

# **I. OVERVIEW OF THE FUNDING OPPORTUNITY**

**Program Announcement for the Department of Defense**

**Defense Health Program**

**Congressionally Directed Medical Research Programs**

**Peer Reviewed Alzheimer’s Research Program**

**Innovations in Care and Support Award**

**Announcement Type: Initial**

**Funding Opportunity Number: W81XWH-21-PRARP-InCASA**

**Catalog of Federal Domestic Assistance Number: 12.420 Military Medical  
Research and Development**

## **SUBMISSION AND REVIEW DATES AND TIMES**

- **Pre-Application Submission Deadline:** 5:00 p.m. Eastern time (ET), June 14, 2021
- **Application Submission Deadline:** 11:59 p.m. ET, July 21, 2021
- **End of Application Verification Period:** 5:00 p.m. ET, July 26, 2021
- **Peer Review:** September 2021
- **Programmatic Review:** December 2021

*This program announcement must be read in conjunction with the General Application Instructions, version 603. The General Application Instructions document is available for downloading from the Grants.gov funding opportunity announcement by selecting the “Package” tab, clicking “Preview,” and then selecting “Download Instructions.”*

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## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### II.A. Program Description

Applications to the Fiscal Year 2021 (FY21) Peer Reviewed Alzheimer's Research Program (PRARP) are being solicited for the Defense Health Agency (DHA) J9, Research and Development Directorate, by the U.S. Army Medical Research Acquisition Activity (USAMRAA) using delegated authority provided by United States Code, Title 10, Section 2358 (10 USC 2358). As directed by the Office of the Assistant Secretary of Defense for Health Affairs (OASD[HA]), the DHA manages the Defense Health Program (DHP) Research, Development, Test, and Evaluation (RDT&E) appropriation. The execution management agent for this program announcement is the Congressionally Directed Medical Research Programs (CDMRP).

Military personnel may face an increased risk for developing Alzheimer's disease (AD) or a related dementia as they age.<sup>1</sup> Risk factors such as traumatic brain injury, vascular disease, lifestyle, and alterations in cognition or behavior may affect military personnel at higher rates or with greater severity than the general public. These risk factors may be linked to early dementia symptoms, such as aggression, memory loss, depression, and symptoms similar to those of other neurological diseases, long before a dementia diagnosis can be established by a medical professional.

Since the PRARP was initiated in Fiscal Year 2011 (FY11), the program has addressed the long-term consequences of traumatic brain injury (TBI) as they pertain to Alzheimer's disease (AD) and AD-related dementias (ADRD). In FY21, the program is expanding its focus to include the spectrum of military health risk factors that may lead to AD and ADRD. The program emphasizes not only basic research related to understanding and diagnosing the molecular basis of dementia after military service, but also tools and strategies that can improve the quality of life of individuals living with AD or ADRD by their implementation in care settings.

**Vision:** To address the long-term implications of military service as they pertain to Alzheimer's disease and Alzheimer's disease-related dementias

**Mission:** Devoted to (1) understanding the association between military service-related risk factors and Alzheimer's disease/Alzheimer's disease-related dementias, and (2) reducing the burden on affected individuals and caregivers, especially in the military and Veteran communities

Appropriations for the PRARP from FY11 through FY20 totaled \$138 million (M). The FY21 appropriation is \$15M.

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<sup>1</sup>Snyder HM, Carare RO, DeKosky ST, et al. 2018. Military-related risk factors for dementia. *Alzheimers Dement*;14(12):1651-1662. doi:10.1016/j.jalz.2018.08.011

***The proposed research must be relevant to active-duty Service Members, Veterans, military beneficiaries, and/or the American public.***

The FY21 PRARP seeks applications to support its Overarching Challenges and Military Risk Factors. A full description of the FY21 Overarching Challenges and Military Risk Factors may be found in [Section II.B, Award Information](#) and at the PRARP website (<https://cdmrp.army.mil/prarp>).

### **II.A.1. Award History**

The PRARP Innovations in Care and Support Award (InCASA) mechanism was first offered in FY19. Since then, 14 InCASA applications have been received, and 5 have been recommended for funding.

### **II.B. Award Information**

The intent of the FY21 PRARP InCASA is to support innovative and impactful research that improves the quality of life and care for individuals, families, and care providers living with AD/ADRD. The proposed work should innovatively challenge existing research paradigms or exhibit high levels of creativity within the context of the PRARP's mission and vision. This can include innovations and research for symptom reduction (e.g., cognitive, behavioral, function, mood), resiliency factors, increasing or maintaining independence, and support for families and care providers. The application should also demonstrate the study team's experience in both military risk factor-related research and AD/ADRD as suited to the proposed work. Given the patient-centered intent of the FY21 PRARP InCASA, animal research is prohibited. The research innovation and impact for the FY21 PRARP InCASA are expected to benefit the military, Veteran, and civilian communities. ***FY21 PRARP InCASA applications must be innovation- and impact-based.***

**FY21 PRARP InCASA Overarching Challenges:** The Overarching Challenges below are specific to the FY21 PRARP InCASA. *Applicants to the FY21 PRARP InCASA must address and select one of the Overarching Challenges below:*

- **Paucity of Clinical Studies:** The paucity of clinical studies to examine the interrelationship between military service-related risk factors and subsequent AD/ADRD
- **Quality of Life:** The need for technologies, assessments, interventions, or devices to benefit individuals, especially Service Members and Veterans, living with symptoms of AD/ADRD
- **Family and Care Support:** The need for technologies, assessments, interventions, or devices that enhance the lives of those providing care and families of individuals, especially Service Members and Veterans, living with the symptoms of AD/ADRD

**FY21 PRARP InCASA Military Risk Factors:** The Military Risk Factors below are specific to the FY21 PRARP InCASA. *Applicants to the FY21 PRARP InCASA should identify and select one of the Military Risk Factors below; however, an application that proposes research*

outside of these FY21 PRARP InCASA Military Risk Factors is acceptable, as long as the applicant identifies the risk factor to be studied and provides a strong justification.

- **Traumatic Brain Injury:** Studies investigating how head injuries function as risk factors for subsequent AD/ADRD
- **Neuropsychological/Neurobehavioral:** Alterations in cognition or behavior that may be associated with subsequent AD/ADRD
- **Modifiable Risk Factors:** Alterations in activities (e.g., exercise, diet, behaviors) that may be associated with subsequent AD/ADRD
- **Vascular:** Studies investigating the vascular (e.g., heart disease, hypertension, hyperlipidemia) contributions to cognitive impairment and dementia risk factors for subsequent AD/ADRD
- **Inflammation:** Evaluating the pathways of peripheral and brain inflammation and its relationship to subsequent AD/ADRD
- **Genetic:** Genomic analyses or genetic manipulations that investigate the linkages with subsequent AD/ADRD
- **Metabolic:** Alterations in bioenergetics (e.g., diabetes, brain metabolism, endocrine dysfunction) that may be associated with subsequent AD/ADRD
- **Sleep:** Alterations in sleep patterns (e.g., physiological changes or glymphatic changes) that may be associated with subsequent AD/ADRD

*Each FY21 PRARP InCASA application is limited to the choice of one dementia category for the overall application. Applicants must ensure that they have selected the appropriate application category relating to the type of dementia that is the focus of the application:*

- Alzheimer's dementia
- Lewy body dementia
- Frontotemporal dementia
- Mixed dementia
- Vascular dementia

*Note: Mixed dementia research is defined as AD and any of the related dementias described above. Research that focuses exclusively on Chronic Traumatic Encephalopathy (CTE) is prohibited.*

The FY21 PRARP InCASA offers two levels of funding. Funding levels are contingent upon meeting the eligibility requirements described in section [II.C, Eligibility Information](#).

***For Funding Level I:***

**Principal Investigator (PI):** Applicants can be from any field or discipline. The PI must write the Project Narrative and other application components, with appropriate guidance from the mentor(s). ***Applications must include at least one mentor.*** The mentor(s) must possess qualifications, background, and experience in both the identified military risk factor and AD/ADRD. Applications must explain how the mentor(s) will assist the PI throughout the period of performance in developing toward independent research. Provide details on the amount and types of interactions between the mentor(s) and the PI. Describe the track record of the mentor(s) for mentoring early-career investigators in both the identified military risk factor and AD/ADRD. The PI is expected to demonstrate suitable experience toward completing the proposed research.

***For Funding Level II:***

Applicants can be from any field or discipline. Study teams are expected to demonstrate relevant experience in both the identified military risk factor and AD/ADRD.

***For Both Funding Levels:***

While not required, applications to either Funding Level I or II are encouraged to provide relevant preliminary data. Preliminary data for either funding level may come from the PI's published work, pilot data, or from the peer-reviewed literature. Funding Level I applications may provide preliminary data from published work of their mentor(s). The named PI will be required to attend an annual, one-day In-Progress Review (IPR) meeting beginning in year 2 of the award and throughout the remaining period of performance to present project information or disseminate project results.

The types of awards made under the program announcement will be assistance agreements. An assistance agreement is appropriate when the federal government transfers a "thing of value" to a "state, local government," or "other recipient" to carry out a public purpose of support or stimulation authorized by a law of the United States instead of acquiring property or service for the direct benefit and use of the U.S. government. An assistance agreement can take the form of a grant or cooperative agreement. The level of involvement on the part of the Department of Defense (DOD) during project performance is the key factor in determining whether to award a grant or cooperative agreement. If "no substantial involvement" on the part of the funding agency is anticipated, a grant award will be made (31 USC 6304). Conversely, if substantial involvement on the part of the funding agency is anticipated, a cooperative agreement will be made (31 USC 6305), and the award will identify the specific substantial involvement. Substantial involvement may include, but is not limited to, collaboration, participation, or intervention in the research to be performed under the award. The award type, along with the start date, will be determined during the negotiation process.

***For Funding Level I:***

The anticipated direct costs budgeted for the entire period of performance for an FY21 PRARP InCASA will not exceed **\$225,000**. Refer to [Section II.D.5, Funding Restrictions](#), for detailed funding information.

