CoeusLite© Guide
for the preparation of
NIH K-series funding opportunities
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Coeus Proposal Preparation Overview

- Identify and review the sponsor opportunity for eligibility, submission and content requirements, due date, and any other pertinent information. (Jump to Locate and select the NIH-posted opportunity at Grants.gov)
- Alert your Department, Lab, or Center’s Sponsored Research office of your intent to submit.
- Get a Coeus ID and Proposal Create role. (Jump to Get a Coeus ID and Proposal Create role in your home unit.)
- Review your NIH eCommons Profile. (Jump to https://commons.era.nih.gov/commons/)
- Prepare your proposal contents in accordance with sponsor instructions and guidelines (science narratives, biosketch, letters, etc.). (Jump to Typical K-series Required Components)
- Create your Coeus proposal (Jump to Start your Proposal)
  - Enter the General Information required to save the proposal.
  - Perform the Grants.gov Opportunity Search, select a result.
    - Review the Mandatory forms for the submission
    - Review and select any Optional forms appropriate for your submission
  - Enter the required information in the Coeus screens to support the submission forms and institute requirements (see form by form instructions in this document.).
  - Upload the required proposal narratives (Jump to General NIH Document Formatting Rules)
  - Create your budget
  - Certify the Investigators as their involvement relates to this proposed project. (Jump to Certify Investigators)
  - Answer the Yes/No Questions as they relate to your project and participants.
  - Validate the proposal for Grants.gov submission and internal routing requirements (Jump to Validate your proposal)
- Submit the proposal for internal approval routing. (Jump to Submit for Approval Routing)
- Stay in contact with your Sponsored Research office to answer any queries and make recommended corrections prior to submission to the sponsor.
- After submission, check the assembled application image in eRA Commons:
  - Applications with Errors must be corrected and resubmitted.
  - Applications with Warnings may require resubmission, depending on the warning.

Completing Grants.gov forms with Coeus:

Use of Coeus for the preparation and submission of proposals to Grants.gov allows users to access existing Institute data to populate the SF424 R&R and other sponsor-specific forms accurately, rapidly, and with far fewer typographical errors than manually entering information, as is required when using the Adobe or PureEdge forms for submission to Grants.gov.

Coeus proposals utilize the unique data that is entered by the user (Proposal title, Start and End Dates, etc.), and Institute data that is retrieved through searching (Personnel, office address, email address, degree information) to “fill in” the generated forms. The final element of the proposal is the creation of Narrative Attachments – proposal texts-- which are uploaded and attached to complete the sponsor requirements. Each SF424 R&R (research and related) form utilizes specific attachment types. It is imperative to use the correct Attachment Type in order for your files to transmit with the form set. Even if you have a file uploaded, if it is not the correct Type and format (PDF for NIH submissions), the file will NOT transmit with your application.

Once a proposal is submitted to NIH via Grants.gov, the NIH eCommons computer evaluates ALL data elements and uploaded files in the submission. If required information is missing, the application will NOT be accepted and a corrected application should be submitted. If information is inconsistent or unclear, warnings will be issued. Depending on the severity of the warnings, a corrected application may need to be submitted.

If this is your first electronic application to NIH from MIT, please confirm that your NIH eCommons account is affiliated with MIT. To do this, contact NIH-help@mit.edu. If your eCommons account is not affiliated, you will need to provide the user name and email address currently in your NIH eCommons profile. Often, this is the email address from your prior institution. This information is required to locate and update your PI status for submission from this institution.

If you have a question about this page, please email Coeus-Support@mit.edu.

PI’s should review and update their eRA Common profile and be sure that matching information is input into their applications. This will minimize warnings as the data transmitted about the PI in your Coeus proposal will be compared with the data in the eCommons Profile. (https://commons.era.nih.gov/commons/)
Get a Coeus ID and Proposal Create role in your home unit.

To create proposals in Coeus, you need access to Coeus with the proposal creator role. Your unit’s Administrative Officer, Fiscal Officer, or Research Grant Administrator requests the proposal creator role on your behalf from: coeus-help@mit.edu.

Launch CoeusLite

Launch CoeusLite from the following web page: http://coeus.mit.edu/index.html Please note you will need a valid MIT personal Certificate. Follow the link and instructions from IS&T to install, if needed.

Click on the CoeusLite link to launch the application.

Start your Coeus Proposal

Click on My Proposals to access Proposal Development
Overview of My Proposals Screen Navigation:
The default view upon entry to My Proposals is Proposals in Progress.
- Select Proposals In Progress displays any non-approved proposal that you hold a view or modify role.
- Select All Proposals to see the list of all Coeus Proposals (in progress, approval in progress, submitted, etc).
- Select Create New Proposal to start a new Coeus Proposal
- Select Proposal Search to locate a specific proposal.
- Select Grants.gov Opportunity Search to connect to Grants.gov and locate a funding opportunity
- Select anywhere on a proposal in the List of Proposals displayed in the lower pane to open the proposal

In all views: Click anywhere on the Proposal Line to open.

Identifying View Modes: Modify versus View Only
Open General Proposal Information: View only mode vs. Modify mode.

Red warning notes another user has a lock on this proposal. You are in View Only Mode; you cannot edit this area of the proposal unless the other user exits.

You are in Modify Mode: you can edit this proposal. (no red warning; darker text in fields, drop down lists active)
Create a New Proposal:

Click on Create New Proposal

If you are authorized to create proposals in more than one Lead Unit, you will first be presented with your list of those units. Click on the appropriate Unit for this submission. Lead unit cannot be changed once a proposal is started. You will be able to add a unit(s) to support routing and credit split for each investigator on the Investigator Details screen.

**NOTE:** The Lead Unit is the primary department associated with the proposal. This is the department that will submit the proposal and manage the award, if funded.

Proposal Development: Initial entry screen

Use the Navigation Panel buttons to navigate your proposal.

DO NOT use your Browser’s “back” or “forward” buttons – these functions are not supported for navigation in CoeusLite.
Upload Attachments general instructions

Select **Upload Attachments** from the left navigation bar.

There are three (3) areas where files can be uploaded:

- **Upload Proposal Attachments**: A base list of types will always be presented. To display the types required for Grants.gov submissions, an opportunity must already have been selected in **General Info** for this proposal. Refer to your sponsor opportunity or general submission guidelines for required uploads.

- **Upload Personnel Attachments**: These are person-specific files (biosketch, current & pending, etc.).

- **Upload Institutional Attachments**: Defined locally by your institution.

For **Proposal Attachments**: Coeus will filter the narrative types and present only those relevant to your submission. For Grants.gov submissions, the types presented will only be those relevant to the forms used in the opportunity selected.

Upload Proposal Attachment instructions:

- **Select** the Proposal Attachment tab
- **Select** an Attachment Type from the drop-down list (list varies by opportunity selected)
- **Enter** a Description (may be required for some narrative types or per the sponsor instructions)
- **Select** Browse to find and upload your file
- **Select** Save
- **Result**: The file is added to List of Proposal Attachments.

- **Select Remove** to delete the uploaded file and attachment type
- **Select View** to open the file in a new browser window

Repeat for all required Proposal Narrative Attachment Types.
Navigate to the General Info screen:

Fields with a red asterisk (*) are required to save and generate a proposal number.

A. Enter your proposal information:

1. Fill in all (*) fields and as much of the General Proposal Information Screen as possible.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Proposal Type</strong></td>
<td>Select the appropriate entry from the drop-down list. This information might be specified in the sponsor's announcement or guidelines.</td>
</tr>
<tr>
<td><strong>Activity Type</strong></td>
<td>Select the appropriate entry from the drop-down list.</td>
</tr>
<tr>
<td><strong>Start Date</strong></td>
<td>Date the project is expected to start. Enter mm/dd/yy format or use the calendar tool.</td>
</tr>
<tr>
<td><strong>End Date</strong></td>
<td>Date the project is expected to end. Enter mm/dd/yy format or use the calendar tool.</td>
</tr>
<tr>
<td>Original Proposal Number</td>
<td>Required if the Proposal Type is Revision or Continuation. Use the Search icon to search the Institute Proposal module.</td>
</tr>
<tr>
<td>Award # (number)</td>
<td>Required if the Proposal Type is Continuation, Renewal, or Revision. Leave this field blank for New, Resubmission, or Task Order. The Award # is a Coeus-generated number; to find it use the Search icon next to the field and search by Account number or other detail.</td>
</tr>
<tr>
<td><strong>Agency/Sponsor</strong></td>
<td>The sponsor is the organization that will provide funding. Enter the sponsor's six-digit code in this field or use the Search icon to find it.</td>
</tr>
<tr>
<td>Prime Sponsor</td>
<td>If your institution will be the subcontractor for the proposal, the prime sponsor is the agency providing funds to your sponsor. If not, leave this field blank.</td>
</tr>
<tr>
<td>Proposal deadline date</td>
<td>Date the proposal is due at the sponsor.</td>
</tr>
<tr>
<td>Receipt/Postmarked</td>
<td>Select which option defines the deadline receipt requirement.</td>
</tr>
<tr>
<td><strong>NSF Science Code</strong></td>
<td>Select this code from the drop-down list for all proposals, not just for NSF submissions. Data used to aid institutional annual reporting requirements.</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Sponsor Proposal No. (number)</strong></td>
<td>Required if the Proposal Type is Renewal, Resubmission, Revision, or Continuation. Search the Award module or Institute Proposal module, as appropriate, to find this number.</td>
</tr>
<tr>
<td><strong>Title:</strong></td>
<td>Enter the descriptive title. For electronic submission, the title can contain no special characters. While this Grants.gov form will accept a 200 character maximum; <strong>NIH will truncate titles to 81 characters.</strong></td>
</tr>
<tr>
<td><strong>Program Title:</strong></td>
<td>If this proposal will be submitted via Grants.gov, this field will be filled when you associate the proposal with a Grants.gov opportunity.</td>
</tr>
<tr>
<td><strong>Proposal in Response to:</strong></td>
<td>Select an entry from the drop-down list to identify how this funding opportunity was announced.</td>
</tr>
<tr>
<td><strong>Subcontract</strong></td>
<td>Select this checkbox if one or more subcontracts will be included in this proposal. If there will be no subcontracts, leave it unchecked.</td>
</tr>
<tr>
<td><strong>Funding Opportunity Number</strong></td>
<td>For Grants.gov submissions: insert the Funding Opportunity Number to perform the Grants.gov search.</td>
</tr>
<tr>
<td><strong>CFDA Number:</strong></td>
<td>Note: most NIH opportunities do not assign CFDA numbers until after award. Use the Funding Opportunity search for those applications and <strong>leave the CFDA field blank</strong> unless it is populated automatically by the selected Grants.gov opportunity.</td>
</tr>
<tr>
<td><strong>Agency Program Code:</strong></td>
<td>Not required for NIH</td>
</tr>
<tr>
<td><strong>Agency Division Code:</strong></td>
<td>Not required for NIH</td>
</tr>
</tbody>
</table>

