

Budget Request by IC (Summary Table)

(Dollars in Thousands)	FY 2018 Final	FY 2019 Enacted	FY 2020 President's Budget
NCI.....	\$5,943,706	\$6,143,892	\$5,246,737
NHLBI.....	\$3,374,283	\$3,488,335	\$3,002,696
NIDCR.....	\$446,683	\$461,781	\$397,493
NIDDK ¹	\$2,113,453	\$2,179,823	\$1,897,235
NINDS.....	\$2,145,030	\$2,274,413	\$2,026,031
NIAID.....	\$5,268,307	\$5,523,324	\$4,754,379
NIGMS ²	\$2,781,024	\$2,872,780	\$2,472,838
NICHD.....	\$1,457,226	\$1,506,458	\$1,296,732
NEL.....	\$770,493	\$796,536	\$685,644
NIEHS ³	\$826,727	\$852,056	\$733,435
NIA.....	\$2,571,502	\$3,083,410	\$2,654,144
NIAMS.....	\$585,283	\$605,065	\$520,829
NIDCD.....	\$458,893	\$474,404	\$408,358
NIMH.....	\$1,754,434	\$1,870,296	\$1,630,422
NIDA.....	\$1,374,374	\$1,419,844	\$1,296,379
NIAAA.....	\$508,407	\$525,591	\$452,419
NINR.....	\$157,662	\$162,992	\$140,301
NHGRI.....	\$556,764	\$575,579	\$495,448
NIBIB.....	\$376,730	\$389,464	\$335,244
NIMHD.....	\$304,396	\$314,679	\$270,870
NCCIH.....	\$141,684	\$146,473	\$126,081
NCATS.....	\$760,710	\$806,373	\$694,112
FIC.....	\$75,555	\$78,109	\$67,235
NLM.....	\$427,546	\$441,997	\$380,463
B&F.....	\$128,863	\$200,000	\$200,000
OD.....	\$1,914,345	\$2,112,675	\$1,926,144
NIRSQ ⁴	---	---	\$255,960
TOTAL, NIH Program Level.....	\$37,224,080	\$39,306,349	\$34,367,629
Special Type 1 Diabetes Research.....	-\$150,000	-\$150,000	-\$150,000
PHS Program Evaluation.....	-\$922,871	-\$1,146,821	-\$741,000
Interior Approp. (Superfund Research) ⁵	-\$77,349	-\$77,349	-\$66,581
Total, NIH Labor/HHS Budget Authority.....	\$36,073,860	\$37,932,179	\$33,410,048

¹ Includes Type 1 Diabetes Research mandatory funding of \$150.0 million in FY 2018, FY 2019, and FY 2020.

² Includes Program Evaluation financing of \$922.9 million in FY 2018, \$1,146.8 million in FY 2019, and \$741.0 million in FY 2020.

³ Includes Interior Appropriation allocation for Superfund Research activities of \$77.3 million in FY 2018, \$77.3 million in FY 2019, and \$66.6 million in FY 2020.

⁴ Figures for FY 2020 reflect the proposed consolidation of Agency for Healthcare Research and Quality activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ).

⁵ Amount for FY 2019 reflects the Annualized CR level at the time the budget estimates were prepared.

Appropriations Adjustment Tables

(Dollars in Thousands)	FY 2018 Enacted¹	Permissive Transfer (NIH Innovation Account)²	Permissive Transfer (Secretary's 1% Authority)³	HIV/AIDS Transfer	FY 2018 Operating Level
NCI.....	\$5,664,800	\$300,000	-\$13,309	-\$7,785	\$5,943,706
NHLBI.....	\$3,383,201	---	-\$7,949	-\$969	\$3,374,283
NIDCR.....	\$447,735	---	-\$1,052	---	\$446,683
NIDDK ⁴	\$2,120,797	---	-\$4,630	-\$2,714	\$2,113,453
NINDS.....	\$2,145,149	\$43,000	-\$4,452	-\$2,567	\$2,181,130
NIAID.....	\$5,260,210	---	-\$12,358	\$14,455	\$5,262,307
NIGMS.....	\$2,785,400	---	-\$4,376	---	\$2,781,024
NICHHD.....	\$1,452,006	---	-\$3,411	-\$1,369	\$1,447,226
NEI.....	\$772,317	---	-\$1,815	-\$9	\$770,493
NIEHS ⁵	\$828,492	---	-\$1,765	---	\$826,727
NIA.....	\$2,574,091	---	-\$6,048	\$3,459	\$2,571,502
NIAMS.....	\$586,661	---	-\$1,378	---	\$585,283
NIDCD.....	\$459,974	---	-\$1,081	---	\$458,893
NIMH.....	\$1,711,775	\$43,000	-\$3,223	\$2,882	\$1,754,434
NIDA.....	\$1,383,603	---	-\$2,283	-\$6,946	\$1,374,374
NIAAA.....	\$509,573	---	-\$1,197	\$31	\$508,407
NINR.....	\$158,033	---	-\$371	---	\$157,662
NHGRI.....	\$556,881	---	-\$1,308	\$1,191	\$556,764
NIBIB.....	\$377,871	---	-\$888	-\$253	\$376,730
NIMHD.....	\$303,200	---	-\$712	\$1,908	\$304,396
NCCIH.....	\$142,184	---	-\$334	-\$166	\$141,684
NCATS.....	\$742,354	---	-\$1,744	---	\$740,610
FIC.....	\$75,733	---	-\$178	---	\$75,555
NLM.....	\$428,553	---	-\$1,007	---	\$427,546
OD.....	\$2,311,893	-\$386,000	-\$10,400	-\$1,148	\$1,914,345
B&F.....	\$128,863	---	---	---	\$128,863
Total, NIH Program Level⁶.....	\$37,311,349	---	-\$87,269	---	\$37,224,080
Less funds allocated from different sources:					
Mandatory Type 1 Diabetes Research.....	-\$150,000	---	---	---	-\$150,000
PHS Program Evaluation.....	-\$922,871	---	---	---	-\$922,871
Total, NIH Discretionary Budget Authority.....	\$36,238,478	---	-\$87,269	---	\$36,151,209
Interior Budget Authority.....	-\$77,349	---	---	---	-\$77,349
Total, NIH Labor/HHS Budget Authority.....	\$36,161,129	---	-\$87,269	---	\$36,073,860

¹ Excludes \$50 million in supplemental funding to the Office of the Director for extramural construction.

² Reflects redistribution of NIH Innovation account for the 21st Century Cures Act (P.L. 114-255).

³ Identifies amounts transferred to other HHS accounts consistent with the Secretary's 1% transfer authority under Section 205 (Division H) of P.L. 115-141.

⁴ Includes Type 1 Diabetes (\$150 million).

⁵ Includes Superfund Research activity.

⁶ Program level is not adjusted for the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). For information on the AHRQ FY 2018 appropriation and adjustments, see the NIRSQ chapter of the NIH Congressional Justification.

