

**Program Announcement**

**Department of Defense (DOD) Amyotrophic Lateral Sclerosis Research Program (ALSRP)**

**Funding Opportunity Number: W81XWH-07-ALSRP-TDA**

**Therapeutic Development Award**

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## I. HELPFUL INFORMATION

### A. Agency Name

US Army Medical Research and Materiel Command (USAMRMC), Office of the Congressionally Directed Medical Research Programs (CDMRP), 1077 Patchel Street, Fort Detrick, Maryland 21702-5024.

### B. Agency Contact(s)

**1. Program announcement, proposal format, or required documentation:** Principal Investigators (PIs) and Authorized Organizational Representatives (AORs; see [Appendix 2](#)) should submit questions as early as possible. However, response times will vary depending upon the volume of inquiries. Every effort will be made to answer questions within 5 working days.

Phone: 301-619-7079  
Fax: 301-619-7792  
Email: [cdmrp.pa@amedd.army.mil](mailto:cdmrp.pa@amedd.army.mil)

**2. eReceipt system:** A help line for questions relating to the submission of pre-application components through the CDMRP eReceipt system is available Monday through Friday from 8:00 a.m. to 5:00 p.m. Eastern time at 301-682-5507. However, response times will vary depending upon the volume of inquiries. Help also is available on the CDMRP website or by email as follows:

Website: <https://cdmrp.org>  
Email: [help@cdmrp.org](mailto:help@cdmrp.org)

**3. Grants.gov:** Issues in submitting applications through the [Grants.gov](#) (<http://www.grants.gov/>) portal should be directed to Grants.gov at 800-518-4726 or email [support@grants.gov](mailto:support@grants.gov). The Grants.gov hours of operation are Monday through Friday, 7:00 a.m. to 9:00 p.m. Eastern time. Deadlines for proposal submission are set at 11:59 p.m. Eastern Time on the deadline date. Therefore, there is an approximate 3-hour period during which the Grants.gov Help Desk will NOT be available to assist with Grants.gov submissions. Please plan ahead accordingly, as the CDMRP Help Desk is not able to answer questions about Grants.gov submissions.

You may be able to submit a proposal to [Grants.gov](#) after the deadline and you will receive a message that your application is being processed. You will, however, receive at a later date notification that your proposal was late and will not be accepted.

*Grants.gov will only notify the PI of changes made to this Program Announcement and/or Application Package if the PI clicks on the “send me change notification emails” link and subscribes to the mailing list on the Opportunity Synopsis Page for this announcement. Please note that if the PI does not subscribe and the Application Package is updated or changed, the original version of the Application Package may not be accepted.*

### **C. Anticipated Instrument Type(s)**

The USAMRMC implements its extramural research program predominantly through the award of grants and cooperative agreements. More information on these funding instruments may be obtained by request via:

Fax: 301-619-2937  
Email: [qa.baa@amedd.army.mil](mailto:qa.baa@amedd.army.mil)

### **D. Catalog of Federal Domestic Assistance (CFDA) Number 12.420**

Military Medical Research and Development.

### **E. Commonly Made Mistakes**

- Pre-application submission is not completed before the mandatory pre-application deadline (pre-application remains in draft status).
- Failure to request updates on any modifications made to the application package.
- Incorrect application package or award mechanism is used to submit a proposal through Grants.gov.
- Attachments are uploaded into the incorrect form on Grants.gov.
- Files are attached in the wrong location on Grants.gov forms.
- Attachments are not PDF documents.
- Page limitations are exceeded.
- DUNS number is not confirmed well before the proposal deadline.
- Responses by Grants.gov helpdesk may not occur in time for the proposal deadline.
- Failure to submit proposal by receipt deadline.

### **F. Grant Writing**

The USAMRMC offers Grant Writing technical assistance through a tutorial entitled “Writing Competitive Proposals”. The tutorial can be accessed at <http://www.mrmc.smallbusopps.army.mil/tutorial/index.htm>; select Writing Competitive Proposals.

## II. FUNDING OPPORTUNITY DESCRIPTION

Funding of proposals received in response to this program announcement is contingent on the availability of Federal funds appropriated in a bill for this program.

### A. Award Description

The Amyotrophic Lateral Sclerosis Research Program (ALSRP) Therapeutic Development Award supports the preclinical assessment of therapeutics for amyotrophic lateral sclerosis (ALS). The overall goal of this award mechanism is to promote the introduction of improved therapies for ALS by encouraging ALS investigators to undertake preclinical studies of novel and existing agents. The Therapeutic Development Award is restricted to research in ALS. The proposed studies are expected to be empirical in nature and product-driven, but they may have a hypothesis-driven approach provided the focus is on therapeutics. It is anticipated that the agents, and/or data generated from these awards will lead to the advancement of therapeutics for ALS.

Please note that the Therapeutic Development Award mechanism is designed to support *preclinical testing of therapeutics* for ALS. Studies focused on basic science research (i.e., not therapeutic studies) do not meet the intent of the award mechanism. Additionally, *clinical trials will not be supported*.

*Therapeutic Development Award proposals are limited to the areas of programmatic interest listed below. Proposals must focus on one or more of these areas to be considered for funding. Proposals that do not focus on at least one of the following areas will be administratively withdrawn.*

- Development and/or validation of high-throughput screens to define targets with therapeutic potential or identify lead agents for ALS treatment and be an asset for the ALS research community;
- Development, modification, and/or validation of preclinical model systems in order to assess by pharmacological and/or pharmacokinetic testing lead compounds and potential therapeutics in addition to serving as an improved tool for the ALS research community;
- Development of pharmacologic agents through Adsorption, Distribution, Metabolism, Excretion and Toxicity (ADMET) phase;
- Design and implementation of full-scale, pilot current Good Manufacturing Practice (cGMP) production of therapeutics and/or delivery systems for use in advanced preclinical and initial clinical trials;
- Development of pharmacologic agents to the Investigational New Drug (IND) stage in order to initiate Phase 1 clinical trials after the award's completion.

Proposals must include *preliminary data* relevant to the phase(s) of the preclinical development process covered by the proposed research. The proposal should include a clear statistical plan of analysis if appropriate.

The preclinical drug development process may require resources beyond those available at a single institution. Therefore, ***Therapeutic Development Awards are open to investigators participating in synergistic collaborations focused on identifying and/or testing lead agents for the treatment of ALS.*** Collaborations should be dedicated to a single, synergistic preclinical development project or study rather than an additive set of subprojects (i.e., the combined efforts of the collaboration must provide greater benefit than the sum of individual research initiatives). ***If a collaboration is proposed, letters confirming/supporting collaboration are required.*** If the collaboration is multi-institutional, participating institutions will ensure the success of the collaboration by resolving potential intellectual and material property issues and by removing institutional barriers that might interfere with achieving high levels of cooperation. A proposed means to resolve these issues must be delineated in the [Intellectual and Material Property Plan](#). Also, due to the nature of the work involved in the development process, biotechnology or pharmaceutical companies are welcome to apply. Whether a biotechnology or pharmaceutical company applies for this mechanism as an individual submitter or as part of a collaboration, the company is expected to leverage its own resources to complement the funding provided for the study by this award.

***It is the responsibility of the Principal Investigator (PI) to clearly and explicitly articulate what impact the project may have on the field of ALS research and/or therapeutic development.***

## **B. Eligibility**

Investigators at all academic levels (or equivalent) are eligible to submit proposals. Additional information about individual and institutional eligibility may be found in [Appendix 1](#).

## **C. Funding**

Funding for a Therapeutic Development Award can be requested for up to \$4,370,000 inclusive of direct and indirect costs for up to a 4 year performance period. ***Priority will be given to smaller-scale, cost-efficient projects with well-defined endpoints.*** Therefore, projects requiring lower levels of funding and/or a shorter performance period may also be submitted. When an applicant institution calculates its own indirect costs for subawards, it can only charge indirect costs on the first \$25,000 of each subaward.

Funds can cover:

- salary
- research supplies
- equipment
- consultation with scientific and/or technical experts (e.g., statisticians, editors)
- clinical costs
- travel to scientific/technical meetings
- travel between collaborating institutions

The nature of the ALSRP does not allow for renewal of grants or supplementation of existing grants. Projects requiring lower levels of funding may also be submitted.

*The CDMRP expects to allot \$4.37 million (M) of the \$5M Fiscal Year 2007 (FY07) ALSRP monies to fund approximately 1-3 Therapeutic Development Award proposals, depending on the quality and number of proposals received.*

#### **D. Award Administration**

Changes in PI, institution, and/or Statement of Work will only be allowed in extenuating circumstances and at the discretion of the Grants Officer, provided that the intent of the award mechanism is met.

#### **E. Timeline for Submission and Review**

Proposal submission is a two-step process consisting of (1) pre-application submission and (2) proposal submission. *Pre-application submission is a required first step.*

- **Pre-application Submission Deadline:** 5:00 p.m. Eastern time, November 7, 2007
- **Invitation to Submit Proposal:** November 21, 2007
- **Proposal Submission Deadline:** 11:59 p.m. Eastern time, January 23, 2008
- **Peer Review:** February 2008
- **Programmatic Review:** March 2008

Awards will be made approximately 4 to 6 months after receiving the funding notification letter, but no later than September 30, 2008.

