Grants.gov, ERA Commons, System for Award Management (SAM) and Subcontracting Overview

Eighth H3Africa Consortium Meeting
May 14–16, 2016
Dakar, Senegal

Deanna Ingersoll and Chris Darby
NHGRI Grants Administration Branch
What’s the Plan?

- Grants.gov (brief overview of requirements)
- DUNS
- NCAGE Code
- Who is SAM?
- SAM registration
- What is eRA Commons?
- When will I use the Commons?
- The Commons Registration Process
- Commons Roles
- Subcontracts
Electronic submission via Grants.gov is required for ALL competing grant applications
eSubmission Website

https://grants.nih.gov/grants/how-to-apply-application-guide.htm#prepare
Two Systems Working Together

**Grants.gov**
The Federal government’s single online portal to find and apply for Federal grant funding.

Used by all 26 Federal grant-making agencies.

**eRA Commons**
Electronic Research Administration system that allows applicants, grantees, and Federal staff to access, share and transmit information related to applications and awarded grants.

Used by NIH and other HHS components

**IMPORTANT:**
Each system has its own registration and application requirements.
Registration

**Grants.gov**

- Applicant organizations only
- Registration user guides, tutorials, and checklists
- No registration needed to find opportunities or download application forms

**eRA Commons**

- Applicant organization, Signing Official (SO) & Project Director/Principal Investigator (PD/PI)
- Prepare to Apply and Register
Adobe Reader

• Only specific Adobe Reader versions are compatible with Grants.gov forms

Grants.gov Download Software

PDF Conversion Programs

• Attachments must be converted to PDF
• NIH PDF guidelines and tips:
Grants.gov – Registration Checklist
http://www.grants.gov/web/grants/applicants/organization-registration.html

- **STEP 1:** Obtain DUNS Number [http://fedgov.dnb.com/webform]
  - Dun & Bradstreet (D&B) provides a D-U-N-S Number, a unique nine digit identification number, for each physical location of your business.

- **STEP 2:** Obtain NCAGE code:
  - Non-US entities must first obtain a North Atlantic Treaty Organization (NATO) Commercial and Governmental Entity (CAGE) code from the appropriate source, also known as NCAGE code. [https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx]

- **STEP 3:** Register with SAM
  - The System for Award Management (SAM) is the Official U.S. Government system that consolidated the capabilities of CCR/FedReg, ORCA, and EPLS. There is NO fee to register for this site. Entities may register at no cost directly from this page. [https://www.sam.gov/portal/SAM/##11]
Grants.gov – Registration Checklist

- **STEP 4: Grants.gov Registration**
  - Authorized Organizational Representative – Create a Username and Password that will serve as an “electronic signature” for application submission. [http://apply07.grants.gov/apply/OrcRegister](http://apply07.grants.gov/apply/OrcRegister)
  - Same day process!

- **STEP 5: AOR Authorization**
  - E-Business POC (e-Biz POC) signs into grants.gov to approve the AOR status. Only the e-Biz POC can approve AORs.
  - Same day process!

- **STEP 6: Track AOR status**
  - When your E-Biz POC approves your request to become an AOR, Grants.gov will send you a confirmation email. Once you are authorized by your E-Biz POC you have completed the Organization Registration Process.
Obtain DUNS Number
(http://fedgov.dnb.com/webform)
- Dun & Bradstreet (D&B) provides a D–U–N–S Number, a unique nine digit identification number, for each physical location of your business.
- Requests from Non–U.S. entities take 1–2 business days.
Welcome to the D&B D-U-N-S Request Service for US Federal Government Contractors and Grantees

Dun & Bradstreet (D&B) provides a D-U-N-S Number, a unique nine digit identification number, for each physical location of your business.

D-U-N-S Number assignment is FREE for all businesses required to register with the US Federal government for contracts or grants.

Click here to request your D-U-N-S Number via the Web. If one does not exist for your business location, it can be created within 4 business days.

