Instructions for Completing Form 3201

Before you begin, ensure that you are using the most recent version of the form (revised October 2007). The 3201 may be revised as often as every 6 months, based on feedback from applicants and reviewers. If you use outdated forms, your application may be delayed. If major changes have been made to the form, we may have to ask you to reapply using the new version. The sections below follow the order of the form.

PLEASE NOTE: At the request of the Merit Review Committee, we will strictly enforce the requirement that all applications be submitted in 12-point Times New Roman with 0.5 inch margins on all sides. Applications that do not adhere to these requirements will be returned without further review. Although they can be corrected and resubmitted for that competition, no extensions will be granted in such cases. The forms are formatted to comply with the requirements.

If you have questions after reading these instructions, you are welcome to contact the Research Development Office in the Office of Research, at 295-3303, or via e-mail:

Toya V. Randolph, PhD, MSPH, Director (295-3952 or torussell@usuhs.mil)
Mary Kay Gibbons, Senior Specialist (295-9817 or mgibbons@usuhs.mil)
Vernell Shaw, Grants Specialist (295-9722 or vshaw@usuhs.mil)

FACE PAGE:

Project Number: Please do not fill in a project number. Your application will be assigned a grant number when you submit it to the REA.

Funding Type: Double click on the box with the type of funding you are requesting. A “Check Box Form Field” should appear. Click on the default value of “CHECKED”. This will put a checkmark next to the funding type. If you are not sure what type of funding to request, contact the Office of Sponsored Programs to discuss your options. If you are submitting a revised application be sure to check the “Revised” box. Once again this can be done by double-clicking on the box and selecting the default value of “CHECKED”.

1. Study Title: Titles should have no more than 75 characters. Please do not use the same title you have used for another proposal, even if the proposals are identical.

2. Principal Investigator: All information requested is needed and will be used to communicate with you regarding your application. Include your 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. Initial Budget and Project Periods: If you are using the diskette from the call for application for standard research funding, most of the information has been completed for you. You will only need to complete the year the project will end. Please do not alter the other information.
If you have downloaded the form from the VPR home page or the dates are blank, fill in the dates as instructed below. Feel free to contact Mrs. Gibbons or Ms. Shaw if you need assistance.

- The budget period and project period must start on the same date. To use this form, you should be applying for on-cycle funding, so both start dates should be 1 October of the current fiscal year. (If this date seems wrong to you, please contact us. You may need to use a different form).

- The budget period ends 30 September of the current fiscal year, unless you plan to complete your project before then. If you are requesting a shorter project, use the date you expect to complete the project as the budget end date.

- The project end date is based on the starting date for the project and project period you are requesting. It should be 30 September of the year appropriate to your project period. The number of years you request here should correspond to the number of years in your budget summary (Section 8).

4. Funds Requested: Fill in the dollar amounts corresponding to the initial budget period (usually the first fiscal year of the project request) and the total project period. The maximum amount per year is listed in Guidelines for Preparing Applications for USU Intramural Research Funds, which is available on the VPR website or from VPR staff. This amount must equal the funds requested for the first year shown in the detailed budget in Section 7 of this form. The request for the total project period should be the sum amount you are requesting over the life of the project. This amount should equal the sum of the yearly totals in your budget summary (Section 8). The maximum amount per project for each funding type is also listed in the Guidelines.

Signatures: Your application cannot be processed without both your signature and that of your Chair. Your proposal will not be forwarded to the Merit Review Committee unless it carries all of the appropriate signatures.

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.

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 nonscientific 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.

BUDGETS:
7. Detailed Budgets: The detail in these budgets enables your reviewers to assess your financial
planning and, if your project is funded, allows the Office of Research to load your funds appropriately so that you can pay your personnel and purchase supplies, etc. Each budget item in this detailed budget must have a corresponding justification in Section 10.

a. **Personnel:** Salary support for USU-billeted faculty and employees of the Henry M. Jackson Foundation cannot be paid from intramural funds. Consultants on intramural protocols can be paid only through a contract. Contact the Contracting Directorate at 295-3068 if you need assistance. You must list every person who has a role on the project in the personnel section. This information is used by the Merit Review Committee to assess whether the proposal has adequate staffing and expertise to perform the work proposed. The list of personnel in this section should match the list in Section 9 (Personnel Roles).

b. **Supplies:** The Merit Review Committee has specifically asked that supplies be itemized for review. The items requested should match the requirements of your Research Plan (Section 13). Justification for any unusual items or costs should be included in Section 10.

