

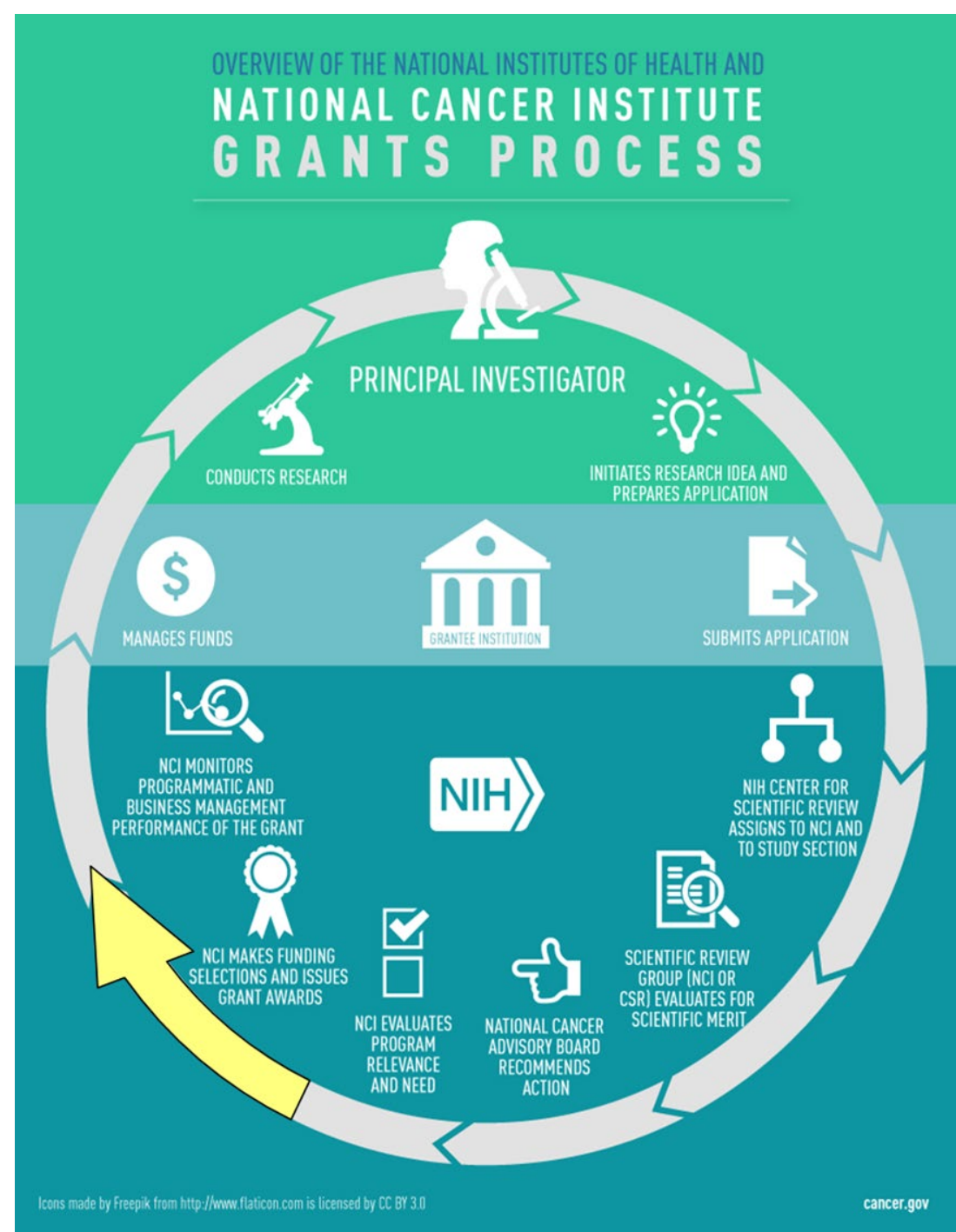
NCI Budget Process?

How is Grant Funding Policy Made?