For technical difficulties, contact govit@dnb.com

Spam-blockers and other security features on your computer or network could block our email responses which may include your DUNS Number. Please ensure that you are able to receive emails from govit@dnb.com. Adding govit@dnb.com to your address book may help prevent our emails from being inadvertently blocked.
Helpful Hint: Remember business name in **DUNS** registration should match business name in **EIN** and **SAM** registration
NATO Commercial and Governmental Entity (NCAGE) Code

- **Purpose**
  - Registrants located outside of the U.S. are required to include a NATO Commercial and Governmental Entity (NCAGE) Code on their **SAM registration**, or it will be considered incomplete. All countries outside of the U.S. need this number, not just NATO countries.
  - The Code is a five-character ID number used extensively within the United States federal government. It is used to support a variety of mechanized systems throughout the government and provides for a standardized method of identifying a given facility at a specific location (from https://www.sam.gov/)

- **Form and Instructions**
  - The form and instructions can be found at: NCAGE REGISTRATION and UPDATING PROCEDURES
Who is SAM?

- **System for Award Management**

  The Official U.S. Government system that consolidated the capabilities of:
  
  * Central Contractor Registry (CCR)
  * Federal Agency Registration (Fedreg)
  * Online Representations and Certifications Application (ORCA)
  * Excluded Parties List System (EPLS)

- There is NO fee to register with SAM.gov.
- The overarching benefits of SAM include streamlined and integrated processes, elimination of data redundancies, and reduced costs while providing improved capability.
SAM Registration

- **How Long?**
  - 3–5 business days if you already have a Tax Identification Number (TIN).
  - Up to 2 weeks if you are applying for an Employer Identification Number (EIN).

- **Who should register?**
  - Your organization must be registered with SAM. If not already registered, your Authorized Organization Representative (AOR) should begin the registration process for the organization.
  - If you were previously registered in CCR you will need to go to SAM to create a SAM account.
    - Your e-mail address will link your new SAM account with your old CCR info.
How do I Register?

Steps for Registering Your Entity in SAM

1. Go to www.sam.gov
2. Create a Personal Account and Login
3. Click “Register New Entity” under “Manage Entity”
4. Select type of Entity
5. Select “No” to “Do you wish to bid on contracts?”
6. Select “Yes” to “Do you want to be eligible for grants and other federal assistance?”
7. Complete “Core Data” - - - - - - - - - - - - - - “Core Data”
   ✓ DUNS
   ✓ Business Info
   ✓ NCAGE Code
   ✓ General Information
   ✓ Financial Information
   ✓ Executive Compensation
   ✓ Proceeding Details
8. Complete “Points of Contact”
9. Wait for registration validation

Remember – SAM must be renewed yearly!
WHAT IS SAM?

The System for Award Management (SAM) is the Official U.S. Government system that consolidated the capabilities of CCR/FedReg and ORCA, and EPLS. There is NO fee to register for this site. Entities may register at no cost directly from this page. User guides and webinars are available under the Help tab.

NEWS AND ANNOUNCEMENTS

Update: The SAM.gov February 26, 2016 release notes are posted. Remember, you can find release notes for all SAM.gov software releases at SAM.gov > General Info > News > Release Notes.

Password reset reminder: Please note that SAM user account passwords need to be updated periodically to meet security standards. Instructions to reset your password can be found in the SAM User Guide. Choose a unique and strong username and password. Do not share your password and always log off when you step away — it only takes a moment for someone to steal or change the password.

USER GUIDES/HELPFUL HINTS

Find the full SAM User Guide, Quick Start Guides, Helpful Hints, and Webinars on the HELP tab.

Use the SAM Status Tracker to check your SAM entity registration status.

Federal Service Desk
Search FAQs or request additional help at the Federal Service Desk.

ATTENTION EXTRACT AND WEB SERVICE USERS

Support for the legacy-formatted extract and web services in SAM ended on October 23, 2014. Federal systems using SAM data must convert to the SAM-formatted extracts and web services. If you see “You do not have access to this extract” you need to submit a Data Access Request for the appropriate role by logging in with the account that needs the role. Go to “Data Access” then click on either “System Data Access Request” or “Individual Data Access Request” (depending on your user account type) and follow the prompts to submit the request. Visit the openSAM GitHub site for more information about SAM’s data, web services, and RESTful API.
Create an Account: SAM

**Individual Account Details**

Create an Individual User Account if you need to:

