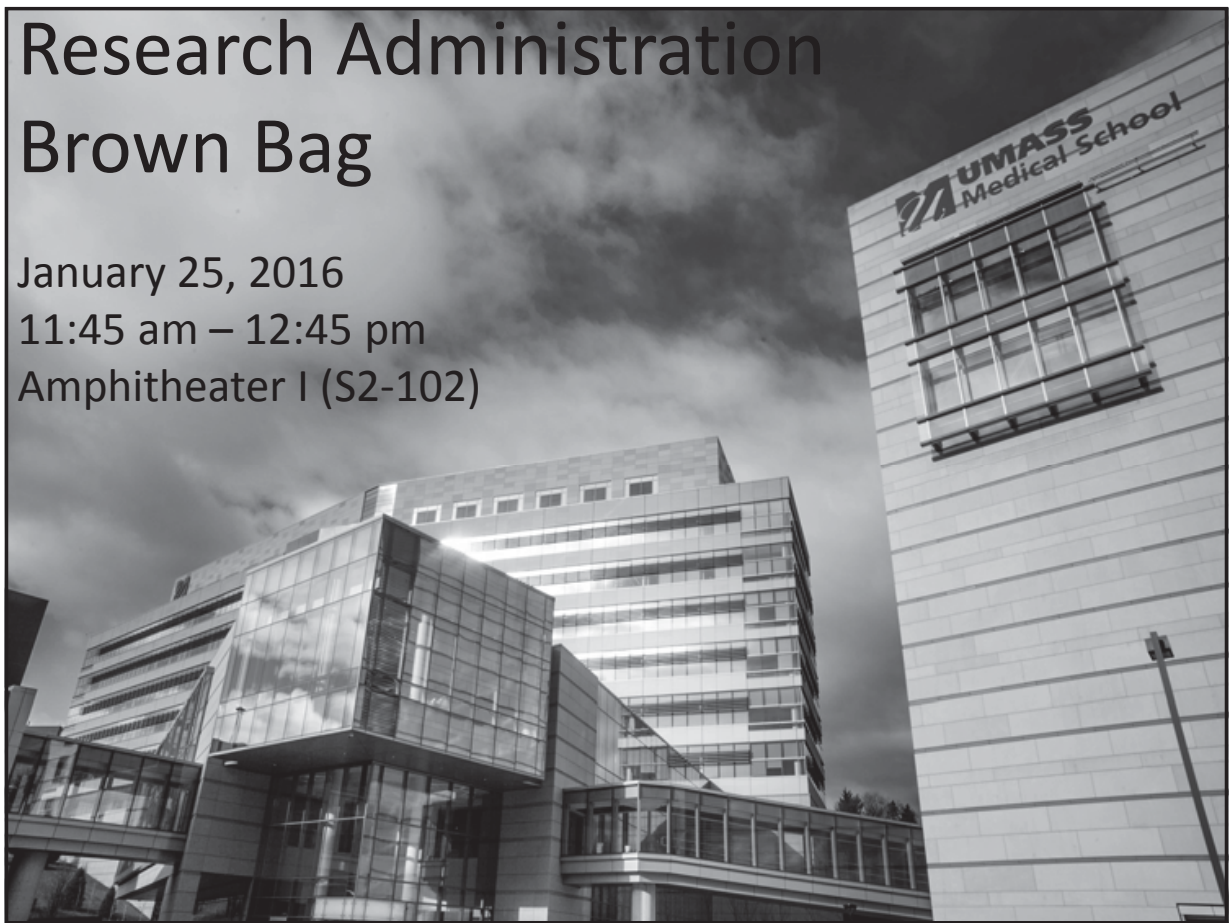


# Research Administration Brown Bag

January 25, 2016

11:45 am – 12:45 pm

Amphitheater I (S2-102)



## Agenda



- eSDFI Pilot Update
- NIH Update
  - FY16 Funding Levels
  - New Investigator Support
  - Ruth L. Kirschstein National Research Awards (NRSA) Stipend Increase
  - Revised Salary Cap Effective 1/10/16
  - Updates to NIH RPPR to Address Rigor and Transparency
  - UMMS Clarification on Reporting Unobligated Balances in the RPPR
  - K09 & K23 New Salary and Research Cost Allowances
  - New Authentication of Key Biological and/or Chemical Resources Attachment
  - Update - NIH allowing recipients to reduce effort during a NCE without prior approval
- Proposal & Progress Report Statistics

# eSDFI Pilot Update

- 4-5 departments began piloting the electronic Summary Disclosure of Financial Interests (SDFI) form this month.
- OSP and IT are collecting feedback from these units to determine next steps.

## NIH-FY16 Funding Levels

- NOT-OD-16-046
  - Non-competing continuation awards that have already been made in FY 2016 were generally funded at levels below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level) as described in NOT-OD-16-002.
  - In general, such reductions will be fully restored, and non-competing continuation grants (research and non-research) including those that remain to be issued in FY 2016 will be made at the commitment level indicated on the Notice of Award.
  - Out-year commitments for continuation awards in FY 2017 and beyond will remain unchanged.
  - Each NIH awarding Institute/Center will develop and post their fiscal policies consistent with overall NIH goals and available FY 2016 funds.

- NOT-OD-16-046
  - NIH will continue to support new investigators on R01 equivalent awards at success rates comparable to that of established investigators submitting new (Type 1) R01 equivalent applications.
  - Achievement of comparable success rates should permit the NIH to support new investigators in accordance with the policies established in FY 2009 and subsequent years as described at:
    - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-013.html>
    - and at:  
[http://grants.nih.gov/grants/new\\_investigators/index.htm](http://grants.nih.gov/grants/new_investigators/index.htm)

## NIH-Kirschstein NRSA Update

- NOT-OD-16-047
  - Establishes stipend levels for FY 2016
  - Training Related Expenses and the Institutional Allowance for Postdoctoral Trainees and Fellows have been increased
  - Training Related Expenses and the Institutional Allowance for Predoctoral Trainees remain unchanged
  - Tuition and Fees for all educational levels remain unchanged
  - The full Notice and stipend level tables are included in the presentation handout

# NIH-Salary Cap

- NOT-OD-16-045 (12/24/15)
  - The Appropriations Act approved in December raised the Executive Level II salary cap to \$185,100 effective January 10, 2016.
  - Applicable salary cap should be determined based on the fiscal year rules and time periods outlined in the NIH Salary Cap Summary (see link below).

