Foundations of Scholarly Writing
Session 4

Types of Grants Available
UMN Logistics of Submitting a Grant

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Department of Medicine
Introduction

• Major steps in the proposal development process
• Types of funding
• Roles of team members
• Timeline
Major steps in the proposal development process

• Good, feasible idea
  – Of general interest
• Passion/commitment to completion
• Suitable grant mechanism
• Good team
Good idea

There is no grantsmanship that will turn a bad idea into a good one, but there are many ways to disguise a good idea. N Braverman, NIH

- Based on more than intuition
- Need for preliminary data
- Theory based
- Timely topic
Passion: anticipate a roller coaster

Finding the idea - I'm sure I left one around here somewhere.

The pitch is accepted!
Victory is mine! Glory! Riches!

Interviews and research. Fun fun fun. Things start clicking into place.

Having binged on info, I'm ready to create a plan

EXCELSIOR! Houston, we have narrative! GOOOAAAL! etc.

It's done! (940 words too long but never mind). A strangely uneasy sense of satisfaction sets in

Progress. Sort of...

Oh crap, I'd better actually do something.

Regurgitated a plate of idea spaghetti. I'll never extract a single strand from this. Maybe pissing about on the internet will help

It seems that I've forgotten how to write.

Seriously, I made a plan - why won't the words rearrange themselves?

Oh come on, I finished. What do you mean "changes"?

Pitching the idea, or writing about writing about science.

Enjoyment
Types of grants

• Research
  – Basic science
  – Clinical science
  – Implementation science, health services
  – QI
  – Education

• Curriculum

• Demonstration

• Training

• Equipment

• Fellowships
Types of funding available

• Pilot/seed grants
• Career development/traditional
• Internal/external
• External (=“Sponsored”)
  – National peer-review (NIH, VA, CDC, RWJF, PCORI, DoD, AHRQ, HRSA)
  – Regional peer-review (ACS, ALA)
  – Foundation
  – Business and industry
    • Investigator-initiated
    • Non-investigator-initiated
• Contract
Suitable grant mechanism

• Timing of submission
• Scope
• $ available
• Mission of the sponsor
  – Organization
  – RFA
• Priority areas
• Selection criteria
Start out small and build a track record of success & productivity

• Institutional grants
• Co-investigator roles
• New investigator programs
• Principal investigator
GIM Applications

- NIH
  - NHLBI
  - NCI
  - NICHS
  - National Institute Minority Health
- Subcontracts
  - University of Kansas
  - University of Alabama
  - Rush University Medical Center
  - University of Wisconsin
  - Emory University
  - University of Arkansas
  - University of Michigan
  - Rhode Island Hospital
  - Black Hills Center for American Indian Health
- VA
- Institute for Innovative Technology in Medical Education
- Assoc of American Medical Colleges
- Josiah Macy Jr Foundation
- Arnold P Gold Foundation
- Health Research Inc.
- Cubist Pharmaceuticals
- Pfizer
- Doris Duke Charitable Foundation
- American Heart Association
- American Hear Greater Midwest
- Prevent Cancer Foundation
- North American Quitline Consortium
- Augustana Care Corporation
- Blue Cross Blue Shield of MN
- Clearway MN
- American Institutes for Research
- MN Medical Foundation
Finding a funding source: databases

- Grants.gov (NIH, CHC, AHRQ)
- SPIN (funding alert set-up capability)
- Foundation Directory Online
- COS Pivot
- IRIS (= Grant Forward)
Research Advancement

Search Databases

The University subscribes to several search tools for use by University faculty, staff, and students. Learn how to search databases to identify potential funding sources for your research, artistic, and other scholarly pursuits.

Search Tools

Foundation Directory Online (FDO)
Full-text search capacity for over 80,000 foundations. Access is available for on-site computers at U of M only.

Grants.gov
The online resource for all Federal grants. However, to ensure a thorough search of a specific agencies’ opportunities, it is recommended that you also search that agencies’ web site.

GrantsNet
To find funds for training in the biological sciences and undergraduate science education.