- Perform tasks such as register or update your entity (legacy CCR/FedReg and ORCA functionality)
- Create and manage exclusion records (legacy EPLS functionality)
- View For Official Use Only (FOUO) level data for entity registration records
- Save search criteria to run at a later time
- Request non-public data access as a Federal government user

**System Account Details**

Create a System User Account if you need to:

- Request non-public data access for a Federal government system
- Automate a system pull of non-public data
- Perform data transfer from SAM to your Federal government system

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**Note to all Users:** This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.
Search Records Screen: SAM

Search Tips to Get Started:

- Looking for entity registration records or entity exclusion records in SAM? Use Quick Search if you know an entity's Business Name, DUNS Number or CAGE Code. Use Advanced Search to structure your search using multiple categories and criteria.
- Are you a Federal government employee? Create a SAM user account with your government e-mail address and log into SAM before searching to see FOOU information and registrants who chose to opt out of the public search.
- Conducting small business-focused research? In addition to what is contained in SAM, small businesses can provide the Small Business Administration (SBA) supplemental information about themselves. Use the SBA's Dynamic Small Business Search to conduct further market research.
- Trying to find a contractor participating in the Disaster Response Registry? Use the Disaster Response Registry Search to locate contractors willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief services in the event of a national disaster.

QUICK SEARCH:

Enter your specific search term
(Example of search term includes the entity's name, etc.)

DUNS Number Search: Enter DUNS number ONLY
CAGE Code Search: Enter CAGE code ONLY

ADVANCED SEARCH:

Use specific criteria in multiple categories to structure your search.

ADVANCED SEARCH - ENTITY

ADVANCED SEARCH - EXCLUSION

DISASTER RESPONSE REGISTRY SEARCH

Note to all Users: This is a Federal Government
Getting Help: SAM

SAM.gov is supported by the Federal Service Desk
https://www.fsd.gov

**Telephone Numbers:**
- US Calls: 866–606–8220
- International Calls: +1 334–206–7828
- DSN: 94–866–606–8220
What is eRA Commons?

- Web interface between NIH and the grantee community
- Enables us to conduct our research administration business electronically
- Allows grantees and federal staff to access, share and transmit administrative information related to grants
When will I use the Commons?

- Pre-Award Process
  - Check Application status
  - Submit Just-in-Time (JIT)

- Post-Award Process
  - Prepare Research Performance Progress Reports (RPPR)
  - Prepare Financial Status Report

- Closeout Process
  - Prepare FFR, Final RPPR, Invention Statement and Certification, and population tracking data
eRA Commons Institutional Registration

- Most institutions are already registered in eRA Commons
- One-time online registration
- *Takes 2–4 WEEKS*
- Must be completed by a Signing Official
- Information is entered online and electronically sent to NIH [https://commons.era.nih.gov/commons/](https://commons.era.nih.gov/commons/)
Online Registration

Only Signing Officials can register their institutions with the NIH. Follow these directions to register your institution.

1. Complete the online Institution Registration Form and click Submit.

2. Agency will send you an email with the link to confirm your email address.

3. Once email address is verified, the Agency will review your request and let you know of the result via email.

4. If your request is denied, you will get an email notifying you of the reason.

5. If your Request is approved, you will get an email with your Commons user id and temporary password.

6. Log in to Commons with temporary password and system will prompt you to change temporary password to the permanent one. Contact SO will be prompted to electronically sign your registration request. (Please review your registration information carefully).

7. Once contact SO has electronically signed the request, your organization will be active in Commons and you may Create and maintain additional accounts for your institution staff.

Register Now
Your registration request has been successfully submitted to Agency. An e-mail will be sent to you shortly. Please follow the instructions in the e-mail in order for NIH to verify your institution's e-mail address.
NIH reviews the registration, which is now pending approval, and displays the Email Verified screen.

Once the NIH has reviewed the registration request, a second email is sent stating the status of the application (either approved or rejected). If the request is rejected, an email is sent notifying you of the reason.
If approved, select the hyperlink in the e-mail message to confirm the registration process and open the IPF Assignment View.

