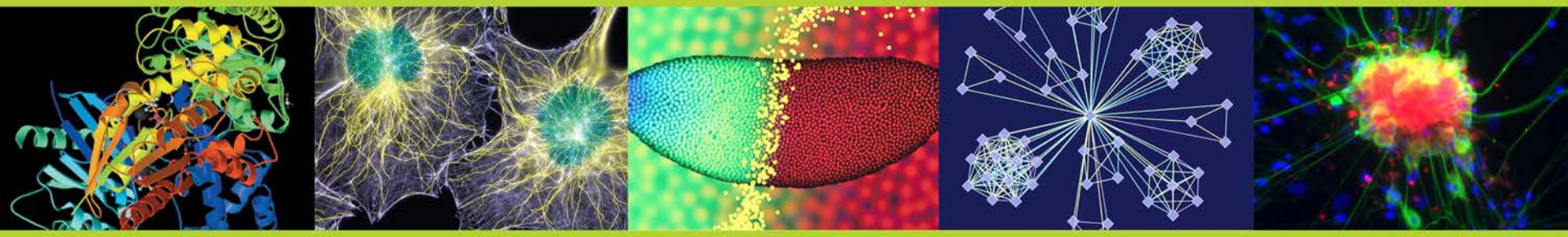
National Institute of General Medical Sciences

Research Initiative for Scientific Enhancement (RISE) Program Webinar

Thursday, April 6, 2017



Presenters

- Anissa J. Brown, RISE Program Officer
- Luis Cubano, RISE Program Officer
- Rebecca Johnson, Scientific Review Officer
- Susan South, Grants Management Specialist

Webinar Outline

I. Program Overview

II. Application Overview

III. Budget Overview

IV. Peer Review Overview

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RISE Program Overview

- Developmental program that seeks to increase the number of students underrepresented (UR) in the biomedical sciences that complete Ph.D. degrees.

- Aims to help reduce the existing gap in completion of Ph.D. degrees between underrepresented and non-underrepresented students.

RISE Program Website:
https://www.nigms.nih.gov/Training/RISE/Pages/default.aspx

Updated Goals or Outcomes

- An increase in the overall number of underrepresented students that complete a Ph.D. and continue biomedical research careers;

- At least 80% of RISE-supported undergraduate, master's and Ph.D. students will complete their degrees; and

- At least 50% of undergraduate (UG) and 75% of master's RISE-supported students will enter a Ph.D. program within three years after graduation, and 80% of them will complete their degrees.

See NOT-GM-17-003 for more details.

Eligibility Information - *Institutions*

- Award science degrees to undergraduate and/or graduate students.
- Have a historical mission or track record of educating underrepresented students in biomedical research.
- Have received less than $6 million dollars per year from R01 and equivalent grant support (total costs) in each of the last two fiscal years.
- Institutions supported by NIGMS IMSD and/or IRACDA (lead institutions) programs are not eligible to apply.

See NOT-GM-17-003 for more details.

Eligibility Information -
Program Director (PD) / Program Investigator (PI)

The PD(s)/PI(s) must have a regular full-time appointment (i.e., not adjunct, part-time, retired, or emeritus) at the applicant institution.

Eligibility Information - Salary Supported Participants

- Must be a citizen, non-citizen national or permanent resident of U.S.
  - Deferred Action for Childhood Arrivals (DACA) students are not eligible.
- Matriculating full-time at the applicant institution majoring in biomedical sciences.
- Meet at least one of the underrepresented categories:
  - African Americans, Hispanics, American Indians or Alaska Natives, Native Hawaiians and Pacific Islanders;
  - Individuals with disabilities; and/or
  - Individuals from disadvantaged backgrounds. (For undergraduates only)

See NOT-OD-15-089 for more details.

Award Information - *Types of Awards*

- New
- Renewal
- Resubmission

Award Information - *Budget and Project Period*

- **Award Budget**
  - Application budgets are not limited but need to reflect the actual needs of the proposed project.

