Guide for assembling
Adobe Forms Version C of the PHS SF424 (R&R) Application
For submission of "R" grant mechanisms to NIH

*All page references included in this guide are from the Adobe Forms C Version of the SF424 – Grants.gov Application Guide; Part I: Instructions for Preparing and Submitting an Application; Part II: Supplemental Instructions for Preparing the Human Subjects Section of the Research Plan; and Part III: Policies, Assurance, Definitions, and Other Information. http://www.grants.nih.gov/grants/funding/424/index.htm#inst

- In order to open the PHS SF424 (R&R) Adobe Application, you must download a compatible version of Adobe Reader onto your computer. This can be done by going to https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/obtain-software.htm. Full details on compatibility with Grants.gov and specific operating systems are available on this site as well.
    - To check that your version of Adobe Reader is compatible please go to: https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/obtain-software.htm. Follow the instructions to verify that you have a compatible version.
- NIH & other PHS agencies **require** all text attachments to the Adobe 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. Information regarding other **PDF Conversion programs** can be found at https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/obtain-software.htm. When submitting to NIH, all text attachments must follow NIH formatting instructions, i.e., font requirements, margins, page limitations.
- When naming PDF files for electronic submissions use only standard characters in file names: i.e. A through Z, a through z, 0 through 9, and underscore (_). Do not use any special characters (example: "&", "$", "-", "*", "%", "/", and "#") or spacing in the file name. For word separation use underscore (example: "My_Attached_File.pdf").
- **Find** a Funding Opportunity Announcement (FOA), **download** application instructions (one time only), and **download** Grant Application Package to your desktop. Note that on the download page you can enter your email address to receive automatic updates pertaining to that particular FOA. For NIH submissions - 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 R03s, the parent FOA is PA-13-304
    - For R21s, the parent FOA is PA-13-303
    - For R01s, the parent FOA is PA-13-302
    - For R13, U13, the parent FOA is PA-13-347
    - For R15, the parent FOA is PA-13-313
- 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.
- **To ensure that you have the current version of the application package, the Competition ID should list " FORMS-C".**
- To allow easier identification of your grant, in the first required box to complete, **"*Application Filing Name,"** enter a unique identifier for the application. Please create that identifier by using the following format: **Sponsor initials, PI last name, partial title of project: example: <u>NIHJonesFlightofBumbleBee</u>**
- All "**Mandatory" documents must be completed. If any of the "Optional "documents are selected, those forms will appear as a continuous document under the Grant Application Package cover form. In this way each form can be accessed by scrolling up or down, rather than constantly closing and opening file.** Most documents consist of more than one page. Be sure to look for the "Next" button at the top of the page or scroll down to ensure all information is completed. Work logically and complete the forms as they are laid out in the SF424 (R&R) Adobe Forms C Application Guide. Remember to continuously save documents as you work on them. As each page is completed, scroll up to the Grant Application Package cover form and click the **"Save"** button. Do **not** use the "Save & Submit" button to save your application. Only your ORPA RA can submit the application.
- Under the "**Optional" documents,** for NIH submissions, either the Modular Budget or the Research & Related Budget will need to be selected and completed. The FOA along with the amount of direct costs you are requesting will indicate which budget format is required.
- Applicants have the option to display instructions in the SF424 document itself by clicking, the **"Show Instructions"** link on the Grant Application Package cover form.

- **<u>SF424 (R&R)- Cover Component (pages Section 4.2)</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. Be sure to follow all page limitations as presented **in Table 2.6-1. Page I-24 of the SF424 Instructions**.
        - **Box 1** – Type of Submission:
            - Pre-application – unless specified in a program announcement this field is **NOT used by NIH/PHS**
            - ***Application*** – check Application (all applications are new; the type of application – New, Resubmission, Renewal or Revision is identified in box 8).
            - ***Changed/Corrected Application*** - this box used only by ORPA if submitting a corrected application (i.e. the grant was submitted to grants.gov but errors or warnings needing correction were identified).
        - **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 (identical entry to information entered on initial page of the application package).
        - **Box 3** – Date Received by State and State Application Identifier

