

**PLEASE KEEP YOUR
CAMERAS AND
MICROPHONES OFF**

**POST-AWARD PROCEDURES AND TECHNICAL DESIGN
REQUIREMENTS FOR NIH C06 PROJECTS**

October 7, 2024

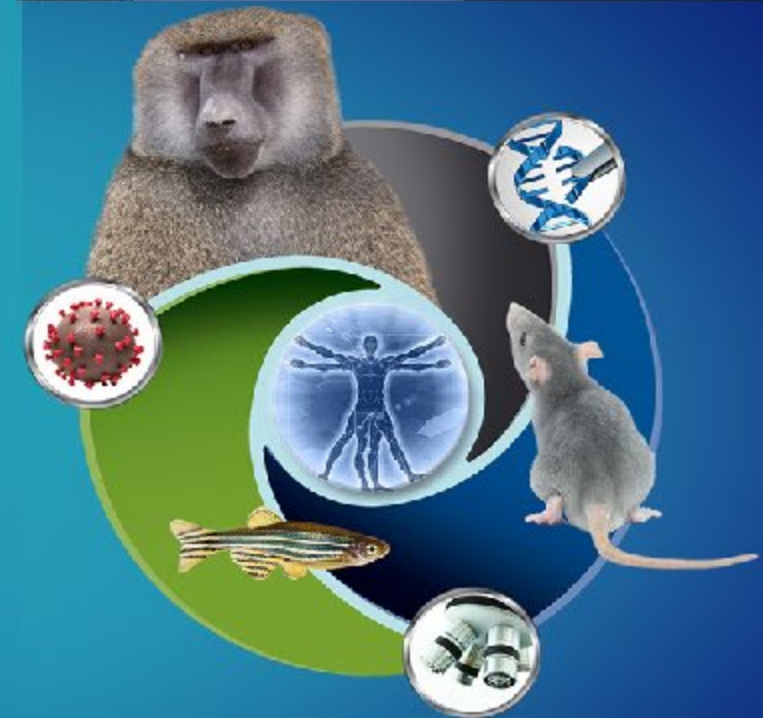


POST-AWARD PROCEDURES AND TECHNICAL DESIGN REQUIREMENTS FOR NIH C06 PROJECTS

Xiang-Ning Li, Yong Chen,
Kenneth Holiness, Steven Breslin, Mark Radtke

October 7, 2024

ORIP/DPCPSI/OD/NIH



Overview of the Presentations

- **Introducing our team - Xiang-Ning Li**
- **Project Timelines, Challenges & Lessons Learned – Yong Chen**
- **Award Requirements – Kenneth Holiness**
- **Design Technical Review (DTR) – Steven Breslin**
- **NEPA requirements - Mark Radtke**
- **Q&As – All.**



Team Introductions

ORIP

Xiang-Ning Li, MD, PhD
Yong Chen, PhD
Monika Aggarwal, PhD
Henrike Nelson, MS

OGM

Kenneth Holiness
Sabrina Oasan
Donna James

ORF

Steven Breslin, AIA, PE
Jordan Blackburn, PE
Tom Burklow
Mark Radtke, NEPA Coordinator
Georgianna Porter

