

# Department of Health and Human Services

## Part 1. Overview Information

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### Participating Organization(s)

U.S. Food and Drug Administration ([FDA \(http://www.fda.gov/\)](http://www.fda.gov/))

NOTE: The policies, guidelines, terms, and conditions stated in this announcement may differ from those used by the NIH. Where this Funding Opportunity Announcement (FOA) provides specific written guidance that may differ from the general guidance provided in the grant application form, please follow the instructions given in this FOA.

The FDA does not follow the NIH Page Limitation Guidelines or the NIH Review Criteria. Applicants are encouraged to consult with FDA [Agency Contacts](#) for additional information regarding page limits and the FDA Objective Review Process.

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### Components of Participating Organizations

Center for Biologics Evaluation and Research ([CBER \(http://www.fda.gov/AboutFDA/CentersOffices/OfficeofMedicalProductsandTobacco/CBER/default.htm\)](http://www.fda.gov/AboutFDA/CentersOffices/OfficeofMedicalProductsandTobacco/CBER/default.htm))

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### Funding Opportunity Title

Enhancing Innovations in Advanced Manufacturing Technologies for Vaccines against Influenza and Emerging Infectious Diseases (R01) Clinical Trials Not Allowed

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### Activity Code

[R01 \(//grants.nih.gov/grants/funding/ac\\_search\\_results.htm?text\\_curr=r01&Search.x=0&Search.y=0&Search\\_Type=Activity\)](http://grants.nih.gov/grants/funding/ac_search_results.htm?text_curr=r01&Search.x=0&Search.y=0&Search_Type=Activity) Research Project Grant

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### Announcement Type

New

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### Related Notices

None

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### Funding Opportunity Announcement (FOA) Number

RFA-FD-21-033

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### Companion Funding Opportunity

None

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**Number of Applications**

See [Section III. 3. Additional Information on Eligibility](#).

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**Assistance Listing Number(s)**

93.103

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**Funding Opportunity Purpose**

CBER seeks to support several research projects that are focused on developing novel technologies for the advanced manufacturing of complex biologic products or innovative analytical approaches for improving product manufacturing and quality.

## Key Dates

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**Posted Date**

March 12, 2021

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**Open Date (Earliest Submission Date)**

March 18, 2021

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**Letter of Intent Due Date(s)**

April 1, 2021

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**Application Due Date(s)**

May 18, 2021, by 11:59 PM Eastern Time.

Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.

Applicants should be aware that on-time submission means that an application is submitted error free (of both Grants.gov and eRA Commons errors) by 11:59 PM Eastern Time on the application due date.

**Late applications will not be accepted for this FOA.**

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**AIDS Application Due Date(s)**

Not Applicable

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**Scientific Merit Review**

July 2021

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**Advisory Council Review**

Not Applicable

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**Earliest Start Date**

September 1, 2021

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**Expiration Date**

May 19, 2021

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**Due Dates for E.O. 12372**

Not Applicable

**Required Application Instructions**

It is critical that applicants follow the Research (R) instructions in the [SF424 \(R&R\) Application Guide](https://grants.nih.gov/grants/guide/url_redirect.htm?id=12000) ([https://grants.nih.gov/grants/guide/url\\_redirect.htm?id=12000](https://grants.nih.gov/grants/guide/url_redirect.htm?id=12000)), except where instructed to do otherwise (in this FOA or in a Notice from the [NIH Guide for Grants and Contracts](https://grants.nih.gov/grants/guide/) (<https://grants.nih.gov/grants/guide/>)). Conformance to all requirements (both in the Application Guide and the FOA) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in [Section IV](#). When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions. **Applications that do not comply with these instructions may be delayed or not accepted for review.**

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## Part 2. Full Text of Announcement

### Section I. Funding Opportunity Description

**Background:**

CBER regulation helps to ensure an available supply of safe and effective biological products in the United States. CBER realizes the need for an efficient, agile, and flexible manufacturing sector that can reliably produce high quality biologics. To achieve this vision, CBER encourages the development and adoption of emerging technologies to

modernize the manufacturing processes for complex biologic products (e.g. vaccines, and cell and gene therapies). These modernization efforts should aim to create more robust manufacturing and control process with fewer interruptions in production, less frequent product failures (before or after distribution), and greater assurance that the biologic products manufactured at any given time will provide the expected clinical performance.

CBER also recognizes that the implementation of emerging technologies for manufacturing high-quality complex biologics could present various challenges due to the limited knowledge and experience with a new technology. This program aims to address the knowledge and experience gaps identified for emerging manufacturing technologies and to support the adoption of such technologies in the biological product sector.

### **Project Objectives:**

CBER seeks to support the application of novel technologies for advanced manufacturing of complex biologic products, and innovative analytical approaches to improve product manufacturing and quality through active research. One such technology is continuous manufacturing, defined as manufacturing using a continuous process, rather than a batch-process approach. This emerging technology has the potential to improve agility, flexibility, cost, and robustness in the manufacturing processes for complex biologics. In general, CBER seeks to enhance development of innovative technologies with the potential to address product shortages, improve product quality, and accelerate the time to market for complex biologics such as vaccines against influenza and other emerging diseases.

The supported research will advance innovations in manufacturing by developing and making technologies accessible to industry in the near term, and by bridging the gaps between discoveries and the implementation by industry. Additionally, this research is intended to support advances in regulatory science that allow for development of science and risk-based guidelines to facilitate faster adoption of these innovative technologies. Some specific areas of research could include the following and the application should clearly describe the potential impacts of the proposed technology on the readiness for broad implementation in the biological product industry, control strategy, and/or regulatory evaluation:

- Development of cell lines capable of significantly improving recombinant influenza hemagglutinin protein yields  $\geq 50\%$  over current methodologies
- Development of improved bioreactor technologies for intensified biomanufacturing of high quality recombinant protein vaccines
- Refinement of vaccine characterization technologies to facilitate more rapid production and lot release

See [Section VIII. Other Information](#) for award authorities and regulations.

## **Section II. Award Information**

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### **Funding Instrument**

Grant: A support mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.

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### **Application Types Allowed**

New

The [OER Glossary \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11116\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11116) and the SF424 (R&R) Application Guide provide details on these application types. Only those application types listed here are allowed for this FOA.