Budget Mechanism Table

(Dollars in Thousands) ^{1,2,3}	FY 2018 Final ⁴		FY 2019 Enacted ⁵		FY 2020 President's Budget ⁶		FY 2020 +/- FY 2019	
	No.	Amount	No.	Amount	No.	Amount	No.	Amount
Research Projects:								
Noncompeting	25,858	\$13,776,726	27,492	\$14,677,360	28,760	\$14,536,572	1,268	-\$140,788
Administrative Supplements ³	(2,743)	483,035	(2,695)	506,430	(1,858)	361,166	(-837)	-145,264
Competing	11,461	\$5,943,802	11,675	\$6,311,423	7,894	\$3,725,852	-3,781	-\$2,585,571
Subtotal, RPGs	37,319	\$20,203,562	39,167	\$21,495,213	36,654	\$18,623,590	-2,513	-\$2,871,623
SBIR/STTR	2,035	1,001,946	2,222	1,084,179	1,911	921,133	-311	-163,046
Research Project Grants	39,354	\$21,205,508	41,389	\$22,579,392	38,565	\$19,544,723	-2,824	-\$3,034,669
Research Centers:								
Specialized/Comprehensive	1,003	\$1,813,976	1,079	\$1,908,419	924	\$1,547,608	-155	-\$360,811
Clinical Research	68	417,709	66	421,640	64	362,000	-2	-59,640
Biotechnology	91	159,963	91	160,916	80	138,518	-11	-22,398
Comparative Medicine	67	129,881	79	133,759	67	115,233	-12	-18,526
Research Centers in Minority Institutions	21	61,478	20	63,407	20	54,594	0	-8,814
Research Centers	1,250	\$2,583,007	1,335	\$2,688,141	1,155	\$2,217,953	-180	-\$470,188
Other Research:								
Research Careers	4,040	\$747,017	4,161	\$780,492	3,792	\$708,160	-369	-\$72,332
Cancer Education	76	21,182	85	24,857	81	23,614	-4	-1,243
Cooperative Clinical Research	229	409,660	278	497,025	243	411,324	-35	-85,701
Biomedical Research Support	118	85,524	112	73,696	95	62,825	-17	-10,872
Minority Biomedical Research Support	283	101,245	294	104,359	228	81,111	-66	-23,248
Other	2,064	1,081,442	2,066	1,009,259	1,805	922,686	-261	-86,572
Other Research	6,810	\$2,446,070	6,996	\$2,489,688	6,244	\$2,209,720	-752	-\$279,968
Total Research Grants	47,414	\$26,234,584	49,720	\$27,757,221	45,964	\$23,972,395	-3,756	-\$3,784,825
Ruth L. Kirchstein Training Awards:								
	<u>FTTPs</u>		<u>FTTPs</u>		<u>FTTPs</u>		<u>FTTPs</u>	
Individual Awards	3,500	\$161,753	3,697	\$173,134	3,335	\$157,779	-362	-\$15,355
Institutional Awards	12,697	694,093	12,969	715,821	11,657	644,094	-1,312	-71,727
Total Research Training	16,197	\$855,845	16,666	\$888,955	14,992	\$801,873	-1,674	-\$87,082
Research & Develop. Contracts (SBIR/STTR) (non-add) ³	2,212 (85)	\$3,072,532 (60,608)	2,177 (98)	\$3,132,619 (74,336)	1,862 (79)	\$2,795,430 (64,122)	-315 (-19)	-\$337,189 (-10,214)
Intramural Research		\$3,996,276		\$4,129,550		\$3,633,805		-\$495,745
Res. Management & Support		1,816,210		1,898,356		1,739,376		-158,979
Res. Management & Support (SBIR Admin) (non-add) ³		(0)		(5,172)		(3,559)		(-1,613)
Office of the Director - Appropriation ^{3,7}		(1,914,345)		(2,112,675)		(1,926,144)		(-186,531)
Office of the Director - Other		1,024,420		1,204,300		1,144,168		-60,132
ORIP (non-add) ^{3,7}		(289,209)		(289,209)		(249,009)		(-40,200)
Common Fund (non-add) ^{3,7}		(600,716)		(619,166)		(532,967)		(-86,199)
Buildings and Facilities ⁸		146,863		218,000		214,000		-4,000
Appropriation ³		(128,863)		(200,000)		(200,000)		(0)
Type 1 Diabetes ⁹		-150,000		-150,000		-150,000		0
Program Evaluation Financing ⁹		-922,871		-1,146,821		-741,000		405,821
Subtotal, Labor/HHS Budget Authority		\$36,073,860		\$37,932,179		\$33,410,048		-\$4,522,131
Interior Appropriation for Superfund Research ¹⁰		77,349		77,349		66,581		-10,768
Total, NIH Discretionary Budget Authority		\$36,151,209		\$38,009,528		\$33,476,629		-\$4,532,899
Type 1 Diabetes		150,000		150,000		150,000		0
Total, NIH Budget Authority		\$36,301,209		\$38,159,528		\$33,626,629		-\$4,532,899
Program Evaluation Financing		922,871		1,146,821		741,000		-405,821
Total, Program Level		\$37,224,080		\$39,306,349		\$34,367,629		-\$4,938,720

1 All Subtotal and Total numbers may not add due to rounding.
2 Includes 21st Century Cures Act funding and excludes Ebola-related and supplemental financing.
3 All numbers in italics and brackets are non-add.
4 Includes \$63.3 million of 21st Century Cures, \$428.9 million of Opioids, and \$123.7 million of Type 1 Diabetes funding not obligated in FY 2018, and carried over into FY 2019. Numbers of grants and dollars for carryover are distributed by mechanism.
5 Reflects transfer of \$5.0 million to the HHS OIG.
6 Includes the proposed consolidation of Agency for Healthcare Research and Quality activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ), distributed by mechanism.
7 Number of grants and dollars for the Common Fund and ORIP components of OD are distributed by mechanism and are noted here as non-adds. Office of the Director - Appropriation is the non-add total of these amounts and the funds accounted for under OD - Other.
8 Includes B&F appropriation and monies allocated (\$18.0 million in FY 2018, \$18.0 million in FY 2019, and \$14.0 million in FY 2020) pursuant to appropriations acts provisions that funding may be used for facilities repairs and improvements at the NCI Federally Funded Research and Development Center in Frederick, Maryland.
9 Number of grants and dollars for mandatory Type 1 Diabetes (T1D) and NIGMS Program Evaluation financing are distributed by mechanism above; therefore, T1D and Program Evaluation financing amounts are deducted to provide subtotals for Labor/HHS Budget Authority.
10 This activity was under a Continuing Resolution at the time the budget estimates were prepared.

Budget Authority by Object Class Including Type 1 Diabetes

(Dollars in Thousands)^{1,2}

Object Classes	FY 2019 Enacted	FY 2020 President's Budget	FY 2020 +/- FY 2019
<u>Personnel Compensation</u>			
Full-Time Permanent (11.1)	\$1,018,931	\$1,050,008	\$31,077
Other Than Full-Time Permanent (11.3)	527,731	532,296	4,565
Other Personnel Compensation (11.5)	49,167	50,112	945
Military Personnel (11.7)	19,315	20,500	1,185
Special Personnel Services Payments (11.8)	193,839	185,836	-8,003
Subtotal Personnel Compensation (11.9)	\$1,808,982	\$1,838,751	\$29,769
Civilian Personnel Benefits (12.1)	529,682	548,016	18,334
Military Personnel Benefits (12.2)	11,997	12,625	628
Benefits to Former Personnel (13.0)	0	1,518	1,518
Total Pay Costs	\$2,350,662	\$2,400,911	\$50,249
Travel & Transportation of Persons (21.0)	55,071	42,513	-12,558
Transportation of Things (22.0)	5,513	4,493	-1,020
Rental Payments to GSA (23.1)	20,551	18,231	-2,320
Rental Payments to Others (23.2)	565	462	-103
Communications, Utilities & Misc. Charges (23.3)	36,389	25,342	-11,047
Printing & Reproduction (24.0)	342	283	-59
Consultant Services (25.1)	261,674	188,818	-72,856
Other Services (25.2)	1,364,980	961,436	-403,545
Purchase of goods and services from government accounts (25.3)	3,515,931	3,212,282	-303,649
Operation & Maintenance of Facilities (25.4)	282,236	267,544	-14,691
R&D Contracts (25.5)	1,631,794	1,457,442	-174,353
Medical Care (25.6)	28,317	23,733	-4,584
Operation & Maintenance of Equipment (25.7)	144,141	119,574	-24,567
Subsistence & Support of Persons (25.8)	1,907	1,676	-231
Subtotal Other Contractual Services (25.0)	\$7,230,980	\$6,232,504	-\$998,476
Supplies & Materials (26.0)	231,993	182,763	-49,231
Equipment (31.0)	198,150	158,128	-40,022
Land and Structures (32.0)	0	0	0
Investments & Loans (33.0)	0	0	0
Grants, Subsidies & Contributions (41.0)	27,951,899	24,494,365	-3,457,534
Insurance Claims & Indemnities (42.0)	2	2	0
Interest & Dividends (43.0)	62	51	-10
Refunds (44.0)	0	0	0
Subtotal Non-Pay Costs	\$35,736,517	\$31,159,137	-\$4,577,380
Total Budget Authority	\$38,082,179	\$33,560,048	-\$4,522,131

¹ Excludes the Superfund Research account under the jurisdiction of the Interior & Related Agencies Appropriations Subcommittee, Ebola related and supplemental financing, and Program Evaluation Financing.

² Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for FY 2019 do not include AHRQ.

