



National Institutes of Health

NIH

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.

Foster fundamental discoveries and innovative research and applications;

- Develop, maintain, and renew the human and physical resources needed to accomplish this mission;
- Expand the knowledge base in biomedical, behavioral, and associated sciences in order to enhance the nation's economic well-being and ensure a continued high return on the public investment in research; and
- Exemplify and promote the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science

What does NIH...?

PROVIDE...?

Financial support in the form of grants, cooperative agreements, and contracts.

Assistance that supports the advancement of the NIH mission; enhancing health, extending healthy life, and reducing the burdens of illness and disability

Grant opportunities that support research related activities, including: fellowships and training, career development, scientific conferences, and construction.

LOOK FOR...?

Grant proposals of high scientific caliber that are relevant to public health needs

Within NIH Institute and Center (IC) priorities

➤ I/Cs highlight their research priorities on their individual websites.

NIH: 27 Institutes & Centers and Office of the Director

Each I/C and OD has its own:

Mission and Priorities

Budget and Funding Mechanisms

Fund grants for extramural research: 24 I/C and OD

Funds grants for intramural research only: 1 I/C

Exceptions to funding research:

- CSR
- CIT

NIH: 27 Institutes & Centers

- OD- NIH Office of the Director
- CC- NIH Clinical Center
- CSR- Center for Scientific Review
- CIT- Center for Information Technology
- FIC- Fogarty International Center
- NCATS- National Center for Advancing Translational Sciences
- NCCIH- National Center for Complementary & Integrative Health
- NCI- National Cancer Institute
- NEI- National Eye Institute
- NHLBI- National Heart, Lung, and Blood Institute
- NHGRI- National Human Genome Research Institute
- NIA- National Institute on Aging
- NIAAA- National Institute on Alcohol Abuse & Alcoholism
- NIAID- National Institute of Allergy & Infectious Diseases
- NIAMS- National Institute of Arthritis & Musculoskeletal & Skin Diseases
- NIBIB- National Institute of Biomedical Imaging & Bioengineering
- NICHD- National Institute of Child Health & Human Development
- NIDA- National Institute on Drug Abuse
- NIDCD- National Institute on Deafness & other communication Disorders
- NIDCR- National Institute of Dental & Craniofacial Research
- NIDDK- National Institute of Diabetes & Digestive & Kidney Disorders
- NIEHS- National Institute of Environmental Health Sciences
- NIGMS- National Institute of General Medical Sciences
- NIMH- National Institute of Mental Health
- NIMHD- National Institute on Minority Health & Health Disparities
- NINDS- National Institute of Neurological Disorders and Stroke
- NINR- National Institute of Nursing Research
- NLM- National Library of Medicine

The People

NIH STAFF

PO- Program Official- this person is responsible for the programmatic, scientific, and/or technical aspects of assigned grants and applications.

SRO- Scientific Review Officer-this person works in conjunction with the PO to develop research initiatives and programs to meet Institute/Center mission.

GMO- Grants Management Officer-This person signs the NoA(notice of award and is the NIH official who is responsible for the business/programmatic aspects of the award.

GMS- Grants Management Specialist – This person works with the GMO on the day to day management of the grant. The name of the GMS appears on the NoA and is a point of contact for the award.

COR- Contracts Officer Representative- this person

CS- Contracts Specialist

VU STAFF

PI- Principal Investigator- The PI(s) are individuals designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project supported by the award.

KP- Key Personnel –this person (s) works in conjunction with the PI to help establish and achieve the goals of the proposed research project. The PI usually selects the key personnel based on skill set that for their project.

AO-Administrative Officer main contact in the department to assist in the proposal development and award management.

GM- Grants Manager- main contact to create the proposal and works with the PI to complete the grant submission. Also, this person will be the point of contact for all JIT, annual RPPRs, and communication with sponsor and central offices for the project.

SO- Signing official- (SPA) is the designated representative of the grantee organization in matters related to the award and administration of its NIH grants, including those that require NIH approval. In signing a grant application, this individual certifies that the applicant organization will comply with all applicable assurances and certifications referenced in the application. This individual's signature further certifies that the applicant organization will be accountable both for the appropriate use of funds awarded and for the performance of the grant-supported project or activities resulting from the application.