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*Office of Extramural Finance and Information
Analysis (OEFIA)*

January 11, 2023



This Presentation's Objectives are to Deliver

1. ***An Overview of the NCI Grants Budget Process***
2. *A summary of our Federal Government's Budget Appropriation 3 Phases*
3. *A simple explanation of the NCI Budget Allocation Steps via an Analogy*
4. *An appreciation of the NCI Budget & Policy: Considerations and Difficulties*
5. *A short list of the Principal Ways in which Grants at NCI are Selected for Funding*

OBF does
analysis for the
overall NCI
budget

OEFA provides
the NCI grants
portion of the
analysis



What is OEFIA's Role?

(Office of Extramural Finance and Information Analysis)

- Fiscal Control of the Grants Budget
- Budget Formulation analyses & projections
- Funding Policy & Budget Analysis to inform NCI Leadership decisions
- SPL Selection meetings - organize submissions & manage funds availability
- Monitor Spending throughout the FY to identify and correct potential shortfalls/overages; recover all grant balances for EOY close-out
- NIH-required financial reporting
- Ad Hoc Information Requests - funding analysis, data studies, Congressional inquiries

Budget Appropriation

Submissions

- Traditional Budget
 - Prepared within NIH and DHHS guidelines
 - Submitted to the President by the Secretary, DHHS
- Annual Plan and Budget Proposal (Bypass Budget)
 - Professional Judgment Budget - optimum funding needed to make the most rapid progress against cancer (a “needs” estimate)
 - Required by statute
 - Sent directly to the President & Congress by NCI Director (“bypasses” DHHS, NIH, & Advisory Council)
 - Published for FY2024: <https://www.cancer.gov/research/annual-plan>