Budget Authority by Object Class Including SSF and MF

(Dollars in Thousands)^{1,2}

Object Classes	FY 2019 Enacted	FY 2020 President's Budget	FY 2020 +/- FY 2019
Personnel Compensation			
Full-Time Permanent (11.1)	\$1,400,747	\$1,433,275	\$32,528
Other Than Full-Time Permanent (11.3)	588,005	592,798	4,794
Other Personnel Compensation (11.5)	79,460	80,520	1,060
Military Personnel (11.7)	28,518	29,977	1,459
Special Personnel Services Payments (11.8)	199,242	191,260	-7,983
Subtotal Personnel Compensation (11.9)	\$2,295,971	\$2,327,830	\$31,859
Civilian Personnel Benefits (12.1)	683,461	704,118	20,656
Military Personnel Benefits (12.2)	18,145	18,956	811
Benefits to Former Personnel (13.0)	1,224	2,742	1,518
Total Pay Costs	\$2,998,801	\$3,053,646	\$54,844
Other Contractual Services			
Travel & Transportation of Persons (21.0)	58,765	46,207	-12,558
Transportation of Things (22.0)	7,753	6,699	-1,054
Rental Payments to GSA (23.1)	76,079	71,816	-4,263
Rental Payments to Others (23.2)	88,151	84,108	-4,043
Communications, Utilities & Misc. Charges (23.3)	162,878	139,768	-23,110
Printing & Reproduction (24.0)	367	307	-60
Consultant Services (25.1)	295,579	221,248	-74,331
Other Services (25.2)	2,047,721	1,535,030	-512,690
Purchase of goods and services from government accounts (25.3)	1,349,771	1,206,554	-143,217
Operation & Maintenance of Facilities (25.4)	375,526	352,419	-23,107
R&D Contracts (25.5)	1,631,794	1,457,442	-174,353
Medical Care (25.6)	39,086	34,364	-4,722
Operation & Maintenance of Equipment (25.7)	353,211	309,259	-43,952
Subsistence & Support of Persons (25.8)	7,272	6,909	-362
Subtotal Other Contractual Services (25.0)	\$6,099,959	\$5,123,224	-\$976,734
Non-Pay Costs			
Supplies & Materials (26.0)	385,629	330,012	-55,618
Equipment (31.0)	251,693	209,706	-41,988
Land and Structures (32.0)	0	0	0
Investments & Loans (33.0)	0	0	0
Grants, Subsidies & Contributions (41.0)	27,951,901	24,494,366	-3,457,534
Insurance Claims & Indemnities (42.0)	6	6	0
Interest & Dividends (43.0)	196	183	-13
Refunds (44.0)	0	0	0
Subtotal Non-Pay Costs	\$35,088,378	\$30,506,402	-\$4,581,975
Total Budget Authority	\$38,082,179	\$33,560,048	-\$4,522,131

¹ Excludes the Superfund Research account under the jurisdiction of the Interior & Related Agencies Appropriations Subcommittee, Ebola related and supplemental financing, and Program Evaluation Financing.

² Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for FY 2019 do not include AHRQ.

Salaries and Expenses

(Dollars in Thousands)^{1,2}

Object Classes	FY 2019 Enacted	FY 2020 President's Budget	FY 2020 +/- FY 2019
<u>Personnel Compensation</u>			
Full-Time Permanent (11.1)	\$1,018,931	\$1,050,008	\$31,077
Other Than Full-Time Permanent (11.3)	527,731	532,296	4,565
Other Personnel Compensation (11.5)	49,167	50,112	945
Military Personnel (11.7)	19,315	20,500	1,185
Special Personnel Services Payments (11.8)	193,839	185,836	-8,003
Subtotal Personnel Compensation (11.9)	\$1,808,982	\$1,838,751	\$29,769
Civilian Personnel Benefits (12.1)	529,682	548,016	18,334
Military Personnel Benefits (12.2)	11,997	12,625	628
Benefits to Former Personnel (13.0)	0	1,518	1,518
Total Pay Costs	\$2,350,662	\$2,400,911	\$50,249
Travel & Transportation of Persons (21.0)	55,071	42,513	-12,558
Transportation of Things (22.0)	5,513	4,493	-1,020
Rental Payments to Others (23.2)	565	462	-103
Communications, Utilities & Misc. Charges (23.3)	36,389	25,342	-11,047
Printing & Reproduction (24.0)	342	283	-59
<u>Other Contractual Services:</u>			
Consultant Services (25.1)	203,135	149,956	-53,179
Other Services (25.2)	1,364,980	961,436	-403,545
Purchase of goods and services from government accounts (25.3) ³	2,691,325	2,413,033	-278,292
Operation & Maintenance of Facilities (25.4)	268,190	258,485	-9,705
Operation & Maintenance of Equipment (25.7)	144,141	119,574	-24,567
Subsistence & Support of Persons (25.8)	1,907	1,676	-231
Subtotal Other Contractual Services	\$4,673,678	\$3,904,159	-\$769,519
Supplies & Materials (26.0)	231,993	182,763	-49,231
Subtotal Non-Pay Costs	\$5,003,551	\$4,160,014	-\$843,537
Total Salaries and Expense / Administrative Costs	\$7,354,213	\$6,560,925	-\$793,288

¹ Excludes the Superfund Research account under the jurisdiction of the Interior & Related Agencies Appropriations Subcommittee, Ebola related and supplemental financing, and Program Evaluation Financing.

² Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for FY 2019 do not include AHRQ.

³ Excludes obligations from accounts (OC 25.1, 25.3 and 25.4) supporting Program Evaluations and Inter-agency Agreements related to the Research and Development Contracts mechanism.

Detail of Full-Time Equivalent Employment (FTE)

Institutes and Centers	FY 2018 Actual	FY 2019 Estimate	FY 2020 Estimate
NCI.....	2,952	3,035	3,035
NHLBI.....	901	962	962
NIDCR.....	228	235	235
NIDDK.....	630	660	660
NINDS.....	504	532	532
NIAID.....	1,935	1,963	1,963
NIGMS.....	173	184	184
NICHD.....	539	560	560
NEI.....	259	273	273
NIEHS.....	630	662	662
NIA.....	416	435	435
NIAMS.....	221	238	238
NIDCD.....	129	140	140
NIMH.....	550	563	563
NIDA.....	355	382	382
NIAAA.....	227	238	238
NINR.....	94	96	96
NHGRI.....	330	349	349
NIBIB.....	98	102	102
NCATS.....	172	167	167
NCCIH.....	68	73	73
NIMHD.....	72	68	68
FIC.....	58	61	61
NLM.....	700	741	741
OD.....	764	781	781
NIRSQ ⁴	---	---	238
Central Services:			
OD - CS.....	794	841	841
CC.....	1,857	1,844	1,844
CSR.....	409	417	417
CIT.....	233	257	257
ORS.....	517	539	539
ORF.....	721	707	707
Subtotal Central Services¹.....	4,531	4,605	4,605
PHS Trust Fund (non-add) ²	4	4	4
CRADA (non-add) ³	5	5	5
PCOR Trust Fund ⁴	---	---	7
Total	17,536	18,105	18,350

¹ Reflects FTE associated with Central Services positions whose payroll costs are covered from NIH Management Fund and NIH Service and Supply Fund resources.

² PHS Trust Fund positions are incorporated within the IC's Direct-funded civilian FTE category and are treated as non-add values.

³ CRADA positions are distributed across multiple ICs and are treated as non-add values.

⁴ Figures for FY 2020 reflect the proposed consolidation of Agency for Healthcare Research and Quality activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ).

Physician’s Comparability Allowance Worksheet

	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimate ¹	FY 2020 Estimate ²
1) Number of Physicians Receiving PCAs	150	134	127	148
2) Number of Physicians with One-Year PCA Agreements	20	25	22	22
3) Number of Physicians with Multi-Year PCA Agreements	130	109	105	126
4) Average Annual Physician Pay (without PCA payment)	\$159,133	\$165,495	\$166,280	\$163,034
5) Average Annual PCA Payment	\$17,991	\$19,003	\$18,785	\$19,565
6) Number of Physicians Receiving PCAs by Category (non-add)	Category I Clinical Position			
	Category II Research Position	148	132	127
	Category III Occupational Health			
	Category IV-A Disability Evaluation			
	Category IV-B Health and Medical Admin.	2	2	0

7) If applicable, list and explain the necessity of any additional physician categories designated by your agency (for categories other than I through IV-B). Provide the number of PCA agreements per additional category for the PY, CY and BY.

