

Today's Agenda:

THE DEEP DIVE INTO NIH GRANTS

- Plan Ahead, Get Prepared
 - Get Help from the Inside
 - Discover NIH's Footprint in Your Area
 - Organize Your Team
 - Match Your Application to Mechanism and Institute
- Elements of the Grant Application
 - Specific Aims: your key to success
 - Research Strategy
 - Other Considerations
 - Funding Emerging Science, Technology Development
- Just Send It
- Now it's our turn: The Review Process
 - Find the Best Review Committee
 - Understand the Assessment
 - Respond to the Evaluation

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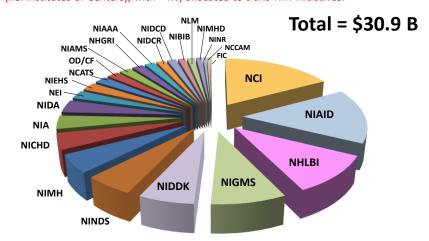


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NIH FY12 Budget

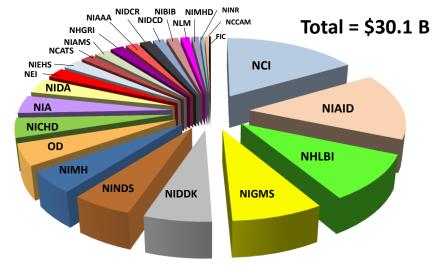
NIH Divides most of its investment according to the interests of the component parts (i.e. Institutes or Centers), with <4%) allocated to trans-NIH initiatives.



About 85% distributed via Extramural grants, contracts, cooperative agreements

NIH FY14 Budget

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About 85% distributed via Extramural grants, contracts, cooperative agreements

Need Help with Your Proposal... Who Ya' Gonna' Call?

- ✓ about the scientific and technical aspects of your application...
 - Find them on the solicitation
 - See also the IC's programmatic descriptions (http://www.nih.gov/icd/index.html).
- √ for questions during the review...
 - Listed on the eRA Commons link to your submitted proposal
 - See also the review group rosters at the CSR web site
- ✓ for help with the business aspects of a proposal...
 - Listed on the eRA Commons link to your submitted proposal
- See also the IC's programmatic descriptions (http://www.nih.gov/icd/index.html).



Program Director

Scientific Review Officer Grants Specialist

NIH Program Officials: your primary contact

Pre-Application

- Assess the "fit" to the IC, Program(s)
- Start the conversation early: develop your ideas together
- Choose the right activity/mechanism
- Brief on Review Issues: Dos/Don'ts

Post Review

- Analyze the Summary Statement: deeper insights from the Review
- Understand the rating and assess the likelihood of funding
- BEWARE! Nothing is certain until you have it in writing



During the Award

- Discuss problems in execution (rebudeting, rescoping, extensions...)
- Find an administrator to address unusual issues
- Brag about important discoveries

Anytime

- Arrange introductions so you can serve on advisory boards workshop panels, etc. to help set the research agenda
- Discover what's New and Coming Soon in Funding Opportunities





Review

Award



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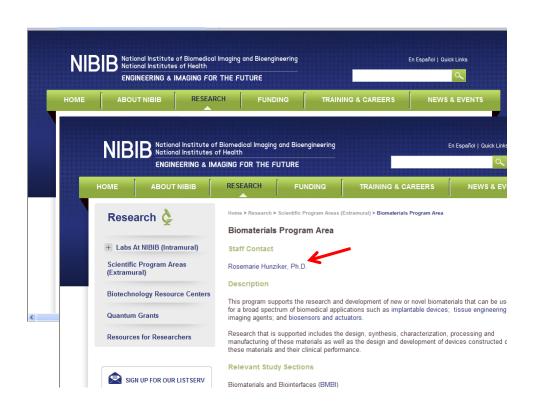
NIH Institute/Center Web Sites



