

## BASIC RULES

Refer to [Grants.gov Application Guide](#) (SF 424 R&R) for more information on the topics below.

**Format** with Arial, Helvetica, Palatino Linotype or Georgia; black ink; 11 point font; single line spacing; no headers or footers.

**Download** the *most recent* Grant Application Package in response to the FOA (funding opportunity announcement) by clicking on “Apply for Grant Electronically” button in FOA.

**Open** the application package:

- **Application Filing Name:** insert “Transum Number\_Name\_Deadline Date.” (for PHS and NIH agencies).
- **Click on each form under “Mandatory Documents”** on the left side of the Grants.gov selector page;
- **Click “Move Form to Complete”** to move to right side under “Mandatory Documents for Submission”
- **Click “Open Form”.**
- **Begin** your work.
- **Click on each relevant form under “Optional Documents”** on the left side of the Grants.gov selector page;
- **Click “Move Form to Complete”** to move to right side under “Optional Documents for Submission”
- **Save** your work.
- **Do not “Save & Submit” – only GCA can submit.**

**Follow the specifics of each Funding Opportunity Announcement for additional requirements.**

## SPECIFIC RULES for completing PHS/NIH applications

### SF 424 (R&R) Application for Federal Assistance (Cover Page)

1. Type is usually “Application”
2. Date Submitted – leave blank
  - a. Applicant Identifier: Use Transum Legacy Number
3. Leave Blank
4. (a) Federal Identifier: Use two letter Institute Code and six digit grant # for Resubmission/Renewal (e.g., GM012345) (NIH only); Use eight digit Grants.gov number for Changed/Corrected. 4.(b) Leave Blank.
5. Applicant Information: Yale University, Grant&Contract Administration, 47 College Street, Suite 203, P.O. Box 208047, New Haven, CT 06520-8047.
  - a. DUNS #: 0432075620000
  - b. Person to be contacted is your GCA Reviewer’s name; phone:203-785-4689; fax: 203-785-4159; email: gcat(Team Number)@yale.edu (e.g., gcat1@yale.edu)
6. EIN #: 06-0646973; 1060646973A1(for NIH only).
7. Type is always O: Private Institution of Higher Education

8. Type – choose applicable; answer yes or no.
9. Autofilled by the application package.
10. Autofilled by the application package; or blank.
11. Descriptive Title of Project – limited to 81 characters.
12. Project Dates: Use earliest NIH suggested start date. For renewal applications, start date must be after end date of current project period. (*Important – must match dates on budget pages*)
13. Areas – use 2 letter state codes and 3 digits Cong. Districts as applicable (i.e. CT-003)
14. PD/PI Information – fill out completely –include suffix (terminal degree).
15. a. + 15.b = 15.c. 15.b. and 15 d. – usually \$0.00 blank unless there is program income.
16. b. NO
17. Check box
18. GCA completes this form, where required.
19. Signing Official from Grants & Contracts Team for your Department.
20. Only if FOA is for a “pre-application”.

**Project/Performance Site Location(s):**

- Name all applicable sites, starting with Yale and including consortium sites as appropriate.
- List Congressional District for each site as two-letter state and three-digit district: (CT-003 for Yale). If program/performance site is outside the US, enter 00-000.
- Do not check box (Yale is not an individual).

**RESEARCH & RELATED Other Project Information:**

1. HUMANS: If yes, then 1.a check yes or no re exemption; if 1.a no, check yes for “pending”.  
Insert Human Subject Assurance Number: 00002571
2. ANIMALS: If yes, then Review must be Pending, leave date blank, enter Animal Welfare Assurance # A3230-01
3. As applicable
4. As applicable
5. No.
6. Foreign collaborators indicated here.
7. Project Summary/Abstract: Description of proposed research; limited to 30 lines of text.  
**\*\*K application: 1 pg limit summarizing Candidate; Environment; Research.**
8. Project Narrative: Relevance of the research to public health; no more than 2-3 sentences
9. Bibliography & References Cited: Use bibliographic citations, and include NIHMS or PMCID numbers for those publications underwritten with NIH support. URLs acceptable for those publications not covered by the Public Access Policy.
10. Facilities & Other Resources – Describe only those resources that are directly applicable to the proposed work and how those resources will contribute to the probability of success of the proposed work.  
**\*\*K application: Institutional facilities and resources available to candidate.**
11. Equipment : Major items ≥ \$5000; identify location and capabilities pertinent to proposed work.

