Instructions
Collaborative Research Grant Applications

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Available Support

amfAR, The Foundation for AIDS Research, is pleased to announce plans to establish and support a consortium consisting of several collaborations—of biomedical researchers to explore the barriers to and potential for eradicating HIV infection.

Funding will be available for Collaborations

Each collaboration is funded for a total of up to \$300,000 for direct costs plus up to 20 percent for indirect costs. The performance period for collaborations funded under this RFP will be for one year starting May 1, 2010, and may be renewable for subsequent years. Each collaboration must consist of at least two interrelated research projects and involve at least two independent, faculty-level researchers.

Deadlines

March 25, 2010, 5:00 PM, EDT – E-mailed application due to grantapps@amfar.org

All applicants are required to submit the following as e-mail attachments:

- The **collaboration information form** as a word document. Name the file as follows: PI Last name-first initial-info.doc (e.g., **smith-j-info.doc**).
- All of the application forms collated in one pdf. Name the file as follows: PI last name-first initial-forms.pdf, (e.g., smith-j-forms.pdf).
- **The research plan** and addenda as a pdf. Name the file as follows: PI Last name-first initial-plan.pdf, (e.g., **smith-j-plan.pdf**).
- If included, send a zip file of the appendix named as follows: PI Last name-first initial-appendix.zip (e.g., **smith-j-appendix.zip**).

Send one hard copy of the collaboration information form (bearing original signatures) to:

amfAR Grants 120 Wall Street, 13th Floor New York, New York 10005-3908 USA

To be considered complete, applications must be prepared and submitted on the forms provided and in compliance with these instructions. Incomplete applications will not be accepted or reviewed. No materials will be returned.

Instructions and Available Assistance:

Please refer to these instructions as you prepare your application; they provide step-by-step directions and detailed information to guide your completion and submission of all application components.

If you have any questions about the instructions or have difficulty with the forms, please contact the grants administration office by telephone at 212.806.1752 or by email to grants@amfar.org.

Application Forms General Guidance

1) Make sure you have all eight of the application forms. Links for downloads are included in the RFP, which may be accessed at <u>www.amfar.org/rfp</u>.

2) If you send an e-mail to <u>grants@amfar.org</u>, to let the Foundation know you are interested in applying, we will e-mail a complete set of the forms and instructions to you.

3) **Page Footers**: In the footer of each page (starting with page 3) be sure to include the principal investigator's last name and the page number. *To ensure that page numbers are correct, click on "insert," select "page numbers", click "format," click the button next to "start at" and enter the starting page number*

4) In all sections of the application, please do not enter information in any area that is shaded gray.

Page Numbers	Page Number Format	×
Position: Bottom of page (For	Number <u>f</u> ormat:	1, 2, 3,
	Include chapter <u>n</u> umber	
<u>A</u> lignment: Right	Chapter starts with style	Heading 1 💌
, Show number on	Use separator:	- (hyphen) 💌
	Examples: 1-1, 1-A	
Eormat	Page numbering	
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		OK Cancel

Collaboration Information Form

This form is protected for data collection. You may enter information only in areas where you are able to place your cursor. Be sure to save and submit this form as a separate word document, and to collate it first in the PDF consisting of all of the other forms.

Identification Number

Leave this section blank.

Type of Application

Use the drop down to select the topic area that corresponds to the proposal.

Appendix

If you will include application materials in an appendix (see page nine), enter an "X" in the box next to the word "appendix" by left clicking with your mouse.

Please refer to these general instructions for completing sections 1 – 5 of the collaboration information form.