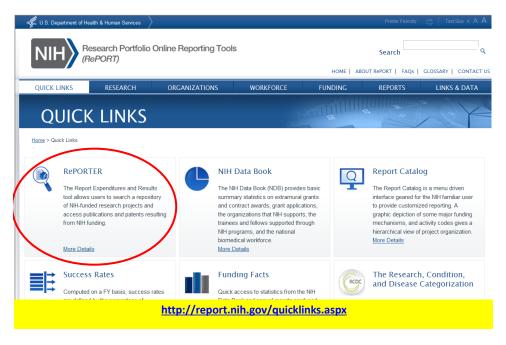
Each NIH Institute/ has a HOME PAGE



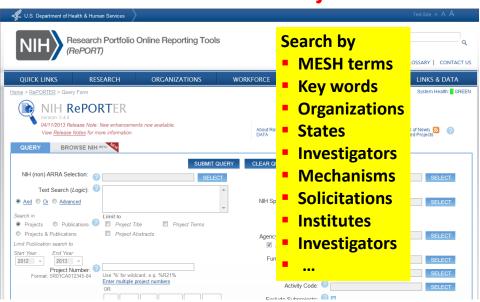
Model: http://www.nibib.nih.gov/



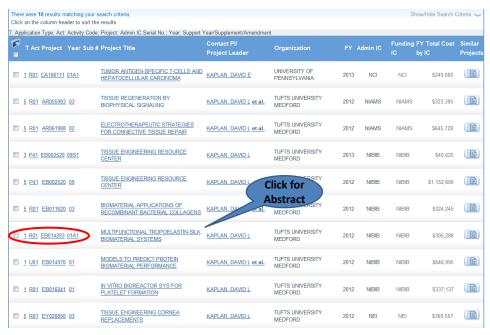
Does NIH Already Support My Interest Area?



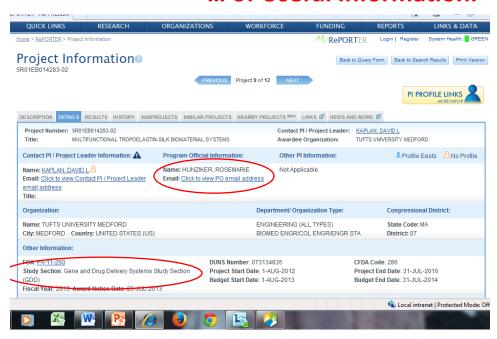
NIH Searchable Databases Contain Abstracts of All Funded Projects



RePORTer Delivers a Treasure Trove...



... of Useful Information.





https://loop.nigms.nih.gov/index.php/2012/12/03/how-to-use-reporter-when-preparing-new-grant-applications/

Grants: A to Z



Get the Team Organized!





Plan Ahead... Seriously!

Planning Meeting Output: Blueprint for Successful Research

Project Title: really a quick summary

Principal Investigator(s) and Key Personnel: defines role, commitment

Overall goal: resolve an important issue in a timely manner

Specific goal: best stated as a hypothesis (a boastful claim, substantiated by data)

Impact: 2-3 sentences, define success, distill innovation and significance

RESEARCH Responsibilities, Costs, Milestones and Timeline

Overseer Cost Q1 Q2 Q3 Q4 Q5 Q6 Q7 Q8

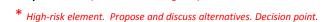
- 1. Validate the ... (THIS AIM MUST WORK—i.e. no/low risk here!)
 - 1a. Compare... confirm...
 - 1b. Optimize the dose/time course...

2. Elucidate the mechanism... (May omit for high risk (e.g. R21) grants.)

2a. 2b.

20.

3. Assess the biocompatibility of ... in a ... (Transition to next grant.)



TWO ROADS DIVERGED IN A WOOD, AND I—I TOOK THE ONE LESS TRAVELED BY, AND THAT HAS MADE ALL THE DIFFERENCE.

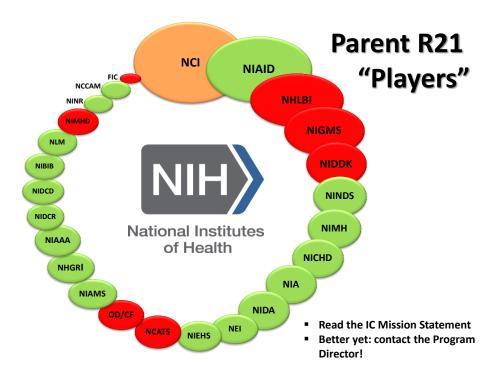
- ROBERT FROST



- **R21** (\$275K spread over 2 yrs, non-renewable)
 - High(er) risk and reward
 - Little/no supporting data
- **R03** (2 yrs, \$50K per year, non-renewal)
 - Little/no supporting data
 - succinct task(s)

