**General Information & Guidance**

Your RA can assist you with selecting the correct application package, completing the application forms, and attaching files.

R01, R03 and R21 Parent Applications Templates populated with static information are posted on OSP website. <http://sponsoredprograms.syr.edu>

Non-Parent applications packages must be downloaded from Grants.gov or the application initiated in ASSIST (preferred).

OSP, the authorized organizational representative for submitting applications to Grants.gov, is registered. *Ignore* registration instructions.

The SF 424 (R&R) *General Instructions for NIH and Other PHS Agencies* guide (SF 424 (R&R) Guide) and instructions deviating from the guide contained in the Funding Opportunity Announcement (FOA) must be followed. FOA instructions always supersede the SF 424 (R&R) Guide. The SF 424 (R&R) Guide may be found at <https://grants.nih.gov/grants/how-to-apply-application-guide.html>

Annotated sample and example proposals from NIAID. <https://www.niaid.nih.gov/grants-contracts/sample-applications>

Consider creating a shared site, such as Drop Box or Google Drive so you, OSP, department support and others have access to files.

Applications should be final three business days before application deadline to allow time to correct errors and omissions.

**FORMATTING REQUIREMENTS**

* **Font:** 
  + Must be 11 points or larger.
  + Type density:  Must be no more than 15 characters per linear inch (including characters and spaces).
  + Line spacing: Must be no more than six lines per vertical inch.
  + Smaller text in figures, graphs, diagrams and charts is acceptable provided it is legible when the page is viewed at 100%.
  + Arial, Georgia, Helvetica and Palatino Linotype are recommended.
  + Text color: No restriction. Though not required, black or other high-contrast text colors are recommended since they print well and are legible to the largest audience.
  + At least ½” margins
  + Do not include headers or footers in the attachments. eRA Commons will add headers, footers, page numbers, bookmarks and a table of contents to grant application upon submission. No applicant supplied information may be included in the margins.
  + Some PDF conversion software reduce font size. It is important to confirm the final PDF document complies with the font requirements.

**FILE NAMING**

* + Save all document attachments with descriptive filenames of 50 characters or less (including spaces).
  + Use unique filenames for all attachments in an application (or within a component of a multi-project application).
  + Use any of the following characters: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign.
  + Use one space (not two or more) between words or characters and do not begin the filename with a space or include a space immediately before the .pdf extension.
  + Avoid the use of ampersand (&) since it requires special formatting (i.e., &amp).

**PAGE LIMITS**

* Introduction for Resubmission or Revision – 1 pg.
* Specific Aims – 1 pg.
* Research Strategy (or follow FOA instructions):
  + R03/R21 ≤6 pages
  + R01 ≤12 pages
* Biosketch ≤5 pages
* Other page limits: <https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/page-limits.htm>

**NIH – Grants.gov Application Components**

Mandatory forms. Identified by boxes outlined in solid orange lines

Optional forms: Identified by boxes outlined in dashed orange lines

**SF 424 (R&R) Form Page**

* ***Box 1*** *Type of Submission*
  + - Use *Application* for first submission attempt for due date
    - Use *Changed/Corrected* when submitting again to Grants.gov to correct eRA identified errors/warnings
    - Do not use *Pre-application* unless specifically noted in FOA.
* **Box 2** *Date Submitted/Applicant Identifier*
  + Enter date submitted and OSP Inst. #
* **Box 3** *Date Received by State:* leave blank
* ***Box 4.a*** *Federal Identifier* – If new, leave blank. For resubmission, renewal or revision applications (Box 8), use institute and serial # of previous NIH grant application, e.g., use CA987654 for 1R01CA987654-01A1.
* ***Box 4.b*** *Agency Routing Number* – ordinarily N/A; use only if mandated by FOA
* ***Box 4.c***Previous *Grants.gov Tracking* ID for Changed/Corrected application (Box 1), e.g., GRANT12345678.
* ***Box 5.*** *DUNS No*.: 002257350  
  Legal Name: Syracuse University  
  Dept/Address: Office of Sponsored Programs, 211 Lyman Hall, Syracuse, NY, 13244-1270  
  Contact Person: Your OSP Research Administrator
* ***Box 6.*** *EIN*: for NIH only this is 1150532081A1
* ***Box 7.*** *Applicant Type*: O- Private Institution of Higher Education
* ***Box 8.*** *Type of Application* – select as appropriate: New, Resubmission, Renewal, Continuation (ordinarily not used) Revision (e.g., for Supplement)
* ***Box 9.*** pre-populated
* ***Box 10.*** *CFDA* - NIH will assign CFDA post-submission
* ***Box 11***. *Descriptive Title* ≤ 200 characters & spaces. Ordinarily renewal applications will have same title as previous award unless aims have significantly changed.
* ***Box 12.*** *Project Start/End Dates*. Ordinarily start date for review cycle. <http://grants.nih.gov/grants/funding/submissionschedule.htm#review>
* ***Box 13****.* *Congressional District*: NY-024
* ***Box 14.*** *PI/PD Name & Contact Information* In ASSIST, this populates from the Sr/Key Person Profile. In Adobe, enter applicable information.
* ***Box 15.*** *Estimated Project Funding*. Enter total direct and indirect costs (including subaward costs) in “a” and “c”. “b” and “d” ordinarily are $0.
* ***Box 16.*** *Subject to EO 12372*. Select “Program has not been selected by state for review.”
* ***Box 17.*** *Certification*. Completed by OSP upon submission. Certification therein relies on representations contained in the Internal Routing and Review Form.
* ***Box 18.*** *SFLLL* – Ordinarily No
* ***Box 19.*** *Authorized Representative*: OSP Research Administrator
* ***Box 20.*** *Pre-application* – ordinarily N/A.
* ***Box 21.*** *Cover letter*. Required for a late submission, explanation of subaward budget components not active for all budget periods, ≥$500,000 direct costs per budget period, video submission, large-scale human or non-human genomic data generation. No longer used to direct applications for assignment and review.

