



**Request for Qualifications (RFQ)  
Partnership to Advance Breast Cancer Research**

**University of California  
California Breast Cancer Research Program  
Special Research Initiatives**

**Deadline: July 22, 2010 at 5:00 PDT**

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## About the CBCRP

The **California Breast Cancer Research Program (CBCRP)** was established pursuant to passage by the California Legislature of the 1993 Breast Cancer Act (i.e., *AB 2055 (B. Friedman) [Chapter 661, Statutes of 1993]* and *AB 478 (B. Friedman) [AB 478, Statutes of 1993]*). The program is responsible for administering funding for breast cancer research in the State of California.

The mission of the CBCRP is to eliminate breast cancer by leading innovation in research, communication, and collaboration in the California scientific and lay communities.

- The CBCRP is the largest state-funded research effort in the nation and is administered by the University of California, Office of the President.
- The CBCRP is funded through the tobacco tax, voluntary tax check-off on personal income tax forms, and individual contributions.
- The tax check-off, included on the personal income tax form since 1993, has drawn over \$7 million for breast cancer research and funded 45 grants.
- Ninety-five percent of our revenue goes directly to funding research and education efforts.
- The revenue is used to make grants for California scientists and community researchers to find better ways to prevent, treat and cure breast cancer.
- The CBCRP supports innovative breast cancer research and new approaches that other agencies may be reluctant to support.
- Since 1994, the CBCRP has awarded over \$213 million in 894 grants to 101 institutions across the state.

For more information about the CBCRP, go to [www.cabreastcancer.org](http://www.cabreastcancer.org).

## Special Research Initiatives

In March 2004, the CBCRP's Breast Cancer Research Council crafted a bold vision to devote 30 percent of CBCRP research funds to a program of coordinated, directive, and collaborative Special Research Initiatives (SRI) on:

1. The effects of the environment on the development of breast cancer, and
2. Why some groups of women are more likely to get breast cancer or to die from the disease.

The CBCRP vision is to fund research that not only increases knowledge about these questions, but also points to solutions that will reduce the suffering from breast cancer and move us closer to eliminating the disease.

The CBCRP followed a carefully crafted [strategy development process](#) to determine the best way to use the dedicated SRI funds to push breast cancer research forward in these areas. The process was designed to avoid duplicating previous research; base our efforts on the most up-to-date knowledge and on the opinions of experts nationwide; and leverage the unique and diverse geographic, population, and research resources in California. For details about the resulting research strategies and projects, go to [www.cabreastcancer.org/sri/](http://www.cabreastcancer.org/sri/).

In March 2010, the council decided to build on the existing SRI by devoting 50 percent of CBCRP research funds over the next five years to directed, coordinated, and collaborative research into:

- Identification and elimination of environmental causes of breast cancer;
- Identification and elimination of disparities/inequities in the burden of breast cancer in California;
- Population-level interventions (including policy research) on known and suspected risk factors and protective measures; and
- Targeted interventions for high-risk individuals including new methods for identifying or assessing risk.

## A Partnership to Advance Breast Cancer Research

### Available Funding & Research Aims

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The California Breast Cancer Research Program (CBCRP) is issuing an open Request for Qualifications (RFQ) to fund a PI and her/his team to collaborate with CBCRP to develop and implement a planning process for the second phase of the Special Research Initiatives (SRI). This process will build on and be informed by the initial SRI [strategy development process](#). The goal is to provide sound and innovative recommendations to the CBCRP's Breast Cancer Research Council for a new strategy for researching breast cancer disparities and prevention in California.

### Terms of Award

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This award is being made as a cooperative agreement, an instrument establishing a "collaborative" relationship (in contrast to an "acquisition" relationship) between the CBCRP and the awardee. In this cooperative agreement, CBCRP staff is substantially involved in the program activities, above and beyond routine grant monitoring. Specifically, the CBCRP Director and staff will be active in both scientific and programmatic aspects of the award to facilitate the successful conduct and completion of this project. At the termination of this award, the CBCRP shall retain all products and materials produced under this award.

The purpose of CBCRP involvement is to guide and support the awardee's activities. Consistent with this concept, the dominant role and prime responsibility for the activity resides with the awardee for the project as a whole, although specific tasks, activities and decisions will be shared. In accepting this award, the grantee agrees to the provisions of this cooperative agreement mechanism. These terms will be in addition to, and not in lieu of, the relevant CBCRP policies and procedures for grants administration.

