Session 4: Fellowships & Faculty Career Scholarships

Rachel Cook, Senior Grant Analyst
Health Sciences SPO
Overview / Agenda

- Fellowships & Faculty Scholarship: Eligibility & Key Players
- Types of Awards & Funding Life Cycle
- Pre-Award: Application Process
- Post-Award: Negotiation & Acceptance
- Resources

UC San Diego Health Sciences
Who is eligible to apply?
Fellowship & Faculty Scholarship Eligibility

- Fellowships are focused on the career development of the individual applying for the funding opportunity.
- The eligibility to submit a fellowship and/or faculty career scholarship application is defined by the funding agency in their FOA or guidelines.
- The Sponsor (Mentor) and/or Chair confirm the applicant is eligible to submit based on the agency requirements.
- A PI Exception is NOT required for fellowship and/or faculty career scholarship applications, even if the applicant does not have a PI Eligible status at UCSD.
Fellowship & Faculty Scholarship Eligibility

HS SPPO submits proposals on behalf:

- H.S. Undergraduate Fellows;
- H.S. Professional Degree Predoctoral Fellows (this includes Pharm D., M.D., and Dual Degree Ph.D. and either Pharm.D. or M.D.);
- H.S. Postdoctoral Fellows; and
- H.S. Faculty Career Development Scholarships.
Fellowship & Faculty Scholarship Eligibility

O CGA submits proposals on behalf:

 ✓ General Campus Undergraduate Fellows;
 ✓ General Campus Postdoctoral Fellows; and
 ✓ General Campus Faculty Career Development Scholarships*

Graduate Division submits proposals on behalf:

 ✓ General Campus Predoctoral Fellows
 ✓ Examples: MA, MBA, PhD, and Joint Programs (MPH/PhD)
 ✓ Health Sciences PhD only Predoctoral Fellows
Is this a Grant or a Fellowship?
# Grant vs. Fellowship Checklist

<table>
<thead>
<tr>
<th>Questions</th>
<th>Grant</th>
<th>Fellowship</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is sponsor’s purpose to support a research project of an independent investigator with specific goals, or is it to further career development?</td>
<td>Project</td>
<td>Individual</td>
</tr>
<tr>
<td>2. Is a fiscal report requested or required?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>3. Are funds restricted by budget category, (e.g. approval required to re-budget) or are funds for recipient’s stipend/salary and/or are funds unrestricted?</td>
<td>restricted</td>
<td>unrestricted</td>
</tr>
<tr>
<td>4. Are there contractual requirements in award, e.g. patent requirements or patent rights to sponsor?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>5. Are personnel funds awarded for any individuals other than the recipient?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>6. Is the award addressed to the institution or the individual?</td>
<td>Institution</td>
<td>Individual</td>
</tr>
<tr>
<td>7. Does the agency call the program or a grant or a fellowship?</td>
<td>Grant</td>
<td>Fellowship</td>
</tr>
<tr>
<td>8. Is a mentor or advisor involved?</td>
<td>No</td>
<td>Yes</td>
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<tr>
<td>9. Were letters of support required at the proposal stage?</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>10. Does the award include indirect costs?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>11. Does agency require unexpended funds to be returned at termination?</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>12. How has this award been processed in the past?</td>
<td>Grant</td>
<td>Fellowship</td>
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AHA - Beginning Grant-in-Aid

- **Objective** is to promote the independent status of promising beginning scientists.

- At the *time of application*, the applicant must: hold a M.D., Ph.D., D.O., D.V.M. or equivalent post-baccalaureate doctoral degree initiating an independent research career.

- At the *time of award activation*, the applicant must: hold a faculty/staff rank up to and including assistant professor (or equivalent), but may not have more than seven years of experience at the assistant professor level.

- **Salary/Fringe:** Up to $35,000 per year for salary and fringe of the PI. Co-Is and others with faculty appointments may not receive salary from these funds.

- **Indirect:** 10 percent ($6,364)

- **Project Support:** Project-related expenses, such as salaries of technical personnel, consultative services, supplies, equipment, computer/electronics, travel, volunteer subject costs, and publication costs, within the following limits: Travel - $3,000 per year

- **Maximum Annual Award Amount:** $70,000; **Award Duration:** Two years; **Total Award Amount:** $140,000

http://my.americanheart.org/professional/Research/FundingOpportunities/SupportingInformation/Winter-2014----Beginning-Grant-in-Aid_UCM_443303_Article.jsp
AHA – BIA Review Criteria

• **Future Independence of Investigator**: Is there demonstrated evidence that the award will promote independent status for the applicant?

• **Significance**: Does this study address an important problem broadly related to cardiovascular disease or stroke? If the aims of the application are achieved, how will scientific knowledge or clinical practice be advanced?

