

2011 Fact Book

The information set forth in this publication is compiled and amended annually by the budget and finance staff of the National Cancer Institute and is intended primarily for the use by members of the Institute and others involved in the administration and management of the National Cancer Program. It is available online at <http://www.cancer.gov>. Questions regarding any of the information contained herein may be directed to the Office of Budget and Finance, National Cancer Institute, 9000 Rockville Pike, Bethesda, Maryland, 20892

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Executive Summary

Fiscal Year 2011 Annual Report

BUDGET IN REVIEW

This report provides a summary of the distribution of the Fiscal Year 2011 budget among the various National Cancer Institute (NCI) research programs and funding mechanisms, funding policies influencing grant awards, and comparisons with prior year allocations. Additional information on the NCI budget is accessible from the NCI Home Page (<http://www.cancer.gov>).

Summary

Funds available to the NCI in FY 2011 totaled over \$5.058 billion, reflecting an decrease of -0.8% and -\$40 million from the previous fiscal year.

Fiscal highlights from FY 2011 include:

- Of the total NCI budget, 43% of the funds were allocated for Research Project Grants (RPGs).
- The total number of RPGs funded was 5,019 (includes SBIR).
- Almost one-fourth of the RPGs awarded were new (Type 1) or competing renewal (Type 2) awards.
- 1,106 competing RPGs were funded.
- One-third of the total NCI budget supported ongoing non-competing (Type 5) RPGs.
- R01 grants were funded to the 7th percentile.
- 144 grants – totaling over \$84 million – were funded as Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards.
- Intramural Research comprised about 16% of the total NCI budget in FY 2011. Of this amount, 10% was for Labs and Bench Research and the remaining 6% was for infrastructure and support.

NCI Dollars by Mechanism for FY 2010 and 2011
(in thousands)

	2010	2011	Change '10 to '11	
			Am't	%
Research Project Grants:				
Noncompeting	1,536,844	1,631,514	94,670	6.2%
Admin Supplements	28,947	23,619	-5,328	-18.4%
Competing	516,598	424,494	-92,104	-17.8%
Subtotal, RPG	2,082,389	2,079,627	-2,762	-0.1%
SBIR/STTR	85,669	84,054	-1,615	-1.9%
Total, RPG	2,168,058	2,163,681	-4,377	-0.2%
Cancer Centers	295,856	278,345	-17,511	-5.9%
SPOREs	133,810	121,868	-11,942	-8.9%
Other P50s/P20s	38,765	35,172	-3,593	-9.3%
Other Specialized Centers	142,702	162,652	19,950	14.0%
Total: Centers, Spec Ctrs, & SPOREs	611,133	598,037	-13,096	-2.1%
Research Career Program	74,914	73,615	-1,299	-1.7%
Cancer Education	35,444	32,590	-2,854	-8.1%
Clinical Cooperative Groups	254,487	243,880	-10,607	-4.2%
Other Grants	77,768	75,546	-2,222	-2.9%
Subtotal, Other	442,613	425,631	-16,982	-3.8%
Total, Research Grants	3,221,804	3,187,349	-34,455	-1.1%
National Research Service Awards	67,564	67,654	90	0.1%
R&D Contracts	613,762	587,035	-26,727	-4.4%
Intramural Research	805,332	833,670	28,338	3.5%
Research Management & Support	381,765	374,477	-7,288	-1.9%
Construction	-	-	-	0.0%
Buildings and Facilities	7,920	7,920	-	0.0%
Total, NCI	5,098,147 *	5,058,105 **	-40,042	-0.8%
AIDS research included above	[272,130]	[269,953]	-2,177	-0.8%

*Cancer Prevention and Control was eliminated as a Budget Mechanism in FY09.

