REQUEST FOR APPLICATIONS – STATE FUNDS

The State of Nebraska, Department of Health and Human Services, Division of Public Health, Office of Community Health ("DHHS"), is issuing this Request for Applications ("RFA") for the purposes of entering into grant agreement(s) ("grant" or "grants") and awarding state funds to an eligible and qualified entity to provide stem cell research. A more detailed description may be found in Project Description, Section 2.

<table>
<thead>
<tr>
<th>RFA #</th>
<th>RELEASE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>4693</td>
<td>January 27, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>APPLICATION DUE DATE</th>
<th>POINT OF CONTACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>MARCH 10, 2022</td>
<td>Christy Wheeler</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INITIAL BUDGET PERIOD</th>
<th>TOTAL FUNDING AVAILABLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>JULY 1, 2022 - JUNE 30, 2023</td>
<td>approximately $436,500.00</td>
</tr>
</tbody>
</table>

Grantees receiving grants will receive full payment upon receipt of a signed agreement. More detail about the terms of this funding is set forth in RFA Overview, Section 1.4.

A copy of this RFA may be found online at DHHS’ website at www.dhhs.ne.gov. Until final Grants are signed, all other information pertinent to this RFA, including but not limited to any amendments or addenda, will be posted on the DHHS website.
# Table of Contents

1. **RFA OVERVIEW.** .................................................................................................................................................. 4
   1.1. Funding Information ............................................................................................................................................. 4
   1.2. Budget Period .................................................................................................................................................... 4
   1.3. Eligible Entities .................................................................................................................................................. 4
   1.4. Award of Funding ............................................................................................................................................. 4

2. **PROJECT DESCRIPTION.** ................................................................................................................................. 6
   2.1. Background and Purpose ....................................................................................................................................... 6
   2.2. Reporting Requirements ....................................................................................................................................... 6

3. **RFA PROCEDURE.** ............................................................................................................................................... 7
   3.1. RFA Point of Contact (“POC”) ........................................................................................................................ 7
   3.2. Schedule of Events ............................................................................................................................................... 8
   3.3. Written Questions and Answers ....................................................................................................................... 8
   3.4. Submission of Applications ............................................................................................................................. 8
   3.5. Evaluation Committee ......................................................................................................................................... 9
   3.6. Evaluation of Applications ................................................................................................................................ 9
   3.7. Late Applications ............................................................................................................................................... 10
   3.8. Corrections .......................................................................................................................................................... 10
   3.9. Grievance and Protest Procedures .................................................................................................................. 10
   3.10. DHHS Reservations of Authority During Application and Evaluation Process ........................................... 10

4. **APPLICATION INSTRUCTIONS.** ..................................................................................................................... 11
   4.1. Application Contents ........................................................................................................................................ 11
   4.2. Application Face Page ...................................................................................................................................... 11
   4.3. Table of Contents ............................................................................................................................................ 11
   4.4. Abstract and Specific Aims of the Project ........................................................................................................ 11
   4.5. Description of Key Personnel ........................................................................................................................ 11
   4.6. Biographical Sketch: Principal Investigator and Others ................................................................................ 12
   4.7. Previous and Current Related Projects Funded ............................................................................................. 12
   4.8. Research Plan .................................................................................................................................................. 12
   4.9. References ....................................................................................................................................................... 13
   4.10. Detailed Line-Item Budget for Proposed Project Period ................................................................................ 13
   4.11. Budget Justification ........................................................................................................................................ 15
1. RFA OVERVIEW

1.1. Funding Information

The available funds for Grant(s) under this RFA is anticipated to be $436,500. A total award of this amount of funds is not guaranteed, but is subject to the Applications received, to actual money appropriated to DHHS, and to DHHS’ discretion. DHHS may establish a cap on total amount of funds that any one Applicant may request. Any cap shall be set forth in the RFA Overview, Section 1.4, below. The total funds may be split among multiple Grantees in the discretion of DHHS.

1.2. Budget Period

The Budget Period is the time during which a successful Applicant may incur costs and expend awarded funds to carry out the work authorized under this RFA and the resulting Grant. The initial Budget Period for this RFA is from July 1, 2022 to June 30, 2023. This period may be extended by DHHS.

Full payment of the grant award will be made upon receipt of a signed agreement between both parties.

1.3. Eligible Entities

Grants will be awarded to Nebraska institutions or researchers as defined below:

Sponsoring Institution: Preference will be given to funding proposals submitted by Nebraska institutions that have an ongoing, large-scale research program that is conducive to the completion of a complex project in stem cell research that does not use human embryonic stem cells.