2. Select **Save**

3. **Result:** Coeus assigns the next available proposal number, which will appear in the proposal header on all CoeusLite entry screens.
Locate and select the NIH-posted opportunity at Grants.gov:

To locate and confirm the correct NIH Opportunity, click on the following link to search NIH for active Program Announcements:
http://grants.nih.gov/grants/guide/search_results.htm?year=active&scope=pa

Coeus can use the NIH Opportunity (Example: PA-09-038) typed into the Funding Opportunity Number field on the Coeus General Info screen to find and link the opportunity to your proposal. To access the Coeus Grants.gov screen, you must complete all the mandatory fields and a Federal Sponsor must be selected in the Agency/Sponsor field.

Alternatively, Coeus can use the CFDA number for searching Grants.gov, but NIH does not usually use a single CFDA number for their postings, so inserting CFDA for NIH opportunity searches is not recommended for this sponsor.

Use the Grants.gov button located on the left Navigation bar to launch the search. Initial navigation to the Grants.gov screen links your proposal to a posted opportunity at Grants.gov. A completed search retrieves the sponsor’s electronic submission details for the application including the list of mandatory and optional forms, the program title, an instruction hyperlink, CFDA (if applicable), Opportunity ID, etc.

Select the Optional forms you wish to submit with the application by clicking the box in the Include column.

Once you’ve provided all the necessary data selections and file uploads to complete all the mandatory & optional forms, your proposal can be submitted for internal approval routing and then to the sponsor via Grants.gov.
**SF424 (R&R) (Cover component)**

User entries are required to populate the forms as noted by yellow-highlighted, bold boxed cells in the tables. There may be fields where the data requirement has been met due to actions required for other forms or general Coeus entries.

<table>
<thead>
<tr>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Type of Submission</td>
<td>Grants.gov</td>
<td>Opportunity: Submission Type</td>
</tr>
<tr>
<td>2</td>
<td>Date Submitted &amp;</td>
<td>Grants.gov</td>
<td>Submission Details section</td>
</tr>
<tr>
<td>2.1</td>
<td>Applicant Identifier</td>
<td>All</td>
<td>Coeus Development Proposal Number</td>
</tr>
<tr>
<td>4a</td>
<td>Federal Identifier</td>
<td>General Info</td>
<td>Sponsor Proposal No.</td>
</tr>
<tr>
<td>5.1</td>
<td>Organizational DUNS</td>
<td>Organization</td>
<td>Proposal Organization</td>
</tr>
<tr>
<td>5.2</td>
<td>Legal Name</td>
<td>Organization</td>
<td>Proposal Organization</td>
</tr>
<tr>
<td>5.3 5.4</td>
<td>Department – not required Division – not required</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>5.5 a-f</td>
<td>Specific address info</td>
<td>Organization</td>
<td>Proposal Organization</td>
</tr>
<tr>
<td>5.6-5.9</td>
<td>Person to be contacted on matters involving this application.</td>
<td>n/a</td>
<td>n/a</td>
</tr>
</tbody>
</table>
### Field Location | Lite Screen | Lite Field Name | Instructions
--- | --- | --- | ---
7.0 | Type of Applicant | Organization | Proposal Organization | Institute Organization Data maintained centrally for the Institute. Users do not need to enter.
7.3 | Type of Application | General Info | Proposal Type | Select NEW from the drop-down list.
7.0 | Type of Applicant | Organization | Proposal Organization | Institute Organization Data maintained centrally for the Institute. Users do not need to enter.
7.3 | Type of Application | General Info | Proposal Type | Select NEW from the drop-down list.

Refer to the General Info instruction section if you need assistance locating this field.

8.1 | If Revision, mark appropriate boxes | Grants.gov | Revision section | Select (click radial buttons) as appropriate.
8.2 | Is the application being submitted to other agencies? | YNQ | Question 15 response and Explanation | If yes, click the Yes button and then enter the name of the other agency in the Explanation field. Otherwise, select No.

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.

9.0 | Name of Federal Agency | General Info/Grants.gov | Agency/Sponsor | This field will populate based on the entry in the Coeus screen and the Grants.gov selected opportunity.

Refer to the General Info instruction section if you need assistance. A Federal Sponsor must be inserted to launch the Grants.gov search. 000340 is the sponsor code for NIH, but “NIH” can be entered in the Sponsor Name field in the search window.

10.1 | CFDA | General Info/Grants.gov | CFDA inserted or opportunity schema | DO NOT ENTER a CFDA if you entered the Sponsor Opportunity Number to locate the opportunity
10.2 | Title (funding opportunity) | General Info/Grants.gov | Title in opportunity schema | This field will populate based on Grants.gov selected opportunity

11.0 | Descriptive title of applicant’s project | General Info | Title | Enter your project title with no special characters. There is a 81 character limit for NIH applications.

Refer to the General Info instruction section if you need assistance locating this field.
### Coeus 4.4.3 NIH K-Series Guide January 2011

<table>
<thead>
<tr>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>Areas affected by project:</td>
<td>Abstracts</td>
<td>Areas Affected</td>
</tr>
</tbody>
</table>

Click on **Abstracts** in the navigation bar.

**Abstract**

- Reviewers Not to Include
- Devison Authorization
- Project Summary
- Technical Abstract
- Layman Abstract
- Labs
- Clinical
- Animal
- Areas Affected

Click on **Areas Affected** abstract type and then enter or paste in text in the box (formatting not applicable and will not be retained). Save the entered text using the button at the bottom of the screen (not shown). The abstract type will be updated with a check-box, as illustrated in the graphic.

### Proposed project Start & Ending dates

<table>
<thead>
<tr>
<th>General Info</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter the project Start and End dates.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Refer to the **General Info** instruction section if you need assistance locating this field.

### Congressional District of Applicant

| Organization | Proposal Organization | Congressional district maintained for the proposal organization. |

### Project Director/Principal Investigator Contact Information

<table>
<thead>
<tr>
<th>Prefix:</th>
<th>Last Name:</th>
<th>First Name:</th>
<th>Middle Name:</th>
<th>Suffix:</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Organization Name:</td>
<td>Position/Tite:</td>
<td>Division:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Street1:</td>
<td>Street2:</td>
<td>City:</td>
<td>County:</td>
<td>* State:</td>
</tr>
<tr>
<td>* Country:</td>
<td>USA: UNITED STATES</td>
<td>* ZIP / Postal Code</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Phone Number:</td>
<td>Fax Number:</td>
<td>* Email:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Refer to the instructions for the **Research & Related Senior/Key Person**.
16. ESTIMATED PROJECT FUNDING

- **a. Total Estimated Project Funding**
  - Budget Summary
  - Total Cost
  - Total costs of all budget periods will be inserted. If there is no budget, this field will be set to zero.

- **b. Total Federal & Non-Federal Funds**
  - Budget Summary
  - Total Cost & Cost Share
  - The sum of Total Costs and Cost Share of all budget periods will be inserted. If there is no budget, this field will be set to zero.

- **c. Estimated Program Income**
  - Program Income
  - Total Program Income
  - The total program income will be inserted. If there is no program income, this field will be set to zero.

Refer to the instructions for the [SF424 (R&R) Detailed Budget](#).

17. Is application subject to review by state under Executive Order 12372 Process?

- **Institute Data**
  - N/A
  - Institute Organization Data maintained centrally for the Institute. Users do not need to enter

18. Signature certification

- **YNQ**
  - Question: FG:
  - Answer Yes the question: Is the Application Certified.

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.

19. Pre-application

- **Authorized Representative**
  - OSP Approval Map
  - Final OSP Approval/submitter
  - The fields will be populated with the information specific to the OSP approver and the timestamp of the approval. While routing for approval, this field displays the OSP Contract Administrator for the unit.

Refer to the instructions for uploading narratives: [Upload Attachments general instructions](#).