### **Awardee Responsibilities**

The awardee (PI) will coordinate project activities, scientifically and administratively, at the awardee institution and at the other sites that may be supported by sub-contractors to this award. The awardee and her/his staff retain the primary responsibility and dominant role for planning, directing, and executing the proposed project. The awardee will agree to accept close coordination, cooperation, and management of the project from the CBCRP as described under "CBCRP Responsibilities."

Specifically, the awardee will:

1. Co-chair the Steering Committee;
2. Provide scientific and programmatic leadership for the project, and including the Steering Committee, Advisors, advocates, and other CBCRP stakeholders;
3. Protect the confidentiality and intellectual property rights of any and all research concepts explored during the SRI process; hold confidential the names and institutional affiliations of CBCRP grant applicants and the information contained in grant applications, and otherwise respect intellectual property rights during this project; maintain confidentiality of Steering Committee and review committee deliberations.

### **CBCRP Responsibilities**

The CBCRP will have substantial and active scientific and programmatic involvement throughout this project. The CBCRP role is to provide general direction, specific input and be involved in all substantive aspects of the project.

Specifically, the CBCRP will:

1. Have the Director serve as co-chair of the Steering Committee;
2. Facilitate communication with the CBCRP council and provide periodic updates or guidance on Program priorities and their impact on this project;
3. Assist in the collection, analysis, and interpretation of data on past SRI grants and activities;
4. Provide additional expert consultation and other technical assistance, as needed;
5. Provide final approval of all published documents and materials for distribution; and
6. Closely monitor project processes, progress and timelines, providing constructive feedback and suggestions as possible.

### **Collaborative Responsibilities**

Close interaction between the awardee and the CBCRP will be required. It is anticipated that decisions in all activities will be reached jointly by the awardee and the CBCRP Director, with final recommendations on research strategies to be reached by the consensus of the Steering Committee for review and approval by the council.

Jointly, the awardee and the Director of CBCRP will:

1. Determine appropriate processes for carrying out the project;
2. Select and recruit Steering Committee members and Advisors; and
3. Set procedures and guidelines for program operations, develop plans for handling all disagreements, and address any issues that arise during the course of the grant.

### **Research Questions**

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Specific questions to be addressed include:

1. What are the most compelling strategies for research into identifying and eliminating environmental causes or exacerbations of breast cancer?
2. What are the most promising research opportunities for identifying and eliminating disparities/inequities in the burden of breast cancer in California?
3. What impacts have the previous SRI projects had and what opportunities have they created?
4. What are the gaps and opportunities for high-impact research on population-level interventions (including policy research) on known or suspected breast cancer risk factors and protective measures?
5. How can California resources be best used to advance progress in the primary prevention of breast cancer?

Up to \$1,000,000 in direct costs over five years will be available for this project. Indirect (F&A) costs are paid at the appropriate federally approved F&A rate for all institutions except for University of California campuses.

Completed responses to this RFQ are due by **July 22, 2010**. The anticipated award period is **September 24, 2010 - Sept 30, 2015**. The awardee should plan to attend the CBCRP Symposium on September 24-25, 2010.

**Potential applicants are strongly encouraged to contact Research Administrator Catherine Thomsen for more information and technical assistance:**

Catherine Thomsen, MPH  
Catherine.Thomsen@ucop.edu  
Direct Line (510) 287-3835  
CBCRP Phone: (510) 987-9884  
CBCRP Toll free: (888) 313-2277

## Methods

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We anticipate that the PI and team selected through this RFQ will partner with the CBCRP team to develop and carry out a detailed strategy development plan that incorporates the six main steps below.

### **1. Convene SRI Steering Committee**

Working together with the CBCRP, the PI will identify and recruit a Steering Committee. The Steering Committee will consist of scientists, advocates, and impacted individuals from outside of California, and will be co-chaired by the PI and the CBCRP Director. We expect the committee will include both members of the original SRI Steering Committee and new members.

The CBCRP Director and the PI will co-lead the SRI Steering Committee. That committee will finalize the planning process outlined below.

Minimally, the awardee will work collaboratively with CBCRP Director and staff to:

- Recruit and engage Steering Committee members;
- Co-lead all meetings with CBCRP Director;
- Finalize strategy development plan;
- Gather information or data requested;
- Draft, edit, and produce reports and other products determined by the Steering Committee;
- Arrange and coordinate all in-person and teleconference meetings, including scheduling, facilitation, setting agendas, and recording minutes; and
- Coordinate interim work.

