Review & Summary Statements:

Once you have successfully submitted to NIH or another Federal Sponsor, it is generally routed to the Scientific Review Group (SRG) you requested in your application cover letter. Scientific Review for most NIH applications occurs four months after submission. Dates for Scientific Merit Review, Advisory Council Review, and Earliest Project Start Dates for NIH mechanisms can be found on NIH's Submission Schedule Page.

Applicants are notified by e-mail that the application has been received, the SRG it has been assigned to and the name of the Scientific Review Officer (SRO) who is administratively responsible for the SRG. At this time, applicants can request reconsideration of the assignment (contact OFR for help in doing this). Applicants also are notified by e-mail to check eRA Commons for any change in the application's SRG. Once the assignment process is completed, the SRO is the contact for all communication with the applicant until the conclusion of the review meeting where proposals are reviewed for merit.

Scientific Review:

For research grant applications, and most other types of applications, reviewers judge the overall impact to reflect their assessment of the likelihood for the project to exert a sustained, powerful influence on the research field(s) involved, taking into account, among other pertinent factors: Significance, Investigator(s), Innovation, Approach, and Environment. These scored review criteria may not be applicable for some types of applications. See the OFR maintained NIH pre-award page for more details on this.

Reviewers consider each of the five criteria below in the determination of scientific and technical merit, and give a separate score for each. An application does not need to be strong in all categories to be judged likely to have a major scientific impact. For example, a project that by its nature is not innovative may be essential to advance a field. For a description of each section that is reviewed and the scoring system see the links on the NIH Pre-award pages on the OFR website.

Approximately two to three weeks after the Scientific Review meeting, results of the review will be posted in eRA commons. Applications in the top 40% (or so) will receive an overall percentile rank (among discussed applications) and an overall impact factor score. Applications that are not in the top 40% will be indicated with the phrase 'not discussed'. However, all applicants will receive a summary statement with detailed comments from three to four reviewers on their application.

At this point in the process, it is important for investigators to consider their scores and the content of the reviews as they decide whether to resubmit their application.

Advisory Council & Additional Review:

Summary statements for those applications recommended for further consideration are presented to the assigned National Advisory Council or Board (hereafter "Council") for a second level of review. Council members include senior scientists with broad experience and members of the public with general knowledge of, and interest in, the Institute's mission. The Council reviews applications not only for scientific and technical merit, as judged by the SRG, but also for relevance to the programs and priorities. The Council may concur with the SRG's recommendation, may decide not to recommend an application on the basis of program or policy considerations, or may recommend deferral of an application and refer it back to the SRG for re-review.

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<u>Just In Time Procedures</u>:

NIH uses Just-in-Time procedures for most proposals. These procedures allow certain elements of an application to be submitted later in the application process, after review and when it is determined that the proposal has a chance of being funded. These elements include other support information (both active and pending) for senior/key personnel; certification of IRB approval of the project's proposed use of human subjects; verification of IACUC approval of the project's proposed use of live vertebrate animals; and evidence of compliance with the education in the protection of human research participants requirement.

Applicants will be notified (primarily by e-mail) when Just-in-Time information is needed. This notification is not a Notice of Award nor should it be construed to be an indicator of possible funding. Applicants should only submit this information when requested. Information must be submitted electronically using the Just-in-Time feature in the eRA Commons. The OFR can help you with this.

NYU's Office of Sponsored Programs will also notify the PI and OFR of a JIT request from NIH. When you receive a JIT request, you have a window of about one month to submit the documents described above, namely:

1) Other Support: This is a summary list of all current and pending federally-funded activity for all the Key Personnel included in the proposal. It should indicate the grant number, the project period, the effort dedicated for the current budget period, the sponsor, the current budget period direct costs, the project title and a one to two sentence summary. The Other Support Page should also indicate whether there is any scientific or effort overlap with the submission that triggered the JIT request. Other Support templates and examples are available via download from NIH.

2) Human Subjects Approvals: This is approval of the project from the NYU University Committee on Activities Involving Human Subjects (UCAIHS). The UCAIHS approval memo should be uploaded in eRA Commons. If you have not secured approval at the point of JIT request, you will need to submit a cover letter explaining that approval is pending. For detailed guidance on IRB submissions see the IRB web page on the SSSW OFR web site.

3) Human Subjects Certifications: All Key Personnel identified in the proposal will need to submit Human Subjects Certifications. To take the NYU UCAIHS certification tutorial and exam, navigate to the UCAIHS tutorial page. NYU also requires your entire study team to complete the Collaborative Institutional Training Initiative (CITI) Program's Human Subjects course. See the OFR maintained web page on IRB for links to these certifications.

<u>Notice of Grant Award</u>;

When NIH awards a proposed study, official notification is sent via email attachment to the PI, OFR, the Silver School Dean and Budget Principal, and NYU's 'post-award' Office, Sponsored Programs Administration (SPA). The Notice of Grant Award [NoA] provides a summary of the terms and conditions of the award, as well as identifying numbers, project and budget period dates, and award amounts. It also provides contact information for the NIH Grants Management Specialist and Program Officer for the award.

