Workshop Overview

Part I : AREA Program Information

Part II : AREA Application and Submittal

Part III : Working with the Research Foundation - Proposal Process
SJSU Routing Process
## DHHS Websites

<table>
<thead>
<tr>
<th>Department of Health Human Services (DHHS)</th>
<th><a href="http://www.hhs.gov">www.hhs.gov</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>National Institutes of Health (NIH)</td>
<td><a href="http://www.nih.gov">www.nih.gov</a></td>
</tr>
</tbody>
</table>
NIH Grant Mechanisms

NIH organizes funding opportunities by type (for example, “research” or “training”) and assigns a grant mechanism code to each opportunity. All research grant programs begin with the letter R.

R01  NIH Research Grant Program
R03  NIH Small Grant Program
R13  NIH Support for Conferences and Scientific Meetings
R15  NIH Academic Research Enhancement Award (AREA)
R21  NIH Exploratory/Development Research Grant Award
R34  NIH Clinical Trial Planning Grant Program
R56  NIH High Priority Short Term Projects

For a full list of funding opportunities and guidelines, with advanced search capabilities, go to the NIH Grants and Funding website:
http://grants1.nih.gov/grants/funding/funding_program.htm
R15 – Academic Research Enhancement Award Overview

The purpose of the AREA program is to support small research projects in the biomedical and behavioral sciences conducted by students and faculty in educational institutions that have not been major recipients of NIH research grant funds.

Goals:

- Support meritorious research
- Expose students to research
- Strengthen the research environment of the institution
R15 – Academic Research Enhancement Award Overview

- The AREA program will enable qualified scientists to receive support for small-scale research projects.
- The grantee institution will benefit from a research environment strengthened through AREA grants.
- Active involvement of undergraduate and graduate students in the proposed research is encouraged; students will benefit from exposure to and participation in research in the biomedical and behavioral sciences.
- Reviewers will consider whether the proposed project will expose undergraduate (preferably, if available) and graduate students to meritorious research.
- However, the application should not focus on training objectives and training plans should not be provided.
Eligible organizations include

- institutions offering baccalaureate or advanced degrees in the sciences related to health, except those that have received more than $6 million per year in NIH support in each of four (4) or more of the last seven (7) years. SJSU currently is an eligible institution.

Eligible Principal Investigators

- include those with the skills, knowledge, and resources necessary to carry out the proposed research;
- may not be the PD/PI of an active NIH research grant at the time of award of an AREA award; and
- may not be awarded more than one AREA grant at a time.
R15 – Academic Research Enhancement Award Funding

- Applicants may request up to $300,000 direct costs plus applicable Facilities & Administrative (F&A) indirect costs for the entire project period of up to three (3) years.

- The project period may be one, two, or three years, but may not exceed three (3) years.

- Preliminary data are not required.

- Grants are renewable.

- Applicants may submit more than one application, provided they are scientifically distinct.

SJSU Research Foundation 04182014
NIH refers to new applications as A0 proposals and re-submittals as A1 proposals.

**Effective 4-17-2014,** if an A1 proposal is declined, a PI can now revise and submit that proposal a third time as a New (A0 proposal).

The resubmission of a proposal as “new” means:

- the proposal will be considered without an association to a previous submission;
- the proposal will not need to include an introduction to describe how the application has changed or a response to previous critiques;
- reviewers will be instructed to treat the proposal as a new idea even if they have seen it in previous review cycles.

**Note:** If a PI chooses to submit an A1 proposal, then the re-submittal must be submitted no later than 37 months after the related A0 proposal was submitted.

For further details, visit:

http://nexus.od.nih.gov/all/2014/04/17/blog-on-nih-policy-notice-14-074/
R15 – Academic Research Enhancement Award

Grant Research Objectives

Each NIH Institute or Center (For example, the National Institute of Aging, National Institute of Alcohol Abuse and Alcoholism, National Cancer Institute) has topics of particular interest for AREA research. A list of those institutes is included in this workshop’s packet of materials. You can explore the topics on the NIH website.

The names of the contacts and their phone numbers and email addresses are available at: http://grants.nih.gov/grants/guide/contacts/parent_R15.html

Applicants are encouraged to contact the person listed for the particular Institute or Center with research interests relevant to the applicant's proposed topic for additional scientific program information and for pre-application guidance.
Review and Selection Process

Referral Officers within the Center for Scientific Review (CSR) follow established guidelines that define the review boundaries of each study section. These boundaries frequently overlap, and more than one study section may have the expertise to review your application.

You may request that we include in a cover letter with your application that it be assigned to a particular study section or IC. The CSR referral office seriously considers such requests.

NIH explains that it usually takes weeks for them to refer the thousands of applications submitted each round.