[http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm)

## Updates to NIH RPPR to Address Rigor and Transparency

- NOT-OD-16-031
  - This notice informs the biomedical and health services research community of planned changes to the RPPR instructions for all annual non-competing (Type 5) NIH & AHRQ awards that support research activities.
  - These updates to address Rigor and Transparency will take effect for RPPRs due on or after January 25, 2016.
  - They will clarify long-standing expectations to ensure that NIH is funding the best and most rigorous science,
  - highlight the need for awardees to describe details that may have been previously overlooked,
  - prepare non-competing renewals for the next competitive renewal, and will help NIH implement and evaluate the policy for both current and new awards.

## Updates to NIH RPPR to Address Rigor and Transparency (cont'd)

- Implementation:

### **Updates to Section B - Accomplishments**

By 1/25/16, RPPR instructions will be updated to include the following additional guidance for 6.2 Section B - Accomplishments, in addition to the existing instructions.

Progress reports submitted on or after 1/25/16 that are initiated prior to the instruction updates may use the current forms while following these additional instructions. The instructions that will address rigor are listed below:

- B.2 What was accomplished under these goals?
- Include the approaches taken to ensure robust and unbiased results.
- B.6 What do you plan to do for the next reporting period to accomplish these goals?
- Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased.

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## UMMS Clarification on Reporting Unobligated Balances in the RPPR

- RPPR Question G10:
- Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total approved budget?
- Current Year Total Approved Budget
  - NIH expects us to calculate the 25% threshold by adding the current year budget plus the approved carryover from the most recent prior period.

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## New Salary and Research Cost Allowances for K08 & K23 Career Development Awards



- NOT-OD-16-054
  - Effective with new (Type 1) K08 and K23 applications due on February 12, 2016, and subsequently, several NIH Institutes and Centers will increase the contribution toward the K awardee's salary support for the requested effort (e.g., 9 person months, equivalent to 75% full-time professional effort devoted to research and career development) to a base level of \$100,000. It should be noted that a number of ICs already contribute salary at this level or higher, and this policy does not impact their current practice. This policy applies to new (Type 1) applications as well as all continuation (Type 5) applications submitted for FY 2017 funding.
  - The NIH salary contribution toward the K awardee's salary is intended to offset only that portion of the salary that is devoted to research and career development. In addition, in some cases, the awardee's salary may be such that the calculated NIH salary contribution for the requested effort is less than or exceeds \$100,000.
  - Please refer to the Notice included in the presentation appendix for examples and scenarios.

## New Authentication of Key Biological and/or Chemical Resources Attachment



- NOT-OD-16-011 - Applications due on or after 1/25/16, except for training grants and individual fellowships must include a new PDF attachment related to the authentication of key biological and/or chemical resources.
  - Briefly describe methods to ensure the identity and validity of key biological and/or chemical resources used in the proposed studies.
  - Key biological and/or chemical resources may or may not be generated with NIH funds and:
    1. may differ from laboratory to laboratory or over time;
    2. may have qualities and/or qualifications that could influence the research data;
    3. and are integral to the proposed research.
  - These include, but are not limited to, cell lines, specialty chemicals, antibodies, and other biologics.
  - In Cayuse: Upload PDF document (titled "Authentication of Key Resources Plan") in the "Other Attachments" section of the "Other Project Information" form.

- This new flexibility is effective for all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2015
- Grants and cooperative agreements with budget periods beginning before 10/1/15 will still require prior approval

PROPOSAL SUBMISSIONS TO OSP  
December 2014 – December 2015

	December 2014	January 2015	February 2015	March 2015	April 2015	May 2015	June 2015	July 2015	August 2015	September 2015	October 2015	November 2015	December 2015
Count	62	119	117	89	72	69	111	90	62	112	129	60	67
On Time	50%	54%	40%	47%	33%	39%	55%	47%	47%	52%	43%	37%	42%
Late	48%	42%	56%	46%	63%	58%	42%	47%	52%	43%	56%	60%	54%
After the fact	2%	4%	4%	7%	4%	3%	3%	6%	2%	5%	1%	3%	4%
Withdrawn	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Expedited Request (3 days or less)	29%	28%	44%	34%	34%	35%	23%	33%	39%	31%	39%	40%	33%

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.



# SUBMISSIONS TO OSP

## December 2014 to December 2015 Comparison

PROPOSALS	2014	2015	Change
Count	62	67	+5
On Time	50%	42%	-8
Late	48%	54%	+6
After the fact	2%	4%	+2
Withdrawn	0%	0%	-
<b>Total</b>	<b>100%</b>	<b>100%</b>	-
Expedited Request (3 days or less)	29%	33%	+4

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.

# PROGRESS REPORT SUBMISSIONS TO OSP

## December 2014 – December 2015

	December 2014	January 2015	February 2015	March 2015	April 2015	May 2015	June 2015	July 2015	August 2015	September 2015	October 2015	November 2015	November 2015
Count	26	33	33	50	50	52	53	32	11	19	30	19	
On Time	31%	61%	46%	42%	50%	46%	38%	38%	27%	37%	43%	26%	%
Late	61%	30%	39%	52%	40%	37%	51%	37%	46%	47%	40%	63%	%
After the fact	8%	9%	15%	6%	10%	17%	11%	25%	27%	16%	17%	11%	%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Expedited Request (3 days or less)	46%	18%	27%	38%	36%	19%	38%	31%	36%	26%	20%	58%	%

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.



# SUBMISSIONS TO OSP

December 2014 to December 2015 Comparison

PROGRESS REPORTS	2014	2015	Change
Count	26	27	+1
On Time	31%	41%	+10
Late	61%	52%	-9
After the fact	8%	7%	-1
Withdrawn	0%	0%	-
<b>Total</b>	<b>100%</b>	<b>100%</b>	-
Expedited Request (3 days or less)	46%	41%	-5

On Time: Received by OSP 5 days prior to the requested return date.

Late: Received by OSP less than 5 days prior to the requested return date.

After the Fact: Received by OSP after the requested return date.

Expedited Request: Received by OSP with 3 days or less to review before requested return date.



