NEW INVESTIGATOR PROGRAM
2014 REQUEST FOR PROPOSALS

APPLICATION GUIDELINES
MAY 2014
The Partnership Education and Research Committee (PERC) is pleased to announce the 2014 Request for Proposals for the New Investigator Program. This program is designed to help achieve the vision of the Wisconsin Partnership Program: “making Wisconsin a healthier state for all”.

The goal of the New Investigator Program is to support innovative research and/or education approaches that address Wisconsin’s public health issues. Evaluation of each proposal will be based on scientific merit and the potential impact on health and/or health care.

The PERC is seeking creative research and education proposals that span the spectrum of basic, clinical, social/behavioral, or population sciences. Proposals should advance biomedical sciences, and/or promote patient care and the health of populations through prevention, diagnosis, treatment and cure of disease, and the reduction of health disparities. Each proposal must describe the potential to improve the health of the people of Wisconsin and must also clearly explain the steps necessary to translate discovery to application in the clinical setting and/or in communities.

With implementation of the Wisconsin Partnership Program 2014-2019 Five-Year Plan, PERC encourages proposals covering a broad range of topics, including, but not limited to:

- Obesity
- Health disparities, such as birth outcomes or oral health
- Education
- Mental health

II. Eligibility Requirements

A. Principal Investigator

A Principal Investigator (PI) is required and must be a UW School of Medicine and Public Health (SMPH) Assistant Professor with a salaried appointment of 50% or greater in the SMPH. The PI’s appointment start-date, as of January 1, 2015, must be on or after:

<table>
<thead>
<tr>
<th>Tenure Track</th>
<th>January 1, 2011 (i.e., within four years of start-date), plus tenure track extension, if applicable</th>
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<tbody>
<tr>
<td>Clinical Health Sciences (CHS)</td>
<td>January 1, 2009 (i.e., within six years of start-date)</td>
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<tr>
<td>Clinician-Teacher (CT)</td>
<td>January 1, 2009 (i.e., within six years of start-date)</td>
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Faculty in all SMPH departments, including basic science, are encouraged to apply.

The PI has ultimate authority over and responsibility for the project as specified in the Memorandum of Understanding of the Wisconsin Partnership Program. If unsure of eligibility status, please contact the Wisconsin Partnership Program Office (See section V).

B. Collaborators

Although collaborators are not required, up to two may be included on the project. Collaborators typically contribute specialized expertise to the project and have more narrowly defined roles than those of the PI. Collaborators may have an appointment in the UW School of Medicine and Public Health, other UW-Madison schools or colleges, UW System campuses, Aurora Health Care, Marshfield Clinic, Gundersen Health System, the Medical College of Wisconsin, state and local government agencies or community organizations.
III. Scope of Funding

Awards up to $100,000 may be requested to be expended within two years. Typically four projects are funded each cycle.

IV. Submission Guidelines

A. Submission and Review Dates

<table>
<thead>
<tr>
<th>Event</th>
<th>Date/Time</th>
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<tbody>
<tr>
<td>Request for Proposals released</td>
<td>May 15, 2014</td>
</tr>
<tr>
<td>Preliminary applications due</td>
<td>June 17, 2014</td>
</tr>
<tr>
<td>Review of preliminary applications</td>
<td>June – August 2014</td>
</tr>
<tr>
<td>Notify applicants of status/Invite full applications</td>
<td>August 12, 2014</td>
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<tr>
<td>Full applicant orientation session</td>
<td>August 14, 2014 (4:00PM in 4250 HSLC)</td>
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<tr>
<td>Full applications due (by invitation only)</td>
<td>September 11, 2014</td>
</tr>
<tr>
<td>Review of full applications</td>
<td>September – November 2014</td>
</tr>
<tr>
<td>Notify applicants of status/Invite finalists for interviews</td>
<td>November 11, 2014</td>
</tr>
<tr>
<td>Applicant interviews</td>
<td>December 8, 2014</td>
</tr>
<tr>
<td>Notify applicants on award decision</td>
<td>December 11, 2014</td>
</tr>
</tbody>
</table>

B. Limit on Resubmission of the Same Proposal

Applicants are limited to two submissions, an original and one resubmission, of the same proposal. Applicants submitting a revision must respond to the reviewer comments provided by the Wisconsin Partnership Program at the conclusion of the applicable funding cycle, paying particular attention to how the current proposal differs from the original submission.