- **Award Project Period**
  - The maximum project period is five years.

Programs are renewable

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First Step in Preparing an Application

Read the
FOA, Notice and SF424 (R&R)
Application Guide thoroughly.

Critical Components of Application

- Other Attachments (not equal to appendix)
- Research & Related Senior/Key Personal
  - Biographical Sketches
- Budget
- Budget Justification
- Research Strategy

Other Attachments

- Advisory Committee
  - Suggested file name “Advisory_Committee.pdf”
- Research Training Table 8A Part I
  - Suggested file name “Table 8A.pdf” ***for renewal application only***
- Research Training Table 8D Part I
  - Suggested file name “Table 8D.pdf” ***for renewal application only***

Biographical Sketches

- Provide biographical sketches for:
  - PD/PI
  - Program Coordinator
  - Faculty Members
- New Biosketches are limited to five pages - http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-032.html
- Should reflect past records in training and mentoring students, including but not limited to teaching and/or research achievements, and extramural research support.

Research Strategy

- Research Education Program Plan must include:
  - Proposed Research Education Program
  - Program Director/Principal Investigator
  - Program Faculty
  - Program Participants
  - Institutional Environment and Commitment
  - Plan for Instruction in the Responsible Conduct of Research
  - Evaluation Plan
  - Dissemination Plan

Institutional Self Assessment

- Determine capacity to support students to attain undergraduate and/or graduate degrees in the biomedical sciences.
- Provide baseline data on the number of students retained and graduating in the biomedical sciences
- Include information related to:
  - Institutional mission and core themes, current resources and capacity
  - Indicators of effectiveness toward achieving its mission as it relates to the biomedical science disciplines.

Research Education Program

- Distinguish itself from current research training and education programs.
- Address the overall goals and specific measurable objectives including anticipated milestones.
- Provide programmatic details on the design to improve UR students' competitiveness for completion of Ph.D. degree in biomedical sciences.

Research Education Program cont.

- Outline the schedule of research experiences and courses for skills development.
- Discuss impediments to implementing activities and alternative strategies to achieve the specific aims.
- Demonstrate that students will have a meaningful research experiences.

Proposed summer research experiences must be at least 2 consecutive months in duration.

Research Education Program cont.

- Address
  - Future impact of the proposed program on the institutional demographics of both the UG and/or graduate student pool.
  - Overall number of UR students at the institution that complete degrees in biomedical sciences; and matriculate in Ph.D. programs.

Program Director/Principal Investigator

- Describe arrangements for administration of the program.
- Provide evidence that the PD/PI is actively engaged in research and/or teaching, and can organize, administer, monitor, and evaluate program.
- For multiple PDs/PIs:
  - describe the complementary and integrated expertise of the PDs/PIs;
  - their leadership approach; and governance appropriate for the planned project.

Program Director/Principal Investigator cont.

- Describe the administrative structure and leadership succession plan for critical positions (e.g., PD/PI).
- If PD/PI is serving in a leadership role for multiple training programs at the applicant institution, describe how the PD/PI's duties will not overlap.
- Describe the institutional administration, how the PD/PI will interface with it, and how the proposed structure will allow the PD/PI to implement RISE Program activities.

Program Faculty

- Researchers from diverse backgrounds, including racial and ethnic minorities, persons with disabilities, and women are encouraged to participate as preceptors/mentors.

- Mentors should have research expertise and experience relevant to the proposed program. Mentors may be faculty members at the applicant institution or external faculty who participate in the proposed program.

- All mentors must be committed to continue their involvement throughout the total period of the mentee's participation in this award.

Program Participants

- Describe the intended participants, and the eligibility criteria and/or specific educational background characteristics.
- Include career levels for the proposed program and student selection qualifications.
- Include a description of the applicant pool based on the selection and retention criteria.

Institutional Commitment

Include:

- The commitment by the senior leadership to research training and education, and success of students.
- A plan for institutionalization of RISE-supported activities no later than two years after the activity is initiated.