The PI will be responsible for all meeting costs and for compensation of Steering Committee members.

### **2. Recruit & Convene Advisors**

The Steering Committee, led by the CBCRP Director and the PI, will identify topic area experts, advocates and impacted individuals from both outside and inside of California to serve as advisors. Some members of the previous Strategy Team will be invited along with new members, depending upon the expertise, experience, and perspectives needed in the planning process or for a given task. The final selection of the advisors will be determined by the awardee and the CBCRP Director.

The role(s) and scope of work of the Advisors will be determined and overseen by the Steering Committee. The PI and her/his team will be responsible for supporting the work of the advisors.

Minimally, the awardee will work collaboratively with the Steering Committee (including the CBCRP Director) and the CBCRP staff to:

- Recruit and engage advisors;
- Co-lead all meetings with CBCRP Director;

- Gather information or data requested;
- Draft, edit, and produce reports and other products determined by the Steering Committee;
- Arrange and coordinate at least three in-person meetings and any teleconferences, including scheduling, facilitation, setting agendas, and recording minutes; and
- Coordinate interim work.

The grantee will be responsible for meeting costs and for honoraria for Advisors.

### **3. Review Initial SRI Projects**

The Steering Committee will analyze the preliminary and final results and impacts of the initial SRI projects to identify successes and opportunities to continue or build on research efforts. This analysis will be guided by the Steering Committee, which will review the results, identify potential projects, and consult with Advisors to determine how these data will inform future funding.

Minimally, the grantee will work collaboratively with the Steering Committee (including the CBCRP Director) and the CBCRP staff to:

- Coordinate the work of the Steering Committee and advisors ;
- Identify data needed to evaluate potential opportunities following or based upon the initial SRI projects with the Steering Committee and advisors
- Collect, analyze and report data;
- Draft, edit and produce reports and other products determined by the Steering Committee; and
- Arrange and coordinate all in-person meetings and teleconferences, including scheduling, facilitation, setting agendas, and recording minutes.

### **4. Review the Relevant Science**

Guided by the Steering Committee and in collaboration with CBCRP, the PI will take the lead in gathering and synthesizing recent research findings to update the data that informed the first phase of the SRI. The grantee will also provide background knowledge on new topics, as needed. The forms that this review might take include:

- Updating part(s) of the extensive review produced in SRI's first phase, [Identifying Gaps in Breast Cancer Research](#);
- Commissioning papers and/or presentations on specific topics; and
- Creating a written review of the new SRI topics:
  - Population-level interventions (including policy research) on known and suspected risk factors and protective measures;
  - Targeted interventions for high-risk individuals, including new methods for identifying or assessing risk.

Minimally, the awardee will work collaboratively with the Steering Committee (including the CBCRP Director) and the CBCRP staff to:

- Coordinate efforts of individual advisors and teams of advisors;
- Facilitate and support any working groups that are formed;

- Complete literature reviews in areas identified by the Steering Committee;
- Arrange and coordinate all in-person and teleconference meetings including scheduling, facilitation, setting agendas, and recording minutes; and
- Coordinate interim work.

### **5. Involve and Communicate with Community**

The PI will work with CBCRP staff to ensure that stakeholders and interested communities are informed about the planning process, and have opportunities to provide input. The PI will produce a communications plan with CBCRP staff to be reviewed by the Steering Committee. Expected elements include, but are not limited to:

- Using the CBCRP monthly e-news to educate stakeholders and community members, report on progress and announce opportunities to participate.
- Establishing a web-based mechanism for ongoing stakeholder input for periodic review by the Steering Committee members.

Minimally, the awardee will work collaboratively with the Steering Committee (including the CBCRP Director) and the CBCRP staff to:

- Create a plan and materials to engage stakeholders;
- Create a portal to gather stakeholder input;
- Collect and review input; and
- Disseminate input to Steering Committee, Advisors, and CBCRP stakeholders.

### **6. Generate Research Strategies and Prepare Annual SRI Funding Recommendations**

Beginning in the second year, the Steering Committee is expected to make annual recommendations to the CBCRP's council for their consideration, ongoing discussion and decision-making. Using the knowledge gained from the analysis of previous SRI grants, the review of the relevant science and the expertise of the advisors, the Steering Committee, assisted by Advisors as appropriate, will generate *concept proposals*. These concept proposals will detail focused, innovative ideas for coordinated, directed, and collaborative research projects that address the specific aims of this initiative and meet previously established SRI criteria for research strategies.

