Prior approval required for new PI or key personnel.

Managing the Award: Effort(1)

- Amount of time devoted to a project.
- Expressed as person months or %.
- Not based on 40-hour week.
- Based on total **Institutional Base Effort** whatever the hours.
- Cannot be more than 100%

Managing the Award: Effort (2)

- The **Institutional Base Effort** includes an Investigator's research, administrative, teaching and clinical activities at MGH or BWH and corresponds to the Investigator's Institutional Base Salary.
- The **Institutional Base Salary** is the total compensation an Investigator receives for total institutional effort.

Managing the Award: Effort (3)

- Propose effort in application 9-12 months before project start date.
- Confirm/commit effort “Just-in-Time” shortly before award is made in context of Other Support.
- Charge salary to the award based on effort commitment.
- Certify effort quarterly through institution’s time and effort reporting process.
- Prior sponsor approval required for effort changes of 25% or more.
- Changes must be processed through Research Management.

Managing the Award: Reporting

- **Technical Reports:** annual progress report and final report: PI's responsibility.
- **Financial Reports:** annual and/or final: shared responsibility of PI, department, Research Management and Research Finance.
- **Invention Reports:** end of project; Research Management and CSRL.

Managing the Award: No Cost Extension

- Grantee may extend final budget period up to 12 months.
- Typically, grantee requests sponsor approval prior to end of budget period.
- If NIH, grantee has authority to extend under certain circumstances.
- Unexpended funds is not a sufficient justification for extension.
- NCE requests should be forwarded to Research Management for approval/action.

NIH Overview

- NIH Policies & Information
- NIH Roles & Responsibilities
- Types of Applications
- Award Mechanisms
- Application Guidelines
- Application Deadlines
- Modular Budgets
- Data Sharing
- Public Access to NIH-funded Research
- NIH eRA Commons
- Electronic Grant Applications

NIH Policies & Information

- NIH Grants Policy Statement:

http://grants1.nih.gov/grants/policy/nihgps_2003/index.htm

- Resources for New Investigators:

http://grants1.nih.gov/grants/new_investigators/index.htm

- Funding Opportunities:

<http://grants1.nih.gov/grants/guide/index.html>

- Forms & Applications:

<http://grants1.nih.gov/grants/forms.htm>

- Submission Dates:

<http://grants1.nih.gov/grants/dates.htm>

- NIH Roadmap:

<http://nihroadmap.nih.gov/>

NIH Roles & Responsibilities

- Scientific Review Administrator
- Program Official
- Grants Management Officer
- Grants Management Specialist

Scientific Review Administrator

- Performs administrative and technical review of applications
- Initial point of contact for applications.
- Responsible for peer review process
 - Manages study section activities
 - Selects reviewers
 - Prepares summary statements
 - Provides information about review process & study section recommendations.

Program Official

- Responsible for programmatic, scientific, and technical aspects of assigned grants.
- Identifies areas of research importance and develops research programs & initiatives to meet Institute/Center mission.
- Participates in site visits
- Monitors scientific progress.

Grants Management Officer

- Responsible for business management of grant award.
- NIH official authorized to obligate funds or to change funding, duration, or other terms & conditions.
- Reviews prior approval requests.
- Interprets NIH policy for compliance with Federal regulations and NIH policies & procedures.

Grants Management Specialist

- Agent for Chief Grants Management Officer.
- Monitors financial & administrative aspects of projects.
- Reviews and responds to grantee requests.
- Interprets Federal regulations and NIH policies.

Types of Applications

- New Application (Type 1)
- Competing Continuation (Type 2)
- Competing Supplement (Type 3)
- Revised Application (Type 4)
- Noncompeting Continuation or Progress Report (Type 5)

Award Mechanisms: Research Project Grants

- Largest category of funding provided by NIH.
- Any qualified scientist may apply for support as long as sponsoring institution is willing to provide facilities and accept responsibility for grant funds.
- May be Investigator-initiated or in response to PA or RFA.

Award Mechanisms: Examples of Research Project Grants

- R01: NIH Research Project Grant
- R03: NIH Small Grant Program
- R13 & U13: NIH Support for Conferences & Scientific Meetings
- R21: NIH Exploratory/Developmental Research Grant Award
- R56: NIH High Priority, Short Term Project Award

Award Mechanisms:

Program Project Grant P01

- More complex in scope & budget than individual research grant.
- Available to a group of Investigators with different areas of expertise.
- More broadly based; often multidisciplinary.
- Three to five projects.
- Typically, one PI.
- May provide support for project & certain shared resources necessary for the project.

