



**Commonwealth Health Research Board [CHRB]
Grant Guidelines and Application Instructions
for the
FY 2021/2022 Grant Process**

Effective October 1, 2020
for Grants to be awarded July 1, 2021

KEY DATES	DUE DATES
Concept Paper Submissions	December 10, 2020
Full Proposal Submissions	April 29, 2021
Presentations to CHRB	June 10, 2021
Grant Awards	July 1, 2021

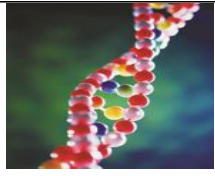
The CHRB Policies and Procedures and the CHRB Grant Guidelines and Application Instructions govern the CHRB's grant application, review, selection, award, reporting, and other post-award requirements and procedures; therefore, you should read and become familiar with both documents. Applicants are required to comply with the contents of both documents.



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Introduction

The Commonwealth Health Research Board (CHRB or Board) was created by *Virginia Code* §32.1-162.23 to provide financial support—in the form of grants, donations, or other assistance—for research efforts having the potential of maximizing human health benefits for the citizens of the Commonwealth. Research efforts eligible for support by the Board shall include traditional medical and biomedical research relating to the causes and cures of diseases, as well as research related to health services and the delivery of health care. Since its inception, the CHRB has made 230 grant awards totaling approximately \$19.2 million in grant funding to institutions of higher education and other Virginia not-for-profit or nonprofit organizations that conduct health, or health-related research in Virginia. For a description of past CHRB grant awards and abstracts, visit our website at www.chrb.org.

The CHRB encourages research projects and investigators that involve factors, including but not limited to the following:

Research that maximizes human health benefits for the citizens of the Commonwealth of Virginia
Principal Investigators who are submitting Concept Papers to the CHRB for the first time
Principal Investigators who are Junior faculty/ investigators
Undergraduate Student involvement
Innovative Projects
Support to aid in obtaining preliminary data that may enable an investigator in obtaining longer-term funding for a major research project
Collaboration among two or more institutions or organizations
Leveraging additional funding support from federal or nonprofit organizations

Proposed CHRB research projects must also:

Be in compliance with CHRB Grant Guidelines and Application Instructions and CHRB Policies and Procedures
Score well with respect to the scientific review criteria: Significance, Approach, Innovation; Experience and Qualifications of Research Team; and Unique Virginia Considerations, Collaborations and Leverage [Additional weight is given to the Approach criteria.]

The CHRB considers less favorably research proposals submitted by the following:

Principal Investigators with multiple funding awards, unless the CHRB submission is in a new area of research.	Emeritus Professors
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These *Grant Guidelines and Application Instructions* are designed to help individuals determine their eligibility for CHRB grant support. They explain how and when to apply for a grant. An electronic version of these guidelines, including the cover sheet and all required attachments is available at www.chrb.org. In addition to these *Grant Guidelines and Application Instructions*, applicants are responsible for knowing, and must comply with, the CHRB's *Policies and Procedures* available on the CHRB website at www.chrb.org. The CHRB *Grant Guidelines and Application Instructions* and *Policies and Procedures* may be updated at the discretion of the CHRB each year.

For the FY 2021/2022 CHRB competition, applicants may request funding to support projects over either a one-year or a two-year period. The maximum amount of a one-year award is \$100,000. The maximum amount for a two-year award is \$200,000. However, no more than \$100,000 is provided in either the first or second year. The number of one-year and two-year awards the CHRB anticipates funding is dependent upon the funds available and the number and merit of proposals received and reviewed.

In accordance with *Virginia Code* §32.1-162.24, the Board encourages collaborative research efforts among two or more institutions or organizations, gives priority to those research efforts where Board support can be leveraged to foster contributions from federal agencies or other entities, and supports both new research efforts and the expansion or continuation of existing research efforts.

Entities Eligible for CHRB Grant Funding

Virginia Code §32.1-162.26 provides that the following entities may apply for a CHRB Grant:

State-supported Virginia institutions of higher education	Agencies of the Commonwealth of Virginia	Nonprofit Organizations exempt from income taxation pursuant to § 501 c (3) of the Internal Revenue Code located in the Commonwealth of Virginia.
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Grant Application Instructions and Grant Application Review Process

There are three steps in the Commonwealth Health Research Board's (CHRB's) grant application review process:

<p>Step One: Concept Paper Submission Thursday, December 10, 2020</p>	<ul style="list-style-type: none"> ✓ All applicants seeking CHRB grant support must submit a Concept Paper. ✓ During Step One, the CHRB reviews only Concept Papers submitted in compliance with the CHRB's <i>Grant Guidelines and Application Instructions</i> and <i>Policies and Procedures</i>. It does not respond to general requests for funds or review non-compliant proposal submissions. ✓ For institutions of higher education, all Concept Papers must be submitted to the Applicant Institution's Office of Sponsored Programs or Office of Grants Research for institutional review and approval, prior to being submitted to the CHRB. ✓ For organizations other than institutions of higher education, all Concept Papers must be submitted to the Applicant Organization's Office of Sponsored Programs or Office of Grants Research for internal review and approval, prior to being submitted to the CHRB.
<p>Step Two: Full Proposal Submission Thursday, April 29, 2021</p>	<ul style="list-style-type: none"> ✓ Applicants, whose Concept Papers appear to meet CHRB purposes and goals and which are judged to merit further consideration, are asked to submit Full Proposals. ✓ Only applicants whom the Board has invited to develop a Full Proposal may submit a Full Proposal to the Board. An invitation to submit a Full Proposal or make a presentation [Step Three] does not guarantee grant funding.
<p>Step Three: Full Proposal Presentation to the CHRB Thursday, June 10, 2021</p>	<ul style="list-style-type: none"> ✓ The Board invites finalists, from among individuals who submitted a Full Proposal, and whose proposals are judged to be most competitive and merit further consideration, to make a presentation to the Board. ✓ Presentations, including questions from the Board members and responses, are restricted to 15 minutes. The presentation should elaborate on the information contained in the Full Proposal, specifically focusing on the scientific merit of the proposal, the manner in which it will be accomplished, and how it will improve the health of citizens of the Commonwealth of Virginia. The Principal Investigator should briefly discuss any success of past research relevant to the pending proposal and respond to questions from the Board members. ✓ The Principal Investigator submitting the proposal must make the oral presentation to the CHRB and address questions on the date set forth by the CHRB. No alternate dates or presenter substitutions are permitted. Co-Investigators are not allowed to make the presentation in place of the Principal Investigator. However, Co-Investigators and Collaborators may accompany the Principal Investigator to the presentation and respond to questions during the question-and-answer period of the presentation. ✓ The CHRB does not provide questions in advance of a Principal Investigator's oral presentation of their Full Proposal to the Board. The value of the face-to-face presentations with the Principal Investigator is to measure the scientific merit of the Full Proposal and the competence and readiness of the Principal Investigator to successfully carry out the research project. ✓ The CHRB makes final determinations concerning which of the presenters will receive a CHRB award after the application and review processes are completed.

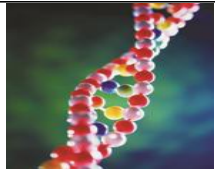


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Scientific Review Criteria Considered in Reviewing Grant Applications

Concept Papers and Full Proposals are reviewed in accordance with the following review criteria:
(The five Review Criteria taken together are intended to reflect the impact of the proposed project on the field.)