***For Funding Level II:***

The anticipated direct costs budgeted for the entire period of performance for an FY21 PRARP InCASA will not exceed **\$500,000**. Refer to [Section II.D.5, Funding Restrictions](#), for detailed funding information.

Awards will be made no later than September 30, 2022. For additional information refer to [Section II.F.1, Federal Award Notices](#).

***The CDMRP expects to allot approximately \$0.72M to fund approximately two Innovations in Care and Support Award Funding Level I applications and \$2.40M to fund approximately three Innovations in Care Support Award Funding Level II applications. Funding of applications received is contingent upon the availability of federal funds for this program as well as the number of applications received, the quality and merit of the applications as evaluated by scientific and programmatic review, and the requirements of the government. Funds to be obligated on any award resulting from this funding opportunity will be available for use for a limited time period based on the fiscal year of the funds. It is anticipated that awards made from this FY21 funding opportunity will be funded with FY21 funds, which will expire for use on September 30, 2027.***

**Research Involving Human Anatomical Substances, Human Subjects, or Human Cadavers:** All DOD-funded research involving new and ongoing research with human anatomical substances, human subjects, or human cadavers must be reviewed and approved by the U.S. Army Medical Research and Development Command (USAMRDC) Office of Research Protections (ORP), Human Research Protection Office (HRPO), prior to research implementation. This administrative review requirement is in addition to the local Institutional Review Board (IRB) or Ethics Committee (EC) review. Local IRB/EC approval at the time of submission is *not* required. ***Allow a minimum of 2 to 3 months for HRPO regulatory review and approval processes.*** Refer to the General Application Instructions, Appendix 1, and the Human Research Protections Office Resources and Overview document available on the electronic Biomedical Research Application Portal (eBRAP) “Funding Opportunities & Forms” web page (<https://ebrap.org/eBRAP/public/Program.htm>) for additional information.

If the proposed research is cooperative (i.e., involving more than one institution), a written plan for single IRB review arrangements must be provided at the time of application submission or award negotiation. The lead institution responsible for developing the master protocol and master consent form should be identified and should be the single point of contact for regulatory submissions and requirements.

***A clinical trial is defined*** as a research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other

control) to evaluate the effects of the interventions on biomedical or behavioral health-related outcomes.

***Clinical research is defined*** as: (1) patient-oriented research. Research conducted with human subjects (or on material of human origin such as tissues, specimens and cognitive phenomena) for which an investigator (or colleague) directly interacts with human subjects. Excluded from this definition are in vitro studies that utilize human tissues that cannot be linked to a living individual. Patient-oriented research includes: (a) mechanisms of human disease, (b) therapeutic interventions, (c) clinical trials, and (d) development of new technologies; (2) epidemiologic and behavioral studies; and (3) outcomes research and health services research. **Note:** Studies that meet the requirements for IRB review Exemption 4 are not considered CDMRP-defined clinical research. IRB Exemption 4 refers to research involving the collection or study of existing de-identified specimens or data, if these sources are publicly available.

***Note: Pharmacological interventions are specifically discouraged. A pharmacological intervention is defined as clinical research requiring investigational or U.S. Food and Drug Administration (FDA)-approved drugs or medicines.***

**Use of DOD or Department of Veterans Affairs (VA) Resources:** If the proposed research involves access to active-duty military patient populations and/or DOD or VA resources or databases, the application must describe the access at the time of submission and include a plan for maintaining access as needed throughout the proposed research. Refer to [Section II.D.2.b.ii, Full Application Submission Components](#), for detailed information. Refer to the General Application Instructions, Appendix 1, for additional information.

**Prospective Human Studies and the Federal Interagency Traumatic Brain Injury Research (FITBIR) Informatics System:** The DOD requires that awardees make TBI research data generated by this award mechanism available to the research community through the FITBIR Informatics System. The FITBIR Informatics System is a free resource designed to accelerate research progress by allowing the storage, re-analysis, integration, and rigorous comparison of multiple datasets. ***Currently, FITBIR-eligible research includes all studies generating prospectively collected human TBI subject data (e.g., clinical, demographic, phenotypic, imaging, and genomic).*** Data reporting to FITBIR is an opportunity for investigators to facilitate their own research and to collaborate with others engaged in similar research. While there is no direct charge to users of the FITBIR Informatics System, a project estimation tool (<https://fitbir.nih.gov/jsp/contribute/fitbir-costs.jsp>) is available to help estimate costs and manpower needs that may be associated with data submission. FITBIR guidance and policies, as well as the considerable advantages of FITBIR participation to the researcher, are detailed at <https://fitbir.nih.gov/>. ***Appendix 2 of this program announcement contains consent guidance.***

***FITBIR data submission requirement applies only to DHP-funded TBI research projects with 50 or more prospectively recruited human subjects.***

**Use of Common Data Elements (CDEs):** Research data elements must be reported using the National Institute of Neurological Disorders and Stroke (NINDS) TBI CDEs or entered into the FITBIR data dictionary as new, unique data elements (UDEs). For the most current version of the NINDS TBI CDEs, go to <https://www.commondataelements.ninds.nih.gov>. Assistance will



be available to help researchers map their study variables to specific CDEs and ensure the formats of the CDEs collected are compatible with the FITBIR Informatics System. Use of the TBI CDEs is required wherever possible in an effort to create standardized definitions and guidelines about the kinds of data to collect and the data collection methods that should be used in clinical studies of TBI. *Use of UDEs is strongly discouraged and subject to program approval.*

## **II.C. Eligibility Information**

### **II.C.1. Eligible Applicants**

**II.C.1.a. Organization: All organizations, including foreign organizations, foreign public entities, and international organizations, are eligible to apply.**

**Government Agencies Within the United States:** Local, state, and federal government agencies are eligible to the extent that applications do not overlap with their fully funded internal programs. Such agencies are required to explain how their applications do not overlap with their internal programs.

As applications for this program announcement may be submitted by extramural and intramural organizations, these terms are defined below.

**Extramural Organization:** An eligible non-DOD organization. Examples of extramural organizations include academic institutions, biotechnology companies, foundations, federal government organization other than the DOD, and research institutes.

**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 working within a DOD laboratory or military treatment facility or in a DOD activity embedded within a civilian medical center.***

**USAMRAA makes awards to eligible organizations, not to individuals.**

### **II.C.1.b. Principal Investigator**

#### ***Funding Level I:***

The named PI must be at least at the postdoctoral level (e.g., research associate, fellow, medical resident, or equivalent) but **below** the level of assistant professor (or equivalent) at the time of the application submission deadline.

#### ***Funding Level II:***

The named PI must be an independent investigator at or above the level of assistant professor (or equivalent) at the time of the application submission deadline.

### ***Both Funding Levels:***

Each investigator may be named on only one FY21 PRARP InCASA application as a PI.

An eligible PI, regardless of ethnicity, nationality, or citizenship status, must be employed by, or affiliated with, an eligible organization.

The CDMRP encourages all PIs to participate in a digital identifier initiative through Open Researcher and Contributor ID, Inc. (ORCID). Registration for a unique ORCID identifier can be done online at <https://orcid.org/>.

### **II.C.2. Cost Sharing**

Cost sharing/matching is not an eligibility requirement.

### **II.C.3. Other**

Organizations must be able to access **.gov** and **.mil** websites in order to fulfill the financial and technical deliverable requirements of the award and submit invoices for payment.

For general information on required qualifications for award recipients, refer to the General Application Instructions, Appendix 3.

Refer to [Section II.H.2, Administrative Actions](#), for a list of administrative actions that may be taken if a pre-application or application does not meet the administrative, eligibility, or ethical requirements defined in this program announcement.

## **II.D. Application and Submission Information**

***Submission of applications that are essentially identical or propose essentially the same research project to different funding opportunities within the same program and fiscal year is prohibited and will result in administrative withdrawal of the duplicative application(s).***

### ***Extramural Submission:***

- Pre-application content and forms must be accessed and submitted at [eBRAP.org](http://eBRAP.org).
- Full application packages must be accessed and submitted at Grants.gov.

### ***Intramural DOD Submission:***

- Pre-application content and forms must be accessed and submitted at [eBRAP.org](http://eBRAP.org).
- Full application packages must be accessed and submitted at [eBRAP.org](http://eBRAP.org).

***Note: Applications from an intramural DOD organization or from an extramural federal government organization may be submitted to Grants.gov through a research foundation.***

### **II.D.1. Address to Request Application Package**

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 period of performance.

Contact information for the CDMRP Help Desk and the Grants.gov Contact Center can be found in [Section II.G, Federal Awarding Agency Contacts](#).

### **II.D.2. Content and Form of the Application Submission**

Submission is a two-step process requiring both *pre-application* (eBRAP.org) and *full application* (eBRAP.org or Grants.gov) as indicated below. The submission process should be started early to avoid missing deadlines. There are no grace periods. Full application submission guidelines differ for extramural (Grants.gov) and intramural (eBRAP.org) organizations (refer to [Table 1, Full Application Guidelines](#)).

*The application title, eBRAP log number, and all information for the PI, Business Official(s), performing organization, and contracting organization must be consistent throughout the entire pre-application and full application submission process.* Inconsistencies may delay application processing and limit or negate the ability to view, modify, and verify the application in eBRAP. If any changes need to be made, the applicant should contact the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org) or 301-682-5507 prior to the application submission deadline.

#### **II.D.2.a. Step 1: Pre-Application Submission Content**

*During the pre-application process, eBRAP assigns each submission a unique log number. This unique eBRAP log number is required during the full application submission process.*

To begin the pre-application process, first select whether the submitting organization is extramural or intramural, then confirm your selection or cancel. **Incorrect selection of extramural or intramural submission type will delay processing.**

If an error has been made in the selection of extramural versus intramural and the pre-application submission deadline has passed, the PI or Business Official must contact the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org) or 301-682-5507 to request a change in designation.

All pre-application components must be submitted by the PI through eBRAP (<https://eBRAP.org/>).

