

University of Rochester Medical Center
Clinical and Translational Science Institute (UR CTSI)
Request for Applications -
Community-Based Participatory Research (CBPR)
Pipeline-to-Pilot Awards
For Projects Beginning August 1, 2020

This funding program is an activity of the UR CTSI Community Engagement function which is funded, in part, by the Clinical and Translational Science Award (CTSA, an NIH-funded grant). The application for renewal of this award was submitted to the NIH in August 2019, with an outcome expected in the spring of 2020. Applicants should note that funds for this pipeline-to-pilot program are predicated upon successful competitive renewal of our CTSA.

The UR CTSI announces a CBPR pipeline-to-pilot grant opportunity of up to \$15,000. This award is intended for academic and community partners who are currently completing the UR CTSI's Introduction to CBPR training, or who have demonstrated experience in CBPR. Research teams must consist of one faculty member or trainee (defined as a graduate student, medical students, resident, postdoc or fellow in a training program) or a staff member with a faculty mentor from the University of Rochester and at least one community partner of the greater Rochester area. For the purposes of these pipeline-to-pilot awards, "community" refers to community members, persons affected by a condition/issue being addressed or studied, and other key community stakeholders, including community-based health practitioners and community-based organizations. The focus of the application should be on a planning grant or a pilot research project leading to a UR CTSI pilot funding application, or to independent external funding.

Award Duration: Ten (10) months

Monetary Award Amount: Up to \$15,000

Number of Awards: A minimum of two (2) if a sufficient number of competitive applications are suitable for funding

Application Deadline: ~~April 6, 2020, 5:00 p.m.~~ April 20, 2020, 5:00 p.m.

Award Notification: ~~May 6, 2020~~ May 20, 2020

Earliest Start Date: August 1, 2020

End Date: May 31, 2021 (all project activities and spending must be completed by this date – because of fiscal limitations, extensions cannot be granted)

Goals

The main goal of this program is to stimulate research partnerships between University of Rochester researchers and community-based organizations in the greater Rochester area, facilitating their ability to address a local health issue using CBPR as the research approach. Applicants must clearly demonstrate how the program or pilot generated from this award will be used to develop a pilot grant and/or a larger, independently funded study.

The focus of the application should be on a planning grant or a pilot research project leading to a UR CTSI pilot funding application, or to independent external funding. This award is not meant to supplement ongoing funded research.

Eligibility

Academic applicants must be a trainee or have a faculty appointment at the University of Rochester or a University of Rochester staff member who has identified a faculty mentor to serve as co-investigator (both the staff and faculty member must have either completed the CBPR training or have demonstrated experience in CBPR) To qualify for this CBPR pipeline award, applicants with little or no experience with CBPR must have participated in at least six of eight classes in the UR CTSI's Introduction to Community-Based Participatory Research program held between September 2019 and March 2020. If you have questions about the course, please contact Laura Sugarwala [Laura_Sugarwala@urmc.rochester.edu].

Allowable Costs

The program will support costs normally allowed for NIH-funded research projects, including salaries. Facilities and administrative costs or "indirects" will be paid from the direct costs of the award for subawards. Recipient institutions may request to waive facility and administrative costs.

Review Process

Proposals are reviewed by a UR CTSI Community Engagement function review committee, that includes both University of Rochester researchers and community partners. Reviewers will use a scoring system based on a 5-point scale and applications are judged on the following criteria:

1. Application of CBPR principles (please reference the list of CBPR principles below).
2. Clearly identified and appropriate partnership with the potential for on-going collaboration.
3. Addresses health disparities in underserved communities.
4. Scientific merit.
5. Impact of findings.
6. Activities described are appropriate to achieve their purpose in the time proposed.
7. Budget is reasonable in meeting goals with estimates of itemized expenses.

Community Based Participatory Research Principles include:

- a. Collaborative, equitable partnership in all phases of research.
- b. Community is the unit of identity.
- c. CBPR builds on strengths and resources of community.
- d. CBPR fosters co-learning and capacity building.
- e. Balance between knowledge generation and benefit for community partners.
- f. CBPR focuses on problems of local relevance.
- g. CBPR disseminates results to all partners and involves all partners in wider dissemination.
- h. CBPR involves a long-term process and commitment to sustainability.

