

# BILAT 4.0 “TOUR D’EUROPE” WORKSHOP ON US FUNDING

May 30th, 2018  
Barcelona, Spain



# AGENDA

- Welcome and Introduction to BILAT USA 4.0
- Welcome: AGAUR, Agency for the Management of University and Research Grants
- Identifying and understanding NIH funding possibilities
- Terminologies
- The Review Process
- The Experience of a NIH reviewer
- Ensuring compliance – most important compliance issues for non-US participants
- Case study Zurich: Internal policies and regulations for US Grants
- Parallel Sessions
- Managing Projects including Audit issues
- Closing



# Introductions

- Your workshop leaders
- The attendees



# Institutional Research Profile



	Stanford	Harvard
# of Faculty	2,153	2,400
# of External Sponsored Projects	5,500	4,600
Total Research Budget	US\$1.22 billion – FY 2016 (~81% federal gov't)	US\$865 million – FY 2016 (~76% federal gov't)
# of Active Awards At Any Time	5,500	5,196 (FY16)
# of Proposals Submitted	3,300/year	5,757 (FY16)
# of New Awards and Amendments	270+/month	180+/month
# of Accounts Established	170+/month	260+/month
# of Awards Closed Out	100+/month	130+/month

# Why Should You Pursue Sponsored Funding?

## The Institutional Perspective

- Attract the best faculty and students
- Train future scientists and teachers
- Build infrastructure
- Develop an educated citizenry
- Enhance reputation and rankings
- Offer service to society



# Why Should You Pursue Sponsored Funding? The Faculty/Researcher Perspective

- Fund projects of personal interest
- Stay on cutting edge of discipline
- Attract better students
- Promotion, tenure, reputation
- Control own destiny
- Intellectual curiosity



# IDENTIFYING FUNDING OPPORTUNITIES

An NIH Focused Discussion

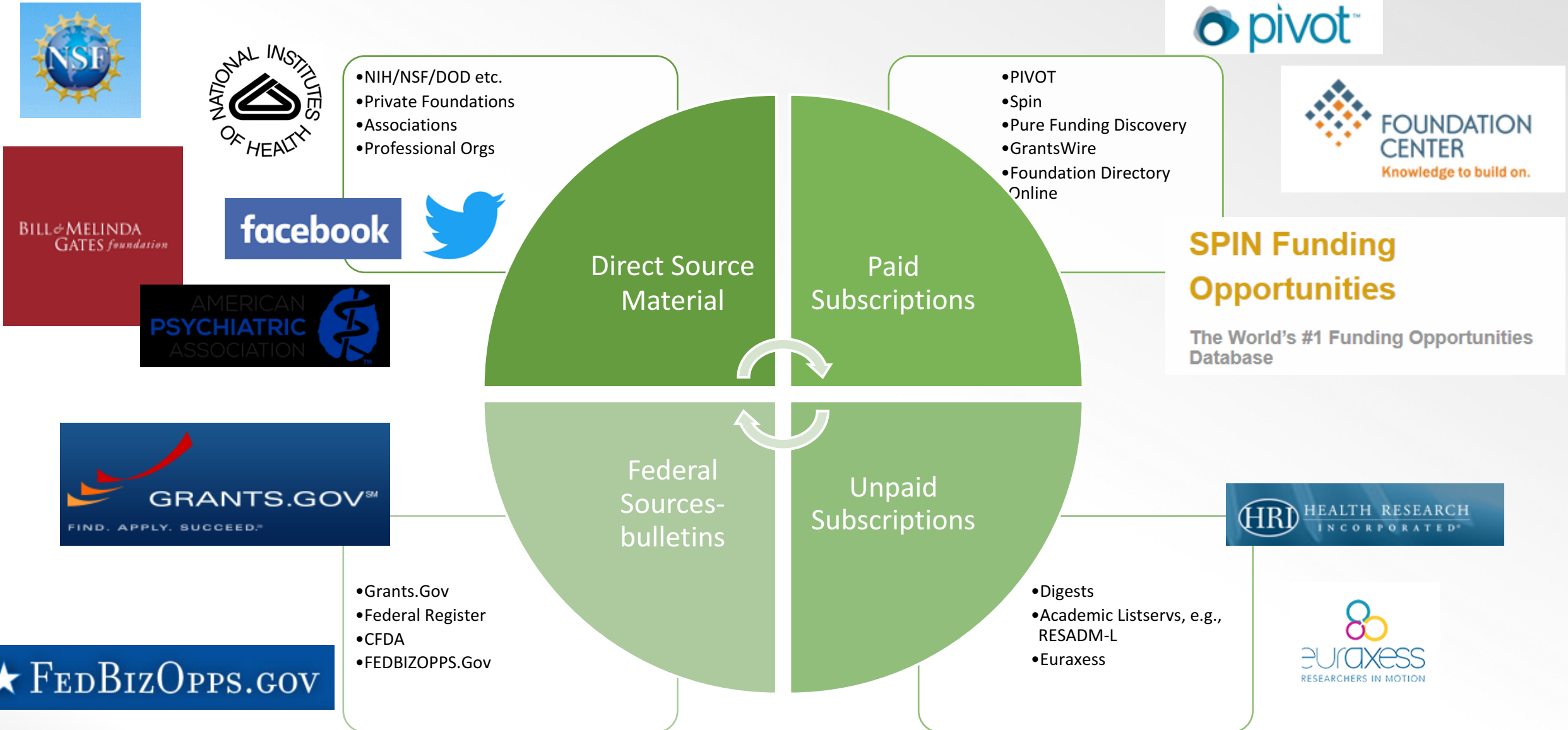
# IDENTIFYING FUNDING OPPORTUNITIES





# IDENTIFYING FUNDING OPPORTUNITIES

How do I find them?



