

**TRIVIAL PURSUIT: TEST YOUR NIH KNOWLEDGE! ARE YOU GAME?  
ANSWER SHEET**

### **(Category 1) Change of Recipient**

- 1.) This form starts the Change of Recipient process. - **\$200-(GPS-8.1.2.7)**
  - a. The Relinquishing Statement (PHS3734 form)
  
- 2.) What documents are submitted by the new institution? - **\$400-(GPS-8.1.2.7)**
  - a. A signed Face Page
  - b. A resources page including a description of the facilities at the new institution and the probable effect of the move on the project.
  - c. Budget pages (current and future years). If the original award was a modular grant this also applies
  - d. For modular grants, narrative budget justification, including total direct costs and F&A costs for the current budget period If the grant currently includes salary support for the PI or any other transferring member of the project and continued salary support is not required at the new institution, a statement regarding the proposed re-budgeting of these funds is required.
  - e. A statement concerning the current research plan and an indication of whether the original plan has changed. If changed, appropriate details should be provided.
  - f. Updated biographical sketches for all key personnel Updated other support pages for all key personnel.
  - g. An approved IRB/IACUC assurance, if applicable.
  
- 3.) These documents are submitted by the old institution. - **\$600-(GPS-8.1.2.7)**
  - a. Relinquishing statement
  - b. Final Invention Statement
  - c. Final FFR
  
- 4.) The budget should not exceed the direct cost previously recommended. (True or False)-**\$800-(GPS-8.1.2.7)**
  - a. True
  
- 5.) This is what its called when most of the research is still being performed at the previous institution. **\$1,000-(GPS 15.1) - (Daily Double: Additional \$1,000)**
  - a. What is Conduit of Funds

### **(Category 2) Prior Approvals**

- 1) Under what circumstances does a grantee request carryover - **\$200-(GPS-8.1.2.4)**
  - a. If the NOA indicates no carryover authority – non-Snap awards.
  
- 2) At minimum these three items must be included in carryover request - **\$400-(GPS-8.1.2.4)**

- a. Detailed budget(s) for Prime and Consortiums
  - b. A scientific justification for use of funds
  - c. The reason for the unobligated balance
- 3) In order to submit a 2<sup>nd</sup> NCE request these items should be submitted - **\$600-(GPS-8.1.2.1)**
- a. What is a detailed explanation of why the project could not be completed by the originally approved end date.
  - b. what is a Scientific rationale for continuing the project.
  - c. what is a brief (not to exceed one page) progress report that communicates scientific progress made from submission of the last RPPR to present.
  - d. what is the detailed Budget and is a budget justification (consortiums budgets/budget justifications, if applicable).
  - e. what is PHS2590 checklist
  - f. Level of effort of key personnel named in the NOA - [Section 8.1.1.3](#) of the NIH Grants Policy Statement requires a measurable level of effort of key personnel during an extension.
  - g. Updated certifications and assurances, including IRB (if applicable under the Revised Common Rule) and IACUC approvals.
- 4) These items are required to request a change in principal investigator or other key personnel – **\$800-(GPS-8.1.2.6)**
- a. Justification for the change
  - b. Biographical sketch of the individual proposed
  - c. Current other support information of the individual proposed
  - d. Contributing level of effort to this project of the individual proposed
  - e. Any budget changes resulting from the proposed change
  - f. Certification of Human Subjects Protection Training of the individual proposed, (if applicable)
- 5) There are 12 indicators that could warrant a change of scope, please name 3.- **\$1,000-(GPS-8.1.2.5)**
- a. Change in specific aims approved at the time of the award.
  - b. Substitution of one animal model for another.
  - c. Change from the approved use of live vertebrate animals.
  - d. Change from the approved involvement of human subjects that would result in an increased risk. This includes:
  - e. Shift of the research emphasis from one disease area to another.
  - f. A clinical hold by FDA under a study involving an IND or an IDE.
  - g. Application of a new technology, e.g., changing assays from those approved to a different type of assay.
  - h. Transfer of the performance of substantive programmatic work to a third party through a consortium agreement, by contract, or any other means. If the third party is a foreign component, NIH prior approval is always required.

