

**General Application Instructions**

**Version 20180329**

**Department of Defense**

**Defense Health Program**

**Congressionally Directed Medical Research Programs**

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*This General Application Instructions document must be read in conjunction with the Program Announcement for this funding opportunity, which is available for downloading from Grants.gov and eBRAP.org.*

## I. HELPFUL INFORMATION

### A. Tips for Success



This symbol marks helpful hints throughout this document.



This symbol refers the reader to the Program Announcement for specific instructions.

### B. Applicant Organizations

Applications may be submitted by extramural and intramural organizations, which are defined below.

***Extramural Organization:*** An eligible non-Department of Defense (DoD) organization. Examples of extramural organizations include academia, biotechnology companies, foundations, Government, and research institutes. *Extramural Submission: Application submitted by a non-DoD organization to Grants.gov.*

***Intramural DoD Organization:*** A DoD laboratory, DoD military treatment facility, and/or DoD activity embedded within a civilian medical center. *Intramural Submission: Application submitted by a DoD organization for an intramural investigator who is a DoD military or civilian employee working within a DoD laboratory or military treatment facility or in a DoD activity embedded within a civilian medical center.*

***Note:*** Applications from an intramural organization or from an extramural non-DoD Federal organization may be submitted through a research foundation.

### C. Current Funding Opportunities

To view all funding opportunities currently offered through the U.S. Army Medical Research and Materiel Command (USAMRMC), to include the Congressionally Directed Medical Research Programs (CDMRP), perform a Grants.gov (<http://www.grants.gov/>) search using the Catalog of Federal Domestic Assistance (CFDA) Number 12.420. Information may be found on the CDMRP website at <http://cdmrp.army.mil/funding/> and on the CDMRP's electronic Biomedical Research Application Portal (eBRAP) website at <https://ebrap.org/eBRAP/public/Program.htm>. To receive email notifications when CDMRP funding opportunities are released, subscribe to program-specific news and updates under the "Email Subscriptions" section on eBRAP's home page (<https://ebrap.org/eBRAP/programSubscription/Subscribe.htm>). Email notifications of funding opportunities are sent as a courtesy and should not be used as the sole source of notification; applicants should subscribe on Grants.gov to receive notifications of updates and new grant opportunity postings (<http://www.grants.gov/web/grants/manage-subscriptions.html>).

To ensure accurate referencing, please verify that the eight-digit (numeric) version number on the title page of this document matches the version number of the Program Announcement found in Section II.H.1, "Program Announcement and General Application Instructions Versions," of the Program Announcement.

## D. Receiving Emails from the CDMRP, eBRAP, and Grants.gov

To help ensure that all email correspondence is delivered correctly and is not treated as spam by email programs, keep your email address up to date in eBRAP (intramural and extramural applicants, as defined in Section I.B, above) and/or Grants.gov (extramural applicants, as defined in Section I.B above) and place the following domains into your safelist: army.mil, us.army.mil, \*.mail.mil, eBRAP.org, and grants.gov. Also, use the same email address when submitting both the pre-application and the full application.

If changes to the full application package occur, the applicant is responsible for using the latest version of the full application package. Applications submitted with a different version of the full application package will be rejected. All applicants are encouraged to sign up to receive notifications of any changes to the Funding Opportunity (<http://www.grants.gov/>) through either (1) the “Send me change notification emails” link on the Synopsis page for the specific Program Announcement or (2) by responding to the Grants.gov prompt *when first downloading the Grants.gov application package (extramural applicants only)*.

## E. Agency Contacts

1. **CDMRP Help Desk:** Questions related to Program Announcement content or submission requirements, as well as questions related to submission of pre-applications (extramural and intramural submissions) or full applications (intramural submissions only) through eBRAP, should be directed to the CDMRP Help Desk, which is available Monday through Friday from 8:00 a.m. to 5:00 p.m. Eastern time. Response times may vary depending upon the volume of inquiries. Be advised that the CDMRP Help Desk is unable to provide technical assistance with Grants.gov submission.

Phone: 301-682-5507

Email: [help@eBRAP.org](mailto:help@eBRAP.org)

2. **Extramural Submissions - Grants.gov Contact Center:** Questions related to application submission through the Grants.gov portal should be directed to the Grants.gov Contact Center, which is available 24 hours a day, 7 days a week (closed on U.S. Federal holidays).

Phone: 800-518-4726; International 1-606-545-5035

Email: [support@grants.gov](mailto:support@grants.gov)

## F. Application Submission Overview

Application submission is a two-step process.

**STEP 1. Pre-application submission:** All pre-applications for both extramural and intramural organizations must be submitted through the electronic Biomedical Research Application Portal (eBRAP) (<https://eBRAP.org/>).

**STEP 2. Full application submission:** Full applications must be submitted through the online portals as described below.

***Extramural Application Submissions:*** Full applications from extramural organizations must be submitted through Grants.gov (refer to Section III). Applications submitted by extramural organizations (e.g., research foundations) on behalf of intramural DoD or other Federal organizations or investigators will be considered extramural submissions.

***Intramural Application Submissions:*** Intramural DoD organizations may submit full applications to either eBRAP or Grants.gov. Intramural organizations that are unable to submit to Grants.gov should submit through eBRAP (refer to Section IV). Intramural organizations with the capability to submit through Grants.gov may submit following the instructions for extramural submissions through Grants.gov or may submit to eBRAP. Applications from extramural organizations, including non-DoD Federal organizations, received through eBRAP will be withdrawn.

All pre-application and application components must be submitted by the deadlines stipulated on the title page of the Program Announcement. Material submitted after the deadlines, unless specifically requested by the Government, will not be forwarded for processing. Failure to meet any of the deadlines will result in application rejection.



***Submission of applications from U.S. Federal agencies and those proposing collaborations with Military Facilities have unique requirements.*** Budget requirements and restrictions apply. See [Section III.A.4, Research & Related Budget](#).



***For specific guidance regarding changes to the Principal Investigator (PI) or organization, refer to the Program Announcement.***

## **II. eBRAP REGISTRATION AND PRE-APPLICATION SUBMISSION**

General eBRAP registration information is provided below (Section II.A). For detailed instructions, refer to the eBRAP User Guide (<https://ebrap.org/eBRAP/public/UserGuide.pdf>) for eBRAP registration, and [www.grants.gov](http://www.grants.gov) for Grants.gov registration.

### **A. Registration Requirements (All Applicants)**

#### **eBRAP Registration**

eBRAP is a multifunctional web-based system that allows PIs to submit their pre-applications electronically through a secure connection, to view and edit the content of their pre-applications and full applications, to receive communications from the CDMRP, and to submit documentation during award negotiations and throughout the period of performance. eBRAP also allows intramural organizations to submit full applications following pre-application submission. A key feature of eBRAP is the ability of an organization's representatives and PIs to view and modify the full application submissions associated with them. eBRAP will validate full application files against the specific Program Announcement requirements, and discrepancies will be noted in an email to the PI and in the Full Application Files tab in eBRAP. It is the applicant's responsibility to review all application components for accuracy and to ensure proper ordering as specified in the Program Announcement.



*eBRAP does not confirm the accuracy of file content!*

*To submit a pre-application, all PIs must be registered in eBRAP.*

**PIs are encouraged to start the registration processes for eBRAP early to ensure that there is sufficient time for completion prior to the submission deadline. There is no grace period.**

***Extramural Submissions:*** Application submitted by a non-DoD organization to Grants.gov. Applicants should ensure that their name and email address are the same as the name and email address on the Standard Form 424 Research and Related (SF424 (R&R)) Form of the Grants.gov application package submitted through Grants.gov.

***Intramural Submissions:*** Application submitted by a DoD organization for an intramural investigator who is a DoD military or civilian employee working within a DoD laboratory or military treatment facility or in a DoD activity embedded within a civilian medical center. Applicants should ensure that their name and email address are the same as the name and email address that will be provided within the full application package through eBRAP for intramural applicants.

PIs with an Open Researcher and Contributor ID (ORCID) identifier should enter that information in the appropriate field in the “My Profile” tab in the “Account Information” section of eBRAP.

During eBRAP registration, the PI must request to be affiliated with his/her organization from the list of organizations already registered with eBRAP. If the PI’s organization is not already registered with eBRAP, then the PI must invite an Authorized Organizational Representative (AOR) to register the organization. The AOR does not need to complete the organization registration in eBRAP prior to the pre-application submission deadline in order for the pre-application to be submitted. However, before the full application submission deadline, the organization’s eBRAP registration must be complete to allow for processing, viewing, and modifying of the full application package components.

Specific information must be identical between the pre-application and the full application for eBRAP to process an application. The application title, eBRAP log number, and all information for the PI, Business Official(s), performing organization, and contracting organization must be consistent for the entire pre-application and application submission process. Inconsistencies may delay application processing and limit or negate the ability to view, modify, and verify the application in eBRAP.

## **B. Content and Form of Pre-Application Submission**



*For specific instructions regarding content of the pre-application submission components, refer to the Program Announcement.*



All pre-application components must be submitted through eBRAP (<https://eBRAP.org/>) by the deadline specified in the Program Announcement. Click on “Submit” and “Confirm Submission” to complete the pre-application submission.

During pre-application submission, the PI must identify a Business Official from the list of Business Officials registered with eBRAP. If the PI's Business Official is not already registered with eBRAP, the PI must invite the Business Official to register. This invitation to register must be sent prior to the pre-application deadline. The Business Official's registration must be completed prior to the full application deadline to allow the Business Official to view/modify the full application files in eBRAP after submission.

During pre-application submission, the PI must select the performing organization (site at which the PI will perform the proposed work) and contracting organization (organization submitting on behalf of the PI) and click on "Add Organizations to this Pre-application." The organization(s) must be either selected from the eBRAP drop-down list or invited to allow submission of the pre-application.

The pre-application consists of the following components, organized in eBRAP by separate tabs:

**Tab 1 – Application Information:** Enter the application information as described in eBRAP before continuing the pre-application. Click on "Save."

**Tab 2 – Application Contacts:** Enter contact information for the PI. Enter the organization's Business Official responsible for sponsored program administration. Depending on screen resolution, scrolling horizontally may be necessary to locate the box to Invite an AOR to register the performing and/or contracting organization. Click the "Add Organizations to this Pre-application." The Business Official must be either selected from the eBRAP list or invited to allow the pre-application to be submitted. **If the Business Official cannot be found in eBRAP, an invitation must be sent to him/her to register in eBRAP.**

**Tab 3 – Collaborators and Key Personnel:** Enter the name, organization, and role of all collaborators and key personnel associated with the application. Click on "Save."

*Note: CDMRP does not follow National Institutes of Health (NIH) guidelines for role designation of project participants. Unless otherwise noted in the Program Announcement (e.g., Partnering PIs), applicants should assign the role of each participant in accordance with the participant's respective involvement in the project.*

No member of the Programmatic Panel may be named as being involved in the research proposed or found to have assisted in the pre-application or application processes. Refer to the specific Program Announcement for a link to the list of Programmatic Panel members.

If formal collaboration with Military Facility personnel is planned (i.e., included in the application in performance of the research), those Military Facility personnel are prohibited from being involved in the review process and/or with making funding recommendations.

To preserve the integrity of its peer and programmatic review processes, the CDMRP discourages inclusion of any employee of its review contractors having any role in the preparation, research, or other duties for submitted applications. The identities of the peer and programmatic review contractors can be found at

<http://cdmrp.army.mil/about/2tierRevProcess>. Applications that include names of personnel from either of these companies will be administratively withdrawn unless plans to manage conflicts of interest (COIs) are provided and deemed appropriate by the Government. Questions related to this topic should be directed to the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org) or 301-682-5507.

**Tab 4 – Conflicts of Interest:** To avoid COIs during the screening and review processes, list all individuals, other than collaborators and key personnel, who may have a COI in the review of the application (including those with whom the PI has a personal or professional relationship). Click on “Save.”

**Tab 5 – Pre-Application Files:** Upload all documents as PDF as specified in the Program Announcement. Documents should conform to the formatting guidelines outlined in Appendix 4. Click on “Upload.”

- eBRAP will truncate characters exceeding the limit specified for each data field as specified in the Program Announcement.
- eBRAP will not allow a document to be uploaded in the Required Files tab if the number of pages exceeds the limits specified in the Program Announcement.

**Tab 6 – Submit Pre-Application:** Enter eBRAP password and click the “Submit” button. Click the “Confirm Submission” button to complete the pre-application submission. *This finalizes the pre-application process.*



*The pre-application is not submitted until Tab 6 is complete. Pre-applications not completed are left in DRAFT status.*

Following completion of pre-application submission, the status of the pre-application in eBRAP will change from “DRAFT” to “SUBMITTED” and a confirmation email will be sent to the PI and named Business Official. *An applicant with a pre-application in DRAFT status after the pre-application submission deadline is ineligible to submit an application. Check the status of the pre-application. There are no grace periods.*

### III. APPLICATION SUBMISSION FOR EXTRAMURAL ORGANIZATIONS

To apply through Grants.gov, an organization must complete the Grants.gov registration process. *Allow up to 8 weeks for the completion of the Grants.gov registration process.* Registering early is advised.