*Please note that [Grants.gov](http://Grants.gov) may take at least 48 hours to process your proposal submission and to notify you of any errors. It is strongly recommended that you submit your application as early as possible to allow sufficient time for error correction.*

*You may be able to submit a proposal to [Grants.gov](http://Grants.gov) after the deadline and you will receive a message that your application is being processed. You will, however, receive at a later date notification that your proposal was late and will not be accepted by [Grants.gov](http://Grants.gov).*

### **III. PROGRAM HISTORY AND OBJECTIVES**

The ALSRP was established in FY07 to promote Amyotrophic Lateral Sclerosis research. Funding of the ALSRP for FY07 totaled \$5M. The Therapeutic Development Award mechanism is being offered for the first time in FY07.

The overall objective of the FY07 ALSRP is to aid in the development of better treatments for ALS. With this in mind, the Therapeutic Development Award is being offered to support preclinical testing of therapeutics for ALS.

#### IV. SUBMISSION PROCESS STEP 1: PRE-APPLICATION SUBMISSION

Proposal submission is a two-step process consisting of (1) a pre-application submission through the [CDMRP eReceipt system \(https://cdmrp.org/\)](https://cdmrp.org/) and (2) a proposal submission through [Grants.gov \(http://www.grants.gov/\)](http://www.grants.gov/).

This section describes the process for pre-application submission. For proposal submission, see [Section V](#). ***Proposal submission will not be accepted unless you receive a letter of invitation.*** The PI and Organization identified in the proposal submitted through Grants.gov should be the same as those identified in the pre-application. If there is a change in PI or Organization after submission of the pre-application, please contact the eReceipt helpdesk at [help@cdmrp.org](mailto:help@cdmrp.org) or 301-682-5507.

*For assistance, please see Help Line Information ([Section I](#)).*

##### A. Pre-application Components and Submission

The pre-application for a Therapeutic Development Award consists of a Preproposal Narrative and the other components discussed below. This subsection provides a summary of the pre-application submission requirements.

All pre-application components for the ALSRP Therapeutic Development Award mechanism, including the Preproposal Narrative, must be submitted electronically through the [CDMRP eReceipt system](#) by **5:00 p.m. Eastern time, November 7, 2007 deadline**. Material submitted after the pre-application submission deadline, unless specifically requested by the Government, will not be forwarded for processing. Failure to meet this deadline shall result in pre-application rejection and subsequent proposal rejection. ***Do not submit a proposal to the FY07 ALSRP Therapeutic Development Award mechanism unless you receive a letter of invitation.***

- 1. Proposal Information:** The PI must enter the Proposal Information as described in the [CDMRP eReceipt system](#) before continuing the pre-application.
- 2. Proposal Contacts:** Enter contact information for the PI and AOR. Please see [Appendix 2](#) for the definition of an AOR.
- 3. Collaborators and Conflicts of Interest (COI):** To avoid COI during the screening and review processes, list the names of all scientific participants in the proposed research project including collaborators, consultants, and subawardees. Add all individuals outside of the proposal who may have a conflict of interest in the review of this proposal and choose “COI” from the drop-down list to indicate a conflict of interest. Inclusion of FY07 ALSRP Integration Panel members in any capacity in the proposal, budget, or any supporting document is considered a conflict of interest and will result in administrative withdrawal of the proposal. A list of the FY07 ALSRP IP members may be found at <http://cdmrp.army.mil/pubs/press/2007/07alsrpfunding>
- 4. Preproposal Narrative:** The Preproposal Narrative has a **five-page limit** inclusive of figures, tables, graphs, photographs, diagrams, chemical structures, pictures, pictorials, cartoons, and other information needed to judge the preproposal. The narrative should

address the preproposal screening criteria. Internet URLs directing reviewers to websites containing significant additional information about the proposed research are not allowed in the Preproposal Narrative or the pre-application components. Inclusion of such URLs may be perceived as an attempt to gain an unfair competitive advantage. Links to publications referenced in the Preproposal Narrative are allowed.

**5. Pre-Application Supporting Documentation:** Submit only material specifically requested or required in this FY07 ALSRP Program Announcement. *This section is not intended for additional figures, tables, graphs, photographs, diagrams, chemical structures, pictures, pictorials, cartoons, or other information needed to judge the pre-application.* Submitting material that was not requested may be construed as an attempt to gain a competitive advantage and such material will be removed; submitting such material may be grounds for administrative rejection of the pre-application.

Supporting documentation must be uploaded as a single PDF file under the “Required Files” tab of the [CDMRP eReceipt system](#). The items to be included as supporting documentation are:

**a. References: Start section on a new page; two-page limit.** List all relevant references using a standard reference format that includes the full citation (i.e., author(s), year published, title of reference, source of reference, volume, chapter, page numbers, and publisher, as appropriate).

**b. Biographical Sketches: Four-page limit per individual.** Include biographical sketches for all key personnel including collaborating investigators. These documents are a critical component of the review process. Incomplete or missing biographical sketches may result in a lower pre-application ranking. A biographical sketch template is provided as [Form 1](#).

**c. Letters of Collaboration:** Include letter(s) of collaboration in cases where the research will be a collaborative effort between two or more institutions.

**6. Formatting Guidelines and Submission:** All pre-application documents must be individual PDF files, in accordance with the [formatting guidelines](#) specified in [Appendix 4](#), and uploaded under the “Required Files” tab of the [CDMRP eReceipt system](#).

**7. PI’s Responsibility:** The PI is responsible for uploading the pre-application documents as individual PDF files under the “Required Files” tab of the [CDMRP eReceipt system](#). The electronic PDF files uploaded in the [CDMRP eReceipt system](#) comprise the official pre-application submission. After conversion of word processing documents to PDF files and before electronic submission, the PI should review their files to ensure that the pre-application complies with the [formatting guidelines](#).

**8. AOR Approval:** The pre-application does not require approval by the AOR before submission. Please see [Appendix 2](#) for the definition of an AOR.

**9. Administrative Compliance Issues:** Compliance guidelines have been designed to ensure the presentation of all pre-applications in an organized and easy-to-follow manner.

Reviewers expect to see a consistent, prescribed format for each pre-application. *Failure to adhere to [formatting guidelines](#) makes pre-applications difficult to read, may be perceived as an attempt to gain an unfair competitive advantage, and may result in pre-application rejection.* The entire pre-application *will* be administratively rejected prior to screening if at the pre-application submission deadline:

- Preproposal Narrative exceeds page limit.
- Font size is less than 12 point.
- Margins are less than specified in the formatting guidelines.
- Spacing is less than specified in the formatting guidelines.
- Print area exceeds that specified in the formatting guidelines.
- Page size is greater than specified in the formatting guidelines.
- FY07 ALSRP Integration Panel members are included in any capacity in the preapplication process, including all supporting documentation. A list of FY07 ALSRP Integration Panel members may be found at <http://cdmrp.army.mil/pubs/press/2007/07alsrpfunding>

For any other sections of a pre-application (including supporting documentation) with a defined page limit, any pages exceeding the specified limit will be removed from the pre-application and not forwarded for screening. Material submitted after the pre-application submission deadline, unless specifically requested by the Government, will not be forwarded for screening.

## **B. Pre-Application Screening**

Pre-applications will be screened by the ALSRP Integration Panel, composed of scientists, clinicians, and consumer advocates. The pre-application screening criteria are as follows:

- 1. Research Strategy and Objectives:** How the scientific rationale supports the project and its feasibility.
- 2. Impact:** How the project will make an important contribution to ALS research and/or therapeutic development.
- 3. PI and Key Personnel:** The appropriateness of the research team's background and expertise with respect to its ability to perform the proposed work. Appropriateness of the levels of effort to successfully conduct the proposed work.

PIs who submit pre-applications that convey research aligned with the intent of the FY07 ALSRP objectives and priority areas will be invited to submit proposals. *Do not submit a proposal to the FY07 ALSRP Therapeutic Development Award mechanism unless you receive a letter of invitation.*

### **C. Notification Information**

PIs will receive notification of invitation to submit a proposal for the *Therapeutic Development Award*. PIs who are invited to submit a proposal will receive an email with instructions for downloading the completed pre-application file (in XML format) from the [CDMRP eReceipt system](#). This file should be attached to form SF424 in Block 20 - Pre-application as part of proposal submission through Grants.gov.

## V. SUBMISSION PROCESS STEP 2: PROPOSAL SUBMISSION

This section describes the process for submission of a proposal, once an invitation has been received. Proposals must be submitted electronically by the AOR through Grants.gov ([www.grants.gov](http://www.grants.gov)). No paper copies will be accepted.

***Proposal submission will not be accepted unless you receive a letter of invitation.*** The PI and Organization identified in the proposal submitted through Grants.gov should be the same as those identified in the pre-application. If there is a change in PI or Organization after submission of the pre-application, please contact the eReceipt helpdesk at [help@cdmrp.org](mailto:help@cdmrp.org) or 301-682-5507.