R01 (4-5 yrs, \$250 - 400K+, renewable, a "real" grant)

- Convincing preliminary data for each aim
- Longer term questions
- Multiple complexities



Elements of the Grant Application

- Specific Aims: your key to success
- Research Strategy
- Other Considerations
- Funding Emerging Science, Technology Development







NIH Applications

Key Elements

- Cover Letter and Title Pages
- Abstract (1 page synopsis)
- Budget with Justifications
- Biosketches of Investigators
- Resources and Facilities
- Introduction (resubmissions/revisions only!)
- Specific Aims (1 page)
- Research Strategy (6 or 12 pages)
 - Significance
 - Innovation
 - Approach
 - Preliminary Studies/Progress Report
 - Experimental Design and Methods
- Bibliography and References
- Human Subjects
- Other (animals, consortium, multi-PI, select agents, other support, resource sharing)
- Commercialization Plan (Phase II SBIR/STTR only!)

Review Criteria

- Significance
- Investigator(s)
- Innovation
- Approach
- Environment
- Human/Animal Studies
- Commercialization Plan
 Quality (SBIR/STTR Phase II)



SPECIFIC AIMS:

What do you intend to do?

- Single and most important page of application
- Introductory paragraph should
 - Capture the vision with a broad goal justifying the research question
 - Describe your unique and innovative solution
 - Engage the reader with
 - strong, solid, testable hypotheses, or
 - discrete, finite technology development goal
 - Summarize relevance and feasibility of the approach(es)
- Succinctly state each research objective in a topic phrase or sentence
 - Aims independent yet related to overall goal
 - Add sub-aims as needed: experiments support aims, aims test hypotheses
 - Avoid dense text and acronym overload
- End with impact: define success and point to the future

Conversation at the Study Section's Mid-Morning Break

Me: I think I have this figured out. You guys have pretty much decided on an impact score by the time you finish reading the Specific Aims page, right?

Reviewer #1 (hesitantly): Well... yes, that's right.

Me: And the rest is filling in the details, looking for confirmation of your opinion, scanning for fatal flaws...

Reviewer #2: That about sums it up, yes.





Tell your story in five compelling, concise, plain-language paragraphs!

- 1. Outline an important medical problem and your timely, innovative solution. Describe the big picture quantitatively. How can science/engineering help? Does this push the edge of the possible in a new way?
- **2. Define the challenge for this application.** What is your specific target and hypothesis? How will you get there? How do you know?
- 3. State each of your (three) Specific Aims in a single sentence in **bold face.** Then, identify strategies, methods, assays to be used, and data expected.
- **4.** Overview the competencies of the team and the resources. Why is this the right group at the right place and time? Outline your specific skill sets.
- **5. What happens when you succeed? What are the next steps?** How will paradigms shift or treatment change, and what will this project contribute?

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



RESEARCH STRATEGY - Significance: Why is this important?

- Amplify initial paragraph of the Specific Aims.
- Explain the incidence, standard of care, outcome, and costs associated with the important health related issue of the effort? How do you know?
- Define existing knowledge base via evaluating relevant and current literature. Where are the gaps?
- Will my solution matter? Assuming success, quantify and qualify the impact on:
 - Scientific knowledge
 - Technical capacity
 - Clinical practice
- A picture (figure or graph) is worth a thousand words, but be selective to emphasize (not divert from) the point.

Significance is About CONTEXT



Joshua Bell, in performance Tickets: \$50 -\$250 each



Joshua Bell, in the DC Metro Total receipts: \$32

- Reviewers will not hunt for the value in your application
- Stand out in your ideas and execution plans, not in your presentation style
- Do your homework and know your audience: find and target the best Study Section



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RESEARCH STRETEGY – Innovation:

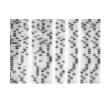
How is this game changing?