The applicant organization and associated PI[s] [and mentors] identified in the pre-application should be the same as those intended for the subsequent application submission. If any changes are necessary after submission of the pre-application, the applicant must contact the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org) or 301-682-5507.

PIs with an ORCID identifier should enter that information in the appropriate field in the “My Profile” tab in the “Account Information” section of eBRAP.

The pre-application consists of the following components, which are organized in eBRAP by separate tabs (refer to the General Application Instructions, Section II.B, for additional information on pre-application submission):

- **Tab 1 – Application Information**

Submission of application information includes assignment of primary and secondary research classification codes, which may be found at <https://ebrap.org/eBRAP/public/Program.htm>. Applicants are strongly encouraged to review and confirm the codes prior to making their selection.

- **Tab 2 – Application Contacts**

Enter contact information for the PI. Enter the organization’s Business Official responsible for sponsored program administration (the “person to be contacted on matters involving this application” in Block 5 of the Grants.gov SF424 Research & Related Form). The Business Official must be either selected from the eBRAP list or invited in order for the pre-application to be submitted.

Select the performing organization (site at which the PI will perform the proposed work) and the contracting organization (organization submitting on behalf of the PI, which corresponds to Block 5 on the Grants.gov SF424 Research & Related Form), and click on “Add Organizations to this Pre-application.” The organization(s) must be either selected from the eBRAP drop-down list or invited in order for the pre-application to be submitted.

It is recommended that applicants identify an Alternate Submitter in the event that assistance with pre-application submission is needed.

- **Tab 3 – Collaborators and Key Personnel**

Enter the name, organization, and role of all collaborators and key personnel associated with the application.

[FY21 PRARP Programmatic Panel members](#) should not be involved in any pre-application or application. For questions related to panel members and pre-applications or applications, refer to [Section II.H.2.c, Withdrawal](#), or contact the CDMRP Help Desk at [help@eBRAP.org](mailto:help@eBRAP.org) or 301-682-5507.

- **Tab 4 – Conflicts of Interest**

List all individuals other than collaborators and key personnel who may have a conflict of interest in the review of the application (including those with whom the PI has a personal or professional relationship).

- **Tab 5 – Pre-Application Files**

**Letter of Intent (LOI) (one-page limit):** Provide a brief description of the research to be conducted. LOIs are used for program planning purposes only (e.g., reviewer recruitment)

and will not be reviewed during either the peer or programmatic review sessions. An invitation to submit is *not* required.

- A description of how the pre-application meets the intent of the FY21 PRARP InCASA mechanism (see [Section II.B, Award Information](#)).
- A description of how the research is aligned with one of the FY21 PRARP InCASA Overarching Challenges (see [Section II.B, Award Information](#)).
- A description of how the research is aligned with at least one of the FY21 PRARP InCASA Military Risk Factors (see [Section II.B, Award Information](#)). Research outside of these FY21 PRARP InCASA Military Risk Factors is acceptable, but the application should identify the risk factor to be studied and a justification should be included in the LOI.
- A description of the type of dementia that will be the research focus of the application (see [Section II.B, Award Information](#)).

- **Tab 6 – Submit Pre-Application**

This tab must be completed for the pre-application to be accepted and processed.

#### **II.D.2.b. Step 2: Full Application Submission Content**

*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.*

Each application submission must include the completed full application package for this program announcement. The full application package is submitted by the Authorized Organizational Representative through Grants.gov (<https://www.grants.gov/>) for extramural organizations or through eBRAP (<https://ebrap.org/>) for intramural organizations. See Table 1 below for more specific guidelines.

#### **II.D.2.b.i. Full Application Guidelines**

Extramural organizations must submit full applications through Grants.gov. Applicants must create a Grants.gov Workspace for submission, which allows the application components to be completed online and routed through the applicant organization for review prior to submission. Applicants may choose to download and save individual PDF forms rather than filling out webforms in Workspace. A compatible version of Adobe Reader **must** be used to view, complete, and submit an application package consisting of PDF forms. If more than one person is entering text into an application package, the *same version* of Adobe Reader software should be used by each person. Check the version number of the Adobe software on each user's computer to make sure the versions match. Using different versions of Adobe Reader may cause submission and/or save errors – even if each version is individually compatible with Grants.gov. Refer to the General Application Instructions, Section III, and the “Apply For Grants” page of Grants.gov (<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>) for further

information about the Grants.gov Workspace submission process. Submissions of extramural applications through eBRAP may be withdrawn.

*Do not password protect any files of the application package, including the Project Narrative.*

**Table 1. Full Application Submission Guidelines**

Extramural Submissions	Intramural DOD Submissions
<b>Application Package Location</b>	
<p>Download application package components for W81XWH-21-PRARP-InCASA from Grants.gov (<a href="https://www.grants.gov">https://www.grants.gov</a>) and create a Grants.gov Workspace. Workspace allows online completion of the application components and routing of the application package through the applicant organization for review prior to submission.</p>	<p>Download application package components for W81XWH-21-PRARP-InCASA from eBRAP (<a href="https://ebrap.org">https://ebrap.org</a>).</p>
<b>Full Application Package Components</b>	
<p><b>SF424 Research &amp; Related Application for Federal Assistance Form:</b> Refer to the General Application Instructions, Section III.A.1, for detailed information.</p>	<p><b>Tab 1 – Summary:</b> Provide a summary of the application information.</p> <p><b>Tab 2 – Application Contacts:</b> This tab will be pre-populated by eBRAP; add Authorized Organizational Representative.</p>
<p>Descriptions of each required file can be found under Full Application Submission Components:</p> <ul style="list-style-type: none"> <li>• <a href="#">Attachments</a></li> <li>• <a href="#">Research &amp; Related Personal Data</a></li> <li>• <a href="#">Research &amp; Related Senior/Key Person Profile (Expanded)</a></li> <li>• <a href="#">Research &amp; Related Budget</a></li> <li>• <a href="#">Project/Performance Site Location(s) Form</a></li> </ul>	<p><b>Tab 3 – Full Application Files:</b> Upload files under each Application Component in eBRAP. Descriptions of each required file can be found under Full Application Submission Components:</p> <ul style="list-style-type: none"> <li>• <a href="#">Attachments</a></li> <li>• <a href="#">Key Personnel</a></li> <li>• <a href="#">Budget</a></li> <li>• <a href="#">Performance Sites</a></li> </ul> <p><b>Tab 4 – Application and Budget Data:</b> Review and edit proposed project start date, proposed end date, and budget data pre-populated from the Budget Form.</p>
<b>Application Package Submission</b>	
<p><b>Create a Grants.gov Workspace.</b> Add participants (investigators and Business Officials) to Workspace, complete all required forms, and check for errors before submission.</p> <p><b>Submit a Grants.gov Workspace Package.</b> An application may be submitted through Workspace by clicking the “Sign and Submit”</p>	<p><b>Submit package components to eBRAP</b> (<a href="https://ebrap.org">https://ebrap.org</a>).</p> <p><b>Tab 5 – Submit/Request Approval Full Application:</b> After all components are uploaded and prior to the full application submission deadline, enter your password in the space provided next to “Enter Your Password Here” and</p>

Extramural Submissions	Intramural DOD Submissions
<p>button on the “Manage Workspace” page, under the “Forms” tab. Grants.gov recommends submission of the application package <b>at least 24-48 hours prior to the close date</b> to allow time to correct any potential technical issues that may disrupt the application submission.</p> <p><i>Note:</i> If either the Project Narrative or the budget fails eBRAP validation or if the Project Narrative 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 <i>prior to</i> the application submission deadline. <b>Do not password protect any files of the application package, including the Project Narrative.</b></p>	<p>press the “Submit Full Application” button. eBRAP will notify your Resource Manager/ Comptroller/Task Area Manager or equivalent Business Official by email. <b>Do not password protect any files of the application package, including the Project Narrative.</b></p>
<b><u><a href="#">Application Verification Period</a></u></b>	
<p>The full application package submitted to Grants.gov may be viewed and modified in eBRAP until the end of the application verification period. During the application verification period, the full application package may be modified <b>with the exception of the Project Narrative and Research &amp; Related Budget Form.</b></p>	<p>After eBRAP has processed the full application, the organizational Resource Manager/Comptroller/ Task Area Manager or equivalent Business Official and PI will receive 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 may be modified <b>with the exception of the Project Narrative and Research &amp; Related Budget Form.</b> Your Resource Manager/ Comptroller/Task Area Manager or equivalent Business Official should log into eBRAP to review and to approve prior to the application verification deadline.</p>
<b>Further Information</b>	
<p><b>Tracking a Grants.gov Workspace Package.</b> After successfully submitting a Workspace package, a Grants.gov Tracking Number is automatically assigned to the package. The number will be listed on the “Confirmation” page that is generated after submission.</p> <p>Refer to the General Application Instructions, Section III, for further information regarding Grants.gov requirements.</p>	<p>Refer to the General Application Instructions, Section IV, for further information regarding eBRAP requirements.</p>

The full application package must be submitted using the unique eBRAP log number to avoid delays in application processing.

#### **II.D.2.b.ii. Full Application Submission Components**

- **Extramural Applications Only**

**SF424 Research & Related Application for Federal Assistance Form:** Refer to the General Application Instructions, Section III.A.1, for detailed information.

- **Extramural and Intramural Applications**

**Attachments:**

*Each attachment to the full application components must be uploaded as an individual file in the format specified and in accordance with the formatting guidelines listed in the General Application Instructions, Appendix 4.*

For all attachments, ensure that the file names are consistent with the guidance. Attachments will be rejected if the file names are longer than 50 characters or have incorrect file names that contain characters other than the following: A-Z, a-z, 0-9, underscore, hyphen, space, and period. In addition, there are file size limits that may apply in some circumstances. Individual attachments may not exceed 20 MB, and the file size for the entire full application package may not exceed 200 MB.

- **Attachment 1: Project Narrative (15-page limit): Upload as “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.

Describe the proposed project in detail using the outline below.

