

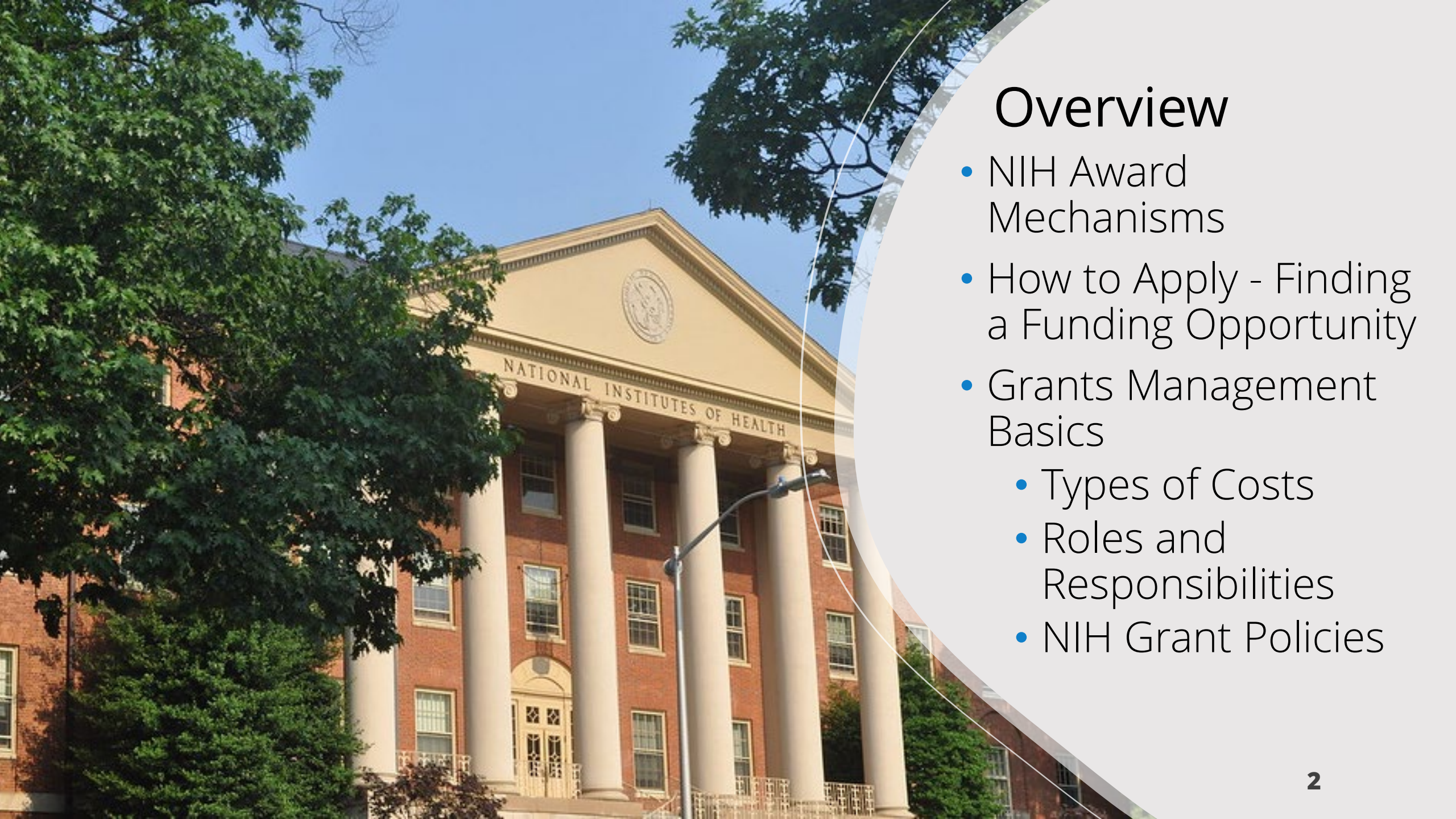
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# Optimizing Award Management

