University of Chicago K12 PCOR Faculty Development Program
Application Guidelines – Winter 2017

LOI – due January 22, 2018
Full proposal – due February 5, 2018, at 5 pm
Link to online application form

The following checklist outlines the different documents and their required components that candidates will submit as a part of the K12 PCOR Faculty Development Program application. Please see the additional instructions, starting on page 2, that provide further details on how to complete each individual component. All documents should be assembled into a single application and submitted as one PDF attachment to Kelsey Bogue at kbogue@bsd.uchicago.edu by Monday, February 5, at 5 pm CST. Applicants must also complete the online form found here. Please ensure that for application sections requiring a 3rd party (e.g. your mentors’ biosketch & OS, mentoring plan, letters of reference, and commitment letter from your department), you request and collect materials in advance so that they are included in your final, uploaded application. Please also label each section clearly within the application.

☐ 1. Cover letter (Limit: 1 page)
☐ 2. Project Summary (Limit: 1 page)
☐ 3. Candidate Forms. Submit the following components as one combined document:
   – CV
   – Biosketch (Limit: 5 pages)
   – Current and Pending Support (Limit: 4 pages)
☐ 4. Key Personnel Forms: Submit one combined document for each mentor or co-mentor for up to 5 mentors. Each document should include the following:
   – Mentor Biosketch (Limit: 5 pages)
   – Mentor Current Pending and Support (Limit: 4 pages)
☐ 5. Mentoring Plan (Limit: 6 pages)
☐ 6. Signed Letters from Collaborators and Consultants (if applicable): Submit up to 5 letters
☐ 7. Candidate Information and Research Plan (Limit: 13 Pages Total). Submit the following components as one combined document:
   – Candidate’s Background
   – Career Goals and Objectives
   – Career Development Plan
   – Research Aims (Limit: 1 Page)
   – Research Strategies
☐ 8. Training in the Responsible Conduct of Research (RCR) (Limit: 1 page)
☐ 9. Statement of Commitment from Department (Limit: 1 page)
☐ 10. Letters of Reference: Submit 3-5 letters of reference (Limit: 2 pages per reference)
☐ 11. Description of Facilities and Resources (Limit: 1 page)
☐ 12. Human Subject Forms (if applicable)
   – Protection of Human Subject
   – Inclusion of Women & Minorities
   – Inclusion of Children
☐ 13. Targeted/Planned Enrollment Table
1. **Cover letter** (not to exceed 1 page)
   - Applicants must include a cover letter providing their contact information, a title for the application, the name and contact information for their mentor/s, and the name of their department.

2. **Project Summary** (not to exceed 1 page)
   Abstract of entire application (candidate, environment, and research). Include the candidate’s immediate and long-term career goals, key elements of the research career development plan, and a description of the research project.

3. **Candidate Forms**
   - Curriculum Vita (CV)
   - Biosketch (limited to 5 pages): follow the general NIH biosketch guidelines for formatting. ([http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.240-r&r-seniorkey-person-profile-(expanded)-form.html#Instructions](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general/g.240-r&r-seniorkey-person-profile-(expanded)-form.html#Instructions))
     - Provide information on Project Number or code/identifier for the project, Source of Support, Major Goals (brief statement about overall objectives of the project), Dates of Approved/Proposed Project, and Annual Direct Costs for the mentor’s/co-mentor’s current and pending research support relevant to the candidate’s research plan.

4. **Key Personnel Forms** (including Mentors and Co-Mentors)
   - All individuals who have committed to contribute to the scientific work and execution of the project (even if there is no measurable effort) should be considered and identified as Key Personnel in your application.
   - The candidate may submit materials for up to 5 mentors or co-mentors.
       - Must be submitted for mentor/co-mentors. Provide information on Project Number or code/identifier for the project, Source of Support, Major Goals, Dates of Approved/Proposed Project, and Annual Direct Costs for the mentor’s/co-mentor’s current and pending research support relevant to the candidate’s research plan. Do not include information on overlap and level of effort.