Principal Investigator: The leader of a project is the “principal investigator”. Researchers with a doctoral degree in science (PhD or equivalent), or a professional degree in a medical field (MD, DMD, DVM, or similar), are eligible to submit a proposal to the Stem Cell Research Advisory Committee as a Principal Investigator (PI). The PI must be employed at an institution in Nebraska that meets the criteria for “Sponsoring Institution” (see above). Researchers that are classified as post-doctorates or fellows are not eligible to apply.

1.4. Award of Funding

DHHS will evaluate Applications in the manner set forth herein. An Intent to Award will be posted on the DHHS Website with selected Applicants. Funds will be awarded through a written agreement, termed a Grant, which will incorporate this RFA by reference. No promise for funds is binding on DHHS, and no funds will be paid to any Applicant, until a Grant has been executed by both the Applicant and DHHS.

The amount of money available for new grants is approximately $436,500. The maximum per grant award is $110,000 for twelve months.

Per Neb. Rev. Stat. § 71-8805, each Sponsoring Institution or researcher must provide a dollar-for-dollar match. The matching funds must be obtained from sources other than funds provided by the Stem Cell Research Act (e.g., principal investigator’s salary provided by the sponsoring institution, other research grants from federal sources, stipends for students and post-doctorates).

1.4.1. Prior to Submission:

1.4.1.1. Each proposal must be vetted and approved by a local committee appointed by the Sponsoring Institution, or its equivalent, before it is accepted by the Committee for full review. The composition of the committee is at the discretion of the institution; and

1.4.1.2. Approval of the application by the Sponsoring Institution should be based upon the degree to which the proposal appears to meet the selection criteria outlined within this RFA.
1.4.2 Submission

1.4.2.1. Proposals that have been vetted and approved by local committee, or its equivalent, must be submitted to the Nebraska Department of Health and Human Services.

1.4.2.2. Each Sponsoring Institution may submit a maximum of five (5) proposals in a given funding cycle.

1.4.2.3. No Principal Investigator may hold more than a single grant at a given time.

1.4.3 Application Format

Although there is no page limit for the total application, some sections have page limitations. Grant applications that exceed the specified page limits will not be reviewed.

1.4.3.1. Face Page: one page maximum
1.4.3.2. Table of Contents: one page maximum
1.4.3.3. Abstract and Specific Aims of the Project: maximum of 30 lines of text
1.4.3.4. Description of Key Personnel: two page maximum
1.4.3.5. Biographical Sketch: four page maximum per researcher (may use NIH 398 form)
1.4.3.6. Previous and Current Related Projects Funded
1.4.3.7. Research Plan Description: five page maximum
1.4.3.8. References: the citations should be single-spaced with no page limit
1.4.3.9. Budget and budget justification: the applicant may request a one year grant for up to $110,000

Except for 1.4.3.1 Face Page, all documents should be Arial 12 point, with 1” margins.

Professional salaries for the Principal Investigator and doctoral level co-investigators as well as clerical or administrative assistance are not allowed (but may be included in the matching funds). Allowable budget items include non-professional salaries (e.g., laboratory assistants, post-doctorates, and graduate assistants), equipment, travel, and other expenses as consultant costs. There is a two page maximum on the budget justification.

1.4.4 Selection Criteria

1.4.4.1. Significance: Does this study address an important problem? If the aims of the application are achieved, how will scientific knowledge be advanced?

1.4.4.2. Approach: Are the conceptual framework, design, methods, and analyses adequately developed, well-integrated, and appropriate to the aims of the project? Does the applicant acknowledge potential problem areas and consider alternatives?

1.4.4.3. Innovation: Does the project employ novel concepts, approaches, or methods? Are the aims original and innovative? Does the project challenge existing paradigms or develop new methodologies or technologies?

1.4.4.4. Principal Investigator: Is the PI appropriately trained and well suited to carry out this work? Is the work proposal appropriate to the experience level of the PI and other researchers (if any)?

1.4.4.5. Environment: Does the scientific environment in which the work will be done contribute to the probability of success? Do the proposed experiments take advantage of unique features of the scientific environment or employ useful collaborative arrangements?
2. PROJECT DESCRIPTION

DHHS, Division of Public Health is issuing this RFA for the purpose of stem cell research by Nebraska research institutions.

2.1. Background and Purpose

In the 2008 legislative session, the Stem Cell Research Act (Neb. Rev. Stat. §§ 71-8801 et seq., “The Act”) was passed. The Act established the Stem Cell Research Advisory Committee (“The Committee”). The Committee is responsible for developing a grant process and making grants to Nebraska institutions or researchers to conduct stem cell research that does not use human embryonic stem cells. The Act defines the types of research projects that are acceptable. The Act states that:

No state facilities, no state funds, fees, or charges, and no investment income on state funds shall be used to destroy human embryos for the purpose of research. In no case shall state facilities, state funds, fees, or charges, or investment income on state funds be used to create a human embryo by somatic cell nuclear transfer for any purpose.

