

Introduction to the National Institutes of Health

Presented By:

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Outline

- NIH Overview
- Prior to Applying
- The Application
- Submission Process
- Review Criteria & Process

NIH Overview

- Agency of the U.S. Department of Health and Human Services
- 27 Institutes and Centers
- Operations are based in Bethesda, Maryland
- \$32.9 billion invested in FY2016 toward medical research
- 80% of the NIH's funding is awarded through 50,000 grants to institutions in and outside the US.
- In FY2015, NIH awarded 502 grants totaling \$246 million to Non-US Institutions--representing 1% of the total NIH funding awarded in FY 2015



NIH Organization Chart



Mission & Goals

NIH's mission is to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability

- to foster fundamental creative discoveries, innovative research strategies, and their applications as a basis for ultimately protecting and improving health;
- to develop, maintain, and renew scientific human and physical resources that will ensure the **nation's capability to prevent disease**;
- to expand the knowledge base in medical and associated sciences in order to enhance the **nation's economic well-being** and ensure a continued high return on the public investment in research; and
- to exemplify and promote the highest level of scientific integrity, public accountability, and social responsibility in the conduct of science.

Finding Funding



HELP | MANAGE SUBSCRIPTIONS | REGISTER | LOGIN

GRANTS.GOVSM
FIND. APPLY. SUCCEED.™

SEARCH: Grant Opportunities ▾ Enter Keyword... **GO**

HOME | LEARN GRANTS ▾ | SEARCH GRANTS | APPLICANTS ▾ | GRANTORS ▾ | SYSTEM-TO-SYSTEM ▾ | FORMS ▾ | OUTREACH ▾ | SUPPORT

Uniform Guidance on Grants
Learn about the latest grants guidance in OMB's Uniform Guidance for Federal Awards and access COFAR's training webcasts about the changes.
[OMB Uniform Guidance »](#)

Grants.gov Updates

- Grants.gov Calendar**
Check out our calendar to get the latest updates about our upcoming releases, maintenance, and outages.
- Grants.gov Scheduled Maintenance:**
March 19-21, 2016
- Grants.gov Notices**
For more information on upcoming changes with user impacts, please visit the Grants.gov notices page for the latest information.
- Grants.gov Releases**
For information about recent changes and enhancements to Grants.gov, review the latest release notes.
- Grants.gov Blog**
Visit the Grants.gov Blog to get up-to-date status of upcoming maintenance and outages.

Find Open Grant Opportunities

NEWEST OPPORTUNITIES | BROWSE CATEGORIES | BROWSE AGENCIES | BROWSE ELIGIBILITIES

Funding Opportunity Number	Opportunity Title	Agency
DHS-16-CIS-010-001	FY 2016 Citizenship and Integration Grant Program: Citizenship	Office of Procurement

[View More »](#)

Finding Funding

GRANTS & FUNDING



Grants Process

Grants Process Overview

- Planning Your Application
- Writing Your Application
- Submitting Your Application
- Receipt and Referral
- Peer Review Process
- Award Management
- Post Award Management

Types of Grant Programs

- How to Apply
- Peer Review Process
- Award Management
- Foreign Grants Information
- NIH Financial Operations

Types of Grant Programs

NIH uses activity codes (e.g. R01, R43, etc.) to differentiate the wide variety of research-related programs we support. [NIH Institutes and Centers \(ICs\)](#) may vary in the way they use activity codes; not all ICs accept applications for all types of grant programs or they apply specialized eligibility criteria. Look closely at [Funding Opportunity Announcements \(FOAs\)](#) to determine which ICs participate and the specifics of eligibility.

A comprehensive list of extramural grant and cooperative agreement activity codes is available, or you can search for specific codes below:

Search Activity Codes: (e.g. R01, P01, T, K, F, etc.)

Search All Text: (e.g. Mentored, Training, etc.)

