

Technical Assistance Webinar for RFA-MD-22-010, “John Lewis NIMHD Research Endowment Program (S21 Clinical Trial Not Allowed)”

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Webinar starts at 2:00 PM ET



NIH National Institute
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Zoom Video Webinar Tips

- Participants may ask questions using the chat feature.
- Questions will be answered at the end of the webinar.
- The Zoom Video Webinar **will be recorded,** and a link emailed to you.



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Part I:

RFA Background and Objectives



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John Lewis NIMHD Research Endowment Program



NIMHD Director Dr. Pérez-Stable, NIH Acting Director Dr. Tabak, HHS Secretary Becerra, and Congressional leaders joined President Biden when he signed the "John Lewis NIMHD Research Endowment Revitalization Act of 2021."



Background

- The *Minority Health and Health Disparities Research and Education Act of 2000* (Public Law 106-525) authorized the National Center on Minority Health and Health Disparities (NCMHD) Research Endowment Program to facilitate minority health and health disparities research through the creation of an endowment fund in institutions with Centers of Excellence funded by the Health Services and Resources Administration (HRSA) under sections 736 of the Public Health Service (PHS) Act.
- On March 23, 2010, the *Patient Protection and Affordable Care Act* (Public Law 111-148) re-designated NCMHD as NIMHD and expanded eligibility for research endowment grants to include institutions with Centers of Excellence funded by NIMHD under sections 464z-4 of the PHS Act.
- In March 2022, the *John Lewis NIMHD Research Endowment Revitalization Act of 2021* (Public Law 117-104) expanded eligibility of this program to public/private institutions of higher education with current or former HRSA Centers of Excellence awards and current or former NIMHD Centers of Excellence awards.



Background (Cont.)

- Applications Due January 17, 2023
- Review March 2023, Advisory Council May 2023, Earliest Start July 2023
- NIMHD intends to commit \$12,000,000 in FY 2023 to fund six awards.
- Application institutions may request up to \$2,000,000 in direct costs annually. Indirect costs may not be requested.
- Only one application per institution.



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RFA Objectives

The purpose of the *John Lewis* NIMHD Research Endowment Program is to strengthen the research infrastructure and training capacity at eligible institutions of higher education to facilitate minority health and health disparities research and enhance the diversity of the scientific workforce. Specific strategic objectives include:

- 1) Improving the institutional physical infrastructure and research equipment acquisition;
- 2) Developing research-enabling technical expertise;
- 3) Expansion of academic programs; and
- 4) Recruitment of individuals from groups underrepresented in the scientific workforce as potential candidates for open faculty positions.



Specific Areas of Interest

- Enhancement of facilities through minor renovations and alterations, acquisition of instruments and equipment, or administrative research stewardship
- Development of resources such as faculty-level expertise in research methodology, study design, specialized laboratory techniques, biostatistics, data science, health informatics, research ethics, and/or community-engaged research methods.
- Enhancements to the academic environment through the creation of challenging courses or programs in such topics as research methodology, grant writing course, and health disparities science as additions to the curriculum
- Structured engagement of scientists with communities that fosters participation in minority health and health disparities research
- Implementation of institutional efforts to support individuals from diverse backgrounds, including those from groups underrepresented in the scientific workforce
- Recruitment and career development of established scientific faculty with exceptional expertise in the clinical, behavioral, social, and population sciences or facilitate the recruitment of new scientists in these disciplines.





Eligible Organization

- Pursuant to Public Health Service Act section 464z-3(h), 42 USC 285t(h), as amended by Public Law 117-104, applicants for this program may include eligible public/private institutions of higher education that have *current or former* HRSA Centers of Excellence awards under Section 736 of the Public Health Service (PHS) Act and current or former NIMHD Centers of Excellence awards under Section 464z-4 of the PHS Act.
- Eligible institutions must have an endowment that is *equal to or less than* 50 percent of the national median of endowment funds at institutions that conduct similar biomedical research and training of health professionals. At time of application, institutions with corporate or system-wide endowments that exceed \$301,505,000 may not apply.



Applications Not Responsive to the FOA

- Applications from institutions without a current or former NIMHD or HRSA Center of Excellence award.
- Applications from institutions with endowments above the statutory limits.
- Applications without a 5-year NIMHD Research Endowment Strategic Plan.