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### **Clinical Trial?**

Not Allowed: Only accepting applications that do not propose clinical trials

[Need help determining whether you are doing a clinical trial? \(https://grants.nih.gov/grants/guide/url\\_redirect.htm?id=82370\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82370)

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### Funds Available and Anticipated Number of Awards

The number of awards is contingent upon FDA appropriations and the submission of a sufficient number of meritorious applications. Award(s) will provide one (1) year of support and include future recommended support for two (2) additional year(s) contingent upon annual appropriations, funding availability and satisfactory awardee performance.

For fiscal year 2021 CBER intends to fund up to \$2,000,000 in support of this grant program

It is anticipated that up to (4) awards will be made, not to exceed \$500,000 in total costs (direct plus indirect), per award.

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### Award Budget

Application budgets need to reflect the actual needs of the proposed project and should not exceed the following in total costs (direct and indirect):

YR 01: \$500,000

YR 02: \$500,000

YR 03: \$500,000

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### Award Project Period

The scope of the proposed project should determine the project period. The maximum project period is 3 years.

HHS grants policies as described in the [HHS Grants Policy Statement](http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf) (<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>) will apply to the applications submitted and awards made from this FOA.

## Section III. Eligibility Information

### 1. Eligible Applicants

#### Eligible Organizations

##### Higher Education Institutions

- Public/State Controlled Institutions of Higher Education
- Private Institutions of Higher Education

The following types of Higher Education Institutions are always encouraged to apply for FDA support as Public or Private Institutions of Higher Education:

- o Hispanic-serving Institutions
- o Historically Black Colleges and Universities (HBCUs)
- o Tribally Controlled Colleges and Universities (TCCUs)
- o Alaska Native and Native Hawaiian Serving Institutions
- o Asian American Native American Pacific Islander Serving Institutions (AANAPISIs)

## Nonprofits Other Than Institutions of Higher Education

- Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education)
- Nonprofits without 501(c)(3) IRS Status (Other than Institutions of Higher Education)

## For-Profit Organizations

- Small Businesses
- For-Profit Organizations (Other than Small Businesses)

## Governments

- State Governments
- County Governments
- City or Township Governments
- Special District Governments
- Indian/Native American Tribal Governments (Federally Recognized)
- Indian/Native American Tribal Governments (Other than Federally Recognized)
- U.S. Territory or Possession

## Other

- Independent School Districts
- Public Housing Authorities/Indian Housing Authorities
- Native American Tribal Organizations (other than Federally recognized tribal governments)
- Faith-based or Community-based Organizations
- Regional Organizations

## Foreign Institutions

Non-domestic (non-U.S.) Entities (Foreign Institutions) **are not** eligible to apply.

Non-domestic (non-U.S.) components of U.S. Organizations **are not** eligible to apply.

Foreign components, as [\*defined in the HHS Grants Policy Statement\*](#)

(<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>), **are not** allowed.

## Required Registrations

### Applicant Organizations

Applicant organizations must complete and maintain the following registrations as described in the SF 424 (R&R) Application Guide to be eligible to apply for or receive an award. All registrations must be completed prior to the application being submitted. Registration can take 6 weeks or more, so applicants should begin the registration process as soon as possible. Failure to complete registrations in advance of a due date is not a valid reason for a late submission.

- [Dun and Bradstreet Universal Numbering System \(DUNS\)](#) (<http://fedgov.dnb.com/webform>) - All registrations require that applicants be issued a DUNS number. After obtaining a DUNS number, applicants can begin both SAM and eRA Commons registrations. The same DUNS number must be used for all registrations, as well as on the grant application.
- [System for Award Management \(SAM\)](#) (<https://www.sam.gov/portal/public/SAM/>) Applicants must complete and maintain an active registration, **which requires renewal at least annually**. The renewal process may require as much time as the initial registration. SAM registration includes the assignment of a Commercial and Government Entity (CAGE) Code for domestic organizations which have not already been assigned a CAGE Code.
- o [NATO Commercial and Government Entity \(NCAGE\) Code](#) ([http://grants.nih.gov/grants/guide/url\\_redirect.htm?id=11176](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11176)) Foreign organizations must obtain an NCAGE code (in lieu of a CAGE code) in order to register in SAM.

- [eRA Commons \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11123\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11123) - Applicants must have an active DUNS number to register in eRA Commons. Organizations can register with the eRA Commons as they are working through their SAM or Grants.gov registration, but all registrations must be in place by time of submission. eRA Commons requires organizations to identify at least one Signing Official (SO) and at least one Program Director/Principal Investigator (PD/PI) account in order to submit an application.
- [Grants.gov \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=82300\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=82300) Applicants must have an active DUNS number and SAM registration in order to complete the Grants.gov registration.

### **Program Directors/Principal Investigators (PD(s)/PI(s))**

All PD(s)/PI(s) must have an eRA Commons account. PD(s)/PI(s) should work with their organizational officials to either create a new account or to affiliate their existing account with the applicant organization in eRA Commons. If the PD/PI is also the organizational Signing Official, they must have two distinct eRA Commons accounts, one for each role. Obtaining an eRA Commons account can take up to 2 weeks.

### **Eligible Individuals (Program Director/Principal Investigator)**

Any individual(s) with the skills, knowledge, and resources necessary to carry out the proposed research as the Program Director(s)/Principal Investigator(s) (PD(s)/PI(s)) is invited to work with his/her organization to develop an application for support. Individuals from underrepresented racial and ethnic groups as well as individuals with disabilities are always encouraged to apply for FDA support.

For institutions/organizations proposing multiple PDs/PIs, visit the Multiple Program Director/Principal Investigator Policy and submission details in the Senior/Key Person Profile (Expanded) Component of the SF424 (R&R) Application Guide.

## **2. Cost Sharing**

This FOA does not require cost sharing as defined in the [HHS Grants Policy Statement](http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf). (<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>)

## **3. Additional Information on Eligibility**

### **Number of Applications**

Applicant organizations may submit more than one application, provided that each application is scientifically distinct.

