Guide for assembling Version 2 and 2.a PHS SF424 (R&R) Application*

*All page references included in this guide are from Version 2 and 2.a of the SF424 – Grants.gov Application Guide; Part I: Instructions for Preparing and Submitting an Application and Part II: Human Subjects. It can be downloaded from http://grants1.nih.gov/grants/funding/424/index.htm .

- In order to open the PHS SF424 (R&R) Application, you must download the software program Pure Edge onto your computer. This can be done by going to http://www.grants.gov/resources/download_software.jsp#pureedge . NIH & other PHS agencies **require** all text attachments to the Pure Edge forms to be submitted as **PDF files**. This can be done easily by clicking on the Acrobat icon on the Word toolbar, OR, if you do not have the icon on your toolbar, going through the Print menu to convert. Click on File, Print, and then click on Printer Name and highlight Acrobat Distiller. All text attachments must follow PHS 398 formatting instructions, i.e., font requirements, margins, page limitations.
- **Find** a Funding Opportunity Announcement (FOA), **download** application instructions (one time only and keep your eyes open for updates), and **download** Grant Application Package to your desktop. If you know your FOA number, the easiest way to download Grant Applications is through the NIH Guide at http://grants1.nih.gov/grants/guide/index.html . If you are not responding to a specific FOA, you must download the appropriate parent grant application at http://grants1.nih.gov/grants/guide/parent_announcements.htm .
    - For NIH R03s, the parent FOA is PA-06-180
    - For NIH R21s, the parent FOA is PA-06-181
    - For NIH R01s, the parent FOA is PA-07-070
- For those of you who are planning to work on NIH Grants.gov submissions using a shared drive or folder, please be aware that several people have experienced file corruption errors resulting in a loss of all work. To avoid these errors, Grants.gov and ITS recommend copying the file onto your own desktop to work on and then pushing it out when finished onto the shared drive/folder. Do not work on the application on that shared drive or within that folder at all. Be sure to communicate with others working on the drive/folder when changes have been made to avoid saving over someone else's work.

Grant Application Package

- Once downloaded, verify the Grant Application screen corresponds with the FOA.
- In the first required box to complete, **"*Application Filing Name,"** enter a name for the application use the following format: **Sponsor initials, PI last name, partial title of project: example: <u>NIHJonesFlightofBumbleBee</u>**
- **Open** and complete all **Mandatory Documents.** Most documents consist of more than one page. Be sure to look for the "Next" button at the top of the page so that you won't leave anything incomplete. Work logically and complete the forms as they are laid out in the PHS Grants.gov Application Guide SF424 (R&R). Remember to continuously save documents as you work on them. As each page is completed, click the **"close form"** button at the top of the form, move form to the side entitled "Mandatory Completed Documents for Submission", click the **"save"** button on the top of Grant Application Package form page (this is not in the instructions, but will keep the Pure Edge form on your desktop complete and accurate). Any time the "save" button is clicked a statement will appear "*One or more of the items in this form contains an invalid value. Do you want to proceed anyway?"* Always check the Yes box.

- Under the **Optional Documents**, either the PHS Modular Budget or the Research & Related Budget will need to be selected and completed. The FOA will indicate which budget format will be required.

