

Deciphering NIH Application/Grant Numbers

<u>Application Type</u>	<u>Activity Code</u>	<u>Institute Code (IC)</u>	<u>Serial Number</u>	<u>Support Year</u>	<u>Other Suffixes</u>
1	R01	CA	654321	01	A1

Application Types

1=New	Request for support of a project that has not yet been funded.
2=Renewal	Request for additional funding for a period subsequent to that provided by a current award.
3=Revision	Request for (or the award of) additional funds during a current project period to support new or additional activities that are not identified in the current award. This request reflects an expansion of the scope of the grant-approved activities. Competitive revisions require peer review. An administrative supplement is a request for (or the award of) additional funds during a current project period to provide for an increase in costs due to unforeseen circumstances. All additional costs must be within the scope of the peer reviewed and approved project.
4=Extension	Request for additional years of support beyond the years previously awarded. (Used only for select programs.)
5=Non-competing Continuation	Request or award for a subsequent budget period within a previously approved project for which a recipient does not have to compete with other applications.
6=Change of Organization Status (Successor-In-Interest)	Process whereby the rights to and obligations under an NIH grant is acquired incidental to the transfer of all of the assets of the grantee or the transfer of that part of the assets involved in the performance of the grant. May result from legislative or other legal action, such as a merger or other corporate change.
7=Change of Grantee or Training Institution	Transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the completion date of the approved project period (competitive segment).
8=Change of Institute or Center	Change of awarding NIH institute or center for the noncompeting continuation (Type 5).
9=Change of Institute or Center	Change of awarding NIH institute or center for the renewal (Type 2).

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

NIH Funding Institutes

<u>Acronym</u>	<u>Full Name</u>	<u>Code</u>
FIC	John E. Fogarty International Center	TW
NCATS	National Center for Advancing Translational Sciences (NCATS)	TR
NCCIH	National Center for Complementary and Integrative Health	AT
NCI	National Cancer Institute	CA
NEI	National Eye Institute	EY
NHGRI	National Human Genome Research Institute	HG
NHLBI	National Heart, Lung, and Blood Institute	HL
NIA	National Institute on Aging	AG
NIAAA	National Institute on Alcohol Abuse and Alcoholism	AA
NIAID	National Institute of Allergy and Infectious Diseases	AI
NIAMS	National Institute of Arthritis and Musculoskeletal and Skin Diseases	AR
NIBIB	National Institute of Biomedical Imaging and Bioengineering	EB
NICHD	Eunice Kennedy Shriver National Institute of Child Health and Human Development	HD
NIDA	National Institute on Drug Abuse	DA
NIDCD	National Institute on Deafness and Other Communication Disorders	DC
NIDCR	National Institute of Dental and Craniofacial Research	DE
NIDDK	National Institute of Diabetes and Digestive and Kidney Diseases	DK
NIEHS	National Institute of Environmental Health Sciences	ES
NIGMS	National Institute of General Medical Sciences	GM
NIMH	National Institute of Mental Health	MH
NIMHD	National Institute on Minority Health and Health Disparities	MD
NINDS	National Institute of Neurological Disorders and Stroke	NS
NINR	National Institute of Nursing Research	NR
NLM	National Library of Medicine	LM

Serial Number: Six-digit number assigned within an Institute/Center

Support Year: Two-digit number indicating segment or budget period of a project.

Other Suffixes: 'A' and related number identifies the amendment number (e.g. A1 = resubmission); 'S' and related number identifies the revision record and follows the grant year or the amendment designation to which additional funds have been awarded.