Select from List:

Finding Funding

Weekly NIH Funding Opportunities and Notices

NIH Guide for Grants and Contracts

February 26, 2016

Table of Contents (TOC)

[Web Version](#)

Notices

- NIHs Implementation of the Federal Awardee Performance and Integrity Information System (FAPIIS) Requirements
[\(NOT-OD-16-067\)](#) National Institutes of Health
- Notice of Correction of AIDS Application Due Date in PAR-16-093 "Improvement of Animal Models for Stem Cell-Based Regenerative Medicine (R01)"
[\(NOT-OD-16-069\)](#) Division of Program Coordination, Planning and Strategic Initiatives, Office of Research Infrastructure Programs
National Institute of Allergy and Infectious Diseases
National Institute of Dental and Craniofacial Research
National Institute of Environmental Health Sciences

Funding Opportunity Announcement

Department of Health and Human Services

Part 1. Overview Information

Participating Organization(s)	National Institutes of Health (NIH)
Components of Participating Organizations	National Cancer Institute (NCI) National Eye Institute (NEI) National Heart, Lung, and Blood Institute (NHLBI) National Human Genome Research Institute (NHGRI) National Institute on Aging (NIA) National Institute on Alcohol Abuse and Alcoholism (NIAAA) National Institute of Allergy and Infectious Diseases (NIAID) National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS) National Institute of Biomedical Imaging and Bioengineering (NIBIB) Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD) National Institute on Deafness and Other Communication Disorders (NIDCD) National Institute of Dental and Craniofacial Research (NIDCR) National Institute of Diabetes and Digestive and Kidney Diseases (NIDDK) National Institute of Drug Abuse (NIDA) National Institute of Environmental Health Sciences (NIEHS) National Institute of General Medical Sciences (NIGMS) National Institute of Mental Health (NIMH) National Institute on Minority Health and Health Disparities (NIMHD) National Institute of Neurological Disorders and Stroke (NINDS) National Institute of Nursing Research (NINR) National Library of Medicine (NLM) National Center for Complementary and Integrative Health (NCCIH; formerly NCCAM) Division of Program Coordination, Planning and Strategic Initiatives, Office of Research Infrastructure Programs (ORIP)
Funding Opportunity Title	Research Project Grant (Parent R01)
Activity Code	R01 Research Project Grant
Announcement Type	Release of PA-13-302
Related Notices	<ul style="list-style-type: none"> January 12, 2013 - Notice of information: Parallel Funding Initiative for Collaborative Research Between Investigators in the USA and in the State of São Paulo, Brazil. See Notice NOT-TW-13-001 NOT-OD-13-006 - NIH & AHRQ Announce Upcoming Changes to Policies, Instructions and Forms for 2016 Grant Applications (November 18, 2013) NOT-OD-13-005 - Simplification of the Veterinary Animal Section of NIH Grant Applications and Contract Proposals (November 18, 2013) NOT-OD-13-001 - Implementing Rigor and Transparency in NIH & AHRQ Research Grant Applications (November 18, 2013) April 16, 2013 - Notice of information: NIMH High-Priority Areas for Research on Women's Mental Health During Pregnancy and the Postpartum Period. See Notice NOT-MH-13-013 September 23, 2014 - See Notice NOT-MH-14-013: Notice of information on High-Priority Research Areas on Understanding and Reducing Mental Health Disparities. September 4, 2014 - Notice Announcing Updates to NIH/NIH Topics of Special Interest (TOSI). See Notice NOT-HL-14-236 August 29, 2014 - See Notice NOT-LA-14-001: NIA/NIH Policy for Submission of Applications Containing Clinical Trials August 19, 2014 - See Notice NOT-AM-14-007: Notice of change to application requirements July 10, 2014 - Notice of National Institute on Minority Health and Health Disparities (NIMHD) Participation in PA-13-302. See Notice NOT-MD-14-003 June 10, 2014 - Notice of NICHD's Interest in Supporting Research on Contraception, Long-Term Outcomes of Assisted Reproductive Technologies, and Intrauterine Assessment of Placental and Fetal Function. See Notice NOT-HD-14-003 June 4, 2014 - Notice NOT-HL-14-074 supersedes instructions in Section 3.3 regarding applications that are essentially the same November 25, 2013 - See Notice NOT-HL-13-021: Notice Announcing NIH/NIH Topics of Special Interest (TOSI) August 21, 2013: Removed reference to ASSIST in section IV.3, since ASSIST is currently only available for multi-project applications. NOT-OD-13-013 - Clarification of NICHD Policy: Investigator-Initiated Multi-Center Clinical Studies August 7, 2013 - Use this funding opportunity announcement for due dates of September 25, 2013 and beyond.
Funding Opportunity Announcement (FOA) Number	PA-13-302
Companion Funding Opportunity	None
Number of Applications	See Section III, 3. Additional Information on Eligibility
Catalog of Federal Domestic Assistance (CFDA) Number(s)	93.861, 93.233, 93.039, 93.038, 93.037, 93.113, 93.859, 93.079, 93.206, 93.273, 93.172, 93.173, 93.066, 93.863, 93.047, 93.056, 93.055, 93.121, 93.351, 93.067, 93.213, 93.242, 93.046, 93.865, 93.399, 93.307, 93.396, 93.395, 93.394, 93.393, 93.279
Funding Opportunity Purpose	The Research Project Grant (R01) supports a discrete, specified, circumscribed project to be performed by the named investigator(s) in areas representing the specific interests and competencies of the investigator(s). The proposed project must be related to the program descriptions of their program.
Key Dates	
Posted Date	August 2, 2013
Open Date (Earliest Submission Date)	August 7, 2013
Letter of Intent Due Date(s)	Not Applicable
Application Due Date(s)	Standard dates apply by 5:00 PM local time of applicant organization. Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.
AIDS Application Due Date(s)	Standard AIDS dates apply by 5:00 PM local time of applicant organization. Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.
Scientific Merit Review	Standard dates apply
Advisory Council Review	Standard dates apply
Earliest Start Date	Standard dates apply
Expiration Date	September 6, 2016