Budget Appropriation Phases - FY2023

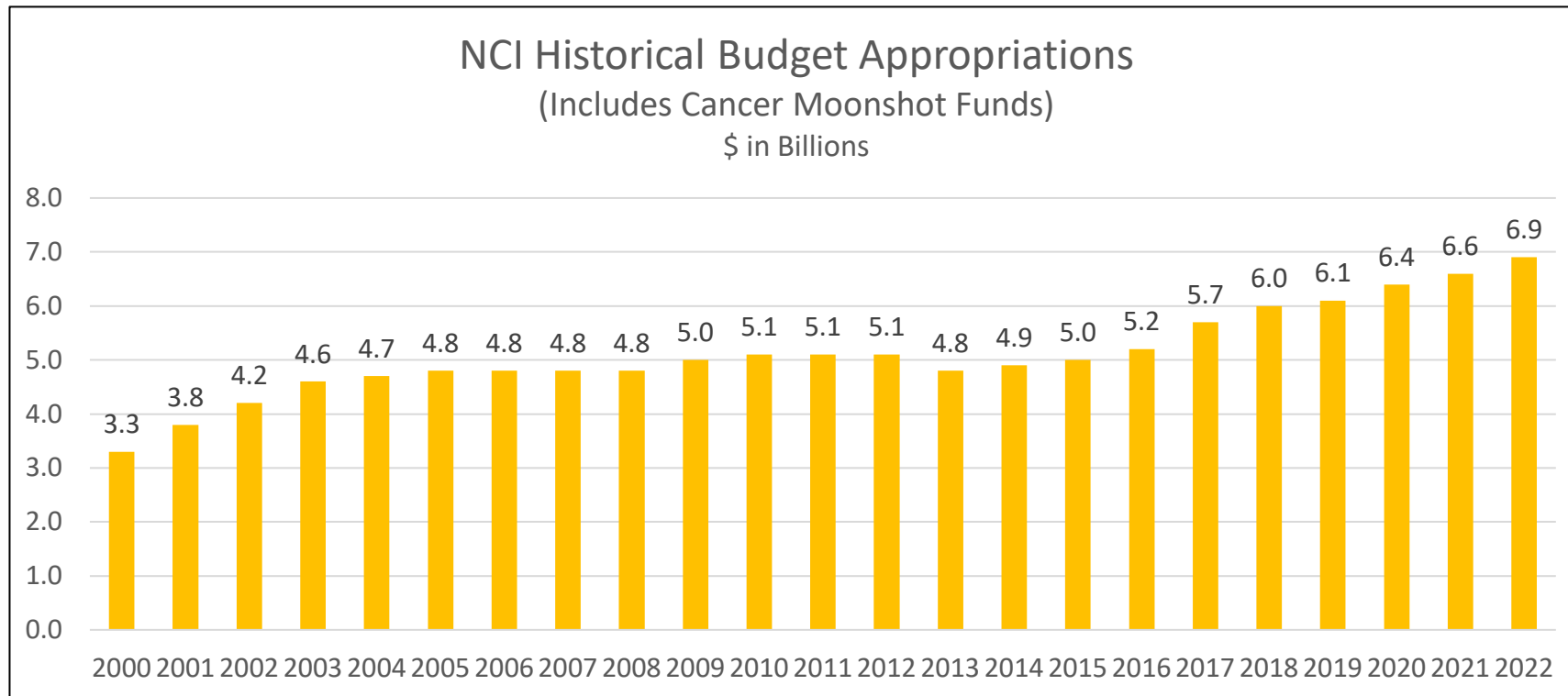


Formulation through Execution = approx. 2 ½ years

NIH Office of Budget - Budget Process Calendar: [https://officeofbudget.od.nih.gov/pdfs/FY22/cy/Budget Process \(Timeline Chart\)-2022.pdf](https://officeofbudget.od.nih.gov/pdfs/FY22/cy/Budget%20Process%20(Timeline%20Chart)-2022.pdf)