• **Approach**: Are the conceptual framework, design, methods and analyses adequately developed, well integrated, well reasoned and feasible (as determined by preliminary data), and appropriate to the aims of the project?

• **Innovation**: Is the project original and innovative? For example: Does the project develop or employ novel concepts, approaches, methodologies, tools or technologies for this area?

• **Investigator**: Is the investigator appropriately trained and well suited to carry out this work? Is the work proposed appropriate to the experience level of the principal investigator and other researchers?

• **Environment**: Does the scientific environment in which the work will be done contribute to the probability of success? Is there evidence of institutional support as demonstrated in the department head letter?
The NARSAD Young Investigator Grant provides support for the most promising young scientists conducting neurobiological research. Awards are provided to enable promising investigators to either extend research fellowship training or begin careers as independent research faculty. Basic and/or clinical investigators are supported, but research must be relevant to serious brain and behavior disorders such as schizophrenia, mood disorders, anxiety disorders, or child and adolescent mental illnesses.

NARSAD Young Investigator Grants enable early career scientists to garner pilot data for innovative ideas before they have “proof of concept” for their work.

NARSAD Young Investigator Grants enable early career scientists to garner pilot data for innovative ideas before they have “proof of concept” for their work.

Applicants must have on-site mentor or senior collaborator who is an established investigator in areas relevant to psychiatric disorders.

Funding is for one or two years and is up to $30,000 per year. The Foundation does not pay institutional overhead on the NARSAD Young Investigator Grant Program;

The Foundation allows considerable flexibility in the use of funds: equipment, stipends, etc., are all acceptable as long as the support is in the service of the NARSAD Grant research project;

http://bbrfoundation.org/yi
ACS Mentored Research Scholar Grant

• Provides support for mentored research and training to full-time junior faculty, typically within the initial four years of their first independent appointment. The goal is for these beginning investigators to become independent researchers as either clinician scientists or cancer control and prevention researchers.

• During the five years of the award, individuals are expected to acquire the research training, mentoring and experience necessary for transition into a successful career as an independent investigator. In addition to the research project itself, the activities during the award period must be designed to develop the necessary knowledge and skills in relevant areas through mentoring, and may include participating in appropriate courses and lectures.

• Awards are for up to five years and for up to $135,000 per year (direct costs), plus 8% allowable indirect costs. A maximum of $10,000 per year for the mentor(s) (regardless of the number of mentors) is included in the $135,000.

ACS MRSG – Review Criteria

- **Applicant**: Their academic and scientific qualifications, potential to succeed as an independent investigator, and commitment to research as a career.

- **Mentor(s)**: Their academic and scientific qualifications, potential to succeed as an independent investigator, and commitment to research as a career.

- **Research Plan**: While there is significant competition for these mentored awards, the proposals are not expected to reflect the breadth and depth of the work of a senior scientist. The evaluation of the proposal includes assessment of: (a) The scientific and technical merit of the research question; (b) The design, methodology, and feasibility of the study; (c) The relevance of the proposed research plan to the applicant’s career objectives; (d) The medical and health significance of the proposed research to cancer prevention, control and/or treatment; and (e) The appropriateness of the research plan as a vehicle for developing necessary research skills.

- **Training Plan**: Applications must include a comprehensive training plan involving appropriate core curriculum studies.

- **Facilities/Environment**: Documentation of the institutional commitment to the research development of the applicant must be included. This will be represented by the quality and relevance of the training environment and mentored relationship for the professional development of the applicant; the adequacy and availability of necessary research space and facilities, and training opportunities for the proposed project.
Just who are the key players in a fellowship application?
Fellowship Key Players

- Sponsor (Mentor)
- Business Office
- Central Office
- Funding Agency

Fellow
Process Improvements: Central Offices & Old Way

*OGS is now called Graduate Division!
Process Improvements: Central Offices & New Way

1. Submit Application
   - OCGA / SIO OCGA
   - OGS
   - HS SPPO

2. AWARD
   - OCGA / SIO OCGA
   - HS SPPO
   - OPAFS

* Graduate Division
1. Types of Award & Mechanisms
2. Funding Life-Cycles
Types of Awards

Domestic:
- Private, State, Federal, Flow-through & Private

Foreign:
- Private & Government

Sub on NIH Institutional Training Grants:
- R25/T32/T35/K10

NIH Individual Training Fellowships:
- F30, F31, F32
Funding Life-Cycle

1. Find Funding Opportunity
2. Prepare & Submit Application
3. Set-up Award
4. Receive & Accept Award
5. Manage Award (& Close Out Award)
Pre-Award Application Process
What are the internal forms required to submit a fellowship?!!