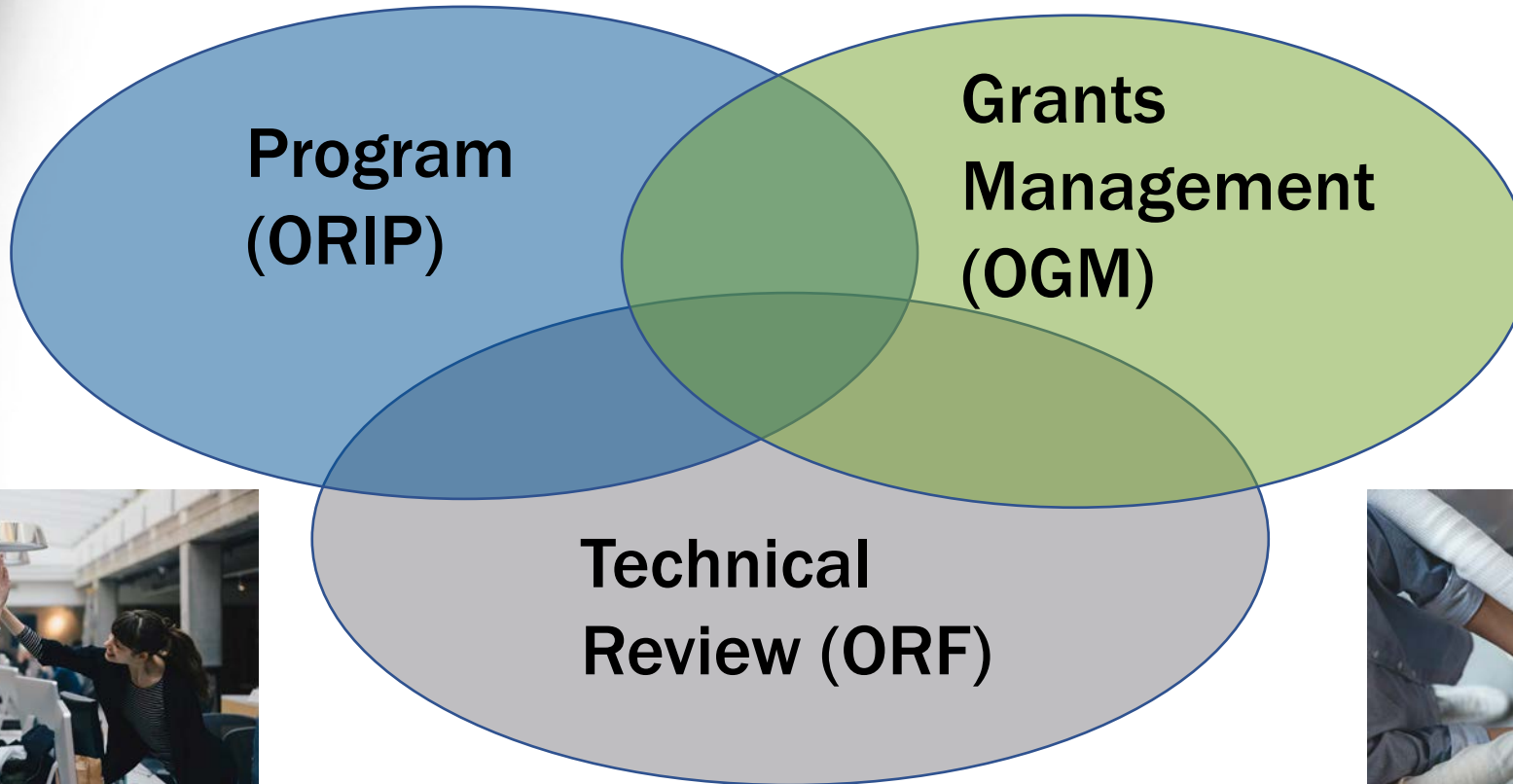
ORIP – Office of Research Infrastructure Programs

ORF – Office of Research Facilities

OGM – Office of Grants Management



NIH: Managing Construction Grants



ORIP – Office of Research Infrastructure Programs

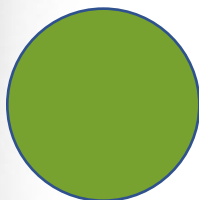
OGM – Office of Grants Management

ORF – Office of Research Facilities

Timeline: Budget Period of a C06 Award

Notice of Award
(NoA) issued: Funds
restricted for
technical design

All funds must be expended
and fully disbursed on the
Federal Cash Transaction
Report