- **Country** should be entered <u>only for countries other than the United States.</u>
- Applicants from the <u>United States and Canada only</u> should enter the two-letter state/province abbreviation (e.g., OH [for Ohio] or ON [for Ontario]) in the **state** field. Applicants from <u>other countries</u> are to enter province or state names that are properly part of the mailing address in the **province** field.
- The 5 or 9 (5+4) digit <u>zip code</u> should be entered for addresses in the United States in the "**zip**" field.
- Postal codes for countries outside the United States of America should be entered in the **postal code** field.
- o Only doctoral-level degrees (e.g., Ph.D., M.D.) should be entered.
- o Enter professional title held at your current institution. (e.g., Professor, Senior Scientist).
- Principal and collaborating investigator and institution officer signatures are required on the PDF submitted by email and attest to the application's accuracy and completeness, and awareness and acceptance of the policies and terms and conditions stipulated herein and in the request for proposals. A hard copy of the collaboration information form should be sent by mail to the above address.

Do not copy and paste information from these sections into other sections of the application.

1. Project Information

Title of application

Titles may not exceed 75 characters including spaces. Do not use title case or all capital letters.

Human Subjects, Animal Subjects and Hazardous Materials

For projects involving any of the above, evidence of institutional approval must be provided before a grant may be activated for payments. (See pages 8 and 9 for more information.) For each area, note the status of approval by checking the box to the right of the appropriate description; if approvals are pending, please provide supporting documentation (e.g., copy of cover memo to IRB) in the addenda; if an area does not apply, check the box to the right of "NA."

Period of Performance

The dates are pre-set. The period of performance for grants awarded under this RFP will begin May 1, 2010 with an end date of April 30, 2011. Upon award of a grant, the Foundation may, at its discretion, designate a period of performance different than that indicated in these instructions.

<u>Costs</u>

Enter the amounts of direct, indirect and total costs requested. See page 6 for information about indirect costs These amounts and the amounts shown on the summary budget form must agree. Do not cut and past cost amounts from this page into the budget page.

2. Principal Investigator

Only one principal investigator may be indicated on a grant application. The principal investigator must be affiliated with the institution identified in section 4 of this form. See the RFP for information about principal investigator qualifications and responsibilities. The signature of the principal investigator is required.

3. Collaborating Investigator(s)

Each collaboration must involve at least two interrelated research projects and at least two independent, faculty level investigators (i.e., the principal investigator and at least one collaborating investigator). Enter information about the collaborating investigator(s) in these sections. See the RFP for details about investigator qualifications and responsibilities. The signatures of the collaborating investigators are required.

4. Applicant Institution

Please enter the complete legal name and principal location (**street address, city, state** or **province, zip code or postal code,** and **country**, if non-U.S.) of the nonprofit institution or organization to which a grant would be made.

Employer Identification Number (EIN) and nonprofit status

amfAR grants are awarded only to U.S. tax-exempt charities and nonprofit institutions, and foreign equivalents. The federal EIN must be provided by <u>all</u> U.S. institutions and by foreign institutions that have been assigned an EIN or tax-payer ID by the U.S. Internal Revenue Service (IRS). U.S. organizations that have IRS 501(c)(3) determinations should check the corresponding box. (If the applicant institution is a "supporting organization," please identify the type of supporting organization in the "Other" field at the right.) Other nonprofit organizations are to succinctly specify the type of organization in the box next to "Other". All applicants should be prepared to furnish documentation of U.S. tax-exempt nonprofit status, or foreign equivalence upon request.

4.2 Institution Official

This section must be completed by all applicants and provide the requested information for the institution officer or other individual who, being duly authorized, will sign this application on behalf of the applicant institution. This signature is required on the original hard copy only. Applications that are not so authorized will not be accepted for review.

5. Payment Information

Please make sure the first item in this section correctly identifies to whom payments should be made (i.e., the "pay to the order of" name for checks). This must be the legal name (or a legal "doing business as" (D.B.A). name) of the applicant institution. The individual identified in this section should be the person to whose attention payments would be sent. In no instance will grants be paid to individuals or for-profit entities.

