Role of the Program Director and the Grants Specialist

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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

<table>
<thead>
<tr>
<th>NIH Staff</th>
<th>Roles</th>
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<tr>
<td>Referral Officers</td>
<td>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</td>
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<td>Scientific Review Officers</td>
<td>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</td>
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<td>Program Directors</td>
<td>Provide scientific and administrative stewardship of research grants and contracts; serve as point of contact for applicants pre- and post-review</td>
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<tr>
<td>Grants Management Officers/Specialists</td>
<td>Oversee and monitor grant award process and ensure fiscal compliance; negotiate awards; interpret policies; work closely with program directors</td>
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Grants Process at the National Institutes of Health (NIH) – Key Players

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 Prior Approval 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 Prior Approval 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
Post Award Actions That Require Prior Approval 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 Prior Approval 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/](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) > $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

<table>
<thead>
<tr>
<th>Type of Funding Opportunity Announcement</th>
<th>Description</th>
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| 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

<table>
<thead>
<tr>
<th>Type of Funding Opportunity Announcements</th>
<th>PA-16-160</th>
<th>PAR-16-416</th>
<th>PAR-16-176</th>
<th>PAR-16-278</th>
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<tbody>
<tr>
<td></td>
<td>R01 Omnibus solicitation</td>
<td>NCI Small Grants (NCI Omnibus R03)</td>
<td>NCI Clinical and Translational Exploratory / Developmental Studies (NCI Omnibus R21)</td>
<td>Stimulating Innovations in Behavioral Intervention Research for Cancer Prevention and Control</td>
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<tr>
<td>Other</td>
<td>Common Fund</td>
<td>SBIR/STIR</td>
<td>New Initiatives</td>
<td>NCI Provocative Questions (RFA)</td>
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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 (> 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
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
Sean Hine - Branch Chief
Vacant - Lead 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

Grants Portfolio Management
Branch B
Shane Woodward - Branch Chief
Jaime Montes - Lead Specialist

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

Grants Portfolio Management
Branch C
Carol Perry - Branch Chief
Alice Wong - Lead Specialist

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

Grants Portfolio Management
Branch BOB
Crystal Wolfrey - Acting Branch Chief

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

Business Operations Branch
BOB

Hue Tran - Program Specialist

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 Vytlaclil
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

- Authorized Organizational Representative
- Grants Management Specialist
- Project Director / Principal Investigator
- Program Official
The Office of Grants Administration information can be found online at the following links:

- [https://mynci.cancer.gov/topics/office-grants-administration-oga](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)
- [https://www.cancer.gov/about-nci/organization/oga/about/staff](https://www.cancer.gov/about-nci/organization/oga/about/staff)