Applicants who have submitted two versions of an application and have not been successful may submit a new application. It must be substantially different in content and scope with more significant differences than are normally encountered in a resubmitted application.

V. Training and Technical Assistance

Program staff are available to answer questions about the application submission and review process, applicant eligibility, budget categories and program priorities. In addition, an informational webcast for potential applicants is available on the Wisconsin Partnership Program website.

Wisconsin Partnership Program
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VI. Preliminary Grant Application Guidelines

A preliminary grant application is required – due June 17, 2014 by 5:00 p.m. – and will be considered by PERC for further development as a full application. Applicants will be informed by August 12, 2014 regarding whether they are being invited by PERC to submit a full application.

Applicants are limited to submission of no more than one preliminary application as Principal Investigator.

The preliminary application is accessible at http://wpp.med.wisc.edu/percprenip. Instructions are provided upon entry into the website on obtaining a unique username and password to access the application forms. All items in the left navigation (i.e., table of contents) are required unless otherwise indicated in the application guidelines. In addition to providing general information on the project, the preliminary application includes the following components:

A. Project Abstract

Provide an overview of the project stating the broad, long-term objectives and specific aims, making reference to the potential impact on health and/or health care. The overview must also indicate how the project addresses the mission, vision and at least one of the desired outcomes of the Wisconsin Partnership Program 2014 – 2019 Five-Year Plan. In addition, the overview should contain a brief paragraph description of how successful completion of this project will advance the career development of the applicant.

The overview must be uploaded as a PDF not exceeding two single-spaced pages with one-inch margins and a minimum 11-point font. Footnotes and references are not included in the page limits.

B. NIH Biographical Sketch

Provide a current four-page NIH biographical sketch for the Principal Investigator, and four-page biographical sketch or resume for the collaborator(s), if applicable. The biographical sketch must include a personal statement relevant to the proposal and the following details related to other support:

- Active/pending
- Project number and name of Principal Investigator
- Funding source/granting agency
- Title of project (or subproject)
- Major goals of the project
- Dates of support for approved/proposed project
- Total amount of award
- Percent effort of the applicant

The NIH biographical sketch(es)/resume(s) must also list mentoring committee membership. This information helps avoid conflicts of interest in identifying potential expert reviewers.

The NIH biographical sketch(es)/resume(s) must be uploaded as a single PDF.

VII. Full Grant Application Guidelines

Applicants must be invited by PERC to submit a full application – due September 11, 2014, by 5:00 p.m. The link to the full application web site will be provided to the Principal Investigator in the letter of invitation from PERC. Applicants invited to submit full applications will be informed by November 11, 2014, regarding whether they are being invited to make an oral presentation to the PERC.

In addition to providing general information on the project, the full application includes the following components:
A. Abstract and Relevance

The first and major component of this section is the Proposal Abstract. It is meant to serve as a succinct and accurate description of the proposed work when separated from the application. State the application’s broad, long-term objectives and specific aims, making reference to the potential impact on health and/or health care of the project (i.e., alignment with the mission, vision and at least one of the desired outcomes of the Wisconsin Partnership Program 2014 – 2019 Five-Year Plan). Describe concisely the design and methods for achieving the stated goals. This section should be informative to other persons working in the same or related fields and understandable to a scientifically or technically literate reader. Avoid describing past accomplishments and the use of the first person.

The second component of this section is Relevance. Describe in a brief paragraph how the outcomes of this project will lead to improvements in health and/or health care. In this section, you must provide a brief synopsis in succinct and plain language without scientific and medical terminology that can be understood by a general, lay audience. The expert review panel will assess the potential impact of the project on health in Wisconsin.

The proposal abstract and relevance together must be uploaded as a PDF not exceeding one single-spaced page with one-inch margins and a minimum 11-point font.

