NIH

Electronic Submissions
HOW DOES IT WORK?

- PI finds FOA (Funding Opportunity Announcement) through Grants.gov and prints it out.

- PI double-checks that he/she has the correct Adobe software on his/her computer (vers. 8.3 or later) to allow completion of the application package.

- PI then downloads the required Adobe software (if needed) and the application package provided, which provides general instructions for completion.

- **NOTE:** Application packages are specific to each FOA and may not be reused or used for other FOA’s. If more than one forms package option is available, use only the latest package listed, preferably Adobe forms B-2. The U-01 mechanism is now filed electronically.

- PI prints Grants.gov SF424 (R&R) Application Guide (Version 2), which provides all the general instructions applicable to most NIH grants.
Make sure correct version of Adobe Reader is Downloaded – Check Grants.gov Web-site
Searching for the Funding Opportunity Announcement

First click On “Find Grant Opportunities”

Then, click on “Search Grant Opportunities”
Click on “Basic Search” to search by Keyword, FOA #, and CFDA #

When you have chosen a Funding Opportunity, type the FOA # here.
Click on the “Opportunity Title” This opens the synopsis of the FOA.

Click on “Application” to download the instructions and application package. You will also want to click on the “Full Announcement” link for the complete instructions specific to this Funding Opportunity.
Make sure you have the right Funding Opportunity Announcement.

Download the latest version, Adobe Forms B-2 Instructions and Application. The instructions included here are the general instructions for completing the Adobe Forms according to NIH business rules.
After opening package, PI enters Application Filing Name and saves to safe directory on computer. **Note:** A shortened version of the project’s descriptive title is recommended. (This is for Grants.gov identification only; 35 characters max.)
PI must move to the right, open and complete all forms indicated under “Mandatory Documents”. For “Optional Document” guidance, refer to Program Instructions.
Once moved to the right side and opened, forms stay opened to build the package. They can be edited and scrolled from form to form. Optional forms incorrectly added can be withdrawn by moving them back to the left, but if re-added by moving right again, they will re-order themselves.
HSC Deadline Policy for NIH
Electronic Submissions ONLY

10-Day

- PI submits required PDS, COI and other forms as necessary. PI must print technical file and FOA and include in paper package to PreAward. Submit electronic file with draft Research Plan via email to HSC-PreAward@salud.unm.edu. All Institutional information, budgets and budget justification must be final – this includes your subawardee budget information as well.

- PreAward logs project into PreAward database for tracking and reviews as normal.

- PreAward makes comments to PI/contact point person if questions or errors detected.

5-Day

- PI emails PreAward FINAL electronic proposal package to the HSC general mailbox.

- If errors or questions, PI and/or contact point on PDS are e-mailed (or telephoned) with concerns.

- If no questions or concerns, PreAward submits application through Grants.gov.

- Between 2 hours & 2 days, Grants.gov formats the application and sends an e-mail indicating there are errors or that processing has occurred.

- If errors found at NIH, PI corrects and e-mails back to PreAward; process begins again.
PreAward Personnel Receives Initial Electronic Package

- The electronic proposal package is one large unit with many subcomponents.

- PreAward person will open and review every mandatory form completed by the PI. Science portion will only be reviewed for page limitation and format compliance. If something is missing or incorrect, the PreAward person will notify the PI to make the correction and re-email corrected package again.

- PreAward will focus on the correct institutional information, such as correct DUNS Number and Credentials (eRA Commons Username). This information is critical in relating the application to this institution, as well as, applying it to the correct PI.
After PreAward Review

- PI will email FINAL package with completed Research Plan to PreAward with all their forms moved over to “Mandatory Documents Completed” **5 business days** prior to submit date.

- PreAward will then “Check the Page for Errors” and press the Submit Button if everything is a go.
Application Submission Verification and Signature

Opportunity Title: SBIR (R43/R44) System-to-System Program Announcement
Offering Agency: National Institutes of Health Stage
CFDA Number:
CFDA Description:
Opportunity Number: PA-SS-SBR
Competition ID:
Opportunity Open Date: 03/01/2006
Opportunity Close Date: 12/31/2007
Application Filing Name: Dominant expression sample

Do you wish to sign and submit this Application?

Please review the summary provided to ensure that the information listed is correct and that you are submitting an application to the opportunity for which you want to apply.

If you want to submit the application package for the listed funding opportunity, click on the "Sign and Submit Application" button below to complete the process. You will then see a screen prompting you to enter your user ID and password.

If you do not want to submit the application at this time, click the "Exit Application" button. You will then be returned to the previous page where you can make changes to the required forms and documents or exit the process.

If this is not the application for the funding opportunity for which you wish to apply, you must exit this application package and then download and complete the correct application package.

