PENNSTATE HERSHEY College of Medicine

PENNSTATE HERSHEY Milton S. Hershey Medical Center

Funding Opportunity Announcement
(Revised 2/14/2013)

Resubmission Grants

Application Receipt Dates: Rolling

Background: Extramural funding for health/biomedical research has become exceptionally competitive and as a result, sponsors are not able to support all new and competing renewal applications that are meritorious. In order to strengthen the competitive position of meritorious but unfunded grant applications to federal agencies, Principal Investigators may request support for Resubmission Grants as outlined below. It is anticipated that these Resubmission Grants will be supported in part by funds that the University will receive from the Commonwealth Universal Research Enrichment (CURE) Program of the Pennsylvania Department of Health and in part by funds that departments receive from various other sources. However, potential applicants should recognize that the resources available to support Resubmission Grants are limited and funding will be limited to only the most promising highly meritorious applications. Nevertheless, all PIs who apply will receive written critiques that will be helpful in deciding how to pursue the project in the future. PIs of Program Project applications, Research Center applications, or other types of multi-project research program applications who are interested in applying for a Resubmission Grant should contact the Director, Research Development for supplemental instructions.

Eligibility Criteria:

1. The Principal Investigator of the Resubmission Grant application must have his or her primary academic appointment in the College of Medicine and the proposed research should be performed at a College of Medicine campus. In addition to the basic science faculty, virtually all physicians employed by The Penn State Milton S. Hershey Medical Center have a primary academic appointment in the College of Medicine;
2. The individual research project must have been reviewed by NIH (with a grant numbered in the "R" series, e.g. as an R01) or another government agency that uses a peer review system and provides written critiques to applicants;
3. A new or competing renewal application for the research project must have been reviewed during the past 12 months. This requirement is intended to ensure that the critique of the external application is reasonably current. Applications that have already been revised and reviewed as an A1 and need to be restructured for submission as a new application are not eligible for support under this program;
4. The critique and score of the external application should suggest that it is a meritorious proposal but is unlikely to be funded without revision. NIH applications that were scored by the Initial Review Group will be considered meritorious. Documentation of an equivalent level of excellence will be required to establish eligibility for applications submitted to Federal sponsors that use a different scoring system;
5. The Principal Investigator must be planning to a) acquire additional preliminary data that will strengthen the proposal; and b) submit a revised application to an appropriate external sponsor within the coming year;
6. The PI's department must commit to supporting 30% of the direct costs of the Resubmission Grant;
7. Revised versions of Resubmission Grant applications that were previously reviewed and not funded are not eligible for submission in response to this RFA unless the revision is specifically invited; and

8. Projects that previously received support from a Resubmission, Bridge or Development Grant are NOT eligible for additional support from this program.

Program Guidelines:

1. For both new and competing renewal applications, Resubmission Grants are intended to support the acquisition of additional preliminary data that will help the project become more competitive for external support in the near future. In addition, Resubmission Grants for competing renewal applications are intended to help maintain research momentum and "keep the team together" while the external resubmission application (the "A1" version of NIH applications) is being evaluated.
2. Resubmission Grant applicants may request up to 50% of the project's recommended annual funding, not to exceed $100,000 direct costs plus applicable indirect costs, for up to a 12 month period;
3. Resubmission Grants may be used to support salaries and benefits for the PI and other faculty and staff, student stipends, supplies, equipment, publication costs, expenses related to the use of human subjects, and domestic travel expenses directly related to the conduct of the research project;
4. Although it is anticipated that PIs would generally not commit more than 5% effort to a Resubmission Grant project, applicants are reminded that the committed effort must be appropriate for the scope of the project and the work to be performed by the PI versus other personnel;
5. The Principal Investigator of each Resubmission Grant award will be required to submit several detailed progress reports and related information to comply with requirements of the Pennsylvania Department of Health (see examples of the PA-DOH Annual Report and Final Report guidelines at http://www.pennstatehershey.org/web/researchdevelopment/home/forms)

Preliminary Review: Prospective applicants should forward a copy of the Summary Statement including the priority/percentile scores for the unfunded application and any relevant correspondence from the sponsor regarding their decision not to fund the application to Research Development for a determination of eligibility. PIs of eligible applications will be invited to submit a Resubmission Grant application for a specified Receipt Date that will enable the timely evaluation of the application by the Scientific Review Committee, the College of Medicine leadership, and by the Pennsylvania Department of Health for applications that are recommended for funding. PIs who are invited to submit an application should then consult with their Department Chair to confirm that the Department will commit to provide the required matching funds.