Sept. 2024



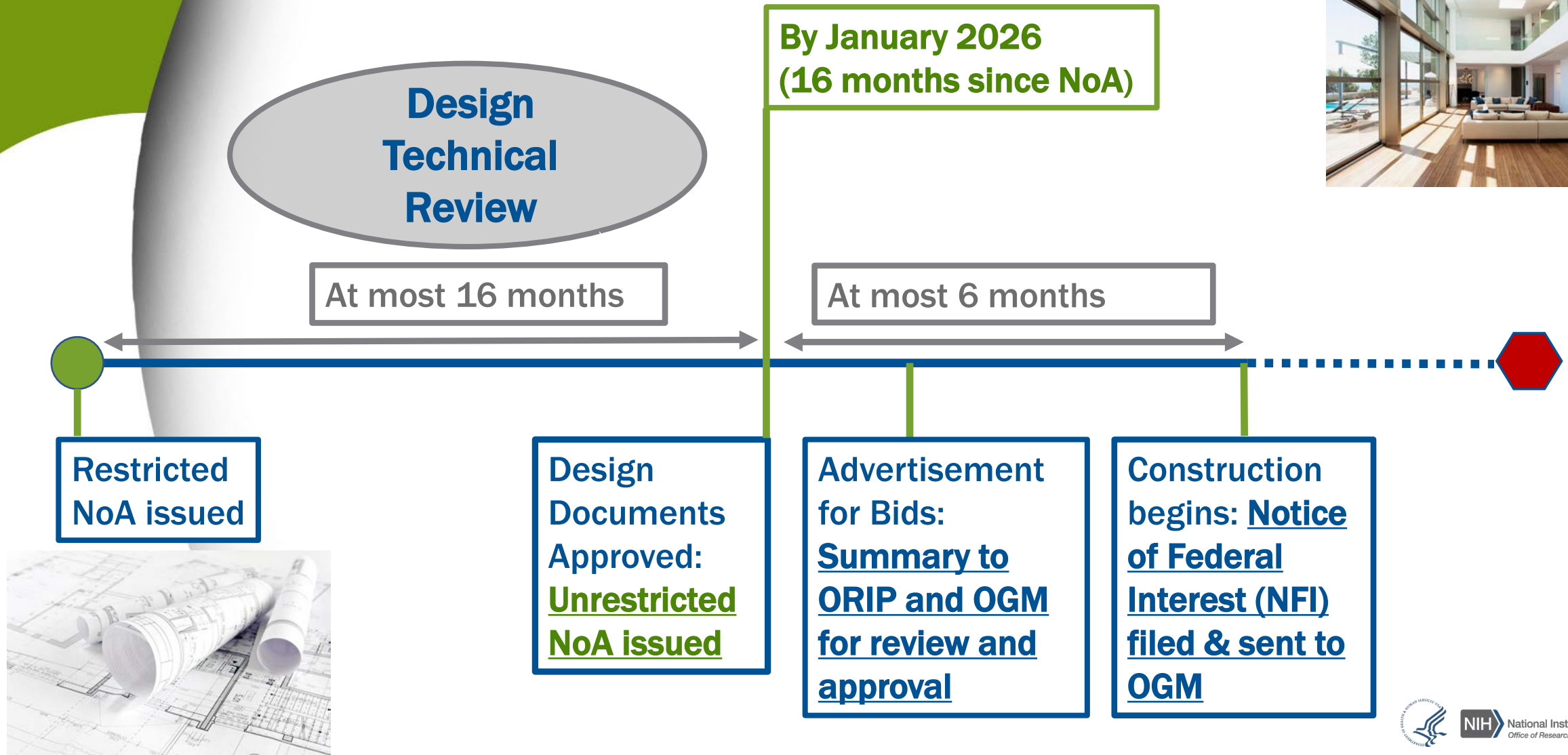
May 31, 2029



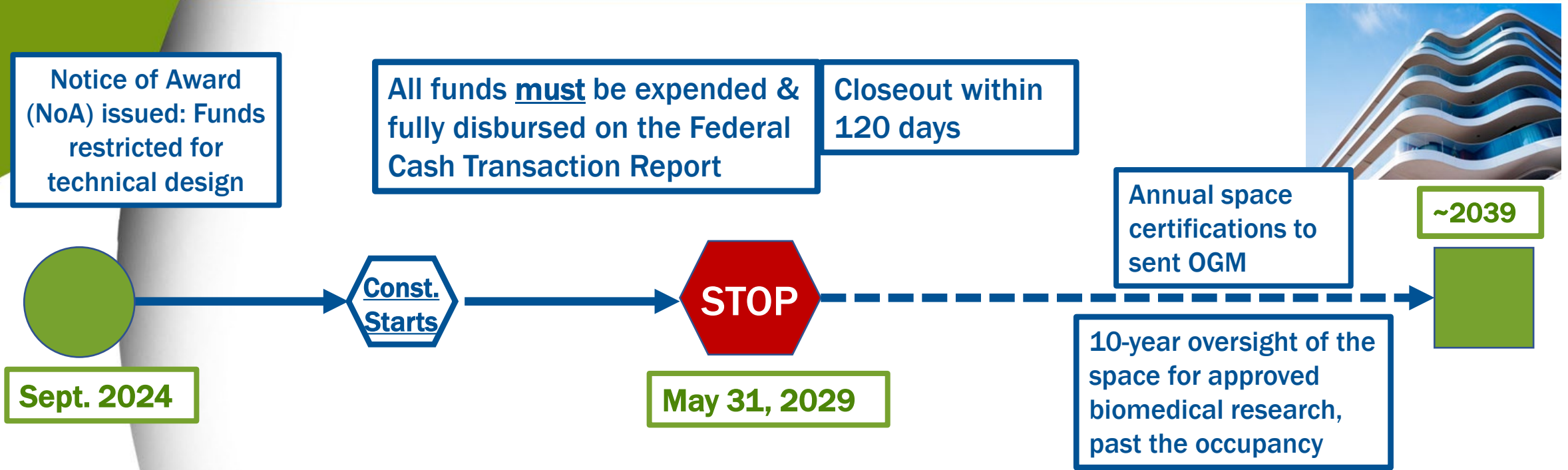
**Total budget time is only
4 yrs. & 8 mons (56 mons).**