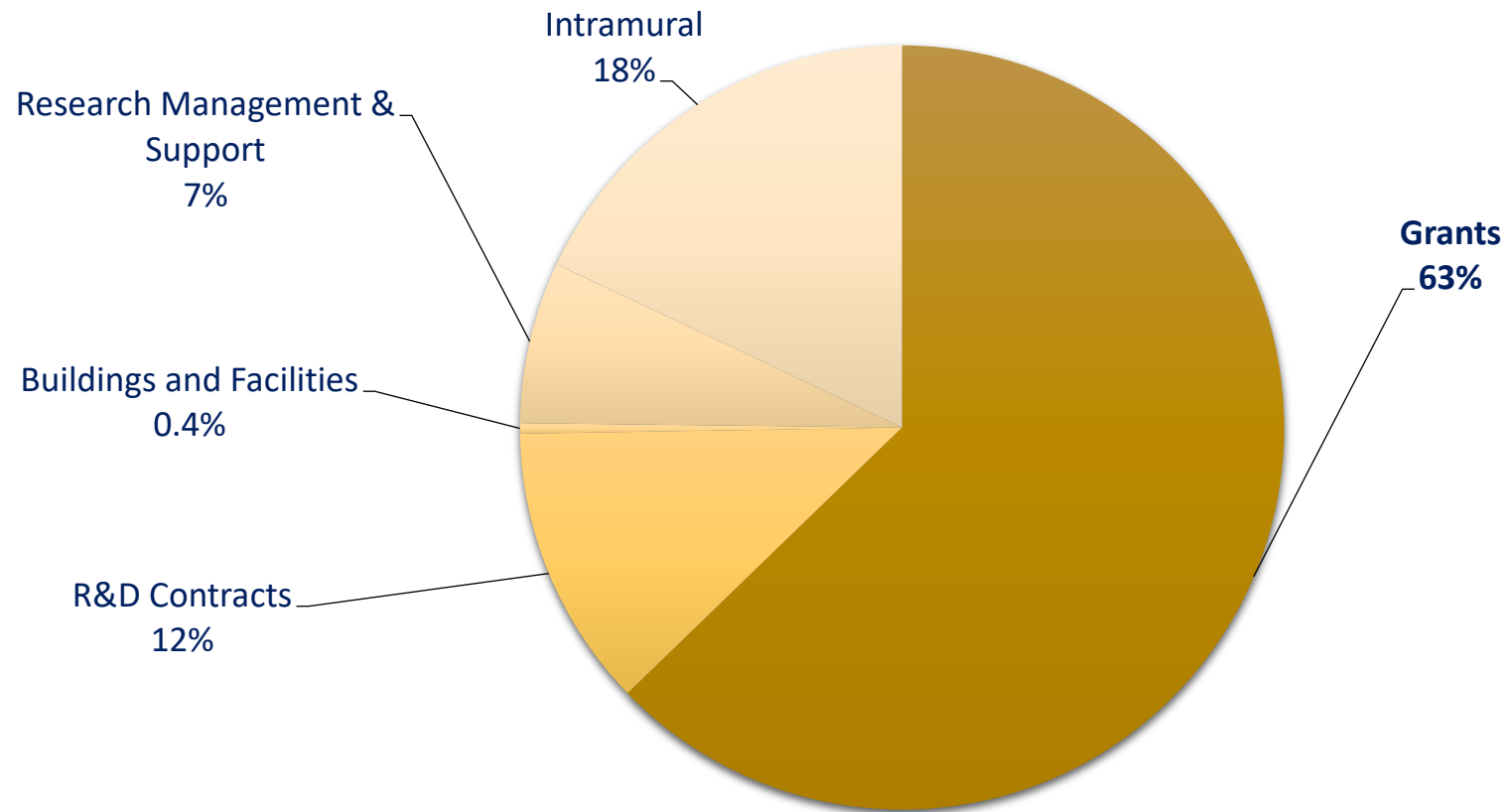
Budget Appropriation

Historical Data



NCI Budget Total Obligations

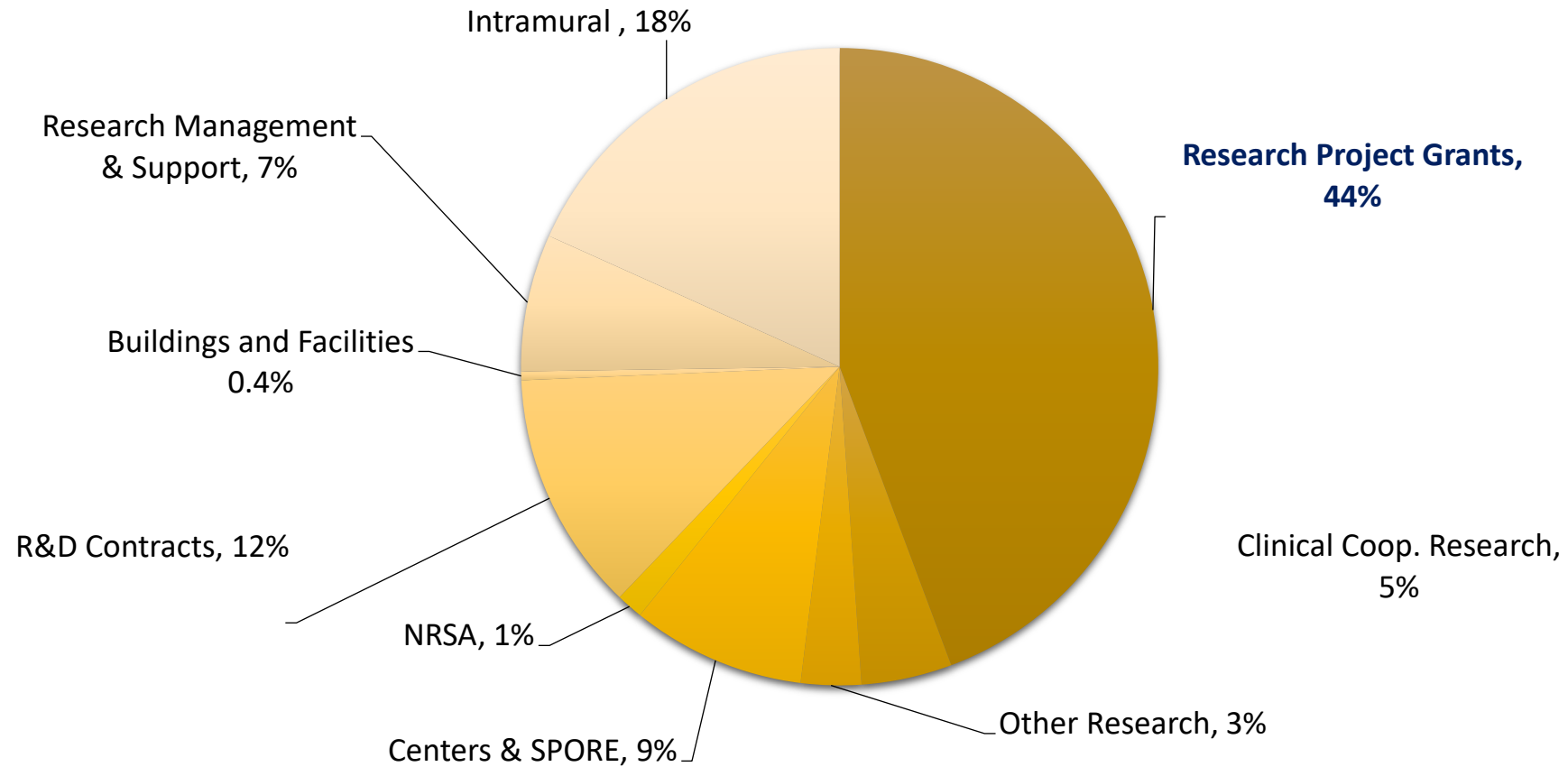
Grants Percentage of Total FY22 (Est.)



