

## Attachment 2a

### National Institutes of Health A Process Evaluation of the NIH Director's New Innovator Award (NIA) Program

#### Survey Instrument—NIA

Public reporting burden for this collection of information is estimated to average 15 minutes per respondent, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-xxxx). Do not return the completed form to this address.

*General Survey for Applicants (including Awardees)*

Welcome to the NIA Candidate Survey. There are seven to nine sections in the survey. Please provide responses to the following questions to the best of your ability. You may choose not to answer specific questions and it will not affect your ability to submit the survey.

After completing a set of questions, please click "next" to view the next set of questions. If you would like to go back and change a response, you can use the "back" button on the survey or the pull-down menu at the bottom of the page. Please do not use your browser's navigation buttons.

If you would like to save and come back to the survey, click the "save" button at the bottom of any page. The survey should take approximately 15 minutes to complete. Please consult the NIA website to review the Request for Applications (RFA), criteria, or processes: <http://nihroadmap.nih.gov/newinnovator/>

Please note that participation in this survey is entirely voluntary. Your decision to participate will have no effect on your current or future NIH funding status.

Your responses will be kept strictly confidential: If you choose to participate, respondent confidentiality will be protected to the extent provided by law, and STPI will report only aggregate information concerning overall impressions of the process to the NIH.

Additionally, you may click on underlined words in the survey, which are hyperlinked to the appropriate document. To begin the survey, scroll down and click "next."

**New Investigator Award Applicant Survey [2007] and [2008]**  
**[A] The Application Process - Page 2**

Why did you apply to the NIA program?

{Choose all that apply}

- The NIA is just another source of funding
- A colleague recommended I apply to the NIA program
- The NIA focused on funding innovative projects
- The NIA focused on funding creative young investigators
- The NIA is a prestigious award
- The NIA application did not require preliminary data
- Other [                                  ]

Was the 200X NIA RFA ( ) clear in describing the kind of person (e.g. "exceptionally creative") or the kind of idea (e.g. "highly innovative") the program seeks to fund?

{Choose one}

- Completely clear
- Somewhat clear
- Somewhat unclear
- Completely unclear

*(If somewhat clear, somewhat unclear, or completely clear)* What aspects were unclear?

{Enter answer in paragraph form}

[

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As part of the application process, you were asked to classify your research into one of ten areas:

1. behavioral and social sciences
2. clinical and translational research
3. instrumentation and engineering
4. molecular biology
5. cellular biology
6. chemical biology
7. pathogenesis
8. epidemiology

- 9. physiological and integrative systems
- 10. quantitative and computational biology

Were these ten areas adequate to choose from?

{Choose one}

- Yes
- No

What did you think of these areas? Should other areas be offered in future rounds? Which ones?

{Enter answer in paragraph form}

[

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Although you were asked to classify your research into one of ten areas, which of the following research areas are actually involved in your most recent NIA-proposed research?

{Choose all that apply}

- Behavioral and social sciences
- Clinical and translational research
- Instrumentation and engineering
- Molecular biology
- Cellular biology
- Chemical biology
- Pathogenesis
- Epidemiology
- Physiological and integrative systems
- Quantitative and computational biology

### [A] The Application Process (continued) - Page 3

What preliminary work did you do for your NIA proposal prior to submitting the application?

{Choose all that apply}

- I developed a detailed research plan
- I collected preliminary data for my research idea
- I collaborated with other researchers on collecting preliminary data

- I received feedback from other researchers on my research plan/research idea
- I received feedback from other researchers on my actual application package
- None of the above
- Other

*(If they collected preliminary data)* Approximately how long did you spend on collecting preliminary data?

{Enter answer in paragraph form}

[

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{Choose one}

- Hours
- Weeks
- Months

Approximately how long did you spend on the NIA idea and application?

Idea (Amount of time from conception of idea through its development and finally application to the NIA)

{Enter answer in paragraph form}

[

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{Choose one}

- Hours
- Weeks
- Months

Application (i.e. actual writing of the research proposal, filling out application packet)

{Enter answer in paragraph form}

[

- ]  
{Choose one}  
 Hours  
 Weeks  
 Months

Do you believe that you were given an adequate opportunity to display your qualifications in the application?

- {Choose one}  
 Yes  
 Somewhat  
 No

Please comment on which additional information you would have liked to provide, or if any information you provided seemed unnecessary.

{Enter answer in paragraph form}

[

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Did you have any difficulties with the electronic submission forms during the application phase?