General Instructions for Other Forms

- 1. Do not copy and paste information from the collaboration information form into other sections of the application.
- 2. Do not change the margins for any of the application forms or sections.
- 3. Do not enter any information in or make any changes to grey shaded areas (boxes) on the forms.
- 4. **Do not change fonts or font sizes.** For each area where information is to be entered, the font and size are preset for conformance to formatting requirements. **Applicants are to complete all sections using Times New Roman**.
- 5. Do not condense character or line spacing.
- 6. Applications must conform to all page and word maximums and formatting requirements (which are strictly observed) to be accepted for review.

Table of Contents

Complete this section after having prepared the entire application. Enter the start page for each item in the table of contents; the first four pages are already numbered because they will be the same for every application. (See page 2 for guidance on page numbering.) You may insert rows as needed to include reference to application components.

Addenda (See pages 8 and 9): In the far right column, enter the page numbers for all addenda materials included with the application.

<u>Appendix</u> (See page 9): If your application includes an appendix, place an X in the corresponding box (located at the bottom of table of contents).

Key Personnel and Abstract

Place your cursor in the first empty table cell at the top of this form and type the application title. Next, under the corresponding column headings, enter the name, professional title (e.g., Senior Scientist, Professor) and department/institution for each of the key personnel to be

■Application Title:¤	Title of collaborative research proposal®						
Key Professional Personnel Engaged							
Nan	ne¤	Title¤					
Joan Smith, Principal I	nvestigator¤	Professor¤	Univ				
Robert Doe, Collabora	ting Investigator¤	Senior Scientist¤	Biob				

engaged on the project. List the principal and collaborating investigators first. If you need additional lines for personnel, use the tab key from the lower right-hand cell to create a new row below. Please do not delete any of the rows or change the font size/style from the pre-set settings.

Underneath (NOT IN) the gray shaded area, provide a peer-language abstract of 600 words or less (<u>12-point</u> Times New Roman) describing the overarching goals of the collaboration, aims of the proposed component research projects and the plan for coordination among the principal and collaborating investigators. The abstract is meant to serve as a succinct and accurate description of the proposed work when separated from the application. <u>Please underline ten (10) key words, or phrases.</u> The abstract is not considered by the Foundation to be confidential information and will not be held as such.. Submission of a grant application is deemed as acceptance of this provision.

BUDGETS

A summary budget and justification for the project as a whole is to be provided on the summary budget form. If each the collaborating projects is to be undertaken at a different institution, the budget for the applicant institution's project should be reflected on the summary form; subcontract amounts for component projects should be listed in section 6 of the summary form with a subcontract/component budget and justification provided for each project. If more than one of the component projects will be undertaken by independent investigators at the applicant institution, a *subcontract/component budget and justification* should be provided for each project at the institution. Information is to be entered only in non-shaded areas. Budgets should be in whole dollars and represent amounts requested for the entire performance period.

1. Personnel

For all key personnel employed by the institution, starting with the principal or collaborating investigator, provide the name, position title and percent effort to be allocated to the project. The percent effort should reflect the portion of the whole year that the employee is expected to work on the project. For example, an employee working half time for six months would be shown as 25%. For each person, enter the amounts for salary and fringe benefits to be supported by the grant in the applicable columns. Enter the sum of salary and fringe benefits for each person in the far right-hand column. Enter the subtotals for salary and fringe benefits on the subtotals line, and the total requested personnel costs in the box to the right of "personnel total."

%•Efforto	Salaryo	Fringeo	TOTAL o
25%¤	30,000¤	3,500,¤	\$33,500¤
50%¤	15,000¤	1,750¤	\$16,750¤
Ø	Ø	Ø	Ø
¤	Ø	a	¤
Ø	Ø	ø	Ø
¤	¤	¤	¤
Subtotals	45,000¤	5,250¤	a
	\$50,2500		

The budget for personnel should include any cost-of-living or merit increases that, by applicant institution policy, are expected to occur during the performance period. Requests for salary costs for individuals already employed full-time by the applicant organization will be carefully scrutinized for appropriateness and need. Salary and fringe benefits paid in whole or in part with Foundation funds to grantee institution employees must not vary from those paid to other employees of the institution, regardless of the source of funds.