FY22 NCI Total Appropriation: Approx. \$6.9 Billion
Includes Moonshot (Cures) and Excludes Serology

NCI Budget Grants Obligations

RPG Percentage of Total FY22 (Est.)



FY22 NCI Total Appropriation: Approx. \$6.9 Billion
Includes Moonshot (Cures) and excludes Serology

Budget Allocation

Common NCI Budget Activity Codes

Research Project Grants

R01	P01	R03	R21	R37	R33	R56
R00	R50	R35	R15	DP1	DP2	DP5
U01	U19	UM1	UH2	UH3	UG3	etc.

Research Centers

Cancer Centers	P30
Specialized Programs of Research Excellence (SPORE)	P50
Other P50/P20	P50/P20
Specialized Centers	U54
Planning Grants	P20

Other Research

Cooperative Clinical Trials (NCTN, NCORP)	U10, UG1
Cancer Education	R25
Careers	K's
Pre-Doc to Post-Doc Transition Award	F99
Conference	R13, U13
International Research Training Grants	D43
Research Resource	R24,U24

Training

National Research Service Award	Fs & Ts
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NIH Budget Mechanisms: http://grants.nih.gov/grants/funding/funding_program.htm

NCI Budget Allocation Steps

Personal Budget Analogy

(FY22 RPG Est. Actuals for Presentation, Not for Distribution)

BUDGET (Salary)	\$2,822M	100%
SMALL BUSINESS SET ASIDE (Taxes)	-\$151M	5%
NON-COMPETING COMMITMENTS (Mortgage)	-\$2,015M	71%
COMPETING AVAILABILITY	\$656	23%
RFA “RESERVE” (Groceries)	-\$75M	3%
REMAINING FOR R01,P01, etc. (Tuition, Retirement)	\$581M	21%

