The Nuts and Bolts of the Funding Application Process

Campus Procedures
For Post-docs and Junior Faculty

Agenda

1. Introduction – Overview of the Process
2. Sponsored Project Offices
3. Funding Sources
4. Types of Awards
5. Applying for Fellowship Applications
6. Applying for Grant Applications
7. Resources

Presenters

- Jennifer Oh
  Research Affairs (ORA)
- Jean Linder
  Contract and Grant Administration (OCGA)
- Kerry Nare
  Health Sciences Sponsored Project Pre-Award Office (HS SPPO)
Introduction
Contract & Grant Process Overview

Application Process Involves:
- Principal Investigator
- PI Assistants
- Department Business Office
- Sponsored Projects Offices
  - OCGA
  - HS SPPO
  - SIO
- Funding Agencies
- Office of Post-Award Financial Services (OPAFS)

Critical Steps:
- PI locates a potential funding source.
- PI develops the research plan.
- PI and department staff prepare the application.
  - OPAFS and funding agency may provide guidance.
- PI registers for eRA Commons, or other proposal portal.
- Sponsored Project Office reviews proposal and submits it after final revisions are complete.

All this takes time!
Plan your proposal well in advance!

UCSD Sponsored Project Offices

Structure
- General Campus, Health Sciences, and SIO

Offices
- Office of Contract and Grant Administration (OCGA)
- Health Sciences Sponsored Project Pre-Award Office (HS SPPO)
- Scripps Institution of Oceanography Contracts & Grants Office (SIO)
- Veteran’s Memorial Research Foundation (VMRF)
- Office of Research Affairs (ORA)
- Office of Post-Award Financial Services (OPAFS)
Office of Contract and Grant Administration (OCGA):
- Ensures UCSD’s and each sponsoring agency’s contract and grant policies are carried out
- Reviews & submits all proposals from general campus, and all from Health Sciences except NIH or AHRQ grants
- Handles award negotiation & acceptance for all sponsors
- Performs all post-award actions: carry-forward, no-cost extensions, and any add’l required agency prior-approvals
- Arranges for OPAFS to set up fund and index numbers
- Maintains a Web site with staff contacts, funding sources, proposal help, “Vital Information”, and research compliance links
  - http://ocga.ucsd.edu/

Health Sciences Sponsored Project Pre-Award Office (HS SPPO):
- Reviews, approves, and submits NIH and AHRQ grant proposals, grant sub-award proposals, and Just-in-Time documents for all Health Sciences PIs
- Limited review responsibilities for non-NIH proposals submitted through OCGA for specific proposal items
- Reviews and signs postdoctoral fellowships & faculty scholarship applications for Health Sciences PIs, plus accepts award for all funding agencies where OCGA has determined the award is a fellowship
  - http://vchsgrants.ucsd.edu/hssppo

Scripps Institution of Oceanography (SIO):
- Reviews & submits proposals, and accepts awards for SIO PIs
  - http://scripps.ucsd.edu/About/Scripps_Administration/Contracts_and_Grants/

Veterans Medical Research Foundation (VMRF):
- Reviews & submits proposals, and accepts awards where preponderance of activity will be carried out in VAMC space, including VA rented space in the Stein building
- Exceptions: NIH K & F awards + some fellowship / scholarship applications MUST be submitted through the appropriate UCSD Central Office
  - http://www.vmrf.org/support.html

Other Offices: SIO & VMRF
Office of Research Affairs (ORA):
- Oversees campus research enterprise including compliance, personnel and initiatives
- Reviews campus PI Exceptions and administers postdoctoral scholar affairs
- [http://research.ucsd.edu/](http://research.ucsd.edu/)

Office of Post Award Financial Services (OPAFS):
- Oversees the financial management of UCSD's federal, state, and private contracts, grants, and fellowships
- Advises on allowability of budget items

Locating Funding Sources

Identify Funding Agencies
- The Federal Government
- Non-Profit Agencies
- The State of California
- For-Profit Industry
- The University of California (UC) Programs
- Foreign Agencies

Locating Funding Sources: Search Tools

UCSD Research Affairs - SURF:
- Links to various search engines (such as Community of Science) and database of special funding opportunities
  - [http://research.ucsd.edu/surf/index.html](http://research.ucsd.edu/surf/index.html)

