GUIDELINES AND INSTRUCTIONS FOR PREPARING INTRAMURAL START-UP PACKAGES FOR RESEARCH FUNDS
(Phase III of Start-up Process)

This document provides general guidelines and instructions for completing and submitting forms to apply for start-up funding promised as part of the Principal Investigators hiring package. Line-by-line instructions for completing individual forms are available at the Office of Research (VPR) home page,

http://www.usuhs.mil/research/EFIntrProg.html

or from VPR, in Room 1032 in Building A. All of the forms you will need to apply for intramural funding, including assurance forms, are available via the same web page. You are welcome to contact us if you need assistance with your application.

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The Office of Research main phone number is (301) 295-3303. The office fax number is (301) 295-6771.

I. Application form

Use Form 3201C, which is specifically designed for Start-up Packages. Detailed instructions for completing the form are on pages 2 through 4 of this document. Please call if you have any questions.

II. Assurance forms

After completing the Form 3201C, you should fill out Form 3208, which will help you determine which University assurance committees have oversight responsibilities for the work you have proposed. Pursuant to recent revisions in University processes and policies, USU assurance committees perform their reviews “just in time”. Reviews will normally be completed by the anticipated funding date, but only if the appropriate forms are submitted promptly. No funds can be released until we have written documentation of final approval from all assurance committees with oversight responsibilities for the work you propose.

III. Other requirements

You must submit a complete, signed original of the entire packet for your research project file. Electronic versions of the forms are also required. We cannot accept PDF files, since we use the electronic versions to make any required minor changes (such as corrections to the budget) that are identified during the administrative review. You will be notified of any changes that are necessary.

Please do not staple any pages in your packet. Packets should be secured with rubber bands or paper clips.

In addition the Form 3201C, your application packet must contain the following:

• A completed Form 3208 (Assurance Supplement Form), even if your package does not require approval by any assurance committees. Form 3208 must be reviewed and signed by the chair of your department.
• Start-up funds from VPR may only be used to purchase supplies. Personnel and major equipment greater than $5,000 should be purchased from the appropriate dedicated accounts. If you need assistance, please contact REA.

• The protocol should be single-spaced. **Font size must be 12 point throughout the application.**

**DETAILED INSTRUCTIONS FOR COMPLETING FORM 3201C FOR START-UP PACKAGES**

The sections below follow the USU Form 3201C.

**FACE PAGE:**

**Project Number:** Please do not fill in the project number. Your application will be assigned a grant number after you turn it in to the Office of Research.

1. **Study Title:** Titles should have no more than 75 characters. Grants are often identified by projects, so please do not use the same title you have used for another proposal, even if the proposals are identical.

2. **Principal Investigator:** Include your USU office address, at least one phone number, a FAX number, and an e-mail address where the specialist can reach you with questions about your application. If you are best reached by pager, please supply both the phone number and your PIN.

3. **Proposed Budget and Project Periods:** The federal government operates on a 12-month fiscal year that runs from 1 October to 30 September. Therefore, in planning your project budget you must break out your funding needs for each fiscal year. Fill in the dates for this section as follows:

   • The budget period and the project period must start on the same date. In both cases, use the date on which you will officially sign in at the University.

   • The budget period must end with the current fiscal year (30 September of this year).

   • Determine the project end date by adding three years to the start date. For instance, if your project will start on 1 July 2004, the end date will be 30 June 2007.

4. **Funds requested:** This section should be completed only after you have worked out your detailed budgets (Section 7, below) and a budget summary for the entire project. The amount you enter here, as the total funds requested for the budget period must match the total of the detailed budget in Section 7. The amount requested for the project period must be the sum of the yearly totals in the budget summary in Section 8 (generally $150,000). Please write a brief justification for each of the budget categories.

   **Signatures:** Your application cannot be processed without both your signature and that of your chair.

**ABSTRACTS:**

Be sure to include both your name (as Principal Investigator) and the title in the lines just above the abstract box. Both abstracts should provide a succinct, informative and accurate description of the work proposed. State broad,
long-term objectives as well as specific aims; briefly describe the experimental design and methods; and state the importance of the work that you propose has in understanding human health issues, especially for the military.

5. **Technical Abstract:** This language in this abstract should be scientific and it should demonstrate your knowledge in your field. The abstract should be addressed to a reader familiar with your field, but not necessarily as a subspecialty of his or her own (e.g., a reviewer).

6. **Lay Abstract:** Do not copy and paste your technical abstract. The language in this abstract should be simple and should demonstrate your ability to effectively communicate your research to a broadly educated non-scientific audience. If your study is funded, this abstract will be used to brief senior military officers and other individuals who oversee our research funding. The emphasis here should be on the problems you are studying, the basic mechanisms in question, and the implications of your project if it is successful.