Israel, Eng, Schulz, & Parker (2005). Introduction to Methods in Community-Based Participatory Research for Health. In *Methods in Community-Based Participatory Research for Health*.

What is not considered CBPR:

- a. "Community-placed/based" research.
- b. Sporadic or symbolic inclusion of communities.
- c. A specific method or research design.

Successful CBPR strives to achieve:

- a. Solutions for problems in accord with concrete community concerns and priorities.
- b. Community capacity-building.
- c. Community empowerment.
- d. Local community ownership.
- e. Sustainable programs – beyond initial grant period.
- f. Radical changes – screening and/or therapeutic strategies, health outcomes, policies.
- g. Social justice.
- h. Environmental justice.

Following the review process and a discussion and scoring meeting, funding recommendations are made to the UR CTSI Executive Team for funding of the most meritorious projects.

About the UR CTSI's Community Engagement Function (CEF):

The Community Engagement Function (CEF) fosters community-engaged research between University of Rochester researchers, multi-sector stakeholders, and the community at-large, with the goal of accelerating the application of scientific findings to clinical and community practice. The CEF provides capacity-building opportunities for community-based participatory research and offers opportunities for engaging communities in research.

APPLICATION INSTRUCTIONS

1. **Online Submission:** Proposals must be submitted electronically via the following link: [Application Portal](#) by **5:00 PM on April 6, 2020**.
2. Via the online submission system, provide the title of the proposal and contact information for the Principal Investigator and each co-Principal Investigator, co-investigator, collaborator, and consultant. Contact information must also be provided for the University of Rochester PI's department administrator or grants administrator.
3. Upload the components below (a-g) **as one document in PDF format, in the order listed**.
 - a. [NIH PHS 398 Form Page 1: Face Page](#) (items 1-7 only).
 - b. Proposal title and synopsis (500 words maximum, 11 point font [minimum])

- c. Project Description: **The project description may not exceed two (2) single-spaced, typed pages** (11 or 12-point font required; Arial typeface preferred; ½ inch margins allowed). The project description must include:
- 1) *Specific Aims/Goals*: What are you planning to do?
 - 2) *Rationale and Significance*: Why is this project worth doing?
 - 3) *Methods*: Describe how the project will be conducted.
 - i. For applicants new to CBPR, we strongly encourage applicants to seek consultation with CBPR course instructors and CEF personnel prior to submission of this proposal to review feasibility and to develop the budget.
 - 4) *Subsequent Planned Research Activity*: The applicants should describe planned next steps for seeking additional UR CTSI or external funding.
 - i. What specific grant application(s) do you plan to submit and when? Provide a plan and timeline for grant applications to the UR CTSI Pilot Awards, NIH, private foundations, or other external funding sources.
 - 5) *Study Timeline*: Include a study timeline that outlines the various stages of your research from start date to final product.
- d. List of references (limited to no more than 15)
- e. Budget and Budget Justification:
- 1) The budget must be placed on the [NIH PHS 398 Form Page 4: Detailed Budget for Initial Budget Period](#), and on an additional page, each line item of the budget item must be justified. The budget justification must indicate why the requested funds are needed for the project.
 - 2) This is a one-time award in the sum of up to \$15,000.
 - 3) The budget must directly support the proposed research. Expenses may include salary, equipment, computer costs, research-related costs, meeting-related costs, travel, etc., but the justification must be clearly stated.
 - 4) Clearly indicate which personnel are investigators and which are other significant contributors, as defined in the UR CTSI cost-sharing information sheet at [Cost Sharing Information](#).
 - 5) This program will not pay requested salary above the annual NIH salary cap.
 - 6) Budget Considerations
 - a. If a University of Rochester employee is working on your project outside the employee's assigned University of Rochester job, see HR Policy #211, Additional Work and Additional Compensation.
 - b. If you will be directly paying an individual who is not a University of Rochester employee, then that individual is considered to be an independent contractor. Information about using independent contractors can be found here: [Independent Contractor Policy and Process](#)
 - c. If you will be paying an agency or institution, you will need to use the following information to determine whether this is a subaward or vendor relationship:

Key Questions to Make the Vendor-Subrecipient (Subaward) Determination

Below are helpful questions to determine whether a third party entity is a subrecipient. If the answers are “yes” the relationship is probably a subrecipient relationship.