Types of NIH Funding

Research Grants (R Series)	R01, R21, R03, R15, R25, R56, R43/R44
Career and Development Awards (K series)	K01, K02, K05, K07, K08, K12, K18, K22, K23, K24, K25, K26, K43, K76, K99/00
Research Training grants and Fellowships (T &F) (Ruth Kirschstein NRSA)	T32, T35, F31, F31(Diversity), F32, F33
Cooperative Agreements (U series)	U01, U13, U19
Program Project/Center Grants	P01, P20, P30, P50, P20

http://grants.nih.gov/grants/funding/funding_program.htm

Funding Mechanisms- Rs

R01

- NIH's most common used grant program
- Generally awarded for 3-5 years
- Used to support a discrete, specified, circumscribed research project
- No specific dollar limit unless specified in FOA
- Advance permission required for budgets of \$500K or more
- All IC's utilize this mechanism

R21/R33

- Encourages new, exploratory and development research projects by providing support for the early stages of project development.
- Limited to 2 years of funding
- Direct costs for the two year project usually may not exceed \$275K
- R33 provides a 2nd phase of support for research initiated under an R21.
- Most IC's utilize

R03

- Provides limited funding for a short time to support a variety of types of projects
- Project types include- Pilot or feasibility studies, collection of preliminary data, small, self-contained research projects, development of new research technology
- Limited to 2 years of funding
- Direct costs generally up to \$50,000 per year
- Not renewable
- Utilized by more than half of the ICs

https://grants.nih.gov/grants/funding/funding_program.htm#RSeries

Funding Mechanism- F&T: Ruth Kirschstein Research Service Award (NRSA)

F31/F32/F33

- Predoctoral- F31 Predoctoral trainees may receive up to 5 years of NRSA support.
- Postdoctoral- F32 Postdoctoral trainees may receive up to 3 years of NRSA support
- Senior Fellows- F33 Fellows may receive up to 2 years of NRSA funding.
- Fs require sponsors for the pre/postdoc
- Stipends are determined each year by NIH
- Budgets are stipends, tuition costs and fees, and institutional allowance
- No Indirect cost allowed
- Most ICs utilize F31/F32; Only 12 utilize F33

T32

- PI usually appoints trainee/fellow to T32 project
- T32 require mentors for the trainee/fellow
- Predoctoral and Postdoctoral trainees are eligible
- Stipends are determined each year by NIH
- Budgets are stipends, tuition costs, and fees, and institutional allowance
- Travel for trainees is usually
- Indirect cost is limited to 8% and excludes tuition cost
- Most ICs utilize this mechanism

F99/K00

- Award to transition a talented graduate student into a successful research postdoctoral appointment
- Individual may receive up to 6 years combined support; 2 years in the F99 fellowship phase and up to 4 years in the K00 career development phase
- F99 budget is stipend, tuition and fees, and institutional allowance. No indirect costs allowed in the F99 phase.
- K00 budget is salary/fringe, research and career development support and indirect costs at 8%.
- Half ICs utilize this mechanism

<https://researchtraining.nih.gov/career/graduate>

Funding Mechanism- K (Research Career Awards)

K01 Mentored Scientist Career Development award

- Provides support and protected time for an intensive, supervised career development experience in the biomedical, behavioral, or clinical sciences leading to research independence
- Gives support for up to 5 years
- PI must be a US citizen or non-citizen of US or permanent resident of the US
- Budget is salary/fringe and research related expenses, travel to research meeting, technical personnel, indirect cost are limited to 8%.
- Most ICs use this funding mechanism

K22 Career Transition award

- Provides support to outstanding newly trained basic or clinical investigators to develop their independent research skills through a two phase program
- Phase I- An initial period involving an intramural appointment at the NIH
- Phase II- Independent research period at an extramural institution.
- The award is intended to facilitate the establishment of a record of independent research by the investigator in order to sustain or promote a successful research career.
- Half ICs use this funding mechanism

K99/R00 Pathway to Independence Award

- Provides up to 5 years of support consisting of two phases
- Phase I- provides 1-2 years of mentored support for highly **promising**, postdoctoral research scientists
- Phase II- provides up to 3 years of independent support contingent on securing an independent research position
- Recipients are expected to apply for an R01 during the career transition award period
- PI can be a non-U.S. citizen
- K99 phase budget is salary and research cost, indirect costs 8%,
- R00 phase budget may not exceed \$249,000 and includes salary/fringe, research costs, and applicable institutional indirect costs.
- Most ICs use this funding mechanism

<https://researchtraining.nih.gov/programs/career-development>

Funding Mechanism- Ps (Program/Project Center Grants)

P01 Research Program Project Grant

- Support for integrated, multi-project research projects involving a number of independent investigators who share knowledge and common resources
- Each project contributes or is directly related to the common theme of the total research effort, thus forming a system of research activities and projects directed toward a well-defined research program goal
- Specific dollar limit unless specified in the FOA

P30 Center Core Grants

- To support shared resources and facilities for categorical research by a number of investigators from different disciplines who provide a multidisciplinary approach to a joint research effort or from the same discipline who focus on a common research problem.
- The core grant is integrated with the center's component projects or program projects, though independently from them.

