

Allocation of Research Funds

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NEEDS OVERVIEW AND INTRO

<i>Basic research:</i>	<i>Basic research is defined as systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind.</i>
<i>Applied research:</i>	<i>Applied research is defined as systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.</i>
<i>Allocation of research funds:</i>	<p>The total allocation of research funds must equal the total amount reported for the conduct of basic and applied research. Exclude amounts spent on development.</p> <p>Use these definitions for allocating research funds to the five categories listed below:</p> <ul style="list-style-type: none">• <i>Peer evaluation</i> means merit-reviewed by appropriately qualified scientists, engineers, or other technically qualified individuals who are apart from the people or groups making the award decisions.• <i>Competitive selection</i> means applicants not prohibited from applying by highly restrictive criteria (e.g., by geography, by title, by affiliation with particular institutions, by past associations, by capabilities in unrelated or programmatically non-essential aspects other than long-standing statute or regulation).
Research performed at congressional direction	Intramural and extramural research programs where funded activities are awarded to a single performer or collection of performers with limited or no competitive selection or with competitive selection but outside of the agency's primary mission, based on direction from the Congress in law, in report language, or by other direction. Funded activities may be merit-reviewed prior to award.
Inherently unique research	Intramural and extramural research programs where funded activities are awarded to a single performer or team of performers without competitive selection. The award may be based on the provision of unique capabilities, concern for timeliness, or prior record of performance (e.g., facility operations support for a unique facility, such as an electron-positron linear collider; research grants for rapid response studies).
Merit-reviewed research with limited competitive selection	Intramural and extramural research programs where funded activities are competitively awarded from a pool of qualified

applicants that are limited to organizations that were created to largely serve Federal missions and continue to receive most of their annual research revenue from Federal sources. The limited competition may be for reasons of stewardship, agency mission constraints, or retention of unique technical capabilities (e.g., funding set aside for researchers at laboratories or centers of DOD, NASA, Environmental Protection Agency, and National Oceanic and Atmospheric Administration; intramural programs at NIH; Federally-Funded Research and Development Centers; formula funds for the U.S. Department of Agriculture).

Merit-reviewed research with competitive selection and internal (program) evaluation

Intramural and extramural research programs where funded activities are competitively awarded following review for scientific or technical merit. The review is conducted by the program manager or other qualified individuals from within the agency program, without additional independent evaluation (e.g., DOD's merit-reviewed research; NSF's small grants for exploratory research).

Merit-reviewed research with competitive selection and external (peer) evaluation

Intramural and extramural research programs where funded activities are competitively awarded following review by a set of external scientific or technical reviewers (often called peers) for merit. The review is conducted by appropriately qualified scientists, engineers, or other technically-qualified individuals who are apart from the people or groups making the award decisions, and serves to inform the program manager or other qualified individual who makes the award (e.g., NSF's single-investigator research; NASA's research and analysis funds).

EXHIBIT:

Part 1: Updated Estimates of Research Character Classes (PY and CY only)							
RESPONSE TO REQUEST FOR DATA ON RESEARCH CHARACTER CLASSES							
BUDGET AUTHORITY, IN MILLIONS OF DOLLARS							
Agency	Bureau	2003 Actual			2004 Estimate		
		Basic Research	Applied Research	RESEARCH TOTAL	Basic Research	Applied Research	RESEARCH TOTAL
HHS	Food and Drug Administration	0	130	130	0	147	147
HHS	Health Resources and Services Administration	3	10	13	3	10	13
HHS	Centers for Disease Control and Prevention	0	521	521	0	521	521
HHS	National Institutes of Health	14,301	11,284	25,585	14,980	11,892	26,872
HHS	Agency for Healthcare Research and Quality	0	0	0	0	0	0
HHS	Centers for Medicare and Medicaid Services	0	28	28	0	64	64
HHS	Administration for Children and Families	0	52	52	0	52	52
HHS	Administration on Aging	0	0	0	0	0	0
HHS	Departmental Management	0	127	127	0	134	134
	HHS TOTAL	14,304	12,152	26,456	14,983	12,820	27,803
Notes: Data on development and R&D equipment and facilities not required at this time.							
Agencies may report on all individual bureaus, at their discretion.							

Part 2: Allocation of Research Expenditures (PY and CY only)

RESPONSE TO BUDGET REQUEST FOR ALLOCATION OF RESEARCH SPENDING							
BUDGET AUTHORITY, IN MILLIONS OF DOLLARS.							
Agency	Bureau	Congressional Direction	Inherently Unique	Limited Competition	Competition, Internal Merit Review	Competition, External Merit Review	RESEARCH TOTAL
2003 Actual							
HHS	Food and Drug Administration	2	104	2	1	21	130
HHS	Health Resources and Services Administration	3	0	0	0	10	13
HHS	Centers for Disease Control and Prevention	12	97	142	190	80	521
HHS	National Institutes of Health	0	0	4,433	0	21,152	25585
HHS	Agency for Healthcare Research and Quality	0	0	0	0	0	0
HHS	Centers for Medicare and Medicaid Services	25	0	0	0	3	28
HHS	Administration for Children and Families	0	0	2	43	7	52
HHS	Administration on Aging	0	0	0	0	0	0
HHS	Departmental Management	127	0	0	0	0	127
	HHS TOTAL 2003	169	201	4,579	234	21,273	26,456
2004 Estimate							
HHS	Food and Drug Administration	2	118	2	1	24	147
HHS	Health Resources and Services Administration	3	0	0	0	10	13
HHS	Centers for Disease Control and Prevention	12	97	142	190	80	521
HHS	National Institutes of Health	0	0	4,640	0	22,232	26872
HHS	Agency for Healthcare Research and Quality	0	0	0	0	0	0
HHS	Centers for Medicare and Medicaid Services	51	0	0	0	13	64
HHS	Administration for Children and Families	0	0	2	43	7	52
HHS	Administration on Aging	0	0	0	0	0	0
HHS	Departmental Management	134	0	0	0	0	134
	HHS TOTAL 2003	202	215	4,786	234	22,366	27,803