NCI Budget and Policy Issues

Orientation for New Members
Board of Scientific Advisors

By
Karen Colbert and Nelson Garcia
Office of Management, OD, NCI
November 5, 2012
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
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

Dollars in billions

<table>
<thead>
<tr>
<th>Year</th>
<th>Appropriations</th>
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<tbody>
<tr>
<td>FY99</td>
<td>2.9</td>
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<tr>
<td>FY00</td>
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<tr>
<td>FY13 CR</td>
<td>5.1</td>
</tr>
<tr>
<td>FY14 PB</td>
<td>?</td>
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</table>
How is the NCI Budget Allocated - FY 2012

- **Research Project Grants**: 42%
- **Other Research**: 21%
- **Training**: 3%
- **Clinical Groups**: 5%
- **Intramural**
  - **Research**: 13%
  - **Support**: 4%
- **Cancer Centers**: 12%

- **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

<table>
<thead>
<tr>
<th>Allocation</th>
<th>Amount</th>
<th>% of Total</th>
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<tbody>
<tr>
<td>Appropriation</td>
<td>$2,151,000,000</td>
<td>100%</td>
</tr>
<tr>
<td>Small Business Set Aside</td>
<td>-77,000,000</td>
<td>5%</td>
</tr>
<tr>
<td>Non-Competing Commitments</td>
<td>-1,659,000,000</td>
<td>77%</td>
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<tr>
<td>Competing Availability</td>
<td>415,000,000</td>
<td>19%</td>
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<tr>
<td>RFA “Reserve”</td>
<td>-42,000,000</td>
<td>2%</td>
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<tr>
<td>Remaining for R01,P01,R33,etc.</td>
<td>373,000,000</td>
<td>17%</td>
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</tbody>
</table>
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)

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