Tapping into Funding from Non-Profit Organizations: How to Diversify your Research Portfolio

SGIM Annual Meeting
April 30, 2010
Minneapolis, MN

Speakers and Organizers
- Moderator:
  - Sunil Kripalani, MD, MSc – Vanderbilt University
- Panelists:
  - Daniel Duprez, MD, PhD – American Heart Association
  - Marshall Chin, MD, MPH – University of Chicago, Robert Wood Johnson Foundation
  - John Z. Ayanian, MD, MPH – Harvard University
- Co-Sponsored by SGIM Research Committee

Session at a Glance
1. Overview
   - Major sources of non-profit funding
   - Types of awards
   - Search engines and other resources
2. Perspective of 2 non-profit organizations
3. Lessons learned from successful applicants
4. Open discussion
5. Wrap-up and evaluations

Learning Objectives
1. Name at least 5 major non-profit healthcare organizations and their funding priorities
2. Describe how to use search engines to identify suitable non-profit funding opportunities
3. Compare and contrast application procedures for non-profit and federal (NIH) funding
4. Discuss characteristics of successful grant applications

Major Sources of Funding
- Non-Profit
  - Healthcare foundations
    - Robert Wood Johnson Foundation
  - Healthcare organizations
    - American Cancer Society
  - Professional societies
    - American Heart Association
- For-Profit Companies (Charitable Arm)
  - Pharmaceutical, insurance companies

Characteristics of Funders
- Each one is different!
- Review mission, program areas, application procedures
- Large foundations want impact
- Healthcare organizations and professional societies usually disease specific, but lots of leeway
Program Areas of Major Healthcare Foundations

- The Commonwealth Fund
  - High performance health system, special populations, international health

- Robert Wood Johnson Foundation
  - Building human capital, childhood obesity, health insurance coverage, pioneer, public health, quality/equality, vulnerable populations

- Gates Foundation
  - Global health, education

Program Areas of Major Healthcare Foundations

- MacArthur Foundation
  - Housing, community & economic development, policy, mental health, research networks

- Doris Duke Charitable Foundation
  - Clinical research, African health

- WK Kellogg Foundation
  - Health care safety nets, quality health and health care, building diverse health care leadership

- Hartford Foundation
  - Elder care

Major Professional Society Grant Programs

- American Heart Association
- American Cancer Society
- American Diabetes Association
- American Medical Association
- American College of Physicians
- American Society of Health System Pharmacists Foundation

Types of Grants Available

- Career Development Awards
  - RWJ, ACS, ADA, Doris Duke, Hartford

- Big Impact Awards
- Contracts
- (Small) Project Awards

Project Awards

- Shorter applications, quicker turn-around than NIH R03 application
- Great source of pilot funds
- Can use to leverage another grant
- Usually compatible with K award
- My own experience:
  - American Heart Association ($65K x4yrs)
  - Pfizer Health Literacy Initiative ($65K x2yrs)
  - American Society of Health System Pharmacists Foundation ($20K x2yrs)

Online Resources and Search Engines

- Funding Search Tools
  - Community of Science (www.cos.com)
  - GrantsNet (www.grantsnet.org)
  - Foundation Center (foundationcenter.org)
  - InfoEd (www.infoed.org)
  - IRI/S (www.library.uiuc.edu/iris)
  - ResearchResearch (www.researchresearch.com)

- Alerting Services
  - Community of Science
  - IRI/S

- SGIM Research Committee: Funding Opportunities
- Other Helpful Sites
Community of Science
- www.cos.org
- Institutional subscription

Sample COS Search

Alerting Services
- Funding Alerts
  - Customized list of funding opportunities through weekly emails
  - COS and IRIS
- RSS feeds
  - COS

SGIM Research Committee: Funding Opportunities
Other Helpful Sites

- Council on Foundations (www.cof.org)
  - Info on private foundations and links to online resources

- SRA International Grants Web (www.srainternational.org/sra03/grantsweb/index.cfm)
  - Info on private foundations and links to funding sources

- W.K. Kellogg Foundation: Grantseeking Tips (www.wkkf.org)
  - Links to online resources

- Guidestar (www.guidestar.org)
  - Info on > 900,000 non-profit organizations

American Heart Association
Grant Programs

Daniel Duprez, MD, PhD, FAHA, FACC, FESC
Professor of Medicine/Cardiology
Cardiovascular Division
University of Minnesota

Mission:
Building healthier lives, free of cardiovascular diseases and stroke.

AHA has multiple funding components for research:

- National Research Program
- Eight Affiliate Research Programs
Life Cycle of a Research Application

An idea begins → Application submitted → Assigned to reviewers → Critique developed → Peer Review Committee

AHA’s research focus:
- Training and career development of beginning scientists
- Support for innovative, meritorious basic and clinical science

Types of research funded by AHA:
Basic, clinical, and population studies broadly related to cardiovascular diseases and stroke.