Instructions Applicable to Budget Sections 2, 3, 4 & 5

In these sections you will enter the subtotal for each category in the boxes on the right-hand side of the table. Detail for each section is to be entered in the boxes in the center column, as shown in the following example.

Section∙3:∙Supplies∙ and∙Materials¤	·Tissue·Culture: \$7,750; Reagents:\$8,000; Enzymes: \$7,000; Antibodies: \$1,000¤	\$23,750∞

Section 2: Supplies and Materials

This category is to be used for supplies and materials necessary to perform the proposed research.

Section 3: Equipment

Equipment purchase, rental, and maintenance costs are allowable only for special-purpose equipment required to perform the specific project and not otherwise available at the applicant institution. Purchase, rental and maintenance of office equipment, including personal computers, laptop computers, furniture and similar general-purpose items are generally not allowed for funding. Equipment must be itemized in the center column and complete details provided in the budget justification.

Section 4: Travel

Grants: Travel support, limited to \$1,000 in direct costs for each of the principal and collaborating investigators, is allowed only if the travel is directly related to the objectives and activities of the funded project. Travel may include attendance at no more than one scientific meeting. In the budget justification, describe the purpose and destination of travel, and identify costs for transportation, lodging, meeting expenses (e.g., registration fees), and per diem costs. Air or rail travel must be by economy class and via the most direct route. For automobile travel, describe the basis for the estimate and include the institution's reimbursement rate per mile or kilometer. Lodging should be at a cost level that affords comfort while practicing economy. Reasonable and necessary incidental expenses may be reimbursed according to the established policies of the grantee institution. In no case may the amount of budgeted or expended direct costs for travel exceed the maximum of \$1,000. Enter the subtotal amounts for foreign and domestic travel; in the right-hand column, enter the total travel amount.

Section 5: Miscellaneous Direct Costs

This category includes such items as institution fees for use of special equipment, and occupancy costs. Requests to support occupancy costs (i.e., rent) should be included only if implementation of the project requires renting facilities not currently available to the institution, or if the institution charges user fees for specialized facilities on a project-by-project

basis, but only if such costs may not be satisfied by use of indirect costs. In the budget justification, explain the necessity of such facilities and why their costs are not covered by indirect costs.

Direct Cost Subtotal

Enter the total for budget sections 1 through 5.

<u>Indirect costs</u> support expenses essential to the operation of the grantee institution, such as general and administrative costs, which by their overall nature are not readily chargeable on a project-by-project basis (i.e., overhead). <u>These costs are allowable, but may not exceed 20% excluding subcontract amounts. However, subcontracts may include up to 20% for indirect costs (i.e., indirect costs paid by grantee institution to the subcontractor.). In the spaces provided, enter the percentage used to calculate indirect costs, the indirect cost base, and the indirect cost total. Because indirect costs are a function of direct costs, the budget for indirect costs may not be modified and in no case will amfAR reimburse any indirect costs beyond the above-stated maximums.</u>

Section 6: Subcontracts

Subcontracts include with agreements with other institutions to support the costs of component projects that are proposed as part of the collaboration. Identify the collaborating institution and the direct, indirect and total costs for each subcontract on this form and **provide a separate**, **detailed budget and justification on the subcontract/component budget forms.**

Section-4: Travel¤	Domesti	с¤	\$1,000 [.] ¤	Interna	ational¤	i 0¤		Travel·Totale	\$1,000¤
Section-5: Miscellaneous-Direct Costs¤	¤								¤
						D	irect·	Cost∙Subtota⊫	110,000¤
Indirect-Costs-(Maximums: Research grants20%- applied to direct costs excluding subcontracts)¤	la a vice	0%⊐	Enterindire base (total se			\$110,000 ¤	Gr	antee·Indirect· Costs:t	\$ 22,000 ¤
	Subcontrac	torm]	Direct Costs	8	Indirect Costsa	Totala
Section 6:	University of Other States				5	\$100,000¤		\$20,000¤	\$120,000¤
Subcontracts	Cutting Edg	Cutting-Edge-Biotecha				\$90,000¤ ¤		\$18,000¤	\$108,000¤
(including∙	(including a second sec			ŝ	a			a	
consultants)¤	¤				ŝ	a		a	a
	TOTALS				\$190,000¤		\$38,000¤	\$ 228,000 ¤	
TOTAL·REQUESTED					\$ 360,000 ¤				