What about Indirect Costs?

How many days lead time do you require?

But there is no budget?!!
# Minimum Requirements for Signature

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<th>Required Items</th>
<th>NIH Fellowship Applications</th>
<th>All Other Applications</th>
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<td>No</td>
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<td>FCOI</td>
<td>Yes</td>
<td>Depends</td>
</tr>
<tr>
<td>Budget Worksheet</td>
<td>Yes (NRSA Budget Worksheet)</td>
<td>Depends</td>
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<tr>
<td>Draft Review of Application</td>
<td>Yes</td>
<td>Yes</td>
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<td>Fellow and all other required signatories must sign before HS SPPO signs</td>
<td>Yes</td>
<td>Yes</td>
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<tr>
<td>Copy of IRB or IACUC?</td>
<td>JIT stage</td>
<td>Depends</td>
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FCOI is Due at Time of Submission!!!

- National Institutes of Health (NIH) & Other PHS Agencies
  - Office of Global Affairs (OG)
  - Office of the Assistant Secretary for Health (OASH)
  - Office of the Assistant Secretary for Preparedness and Response (ASPR)
  - Agency for Health Care Research & Quality (AHRQ)
  - Agency for Toxic Substances and Disease Registry (ATSDR)
  - Centers for Disease Control and Prevention (CDC)
  - Food and Drug Administration (FDA)
  - Health Resources and Services Administration (HRSA)
  - Indian Health Service (IHS)
  - Substance Abuse and Mental Health Services Administration (SAMHSA)
- Administration for Children and Families (ACF)
- Alliance for Lupus Research (ALR)
- American Cancer Society (ACS)
- American Heart Association (AHA)
- American Lung Association (ALA)
- Arthritis Foundation (AF)
- Juvenile Diabetes Research Foundation (JDRF)
- Lupus Foundation of America (LFA)
- Susan G. Komen
- CurePSP

http://blink.ucsd.edu/sponsor/coi/index.html
## Submission of Application: Who Signs What?

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<tr>
<th>Administrative /Signing Official</th>
<th>Fiscal Officer</th>
<th>IACUC &amp; IRB</th>
<th>EH&amp;S</th>
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<tr>
<td>• Health Sciences: HS SPPO</td>
<td>• Mark Cooper</td>
<td>• Health Sciences: HS SPPO</td>
<td>• Brenda Wong</td>
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<td>• General Campus: OCGA or Graduate Division</td>
<td>• (HS SPPO &amp; OCGA sign on behalf of Mark Cooper)</td>
<td>• General Campus: OCGA</td>
<td>• Contact: <a href="mailto:ehsbio@ucsd.edu">ehsbio@ucsd.edu</a></td>
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WHAT'S IN A NAME?
Submission of Application: Name of Institution

The Regents of the Univ. of Calif., U.C. San Diego

University of California, San Diego – Health Sciences

University of California, San Diego

Grants.Gov

ProposalCentral

Other Agencies
Proposal To: American Cancer Society  
Mentored Research Scholar Grant

Title (Applicant): **Addressing the Reproductive Concerns of AYA Cancer Survivors** (Gorman, Jessica)

Deadline: 4/1/2014 5:00:00 PM (U.S. Eastern Time)

Sponsoring Institution
**The Regents of the University of California, San Diego**

Address
- **Street**: 9500 Gilman Drive, Dept 0934
- **City**: La Jolla
- **State**: CA
- **Zip**: 92030-0934
- **Country**: United States
- **Phone**: 858.534.0239
- **Fax**: 858.534.0280

*Checks* The Regents of the University of California, 
**Payable To:** University of California, San Diego
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## Submission of Application: Name ➔ Visibility

### proposalCENTRAL
Application System

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<td>Role of ADA1-dependent mRNA regulation in chronic myeloid leukemia</td>
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<td>Systematic evaluation of factors that control cytoskeletal mRNA fate</td>
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<td>Role of toll-like receptors in chemotherapy-induced neuropathic pain</td>
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</tbody>
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### UC San Diego
Health Sciences

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Submission of Application: Who Submits?

- Fellow (mail application overnight)
- Fellow (email PDF of application)
- Central Office (e.g., NIH & DOD)
- Fellow (HS SPPO requires “EDIT” access)
- Most Home-grown Systems: Fellow
- Other Home-grown Systems: Central Office
Submission of Application: Free vs. Fees

Grants.gov
CDMRP
Proposal
Central

FREE

FEE
$$$

AHA
($75-100)
AGA ($150)
Post-Award: Award Acceptance
The Award Arrives, What Next?

