



# SPO and the American Recovery and Reinvestment Act of 2009



Presented by Sponsored Projects Office:  
Phyllis Gale, Sponsored Research Systems Manager  
Cynthia Ernest, SPO Contracts Officer



# Funding Impact

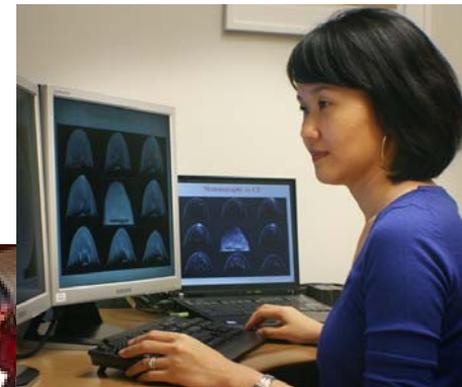
- Stimulate the economy
- Create and preserve jobs
- Advance research





# Scientific Research Approach

- Stimulate and accelerate research with existing mechanisms
- Expand science with new programs





# General Principles

- Must be Obligated before Sept 30, 2010
- Spending end date will be specified by the funding agency
- Foreign involvement is very restricted
- ARRA Funds must be tracked and reported separately
  - Clearly identified by Sponsor
  - Separate Awards at LBNL



## ARRA Activities at SPO

- Please let your SPO CO know if you are working on an ARRA proposal
  - Send solicitation and/or all correspondence to SPO CO as soon as ARRA action is known
- SPO is working with Division personnel to:
  - Process current proposals into ARRA Awards
  - Submit proposals in response to ARRA Solicitations
- SPO is working with the Budget Office to document DOE requirements to accept WFO ARRA funding



# Receiving ARRA WFO Awards

- New Award # (even if supplement)
- ARRA designation carries over from proposal
- Determine what level the award is at:
  - Primary – direct from the federal agency
  - Secondary – from prime recipient (ie University)
  - Tertiary



RECOVERY.GOV

Recovery.gov reporting  
is separate from sponsor reporting  
at [FederalReporting.gov](http://FederalReporting.gov)



# WFO and ARRA Specific Reporting

- SPO is participating on the Stimulus Reporting Team
- Stimulus Reporting Team is creating database to collect this additional data
  - More information will be available when the LBNL ARRA database and reporting requirements are finalized.





# ARRA Funding Designation in RAPID



# ARRA Changes to RAPID

- On March 19, 2009, the RAPID Proposal Header Page was updated to include a new data field to capture if a proposal/award will be funded by ARRA Funds
  - all proposals are created with the NonARRA Type.
  - a dropdown list to identify that the proposal will be funded by the American Recovery and Reinvestment Act (ARRA) and at what level



# RAPID Proposal Header

<b>Header</b>	<b>Projects</b>	<b>Resources</b>	<b>Location</b>	<b>Reports</b>	<b>Documents</b>	<b>Certification</b>	<b>Related B+R</b>
<b>Proposal ID:</b> NEXT	<b>Business Unit:</b> LBNL	<b>Submit Status:</b> Not Submitted					
<b>Version ID:</b> V1	<b>Currency:</b> USD						
<b>Description:</b> <input type="text"/>	<b>UCOP Trans Dt</b>	<b>Add to My Proposals</b>					
<b>Due Date:</b> 03/19/2009	<b>Type:</b> <input type="text"/>	<b>Time:</b> <input type="text"/>	<b>Time Zone:</b> <input type="text"/>				
<b>* PI ID:</b> <input type="text"/>	<b>Name:</b> <input type="text"/>						
<b>* Title:</b>	<a href="#">Long Title</a>						
<b>* Sponsor ID:</b> <input type="text"/>	<b>* Category:</b> NonFederal Awards						
<b>* Status:</b> Draft	<b>* Start Date:</b> 03/19/2009	<b>* End Date:</b> <input type="text"/>					
<b>* Type:</b> New	<input type="checkbox"/> <b>Keep Certs</b>	<b>ARRA Type</b> Non-ARRA					
<b>Purpose:</b> <input type="text"/>	<b>Additional Attributes</b>						
<input type="checkbox"/> Foreign Application/Component							
<input type="checkbox"/> NIH Modular Grant							
<b>Additional Information</b>							
<b>* Type:</b> <input type="text"/>	<b>Comments:</b> <input type="text"/>						

ARRA Type Field

Figure 1

RAPID ARRA information based on Ron Stainbrook documentation.