Foreign organizations doing business outside of the United States are also required to complete the Grants.gov registration process, in addition to fulfilling supplementary requirements for doing business with the U.S. Government.

If business is conducted with the Federal Government on a continuing basis, it is likely that some of the required actions have already been completed, e.g., obtaining a Data Universal Numbering System (DUNS) number or registration as an Entity in the System for Award Management

(SAM). Detailed information, links, automated tools, and checklists are available at <http://www.grants.gov/web/grants/applicants/organization-registration.html>.

**The following steps are required as part of the Grants.gov registration process:**

### **1. DUNS Number**

The applicant organization and all subrecipient/subawardee organizations must have a DUNS number. A DUNS number is a unique identification number provided by the commercial company Dun & Bradstreet. If an organization does not have a DUNS number, an authorized business official of the organization can request one by calling 866-705-5711 or by registering online (<http://fedgov.dnb.com/webform>). Organizations located outside of the United States can request and register for a DUNS number on line via web registration (<http://fedgov.dnb.com/webform>). Web registration can take 1-2 business days.

### **2. SAM Registry**

The applicant organization must be registered as an Entity SAM (<https://www.sam.gov>) and receive confirmation of an “Active” status before submitting an application through Grants.gov. The SAM validates organization information and electronically shares the secure and encrypted data with Federal agencies’ finance offices to facilitate paperless payments through electronic funds transfer. An organization must identify an Accounts Receivable point of contact (POC), an Electronic Business POC, and a Government Business POC during the SAM registration process. ***Entity registrations in SAM have an annual expiration. Verify the status of your organization’s Entity registration in SAM well in advance of the application submission deadline.*** An organization can register in SAM online at <https://www.sam.gov/>. If your organization does not have either an Employer Identification Number (EIN) or Tax Identification Number (TIN), allow at least 2 weeks to receive this information from the U.S. Internal Revenue Service. Allow 3 to 4 weeks to complete the entire SAM registration process. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant. ***Additional information and step-by-step registration directions are detailed in the SAM User Guide and other General Services Administration (GSA) training materials in the Help area at <https://www.sam.gov/>.***

***Applications will be rejected by Grants.gov if (1) the organization’s Entity registration in SAM is not active, or (2) if during the SAM registration process, the organization did not answer “Yes” when asked “Do you want to be eligible for grants and other Federal assistance?”.***

### **3. Commercial and Government Entity (CAGE) Code**

The applicant organization must have a CAGE Code. The Defense Logistics Information Service in Battle Creek, Michigan, is the only authorized source of CAGE Codes. CAGE Codes will be assigned to registrants as their SAM registration advances through the validation process. Foreign registrants in SAM must be assigned a NATO CAGE Code (NCAGE). An NCAGE code can be obtained by contacting the National Codification Bureau of the country where the organization is located or by connecting to Form AC135



(<http://www.nato.int/structur/AC/135/welcome.htm>). On average, CAGE Code or NCAGE Code validation in SAM occurs within 3 business days after the TIN is validated.

#### 4. Authorized Organizational Representative

Each organization must have an AOR who is registered with Grants.gov (individual PIs do not register with Grants.gov). An organization's E-Biz POC must authorize an AOR. An individual may serve as both the E-Biz POC and the AOR. Before application submission, the AOR must be registered to submit on behalf of the organization at Grants.gov (<http://apply07.grants.gov/apply/OrcRegister>).

An AOR must first register with the Grants.gov credential provider at <http://apply07.grants.gov/apply/OrcRegister> to obtain a username and password. Once an AOR has completed the Grants.gov registration process, Grants.gov will notify the E-Biz POC for assignment of user privileges. When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email.

At the time of application submission to Grants.gov, the AOR is certifying to the best of his/her knowledge that all information provided in the application is current, accurate, and complete.

Each application submission must include the completed Grants.gov application package of forms associated with the specific Program Announcement in Grants.gov (<http://www.grants.gov/>).

A compatible version of Adobe Reader must be used to view, complete, and submit the Grants.gov application package. ***Grants.gov will reject an application package that is opened at any time by an individual with an incompatible version of Adobe Reader.*** Rejected applications must be resubmitted using a new Grants.gov application package and a supported version of Adobe Reader prior to the application submission deadline. It is the applicant's responsibility to verify his/her Adobe Reader's compatibility with Grants.gov: <https://www.grants.gov/web/grants/support.html>. A no-cost compatible version of Adobe Reader can be downloaded at <http://get.adobe.com/reader/otherversions/>. All contributors to the application must use matching compatible versions of Adobe software when editing and preparing application components. The use of different software versions will result in corruption of the submitted file.

***The CDMRP cannot make allowances/exceptions to its policies for submission problems encountered by the applicant organization using system-to-system interfaces with Grants.gov.***

***Any modifications to the Project Narrative or Budget Form require submission of a changed/corrected Grants.gov application package to Grants.gov prior to the application submission deadline. The Project Narrative and Budget Form cannot be modified during the application verification period.***

The application submission deadline and the end of the application verification period in eBRAP are stated on the title page of the respective Program Announcement. See [Section III.B, Applicant Verification of Grants.gov Submission in eBRAP](#), for additional details.

## A. Grants.gov Application Package Components

### 1. SF424 (R&R), Application for Federal Assistance Form

*All appropriate information must be entered into this form* to allow for auto-population of subsequent forms in this Grants.gov application package. See below for clarification to general instructions:

- **Block 1 – Type of Submission.** For original submissions, select the “Application” box. For changes that must be made after the original submission, the complete Grants.gov application package must be resubmitted with the “Changed/Corrected Application” box selected.
- **Block 2 – Date Submitted.** Enter the date the application is submitted.
  - **Applicant Identifier.** Enter the submitting organization’s Control Number, if applicable. If there is no Organization Control Number, leave this field blank.
- **Block 3 – Date Received by State and State Application Identifier.** Not applicable.
- **Block 4a – Federal Identifier Box.** Enter in your eBRAP log number assigned during pre-application submission.

**Figure 1. Enter your eBRAP log number in Block 4a.**

<b>4. a. Federal Identifier</b>	<input type="text"/>
<b>b. Agency Routing Identifier</b>	<input type="text"/>
<b>c. Previous Grants.gov Tracking ID</b>	<input type="text"/>

- **Block 4b – Agency Routing Identifier.** Not applicable.
- **Block 4c – Previous Grants.gov Tracking ID.** For changed/correct applications, enter the Grants.gov tracking number for the original application.
- **Block 5 – Applicant Information.** Enter the information for the applicant organization. “Person to be contacted on matters involving this application” is the Business Official.
- **Block 6 – Employer Identification.** Enter the EIN or TIN as assigned by the Internal Revenue Service. If applying from an organization outside the United States, enter 44-4444444.
- **Block 7 – Type of Applicant.** Enter the information for the applicant organization.
- **Block 8 – Type of Application.** Select “New” for all submissions.
- **Block 9 – Name of Federal Agency.** Populated by Grants.gov.

- **Block 10 – Catalog of Federal Domestic Assistance Number.** Populated by Grants.gov.
- **Block 11 – Descriptive Title of Applicant’s Project.** Enter the same project title as used for the pre-application.
- **Block 12 – Proposed Project.** Enter the estimated start and end dates for the project. Actual start and end dates will be determined during negotiations if the application is recommended for funding.
- **Block 13 – Congressional District of Applicant.** If the applicant organization is outside the United States, enter 00-000.
- **Block 14 – Project Director/Principal Investigator Contact Information.** Enter information for the individual PI responsible for the overall scientific and technical direction of the application. If outside the United States, select the appropriate country from the drop-down menu.
- **Block 15 – Estimated Project Funding.** Enter the total funds (direct + indirect costs) requested for the entire performance period of the project. These figures should match those provided in the Research & Related Budget.
- **Block 16 – Is Application Subject to Review by State Executive Order 12372 Process?** Select option b., “NO, program is not covered by E.O.12372.”
- **Block 17 – Complete Certification.** Select the “I agree” box to provide the required certifications and assurances.
- **Block 18 – SFLLL (Disclosure of Lobbying Activities) or Other Explanatory Documentation.** If applicable, complete and attach Standard Form LLL (SFLLL) to disclose lobbying activities pursuant to Title 31 of the United States Code, Section 1352 (31 USC 1352).
- **Block 19 – Authorized Representative.** Enter the contact information for the applicant organization’s authorized representative. The “Signature of Authorized Representative” is automatically completed upon submission of the Grants.gov application package.
- **Block 20 – Pre-Application.** Not applicable.
- **Block 21 – Cover Letter Attachment.** Not applicable.

*If a revised Project Narrative or Budget Form document is needed, an updated Grants.gov application package must be submitted via Grants.gov as a “Changed/Corrected Application” with the previous Grants.gov Tracking ID found in Block 4.c. of the SF424 (R&R) Form prior to the full application submission deadline.*

## 2. Attachments Form

***Grants.gov does not validate for the presence of attachments on the Attachments Form.***

Following retrieval and processing of the Grants.gov application, eBRAP will notify the organizational representatives and PI by email to log into eBRAP to view, modify, and verify the Grants.gov application submission. eBRAP will validate retrieved files against the specific Program Announcement requirements and discrepancies will be noted in both the email and in

the Full Application Files tab. eBRAP does not confirm the accuracy of file content. It is the applicant's responsibility to review all application components and ensure proper ordering as specified in the Program Announcement. ***If the Project Narrative or budget fails eBRAP validation or if the Project Narrative or Budget Form needs to be modified, an updated Grants.gov application package must be submitted via Grants.gov as a "Changed/Corrected Application" with the previous Grants.gov Tracking ID prior to the application submission deadline.*** See [Section III.B, Applicant Verification of Grants.gov Submission in eBRAP](#), for additional details.

Each attachment in the Attachments Form must be uploaded as an individual PDF file in accordance with the formatting guidelines listed in Appendix 4. For all attachments, ensure that the file names are consistent with the guidance listed in the Program Announcement and below. Grants.gov will reject attachments with file names longer than 50 characters or incompatible file names that contain characters other than the following: A-Z, a-z, 0-9, underscore, hyphen, space, and period. In addition, Grants.gov has file size limits that may apply in some circumstances. Individual attachments may not exceed 20 MB and the file size for the entire Grants.gov application package may not exceed 200 MB. Applicants must contact the Grants.gov Contact Center ([support@grants.gov](mailto:support@grants.gov)) for written confirmation that a file exceeding the maximum size will be accepted.



***For specific instructions regarding content and page limits of the Project Narrative, Supporting Documentation, and all other attachments to this Grants.gov form, refer to the Program Announcement.***



All documents that require signatures must be signed. Both electronic and hand signatures will be accepted. Any document that is signed by hand should be scanned at a resolution of 100-150 dots per inch.

The following must be included as attachments:

**Attachment 1: Project Narrative: Named "ProjectNarrative.pdf."** The Project Narrative is the main body of the application. The page limit of the Project Narrative applies to text and non-text elements (e.g., figures, tables, graphs, photographs, diagrams, chemical structures, drawings) used to describe the project. Inclusion of URLs that provide additional information to expand the Project Narrative and could confer an unfair competitive advantage is prohibited and may result in administrative withdrawal of the application.

***Submission of a Project Narrative that exceeds the page limit specified in the Program Announcement will result in administrative rejection of the application.***

**Attachment 2: Supporting Documentation:** Combine and attach as a **single PDF file named "Support.pdf."** Include only supporting documentation as indicated in the Program Announcement. Submitting material that is not requested may be viewed as an attempt to gain an unfair competitive advantage; such material will be removed or the application may be administratively withdrawn.

*All applications are provided fair and thorough reviews. Letters of support not requested in the Program Announcement, such as those from members of Congress, do not impact application review or funding decisions.*



*For a list and descriptions of required supporting documents, refer to the Program Announcement.*

**Attachment 3: Technical Abstract: Named “TechAbs.pdf.”** Abstracts of all funded research projects will be posted on the CDMRP website at <http://cdmrp.army.mil>. Do *not* include proprietary or confidential information. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

*The Technical Abstract will be posted publicly and will be included in the award agreement.*

**Attachment 4: Lay Abstract: Named “LayAbs.pdf.”** Abstracts of all funded research projects will be posted on the CDMRP website at <http://cdmrp.army.mil>. Do *not* include proprietary or confidential information. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

*The Lay Abstract will be posted publicly.*

**Attachment 5: Statement of Work (SOW): Named “SOW.pdf.”** The SOW is an outline of specific aims of the proposed research project that establishes the project milestones during the performance period of the award. The SOW should contain sufficient detail to be informative as a standalone document. There is no limit to the number of specific aims, tasks, or subtasks that are described within the SOW page limit.

