

The University of Cincinnati
Center for Clinical and Translational Science and Training

KL2 Grant Application Instructions
2014

IMPORTANT DATES:

Letters of Intent due: October 25, 2013 by 5:00 pm

Notification to apply: October 30, 2013 by 5:00 pm

Invited Applications due: December 6th, 2013 by 5:00 pm

Funding start date: April 1, 2014, contingent on renewal of the CTSA grant

For questions regarding these instructions, please visit www.cctst.uc.edu or contact Susan Moore at (513) 803-1044 or susan.moore@uc.edu

- 1) Deadlines:** All deadlines for submissions are firm, with no exceptions other than 1) death in the PI's immediate family, 2) acute severe illness of the PI, or 3) a natural disaster. Approvals for extensions will not be granted for delays that were foreseeable and avoidable by the applicant.
- 2) CCTST Membership:** All applicants for KL2 grant consideration, including the letter of intent (LOI) stage, *must* be CCTST members. CCTST membership is free and open to all. For more information and our online membership registration form, go to <http://cctst.uc.edu/user/register>.
- 3) Background:** The CCTST is supported by an NIH Institutional Clinical and Translational Science Award (CTSA). Integral to the mission of the CCTST is to train selected junior faculty members to conduct clinical and translational research. The CTSA KL2 Research Scholars Program represents a career step between MD fellowship training or post-doctoral PhD training and application for mentored grants such as K01s, K08s, and K23s, and R01 awards or their equivalents.

The Cincinnati CTSA KL2 program will support KL2 Scholars for 2 consecutive 12-month appointments; at the end of each grant year, Scholars must submit a "Progress to Date" report demonstrating sufficient progress and need for continued support. Funding from the CCTST is contingent upon the CCTST's successful competitive renewal of the CTSA grant. Throughout the award period, at least 75% of the KL2 Scholars' full-time professional effort must be devoted to KL2 research and career development activities, including attending the required biweekly K Scholars meeting (currently held on the 1st and 3rd Wednesday mornings of each month from 10:00-11:30 am). The remainder of the KL2 Scholar's time may be devoted to other clinical or academic pursuits consonant with the objectives of the award. For example, based on a 55-hour work week, a KL2 Scholar can devote up to – but not more than – a total of 13.75 hours/week, on average, to clinical, teaching, and administrative duties. KL2 Scholars may not accept or hold any other Public Health Service (PHS) award that duplicates the provisions of this career award. Scholars are expected to apply for independent research grant support (generally an NIH K23 or R01 grant) during the period of KL2 support. The applicant's home division or department must guarantee a 3rd year of 75% protected time in the event that the Scholar has applied for but not yet received independent research grant support by the end of the 2nd year of KL2 support.

4) Definitions of Translational Research:

Translation 1 ("T1"): from basic science to health application

Translation 2 ("T2"): from health application to evidence-based guideline

Translation 3 ("T3"): from evidence-based guideline to health practice

Translation 4 ("T4"): from health practice to health impact in the population

- 5) Eligibility:** To be eligible, the applicant must have a full-time faculty appointment at the University of Cincinnati (UC), Cincinnati Children's Hospital Medical Center (CCHMC), or the Cincinnati Veterans Affairs Medical Center (VAMC) at the time of the award; the position cannot be contingent upon obtaining the KL2 award. The eligibility of potential candidates holding VA appointments will be confirmed with NCATS Office of Grants Management and Program staff prior to the individual being appointed to the program. Only U.S. citizens or non-citizen nationals, or individuals lawfully admitted for permanent residence who possess an Alien Registration Receipt Card (I-151 or I-551) or some other verification of legal admission as a permanent resident prior to appointment, are eligible to accept a KL2 appointment. Individuals on temporary or student visas are not eligible. Members of underrepresented racial and ethnic groups and candidates with disabilities are encouraged to apply.

Former or current principal investigators on any NIH research project grant (this does not include NIH Small Grants [R03] or Exploratory/Developmental [R21] grants or their equivalents) or equivalent non-PHS peer-reviewed research grants having a budget over \$100,000/year in direct costs, or project leaders on sub-projects of program project (P01) or center grants (P50), are *not* eligible to apply for a KL2 award. Current or recent CCHMC Procter Scholar, Trustee Grant, Place Outcomes Award, PS2 grant, or CCTST T1 pilot award recipients are likewise ineligible; past recipients whose proposed KL2 project does not duplicate their Procter Scholar, Trustee Grant, Place Outcomes Award, or T1 project may be eligible for a KL2. As with other K awards, KL2 applicants may not have any other career development award (e.g., K08, K01, K23, BIRCWH K12), or R01 grant, pending at any time during the review process. On the other hand, Scholars are expected to apply for other K awards (e.g., K23, K08) or independent research grant (R01) support *during* the period of KL2 support.

