

Principal Investigator Training- grantsERA  
and Other Grants.gov Issues



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## Part I: grantsERA

### Understanding grantsERA

What is grantsERA?

GrantsERA is a web-based tool for managing the process of applying for research grants. The system handles all aspects of writing, revising, and submitting grant applications in electronic form to Grants.gov for applicable NIH grant applications and other PHS applications.

### grantsERA Screens and Navigation

The grantsERA application contains specific menus based on the users' profile setup. Since the application is web-based, movement between menus is done by simply clicking on the respective word or menu (hyperlinking).

### Logging onto the System

The Principal Investigator should contact his/her Grant and Contract Officer at OSR to obtain a user name and password.

Please enter the following address into your web browser:

<https://grants.rosalindfranklin.edu/Authentication/Logon.aspx>

- Enter your **User ID**.
- Enter your **password**.

Training

Welcome to grantsERA

New to grantsERA?  
[Register here.](#)  
The grantsERA system is a web-based software system designed for the new era of electronic research administration.

Instructions:  
1) First time Login Users, you cannot enter the system until the grantsERA System Administrator has processed your registration request.  
2) You will receive an email with login instructions once your registration has been approved by the grantsERA System Administrator.

You may login using your userid or your registered e-mail address

UserID or Email Address

Password

[Forgot Password?](#)

Electronic Grants System  
**grantsERA**

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## PI Home Page

The PI home page will contain a listing and current status of all of his/her proposals. If the PI does not have any proposals submitted to OSR, then the PI will have a blank home page.

### PI Home Page without Proposals

The screenshot shows the grantsERA interface for a Principal Investigator named John Rodman. The page title is "All Proposals" and it indicates "Page 1 of 1". There are navigation buttons (back, forward) and a "Records per Page" dropdown set to 10. The table below shows the column headers for the proposal list.

Edit View	Copy	Proposal Number	Title	Department	Sponsor	Program	Due Date	Modified Date	Change Status	Status
-----------	------	-----------------	-------	------------	---------	---------	----------	---------------	---------------	--------

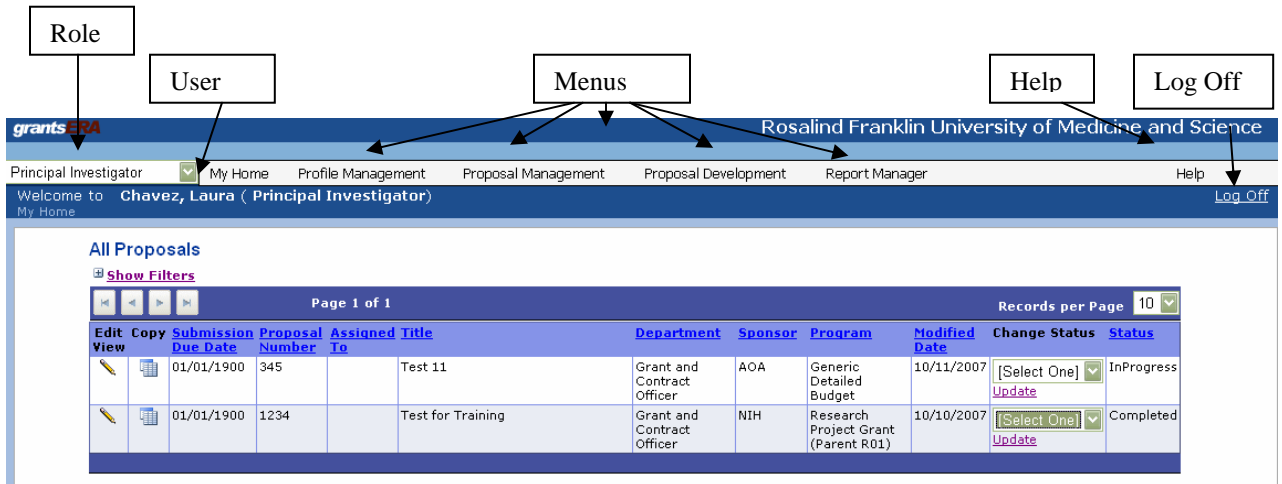
### PI Home Page WITH Proposals

The screenshot shows the grantsERA interface for a Principal Investigator named Laura Chavez. The page title is "All Proposals" and it indicates "Page 1 of 2". There are navigation buttons (back, forward) and a "Records per Page" dropdown set to 10. The table below shows the data for seven proposals.

Edit View	Copy	Submission Due Date	Proposal Number	Assigned Title	Department	Sponsor	Program	Modified Date	Change Status	Status
		01/01/1900	2007169	Gene Therapy for Batten Disease	Center for Stem Cell	Cornell Fed Sub	New award-proposal	08/28/2007	[Select One] Update	Awarded
		01/01/1900	2007168	Stem Cell Proliferation Changes in RMS with Age	Center for Stem Cell	NIH	New award-proposal	08/28/2007	[Select One] Update	Awarded
		01/01/1900	2007167	Neurogenesis in the Aging Brain	Center for Stem Cell	NIH	New award-proposal	08/28/2007	[Select One] Update	Awarded
		01/01/1900	2007166	Stem Cells for Brain Repair	Center for Stem Cell	NIH	sample with 1 form	08/28/2007	[Select One] Update	Awarded
			1275	Copy of Neurogenesis in the Aging Brain	Neuroscience	NIH	Default	08/22/2007	[Select One] Update	Withdrawn
			2007107	Modulation of hippocampal neurogenesis by acute an...	Neuroscience	NARSAD	Generic Detailed Budget	03/01/2007	[Select One] Update	Submitted
			200771	Stem Cells For Brain Repair	Neuroscience	NIH	Generic SF424	12/26/2006	[Select One] Update	Rejected

## Navigation

Moving around in the grantsERA screen is fairly easy. The PI simply clicks on the desired link or field that he/she would like to access. Listed below is a picture of the home screen for a Principal Investigator.