**SOW Format:** PIs are strongly encouraged to use the suggested SOW format stated in the Program Announcement. Templates for SOW formats are available on the eBRAP “Program Announcement & Forms” page (<https://ebrap.org/eBRAP/public/Program.htm>). The SOW must be in PDF format prior to attaching.

*For specific instructions regarding SOW content, refer to the Program Announcement.*

**Attachments 6-15: Additional Documents (as applicable):** Attach each as a separate PDF file, named as indicated in the Program Announcement (e.g., “Impact.pdf,” “Innovation.pdf,” “Training.pdf,” “Transition.pdf”).



*For specific instructions regarding content, titles, and page limits for the Additional Documents, refer to the Program Announcement.*

### 3. Research & Related Personal Data

This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information, for the Project Director (PD)/PI and all other persons identified as Co-PD(s)/Co-PI(s).

Each application must include this form with the name fields of the PD/PI and any Co-PD(s)/Co-PI(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-PD/Co-PI can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

### 4. Research & Related Senior/Key Person Profile (Expanded)

The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are identified as having the project role of PD/PI or Co-PD/Co-PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button.

Include the requested information for each person who will contribute significantly to the proposed research project.

In the “PROFILE – Project Director/Principal Investigator” section, enter the PI’s User Name provided by eBRAP into the data field labeled “Credential, e.g., agency login” (Figure 2).

**Figure 2. PI’s eBRAP User Name**

PROFILE - Project Director/Principal Investigator

Prefix:  \* First Name:  Middle Name:   
\* Last Name:  Suffix:   
Position/Title:  Department:   
Organization Name:  Division:   
\* Street1:   
Street2:   
\* City:  County/ Parish:   
\* State:  Province:   
\* Country:  \* Zip / Postal Code:   
\* Phone Number:  Fax Number:   
\* E-Mail:   
Credential, e.g., agency login:

**Biographical Sketch Suggested Format:** The suggested biographical sketch format is available in a Microsoft Word document on the “Funding Opportunities & Forms” web page (<https://ebrap.org/eBRAP/public/Program.htm>) in eBRAP. Use of this document is optional.

The NIH Biographical Sketch may also be used. Each biographical sketch must be in PDF format prior to attachment. Page limitations will be notated in the Program Announcement.

- **PI Biographical Sketch:** This file must be titled “Biosketch\_LastName.pdf,” where “LastName” is the last name of the PI.
- **PI Previous/Current/Pending Support:** This file must be titled “Support\_LastName.pdf,” where “LastName” is the last name of the PI.
  - *For all previous (award period of performance ending within the past 5 years), current, and pending research support, include* the title, time commitments, supporting agency, name and address of the funding agency’s procuring Contracting/Grants Officer, performance period, level of funding, brief description of the project’s goals, and list of the specific aims. If applicable, identify where the proposed project overlaps with other existing and pending research projects. Clearly state if there is no overlap.
  - If there is no previous, current, or pending support, enter “None.” An updated previous, current, and pending support document will be required if an award is recommended for funding.
- **Key Personnel Biographical Sketches:** Each file must be titled “Biosketch\_LastName.pdf,” where “LastName” is the last name of the respective individual.
- **Key Personnel Previous/Current/Pending Support:** Each file must be titled “Support\_LastName.pdf,” where “LastName” is the last name of the respective individual. Refer to content requirements under “PI Previous/Current/Pending Support” listed above.

## 5. Research & Related Budget

An estimate of the total proposed research project cost, with a breakdown of all cost categories for each year, must be submitted on the Grants.gov Research & Related Budget Form. For limits on funding amounts, types of costs, and period of performance, refer to the Program Announcement. The budget and budget justification should include sufficient detail for the Government to determine whether the proposed costs are allowable, allocable, and reasonable for the proposed research. ***The budget justification for the entire period of performance must be uploaded to the Research & Related Budget after completion of the budget for Period 1.*** At the time of application submission to Grants.gov, the AOR is certifying to the best of his/her knowledge that all costs are current, accurate, and complete.

***If the budget fails eBRAP validation or the budget needs to be modified, an updated Grants.gov application package must be submitted via Grants.gov as a “Changed/Corrected Application” with the previous Grants.gov Tracking ID prior to the application submission deadline.***

No budget will be approved by the Government exceeding the cost limit stated in the specific Program Announcement or using an indirect rate exceeding the organization’s negotiated rate.

## Budget Regulations and Restrictions:

The following must be utilized in developing the budget:

- **Maximum Obligation:** Awards will not be modified to provide additional funds for such purposes as reimbursement for unrecovered indirect/facilities and administrative costs resulting from the establishment of final negotiated rates or for increases in salaries, fringe benefits, and other costs. Foreign currency exchange rates for recipients performing research outside of the United States will be determined at the time of application submission.
- **Administrative and Cost Principles:** Recipients will be required to comply with the following, as applicable:
  - Code of Federal Regulations, Title 2, Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (2 CFR 200), as modified and supplemented by the DoD interim implementation found at 2 CFR 1103, “Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR Part 200” (Federal Register, Volume 79, Number 244 [79 FR 76047], December 19, 2014)
  - Provisions of Chapter I, Subchapter C of Title 32, CFR, “DoD Grant and Agreement Regulations,” Parts 26, 28, 37, and 1125
  - Federal Acquisition Regulation (FAR) Part 31
  - Defense FAR Supplement Part 231

Terms and conditions of awards made after December 26, 2014 may reflect DoD’s further implementation of 2 CFR 200.

- **Pre-Award Costs:** An institution of higher education, hospital, or other non-profit organization may, at its own risk and without the Government’s prior approval, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the initial budget period of a new award, if such costs (1) are necessary to conduct the project and (2) would be allowable under the award, if awarded. If specific expenditures would otherwise require prior approval, the recipient must obtain the Grants Officer’s approval before incurring the cost. Government prior approval is required for any costs to be incurred more than 90 days before the beginning date of the initial budget period of a new award.

***For-profit organizations must obtain the Grants Officer’s approval prior to incurring any obligations and expenditures before the beginning date of the initial budget period of a new award.***

The incurrence of pre-award costs in anticipation of an award imposes no obligation on the Government either to make the award or to increase the amount of the approved budget if an award is made for less than the amount anticipated and is inadequate to cover the pre-award costs incurred or in the absence of appropriations. The Government expects the recipient to be fully aware that pre-award costs result in borrowing against future support and that such borrowing must not impair the



organization's ability to accomplish the project objectives within the approved time frame or in any way adversely affect the conduct of the project.

- **Cost of Preparing Applications:** The cost of preparing applications in response to a Program Announcement is not considered an allowable direct charge to any resultant award. However, the cost of preparing applications may be an allowable cost that can be included in the indirect/facilities and administrative cost as specified in the organization's applicable cost principles.
- **Currency:** All costs must be entered in U.S. dollars. Recipients performing research outside of the United States should include the cost in local currency, the rate used for converting to U.S. dollars, and justification/basis for the conversion rate used. Foreign currency exchange rates for recipients performing research outside of the United States will be determined at the time of application submission.



***Submit a detailed budget and justification that covers the entire period of performance (not just the first year).*** The Government reserves the right to request a revised budget and budget justification and/or additional information.

**Budget Instructions:** Complete the Research & Related Budget Form following the instructions below. Begin by entering the organizational DUNS number, Budget Type, Name of Organization, and anticipated start and end dates. ***Ensure that the DUNS number is entered accurately or Grants.gov will reject the application.***



***For all Federal agencies or organizations collaborating with Federal agencies applying to this Program Announcement, special restrictions apply to the budget and are described below.***

**For Federal Agencies:** An application from a Federal agency must include in the budget justification a **Federal Financial Plan (Plan)**. The Plan must address how all funds will be obligated before their period for obligation expires and how funds will be available to cover research costs over the entire award period. The Plan must include the funding mechanism(s) that will be used to carry over funds between fiscal years.

**For Collaborating Military Facilities:** An application from an organization that includes collaboration with a Military Facility (military health system facility, research laboratory, treatment facility, dental treatment facility, or a DoD activity embedded with a civilian medical center) must submit DoD Military Budget Form(s) as instructed in [Section 7, DoD Military Budget Form](#), below. The costs per year should be included on the Grants.gov Research and Related Budget form under subaward costs.

#### **Section A: Senior/Key Person**

- **Prefix; First, Middle, and Last Name; and Suffix:** Beginning with the PI, list all senior/key persons from the applicant organization who will be involved in the proposed research project, whether or not salaries are requested. Include all investigators, research associates, etc. If applicable, all investigators outside the applicant organization should be included on the R & R Subaward Budget

Attachment(s) Form. Consultant costs should be listed under Section F.3 of the Research & Related Budget Form (Other Direct Costs, Consultant Services).

- **Base Salary:** Enter the current annual base salary (based on a full-time appointment) for each individual listed for the proposed research project. Establish labor costs using current labor rates or salaries. Labor rates or salaries may not be increased as a result of receiving an award. Identify and explain in the budget justification any proposed adjustments to rates or salaries. Any proposed increases in rates or salaries over the period of the award must be consistent with the applicable cost principles and organization's estimating procedures. *For most Federal agencies, funding cannot be applied toward Federal salaries and, therefore, these salaries should not be included in the requested budget.*
- **Calendar, Academic, and Summer Months:** For each senior/key person, including unpaid personnel, list the number of months to be devoted to the proposed research project in the appropriate box.
- **Requested Salary:** Enter the amount of salary requested for this budget period.
- **Fringe Benefits:** Enter the fringe benefits requested for each individual in accordance with organizational guidelines. If the application is recommended for funding, the organization will be required to provide documentation to support the fringe benefits (e.g., the current Department of Health and Human Services [DHHS] Rate Agreement, other Federally approved rate agreement, or other policy document).
- **Funds Requested:** Enter the total funds requested for each senior/key person listed for the proposed research project.
- **Project Role:** Identify the role of each senior/key person listed. Describe his/her specific functions in the budget justification.

#### **Section B: Other Personnel**

- **Number of Personnel:** For each project role category, indicate the number of personnel for the proposed research project, including unpaid personnel.
- **Project Role:** Identify each project role category. Within the budget justification, describe the specific functions of the personnel in each project role.
- **Calendar, Academic, and Summer Months:** For each project role category, list the number of months to be devoted to the proposed research project in the appropriate box.
- **Requested Salary:** Enter the amount of salary requested for this budget period. *For most Federal agencies, funding cannot be applied toward Federal salaries and therefore these salaries should not be included in the requested budget.*
- **Fringe Benefits:** Enter the fringe benefits requested for each project role category in accordance with organizational guidelines. If the application is recommended for funding, the organization will be required to provide documentation to support the fringe benefits (e.g., the current DHHS Rate Agreement, other Federally approved rate agreement, or other policy document).

- **Funds Requested:** Enter the total funds requested for each project role category listed for the proposed research project.

**Section C: Equipment Description.** Equipment is tangible personal property (including information technology systems) having a useful life of more than 1 year and a per unit acquisition cost that equals or exceeds the lesser of (a) \$5,000 or (b) the recipient's or the subrecipient's capitalization threshold for financial statement purposes. Applicant organizations are encouraged to provide all equipment necessary to conduct the proposed research project. If equipment is requested, provide a detailed list showing the cost of each item. The budget justification for any requested equipment must describe, as applicable:

- Special test equipment to be fabricated for specific research purposes and its cost.
- Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs; list separately.
- Existing equipment to be modified to meet specific research requirements, including modification costs. Do not include as special test equipment those items of equipment that, if purchased by the recipient with recipient funds, would be capitalized for Federal income tax purposes.

In addition, requests for equipment must include a rationale for estimated costs.

**Section D: Travel.** Travel costs may include:

- Costs to attend scientific/technical meetings per year as specified in the Program Announcement: Include the meeting name, purpose, location, and date, if known, in the budget justification. International travel may be requested but must be well justified and is subject to approval.
- Costs for travel associated with the execution of the proposed work (if applicable): Reasonable costs for travel between collaborating organizations should be included. International travel may be requested but must be well justified and is subject to approval.
- Costs to attend required meetings (if applicable): Include the meeting name if identified in the Program Announcement and a statement in the budget justification confirming that the PI will attend the required meeting.
- Funds from this award may not be used to cover approved travel costs for DoD military and civilian employees. All travel costs of DoD military and civilian employees that are approved for this project will be paid directly by the Government rather than funding from this award.

**Section E: Participant/Trainee Support Costs.** Enter the funds requested for tuition/fees, health insurance, stipends, travel, subsistence, and other costs.