# APPENDIX

## NIH Fiscal Policy for Grant Awards - FY 2016

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Notice Number: NOT-OD-16-046

### Key Dates

**Release Date:** January 20, 2016

### Related Announcements

[NOT-OD-16-047](#)

[NOT-OD-16-045](#)

[NOT-OD-16-044](#)

[NOT-OD-16-002](#)

### Issued by

National Institutes of Health ([NIH](#))

### Purpose

This Notice provides guidance about the NIH Fiscal Operations for FY 2016 and implements the Consolidated Appropriations Act, 2016 (Public Law 114-113), signed by President Obama on December 18, 2015. With the passage of the Act, NIH has \$32.31 billion in budget authority or equivalent (program level), an increase of \$2 billion over FY 2015. The NIH will continue to manage its portfolio in biomedical research investments in a manner that includes recognizing applications from and providing special incentives for new investigators.

The following NIH fiscal policies are instituted in FY 2016:

**FY 2016 Funding Levels:** Non-competing continuation awards that have already been made in FY 2016 were generally funded at levels below that indicated on the most recent Notice of Award (generally up to 90% of the previously committed level) as described in [NOT-OD-16-002](#). In general, such reductions will be fully restored, and non-competing continuation grants (research and non-research) including those that remain to be issued in FY 2016 will be made at the commitment level indicated on the Notice of Award. Any exceptions will be posted at the site listed under "Additional Information" below. Out-year commitments for continuation awards in FY 2017 and beyond will remain unchanged. The NIH awarding Institutes/Centers (IC) will develop and post their fiscal policies consistent with overall NIH goals and available FY 2016 funds.

**Ruth L. Kirschstein National Research Service Awards (NRSA):** Consistent with the 2016 Consolidated Appropriations Act and with the recommendations of the [Advisory Committee to the Director](#) regarding the [Biomedical Research Workforce](#), the NIH will increase NRSA stipends by approximately 2 percent on average. The full range of stipend adjustments for FY 2016 is described at [NOT-OD-16-047](#).

**New Investigators:** NIH will continue to support new investigators on R01 equivalent awards at success rates comparable to that of established investigators submitting new (Type 1) R01 equivalent applications. Achievement of comparable success rates should permit the NIH to support new investigators in accordance with the policies established in FY 2009 and subsequent years as described at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-013.html> and at [http://grants.nih.gov/grants/new\\_investigators/index.htm](http://grants.nih.gov/grants/new_investigators/index.htm).

**Salary Limits:** Section 202 of the Consolidated Appropriations Act, 2016 prohibits payments for salaries

under grants and other extramural mechanisms in excess of [Executive Level II](#) previously set at \$183,300, and effective January 10, 2016, increased to \$185,100. See [NOT-OD-16-045](#) for additional information.

**Other Legislative Mandates:** Other statutory requirements are described in [NOT-OD-16-044](#).

**Additional Information:** Additional details on Fiscal Operations, including specific funding strategies for ICs will be posted at <http://grants.nih.gov/grants/financial/index.htm>.

#### Inquiries

Questions about specific awards may be directed to the Grants Management Specialist identified in the Notice of Award

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[Weekly TOC for this Announcement](#)  
[NIH Funding Opportunities and Notices](#)

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**Note:** For help accessing PDF, RTF, MS Word, Excel, PowerPoint, Audio or Video files, see [Help Downloading Files](#).



## Ruth L. Kirschstein National Research Service Award (NRSA) Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2016

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Notice Number: NOT-OD-16-047

### Key Dates

**Release Date:** January 20, 2016

### Related Announcements

[NOT-OD-16-046](#)

[NOT-OD-16-044](#)

[NOT-OD-16-045](#)

[NOT-OD-15-048](#)

### Issued by

National Institutes of Health ([NIH](#))

Agency for Healthcare Research and Quality ([AHRQ](#))

Health Resources Services Administration ([HRSA](#))

### Purpose

This Notice supersedes [NOT-OD-15-048](#), and establishes stipend levels for fiscal year (FY) 2016 Kirschstein-NRSA awards for undergraduate, predoctoral, and postdoctoral trainees and fellows, as shown in the table below. The Training Related Expenses and the Institutional Allowance for postdoctoral trainees and fellows have been increased. The Training Related Expenses and Institutional Allowances for predoctoral trainees and fellows and the Tuition and Fees for all educational levels remain unchanged. This Notice reflects the Consolidated Appropriations Act, 2016 (Public Law 114-113), signed into law on December 18, 2015. See [NOT-OD-16-045](#).

The budgetary categories described in this Notice apply only to Kirschstein-NRSA awards made with FY 2016 funds. All FY 2016 awards previously issued using [FY 2015 stipend levels](#) will be revised to adjust stipends to the FY 2016 level. Appointments to institutional training grants that have already been awarded in FY 2016 must be amended to reflect the FY 2016 stipend levels once the training grant award has been adjusted by the NIH. Amended appointments must be submitted through xTrain in the eRA Commons. Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2015 are not permitted.

### Stipends

Effective with all Kirschstein-NRSA awards made on or after October 1, 2015, the following annual stipend levels apply to all individuals receiving support through institutional research training grants or individual fellowships, including the Maximizing Access to Research Career (MARC) program.

Undergraduates in the MARC Program: For institutional training grants (T34), one stipend level is used for undergraduates in the Junior and Senior years.

Career Level	Stipend for FY 2016	Monthly Stipend
Juniors/Seniors	\$12,336	\$1,028

Predocutorial: For institutional training grants (T32, T35, T90, TL1) and individual fellowships (F30, F31), one stipend level is used for all predoctoral candidates, regardless of the level of experience.



Career Level	Years of Experience	Stipend for FY 2016	Monthly Stipend
Predoctoral	All	\$23,376	\$1,948

Postdoctoral: For institutional training grants, (T32, T90, TL1) and individual fellowships (F32), the stipend level for the entire first year of support is determined by the number of full years of relevant postdoctoral experience when the award is issued. Relevant experience may include research experience (including industrial), teaching assistantship, internship, residency, clinical duties, or other time spent in a health-related field beyond that of the qualifying doctoral degree. Once the appropriate stipend level has been determined, the fellow must be paid at that level for the entire grant year. The stipend for each additional year of Kirschstein-NRSA support is the next level in the stipend structure and does not change mid-year.