N/A

8) Provide the maximum annual PCA amount paid to each category of physician in your agency and explain the reasoning for these amounts by category.

Maximum annual PCA amount for category II and IV-B vary based on grade level, amount of federal service and length of the PCA agreement. The monetary range is between \$5,000 and \$30,000. These flexible amounts are necessary to recruit and retain the caliber of physician needed to carry out the NIH mission which directly impacts the health of the nation.

9) Explain the recruitment and retention problem(s) for each category of physician in your agency (this should demonstrate that a current need continues to persist).

NIH strives to make progress recruiting and retaining qualified physicians to the Federal service. However, due to competition and more lucrative compensation in the private sector it continues to be challenging. NIH consistently has had a high turnover rate for physicians. NIH physicians require unique and specialized qualifications to perform the highly-skilled duties related to research and clinical trials at the nation's premier medical research institution.

10) Explain the degree to which recruitment and retention problems were alleviated in your agency through the use of PCAs in the prior fiscal year.

In FY 2018, there were a total of 134 PCA recipients across NIH. In FY 2019 and beyond, as indicated by the decrease in recipients to-date relative to the prior year, the critical need continues to exist for highly qualified, specialized physicians to support the NIH mission. NIH still requires compensation flexibilities such as PCA to attract and retain qualified physicians.

11) Provide any additional information that may be useful in planning PCA staffing levels and amounts in your agency.

N/A

¹ FY 2019 data will be approved during the FY 2020 Budget cycle.

² Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for years prior to FY 2020 do not include AHRQ.

History of Obligations by IC

(Dollars in Thousands)	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015 ¹	FY 2016 ¹	FY 2017 ^{1,7}	FY 2018 ^{1,7,8}	FY 2019 Enacted ^{7,9}	FY 2020 President's Budget ^{7,10}
NCL.....	\$5,058,105	\$5,062,763	\$4,789,014	\$4,932,368	\$4,944,593	\$5,206,169	\$5,636,393	\$5,948,569	\$6,162,094	\$5,246,737
NHLBI.....	\$3,069,550	\$3,073,302	\$2,903,768	\$2,988,415	\$2,995,546	\$3,109,062	\$3,209,843	\$3,374,154	\$3,488,335	\$3,002,696
NIDCR.....	\$409,549	\$409,947	\$387,309	\$397,833	\$397,672	\$412,788	\$424,782	\$446,656	\$461,781	\$397,493
NIDDK ²	\$1,942,155	\$1,943,706	\$1,837,027	\$1,884,377	\$1,899,088	\$1,963,738	\$2,009,448	\$1,989,700	\$2,303,531	\$1,897,235
NINDS.....	\$1,622,001	\$1,623,344	\$1,533,793	\$1,588,899	\$1,604,581	\$1,692,830	\$1,778,684	\$1,949,067	\$2,470,375	\$2,026,031
NIAID.....	\$4,478,595	\$4,482,369	\$4,235,094	\$4,401,185	\$4,417,529	\$4,749,884	\$4,905,708	\$5,262,398	\$5,529,233	\$4,754,379
NIGMS ³	\$2,033,663	\$2,425,522	\$2,293,044	\$2,366,429	\$2,372,199	\$2,508,868	\$2,646,059	\$2,780,954	\$2,872,780	\$2,472,838
NICHD.....	\$1,317,682	\$1,318,943	\$1,246,140	\$1,283,314	\$1,286,797	\$1,338,280	\$1,376,541	\$1,449,613	\$1,513,959	\$1,296,732
NEI.....	\$700,781	\$701,407	\$657,055	\$675,551	\$676,726	\$707,002	\$731,203	\$770,483	\$796,536	\$685,644
NIEHS ⁴	\$762,602	\$763,225	\$721,331	\$743,002	\$745,533	\$769,730	\$789,860	\$826,646	\$852,056	\$733,435
NIA.....	\$1,100,445	\$1,120,391	\$1,040,565	\$1,171,656	\$1,197,459	\$1,596,005	\$2,048,792	\$2,571,438	\$3,083,410	\$2,654,144
NIAMS.....	\$534,260	\$534,791	\$505,206	\$520,314	\$521,480	\$540,874	\$556,568	\$585,240	\$605,065	\$520,829
NIDCD.....	\$415,104	\$415,500	\$392,540	\$404,237	\$405,168	\$422,311	\$435,877	\$458,876	\$474,404	\$408,358
NIMH.....	\$1,477,257	\$1,477,516	\$1,396,006	\$1,419,632	\$1,433,603	\$1,516,325	\$1,604,624	\$1,754,423	\$1,870,296	\$1,630,422
NIDA.....	\$1,050,519	\$1,051,410	\$993,404	\$1,017,957	\$1,015,695	\$1,048,971	\$1,070,813	\$1,161,149	\$1,632,968	\$1,296,379
NIAAA.....	\$458,257	\$458,665	\$433,247	\$446,282	\$447,152	\$466,713	\$482,449	\$508,398	\$525,591	\$452,419
NINR.....	\$144,369	\$144,500	\$136,516	\$140,553	\$140,837	\$145,701	\$149,930	\$157,633	\$162,992	\$140,301
NHGRI.....	\$511,469	\$512,258	\$483,650	\$498,076	\$498,648	\$512,486	\$528,316	\$556,741	\$575,579	\$495,448
NIBIB.....	\$313,787	\$337,728	\$319,062	\$326,989	\$327,223	\$342,997	\$356,971	\$376,700	\$389,464	\$335,244
NIMHD.....	\$209,693	\$275,927	\$260,671	\$268,439	\$270,480	\$280,264	\$287,640	\$304,372	\$314,679	\$270,870
NCRR.....	\$1,257,641	---	---	---	---	---	---	---	---	---
NCCAM.....	\$127,706	\$127,820	\$120,767	\$124,368	\$124,046	\$129,760	\$134,373	\$141,667	\$146,473	\$126,081
NCATS.....	---	\$574,297	\$542,598	\$633,571	\$632,629	\$684,366	\$704,248	\$754,080	\$812,976	\$694,112
FIC.....	\$69,413	\$69,493	\$65,627	\$67,575	\$67,576	\$69,996	\$71,813	\$75,534	\$78,109	\$67,235
NLM ⁵	\$344,860	\$373,087	\$325,088	\$334,383	\$336,653	\$393,074	\$406,250	\$424,789	\$441,997	\$380,463
ORIP.....	---	\$303,525	\$290,042	\$294,486	\$294,662	\$295,783	\$279,130	\$289,205	\$289,209	\$249,009
Common Fund.....	\$543,017	\$544,930	\$513,461	\$531,146	\$545,607	\$675,628	\$695,430	\$600,707	\$619,166	\$532,967
OD - Other.....	\$623,887	\$608,713	\$608,584	\$477,293	\$573,328	\$599,263	\$714,058	\$1,016,632	\$1,251,699	\$1,144,168
B&F.....	\$62,161	\$125,308	\$106,676	\$88,880	\$123,464	\$79,883	\$113,415	\$106,434	\$200,000	\$200,000
NIRSQ ⁶	---	---	---	---	---	---	---	---	---	\$255,960
Total, NIH Program Level	\$30,638,528	\$30,860,387	\$29,137,284	\$30,027,205	\$30,295,974	\$32,258,751	\$34,149,217	\$36,642,258	\$39,924,757	\$34,367,629
Less funds allocated from different sources:										
Mandatory - Special type 1 Diabetes Research.....	-\$150,000	-\$150,000	-\$142,350	-\$139,200	-\$150,000	-\$150,000	-\$139,650	-\$26,292	-\$273,708	-\$150,000
PHS Program Evaluation.....	-\$8,200	-\$8,200	-\$8,200	-\$8,200	-\$715,000	-\$780,000	-\$824,443	-\$922,871	-\$1,146,821	-\$741,000
Total, NIH Discretionary Budget Authority.....	\$30,480,328	\$30,702,187	\$28,986,734	\$29,879,805	\$29,430,974	\$31,328,751	\$33,185,124	\$35,693,095	\$38,504,228	\$33,476,629
Interior Budget Authority.....	-\$79,045	-\$78,928	-\$74,864	-\$77,345	-\$77,349	-\$77,252	-\$77,337	-\$77,342	-\$77,349	-\$66,581
Total, NIH Labor/HHS Budget Authority.....	\$30,401,283	\$30,623,259	\$28,911,870	\$29,802,460	\$29,353,625	\$31,251,499	\$33,107,787	\$33,021,788	\$38,426,879	\$33,410,048

¹ Excludes Ebola, Zika and other supplemental funding or transfers.