21. Additional Congressional Districts

- **Upload Attachment**
  - Narrative type: CongressionalDistricts
  - Upload a pdf file to this type, if appropriate

Refer to the instructions for uploading narratives: [Upload Attachments general instructions](#).
## Research & Related Project/Performance Site Locations

<table>
<thead>
<tr>
<th>Field location</th>
<th>Lite Screen</th>
<th>Lite Field</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RESEARCH &amp; RELATED Project/Performance Site Location(s)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Project/Performance Site Primary Location</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organization Name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Street1:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Street2:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* City:</td>
<td>County:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* State:</td>
<td>County:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Country: USA: UNITED STATES</td>
<td>* ZIP / Postal Code:</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Project/Performance Site Location 1</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organization Name</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Street1:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Street2:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>* City:</td>
<td>County:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* State:</td>
<td>County:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Country: USA: UNITED STATES</td>
<td>* ZIP / Postal Code:</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Additional Location(s)</strong></td>
<td>Add Attachment</td>
<td>Delete Attachment</td>
<td>View Attachment</td>
</tr>
</tbody>
</table>

### PRIMARY: Project/Performance Site
- Organization screen
- Performing Organization: MIT info will populate.

### Indicate the primary site where the work will be performed.
The Congressional District may be changed to better reflect the impact of the project. Use the Add function to indicate if a portion of the project will be performed at any other site(s), identify the site location(s)

### Form specific fields:
- Coeus maintained data for MIT will automatically populate.

<table>
<thead>
<tr>
<th>Organization Name</th>
<th>This field is required.</th>
<th>Name of the primary site where the work will be performed.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Street 1</td>
<td>This field is required.</td>
<td>First line of the street address in &quot;Street 1&quot; field of the primary performance site location.</td>
</tr>
<tr>
<td>Street 2</td>
<td>This field is required.</td>
<td>Second line of the street address in &quot;Street 2&quot; field for the primary performance site location.</td>
</tr>
<tr>
<td>City</td>
<td>This field is required.</td>
<td>City for address of the primary performance site location.</td>
</tr>
<tr>
<td>County</td>
<td></td>
<td>County for the performance site location.</td>
</tr>
<tr>
<td>State</td>
<td>This field is required if the Project Performance Site is located in the U.S.</td>
<td>State or province where the primary performance site location is located.</td>
</tr>
<tr>
<td>Province</td>
<td></td>
<td>Province where the primary performance site location is located.</td>
</tr>
<tr>
<td>Country</td>
<td></td>
<td>Country for the primary performance site location.</td>
</tr>
<tr>
<td>Zip/Postal Code</td>
<td>This field is required if the Project Performance Site is located in the U.S.</td>
<td>Postal Code (e.g., ZIP code) of the primary performance site location.</td>
</tr>
<tr>
<td>Field location</td>
<td>Lite Screen</td>
<td>Lite Field</td>
</tr>
<tr>
<td>----------------</td>
<td>-------------</td>
<td>------------</td>
</tr>
<tr>
<td>Congressional District</td>
<td>This field is required if the Project Performance Site is located in the U.S.</td>
<td>Coeus 4.2.6: MIT data will be provided from the Organization data. Use the upload attachment Additional Congressional Districts on the SF424 (RR) form, if appropriate. Coeus 4.3.2: Congressional districts are editable on the Organization screen to alter to best reflect the impact of the project.</td>
</tr>
<tr>
<td>Additional Performing Locations – Optional</td>
<td>Organization screen</td>
<td>Add Organization / Location</td>
</tr>
</tbody>
</table>

Refer to the instructions for uploading narratives: [Upload Attachments general instructions](#).

Select **Add Location** to create a blank field.

**Location**

**Add Location**

Massachusetts Institute of Technology

Remove Location  | Find Address  | Clear Address

Remove Location  | Find Address  | Clear Address

For **Project/Performance Site**, the Location must be manually entered in the blank field. Select **Find Address** to search the Rolodex. Select a search result for the official address and Name to populate this Grants.gov form.
**Research & Related Other Project Information**

RESEARCH & RELATED Other Project Information

1. * Are Human Subjects Involved?  
   - Yes  
   - No

1.a If YES to Human Subjects
   Is the 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

7. * Project Narrative

8. Bibliography & References Cited

9. Facilities & Other Resources

10. Equipment

11. Other Attachments

OMB Number: 4040-0001
Expiration Date: 04/30/2008
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Are Human Subjects Involved?</td>
<td>Special Review</td>
<td>Review Type: Human Subjects</td>
<td>If activities involving human subjects are planned at any time during the proposed project at any performance site, the YES box must be checked, <strong>even if the proposed project is exempt</strong> from Regulations for the Protection of Human Subjects. To answer YES to Human Subject Involvement: Navigate to the Special Review screen and follow the instructions below to enter your special review details. Coeus will check the appropriate boxes in items 1 and 1a, and input the FWA code. To answer NO: If there are no Human Subject Special Reviews entered in your proposal, the question will be answered with a checkmark in the “no” box.</td>
</tr>
</tbody>
</table>

To Answer YES on Question 1 and fill the required 1.a fields:

![Special Review Screen](image)

Click the drop-down box in the field labeled **Special Review**
Select the Review Type Human Subjects
Click the drop-down box in the field labeled **Approval** and Select a status appropriate to the review. If:
- The status is **Pending**, then all required information has been entered. (No date required.)
- The status is **Submitted**, enter the date of the Regulatory Review in the **Application Date** field.
- The status is **Approved**, a protocol number must be entered in the **Protocol No.** field and a date entered into the **Approval Date** field
- The status is **Exempt**, the exempt code must be entered in the **Comments** field. Valid exemption codes are: E1, E2, E3, E4, E5, and E6. If multiple exempt codes are required, entries should be separated by a comma only, not spaces (i.e. E1,E4).

**Exemption Code Number** – If the IRB review confirms that the human subject activities are exempt from Federal regulations, provide the exemption numbers corresponding to one or more of the exemption categories. The six categories of research that qualify for exemption from coverage by the regulations are defined in the Common Rule for the Protection of Human Subjects. These regulations can be found at: [http://ohrp.osophs.dhhs.gov/humansubjects/guidance/45cfr46.htm](http://ohrp.osophs.dhhs.gov/humansubjects/guidance/45cfr46.htm)

**Save** the entry.
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
</table>
| 2 | Are Vertebrate Animals Used? | Special Review | Review Type: Vertebrate Animals | If activities involving vertebrate animals are planned at any time during the proposed project at any performance site, the YES box must be checked. If no, skip the remaining questions about Vertebrate Subjects.  

To answer YES to Vertebrate Animals use:  
Navigate to the Special Review screen and follow the instructions below to enter your special review details. Once input, Coeus will check the appropriate boxes in items 2 and 2a, and input the Institutional IACUC approval date.  
To answer NO:  
If there is no animal use special review entered in your proposal, the question will be answered with a checkmark in the “no” box. |

To Answer YES on Question 2 and fill the required 2.a fields:  

![Special Review Screen](image)

Click the drop-down box in the field labeled Special Review  
Select the Review Type Animal Usage  
Click the drop-down box in the field labeled Approval and Select a status appropriate to the review. If:  
- The status is Pending, then all required information has been entered. (No date required.)  
- The status is Submitted, enter the date of the Regulatory Review in the Application Date field.  
- The status is Approved, a protocol number must be entered in the Protocol No. field and a date entered into the Approval Date field  
Save the entry. |

<table>
<thead>
<tr>
<th>3</th>
<th>Is Proprietary/Privileged Information Included in the Application?</th>
<th>YNQ</th>
<th>Question G8</th>
<th>If the application includes such information, check the “Yes”, otherwise, check the No box</th>
</tr>
</thead>
</table>

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.  
Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in applications only when such information is necessary to convey an understanding of the proposed project.  
If Yes: clearly mark each line or paragraph on the pages or your proposal text containing the proprietary/privileged information with a legend similar to: “The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
</table>
| 4a & 4b | **Does this Project Have an Actual or Potential Impact on the Environment?** | YNQ | Question 27 | **4.a:** To respond to the question check yes, no, or not applicable.  
**4.b:** If you answered yes to 4a, enter an explanation for the actual or potential impact on the environment in the **Comment** box. Enter the review date in the **Review Date** field. |

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.  
For NIH: Unless a specific FOA indicates that the National Environmental Policy Act (NEPA) applies, applicants should check **No**.

| 4c | **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?** | YNQ | Question G9 | **4.c:** Check yes or no to indicate if exemption has been authorized or an environmental assessment (EA) or environmental impact statement (EIS) has been performed.  
**4.d:** If you answered yes to 4c, please explain – Provide a brief explanation in the **Comment** box or upload a file at block 11 "Other Attachments."  
To upload a narrative file to **field 11: Other Attachments:**  
Navigate to the Upload Narratives screen  
Select Coeus Narrative type-Other,  
Enter a Description Title “Environmental_Asemssement”  
Browse to locate your PDF file  
Save to Upload your file |

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.  
For NIH: Unless a specific FOA indicates that the National Environmental Policy Act (NEPA) applies, applicants should check **No**.

| 5a & 5b & 5c | **Does this Project Involve Activities Outside the U.S. or Partnership with International Collaborators?** | YNQ | Question H1 | **5.a:** To respond to the question check yes or no.  
**5.b:** If yes, enter the names of the countries with which international cooperative activities are involved. Enter a Review date.  
**5.c:** Use this block to provide any supplemental information, if necessary.  
To upload a narrative file to **field 11: Other Attachments:**  
Navigate to the Upload Narratives screen  
Select Coeus Narrative type-Other,  
Enter a description title “Foreign_Justification” for the document  
Browse to locate your PDF file  
Save to Upload your file |