Career Level	Years of Experience	Stipend for FY 2016	Monthly Stipend
Postdoctoral	0	\$43,692	\$3,641
	1	\$45,444	\$3,787
	2	\$47,268	\$3,939
	3	\$49,152	\$4,096
	4	\$51,120	\$4,260
	5	\$53,160	\$4,430
	6	\$55,296	\$4,608
	7 or More	\$57,504	\$4,792

Senior Fellows (F33 only): The stipend level must be commensurate with the base salary or remuneration that would have been paid by the institution with which the individual is permanently affiliated when the award is issued, but cannot exceed the current Kirschstein-NRSA stipend limit set by the NIH for those with 7 or more years of experience. The level of Kirschstein-NRSA support will take into account concurrent salary support provided by the institution and the policy of the sponsoring institution. NIH support does not provide fringe benefits for senior fellows.

### Relevant Policies

Current stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

NRSA support is limited to 5 years for predoctoral trainees (6 years for dual-degree training, e.g., MD/PhD, DO/PhD, DDS/PhD, AuD/PhD, DVM/PhD), and 3 years for postdoctoral fellows. The NIH provides eight levels of postdoctoral stipends to accommodate individuals who complete other forms of health-related training prior to accepting a Kirschstein-NRSA supported position. (The presence of eight discrete levels of experience, however, does not constitute an endorsement of extended periods of postdoctoral research training.)

It should be noted that the maximum amount that NIH will award to support the compensation package for a graduate student research assistant remains at the zero level postdoctoral stipend, as described in [NOT-OD-02-017](#).

### Tuition and Fees, Training Related Expenses, and Institutional Allowance for Kirschstein-NRSA Recipients

The NIH will provide funds for Tuition and Fees, Training Related Expenses, and Institutional Allowance as detailed below. Those amounts for tuition do not change but the Training Related Expenses and the Institutional Allowance for postdoctoral trainees and fellows are increased by \$1,000 with the

implementation of the FY 2016 budget in accordance with recommendations in the [Biomedical Workforce Task Force Report](#).

## A. Tuition and Fees

- Undergraduate and Predoctoral Trainees and Fellows: For institutional training grants (T32, T34, T35, T90, TL1) and individual fellowships (F30, F31), an amount per predoctoral trainee equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided. If the trainee or fellow is enrolled in a program that supports formally combined, dual-degree training (e.g., MD/PhD, DO/PhD, DDS/PhD, AuD/PhD, DVM/PhD), the amount provided per trainee or fellow will be 60% of the level requested, up to \$21,000 per year.
- Postdoctoral Trainees and Fellows: For institutional training grants (T32, T90, TL1) and individual fellowships (F32, F33), an amount per postdoctoral trainee or fellow equal to 60% of the level requested by the applicant institution, up to \$4,500 per year, will be provided. If the trainee or fellow is enrolled in a program that supports postdoctoral individuals in formal degree-granting training, an amount per postdoctoral trainee or fellow equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided.

## B. Training Related Expenses on Institutional Training Grants

- For institutional training grants (T32, T35, T90, TL1), these expenses (including health insurance costs) for predoctoral and postdoctoral trainees will be paid at the amounts shown below for all competing and non-competing awards made with FY 2016 funds.
- *Predoeoral Trainees*: \$4,200
- *Postdoctoral Trainees*: \$8,850

## C. Institutional Allowance for Individual Fellows

This allowance for predoctoral and postdoctoral fellows will be paid at the amounts shown below for all competing and non-competing awards made with FY 2016 funds.

- Institutional Allowance for individual fellows (F30, F31, F32, F33) sponsored by non-Federal Public, Private, and Non-Profit Institutions (Domestic & Foreign, including health insurance):
- *Predoeoral Fellows*: \$4,200
- *Postdoctoral Fellows*: \$8,850
- Institutional Allowance for individual fellows (F30, F31, F32, F33) sponsored by Federal and For-Profit Institutions (including health insurance):
- *Predoeoral Fellows*: \$3,100
- *Postdoctoral Fellows*: \$7,750

## Inquiries

See Frequently Asked Questions Related to NRSA Tuition, Fees, and Health Insurance Policies: [http://grants.nih.gov/training/nrsa\\_tuition\\_q&a.htm](http://grants.nih.gov/training/nrsa_tuition_q&a.htm).

Specific questions concerning this notice or other policies relating to training grants or fellowships should be directed to the grants management office in the appropriate NIH Institute or Center, AHRQ, or HRSA.

General inquiries concerning NRSA stipend and tuition policies should be directed to:

Division of Biomedical Research Workforce



## Notice on Salary Limitation on Grants, Cooperative Agreements, and Contracts

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Notice Number: NOT-OD-16-045

### Key Dates

**Release Date:** December 24, 2015

### Related Announcements

[NOT-OD-16-046](#)

[NOT-OD-16-047](#)

[NOT-OD-16-044](#)

### Issued by

National Institutes of Health ([NIH](#))

### Purpose

This Notice provides information regarding the salary limitation for NIH grant and cooperative agreement awards and extramural research and development contract awards (referred to here as grants). For FY 2016, the Consolidated Appropriations Act, 2016 (Public Law 114-113), signed into law on December 18, 2015, restricts the amount of direct salary to Executive Level II of the Federal Executive pay scale. The Executive Level II salary is currently set at \$183,300, increasing to \$185,100 effective January 10, 2016.

### Background

Every year beginning 1990, Congress has legislatively mandated a provision limiting the direct salary that an individual may receive under an NIH grant. For FY 2015, the Consolidated Appropriations Act, 2015 (Public Law 113-235), signed into law on December 16, 2014, restricted the amount of direct salary to Executive Level II of the Federal Executive pay scale. The Executive Level II salary was \$183,300. This information was published December 30, 2014 in the NIH Guide for Grants and Contracts ([NOT-OD-15-049](#)).

For the purposes of the salary limitation, the terms "direct salary," "salary," and "institutional base salary" have the same meaning and are exclusive of fringe benefits and facilities and administrative (F&A) expenses, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of the duties to the applicant organization.

NIH grant/contract awards for applications/proposals that request direct salaries of individuals in excess of the applicable RATE per year will be adjusted in accordance with the legislative salary limitation and will include a notification such as the following: None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable salary cap. Please see the salary cap summary and the time frames associated with salary caps at [http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm).

Implementation of salary limitation for NIH grant and cooperative agreement awards and extramural research and development contract awards:

No adjustments will be made to modular grant applications/awards or to previously established

commitment levels for non-competing grant awards issued with FY 2016 funds.

