

# Changes to NIH Application Forms and Instructions

December 14, 2009



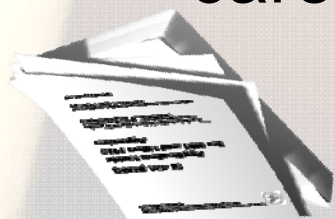
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# Major Changes to Applications

Major changes for due dates on or after  
January 25, 2010



- Restructured application forms
  - Adobe Forms Version B for electronic submission
- New instructions including *shorter page limits*
- Electronic submission of institutional training and career development applications



For ALL competing applications:  
New, Renewal, Resubmission, and Revision

# So which forms do I use?

## PHS 398 - Paper

Due dates *prior to*  
January 25, 2010

Due dates *on or after*  
January 25, 2010

Form Approved Through 11/30/2010

Form Approved Through 6/30/2012

PHS 398 (Rev. 11/07)

PHS 398 (Rev. 6/09)

The image shows a PHS 398 Grant Application form with several red arrows pointing to specific sections. The arrows originate from the text boxes on the left and right. One arrow points to the top header section, another to the 'APPLICANT ORGANIZATION' section, and a third to the bottom footer section. The form itself is a complex grid with various fields for applicant information, project details, and organizational data.

# So which forms do I use?

## SF 424 Electronic (via S22 Grants)

Due dates *prior to*  
January 25, 2010

Due dates *on or after*  
January 25, 2010

ADOBE-FORMS-A

ADOBE-FORMS-B

### Electronic Submission

#### Opportunity Details

<b>Opportunity</b>	NIMH Research Education Grants (R25)
<b>Opportunity Number</b>	PAR-08-079
<b>Competition ID</b>	<input type="text"/>
<b>CFDA #</b>	93.242
<b>CFDA Description</b>	Mental Health Research Grants
<b>Offering Agency</b>	National Institutes of Health
<b>Agency Contact</b>	Grants Info TTY 301-451-0088 E-mail: GrantsInfo@nih.gov Phone: 301-435-0714
<b>Opening Date</b>	2008-12-05
<b>Closing Date</b>	2010-01-07

# Why the Change?

## To Enhance NIH Peer Review

- Align the structure and content of the forms with review criteria
  - To focus the applicants and reviewers on the same elements
  - To help ensure a more efficient and transparent review process
- Identify and encourage new and early stage investigators
  - New Investigator checkbox removed from PHS 398 Face Page (paper) and PHS 398 Cover Page Supplement (electronic)
- Streamline time to award
- Fund the best science, by the best scientists, with the least amount of administrative burden

# Overview of the Changes

- Application forms will be revised in three sections:
  1. Research Plan
  2. Biographical Sketch
  3. Resource and Facilities



# Overview of the Changes

- Elimination of checkbox for New Investigator
  - PHS 398 face page
  - SF 424 PHS 398 Cover Page Supplement
- Elimination of Personal Data page (end of paper application)
- Information captured in Commons Professional Profile

# New Research Plan Components

Introduction

Specific Aims

*Background and Significance*

*Preliminary Studies/Progress Report*

*Research Design and Methods*

**Research  
Strategy**

Inclusion Enrollment Report

Progress Report Publication List

Human Subjects Sections....

protections, women/minorities, enrollment, children

Other Research Plan Sections....

animals, select agents, MPI, consortium, support, resource sharing

Appendix

# New Research Strategy Preparation

- **A single attachment** for the Research Strategy (previously 3 files) increases applicant control over the look and feel of the application.
  - Simpler preparation for the applicant
  - Easier reading for reviewers
  - Electronic validation of page limits for Research Strategy in one file

# New Research Strategy Section

Structure of research narrative changed to match new review criteria

<b>Current Application</b>	<b>New Application</b>
Background and Significance	<b>Research Strategy</b> <ol style="list-style-type: none"> <li>a. Significance</li> <li>b. Innovation</li> <li>c. Approach               <ul style="list-style-type: none"> <li>• Preliminary Studies for New Applications</li> <li>• Progress Report for Renewal/Revision</li> </ul> </li> </ol>
Research Design and Methods	
Preliminary Studies/Progress Report	

# Research Strategy - Significance

- Explain importance of problem or critical barrier to progress in field
- Explain how project will improve scientific knowledge, technical capability, clinical practice in one or more broad fields
- Describe how concepts, methods, etc. that drive this field will be changed if aims achieved

# Research Strategy - Innovation

- Explain how application challenges and seeks to change current research
- Describe novel concepts, approaches, methodologies ...
- Explain refinements, improvements, or new applications of theory...