AHA Research Program Offerings:
- Summer Undergraduate Research Fellowships
- Pre-doctoral Fellowships
- Postdoctoral Fellowships
- Clinical Research Program
- Fellow-to-Faculty Transition Awards
- Scientist Development Grants
- Beginning Grants-in-Aid
- Grants-in-Aid
- Innovative Research Grants

Summer Undergraduate Research Fellowships

Objective
To encourage promising undergraduate students, including women and members of minority groups underrepresented in the sciences, from all disciplines to consider research careers while supporting the highest quality scientific investigation broadly related to cardiovascular disease and stroke.

Currently offered by the Founders Affiliate, Great Rivers Affiliate, Midwest Affiliate, and Western States Affiliate.

Pre-doctoral Fellowships

Objective
- To help initiate careers in cardiovascular and stroke research by providing research training

Eligibility
- Pre-doctoral MD, PhD, DO, DVM or equivalent
- Sponsor/mentor required
- Full-time students working toward their degrees

Currently offered by all eight AHA affiliates
**Postdoctoral Fellowships:**

- **Objective**
  - To help trainees initiate careers in cardiovascular and stroke research while obtaining significant research results.

- **Eligibility**
  - MD, PhD, DO, DVM (or equivalent) at award activation
  - Currently offered by all eight AHA affiliates. Some have restrictions on years of experience.

**Clinical Research Program**

**Objective**

- Encourages early-career investigators who have appropriate and supportive mentoring relationships to engage in high-quality introductory and pilot clinical studies.
- Fosters new research in clinical and translational science, and encourages community and population-based activities.
- Not intended to fund basic science, nor to support senior researchers.

**Clinical Research Program**

**Proposals are encouraged in these areas:**

<table>
<thead>
<tr>
<th>Patient behavior</th>
<th>Cost benefit analyses</th>
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<tbody>
<tr>
<td>Provider behavior</td>
<td>Evaluation of outcomes of patient care delivery</td>
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<tr>
<td>Behavioral outcomes</td>
<td>Patient/provider and/or system compliance and adherence to recommendations</td>
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<tr>
<td>Disease outcomes</td>
<td>Pilot clinical research studies that provide preliminary data for larger-scale investigation</td>
</tr>
<tr>
<td>Risk factor outcomes</td>
<td>Studies utilizing existing databases</td>
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<tr>
<td>- Ancillary studies or clearly defined sub-study of an ongoing clinical research study. (There must be clear justification that proposal is a sub-study and not a piece of an already funded project.)</td>
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**Fellow-to-Faculty Transition Award**

**Objective**

- Funding for postdoctoral trainees with outstanding potential for careers as physician-scientists in cardiovascular or stroke research during the crucial period of career development that spans the completion of research training through the early years of the first faculty position.

**Eligibility**

- Physicians who hold an MD, MD/PhD, DO, or equivalent at time of application.
- Must be enrolled in or have completed an ACGME-approved residency or clinical fellowship program.
- Must have completed the clinical portion of training program.

**Offered through the AHA National Center**
Scientist Development Grant

Objective
Supports highly-promising beginning scientists in their progress toward independence by encouraging and adequately funding research projects that can bridge the gap between completion of research training and readiness for successful competition as an independent investigator.

Currently offered by Founders and Midwest Affiliates, and National Center

Scientist Development Grant

Eligibility
- MD, PhD, DO, DVM or equivalent
- Faculty appointment required at award activation
- At the time of award activation, no more than 4 years since first faculty appointment at Assistant Professor level or equivalent
- Ineligible if prior or current funding (extramurally) for more than 1 year at greater than $95,000 per year in direct costs
- AHA SDG and an NIH mentored K-series award cannot be held simultaneously

Beginning Grant-in-Aid

Objective
To promote the independent status of promising beginning scientists.

Eligibility
- At application, MD, PhD, DO, DVM or equivalent initiating independent research career.
- Up to and including assistant professor (or equivalent) at time of award activation.
- Must have faculty appointment

Currently offered by the following affiliates: Great Rivers, Greater Southeast, Mid-Atlantic, Pacific Mountain, South Central, and Western States

Grants-in-Aid

Objective
To encourage and adequately fund the most innovative and meritorious research projects from independent investigators.

Eligibility
- MD, PhD, DO, DVM or equivalent
- Applicants must have faculty/staff appointment at time of application

Currently offered by all eight AHA affiliates (not offered by National Center)

National Innovative Research Grant

Objective
Supports highly innovative, high-risk, high-reward research that could ultimately lead to critical discoveries or major advancements that will accelerate the field of cardiovascular and stroke research.

Should introduce new paradigms, challenge current paradigms, look at problems from new perspectives, or exhibit other uniquely creative qualities. Preliminary data not required.

Provides pilot or seed funding that should lead to additional funding.