Screen Labels	Purpose
User ID	Lists the user's name
Role	Lists the user's role in the grant management process (i.e., PI, AA,)
Edit	Allows PI to edit the proposal
Delete	Allows PI to delete the proposal
Copy	Allows PI to copy the proposal
Proposal Number	Proposal number (it will be entered by OSR)
Title	Title of proposal the PI is working on
Department	PI's department
Sponsor	Grant maker
Program	The name of program issued by grant maker
Due Date	Indicates the due date of proposal
Modified Date	Date proposal was last modified. Most recently modified proposals appear at top of grid.
Update Status	Allows PI to update status of current proposals
Status	Contains current status of proposal within routing cycle
Show/Hide	Allows PI to hide a section of a window for larger viewing area, or show entire screen. Available in title screen and proposal sections.

## Profile Management

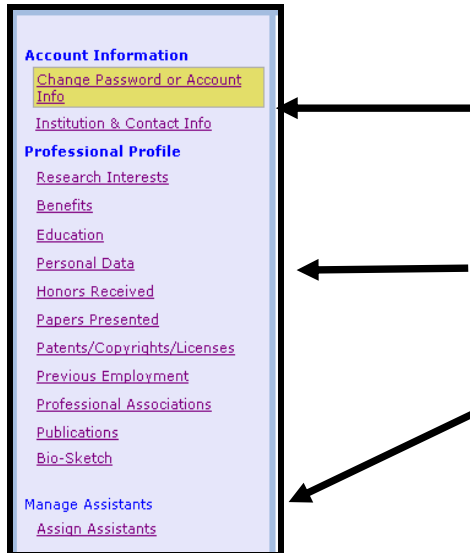
All Users can review and update their registration information. When you register, the following information is collected:

- user ID
- email address
- password
- hint question and answer

The PI (Principal Investigator) has two options: **Edit Profile** and **Assign Assistants** in the **Profile Management** menu option.

## Edit Profile

When the PI clicks on the **Profile Management>Edit Profile**, the following menu will appear on the left side of the forms. To navigate between the forms, simply fill out the form and save it before moving on to another link.



**Account Information**  
[Change Password or Account Info](#)  
[Institution & Contact Info](#)

**Professional Profile**  
[Research Interests](#)  
[Benefits](#)  
[Education](#)  
[Personal Data](#)  
[Honors Received](#)  
[Papers Presented](#)  
[Patents/Copyrights/Licenses](#)  
[Previous Employment](#)  
[Professional Associations](#)  
[Publications](#)  
[Bio-Sketch](#)

**Manage Assistants**  
[Assign Assistants](#)

There are 3 sections:

**Account Information:** Allows PIs to change their basic account information and password. It also allows PIs to change their institution and contact information.

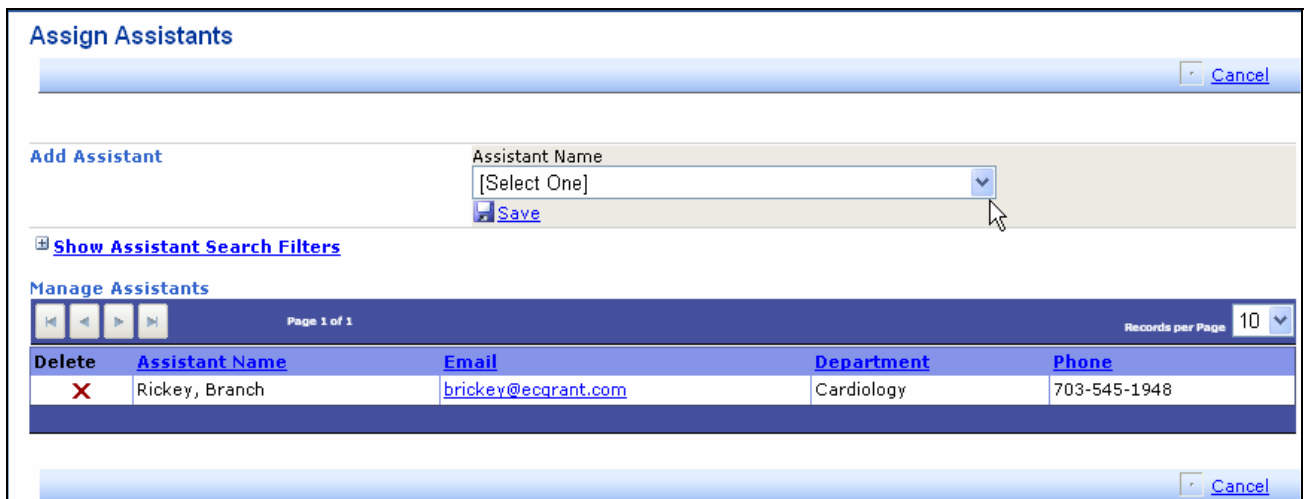
**Professional Profile:** Allows PIs to enter important professional information that is useful when applying for grants. The information is stored in the system and can be updated whenever necessary.

**Manage Assistants:** Allows PIs to add one or more Assistants. Assistants can create and edit proposals and profiles for all PIs to whom they are assigned.

## Assign Assistants

PIs (Principal Investigators) may have assistants. PIs can give them rights to work on their proposals within grantsERA. PIs must contact their OSR Grant and Contract Officer to register the assistants in grantsERA as an AA (Administrative Assistant).

Click **Profile Management>Assign Assistants** and the following menu will appear.



**Assign Assistants**

**Add Assistant**

Assistant Name  
[Select One]

**Manage Assistants**

Page 1 of 1 Records per Page 10

Delete	Assistant Name	Email	Department	Phone
<input type="checkbox"/>	Rickey, Branch	<a href="mailto:brickey@ecgrant.com">brickey@ecgrant.com</a>	Cardiology	703-545-1948

- Select an Assistant from the Assistant Name drop-down list.
- Once you add an Assistant, the Assistant's name is displayed in the Manage Assistants grid shown above.