***For complete information regarding forms and submission components, as well as general proposal preparation and submission instructions, please see [Appendix 3](#).***

Please note, submission of a proposal requires institutional registration with the Central Contractor Registry (CCR; see [Appendix 2](#)). Plan accordingly and allow several weeks for these registration processes. Grants.gov will not allow proposals to be submitted unless all of the registration steps have been completed.

### A. Proposal Components Summary

Each proposal submission must include the completed Grants.gov application package of forms and attachments identified in [www.grants.gov](http://www.grants.gov) for the US Army Medical Research Acquisition Activity (USAMRAA) program announcement. The package includes:

#### 1. SF-424 (R&R) Application for Federal Assistance Form

- Pre-application file downloaded from the CDMRP eReceipt system

#### 2. Attachments Form

- Attachment 1: Project Narrative (25-page limit)
- Attachment 2: Supporting Documentation
  - References Cited
  - Acronyms and Symbol Definitions
  - Facilities & Other Resources
  - Letters of Support
  - Publications and/or Patent Abstracts
  - Intellectual and Material Property Plan (if applicable)
  - Letters of Collaboration (if applicable)
- Attachment 3: Statement of Work (SOW)
- Attachment 4: Technical and Public Abstracts

- Attachment 5: Impact Statement
- 3. Research & Related Senior/Key Person Profile (Expanded Form)**
    - PI Biographical Sketch (four-page limit)
    - PI Current/Pending Support
    - Key Personnel Biographical Sketches (four-page limit each)
    - Key Personnel Current/Pending Support
  - 4. Research & Related Budget Form**
    - Budget Justification
  - 5. Research & Related Project/Performance Site Location(s) Form**
  - 6. R&R Subaward Budget Attachment(s) Form (if applicable)**

*Grants.gov will only notify the PI of changes made to this Program Announcement and/or Application Package if the PI clicks on the “send me change notification emails” link and subscribes to the mailing list on the Opportunity Synopsis Page for this announcement. Please note that if the PI does not subscribe and the Application Package is updated or changed, the original version of the Application Package may not be accepted.*

## VI. PROPOSAL REVIEW INFORMATION

### A. Proposal Review and Selection Overview

All proposals are evaluated by scientists, clinicians, and consumer advocates using a two-tier review process. The first tier is a scientific peer review of proposals against established criteria for determining scientific merit. The second tier is a programmatic review that compares submissions to each other and recommends proposals for funding based on scientific merit and overall goals of the program. Additional information about the two-tier review process used by the CDMRP may be found at <http://cdmrp.army.mil/fundingprocess>

The peer review and program review processes must be conducted confidentially and anonymously to maintain the integrity of the merit-based selection process. Each tier review requires panelists to sign a non-disclosure statement attesting that proposal and evaluation information will not be disclosed outside the panel. Violations of the non-disclosure statement can result in the dissolving of a panel(s) and other correcting actions. Correspondingly, institutional personnel and principal investigators are prohibited from contacting persons involved in the proposal review process to gain protected evaluation information or to influence the evaluation process. Violations of this prohibition will result in the administrative withdrawal of the institution's proposal.

Proposals that include plagiarized information will be administratively withdrawn. The institution will subsequently be requested to perform an investigation and provide those findings to the cognizant Grants Officer for a determination of the disposition of the application.

Violations by panelists or principal investigators that compromise the confidentiality or anonymity of the peer review and program review processes may also result in suspension or debarment of their employing institutions from Federal awards.

The Government reserves the right to review all proposals based on one or more of the required attachments or supporting documentation.

### B. Review Criteria

**1. Peer Review:** All proposals will be evaluated according to the following criteria, which are listed in order of decreasing importance. However, Research Strategy and Translational Potential are of equal importance:

- **Research Strategy (preliminary data are required)**
  - How the scientific rationale supports the feasibility and development of the proposed product as demonstrated by a critical review and analysis of the literature, preliminary data, and logical reasoning;
  - How well the hypothesis or objectives, aims, experimental design, methods, and analyses are developed (if the proposal is hypothesis-driven). Alternatively, whether the study has clearly identified endpoints (if the proposal is product-driven);

- How well the applicant acknowledges potential problems and addresses alternative approaches;
- (As appropriate) The suitability of the screening assays and preclinical models to be developed, modified, and/or validated for identification and/or assessment of therapeutic agents;
- (As appropriate) Whether the applicant clearly demonstrates the intent to use the proposed tools or models for preclinical therapeutic testing (i.e., not for basic research);
- (As appropriate) How the outlined chemical synthetic pathways for modification of lead compounds or the formulation of potential delivery systems are based in rational design.
- **Translational Potential**
  - How the project addresses one or more of the programmatic interests stated in the program announcement;
  - How the study will make an impact on the development of therapeutics for ALS;
  - For projects involving hypothesis-driven research, the potential impact on the concepts or methods that drive therapeutic development;
  - For projects involving product-driven research, the potential impact on patient lives.
- **Personnel**
  - How the research team's background and expertise are appropriate to develop the proposed product or, for hypothesis-driven proposals, to conduct the proposed research;
  - Appropriateness of the levels of effort for successful development of the proposed product;
  - If multiple investigators are participating in the project, whether the letters of collaboration adequately describe all aspects of the collaborative effort.
- **Environment**
  - The appropriateness of the scientific environment for the proposed research;
  - How the research requirements are supported adequately by the availability of and accessibility to facilities and resources (including collaborative arrangements);
  - The quality and extent of institutional support;
  - If multi-institutional, the quality and completeness of the Intellectual and Material Property Plan.
- **Budget**
  - How the budget is appropriate for the proposed research.

**2. Programmatic Review:** Criteria used by the IP to make funding recommendations that maintain the program's broad portfolio include:

- Ratings and evaluations of the peer reviewers,
- Programmatic relevance,
- Relative impact,
- Program portfolio balance, and
- Adherence to the intent of the award mechanism.

Scientifically sound proposals that best fulfill the above criteria and most effectively address the unique focus and goals of the program will be identified by the IP and recommended for funding to the Commanding General, USAMRMC.

## VII. COMPLIANCE GUIDELINES

Compliance guidelines have been designed to ensure the presentation of all proposals in an organized and easy-to-follow manner. Peer reviewers expect to see a consistent, prescribed format for each proposal. Failure to adhere to [formatting guidelines](#) ([Appendix 4](#)) makes proposals difficult to read, may be perceived as an attempt to gain an unfair competitive advantage, and may result in proposal rejection. ***Proposals missing required components of the grants.gov application package (see [Section V](#)) may be administratively rejected.***

The following will result in administrative rejection of the entire proposal:

- Project Narrative exceeds page limit.
- Font size is less than 12 point.
- Margins are less than specified in the formatting guidelines.
- Spacing is less than specified in the formatting guidelines.
- Print area exceeds that specified in the formatting guidelines.
- Page size is greater than specified in the formatting guidelines.
- FY07 ALSRP IP members are included in any capacity in the pre-application process, the proposal, budget, and any supporting document. A list of the FY07 ALSRP IP members may be found at <http://cdmrp.army.mil/pubs/press/2007/07alsrpfunding>

For any other sections of the proposal with a defined page limit, pages exceeding the specified limit will be removed and not forwarded for peer review.

Material submitted after the submission deadline, unless specifically requested by the Government, will not be forwarded for peer review.

## VIII. APPENDICES

### APPENDIX 1

#### ELIGIBILITY INFORMATION

To protect the public interest, the Federal Government ensures the integrity of Federal programs by only conducting business with responsible recipients. The US Army Medical Research and Materiel Command (USAMRMC) uses the Excluded Parties List System (EPLS) to exclude recipients ineligible to receive Federal awards. The EPLS is online at <http://epls.arnet.gov>. (Reference Department of Defense Grant and Agreement Regulations [DODGAR] 25.110.)

All individuals, regardless of ethnicity, nationality, or citizenship status, may apply as long as they are employed by, or affiliated with, an eligible institution.

**Eligible Institutions:** USAMRMC makes awards to institutions; eligible institutions include for-profit, nonprofit, public, and private organizations, such as universities, colleges, hospitals, laboratories, and companies.

**Historically Black Colleges and Universities/Minority Institutions (HBCU/MI):** A Department of Defense goal is to allocate funds for the Congressionally Directed Medical Research Programs (CDMRP) peer reviewed research to fund proposals from HBCU/MI. This provision is based on guidance from Executive Orders 12876, 12900, and 13021. Proposals are assigned HBCU/MI status when the submitting institution is so designated by the Department of Education on the date the program announcement is released. The most current Department of Education list is posted on the CDMRP website at <http://cdmrp.army.mil/spp> under “Minority Institutions.”

**Government Agencies:** Local, state, and Federal Government agencies are eligible to the extent that proposals do not overlap with their fully funded intramural programs. Federal agencies are expected to explain how their proposals do not overlap with their intramural programs.

**Duplicate Submissions:** Submission of the same research project to different award mechanisms within the same program or to other CDMRP programs is discouraged. The Government reserves the right to reject duplicative proposals.