- for **NIH/PHS submissions – leave blank**
- **Box 4 a.** 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 serial number, i.e. CA123456*** **(please use this format, do not include the name of the grant mechanism {i.e. R01} or the new budget year {ie. -06}.**
- **Box 4 b.** Agency Routing Number
  - Leave Blank
- **Box 4 c**. Previous Grants.gov Tracking ID,
  - Leave Blank - this may be used by your ORPA RA if package is rejected and resubmitted to correct system generated errors.
- **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: **146270140. Note that the nine digit zip code is required.**
    - **This address will pre-populate the address for the PI (section 14) and the ORPA (section 19) PI will need to change address to his/her own mailing address in box 15. Note that the nine digit zip code is required.**
  - "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**
    - **anne.corriveau@rochester.edu**
    - **brenda.kavanaugh@rochester.edu**
    - **Jennifer.Carlson@rochester.edu**
    - **laurie.naber@rochester.edu**
    - **cwilliam@orpa.rochester.edu**
- **Box 6 –** Employer Identification to be used for submission to NIH is **<u>1160743209A1</u>**.
- **Box 7 –** Type of Applicant. From the drop down menu choose **<u>O. Private Institution of Higher Education</u>**
- **Box 8 –** Type of Application
  - **New** - application being submitted for the <u>first time</u>
  - **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)***
  - **Revision (supplement)** - 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

- Indicate whether this application is being submitted to other agencies. If, yes, indicate the agency name.
- **Box 9** - Name of Federal Agency - will be pre-filled
- **Box 10** - **Do not complete**. Catalog of Federal Domestic Assistance Number (CFDA) - will be pre-filled or left blank.
- **Box 11** - Descriptive Title of Applicant's Project - fill in with the **Project Title (remember if submitting a Revision {supplement}, you must use the same title as was used for the parent grant.**
- **Box 12** - Enter proposed start and end dates – use format: **MM/DD/YYYY.** For NIH submissions under a parent FOA, use the dates found at: http://grants1.nih.gov/grants/funding/submissionschedule.htm
- **Box 13** - Congressional district of the Applicant Organization - Enter **NY-025.**
- **Box 14** - Project Director/Principal Investigator – complete all boxes in this section. **The PI's email address must be included to ensure proper processing by NIH.** For Medical Center Departments, "Division" will be Medicine and Dentistry (please use this format). **Note that the nine digit zip code is required.**
- **Box 15** - Estimated Project Funding
  - a) Total Federal Funds Requested: enter **total Federal funds** (direct and indirect/F&A) requested for entire project period
  - b) Total Non-Federal Funds: enter total non-federal funds for the entire project period. Enter "0".
  - c) Total Federal & Non-Federal Funds: enter total estimated funds for entire project period. **For NIH/PHS applicants - 15a and 15c should be the same**.
  - d) Estimated Program income - identify any Program Income for the project period. If no program income, enter "0". For further guidance, please see the University's program income policy at http://www.rochester.edu/orpa/_assets/pdf/policy_proginc1.pdf
- **Box 16** - check **No**, Program is not covered by EO 12372.
- **Box 17** - Certification - **be sure to click on the "I agree" button**. If this box is not checked, an error message will result.
- **Box 18** – SFLL Disclosure of Lobby Activities - not required
- **Box 19** - Authorized Organizational Representative (AO) - Also known as Signing Official, this is your ORPA Research Administrator.
- **Box 20** - Pre-Applications - Unless specifically noted in a program announcement, **NIH/PHS** do not use pre-applications - leave blank
- **Box 21 – PHS 398 Cover Letter File Component (pages I-55 to I-56** This component can be used to upload a cover letter requesting assignment to a specific institute or study section. Potential reviewers with conflicts may also be identified. Note the suggested format provided by NIH (see page I-56). A

Cover Letter must be included 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.

