Responsibility Matrix*
Internal Grant Number

Components	Additional Info (need to add/modify)	Page Limit	Assigned
SF424 R&R Face Page (G.200)	ONLINE	2	Staff name
PHS 398 Cover Page Supplement Form (G.210)	ONLINE: This form collects information on human subjects, vertebrate animals, program income, human embryonic stem cells, inventions and patents, and change of investigator/change of institution. (FORMS-D: Disclosure Permission Statement question removed; question added to 2. Vertebrate Animals Section [Are vertebrate animals euthanized?]; 3. Program Income Section expanded to accommodate up to 10 budget periods.)		Staff name
R&R Other Project Information Form (G.220)			
Items 1-6	ONLINE 1. Human subjects 2. Vertebrate animals 3. Proprietary information 4. Impact on environment 5. Performance site designated as historic place 6. Activities/outside U.S./international collaborators		Staff name
Project Summary/ Abstract (Item 7) *File:* ProjectSummary.pdf	UPLOAD: Serves as succinct summary of proposed work when separated from application. State application's broad, long-term objectives and specific aims, making reference to health relatedness of project (i.e., relevance to mission of agency). Concisely describe research design and methods for achieving stated goals. Avoid describing past accomplishments and use of first person. Do not include proprietary, confidential information or trade secrets. No longer than **30 lines of text,** using required font/margin specifications.		Staff name
Project Narrative (Item 8) *File:* ProjectNarrative.pdf	UPLOAD: **"Relevance Statement":** no more than **two to three sentences,** describe the relevance of this project to **public health**. Be succinct and use plain language that can be understood by general, lay audience.		Staff name
Bibliography & References Cited (Item 9) *File:* Bibliography.pdf	UPLOAD (formerly "Literature Cited") Provide bibliography of any references cited in Research Plan. Each reference must include names of all authors, article and journal title, book title, volume number, page numbers, and year. When citing articles that fall under the Public Access Policy, were authored or coauthored by the applicant, and arose from NIH support, provide the NIH Manuscript Submission reference number (e.g., NIHMS97531) or the Pubmed Central (PMC) reference number (e.g., PMCID234567) for each article. If the PMCID is not yet available because the Journal submits articles directly to PMC on behalf of their authors, indicate "PMC Journal—In Process." A list of these journals is posted at: http://publicaccess.nih.gov/submit_process_journals.htm. For free, publicly available citations, URLs or PubMed ID (PMID) numbers may accompany the full reference. Note that		Staff name

* Please note that URLs were correct when the sample was developed, but requirements and locations may have changed since.

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	copies of these publications are no longer accepted as appendix material. 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.		
Facilities & Other Resources (Item 10) *File:* Facilities.pdf	UPLOAD: Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical, and Other). If appropriate, indicate their capacity, pertinent capabilities, relative proximity, and availability to project. Describe only those resources that are directly applicable to project. **Required: Describe how the scientific environment in which the research will be done contributes to the probability of success; discuss ways in which the proposed studies will benefit from unique features of the scientific environment or populations or will employ useful collaborative arrangements; for early stage investigators, describe institutional investment in the success of the investigator (e.g., resources for classes, travel, training; collegial support, such as career enrichment programs; logistical support, such as administrative management/oversight and best practices training; financial support, such as protected time for research with salary support).** **If multiple performance sites, describe the resources available at each site.** **Boilerplate provided in Facilities template; customize** to address new review criteria noted above. Note: San Francisco boilerplate is available in Facilities--San Francisco. If multiple performance sites, describe resources available at each site.		Staff name
Equipment (Item 11) *File:* Equipment.pdf	UPLOAD: List major items of equipment already available for this project and, if appropriate, identify location and pertinent capabilities.		Staff name
Other Attachments (Item 12) *File:* OtherAttachments.pdf	UPLOAD: Attach a file to provide any other project-specific information not provided above or in accordance with the announcement and/or agency-specific instruction.		Staff name
Project/Performance Site Location(s) Form (G.230)	ONLINE: Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other location(s), identify it in the section provided. If more than 300 locations are proposed, provide the information in a separate file and then attach. Provide an explanation of resources available for each Project/ Performance site in Item 10 ("Facilities & Other Resources"), and describe any consortium/contractual arrangements in Item 12 of the Research Plan ("Consortium/Contractual Arrangements"). **Congressional Districts:** http://congressional-district.insidegov.com/ **Congressional District Maps:** http://www.nationalatlas.gov/printable/congress.html **9-digit zip codes are required for ALL address locations:** http://zip4.usps.com/zip4/welcome.jsp	1	Staff name
Senior/Key Person Profile (Expanded) Form (G.240)	PI information populates from SF424 cover form. If more than 99 Senior/Key profiles are proposed, enter the information in a separate file and attach it on Additional Senior/Key Person Profile(s) page (after adding 20, save application, close Adobe		