Sign and Submit Application  Exit Application
Internal Submission Process

1. Initiate eRA Commons Registration
2. Submit signed internal forms (PDS, COI)
3. Send completed electronic (draft science) file 10 business days prior to deadline.
4. Preaward submits Application to Grants.gov
5. Send FINAL electronic file 5 business days prior to NIH deadline
6. Correct errors in Application if necessary
7. Check Submission Status in Commons
8. View the Application Image
9. Submission Complete

If errors, go back to step 3.
After Submission What Next?

- PreAward receives four e-mail confirmations from Grants.Gov. (Can take up to 48 hours to complete.)
- The eRA Commons software checks the applications against NIH Business Rules – the complete list of validation checks can be reviewed in detail at [http://era.nih.gov/ElectronicReceipt/prepare_app.htm#5](http://era.nih.gov/ElectronicReceipt/prepare_app.htm#5).
- The final confirmation from Grants.gov tells us that the application has been received by NIH.
- The last (5th) e-mail notice will come from eRA Commons to both SO and PI; either “Validations Complete-Check Assembled Package” or “Action Required to Continue…”
When Application is Received by NIH

- PI and PreAward official log in to eRA Commons and review assembled application and list of any warnings and/or errors.
- 2 Business days to review: if acceptable, no action needed, if unacceptable, PreAward rejects application.
- If rejected, PI corrects errors and submission process starts again.
- **IMPORTANT:** As of January 25, 2011, post due date correction of errors or warnings resulting from applicant error will render the submission officially late. Such submissions will either be rejected by the portal if the opportunity has closed, or will simply not be reviewed.
Avoiding Common Causes for Rejected Applications

- **File and/or attachments must be in proper PDF format**
  Other formats may be allowed through Grants.gov but are not accepted by NIH. Make sure you have a compatible version of Adobe (8.3 or later).

- **Special characters not allowed in file names**
  For instance, brackets such as "[" and "]" are not accepted. Avoid blank spaces in file names.

- **Signature must be turned “off”**
  When using Adobe Acrobat, the signature has to be “off” when you create the originals. Go to the security options menu selection in Adobe to ensure the signature is off. If you do not have the originals, copy the content of the signed documents and create a new document. Save this document without signing it.

- **Do not submit protected PDF documents**
  Make sure security settings are not marked. Check Document Security tab under Document Properties (directly from the tab) and set the security parameters to ensure open access so NIH can process the content. Do not password protect or mark Content Extraction or Copying; Document Assembly, etc. as “Not Allowed.”

**NOTE:** If you are having trouble fixing the PDF settings, simply cut and paste from the PDF document into a Microsoft Word document and then reconvert (in some cases it may be better to use another PDF converter).
More Common Causes for Rejected Applications

- **PDF documents must not be saved with editable fields**
  Do not save PDF files with fields that can be changed. If for example, you are using Adobe, use your PDF printer tool (Go to File and click on Print and select the output device for printing to Adobe PDF) to create an Adobe PDF print version file. Send the Adobe PDF print version file, not the original editable version. If you do not have a PDF print tool, click on the link below to see a recommended list of tools: [http://www.grants.gov/assets/PDFConversion.pdf](http://www.grants.gov/assets/PDFConversion.pdf)

- **BE SURE TO USE NEW DUNS NUMBER: 829868723.**

- **Must have correct Commons User ID:**
  The application must include the PI’s Commons User ID in the field called “Credential, e.g. agency login.” This field is not marked as required on the government-wide form but is required by NIH.

  See full list of most common errors in NIH Handout.

  **NOTE:** Applicants have to read the agency specific instruction in the application guide to know what to include in this field.
Errors/Warnings for Prior Failed eSubmissions

GRANT11093958 2012-03-23

WARNING  The human subject assurance number entered in the Other Project Information component does not match what is in the eRA Commons profile for your organization. There are rare cases where this is permissible. Please make sure that the correct number is entered on the Other Project Information page. If not, correct and resubmit. Note, if you do not have an approved assurance on file with OHRP and have inserted "None" in the Human Subject Assurance Number, no correction is necessary. (3.5.1)

GRANT11093875 2012-03-23

ERROR   The organization name for Key Person Vince Calhoun must be provided on the Senior/Key Person page. (4.8.1)

WARNING The human subject assurance number entered in the Other Project Information component does not match what is in the eRA Commons profile for your organization. There are rare cases where this is permissible. Please make sure that the correct number is entered on the Other Project Information page. If not, correct and resubmit. Note, if you do not have an approved assurance on file with OHRP and have inserted "None" in the Human Subject Assurance Number, no correction is necessary. (3.5.1)