SUBMISSION INSTRUCTIONS:

STEP 1 - Prepare the Resubmission Grant as a single PDF. We suggest that you develop each of the following sections of the application in MS Word so they can be readily assembled into a single PDF document. The application for a Resubmission Grant should include the following information, in the order listed:

1. **Cover Page:** Please use the Cover Page template posted on the Research Development website at http://www.pennstatehershey.org/web/researchdevelopment/home.
2. **Table of Contents:** Include page numbers starting with the cover page and numbering all pages consecutively;
3. **Letter from the PI:**
    a. Provide a brief overview of the history of the project, including any previous internal or external funding. For applications that are related to unfunded competing renewals, include the current balance of funds in the grant account and plans for their expenditure;
    b. Specify the deadline for the planned submission of the amended application to the external sponsor. If the deadline is within the next 6 months, please explain the rational for that date;
    c. For new (NIH Type 1) applications, explain how the proposed Resubmission Grant will help strengthen the A1 application; for competing renewal (NIH Type 2) applications, explain how the proposed Resubmission Grant will strengthen the A1 application and help maintain the momentum of the project during the development and review of the A1 application.

4. **Summary Statement:** Include a copy of the entire Summary Statement or other critique for the unfunded application including priority/percentile scores and any relevant correspondence from the sponsor regarding the review and their decision not to fund the application;
5. **Draft "Introduction to the Resubmission Application":** A draft statement that summarizes additions, deletions, revisions, and other responses to reviewers' comments in the external critiques that the PI plans to make in the resubmission application to the external sponsor;
6. **Abstract** of the "research plan" for the **Resubmission Grant** application
7. **NIH Biosketch:** Include a current NIH biosketch (http://www.pennstatehershey.org/web/researchdevelopment/home/forms) of the **PI with full Other Support**. For all active and pending grant and contract awards, list the sponsor, project title, project period and current year direct costs budget and clearly indicate whether there is or is not any duplication with the studies proposed for support by the Resubmission Grant.
8. **Research Plan for the proposed Resubmission Grant:** Describe the studies that will be supported by the Resubmission Grant in 4 pages including any figures, tables and references. **In order to prevent the possibility of duplicate funding for the same research, the studies proposed for funding by the Resubmission Grant should not be the same studies for which funding will be requested in the revised application to the external sponsor.** In other words, the specific aims for the Resubmission Grant should not be the same as the aims that the PI plans to propose for the new NIH or other multiyear federal grant. Any questions regarding this requirement should be discussed with the Director, Research Development (X6949). **Please also ensure that the Specific Aims for the proposed studies are achievable within a 12-month period and within the constraints of the funding provided by the Resubmission Grant.**
9. **Budget Request:** Provide 2 separate budgets and justifications-one for the CURE funds (70%) and one for the Department funds (30%)-direct costs only.
10. **Attachments:** If the studies proposed in the Resubmission Grant application involve collaboration with another investigator(s) or the use of facilities or other resources that are under the purview of another investigator(s), include a letter(s) from that investigator(s) to document their contribution(s) to the proposed research. DO NOT INCLUDE ANY REPRINTS, MANUSCRIPTS, CDs, DVDs, SURVEYS, TESTS, INVENTORIES or other similar attachments.
11. **Save:** Save the **Resubmission Grant** application in a **single PDF file**.

STEP 2 - Save a copy of the unfunded external application as a single and separate PDF file.

STEP 3 - Submit both PDFs electronically, following the directions below, to the Research Development Dropbox and provide a) **4 paper copies** of the Resubmission Grant Application; and b) a signed letter of support from your Department Chair to Research Development in C1630.

