



SPONSORED RESEARCH AND PROGRAM DEVELOPMENT
www.rockefeller.edu/sr-pd/

Grant Writing Basics

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Sponsored Research and Program Development

www.rockefeller.edu/sr-pd

Hospital 128

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Resources for Finding Funding Opportunities

- University Sponsored Research & Program Development (SR-PD)
 - [Your Grants Management Specialist](#)
 - [SR-PD Website](#)
 - SR-PD Emails
- Online resources such as [Community of Science](#) (COS), [InfoEd](#) – SPIN, [Grantsnet](#) and others
- Mentor and peers



Where to Apply

- Federal
 - NIH
 - NSF
 - Department of Defense
 - Other agencies as funding programs are made available
- Foundations
- Industry
- Internal (via Development)



Strategic Resources

- Mentor
- Peers
- RU [SR-PD](#)
 - Forms and format
 - Budget (e.g. personnel effort & costs, indirect costs)
 - [Boilerplates](#)
 - [Your Grants Management Specialist](#)
 - Website
- Sponsor's website
- NIH
 - [RePORT](#)
 - Program Official
 - [Award trends and success rates](#)
 - [Office of Extramural Research](#)



Types of Funding

- Fellowships
- Career Development (ex. NIH K08 and K23; non-NIH)
- Research Grants
 - Small (ex. NIH R03)
 - Exploratory (ex. NIH R21)
 - Individual research grants (ex. NIH R01)
 - Internal Pilot Study grants (ex. CTSA)
 - Collaborative center/program grants
 - Non-NIH sources using similar mechanisms



NIH Career Development Awards

- [K08](#) Mentored Clinical Scientist Research Career Development Award supports supervised research career development experience in the fields of biomedical and behavioral research
- [K23](#) Mentored Patient-Oriented Research Career Development Award supports investigators committed to research on patient-oriented research
- [K99/R00](#) Pathway to Independence Award



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NIH Career Development Awards Summarized

	K08	K23	K12	K99/R00
Citizenship Eligibility	USA or Permanent Resident	USA or Permanent Resident	USA or Permanent Resident	Not limited to USA or Permanent Resident
Length of Project Period	Up to 5 years mentored	Up to 5 years mentored	Up to 5 years mentored	Up to 2 years mentored
Estimated Range of Annual Direct Costs	\$123,000 - \$224,000	\$123,000 - 224,000	Varies (funds multiple scholars)	\$90,000 (check Table of I/C contacts)
Minimum effort committed to research	75%	75%	75%	75%
Letters required	Mentor plus 3 referees	Mentor plus 3 referees	None	Mentor plus 3 referees
Participating NIH Institutes	Most institutes	Most institutes	NCI, NEI, NICHD, NIDA, NIGMS, NINDS	Most institutes



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Tips on NIH Career Development Awards

- Require a minimum effort of 75% on research
- Strong/experienced mentor(s) is critical
- Training plan must be clear, focused, as well as interesting and practical
- Biosketches should reflect the potential of the candidate and the qualifications of the mentor



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Early Stage of Proposal Planning

- Start early, approx. 6-9 months before deadline
- Review the funding program/announcement
- Research recently funded proposals
- Find out success rate at target agency/institute
- Discuss your research/proposal with your mentor
- Contact (e.mail) the Program Official/Director – determine/confirm Institute/Center assignment
- Attend grant writing workshops at RU & national mtgs/conferences
- Secure reference letters (for K-mechanism applications)
- Register with sponsor
- Work with your Grants Management Specialist



Preparing the Proposal

- Review scope of the funding opportunity announcement – clinical trials not allowed by most Institutes for K-awards
- Make note of the deadline
- Verify eligibility with your Grants Management Specialist
- Read closely the guidelines/instructions – including special submission requirements
- Design your outline and research plan according to the sponsor's instructions
- Fully address the review criteria and in the order presented by the sponsor



Compliance Issues: Human Subjects

- Research protocol must be submitted and reviewed by the University Institutional Review Board (IRB) before research can start
- Individuals involved with human subjects must have Protection of Human Subjects Certification
- Address sponsor's requirements – no page limit; describe collection of human subjects info/specimens for all groups
- Check <http://clinfo.rockefeller.edu/> for more information
- Exempt (E4) human subjects research – include statement regarding source of tissue samples/data, e.g. pathology or medical records, and that there are no identifiers linked to study subjects



Additional Elements (1)

- Research plan
 - Select agent research – hazardous biological agents and toxins identified by HHS or USDA
 - Consortium/contractual arrangements
 - Resource sharing
 - Data sharing plan required if annual direct costs higher than \$500,000
 - Model Organism sharing plan required if proposal includes development of a model organism
 - Letters of Support/Collaborations
- Description of resources and environment – refer to RU Resources boilerplate
- Cover letter - request assignment to Institute/Center and/or study section, include name of program/review officers



Additional Elements (2)

- Easy to Read
- Format
 - Font type and size
 - Margins
- Page limits
- Accurate – check figures, tables, references cited
- Appendix materials – follow guidelines



Submission Process

- Complete University “routing form”
- For full review and institutional sign-off, submit full packet to SR-PD at least 5 business days before sponsor’s deadline
- If paper submission: after institutional sign-off, send the required # of copies and forward a final copy to SR-PD
- If electronic submission: final copy will be submitted by Authorized Organizational Representative (AOR)



Post-submission

- Receive confirmation of receipt and assignment
- Note sponsor's decision date
- Receive summary statement
- If fundable score: submit "Just-in-Time" information and address any pending issues on your application; resolve any overlap of science and effort
- If low score or unscored: evaluate the reviewers' comments; speak with your Program Official; prepare resubmission and work with your GMS



Managing Awarded Grants

Work with SR-PD and Finance on post-award management of your grant:

- Review the award documents
- Note scientific reporting requirements and other terms and conditions
- Follow funding restrictions/requirements
- Work with SR-PD and Finance if you need to revise your budget and if approval is required by sponsor
- Brief your mentor and lab administrator and keep them informed of your award and progress

All financial reporting is handled by University Finance department.



Award Management Contacts

- Pre-Award Issues x7791
- Post-Award Issues
 - Cindy Fuqua x8055 at SR-PD
 - Research Administration x8308 at Finance



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Helpful References

- Sponsored Research and Program Development
<http://www.rockefeller.edu/sr-pd/index.php?page=index>
- New Investigators -
http://grants.nih.gov/grants/new_investigators/
- Center for Scientific Review
<http://cms.csr.nih.gov/ResourcesforApplicants/>
- NIH “Writing Your Application”
http://grants.nih.gov/grants/writing_application.htm
- InfoEd
<https://spas.rockefeller.edu/login.asp>
- “Research Proposals: A Guide to Success”^m 3rd Edition
- “Making the Right Moves: A Practical Guide to Scientific Management for Postdocs and New Faculty”, 2nd Edition

Questions and Suggestions