NIH competing grant awards with categorical budgets reflecting salary levels at or above the new cap(s) that are issued on or after the January 10, 2016 effective date, will reflect adjustments to the current and all future years so that no funds are awarded or committed for salaries over the limitation.

For awards issued in those years that were restricted to Executive Level II (see [Salary Cap Summary, FY 1990 – FY 2016](#)), including competing awards already issued in FY2016, if adequate funds are available in active awards, and if the salary cap increase is consistent with the institutional base salary, grantees may rebudget to accommodate the current Executive Level II salary level and contractors may charge at the higher level. However, no additional funds will be provided to these grant awards and the total estimated cost of the contract will not be modified.

An individual's base salary, per se, is NOT constrained by the legislative provision for a limitation of salary. The rate limitation simply limits the amount that may be awarded and charged to NIH grants and contracts. An institution may pay an individual's salary amount in excess of the salary cap with non-federal funds.

The salary limitation does NOT apply to payments made to consultants under an NIH grant although, as with all costs, those payments must meet the test of reasonableness and be consistent with institutional policy.

The salary limitation provision DOES apply to subawards/subcontracts for substantive work under an NIH grant or contract.

Competing grant applications and contract proposals that include a categorical breakdown in the budget figures/business proposal should continue to reflect the actual institutional base salary of all individuals for whom reimbursement is requested. In lieu of actual base salary; however, applicants/offerors may elect to provide an explanation indicating that actual institutional base salary exceeds the current salary limitation. When this information is provided, NIH staff will make necessary adjustments to requested salaries prior to award.

## Questions & Answers

1. Q: If a grant award (competing or non-competing) has already been issued in FY 2016, will an adjustment be made?

A: No adjustments will be made. However, rebudgeting is allowable.

2. Q: Can I rebudget grant funds or charge contracts issued in prior years (see [Salary Cap Summary, FY 1990 – FY 2016](#)) funds to allow for the 2016 salary cap increase?

A: Yes, provided funds are available and the increase is warranted. Prorated figures should be used for the applicable months, i.e., the \$185,100 level is effective beginning January 10, 2016.

3. Q: If an application/proposal fails to provide needed salary information, will an adjustment be made based on the new rates?

A: No adjustment will be made if an application fails to provide adequate information regarding the individual's actual salary level.

4. Q: Does the NIH appropriation language link the salary cap to a Federal Executive Level or to a dollar level?

A: The link is to the Federal Executive Level pay scale (i.e., Executive Level I for FYs 2001-2011,



Executive Level II for FYs 2012-2016).

5. Q: As the cap is linked to Federal Executive Levels, can grantees/contractors with ongoing awards rebudget/charge up to the various salary caps, based on the fiscal year of the award and the time the salary expense is incurred?

A: Yes, salary may be charged in accordance with the FY cap(s), as long as the levels are consistent with the individual's institutional base pay. Please refer to the salary cap summary with times frames for existing salary caps, at: [http://grants.nih.gov/grants/policy/salcap\\_summary.htm](http://grants.nih.gov/grants/policy/salcap_summary.htm).

6. Q: Will grantees be permitted to submit revised categorical budgets reflecting higher base salaries?

A: Not as a general rule. NIH policy for categorical budgets states that grantees should always reflect actual base salaries in the requested budgets or provide an explanation indicating that actual institutional base salary exceeds the current salary limitation. As a general rule, NIH will use the information available in the existing application and make adjustments for the salary cap based on information available at the time of award.

The following are examples of the adjustments that NIH will make when salaries exceed the current salary limitation:

Example 1. Individual with Full-Time Appointment (based on grant award/contract issued on or after January 10, 2016 with salary limitation of \$185,100)

Individual's institutional base salary for a FULL-TIME calendar year appointment	\$ 200,000
Research effort requested in application/proposal - 6 months (50%)	
Direct Salary requested	\$ 100,000
Fringe benefits requested (25% of salary)	\$ 25,000
Subtotal	\$ 125,000
Applicant organization's F&A (indirect) costs at a rate of 45% of subtotal	\$ 56,250
Amount requested - salary plus fringe benefits plus associated F&A (indirect) costs	\$ 181,250
If a grant/contract is to be funded, the amount included for the above individual will be calculated as follows:	
Direct salary - restricted to a RATE of	\$ 185,100
Divided by 12 months multiplied by 6 months (50%)	\$ 92,550
Fringe benefits (25% of allowable salary)	\$ 23,137
Subtotal	\$ 115,687
Associated F&A (indirect) costs at 45% of subtotal	\$ 52,059
Total amount to be awarded due to salary limitation	\$ 167,746
Amount of reduction due to salary limitation	
(\$181,250 requested minus \$167,746 awarded)	\$ 13,504

Example 2. Individual with Half-Time Appointment (based on a grant award/contract issued on or after January 10, 2016 with salary limitation of \$185,100)

Individual's institutional base salary for a HALF-TIME calendar year appointment	\$ 100,000
Research effort requested in application/proposal - 1.8 months (30% of 6 months)	
Direct Salary requested	\$ 30,000
Fringe benefits requested (25% of salary)	\$ 7,500
Subtotal	\$ 37,500

Applicant organization's F&A (indirect) costs at a rate of 45% of subtotal	\$ 16,875
Amount requested - salary plus fringe benefits	
plus associated F&A (indirect) costs	\$ 54,375
If a grant/contract is to be funded, the amount included in the award for the above individual will be calculated as follows:	
Direct salary - restricted to a RATE of	\$ 92,550
Divided by 6 months multiplied by 1.8 months (30%)	\$ 27,765
Fringe benefits (25% of allowable salary)	\$ 6,941
Subtotal	\$ 34,706
Associated F&A (indirect) cost at 45% of subtotal	\$ 15,618
Total amount to be awarded due to salary limitation	\$ 50,326
Amount of reduction due to salary limitation	
(\$54,375 requested minus \$50,326 awarded)	\$ 4,049

Example 3. Individual with a Nine-Month Appointment (based on a grant award/contract issued on or after January 10, 2016 with salary limitation of \$185,100)