Consultants are expert or highly specialized and/or technical personnel whose for-hire services are urgently, temporarily, and infrequently needed. Consultation with institution faculty, staff or other employees should be reimbursed by charging an appropriate portion of that individual's salary and fringe to the grant as a personnel item (see above). <u>Contractors</u> are hired to provide specialized scientific or technical personnel, or services that are identified as essential to the completion of the project. In the detail section (center column), list the name and subtotal for each consultant/contractor. Enter the total for consultants and subcontracts in the right hand column. In the justification, provide the name, function, number of days of consultation and the daily rate. A letter of commitment from each consultant or contractor, stating the scope of work and estimated costs must be included in the addenda.

Enter the total requested (i.e., sum of direct, grantee indirect and subcontract costs).

Budget Restrictions

Funds are not awarded for the following:

- Major construction or the remodeling of facilities (minor alterations are allowed with adequate justification)
- The direct cost of support services and facilities generally available at a sponsoring institution (occupancy costs, utilities, maintenance, telephone, office furniture and supplies, etc.) except when directly allocable and essential to carrying out the proposed research
- The purchase, lease or rental of office equipment
- Funding for dissertation research

Travel costs are limited to \$1,000 per investigator (principal and collaborating investigators).

Foundation grants are not meant to cover the total cost of a proposed research project. A grantee institution is expected to provide the necessary physical facilities and administrative services as well as other supporting services normally available at a sponsoring institution. Expenses generally considered to be indirect costs may be budgeted as direct costs only when required for the operation of remote sites deemed necessary and leased or rented exclusively for conduct of the funded research. Such requests will be carefully assessed for appropriateness and are subject to peer review and administrative approval.

Budget Justification

A complete budget justification, organized under headings corresponding to those on the budget form, is required. Although there is no page limit for the budget justification, explanations should be presented in a concise manner. Applications received without the required budget justification will not be accepted for review.

Biographical Sketch Forms

Biographical sketch forms must be completed for the principal and collaborating investigator and for each of the key professional personnel listed on the peer-language abstract form (page three of the application). These forms should not be completed for laboratory technicians, administrative support staff or the like.

Contact the grants administration office (grants@amfar.org) if additional rows are needed for education and training. Detailed instructions for each section are provided directly on the form. For each section, enter the requested information underneath the gray shaded areas.

Alternatively, you may use completed NIH Biographical Sketch forms (PHS 398 biographical sketch format page), omitting section "D: Research Support."

Please do not exceed a total of three pages for the biographical sketch.

Other Support Forms

A completed Other Support Form should immediately follow each biographical sketch. Detailed instructions are at the top of the form. Enter requested information in the space beneath the corresponding gray shaded areas.

amfAR funds cannot be used to duplicate support provided by another organization. Accordingly, a project's principal investigator and the applicant institution must diligently insure that all information presented in an application, including "other support," is accurate and inclusive. <u>Failure to do so may be construed as an attempt to mislead the Foundation and will lead to the rejection of an application or termination of a grant, and the required return of all funds received.</u> Requests for support of this nature are carefully scrutinized for appropriateness.

amfAR wishes to know the total costs of projects it supports and the leverage Foundation support adds to funds provided by others. Therefore amfAR requests information regarding project costs covered by the sponsoring institution's general funds, but not satisfied by indirect cost support. Please estimate these costs and include them on the other support form. These costs should be justified to the extent practical.