**Section F: Other Direct Costs**

- **Materials and Supplies:** Supplies means all tangible personal property, including a computing device, acquired under an award that does not meet the definition of equipment. The budget justification for supporting material and supply (consumable)

costs should include a general description of expendable material and supplies for each year. For individual or total materials and supplies costing \$5,000 or more per year, provide additional breakdown. If animals are to be purchased, state the species, strain (if applicable), number to be used, cost per animal and total costs, proposed vendor, and a copy of the animal per diem cost/rate agreement. If human cell lines are to be purchased, state the source, cost, and description.

- If a computer/software purchase is requested, include the following in the budget justification:
  - Detailed explanation for why purchase of computer/software is required to complete the proposed research project.
  - Statement verifying that the requested computer/software is not currently available for use by the PI.
  - Statement assuring that the requested computer/software will be purchased in accordance with applicable cost principles.
- **Publication Costs:** Estimate the costs of publishing and reporting research results, including direct charges for clerical preparation, illustrations, reprints, and distribution.
- **Consultant Services:** Whether or not funds are requested, include in the budget justification the names and organizational affiliations of all consultants, and include the daily consultant fee, travel expenses, nature of the consulting effort, and why consultants are required for the proposed research project.
- **Automated Data Processing (ADP)/Computer Services:** Include the cost of computer services, including computer-based retrieval of scientific, technical, and education information. Include in the budget justification the provider's computer service rates. See the "Materials and Supplies" bullet above regarding the purchase of computers.
- **Subaward/Consortium/Contractual Costs:** Include the total funds requested for (1) all subaward/consortium organization(s) proposed for the research project and (2) any other contractual costs proposed for the research project. This amount should be supported in the subaward/consortium/contractual costs provided in the R & R Subaward Budget Attachment(s) Form.

If a Military Facility (military health system facility, research laboratory, treatment facility, dental treatment facility, or a DoD activity embedded with a civilian medical center) will be a collaborator in performance of the project, complete the DoD Military Budget Form, available for download on the eBRAP "Funding Opportunities & Forms" web page (<https://ebrap.org/eBRAP/public/Program.htm>), including a budget justification, for each Military Facility as instructed. The costs per year should be included on the Grants.gov Research and Related Budget form under subaward costs.



***All direct and indirect costs of any subaward must be included in the direct costs of the primary award. No budget will be approved by the Government exceeding the cost limit stated in the Program Announcement or using an indirect rate exceeding the organization's negotiated rate.***

- **Equipment or Facility Rental/User Fees:** List proposed equipment or facility rental/user fees. Include appropriate information (hours and rates) in the budget justification.
- **Alterations and Renovations:** Alteration and renovation (A&R) costs can be requested if the costs are essential to accomplish the objectives of the research project and are a minor portion of the overall budget. A description of the existing facility and detailed description of the requested changes, along with a cost estimate, must be included in the budget justification. Costs for the construction of facilities are not allowable.
- **Other Expenses:** Itemize other anticipated direct costs such as communication costs and organizationally provided services. These items should be described in detail and clearly justified in the budget justification. Organizationally provided services should be supported by the organization's current cost/rate schedule.

Include itemized research-related subject costs for the proposed research project. These costs are strictly limited to expenses specifically associated with the proposed research project.

**Section G: Direct Costs.** Include the total direct costs (A-F).

**Section H: Indirect Costs.** The indirect costs category may include Facilities and Administrative (F&A) costs, overhead, General and Administrative (G&A), and other. The most recent Federal agency approved rate(s) should be applied. If the rate(s) has been approved by other than a Federal agency, indicate the source of the approval.

In accordance with 2 CFR 200.414, a non-Federal entity that has never received a negotiated indirect cost rate, may elect to charge a de minimis rate of 10% of modified total direct costs. Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as the non-Federal entity chooses to negotiate for a rate.

Provide details of the direct cost base (modified total direct costs, salary and wage, or other). Identify any costs that have been excluded from the base (in accordance with the approved rate agreement). Also indicate if the rate(s) is an on- or off-site rate(s). If more than one rate is applicable, provide a breakdown of the calculation.

Provide documentation to support the indirect cost rate (e.g., the current DHHS Rate Agreement, other Federally approved rate agreement, or other policy document) via eBRAP (<https://eBRAP.org>).

Organizations can also visit the DHHS (<https://rates.psc.gov/fms/dca/negotiations.html>), the Office of Naval Research (<http://www.onr.navy.mil/Contracts-Grants/manage-grant/indirect-cost-proposal.aspx>), and the Defense Contract Audit Agency (<http://www.dcaa.mil/>) for additional information on indirect rates.

**Section I: Total Direct and Indirect Costs.** Include total costs for the proposed research project.

**Section J: Fee.** Charging a fee or profit to an assistance agreement, either by the recipient/awardee or subrecipient/subawardee, is prohibited.

**Section K: Budget Justification.** Provide a clear budget justification for each item in the budget over the entire period of performance and attach as a single PDF file to Section K of the Research & Related Budget.

Applications from **Federal agencies** must include in their budget justifications a **Federal Financial Plan (Plan)**. The Plan must address how all funds will be obligated before their expiration for obligation, and how funds will be available to cover research costs over the entire award period. The Plan must include the funding mechanism(s) that will be used to carry over funds between fiscal years.



***Organizations must provide sufficient detail and justification so the Government can determine that the proposed costs are allowable, allocable, and reasonable for the proposed research effort.***

## 6. Project/Performance Site Location(s) Form

Indicate the primary site where the work will be performed. If a portion of the work will be performed at any other site(s), include the name and address for each collaborating location in the data fields provided. Add more sites as necessary using the “Next Site” button. If more than eight performance site locations are proposed, provide the requested information in a separate file and attach it to this form. Each additional research site requesting funds will require a subaward budget.

## 7. R & R Subaward Budget Attachment(s) Form (if applicable)

Complete a separate detailed Research & Related Budget including a budget justification for each subaward (subgrant or contract) in accordance with the instructions listed above. Title each individual subaward, “Research & Related Budget,” with the name of the subawardee/subrecipient organization, and attach to the R & R Subaward Budget Attachment(s) Form.



***All direct and indirect costs of any subaward must be included in the direct costs of the primary award. The primary award (including the direct and indirect costs of any subawardees) will not exceed the cost limit stated in the Program Announcement.***

A description of services or materials that are to be provided under the subaward is required. Organizations must provide sufficient detail and justification so that the Government can determine that the proposed costs are allowable, allocable, and reasonable for the proposed research effort.

## 7. DoD Military Budget Form

This section summarizes the requirements of U.S. Army Medical Research Acquisition Activity (USAMRAA) Assistance/Procurement Advisory Notice (APAN) 15-01

<http://www.usamraa.army.mil/Shared%20Documents/APAN%2015-01%20NOV%2010%202014.pdf>), which addresses requirements and procedures when a Military Facility will be a collaborator in performance of an extramural project.

**Budget Form:** Complete a separate “**DoD Military Budget Form**” for each Military Facility involved in the project. The form is available for download on the eBRAP “Funding Opportunities and Forms web page (<https://eBRAP.org>). Do not complete the Grants.gov R&R Subaward Budget Attachment Form.

#### **Direct Costs:**

- **Salaries:** Include the positions/titles/ranks and levels of effort of all DoD civilian and military personnel planned to work on the extramural project, whether or not salaries/fringe benefits are proposed. Salaries/fringe benefits may be reimbursed, either directly by the Federal Government to the facility or through the extramural award to the facility, but only under certain limited circumstances, which will be discussed during negotiations. Applicant organizations can provide their personnel to work on the project; those costs should not be included here but on the organizations Research and Related Budget Forms (Sections A and B).
- **Travel:** Include costs to be incurred by DoD civilian and military personnel. However, note that these costs cannot be reimbursed through the extramural award. They can only be funded directly by the Federal Government to the facility. Some restrictions apply. Processes will be discussed during negotiations.
- **Consultants, Equipment, Materials, Supplies, Other, Etc.:** Include all anticipated direct costs. The Military Facility should consider whether the applicant organization can purchase the items/resources and provide them to the facility. The organization may provide resources to the Military Facility, such as consultants, supplies, equipment, etc., acquired with award funds. If this is feasible, these funds should not be included on the applicant organization’s Research and Related Budget Form and not included on this form.
- **Rates/Fees (Other than Indirect Cost Rates and Profit):** Where there are no DoD-established reimbursement rates (e.g., Institutional Review Board [IRB] fees, Institutional Animal Care and Use Committee [IACUC] fees), the Military Facility’s Resource Management (RM) office (or equivalent) must provide details of how the proposed rates/fees were determined. Rates/fees should be included in the Other Direct Costs line of the Research & Related Budget Form (Section F.8-10).
- **Indirect Costs:** If an indirect cost rate is proposed, include documentation to support the rate (i.e., cost pool(s) and what items are included in each pool). The Military Facility should consult with its RM office (or equivalent) for assistance in determining a rate.

- **Total Costs:** Include the facility's combined direct and indirect costs. Enter the total here and also include it in the Subaward/Consortium/Contractual Costs budget line on the Research & Related Budget Form (Section F.5 of the form.).

**Budget Justification:** Include a budget justification for each year, for each Military Facility. A description of services or materials that are to be provided by the collaborating Military Facility is required. The Military Facility researcher(s) should coordinate with his/her local RM office (or equivalent) to prepare a sound budget and justification for the estimated costs. Applicant organizations must provide sufficient detail and justification to enable the Federal Government to determine that the proposed costs are allowable, allocable, and reasonable for the proposed research effort. In addition, the Military Facilities' direct and indirect costs to be supported when performing collaborative research with the extramural organization must meet the requirements of the DoD's Financial Management Regulation (FMR) 7000.14-R.

**Direct Fund by Federal Agency:** If possible, the USAMRMC's RM office will "direct fund" (via a Funding Authorization Document, Military Interdepartmental Purchase Request, or other authorized method) the collaborating Military Facility to support all costs to be incurred in performance of the Military Facility's portion of the research project. When "direct funded," these funds **will not** be included in the award amount to the contractor or recipient.

**Funds Obligated on Extramural Award:** If extraordinary circumstances exist whereby the USAMRMC RM office is not able to "direct fund" the Military Facility, the funds may be placed on the award and the contractor or recipient may provide award funds to the Military Facility. If known at the time of submission, the Military Facility, in conjunction with the applicant organization, should provide a written justification for this funding method. Suggested areas to address are the research-related activities that will take place at the Military Facility and the associated costs, when the activities will take place, why "direct funding" is not possible, why the applicant organization cannot provide the necessary resources and/or services, the Comptroller's (or equivalent) ability to accept and process award funds appropriately, etc.

**PARC Approval:** Prior to the issuance of any award utilizing the funding method described above, written approval from the USAMRAA's Principal Assistant Responsible for Contracting (PARC) will be required. PARC approval is not required at the time of submission. The justification will be considered by the USAMRAA Grants Officer in consultation with the applicant organization and the Contracting Officer's Representative/Grant Officer's Representative. If considered to be justified, the Contracting/Grants Officer will seek PARC approval.

**Technology Transfer:** The Military Facility researcher(s) should also coordinate with his/her technology transfer office, when applicable. The facility may require that a cooperative research and development agreement (CRADA) or other instrument (as authorized by law or regulation) be executed between the facility and the contractor or recipient before work between the organization can begin or funds can be provided to the Military Facility. The CRADA (or other instrument) is not required at the time of application submission. A timeline for execution of the document will be established during negotiations.



## **B. Applicant Verification of Grants.gov Submission in eBRAP**

The full application package submitted to Grants.gov may be viewed in eBRAP until the end of the application verification period. After eBRAP has processed the full application, PIs will receive an email notification of this status and will be able to view and modify application components in eBRAP. During the application verification period, the full application package, *with the exception of the Project Narrative and Budget Form*, may be modified. See the Program Announcement for specific full application submission and application verification deadlines.

Specific information must be identical between the pre-application and the full application for eBRAP to process an application. The application title, eBRAP log number, and all information for the PI, Business Official(s), performing organization, and contracting organization must be consistent for the entire pre-application and application submission process. Inconsistencies may delay application processing and limit or negate the ability to view, modify, and verify the application in eBRAP.

Prior to the end of the application verification period, PIs and organizational representatives can review and modify in eBRAP certain components of an application submitted to Grants.gov. Following retrieval and processing of the Grants.gov application, eBRAP will notify the organizational representatives and PI by email to log into eBRAP to review, modify, and verify the Grants.gov application submission. eBRAP will validate retrieved files against the specific Program Announcement requirements and discrepancies will be noted in both the email and in the Full Application Files tab in eBRAP. eBRAP does not confirm the accuracy of file content. It is the applicant's responsibility to review all application components and ensure proper ordering as specified in the Program Announcement. *If either the Project Narrative or the budget fails eBRAP validation or if the Project Narrative or the budget need to be modified, an updated Grants.gov application package must be submitted via Grants.gov as a "Changed/Corrected Application" with the previous Grants.gov Tracking ID prior to the application submission deadline.* The Project Narrative and Budget Form cannot be changed after the application submission deadline. The full application submission deadline and the end of the application verification period in eBRAP are stated in the specific Program Announcement.