## APPENDIX 2

### GRANTS.GOV INSTRUCTIONS

#### A. Public Law 106-107

Proposals requesting funding from the CDMRP will be submitted through the Federal Government's single entry portal, [Grants.gov](https://www.grants.gov), in compliance with Public Law 106-107 (P.L. 106-107). The Federal Financial Assistance Management Improvement Act of 1999, also known as P.L. 106-107, was enacted in November 1999. The purposes of the P.L. 106-107 are to (1) improve the effectiveness and performance of Federal financial assistance programs, (2) simplify Federal financial assistance application and reporting requirements, (3) improve the delivery of services to the public, and (4) facilitate greater coordination among those responsible for delivering services.

Individual program announcements and required forms can also be found on this website. As in previous years, award mechanisms requiring pre-applications including Letter of Intent Narratives, preproposals, nominations, and/or confidential letters will be submitted through the CDMRP eReceipt system at <https://cdmrp.org>.

#### B. Grants.gov

Grants.gov is an E-Government initiative to provide a simple, unified electronic storefront for interactions between Principal Investigators (PIs) and the Federal agencies that manage grant funds. The grant community, including state, local, and tribal governments, academia and research institutions, commercial firms and not-for-profits, can access the annual grant funds available across the Federal Government through one website, Grants.gov. In addition to simplifying the grant application process, Grants.gov also creates avenues for consolidation and best practices within each grant-making agency.

In compliance with P.L. 106-107, the USAMRMC requires proposals submitted in response to the program announcement to be submitted through Grants.gov. This requires that organizations register in Grants.gov to submit proposals through the Grants.gov portal. Individual PIs/Project Directors DO NOT register; however, the AOR is required to register.

The following actions are required as part of the registration process. ***The registration process can take several weeks, so please register as soon as possible.*** If you do business with the Federal Government on a continuing basis, it is likely you have already completed some of the actions, e.g., obtaining a DUNS number or registration in CCR. Detailed information, automated tools, and checklists are available at [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)

##### **1. Applicant Organization Must Have a Data Universal Number System (DUNS) Number**

An organization will need a DUNS number. A DUNS number is a unique nine-character identification number provided by the commercial company Dun & Bradstreet (D&B) (<http://fedgov.dnb.com/webform/displayHomePage.do>). If an organization does not have a

DUNS number, an authorized official of the organization can request one by calling 866-705-5711 or online via web registration (<http://fedgov.dnb.com/webform/index.jsp>). Organizations located outside of the United States can request and register for a DUNS number online via web registration.

## **2. Applicant Organization Must be Registered with the Central Contractor Registry (CCR)**

An organization must be registered with CCR before submitting a grant application through Grants.gov or receiving an award from the Federal Government. CCR validates institution information and electronically shares the secure and encrypted data with Federal agencies' finance offices to facilitate paperless payments through electronic funds transfer. ***CCR registrations have an expiration – please verify the status of your organization's CCR registration well in advance of the proposal submission deadline.***

You can register by calling the CCR Assistance Center at 888-227-2423 or register online at <http://www.ccr.gov>. Collecting the information (Employer Identification Number [EIN] or Tax Identification Number [TIN]) can take 1-3 days. If you have the necessary information, online registration will take about 30 minutes to complete, depending upon the size and complexity of your organization. Allow a minimum of 5 business days to complete the entire CCR registration. If your organization does not have either an EIN or TIN, allow at least 2 weeks to obtain the information from the Internal Revenue Service (IRS).

Foreign organizations must obtain a CAGE code prior to registering with the CCR. A CAGE code can be obtained by calling 269-961-7766 or online at [http://www.dlis.dla.mil/Forms/Form\\_AC135.asp](http://www.dlis.dla.mil/Forms/Form_AC135.asp).

## **3. Authorized Organizational Representative (AOR) must be registered with Grants.gov**

Before submitting a proposal, an organization representative needs to register to submit on behalf of the organization at Grants.gov - <https://apply.grants.gov/OrcRegister>. An organization's E-Business point of contact (POC), identified during CCR registration, must authorize someone to become an AOR. This safeguards the organization from individuals who may attempt to submit proposals without permission. The AOR's username and password serve as "electronic signatures" when an application is submitted on Grants.gov. ***Note: In some organizations, a person may serve as both an E-Business POC and an AOR.***

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

## APPENDIX 3

### INFORMATION FOR PROPOSAL SUBMISSION

Proposal submission is a two-step process consisting of (1) a pre-application submission through the [CDMRP eReceipt system \(https://cdmrp.org/\)](https://cdmrp.org/) and (2) a proposal submission through [Grants.gov \(http://www.grants.gov/\)](http://www.grants.gov/). This section describes the process for proposal submission. For pre-application submission, see [Section IV](#). Proposal submission will not be accepted unless the PI receives an invitation to submit a proposal. This appendix outlines how to prepare a proposal application for submission through Grants.gov.

Each submission must include the completed package of forms identified in [www.grants.gov](http://www.grants.gov) for the US Army Medical Research Acquisition Activity (USAMRAA) program announcement. The submission of specific documents will depend upon the award mechanism for which this proposal is being submitted, as specified in [Section V](#) and described below. All attachments must be uploaded as a PDF file in accordance with the [formatting guidelines](#) except for the pre-application XML file.

Fill in the *Application Filing Name* on the first screen of the Grant Application Package using the CDMRP log number acquired during the pre-application process. **Do not fill in the Competition ID.**

Click on “Help Mode” (see arrow in Figure 1 below) in the PureEdge tool bar and scroll over the blocks for tips on navigating through the forms in this application package.



Figure 1: Grants.gov Application PureEdge Toolbar

<b>Form</b>	<b>Attachment</b>	<b>Action</b>
SF-424 (R&R) Application for Federal Assistance Form	Pre-application XML File	Enter the appropriate information in data fields
Attachments Form	Project Narrative (Narrative.pdf)	Upload as Attachment 1
	Supporting Documentation (Support.pdf)	Upload as Attachment 2
	Statement of Work (SOW) (SOW.pdf)	Upload as Attachment 3
	Technical and Public Abstracts (Abstracts.pdf)	Upload as Attachment 4
	Impact Statement (Impact.pdf)	Upload as Attachment 5
Research & Related Senior/Key Person Profile (Expanded) Form	PI Biographical Sketch (Biosketch_LastName.pdf)	Attach to PI Biographical Sketch field
	PI Current/Pending Support (Support_LastName.pdf)	Attach to PI Current & Pending Support field
	Key Personnel Biographical Sketches (Biosketch_LastName.pdf)	Attach to Biographical Sketch field for each senior/key person
	Key Personnel Current/Pending Support (Support_LastName.pdf)	Attach to Current & Pending Support field for each senior/key person
Research & Related Budget Form	Budget Justification for entire performance period (Justification.pdf)	Attach to Section K in budget period one
Research & Related Project/Performance Site Location(s) Form		Enter the appropriate information in data fields
R&R Subaward Budget Attachment(s) Form (if applicable)	Individual subaward budgets and justifications (Justification_LastName.pdf)	Attach a separate budget with justification for each subaward

Prior to award negotiations, the Certificate of Environmental Compliance, Principal Investigator Safety Program Assurance, and regulatory documents related to human and animal studies and other documents will be requested from the PI. At that time, the negotiated indirect rate agreement, Certifications and Assurances for Assistance Agreements, and Representations for Assistance Agreements will be requested from the AOR.

## A. SF-424 (R&R), Application for Federal Assistance Form.

This form is required for each application. All appropriate information must be entered into this form to allow for auto-population of all subsequent forms in this application package. The form is self-explanatory, with the following exceptions:

- **Applicant Identifier** box should be filled in with the submitting Institution's Control Number.
- **State Application Identifier** is not applicable.
- **Block 1 – Type of Submission.** For all submissions the "Application" box should be chosen. For substantial changes that must be made after the original submission, the complete application package must be resubmitted. In these cases, the "Changed/Corrected Application" box must be checked and the Grants.gov tracking number must be entered in Block 4 - Federal Identifier.
- **Block 3 – Date Received by State** is not applicable
- **Block 4 – Federal Identifier Box.** This box will be populated by Grants.gov for an original application, but the Grants.gov tracking number (i.e., the Federal Identifier Number assigned to the original application) must be manually entered for changed or corrected applications.
- **Block 13 – Proposed Project.** The start date should be 9 months to a year from the deadline for proposal submission for this award mechanism.
- **Block 14 – Congressional Districts Of.** If applying from a foreign institution enter "00-000" for both applicant and project.
- **Block 17 – Is Application Subject to Review by State Executive Order 12372 Process?** Choose option, b. NO, program is not covered by E.O.12372.
- **Block 19 – Authorized Representative.** The "signature of AOR" is not an actual signature and is automatically completed upon submission of the electronic application package. *Hard copies of applications will not be accepted.*
- **Block 20 – Pre-application** box and attachment should be used to attach the pre-application file associated with this proposal. This pre-application file must be downloaded from the CDMRP eReceipt system. *Please do not convert this XML file to PDF.*

## B. Attachments Form

The following information must be included as attachments to this form in accordance with the [formatting guidelines](#):

**Attachment 1: Project Narrative: 25-page limit.** The Project Narrative is the main body of the proposal. The Project Narrative must be submitted as a single PDF file named "Narrative.pdf," in accordance with the [formatting guidelines](#). The inclusion of promising and well-founded *preliminary data is required* relevant to ALS and the proposed project for all Therapeutic Development Award proposal submissions. If a collaboration is proposed,

investigators must include sufficient characterization of the collaboration and justification for the collaborative partners.

