I. OVERVIEW OF THE FUNDING OPPORTUNITY

Program Announcement for the Department of Defense

Defense Health Program

Congressionally Directed Medical Research Programs

Lupus Research Program

Concept Award

Announcement Type: Initial

Funding Opportunity Number: W81XWH-17-LRP-CA

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), December 21, 2017

• **Application Submission Deadline:** 11:59 p.m. ET, January 4, 2018

• End of Application Verification Period: 5:00 p.m. ET, January 9, 2018

• **Peer Review:** February 2018

• **Programmatic Review:** April 2018

This Program Announcement must be read in conjunction with the General Application Instructions, version 20170516. The General Applications 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 2017 (FY17) Lupus Research Program (LRP) 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). The LRP was initiated in 2017 to provide support for research of exceptional scientific merit leading to a cure for lupus. The FY17 appropriation is \$5 million (M).

The LRP mission is to fund research to understand, prevent, and diagnose lupus and to improve treatments and quality of life of patients, including Service members, Veterans, and beneficiaries.

The LRP vision is to cure lupus through a partnership of scientists, clinicians, and consumers.

II.A.1. FY17 LRP Focus Areas

To be considered for funding, applications for the FY17 LRP Concept Award **are required** to address at least one of the following FY17 LRP Focus Areas:

- Understand lupus disease heterogeneity including, but not limited to, progressive stages of lupus over time, strategies and technologies to subtype patients, understanding lupus disease mechanisms, biopsychosocial studies, personalized medicine, variation in treatment and its effects on patient outcomes, socioeconomic studies, environmental studies, and epidemiological studies.
- Understand how the underlying genetic components of lupus relate to clinical disease characteristics using functional genomic studies.
- Determine the pathobiology of lupus disease in target human tissues including, but not limited to, imaging studies, genetics of lupus in particular tissues, and metabolomics.

II.B. Award Information

The LRP Concept Award mechanism is being offered for the first time in FY17.

The LRP Concept Award supports the exploration of highly innovative new concepts or untested theories that address important problems relevant to lupus. This award mechanism supports high-risk studies that have the potential to reveal new avenues for investigation. The Concept

Award is not intended to support an incremental progression of an already established research project. The application must describe how the new idea will enhance the existing knowledge of lupus or develop an innovative and novel course of investigation. Research completed through a Concept Award may generate sufficient preliminary data to enable the Principal Investigator (PI) to prepare an application for future research. Presentation of preliminary data is not consistent with the intent of the Concept Award mechanism. Inclusion of preliminary data is discouraged.

The following are important aspects of the Concept Award:

- **Innovation:** Innovation is the most important review criterion. Innovative research may introduce a new paradigm, look at existing problems from new perspectives, or exhibit other highly creative qualities. Research that represents an incremental advancement on previously published work is not considered innovative.
- **Impact:** The proposed research should impact an area of paramount importance in lupus disease. It is the responsibility of the PI to clearly and explicitly describe the potential impact(s) of the proposed study on lupus and to convey its level of significance.
- **Research Strategy:** The scientific rationale and experimental methodology should demonstrate critical understanding and in-depth analysis of lupus. Experimental strategies may be novel or may be based on strong rationale derived from a literature review.
- **Focus Areas:** The proposed research **must** address at least one of the FY17 LRP Focus Areas.

The anticipated total costs budgeted for the entire period of performance for an FY17 LRP Concept Award will not exceed **\$150,000**. Refer to <u>Section II.D.5</u>, <u>Funding Restrictions</u>, for detailed funding information.

Because the Concept Award is designed for preliminary investigations, projects involving human subjects or specimens must be either exempt under Title 32, Code of Federal Regulations (CFR), Part 219, Section 101(b) (32 CFR 219.101[b]) or eligible for expedited review (32 CFR 219.110 or 21 CFR 56.110). Clinical trials are not allowed under this Program Announcement. Studies that do not qualify for either exempt or expedited review status will be administratively withdrawn. For additional information on clinical research, a Human Subject Resource Document is provided at https://ebrap.org/eBRAP/public/Program.htm.