5. **Mentoring Plan**
   - Plans/Statements by Mentor/Co-Mentors (not to exceed 6 pages total)
     - Candidate must name primary mentor who is recognized as an accomplished investigator in the proposed research area and has a track record of success in training and placing independent investigators. The primary mentor, together with the candidate, is responsible for the planning, directing, monitoring, and executing the proposed program. Candidate should also name a 3 – 4 person mentor team involving the primary mentor and one or more members of the program core faculty.
     - Applications should identify all co-mentors, consultants, collaborators involved with proposed research, describing roles and anticipated contributions by these individuals. Mention respective areas of expertise and how they will be combined to enhance the candidate’s development.
     - The mentor should have sufficient independent research support to cover the costs of the proposed research project in excess of the allowable costs of this award
     - Where feasible, women, individuals from diverse racial and ethnic groups, and individuals with disabilities should be involved as mentors to serve as role models.
• Mentor should provide commitment statement that candidate will commit at least 9 person-months (75% of time) to the career development program and related career development activities.
• Mentor statement and plan for the candidate’s training and research career development, which should include: 1) information on his/her research qualifications and previous experience as a research supervisor 2) plan describing nature of supervision and mentoring that will occur 3) plan for career progression for candidates to move from mentored stage to independent research investigator status 4) plan for mentoring candidate’s research, publications, and progression toward independence
  i. Similar information must either be provided by co-mentors or all co-mentors must sign the primary mentoring plan. If more than one co-mentor is proposed, the respective areas of expertise and responsibility of each should be described. Co-mentors should clearly describe how they will coordinate the mentoring of the candidate. If any of the co-mentors are not located at the sponsoring institution, a statement should be provided describing the mechanism(s) and frequency of communication with the candidate, including the frequency of face-to-face meetings.
• Mentor must agree to provide annual evaluations of candidate’s progress in annual progress report

6. Letters of Support from Collaborators & Consultants (if applicable)
• Signed statements must be provided by all collaborators and/or consultants confirming their participation in the project and describing their specific roles. Information should be provided clearly documenting the appropriate expertise in the proposed areas of consulting/collaboration. These individuals are generally not directly involved in the development of the career of the candidate as an independent investigator.
• Collaborators and consultants do not need to provide Other Support or Biosketches.
• You can submit up to 5 letters.

7. Candidate Information and Research Plan (the following sections - Candidate’s Background, Career Goals and Objectives, Career Development Plan, and Research Strategy under the Research Plan section- combined may not exceed 12 pages. The Aims section is not included in this 12 page limit).
• Candidate Information
  o Candidate’s Background
    ▪ Describe commitment to health-related research career, including all candidate’s professional responsibilities and the relationship to the proposed activities on the career award
    ▪ Describe prior training and how it relates to objectives/long term career plans
    ▪ Describe candidate’s research efforts to this point in their career (e.g. publications, prior research interests, experiences)
    ▪ Provide evidence of candidate’s potential to develop into independent investigator
  o Career Goals & Objectives
    ▪ Describe your past scientific history, indicating how the award fits into past and future research career development, highlighting consistent themes that have guided your work
    ▪ Describe a systematic plan that shows 1) logical progression from prior research and training experiences to the research/experiences that will occur during award period and then to independent investigator and 2) justify the need for further career development to become an independent investigator
  o Career Development/Training Plan
    ▪ Candidate and mentor are jointly responsible for the preparation of the career development plan. A timeline is often helpful. The sponsor/mentor may form a mentoring team (or an advisory committee) to assist with the development of the program of study or to monitor the candidate’s progress through the career development program.
    ▪ The plan should stress new enhanced research skills and knowledge that candidate will acquire as the result of proposed award
The didactic and research aspects of the plan must be designed to develop the necessary knowledge and research skills in areas relevant to candidate’s career goals.

Highlight structured activities, such as course work or technique workshops, which are part of the developmental plan. Applicants should propose specific course work that aligns with their chosen methodological areas and application foci. See the K12 program website for a list of suggested courses.

Most applicants will be required to enroll in the Masters of Science for Clinical Professionals (MSCP) program. Applicants who have prior training that is duplicative of the MSCP degree and who wish to waive out of this requirement should note this in their application. These applicants should continue to suggest additional coursework to enroll in that will benefit their training.