- **Background:** Present the ideas and reasoning behind the proposed research; include relevant literature citations.
- **Preliminary Data:** Provide preliminary data (if available) to support the rationale and feasibility of the study. Preliminary data may come from PI’s published work, pilot data, or from the peer-reviewed literature. Funding Level I applications may provide preliminary data from published work of their mentor(s).
- **Hypothesis (or Hypotheses) or Objectives:** State the hypothesis (or hypotheses) or objectives to be tested.
- **Specific Aims:** Concisely explain the project’s specific aims.



- **Project Milestones:** Concisely provide expected project milestones relevant to each of the project’s technical objectives and specific aims.
- **Research Strategy:** Describe the experimental design, methods, and analyses, including appropriate controls, in sufficient detail for evaluation. Identify any potential problems. Describe alternative approaches. Research projects may include preclinical studies, human subjects, and human anatomical substances. Clinical research requiring investigational or FDA-approved drugs or medicines is specifically discouraged. Include a detailed plan that discusses recruitment of subjects (if applicable), the acquisition of samples or data (if applicable). Describe any statistical plans with appropriate power analyses and demonstrate how they support the sample size. Describe how the studies are designed to achieve the objectives, including the choice of model and endpoints/outcome measures to be used, if applicable. If applicable, describe the strategy for the inclusion of women and minorities appropriate to the objectives of the study, including a description of the composition of the proposed study population in terms of sex/gender, racial, and/or ethnic group, and an accompanying rationale for the selection of subjects.
- **Alzheimer’s Disease/Alzheimer’s Disease Related Dementias Description:** Describe the type of dementia that will be the research focus of the application (see [Section II.B, Award Information](#)).
- **Attachment 2: Supporting Documentation: Combine and upload as a single file named “Support.pdf”.** Start each document on a new page. If documents are scanned to PDF, the lowest resolution (100 to 150 dpi) should be used. The Supporting Documentation attachment should not include additional information such as figures, tables, graphs, photographs, diagrams, chemical structures, or drawings. These items should be included in the Project Narrative.

*There are no page limits for any of these components unless otherwise noted. Include only those components described below; inclusion of items not requested or viewed as an extension of the Project Narrative will result in the removal of those items or may result in administrative withdrawal of the application.*

- **References Cited:** List the references cited (including URLs, if available) in the Project Narrative 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).
- **List of Abbreviations, Acronyms, and Symbols:** Provide a list of abbreviations, acronyms, and symbols.
- **Facilities, Existing Equipment, and Other Resources:** Describe the facilities and equipment available for performance of the proposed project and any additional facilities or equipment proposed for acquisition at no cost to the award. Indicate whether or not government-furnished facilities or equipment are proposed for use. If so, reference should be made to the original or present government award under

which the facilities or equipment items are now accountable. There is no form for this information.

- **Publications and/or Patents:** Include a list of relevant publication URLs and/or patent abstracts. If articles are not publicly available, then copies of up to five published manuscripts may be included in Attachment 2. Extra items will not be reviewed.
- **Letters of Organizational Support (three-page limit per letter):** Provide a letter (or letters, if applicable) signed by the Department Chair or appropriate organization official, confirming the laboratory space, equipment, and other resources available for the project. Letters of support not requested in the program announcement, such as those from members of Congress, do not impact application review or funding decisions.
  - *Funding Level I applications should provide a signed letter from the chair of the mentor’s (or mentors’) department(s) that acknowledges the formal designation and role of the mentor(s) for the PI’s research.*
- If applicable, provide an anticipated enrollment table(s) for the inclusion of women and minorities appropriate to the objectives of the study with the proposed enrollment distributed on the basis of sex/gender, race, and ethnicity.
- **Letters of Collaboration (if applicable) (three-page limit per letter):** Provide a signed letter from each collaborating individual, including mentor(s) for Funding Level I applications, or organization that will demonstrate that the PI has the support or resources necessary for the proposed work. *Each collaborating individual or organization should provide a letter of collaboration describing their involvement in the proposed work.* If an investigator at an intramural organization is named as a collaborator on an application submitted through an extramural organization, the application must include a letter from the collaborator’s Commander or Commanding Officer at the intramural organization that authorizes the collaborator’s involvement.

*For Funding Level I applications, the mentor(s) listed in the pre-application should provide a letter of collaboration.*

- **Intellectual Property:** Information can be found in Code of Federal Regulations, Title 2, Part 200.315 (2 CFR 200.315), “Intangible Property.”
  - **Intellectual and Material Property Plan (if applicable):** Provide a plan for resolving intellectual and material property issues among participating organizations.
  - **Commercialization Strategy (if applicable):** Describe the commercialization plan. The plan should include intellectual property, market size, financial analysis, strengths and weaknesses, barriers to the market, competitors, and management team. Discuss the significance of this development effort, when it

can be anticipated, and the potential commercial use for the technology being developed.

- **Use of DOD Resources (if applicable):** Provide a letter of support signed by the lowest-ranking person with approval authority confirming access to active-duty military populations and/or DOD resources or databases.
- **Use of VA Resources (if applicable):** Provide a letter of support from the VA Facility Director(s) or individual designated by the VA Facility Director(s), such as the Associate Chief of Staff for Research and Development (ACOS/R&D) or Clinical Service Chief, confirming access to VA patients, resources, and/or VA research space. For VA PIs, if the VA non-profit corporation is not identified as the applicant institution for administering the funds, include a letter from the VA ACOS/R&D confirming this arrangement and identifying the institution that will administer the funds associated with the proposed research.
- **Attachment 3: Technical Abstract (one-page limit): Upload as “TechAbs.pdf”.** The technical abstract is used by all reviewers. Abstracts of all funded research projects will be posted publicly. *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.

Describe the proposed research project including the following elements:

- **Background:** Present the ideas and reasoning behind the proposed.
- **Hypothesis (or Hypotheses) or Objectives:** State the hypothesis (or hypotheses) or objectives to be tested.
- **Specific Aims:** Concisely explain the project’s specific aims.
- **Research Strategy:** Briefly describe the research strategy.
- **Innovation and Impact:** Describe how the research innovation and impact can benefit the military, Veteran, and civilian communities.

Of particular importance, programmatic reviewers typically do not have access to the full application and therefore rely on the technical abstract for appropriate description of the project’s key aspects. Therefore, clarity and completeness within the space limits of the technical abstract are highly important.

- **Attachment 4: Lay Abstract (one-page limit): Upload as “LayAbs.pdf”.** The lay abstract is used by all reviewers. Abstracts of all funded research projects will be posted publicly. *Do not include proprietary or confidential information. Do not duplicate the technical abstract.* Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

Describe the scientific objective and rationale for the proposed project in a manner that will be *readily understood by readers without a background in science or medicine*. Furthermore, describe how the research innovation and impact can benefit the military, Veteran, and civilian communities.

Of particular importance, programmatic reviewers typically do not have access to the full application and therefore rely on the lay abstract for appropriate description of the project's key aspects. Therefore, clarity and completeness within the space limits of the lay abstract are highly important.

- **Attachment 5: Statement of Work (SOW) (three-page limit): Upload as “SOW.pdf”.** The suggested SOW format and examples specific to different types of research projects are available on the eBRAP “Funding Opportunities & Forms” web page (<https://ebrap.org/eBRAP/public/Program.htm>). Recommended strategies for assembling the SOW can be found at <https://ebrap.org/eBRAP/public/Program.htm>.
- For the FY21 PRARP InCASA, refer to either the “*Suggested SOW Strategy Clinical Research*” or “*Suggested SOW Strategy Generic Research*”, whichever format is most appropriate for the proposed effort and use the blank SOW format titled “Suggested SOW Format”. The SOW must be in PDF format prior to attaching.

The SOW should include a list of major tasks that support the proposed specific aims, followed by a series of subtasks outlined related to the major tasks and milestones within the period of performance. The SOW should describe only the work for which funding is being requested by this application and, as applicable, should also:

- Include the name(s) of the key personnel and contact information for each study site/subaward site.
- Indicate the number (and type, if applicable) of research subjects and/or human anatomical samples projected or required for each task and at each site. Refer to the General Application Instructions, Appendix 1, for additional information regarding regulatory requirements.
- For studies with prospective accrual of human subjects, indicate quarterly enrollment targets.
- If applicable, indicate timelines required for regulatory approvals relevant to human subjects research (e.g., Investigational New Drug and Investigational Device Exemption applications) by the FDA or other government agency.
- Briefly state the methods to be used.
- If human anatomical substances (including cell lines) will be used, specify whether or not identifiable information is accessible to the research team by any means.
- Clearly identify the contributions of each PI for each task.

- For FITBIR, eligible research (human prospective studies with 50 or more prospectively recruited subjects) should include:
  - FITBIR investigator and study registration within the first 30 days of the award
  - Sharing of draft data collection forms with FITBIR
  - Annual FITBIR data submissions
- **Attachment 6: Eligibility Statement (Funding Level I): Upload as “Eligibility.pdf”.** Provide a letter signed by the Department Chair, Dean, or equivalent official verifying that the eligibility requirements described in [Section II.C, Eligibility Information](#) will be met by the time of the application submission deadline. *Funding Level I applications must include an Eligibility Statement.*
- **Attachment 7: Innovation and Impact Statement (one-page limit): Upload as “InnovationImpact.pdf”.** Detail how the research innovatively challenges existing research paradigms or exhibits high levels of creativity within the contexts of the PRARP’s mission and vision. Detail how the novel research efforts will benefit researchers and practitioners in the health sciences related to the PRARP’s mission and vision (see [Section II.A, Program Description](#)). Furthermore, explain how the innovation and impact can benefit individuals affected by AD/ADRD, their caregivers, and their families. *The application must include an Innovation and Impact Statement.*
- **Attachment 8: Overarching Challenges and Military Risk Factors Statement (one-page limit): Upload as “OCMRFS.pdf”.** Describe how the proposed study is responsive and relevant to one of the specific FY21 PRARP InCASA Overarching Challenges (see [Section II.B, Award Information](#)). In addition, describe how the application addresses at least one of the specific FY21 PRARP InCASA Military Risk Factors (see [Section II.B, Award Information](#)). An application that proposes research outside of the FY21 PRARP InCASA Military Risk Factors is acceptable, as long as the applicant identifies the risk factor to be studied and provides a strong justification. *The application must include an Overarching Challenges and Military Risk Factors Statement.*
- **Attachment 9: Data and Research Resources Sharing Plan (two-page limit): Upload as “Sharing.pdf”.** Refer to the General Application Instructions, Appendix 2, Section K, for more information about the CDMRP expectations for making data and research resources publicly available. A robust plan is required as part of the application process. Describe the type of data or research resource to be made publicly available as a result of the proposed work. Also, describe the plan for the provision of access to the data or research resources generated from the proposed work to the public and how the data or resource will be made available after the award expires. Provide a milestone plan for data dissemination as part of this statement.