Upload a Cover Letter to provide an explanation of any subaward budget components that are not active for all periods of the proposed grant. You 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. If submitting after the due date for any reason a Cover Letter component is required (see pages I-55 and I-56 of the SF424 instructions).

- **<u>PHS 398 Research Plan Component</u> (pages I-109 to I-120)**
  - ALL attachments must be converted to PDF prior to uploading into each section.
  - Research Plan attachments. The Research Plan consists of multiple attachments. It is not submitted as one single file but is broken up into sections. However, page limits apply to documents uploaded in this section (see **Table 2.6-1. Page I-24 of the SF424 Instructions).** <u>Note that the FOA instructions always take precedence over the general instructions.</u>

    1. Introduction to application: Include for Resubmissions or Revision Applications only. **The introduction is limited to one (1) page for most applications.** <u>The introduction must indicate how changes to the application are identified or state that changes are so extensive as to include most of the text.</u>

    2. Specific Aims: Limited to one (1) page. Save in a single file, convert to PDF.

    3. Research Strategy: Organize the Research Strategy in the specified order and using the instructions provided on pages I-109 to I-120. Start each section with the appropriate section heading – Significance, Innovation, Approach. The Research Strategy should be a single file conforming to the page limits for the grant mechanism. As applicable, also include the information on Preliminary Studies for new applications or the Progress Report for renewal and revision application as part of the Research Strategy, keeping within the three sections (Significance, Innovation, and Approach).

    4. Progress Report Publication List: upload only if submitting a competitive renewal.

    - List publications, etc. that have resulted from the project since it was last reviewed competitively
    - When citing articles that fall under the Public Access Policy, were authored or co-authored by the applicant PI and arose from NIH funding provide the NIH Manuscript Submission Number (NIHMS#) or PubMed Central reference number (PMC ID#) for each article. If the PMCID# is not yet available because the journal submits articles directly to PMC on behalf of authors, indicate "PMC Journal - In Process".
    - <u>Human Subject Sections</u>: For help in completing sections 5-7, refer to, PHS Part II, Supplemental Instructions for Preparing the Human subjects Section of the Research Plan http://grants.nih.gov/grants/funding/424/index.htm

    5. Protection of Human Subjects

6. **Inclusion of Women and Minorities**
7. **Inclusion of Children**

The Planned Enrollment Report is also required if you are using humans. This report is no longer a pdf upload. It is a standalone optional document available on the Application Package Cover Form. The same is true with the Cumulative Inclusion Enrollment Report which is only required for Renewals under which human subjects have been enrolled.

Other Research Plan Sections: (see pages I-115 to I-120 in the Adobe Forms Application Guide):

8. **Vertebrate Animals:** include if vertebrate animal use is planned. For detailed instructions see pages I-115 and I-116.

9. **Select Agents:** include if select agent use is proposed.

10. **Multiple PD/PI Leadership Plan:** For applications designating multiple PDs/PIs, a leadership plan must be included. A rationale for choosing a multiple PD/PI approach should be described. The governance and organizational structure of the leadership team and the research project should be described, including communication plans, process for making decisions on scientific direction, and procedures for resolving conflicts. The roles and administrative, technical, and scientific responsibilities for the project or program should be delineated for the PDs/PIs and other collaborators. **NOTE: UR has mandatory language that must be included. http://rochester.edu/orpa/proposals/#gui**

11. **Consortium/Contractual Arrangements**: Explain the programmatic, fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s). If consortium/contractual activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee. The signature of the authorized organizational official on the SF424 (R&R) cover component (Item 19) signifies that the applicant and all proposed consortium participants understand and agree to the following statement:

> *The appropriate programmatic and administrative personnel of each organization involved in this grant application are aware of* the agency's consortium *agreement policy and are prepared to establish the necessary inter-organizational agreement(s) consistent with that policy*.

While the letter of intent (LOI) to establish a consortium agreement is no longer required by NIH, ORPA requires an LOI or signed face page on file for each subaward proposed in the application.