- {Choose one}  
 Yes  
 No  
 Somebody else primarily worked with the electronic submission forms for me

*(If yes)* Please describe your difficulties:

{Enter answer in paragraph form}

[

OMB# 0925-xxxx  
Exp: xx/xx/xx

]

[B] R01/R01-Equivalent Application in Same FY - Page 4 (To all applicants and awardees that submitted a proposal for an R01 or R01-equivalent grant within the same fiscal year as the NIA proposal)

Our records indicate that you submitted a proposal for an R01 (or R01-equivalent) grant within the same fiscal year as the NIA proposal. How similar was the idea you submitted for that grant to the idea submitted in your NIA application?

{Choose one}

- I submitted the same idea to both programs
- I made minor changes to my idea
- I made substantial changes to my idea
- I submitted a completely different idea

*(If submitted the same or similar idea)* Did you present the idea differently in the R01 or R01 equivalent grant application?

{Choose one}

- Yes
- No

*(If yes)* How was the idea presented differently in the R01 or R01-equivalent grant application?

{Choose all that apply}

- I presented preliminary data as part of the R01 or R01-equivalent grant application
- I presented the idea more conservatively in the R01 or R01-equivalent grant application
- I emphasized different elements of the research project
- Other [                                  ]

[C] Proposed NIA Project - Page 5

**(To all applicants and awardees that applied in FY08 and FY07)**

Our records indicate that you have applied previously to NIA. How did the idea proposed in 2008 differ from your application in 2007?

{Choose one}

- In 2008, I submitted a completely different idea than in 2007
- In 2008, I made substantial changes to the basic idea I proposed in 2007
- In 2008, I made minor changes to the basic idea I proposed in 2007
- In 2008, I submitted preliminary data to support the idea I proposed in 2007
- In 2008, I submitted the same basic idea and the same data, but other facets of my application differed
- Other [                          ]

**(To all FY07 applicants and awardees)** To what extent was the reviewer feedback on your 2007 application useful?

{Choose one}

- To a large extent
- To a moderate extent
- To a small extent
- Not at all useful because [                          ]

**(To all applicants and awardees that applied in FY08 and FY07 if at all useful)** In 2008, to what degree did you use the reviewer feedback provided on your 2007 application?

{Choose one}

- Used extensively
- Used a little
- Took into consideration
- Did not use at all



[C] Proposed NIA Project (continued) - Page 6

In your opinion, what is the likelihood that your NIA-proposed research would have been supported by any other funding sources (including NIH awards and others)?

{Choose one}

- Very likely
- Somewhat likely
- Somewhat unlikely
- Very unlikely

Why do you think your NIA-proposed research could or could not have been supported by other funding sources (NIH and beyond)?

{Enter answer in paragraph form}

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Was the research in your proposed NIA project a significant departure from your previous research directions?

{Choose one}

- Yes
- No

In what way(s) did your proposed NIA project differ from your previous research directions?

{Enter answer in paragraph form}

[

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Please indicate which of the following statements (if any) are true for the ideas you proposed to NIA in 200X:

{Choose all that apply}

- One or more of the fundamental ideas underlying my proposed research were at odds

with prevailing wisdom

- My proposed research required use of equipment or techniques that have not been proven or are extraordinarily difficult
- My proposed research required knowledge of fields beyond my previously demonstrated area of expertise
- My research involved a novel combination of perspectives, disciplines, or approaches
- None of these statements is true of my proposed research

Please indicate which of the following potential outcomes of scientific research apply to your proposed NIA idea in 200X:

{Choose all that apply}

- My proposed research could result in the formulation of a novel idea (or set of ideas) that could instigate a new cognitive frame or advance theories to a new level of sophistication.
- My proposed research could result in the discovery of new empirical phenomena that could stimulate the generation of new theories.
- My proposed research could result in the development of a new methodology, enabling empirical testing of theoretical problems.
- My proposed research could result in the invention of novel instruments that could instigate new search perspectives and research domains.
- My proposed research could result in new integration of formerly disparate ideas into general theoretical laws enabling analyses of diverse phenomena within a common cognitive frame.
- None of these statements is a potential result of my proposed research.

[D] Background/Funding Sources - Page 7

Please provide a rough estimate of the percentage of your total research funding (excluding in kind or indirect support) over the five years prior to your latest application submission for the NIA represented by each source below:

{Select the cell for the approximate percent of your total research funding.}

National Institutes of Health (NIH)

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

Other US Government Sources

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

Foundations (e.g. Howard Hughes Medical Institute, Ford Foundation, etc.)

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

Non-profit institutions (e.g. American Cancer Society, scientific societies such as Society for Developmental Biology)

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

Seed or start-up funds from your own institution

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

**For-profit companies**

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

**Other (Please list sources below)**

{Choose one}

- 0
- 1-24%
- 25-49%
- 50-74%
- 75-100%

**Please list OTHER sources:**

{Enter answer in paragraph form}

[

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**Please list any significant IN KIND support/resources and its source:**

{Enter answer in paragraph form}

[

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[E] Activities Since NIA Application Submission - Page 8

To what extent did applying to the NIA program significantly change your future research direction(s)?