- In a Perfect World ➔ **Notify** the appropriate Central Office

- The Central Office ➔ Verifies all **compliance** issues are in place (e.g. FCOI, IRB, IACUC)

- The Central Office ➔ Reviews the **award terms and conditions**, if **acceptable**, signs the award; if **not acceptable**, then **negotiates** with the funding agency until terms and conditions are acceptable. If it is an NIH award, the Central Office signs the **NIH Award Activation Notice** after the fellow and sponsor sign.

- The Central Office ➔ **Records** award information in Coeus and requests **Fund Set-up** or **Index Request** for OPAFS.

- The Central Office ➔ **Assists** with most communication between fellow and funding agency during lifetime of award.
The Core Principles to be Addressed in Agreements

1. Open Dissemination of Research Results & Information
2. Commitment to Students
3. Accessibility for Research Purposes
4. Public Benefit
5. Informed Participation
6. Legal Integrity and Consistency
7. Fair Consideration for University Research Results
8. Objective Decision-Making

http://policy.ucop.edu/doc/2500487/PrinciplesRegardingResearchResults
Some Issues that Arise when not a Perfect World?

- Fellow, Mentor, or Chair sign on behalf of the University.
- The award is lost in the shuffle or lost via campus mail or signed award/activation notice never arrives at funding agency.
- Waiting on fully-executed agreement.
- Award accepted with reminder of prior agreed upon terms, yet still held up on the funding agency’s side (e.g. AHA – though there is an issue with governing law with upcoming year).
- Can’t accept the award till UCOP gives okay (e.g. Susan G. Komen).
  - Be prepared, negotiations can take time!
  - Determine in advance if there are problems if you still wish to apply while in the pre-award stage.
- Fellow awarded more than one fellowship. Can the fellow accept both awards?
- Progress Reports late: Scientific and Financial.
Resources
Where to Go!

**Graduate Division**
- Contact: Zoe Ziliak Michel at gradadvisor@ucsd.edu
- Website: [http://grad.ucsd.edu/financial/fellowships/index.html](http://grad.ucsd.edu/financial/fellowships/index.html)

**Office of Contracts & Grants Administration (OCGA)**
- Website: [http://blink.ucsd.edu/sponsor/ocga/index.html](http://blink.ucsd.edu/sponsor/ocga/index.html)

**Office of Postdoctoral & Visiting Scholar Affairs**
- Opportunities: [http://postdoc.ucsd.edu/award-opportunities/index.html](http://postdoc.ucsd.edu/award-opportunities/index.html)

**HS SPPO**

**NIH**
- SF424 Adobe Forms C Example for UCSD Health Sciences F-Series Applications: [http://som.ucsd.edu/mwiki/images/2/2b/ADOBE_FORMS_C_EXAMPLE_3-7-2014.pdf](http://som.ucsd.edu/mwiki/images/2/2b/ADOBE_FORMS_C_EXAMPLE_3-7-2014.pdf)

**Funding Agency’s Websites!**
UC San Diego

INFO

Human Subjects Federal Wide Institutional # FWA00004495

Main Campus Congressional District CA-049 & SIO CA-052

Animal Subjects Welfare # A3033-01

NIH EIN 1956006144A1

Biohazards/Lab Safety Cert: EH&S Theresa Hull 858-534-5366

501(c)(3)

509(a)(1)

DUNS # 80-435-5790

TIN 95-6006-144

Hillcrest & Rady's Congressional District CA-053
Institutional Contacts for Health Sciences

Institutional Signing Official: Rachel Cook, Senior Grant Analyst
or Arpa Orojian, Grant Analyst
Health Sciences Sponsored Projects Office
University of California, San Diego
9500 Gilman Drive, MC 0041, La Jolla CA 92093-0041
858-822-4344/534-1890 (T); racook@ucsd.edu or aorojian@ucsd.edu

Financial/Fiscal Officer: Mark Cooper, Director*
Office of Post Award Financial Services (OPFAS)
University of California, San Diego
9500 Gilman Drive, MC 00954, La Jolla CA 92093-0954
858-534-0336 (T); 858-534-6867 (F); ebrower@ucsd.edu

Media Contact of Publicity: Debra Kain, Director
Health Sciences Communications
University of California, San Diego
9500 Gilman Drive, MC, La Jolla CA 92093-8907
85534-6202 (T); 858-543-6163; ddkain@ucsd.edu

Technology Transfer Official: Dr. Jane Moores, Asst Vice Chancellor
Technology Transfer & Intellectual Property Services
University of San Diego
9500 Gilman Drive, MC 8907, La Jolla, CA 92093-8907
858-5815 (T); 858-534-7345 (F); invent@ucsd.edu

* Rachel Cook or Arpa Orojian additionally sign for Mark Cooper
as well as the IRB & IACUC Offices!