OCGA:
- Click on the “Funding” tab for lists of sponsors and search tools
  - Sponsors: [http://ocga.ucsd.edu/Funding/Sponsors.htm](http://ocga.ucsd.edu/Funding/Sponsors.htm)
  - Tools: [http://ocga.ucsd.edu/Funding/Search_Tools.htm](http://ocga.ucsd.edu/Funding/Search_Tools.htm)

HS SPPO:
- Links to weekly lists of HS-related Funding Opportunities
  - NIH PAs and RFAs:
    - [http://vchgrants.ucsd.edu/hssppo/weekly-and-nih-funding-opportunities](http://vchgrants.ucsd.edu/hssppo/weekly-and-nih-funding-opportunities)
  - Fellowships, Grants, Prize Opportunities:
    - [http://vchgrants.ucsd.edu/hssppo/fellowshipopportunities](http://vchgrants.ucsd.edu/hssppo/fellowshipopportunities)
Locating Funding Sources: Search Tools

Grants.Gov:
- All Federal agencies, including NIH, list their funding opportunities here, though it is highly suggested to go directly to the individual agency website.
- www.grants.gov

NIH Guide for Grants and Contracts:
- Official publication for NIH research grant policies, guidelines and funding opportunities

Science Magazine’s GrantsNet:
- http://sciencecareers.sciencemag.org/funding

Locating Funding Sources: Other Sources

NIH F Award & K Award Kiosks
- http://grants.nih.gov/training/F_files_nrsa.htm
- http://grants.nih.gov/training/careerdevelopmentawards.htm

Professional Societies & Organizations in your field that you or your mentor may belong to

Your mentor & your colleagues can be valuable resources for learning about additional funding opportunities.
Types of Awards

**Funding Fest**

**Types of Awards Discussed Today**
- Fellowships
- Grants

**Other Types of Awards**
- Cooperative Agreements
- Contracts
- Sub-awards (Consortia)
- Gifts
Types of Awards: Fellowships vs. Grants

Fellowships
- Career Development
- Funding for Individual
- Funding Primarily for Salary/Stipend
- Non-transferable

Grants
- Research
- Funding to Institution
- Transferable

The internal UCSD submission process differs for fellowships versus grants:

- Fellowships require little or no internal documents
  - In most cases, the applicant submits the application
  - NIH requires a signed PI assurance statement be kept on file

- Grants require several internal documents
  - Institutional PI eligibility Requirements in addition to agency requirements
  - In most cases, the Sponsored Projects Office submits the application

Common elements of fellowship applications:

- Applicant's career goals
- Applicant's prior experience and/or transcripts
- Training/career development plan
- Research project plan
- Mentor's Statement
- Training Institution Information
- Outside "blinded" reference letter(s)
- Exact requirements vary by agency and program
Fellowship Application

Keys to a Successful Application:

- Find a funding Agency with programs in your career specialty
- Read the funding Agency submission guidelines and eligibility requirements, solicitation, etc…
- Discuss your plans with your mentor
- Start well ahead of the deadline (at least a month)
- Contact your department’s business office for possible assistance and to advise of your plans for submission

Fellowship Application

Keys to a Successful Application:

- Determine the UCSD Key Players for the application
- Ask for assistance to determine who needs to see and/or sign the application
- Line up potential reference letter providers
- Contact the Sponsored Project Officer (SPO - i.e. signing official) so s/he is aware of your application
- Provide the SPO with a copy of or a link to the funding opportunity

Fellowship Application

Keys to a Successful Application:

- Use and follow the Agency specific forms and requirements (make sure they are the most recent ones!)
- Complete administrative sections of your application first
- In most cases, the fellow will be the PI of the application
- The application organization or institution will be UCSD, not you nor your mentor’s department
- Make formal requests for reference letters
Fellowship Application

Keys to a Successful Application:

• ... Then concentrate on writing the research plan / career development plan
• A mentor written section or statement is frequently required – make sure mentor has instructions
• 1 to 2 weeks before the deadline, complete a good, nearly complete draft of all required text for your mentor and others to critique
• Submit a good draft of the application to the department business office and the SPO (signing official) for review.

