

# **Cancer and Smoking Disease Research Program**

**One-Year (LB 506)**

**Grant Application**

**2017**

*Due: January 25, 2016, 5 p.m. CT*



## Table of Contents

Introduction & What’s New.....	3
Timeline .....	4
General Instructions.....	5
Specific Instructions .....	7
Section 1.General Information .....	7
Section 2. Research Plan.....	15
Section 3. Appendix.....	17
Application Form.....	<a href="#">Separate Word Document</a>

## **Introduction**

The Nebraska Cancer and Smoking Disease Research Program was created by the Nebraska Legislature in 1981, when one-cent (1¢) of the tax per pack of cigarettes sold in the state was designated to fund the program.

A portion of the revenue generated from the tax also funds the University of Nebraska Eppley Institute for Research in Cancer and Allied Diseases and the Cancer Registry at the Nebraska Department of Health & Human Services.

The remainder is awarded to all campuses of the University of Nebraska and Creighton University which compete annually for the funds.

---

## **What's New**

- The Research Plan is limited to five-pages. Page limits will be strictly enforced.
- A one-page introduction is required of revised applications only.
- Applications must be for pilot projects that can be completed within one year.
- Principal Investigators must provide a letter from their Chairperson confirming their faculty level appointment.
- In Area 2g. of the Grant Application Face Page, it must be indicated whether the application is for a 'technical' or a 'behavioral' project.

**Nebraska Department of Health and Human Services  
Cancer and Smoking Disease Research Program  
Grant Application Timeline**

**Fiscal Year 2017**

Public Announcement of Proposal .....	November 23, 2015
Proposal Application is Available .....	November 23, 2015
Proposals Due to DHHS .....	January 25, 2016, 5 p.m.
Certifications for Human Subjects, Animals and Recombinant DNA Due to DHHS.....	March 29, 2016
Review Panel Convenes .....	April 2016
Announcement of Grant Awards .....	June 1, 2016
Contracts with Universities Completed .....	June 30, 2016
Funding Period Begins .....	July 1, 2016
Six-Month Progress and Fiscal Reports Due .....	January 31, 2017
Funding Period Ends .....	June 30, 2017
Final Progress and Fiscal Reports Due .....	September 30, 2017

**Nebraska Department of Health and Human Services  
Cancer and Smoking Disease Research Program  
Grant Application General Instructions**

**Fiscal Year 2017**

Applications for Fiscal Year 2017 Cancer and Smoking Disease Research Grant funding will be accepted by the Nebraska Department of Health and Human Services (DHHS) between November 23, 2015 and January 25, 2016. The application is available on the [Nebraska Department of Health and Human Services website](#) or by contacting program staff via email at [DHHS.CancerAndSmokingResearch@nebraska.gov](mailto:DHHS.CancerAndSmokingResearch@nebraska.gov).

**In order to be considered for funding, applications must be received by 5:00 p.m. (CT) on Monday, January 25, 2016 – NO EXCEPTIONS.**

Applications are initially screened by DHHS staff to ensure compliance with legislative intent and application guidelines.

**To help determine legislative intent, a clear statement of the project's relevancy to cancer or smoking disease must be included in the abstract.**

Applications found to be consistent with legislative intent will be referred to the Nebraska Cancer and Smoking Disease Research Technical or Behavioral Review Committees. Applications not meeting the intent of the legislation will be excluded from further consideration and will be returned without review.

The Review Committees are composed of scientists and physicians who are not affiliated with Nebraska universities. Review committee member names and affiliations are available upon request to DHHS after the review is completed.

The review is based upon the following criteria specified in NEB. REV. STAT. § 81-639:

- 1) The relevancy of the applicant's proposal to the furthering of cancer and smoking disease research;
- 2) The feasibility of the applicant's proposal;
- 3) The availability of other sources of funding for the applicant's proposal;
- 4) The facilities, personnel and expertise available to the applicant for use in the proposal; and
- 5) Evidence of the quality of the applicant's prior or existing programs for research of cancer and smoking diseases or the applicant's potential for developing new programs for such research.