Significance	<ul style="list-style-type: none"> ✓ Does the research address an important problem? ✓ If the aims of the application are achieved, how will scientific or other knowledge be advanced? ✓ If the aims of the research are achieved, what will be the impact of this research on the concepts, methods, or practices in the related field?
Approach: [Additional weight is given to the Approach category]	<ul style="list-style-type: none"> ✓ Are the conceptual framework, design, methods and analyses adequately developed, well integrated, and appropriate to the aims of the project? [The Board supports both new research efforts and the expansion or continuation of existing research efforts.]
Innovation:	<ul style="list-style-type: none"> ✓ Does the project employ novel concepts, approaches or methods? ✓ Are the aims original and innovative? ✓ Does the project challenge existing paradigms or develop new methodologies or technologies?
Experience and Qualifications of Research Team	<ul style="list-style-type: none"> ✓ Does the Principal Investigator have the proper training, experience and appropriate percentage of time designated to direct and manage the project? ✓ Has the Principal Investigator conducted research related to this project? ✓ What will each project participant contribute to the project? ✓ Is the research team qualified through training and experience to conduct this research? ✓ Has the Principal Investigator published any successfully-completed or ongoing research which relates to this proposal?
Unique Virginia Considerations, Collaborations and Leverage:	<ul style="list-style-type: none"> ✓ What is the potential of maximizing human health benefits for Virginia Citizens? ✓ Are there unique Virginia research resources or facilities to be utilized? ✓ Will the initiative employ useful collaborative arrangements among two or more institutions of higher education or other research organizations? ✓ How will funding provided by the CHRFB be used to leverage additional support from other federal or private organizations? [The Board gives priority to those research efforts for which CHRFB support can be leveraged to foster contributions from federal agencies or other entities.] ✓ Will there be opportunities for undergraduate students at small colleges to participate in the research?



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Key Dates for 2021/2022 CHRB Grant Application Review Process

Date	Day	Agenda
October 1, 2020	Thursday	CHRB 2021/2022 <i>Grant Guidelines and Application Instructions</i> and CHRB <i>Policies and Procedures</i> are posted on the CHRB website.
December 10, 2020	Thursday	Deadline for receipt of 2021/2022 CHRB Concept Papers submitted via the CHRB's Automated Grant Application System by 4:00 p.m.
March 4, 2021	Thursday	CHRB meets to: <ul style="list-style-type: none"> • Review recommendations for those Concept Papers submitted, as part of the 2021/2022 grant application review process, to be developed into Full Proposals.
April 29, 2021	Thursday	Deadline for receipt of 2021/2022 CHRB Full Proposals submitted via the CHRB's Automated Grant Application System by 4:00 p.m.
May 27, 2021	Thursday	CHRB meets to: <ul style="list-style-type: none"> • Review recommendations for those Full Proposals submitted, as part of the 2021/2022 grant application review process that will be presented in person to the CHRB.
June 10, 2021	Thursday	CHRB meets to: <ul style="list-style-type: none"> • Hear presentations from grant finalists for the 2021/2022 grant application review process; and, • Make decisions about which proposals it will fund for 2021/2022.



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Application Instructions: Submitting the Concept Paper, Full Proposal, and Required Attachments

The CHRБ and its staff will review Concept Papers and Full Proposals. The CHRБ may also employ advisory committees, scientific consultants, and other experts to assist in reviewing the grant applications.

No scientific guidance is provided to applicants by the CHRБ or its staff. Applicants should seek assistance in preparing and submitting the Concept Paper and the Full Proposal from the Director of the Office of Research or Office of Sponsored Programs, department officials, or senior investigators. Principal Investigators are responsible, however, for mistakes, omissions, or non-compliance by staff of the Office of Research or Office of Sponsored Programs.

Requirements	Concept Paper Submission	Full Proposal Submission
Due Dates	Thursday, December 10, 2020 by 4:00 pm The CHRБ does not accept and review applications received by the CHRБ Administrator after the application deadline. It is the applicant's responsibility to ensure that the CHRБ receives the Concept Papers on time.	Thursday, April 29, 2021 by 4:00 pm The CHRБ does not accept and review applications received by the CHRБ Administrator after the application deadline. It is the applicant's responsibility to ensure that the CHRБ receives the Full Proposals on time.
How many applications can be submitted?	The CHRБ accepts no more than 12 Concept Papers from a single agency, non-profit organization, or institution of higher education per funding cycle. It is the responsibility of the Applicant Institution or Organization to decide which of the 12 or fewer Concept Papers are submitted. A Principal Investigator applying for funding may submit no more than one Concept Paper per funding cycle.	Applicants, whose Concept Papers appear to meet CHRБ purposes and goals and which are judged to merit further consideration, are asked to submit Full Proposals. Only applicants whom the Board has invited to develop a Full Proposal may submit a Full Proposal to the Board.
Mode of Submission	Via the CHRБ's Automated Grant Application System	Via the CHRБ's Automated Grant Application System
How to Submit	An individual login/application code and a secure password are required to electronically submit a Concept Paper submission. The Applicant Institution or Organization's Authorized Representative will: [1] Contact the CHRБ Administrator to request up to 12 individual login/application codes for Concept Paper submissions. These codes will be provided via email. [2] Request a password which will be provided verbally.	Individual institution/organization login/application codes and secure passwords, previously provided at the Concept Paper stage, will remain the same for each Full Proposal submission, if a Full Proposal is requested and will serve as the grant award number if an award is made.
Confirmation of Submission	Once the Concept Paper has been submitted via the CHRБ's Automated Grant Application System, the applicant will receive a message confirming receipt of the submission and a listing of all documents uploaded successfully.	Once the Full Proposal has been submitted via the CHRБ's Automated Grant Application System, the applicant will receive a message confirming receipt of the submission and a listing of all documents uploaded successfully.

Additional Compliance Requirements:

<p>Meeting federal, state, and local regulations: Grantee Institutions or Organizations are responsible for meeting federal, state, and local health and safety standards and for establishing and implementing necessary measures to minimize their employees' risk of injury or illness in activities related to CHRБ grants. Grantee Institutions or Organizations must meet all applicable federal, state, and local regulations, requirements, and standards related to the involvement of human subjects and vertebrate animals. Grantee Institutions or Organizations are responsible for compliance with laws and regulations as required by the Virginia Board of Pharmacy.</p>	<p>Compliance with the National Institutes of Health (NIH): Applicants are responsible for complying with all terms, conditions, and definitions as established by the CHRБ. Applicants should note that compliance with policies and/or definitions utilized by the National Institutes of Health (NIH) or other Federal or non-Federal funding entities may not constitute compliance with CHRБ's policies, procedures, guidelines, or definitions if they are different. For example, applicants must understand that CHRБ's definition of "non-substantive changes" is not identical to NIH's definition of "allowable changes." Applicants are responsible for knowing and complying with the CHRБ's definitions. CHRБ does not use the NIH definition of "other significant contributors"; CHRБ requires greater than 0% effort for all contributors.</p>
<p>Legal Document establishing identity: Before submission, any entity requesting to have Concept Papers submitted on its behalf must provide the CHRБ with a copy of the legal document establishing that entity as a separate or distinct legal entity. The CHRБ shall make the decision regarding whether an entity may have Concept Papers submitted on its behalf.</p>	<p>Clarification on the number of submissions from the Applicant Institution or Organization: The limitation on the number of Concept Papers submitted by an Applicant Institution or Organization is determined by that entity's legal status e.g. if an entity is merely a center of an institution of higher education, no Principal Investigator [PI] may submit any Concept Paper on behalf of that center. For example, if a Principal Investigator is a participant in an institution's or organization's Cancer Center, the PI must submit a Concept Paper on behalf of his or her institution of higher education or organization, not on behalf of the Cancer Center.</p>