- **<u>SF424 (R&R)- Cover Component</u>**
  - **Open** and **complete** document **SF424 (R&R)** **<u>first</u>** as this page will pre-populate information on pages where the same information is requested;
    - **Box 1** – Type of Submission:
      - Pre-application – NOT used by NIH/PHS
      - ***Application*** – check this if a new application
      - ***Change/Corrected Application*** (this is checked if submitting the same application again with corrections) – if selected, ***Item 4. Federal Identifier*** field becomes a required field.
        - If submitting for a **<u>New</u>** type of application (see box 8 - Type of Application) – in box 4 Federal Identifier – enter the ***Grants.gov tracking number.*** If you do not have that number enter N/A.
        - If submitting for a **<u>Resubmission</u>, <u>Renewal</u>** or **<u>Revision</u>** type of application (see box 8 -Type of Application) – in box 4 Federal Identifier – enter the ***previously assigned grant number, as in CA123456.***
        - If submitting after the submission date – include a **Cover Letter Component.**
    - **Box 2 –** Date Submitted and Applicant Identifier
      - **Leave** the "Date Submitted" box **blank**.
      - Applicant Identifier – initials of funding agency, PI's last name, brief version of title, such as NIHJonesFlightBumbleBee
    - **Box 3** – Date Received by State and State Application Identifier
      - for **NIH/PHS submissions – leave blank**
    - **Box 4** Federal Identifier
      - **<u>New</u>** projects – leave blank,
      - if application will be a **<u>Resubmission</u>, <u>Renewal</u>** or **<u>Revision</u>** as denoted in Box 8, in Box 4 enter the ***previously assigned grant number, as in CA123456.***
    - **Box 5 –** Applicant Information
      - **Organizational DUNS Number <u>041294109</u>**;
        Legal Name**: University of Rochester,** Department: **ORPA,** Street 1: **518 Hylan Building,** City: **Rochester,** State: **NY** Zip Code: **14627 this address will pre-populate addresses for both PI (box 15 and ORPA RA (box 19) – PI will need to change address to his/her own mailing address in box 15.**
      - "Person to be contacted on matters involving this application" – ORPA RA – make sure email address is correct **(ORPA addresses do NOT use underscore or URMC in the address)**
        - **anthony.beckman@rochester.edu**
        - **donna.beyea@rochester.edu**
        - **mboutet@orpa.rochester.edu**
        - **jtolbert@orpa.rochester.edu**
        - **cwilliam@orpa.rochester.edu**
        - **bkavanaugh@orpa.rochester.edu**

- **Box 6 –** Employer Identification **160743209** or if submitting to NIH or any PHS agency, use **1160743209A1**.
- **Box 7 –** Type of Applicant. From the drop down menu choose **O. Private Institution of Higher Education**
- **Box 8 –** Type of Application
    - **New –** application being submitted for the first time
    - **Resubmission –** application was previously submitted and not funded, is being resubmitted ***(previously known as a revised application)***
    - **Renewal –** application requesting continued funding ***(previously known as competing continuation)***
    - **Continuation –** non-competing application (***previously known as* Progress Report**) - **DO NOT** use for NIH/PHS awards
    - **Revision –** is checked if application is either requesting a change in financial obligations or in the terms and conditions. If requesting a change in the financial obligations, check appropriate box(s); i.e.,
        - **Increase Award**
        - **Decrease Award**
        - **Increase duration**
        - **Decrease duration**
        - **Other –** provide written explanation, i.e., any other change in the terms and conditions of the existing award
- **Box 9** – Name of Federal Agency – will be pre-filled
- **Box 10** – Catalog of Federal Domestic Assistance Number (CFDA) – will be pre-filled or left blank. Do not complete
- **Box 11** – Descriptive Title of Applicant's Project – fill in with the **Project Title (remember this is still limited to 81 characters–including spaces and punctuation)**
- **Box 12 –** Areas Affected by Project - For NIH/PHS – **type N/A** (not applicable)
- **Box 13 –** enter proposed start and end dates – use format: **MM/DD/YYYY**
- **Box 14 -** Congressional district a.) Applicant **NY-028,** b.) Project (primary site) **NY-028.**
- **Box 15 –** Project Director/Principal Investigator – complete all boxes in this section. For Medical Center Departments, "Division" will be School of Medicine & Dentistry.
- **Box 16 –** Estimated Project Funding
    - Total Estimated Project funding: enter **total Federal funds** (direct and indirect/F&A) requested for entire project period
    - Total Federal & Non-Federal Funds: enter total estimated funds for entire project period – including both Federal and no-Federal funds. **For NIH/PHS applicants – 16a and 16b should be the same**, unless the FOA indicates cost sharing is a requirement.
    - Estimated Program income – identify any Program Income for the project period
- **Box 17 –** for NIH/PHS submissions – check **No**, Program is not covered by EO 12372.
- **Box 18 –** Certification – **be sure to click on the "I agree" button.** Although this box is for the AO to certify, if this box is not checked, an error message is the result.

    - **Box 19 –** Authorized Organizational Representative (AO) - Also known as Signing Official, this is your ORPA Research Administrator.
    - **Box 20 –** Pre-Applications **NIH/PHS** do not use pre-applications – leave blank
  - Once all data have been entered, click the "**Close Form**" button at the top of the form. You will be returned to the Grant Application Package screen. From the main screen, click on the form/document just completed and then click the ⇒ button, moving the form to the Completed Documents box. Click the "Save" button – on the top left corner.