Research Involving Human Anatomical Substances, Human Subjects, or Human Cadavers: All Department of Defense (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 Materiel Command (USAMRMC) 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. The HRPO is mandated to comply with specific laws and requirements governing all research involving human anatomical substances, human subjects, or human cadavers that is supported by the DoD. These laws and requirements will necessitate information in addition to that supplied to the IRB/EC. *Allow a minimum of 2*

to 3 months for HRPO regulatory review and approval processes. When possible, protocols should be written for research with human subjects and/or human anatomical substances that are specific to the DoD-supported effort outlined in the submitted application. Submission to HRPO of protocols covering more than the scope of work in the DoD-funded award will require HRPO review of the entire protocol as DoD-supported research and may include extensive modifications to meet DoD human subjects protection requirements. Refer to the General Application Instructions, Appendix 1, and the Human Subject Resource 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.

A clinical trial is defined as a prospective accrual of patients (human subjects) in whom an intervention (e.g., device, drug, biologic, surgical procedure, rehabilitative modality, behavioral intervention, or other) is tested for a measurable outcome with respect to safety, effectiveness, and/or efficacy. This outcome represents a direct effect on the subject of that intervention or interaction.

Research Involving Animals: All DoD-funded research involving new and ongoing research with animals must be reviewed and approved by the USAMRMC ORP Animal Care and Use Review Office (ACURO), in addition to the local Institutional Animal Care and Use Committee (IACUC) of record. IACUC approval at the time of submission is *not* required. Specific documents relating to the use of animals in the proposed research will be requested **if the application is selected for funding**. The ACURO must review and approve all animal use prior to the start of working with animals, including amendments to ongoing projects. PIs must submit the institutional animal use protocol, IACUC approval of that protocol, and a version of the animal use appendix titled "Research Involving Animals." *Allow at least 2 to 3 months for ACURO regulatory review and approval processes for animal studies*. Refer to the General Application Instructions, Appendix 1, for additional information.

The CDMRP intends that information, data, and research resources generated under awards funded by this Program Announcement be made available to the research community (which includes both scientific and consumer advocacy communities) and to the public at large. For additional guidance, refer to the General Application Instructions, Appendix 2, Section K.

Awards will be made no later than September 30, 2018. For additional information refer to Section F.1, Federal Award Notices.

II.C. Eligibility Information

II.C.1. Eligible Applicants

II.C.1.a. Organization: All organizations, including 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 academia, biotechnology companies, foundations, Government, and research institutes.

Intramural DoD Organization: A DoD laboratory, DoD military treatment facility, and/or DoD activity embedded within a civilian medical center.

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

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

II.C.1.b. Principal Investigator: All investigators at or above the level of postdoctoral fellow (or equivalent) are eligible.

An eligible Principal Investigator, 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 http://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.

Each investigator may submit a maximum of two LRP Concept Award applications as a PI.

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

Refer to <u>Section II.H.2</u>, <u>Administrative Actions</u>, 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 is defined as an application submitted by a non-DoD organization to Grants.gov.

Intramural Submission is defined as an application submitted by a DoD organization for an intramural investigator, who is a DoD military or civilian employee working within a DoD laboratory or military treatment facility, or working in a DoD activity embedded within a civilian medical center.

II.D.1. Address to Request Application Package

The multifunctional web based system eBRAP 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.

Submitting Extramural and Intramural Organizations: Pre-application content and forms can be accessed at https://eBRAP.org.

Submitting Extramural Organizations: Full application packages can be accessed at Grants.gov.

Submitting Intramural DoD Organizations: Full application packages can be accessed at eBRAP.org.

Contact information for the CDMRP Help Desk and the Grants.gov Contact Center can be found in Section 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* and *full application* as indicated below. The submission process should be started early to avoid missing deadlines. There are no grace periods.

Pre-application Submission: All pre-applications for both extramural and intramural organizations must be submitted through eBRAP (https://eBRAP.org/).

Full Application Submission: Full applications must be submitted through the online portals as described below.