Institutional Environment

Include a brief description of:

- Current student development and research-training programs using Table A.
- Counseling/mentoring services available.
- Success in preparing and graduating underrepresented students.
- *If applicable, a justification should be included for sites other than the applicant institution in the program narrative.*

Data Tables Summary

Table	Title of Table	New Applications	Renewals
A	Current Student Development and Research Training Programs	YES	YES
B	Cumulative Institutional Baseline Data	YES	YES
C	Institutional Faculty Data	YES	YES
D1	Institutional Undergraduate Graduation Data	YES	YES
D2	Institutional Master's Degree Graduation Data	YES	YES
D3	Institutional Ph.D. Degree Graduation Data	YES	YES
E1	RISE-supported Participant Data	N/A	YES
E2	Outcomes of Undergraduate (UG) RISE-supported Participants	N/A	YES
E3	Outcomes of M.S. RISE-supported Participants	N/A	YES
E4	Outcomes of Ph.D. RISE-supported Participants	N/A	YES
8A / 8D	Program Outcomes: Predoctoral / Undergraduate	N/A	YES

Applications that do not include these data in the body of the text will not be reviewed.

Suggested Tables for All Applicants

- **Table A - Current Student Development and Research Training Programs**

	Program Title
Project Duration (Years) Start and Ending Dates	5 years 10/01/2015 – 09/30/2020
Funding Entity	US Department of Education
Program Goals	• Student Financial Support • Educational Environment Improvement
Participant Number	10 undergraduate students
Target Audience	Undergraduate students
Eligibility Criteria (if applicable)	• Good Academic Standing • Underrepresented students

Suggested Tables for All Applicants

Table B - Cumulative Institutional Baseline Data

INSTITUTIONAL BASELINE DATA	Total Number	UR* Number (%)	Non-UR Number (%)
A. Total Students enrolled at the Institution (last 5 years)	25,240	24,620 (98%)	620 (2%)
B. Total Enrollment Data in RISE-relevant departments (last 5 years)			
B1. UG	9,460	9,460	0
B2. M.S.	730	720 (98.6%)	10 (1.4%
B3. Ph.D.	330	320 (97%)	10 (3%)
C. Graduation Data in RISE-relevant sciences (last 5 years)			
C1. UG	4,880	4,880 (100%)	0
C2. M.S.	170	170 (100%)	0
C3. Ph.D. and/or M.D./Ph.D.	0	0	0
D. Advanced Degrees Pursued by Alumni (last 10 years)	150	150	0
D1. Completed Ph.D. degrees in RISE-relevant sciences	10	10	0
D2. Completed M.D. degrees	30	30	0
D3. Completed other professional technical degrees (e.g., D.D.S., D.M.D., D.V.M., J.D., Ed.D. etc.)	0	0	0
List of departments included in this table: Biology and Chemistry			

Suggested Tables for All Applicants

- **Table C - Institutional Faculty Data**

Total Tenure-Track Faculty	Institution-wide	RISE-relevant Departments				
		Biology Number (%)	Chemistry Number (%)	Physics Number (%)	Other:___ Number (%)	TOTALS (%)
A. Total	370	70 (19%)	100 (27%)	50 (14%)	0	220 (59%)
B. Total UR*	230	60 (26%)	50 (22%)	40 (17%)	0	150 (65%)
C. Total Non-UR*	140	10 (7%)	50 (36%)	10 (7%)	0	70 (50%)
D. Faculty participating in externally funded research	180	30 (17%)	40 (22%)	40 (22%)	0	110 (61%)

Suggested Tables for All Applicants

- **Table D1 - Institutional Undergraduate Graduation Data**
- **Table D2 - Institutional Master's Degree Graduation Data**
- **Table D3 - Institutional Ph.D. Degree Graduation Data**