## **IV. APPLICATION SUBMISSION FOR INTRAMURAL ORGANIZATIONS**

### **A. eBRAP Application Package Components**

The eBRAP application package includes the following components, which are organized in eBRAP by separate tabs. **To access these tabs, go to "My Applications" and click on "Start Full Application"** for the log number under which the pre-application was submitted.

- **Tab 1 – Summary:** Provides a summary of the application information.
- **Tab 2 – Application Contacts:** This tab will be populated by eBRAP. Add the AOR.

- **Tab 3 – Full Application Files:** Under each Application Component in eBRAP, upload each as an individual PDF file. Refer to Appendix 4, for detailed formatting guidelines.

1. **Application Component – Attachments:** Each attachment must be uploaded as an individual PDF file unless otherwise stated. Specific page limits are noted in the Program Announcement.

**Attachment 1: Project Narrative (XX-page limit): Named “ProjectNarrative.pdf.”**

The page limit of the Project Narrative applies to text and non-text elements (e.g., figures, tables, graphs, photographs, diagrams, chemical structures, drawings.) used to describe the project. Inclusion of URLs that provide additional information to expand the Project Narrative and could confer an unfair competitive advantage is prohibited and may result in administrative withdrawal of the application.

*Submission of a Project Narrative that exceeds the page limit specified in the Program Announcement will result in administrative rejection of the application.*

**Attachment 2: Supporting Documentation:** Combine and attach as a **single PDF file named “Support.pdf.”** Include only supporting documentation as indicated in the Program Announcement. Submitting material that is not requested may be viewed as an attempt to gain an unfair competitive advantage; such material will be removed or the application may be administratively withdrawn.

*All applications are provided fair and thorough reviews. Letters of support not requested in the Program Announcement, such as those from members of Congress, do not impact application review or funding decisions.*



*For a list and descriptions of required supporting documents, refer to the Program Announcement.*

**Attachment 3: Technical Abstract: Named “TechAbs.pdf.”** Abstracts of all funded research projects will be posted on the CDMRP website at <http://cdmrp.army.mil>. Do **not** include proprietary or confidential information. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

*The Technical Abstract will be posted publicly and will be included in the award agreement.*

**Attachment 4: Lay Abstract: Named “LayAbs.pdf.”** Abstracts of all funded research projects will be posted on the CDMRP website at <http://cdmrp.army.mil>. Do **not** include proprietary or confidential information. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

*The Lay Abstract will be posted publicly.*

**Attachment 5: Statement of Work: Named “SOW.pdf.”** The SOW is an outline of specific aims of the proposed research project that establishes the project milestones during the performance period of the award. The SOW should contain sufficient detail to be informative as a standalone document. There is no limit to the number of specific aims, tasks, or subtasks that are described within the SOW page limit.

**SOW Format:** PIs are strongly encouraged to use the suggested SOW format stated in the Program Announcement. Templates for SOW formats are available on the eBRAP “Program Announcement & Forms” page (<https://ebrap.org/eBRAP/public/Program.htm>). The SOW must be in PDF format prior to attaching.



*For specific instructions regarding SOW content, refer to the Program Announcement.*

**Attachments 6-15: Additional Documents (as applicable):** Attach each as a separate PDF file, named as indicated in the Program Announcement (e.g., “Impact.pdf,” “Innovation.pdf,” “Training.pdf,” “Transition.pdf”).



*For specific instructions regarding content, titles, and page limits for the Additional Documents, refer to the Program Announcement.*

- 2. Research & Related Personal Data Form:** This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information, for the Project Director/Principal Investigator and all other persons identified as Co-PD(s)/Co-PI(s).

Each application must include this form with the name fields of the PD/PI and any Co-PD(s)/Co-PI(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-PD/Co-PI can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

Upload the Research & Related Personal Data Form as “PersonalData\_LastName.pdf” under the Key Personnel Application Components.

- 3. Application Component - Research & Related Senior/Key Person Profile**

Each attachment must be uploaded as an individual PDF file unless otherwise stated. The Biographical Sketches and the Previous/Current/Pending Support for the PI and Key Personnel may be either attached to the Research & Related Senior/Key Person Profile (Expanded) Form or uploaded as individual files in the “Key Personnel” Application Component.

**Research & Related Senior/Key Person Profile (Expanded) Form:** The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are

identified as having the project role of PD/PI or Co-PD/Co-PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button.

Upload the Research & Related Senior/Key Person Profile (Expanded) Form as “KeyPersonnel\_LastName.pdf” under the Key Personnel Application Components.

Include the requested information for each person who will contribute significantly to the proposed research project.

**Biographical Sketch Suggested Format:** The suggested biographical sketch format is available in a Microsoft Word document on the “Funding Opportunities & Forms” web page (<https://ebrap.org/eBRAP/public/Program.htm>) in eBRAP. Use of this document is optional. The NIH Biographical Sketch may also be used. Each biographical sketch must be in PDF format prior to attachment. Page limitations will be notated in the Program Announcement.

- **PI Biographical Sketch:** This file must be titled “Biosketch\_LastName.pdf,” where “LastName” is the last name of the PI.
  - **PI Previous/Current/Pending Support:** This file must be titled “Support\_LastName.pdf,” where “LastName” is the last name of the PI.
    - *For all previous (award period of performance ending within the past 5 years), current, and pending research support, include* the title, time commitments, supporting agency, name and address of the funding agency’s procuring Contracting/Grants Officer, performance period, level of funding, brief description of the project’s goals, and list of the specific aims. If applicable, identify where the proposed project overlaps with other existing and pending research projects. Clearly state if there is no overlap.
    - If there is no previous, current, or pending support, enter “None.” An updated previous, current, and pending support document will be required if an award is recommended for funding.
  - **Key Personnel Biographical Sketches:** Each file must be titled “Biosketch\_LastName.pdf,” where “LastName” is the last name of the respective individual.
  - **Key Personnel Previous/Current/Pending Support:** Each file must be titled “Support\_LastName.pdf,” where “LastName” is the last name of the respective individual. Refer to content requirements under “PI Previous/Current/Pending Support” listed above.
- 4. Application Component – Budget Form:** Complete the DoD Military Budget Form and Justification. Begin by entering the PI name, eBRAP Log number, and period of performance fields at the top of the DoD Military Budget Form. **DoD Civilian and Military Personnel:** Personnel involved in the project should be listed in this section; however, this award is not intended to provide salary support for any Federal employee, as those costs were to have been included in infrastructure costs. If salary support is requested, sufficient justification must be provided in the budget justification section.

## DoD Military Budget Form Instructions:

- **Name:** Beginning with the PI, list all participants who will be involved in the project during the initial budget period, whether or not salaries are requested. Include all collaborating investigators, research associates, individuals in training, mentor (if applicable), and support staff.
- **Role on Project:** Identify the role of each personnel listed. Describe his/her specific functions in the proposed research in the budget justification.
- **Type of Appointment (Months):** List the number of months per year reflected in an individual's contractual appointment with the applicant organization. The Government assumes that appointments at the applicant organization are full time for each individual. If an appointment is less than full time (e.g., 50%), note this with an asterisk (\*) and provide a full explanation in the budget justification. Individuals may have split appointments (e.g., for an academic period and a summer period). For each type of appointment, identify and enter the number of months on separate lines.
- **Annual Base Salary:** Enter the annual organizational base salary (based on a full-time appointment) for each individual listed for the project.
- **Effort on Project:** List the percentage of each appointment to be spent on this project for all staff members including unpaid personnel.
- **Salary Requested:** Enter the salary for each position for which funds are requested. This is calculated automatically from the data provided. If you do not wish this to be calculated for you, uncheck the small "Calculate Salary" checkbox in the bottom of the field. Calculate the salary request by multiplying an individual's organizational base salary by the percentage of effort on the project.
- **Fringe Benefits:** Enter the fringe benefits requested for each individual in accordance with organizational guidelines.
- **Totals:** Calculated automatically from the data provided.
- **Major Equipment:** Provide an itemized list of proposed equipment, showing the cost of each item. Equipment is any article of nonexpendable tangible property having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit.
- **Materials, Supplies, and Consumables:** The budget justification for supporting material and supply (consumable) costs should include a general description of expendable material and supplies.
- **Travel Costs:** PIs are responsible for budgeting for all costs associated with travel, including airfare, hotel, etc., associated with the trip. Anticipated travel costs should be built into the budget at current or projected DoD per diem rates. Travel costs may include:
  - Travel costs for the PI to attend the required In-Progress Review meeting each year.
  - Travel costs for up to 1 investigator to travel to 1 scientific/technical meeting per year.
  - Travel costs between collaborating organizations.

- **Research-Related Subject Costs:** Include itemized costs of subject participation in the proposed research. These costs are strictly limited to expenses specifically associated with the proposed research.
  - **Other Direct Costs:** Itemize other anticipated direct costs such as publication and report costs, equipment rental (provide hours and rates), communication costs, and organizationally provided services. Unusual or expensive items should be fully explained and justified. Estimate the costs of publishing and reporting research results, including direct charges for clerical preparation, illustrations, reprints, and distribution. Organizationally provided services should be supported by the organization's current cost/rate schedule. These items should be described in detail and clearly justified.
  - **Contract Costs (Partnership/Collaboration Costs):** Should an intramural organization propose collaboration with an extramural entity for part of the research effort, the intramural organization will receive all funds and is responsible for executing all necessary contractual or assistance funding awards to collaborating partners through the agency's procedures. **All direct and indirect costs of any partnership/collaboration costs must be included in the total direct costs of the primary award.** The nature of the partnership/collaboration should be described in the Budget Justification section.
  - **Total Direct Costs:** Calculated automatically from the data provided for the initial budget period on page F-2 and for the entire proposed period of support on page F-3.
  - **Total Indirect Costs:** If funds for indirect costs are requested, sufficient justification must be provided in the budget justification section. The Government reserves the right to disallow any indirect costs not sufficiently justified. All direct and indirect costs of any proposed collaborator must be included in the total direct costs of the primary award. Refer to Section II.D.5, Funding Restrictions, of the Program Announcement for detailed information.
  - **Total Costs:** This section is calculated automatically from the data provided.
  - **Fee:** A profit or fixed fee is not allowable on awards or on subawards.
- Budget Justification Instructions:** Provide a clear budget justification for each item in the budget over the entire period of performance in the Justification section of the DoD Military Budget Form. Itemize direct costs within each budget category for additional years of support requested beyond year one.
- **Federal Agency Financial Plan (required):** Provide a detailed Federal Agency Financial Plan after the budget justification information in the DoD Military Budget Form. The plan delineates how all FY18 funding will be obligated by **September 30, 2019**. The plan must include the funding mechanism(s) or contractual arrangements that will be used to carry over funds between fiscal years, if applicable. Any FY18 funding not obligated by September 30, 2019 may be withdrawn by the issuing Comptroller.

##### 5. Application Component: Project/Performance Site Location(s) Form

Indicate the primary site where the work will be performed. If a portion of the work will be performed at any other site(s), include the name and address for each collaborating location

in the data fields provided. Add more sites as necessary using the “Next Site” button. If more than eight performance site locations are proposed, provide the requested information in a separate file and attach it to this form. Each additional research site requesting funds will require a subaward budget.

- **Tab 4 – Application and Budget Data:**

Review and edit Proposed Project Start Date, Proposed End Date, and Budget data pre-populated from the Budget Form.

- **Tab 5 – Submit/Request Approval Full Application**

Once all components have been uploaded and prior to the full application submission deadline, enter your password in the space provided next to “Enter Your Password Here” and press the “Submit Full Application” button. eBRAP will validate files against the Program Announcement requirements and discrepancies will be noted. If no discrepancies are noted, press the “Confirm Submission” button to complete the application submission. eBRAP will notify your Resource Manager/Comptroller or equivalent Business Official by email to log into eBRAP to review and to approve prior to the approval deadline.

The full application package submitted to eBRAP may be viewed in eBRAP until the end of the application verification period. After eBRAP has processed the full application, PIs will receive an email notification of this status and will be able to view and modify application components in eBRAP. During the application verification period, the full application package, *with the exception of the Project Narrative and Budget Form*, may be modified. In order to make modifications to application components, the Business Official must set the status to “Return to PI” for the PI to make changes, or “Draft” for the Business Official to make changes. See the Program Announcement for specific full application submission and application verification deadlines.

Specific information must be identical between the pre-application and the full application for eBRAP to process an application. The application title, eBRAP log number, and all information for the PI, Business Official(s), performing organization, and contracting organization must be consistent for the entire pre-application and application submission process. Inconsistencies may delay application processing and limit or negate the ability to view, modify, and verify the application in eBRAP.