Describe the proposed project using the following outline:

- **Background:** Present the ideas and reasoning behind the proposed work. Describe previous experience most pertinent to this proposal. Cite relevant literature.
- **Hypothesis or Objective:** For a hypothesis-driven proposal, state the hypothesis to be tested. For all other proposals, state the objective to be reached.
- **Specific Aims:** Concisely explain the project's specific aims. If this proposal is part of a larger study, present only DOD-funded tasks.
- **Research Strategy:** Describe the experimental design, methods, and analyses, including appropriate controls, in sufficient detail for analysis. Address potential problem areas and present alternative methods and approaches. If human subjects or human biological samples will be used, include a detailed plan for the recruitment of subjects or the acquisition of samples.
- **Product:** Describe the predicted or proposed product, its utility in the field, and its impact on ALS.
- **Impact:** The rationale should clearly reflect that the research is focused on results that will have a significant impact on the goal of developing effective treatments for ALS.

The 25-page limit of the Project Narrative is inclusive of any figures, tables, graphs, photographs, diagrams, chemical structures, pictures, pictorials, cartoons, and other relevant information needed to judge the proposal.

**Attachment 2: Supporting Documentation.** Upload these sections as a single PDF file named "Support.pdf," in accordance with the [formatting guidelines](#).

- References Cited: No page limit.** List all relevant references using a standard reference format that includes the full citation (i.e., author(s), year published, title of reference, source of reference, volume, chapter, page numbers, and publisher, as appropriate). The inclusion of Internet URLs to references is encouraged.
- Acronyms and Symbol Definitions: No page limit.** Starting on a new page titled "Acronyms and Symbol Definitions," provide a glossary of acronyms and symbols.
- Facilities & Other Resources: No page limit.** Describe the facilities available for performance of the proposed project and any additional facilities or equipment proposed for acquisition at no cost to the USAMRMC. Indicate if Government-owned facility or equipment is proposed for use. Reference should be made to the original or present contract under which the facilities or equipment items are now accountable. There is no form for this information.
- Letters of Support: No page limit.** Provide the following:

- A letter of support signed by the PI and the Department Chair, Dean, or equivalent official from the PI's.
- Signed letters of support from each additional collaborating individual or institution.

**e. Publications and/or Patent Abstracts: Five-document limit.** Include up to five relevant publication reprints and/or patent abstracts. A patent abstract should provide a non-proprietary description of the patent application. Extra items will not be reviewed.

**f. Intellectual and Material Property Plan (if applicable): No page limit.** Provide a plan for resolving intellectual and material property issues among participating institutions if more than one institution is involved in the award.

**g. Letters of Collaboration (if applicable):** Provide a signed letter from each collaborating individual or institution.

Submitting material that was not requested may be construed as an attempt to gain a competitive advantage and such material will be removed; submitting such material may be grounds for administrative rejection of the proposal. *This section is not intended for additional figures, tables, graphs, photographs, diagrams, chemical structures, pictures, pictorials, cartoons, or other information needed to judge the proposal.*

**Attachment 3: Statement of Work (SOW): Two-page limit.** The SOW must be uploaded as a single PDF file named "SOW.pdf" in accordance with the [formatting guidelines](#). The Statement of Work is a concise restatement of the research proposal that outlines, step by step, how each major goal or objective of the proposed research/services will be accomplished during the period for which the USAMRMC will provide financial support. When a proposal requesting funding as part of a larger study is submitted, the proposal's Statement of Work must include aims to be funded by this proposal. The Statement of Work should:

- Describe the work or training plan to be accomplished as tasks (tasks may relate to specific aims);
- Include the following information for each study site/subcontract site (collaborative site and consultant) that will be actively participating in the study:
  - Institution name
  - Institution address
  - Collaborator, consultant, and/or subawardee name
  - Animal or human use at this site
- Identify the timeline and milestones for the work over the performance period for the proposed effort;
  - Allow at least 6 months for regulatory review and approval processes for studies involving human subjects;
  - Allow 2 to 4 months for regulatory review and approval processes for animal

studies;

- Indicate if the work involves animal, human subjects, or anatomical samples. Note the number of research subjects (animal or human) and/or anatomical samples required for each task;
- Indicate time required for human use approval and FDA submission of applicable documents (i.e., IND and IDE);
- Identify methods; and
- Identify outcomes, products, and deliverables for each phase of the project.

**Attachment 4: Technical and Public Abstracts.** The technical and public abstracts must be submitted as a single PDF file named “Abstracts.pdf,” in accordance with the [formatting guidelines](#). Abstracts of all funded proposals will be posted on the CDMRP website at <http://cdmrp.army.mil>. Proprietary or confidential information should *not* be included in either the technical or the public abstract.

*Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed in either abstract.*

**Technical Abstract: One-page limit.** Use the outline below.

- Background: Present the ideas and reasoning behind the proposed work.
- Objective/Hypothesis: State the objective/hypothesis to be tested. Provide evidence or rationale that supports the objective/hypothesis.
- Specific Aims: State the specific aims of the study.
- Study Design: Briefly describe the study design including appropriate controls.

**Public Abstract: One-page limit. Start on a new page.** The public abstract is an important component of the proposal review process because it addresses issues of particular interest to the consumer advocate community.

- Describe the scientific objective and rationale for the proposal in a manner readily understandable by non-scientists.
  - Do not duplicate the technical abstract.
- Describe the ultimate applicability of the research.
  - What types of patients will it help and how will it help them?
  - What are the potential clinical applications, benefits, and risks?
  - What is the projected time it may take to achieve a consumer-related outcome?

**Attachment 5: Impact Statement: One-half-page limit.** The Impact Statement must be submitted as a single PDF file named “Impact.pdf,” in accordance with the [formatting guidelines](#). State explicitly how the proposed work will have an impact on the treatment of ALS. Describe how the proposed work will make an original and important contribution to the ALS research field. Explain the potential clinical applications, benefits, and risks. The

Impact Statement, which will be available at both peer and programmatic reviews, is often cited by consumer advocates during the review and funding decision processes.

*The Impact Statement will be available for both peer and programmatic review.*

### **C. Research & Related Senior/Key Person Profile (Expanded Form)**

Include the requested information for each senior/key person proposed on the project. Each attachment must be a single PDF file, in accordance with the [formatting guidelines](#).

**1. PI Biographical Sketch: Four-page limit.** Suggested format is provided as [Form 1](#). The biosketch must be saved as “Biosketch\_LastName.pdf” where “LastName” is the last name of the PI.

**2. PI Current/Pending Support: No page limit.** Current/Pending Support for the PI must be submitted as a PDF file in accordance with the [formatting guidelines](#). This file must be named “Support\_LastName.pdf,” where “LastName” is the last name of the PI.

Proposals submitted under this program announcement should not duplicate other funded research projects.

*For all existing and pending research projects involving the PI include:*

- 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
- List of the specific aims.

Provide justification for the requested support and identify where the projects overlap or parallel. If no current support exists, enter “None.” Updated current and pending support will be required during award negotiations.

**3. Key Personnel Biographical Sketches: Four-page limit per individual.** Suggested format is provided as [Form 1](#). Each biosketch must be saved as “Biosketch\_LastName.pdf” where “LastName” is the last name of the appropriate individual.

**4. Key Personnel Current/Pending Support: No page limit.** Current/Pending Support for each individual must be submitted as a PDF file in accordance with the [formatting guidelines](#). Each file must be named “Support\_LastName.pdf,” where “LastName” is the last name for the individual. Refer to “PI’s Current/Pending Support” above for content of this document, except substituting individual information for that of the PI.

## D. Research & Related Budget Form

An estimate of the total research project cost, with a breakdown by category and year, must accompany each proposal. All costs must be entered in US dollars. Recipients performing research outside of the United States should include the cost in local currency, the rate used for converting to US dollars, and justification/basis for the conversion rate used.

The following cost regulations and principles must be adhered to budget calculations:

- **Subcontracting Indirect Costs:** When an applicant institution calculates its own indirect costs, it can only calculate indirect costs on the first \$25,000 of each subaward.
- **Maximum Obligation:** The USAMRMC does not amend grants to provide additional funds for such purposes as reimbursement for unrecovered indirect costs resulting from the establishment of final negotiated rates or for increases in salaries, fringe benefits, and other costs.
- **Cost Regulations and Principles:** Costs proposed must conform to the following regulations and principles:
  - **Commercial Firms:** Federal Acquisition Regulation (FAR) Part 31 and Defense FAR Supplement Part 31 (<http://farsite.hill.af.mil>), Contract Cost Principles and Procedures.
  - **Educational Institutions:** 2 CFR Part 220, Cost Principles for Educational Institutions.
  - **Nonprofit Organizations:** 2 CFR Part 230, Cost Principles for Nonprofit Organizations. OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations.
  - **State, Local, and Tribal Governments:** 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments.
  - **Cost of Preparing Proposals:** The cost of preparing proposals in response to this program announcement is not considered an allowable direct charge to any resultant contract, grant, or cooperative agreement. It is, however, an allowable expense to the bid and proposal indirect cost specified in FAR 31.205-18, and 2 CFR Parts 220 and 230.

