

NCI Budget and Policy Issues

Orientation for New Members
Board of Scientific Advisors

By

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Office of Management, OD, NCI
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Orientation Briefing for the Board of Scientific Advisors

- Overall Budget Process
- Extramural (Grants) Budget Process
- How the NCI Budget is allocated
- How the RPG Budget is allocated
- Amazing Grant Facts

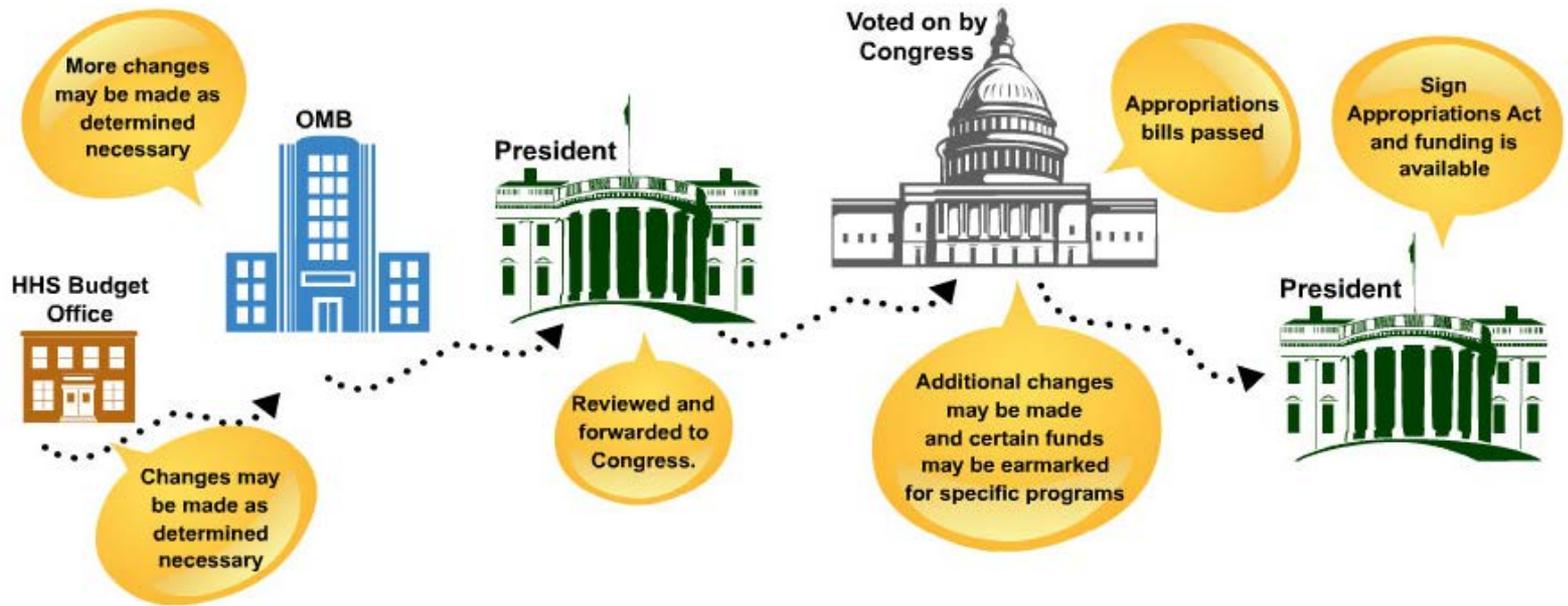
Phases of the Annual Budget

Annual NCI budget process covers 30 months

- **Formulation** – Office of Management and Budget
- **Presentation** – Congress
- **Execution** – NCI Divisions/
Offices



Funding Request Path



Where Our Funding Request Goes

Appropriations Committees

House Subcommittee on Labor, Health and Human Services, Education, and Related Agencies

Republicans (8)

