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NIH - Belaying the Basics and Beyond

Introduction to the NIH
Centers, Institutes and
Mechanisms

 National Institutes of Health

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Presenters

 RAM SYMPOSIUM
COLORADO STATE UNIVERSITY


Julie Harvey
Subcontract Administrator
CST


Maureen Lisk
Grant Proposal Coordinator
KOSL



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About NIH

- Part of the U.S. Department of Health & Human Services
- Largest biomedical research agency in the world



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NIH Mission

- 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.


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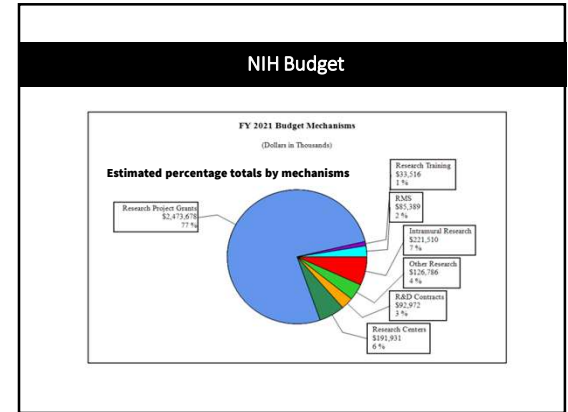
The 27 NIH Institutes and Centers

NCI	NEI	NHLBI
NHGRI	NIA	NIHDA
NIAD	NIAMS	NIBIB
NICHD	NIDCD	NIDCR
NIDDK	NIDA	NIHHS
NIGMS	NIMH	NIMHD
NINDS	NINR	NIH
CC	CIT	CSR
FIC	NCATS	NCCIH
OD		


Director of NIH
Dr. Lawrence A. Tabak, DDS, PhD



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Award Types

- Grants
- Cooperative Agreements
- Contracts

(Not to be confused with grant types or mechanisms)


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Grant Types

- Research Grants (R)
- Career Development Awards (K)
- Research Training & Fellowships (T & F)
- Program Project/Center (P)
- Cooperative Agreements (U)
- Resource Grants
- Trans-NIH Programs
- Inactive Programs (Archive)


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Getting Started

- Know your limits
- Areas to search in the FOA for budget info
 - Mechanism of support
 - Funds available
 - Cost sharing
 - Funding restrictions


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<h3>Project Narrative</h3>	<h3>Project Summary/Abstract</h3>
<p>Communicates the public health relevance of the project to the public</p>	<p>A succinct and accurate description of the proposed work</p>
<p>No more than 2-3 sentences</p>	<p>30 lines of text or less</p>
<p>Use plain language understandable by a general audience</p>	<p>Should be informative to other persons working in the same or related fields and understandable to a scientifically literate reader</p>
<p>Describe how, in the short or long term, the research would contribute to the fundamental knowledge about the nature and behavior of living systems, and/or the application of that knowledge to enhance health, lengthen life, and reduce illness and disability.</p>	<p>Include the project's broad, long-term objectives and specific aims, and a description of the research design and methods. Do not include: proprietary or confidential information, or descriptions of past accomplishments.</p>

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NIH Detailed & Modular Budgets, including Subawardees




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Allowable Costs

- Direct costs
 - Costs that can be identified specifically with an activity
- F&A costs
 - Costs incurred for a common purpose that cannot readily be assigned to cost objectives
- Total costs



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Direct Cost Base

- MTDC
 - CSU excludes equipment (\$5K or greater), tuition remission, research patient care costs, rental costs, scholarships & fellowships, subrecipient charges after first \$25K, participant support costs
- Rates vary based on if the project is Organized Research, Instructional, or Other
- Direct costs \$500K or greater require NIH prior approval!

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Modular Budgets

- What is a modular budget?
- Purpose
- When to use
- Do I still need a detailed budget?
- Does my subawardee need a detailed budget?