Types of Funding Announcements

- **Parent Announcement**
 - Investigator initiated
- **IC-Specific Program Announcement (PA)**
 - Investigator initiated
 - Specific research area relevant to IC
- **Request for Applications (RFA)**
 - Specified amount of funding and # of awards
 - NIH requested research area

Reviewing FOA

	Cycle I	Cycle II	Cycle III
Application Due Dates	January 25 - May 7	May 25 - September 7	September 25 - January 7
Scientific Merit Review	June - July	October - November	February - March
Advisory Council Round	August or October *	January	May
Earliest Project Start Date	September or December *	April	July

- **Eligibility**

Non-domestic (non-U.S.) Entities (Foreign Institutions) **are** eligible to apply.

- **Foreign Institutions**

Special Requirements

- **Funding Restrictions**

Limits/items cannot be funded

- **Other Submission Requirements & information**

Letter of Intent or Resource Sharing

Funding Activity Codes

Activity Code Mechanism	Duration	Funding Amount	Characteristics	Parent Announcement
R03 Small Research Grant Program	1-2 yrs	50k	Non-renewable, most IC use	PA-16-162
R21 Exploratory Development Research Grant	1-2 yrs	275k	Most ICs Non-renewable	PA-16-161
R01 Research Project Grant Program	3-5 yrs	No Limit*	All ICs Renewable	PA-16-160
U01 Research Project Cooperative Grants	3-5 yrs	No Limit*	Involvement by ICs Renewable*	None - RFA

Funding Activity Codes

Activity Code Mechanism	Duration	Funding Amount	Characteristics	Parent Announcement
R03 Small Research Grant Program	1-2 yrs	50k	Non-renewable, most IC use	PA-16-162

Provides funding to support short-term projects

- Limited to two years of funding
- Direct costs up to \$50,000 per year
- Not renewable
- Used by more than half of the NIH ICs

Funding Activity Codes

Activity Code Mechanism	Duration	Funding Amount	Characteristics	Parent Announcement
R21 Exploratory Development Research Grant	1-2 yrs	275k	Used by most ICs Non-renewable	PA-16-161

Provides funding for new, exploratory and developmental research projects

- Limited to up to two years of funding
- Combined budget for direct costs for the two year project period may not exceed \$275,000
- Most ICs utilize

Funding Activity Codes

Activity Code Mechanism	Duration	Funding Amount	Characteristics	Parent Announcement
R01 Research Project Grant Program	3-5 yrs	No Limit*	Used by all ICs Renewable	PA-16-160

Provides funding to support a specified research project

- No specific dollar limit unless specified*
* \$500K or more (direct costs) in any year requires prior approval
- Awarded for 3 – 5 years
- All ICs use

Funding Activity Codes

Activity Code Mechanism	Duration	Funding Amount	Characteristics	Parent Announcement
U01 Research Project Cooperative Grants	3-5 yrs	No Limit*	Involvement by ICs Renewable*	None-RFA

Supports specific scientific area to accomplish specific research objectives.

- Used when programmatic involvement is expected by the awarding Institute or Center
- No specific dollar limit unless specified
- Cooperative agreement

Preparing to Apply

- Determining Proposal a Good Fit
- Involving Other Institutions
- NIH FCOI Requirements
- Finding Application Form & Instructions
- Electronic Requirements

Is Proposal a Good Fit?