Excludes Moonshot (Cures) and excludes Serology

Note: Non-competing is over 70% of Budget

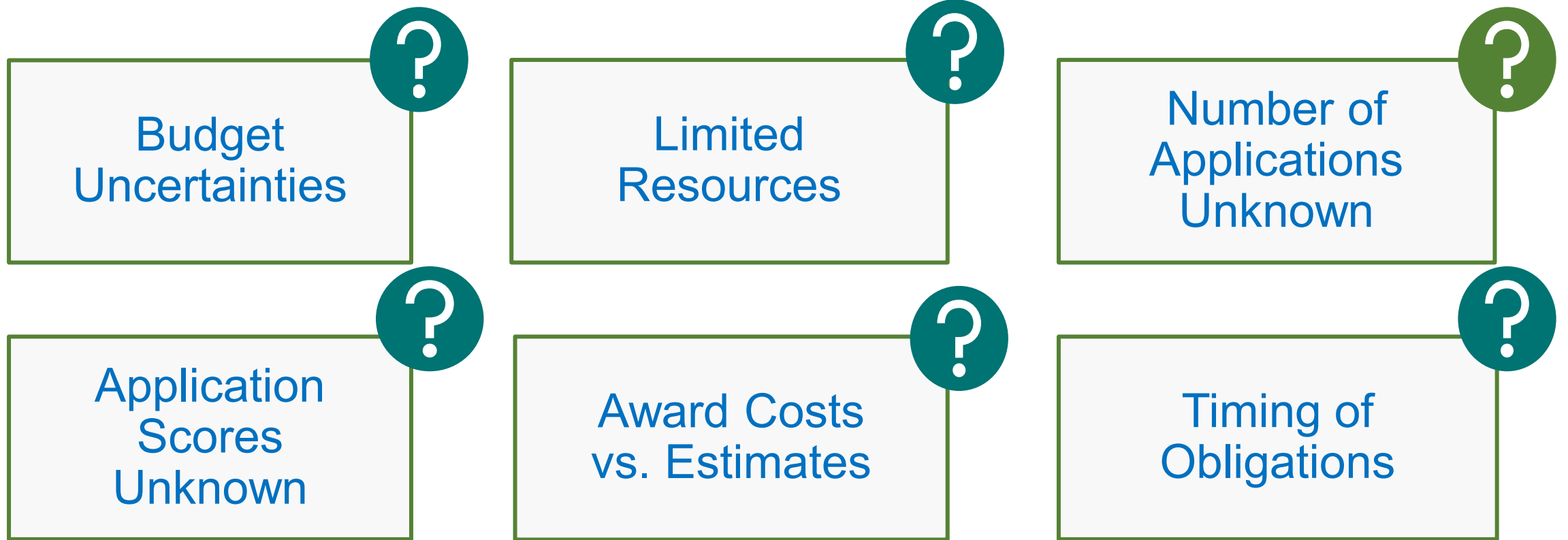
Funding Policy Considerations

Each FY, NCI Leadership establishes...

- Budget Sub-Allocations (ex. P01, U01, DOC Discretionary)
- RPG Paylines
- Policy Reductions: Competing & Non-competing