For purposes of the Act, human embryo means the developing human organism from the time of fertilization until the end of the eighth week of gestation and includes an embryo or developing human organism created by somatic cell nuclear transfer; somatic cell nuclear transfer means a technique in which the nucleus of an oocyte is replaced with the nucleus of a somatic cell.

2.2. Reporting Requirements

3. RFA PROCEDURE

This RFA seeks Applications to complete activities described in Section 2, above. All Applications must conform to all instructions, conditions, and requirements included in this RFA. Applicants should carefully examine this RFA, as well as the requirements of the state funds involved. Applications that DHHS determines do not conform to the requirements of this RFA, or Applications from ineligible entities, may be considered non-responsive and rejected without scoring.

3.1. RFA Point of Contact (“POC”)

Christy Wheeler  
301 Centennial Mall S  
Lincoln, NE 68509  
402-471-6414  
dhhs.rafresponses@nebraska.gov

From the date the RFA is issued until the Intent to Award is issued, communication from the Applicant or prospective Applicant is limited to the POC listed above (but see exceptions, below). After the Intent to Award is issued, the Applicant may communicate with individuals DHHS has designated as responsible for negotiating the Grant on behalf of DHHS. No member of the state government, employee of the state, or member of the Evaluation Committee is empowered to make binding statements regarding this RFA. The POC will issue any clarifications or opinions regarding this RFA in writing. Only the POC has the authority to modify the RFA, answer questions, or render opinions on behalf of DHHS. Applicants shall not have any communication with, or attempt to communicate or influence any Evaluator.

The following exceptions to these restrictions are permitted:

1. The email submission of the Application to the designated email address designated in Submission of Applications, Section 3.4;
2. Contact made pursuant to pre-existing contracts, grants, or obligations;
3. Contact required by the schedule of events or an event scheduled later by the RFA POC; and
4. Contact required for negotiation and execution of the final grant.

DHHS reserves the right to reject an Applicant’s application, withdraw an Intent to Award, or terminate a Grant if DHHS determines there has been a violation of these procedures.
3.2. Schedule of Events

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>DATE/TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Release RFA</td>
<td>January 27, 2022</td>
</tr>
<tr>
<td>2. Last day to submit written questions</td>
<td>February 11, 2022</td>
</tr>
<tr>
<td>3. State responds to written questions through RFA “Addendum” and/or “Amendment” to be posted to the Internet at: <a href="http://dhhs.ne.gov/Pages/Grants-and-Contract-Opportunities.aspx">http://dhhs.ne.gov/Pages/Grants-and-Contract-Opportunities.aspx</a></td>
<td>February 18, 2022</td>
</tr>
<tr>
<td>4. Application Review Period Begins (Application due date)</td>
<td>March 10, 2022 4:00 pm CST</td>
</tr>
<tr>
<td>5. Evaluation Period</td>
<td>Begins March 11, 2022</td>
</tr>
<tr>
<td>6. Post “Intent to Award” to Internet at: <a href="http://dhhs.ne.gov/Pages/Grants-and-Contract-Opportunities.aspx">http://dhhs.ne.gov/Pages/Grants-and-Contract-Opportunities.aspx</a></td>
<td>June 28, 2022</td>
</tr>
<tr>
<td>7. Budget Period Start*</td>
<td>July 1, 2022</td>
</tr>
</tbody>
</table>

*The Budget Period start may occur before a Grant is finalized, agreed to, and executed by the parties. Because this is just the period during which costs may be incurred, it does not reflect that any agreement between DHHS and any successful Applicant has gone into effect or is binding in any way. No binding agreement has been made between DHHS and any Applicant until a Grant is fully executed by both parties.

3.3. Written Questions and Answers

Questions regarding information needed for an Application, as well as the meaning or interpretation of any RFA provision, must be submitted in writing to POC via email and clearly marked “RFA Number 4693; Questions.” The POC is not obligated to respond to questions that are received late, as set forth in the Schedule of Events.

Applicants should present, as questions, any assumptions upon which the Application is or might be developed. Applications will be evaluated without consideration of any known or unknown assumptions of an Applicant. The Grant will not incorporate any known or unknown assumptions of an Applicant.