- 6) Overview of Review Process:** The review of applications is performed in 3 phases: (1) LOI, (2) Scientific Review, and (3) Administrative Review. During the first phase, the 2-page LOIs will be scored and ranked, and the top applicants will be invited to submit formal 12-page applications. The number of applicants invited to apply will vary, judged by number and merit of applications received. No critiques will be provided to applicants during the LOI stage. During the second phase, the 12-page applications will be reviewed by 2-3 scientific reviewers (1 of whom may come from an outside institution having a KL2 program), who will score the applications following KL2 program guidelines. During the final phase, applicant scores will be tabulated and ranked, and the top applicants will be interviewed by KL2 program leaders. Following interviews, KL2 program leaders will meet to discuss and determine awardees. Critiques from the second phase of the review will be provided to the applicants after awards are announced.

- 7) Letter of Intent:** The LOI consists of the application face page (see application forms) plus 1 page outlining the applicant's career development and research objectives. No supplemental material will be accepted for the LOI. All LOI applications must be submitted as one, collective email to susan.moore@uc.edu. **The LOI must be received by 5:00 pm on Friday, October 25, 2013. LOIs received after the deadline will be considered unresponsive and will not be reviewed.**

- 8) Mentor Requirements:** KL2 Scholars must identify an approved KL2 primary mentor and at least 1 other mentor. A list of primary mentors meeting KL2 criteria is available at <http://cctst.uc.edu/funding/kl2rs>. Proposed primary mentors not appearing on this list must be pre-approved before the application process. To qualify for the list, mentors must be currently funded (generally, at least \$300,000 of grant funding per year) and recognized as independent investigators who are actively involved in clinical or translational research; have a track record as a successful mentor (as exemplified in a table of trainees); and have adequate protected time (generally at least 5% effort) for mentoring. Primary mentors will interact closely with the Scholar and provide guidance to develop a tailored career development plan as part of an interdisciplinary mentoring team. Mentors must be committed to continuing their involvement throughout the KL2 Scholar's total period of development under the award and to their own professional development as a mentor. The effectiveness of the mentoring relationship will be evaluated during the course of the Scholar's award period.

Mentors are strongly encouraged to participate in the CCTST's mentor training program, an 8-hour program (four 2-hour sessions held periodically) covering the following competencies: maintaining

effective communication; aligning expectations; assessing understanding; addressing equity and inclusion; fostering independence; and promoting professional development. Furthermore, KL2 applicants and their proposed mentors are strongly encouraged to submit with the KL2 application a written mentoring agreement/individual development plan specifying: (1) the applicant's planned research activities (planned abstracts, papers, grant applications); (2) planned educational activities; (3) planned professional/career development activities (e.g., skills development, progress towards promotion, networking, work-life balance, plans for independence from mentor); (4) support for the applicant (protected time, resources, advocacy, emotional support); (5) communication (e.g., frequency and structure of meetings, progress reports, feedback, confidentiality); and (6) personal conduct/interpersonal relationships (e.g., plans for managing conflicts, authorship order) [see sample Mentorship Agreement Template and sample Individual Development Plans below]. Mentorship agreements and associated individual development plans may be included in an appendix and do not count against the 12-page application limit.

- 9) Budget Guidelines:** The award provides up to 2 years of funding in the amount of 75% (up to \$75,000) salary support plus fringe benefits plus \$25,000 for research-related expenses (see below). The Scholar's department may supplement the NIH salary contribution up to a level that is consistent with the institution's salary scale from non-federal sources; however, supplementation may not come from federal funds unless specifically authorized by the federal program from which such funds are derived. Departmental supplementation of salary must not require extra duties or responsibilities that would interfere with the purpose of the Program. Contingent on the renewal of the CTSA grant, first year funds will be available April 1, 2014 and will need to be spent prior to March 31, 2015.

Within each KL2 Scholar's total award, up to \$25,000 annually may be requested for research and career development support, which may include the following expenses: (1) tuition and fees related to career development, e.g., in the UC Master of Science in Clinical and Translational Research or the Certificate in Clinical and Translational Research programs; (2) research expenses, such as supplies, equipment, and technical personnel; (3) travel to research meetings, workshops, or training: KL2 applicants must allow \$1,500 for travel to the Association for Clinical and Translational Science annual meeting; and (4) other project infrastructure including relevant data sets. Salaries for mentors, secretarial and administrative staff, etc. are not allowed as part of the KL2 Program.

