

HEALTH SERVICES AND OUTCOMES RESEARCH INSTITUTE TRANSLATIONAL RESEARCH FUND

OVERVIEW

These policies and procedures describe the Health Services and Outcomes Research (HSOR) Translational Research Fund (TRF) Program. Outlined in the document are the eligibility criteria and instructions on how to complete the application.

POLICY AND PROCEDURES

I. Purpose

The purpose of the TRF program is to support HSOR Faculty research productivity by:

- Shortening path to first funding
- Generating high-quality data to attract collaboration and compete for external funding
- Help junior Faculty and early career investigators establish research reputation
- Fostering interdivisional research collaboration
- Increasing HSOR faculty-initiated research

If the applicant is working closely with a mentor, please indicate how the proposal is sufficiently distinct from the mentor's research, thus increasing the opportunity for independent research funding in the future.

A request for use of these funds for supplementation of an ongoing project will be considered as part of this program, but will receive lower priority than new projects. Documentation of current funding and a statement of progress of the research involving current funding is required for such applications.

II. Available Funding Program

1) Pilot Research Grant:

- a. Up to One-year duration with maximum funding of \$10,000
- b. Number of Pilot Grants funded annually are subject to availability of funds and quality of applications

There will be no Indirect Costs applied to this award. Funding extension will not be permitted, therefore, projects should be completed in less than 12 months.

Funding requests must be justified in the proposal. Funding for less than the maximum amount may be requested.

Investigators may submit more than one TRF proposal in a given year. Preference will be given to:

1. Investigators who have not been previously awarded.
2. Early Career investigators (Assistant Professor level, Instructor, and similar)

Receipt of funds is contingent upon the following:

- a. IRB approval or exemption for projects involving human subjects. Early IRB application is strongly encouraged.
- b. Agreement to furnish research updates/ summary of research at the end of the funding period and/or 6 months from fund distribution. Failure to do so will place a restriction on these researchers as well as their collaborators from future funding.

III. Eligibility

- 1) Applicants must be a full-time Lundquist Institute Investigator.
 - a) Resident and fellow physicians are eligible to apply if they have a faculty mentor who is a Lundquist Investigator (Mentor's name must be included in the application).
 - b) The applicant must be a primary HSOR Institute Within an Institute (IWI) member at the Lundquist Institute.
- 2) Priority will be given to early career Investigators and applicants that will use the funding to improve their application for more substantial funding.

IV. Allowable and Unallowable Expenses

a. Allowable Expenses

- Non-Principal Investigator Personnel Costs, such as Research Assistants (Salary, Fringe Benefits, Stipends)
- Statistical Analysis, including database purchasing
- Subject Costs, including advertising
- General and Laboratory Supplies
- Reagents
- Minor Research Equipment (<\$5,000)
- Testing Costs, including Research Specimen processing
- Conference Support

b. Unallowable Expenses

- Entertainment
- Faculty salary support
- Computers/Laptops
- Dues, Journals, or Books

V. Other Conditions of the Award

1. Re-budgeting between budget categories is allowable.
2. We encourage investigators to apply for extramural funding and to use TRF funds to generate preliminary data. However, there should be only one funding mechanism to support any aim of a research project (i.e., no duplicate awards).
3. All funds not spent at the end of the budget period will revert back to the HSOR Translational Research Fund (TRF) Program.
4. Other investigators outside of HSOR cannot use TRF funds. Funds cannot be used to support a research collaborator outside the Lundquist Institute.
5. All changes in project scope must be reviewed and approved by the HSOR Administrative Committee.
6. All research sponsored by TRF funds shall be performed in accordance with all relevant institutional and federal policies and guidelines.

VI. Application and Review Process

- A. Please use the HSOR Application form. Applications must be received in PDF-format via e-mail to Gilbert Ing-Guzman (gilbert.ing-guzman@lundquist.org) by 5:00 pm on the specified deadline. If the deadline falls on a weekend or holiday, the deadline will be extended to the next business day.

Grant	Deadline	Award Announcement
Pilot Research	March 15	April 5

Application deadlines are subject to change depending on available funds and other circumstances

- B. The HSOR Administrative Committee will review and score each application.