As part of the initial merit review, all applications will:
- Undergo a selection process in which only those applications deemed to have the highest scientific merit, generally the top half of applications under review, will be discussed and assigned a priority score.
- Receive a written critique.
- Receive a second level of review by the appropriate National Advisory Council or Board.
Review and Selection Process continued…

NIH considers the following in making funding decisions:

- Scientific merit of the proposed project as determined by peer review,
- Relevance to program priorities,
- Significance, Investigators, Innovation, Approach, Environment, Overall, Reasonableness of Budget,
- Availability of Funds.

The goals of NIH-supported research are to advance understanding of biological systems, to improve the control of disease, and to enhance health.

Remember that the R15 AREA objectives are
- to provide support for small research;
- strengthen the research environment; and
- expose available undergraduates and graduate students to such research.
Application and Submittal Information

- Content and Forms
- Key Dates
- Application Processing
- Budget
- Compliance
- Agency Contacts
## Content and Forms Checklist

<table>
<thead>
<tr>
<th>Document</th>
<th>Owner</th>
<th>Page Limit</th>
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</thead>
<tbody>
<tr>
<td>SF424 (Cover Component)</td>
<td>Mgr</td>
<td>online</td>
</tr>
<tr>
<td>Project/Performance Site Locations</td>
<td>Mgr/PI</td>
<td>online</td>
</tr>
<tr>
<td>Research &amp; Related Other Project Information</td>
<td>Mgr/PI</td>
<td>online</td>
</tr>
<tr>
<td>Research &amp; Related Senior/Key Person Profile</td>
<td>Mgr/PI</td>
<td>online</td>
</tr>
<tr>
<td>PHS 398 Cover Page Supplement</td>
<td>Mgr/PI</td>
<td>online</td>
</tr>
<tr>
<td>PHS 398 Research Plan: Specific Aims 1 page and Research Strategy limited to 12 pages</td>
<td>Mgr/PI</td>
<td>online</td>
</tr>
<tr>
<td>PHS 398 Checklist</td>
<td>Mgr/PI</td>
<td>online</td>
</tr>
<tr>
<td>Biosketch(es) (NIH Format)</td>
<td>PI</td>
<td>4/2</td>
</tr>
<tr>
<td>Facilities, Equip, &amp; Other Resources including student information and special characteristics of the school; and a Resource Sharing Plan (data, model organisms)</td>
<td>PI</td>
<td>any</td>
</tr>
<tr>
<td>PHS Cover Letter</td>
<td>PI</td>
<td>1</td>
</tr>
<tr>
<td>Compliance Statements (IRB, IACUC, etc.)</td>
<td>PI</td>
<td>any</td>
</tr>
<tr>
<td>Literature Cited</td>
<td>PI</td>
<td>any</td>
</tr>
<tr>
<td>Letters</td>
<td>PI</td>
<td>any</td>
</tr>
<tr>
<td>Appendix (no more than 10 reprints)</td>
<td>PI</td>
<td>reprints</td>
</tr>
<tr>
<td>PHS 398 Modular Budget $\leq$250k or Full</td>
<td>Mgr</td>
<td>online</td>
</tr>
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# Receipt, Review, and Anticipated Start Dates

## Before Submittal

<table>
<thead>
<tr>
<th>To Research Foundation</th>
<th>6/16/14</th>
<th>10/15/14</th>
<th>2/16/15</th>
</tr>
</thead>
<tbody>
<tr>
<td>NIH Receipt Date</td>
<td>6/25/14</td>
<td>10/25/14</td>
<td>2/25/15</td>
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</tbody>
</table>

## After Submittal

<table>
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<tr>
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<tbody>
<tr>
<td>Earliest Project Start Date</td>
<td>April 2015</td>
<td>July 2015</td>
<td>Sept or Dec 2015</td>
</tr>
</tbody>
</table>

**AIDS-Related Applications Receipt Dates:** May 7, September 7, January 7
Timeline for Submittal to 6/25 Deadline

4/17  NIH AREA Workshop

4/17-6/12  PI works with Sponsored Programs Manager on budget and forms.

Research Foundation sets up PI on NIH ERA Commons, if not already there.

PI seeks peer review on proposal.

6/13  Research Foundation packages final budget, proposal body, and forms for routing to campus signers.

6/16-6/22  Research Foundation routes proposal.

Research Foundation Sponsored Programs Manager finishes uploading forms; works with PI as needed.

6/22  PI sends final documents with all edits to the Research Foundation.

6/23  Research Foundation submits proposal on Grants.gov; within 24 hours proposal appears on NIH ERA Commons.

6/23-6/25  Research Foundation reviews proposal on NIH ERA Commons.
# Budget

Modular Budget in increments of $25K, up to $250,000. Full budget form for budgets $250,001-$300,000. We create a standard budget spreadsheet for calculations and internal routing purposes.