- Is there an identified investigator at the third-party entity? If yes, is he or she a co-investigator on the primary award?
- Is the third party free to decide how to carry out the activities requested of it?
- Will there be potentially patentable or copyrightable technology created or reduced to practice from the activities of the third party? If yes, does the third party have rights to or the right to file for protection of its technology?
- Are publications anticipated from the third party? Will individuals at the third party be co-authors on articles?

A key question to answer to determine whether the third party is a vendor is bulleted below:

- Is the activity to be performed a series of repetitive tests or activities requiring little or no discretionary judgment on behalf of the third party?

If the answer is “yes” the relationship is most likely be a vendor relationship.

If this is a subaward relationship, see #5 below.

If this is a vendor relationship and the project is awarded, then the appropriate purchase order will need to be prepared in conjunction with Corporate Purchasing.

- f. CV or Biosketch: NIH-style biosketch for each researcher and/or a curriculum vitae (CV) for each community-based organization (CBO) partner
 - g. Letter(s) of Commitment/Support: Applications must include letters from the academic applicant's home department chair and the community applicant's executive director (if the applicant does not hold the position of executive director), agreeing to the use of the necessary space, personnel, and facilities needed in support of this proposal.
4. Upload the UR CTSI signoff form with all necessary signatures. This form is located at [CTSI Sign Off Form](#). Please note that this form is UR CTSI-specific and does not get submitted to the Office of Research and Project Administration (ORPA).
 5. Upload the subaward components as a single PDF, if appropriate. The following information for the subaward will need to be compiled into a single PDF and uploaded into the submission system:
 - a. Scope of Work
 - b. [NIH PHS 398 Form Page 1: Face Page](#) with Authorized Signatures
 - c. [NIH PHS 398 Form Page 4: Detailed Budget for Initial Budget Period](#) and budget justification page
 - d. [NIH PHS 398 Checklist Page](#)
 - e. [Attachment 3B](#)

Requirements if Funds are Awarded:

1. **Institutional Review Board (IRB) approval:** IRB approval is not required at the time of application. However, if a research team is awarded funding and the project includes human subjects research activities, documentation of IRB protocol approval or exemption must be submitted to the UR CTSI before human subjects are enrolled or engaged.
2. **Institutional Animal Care and Use Committee (IACUC) approval:** IACUC approval is not required at the time of application. However, if a research team is awarded funding and the project includes vertebrate animals activities, documentation of IACUC protocol approval must be forwarded to the UR CTSI before vertebrate animals can be used in the research. The IACUC at the University of Rochester is known as University Committee on Animal Resources (UCAR).
3. **Publications:** All publications that benefit in whole or in part from support provided by the UR CTSI must:
 - a. Comply with the NIH Public Access Policy: Assistance with the compliance process is available through the Miner Library. Information regarding the Public Access Policy is located on the Miner Library website at [NIH Public Access Policy](#).
 - b. Acknowledge UR CTSI grant funding. We recommend use of the language provided below.

“The project described in this publication was supported by the University of Rochester CTSA award number UL1 TR002001 from the National Center for Advancing Translational Sciences of the National Institutes of Health. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.”
4. **Presentation at Research Methods Forum:** Awardees will present specific aims for future funding proposals at the [UR CTSI Research Methods Forum](#), in order to gain feedback. When scheduled, the team is asked to provide the forum date to Laura Sugarwala (laura_sugarwala@urmc.rochester.edu).
5. **Presentation to URM Population Health Coordinating Committee:** Upon completion of the funding cycle, awardees will present research findings to the Population Health Coordinating Committee.

**PROPOSALS THAT FAIL TO FOLLOW THESE INSTRUCTIONS WILL BE RETURNED
WITHOUT REVIEW.**

DO NOT INCLUDE APPENDICES.

Contacts:

If you have questions regarding this RFA, please contact one of the following.

General inquiries:

Mary Little
mary_little@urmc.rochester.edu
(585) 275-0653

Introduction to CBPR Program:

Laura Sugarwala
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(585) 602-0808

Financial contact:

Mary Lyons
mary_lyons@urmc.rochester.edu
(585) 275-0667