Award Mechanisms:

Center Grants P30, P50, P60

- More likely to have clinical orientation than program project grants.
- Support programs in critical health areas.
- May support projects and “cores.”
- NIH staff should be consulted before submitting application.

Award Mechanisms: Ruth L. Kirschstein Nat'l Research Service Awards

- F31 Individual Predoctoral Fellowship
- F32 Individual Postdoctoral Fellowship
- F33 Senior Fellowship
- T32 Institutional Training Grant
- Guidelines:
 - NIH Grants Policy Statement, Kirschstein-NRSA
 - http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part10.htm#_Toc54600187
 - Program Announcements & Other Information:
 - <http://grants.nih.gov/training/nrsa.htm>

Award Mechanisms: Career Development Awards

- Eligibility, funding levels and objectives vary among NIH Institutes.
- Minimum of 75% effort commitment to research.
- Requires Ph.D., M.D. or equivalent doctoral degree.
- Citizen, non-citizen national or permanent resident.
- See NIH Kiosk

<http://grants.nih.gov/training/careerdevelopmentawards.htm>

Application Guidelines

- Review FOA, RFA, or PA for special application requirements.
- Do not exceed the page limitations.
- Prior NIH approval is required for submission of applications with direct costs of \$500K or greater in any budget year.
- Observe the font size requirements.

Deadlines

- Standing receipt dates are considered submission or postmark dates.
- Applications are considered on time if sent on these dates.
- If a standing date falls on a week-end or holiday, it is extended to the next business day.
- Paper applications in response to RFA's or PA's with special receipt dates must be received on the date designated.
- Late applications generally are not acceptable, although in rare cases they will be accepted. NIH will announce circumstances.

Modular Budgets

- Submission of budgets in modules of \$25,000 to a maximum of \$250,000 in place of detailed categorical budgets.
- Variation in the number of modules requested each year must be addressed in the budget justification.
- Information available at

[http://grants.nih.gov/grants/funding/modular/modular
.htm](http://grants.nih.gov/grants/funding/modular/modular.htm)

Data Sharing Plan

- Required for all applications with direct costs of \$500K or greater in any single year.
- If project does not lend itself to data sharing, this should be noted and explained in the application.
- May request funds to share or archive data.
- Data should be de-identified prior to sharing or archiving.
- Release/sharing should be no later than acceptance for publication of findings from final data set.

Public Access to NIH Funded Research Information

- NIH encourages Investigators to provide access.
- Not an award requirement.
- Applies only to peer-reviewed publications.
- Upon notification of acceptance for publication, submit electronic version of final manuscript to National Library for Medicine.
- Fulfills progress report publication requirement.
- <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-022.html>

NIH eCommons

- Not to be confused with Harvard Commons.
- Web interface for electronic research administration.
- eCommons account required for submission of electronic grant applications.
- Contact Research Management for account.
- eCommons functionality
 - Summary Statement Access
 - Just in Time submission
 - Notice of Grant Award
 - Progress Reports
 - Close-out
 - Internet Assisted Review

SF 424 and Electronic Grant Applications

- <http://phsresearchintranet.partners.org/>

Electronic Submission of Grant Applications

- By January 2008 NIH anticipates requiring electronic submission of all grant applications through Grants.gov.
- Standard Form 424 electronic grant application will replace PHS 398 paper application.
- Check FOA, RFA, PA for paper or electronic requirements.
- See NIH web site for transition timetable and related requirements.

<http://era.nih.gov/ElectronicReceipt/>

Preparing for Electronic Application Submission

- Contact Research Management to establish NIH eCommons account if you don't already have one.
- Download PureEdge software from Partners Research Intranet site.
- Make sure you have PDF conversion software to convert documents for uploading to the application.
- Review PI tips on NIH eRA web site.
- Participate in SF 424 Training offered by Research Management.
- Notify your Research Management Grants Administrator asap for internal deadlines and assistance.

Where to go for help

Research Management

Massachusetts General Hospital

(617)726-3651

Brigham and Women's Hospital

(617)954-9660

Acknowledgements

- Cheryl Chick, NIH
- Jim Grayson, Partners Research Management
- Susan Kauble, NIH
- Eleni Ryals, Partners Research Management
- Lesley Watts, Partners Research Management

Questions

Partners Research Management Proposal Deadlines

- Grants.gov Electronic Applications
 - Administrative portions: 15 business days prior to sponsor deadline
 - Complete application w/final research plan: 5 business days prior to sponsor deadline.
- All Other Applications: administrative portions 10 business days prior to sponsor deadline.
- See Grants and Contracts Proposal Checklists at

http://phsresearchintranet.partners.org/PHS_ResearchMgmt/RM_Forms.asp