**Section A & B – Senior/Key Person and Other Personnel:** The basis for labor costs should be predicated upon actual labor rates or salaries. Budget estimates may be adjusted upward to forecast salary or wage cost-of-living increases that will occur during the period of performance. The proposal should separately identify and explain the ratio applied to base salary/wage for cost-of-living adjustments and merit increases in the budget justification (Section K).

The qualifications of the PI and the amount of time that he or she and other professional personnel will devote to the research are important factors in selecting research proposals for funding. For each key staff member identified on the budget form, list the percentage of each appointment to be spent on this project.

**Section C – Equipment Description:** It is DOD policy that all commercial and nonprofit recipients provide the equipment needed to support proposed research. In those rare cases where specific additional equipment is approved for commercial and nonprofit organizations, such approved cost elements shall be separately negotiated.

An itemized list of permanent equipment is required, showing the cost for each item. Permanent equipment is any article of nonexpendable tangible property having a useful life of more than 2 years and an acquisition cost of \$5,000 or more per unit. The justification for the cost of each item of equipment included in the budget must be disclosed in the budget justification (Section K) to include:

- **Vendor Quote:** Show name of vendor and number of quotes received and justification if intended award is to other than the lowest bidder.
- **Historical Cost:** Identify vendor, date of purchase, and whether or not cost represented the lowest bid. Include reason(s) for not soliciting current quotes.
- **Estimate:** Include rationale for estimate and reasons for not soliciting current quotes.
- **Special test equipment** to be fabricated by the contractor 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 contractor with contractor funds, would be capitalized for Federal income tax purposes.
- Title of equipment or other tangible property purchased with Government funds may be vested in institutions of higher education or with nonprofit organizations, whose primary purpose is the conduct of scientific research. Normally, the title will vest in the recipient if vesting will facilitate scientific research performed by the institution or organization for the Government.
- Commercial organizations are expected to possess the necessary plant and equipment to conduct the proposed research. Equipment purchases for commercial organizations will be supported only in exceptional circumstances.

#### **Section D – Travel**

- **Travel costs to attend one scientific/technical meeting per year.** Costs should not exceed \$1,800.
- **Travel costs associated with the execution of the proposed work.** If applicable, reasonable costs for travel between collaborating institutions should be included and are not subject to the yearly \$1,800 limitation on travel to meetings. Justification for these travel costs should be provided. Travel outside the United States, including between foreign countries, requires prior approval from USAMRAA 30 days before travel unless identified in the proposal that is part of the award.

- **Travel to CDMRP-required meetings** (if applicable) ([Section II.C](#)). Costs should be reasonable.

**Section E – Participant/Trainee Support Costs:** This section is self-explanatory.

**Section F – Other Direct Costs (as applicable)**

**Section F.1 – Materials and Supplies (Consumables):** The justification (to be included in Section K) supporting material and supply (consumable) costs should include a general description of expendable equipment and supplies. If animals are to be purchased, state the species, strain (if applicable), and the number to be used. If human cell lines are to be purchased, state the source and the description.

**Section F.2 – Publication Costs:** This section is self-explanatory.

**Section F.3 – Consultant Services:** Regardless of whether funds are requested, the justification (to be included in Section K) should include the names and organizational affiliations of all consultants. State the daily consultant fee, travel expenses, nature of the consulting effort, and why consultants are required for the proposed research project.

**Section F.4 – ADP/Computer Services:** This section is self-explanatory.

**Section F.5 – Subaward/Consortium/Contractual Costs:** On the project’s Research and Related Budget Form, enter the total funds requested for (1) all subaward/consortium organization(s) proposed for the project and (2) any other contractual costs proposed for the project.

**Section F.6 – Equipment or Facility Rental/User Fees:** This section is self-explanatory.

**Section F.7 – Alterations and Renovations:** Not allowable.

**Sections F.8–F.10 – Research-Related Subject Costs:** Include itemized costs of subject participation in the research study. These costs are strictly limited to expenses specifically associated with the proposed study. The USAMRMC will not provide funds for ongoing medical care costs that are not related to a subject’s participation in the research study.

**Sections F.8–F.10 – Other Direct Costs (if applicable):** Include other anticipated direct costs that are not specified elsewhere in the budget. Unusual or expensive items should be fully explained and justified in Section K.

**Section G – Direct Costs:** This section is self-explanatory. All direct and indirect costs of any subaward must be included in the total direct costs of the primary award.

**Section H – Indirect Costs (overhead, general and administrative, and other):** The most recent rates, dates of negotiation, base(s), and periods to which the rates apply should be disclosed along with a statement identifying whether the proposed rates are provisional or fixed. If negotiated forecast rates do not exist, provide sufficient detail in the budget

justification (Section K) regarding a determination that the costs included in the forecast rate are allocable according to applicable FAR/DFARS or OMB Circular provisions. Commercial firms can also visit [www.dcaa.mil](http://www.dcaa.mil) for additional information on indirect rates. Disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. When an applicant institution calculates its own indirect costs, it can only calculate indirect costs on the first \$25,000 of each subaward.

As a minimum, justification for indirect costs should identify:

- All individual cost elements included in each forecast rate;
- The basis used to prorate indirect expenses to cost pools, if any;
- How each rate was calculated; and
- The distribution basis of each developed rate.

**Section I – Total Direct and Indirect Costs:** This section is self-explanatory.

**Section J – Fee:** A profit or fixed fee is not allowable on grants or cooperative agreements. If a profit/fee is negotiated, a contract will be awarded. Any fixed fee applied to the research project must be listed and any claimed Facilities Capital Cost of Money supported by **DD Form 1861** ([www.dtic.mil/whs/directives/infomgt/forms/forminfo/forminfopage2192.html](http://www.dtic.mil/whs/directives/infomgt/forms/forminfo/forminfopage2192.html)) must be submitted with the proposal.

**Section K – Budget Justification:** The Budget Justification for the entire performance period must be attached as a PDF file named “Justification.pdf” to the Research & Related Budget – Section K (under budget period one). Organizations must provide sufficient detail and justification so that the Government can determine the proposed costs to be allocable and reasonable for the proposed research effort.

*The budget justification must include information for all budget periods. This file must be uploaded for budget period one before you will be allowed to access subsequent budget periods.*

#### **E. Research & Related 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. If more than eight performance site locations are proposed, provide the requested information in a separate file and attach to this form. Please note that each additional research site requesting funds will require a subcontract budget.

#### **F. R&R Subaward Budget Attachment(s) Form (optional form; use if applicable)**

Please note that the files to be attached to the R&R Subaward Budget Attachment(s) Form must be PureEdge documents. Extract an R&R Subaward Budget Attachment for each subaward, using the button provided on this form. Save each attachment to your computer and complete the form(s).

The Budget Justification for each subaward must be attached as a PDF file named “Justification\_LastName.pdf” (where “LastName is the investigator of the subaward) to the Research & Related Budget – Section K for that subaward. Each subaward budget justification must include information for all budget periods. This file must be uploaded for budget period one before you will be allowed to access subsequent budget periods for the subaward. Once all subaward budget files are completed, attach all subaward budget file(s) for this application to the R&R Subaward Budget Attachment(s) Form.

The DUNS number for each subaward site should be included on this form.

A description of services or materials that are to be awarded by subcontract or subgrant is required. Organizations must provide sufficient detail and justification so that the Government can determine the proposed costs to be allocable and reasonable for the proposed research effort. The following information must be provided on subawards totaling \$10,000 or more:

- Identification of the type of award to be used (e.g., cost reimbursement, fixed price);
- Identification of the proposed subcontractor or subgrantee, if known, and an explanation of why and how the subcontractor or subgrantee was selected or will be selected;
- Whether the award will be competitive and, if noncompetitive, rationale to justify the absence of competition; and
- The proposed acquisition price.
- The applicant’s cost or price analysis for the subgrant or subcontract proposed price (applicable only if the award exceeds \$500,000).

If the resultant award is a contract that exceeds \$500,000 and the applicant is a large business or an educational institution (other than a Historically Black College or University/Minority Institution), the applicant is required to submit a subcontracting plan for small business and small disadvantaged business concerns, in accordance with FAR 19.7. A mutually agreeable plan will be incorporated as part of the resultant contract.