Close
Complete Submission

### Status Information - Microsoft Internet Explorer

**Address**: https://commons-era.nih.gov/commons/status/genericStatusInformation.jsp

**General Grant Information**
- **Status**: Scientific Review Group review pending.
- **Institution Name**: UNIVERSITY OF NEW MEXICO
- **Proposal Title**: [Redacted]
- **Last Status Update Date**: 08/13/2006
- **Current Award Notice Date**: [Redacted]
- **Application Source**: Grants.gov
- **Project Period Begin Date**: 08/01/2007
- **Project Period End Date**: 07/31/2010

**Status History**

<table>
<thead>
<tr>
<th>Effective Date</th>
<th>Status Message</th>
<th>Institute or Center Assignment</th>
<th>Assignment Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/01/2006</td>
<td>Application entered into system</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Application Information**
- **Award Document Number**: RDEU18272A
- **FSR Accepted Code**: N
- **Snap Indicator Code**: [Redacted]

**Study Section**
- **Scientific Review Group**: ZDE1 SK (21)
- **Council Meeting Date (YYYY/MM)**: 2007/01

**Advisory Council (AC) Information**

**Contacts**
- **Administration**
  - Grants Management Specialist (GMS): Pharm, Helen (301-594-7704), pharrh@mail.nih.gov
  - Program Official (PO): Hunziker, Rosemarie (301-481-3888), hunzikerr@niddcr.nih.gov
Preparation Checklist

- Ensure PI has NIH E-Commons user ID, remembers password & has filled in all personal info.
- Ensure the correct DUNS number for UNM HSC is entered on page one of the SF424: **829868723**.
- Remind your PreAward person to make sure that the PI has been affiliated with our new HSC DUNS number. (Especially important if PI does not submit a lot of grant applications.)
- Ensure PI has PDF Software and is trained in use. Adobe Reader 8.3 or later is needed to complete/convert forms.
- Ensure PI Always Reads Application
- Ensure PI attends or has their staff attend the HSC training or goes online to [http://era.nih.gov/ElectronicReceipt/training.htm](http://era.nih.gov/ElectronicReceipt/training.htm) and practices the demo application.
- Ensure HSC timelines are followed.
E-Commons – Fill in all Personal Info After Registered

Step through and fill out
Now Let’s Complete the Application!
This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

* Application Filing Name: Effects of Emerging Technologies

### Mandatory Documents

- PHS 390 Research Plan
- PHS 390 Checklist
- PHS 390 Cover Page Supplement
- Research And Related Senior/Key Person Profile
- Research And Related Other Project Information
- Project/Performance Site Location(s)

### Optional Documents

- PHS Cover Letter
- PHS 390 Modular Budget
- Research & Related Budget
- R & R Subaward Budget Attachment(s) Form

### Instructions

1. Enter a name for the application in the Application Filing Name field.
   - This application can be completed in its entirety offline; however, you will need to login to the Grants.gov website during the submission process.
   - You can save your application at any time by clicking the “Save” button at the top of your screen.
   - The “Save & Submit” button will not be functional until all required data fields in the application are completed and you clicked on the “Check Package for Errors” button and confirmed all data required data fields are completed.

2. Open and complete all of the documents listed in the "Mandatory Documents" box. Complete the SF-424 form first.
   - It is recommended that the SF-424 form be the first form completed for the application package. Data entered on the SF-424 will populate data fields in other mandatory and optional forms and the user cannot enter data in these fields.
Completing the SF424 (R&R)

Consolidates forms used by Federal grant making agencies so applicants can use familiar forms regardless of the program or agency.

- FOA will indicate which components are required, and which are optional.
- Not all components will be used for FOA.
- You have to complete a **new** SF424 for each project, and you may not use ANY sample form package.
SF424 (R&R) Cover Component Page 1

- Provides general information about the applicant organization and contact information for the PD/PI and AO (PreAward)
- Applicant identifier is PDS number assigned by PreAward
- Federal Identifier in field 4 is only for corrected applications, renewals or other submissions that have had previously assigned grant numbers. (8 character limit; i.e. CA123456)
SF424 (R&R) - Cover Component
Avoiding Errors - A Few Data Issues

Item 8, Type of Application--New Terminology

- **New**: A new application is expected to be substantially different in content and scope with more significant differences than are seen in a resubmitted application.

- **Resubmission** is what we would normally consider a revision: a revised or amended application. (The term Revision is used differently by NIH—see below.) Only one resubmission is now allowed. PI’s filing new submissions will be allowed the opportunity to make one major correction to their initial submission.

- **Renewal** is equivalent to a Competing Continuation

- **Continuation** is for non-competing continuations for only select agencies. It is equivalent to a Progress Report, so for the purposes of NIH and other PHS agencies, the box for Continuation will **not** be used and should **not** be checked. The eSNAP utility will be used for non-competing continuations.