**EXCLUDES projects awarded with Stamp Out Breast Cancer funds.

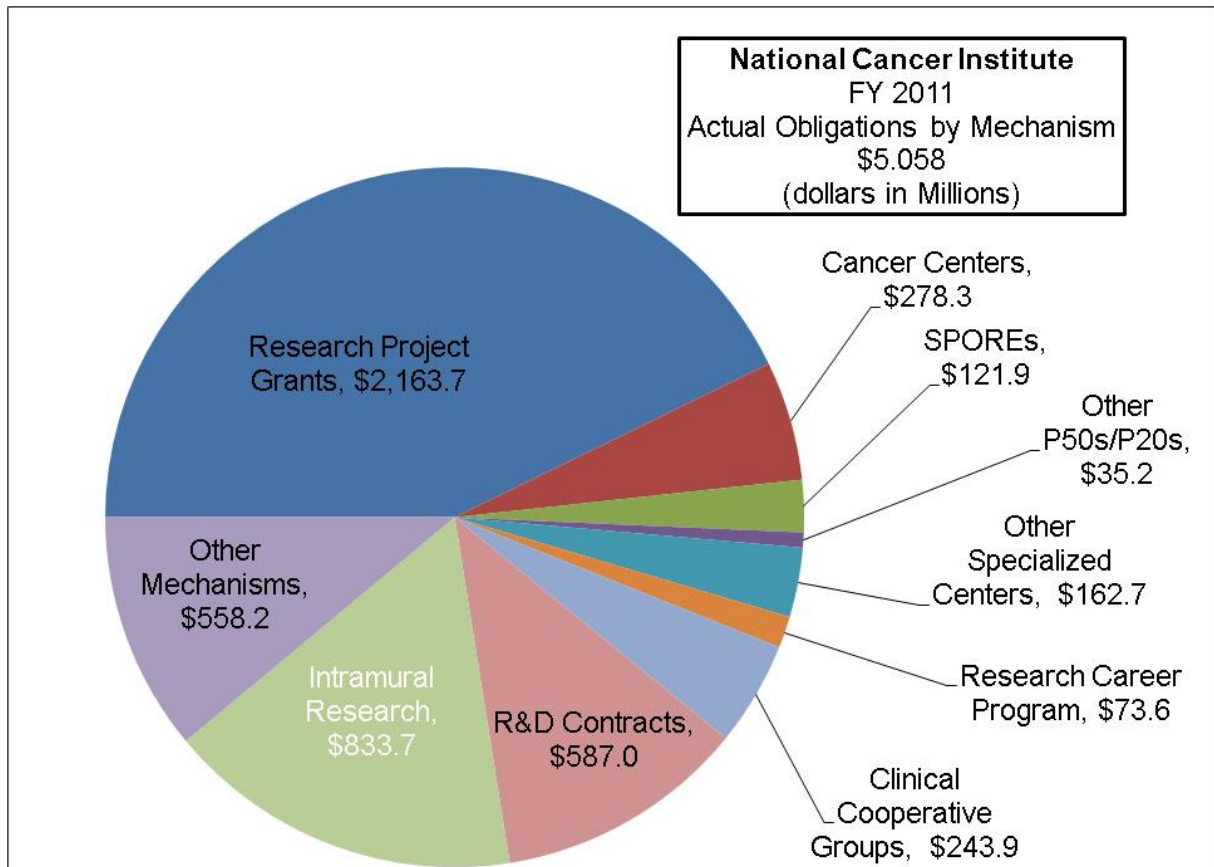
Percent Share of Total NCI Dollars

Summary Points

- The mechanism shares of the total budget have remained relatively stable from FY 2007 to FY 2011, taking into account the elimination of Cancer Prevention and Control as a budget mechanism in FY 2009

Percent Share of Total NCI Dollars					
	2007	2008	2009	2010	2011
Research Project Grants	44.1%	43.3%	43.0%	42.5%	42.8%
Cancer Centers	5.7%	5.7%	5.8%	5.8%	5.5%
SPOREs	2.6%	2.6%	2.6%	2.6%	2.4%
Specialized Centers	1.6%	1.6%	2.3%	2.8%	3.2%
Other P50s/P20s	-	-	0.6%	0.8%	0.7%
Clinical Cooperative Groups	3.1%	3.0%	4.7%	5.0%	4.8%
R&D Contracts	8.7%	9.2%	12.3%	12.0%	11.6%
Intramural Research	14.7%	14.9%	15.7%	15.8%	16.5%
Cancer Prevention & Control*	10.4%	9.9%	0.0%	0.0%	0.0%
Other Mechanisms	9.2%	9.9%	13.0%	12.7%	12.5%

*Cancer Prevention and Control Eliminated as a Budget Mechanism in FY09.