{Choose one}

- Completely
- To a large extent
- To some extent
- Not at all

In what way has your research changed?

{Enter answer in paragraph form}

[

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Which of the following have occurred since the time you applied to the NIA program?

{Choose all that apply}

- I have started new collaborations with other scientists
- I have expanded my research group
- I have changed institutions
- I have received a promotion (to a non-tenured position)
- I have received tenure
- I have received an award
- I am pursuing a new research area or approach
- Other [                                                 ]

[E] Activities Since NIA Application Submission (continued) - Page 9 (Only to applicants)

Despite not receiving the New Innovator Award, were you able to conduct the research proposed in your NIA application?

{Choose one}

Yes

No

*(If yes)* How was the work supported?

{Enter answer in paragraph form}

[

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Do you plan to reapply for an NIA in future years?

{Choose one}

Yes

No, I am no longer eligible

No because [ ]

In future years, to what extent will you make changes to the basic idea you proposed in FY 200X?

{Choose one}

I will submit a completely different idea

I will make substantial changes to the basic idea I proposed

I will make minor changes to the basic idea I proposed

The basic idea I proposed will remain the same

I will submit preliminary data to support my idea

Other [ ]

[F] Your Impressions about the Criteria for Selecting Awardees - Page 10

*(For awardees only)* How many of the (30 for 2007, 31 for 2008) awarded projects (<http://nihroadmap.nih.gov/newinnovator/Recipients08.asp>, <http://nihroadmap.nih.gov/newinnovator/Recipients07.asp>) do you believe are "highly innovative"?

{Choose one}

- 0 to 25% (0-8 projects)
- 26% to 50% (9-15 projects)
- 51% to 75% (16-23 projects)
- 76% to 100% (24-30 projects) {2007} or (24-31 projects) {2008}

*(For awardees only)* Approximately how many of the (30 for 2007, 31 for 2008) awarded projects do you think could have been funded by more traditional funding sources such R01?

{Choose one}

- 0 to 25% (0-8 projects)
- 26% to 50% (9-15 projects)
- 51% to 75% (16-23 projects)
- 76% to 100% (24-30 projects) {2007} or (24-31 projects) {2008}

*(For awardees only)* What are your judgments of the awardees based on?

{Choose all that apply}

- Abstracts
- Published papers
- NDPA Symposium
- Other conferences/talks/lectures
- Personal interactions/experience
- Other [ \_\_\_\_\_ ]

In your opinion, what are markers or characteristics of exceptionally creative individuals? Please give examples.

{Enter answer in paragraph form}

[

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In your opinion, what are the characteristics of highly innovative

research? Please give examples.

{Enter answer in paragraph form}

[

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In your opinion, what characteristics must research possess for it to have the potential for major impact? Please give examples.

{Enter answer in paragraph form}

[

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[G] Overall Assessment - Page 11

Overall, how satisfied were you with your experience with the NIA program?

{Choose one}

- Satisfied
- Somewhat satisfied
- Somewhat dissatisfied
- Dissatisfied

How would you improve the RFA or the selection criteria in it?

{Enter answer in paragraph form}

[

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Please provide any additional comments or feedback related to the NIH Director's New Innovator Award.

{Enter answer in paragraph form}

[

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[H] Demographic Information - Page 12

**Gender**

{Choose one}

- Male
- Female

**Ethnicity**

{Choose one}

- Hispanic or Latino
- Not Hispanic or Latino

**Race (Please mark all that apply)**

{Choose all that apply}

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or other Pacific Islander
- White

**Age (Please select a range)**

{Choose one}

- Under 20
- 20-24
- 25-29
- 30-34
- 35-39
- 40-44
- 45-49
- 50-54
- 55-59
- 60-64
- 65+

**Completed tertiary degrees**

{Choose all that apply}

- MD, Year [ ]
- PHD (or equivalent) , Year [ ]
- RN, Year [ ]
- VMD, Year [ ]
- VDOT, Year [ ]
- DVM, Year [ ]
- DOTH, Year [ ]

- DMD, Year [ ]
- DDS, Year [ ]
- Other, Year [ ]

Did you complete a fellowship or residency?

{Choose one}

- Yes, in year [ ]
- No

Thank you for completing the 2009 NIA Survey.

Please click "finish" below to submit your responses.

If you have any additional questions or comments, please feel free to email us at [cskang@ida.org](mailto:cskang@ida.org).