12. Other Attachments: Use for additional project information (a) not already provided or (b) in accordance with FOA.

**\*\*Mentored K application: List of Referees, including name, departmental affiliation, institution. The same info is included in the Cover Letter.**

### **RESEARCH & RELATED Senior/Key Profile (Expanded):**

- For each Senior/Key Person, complete contact information. Include eRA Commons UserName in “Credential” field (NIH only).
- Alphabetize Senior/Key Persons by Project Role/Project Category (according to effort on project). Other Significant Contributors (those without measureable effort) are then listed in alphabetical order.
- “Co-PD/PI” is not accepted by NIH; Use “Other” and “Investigator” or “Co-Investigator”
- For multiple PD/PI grants, all PIs are called “PD/PI”, contact PI is listed under “PROFILE-PD/PI” and other PIs are listed in Senior/Key Person 1, 2, etc. in alpha order. Include required Multiple PD/PI Leadership Plan in PHS 398 Research Plan #12
- **Biosketch:** four-page limit; refer to [this format page and sample biosketch](#).
  - A. Personal Statement: Describe why experience and qualifications make researcher particularly well-suited for role in the proposed project.
  - B. Positions and Honors: List in chronological order, ending with present position.
  - C. Publications: Limited to 15; selection based upon recency, importance to the field, relevancy to the proposed research.
  - D. Ongoing and completed (last 3 years) research, beginning with projects most relevant to proposed research; include goals of and role on each project.
  - Never include pending research, direct costs, person months.

### **Special Instructions for Career Development Award Applications (K Awards) pp I-128-**

- **Candidate Biosketch:** (4 pg limit) with different headings
  - *Personal Statement:* Describe why experience and qualifications make candidate particularly well-suited to receive the K award for which applying.
  - *Research and/or Professional Experience* with these subheadings:
    - Employment:* list in chronological order, beginning with first position following baccalaureate degree.
    - Honors:* Academic and Professional Honors.
    - Professional Societies and Public Advisory Committees*
  - *Publications:* Limited to 15; selection based upon recency, importance to the field, relevancy to candidate’s proposed research. Includes “original research and theoretical treatises; Non-experimental articles; Books, pamphlets, etc.”
  - *Ongoing and completed (last 3 years) research,* beginning with projects most relevant to proposed research; include goals of and role on each project.
- **Mentor/Co-Mentor Biosketch:**
  - Biosketch should refer to role as Mentor and be tailored to candidate and candidate’s research plan.

- Current & Pending Support relevant to candidate's research plan as a separate attachment.

**PHS 398 Cover Page Supplement:**

1. Auto-filled from SF424 R&R Cover Page.
2. Mark clinical trial and NIH Phase III if applicable
3. Complete Title and your Grant & Contract Team address
4. Must be checked yes or no

**PHS 398 Research Plan (for R proposals):**

**1. Application Type:** select.

**2. Research Plan Attachments:**

1. Introduction to application – Resubmission/Revision only; 1 page limit.
2. Specific aims – 1 page limit
3. Research Strategy – 6 page or 12 page limit (check FOA)
  - a. Significance
  - b. Innovation
  - c. Approach
    - i. Preliminary Studies for New Applications
    - ii. Progress Report for Renewal/Revision Applications.
4. Inclusion enrollment report – Include for competitive renewals as applicable
5. Progress report publication list – Include for competitive renewals only

**Human Subjects Sections**

6. If yes, then required.
7. If yes, then required.
8. If yes, then required.
9. If yes, then required.

If you checked “yes” on the R&R Other Project Information page, all four sections (6-9) are necessary even if the answer is “Not applicable.”