- RePORT
- IC Research Priorities
- Funding Announcement
- Contact Program Officer

NIH Match Maker

Matchmaker Results

- Enter Abstract or Scientific Text
- Similar projects funded
- Breakdown of Activity Codes, IC and SRG



Involving Another Institution

- Subawardee
 - Budget
 - Endorsement
 - Institutional Information
 - Administrative Requirements
 - Other (Biosketch, etc.)



Start Early

Financial Conflict of Interest

- NIH Requirements

- Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 C.F.R. Part 50, Subpart F)

- “Investigators”

- ✓ Training
- ✓ Financial Interests



Locating the Application

1. Download PDF Application & Instructions

Apply Using Downloadable Forms

- Grants.gov
 - Form C or Form D (deadline May 25 or later)
 - Sign-up for e-mail notification

2. [Application Submission System & Interface for Submission Tracking \(ASSIST\)](#)

Apply Online Using ASSIST


- Web-based Application System
- eRA Credentials

Electronic Requirements

SYNOPSIS | VERSION HISTORY | RELATED DOCUMENTS | **PACKAGE**

Print Package List 

Select Grant Opportunity Package

 **READ BELOW BEFORE YOU APPLY FOR THIS GRANT!**
 Before you can view and complete an application package, you **MUST** have Adobe Reader installed. Packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader. If more than one person is working on the application package, **ALL** applicants must be using the same software version. [Click for more information on Adobe Reader Compatibility.](#)

Below is a list of the Opportunity Package(s) currently available for the Funding Opportunity.

Click the corresponding link to continue.

CFDA	Competition ID	Competition Title	Opportunity Package ID	Opening Date	Closing Date	Workspace Compatible	Actions
	<u>FORMS-D</u>	Use for due dates on or after May 25, 2016	PKG00222267	04/17/2016	05/07/2019	Yes	Select Package

- All PD/PI listed on application need an Account
- Institution to initiate account set-up

The Application

GRANTS.GOV™		Grant Application Package		Print	Cancel
Opportunity Title:	NIH Research Project Grant (Parent R01)				
Offering Agency:	National Institutes of Health				
CFDA Number:					
CFDA Description:					
Opportunity Number:	PA-16-160				
Competition ID:	FORMS-D				
Opportunity Open Date:	04/17/2016				
Opportunity Close Date:	05/07/2019				
Agency Contact:	eRA Service Desk Monday to Friday 7 am to 8 pm ET http://grants.nih.gov/support/				

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

Application Filing Name:

Application Components

Select Forms to Complete

Mandatory

[SF424 \(R & R\)](#)[PHS 398 Cover Page Supplement](#)[Research And Related Other Project Information](#)[Project/Performance Site Location\(s\)](#)[Research and Related Senior/Key Person Profile \(Expanded\)](#)[PHS 398 Research Plan](#)

Optional

 [Research & Related Budget](#) [R & R Subaward Budget Attachment\(s\) Form 5 YR 30 ATI](#) [PHS 398 Modular Budget](#) [PHS 398 Inclusion Enrollment Report](#) [PHS Assignment Request Form](#)

Mandatory Application Sections

- **SF424 (R&R)**

Institution, Project Director and General Proposal Information

- **PHS 398 Research Plan**

Scientific Proposal & Other Attachments

- **PHS 398 Cover Page Supplement**

Project Director, Disclosure and Program Income

Mandatory Application Sections

- **R&R Senior Key Person**

Project Director and Other Key Person's Information & CVs

- **R&R Other Project Information**

Ethics Assurances, Project Impact, **Foreign Justification**, Abstract, Narrative, Bibliography, Facilities, Equipment

- **R&R Project Performance Site Locations**

Locations of Project Performance

Optional Application Sections

- **PHS 398 Modular Budget**
DO NOT USE - US Institutions Only
- **R&R Budget**
Budget Details of Lead Institution
- **R&R Subaward Budget Attachments**
Individual Budgets for Subaward/Consortiums
- **PHS Assignment Request Form**

Formatting Attachments

All Attachment must be PDF

■ File Names

- 50 Characters or less
 - A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign
- No more than one space between words

■ File Size

- 100 MB or less

■ Font

- 11 point or larger
- Black

The R&R Budget

- Foreign (non-US) applicants **MUST** use the R&R Budget Form
 - Must be in USD
 - Note exchange rate in Budget Justification
- Budget periods may only be 12 months
 - If you require additional periods, please use the “add period.”
- List only detailed costs for lead institution*