12. **Letters of Support:** Save letters as a single file and upload as a PDF

13. **Resource Sharing Plan(s):** (1) *Data Sharing Plan,* and (2) *Sharing Model Organisms.* A **data sharing plan** must be included if the applicant requests more than $500,000 in direct costs in any single year, or if the FOA requires the inclusion of a data sharing plan (regardless of funds requested). Please review the FOA for this requirement. A plan to **share model organisms** must be included if development of model organisms is anticipated (regardless of funds requested). Applicants seeking funding for a **genome-wide association**

study (GWAS) are expected to provide a plan for submission of GWAS data to the NIH-designated GWAS data repository, or an appropriate explanation why submission to the repository is not possible.

14. **Appendix:** Please review the following publication from NIH on what information is allowed to be included in the appendix.

http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-018.html

Be certain whatever you include cannot be viewed as an attempt to circumvent the page limitations.

- **<u>Cover Page Supplement Component (pages I-98 to I-102)</u>**
    - **Box 1** – Project Director/Principal Investigator box will be pre-populated from SF424 (R&R)
    - **Box 2** – Clinical Trial? See page 99. Check yes or no. Agency-Defined Phase III Clinical Trial? Check Yes or No. Note that Public Law 110-85, enacted 09/27/2007, mandates registration and results reporting of applicable clinical trials in ClinicalTrials.gov (see Supplemental Instructions; Part II: Human Subjects and Part III: Policies, Assurances, Definitions and Other Information.
    - **Box 3**. – Disclosure Permission Statement (page I-100) check Yes or No. In the case this application does not result in an award, check "Yes" to provide permission for the government to disclose the title of the proposed project, and the name, address, telephone number, and email address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment). Check "No" if you do not provide this permission.
    - **Box 4** – Program Income. See page I-100, complete only if program income is anticipated..
    - **Box 5**. Human Embryonic Stem Cells. See page 101. Check yes or no. If yes, complete information on cell line(s)
    - **Box 6** - Inventions and Patents, only applicable to renewal applications, see page 102.
    - **Box 7** – Change of Investigator / Change of Institution Questions. Complete as necessary.

- **<u>Senior/Key Person Profile(s) Component (pages I-68 to I-77)</u>**
    - Project Director/Principal Investigator - will pre-populate from SF424 R&R page. **Important - Mandatory - DO NOT forget as an error will result at submission!** ***Fill in*** **Credential, e.g. agency log in - <u>NIH user Commons name is required</u> –** ***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. Do NOT include Current & Pending support for NIH/PHS – this is required Just In Time (JIT).
    - Note that the nine digit zip code is required as part of the address for all senior/key personnel. Every attempt should be made to include this information. If the four digit extender is not available, enter the five digit zip code followed by four zeros (e.g. 123450000).