7. **Detailed budgets:** The information in these budgets enables the Office of Research to load your funds appropriate so that you can pay for your purchases without needing to shift funds from one category to another to cover the costs.

Because federal funds are allocated by fiscal year, you need to complete a separate budget for each fiscal year that your grant is active. This form requires detailed budgets for only the first two fiscal years (Section 7) and then asks you to estimate your needs for the remainder of the project period (Section 8.). For the third and (possibly) fourth fiscal years, detailed budgets are submitted during the preceding August.

The budget for the first fiscal year should reflect what you expect to need from the date of your arrival at USU to 30 September, when the federal fiscal year ends. The total of this detailed budget should match the amount entered in Section 4 as the funding request for the proposed budget period.

If you arrive at the University after 1 April, you have the option of using only part of the $50,000 allotted for your first year. The remainder can then be budgeted for the final months of your project period, which will constitute a partial, fourth fiscal year. For instance, if you arrive 1 July 2004, you might request only $30,000 to spend during the 3-month period between 1 July and 30 September 2004. Each of the next two budgets will cover a full (12-month) fiscal year at $50,000 per year. The remaining 9 months of your project period (1 October to 30 June 2007) constitute a fourth (partial) fiscal year, during which you can use the $20,000 not spent in FY2004.

**NOTE:** As you plan your detailed budgets, you should keep in mind that the University must close its books at the end of each fiscal year. It must also return to the US Treasury all of the intramural funds not spent by 30 September. Consequently, there are spending deadlines based on the cost of the order and/or the payment mechanism. Although unspent extramural funds typically do not have to be returned, the deadlines apply to both intramural and extramural accounts.

A complete list of deadlines is published by the Vice-President for Resource Management, usually in May. If this year’s deadlines have been published, the list has been included in the same packet of information in which you found these instructions. Your department’s administrative officer should also have copy of the list, or you can obtain one from the Office of Research, the Contracting Directorate, or Financial & Manpower Management.

8. **Budget Summary:** Provide a summary budget for each year in the proposed period (Section 7). The figures in Year 01 should correspond to the amounts shown in the corresponding detailed budgets.
INFORMATION ON PRINCIPAL INVESTIGATOR:

9. **Other Support:** List all of your current research support (including contracts, CRADAs, and grant agreements), both active and pending. If the work you propose in your application overlaps either the science or the budget of any of the research projects on your list, whether funded or pending, use the space below the table to describe both the overlap and the adjustments you will make if the second application is funded. Indicate “none” only if you have no other grants or contracts, funded or pending. Indicate the percentage of your total effort that you expect to dedicate to each. This information will also be used to help monitor and coordinate the transfer of existing awards.

**PROTOCOL:**

10. **Research Plan:** If your protocol requires Institutional Review (human use), then the following sections must be completed. Otherwise, simply attach a three-page proposal describing your research goals to the end of the form.

   Sections (a) through (d) of the research plan may not exceed 3 pages, including any tables and graphs. You must spell out in full any abbreviations you use the first time they appear in your proposal.

   a. **Specific Aims:** State your long-term goal and specific aims. Describe specifically what you intend to accomplish in the work described in your application. State clearly any hypotheses you intend to test.

   b. **Background and Significance:** Sketch the background for the present proposal, evaluate existing knowledge, and identify the gap(s) that your project is intended to fill. Explain the importance of the work you propose by relating your specific aims to your long-term objectives. Clearly identify and explain any military significance.

   c. **Preliminary Studies:** If you are submitting a new proposal, you should report the results of your preliminary studies here.

   d. **Research Design and Methods:** Describe the overall intent and significance of the project as well as the procedures you will use to accomplish each specific aim.

   In outlining the work planned for each specific aim, describe any new methodology you intend to use and explain its advantages over existing methodologies. In each case, describe in detail the means by which data will be collected, analyzed, and interpreted. Discuss any potential difficulties and limitations of procedures you propose and outline alternative approaches that would enable you to achieve your aims should you encounter such problems. Provide a tentative sequence or timetable for the investigation. If any of your proposed procedures, situations, or materials that might be hazardous to study personnel, list the precautions you will exercise to protect them.

   e. **Literature Cited:** Citations should be listed at the end of the research plan but do not count as part of the 3-page limit. Each citation must include the title, names of all authors, book or journal, volume number, page numbers, and year of publication. Make every attempt to be judicious in compiling a relevant and current list of literature citations. Ensure that your citations are both complete and accurate.

   Please contact Mary Kay Gibbons or Susan Rasmussen with any questions.