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Letter of Intent

Due December 17, 2022

- Descriptive title of proposed activity
- Name(s), address(es), and telephone number(s) of the PD(s)/PI(s)
- Names of other key personnel
- Participating institution(s)
- Number and title of this funding opportunity

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Research Strategy

Applicants must describe a 5-Year *NIMHD Research Endowment Strategic Plan* that establishes priorities for the use and growth of endowment fund income.

Any endowment income realized in the initial year following the grant award shall not be expended to support programmatic activities until after conclusion of the initial year of the grant.



Research Strategy (Cont.)

The required elements of the Plan are:

- The institution's *Mission Statement* for the Plan.
- An *Overview* of the institution's strategy for building research infrastructure and capacity to facilitate minority health and health disparities research and enhance the diversity of the scientific research workforce.
- The *Area(s) of Emphasis* in priority order addressed by the Plan.
- The *Rationale* that explains the need, scientific opportunity, and /or the institution's reason for pursuing the area(s) of emphasis. This should include an explanation as to how the plan will contribute to improving minority health and health disparities research activities and enhance the diversity of the scientific research workforce .
- Clearly identified *Objectives* related to the area(s) of emphasis, with an indication of relative priority. Include an estimate of total dollars needed to achieve each objective for each of the five years of the Plan



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Research Strategy (Cont.)

- An *Action Plan* that consists of:

- (1) A description of the concrete activities that will enhance and expand the institutional research capacity in minority health and/or health disparities and enhance the diversity of the scientific research workforce your institution will take to achieve each objective.

- (2) A timeline for achieving key targets of the objective; and

- (3) An estimated date by which the objective is expected to be accomplished.

- A description of *Performance Measures* (process and outcome) that will be utilized to demonstrate the accomplishments of each objective.

- Projected *Impact* of the endowment income including explanation of the institution's commitment to the programmatic aspects of the proposed endowment fund program contained in the Plan.



Renewal Applications

Provide a Progress Report on previous NIMHD Research Endowment funding.

- 1) Please provide details on the ability to manage the endowment corpus and generate income yearly
- 2) A description of the outcomes of the programs and activities supported by the generated endowment income



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Other Attachments

•Institutional Corporate Endowment Assets

A certified or notarized letter/report from an independent audit with original signatures must state the dollar amount of the applicant's institutional corporate endowment assets.

This document must include a statement reflecting the dollar amount of all endowment funds of the corporate institution that are managed by the applicant institution, private non-profit foundations and/or public entities established by or for the benefit of the institution.



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Other Attachments

•Investment Policy Statement.

An investment plan for the proposed endowment corpus must indicate long-term and short-term investment goals and expected rate of return. The investment plan should be balanced and take into consideration the volatility of markets.

Care should be taken to develop an investment and spending plan to ensure that the market value of the corpus is not invaded and address strategic steps to be implemented in a challenging investment environment.

Institutions with limited experience in establishing and managing endowment funds are encouraged to consult with institutions and/or other entities that have expertise in establishing and managing such funds.

It is permissible to pool the NIMHD endowment awards with other endowment assets held by the institution for investment purposes. In these cases, the proportionate income (or units) of the NIMHD endowment corpus should be separately accounted for and used only for the purposes specified within this FOA.



Award Budget

Funds Available and Anticipated Number of Awards

- ❖ NIMHD intends to commit \$12,000,000 in FY 2023 to fund six awards.

Award Budget

- ❖ Application institutions may request up to \$2,000,000 in direct costs annually. Indirect costs may not be requested.

Award Project Period

- ❖ The scope of the proposed project should determine the project period. The maximum project period is 5 years.
- ❖ Applicants may receive a warning, which can be ignored, if the project period is 4 or 5 years.



Resources on NIMHD Website

John Lewis NIMHD Research Endowment Program

- <https://nimhd.nih.gov/programs/extramural/research-endowment.html>

List of HRSA and NIMHD COEs

- https://nimhd.nih.gov/docs/rep_ctrsList.pdf

Page for Technical Assistant Webinar

- <https://nimhd.nih.gov/funding/nimhd-funding/webinars.html>



Part II:

Peer Review of Applications



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S21 Program Peer Review

- ❖ Applications will be assessed for **completeness** by the Center for Scientific Review (**CSR**);
- ❖ NIMHD **program staff** will assess the applications for **responsiveness** based on the eligibility criteria in the RFA; and
- ❖ NIMHD scientific Review Officer (**SRO**) will assemble a panel of experts from the extramural community to **peer review** the applications.