Reference letters:

• A minimum number of letters may be required
• Some agencies allow more than the minimum, others do not
• NIH & AHA – minimum of 3 required, NIH allows up to five.
• Reference letters have deadlines for receipt
• Electronic submission of these letters is frequently required
• Letter providers will need the agency instructions regarding format and submission requirements

Standard UCSD Institutional Information:

• Legal Institutional Name: The Regents of the University of California; UC San Diego
• Your department’s name is not an institutional name
• Institutional Signing Officials – depends on part of campus
• UCSD’s tax payer ID number: 95-6006144
• Fiscal Officer: Donald Larson, Controller or Mark Cooper, Director, OPAFS
• Your department business office can advise you if other institutional information is requested
Fellowship Application

Method for Submitting the Application:

- Early on check the agency’s submission method, deadlines, and how the application is to be prepared
- Submission requirements determine who submits — you or the Signing Official (Sponsored Projects Officer or SPO)
- Grants.gov, used by many Federal agencies, requires a SPO to submit a completed forms package (do not register for Grants.gov yourself)
- A few Federal agencies have different methods, such as NSF’s Fastlane
- Many non-profit Agencies have their own websites for submission or use Altum Proposal Central

Federal Agencies:

- Grants.gov – most federal agencies use Grants.gov for submission
- Do not register in Grants.gov
- NIH Requires eRA Commons registration. See http://ocga.ucsd.edu/Proposals/NIH/eRA_Commons.htm#How
- You must be registered as a PI in the eRA Commons
- For NIH, access the Grants.gov application package from the NIH Funding Announcement
Funding Fest

Fellowship Application

Federal Agencies:
• NSF Fastlane – Fastlane registration is required.
• For NSF fellowship applications, register as an individual
• US Army Congressionally Directed Medical Research Programs (CDMRP)
• CDMRP – Pre-proposal site https://cdmrp.org/index.cfm
• Register and choose the University of California, San Diego as your organization

05/2011

Funding Fest

Fellowship Application

Federal Agencies
• CDMRP - choose the appropriate Sponsored Projects Officer (Contract Representative):
  - General Campus – Michael Brown, enter his email address m2brown@ucsd.edu
  - Health Sciences: Kerry Nane from the drop-down list or enter Rachel Cook racook@ucsd.edu
  - SIO: Nancy Wilson from the drop-down list
• CDMRP has a 2 PM Pacific Time deadline for submitting LOIs. The deadline is firm, no exceptions
• Actual application will be submitted via Grants.gov by the Sponsored Projects Officer

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Fellowship Application

Non-profit Private Agencies & UC - Proposal Central
• Altum Proposal Central https://proposalcentral.altum.com/
• Registration as an individual is required
• Registration must be associated with an institution
• Do not try to enter an institutional name, instead
• Search by Institutional City, and enter “La Jolla”

05/2011
**Fellowship Application**

*Non-profit Private Agencies & UC – Proposal Central*

- Choose one of the following depending on your department:
  - The Regents of the University of California, San Diego
  - University of California, San Diego – Health Sciences
  - The Regents of the University of California, Scripps Institution of Oceanography

- Do not use any of the other names which appear on the list

- By choosing a valid institutional name for your department, you will be able to select institutional officials in the institutional contact screen

- Your registration will be good for any future applications from UCSD

- Next start your application

- Grant the department assistant and the signing official access to your application

- Email those individuals when you have done so

- Allow the department and official time to review your application on line

- You will submit your application from Proposal Central but

- Obtain required signatures before you submit your application

- Most agencies also require a signed paper copy

**Fellowship Application**

*Non-profit Private Agencies & UC – Proposal Central*

- American Heart Association: on line submission

- Register as an individual

- Choose the University of California, San Diego

- Choose the Administrative Officer (Sponsored Project Officer) who will submit your application

- General Campus: Wilma Orantes

- Health Sciences: Kerry Nare or Rachel Cook

- SIO: Elizabeth Meier
Fellowship Application

Non-profit and Private Agencies - Others

- Funding Agencies not using Proposal Central are all over the map
- Check the agency website and instructions closely
- Some require an online application be completed, or an uploaded file or a mix of entered information and uploaded files
- Some require the application to be emailed as an attachment
- Many agencies also require a signed paper copy

Fellowship Application

Award Notice / Intent Letter from a funding Agency

- Contact the mentor, the department administrator, and the Sponsored Project Officer
- Animal and/or Human Subjects or other regulatory approvals may be required at this point
- NIH and many other agencies will require documentation of such approvals prior to award
- Work with your department and your Sponsor Project Officer to submit any required approvals.
- Award terms should be reviewed and addressed before any award documents are signed and returned.

