NIH Grants by the Numbers

- More than 80 percent of NIH’s funding is awarded for extramural research
- Extramural researchers submitted 58,872 applications.
- NIH funded 11,332 grants, leading to a 20.6 percent success rate.
- The average award’s total cost was $581,293, an increase of 2.6% percent from FY 2020
- About 10% of the budget is for intramural research in its own laboratories
NIH includes 27 Institutes and Centers (IC)
Active Projects by Institute/Center

Select a bar to view projects for an Institute/Center
Understand NIH: Finding the Right Fit for Your Research

- Where’s the Money?
- Institute and Center Missions and Priorities
- NIH’s Matchmaker Tool - RePORT⟩ RePORTER (nih.gov)
# Types of NIH Funding

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<td>“Grant” v. “Cooperative Agreement” v. “Contract”</td>
<td>What’s the difference?</td>
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[http://grants.nih.gov/grants/funding/funding_program.htm](http://grants.nih.gov/grants/funding/funding_program.htm)
## Standard Due Dates

<table>
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<td>New R01s</td>
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<td>April 8, August 8, December 8</td>
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NIH Policy Publications

- NIH Grants Policy Statement (NIHGPS)
  - Makes available, in a single document, the policy requirements that serve as the terms and conditions of NIH grant awards

- NIH Guide for Grants and Contracts
  - Official publication for NIH grant policies, guidelines and funding opportunities. Published daily, and a table of contents weekly.
Funding Opportunity Announcements (FOA)

All applications are submitted in response to a Funding Opportunity Announcement (FOA) published in the *NIH Guide for Grants and Contracts* and posted on Grants.gov.

- **RFA** – Request for Applications – one receipt date (typically) and funds set aside to fund (grants or cooperative agreements)
- **RFP** – Request for Proposal (contracts)
- **PA** – Program Announcement: both solicited and unsolicited (aka parent announcements); growing use of Notices of Special Interest (NOSI) rather than topic-specific PAs, replacing IC-issued PAs
- **PAR** – Program Announcement reviewed by the Institute/Center not Center for Scientific Review (CSR)
- **PAS** – Program Announcement with set aside funds (not common)
- **NOSI** – Notice of Special Interest – IC(s) research priority that typically directs applicants to use a parent PA to apply
New and Early-Stage Investigators

- PI is considered a New Investigator if they have not previously competed successfully as PD/PI for a substantial independent research award.
- An ESI is a New Investigator who is within 10 years of completing his/her terminal research degree.
- The NIH intends to support New Investigators at success rates comparable to those for established investigators submitting new application for R01 support.
Requires Two Systems to Work Together

**Grants.gov** – single online Federal portal to find and apply for Federal grant funding involving some 900 grant programs within 26 grant making agencies granting over $350 billion in annual awards

**eRA Commons** – the NIH system used by NIH and other HHS components that allows applicants/grantees to electronically receive and transmit application and award information after the application has been submitted to Grants.gov.

**Important!**
Applicant responsibility to ensure applications complete entire submission process—all the way through to the eRA Commons.
SRS Process of Submitting an Application to NIH

1. Establish an eRA Commons registration
2. Submission through Cayuse
   - Proposal/application is linked to Cayuse from the Maestro log in
   - Data is entered into Cayuse
   - Submitted via System-to-System
eRA Commons is an electronic system designed to track grants from application through closing. It is a communication mechanism between NIH and the PI and the PI's institution. https://commons.era.nih.gov/commons/index.jsp
NIH Budget-Related Policies

- Modular budgets
- Requests of $500,000 or more direct costs
- Consortium indirect costs
- Salary cap
- Graduate student compensation
Modular Budget Must Be Prepared If…

- Required by the FOA  OR
- When the application will meet all of these requirements:
  - Is for an R01, R03, R15, R21, R34 or their cooperative agreement equivalent
  - Requests no more than $250,000 direct costs (excluding any consortium F&A) in any budget period
  - Does not propose use of human fetal tissue from elective abortions
  - Is not from a foreign organization
Modular Budgets

- Direct costs requested in modules of $25,000 up to $250,000 each year, excluding any consortium F&A
- Routinely, same number of modules are requested each year.
- Typically, content of required budget justification limited to a Personnel Justification…a list of all personnel by position, level of effort (person months) and role without individual salary information
- Additional Narrative Justification is not required if the same number of modules are requested each year OR if in response to an FOA (e.g., R21) that cannot be spread evenly across budget periods. However, well-justified modular increments or reductions (e.g., equipment in the 1st year; consortium added in 3rd year) may be requested but require additional explanation in the Narrative Justification.
- SRS uses special modular template to produce internal budget
Requesting $500,000 or More in Any Year

- Prior approval needed to request $500,000 or more in direct costs in any budget period, excluding consortium F&A.

- Also applies to a group of applications meeting the $500,000 threshold in the aggregate even if no single application in the group requests that much.

- PI must contact an IC Program Officer in writing or by phone no later than 6 weeks before submission and include a cover letter with the application identifying the Program Officer contacted and the IC that has agreed to accept the application.

- Prior approval not required for applications submitted to RFAs that include specific budget limits in excess of $500,000.