Minnesota Grantmakers Online (MGO)
A database of Minnesota foundations and corporate grantmakers, with information on more than 1,300 funding organizations and 85,000 grants. U of M users will be asked for their x500 user ID and password, then information will be supplied for logging into Minnesota Grantmakers Online. Other resources are available from the Minnesota Council on Foundations.

PIVOT
This searchable database of funding opportunities provides information about external funding opportunities from federal, non-federal, and international sponsors and in all disciplines. In addition to keyword searches, PIVOT offers a tool to design funding alerts that match your expert profile as developed using publications and citations. It is one of the oldest and largest proprietary databases.

ScVal Funding
This online funding intelligence solution supports researchers and administrators in the pre-award stages of the funding process. ScVal offers access to current funding opportunities and award information, allowing users to find the right opportunities, analyze the funding environment, and maximize award chances.

More info: OVPR page:
http://www.research.umn.edu/advance/funding.html#UtVvPLRu63E
# Internal Funding Opportunities

This table lists the internal funding opportunities available at the University of Minnesota.

- For more information on any opportunity click the program title to open the sponsor's website in a new window.
- To jump to a specific month, follow the links right above the table. Opportunities with ongoing deadlines accept applicants year-round while opportunities with multiple deadlines have more than one deadline during each calendar year.
- Each column is sortable; just click on the title to sort by that column.

If you have an internal funding opportunity you'd like to list here, please consult below for internal proposal guidelines and additional information.

<table>
<thead>
<tr>
<th>Sponsor</th>
<th>Title</th>
<th>Max Award</th>
<th>Category</th>
<th>Eligibility</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Engagement, Office of CPE</td>
<td>Outstanding Community Service Awards</td>
<td>See sponsor for details</td>
<td>Community Outreach/Public Engagement</td>
<td>U of M Faculty, Staff, Students</td>
<td>April</td>
</tr>
<tr>
<td>Center for Neurobehavioral Development</td>
<td>Seed Grant</td>
<td>$2,000</td>
<td>Health Sciences</td>
<td>Grad Students/Post-Docs</td>
<td>April</td>
</tr>
<tr>
<td>Digital Technology Center (DTC)</td>
<td>Digital Technology Initiative Seed Grants</td>
<td>$75,000</td>
<td>Digital Technology</td>
<td>U of M Faculty</td>
<td>April</td>
</tr>
<tr>
<td>Global Programs and Strategy Alliance (GPSA)</td>
<td>Award for Global Engagement</td>
<td>See sponsor for details</td>
<td>Global Education and International Programs (INTL)</td>
<td>U of M Faculty, Staff</td>
<td>April</td>
</tr>
<tr>
<td>Office of Information Technology (OIT)</td>
<td>Faculty Fellowship Program</td>
<td>$10,000</td>
<td>Digital Technology</td>
<td>Twin Cities Faculty, P&amp;A</td>
<td>April</td>
</tr>
<tr>
<td>Healthy Food, Healthy Lives Institute (HFHL)</td>
<td>Planning Grant Program</td>
<td>$10,000</td>
<td>Interdisciplinary</td>
<td>U of M Faculty, Staff</td>
<td>April</td>
</tr>
<tr>
<td>Twin Cities Sustainability Committee</td>
<td>Living Laboratory Projects</td>
<td>See sponsor for details</td>
<td>General</td>
<td>U of M Faculty, Staff, Students</td>
<td>April</td>
</tr>
<tr>
<td>Developmental Center for AIDS Research (DCFAR)</td>
<td>Pilot Grant Program</td>
<td>$30,000</td>
<td>Interdisciplinary</td>
<td>U of M Faculty</td>
<td>April</td>
</tr>
<tr>
<td>Academic Health Center (AHC)</td>
<td>AHC Small Grants Program</td>
<td>$30,000</td>
<td>Health Sciences</td>
<td>AHC Faculty</td>
<td>August</td>
</tr>
<tr>
<td>Healthy Food, Healthy Lives Institute (HFHL)</td>
<td>Community-University Partnership Grant</td>
<td>$25,000 - $50,000</td>
<td>Community Outreach/Public Engagement</td>
<td>Community-university collaboratives</td>
<td>August</td>
</tr>
<tr>
<td>Global Programs</td>
<td></td>
<td>$1,000 -</td>
<td>International</td>
<td>U of M Faculty</td>
<td></td>
</tr>
</tbody>
</table>

