

**University of Rochester Medical Center  
Clinical and Translational Science Institute (CTSI)  
Request for Applications - Pilot Studies Program Awards  
For Projects Beginning June 1, 2019**

The CTSI is requesting applications from investigators for funding of pilot projects. Three types of awards will be considered for the current RFA:

1. Investigator-initiated pilot studies for faculty (\$50,000 maximum for one year)
2. Investigator-initiated pilot studies for trainees (defined as graduate students, medical students, residents, postdocs or fellows in University of Rochester training programs; \$25,000 maximum for 1 year)
3. UNYTE Translational Research Network<sup>1</sup> grants (\$50,000 maximum for 1 year)

Faculty may participate as PI, co-PI or mentor on only one submission per award category. Faculty may participate in multiple submissions per category as co-investigator.

A major priority for the CTSI is the active support of research collaborations via cross-disciplinary collaboration, and the support of research that addresses significant problems related to population health. Thus, applications directly addressing these areas are strongly encouraged.

Applicants will submit a one-page abstract of their proposal, which will be reviewed by the CTSI review committee, and subsequently a limited number of full proposals will be requested. **It is critical that research ideas are expressed in the one-page abstract in such a way that a non-expert can understand the ideas and appreciate their significance and potential impact. Additionally, CTSI funds must be spent between June 1, 2019 and May 31, 2020, so awardees must commit to completing the specific aims of the project within the allowed one-year time period.** Trainee proposals must include a clear identification of a primary mentor and any co-mentors.

Translational and clinical research that moves new discoveries along the translational continuum to humans and the community is strongly encouraged. Clinical and community-based research, practice-based research, and health services research proposals are strongly encouraged. Priority will be given to scientifically meritorious applications that include research teams spanning a spectrum of translational research (T1 through T4), examples of which include teams of pre-clinical and clinical investigators, and clinical and population health investigators. Additional information about these stages can be found at <https://ncats.nih.gov/translation/spectrum>. Historically, the CTSI has generally funded up to five projects per year.

Please note: Applications submitted in response to this RFA may be shared with the URM Environmental Health Science Center (EHSC) and the Center for Musculoskeletal Research for possible funding or co-funding. Also, applications may be shared with UR Ventures for intellectual property review.

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<sup>1</sup> UNYTE is a network of 19 biomedical research institutions in Upstate New York, led by the CTSI. Click [here](#) for details.

**Release Date: July 23, 2018**

**Deadlines:**

- August 27, at 5:00 PM - Initial abstracts of proposals must be received. **Please note that the online submission system will reject proposals submitted after 5:00 PM.**
- October 15 - Applicants from whom full proposals will be solicited will be notified.
- December 3, at 5:00 PM - Full proposals must be received.
- February 1, 2019 – Notifications of Award will be made
  - Awarded proposals must meet several requirements prior to the start date. See the “Requirements if Funds are Awarded” section of the RFA for details.
- June 1, 2019 - The anticipated start date.

**Goals:**

An overall goal of the CTSI in providing support for pilot studies is to actively support team science. Goals for specific categories are as follows:

1. Faculty Category – The primary goal of support provided in the Faculty category is to provide the groundwork for faculty to obtain subsequent funding. In addition, awardees are expected to make every effort possible to publish findings related to the pilot award.
2. Trainee Category – The primary goal of support provided in the Trainee category is for the trainee to obtain the most prestigious fellowship possible following the award, and subsequently to become an independent investigator. The latter is a longer-term goal that strengthens and complements the strategic goals of the University and Medical Center.
3. UNYTE Category - The UNYTE award category is intended to stimulate new inter-institutional collaborations in health research. Investigators are encouraged to develop an innovative, team-based approach to a problem in health research that reflects the particular strengths of the members and their institutions. In addition, awardees are expected to make every effort possible to publish findings related to the pilot award.

**Eligibility:** Faculty members with a primary appointment at the University of Rochester are eligible to serve as principal investigators for category 1 and 3 awards. All UR pre-doctoral students, fellows, postdocs and residents are eligible for category 2 awards. Faculty members are not eligible to serve as principal investigators for category 2 awards. Category 3 proposals must involve a new or expanded collaboration among a University of Rochester faculty member and one or more co-principal investigators from at least one of the participating UNYTE institutions. Co-investigators may be from institutions other than the University of Rochester.

**Eligible Clinical Trials:** The NIH institute funding the CTSI (the National Center for Advancing Translational Sciences, or NCATS), can only provide direct support for clinical trials ranging from Phase I through Phase IIA; therefore Phase IIB clinical trials or those of subsequent phases are not eligible for the CTSI pilot project program. NCATS defines Phase II clinical trials as those that are designed to test drugs for efficacy and side effects in a limited number of patients. Phase IIA trials provide data for exposure-response in patients, while Phase IIB trials provide data for dose-ranging in patients.

**Allowable Costs:** The program will support costs normally allowable for NIH-funded research projects, except that funding cannot be used to support faculty salary. Trainee salary support is permitted for all award types but must be justified in the proposal. Facilities and administrative costs or “indirects” are required for subcontracts with other institutions and will be paid from the direct costs of the award. Note that fees for use of the Clinical Research Center may be discounted for successful applicants.

**Resubmissions:** Only one resubmission of a previously submitted proposal is allowed. New proposals need to be changed substantively to address prior review concerns.