Timeline: Pre-construction period

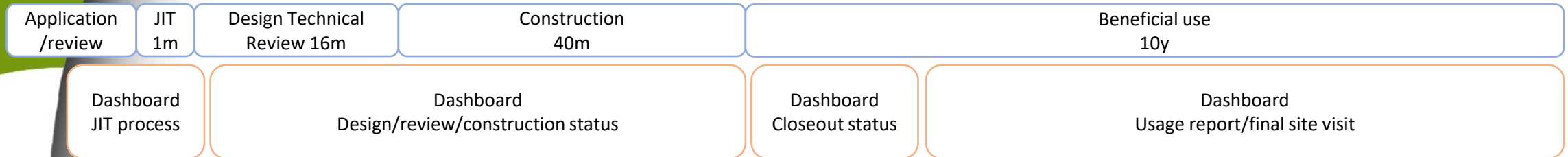


Timeline: Federal Interest Period of C06 Award



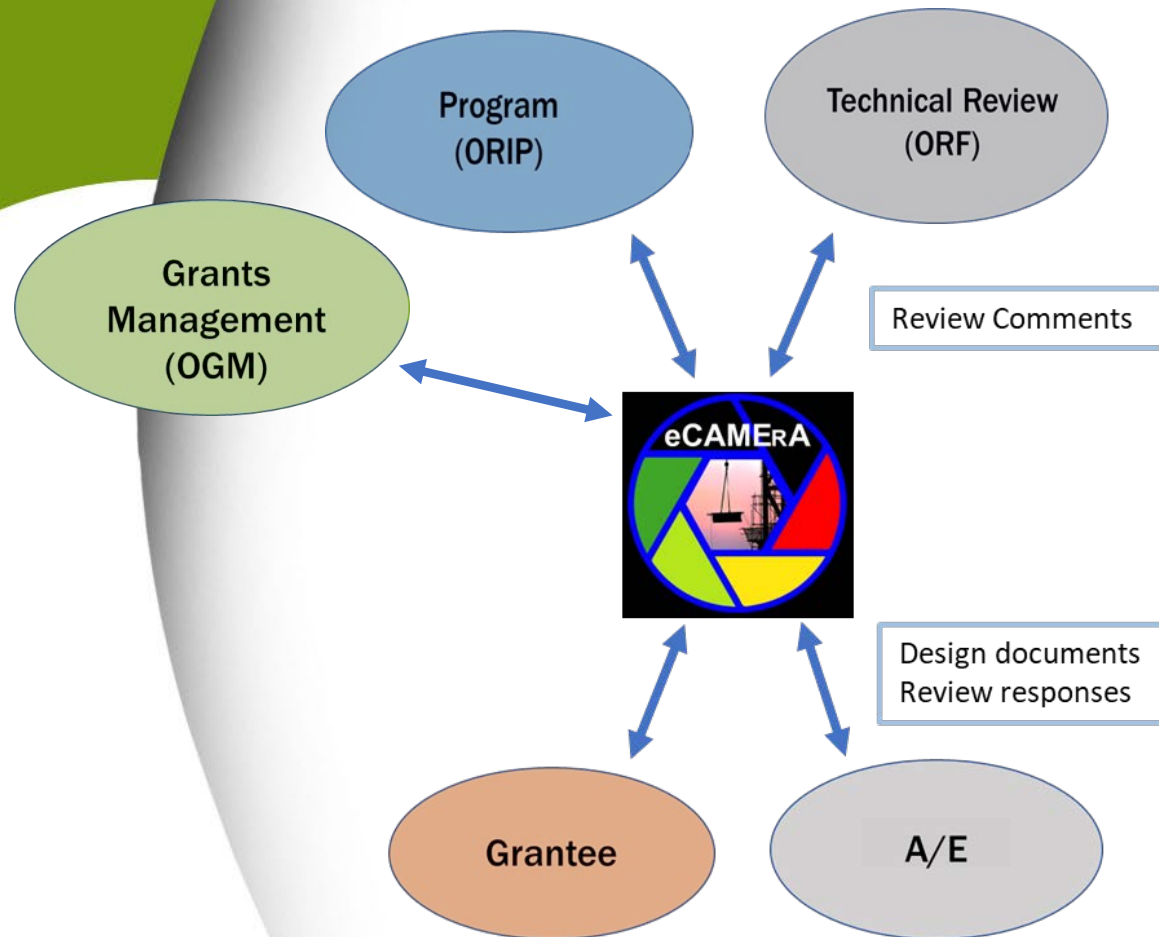
C06 Timeline/Documents

Compliance requirements through out the grant period and federal oversight!



