NIH Update – FDP May 2009

Final NIH Appropriations FY 2009

- NIH received a total of $30.4 billion
  - Increase of 3% from FY 2008
  - Supports 9,800 new and competing RPGs
- Average competing award expected to increase by 3%
- Noncompeting awards will be supported at the most recently committed levels.
- NIH will support a 1% increase in all NRSA stipend levels.

More at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-066.html
and http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-075.html

American Recovery and Reinvestment Act of 2009

One Hundred Eleventh Congress
of the
United States of America

AT THE FIRST SESSION

Begun and held at the City of Washington on Tuesday, the sixth day of January, two thousand and nine

An Act

Making supplemental appropriations for job preservation and creation, infrastructure investment, energy efficiency and science, assistance to the unemployed, and State and local fiscal stabilization, for the fiscal year ending September 30, 2009, and for other purposes.

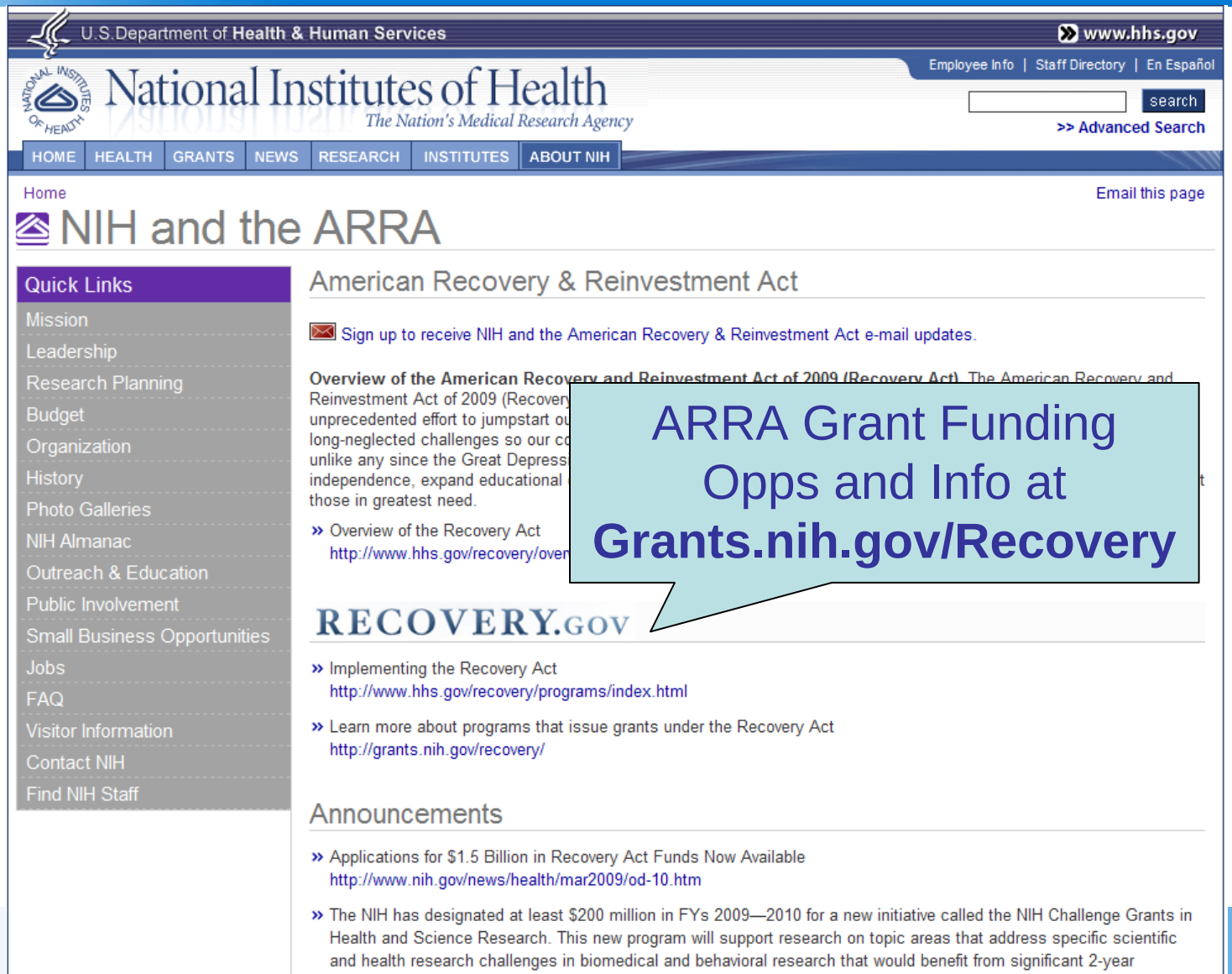
Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

SECTION 1. SHORT TITLE.

This Act may be cited as the "American Recovery and Reinvestment Act of 2009".

NIH is grateful for the opportunity to play its part in improving the nation's health and economy.

