Request for Applications:
Strategic Investment Funding for Projects requiring $5,000 to $20,000

KEY DATES

<table>
<thead>
<tr>
<th>Application deadline</th>
<th>Open ended</th>
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<td>Funding is subject to availability each fiscal year</td>
<td>July 1st through June 30th</td>
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<tr>
<td>Notification of award</td>
<td>Within 5 weeks of submission</td>
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PROGRAM OVERVIEW

The Strategic Investment Funding award is specifically intended to provide critical support for a project that is close to achieving independent funding. It provides $5,000 to $20,000 in funding, and is predicated on the principles that no other funding possibilities exist, and that the investment is likely to yield highly impactful long-term results. **Examples of appropriate funding requests include:**

- Collection of preliminary data that are critical for the submission of near term funding applications
- The demonstration of proof of concept needed for the development of a technology or new product with biomedical impact, thus allowing licensing or the formation of a start-up
- Providing essential momentum for a new collaborative research focus (e.g. a multidisciplinary research group needing funds to enable a research conference with well-organized outcomes such as new grant preparation/submission)

A very limited pool of funds is available annually, so priority will be given to those proposals that require a small amount of funding to achieve a significant result. Because the funding pool is small the budget requested should be carefully designed to efficiently accomplish the goal. Funding requests that involve partnering with other sources (e.g. departmental sources) are strongly favored.
PROPOSAL GUIDELINES

This funding opportunity is designed to require a short application and rapid turn-around. Requests are reviewed weekly; applicants can expect to hear back from OCTRI on either a decision or a request for additional information within 5 weeks of submission. Note that requests for subsidized OCTRI services require the development of a service-specific budget; you will need to submit a Resource Request Form to the OCTRI Research Navigator Program prior to submitting your application.

1) Proposal Narrative; 4-page limit (Please adhere to the following outline):

   a) Background, context and long-term goals: Describe the long-term goals and potential of the project, beyond the initial period of funding support, with reference to or in contrast with established work in the relevant field(s), supported by appropriate citations. For instance, what is the major opportunity that drives the proposal? How will the project overcome existing barriers, open up new possibilities, lead to innovation, or otherwise merit attention. Highlight any unique combination of background, prior experience and capabilities that are being brought to bear on the project. Finally, how will the requested funding and project allow the research team to move to the next stage of research success, with the usual object being sustained research support?

   b) Project plan: Against the background provided in the previous section, describe the work you plan to undertake and its expected outcomes. Make it clear to reviewers that you have devised a well-crafted plan that makes good use of talent, experience and existing resources. After reading this section, reviewers should appreciate how expected outcomes would address the critical opportunities and barriers that you identified in the previous section.

   c) Timeline: Provide a timeline for completion of the proposed work in simple, readable form such as a short paragraph or simple diagram. Unless justified based on the nature of the work involved, the work should be completed within 12 months of the start.

   d) Plans for continuation: This is a key section. Describe plans for how the requested funding will yield ongoing research with independent funding, with the intent to realize impactful long-term goals. Identify specific targets for possible extramural grant applications. For each source, include the agency or organization to which you plan to apply, and planned submission dates.

2) Budget Guidance

   a) Applicants may request budgets of $5,000 to $20,000 for one year in direct costs; no indirect costs are available due to the structure of the OCTRI pilot fund. Cost sharing with other sources of funds (e.g. departmental or other non-federally funded support) is strongly encouraged. Cost sharing must be from unrestricted funds and you will need to fill out a Committed Cost Sharing Agreement with the application.
b) It is highly unlikely that a project would have a budget of exactly $20,000. Simply asking for the maximum allowable without clear rational will be a disadvantage. Proposals will be critically reviewed from this perspective.

c) Account for all expenses required to complete the scope of work in the proposal. Include specific requirements regarding the urgency of the need and funding timeline. Provide a brief budget justification for all expenses. Your budget must be appropriate for the proposed work, and budgets that make efficient use of support to achieve the goals of the program are desired.

d) All cost must meet the OMB guidelines for allowability. Allowable costs can include:
Personnel, animal care costs, research assays, supplies, and other expenses, such as research beds, nursing or bionutrition staff, routine laboratory measures, biostatistics and informatics support, and generation of preliminary data. Investigator salary and project required travel are allowed, but a clear justification of why they are necessary must be provided (i.e., funds should be used principally to directly support the research). Equipment that is essential for the study, and is not otherwise available, may be requested, but large equipment expenditures are discouraged.

e) Detailed Budget: You must use the PHS 398 budget template available here: [http://grants.nih.gov/grants/funding/phs398/phs398.html](http://grants.nih.gov/grants/funding/phs398/phs398.html); Form page 4 "Detailed Budget for Initial Budget Period".

f) OCTRI Cost Estimate: In order to request OCTRI services you must include a cost estimate, obtained through the Research Navigator, as part of your budget. For a listing of OCTRI services see: [http://www.ohsu.edu/xd/research/centers-institutes/octri/resources/octri-research-services/index.cfm](http://www.ohsu.edu/xd/research/centers-institutes/octri/resources/octri-research-services/index.cfm). The costs of these services must be included in the online application section and the budget justification as a separate line item as well as in the PHS 398 detailed budget. Contact the Research Navigator at 503-418-9790 or octri@ohsu.edu to obtain a cost estimate for OCTRI services.