## APPENDIX 1

### REGULATORY REQUIREMENTS

#### A. Safety and Environmental Requirements

Based on recent changes to DoD compliance requirements (Department of the Army Pamphlet [DA PAM] 385-69, DA PAM 385-10, 32 CFR 651, 6 September 2012), provisions previously required for Safety and Environmental Compliance have been removed. However, in certain instances, compliance review may require submission of additional documentation prior to the awarding of any assistance agreement. Such instances may include use of Army-provided infectious agents or toxins, Biological Select Agents or Toxins, specific chemical agent(s), or pesticides outside of an established laboratory. The USAMRMC Office of Surety and Environment will identify any need for compliance review and documents must be submitted upon request.

Additional information is available at:

[https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_resources.environmental](https://mrmc.amedd.army.mil/index.cfm?pageid=research_resources.environmental)

#### B. Research Protections Review Requirements – Use of Human Subjects, Human Anatomical Substances, Human Subject Data, Human Cadavers, and Animals

The USAMRMC Office of Research Protections (ORP) ensures that research conducted, contracted, sponsored, supported, or managed by the DoD and involving human subjects, human anatomical substances, human subject data, human cadavers, and animals are conducted in accordance with Federal, DoD, Army, USAMRMC, and international regulatory requirements.

PIs and applicant organizations **may not commence performance** of research involving the above, **or expend funding** on such efforts, until regulatory documents are submitted and approved by the USAMRMC ORP to ensure that DoD regulations are met. All expectations described below are consistent with the DoD Instruction (DoDI) 3216.01, “Use of Animals in DoD Programs,” as issued September 13, 2010, available at

[https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.acuro\\_regulations](https://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.acuro_regulations) and DoDI 3216.02, “Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research,” as issued on November 8, 2011, and available at <http://www.dtic.mil/whs/directives/corres/pdf/321602p.pdf>.

The ORP Animal Care and Use Review Office (ACURO) is responsible for administrative review, approval, and oversight of all animal research protocols, including all changes made during the life of the protocol.

The ORP Human Research Protection Office (HRPO) is responsible for administrative review, approval, and oversight of research involving human subjects, human anatomical substances or data, and use of human cadavers. ***Research involving use of human subject data and/or specimens that is anticipated to be exempt from human subjects protections regulations requires a determination from the PI’s institution as well as a determination from the ORP HRPO at USAMRMC.*** A timeframe for submission of the appropriate protocols and required approvals will be established during negotiations.



## 1. Research Involving Animal Use

Specific documents relating to the use of animals in the proposed research will be requested **if the application is selected for funding**. The ACURO, a component of the USAMRMC ORP, must review and approve all animal use prior to the start of working with animals. All amendments or modifications must also be reviewed prior to initiation for the life of the award. PIs must submit the institutional animal use protocol, IACUC approval of that protocol, and a version of the animal use appendix titled “Research Involving Animals.” For guidance on which version of the appendix to use, as well as links to both, visit the ACURO website at: [https://mrmc.amedd.army.mil/index.cfm?pageid=Research\\_Protections.acuro](https://mrmc.amedd.army.mil/index.cfm?pageid=Research_Protections.acuro) [Animal appendix](#). *Allow at least 2 to 3 months for regulatory review and approval processes for animal studies.*

For additional information, send questions via email to ACURO ([usarmy.detrick.medcom-usamrmc.other.acuro@mail.mil](mailto:usarmy.detrick.medcom-usamrmc.other.acuro@mail.mil)).

## 2. Use of Human Cadavers or Human Anatomical Substances Obtained from Human Cadavers

Research, development, test and evaluation (RDT&E), education or training activities involving human cadavers or human anatomical substances obtained from cadavers shall not begin until approval is granted in accordance with the Army Policy for Use of Human Cadavers for RDT&E, Education, or Training, April 20 2012 ([https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.overview](https://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.overview)). The USAMRMC ORP is the Action Office ([usarmy.detrick.medcom-usamrmc.other.hrpo@mail.mil](mailto:usarmy.detrick.medcom-usamrmc.other.hrpo@mail.mil)) for this policy. **HRPO must review the use of postmortem specimens for compliance with the Army Cadaver Use Policy.** Award recipients must coordinate with the supporting/funding Army organization to ensure that proper approvals are obtained. Written approvals to begin the activity will be issued under separate notification to the recipient. Questions regarding submission of human cadaver research for USAMRMC ORP review and approval should be directed to the ORP at [usarmy.detrick.medcom-usamrmc.other.hrpo@mail.mil](mailto:usarmy.detrick.medcom-usamrmc.other.hrpo@mail.mil).

## 3. Research Involving the Secondary Use of Data/Specimens

All USAMRMC-supported research involving the secondary use of human data, records, human tissue, or human specimens (hereafter referred as data/specimens) must be reviewed for compliance with Federal and DoD human subjects protection requirements and approved by the ORP prior to implementation. USAMRMC ORP HRPO review includes assessing the source of the data/specimens and whether the initial manner and consent for the data/specimen collection permits use in the DoD-funded research protocol. HRPO review, approvals, and determinations for specimen research are based upon the nature of the research, the source of the data/specimens, use and/or disclosure of identifiable health information, privacy and confidentiality protections, and whether the individual providing the data/specimens allowed the use of his/her data/specimens for research. For additional guidance and instructions on HRPO review of any DoD-funded research activities involving access, use, and analysis of data/specimens, investigators should submit the HRPO Submission Form for Secondary research found on the ORP HRPO website. [https://mrmc.amedd.army.mil/index.cfm?pageid=Research\\_Protections.hrpo](https://mrmc.amedd.army.mil/index.cfm?pageid=Research_Protections.hrpo).

#### 4. Research Involving Human Subjects,



*In addition to local IRB review, investigators must submit all USAMRMC-funded research protocols involving human subjects for review and approval by the USAMRMC ORP HRPO prior to implementation of the research. The focus of this review is to validate the IRB review as appropriate and ensure that DoD, Army, and USAMRMC regulatory requirements have been met.*

Human subject research definitions, categories, and resource information may be found in the Human Subject Resource Document on the eBRAP website (<https://ebrap.org/eBRAP/public/Program.htm>). This information should only be used as a guide; it is not intended to be a source for human subjects protection regulations. Questions regarding applicable human subjects protection regulations, policies, and guidance should be directed to the local IRB, the ORP HRPO ([usarmy.detrick.medcom-usarmmc.other.hrpo@mail.mil](mailto:usarmy.detrick.medcom-usarmmc.other.hrpo@mail.mil)), and/or the U.S. Food and Drug Administration as appropriate. For in-depth information and to access HRPO protocol submission forms, refer to the ORP HRPO website ([https://mrmc.amedd.army.mil/index.cfm?pageid=Research\\_Protections.hrpo](https://mrmc.amedd.army.mil/index.cfm?pageid=Research_Protections.hrpo)).



*ORP HRPO-required language must be inserted into the consent form, and compliance with DoD regulations may require that additional information be included in the protocol.*

The ORP HRPO ensures that DoD-supported and/or -conducted research complies with specific DoD laws and requirements governing research involving human subjects. These laws and requirements may require information in addition to that supplied to the local IRB.

During the regulatory review process for research involving human subjects, the ORP HRPO requirements must be addressed, and any changes to the already approved protocol must be approved as an amendment by the local IRB. It is strongly recommended that investigators carefully read the “Information for Investigators” found at [https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.hrpo](https://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.hrpo). The time to approval depends greatly on adherence to the requirements described within. If the protocol has not been submitted to the local IRB at the time of award negotiation, these guidelines should be considered before submission.

Documents related to the use of human subjects or human anatomical substances will be requested if the application is recommended for funding. *Allow at least 2 to 3 months for regulatory review and approval processes for studies involving human subjects.*

Specific requirements for HRPO submission and review of research involving human subjects can be found at [https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.hrpo](https://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.hrpo).

- (1) **Assurance of Compliance:** Each institution engaged in non-exempt human subjects research must have a current Department of Health and Human Services Office for Human Research Protection (OHRP) Federalwide Assurance (FWA) or DoD Assurance.
- (2) **Training:** Personnel involved in human subjects research must have completed appropriate training in the protection of human subjects. Documentation confirming completion of appropriate training may be required during the regulatory review process.

**(3) Informed Consent Form:** The following must appear in the consent form:

- A statement that the U.S. DoD is providing funding for the study.
- A statement that representatives of the DoD are authorized to review research records.
- In the event that a Health Insurance Portability and Accountability Act (HIPAA) authorization is required, the DoD must be listed as one of the parties to whom private health information may be disclosed.

**(4) Intent to Benefit:** The requirements of 10 USC 980, which are applicable to DoD-sponsored research, must be considered. 10 USC 980 requires that “Funds appropriated to the Department of Defense may not be used for research involving a human being as an *experimental subject* unless (1) the informed consent of the subject is obtained *in advance*; or (2) in the case of research intended to be beneficial to the subject, the informed consent may be obtained from a legal representative for the subject.”

An individual not legally competent to provide informed consent (e.g., incapacitated individuals, cognitively impaired, minors) may not be enrolled as an ***experimental subject*** in a DoD-supported study unless the research is intended to benefit each subject enrolled in the study, to include subjects enrolled in study placebo arms. Studies designed in a manner that permits all subjects to potentially benefit directly from medical treatment or enhanced surveillance beyond the standard of care can meet the 10 USC 980 requirements. Note that the definition of ***experimental subject*** as defined in the DoDI 3216.02 is a much narrower definition of ***human subject***. Research with experimental subjects must involve an intervention or interaction where the primary purpose of the research is to collect data regarding the effects of the intervention or interaction.



***10 USC 980 is only applicable to certain intervention studies. It does not apply to retrospective studies, observational studies, studies that involve only blood draws, and tissue collections. Contact the HRPO at [usarmy.detrick.medcom-usamrmc.other.hrpo@mail.mil](mailto:usarmy.detrick.medcom-usamrmc.other.hrpo@mail.mil) if further clarification regarding applicability of 10 USC 980 to the proposed research project is required.***

**Research Monitor Requirement:** *For research determined to be greater than minimal risk, DoDI 3216.02 requires that the IRB approve, by name, an independent research monitor with expertise consonant with the nature of risk(s) identified within the research protocol.* The IRB must approve a written summary of the monitor’s duties, authorities, and responsibilities.

The research monitor’s duties should be based on specific risks or concerns about the research. The research monitor may perform oversight functions and report his/her observations and findings to the IRB or a designated official. The research monitor may be identified from within or outside the PI’s institution. Research monitor functions may include:

- Observing recruitment and enrollment procedures and the consent process for individuals, groups or units;
- Overseeing study interventions and interactions;

- Reviewing monitoring plans and Unanticipated Problems Involving Risk to Subjects or Others (UPIRTSO) reports; and/or
- Overseeing data matching, data collection, and analysis.

There may be more than one research monitor (e.g., if different skills or experiences are necessary). The monitor may be an ombudsman or a member of the data safety monitoring board. At a minimum, the research monitor:

- May discuss the research protocol with the investigators, interview human subjects, and consult with others outside of the study about the research;
- Shall have authority to stop a research protocol in progress, remove individual human subjects from a research protocol, and take whatever steps are necessary to protect the safety and well-being of human subjects until the IRB can assess the monitor's report; and
- Shall have the responsibility for promptly reporting his or her observations and findings to the IRB or other designated official and the HRPO.

A curriculum vitae or biographical sketch and documentation of human subjects protection training for the research monitor must be provided. There should be no apparent COI, and the research monitor cannot be under the supervision of the PI, other investigators, or research staff associated with the proposed research project. If the duties of the research monitor could require disclosure of subjects' Protected Health Information outside a covered entity (i.e., the research monitor is not an agent of the covered entity), the PI's institution may require the identity and location of the research monitor to be described in the study HIPAA authorization. It is acceptable to provide appropriate compensation to the research monitor for his or her services.

**1. Military Personnel Volunteers:** The following is important information for research projects proposing to include military personnel as volunteers.

- **Recruitment of Military Personnel:** Civilian investigators attempting to access military volunteer pools are advised to seek collaboration with a military investigator familiar with Service-specific requirements.

A letter of support from Commanders of military units in which recruitment will occur or the study will be conducted will be requested by the HRPO. Some military sites may also require that each volunteer seek written permission from their supervisor prior to participation in research studies.

Special consideration must be given to the recruitment process for military personnel. The Chain of Command must not be involved in the recruitment of military personnel and cannot encourage or order Service members to participate in a research study.