2.3.5 – Types of Funding Opportunity Announcements

<https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/understand-funding-opportunities.htm>

Types of Funding Opportunity Announcements (FOAs):

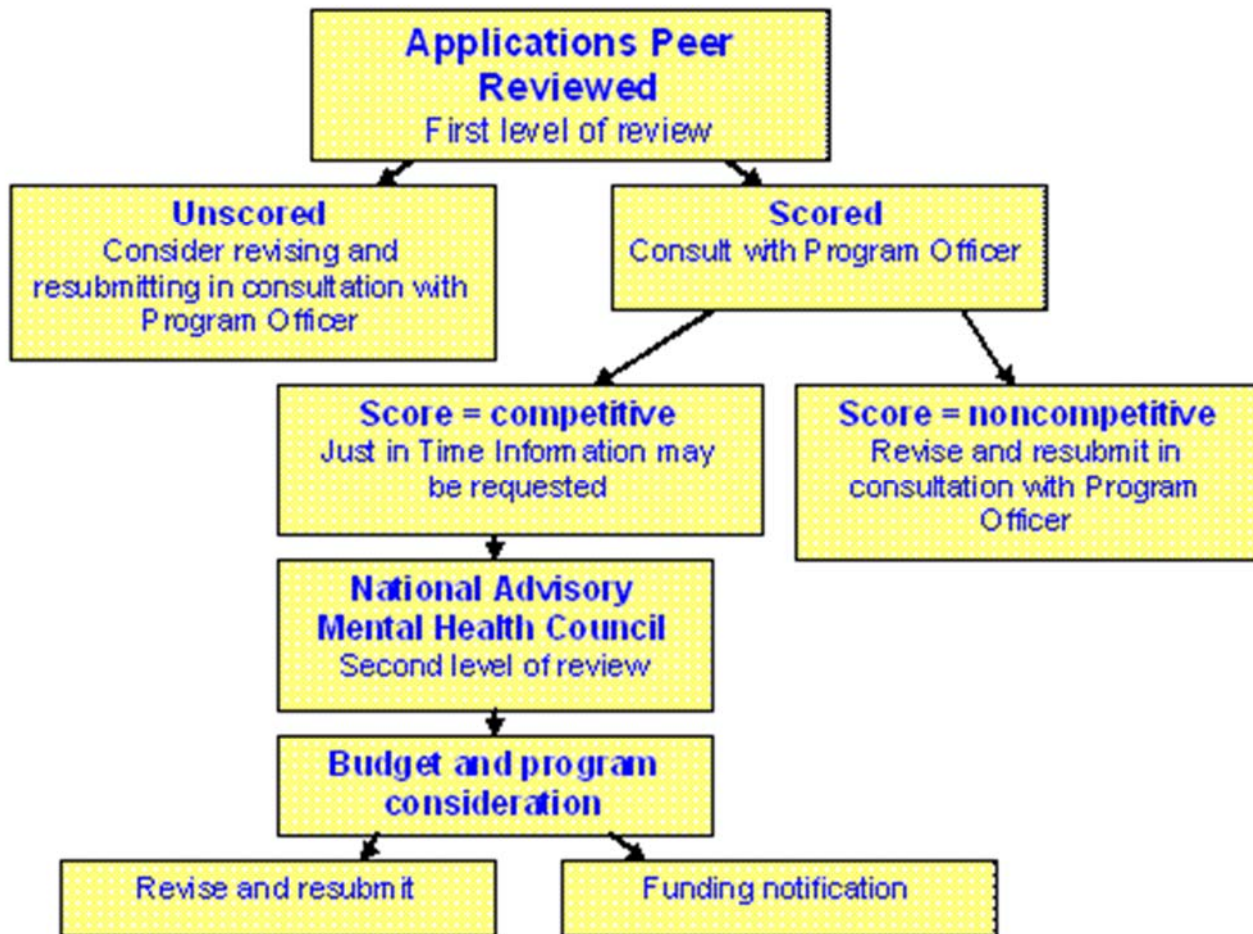
Type of FOA	Description
Parent Announcements	<ul style="list-style-type: none"> • Broad FOAs allowing applicants to submit an investigator-initiated application for a specific activity code • Many NIH institutes and centers (IC) participate • Usually ongoing (3 yrs) • Use standard due dates <p style="text-align: center;">List of Parent Announcements</p>
Program Announcements (PAs)	<ul style="list-style-type: none"> • FOAs issued by one or more Institutes and Centers to highlight areas of scientific interest • Encourage applications for a new or ongoing program • Usually ongoing (3 years) • Use standard due dates • Types of PAs: <p>PAS: with set-aside funds PAR: special receipt, referral, and/or review considerations</p>
Requests for Applications (RFA)	<ul style="list-style-type: none"> • FOAs issued by one or more Institute or Center to highlight well-defined areas of scientific interest to accomplish specific program objectives <p>(Make sure the science you are proposing fits the scope of the RFA!)</p> <ul style="list-style-type: none"> • Indicate the amount of set-aside funds • Indicate anticipated number of awards • Usually single due date • Institute/Center usually convenes review panel