Graduation Data	RISE-relevant Departments				
	Biology Number (%)	Chemistry Number (%)	Physics Number (%)	Other:__ Number (%)	TOTALS (%)
A. Total Graduated	70 (41%)	70 (41%)	30 (18%)	0 (0%)	170 (100%)
B. Total UR*	70 (41%)	70 (41%)	30 (18%)	0 (0%)	170 (100%)
C. Total Non-UR*	0	0	0	0	0

Additional Suggested Tables for Competitive Renewals

Table E1 - RISE-supported Participant Data
Table E2 - Outcomes of Undergraduate (UG) RISE-supported Participants
Table E3 - Outcomes of M.S. RISE-supported Participants
Table E4 - Outcomes of Ph.D. RISE-supported Participants

- Provide the information for total number of RISE-supported participants only (students that received salary wages), as applicable.
- Applications with only one previous funding cycle must include information from the last funding cycle.
- Applications with more than one previous funding cycle must include information from the last three consecutive funding cycles.

Table E1

E1. RISE-supported Participant Data (reporting period: 7/1/2012 – 6/30/16)

Academic Level	Total Number	Graduated	Currently Enrolled	Withdrew
UG	90	76	10	4
M.S.	0	0	0	0
Ph.D.	0	0	0	0
TOTALS	90	76	10	4

Table E2

Table E2. Outcomes of RISE-supported Undergraduate Participants

A. Last Funding Period: (7/1/2012-6/30/16)	Number
A1. Total number of participants	40
A2. Participated in academic year research experiences	30
A3. Participated in summer research experiences	20
A4. Entered M.S. programs*	5
A5. Entered Ph.D. programs*	10
A6. Entered M.D. programs*	3
A7. Entered M.D./Ph.D. programs*	1
B. Former UG RISE-supported Participants (exclude last funding period)	
B1. Total number of former RISE participants	50
B2. Completed M.S.	6
B3. Completed Ph.D.	4
B4. Still in (M.S./Ph.D.) graduate training	9
B5. Withdrew from (M.S./Ph.D.) graduate training	1

Recruitment Plan to Enhance Diversity

- New applications must include a description of strategies to enhance the recruitment of trainees from underrepresented backgrounds.

- Renewal applications must include a detailed summary of experiences in recruiting individuals from underrepresented backgrounds during the previous funding cycle

  - Individuals who applied for admission
  - Individuals who were offered admission
  - Individuals who participated

Applications lacking a diversity recruitment plan will not be reviewed.

Evaluation Plan

- Specify baseline metrics
  - (e.g., numbers, educational levels, and demographic characteristics of participants)

- Specify measures to gauge the short or long-term success of the program in achieving its objectives.

Evaluation costs are allowed up to a maximum of $3,000 for the 5-year project period.

Dissemination Plan

- A specific plan must be provided to disseminate nationally any findings resulting from or materials developed under the auspices of the research education program.

- Examples: sharing course curricula and related materials via web postings, presentations at scientific meetings, workshops.

Letters of Support

- A letter of institutional commitment **must** be attached as part of Letters of Support.
- The letter must address the institutionalization plan.

Resource Sharing Plans

- Required for any application seeking $500,000 or more in direct costs in any single year
- https://grants.nih.gov/grants/policy/data_sharing/
- Sample: https://www.niaid.nih.gov/research/sample-data-sharing-plan

Appendix

New Policy Eliminates Most Appendix Material for NIH Applications Submitted After January 25, 2017.

https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html

DO NOT INCLUDE ANY MATERIALS UNDER APPENDIX

Plan for Instruction in the Responsible Conduct of Research

- All applications must include a plan to fulfill NIH requirements for instruction in the Responsible Conduct of Research (RCR).
- The plan must address the five required components:
    1) Format
    2) Subject Matter
    3) Faculty Participation
    4) Duration of Instruction
    5) Frequency of Instruction

Applications lacking a RCR plan will not be reviewed.
See NOT-OD-10-019 for more details.

Common Pitfalls

- Not reading the FOA and Notice thoroughly
- Specific aims do not align with institutional assessment and resources
- Proposed project lacks novelty and innovation
- Incomplete and/or complete tables that don’t align with institutional self assessment and proposed project.
- All: Failure to state program weakness and strategies to address them.
- For resubmissions, failure to address reviewer’s comments.