The Review Committees assess the scientific merit of each proposal and assign an NIH (National Institutes of Health) score to each application considered competitive for funding.

Based on the Review Committees' scores and the statutory criteria, DHHS staff make recommendations to the Director regarding the proposals to be funded. The Director has the final decision-making authority for determining which applications will be funded. DHHS will notify applicants by June 1, 2016, as to which proposals will be funded in FY **2017**. Funding begins on July 1, 2016. All decisions are contingent upon continued funding by the Nebraska Legislature.

**Only applications for pilot projects that can be completed within one year will be considered.**

Applications proposing one-year projects with a budget of up to \$50,000 will be considered. Applications that focus on innovative, new research that could support future applications for external peer-reviewed funding are preferred. Projects are not eligible for renewal.

**Revised Applications (Those submitted previously, but not funded.)**

In an introduction, not to exceed one (1) page, summarize any substantial additions, deletions and changes that have been made. Include responses to criticisms in the previous application review form. Highlight these changes within the text of the Research Plan by appropriate bracketing, indenting, or changing typeface. Incorporate in the Preliminary Results Section of the Research Plan any work done since the previous version was submitted. *A revised application will not be funded if substantial revisions are not clearly indicated.*

**Changes in Principal Investigators will be reviewed on a case-by-case basis.**

A change in the principal investigator after an application has been reviewed and approved for funding will not be approved without a thorough review of the qualifications of the new principal investigator.

**Approvals for Use of Human Subjects, Animals and/or Recombinant DNA.**

Each application requires that the following certifications be provided, as appropriate:

- ✓ Human Subjects
- ✓ Vertebrate Animals
- ✓ Recombinant DNA

The certifications listed above are made by checking the appropriate boxes on the application's **Face Page**. They are verified by the signature of the **Official Signing for Applicant Organization** on the **Face Page** of the application.

**Nebraska Department of Health & Human Services  
Cancer and Smoking Disease Research Program  
Grant Application Specific Instructions**

**Fiscal Year 2017**

**Section 1. General Information**

**Submission**

Follow the instructions carefully. To be considered for funding, technical (biomedical) proposals and behavioral science proposals **must**:

1. Use the application provided on the DHHS website.
2. Be titled as follows:  
"Last Name, First Name of Principal Investigator – LB506 – 2017"
3. Contain required signatures and any required letters.

**When complete, email the application as a PDF document to:**

**[DHHS.CancerAndSmokingResearch@nebraska.gov](mailto:DHHS.CancerAndSmokingResearch@nebraska.gov), by the 5:00 p.m. (CT) deadline on Monday, January 25, 2016.**

**See Section 3 for instructions on submitting an Appendix – if included.**

- All pages must be on letter-sized (8 ½" x 11") white paper and printed on one side only.
- Adhere to the page limits noted in various sections of the application.
- Font size, type style and margins: no smaller than 12 point, Times New Roman or Arial, one inch page margins all-around.
- Figures, charts, tables and footnotes may use a smaller – LEGIBLE – font size.

Applications will be returned without review if page limits are exceeded, if font sizes are too small, or if photo reduction is used on any of the pages.

**Principal investigators** should review their applications for accuracy before submitting. DHHS does not guarantee that corrected or missing information will be forwarded to reviewers. The only material accepted for forwarding is updated information in preliminary research that may enhance the review of the application. **An application will be considered incomplete and returned if it fails to follow the instructions or if the material presented is insufficient to permit an adequate review.**

## Grant Application Face Page

1. **Title of Project.** Choose a title that is descriptive of the research to be conducted. Do not exceed 81 character spaces – including spaces and punctuation.
  - a. **NEW** applications must have a different title from any other project funded by the Nebraska Cancer and Smoking Disease Research Program with the same principal investigator.
  - b. **REVISED** applications generally have the same title. However, if the specific aims of the revised application have changed significantly, choose a new title.
  