Questions must be sent via e-mail to DHHS.RFAResponses@nebraska.gov. DHHS recommends that Applicants submit questions using the following format:

<table>
<thead>
<tr>
<th>RFA Section Reference</th>
<th>RFA Page Number</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Written answers will be posted at the DHHS Website per the Schedule of Events. Written answers will become part of this RFA.

3.4. Submission of Applications

Applicants must submit a complete Application including all the parts required herein. Only one delivery option is required.

1. Electronically via email to DHHS.RFAResponses@nebraska.gov. The subject of the email shall indicate “RFA # (with the appropriate number filled in): Response of [Name of Organization].” The email shall include the Application as a single Portable Document Format (PDF). Failure to provide the Application in the correct format may result in DHHS being unable to read or open the Application.
and thus rejecting it without Evaluation. The email shall request a read receipt. A read receipt will be supplied to the Applicants upon receipt of the email by DHHS’ Central Procurement Services. Central Procurement Services shall not forward the Applications to the program until the beginning of the Application Review Period.

2. Submission directly to the POC via United States Postal Service mail. The Application shall be sent to the POC’s address listed above in Section 3.1. The Application itself shall remain sealed and shall not be opened until the beginning of the Application Review Period.

3. Hand delivered responses or responses delivered by FedEx or UPS should be delivered to:

   ATTN: Christy Wheeler
   DHHS - 3rd Floor Reception Desk
   301 Centennial Mall South
   Lincoln, NE 68509

   The Application itself shall remain sealed and shall not be opened until the beginning of the Application Review Period.

Applicants must use the forms supplied by DHHS in this RFA unless specifically otherwise indicated herein. All Applications must be received by the beginning of the Application Review Period, as stated in the Schedule of Events, Section 3.2.

3.5. Evaluation Committee

The research scientists on the Nebraska Stem Cell Research Advisory Committee evaluates the Applications on behalf of DHHS.

Any contact, attempted contact, or attempt to influence an evaluator that is involved with this RFA may result in the rejection of this Application and further administrative actions.

3.6. Evaluation of Applications

On behalf of DHHS, the research scientists on the Nebraska Stem Cell Research Advisory Committee will evaluate all Applications to determine whether the Applicant is an eligible entity; whether the Application meets the minimum requirements of this RFA, and whether the Applicant poses risk of noncompliance with state statutes, regulations, and the terms and conditions of the Grant, such that DHHS should not award funding.

All complete Applications that are responsive to the RFA will be evaluated. The research scientists reserve the right to evaluate Applicants and award funds in a manner utilizing criteria selected at the Nebraska Stem Cell Research Advisory Committee’s discretion and in the best interest of meeting the objectives of the funding involved. The Evaluation will be conducted by the following method:

Applications are evaluated by the research scientists on the Nebraska Stem Cell Research Advisory Committee using the current NIH scoring system from 1 to 9 where the lowest scores indicate the highest level of merit (https://grants.nih.gov/grants/policy/review/rev_prep/scoring.htm). The research scientists may seek outside expertise and assistance in providing the most knowledgeable and fair evaluations of the grant proposals. The research scientists will determine multiple awards determined by their scoring. Each Applicant that submits an Application will receive strengths and weaknesses of their proposal from the research scientists.

When the evaluation process is complete, the recommendations of the Nebraska Stem Cell Research Advisory Committee will be forwarded to the Division of Public Health’s Chief Medical Officer for final approval.
3.7. Late Applications

Applications received after the time and date of the Application opening will be considered late Applications. Late Applications will be rejected. All Applications must be electronically or physically received by the date and time of the Application Opening. The State is not responsible for Applications that are late or lost regardless of cause or fault. It is the Applicant’s responsibility to ensure Applications are received timely.

3.8. Corrections

An Applicant may correct a mistake in an Application prior to the time of opening by giving written notice to the POC of intent to withdraw the Application for modification, or to withdraw the Application completely. Changes in an Application after the Evaluation Period has begun are acceptable only if the change is made to correct a minor error. Whether an error is minor shall be determined by DHHS.

3.9. Grievance and Protest Procedures

All grievances must follow the DHHS Subaward and Grant Grievance/Protests Procedures, available on the DHHS website. Grievances must be filed timely.

3.10. DHHS Reservations of Authority During Application and Evaluation Process

After Evaluation of the Applications, or at any point in the RFA process, DHHS may take one or more of the following actions:

1. Amend the RFA;
2. Extend the time of or establish a new Application opening time (i.e., allowing additional time to submit Applications);
3. Waive deviations or errors in the RFA process and in Applications that are not material, do not compromise the RFA process or an Application, and do not improve an Applicant’s position;
4. Accept or reject a portion of or all of an Application;
5. Accept or reject all Applications;
6. Withdraw the RFA; or
7. Elect to reissue the RFA.