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Preparations for Peer Review

- ❖ RFA Specific Characteristics & Review Criteria
 - Overall program goals
 - Mechanism characteristics specific to this RFA
 - Review Criteria: Specific to this RFA in Section V
 - Additional Review Criteria/Considerations (e.g. Human Subjects/Budgets, etc.)
- ❖ Administrative Review of Applications
 - **RFA requirements**: whether the applications are **complete** as required by the RFA and have the appropriate sections to be able to be reviewed?
 - Which **personnel** are involved in each application and their institution affiliation?
 - The **specific aims** stated in each application and **expertise** needed.



SEP Reviewer Selection

❖ Scientific Expertise

- ❖ as defined in RFA

- ❖ Collective content of the applications

❖ Attention to Conflict of Interest

❖ Diverse representation of opinion:

- gender
- demographics
- geography



Review Process

- ❖ Pre-Meeting: Reviewers submit the **written opinions/critiques**
- ❖ During Meeting: Reviewers discuss the applications and vote for **overall impact/final scores**
- ❖ After meeting: SRO write the **resume** and finalize the summary statements



Peer Review Criteria

Only the review criteria described below will be considered in the review process. Applications submitted to the NIH in support of the NIH mission are evaluated for scientific and technical merit through the NIH peer review system.

Overall Impact

Reflects the likelihood for Project to exert a sustained, powerful influence on the research field(s).

5-Scored Review Criteria

- Significance
- Investigator(s)
- Innovation
- Approach
- Environment



Review Criteria- Specific to FOA

Significance:

To what extent will the 5-Year *NIMHD Research Endowment Strategic Plan* enhance and expand institutional resources to facilitate capacity in minority health/health disparities research and/or enhance the diversity of the scientific workforce?

Approach:

- Will the activities identified in the 5-year *NIMHD Research Endowment Strategic Plan* enhance and expand the institutional research capacity in minority health and/or health disparities research (e.g., research training opportunities, improvements in the physical plant, equipment acquisition, enhancement of academic curriculum, and/or recruitment/retention of accomplished scientists in the fields of biomedical, behavioral, and social sciences research)?
- Is the proposed management of the endowment fund and effectiveness of investment strategy appropriate to achieve appropriate growth potential while taking into consideration the potential for volatility of the markets?



Additional Review Criteria

(included in the determination of the overall score)

- Protection for Human Subjects
- Inclusion of Women, Minorities, and Individuals Across the Lifespan
- Vertebrate Animals
- Biohazards



Additional Review Considerations

(criteria not included in the determination of the overall score)

- Select Agent Research
- Resource Sharing Plans
- Authentication of Key Biological and/or Chemical Resources
<https://grants.nih.gov/policy/reproducibility/guidance.htm>
- Budget and Period of Support



S21 Program Peer Review Meeting

Some applications may be “streamlined” -- not discussed (ND) if more than 10 applications received:

- Applications may undergo a selection process in which only those applications deemed to have the highest scientific and technical merit (generally the top half of applications under review) will be discussed and assigned an overall impact score.

Final Impact Score based on average of all voting reviewers x 10

- Scores range from 10 (exceptional) to 90 (poor)

A summary statement for all applications would be available approximately 30 days after the review meeting

Do not contact the members of the review panel!



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Videos on Peer Review Topics

The Center for Scientific Review (CSR) has produced videos with an inside look at peer review for scientific and technical merit and with tips for preparing applications.

<https://public.csr.nih.gov/NewsAndPolicy/PeerReviewVideos>

Resources for using eRA Commons

https://era.nih.gov/era-training/era-videos.htm?q=era_training/era_videos.cfm#iar1

Problems with Submission Processing

Always contact eRA Service Desk.

<https://grants.nih.gov/support/index.html>



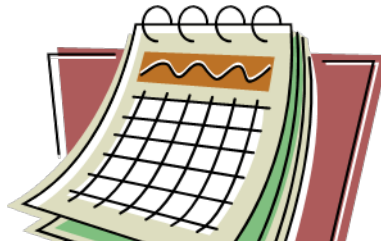
Part III:

Timeline for Submission, Review, and Selection of Endowment Awards



Timeline

- Letter of Intent Due Date: December 17, 2022
- Application Due Date: January 17, 2023
- Peer Review Meeting: March 2023
- Council Review: May 2023
- Earliest Start Date: July 2023



Participant Questions



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