



# NIH Recovery Act News

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# Review NIH Presentation



NIH OFFICE OF EXTRAMURAL RESEARCH



## NIH Recovery Act News



OPERA

Office of Sponsored Projects & Industry Partnerships

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## American Recovery and Reinvestment Act (ARRA)

- NIH Recovery Act Web site  
[www.nih.gov/recovery](http://www.nih.gov/recovery)
- \$10 billion appropriated directly to NIH
  - Stimulate and accelerate biomedical research with existing mechanisms
  - Expand science with new programs



## Special ARRA Terms and Administrative Requirements

- In addition to the standard NIH terms of award, all NIH ARRA awards will include special ARRA terms
  - [http://grants.nih.gov/grants/policy/NIH\\_HHS\\_ARRA\\_Award\\_Terms.pdf](http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf) (updated July 8, 2009).
- ARRA requires recipients to account for, track, monitor, report on, provide for audit of, and closeout ARRA funding separately from non-ARRA awards
  - Unique business processes established
  - Guide Notice NOT-OD-09-080 describing ARRA features; updated in Notice NOT-OD-09-120
  - Special Quarterly Reporting Requirements



## Reporting and Accountability

- The opportunity afforded by the ARRA also carries enhanced accountability and transparency.
  - Grantees must fulfill detailed quarterly budget reporting requirements, consistent with section 1512(c) of the ARRA by October 10, 2009.
  - Reports will summarize total amount of ARRA funds received that quarter and how those funds were expended.
    - This includes a detailed list of all projects or activities and an estimate of the number of jobs created or retained through those projects and activities.
- OMB posted Guidance Memo M-09-21 on June 22, 2009  
[http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-21.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-21.pdf)
- OMB clarified this document through Q&As:  
[http://www.whitehouse.gov/omb/recovery\\_faqs/](http://www.whitehouse.gov/omb/recovery_faqs/)



## Recipient Reporting

- Reports will be entered at [www.FederalReporting.gov](http://www.FederalReporting.gov) and will be publicly available at [www.recovery.gov](http://www.recovery.gov)
  - Includes web based form, MS Excel template and XML schema options for report submission
- OMB Data Model v.3.0
  - OMB released the Recipient Reporting Data Model v3.0 for ARRA, Quarter Ending September 30, 2009.
  - Includes a Data Dictionary describing the data elements specifically required for recipient reporting
  - Additional NIH guidance (*based on the OMB Data Model*):  
[http://grants.nih.gov/recovery/Data\\_Dictionary.xls](http://grants.nih.gov/recovery/Data_Dictionary.xls).

# ARRA Payments are Separate



## Accessing ARRA \$\$\$ in the Payment Management System (PMS)

- Unique “P” accounts for ARRA funds require a new process to access those funds.
  - Cash pooling is not permitted. When a grantee requests ARRA funds, the grantee must separately account for those funds by subaccount/grant document.
  - If a grantee has more than one “P” account, the grantee **MUST** request funds by subaccount (grant document).
  - Existing PMS users can access the “P” accounts using already established login & password.



# ARRA Payments are Separate



## New "P" Accounts and the SF272

- When a grantee processes its quarterly 272 Federal Cash Transaction Reports, if the grantee received ARRA funds the previous quarter, the grantee will see two different reports. One report for their "G" account and one report for their "P" account.
- Each 272 must be submitted or a hold will be placed on their Division of Payment Management (DPM) account.



## Unique Document Number Schema

- All HHS agencies required to adopt a unique Document Number Schema for ARRA awards.
  - For NIH, core schema traditionally used will remain intact; except the last character will be “Z” for initial awards.
  - Example: Grant Number= 1 R01 AI123456-01; ARRA Doc # = RAI123456Z
  - Transfers (T-7s): Transfer “competitive segment” for ARRA grants will be denoted with “Y”, “X” or “W” when applicable.



## Administrative Supplements & Competing Revisions

- Need to accommodate the “separation” and accountability required by ARRA while maintaining a programmatic connection to the parent grant
  - ARRA T-3 budget/projects periods reflect that of the T-3 only and not the parent
  - ARRA T-3s issued in FY2009 may be for a single budget/project period up to 24 months.
  - ARRA T-3s issued in FY2010 will be no more than a 12-month budget/project period
  - Specific information on ARRA additional funding must be included in annual progress report of the parent grant.
- No-cost Extensions of ARRA-funded T-3s
  - ARRA T-3s are awarded under NIH Terms of Award and therefore are eligible for a one-time no-cost extension
  - This is separate from the parent record



## Administrative Supplements & Competing Revisions (cont.)

- No “co-mingling” of ARRA T-3 and parent grant \$\$\$ allowed (assuming parent grant funded with regular appropriation \$\$\$)
  - Separate institution accounts and PMS drawdowns
  - No rebudgeting between parent and ARRA T-3
  - No carryover of ARRA T-3 balances into the parent
  - If an ARRA award includes a commitment for an ARRA-funded future year in FY2010, grantees will be able to carryover from the FY2009 budget period into FY2010.
  - No carryover allowed between ARRA funding budget periods and budget periods funded by non-ARRA fund
- Separate Financial & Closeout Reports Required

# ARRA Numbering Schema



## Unique Business Processes: Modified Carryover Authorities

Grant Number	Document Number	Notes
5 R01 AI123456-04	RAI123456A	Non-ARRA Funded
2 R01 AI123456-05	RAI123456Z	ARRA Funded
5 R01 AI123456-06	RAI123456Z	ARRA Funded
2 R01 AI123456-07	RAI123456B	Non-ARRA Funded

- 04 Yr funds **CANNOT** be carried forward into -05; -04 year financially closed
- 05 Yr funds **CAN** be carried forward into -06
- 06 Yr funds **CANNOT** be carried forward into -07
- 04 Yr funds **CANNOT** be carried forward into -07

# All Standard T&Cs still apply



## ARRA Grant Compliance (Same as non-ARRA)

- The applicant organization certifies in the grant application that it is obligated to comply with the terms and conditions of any resulting grant award
- Acceptance of a grant award is signified by drawdown of funds which then obligates the grantee to comply with all standard and special terms and conditions of award (e.g., based on statute, regulation, policy, program requirement)
- Failure to comply may cause NIH to take one or more enforcement actions, depending on the severity and duration of the non-compliance.
  - Enforcement actions may include special conditions, closer monitoring, withholding of support, recovery of funds, suspension, or termination



# NIH Allocation of ARRA Funds Dollars In Billions