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.  
If you have checked “Yes” to 5.a, applicants to the NIH and other PHS agencies must describe special resources or characteristics of the research project (e.g., human subjects, animals, disease, equipment, and techniques), whether similar research is being done in the United States and whether there is a need for additional research in this area. Provide this information in a separate file, attaching it as Item 11, Other Attachments. **NOTE:** In the body of the text, begin the section with a heading indicating “Foreign Justification.”
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
</table>
| 6  | Project Summary /Abstract        | Upload Narratives | Narrative type: ProjectSummary | To attach a project summary/abstract file,  
|    |                                 |               |                 | Save this information in a single PDF file.  
|    |                                 |               |                 | Upload Attachments screen:  
|    |                                 |               |                 | Select Attachment type ProjectSummary  
|    |                                 |               |                 | Browse to locate your PDF file  
|    |                                 |               |                 | Save to Upload your file |
|    |                                 |               |                 | Refer to the instructions for the uploading narratives: Upload Attachments general instructions.  
|    |                                 |               |                 | The Project Summary must describe concisely the research design and methods for achieving the stated goals. This section should be informative to other persons working in the same or related fields and insofar as possible understandable to a scientifically or technically literate reader. Avoid describing past accomplishments and the use of the first person.  
|    |                                 |               |                 | The Project Summary must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained description of the project and should contain a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related fields and insofar as possible understandable to a scientifically or technically literate lay reader.  
|    |                                 |               |                 | This section must be no longer than 30 lines of text, and follow the required font and margin specifications. It is meant to serve as a succinct and accurate description of the proposed work when separated from the application. State the application’s broad, long-term objectives and specific aims, making reference to the health relatedness of the project (i.e., relevance to the mission of the agency).  

| 7  | Project Narrative               | Upload Narratives | Narrative type: Narrative | To attach a project narrative file,  
|    |                                 |               |                 | Save this information in a single PDF file.  
|    |                                 |               |                 | Upload Attachments screen:  
|    |                                 |               |                 | Select Attachment type Narrative  
|    |                                 |               |                 | Browse to locate your PDF file  
|    |                                 |               |                 | Save to Upload your file |
|    |                                 |               |                 | Refer to the instructions for the uploading narratives: Upload Attachments general instructions.  
|    |                                 |               |                 | For NIH and other PHS agencies applications, this attachment will reflect the second component of the Project Summary -- Relevance. Using no more than two or three sentences, describe the relevance of this research to public health. In this section, be succinct and use plain language that can be understood by a general, lay audience |

| 8  | Bibliography & References Cited | Upload Narratives | Narrative type: Bibliography | To attach a bibliography,  
|    |                                 |               |                 | Save this information in a single PDF file.  
|    |                                 |               |                 | Upload Attachments screen:  
|    |                                 |               |                 | Select Attachment type Bibliography  
|    |                                 |               |                 | Browse to locate your PDF file  
|    |                                 |               |                 | Save to Upload your file |
|    |                                 |               |                 | Refer to the instructions for the uploading narratives: Upload Attachments general instructions.  
|    |                                 |               |                 | Unless otherwise noted in an FOA, this section is REQUIRED for submissions to NIH and other PHS agencies.  
<p>|    |                                 |               |                 | Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors -- Do Not Use et al (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. This section should include any references cited in the PHS 398 Research Plan component. The reference should be limited to relevant and current literature. While there is not a page limitation, it is important to be concise and to select only those literature references pertinent to the proposed research. For publicly available citations, URLs or PMC submission identification numbers may accompany the full reference. Note copies of these publications are no longer accepted as appendix material. |</p>
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Facilities &amp; Other Resources</td>
<td>Upload Narratives</td>
<td>Narrative type: Facilities</td>
<td>To attach a facilities and other resources file, <strong>Save</strong> this information in a <strong>single PDF</strong> file. Upload Attachments screen: Select Attachment type Facilities <strong>Browse</strong> to locate your PDF file <strong>Save</strong> to Upload your file</td>
</tr>
</tbody>
</table>

Refer to the instructions for the uploading narratives: [Upload Attachments general instructions](#).

**DO NOT USE the old 398 Form! No special form is required but this section must be completed and attached for submissions to NIH and other PHS agencies unless otherwise noted in an FOA.**

This information is used to assess the capability of the organizational resources available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the Other Resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. If there are multiple performance sites, then resources available at each site should be described. In describing the scientific environment in which the work will be done, discuss ways in which the proposed studies will benefit from unique features of the scientific environment, or subject populations or employ useful collaborative arrangements. If research involving Select Agent(s) will occur at any performance site(s), the biocontainment resources available at each site should be described.

---

| 10 | Equipment | Upload Narratives | Narrative type: Equipment | To attach an equipment file, **Save** this information in a **single PDF** file. Upload Attachments screen: Select Attachment type Equipment **Browse** to locate your PDF file **Save** to Upload your file for your submission |

Refer to the instructions for the uploading narratives: [Upload Attachments general instructions](#).

List major items of equipment *already available* for this project and, if appropriate identify location and pertinent capabilities. This is NOT a purchase justification for new equipment.

---

| 11 | Other Attachments | Upload Narratives | Narrative type: Other (title/description required) | To upload a narrative file to **field 11: Other Attachments**: Navigate to the Upload Narratives screen Select Coeus Narrative type-Other, Enter a description title for the document (no spaces, no special characters) **Browse** to locate your PDF file **Save** to Upload your file |

Refer to the instructions for the uploading narratives: [Upload Attachments general instructions](#).

Coeus will generate and display Field 11: Other Attachments if narrative type “Other” is used in the proposal, otherwise this field description will not appear on the Coeus form printout. Multiple lines will be generated, as required, for each upload. Questions in fields 4 and 5 of this form allow for optional uploads to this location.
**Research & Related Senior/Key Person**

<table>
<thead>
<tr>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
</table>

| PROFILE - Project Director/Principal Investigator | Investigators/Key Persons screen | Project Role: Principal Investigator | Use Employee Search to locate the PI. This PI contact data will also populate the SF424 (R&R) field 14. |

**Form specific fields:**
Coeus data for PI, Co-I, and Key Persons will automatically populate forms unless modified in the Details screen (* indicates required field).

**PROFILE**
Project Director/Principal Investigator:

**Investigators/Key Study Personnel Details:**
Specific to a PI. Key Person Role is required for Key Personnel.

**Employee Search | Non Employee Search**
Name: [ ]
Commons User Name: [ ]
Unit: [ ]
Proposal Role: [ ]
Key Person Role: [ ]
% Effort: 0.0

Navigate to the Investigators/Key Persons screen. Principal Investigator, by default, is the first Proposal Role.

Search for the Principal Investigator: Use the Employee Search function to locate the PI in the Coeus Person Data table.
Select a result from the query and then Save. The results will appear in the List of Investigators/Key Study Personnel.

Select Details to edit specific contact and degree details may for this submission.

1. Modify or revise contact information (any field with a white background can be modified).
2. Enter eRA Commons User Name (MANDATORY for NIH PIs!)

3. Enter DEGREE information to match your eCommons profile.
   - Select Add Degree
   - Select a Degree Type from the drop-down list
   - Enter the Degree, Graduation Year, and School in the fields provided.

Save
<table>
<thead>
<tr>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prefix</td>
<td>Investigator/Key</td>
<td>N/A</td>
<td>Prefix of the individual responsible for the overall scientific and technical direction of the project. (values equal: Mr., Mrs., Miss. Ms., Dr., Rev.)</td>
</tr>
<tr>
<td>* First Name</td>
<td>Investigator/Key</td>
<td>Coeus data will print to forms.</td>
<td>First name of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>Middle Name</td>
<td>N/A:</td>
<td>Does not publish.</td>
<td>Middle name of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>* Last Name</td>
<td>Investigator/Key</td>
<td>Coeus data will print to forms.</td>
<td>Last name of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>Suffix</td>
<td>N/A</td>
<td>N/A</td>
<td>Suffix of the individual responsible for the overall scientific and technical direction of the project. (values equal: Jr., Sr., MD, PhD, JD)</td>
</tr>
<tr>
<td>Position/Title</td>
<td>Person Details</td>
<td>Directory Title</td>
<td>Position/title of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>Organization Name</td>
<td>MIT Hierarchy</td>
<td>Not editable</td>
<td>Organization name of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>Department</td>
<td>MIT Hierarchy</td>
<td>Not editable</td>
<td>Department of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>Division</td>
<td>MIT Hierarchy</td>
<td>Not editable</td>
<td>Division of the individual responsible for the overall scientific and technical direction of the project.</td>
</tr>
<tr>
<td>* Street1</td>
<td>Person Details</td>
<td>Address1</td>
<td>First line of the street address for the PD/PI in the “Street1” field.</td>
</tr>
<tr>
<td>Street2</td>
<td>Person Details</td>
<td>Address2</td>
<td>Second line of the street address for the PD/PI in “Street2” field.</td>
</tr>
<tr>
<td>* City</td>
<td>Person Details</td>
<td>City</td>
<td>City for address of the PD/PI.</td>
</tr>
<tr>
<td>County</td>
<td>Person Details</td>
<td>County</td>
<td>County/parish for address of the PD/PI.</td>
</tr>
<tr>
<td>* State</td>
<td>Person Details</td>
<td>State</td>
<td>State where the PD/PI is located. This field is required if the PD/PI is located in the United States.</td>
</tr>
<tr>
<td>Province</td>
<td>N/A</td>
<td>N/A</td>
<td>Province for PD/PI.</td>
</tr>
<tr>
<td>* Country</td>
<td>Person Details</td>
<td>Country</td>
<td>Country for the PD/PI address.</td>
</tr>
<tr>
<td>* Zip/Postal Code</td>
<td>Person Details</td>
<td>Postal Code</td>
<td>Postal Code (e.g., ZIP code) of the PD/PI.</td>
</tr>
<tr>
<td>* Phone</td>
<td>Person Details.</td>
<td>Office Phone</td>
<td>Daytime phone number for the PD/PI.</td>
</tr>
<tr>
<td>* Fax</td>
<td>Person Details</td>
<td>Fax</td>
<td>Fax number for the PD/PI.</td>
</tr>
<tr>
<td>* Email</td>
<td>Person Details</td>
<td>Email</td>
<td>E-mail address for the PD/PI.</td>
</tr>
</tbody>
</table>

### Credential/Agency Login

<table>
<thead>
<tr>
<th>Person Details</th>
<th>ERA Commons User Name</th>
<th>For NIH applications you MUST enter your agency ID.</th>
</tr>
</thead>
<tbody>
<tr>
<td>* Project Role</td>
<td>Investigator/Key</td>
<td>Select from list prior to saving</td>
</tr>
<tr>
<td>Persons screen</td>
<td></td>
<td>Select Principal Investigator from the list (default first entry).</td>
</tr>
<tr>
<td>Other Project Role Category</td>
<td>Investigator/Key Persons screen</td>
<td>Not applicable for PI. Only required if Project Role selection is &quot;Other Professional&quot; or &quot;Other&quot;.</td>
</tr>
</tbody>
</table>

### Biographical Sketch

| Upload Attachments | Personnel Attachments: Biosketch | Provide a biographical sketch for the senior/key person. |

Refer to the instructions for uploading narratives: [Upload Attachments general instructions](#). Biosketch Attachment type Attachment type will only be available for persons entered on the Investigator/Key Person screen.