**Note:** Any application that includes human prospective studies of TBI must consider the FITBIR Informatics System as an additional part of the Data and Research

***Resources Sharing Plan. Animal studies are precluded from the FITBIR Informatics System requirement.***

***Note: FITBIR data submission requirement applies only to DHP-funded TBI research projects with 50 or more prospectively recruited human subjects.***

In order to share data with FITBIR, three elements must be included in the proposed research:

- Updated informed consent language that includes FITBIR data sharing. Sample consent language is included in [Appendix 2](#) of this program announcement.
- Global Unique Identifier (GUID): FITBIR encourages collaboration between laboratories, as well as interconnectivity with other informatics platforms. Such community-wide sharing requires common data definitions and standards. FITBIR allows for de-identification and storage of data (medical imaging clinical assessment, environmental and behavioral history, etc.) of various types (text, numeric, image, time series, etc.). Use of FITBIR’s GUID system facilitates repeated and multi-user access to data without the need to personally identify data sources. In order to generate a GUID for a subject, the following personally identifiable information (PII) must be collected in the proposed research:
  - Complete legal given (first) name of subject at birth
  - Complete legal additional name of subject at birth (if subject has a middle name)
  - Complete legal family (last) name of subject at birth
  - Day of birth
  - Month of birth
  - Year of birth
  - Name of city/municipality in which subject was born
  - Country of birth

***Note: PII is never sent to the FITBIR Informatics System. PII cannot be extracted from the GUID. Information on GUID compliance with Health Insurance Portability and Accountability Act (HIPAA) regulations can be found at <https://fitbir.nih.gov/content/global-unique-identifier>.***

- Common Data Elements: Research data elements must be reported using the NINDS TBI CDEs or entered into the FITBIR data dictionary as new UDEs. For the most current versions of the NINDS TBI CDEs, go to <https://www.commondataelements.ninds.nih.gov>. Assistance will be available to help researchers map their study variables to specific CDEs and ensure the formats of the

CDEs collected are compatible with the FITBIR Informatics System. Use of the TBI CDEs is required wherever possible in an effort to create standardized definitions and guidelines about the kinds of data to collect and the data collection methods that should be used in clinical studies of TBI. Use of UDEs is strongly discouraged and subject to program approval.

**For additional guidance regarding sharing of data and research resources, refer to the General Application Instructions, Appendix 2, Section K.**

- **Attachment 10: Mentor(s) Statement (Funding Level I only; one-page limit): Upload as “Mentors.pdf”.** Describe each mentor’s qualifications, background, and experience in both the identified military risk factor and AD/ADRD as it is suited to the proposed research. Explain how the mentor(s) will assist the PI throughout the period of performance in developing toward independent research. Provide details on the amount and types of interactions between the mentor(s) and the PI. Describe the track record of the mentor(s) for mentoring early-career investigators in both the identified military risk factor and AD/ADRD as it is suited to the proposed research. In addition, each mentor should provide a letter of collaboration describing his/her involvement in the proposed work as part of the application’s Supporting Documentation ([Attachment 2](#)). *Funding Level I applications must include a Mentor(s) Statement.*
  - **Attachment 11: Representations, if applicable (extramural submissions only): Upload as “RequiredReps.pdf”.** All extramural applicants must complete and submit the Required Representations template available on eBRAP (<https://ebrap.org/eBRAP/public/Program.htm>). For more information, see the General Application Instructions, Appendix 5, Section B, Representations.
  - **Attachment 12: Suggested Collaborating DOD Military Facility Budget Format, if applicable: Upload as “MFBudget.pdf”.** If a military facility (Military Health System facility, research laboratory, medical 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 a separate budget, using “Suggested Collaborating DOD Military Facility Budget Format”, 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 & Related Budget Form under subaward costs. Refer to the General Application Instructions, Section III.A.8, for detailed information.
- **Extramural and Intramural Applications**

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 USC 1681[a] et seq.), the DOD is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering, and/or mathematics (STEM) disciplines. To enable this assessment, each application must include the following forms completed as indicated.

**Research & Related Personal Data:** For extramural submissions (via Grants.gov), refer to the General Application Instructions, Section III.A.3, and for intramural submissions (via eBRAP), refer to the General Application Instructions, Section IV.A.2, for detailed information.

**Research & Related Senior/Key Person Profile (Expanded):** For extramural submissions (via Grants.gov), refer to the General Application Instructions, Section III.A.4, and for intramural submissions (via eBRAP), refer to the General Application Instructions, Section IV.A.3, for detailed information.

- PI Biographical Sketch (five-page limit): Upload as “Biosketch\_LastName.pdf”. The suggested biographical sketch format is available on the “Funding Opportunities & Forms” web page (<https://ebrap.org/eBRAP/public/Program.htm>) in eBRAP. The National Institutes of Health (NIH) Biographical Sketch may also be used. All biographical sketches should be submitted in uneditable PDF format.
- PI Previous/Current/Pending Support (no page limit): Upload as “Support\_LastName.pdf”.
  - For extramural submissions, refer to the General Application Instructions, Section III.A.4 for detailed information.
  - For intramural submissions, refer to the General Application Instructions, Section IV.A.3, for detailed information.
- Key Personnel Biographical Sketches (five-page limit each): Upload as “Biosketch\_LastName.pdf”.
  - Include each mentor’s biographical sketch (Funding Level I applications only).
- Key Personnel Previous/Current/Pending Support (no page limit): Upload as “Support\_LastName.pdf”.
  - Include each mentor’s previous/current/pending support (Funding Level I applications only).

**Research & Related Budget:** For extramural submissions (via Grants.gov), refer to the General Application Instructions, Section III.A.5, and for intramural submissions (via eBRAP), refer to the General Application Instructions, Section IV.A.4, for detailed information.

**Budget Justification (no page limit): Upload as “BudgetJustification.pdf”.** 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.

**Project/Performance Site Location(s) Form:** For extramural submissions (via Grants.gov), refer to the General Application Instructions, Section III.A.6, and for intramural



submissions (via eBRAP), refer to the General Application Instructions, Section IV.A.5, for detailed information.

- **Extramural Applications Only**

**Research & Related Subaward Budget Attachment(s) Form (if applicable):** Refer to the General Application Instructions, Section III.A.7, for detailed information.

- **Extramural Subaward:** Complete the Research & Related Subaward Budget Form through Grants.gov. (Refer to the General Application Instructions, Section III.A.7, for detailed information.) Verify subaward budget(s) and budget justification forms are present in eBRAP during the application verification period. If these components are missing, upload them to eBRAP before the end of the application verification period.
- **Intramural DOD Collaborator(s):** Complete the “Suggested Collaborating DOD Military Facility Budget Format” and upload to Grants.gov attachment form as Attachment 12. (Refer to the General Application Instructions, Section IV.A.4, for detailed information.) Each Intramural DOD Collaborator should include costs per year on the Grants.gov Research & Related Budget Form under subaward costs.

### **II.D.3. Dun and Bradstreet Data Universal Numbering System (DUNS) Number and System for Award Management (SAM)**

Applicant organizations and all sub-recipient organizations must have a DUNS number to submit applications to Grants.gov. The applicant organization must also be registered in the Entity Management functional area of the SAM with an “Active” status to submit applications through the Grants.gov portal. Verify the status of the applicant organization’s Entity registration in SAM well in advance of the application submission deadline. Allow several weeks to complete the entire SAM registration process. If an applicant has not fully complied with the requirements at 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. Refer to the General Application Instructions, Section III, for further information regarding Grants.gov requirements.

***Announcement of Transition to SAM-Generated Unique Entity Identifier (UEI):*** Through April 2022, a transition from DUNS to the SAM-generated UEI will occur. Refer to the General Application Instructions, Section III.1, DUNS Number, for more information on the transition and timing.

### **II.D.4. Submission Dates and Times**

All submission dates and times are indicated in [Section I, Overview of the Funding Opportunity](#). Pre-application and application submissions are required. The pre-application and application submission process should be started early to avoid missing deadlines. There are no grace periods. Failure to meet either of these deadlines will result in submission rejection.

## **Applicant Verification of Full Application Submission in eBRAP**

***For Both Extramural and Intramural Applicants:*** eBRAP allows an organization’s representatives and PIs to view and modify the full application submissions associated with them. Following retrieval and processing of the full application, eBRAP will notify the organizational representatives and PI by email to log into eBRAP to review, modify, and verify the full application submission. 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. eBRAP does not confirm the accuracy of file content. Application viewing, modification, and verification in eBRAP are strongly recommended, but not required. 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 needs to be modified, an updated full application package must be submitted prior to the application submission deadline. The Project Narrative and Research & Related Budget Form cannot be changed after the application submission deadline.*** Other application components may be changed until the end of the application verification period. Verify that subaward budget(s) and budget justification forms are present in eBRAP during the application verification period. If these components are missing, upload them to eBRAP before the end of the application verification period. After the end of the application verification period, the full application cannot be modified.

***Extramural Submission:*** The full application package submitted to Grants.gov may be viewed and modified in eBRAP until the end of the application verification period. During the application verification period, the full application package, ***with the exception of the Project Narrative and Budget Form***, may be modified.