- **The new Biographical Sketch format must be used**.
  http://grants.nih.gov/grants/funding/424/index.htm
- Five page limit to include the information listed below (Education plus sections A-D). A sample biographical sketch is available at:
  https://grants.nih.gov/grants/forms/biosketch.htm
  - **Education Block** – follow instructions on the form.
  - **Personal Statement (A)** - Briefly describe why the individual's experience and qualifications make this individual particularly well-suited for the role (e.g., PD/PI, mentor) in the project that is the subject of the application.
  - **Positions and Honors (B)** - List in chronological order previous positions, concluding with the present position. List any honors. Include present membership on any Federal Government public advisory committee.
  - **Peer-reviewed publications or manuscripts in press (in chronological order) (C)** - NIH encourages applicants to limit the list to fifteen (15) publications. The individual may choose to include selected publications based on how recent they are, importance to the field, and/or relevance to the proposed research. When citing articles that fall under the Public Access Policy, were authored or co-authored by the applicant and arose from NIH support, provide the NIH Manuscript Submission reference number or the Pubmed Central (PMC) reference number for each article.
  - **Research Support (D)** - List both selected ongoing and completed (during the last three years) research projects (Federal or non-Federal support). Begin with the projects that are most relevant to the research proposed in this application. Briefly indicate the overall goals of the projects and responsibilities of the Senior/Key Person identified on the Biographical Sketch. *Do not include number of person months or direct costs.*
- The remaining Senior/Key Person Profiles should be listed in alphabetical order. Senior/key personnel are defined as individuals who contribute to the project in a substantive way. Complete all requested information. For NIH submissions in 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 (OSC)". Choosing "Other" will activate the "Other Project Role Category" box and allow a descriptor to be entered. Use "Consultants" for external consultants and "Collaborator" for internal consultants. Do not use the role "consultant" for University of Rochester employees – by definition, a consultant is an individual not employed by the applicant organization. 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 JIT.
- For NIH and PHS agency submissions, unless required in FOA, DO NOT upload Current and Pending support documentation – this will be requested JIT.
- One hundred individuals (99 + the PI) can be added in this manner. Additional biographical sketches (and current and pending support, if requested) must be included for each additional senior/key personnel.
- Please do not include the credential (or NIH Commons User name) for anyone other than the PI (or PIs if the multiple PI model is used).
  Multiple Principal Investigators All named PI's must be registered on the NIH Commons and identified with a role of **"PD/PI"** 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. The University of Rochester has mandatory language that must be used here. Contact your ORPA RA if necessary to obtain that required language.

- **Other Project Information Component (pages I-61 to I-67)**
  1. **Are Human Subjects Involved?** Check yes if activities involving human subjects are planned at any time during the proposed project period at any performance site.
     1a - If Yes to Humans Subjects:
     - Is the project exempt from Federal regulations? Answer Yes or No.
     - If yes, check the appropriate exemption number (1-6).
     - If No, is IRB review pending? If using human subjects and you do not yet have approval, you must check yes.
     - Enter the IRB approval date if already approved (if entered provide a copy of the approval letter to ORPA RA)
     - Enter the Human subjects assurance number: **0000009386** - ***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 any performance site.
     2a- If Yes to Vertebrate Animals:
     - Is IACUC review pending? If using animals and you do not yet have approval, you must check yes.
     - IACUC approval date - either enter the approval date (if entered provide a copy of the approval letter to ORPA RA) or *leave blank if Pending*.
     - Animal Welfare Assurance number: **A329201**
  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 (name of applicant) 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 **No**
  5. **Historic Site?** Is the research site designated, or eligible to be designated, as a historic place? If yes is checked an explanation must be provided in box 5a.
  6. **Will there be activities outside the US?** Will there be partnerships with International Collaborators? If the project includes a foreign component this box must be checked yes. For clarification see Adobe Forms Application Guide page I-65
     - Check yes if the project involves activities outside the U.S. or partnerships with international collaborators.
     - If 6a is yes, identify countries involved
     - A brief (optional) explanation may be added in item 6b
     - Applicants to NIH or PHS agencies must describe special resources or characteristics of the research project (e.g., human subjects, animals, disease, equipment, and techniques), whether similar research is being

done in the United States and whether there is a need for additional research in this area. This information should be attached in a separate file in item 12, Other Attachments. In the body of the text, begin the section with a heading indicating “Foreign Justification.” The PDF file uploaded to item 12 should be named “Foreign_Justification.pdf”.

