GUIDELINES FOR PREPARING APPLICATIONS FOR
USU INTRAMURAL RESEARCH FUNDS

This document provides general guidelines for completing and submitting forms to apply for intramural funding. Line-by-line instructions for completing individual forms are available at the Office of Research (VPR) home page, accessible through the USU website, 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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I. Eligibility

Eligibility for funding from the University’s intramural program is restricted to billeted civilian and uniformed faculty members at USU with Full, Associate, or Assistant Professor titles. Civilian faculty members must derive at least 50% of their salaries from USU-appropriated funds. Billeted research-track faculty are eligible only for standard and exploratory awards (see below).

The intramural program also includes award types specifically for the University’s graduate students, medical students, medical residents, and those enrolled in an accredited clinical fellowship program at the University.

Good faith effort: USU Instruction 3200 requires that any applicant for intramural funding demonstrate that the applicant has made a good-faith effort to acquire extramural funding. This rule is waived for the applicant’s first three years of intramural funding. Please be sure that the Office of Research has an accurate record of all of the funding for which you have applied, regardless of whether the project was approved, pending, or rejected. The Vice-President for Research uses that record to ascertain whether you have met the good-faith effort requirement.

II. Award types

The intramural program has been streamlined for all new starts after 1 October 2005 (FY06). Projects approved prior to that time will retain their approved funding levels and project periods.

Graduate students: Funding for masters-thesis and doctoral-dissertation awards are overseen by program directors and the Dean of Graduate Education within the student’s School (Medicine or Nursing) and administered by the Office of Research. Applications must be submitted through the Office of Research to ensure that approvals from all relevant assurance committees are in place before funds are released.
Medical students, residents, and clinical fellows: Applications and awards for medical students, medical residents, and those in accredited clinical fellowship programs are administered by the Office of Research. Proposals from medical students, medical residents and clinical fellows are accepted, reviewed by an ad hoc committee, and funded on a rolling basis year-round.

**Standard:** Applicants for standard funding can request up to $20,000 per year for up to three years, regardless of whether the PI is new or experienced. (The old two-tiered funding structure has been eliminated.) Actual funding for approved standard protocols is determined each fiscal year, based on the size of the University’s actual research appropriation. In recent years, the funding level has been consistently 90% of the approved project budget.

**Exploratory:** Applicants can request up to $150,000 over the 24-month project period. Some restrictions are waived for these applications, but the proposal must demonstrate that the personnel and equipment requested are necessary to the work and not otherwise available to the study team. Due to funding guidelines for the RDTE appropriation that supports this type of grant, exploratory applications must address questions in infectious diseases, combat casualty care, or military operational medicine. From time to time, a more targeted request for applications within those categories may be issued based on guidance from one or more of the DoD agencies that monitors the University’s research.

**Instructional:** Instructional applications must propose a research project regarding innovative instructional methods (versus faculty development, course development, or course or program evaluation). These applications, which may include budget requests up to $10,000 per year for up to two years, will be peer-reviewed by the SOM Educational Research Committee, composed of SOM faculty with expertise in both teaching and instructional research.

**Pilots:** This category includes all of the small awards formerly reviewed under separate categories as starters, pilots, and specials. Funding may be requested for up to $10,000 per year for up to two years. These projects should be short-term studies designed to collect preliminary data for a larger application, either intramural or extramural.

**Other awards:** Terms for start-up packages for competitively-hired civilian faculty are negotiated as part of the hiring package.

<table>
<thead>
<tr>
<th>Award type</th>
<th>Funding ceiling</th>
<th>Project period</th>
<th>Application due date(s)</th>
<th>Project start date(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exploratory</td>
<td>$150,000 total</td>
<td>Up to 24 months</td>
<td>See recent Request for Applications</td>
<td>See recent Request for Applications</td>
</tr>
<tr>
<td>Standards</td>
<td>$20,000/year</td>
<td>Up to 36 months</td>
<td>See recent Request for Applications</td>
<td>See recent Request for Applications</td>
</tr>
<tr>
<td>Pilots</td>
<td>$10,000/year</td>
<td>Up to 24 months</td>
<td>See recent Request for Applications</td>
<td>See recent Request for Applications</td>
</tr>
<tr>
<td>Instructional</td>
<td>$10,000/year</td>
<td>Up to 24 months</td>
<td>Accepted year round</td>
<td>Accepted year round</td>
</tr>
<tr>
<td>Clinical fellows</td>
<td>$3,000/year</td>
<td>Up to 24 months</td>
<td>Accepted year round</td>
<td>Accepted year round</td>
</tr>
</tbody>
</table>
III. Application forms