***Intramural DOD Submission:*** After eBRAP has processed the full application, the organizational Resource Manager/Comptroller/Task Area Manager or equivalent Business Official and PI will receive email notification of the 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. The Resource Manager/Comptroller/Task Area Manager or equivalent Business Official should log into eBRAP to review and to approve the application package prior to the application verification deadline.

***For All Submissions:*** Verify that subaward budget(s) with budget justification are present in eBRAP during the application verification period. If these components are missing, upload them to eBRAP before the end of the application verification period.

### **II.D.5. Funding Restrictions**

The maximum period of performance is **3** years for both funding levels.

#### ***For Funding Level I:***

The anticipated direct costs budgeted for the entire period of performance will not exceed **\$225,000**. If indirect cost rates have been negotiated, indirect costs are to be budgeted in accordance with the organization’s negotiated rate. No budget will be approved by the

government exceeding **\$225,000** direct costs or using an indirect cost rate exceeding the organization's negotiated rate.

***For Funding Level II:***

The anticipated direct costs budgeted for the entire period of performance will not exceed **\$500,000**. If indirect cost rates have been negotiated, indirect costs are to be budgeted in accordance with the organization's negotiated rate. No budget will be approved by the government exceeding **\$500,000** direct costs or using an indirect cost rate exceeding the organization's negotiated rate.

***For Both Funding Levels:***

All direct and indirect costs of any subaward or contract must be included in the total direct costs of the primary award.

The applicant may request the entire maximum funding amount for a project that may have a period of performance less than the maximum **3** years. The named PI will be required to attend an annual, one-day IPR meeting beginning in year 2 of the award and throughout the remaining period of performance to present project information or disseminate project results.

For this award mechanism, direct costs must be requested for:

- **In-Progress Review (IPR):** Travel costs for the PI to present project information or disseminate project results at the annual IPR meeting during the period of performance in year 2 and throughout the remaining period of performance should be requested. For planning purposes, it should be assumed that the meeting will be held in the National Capital Area. These travel costs are in addition to those allowed for annual scientific/technical meetings.

May be requested for (not all-inclusive):

- Data and research resource sharing costs associated with the execution of the Data and Research Resources Sharing Plan.
- Costs for one investigator to travel to two scientific/technical meetings per year in addition to the required meeting described above. The intent of travel costs to scientific/technical meeting(s) is to present project information or disseminate project from the FY21 PRARP InCASA.

For extramural awards with an intragovernmental component, direct transfer of funds from an extramural award recipient to a DOD or other federal agency is not allowed except under very limited circumstances. Funding to intramural DOD and other federal agencies will be managed through a direct funds transfer. Intramural applicants are responsible for coordinating through their agency's procedures the use of contractual or assistance funding awards or other appropriate agreements to support extramural collaborators.

Refer to the General Application Instructions, Section III.A.5, for budget regulations and instructions for the Research & Related Budget. *For federal agencies or organizations collaborating with federal agencies, budget restrictions apply as are noted in the General Application Instructions, Section III.A.5.*

#### **II.D.6. Other Submission Requirements**

Refer to the General Application Instructions, Appendix 4, for detailed formatting guidelines.

### **II.E. Application Review Information**

#### **II.E.1. Criteria**

##### **II.E.1.a. Peer Review**

To determine technical merit, all applications will be evaluated according to the following **scored criteria**, which are listed in decreasing order of importance:

- **Research Strategy and Feasibility**
  - How well the scientific rationale supports the project and its feasibility as demonstrated by relevant preliminary data (if available), and/or logical reasoning.
  - How well the hypothesis (hypotheses) or objectives are developed.
  - How well the aims, experimental design, methods, and analyses, including statistical analyses, are developed.
  - How well the applicant acknowledges potential problems and addresses alternative approaches.
  - How well the project's milestones support the accomplishment of the project's objectives and specific aims.
  - How well the application relates to the type of dementia that will be the focus of the application.
  - How well the experimental design is relevant to research in military service and AD/ADRD.
  - How well the statistical plans are appropriately powered for the analyses.
  - How well the statistical plans support the sample size.
  - If applicable, whether the strategy for the inclusion of women and minorities and distribution of proposed enrollment are appropriate for the proposed research.

- **Personnel**

- How well the applicant shows potential for addressing the PRARP's mission (see [Section II.A, Program Description](#)) based on their background and experience.
- How well the study team's background and related experience are appropriate with respect to its ability to perform the proposed work.
- To what extent the composition of the study team, to include the applicant, is appropriate and includes relevant experience in both the identified military risk factor and AD/ADRD.
- To what degree the levels of effort are appropriate for successful conduct of the proposed work.
- To what extent the applicant's eligibility is accurate and clear (Funding Level I only).
- How well the applicant's experience is suited to completing the proposed research (Funding Level I only).

- **Mentor(s) (Funding Level I Only)**

- How well each mentor's background, qualifications, and experience in both the identified military risk factor and AD/ADRD are suited to the proposed research.
- To what extent the mentor(s) will provide appropriate assistance to the PI throughout the period of performance in developing toward independent research.
- To what extent the amount and types of interactions between the mentor(s) and the PI are appropriately detailed.
- How well each of the mentor(s) demonstrate a track record for mentoring early-career investigators in both the identified military risk factor and AD/ADRD as suited to the proposed research.

- **Innovation and Impact**

- Assuming the objectives/goals of the proposed research are realized, to what extent:
  - The research innovatively challenges existing research paradigms or exhibits high levels of creativity within the contexts of the PRARP's mission and vision.
  - The novel research efforts will benefit researchers and practitioners in the health sciences.
  - The research innovation and impact can benefit individuals affected by AD/ADRD, their caregivers, and their families.

- **Overarching Challenges and Military Risk Factors**
  - How well the proposed study addresses one of the FY21 PRARP InCASA Overarching Challenges and at least one of the Military Risk Factors, or identifies the risk factor and provides a strong justification for research outside the FY21 PRARP InCASA Military Risk Factors.
- **Data and Research Resources Sharing Plan**
  - How well the Data and Research Resources Sharing Plan is detailed, including but not limited to:
    - The description of the type of data or research resource(s) to be made publicly available.
    - How well the plan for access to data or research resources is detailed.
    - The appropriateness of plans to ensure the data or research resource(s) is/are accessible after the period of performance expires.
    - The appropriateness of the milestones with respect to making the data or research resource(s) available.
    - The appropriateness of the FITBIR data sharing (if applicable).

In addition, the following **unscored** criteria will also contribute to the overall evaluation of the application:

- **Budget**
  - Whether the **direct** costs exceed the allowable **direct** costs as published in the program announcement.
  - Whether the budget is appropriate for the proposed research.
- **Intellectual Property**
  - If applicable, to what degree the intellectual and material property plan is appropriate.
  - If applicable, to what degree the commercialization strategy is appropriate.
- **Application Presentation**
  - To what extent the writing, clarity, and presentation of the application components influence the review.
  - How well the application reflects knowledge and respect for the needs of affected individuals, caregivers, and their families.

- **Environment**

- To what degree the scientific environment is appropriate for the proposed research.
- To what degree the quality and extent of organizational support are appropriate.

### **II.E.1.b. Programmatic Review**

To make funding recommendations and select the application(s) that, individually or collectively, will best achieve the program objectives, the following criteria are used by programmatic reviewers:

- Ratings and evaluations of the peer reviewers
- Relevance to the mission of the DHP and FY21 PRARP, as evidenced by the following:
  - Adherence to the intent of the award mechanism
  - Program portfolio composition
  - Relative innovation and impact

### **II.E.2. Application Review and Selection Process**

All applications are evaluated by scientists, clinicians, and consumers in a two-tier review process. The first tier is **peer review**, the evaluation of applications against established criteria to determine technical merit, where each application is assessed for its own merit, independent of other applications. The second tier is **programmatic review**, a comparison-based process in which applications with high scientific and technical merit are further evaluated for programmatic relevance. Final recommendations for funding are made to the Commanding General, USAMRDC, on behalf of the DHA and the OASD(HA). ***The highest-scoring applications from the first tier of review are not automatically recommended for funding. Funding recommendations depend on various factors as described in [Section II.E.1.b, Programmatic Review](#).*** Additional information about the two-tier process used by the CDMRP can be found at <https://cdmrp.army.mil/about/2tierRevProcess>. An information paper describing the funding recommendations and review process for the award mechanisms for the PRARP will be provided to the PI and posted on the CDMRP website.

All CDMRP review processes are conducted confidentially to maintain the integrity of the merit-based selection process. Panel members sign a statement declaring that application and evaluation information will not be disclosed outside the panel. Violations of confidentiality can result in the dissolving of a panel(s) and other corrective actions. In addition, personnel at the applicant or collaborating organizations are prohibited from contacting persons involved in the review and approval process to gain protected evaluation information or to influence the evaluation process. Violations of these prohibitions will result in the administrative withdrawal of the organization's application. Violations by panel members or applicants that compromise the confidentiality of the review and approval process may also result in suspension or

debarment from federal awards. Furthermore, the unauthorized disclosure of confidential information of one party to another third party is a crime in accordance with 18 USC 1905.

### **II.E.3. Integrity and Performance Information**

Prior to making an assistance agreement award where the federal share is expected to exceed the simplified acquisition threshold, as defined in 2 CFR 200.88, over the period of performance, the federal awarding agency is required to review and consider any information about the applicant that is available in the Federal Awardee Performance and Integrity Information System (FAPIIS).

An applicant organization may review FAPIIS, accessible through SAM, and submit comments to FAPIIS on any information about the organization that a federal awarding agency previously entered and is currently available in FAPIIS.

The federal awarding agency will consider any comments by the applicant, in addition to other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when determining a recipient's qualification prior to award, according to the qualification standards of the Department of Defense Grant and Agreement Regulations (DoDGARs), Section 22.415.

### **II.E.4. Anticipated Announcement and Federal Award Dates**

All application review dates and times are indicated in [Section I, Overview of the Funding Opportunity](#).