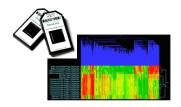
- How will this effort shift current research or clinical practice paradigms?
- Is the proposed work new? Creative? Describe any novel theoretical concepts, approaches or methodologies, instrumentation or interventions(s) to be developed.
- How will the results direct/inform future research?
- How will it be disseminated?
- Will success improve the "State-of-the-art", or establish new research directions?

Novelty Can Be Difficult to Define

- Innovative aspects must be obvious
- Succinct analysis of the literature is key
- Moving from Invention to Innovation is a good strategy: balance feasibility with bold research







Inspiration





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RESEARCH STRATEGY – Approach:

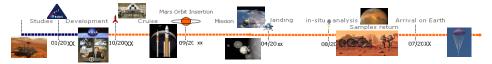
Prior Work: What has already been done?



- Data must lead to the current proposal, supporting the feasibility of the proposed work
- Demonstrate that the investigator has:
 - mastery of (and/or access to) the required techniques
 - ability to manage and work with collaborators/partners
 - sufficient attention to important details (i.e. accurate, carefully assembled figures, tables, graphs)
- Reviewers will NOT look anything up!
 Provide sufficient, relevant details for an informed judgment

RESEARCH STRATEGY - Approach: Methods: How will it be done?

- Do tasks relate to the Specific Aims?
 - Provide an overview and conceptual framework. Connect all the dots.
- Are the experiments logical, grounded, and well-integrated?
 - Why are the proposed methods the best way to go? Be sure this study is not "a technology looking for a problem"
 - Less detail needed for established techniques
 - Alternatives for high risk elements add to the feasibility
 - Biohazards identified here, then fully discussed in a subsequent section
- Are end-points/milestones clearly defined, with appropriate benchmarks? Is there a sensible timeline?
- Is the appropriate statistical analysis included?



Be OUTSTANDING in your field...



- Cite relevant data, especially yours!
- Integrate observations from other fields: be disruptive BUT...
- Connect the dots
- Propose alternatives for the riskier aspects

... not OUT STANDING in your field.



- Avoid jargon and uncommon usage
- Repeat and reinforce concepts, not language
- Follow the format
- Be concise yet clear



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Human and Animal Subjects

Important considerations in overall application scoring (feasibility of the work) and as pre-award administrative issues.

Safeguarding the rights and welfare of individuals as subjects in research based on DHHS regulations and established, internationally recognized ethical principles.

www.hhs.gov/ohrp

 Grantees are responsible for the humane care and treatment of animals under NIH-supported activities.

grants.nih.gov/grants/olaw



Office of Human Research Protections



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Biosketches

- Required for all investigators
- List degrees, positions, honors (with dates)
 - Early Stage or New Investigators must have appropriate training, experience
- Personal statement: why your experience and qualifications are needed for this project
- Established investigators must demonstrate ongoing accomplishments
- Each participant in a Multiple-PI application must show complementary and integrated expertise
- Publications
 - Up to 15 peer-reviewed articles or manuscripts in press (NOT in preparation!)
 - Selections based on recency, importance, relevance to this application
- Other Support: overview and distinguish from work proposed
 - Projects completed over past three years
 - Ongoing work
 - Other pending applications



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Resources and Facilities

Identify and justify

- Facilities
 - Laboratory and offices, clinical sites, animal housing/handling, machine/electronics shops - if applicable
- Multiple performance sites, as applicable
- Equipment (especially if unusual)
- How the environment will contribute to success
 - institutional support, intellectual rapport, access to subject populations
- For Early Stage Investigators: institutional investment in your success
 - classes, training, collegial support, mentorship programs, logistical support, protected time for research with salary support, etc.
- Handling of biohazards
 - Consider safety of research personnel and/or environment



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Budgetary Issues



Getting Funded in an Emerging Field

NIH funds high risk/high reward research if there is

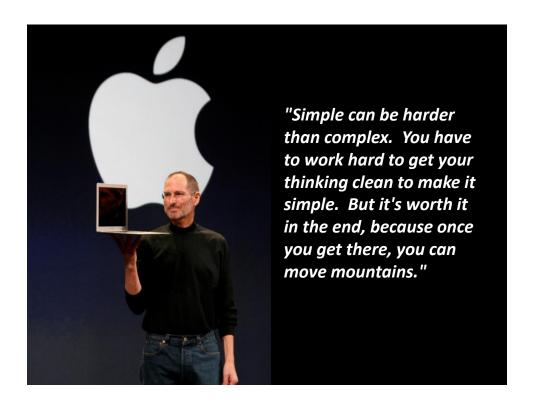
- Potential for high impact
- Novel approach, not necessarily a new idea (a fundamental publication builds credibility)
- Deep expertise in the general area on the team (confidence in capability is key)
- A compelling research plan—anticipate obstacles and propose alternatives
- BONUS POINTS: reviewer familiarity with the basics