# Research Strategy - Approach

- Describe overall strategy, methodologies, and analyses proposed in specific aims
- Discuss potential problems
- If in early stages, describe strategy to establish feasibility, management of high risk aspects
- Point out any hazardous procedures, materials
- Experimental detail should be referenced and need not be included in narrative

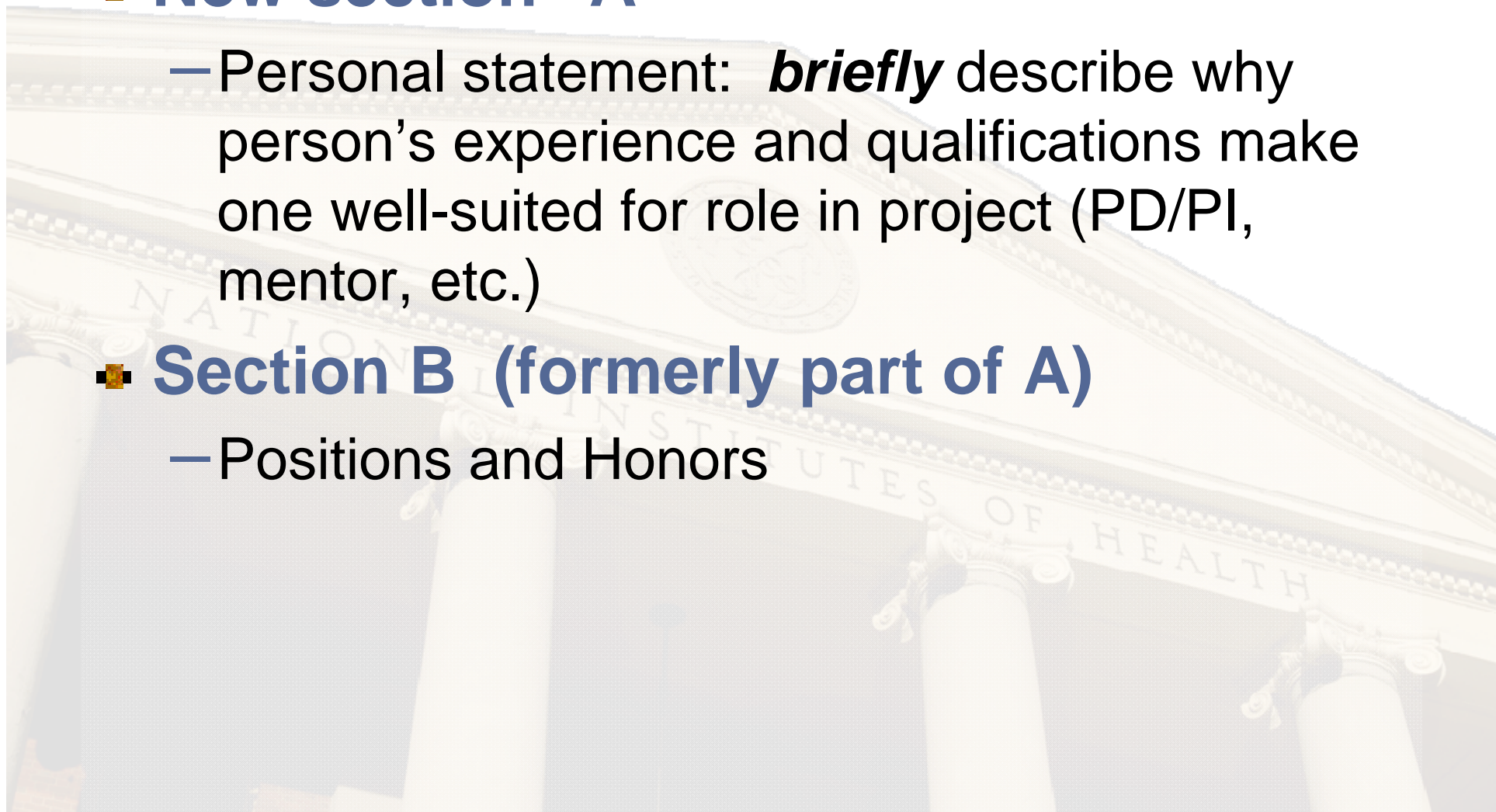
# Revisions to Biographical Sketch

- **New section “A”**

- Personal statement: ***briefly*** describe why person’s experience and qualifications make one well-suited for role in project (PD/PI, mentor, etc.)

- **Section B (formerly part of A)**

- Positions and Honors



# Revisions to Biographical Sketch

## ■ Section C

- Publications (suggest limiting to 15 selected peer-reviewed pubs (formerly B)
  - Choose based on recency, importance to field, and/or relevance to proposed research
  - Remember to comply with NIH Public Access Policy

## ■ Section D

- Research Support (formerly C) – no change to instructions

# Revisions to Address Environment

## ■ **Instructions added to Facilities and Other Resources:**

- 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

## ■ **Instructions added to Research Plan**

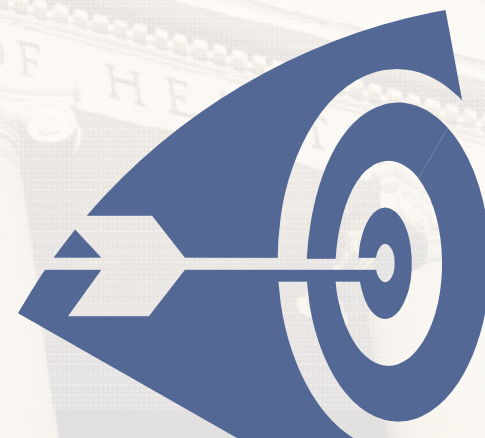
- In Select Agents Research section describe the biocontainment resources available at all performance sites

# Facilities and Other Resources – Additional Information

- **Describe how the scientific environment for this research contributes to probable success**
  - Unique features
  - Subject population
  - Collaborative arrangements
- **Early Stage Investigators: describe institutional investment**
  - Resources for classes, travel, training
  - Collegial support, e.g., career enrichment programs