7. **Project Summary/Abstract:** No more than 30 lines of text – following all font and margin specifications – must be converted to ***PDF format.*** Note that the 30 line limit includes any title listed and any line spaces between paragraphs (or between title and text).
8. **Project Narrative:** Relevance to public health statement: No more than 2 or 3 sentences in lay language. Convert to ***PDF format***
9. **Bibliography & References Cited:** (Literature Cited) ***PDF format.*** When citing articles that fall under the Public Access Policy, were authored or co-authored by the applicant PI and arose from NIH funding provide the NIH Manuscript Submission Number (NIHMS#) or PubMed Central reference number (PMC ID#) for each article. If the PMCID# is not yet available because the journal submits articles directly to PMC on behalf of authors, indicate “PMC Journal – In Process”
10. **Facilities & Other Resources: PDF format.** DO NOT LIST MAJOR EQUIPMENT UNDER THIS SECTION.
    - As before, identify the facilities to be used and describe the resources available to the project.
    - ***For the new Adobe C applications additional information is required:*** Describe how the scientific environment contributes to the probability of success (e.g., institutional support, physical resources, and intellectual rapport). Discuss ways in which the proposed studies will benefit from unique features of the scientific environment or subject populations or will employ useful collaborative arrangements. For further details see page I-61.
    - If there are multiple performance sites, describe the facilities and resources at each site.
    - **For Early Stage Investigators,** describe institutional investment in the success of the investigator, e.g., resources for classes, travel, training; collegial support such as career enrichment programs, assistance and guidance in the supervision of trainees involved with the ESI’s project, and availability of organized peer groups; logistical support (such as administrative management and oversight and best practices training); and financial support (such as protected time for research with salary support).
11. **Equipment:** list major items of equipment already available for project. **PDF format**
12. **Other Attachments:** Do not use unless specified in FOA or unless a foreign component is included (see #6 above).

- **<u>Project/Performance Site Locations Component (pages I-57 to I-60)</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.
    - Do **NOT** check the “I am submitting…” box. The applicant will always be UR, not an individual.

- Enter the DUNS number for the primary performance site. This is **041294109** (providing the University of Rochester is the primary performance site).
- **Note that the nine digit zip code is required for the Primary performance site. Every attempt should be made to include this information. *If the four digit extender is not available, enter the five digit zip code followed by four zeros (e.g. 123450000).***
- Enter the Project/ Performance Site Congressional District for the primary performance site. This is **NY-025** (providing the University of Rochester is the primary performance site).
- Up to three hundred (300) additional sites can be added; after completing each site screen – click "next site" button.
- **Note that the nine digit zip code is required for all performance sites. *If the four digit extender is not available, enter the five digit zip code followed by four zeros (123450000).***
- The congressional district is required for all performance sites. This should be entered in the format 2 character State Abbreviation-3 character District number (i.e. NY-025). If all districts in a state are affected, enter all for the district number (i.e. NY-all). If nationwide (all districts in all states), enter US-all. If the program project is outside the US, enter 00-0000.

- **Modular Budget Component (pages I-103 to I-108)**
  - Must be used if the NIH proposal is 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 instruction pages SF 424 (R&R) Application Guide pages I-103 to I-108, or contact your ORPA RA for help.
  - Only one budget justification is required and all years' justifications will be included in this one document. JUSTIFY PERSONNEL ONLY AND PROVIDE THEIR COMMITTEE PERSON MONTHS. 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.
  - Note that different F&A rates may apply within one budget period (this is dependent on the budget period start date). In these cases, the F&A calculation must reflect the F&A rate in effect for each portion of the budget period. For assistance with this calculation contact your department CLASP administrator or your ORPA RA.
  - 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, Darryl W. Mayes, 301-492-4852**." 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 ORPA RA.
  - If a subaward or consortium is proposed, a consortium justification must be included. Provide an estimate of total costs (direct plus facilities and administrative) for each year, rounded to the nearest $1,000. List the individuals/organizations with whom consortium or contractual arrangements have been made, along with all personnel, including percent of effort (in person months) and roles on the project. Do not provide individual salary information. Indicate whether the collaborating institution is foreign or domestic. While only the direct cost for a consortium/contractual arrangement is

factored into eligibility for using the modular budget format, the **total** consortium/contractual costs must be included in the overall requested modular direct cost amount. For grants submitted in the modular format, the R&R subaward budget is not required.

