

Yale University



# Important Federal Updates

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# Today's Agenda



- **Learn about important changes in sponsored projects administration**
  - Changes in the NIH Peer Review System
  - Changes in the NIH Application process
  - Reminders of additional modification to policies
  - New requirements for NSF awards

# Enhancing Peer Review: Overview & Timeline



January 2009

- **A2 applications phased out**
- **Identification of Early Stage Investigator (ESI) R01 applications**

May/June  
2009  
Reviews

- **Enhanced review criteria**
- **New scoring system**
- **Criterion scoring**
- **Structure critiques**
- **Clustering of new investigator applications**

January 25,  
2010  
Submissions

- **Restructuring Applications**
- **Shorter Page Limits and New Instructions**

# Goals of Restructured Applications



- **To focus the applicants and reviewers on the same elements**
- **To help ensure a more efficient and transparent review process**
- **Reduce burden**
- **Focus on the essentials of science**
- **Avoid information overload**

# Overview of the Application Changes



- Application forms will be revised in three sections
  - Research Plan
  - Biographical Sketches
  - Resources and Facilities
- Revisions will apply to all competing applications: new, renewal, and resubmissions

Handout: [NOT-OD-09-149](#), ***Restructured Application Forms and Instructions for Submissions for FY2011 Funding***

# Major Changes to the Research Plan



- **Specific aims will request new language relative to the impact of the proposed research**
- **Research Strategy will be created as a new section and will incorporate these 3 current sections**
  - Background and Significance
  - Preliminary Studies/Progress Report
  - Research Design and Methods

# New Research Plan Components



- **Introduction – 1 pg (except R25, K12, Ts and Ds)**
- **Specific Aims – 1 pg**
- **Research Strategy – 6 pp to 12 pp (check FOA)**
  - A. Significance
  - B. Innovation
  - C. Approach
- **Human Subjects Sections**
  - Protections, Women/Minorities, Enrollment, Children
- **Other research plan sections**
  - Animals, Select Agents, Multi PI/PD, Consortia
  - Resource Sharing Plan
- **Appendix**

# Changes to Biographical Sketch



- **The Biosketch of each investigator must be specific to a given application – see Biosketch form and sample**
- **Personal Statement has been added**
  - “Briefly describe why your experience and qualification make you particularly well-suited for your role in the project
- **Publication requirements have been revised**
  - Limits list of publications/manuscripts to no more than 15
  - Applicant is encouraged to make selections based on recency, importance to the field, and or relevance to the application

# Changes to Resources and Facilities



- Instructions added to resources:
  - “Provide a description of how the scientific environment will contribute to the probability of success of the project”
  - “For Early Stage Investigators (ESIs), describe the institutional investment in the success of the investigator”
  - [NOT-OD-09-149](#), ***Restructured Application Forms and Instructions for Submissions for FY2011 Funding***

# Application Alignment with Review Criteria: Major Examples



Criteria	Application
Significance	Research Strategy a. Significance
Investigator(s)	Biosketch
Innovation	Research Strategy b. Innovation
Approach	Research Strategy c. Approach
Environment	Resources

# Shorter Page Limits



- Introduction will normally be 1 page
  - Exceptions include introduction to resubmission for training grants (Ts), K12s and R25s (3 pp)
- Specific Aims will normally be 1 page
- Research Strategy will be limited to 6 pages or 12 pages for most NIH grant types
- Candidate Info & Strategy will normally be 12 pages for K awards (except K12s)
- Research Training Program Plan will normally be 25 pages including Training grants, K12, and R25s
- **Please check instructions related to specific FOA**

# Steps to Success



- **Know what is changing**
- **Begin thinking about your Research Strategy now**
- **Make sure that you download the correct application package and instructions when they become available (Dec 09)**
  - Applications submitted using incorrect forms will be delayed and may not be reviewed

# Steps to Success



- **Use new forms for applications due on or after January 25, 2010**
  - Applicants **MUST** return to the reissued parent Announcements or updated Funding Opportunity Announcements (FOAs) & download new forms and instructions
  - Choose the correct Electronic or Paper Forms
    - ✦ **SF424 (R&R) ADOBE\_FORMS\_B**
    - ✦ **PHS 398 Revision date “June 2009”**
- **Read the instructions carefully**

# For Additional Information on Changes to the NIH Peer Review System



- Read more about upcoming changes
- Policy announcements
  - [NOT-OD-09-149](#), ***Restructured Application Forms and Instructions for Submissions for FY2011 Funding***
  - [NOT-OD-10-002](#), ***Clarification on Timing and Page Limits for Restructured Application Forms and Instructions that are required for Due Dates on or after January 25, 2010***
- Details of Application Changes
- Training & Communications Resources
- <http://enhancing-peer-review.nih.gov>

# Reminders about Additional NIH Changes



- **Changes to NRSA and K Awards**
  - Institutional Training (Ts) and Institution Career Development Programs (K12) will transition to electronic submission through Grants.gov using the SF424 (R&R) forms for due dates on or after 1/25/2010
  - Supplemental instructions for K12 applications will be included in the individual FOAs

# Reminders About NIH Additional Changes



- **Individual Fellowship Progress Reports for continuation of support must now identify any changes in the use of human embryonic stem cells**
- **Fellowship Supplemental Form Page 2 includes this new requirement and can be utilized but will not be required until 1/1/10**

# Reminders About Additional NIH Changes



- **Clinical Trials.Gov**
  - Trials initiated after 9/27/07 must be registered no later than 21 days after the first patient is enrolled or by 12/26/07 whichever is later

# For Faculty Providing Peer Review Service



- **Revises the continuous process for submission and review of applications – see [NOT-OD-09-155](#)**
  - To individuals who have participated in peer review as regular or temporary members 6 times in 18 months
  - For the inaugural eligibility period ending 4/30/09 individuals so identified will be able to participate in this opportunity from 10/1/09 – 9/30/10
  - The eligibility list will be revised annually, for an eligibility period from October 1 of one year through September 30 of the following year

# NSF Training Certification



- Effective January 4, 2010, all institutions submitting proposals to the NSF must certify that they have a training plan in place in the responsible conduct of research for undergraduate and graduate students and postdoctoral scholars who will be supported by NSF.
- This certification must be in place at the time of proposal submission. Training plans need not be submitted with the proposal, however, they must be provided for review upon request
- The Provosts Office is working with departmental faculty to assure that Yale can meet the certification requirements
- Further announcements regarding availability of specific training opportunities will be announced in early January.

# NSF Grants.gov Application Guide



- **Effective December 1, 2009**
- **Significant changes include:**
  - **Next Steps – Post Submission to Grants.gov**
    - ✦ **Reflects availability of Research.gov to track status of grant applications to NSF**
  - **NSF Cover Page**
    - ✦ **Includes the Grants for Rapid Response Research (RAPID) and EARly-concept Grants for Exploratory Research (EAGER) mechanisms**
  - **Application Checklist**
    - ✦ **No longer required to be submitted with each application**
    - ✦ **Converted to a checklist for administrative review, prior to submission**