The FDA will not accept duplicate or highly overlapping applications under review at the same time. This means that the FDA will not accept:

- A new (A0) application that is submitted before issuance of the summary statement from the review of an overlapping new (A0) or resubmission (A1) application.
- A resubmission (A1) application that is submitted before issuance of the summary statement from the review of the previous new (A0) application.

## **Section IV. Application and Submission Information**

### **1. Requesting an Application Package**

The application forms package specific to this opportunity must be accessed through ASSIST, Grants.gov Workspace or an institutional system-to-system solution. Links to apply using ASSIST or Grants.gov Workspace are available in [Part 1](#) of this FOA. See your administrative office for instructions if you plan to use an institutional system-to-system solution.

### **2. Content and Form of Application Submission**

It is critical that applicants follow the Research (R) Instructions in the [SF424 \(R&R\) Application Guide \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=12000\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=12000), except where instructed in this funding opportunity announcement to do otherwise. Conformance to the requirements in the Application Guide is required and strictly enforced. Applications that are out of compliance with these instructions may be delayed or not accepted for review.

## Letter of Intent

Although a letter of intent is not required, is not binding, and does not enter into the review of a subsequent application, the information that it contains allows FDA staff to estimate the potential review workload and plan the review.

By the date listed in [Part 1. Overview Information](#), prospective applicants are asked to submit a letter of intent that includes the following information:

- Descriptive title of proposed activity
- Name(s), email address(es), and telephone number(s) of the PD(s)/PI(s)
- Names of other key personnel
- Participating institution(s)
- Number and title of this funding opportunity

The letter of intent should be sent to:

Gordana Zuber

Grants Management Specialist

Telephone: 301-348-1747

Email: [gordana.zuber@fda.hhs.gov](mailto:gordana.zuber@fda.hhs.gov) (<mailto:gordana.zuber@fda.hhs.gov>)

A technical session will be held for prospective applicants in April 2021. The conference call information will be provided to prospective applicants that submit a letter of intent. The technical session will provide an overview of the submission requirements and allow prospective applicants an opportunity to ask questions regarding the application process. Participation in the technical session is optional, but strongly encouraged.

## Page Limitations

All page limitations described in the SF424 Application Guide and the [Table of Page Limits \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11133\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11133) must be followed, with the following exceptions or additional requirements:

For this specific FOA, the Research Strategy section is limited to 12 pages.

## Instructions for Application Submission

The following section supplements the instructions found in the SF424 (R&R) Application Guide and should be used for preparing an application to this FOA.

### SF424(R&R) Cover

All instructions in the SF424 (R&R) Application Guide must be followed.

### SF424(R&R) Project/Performance Site Locations

All instructions in the SF424 (R&R) Application Guide must be followed.

### SF424(R&R) Other Project Information

All instructions in the SF424 (R&R) Application Guide must be followed.

### SF424(R&R) Senior/Key Person Profile

All instructions in the SF424 (R&R) Application Guide must be followed.

## R&R Budget



All instructions in the SF424 (R&R) Application Guide must be followed, with the following additional instructions:

Applications requesting multiple years of support must complete and submit a separate detailed budget breakdown and narrative justification for each year of financial support requested.

If an applicant is requesting indirect costs as part of their budget, a copy of the most recent Federal indirect cost rate or F&A agreement must be provided as part of the application submission. This agreement should be attached to the RESEARCH & RELATED Other Project Information Component as line #12 'Other Attachments'.

If the applicant organization has never established an indirect cost rate and/or does not have a negotiated Federal indirect cost rate agreement, a de minimis indirect cost rate of 10 percent (10%) of modified total direct costs (MTDC) will be allowed. MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subaward and subcontracts up to the first \$25,000 of each subaward or subcontract. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.

Indirect/F&A costs under grants to foreign and international organizations will be funded at a fixed rate of 8 percent of modified total direct costs (MTDC), exclusive of tuition and related fees, direct expenditures for equipment, and subawards in excess of \$25,000. (With the exception of the American University of Beirut and the World Health Organization, which are eligible for full F&A cost reimbursement). Awards to domestic organizations with a foreign or international consortium participant may include 8 percent of MTDC, exclusive of tuition and related fees, direct expenditures for equipment, and subawards in excess of \$25,000.

## **R&R Subaward Budget**

All instructions in the SF424 (R&R) Application Guide must be followed.

## **PHS 398 Cover Page Supplement**

All instructions in the SF424 (R&R) Application Guide must be followed.

## **PHS 398 Research Plan**

All instructions in the SF424 (R&R) Application Guide must be followed.

**Resource Sharing Plan:** Individuals are required to comply with the instructions for the Resource Sharing Plans as provided in the SF424 (R&R) Application Guide, with the following modification:

- Generally, Resource Sharing Plans are expected, but they are not applicable for this FOA.

## **Appendix:**

Only limited Appendix materials are allowed. Follow all instructions for the Appendix as described in the SF424 (R&R) Application Guide.

## **PHS Human Subjects and Clinical Trials Information**

When involving human subjects research, clinical research, and/or clinical trials (and when applicable, clinical trials research experience) follow all instructions for the PHS Human Subjects and Clinical Trials Information form in the SF424 (R&R) Application Guide, with the following additional instructions:

If you answered Yes to the question Are Human Subjects Involved? on the R&R Other Project Information form, you must include at least one human subjects study record using the **Study Record: PHS Human Subjects and Clinical Trials Information** form or **Delayed Onset Study** record.

### **Study Record: PHS Human Subjects and Clinical Trials Information**

All instructions in the SF424 (R&R) Application Guide must be followed.

### **Delayed Onset Study**

Note: [Delayed onset \(https://grants.nih.gov/grants/glossary.htm#DelayedOnsetHumanSubjectStudy\)](https://grants.nih.gov/grants/glossary.htm#DelayedOnsetHumanSubjectStudy) does NOT apply to a study that can be described but will not start immediately (i.e., delayed start).

All instructions in the SF424 (R&R) Application Guide must be followed.

## PHS Assignment Request Form

All instructions in the SF424 (R&R) Application Guide must be followed.