### Current & Pending Support

| Upload Attachments | Personnel Attachments: CurrentPending | Not Always Applicable: Check the sponsor announcement. Provide a list of all current and pending support for the PD/PI for ongoing projects and pending applications. |

Refer to the instructions for uploading narratives: [Upload Attachments general instructions](#). CurrentPending Attachment type will only be available for persons entered on the Investigator/Key Person screen.
**Senior/Key Persons**

Maintain fields as described above for the PI.

Be careful to select the correct Proposal Role (Co-Investigator or Key/Study Person) and Key Person Role BEFORE saving your search results.

The Roles CANNOT be revised once saved. To change Roles, you must Remove the person and perform another Search and Save to return them to the List of Investigators/Key Study Personnel.
Certify Investigators

Open the Certify window from either the Person Details:

Or open Certify from the List of Investigator/Key Personnel panel:

a. Select Certify for the investigator you want certify to open the Certification window

b. Review the questions and select the appropriate answer in the electronic certificate.

c. Select Save to save your responses

d. Select Print Certification to generate a print-ready PDF file for the investigators signature.

e. Select Return to Investigator to close the Certify window.

Result:

Green check denotes complete certification is completed.
SF424 (R&R) Detailed Budget

Please note that a DETAILED budget is required for this submission, not Modular.

Refer to your selected NIH Opportunity for specific details on allowable costs to include in your budget!

Some Budget factors to be aware of for NIH K01 awards:

Salary: The NIH K01 award will provide salary and fringe benefits for the award recipient (PI). The total salary requested must be based on a full-time, 12-month staff appointment. The K01 award requires the candidate to devote a minimum of 9 person-months (75% of full-time professional effort) to conducting health-related research. The remaining effort may be devoted to clinical, teaching, or other research pursuits and activities consistent with the objectives of the award. For information regarding NIH policy on determining full-time professional effort for career awards, see NOT-OD-04-056.

Allowable Costs for Research Development Support:
The research development support costs allowed for this program must be justified and be consistent with the stage of development of the candidate and the proportion of time to be spent in research or career development activities.

Funds may be used for the following expenses:
- (a) Tuition and fees related to career development;
- (b) Research expenses, such as supplies, equipment and technical personnel;
- (c) Travel to research meetings or training; and
- (d) Statistical services including personnel and computer time.

Ancillary Personnel Support: Salary for mentors, secretarial and administrative assistance, etc., is not allowed.

Upload Attachments: Proposal Attachment: BudgetJustification Provide a detailed description with justification for all equipment, supplies and personnel that will be used to help achieve the career development and research objectives of this award.

Indirect Costs: Facilities and Administrative (F&A) costs, will be reimbursed at eight percent (8%) of modified total direct costs (MTDC). This will generate Underrecovery in your Coeus Budget (the unfunded difference between the F&A Rate the Sponsor provides versus the currently authorized Institute Rate (68% for FY2009). Lite users: Please provide the Underrecovery Distribution information as an Institutional Upload, in Upload Attachments.


To set the F&A rate to 8%:

To modify the applicable rates for this proposal:

Select Budget on the left Navigation bar.

- If there is more than one budget version in this proposal, you will automatically navigate to the Budget Versions screen.
  - Select Open to open that version. Note: be sure the Budget Status is Incomplete in order to allow updates.
- If this is the initial navigation to budget, you will automatically navigate to the Budget Set Up: Personnel screen.

- Select Proposal Rates from the Navigation bar.

- Locate the MTDC Rate Type in the F and A category on the screen and enter the 8 (eight) percent rate to be used for this proposal in the Applicable Rate fields to the right of the Rate Type listed.

- Save (scroll to the bottom of the Rates screen)

Rate screen upon opening:

```
<table>
<thead>
<tr>
<th>Activity Type: Organized Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>F and A</td>
</tr>
<tr>
<td>Rate Type</td>
</tr>
<tr>
<td>----------------------</td>
</tr>
<tr>
<td>MTDC</td>
</tr>
<tr>
<td>MTDC</td>
</tr>
<tr>
<td>Broad Sequencing F&amp;A</td>
</tr>
</tbody>
</table>
```

Rate screen after entering Applicable Rate for MTDC:

```
<table>
<thead>
<tr>
<th>Activity Type: Organized Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>F and A</td>
</tr>
<tr>
<td>Rate Type</td>
</tr>
<tr>
<td>----------------------</td>
</tr>
<tr>
<td>MTDC</td>
</tr>
<tr>
<td>MTDC</td>
</tr>
</tbody>
</table>
```

Note: Reset reverts all Applicable Rates to match the Institute Rates; Sync will update all the rates (Institute and Applicable) with the currently maintained Coeus Rates data.
## PHS398 Cover Letter

<table>
<thead>
<tr>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
</table>

### Mandatory Cover Letter Filename:

- **Upload Attachments:**  
- **Proposal Attachments:**  
- **To attach a Cover Letter:**  
  - Save the letter in a single PDF file.  
  - Upload Attachments screen:  
    - Select Attachment type: PHS_Cover_Letter  
    - Browse to locate your PDF file  
    - Save to add this to the List of Proposal Attachments.

Refer to the instructions for the uploading narratives: [Upload Attachments general instructions](http://grants1.nih.gov/grants/funding/424/index.htm#inst).

NIH encourages Applicants to include a cover letter with the application. The cover letter is only for internal agency use and will not be shared with peer reviewers. Refer to the NIH submission guide for detailed instructions on cover letter content and format: [http://grants1.nih.gov/grants/funding/424/index.htm#inst](http://grants1.nih.gov/grants/funding/424/index.htm#inst).

### Suggested Cover Letter Format

The Division of Receipt and Referral (DRR), Center for Scientific Review (CSR) is responsible for assigning applications to ICs and to scientific review groups (SRGs). In order to facilitate the use of PI requests in conjunction with knowledge management analysis of the content of the application, applicants are requested to use the following format when assignment requests are contained in a cover letter.

- List one request per line.
- Place institute/center (IC) and SRG review requests (if both are made) on separate lines.
- Place positive and negative requests (if both are made) on separate lines.
- Include name of IC or SRG, followed by a dash and the acronym. Do not use parentheses.
- Provide explanations for each request in a separate paragraph.

### Examples:

Please assign this application to the following:

**Institutes/Centers**

- National Cancer Institute - NCI
- National Institute for Dental and Craniofacial Research – NIDCR

**Scientific Review Groups**

- Molecular Oncogenesis Study Section – MONC
- Cancer Etiology Study Section – CE

**Please do not assign this application to the following:**

**Scientific Review Groups**

- Cancer Genetics Study Section – CG

**The reasons for this request are** [provide a narrative explanation for the request(s)].
# PHS398 Cover Page Supplement

## Field Location | Lite Screen | Lite Field Name | Instructions
--- | --- | --- | ---

## 1. Project Director / Principal Investigator (PD/PI)

<table>
<thead>
<tr>
<th>Prefix:</th>
<th>* First Name:</th>
<th>Middle Name:</th>
<th>* Last Name:</th>
<th>Suffix:</th>
</tr>
</thead>
</table>

* * Now Investigator? [ ] No [ ] Yes *

<table>
<thead>
<tr>
<th>Degrees:</th>
</tr>
</thead>
</table>

1. **PI Name**  
[ ] Investigator/Key Persons  
[ ] Principal Investigator  
The proposal PI data (Person table or edited Details) will populate these fields.

2. **New Investigator**  
[ ] YNQ  
[ ] Q. 13 NIH Beginning Investigator  
If the PI has served as a PI on a PHS supported research project other than a small grant, answer No. (Jump to additional details Definition of an NIH New Investigator).

Click on **YNQ** in the navigation bar. All questions need to be answered to complete the proposal.

3. **Degrees**  
[ ] Investigator/Key Persons  
[ ] Details of person selected.  
Degree data, if any, is imported from HR Data but can be modified for each proposal.

To Review and modify degree data,

- **Add Degree**

<table>
<thead>
<tr>
<th>Degree Type</th>
<th>Degree</th>
<th>Graduation Year</th>
<th>School</th>
</tr>
</thead>
</table>

Select **Add Degree** to generated Fields to enter degree information.
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>2. Human Subjects</td>
<td>N/A</td>
<td>N/A</td>
<td>MIT does not allow Clinical Trials on campus. This answer will default to NO.</td>
</tr>
<tr>
<td>1</td>
<td>Human Subjects Clinical Trial</td>
<td>N/A</td>
<td>N/A</td>
<td>Select Yes or No.</td>
</tr>
<tr>
<td>2</td>
<td>Phase III Clinical Trial</td>
<td>YNQ</td>
<td>Q 17</td>
<td>Is this a Phase III Clinical Trial as defined by NIH? Select Yes or No.</td>
</tr>
</tbody>
</table>

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.