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Requirements	Concept Paper	Full Proposal
<p>Cover Page An electronic PDF copy of each original Concept Paper [cover page and scientific project summary], containing handwritten original signatures in blue ink, must be submitted via the CHRB's Automated Grant Application System as instructed on page 7, and shall have the same force and effect for all purposes as the original Concept Paper submission documents whether the originals of them are in existence or not. [Automated word signatures are not accepted in lieu of original signatures.]</p> <p>The executive summary cover sheet format is available at www.chrb.org for completion. The form must be signed by the institution's authorized research official, or the organization's authorized representative, and the Principal Investigator of the proposed research project. The Principal Investigator must indicate his or her degree, e.g. M.D., Ph.D. on the cover sheet. <u>The Scientific Project Summary must be written in a manner, which is comprehensible to a lay audience and must be no more than 150 words in length.</u></p>	✓	✓
<p>Page Length and Font Use Times New Roman 12 point font style, letter-sized paper (8 1/2 x 11 inches), and one-inch margins.</p> <p>Charts, tables, or figures supporting, explaining, or illustrating the narrative count as part of the five pages of the Concept Paper or as part of the 12 pages of the Full Proposal; but can be typed in a smaller font and single-spaced.</p> <p>Relevant bibliography references are to be included in the Narrative and may be single-spaced.</p>	<p>Concept Papers, excluding the cover page and Attachments 1 through 6 described below, must be no longer than <u>five typewritten</u>, double-spaced pages.</p>	<p>Full Proposal, excluding the cover page and Attachments 1 through 10 described below, must be no longer than <u>twelve typewritten</u>, double-spaced pages.</p>
<p>Document Titles for Cover Page and Scientific Project Summary, Research Plan and Attachments Please reference the chart below regarding the Submission format for the Cover Page and Scientific Project Summary, Concept Paper Research Plan, and Attachments. All attachments and additional materials must be submitted with the Concept Paper by the due date.</p> <p>However, the CHRB Administrator may request additional information, concerning the Cover Page and/or Attachments, or information contained within the research plan that relates to the Cover Page or in the Attachments, for clarification.</p>	✓	✓



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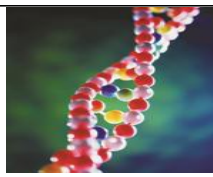
Document Titles for Cover Page, Narrative, and Required Attachments

Attachment	Description	Concept Paper Document Title and File Extension [example]	Full Proposal Document Title and File Extension [example]
	Cover Page and Scientific Project Summary and Research Plan	PDF format 300-01-21 Smith StateU CP A0.pdf 0 = zero	PDF format 300-01-21 Smith StateU FP A0.pdf 0 = zero
1	Budget Forms [CHRB and Matching Funds forms]	Excel format 300-01-21 Smith StateU CP A1.xlsx	Excel format 300-01-21 Smith StateU FP A1.xlsx
2	Budget Rationale	Word or PDF format 300-01-21 Smith StateU CP A2.pdf 300-01-21 SmithU CP A2.docx	Word or PDF format 300-01-21 Smith StateU FP A2.pdf 300-01-21 SmithU FP A2.docx
3	Current and Pending Grant Funding	Excel format 300-01-21 Smith StateU CP A3.xlsx	Excel format 300-01-21 Smith StateU FP A3.xlsx
4	CV's for project team members	Word or PDF format 300-01-21 Smith StateU CPA4.pdf 300-01-21 SmithU CP A4.docx	Word or PDF format 300-01-21 Smith StateU FP A4.pdf 300-01-21 SmithU FP A4.docx
5	Tax Exempt Status [if applicable]	PDF format 300-01-21 Smith StateU CP A5.pdf	PDF format 300-01-21 Smith StateU FP A5.pdf
6	Checklists	Word or PDF format 300-01-21 Smith StateU CP A6.pdf 300-01-21 CP A6.docx	Word or PDF format 300-01-21 Smith StateU FP A6.pdf 300-01-21 SmithU FP A6.docx
7	Required Letters	NA	PDF format 300-01-21 Smith StateU FP A7.pdf
8	Evidence of assurance of IRB or IACUC approval or of pending approval	NA	PDF format 300-01-21 Smith StateU FP A8.pdf
9	Subcontract, Memorandum of Understanding or Affiliation Agreement or Letter of Intent	NA Although the applicant is not required to submit copies of such documents with the Concept Paper, please note that the Concept Paper must state that a subcontract, memorandum of understanding, or affiliation agreement will be in place with the Co-Investigator's institution or organization before the CHRB makes the first payment if a grant award is made.	PDF format 300-01-21 Smith StateU FP A9.pdf
10	Federally Negotiated Rate Agreement which documents current rate [if applicable]	PDF Format 300-01-21 Smith StateU CP A10.pdf	PDF Format 300-01-21 Smith StateU FP10.pdf



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Requirements	Concept Paper	Full Proposal
<p>RESEARCH PLAN The Research Plan should include, in as much detail as possible, the information described in the appropriate column to the right.</p>	<p>The Concept Paper is developed so that it, and the required attachments, fully explains the proposed research project.</p>	<p>The Full Proposal is developed so that it, and the required attachments, fully explains the proposed research project.</p> <p>Do not reference the previously-submitted Concept Paper to explain aspects of the project. The applicant is reminded that unless the Concept Paper was approved for consideration for a two-year award, the Full Proposal may request support for a one-year project only.</p>
<p>RESEARCH PLAN: Show how the proposal addresses the CHRB's purposes, goals, and grant criteria by addressing the following while using the following headings:</p> <p>1. Significance: The research problem, its significance, need, or opportunity. The anticipated impact on the research field, if successful.</p> <p>All proposed projects, including behavioral or nonbiomedical projects, must have a health-related research component.</p> <p>Any proposed projects that request funding to develop an engineering device and/or a manufacturing process must address and include in their proposal the standard components of a biomedical research proposal such as a hypothesis, control groups, statistical tests and experimental replication.</p>	✓	✓
<p>2. Approach: Additional weight is given to the Approach category. In brief, the project objectives, methodology and procedures to be followed. Explain why two years are necessary to complete the project, if a two-year proposal is submitted.</p> <p>A timetable of events is helpful. Include the approximate number of animals, human subjects, or tissue samples to be utilized. Justify sample sizes for significance.</p> <p>Any preliminary or pilot data help to establish the feasibility of the project and capability of the PI and team to collect and to do proper analyses on the data necessary to answer the research questions at hand.</p> <p>Explain how the project will be monitored and evaluated by the Principal Investigator and the Grantee Institution or Organization or other members of the research team if a Grant Award is made.</p>	✓	<p>A description of the specific project objectives; how it addresses the problem or need, the proposed protocol/methodology; and the anticipated outcomes, findings or results. If the Principal Investigator is requesting a two-year award, please describe outcomes, findings, or results that are anticipated at the end of each year, and why two years are necessary to complete the project.</p>
<p>3. Innovation: What novel concept, approaches or methods are involved. Does the project challenge existing paradigms or develop new methodologies or technologies?</p>	✓	✓
<p>4. Experience and Qualifications of Research Team: In order to judge the scientific expertise of the participants, please provide a brief summary of qualifications, experience, training, roles and contributions of PI and research team members.</p> <p>Describe any successful research the PI and other research team members completed which relates to this proposed project. [May be expounded upon in budget description in Attachment 2 and CV's in Attachment 4.]</p>	✓	✓
<p>5. Unique Virginia Considerations, Collaborations and Leverage: Describe the potential for maximizing human health benefits for Virginia citizens. Describe any collaborative research efforts. A description of the available research resources at the Applicant and/or Collaborating Institutions or Organizations. Plans for sustaining the project after CHRB funding ends.</p>	✓	✓
<p>6. Bibliography references Relevant bibliography references are to be included in the five-page limit. If bibliographic references are included in the Narrative, these references may be single-spaced and count as part of the five pages of the Concept Paper.</p>	✓	✓