2. **Principal Investigator (PI) Name.** Name the person responsible to the applicant organization for the specific and technical direction of the project.
  - 2a. **Degree(s).** Indicate academic and professional degrees.
  
  - 2b. **Position Title.** If the principal investigator has more than one title, indicate the one most relevant to the proposed project.
  
  - 2c. **Mailing Address.** Self-explanatory.
  
  - 2d. **Department, Service, Laboratory or Equivalent.** Indicate the organizational affiliation.
  
  - 2e. **Major Subdivision.** Indicate the school, college or other major subdivision, such as medical, dental, engineering, graduate, nursing or public health. If there is not a subdivision, enter “None.”
  
  - 2f. **PI Contact Information.** Include area code and any extensions.
  
  - 2g. **Technical Application, Behavioral Application, New Application, Revised Application.** Check the appropriate boxes. If the application replaces a prior unfunded version, insert the number of the prior application. **Note:** an application is either a technical or a behavioral project – it cannot be both.
  
3. **Human Subjects.** If activities involving human subjects are not planned **at any time** during the proposed project period, check “NO.” If activities involving human subjects – whether or not exempt from Institutional Review Board regulations for the protection of human subjects – are planned **at any time** during the proposed project period, check “YES.” Insert the date of approval by the applicant organization’s review board for the protection of human subjects. If the activities are designated to be exempt from the regulations, insert the date the exemption was approved by the applicant organization’s review board for the protection of human subjects.
  
4. **Vertebrate Animals.** If activities involving vertebrate animals are not planned at any time during the proposed project period, check “NO.” If activities involving vertebrate

animals are planned at any time during the proposed project period, check “YES.” Insert the date of approval by the applicant organization’s review board for the humane treatment and use of vertebrate animals.

- 5. Recombinant DNA.** If activities involving recombinant DNA are not planned at any time during the proposed project period, check “NO.” If activities involving recombinant DNA are planned at any time during the proposed project period, check “YES.” Insert the date of approval by the applicant organization’s review board for biosafety.

**Important:**

Certifications are best secured prior to submitting the application. If certifications are unavoidably delayed beyond the submission of the application, enter “pending” at Numbers 3, 4 and/or 5. **The follow-up certification of approval must be sent to – and received by – DHHS by March 29, 2016.** The follow-up certification must include: application number, title of the application project, name of the principal investigator and institution and date of the certification review approval or exemption.

Any modifications in the Research Plan section of the application required by review boards for human subjects, vertebrate animals or recombinant DNA must be submitted with the follow-up certification.

**It is the responsibility of the Principal Investigator to submit the follow-up certification by the due date of March 29, 2016. If certifications of approval for human subjects, vertebrate animals and/or recombinant DNA are not received by the due date, the application will be considered incomplete and will not be reviewed.**

- 6. Total Direct Costs for Entire Proposed Project.** Enter the total direct costs from the budget, Application Page 3.
- 7. Administrative Official to be Notified if an Award is Made.** Self-explanatory.
- 8. Name of Official Signing For Applicant Organization.** Name an individual authorized to act for the applicant organization and to assume the obligations imposed by the requirements and conditions for any grant.
- 9. Principal Investigator Assurance.** Self-explanatory.
- 10. Applicant Organization Certification and Acceptance.** Self-explanatory.

**Application: Page 1**

**Table of Contents.** Self-explanatory.

## **Application: Page 2**

**Abstract.** Self-explanatory.

**Key Personnel.** Defined as – and should be limited to – individuals who contribute in a substantial way to the scientific development or execution of the project, whether or not salaries are requested.