  - Logistical support: administrative management/oversight
  - Financial support: protected time with salary
- **Describe any special facilities for biohazard work**

# Page Limit Revisions

- **Goals of Shortened Page Limits**
  - Reduce the administrative burden
  - Focus on the essentials of the science
  - Avoid information overload



# Page Limit Revisions

**Note: Follow FOA page limit requirements if different from the application instructions.**

<b>Current Page Limit (Section 2-5 of the Research Plan)</b>	<b>New Page Limit (Research Strategy)</b>
<25	6
25	12
>25	Follow FOA Instructions

# Institutional Training/Career Development Grants

## ***IT'S OFFICIAL!!!***

Beginning with submissions intended for the January 25, 2010 due date, applications for the following Institutional Training and Institutional Career Development Programs must be submitted electronically through Grants.gov (S2S Grants/Cayuse at UCLA) using the SF424 (R&R) forms:

**Institutional National Research Service Awards (NRSA):** T32, T34, T35, T36, T90

**Other institutional training grants:** D43, D71, T01, T02, T03, T14, T15, T37, TU2, U2R

**Institutional career development programs:** K12

# Table of Page Limits (Part I)

Section of Application with Page Limits	Page Limits
<b>Introduction to Revision Application</b> For all Activity Codes	<b>1 page</b>
<b>Introduction to Resubmission Application</b> For all Activity Codes, EXCEPT Training (T, D), K12, and R25	<b>1 page</b>
<b>Introduction to Resubmission Application</b> For institutional Training (T), International Training (D43, D71), Institutional Career Awards (K12), and Research Education Applications (R25)	<b>3 pages</b>
<b>Introduction to Revision or Resubmission Applications</b> For each project and core of multi-component applications	<b>1 page</b>