**Other Research Plan Sections**

10. Vertebrate Animals – if you checked “yes” on the R&R Other Project Information page, this section is necessary. Do not reference an approved protocol as each research plan must be separately reviewed for congruency against your approved protocols. Since this is a new/renewal proposal the description of your proposed research should be written in future tense.
11. Select Agent Research – explain as applicable
12. Multiple PD/PI Leadership Plan – Required for Multiple PD/PI applications.
13. Consortium/Contractual Arrangements -Explain the programmatic, fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s).
14. Letters of Support – Attach one pdf file with letters from all collaborators/other significant contributors.

15. Unique Research Resource Sharing Plan – not required for all applications– read the terms of each specific PA to which you plan to apply.

**Sample:** Research Resources generated with funds from this grant will be freely distributed, as available, to qualified academic investigators for non-commercial research. My institution and I will adhere to the NIH Grants Policy on Sharing of Unique Research Resources including the “[Sharing of Biomedical Research Resources: Principles and Guidelines for Recipients of NIH Grants and Contracts](#)” issued in December, 1999. Specifically, material transfers would be made with no more restrictive terms than in the Simple Letter Agreement or the UBMTA and without reach through requirements. Should any intellectual property arise which requires a patent, we would ensure that the technology remains widely available to the research community in accordance with the NIH Principles and Guidelines document.

16. Appendix – A maximum of 10 PDF attachments is allowed. If more than 10 are needed, combine the remaining information into attachment #10. If you have multiple items, include a summary sheet listing all of the items as the first appendix attachment.

**Publications – Only 3 allowed, and only under the following circumstances:**

- **Manuscripts and/or abstracts accepted for publication but not yet published:** The entire article should be submitted as a PDF attachment.
- **Manuscripts and/or abstracts published, but a free, online, publicly available journal link is not available:** The entire article should be submitted as a PDF attachment.
- **Patents directly relevant to the project:** The entire document should be submitted as a PDF attachment.

**Not Allowed in Appendix**

**Photographs or color images of gels, micrographs**, etc., are no longer accepted as Appendix material. These images must be included in the Research Plan PDF. However, images embedded in publications are allowed.

**Publications with URLs or PMCs** are not allowed; rather, they should be included in the Bibliography, Progress Report Publications List, and/or BioSketch.

## **PHS 398 Career Development Award Supplemental Form (K Awards) pp I-139-**

### **2. Career Development Award Attachments: Items 2, 3, 4, 5, and 11 = 12 pp**

1. Introduction to application – Resubmission/Revision only; 1 page limit.

#### Candidate Information

2. *Candidate's Background*

3. *Career Goals and Objectives*

4. *Career Development/Training Activities During Award Period*

5. *Training in the Responsible Conduct of Research*

6. *Mentoring Plan: for Non-Mentored proposals (K05 and K24 only); 6 page limit.*

#### Statements of Support

7. *Statements by Mentor, Co-Mentors, Consultants, Contributors (as appropriate) describing how they will contribute to the development of the candidate's research career; 6 page limit.*

#### Environment and Institutional Commitment to Candidate

8. *Description of Institutional Environment – strong, well-established research program related to candidate's area of interest; 1 page limit.*

9. *Institutional Commitment to Candidate's Research Career Development – on institutional letterhead, describing commitment to candidate and candidate's career plan, independent of proposal. Usually signed by Dean or Chair of Department; 1 page limit.*

### Research Plan

10. *Specific Aims: 1 pg: goals of research and impact of proposed research on field of research.*

11. *Research Strategy*

a. *Significance*

b. *Innovation*

c. *Approach*

i. *Preliminary Studies for New Applications*

ii. *Progress Report for Renewal/Revision Applications.*

12. *Inclusion enrollment report – Include for competitive renewals as applicable*

13. *Progress report publication list – Include for competitive renewals only*

### **Human Subjects Sections**

14. *If yes, then required.*

15. *If yes, then required.*

16. *If yes, then required.*

17. *If yes, then required.*

*If you checked “yes” on the R&R Other Project Information page, all four sections (14-17) are necessary even if the answer is “Not applicable.”*

### **Other Research Plan Sections**

18. *Vertebrate Animals – if you checked “yes”*

19. *Select Agent Research*

20. *Consortium/Contractual Arrangements*

21. *Resource Sharing Plan*

22. *Appendix (same rules as for other PHS applications)*

**3. Citizenship** – check appropriate box.

### **PHS 398 Checklist:**

1. Application Type. For resubmissions of renewals, type is resubmission. Include Federal Identifier (IC + 6 digits, i.e. GM012345). Revision is used for supplemental funding requests such as Administrative or Minority Supplements.