Function	Purpose
Add Assistant	Allows PIs to select an Assistant from the pull-down list. Click on Save to add Assistant.
Show Assistant Search Filters	Allows PIs to search for an Assistant by User ID or E-Mail ID
Manage Assistants	Allows PIs to delete an Assistant by clicking on the red X. You can sort the columns if necessary by clicking on the column headings.
Cancel	Click on Cancel to clear erroneous data before clicking on Save button.

## Proposal Management

The Proposal Management menu contains 10 menu choices and it is probably one of the more frequently used menus in grantsERA by the PI (Principal Investigator). The choices available are described in the table below. The PI will find the **Proposals>List Proposals** menu very helpful, as it provides an easy method to check the status of existing proposals.

### Status Descriptions:

Menu Item	Function
In Progress	Shows proposals currently in progress or being worked on. PIs can edit or make modifications to them before submitting them for review.
Completed	Shows proposals that are completed. Completed proposals should have all the information required by the grant maker/sponsor. The PI or AA should mark a proposal as Completed in order for it to go to Routing & Approval. When you mark a proposal Completed, the system notifies the Grant and Contract Officer at RFUMS via email.
Routing and Approval	A proposal is released to Routing & Approval when it is ready for internal review. The internal review is the responsibility of the OSR who has the Approving Official role in grantsERA. The PI can check on the status of the review.
Approved	Shows a listing of the proposals that have been approved by OSR and are now ready for submission
Disapproved	Shows a list of proposals that have been disapproved. PIs can review the comments to find out why the proposal was disapproved.
Submitted	Shows proposals submitted to sponsors

Awarded	Shows proposals that have been awarded to institution by sponsors/grant makers
Rejected	Shows proposals that have been rejected by sponsor/grant maker
All Proposals	Shows all proposals assigned to PI
Withdrawn	Shows proposals that have been withdrawn for various reasons

## Proposal Development

GrantsERA allows you to create federal proposals (Grants.gov) within grantsERA (currently only applicable NIH grant applications and other PHS applications are associated with grantsERA). Proposals will be created online, printed and routed to OSR for submission to Grants.gov. The final data will be used by OSR for reporting purposes.

### Creating a Grants.gov Proposal

You must know the Opportunity ID from the Grants.gov website to access that opportunity.

- Click on **Proposal Development>Create Proposal.**

**Create Application (Proposal)**

Opportunity ID

CFDA Number

Instructions:

- Search Opportunities use Opportunity ID and/or CFDA Number.
- Get the Opportunity ID or CFDA number from [www.grants.gov](http://www.grants.gov) web site.
- At present CFDA Numbers are not unique, so please use Opportunity ID for search purpose.

- Click on Grants.Gov from the drop-down list.
- Enter in the Opportunity ID (as a reminder, only applicable NIH grant applications and other PHS applications are currently handled by grantsERA.)

GrantsGov ▾

Opportunity ID

CFDA Number

Instructions:

- Search Opportunities use Opportunity ID and/or CFDA Number.
- Get the Opportunity ID or CFDA number from [www.grants.gov](http://www.grants.gov) web site.
- At present CFDA Numbers are not unique, so please use Opportunity ID for search purpose.

- Click on the **GO** button.
- GrantsERA will go to Grants.gov and retrieve the application and all required forms.
- Each Opportunity requires a sponsor/grant maker. From the pull-down menu, you must select the respective grant maker for this opportunity.

**NOTE:** You will only have to do this the first time this opportunity is accessed.

Create Application (Proposal)

This Opportunity requires a grant maker, Please select a Grant maker or add a new Grant Maker.

Select/Add Grant Maker

- Select a grant maker form the Grant Maker List.

This Opportunity requires a grant maker, Please select a Grant maker or add a new Grant Maker.

Select/Add Grant Maker

**Grant Maker List**

- Click on Add Grant Maker.
- The Proposal Title Page will appear.

## Proposal Title Page

**Title Page**

Save Previous Next Validate Complete Proposal Send To Routing View/Print Submit Mail Reset Exit

Proposal Title: **Red Blood Cell Membrane Absorption Rates in Elderly** Status: **InProgress**  
PI 's Name: **Rodman, John**  
Proposal To: **R01 OTHER-AGENCY System-to-System RFA[National Institute of Health]**

**Read Only**

Grant Application Package

Application Filing Name (Proposal Title): **Red Blood Cell Membrane Absorption Rates in Elderly**  
Proposal Number: **NH-22607**  
Opportunity Title: **R01 OTHER-AGENCY System-to-System RFA**  
Sponsor: **National Institute of Health**  
CFDA Number:  
CFDA Description:  
Opportunity Number: **RFA-CC-SS-R01**  
Competition ID: **VERSION-2A**  
Opportunity Open Date: **11/1/2006 12:00:00 AM**  
Opportunity Closing Date: **12/29/2007 12:00:00 AM**  
Sponsor Contacts:

**Instructions:**  
Enter a name for the application in the Application Filing Name field.

[Title Page](#)  
[Proposal](#)  
[Routing](#)

- Fill in the Proposal Title.

**Note:** Please leave the Proposal Number blank and click on **Save**. **GrantsERA** will automatically fill in the Proposal Number field. OSR will later input the correct number.

**grantsERA** Rosalind Franklin University of Medicine and Science

SHOW

Save Previous Next Validate Complete Proposal Send To Routing View/Print Submit Mail Reset Exit

Proposal Title: **Test Title** Status: **InProgress**  
PI 's Name: **Chavez, Laura** Proposal Number: **grantsERA**  
Proposal To: **Research Project Grant (Parent R01)[National Institute Of Health]**

Grant Application Package

Application Filing Name (Proposal Title): **Red Blood Cell Membrana Absorption**  
Proposal Number: **grantsERA**  
Submission Due Date: **1/1/1900**

Once the PI saves the title page, a navigation panel will appear with three different sections: Title Page, Proposal, and Routing.

## Working in a Proposal

To navigate within the Proposal Index section, click on the desired link. It will take PIs to the desired section within the proposal.

The PI can also navigate between the Title Page, Proposal Section, Routing Form, and the Pre-Award and Post Award sections (depending on the status of the proposal) by clicking on the various tabs as shown below.