## APPENDIX 4

### FORMATTING GUIDELINES

The proposal must be clear and legible and conform to the formatting guidelines described below. The font size, spacing, page size, and margins may differ between 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:** All attachments must be in PDF, except for the pre-application file (XML file) attached to block 20 of SF-424.
- **Font Size:** 12 point or larger.
- **Font Type:** Times New Roman is strongly recommended.
- **Spacing:** 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:** Must be 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:** Proposals may include color, high-resolution, or multimedia objects (e.g., MPEG, WAV, or AVI files) embedded in the PDF files; however, these objects must not exceed 15 seconds in length and a size of 10 MB. Since some reviewers work from black and white printed copies, Principal Investigators may wish to include text in the proposal directing the reviewer to the electronic file for parts of the proposal that may be difficult to interpret when printed in black and white. Photographs and illustrations must be submitted in JPEG format; bit map or TIFF formats are not allowed.
- **Internet URLs:** URLs directing reviewers to websites containing additional information about the proposed research are not allowed in the proposal or its components. Inclusion of such URLs may be perceived as an attempt to gain an unfair competitive advantage. Links to publications referenced in the proposal are encouraged.
- **Language:** English.
- **Headers and Footers:** Should not be used.
- **Page Numbering:** Should not be used.

*All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded as a PDF file.*

## APPENDIX 5

### AWARD ADMINISTRATION INFORMATION

#### A. Award Notices

Each Principal Investigator (PI) will receive notification of the award status of his or her proposal. A copy of the peer review summary statement, if applicable, will be posted to the Congressionally Directed Medical Research Programs (CDMRP) eReceipt system. PIs can expect to receive this notification approximately 4 weeks after programmatic review.

#### B. Administrative Requirements

Awards are made to organizations, not individuals. Each PI must submit a proposal through, and be employed by or affiliated with, a university, college, nonprofit research institution, commercial firm, or Government agency (including military laboratories) to receive support. A prospective recipient must meet certain minimum standards pertaining to institutional support, financial resources, record of performance, integrity, organization, experience, operational controls, facilities, and conformance with safety and environmental statutes and regulations (2 CFR Part 215 and Department of Defense [DOD] Grant and Agreement Regulations) to be eligible for an award. Any organization requesting receipt of an award through this program announcement must be registered in the Central Contractor Registration (CCR) database. Access to the CCR online registration is through the CCR homepage at <http://www.ccr.gov>.

If allowed, a change in institutional affiliation will require the investigator to resubmit the entire proposal packet through his or her new institution to include any regulatory documentation that may require protocols, etc., to be approved for the new institution. The investigator's original institution must agree to relinquish the award. Any delay in the submission of the new information will result in a delay in contracting and regulatory review and a subsequent delay in resuming work on the project.

#### C. Award Negotiation

Award negotiation consists of discussions, reviews, and justifications of critical issues involving the US Army Medical Research Acquisition Activity (USAMRAA). A Contract Specialist and/or representative from the USAMRAA will contact the Contract Representative authorized to negotiate contracts and grants at the PI's institution. Additional documentation and justifications related to the budget may be required as part of the negotiation process.

The award start date will be determined during the negotiation process.

#### D. Disclosure of Proprietary Information outside the Government

By submitting a proposal, each PI understands that proprietary information may be disclosed outside the Government for the sole purpose of technical evaluation. The US Army Medical Research and Materiel Command (USAMRMC) will obtain a written agreement from the evaluator that proprietary information in the proposal will only be used for evaluation purposes

and will not be further disclosed or used. Funded proposals may be subject to public release under the Freedom of Information Act; proposals that are not selected for funding are not subject to public release.

### **E. Government Obligation**

PIs are cautioned that only an appointed Contracting/Grants Officer may obligate the Government to the expenditure of funds. No commitment on the part of the Government to fund preparation of a proposal or to support research should be inferred from discussions with a technical project officer. PIs who, or organizations that, make financial or other commitments for a research effort in the absence of an actual legal obligation signed by the USAMRAA Contracting/Grants Officer do so at their own risk.

### **F. Information Service**

PIs may use the technical reference facilities of the National Technical Information Service ([www.ntis.gov](http://www.ntis.gov)), for the purpose of surveying existing knowledge and avoiding needless duplication of scientific and engineering effort and the expenditure thereby represented. All other sources also should be consulted to the extent practical for the same purpose.

### **G. Inquiry Review Panel**

PIs may submit a letter of inquiry to the USAMRMC in response to funding decisions made for a given proposal. Members of the CDMRP staff, the USAMRMC Judge Advocate General staff, and USAMRAA Grants Officers constitute an Inquiry Review Panel and review each inquiry to determine whether factual or procedural errors in either peer or programmatic review have occurred, and if so, what action should be taken.

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

In accordance with the Bayh-Dole Act (Title 35, United States Code, Sections 200 et seq.), title to inventions and patents resulting from such Federally funded research may be held by the grantee or its collaborator, but the US Government shall, at a minimum, retain nonexclusive rights for the use of such inventions. An investigator must follow the instructions in the assistance agreement concerning license agreements and patents.

### **I. J-1 Visa Waiver**

It is the responsibility of the awardee to ensure that the research staff is 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.

## APPENDIX 6

### REGULATORY REQUIREMENTS AND REVIEWS

Principal Investigators (PIs) may not use, employ, or subcontract for the use of any human subjects, including the use of human anatomical substances and/or human data, or laboratory animals until applicable regulatory documents are requested, reviewed, and approved by the US Army Medical Research and Materiel Command (USAMRMC) to ensure that Department of Defense (DOD) regulations are met.

Concurrent with the US Army Medical Research Acquisition Activity (USAMRAA) negotiation, the Office of Surety, Safety and Environment will review the Certificate of Environmental Compliance and the Principal Investigator Safety Program Assurance form to be submitted upon request.

#### **A. Certificate of Environmental Compliance**

The Certificate of Environmental Compliance will be requested at award negotiations. If multiple research sites/institutions are funded in the proposal, then a Certificate of Environmental Compliance for each site will also be requested.

#### **B. Safety Program Documents**

The Principal Investigator Safety Program Assurance form will be requested at award negotiations.

A Facility Safety Plan from each PI's Institution is required; it will be requested at award negotiations. A Facility Safety Plan from the PI's institution may have been received previously and approved by the USAMRMC. A list of institutions that have approved Facility Safety Plans can be found on the USAMRMC website at [https://mrmc.amedd.army.mil/docs/rcq/sohd/Facility\\_Safety\\_Plan\\_Approved\\_Institutions.pdf](https://mrmc.amedd.army.mil/docs/rcq/sohd/Facility_Safety_Plan_Approved_Institutions.pdf). If the PI's institution is not listed on the website, contact the institution's Facility Safety Director/Manager to initiate completion of the institution-based Facility Safety Plan. Specific requirements for the Facility Safety Plan can be found at <https://mrmc.detrick.army.mil/docs/rcq/FY02FSPAppendix.doc>.

If multiple research sites/institutions are funded in the proposal, a Facility Safety Plan for each site/institution not listed in the aforementioned website will be requested at a later date.

#### **C. Research Involving Animal Use**

Specific documents relating to the use of animals in the proposed research will be requested by the Congressionally Directed Medical Research Programs (CDMRP) if the proposal is selected for funding (these documents should not be submitted with the proposal). The Animal Care and Use Review Office (ACURO), a component of the USAMRMC Office of Research Protections (ORP; formerly Regulatory Compliance and Quality), must review and approve all animal use prior to the start of working with animals. PIs must complete and submit the animal use

appendix titled “Research Involving Animals”, which can be found on the ACURO website (<https://mrmc-www.army.mil/rodorpaurd.asp>). Allow 2 to 4 months for regulatory review and approval processes for animal studies.

Specific requirements for research involving animals can be found at <https://cdmnp.org/files/forms/regulatory/FY05AnimalAppendix.doc>.

#### **D. Research Involving Human Subjects or Biological Substances, Including the Use of Human Anatomical Substances and/or Human Data**

For all other studies, documents related to the use of human subjects, anatomical substances, and/or data will be requested by the CDMRP if the proposal is selected for funding (these documents should not be submitted with the proposal).

In addition to local Institutional Review Board (IRB) approval to conduct research involving human subjects or biological substances, a second tier of human subjects regulatory review and approval is required by the DOD, which is conducted by the USAMRMC ORP, Human Research Protection Office (HRPO). The HRPO is mandated to comply with specific laws and directives governing all research involving human subjects that is conducted or supported by the DOD. These laws and directives are rigorous and detailed and will require information in addition to that supplied to the local review board. The recommendations of the second-tier HRPO review must be considered by the local IRB; therefore, to expedite the review of research involving human subjects, anatomical substances, and/or data, PIs should not submit documentation to their local IRB until they have received an initial review by HRPO.

*Allow at least 6 months for regulatory review and approval processes for studies involving human subjects.*

**1. Requirements:** Specific requirements for research involving human subjects, anatomical substances, and/or data can be found at <https://mrmc.amedd.army.mil/rodorptoolkit.asp>.

Personnel involved in human subjects research must have appropriate instruction in the protection of human subjects. Documentation confirming that this instruction has been completed will be required during the regulatory review process.

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.detrack.army.mil/rodorhrpo.asp>.

**2. Informed Consent Form:** An informed consent form template is located at <https://mrmc.detrack.army.mil/docs/rcq/Proconsent/ConsentFormGuidelines.doc>.