**PHS 398 RESEARCH PLAN**

**Field 1** *Introduction*: (for application resubmission) Summarize substantial additions, deletions, and changes to the application. Individual changes do not need to be identified within other application attachments (e.g., do not need to bold or italicize changes in Research Strategy)

 respond to the issues and criticism raised in the summary statement

 is one page or less in length, unless specified otherwise in the FOA or is specified differently in <https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/page-limits.htm>

**Field 2** *Specific Aims*: one page. Summarize goals; objectives; outcomes; impact

**Field 3** *Research Strategy*, present in separate sections:

* 1. Significance
  2. Innovation
  3. Approach
  4. Progress Report (applicable only to Renewal Applications:

**Field 4** *Progress Report Publication List* (renewal) (myBibliography may be helpful. <http://www.ncbi.nlm.nih.gov/books/NBK53595/>

**Fields 5 through 8** *Human Subjects Sections* – See <http://grants.nih.gov/grants/funding/424/SupplementalInstructions.pdf>

**Field 9** *Vertebrate Animals* Complete if Vertebrate Animals = Yes on Other Project Information Form. Address description of procedures, justifications, minimization of pain and distress, project/performance or collaborating site. See

http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf

**Field 10** *Select Agents* Applicable only if Select Agents involved in research. If so, contact SU Environmental Health and Safety Office to discuss planned use.

**Field 11** *Multiple PD/PI Leadership Plan*For multiple PD/PIs applications only. Include a leadership plan. Described why the multiple PD/PI approach is appropriate, the governance and organizational structure of the leadership team and the research project. Include communication plans, and procedures for making decisions on scientific direction and for resolving conflicts. Define the roles and administrative, technical, and scientific responsibilities for the project or program for the PD/PIs and other collaborators. If budget allocation is planned, the distribution of resources to specific parts of the project or the individual PD/PIs should be delineated in the Leadership Plan.

**Field 12** *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.

**Field 13** *Letters of Support*Include letters demonstrating the support of consortium participants and collaborators such as Senior/Key Personnel and Other Significant Contributors included in the application. Letters should stipulate expectations for co-authorship, and whether cell lines, samples or other resources promised in the letter are freely available to other investigators in the scientific community or will be provided to the particular investigators only. For *consultants*, letters should include rate/charge for consulting services and level of effort/number of hours per year anticipated. Letters ensuring *access to core facilities and resources* should stipulate whether access will be provided as a fee-for-service.

**Field 14** *Resource Sharing Plan* **–** single document. See Supplemental Instructions <http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf>

**Content of Resources Sharing Plan:**

* Data Sharing Plan: Required for any requests of direct costs of ≥$500,000 in any year orin specific FOA. Provide a brief 1-paragraph description of how final research data will be shared, or explain why data-sharing is not possible. See <http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf> or <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-032.html>.
* Sharing Model Organisms**:** All applications that will develop model organisms must include a specific plan for sharing and distributing unique model organisms or state why such sharing is restricted or not possible. See <http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf> and [NIH Guide NOT-OD-04-042](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-04-042.html).
* Genome Wide Association Studies (GWAS): 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. See Policy for Sharing of Data Obtained in NIH Supported or Conducted Genome-Wide Association Studies, [NIH Guide NOT-OD-07-088](http://www.nih.gov/grants/guide/notice-files/NOT-OD-07-088.html), and <https://gds.nih.gov/03policy2.html>

**Field 15** Authentication of Key Biological and/or Chemical Resources If applicable to the proposed science, briefly describe methods to ensure the identity and validity of key biological and/or chemical resources used in the proposed studies. A maximum of one page is suggested.