² Includes Special type 1 Diabetes Research mandatory account funding (through FY 2020). FY 2019 includes carryover of \$123,707,707.

³ Includes PHS Program Evaluation financing of \$715,000,000 in FY 2015, \$780,000,000 in FY 2016, \$824,443,000 in FY 2017, \$922,871,000 in FY 2018, \$1,146,821,000 in FY 2019 and \$741,000,000 in FY 2020.

⁴ Includes Interior Appropriation allocation for Superfund Research activities.

⁵ Includes PHS Program Evaluation financing of \$8,200,000 for years before FY 2015.

⁶ The FY 2020 Budget proposes to consolidate Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for years prior to FY 2020 do not include AHRQ.

⁷ Includes funds under the 21st Century Cures Act.

⁸ Includes \$60,647,563 of 21st Century Cures carryover from FY 2017.

⁹ Includes \$428,918,109 of FY 2018 Opioids carryover in various ICs and \$65,782,664 of 21st Century Cures carryover from FY 2017 and FY 2018 in various ICs. Amounts assume obligation of all FY 2019 budget authority plus amounts carried over from FY 2018.

¹⁰ Amounts represent estimated or requested budget authority as opposed to obligations displayed in historical years.

History of Obligations by Total Mechanism

(Dollars in Thousands) ¹	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual ⁴	FY 2016 Actual ⁴	FY 2017 Actual ⁴	FY 2018 Actual ^{4,5}	FY 2019 Enacted ^{4,6}	FY 2020 President's Budget ^{4,7}
Research Project Grants	\$16,428,047	\$16,550,486	\$15,445,463	\$16,168,246	\$16,441,843	\$17,839,691	\$19,105,304	\$20,756,893	\$23,028,015	\$19,544,723
Research Centers	\$3,009,480	\$3,040,375	\$2,708,744	\$2,723,203	\$2,663,064	\$2,573,774	\$2,536,308	\$2,581,750	\$2,689,641	\$2,217,953
Other Research	\$1,802,937	\$1,808,138	\$1,783,481	\$1,846,841	\$1,802,719	\$2,019,736	\$2,181,261	\$2,371,164	\$2,564,594	\$2,209,720
Subtotal, Research Grants	\$21,240,464	\$21,398,999	\$19,937,688	\$20,738,290	\$20,907,625	\$22,433,201	\$23,822,873	\$25,709,807	\$28,282,250	\$23,972,395
Research Training	\$771,766	\$761,934	\$733,524	\$738,429	\$758,017	\$803,869	\$827,397	\$855,844	\$888,955	\$801,873
R & D Contracts	\$2,996,640	\$2,937,188	\$2,927,077	\$2,990,037	\$2,826,971	\$2,913,224	\$3,046,759	\$3,072,406	\$3,155,451	\$2,795,430
Intramural Research	\$3,330,815	\$3,401,506	\$3,247,193	\$3,373,601	\$3,409,362	\$3,682,831	\$3,780,181	\$3,972,054	\$4,150,735	\$3,633,805
Res. Mgt. & Support	\$1,517,630	\$1,530,874	\$1,485,575	\$1,527,131	\$1,619,784	\$1,653,230	\$1,747,406	\$1,813,738	\$1,900,318	\$1,739,376
Office of the Director ²	\$623,887	\$609,530	\$608,584	\$477,293	\$573,328	\$599,263	\$701,864	\$1,016,633	\$1,251,699	\$1,144,168
Subtotal	\$30,481,202	\$30,640,031	\$28,939,641	\$29,844,781	\$30,095,088	\$32,085,618	\$33,928,465	\$36,440,482	\$39,629,408	\$34,087,048
Buildings & Facilities ³	\$70,081	\$133,228	\$114,580	\$96,880	\$123,464	\$95,883	\$143,415	\$124,434	\$218,000	\$214,000
Interior- Superfund	\$79,045	\$78,928	\$74,864	\$77,345	\$77,332	\$77,252	\$77,337	\$77,342	\$77,349	\$66,581
Total	\$30,630,328	\$30,852,187	\$29,129,085	\$30,019,005	\$30,295,884	\$32,258,753	\$34,149,217	\$36,642,258	\$39,924,757	\$34,367,629

¹ Obligations for actual years exclude lapse. Amounts for all years include Special type 1 Diabetes. All Subtotal and Total numbers may not add due to rounding. FY 2017 through FY 2020 includes 21st Century CURES Act funding. All years exclude Ebola-related and supplemental financing.

² Excludes obligations for the Common Fund and the Office of Research Infrastructure Programs, which are distributed by mechanism.

³ Includes B&F appropriation and monies allocated (\$18,000,000 in FY 2018, \$18,000,000 in FY 2019, and \$14,000,000 in FY 2020) pursuant to appropriations acts provisions that funding may be used for facilities repairs and improvements at the NCI Federally funded Research and Development Center in Frederick, Maryland.

⁴ Includes Program Evaluation Financing resources of \$715,000,000 in FY 2015, \$780,000,000 in FY 2016, \$824,443,000 in FY 2017, \$922,871,000 in FY 2018, \$1,146,821,000 in FY 2019, and \$741,000,000 in FY 2020.

⁵ Includes obligations of \$60,647,563 of 21st Century Cures Act funding which was appropriated in FY 2017, but carried over into FY 2018.

⁶ Includes obligations of \$65,782,664 of 21st Century Cures Act funding which was appropriated in FY 2017 and FY 2018, but carried over into FY 2019. Similarly, includes \$428,918,109 of Opioids funding carried over from FY 2018, and 123,707,707 of Type 1 Diabetes funding carried over from FY 2018. Obligations of carryover funding are distributed by mechanism.

⁷ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for years prior to FY 2020 do not include AHRQ.

Statistical Data: Direct and Indirect Costs Awarded

(Dollars in Thousands)	Direct Cost Awarded	Indirect Cost Awarded	Percent of Total		Percent Change	
			Direct Cost Awarded	Indirect Cost Awarded	Direct Cost Awarded	Indirect Cost Awarded
FY 2008	\$15,295,950	\$5,903,730	72.2%	27.9%	-0.6%	0.5%
FY 2009	\$15,683,872	\$6,027,543	72.2%	27.8%	2.5%	2.1%
FY 2010	\$16,040,991	\$6,193,567	72.1%	27.9%	2.3%	2.8%
FY 2011	\$15,849,082	\$6,173,769	72.0%	28.0%	-1.2%	-0.3%
FY 2012	\$15,978,032	\$6,182,900	72.1%	27.9%	0.8%	0.2%
FY 2013	\$14,915,599	\$5,755,617	72.2%	27.8%	-6.7%	-6.9%
FY 2014	\$15,568,553	\$5,908,275	72.5%	27.5%	4.4%	2.7%
FY 2015	\$15,645,282	\$6,020,843	72.2%	27.8%	0.5%	1.9%
FY 2016	\$16,791,158	\$6,445,133	72.3%	27.7%	7.3%	7.1%
FY 2017 ¹	\$17,799,515	\$6,838,801	72.2%	27.8%	6.0%	6.1%
FY 2018 Final Allocation ^{1,2}	\$19,595,565	\$7,494,864	72.3%	27.7%	10.1%	9.6%
FY 2019 Enacted ¹	\$20,704,901	\$7,941,275	72.3%	27.7%	5.7%	6.0%
FY 2020 President's Budget ^{1,3}	\$17,958,779	\$6,815,490	72.5%	27.5%	-13.3%	-14.2%

Note: Data for fiscal years 2019 and later represent estimates and will change as actual data are received.

¹ Includes 21st Century Cures Act funding.

² The amounts shown in the FY 2018 row include an estimated \$374 million of Direct Cost and \$151 million of Indirect Costs expected to be awarded from FY 2018 two-year and no-year appropriations that were carried over into FY 2019.

³ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for years prior to FY 2020 do not include AHRQ.

