



New Scientific and Grants Management Policies

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& Industry Partnerships**



Review NIH Presentation



NIH OFFICE OF EXTRAMURAL RESEARCH



New Scientific and Grants Management Policies



OPERA

Office of Sponsored Projects & Industry Partnerships

LAWRENCE BERKELEY NATIONAL LABORATORY

Why did NIH make changes?



Enhancing Peer Review: Summary of Recommendations





Priorities and Goals Implemented Thus Far

- Phase-out of A2 resubmission applications
- New and early stage investigator policies
- Continuous submission process for study section members expanded to include NIH Advisory Group members
- Enhanced peer review criteria
- New 1-9 scoring system
- Scoring of individual review criteria
- Templates for structured reviewer critiques
- Score order review (Ranking)
- Clustered review of new and ESI investigator R01 applications



Coming Soon: Restructured Applications and Instructions

- Implementation of goal: *Align the structure and content of applications with review criteria, and shorten the length of applications*
- Three sections of application instructions to be revised:
 - Research Plan
 - Biographical Sketch
 - Resources and Facilities
- Shorter Page Limits
- *For additional information see NIH Guide Notice NOT-OD-09-149 issued 09/16/09.
(<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-149.html>)



Source: NOT-OD-09-149

Activity Code	Final Due Date for Current Forms	First Due Date for New Forms
P (Program Project and Center)	9/25/2009	1/25/2010
T (Training)	9/25/2009	1/25/2010
C06/UC6, R18/U18, R24/U24, R25, G07, G08, G11, G13, G20, D71/U2R, M01, S06, S11, S21, S22, SC1, SC2, SC3, U19, U45, U54, U56	9/25/2009	1/25/2010
R15	10/25/2009	2/25/2010
R01, U01	11/5/2009	2/5/2010
K (Career Development)	11/12/2009	2/12/2010
R03, R21, R33, R21/R33, R34, R36	11/16/2009	2/16/2010
R41, R42, R43, R44	12/5/2009	4/5/2010
F (Individual NRSA Fellowship)	12/8/2009	4/8/2010
R13/U13	12/12/2009	4/12/2010
F31 Diversity Fellowship	12/13/2009	4/13/2010
AIDS and AIDS-Related Applications (supersedes ALL dates shown above)	1/7/2010	5/7/2010



Source: NOT-OD-10-002

- Clarifies when to use the new application packages
 - Due **before** January 25, 2010 – current application packages and instructions
 - Due **on or after** January 25, 2010 – new application packages and instructions
- Exception: Applicants eligible for continuous submission have until Feb 7, 2010 to submit R01, R21, and R34 AIDS application that would have been due on January 7, 2010 – use current application packages and instructions



Research Plan Changes

- New **Research Strategy** section will replace 3 sections of the current Plan (Background and Significance, Preliminary Studies/Progress Report, and Research Design and Methods).
- **Research Strategy** will have 3 subsections:
 - **Significance**
 - **Innovation**
 - **Approach**
 - Preliminary studies for new applications
 - Progress report for renewal/revision applications



Biographical Sketch Changes

- *Personal Statement:* Tell us why your experience and qualifications make you particularly well-suited for your role in the project
- *Publications:* Include no more than 15, and make selections based on recency, importance to the field, and/or relevance to the application
- *Page limit remains at 4*



Facilities and Resource Changes

- Provide a description of how the scientific environment will contribute to the probability of success of the project
- For ESIs describe the institutional investment in the success of the investigator
- In Select Agent Section of Research Plan describe the biocontainment resources available at all performance sites



Shorter Page Limits

Introduction Except Intro to Resubmission for Ts and K12	1 page
Specific Aims	1 page
Research Strategy R03, R13/U13, R21, R36, R41, R43, Fs, SC2, SC3	6 pages
Research Strategy R01, single project U01, R10, R15, R18, U18, R21/R33, R24, R33, R34, U34, R42, R44, DP3, G08, G11, G13, UH2, UH3, SC1	12 pages
Candidate Information + Research Strategy Career Development Awards (Ks, except K12)	12 pages
Research Training Program Plan Including NRSA (Ts), K12 and R25	25 pages

10

11



Source: NOT-OD-09-149 (another view)