Biostatistical and REDCap (data capture) support will be provided at no charge to KL2 Scholars through the CCTST (Research Central) during the Scholar's 2 years of CCTST KL2 support. Applicants are encouraged to obtain methodologic support through the CCTST while preparing their KL2 application.

- 10) Letters of Support:** Applications must include a letter of support from the applicant's primary mentor and division director or departmental chairperson. Included in the division director's/department chair's letter of support must be a statement regarding the priority of the research proposal for the division or department, and a guarantee of 75% protected time for the 2 years of CCTST KL2 funding and a 3rd year if necessary (see section 3 above).

- 11) Signatures:** For the applications, the signature of the investigator and his/her respective division director or departmental chairperson(s) are required. No signatures are required for the LOI.

- 12) Application forms** (modified from SF424) may be downloaded from the CCTST website, <http://cctst.uc.edu/funding/kl2rs>. Applications must be submitted as single-spaced text with a minimum of one-half inch margins and 11-point Arial or Helvetica font. The applicant's name must appear in the upper right hand corner of each page. **Applications are limited to 12 pages (career development plan – 4 pages, research plan – 8 pages), including figures but excluding mentoring agreements/individual development plans, animals and human subjects protection sections, and references.** Standard SF424 forms for budget, biosketch, and other support should be used (<http://grants.nih.gov/grants/funding/424/>).

13) Composition of research proposal: Research proposals and competing renewals should include:

1. Face Page (check all appropriate IBC, IACUC, IRB, or Radiation Safety approvals or indicate pending if submitted)
2. Abstract (1 page)
3. Detailed Budget (2 years)
4. Budget Justification (2 years)
5. Biosketch(es) (PI and primary mentor)
6. Other support (PI and primary mentor)
7. Specific Aims (1 page)
8. Career Development Plan (4 pages)
 - a) Candidate's Background
 - b) Career Goals and Objectives
 - c) Career Development/Training Activities During Award Period
 - d) Mentoring Plan (plan for being mentored)
9. Training in the Responsible Conduct of Research (1 page)
10. Research Strategy (8 pages)
 - a) Significance
 - b) Innovation
 - c) Approach
11. Description of Institutional Environment (1 page)
12. Statement of how the research is translational
13. Statements regarding human subjects and/or animals
14. Literature Cited
15. Letter of support from division director or department chairperson
16. Letters of support from collaborators or consultants
17. Diversity Questionnaire
18. Checklist
19. Mentoring agreement/individual development plan (optional but encouraged)

14) Required format: Invited applications must be submitted electronically (the letter of support may be submitted either on paper or electronically as a pdf file). **Send one PDF file of the assembled application to susan.moore@uc.edu by 5:00 pm Friday, December 6, 2013.**

Mentoring Agreement – Key Points to Include
(see also sample templates on following pages)

- Research
 - Mentee’s productivity (abstracts, papers, grant applications)
 - Progress of mentee towards independence
 - Responsible conduct of research by both parties
- Educational activities
- Professional/career development
 - Skills development (writing, speaking, reviewing, managing time, leading teams)
 - Progress towards promotion
 - Networking by mentor on behalf of mentee
 - Work-life balance
 - Plans for independence from mentor
- Support
 - Protected time
 - Resources
 - Advocacy, emotional support
- Communication
 - Frequency and structure of meetings
 - Progress reports
 - Feedback
 - Confidentiality
- Personal conduct/interpersonal relationships
 - Managing conflicts
 - Authorship order

Ref.: Huskins WC, Silet K, Weber-Main AM, et al. Identifying and aligning expectations in a mentoring relationship. Clin Trans Sci. 2011;4:439-47.

Mentorship Agreement Template

The purpose of this template is to assist you in documenting mutually agreed upon goals and parameters that will serve as the foundation for your mentoring relationships. While mentors and mentees may find mentorship agreements to be useful, they are optional. This template is expected to be altered to meet individual needs.