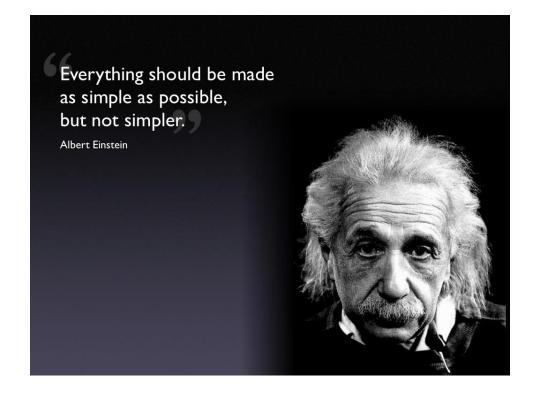




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Know the difference between regulations and guidelines, and follow the instructions EXACTLY!

Do I Contact NIH Before Applying?

Mandatory:

- Application with budget <u>></u>\$500,000 direct costs for any single year
- R13 Conference Grants

Optional:

· When RFA's request a Letter of Intent

Recommended:

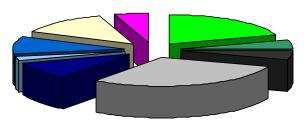
When you think about applying for any grant



The second of th

NIH Grant Application?

Read your completed draft with a reviewers eye!



Realistically revise.

- "Significance"
- Actual Significance
- Axe Grinding
- Quality Science
- "Translation"
- Actual Translation
- Bragging
- Handwaving
- Begging for Spare Change



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The Application is Complete...You're Done!



Well, actually, now you are ready to start the submission process.

- Grants.gov is the portal for NIH applications
- eRA Commons is the doorway to the NIH system



Just Send it





Submit Through grants.gov...

Key Take-Aways:

- Only the <u>Authorized Organizational Representative</u> (AOR) has the authority to submit applications.
- You are responsible for verifying that the application is viewable in the eRA Commons. If you cannot view the application in the Commons, we can't review it.
- You must correct all errors before the eRA system will assemble an application image.
- If you experience a <u>system issue</u> that you believe threatens your ability to submit on time, carefully follow these <u>quidelines</u> to document your problems and continue working to resolve your issues.

Now It's Our Turn: The Review Process

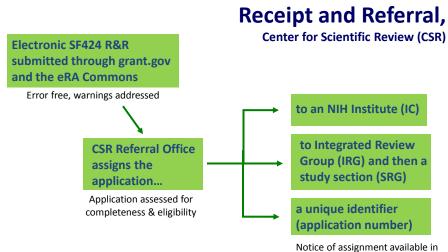
- -Find the Best Review Committee
- -Understand the Assessment
- -Responding to the Evaluation



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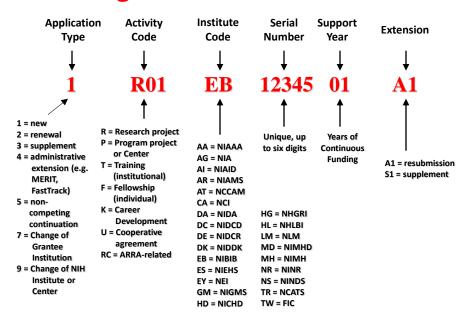
Once You've Successfully Submitted...

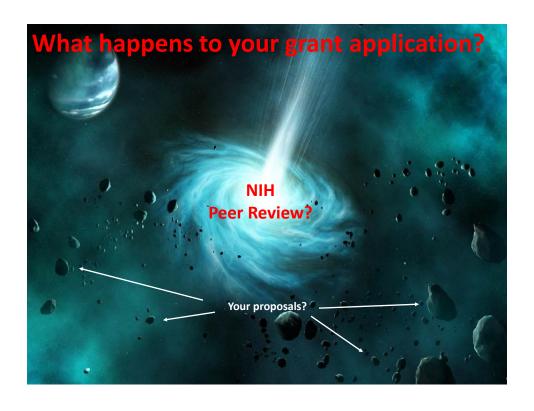


Check your eRA Commons account for updates!

eRA Commons in 4 weeks.