- If the requested budget requires additional justification, such as variation on the number of modules requested, this attachment should be uploaded.
- **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 (pages I-78 to I-92)**
  - <u>A separate detailed budget must be completed for each year of requested support</u>
  - 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. EVERY LINE ITEM ON AN R & R BUDGET MUST BE JUSTIFIED.*** *This PDF document will be attached to section K. of the Research & Related Budget*
  - 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 12).

  A. Senior/Key Personnel

  - Start with PI information. **PD/PI** must be the same as **PD/PI** designated for the application. **"PD/PI" MUST BE USED FOR THE PI(S). DO NOT USE "PI" OR "PRINCIPAL INVESTIGATOR"** as those will generate an error upon submission. 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.
    - Requested Salary: indicate the amount of salary being requested ($ will generally be based on the % effort times the institutional base salary). For NIH grants, the salary cap should be used for salaries in excess of the current cap.
    - Fringe Benefits should be calculated using the current benefit rate associated with the actual institutional base salary (current fringe rates are available at: **http://rochester.edu/orpa/proposals/fringe/**
    - **ANY Individual listed in the Sr/Key Personnel section of the R & R budget <u>must</u>** have a listed effort. Entering zero effort for any of these individuals will result in a submission error.
  - 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 ($ 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 (use "Additional Equipment field for upload) 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

- ***Unless specifically indicated in the FOA, 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. ***Separate budgets and justifications will be attached under R&R Subaward Budget Attachment(s) Form.***
- Sections 8-10, if requesting inpatient and outpatient costs, list these costs on separate lines. Also include tuition for graduate students in this area, and other costs, if applicable. 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 other direct costs should be described in the budget justification.
- For further clarification, see pages I-83 to I-85.

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.
- Note that different F&A rates may apply within one budget period (this is dependent on the budget period start date). In these cases, the F&A calculation must reflect the F&A rate in effect for each portion of the budget period. For assistance with this calculation contact your department CLASP administrator or your ORPA RA.
- List MTDC as the indirect cost type

- Multiply MTDC base x the rate listed and add to the Funds Requested box.
- **In the box requesting the Cognizant Federal Agency, enter "DHHS, Darryl W. Mayes, 202-401-2808." 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 ORPA RA.**

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 required. The system automatically calculates the cumulative budget page.

- **Submitting Budgets with more than five budget periods:** When authorized or requested by the appropriate NIH IC, applicants may submit applications with more than 5 budget periods. In these situations complete the detailed budget for periods 1-5 as usual. However, include the same level of detail for Period 6 in the Budget Justification along with an explanation of the situation. Also, be sure to include a cover letter that addresses these extra budget periods, and include the IC Program Official's preapproval as part of the Cover Letter.

- **R&R Subaward Budget Attachment(s) (see pages I-89 to I-91 for details):** Inclusion of subawards in an application using a detailed budget requires completion of a Subaward Budget Attachment Form (PDF format). The Subaward Budget Attachment Form can be extracted and e-mailed to the subaward site to complete and return. **Verify that your subawardee is using an acceptable version of Adobe to complete their part of the application.** Save the file using the first 10 letters of the subaward site organization name. 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. If the subawardee is a foreign site or the DUNS number is not accessible enter nine zeros.

Submitting Subaward Budgets that are not active for all Periods of the Prime Grant: When submitting subaward budgets that are not active for all periods of the prime grant, fill out the subaward R&R Budget form and include only the number of periods for which the subaward is active. The budget period start/end dates reflected in each period should reflect the corresponding prime budget period start/end dates. This approach is the most workable solution to the limitations in existing forms that do not allow an "empty" budget period and do not allow submission of a subaward budget with zero effort to skip a budget period.

Note that if the subaward is not active for the entire project period, an explanation must be included in the cover letter.

This subaward budget attachment is not required if the modular budget format is being used.

SAVE THE SF424 PACKAGE WITH A TITLE THAT INCLUDES THE PI's NAME PRIOR TO UPLOADING IT TO THE SHAREPOINT SITE!! This will assist your ORPA RA in distinguishing one grant package from another during deadline when they are responsible for reviewing and submitting multiple proposals.