## 3. Unique Entity Identifier and System for Award Management (SAM)

See Part 1. Section III.1 for information regarding the requirement for obtaining a unique entity identifier and for completing and maintaining active registrations in System for Award Management (SAM), NATO Commercial and Government Entity (NCAGE) Code (if applicable), eRA Commons, and Grants.gov

## 4. Submission Dates and Times

[Part I. Overview Information](#) contains information about Key Dates and times. Applicants are encouraged to submit applications before the due date to ensure they have time to make any application corrections that might be necessary for successful submission.

Organizations must submit applications to [Grants.gov \(//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11128\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11128) (the online portal to find and apply for grants across all Federal agencies). Applicants must then complete the submission process by tracking the status of the application in the [eRA Commons \(//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11123\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11123), FDA's electronic system for grants administration. eRA Commons and Grants.gov systems check the application against many of the application instructions upon submission. Errors must be corrected and a changed/corrected application must be submitted to Grants.gov on or before the application due date and time. If a Changed/Corrected application is submitted after the deadline, the application will be considered late. **Late applications will not be accepted for this FOA.**

**Applicants are responsible for viewing their application before the due date in the eRA Commons to ensure accurate and successful submission.**

Information on the submission process and a definition of on-time submission are provided in the SF424 (R&R) Application Guide.

## 5. Intergovernmental Review (E.O. 12372)

This initiative is not subject to [intergovernmental review. \(//grants.nih.gov/grants/guide/uri\\_redirect.htm?id=11142\)](https://grants.nih.gov/grants/guide/uri_redirect.htm?id=11142)

## 6. Funding Restrictions

All FDA awards are subject to the terms and conditions, cost principles, and other considerations described in the [HHS Grants Policy Statement \(http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf\)](http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf) and 45 CFR 75.

Pre-award costs are allowable only as described in the [HHS Grants Policy Statement \(http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf\)](http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf).

Additional funding restrictions may be part of the Notice of Award.

## 7. Other Submission Requirements and Information

Applications must be submitted electronically following the instructions described in the SF424 (R&R) Application Guide. Paper applications will not be accepted.

**Applicants must complete all required registrations before the application due date.** [Section III. Eligibility Information](#) contains information about registration.

For assistance with your electronic application or for more information on the electronic submission process, visit [How to Apply Application Guide \(https://grants.nih.gov/grants/how-to-apply-application-guide.html\)](https://grants.nih.gov/grants/how-to-apply-application-guide.html). For assistance with application submission, contact the Application Submission Contacts in [Section VII](#).

#### **Important reminders:**

All PD(s)/PI(s) must include their eRA Commons ID in the Credential field of the Senior/Key Person Profile Component of the SF424(R&R) Application Package. Failure to register in the Commons and to include a valid PD/PI Commons ID in the credential field will prevent the successful submission of an electronic application to FDA. See [Section III](#) of this FOA for information on registration requirements.

The applicant organization must ensure that the DUNS number it provides on the application is the same number used in the organization's profile in the eRA Commons and for the System for Award Management. Additional information may be found in the SF424 (R&R) Application Guide.

See [more tips \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11146\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11146) for avoiding common errors.

Upon receipt, applications will be evaluated for completeness and compliance with application instructions by the assigned Grants Management Specialist and responsiveness by [components of participating organizations](#), FDA. Applications that are incomplete, non-compliant and/or nonresponsive will not be reviewed.

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### **Post Submission Materials**

Post-submission materials are those submitted after submission of the grant application but prior to objective review. They are not intended to correct oversights or errors discovered after submission of the application. FDA accepts limited information between the time of initial submission of the application and the time of objective review. Applicants must contact the assigned Grants Management Specialist to receive approval, prior to submitting any post submission materials. Acceptance and/or rejection of any post submission materials is at the sole discretion of the FDA. Any inquiries regarding post submission materials should be directed to the assigned Grants Management Specialist.

## **Section V. Application Review Information**

### **1. Criteria**

Only the review criteria described below will be considered in the review process.

#### **Scored Review Criteria**

Reviewers will consider each of the review criteria below in the determination of scientific merit.

##### **Significance (25 Points)**

Does the project address an important problem or a critical barrier to progress in the field? Is the prior research that serves as the key support for the proposed project rigorous? Is there a strong scientific premise for the project? If the aims of the project are achieved, how will scientific knowledge, technical capability, and/or clinical practice be improved? How will successful completion of the aims change the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field?

##### **Investigator(s) (10 Points)**

Are the PD(s)/PI(s), collaborators, and other researchers well suited to the project? If Early Stage Investigators or those in the early stages of independent careers, do they have appropriate experience and training? If established, have they demonstrated an ongoing record of accomplishments that have advanced their field(s)? If the project is collaborative or multi-PD/PI, do the investigators have complementary and integrated expertise; are their leadership approach, governance and organizational structure appropriate for the project?

## **Innovation (25 Points)**

Does the application challenge and seek to shift current research or clinical practice paradigms by utilizing novel theoretical concepts, approaches or methodologies, instrumentation, or interventions? Are the concepts, approaches or methodologies, instrumentation, or interventions novel to one field of research or novel in a broad sense? Is a refinement, improvement, or new application of theoretical concepts, approaches or methodologies, instrumentation, or interventions proposed?

## **Approach (30 Points)**

Are the overall strategy, methodology, and analyses well-reasoned and appropriate to accomplish the specific aims of the project? Have the investigators included plans to address weaknesses in the rigor of prior research that serves as the key support for the proposed project? Have the investigators presented strategies to ensure a robust and unbiased approach, as appropriate for the work proposed? Are potential problems, alternative strategies, and benchmarks for success presented? If the project is in the early stages of development, will the strategy establish feasibility and will particularly risky aspects be managed? Have the investigators presented adequate plans to address relevant biological variables, such as sex, for studies in vertebrate animals or human subjects?

If the project involves human subjects and/or clinical research, are the plans to address

- 1) the protection of human subjects from research risks, and
- 2) inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion or exclusion of individuals of all ages (including children and older adults), justified in terms of the scientific goals and research strategy proposed?

## **Budget (10 Points)**

Reviewers will consider whether the budget and the requested period of support are fully justified and reasonable in relation to the proposed research.

## **Additional Review Considerations**

As applicable for the project proposed, reviewers will evaluate the following additional items, but will not give separate scores for these items and should not consider them in providing an overall score.

