

Summary of Significant Changes to the NIH GPS for October 2013 Version
(Guide Notices Issued Before October 1, 2013)

The revised NIH Grants Policy Statement (NIHGPS, rev. 10/01/2013) represents an update to the 10/01/2012 version and is applicable to all NIH grants and cooperative agreements beginning on or after October 2013. While the update does not introduce any new material for the first time, it incorporates new and modified requirements, clarifies certain policies, and implements changes in statutes, regulations, and policies that have been implemented through appropriate legal and/or policy processes since the previous version of the NIHGPS dated 10/01/2012. The 10/01/2013 revision supersedes, in its entirety, the NIH Grants Policy Statement (10/01/2012) as a standard term and condition of the award.

Notable Policy Changes: Implements new policies and clarification of existing policies announced in the NIH Guide since October 2012, and listed at [Grants Policy & Guidance](#).

Section	Significant Changes	Reason
PART 1: NIH Grants – General Information Chapter 1 – Glossary & Definitions	Section 1.1 Abbreviations & Section 1.2: Added new abbreviation and definition for FAIN.	Supports June 12, 2013 OMB Memorandum on Improving Data Quality for USASpending.gov
	Added new definition for “Component” as it applies to applications and progress reports	In response to user input
Chapter 2 – The National Institutes of Health as a Grant-Making Organization	Section 2.2.1.3 eRA Commons Registration for Other Individuals Participating on NIH Progress Reports: Revised text to support new policy.	This section previously covered the requirement for a Commons ID for those participating in a postdoctoral role. This section has now been expanded to implement new policy announced in NIH Guide Notice OD-13-097
	Section 2.3.7.7 Post-Submission Grant Application Materials: Revised text reflecting revision to NIH policy.	Implements policies announced in NIH Guide Notice OD-13-030
	2.3.9.4 Similar, Essentially Identical, or Identical Applications: Revised text to clarify resubmission applications.	Implements policies announced in NOT-OD-12-128
	2.4.4 Disposition of Applications: Revised text to clarifying resubmission requirements.	Implements policies announced in NOT-OD-12-128

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	Section 2.5.1 – Just-in-Time Procedures: New text reflecting revision to NIH policy for SBIR/STTR Funding Agreement Certification.	Implements policies announced in NOT-OD-13-116
PART II: Terms and Conditions of NIH Grant Awards Chapter 4 – Public Policy Requirements, Objectives and Other Appropriation Mandates	Section 4.1.22 President’s Emergency Plan for AIDS Relief (PEPFAR) Program NEW Section on terms specific to awards issued using PEPAR funds	Implements Program-Specific Terms of Award for all grants funded under the U.S. President’s Emergency Plan for AIDs Relief (PEPFAR) program.
	4.1.24.2 Dual Use Research Concern: New Section implementing new NIH Policy.	Implements policy announced in NOT-OD-13-107 and NOT-OD-13-110 .
	4.1.27 Research Involving Recombinant or Synthetic Nucleic Acid Molecules (including Human Gene Transfer Research): Revised Text .	Revised text to align with March 2013 revision of the <i>NIH Guidelines</i> .
	4.2.6 Lobbying—Appropriation Prohibition: Revised text to more completely align with FY2012 Appropriations Language	Clarification based on user input
Chapter 6-Payment	New Section 6.4, Improper Payments Elimination and Recovery Improvement Act	New section implementing new Federal agency requirements from P.L. 112-248, including the Do Not Pay provision.
Chapter 8 – Administrative Requirements	8.4.1.1 Non-Competing Continuation Progress Reports: Revised text requiring use of RPPR for SNAP and fellowship awards.	Implements policy announced in NOT-OD-13-035