2. Change of Investigator/Change of Institution Questions – Consult with your Grants Reviewer if applicable.

3. Inventions and Patents – required for renewal applications and resubmissions of renewal applications.

4. Program Income – Usually NO.

5. Disclosure Permission Statement – check Yes or No, depending upon PI’s preference.

## Optional Documents:

Budget is mandatory, but you must select either a Modular Budget ( $\leq$  \$250K/ annual Direct Costs) or a detailed Research & Related Budget ( $>$  \$250K/annual Direct Costs) for each application. **\*\*K applications always require a detailed Research and Related Budget.**

## PHS Cover Letter

NIH strongly encourages as cover letters are not shared with reviewers but are used by the CSR to assign your application for review.

A cover letter is mandatory for

- (1) an application with direct costs in a single year over \$500K;
- (2) a late or “continuous submission” application (PI on study section); or,
- (3) a changed/corrected application submitted after deadline to correct errors.
- (4) **mentored K applications, to list the referees.**

Search the [PHS SF424 \(R&R\) Guide](#) for “Cover Letter” for details on the cover letter.

## PHS 398 Modular Budget – under \$250K in annual Direct Costs

Enter dates – must be the same as Cover Page project periods.

- A. Direct Costs – enter as required (see [PHS SF424 \(R&R\) Guide](#))
- B. Indirect Costs:
  - a. Type of Direct Costs; Modified Total Direct Costs (MTDC)
  - b. Cognizant Agency (Agency Name, POC Name and Phone Number):  
DHHS, Michael Stanco, 212-264-2069  
Use latest DHHS Agreement Date:  
[http://www.yale.edu/grants/proposal\\_dev/pdf/ratesFY12-1.pdf](http://www.yale.edu/grants/proposal_dev/pdf/ratesFY12-1.pdf)
  - c. Complete for EACH budget period.
- C. Total Direct & Indirect Costs – must equal Cover Page and Proposal Data Collection (PDC) sheet totals.

## Cumulative Budget Information:

1. Attach Personnel Justification PDF file
  - i. Begin with PI, list and justify all personnel including OSCs. Include effort in calendar months, OR academic and summer months. Do not use % for effort.
  - ii. Do NOT justify any other expenses.
2. Attach Consortium justification PDF file – use only if necessary
  - i. Include annual direct costs for each year.
3. Attach Additional Narrative Justification PDF file only if you have a variation in the number of modules you are requesting.

**Research & Related Budget – over \$250K in annual Direct Costs; all K applications**  
Follow instructions carefully in [PHS SF424 \(R&R\) Guide](#)

***\*\*K applications: “Other Direct Costs” – total inserted at “F.1: Materials and Supplies.”  
Budget Justification must include detail on specific items (equipment, supplies, other personnel) needed to help achieve proposed career development and research objectives.  
Check NIH Agency to which K application is directed to determine “salary cap”.***

1. Do not use 0.0 effort – effort must be a minimum of .12 months for Key Personnel. Do not include Other Significant Contributors on budget pages but DO include them in the Budget Justification.
2. Attach budget justification in year 01 (you will not be able to proceed to next period without this step).
3. Do NOT change PD/PI role to anything else – this will cause error
4. Do not forget to include effort for Senior/Key Persons in each year.
5. Remember dates for each year.
6. Include Cognizant Agency info in each year.
7. Do not use Participant Support Costs for anything other than Conference Grants.

**R & R Subaward Budget:**

1. Extract a budget and email it to each of the proposed consortium/subawardee contacts to complete.
2. When returned, check carefully for the following:
  - a. Dates match prime proposal dates
  - b. DUNS number of each institution has been completed (ending with four zeros).
  - c. Format is in .pdf format.
  - d. Budget Justification is attached in .pdf format.
3. Attach .pdf file for each consortium using name of institution as filename in Attachment 1, 2, etc. (i.e. Baylor.pdf, Columbia.pdf)