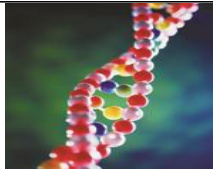
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<p>7. Disclosure of Conflict of Interest</p> <p>The Principal Investigator (PI) and other professional participants must disclose to the CHRB any conflict, or potential conflict, of interest issues that relate to the CHRB grant application to be considered for CHRB grant funding. These individuals must ensure any conflict or potential conflict of interest issues related to the CHRB grant submission have been reported to, and resolved by, the applicable review committee at the Applicant Institution or Organization. The PI must advise the CHRB in writing of the manner in which the conflict, or potential conflict, of interest was resolved.</p> <p>The Applicant must disclose professional, personal or financial relations with entities (Pharma companies, industrial corporations, academic institutions, etc.) that are related to the current application if, while not included in the grant, they could nonetheless directly influence the direction of the study, could benefit from the funds, or be later publicly associated with studies funded by the CHRB.</p> <p>If there are no conflicts, or potential conflicts of interest issues related to the CHRB Grant Application, then a statement to that effect should be provided in the Research Narrative.</p> <p>Examples: [1] The PI proposes to study tobacco related lung cancer and is currently funded by the tobacco industry [2] The PI proposes to study a potential new oncological drug (not yet FDA approved) and currently also is paid by the pharma company that developed the drug to promote the drug in commercial venues [3] A post-doc who has just left the PI's lab moved to the department of one of the Board's members and is still collaborating with the PI.</p>	✓	✓
<p>8. Justification for continuation/expansion of another project:</p> <p>If the proposed project is a continuation or an expansion of another project, including one that has an existing IACUC or IRB approval, including one that the CHRB funded in a prior year, the Applicant Institution or Organization/PI must provide detail regarding the entire project to include:</p> <ul style="list-style-type: none"> ✓ A clear explanation of how the proposed CHRB initiative differs from the previously-funded project. The CHRB does not provide support for continuation projects that have not been scientifically successful nor for components of projects that have been disapproved by the CHRB or other funding agencies. ✓ Likewise, the PI must provide an explanation of how the proposed CHRB initiative differs from other research efforts currently planned or submitted for funding consideration. This explanation must enable the CHRB to see how overlap and duplication will be avoided for any ongoing or planned research projects. ✓ If the proposal is part of a larger project, there must be identifiable results from the CHRB-funded research and that research must be completed by the end of the CHRB Grant Period, regardless of whether the larger project has been completed. ✓ Why CHRB funding is needed in light of the applicant's research background and current, pending, and/or previous research support. ✓ Identify the funding requested from the CHRB and amounts funded from other sources. The budget should represent only the costs and sources of funds associated with the proposed project. CHRB funds may not be requested as merely a supplement to the larger project if no substantive addition to the research project is identified. 	✓	✓



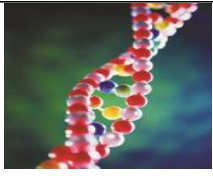
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Requirements	Concept Paper	Full Proposal
<p>Attachment 1 Budget Forms [CHRB and Matching Funds form and Matching Funds Source form] Excel format</p> <p>Attachment 1 must be submitted in Excel format. Please note that there are six worksheets within the one Excel workbook. This Excel workbook will be the same workbook from which you will submit your expenses as part of your 9-month, 12-month, 18-month and 24-month [final] fiscal reports if you are awarded a CHRB Grant.</p> <p>CHRB and Matching Funds - Personnel Columns 1 and 2: <u>List all CHRB project participants</u>, including the Principal Investigator, Co-Investigators, Collaborators, Consultants, Advisors/Mentors, Research Assistants [including Lab Specialists and technical support personnel], Research Associates, Postdoctoral Participants, Undergraduate Students, Graduate Students enrolled in a Master or Doctoral Program, and Subcontractors, by name and position e.g. John Smith, Ph.D., Principal Investigator [PI].</p> <p>There can be only one Principal Investigator on a project. There may be several Co- Investigators, Collaborators, and Consultants on a project. However, the Principal Investigator has total responsibility for the project.</p> <p>An undergraduate student(s) can be listed as TBD on Attachment 1: Budget Forms and Attachment 2: Budget Rationale for the Concept Paper submission; however, they must be named and expenses provided in fiscal reports if a grant award is made. The funding source must be identified for the undergraduate student(s) e.g. CHRB funds, institutional matching funds, or other funding sources.</p> <p>A Graduate Student enrolled in a Masters or Doctoral Program can participate in the CHRB-funded project at no greater than 20% effort during the academic year and summer (since this individual is likely dedicating significant effort to dissertation research.)</p> <p>A Research Associate is an individual who usually conducts research under the supervision of a Principal Investigator and often has a graduate degree such as a master's or doctoral degree.</p> <p>A Postdoctoral Participant can participate in the CHRB grant project at up to 100% effort, must receive a salary and benefits and can be cited in research publications regarding the CHRB grant project. The Postdoctoral Participant must have obtained his/her Ph.D. prior to the July 1st start date of the funding year in order to participate in the CHRB- funded project as a Postdoctoral Participant.</p> <p>Please keep in mind: A Research Assistant is an individual who assists in academic research, is not independent and not directly responsible for the outcome of the research, and is responsible to the PI.</p> <p>Column 3: List the institution or organization for each project participant.</p> <p>Column 4: <u>For both Academic Year and Summer months, list the percentage effort for each project participant in Column 1</u> regardless of whether they are to receive salary support from the CHRB grant or from matching funds or other sources. The CHRB needs information as to the extent of each individual's participation in the research project for each year of the Grant Period. The PI must propose devoting sufficient effort to the project to ensure that the project can be carried out as described in the application. The CHRB will not consider PI effort of less than 10% each year for both Academic and Summer periods to be sufficient to carry out the project. A participant must indicate greater than 0% effort even if no funds are requested.</p>	✓	✓



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Requirements	Concept Paper	Full Proposal
<p>Attachment 1 Budget Forms [CHRB and Matching Funds form and Matching Funds Source form] Excel format [continued]</p> <p>Column 5: A Master or Doctoral Graduate student may not be involved in the project at greater than 20% effort, and it is necessary to confirm that the project is not used in the student's thesis or dissertation research. A statement confirming that the proposed CHRB project will not be used in the student's thesis or dissertation research must be provided in Attachment 2: Budget Rationale.</p> <p>Please note <i>Allowable/Unallowable Costs and Restrictions</i> on pages 23 and 24 of this document and Undergraduate, Graduate Students enrolled in a Master or Doctoral Program and Postdoctoral Participants on page 22 of this document.</p> <p>Column 6: Enter annual salary.</p> <p>Column 7: Enter applicable benefits. [Please use Attachment 2: Budget Rationale for any clarification concerning benefits.]</p> <p>Column 8: Enter Total salary plus fringe benefits.</p> <p>Column 9: Enter CHRB Funds requested.</p> <p>Column 10: Enter Matching Funds, if applicable.</p> <p>Column 11: Enter Total CHRB Funds plus Matching Funds.</p>	✓	✓
<p><u>Nonpersonnel/Other Project Costs</u></p> <p>Nonpersonnel or Other Project costs may include the following: equipment, animal purchase/ maintenance, supplies and services.</p> <p>Travel for Co-Investigators, Collaborators and Consultants to participate with the PI at the Grantee Institution is an allowable cost if required for the project and justified to the satisfaction of the CHRB.</p> <p>Patient travel is an allowable cost.</p> <p>Travel to professional conferences including the presentation of results from proposed CHRB research is NOT an allowable cost with CHRB or institutional matching funds for this grant award.</p>	✓	✓



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Frequently Asked Questions:

<p>I am currently preparing my CHRB Full Proposal and would like to budget funds for publication of the results of my work in a peer-reviewed scientific journal. Is this an allowable cost?</p> <p>Yes, publication costs are a legitimate cost of doing research and the CHRB allows these costs if the publication occurs during the Grant Period. The PI and Applicant Institution or Organization should indicate how many manuscripts are expected to be accepted for publication and the charges for each, prior to the end of the Grant Period. The PI and Applicant Institution or Organization should not expect to save CHRB funds for publication costs after the end of the Grant Period. The Grantee Institution or Organization must agree to pay those costs after the Grant Period has ended.</p>	<p>May I include equipment in my budget? [It will cost \$40,000 and I can justify why it is required for my study.]</p> <p>The CHRB Grant Guidelines and Application Instructions provide that use of equipment directly related to the approved research is an allowable cost depending on whether the equipment is specifically needed for the proposed project and will not be for general use. Justification for the equipment must be provided and may not comprise a major portion of the total funds requested. The CHRB does not fund equipment grants.</p>
<p>Can I revise my CHRB funding request?</p> <p>Yes, the amount of CHRB funds requested in the Concept Paper and related to the amounts allocated among the proposed expense categories can be revised in a Full Proposal if no programmatic changes will result and additional funds for increased effort by the PI are not requested. The applicant must identify and explain such revisions in the Full Proposal. [Please see Substantive and Nonsubstantive Changes on page 20 of this document.] However, the requested funds cannot exceed the \$100,000-per year limit, the Applicant Institution or Organization is responsible for providing the 33% match to the requested CHRB funds for each year for which funds were requested, and a Concept Paper that requests a one-year grant cannot be changed into a Full Proposal that requests a two-year grant. The maximum amount of a one-year award is \$100,000. The maximum amount for a two-year award is \$200,000.</p>	<p>CHRB awards often appear to be awarded to junior faculty. As a senior faculty member, is it possible for me to obtain a CHRB grant award?</p> <p>The CHRB does not exclude applications from senior investigators; however, it does consider the justification for requesting CHRB funding if an applicant has, or has had, considerable federal, or other, support. The CHRB does not fund applications making requests to supplement ongoing, funded research. If a senior investigator appears to need funding in order to obtain preliminary data which may be used to obtain funding from other sources and has submitted a scientifically meritorious proposal, he or she can compete very well with other applicants who have submitted strong scientific proposals with a demonstrated need for CHRB support.</p>
<p>May a former PI who has completed a CHRB grant serve as a PI on a new grant proposal?</p> <p>Yes, a former PI may apply for CHRB grant funding again. The CHRB requires, however, that the prior CHRB research project be completed and the grant award be closed out before a new proposal is submitted.</p>	



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Requirements	Concept Paper	Full Proposal
<p>Attachment 1 Budget Forms: Matching Fund Source form.</p> <p>Column 1: The Applicant Institution or Organization is responsible for providing the 33% institutional or organizational matching funds for <u>each year</u> that CHRB funds are being requested. (There is only one Applicant Institution or Organization).</p> <p>List the Matching Fund Source.</p> <ul style="list-style-type: none"> ✓ Departmental funds ✓ All indirect costs or facilities and administrative (F&A) costs based upon an approved federally negotiated rate (FNR) agreement ✓ A combination of cash and FNR agreement ✓ Flat rate of 20% of the requested CHRB amount allowed for indirect or F&A costs if no FNR agreement is in place <p>The CHRB does not award funds to cover institutional indirect costs or other costs that cover general support of educational or other organizations, including ongoing general operating expenses or existing deficits of a program.</p> <p>Column 2: Provide a description of the Matching Fund Source. Budget forms and budget rationale must identify the internal source from which the Applicant Institution or Organization will satisfy the CHRB matching funds requirement (33% of the amount of CHRB funds requested.)</p> <p>Column 3: An institution or an organization can use indirect costs as part of, or all of, their matching funds. The Applicant Institution or Organization must provide the most recent federally negotiated rate agreement which documents this amount [Attachment 10].</p> <p>Column 4: If the institution or organization does not have a federally negotiated rate agreement, the CHRB allows a flat rate of 20% of the requested CHRB amount for indirect costs. For example, an Applicant Institution requests \$100,000 in CHRB funding. The required minimum match totals \$33,000. The CHRB allows a flat rate of 20% of the requested amount to be used as part of the match. The 20% allowable amount for F&A costs is \$20,000. The remaining 13% may come from any other source which is an acceptable source for matching funds.</p> <p>Column 5: Provide the dollar amount of Matching Funds. Matching funds may not include teaching services or paid contributions which an Applicant Institution or Organization is obligated to provide to another entity as a requirement of an existing Subcontract, Memorandum of Understanding, or affiliation agreement.</p> <p>Matching funds —facilities and administrative (F&A) costs or departmental funds —may not be used to support unallowable costs. (See <i>Allowable/Unallowable Costs and Restrictions</i> on pages 23 and 24 of these CHRB <i>Grant Guidelines and Application Instructions</i> and pages 24, 25 and 26 of the CHRB's <i>Policies and Procedures</i>, effective October 1, 2020.)</p>	✓	✓



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Frequently Asked Questions:

<p>When calculating the 33% matching funds, do you calculate 33% of the CHRBR requested funds or 33% of the total project funds?</p> <p>Calculate 33% of the CHRBR requested funds.</p>	<p>How do I report institutional support during the academic year and CHRBR support during the Summer?</p> <p>This information should be reflected on Attachment 1, Budget Forms which provide separate lines for % effort during the Academic Year and % effort during the Summer for each project participant.</p>
<p>Is salary from my university, for research performed during the school term, an allowable match?</p> <p>If 100% of your salary is paid from institution funds and the institution agrees that you may spend a certain amount of effort on the research project, then you may identify that % of effort as part of the required salary match. The exception, however, is that if any part of your salary constitutes payment for services which must be provided to an entity other than your employer due to the requirements of an existing Subcontract, Memorandum of Understanding, or affiliation agreement, between your employer and that other entity, you may not use the portion of your salary which constitutes payment for those services as any part of the required match for CHRBR funding.</p>	

Other Compliance Requirements:

<p>The Applicant Institution or Organization must provide a minimum cash match from internal funds each year in the amount of 33% of the amount of CHRBR funds requested.</p> <p>If the Applicant Institution or Organization does not have a federally negotiated rate agreement, the CHRBR allows a flat rate of 20% of the requested CHRBR amount for indirect costs. For example, an Applicant Institution requests \$100,000 in CHRBR funding. The required minimum match totals \$33,000. The CHRBR allows a flat rate of 20% of the requested amount to be used as part of the match. In this example, the 20% allowable amount for facilities and administrative (F&A) costs is \$20,000 because the institution does not have a federally negotiated rate agreement.</p>	<p>Collaboration with other eligible institutions of higher education and other eligible organizations is encouraged. Co-Investigators must meet the same eligibility requirements as the Grantee Institution or Organization.</p> <p>Only one Grantee Institution or Organization is recognized by the CHRBR as the award recipient. As such, all matching funds must be contributed by the Grantee Institution or Organization – not by the Collaborating Institution. Grant payments are made only to the Grantee Institution or Organization identified as the award recipient. All award recipients must meet the eligibility requirements on page 3 of these CHRBR Grant Guidelines and Application Instructions.</p>
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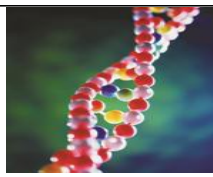
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Requirements	Concept Paper	Full Proposal
<p>Attachment 2 Budget Rationale: Attachment 2 must be submitted in Word or PDF format.</p> <p>In narrative format, provide a rationale for each requested item of support. This description should include contributions and percentage of effort of all research team members and anticipated budget information regarding any proposed subcontracts, memorandum of understanding, or affiliation agreements. <u>What are the responsibilities of each project team member?</u></p> <p>A Master or Doctoral Graduate student may not be involved in the project at greater than 20% effort, and it is necessary to confirm that the project is not used in the student's thesis or dissertation research. A statement confirming that the proposed project will not be used in the student's thesis or dissertation research must be provided in Attachment 2: Budget Rationale.</p> <p>The budget rationale should also be used to explain any special circumstances related to the project participants or activities such as salary increases, calculation of fringe benefits, what fringe benefits are included as it relates to IRS student exemption.</p> <p>For significant equipment costs over \$10,000 per year, please identify the provider(s) and attach pertinent price lists, letters of intent or memoranda of understanding.</p> <p>Excluding shared centralized indirect costs, please provide a summary of how the matching funds will be spent e.g. salaries, supplies, number of animals, animal costs, number of human subjects, etc.</p>	✓	✓
<p>Attachment 3 Current and Pending Grant Funding: Attachment 3 must be submitted in Excel format.</p> <p>Column 1: List all CHRB professional project participants, including the Principal Investigator, Co-Investigators, Collaborators, Consultants, Research Associates, Advisors/Mentors, Postdoctoral Participants, <u>and Subcontractors</u>, by name and position, e.g. Dr. John Smith, Principal Investigator.</p> <p>All current and pending grant applications of professional Project Participants must be reflected on Attachment 3 even if they have no current or pending grant funding. Grant/Contract funding, dollars and time commitments on research contracts could be important information.</p> <p>Column 2: For Current Funding, list amounts for other grant awards. If none, list "No Current Support". For Pending Funding, list any grant application that has been submitted to a potential sponsor. If none, reflect "No Pending Support".</p> <p>Please note: It is the responsibility of the Principal Investigator and the Applicant Institution or Organization to notify the CHRB of any changes in the status of a pending grant especially if an award has been made and it conflicts with the CHRB research proposal.</p> <p>Column 3: List Title of Grant Award.</p> <p>Column 4: List Source of Grant Award.</p> <p>Column 5: List the beginning and ending date of the grant award including month and year.</p> <p>Column 6: Provide the percentage of effort to be devoted to the project.</p> <p>Column 7: Please indicate if there is any overlap, whether fiscal or programmatic, with the proposed CHRB project.</p>	✓	✓



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Requirements	Concept Paper	Full Proposal
<p>Attachment 4 CV's for all professional project team members Attachment 4 must be submitted in Word or PDF format.</p> <p>Include a <i>curriculum vitae</i> of two single spaced pages or less for each of the following: Principal Investigator, Co- Investigators, Collaborators and Consultants, Advisors/Mentors, as well as for other named individuals such as Postdoctoral Participants, and, Research Associates. If it is difficult to limit the <i>curriculum vitae</i> to two pages, cite only the five most recent or relevant publications.</p> <p>All doctoral level positions participating in the CHRB funded project must provide a CV even if they are working as a Research Associate or a Lab Manager.</p> <p>A discussion of the role(s) in the project should be included as a supplement to Attachment 2.</p> <p>If a project team member has had previous research grants or contract awards, which were successful and relate to the topic of the proposal, this information should be included in that individual's C.V. — not in Attachment 3.</p>	✓	✓
<p>Attachment 5 Tax Exempt Status Attachment 5 must be submitted in PDF format.</p> <p>For nonprofit organizations other than institutions of higher education, evidence of the applicant's tax-exempt 501(c)(3) status.</p>	✓	✓
<p>Attachment 6 Checklist Attachment 6 must be submitted in Word or PDF format.</p> <p>Include the appropriate Checklist with the Concept Paper submission. Your check mark indicates that you have reviewed your Concept Paper to ensure that all items on the checklist have been included with your Submission.</p>	✓	✓
<p>Attachment 7 Required Letters: Attachment 7 must be submitted in PDF format.</p>	N/A	<p>[1] Letter signed by the institution's/ organization's authorized official indicating the institution's/organization's approval and support of the proposal, agreement to provide matching funds, and agreement to comply with the conditions for grant acceptance.</p> <p>[2] Letters of support from all named Co- Investigators, Collaborators and Consultants, Advisors/Mentors, regardless of the percentage of effort they are to devote to the project. These should be brief —not to exceed one page — but must clearly indicate the role the Co- Investigator, Collaborator, Consultant or Advisor/Mentor will play in the research project.</p>
<p>Attachment 8 Evidence of assurance of IRB or IACUC approval or of pending approval: Attachment 8 must be submitted in PDF format.</p>	N/A	<p>Documented evidence of institutional approval of the project where the involvement of human subjects or vertebrate animals is planned.</p> <p>If the required Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC) approval has not yet been obtained by the time of the Full Proposal submission, there must be a letter of assurance from the IRB or IACUC Committee that a decision will be made by June 15, of the funding year. No award will be issued by CHRB for projects involving human subjects or vertebrate animals without the required institutional approvals. If an award is made, updated IRB or IACUC approvals and updates must be submitted to the CHRB.</p>



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Requirements	Concept Paper Submission	Full Proposal Submission
<p>Attachment 9 Subcontract, Memorandum of Understanding or Affiliation Agreement or Letter of Intent: Attachment 9 must be submitted in PDF format.</p>	<p>N/A Although the applicant is not required to submit copies of such documents with the Concept Paper, please note that the Concept Paper must state that a subcontract, memorandum of understanding, or affiliation agreement will be in place with the Co-Investigator's institution or organization before the CHRIB makes the first payment if a grant award is made.</p>	<p>The Full Proposal must include a copy of each subcontract, memorandum of understanding, or affiliation agreement and of any documentation supporting the Grantee Institution's, or Organization's, determination, regarding the collaborating Co-Investigator's institution or organization's ability to meet the eligibility requirements established by the CHRIB's Guidelines and Application Instructions, as Attachment 9.</p> <p>If the collaborating Co-Investigator's institution or organization will not issue a subcontract, memorandum of understanding, or affiliation agreement until a grant award is made, a letter of intent will suffice as long as the Principal Investigator understands that the subcontract, memorandum of understanding, or affiliation agreement would have to be in place and a copy of it would need to be provided to the CHRIB before any payment is made. If said subcontract, memorandum of understanding, or affiliation agreement has not been executed before the first payment is to be made under the Grant Award, the CHRIB will cancel the grant award and no funds will be disbursed.</p>
<p>Attachment 10 Federally Negotiated Rate Agreement: Attachment 10 must be submitted in PDF format.</p> <p>A copy of the Federally Negotiated Rate Agreement which documents the current rate (if applicable)</p>	✓	✓



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Substantive and Nonsubstantive Changes between the Concept Paper and Full Proposal Submissions:

The Full Proposal is expected to be scientifically based on the Concept Paper; and to provide a more detailed description of the goals, outcomes, methods and procedures. Any substantive changes from the Concept Paper to the Full Proposal will result in a CHRB decision not to review the Full Proposal. The CHRB determines whether the explanations and/or justifications for proposed changes are satisfactory and whether a proposed change constitutes an unallowable substantive change. The CHRB provides its definitions of substantive and nonsubstantive changes below.