Concept proposals will be presented to the CBCRP council for their consideration annually, individually or as a package of recommendations from the Steering Committee. It is anticipated that the first proposals will focus on follow-on SRI environmental and disparities projects, with initial SRI primary prevention projects in the third year. In years four and five, significant SRI environmental, disparities, and primary prevention concept proposals are expected.

Minimally, the grantee will work collaboratively with the Steering Committee (including the CBCRP Director) and the CBCRP staff to:

- Provide leadership for prioritizing or selecting the most promising ideas;
- Coordinate the development and the production of concept proposals;
- Present concept proposals to the CBCRP Council on an annual basis; and
- Respond to requests from the Council for additional information.

## **Budget**

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It is anticipated that up to \$1,000,000 in direct costs is available for this RFQ. Indirect (F&A) costs are paid at the appropriate federally approved F&A rate for all institutions except for University of California campuses.

We anticipate that a successful applicant would have the following items in their budget proposal:

- Principal Investigator(s) time
- Project coordinator
- Adequate scientific staffing to undertake literature reviews and produce the scientific documents required for this project.
- Meeting and travel expenses
- Compensation/honoraria for Steering Committee and advisors
- Teleconference costs
- Postage, printing, and materials development

NOTE: The successful applicant will not be eligible to apply for awards, receive subcontracts or otherwise be funded under the grants resulting from this process. In addition, the PI will need to make adequate provisions to ensure against real or perceived conflict of interest for their institution and collaborators.

## **Milestones**

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The deadline for completion of this initiative is five years from the contract start date. The anticipated start date is September 24, 2010. The awardee is expected to attend the CBCRP Symposium on September 24-25, 2010.

While some activities will be ongoing, expected milestones include:

- Recruit and convene Steering Committee (Year 1, Quarter 1)
- Finalize a detailed strategy development plan model (Year 1, Quarter 2)
- Produce a plan for community involvement (Year 1, Quarter 3)
- Complete a review of the previous SRI projects and draft Steering Committee plan for follow on grants or identifying new directions (by end of Year 1)
- Complete some science review(s) (Year 2)
- Complete additional science review(s) (Year 3)
- Produce the Steering Committee's annual SRI funding recommendations (Years 2-5)

## Evaluation Criteria

The CBCRP will convene a peer review panel of experts from outside California to evaluate applications based on the following criteria. At the panel's discretion, an interview may be scheduled to gather additional information.

1. PI's expertise in the science of cancer disparities, environmental health, and targeted and population-level interventions for known and suspected breast cancer risk factors.
2. Established networks and leadership within these fields.
3. Demonstrated experience working with patient advocates, advocacy organizations and/or other community groups.
4. Experience and ability to lead and facilitate diverse working groups and collaborations in multiple sites.
5. Strong and feasible work plan that demonstrates a clear understanding of the intent and scope of SRI mandate, the range of breast cancer issues to be addressed, and the role of the PI.
6. Availability of a team of sufficient number and experience to carry out the proposed research plan on schedule (personnel, time, and other resources).
7. Demonstrated capability of the applicant(s), key personnel, and sub-awardees to collaborate and successfully complete large-scale, multi-faceted strategic planning processes.

## General Funding Policies

### Who May Apply (Eligibility)

**Any individual or organization in California may submit an application.** The research must be conducted primarily in California. We welcome investigators from community organizations, public or privately owned corporations and other businesses, volunteer health organizations, health maintenance organizations, hospitals, laboratories, research institutions, colleges, and universities.

### Conditions of Awards

In addition to the Terms of Award listed above for the proposed Cooperative Agreement, the awardee must adhere to the CBCRP standard policies for awards. Details of the requirements for funding recipients are available in the publication "**Special Research Programs Grant Administration Manual 2007-2008.**" It is sent to every funding recipient Principal Investigator, contracts and grants official, and the accounting contact. The manual can be obtained from the Program's office or viewed on our website at: [www.cabreastcancer.org/reports/grantManual.php](http://www.cabreastcancer.org/reports/grantManual.php)

Awardees are expected to account for the expenditure of funds and for the performance of work as agreed upon in a timely manner, so that the CBCRP may file reports and answer inquiries from the legislature and the public. They are also expected to adhere to the stated goals of the legislation, which include the systematic dissemination of research results to the public and to the healthcare community and the facilitation of translation of research results into commercial, alternate technological and other applications. The Institutional Official's and Principal Investigator's signatures on the Face Page of the application signify that the **individuals are aware of the conditions for receiving funding** from the Program.