g) Budget Justification: A budget justification is a narrative explanation of each of the components of the budget, which "justifies" the cost in terms of the proposed work. The explanations should focus on how each budget item is required to achieve the aims of the project and how the estimated costs in the budget were calculated. When a detailed budget is submitted, all items in the budget must be justified. Please refer to: [http://grants.nih.gov/grants/funding/phs398/phs398.html](http://grants.nih.gov/grants/funding/phs398/phs398.html); Form page 4.4 "Budget Instructions".

h) Sub-award/Consortium Expenses: If the application involves multiple institutions, a separate budget should be submitted for each institution using the PHS 398 budget template. On the budget for the project PI's institution (primary site), the total sub-award/consortium expenses should be listed in the appropriate location.
BIOSKETCH(ES)

Include biosketches for the Principal Investigator (PI) and any Co-Investigators and Key Personnel whose involvement is a unique and important contribution to the project.

You may use a short-form or long-form biographical sketch prescribed by any federal agency such as the version of the NIH Biographical Sketch Format Page (http://grants.nih.gov/grants/funding/phs398/phs398.html).

FORMATTING INSTRUCTIONS

Page Limit: 4-page limit does not include budgets, references, or biosketches

Font: Use black ink, standard font, 11 points or larger

Page Margins: Use at least one-half inch margins (top, bottom, left, and right) for all pages.

Figures, Graphs, Diagrams, Charts, Tables, Figure Legends, and Footnotes:

- You may use a smaller type size but it must be in black ink, readily legible, and follow the font typeface requirement.
- Do not include figures or other materials that are not inserted directly into the body of the application.

Documents and file names:

- Biosketches should be uploaded as *.pdf. All others as *.doc or *.docx
- Turn off tracked changes and accept all changes before submitting documents.
- Documents should be named according to the following naming conventions (with appropriate file extension):
  - Research Plan: PI last name_proposal.doc
  - Budget: PI last name_budget.doc
  - Budget Justification: PI last name_budget_justification.doc
  - OCTRI Cost Estimate: PI last name_cost_estimate.doc (submit only if services are being requested)
  - Biosketches: PI last name_biosketches.doc

REVIEW CRITERIA

An expert panel of senior research scientists appointed by OCTRI will review the applications. The primary review criteria will be the responsiveness to the specific requirements laid out in the application instructions. Additionally, submissions will be scored on their strengths in the following categories:

1. **Likelihood of future funding.** Will this funding enable the development of compelling new grant applications or industry funding that will sustain the proposed research activity?

2. **Significance.** Does the project address an important problem or a critical barrier to progress in the field? If the aims of the project are achieved, how will scientific knowledge, technical capability, and/or clinical practice be improved? How will successful completion of the aims change
the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field?

3. **Investigator(s).** Are the PIs, collaborators, and other researchers well suited to the project? If early-stage investigators, new investigators, or in the early stages of independent careers, do they have appropriate experience and training? If established, have they demonstrated an ongoing record of accomplishments that have advanced their field(s)? If the project is collaborative or multi-PI, do the investigators have complementary and integrated expertise; are their leadership approach, governance, and organizational structure appropriate for the project?

4. **Innovation.** Does the application challenge and seek to shift current research or clinical practice paradigms by utilizing novel theoretical concepts, approaches or methodologies, instrumentation, or interventions? Are the concepts, approaches or methodologies, instrumentation, or interventions novel to one field of research or novel in a broad sense? Is a refinement, improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions proposed?

5. **Approach.** Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project? Are potential problems, alternative strategies, and benchmarks for success presented? If the project is in the early stages of development, will the strategy establish feasibility and will particularly risky aspects be managed? If the project involves clinical research, are the plans for 1) protection of human subjects from research risks, and 2) inclusion of minorities, members of both genders, and children justified in terms of the scientific goals and research strategy proposed?

6. **Environment.** Will the scientific environment in which the work will be done contribute to the probability of success? Are the institutional support, equipment and other physical resources available to the investigators adequate for the project proposed? Will the project benefit from unique features of the scientific environment, subject populations, or collaborative arrangements?

7. **Overall impact.** Reflects all scored criteria plus additional criteria regarding the protection and inclusion of human subjects; vertebrate animal care and welfare; biohazards, and criteria specific to this funding opportunity.

**APPLICATION SUBMISSION AND QUESTIONS**

Full applications must be submitted to OCTRRI via the [OCTRRI Strategic Investment Funding Application [$5,000 - $20,000]](https://octri.ohsu.edu/redcap/surveys/?s=as4Trx).

If the link above does not work, try copying the link below into your web browser:

[https://octri.ohsu.edu/redcap/surveys/?s=as4Trx](https://octri.ohsu.edu/redcap/surveys/?s=as4Trx)
1. Fill in the questions on the online application
2. Upload the Research Plan, Budget, and Budget Justification
3. Upload OCTRI Cost Estimate: PI last name_cost estimate.doc (submit only if services are being requested)
4. Upload the biosketches for PI and Key Personnel (Combine all biosketches into a single PDF document)

For any questions related to the submission process, contact Jonathan Jubera at jubera@ohsu.edu or the Research Navigator program at (503) 418-9790 or octri@ohsu.edu.