1. **Navigate** to the Research Development Dropbox website (https://rddropbox.hmc.psu.edu/DocDrop/) and use your Penn State Access ID to login in order submit your documents to the drop box.
2. Upload your Resubmission Grant application as a single PDF file. Title the document as follows: Last name of the PI or Co-PIs-ResubApp-Date (e.g. Jones-ResubApp-9-12-2012).
3. **Upload** your unfunded application as a single and separate PDF. Title the document as follows: Last name of the PI or Co-PIs-UnfundedApp-Date (e.g. Jones-UnfundedApp-9-12-12).
4. **Deliver** 4 printed copies of the Resubmission Grant Application *(but not the unfunded proposal)* to Research Development (Room C1630) with **a signed letter from your Department Chair (addressed to the Vice Dean for Research and Graduate Studies) to document his or her agreement to fund 30% of the direct costs of the proposed Resubmission Grant** and to support any other departmental resources that are committed to the project in the application. If the application is subsequently approved for funding, the Chair will need to identify the budget and fund numbers that will be used to support the departmental match.

Review Process:

1. Applications for *Resubmission Grants* will be evaluated by members of the College of Medicine Scientific Review Committee (SRC) who will consider 1) the responsiveness of the proposal to this RFA; 2) the scientific and technical merit of the unfunded application as evaluated by the external reviewers; 3) the scientific and technical merit of the new research proposed in the Resubmission Grant application and the likelihood that the proposed aims will be completed within 12 months with the funding recommended; and 4) the potential for the proposed Resubmission Grant to enhance the competitive position of the previously-unfunded application or maintain the momentum of a previously-funded project while an external resubmission application is under review.
2. The assigned reviewers will consider the strengths and weaknesses of the application with respect to the criteria outlined above and develop written recommendations that will be returned to the PI at the conclusion of the review process.
3. Funding recommendations for Resubmission Grants will be developed by the Vice Dean for Research and Graduate Studies in consultation with the Director, Research Development who will consider both the recommendations of the reviewers and the availability of funding from the CURE Program. In order to ensure that the greatest institutional benefit will be achieved from these awards, priority in funding will be given to Resubmission Grant applications that:
   a) are recommended as most highly meritorious by the SRC;
   b) provide salary support for employees who will be jeopardized by the lapse in funding of the renewal grant;
   c) support the acquisition of preliminary data that will significantly strengthen the new application to the external sponsor;
   d) are submitted by investigators who do not currently have substantial external funding and/or recent internal grant awards supported by CURE funds; and
   e) will strengthen external proposals for larger research projects over longer periods of time.

   For example, all other things being equal, Resubmission Grant applications for an R01 will generally receive priority in funding over those for an R03 or R21 which usually support smaller, shorter-term projects.

Awards:

The PI of a Resubmission Grant application recommended for funding will be invited to develop a Strategic Plan (DOH Form Approval # 10-K-230) for final approval by the PA Dept of Health prior to the issuance of a Resubmission Grant award**. If the proposed research involves human subjects, IRB approval must be obtained before the application can be forwarded to PA-DOH.** At the time an application is prepared for submission to PA-DOH, PIs will need to submit other related documents including the PSU Proposal Internal Approval Form (PIAF) and the Pennsylvania Department of Health Certification Form #10-K-270.

Evaluation Process for funded Resubmission Grants:

PIs will be required to submit a brief initial progress report approximately 6 months following initiation of the Resubmission Grant award, detailed Annual Reports in June of each year, and a comprehensive Final Report in December following the completion of their project. Subsequently, the PA-DOH will arrange an evaluation of the project by at least 3 independent experts in the field who will review the Strategic Plan, the Annual Reports, and the Final Report and rate the project as Outstanding, Favorable, or Unfavorable. The PI and the Institution will then be asked to respond to each of the critiques and all of this information will be posted on the PA-DOH website and made available to members of the Legislature. **It is therefore essential that PIs who accept support from the CURE Program make every effort to achieve the stated aims of their project and that they commit to complying with the detailed reporting requirements of this program.** In addition, PIs of funded Resubmission Grants will be expected to serve on the College of

Medicine Scientific Review Committee for a two year period, upon request.

Questions regarding the eligibility of a proposal for submission in response to this Announcement, the application process, or any issues related to the review process should be directed to **Research Development** (x6949; researchdevelopment@hmc.psu.edu).