



RESEARCH BROWN BAG

JAN. 30, 2012

AGENDA

- Consolidated Appropriations Act of 2012
- NIH – New Salary Cap
- NIH Fiscal Policy for Grant Awards – FY 2012
- NIH Notice of Legislative Mandates in Effect for FY2012
- Ruth Kirschstein NRSA Levels for FY2012
- December RFS Statistics

CONSOLIDATED APPROPRIATIONS ACT OF 2012

- Signed into law December 23, 2011
- Restricts the amount of direct salary to Executive Level II of the Federal Executive Pay scale
 - From \$199,700 to **\$179,700**
- Applies to all DHHS Agencies; NIH, AHRQ, SAMHSA, HRSA, CDC, FDA, CMS.....

NIH GUIDANCE - NEW SALARY CAP

- Notice #: NOT-OD-12-035
 - Notice of Salary Limitation on Grants, Cooperative Agreements, and Contracts
 - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-035.html>
 - Released 1/20/12

FY2012 AWARDS

- Competing grant awards with budgets reflecting salary levels at or above the new limit (issued 12/23/11 or after) will reflect adjustments to the current and all future years by the agency.
(\$179,700)
- Competing grant awards (issued prior to 12/23/11), no adjustments to salaries are required however future years for these awards will be adjusted to reflect new level by the agency.

WHAT DOES THIS MEAN FOR US

- The initial issue date of the FFY2012 portion of your award will be the determinant of which salary cap applies (FFY=Federal Fiscal Year 10/1 - 9/30)
- FY2012 Initial Award Date of 10/1/2011–12/22/2011
Salary cap is Executive Level I or \$199,700 and remains \$199,700 until FY2013 funds are awarded
(We have 19 awards this may be applicable to)
- FY2012 Initial Award Date of 12/23/2011 and beyond
– Salary Cap is Executive Level II or \$179,700

WHAT DOES THIS MEAN FOR US

- FY2011 awards also continue to use the \$199,700 cap. FY11 funds carried forward into FY12 award periods also remain at the \$199,700 rate.
 - The \$179,700 level is applicable when expenditure of FY12 funds awarded on or after 12/23/2011 begins
- Non-competing award of FY12 funds will not be recalculated to adjust for the decrease in the salary limitation prior to award and departments can rebudget any funds freed as a result of the lower cap.

WILL MY AWARD BE REDUCED?

- Non-competing award of FY12 funds will not be recalculated to adjust for the decrease in the salary limitation prior to award and departments can rebudget any funds freed as a result of the lower cap.
- Competing awards with an issue date of 12/23/11 and after with categorical budgets reflecting salary levels at or above the new limit will reflect adjustments to the current and future yrs.

NEXT STEPS

- All new proposal submissions should use the new Executive level II salary cap of \$179,700.
- Grant Accounting will contact Dept. Adm. if a retroactive PA is necessary for faculty over the cap for FFY12 funds awarded after 12/22/11.
- Grant Accounting is also working to try to incorporate the applicable salary cap onto the PIN report and in SUMMIT.

WHERE CAN I GET HELP?

- RFS will be able to assist if you have concerns regarding your award/funding amounts.
- Contact your Grant Accountant if you have any questions.
- Salary cap worksheet on the Financial Services website to assist in determining salary cap funding distributions.

<http://inside.umassmed.edu/financialservices/forms/index.aspx>

NIH FISCAL POLICY FOR GRANT AWARDS – NOTICE NOT-OD-12-036

- Provides guidance about the NIH Fiscal Operations Plan for FY 2012 and P.L. 112-74, signed by President Obama on December 23, 2011. The Act provides NIH with \$30.7 billion, an increase of less than one percent over FY 2011 (after transfers).
- The following NIH fiscal policies are instituted in FY 2012:
 - **FY2012 Funding Levels:** Non-competing awards will be issued without cost of living/inflationary adjustments in FY 2012. Adjustments for special needs (such as equipment and added personnel) will continue to be accommodated. This policy applies to all grants (research and non-research) when applicable.
 - The NIH will make efforts to keep the average size of awards constant at FY 2011 levels or lower. For new and competing grants, NIH awarding Institutes/Centers (IC) will develop funding principles consistent with overall NIH goals, considering the funds provided to their IC this fiscal year.

Inflationary Increases for Future Years: Inflationary increases for future year commitments will be discontinued for all competing and non-competing research grant awards issued in FY 2012. Adjustments for special needs (such as equipment and added personnel) will continue to be accommodated.

FY 2012 awards that have already been issued will be revised to adjust the award level and future year commitments in accordance with these principles.

NIH FISCAL POLICY FOR GRANT AWARDS

NOTICE NOT-OD-12-036 CONTINUED

- **Ruth L. Kirschstein National Research Service Awards (NRSA):** The NIH will implement a two percent increase at all stipend levels.

New Investigators: NIH will continue to support new investigators on R01 equivalent awards at success rates equivalent to that of established investigators submitting new (Type 1) R01 equivalent applications. Achievement of comparable success rates should permit the NIH to support new investigators in accordance with the policies established in FY 2009 and subsequent years and described at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-013.html> and at http://grants.nih.gov/grants/new_investigators/index.htm.