Funding Trends

Summary Points

- The NCI budget has increased by \$265.5 million – or 5.5% – since FY 2007.

	Historical Funding Trends				
	(Dollars in Millions)				
	2007	2008	2009	2010	2011
Total NCI	\$4,792.6	\$4,827.6	\$4,967.0	\$5,098.1	\$5,058.1
Research Project Grants	2,111.8	2,089.9	2,134.0	2,168.1	2,163.7
Cancer Centers	273.2	274.5	285.6	295.9	278.3
SPOREs	123.8	123.3	131.4	133.8	121.9
Other P50s/P20s	-	-	28.1	38.8	35.2
Other Specialized Centers	74.7	79.3	116.4	142.7	162.7
Clinical Cooperative Groups	148.2	144.0	234.5	254.5	243.9
R&D Contracts	416.9	444.2	610.1	613.8	587.0
Intramural Research	706.2	718.4	781.4	805.3	833.7
*Cancer Prevention & Control	498.4	471.5	-	-	-
Other Mechanisms	439.4	482.5	645.5	645.4	631.8

	% Growth by Mechanism				
	2007 to 2008	2008 to 2009	2009 to 2010	2010 to 2011	2007 to 2011
Total NCI	0.7%	2.9%	2.6%	-0.8%	5.5%
Research Project Grants	-1.0%	2.1%	1.6%	-0.2%	2.5%
Cancer Centers	0.5%	4.0%	3.6%	-5.9%	1.9%
SPOREs	-0.4%	6.6%	1.8%	-8.9%	-1.6%
Other P50s/P20s	-	-	100.0%	-9.3%	100.0%
Specialized Centers	6.2%	46.8%	22.6%	14.0%	117.7%
Clinical Cooperative Groups	-2.8%	62.8%	8.5%	-4.2%	64.6%
R&D Contracts	6.5%	37.3%	0.6%	-4.4%	40.8%
Intramural Research	1.7%	8.8%	3.1%	3.5%	18.1%
*Cancer Prevention & Control	-5.4%	-100.0%	-	-	-100.0%
Other Mechanisms	9.8%	33.8%	0.0%	-2.1%	43.8%

*Cancer Prevention and Control Eliminated as a Budget Mechanism in FY09.

Research Project Grants

Summary Points

- About half of competing dollars supported grants awarded within the established payline and half supported grants as an exception to the payline.
- RFA funds accounted for 7.6% of FY 2011 competing dollars.
- Research Project Grant applications submitted to NCI increased by approximately 10%.
- A total of 1,106 competing RPG's were funded.

Research Project Grants*				
(Dollars in Thousands)				
	2010		2011	
	No.	Amount	No.	Amount
Total funding for RPGs	5,078	\$2,169,058	5,019	\$2,163,681
SBIR/STTR	207	\$85,669	144	\$84,054
Funding for RPGs without SBIR/STTR Program	4,871	\$2,082,389	4,875	\$2,079,627
Continuation or noncompeting grants funded				
Competing grants funded	1,253	\$516,598	1,106	\$424,494
Administrative Supplements	258	\$29,022	206	\$23,619
Partial assessment for DHHS Program Evaluation		\$75,329		\$75,329
Funds set aside within competing dollars for:				
Grants within Paylines:	1,134	\$468,594	588	\$188,865
Traditional R01	726	\$284,237	338	\$138,517
Program Projects (P01)	26	\$53,174	-	-
RFA Grants	95	\$65,168	68	\$32,131
Share of competing grant funds		12.6%		7.6%
Exception Grants	119	\$48,004	474	\$217,335
Share of competing grant funds		9.3%		51.2%
Competing Application Requests	7,338	\$3,065,725	8,037	\$3,336,074
Funding Success Rate		20.2%		13.8%
Percentile funding for R01 grants		15th		7th
Average Cost-Competing		\$412		\$384
Average Reduction from recommended/requested levels		-17%		-17%

*EXCLUDES projects awarded with Stamp Out Breast Cancer funds.

