National Science Foundation and National Institutes of Health Proposal Success Rate Show Marginal Change from Fiscal Year 2014 to Fiscal Year 2015

According to the April 2016 Federal Grants News, proposal success rates at both the National Science Foundation (NSF) and the National Institutes of Health (NIH) showed a slight increase from fiscal year (FY) 2014 to FY 2015. Success rates are calculated by taking the number of awards made divided by the number of applications reviewed.

At NSF, the increase was about one percent (1%), from a 23 to 24 percent (23-24%) success rate. Most of the NSF funding in FY 2015 was in the form of grant awards (74%) and cooperative agreements (21%). Contracts made up only five percent (5%) of the total number of awards. Excluding NIH medical research awards, NSF supports close to 60 percent (60%) of the total federal budget for basic research conducted at colleges and universities - or 24 percent (24%) of the total federal budget if NIH awards are included.

At NIH, although the total number of applications and awards increased, the proposal success rate increased marginally from 18.1 percent (18.1%) in FY 2014, to 18.3% in FY 2015. FY 2015 was a record-setting year for NIH, with the highest number of applications ever in a fiscal year (52,190). They also saw the highest average size of R01- equivalent awards ($435,525), and the highest average award size of an Research Project Grant (RPG) on record among all competing and non-competing awards ($477,786), although NIH's Deputy Director for Extramural Funding, Mike Lauer, notes that these totals have remained steady over the last two (2) years after adjusting for inflation.


More information on NIH statistics for FY 2015, may be found here: [http://nexus.od.nih.gov/all/2016/03/14/fy2015-by-the-numbers/](http://nexus.od.nih.gov/all/2016/03/14/fy2015-by-the-numbers/).
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UH’s Funding Rate in Comparison to NIH’s & NSF’s Funding Rate

The graphs below show the comparison of UH’s funding rate to NIH’s and NSF’s funding rate for FY 2009—2015. UH’s funding rate is calculated based on proposals submitted and awards received for each fiscal year. Therefore, there may be a timing lag between proposals submitted and funded in the indicated fiscal year. NIH and NSF funding rates are awarded based on proposals reviewed and awarded during the fiscal year.

![Graph showing NIH Funding Rate FY 2009 - 2015](image)

![Graph showing NSF Funding Rate FY 2009 - 2015](image)
Reminder: National Institutes of Health Updated Application Forms (FORMS-D) Effective as of May 25, 2016

As a reminder, if you are submitting an application to the National Institutes of Health (NIH) with a due date on or after May 25, 2016, you are required to use NIH's updated application forms (FORMS-D). For information on what the new forms look like and how new form fields will be enforced, see: http://grants.nih.gov/grants/ElectronicReceipt/files/Annotated_Forms_General_FORMS-D.pdf.

NIH has published a comparison guide to help you distinguish between the old (FORMS-C) and new (FORMS-D) application forms. For more information, see here: http://grants.nih.gov/grants/ElectronicReceipt/files/right_forms.pdf.

In order to prevent delay or rejection of your NIH application package, please make sure to choose the correct application forms for your due date and submit on time. NIH will not accept "incorrect form selection" as a reason to submit a late application. ASSIST users can use the "copy application" feature to easily move data from one form to another.

Should you have any questions, please contact Victoria Rivera, Manoa Contracts & Grants Manager, at riveravg@hawaii.edu, or (808) 956-5300.

President Obama's fiscal 2017 budget request includes a combined 4.2% increase in funds for research and development (R&D). Under the President’s proposal the research would increase by 5.7% and development by 3.0%. The President’s budget provides strong support for R&D that is likely to create industries and jobs of the future. Specific examples cited are robotics, cyber-physical systems, big data, the Materials Genome Initiative, the National Nanotechnology Initiative, and engineering biology. Funding is also included for the National Strategic Computing Initiative, space industries of the future, and cyber security technologies.

Highlights of the President’s budget include:

- $2.8 billion for U. S. Global Change Research Program.
- $7.7 billion for clean energy to meet the pledge to double clean energy R&D by 2021.
- $755 million for new cancer-related research activities.
- $309 million for the Precision Medicine Initiative.
- $700 million for U.S. Department of Agriculture competitively-awarded extramural research grants in the Agriculture and Food Research Initiative.
- $3.0 billion for STEM education programs.
- $4 billion for states and $100 million for districts for Computer Sciences For All to increase access for K-12 computer science education.