- **Revision** is equivalent to a Competing Supplement (after initial award, it’s used to request additional support for current period)

- **Preapplication** Do not use unless specifically instructed
SF424 (R&R) - Cover Component

Avoiding Errors – More Data Issues

- **Item 5, Organizational DUNS:** Must match DUNS in eRA Commons profile for Applicant Institution; again that number is 829868723

- **Item 13, Congressional District:** Should be listed in Alpha-numeric form with 2-letter State designation, a dash, and 3-digit district number; i.e.: **NM-001**, or **NM-003**, or NM-all

- **Division** means largest major sub-division, i.e.; School of Medicine, College of Pharmacy, College of Nursing.

- **Department** means main area of PI primary appointment, i.e.; Pathology, Pediatrics, etc.
Note: Use the general PreAward telephone and fax numbers for your CGA’s contact info, however, put their actual e-mail in the designated e-mail field. (This ensures all stakeholders receive necessary notifications.)

Disregard box #18. Does not apply to us.
Research and Related Project/Performance Site Locations

- Captures structured data for up to 29 additional locations
- Form will add a new block for each additional site. If an extra site block is added by mistake, use “Delete Entry” key.
- Be sure to add any Subaward locations here.
- Ignore checkbox at top of each block. (Does not apply to us.)
- Note that entry of Congressional Districts of actual project site locations has been relocated to this form.
- >30 locations – information is provided in an attachment (not structured data, just text) and uploaded in the Additional Locations field
### Project/Performance Site Location(s)

#### Project/Performance Site Primary Location

- **Organization Name:** University of New Mexico Health Sciences Center
- **DUNS Number:** 8298687230000
- **Street1:** MSC09 5220
- **City:** Albuquerque
- **State:** NM: New Mexico
- **Country:** USA: UNITED STATES
- **ZIP / Postal Code:** 87131-0001

#### Project/Performance Site Location 1

- **Organization Name:** Arizona State University
- **DUNS Number:** 0000000000000
- **Street1:** 1500 Main Street
- **City:** Tempe
- **State:** AZ: Arizona
- **Country:** USA: UNITED STATES
- **ZIP / Postal Code:** 85281-0001

Expiration Date: 08/31/2011
Component: Research and Related Other Project Information

- **Major Change**: Human Subjects number is now numeric only and requires 8 digits. The Human Subjects Assurance number should be entered in the following format: **00003255**.
- Animal Welfare Assurance number is entered as A3350-01.
- Form includes separate PDF attachments for:
  - Project Summary/Abstract (Brief description/overview)
  - Project Narrative
    - *Detail about how project will contribute to the Public Health. NIH will use this upload for the “Relevance” section of the Abstract*
    - *Separate component developed for Research Plan*
  - Bibliography & References
    - **Note**: As of April 2008, NIH’s Public Access Policy became effective, which mandates that all publications of NIH funded research be posted in Pub Med (see hand-out for proper format of citations)
- Facilities & Other Resources: Describes project venue.
- Equipment: This is for major items of equipment already available for use. List location and importance to project.
Research and Related Other Project Information

RESEARCH & RELATED Other Project Information

1. * Are Human Subjects Involved?  ☒ Yes  ☐ No
   1.a. If YES to Human Subjects
      Is the Project Exempt from Federal regulations?  ☐ Yes  ☒ No
      If yes, check appropriate exemption number:  1  2  3  4  5  6
      If no, is the IRB review Pending?  ☐ Yes  ☒ No
      IRB Approval Date:  01/12/2010
      Human Subject Assurance Number:  00009255

2. * Are Vertebrate Animals Used?  ☒ Yes  ☐ No
   2.a. If YES to Vertebrate Animals
      Is the IACUC review Pending?  ☒ Yes  ☐ No
      IACUC Approval Date:  
      Animal Welfare Assurance Number:  A3350-01

3. * Is proprietary/privileged information included in the application?  ☐ Yes  ☒ No

4.a. * Does this project have an actual or potential impact on the environment?  ☒ Yes  ☐ No
   4.b. If yes, please explain:

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?  ☒ Yes  ☐ No
   4.d. If yes, please explain:

5. * Is the research performance site designated, or eligible to be designated, as a historic place?  ☒ Yes  ☐ No
   5.a. If yes, please explain:

6. * Does this project involve activities outside of the United States or partnerships with international collaborators?  ☒ Yes  ☐ No
   6.a. If yes, identify countries:
   6.b. Optional Explanation:

7. * Project Summary/Abstract
   Project_Summary.pdf  [Add Attachment]  [Delete Attachment]  [View Attachment]

8. * Project Narrative
   Project_Narrative.pdf  [Add Attachment]  [Delete Attachment]  [View Attachment]

9. Bibliography & References Cited
   Bibliography_ReferenceCited.pdf  [Add Attachment]  [Delete Attachment]  [View Attachment]

10. Facilities & Other Resources

Component: Research & Related Senior Key Persons - Data Issues

- Degree type and year fields have been added to each Senior Key Person block. (Be sure PI has their profile up to date so that application information matches profile.)
- All Senior Key Persons with terminal degrees or titles of Post Doc or higher must have a Commons ID.
- Be sure to save file after every few entries as form can “lose” data if too many are added before saving.
- If an additional block is added in error, you must complete fields (with at least “dummy” information) in order to activate the “Delete Entry” button to delete.
- Make sure all biosketches are in current NIH format.
- Make sure to enter Key Persons of Subawardees.
Senior Key Persons Profile

- Contains upload fields
- Requires Commons ID for PI’s and Post Docs
- Requires Project Role for each key person
- Degree Type and Degree Year must match profiles
Refer to SF424 current instructions for how to complete Biosketch form.