# Table of Page Limits (Part II)

Section of Application with Page Limits	Page Limits
<p><b>Specific Aims</b>            For all Activity Codes that use an application form with the Specific Aims section</p>	<p><b>1 page</b></p>
<p><b>Research Strategy</b>            For Activity Codes R03, R13/U13, R21, R36, R41, R43, Fellowships (F), SC2, SC3</p>	<p><b>6 pages</b></p>
<p><b>Research Strategy</b>            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>	<p><b>12 pages</b></p>
<p><b>Research Strategy</b>            For each project and core of multi-component applications, such as Program Project/Center (P)</p>	<p><b>Generally 6 or 12 pages**</b></p>

# Table of Page Limits (Part III)

Section of Application with Page Limits	Page Limits
<b>Research Strategy</b> For all other Activity Codes	<b>Follow FOA instructions</b>
<b>Combined: Research Strategy and first four items of Candidate Information</b> For Individual Career Development Award (K) Applications	<b>12 pages</b>
<b>Items 2-5 of Research Training Program Plan</b> For Institutional Career Development and Research Training Applications, including K12, T, D43, and D71	<b>25 pages</b>
<b>Research Education Program Plan</b> For Research Education Grant Applications (R25)	<b>25 pages</b>
<b>Biographical Sketch</b> For all Activity Codes except DP1 and DP2	<b>4 pages</b>
<b>Biographical Sketch</b> For DP1 and DP2	<b>2 pages</b>

# STEPS FOR SUCCESS



# Steps for Success

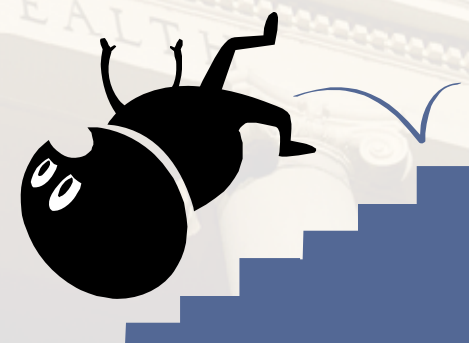
- Read about the upcoming requirement changes **now** so that you can begin writing your Research Strategy
- Information available on the Enhancing Peer Review website:
  - Policy Announcement: NOT-OD-09-149
  - New FAQs
  - Training & Communications Resources

<http://enhancing-peer-review.nih.gov/>

# Steps for Success

- Double-check your application to ensure you are using the updated FOA
- For both electronic and paper, choose the **correct** instructions to download

**Applications submitted using incorrect forms will be delayed and may not be reviewed!**



# Steps for Success

- Read new instructions ***carefully two or three times*** to ensure successful preparation and submission
- For due dates on or after January 25, 2010, submit your electronic and paper applications using the new application forms to OCGA for review ***five working days*** before the deadline.

# Steps for Success

***REMEMBER ...***

***We're all in this together and we all want a positive outcome for submissions.***



# Application Information

- ✦ **NIH Peer Review Information Site:**  
<http://enhancing-peer-review.nih.gov/index.html>
  
- ✦ **NIH Grants Information Help Desk:** For questions about the content of new forms and instructions.
  - E-mail: [grantsinfo@od.nih.gov](mailto:grantsinfo@od.nih.gov) or
  - Phone: 301-435-0714

# Application Support

## ■ S2S Grants:

- [s2sgrantshelp@research.ucla.edu](mailto:s2sgrantshelp@research.ucla.edu)

(for questions related to system functionality)

- [s2sgrantsadmin@research.ucla.edu](mailto:s2sgrantsadmin@research.ucla.edu)

(to request new user access)

- <http://www.research.ucla.edu/ocga/S2SGrantsInfo/index.htm>

UCLA S2S Grants Project Support Site

- Grant Analyst or DRA For post-submission questions or technical issues that threaten NIH's timely receipt of your application.

- [ora-news-subscribe@lists.ucla.edu](mailto:ora-news-subscribe@lists.ucla.edu)

For the latest information



# QUESTIONS

