

RBHS definition of R01 Equivalents

The purpose of this document is to provide clarification on what qualifies as an NIH R01 equivalent, as related to the RBHS Policies and Guidelines Governing Appointments, Promotions, and Professional Activities of the Faculty (A&P Guidelines); these Guidelines require “sustained and substantial peer reviewed extramural support” for promotion on the tenure track and award of tenure. Note that for schools/units following the AAUP-AFT guidelines, which provides for a shorter tenure-track period than that in the AAUP-BHSNJ Guidelines, the length of the pre-tenure period will be taken into account in assessing productivity of the faculty member.

Importantly, this document is not meant to be all-inclusive of every possible grant mechanism that may be considered, but rather to provide guidance as to examples of types of grants that will be considered as R01 equivalents.

It is important to recognize that evaluation for tenure track promotion and/or tenure will continue to involve a holistic approach. In particular: “Faculty on the Tenure Track are expected to distinguish themselves as leaders in their fields, becoming recognized for their scholarship in the scientific community commensurate with the point in their career trajectory. They are expected to demonstrate that recognition by a variety of mechanisms, including high impact publications, substantial and sustained peer reviewed support, officer positions in societies, memberships in honorary societies and editorial boards, and external invited research presentations. They are expected to develop national and/or international reputations attested to by external letters from referees at the rank or higher for which the faculty member is being considered or equivalent . . . In addition to distinguished scholarly accomplishments, candidates’ records in teaching, health care delivery (where appropriate), and service will be considered in the decision to award promotion and tenure...” (From the RBHS Policies and Guidelines Governing Appointments, Promotions and Professional Activities of the Faculty, 10/31/20, p. 6.)

Having received two or more R01s or their equivalents are a means of demonstrating “sustained peer reviewed support,” and is typically necessary but not sufficient for receipt of tenure.

Below are definitions from NIH websites that set the stage for the RBHS working definition of R01 equivalents:

a. “The Research Project (R01) grant is an award made to support a discrete, specified, circumscribed project to be performed by the named investigator(s) in an area representing the investigator's specific interest and competencies”

(<https://grants.nih.gov/grants/funding/r01.htm>)

b. The NIH definition of R01-equivalent grants includes ‘NIH expanded the R01-equivalent grant definition to include the DP1, DP2, DP5, R01, R37, R56, RF1, RL1, U01 and selected R35 activity

codes.' (<https://nexus.od.nih.gov/all/2019/03/13/nih-annual-snapshot-fy-2018-by-the-numbers/>)

c. Historically, the average length of an NIH R01 is 4.3 years (<https://nexus.od.nih.gov/all/2013/11/07/how-long-is-an-r01/>), so as below, we will use 3 years to accommodate many research foundation competitive investigator-initiated research grants. The NIH also indicates that R01s are typically awarded for 3-5 years (https://grants.nih.gov/grants/funding/funding_program.htm)

At RBHS, other grants can also qualify as R01 equivalents if they are research grants, investigator-initiated, and awarded after a rigorous peer review process similar to that for an R01. In addition, they need to:

- 1) Have 3 years minimum funding and are rigorously peer-reviewed. All of the grant types that NIH considers as R01 equivalent (listed above) qualify, with one exception being the R56, which is typically a bridging grant for 1-2 years. In addition, an NIH R00, given these criteria, also counts as an R01 equivalent given that it is a rigorous peer-reviewed and investigator-initiated funding mechanism. PIs of a project within a federal peer reviewed mechanism that contains multiple independent projects (e.g., P01 or U01) also can qualify as an R01 equivalent. Other NIH mechanisms that also qualify as R01 equivalent include '2+2 years' (four years total) mechanisms such as an R21-to-R33 transition.
- 2) Grants from other Federal Funding agencies shall also qualify as R01 equivalents if they meet the criteria above and are for \$100,000/year or more as direct costs. Such grants include, **but are not limited to**, some mechanisms from the CDC, NSF, AHRQ, NASA, DARPA, Department of Energy, PCORI, Veterans Administration Merit Awards, and Dept. of Defense Congressionally Directed Medical Research Programs.
- 3) Grants from non-federal funding agencies shall also qualify as R01 equivalents if they meet the criteria above. Many foundations (e.g., AHA, ACS, ADA, CCF, RWJF) award such research grants, some of which are highly competitive and peer-reviewed, so these grants can count as R01 equivalents if they meet these criteria. These same foundations award many types of grants; however, many of them may not meet the above criteria to be considered as R01 equivalents.
- 4) R01-equivalent grants need to be non-career-development type. Therefore, K-type grants, albeit very important to have from the career development perspective, are not considered R01-equivalent nor are foundation career development awards. Likewise, R21 grants, which are developmental/exploratory grants that can be useful for establishing new lines of research and lead to longer funding mechanisms, are not R01-equivalent. However, two R21 grants may be used to replace an R01 equivalent but the two R01 equivalents cannot be represented by four R21s.

- 5) The two R01 equivalents can be held simultaneously or in succession; renewal of an R01 also is considered to be two R01 equivalents. At least one of the two R01 equivalents should extend 12 months beyond the date tenure takes effect.
- 6) Multiple-PI R01 grants (MPI) are considered as R01 equivalents. If the R01 equivalency is proposed to be met by two MPI R01s, it is preferable that the faculty member who wants to be considered for tenure serve as contact PI for at least one of the two MPI R01 grants.

Again, this list of R01 equivalents is not intended to be restrictive, but permissive, serving as a set of guidelines. If faculty members have a question of whether a grant mechanism might ultimately qualify as an R01 equivalent, they should consult with their chair and the senior associate dean for academic affairs of their school (or their counterpart), who, in turn, shall consult with the provosts. If a unique grant opportunity arises, leading to the question of whether the grant qualifies as an R01 equivalent, the determination will be made by the Provosts and the Senior Vice Chancellor for Academic Affairs and Research.