For greater than minimal risk research, an ombudsman must be employed when conducting group briefings with active duty personnel to ensure that volunteers understand that participation is voluntary; this ombudsman may be recommended in other situations as well, especially when young enlisted Service members, who by virtue of their age and enlistment status are trained to follow orders, are being

recruited. Service members are trained to act as a unit, so peer pressure should also be considered and minimized, if possible.

- **Payment to Federal Employees and Military Personnel:** Under 24 USC 30, payment to Federal employees and active duty military personnel for participation in research while on duty is limited to blood donation and may not exceed \$50 per blood draw. These individuals may not receive any other payment or non-monetary compensation for participation in a research study unless they are off duty or on leave during the time they are participating in the protocol.
- **Confidentiality for Military Personnel:** Confidentiality risk assessment for military personnel requires serious consideration of the potential to affect the military career. Medical and psychological diagnoses can lead to limitation of duties and/or discharge from active duty. Information regarding alcohol or drug abuse, drunk driving, and sexual or spousal abuse can lead to actions under the Uniform Code of Military Justice, including incarceration and dishonorable discharge.

2. **Site Visits:** The USAMRMC ORP HRPO conducts site visits as part of its responsibility for compliance oversight.

Accurate and complete study records must be maintained and made available to representatives of the USAMRMC as a part of their responsibility to protect human subjects in research. Research records must be stored in a confidential manner so as to protect the confidentiality of subject information.



*Additional information pertaining to the human subjects regulatory review process, guidelines for developing protocols, and suggested language for specific issues can be found at: [https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.hrpo](https://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.hrpo).*

3. **Protocol Submission Format:** The ORP HRPO accepts protocol submissions in the format required by the local IRB. The IRB protocol application, if separate from the protocol itself, should be included with protocol submissions. A HRPO protocol submission form should be completed and submitted with each protocol.

### C. Clinical Trial Registry

PIs are required to register clinical trials individually on <http://clinicaltrials.gov/> using a Secondary Protocol ID number designation of “CDMRP-eBRAP Log Number” (e.g., CDMRP-PC16#####). If several protocols exist under the same application, the Secondary Protocol ID number must be designated “CDMRP-eBRAP Log Number-A, B, C, etc.” (e.g., CDMRP-PC16#####-A). Clinical trials must be registered prior to enrollment of the first patient. All trials that meet the definition on the NIH database (see <http://prsinfo.clinicaltrials.gov/>, click on “Support Materials (including data element definitions)”) are required to register. Failure to do so may result in a civil monetary penalty and/or the withholding or recovery of grant funds as per U.S. Public Law 110-85.

#### **D. Research Involving Recombinant DNA Molecules**

The recipient assures that all work involving the use of recombinant DNA will be in compliance with guidance provided at [https://osp.od.nih.gov/wp-content/uploads/2013/06/NIH\\_Guidelines.pdf](https://osp.od.nih.gov/wp-content/uploads/2013/06/NIH_Guidelines.pdf).

## APPENDIX 2

### REPORTING REQUIREMENTS AND ADMINISTRATIVE INFORMATION

#### A. Reporting Requirements for Awards

The Government requires periodic reports to be submitted to continue the research and funding through the entire period of performance. Specific reports required by the Government will be described in each award and may include:

- Technical/Scientific:
  - Quarterly and/or annual progress reports
  - Monthly progress reports (at the discretion of the Grants Officer)
  - Final progress report
  - In-progress reviews
  - Quad Chart: The Quad Chart template is a one-page Word document or PowerPoint file that must be downloaded from eBRAP at <https://ebrap.org/eBRAP/public/Program.htm>, and completed for submission with the application.
  - Award Chart: The Award Chart template is a one-slide PowerPoint file that must be downloaded from eBRAP at <https://ebrap.org/eBRAP/public/Program.htm>, and completed for submission with the application.

USAMRMC research progress reporting requirements and instructions can be found at [https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_resources.technical\\_reporting](https://mrmc.amedd.army.mil/index.cfm?pageid=research_resources.technical_reporting).

- Fiscal (SF425 “Federal Financial Report”):
  - Quarterly or annual reports
  - Final report
- Regulatory:
  - Research Involving Human Subjects: For DoD awards that include funding to support research with human subjects, the USAMRMC’s HRPO requires submission of institutional continuing review reports and study event reports. Instructions are found at [https://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.hrpo](https://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.hrpo).
  - Research Involving Animals: For DoD awards that include funding to support animal studies, staff from the USAMRMC’s ACURO will contact the PI regarding submission requirements and deadlines. Questions related to ACURO review and approval should be directed to the ACURO central email account at [usarmy.detrick.medcom-usamrmc.other.acuro@mail.mil](mailto:usarmy.detrick.medcom-usamrmc.other.acuro@mail.mil).

The Government may request additional reports, which will be identified prior to the award.

## **B. Post-Award Organization and Principal Investigator Changes**

**Transfer of Award to New Organization:** Unless restricted by the specific Program Announcement, a change in organizational affiliation will be considered on a case-by-case basis by the USAMRAA Grants Officer. If approved, the PI's original organization will be required to agree to relinquish the award. The new organization will be required to resubmit the entire application on behalf of the PI, including regulatory documentation. Extended times for transfer may put the award funding at risk. A transfer will not, unless under extraordinary circumstances, be allowed for any organization that includes a study site/clinical trial at its location.

**Change in Principal Investigator:** Unless otherwise restricted, changes in PI will be allowed at the discretion of the USAMRAA Grants Officer, provided that the intent of the award mechanism is met.

## **C. Disclosure of Proprietary Information**

Do not include proprietary information in a pre-application or abstract. Proprietary information should only be included in a full application if necessary for evaluation.

Proprietary information submitted in an application may be disclosed outside the Government for the sole purpose of evaluation. Evaluators must agree that proprietary information in the application will be used for evaluation purposes only and will not be further disclosed or used. All applications may be subject to public release under the Freedom of Information Act (FOIA).

Applications for funded projects will be subject to public release under the FOIA to the extent that they are incorporated into an award document; applications that are not selected for funding will not be subject to public release.

## **D. Marking of Proprietary Information**

Conspicuously and legibly mark any proprietary information that is included in the application.

## **E. Inquiry Review**

If an application is not recommended for funding, the organization or PI may submit an inquiry within 15 business days after the notification email is sent. Inquiries submitted after 15 business days will not be considered.

The inquiry must specifically address a factual or procedural error that is believed to have occurred during review of the application. Inquiries in response to funding recommendations should be submitted to the USAMRAA Grants Officer through the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org). An inquiry review panel will determine whether an error occurred in either peer or programmatic review and, if so, recommend corrective action where appropriate. The determination of an error in the review process is not a guarantee of funding. Considering the recommendation of the inquiry review panel, a final determination will be made by the USAMRAA Grants Officer and is not subject to appeal. Questions related to the inquiry review



process prior to or after submitting an inquiry should be directed to the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org).

## **F. Information Service**

Applicants may use the technical reference facilities of the National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161; telephone: 703-605-6000 ([www.ntis.gov](http://www.ntis.gov)) to acquire information of existing research to avoid duplication of scientific and engineering effort.

## **G. Freedom of Information Act Requests**

The FOIA (5 USC 552) provides a statutory basis for public access to official Government records. "Records" are defined to include documentation received by the Government in connection with the transaction of public business. Records must be made available to any person requesting them unless the records fall under one of nine exceptions to the Act ([www.usdoj.gov/oip/index.html](http://www.usdoj.gov/oip/index.html)).

When an FOIA request asks for information contained in a successful application that has been incorporated into an award document, the submitter will be contacted and given an opportunity to object to the release of all or part of the information that was incorporated. A valid legal basis must accompany each objection to release. Each objection will be evaluated by USAMRMC in making its final determination concerning which information is or is not releasable. If information requested is releasable, the submitter will be given notice of USAMRMC's intent to release and will be provided a reasonable opportunity to assert available action.

## **H. Information Release**

A recipient of an award will be required to agree to the release of information pertaining to the research and development supported by the Federal agency. "Information" includes but is not limited to news releases, articles, manuscripts, brochures, advertisements, still and motion pictures, speeches, trade association meetings, and symposia.

The following statements must be included in all information releases:

- (1) All releases shall identify the award number and include a statement acknowledging the Federal sponsoring agency. The release shall also contain a statement that the opinions, interpretations, conclusions, and recommendations are those of the author and are not necessarily endorsed by the DoD. The requirement with specific language will be included in the award notice. Below is an example:

"This work was supported by the Office of the Assistant Secretary of Defense for Health Affairs and the Defense Health Agency J9, Research and Development Directorate, through the (*insert program name*) under Award No. (W81XWH-18-1-XXXX). Opinions, interpretations, conclusions and recommendations are those of the author and are not necessarily endorsed by the Department of Defense."

- (2) “In conducting research using animals, the investigator(s) adheres to the laws of the United States and regulations of the Department of Agriculture.” Include required assurances, approvals, documents and information specified on the ACURO website. ([http://mrmc.amedd.army.mil/index.cfm?pageid=research\\_protections.acuro](http://mrmc.amedd.army.mil/index.cfm?pageid=research_protections.acuro))
- (3) “In the conduct of research utilizing recombinant DNA, the investigator adhered to NIH Guidelines for research involving recombinant DNA molecules.” (<http://www.nih.gov>)
- (4) “In the conduct of research involving hazardous organisms or toxins, the investigator adhered to the CDC-NIH Guide for Biosafety in Microbiological and Biomedical Laboratories.” (<http://www.cdc.gov/biosafety>)

***Failure to include the above statements and adhere to the above regulations, when required, may result in loss of funding.***

### **I. Contracted Fundamental Research**

Any awards to universities or industry and funded by Basic Research funds (6.1), or to universities for on-campus research and funded by Applied Research funds (6.2), meet the DoD definition of “Contracted Fundamental Research.” The results of this research are to be unrestricted to the maximum extent possible. The research shall not be considered fundamental in those rare and exceptional circumstances where the 6.2-funded effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the award.

### **J. Sharing of Application Information**

The CDMRP shares application information with other Federal funding agencies (e.g., NIH, National Science Foundation, Department of Veterans Affairs) to inform funding priorities and decisions, and to increase transparency. In addition, award data are made available to the public through the CDMRP website and to other organizations such as the International Cancer Research Partnership. By sharing and leveraging this information, duplication of very expensive and time-consuming efforts can be avoided, allowing for the support of more investigators with Federal funds. The CDMRP believes that such sharing allows for a more expeditious translation of research results into knowledge, products, and procedures to improve human health. Updates on CDMRP-funded awards including awardee information and published results are shared on the Defense Technical Information Center (DTIC).

### **K. Sharing of Data and Research Resources**

Data and research resources generated by funded research should be made available to the research community (which includes both scientific and consumer advocacy communities), and to the public. The expectations for sharing of data and research resources apply to all basic research, clinical studies, surveys, and other types of research funded by the Program Announcement. This includes all data and research resources generated during the project’s period of performance as annotated in the assistance agreement:

- **Unique Data** are defined as data that cannot be readily replicated. Examples of unique data include large surveys that are expensive to replicate; studies of unique populations, such as patients to whom access is not widely available; studies conducted at unique times, such as during military conflict; studies of rare phenomena, such as rare diseases. (Adapted from [http://grants.nih.gov/grants/policy/data\\_sharing/data\\_sharing\\_guidance.htm#unique](http://grants.nih.gov/grants/policy/data_sharing/data_sharing_guidance.htm#unique).)
- **Final Research Data** are defined as recorded factual material commonly accepted in the scientific community as necessary to document and support research findings. These are not the summary statistics or tables; rather, final research data are the data on which summary statistics and tables are based. Final research data do not include laboratory notes or notebooks, partial datasets, preliminary analyses, drafts of scientific papers, plans for future research, peer review reports, communications with colleagues, or physical objects, such as gels or laboratory specimens. (Adapted from [http://grants.nih.gov/grants/policy/data\\_sharing/data\\_sharing\\_guidance.htm#unique](http://grants.nih.gov/grants/policy/data_sharing/data_sharing_guidance.htm#unique).)
- **Research Resources** include, but are not limited to, the full range of tools that scientists and technicians use in the laboratory, such as cell lines, antibodies, reagents, animal models, growth factors, combinatorial chemistry, DNA libraries, clones and cloning tools, methods, laboratory equipment and machines. (Adapted from [https://grants.nih.gov/grants/intell-property\\_64FR72090.pdf](https://grants.nih.gov/grants/intell-property_64FR72090.pdf).)