***The PI must be an independent investigator with an appropriate faculty appointment, adequately assigned laboratory space and the ability to apply for federal grants as a PI.***

***PIs must provide a statement or letter from their Chairperson confirming their faculty level appointment, the amount of research space available to them and their eligibility to apply for federal grants.***

Consultants should be included only when their level of involvement meets the definition. Individuals providing technical services are not considered key personnel. For each individual list: name, organization and role on the project. Under role on the project, indicate how the individual will function with regard to the proposed project, for example, principal investigator, graduate research assistance, etc. Use additional pages as necessary.

## **Application: Page 3**

**Detailed Budget.** List only the direct costs requested for this application. Direct costs are those that can be identified specifically within a particular cost objective. Indirect costs or overhead costs are unallowable.

The budget sheet on Application Page 3 must be completed for each application. The budget justification (Application Page 4) should provide adequate detail to ascertain how costs will be allocated. The budget maximum is **\$50,000**.

**Applications which fail to present itemized budgets and appropriate budget justifications will be considered incomplete and will not be reviewed.**

**Personnel.** Personnel costs should include salaries and associated fringe benefits paid for services rendered to the research project. Personnel costs should be budgeted in relation to the amount of time and effort expected to be devoted to the project by each individual involved. Salary support for the Principal Investigator or other faculty on full-time appointments (12 months) is not permitted. Faculty who have nine- or ten-month appointments may request summer salary only.

Whether or not salaries are requested, list the names and roles of all applicant organization personnel to be involved in the project during the 12-month budget period. Starting with the Principal Investigator, list all key personnel first and then support personnel. Support

personnel are those individuals who provide administrative or technical assistance to the project.

**Column 1: Type of Appointment.** List the number of months per year reflected in an individual's contractual appointment to the applicant organization. Full-time appointments are assumed. If an appointment is less than full-time (e.g., ½ or ¾ time), enter an asterisk (\*) after the number of months and provide a full explanation in the Budget Justification. Individuals may have split appointments, for example, an academic period and a summer period. For each appointment, identify and enter the number of months on separate lines. In cases where no contractual appointment exists with the applicant organization and salary is being requested, enter the number of months for that period.

**Column 2: Percent of Effort on Project.** Indicate the percent of each appointment at the applicant organization to be devoted to this project.

**Column 3: Institutional Base Salary.** Institutional base salary is defined as the annual compensation that the applicant organization pays for the individual's appointment, whether that individual's time is spent on research, teaching, patient care or other activities. Base salary excludes any income that an individual may earn outside of duties to the applicant organization. Base salary **may not** be increased as a result of replacing institutional salary funds with grant funds.

**Salary.** Enter the dollar amounts for each position for which funds are requested. The maximum salary that may be requested is calculated by multiplying the individual's base salary, defined above, by the percent of effort on the project.

**Fringe Benefits.** Fringe benefits may be requested in accordance with the existing rate established by the applicant organization.

**Totals.** Calculate the totals for each position and enter the **subtotals** in each column where indicated.

**Consultant Costs.** Whether or not costs are involved, provide the names and organizational affiliations for any consultants – including physicians in connection with patient care, who have agreed to serve in that capacity. Consultants are generally organizationally separate from the Principal Investigator. Consultant costs are not allowed for full-time faculty or researchers in other departments of the same institution as the Principal Investigator. Briefly describe in the Budget Justification, the services to be performed, including the number of consultation days, the expected rate of compensation, travel, per diem and any other related costs.

**Equipment.** Although equipment costs are usually unallowable, there may be some exceptions for scientific equipment. Explain equipment costs thoroughly in the Budget Justification. Each equipment item must be identified and have a cost assigned. Any

equipment purchased with research funds is the property of the Nebraska Cancer and Smoking Disease Research Program and may be assigned to other researchers in subsequent years. **The purchase of office equipment is not allowed.**

**Supplies.** Laboratory and office supplies that are needed to carry-out the project are allowed. Itemize supplies in separate categories such as glassware, chemicals, office supplies, etc. If animals are involved, state the species, the number to be used, their unit purchase cost, their unit care cost and the number of care days. Explain in the Budget Justification why this type and number of animals is necessary.