No action is necessary on the part of the PI when they receive the NoA. However, it is strongly suggested that PIs contact OFR to discuss how the awarded $s will be allocated ASAP.

Upon receipt of the NoA, the OFR will analyze any cuts to the proposed budget and then set up an excel spreadsheet detailing the accounts and $ amounts that will be uploaded into NYU's accounting system. If subcontracts are included in the grant, the NoA will also prompt the OFR to initiate paperwork with NYU's and the subcontractor's Contract Offices.

The NoA prompts Sponsored Programs Administration to generate a project number for the grant in NYU's Financial Accounting Made Easy (FAME) restricted accounting system. Once this "chartfield" is designated, SPA then sends out an email titled "WSQ Authorization" to the PI, OFR, and SSSW Budget Principal.

Washington Square (WSQ) Authorization:

The WSQ Authorization form provides an even briefer summary of the Grant information and requirements, including the NYU FAME Project Number, the Budget and Project period dates, the amounts authorized for the current budget period and from inception to date, deadline dates for required financial and narrative progress reports, and any information about cost sharing, tuition remission, and any other special restrictions.

Again, no action is required of the PI at the time of receipt. The WSQ Authorization triggers the OFR to submit a detailed allocation of the award dollars to specific account lines in the form of an excel spreadsheet. Once that submission "posts," the OFR will notify the PI that the chartfield is active and can be charged for expenses as proposed in the grant submission.

Budget Reporting

The Silver School Office for Research (OFR) provides PIs with streamlined Budget Reports on expenditures to externally funded project(s). The OFR distributes these reports on a monthly basis, as close to the "close" of the previous month's budget period on NYU's general ledger and usually within a few days of the 15th of the month.

The key components of the report are:

- ◦ Personnel, Other Than Personnel, Direct Costs and Indirect Costs (standard categories recognized by the Federal Government and most Foundations)
- ◦ Overview Snapshot (Total Budget, Expenses, and Balance from Inception to Date)
- ◦ Current Grant Year/Budget Period Summary (Budget, Expenses, Encumbered Amounts, and Balance for each category in the current Budget Year)
- ◦ Cumulative Summary (Total Budget, Expenses, and Balance for each category from Inception to Date)

Customized reports showing detail on selected account lines and time periods are available upon request from the OFR.

PIs should note that it takes up to 15 days for expenses to fully "post" to grant accounts and these reports will only show activity up to the last day of the previous month. Again, reports showing up-to-the-day expenses are available upon request.

SSSW's Administrative Services distributes their own FAME Budget Summary Reports for operating budget and research-related discretionary accounts. However, summary information on these accounts are included in the body of OFR monthly Budget Report emails, indicating the project number and title, current balance, and year-to-date expenses. The reports generated directly by OFR will be the ones that are most helpful to you.

NYU has begun providing PIs and Project Directors with direct access to daily-refreshed budget reports via the University Data Warehouse (UDW) + online system. This is maintained outside of the SSSW and is another budget resource for you. The UDW+ Grants Management Dashboard allows PIs to quickly glance at useful financial information for managing grants, such as current grant balances, spending, and project trend lines and deadlines that require attention--all with the ability to view additional details by grant year, calendar year, or fiscal year. It is on-line and available 24/7. See us in the OFR for more details and explanations of the program.

For those of you who choose to use the Grants Management Dashboard, an online training tutorial of about 20-30 minutes is available through NYU iLearn. The following are the steps to gaining access to the Grants Management Dashboard:

1. Login to NYU iLearn (https://nyu.absorbtraining.com/user/content_popup.asp)
2. Click "Search the Course Catalog".
3. In the Search field, type "FIN 800".
4. Open the FIN 800: UDW+ Dashboards Online Training. From the available training modules listed, select Grants Management Dashboard (for PI) and complete the tutorial- Please note that you will see two modules for the Grants Management Dashboard. One is intended for the PIs, and one for the Grant Admins. Please be sure to select the correct module.
5. Upon completion of the FIN 800 tutorial, go back to the Course Catalog and search for "FIN 803". - Please note that iLearn also contains FIN 804: UDW+ Grants Mgmnt Dashboard (for Grant Admins) Quiz, which are questions intended for the Grant Administrators. Please be sure to select FIN 803: UDW+ Grants Mgmnt Dashboard (for PI) Questions.
6. Complete the few questions in the FIN 803: UDW+ Grants Mgmnt Dashboard (for PI) Questions.
7. Access to the Grants Management Dashboard will be granted within three business days.

Should you have any questions about the Grants Management Dashboard, or need assistance accessing to the training tutorial, please contact the staff in the SSSW OFR or the Decision Support Group at askdsg@nyu.edu or x82900.