Describe professional responsibilities and activities including other research projects beyond minimum required 9 person months commitment to career award. Explain how those will help ensure career progression to achieve independence as investigator.

Applicants are encouraged to be very specific about the timing of an application for independent funding if they were to receive a K12 scholar appointment. Scholars are expected to apply for funding by the beginning of the final year of their appointment to the K12 award.

- **Research Plan (Aims and Strategy)** (Aims section should not exceed 1 page; Strategy section is counted within the 12 page limit with Candidate Information section.
  - A specific hypothesis; a list of the specific aims and objectives that will be used to examine the hypothesis; a description of the methods/approaches/techniques to be used in each aim; a discussion of possible problems and how they will be managed; and, when appropriate, alternative approaches that might be tried if the initial approaches do not work.
  - **Aims** (limited to 1 page): state precisely the goals of proposed research & summarize the expected outcomes, including impact that the results of the proposed research will exert on the research field. List specific objectives, of the research proposed, e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm or clinical practice, address a critical barrier to progress in the field, or develop new technology.
  - **Strategy** (included in the 12 page limit): Each section should be listed under the headings of **Significance, Innovation, and Approach**. Cite published experimental details in the Research Strategy section and provide the full reference in the Bibliography section.
    - **Significance**
      - Explain the importance of the problem or critical barrier to progress in the field that the proposed project addresses.
      - Explain how the proposed project will improve scientific knowledge, technical capability, and/or clinical practice in one or more broad fields.
      - Describe how the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field will be changed if the proposed aims are achieved.
    - **Innovation**
      - Explain how the application challenges current research or clinical practice paradigms.
      - Describe any novel theoretical concepts, approaches or methodologies, instrumentation or interventions to be developed or used, and any advantage over existing methodologies, instrumentation, or interventions.
    - **Approach**
      - Describe the overall strategy, methodology, and analyses to be used to accomplish the specific aims of the project. Include how the data will be collected, analyzed, and interpreted as well as any resource sharing plans as appropriate.
      - Discuss potential problems, alternative strategies, and benchmarks for success anticipated to achieve the aims.
If the project is in the early stages of development, describe any strategy to establish feasibility, and address the management of any high risk aspects of the proposed work.

Point out any procedures, situations, or materials that may be hazardous to personnel and precautions to be exercised.

- Ensure that the research project is consistent with candidate’s level of research development and the objectives of career development plan
  - Research description should demonstrate quality of research thus far but also novelty, significance, creativity and approach as well as ability to carry out research

- Describe how the research, coupled with other developmental activities, will provide the experience, knowledge, and skills necessary to achieve the objectives of the career development plan and launch and conduct an independent research career.

- Application must also describe the relationship between the mentor’s research and the candidate’s proposed research plan

8. Training in the Responsible Conduct of Research (RCR) (not to exceed 1 page)

- Include plan to fulfill the NIH requirement in RCR. Address 5 instructional components: 1) Format of Instruction – e.g. face-to-face, coursework 2) Breadth of Subject Matter – e.g. conflict of interest, research ethics 3) Faculty Participation & role of mentor/faculty in the instruction 4) Duration of Instruction, including number of instruction contact hours 5) Frequency of Instruction, given that instruction must occur during each career stage and at least once every four years.

- Please note that the ITM offers an RCR summer course and an EPOR RCR winter course that meets the RCR requirements.

9. Statement of Commitment from candidate’s department (limited to 1 page)

- Statement of commitment to the candidate’s development into a productive, independent investigator. Letter should be submitted on letterhead.

- If the candidate does not currently have a faculty or instructor position, than the letter should include a firm commitment to transition the candidate to a faculty or instructor role if funded by the K12.

- Provide assurance that candidate will be able to devote minimum of 9 person months (75% full time professional effort). Remaining effort should be devoted to activities related to development of candidate’s career as an independent scientist (e.g. clinical responsibilities, teaching/admin, other research activities, etc.)

- Provide assurance candidates will have appropriate office/lab space, equipment, and other resources/facilities.