B. Proposal Narrative

Provide a description of the project including the specific aims, significance, approaches, and expected outcomes. The proposal narrative must be uploaded as a PDF not exceeding five single-spaced pages with one-inch margins and a minimum 11-point font. The following items are not included in the page limits: footnotes, references, and up to three tables and/or figures. Tables and figures should be inserted after the narrative.

C. Proposal Review Criteria

Include a statement addressing the primary and/or secondary review criteria listed below. This statement must be uploaded as a PDF not exceeding two single-spaced pages with one-inch margins and a minimum 11-point font.

1. Primary review criteria: All applicants are required to address the primary review criteria. The project:
   - Shows innovation and has outstanding merit.
   - Advances the mission, vision and at least one of the desired outcomes of the Wisconsin Partnership Program 2014 – 2019 Five-Year Plan.
   - Appears feasible with high likelihood for acquisition or application of useful data.
   - Has the potential to advance the career development of the applicant.
   - Describes the process by which successful execution of this research or education intervention could be translated into improved health of the people of Wisconsin. This includes a clear plan for dissemination of results.

2. Secondary review criteria: If applicable, applicants may also address one or more of the secondary review criteria. The project:
   - Has a leveraging effect and is likely to lead to extramural grant support.
   - Enhances interdisciplinary research or education and fosters collaborations among basic, clinical, social/behavioral, and/or population scientists.
   - Provides opportunities for community engagement.
D. School of Medicine and Public Health Department Chair Nomination Letter

The application must include a nomination letter from the Principal Investigator’s SMPH department chair. The nomination letter must provide evidence of compensated protected time for this project. The letter must also address departmental support and resources, such as facilities or other appropriate resources, for the successful applicant. Include an overview of start-up funds provided by the SMPH department, the SMPH, the UW-Madison Graduate School, or other sources. There is no limit on the number of nominations from each department.

The nomination letter must be uploaded as a PDF. There is no page limit for the nomination letter.

E. NIH Biographical Sketch

Provide a current four-page NIH biographical sketch for the Principal Investigator, and four-page biographical sketch or resume for the collaborator(s), if applicable. The biographical sketch must include a personal statement relevant to the proposal, and the following details related to other support:

- Active/pending
- Project number and name of Principal Investigator
- Funding source/granting agency
- Title of project (or subproject)
- Major goals of the project
- Dates of support for approved/proposed project
- Total amount of award
- Percent effort of the applicant

The NIH biographical sketch(es)/resume(s) must also list mentoring committee membership. This information helps avoid conflicts of interest in identifying potential expert reviewers.

The NIH biographical sketch(es)/resume(s) must be uploaded as a single PDF.

F. Letters of Commitment

Applicants collaborating with an organization(s) external to the University of Wisconsin System must include a letter(s) of commitment providing evidence of the collaboration with specific details on how the organization(s) will be involved or support the project. The letter(s) must be uploaded as a PDF.

G. Project Budget and Funding Guidelines

1. General Information
   a. The maximum request is up to $100,000 to be expended within two years.
   b. The project budget should clearly indicate how the grant funds will be spent. Expenditures must:
      - be fully justified, reasonable and clearly related to the project’s goal(s);
      - reflect the activities/tasks listed in the proposal; and
      - explain the sources and amounts of any cost sharing funds, either in-kind or cash match.
   c. Requests should be made by expense type (salary, fringe benefits, travel, supplies, etc.). Provide sufficient detail for individuals unfamiliar with the project so they can accurately review the proposal.
   d. Budget narrative: A budget justification narrative is required for purposes of describing in detail the major budget line items: salary, fringe, travel, equipment, supplies,
consultants/contracts, and other costs. The narrative should provide the specifics of why an expense is necessary to achieve the goal(s) and objective(s) of the project.

e. In-kind and cash match cost sharing: Provide details of all other sources of cost sharing, which should include internal or external in-kind or cash match.

