

# P01 Program Project Grants – Updated 11/30/2016

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**Title: NIAID Investigator-Initiated Program Project Applications (P01)**  
**Program Announcement (PA) Number: PAR-16-413**  
<https://grants.nih.gov/grants/guide/pa-files/PAR-16-413.html>

The purpose of Program Project (P01) grants is to support integrated, multiproject research programs that have a well-defined, central research focus or objective. The P01 is a confederation of interrelated research projects, each capable of standing on its own scientific merit but complementing one another. The P01 application must include a minimum of two individual research projects that contribute to the program objective. Each individual research project should reflect a distinct, separate, scientifically meritorious research effort led by an independent investigator, the project leader. In addition, the individual projects should be clearly interrelated and synergistic.

In addition to individual research projects, applicants may propose one or more shared resource cores if needed for the proposed research. Each shared resource core must be utilized by two or more projects within the program. Both administrative and research support cores are allowed. New cores may be proposed and/or existing cores may be augmented to support the proposed research.

## **Highlight Synergy**

Synergy is the interaction or cooperation among different groups working on the same project. In the context of a multiproject application, synergy entails enhancement of scientific knowledge, ideas, and outcomes obtained through the cooperative interactions of the individual projects and cores. Describing synergy involves explaining how the proposed merger of complementary skills, perspectives, and resources has the potential to produce outcomes greater than would otherwise be achieved. For example, describe how and why the outcomes resulting from conducting the proposed research as a Program will exceed the outcomes from conducting separate research activities as an R01. Examples of synergy include, but are not limited to, sharing preliminary data, samples, reagents, pathogens, human subject population(s), technologies, research approaches, data management and analysis tools, and model organisms, which will impact the direction of science and research outcomes in the Program. To highlight Program synergy applicants may:

- Describe in the Overview section how the individual components (projects and shared resource cores) will be coordinated and work together to address the overall goals and aims of the program.
- Include a schematic overview of the interactions/collaborations among the components (projects and cores).
- Address synergistic activities in the Research Plan, and if possible, in the Specific Aims of each component.
- Indicate collaborations among members and relevant publications co-authored by members of the program.

The program should be cohesive with the projects and shared resource cores integrated into a common theme of the Program Project.

Applicants are referred to NIAID's Multiproject Research (P, U) Applications at <https://www.niaid.nih.gov/grants-contracts/multiproject-research-p-u-applications> for additional guidance on NIAID P01s.

# P01 Program Project Grants – Updated 11/30/2016

**Application Due Date(s):** <http://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm>

Activity Code	Program Description	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
P Series: <i>All - new, renewal, resubmission, revision</i>	Program Project Grants	January 25	May 25	September 25
	AIDS and AIDS-Related Applications	May 7	September 7	January 7

Applications must be submitted electronically on (by 5:00 PM local time of applicant organization) or before the dates described above.

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## APPLICATION AND SUBMISSION INFORMATION

### Overall Program Project:

**Introduction (one page):** An introductory page is allowed **only in resubmissions** to address reviewers' critiques.

**Specific Aims (one page):** List the goals of the research & summarize expected outcomes.

**Overall Research Strategy (12 pages):** The Program Overview Section describes the significance, innovation, and approach of the overall application and should highlight the program's conceptual unity by describing the scientific problems to be addressed and laying out a broad research strategy to address them. **Renewal applications should contain a brief description of progress.**

**Bibliography and References Cited/Progress Report Publication List.** When citing articles that fall under the Public Access Policy, were authored or co-authored by the applicant and arose from NIH support, provide the NIH Manuscript Submission reference number (e.g., NIHMS97531) or the PubMed Central (PMC) reference number (e.g., PMCID234567) for each article.

**Scientific Advisory Boards (SAB).** Reviewers will be instructed regarding the following policy: For new applications, if you choose to appoint a SAB, you may provide scientific expertise and the responsibilities of the SAB members in the Program Overview Section of the application. However, you should NOT contact any individuals for the purpose of serving on the SAB, nor should you identify any such individuals in the application. However, if you have already contacted new member(s) for SAB you must provide the name(s) of the person(s). For competing renewal applications, provide the names of current and former SAB members (since they can't serve as reviewers for your application) as well as a description of their expertise and responsibilities in the Program Overview Section of the application. You should NOT contact any new member for your renewal application until after the peer review is completed. However, if you have already contacted new member(s) for SAB you must provide the name(s) of the person(s).

# P01 Program Project Grants – Updated 11/30/2016

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**Multiple PI Leadership Plan (if applicable).** If the multiple PDs/PIs option is used, the Multiple PD/PI Leadership Plan must be included but **does not count against the 12 page limit. Multiple-PIs are allowed for the overall program, but not for the projects or cores.**

**Resource Sharing Plan.** (Data Sharing Plan, Sharing Model Organisms, and Genomic Data Sharing Plan). Include a data sharing plan for the overall Program Project if the overall budget requests \$500,000 or more in direct costs for any year.