To ensure the proper management of these public funds, a prospective funding recipient must satisfy the following **standard requirements** before an award will be made:

- Have adequate organizational and fiscal management, and accounting systems to administer the award and assure compliance with award terms and conditions.
- Have adequate liability insurance and bonding, including indemnification of the UC Regents.
- Ensure nondiscrimination in employment, and assurances regarding the treatment of animal or human subjects and research safety and ethics.
- Have adequate financial resources, equipment, facilities, and technical skills to perform the proposed work, or the ability to obtain them.
- Be able to perform the proposed work within the approved time frame, taking into consideration all existing commitments.
- Have a satisfactory record of integrity and business ethics.
- Maintain mechanisms to assure integrity and honesty in the conduct of research, safe conduct of research, and fair practice for all employees and research subjects.
- Certify that none of the key personnel on the initiative are barred by the U.S. Public Health Services Office on Research Integrity from performing comparable roles on federally funded grants.

Individuals who are to be awarded funds may meet these requirements directly or by making arrangements with a research organization that does. A funding recipient may satisfy modified requirements, if this is determined to be appropriate upon review by the University of California's Office of Research Administration, Office of Risk Management and General Counsel.

The research must be conducted primarily in California by California investigators, however some work may be done outside California if the need to do so is well justified (i.e., it cannot reasonably be performed in California) and the results of such work may be applied to furthering the achievement of the Program's goals.

Grant awardees must agree to:

- Use award funds only as approved by the CBCRP. The Program must approve changes in the specific aims of an initiative.

- Maintain accounts, records and other evidence pertaining to work performed and costs incurred.
- A final scientific report and any interim reports as specified in this announcement.
- File annual fiscal reports and a final fiscal report.
- Participate in CBCRP sponsored activities to disseminate research results as able and as requested.
- Attend CBCRP research symposiums scheduled during the award period.

### **Award Period and Indirect (F&A) Costs**

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Continuation funding for additional years is released upon receipt of an Annual Progress Report showing research effort/progress, no overlap with other support, maintenance of sufficient FTE percentage by the PI, submission of publication copies, and reporting any changes in Key Personnel. If funding is delayed, or if all funds are not expended in the normal award period, then the investigator(s) may request a no-cost time extension for a maximum of one year in order to complete the work.

The CBCRP encumbers the funds for all approved years of an award from the appropriation in the year the funds are awarded; thus full funding of a multi-year initiative is assured, dependent only on timely submission of the required reports. Funds will be disbursed annually, contingent on receipt of required progress and fiscal reports. In the final budget year, 20% of the approved funding is withheld (except for UC institutions) and paid in arrears upon receipt and acceptance by the Program of all required final reports.

#### **Direct Costs**

CBCRP award funds may be used only for expenditures necessary to carry out the approved initiative, as specified in the approved budget. Significant changes in proposed expenditures must be approved in advance by a CBCRP Research Administrator. Please follow the policies in the “SRP Grant Administration Manual” regarding allowable changes in expenditures and the guidelines for submitting a formal request form to change initiative budgets.

Allowable direct cost expenditures may include administrative costs only if the following two conditions are satisfied: a) the services, functions, or activities are directly necessary for the conduct of the initiative and (b) these administrative costs have not been included in the calculation of the recipient institution’s indirect cost rate agreement approved by the Federal government. In other words, the Program policy does not prohibit administrative costs, but it is careful to ensure that costs meet both conditions (a) and (b).

#### **Indirect (F&A) Costs**

For organizations other than University of California Campuses, the CBCRP will pay indirect or facilities and administration (F&A) costs based on the approved direct cost budget. Full F&A costs are computed at the recipient organization’s federally approved indirect cost recovery rate. If the institution has an approved rate from the Department

of Health and Human Services, it must be used. In the absence of a federally approved rate, an alternative documented indirect rate for the institution may be used. In the absence of any documented indirect rate, one will be negotiated by the University and the recipient organization.

Provisional or pending increases in indirect rates will be included in awards only if they are documented prior to execution of the award agreement and disbursement of year one funding. The maximum indirect costs which CBCRP pays is the lesser of: (a) the federally approved rate current for the budget year, or (b) the rate provided for in the final approved budget.