<p>Research Strategy For Activity Codes R03, R13/U13, R21, R38, R41, R43, Fellowships (F), SC2, SC3</p>	6 pages
<p>Research Strategy For Activity Codes R01, single project U01, R10, R15, R18, U18, R21/R33, R24, R33, R34, U34, R42, R44, DP3, G08, G11, G13, UH2, UH3, SC1</p>	12 pages
<p>Research Strategy For each project and core of multi-component applications, such as Program Project/Center (P) applications</p>	Generally 6 or 12 pages**
<p>Research Strategy For all other Activity Codes</p>	Follow FOA instructions
<p>Combined Candidate Information and Research Strategy For Career Development Award (K) Applications</p>	12 pages
<p>Program Plan For Institutional Career Development and Research Training Awards, including K12, Ruth L. Kirschstein Institutional NRSA Applications, D43 (International Training Grants in Epidemiology), D71 (International Training Program Planning Grant) and Education Projects (R25)</p>	25 pages



- **Clarifies application structure and length for research sections:**
 - Individual “K” applications = 12 pages
 - Institutional “K12” applications = 25 pages
 - NRSA Institutional Training “T” applications = 25 pages
 - International Training “D43” and “D71” applications = 25 pages
- **See Notice for details about what is included in the “Research Section”**

All New Submission Documents



Restructured Application Forms/Instructions must be used for due dates on/after January 25, 2010

- New FOAs are being posted without electronic application packages
- By December, new application packages will be posted, along with new Parent Announcements, and updated active FOAs
- You must return to the FOA to download the new forms and instructions for 1/25/10 due dates
- Resubmissions must use new application forms and instructions (and shorter page limits)

Does not apply to LBNL



New Assurance & Reporting for Graduate Training Awards

- Applies only to doctoral degree granting institutions receiving: D43, TU2, T15, T32, T37, T90, U2R, U90, and U54/TL1
- Assurance that institution will disclose to doctoral applicants:
 - % of students admitted who attained a doctoral degree
 - Average time until receipt of doctoral degree
- Report same info to NIH on Table 12A of Institutional Research Training Data Tables



Revised Progress Report

- Use required as of 10/01/2009
- eSNAP changes released 10/09/2009
- Policy changes:
 - All Personnel Report (PD/PIs & all > 1 person month)
 - Assurance for Institutions with Awards for Grad Student Training for Doctoral Degrees
 - Describe any change to innovative potential
 - Biosketch (peer review initiative change)
 - Question regarding hESC change

More at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-139.html> and
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-150.html>



All Personnel Report

Program Director/Principal Investigator (Last, First, Middle): [REDACTED]

ALL PERSONNEL REPORT	GRANT NUMBER [REDACTED]
Place this form at the end of the signed original copy of the application. Do not duplicate.	

Always list the PD/PI(s). In addition, list all other personnel who participated in the project during the current budget period for at least one person month or more, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort). Use Cal (calendar), Acad, or Summer to enter months devoted to project.

Commons ID	Name	Degree(s)	SSN (last 4 digits)	Role on Project (e.g. PD/PI, Res. Assoc.)	DoB (MM /YY)	Cal	Acad	Summer
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]



eRA Commons ID Required for Postdocs on Progress Reports

- All Personnel Report implemented as part of Progress Report (effective 10/01/2009)
- Report those in a postdoctoral role for one person month or more
- Provide Commons ID for postdocs

Note for Commons Account Administrators: *help your postdocs establish eRA Commons accounts using the new Commons Postdoctoral role*



Postdocs & Early Stage Investigators Maintain updated profile in eRA Commons

- **New Requirement for eRA Commons User IDs for Individuals in a Postdoctoral Project Role with Measurable Effort on an NIH Annual Progress Report (PHS2590)**
NOT-OD-09-140
- **Implementing the Early Stage Investigator Policy: Updating eRA Commons Profiles to Include Degree and Residency Completion Dates**
NOT-OD-09-021



Modified Application Submission

- **Extension of Modified Application Submission, Referral and Review for Reviewers with Recent Substantial Service**
NOT-OD-09-155
- **Expanded Eligibility:**
 - Appointed regular members of chartered NIH Study Section
 - NIH Boards of Scientific Counselors
 - NIH Advisory Boards or Councils
 - NIH Peer Review Advisory Committee
 - Non-appointed temporary members who have served as peer reviewers six times in 18 months ending April 30-2009**



List of Eligible Reviewers

- List of Eligible Reviewers who have served six times in 18 months will be posted at <http://era.nih.gov>

A list of reviewers eligible for continuous submission will be posted by Oct. 13 [See NIH Guide Notice: [NOT-OD-09-155](#)]. Eligible reviewers will be contacted by email on Oct. 9.