Substantive Changes: Unallowable substantive changes between the Concept Paper and Full Proposal submission are as follows. No Changes may be made between the Concept Paper and Full Proposal regarding the:	Nonsubstantive Changes: Allowable nonsubstantive changes between the Concept Paper and Full Proposal which may be permitted, provided an explanation and justification are provided to the satisfaction of the CHRB:
<ul style="list-style-type: none">• Objectives and scope of the proposed project.• Anticipated outcomes identified in the Concept Paper.• The Principal Investigator's identity or proposed percentage of effort.• Major equipment purchases.• Requests for two years of funding in the Full Proposal if the Concept Paper only requested one year of funding.	<ul style="list-style-type: none">• Minor changes to the procedures or methods described in the Concept Paper.• Citation of new publications in the literature concerning methodology since the submission of the Concept Paper.• Minor budgetary changes, such as the cost of animals, equipment and supplies if no programmatic changes will result and additional funds for increased effort by the PI are not requested. However, the requested funds cannot exceed the \$100,000-per— year limit and the Applicant Institution or Organization is responsible for providing the 33% match to the requested CHRB funds for each year for which funds were requested.• Percentage of effort and salary requests for specific project participants if the change is for no more than 5% [e.g. 35% to 30% effort] and is for research participants other than the Principal Investigator. The resulting salary increase may not cause the revised budget to exceed the amount approved by the CHRB.• No change in percentage of effort or salary between the Concept Paper and Full Proposal submissions is allowable for the Principal Investigator.• Substitution of comparably-qualified persons at comparable percentage of effort and duties is acceptable if justified to the satisfaction of the CHRB; however, adding additional individuals who are not substitutes would not be allowed.



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Principal Investigators, Co-Investigators, Collaborators, Advisors/Mentors and Consultants:

Clarification is provided below as to what constitutes a Principal Investigator [PI], Co-Investigator, a Collaborator, Advisor/Mentor and a Consultant. No member of the research team may be designated as a Co- principal Investigator. Any payments made in violation of the policies explained below may result in the CHRB's decision to require the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds and/or may result in the CHRB's decision to prohibit the noncompliant Grantee Institution or Organization and/or Principal Investigator from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be reasonable.

	Description	Can the Team Member Described in the Far Left Column be Paid for Services (from CHRB or matching funds)	Can the Team Member Described in the Far Left Column be Cited in Publications	Can the Team Member Described in the Far Left Column be Employed by an eligible In-State Institution/ Organization	Can the Team Member Described in the Far Left Column be Employed by an Out-of- State Institution/ Organization
Principal Investigator [PI]	<p>Individual located at and employed by the Applicant Institution or Organization having overall responsibility for the research project, including the conduct of the research and its oversight, management, and evaluation.</p> <p>The PI must devote sufficient effort to the project to ensure the project can be carried out as described in the application. The CHRB will not consider PI effort of less than 10% effort for each year as sufficient to carry out the project.</p> <p>A PI may serve as a PI in one submission and as a Co-investigator, Consultant, Collaborator or Advisor/Mentor in another CHRB project as long as the Applicant Institution or Organization agrees to permit it and the percentage of effort is reasonable given all of the other time commitments. The other time commitments must be clearly set forth in each submission.</p>	Yes	Yes	Yes	No
Co-Investigator [Co-I]/ Collaborator	<p>An individual located at and employed by the Applicant Institution assisting with the research project or an individual at a CHRB-eligible institution partnering with the Applicant Institution on the research project. Please note that the Full Proposal must include a copy of each subcontract, memorandum of understanding, or affiliation agreement for Co-Investigators and /or collaborators at CHRB-eligible institutions partnering with the Applicant Institution on the research project.</p> <p>Percent effort must be greater than 0%.</p>	Yes	Yes	Yes	No
Advisor/ Mentor	<p>Provides limited advisory services and/or serves as a mentor to the PI.</p> <p>Percent effort must be greater than 0%.</p>	No	Yes	Yes	Yes
Consultant	<p>Provides a service for a fee subject to a contract, e.g. providing and/or analyzing tissue samples, raising a special colony of mice, running tests, etc. Percent effort must be greater than 0%.</p> <p>An in-state or out-of-state consultant can be paid through a subcontract, memorandum of understanding, or affiliation agreement.</p>	Yes	Yes	Yes	Yes



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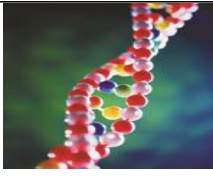
Undergraduate, Graduate Students enrolled in a Masters or Doctoral Program, and Postdoctoral Participants

Clarification is provided below as to what constitutes participation of an Undergraduate Student, Graduate Students enrolled in a Masters or Doctoral Program, and a Postdoctoral Participant in a CHRB grant funded project.

	Undergraduate Student (pre-baccalaureate)	Graduate Student enrolled in a Master or Doctoral Program	Postdoctoral Participant
Can a student participate in a CHRB grant project?	<p>Yes, [1] during an off-semester or summer time for pay at up to 100% effort, and/or, [2] as part of a research course during the academic year at no greater than 10% effort. The research participation may be permitted as part of an undergraduate student's required research activity.</p> <p>An undergraduate student(s) can be listed as TBD on Attachment 1: Budget Forms and Attachment 2: Budget Rationale for the Concept Paper and Full Proposal submission; however, they must be named and expenses provided in fiscal reports if a grant award is made. The funding source must be identified for the undergraduate student(s) e.g. CHRB funds, institutional matching funds, or other funding sources.</p>	<p>Yes, at no greater than 20% effort during the academic year and summer (since this individual is likely dedicating significant effort to dissertation research).</p> <p>CHRB policies reflect the expectation that dissertations are to be based on original research by the Masters or Doctoral student that would be significantly different from the research conducted as a research assistant under a CHRB grant.</p> <p>The CHRB project, including findings and data from it, can never be used in the student's thesis or dissertation research. CHRB does not fund training grants, and no CHRB funds can be used to support thesis or dissertation research. A Medical Student is considered to be a Graduate Student and participation in the CHRB funded project requires approval from the Dean of the Medical School.</p>	<p>Yes, at up to 100% effort. A Postdoctoral Participant can participate in the CHRB grant project at up to 100% effort, must receive a salary and benefits and can be cited in research publications regarding the CHRB grant project. CHRB or Matching funds can be used to pay salaries and benefits.</p> <p>The Postdoctoral Participant must have obtained his/her Ph.D. prior to the start date of the funding year in order to participate in the CHRB- funded project as a Postdoctoral Participant.</p> <p>For the Concept Paper submission, it is acceptable to list a TBD Postdoctoral participant; however, if the Concept Paper is selected for a Full Proposal submission, the Postdoctoral Participant must be identified and a CV provided.</p>
Are they to receive salaries and benefits?	Yes, salaries and fringe benefits must be paid as allowed by the IRS Student exception to the FICA tax. [see below]	Yes, only as a Research Associate at no greater than 20% effort during the academic year and summer (since this individual is likely dedicating significant effort to dissertation research) and as allowed by the IRS Student exception to the FICA tax [see below].	Yes
Can CHRB or Matching Funds be used to pay salaries and benefits?	Yes, CHRB or Matching Funds can be used to pay salaries and benefits.	Yes, CHRB or Matching Funds can be used to pay salaries and benefits that correlate with no greater than 20% effort during the academic year and summer.	Yes, CHRB or Matching Funds can be used to pay salaries and benefits.
Can they receive tuition assistance for their participation in the project?	No	No	NA
Can they receive a stipend for their participation in the project?	No, he or she must be paid a salary and receive benefits.	No, he or she must be paid a salary and receive benefits at no greater than 20% effort.	No, he or she must be paid a salary and receive benefits.
Can they be cited in research publications for this grant project?	Yes	Yes	Yes

Student Exception to FICA Tax: FICA (Social Security and Medicare) taxes do not apply to service performed by students employed by a school, college, or university where the student is pursuing a course of study. Whether the organization is a school, college, or university depends on the organization's primary function. [www.IRS.gov]

Any participation in violation of the policies explained above may result in the CHRB's decision to require the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds and/or may result in the CHRB's decision to prohibit the noncompliant Grantee Institution or Organization and/or Principal Investigator from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be reasonable.