**Travel.** Only travel expenses incurred for collecting, receiving or delivering samples are allowed. Indicate in the Budget Justification, the purpose of any travel, including the number of trips involved, the destinations and the number of individuals for whom funds are requested. **Travel expenses to attend national, international, professional research or educational conferences are not allowed.**

**Patient Costs.** Charges for blood samples, x-rays, physical examinations or comparable procedures are allowed for human subjects involved in the project. Patient costs may **not** include travel, lodging or subsistence. **Treatment costs are unallowable.** Treatment costs are defined as costs which are usual and customary. Costs specifically required to conduct the research – which will **not** continue after the conclusion of the project – are allowed. Patient costs should be thoroughly explained in the Budget Justification.

**Contractual or Third-Party.** Contractual or third-party costs may include personnel, supplies and any other allowable expense, for the independent conduct of a portion of the work described in the Research Plan. **A grant recipient shall not subcontract for all necessary services with a single entity to implement the project.** Such costs should be thoroughly described in the Budget Justification. **Indirect costs are not allowed.**

**Other Expenses.** Other expenses may include postage, data processing and other operating expenses not previously captured. Costs will only be allowable to the extent that they are incurred for the direct benefit of an approved grant (e.g., postage, copying or printing). **The cost of publishing the research findings in a scientific journal are allowable up to \$500.** Each item must be identified with its associated cost. Telephone and cellphone costs are not allowable. **Indirect or overhead costs, such as rent and utilities, are not allowed.**

#### **Application: Page 4**

**Budget Justification.** Follow the instructions for each budget category described above. Describe the specific functions of the personnel, collaborators and consultants. Explain and justify the purchase of major equipment, supplies, animal costs, other and travel costs.

#### **Application: Page 5**

**Biographical Sketch.** This section should contain the biographical sketches of all **key**

personnel listed on Application Page 2. **Do not exceed two pages (Application Page 5 and one additional page) for each biographical sketch.**

**Application: Page 6**

**Other Support.** Other support is defined as **all financial resources** (federal, non-federal, commercial or institutional) **available in direct support of the Principal Investigator's research endeavors**, including – but not limited to – research grants, cooperative agreements, contracts and/or institutional awards. Active and pending other support should be indicated.

**Other Support information is required for the principal investigator only.** If the principal investigator has no active or pending support, indicate "None." The application under consideration should not be listed as other support.

If the support is provided under a consortium/subcontract arrangement or is part of a multi-project award, indicate the project number, principal investigator and source for the overall project and provide all other information for the subproject only.

**Project Number:** If applicable, include a code or identifier for the project.

**Source:** Name the agency, institute, foundation or other organization that is providing the support.

**Major Goals:** Provide a brief statement of the overall objectives of the project, subproject or subcontract.

**Dates of Approved/Proposed Project.** Indicate the inclusive dates of the project as approved/proposed. For example, in the case of NIH support, provide the dates of the approved/proposed competitive segment.

**Annual Direct Costs.** In the case of an active project, provide the current year's direct cost budget. For a pending project, provide the proposed direct cost budget for the initial budget period.

**Percent Effort.** For an active project, provide the level of effort (even if unsalaried) as approved for the current budget period. For a pending project, indicate the level of effort as proposed for the initial budget period. In cases where the principal investigator's appointment is divided into academic and summer segments, indicate the proportion of each devoted to the project.

**Overlap.** After listing all support, summarize any potential overlap with the active or pending projects and this application in terms of the science, budget or an individual's committed effort. Any necessary resolution of overlap due to this application being funded will occur in conjunction with the applicant institution and DHHS at the time of award.