### 3. Applicant Organization Contact

Person to be contacted on matters involving this application

- **Prefix:**
- **Middle Name:**
- **Last Name:**
- **Suffix:**
- **Phone Number:**
- **Fax Number:**
- **Email:**

- **Title:**
- **Street1:**
- **Street2:**
- **City:**
- **County:**
- **State:**
- **Province:**
- **Country:** USA: UNITED STATES
- **Zip / Postal Code:**

These fields will be automatically populated.
### 4. Human Embryonic Stem Cells

* Does the proposed project involve human embryonic stem cells?

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

**Cell Line(s):**

- Specific stem cell line cannot be referenced at this time. One from the registry will be used.

<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Human Embryonic Stem Cells</td>
<td>YNQ</td>
<td></td>
<td>Click Yes or No. If Yes: Enter the 4-digit codes, separated by commas, in the Explanation box. List no more than 20 registration numbers of the cell lines in the explanation for the question and separate them by commas. The maximum allowed length of each registration number is 4. If a specific stem cell line cannot be referenced at this time, enter 'UNKNOWN' as the explanation.) From the registry page (<a href="http://stemcells.nih.gov/index.asp">http://stemcells.nih.gov/index.asp</a>) find the “unique NIH Code for each cell line that must be used when applying for NIH funding”.</td>
</tr>
</tbody>
</table>

Click on **YNQ** in the navigation bar. All questions need to be answered to complete the proposal.
# PHS398 Career Development Award Supplemental Form

## Instructions

### 1. Application Type:

From SF424 (R&R) Cover Page. The response provided on that page, regarding the type of application being submitted, is repeated here for your reference, as you attach the sections that are appropriate for this Career Development Award.

- [New]
- [Resubmission]
- [Renewal]
- [Continuation]
- [Revision]

### 2. Career Development Award Attachments:

Please attach applicable sections, below.

- [Introduction (if applicable)]
- [Introduction to Application (for RESUBMISSION applications only)]

## Form Location

<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Application Type</td>
<td>General Info</td>
<td>Proposal Type</td>
<td>The type selected to populate the SF 424 (R&amp;R) Cover Page is repeated. No user action required</td>
</tr>
<tr>
<td>2.1</td>
<td>Intro to Application (Resubmissions only)</td>
<td>Upload Attachments</td>
<td>Proposal Uploads</td>
<td>Select Attachment type PHS_Career_IntroductionToApplication</td>
</tr>
</tbody>
</table>

## 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 (when applicable)

## Candidates Background

- 2.2 Candidates Background | Upload Attachments | Proposal Uploads | Select Attachment type PHS_Career_Candidate_Background |

**NOTE:** Review the requirements specific to the opportunity selected for your submission! The text below is an example!

Describe the candidate’s commitment to a health-related research career. Include a description of all the candidate's professional responsibilities in the grantee institution and elsewhere and show their relation to the proposed activities on the career award.

Describe prior training and how it relates to the objectives and long-term career plans of the candidate.

Describe the candidate's research efforts to this point in his/her research career, including any publications, prior research interests and experience.

Provide evidence of the candidate's potential to develop into an independent investigator.

Include a statement that the candidate will commit at least 9 person-months (75% of full-time professional effort) to the career development program and related career development activities.
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.3</td>
<td>Career Goals and Objectives</td>
<td>Upload Attachments</td>
<td>Proposal Uploads</td>
<td>Select Attachment type PHS_Career_Goals_Objectives</td>
</tr>
</tbody>
</table>

**NOTE:** Review the requirements specific to the opportunity selected for your submission! The text below is an example!

Describe a systematic plan:

1. that shows a logical progression from prior research and training experiences to the training and research experiences that will occur during the career award period and then to independent investigator status;
2. that justifies the need for further career development to become an independent investigator; and
3. that utilizes the relevant research and educational resources of the institution.

| 2.4  | Career Development/Training Activities During Award Period | Upload Attachments      | Proposal Uploads                       | Select Attachment type PHS_Career_Dev_Training                                                          |

**NOTE:** Review the requirements specific to the opportunity selected for your submission! The text below is an example!

The candidate and the mentor are jointly responsible for the preparation of the career development plan. A timeline is often helpful. The sponsor/mentor may form an advisory committee to assist with the development of a program of study or to monitor the candidate’s progress through the career development program.

The didactic (if any) and the research aspects of the plan must be designed to develop the necessary knowledge and research skills in scientific areas relevant to the candidate’s career goals.

Describe the professional responsibilities/activities including other research projects) beyond the minimum required 75% effort commitment to the career award.

Explain how these responsibilities/activities will help ensure career progression to achieve independence as an investigator.

| 2.5  | Training the Responsible Conduct of Research | Upload Attachments      | Proposal Uploads                       | Select Attachment type PHS_Career_Training_Resp_Conduct_Research                                       |

**NOTE:** Review the requirements specific to the opportunity selected for your submission! The text below is an example!

Applications must include a description of a program to provide formal or informal instruction in scientific integrity or the responsible conduct of research. Applications without plans for instruction in the responsible conduct of research will be considered incomplete and may be returned to the candidate without review.

Although the NIH does not establish specific curricula or formal requirements, all programs are encouraged to consider instruction in the following areas: conflict of interest, responsible authorship, policies for handling misconduct, policies regarding the use of human and animal subjects, and data management.

Candidates must follow the application instructions found in PHS 398 Career Development Award Supplemental form Section 7.5.1, and refer to the NIH web site (http://www.nih.gov/sigs/bioethics/researchethics.html) for additional guidance.

| 2.6  | Mentoring Plan (if applicable) | Upload Attachments      | Proposal Uploads                       | Select Attachment type PHS_Career_Mentoring_Plan                                                      |

**NOTE:** Review the requirements specific to the opportunity selected for your submission! The text below is an example!

Document prior instruction in or propose plans to receive instruction in the responsible conduct of research in terms of subject matter and duration of instruction. **An award cannot be made if an application lacks this component.**

Applications not providing documentation of prior instruction in the responsible conduct of research must include a description of a program to receive formal or informal instruction in scientific integrity or the responsible conduct of research. Applications without plans for instruction in the responsible conduct of research will be considered incomplete and may be returned to the candidate without review.

Although the NIH does not establish specific curricula or formal requirements, all programs are encouraged to consider instruction in the following areas: conflict of interest, responsible authorship, policies for handling misconduct, policies regarding the use of human and animal subjects, and data management.

Candidates must follow the application instructions found in PHS 398 Career Development Award Supplemental form Section 7.5.1, and refer to the NIH web site (http://www.nih.gov/sigs/bioethics/researchethics.html) for additional guidance.
NOTE: Review the requirements specific to the opportunity selected for your submission! The text below is an example!

All statements/letters should be appended to each other and uploaded as a single PDF document.

- The candidate must name a primary mentor who, together with the candidate, is responsible for the planning, directing, monitoring, and executing the program. The candidate may also nominate co-mentors as appropriate to the goals of the program.

- The mentor should be recognized as an accomplished investigator in the proposed research area and have a track record of success in training and placing independent investigators.

- The mentor should have sufficient independent research support to cover the costs of the proposed research project in excess of the allowable costs of this award.

- Where feasible, women, individuals from diverse racial and ethnic groups, and individuals with disabilities should be involved as mentors to serve as role models.

- The application must include a statement from the mentor providing:
  - 1) information on his/her research qualifications and previous experience as a research supervisor;
  - 2) a plan that describes the nature of the supervision and mentoring that will occur during the proposed award period;
  - 3) a plan for career progression for the candidate to move from the mentored stage of his/her career to the independent research investigator status during the project period of the award; and
  - 4) a plan for monitoring the candidate’s research, publications, and progression towards independence.

- Similar information must be provided by any co-mentor. If more than one co-mentor is proposed, the respective areas of expertise and responsibility of each should be described. Co-mentors should clearly describe how they will coordinate the mentoring of the candidate. If any of the co-mentors are not located at the sponsoring institution, a statement should be provided describing the mechanism(s) and frequency of communication with the candidate, including the frequency of personal meetings.

- Signed statements must be provided by each consultant/collaborator confirming their participation in the project and describing their specific roles. Collaborators and consultants generally do not need to provide their biographical sketches. However, information should be provided clearly documenting the appropriate expertise in the proposed areas of consulting/collaboration. Collaborators/consultants are generally not directly involved in the development of the career of the candidate as an independent investigator.

- The mentor must agree to provide annual evaluations of the candidate’s progress as required in the annual progress report, PHS 2590 (see Section VI.3. Reporting).
**NOTE: Review the requirements specific to the opportunity selected for your submission! The text below is an example!**

The sponsoring institution must define and document a strong, well-established research program related to the candidate’s area of interest including a high-quality research environment with staff capable of productive collaboration with the candidate. Describe the facilities, supplies, equipment, and human resources that will be available to the candidate. Describe how the research environment of the institution is particularly suited to enhance the development of the candidate's research career as an independent scientist and proposed career and research plans.

**NOTE: Review the requirements specific to the opportunity selected for your submission! The text below is an example!**

- The sponsoring institution must provide a statement of commitment to the candidate’s development into a productive, independent investigator and to meeting the requirements of this award. It should be clear that the institutional commitment to the candidate is not contingent upon receipt of this career award.
- Provide assurances that the candidate will be able to devote a minimum of 9 person-months (75% of full-time professional effort) to the development of their research program. The remaining effort should be devoted to activities related to the development of the candidate’s career as an independent scientist, e.g. clinic responsibilities, teaching and administration, and/or additional research activities.
- Provide the candidate with appropriate office and laboratory space, equipment, and other resources and facilities (including access to clinical and/or other research populations) to carry out the proposed research plan.
- Provide appropriate time and support for any proposed mentor(s) and/or other staff consistent with the career development plan.

A sound research project that is consistent with the candidate’s level of research development and objectives of his/her career development plan must be provided. The research description should demonstrate not only the quality of the candidate’s research thus far but also the novelty, significance, creativity and approach, as well as the ability of the candidate to carry out the research.