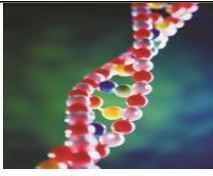


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Allowable/Unallowable Costs and Restrictions

Allowable/unallowable costs and restrictions for CHRB funding, as well as matching funds, are reflected in the chart below. Any expenses or costs paid in violation of the policies explained below may result in the CHRB's decision to require the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds and/or may result in the CHRB's decision to prohibit the noncompliant Grantee Institution or Organization and/or Principal Investigator from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be reasonable.

Costs	CHRB Funding	Institution Matching Funds
Indirect costs/ Facilities and Administrative (F&A) Costs	No. The CHRB does not award funds to cover institutional indirect costs or other costs that cover general support of educational or other organizations, including ongoing general operating expenses or existing deficits of a program.	Yes. An institution or an organization can use indirect costs as part of, or all of, its matching funds. The institution or organization must provide the most-recent, federally negotiated rate agreement which documents this amount. If the institution or organization does not have a federally negotiated rate agreement, the CHRB allows a flat rate of 20% of the requested CHRB amount for indirect costs. For example, if an Applicant Institution requests \$100,000 in CHRB funding, the required minimum match totals \$33,000. The CHRB allows a flat rate of 20% of the requested amount to be used as part of the match. In this example, the 20% allowable amount for indirect costs equals \$20,000. The remaining 13% may come from any other source which is an acceptable source for matching funds.
Salary for research performed during the school term	Yes, CHRB funds may be used to pay for services of a Principal Investigator's or Co-Investigator's in proportion to the percentage of effort devoted to the project. Consultants may also be paid with CHRB funds.	Yes, that percentage of the salary corresponding to a Principal Investigator's, or Co-Investigator's, percentage of effort on the project may be used as part of the match to the extent that percentage of the salary does not constitute payment for services required to be provided to any entity other than the employer pursuant to a subcontract, memorandum of understanding, or affiliation agreement. The match must come from otherwise uncommitted funds. Course releases for adjunct professors may not be used for the match.
Student Summer Housing Costs	No, students must be paid only a salary and receive fringe benefits as set forth in the CHRB's Policies and Procedures effective October 1, 2020.	No, subsidies for student housing may not be used as part of the required match.
Tuition	No	No
Health Insurance for graduate students	Yes	Yes
Contractual or subcontractual services, materials and supplies, directly related to the approved research effort.	Yes, however, requests for funds for purchasing or fabricating equipment may not comprise a major portion of the total funds requested. <u>Office supplies should be paid for by the institution.</u>	Yes, however, requests for funds for purchasing or fabricating equipment may not comprise a major portion of the total funds requested. <u>Office supplies should be paid for by the institution.</u>
Use of equipment directly related to the approved research	Yes, depending on whether the equipment is specifically needed for the proposed project and will not be for general use. Justification for the equipment must be provided and the request for funds may not comprise a major portion of the total funds requested.	Yes, depending on whether the equipment is specifically needed for the proposed project and will not be for general use. Justification for the equipment must be provided and the request for funds may not comprise a major portion of the total funds requested.
Training	CHRB grants are not training grants. All proposed projects, including behavioral or nonbiomedical projects, must have a health-related research component.	CHRB grants are not training grants. All proposed projects, including behavioral or nonbiomedical projects, must have a health-related research component.
Thesis or Dissertation	CHRB funds cannot be used to support thesis or dissertation research. CHRB funds can be used to support no more than 20% effort during the academic year and summer by a Graduate Student enrolled in a Masters or Doctoral program participating in a CHRB funded project as a Research Associate. The CHRB project, including findings and data from it, cannot be used in the student's thesis or dissertation research.	Matching funds cannot be used to support thesis or dissertation research. CHRB funds can be used to support no more than 20% effort during the academic year and summer by a Graduate Student enrolled in a Masters or Doctoral program participating in a CHRB funded project as a Research Associate. The CHRB project, including findings and data from it, cannot be used in the student's thesis or dissertation research.



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Costs	CHRB Funding	Institution Matching Funds
Lawsuits or contributions to an endowment fund or permanent fund on which an organization earns interest	No	No
Teaching services or paid Contributions the Applicant Institution or Organization is obligated to provide to another entity as a requirement of subcontract, Memorandum of Understanding, or affiliation agreement.	N/A	No, an Applicant Institution or Organization may not use teaching services or paid contributions it is already obligated to provide to another entity as a requirement of an existing Subcontract, Memorandum of Understanding, or affiliation agreement, as any part of its required CHRB match. In order to confirm that this policy has not been violated, the Applicant Institution or Organization must provide the CHRB with a copy of any Subcontract, Memorandum of Understanding, or affiliation agreement, with the Full Proposal.
Capital improvements or renovations	No	No
Lobbying, political or fraternal activities or legal fees.	No	No
Provision of direct services (except those provided as part of the structured research program)	No	No
Travel to professional conferences including the presentation of results from proposed CHRB research	No	No
Travel for Co-Investigators, Collaborators and Consultants to participate with the PI at the Grantee Institution.	Yes, if required for the project and justified to the satisfaction of the CHRB.	Yes, if required for the project and justified to the satisfaction of the CHRB.
Patient travel	Yes	Yes
Publication Costs	Yes, if these costs occur during the Grant Period and are included in the grant budget submitted to and subsequently approved by the CHRB as part of the grant award.	Yes, if these costs occur during the Grant Period. The Grantee Institution or Organization, however, is solely responsible for publication costs incurred after the Grant Period has ended.
Software licenses	No	No
Controlled Substance License and Registration	No	No
IRB/IACUC related costs or fees	No, Costs associated with IACUC review of animal research protocols or IRB review of human research protocols are not allowable costs.	No, Costs associated with IACUC review of animal research protocols or IRB review of human research protocols are not allowable costs. However, matching funds can be used for secretarial, janitorial, etc. expenses.
Cost of reference books	No	No



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Examples of Reasons for Denial of a Full Scientific Review of a Concept Paper or Full Proposal:

Concept Papers and Full Proposals will receive an Administrative Review for Compliance with the CHRB's *Policies and Procedures* effective October 1, 2020 and the CHRB's *Grant Guidelines and Application Instructions*. Principal Investigators must examine submissions carefully to ensure that all required information requested by the Board has been provided and that the Concept Paper or Full Proposal complies with the CHRB's *Grant Guidelines and Application Instructions* and the CHRB's *Policies and Procedures* effective October 1, 2020.

Concept Paper Submission	Full Proposal Submission
Not providing the 33% match each year.	Not providing the 33% match each year.
Not including a research component in the proposal.	Not including a research component in the proposal.
Not providing the approximate number of animals, human subjects, or tissue samples to be involved or needed in the study.	Not providing the approximate number of animals, human subjects, or tissue samples to be involved or needed in the study.
Requesting support for training activities.	Requesting support for training activities.
Requesting funding to support the research of a Graduate Student's Master's or Doctoral thesis.	Requesting funding to support the research of a Graduate Student's Master's or Doctoral thesis.
Making major equipment requests or requests for fabrication of equipment that comprise a major portion of the total funds requested.	Making major equipment requests or requests for fabrication of equipment that comprise a major portion of the total funds requested.
Requesting funds for meeting or conference travel.	Requesting funds for meeting or conference travel.
	Unallowable Substantive changes between the Concept Paper and Full Proposal submissions
Failure to disclose a Conflict of Interest or a potential Conflict of Interest.	Failure to disclose a Conflict of Interest or a potential Conflict of Interest.

CHRB Contact Information

Direct all notices, correspondence and/or change of contact information to the Board as follows:



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