Important intramural grants

- UMF
- CTSI
  - Research
  - Career development
- Masonic Cancer Center
- Grant-in-Aid (special category for new asst. profs)
- Healthy Food, Healthy Lives Institute
- AHC Seed Grants Program
- MN Population Center
The Josiah Macy Jr. Foundation is dedicated to improving the health of the public by advancing the education and training of health professionals. Our grantmaking is focused primarily in five priority areas:

- Interprofessional Education and Teamwork
- New Curriculum Content
- New Models for Clinical Education
- Career Development in Health Professions Education
- Education for the Care of Underserved Populations

Learn about our grant opportunities and how to apply:
- Board Grants
- President's Grants
- Macy Faculty Scholars

All applications must be completed and submitted online.

You may return to your online application as often as you like, prior to submitting it. Once you have submitted your application online it cannot be reopened.

Grants are made only to tax-exempt institutions or agencies – no grants are made directly to individuals. The Foundation does not consider requests for general undesignated support, endowments, equipment, construction or renovation projects, and capital campaigns.
Which of the following is not a real funding agency?

1. Acumen Foundation
2. Flight Attendant Medical Research Institute
3. Alex’s Lemonade Stand Foundation
4. Ounce of Prevention
5. Do Something
6. Royal Flying Doctors
Composing the team

• Everyone needs a unique job for which they are well-qualified
• Ask yourself:
  – To study this question well, I need an investigator with experience with
    Topic 1...
    Topic 2...
    Topic 3...
  – Consider ‘seniority’
• Sometimes your friends are a lot like you - think multi-disciplinary
Roles of team members

• Principal Investigator
  – Co-principal investigator
• Co-investigator
  – % effort
• Statistician
• Staff
• Consultant(s)
  – Flat fee/not salary
  – Very specific expertise
Scored review criteria

*Be sure you have them all*

Some version of:

- Significance
- Investigators
- Innovation
- Approach
- Environment
The process & timeline

• A good idea
• A good institutional fit
• Specific Aims
• Get reviews/feedback
• Assemble a winning team
• Match the idea to a sponsor
• Read examples of successful past applications
• Read the Guidelines
• Read them again

• Contact the sponsor
• Plan in detail
• Develop the budget from the detailed plan
• Read the Guidelines again with narrative in mind
• Get reviews/feedback
• Be persistent - revise and resubmit
Timeline for proposal development:

*AKA way longer than you think*

<table>
<thead>
<tr>
<th>Planning phase</th>
<th>Writing phase</th>
<th>Submission phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Months before receipt date</td>
<td>Months before receipt date</td>
<td>Months before receipt date</td>
</tr>
<tr>
<td>7</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>5</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>2</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

- **Planning phase**
  - Months before receipt date:
    - 7: Brainstorm, research idea, call program staff
    - 6: Form research team, write Specific Aims, get reviews
  - 5: Outline application structure, delegate, complete first draft
  - 4: Assess feasibility: get statistical support, IRB. sponsor, budget
  - 3: Budget, forms, solicit letters of support
  - 2: Meet institutional deadlines
  - 1: Get external reviews

- **Writing phase**
  - 5: Call AMWM, get reviews of Specific Aims
  - 4: Wendy #2!
  - 3: Wendy #1

- **Submission phase**
  - 2: Line up reviewers
  - 1: Final revisions
  - Wendy #3!
• GET the guidelines

• READ the guidelines

• FOLLOW the guidelines

If the guidelines are not clear, CALL!
The Patient Protection and Affordable Care Act described important characteristics of the type of research PCORI was created to promote.

- These characteristics are reflected in PCORI’s 8 Merit Review Criteria.

**Applicants must respond to each of the 8 criteria** and explain how the proposed research question, study population, analytic methods, and dissemination plan align with the criteria.