- [1] **Goals** (what you hope to achieve as a result of this relationship; e.g., gain perspective relative to skills necessary for success in academia, explore new career opportunities/alternatives, obtain knowledge of organizational culture, networking, leadership skill development, etc.):

- [2] **Steps to achieving goals** as stated above (e.g., meeting regularly, manuscripts/grants, collaborating on research projects, steps to achieving independence, etc.):

- [3] **Meeting frequency** (frequency, duration, and location of meetings):

- [4] **Confidentiality:** Any sensitive issues that we discuss will be held in the strictest of confidence. Issues that are off limits for discussion include:

- [5] Plan for **evaluating relationship effectiveness** (e.g., bi-annual review of mentorship meeting minutes, goals, and outcomes/accomplishments):

- [6] **Relationship termination clause:** In the event that either party finds the mentoring relationship unproductive and requests that it be terminated, we agree to honor that individual's decision without question or blame.

- [7] **Duration:** This mentorship relationship will continue as long as both parties feel comfortable with its productivity or until: _____

Mentor's Signature _____ Mentee's Signature _____ Date _____

**UAB CENTER FOR CLINICAL AND TRANSLATIONAL SCIENCE
MENTORED CAREER DEVELOPMENT PROGRAM (CCTS KL2)
Mentoring Contract**

This contract is between the KL2 Scholar (mentee) and his/her mentors. It is to be thoroughly reviewed and completed prior to the Selection Interview. Before completing the contract, the mentee should make at least four copies of the document. The mentee and each mentor must complete the form individually, and then jointly review and discuss each person's answers in order to reach an agreement. The mentee must re-write the agreed upon answers before the contract is signed and dated by him/her and each mentor. The mentee is responsible for keeping the contract and reviewing/updating it as necessary. The first joint review should occur one month after the initial meeting to check-up and agree to any needed changes.

1. What type of assistance does the mentee want from the mentor?

2. What expectations do the mentors have of the mentee?

3. What expectations does the mentee have of the mentors?

4. How often will you meet?

5. When and where will you meet?

6. For how long?

7. Who will be responsible for scheduling the meetings?

8. What will meeting topics include?

9. What will be the ground rules for discussions? (E.g., confidentiality, openness, candor, truthfulness, etc.)

10. If problems arise, how will they be resolved?

11. Any concerns the mentee wants discussed and resolved?

12. Any concerns the mentors want discussed and resolved?

13. How will you know when the mentoring relationship has served its purpose and needs to be terminated?

14. We have agreed that our initial meetings will focus on these three topics:

- a. _____
- b. _____
- c. _____

15. Any additional areas/issues you want to discuss and agree to?

Mentee Signature

Date

Mentor Signature

Date

Mentor Signature

Date

Individual Learning Plan

Employee Name	Date Developed
Employee Signature <i>I understand these activities represent an opportunity for me to further develop my knowledge and skills. They are intended to further challenge my abilities, while satisfying my interests and career goals.</i>	Manager/Sponsor Signature <i>I will offer assistance throughout the implementation of this plan and follow-up on progress regularly.</i>

Instructions

Document and track your personal development goals that will aid your career on your development plan. While three to six goals are typically a manageable number, you may use more or less. Feel free to add Learning Activities to accommodate the specific action steps needed to achieve your goal.

Include both strengths to leverage and areas needing further development. A strength to leverage signifies a knowledge, skill or ability that, while already a strength, could be used more effectively, maintained, or further developed to optimize performance. A development need signifies what knowledge, skills or abilities should improve as a result of the learning activities.

Save a copy of the ILP form to your desktop or your personal network drive before entering information. Retain your own copy of your ILP form.

Definitions

Career: A portfolio of experiences.

Career Interests/Goals: Documents career aspirations to provide context for the development goals to follow.

Status: Specifies percent complete, if the goal is on hold, or if significant modifications have occurred.

Learning Activity: Specific task, activity, or training targeting the goal (e.g., on-the-job development assignment, special project, mentoring, formal education, workshop or seminar, etc).

Resources/Support Needed: Documents costs or necessary assistance (e.g., requests for someone to monitor progress, availability of contacts, permission to join, funding, etc.).

Checkpoint & End Dates: Specifies milestone dates to check-in on progress and when you expect to accomplish an activity.

Progress/Application: Documents results achieved and/or how learning was applied.

Comments: Employee or leader can comment on activities or behavioral change.