The application must also describe the relationship between the mentor’s research and the candidate’s proposed research plan. If more than one mentor is proposed, the respective areas of expertise and responsibility should be described.

Data and Safety Monitoring (when applicable): Individual NIH institutes may have specific requirements for data and safety monitoring of clinical trials. Candidates proposing to conduct clinical trials should consult with relevant IC staff. Plans for data and safety monitoring must be included in research plans involving Phase I or Phase II clinical trials (see Federal Citations in Section VIII): Generally, this requirement may be satisfied in the submitted application by providing documentation that the sponsoring institution has an approved plan in place and providing a brief description of the key elements of the plan.
NOTE: Review the requirements specific to the opportunity selected for your submission!

List the broad, long-term objectives and the goal of the specific research proposed, for example, to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm or clinical practice, address a critical barrier to progress in the field, or develop new technology.

Please consult the sponsor instructions for your specific opportunity regarding the content of the Research Strategy Section.

NOTE: Review the requirements specific to the opportunity selected for your submission!

If the renewal or revision application involves clinical research, then you must report on the enrollment of research subjects and their distribution by ethnicity/race and sex/gender.

NOTE: Review the requirements specific to the opportunity selected for your submission!

List the titles and complete references to all appropriate publications, manuscripts accepted for publication, patents, and other printed materials that have resulted from the project since it was last reviewed competitively. For publicly available citations, URLs or PMC submission identification numbers may accompany the full reference. Note copies of these publications are no longer accepted as appendix material.

This section covers only the initial information regarding the Protection of Human Subjects. Follow the instructions in the full NIH SF424 guide (http://grants1.nih.gov/grants/funding/424/index.htm): Part II, Supplemental Instructions for Preparing the Human Subjects Section of the Research Plan.

See separate sections below for other human subjects related sections that may apply.

To determine if Inclusion of Women and Minorities applies to this application, follow the instructions in the full guide, Part II, Supplemental Instructions for Preparing the Human Subjects Section of the Research Plan.

If this application involves the Inclusion of Women and Minorities, complete the Targeted/Planned Enrollment Table.
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.17</td>
<td>Inclusion of Children</td>
<td>Upload Attachments</td>
<td>Proposal Uploads</td>
<td>Select Attachment type: PHS_Career_InclusionOfChildren</td>
</tr>
</tbody>
</table>

To determine if Inclusion of Children applies to this application, follow the instructions in the full guide; Supplemental Instructions for Preparing the Human Subjects Section of the Research Plan.

| 2.18 | Vertebrate Animals | Upload Attachments | Proposal Uploads | Select Attachment type: PHS_Career_VertebrateAnimals |

If you indicated that Vertebrate Animals are involved in this project, address the following five key points. In addition, when research involving vertebrate animals will take place at collaborating site(s) or other performance site(s), provide this information before discussing the five points. Although no specific page limitation applies to this section of the application, be succinct.

1. Provide a detailed description of the proposed use of the animals in the work outlined in the Research Design and Methods section. Identify the species, strains, ages, sex, and numbers of animals to be used in the proposed work.
2. Justify the use of animals, the choice of species, and the numbers to be used. If animals are in short supply, costly, or to be used in large numbers, provide an additional rationale for their selection and numbers.
3. Provide information on the veterinary care of the animals involved.
4. Describe the procedures for ensuring that discomfort, distress, pain, and injury will be limited to that which is unavoidable in the conduct of scientifically sound research. Describe the use of analgesic, anesthetic, and tranquilizing drugs and/or comfortable restraining devices, where appropriate, to minimize discomfort, distress, pain, and injury.
5. Describe any method of euthanasia to be used and the reasons for its selection. State whether this method is consistent with the recommendations of the Panel on Euthanasia of the American Veterinary Medical Association. If not, present a justification for not following the recommendations.

| 2.19 | Select Agent Research | Upload Attachments | Proposal Uploads | Select Attachment type: PHS_Career_SelectAgentResearch |

If you are responding to a specific funding opportunity announcement (e.g., PA or RFA), address any requirements specified by the solicitation.

| 2.20 | Consortium/Contractual Arrangements | Upload Attachments | Proposal Uploads | Select Attachment type: PHS_Career_Consortium_Contract |

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.

| 2.21 | Resource Sharing Plan(s) | Upload Attachments | Proposal Uploads | Select Attachment type: PHS_Career_Resource_Sharing_Plan |

NIH considers the sharing of unique research resources developed through NIH-sponsored research an important means to enhance the value and further the advancement of the research. When resources have been developed with NIH funds and the
associated research findings published or provided to NIH, it is important that they be made readily available for research purposes to qualified individuals within the scientific community. See Part III, 1.5 Sharing Research Resources. See Data-Sharing Policy or [http://grants.nih.gov/grants/guide/notice-files/N...]

<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>24</td>
<td>Appendix</td>
<td>Add Attachments</td>
<td>Delete Attachments</td>
<td>View Attachments</td>
</tr>
</tbody>
</table>

A maximum of 10 PDF attachments is allowed. Note this is the total number of allowable appendix attachments, not the total number of publications. When allowed there is a limit of 3 publications that are not publicly available. If more than 10 appendix attachments are needed, combine the remaining information into attachment #10. A summary sheet listing all of the items included in the appendix is encouraged, but not required. When including a summary sheet, it should be included in the first appendix attachment. Appendix material may not appear in the assembled application in the order attached. Applications that do not follow the appendix requirements may be delayed in the review process.

### 3. *Citizenship:*

- U.S. Citizen or noncitizen national
- Permanent Resident of U.S. (if a permanent resident of the U.S., a notarized statement must be provided by the time of award)
- Permanent Resident of U.S. Pending
- Non-U.S. Citizen with temporary U.S. visa

The Citizenship response that will be supplied from the MIT HR data feed will not be editable by the user, but can be viewed prior to submission by print-previewing the form. See [Print-Preview the opportunity](#). If the field populates as null, one of the codes entered above may be inserted.
# PHS398 Checklist

<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Application Type</td>
<td>General Info</td>
<td>Proposal Type</td>
<td>The type selected to populate the SF 424 (R&amp;R) Cover Page is repeated. No user action required</td>
</tr>
<tr>
<td>1</td>
<td>Federal Identifier</td>
<td>General Info</td>
<td>Sponsor Proposal number</td>
<td>The type selected to populate the SF 424 (R&amp;R) Cover Page is repeated. No user action required</td>
</tr>
</tbody>
</table>

## 1. Application Type

From SF 424 (R&R) Cover Page. The responses provided on the R&R cover page are repeated here for your reference, as you answer the questions that are specific to the PHS398.

* Type of Application:
  - [ ] New
  - [ ] Resubmission
  - [ ] Renewal
  - [ ] Continuation
  - [ ] Revision

Federal Identifier: ____________

## 2. Change of Investigator / Change of Institution Questions

- [ ] Change of principal investigator / program director
  - Prefix: ____________
  - * First Name: __________________
  - Middle Name: ____________
  - * Last Name: __________________
  - Suffix: ____________

- [ ] Change of Grantee Institution
  - * Name of former institution: __________________

### Q # 22:

Is the principal investigator changing with this application?

IF YES: enter last and first names of previous investigator in Explanation. Please enter using format: LAST NAME, FIRST NAME.

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.

### Q# 23

Has the grantee institution changed with this application?

IF YES: enter name of previous institution in explanation field.

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.
<table>
<thead>
<tr>
<th>#</th>
<th>Field Location</th>
<th>Lite Screen</th>
<th>Lite Field Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Inventions and Patents (Renewal applications)</td>
<td>YNQ</td>
<td>Q# 16</td>
<td>For NEW submissions, select N/A. Do you have any new inventions or patents? For Renewals: 'Yes' if there are new inventions and they have been previously reported; 'No' if new inventions have not been previously reported; 'N/A' if no inventions at all.</td>
</tr>
<tr>
<td>4</td>
<td>Program Income</td>
<td>Budget: Project Income</td>
<td>Add Project Income (see Coeus Lite Guide for full instructions.)</td>
<td>Enter Income and Description for each project period with income. If the application is funded, the Notice of Grant Award will provide specific instructions regarding the use of such income.</td>
</tr>
<tr>
<td>5</td>
<td>Assurances/Certifications</td>
<td>YNQ</td>
<td>Q. FG</td>
<td>Certification is authorized at the OSP level for the Institution. Descriptions of individual assurances/certifications are provided at <a href="http://grants.nih.gov/grants/funding/424">http://grants.nih.gov/grants/funding/424</a>. Only answer no if unable to certify compliance with the applicable policies, assurances, and certifications. If No: provide an explanation in a separate file.</td>
</tr>
</tbody>
</table>

Click on YNQ in the navigation bar. All questions need to be answered to complete the proposal.

| 6 | Disclosure Permission Statement | YNQ | TBD – coming in next form set. | Select "yes" or "no" to indicate whether disclosure permission is granted. |

If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and e-mail address of the official signing for the applicant organization, to organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)?
Validate your proposal

Before you try to Validate:

- Finalize your proposal:
  
  o Mark one of your budget versions as Final and Complete on the Budget Summary screen.
  
  o Save these updates.

  ![Budget Summary](image)

  - Final: [ ]
  - Modular Budget: [ ]
  - Total Cost Limit: $0.00
  - Total Direct Cost Limit: $0.00

  ![Budget Totals](image)

  - Direct Cost: $746,216.77
  - Indirect Cost: $57,215.69
  - Total Cost: $803,432.46
  - Under Recovery: $346,989.18
  - Cost Share: $0.00
  - Period: 07/01/2009 - 06/30/2012

- Navigate to the Grants.gov screen and select Validate from the options on the bottom of your screen.