DHHS reserves the right to adjust the Applicant’s budget with successful Applicants after the Intent to Award is issued. DHHS also reserves the right to adjust the Work Plan with Applicant to meet the requirements of the grant, law, or to meet DHHS programmatic needs. DHHS also reserve the right to apply additional conditions based on the successful Application and the result of a pre-award risk assessment. If a scoring method is used to rank applications to determine funding amounts, all adjustments shall have no bearing on rank.

If DHHS rejects all Applications, it may enter either reissue an RFA with the same or different specifications and terms, or it may negotiate a single or multiple Grants with individual Applicants or non-Applicants.
4. APPLICATION INSTRUCTIONS

4.1. Application Contents

A complete, responsive Application must contain the following completed documents:

4.1.1. Form 1 – Application Form and Cover Sheet;
4.1.2. Face Page;
4.1.3. Table of Contents;
4.1.4. Abstract and Specific Aims of the Project;
4.1.5. Description of Key Personnel;
4.1.6. Biographical Sketch: Principal Investigator and Others;
4.1.7. Previous and Current Related Projects Funded;
4.1.8. Research Plan Description;
4.1.9. References;
4.1.10. Detailed Line-Item Budget for Proposed Project Period; and
4.1.11. Budget Justification

Applications that do not contain all of the required sections will be rejected. An editable Microsoft Word-formatted document of the Forms will be posted on the DHHS Website, which Applicants may fill in and submit. A complete application must be submitted as one pdf document.

4.2. Face Page

Each Application must include a completed Face Page which includes the research institution, principal investigator, amount of grant request, and signature of both the Principal Investigator and authorized institutional representative.

4.3. Table of Contents

A Table of Contents is required of all Applications and must include items noted in Section 4.1.

4.4. Abstract and Specific Aims of the Project

List the Application's specific aims, and make a clear statement of the project's relevancy to stem cell research. Describe concisely the research design and methods for achieving these goals. Avoid summaries of past accomplishments and the use of the first person. This abstract is meant to serve as a succinct and accurate description of the proposed work when separated from the application. There is a maximum of 30 lines of text. Applicant must complete an Abstract form which becomes part of the Application.

4.5. Description of Key Personnel

Key personnel are defined as, and should be limited to, individuals who contribute in a substantive way to the scientific development or execution of the project, whether or not salaries are requested. The PI must be an independent investigator with an appropriate faculty appointment, adequately assigned laboratory space, and the ability to apply for federal grants as a PI. If there are Co-Principal Investigators, only one may be designated as the Principal Investigator on the Application Face Page. This individual is the point of contact for the Application.

Junior applicants may apply if they provide a statement or letter from their Chairperson specifically confirming their faculty level appointment, the amount of independent research space available to them and that they are considered eligible to apply for federal grants as a PI.

Consultants should be included only when their level of involvement meets the definition. Individuals providing technical services are not considered key personnel. For each individual, provide: name, organization, and role on the project. Under role on the project, indicate how the individual will function with regard to the proposed project, for example, principal investigator, graduate research assistance, etc. (two page maximum.)
Applicant must complete a Description of Key Personnel form which becomes part of the application.

4.6. Biographical Sketch: Principal Investigator and Others

Applicant must complete a Biographical Sketch form for key personnel, consultants, and collaborators which becomes part of the Application. List the principal investigator first.

Research and professional experience: Concluding with present position, list, in chronological order, previous employment, experience, and honors. List, in chronological order, the titles, all authors, and complete references of recent peer reviewed publications and to representative earlier publications pertinent to this application only. This section should not exceed three additional pages (applicants may use the NIH 398 form). There is a maximum of four pages for each individual, even if the NIH 398 form is used.

4.7. Previous and Current Related Projects Funded

Please list all active and pending extramural sources of funding, as well as previously funded projects from the past three years for the Principal Investigator and Key Personnel. For each project, list: (1) the project title; (2) budget amount and PI percent effort; (3) source and period of funding; and (4) project abstract including Specific Aims. Identify any potential overlap with the proposed research. Applicant must complete a Previous and Current Related Projects Funded form which becomes part of the Application.

4.8. Research Plan

The Research Plan should include sufficient information to facilitate an effective review. Be specific and informative and avoid redundancies. Reviewers often consider brevity and clarity in the presentation to be indicative of a principal investigator’s focused approach to a research objective and ability to achieve the specific aims of the project.