Each PI and organization will receive email notification of posting of the funding recommendation in eBRAP. Each PI will receive a peer review summary statement on the strengths and weaknesses of the application.

## **II.F. Federal Award Administration Information**

### **II.F.1. Federal Award Notices**

Awards supported with FY21 funds are anticipated to be made no later than September 30, 2022. Refer to the General Application Instructions, Appendix 2, for additional award administration information.

After email notification of application review results through eBRAP, and if selected for funding, a representative from USAMRAA will contact the Business Official authorized to negotiate on behalf of the PI's organization.

**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. Refer to the General Application Instructions, Section III.A.5.



***Only an appointed USAMRAA Grants Officer may obligate the government to the expenditure of funds.*** No commitment on the part of the government should be inferred from discussions with any other individual. **The award document signed by the Grants Officer is the official authorizing document.**

**Federal Government Organizations:** Funding made to federal government organizations (to include intramural DOD organizations) will be executed through the Military Interdepartmental Purchase Request (MIPR) or Funding Authorization Document (FAD) process. Transfer of funds is contingent upon appropriate safety and administrative approvals. Intramural applicants and collaborators are reminded to coordinate receipt and commitment of funds through their respective Resource Manager/Task Area Manager/Comptroller or equivalent Business Official.

### **II.F.1.a. PI Changes and Award Transfers**

Changes in PI are not allowed, except under extenuating circumstances that will be evaluated on a case-by-case basis and at the discretion of the Grants Officer. An organizational transfer of an award will not be allowed in the last year of the (original) period of performance or any extension thereof.

An organizational transfer of an award will not be allowed in the last year of the (original) period of performance or any extension thereof.

Refer to the General Application Instructions, Appendix 2, Section B, for general information on organization or PI changes.

### **II.F.2. Administrative and National Policy Requirements**

Applicable requirements in the DoDGARs found in 32 CFR, Chapter I, Subchapter C, and 2 CFR, Chapter XI, apply to grants and cooperative agreements resulting from this program announcement.

Refer to the General Application Instructions, Appendix 2, for general information regarding administrative requirements.

Refer to the General Application Instructions, Appendix 5, for general information regarding national policy requirements.

Refer to full text of the latest [DoD R&D General Terms and Conditions](#); the [USAMRAA General Research Terms and Conditions with Institutions of Higher Education, Hospitals, and Non-Profit Organizations: Addendum to the DoD R&D General Terms and Conditions](#); and the [USAMRAA General Research Terms and Conditions with For-Profit Organizations](#) for further information.

### **II.F.3. Reporting**

Refer to the General Application Instructions, Appendix 2, Section A, for general information on reporting requirements. ***If there are technical reporting requirement delinquencies for any***

*existing USAMRAA-sponsored awards at the applicant organization, no new awards will be issued to the applicant organization until all delinquent reports have been submitted.*

Annual progress reports as well as a final progress report will be required.

The Award Terms and Conditions will specify if more frequent reporting is required.

Annual quad charts will be required.

Inclusion Enrollment Reporting Requirement (*only required for clinical research studies*): Enrollment on the basis of sex/gender, race, and/or ethnicity will be required with each annual and final technical report. The suggested Inclusion Enrollment Report format is available on the “Funding Opportunities & Forms” web page (<https://ebrap.org/eBRAP/public/Program.htm>) in eBRAP.

Awards resulting from this program announcement will incorporate additional reporting requirements related to recipient integrity and performance matters. Recipient organizations that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10M are required to provide information to FAPIIS about certain civil, criminal, and administrative proceedings that reached final disposition within the most recent 5-year period and that were connected with performance of a federal award. Recipients are required to disclose, semiannually, information about criminal, civil, and administrative proceedings as specified in the applicable Representations (see General Application Instructions, Appendix 5, Section B).

## **II.G. Federal Awarding Agency Contacts**

### **II.G.1. CDMRP Help Desk**

Questions related to program announcement content or submission requirements as well as questions related to the pre-application or intramural application submission 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. ET. Response times may vary depending upon the volume of inquiries.

Phone: 301-682-5507

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

### **II.G.2. Grants.gov Contact Center**

Questions related to extramural application submission through 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). Note that the CDMRP Help Desk is unable to provide technical assistance with Grants.gov submission.

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

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

Sign up on Grants.gov for “send me change notification emails” by following the link on the “Synopsis” page for the program announcement or by responding to the prompt provided by Grants.gov when first downloading the Grants.gov application package. If the Grants.gov application package is updated or changed, the original version of the application package may not be accepted by Grants.gov.

## **II.H. Other Information**

### **II.H.1. Program Announcement and General Application Instructions Versions**

Questions related to this program announcement should refer to the program name, the program announcement name, and the program announcement version code 603b. The program announcement numeric version code will match the General Application Instructions version code 603.

### **II.H.2. Administrative Actions**

After receipt of applications, the following administrative actions may occur:

#### **II.H.2.a. Rejection**

The following will result in administrative rejection of the application:

- Pre-application was not submitted.
- Project Narrative exceeds page limit.
- Project Narrative is missing.
- Budget is missing.
- More than one application is received with the same named PI. Only the first application received will be accepted; additional applications will be administratively rejected.
- Eligibility Statement ([Attachment 6](#)) is missing (Funding Level I only).
- Innovation and Impact Statement ([Attachment 7](#)) is missing.
- Overarching Challenges and Military Risk Factors Statement ([Attachment 8](#)) is missing.
- Mentor(s) Statement is missing (Funding Level I only) ([Attachment 10](#)).

#### **II.H.2.b. Modification**

- Pages exceeding the specific limits will be removed prior to review for all documents other than the Project Narrative.
- Documents not requested will be removed.

### II.H.2.c. Withdrawal

The following may result in administrative withdrawal of the application:

- An FY21 PRARP Programmatic Panel member is named as being involved in the research proposed or is found to have assisted in the pre-application or application processes including, but not limited to, concept design, application development, budget preparation, and the development of any supporting documentation. *A list of the FY21 PRARP Programmatic Panel members can be found at <https://cdmrp.army.mil/prarp/pscs/psc21>.*
- The application fails to conform to this program announcement description.
- Inclusion of URLs, with the exception of links in References Cited and Publication and/or Patent Abstract sections.
- Page size is larger than 8.5 inches x 11.0 inches (approximately 21.59 cm x 27.94 cm).
- 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. For FY21, the identities of the peer review contractor and the programmatic review contractor may be found at the CDMRP website (<https://cdmrp.army.mil/about/2tierRevProcess>). Applications that include names of personnel from either of these companies may be administratively withdrawn.
- Personnel from applicant or collaborating organizations are found to have contacted persons involved in the review or approval process to gain protected evaluation information or to influence the evaluation process.
- Applications from extramural organizations, including non-DOD federal agencies, received through eBRAP may be withdrawn.
- Applications submitted by an intramural DOD organization may be withdrawn if the intramural organization cannot coordinate the use of contractual, assistance, or other appropriate agreements to provide funds to extramural collaborators.
- Submission of the same research project to different funding opportunities within the same program and fiscal year.
- PI does not meet the eligibility criteria.
- The application does not address an FY21 PRARP InCASA Overarching Challenge as described in [Section II.B, Award Information](#)).
- The application proposes research on more than one type of dementia (see [Section II.B, Award Information](#)) category for the overall application.

- The application proposes CTE research.
- An application proposes animal research.

#### **II.H.2.d. Withhold**

Applications that appear to involve research misconduct will be administratively withheld from further consideration pending organizational investigation. The organization will be required to provide the findings of the investigation to the USAMRAA Grants Officer for a determination of the final disposition of the application.

### II.H.3. Application Submission Checklist

Application Components	Action	Completed
SF424 Research & Related Application for Federal Assistance ( <b>extramural submissions only</b> )	Complete form as instructed	
Summary (Tab 1) and Application Contacts (Tab 2) ( <b>intramural submissions only</b> )	Complete tabs as instructed	
Attachments	Project Narrative: Upload as Attachment 1 with file name "ProjectNarrative.pdf"	
	Supporting Documentation: Upload as Attachment 2 with file name "Support.pdf"	
	Technical Abstract: Upload as Attachment 3 with file name "TechAbs.pdf"	
	Lay Abstract: Upload as Attachment 4 with file name "LayAbs.pdf"	
	Statement of Work: Upload as Attachment 5 with file name "SOW.pdf"	
	Eligibility Statement: Upload as Attachment 6 with file name "Eligibility.pdf" if applicable (Funding Level I only)	
	Innovation and Impact Statement: Upload as Attachment 7 with file name "InnovationImpact.pdf"	
	Overarching Challenges and Military Risk Factors Statement: Upload as Attachment 8 with file name "OCMRFS.pdf"	
	Data and Research Resources Sharing Plan: Upload as Attachment 9 with file name "Sharing.pdf"	
	Mentor(s) Statement: Upload as Attachment 10 with file name "Mentors.pdf" if applicable (Funding Level I only)	
	Representations (extramural submissions only): Upload as Attachment 11 with file name "RequiredReps.pdf" if applicable	
	Suggested Collaborating DOD Military Facility Budget Format: Upload as Attachment 12 with file name "MFBudget.pdf" if applicable	
Research & Related Personal Data	Complete form as instructed	

Application Components	Action	Completed
Research & Related Senior/Key Person Profile (Expanded)	Attach PI Biographical Sketch (Biosketch_LastName.pdf) to the appropriate field	
	Attach PI Previous/Current/Pending Support (Support_LastName.pdf) to the appropriate field	
	Attach Biographical Sketch (Biosketch_LastName.pdf) for each senior/key person to the appropriate field	
	Attach Previous/Current/Pending (Support_LastName.pdf) for each senior/key person to the appropriate field	
Research & Related Budget ( <b>extramural submissions only</b> )	Complete as instructed. Attach Budget Justification (BudgetJustification.pdf) to the appropriate field	
Budget ( <b>intramural submissions only</b> )	Suggested DOD Military Budget Format, including justification	
Project/Performance Site Location(s) Form	Complete form as instructed	
Research & Related Subaward Budget Attachment(s) Form, if applicable	Complete form as instructed	