JIT	Technical Design	Closeout documents:	Self certified usage (10 years)
Environmental Analysis form	SD submission/review/response/r review	FRPPR	
Assurances for Construction Programs (SF-424D)	DD submission/review/response/r review	FFR	site visits
	CD submission/review/response/r review	Certificate of Occupancy	agenda/roster/report/presentation deck
	Final Record Documents	NFI	
	Revised NoA to remove fund restriction	Tabulation of Net Assignable Space	
	Environmental Assessment/Impact Statement	Actual Cost of Construction	
	Bidding/construction contract	revised Floor Plan (highlight rescope?)	
	RPPRs	Photographs (exterior & interior)	
	NFI	Insurance	
	Prior approvals	Project timeline	
	PI change		
	NCE		
	Alternate contracting method		
	variance request		
	transfer of NFI		

Extramural Construction Award Management and Early Risk Alert (eCAMERA) System



PI
Project Manager
Signing Official

Use eRA Commons or login.gov
credential to log on

eCAMERA system is developed to

- assess project progress
- reduce administrative burden

1. Project management

- a. Design documents submission/review
- b. Construction status tracking

2. Documentation

- a. JIT documents
- b. Construction and contract documents
- c. Closeout documents
- d. Federal oversight documents

Challenges and Lessons Learned

- **Construction projects are time-pressing and challenging to manage.**
- **Inflation and supply chain disruptions are incredibly destructive.**
- **Dedicated team and project/program management skills are critical. Familiarity with NIH Design Requirement Manual helps.**
- **Delays can lead to early termination (failure) of the construction projects and relinquishment of the funds, especially in situations of and limited internal support, unmanageable time, cost, etc.**
- ***“Can NIH give us more money to help us?” – sadly, NIH cannot.***
- ***“We’ve learned a lesson. If given another chance, we wouldn’t delay a bit.”***



Recommendations

Successful teams are those who have access to resources and have strong internal support, and who keep project on track.

Advices/Take home messages:

- **Keep your POs closely informed – NIH colleagues are your supporters. Regularly update your PO bi-monthly/monthly.**
- **Think ahead. Prepare your next steps and materials early. Leave sufficient buffer in your timelines for unexpected events.**
- **Mobilize institutional support for extra funds and resources.**
- **Time is tight – and stick to schedule.**
- **Minimize changes, minimize redos and wastes.**

NIH will not approve scope change requests after DTR is done.



C06 Award Requirements

Kenneth Holiness

Lead Grants Management Specialist



Award Requirements

- **PI is responsible for**
 - **Leading and overseeing the project**
 - **Annual Progress Reports**
 - **Final Progress Report**

ORIP – Program Related Questions

Yong Chen (yong.chen@nih.gov)

or

Monika Aggarwal (monika.aggarwal@nih.gov)



Award Requirements

- **All official communications outside the design submission process must be submitted to OGM and ORIP by an Authorized Organization Representative**
 - **Prior Approvals (e.g., contracting methods, change of scope*, construction bids, change of PI)**

C06 Grants Management Contacts

- **Sabrina Oasan**
 - sabrina.oasan@nih.gov
- **Kenneth Holiness**
 - kenneth.holiness@nih.gov
- **Donna James**
 - donna.james@nih.gov