**Format for Abstract Submission:** Please provide the following:

1. Complete the required fields in the application submission system, providing the following information:
  - a. Title of the project
  - b. PI name and contact information – Please note that for Trainee Pilots, the Trainee is considered the PI.
  - c. For Category 2 proposals (Trainee Pilots), the name of the PI's mentor and mentor contact information
  - d. Co-investigator names and contact information
  - e. Type of award: Faculty pilot, Trainee pilot, or UNYTE Translational Research Network pilot.
  - f. Category of the research: select all that apply from the categories of pre-clinical research, clinical research, clinical implementation, and public health research.
  - g. Total amount of money requested
  - h. Indication as to whether the application is new or a revision
  - i. Involvement of human subjects or vertebrate animals
  - j. Name and contact information for the department administrator or grants administrator
  - k. A signed attestation statement from the PI that the project is not funded through another mechanism. A template for this attestation is available at <https://www.urmc.rochester.edu/clinical-translational-science-institute/resources/pilot-studies-program.aspx>.
2. Abstract (limited to 1 page in font no smaller than 11 point, 0.5 inch margins) which includes the following:
  - a. Project title and names of the PI and co-investigators
  - b. A description of how the proposal is responsive to the priorities of the Pilot Studies Program
    - i. Responsiveness to team science
    - ii. Responsiveness to population health
    - iii. Responsiveness to the priorities of the application category
  - c. Specific Aims of the project
  - d. A brief description of the research plan
  - e. A succinct timeline of key milestones.

**Notes:**

- (1) No additional pages are permitted for a bibliography. Bibliographic information must be included within the one-page abstract.
- (2) No letters of support are to be submitted with the abstract.

**Online Submission:** Proposals must be submitted electronically via the following link:

<https://redcap.urmc.rochester.edu/redcap/surveys/?s=CEEP78RJLP>.

**Note:** The submission system will reject proposals submitted after the deadline time of 5:00 PM.

**Details of the full proposal application procedure will be provided at the time of notification of invitation.**

**Review Priorities:** Priorities for awarding pilot funding are listed below. In addition, priority will be given to scientifically meritorious applications that include research teams spanning a

spectrum of translational research (T1 through T4), examples of which include teams of pre-clinical and clinical investigators, and clinical and population health investigators.

1. Faculty Category – Proposals with the best potential to receive subsequent R01 or other grant funding will receive the highest priority for funding.
2. Trainee Category – Proposals that are the most likely to be competitive for subsequent funding through the NIH's Fellowship or K mechanism will receive the highest priority for funding.
3. UNYTE Category – In addition to review priorities for the Faculty Category, proposals that involve substantive and collaborative participation of faculty and facilities from the UR and at least one other UNYTE member institution will receive the highest priority for funding.

**Review Process:**

The 1-page abstracts are reviewed and scored by a faculty review committee. After a face-to-face review meeting, approximately 1/4 to 1/3 of the proposals are selected for solicitation of full proposals. Full proposals, which consist of 6-page grant applications in NIH format, are reviewed by the CTSI review committee and other selected *ad hoc* experts which subject the proposals to rigorous scientific review. Following the review process and a formal study section-style discussion and scoring meeting, funding recommendations are made to the CTSI Executive Team for funding of the most meritorious projects. Trainee proposals are reviewed separately from the other categories.

**Requirements if Funds are Awarded:**

1. **IRB and UCAR Approvals:** All IRB and UCAR protocols must be approved prior to expenditure of any funds.
2. **Delayed Onset Human Subjects Research:** The NIH requires that the CTSI obtain explicit approval from the NIH for any pilot-funded research involving human subjects. Accordingly, the IRB-approved protocol and other materials must be submitted to the NIH at least 30 days prior to the project start date. CTSI personnel will work with awardees to meet these requirements.
3. **Prior Approval of Vertebrate Animals Research:** The NIH requires that the CTSI obtain explicit approval from the NIH for any pilot-funded research involving vertebrate animals. UCAR approval documentation and other materials must be submitted to the NIH at least 30 days prior to the project start date. CTSI personnel will work with awardees to meet these requirements.
4. **Publications:** All publications that benefit in whole or in part from support provided by the 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 <http://www.urmc.rochester.edu/libraries/miner/publishing/NIHPublicAccessPolicyMinerLibrary.cfm>.
  - b. Acknowledge 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.”

**5. Clinical Trials:**

- a. To satisfy expectations of NCATS, the funder of the CTSA program, award recipients conducting an NIH-defined Clinical Trial must also complete Good Clinical Practice (GCP) training. The PI must certify that this training has been completed when the delayed onset human subjects research materials are submitted to NCATS for review. Information about fulfilling this requirement is available at <http://www.rochester.edu/ohsp/education/certification/gcpTraining.html>. The NIH definition of a clinical trial is available at <https://grants.nih.gov/policy/clinical-trials/definition.htm>.
- b. If the pilot project involves a clinical trial, the awardee will be required to promptly inform the CTSI of all adverse events that are serious, unexpected and related to participation in research. Further guidance is available here: [www.hhs.gov/ohrp/policy/advevtguid.html](http://www.hhs.gov/ohrp/policy/advevtguid.html).
- c. All applicable clinical trials must be registered in clinicaltrials.gov. For more information about registration requirements, see <https://www.urmc.rochester.edu/ctsi/regulatory-support/clinical-trials-registration.cfm>.

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

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