# IDENTIFYING FUNDING OPPORTUNITIES

How do I find them?

“Reverse Engineer” funding opportunities:

- Look at acknowledgements listed in articles/papers in your field; check for how that research was funded.
- Look at citations and references; check for how those projects were funded or supported

## *ACKNOWLEDGEMENTS*

The original idea for this article came from Chris Calwell of Ecos Consulting. Jonathan Koomey, who was a Ph.D. student of Dr. Rosenfeld's from 1985 to 1990, conducted the analysis and the writing, with comments and other contributions from the coauthors (who are all friends and colleagues of Art's). Many colleagues reviewed the drafts, including Rob Socolow, and two anonymous reviewers, and we owe them our thanks. Glenn McGrath and Channele Wirman at EIA deserve our special thanks for supplying data from and timely explanations about the EIA-860 and EIA-906/920/923 data files. All errors and omissions are the authors' responsibility alone.

This work was supported, in part, by the U.S. Department of Energy under Contract No. DE-AC02-05CH11231.

# IDENTIFYING FUNDING OPPORTUNITIES

How do I find them?

Use agency award databases:

- NIH: Research Portfolio Online Reporting Tools (RePORT)

U.S. Department of Health & Human Services

Printer Friendly | Text Size A A A

**NIH** Research Portfolio Online Reporting Tools  
(RePORT)

Search

HOME | ABOUT RePORT | FAQs | GLOSSARY | CONTACT US

QUICK LINKS | RESEARCH | ORGANIZATIONS | WORKFORCE | FUNDING | REPORTS | LINKS & DATA

**Awards by Location**  
Consolidates all information about NIH-supported extramural organizations in a single tool.

RePORTER | **AWARDS BY LOCATION** (CLICK TO VIEW) | NIH DATA BOOK | FUNDING FACTS | CATEGORICAL SPENDING | REPORT CATALOG | SPECIAL REPORTS | ABOUT REPORT

**\*REVIEW ABSTRACTS\***  
*(Will also prove useful to see funded examples)*

# IDENTIFYING FUNDING OPPORTUNITIES

How do I find them?

- **BILAT 4.0 Report: US Funding Opportunities for EU Researchers**
- Available at [goo.gl/aYTBZO](http://goo.gl/aYTBZO)
- Provides:
  - Sponsor Name and Type of Funding
  - Foreign Research Allowance
  - Relevant Academic Mission
  - Structure of Organization



## REPORT ON U.S. FUNDING OPPORTUNITIES FOR EUROPEAN RESEARCHERS

*If not direct awardee, non-US researchers commonly partnering with US researchers as (a) subawardee; (b) co-funded party; or (c) collaborative party*

# FUNDING MECHANISMS

## ASSISTANCE

- **GRANT**
  - Funding is being provided to the recipient to carry our research or another activity for the public good
  - No substantial involvement is anticipated between the government and the recipient
  - Project idea usually originated with applicant
- **COOPERATIVE AGREEMENT**
  - Roughly the same as a grant except the idea may or may not originate with the applicant
  - Substantial involvement between the government agency and the recipient is expected throughout the activity.
  - Both have CFDA numbers

## PROCUREMENT

- **CONTRACT**
  - The principal purpose of the agreement is to acquire property or services for the direct benefit of the federal agency
  - Extensive involvement between the agency and the recipient is expected throughout the activity
- No CFDA Number



# UNDERSTANDING NIH FUNDING OPPORTUNITIES



- Largest source of funding for medical research in the world
- Robust research policies and funding schemes (R01s, K01s, T32s)
- Funding Opportunity Announcements (FOAs) and Grants.gov
- Funds Non-US Applicants Directly as well as through Subawards

# UNDERSTANDING NIH FUNDING OPPORTUNITIES

## Key Funding Opportunity for Non-US researchers

Parent R01 permits foreign Institutions to apply.



### Foreign Institutions

Non-domestic (non-U.S.) Entities (Foreign Institutions) are eligible to apply.

Non-domestic (non-U.S.) components of U.S. Organizations are eligible to apply.

Foreign components, as defined in the *NIH Grants Policy Statement*

([http://grants.nih.gov/grants/guide/url\\_redirect.htm?id=11118](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11118)), are allowed.

### Required Registrations

# ANNOUNCEMENTS OF OPPORTUNITIES

## Sponsor funding announcements for **unsolicited** proposals:

- **PA:**  
Program Announcement
- **FOA:**  
Funding Opportunity Announcement (*NIH*)
- **RFA:**  
Request for Application

## • **Where announced:**

- Grants.gov
- Sponsor websites and/or publications
- Federal Register
- Proprietary databases and newsletters

## • **Response required:**

- Proposal or application
- **Award mechanism**
  - Grant or cooperative agreement



# KEY ELEMENTS OF AN FOA

- Funding Opportunity Announcements
  - Purpose
  - Deadline
  - Research Objectives
  - Award mechanism
  - Funds available
  - Institutional &/or PI eligibility
  - Application requirements
  - Review criteria
  - Possible limit of applications from institution
  - Special terms and conditions



# Terminology



# BREAK

We will reconvene in 15 Minutes.