2. **Use of Funds**
   a. [Guidelines for allowable/unallowable expenses](#) are available for review on the Wisconsin Partnership Program website.

   b. Funds must be used for project-related costs:
      - Principal Investigator (PI) salary support. The compensated appointment of the PI cannot exceed 30% FTE annually, and must be fully justified in the budget narrative.
      - Support staff expenses such as salaries and benefits or graduate student tuition
      - Supplies
      - Services
      - Participant support costs
      - Equipment (defined as items costing more than $5,000 and more than two years useful life). Maximum allowed is $50,000.
      - Travel
      - Consultant and contractual services

   c. Funds may not be used for:
      - Entertainment
      - Indirect overhead costs
      - IRB fees (See section IV.B.1)
      - Supplanting (See section VII.H)

H. **Nonsupplanting**

Supplanting means “to replace, to take the place of, or to supersede.” The Wisconsin Partnership Program prohibits any funds from being awarded that will supplant funds or resources otherwise available to applicants from other sources for the proposed project. Examples are provided in the full application by clicking the instructions button.

All applicants will be required to answer the Nonsupplanting Questionnaire as part of the application process. As an ongoing check against supplanting, grant recipients will be asked to recertify that other funds for the proposed project have not become available or been declined. This recertification will take place on an annual basis.

No grant can be awarded if a determination of supplanting is made.

I. **Compliance** See section IX.B for an explanation.

J. **Trade Secret and Proprietary Information**

The PERC is required to operate in accordance with both the Wisconsin open meetings and public records laws. Under the public records law, applications funded by the committee are considered public records and may be subject to public release. Applicants must request confidentiality of any trade secrets and/or proprietary information in their applications.
K. Application Resubmission

Applicants are limited to two submissions, an original and one resubmission, of the same proposal. Applicants submitting a revision must respond to the reviewer comments provided by the Wisconsin Partnership Program at the conclusion of the applicable funding cycle, paying particular attention to how the current proposal differs from the original submission.

Applicants who have submitted two versions of an application and have not been successful may submit a new application. It must be substantially different in content and scope with more significant differences than are normally encountered in a resubmitted application.

L. Optional Materials

Reprints or other materials may be submitted for use by the reviewers at their discretion. Optional materials should not be used to circumvent the narrative page limits. These materials must be uploaded as a single PDF.

VIII. Review Process

A. Preliminary Grant Application Review Process

1. Technical Review

Program staff will review each preliminary application to ensure that the application requirements, including eligibility, have been met. Any preliminary application which does not comply with the submission requirements will not be reviewed and the applicant will be notified.

Program staff will seek the advice of the PERC chair if questions arise from the technical review.

2. Content Review

The PERC Executive Committee, which is advisory to the full committee and which is composed of PERC members, will review the content of each preliminary application to determine if it warrants further development as a full application. Evaluation of preliminary applications will be based on scientific or educational merit, program objectives, and alignment with the mission, vision and at least one of the desired outcomes of the Wisconsin Partnership Program 2014 – 2019 Five-Year Plan. The PERC Executive Committee will forward the results of the content review to PERC for review and approval.

Applicants will be informed by August 12, 2014 whether they are being invited to prepare full applications.

B. Full Grant Application Review Process

1. Technical Review

Program staff will review each full application to ensure that the application requirements, including a nonsupplanting review, have been met. Any application which does not comply with the submission requirements will not be reviewed and the applicant will be notified.

Program staff will seek the advice of the PERC chair if questions arise from the technical review.
2. **Expert Review**

The PERC will assign each full application to two expert reviewers who are University of Wisconsin faculty with expertise in biomedical research, health services research, or community-based population health research and/or education, as required by the content and objectives of the proposals. The faculty experts will review and score assigned proposals based on scientific or educational merit, proposal design, evaluation plan, qualifications of the Principal Investigator, and potential impact on health and/or health care. In addition, each full application will be assigned to a community representative who will consider the proposal’s alignment with the mission, vision and at least one of the desired outcomes of the Wisconsin Partnership Program 2014 – 2019 Five-Year Plan and its relevance and potential impact on health in Wisconsin. The faculty experts and community representatives will meet to discuss the proposals and will provide a ranked list to the PERC along with a written critique of each ranked proposal.

Applicants will be informed by **November 11, 2014** whether they are being invited to make an oral presentation to the PERC.