Personal statement now required. Publications are limited to 15: those that are directly relevant to the proposal. The four-page overall limit remains the same. May now add a statement describing factors that may have reduced productivity.
Other Experience and Professional Memberships
1995- Member, American Psychological Association
1998- Member, Gerontological Society of America
1998- Member, American Geriatrics Society
2000- Associate Editor, Psychology and Aging
2003- Board of Advisors, Senior Services of Eastern Missouri
2003-04 NIH PeerReview Committee: Psychology of Aging, ad hoc reviewer
2005-09 NIH Risk, Adult Addictions Study Section, member

Honors
2003 Outstanding Young Faculty Award, Washington University, St. Louis, MO
2005 Excellence in Teaching, Washington University, St. Louis, MO
2008 Award for Best in Interdisciplinary Ethnography, International Ethnographic Society

C. Selected Peer-reviewed Publications (Selected from 42 peer-reviewed publications)

Most relevant to the current application

Additional recent publications of importance to the field (in chronological order)
D. Research Support

Ongoing Research Support

R01 DA042367-03 Hunt (PI) 09/01/07-08/31/12
Health trajectories and behavioral interventions among older substance abusers
The goal of this study is to compare the effects of two substance abuse interventions on health outcomes in an urban population of older opioid addicts.
Role: PI

R01 MH027371-05 Marcey (PI) 07/15/06-06/30/10
Physical disability, depression and substance abuse in the elderly
The goal of this study is to identify disability and depression trajectories and demographic factors associated with substance abuse in an independently-living elderly population.
Role: Co-Investigator

Faculty Resources Grant, Washington University 08/15/09-08/14/11
Opiate Addiction Database
The goal of this project is to create an integrated database of demographic, social and biomedical information for homeless opioid abusers in two urban Missouri locations, using a number of state and local data sources.

Completed Research Support

K02 AG042908 Hunt (PI) 09/01/06-
08/31/09
Drug Abuse in the Elderly
Independent Scientist Award: to develop a drug addiction research program with a focus on substance abuse among the elderly.
Role: PI

R21 AA098075 Hunt (PI) 01/01/04-
12/31/08
Community-based intervention for alcohol abuse
The goal of this project was to assess a community-based strategy for reducing alcohol abuse among older individuals.
Role: PI
Data Issues: Research and Related
Senior/Key Persons

Current & Pending Support (a.k.a. Other Support):
Not used at time of submission unless specified in FOA. For most applications, this will continue to be for “Just-In-Time” submission

Note: Only hi-level Professionals, preferably with terminal degrees, should be designated as “Senior Key Persons”

Project Role: Remember, NIH does not recognize the designation “Co-PI”. It does accept more than one PD/PI in cases of true multi-PI applications. (Make sure instructions allow multi-PI before adding. If additional PI’s will be allowed and utilized, they should be from separate disciplines and a Multi-PI Leadership Plan will be required to be uploaded on the Research Plan page.) The designation of “Co-Investigator” is available for other key persons in single PI applications.
Component:  
**PHS 398 Cover Page Supplement**

- Includes Clinical Trial & Phase-III defined clinical trial indicators. (Must be answered if Human Subjects are indicated on Other Project Information page.)

- For the Business Official Contact, add completed contact information for Rena Vinyard *(title & mailing address needs to be added in section 5.)*

- Page 2 includes Human Embryonic Stem Cells section. This question must be answered. If answered “yes”, cell line number(s) must be included or check box for cell lines that are pending should be marked.
1. Project Director / Principal Investigator (PD/PI)

Prefix: Dr.  * First Name: Bunny
Middle Name: 
* Last Name: Flower
Suffix: Ph.D.

2. Human Subjects

Clinical Trial?  No  Yes
* Agency-Defined Phase III Clinical Trial?  No  Yes

3. Applicant Organization Contact

Person to be contacted on matters involving this application
Prefix: 
* First Name: Rena
Middle Name: 

OMB Number: 0925-0001
4. Human Embryonic Stem Cells

* Does the proposed project involve human embryonic stem cells?  

