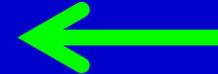


NIH Funding 'Mechanisms'

Judith Podskalny, Ph.D.
Program Director, NIDDK
NIH

Topics:

- ❖ Major types of applications



- ❖ **Requests for Applications and Program Announcements**

- ❖ Common Questions

- ❖ Resources

Types of support (extramural):

- ❖ Grants
 - ❖ Cooperative Agreements

111

** Grants are by far the major mechanism used --

84

1 R01 DK063459-01



Type



Activity code

1 = new

2 = competing
continuation

5 = progress report

Activity code groups:

- ❖ F = Fellowships (all levels)
- ❖ G = Resource programs
- ❖ K = Research Career
- ❖ M = M01 = GCRCs
- ❖ P = Research Program Projects & Centers
- ❖ R = Research Projects
- ❖ S = Research-related
- ❖ T = Training Programs
- ❖ U = Cooperative Agreements

R-series awards:

- ❖ R01s – regular research project grant
- ❖ R21s – **only** in response to PAs or RFAs
- ❖ R03s – **only** in response to PAs or RFAs

NIH issued
≈**43,500** awards
in FY2002

'Features' of R01s:

- ❖ Major grant mechanism
- ❖ Renewable
- ❖ Budget requested is up to investigator
 - Must get prior approval if >\$500,000 in any 1 year

Remember ---

Budget **awarded** is up to the NIH (peer review, Institute policy, funds available)

'Features' of R21s:

- ❖ Exploratory grants
- ❖ Institute-specific
- ❖ Not renewable
- ❖ Budgets usually limited to \$100,000 per year for only 2 or 3 years
- ❖ Reviewed in standard study sections in CSR

'Features' of R03s:

- ❖ Small grants
- ❖ Usually \$50,000-100,000 per year for 2 or 3 years
- ❖ Not renewable
- ❖ Reviewed in Institute study sections

'Features' of U01s:

- ❖ Big awards
- ❖ Only in response to RFAs
- ❖ Need special internal NIH clearance
- ❖ NIH staff is involved
- ❖ Multiple sites – large scale clinical trials

Topics:

- ❖ Major types of applications
- ❖ Requests for Applications and Program Announcements 
- ❖ Common questions
- ❖ Resources

Request for Applications (RFA)

- ❖ One receipt date
- ❖ Money is 'committed' AND amount is indicated in RFA
- ❖ Review usually organized by Institute
- ❖ Scores not percentiled

Often:

- ❖ More than one Institute involved (i.e. more chances, more money)

Program Announcement (PA)

- ❖ Multiple receipt dates
- ❖ Active for 3 years (unless otherwise stated)
- ❖ Shows Institute has an interest in area
- ❖ Funds are not 'set-aside', but PA is considered when making funding decisions
- ❖ Review usually in CSR study sections
- ❖ Sometimes – more than one Institute

Program Announcement (PAR)

- ❖ the 'R' means additional Referral guidelines –
USUALLY it means the review is in the
Institute study sections

Definitions:

- ❖ Unsolicited applications
- ❖ Solicited applications
- ❖ Most R01s
- ❖ RFAs
- most PAs
- some PAs

PA/PARs can be either unsolicited or solicited --

- ❖ applications in response to a PA or PAR for the usual receipt dates are 'unsolicited';
- ❖ applications in response to a PA or PAR with SPECIFIC receipt dates are 'solicited'

Relevant NIDDK R21 and R03 programs:

- ❖ R03s for K08/K23 awardees (PAR-01-066)
- ❖ R03s for clinical trials in DD or N (PAR-01-056)
- ❖ R03s for minority investigators (PAR-02-032)

- ❖ R21s for pilot studies in DD or N (PA-01-129)
- ❖ R21s for pilot studies in D, E, or M (PA-02-008)

If you do NOTHING else ---

Sign up for the *NIH GUIDE*
ListServe

<http://grants.nih.gov/grants/guide/listserv.htm>

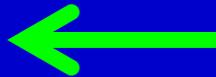


once a week Table of Contents
with 'links' to PAs, Notices, and
RFAs

Topics:

- ❖ Major types of applications

- ❖ RFAs and PAs

- ❖ Common questions 

- ❖ Resources

(1) Should I apply for an R01 on my own or in response to an RFA?

Consider.....

unsolicited R01 vs. RFA

	R01	RFA
Receipt Date:	3x/year	1 time
Review Committee:	CSR -- multiple	Single study section reviews all applications
Funding:	%-ile; program relevance & balance; budget, new investigator; (geography)	'rank'; RFA specifics; \$\$ and # stated in RFA

Advantage to applicant--

R01 (unsolicited)

➤ Application can be tailored to your research interests & you get 3 tries

RFA

➤ Competition depends on # of applications & you **know** the Institute is interested

Disadvantage to applicant--

R01 (unsolicited) ➤ LOTS of competition

↳ RFA ➤ Restricted area of research; must meet additional criteria in RFA; sometimes only one chance

(2) How do I get my application assigned to

- ❖ an Institute
- ❖ a study section
- ❖ a program

Application *cover letter*.

- ❖ Request an Institute –MORE THAN ONE
- ❖ Request a study section
- ❖ Indicate areas of expertise needed to review your application
- ❖ Indicate any individual or group with a *major* conflict of interest

NEVER--

- ❖ Name desired reviewers

(3) Why didn't CSR do what I asked in my cover letter?

Assignment Considerations:

- 1) Institute guidelines
- 2) IRG guidelines and Competency roster of study section
- 3) if amended application, previous assignment history
- 4) conflict of interest
- 5) workload balance in CSR
- 6) *APPLICANT REQUESTS (cover letter)*
- 7) **ARAs (Awaiting Receipt of Application)**

ARA --

- ❖ Submitted by Institute staff to CSR
- ❖ Requests that an application be assigned to the Institute
- ❖ Sometimes requests late receipt (if SRA agrees) of amended application
- ❖ CSR notifies Institute staff when application is assigned

(4) Who else is working on this topic?

Do a search ...

Using ----

Computerized **R**etrieval of **I**nformation
on **S**cientific **P**rojects (**CRISP**)

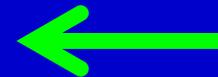
<http://crisp.cit.nih.gov>



Abstracts of funded grants

Topics:

- ❖ Major types of applications
- ❖ RFAs and PAs
- ❖ Common questions
- ❖ Resources



Resources

- ❖ NIH Guide for Grants and Contracts
- ❖ Institute web pages
- ❖ Grants Net (<http://www.grantsnet.org>)
- ❖ Mentors and colleagues
- ❖ NIH staff

Take home messages --

- ❖ Sign up for the GUIDE List Serve
- ❖ Keep your program director's phone number and email address handy
- ❖ Your goal is to be FUNDED – BUT

If you don't **apply**, you can't **BE funded**

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.....Questions??