For information on the new NIH Genomic Data Sharing Policy and Implementation of the NIH Genomic Data Sharing Policy for NIH grant Applications and Awards, see

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-124.html> and

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-111.html>.

Guidance on developing data sharing plans and Supplemental Information to the NIH Genomic Data Sharing Policy may be found here:

[http://gds.nih.gov/pdf/NIH\\_guidance\\_developing\\_GDS\\_plans.pdf](http://gds.nih.gov/pdf/NIH_guidance_developing_GDS_plans.pdf).

[http://gds.nih.gov/pdf/supplemental\\_info\\_GDS\\_Policy.pdf](http://gds.nih.gov/pdf/supplemental_info_GDS_Policy.pdf)

**Budget.** Subaward actions and expenditures must conform to all terms and conditions of a grant award. Subaward organizations cannot form their own subaward agreements with other organizations and may receive funds only from the grantee. Therefore, **do not include a subcontract within a subcontract.**

**Individual Research Projects** (1, 2, 3, etc. consecutively):

Each research project should be prepared according to the standard [SF424 \(R&R\)](#) instructions as modified in the NIAID guidelines (<https://www.niaid.nih.gov/grants-contracts/multiproject-research-p-u-applications>). The interactions among projects and core facilities should be described within each Project.

- Research Plan
  - Introduction to Resubmission (if applicable; one page)
  - Specific Aims (one page)
  - Research Strategy (12 pages) has three parts: significance, innovation, and approach.
  - Progress Report Publication List (for Renewal Applications)
  - References/Literature Cited

**Individual Cores** (A, B, C, etc. consecutively):

Each Core should be prepared according to the [SF424 \(R&R\)](#) instructions as modified in the NIAID guidelines (<https://www.niaid.nih.gov/grants-contracts/multiproject-research-p-u-applications>). **Each core unit must provide essential facilities or services for two or more research projects.** A multiproject application may include two types of cores: an administrative core and scientific cores.

- Core Research Plan
  - Introduction to Resubmission Application (if applicable; one page)
  - Core Specific Aims (one page) - summarize the **resources and facilities** the Core provides that are essential for two or more projects in the application
  - Core Research Strategy (six pages) has three parts: significance, innovation, and approach.
  - Progress Report Publication List (for Renewal Applications Only)
  - References/Literature Cited

# P01 Program Project Grants – Updated 11/30/2016

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## Sections in individual Projects and in individual Cores

- Protection of Human Subjects - Only include information that is relevant to protection of human subjects. Reviewers will be instructed to not consider any irrelevant information in this section.
- Vertebrate Animals - Only include information that is relevant to vertebrate animals (address the required points).
- Select Agent Research
- Consortium/Contractual Arrangements
- Letters of Support
- Resource Sharing Plan:
  - Include any resource sharing plans that apply: data sharing, model organism, and genomic data sharing plan. For data sharing, include a plan only if the individual project or core budget requests \$500,000 or more in direct costs for any year; otherwise put data sharing information under the overall program. Plans for model organism and genomic data sharing plan have no dollar limit.

**Biographical Sketches** **five pages total each:** Compile all biographical sketches after the Overall Budget. Do not repeat biographical sketches in the individual research projects or cores.

Include:

- Personal statement
- Positions and honors
- Description of up to five most significant contributions to science. For each contribution, include up to four peer-reviewed publications or non-publication research products
- URL of full list of published work as found in publicly available digital database (e.g., SciENcv, My Bibliography)
- Research support (past three years only)

For more details see New Biographical Sketch Format Required for NIH and AHRQ Grant Applications Submitted for Due Dates on or After May 25, 2015: <http://grants.nih.gov/grants/forms/biosketch.htm>

**Appendix:** Appendices are stored separately in the eRA Grant Folder (not as part of the application image) and are accessible to peer reviewers.

- **Do not use the Appendix to circumvent the page limitations for the Research Plan. Excess information in the Appendix won't be considered for the review.**

### ***Allowable appendix materials***

- Blank informed consent/assent forms
- Blank surveys, questionnaires, data collection instruments

### ***Consequences for submitting disallowed appendix materials***

**Applications submitted for due dates on or after January 25, 2017 will be withdrawn and not reviewed if they are submitted with appendix materials that are not specifically listed in this Notice or the FOA as allowed or required.**

For more details see New Policy Eliminates Most Appendix Material for Applications Submitted for Due Dates On or After January 25, 2017: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html>

**Post Submission Materials:** Post-submission materials that will be accepted are those resulting from unforeseen administrative issues and news of an article accepted for publication. The policy on post-submission application materials is not intended to correct oversights/errors discovered after submission

## P01 Program Project Grants – Updated 11/30/2016

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of the application. Post-submission materials will only be accepted 30 calendar days prior to the peer review meeting and include the following:

