

From: [Jenkins, Joe \(NIH/NCI\) \[E\]](#)
To: [NCI DCTD-ARC](#)
Subject: FW: Draft NCI Guidance for Implementing the June 15, 2012 Guidance of the DHHS Efficient spending Policy - Final Draft
Date: Wednesday, July 11, 2012 9:34:44 AM
Attachments: [HHS Efficient Spending Policy - 07 June 2012.pdf](#)
[NIH Efficient Spending Policy 1-30-12final.docx](#)
[NIH Implementation Guidance of the DHHS Efficient Spending Policy 06 15 2012.docx](#)
[Route Slip for Meeting or Conference Request.doc](#)
[Attachment B - NIH Conference Request for Waiver Form.doc](#)
[Attachment A - NIH Conference Request and Approval Form.doc](#)
[Attachment C - NIH Conference Attendance Request and Approval Form.docx](#)

Just to clear the air...For Attachment C - I have received questions on if the "Two Attendee" rule is stated officially somewhere. Please see below.

Regards,

Joe

ARC Manager, DCTD
301-594-5965

From: Kiser, Susan (NIH/NCI) [E]
Sent: Tuesday, July 10, 2012 11:50 AM
To: Jenkins, Joe (NIH/NCI) [E]; Tobiassen, Bridgette (NIH/NCI) [E]; Osborne, Joy (NIH/NCI) [E]
Subject: FW: Draft NCI Guidance for Implementing the June 15, 2012 Guidance of the DHHS Efficient spending Policy - Final Draft

Below is the latest NCI guidance for how we will handle the process of requesting approval for conferences and travel to non-HHS meetings. In addition, to the guidance below I would like for our group to do the following:

For Attachment C – request to attend a non-HHS meeting, if your area has at least two travelers going to a non-HHS meeting please send a notice to the other Extramural ARC Managers (Joe, Bridgette, and Joy) as to their having any travelers going to the same meeting – and then after hearing back to send forward an e-mail to me stating that you talked to the other two Managers and this is the total we have for this meeting. Hopefully this will save on the number of e-mails about this type of meetings.

If you have any questions give me a call.

The purpose of this guidance is to provide you with the latest changes to the HHS and NIH guidance for Efficient Spending Policy. This policy applies to all funds appropriated by Congress (obligated after January 3, 2012), whether from an annual appropriation, multi-year appropriation, appointed user fee, gift funds, mandatory appropriation, royalty funds, CRADA funds, or reimbursements from such appropriations, etc. Attached you will find a copy of the DHHS (dated June 7, 2012) and NIH (June 15, 2012) Memorandums; the guidance also includes the 3 new forms

that must be used when requesting approval for conferences/meetings and travel to non-HHS sponsored meetings. The June guidance updates only portions of the earlier guidance on conference and meeting attendance. The earlier guidance still applies as it relates to food, promotional items, printing and publications. You are reminded that conference requests that include food as part of the total estimated cost will NOT be approved.

Please note that the conference spending moratorium issued May 21, 2012 is rescinded with the issuance of the NIH June 15, 2012 memorandum.

All planned conferences or meetings that have received NCI EO approval (via the previous conference form) before the issuance of this policy that have not yet taken place will be handled on a case-by-case basis. Please contact your ARC Director regarding any of those events. A decision will need to be made as to whether or not the event will need to be re-submitted for approval on the new conference form. The decision will be based on the amount of new obligations to be incurred for the event aside from HHS-funded travel costs.

The new guidance updated the definition of conference to be any meeting, retreat, seminar, symposium or event that involves attendee travel (including local travel and training conferences and where attended travel is funded by HHS). The term conference also applies to training activities that are considered to be conferences under 5 CFR 410.404. HHS interprets this definition to mean attendee travel that is funded by HHS, not an outside source and to include conferences held locally by the OPDIV or STAFFDIV. At this time, this also includes events where an invited guest speaker comes to give a scientific talk or present a recruitment seminar. NCI has requested a waiver to this single traveler type of event, but for now the policy applies.