3. **Committee Review**

The top ranked candidates will make oral presentations to PERC on **December 8, 2014** (interviews typically take place between 5:00 and 7:00 p.m.). **No exceptions to the announced date will be made.**

PERC will make the final determination of awards based on rank, program objectives, and alignment with the mission, vision and at least one of the desired outcomes of the Wisconsin Partnership Program 2014 – 2019 Five-Year Plan.

The decisions of the committee are final and cannot be appealed.

**IX. Grant Award Process**

**A. Memorandum of Understanding**

The SMPH will negotiate the terms of each grant and will enter into a Memorandum of Understanding with successful applicants prior to the distribution of any funds. Successful applicants will participate in project and fiscal monitoring activities as defined and delineated in the contract terms and conditions.

The Principal Investigator will have ultimate authority over and responsibility for the project.

The PERC reserves the right to establish award amounts and to authorize budget items, program goals, and other terms of the proposal prior to entering into an agreement with award recipients. Rebudgeting between major budget categories (personnel, supplies, travel, equipment, contracts) in excess of 10% of the total project budget must be approved by the director of the Wisconsin Partnership Program.

By applying to the New Investigator Program, applicants agree and consent, without reservation, substitution, or limitation to each of the following:

- Application submission requirements and rules;
- The proposal review methods, process, criteria, and scoring;
- The PERC’s sole, unrestricted right to reject any or all applications submitted in response to this Request for Proposals.

**B.** Successful applicants will be required to provide the Wisconsin Partnership Program documentation of approval by the appropriate following committees:
1. Institutional Review Board

All approved projects using human subjects in research for any purpose other than as individuals enrolled in a class or program must be reviewed by the Institutional Review Board (IRB). Documentation of an IRB review will be required before funds are disbursed.

Wisconsin Partnership Program funds cannot be used to cover IRB fees, and, therefore, may not be included in the project budget.

2. Animal Care and Use Committee

All approved projects using animals in research for any purpose must be reviewed by the Animal Care and Use Committee (ACUC). Documentation of an ACUC review will be required before funds are disbursed.

3. University Radiation Safety Committee

If the use of radioactive materials or equipment that produces radiation is essential for accomplishing the proposed activities in this project, authorization to use radionuclides must be secured from the University Radiation Safety Committee prior to the initiation of the project. Documentation of URSC approval must be provided before funds are disbursed.

4. Institutional Biosafety Committee

If the proposed activities involve the use of biological materials, the activities must be reviewed by the Institutional Biosafety Committee prior to initiation of the project. Documentation of Office of Biological Safety approval must be provided before funds are disbursed.

C. Successful applicants will also be required to provide the Wisconsin Partnership Program with the following:

1. Progress, Financial and Nonsupplanting Reports

The Wisconsin Partnership Program requires written progress reports and financial status reports (FSR), on forms provided by the Wisconsin Partnership Program. Progress reports, including Financial Status Report and Nonsupplanting Questionnaire, are due no later than thirty (30) days after the end of each 12-month period. Final reports, including Financial Status Report and Nonsupplanting Questionnaire, are due no later than 90-days after the end of the project.

2. Health Insurance Portability and Accountability Act (HIPAA)

The HIPAA privacy rules are a set of federal regulations protecting the privacy of an individual’s health information used in clinical practice, research and operations of health care facilities. The privacy rule applies to the use or disclosure of protected health information for research purposes and requires a number of actions and documentation.

3. Intellectual Property Agreement

An Intellectual Property Agreement may be required for inventions, discoveries or copyrightable material developed as a result of a project. The Principal Investigator’s attestation on the New Investigator Program preliminary and full grant applications indicates knowledge of and agreement with UW-Madison Patent Policies as outlined in the University’s “Patent Policies and Procedures” manual.
D. Acknowledgement of Funding

Fund recipients must acknowledge the Wisconsin Partnership Program in any press releases, articles or other means of publicizing this project or its results with the following language: “Funding for this project was provided by the Wisconsin Partnership Program of the UW School of Medicine and Public Health.”

E. Additional Requirements

The PERC reserves the right to negotiate additional requirements concerning cost sharing funds or conditions for support.