Overlap is defined as:

**Budgetary overlap** occurs when duplicate or equivalent budgetary items (e.g., equipment, salary) are requested in an application but are already funded or provided for by another source.

**Commitment overlap** occurs when the principal investigator has time commitments exceeding 100 percent. This is the case whether or not the grant includes salary support for the effort.

**Scientific overlap** occurs when: (1) substantially the same research is proposed in more than one application or is submitted to two or more different funding sources for review and funding consideration; or (2) a specific research objective and the research design for accomplishing that objective are the same or closely related in two or more applications or awards, regardless of the funding source.

## Section 2. Research Plan

Include sufficient information in Section 2 to facilitate an effective review without reference to any previous application. Be specific, informative and avoid redundancies.

- A. Introduction (Revised Applications ONLY)
- B. Specific Aims
- C. Significance
- D. Preliminary Results
- E. Experimental Approach (Research Design and Methods)
- F. Literature Cited

An introduction is required for revised applications only. **Do not exceed one page for the introduction. The one-page introduction does not count towards the five-page limit for the Research Plan.** Summarize any substantial additions, deletions and changes that have been made. **The introduction must include responses to criticisms noted on the previous application review form.** Highlight these changes within the text of the Research Plan by appropriate bracketing, indenting or changing typeface. **Do not underline or shade changes.** Incorporate in the Preliminary Results section any work done since the prior application was submitted. **A revised application will be returned without review if it does not address criticisms on the previous application review form and/or an introduction is not included and/or substantial revisions are not clearly indicated.**

**Do not exceed the five-page limit for Sections B – E.** All tables and graphs must be included within the five-page limit. Full-sized photographs may be included in the Appendix, however, a copy of any such photograph must also be included within the Research Plan and within the page limitations. **The five-page limit will be strictly enforced. Applications that exceed the page limit or the font size limitations, will be returned without review.**

Organize the Research Plan as follows:

- B. Specific Aims.** State the broad, long-term objectives and describe concisely and realistically what the specific research is intended to accomplish. Include any hypotheses to be tested.
- C. Significance.** Briefly sketch the proposal's background, critically evaluate existing knowledge and specifically identify the gaps which the research is intended to fill. State concisely the importance of the research described in the application by relating the specific aims to the broad, long-term objectives.

The titles and complete references to appropriate publications and manuscripts **accepted** for publication may be listed and included in the application's Appendix.

**D. Preliminary Results** – not required, but if included, describe briefly.

**E. Experimental Approach (Research Design and Methods):**

- Outline the research design and how the specific aims of the project will be accomplished.
- Describe how the data will be collected, analyzed and interpreted.
- Note any new methodology and its advantage over existing methodologies.
- Discuss the potential difficulties and limitations of the proposed procedures and alternative approaches to achieve the aims.
- Provide a tentative sequence of events for the investigation. Point out any procedures, situations or materials that may be hazardous to personnel and the precautions to be exercised.

**Gender and Minority Inclusion:** Applications for grants that involve human subjects are required to include minorities and both genders in study populations so that research findings can be of benefit to all persons at risk of the disease, disorder or condition under study. Special emphasis should be placed on the need for inclusion of minorities and women in the study of diseases, disorders and conditions which disproportionately affect them.

**F. Literature Cited.** Do not scatter literature citations throughout the Research Plan; list at the end instead. Each literature citation must include the title of the article, the names of all authors, the name of the book or journal, volume number, page numbers and year of publication. Be judicious in compiling a relevant and current list of literature citations. **Do not exceed four (4) pages.**

### Section 3. Appendix

All Appendix material is to be combined into one (1) PDF document – separate from the application – attached to the email submitting the application.

Title the PDF document using the following format: “Last Name, First Name of Principal Investigator – Appendix”.

The Appendix:

- **Is limited to five (5) items.**
- Cannot be used to circumvent the five-page limit on the Research Plan.
- May include publications or other printed materials documenting preliminary studies.
- Does not require page numbering.