Organize Sections A-D of the Research Plan to answer these questions: (A) What do you intend to do? (B) Why is the work important? (C) What has already been done? (D) How are you going to do the work? Do not exceed five pages, including all tables and graphs. A five page absolute maximum will be strictly enforced. Applications that exceed this limit, or that exceed the type size limitations, will be returned without review. You may use any page distribution within this overall limitation adhering to the following format:

A. Specific Aims. State the broad, long-term objectives and describe concisely and realistically what the specific research described in this application is intended to accomplish and any hypotheses to be tested.

B. Background and Significance. Briefly sketch the background to the present proposal, critically evaluate existing knowledge, and specifically identify the gaps in which the project is intended to fill. State concisely the importance of the research described in this application by relating the specific aims to the broad, long-term objectives.

C. Preliminary Studies. Provide an account of the principal investigator’s preliminary studies pertinent to the application and/or any other information that will help to establish the experience and competence of the investigator to pursue the proposed project.

D. Research Design and Methods. Outline the research design and the procedures to be used to accomplish the specific aims of the project. Include the means by which the data will be collected, analyzed, and interpreted. Describe any new methodology and its advantage over existing methodologies. Discuss the potential difficulties and limitations of the proposed procedures and alternative approaches to achieve the aims. Provide a tentative sequence or timetable for the investigation. Point out any procedures, situations, or materials that may be hazardous to personnel and the precautions to be exercised.
**Gender and Minority Inclusion:** According to the NIH Policy and Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research (2001), applications for grants that involve human subjects are required to include minorities and both genders in study populations so that research findings can be of benefit to all persons at risk of the disease, disorder, or condition under study. Special emphasis should be placed on the need for inclusion of minorities and women in studies of diseases, disorders, and conditions in which disproportionately affect them.

**IRB, IACUC, and IBC Approval:** If this proposal employs the use of human subjects or materials (IRB), use of animals (IACUC), or use of recombinant DNA (IBC), the necessary approval(s) by the appropriate IRB, IACUC, or IBC at the institutions must be obtained prior to the actual expenditure of any awarded funds. IRB, IACUC and IBC applications should be submitted through campus approval channels in a timely way to allow “just-in-time” processing and funding of possible awards. No research employing human subjects, animal subjects, or recombinant DNA may be initiated prior to full approval of related protocol applications.

Although no specific page limitation applies to the following sections (E-G) of the application, it is important to be succinct.

E. **Consultants/Collaborators.** Include biographical sketch pages for each consultant and collaborator and place them with those of the other participants on the project.

F. **Contractual Arrangements.** Provide a detailed explanation of the programmatic, fiscal, and administrative arrangements made between the applicant organization and the collaborating organizations and individuals. Attach confirming letters countersigned by an authorized official of the collaborating institutions and principal investigator or copies of written agreements.

G. **Literature Cited.** Do not scatter literature citations throughout the text. List them on a separate page at the end of the Research Plan. Each literature citation must include the title of the article, the names of all authors, the name of the book or journal, volume number, page numbers, and year of publication. Make every attempt to be judicious in compiling a relevant and current list of literature citations.

The Research Plan should describe specific aims, background and significance, preliminary studies, and research and design methods – five page maximum.

Applicant must complete a Research Plan form which becomes part of the Application.

4.9. **References**

References should be single-spaced with no page limit. Applicant must complete a References form which becomes part of the Application.

4.10. **Detailed Line-Item Budget for Proposed Project Period**

Applicant must include a Detailed Line-Item Budget for the proposed project period. List only the direct costs requested in this Application. Direct costs are those that can be identified specifically within a particular cost objective. Indirect costs or overhead costs are unallowable.

The Line-Item Budget must be completed for funding proposed for Year 2022.

Applications which fail to present itemized budgets and justification will be judged incomplete and will not be considered for funding.

**Personnel:** Personnel costs should include salaries and wages paid for services rendered to the research project. Personnel costs should be budgeted in relation to the amount of time and effort expected to be devoted to the project by each individual involved. Salary support for the Principal Investigator or other faculty will not be permitted on these grants. Personnel costs should be itemized by position title.
Percent of Effort on Project. Indicate the percent of each appointment at the applicant organization to be devoted to this project.

Institutional Base Salary. Institutional base salary is defined as the annual compensation that the applicant organization pays for the individual’s appointment, whether that individual’s time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties to the applicant organization. Base salary may not be increased as a result of replacing institutional salary funds with grant funds.

Fringe Benefits. Itemize fringe benefits (i.e., health insurance, retirement, FICA, tuition assistance) for each position being funded with this grant.

Dollar Amount Requested

Salary Requested. Enter the dollar amounts for each position for which funds are requested. The maximum salary that may be requested is calculated by multiplying the individual’s base salary, defined above, by the percent of effort on this project. Professional salaries for the Principal Investigator and doctoral level co-investigators as well as clerical or administrative assistance are NOT allowed. The applicant must designate the percent of FTE for the Principal Investigator and indicate any matching funds.