Submitting Extramural Organizations: Full applications from extramural organizations must be submitted through Grants.gov. Applications submitted by extramural organizations (e.g., research foundations) on behalf of intramural DoD or other Federal organizations or investigators will be considered extramural submissions.

Submitting Intramural DoD Organizations: Intramural DoD organizations may submit full applications to either eBRAP or Grants.gov. Intramural DoD organizations that are unable to submit to Grants.gov should submit through eBRAP. Intramural DoD organizations with the capability to submit through Grants.gov may submit following the instructions for extramural

submissions through Grants.gov or may submit to eBRAP. Applications from extramural organizations, including non-DoD Federal organizations, received through eBRAP may be withdrawn. See definitions in Section II.C.1, Eligible Applicants.

For both Extramural and Intramural applicants: A key feature of eBRAP is the ability of an organization's representatives and PIs to view and modify the full application submissions associated with them. eBRAP will validate full application files against the specific Program Announcement requirements and discrepancies will be noted in an email to the PI and in the Full Application Files tab in eBRAP. It is the applicant's responsibility to review all application components for accuracy as well as ensure proper ordering as specified in this Program Announcement.

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 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 or 301-682-5507 prior to the application deadline.

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

During the pre-application process, each submission is assigned a unique log number by eBRAP. This unique eBRAP log number will be needed 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 may result in delays in 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 or 301-682-5507.

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

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

• 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 (R&R) 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 (R&R) Form), and click on "Add Organizations to this Preapplication." 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 PIs identify an Alternate Submitter in the event that assistance with preapplication 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.

<u>FY17 LRP Programmatic Panel members</u> should not be involved in any pre-application or application. For questions related to panel members and pre-applications or applications, refer to <u>Section II.H.2.c, Withdrawal</u>, or contact the CDMRP Help Desk at <u>help@eBRAP.org</u> or 301-682-5507.

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 preapplication or application preparation, research, or other duties for submitted pre-applications or applications. For FY17, the identities of the peer review contractor and the programmatic review contractor may be found at the CDMRP website (http://cdmrp.army.mil/about/2tierRevProcess). Pre-applications or applications that include names of personnel from either of these companies will be administratively withdrawn unless plans to manage conflicts of interest (COIs) are provided and deemed appropriate by the Grants Officer. Refer to the General Application Instructions, Appendix 3, for detailed information.

• Tab 4 – Conflicts of Interest

List all individuals other than collaborators and key personnel who may have a COI in the review of the application (including those with whom the PI has a personal or professional relationship). Refer to the General Application Instructions, Appendix 3, Section C, for further information regarding COIs.

• 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.

• 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

All contributors and administrators to the application must use matching compatible versions of Adobe software when editing and preparing application components. The use of different software versions will result in corruption of the submitted file. Refer to the General Application Instructions, Section III, for details on compatible Adobe software.

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 (http://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, including non-DoD Federal agencies, must submit full applications through Grants.gov. Submissions of extramural applications through eBRAP may be withdrawn.

Table 1. Full Application Submission Guidelines

Extramural Submissions	Intramural DoD Submissions			
Application Package Location				
Download application package components for W81XWH-17-LRP-CA from Grants.gov (http://www.grants.gov).	Download application package components for W81XWH-17-LRP-CA from eBRAP (https://ebrap.org).			
Full Application Package Components				
SF424 (R&R) Application for Federal Assistance Form: Refer to the General Application Instructions, Section III.A.1, for detailed information.	Tab 1 – Summary: Provide a summary of the application information. Tab 2 – Application Contacts: This tab will be pre-populated by eBRAP; add Authorized Organizational Representative.			

Extramural Submissions

Descriptions of each required file can be found under Full Application Submission Components:

- Attachments
- Research & Related Senior/Key Person Profile (Expanded)
- Research & Related Budget
- Project/Performance Site Location(s) Form
- R&R Subaward Budget Attachment(s)
 Form (if applicable)

Intramural DoD Submissions

Tab 3 – Full Application Files: Upload files under each Application Component in eBRAP. Descriptions of each required file can be found under Full Application Submission Components:

- Attachments
- Key Personnel
- Budget
- Performance Sites

Tab 4 – Application and Budget Data: Review and edit proposed project start date, proposed end date, and budget data pre-populated from the Budget Form.

