



# 2017 Spectrum Pilot Grants Program

## APPLICATION REQUIREMENTS & AWARDEE POLICIES

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### APPLICATION REQUIREMENTS

- One-year funding period with grants of up to \$50,000 per awardee.
  - Projects will not be given more than one grant award across all program areas during the grant period, even if the project meets funding criteria for more than one program area.
  - Open to Stanford faculty including Clinical Educators (CE). Graduate students and postdoctoral scholars (clinical and non-clinical) are required to include a PI eligible faculty member as co-PI on the application. CE's applications should be focused on clinical research. CE faculty PI waivers are not needed for internal funding opportunities (see RMG waiver website for further details, <http://med.stanford.edu/rmg/piwaiver.html#clinician>).
  - All applications must be submitted online.
  - All information and required documentation must be received through the online application before proposals will be considered.
  - Applicants may be asked to make an oral presentation if selected as a finalist, depending on the program area.
  - Awards will be granted for the period from January 1, 2017 through December 31, 2017 and MUST be completed in that timeframe. All unexpended funds will be forfeited if not spent within the 12-month award period.
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### AWARDEE POLICIES

#### *Spectrum Pilot Grant Program: Policies and Procedures*

Spectrum, the Stanford Center for Clinical and Translational Research and Education, is a Stanford independent center supported, in part, by the National Institutes of Health Clinical and Translational Science Award (CTSA) and supplemented with funds from the Office of the Dean (School of Medicine). To that end, it is important that all Spectrum Pilot Grant awardees adhere to the following policies and procedures:

#### *1. NCATS Prior Approval*

- Spectrum awards are contingent upon approval of the National Center for Advancing Translation Sciences (NCATS). Pilot grantees should seek approval from NCATS to conduct research involving human subjects that could not be described in an original peer-reviewed grant application. The goal of this policy is to allow grantees to conduct human subjects research through the pilot award program. Pilot grantees must complete the NCATS Prior Approval Checklist and submit all required documents to Ashley Dunn at [adunn2@stanford.edu](mailto:adunn2@stanford.edu) prior to receiving funds.

#### *2. Project Documentation*

- In order to receive grant funds once a project is awarded, each project must submit an IRB or APLAC approval number, or provide confirmation of non-human/non-animal subjects determination.
- In addition, a detailed final budget using the provided template must be submitted to Ashley Dunn at [adunn2@stanford.edu](mailto:adunn2@stanford.edu) (see below for guidance on allowable expenses).
- Projects are expected to be initiated in January 2017, after submission of all required compliance documents.

### 3. *Accurate Compliance with Stanford Regulatory, Financial and Conflict-of-Interest Policies*

- Awardees must be in compliance with all aspects of Stanford institutional policies for human subjects and animal research (IRB/APLAC) approvals; conflict-of-interest (COI) disclosure forms; and NIH/federal policies for allowable and allocable costs.
- For all research that involves human subjects, award recipients must complete the Stanford human subjects tutorial and receive human subjects approval or provide confirmation of non-human subjects determination.
- For all research that involves live or dead vertebrate animals, an animal use protocol must be reviewed and approved by APLAC prior to commencement of the project.
- Project protocols should be submitted to the Stanford IRB as soon as possible after notification of the grant award is received. For more information on IRB protocol submission, please visit <http://humansubjects.stanford.edu>.
- Once investigators are notified of approval/exemption, the study protocol ID# and date of approval/exemption should be emailed to Ashley Dunn at [adunn2@stanford.edu](mailto:adunn2@stanford.edu).
- If required, project investigators and their research staff must complete HIPAA (Health Insurance Portability and Accountability Act), and CITI (Collaborative Institutional Training Initiative) training online.
- Inventions created with grant funds must be disclosed to Stanford's Office of Technology Licensing.
- There are no indirect costs associated with these grants. Grant funds will not be used to purchase capital equipment costing more than \$5,000, intellectual property services or food.

### 4. *Grants Management*

- PIs are required to maintain regular communication with their respective program managers in order to review grant-related issues such as flow of funds, resource allocation and preparation of progress reports.

### 5. *Progress Reports*

- A written progress report submitted online is due on **February 1, 2018** to Spectrum (all PIs will receive a link to the online progress report form at least 60 days before the due date).
- Grantees may be contacted for further updates for up to 5 years following the award end date. Typical metrics include publications, presentations, patents, community partnerships, trainee career development, submitted grants and any external funding resulting from this award. Grantees should communicate in a timely manner about presentations, publications, grant applications and other notable outcomes. Grantees should continue to report such outcomes as a result of their work even after the end of the award period.

### 6. *Presentation at the Spectrum Annual Research Symposium*

- All investigators will present their work at the Spectrum Annual Research Symposium.

### 7. *Acknowledgement of Research Support and NIH Public Access Policy Compliance*

- Grantees must acknowledge the research support of the Spectrum Clinical and Translational Science Award in all communications – including publications, presentations, newsletters and abstracts. Suggested boilerplate text:
  - *"This work was supported by the Stanford Clinical and Translational Science Award (CTSA) to Spectrum (UL1 TR001085). The CTSA program is led by the National Center for Advancing Translational Sciences (NCATS) at the National Institutes of Health (NIH). The content is solely the responsibility of the authors and does not necessarily represent the official views of the NIH."*
  - **Spectrum is unable to offer future funding support to grantees who fail to acknowledge CTSA grant support in the aforementioned manner.**

- The NIH recently announced that it would “delay processing of an award if publications arising from it are not in compliance with the NIH public access policy.” The public access policy ensures that the public has access to the published results of NIH-funded research. It requires scientists to submit final peer-reviewed journal manuscripts to PubMed Central (<http://www.ncbi.nlm.nih.gov/pmc/>), a digital archive of full-text biomedical journals, within 12 months of publication. Spectrum Pilot Grant awardees should use My NCBI (<https://www.ncbi.nlm.nih.gov/account/>) to manage compliance with the NIH Public Access Policy. Within My NCBI, each pilot awardee is required to associate every publication that is generated as a result of CTSA support (in whole or in part) to the respective CTSA grant number: **UL1 TR001085**.
- For more information, visit the Research Management Group page on NIH Public Access Policy and Compliance ([https://med.stanford.edu/rmg/funding/nih\\_pub\\_access.html](https://med.stanford.edu/rmg/funding/nih_pub_access.html)).

#### *8. Additional Individual Programmatic Requirements*

- PIs may be required to meet additional programmatic policies within the individual thematic programs of Medtech, SPARK, SPADA, Population Health Sciences.
- Please consult with your program manager for all additional requirements including that of applicable institutional policies around Intellectual Property and the Office of Technology and Licensing.