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# Overview

- NIH Award Mechanisms
- How to Apply - Finding a Funding Opportunity
- Grants Management Basics
  - Types of Costs
  - Roles and Responsibilities
  - NIH Grant Policies



# NIH AWARD MECHANISMS



National Institutes of Health  
*Office of Extramural Research*

# How does NIH Fund Research?

- NIH provides financial support in the form of **grants, cooperative agreements, and contracts** to support the advancement of the NIH mission to enhance health, extend healthy lives, and reduce the burdens of illness and disability
- 24 of the 27 NIH Institutes and Centers (ICs) fund extramural research, based on their mission and priorities, budget, and funding strategy



# Instrument Type - Grants

- Financial assistance mechanism
- ***Direct benefit is to the public***
- Used when the funding IC ***does not*** anticipate having substantial programmatic involvement in the project
- Provide money to an eligible entity to carry out an approved project or activity
- Examples: Research Projects (e.g., R01, R21), Training (Ts), Small Business Innovation Research (R43/44)



# Instrument Type – Cooperative Agreements

- Financial assistance mechanism
- *Direct benefit is to the public*
- Similar to grants, but are used when the funding IC **will** have **substantial federal programmatic involvement** in the project
- The Notice of Funding Opportunity (NOFO) will outline the responsibilities of both the NIH staff and the recipient, as well as joint responsibilities and obligations
- U mechanisms are how our cooperative agreements are flagged

# Instrument Type – Contracts

- Unlike grants and cooperative agreements, contracts are an acquisition mechanism, rather than assistance
- ***Direct benefit is to the government***
- The goal is to acquire goods or services for the use of the government or designated third party
- Usually government-initiated
- Contracts make up a small portion of the NIH extramural research portfolio



***THE AWARD HAS BEEN  
MADE -  
WHAT'S NEXT? GRANTS  
MANAGEMENT BASICS***



# Recipient Institution

- Awards are made to the recipient institution, not the Principal Investigator (PI).
- The Authorized Organization Representative (AOR) is the designated point of contact for NIH officials.
  - Assures compliance with federal regulations, policies and procedures
  - Monitors proper conduct of the project
  - Fiscal management of the project
- PI is responsible for the Scientific and Technical Aspects of the grant and the day-to-day management of the project.

# Charging the Grant – Direct Costs

- **Direct Costs:** Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.
  - Examples: salaries, travel, equipment, and supplies directly supporting or benefiting the grant-supported project or activity.





## Charging the Grant – Indirect Costs

- **Indirect Costs** (i.e., Facilities and Administrative Costs): costs for common or joint objectives that cannot be readily identified with an individual project or program.
  - Examples: Facilities operation and maintenance costs, depreciation, and administrative.
  - Indirect costs are charged as a rate, applied to the direct costs that are awarded.
  - F&A rates are negotiated by the cognizant agency for F&A/indirect cost rate negotiation.
  - Recipients that do not have a negotiated rate can elect to use the de minimis rate of 10% (soon to be 15%).