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Under the President’s budget, the National Institutes of Health (NIH) budget would increase $825 million or 2.6% to $33.1 billion and support about 10,000 new and competing NIH grants (see https://officeofbudget.od.nih.gov/pdfs/FY13/31-overview.pdf). The National Science Foundation’s budget would provide $7.96 billion in funding ($7.56 billion in discretionary and $400 million in new mandatory funding to make 10,100 new research grants (see http://tinyurl.com/gwxtg7h). For more information on the President’s budget, see https://www.whitehouse.gov/sites/default/files/microsites/ostp/fy_17_ostp_slide_deck.pdf.

**General Information**

Personnel performing work on National Institutes of Health’s (NIH’s) extramural projects are subject to a limitation for the amount of salary (“salary cap”) that can be recovered for highly compensated individuals. The U.S. Congress has set that salary cap at the Federal Executive Level II pay level, and the specific amount of the salary cap may change from year to year, depending on the actions of Congress. Adjustments for the salary cap are to be made when personnel receive UH salaries from NIH awards in excess of the salary cap amount. Currently, the salary cap amount is $185,100.

For the purposes of calculating salary chargeable to an NIH project, the salary cap is to be first applied to a specific UH appointment period (i.e., 9 month or 11 month appointment) and then to a level of effort. Note that allocable salary in excess of the cap cannot be used for cost sharing purposes, and the department must cover the difference between the salary cap and the UH salary owed to the employee using departmental funds.

**STEP 1:** Multiply salary cap by appointment period to determine salary cap base.

Examples:

- 11 month full-time appointment (with vacation accrual) is based on $185,100 (full salary cap) - no calculation required since employee is considered to have a 12 month appointment
- 11 month full-time appointment (without vacation accrual) is calculated at $185,100 (salary cap) multiplied by 11/12 months = $169,675.
- 9 month, academic appointment is calculated at $185,100 (salary cap) multiplied by 9/12 months = $138,825.

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STEP 2: Multiply salary cap base by level of effort.

Examples:

- 11 month full-time appointment (with vacation accrual) with 50% effort for a year is calculated at $185,100 (salary cap base) multiplied by 50% = $92,550. Therefore, $92,550 is the amount chargeable to the NIH project.

- 11 month full-time appointment (without vacation accrual) with 50% effort for a year is calculated at $169,675 (salary cap base) multiplied by 50% = $84,838. Therefore, $84,838 is the amount chargeable to the NIH project.

- 9 month, academic appointment with 50% effort for the entire period is calculated at $138,825 multiplied by 50% = $69,412.50. Therefore, $69,412.50 is the amount chargeable to the NIH project. Additionally, if one month of effort during the summer were to be applied at 100% effort, the calculation would be $185,100 multiplied by 1/12 = $15,425.

- Note: If employee begins work on a project mid-year, it should also be reflected in the level of effort. For the 9 month example above, if an employee worked 6 months during the year the cap should be calculated at 50% of $69,412.50 or $34,706.25.

NIH Policy

- Notice on Salary Limitation on Grants, Cooperative Agreements, and Contracts
- Historical Salary Cap Information

If you have questions concerning the NIH Salary Cap adjustments, please contact the ORS Compliance Section at compliance@ors.hawaii.edu.

The U.S. Office of Management and Budget (OMB) has mandated that all federal agencies implement increased cybersecurity capabilities to prevent unauthorized access to government systems. In keeping with the OMB mandate, the U.S. Department of Education will be implementing a two factor authentication process to gain access to the G5 Grants Administration System. Soon, all G5 external users will be required to enter a second piece of identification in addition to their password when logging into the system.

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Two factor authentication (2FA) is a security process in which the user provides two means of identification from separate categories of credentials. One is typically something that you know, such as a password, and the other is something that you have, such as a security code you download from your mobile device. The combination of these two security factors makes it more difficult for someone to access government systems. Once both the first and second factors are validated, users are allowed into the system.

G5 users are already required to enter a password when logging into the system. The second factor will be provided by a free application called Google Authenticator that G5 users download and register to their mobile devices. The device will then generate a unique code each time the user logs into G5. For users who do not own a smart device, the code can be retrieved via a text message or a phone call.