c. **Equipment:** Equipment purchased with research funds must be less than $5000. Requests for equipment with a unit cost greater than $5,000 per item must be made to the Equipment and Unfunded Requirements Review Committee (EURRC) during its call for requests.

d. **Other Expenses:**
   - If you have animal costs that total more than $500, you must itemize them (e.g., "animal and housing costs for 20 rabbits at $30 each").
   - You must itemize USU services by category (e.g., LAM per diem, BIC charges, Audio/Visual services). Current LAM per diem charges are available through the REA home page (http://www.usuhs.mil/research/ElectronicForms.htm). Please contact BIC, AVC, and ASD directly for their current rates.
   - For small mailings, the University generally provides outgoing postage (except express mail) at no charge. Contact the University mailroom for charges if you anticipate making large mailings.
   - Books and/or journal subscriptions cannot be bought with intramural funds.
   - Intramural funds cannot be used to pay for memberships and dues to scientific, medical or professional societies or organizations.
   - You may include travel expenses only if
     - the travel is mission-essential, in that conducting the project requires the trip (e.g., for data collection); and
     - you provide adequate, written justification in your application.

   **Travel to meetings and conferences do not qualify as mission-essential.**

8. **Budget Summary:** Provide a summary budget for each year in the project period (Section 7). The figures in Year 01 should correspond to the amounts shown in the corresponding detailed budgets. Any out-year increases or decreases greater than 10% should be itemized and justified in Section 10.

9. **Personnel Roles:** The purpose of this section is to describe who is responsible for the work proposed in the Research Plan (Section 13) and how it will be conducted. The descriptions of duties should therefore match the work described in the Research Plan. Outline the duties to be performed by each of the
individuals who will work on the project, even those who will not be paid from the project budget. If a position has not yet been filled, provide the position title and give the corresponding duties for the project.

10. **Budget Justification:** Justify any unusual requests in each category of your itemized budget (Section 7 above) and any significant increases or decreases in the budget summary over subsequent years (Section 8 above). If you request equipment, be sure to describe both the purpose and need for the item(s) you request.

**INFORMATION ON PRINCIPAL INVESTIGATOR**

11. **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 application is funded. Indicate the percentage of your total effort that you expect to dedicate to each. Indicate “none” only if you have no other grants or contracts, funded or pending.

The Merit Review Committee uses this section to evaluate your productivity, standing commitments, and proven ability to perform the work proposed in your application. The Office of Research uses it to maintain its database, and to ensure that applicants have complied with the University requirement for a good-faith effort to obtain extramural funds in the 3 years prior to applying for intramural funds. (The good-faith effort requirement is waived for faculty with less than three years of intramural funding.)

12. **Biographical Sketch:** Biographical information is required only for the PI. If you have already prepared a biosketch for another application (e.g., an NIH proposal), you may cut and paste that information into Form 3201. **This section must not exceed 2 pages.**

We strongly recommend that you append a CV for each person who will make a significant contribution to the research, particularly for those who will contribute expertise in an essential technique or area you have not mastered yourself. If you include a letter of support from a colleague, reviewers expect to see a corresponding CV, even if the colleague is a member of the USU faculty.

**PROPOSAL**

13. **Research Plan:** Sections (a) through (d) of the research plan may not exceed ten 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 or the research question you will attempt to answer. Clearly state how your findings and results will contribute to science and advance your field.

b. **Background and Significance:** Describe the background for the present proposal, evaluate existing knowledge, and identify the gap(s) that your project proposes to fill. Explain the importance of the work you propose by relating your specific aims to your long-term objectives.
Clearly identify and explain how your research is military relevant and clearly state if it is not. Remember, however, that a specious argument for military significance weakens your application. Please contact Dr. Toya V. Randolph if you need assistance determining military relevance.

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

d. Research Design and Data Analysis: Describe the overall intent and significance of the project as well as the procedures you will use to accomplish each specific aim. The Merit Review Committee strongly prefers proposals that are explicitly hypothesis driven. If hypotheses are impossible or inappropriate in the kind of work you have in mind, you should provide a compelling explanation in your introductory section.

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.

A list of the criteria used to evaluate intramural proposals can be downloaded from the REA home page (www.usuhs.mil/research/dnform.html).

e. Literature Cited: Citations should be listed at the end of the research plan but do not count as part of the 10-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. No specific reference style is required or preferred. Please select a style and be consistent in using that style. Ensure that your citations are both complete and accurate.

Best wishes for a successful application!