Grant Funding Paylines

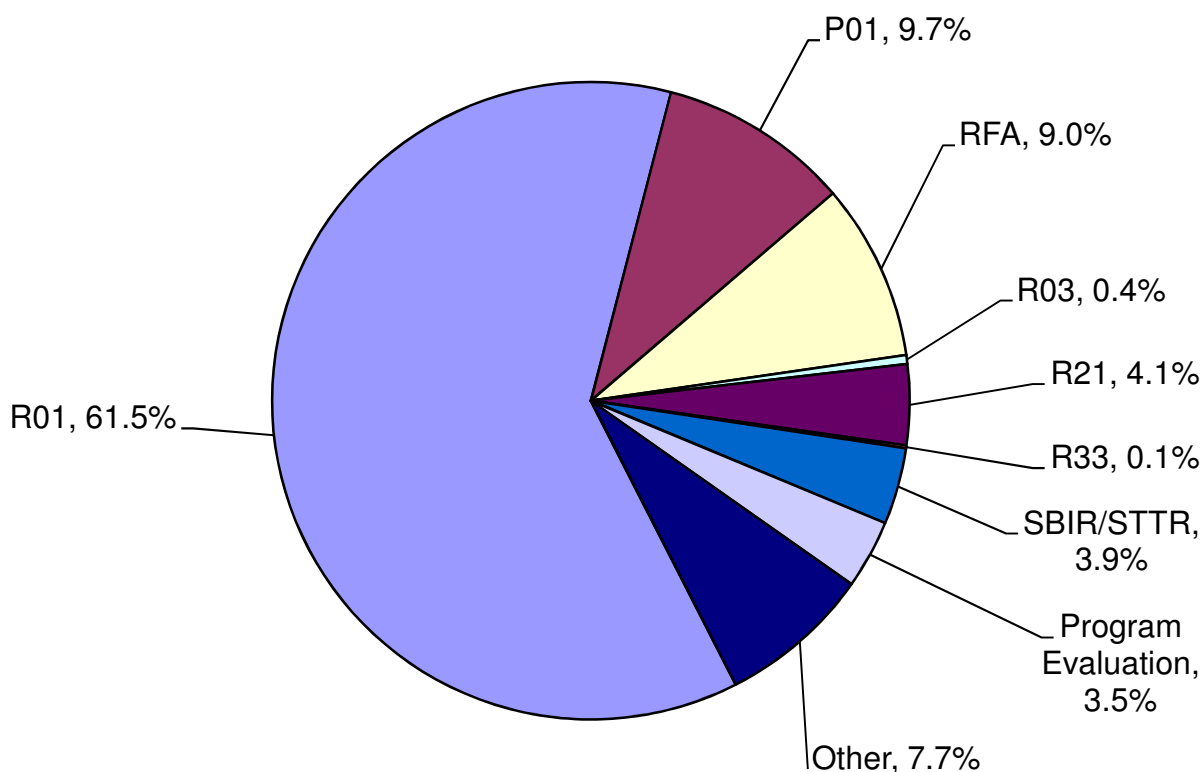
RPG Mechanisms:	2010**	2011	
R01 Traditional Grants	15th	7th	percentile
P01 Program Projects*	N/A	N/A	priority score
R03 Small Grants	30	25	priority score
R21 Exploratory Phase I	15th	7th	percentile
R33 Exploratory Phase II	17	Case by Case	priority score
R41/R42 STTR	29	20	priority score
R43/R44 SBIR	29	24	priority score

* Formal paylines for P01 grants are determined by the Executive Committee

** In FY 2010, NIH instituted a new peer review scoring system resulting in a two digit priority score. More information on the new system is available under "Peer Review Process" online at:

<http://grants.nih.gov/grants/oer.htm>

National Cancer Institute FY 2011 % Share of Total RPG Funds

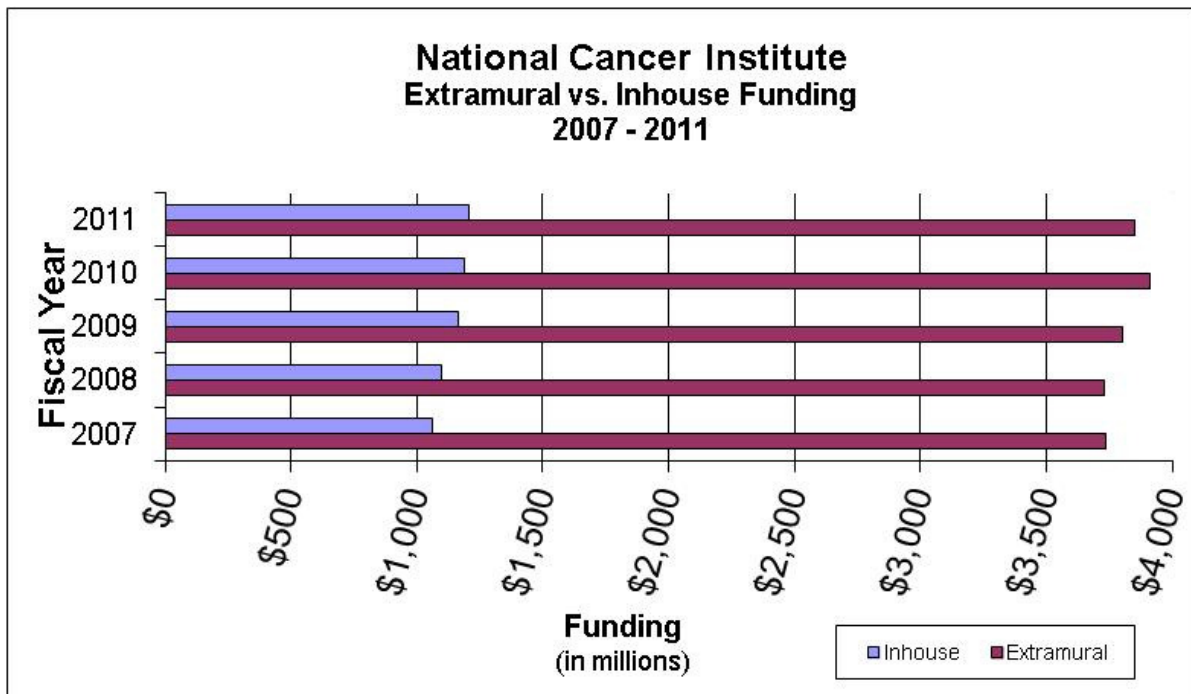


**National Cancer Institute
Extramural vs. Inhouse Funding**
(dollars in millions)

Mechanism	Extramural					
	2007	2008	2009	2010	2011	07 - 11% chg.
Research Project Grants	\$2,111.8	\$2,089.9	\$2,137.0	\$2,168.1	\$2,163.7	2.5%
Cancer Centers	273.2	274.5	285.6	295.9	278.3	1.9%
SPOREs	123.8	123.3	131.4	133.8	121.9	-1.5%
Other P50s/P20s	-	-	28.1	38.8	35.2	100.0%
Other Specialized Centers	74.7	79.3	116.4	142.7	162.7	117.8%
Other Research Grants	322.9	317.8	417.3	442.5	425.5	31.8%
NRSA	68.2	69.9	70.1	67.6	67.7	-0.7%
R&D Contracts	416.9	444.2	610.1	613.8	587.0	40.8%
Cancer Control Grants*	200.1	190.4	-	-	-	-100.0%
Cancer Control Contracts*	133.7	134.8	-	-	-	-100.0%
Construction	-	-	-	-	-	0.0%
Buildings & Facilities	7.9	7.9	7.9	7.9	7.9	0.0%
Total Extramural Funds	3,733.2	3,732.0	3,803.9	3,911.0	3,849.9	3.1%

Mechanism	Inhouse					
	2007	2008	2009	2010	2011	07-11% chg.
Intramural Research	\$706.2	\$718.4	\$781.4	\$805.3	\$833.7	18.1%
RMS	188.7	231.0	384.6	381.8	374.5	98.5%
Control Inhouse*	164.5	146.3	-	-	-	-100.0%
Total Inhouse Funds	1,059.4	1,095.7	1,166.0	1,187.1	1,208.2	14.0%
Total NCI	4,792.6	4,827.7	4,969.9	5,098.1	5,058.1	5.5%

*Cancer Prevention and Control Elimated as a Budget Mechanism in FY09.