**Competing applications**: Intramural application forms have been revised to reflect the redesigned award structure. The forms and instructions reflect conditions specific to the type of award for which they are designed. Please ensure that you use the correct form for the award you request, and that the form is the most recent version available. **Each of the forms listed below has its own set of instructions.** Up-to-date forms and instructions are always available at

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

*USU Form 3201* – For faculty applying for pilot, instructional, and on-cycle standards (i.e., starting 1 October); and for fellows applying for fellows’ awards. Residents and medical and graduate students proposing freestanding projects should also use this form.

*USU Form 3201A* – For faculty applying for off-cycle applications for (a) standards with funding to start 1 June; or (b) pilot, instructional, clinical fellow or student/resident research not already covered by a mentor’s approved protocol to start either 1 February or 1 June.

*USU Form 3201B* – For faculty applying for exploratory research funds. The form has a special section to accommodate the exploratory projects’ special budget guidelines.

*USU Form 3201C* – For newly-hired faculty submitting research plans in fulfillment of their hiring agreements.

*USU Form 3202* – For medical and graduate students applying for funds to conduct a study largely covered by a mentor’s approved protocol. Proposals for freestanding student projects should be submitted on Form 3201.

**Noncompeting applications**: Both students and faculty should submit both Form 3210 (Progress Report) and Form 3211 (Outyear Budget Request and Research Plan) when applying for outyear funding (year 2 and forward).

IV. Assurance forms

After completing the appropriate version of Form 3201, 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, USUHS assurance committees now perform their reviews “just in time”** – i.e., unless the funding agency requires preapproval, they review only proposals already approved for funding. Reviews will normally be complete by the anticipated funding date, but only if the appropriate forms are submitted promptly after funding notification. As in the past, 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.
V. Other requirements

You must submit a complete, signed original of the entire proposal 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 administrative pre-review. You will be notified of any changes we make.

Both the original and the copies should include all of your appendices. Photographs and other figures should be reproduced clearly enough for the reviewers to read and interpret them accurately.

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

In addition to the appropriate version of Form 3201, your application packet must contain the following:

- A completed Form 3208 (Assurance Supplement Form), even if your proposal does not require approval by any assurance committees. **Form 3208 must be reviewed and signed by the chair of your department. If a collaborator who will contribute 5% effort or more is in a USUHS department other than your own, you must obtain the signature of the chair from his/her department.**

- An appropriate letter and CV/biosketch from each collaborator who is not in your primary USU department, confirming his/her role in the project. Include letters from USU-billeted faculty in other departments as well as any collaborators who are not USU-billeted faculty.

Proposals should be single-spaced. **Font size must be 12 point throughout the application.** Proposals with other font sizes will be returned without further processing.

The research design (Sections 13A-E of Form 3201, 3201a and 3201b) should not exceed 10 pages. References (Section 13F) are not included in the page count.

**Incomplete applications will not be forwarded to the Merit Review Committee for consideration.**

**REVISED APPLICATIONS:**

If you submit a revised application, USU policy requires that you write an explanatory cover memo, addressed to Susan Rasmussen, Ph.D., Executive Secretary, Merit Review Committee. Provide a list of the changes you have made, noting in each case whether it was recommended by the MRC or made for other reasons. If your previous reviews raised issues that you believe do not require adjustments to the project proposal, state each issue succinctly and explain why you believe that no change is necessary.

**Be sure to include a new, updated Form 3208 and assurance forms (as listed above), updated letters from your collaborators, and signatures from department chairs as necessary. If your revisions will not change an assurance form previously submitted, you can resign a copy of the assurance form previously submitted.**