Funding Policy Considerations



Funding Policy Considerations

Higher Policy Reduction



Lower Average Cost



😊 Fund More Grants

Lower Policy Reduction 😊



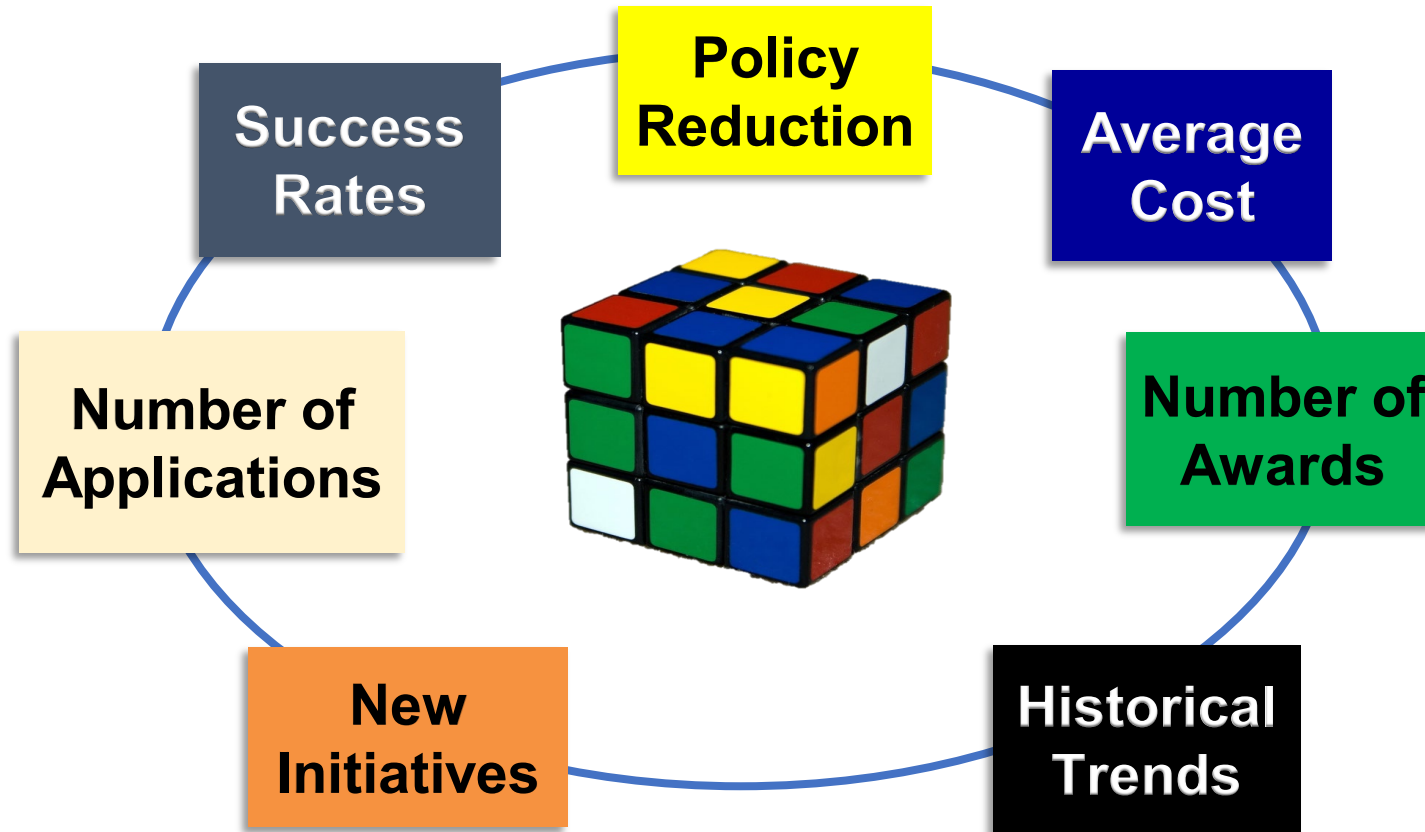
Higher Average Cost



Fund Fewer Grants



NCI Budget & Policy: Balancing the Various Considerations



The Funding Policy Rubik's Cube

Competing Selection Process

Funding selection possibilities: Paylines, DOC, or SPL

- Paylines

- A payline is a percentile or impact score up to which applications will likely be funded with minimal review
- RPGs with paylines - R01, R21, R03, R15

- DOC Allocations

- Applications outside paylines
- Administrative supplements
- RPG & conference grant allocations
- DOC-controlled budgets



Competing Selection Process

Funding selection possibilities: Paylines, SPL or DOC

- Scientific Program Leaders (SPL) selections
 - All RFAs
 - P01, U01, Large R01 (SPL review for each NCAB Round)
 - Other Non-percentiled RPG applications
 - Applications outside the paylines
 - Research Resource (R24/U24) applications may be submitted for review for each NCAB round
- Other SPL Reviews
 - RFA Concept Review (for future RFAs)
 - DOC-Controlled Funding Plans
 - Possible Late/Last List (to expend EOY funds)



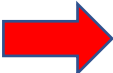
Competing Selection Process

Selection Considerations

- Peer review
- Filling gaps in cancer research portfolio
- Especially novel or promising scientific approach
- Commitment to New/Early-Stage Investigators