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: http://stemcells.nih.gov/research/registry/. Or, if a specific stem cell line cannot be referenced at this time, please check the box indicating that one from the registry will be used:

Cell Line(s):  □ Specific stem cell line cannot be referenced at this time. One from the registry will be used.
Component: 
*PHS 398 Research Plan*

- Separate PDF attachments for Specific Aims and remaining body of Research Plan are needed.
- “Research Strategy” is typically limited to 6-12 pages, perhaps less, depending on the grant mechanism.
- Follow guidelines from general NIH Application Guide regarding page limits, formatting and section headings.

**Appendix Material**
- Allows up to 10 separate attachments
- Will be stored separately in Commons in the eRA Grant Folder, not as a part of the main application grant image
- Will be accessible to appropriate NIH staff and peer reviewers
PHS 398 Research Plan

Standard Research Plan sections, not including Specific Aims, are now combined into one upload attachment called “Research Strategy”. This section is typically limited to 6 to 12 pages. (Refer to FOA.)

If Human Subjects box is checked on the Other Project Info page, then attachments for fields 6 through 8 must be uploaded. (Only field 6 for exempt studies.)
Component: PHS 398 Research Plan – Helpful Hints

- Make sure all uploads are converted to true PDF files.
- Do not include headers or footers
- Do include section headings as part of the text; i.e., Background & Significance, Preliminary Studies, Research Design and Methods.
- Human Subjects uploads are mandatory on Research Plan page if Human Subjects question is answered “yes” on Other Project Information page. (Upload is only needed in field 6, if Human Subjects is marked exempt from regs.)
- Avoid 2-column format for text (difficult for reviewers to read electronically)
- Avoid scanning when text has been generated using a word processing tool (Specific Aims, etc.)
Component: *PHS 398 Checklist*

- Captures additional information
  - Change of PI
  - Change of Grantee Institution
  - Inventions & Patents
  - Program Income
  - Contains Disclosure Permission check box for PI to answer. (Must be answered yes or no.)
Component: PHS 398 Checklist

5. * Disclosure Permission Statement

If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail 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)?

[ ] Yes
[ ] No
Submission Specific Component:  
PHS 398 Cover Letter

- Provides an attachment field for a wet-signed cover letter.
- **Not advisable to convert to PDF using a scanner.** Open a Word Processing document file then insert the scanned letter as a PDF object. Then use the Adobe PDF conversion tool to properly convert to PDF format. This helps avoid technical problems during transmission.
- Cover Letter is stored separately in the Commons Grant Folder, not as a part of the main application grant image.
- Is seen only by appropriate NIH staff; not peer reviewers.
- Is always recommended, but is only mandatory when submitting an Application after submission date under the exception rules.
PHS 398 Cover Letter Upload

*Optional Cover Letter Filename:

Add Cover Letter File  Delete Cover Letter File  View Cover Letter File
Component: Research and Related Budget, Sections A & B

- Personnel separated into 2 sections
  - A. Senior/Key Personnel
    - Allows 8 as named individuals & structured data
    - >8 information can be uploaded as a PDF attachment *(not structured data, just text)*
    - Info for PD/PI must be entered, even if $ = 0
  
  **Note: Salary cap is currently Executive Level II: $179,700**

  - B. Must enter effort in either Calendar months or Academic and/or Summer for all Senior/Key Persons

  - C. Other Personnel
    - Postdocs, Grad Students, etc: aggregate totals only
Make sure this date is end of period 1.

Other personnel are entered in aggregate.
Component: Research and Related Budget, Sections C – E

C. Equipment
- Allows itemization of up to 10
- >10 equipment items: details provided in an attachment – total funds requested in attachment are entered in Line 11

D. Travel
- R&R separates out Domestic & Foreign
- This will not change any NIH policy/practice. We will continue to award as a single category.

E. Participant/Trainee Support Costs
- Will not be used by NIH unless specifically noted in an announcement
- Tuition Remission will continue to be included in this Section

F. Other Direct Costs
### Research & Related Budget - Section C, D, & E, Budget Period 1

**C. Equipment Description**

List items and dollar amount for each item exceeding $5,000.

<table>
<thead>
<tr>
<th>Equipment Item</th>
<th>* Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
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<tr>
<td>5.</td>
<td></td>
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<tr>
<td>6.</td>
<td></td>
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<tr>
<td>7.</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
</tr>
<tr>
<td>11. Total funds requested for all equipment listed in the attached file</td>
<td></td>
</tr>
</tbody>
</table>

**Total Equipment**

**Additional Equipment**

<table>
<thead>
<tr>
<th>Additional Equipment</th>
<th>Add Attachment</th>
<th>Delete Attachment</th>
<th>View Attachment</th>
</tr>
</thead>
</table>

**D. Travel**

1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)
2. Foreign Travel Costs

**Total Travel Cost**

**E. Participant/Trainee Support Costs**

1. Tuition/Fees/Health Insurance
2. Stipends
3. Travel
4. Subsistence
5. Other

<table>
<thead>
<tr>
<th>Number of Participants/Trainees</th>
<th>Total Participant/Trainee Support Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Component: Research and Related Budget, Sections F - K