The screenshot shows a web application interface for a proposal. On the left, a sidebar contains a 'Section Navigation Icons' area with three buttons: 'Title Page', 'Proposal Section', and 'Routing Form'. The 'Title Page' button is highlighted with a red box. At the top of the main content area, a 'Proposal Button Navigation Bar' contains several buttons: 'Save', 'Previous', 'Next', 'Validate', 'Complete Proposal', 'Send To Routing', 'View/Print', 'Submit', 'Mail', 'Reset', and 'Exit'. The 'Submit' button is highlighted with a red box. The main content area displays a 'Grant Application Package' form with the following fields:

- Application Filing Name (Proposal Title): Infectious Diseases and Containment in Flood Prone Neighborhoods
- Proposal Number: RH-NIH-168
- Applicant Name: Sandberg, Carl
- Opportunity Title: R34 System-to-System PAR
- Sponsor: National Institutes of Health
- CFDA Number:
- CFDA Description:
- Opportunity Number: PAR-SS-R34
- Competition ID: VERSION-2
- Opportunity Open Date: 6/23/2006 12:00:00 AM
- Opportunity Closing Date: 12/29/2007 12:00:00 AM
- Sponsor Contacts:

Below the form, there is an 'Instructions' section with the following text:

**Instructions:**

- 1) Enter a name for the application in the Application Filing Name field.

- You can save your application at any time by clicking the "Save" button at the top of your screen and Click 'Next' and 'Prev' buttons to move to the other screens.
- The "Submit" button will not be functional until the application is complete and saved.
- 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.

Each Header Section of a proposal contains the Delete Section Data and Get Profile Data links.

The screenshot shows the header section of a proposal. The header contains the following information:

- Proposal Title: **Tactile Discrimination in Dyslexic Children**
- PI's Name: **Rodman, John**
- Proposal To: **R15 System-to-System Program Announcement[National Institutes of Health]**
- Status: **InProgress**

At the bottom of the header, there are two buttons: [Delete Section Data](#) and [Get Profile data](#). Both buttons are highlighted with red boxes. At the bottom left, there are two page indicators: [Page 1](#) and [Page 2](#).

Delete Section Data - Deletes complete section data and retrieves matching profile data

Get Profile Data- Deletes complete section data and retrieves matching profile data

Section	Navigation Item
<b>Proposal Index</b>	Click on the respective section in the proposal index and it will appear on screen.
<b>Proposal Button Navigation Bar</b>	Used to navigate around proposal screens
	Saves information on form
	Moves PIs to previous page if one exists
	Moves PIs to next page if one exists
	Checks fields on application to ensure required fields on proposal are completed
	Changes status of proposal from “in progress” to “complete”
	Sends proposal to internal routing cycle. OSR Grant and Contract Officers will be notified by e-mail that they have an application that needs to be reviewed.
	Prints a copy of proposal or designated pages within application
	Electronically submits proposal to Grants.gov (only OSR can submit a proposal)
	RFUMS does not use this feature.
	Clears data fields on grantsERA form
	Exits grantsERA form
<b>Proposal Sections</b>     	<p>Allows PIs to access the Title Page</p> <p>Allows PIs to access the Proposal Section</p> <p>Allows PIs to access Pre-Award Section of Application</p> <p>Allows PIs to access the Post Award Section of an Awarded Proposal</p> <p><b>RFUMS does not use this feature.</b></p>

# Proposal Section

There are **Mandatory Documents** and **Optional Documents** for Grants.gov proposals. Click on the + sign next to the folder to expand it and access the documents.

## Mandatory Documents

These are the mandatory documents for this particular program announcement.

The screenshot shows the grantsERA interface for a proposal titled "Red Blood Cell Membrane Absorption Rates in Elderly" by PI John Rodman. The proposal is in "InProgress" status. The left sidebar shows a tree view of sections, with "Mandatory Documents" expanded and highlighted with a red circle. The main content area shows the application form for SF 424 (R&R). The form includes fields for "1. TYPE OF SUBMISSION" (Preapplication, Application, Change/Corrected Application), "2. DATE SUBMITTED", "3. DATE RECEIVED BY STATE", "4. Federal Identifier", and "5. APPLICANT INFORMATION" (Legal Name, Organizational DUNS, Department, Division, Street1, Street2, City, County, State, Zip Code, Country). The contact information section is also visible.

## Optional Documents

These are the optional documents for this particular program announcement. However, the PI must complete one budget—either the PHS398 modular budget or the RR budget (detailed budget)—and the RR subaward budget, if applicable.

The screenshot shows the grantsERA interface for a proposal titled "Test for Training" by PI Laura Chavez. The proposal is in "Completed" status. The left sidebar shows a tree view of sections, with "Optional Documents" expanded and highlighted with a red circle. The main content area shows the application form for SF 424 (R&R). The form includes fields for "1. TYPE OF SUBMISSION" (Preapplication, Application, Change/Corrected Application), "2. DATE SUBMITTED", "3. DATE RECEIVED BY STATE", "4. Federal Identifier", and "5. APPLICANT INFORMATION" (Legal Name, Organizational DUNS, Department, Division, Street1, Street2, City, County, State, Zip Code, Country). The contact information section is also visible.

**Use tab key to move between fields.**

- Click on each respective section and press the tab key to move between data fields. Please make sure to use **tab key to move between fields**, especially in the budget section. Doing so allows the system to calculate totals. Click on **Save** once you have finished filling in fields on each form.
- Enter OSR Director's name and date on the "signature authorized representative" field of page two of the RR SF424 before you validate, complete or send the proposal to routing.

**Note:** Authorized Representative Signature will be automatically completed upon final submission of the electronic application package by OSR to Grants.gov. However, in order for the system to allow the PI to validate, complete, print, and send the proposal to routing, the PI needs to enter the OSR Director's name and date.

Click on **Validate** once all the mandatory forms are completed. A form will appear indicating what fields still need to be filled in. If there are no fields that need to be filled in, just click on **OK** in the Validate pop-up window.