**The 8 Merit Review Criteria:**

1. Impact of the Condition
2. Innovation/Potential for Improvement
3. Impact on Healthcare Performance
4. Patient-Centeredness
5. Rigorous Research Methods
6. Inclusiveness of Different Populations
7. Team and Environment
8. Efficient Use of Resources
Patient-Centeredness

High Score
Prostate Cancer Treatment Decision Tool
- Patient understands treatment options and how they relate to his/her preferences for functional outcome, and is comfortable with his/her final treatment decision based on the output of the tool

Low Score
Hemoglobin A1C Levels
- Levels are difficult to relate to outcomes meaningful to patients
SPA Proposal Deadline Calculator

Effective January 30, 2007 Sponsored Projects Administration (SPA) will require principal investigators (PIs) to deliver all Grants.gov proposals to SPA at least five (5) working days prior to the sponsor's official published submission deadline.

- Most sponsors extend their deadlines to the next business day if they originally fall on a weekend. Check with SPA for specific updates.
- All proposals that meet the deadline will be processed first. Those that come in late due to extenuating circumstances with a written explanation will receive priority after those that meet the deadline. All other late submissions will be processed last. SPA staff will do its best to submit tardy proposals but will make no guarantees if there are subsequent errors or system delays.

Enter the sponsor's official published submission deadline and press the Calculate button to calculate the date your proposal will be due at SPA. The deadline calculator will take into account weekend days and official University holidays. Contact SPA at 612-624-6639 if you have additional questions.

Sponsor's Deadline    February    7    2014    Calculate

A sponsor's proposal deadline of Friday, February 7, 2014 means that the completed proposal must be submitted to SPA by 9 AM on Monday, February 3, 2014.
14 Reasons Why Proposals Fail

• Deadline not met
• Guidelines not followed
• Nothing intriguing
• Did not meet priorities
• Not complete
• Appeared beyond capacity of PI
• Poor literature review
• Methodology weak
• Unrealistic budget
• Cost greater than benefit
• Highly partisan
• Poorly written
• Mechanical defects
This is fun work and gratifying. You have to be persistent and thick-skinned.
REVENUE

Gifts
External Sales
Materials
Sponsored Projects
GIFTS

• Managed through U of M Foundation.
• According to the University’s financial policy a gift is “a transfer of money or property made to the University via a recognized foundation that DOES NOT result in direct economic benefit or other tangible compensation to the donor”
• There are no strings attached.
• Examples – grateful patient donations, endowed chairs
External Sales

• Managed through the Budget Office.

• Selling supplies or services to customers outside of the University.

• Example – *You have developed a lab procedure and a colleague wants to send you samples to process.*
Materials

• Managed through SPA (Sponsored Projects Administration).

• A Material Transfer Agreement is required.

• Examples – a cell line, drug, data sets
Sponsored Projects

• An externally funded activity that is governed by specific terms and conditions.

• Not just “grants” – this refers to material transfer agreements, contracts, confidentiality agreements, memorandums of understanding - any legally binding agreement

• Must be processed through SPA.
Who is an Institutional Authorized Signer?

Sponsored Projects Administration (SPA) has been given the authority on the behalf of the Board of Regents to legally commit the institution.

Whenever you receive any paperwork that requires an authorized signature or business official signature, paperwork will be required!
## Who should you contact?

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
<th>Name</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wendy Diedrich</td>
<td>626-4692</td>
<td>Steen Erikson</td>
<td>625-6970</td>
</tr>
<tr>
<td>Gen Med, Renal</td>
<td></td>
<td>HOT</td>
<td></td>
</tr>
<tr>
<td>Lola Blackledge</td>
<td>626-0620</td>
<td>Sandy Kenyon</td>
<td>625-9764</td>
</tr>
<tr>
<td>Endo, GI, ID</td>
<td></td>
<td>Cardiology</td>
<td></td>
</tr>
<tr>
<td>Tracy Brown/</td>
<td>626-3773</td>
<td>TBN</td>
<td></td>
</tr>
<tr>
<td>Funmi Thompson</td>
<td>624-0999</td>
<td>Rheumatology</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Pulmonary</td>
<td></td>
</tr>
</tbody>
</table>
Pre-award Support

what they can do for you

• Oversee the pre-award budgeting & submission process for all grant applications (including Material Transfer Agreements)
  – Assist with budget preparation
  – Prepare all form pages with administrative information
  – Collect biosketches from all collaborators
  – Work with subcontracting institutions (if applicable) to obtain required submission documents
  – Prepare and route the PRF (Proposal Routing Form)
  – Assemble the proposal and submit to SPA
When should I start?