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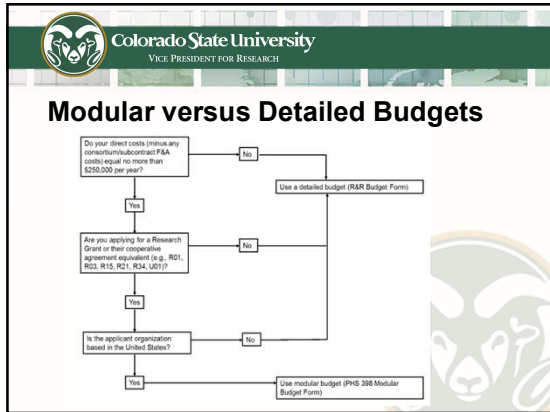


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Modular versus Detailed Budgets

Who Must Use the Modular Grant Application?	<p>Required for new, renewal, and resubmission applications as well as for revisions for the following grants and their cooperative agreement equivalents that request up to a total of \$250,000 of direct costs per year (excluding consortium F&A costs), regardless of whether the application is an investigator-initiated application or is one submitted in response to a PA/RFA:</p> <ul style="list-style-type: none"> • Research Project Grants Program (R01/U01) • Small Grant Program (R03) • Exploratory/Development Research Grant Award (R21/UH2) • Clinical Trial Planning Grant Program (R34/U34) • Academic Research Enhancement Awards (R15/UA5)
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Features of the Modular Budget

- For research grants requesting up to \$250K direct costs/yr
- Request in modules of \$25K
- No future year escalations
- Typically request same number of modules yearly

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Modular Budget Example


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Modular Budget Justifications

- Personnel justification
- Consortium justification
- Additional narrative justification


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Personnel Justification

- List all personnel, including names, role(s), and person months on project
- Do not provide salary information
- Ensure to adhere to salary cap & graduate compensation limits when estimating modules
- Ensure to adhere to cost principles (administrative salaries, etc. when estimating modules)

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Personnel Justification Sample


PERSONNEL
Abigail Able, Ph.D., Principal Investigator, will act as the Primary Investigator on this project, and as such will direct the research in this proposal. This includes the conception and organization of specific experiments, the interpretation of the data, and the publication of the final results. In each project year, Dr. Able will dedicate 1.8 person months (academic year) and 3.0 person-months (summer period). This will allow Dr. Able to reduce her teaching load by one course during the academic year and to dedicate her summer to this project, greatly facilitating the progress of the proposed research.

Benjamin Bentley, Ph.D., Co-I, has worked with the PI for the past four years. Dr. Bentley will provide detailed data computation and analysis for this research. He will devote in each project year 2.25 person-months (academic year) and 0.75 person-months (summer).

Christopher Carpenter, Ph.D., Co-I, will conduct numerous experiments and collect data samples for analysis. With twenty years of experience in data collection, his expertise is invaluable to this project. He will devote 10% effort of each calendar year during the entire project (1.2 person months).

One graduate student assistant will devote in each project year 12 person-months. The graduate student will perform data entry and analysis, as well as coordinate the distribution and collection of survey materials.


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Consortium Justification

- Provide estimate of total consortium/subaward costs (direct plus indirect) for each budget period, rounded to the nearest \$1,000
- List individuals/organizations with whom contractual arrangements have been made, indicate if foreign or domestic
- List all personnel, including names, person months, and role(s) on project
- Omit salary information

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Consortium Justification Sample


CONSORTIUM/CONTRACTUAL COSTS

University of Ohio
Domestic Institution

	Year One	Year Two	Year Three	Year Four	Year Five
Total Costs	\$49,000	\$51,000	\$53,000	\$55,000	\$57,000

Donna Diameter, Ph.D., Principal Investigator, will act as the Primary Investigator on this subcontract. She will perform experiments, analyze data, and publish the final results. In each project year, Dr. Diameter will dedicate 1 person-month (academic year) and 3.0 person-months (summer period). This will allow Dr. Diameter to reduce her teaching load by one course during the academic year and to dedicate her summer to this project.


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Additional Narrative Justification

- Variations in number of modules requested
- Not needed for FOAs (like the R21) that do not evenly spread direct cost limits across budget periods
- Quotes may be included
- Justify F&A exclusions or specifics


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Additional Narrative Justification Sample

ADDITIONAL JUSTIFICATION NARRATIVE


In Year One, an additional budget module is requested to support the purchase of an electronic spectrometer (\$22,000). The project requires this electronic spectrometer in order to perform scientific experiments necessary to the proposed research.