- Click on **Completed**. This will notify the Research Administration Office (RA's) that the PI has completed the proposal and is ready to submit it to routing.
- Click on **Send to Routing**. This will send the proposal package electronically to the OSR Grant and Contract Officer.

**Note:** OSR will start reviewing the proposal ONLY upon receipt of the completed and signed "Information and Routing Sheet for Grants and Contract Proposals to PHS (NIH)" form, and printed copy of the proposal. OSR should receive these items 7 business days before the sponsor's deadline.

**Note:** PIs may wish to continue refining the research plan. However, to access their proposals again, PIs will need to request the OSR Grant and Contract Officer to change the status of their proposals back to "in progress." When PIs are finished with their revisions, PIs need to validate, complete and send the proposal to routing again.

## Part II: Useful Links

NIH Funding Opportunities:

[http://grants.nih.gov/grants/guide/parent\\_announcements.htm](http://grants.nih.gov/grants/guide/parent_announcements.htm)

SF424 (R&R) General Application Instruction Links in either MS Word or PDF format:

[http://grants.nih.gov/grants/funding/424/SF424\\_RR\\_Guide\\_General\\_Ver2.doc](http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Ver2.doc)  
(MS Word)

[http://grants.nih.gov/grants/funding/424/SF424\\_RR\\_Guide\\_General\\_Ver2.pdf](http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Ver2.pdf)  
(PDF)

*Applicants are encouraged to return to these links for the most current revision of these instructions.*

Free Software Downloads:

MS Word Viewer:

<http://www.microsoft.com/downloads/details.aspx?familyid=95E24C87-8732-48D5-8689-AB826E7B8FDF&displaylang=en>

PDF Adobe Reader:

<http://www.adobe.com/enterprise/accessibility/main.html>

## Part III: Instructions for non-NIH Electronic Submissions Proposals to Grants.gov.

### Proposal Submission Process for Federal Agencies (other than NIH) that do not accept grantsERA system to system submission:

1. Download PURE EDGE APPLICATION VIEWER onto your computer (IT will need to do this as most of us do not have administrative permission to download).
2. Go to Grants.gov (APPLY) to retrieve your package by typing in the PA, RFP or FOA number and download the package instructions and forms.
3. Fill out all of the necessary forms (SF424) and upload any required documents. For step-by-step instructions on **how to complete an application package using the Pure Edge Viewer**, please visit the web site [http://www.grants.gov/images/Application\\_Package.swf](http://www.grants.gov/images/Application_Package.swf).
4. When you're finished, check the Package for Errors (if you do this too soon in the process, you will have many errors).
5. Save your application to your computer as changes are NOT automatically saved.
6. DO NOT HIT THE SUBMIT BUTTON.
7. Once the package is ready, print it and submit the entire hard copy proposal package with the SIGNED [Information and Routing Sheet for Grant and Contract Proposals Other than to Public Health Service](#) at least 7 business days prior to the deadline to the agency (you may still be working on your narrative at this point).
8. OSR will review the hard copy and request any necessary revisions.
9. Once OSR sends you an email that the proposal was pre-approved (changes have been made, narrative is finished and the entire proposal is ready for submission), go to the FTP site [ftp://grants:grant\\$@www.rosalindfranklin.edu](ftp://grants:grant$@www.rosalindfranklin.edu) and upload the application package. Create a copy on your local drive and paste or copy it into the FTP site. Note that no login or password is required to access the FTP site. **Make sure you have saved the file locally for yourself.**
10. Once you have finished uploading the application package on the FTP site, close the window.
11. Notify your Grant and Contract Officer by email so that she/he can retrieve the FTP file for the last review. As customary, after the Grant and Contract Officer's final review, the proposal will be reviewed by the OSR Director. Please note that on rare occasion, the Director may require further changes during her final review. After the Director's approval, OSR will submit the electronic proposal to Grants.gov.

### **SPECIAL COMMENTS**

The application is considered "on-time" if submitted on the due date specified in the Program Announcement (PA) to Grants.gov. Grants.gov can take 2-3 days to validate, **so we recommend "electronic" submission to be done at least 3-5 business days prior to the "due date."** This allows time for any corrections if necessary. **Therefore OSR needs to have the hard copy with the signed routing sheet at least 7 business days prior to the deadline to the agency.** Once the application is validated by Grants.Gov, the PI and OSR will receive notification messages from Grants.Gov.

## Part IV: Additional specific instructions to complete SF 424 forms

**PI/PD needs his/her Common User ID entered in the credential field of the R & R Senior/Key Person Form. This is a required field:**

The screenshot shows the 'grants eRA' interface for the Rosalind Franklin University of Medicine and Science. The main window displays the 'RESEARCH & RELATED Senior/Key Person Profile' form. The form is titled 'PROFILE - Project Director/Principal Investigator' and contains the following information:

- Proposal Title: Test for Training
- PI's Name: Chavez, Laura
- Proposal To: Research Project Grant (Parent R01)[National Institute Of Health]
- Status: InProgress
- Proposal Number: 1234

The form includes fields for personal and contact information, such as First Name (Laura), Last Name (Chavez), Department (Grant and Contract Officer), and Organization Name (Rosalind Franklin University of Medicine and Science). The 'Credential' field, which is circled in red, contains the text 'LAURACHAVEZ'. Other fields include Phone Number (847-578-8365), E-Mail (laura.chavez@rosalindf), and Project Role (PD/PI).

### Font

Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.)

Type density, including characters and spaces, must be no more than 15 characters per inch.

Type may be no more than six lines per inch.

### Page Margins

Use *standard paper size (8 1/2" x 11)*.

Use at least one-half inch margins (top, bottom, left, and right) for all pages.

### Page Formatting

Since documents are reviewed electronically, applicants are strongly encouraged to use only a standard, single-column format for the text. Avoid using a two-column format, which can cause difficulties during electronic reviews.

**Do not include any information in headers or footers of the attachments.** A header will be system-generated and will reference the name of the PD/PI. Page numbers for the footer will be system-generated in the complete application, with all pages sequentially numbered.