- i. Change in other senior/key personnel not specifically named in the NoA (see [Change in Status, Including Absence, of PD/PI and Other Senior/Key Personnel Named in the NoA](#) below for requirements for NIH approval of alternate arrangements for or replacement of named senior/key personnel).
- j. Significant rebudgeting, whether or not the particular expenditure(s) require prior approval. Significant rebudgeting occurs when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by 25 percent or more of the total costs awarded. For example, if the award budget for total costs is \$200,000, any rebudgeting that would result in an increase or decrease of more than \$50,000 in a budget category is considered significant rebudgeting. The base used for determining significant rebudgeting excludes the effects of prior-year carryover balances but includes competing and non-competing supplements. Significant rebudgeting does not apply to modular grants.
- k. Incurrence of research patient care costs if costs in that category were not previously approved by NIH or if a recipient desires to rebudget additional funds beyond those approved into or rebudget funds out of the research patient care category.
- l. Purchase of a unit of equipment exceeding \$25,000.

### **(Category 3) Research Performance Progress Report - RPPR**

- 1) This tool is used to report inventions. - **\$200-(GPS-8.2.4 Inventions and Patents (GPS-8.4.1.6-Invention Reporting)**
  - a. iEdison
- 2) These individuals are listed on the participant table. - **\$400-(GPS-8.4.1 & NIH RPPR Instruction Guide 6.4 – Section D – Participants)**
  - a. PD/PI
  - b. Each person who has worked at least one person month per year on the project during the reporting period.
- 3) In the RPPR these items are typically required when there's a foreign component to report. - **\$600-(GPS-16.7 & NIH RPPR Instruction Guide 6.5 – Section E(E.4) & 6.7 – Section G (G.9)**
  - a. Dollar amount being sent to foreign countries (E.4)
  - b. If human subjects or live vertebrate animals are involved (G.9)
  - c. Extensive foreign travel by recipient project staff to collect data, or conduct surveys or sampling activities (G.9)
  - d. Any recipient activity that may have an impact on U.S. foreign policy. (G.9)
- 4) At what percentage must you report the unobligated balance in the RPPR. - **\$800-(GPS-8.4 & NIH RPPR Instruction Guide 6.7 Section G (G.10)**
  - a. 25% or greater of the current year's total approved budget.

- 5) These are the due dates for annual Research Performance Progress Reports - **\$1,000-(GPS-8.4.1.2.4 & 8.4.1.3 – all due dates are in Section 3 of NIH RPPR Instruction Guide)**
  - a. SNAP - 15th of the month preceding the month in which the budget period ends.
  - b. Non-SNAP - the progress report is due the first of the month preceding the month in which the budget period ends.
  - c. Multi Year Funded (MYF) - due annually on or before the anniversary of the budget/project period start date of the award.

## **(Category 4) Name that ACRONYM**

- 1) RPPR/IRPPR/FRPPR - **\$200-(GPS-8.4.1 and NIH RPPR Instruction Guide 5.2.1)**
  - a) Annual RPPR (Research Performance Progress Report)- Use to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.
  - b) Interim RPPR (Research Performance Progress Report) – Use when submitting a renewal (Type 2) application. If the Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. If the Type 2 is funded, the Interim RPPR will serve as the annual RPPR for the final year of the previous competitive segment. The data elements collected on the Interim RPPR are the same as for the Final RPPR, including project outcomes.
  - c) Final RPPR (Research Performance Progress Report) - Use as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR. A final progress report is required for any grant that has passed its project end date and will not be extended through award of a new competitive segment.
- 2) IACUC/ IRB/ sIRB- **\$400-(GPS-1.1)**
  - a. IACUC: (Institutional Animal Care and Use Committee) The Institutional Animal Care and Use Committee, or IACUC, is a committee appointed by the Chief Executive Officer of the institution.
  - b. IRB: (Institutional Review Board) An institutional review board (IRB) is the institutional entity charged with providing ethical and regulatory oversight of research involving human subjects, typically at the site of the research study.
  - c. sIRB: (single Institutional Review Board) NIH Single IRB policy affects multi-site studies involving non-exempt human subjects research funded by NIH and applies to grant applications with due dates on or after January 25, 2018, and R&D contracts in response to solicitations issued on or after January 25, 2018.
- 3) MTDC/ F&A - **\$600-(GPS-1.1)**
  - a. Modified Total Direct Cost (MTDC) All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental

costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

- b. Facilities and Administrative (F&A) costs (or indirect costs (IDC)) Necessary costs incurred by a recipient for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of F&A (indirect) costs. F&A (indirect) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.