Numbering System

- **PA Numbering (e.g., PA-18-008):** Indicates a PA issued in 2018 or for funding in 2018 (18) with an associated serial number (008).
- **RFA Numbering (e.g., RFA-HL-18-004):** Indicates an RFA issued by NHLBI (HL) in 2018 or for funding in 2018 (18) with an associated serial number (004).
- **Notice Numbering (e.g., NOT-OD-18-025):** Indicates a Notice issued by the Office of the Director (OD) in Fiscal Year 2018 (18) with an associated serial number (025).

2.4 – The Peer Review Process

The National Institute of Mental Health developed the following graphic to explain the peer review process. This graphic is found at: <https://www.nimh.nih.gov/funding/grant-writing-and-application-process/step-4-your-application-has-been-peer-reviewed-now-what.shtml>



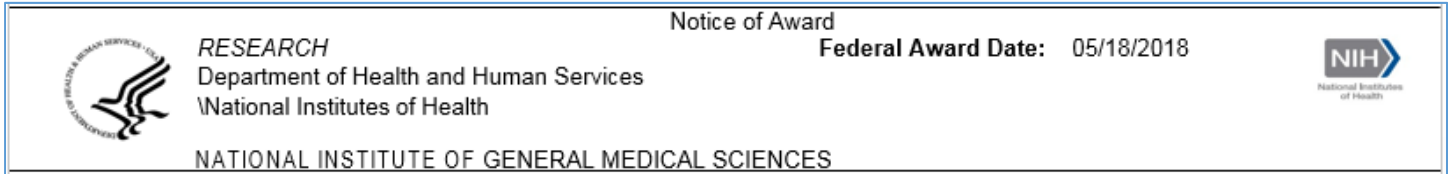
5 The Notice of Award

The Notice of Award (NOA) is the official mechanism a federal awarding agency uses to notify a recipient of a successful application. The NOA is a legally binding agreement between the recipient and the federal awarding agency. This handout details the elements of the NOA.

Header

The NOA Header indicates:

- The date of the award
- The awarding institute



Award Information

The award information provides:

- The grant number assigned by NIH
- The Federal Award Identification Number (FAIN)
- The principal investigator
- The project title

Grant Number: 1R01GM317713-01A1
FAIN: R01GM317713

Principal Investigator(s):
CHRIS SMITH, PHD

Project Title: Biomedical Research

The grant number contains multiple elements providing information about the award. The following image identifies the parts of the grant number.

Application Type	Activity Code	Institution Code (IC)	Serial Number	Support Year	Other Suffixes
1	R01	GM	317713	01	A1

- The Application Type identifies various stages in the award lifecycle:
 1. New Award
 2. Renewal
 3. Revision
 4. Extension
 5. Noncompeting Continuation
 6. Change of Organization Status
 7. Change of Grantee or Training Institution
 8. Change of Institute or Center for Noncompeting Continuation Awards
 9. Change of Institute or Center for Renewal Awards
- The Activity Code relates to the program award type

- The Institution Code is the abbreviation of the awarding institute under NIH
- The Serial Number is a six digit number assigned by the awarding institution
- The Support Year reflects the budget period of a project
- NIH may use either of the following designations for Other Suffixes:
 - A and related number identifies the amendment number
 - S and related number identifies the revision record and follows the grant year or the amendment designation

The FAIN is an abbreviated version of the grant number. The FAIN remains constant for the entire award and must be used on all subaward agreements.