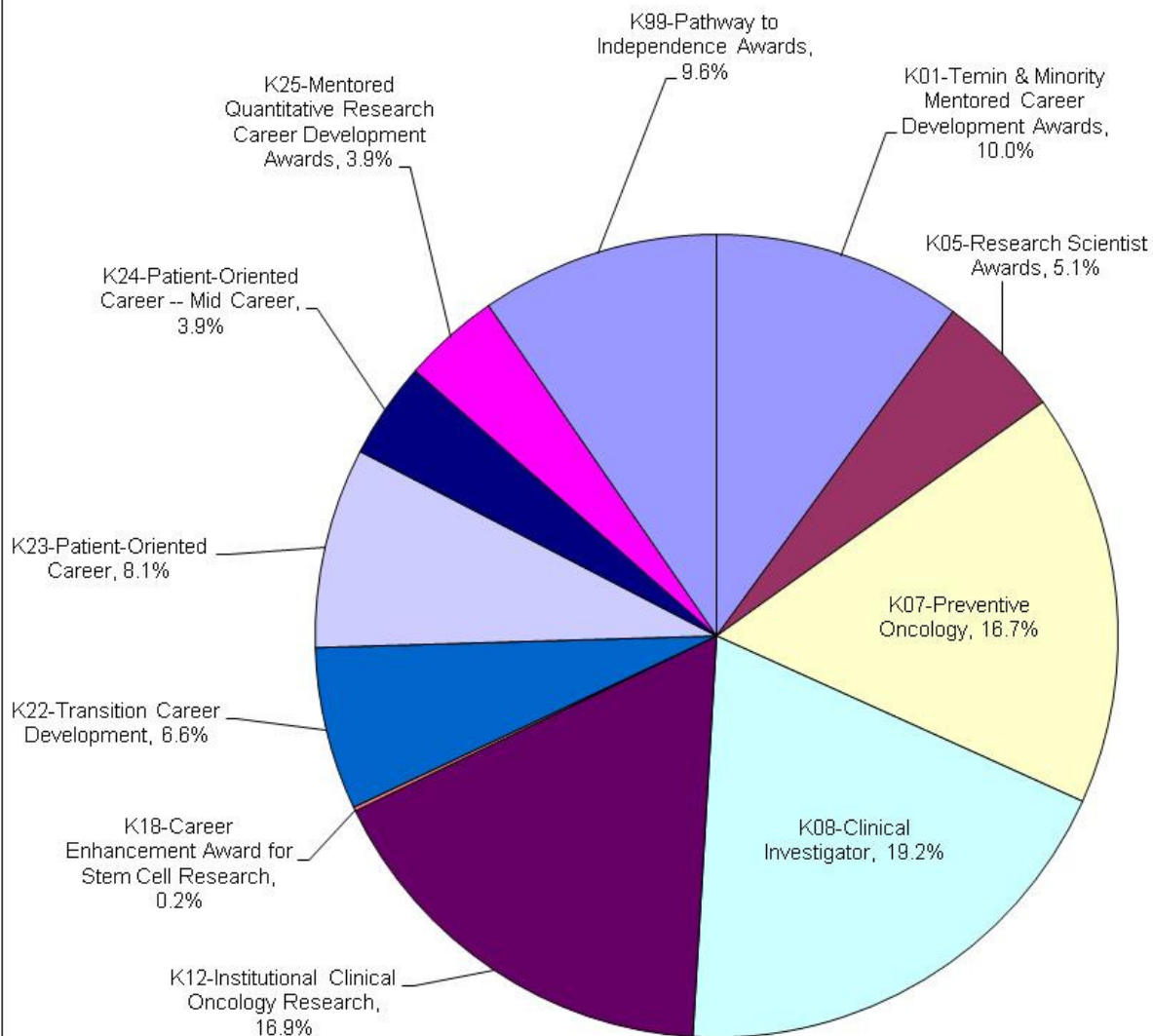
Research Career Awards – “K” Program

Summary Points

- The Research Career Award mechanism decreased by 1.7% in FY 2011.
- The number of Research Career Awards decreased by 14 between FY 2010 and FY 2011.
- NCI funded 56 awards for the NIH Pathway to Independence program.