4) NOFO - **\$800-(GPS-1.1)**

- a. Notices of Funding Opportunities What's in a name? A funding opportunity announcement (FOA) by any other name would sound as sweet. NIH advertises available grant support through funding opportunities that provide information on the award, who is eligible to apply, the evaluation criteria for selection of an awardee, required components of an application, and how to submit an application. In an effort to standardize terminology across the government, NIH is joining other federal agencies in using the term notices of funding opportunities (NOFOs) rather than funding opportunity announcements (FOAs). You will see both terms in use while we work to update our websites and resources.

5) OLAW / OPERA - **\$1,000-(GPS-1.1)**

- a. OLAW (Office of Laboratory Animal Welfare) is responsible for requesting, negotiating, approving, or disapproving, and, as necessary, restricting or withdrawing approval of Assurances.
- b. OPERA (Office of Policy for Extramural Research Administration) develops and maintains the NIH Grants Policy Statement (GPS). Changes in statutes, regulations, or policies that take effect before the next revision of the NIHGPS will be published separately in the NIH Guide for Grants and Contracts

## **(Category 5) Is this Allowable (Yes or No)**

1) 3% Escalation in Salaries -**\$200-(GPS-13.3.1)**

- a. No

2) Based on this example, are these increased costs allowable? - **\$400-(GPS- 7.2)**

	YR1	YR2	YR3	YR4	YR5
<b># of mice</b>	15	20	25	30	30
<b>Cost per mouse</b>	\$3	\$3	\$3	\$3	\$3
<b>Total Requested</b>	\$45	\$60	\$75	\$90	\$90

- a. Yes
- 3) Requesting a supplement for already committed costs. - **\$600-(GPS-8.1.2.12)**
  - a. No
- 4) Trainee Costs -**\$800-(GPS-7.9.1)**
  - a. Yes
- 5) Alcoholic Beverages-**\$1,000-(GPS-7.9.1)**  
 Unallowable as an entertainment expense, but allowable if within the scope of an approved research project

## **(Category 6) NIH Grants Policy Statement**

- 1) This is the only official notification that a grant award has been made. -**\$200-(GPS-1.2)**
  - a. Notice of Award (NOA)
- 2) This is the centralized grants payment and cash management system. - **\$400-(GPS-1.2)**
  - a. Payment Management System (PMS)
- 3) These are the four tests to determine the allowability of costs. - **\$600-(GPS-7.2)**
  - a. Reasonable
  - b. Allocability
  - c. Consistency
  - d. Conformance
- 4) These are the components of a JIT (Just in time) submission. - **\$800- (GPS 2.5.1)**
  - a. Other Support
  - b. Certification of IRB approval *(if applicable)*
  - c. Verification of IACUC approval *(if applicable)*
  - d. Human Subjects Education Requirement *(if applicable)*
  - e. Human Embryonic Stem Cells (hESCs) *(if applicable)*
  - f. Genomic Data Sharing Institutional Certification *(if applicable)*
  - g. SBIR Funding Agreement Certification *(if applicable)*
  - h. STTR Funding Agreement Certification *(if applicable)*
  - i. F&A Rate Agreement (Recipient and Sub-recipient)
- 5) These are the 9 application type codes. **\$1,000-(GPS 1.2) - (Daily Double: Additional \$1,000)**

- a. 1 – New - Initial request for NIH to fund a project that has not been funded before. Type 1 applications compete with other applications in peer review for funding.
- b. 2 – Renewal - Requests an additional funded project period after the current award. Type 2 applications compete with other applications in peer review for funding.
- c. 3 – Supplement
- d. 4 – Transition - Requests additional years of support beyond the previously awarded project period. Type 4 does not require external peer review.
- e. 5 - Non-competing - Through the Research Performance Progress Report (RPPR), a grantee requests a subsequent budget period within a previously approved project. NIH uses type 5 to support the out years of a grant. Type 5 does not compete with other applications.
- f. 6 - Change in Successor
- g. 7 – transfer application- In situations other than type 6, transfers the rights to and obligations of a grant from one entity to another before the end of the project period.
- h. 8 – change of a non-compete to another IC or division
- i. 9 – change of a renewal to another IC or division