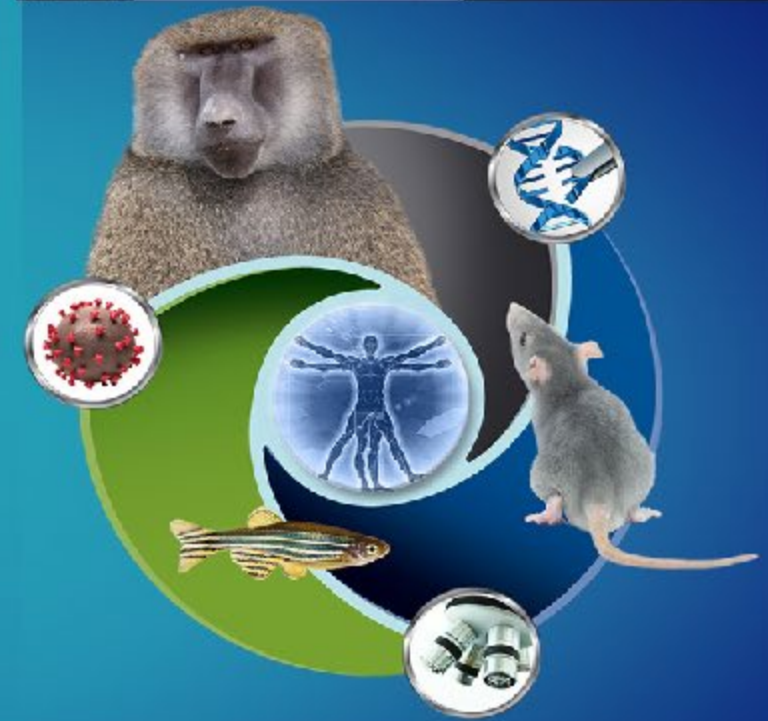
Prior Approval Requirements

- **Change of Scope**
 - Layout of Space differs from Grant Application
- **Alternate Contracting Methods** (See Section 10.3 of the NIH Grants Policy Statement <https://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>)
 - Construction Manager as Agent
 - Construction Manager at Risk
 - Design-Build Services
- **Procurement Standards** Can be found in Uniform Guidance (2 CFR 200) and it is very similar to Federal contracting guidelines. Work with your AOR, and review Sections 200.318 through 327.
 - Prior approval if 3 bids cannot be reached
 - Bid Process public notice
- **Extensions** Review of extension requests must take into account the 5-year limitation of the expenditure of appropriated funds. May 31, 2029, is the absolute last day of this grant award.