Individual's institutional base salary for a nine-month calendar year appointment	\$ 150,000
Research effort requested in application/proposal - 2.7 months (30% of 9 months)	
Direct Salary requested	\$ 45,000
Fringe benefits requested (25% of salary)	\$ 11,250
Subtotal	\$ 56,250
Applicant organization's F&A (indirect) costs at a rate of 45% of subtotal	\$ 25,313
Amount requested - salary plus fringe benefits	
Plus associated F&A (indirect) costs	\$ 81,563
If a grant/contract is to be funded, the amount included in the award for the above individual will be calculated as follows:	
Direct salary - restricted to a RATE of	\$ 138,825
Divided by 9 months multiplied by 2.7 months (30%)	\$ 41,648
Fringe benefits (25% of allowable salary)	\$ 10,412
Subtotal	\$ 52,060
Associated F&A (indirect) cost at 45% of subtotal	\$ 23,427
Total amount to be awarded due to salary limitation	\$ 75,487
Amount of reduction due to salary limitation	
(\$81,563 requested minus \$75,487 awarded)	\$ 6,076

## Inquiries

Division of Grants Policy  
Office of Policy for Extramural Research Administration (OPERA)  
Office of Extramural Research  
National Institutes of Health  
Telephone: 301-435-0949  
Email: [GrantsPolicy@od.nih.gov](mailto:GrantsPolicy@od.nih.gov)

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## Salary Cap Summary (FY 1990 - Present)

### FY 2016 Awards Issued

October 1, 2015 through January 9, 2016 (Executive Level II)	\$183,300
January 10, 2016 through September 30, 2016 (Executive Level II)	\$185,100

### FY 2015 Awards Issued

October 1, 2014 through January 10, 2015 (Executive Level II)	\$181,500
January 11, 2015 through September 30, 2015 (Executive Level II)	\$183,300

### FY 2014 Awards Issued

October 1, 2013 through January 11, 2014 (Executive Level II)	\$179,700
January 12, 2014 through September 30, 2014 (Executive Level II)	\$181,500

### FY 2013 Awards Issued

October 1, 2012 through September 30, 2013 (Executive Level II)	\$179,700
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### FY 2012 Awards Issued

October 1, 2011 through December 22, 2011 (Executive Level I)	\$199,700
December 23, 2011 through September 30, 2012 (Executive Level II)	\$179,700
<ul style="list-style-type: none"> <li><a href="#">Frequently Asked Questions</a></li> </ul>	

### FY 2011 Awards (Executive Level I)

October 1, 2010 through September 30, 2011	\$199,700
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### FY 2010 Awards (Executive Level I)

October 1, 2009 through December 31, 2009	\$196,700
January 1, 2010 through December 31, 2010	\$199,700

### FY 2009 Awards (Executive Level I)

October 1, 2008 through December 31, 2008	\$191,300
January 1, 2009 through December 31, 2009	\$196,700

### FY 2008 Awards (Executive Level I)

October 1, 2007 through December 31, 2007	\$186,600
January 1, 2008 through December 31, 2008	\$191,300

### FY 2007 Awards (Executive Level I)

October 1, 2006 through December 31, 2006	\$183,500
January 1, 2007 through December 31, 2007	\$186,600

**FY 2006 Awards** (Executive Level I)

October 1, 2005 through December 31, 2005	\$180,100
January 1, 2006 through December 31, 2006	\$183,500

**FY 2005 Awards** (Executive Level I)

October 1, 2004 through December 31, 2004	\$175,700
January 1, 2005 through December 31, 2005	\$180,100

**FY 2004 Awards** (Executive Level I)

October 1, 2003 through December 31, 2003	\$171,900
January 1, 2004 through December 31, 2004	\$175,700 *

\* \$174,500 used for calculation from 1/1/04 - 3/2/04; \$175,700 approved 3/3/2004.

**FY 2003 Awards** (Executive Level I)

October 1, 2002 through December 31, 2002	\$166,700
January 1, 2003 through December 31, 2003	\$171,900

**FY 2002 Awards** (Executive Level I)

October 1, 2001 through December 31, 2001	\$161,200
January 1, 2002 through December 31, 2002	\$166,700

**FY 2001 Awards** (Executive Level I)

October 1, 2000 through December 31, 2000	\$157,000
January 1, 2001 through December 31, 2001	\$161,200
January 1, 2002 through December 31, 2002	\$166,700

**FY 2000 Awards** (Executive Level II)

October 1, 1999 through December 31, 1999	\$136,700
January 1, 2000 through December 31, 2000	\$141,300
January 1, 2001 through December 31, 2001	\$145,100

**FY 1999 Awards** (Executive Level III)

October 1, 1998 through December 31, 1999	\$125,900
January 1, 2000 through December 31, 2000	\$130,200

**FY 1992 - FY 1998 Awards** (\$125,000 - Not Tied to Executive Level)

October 1, 1991 through September 30, 1998	\$125,000
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**FY 1990 - FY 1991 Awards** (\$120,000 - Not Tied to Executive Level)

October 1, 1989 through September 30, 1991	\$120,000
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Send Questions or Comments to [NIH Grants Policy Help E-mail Address](#).

## Updates to NIH & AHRQ Research Performance Progress Reports (RPPR) to Address Rigor and Transparency

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Notice Number: NOT-OD-16-031

### Key Dates

**Release Date:** December 15, 2015

**Effective Date:** January 25, 2016

### Related Announcements

[NOT-OD-15-103](#)

[NOT-OD-15-102](#)

[NOT-OD-16-004](#)

[NOT-OD-16-005](#)

[NOT-OD-16-011](#)

[NOT-OD-16-012](#)

### Issued by

National Institutes of Health ([NIH](#)))

Agency for Healthcare Research and Quality (AHRQ)

### Purpose

This notice informs the biomedical and health services research community of planned changes to the PHS Research Performance Progress Report (RPPR) instructions for all annual non-competing (Type 5) NIH & AHRQ awards that support research activities.

These updates to address Rigor and Transparency will take effect for RPPRs due on or after January 25, 2016.

### Background

NIH's mission is to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability. Key to the successful application of that knowledge toward health outcomes is scientific rigor in conducting biomedical research. One of NIH's four stated goals is to exemplify and promote the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science (see <http://www.nih.gov/about/mission.htm>).

These RPPR updates for rigor and transparency:

- clarify long-standing expectations to ensure that NIH is funding the best and most rigorous science,
- highlight the need for awardees to describe details that may have been previously overlooked,
- prepare non-competing renewals for the next competitive renewal, and
- will help NIH implement and evaluate the policy for both current and new awards.