RPGs – Total Number of Awards and Funding

(Dollars in Thousands)	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017 Final ³	FY 2018 Final Allocation ^{3,4}	FY 2019 Enacted ³	FY 2020 President's Budget ^{3,5}
<u>No. of Awards:</u>										
Competing	8,706	8,986	8,234	9,168	9,540	10,364	10,123	11,461	11,675	7,894
Noncompeting	26,166	25,631	25,140	23,504	23,261	23,528	24,638	25,858	27,492	28,760
Subtotal	34,872	34,617	33,374	32,672	32,801	33,892	34,761	37,319	39,167	36,654
SBIR/STTR	1,494	1,642	1,466	1,660	1,578	1,689	1,807	2,035	2,222	1,911
Total	36,366	36,259	34,840	34,332	34,379	35,581	36,568	39,354	41,389	38,565
<u>Average Annual Cost:</u>										
Competing RPGs	\$427	\$421	\$418	\$489	\$452	\$484	\$522	\$519	\$541	\$472
Total RPGs ¹	\$453	\$459	\$444	\$474	\$479	\$502	523	541	549	508
<u>Percent Change in Average Cost from Prior Year²</u>										
Competing RPGs	2.5%	-1.5%	-0.8%	17.0%	-7.5%	7.2%	7.8%	-0.6%	4.2%	-12.7%
Total RPGs ¹	0.5%	1.4%	-3.3%	6.7%	1.2%	4.8%	4.0%	3.6%	1.4%	-7.4%
<u>Average Length of Award in Years</u>	3.7	3.5	3.5	3.5	3.5	3.6	3.6	3.6	3.6	3.6

NOTE: Includes awards supported by the Common Fund program (for all years) and the Type 1 Diabetes mandatory account.

¹ Includes Noncompeting RPGs and Administrative Supplements. Excludes SBIR/STTR awards.

² Based on average costs in whole dollars.

³ Includes 21st Century Cures Act funding.

⁴ The figures shown in the FY 2018 column include an estimated 390 Competing, 133 Noncompeting and 12 SBIR/STTR grants expected to be awarded from FY 2018 two-year and no-year appropriations that were carried over into FY 2019.

⁵ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for years prior to FY 2020 do not include AHRQ.

RPGs – Success Rates

INSTITUTES & CENTERS^{*,1,2}	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
							Final⁶	Final Allocation^{6,7}	Enacted⁶	President's Budget^{6,8}
NCI	13.8%	13.6%	13.7%	14.1%	13.0%	12.0%	11.7%	11.3%	11.2%	11.7%
NHLBI	17.4%	14.7%	16.9%	18.2%	21.9%	24.2%	23.5%	25.1%	26.9%	29.7%
NIDCR	22.5%	21.2%	19.9%	21.5%	22.0%	19.9%	17.8%	22.2%	23.6%	14.8%
NIDDK	20.7%	19.8%	21.0%	22.9%	20.3%	20.1%	17.8%	22.3%	20.8%	17.3%
NINDS	21.1%	19.5%	19.8%	18.7%	20.5%	19.8%	17.7%	23.0%	19.0%	10.9%
NIAID	20.2%	23.2%	18.8%	22.0%	21.5%	23.8%	19.1%	22.9%	22.7%	17.5%
NIGMS	23.1%	24.4%	19.9%	24.8%	29.6%	29.6%	30.6%	29.2%	30.1%	10.0%
NICHD	12.4%	12.5%	10.8%	12.5%	11.5%	13.2%	16.1%	18.4%	17.8%	10.2%
NEI	28.8%	29.8%	23.7%	26.7%	21.4%	25.7%	24.9%	26.7%	25.6%	16.9%
NIEHS	14.7%	14.3%	15.3%	15.0%	14.7%	14.2%	15.0%	17.1%	15.0%	13.3%
NIA	16.1%	15.5%	13.6%	15.9%	17.7%	22.8%	26.6%	28.9%	35.4%	10.1%
NIAMS	14.9%	15.6%	15.9%	18.1%	16.7%	16.0%	17.0%	16.7%	14.9%	10.6%
NIDCD	27.5%	26.6%	22.5%	25.8%	24.9%	26.7%	24.4%	27.1%	21.7%	10.7%
NIMH	17.1%	21.6%	18.7%	19.4%	20.4%	22.9%	20.9%	22.2%	26.3%	11.0%
NIDA	18.2%	21.2%	19.5%	18.0%	19.6%	15.4%	19.7%	33.3%	19.4%	10.8%
NIAAA	18.6%	18.4%	19.5%	19.2%	16.4%	18.8%	22.0%	26.7%	20.6%	10.2%
NINR	8.5%	13.0%	9.1%	11.6%	8.0%	9.0%	8.9%	10.3%	7.1%	9.1%
NHGRI	27.4%	23.9%	20.5%	17.7%	18.8%	25.6%	23.9%	28.0%	22.2%	10.2%
NIBIB	12.9%	12.1%	13.7%	13.1%	12.0%	14.6%	13.0%	16.8%	17.5%	10.6%
NIMHD	11.9%	9.9%	4.3%	11.9%	13.7%	19.3%	21.5%	10.7%	7.0%	10.0%
NCCIH ³	9.1%	9.5%	11.6%	8.7%	10.8%	13.9%	16.7%	20.3%	16.4%	11.1%
NCATS ⁴	N/A	0.0%	0.0%	16.7%	66.7%	27.7%	21.8%	34.8%	24.1%	5.2%
FIC	11.9%	16.0%	14.6%	9.1%	9.7%	29.5%	10.8%	19.5%	12.9%	10.4%
NLM	16.1%	12.8%	12.3%	19.4%	19.8%	13.0%	14.9%	17.7%	17.4%	8.9%
ORIP & SEPA ⁵	21.3%	18.6%	20.0%	19.6%	21.5%	18.8%	16.5%	17.8%	12.3%	9.6%
Common Fund	11.3%	8.0%	9.2%	10.0%	12.1%	12.6%	11.8%	10.9%	12.6%	9.4%
NIH	17.5%	17.5%	16.7%	18.0%	18.3%	19.1%	18.7%	20.9%	20.3%	13.4%
NIRSQ										25.0%
NIH	17.5%	17.5%	16.7%	18.0%	18.3%	19.1%	18.7%	20.9%	20.3%	13.5%

* Success Rates identified in FY 2019 and FY 2020 are estimates, and will change as applications are received and selected for funding.

¹ Application success rates represent the percentage of applications that are awarded during the fiscal year.

² Includes Special type 1 Diabetes Research program administered by NIDDK. Excludes NIEHS Superfund Research and OD Other awards.

³ The National Center for Complementary and Alternative Medicine (NCCAM) was renamed in December 2014 to the National Center for Complementary and Integrative Health (NCCIH).

⁴ The National Center for Advancing Translational Sciences (NCATS) was established concurrent with the dissolution of National Center for Research Resources (NCRR) effective FY 2012.

⁵ The SEPA program transitioned to NIGMS in FY 2017 from the NIH Office of Research Infrastructure Program (ORIP).

⁶ Includes 21st Century Cures Act funding.

⁷ The FY 2018 column includes an estimated 390 competing RPGs expected to be awarded from FY 2018 two-year and no-year appropriations that were carried over into FY 2019.

⁸ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures prior to FY 2020 do not include AHRQ.

Total R01 Equivalent Data for First Time and Established Investigators

R01 Equivalent Grants^{1,2,3,4,7}	FY 2018 Final Allocation⁵	FY 2019 Enacted	FY 2020 President's Budget⁶
Applications			
Received.....	34,584	36,091	37,663
Funded.....	7,782	7,834	5,451
Total Investigators			
Received.....	30,198	31,436	32,675
Funded.....	9,204	9,303	6,517
Established Investigators			
Received.....	18,812	19,785	20,547
Funded.....	6,587	6,697	4,683
First-time Investigators			
Received.....	11,386	11,651	12,128
Funded.....	2,617	2,606	1,834

¹ Grant data is based on linear extrapolation of five years of latest actual data.

² Excludes applications and awards associated with reimbursable agreements and Superfund Research.

³ Estimates for received applications reflect consolidations of Institute/Center validated refinements to linear extrapolation of five years of latest actual data.

⁴ Includes 21st Century Cures Act funding.

⁵ Figures shown in the FY 2018 column include awards expected to be made from FY 2018 two-year and no-year appropriations that were carried over into FY 2019.

