

**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](#).

<b>Section</b>	<b>Significant Changes</b>	<b>Reason</b>
<b>PART 1: NIH Grants – General Information</b>  <b>Chapter 1 – Glossary &amp; Definitions</b>	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
<b>Chapter 2 – The National Institutes of Health as a Grant-Making Organization</b>	Section 2.2.1.3 eRA Commons Registration for Other Individuals Participating on NIH Progress Reports: <b>Revised text</b> 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 <a href="#">OD-13-097</a>
	Section 2.3.7.7 Post-Submission Grant Application Materials: <b>Revised text</b> reflecting revision to NIH policy.	Implements policies announced in NIH Guide Notice <a href="#">OD-13-030</a>
	2.3.9.4 Similar, Essentially Identical, or Identical Applications: <b>Revised text</b> to clarify resubmission applications.	Implements policies announced in <a href="#">NOT-OD-12-128</a>
	2.4.4 Disposition of Applications: <b>Revised text</b> to clarifying resubmission requirements.	Implements policies announced in <a href="#">NOT-OD-12-128</a>

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	Section 2.5.1 – Just-in-Time Procedures: <b>New text</b> reflecting revision to NIH policy for SBIR/STTR Funding Agreement Certification.	Implements policies announced in <a href="#">NOT-OD-13-116</a>
<b>PART II: Terms and Conditions of NIH Grant Awards</b>  <b>Chapter 4 – Public Policy Requirements, Objectives and Other Appropriation Mandates</b>	Section 4.1.22 President’s Emergency Plan for AIDS Relief (PEPFAR) Program  <b>NEW Section</b> 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: <b>New Section</b> implementing new NIH Policy.	Implements policy announced in <a href="#">NOT-OD-13-107</a> and <a href="#">NOT-OD-13-110</a> .
	4.1.27 Research Involving Recombinant or Synthetic Nucleic Acid Molecules (including Human Gene Transfer Research): <b>Revised Text</b> .	Revised text to align with March 2013 revision of the <i>NIH Guidelines</i> .
	4.2.6 Lobbying—Appropriation Prohibition: <b>Revised text</b> to more completely align with FY2012 Appropriations Language	Clarification based on user input
<b>Chapter 6-Payment</b>	<b>New Section</b> 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.
<b>Chapter 8 – Administrative Requirements</b>	8.4.1.1 Non-Competing Continuation Progress Reports: <b>Revised text</b> requiring use of RPPR for SNAP and fellowship awards.	Implements policy announced in <a href="#">NOT-OD-13-035</a>

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

Section	Significant Changes	Reason
	Section 11.2.11.4 – Progress Reports: <b>Revised text</b> making RPPR mandatory for fellowship awards	Implements policy announced in <a href="#">NOT-OD-13-035</a>
	Section 11.3.13.4-Progress Reports: <b>NEW text</b> encouraging IDPs for graduate students and postdoctoral researchers supported on Institutional Training Grants	Implements new policy announced in <a href="#">NOT-OD-13-093</a>
<b>Chapter 12 – Research Career Development (“K”) Awards</b>	Section 12.2.3.2.1 Eligibility: <b>Revised text</b> clarifying eligibility requirements for the K99/R00 program	Implements recommendations of the Biomedical Workforce Development initiative. The full report can be found at: <a href="http://acd.od.nih.gov/Biomedical_research_wgreport.pdf">http://acd.od.nih.gov/Biomedical_research_wgreport.pdf</a>
	Section 12.11.1 – Progress Reports: <b>Revised text</b> making RPPR mandatory for K awards issued under the SNAP authorities	Implements policy announced in <a href="#">NOT-OD-13-035</a>
<b>Chapter 13 – Modular Applications and Awards</b>	Section 13.2-Applicability: <b>Revised text</b> clarifying to which programs the modular procedures apply.	Clarifying text based on user input.
<b>Chapter 15—Consortium Agreements</b>	15.2.1 Written Agreement: <b>Revised text</b> 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: <b>NEW text</b> clarifying allowable costs for consortium agreements with Federal organizations.	Clarifying text based on user input.
<b>Chapter 17—Grants to Federal Institutions and Payments to Federal Employees Under Grants</b>	17.5 Payment & 17.7.4 Reporting Requirements: <b>Revised text</b> implementing changes in payment of Federal Institutions	Implements new HHS payment policy announced in <a href="#">NOT-OD-13-111</a> .

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