- **<u>Project/Performance Site Locations Component</u>**
  - Project/Performance Site Primary Location. List applicant organization i.e., University of Rochester's address. If the Primary site is an offsite facility, i.e. Rochester General Hospital, Family Medicine, etc., that site should be listed.
  - Up to 8 additional sites can be added; after completing each site screen – click "next site" button. If more than 8, follow instructions in Version 2.a Application Guide (*pg I-46*).

- **<u>Other Project Information Component</u>**
  1. Are Human Subjects Involved? Check yes if activities involving human subjects are planned at any time during the proposed project period at <u>any</u> performance site.
     - **a.** IRB pending?
     - **b.** IRB approval date
     - **c.** Exemption Number - use as applicable and select the appropriate exemption number
     - **d.** Human subjects assurance number: **<u>0000009386</u>** - yes, all 6 zeroes must be entered
  2. Are Vertebrate Animals Used? Check yes if activities involving animals are planned at any time during the proposed project period at <u>any</u> performance site.
     - **a.** IACUC review pending?
     - **b.** IACUC approval date - either enter the approval date or *<u>leave blank if Pending</u>***.**
     - **c.** Animal Welfare Assurance number: **<u>A329201</u>**
  3. Proprietary Information included? If yes is checked, clearly identify all proprietary information throughout the text and include a statement on each page stating: "The following contains proprietary/privileged information that (PI) requests not be released to persons outside the Government, except for purposes of review and evaluation."
  4. Environmental impact? Unless the FOA indicates that the National Environmental Policy Act (NEPA) applies - check **<u>No</u>**
  5. International Collaborations? For clarification see, Version 2.a Instructions *pg I-49*
  6. Project Summary/Abstract: No more than 30 lines of text – following all font and margin specifications – must be converted to ***PDF format***
  7. Project Narrative: Relevance to public health statement: No more that 2 or 3 sentences in lay language. Convert to ***PDF format***
  8. Bibliography & References Cited: (Literature Cited) ***PDF format***
  9. Facilities & Other Resources: (follow instructions in Application Guide Version 2.a *pg I-53*) **PDF format. DO NOT LIST MAJOR EQUIPMENT UNDER THIS SECTION**

10. Equipment: list major items of equipment available for project **PDF format**
11. Other Attachments. Do not use unless specified in FOA

- Once all data have been entered, click the "**Close Form**" button at the top of the form. You will be returned to the Grant Application Package screen. From the main screen, click on the form/document just completed and then click the ⇒ button, moving the form to the Completed Documents box. Click the "Save" button – on the top left corner.

- **Senior/Key Person Profile(s) Component**
  - Project Director/Principal Investigator – will pre-populate from SF424 R&R page. **Important – Mandatory – DO NOT forget! *Fill in* Credential, e.g. agency log in – NIH user Commons name is required – *exactly as listed in Commons profile.*** *The Commons profile must be affiliated with the applicant organization. Make sure it is. Check with your ORPA RA if unsure.* Attach Biographical sketch as a PDF and use the 398 format. Do NOT include Current & Pending support for NIH/PHS – this is required **J**ust **I**n **T**ime.
  - Followed by profile for each **senior/key person** (contributors in substantive, **measurable** way) in alphabetical order. Complete all requested information. For the box Project Role - **DO NOT use Co-PD/PI**. Choose "Faculty" to designate Co-Investigators or other efforted Key Personnel. Choose "Other" to designate non-efforted "Other Significant Contributors". Choosing "Other" will activate the "Other Project Role Category" box and allow a descriptor to be entered. Choose "Consultants" for external consultants. To add the next key personnel – click "Next Person" button. Attach Biographical Sketch in the PDF format for each person. Do NOT include Current & Pending support for NIH/PHS – this is required **J**ust **I**n **T**ime.
  - For NIH and PHS agency submissions, unless required in FOA, DO NOT upload Current and Pending support documentation – this will be requested JIT.
  - 8 individuals (7 + the PI) can be added in this manner. If more than 8 (but no more than 40) need to be added, use the "Senior/Key Person Profile (Expanded) Component. This button becomes available as soon as the 8th person is added, allowing you to extract this form. The button looks like this: Select to attach additional Senior/Key Person Forms
  - **Multiple Principal Investigators** All named PI's must be registered on the NIH Commons and identified as PI/PD in the application. Use of Multiple Principal Investigators will require a Leadership Plan describing the roles, responsibilities, and working relationship of the PI's in the proposal. Please read NIH Notice NOT-OD-07-017 for more information at http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-017.html .