### Implementation

Updates to Section B - Accomplishments

By January 25, 2016, the Research Performance Progress Report (RPPR) instructions will be updated to include the following additional guidance for 6.2 Section B - Accomplishments, in addition to the existing instructions. Progress reports submitted on or after January 25, 2016 that are initiated prior to the instruction updates may use the current forms while following these additional instructions. The instructions that will address rigor are listed below for your convenience.

## B.2 What was accomplished under these goals?

Include the approaches taken to ensure robust and unbiased results.

## B.6 What do you plan to do for the next reporting period to accomplish these goals?

Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased.

## Resources

- [Website](#) describing reproducibility efforts for NIH applicants and grantees
- [Principles and Guidelines for Reporting Preclinical Research](#)
- [General Policy Overview](#) (~30 minute narrated presentation)
- [Frequently Asked Questions](#)

## Inquiries

Please direct all inquiries to:

[reproducibility@nih.gov](mailto:reproducibility@nih.gov)

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**Note:** For help accessing PDF, RTF, MS Word, Excel, PowerPoint, Audio or Video files, see [Help Downloading Files](#).

## Clarification: New Salary and Research Cost Allowances for K08 and K23 Career Development Awards

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Notice Number: NOT-OD-16-054

### Key Dates

**Release Date:** January 20, 2016

### Related Announcements

[NOT-OD-16-032](#)

### Issued by

National Institutes of Health ([NIH](#))

### Purpose

The purpose of this Guide Notice is to clarify the previous Notice ([NOT-OD-16-032](#)) announcing new NIH policy on salary and research cost allowances for K08 and K23 awards.

### Background

In June 2014, a Working Group of the Advisory Committee to the NIH Director (ACD) issued a report on the Physician Scientist Workforce (<http://acd.od.nih.gov/psw.htm>). The Working Group identified several challenges confronting physician-scientists, including individuals with MD, DO, DDS/DMD, DVM/VMD, or nurses with research doctoral degrees who devote the majority of their time to biomedical research. The Working Group made several recommendations to the ACD about the funding and training of physician scientists in order to attract and retain well-qualified individuals in research careers, including the modification of some current NIH programs.

### Implementation

Effective with new (Type 1) K08 and K23 applications due on February 12, 2016, and subsequently, several NIH Institutes and Centers (ICs) will increase the contribution toward the K awardee's salary support for the requested effort (e.g., 9 person months, equivalent to 75% full-time professional effort devoted to research and career development) to a base level of \$100,000. It should be noted that a number of ICs already contribute salary at this level or higher, and this policy does not impact their current practice. This policy applies to new (Type 1) applications as well as all continuation (Type 5) applications submitted for FY 2017 funding.

The NIH salary contribution toward the K awardee's salary is intended to offset only that portion of the salary that is devoted to research and career development. In addition, in some cases, the awardee's salary may be such that the calculated NIH salary contribution for the requested effort is less than or exceeds \$100,000. The following examples are provided to clarify how the increased salary contribution of up to \$100,000 for 75% effort may be calculated dependent on the awardee's salary:

#### *Scenario 1:*

- Institutional base salary = \$125,000
- \$125,000 x 75% = \$93,750
- NIH contribution = \$93,750

#### *Scenario 2:*

- Institutional base salary = \$155,000

- $\$155,000 \times 75\% = \$116,250$
- NIH contribution = \$100,000

In addition, ICs may, at their discretion, annually increase their salary and research cost contributions for their K08 and K23 awards.

Applicants and awardees are encouraged to consult each funding opportunity announcement and contact appropriate IC staff to determine the salary and research cost contributions for their K08 and K23 applications or awards:

- K08: [http://grants.nih.gov/grants/guide/contacts/parent\\_K08.html](http://grants.nih.gov/grants/guide/contacts/parent_K08.html)
- K23: [http://grants.nih.gov/grants/guide/contacts/parent\\_K23.html](http://grants.nih.gov/grants/guide/contacts/parent_K23.html)

## Inquiries

Please direct all inquiries to:

The Division of Biomedical Research Workforce  
Office of Extramural Programs (OEP)  
Email: [NIHTrain@mail.nih.gov](mailto:NIHTrain@mail.nih.gov)

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**Note:** For help accessing PDF, RTF, MS Word, Excel, PowerPoint, Audio or Video files, see [Help Downloading Files](#).

## Implementing Rigor and Transparency in NIH & AHRQ Research Grant Applications

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Notice Number: NOT-OD-16-011

### Key Dates

**Release Date:** October 9, 2015

### Related Announcements

[NOT-OD-16-058](#)

[NOT-OD-16-034](#)

[NOT-OD-16-011](#)

[NOT-OD-16-031](#)

[NOT-OD-16-012](#)

[NOT-OD-16-005](#)

[NOT-OD-16-004](#)

[NOT-OD-15-103](#)

[NOT-OD-15-102](#)

### Issued by

National Institutes of Health ([NIH](#))

Agency for Healthcare Research and Quality ([AHRQ](#))

### Purpose

This notice informs the biomedical research community of updates to application instructions and review language intended to enhance the reproducibility of research findings through increased scientific rigor and transparency. These updates will take effect for most\* research grant applications (including small business and complex research grant applications) submitted for due dates on or after January 25, 2016. For research contracts, this policy will be effective for proposals received on/after January 25, 2016 and expected to result in contract awards in Fiscal Year 2017 and beyond.

### Updates include:

- Revisions to application guide instructions for preparing your research strategy attachment
- Use of a new "Authentication of Key Biological and/or Chemical Resources" attachment
- Additional rigor and transparency questions reviewers will be asked to consider when reviewing applications

These updates focus on four areas deemed important for enhancing rigor and transparency:

- 1) the scientific premise forming the basis of the proposed research,
- 2) rigorous experimental design for robust and unbiased results,
- 3) consideration of relevant biological variables, and
- 4) authentication of key biological and/or chemical resources.

The basic principles of rigor and transparency and the four areas of focus apply to the full spectrum of research, from basic to clinical. Investigators will need to consider how all four areas apply to their proposed research. Likewise, reviewers will assess whether these areas have been appropriately addressed by the applicant through revised language defining the peer review criteria.

### \*Notes & Exceptions:



- Research grant activity codes excluded from this policy include C06, G08, G11, G12, G13, G20, R13, S06, S10, S21, SB1, U13, U55, UB1, UC6, UC7, UG4, UH4, X02, and 333.
- Research Resource and Related grants or components (P30, P40, P41, P2C, R24, R28, U24, U41, U42, and U2C) may have slightly revised review language; please refer to the Funding Opportunity Announcement.
- Refer to NOT-OD-16-012 for updates to Career Development Award application instructions and review language.
- Fellowship and Training grant applications submitted for the May 25, 2016 due date and beyond will include new instructions and review criteria to address this policy. Details on these changes will be available by December 2015.