Approval Levels:

1. Below \$25,000 – IC Executive Officer
2. \$25,000 - \$100,000 – NIH Director
3. \$100,000- \$499,999 – HHS Deputy Secretary
4. Over \$500,000 – HHS Secretary (waiver required)

Required forms:

1. **Attachment A:** NIH Conference/Meeting Approval Form – Shall be used to request approval for all NCI-sponsored conferences. Requests for approval of conferences requiring approval beyond the IC Executive Officer shall be submitted to the ARC for forwarding to the respective approving official NLT 60 calendar days in advance of issuance of a solicitation or obligation of funds. Requests requiring only the approval of the IC Executive Officer should be submitted to the ARC for forwarding within 50 days of the event. The form requests detailed cost information such as contractor/planner costs, registration website, speaker fees, federal attendee travel, non-federal attendee travel, registration fees, etc. Since the ADAO will be submitting any requests to NIH, if the request requires approval beyond the EO level, we will let the servicing ARC be aware of the status of package when sent forward and decision when returned. For those packages requiring just EO approval, ADAO will return the signed form as we currently do.

2. **Attachment B:** NIH Conference Request for Waiver – Shall be used if the amount of the event is estimated to be over \$500,000. Attachment A would be submitted along with Attachment B for approval.

3. **Attachment C:** NIH Conference Attendance Request and Approval – Shall be used for non-HHS sponsored conferences where the IC expects to send 5 or more attendees and/or where the expenditures are expected to be \$25,000 or more for any single conference. Due to our size, NCI is asking that a completed Attachment C be forwarded to the servicing ARC Manager no later than 70 days prior to the start of the trip if there are 2 or more travelers from any one branch/office planning to attend the same conference. The ARC Manager will forward to the servicing ARC Director, who will determine the total number of attendees from his/her serviced-division and forward to the ADAO. (CCR ARC travel contacts should refer to division-specific policy on submitting the Attachment C to the servicing ARC Director.) The ADAO will check with the rest of the IC to gather information on total number of potential travelers from NCI to the specific conference/meeting. If the number of travelers from NCI is 5 or more and/or the cost of the total travel from NCI is \$25,000 or more, the ADAO will forward the information via a consolidated attachment C to NIH for review and approval. Note: The request block on Attachment C should reflect the ARC Director's name

No registration fees may be paid or travel authorizations approved until the projected attendance has been approved. It is very important that this message get out to the program and administrative staff. Having paid for registration or making non-refundable travel arrangements will not be a reason to allow a traveler to proceed; the trip would be canceled and the monies would be lost. Decisions on approvals/non-approvals of these requests will be transmitted from the ADAO to ARC travel contacts with a cc to the appropriate ARC Manager and ARC Director.

NCI will be asking each Division to forecast their attendance to non-HHS sponsored conferences 6 months in advance due to these revised approval requirements. NCI is looking into developing a shared drive to post the travel projections to aid us in responding to the numerous anticipated short notice requests for information about upcoming conference/meetings due to the HHS approval requirement for each conference/meeting that might exceed 20 NIH attendees. Details on implementation of the shared drive are forthcoming.

NIH has determined that sponsored travel attendance should be included on Attachment C. If you have a mix between sponsored travel and DHHS paid travel for one conference, include the sponsored traveler(s) in the attendance number and any other expenses they may incur not paid by the sponsor. (Do not include the sponsor traveler(s) when figuring out an average cost that is paid by the sponsor.) This means that travelers cannot attempt to bypass the “number of attendees” requirement for non-HHS-funded meetings by performing sponsored travel rather than regular travel. The traveler performing sponsored travel will still be counted as an “attendee” of the meeting towards NCI’s total attendance, even though the expenses being paid by the sponsor won’t count towards the NCI estimated total cost.

The following types of gatherings are considered meetings and not conferences; therefore, Attachment A is not required. If, however, one of the following types of meetings is to be held in non-Federal space, the NIH 827-1 form must be completed and signed by the EO (authorized official under Part B.)

Advisory Committee and Federal Advisory Committee meetings

Solicitation/funding Opportunity Announcement review Board meetings

Peer review/Objective review panel meetings

Evaluation panel/board meetings

Program kick-off and review meetings (including those for grants and contracts)

Class room training available through Federal and commercial sources (such as Federal Acquisition Certification classes, supervisor classes etc.)

General staff meetings.

NCI will be posting frequently asked questions (FAQs) that staff can refer to on this new policy. In the meantime, if you have any questions please contact your servicing ARC Director.