- **Modular Budget Component** must be used if the NIH proposal is either being submitted as a R01, R03, R15, R21, or R34 AND if the average direct costs per year do NOT exceed $250,000. See modular budget instructions pages SF 424 (R&R) Application Guide # I-95 through I-101, PHS 398 instructions, or contact your ORPA RA for help.
  - ***Only one budget justification is required and all years' justifications will be included in this one document. This PDF document will be included on the "PHS Modular Budget, Period 5 and Cumulative" page, and will be appended under Cumulative Budget Information Box 2.***
  - **At the end of each year's modular budget page, enter "MTDC" for indirect cost type and use the current approved rate in effect. In the box requesting the**

Cognizant Federal Agency, enter "DHHS, Robert Aaronson, 212-264-2069." This information must be entered for each year of the budget. In the box requesting the Indirect Cost Rate Agreement Date, enter the date of the current F&A rate agreement. If you do not know this date, please contact your department CLASP administrator or your Research Administrator in ORPA.

- **As with paper submissions, a detailed internal budget is required for ALL modular submissions at the time of University sign-off.**

- **R&R Budget Component - For non- Modular Budgets**
  - A separate detailed budget must be completed for each year of requested support
  - All required fields must be completed before the system will allow for progression into the next budget period***, including the attachment for the Budget Justification field. Only one budget justification is required and all years' justifications will be included in this one document.*** *This PDF document will be attached to section K. of the Research & Related Budget before the "Next Budget" button will become active on the top right corner of that specific page.*
  - If no funds are requested for a required field – enter "0"
  - DUNS number and name of Organization will pre-populate from SF 424 R&R. Check appropriate box if primary applicant or subaward applicant.
  - Start and end dates, use format: MM/DD/YYYY. Start date must be the same as the project start date (as indicated on SF 424 (R&R) Cover Component box 13).

  A. Senior/Key Personnel
  - Start with PI information. **PD/PI** must be the same as **PD/PI** designated for the application. In all subsequent years, be consistent in "Project role" title for **PD/PI**. ***Person months*** are being used instead of percent effort. **To calculate standard person months: multiply %effort X 12, 9, or 3** (these are the appointment types; I.e. 12 = calendar appt., 9 = academic appt., 3 = summer comp. For assistance in calculating person months use this form: http://www.rochester.edu/orpa/grants.gov/persmthscalc.xls .
    - Requested Salary: indicate the amount of salary being requested ($s will generally be based on the % effort times the institutional base salary). For NIH grants salary cap should be used for salaries in excess of the current cap.
    - Fringe Benefits should be calculated using the benefit rate associated with the actual institutional base salary.
  - Continue to add all Key personnel. Note: if there are more than 8 (7 + the PI) key personnel, attach a document in the same format as the Key personnel budget category and enter the total additional salary in the 2nd to last box under the "Funds Requested" column (right hand column).
  - Do NOT include consultants in the salary fields – they are added in Section F. Other Direct Costs.

  B. Other Personnel
  - Number of personnel: for each area identify the number of personnel proposed.
    - Enter the number of months devoted to the project for each project role category.
    - Requested Salary: indicate the amount of salary being requested ($s will generally be based on the % effort times the institutional base salary).

- Fringe benefits: enter applicable benefits (use the rate associated with the actual institutional base salary) associated with salary requested

C. Equipment

- List equipment and associated costs – UR Indirect cost rate agreement defines equipment as having an acquisition price of $1,000 and greater and a life expectancy of greater than one year.
- If space provided does not accommodate all the equipment needed, in an attached PDF document list the additional equipment and add the total dollars requested for this additional equipment to the box opposite line 11 - *"Total funds requested for all equipment listed in the attached file"*

D. Travel

- List funds separately for domestic and foreign travel.

E. Participant/Trainee Support Costs

- ***NIH/PHS proposals DO NOT utilize this space – leave blank***
- If requesting tuition remission for graduate students on NIH/PHS proposal include the funds requested in Section F. Other Direct Costs

F. Other Direct Costs

- Request funds for categories listed
- Subaward/consortium Costs – enter total funds for all subaward/consortium organizations proposed. <u>Separate budgets and justifications will be attached under R&R Subaward Budget Attachment(s) Form</u>.
- Sections 8-10, if requesting inpatient and outpatient costs, list these costs on separate lines, include tuition for graduate students in this area, and other costs. If additional space is needed for other direct costs combine all other direct costs and include in the last box. Description of these and all costs should be described in the budget justification.
- For further clarification, see pgs. I-69 & I-70.