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Budget Overview

Updated Personnel Costs

- Salary support for the PD/PI and collaborators (or combination of multiple PDs/PIs collaborators) is limited to up to 3.6 person months (i.e., 30% on a 12-month basis)

- The combined total salary support for other administrative personnel, and the salary for any other single support position are limited to up to 6.0 person months (i.e., 50% on a 12-month basis), depending on person months devoted, and on the size and scope of the program.

NOT-GM-17-003

Budget - Participants

- Support is allowed for undergraduate and graduate students in the form of salary and wages. **Stipends are not allowable for the RISE Program.**

- Graduate students may be supported on RISE funding usually up to **two years** if preparing for a M.S. degree and a total of **five years** (including any RISE funding for a M.S. degree) if preparing for a Ph.D. degree.

- Students may not concurrently hold another federally sponsored award that duplicates RISE support.

Participants Cost

- To receive salary support from the RISE Program, students must be a citizen or a noncitizen national of the United States or have been lawfully admitted for permanent residence at the time of appointment.

- RISE participants are expected to be appointed to at least one consecutive 12-month appointment.

Budget – Program Expenses

- For new applications, institutions may request up to a maximum of $12,500/student participant for Other Program-Related Expenses.

- For renewal applications, institutions may request up to a maximum of $10,500/student participant for Other Program-Related Expenses.

Program Expenses Caps Costs

- Consultant costs
- Equipment
- Student academic skills development workshops
- Research supplies
- Travel – Participants and Program Staff
- Evaluation costs

Unallowable costs

- Undergraduate student tuition, housing, food, or recruitment expenses.
- Graduate student housing, food, or recruitment expenses.
- Undergraduate or graduate student support in the form of a stipend
- Support for either graduate or undergraduate students not matriculated at the applicant institution.
- Foreign travel by PD(s)/PI(s), faculty, coordinators, research mentors, other personnel or RISE participants.
- Other prohibited costs. See Notice NOT-GM-17-003 and NIH Grants Policy Statement.

X-Train for Student Appointments

- All RISE R25 participants must have an appointment form submitted through the eRA Commons to X-Train before they may receive their compensation
- If participants cannot continue in the grant program for the full appointment period an amended appointment must be submitted to X-Train with the correct appointment period

xTrain Web Page - application guide, quick reference sheets, FAQs, training materials:
https://era.nih.gov/services_for_applicants/other/xTrain.cfm

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Peer Review Overview

Peer Review

- Please read the review criteria while preparing your application to make sure all of the required information is included.
- Review panel will assess your application against the review criteria.

Peer Review Cont.

- RISE applications reviewed by one of 2 standing NIGMS review committees: TWD-C and TWD-D
- Committees are equivalent: applications assigned to one of two committees to balance conflicts and workload
- Receipt letter from scientific review officer will provide information about meeting dates, instructions for providing updates, link for committee roster, and people to contact during the review and post-review process.
- Scores and summary statements accessed through PI's eRA Commons account

Peer Review Cont.

All from PAR Section V under Application Review Information

Scored Criteria:

- Significance
- Investigator(s)
- Innovation
- Approach
- Environment

Additional Review Criteria:

- Resubmissions (responses to previous reviews/changes)
- Renewals (progress from last funding period)

Additional Review Considerations: Acceptable/Unacceptable

- Recruitment Plan to Enhance Diversity
- Training in the Responsible Conduct of Research

Formatting Tips

Check Application

- Allow enough time to carefully check application after submission. We can not accept any missing items after the receipt deadline**.**

Page Limits

- Supply all requested materials within page limits
- Do not “overstuff” sections that don’t have page limits or use appendices to get around the limits

Appendices

- New notice NOT-OD-16-129 eliminates most appendix material for applications submitted after 1/25/2017.
- Still allowed:
  - Blank informed consent/assent forms
  - Blank surveys, questionnaires, data collection instruments
  - FOA-specified items

Application Preparation Tips

Content

- Read the program announcement and ensure that your application contains the necessary elements
- Successful submission through Grants.gov and eRA Commons does not mean appropriate responsiveness to the program announcement

Context

- Present the institutional framework and environment of your program
- Be realistic in your program's goals

Application Preparation Tips Cont.