  ![Grants.gov](image)
- Respond to any errors displayed – make the necessary corrections.

Grants.gov

- After making the corrections, return to the Grants.gov screen and select Validate again. Repeat until the Validations Successful message is displayed.

Print-Preview your Proposal Forms

To preview your application and confirm that all the forms are accurately populated and the narrative uploads are attached, use one of the Coeus print functions to generate a PDF file, which can be viewed on-screen, printed to paper, or saved to your local computer. You can print-preview from the Grants.gov screen, or from the Print button on the Navigation bar.

All required fields and uploaded attachments must be completed prior to print-previewing the Grants.gov forms. The Grants.gov validations are run against the form(s) selected during the print request. Try selecting individual forms to preview instead of All Included when you are in the beginning stages of preparation.

To Print-Preview from the Grants.gov screen:

Selecting All Included will supply checks in the boxes in the Select to Print column for the Mandatory and marked to include forms.

Alternatively, click in the white box in the Select to Print column for the individual form or forms to preview.

Then select Print Selected Forms. A new browser window will open to display the PDF file. Use your browser functions to Print or Save the file to your local computer, as desired.
To Print-Preview from the Print screen:

Select Print from the left Navigation bar to open the print options screen

- **Sponsor Form Packages** are for paper submittals
  - Select Show or Hide to expand the available forms
  - Select All to check all the forms available in the displayed group;
  - Select None to deselect; or select individual forms.

- Grants.gov is for the Grants.gov forms for Coeus System-to-System (s2s) submissions.
  - Select Show or Hide to expand the available forms
  - Select All to check all the forms available in the displayed group; None to deselect; or select individual forms.
  - Select Print Selected to print. A new browser window will open to display your PDF document. Use your browser functions to Print or Save the file to your local computer, as desired.

### Sponsor Form Packages

**Local print forms**
- Generic Printing Forms (Coeus 4.0)
- NIH PHS398 package
- NIH PHS2590 package

**Grants.gov**
- Select: All | None
  - PHS398 Checklist V1-1
  - PHS398 Cover Letter V1-1
  - PHS398 Cover Page Supplement V1-1
  - PHS398 Research Plan V1-1
  - RR Budget V1-1
  - RR Key Person Expanded V1-1
  - RR Other Projects V1-1
  - RR Performance Site V1-1
  - RR SF 424 V1-1
  - RR SubAward Budget V1.2

Print Selected
Submit for Approval Routing

Select Submit for Approval from the Navigation bar when the proposal is complete (i.e., the budget and all narratives have been completed, and the validations have been successfully run) to begin routing for internal approval. The proposal must be complete for this routing process to start. If it is not, Coeus will alert you to the non-compliant sections (i.e. Yes/No Questions unanswered, budget not marked final, etc.)

Before you try to submit:
- Finalize your proposal:
  - Mark your budget as Final and Complete on the Budget Summary screen
  - Navigate to the Grants.gov screen and select Validate;
  - Certify all the Investigators

Monitor the Proposal Routing process:

Navigate to Show Approval Routing (available after submitted for approval)

Locate the submitted Coeus proposal in My Proposals
Select Approval Routing

The routing path for the proposal is shown, with the approval status displayed in both icon and text.

Select Show to expand the approval box
Select Hide to minimize the approval box
Select Hierarchy to see the Approval Map Hierarchy view.
Select Hide Legend to hide the panel of legend icons.
Sponsor Specific Information:

1. Typical K-series Required Components:

NIH (K01) Mentored Research Scientist Development Award (PA-09-040 used for instructions)
- SF424 (R&R) (Cover component)
- Research & Related Project/Performance Site Locations
- Research & Related Other Project Information
- Research & Related Senior/Key Person
- SF424 (R&R) Detailed Budget
- PHS398 Cover Letter
- PHS398 Cover Page Supplement
- PHS398 Career Development Award Supplemental Form
- PHS398 Checklist

2. Please carefully review the specific sponsor opportunity instructions for the requirements for that opportunity, keeping in mind the following when review the instructions:
- Page limitations vary significantly – please verify the restrictions for each narrative upload!
- Content for each uploaded attachment varies – review the instructions for required elements or formats.
- Budget restrictions or specific requirements may apply.
- Certain narrative uploads are only required for Renewals. Read the instructions and follow the requirements.
- Do not prepare and upload forms designed for paper submissions, unless the instructions specifically request them.

For complete NIH submission instructions, click on the following link:
http://grants1.nih.gov/grants/forms.htm

Have a question about NIH grant policies and procedures?
http://grants1.nih.gov/grants/funding/haveques.htm

3. Electronic Letters of Reference for K-series Mentored Career applications

Electronic submission of reference letters is a separate process from submitting an application electronically. Reference letters are submitted directly through the eRA Commons and do not use Grants.gov. Therefore, candidates must follow the Supplemental Instructions in the SF424 R&R Application Guide for Research Career Awards (Instructions, Part 7.3) (see http://grants.nih.gov/grants/funding/424/index.htm).

Letters of reference are an important component of the application for the mentored career award. Candidates for this career award must arrange to have at least three (but no more than five) letters of reference submitted on their behalf to the NIH eRA Commons Web site at https://commons.era.nih.gov/commons/reference/submitRefereelInformation.jsp. The letters should be from well-established scientists (referees) addressing the qualities of the candidate as well as their potential for becoming an independent investigator. These letters should be from individuals not directly involved in the application, but who are familiar with the candidate’s qualifications, training, and interests, including advisory committee members (if applicable).

The mentor/co-mentor(s) may also submit letters of reference, but these letters will be considered independently of the three required reference letters. Resubmission applications must include new letters of reference.

Applications that are missing the required letters of reference may be delayed in the review process or not accepted.
4. Definition of an NIH New Investigator

In general, a Program Director/Principal Investigator (PD/PI) is considered a New Investigator if he/she has not previously competed successfully as PD/PI for a significant NIH independent research award.

**Note regarding grants with Multiple PD/PIs:** In the case of a grant application that involves more than one PI, all PD/PIs must meet the definition of New Investigator to check “Yes” in the “New Investigator” box.

<table>
<thead>
<tr>
<th>Specifically, a PD/PI is identified as a New Investigator if he/she has not previously competed successfully for an NIH-supported research project other than the following small or early stage research awards:</th>
<th>Additionally, the PD/PI is not excluded from consideration as a “New Investigator” if he/she has received an award from any of the following classes of awards:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pathway to Independence Award-Research Phase (R00)</td>
<td>Training-Related and Mentored Career Awards</td>
</tr>
<tr>
<td>Small Grant (R03)</td>
<td>All Fellowships (F awards)</td>
</tr>
<tr>
<td>Academic Research Enhancement Award (R15)</td>
<td>All career awards (K awards)</td>
</tr>
<tr>
<td>Exploratory/Developmental Grant (R21)</td>
<td>Loan repayment contracts (L30, L32, L40, L50, L60)</td>
</tr>
<tr>
<td>Clinical Trial Planning Grant (R34)</td>
<td>Instrumentation, Construction, Education, Health Disparity Endowment Grants, or Meeting Awards G07, G08, G11, G13, G20, S10, S15, S21, S22</td>
</tr>
<tr>
<td>Dissertation Award (R36)</td>
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<tr>
<td>Small Business Technology Transfer Grant-Phase I (R41)</td>
<td></td>
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<tr>
<td>Small Business Innovation Research Grant-Phase I (R43)</td>
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<tr>
<td>Shannon Award (R55)</td>
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<tr>
<td>NIH High Priority, Short-Term Project Award (R56)</td>
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<tr>
<td>Competitive Research Pilot Projects (SC2, SC3)</td>
<td></td>
</tr>
</tbody>
</table>
5. General NIH Document Formatting Rules:

Format Specifications for Text (PDF) Attachments

NIH and other PHS agencies require all text attachments be submitted in PDF format with no encryption and no security settings (no password protection) in place. Failure to follow these requirements will lead to errors during agency validation and/or delays in the review process. Text attachments should be generated using word processing software and then converted to PDF using PDF generating software. Avoid scanning text attachments (for use as narratives) to convert to PDF since that causes problems for the agency handling the application. Additional tips for creating PDF files can be found at http://era.nih.gov/ElectronicReceipt/pdf_guidelines.htm.

Separate Attachments

NIH designed the Research Plan narratives to be uploaded as separate attachments, with other sections uploaded to different submission forms to maximize automatic validations conducted by the NIH eRA system. When the application is received by the agency, all of the Research Plan sections will be concatenated in the appropriate order so that reviewers and agency staff will see a single cohesive Research Plan.

While each section of the Research Plan needs to eventually 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 and 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.

Font

- Use 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 11 pt or larger 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.
- NIH utilizes OCR technology. Use of non-conforming type interferes with character recognition, and could keep your proposal from reaching the review panel.

Page Margins

- Use at least one-half inch (0.5) margins (top, bottom, left, and right) for all pages.
- Do not include any information in a header or footer of the attachments. A header will be system-generated that references the name of the PD/PI. Page numbers for the footer will be system-generated in the complete application, with all pages sequentially numbered. Use standard paper size (8 ½” x 11).

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

- Do not include figures or photographs as separate attachments either in the Appendix or elsewhere in the application. Full-sized glossy photographs of material such as electron micrographs or gels must only be included within the page limitations of the Research Plan.

- The maximum size of images to be included should be approximately 1200 x 1500 pixels using 256 colors.

- Figures must be readable as printed on an 8.5 x 11 inch page at normal (100%) scale.

- Investigators must use image compression such as JPEG or PMG.

- 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.

Page Formatting

Avoid using a two-column format since it can cause difficulties when reviewing the document electronically. Since a number of reviewers will be reviewing applications as an electronic document and not a paper version, applicants are strongly encouraged to use only a standard, single-column format for the text.