### Figures, Graphs, Diagrams, Charts, Tables, Figure Legends, and Footnotes

You may use a smaller type size, but it must be in a black font color, readily legible, and follow the font typeface requirement. Color can be used in figures; however, all text must be in a black font color, clear and legible.

### Separate Attachments

While each section of the Research Plan eventually needs to be uploaded separately, applicants are encouraged to construct the Research Plan as a single document, separating sections into distinct PDF attachments just before uploading the files. In this way the applicant can better monitor formatting requirements, such as page limits. When validating for page limits, the eRA Commons will not count the white space created by breaking the text into separate files for uploading. Items 2-5 of the Research Plan component are limited to 25 pages. **Please look at the Program Announcement for page limit (please note that the PA instructions**

supersedes the SF424 instructions). All attachments should be provided to NIH in PDF format, and filenames must be included with no spaces or special characters. Only use standard characters in file names: A through Z, a through z, and 0 through 9, Hyphen (-), and underscore ( \_ ). Disable all security features in the PDF document.

These are the sections you need to split the Research Plan into. Please see the following web site for additional information about the research plan (page I-102 of the SF424): [http://grants.nih.gov/grants/funding/424/SF424\\_RR\\_Guide\\_General\\_Ver2.pdf](http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Ver2.pdf)

1. Introduction to application (for RESUBMISSION or REVISION only)
2. Specific Aims
3. Background and Significance
4. Preliminary Studies/Progress Report
5. Research Design and Methods
6. Inclusion Enrollment Report
7. Progress Report Publication List

Begin each text section of the Research Plan with a title identifying the section (e.g., Introduction, Specific Aims, Background & Significance, etc.).

Please look at the snap shot below of the PHS Research Plan form. Here is where you will upload your Research Plan.

Close Form Print Page About

### PHS 398 Research Plan

**1. Application Type:**

From SF 424 (R&R) Cover Page and PHS398 Checklist. The responses provided on these pages, regarding the type of application being submitted, are repeated for your reference, as you attach the appropriate sections of the research plan.

**\*Type of Application:**

New  
  Resubmission  
  Renewal  
  Continuation  
  Revision

---

**2. Research Plan Attachments:**

Please attach applicable sections of the research plan, below.

1. Introduction to Application <small>(for RESUBMISSION or REVISION only)</small>	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
2. Specific Aims	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
3. Background and Significance	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
4. Preliminary Studies / Progress Report	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
5. Research Design and Methods	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
6. Inclusion Enrollment Report	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
7. Progress Report Publication List	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>

<u>Human Subjects Sections</u>			
Attachments 8-11 apply only when you have answered "yes" to the question "are human subjects involved" on the R&R Other Project Information Form. In this case, attachments 8-11 may be required, and you are encouraged to consult the Application guide instructions and/or the specific Funding Opportunity Announcement to determine which sections must be submitted with this application.			
8. Protection of Human Subjects	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
9. Inclusion of Women and Minorities	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
10. Targeted/Planned Enrollment	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
11. Inclusion of Children	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<u>Other Research Plan Sections</u>			
12. Vertebrate Animals	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
13. Select Agent Research	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
14. Multiple PI Leadership Plan	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
15. Consortium/Contractual Arrangements	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
16. Letters of Support	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Resource Sharing Plan(s)	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
18. Appendix	<input type="button" value="Add Attachments"/> <input type="button" value="Remove Attachments"/> <input type="button" value="View Attachments"/>		

## Materials Allowed in the Appendix

Publications: Applicants may submit up to 3 of the following types of publications. Any exceptions will be noted in specific Funding Opportunity Announcements (FOAs) **(please note that the PA/FOAs instructions supersede the SF424 instructions)**.

- Manuscripts and/or abstracts accepted for publication but not yet published
- Published manuscripts and/or abstracts **only** when a free, online, publicly available journal link is not available
- Patents materials directly relevant to the project

For additional information about Materials Allowed in the Appendix, please see the link below:  
<http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-07-018.html>

**The Abstract and Project Narrative** need to be uploaded into the **R&R Other Project Information** form. For more information about the sections in this form, please see the following web site (page I-52 of the SF424):  
[http://grants.nih.gov/grants/funding/424/SF424\\_RR\\_Guide\\_General\\_Ver2.pdf](http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_General_Ver2.pdf).

- Project Summary/Abstract. **This section must be no longer than 30 lines of text.**
- Project Narrative. **No more than three sentences**
- Bibliography
- Facility and Other Resources
- Equipment

Please look at the snap shot of the R&R Other Project Information Form where you will upload all the aforementioned sections:

**RESEARCH & RELATED Other Project Information**

1. \* Are Human Subjects Involved?  Yes  No

1.a If YES to Human Subjects

Is the IRB review Pending?  Yes  No

IRB Approval Date:

Exemption Number:  1  2  3  4  5  6

Human Subject Assurance Number:

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

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.a. \* Does this project involve activities outside the U.S. or partnership with International Collaborators?  Yes  No

5.b. If yes, identify countries:

5.c. Optional Explanation:

6. \* Project Summary/Abstract  [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

7. \* Project Narrative  [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

8. Bibliography & References Cited  [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

9. Facilities & Other Resources  [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

10. Equipment  [Add Attachment](#) [Delete Attachment](#) [View Attachment](#)

11. Other Attachments [Add Attachments](#) [Delete Attachments](#) [View Attachments](#)

## Part V: Common Errors and Warnings for NIH Proposals Submitted Through Grants.gov

It is important to make sure that the profile information in grantsERA matches that in the eRA Commons. The information listed below is gathered from NIH. It will give you detailed information on the most commonly found errors when submitting NIH proposals through Grants.gov.

### Background

The National Institutes of Health (NIH) continues to transfer application procedures from a paper-based format utilizing the PHS 398 application forms to an electronic format utilizing [Grants.gov](#) and the [NIH eRA Commons](#). A complete timeline for NIH's intended transition by funding mechanism is available at the [NIH Electronic Submission of Grant Application website](#).