### **Protections for Human Subjects**

For research that involves human subjects but does not involve one of the categories of research that are exempt under 45 CFR Part 46, the committee will evaluate the justification for involvement of human subjects and the proposed protections from research risk relating to their participation according to the following five review criteria:

- 1) risk to subjects, 2) adequacy of protection against risks, 3) potential benefits to the subjects and others, 4) importance of the knowledge to be gained, and 5) data and safety monitoring for clinical trials.

For research that involves human subjects and meets the criteria for one or more of the categories of research that are exempt under 45 CFR Part 46, the committee will evaluate: 1) the justification for the exemption, 2) human subjects involvement and characteristics, and 3) sources of materials. For additional information on review of the Human Subjects section, please refer to the [Guidelines for the Review of Human Subjects \(https://grants.nih.gov/grants/guide/url\\_redirect.htm?id=11175\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11175).

### **Inclusion of Women, Minorities, and Individuals Across the Lifespan**

When the proposed project involves human subjects and/or clinical research, the committee will evaluate the proposed plans for the inclusion (or exclusion) of individuals on the basis of sex/gender, race, and ethnicity, as well as the inclusion (or exclusion) of individuals of all ages (including children and older adults) to determine if it is justified in terms of the scientific goals and research strategy proposed. For additional information on review of the Inclusion section, please refer to the [Guidelines for the Review of Inclusion in Clinical Research \(https://grants.nih.gov/grants/guide/url\\_redirect.htm?id=11174\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11174).

## **Vertebrate Animals**

The committee will evaluate the involvement of live vertebrate animals as part of the scientific assessment according to the following criteria: (1) description of proposed procedures involving animals, including species, strains, ages, sex, and total number to be used; (2) justifications for the use of animals versus alternative models and for the appropriateness of the species proposed; (3) interventions to minimize discomfort, distress, pain and injury; and (4) justification for euthanasia method if NOT consistent with the AVMA Guidelines for the Euthanasia of Animals. Reviewers will assess the use of chimpanzees as they would any other application proposing the use of vertebrate animals. For additional information on review of the Vertebrate Animals section, please refer to the [Worksheet for Review of the Vertebrate Animal Section \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11150\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11150).

## **Biohazards**

Reviewers will assess whether materials or procedures proposed are potentially hazardous to research personnel and/or the environment, and if needed, determine whether adequate protection is proposed.

## **Resubmissions**

Not Applicable

## **Renewals**

Not Applicable

## **Revisions**

Not Applicable

## **Select Agent Research**

Reviewers will assess the information provided in this section of the application, including 1) the Select Agent(s) to be used in the proposed research, 2) the registration status of all entities where Select Agent(s) will be used, 3) the procedures that will be used to monitor possession use and transfer of Select Agent(s), and 4) plans for appropriate biosafety, biocontainment, and security of the Select Agent(s).

## **Resource Sharing Plans**

Reviewers will comment on whether the following Resource Sharing Plans, or the rationale for not sharing the following types of resources, are reasonable: (1) [Data Sharing Plan \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11151\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11151); (2) [Sharing Model Organisms \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11152\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11152); and (3) [Genomic Data Sharing Plan \(GDS\) \(//grants.nih.gov/grants/guide/url\\_redirect.htm?id=11153\)](https://grants.nih.gov/grants/guide/url_redirect.htm?id=11153).

## **Authentication of Key Biological and/or Chemical Resources:**

For projects involving key biological and/or chemical resources, reviewers will comment on the brief plans proposed for identifying and ensuring the validity of those resources.

# **2. Review and Selection Process**

Applications will be evaluated for scientific and technical merit by an appropriate Objective Review Committee using the stated [review criteria](#).

As part of the objective review, all applications:

- Will receive a written critique.

Appeals of objective review will not be accepted for applications submitted in response to this FOA.

Applications will compete for available funds with all other recommended applications submitted in response to this FOA. The following will be considered in making funding decisions:

- Scientific and technical merit of the proposed project as determined by objective review.

- Availability of funds.
- Relevance of the proposed project to program priorities.

### 3. Anticipated Announcement and Award Dates

Successful applicants will be notified of additional information that may be required or other actions leading to an award. The decision not to award a grant, or to award a grant at a particular funding level, is discretionary and is not subject to appeal to any FDA or HHS official or board.

## Section VI. Award Administration Information

### 1. Award Notices

A formal notification in the form of a Notice of Award (NoA) will be provided to the applicant organization for successful applications. The NoA signed by the grants management officer is the authorizing document and will be sent via email to the recipient's business official.

Awardees must comply with any funding restrictions described in [Section IV.5. Funding Restrictions](#) and in the Notice of Award. Selection of an application for award is not an authorization to begin performance. Any costs incurred before receipt of the NoA are at the recipient's risk. These costs may be reimbursed only to the extent considered allowable pre-award costs.

Any application awarded in response to this FOA will be subject to terms and conditions found in the [HHS Grants Policy Statement](#) (<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>), this FOA, and Notice of Award.

Institutional Review Board or Independent Ethics Committee Approval: For projects that involve Human Subjects and/or Clinical Trials Research, Recipient institutions must ensure that protocols are reviewed by their IRB or IEC. To help ensure the safety of participants enrolled in FDA-funded studies, the awardee must provide FDA copies of documents related to all major changes in the status of ongoing protocols.

### 2. Administrative and National Policy Requirements

All FDA grant and cooperative agreement awards include the [HHS Grants Policy Statement](#) (<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>) as part of the NoA.

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex. This includes ensuring programs are accessible to persons with limited English proficiency. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. Please see <https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html> (<https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html>) and <http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html> (<http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html>).

HHS recognizes that research projects are often limited in scope for many reasons that are nondiscriminatory, such as the principal investigator's scientific interest, funding limitations, recruitment requirements, and other considerations. Thus, criteria in research protocols that target or exclude certain populations are warranted where nondiscriminatory justifications establish that such criteria are appropriate with respect to the health or safety of the subjects, the scientific study design, or the purpose of the research. For additional guidance regarding how the provisions apply to FDA grant programs, please contact the Scientific/Research Contact that is identified in Section VII under Agency Contacts of this FOA.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to



provide meaningful access to their programs by persons with limited English proficiency. Please see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> (<https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html>) and <https://www.lep.gov> (<https://www.lep.gov>). For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53> (<https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>).

- Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html> (<http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>).
- HHS funded health and education programs must be administered in an environment free of sexual harassment. Please see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html> (<https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>); <https://www2.ed.gov/about/offices/list/ocr/docs/shguide.html>; and <https://www.eeoc.gov/eeoc/publications/upload/fs-sex.pdf> (<https://www.eeoc.gov/eeoc/publications/upload/fs-sex.pdf>). For information about FDA's commitment to supporting a safe and respectful work environment and what FDA's expectations are for institutions and the individuals supported on FDA-funded awards, please see <https://www.fda.gov/science-research/about-science-research-fda/fda-sexual-harassment-policy-concerning-extramural-research> (<https://www.fda.gov/science-research/about-science-research-fda/fda-sexual-harassment-policy-concerning-extramural-research>).
- Recipients of FFA must also administer their programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws. Collectively, these laws prohibit exclusion, adverse treatment, coercion, or other discrimination against persons or entities on the basis of their consciences, religious beliefs, or moral convictions. Please see <https://www.hhs.gov/conscience/conscience-protections/index.html> (<https://www.hhs.gov/conscience/conscience-protections/index.html>) and <https://www.hhs.gov/conscience/religious-freedom/index.html> (<https://www.hhs.gov/conscience/religious-freedom/index.html>).

Please contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at <https://www.hhs.gov/ocr/about-us/contact-us/index.html> (<https://www.hhs.gov/ocr/about-us/contact-us/index.html>) or call 1-800-368-1019 or TDD 1-800-537-7697.

In accordance with the statutory provisions contained in Section 872 of the Duncan Hunter National Defense Authorization Act of Fiscal Year 2009 (Public Law 110-417), FDA awards will be subject to the Federal Awardee Performance and Integrity Information System (FAPIS) requirements. FAPIS requires Federal award making officials to review and consider information about an applicant in the designated integrity and performance system (currently FAPIS) prior to making an award. An applicant, at its option, may review information in the designated integrity and performance systems accessible through FAPIS and comment on any information about itself that a Federal agency previously entered and is currently in FAPIS. The Federal awarding agency will consider any comments by the applicant, in addition to other information in FAPIS, in making a judgement about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 45 CFR Part 75.205 Federal awarding agency review of risk posed by applicants. This provision will apply to all FDA grants and cooperative agreements.

FDA considers the sharing of research resources developed through FDA-sponsored research an important means to enhance the value and further the advancement of research. When research resources have been developed with FDA funds and the associated research findings published, those findings must be made readily available to the scientific community.

Upon acceptance for publication, scientific researchers must submit the author's final manuscript of the peer-reviewed scientific publication resulting from research supported in whole or in part with FDA funds to the NIH National Library of Medicine's (NLM) PubMed Central (PMC). FDA defines the author's final manuscript as the final version accepted for journal publication, which includes all modifications from the publishing peer review process. The PMC archive is the designated repository for these manuscripts for use by the public, health care providers, educators, scientists, and FDA. Please see the FDA Public Access Policy.

Additional terms and conditions regarding FDA regulatory and CBER programmatic requirements may be part of the Notice of Award.

## **Standard Terms and Conditions of Award**

### **Reporting Requirements:**

All FDA grants require both Financial and Performance reporting.

#### **Financial Reporting:**

##### **A. Cash Transaction Reports**

The Federal Financial Report (FFR) has a dedicated section to report Federal cash receipts and disbursements. For recipients, this information must be submitted quarterly directly to the Payment Management System (PMS) using the web-based tool. Quarterly reports are due 30 days following the end of each calendar quarter. The reporting period for this report continues to be based on the calendar quarter. Questions concerning the requirements for this quarterly financial report should be directed to the PMS.

##### **B. Financial Expenditure Reports**

A required Federal Financial Report (FFR) must be submitted annually. All annual FFRs must be submitted electronically using the Federal Financial Report (FFR) system located in the eRA Commons. This includes all initial FFRs being prepared for submission and any revised FFRs being submitted or re-submitted to FDA. Paper expenditure/FFR reports will not be accepted.

Annual FFRs must be submitted for each budget period no later than 90 days after the end of the calendar quarter in which the budget period ended. The reporting period for an annual FFR will be that of the budget period for the particular grant; however, the actual submission date is based on the calendar quarter.

#### **Performance Progress Reporting:**

When multiple years (more than one budget period) are involved, awardees will be required to submit the Research Performance Progress Report (RPPR) annually as required in the Notice of Award. Annual RPPRs must be submitted using the RPPR module in eRA Commons. The annual RPPR must include a detailed budget. Annual RPPRs are due no later than 60 days prior to the start of the next budget period.

Failure to submit timely reports may affect future funding. Additional Financial and Performance Progress reports may be required for this award. Any additional reporting requirements will be listed under Section IV Special Terms and Condition of the Notice of Award.

### **Salary Caps:**

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current Executive Level II of the Federal Executive Pay Scale.

### **Certificates of Confidentiality 42 U.S.C. 241(d)**

Awardees are responsible for complying with all requirements to protect the confidentiality of identifiable, sensitive information that is collected or used in biomedical, behavioral, clinical, or other research (including research on mental health and research on the use and effect of alcohol and other psychoactive drugs) funded wholly or in part by the



Federal Government. See 42 U.S.C. 241(d). All research funded by FDA, in whole or in part, that is within the scope of these requirements is deemed to be issued a Certificate of Confidentiality through these Terms and Conditions. Certificates issued in this manner will not be issued as a separate document.

Awardees are expected to ensure that any investigator or institution not funded by FDA who receives a copy of identifiable, sensitive information protected by these requirements, understand they are also subject to the requirements of 42 U.S.C. 241(d). Awardees are also responsible for ensuring that any subrecipient that receives funds to carry out part of the FDA award involving a copy of identifiable, sensitive information protected by these requirements understand they are also subject to subsection 42 U.S.C. 241(d).