*Data and research resources generated from CDMRP-funded research should be made as widely available as possible while safeguarding the privacy of participants and protecting confidential and proprietary data and third-party intellectual property.*

By sharing and leveraging data and research resources, duplication of very expensive and time-consuming efforts can be avoided, allowing for the support of more investigators with Federal funds. The USAMRMC believes that such sharing allows for a more expeditious translation of research results into knowledge, products, and procedures to improve human health. Depending on the Program Announcement, the PI may be required to participate in the following:

- **Traumatic Brain Injury:** If the project includes traumatic brain injury (TBI) research, the PI may be required to make TBI data generated via an award available to the research community by depositing de-identified research data into the Federal Interagency TBI Research (FITBIR) Informatics System (<https://fitbir.nih.gov>).
- **Clinical Trials:** If the project includes a clinical trial(s), the PI may be required to register the clinical trial(s) individually on the registry and database ClinicalTrials.gov (<https://www.clinicaltrials.gov/>).
- **Systems Biology:** If the project includes systems biology (SB)-related research, the PI may be required to make SB data, generated via an award, available to the research community by depositing research data into the SysBioCube system (<https://sysbiocube-abcc.ncifcrf.gov/>).

Application information may be shared with other Federal funding agencies (e.g., NIH, National Science Foundation, Department of Veterans Affairs) to inform funding priorities and decisions, and to increase transparency. In addition, award data are made available to the public through

the web and to other organizations such as the International Cancer Research Partnership. By sharing and leveraging this information, duplication of very expensive and time-consuming efforts can be avoided, allowing for the support of more investigators with Federal funds. Updates on awards, including awardee information and published results, are shared on DTIC.

For additional information on CDMRP's expectations and policies for data-sharing, refer to the document titled "Policy on Sharing Data & Research Resources," available on eBRAP under Resources and Reference Material at <https://ebrap.org/eBRAP/public/Program.htm>. For unique data-sharing guidelines and requirements, refer to the instructions in the specific Program Announcement.

## **L. Property/Equipment**

Unless otherwise specified in the award, the title to equipment or other tangible property acquired with Government funds will vest in institutions of higher education or with non-profit organizations whose primary purpose is conducting scientific research. Normally, the title will vest in the recipient if vesting will facilitate scientific research performed by the organization for the Government. Title to equipment or other tangible property acquired by for-profit organizations will conditionally vest in the organization subject to the requirements of the Department of Defense Grant and Agreement Regulations (DoDGAR), Part 34.21. However, if the award is subsequently transferred to a new organization, the DoD reserves the right to require the transfer of equipment acquired with the award funds to the Federal Government or to an eligible third party.

## **M. Title to Inventions and Patents**

In accordance with the Bayh-Dole Act (35 USC 200 et seq.), the recipient and collaborators may elect to retain title to their subject inventions, but the U.S. Government shall, at a minimum, retain non-exclusive rights for the use of such inventions. Instructions in the assistance agreement concerning subject inventions must be followed.

## APPENDIX 3 QUALIFICATION INFORMATION

### A. Recipient Qualification

To protect the public interest, the Federal Government ensures the integrity of Federal programs by conducting business with qualified recipients only. To be qualified according to the standards of DoDGAR 22.415, a potential recipient must (1) have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement, (2) have a satisfactory record of executing such programs or activities, if it is a prior recipient of an award; (3) have a satisfactory record of integrity and business ethics; and (4) be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations (see DoDGAR 22.420(c)).

The USAMRMC utilizes the Exclusions within the Performance Information functional area of SAM to identify individuals and organizations unqualified to receive Federal awards. More information about Exclusions reported in SAM is available at <https://www.sam.gov/portal>. The USAMRMC also reviews and considers information about the applicant in the Office of Management and Budget (OMB)-designated integrity and performance system, currently the Federal Awardee Performance and Integrity Information System (FAPIS), prior to making an award, as described in the Program Announcement, Section E.3.

### B. J-1 Visa Waiver

Each organization, including organizations located outside of the United States, are responsible for ensuring that the personnel associated with any application recommended for funding are able to complete the work without intercession by the DoD for a J-1 Visa Waiver on behalf of a foreign national in the United States under a J-1 Visa.

***Note: The Federal Government will not provide funds to support scientists from countries meeting the criteria for designation as a State Sponsor of Terrorism (<http://www.state.gov/j/ct/list/c14151.htm>). Additional information on J-1 Visa Waivers can be located at the following Department of State website: [travel.state.gov/visa/temp](http://travel.state.gov/visa/temp).***

### C. Conflict of Interest

An organization must disclose in writing any potential or actual conflicts of interest to the Federal awarding agency or pass-through entity. If recommended for award, the recipient will be contacted by a Grants Officer to disclose any potential or actual COIs, including those that could bias research results, along with a plan to manage them. An award may not be made if it is determined by the Grants Officer that a COI cannot be managed.

#### **D. Post-Employment Restrictions**

There are certain post-employment restrictions on former Federal officers and employees as defined in 18 USC 207. Post-employment restrictions may exist if a former Federal officer or employee participates in the proposed project; the situation should be discussed with the USAMRMC legal staff (301-619-6598) prior to expending time and effort in preparation of an application.

## APPENDIX 4 FORMATTING GUIDELINES

All pre-application and application documents must be legible and should conform to the formatting guidelines described below. The font size, spacing, page size, and margins may differ among the word processing, PDF, and printed versions. These guidelines apply to the document properties of the electronic version of the PDF file(s) as viewed on a computer screen.

- **Document Format:** Each attachment to the full application forms must be uploaded as an individual file in the format specified in the Program Announcement. All contributors to the application must use matching compatible versions of Adobe software for all PDF documents when editing and preparing application components. The use of different software versions will result in corruption of the submitted file.
- **Font Size:** 12 point, not condensed.
- **Font Type:** Times New Roman.
- **Spacing:** Single space or no more than six lines of type within a vertical inch (2.54 cm).
- **Page Size:** No larger than 8.5 inches x 11.0 inches (21.59 cm x 27.94 cm).
- **Margins:** At least 0.5 inch (1.27 cm) in all directions.
- **Print Area:** 7.5 inches x 10.0 inches (19.05 cm x 25.40 cm).
- **Color, High-Resolution, and Multimedia Objects:** Project narratives and pre-application files may include color, high-resolution, or multimedia objects (e.g., MPEG, WAV, or AVI files) embedded in the PDF files; however, these objects should not exceed 15 seconds in length and a size of 10 MB. Photographs and illustrations must be submitted in JPEG format; bit map and TIFF formats are not allowed. Please note that these types of objects are not allowed in the technical and public abstracts.
- **Scanning Resolution:** 100 to 150 dots per inch.
- **Internet URLs:** URLs directing reviewers to websites that contain additional information about the proposed research are not allowed in the application or its components. Inclusion of such URLs may be perceived as an attempt to gain an unfair competitive advantage. However, links to publications referenced in the application are encouraged.
- **Language:** All documents must be submitted in English, unless otherwise specified in the Program Announcement (e.g., foreign transcripts submitted with English translations).
- **Headers and Footers:** Should not be used. Pre-existing headers and footers on required forms are allowed.
- **Page Numbering:** Should not be used.
- **Recommended Attachment Size:** Individual attachments should be no larger than 20 MB. *If the file size for the entire Grants.gov application package will or may exceed 200 MB, applicants should contact the Grants.gov Contact Center ([support@grants.gov](mailto:support@grants.gov)) for written confirmation that the file will be accepted or for other guidance.*

## **APPENDIX 5 NATIONAL POLICY REQUIREMENTS**

The National Policy Requirements are available in full text at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx> and at <https://www.usamraa.army.mil/Pages/Resources.aspx>. For additional regulatory requirements regarding safety, surety, and environmental requirements, and for use of animal and human subjects in research, refer to this General Applications Instructions, Appendix 1.

### **A. Certification**

Certification of compliance with the national policy requirement regarding lobbying activities is required from all recipients of awards over \$100,000. Submission of this certification is required by 31 USC 1352 and is a prerequisite for making or entering into an award over \$100,000. Complete SFLLL (Disclosure of Lobbying Activities), if applicable, and attach to Block 18 of SF424 (R&R) (Application for Federal Assistance) Form.

#### **Certification for Contracts, Grants, Loans, and Cooperative Agreements**

By signing an application, the applicant certifies, to the best of his or her knowledge and belief, that:

- (1) No Federally appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, and the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SFLLL (Disclosure of Lobbying Activities), in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 1352 USC 31. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.



## **B. Representations**

All extramural applicants are required to complete the representations below and submit with each application. The form for completion and submission is posted in eBRAP (<https://ebrap.org/eBRAP/public/Program.htm>). Upload the form into Grants.gov under Attachments.

### **Representations Regarding Unpaid Federal Tax Liabilities and Conviction of Felony Criminal Violations under Any Federal Law**

At the time of application submission, the applicant organization represents that it:

- (1) Is \_\_\_ is not \_\_\_\_\_ a Corporation (“Corporation” means any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation). If the organization IS a corporation, complete (2) and (3) below.
- (2) Is \_\_\_\_\_ is not \_\_\_\_\_ a Corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.
- (3) Is \_\_\_ is not \_\_\_\_\_ a Corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If the applicant organization responds in the affirmative to either (2) or (3) of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official has considered suspension or debarment and determined that further action is not required to protect the Government’s interests. The applicant organization therefore will be required to provide information about its tax liability and/or conviction, upon request, to the Grants Officer, to facilitate completion of the required consideration before award decisions are made.

In accordance with DoD appropriations, the following representation is required. The applicant, by its signature on the SF424 (R&R), represents:

### **Representation Regarding the Prohibition on Using Funds Under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements.**

By submission of its application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, or subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. Note that (1) the basis for this representation is a prohibition in Section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Public Law 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) Section 743 states that it does not contravene requirements applicable to

Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

### **National Policy Requirements**

The recipient must comply with the following requirements, as applicable. References entitled “Effective November 2015: National Policy Requirements” are available on <http://www.usamraa.army.mil/>.

- Nondiscrimination
- Environmental Standards
- Live Organisms (Human Subjects and Animals)
- Debarment and Suspension
- Drug-Free Workplace
- Lobbying
- Officials Not to Benefit
- Hatch Act
- Native American Graves Protection and Repatriation Act
- Fly America Act
- Use of United States Flag Vessels
- Research Misconduct
- Requirements for an Institution of Higher Education Concerning Military Recruiters and Reserve Officer Training Corps
- Historic Preservation
- Relocation and Real Property Acquisition
- Confidentiality of Patient Records
- Pro-Children Act
- Constitution Day
- Trafficking in Persons
- Whistleblower Protections

## **APPENDIX 6 ACRONYM LIST**

A&R	Alteration and Renovation
ACURO	Animal Care and Use Review Office
ADP	Automated Data Processing
AOR	Authorized Organizational Representative
APAN	Assistance/Procurement Advisory Notice
AVI	Audio Video Interleave
CAGE	Commercial and Government Entity
CDC	Centers for Disease Control and Prevention
CDMRP	Congressionally Directed Medical Research Programs
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
COI	Conflict of Interest
CRADA	Cooperative Research and Development Agreement
DA PAM	Department of the Army Pamphlet
DHHS	Department of Health and Human Services
DoD	Department of Defense
DoDI	Department of Defense Instruction
DoDGAR	Department of Defense Grant and Agreement Regulations
DTIC	Defense Technical Information Center
DUNS	Data Universal Numbering System
eBRAP	electronic Biomedical Research Application Portal
EIN	Employer Identification Number
F&A	Facilities and Administrative
FAPIIS	Federal Awardee Performance and Integrity Information System
FAR	Federal Acquisition Regulation
FDA	U.S. Food and Drug Administration
FITBIR	Federal Interagency Traumatic Brain Injury Research
FMR	Financial Management Regulation
FOIA	Freedom of Information Act
FR	Federal Register
FWA	Federalwide Assurance
G&A	General and Administrative
GSA	General Services Administration
HIPAA	Health Information Portability and Accountability Act
HRPO	Human Research Protection Office
IACUC	Institutional Animal Care and Use Committee
IRB	Institutional Review Board
JPEG	Joint Photographic Experts Group
MB	Megabyte
MPEG	Moving Picture Experts Group
NATO	North Atlantic Treaty Organization
NCAGE	NATO Commercial and Government Entity
NIH	National Institutes of Health
OHRP	Office for Human Research Protection

OMB	Office of Management and Budget
ORP	Office of Research Protections
PARC	Principal Assistant Responsible for Contracting
PD	Project Director
PDF	Portable Document Format
PI	Principal Investigator
POC	Point of Contact
R&R	Research and Related
RDT&E	Research, Development, Test and Evaluation
RM	Resource Management
SAM	System for Award Management
SB	Systems Biology
SF	Standard Form
SFLLL	Standard Form LLL
SOW	Statement of Work
TBI	Traumatic Brain Injury
TIFF	Tagged Image File Format
TIN	Tax Identification Number
UPIRTSO	Unanticipated Problems Involving Risk to Subjects or Others
URL	Uniform Resource Locator
USAMRAA	U.S. Army Medical Research Acquisition Activity
USAMRMC	U.S. Army Medical Research and Materiel Command
USC	United States Code
WAV	Waveform Audio