P50 Specialized Center

- To support any part of the full range of research and development from very basic to clinical
- May involve ancillary supportive activities such as protracted patient care necessary to the primary research or R&D effort.
- The spectrum of activities comprises a multidisciplinary attach on a specific disease entity or biomedical problem area.
- Receive continuous attention from staff funding IC.
- Centers may serve as regional or national resources for special research purposes.

https://grants.nih.gov/grants/funding/funding_program.htm#PSeries

Funding Mechanism- U series

U01 Research Project Cooperative agreement

- Supports discrete, specified, circumscribed projects to be performed by investigator(s) in an area representing their specific interests and competencies
- Used when substantial programmatic involvement is anticipated between the awarding IC
- One of many types of cooperative agreements
- No specific dollar limit unless specified in FOA

U19 Research Program Cooperative agreement

- Support a research program of multiple projects directed toward a specific major objective, basic theme or program goal, requiring a broadly based, multidisciplinary and often long term approach.
- Involves the organized efforts of large groups, members of which are conducting research projects designed to elucidate the various aspects of a specific objective.
- Substantial Federal programmatic staff involvement is intended to assist investigators during performance of the research activities, as defined in the terms and conditions of the award.
- These scientifically meritorious projects should demonstrate an essential element of unity and interdependence.

U54 Specialized Center Cooperative agreement

- To support any part of the full range of research and development from very basic to clinical; may involve ancillary supportive activities such as protracted patient care necessary to the primary research or R&D effort.
- The spectrum of activities comprises a multidisciplinary attack on a specific disease entity or biomedical problem area.
- These differ from Program Project (P) in that they are usually developed in response to an announcement of the programmatic needs of an Institute or Division and subsequently receive continuous attention from NIH staff.
- Centers may also serve as regional or national resources for special research purposes, with funding component staff helping to identify priority needs.

https://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=U&Search.x=11&Search.y=4&Search_Type=Activity

Electronic Submission: 100% For Competing Applications



NIH is now receiving 100% competing grant applications electronically.

Electronic submission is required for all, except Non competing submissions, such as :

- Merit Extensions – Type 4
- For Multi Project Applications in response to:
 - Administrative Supplements - Type 3
 - Change of Organization Status – Type 6
 - Change of Grantee Organization – Type 7

Systems to Submit, Track, and View the application

ASSIST- The Application Submission System & Interface for Submission Tracking (ASSIST) system is used to prepare and submit grant applications electronically to NIH and other Public Health Service agencies. Large grants – P series and U series proposals go through ASSIST. Active grants.gov and eRA Commons credentials are required to prepare and submit the application using ASSIST.

eRA Commons- An online interface where grant applicants, grantees, and federal staff at NIH and grantor agencies can access and share administrative information relating to research grants. You can do the following in eRA Commons:

- Track the status of your grant application through the submission process, while viewing errors and/or warnings and checking the assembled grant image
- View summary statements and score letters following the initial review of your application
- View the notice of award (NoA) and other key documents
- Submit Just-in-Time (JIT) information required by the grantor agency prior to a final award decision
- Submit an administrative supplement to an existing grant
- Submit the required documentation, including the Financial Status Report/Federal Financial Report and final progress report to close out your grant
- Submit a No-Cost Extension notification that the grantee has exercised its one-time authority to extend without funds the final budget period of a grant
- Submit an annual progress report electronically (RPPR)
- Manage personal and institutional profiles
- **Coeus** (Vanderbilt University system)- Coeus is a cradle-to-grave research administration tool to facilitate proposal development, award management, and system-to system electronic submissions. The comprehensive system centralizes information making it more efficient to prepare and manage proposals, which includes routing them internally to obtain proper approvals, and submitting them to sponsors electronically.
- http://www.vanderbilt.edu/sponsoredprograms/coeus_overview.php

After Proposal Submission

- **Just In Time (JIT)** – Mechanism used by NIH to request more timely information prior to making the final award decision
- Some of the items requested include **Other Support** for all key personnel identified in the proposal
- **IRB** or **IACUC** approval dates if project includes human or animal subjects
- **Human Subject Education** Information (documentation of HS protections training)