Fellowship Application

Award Notice / Intent Letter from an agency

- Sponsored Project Officers are UCSD employees who are able to sign awards on the behalf of The Regents
- The SPO reviews terms and conditions
  - Problem terms can restrict PI ability to publish, future use of project results, etc.
  - Problem terms can conflict with UC policies and practices (i.e. publication, intellectual property, confidentiality, unusual reporting requirements, etc …)
- In some cases, alternate terms have already been negotiated with the agency by UC, but the agency may not reference them.
FELLOWSHIP FEST

Fellowship Application

Fellows located in VA labs with UC-VA mentors:

- For research conducted in VA space, the VA requires proposals to be submitted by The Veterans Medical Research Foundation (VMRF).
- However, there are a number of exceptions to this policy:
  - NIH requires that all K (career award) and NRSA fellowship applications be submitted by UCSD, not VMRF
  - For non-NIH fellowship applications, VMRF has determined that certain other applications, such as American Heart Fellowships, should also be submitted through the University
- When in doubt, please contact Beth Beiger at VMRF ebieger@vmrf.org

FELLOWSHIP FEST

Grant Application: Early-Career Funding

Learn about special opportunities for new investigators:

- NIH New and Early-Stage Investigator Policies
- NIH Career Awards (K series)
- NIH Pathway to Independence (PI) Award (K99/R00)
- NSF Faculty Early Career Development (CAREER) Program
- DOD/ONRAFOSR/ARO Young Investigator Program (YIP)
- American Heart Association National Scientist Development Grant Program
- Consortia (sub-awards) with other institutions

FELLOWSHIP FEST

Grant Application: PI Eligibility

Determine Your Eligibility to Submit the Proposal

- Sponsor’s requirements
  - Type of institution (UCSD is a public institution of higher education.)
  - PI qualifications & effort requirements
- UCSD’s requirements for PI eligibility
  - Certain job titles are automatically eligible (faculty senate members)
  - Others require an approved PI Exception Request
    - PGRs, Project Scientists, Specialists
    - Adjunct Professors & Clinical Professors (if unsalaried)
    - Staff or Students (graduate or undergraduate)
Grant Application: PI Eligibility

Submitting a PI Exception Request

– PI Exception Forms and instructions:
  • [http://ocga.ucsd.edu/Forms/All_Forms.html#PI](http://ocga.ucsd.edu/Forms/All_Forms.html#PI)
  • Completed form must be signed by PI and department chair

– Submit form to the correct office 10 days prior to the application deadline
  • Health Sciences: submit to HS SPPO
  • General Campus: submit to Marianne Generales, ORA
  • Scripps Oceanography: submit to SIO Academic Personnel, Mail Code 0210

Grant Application: Sponsor Requirements

Start early so you can meet the Sponsor’s deadline

– Read the sponsor’s instructions carefully!!!! Read & re-read!
– Plan to get reviews of your draft from colleagues & mentors.
– Allow time for the appropriate Sponsored Project Office to review the proposal.
– Proposals for sub-awards often must meet earlier deadlines.

Work with the Funding Agency’s Program Officer

– They welcome the chance to discuss your research. Call them!
– They can provide valuable guidance to other funding opportunities.
– They can provide tips for proposal preparation.

Grant Application: Compliance Issues

Research Independence
– Financial Conflict of Interest
– Training in Responsible Conduct of Research or Research Ethics

Research Subjects
– Human Subjects
  – Training in Human Subjects Research
– Animal Subjects
– Human Embryonic Stem Cells

Government Regulations
– EH&S (i.e. biohazardous materials)
– Export Control
– Select Agents
– Tobacco-Related Research
**Steps for Success**

**Grants**

- Your department Business Office must review budgets and personnel.
- Your department Chair must approve the research project and the effort of academic personnel.
- The Contract and Grant Offices will review proposals for compliance with University and Sponsor Policies, and obtain approvals for space and any research subjects.
- OPAFS will provide answers about allowable costs, and do the accounting for any resulting awards.