Fringe Benefits. Fringe benefits may be requested in accordance with the existing rate established by the applicant organization. The applicant must provide information of the benefits for each position being funded (i.e., health insurance, retirement, FICA, tuition assistance).

Totals. Calculate the totals for each position and enter the subtotal in each column where indicated.

Supplies. Supplies, both laboratory and office, that are expected to be consumed in the conduct of the project should be budgeted. Itemize supplies in separate categories such as glassware, chemicals, radioisotopes, office supplies, etc.

Travel. Travel expenses are allowable only when incurred for the purposes of collecting, receiving, or delivering samples. State the purpose of any travel, giving the number of trips involved, the destinations, and the number of individuals for whom funds are requested. Travel expenses to attend national, international, professional research, or educational conferences are not allowed.

Other

Consultant Costs. Whether or not costs are involved, provide the names and organizational affiliations of any consultants, including physicians in connection with patient care, who have agreed to serve in that capacity. Consultants are usually individuals organizationally separate from the Principal Investigator. Consultant fees are not allowed for full-time faculty or researchers in other departments of the same institution of the Principal Investigator. Briefly describe the services to be performed, including the number of days of consultation, the expected rate of compensation, travel, per diem, and other related costs.

Equipment. Office equipment, such as a copier or plotter, will not be allowed. However, if applicant is uncertain their equipment needs are allowable, they can submit an inquiry for clarification.

Other Expenses. Other expenses include postage, data processing, and other types of operating expenses not classified elsewhere in these instructions. These costs will only be allowable to the extent that they are incurred for the direct benefit of an approved grant (e.g., postage, copy and printing costs for forms, correspondence, and reports required or generated by an approved grant). The cost of publishing the findings in a scientific journal will be allowed up to $2,500. Each item in this cost category must be identified with its associated costs. In general, telephone costs are not allowable except long distance calls required by the nature of the project. Indirect or overhead costs, such as rent and utilities, are not allowable.

Matching Funds. A dollar-for dollar match must be provided by the institutions or researchers from sources other than state funds provided through this grant. Federal funds can be considered as the match.
If the matching funds are being supported by the institution and cannot be shown in the specific line item categories, applicants must list the match under the total column and detail the sources of the match in the budget narrative. Institutions must list the individual federal and non-federal sources that are being used to support the match. Of course, if the matching funds are included as line items, they must also be explained in the budget narrative.

Applicant must complete a Detailed Line-Item Budget which becomes part of the Application.

4.11. Budget Justification

Applicants must explain the budget in detail noting how estimated expenditures support the project aims. Describe the components of each line item and how the final figure was calculated. For example, explain the specific functions of the personnel and consultants. Describe what personnel benefits are being requested through this grant. Also, justify the purchase of major equipment, usual supplies, and travel. The amounts in the budget justification total must equal the amounts in the line-item budget. There is a two page limit on the budget justification.

Applicant must complete a Budget Justification form which becomes part of the Application.

If an Applicant has or has prepared a cost allocation plan for this grant, it may submit it along with the Application.

DHHS reserves the right to amend these terms at any time during the RFA; to negotiate the terms with selected Applicants; to amend or change these terms for any subsequent Grant signed and executed by the parties; or any combination of the above. Terms required by federal or state law will not be negotiated, and if an Applicant cannot agree to these terms, DHHS may withdraw or modify the Intent to Award and take any of the actions set forth herein.

4.12. Budget Changes

The final Grant may contain terms to allow a Grantee to modify a budget, with or without approval from DHHS. Applicants should not, however, rely on this when submitting budgets.

4.13. Direct Costs

Under this Grant, DHHS shall only pay for actual and allowable costs (as defined in this section and the authorities cited herein).

To be allowable, all costs must be:
- Necessary for the performance of the Grant activities; and
- Consistent with all other law, regulation, policy, or other requirements applicable to the state funds involved.


Although indirect costs are not allowable for a stem cell Application, they may be included as part of the matching fund requirement.