Eligibility
- All levels of faculty/staff members conducting research.
- At application, principal investigator must hold an MD, PhD, DO or equivalent doctoral degree.
- Eligibility is not restricted based on experience level or seniority. Seniority will not be used as a criterion in evaluating an application's merit.
- Awards are not intended to supplement or duplicate currently funded work.
- May be held concurrently with another AHA award.
Helpful Hints
♥ Start with AHA research program descriptions available online at www.americanheart.org and read to be sure you are eligible (programs change annually)
♥ Email AHA at apply@heart.org for help
♥ Seek additional advice from your grants officer or sponsored programs office

Grants@Heart
web-based system for completing applications
♥ PI completes application online and submits to institution’s grants office; Institutional officer is required to submit proposal to AHA.
♥ Register and login: https://research.americanheart.org/
♥ question marks throughout the application provide instructions
♥ System enforces many rules (eligibility questionnaire, page limitations, personnel requirements, uploads such as pdf, budget restrictions, submission deadline, etc.)
♥ Once submitted to AHA, no modifications are allowed
♥ The application can always be viewed after submission
♥ Grants@Heart is available online 24/7/365

AHA Research Contact Information
Email: apply@heart.org
Applicant inquiries:
(214) 360-6104
(214) 360-6106

Finding Answers
Disparities Research for Change
Working with Private Foundation Funders
Marshall H. Chin, MD, MPH
University of Chicago
Roadmap
- About RWJF Finding Answers
- Know the foundation
- The grant selection process
- Working with foundation once funded

My Experience
- Program Director: RWJF
- Grant Recipient: American Heart Association, Chicago Community Trust, Commonwealth Fund, Hartford Foundation, Retirement Research Foundation, RWJF
- Career Development Award Mentor: RWJF

Finding Answers
- A national program supported by the Robert Wood Johnson Foundation with direction and technical assistance provided by the University of Chicago.

Goals of Finding Answers
- Grant funds to evaluate practical solutions to reduce racial and ethnic health care disparities.
- Conduct systematic reviews of racial and ethnic health care disparities interventions.
- Disseminate results to encourage health care systems to address racial and ethnic gaps in care.

Dissemination & Translation
- Provide valuable information about what works—and what doesn’t
- Create resources and toolkits that organizations can use to implement promising interventions

Know the Foundation
- RWJF
- Commonwealth Fund
### RWJF Finding Answers

#### Grant Selection Process
- **Call for Proposals**
  - Explanatory conference call
- **Brief Proposal** – Innovation, Impact, Diverse portfolio, Rigor, Feasibility
  - RWJF Program Officer, Deputy Director, Director

#### Full Proposal – National Advisory Committee
- Who’s on the committee
- Written reviews
- Selection meeting

### RWJF Finding Answers

#### Grant Selection Process 2
- **Site visits**
  - Find out what the concerns are beforehand
  - Focus on the concerns
  - Leave ½ time open for discussion
  - Choreograph the action
- **Final selection**

### Working with Foundation Once Funded
- Remember how program and the foundation are judged
- You’re establishing your reputation
- Get the project done competently
- Be honest with challenges and successes
- Don’t be afraid to toot your horn
  - You’re our children
- Be pleasant

### Working with Foundation Once Funded 2
- Give us a heads up with publications
  - Joint planning on press releases
- Discuss budgetary issues early
- Share your final products
- Share any other downstream benefits
  - Grants, projects, centers, partnerships, policy, etc.
- Ask how we can be helpful to you internally and locally

### Tips for Working with Non-Profit Research Funders

John Z. Ayanian, MD, MPP
Professor of Medicine & Health Care Policy
Harvard Medical School
Brigham and Women’s Hospital

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My Experience

Grant recipient: Robert Wood Johnson Foundation
Commonwealth Fund
MacArthur Research Network
American College of Physicians
Medical Foundation (local in Boston)

Career Development Award Mentor:
Robert Wood Johnson Foundation
Doris Duke Foundation
American Cancer Society

Grant Reviewer: Robert Wood Johnson Foundation
Commonwealth Fund
American Heart Association

How Does Non-Profit Funding Compare with Federal Funding?

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<tr>
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<th>Non-Profit</th>
<th>Federal</th>
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<tr>
<td>Proposal development</td>
<td>2 steps: letter &amp; proposal (sometimes solicited)</td>
<td>1 step: proposal</td>
</tr>
<tr>
<td>Length of proposal</td>
<td>Short to medium</td>
<td>Medium to long</td>
</tr>
<tr>
<td>Speed of decision</td>
<td>Fast to moderate</td>
<td>Moderate to slow</td>
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<tr>
<td></td>
<td></td>
<td>(usually 2 rounds)</td>
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<tr>
<td>Size of budget</td>
<td>Small to medium</td>
<td>Medium to large</td>
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<tr>
<td></td>
<td>Low indirect rate</td>
<td>Full indirect rate</td>
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<tr>
<td>Program staff</td>
<td>Personal &amp; collaborative Often involved in review</td>
<td>More formal Not involved in review</td>
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Completing Your Research & Disseminating Results

1) Keep your project officer well-informed of progress & obstacles
2) Be familiar with budgeting rules (e.g. reallocating funds, carryforward, co-funding)
3) Coordinate coverage of forthcoming results with funder’s public affairs staff
4) Build a long-term relationship if appropriate