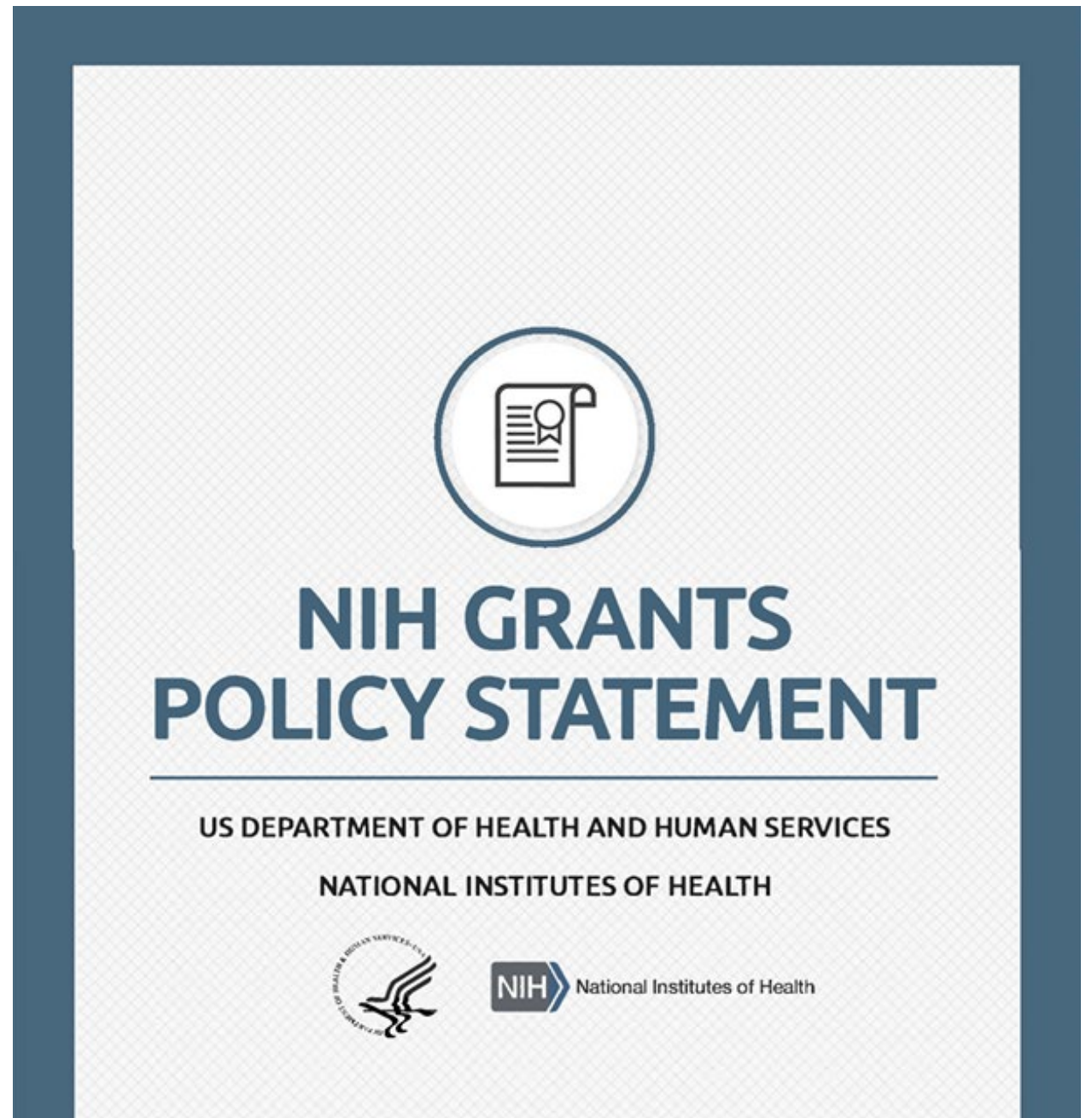
# What makes a cost allowable?

- NIH grants are subject to the cost principles in [2 CFR Part 200](#), implemented in the [NIH Grants Policy Statement](#).
- Four tests to determine allowability
  - ✓ Reasonable
  - ✓ Allocable
  - ✓ Consistent
  - ✓ Conforms
- The fact that a proposed cost is awarded it is the responsibility of the recipient to ensure the costs meet the four tests.



# GOT POLICY QUESTIONS? CHECK THE NIH GRANTS POLICY STATEMENT!

<https://grants.nih.gov/policy/nihgps/index.htm>



# NIH Grants Policy Statement (NIHGPS)

- The [NIH Grants Policy Statement \(NIHGPS\)](#) makes available, in a single document, the policy requirements that serve as the terms and conditions of NIH grant awards. By accepting an award, recipients agree to comply with the requirements in the NIH Grants Policy Statement except where the notice of award states otherwise.
- [Notices of policy changes](#) published in the NIH Guide for Grants and Contracts can supersede information in the NIH Grants Policy Statement. Compliance with these policy updates also becomes a term and condition of award.