Project Number Breakdown

1 T32 GM129176-01

5 R01 CA198421-03S1

TYPE OF APPLICATION

(1 = NEW COMPETING; 5 = NON-COMPETING CONTINUATION)

FUNDING MECHANISM / ACTIVITY CODE

IC

AWARD NO

YEAR (BUDGET PERIOD)

SUFFIX (SUPPLEMENT, AMENDMENT)

The Notice of Award (NoA) \$\$

- Legally binding contract between NIH and your institution.
- Includes the Following:
- Identifies PI, Project and Award Number
- Establishes funding level
- Establishes period of support
 - **Budget Period v. Project Period**
- Sets forth terms and conditions
- Reporting requirements
- NIH Contact Information
 - Program Official (technical side)
 - Grants Management Specialist (contractual side)

Managing the project

Direct Costs v. Indirect Costs

- Pre-Award Costs

Expanded Authority

- • Re-budgeting (no change in scope of work)
- • Personnel Costs and Effort Reporting
- • Travel, esp. International Travel
- • Purchasing Equipment
- • Subcontracts (Subawards)
- • Splitting the funding among Co-Investigators

What is terms and conditions (expanded authority)?

Federal administrative requirements allow agencies to waive certain cost-related and administrative prior approvals; these are known as expanded authorities. In 2001, NIH extended expanded authorities to all NIH awards except for the provision to automatically carry over unobligated balances. Certain award instruments, grant programs, and types of recipients are routinely excluded from the authority to automatically carry over unobligated balances. This includes centers (P50, P60, P30, and others); cooperative agreements (U); Kirschstein-NRSA institutional research training grants (T); non-Fast Track Phase 1 SBIR and STTR awards (R43 and R41); clinical trials (regardless of activity code); and awards to individuals.

One or more of these authorities may be overridden by a special term or condition of the award. Recipients must review the NoA to determine if a particular authority is withheld for a specific grant.

Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds. NIH may disallow the costs if it determines, through audit or otherwise, that the costs do not meet the tests of allowability, allocability, reasonableness, necessity, and consistency.

Several authorities have specific deadlines for submission of reports or for timely notification to the NIH awarding IC. Recipients should be aware that any consistent pattern of failure to adhere to those deadlines for reporting or notification will be grounds for excluding that recipient from a specific authority.

https://grants.nih.gov/grants/policy/nihgps/html5/section_8/8.1_changes_in_project_and_budget.htm

Indirect rates or IDC

The negotiated indirect/F&A rate(s) (rate agreement) applicable at the time of award (competitive segment, UG) will continue throughout the lifetime of the competitive segment (project period).

[UG: NIH generally will not award additional F&A costs beyond those calculated in the approved budget.]

- The specified rate(s) will be listed in the NoA under the applicable budget periods.
- Generally recipients may re-budget between direct and F&A costs without prior approval provided there is no change in scope.
- (UG) However, recipients formally subject to A-21 may not re-budget from direct costs to indirect to accommodate a rate increase.
- (UG): For recipients not formally subject to A-21, F&A cost reimbursement is based on the negotiated F&A rate agreement consistent with the time period when the cost was incurred

Preaward costs

- Grantee may, as its own risk and without NIH prior approval, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the initial budget period of a new or competing continuation award if such costs
 - Are necessary to conduct the project
 - Would be allowable under the grant, if awarded, without NIH prior approval
- Under expanded authority Sponsored Programs Administration has the authority to approve a preaward spend request
- Requests can be submitted via PEER

Personnel Costs

- The amount of salary/wage that gets charged to the project cannot exceed the percentage of effort devoted to the project.
- Percentage is translated into “**Person-Months**” which maybe referred to as Calendar/Academic/Summer months
- Based on individual’s FTE effort (not necessarily a 40-hour week)
- Should match the Effort reported by the PI’s institution.
- Salary Cap (NIH cap \$187,000) and Cost-Sharing

Managing the Project, Travel

Travel - International Travel (Foreign)

- Foreign travel is defined as any travel outside of Canada and the US and its territories and possessions.
- Consistent with the organization's established travel policy (per diem, mileage, etc.).
- Travel must take place within the current budget period.
- Comply with the Fly America Act.