**Appendix** (if applicable): Do not use to circumvent research strategy page limits. Up to 10 attachments total allowed; provide descriptive file names, as order in assembled application may change. A summary sheet listing all items is encouraged and should precede first appendix item. The only acceptable appendix items are:

* For applications proposing clinical trials (unless the FOA provides other instructions for these materials): clinical trial protocols, Investigator's brochure from Investigational New Drug (IND), as appropriate.
* For all applications: blank informed consent/assent forms, blank surveys, questionnaires, data collection instruments, FOA-specified items

**PHS 398 Cover Page Supplement**

* ***Box 1*** *Human Subjects*
  + If Human Subjects = Yes on Other Project Information form, then an answer to the Clinical Trial question is required.
  + In Clinical Trial = Yes, then an answer to the Agency-Defined Phase III Clinical Trial question is required.
* ***Box 2*** *Vertebrate Animals*
  + If Vertebrate Animals = Yes on Other Project Information form, then answers to euthanasia questions are required
* ***Box 3.*** *Program Income* Check Yes if you will generate revenue directly from grant-activities (e.g., conference registration fees or equipment usage fees
* ***Box 4.*** *Human Embryonic Stem Cells* – Contact EHO and OSP if Yes.
* ***Box 6.*** *Inventions & Patents* (for renewals only)
* ***Box 7.*** *Change of Investigator* / Change of Institution. Ordinarily N/A for new applications

**R&R SENIOR/KEY PERSON PROFILE (expanded)**

* *Credential:* eRA Commons User Name must be provided for anyone assigned PI/PD role
* Multi-PI application: PIs of the respective collaborating institutions must have the PD/PI role.
* Co-PI is not recognized by NIH. Use Co-Investigator.
* Key personnel are individuals who contribute in a substantive, meaningful way to the scientific development or execution of project, whether or not salaries are requested. Post docs may be included if they meet this definistion.
* Include senior/key personnel from subawards.
* Include Other Significant Contributors (Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort).
* Current/Pending Support: Not Applicable

**Biosketch: SciENcv**

<http://www.ncbi.nlm.nih.gov/books/NBK154494/> is a valuable resource for creating NIH Biosketches. NIH Biosketch instructions and template available at https://grants.nih.gov/grants/forms/biosketch.htm

* *Education:* chronological order, include name and location of institution, degree received
* *Personal Statement:* briefly describe why your experience and qualifications make you well suited for your role in the project
* *Positions/Honors:* chronological order
* *Contribution to Science:* list up to five most significant contributions to science. Describe the historical background that frames the scientific problem; the central finding(s); the influence of the finding(s) on the progress of science or the application of those finding(s) to health or technology, and your specific role in the described work. Up to 4 publications may be cited for each contribution.
* *Research Support and/or Scholastic Performance:* ongoing/completed in the past 3 years (do not include person month effort or direct costs). If none, state so. This sections highlights key personnel’s accomplishment and will be used by the reviewers in the assessment of each person’s qualifications for a specific role in the proposed project, as well as to evaluate the overall qualifications of the research team*.*

**R&R Other Project Information**

* ***Box 1.*** *Are Human Subjects Involved*?
  + If Human Subjects = Yes, additional attachments are required in the PHS 398 Research Plan
  + IRB Approval Date is not required at time of submission, but may be requested later in the pre-award process as Just-In-Time data. Date cannot be in the future.
  + If Human Subjects = Yes, SU Human Subject Assurance No. 00007077
* ***Box 2.*** *Are Vertebrate Animals Used*
  + If Vertebrate Animals = Yes, additional attachments are required in the PHS 398 Research Plan.
  + IACAC Approval Date is not required at time of submission, but may be requested later in the pre-award process as Just-In-Time data.
  + SU Animal Welfare Assurance No. A3687-01
* ***Box 3.*** *Is proprietary / privileged information included*?
* ***Box 4.****Environmental impact*?
* ***Box 5.****Research performance site historical* (ordinarily No)
* ***Box 6.****Project involve activities outside the US or partnerships with international collaborators?*
* Also note on IRR. (report also as a Performance Site)