Decoding Your NIH Grant Number



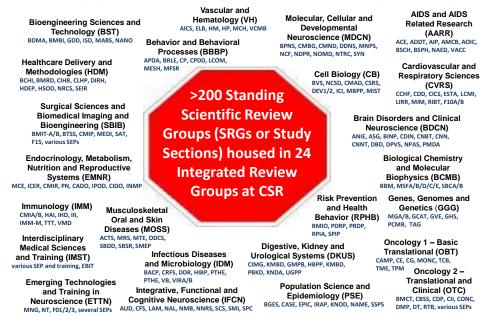




Peer Review and You

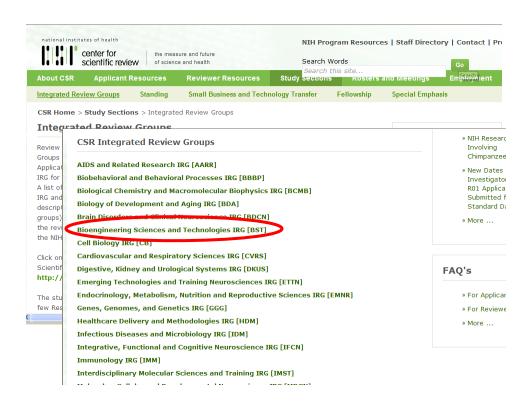


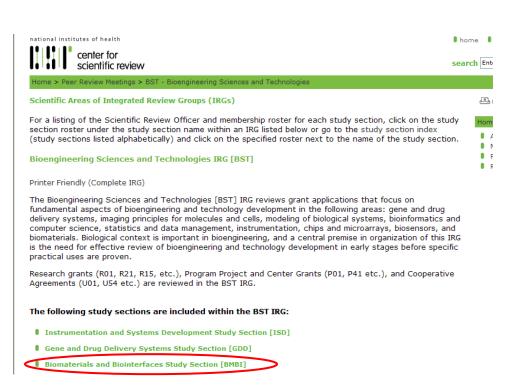
Your application may be reviewed by one of:

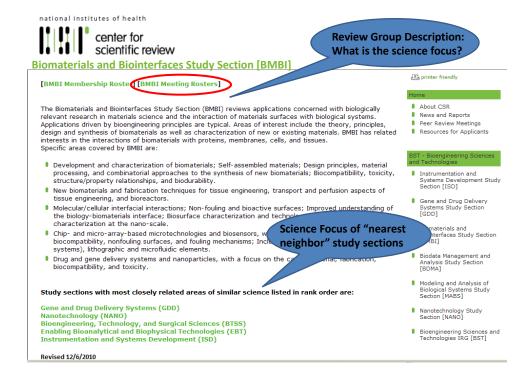


How to Identify the Best Study Section









Cover Letters Help Target Your Review

Applicants can suggest

- Review Group assignment
- Expertise necessary for a full and fair review
- Primary (and secondary) Institute or Center (IC) assignment
- Reviewers with potential conflicts
- Do not suggest possible reviewers, they will be disqualified.

Other Important Information

- Reasons for a late submission
- Note eligibility for continuous submission
- Highlight this application as one of a set, if applicable
- Acknowledge NIH approval for acceptance of
 - A budget >\$500K/yr
 - Conference grant



Suggested format and other information at

http://cms.csr.nih.gov/ResourcesforApplicants/CoverLet.htm



NIH Scoring System

Impact	Full Description	cor	e Descriptor	
High	Exceptionally strong with essentially no weaknesses	1	Exceptional	Strengths
	Extremely strong with negligible weaknesses	2	Outstanding	
	Very strong with only some minor weaknesses	3	Excellent	
Medium	Strong but with numerous minor weaknesses	4	Very Good	
	Strong but with at least one moderate weakness	5	Good	
	Some strengths but also some moderate weaknesses	6	Satisfactory	
Low	Some strength but with at least one major weaknesses	7	Fair	
	A few strengths and a few major weaknesses	8	Marginal	
	Very few strengths and numerous major weaknesses	9	Poor	Weaknesses

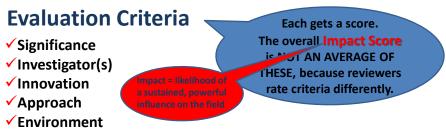
Minor weakness: Easily addressable weakness that does not substantially lessen impact.