## APPENDIX 1: ACRONYM LIST

ACOS/R&D	Associate Chief of Staff for Research and Development
ACURO	Animal Care and Use Review Office
AD	Alzheimer's Disease
ADRD	Alzheimer's Disease-Related Dementias
CDE	Common Data Elements
CDMRP	Congressionally Directed Medical Research Programs
CFR	Code of Federal Regulations
DHA	Defense Health Agency
DHP	Defense Health Program
DOD	Department of Defense
DoDGARs	Department of Defense Grant and Agreement Regulations
DUNS	Data Universal Numbering System
eBRAP	Electronic Biomedical Research Application Portal
EC	Ethics Committee
ET	Eastern Time
FAD	Funding Authorization Document
FAPIIS	Federal Awardee Performance and Integrity Information System
FDA	Food and Drug Administration
FITBIR	Federal Interagency Traumatic Brain Injury Research
FY	Fiscal Year
GUID	Global Unique Identifier
HIPAA	Health Insurance Portability and Accountability Act
HRPO	Human Research Protection Office
IACUC	Institutional Animal Care and Use Committee
InCASA	Innovations in Care and Support Award
IPR	In-Progress Review
IRB	Institutional Review Board
LOI	Letter of Intent
M	Million
MIPR	Military Interdepartmental Purchase Request
NIH	National Institutes of Health
OASD(HA)	Office of the Assistant Secretary of Defense for Health Affairs
ORCID	Open Researcher and Contributor ID, Inc.
ORP	Office of Research Protections
PI	Principal Investigator



PII	Personally Identifiable Information
PRARP	Peer Reviewed Alzheimer’s Research Program
RDT&E	Research, Development, Test, and Evaluation
SAM	System for Award Management
SOW	Statement of Work
STEM	Science, Technology, Engineering, and/or Mathematics
TBI	Traumatic Brain Injury
UDE	Unique Data Elements
UEI	Unique Entity Identifier
URL	Uniform Resource Locator
USAMRAA	U.S. Army Medical Research Acquisition Activity
USAMRDC	U.S. Army Medical Research and Development Command
USC	United States Code
VA	Department of Veterans Affairs

## **APPENDIX 2: SAMPLE CONSENT LANGUAGE**

### **SAMPLE LANGUAGE FOR DISCUSSION OF FITBIR IN INFORMED CONSENT DOCUMENTS**

Data from this study may be submitted to the Federal Interagency Traumatic Brain Injury (FITBIR) informatics system. FITBIR is a computer system run by the National Institutes of Health (NIH) that allows researchers studying traumatic brain injury to collect and share information with each other. With an easier way to share, researchers hope to learn new and important things about traumatic brain injury more quickly than before.

During and after the study, the researchers will send information about your or your child's health and behavior, and in some cases your or your child's genetic information, to FITBIR. However, before they send it to FITBIR, they will remove information such as name, date of birth, and city of birth, and replace that information with a code number. Other researchers nationwide can then file an application to obtain access to your study data for research purposes. Experts who know how to protect health and science information will look at every request carefully to minimize risks to your privacy.

You or your child may not benefit directly from allowing your information to be shared with FITBIR. The information provided to FITBIR might help researchers around the world treat future children and adults with traumatic brain injury so that they have better outcomes. FITBIR will report on its website about the different studies that researchers are conducting using FITBIR data; however, FITBIR will not be able to contact you or your child individually about specific studies.

You may decide now or later that you do not want to share your or your child's information using FITBIR. If so, contact the researchers who conducted this study, and they will tell FITBIR, which can stop sharing the research information. However, FITBIR cannot take back information that was shared before you changed your mind. If you would like more information about FITBIR, this is available online at <https://fitbir.nih.gov>.

### **LANGUAGE TO BE USED TO DESCRIBE CERTIFICATES OF CONFIDENTIALITY (THREE VERSIONS)**

#### **1. Language for new studies that will be consenting subjects for the first time or for ongoing studies that will be re-consenting subjects because they are applying for a Certificate of Confidentiality for the study**

To help protect you and/or your child's privacy the investigators of this study [have applied for]/[have obtained] a Certificate of Confidentiality from the National Institutes of Health (NIH), part of the U.S. Department of Health and Human Services (DHHS), an agency of the U.S. government.

With this Certificate, we, the investigators, cannot be forced (e.g., by court subpoena) to disclose information that may identify you in any federal, state, or local civil, criminal, administrative, legislative, or other proceedings. Be aware that disclosure of your and/or your child's identity may be found necessary, however, upon request of DHHS for the purpose of audit or evaluation.

You should also understand that a Confidentiality Certificate does not prevent you or a member of your family from **voluntarily** releasing information about your child, yourself, or your involvement in this research. Note, however, that if an insurer or employer learns about your and/or your child's participation and obtains your consent to receive research information, then the investigator may not use the Certificate of Confidentiality to withhold this information. This means that you and your family must also actively protect your own privacy.

We are also asking your consent to provide research data and related findings to the Federal Interagency Traumatic Brain Injury Research (FITBIR) informatics system. FITBIR is a biomedical informatics system and data repository, created by the Department of Defense and the National Institutes of Health to assist biomedical researchers working to develop a better understanding of traumatic brain injury and/or to develop more effective methods to diagnose, treat and prevent traumatic brain injuries.

Data entered into FITBIR will be kept confidential, with FITBIR being designed for access by qualified researchers only. Data provided to FITBIR as part of your and/or your child's participation in this research study will be de-identified—i.e., your and/or your child's name will be separated from the data. However, since this institution and others submitting data to FITBIR will retain individually identifying information related to the data they provide, NIH has issued a legislatively authorized "Certificate of Confidentiality" that will help FITBIR and participating institutions avoid being forced to disclose information that may identify you as a FITBIR participant in any federal, state, or local civil, criminal, administrative, legislative, or other proceedings.

Finally, you should understand that we, the investigators, are not prevented from taking steps, including reporting to authorities, to prevent serious harm to you, your child, or others. With respect to you and/or your child's participation in FITBIR, we do not plan to make voluntary disclosures except if there were severe threats to the public health or safety.

## **2. Language for studies that already have a Certificate and will be re-consenting subjects about FITBIR**

With your consent, this study will collect and provide research data and related findings to the Federal Interagency Traumatic Brain Injury Research (FITBIR) informatics system. FITBIR is a biomedical informatics system and data repository created by the Department of Defense and National Institutes of Health (NIH)—part of the U.S. Department of Health and Human Services (DHHS), an agency of the U.S. government—to assist biomedical researchers working to develop a better understanding of traumatic brain injury and/or to develop more effective methods to diagnose, treat and prevent traumatic brain injury.

Data entered into FITBIR will be kept confidential, with FITBIR being designed for access by researchers only. Data provided to FITBIR as part of your and/or your child's participation in this research study will be de-identified—i.e., your and/or your child's name will be separated from the data. However, since this institution and others submitting data to FITBIR will retain individually identifying information related to the data they provide, NIH has issued a legislatively authorized "Certificate of Confidentiality" to help FITBIR and participating institutions avoid being forced (e.g., by court subpoena) to disclose information that may identify you as a FITBIR participant in any federal, state, or local civil, criminal, administrative,

legislative, or other proceedings. Be aware that disclosure of your and/or your child's identity may be found necessary, however, upon request of DHHS for the purpose of audit or evaluation.

As you know, we have obtained a Certificate of Confidentiality from NIH that enables us to keep the individually identifiable information that you provide as a research subject private. With this Certificate, we, the investigators, cannot be forced to disclose research information collected in this study that may identify you in any federal, state, or local civil, criminal, administrative, legislative, or other proceedings. This protection will continue to protect your and/or your child's privacy, even though we are providing de-identified data to FITBIR.

You should also understand that a Confidentiality Certificate does not prevent you or a member of your family from **voluntarily** releasing information about your child, yourself, or your involvement in this research. Note, however, that if an insurer or employer learns about you and/or your child's participation, and obtains your consent to receive research information, then the investigator may not use the Certificate of Confidentiality to withhold this information. This means that you and your family must also actively protect your own privacy.

Finally, as we explained when we told you about this privacy protection before, we, the investigators, are not prevented from taking steps, including reporting to authorities, to prevent serious harm to you and/or your child or others based on information they learn during this study. With respect to you and/or your child's participation in FITBIR, we do not plan to make voluntary disclosures except if there were severe threats to the public health or safety.

### **3. Language for studies without a Certificate of their own**

With your consent, this study will collect and provide research data and related findings to the Federal Interagency Traumatic Brain Injury Research (FITBIR) informatics system. FITBIR is a biomedical informatics system and data repository created by the Department of Defense and the National Institutes of Health (NIH)—part of the U.S. Department of Health and Human Services (DHHS), an agency of the U.S. government—to assist biomedical researchers working to develop a better understanding of traumatic brain injury and/or to develop more effective methods to diagnose, treat and prevent traumatic brain injury.

Data entered into FITBIR will be kept confidential, with FITBIR being designed for access by researchers only. Data provided to FITBIR as part of your or your child's participation in this research study will be de-identified—i.e., your and/or your child's name(s) will be separated from the data. However, since this institution and others submitting data to FITBIR will still retain individually identifying information related to the data provided, the NIH has issued a legislatively authorized "Certificate of Confidentiality" to help FITBIR and participating institutions avoid being forced (e.g., by court subpoena) to disclose information that may identify you as an FITBIR participant in any federal, state, or local civil, criminal, administrative, legislative, or other proceedings.

Finally, you should understand that we, the investigators, are also permitted to make voluntary disclosures with respect to information that is submitted to FITBIR, but do not plan to do so except in the event of severe threats to public health or safety. If, as part of your participation in this research study itself, we learn about serious harm to you, your child or someone else, we would take steps to prevent that harm including notifying appropriate authorities like the police or child welfare.