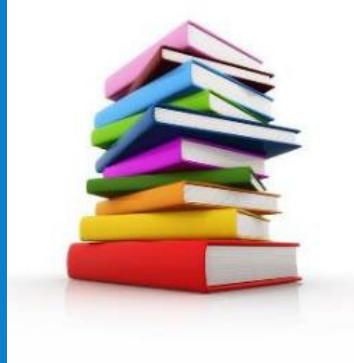




QUESTIONS?



# HELPFUL NIH RESOURCES



National Institutes of Health  
*Office of Extramural Research*

## Understanding NIH Staff Roles

Learn more about how NIH staff can best support you during the grant life cycle. Understanding the various staff roles can help you contact the right person at each phase of the application and award process.

[Learn More](#)



[How to Apply](#)



[Find Grant Funding](#)



[Funded Research \(RePORT\)](#)



[Open Mike Blog](#)



[News](#)

### ABOUT GRANTS

Navigate the NIH grants process.

- [Grants Process Overview](#)
- [Get Started](#)
- [How to Apply](#)
- [Application Referral and Review](#)
- [Pre-Award and Post-Award Processes](#)
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### POLICY & COMPLIANCE

Learn about obligations of your grant award.

- [NIH Grants Policy Statement](#)
- [Notices of Policy Changes](#)
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### INFORMATION FOR...

Find key resources just for you.

- [Researchers](#)
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- [Reviewers](#)
- [Small Businesses](#)
- [Foreign Applicants](#)
- [Media and the Public](#)
- [NIH Staff](#)

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# NIH Grants And Funding News And Events

- Get the Latest News and Events from NIH OER!
  - [https://grants.nih.gov/news/news\\_and\\_events.htm](https://grants.nih.gov/news/news_and_events.htm)
- Find opportunities to meet experts from the NIH Office of Extramural Research at upcoming events.
  - [NIH Grants Conference and PreCon Events](#)
  - [NIH Regional Seminars on Program Funding and Grants Administration](#)
  - [OER Webinars](#)
  - [NIH Loan Repayment Program \(LRP\) Contact & Engage Link to External Site](#)
  - [NIH Office of Laboratory Animal Welfare Workshops & Conferences](#)
  - [SEED Events](#) (for the innovator community)
- Other great On Demand Resources:
  - [All About Grants Podcasts](#)
  - [NIH Grants YouTube Channel](#)
  - [eRA Videos](#)

# NIH Grant-related Listservs

- NIH Grant Seminars

<https://grants.nih.gov/news/contact-in-person/seminars.htm#listserv>

- NIH Guide for Grants and Contracts: Official publication for NIH Grant Policies, Guidelines & Funding Opportunities

<http://grants.nih.gov/grants/guide/listserv.htm>

- Extramural Nexus: News, updates, and blog posts on extramural grant policies, processes, events, and resources

<https://nexus.od.nih.gov/all/subscribe/>

- Office for Human Research Protections (OHRP):

<http://www.hhs.gov/ohrp>

- Office of Laboratory Animal Welfare (OLAW):

<https://olaw.nih.gov/resources/list.htm>

- eRA News: News and updates on the electronic submission of grant applications (i.e., eSubmission), as well as ASSIST and eRA Commons.

<https://www.era.nih.gov/about-era/get-connected.htm> <http://grants.nih.gov/grants/ElectronicReceipt/listserv.htm>

# Additional Helpful NIH Web Pages

- NIH Guide for Grants and Contracts:  
<https://grants.nih.gov/funding/searchguide/index.html#/>
- NIH Grants Policy Statement: <https://grants.nih.gov/policy/nihgps/index.htm>
  - Notice of NIH Policy Changes: <https://grants.nih.gov/policy/PolicyNotices.php>
- NIH Extramural Nexus – newsletter for the extramural community:  
<http://nexus.od.nih.gov/all/nexus-by-date/>
- Grants Basics: [http://grants.nih.gov/grants/grant\\_basics.htm](http://grants.nih.gov/grants/grant_basics.htm)