Under no circumstances will funded initiatives be supplemented to reflect an unanticipated increase in the F&A rate; nor can funds originally awarded as direct costs be shifted to cover increases in the F&A rate. If the F&A rate decreases below that provided for in the approved budget, the CBCRP will pay overhead at the new lower rate starting on the date of change, and will decrease the award to the institution by the difference between the originally approved amount and the amount to be accrued at the new rate.

Both to initiate funding and for continuation funding of existing awards, the Program requires a copy of the institution's current indirect cost agreement annually.

### **University of California Campuses**

Campuses of the University of California will not be paid indirect costs. Research institutions and foundations that are affiliated with the University of California, but are legally separate entities (e.g., National Laboratories), may be paid indirect costs.

In accord with University of California policy, investigators who are University employees and who receive any part of their salary through the University must submit applications and proposals through their campus contracts and grants office ("Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University," Office of the President, December 15, 1994). Exceptions must be approved by the UC campus where the investigator is employed.

## **Fraud and Scientific Misconduct**

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### **Policy Regarding Scientific Misconduct**

The University of California manages the California CBCRP, Tobacco-Related Disease Research Program (TRDRP), and the California HIV/AIDS Research Program (CHRP) within its Special Research Programs in general accord with the policies and procedures employed by the National Institutes of Health (NIH), including those that apply to scientific misconduct. The Department of Health and Human Services' (HHS) Office of Research Integrity is responsible for implementing HHS regulations regarding scientific misconduct in research conducted with NIH and other support from the US Public Health Service.

The administrative actions imposed by HHS include the following: correction of the scientific literature; special plan of supervision to ensure integrity of the scientific research; certification of the accuracy of the scientific data; certification of the accuracy of sources and contributions for scientific ideas and writings; prohibition against service on PHS advisory committees or as a consultant; and, debarment from receipt of Federal funds. These actions are for a specified duration, depending on the nature and seriousness of the misconduct.

Applicants for or recipients of funding from the Special Research Programs (SRP) must promptly inform the University of an administrative action for scientific misconduct that is imposed by HHS by providing a copy of the final notice of the administrative action (i.e., after the disposition of any appeal), either at the time of application or within 30 days of the imposition of the administrative action. In general, the University will apply the same administrative action. For example, if HHS has debarred an investigator from applying for or receiving NIH awards for a specified period of time, that investigator would also be excluded from applying for or receiving awards from any of the SRP programs. To take another example, if an investigator has entered into a voluntary agreement with HHS for special oversight and supervision of the investigator's applications, research, and publications, that agreement would apply to that investigator's applications to, or awards from, the SRP.

Applicants or recipients may request that HHS administrative actions be waived or modified with respect to an application or award from the SRP. In such case, the applicant must present a justification for the request.

#### **Fraud or Misuse of CBCRP Funds**

Report fraud or misuse of CBCRP funds to either the CBCRP Director, Dr. Marion Kavanaugh-Lynch, at (510) 987-9878, or to the Office of the University Auditor, at (510) 987-0478 or [www.ucop.edu/audit/](http://www.ucop.edu/audit/)

### **Appeals of Funding Decisions**

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An appeal regarding the funding decision of an application may be made *only* on the basis of an alleged error in – or deviation from - a stated procedure (e.g., undeclared reviewer conflict of interest or mishandling of an application). Details concerning the appeals procedure may be obtained from the appropriate Research Administrator (with whom the applicant is encouraged to discuss his/her concerns), the Director, or by contacting us through the CBCRP Web site: [www.cbcrp.org/](http://www.cbcrp.org/) The **period open for the appeal process is within 30 days of receipt of the application evaluation** from the Program office. Contact the CBCRP Director or Special Research Initiatives Manager to obtain full information on the appeals process.

## Confidentiality

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The CBCRP maintains confidentiality for all submitted applications with respect to the identity of applicants and applicant organizations, all contents of every application, and the outcome of reviews. For those applications that are funded the CBCRP makes public, (i) the title, Principal Investigator(s), the name of the organization, the costs (both direct and indirect), the initiative abstracts, and progress report abstracts. CBCRP uses a variety of media to communicate this information including i) the “Compendium of research” for each funding cycle, (ii) CBCRP’s “Advances” annual report, (iii) CBCRP’s e-news and web site, and (iv) other special communication tools such as press releases. If the Program receives a request for additional information on a funded initiative, the Principal Investigator and institution will be notified prior to the Program’s response to the request. Any sensitive or proprietary intellectual property in an application will be edited and approved by the PI(s) and institution prior to release of the requested information.