NIH Recovery Web site www.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
- CFDAs: NIH has established 2 trans-NIH CFDAs 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 CFDAs

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

Draft NIH Stem Cell Guidance

- On April 17, 2009, NIH posted draft guidelines for implementation of Executive Order 13505: *Removing Barriers to Responsible Scientific Research Involving Human Stem Cells*. These draft guidelines were also published in the Federal Register for public comment on April 23, 2009 (http://edocket.access.gpo.gov/2009/E9-9313.htm)

- In addition, NIH has released Guide Notice NOT-OD-09-085 that explains how NIH applicants and grantees should proceed with applications and/or awards that include the use of human embryonic stem cells (http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-085.html).

More at: http://stemcells.nih.gov/policy/2009draft

ANPRM for Financial Conflict of Interest Available For Comment

- HHS/NIH issued an advance notice of proposed rulemaking (ANPRM) on May 8, 2009:‘Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought..’
- Open for comment until July 7, 2009
- Search www.Regulations.gov for the ANPRM under the name of the title of the ANPRM, the docket number (NIH-2008-0002) or the RIN number (0925-AA53).

New Funding Policy for New and Early Stage Investigators

- For R01 applications in FY2009, NIH expects to support New Investigators at success rates equivalent to that of established investigators submitting new applications.
  - Majority of New Investigators are expected to be Early Stage Investigators
- Applications will be clustered during initial peer review to the extent possible.
- NIH encourages New Investigators and ESIs to apply for R01 grants when seeking first-time funding from NIH.

More at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-013.html

Enhancing Peer Review: Implementation Update

- **Improve Scoring** – *Implementation in May, 2009.*
  - Applications will receive an overall score from each panel member from 1-9; scores will be averaged and multiplied by 10. Thus priority scores will range between 10-90.
  - Priority scores will be percentiled against an appropriate base and reported in whole numbers.
- **Improve Critiques** – *Implementation in May, 2009.*
  - Reviewer critiques will be compiled into a summary statement that will be shorter and more focused than currently due to standardized organization and reporting of strengths and weaknesses.
  - ALL applications (including streamlined applications) will receive feedback.

More at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-024.html

Implementation Update

- **Enhance Criteria for Peer Review** - *Implementation for FY 2010 begins with applications received during January 25, 2009 submission date*
  - Core Review Criteria – Reviewers will provide a separate score in each of the following categories: Significance, Investigator(s), Innovation, Approach, and Environment.
  - Additional Review Criteria – As applicable, reviewers will consider but not score separately: Protections for Human Subjects; Inclusion of Women, Minorities, and Children; Vertebrate Animals; Biohazards; and Revision/Resubmission issues.
- **Shorten & Restructured Research Plans** – *Implementation in applications received beginning with the 1/25/2009 submission date and beyond.*
- **Implementation Timeline –** Available at http://grants.nih.gov/grants/guide/notice_files/NOT-OD-09-023.html

More at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-025.html

New Registration Process for Peer Reviewer Reimbursement

- Required to process reviewers' honoraria and reimbursements for participation in NIH peer review meetings.
- Reviewers must log in to the eRA Commons, update their personal profiles, and link to the Secure Payee Reimbursement System (SPRS) to provide payment information.
- Replaces the previous CCR (Central Contractor Registry) system used until May, 2008.
- New process implemented on January 17, 2009.

All information will be kept secure and confidential!

More at http://grants.nih.gov/grants/guide/notice_files/NOT-OD-09-033.html

Revised Public Access Policy

"All investigators funded by NIH must submit to PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication."

- Compliance mandated by Public Law 110-161
- Applicable to:
  - Peer-reviewed articles,
  - Accepted for publication on or after 4/7/08, and
  - Arising from direct grant or contract funds active in FY 2008, and beyond.
- Full-text articles to be made publicly available on NLM's PubMed Central no later than 12 months after date of publication

More at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-119.html

FY 2009 NIH Salary Cap

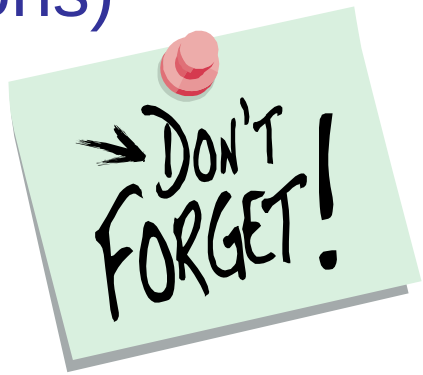
Effective January 1, 2009, salary and wages on NIH grants limited to an annual rate of $196,700 (equal to Executive Level I).

- An individual's base salary is NOT constrained by the legislative provision for a limitation of salary. An institution may pay an individual's salary amount in excess of the salary cap with non-federal funds.
- Grantees should provide information on full salary needs (if more than the cap) so NIH can adjust based on future limits.
- Salary Cap Summary (Historical Information): http://grants.nih.gov/grants/policy/salcap_summary.htm

More at: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-069.html

eRA Reminder: Profile Maintenance

- PIs have an obligation to keep information in their Personal Profile current and need to update it regularly
- Profile data used in other electronic processes (e.g., Summary Statements, eNotifications)
  - Degrees
  - Position Titles
  - Addresses - e-mail & postal



- **Especially critical for researchers applying for early-stage and new investigator status.**