



American Reinvestment and Recovery Act of 2009

Office of Policy for Extramural Research Administration



NIH Recovery Web site

www.nih.gov/recovery

U.S. Department of Health & Human Services

www.hhs.gov

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American Recovery & Reinvestment Act

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Overview of the American Recovery and Reinvestment Act of 2009 (Recovery Act). The American Recovery and Reinvestment Act of 2009 (Recovery Act) represents an unprecedented effort to jumpstart our economy and address long-neglected challenges so our country can move forward more quickly than ever before. Unlike any since the Great Depression, the Recovery Act will provide the resources to address the challenges of independence, expand educational opportunities, and support those in greatest need.

» [Overview of the Recovery Act](#)
<http://www.hhs.gov/recovery/overview>

RECOVERY.GOV

» [Implementing the Recovery Act](#)
<http://www.hhs.gov/recovery/programs/index.html>

» [Learn more about programs that issue grants under the Recovery Act](#)
<http://grants.nih.gov/recovery/>

Announcements

» [Applications for \\$1.5 Billion in Recovery Act Funds Now Available](#)
<http://www.nih.gov/news/health/mar2009/od-10.htm>

» The NIH has designated at least \$200 million in FYs 2009—2010 for a new initiative called the NIH Challenge Grants in Health and Science Research. This new program will support research on topic areas that address specific scientific and health research challenges in biomedical and behavioral research that would benefit from significant 2-year

**ARRA Grant Funding
Opps and Info at
Grants.nih.gov/Recovery**



Recovery 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.
 - 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 Data Elements for Comment FR 4/1/09*
<http://edocket.access.gpo.gov/2009/pdf/E9-7317.pdf>
- Reports will be entered at www.FederalReporting.gov (*under construction*)
- These reports will be publicly available at www.recovery.gov
- “Stay tuned” for more specifics on the quarterly reporting requirements; details are still being addressed by OMB.



ARRA Award Features

- ARRA requires recipients to account for, track, monitor, report on, provide for audit of, and closeout ARRA funding separately from non-ARRA awards
- To implement these requirements NIH has established a number of unique business processes
- Guide Notice NOT-OD-09-080 Issued 4/3/2009 describing ARRA features:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-080.html>



ARRA Award Features: Special Terms

- In addition to the standard NIH terms of award, all NIH ARRA awards will include special ARRA terms
- These terms are provided to NIH by HHS
- The award includes a link to a PDF attachment posted on the NIH Award Terms website:
http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf
- As updates are provided by HHS, they will be posted at this same site.



ARRA Award Features: ARRA Banner, CFDA, CANs

- Banner: All ARRA awards will include a banner at the top of each award clearly noting this award as issued under ARRA
- CFDA: NIH has established 2 trans-NIH CFDA's just for ARRA
 - 93.701: For all non-Construction ARRA funding
 - 93.702: For all NCRR Construction ARRA funding
- CANs: NIH Institutes/Centers have established unique CANs that are associated with these new CFDA's



ARRA Award Features: Unique Document Number Schema

- The HHS Payment Management System required all HHS agencies to adopt a unique Document Number Schema for ARRA awards
- NIH wanted to maintain the integrity of our existing document number schema as much as possible
- Core schema traditionally used will remain intact; except the last character will be “Z”
- Example: Grant Number= 1 R01 AI123456-01;
ARRA Doc # = RAI123456Z



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

- PMS has established unique “P” accounts for all grantees receiving ARRA funds. (*Regular NIH appropriation \$\$\$ flows to “G” accounts for all grantees*)
- “P” accounts do not permit cash pooling
- Grantees will be required to request advances individually from each ARRA-funded grant
- Existing PMS users will be able to access the “P” accounts using already established login & password
- Questions should be referred to the PMS account representative for your state: www.dpm.psc.gov



Unique Business Processes: Administrative Supplements & Competing Revisions

- These present a unique challenge—accommodating the “separation” and accountability required by ARRA while still requiring a programmatic connection to the parent grant
- All cumulative references to the parent grant are being removed from ARRA T-3s
- ARRA T-3 budget/projects periods will reflect that of the T-3 only and not the parent



Unique Business Processes: Administrative Supplements & Competing Revisions (cont.)

- ARRA T-3 budget/project period end dates need not be in “sync” with the parent
- ARRA T-3s issued in FY2009 may be for a single budget/project period up to 24 months. Assumes parent record has this time remaining (including any no-cost extension)
- ARRA T-3s issued in FY2010 will be no more than a 12-month budget/project period



Unique Business Processes: Administrative Supplements & Competing Revisions (cont.)