Resources and Environment

Using a separate form for each, briefly describe the facilities to be used at the applicant and collaborating organizations. Include information about pertinent capabilities, relative proximity and extent of availability to the project.

Collate the Forms

When all of the forms are completed and numbered, print and collate them in one PDF file in the order shown in the table of contents. (See page 2 for guidance on page numbering.) Name the PDF as follows: PI last name-first initial-forms.pdf (eg., **smith-j-forms.pdf**).

Research Plans & Literature Cited

Submit a separate research plan for each of the component projects (maximum 2,500 words each). The plan

- o state the hypotheses and the project's specific aims
- o concisely describe the background and rationale for the project and the gap in knowledge it is intended to fill
- o relate specific aims to long-term objectives
- o summarize the principal investigator's preliminary studies
- o clearly and concisely describe the experimental design and the procedures to be used
- o provide a timetable for the project's execution

- o discuss the means by which the data will be analyzed and interpreted
- o point out new methodologies, if any, and their advantages over existing ones

Literature cited should immediately follow each research plan and should not be included in the research plan word count.

RESEARCH PLAN FORMATTING REQUIREMENTS AND WORD LIMIT

Applications containing research plans that do not conform to these requirements, which are strictly enforced, will not be accepted for review.

- Each research plan may be no more than 2,500 words in length
- o <u>Double-spaced</u>
- o <u>12-point Time New Roman</u>; do not condense character or line spacing
- o <u>1 inch margins</u> or 2.55 cm (top, bottom, left, right)
- Page Size: <u>U.S. letter ($8\frac{1}{2} \times 11$ inches</u>). This formatting is required for the emailed version.
- Necessary figures should be embedded in the research plan; figure legends are limited to 45 words each. DO NOT provide figures as addenda. Please limit figures to those that are essential to communicating the proposed research and its rationale.
- <u>Written in English</u>

The research plans are to be collated and submitted in one separate PDF.

Open a new document, set paper size for <u>U.S. letter</u> (8.5" x 11"), set <u>all margins at one inch (2.55 cm)</u>, select <u>double-spacing</u> and <u>12-point Times New Roman</u> font. Type "Research Plan" or the application title at the top of the first page, starting the plan itself below that line. <u>Use The foloter to identify PI last name</u> and consecutive page numbers." Page numbers should be consecutive with the forms (i.e., if the last resource and environment page is "18," start the research plan page numbering with "19"), and should be placed in a footer. See page 2 for guidance on page number formatting.

Save the research plan using the following naming convention:

PI last name-first initial-plan (e.g., smith-j-plan.doc)

Addenda

The following items are addenda to the research plan, do not count as part of the word count, and should be included with the application in the order shown. Please insert a page with the word "addenda" centered in large letters between the last literature cited section and the first item in the addenda.

A. Institutional Approvals

All amfAR-funded research investigations are conducted under the oversight and direction of the grantee institution. Accordingly, the institution bears full responsibility to insure that research facilities, activities (e.g., experiments and protocols), and employees comply with applicable federal, state, and local laws and regulations. An amfAR-funded investigation involving either human or animal subjects or derivatives of such subjects, or biohazards may not initiate research activity or make expenditures until its entire protocol has been reviewed and approved in accordance with applicable regulations and guidelines including those established by the U.S. Department of Health and Human Services (DHHS), the U.S. Department of Agriculture (USDA) and the National Institutes of Health (NIH).

Human Subjects

If human subjects are to be used, documentation of approval by the institution's Institutional Review Board (IRB) and a copy of the IRB-approved patient's informed consent form must be submitted.

Animal Subjects

If animal subjects are to be used, documentation of approval by the Institutional Animal Care and Use Committee (IACUC) must be submitted. *Biohazards* If the investigation will use or result in the production of hazardous materials, documentation of

Institutional Biosafety Committee (IBC) approval must be submitted.