# ARRA Type Choices

*ARRA Type	Non-ARRA ▼
	Non-ARRA
	Primary
	Secondary
	Tertiary

The four choices are:

- 1) **Non-ARRA:** Default Value - Automatically selected to represent the majority of SPO funding.
- 2) **Primary:** Select for proposals in which LBNL is the primary recipient of ARRA funding
- 3) **Secondary:** Select for proposals in which LBNL is the secondary recipient of ARRA funding
- 4) **Tertiary:** Select for proposals in which LBNL is the tertiary recipient of ARRA funding. If LBNL is at a lower level, please also select this value.



# ARRA Type in Award Profile and Projects

Once an award has been generated, the ARRA value will appear on the Award Profile page. See figure 2.

Contact	Funding	Abstract	Certifications	Notepad	Attachments	Terms	Milestone	Award Attributes	K
<b>Award ID:</b>	LB09005580	<b>Business Unit:</b>	LBNL	<b>Currency:</b>	USD				
<b>Reference Award Number:</b>	<input type="text" value="W74RDV83153027"/>	<b>Project PI:</b>	Korneev,Valeri A	<a href="#">View Contract</a>	<a href="#">Award Modifications</a>				
<b>Award PI ID:</b>	<input type="text" value="298301"/> <input type="button" value="Q"/>	<b>Name:</b>	<input type="text" value="Korneev,Valeri A"/>	<a href="#">Co-PI</a>	<a href="#">View Proposal</a>				
<b>Title:</b>	Detection and Classification of Buried UXO and Determina		<a href="#">Description</a>	<b>ARRA Type</b> Non-ARRA					
<b>Sponsor:</b>	DA DEPARTMENT OF THE ARMY		<b>RWO</b>	AGRW74RDV83153027					

Figure 2

The ARRA Type is also displayed on the Project General Information page as shown in figure 4. It is also disabled.

<b>General Information</b>	Project Status	Proj Activity	Project Department	Research Facilities	<input type="button" value="D"/>
<b>Project:</b>	G5W039	<input type="checkbox"/> <b>Summary Project</b>	<input type="button" value="Add to My Proje"/>		
<b>*Description:</b>	<input type="text" value="Detection and Classification o"/>		<input checked="" type="checkbox"/> <b>Primary Project</b>	<b>Processin Status:</b>	
<b>*Integration:</b>	<input type="text" value="LBNL"/> <input type="button" value="Q"/>	Standard LBNL Template	<b>*ARRA Type</b> Non-ARRA <input type="button" value="v"/>		
			<b>Contract</b>	LB09005580	

Figure 4



# ARRA FAC Waiver

an Key ID Target sponsor 96,300.00  
Budget:

Details, CostShare, Justification

Line Data More Line Data

Line #	Budget Item	Description	Details	Total Direct
10	DIR	Total Direct Costs		50,000.00
20	FAC ARRA	FAC Waived ARRA Recove		2,805.00
30	S&S	Safeguards and Security		926.00
40	SUMM	Total of rest of the Burden		42,569.00

- RAPID Proposals have been updated to capture the FAC Waiver for ARRA Recovery Act funds.
  - The ARRA FAC Waiver trumps all other Waivers
    - i.e. if this is an NIH proposal, you would use the ARRA FAC Waiver
  - LDRD is not budgeted on ARRA proposals.