- No “co-mingling” of ARRA T-3 and parent grant \$\$\$ allowed (assuming parent grant is funded with regular NIH appropriation \$\$\$)
 - **Separate institution accounts required**
 - Separate PMS drawdowns
 - No rebudgeting between parent and ARRA T-3
 - No carryover of ARRA T-3 balances into the parent



Unique Business Processes: Administrative Supplements & Competing Revisions (cont.)

- No-cost Extensions of ARRA-funded T-3s
 - ARRA T-3s are awarded under NIH Terms of Award and will therefore be eligible for a one-time no-cost extension
 - This is separate from the parent record
 - Prior approval requests to extend beyond that initial 12-month extension will only rarely be considered



Unique Business Processes: Administrative Supplements & Competing Revisions (cont.)

- Separate Financial & Closeout Reports Required
 - Separate 272s & FSRs from the Parent
 - Separate Closeout from the Parent; even if the parent continues
 - NIH will be updating eFSR & Closeout systems to accommodate these requirements



Unique Business Processes: Administrative Supplements & Competing Revisions (cont.)

- Unique Award Terms for ARRA T-3s
 - Will cite standard ARRA Terms
 - Will also include references to separate financial reporting; separate closeout; restrictions on rebudgeting and carryover



Unique Business Processes: Modified Carryover Authorities

- 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 the FY2010 period
- No carryover allowed though between ARRA funding budget periods and budget periods funded by non-ARRA fund



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



Unique Funding: 2-Phase RPG

- Some ICs may chose to fund a Research Project Grant (e.g., R01) in 2 phases
 - Phase 1: FY2009 & FY2010 funded with ARRA \$\$\$
 - Phase 2: From the regular IC appropriation beginning in FY2011 or beyond
 - Award for Phase 1 will show only the ARRA project period and future year commitment; the commitments from the regular IC appropriation will be referenced in a special award term



Unique Funding: 2-Phase RPG (cont.)

- The IC phase will be issued as a non-competing continuation (T-4)
- If grantee extends the ARRA phase, this will delay the funding of the T-4
- NIH still has a number of processes to work out for this model, including getting in a progress report before the T-4 can be awarded



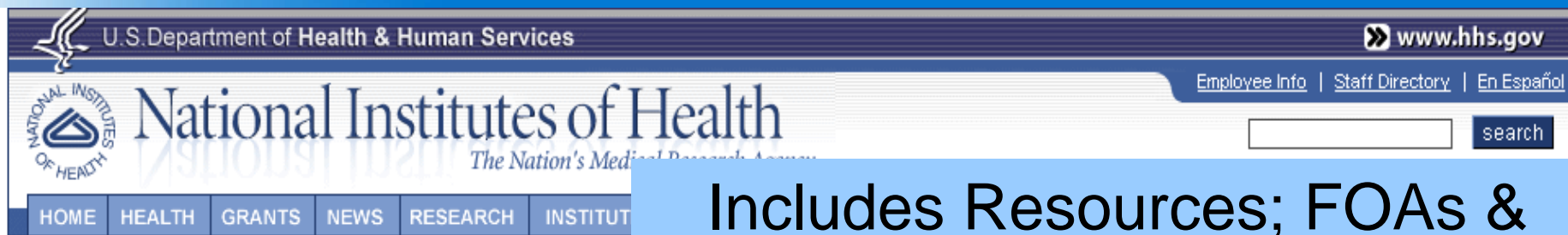
ARRA Grant Compliance

- 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 ARRA Opportunities:

<http://grants.nih.gov/recovery/>



Includes Resources; FOAs & Notices; Q&As; Recent News

Grant Funding Opportunities

Supported by the American Recovery & Reinvestment Act of 2009 (ARRA)

The recent ARRA legislation provides an unprecedented level of funding (\$8.2 billion in extramural funding) to the NIH to help stimulate the US economy through the support and advancement of scientific research. While NIH Institutes and Centers have broad flexibility to invest in many types of grant programs, they will follow the spirit of the ARRA by funding projects that will stimulate the economy, create or retain jobs, and have the potential for making scientific progress in 2 years. We expect to:

1. Select recently peer reviewed highly meritorious research grant applications (RO1s and others), that can be accomplished in 2 years or less.
2. Fund new research applications.
3. Accelerate the tempo of ongoing science through targeted supplements to current grants.
4. Support new types of activities such as the NIH Challenge Grant program that meet the goals of the ARRA.
5. Use other funding mechanisms as appropriate.

The ARRA also provides \$1 billion to the National Center for Research Resources (NCRR) to support extramural construction, repairs, and alterations in support of all NIH funded research institutions and \$300 million for shared instrumentation and other capital equipment to support all NIH activities.