<table>
<thead>
<tr>
<th>Allowable Costs</th>
<th>Unallowable Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Costs <strong>essential</strong> to the conduct of research project, such as (when applicable):</td>
<td><strong>Secretarial or Clerical Costs</strong></td>
</tr>
<tr>
<td><strong>Project Personnel Salary and Fringe Benefits, including students</strong> (undergrads, grads)</td>
<td></td>
</tr>
<tr>
<td><strong>Consultants</strong> <em>(particular research expertise, if needed)</em></td>
<td></td>
</tr>
<tr>
<td><strong>Equipment</strong> <em>(if essential, and must be separately justified)</em></td>
<td></td>
</tr>
<tr>
<td><strong>Travel, Materials &amp; Supplies, Publication Costs</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Facilities &amp; Administrative Costs:</strong></td>
<td></td>
</tr>
<tr>
<td>43.4% On-Campus, 26% Off-Campus</td>
<td></td>
</tr>
</tbody>
</table>
Agency Contact

NIH “encourages your inquiries concerning this funding opportunity and welcomes the opportunity to answer questions from potential applicants.”

Please check with the Research Foundation before calling the contact below, as we may know the answer.

Programmatic questions should be directed to the NIH Institutes and Centers (ICs) sponsoring the AREA program you are targeting. All of the area contacts are found at this link:


NSF Frequently Asked NIH AREA R15 Que
http://grants.nih.gov/grants/funding/area_faq.htm
Areas of Compliance Review:

- Human Subjects
- Animal Subjects
- Curriculum Changes
- Carcinogens
- Radioactive Materials
- Biohazards
- Recombinant DNA
- Cell Lines
Compliance

Human Subjects:

Institutional Review Board (IRB)

Obtaining IRB approval requires NIH Online Training if you have not previously completed the training. (2 hours)

GS&R IRB Website
http://www2.sjsu.edu/gradstudies/Research/irb.html

For more information contact:

Alena Filip, IRB Coordinator
Phone: (408) 924-2479
Email: alena.filip@sjsu.edu
Compliance

Animal Subjects – Institutional Animal Care and Use Committee (IACUC)

SJSU has established an IACUC, which is qualified through the training and expertise of its members to oversee the institution's animal care and use program, university facilities, and all animal-related activities.

GS&R IACUC Website:
http://www.sjsu.edu/gradstudies/iacuc/

Larry Young, IACUC Coordinator
Phone: (408) 924-4929
Email: lyoung@science.sjsu.edu
Writing Tips

Write the proposal narrative with review criteria in mind.

When proposing your idea, use the same terms or descriptors used in the guidelines. This will help reviewers connect your ideas to the criteria that they have been asked to identify and assess.

Reviewers are typically fatigued when reading proposals, so you don’t want to make your proposal difficult to read; follow the guidelines!
Working with the SJSU Research Foundation

Principal Investigator:
- Notifies Research Foundation early in the process
- Notifies Chair and Dean
- Works with Research Foundation on budget preparation
- Provides proposal documents to Manager
- Obtains peer review, internal or external
- Allows at least 7-14 calendar days for campus routing process
- Plans for Research Foundation to submit in advance of any deadline

Sponsored Programs Manager:
- Keeps in contact with PI
- Assists with budget preparation
- Accepts and prepares proposal documents for routing
- Ensures compliance to guidelines-format, content, and regulations
- Facilitates review and approval by SJSU campus signers
- Uploads documents to Grants.gov
- Submits proposal using Grants.gov
Next Steps

- Notify your Research Foundation Sponsored Programs Manager
- Identify the budget line items you will need
- Create a draft scope of work
- Ask your Research Foundation Sponsored Programs Manager any questions you may have about the process or requirements
- Prepare to turn your documents over to your Sponsored Programs Manager by 6/12/14, if not sooner.
Advanced Budget Workshop
May 8, 2014

Where do I begin?
What must I include?
What about subcontracts? Equipment? Animals?

MLK Library 255/257
11:30 am – 1:00 pm
Research Foundation – Office of Sponsored Programs - Pre-Award

Angela Au
Senior Sponsored Programs Manager
College of Education, College of Humanities & Arts, College of Applied Sciences and Arts
Phone (408) 924-1546 Email: angela.au@sjsu.edu

Michele Vaccaro
Senior Sponsored Programs Manager
College of Business, College of Engineering, College of Science: Department of Meteorology
Phone: (408) 924-1430 Email: michele.vaccaro@sjsu.edu

Sydney Chui
Sponsored Programs Manager
College of Social Sciences, University Programs
Phone: (408) 924-1427 Email: sydney.chui@sjsu.edu

Khoi Nguyen
Sponsored Programs Manager
Moss Landing Marine Laboratories
Phone: (408) 924-1440 Email: khoi.nguyen@sjsu.edu

Bill Yabumoto
Sponsored Programs Manager
College of Science [except for Meteorology and Moss Landing Marine Laboratories]
Phone: (408) 924-1307 Email: william.yabumoto@sjsu.edu

Jeanne Dittman
Interim Director, Office of Sponsored Programs
Moss Landing Marine Laboratories Marine Operations
Phone: (408) 924-1434 Email: jeanne.dittman@sjsu.edu