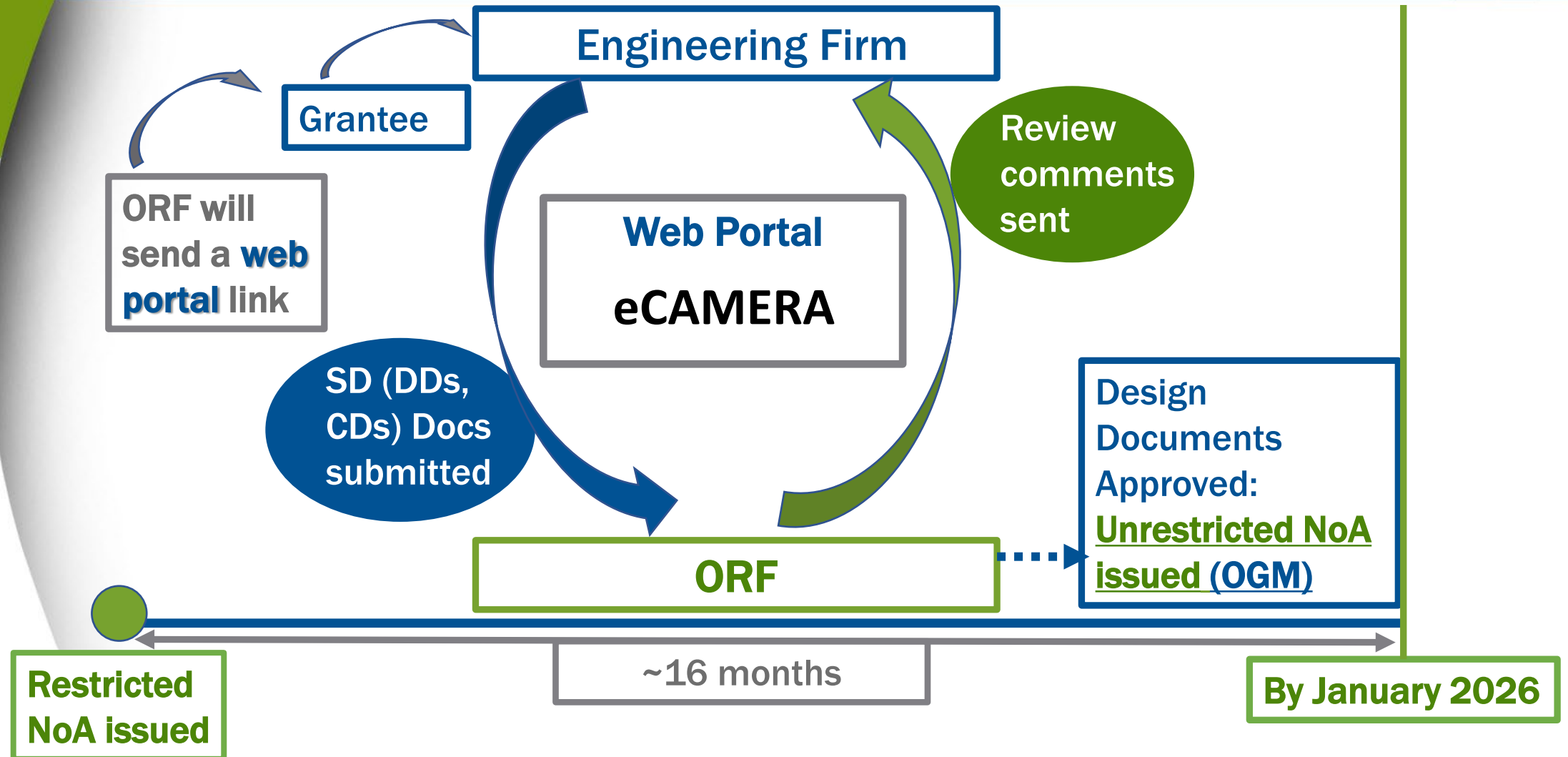


Design Technical Review

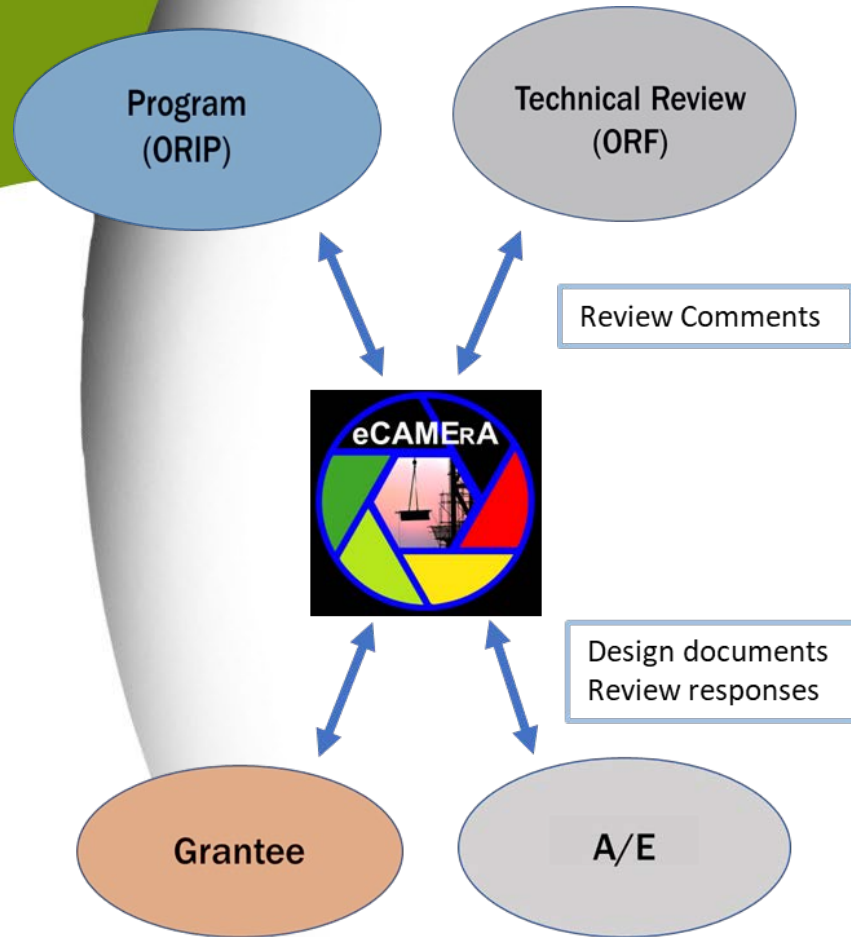
Steven Breslin, AIA, PE
Chief, Standards and Policy Branch
Office of Research Facilities



Technical Review: Communications



Technical Review: Communications



Design phases

- 01 Schematic Design
- 02 Design Development
- 03 Construction Documents
- 04 Backcheck Submission
- 05 Record Documents