G. Indirect Costs

- List the indirect cost type. For UR, that will be MTDC – Modified Total Direct Costs.
- If Off-site rate will be used – list that here as well as the fact that it also is MTDC
- List indirect cost rate % - using the current rates in effect at the time of application.
- List MTDC base
- Multiply MTDC base x the rate listed and add to the Funds Requested box.
- **In the box requesting the Cognizant Federal Agency, enter "DHHS, Robert Aaronson, 212-264-2069." This information must be entered for each year of the budget. In the box requesting the Indirect Cost Rate Agreement Date, enter the date of the current F&A rate agreement. If you do not know this date, please contact your department CLASP administrator or your Research Administrator in ORPA.**

H. Budget Justification – Budget justification is uploaded only once, in year 1 **and is for all years**. Remember, personnel must now be justified in "person months" not percent effort. *This PDF document must be attached in section K. of the year 1 Research & Related Budget before the "Next Budget" button will become active on the top right corner of that specific page.*

Budget Periods 2 – 5 If requesting funds for more than the one budget period, a separate detailed budget for each year of support is requested. Each budget year consists of 3 screens. On the 3rd screen the "Next Period" button will be activated once all the required fields in all the screens have been entered. The system automatically calculates the cumulative budget page.

R&R Subaward Budget Attachment(s) Inclusion of subawards in the budget requires completion of a Subaward Budget Attachment Form. E-mail the form to the subaward site to complete and return. Save the file using the first 10 letters of the subaward site organization name and leave the xfd file extention. This is a Pure Edge form and must be saved as a Pure Edge form. It should NOT be converted to a PDF. The "Subaward Budget Attachment Form" can be found by clicking the Click here to extract the R&R Subaward Budget Attachment button. IMPORTANT: A DUNS NUMBER IS REQUIRED FOR EACH SUBAWARDEE AND MUST BE INCLUDED ON THE BUDGET PAGES.

- **Cover Page Supplement Component** can be found under the Mandatory Documents on the Grant Application Package page.
  - **Box 1** – Project Director/Principal Investigator box will be pre-populated from SF424 (R&R)
    - New Investigator? Check yes or no.
    - Degree will not be pre-populated. The degree indicated here must match the degree in eRA Commons exactly.
  - **Box 2** – Human Subjects? Check yes or no.
  - **Box 3** – The first section of the Applicant Organization Contact will be pre-populated from SF424 (R&R) with ORPA research administrator's information. Complete the second section reflection the current title of the ORPA RA, ORPA, 518 Hylan Building, Rochester, NY 14627
  - **Box 4**. Human Embryonic Stem Cells? Check yes or no. If yes, complete information on cell line(s).

- **Research Plan Component – Remember ALL attachments must be converted to PDF prior to uploading into each section. See pages I-102-112 in the SF424 instructions.**

  Box 1 – Application Type – will pre-populate from SF 424 (R&R).
  Box 2. – Research Plan attachments. The Research Plan consists of multiple attachments. It is not submitted as one single file but is broken up into 4 sections. However, the page limit for sections A-D must still be reflective of each grant mechanism - 10 pages for an R03, 15 pages for an R21 and 25 pages for an R01.

  1. Introduction to application: Include for Resubmissions only. For the Resubmission of R03s and/or R21s, follow instructions in FOA (usually "Introduction" is limited to one page). For R01s, the introduction is limited to 3 pages
  2. Specific Aims: Save in a single file, convert to PDF, and upload.
  3. Background and Significance: Save in a single file, convert to PDF, and upload.
  4. Preliminary Studies/Progress Report: ***Change in format*** – if submitting a renewal (*competing continuation*) or a revision (*supplement*), **DO NOT** include

the list of publications, manuscripts accepted for publication, patents, and other printed materials, this will be included in Section 7 (below).