Grantee institutions outside of the United States of America are required to provide similar institutional review board or ethics committee approvals. If approvals are pending, please provide supporting documentation (e.g., copy of cover memo to IRB). No payments for a funded grant will be issued until all necessary approvals have been received and accepted by the Foundation. Note that the Foundation reserves the right to withdraw funding if approvals are not provided within 90 days.

<u>B. Letters of Collaboration and Letters of Agreement from consultants and contractors and Consortium Agreements</u>

C. Other Supporting Materials

Appendix

If included, all appendix materials must be submitted in electronic format along with the application forms and research plan. Please submit the appendix in a compressed folder such as a zip file

As the first item in the appendix, please provide a list of all items included

If you include an appendix, please verify that the face sheet and table of contents are appropriately marked.

Submitting Grant Applications

Deadline March 25, 2010, 5:00 PM EDT

All applicants are required to submit the following as email attachments:

- The collaboration information form as a word document. Name the file as follows: PI Last name-first initial-info.doc (e.g., smith-jinfo.doc).
- **All of the application forms** collated in one pdf. Name the file as follows: PI last name-first initial-forms.pdf, (e.g., **smith-j-forms.pdf**).
- **The research plan** and electronically available addenda as one pdf. Name the file as follows: PI Last name-first initital-plan.pdf, (e.g., **smith-j-plan.pdf**).
- If included, send a zip file of the appendix named as follows: PI Last name-first initialappendix.zip (e.g., **smith-j-appendix.zip**).

📦 amfAR App	lication-smith-j - Message (HTML)	- D ×
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То	Grant Applications;	
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Attach	Smith-i-plan.pdf (109 KB); Smith-i-appendix.zip (381 KB); Attachment Option Smith-i-forms.pdf (109 KB); Smith-i-info.doc (2 MB) Attachment Option	ons
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The subject line of the email should read: "amfAR application–Investigator's last name-first initial" (e.g., **amfAR Application–smith-j**). The body of the email should include contact information for the principal investigator.

amfAR's policy is to not accept applications that are submitted late, are incomplete, do not conform to the application instructions, or are not responsive to the RFP

Hard Copies

Please send a hard copy of the collaboration information form, bearing original signatures, to:

amfAR Grants Administration Attention: Russell Ramm 120 Wall Street, 13th Floor New York, NY 10005-3908

Policies and Conditions

Descriptions

Collaborative research grants satisfy various financial obligations incurred in the course of an HIV/AIDS-related investigation. In general, a collaborative research grant provides support for the direct costs of salaries for professional and technical personnel, laboratory supplies and equipment, travel, and the publication of findings. Support for grantee indirect costs is limited to a maximum of 20 percent of total direct costs excluding subcontracts.

To Whom Grants Are Made

amfAR grants are awarded solely to nonprofit institutions; they are not awarded to individual investigators. Accordingly, an application must bear the signature of an official authorized to sign for the institution. If requested, the applicant institution must submit proof of its nonprofit status. Applications are neither requested nor accepted from for-profit entities or from individuals.

By accepting an amfAR grant, the recipient institution will accept full responsibility for the conduct of the investigation and for the acts of the investigator(s). Both are under the direction of the institution and are subject to its medical and scientific policies. Individuals or entities compensated in full or in part with grant funds are employees or contractors of the grantee institution, not of amfAR.

Personnel supported with grant funds need not be U.S. citizens, and there are no restrictions as to age, color, creed, gender, medical condition, handicap, national origin, parental status, political affiliation, race, religion, marital status, or sexual orientation.

Members of the Foundation's board of trustees are not eligible as investigators in Foundation-supported research. They may, however, sponsor fellowship applicants. Members of the Scientific Advisory Committee (SAC) are eligible. Members of the board of trustees and SAC must comply with the Foundation's policies regarding the avoidance of conflicts of interest.