Application Package Submission

Submit package components to Grants.gov (http://www.grants.gov).

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 prior to the

application submission deadline.

Submit package components to eBRAP (https://ebrap.org).

Tab 5 – Submit/Request Approval Full Application: After all components are uploaded and prior to the full application submission deadline, enter your password in the space provided "Enter Your Password Here" and press the "Submit Full Application" button. eBRAP will notify your Resource Manager/Comptroller or equivalent Business Official by email to log into eBRAP to review and to approve prior to the application submission deadline.

Application Verification Period

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.

After eBRAP has processed the full application, the organizational Resource Manager/
Comptroller or equivalent Business Official and PI will receive an email notification of this status and will be able to view and modify application components in eBRAP. During the application verification period, the full application package, with the exception of the Project Narrative and Budget Form, may be modified.

Further Information

Refer to the General Application Instructions, Section III, for further information regarding Grants.gov requirements. Refer to the General Application Instructions, Section IV, for further information regarding eBRAP requirements. The organization's Business Official or Authorized Organization Representative (or Resource Manager/Comptroller) should approve/verify the full application submission prior to the application verification deadline.

Application viewing, modification, and verification in eBRAP are strongly recommended, but not required. *The Project Narrative and Budget cannot be changed after the application submission deadline.* Prior to the full application deadline, a corrected or modified full application package may be submitted. Other application components may be changed until the end of the application verification period, the full application cannot be modified.

Material submitted after the end of the application verification period, unless specifically requested by the Government, will not be forwarded for processing.

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 (**R&R**) **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 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 (three-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. *Presentation of preliminary data is not consistent with the intent of the Concept Award mechanism.*

While the inclusion of preliminary data is not prohibited, the strength of the application should not rely on preliminary data.

- Innovation: Describe how the proposed project is innovative and introduces a new paradigm, looks at existing problems from new perspectives, or exhibits other highly creative qualities. Innovation should be the primary feature of the proposed study.
- **Rationale:** Clearly articulate the rationale for the proposed research.
- Objectives: State concisely the specific aims and research strategy of the study.
 Projects involving human subjects or specimens must be either exempt under 32 CFR 219.101(b) or eligible for expedited review (32 CFR 219.110 or 21 CFR 56.110).
- Methods: Describe the experimental design, methods, and analyses including appropriate controls, if applicable. Address potential problem areas and present alternative methods and approaches.
- Impact: Describe how the proposed research is relevant to at least one of the FY17 LRP Focus Areas in a way that is consistent with the program's goals. Provide a brief statement describing the impact, either short-term or long-term, of this research on the field of lupus. Describe how the project will lead to an original and important contribution toward advancing basic or translational lupus research or on the quality of life of individuals with lupus.

– Research Strategy:

- Describe the statistical plan including power analysis that reflects sample size
 projections that will address the hypothesis and/or the objectives of the project. If
 animal studies are proposed, describe how they will be conducted in accordance
 with the ARRIVE guidelines https://www.elsevier.com/__data/promis_misc/622936arrive_guidelines.pdf.
- 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. Any additional material viewed as an extension of the Project Narrative will be removed or may result in administrative withdrawal of the application.

There are no page limits for any of these components unless otherwise noted. Include only those components described below; inclusion of items not requested 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.
- 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.
- 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.
 - **Background:** Present the ideas and reasoning behind the proposed project.
 - Focus Areas: State which of the FY17 LRP Focus Areas will be addressed.
 - **Hypothesis or Objective:** State the hypothesis (or hypotheses) to be tested or the objective to be reached.
 - **Specific Aims:** State the specific aims of the study.
 - Innovation: Summarize how the proposed research is innovative by briefly
 describing how the work introduces a new paradigm, looks at an existing problem
 from a new perspective, or exhibits other highly creative qualities.
 - **Impact:** Summarize the impact of the proposed research, if successful, on the understanding, prevention, diagnosis, and/or treatment of lupus.
 - **Research Strategy:** Briefly describe the research strategy to include methodology, statistical analysis and appropriate controls.
- 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*. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

Lay abstracts should be written using the outline below. Do not duplicate the technical abstract. Minimize use of acronyms and abbreviations, where appropriate. The lay abstract is an important component of the application review process because it addresses issues of particular interest to the consumer community.