Denny Rehberg, MT - Chairman
Jerry Lewis, CA
Rodney Alexander, LA
Jack Kingston, GA
Kay Granger, TX
Michael K. Simpson, ID
Jeff Flake, AZ
Cynthia M. Lummis, WY

Democrats (5)

Rosa DeLauro, CT - Ranking Member
Nita M. Lowey, NY
Jesse L. Jackson, Jr., IL
Lucille Roybal-Allard, CA
Barbara Lee, CA

Senate Subcommittee on Labor/HHS, Education and Related Agencies

Democrats (10)

Tom Harkin, IA - Chairman
Daniel Inouye, HI
Herb Kohl, WA
Patty Murray, WA
Mary Landrieu, LA
Richard Durbin, IL
Jack Reed, RI
Mark Pryor, AR
Barbara Mikulski, MD
Sherrod Brown, OH

Republicans (8)

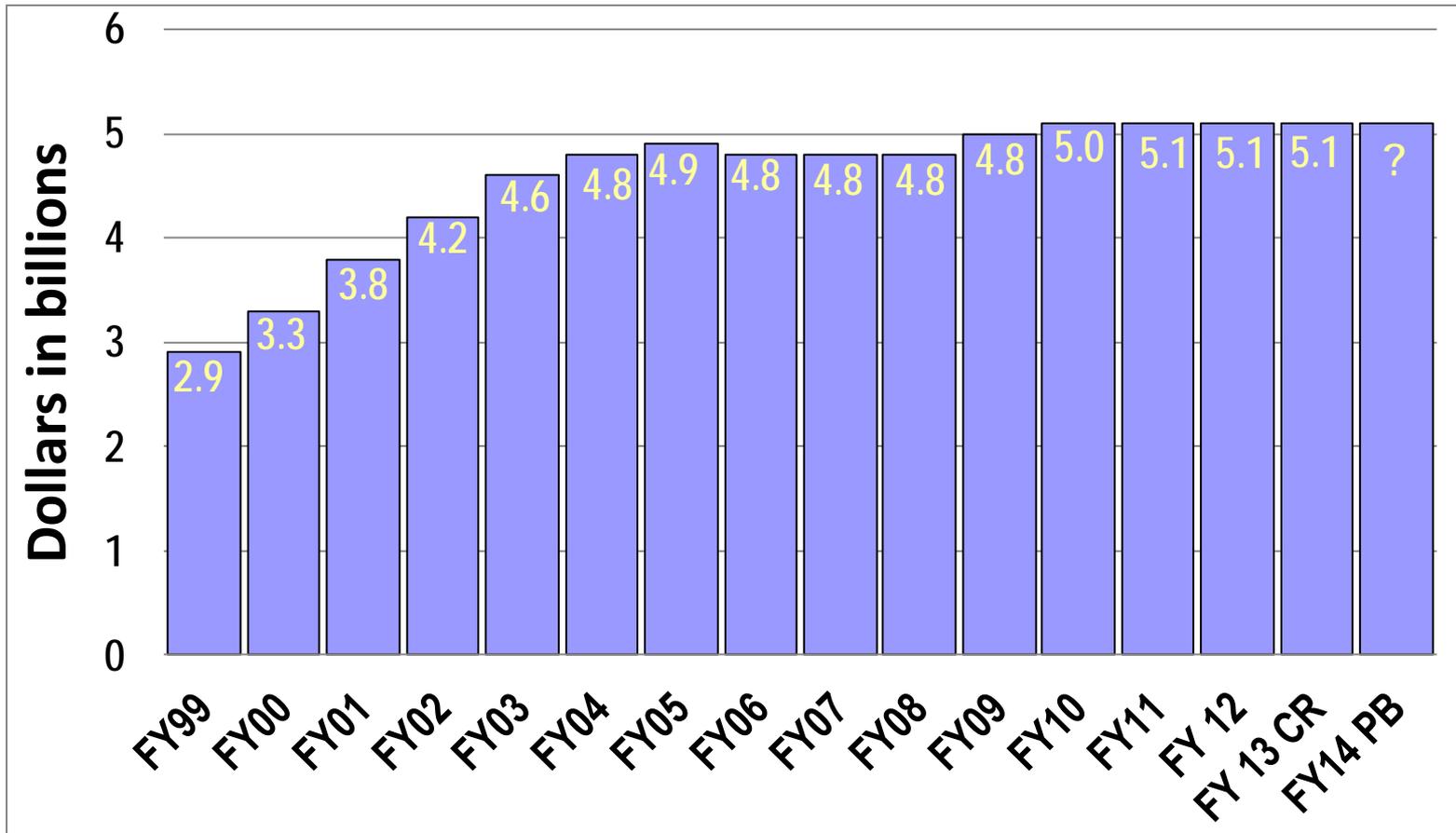
Richard Shelby, AL - Ranking Member
Thad Cochran, MS
Kay Bailey Hutchison, TX
Lamar Alexander, TN
Ron Johnson, WI
Mark Kirk, IL
Lindsey Graham, SC
Jerry Moran, KS