Individual Learning Plan



Individual Learning Plan

Career Interests/Goals

Goal 1				Status
Learning Activity	Resource/Support Needed	Checkpoint & End Dates	Progress/Application	
Comments				

Individual Learning Plan

Goal 2				Status
Learning Activity	Resources/Support Needed	Checkpoint & End Dates	Progress/Application	
Comments				

Goal 3				Status
Learning Activity	Resources/Support Needed	Checkpoint & End Dates	Progress/Application	
Comments				

Individual Learning Plan

Goal 4				Status
Learning Activity	Resources/Support Needed	Checkpoint & End Dates	Progress/Application	
Comments				

Goal 5				Status
Learning Activity	Resources/Support Needed	Checkpoint & End Dates	Progress/Application	
Comments				

Individual Learning Plan

Goal 6				Status
Learning Activity	Resources/Support Needed	Checkpoint & End Dates	Progress/Application	
Comments				

Individual Development Plan for Postdoctoral Fellows

The **Individual Development Plan (IDP)** provides a planning process that identifies annual progress, professional development needs, and career objectives for postdoctoral fellows. The IDP serves as a communication tool between postdoctoral fellows and their mentors. Each postdoctoral fellow must complete and submit an IDP within six months of his or her initial appointment. Subsequently, each postdoctoral fellow must complete and submit a renewed IDP at the time of annual reappointment (or every six months).

Goals of the IDP

Help the postdoctoral fellow identify:

Short-term needs for improving current performance

Long-term career goals and options and the necessary tools to meet these

Benefits of the IDP

Identifying short-term goals will give postdoctoral fellows a clearer sense of expectations and help identify milestones along the way to achieving specific objectives. Postdoctoral fellows will have a process that assists in developing and achieving long-term career goals. The IDP provides a tool for communication between the postdoctoral fellow and the mentor (PI).

Outline of the IDP process

The development, implementation and revision of the IDP requires a series of steps to be conducted by the postdoctoral fellow and the mentor. These steps are an interactive effort. Thus, both the postdoctoral fellow and the mentor must participate fully in the process.

How to complete the IDP

Basic Steps	...For Postdoctoral Fellow	...For Mentor
Step 1	Write an IDP Share IDP with mentor and revise Submit IDP to B.R.E.T. Office	Review IDP and help revise
Step 2	Implement the plan Revise IDP as needed	Establish regular progress review
Step 3	Survey opportunities with mentor	Discuss opportunities with postdoc

Additional information

<http://bret.mc.vanderbilt.edu/bret/>

<http://bret.mc.vanderbilt.edu/postdoc/>

Individual Development Plan for Postdoctoral Fellows

A. Information/Signatures

Name of Postdoctoral Fellow: _____

Department: _____

Signature: _____ Date: _____

PI: _____

PI signature: _____ Date: _____

Departmental Chair Signature: _____ Date: _____

B. Research Project(s)

- Describe the aims and experimental approaches of your current research project(s).

- What is the significance of your research?

C. Annual Progress Report

- List or briefly describe major research accomplishments this year (do not include publications or presentations here):

- List new techniques/expertise acquired this year:

- List references for publications submitted or published this year. List references for abstracts that were presented at meetings. In each case, underline your name in the author list. For examples, see <http://bret.mc.vanderbilt.edu/bret/> and follow the links to the sample IDP:

- List your funding source(s) and grants applied for this year. Describe your visa status if appropriate:

- List honor/awards received this year:

- List intellectual and/or technical collaborations established or continued this year:

- List accomplishments this year in other aspects of career development (e.g. teaching, clinical, committees, course work, etc.). Include teaching of graduate students, undergraduate students, etc. in the laboratory:

- Describe and explain your level of satisfaction with your research progress in the past year?

- Describe and explain your level of satisfaction with other aspects of your career development in the past year?

D. Plans For Up-Coming Year

- Research Project Goals for the up-coming year (be brief):

- What are your plans for improving your scientific writing skills and your oral presentation skills in the up-coming year?

- Anticipated research techniques to learn in the up-coming year:

- Anticipated publications to submit in the up-coming year (indicate projected titles):

- Anticipated meeting and workshop attendance in the up-coming year:

- Fellowship or other funding applications planned for the up-coming year. Describe your plans to alter your visa status if appropriate:
- Anticipated collaborations to establish in the up-coming year:
- Anticipated other professional training for the up-coming year (e.g. teaching, course work, etc.):
- How can your PI help you achieve your goals for the upcoming year? What do you want/need from your PI/mentor?
- [Question for Mentor] How can the postdoctoral fellow improve performance and achieve his/her goals for the upcoming year?

E. Career Goals

- What are your short-term career goals? Describe your time line for achieving them?

- What are your long-term career goals? Describe your time line for achieving them?

- In reference to your career goals, what resources can your PI provide or help you find?

- What further research activity or other training is needed before it is appropriate to start a job search?

- When will you begin a job search? If you do not know, estimate.