- Provide assurance that appropriate time/support will be available for proposed mentors

- Signatures by person authorized to commit the candidate to this agreement and assurances. In most cases, this will be the dean or chairman of the department.
  - Letter should be addressed to Dr. David Meltzer. Letter should be included in the final application PDF upload.

10. Letters of Reference (2 pages or less each)

- 3 – 5 letters from individuals familiar with the applicant’s qualifications, training, and interests (not mentors). Letters should address candidate’s competence and potential to develop into independent investigator.

- Describe the qualities and potential of the candidate, including evaluation with special reference to:
  - potential for conducting research;
  - evidence of originality;
  - adequacy of scientific background;
  - quality of research endeavors or publications to date, if any;
  - commitment to health-oriented research; and
  - need for further research experience and training
any additional related comments that the referee may wish to provide

Signed letters should be addressed to Dr. David Meltzer. Letters should be included in the final application PDF upload.

11. Facilities/Resources (not to exceed 1 page)

- Detailed description of the institutional facilities and resources available to the candidate, establishing the feasibility of the goals of the career development plan

12. Protection of Human Subjects, Inclusion of Women & Minorities, and Inclusion of Children, if applicable (do not use the human subjects section to circumvent the page limit of the Research Strategy)

- For more information on these reporting requirements, refer to Part II Supplemental Instructions for Preparing the Human Subjects Section (http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf) to determine the information that must be included depending on your proposed research project status (specifically, beginning on page II-8). You may use Version D even though new forms and instructions will go into effect prior to the due date.

- On the application form, candidates should mark whether the proposed research study involves human subjects and if the study is exempt from federal regulations.
  - If the project is exempt, the candidate should check the correct exemption number.
  - If the project is not exempt, candidates should check “Yes” to the question “Is the IRB review pending?” even if the IRB review/approval process has not yet begun at the time of submission. If the IRB approval date is not yet available, then the candidate should leave this field blank. If the candidate does not have a Human Subject Assurance Number, the candidate should write “none.”

13. Targeted/Planned Enrollment Table, if applicable

- Investigators are instructed to provide plans for the total number of subjects proposed for the study and to provide the distribution by sex/gender, racial, and ethnic categories using the Planned Enrollment Report(s). http://grants.nih.gov/grants/funding/phs398/PlannedEnrollmentReport.pdf

General Eligibility Requirements:

- Candidate must be a citizen, non-citizen national of the United States, or admitted to US for permanent residence

- At the time of placement on the grant, candidate must have a “full-time” appointment at the institution that is the applicant institution.

- Candidates must be able to commit a minimum of nine person-months (75% of full-time professional effort) conducting research career development activities associated with this award for a two year period. The remaining three months (25% effort) can be divided among other research, clinical, and teaching activities only if these activities are consistent with the goals of the Award, i.e., the candidate’s development into an independent investigator.

- Individuals are eligible for placement as a scholar if they have been, or currently are the PD/PI of an NIH or AHRQ R36, F31, or F32 grant or a Federal or non-Federal award that duplicates the provisions or research goals of these grants and otherwise meet all other eligibility criteria. The scholar will have to terminate the existing award before being appointed to the K12. Individuals are also eligible to be scholar candidates if they have been, or currently are the PD/PI of an NIH or AHRQ R03 or R21 grant or a Federal or non-Federal award that duplicates the provisions or research goals of an R03 or R21 grant.

- Individuals are not eligible to be a PCOR K12 scholar candidate if they:
  - Have simultaneously submitted or have an application pending peer review for any other federal career development award or a research project grant (R01). However, individuals may concurrently submit an application for an AHRQ or NIH Small Grant (R03) or Exploratory/Developmental Grants (R21);
  - Have simultaneously submitted or have an application pending peer review for any non-federal research grant, contract, or cooperative agreement over $100,000 in direct costs per year;
  - Have been or are currently a PD/PI on any other federal mentored career development awards;
- Have been or are currently supported on an institutional K12 grant or KL2 (or similar grant);
- Have been or are currently a PD/PI on a Federal research grant (such as R01, R29, P01) or subproject leaders on Program Project (P01) and Center Grants (P50); and/or
- Have been or are currently a PD/PI on peer-reviewed non-federal research grants, contracts or cooperative agreements over $100,000 direct costs per year