- Clearly describe, in a manner readily understood by readers without a background in science or medicine, the rationale, objective, and aims of the application.
- Describe the relationship of the proposed work to the specific Focus Area(s) of this Program Announcement.
- Describe the ultimate applicability of the research.
 - What types of patients will it help and how will it help them?
 - What are the potential clinical applications, benefits, and risks?
 - What is the projected time it may take to achieve a patient-related outcome?
 - What is the likely impact of this study on the understanding, prevention, diagnosis, and/or treatment of lupus?
- Attachment 5: Statement of Work (SOW) (one-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). For the Concept Award mechanism, use the SOW format example titled "SOW (Statement of Work) Generic 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 (animal or human) 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.

Briefly state the methods to be used.

For studies with prospective accrual of human subjects, indicate quarterly enrollment targets.

Identify cell line(s) and commercial or organizational source(s) 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.

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 U.S. Food and Drug Administration or other Government agency.

• Attachment 6: DoD Military Budget Form(s), 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 the DoD Military Budget Form, available for download on the eBRAP "Funding Opportunities & Forms" web page (https://ebrap.org/eBRAP/public/Program.htm), including a budget justification, for each military facility as instructed. The costs per year should be included on the Grants.gov Research and Related Budget form under subaward costs. Refer to the General Application Instructions, Section III.A.7, for detailed information.

• Extramural and Intramural Applications –

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

- o 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 Biographical Sketch may also be used. All biographical sketches should be submitted in the portable document format (PDF) that is not editable.
- PI Previous/Current/Pending Support (no page limit): Upload as "Support_LastName.pdf."
- Key Personnel Biographical Sketches (five-page limit each): Upload as "Biosketch_LastName.pdf."
- Key Personnel Previous/Current/Pending Support (no page limit): Upload as "Support_LastName.pdf."

Research & Related Budget: 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.

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.5, and for intramural submissions (via eBRAP), refer to the General Application Instructions, Section IV.A.4, for detailed information.

• Extramural Applications Only –

R&R Subaward Budget Attachment(s) Form (if applicable): Refer to the General Application Instructions, Section III.A.6, for detailed information.

 Extramural Subaward: Complete the Research & Related Subaward Budget Form through Grants.gov. (Refer to the General Application Instructions, Section III.A.6, for detailed information.)

Intramural DoD Collaborator(s): Complete the DoD Military Budget Form and upload to Grants.gov as Attachment 6. (Refer to the General Application Instructions, Section III.A.7, for detailed information.) Intramural DoD Collaborator(s) costs per year should be included on the Grants.gov Research and 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 subrecipient 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's organization's Entity registration in SAM well in advance of the application submission deadline. Allow 3 to 4 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.

II.D.4. Submission Dates and Times

All submission dates and times are indicated in <u>Section I, Overview of the Funding Opportunity</u>. 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

Prior to the end of the application verification period, PIs and organizational representatives can review and modify in eBRAP certain components of a submitted application. Following

retrieval and processing of the full application, eBRAP will notify the organizational representatives and PIs by email to log into eBRAP to review, modify, and verify the full application submission. eBRAP will validate retrieved files against the specific Program Announcement requirements and discrepancies will be noted in both the email and in the Full Application Files tab in eBRAP. eBRAP does not confirm the accuracy of file content. It is the applicant's responsibility to review all application components and ensure proper ordering as specified in the Program Announcement. *If either the Project Narrative or the budget fails eBRAP validation or needs to be modified, an updated full application package must be submitted prior to the application submission deadline*. The Project Narrative and Budget Form cannot be changed after the application submission deadline.