VII. Review and Selection Criteria

The scoring criteria used by reviewers of the Transitional Research Funds applications will be very similar to the NIH scoring method, with some minor modifications as follows:

Impact	Score	Descriptor	Additional Guidelines on Strengths/Weaknesses
High	1	Exceptional	Exceptionally strong with essentially no weaknesses
High	2	Outstanding	Extremely strong with negligible weaknesses
High	3	Excellent	Very strong with only some minor weaknesses
Medium	4	Very Good	Strong but with numerous minor weaknesses
Medium	5	Good	Strong but with at least one moderate weakness
Medium	6	Satisfactory	Some strengths but also some moderate weaknesses
Low	7	Fair	Some strengths but with at least one major weakness
Low	8	Marginal	A few strengths and a few major weaknesses
Low	9	Poor	Very few strengths and numerous major weaknesses

The final score, used for ranking, will be weighted average of each category multiplied by 10 to give scores in the range of 10-90, where 10 is best. Reviewers will focus on the following aspects of the application to judge both the merit and the potential of the proposed research:

1. **Significance:** Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced? What will be the effect of these studies on the concepts or methods that drive this field?
2. **Approach:** Are the conceptual framework, design, methods, and analyses adequately developed, well integrated, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternative tactics? Is the work proposed realistic within the budget and time period, and is there a high likelihood of completion? Has the applicant designed the experiments with appropriate scientific rigor, including appropriate controls, consideration of relevant biological variables (such as gender), and statistical analysis? Is the scientific premise sound?
3. **Innovation:** Does the application utilize novel theoretical concepts, approaches or methodologies, instrumentation, or interventions? For clinical or translational applications, will clinical practice paradigms be potentially transformed by the research?
4. **Investigator:** Is the applicant appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the investigators and other researchers (if any)? If the project is collaborative, do the investigators have complementary and integrated expertise?
5. **Extramural Funding Likelihood:** Would the research lead to a proposal that would have the realistic potential to be funded by an extramural agency with preliminary data developed from the attached proposal?

The normalized average of all reviewer impact/priority scores constitutes the final impact/priority score. The impact/priority scores of 10 to 30 are most likely to be funded; scores between 31 and 45 might be funded; scores greater than 46 are rarely funded. The HSOR Administrative Committee makes the final funding decision, taking into consideration both the numerical score and the ranking. Other issues considered include reasonableness of the budget and amount of funding available to the Principal Investigator.

VIII. Resubmissions

Following an unsuccessful submission, applicants may submit the same idea as a resubmission during the next application cycle. Resubmission applications must adhere to the following criteria:

1. The applicant must have received a summary statement from the review board on the unsuccessful submission, including feedback when applicable.
2. The resubmission must include an introduction summary addressing additions, deletions, and changes to the application from its original submission. This will be the first page on the resubmission application and the summary is limited to one page in length.
3. It is possible to require significant changes to previous submissions.
4. Applicants must address any significant critique from the previous submission in the introduction summary page.
5. Indicate all changes on the resubmission must using Tracked Changes.

IX. Reporting Requirement

The following are required after successful funding is secured:

- 1) A **progress report submitted every 6 months**. Progress towards specific goals set forth in the application, problems that have arisen, and proposed solutions should be detailed. In addition, publications, presentations, abstracts, posters, and grant applications generated from the funded work should be included in the report.

The HSOR Administrative Committee reserves the right to halt or revoke funding in cases where it deems that inadequate progress has occurred or is likely to occur, or if funding was used in an unauthorized fashion. This may adversely affect future request for funding.

The Committee will review all Progress Reports and may elect to provide feedback and offer further guidance to the Principal Investigator.

- 2) A **final Close-Out Report** submitted within 1 month of the termination of the project. This report will present the major findings, detail progress attained, provide a plan for the future (including applications planned for extramural funding agencies), and list productivity (manuscripts, publications, abstracts, presentations, invention disclosures/patents, other IP, etc.). The HSOR Administrative Committee will review all Close-Out Reports and may elect to provide feedback and offer further guidance to the Principal Investigator.

X. Notification of Award

- a. The HSOR Administrative Committee will notify the Applicant in writing if their submission is selected to be awarded. The notification will indicate the amount awarded, the budget period during which expenditures are authorized, any conditions of the award, and instructions on obtaining the funds. Before receiving funds, applicant must obtain final approval from all applicable compliance

committees (e.g., IRB, etc.). These approvals must generally be in place within 90 days of when the awardee receives notification of the award.

- b. The HSOR Administrative Committee will notify applicants in writing if their submission is not selected to be awarded.

XI. Questions

Submit questions regarding the Transitional Research Fund to Gilbert Ing Guzman via email at gilbert.ing-guzman@lundquist.org.