- Check *NIH-GPS 2.3.7.2*
Consortium Indirect Costs

- For FOAs that include a direct cost limit, NIH policy excludes consortium/contractual F&A when determining if an applicant is in compliance with a given FOA's direct cost limitation.
- For example, with the modular budget format, consortium/contractual F&A costs are not factored into this direct cost limit, but instead, may be requested in addition to the $250,000.
- Check *NIH-GPS 2.3.7.1*
Salary Cap

Since 1990, Congress has legislatively mandated a salary cap for individuals under NIH grants and cooperative agreements. This is still in effect.

…Appropriations Act of 2020 continues to restrict the amount of direct salary of an individual under an NIH grant or cooperative agreement to Executive Level II of the Federal Executive pay scale. That level effective January 2, 2022 and currently in force is $203,700.

Graduate Student Compensation

The maximum amount *awarded* for a graduate student (including salary, fringe benefits, and tuition remission) cannot be greater than the zero level NRSA postdoctoral award.

The institution may re-budget and pay a higher amount.

https://www.niaid.nih.gov/grants-contracts/salary-cap-stipends
Proposal Parts

- Example R01 – varies per activity code
- Title should be short and descriptive Maximum space is 81 characters
- Project Summary/abstract – 30 lines of text
- Project Narrative – three sentences
- Introduction to Resubmissions and Revision Applications – 1 page
- Specific Aims – 1 page
- Research Strategy – 12 pages
Biographical Sketches

- NIH encourages applicants to use SciENcv to generate their biosketches.

- Required Sections
  A. Personal Statement
  B. Positions, Scientific Appointments, and Honors
  C. Contributions to Science
  D. Scholastic Performance - only used the fellowship version
Proposal Parts and Pieces….

- Bibliography and References Cited
- Appendix (only if allowed by RFA)
Specific Aims

- Limited to one page. It is by far the most important page of the application.
- Many applications are won or lost depending on how precisely stated and how compelling the hypothesis and specific aims are presented.
- Brief narrative paragraph or two that concisely states the issue or problem to be addressed, describes the long-term goals or objectives of the project and clearly states the hypothesis to be tested.
- Followed by a numbered list of the Specific Aims.
Research Strategy

The R01 application allows for a maximum of 12 pages

- Significance
- Innovation
- Approach
GET READY: New NIH Policy on Data Management and Sharing, Effective January 25, 2023

- NIH requires researchers to submit a Data Management and Sharing Plan. This policy applies to all research, funded or conducted in whole or in part by NIH, that results in the generation of scientific data.

- New NIH FORM-H Grant Application Forms – Other Plan(s) attachment field

- Plan will be two pages or less

- NIH Data Sharing webpage: https://sharing.nih.gov

- Check Institute/center for specified data repositories
NIH Policy for Data Management and Sharing

Plan Submission and Review

Extramural Grant Awards*

Plan Submission
With application for funding in Budget Justification section

Plan Assessment
Peer reviewers only comment on (not score) budget
NIH program staff assess Plans
Plans can be updated

Plan Compliance
Incorporated into Terms and Conditions
Monitored at regular reporting intervals — mechanisms and tools to support oversight under development
Compliance may factor into future funding decisions
How does a grant get funded?

Great Research Idea!

Investigator
Performs the Research

Institution
Submits Application
Allocates Funds

National Institutes of Health
- Center for Scientific Review
  Assigns to IC & IRG / Study Section
- Study Section
  Reviews for Scientific Merit
- Institute
  Evaluates for Relevance
- Advisory Councils & Board
  Recommends Action
- Institute Director
  Makes Funding Decision

Investigator
Merit Review Criteria

- Significance
- Innovation
- Approach
- Investigator
- Environment
After Proposal Submission

- **Just In Time (JIT)** – Mechanism used by NIH to request more timely information prior to making the final award decision.

- Some of the items requested include **Other Support** for all key personnel identified in the proposal.

- **IRB** or **IACUC** approval dates if project includes human or animal subjects.

- **Human Subject Education** Information (documentation of HS protections training).
Other Support

- Sufficient levels of effort are committed
- No scientific, budgetary, or commitment overlap.
  - Scientific overlap occurs when substantially the same research is proposed in more than one application.
  - Budgetary overlap occurs budgetary items are requested but already are provided by another source.
  - Commitment overlap occurs when an individual’s time commitment exceeds 100 percent.
- Note the requirement for PIs and senior/key personnel to individually electronically sign and date the form
Timing of Other Support Submission

- Just-in-Time, after review when the application is under consideration for funding.
- Research Performance Progress Report (RPPR)
- Immediate notification of undisclosed Other Support. When a recipient organization discovers that a PI or other Senior/Key personnel on an active NIH grant failed to disclose Other Support information outside of Just-in-Time or the RPPR, as applicable, the recipient must submit updated Other Support to the Grants Management Specialist named in the Notice of Award as soon as it becomes known.
Responsible Conduct of Research Training Requirement

- Responsible Conduct of Research Training
- Effective since January 25, 2010
- Affects certain types of awards (F, K, R25, R36, T)
- Applies to all trainees, fellows, students and post docs who work on these projects
- *Must incorporate formal & informal training and mentoring (including face-to-face)*
- See NIH’s NOT-OD-10-019
Funding for the next budget period?

- Except for “multi-year” awards, most NIH awards are funded one year at a time (budget period).
  - Competitive Segment is the project period (1-5 years)
  - Budget period is one year or less.

- Submitting an annual Progress Report through eRA Commons using the RPPR (Research Performance Progress Report).
- New Notice of Award for new budget period will be issued once annual report is accepted.
THANK YOU