5. Research Design and Methods: Upload as a PDF. The total text contained in the uploaded files in section 2-5 must respect the total page limit allowed for each grant mechanism.
6. Inclusion Enrollment Report: Upload only if submitting a competitive renewal and the previous project period involved the enrollment of human subjects – must report distribution by race, ethnicity, sexual gender.
7. Progress Report Publication List: ***NEW*** - upload only if submitting a competitive renewal.
    - List publications, etc. that have resulted from the project since it was last reviewed competitively, including: Publications in press, include only the link to publicly available on-line journals article or the NIH PubMed Central submission ID number. Do not include the entire article.
    - Manuscripts accepted for publication, but not yet published – submit entire article in PDF format in Appendix.
    - Published manuscripts without an online journal link – submit entire article in PDF format in Appendix

<u>Human Subject Sections</u>: For help in completing sections 8 – 11, refer to SF424, Version 2 and 2.a, Part II, Supplemental Instructions for Preparing the Human subjects Section of the Research Plan:

8. Protection of Human Subject
9. Inclusion of Women and Minorities
10. Targeted /Planned Enrollment Table
11. Inclusion of Children

<u>Other Research Plan Sections (see pages I-107-112 in the SF424, Version 2 and 2.a Instructions):</u>

12. Vertebrate Animals: For detailed instructions see pgs. I-95 and I-96
13. Select Agents
14. Multiple PD/PI Leadership Plan – see NIH Notice NOT-OD-07-017
15. Consortium/Contractual Arrangements
16. Letters of Support: Save letters as a single file and upload as a PDF
17. Resource Sharing Plan(s): (1) *Data Sharing Plan,* and (2) *Sharing Model Organisms*
18. Appendix: A maximum of 10 PDF attachments is allowed. If more that 10 are needed, combine the remaining information in attachment # 10. For publications, please refer to NIH Guide Notice, NOT- OD-07-018.

Password protected documents cannot be used as NIH Commons does not have access to the password and therefore cannot utilize them. Keep the new guidelines in mind regarding publications when uploading Appendices Photographs or color images of gels, micrographs, etc. are no longer accepted as appendix material. See page I-111 in the SF 424, Version 2 and 2.a for additional information.

- **<u>PHS 398 Cover Letter File Component</u>** Under the Optional Documents on the Grant Application Package page. See instructions on page I-88 of the SF424 Version 2 and 2.a. This component can be used to upload a cover letter requesting assignment to a specific institute or study section.

- Must be used if submitting an application requesting 500K or more in direct costs in any given year. Upload the letter from the Institute accepting the application for review.
- Must upload a justification letter when submitting a changed/corrected application AFTER the deadline/submission date because of Commons validation errors or due to issues with the conversion from Grants.gov to the Commons

- **Checklist Component**
  - **Box 1 –** Application Type**:** pre-populated
  - **Box 2 –** Change of Investigator/Change of Institution Questions: complete as necessary
  - **Box 3 –** Inventions and Patents: **Renewal Applications only (Competing continuation) this section must be completed.**
  - **Box 4 –** Program Income
  - **Box 5 –** Assurances/Certifications

NIH electronic submissions through Grants.gov

Required PDF Attachments for Each Component

Mandatory Documents

SF 424 (R&R)

- None for NIH. If submitting to other agencies that will be using the Grants.gov application package and those agencies require a pre-application, it would be uploaded under this component.

Research & Related Other Project Information

- Project Summary/Abstract = 30 lines lay summary abstract
- Project Narrative = Relevance to Public Health Statement (should be no longer than 2 or 3 lines). For non-NIH projects, the project narrative will usually be the actual project narrative/research plan. For NIH, the research plan is uploaded in a different component (see PHS 398 Research Plan below).
- Bibliography & References Cited = Section H of the 398 instructions. Used to be included right after the Research Plan in the paper submission.
- Facilities & Other Resources = Resources Form page in the 398 instructions. It can either be completed in a Word document using the same sections as in the 398 form page or if using the NIH 398 form page, remove header and footer. Either one will need to be converted to a PDF file before it can be uploaded.
- Equipment = same information as that contain in the 398 Resource Form.
- Other Attachments = for NIH purposes, this will never be used.