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	8.4.1.1.1 Requirement for Commons ID NEW Section expanding the requirement for reporting of commons ID in progress reports for PI/PDs and post docs who worked on the project, to include graduate students and undergraduates.	Implements new policy announced in NOT-OD-13-097
	8.4.1.1.2 Expectation for Institutions to Develop Individual Development Plans for Graduate Students and Postdoctoral Researchers: NEW Section encouraging IDPs for graduate students and postdoctoral researchers.	Implements new policy announced in NOT-OD-13-093
	8.4.1.2.1 Modified Annual Progress Report and 8.4.1.2.4 Submitting SNAP Progress Reports: Revised text implementing the RPPR for SNAP awards.	Implements policy announced in NOT-OD-13-035
Chapter 11– Ruth L. Kirchstein National Research Service Awards	11.2.1 General: Revised text clarifying NRSA authority.	Implements recommendations of the Biomedical Workforce Development initiative on Physician Scientists. The full report can be found at: http://acd.od.nih.gov/Biomedical_research_wgreport.pdf
	Sections: <ul style="list-style-type: none">• 11.2.8.2 Payment;• 11.2.9.4 Institutional Allowance; and• 11.2.10.7 Form 1099 Revised text to implement changes in payment of Federal and Foreign Fellowships.	Implements new HHS payment policy announced in NOT-OD-13-111 .

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	Section 11.2.11.4 – Progress Reports: Revised text making RPPR mandatory for fellowship awards	Implements policy announced in NOT-OD-13-035
	Section 11.3.13.4-Progress Reports: NEW text encouraging IDPs for graduate students and postdoctoral researchers supported on Institutional Training Grants	Implements new policy announced in NOT-OD-13-093
Chapter 12 – Research Career Development (“K”) Awards	Section 12.2.3.2.1 Eligibility: Revised text clarifying eligibility requirements for the K99/R00 program	Implements recommendations of the Biomedical Workforce Development initiative. The full report can be found at: http://acd.od.nih.gov/Biomedical_research_wgreport.pdf
	Section 12.11.1 – Progress Reports: Revised text making RPPR mandatory for K awards issued under the SNAP authorities	Implements policy announced in NOT-OD-13-035
Chapter 13 – Modular Applications and Awards	Section 13.2-Applicability: Revised text clarifying to which programs the modular procedures apply.	Clarifying text based on user input.
Chapter 15—Consortium Agreements	15.2.1 Written Agreement: Revised text expanding the minimal requirements for grantees in establishing consortium agreements. New text reminding grantees of the DUNS, subrecipient and FAIN requirements that apply to subrecipients	Clarifying text based on user input and to support the June 12, 2013 OMB Memorandum on Improving Data Quality for USASpending.gov.
	15.2.3 Consortium/Allowable Costs: NEW text clarifying allowable costs for consortium agreements with Federal organizations.	Clarifying text based on user input.
Chapter 17—Grants to Federal Institutions and Payments to Federal Employees Under Grants	17.5 Payment & 17.7.4 Reporting Requirements: Revised text implementing changes in payment of Federal Institutions	Implements new HHS payment policy announced in NOT-OD-13-111 .

Section	Significant Changes	Reason
Chapter 18 – Grants to For-Profit Organizations	Section 18.5—Small Business Innovation Research and Small Business Technology Transfer Programs: New text describing Phase IIB programs	Clarifying text based on user input
	Section 18.5.2 – Eligibility: Revised Text implementing new SBA eligibility regulations	Implements new requirements in PA-13-234 , PA-13-235 , and NOT-OD-13-071
	18.5.4.1 Program Levels (Total Costs) Revised text clarifying total cost levels for SBIR/STTR applications	Implements new program requirements PA-13-234 and PA-13-235
	18.5.5.4 SBIR Life Cycle Certification and 18.5.5.5 STTR Life Cycle Certification; New Text to support new SBA requirements	Implements new SBA requirements announced in NOT-OD-13-116
PART III: Points of Contact Chapter 20 – Institutes and Centers	Section 20 – Institutes and Centers	Updated addresses for the National Cancer Institute (NCI) and the National Institute on Deafness and Other Communication Disorders (NIDCD)