**Grant Application: People Who Can Help**

- The Contract and Grant Offices will review proposals for compliance with University and Sponsor Policies, and obtain approvals for space and any research subjects.
- OPAFS will provide answers about allowable costs, and do the accounting for any resulting awards.

**Grant Application: Which Contract & Grant (C&G) Office?**

- General Campus PIs submit through OCGA.
- Health Sciences PIs submit NIH/AHRQ grant and grant sub-award proposals through HS SPPO.
- Health Sciences PIs submit Non-NIH grant proposals and all NIH contract proposals through OCGA.
- SIO PIs submit through SIO C&G.
- If over 50% of a research project will be conducted in VA space, all PIs submit through VMRF.

**Grant Application: Plan the Budget**

- Determine Sponsor’s budget limits
- Typical Budget Items
  - Personnel: salaries, fringe benefits, tuition remission
  - Equipment
  - Supplies
  - Travel
  - Patient Care Costs
  - Alterations and Renovations
  - Other Expenses: publication, recharges, animal care, rent
  - Consortium Costs
  - IDC/F&A Costs
  - Budget Justification
Grant Application: Plan the Budget

A UCSD Budget Form is available if none is supplied by sponsor:
- [http://ocga.ucsd.edu/Forms/All_Forms.html#Budget](http://ocga.ucsd.edu/Forms/All_Forms.html#Budget)

OCGA website has rate tables for many budget items:
- Salary escalations
- Fringe benefits
- Tuition remission
- NGN computing/communication costs
- Indirect costs
- [http://ocga.ucsd.edu/Welcome_Page.html](http://ocga.ucsd.edu/Welcome_Page.html) (Budgets Tab)

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Grant Application: Plan the Budget

Direct Costs:
- Costs that can be specifically identified with a particular project or activity, such as salaries, benefits, equipment, supplies, travel, campus service recharges, and sub-awards.

Indirect or F&A Costs:
- Costs that are incurred by an institution for common objectives that cannot be identified specifically with a particular project, such as buildings, utilities, libraries, and OCGA.
- IDC/F&A costs are calculated as a percentage of the Modified Total Direct Costs, which exclude certain items such as equipment, tuition remission, and rent.

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Grant Application: Plan the Budget

Plan the Budget - Special Considerations
- Personnel Effort vs. Salary
- Equipment: Look for campus shared facilities and equipment at [http://research.ucsd.edu/sharedfacilities/](http://research.ucsd.edu/sharedfacilities/)
- Patient Care
- Tuition Remission
- Communications and Computing Costs (NGN)
- Subcontracts / Subawards
Grant Application: UCSD Internal Forms

Complete the Required UCSD Forms
- UCSD Proposal Number
- Request for Extramural Support (RES) Form
- Conflict of Interest Form 9510 or 700-U
- PI Assurance Form for NIH Grants
- PI Exception form (if needed)
- UCSD Signature Page, if not provided by Sponsor

Budget Backup
- Salary calculations
- IDC/F&A calculation
- NIH Modular Budget Worksheet
- Joint UCSD/VA effort calculation

Find UCSD forms at: http://ocga.ucsd.edu/Forms/All_Forms.htm

Grant Application: UCSD Internal Forms

Complete the Required UCSD Forms (cont)

Typical Sections
- Face Page or Signature Page (Get “Vital Information” from OCGA web site)
- Abstract or Statement of Work (SOW)
- Budget and Budget Justification
- Biographical Sketch or CV for Key Personnel
- Current & Pending Other Support for Key Personnel
- Facilities & Equipment
- Research Plan (Science)

Formatting can be Critical
- Page limits, margins, font type, font size, and font color
- Attachments
- Paper or electronic submission
Grant Application:
Learn about Electronic Submission

Different systems are used by different sponsors.

- Grants.gov: Most Federal Agencies (i.e., NIH)
- FastLane: NSF
- FedConnect: DOE, DOI
- Proposal Central: Many Private Sponsors, UC agencies
- eRA Commons: NIH/AHRQ/CDC
- Grants@Heart: American Heart Association

Find out in advance if registration or passwords are required.