Cost Allocation plans may set forth a direct allocation of all costs under a grant, or may allocate only a portion of those costs along with an indirect rate. Grantees may not, however, charge items as direct costs and also as indirect costs.
5. **Addendum**

5.1. As referenced in the Research Plan, Section 4.8.D: IRB, IACUC, and IBC Approval may be required. If this proposal employs the use of human subjects or materials (IRB), use of animals (IACUC), or use of recombinant DNA (IBC), the necessary approval(s) by the appropriate IRB, IACUC, or IBC at the institutions must be obtained prior to the actual expenditure of any awarded funds. IRB, IACUC and IBC applications should be submitted through campus approval channels in a timely way to allow "just-in-time" processing and funding of possible awards. No research employing human subjects, animal subjects, or recombinant DNA may be initiated prior to full approval of related protocol applications. Applicant must attach the appropriate documentation as requested on the Face Page.
6. GLOSSARY OF TERMS

All terms shall have the meaning as set forth in 2 CFR §§ 200 et seq. or 45 CFR §§ 75 et seq. unless otherwise specifically set forth herein.

Agent/Representative: A person authorized to act on behalf of another.

Amend: To alter or change by adding, subtracting, or substituting.

Amendment: A written correction or alteration to a document.

Applicant: Non-Federal Entity that has applied for funding under this RFA.

Application: The written proposal submitted by the Applicant applying for funding under this RFA, which is composed of Forms 1 through 11.

Application Due Date: The date the RFA must be submitted to DHHS, and if not submitted by that time, rejected.

DHHS Website: www.dhhs.ne.gov

Evaluation: The process of examining an Applicant after opening to determine the Applicant's responsibility, responsiveness to requirements, and to ascertain other characteristics of the Application that relate to determination of the successful award.

Evaluation Committee: Committee(s) appointed by DHHS that advises and assists DHHS in the evaluation of Applications.

Evaluator: An individual on the Evaluation Committee who advises and assists in the evaluation of Applications.

Grant: The Agreement executed, pursuant to the terms of the RFA, between DHHS and the Applicant.

Grantee: The entity that has executed a Grant with DHHS.

HHS Grants Guidance ("HHSGG"): The regulations codified at 45 CFR §§ 75 et seq., a re-codified version of the UGG, which provide the general administrative requirements for grant funding flowing down from the federal Department of Health and Human Services. See also Uniform Grant Guidance.

Intent to Award: A document noting the results of the RFA evaluation process, and identified any identified Applicant(s) with whom DHHS intends to award federal funds, but not a binding agreement with any promise to award.

Mandatory/Must: Required, compulsory, or obligatory.

May: Discretionary, permitted; used to express possibility.

Must: See Mandatory/Must and Shall/Will/Must.

Nebraska Stem Cell Research Advisory Committee: Committee responsible for developing a grant process and making grants to Nebraska institutions or researchers to conduct stem cell research that does not use human embryonic stem cells.

Non-Responsive: When an Application does not meet the minimum requirements of this RFA.

Point of Contact ("POC"): The person designated to receive communications and to communicate.
Request for Applications (“RFA”): Written solicitation of competitive applications for federal grant funding.

Shall/Will/Must: An order/command; mandatory.

Should: Expected; suggested, but not necessarily mandatory.

Uniform Grants Guidance (“UGG”): The regulations codified at 2 CFR §§ 200 et seq., which provide the general administrative requirements for grant funding flowing down from the federal government. See also HHS Grants Guidance.

Will: See Shall/Will/Must.
FORM 1 – APPLICATION COVER SHEET

Instructions: This form must be signed and returned, along with the application materials, before the Application Due Date, to the POC or designated email address, as applicable.

<table>
<thead>
<tr>
<th>RFA #</th>
<th>RELEASE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>4693</td>
<td>January 27, 2022</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>APPLICATION DUE DATE</th>
<th>POINT OF CONTACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>MARCH 10, 2022</td>
<td>Christy Wheeler</td>
</tr>
</tbody>
</table>

CERTIFICATION AND GUARANTEE OF COMPLIANCE

By signing this Application Cover Sheet, the Applicant guarantees compliance with the provisions stated in this Request for Application and certifies that all information contained in this Application is accurate. This Application is submitted pursuant to the terms of the RFA, and if the Applicant is awarded funding, it will be incorporated into the Grant between the parties. I understand that if anything in this Application conflicts with the RFA or with the subsequent Grant, the Grant and RFA shall govern as set forth in the Grant.

ORGANIZATION: ________________________________

COMPLETE ADDRESS: ____________________________________________________________

CONGRESSIONAL DISTRICT: __________________

TELEPHONE NUMBER: ______________________ EMAIL ADDRESS: _______________________

_____ I CERTIFY THAT THIS ORGANIZATION IS AN “ELIGIBLE ORGANIZATION” AS DEFINED BY THIS RFA.

_____ I CERTIFY THAT THIS ORGANIZATION IS NOT PRESENTLY DEBARRED OR SUSPENDED.

SIGNATURE: ________________________________________________________________

TYPED NAME & TITLE OF SIGNER: _______________________________________________