While all 26 Federal grant-making agencies will transition to the Grants.gov application format, NIH has implemented a unique two step process that utilizes Grants.gov and the NIH eRA Commons for the application submission process. As a result of this two step process, applications that are approved and validated by Grants.gov as complete may still be rejected by the NIH due to formatting issues or content concerns. Once an application has been validated by Grants.gov, the application is obtained by the NIH and placed in the NIH eRA Commons for validation. The validation process completed by the eRA Commons focuses on NIH-specific validation rules, which differs from the rules utilized in the Grants.gov validation process. Upon completion of the eRA Commons validation process, a list of errors or warnings may be returned to the Principal Investigator and the Sponsored Projects office.

When reviewing the list of errors or warnings returned for an application, it is important to note there is a distinct difference in the terminology used. Errors will result in the application being rejected by the NIH, and therefore, applications must be corrected and resubmitted through Grants.gov. Warnings, however, do not result in the application being rejected by the NIH. The Sponsored Projects office will allow the PIs to use discretion in determining whether or not a warning should be corrected by submission of a corrected application. If a PI would like to stop the application process and submit a corrected application, the PI must notify the Sponsored Projects officer within 48 hours of the application being made available in the NIH eRA Commons.

Based on past experience with this new two step process for NIH applications, the following list of common errors and warnings has been developed to aid Principal Investigators in preparing their applications.

### Common Errors

***The Commons Username, ERA COMMONS, specified for the PD/PI, is not a recognized Commons account. – Error (A similar error is received when the Credentials field is left blank, and an eRA Commons username is not included.)***

When preparing applications, care must be taken to complete the required fields as described in the [NIH Grants.gov Application Guide SF424 \(R&R\)](#). All applications must include the NIH eRA Commons Username for the Principal Investigator entered in the "Credential" data field of the Research &Related Senior/Key Person page. This field is easily overlooked, as it is not a required field for completion for all 26 federal grant-making agencies, and an error is not generated during the "Check" process of Grants.gov applications. If this error should be displayed, the application will not be processed by NIH, and the application must be resubmitted. If the application is being resubmitted after the established NIH deadline, a cover letter must be included with the application to identify the reason for the resubmission.

***The coverletter.pdf attachment has editable fields. PDF attachments must not include editable fields. Help with PDF attachments can be found at [http://era.nih.gov/ElectronicReceipt/pdf\\_guidelines.htm](http://era.nih.gov/ElectronicReceipt/pdf_guidelines.htm). - Error (A similar error is received when the format of attachments are not pdf.)***

When preparing applications, care must be taken to complete the required fields as described in the [NIH Grants.gov Application Guide SF424 \(R&R\)](#). If this error should be displayed, the application will not be processed by NIH, and the application must be resubmitted. If the application is being resubmitted after the

established NIH deadline, a cover letter must be included with the application to identify the reason for the resubmission.

***When the question “Are Vertebrate Animals Used” is answered “Yes,” you must provide either (1) animal welfare assurance number + IACUC approval date, (2) animal welfare assurance number + an indication that IACUC approval is pending OR (3) the word ‘None’. – Error (A similar error is received when the “Are Human Subjects Involved” question is answered “Yes”, but the relevant answers to the additional human subjects questions are not provided.)***

When preparing applications, care must be taken to complete the required fields as described in the NIH Grants.gov Application Guide SF424 (R&R). If this error should be displayed, the application will not be processed by NIH, and the application must be resubmitted. If the application is being resubmitted after the established NIH deadline, a cover letter must be included with the application to identify the reason for the resubmission.

***For new applications and resubmission, the modular budget year 1 start date must be the same as the proposed project start date listed on the SF 424 RR Face Page. – Error (Similar error messages have been received for non-modular budget pages.)***

When preparing applications, care must be taken to complete the required fields as described in the [NIH Grants.gov Application Guide SF424 \(R&R\)](#). Consistency among several different forms may be required. In addition, if both a modular budget page and a non-modular budget page have had data entered, an error will be received due to duplicate information. Users can utilize the “Reset Entries” button on the budget page forms to clear forms that should not be used.

If this error should be displayed, the application will not be processed by NIH, and the application must be resubmitted. If the application is being resubmitted after the established NIH deadline, a cover letter must be included with the application to identify the reason for the resubmission.

#### **Common Warnings**

***The Research Plan is limited to 15 pages. This may span 18 pages due to page breaks but the total space occupied by text should not exceed 15 pages. – Warning***

When preparing applications, care must be taken to complete the required fields as described in the [NIH Grants.gov Application Guide SF424 \(R&R\)](#) and any supplemental information provided in Funding Opportunity Announcements (FOAs). Some page limitations may be exceeded due to white space created in an assembled application package that is created from multiple data entry fields as part of the application format. The PI should determine whether the page limitation was exceeded, or whether this warning is a result of this unique assembly process. As this is only a warning, a PI may decide to reject the proposal and resubmit after corrections are made, or to proceed with the application, as is.

***The PD/PI position/title, Professor, does not match those listed on the Commons account: PROFESSOR AND DIRECTOR. The grant image will display the position/title as submitted here. – Warning***

Principal Investigators should review their personal profile in the NIH eRA Commons prior to proposal submission, in order to ensure the profile contains accurate information. The validation process compares the PI's personal profile in the NIH eRA Commons to the information contained within data fields in the application. When the information does not match, the warning above is returned. As this is only a warning, a PI may decide to reject the proposal and resubmit after corrections are made, or to proceed with the application, as is.

***The PD/PI degree, PhD Biomed, is not one of the degrees listed for the NIH eRA Commons account: PANTEATER. The grant image will display the degrees as submitted here. – Warning***

Principal Investigators should review their personal profile in the NIH eRA Commons prior to proposal submission, in order to ensure the profile contains accurate information. The validation process compares the PI's personal profile in the NIH eRA Commons to the information contained within data fields in the application. When the information does not match, the warning above is returned. As this is only a warning, a PI may decide to reject the proposal and resubmit after corrections are made, or to proceed with the application, as is.