### **Acknowledgment of Federal Support:**

When issuing statements, press releases, publications, requests for proposal, bid solicitations and other documents -- such as tool-kits, resource guides, websites, and presentations (hereafter statements) --describing the projects or programs funded in whole or in part with FDA federal funds, the recipient must clearly state:

1. the percentage and dollar amount of the total costs of the program or project funded with federal money; and,
2. the percentage and dollar amount of the total costs of the project or program funded by non-governmental sources.

When issuing statements resulting from activities supported by FDA financial assistance, the recipient entity must include an acknowledgement of federal assistance using one of the following statements.

If the FDA Grant or Cooperative Agreement is NOT funded with other non-governmental sources:

This [project/publication/program/website, etc.] [is/was] supported by the Food and Drug Administration (FDA) of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award [FAIN] totaling \$XX with 100 percent funded by FDA/HHS. The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by FDA/HHS, or the U.S. Government.

If the FDA Grant or Cooperative Agreement IS partially funded with other nongovernmental sources:

This [project/publication/program/website, etc.] [is/was] supported by the Food and Drug Administration (FDA) of the U.S. Department of Health and Human Services (HHS) as part of a financial assistance award [FAIN] totaling \$XX with XX percentage funded by FDA/HHS and \$XX amount and XX percentage funded by non-government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by FDA/HHS, or the U.S. Government.

The federal award total must reflect total costs (direct and indirect) for all authorized funds (including supplements and carryover) for the total competitive segment up to the time of the public statement. Any amendments by the recipient to the acknowledgement statement must be coordinated with FDA. If the recipient plans to issue a press release concerning the outcome of activities supported by FDA financial assistance, it should notify FDA in advance to allow for coordination.

Additional prior approval requirements pertaining to Acknowledgement of Federal Support, publications, press statements, etc. may be required, and if applicable, will be listed under Section IV Special Terms and Condition of the Notice of Award.

### **Prior Approval:**

All prior approval requests must be submitted using the Prior Approval module in eRA Commons. Any requests involving budgetary issues must include a new proposed budget and a narrative justification of the requested changes. If there are any questions regarding the need or requirement for prior approval for any activity or cost, the grantee is to contact the assigned Grants Management Specialist prior to expenditure of funds.

For grant awards not covered under Expanded Authorities, Carryover and No Cost Extension (NCE) requests will require prior approval. All Carryover and NCE requests should be submitted using the Prior Approval module in eRA

Commons. \*\*\*\*Please review the section on Expanded Authorities to determine if this award is covered/not covered under Expanded Authorities and whether prior approval is needed for carryover and no cost extension requests.\*\*\*\*

The following activities require prior approval from FDA on all awards:

1. Change in Grantee Organization
2. Significant Rebudgeting
3. Change in Scope or Objectives
4. Deviation from Terms and Conditions of Award
5. Change in Key Personnel which includes replacement of the PD/PI or other key personnel as specified on the NoA.
6. Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved PD/PI. No individual may be committed to more than 100% professional time and effort. In the event that an individual's commitment exceeds 100%, the grantee must make adjustments to reduce effort. For FDA-sponsored projects, significant reductions in effort (i.e., in excess of 25% of the originally proposed level of effort) for the PD/PI and key personnel named on named on this Notice of Award must receive written prior approval from FDA.

Additional prior approval requirements may be required for this award, and if applicable, will be listed under Section IV Special Terms and Condition of the Notice of Award.

#### **Audits and Monitoring:**

##### **Audit Requirements:**

1. Recipients of Federal funds are subject to annual audit requirements as specified in 45 CFR 75.501 ([https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=8040c4036b962cc9d75c3638dedce240&ty=HTML&h=L&r=PART&n=pt45.1.75#se45.1.75\\_1501](https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=8040c4036b962cc9d75c3638dedce240&ty=HTML&h=L&r=PART&n=pt45.1.75#se45.1.75_1501)). Grantees should refer to this regulation for the current annual Federal fund expenditure threshold level which requires audit.
2. Foreign recipients are subject to the same audit requirements as for-profit organizations (specified in 45 CFR 75.501(h) through 75.501(k).
3. For-profit and foreign entities can email their audit reports to [AuditResolution@hhs.gov](mailto:AuditResolution@hhs.gov) or mail them to the following address:

U.S. Department of Health and Human Services

Audit Resolution Division, Room 549D

Attention: Robin Aldridge, Director

200 Independence Avenue, SW

Washington, DC 20201

##### **Monitoring:**

Recipients are responsible for managing the day-to-day operations of grant-supported activities using their established controls and policies, as long as they are consistent with Federal, DHHS and FDA requirements. However, to fulfill their role in regard to the stewardship of Federal funds, FDA monitors our grants to identify potential problems and areas where technical assistance might be necessary. This active monitoring is accomplished through review of reports and correspondence from the recipient, audit reports, site visits, and other information available to FDA.

1. Desk review: FDA grants monitoring specialists will periodically reach out to recipients to request information for the completion of desk reviews. Requested information may include:

Policies and procedures

List of grant expenditures

Accounting records

Supporting documents (e.g., invoices, receipts, paystubs, timesheets, contracts, etc.)

Financial statements

Audit reports

Other related documentation

2. Site visits: FDA will conduct site visits when necessary and will notify the recipient with reasonable advance notice of any such visit(s).

3. Foreign entities: All Foreign entities are subject to the same monitoring requirements as domestic entities. Foreign entities covered under immunity Executive Orders will provide supporting documents for monitoring requirements unless such an action is a violation of the Executive Orders. Recipients may discuss with the FDA to come up with an alternate approach to satisfy the award monitoring requirements.

All recipients will make reasonable efforts to resolve issues found, including audit findings. Successful resolutions to issues are important as they are part of the grant performance review. All recipients are responsible for submitting all requested information in an expeditious manner. Failure to submit timely reports and/or respond to inquiries from FDA may affect future funding or enforcement actions, including withholding, or conversion to a reimbursement payment method.

#### **Financial Conflict of Interest (FCOI):**

This award is subject to the Financial Conflict of Interest (FCOI) regulation at 42 CFR Part 50 Subpart F.