After the SO confirms the Registration request, an email is sent containing the User ID and temporary password. Once the SO has re-logged in to Commons and changed the password, the Registration Information screen is displayed.
Subject: Commons Demo Account Created

From: Darby, Chris (NIH/NHGRI) [E]
To: Ingersoll, Deanna (NIH/NHGRI) [E]

Body:

U.S. Department of Health & Human Services

eRA Commons
A program of the National Institutes of Health

Create a New Demo Account

Your Sample Institution has been created with the Accounts and Passwords listed below. Please write down this information and log in to the NIH Commons Training Demo Facility using this information. Like NIH Commons, you will be asked to change your password the first time you log in. Once you have successfully authenticated, you will be able to use the NIH Commons in the same way as you would the production version.

SO User Name: DarbyCHSO
SO Password: transo15

PI User Name: DarbyChPI
PI Password: tranpi15

Continue

Chris A. Darby
Grants Management Specialist

See more about: Darby, Chris (NIH/NHGRI) [E].
Registration Information

In order to protect the confidentiality of certain information, access to the secure eRA Commons server is limited to authorized users. The registration of authorized eRA Commons users will be administered by the Principal Signing Official, or their designee, serving as the grantee organization Commons Accounts Administrator.

The grantee organization Principal Signing Official serving as administrator of the Commons accounts, and signatory of this form, should be the Official with institutional authority in so far as legally binding grants administration actions with the NIH are concerned, including serving as the grantee organization authority responsible for submission of grant applications to the NIH. As Commons Accounts Administrator, this Official will have the authority to create, modify and delete Commons accounts for additional Signiging Officials, Administrative Officials, Principal Investigators, Program Directors, and other scientific and/or administrative staff for the grantee organization.

Solely for the purpose of facilitating administration of Commons accounts, and distinct from submitting grant applications to the NIH, the Principal Signing Official can extend authority to a Primary Commons Accounts Administrator. Designation of such a Primary Commons Accounts Administrator can be acknowledged herein, as detailed below, so long as both Principal Signing Official and Primary Commons Accounts Administrator are signatories of this form.

- **Institution Information**
  - Institution Name: YOMI7417
  - FAX Received: No
  - Duns Number: 963214780
  - Street 1: TEST
  - Street 2:
  - Street 3:
  - Street 4:
  - IPF Code:
  - Closeout E-mail: eRATest@mail.nih.gov
  - NoA E-mail: eRATest@mail.nih.gov
  - City: BETHESDA
  - State: MD
  - Zip Code: 20817
  - Country:

- **Principal Signing Official**
  - Name Prefix: TestSO
  - First Name: TestSO
  - Middle Name:
  - Last Name: AcctSO
  - Suffix:
  - Title: CEO
  - User Name: ALPHASO5
  - Phone: 000-000-0000
  - Fax: eRATest@mail.nih.gov

- **Accounts Administrator**
  - Name Prefix: TestAA
  - First Name: TestAA
  - Middle Name:
  - Last Name: TestAA
  - Suffix:
  - Title: Executive
  - User Name: BETA445
  - Phone: 000-000-0000
  - Fax: eRATest@mail.nih.gov

By clicking the "Accept" button, you acknowledge responsibility for maintaining the security and confidentiality of the grantee organization’s information through the administration of all Commons accounts established for the grantee organization.

[Accept button]
Once the SO has electronically signed the registration request, the organization will be active in Commons.

Your Organization is now successfully registered in Commons.
What is an eRA Commons “role”? 

- The functions available to users are based on the “role” associated with their account
  - [http://era.nih.gov/files/eRA_Commons_Roles.pdf](http://era.nih.gov/files/eRA_Commons_Roles.pdf)
  - A single account should not have both the PI and SO roles. A person that needs both roles should have two separate accounts (one with the PI role and one with the SO role)
  - If a PI serves as a Reviewer, their single account can have both the PI and Internet Assisted Review (IAR) roles without any issue
**eRA Commons – Roles**

- **Signing Official (SO)**
  - Register the applicant institution in the eRA Commons.
  - Create/edit all Commons accounts.
  - Submit Just in Time (JIT) and grant applications via Grants.gov.

- **Account Admin (AA)/Administrative Official (AO)**
  - Create/edit Commons accounts.