## Implementation for Grant Applications

### Updates to Research Strategy Guidance

By November 25, 2015 application guide instructions will be updated to include the following additional guidance for the Significance and Approach sections of the Research Strategy, in addition to the existing instructions.

#### Significance

Describe the scientific premise for the proposed project, including consideration of the strengths and weaknesses of published research or preliminary data crucial to the support of your application.

#### Approach

Describe the experimental design and methods proposed and how they will achieve robust and unbiased results.

Explain how relevant biological variables, such as sex, are factored into research designs and analyses for studies in vertebrate animals and humans. For example, strong justification from the scientific literature, preliminary data, or other relevant considerations, must be provided for applications proposing to study only one sex. Refer to [NOT-OD-15-102](#) for further consideration of NIH expectations about sex as a biological variable.

### New Authentication of Key Biological and/or Chemical Resources Attachment

Grant applications for the activity codes covered by the policy must include a new PDF attachment related to the authentication of key biological and/or chemical resources.

#### Authentication of Key Biological and/or Chemical Resources

Briefly describe methods to ensure the identity and validity of key biological and/or chemical resources used in the proposed studies.

Key biological and/or chemical resources may or may not be generated with NIH funds and:

- 1) may differ from laboratory to laboratory or over time;
- 2) may have qualities and/or qualifications that could influence the research data; and
- 3) are integral to the proposed research.

These include, but are not limited to, cell lines, specialty chemicals, antibodies, and other biologics.

Standard laboratory reagents that are not expected to vary do not need to be included in the plan. Examples are buffers and other common biologicals or chemicals.

Reviewers will assess the information provided in this Section. Any reviewer questions associated with key biological and/or chemical resource authentication will need to be addressed prior to award.

Information in this section must focus only on authentication and/or validation of key resources to be used in the study; all other methods and preliminary data must be included within the [page limits](#) of the research strategy. Applications identified as non-compliant with this limitation will be withdrawn from the review process (see [NOT-OD-15-095](#)).

Applications submitted for *due dates between January 25, 2016 and May 24, 2016* will use the FORMS-C forms and application guide. The general application guide will be updated by November 25, 2015 with instructions for this new attachment and guidance to upload your PDF document (titled "Authentication of Key Resources Plan") in the "Other Attachments" section of the "Other Project Information" form.

Applications submitted for *due dates on or after May 25, 2016*, will use updated FORMS-D forms. The PHS 398 Research Plan form will include a new "Authentication of Key Biological and/or Chemical Resources" attachment field. FORMS-D application forms and instructions will be available for all active Funding Opportunity Announcements at least 60 days prior to due dates that fall on or after May 25, 2016.

## Application Review Information

Unless stated otherwise in the Funding Opportunity Announcement, reviewers will be asked to consider additional review questions in order to assess rigor and transparency in research grant applications. By November 25, 2015, all active Funding Opportunity Announcements will be updated to reference these additional review questions.

### *Scored Review Criteria*

#### **Significance**

Is there a strong scientific premise for the project

#### **Approach**

Have the investigators presented strategies to ensure a robust and unbiased approach, as appropriate for the work proposed?

Have the investigators presented adequate plans to address relevant biological variables, such as sex, for studies in vertebrate animals or human subjects?

### *Additional Review Considerations*

#### **Authentication of Key Biological and/or Chemical Resources**

For projects involving key biological and/or chemical resources, reviewers will comment on the brief plans proposed for identifying and ensuring the validity of those resources.

## Research Performance Progress Reports

Research Performance Progress Reports (RPPR) submitted January 25, 2016 or later will be expected to

emphasize rigorous approaches taken to ensure robust and unbiased results. Rigor should be addressed in the RPPR for any grant that funds research or training in research; grants that support other activities do not need to address rigor. This includes non-competing continuation reports (Type 5) for grants reviewed and awarded before implementation of the policy. The RPPR instructions will be updated by January 25, 2016. Reporting on rigor in RPPR will help NIH implement and evaluate the policy for both current and new awards, as well as prepare non-competing renewals for the next competitive renewal.

## Resources

- [Website](#) describing reproducibility efforts for NIH applicants and grantees
- [Frequently Asked Questions](#)

## Background

NIH's mission is to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability. Key to the successful application of that knowledge toward health outcomes is scientific rigor in conducting biomedical research. One of NIH's four stated goals is to exemplify and promote the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science (see <http://www.nih.gov/about/mission.htm>).

These rigor and transparency updates:

- clarify long-standing expectations to ensure that NIH is funding the best and most rigorous science,
- highlight the need for applicants to describe details that may have been previously overlooked,
- highlight the need for reviewers to consider such details in their reviews through updated review language, and
- minimize additional burden.

These are not new expectations, but NIH is formalizing these expectations in grant applications and reviews. Some investigators already address some of the four areas of rigor in their applications, while other investigators are doing so in their research but not providing details in applications and/or publications. All biomedical science will benefit from increased attention to rigor and transparency in research grant applications and reviews.

## Inquiries

Please direct all inquiries to:

[reproducibility@nih.gov](mailto:reproducibility@nih.gov)

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## ACRONYMS AND TERMS USED TODAY

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ACRONYM/TERM	DESCRIPTION
AHRQ	Agency for Health Care Research & Quality
Cayuse 424	Cayuse is a web-based system for submission of applications via grants.gov.
eSDFI	Electronic Summary Disclosure of Financial Interests form
K08	Activity Code for Research Career Programs - Clinical Investigator Award
K23	Activity Code for Research Career Programs - Mentored Patient-Oriented Research Career Development Award
NCE	No Cost Extension
NIH	National Institutes of Health
NRSA	National Research Service Awards
OSP	Office of Sponsored Programs
PI	Principal Investigator
R01	Activity Code for NIH Research Projects
RPPR	Research Performance Progress Report. Progress reports are required annually to document grantee accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year. See <a href="http://grants.nih.gov/grants/rppr/">http://grants.nih.gov/grants/rppr/</a>
Type 1	A type 1 application is a new NIH application
Type 5	A type 5 application is a NIH non-competing continuation