Research & Related Project/Performance Site Location

- If greater than 8 sites involved in the project, complete the form found at the following link, convert to PDF and upload under "Additional Locations": http://grants.nih.gov/grants/funding/424/SF424R-R_AdditionalLocations.doc

Research & Related Senior/Key Personnel

- Biosketch for each Key Personnel and Other Significant Contributor. If using 398 format page, remember to remove all headers and footers or use this revised Biosketch form page:

  http://grants.nih.gov/grants/funding/424/SF424R-R_biosketch.doc

- Current and Pending Support = for NIH purposes, leave blank (no need to upload anything) as this is part of the Just-In-Time process.
- If greater than 8 Key Personnel = extract additional R&R Senior/Key Personnel From to complete their profile and upload their biosketch. A button will become activated, once the first 8 Key Personnel have been entered, to extract this form page.
- If greater than 8 Key Personnel = upload Biosketch of those additional Key Personnel under "Additional Biographical Sketch(es) (Senior/Key Person)."

PHS 398 Cover Page Supplement

- No attachments required.

PHS 398 Research Plan

Multiple uploads are required in this component:

Research Plan:

- Introduction for revised application (if submitting a resubmission only)

- Specific Aims (Section A of the 398 Research Plan instructions)
- Background and Significance (Section B of the 398 Research Plan instructions)
- Preliminary Studies/Progress Report (Section C of the 398 Research Plan excluding the progress report publication list if submitting a competing renewal – will be uploaded separately)
- Research Design & Methods (Section D of the 398 Research Plan instructions)
- Inclusion Enrollment Report (if submitting a competing renewal only). If using 398 format page, remember to remove all headers and footers or use this revised Enrollment Report form page: http://grants.nih.gov/grants/funding/424/SF424R-R_enrollmentreport.doc
- Progress Report Publication List (if submitting a competing renewal only)

If Human Subjects will be involved, follow instructions in Part II of the 398 Instructions and upload these files if applicable:

- Protection of Human Subjects, including Data and Safety Monitoring Plan if applicable
- Inclusion of Women and Minorities
- Targeted/Planned Enrollment Table. If using 398 format page, remember to remove the header and footer or use this revised Planned Enrollment form page: http://grants.nih.gov/grants/funding/424/SF424R-R_enrollment.doc
- Inclusion of Children

Other Research Plan Sections (upload these files if applicable):

- Vertebrate Animals (Section F of the 398 Research Plan instructions)
- Select Agent Research (Section G of the 398 Research Plan instructions)
- Multiple PI Leadership Plan (Section I of the 398 Research Plan instructions) – applicable only if proposing multiple PIs.
- Consortium/Contractual Arrangements (Section J of the 398 Research Plan instructions)
- Letters of Support – will need to scan and upload as one single file if multiple letters
- Resource Sharing Plan(s) (Section K of the398 Research Plan instructions)

Appendix

- If including Appendices, follow NIH instructions contained in notice NOT-OD-07-018 for what is allowable. You may either upload each Appendix as individual files or convert them into one single file (this is strongly recommended)

- No attachments required.

Optional Documents

PHS 398 Cover Letter

- If PI wants to request assignment to a specific NIH Institute or Study Section and/or identify possible reviewers or note reviewers to be excluded due to a conflict of interest. This file will be excluded from the assembled grant image created by Commons. The assigned reviewers will not see this letter.
- If the application is rejected after the deadline date by either Grants.gov or Commons due to validation errors, a cover letter is mandatory explaining the reason for the Changed/Corrected Application.

PHS 398 Modular Budget

- Budget Justification on the 3rd page of the Modular Budget Component for the UR Personnel.
- Budget Justification on the 3rd page of the Modular Budget Component for Consortium (Subaward) Personnel if application includes sub-sites. If more than one subaward, it will still only be one single PDF file so will need to do justification for each site in one file.
- Additional Narrative Justification if requesting variations in the number of modules (not required for an R21 submission as this mechanism allows for variation).

Research & Related Budget (to be used only if submitting a non-modular grant/budget)

- A. Senior/Key Personnel. If requesting salary support for more than 8 Senior Key Personnel = provide requested budget information in a blank excel or word document (using same format as the R&R Budget), convert to PDF and upload under "Additional Senior Key Personnel."
- C. Equipment Description. If requesting funds for more than 10 Equipment items = provide description of additional equipment item(s) and associated cost(s) in a blank word or excel document, convert to PDF and upload under "Additional Equipment."
- K. Budget Justification. Upload a budget justification for all requested items and years as one single file at the end of Year 1 budget.

Research & Related Subaward Attachment(s) Form (to be used only if submitting a non-modular grant/budget)

- If UR budget includes requested funds for sub-awards, a PureEdge (.xfd) file of each sub-sites Research & Related Budget (previously extracted and completed by each site) must be uploaded in this component.