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Detailed Budget Sample



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RESEARCH & RELATED BUDGET - Budget Period 1 OMB Number: 4960-0011
Expiration Date: 10/11/2022

UES: Enter name of Organization:

Budget Type: Project Statement/Contracture Budget Period 1 Start Date: End Date:

A. Senior Key Person

Profile	Months				Base Salary (\$)	Cst. Alloc. Sum	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
	Start	Middle	End	Sum					
Project Role: <input type="text"/>									


Additional Senior Key Persons: Total Funds requested for all Senior Key Persons in the attached file:
Total Senior Key Person:

B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Start	Middle	Sum			
<input type="text"/>	Post Doctoral Associates						
<input type="text"/>	Graduate Students						
<input type="text"/>	Undergraduate Students						
<input type="text"/>	Scientific/Clinical						

Total Number Other Personnel Total Other Personnel
Total Salary, Wages and Fringe Benefits (A+B):

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Section G, Direct Costs (A-W) (F)
Section H, Indirect Costs
Section I, Total Direct and Indirect Costs (G + H)
Section J, Fee
Section K, Total Costs and Fee (I + J)

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Detailed Budgets: Personnel

- Effort must be reported in person months
- NIH will not pay **requested** salary above the annual salary cap
- Fringes should be based on institution's negotiated rates
- Senior/Key Personnel should be limited to those from applicant org who are dedicating effort

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Detailed Budgets: Personnel Pt 2

- Postdocs and Graduate Students may be listed in Key Personnel depending on level of involvement
- Tuition should not be included in graduate student compensation limits- it should go under "Other"
- Other Personnel should be listed by role on project


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Detailed Budgets: Equipment, Travel, and Trainee Costs

- Equipment defined as an item of property that has an acquisition cost of \$5K or greater and an expected service life of more than one year
- Whenever possible travel should be justified by destination, # of people, dates or duration of stay and how the travel is directly related to the proposed activities


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Detailed Budgets: Other Direct Costs

- Materials & Supplies
- Animal costs
- Publication costs
- Consultant costs
- ADP/Computer services


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Detailed Budgets: Other Direct Costs cont.

- Alterations/Renovations
- Patient Care Costs
- Tuition
- Other

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**Detailed Budgets:
Consortiums/Subawards**

- Each consortium must have an independent budget
- Consortium F&A costs are NOT included as part of the direct cost base when determining whether the application can use the modular format or if prior approval is needed to submit an application \$500K+


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Including consortium F&A

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**Detailed Budgets:
Consortiums/Subawards**

- NIH limits F&A to foreign organizations at 8%
- Additional considerations...

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Detailed Budgets: Out Years

- Should use a reasonable approximation
- Request cost escalation consistent with institutional policies
- Large year-to-year variations should be justified

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Prior to Review/Award

- Post Submission Materials
- JIT Information
 - Other support
 - Verification of IRB/IACUC approvals
 - SBIR/STTR funding agreement certifications
 - Budget revisions
 - Other information requested by the awarding IC

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Upcoming Changes

- **FORMS-H** Coming for January 2023 Due Dates

The primary change to the updated application forms is the addition of an "Other Plan(s)" attachment on the PHS 398 Research Plan and PHS 398 Career Development Supplemental forms as part of the implementation of the 2023 *NIH Data Management and Sharing Policy*. Applicants must attach the required Data Management and Sharing Plan in this new field in FORMS-H applications (NOT-OD-22-189).

Application guides for FORMS-H application packages will be posted to the **How to Apply – Application Guide** page no later than October 25, 2022.

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Upcoming Changes

- New NIH Data Management and Sharing (DMS) Policy effective January 25, 2023.

A preview of the Optional Data Management and Sharing Plan format page can be found here:
<https://grants.nih.gov/sites/default/files/DMS-Plan-blank-format-page.pdf>

A final, fillable version of this will be incorporated into the FORMS-H NIH application instructions.