Award Periods

The budget period indicates the timeframe that NIH has approved funding. The Project Period is the anticipated length of the award. A project period will contain multiple budget periods, and funding in future budget periods is contingent upon NIH appropriations and the project meeting adequate progress.

Period Of Performance:
Budget Period: 06/01/2018 – 05/31/2019
Project Period: 06/01/2018 – 05/31/2023

Award Letter

The first paragraph of the award letter details:

- The approved funding amount for the budget period
- The award recipient
- The grant program authorizing statute and associated regulation

The approved funding amount will likely be less than proposed budget in the application. The principal investigator will need to identify the extent of the budget reduction and the impact on the project.

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$314,023 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF COLORADO DENVER in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

The remaining paragraphs of the award letter identifies standard requirements for NIH awards:

- All award terms and conditions are automatically accepted by the PI and the university when funds are drawn down
- Documents discussing research funded by an NIH award must include an acknowledgement of NIH support
- Recipients must adhere to Financial Conflict of Interest policies

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number R01GM317713. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Section I – Award Data

Section I of the Notice of Award details the project's approved budget for the budget period. Section I also identifies the anticipated level of funding for the following budget periods.

SECTION I – AWARD DATA – 1R01GM317713-01A1

Award Calculation (U.S. Dollars)

Salaries and Wages	\$87,146
Fringe Benefits	\$7,160
Personnel Costs (Subtotal)	\$94,306
Materials & Supplies	\$35,274
Subawards/Consortium/Contractual Costs	\$58,748
Tuition Remission	\$40,805
Federal Direct Costs	\$229,133
Federal F&A Costs	\$84,890
Approved Budget	\$314,023
Total Amount of Federal Funds Obligated (Federal Share)	\$314,023
TOTAL FEDERAL AWARD AMOUNT	\$314,023
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$314,023

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$314,023	\$314,023
2	\$298,650	\$298,650
3	\$297,160	\$297,160
4	\$294,765	\$294,765
5	\$294,763	\$294,763

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Section I also provides the fiscal information for the award. The Notice of Award provides the Catalog of Federal Domestic Assistance (CFDA) name and number. The CFDA name and number must be on all subaward agreements.

Fiscal Information:

CFDA Name:	Biomedical Research and Research Training
CFDA Number:	93.859
EIN:	1956055555A1
Document Number:	RGM749417A
PMS Account Type:	P (Subaccount)
Fiscal Year:	2018

Section II – Payment/Hotline Information

Section II provides a link for contact information for the Payment Management System (PMS) and the Office of Inspector General (OIG).

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01GM115672-01A1

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

Section III – Terms and Conditions

Section III identifies the standard terms and conditions for NIH awards. By drawing down funding from the PMS, the PI and the university have agreed to comply with all award terms and conditions.