Costs for Visas:

- Cost for long term visas are allowed as part of recruitment costs.
- Cost for renewal of visa is unallowable
- Cost for short term visas for travel are allowable only as recruitment costs.

https://www.ecfr.gov/cgi-bin/text-idx?SID=f6bb0a22aad5e6f2dcee090bee7c14f3&mc=true&node=se2.1.200_1474&rgn=div8

Managing the Project, Equipment

Allowable for purchase of new, used or replacement as either direct cost or F&A depending on intended use of equipment. [10/2013]

Under Uniform Guidance capital expenditures for special purpose equipment (used only for research, medical, scientific, or other technical activities) is allowable as a direct cost with prior written approval from the IC. [Note: if under expanded authorities prior approval not required unless >\$25K.]

Office equipment (copiers, computers, scanners) used for general office purposes are allowable as F&A. [10/2013]

Under UG general office equipment can be charged as direct cost with prior approval from the IC.

Under UG computing devices can now be charged as direct cost for devices that are essential and allocable, but not solely dedicated to the performance of a Federal award.

Title goes to institution (not federal government) unless stated in NoA. Non-profit IHEs and other non-profits whose primary purpose is the conduct of scientific research obtain title with no further obligation to the Federal government (exempt).

https://grants.nih.gov/grants/policy/equipment_faqs.htm

Actions requiring NIH preapproval

Changes to Scope

Change in specific aims/scope approved at the time of award.

Any change from the approved use of animals or human subjects or changes to approved protocols (including change of animal model).

Application of a new technology (e.g., changing assays from approved assay).

Significant rebudgeting (anything over 25% of total direct costs)

Purchase of a unit of equipment exceeding \$25,000.

Transfer of amounts for trainee costs (stipends, tuition and fees) to other categories (excludes trainee travel).

Actions requiring NIH preapproval

- Change in status of key personnel
- Withdrawal from the project
- absence for any continuous period of 3 months or more
- reduction of time devoted to project by 25% or more from level in approved application
- Requested changes must be submitted to NIH no later than *30 days before* the proposed change.
- Carryover
- Usually an unobligated balance may be carried forward to next budget period *without prior approval*.
If > 25% of current year's funding, then requires an explanation/justification.
- Training grants and cooperative agreements usually require prior approval as stated in the award document.
- 2nd No Cost Extension

The central office will need to review and sign off on all of these prior approvals and contact the sponsor for final approval.

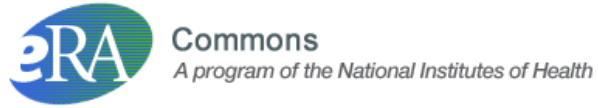
https://grants.nih.gov/grants/policy/nihgps/html5/section_8/8.1_changes_in_project_and_budget.htm#Prior

How to get the funding for the next budget period?

- Except for “multi-year” awards, most NIH awards are funded one year at a time (budget period).
- Competitive Segment is the project period (1-5 years)
- Budget period is one year or less.
- Submitting an annual Progress Report through eRA Commons using the **RPPR** (Research Performance Progress Report).
- Or submitting an annual Progress Report using PHS 2590 paper forms.
- New Notice of Award for new budget period will be issued once annual report is accepted

RPPR in eRA Commons

- Normally due 45 days before start of next budget period. Exceptions stated in award document.
- PI or PI Delegate must start the process in eCommons, upload progress report, and enter any or all of the administrative data.
- Then route to “Signing Official” in SPA for review and certification.
- Signing Official submits the completed RPPR to NIH.
- Other:
 - IP disclosure (inventions) reported on RPPR and through iEdison
 - Upon acceptance for publication, final, peer-reviewed manuscripts are required to be submitted to NIHMS for publication on PubMed Central within 1 year of publication (*Public Access Policy*).
 - eCommons IDs (and profile) required for post docs, graduate, and undergraduate students working on project



Welcome: Scott Mitchell
 ID: MITCHEGS
 Institution: VANDERBILT UNIVERSITY
 Roles: SO
[Logout](#) | [Contact Us](#) | [Help](#)

Manage RPPR ?

Form Approved OMB No. 0925-0002

Search Form													
Grant Number:	<input type="text"/>	Type	<input type="text"/>	Activity	<input type="text"/>	IC Code	<input type="text"/>	Serial Number	<input type="text"/>	Support Year	<input type="text"/>	Suffix Code	<input type="text"/>
PD/PI Last Name:	<input type="text"/>												
Current Reviewer Last Name:	<input type="text"/>												
Status:	All ▼												
													<input type="button" value="Search"/>

Select Grant Number link to manage the RPPR:

Grant Applications						
No records found.						
Grant Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer	