⁶ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for FY 2018 and FY 2019 do not include AHRQ.

⁷ R01 Equivalent Grants form a subset of all RPG awards, comprising roughly 63% of Applications, 69% of Total Investigators, 78% of Established Investigators and 56% of First-time Applicants.

Competing RPGs by Length of Award

(Dollars in Thousands)	FY 2018		FY 2019		FY 2020	
	Final Allocation ³		Enacted		President's Budget ⁴	
	No.	Amount	No.	Amount	No.	Amount
Competing RPGs:^{1,2}						
One- Year Awards.....	1,024	\$1,158,401	1,027	\$1,126,694	695	\$665,127
Two- Year Awards.....	2,978	\$668,631	2,986	\$703,745	2,019	\$415,445
Three- Year Awards.....	548	\$297,388	630	\$347,341	426	\$205,047
Four- Year Awards.....	2,130	\$1,089,080	2,282	\$1,225,536	1,543	\$723,476
Five or More Year Awards.....	4,781	\$2,730,302	4,750	\$2,908,107	3,211	\$1,716,757
Total Competing RPGs.....	11,461	\$5,943,802	11,675	\$6,311,423	7,894	\$3,725,852

¹ The distribution of awards with durations of 1, 2, 3, 4 and 5+ years is based on historical data.

² Includes 21st Century Cures Act funding.

³ Figures in the FY 2018 columns include about \$331 million and 390 Total Competing RPGs expected to be awarded from FY 2018 two-year and no-year appropriations that were carried over into FY 2019.

⁴ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for FY 2018 and FY 2019 do not include AHRQ.

Non-Competing Commitments

(Dollars in Thousands)	FY 2018 Final Allocation ^{4,5}	FY 2019 Enacted ⁴	FY 2020 President's Budget ^{4,6}
Research Project Grants (RPGs)			
Noncompeting:			
Number.....	25,858	27,492	28,760
Amount.....	\$13,776,726	\$14,677,360	\$14,536,572
Administrative Supp.....	\$483,035	\$506,430	\$361,166
Competing:			
Number.....	11,461	11,675	7,894
Amount.....	\$5,943,802	\$6,311,423	\$3,725,852
SBIR/STTR:			
Number.....	2,035	2,222	1,911
Noncompeting.....	821	771	797
Amount ¹	\$1,001,946	\$1,084,179	\$921,133
Noncompeting.....	\$404,205	\$376,176	\$384,340
Subtotal, RPGs:			
Number.....	39,354	41,389	38,565
Amount.....	\$21,205,508	\$22,579,392	\$19,544,723
Research Centers:			
Number.....	1,250	1,335	1,155
Noncompeting.....	865	945	924
Amount.....	\$2,583,007	\$2,688,141	\$2,217,953
Noncompeting.....	\$1,786,555	\$1,902,218	\$1,774,227
Other Research:			
Number.....	6,810	6,996	6,244
Noncompeting.....	4,225	4,942	4,995
Amount.....	\$2,446,070	\$2,489,688	\$2,209,720
Noncompeting.....	\$1,517,449	\$1,758,666	\$1,767,642
Training:			
FTTPs.....	16,197	16,666	14,992
Noncompeting.....	13,581	12,875	11,575
Amount.....	\$855,845	\$888,955	\$801,873
Noncompeting.....	\$717,601	\$686,738	\$619,123
Total Extramural Research².....	\$27,090,429	\$28,646,176	\$24,774,269
Noncompeting Number/FTTPs.....	45,350	47,025	47,051
Competing Number/FTTPs.....	18,261	19,361	13,905
Noncompeting Amount.....	\$18,685,571	\$19,907,588	\$19,443,070
Competing Amount.....	\$8,404,858	\$8,738,588	\$5,331,199
Total % Change.....	10.0%	5.7%	-13.5%
Total Discretionary Budget Authority³.....	\$37,074,080	\$39,156,349	\$34,217,629
% Change.....	8.8%	5.6%	-12.6%

¹ The 3.65% combined SBIR/STTR program threshold is achieved in FY 2018 and sustained in subsequent years.

² Includes both grants and FTTPs for Noncompeting and Competing numbers

³ Includes Labor/HHS appropriations, the Interior Superfund Research account, 21st Century Cures Act funding, as well as Program Evaluation financing resources. Excludes mandatory accounts such as Type 1 Diabetes.

⁴ Includes 21st Century Cures Act funding.

⁵ The amount shown in the FY 2018 column for Total Extramural Research includes about \$25 million expected to be awarded from FY 2018 two-year and no-year appropriations that were carried over into FY 2019. Similarly, the Total Discretionary Budget Authority amount in FY 2018 includes about \$392 million expected to be awarded from FY 2018 appropriations carried over into FY 2019.

⁶ Figures for FY 2020 include the proposed consolidation of Agency for Healthcare Research and Quality (AHRQ) activities into NIH as the National Institute for Research on Safety and Quality (NIRSQ). Figures for FY 2018 and FY 2019 do not include AHRQ.

Management Fund (MF) General Statement

The NIH Management Fund (MF) was established on June 29, 1957, by Public Law 85-67. The MF was created to finance a variety of centralized support services and administrative activities that are required for the efficient and effective operation of all NIH programs and facilities. The services provided by the MF include a research hospital and outpatient clinic; receipt, review and referral of research and training grant applications; and police, fire, security, and general administrative support services. The MF is financed through offsetting collections from the NIH Institutes and Centers representing charges for services provided. Funds credited to the NIH Management Fund remain available for one fiscal year after the fiscal year in which they are deposited.

MF Budget Authority by Activity

Budget Authority by Activity
(Dollars in Thousands)

	FY 2018 Final		FY 2019 Enacted		FY 2020 President's Budget		FY 2020 +/- FY 2019	
	<u>FTEs</u>	<u>Amount</u>	<u>FTEs</u>	<u>Amount</u>	<u>FTEs</u>	<u>Amount</u>	<u>FTEs</u>	<u>Amount</u>
<u>Detail:</u>								
Clinical Center	1,856	\$522,575	1,844	\$547,659	1,844	\$547,659	0	\$0
Center for Scientific Review	409	140,818	417	142,484	417	128,235	0	(14,249)
Office of Research Services, Development & Operations and Administrative Services	517	80,757	539	81,541	539	73,387	0	(8,154)
TOTAL	2,782	\$744,150	2,800	\$771,684	2,800	\$749,281	0	(\$22,403)

MF Budget Authority by Object Class

(Dollars in Thousands)

	FY 2019 Enacted	FY 2020 President's Budget	Increase or Decrease
Total compensable workyears:			
Full-time employment	2,800	2,800	0
Full-time equivalent of overtime and holiday hours	0	0	0
Average ES salary	\$188	\$188	0
Average GM/GS grade	11.3	11.2	-0.1
Average GM/GS salary	\$101	\$102	1
Average salary, grade established by act of July 1, 1944 (42 U.S.C. 207)	\$91	\$92	1
Average salary of ungraded positions	113	114	1
OBJECT CLASSES	FY 2019 Enacted	FY 2020 President's Budget	Increase or Decrease
Personnel Compensation:			
11.1 Full-time permanent	\$186,926	\$187,636	\$710
11.3 Other than full-time permanent	51,692	51,889	197
11.5 Other personnel compensation	18,602	18,673	71
11.7 Military personnel	6,591	6,788	197
11.8 Special personnel services payments	5,344	5,364	20
Total, Personnel Compensation	269,155	270,350	1,195
12.0 Personnel benefits	80,125	81,335	1,210
12.2 Military personnel benefits	4,832	4,976	144
13.0 Benefits for former personnel	0	0	0
Subtotal, Pay Costs	354,112	356,661	2,549
21.0 Travel and transportation of persons	2,576	2,576	0
22.0 Transportation of things	1,269	1,269	0
23.1 Rental payments to GSA	3	3	0
23.2 Rental payments to others	23	23	0
23.3 Communications, utilities and miscellaneous charges	5,852	5,852	0
24.0 Printing and reproduction	14	14	0
25.1 Consulting services	17,693	17,693	0
25.2 Other services	124,828	111,348	(13,480)
25.3 Purchase of goods and services from government accounts	124,265	115,300	(8,965)
25.4 Operation and maintenance of facilities	4,705	4,705	0
25.5 Research and development contracts	0	0	0
25.6 Medical care	8,009	8,009	0
25.7 Operation and maintenance of equipment	21,526	20,521	(1,005)
25.8 Subsistence and support of persons	2,735	2,735	0
25.0 Subtotal, Other Contractual Services	303,761	280,311	(23,450)
26.0 Supplies and materials	73,803	73,803	0
31.0 Equipment	30,248	28,748	(1,500)
32.0 Land and structures	0	0	0
33.0 Investments and loans	0	0	0
41.0 Grants, subsidies and contributions	1	1	0
42.0 Insurance claims and indemnities	3	3	0
43.0 Interest and dividends	17	17	0
44.0 Refunds	0	0	0
Subtotal, Non-Pay Costs	417,570	392,620	(24,950)
Total Budget Authority by Object	771,683	749,281	(22,402)