F. Other Direct Costs
- Itemizes: Supplies, Publication Costs, Consultants, ADP/Computer Services, Consortium Costs, Equipment or Facility Rental/User Fees, Alterations & Renovations
- This section may also be used to account for patient care costs & tuition remission (refer to agency-specific instructions)

G. Total Direct Costs (A – F)

H. Indirect Costs

I. Total Costs (G+H)

J. Fee

K. Budget Justification – a PDF text attachment

Next Period Button: At the top of the last budget page. All required data fields in this component must be entered before this button is available. This includes the Budget Justification. Clicking the “Next” button at the end of page three of a given period will take you directly to the cumulative budget page.
## Section F  Other Direct Costs:

- Item 5 should show **grand total** of Subaward dollars.
- Please note F&A base type for UNM is “Modified Total Direct Costs”.
- All budget figures should be in whole numbers.
- “Next Period” button appears when period one is completed.
- Budget justification is uploaded at bottom of page; will auto-populate subsequent budget periods.

### Other Direct Costs:

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Materials and Supplies</td>
<td>47,070.00</td>
</tr>
<tr>
<td>2</td>
<td>Publication Costs</td>
<td>72,000.00</td>
</tr>
<tr>
<td>3</td>
<td>Consultant Services</td>
<td>177,000.00</td>
</tr>
<tr>
<td>4</td>
<td>ADP Computer Services</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Subaward/Consortium Contractual Costs</td>
<td>396,070.00</td>
</tr>
<tr>
<td>6</td>
<td>Equipment or Facility Rental/Use Fees</td>
<td>223,000.00</td>
</tr>
<tr>
<td>7</td>
<td>Alterations and Renovations</td>
<td></td>
</tr>
</tbody>
</table>

**Total Other Direct Costs**: 396,070.00

**Total Direct Costs (A thru F)**: 723,000.00

### Indirect Costs

<table>
<thead>
<tr>
<th>Indirect Cost Type</th>
<th>Indirect Cost Rate (%)</th>
<th>Indirect Cost Base ($)</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modified Total Direct Costs</td>
<td>8%</td>
<td>396,070.00</td>
<td>89,250.00</td>
</tr>
</tbody>
</table>

**Total Indirect Costs**: 89,250.00
### CUMULATIVE BUDGET

Applicant prepares a detailed budget for every budget period.

*No figures are entered on this page*

The detailed Cumulative budget is system-generated.

This figure must match total on page 2 of the SF424 section at front of application.
Component: R&R Subaward Budget Attachment Form

- Used to collect and upload detailed budget from any consortium grantee
- Do not use for Modular Budgets
- Consortium grantee(s) must have appropriate software installed for compatible completion of budget forms.
- Allows up to 10 separate budget attachments—one for each consortium grantee (over 10 add to Budget Just.)
- Applicant sends the R&R budget component to the consortium grantee for completion; it is returned to the applicant; applicant attaches it in this component
- Applicant still needs to include the total costs for all consortia in their own detailed budget, Section F.5
Note: Send subaward packages out EARLY! Give subawardees a firm deadline to return them.

Get Subawardee DUNS numbers prior to adding them. All Subawardees must have a DUNS number.
PHS 398 Modular Budget

Provides data entry fields for each budget period for only:

A. Direct Costs (less Consortium F&A)
   Consortium F&A (↑ F&A added back here)
   Total Direct Costs

B. Indirect Costs (UNM F&A)
   “Modified Total Direct Costs” x F&A rate

C. Total Costs (A + B)

D. Builds periods after page 1 block by block
PHS 398 Modular Budget

Budget Period: 1

<table>
<thead>
<tr>
<th>Direct Costs</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Cost less Consortium F&amp;A</td>
<td>200,000.00</td>
</tr>
<tr>
<td>Consortium F&amp;A</td>
<td>27,000.00</td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td>227,000.00</td>
</tr>
</tbody>
</table>

Budget Period: 2

<table>
<thead>
<tr>
<th>Direct Costs</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Cost less Consortium F&amp;A</td>
<td>200,000.00</td>
</tr>
</tbody>
</table>

A. Direct Costs

Start Date: 12/01/2012
End Date: 11/30/2013

B. Indirect Costs

<table>
<thead>
<tr>
<th>Indirect Cost Type</th>
<th>Indirect Cost Rate (%)</th>
<th>Indirect Cost Base ($)</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Modified Total Direct Costs</td>
<td>31.00</td>
<td>176,000.00</td>
<td>59,250.00</td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>4.</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Cognizant Agency (Agency Name, POC Name and Phone Number): DHHS, Division of Cost Allocation, Henry Williams, 214-767-3261

Indirect Cost Rate Agreement Date: 07/13/2009
Total Indirect Costs: 89,250.00

C. Total Direct and Indirect Costs (A + B)

Funds Requested ($): 316,250.00
Modular
Cumulative
Budget is
system-generated

Budget
Justification: PDF text
attachments for
Personnel,
Consortium and
Other
What Will a Completed Application Look Like?