Review steps for Phases 1-4

Allowed documents

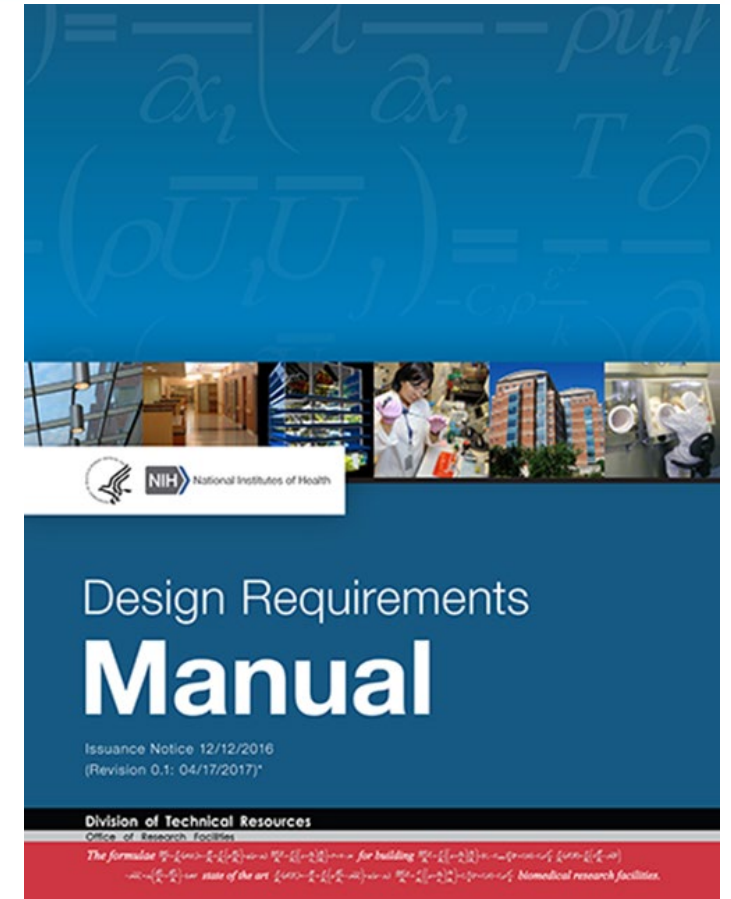
- o a - Submission
 - Drawings (Drawings.pdf)
 - Specifications (Specs.pdf)
 - Basis of Design (BOD.pdf)
- o b - Review Comments
 - review.xlsx
- o c - AE Responses
 - AEResponse.xlsx
- o d - Comment Response Review
 - ResponseReview.xlsx
- o e - Other Documents
 - variance, appendices...

System available in November 2024

Technical Review

NIH Design Requirements Manual Technical Review Procedures

Steven Breslin, PE
ORF



Contact Information

Program (ORIP) and Grants Management:
as listed in your Notice of the Award (NoA)

also:

ORIPCONSTRUCTION@mail.nih.gov (monitored by
Program)

- **ORF** – [Technical design questions](#)

Steven Breslin steven.breslin@nih.gov





The National Environmental Policy Act NEPA

Mark C. Radtke
DEP/ORF



Brief Background

- NEPA was the first major environmental law in the United States and is often called the "Magna Carta" of Federal environmental laws
- NEPA establishes policy and requirements for Federal agencies with respect to protecting the environment
- Requires Federal agencies to assess the environmental effects of proposed major Federal actions prior to making decisions
- The National Institutes of Health (NIH), Division of Environmental Protection's (DEP) NEPA Team is responsible for reviewing the actions of NIH and determining what level of NEPA review is required



So How Does This Affect Grants?

- Spending of federal funds is considered a major federal action
- Grantee is required to fill out “Review of Environmental and Other Impacts” form
- NIH Grants office to review the application towards the Extraordinary Circumstances checklist



Extraordinary Circumstances

- Greater scope or size than other actions included within the specific grants category?
- A threatened violation of a Federal State or local law established for protection of the environment or for public health and safety?
- Potential effects of the action taken by the grantee are unique or highly uncertain.
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- Possible impact on property that is listed or eligible for listing on the National Register of Historic Places or that is otherwise of scientific, cultural, or historic importance of interest.
- Possible impact on endangered or threatened species?
- Use of especially hazardous substances or processes for which adequate and accepted controls and safeguards are unknown or not available?
- Substantial and reasonable controversy exists about the environmental effects of the action



NEPA Process

- Three potential outcomes after review
 - Categorical Exclusion (CatEx)
 - Environmental Assessment (EA)
 - Environmental Impact Statement (EIS)
- CatEx
 - Upon review the proposed project can be excluded from further environmental review
 - Involves simple in-house paperwork and signature collection from certain stakeholders
- EA
 - Further review is needed to determine if there will be any significant environmental impact
 - Involves procuring a NEPA contractor to review and create a document describing all the potential areas of concern (wastewater, haz waste, stormwater, endangered species, traffic, etc)
 - Typically a 6-8 month project involving a 30 day review period by other agencies and the public
 - If not significant impacts are discovered a Finding of No Significant Impact (FONSI) is signed by NIH leadership



NEPA Process cont.

- EIS

- Similar to an EA with two open public meetings and more intense review
- A Notice of Intent (NOI) must be published in the federal register before proceeding
- Involves a scoping meeting which takes place in the beginning of the process to gather thoughts and concerns from the public and other agencies
- Once the Draft EIS is completed a second public meeting is held to present the proposed project to the public and allow for comments
- Typical public review period is 45 days
- Gather any comments during the 45 days and address them in the Final EIS
- EIS process generally takes 10-14 months to complete
- Once complete a Record of Decision (ROD) is completed and put into the Federal register

Thank You!

Questions & Answers