The R & R Budget

• Section A & B – Personnel

- Always indicate the PI as a PD/PI
- Include all calendar month effort even if no salary requested
 - U of T is on a 12-month appointment basis – 10% effort equals 1.2 months
- Please ensure you are adhering to NIH's salary cap
 - http://grants.nih.gov/grants/policy/salcap_summary.htm
- Apply appropriate Fringe Benefits Rates

The R & R Budget

- **Section C – Equipment**
- **Section D – Travel – Fly America Act**
- **Section E – Participant/Trainee Support**
- **Section F – Other Direct Costs***
- **Section G – Direct Costs (Total Direct Costs)**

The R & R Budget

- **Section H – Indirect Costs**

- NIH IDC rate for foreign institutions is 8%
- IDC cost base is all direct costs MINUS equipment

- **Section I – Total Direct & Indirect Costs**

- Calculates automatically

- **Section K – Budget Justification**

- Currency Conversion
- Description of each expense
- PI roles and responsibilities – salaries and benefits
- How did you arrive at these costs?

Ready to Submit

✓ Check Package for Errors

Button is found at the top of the application form — checks against forms required grants.gov fields.

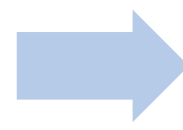
✓ **Review, Review and Review!**

✓ Common Errors

- Incorrect DUNS Number
- eRA Commons Id Missing
- Incorrect Role
- Missing attachments
- Attachments not named using correct convention
- Attachments in incorrect format (PDF)
- Omitted Effort

The Submission Process

Submitted by
Institution



eRA Commons Validation

- Errors & warnings
- Assembled package

Grants.gov tracking number assigned

 Application Submission System & Interface
for Submission Tracking (ASSIST)
Sponsored by the National Institutes of Health

ASSIST

- **Application Submission System & Interface for Submission Tracking**
 - Online version of the PDF application
 - eRA Commons ID & Password
- **Benefits**
 - Multiple User Access
 - Lockout
 - Research Office – Review
 - Live Error Checking

Review Process

Level 1: Scientific Review Group Evaluation for Scientific Merit

- Reviewed by Center for Scientific Review (CSR) or IC*
 - Review Application against NIH Policy & FOA
 - Recruit Reviewers
 - Assign to Scientific Review Groups (SRG)
 - academic experts in area
 - Coordinate review by SGR

Scoring

- **Overall Impact**
 - Likelihood influence research field
- **Scored Review Criteria**
 - Score for each criterion
 - Scale: 1 (best) – 9 (poor)
- **Final Overall Impact Score**
 - Mean of all scores then multiplied by 10
 - Final score between 10 and 90
 - Summary Statement

Review Criteria

- Significance
- Investigator(s)
- Innovation
- Approach
- Environment

Overall Impact or Criterion Strength	Score	Descriptor
High	1	Exceptional
	2	Outstanding
	3	Excellent
Medium	4	Very Good
	5	Good
	6	Satisfactory
Low	7	Fair
	8	Marginal
	9	Poor

Review Criteria

- **Additional Review Criteria**
 - Ethics, Biohazard & Application type
 - Overall Impact Score
- **Additional Review Considerations**
 - Foreign, Select Agent, Budget & Period
 - Noted, but not scored

Review Process

Level 2: Advisory Council or Board

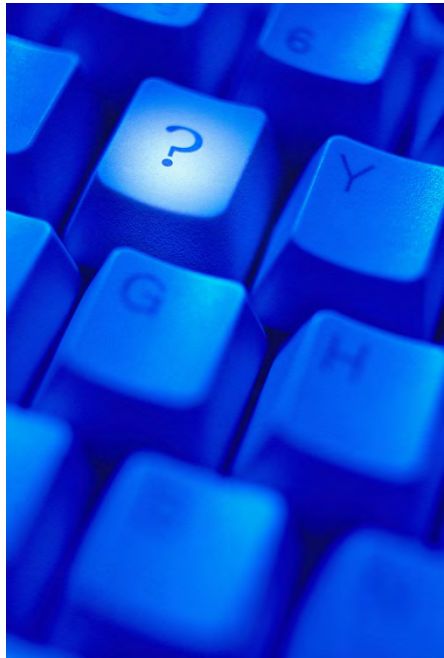
- Specific IC
 - Members both academic and public
 - Review applications against IC needs and goals
 - Advise IC Director
 - IC Director final decision on funding

QUICK
TIPS

QUICK
TIPS

Tips for Success

- Become a Reviewer
- Get to know Institute/Center & Program Officer
- Foreign Justification
- Link with US-based Collaborator



Questions ???