#### **Closeout Requirements (when applicable):**

A Final Research Performance Progress Report (FRPPR), Final Federal Financial Report SF-425, Final Invention Statement HHS-568 (if applicable), Tangible Personal Property Report SF-428 (if applicable), and Statement of Disposition of Equipment (if applicable) must be submitted within 90 days after the expiration date of the project period. All closeout documents must be submitted electronically in eRA Commons.

The Final FFR must indicate the exact balance of unobligated funds and may not reflect unliquidated obligations. There must be no discrepancies between the Final FFR expenditure data and FFR cash transaction data in the Payment Management System (PMS). The expended funds reported on the Final FFR must exactly match the disbursements reported on the grantee's report to the Payment Management System and the charge advances in PMS. It is the recipient's responsibility to reconcile reports submitted to PMS and to the FDA.

#### **Program Income:**

The grantee is required to report any Program Income generated during the Project Period of this grant. Except for royalty income generated from patents and inventions, the amount and disposition of Program Income must be identified on lines 10 (l), (m), (n), and (o) of the grantee's Federal Financial Report (FFR) SF-425.

Examples of Program Income include (but are not limited to): fees for services performed during the grant or sub-grant period, proceeds from sale of tangible personal or real property, usage or rental fees, patent or copyright royalties, and proceeds from the sale of products and technology developed under the grant.

Any Program Income generated during the Project Period of this grant by the grantee or sub-grantee will be treated as identified below.

Treatment of Program Income:

**Prohibition on certain telecommunications and video surveillance services or equipment:**

(a) As described in CFR 200.216, recipients and subrecipients are prohibited to obligate or spend grant funds (to include direct and indirect expenditures as well as cost share and program) to:

- (1) Procure or obtain,
- (2) Extend or renew a contract to procure or obtain; or
- (3) Enter into contract (or extend or renew contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Pub. L. 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
  - i. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
  - ii. Telecommunications or video surveillance services provided by such entities or using such equipment.
  - iii. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise, connected to the government of a covered foreign country.

**Other:**

This award is subject to the requirements of 2 CFR Part 25 for institutions to maintain an active registration in the System of Award Management (SAM). Should a consortium/subaward be issued under this award, a requirement for active registration in SAM must be included.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

### 3. Reporting

When multiple years are involved, awardees will be required to submit the [Research Performance Progress Report \(RPPR\)](https://grants.nih.gov/grants/rppr/index.htm) ([//grants.nih.gov/grants/rppr/index.htm](https://grants.nih.gov/grants/rppr/index.htm)) annually and financial statements as required in the Notice of Award.

A final RPPR, invention statement, and the expenditure data portion of the Federal Financial Report are required for closeout of an award, as described in the terms and conditions of award and the [HHS Grants Policy Statement](http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf) (<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>).

The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act), includes a requirement for awardees of Federal grants to report information about first-tier subawards and executive compensation under

Federal assistance awards issued in FY2011 or later. All awardees of applicable FDA grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at [www.fsrs.gov](http://www.fsrs.gov) ([http://grants.nih.gov/grants/guide/url\\_redirect.htm?id=11170](http://grants.nih.gov/grants/guide/url_redirect.htm?id=11170)) on all subawards over \$25,000.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts from all Federal awarding agencies with a cumulative total value greater than \$10,000,000 for any period of time during the period of performance of a Federal award, must report and maintain the currency of information reported in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently FAPIIS). This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available. Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75 Award Term and Conditions for Recipient Integrity and Performance Matters.

## Section VII. Agency Contacts

We encourage inquiries concerning this funding opportunity and welcome the opportunity to answer questions from potential applicants.

### Application Submission Contacts

eRA Service Desk (Questions regarding ASSIST, eRA Commons, application errors and warnings, documenting system problems that threaten submission by the due date, and post submission issues)

Finding Help Online: <http://grants.nih.gov/support/> (<http://grants.nih.gov/support/>) (preferred method of contact)

Telephone: 301-402-7469 or 866-504-9552 (Toll Free)

Grants.gov Customer Support (Questions regarding Grants.gov registration and Workspace)

Contact Center Telephone: 800-518-4726

Email: [support@grants.gov](mailto:support@grants.gov) (<mailto:support@grants.gov>)

### Scientific/Research Contact(s)

David Cho

Center for Biologics Evaluation and Research

Telephone: 301-402-8036

Email: [David.Cho@fda.hhs.gov](mailto:David.Cho@fda.hhs.gov) (<mailto:David.Cho@fda.hhs.gov>)

### Objective Review Contact(s)

Gordana Zuber

Grants Management Specialist

Office of Acquisition Services (OAGS)

Food and Drug Administration

Telephone: 301-347-1747

Email: [Gordana.Zuber@fda.hhs.gov](mailto:Gordana.Zuber@fda.hhs.gov) (<mailto:Gordana.Zuber@fda.hhs.gov>)

## Financial/Grants Management Contact(s)

Gordana Zuber

Grants Management Specialist

Office of Acquisitions & Grants Services

Food and Drug Administration

Telephone: 301-348-1747

Email: [Gordana.Zuber@fda.hhs.gov](mailto:Gordana.Zuber@fda.hhs.gov) (<mailto:Gordana.Zuber@fda.hhs.gov>)

## Section VIII. Other Information

All awards are subject to the terms and conditions, cost principles, and other considerations described in the [HHS Grants Policy Statement](http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf) (<http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>), 45 CFR 75 and Notice of Award.

## Authority and Regulations

Awards are made under the authorization of Section 301 of the Public Health Service Act as amended (42 USC 241) and under Federal Regulations 42 CFR Part 52 and 45 CFR Part 75.

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[Weekly TOC for this Announcement \(/grants/guide/WeeklyIndex.cfm?03-12-21\)](/grants/guide/WeeklyIndex.cfm?03-12-21)

[NIH Funding Opportunities and Notices \(/grants/guide/index.html\)](/grants/guide/index.html)

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[\(http://www.hhs.gov/\)](http://www.hhs.gov/) Department of Health  
and Human Services (HHS)



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**Note:** For help accessing PDF, RTF, MS Word, Excel, PowerPoint, Audio or Video files, see [Help Downloading Files \(/grants/edocs.htm\)](/grants/edocs.htm).