Competing Selection Process



Budget Activity/Allocation	Funding Selection Method
Research Project Grants (RPGs)	
RFAs (various budget activities)	SPL
Non-RFAs - (a.k.a Investigator-initiated, PA(R)s, <u>Non</u> -RFAs)	
R01, R21, R03, R15	Payline
P01, U01, Large R01, Other Non-percentiled	SPL
DOC RPG Discretionary Allocation (various budget activities)	DOC
Research Centers	
P30, P20, P50, U54	DOC, SPL may review funding plan
Other Research	
R24, U24, D43	SPL
R13, U13 (DOC Conference Grant Discretionary Allocation)	DOC
U10, UG1 (RFAs)	SPL
R25, K's, F99	DOC/Payline, NCI Leadership may review
Training	
Fs, Ts	DOC/Payline

Funding Approval

View Plan Details for # 376

WARNING: Exception Justification has not yet been provided for this plan. You can submit this plan only after providing the required supporting document(s) in Step 5: "Supporting Docs".

Funding Plan Information

⊖ Hide

Funding Plan Name	FOA	Concept ID	Title	Issue Type
IMAT FY19 Rnd3 R21 Funding Plan	CA18-002	2602	Innovative Molecular and Cellular Analysis Technologies for Basic and Clinical Cancer Research (R21 - Clinical Trial Not Allowed)	Reissue Previous FOA: CA17-010
	CA18-004	2602	Innovative Biospecimen Science Technologies for Basic and Clinical Cancer Research (R21 - Clinical Trial Not Allowed)	Reissue Previous FOA: CA17-012





Fundable Score Range	Applications Received	Applications Proposed for Funding	Applications Skipped	Applications NOT Considered for Funding	SPL Committee Meeting Approval Date
16 – 27	81	6	0	80	06/18/2019
Requesting PD	Requesting PD's Cancer Activity	Funding Approval	Final Scientific LOA	Current Status	Other DOC(s) Contributing Funds
Dickherber, Anthony J	CT	NCI	Scientific Program Leaders Committee	Completed - Full Approvals Received	--



Funding Approval

Applications Proposed for Funding

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Grant Information				Pool RPG Funds
<div>Grant Number</div> <div>1R21CA240580-01  </div> <div>PI Requested Direct Cost</div> <div>\$125,000.00</div> <div>Project Title</div> <div>Development of a high-resolution mapping platform for HPV DNA integration in premalignant lesions</div> <div>FOA</div> <div>CA18-002</div>	<div>PI</div> <div>Montagna, Cristina</div> <div>PI Requested Total Cost</div> <div>\$208,750.00</div> <div>Pri. Scr</div> <div>19</div>	<div>NCAB Date</div> <div>05/2019</div>	<div>⊖</div> <div>Direct</div> <div>\$108,750.00</div> <div>(13% Cut)</div> <div>Total</div> <div>\$181,613.00</div> <div>(13% Cut)</div>	
<div>Grant Number</div> <div>1R21CA240148-01  </div> <div>PI Requested Direct Cost</div> <div>\$200,000.00</div> <div>Project Title</div> <div>Enzymatic Tools for 2D Tissue Localized and Deeper Proteomic Sequencing of Cancer Stromal Proteins</div> <div>FOA</div> <div>CA18-002</div>	<div>PI</div> <div>Angel, Peggy M</div> <div>PI Requested Total Cost</div> <div>\$296,480.00</div> <div>Pri. Scr</div> <div>20</div>	<div>NCAB Date</div> <div>05/2019</div>	<div>⊖</div> <div>Direct</div> <div>\$174,000.00</div> <div>(13% Cut)</div> <div>Total</div> <div>\$257,938.00</div> <div>(13% Cut)</div>	



OEFIA Web Pages

Office of Extramural Finance and Information Analysis

OEFIA web – main page

<https://mynci.cancer.gov/topics/office-extramural-finance-and-information-analysis-oefia>

FY23 Funding Information

<https://mynci.cancer.gov/topics/oefia-current-fiscal-year-funding-information>