### **Allowable Post-Submission Materials for All Applications**

- Revised budget page(s) (e.g., due to new funding or institutional acquisition of equipment)
- Biographical sketches (e.g., due to the hiring, replacement, or loss of an investigator)
- Letters of support or collaboration due to the hiring, replacement or loss of an investigator
- Adjustments resulting from natural disasters (e.g., loss of an animal colony)
- Adjustments resulting from change of institution [e.g., Program Director/Principal Investigator (PD/PI) moves to another university]
- News of professional promotion or positive tenure decision for any PD/PI or Senior/Key Personnel
- Approval by the NIH Stem Cell Registry of a human embryonic cell line(s) after submission of the application (see [NOT-OD-12-111](#))
- Videos, within defined limits, that demonstrate devices and experimental data with a temporal element, which refers to the need to show how something functions or occurs over time, or demonstrates movement or change. Applicants must follow the directions in [NOT-OD-12-141](#) for submitting videos to accompany grant applications
- Other post-submission materials specified in the FOA for which the application was submitted or in a special *Guide* notice.
- **News of an article accepted for publication since submission of the application**, which must include *only*:
  - List of authors and institutional affiliations
  - Title of the article
  - Journal or citation (if available)

*Copies of articles, links to articles, or any other materials related to an article accepted for publication will not be accepted as post-submission materials, unless specified in the Funding Opportunity Announcement (FOA) for which the application was submitted or a special Guide notice.*

Post-submission materials that will NOT be accepted include the following:

- Updated Specific Aims or Research Strategy pages.
- Late-breaking research findings (i.e., new data).
- New letters of support or collaboration that do not result from a change in Senior/Key Personnel due to the hiring, replacement, or loss of an investigator.
- Missing, corrected, or replacement pages (applications are now submitted electronically).

### **Page limit for Post-Submission Materials:**

Two printed pages for each Project and Overall Program.

One printed page for each Core.

For other requirements for submitting post-submission materials and more detail:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-130.html> and

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-115.html>

**Other Important Information:** Project and core leaders do not lose new / early stage investigator status.

**Sending an Application to the NIH:** Applicants must follow the instructions in the [SF424 \(R&R\)](#) Application Guide except where instructed to do otherwise.

# P01 Program Project Grants – Updated 11/30/2016

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## APPLICATION REVIEW INFORMATION

Reviewers will provide a single overall impact/priority score for the Program Project as a whole to reflect their assessment of the likelihood for the project to exert a sustained, powerful influence on the research field(s) involved. Individual research subprojects, supporting cores (if proposed), and the Program as an integrated effort are collectively considered. The relationship and contributions of each research subproject and core to the overall theme of the Program Project are evaluated.

### Summary

- Unique Critique Templates for Projects, Cores, and the Program
- Overall Impact Score for the Entire Program (1-9)
- Overall Impact Score for the Individual Projects and Cores (1-9) in Summary Statement
- Criterion Scores for the Individual Projects (1-9) in Summary Statement

### PITFALLS <https://www.niaid.nih.gov/grants-contracts/multiproject-research-p-u-applications>

- Low-impact on the field or otherwise weak project.
- Lack of synergy and integration between the components (pay special attention to this).
- Lack of description of synergy in each component of the application.
- Lack of convincing rationale for some of the aims.
- Overambitious aims.
- Failure to describe significance of proposed work.
- Lack of innovation.
- Lack of hypothesis-driven mechanistic studies.
- Insufficient preliminary data or experimental detail.
- Insufficient expertise for the work proposed or failure to use expertise of participants.
- Failure to address experimental pitfalls and alternative approaches.
- Over or under commitment of program director or project leaders.
- Lack of program coordination.
- Failure to include a multi-PI plan (for multi-PI applications).
- Failure to demonstrate progress for renewal.
- Poorly described Administrative Core.
- Submission of incomplete cores lacking a description of facility, approach, and support.
- Core does not support at least two projects.
- Lack of detail and preliminary data in new scientific cores.
- Poorly described logistics for applications involving multiple institutions (insufficient communication, poorly described plans for shipping specimens, animals, etc.).
- Lack of support letters for reagents/resources/collaborations.
- Improper formatting, sloppy presentation (small font with too much information), typos.

### RECENT POLICY UPDATES:

[NOT-OD-16-010](#): Children defined as individuals under 18 years old.

[NOT-OD-16-006](#): Vertebrate Animal section simplified.

[NOT-OD-15-027](#): Genomic Data Sharing Policy.

[NOT-OD-16-011](#): Rigor, Transparency, and Authentication of Key Resources

### RESOURCES:

Multiproject Research (P, U) Applications <https://www.niaid.nih.gov/grants-contracts/multiproject-research-p-u-applications>

Portal for the ASSIST system - [ASSIST](#)

Peer Review Process & Changes <http://enhancing-peer-review.nih.gov/process&changes.html>

Budget (Subawards) <https://www.niaid.nih.gov/research/grants-subawards-consortium-agreements>