Restrictions on the Use of Funds

Funds are not awarded for the following:

- Major construction or the remodeling of facilities (minor alterations are allowed with adequate justification);
- The direct cost of support services normally available at a sponsoring institution (e.g., telephone, office furniture, and supplies) except when directly allocable and essential to carrying out the proposed research;
- The purchase, lease, rental, or servicing of office equipment;
- Funding for dissertation research.

Travel costs are limited to \$1,000 per investigator (principal investigator and collaborating investigators).

When an application for project support is submitted to amfAR and also to other grant making agencies, accepted support from the Foundation and from another agency cannot be in duplication.

Recipient institutions agree not to promote or engage in violence, terrorism, or the destruction of any state, and to take prudent measures to insure that they do not provide support through sub-grants or other financing to any entity that engages in those activities.

All amfAR grants are contingent upon the availability of funds and are awarded without assurance of continued or subsequent funding.

Indirect Costs

Indirect costs are limited to 20 percent of expended direct costs excluding subcontract amounts. However, indirect costs of no more than 20 percent may be included in subcontract budgets (i.e., paid by the grantee institution to a collaborating organization or consultant).

amfAR grants are not meant to cover the total cost of a proposed research project. Grantee and collaborating institutions are expected to provide the necessary physical facilities and administrative services, as well as other supporting services normally available at a

research institution. Expenses generally considered to be indirect costs (i.e., overhead) may be budgeted as direct costs only when required for the operation of remote sites deemed necessary and leased or rented exclusively for conduct of the funded research. Such requests will be carefully assessed for appropriateness and are subject to peer review and administrative approval. Because indirect costs are a function of direct costs, the budget for indirect costs may not be modified, and in no case will the Foundation reimburse any indirect costs beyond the stated 20 percent of direct cost expenditures excluding subcontracts.

Restrictions on the Use of Funds Awarded to Foreign Organizations

Unless written authority is obtained in advance from amfAR, funds from grants awarded to organizations outside of the United States (U.S.) may not be used to support (a) services performed in the U.S., or (b) travel to or from the U.S. Authorization to use funds for such purposes may be obtained by providing either of the following sets of documentation: (1) a copy of U.S. Internal Revenue Service (IRS) form W-8EXP bearing a valid International Taxpayer Identification Number or Employer Identification Number and either (a) an IRS determination letter or (b) written opinion of U.S. counsel that the organization is described in IRS Code section 501(c)(3); (2) alternatively, an applicant organization in a country that benefits from an exemption under a tax treaty with the U.S. should provide (a) a completed copy of IRS form W-8BEN and (b) an affidavit stating the treaty provision under which benefits are claimed and asserting facts pertinent to the treaty provision (e.g., facts to establish that the organization would qualify under IRS code section 501(c)(3)).

Although these documents are not required for applications, applicants should anticipate and prepare for their submission as part of the award process.

Source of Funds

Funds available to the Foundation are obtained principally from private donations.

Confidentiality

Throughout the review and award process, the Foundation respects the privacy of the applicant and endeavors to protect from disclosure any confidential or proprietary information contained in a submitted proposal. However, amfAR has in place no mechanisms to maintain or guarantee confidentiality and, as a not-for-profit corporation, lacks the financial resources to (1) institute such mechanisms or (2) accept liability for the disclosure of information. At the same time, the Foundation does not consider information on an application's abstract form to be confidential. That information may be made public as a description of the project being funded by amfAR. Submission of an application is deemed acceptance of these provisions.

Human and Animal Subjects / Biohazards

Applicants are required to submit documentation of institutional approvals (from grantee and collaborating institutions) for research involving human or animal subjects or the use or production of biohazards. Research activity may not begin, nor may expenditures be made, until such approvals are received and forwarded to amfAR. Although documentation of approval is not required at the application stage, investigators should prepare for Institutional Review Board, Institutional Animal Care and Use Committee, or Institutional Biosafety Committee submissions in advance of or immediately following funding notification. amfAR requires that all approvals be in place prior to the release of grant funds and reserves the right to withdraw funding should said approvals not be received within 90 days following the issuance of a notice of award.