Salary Limits: Section 203 of the Consolidated Appropriations Act prohibits payments for salaries under grants and other extramural mechanisms to rates in excess of Executive Level II. Guidance related to Section 203 will be published in the NIH Guide in the near future.

- **Per NOT-OD-12-034, FY 2011 Legislative Mandates that remain in effect for FY12 are as follows:**

1. Acknowledgment of Federal Funding (Section 505)
2. Restriction on Abortions (Section 506)
3. Exceptions to Restriction on Abortions (Section 507)
4. Ban on Funding Human Embryo Research (Section 508)
5. Limitation on Use of Funds for Promotion of Legalization of Controlled Substances (Section 509)
6. Certification of Filing and Payment of Taxes (Section 519)

- **Amended Legislative Mandates in effect are as follows:**

7. Dissemination of False or Misleading Information (Section (516(b))).

Removed reference to “scientific” information. Now prohibits dissemination of all false or misleading information.

8. Restriction on Distribution of Sterile Needles (Section 523)

Removed references to the purposes of needle distribution and to public health and law enforcement determinations. Now prohibits all programs to distribute sterile needles or syringes for the hypodermic injection of any illegal drug.

9. Salary Limitation (Section 203)

Effective December 23, 2011, the Salary Limitation is based upon the Executive Level II of the Federal Executive Pay Scale. That amount is \$179,700.

10. Anti-Lobbying (Section 503)

– Now prohibits the use of “electronic communication” for lobbying. Also, added a prohibition on lobbying for tax increases and for restrictions on any legal consumer product, particularly, the advocacy or promotion of gun control.

- **Additional Legislative Mandate in effect is as follows:**

11. Gun Control (Section 218)

KIRSCHSTEIN NRSA STIPENDS TUITION/FEES & OTHER BUDGETARY LEVELS FOR FY 2012 (NOT-OD-12-033)

- Establishes new stipend levels for fiscal year (FY) 2012 Kirschstein-NRSA awards for undergraduate, predoctoral, and postdoctoral trainees and fellows. The Tuition and Fees, Training Related Expenses for trainees, and the Institutional Allowance for individual fellows remain unchanged.
- The budgetary categories described in this Notice are effective only for Kirschstein-NRSA awards made with FY 2012 funds. All FY 2012 awards issued using FY 2011 stipend levels will be revised to increase the stipend category to the FY 2012 level. For institutional training grants already awarded in FY 2012, if trainees have been appointed to the FY 2012 budget period, the grantee institution must amend those appointments to reflect the FY 2012 stipend level once the revised award is received. Amended appointments must be submitted through xTrain in the eRA Commons. Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2011 are not permitted.

KIRSCHSTEIN NRSA STIPENDS CONTINUED

Stipends

- Effective with all Kirschstein-NRSA awards made on or after October 1, 2011, the following annual stipend levels apply to all individuals receiving support through institutional research training grants or individual fellowships, including the Minority Access to Research Career (MARC) and Career Opportunities in Research (COR) programs.
- Undergraduates in the MARC and COR Programs:

Career Level	Stipend for FY 2012
Freshmen/Sophomores	\$8,304
Juniors/Seniors	\$11,628

Predoctoral and Postdoctoral:

Career Level	Years of Experience	Stipend for FY 2012
Predoctoral	All	\$22,032
Postdoctoral	0	\$39,264
	1	\$41,364
	2	\$44,340
	3	\$46,092
	4	\$47,820
	5	\$49,884
	6	\$51,582
	7 or More	\$54,180

- These stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.
- NRSA support is limited to 5 years for predoctoral trainees, and 3 years for postdoctoral fellows. The NIH provides eight levels of postdoctoral stipends to accommodate individuals who complete other forms of health-related training prior to accepting a Kirschstein-NRSA supported position. (The presence of eight discrete levels of experience, however, does not constitute an endorsement of extended periods of postdoctoral research training.)
- It should be noted that the maximum amount that NIH will award to support the compensation package for a graduate student research assistant remains at the zero level postdoctoral stipend.

DECEMBER METRICS

Proposals Submitted to RFS

On Time	34	43.59%
Late	38	48.72%
After the fact	6	7.69%
Total	78	100.00%
Expedited Request (3 days or less)	26	33.33%

MONTH TO MONTH COMPARISON

PROPOSALS	October	November	December
On Time	52%	41%	43%
Late	44%	49%	49%
After the fact	4%	9%	8%
Total	100%	100%	100%
Expedited Request (3 days or less)	40%	36%	33%

PROGRESS REPORT METRICS - DECEMBER

Progress Reports Submitted to RFS	18	
eSNAP	12	
Federal Paper submissions	2	
Other Non-Federal submissions	4	
On Time	8	44.50%
Late	8	44.50%
After the fact	2	11.00%
Expedited Request (3 days or less)	8	44.50%

MONTH TO MONTH COMPARISON

PROGRESS REPORTS	October	November	December
On Time	32%	72%	44.5%
Late	58%	27%	44.5%
After the fact	10%	1%	11.0%
Total	100%	100%	100%
Expedited Request (3 days or less)	63%	28%	44.5%