		(Dollars in Thousands)			
		2010		2011	
		No.	Amount	No.	Amount
K01	Temin Awards	30	\$4,520	8	\$1,110
K01	Minority Mentored Career Development Award	47	6,303	48	6,265
	Subtotal, K01s	77	10,823	56	7,375
K05	Research Scientist Award	21	3,134	25	3,741
K07	Preventive Oncology	97	13,278	88	12,257
K08	Clinical Investigator	83	12,407	91	14,129
K12	Institutional Clinical Oncology Research	18	12,922	18	12,424
K18	Career Enhancement Award for Stem Cell Research	0	0	1	117
K22	Transition Career Development	30	4,963	28	4,827
K23	Patient-Oriented Career	40	5,812	38	5,937
K24	Patient-Oriented Career -- Mid Career	20	3,422	16	2,860
K25	Mentored Quantitative Research Career Development Award	25	3,311	21	2,868
K30	Institutional Curriculum Awards -- Administered by NCRR	0	0	0	0
K99	NIH Pathway to Independence Awards	41	4,842	56	7,080
	Total Research Career Program	452	74,914	438	73,615

**National Cancer Institute
FY 2011
% of Total Research Award Funds**



Research Dollars by Various Cancers

Summary Points

- Funding for various cancers listed below may overlap
- Funding for cancers listed below do not represent the entire NCI budget
- Based on NCI Coding Methodology.

Research Dollars by Various Cancers (Dollars in Millions)					
	2007	2008	2009	2010	2011
Total NCI	\$4,792.6	\$4,827.6	\$4,966.9	\$5,098.1	\$5,058.1
AIDS	253.7	258.5	265.9	272.1	270.0
Brain & Central Nervous System	148.2	153.7	151.5	156.8	172.6
Breast Cancer	572.4	586.8	599.4	631.2	625.1
Cervical Cancer	82.4	76.8	70.8	77.0	81.4
Clinical Trials	843.7	853.2	882.8	852.3	877.8
Colorectal Cancer	258.4	273.7	264.1	270.4	265.1
Head and Neck	66.2	76.1	77.1	62.7	61.8
Hodgkin's Disease	16.5	17.5	18.2	14.6	13.4
Leukemia	205.5	216.4	220.5	239.7	227.0
Liver Cancer	67.7	74.2	69.0	72.6	66.2
Lung Cancer	226.9	247.6	246.7	281.9	296.8
Melanoma	97.7	110.8	103.7	102.3	115.6
Multiple Myeloma	32.3	41.5	45.2	48.5	54.9
Non Hodgkin's Lymphoma	113.0	122.6	131.3	122.4	126.4
Ovarian Cancer	96.9	100.0	110.1	112.3	110.8
Pancreatic Cancer	73.3	87.3	89.6	97.1	99.5
Prostate Cancer	296.1	285.4	285.1	300.5	288.3
Stomach Cancer	12.0	12.4	15.4	14.5	13.4
Uterine Cancer	16.6	17.1	18.0	14.2	15.9

National Cancer Institute

Director's Biography **Harold Varmus, M.D.**

Harold Varmus became Director of the National Cancer Institute on July 12, 2010.

Harold Varmus, co-recipient of the Nobel Prize for studies of the genetic basis of cancer, served 10 years as President of Memorial Sloan-Kettering Cancer Center and six years as Director of the National Institutes of Health. He is a member of the U.S. National Academy of Sciences and the Institute of Medicine and is involved in several initiatives to promote science and health in developing countries. The author of over 350 scientific papers and five books, including a recent memoir titled The Art and Politics of Science, he was a co-chair of President Obama's Council of Advisors on Science and Technology, was a co-founder and Chairman of the Board of the Public Library of Science, and chaired the Scientific Board of the Gates Foundation Grand Challenges in Global Health.