Comprehensive

- Address all of the requirements of the program announcement
  - For example:
    - If you don't have institutional baseline data, explain how you plan to obtain it
    - If you haven't fully formed your evaluation plan, at least acknowledge that you are working on it

- Describe how your program "works"
  - For example:
    - How are students recruited and selected? By whom?
    - What does the advisory committee do? How often do they meet?
    - How have you used evaluation information in designing/improving your program?

Application Preparation Tips Cont.

Clear

- Don’t bury important information

- Don’t expect reviewers to “read between the lines” to figure out what you are proposing

- Present outcomes data in a straightforward manner:
  - Don’t exaggerate
  - Don’t hide data (reviewers will “do the math”)
  - It is far better to present results as they are and address how the program aims to improve

Application Preparation Tips Cont.

Current

- Make sure faculty biosketches are up-to-date, in correct format, and relevant for training program
- Provide data on current and prior students
- Use the most recent institutional data

Consistent

- Data in tables and text should match
- Data should be consistent across tables
- Match justification to budget items
- Refer to the correct program in text and tables

Review Process: Usual Timeline

Timeframe (From submission date)	**Activity**
1 - 2 months	Referral
2 - 6 months	Review Panel
6 - 7 months	Summary Statement Available
7 - 8 months	Advisory Council
8 - 9 months	Funding Decisions
9 - 10 months	Award Start Date

General Guidelines

- Biosketch Requirements:
  http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-085.html
- Biosketch FAQs:
  http://grants.nih.gov/grants/policy/faq_biosketches.htm
- New Biosketch Formats:
  https://loop.nigms.nih.gov/2015/04/new-biosketch-formats-for-applications-due-may-25-and-later/
- Font changes:
  https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-009.html

Critical Deadlines

- Letter of Intent Due Date(s)
  - Not Applicable
- Application Due Date(s)
  - May 25, 2017 and May 25, 2018
- Earliest Start Date
  - June 1, 2018; June 1, 2019

For additional information

- Funding Opportunity Announcement (FOA) PAR-16-361
- Notice NOT-GM-17-003
- RISE Website
  https://www.nigms.nih.gov/Training/RISE/Pages/default.aspx

- Frequently Asked Questions – Application Guide, Electronic Submission of Grant Applications

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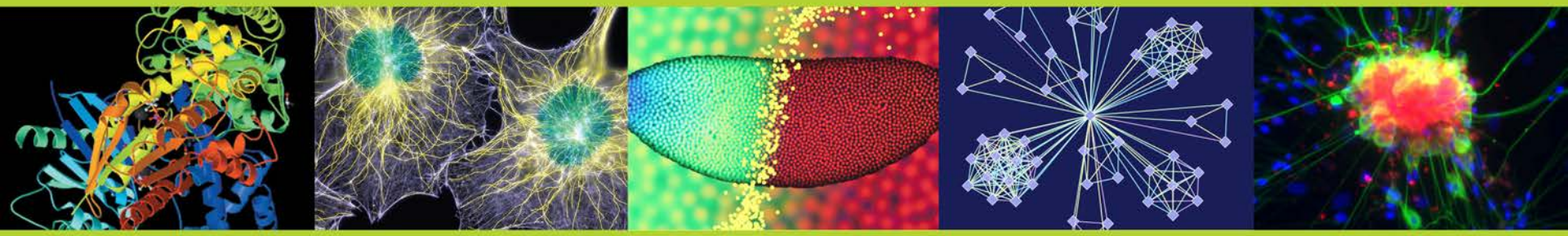
Thank you!



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