As soon as you’re thinking about thinking about thinking about submitting a grant proposal!
Set up a meeting with your Grant Coordinator to discuss your grant application.

- Go over the instructions and sponsor guidelines
- Internal timeline and deadlines
Timelines and Deadlines

Department of Medicine Grant Deadline Policy:

For full administrative support, the final complete proposal (including the scientific text) must be given to the support staff 2 weeks prior to the SPA deadline.

*Please note that the SPA deadline is BEFORE the sponsor deadline. For grants.gov applications, this is 5 days prior to the sponsor deadline.*
Other internal requirements

Any application that requires a letter or signature from the department chair needs to first be approved by Leslie Kennedy.

“K” awards or other Career Development awards that require a commitment of “protected research time” requires completion of an additional form with approval from the Division Director. This takes a considerable amount of time and should be discussed early on in the process.
Grant/Proposal Components

Administrative pages
Abstract
Budget and budget justification
Biosketches
Scientific text (this includes human or animal subjects descriptions)
Facilities and Resources
Subcontracts
Letters of Support
Budget and Justification

• Budget = what you want to buy

• Justification = why you need it

Direct versus Indirect (F&A) costs
Direct versus Indirect Costs

Direct costs are those costs directly incurred by the project and are allowable and allocable.

Indirect Costs are those costs that cannot be attributed to a specific project, e.g. clerical, general office supplies, space costs, phone, etc.
Indirect (F&A) Costs

The majority of our sponsored projects use the 52% research rate. Industry-sponsored clinical trials are at 26%.

Indirect costs are not the same as fringe benefits.

Any decrease in the amount of indirect costs requires Department Chair, Dean and VP Research approval.
Subcontracts

A subcontract is required if a defined portion of a sponsored project is designed and/or conducted by another entity.

• Will your project have a subcontract?
• Has a colleague at another institution asked you to collaborate on a sponsored project?
Subcontracts continued

- Standard documents required for a subcontract (us or them)
  - Statement of Work
  - Budget and Budget Justification
  - Signed commitment letter to establish a subaward (Authorized institutional signature)
  - Any other forms required by the sponsor (Resources/Facilities)
  - Documentation that the subcontract site is compliant with the updated PHS Financial Conflict of Interest (FCOI) regulations

- If you will be the subcontract on a project, we must follow the standard internal routing and approval process with submission through SPA.
PRF (Proposal Routing Form)

The PRF is an internal form that captures the basic proposal information and is routed electronically to obtain all departmental and collegiate approvals and is REQUIRED for all applications.

Please allow a week to route fully and submit to SPA.

Minimum required documents to route a PRF for signatures:
  Abstract
  Budget and justification
Other Compliance and Regulatory requirements

All PIs are required to complete the following:
• REPA (at proposal)
• FCOI training (by award)
• RCR training (by award)

Other requirements if application include:
• IRB/IACUC training
• CITI training
• IBC training
• others
Post Award issues

- Effort certification – done twice a year
- Rebudgeting
- Carry forward of unexpended funds
- No-cost extensions
Top 5 PI Pitfalls

• Doing it all yourself
• Waiting until the last minute
• Working with another institution and not notifying your grant coordinator
• Cost sharing (effort being contributed with no salary support from the sponsor).
• Working directly with the sponsor and not adding the appropriate indirect costs.
Links

• Department of Medicine Research Administration website. Contact info and templates available.
  http://www.dom.umn.edu/research/research-administration/index.htm

• SPA
  http://www.ospa.umn.edu/
Please contact your grant coordinator, accountant or me directly

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l-kenn@umn.edu