**The name provided for the PD/PI, Peter Anteater, does not match the name listed on the Commons account: PANTEATER. The grant image will display the degrees as submitted here. – Warning**

Principal Investigators should review their personal profile in the NIH eRA Commons prior to proposal submission, in order to ensure the profile contains accurate information. The validation process compares the PI's personal profile in the NIH eRA Commons to the information contained within data fields in the application. When the information does not match, the warning above is returned. As this is only a warning, a PI may decide to reject the proposal and resubmit after corrections are made, or to proceed with the application, as is.

**If appropriate for your organization, please supply a department for the PD/PI. – Warning (A similar warning has been received in reference to the division field.)**

When completing the SF424 (R&R) cover page, provide the department (or division) for the administering unit. These fields are often left blank, as Grants.gov does not require data to be entered in the field in order to validate the application. Please note that the information provided in this field may or may not match information contained in the PI's personal profile, which may result in an error similar to those above. As this is only a warning, a PI may decide to reject the proposal and resubmit after corrections are made, or to proceed with the application, as is.

**The Animal Welfare Assurance Number entered in the application does not match what is on file for your organization. There are rare cases where this is permissible. Please make sure that the correct number is entered. If not, correct and resubmit. – Warning (A similar warning has been received regarding the human subjects assurance number.)**

When completing the application, our Animal Welfare Assurance Number should be entered as A3416-01. Ensure that the character "-" is not entered as a period. When the warning references the Federalwide Assurance (FWA) Number, ensure the number is entered as 0004071. Do not include FWA at the beginning of the number. As this is only a warning, a PI may decide to reject the proposal and resubmit after corrections are made, or to proceed with the application, as is.

## Additional grants.gov Questions

### 1. NIH and Grants.gov seem to use different terminology for application type. How do I know which term is correct for my situation?

Grants.gov has brought us new terminology for the Type of Application field of the SF424 (R&R) Cover Component (box #8). NIH is trying to change all of its materials to correctly reflect the new terminology, but it will take some time. Please use the handy chart below as we work through this terminology change.

New Grants.gov Term	Old NIH Term	Notes
New	New	An application that is submitted for funding for the first time. Includes multiple submission attempts within the same round (Type 1)
Renewal	Competing Continuation	Previous years of funding for the project have elapsed. Competing for additional years of funding to continue original project (Type 2)
Revision	Competing Supplement	Request for additional funds for a current award to expand the scope of work. Applicants should contact the awarding agency for advice on

		submitting any revision/supplement application. (Type 3)
Resubmission	Revision or Amended Application	Application previously reviewed. A revised or amended application addresses reviewer feedback. (A1/A2)
Continuation	Progress Report	NIH does not use the SF424 (R&R) for Continuation Applications (Type 5). Progress Reports for Simplified Non-competing (SNAP) are submitted directly to eRA Commons; for others, paper is still submitted.

**2. What do I do if more than one application type seems to fit my situation?**

In the PHS 398 paper world, applicants could identify more than one application type for a single application. However, in the new SF424 (R&R) world, only one option can be selected. An easy rule of thumb is that any application that is submitted in response to review feedback should be marked as a resubmission. So, if an applicant is submitting a resubmission of a renewal or a resubmission of a revision, then resubmission should be chosen as the single application type.

**3. What do I put in the Federal Identifier field of the SF424 (R&R) cover component?**

If “Type of Application” is “New”, you can leave the Federal Identifier field blank on the first submission attempt. However, the Federal Identifier field becomes a required field when submitting a Changed/Corrected application to address errors/warnings. When submitting a Changed/Corrected “New” application, enter the Grants.gov tracking number of the previous submission attempt (e.g. GRANT00123456). If you are unable to find the tracking number, enter “N/A”.

If “Type of Application” is “Renewal”, “Revision” or “Resubmission”, enter the IC and serial number of the prior application/award number (e.g. CA123456). For these types of applications, do not change the Federal Identifier field when submitting Changed/Corrected applications.

**4. When submitting an application again to address errors or warnings, how do I indicate on the form that the current submission supersedes the previous one?**

On the SF424 (R&R) cover component, box #1 Type of Submission should be set to “Application” on the initial application submission. Box #1 should be set to “Changed/Corrected” for all subsequent submissions of the same application to address errors or warnings.

Note that box #8 Type of Application remains the same from one submission attempt to the next within the same receipt deadline.

See the section of the application guide titled “Correcting Errors” for additional information.

**5. What part of the application/award number is the IC and serial number?**

NIH’s grant application/award numbers consist of the following parts:

- A single-digit Application Type
- A three-digit Activity Code
- **A two-letter IC Code**
- **A six-digit Serial Number**
- A two-digit Grant Year (preceded by a dash to separate it from the serial number)

- Additional suffix information that may include the letter “S” and related number for a particular supplement record, the letter “A” and related number to identify an amendment and/or the letter “X” and related number to identify a fellowship’s institutional allowance record.

For example, 3R01CA123456-04S1A1 would indicate an amendment (A1) to a supplemental (Type 3) application for a traditional research project (R01) referred to the National Cancer Institute (CA). The number further identifies the application serially as the 123456 new proposal submitted to the NCI, and indicates that this is the first supplemental application (S1) to the fourth year (-04) of the support to this project. In this example, the IC and serial number would be “CA123456”.

Additional information on the NIH grant application/award identification numbering system can be found at: <http://grants.nih.gov/grants/funding/ac.pdf>.

**6. Is it OK to scan portions of the original PHS 398 application when submitting a revision, renewal or resubmission?**

If you are making the move from paper to electronic forms, please resist the temptation to scan sections of the paper forms. There are times when scanning simply can’t be avoided, but (when possible) it is best to work from the original documents that can be appropriately edited for the current submission, converted to PDF format and attached to the new application. Additional benefits of working from original documents include clearer images and the ability to extract text from the application image. ([PDF Tips](#))

**7. Will we be able to submit to all Federal Agencies using grantsERA?**

If the opportunity for the agency has been placed on the grants.gov test site and RAMS has tested it, then we will support it. But if we have not had a chance to test it, we cannot support it.