No information will be released without prior approval from the PI for any application that is not funded.

## Submission of Application

Applicants must combine all application components, forms, and appendix items into a **single PDF** and email to Catherine Thomsen at Catherine.Thomsen@ucop.edu before **5:00 pm (PST) on July 22, 2010**. No application will be accepted after 5:00 pm as determined by the clock on Catherine’s computer.

## Formatting Instructions

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All submissions must be in English, with text formatted as follows (consistent with the NIH/PHPS 398 form):

- The height of the letters must not be smaller than 11 point. Times New Roman or Arial are the suggested fonts.
- Type density, including characters and spaces, must be no more than 15 characters per inch (cpi).
- Page margins, in all directions, must be at least 1/2 inch.
- PI(s) last names and first initials must be in a header, on each page, flush right.

Deviations from the page format, font size, specifications and page limitations will be grounds for the CBCRP to reject and return the entire submission without review.

# Application Forms Instructions

## **FACE PAGE**

Complete the face page.

## **RESEARCH PLAN**

This section is limited to 5 single-spaced pages, and includes the following.

### **I. Preliminary Work**

Describe the PI's qualifications in the areas of expertise listed in the Evaluation criteria. Provide details about work conducted by the investigator and key staff that is similar and relevant to this initiative. Elaborate on PI and staff experience facilitating processes that include a wide variety of collaborators, particularly scientists, clinicians, advocates and affected communities.

### **II. Initiative Plan**

Provide an overview of your understanding of the initiative and research questions, and your plan to carry out the tasks detailed in the Methods section above. Discuss in detail how you would propose identifying and utilizing key experts. Where possible, list specific individuals who you might recommend to participate, what roles they might play, and your past work with them. Where specific individuals have not been identified, list the expertise you will be seeking and the method for identifying them.

Describe in detail your ideas for steps to be taken to ensure that the most up-to-date and relevant science is considered in the process of developing research concept proposals and award approaches, including who would complete those tasks.

Discuss potential obstacles in this approach to developing and finalizing research concept proposals that are truly innovative and/or might lead to a significant breakthrough in breast cancer, and describe how these might be overcome.

### **III. Community Involvement and Communication**

Provide a detailed description of how advocates and other stakeholders might be informed about and have input into the development of new research strategies.

### **IV. Resources and Facilities**

Briefly describe the resources, systems and facilities to be used at the applicant organization. Indicate the range of staff expertise to be utilized: their capacities, relative proximity and availability. Describe any external resources to be drawn on, including any contractual or other arrangements regarding these resources or facilities.

## BUDGET

This form is included in the Peer review only. The **maximum duration is five years and the direct costs budget cap is \$1,000,000**. Indirect (F&A) costs are paid at the appropriate federally approved F&A rate for all non-UC institutions. The budget must include costs for supporting the active participation of the scientific advisory committee, including two conference calls and one in-person meeting each year, and honorarium payments.

## BUDGET JUSTIFICATION

A budget justification form must be completed for each applicant and subcontract. Peer reviewers examine the budget and budget justification carefully. Please put considerable thought into this section. Relate each item explicitly to the research plan. Items not well justified are likely to be deleted or reduced. Provide special justification for any unusual expenses.

### *Personnel*

Provide a detailed justification of the budget. Describe the duties of each participant and the specific role each will perform in this project, and justify by category all requested expenditures. List by name and job title all personnel who will participate in the project, if known; if not known, use the position title.

For each position, include:

- The percent FTE (full time equivalent) appointment at the applicant institution;
- The percent time devoted to this project; and
- The percent salary requested (which cannot exceed the percent time devoted to this project).

When computing salary for key personnel, use only the base salary at the applicant organization, excluding any supplementary income.

Graduate students may be paid as personnel and may also receive tuition remission from awards. Tuition remission in this circumstance, however, will be considered compensation. The total compensation (salary plus fringe benefits plus tuition) allowable will be \$35,568 per year per FTE. There are no constraints on how this amount is divided between salary and tuition.

### *Subcontracts and Consultants*

For each subcontract and consultant, please do the following:

- Enter the name(s), role(s), and total annual costs
- Itemize the direct, Indirect/Facilities & Administration (F&A), and total costs.