**3. Intent to Benefit:** Investigators must consider the requirements of Title 10 United States Code Section 980 (10 USC 980; <http://www.dtic.mil/biosys/downloads/title10.pdf>) applicable to DOD-sponsored research before writing a research protocol. 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 of the subject.”

Furthermore and consistent with the Common Federal Policy for the Protection of Human Subjects, if an individual cannot give his or her own consent to participate in a research study, consent of the individual’s legally authorized representative must be obtained before the individual’s participation in the research. Moreover, an individual not legally competent to consent (e.g., incapacitated individuals, incompetents, minors) may not be enrolled in a DOD-supported experiment unless the research is intended to benefit each subject enrolled in the study. For example, a subject may benefit directly from medical treatment or surveillance beyond the standard of care. Investigators should be aware that this law makes placebo-controlled clinical trials problematic because of the “intent to benefit” requirement whenever participation is sought of subjects from whom consent must be obtained by the legally authorized representative.

**4. Clinical Trial Registry:** PIs are required to register clinical trials individually on [www.clinicaltrials.gov](http://www.clinicaltrials.gov) using a Secondary Protocol ID number designation of: CDMRP-CDMRP Log Number. If several protocols exist under the same proposal, the Secondary Protocol ID number must be: CDMRP-CDMRP Log Number-A, B, C, etc. ***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 “[Data Element Definitions](#),” see section 6, “Study Phase” and “Study Type”) including all Phase I-IV clinical trials and trials that do not fit into one or more phases, but that are clearly interventional or observational (e.g., some epidemiological or behavioral studies), are required to register.

**5. Conditions Regarding DOD Funding of Research on Human Embryonic Stem Cells:** Research involving the derivation and use of human embryonic germ cells from fetal tissue may be conducted with DOD support ***only*** when the research is in compliance with 45 CFR 46, Subpart B (Title 45 of the Code of Federal Regulations, Section 46, Subpart B); 42 USC 289g through 289g 2; US Food and Drug Administration regulations; and any other applicable Federal, state, and local laws and regulations.

Research on existing human embryonic stem (hES) cell lines may be conducted with Federal support through the DOD ***only*** if the cell lines meet the current US Federal criteria as listed on the following National Institutes of Health (NIH) website (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-005.html>). A list of the currently approved cell lines can be obtained from the NIH Human Embryonic Stem Cell Registry (<http://stemcells.nih.gov/research/registry>). The NIH code should be used to identify the cell lines in the proposal.

Research involving the derivation of new stem cells from human embryos or the use of hES cells that are not listed on the NIH Human Embryonic Stem Cell Registry may not be conducted with Federal support through the DOD.

This restriction applies to hES cells derived from blastocysts remaining after infertility treatments and donated for research, blastocysts produced from donated gametes (oocytes

and sperm) for research purposes, and the products of nuclear transfer. The research is subject to all applicable local, state, and Federal regulatory requirements.

## APPENDIX 7

### REPORTING REQUIREMENTS

The Government requires reports to be submitted by each Principal Investigator for continuation of the research and funding. The specific reports due to the Government will be described in each award instrument. (Full US Army Medical Research and Materiel Command reporting requirements can be found at <https://mrmc-www.army.mil>, under “Links and Resources.”)

***Failure to submit required reports by the required date may result in a delay in or termination of award funding.***

Reporting requirements include the following:

- 1. Research Progress Reports.** Reporting requirements consist of an annual report (for each year of research except the final year) that presents a detailed summary of scientific issues and accomplishments and a final report (submitted in the last year of the award period) that details the findings and issues for the entire project. Additional reporting may be required as stipulated during award negotiations. Copies of all scientific publications and patent applications resulting from Congressionally Directed Medical Research Programs funding should be included in the progress report. The Government reserves the right to request additional reports.
- 2. Fiscal Reports.** Quarterly fiscal report requirements may include the Standard Form Report, SF 272, Federal Cash Transaction, used for grants and cooperative agreements to track the expenditure of funds on the research project.
- 3. Non-Exempt Human Studies Reports.** For non-exempt human subjects research, documentation of local Institutional Review Board (IRB) continuing review (in the intervals specified by the local IRB, but at least annually) and approval for continuation must be submitted directly to the Office of Research Protections – Human Research Protection Office.
- 4. Animal Use Reports.** Principal Investigators are required to submit annual animal use information for a report to Congress, verification of annual protocol review, and notification of protocol suspension or revocation. Institutions are required to provide updated US Department of Agriculture reports and notification of changes to accreditation status as verified by the Association for Assessment and Accreditation of Laboratory Animals and Office of Laboratory Animal Welfare.

## APPENDIX 8

### ACRONYM LIST

ACURO.....	Animal Care and Use Office
ADP.....	Automated Data Processing
AOR.....	Authorized Organizational Representative
ASDRP.....	Autism Spectrum Disorder Research Program
AVI.....	Audio Video Interleave
BCRP.....	Breast Cancer Research Program
CCR.....	Central Contractor Registration
CDMRP.....	Congressionally Directed Medical Research Programs
CFDA.....	Catalog of Federal Domestic Assistance
CFR.....	Code of Federal Regulations
cGMP.....	Current Good Manufacturing Practices
CAGE.....	Commercial and Government Entity
COI.....	Conflicts of Interest
CMLRP.....	Chronic Myelogenous Leukemia Research Program
CR.....	Contract Representative
DFARS.....	Department of Defense Federal Acquisition Regulation Supplement
DOD.....	Department of Defense
DODGAR.....	Department of Defense Grant and Agreement Regulations
DUNS.....	Data Universal Number System
EIN.....	Employer Identification Number
EPLS.....	Excluded Parties List System
FAR.....	Federal Acquisition Regulation
FDA.....	Food and Drug Administration
FY.....	Fiscal Year
GCP.....	Good Clinical Practice
GLP.....	Good Laboratory Practice
GWVIRP.....	Gulf War Veterans' Illnesses Research Program
HBCU/MI.....	Historically Black Colleges and Universities/Minority Institutions
HIPAA.....	Health Insurance Portability and Accountability Act
hES.....	Human Embryonic Stem
HRPO.....	Human Research Protection Office
HSRRB.....	Human Subjects Research Review Board
IDE.....	Investigational Device Exemption
IND.....	Investigational New Drug
IP.....	Integration Panel
IRB.....	Institutional Review Board
IRS.....	Internal Revenue Service
JPEG.....	Joint Photographic Experts Group
JPIP.....	Joint Program Integration Panel
LAR.....	Legally Authorized Representative
LOI.....	Letter of Intent
M.....	Million

MB .....Megabyte  
 MPEG .....Moving Picture Experts Group  
 NIH .....National Institutes of Health  
 NFRP.....Neurofibromatosis Research Program  
 OCRP .....Ovarian Cancer Research Program  
 OMB .....Office of Management and Budget  
 ORP.....Office of Research Protections  
 PCR.....Prostate Cancer Research Program  
 PDF .....Portable Document Format  
 PI.....Principal Investigator  
 P.L.....Public Law  
 POC.....Point of Contact  
 PRMRP .....Peer Reviewed Medical Research Program  
 PTSDRP .....Post-traumatic Stress Disorder Research Program  
 R&R OPI.....Research & Related Other Project Information  
 SOW.....Statement of Work  
 SPORE .....Specialized Programs of Research Excellence  
 TBIRP .....Traumatic Brain Injury Research Program  
 TIFF .....Tagged Image File Format  
 TIN.....Tax Identification Number  
 TSCR.....Tuberous Sclerosis Complex Research Program  
 URL.....Uniform Resource Locator  
 USAMRAA.....US Army Medical Research Acquisition Activity  
 USAMRMC .....US Army Medical Research and Materiel Command  
 USC.....United States Code  
 WAV .....Waveform Audio  
 XML.....Extensible Markup Language

**IX. CDMRP-SPECIFIC FORMS**

**FORM 1**

**BIOGRAPHICAL SKETCH**

**Provide the following information for each individual included in the Research & Related Senior/Key Person Profile (Expanded) Form.**

NAME		POSITION TITLE	
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training).			
INSTITUTION AND LOCATION	DEGREE (IF APPLICABLE)	YEAR(S)	FIELD OF STUDY

**RESEARCH AND PROFESSIONAL EXPERIENCE:** Concluding with present position, list in chronological order, previous employment, experience, and honors. Include present membership on any Federal Government public advisory committee. List in chronological order the titles, all authors, and complete references to all publications during the past 3 years and to representative earlier publications pertinent to this application. If the list of publications in the last 3 years exceeds 2 pages, select the most pertinent publications. PAGE LIMITATIONS APPLY. DO NOT EXCEED 4 PAGES FOR THE ENTIRE BIOGRAPHICAL SKETCH PER INDIVIDUAL.

RESEARCH AND PROFESSIONAL EXPERIENCE (CONTINUED). PAGE LIMITATIONS APPLY. DO NOT EXCEED 4 PAGES FOR THE ENTIRE BIOGRAPHICAL SKETCH PER INDIVIDUAL.