Former Directors of the National Cancer Institute

John E. Niederhuber, M.D.
June 2006 – September 2006 (Acting)
September 2006 – July 2010

John E. Niederhuber, M.D., became Director of the National Cancer Institute (NCI), one of the National Institutes of Health, in September 2006. He joined NCI in a full-time capacity in September 2005, as Deputy Director for Translational and Clinical Sciences, and within a few weeks was asked to serve as Chief Operating Officer. He officially became NCI's Acting Director in June 2006. Dr. Niederhuber has also served as the Chair of the National Cancer Advisory Board, as an external NCI advisor and grant reviewer, and as a laboratory investigator supported by NCI and the NIH.

Andrew C. von Eschenbach, M.D.
January 2002 – September 2005

Andrew C. von Eschenbach, M.D. became the 12th NCI in January 2002. He previously directed the Genitourinary Cancer Center and the Prostate Cancer Research Program at The University of Texas M.D. Anderson Cancer Center and held the Roy M. and Phyllis Gough Huffington Clinical Research Distinguished Chair in Urologic Oncology.

Richard D. Klausner, M.D.
August 1995 – September 2001

Dr. Klausner was appointed as the Director of the NCI on August 1, 1995. From 1984 until 1997 he was Chief of the Cell Biology and Metabolism Branch of the National Institute of Child Health & Human Development.

Samuel Broder, M.D.
December 1988 – March 1995

Dr. Broder joined NCI in 1972 as a Clinical Associate in the Metabolism Branch. In 1981, he became Associate Director for NCI's Clinical Oncology Program.

Vincent T. DeVita, Jr., M.D.
January 1980 – June 1980 (Acting)
July 1980 – August 1988

Dr. DeVita joined NCI in 1963 as a Clinical Associate in the Laboratory of Chemical Pharmacology. He served NCI as head of the Solid Tumor Service, Chief of the Medicine Branch, Director of the Division of Cancer Treatment and Clinical Director prior to his appointment as Director of NCI.

Arthur Canfield Upton, M.D.
July 1977 – December 1979

Prior to his tenure as NCI Director, Dr. Upton served as Dean of the School of Basic Health Sciences at the State University of New York at Stony Brook.

Frank Joseph Rauscher, Jr., Ph.D.
May 1972 – October 1976

Dr. Rauscher served as Scientific Director for Etiology, NCI, prior to his appointment as Director of NCI in 1972.

Carl Gwin Baker, M.D.
November 1969 – July 1970 (Acting)
July 1970 – April 1972

During his tenure with PHS, Dr. Baker served as Scientific Director for Etiology, NCI, and as Acting Director of NCI prior to his appointment as Director in July 1970.

Kenneth Milo Endicott, M.D.
July 1960 – November 1969

Dr. Endicott served as Chief of the Cancer Chemotherapy National Service Center, PHS, and as Associate Director, NIH, prior to being appointed Director of NCI in July 1960.

John Roderick Heller, M.D.
May 1948 – June 1960

Dr. Heller joined PHS in 1934 and became Chief of the Venereal Disease Division prior to his appointment as Director of NCI in 1948.

Former Directors of the National Cancer Institute (continued)

Leonard Andrew Scheele, M.D.
July 1947 – April 1948

Dr. Scheele served in various capacities during his tenure with PHS prior to his appointment as Assistant Chief and, subsequently, Director of NCI in July 1947.

Roscoe Roy Spencer, M.D.
August 1943 – July 1947

Dr. Spencer became NCI's first Assistant Chief and, subsequently, was appointed Director of the Institute in 1943.

Carl Voegtlin, Ph.D.
January 1938 – July 1943

Dr. Voegtlin served as Professor of Pharmacology and Chief of the Division of Pharmacy at the Hygienic Laboratory prior to becoming the first Director of NCI in 1938.

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