II.D.5. Funding Restrictions

The maximum period of performance is **1** year.

The anticipated total costs budgeted for the entire period of performance will not exceed \$150,000. 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 \$150,000 total costs or using an indirect cost rate exceeding the organization's negotiated rate.

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 1 year.

For this award mechanism, direct costs may be requested for (not all-inclusive):

- Salary
- Research supplies
- Equipment
- Support for multidisciplinary collaborations, including travel
- Travel costs for one investigator to travel to one scientific/technical meeting per year

Must not be requested for:

Clinical trial costs

Extramural (non-Federal) awards will consist solely of assistance agreements (Cooperative Agreements and Grants). 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. Intragovernmental only 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.4, 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.4.

The CDMRP expects to allot approximately \$1.8M of the \$5M FY17 LRP appropriation to fund approximately 12 Concept Award applications, depending on the quality and number of applications received. Funding of applications received in response to this Program Announcement is contingent upon the availability of Federal funds for this program.

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:

• Innovation:

- To what extent the proposed project is innovative and introduces a new paradigm, looks at existing problems from new perspectives, or exhibits other highly creative qualities.
- o To what extent exploring the concept may lead to new areas of research.
- How the proposed research represents more than an incremental advance beyond ongoing or published research.

• Impact:

- How well the proposed research addresses at least one of the FY17 LRP Focus Areas.
- o To what extent the proposed research will, whether in the short-term or long-term, lead to an original and important contribution toward advancing basic, translational, or clinical lupus research, or on the quality of life of individuals with lupus.

• Research Strategy:

- o To what degree the proposed research is supported by a sound scientific rationale.
- How well the hypotheses or objectives, aims, experimental design, methods, and analyses are developed and integrated into the project.
- To what degree the experimental design and methodology are appropriate to address the stated objectives.
- How well the PI acknowledges potential problems and addresses alternative approaches.

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

Personnel

- To what degree the research team's background is appropriate with respect to its ability to perform the proposed work, including whether there is evidence of sufficient clinical and/or statistical expertise (if applicable).
- Whether the levels of effort are appropriate for successful conduct of the proposed work.

Budget

- Whether the **total** maximum costs are equal to or less than the allowable total maximum costs as published in the Program Announcement.
- Whether the budget is appropriate for the proposed research.

• Application Presentation

• To what extent the writing, clarity, and presentation of the application components influence the review.

• Environment

- How the scientific environment is appropriate for the proposed research.
- o If applicable, to what degree the intellectual and material property plan is 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 FY17 LRP, as evidenced by the following:
 - Adherence to the intent of the award mechanism
 - Program portfolio composition
 - Relative impact and innovation

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 of applications against established criteria for determining technical merit. Each application is evaluated for its own merit, independent of other applications. The second tier is a programmatic review that makes recommendations for funding to the Commanding General, USAMRMC, on behalf of the DHA and the OASD(HA), based on technical merit, the relevance to the mission of the DHP and LRP, the specific intent of the award mechanism, and to other specified evaluation criteria in the Program Announcement. Programmatic review is a comparison-based process in which applications with scientific and technical merit compete in a common pool. *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 http://cdmrp.army.mil/about/fundingprocess.

All CDMRP review processes are conducted confidentially to maintain the integrity of the merit-based selection process. Panel members sign a statement 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 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 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 (currently \$150,000) 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, at its option, may review FAPIIS, accessible through SAM, and submit comments to FAPIIS on any information about itself 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 (DoDGAR), Section 22.415.

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

All application review dates and times are indicated in <u>Section I, Overview of the Funding</u> 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 will be made no later than September 30, 2018. Refer to the General Application Instructions, Appendix 2, for additional award administration information.

Awards are made to organizations, not to individual PIs. The types of awards made under the Program Announcement will be assistance agreements (grants or cooperative agreements). The level of involvement on the part of DoD during project performance is the key factor in determining whether to award a grant or cooperative agreement.