- **Principal Investigator (PI)**
  - Edit PI’s personal profile.
  - View Notice of Awards for which they are the PI.
  - View Review Outcome information and Summary Statements.

- **Federal Financial Report (FFR or FSR)**
  - Submit financial status reports.

**Additional Role Information:** [http://era.nih.gov/files/eRA_Commons_Roles.pdf](http://era.nih.gov/files/eRA_Commons_Roles.pdf)
How are Roles Established?

- Signing Official signs into eRA Commons, creates an account with the appropriate role.

- The individual for whom the account was created receives an email with instructions on how to proceed.

- Once an Account Administrator role is created, then the AA can also initiate a new account.

- Principal Investigators get one eRA Commons account that follows them throughout their careers.
  - A single PI account can be “affiliated” with multiple institutions.
  - The PI has access to all of his/her information at each affiliated institution.
Very Important! When trying to contact the eRA Helpdesk make sure you are using the correct contact information. Many users have erroneously been contacting the NIH Helpdesk which does not support the eRA Commons. Our contact information is as follows: Web: http://era.nih.gov Email: commons@od.nih.gov Phone: 301-402-7469/866-504-9552 (Toll Free) 301-481-5939 (TTY) Business hours M-F 7am-8pm EST. This will help us to help you better, thanks.
The SO can create accounts

Step 1

Step 2

Search Accounts

Create New Account
Only the Signing Official (SO) can edit your institutional profile.
All Assurances and Certifications are important. Expired Assurances and Certifications will hold up your award.
## Status Hit List

### Status Result - General Search

**Tips and Notes:**
- PD/PI column shows Contact PI for multi-PI grants.

<table>
<thead>
<tr>
<th>Application ID</th>
<th>Grants.gov Tracking #</th>
<th>Proposal Title</th>
<th>PD/PI Name</th>
<th>Application Status</th>
<th>Budget Start Date</th>
<th>FFATA</th>
<th>Show All Prior Errors</th>
<th>Action</th>
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<tbody>
<tr>
<td>1R01EY000001-01</td>
<td>GRANT100000000P</td>
<td>My Groundbreaking, Life-saving, Medical Research Study</td>
<td>SAWYER, TOM</td>
<td>Withdrawn</td>
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<td>Hypertensive kidney disease: A New Study</td>
<td>CAULFIELD, HOLDEN</td>
<td>Awarded, Non-fellowships only</td>
<td>06/15/2012</td>
<td>Yes</td>
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<td>FINN, HUCK</td>
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<td>This is a Title of a Sample Grant Proposal and Project</td>
<td>TORRANCE, JACK</td>
<td>Awarded, Non-fellowships only</td>
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<td>Institute Center Assignment Date</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Application Information</th>
<th>Study Section</th>
<th>Advisory Council/AC Information</th>
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<tr>
<td>Award Document Number:</td>
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<td>F31S Accepted Code:</td>
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<td>Snap Indicator Code:</td>
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<tr>
<td>Priority Score: 140</td>
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<tr>
<td>Percentile 5.0</td>
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</tbody>
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Only the PI can see the priority score, percentile, and summary statement.
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<td>Portrait of the Artist as a Young Man through Adulthood</td>
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### Application Information

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Please provide active and pending support for all key personnel. Other support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual’s research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.

To provide the NIH Other Support, follow the suggested format available at [http://grants1.nih.gov/grants/funding/phs398/other support.doc](http://grants1.nih.gov/grants/funding/phs398/other support.doc) and upload the document using the Import button provided below.

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### IRB Date in MM/DD/YYYY (Format)

Your institution must certify to NIH that the research described in this application has received Institutional Review Board (IRB) approval by an IRB registered at OHRP under your Human Subjects Assurance Number. If the required IRB approval has been obtained, enter the IRB approval date. By specifying a Date and saving this form, you certify that you have IRB approval for this research. Please select the correct OHRP Human Subjects Assurance Number from the list of numbers associated with your Institution. Please select one number.