Budget Submissions

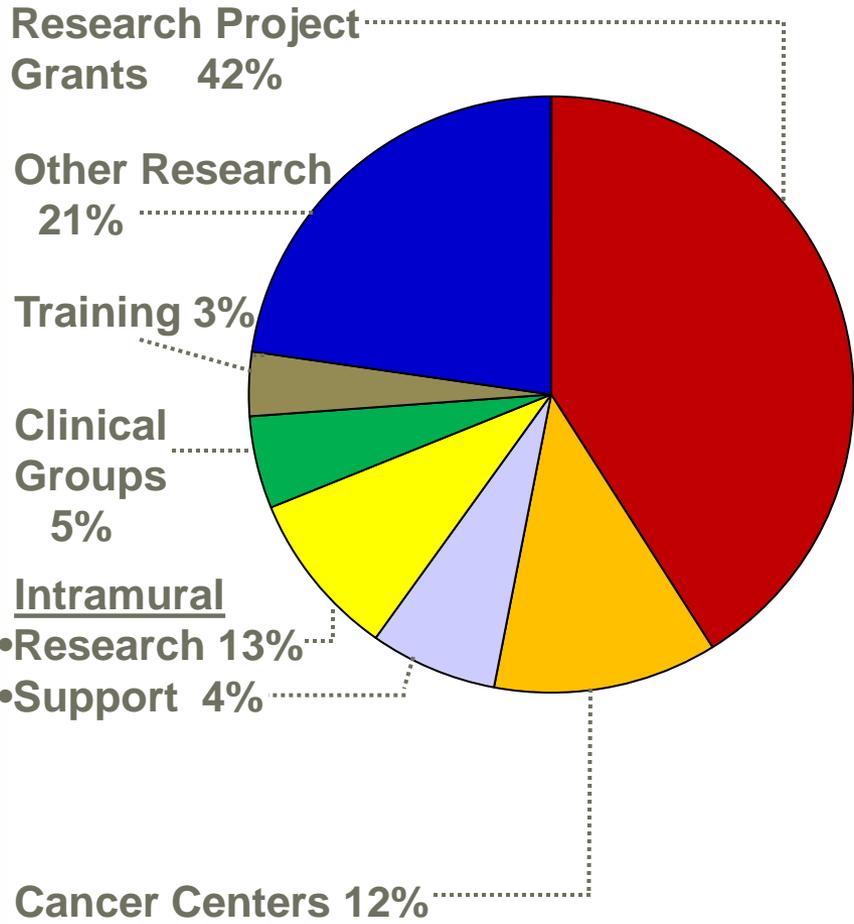
Dual NCI Budgets Travel on Parallel Tracks

- **Traditional Budget** - prepared within NIH and DHHS guidelines for submission to the President by the Secretary, DHHS
- **Professional Judgment or Bypass Budget** - separate budget document sent directly to the President by NCI Director reflecting NCI's priorities