Resources:

Recent News:





Other Recovery Act Resources

- March 2009 Statement from the Acting Director, NIH:
http://www.nih.gov/about/director/02252009statement_arra.htm
- NIH and the ARRA: <http://www.nih.gov/recovery/>
- HHS.gov/Recovery:
<http://www.hhs.gov/recovery/index.html>
- Recovery.gov: <http://www.recovery.gov/>
- OMB Recovery Act Site:
http://www.whitehouse.gov/omb/recovery_default/



Examples of Institute or Centers Plans for ARRA Funds

National Institute on Drug Abuse (NIDA)

- Received ~ \$ 260,000,000
- Invest in:
 - Majority for peer reviewed, unfunded grants
 - Challenge and GO Grants
 - Supplement Programs
 - P30 Core Grants for Faculty Recruitment
 - Signature Grants
- Info:
 - <http://www.nida.nih.gov/Recovery/>
 - <http://www.nida.nih.gov/recovery/supplements.html>



Examples of Institute or Centers Plans for ARRA Funds

National Cancer Institute (NCI)

Received ~ \$1.26 BILLION

- Invest in:
 - FY 09 Peer reviewed but unfunded grants
 - Challenge and GO Grants
 - General Supplements (all grant mechanisms)
 - administrative and competitive supplements
 - Special Program Supplements
 - P30 Core Grants for Faculty Recruitment
 - Activities to Promote Research Collaborations (APRC)
 - NCI RFAs
 - Research and Research Infrastructure (contracts)
- Info:
 - <http://www.cancer.gov/recovery>
 - <http://www.cancer.gov/recovery/funding>

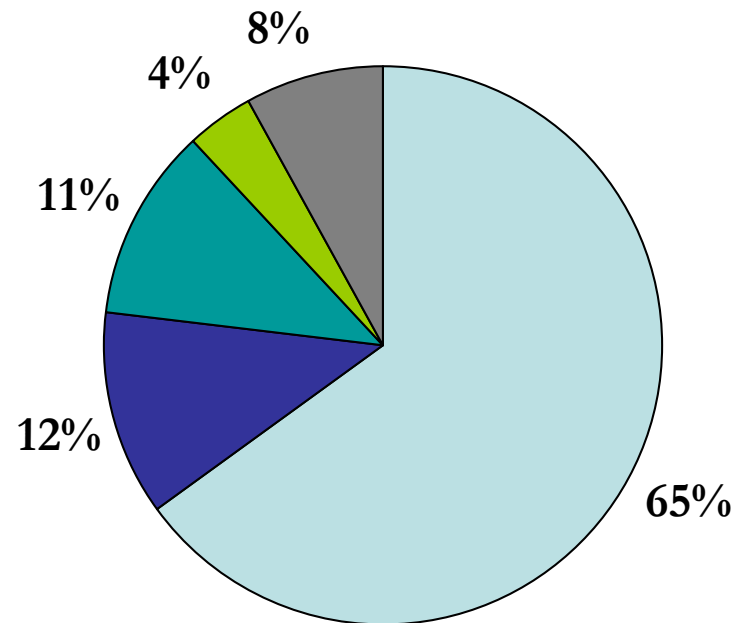


IC Plans for ARRA Funding

Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD)

- NICHD (ARRA) funding priorities driven by:
 - best mechanisms to achieve success in 2 years
 - diversity of our science
 - make best use of existing infrastructure programs and mechanisms
 - assumption that programs not directly funded by ARRA may also benefit

NICHD Planned Distribution of ARRA Funding (\$330 M) as of April 2, 2009



□ RPGs and centers
■ Contracts
■ Supplements
■ NIH wide special programs
■ IC specific RFAs

<http://www.nichd.nih.gov/recovery>



Examples of Institute or Centers Plans for ARRA Funds

National Institute of Allergy and Infectious Disease (NIAID)

- Received ~ \$1.12 Billion
 - At least 75% to support unsolicited research projects grants -- either as 2 Yr R01's, 03's or R21's or 1 Yr Bridge Awards
 - Minimal Administrative Supplements
 - No Competitive Supplements – except the NCRR notice
 - Challenge and minimal GO projects
 - Signature Programs

<http://www.niaid.nih.gov/ncn/recovery/default.htm>



Examples of Institute or Centers Plans for ARRA Funds

National Institute of Biomedical Imaging and Bioengineering (NIBIB)

- Received ~ \$ 78,000,000
 - Invest in:
 - Majority for peer reviewed, unfunded grants
 - Challenge and GO Grants
 - Supplement Programs
 - P30 Core Grants for Faculty Recruitment
 - Signature Grants
- Info: <http://www.nibib.nih.gov/Recovery/>