MF Detail of Positions

GRADE	FY 2018 Final	FY 2019 Enacted	FY 2020 President's Budget
Total, ES Positions	3	3	3
Total, ES Salary	\$553,277	\$563,538	\$565,453
GM/GS-15	115	117	119
GM/GS-14	326	329	344
GM/GS-13	394	407	407
GS-12	518	519	522
GS-11	506	508	509
GS-10	34	34	34
GS-9	126	139	136
GS-8	104	115	112
GS-7	239	246	260
GS-6	51	58	56
GS-5	39	41	39
GS-4	13	13	14
GS-3	13	13	13
GS-2	3	4	3
GS-1	0	0	0
Subtotal	2,481	2,543	2,568
Grades established by Act of July 1, 1944 (42 U.S.C. 207) :			
Assistant Surgeon General	0	0	0
Director Grade	14	14	14
Senior Grade	19	19	19
Full Grade	26	26	26
Senior Assistant Grade	20	20	20
Assistant Grade	1	1	1
Subtotal	80	80	80
Ungraded	379	381	382
Total permanent positions	2,364	2,565	2,591
Total positions, end of year	2,943	3,007	3,033
Total full-time equivalent (FTE) employment , end of year	2,782	2,800	2,800
Average ES salary	\$184,426	\$187,846	\$188,484
Average GM/GS grade	11.4	11.3	11.3
Average GM/GS salary	\$99,604	\$100,807	\$101,874

Service and Supply Fund (SSF) General Statement

The NIH Service and Supply Fund (SSF) was established on July 3, 1945, under 42 U.S.C. 231. The SSF was created to finance a variety of centralized research support services and administrative activities that are required for the efficient and effective operation of all NIH programs and facilities. The SSF provides a single means for consolidating the financing and accounting of business-type operations, including the sales of services and commodities to customers. The services provided through the SSF include mainframe computing, enterprise IT software planning and development, facilities engineering, planning, and design, facility use and maintenance including leased buildings, printing, telecommunications, procurement, shipping and receiving, motor pool, research animals, fabrication and maintenance of scientific equipment, utilities and plant maintenance, finance and accounting operations, government-wide contracting for IT, biomedical engineering, security, consolidated human resources, collaborative computer science research and other administrative support services. The SSF is financed through offsetting collections from the NIH Institutes and Centers representing charges for goods and services provided.

SSF Budget Authority by Activity

Budget Authority by Activity
(Dollars in Thousands)

	FY 2018 Final		FY 2019 Enacted		FY 2020 President's Budget		FY 2020 +/- FY 2019	
	<u>FTEs</u>	<u>Amount</u>	<u>FTEs</u>	<u>Amount</u>	<u>FTEs</u>	<u>Amount</u>	<u>FTEs</u>	<u>Amount</u>
<u>Detail:</u>								
Research Support and Administrative, OD, CC	795	\$1,014,914	841	\$1,053,480	841	\$948,132	0	(\$105,348)
Office of Research Facilities Development & Operations	721	530,965	707	551,142	707	496,028	0	(55,114)
Information Technology	233	400,470	257	415,688	257	374,119	0	(41,569)
TOTAL	1,749	\$1,946,349	1,805	\$2,020,310	1,805	\$1,818,279	0	(\$202,031)

SSF Budget Authority by Object Class

(Dollars in Thousands)

	FY 2019 Enacted	FY 2020 President's Budget	Increase or Decrease
Total compensable workyears:			
Full-time employment	1,805	1,805	0
Full-time equivalent of overtime and holiday hours	0	0	0
Average ES salary	\$186	\$187	1
Average GM/GS grade	12.2	12.2	0.0
Average GM/GS salary	\$110	\$110	0
Average salary, grade established by act of July 1, 1944 (42 U.S.C. 207)	\$104	\$105	1
Average salary of ungraded positions	135	136	1
OBJECT CLASSES	FY 2019 Enacted	FY 2020 President's Budget	Increase or Decrease
Personnel Compensation:			
11.1 Full-time permanent	\$194,890	\$195,630	\$740
11.3 Other than full-time permanent	8,581	8,614	33
11.5 Other personnel compensation	11,691	11,735	44
11.7 Military personnel	2,612	2,690	78
11.8 Special personnel services payments	59	60	1
Total, Personnel Compensation	217,833	218,729	896
12.0 Personnel benefits	73,655	74,767	1,112
12.2 Military personnel benefits	1,315	1,354	39
13.0 Benefits for former personnel	1,224	1,224	0
Subtotal, Pay Costs	294,027	296,074	2,047
21.0 Travel and transportation of persons	1,118	1,118	0
22.0 Transportation of things	972	938	(34)
23.1 Rental payments to GSA	55,525	53,582	(1,943)
23.2 Rental payments to others	87,563	83,623	(3,940)
23.3 Communications, utilities and miscellaneous charges	120,638	108,574	(12,064)
24.0 Printing and reproduction	10	10	0
25.1 Consulting services	16,212	14,737	(1,475)
25.2 Other services	557,912	462,247	(95,665)
25.3 Purchase of goods and services from government accounts	501,568	446,532	(55,036)
25.4 Operation and maintenance of facilities	88,585	80,170	(8,415)
25.5 Research and development contracts	0	0	0
25.6 Medical care	2,759	2,621	(138)
25.7 Operation and maintenance of equipment	187,543	169,164	(18,379)
25.8 Subsistence and support of persons	2,630	2,498	(132)
25.0 Subtotal, Other Contractual Services	1,357,209	1,177,969	(179,240)
26.0 Supplies and materials	79,833	73,446	(6,387)
31.0 Equipment	23,296	22,830	(466)
32.0 Land and structures	0	0	0
33.0 Investments and loans	0	0	0
41.0 Grants, subsidies and contributions	0	0	0
42.0 Insurance claims and indemnities	0	0	0
43.0 Interest and dividends	117	115	(2)
44.0 Refunds	0	0	0
Subtotal, Non-Pay Costs	1,726,281	1,522,205	(204,076)
Total Budget Authority by Object	2,020,310	1,818,279	(202,031)

SSF Detail of Positions

GRADE	FY 2018 Final	FY 2019 Enacted	FY 2020 President's Budget
Total, ES Positions	8	8	8
Total, ES Salary	\$1,489,292	\$1,491,188	\$1,498,608
GM/GS-15	84	89	89
GM/GS-14	265	280	280
GM/GS-13	521	544	544
GS-12	262	270	270
GS-11	76	78	78
GS-10	1	1	1
GS-9	67	62	62
GS-8	19	19	19
GS-7	61	57	57
GS-6	6	6	6
GS-5	13	13	13
GS-4	7	7	7
GS-3	13	13	13
GS-2	6	6	6
GS-1	13	13	13
Subtotal	1,414	1,458	1,458
Grades established by Act of July 1, 1944 (42 U.S.C. 207) :			
Assistant Surgeon General	0	0	0
Director Grade	3	3	3
Senior Grade	4	4	4
Full Grade	7	7	7
Senior Assistant Grade	2	2	2
Assistant Grade	0	0	0
Subtotal	16	16	16
Ungraded	330	330	330
Total permanent positions	1,695	1,741	1,741
Total positions, end of year	1,768	1,812	1,812
Total full-time equivalent (FTE) employment , end of year	1,749	1,805	1,805
Average ES salary	\$186,162	\$186,398	\$187,326
Average GM/GS grade	11.9	12.2	12.2
Average GM/GS salary	\$101,774	\$109,332	\$110,340