Moderate Weakness: Impact lessened.

Major Weakness: Impact severely limited.

overall impact score = panel average x 10. Most scores are then percentiled for comparison across review groups.

What Goes Into the Impact Score?



Other Elements Affecting Score

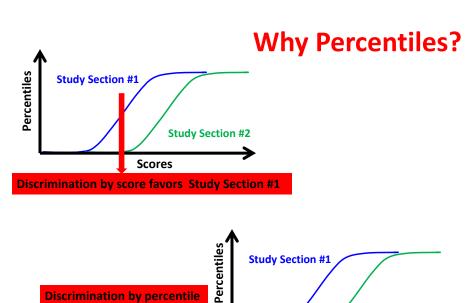
- ✓ Human/Animal Subjects Protections
- ✓ Biohazards

Discrimination by percentile

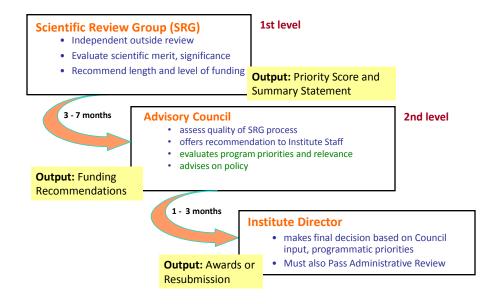
shows no favor

Administrative Concerns (not scorable)

- ✓ Time and Budget
- ✓ Commitment/Technical Overlap
- ✓ Resource Sharing
- ✓ Other?



NIH's Review System for Grants



Who Makes Actual Funding Decisions?



The Institute Director!

Factors Considered:

- Scientific Merit
- Contribution to Institute Mission
- Program Balance
- Availability of Funds





You get one more try.



- It's not personal
- Absorb the critiques
 - make suggested changes
 - provide additional justification for your original approach
- Explain the changes in a one page "Introduction"

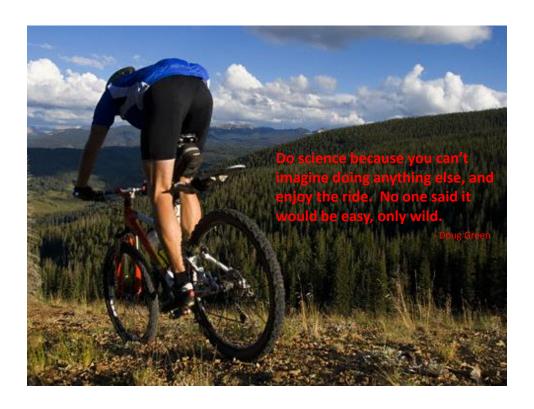






Common Problems

- Low/No significance
- Unimportant problem limits significance
 - Unconvincing case limits impact; feasibility questionable
- Irrelevant, inconsistent, or insufficient reference to published work
- Weak PI/Research team: Insufficient experience with essential methodologies
- Lack of innovation: evolutionary not revolutionary
- Questionable reasoning in experimental approach
 - Errors in design = FATAL FLAW
 - Failure to consider potential pitfalls and alternatives
- Diffuse, superficial, or unfocused research plan
 - Lack of critical experimental detail
 - Unrealistically large amount of work proposed
 - No clear milestones, decision points
- Poor environment: weakly documented institutional support
- Serious/unresolvable human/animal subjects or biohazard concerns
 See also: http://www.principalinvestigators.org/article.php





Are you ready to run with the big dogs?

Rosemarie Hunziker, PhD

Program Director, Tissue Engineering/Regenerative Medicine, Biomaterials and Medical Devices National Institute of Biomedical Imaging and Bioengineering (NIBIB)

National Institutes of Health (NIH)

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