# ARRA Proposal Opportunities through SPO





# SPO Processes

- LBNL will follow all of its normal submission processes for ARRA proposals
- Confirm LBNL is eligible for solicitations
  - Read opportunity carefully
  - Confirm with SPO CO





# What are the Federal Agencies Doing?



All agencies have a  
web page  
specifically for  
ARRA Plans



# DOD and ARRA



- ARRA funding opportunities specific to defense
- CDMRP does not have an ARRA funding site



# NSF and ARRA



- only funding proposals that have already been submitted



# NASA and ARRA



no information about funding opportunities yet



# NIH and ARRA

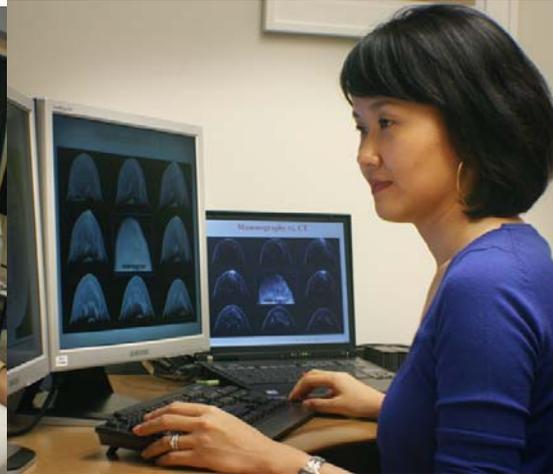
**Stimulating the economy**  
**Creating and preserving jobs**  
**Advancing biomedical research**  
**Improving people's health**





# NIH and ARRA

- 2nd largest funder at LBNL
- \$8.2 Billion in ARRA Awards to Distribute for Research and Instrumentation





## NIH Institute-specific

- Some Institutes have specific due dates or requirements for Administrative Supplements (see NCI)
- Institutes have option to Opt-out on the ARRA funding opportunities



# Can I Apply ?

Check eligibility with SPO CO

# Should I Apply?

Check with NIH Program Manager





# NIH Funding Opportunities

Administrative Supplements

Competing Revisions

Challenge Grants

Grand Opportunities (“GO” Grants)



# NIH Supplements - General

- Must have same PI as Parent Award
- Parent Award end date
  - Must be at least 12 months remaining on Parent Award
    - For Admin Supplements – can add 12 months of 1st NCE, if you will be applying for NCE when the time is appropriate
    - For Competing Revisions cannot add future unprocessed NCE time
    - **Might** be able to process NCE through NIH



# NIH Supplements - General

- **Beginning Dates**
  - Must be before Sept 29, 2010
  - Ask Program Manager or GMS
  
- **End Dates**
  - No more than 2 years from start date
  - On or before end date of parent award



# NIH Supplements - Subcontracts

- Do I have to use the same subs as on the parent award?
  - No, you don't have to use any subs on the supplement requests
- Can I add subs for the supplements that were not on the parent award?
  - Yes, subcontracts on supplements are entirely independent from the parent award
  - Beware of the time required to add new subs – LBNL SPO will still need all of the standard subcontract packages with signatures on new subcontracts



## **NIH Supplements**

### ***Administrative***

NOT-OD-09-056

Due date is “Open” but  
might be Institute-  
specific deadlines

NCI has many specific  
deadlines

### ***Competing Revision***

NOT-OD-09-058

Due date is April 21,  
2009



## NIH Supplements

### *Administrative*

- Some ICs will consider administrative supplements only in target areas identified on their Web sites

### *Competing Revision*

- Some ICs will consider revision supplements only in target areas identified on their Web sites



# NIH Supplements

## *Administrative*

- Must be **within** general scope of parent award
- Paper submissions only

## *Competing Revision*

- Must be **Outside** general scope of parent award
- Paper or electronic submissions – choose based on current submission method for the award type of the parent award



## NIH Supplements

### *Administrative*

- Can request more than 1 Administrative supplement per Parent Award – might be Institute-specific restrictions

### *Competing Revision*

- Can request only 1 Competitive Revision per Parent Award



# NIH Supplements

## *Administrative*

- Must include a detailed budget
- Discuss budget with Program Manager before submitting application