Extramural Organizations: An assistance agreement (grant or cooperative 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. 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). Substantial involvement may include 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.

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

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.

Intramural Organizations: Awards 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 managers (RM).

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

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.

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 DoDGAR found in 32 CFR, Chapter 1, 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 <u>USAMRAA General Research Terms and Conditions with Institutions of Higher Education</u>, <u>Hospitals</u>, and <u>Non-Profit Organizations</u> and the <u>USAMRAA General</u> 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. Annual progress reports as well as a final progress report will be required.

In addition to written progress reports, annual Award Charts will be required. For the Concept Award mechanism, use the generic format example titled, "Award Charts," available on the eBRAP "Funding Opportunities & Forms" web page (https://ebrap.org/eBRAP/public/Program.htm).

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 \$10,000,000 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 Terms and Conditions. The applicable Terms and Conditions for institutions of higher education, hospitals, and nonprofit organizations are available in OAR Article I, Section B, in the July 2016 R&D General Terms and Conditions. The applicable Terms and Conditions for for-profit organizations are available in Section 34 of the February 2017 USAMRAA General Research Terms and Conditions with For-Profit Organizations.

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

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

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 20170516e. The Program Announcement numeric version code will match the General Applications Instructions version code 20170516.

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.

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 pre-application or application:

- An FY17 LRP 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 FY17 LRP Programmatic Panel members can be found at http://cdmrp.army.mil/lrp/panels/panels17.
- The application fails to conform to this Program Announcement description to the extent that appropriate review cannot be conducted.
- 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 FY17, the identities of the peer review contractor and the programmatic review contractor may be found at the CDMRP website (http://cdmrp.army.mil/about/2tierRevProcess). Applications that include names of personnel from either of these companies will be administratively withdrawn unless plans to manage COIs are provided and deemed appropriate by the Grants Officer. Refer to the General Application Instructions, Appendix 3, for detailed information.
- Personnel from applicant or collaborating organizations are found to have contacted persons involved in the review 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.
- If a clinical trial is proposed, the application will be withdrawn.
- Any submissions received after two from the same Principal Investigator.
- An application that does not address at least one of the LRP Focus Areas in <u>Section II.A.1</u>, LRP Focus Areas, will be withdrawn.

• 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 (R&R) Application for Federal Assistance (Extramural submissions only)	Complete form as instructed.	
Summary (Tab 1) and Application Contacts (Tab 2) (Intramural submissions only)	Complete these 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."	
	DoD Military Budget Form(s): Upload as Attachment 6 with file name "MFBudget.pdf," as applicable.	
	Attach PI Biographical Sketch (Biosketch_LastName.pdf) to the appropriate field.	
Research & Related Senior/Key Person Profile (Expanded)	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 (Extramural submissions only)	Complete as instructed. Attach Budget Justification (BudgetJustification.pdf) to the appropriate field.	
Budget (Intramural submissions only)	Complete the DoD Military Budget Form and justification.	
Project/Performance Site Location(s) Form	Complete form as instructed.	
R&R Subaward Budget Attachment(s) Form, if applicable	Complete form as instructed.	

APPENDIX 1: ACRONYM LIST

ACURO Animal Care and Use Review Office

CDMRP Congressionally Directed Medical Research Programs

CFR Code of Federal Regulations

DHA Defense Health Agency
DHP Defense Health Program
DoD Department of Defense

DoDGAR 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

FY Fiscal Year

HRPO Human Research Protection Office

IACUC Institutional Animal Care and Use Committee

IRB Institutional Review Board

LOI Letter of Intent

LRP Lupus Research Program

M Million

MIPR Military Interdepartmental Purchase Request

OASD(HA) Office of the Assistant Secretary of Defense for Health Affairs

OMB Office of Management and Budget

ORP Office of Research Protections

PI Principal Investigator

RDT&E Research, Development, Test, and Evaluation

RM Resource Manager

SAM System for Award Management

SOW Statement of Work

USAMRAA U.S. Army Medical Research Acquisition Activity

USAMRMC U.S. Army Medical Research and Materiel Command

USC United States Code