**Human Subject Education:** This document is required for key personnel (all individuals responsible for the design and conduct of the study) that are involved in human subject research. Please upload a PDF that includes the following: the names of the key personnel who are responsible for the design and conduct of the study; the title of the education program completed by each named person plus a brief description of the program. Note: If research meeting the criteria for Exemption 4 is proposed, documentation is recommended, but not required.

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### Genome Data Sharing Certification

An Institutional Certification is expected prior to funding award for all research generating large-scale human genomic data under the NIH Genomic Data Sharing Policy [http://odshpol.nih.gov/03policy?html](http://odshpol.nih.gov/03policy?html). The Institutional Certification is a document from the authorized Institutional Signing Official of the institution submitting the data, and assures that the data submission and sharing is appropriate (see [http://odshpol.nih.gov/institutional_certifications.html](http://odshpol.nih.gov/institutional_certifications.html) for templates). If a final Institutional Certification is not available at Just-In-Time, you may submit a provisional Institutional Certification along with other Just-In-Time documents. A final version of the Institutional Certification may be uploaded in the "Additional Information" section of your grant folder at a later date. You should keep Program Staff informed of the expected date of submission of the final Institutional Certification.

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Finding Help

**eRA Commons**

eRA Commons – registration questions:
https://era.nih.gov/commons/faq_commons.cfm#II

Support Page:
http://grants.nih.gov/support/index.html

eRA Commons Help Desk

- Web support: Phone: 1–866–504–9552, Option #1 or 301–402–7469, Option #1
Additional Resources

- The NIH eRA Commons Help site provides information about how to log on to the Commons and how to access the various components. [https://era.nih.gov/erahelp/commons/](https://era.nih.gov/erahelp/commons/)


- SAM.gov User Guide
  [Full user guide](https://www.fsd.gov/fsd-gov/home.do)

Subcontracts
What is a Consortium/Subcontract?

A collaborative arrangement between the primary grantee institution and another institution where a portion of the programmatic or scientific research will be carried out.

The involvement of the collaborating institution is that of actually performing a portion of the programmatic activity of the grant.
Consortium vs. Fee For Service Contract

- **Consortium/Subcontract:**
  - The consortium carries out grant supported programmatic (scientific) activity.
  - The consortium investigator provides scientific input which could affect the direction of the project.
  - The consortium research makes an intellectual contribution to the project aims.
  - Consortium work is both scientific and administrative.
  - Parent grantee closely monitors activities at the consortium institution.

- **Fee for Service Contracts** are used to provide a routine service to the grantee such as equipment fabrication or repair, data processing, routine analytical testing services, or management services. The service is not a programmatic activity.
Roles of the Parent Grantee

The grantee, as the direct and primary recipient of NIH grant funds, is accountable for:

- The performance of the project.
- The appropriate expenditure of grant funds by all parties.
- Reporting requirements and all other obligations of the grantee as specified in the NIHGPS.
The Consortium Participant:

- Must enter into a **formal written consortium agreement** with the parent grantee.
- Must adhere to the Government-wide **cost principles and NIH cost policies**.
- Expenditures must conform to the requirements of **allowable and unallowable costs**.
- Must have their funding and payment information reflected in a **formal written agreement**.
  - Sample agreement: [http://sites.nationalacademies.org/PGA/fdp/PGA_063626](http://sites.nationalacademies.org/PGA/fdp/PGA_063626)
IMPORTANT LINKS

- National Institutes of Health – Grants Policy Statement
  - Foreign: NIH GPS Chapter 16 Foreign organizations
  - Consortium Agreements: NIH GPS Chapter 15 Consortium agreements
  - Public Policy Requirements: NIH GPS Chapter 4 Public Policy Requirements
  - Sample consortium Agreement: http://sites.nationalacademies.org/PGA/fdp/PGA_063626

- OMB Uniform Guidance: 2 CFR Subpart A Chapter II Part 200

- OMB Circulars: https://www.whitehouse.gov/omb/circulars_default


- OHRP: http://www.hhs.gov/ohrp/


Questions?

Thank You!

Deanna Ingersoll and Chris Darby
DHHS, NIH, NHGRI, GAB
5635 Fishers Lane
Rockville, MD 20852
(301) 402-0733
Deanna.Ingersoll@nih.gov and Chris.Darby@nih.gov