- After submission, the **eRA system** will:
  - Assemble the grant image
  - Generate a Table of Contents
  - Include headers (PI name) & footers (page numbers) on all pages

- **Sample Document:** “eRA Assembly of the SF424 (R&R) Application”
  - Includes a sample Table of Contents, and
  - a chart cross-referencing the location in the forms components for each piece of the grant image

<table>
<thead>
<tr>
<th>424 R&amp;R and PHS-398 Specific Table Of Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>SF 424 R&amp;R Face Page..................................................</td>
</tr>
<tr>
<td>Table of Contents.......................................................</td>
</tr>
<tr>
<td>Research &amp; Related Project/Performance Site Location(s)................</td>
</tr>
<tr>
<td>Research &amp; Related Other Project Information...............................</td>
</tr>
<tr>
<td>Project Summary/Abstract (Description)..................................</td>
</tr>
<tr>
<td>Public Health Relevance Statement (Narrative attachment)................</td>
</tr>
<tr>
<td>Facilities &amp; Other Resources............................................</td>
</tr>
<tr>
<td>Equipment...........................................................................</td>
</tr>
<tr>
<td>Research &amp; Related Senior/Key Person......................................</td>
</tr>
<tr>
<td>Biographical Sketches for each listed Senior/Key Person................</td>
</tr>
<tr>
<td>PHS 398 Specific Cover Page Supplement..................................</td>
</tr>
<tr>
<td>PHS 398 Specific Modular Budget.........................................</td>
</tr>
<tr>
<td>Personnel Justification....................................................</td>
</tr>
<tr>
<td>Additional Narrative Justification.......................................</td>
</tr>
<tr>
<td>PHS 398 Specific Research Plan..........................................</td>
</tr>
<tr>
<td>Specific Aims.......................................................................</td>
</tr>
<tr>
<td>Significance and Related R&amp;D..............................................</td>
</tr>
<tr>
<td>Preliminary Studies/Phase I Final Report..................................</td>
</tr>
<tr>
<td>Experimental/Research Design and Methods..................................</td>
</tr>
<tr>
<td>Human Subjects Sections.....................................................</td>
</tr>
<tr>
<td>Protection of Human Subjects...............................................</td>
</tr>
<tr>
<td>Inclusion of Women and Minorities.........................................</td>
</tr>
<tr>
<td>Targeted/Planned Enrollment Table.........................................</td>
</tr>
<tr>
<td>Inclusion of Children.......................................................</td>
</tr>
</tbody>
</table>
2-Day Pre-Deadline Viewing Window

- PI strongly recommended to view grant image within 2 weekdays of availability in the NIH Commons for any content errors unless at or after submission deadline.
- Only AOR/SO (PreAward) has authority to “Reject” the image if there are errors.
- If no rejection within 2 business days of image availability, application automatically proceeds to next step in NIH processing.

Other Tools

- UNMHSC PreAward Web-site
  http://hsc.unm.edu/financialservices/preaward/

- Frequently Asked Questions
  http://era.nih.gov/ElectronicReceipt/faq.htm

- Electronic Submission Timeline
  http://era.nih.gov/ElectronicReceipt/strategy_timeline.htm

- Avoiding Common Errors
  http://era.nih.gov/ElectronicReceipt/avoiding_errors.htm

- New Adobe Forms Version B Instructions and Attachments
Finding Help: eRA Commons/Grants.gov

If help is needed with the eRA Commons registration or review process in the eRA Commons after submission through Grants.gov

- Check the resources available on the Grants.gov website first ([http://grants.gov/](http://grants.gov/))

- Grants.gov help is also provided by the following office:
  Grants.gov Customer Support
  Contact Center Phone: 1-800-518-4726
  Business Hours M-F 7 a.m.-9 p.m. EST
  Email support@grants.gov

- Check the resources available on the eRA Commons website:
  [https://commons.era.nih.gov/commons/index.jsp](https://commons.era.nih.gov/commons/index.jsp)

- eRA Commons Help Desk
  Phone: 301-402-7469
  Toll Free: 866-504-9552
  TTY: 301-451-5939
  Business hours M-F, 7am-8pm EST
  Email commons@od.nih.gov
  Web support: [http://ithelpdesk.nih.gov/eRA/](http://ithelpdesk.nih.gov/eRA/)
THANK YOU

Call Your Contract & Grant Administrator in PreAward Services HSC for Help 272-6264

QUESTIONS???