- eRA Commons registration for UCSD affiliates:
  - https://ocga.ucsd.edu/Proposals/NIH/eRA_Commons.htm
  - Contact Angela Logan at x45891 or alogan@ucsd.edu
- UCSD is already registered for Grants.gov. PIs do not register.

Proofread!
Sponsors’ automated validation procedures are unforgiving of trivial errors!!!

Grant Application: Internal Review

Send Draft of Proposal + UCSD Internal Forms to OCGA/HSSPPO/SIO for Review

- Please allow 10 business days prior to the sponsor’s deadline for proposal review & for approval routing for space and any research subjects
- Choose the appropriate routing mode: paper or electronic (EPRS or email)
- The reviewing office will review & provide comments to the department contact
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<tr>
<th>FUNDING FEST</th>
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<td><strong>Grant Application: Submission</strong></td>
<td><strong>Grant Application</strong></td>
<td><strong>Resources: UCSD</strong></td>
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<tr>
<td><strong>Prepare Final Proposal Ready for Submission</strong></td>
<td><strong>Respond to Any Further Agency Requests</strong></td>
<td><strong>OCGA</strong>: <a href="http://ocga.ucsd.edu/">http://ocga.ucsd.edu/</a></td>
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<td>– Provide the appropriate number of copies</td>
<td>– Revised budgets</td>
<td><strong>HS SPPO</strong>: <a href="http://vchsgrants.ucsd.edu/hssppo">http://vchsgrants.ucsd.edu/hssppo</a></td>
</tr>
<tr>
<td>– Send final proposal to OCGA/HSSPPO/SIO prior to the electronic deadline or mail service pick-up deadline</td>
<td><strong>Wait for the Award to Arrive</strong></td>
<td><strong>HS SPPO Wiki</strong>: <a href="http://som-qa2.ucsd.edu/twiki/bin/view/HSSPPO/WebHome">http://som-qa2.ucsd.edu/twiki/bin/view/HSSPPO/WebHome</a></td>
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<tr>
<td>– If applicable, remain available until proposal has been received and validated by sponsor</td>
<td>– Time between submission &amp; award may take 9-10 months</td>
<td><strong>Research Affairs</strong>: <a href="http://research.ucsd.edu/">http://research.ucsd.edu/</a></td>
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<td>– All awards must be sent to OCGA/SIO for processing</td>
<td><strong>Office of Postdoctoral Scholar Affairs</strong>: <a href="http://research.ucsd.edu/posdoc/">http://research.ucsd.edu/posdoc/</a></td>
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<td>– OCGA will work with OPAFS to set up index and fund numbers</td>
<td><strong>Animal Subjects</strong>: <a href="http://iacuc.ucsd.edu/index.aspx">http://iacuc.ucsd.edu/index.aspx</a></td>
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<td>– OCGA will distribute the Notice of Award or Contract Agreement to the PI’s department contact</td>
<td><strong>Human Subjects</strong>: <a href="http://irb.ucsd.edu/">http://irb.ucsd.edu/</a></td>
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<td><strong>Research Ethics</strong>: <a href="http://research.ucsd.edu/ethics/index.html">http://research.ucsd.edu/ethics/index.html</a></td>
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<td><strong>Stem Cell Research</strong>: <a href="http://escro.ucsd.edu/index.html">http://escro.ucsd.edu/index.html</a></td>
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<td><strong>Conflict of Interest</strong>: <a href="http://coi.ucsd.edu/">http://coi.ucsd.edu/</a></td>
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<td><strong>OPAFS</strong>: <a href="http://blink.ucsd.edu/sponsor/BFS/divisions/opafs/">http://blink.ucsd.edu/sponsor/BFS/divisions/opafs/</a></td>
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Resources: Sponsors

- NIH Office of Extramural Research:
  http://grants.nih.gov/grants/oer.htm
- NIH Research Career Development:
  http://grants.nih.gov/training/index.htm
- NIH New and Early Stage Investigators:
- NIH Kiosk:
  http://grants.nih.gov/training/careerdevelopmentawards.htm
- NSF CAREER Program:
  http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=503214
- ONR Young Investigator Program:
- AHA:
  http://my.americanheart.org/professional/Research/Research_UCM_316889_SubHomePage.jsp

Thank you

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