Two factor authentication will be rolled out to G5 users in groups, starting in mid-April 2016 and ending in June 2016. Specific details on how to download the Google application or use an alternative method of code retrieval will be provided to each user in an email shortly before their account is switched over to 2FA.

In preparation for the 2FA switch, all G5 users will be encouraged to enter at least one phone number as well as provide two additional security answers on their G5 profile, starting March 14, 2016. When logging into G5 for the first time after this date, users can go to the ‘My Profile’ page where they can enter the additional data.

For further information on the implementation of Two Factor Authentication for G5, you may contact the G5 Hotline at (888) 336-8930.

If you have any questions, please contact your assigned ORS Specialist (http://www.ors.hawaii.edu/index.php/ors-assignments).

The principal investigator (PI) is responsible for submitting their interim and final performance reports for Space Telescope Science Institute (STScI) awards. To submit a report, log in to your STScI account. The report templates can be found in the “Grant” “Report/Request List” on the left. Enter your program number and click “Search.” Select your grant and click. Choose the template you need and create your report. Once completed, click “Save” and “Submit.” After you’ve completed the report and click “Save and Notify,” the report will be forwarded to your Authorized Organizational Representative at ORS for review and submitted to STScI on your behalf.

If you have any questions, please contact your assigned ORS Specialist (http://www.ors.hawaii.edu/index.php/ors-assignments).
The use of Unmanned Aircraft Systems (UAS) (e.g., drones) in research and training are becoming more prevalent and impose challenging safety and security concerns over our airspace. Federal Aviation Administration (FAA) approval is required for any business (non-recreational) use of UAS. Please refer to the FAA’s website on UAS at [http://www.faa.gov/uas/](http://www.faa.gov/uas/) for specific information and requirements for use of these systems. If you receive an award that includes the use of UAS, please also pay close attention to the requirements outlined in the award terms and conditions.

To identify any projects that include UAS and alert principal investigators of the FAA requirements, a question has been added to the proposal questions in the myGRANT proposal development module. The university will also be developing policies and procedures to address these requirements and ensure compliance with FAA regulations.

Should you have any questions, please contact Dawn Kim, Compliance Manager, at dawnkim@hawaii.edu or (808) 956-0396.

The last day to submit DI eDocs to record cost sharing in the Kuali Financial System (KFS) for fiscal year (FY) 2016 is Thursday, June 23, 2016. ORS requests that all accounts with committed cost sharing be reviewed and any necessary cost sharing eDocs be submitted as soon as possible. As a reminder, please note the following:

- Cost sharing for direct costs is based on expenses recorded to the KFS source account during the fiscal year and should be recorded in the applicable fiscal year.
- Cost sharing for UH personnel salaries and fringe should reflect payroll dates through June 30, 2016; therefore, estimates should be used for the June 15, 2016 and June 30 2016 pay periods, if necessary.
- Annual certification of cost sharing effort for FY 2016 is required and will be due by September 30, 2016 (further information regarding the certification process will be forthcoming).
- Do not include cost sharing for periods beyond June 30, 2016.

Should you have any questions, please contact Suzanne Efhan, Projects Financial Services Manager, at efhans@hawaii.edu or (808) 956-8163.
How do I find a sponsor code for a specific sponsor?

The “Sponsor Code” is an alpha-numeric code that is used by myGRANT to identify sponsors in the database. In order to find a specific sponsor code, just start typing the sponsor name in the "Sponsor" box.

The sponsor search was upgraded for easier usability. You can type in your search using all or part of the sponsor name, or using the sponsor’s acronym.

Once the search results show up, click the appropriate sponsor name in the results list to add it to your proposal. The sponsor code along with the sponsor name should show up in the box.

How do I find a performance site location in myGRANT?

To find a performance site, click on the button labeled “Select Primary Performance Site”.

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You can search using the street number, building name and/or room number.

Once the search results show up, click the “select” button to return the appropriate performance site to your proposal.

If you cannot find either your sponsor or performance site location, it may not be loaded into the database. Please use the Helpline Portal at http://www.ors.hawaii.edu/helpline/ to request a new sponsor or performance site location, or contact the ORS Helpline at (808) 956-5198 for assistance.

Do you have any questions or comments for ORS?

Please contact us at the ORS Helpline:
Email: helpline@ors.hawaii.edu or Phone: (808) 956-5198