**Field 7** *Project Summary / Abstract*: No longer than 30 lines of text; succinct & accurate description of project.

**Field 8** *Project Narrative:* 2-3 sentences in plain everyday language on the project’s relevance to public health

**Field 9** *Bibliography & References Cited*(in Research Plan)

* References must include: all authors (as they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication.
* Limit to relevant and current literature.
* For articles that PI/team authored subject to the Public Access Policy: include the NIH Manuscript Submission reference number (e.g., NIHMS97531) or the PubMed Central (PMC) reference number (e.g., PMCID234567). For those journals that submit articles directly to PMC on behalf of their authors, indicate “PMC Journal – In Process.” A list of these journals is posted at: <http://publicaccess.nih.gov/submit_process_journals.htm>.
* Citations not covered by the Public Access Policy, but are publicly available in a free, online format may include URLs or PubMed ID (PMID) numbers along with the full reference

**Field 10** *Facilities and Other Resources* Used to assess the capability of environment to support project success. Describe, institutional support, physical resources (e.g., (Laboratory, Animal, Computer, Office, Clinical and Other) in direct support of the project. Indicate their capacities, pertinent capabilities, relative proximity and extent of availability to the project and intellectual rapport). Describe 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 Early Stage Investigators (ESIs), also describe institutional investment in your success, 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. See, <http://grants.nih.gov/grants/new_investigators/>.

* If there are multiple performance sites, describe the resources available at each site.
* Describe any special facilities used for working with biohazards or other potentially dangerous substances. Note: Information about select agents must be described in the Research Plan, Section 11 (Select Agent Research).

**Field 11** *Equipment*List equipment already available for the project and, if appropriate identify location and pertinent capabilities.

**Field 12** *Other Attachments* Only if required by FOA.

**PROJECT/PERFORMANCE SITE LOCATIONS**

* Ordinarily primary location is the applicant organization (SU)
* Any portion of the project performed at another site (e.g. subcontract) must be identified, need: DUNS number and congressional district

**PHS 398 Modular Budget**

* Used when annual direct costs minus consortium F&A are < $250,000 per year or if required by FOA
* Cognizant Agency (Name, POC, and No.): Department of Health and Human Services

Darryl Mayes

212-264-2069

Indirect Cost Rate Agreement: 1/9/17

* *Personnel Justification*: List all personnel who will be compensated on the project; include person months effort (calendar, AY or summer); describe role, responsibilities and provide sufficient information justifying why effort committed is appropriate and necessary for work. Do not include description of other costs.
* *Consortium Justification:* provide estimate of total costs rounded to the nearest $1000; list org. (foreign/domestic). List all personnel who will be compensated on the project; include person months effort (calendar, AY or summer); describe role, responsibilities and provide sufficient information justifying why effort committed is appropriate and necessary for work. Do not include description of other costs.
* *Additional Narrative Justification* Include if the requested budget requires any additional justification (e.g., variations in the number of modules requested).

**Detailed Budget Component**

* Applicable to applications in which direct costs minus consortium F&A exceed $250K per year or when required by FOA
* Budget Justification:
* Senior/Key Person: List SU PI and Co-I’s who will be compensated on the project; include person months effort (calendar, AY or summer); describe role, responsibilities and provide sufficient information justifying why effort committed is appropriate and necessary for work
* Justify all Other Personnel, e.g., post docs, grad students, as for Senior/Key Person. Name personnel, if known.
* Essential administrative/clerical support ordinarily supported by F&A must be appropriately justified.
* *Equipmen*t Adequately justified - why essential to the success of the research project, is similar equipment reasonably available and if so, why not suitable for the project – what is the impact of not acquiring on the project
* *Travel* Where, who, purpose, duration, and estimated costs per traveler, e.g., airfare, hotel, meals, conference registration fees.
* *Consultant* Name the consultants and describe work to be performed; daily rate of pay; number of days (must also provide a letter of collaboration with above described elements)

**R&R Subaward Budget**

* Detailed Budgets require the submission of a Detailed Subaward Budgets. To be completed by proposed subrecipient and provided to OSP.

**PHS 398 Planned and Cumulative Inclusion Enrollment Report**

* When submitting a new or competing renewal application to the NIH that includes NIH-defined clinical research, a Planned Enrollment Report must be completed for each study.
* In addition to Planned Enrollment Reports, if you are submitting a competing renewal application you should also complete a Cumulative Inclusion Enrollment Report(s) to describe progress on inclusion from the previous funding period.
* If you are conducting a new research study using an existing dataset, use the Cumulative Inclusion Enrollment Report rather than the Planned Enrollment Report.
* See for instructions on completing the forms

<http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf>

**PHS Assignment Request Form**

Optional Form. NIH applicants have the opportunity to suggest information to help NIH refer and review grant applications. Form replaces the Cover Letter assignment request. Applicants should use the assignment request form if they choose to:

* request assignment to an institute/center for funding consideration
* request assignment to a particular study section for initial peer review
* identify individuals they do not think should review their application
* identify scientific areas of expertise needed to review their application