Subcontract or consultant arrangements may involve costs such as personnel, supplies, and other allowable expenses, including indirect or Facilities and Administration (F&A) costs at the federally approved ICR rate (include a copy of that entity's agreement), for the relatively independent conduct of part of the work described in the research plan. Contractual agreements for major support services, such as the laboratory testing of

biological materials, clinical services, etc. may be of sufficient scope to warrant a similar categorical breakdown of costs.

#### *Supplies and Expenses*

Itemize supplies and expenses in separate categories, such as glassware, chemicals, radioisotopes, publication costs, computer charges, rental agreements (e.g. meeting space), etc.

#### *Equipment*

Individual equipment items in excess of the NIH threshold of \$5,000 must be listed. Justify each item of equipment on the Budget Justification form. Any items less than \$5,000 (e.g. most computers and small lab items) should be included under the “Supplies and Expenses” category.

#### *Travel*

- Travel to general scientific meetings is limited to \$1,300 per year.
- Funds should also be designated for the CBCRP Symposium in the fall of 2013 (if the proposed end date of the initiative will include this period). Applicants should estimate the hotel costs at \$185 per room per night. In addition you need to estimate air or auto travel, meals, etc. The per diem or actual costs that you claim are subject to the rules of your institution.
- Other initiative related travel must be separately justified and will be paid at the level approved by the review committee.

#### *Indirect/Facilities & Administration (F&A)*

Indicate the F&A rate and indicate whether it is a DHHS negotiated rate, a rate established by some other means or authority, or the default rate of 25%. Indicate whether the CBCRP base was used or another base. For more information about allowable F&A costs please consult the CBCRP General Application Requirements and Conditions of Awards.

## **KEY PERSONNEL**

List the principal individuals, including collaborators and consultants, who will have significant intellectual input into the scientific development and oversight of the execution of the project, regardless of whether they will be paid with funds from this grant. For each individual, include advanced degrees, position title, department and institution, percent FTE on project, as well as role in project. Include a biographical sketch for each individual listed.

## **BIOGRAPHICAL SKETCH and OTHER SUPPORT**

This form is included in the Peer review only. Complete a biographical sketch for each person listed in the Key Personnel section only. Limit each sketch to four pages. Do not send reprints or manuscripts as part of this form. Corresponding NIH (PHS-398) forms are acceptable.

**A. Personal statement:** Briefly describe why your experience and qualifications make you particularly well-suited for your role (e.g., PI, programmer, coordinator) in the proposed project.

**B. Education:** Begin with baccalaureate and end with the most recent, including postdoctoral training.

**C. Positions and Honors:** List in chronological order previous positions, concluding with the present position. List any honors. Include present membership on any Federal Government public advisory committee.

**D. Research and/or Professional Experience:** List positions in chronological order.

**E. Publications:** CBCRP encourages applicants to limit the list of selected peer-reviewed publications or manuscripts in press to no more than 15 items. Do not include manuscripts submitted or in preparation. Include publications relevance to the proposed research. Do not include items 'submitted' or 'in preparation'.

**F. Other grant support:** List all active and pending grants. Include: (1) grant title, (2) active or pending & period of support, (3) funding agency/grant number, (4) role in grant & percent effort, (5) one sentence that describes the aims of the grant, and (6) description of the overlap issues and possible resolution with the present proposal.

Examples:

*Increasing Adherence to Follow-up of Breast Abnormalities in Low-income Chinese American Women: A Randomized Controlled Trial.*

Active 6/1/03-11/30-06

Department of Defense, DAMD17-05-1-0876 (PI, B. Smith)

Co-investigator, 5%

We will design a culturally tailored intervention and evaluate it in a randomized design in Chinese American women who have a potential breast abnormality and have missed their first follow-up appointment.

No overlap.

*Psychological Well-being in Long-Term Adult Cancer Survivors*

Active, 8/99-7/04

Cancer Institute-CA 21972 (PI, S. Klein)

Co-investigator, 5%

This two-phase study will identify the unique aspects of psychological well-being associated with LTS and to document the long-term impact of cancer and its treatment over the adult lifespan.

No overlap.

## **APPENDIX COVER SHEET**

This form and the materials that follow are not part of the Research Plan, which must be self-contained and understandable without having to refer to the Appendix. No supplemental materials are allowed after the submission deadline unless requested by the CBCRP.

The Appendix Cover Sheet is to list appendix items. Begin with any Letters of Support, Collaboration, or Commitment from key grant personnel external to the applicant's organization (e.g. contractors or consultants). Then itemize any other supporting documents that are directly relevant to the proposal.