NCI's Congressional Appropriations



How is the NCI Budget Allocated - FY 2012



- Over 76% to Extramural Community
 - 73% Research Grants & contracts awarded across the nation (extramural)
 - 3% Training and Career Development
- 13% NCI employed scientists (intramural)
- 4% Support for NIH & NCI centrally supplied services & assessments
- 7% Administrative Management

*Other includes R&D Contracts, RMS, MBRS, Other Rsch Grants, Resource Related (R/U24), Exploratory Coop Agreements (U56), B&F

Grant Calendar in a Perfect Year

- Congress and President Pass/Sign Annual Budget before October 1
- No money is taken away through Congressional Rescission or Administrative Taps from DHHS or NIH
- Appropriation covers all budget needs
- Operating Budgets are allocated to NCI Programs and Divisions by the NCI Director by Mid-November
- NCI Programs make grant awards starting in December

Grant Calendar in 2012

- Full Year Appropriation signed in February
- Budget Authority was \$8M increase from FY 2011
- Initial budgets were allocated to Programs and Divisions by May
- Programs started making funding decisions in May

NCI's Process for Research Project Grant Allocations

- FY 2012 example
- The general process is the same for any component of the grants budget
- We start with the money appropriated by Congress....

NCI's Process for Research Project Grant Allocations

		<u>% of Total</u>
APPROPRIATION	\$2,151,000,000	100%
SMALL BUSINESS SET ASIDE	- 77,000,000	5%
NON-COMPETING COMMITMENTS	<u>- 1,659,000,000</u>	<u>77%</u>
COMPETING AVAILABILITY	415,000,000	19%
RFA "RESERVE"	<u>- 42,000,000</u>	2%
REMAINING FOR R01,P01,R33,etc.	373,000,000	17%

NCI's Process for Research Project Grant Allocations

- In FY12
 - NCI does not publish paylines, instead establishes conservative fundable ranges within which most applications are funded
 - NCI Scientific Program Leaders (SPL) consider a broad range of applications for funding
 - Peer review is primary consideration for funding
 - Focus on filling gaps in cancer research portfolio
 - Special consideration for an especially novel or promising scientific approach
- Still consider NIH targets & key metrics for budget allocation
 - Percent increase in average cost
 - Number of competing grants
 - Success rates for experienced and established investigators

NCI's Process for Research Project Grant Allocations – Funding Policy Reductions

A Tough Decision...

Higher Policy Reduction



Lower Average Cost



Fund More Grants

Lower Policy Reduction



Higher Average Cost



Fund Fewer Grants

FY12 R01 Policy Reductions
New Grants – 17% reduction
Competing Renewals – Current level

Interesting Grant Facts

- NCI awarded \$3.2 billion to about 6,400 grants and cooperative agreements in FY 2012
 - 64% of NCI budget
 - Includes \$53M of ongoing commitments to Stimulus awards from FY 2009 & 2010
- NCI works with over 700 grantee organizations
- NCI grant awards ranged from \$2,000 to \$27.0 million in FY 2012
- NCI awards grants in over 40 Budget Mechanisms

NCI Grant Mechanisms

(These mechanisms each have different guidelines and business rules)

Research Project Grants	Cancer Centers and Specialized Programs of Research Excellence (SPORE)	Other Research	Research Career Awards (Other Research)	Ruth L Kirschstein - National Research Service Awards (NRSA)
R01, R03, R15 R21, R33, R37 R56, R00 RC2, P01, U01, U19 UH2, DP1,DP2,DP5, UM1 (STTR/SBIR) R41, R42, R43 R44	P20, P30, P50, U54	R13, R24, R25 T15, D43 SC1 U10 U13,U24, U56	K01, K05 K07, K08 K12, K18 K22 K23, K24 K25 K99	F30,F31, F32 T32,

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Questions and Discussion

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