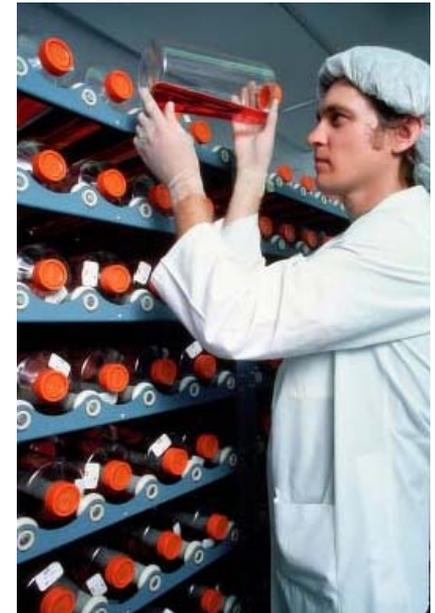
## *Competing Revision*

- Must include budget type the same as the Parent Award requires (unless the supplement exceeds \$250K and parent had modular budget)
- Discuss budget with Program Manager before submitting application





- Challenge Grants (at least \$200M total) provide:
  - Priority avenues of research
  - Up to \$500K **total costs/year** for up to two years





# Challenge Grants (RC1)

- RFA-OD-09-003
- Due April 27, 2009
- Check for Participating Institutes
- Challenge Topics must address the science and health challenges that will benefit from a 2 year jump-start in funds

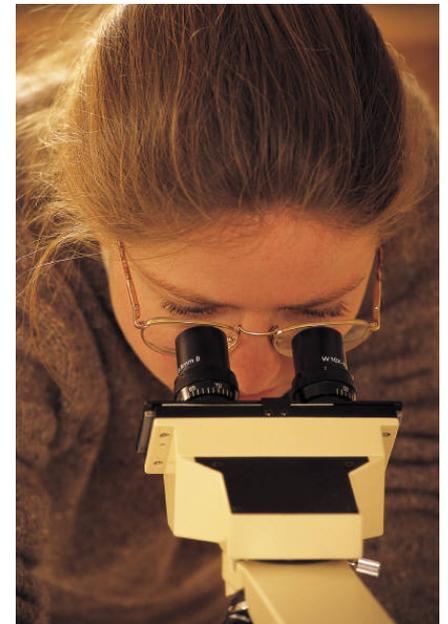


# Challenge Grants (RC1)

- **Must Select Broad Area**  
(listed in Program Announcement)
- **Must specify Challenge Topic**  
(listed on specific Institute's website)



- Grand Opportunity (GO) Grants (at least \$200M total):
  - High impact
  - Well defined
  - Large scale





# Grand Opportunity Grants

- RFA-OD-09-004
- Due May 27, 2009
- Check for Participating Institutes
- No expectation of funding by NIH after the 2 year award
- **At least \$500,000 Total Costs** per year for 2 years



# NCI – APRC Administrative Supplement

- Many LBNL PIs are planning to submit
- Institute-specific Administrative Supplement
- Due May 1, 2009
- Must be within the general scope of the PI's active NCI-funded grant



# NCI – APRC Administrative Supplement

- Must have consortia of 2-5 investigators
- All members of consortia must have active research grant  
(from other sources is OK)
- Collaboration must be new  
(no collaboration within last 5 years)



# NCI – APCR Administrative Supplement

- **Must** contact NCI Program Manager to discuss ideas prior to submission
- No expectation of funding by NIH after the 2 year award
- \$100,000 **Direct Costs** per year per collaborating unit
- \$300,000 **Direct Costs** per year for total consortia



# NIH will fund previously submitted proposal – what do I do?

- Notify SPO CO as soon as you hear anything, even if it is “unofficial” so we can start to make contact with NIH staff
- Update the budget with current F&A rates
- NIH might also require additional changes to the budget
- Get your animal and human approvals in place



# NIH – Wrap-up

- NIH ARRA FAQ page – updated every few days  
[http://grants.nih.gov/recovery/faqs\\_recovery.html](http://grants.nih.gov/recovery/faqs_recovery.html)
- Ask additional questions through SPO CO
- Rumor: First-come, first-funded
  - Maybe, but only on the administrative supplements with no due date