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R01 Attachments Checklist

Attachment	Required	Comments
NIH Form 101 (Budget Narrative)	Yes	
NIH Form 101a (Budget Summary)	Yes	
NIH Form 101b (Budget Breakdown)	Yes	
NIH Form 101c (Budget Justification)	Yes	
NIH Form 101d (Budget Reconciliation)	Yes	
NIH Form 101e (Budget Summary Table)	Yes	
NIH Form 101f (Budget Summary Table - Supplemental)	Yes	
NIH Form 101g (Budget Summary Table - Supplemental)	Yes	
NIH Form 101h (Budget Summary Table - Supplemental)	Yes	
NIH Form 101i (Budget Summary Table - Supplemental)	Yes	
NIH Form 101j (Budget Summary Table - Supplemental)	Yes	
NIH Form 101k (Budget Summary Table - Supplemental)	Yes	
NIH Form 101l (Budget Summary Table - Supplemental)	Yes	
NIH Form 101m (Budget Summary Table - Supplemental)	Yes	
NIH Form 101n (Budget Summary Table - Supplemental)	Yes	
NIH Form 101o (Budget Summary Table - Supplemental)	Yes	
NIH Form 101p (Budget Summary Table - Supplemental)	Yes	
NIH Form 101q (Budget Summary Table - Supplemental)	Yes	
NIH Form 101r (Budget Summary Table - Supplemental)	Yes	
NIH Form 101s (Budget Summary Table - Supplemental)	Yes	
NIH Form 101t (Budget Summary Table - Supplemental)	Yes	
NIH Form 101u (Budget Summary Table - Supplemental)	Yes	
NIH Form 101v (Budget Summary Table - Supplemental)	Yes	
NIH Form 101w (Budget Summary Table - Supplemental)	Yes	
NIH Form 101x (Budget Summary Table - Supplemental)	Yes	
NIH Form 101y (Budget Summary Table - Supplemental)	Yes	
NIH Form 101z (Budget Summary Table - Supplemental)	Yes	

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R03 Attachments Checklist

Attachment	Required	Comments
NIH Form 101 (Budget Narrative)	Yes	
NIH Form 101a (Budget Summary)	Yes	
NIH Form 101b (Budget Breakdown)	Yes	
NIH Form 101c (Budget Justification)	Yes	
NIH Form 101d (Budget Reconciliation)	Yes	
NIH Form 101e (Budget Summary Table)	Yes	
NIH Form 101f (Budget Summary Table - Supplemental)	Yes	
NIH Form 101g (Budget Summary Table - Supplemental)	Yes	
NIH Form 101h (Budget Summary Table - Supplemental)	Yes	
NIH Form 101i (Budget Summary Table - Supplemental)	Yes	
NIH Form 101j (Budget Summary Table - Supplemental)	Yes	
NIH Form 101k (Budget Summary Table - Supplemental)	Yes	
NIH Form 101l (Budget Summary Table - Supplemental)	Yes	
NIH Form 101m (Budget Summary Table - Supplemental)	Yes	
NIH Form 101n (Budget Summary Table - Supplemental)	Yes	
NIH Form 101o (Budget Summary Table - Supplemental)	Yes	
NIH Form 101p (Budget Summary Table - Supplemental)	Yes	
NIH Form 101q (Budget Summary Table - Supplemental)	Yes	
NIH Form 101r (Budget Summary Table - Supplemental)	Yes	
NIH Form 101s (Budget Summary Table - Supplemental)	Yes	
NIH Form 101t (Budget Summary Table - Supplemental)	Yes	
NIH Form 101u (Budget Summary Table - Supplemental)	Yes	
NIH Form 101v (Budget Summary Table - Supplemental)	Yes	
NIH Form 101w (Budget Summary Table - Supplemental)	Yes	
NIH Form 101x (Budget Summary Table - Supplemental)	Yes	
NIH Form 101y (Budget Summary Table - Supplemental)	Yes	
NIH Form 101z (Budget Summary Table - Supplemental)	Yes	

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R21 Attachments Checklist

Attachment	Required	Comments
Cover Page	Yes	
Table of Contents	Yes	
Statement of Work	Yes	
Budget Narrative	Yes	
Program & Research Plan	Yes	
Letters of Support	Yes	
CVs	Yes	
References	Yes	
Other Attachments	Yes	



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Resources


- NIAID's "Create a Budget"
<https://www.niaid.nih.gov/grants-contracts/create-budget>
- NIGMS's "Tips for New NIH Grant Applicants"
<http://www.nigms.nih.gov/Research/Application/Pages/Tips.aspx>
- FIC's "Frequently Asked Questions"
<http://www.fic.nih.gov/Grants/Pages/Frequently-Asked-Questions.aspx>



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Questions?



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Thank you for Attending!

Next Session options: 3:30-4:30 PM MT

- Working with Industry: Information for Preparing Proposals and Talking with Industry Sponsors
- Roadmap to Fellowships
- USDA: Getting into the Weeds and Effective Weed Control

Please remember to do the 1-Minute Feedback survey in your email!



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OCTOBER 13, 2022



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