- Grant program legislation and regulation. The NOA identifies the authorizing statute and associated program regulation, if applicable, in the first paragraph of the award letter. The authorizing statute and program regulation may include specific requirements affecting award management.
- Appropriation mandates. Congress may include funding restrictions in the annual appropriations for NIH. For example, since 1990, Congress has included a provision to limit the salaries of grant recipients.
- 45 CFR 75. The Department of Health and Human Services' (HHS) implementing regulations for 2 CFR 200 (Uniform Guidance) is located at 45 CFR 75.
- National Policy Requirements. Federal award recipients must comply with National Policy Requirements, also called Public Policy Requirements, which are additional requirements related to financial management systems and social or economic policy objectives. The NIH Grants Policy Statement, which is incorporated into the award terms and conditions, provides an overview of the National Policy Requirements,
- Award Performance Goals. The application for funding identifies the anticipated project goals. The PI must submit the Research Performance Progress Report (RPPR) that details the project's progress towards those goals.
- Award Terms and Conditions. The award terms and conditions include provisions addressing:
 - Research and Development (R&D) designation
 - Federal Demonstration Partnership (FDP) participation
 - If prior agency approval is required to carry forward unobligated balances to the next budget period
 - Whether the award is subject to Streamlined Noncompeting Award Procedures (SNAP)
 - Requirements for the university to maintain an active DUNS number and registration in the System for Award Management (SAM), and to include these requirements in any subaward agreement
 - Requirement to use the FAIN on subaward agreements
 - Compliance with the Federal Funding and Transparency Act (FFATA) subaward reporting requirements
 - NIH Public Access Policy requirements

- Mandatory disclosure requirements and Federal Awardee Performance and Integrity Information System (FAPIIS) self-reporting requirements

The end of Section III will identify which program income treatment method is applicable to the award.

SECTION III – TERMS AND CONDITIONS – 1R01GM317713-01A1

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

Section IV – Special Terms and Conditions

Section IV provides institute- and award-specific terms and conditions. The provisions in Section IV will vary based on the awarding institute and the nature of the specific award. The PI and grants administrator should carefully review Section IV to determine the extent of the special terms and conditions on award management.

SECTION IV – GM Special Terms and Conditions – 1R01GM317713-01A1

This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice [NOT-OD-16-046](#).

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. Therefore, this award and/or future years are adjusted accordingly, if applicable. Current salary cap levels can be found at the following URL: http://grants.nih.gov/grants/policy/salcap_summary.htm

This award includes funds awarded for consortium activity with OSU in the amount of \$58,748 (\$40,908 direct costs + \$17,840 facilities and administrative costs). Recommended levels in future years also include costs for this purpose. Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH GPS is available at:

http://grants.nih.gov/grants/policy/nihgps/HTML5/section_15/15.1_general.htm

Section V – Contacts

Section V provides the contract information for two agency officials:

- The Grants Management Specialist, who is responsible for the financial and administrative requirements of the award
- The Program Official, who is responsible for the scientific and programmatic aspects of the award

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Jamie Garcia
Email: jgarcia777@nigms.nih.gov **Phone:** 301-555-5141 **Fax:** 301-555-5601

Program Official: Adrian Stewart
Email: astew734@nih.gov **Phone:** 301-555-1511

8.4.1.2 SNAP Awards

Background

The National Institutes of Health (NIH) implemented the Streamlined Non-Competing Award Process (SNAP) program to simplify the requirements of the non-competing application and financial reporting processes. One of SNAP's main benefits is that it requires financial status reports (FSRs) only at the end of the competitive segment, rather than annually.

Criteria

SNAP is effective for all competing and non-competing grants with start dates of July 1, 1995, or later. It applies to all mechanisms routinely covered under [expanded authorities](#), except Program Project Grants (PO1s) and Outstanding Investigator Grants (R35s). Terms and conditions on the Notice of Grant Award may specifically include or exclude awards from SNAP.

Summary of reporting requirements

- FSRs are no longer required annually.
- FSRs are required 90 days after the end of the competitive segment or project period.
- FSRs should reflect cumulative support provided for the entire competitive segment.
- FSRs must be submitted whether or not the grant receives funding for a competitive renewal.
- FSRs must be submitted if a grant terminates early.
- FSRs must be submitted if a grant is transferred to a new institution.

Caution

Although SNAP is intended to streamline requirements, it does not diminish the importance of effective monitoring of grant funds. NIH will monitor the quarterly Federal Cash Transaction Report breakdown of transactions to determine if the pattern of expenditures indicates possible problems. Fund managers for federal awards must assure that federal funds are expended for the purpose for which the grant was awarded and in compliance with federal regulations.