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	reader, and reopen). ▪ **9-digit zip codes are required for ALL address locations:** http://zip4.usps.com/zip4/welcome.jsp		
Profile	ONLINE: Starting with PI, provide profile for each Senior/Key Person proposed (alphabetical order preferred, but not required; will appear to reviewers in order provided). Unless otherwise specified in FOA, "key" personnel contribute in a substantive, measurable way to the scientific development or execution of the project. Include consultants if they meet definitions. Enter key personnel first, followed by "Other Significant Contributors" (i.e., staff who have committed to contribute to scientific development or execution of project but are not committing any specified measurable effort to project [usually presented as zero person months or "as needed"]). **Notes:** ▪ **You must enter PI eRA Commons User ID in Profile-PI, Credential field. *(Please make sure it is updated. If the PI has recently come from another institution, please make sure the User ID has been updated with current institutional information. Only enter the PI's eRA Commons User ID or you'll receive an error message.)*** ▪ **When submitting an application involving Multiple PD/PIs, the Contact PI must be affiliated in eRA Commons with the applicant organization and should be listed as the PD/PI in the SF424 R&R Cover Component.** ▪ **You must enter Organization Name for each Senior/Key Person.** ▪ **Project Roles:** – **Do NOT use Co-PI. For multiple PIs, Contact PI is designated on SF424 cover and other PIs should be listed as "PI" on Senior/Key Person form. Each PI must include eRA Commons ID in Credential field.** – **Select "Other" if role is not listed in drop-down menu, and complete "Other Project Role Category" (note: Co-Investigator is now listed in the drop-down menu).** – **Enter "Other," then "Other Significant Contributor" only if person has no measurable specified time on project or is listed "as needed."** Project roles listed in the budget component should be consistent with those used in the Senior/Key Person component. ▪ Provide degree type and degree year.		Staff name
Biographical Sketch: Principal Investigator *File:* Biosketch_[last name].pdf	UPLOAD: ▪ Follow instructions in Biosketch template (revised). ▪ May not exceed 5 pages. ▪ Include eRA Commons ID. ▪ Following the educational block, complete Sections A–D as follows: A. Personal Statement: Briefly describe why your experience and qualifications make you particularly well-suited for your role in the proposed project. You may cite up to four publications or research products that highlight your experience and qualifications for this project (e.g., audio or video products; conference proceedings; patents; data and research materials; databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware); B. Positions and Honors; C. Contributions to Science: Briefly describe	5	Staff name

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	up to five of your most significant contributions to science. Descriptions may include a mention of research products under development, such as manuscripts that have not yet been accepted for publication. Each contribution should be no longer than one half page, including citations. These contributions do not have to be related to this project. For each contribution, (a) indicate the historical background that frames the scientific problem; the central finding(s); the influence of the finding(s) on the progress of science or the application of those finding(s) to health or technology; and your specific role in the described work and (b) cite up to four papers accepted for publication or research products that are relevant to the contribution (e.g., audio or video products; conference proceedings such as meeting abstracts, posters or other presentations; patents; data and research materials; databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware). These citations do not have to be authored by you. *You may provide a URL to a full list of your published work*. This URL must be to a Federal Government website (a .gov suffix). NIH recommends using My Bibliography. *Providing a URL to a list of published work is not required*, and reviewers are not required to look at the list; D. Research Support and/or Scholastic Performance (for predoctoral/ postdoctoral applicants [see detailed instructions in G.240]) (*do not confuse Research Support with Other Support [which is submitted pre-award and includes person months and direct costs])*. ▪ See instructions under Bibliography & References Cited for citing articles that fall under the Public Access Policy, were authored or coauthored by the applicant, and arose from NIH support. ▪ For free, publicly available citations, URLs or PMID numbers may accompany the full reference. Note that copies of these publications are no longer accepted as appendix material. ▪ Do not include manuscripts submitted but not accepted for publication or in preparation.		
Other Biographical Sketches *File:* Biosketch_[last name].pdf	UPLOAD: ▪ Include biosketches for all Senior/Key personnel and Other Significant Contributors listed on the Profile page (see definitions above), including consultants. ▪ Alphabetical order preferred but not required (reviewers will see them in order uploaded). ▪ Same instructions as for PI biosketch. ▪ Upload each biosketch as individual pdf.	5	Staff name
Current & Pending Support	**Unless otherwise required in a specific FOA, do not use this attachment for NIH and other agency PHS submissions. May be requested in pre-award cycle**. (Do not confuse Current and Pending Support, which is NOT required at time of submission, with "Research Support" [Section D of Biosketch].) Only required after award, NOT at initial submission.		N/A at time of submission
Non-Modular Budget	For **Modular Budget**, delete these four green shaded rows and go to Modular Budget row below.		Staff name
R&R Budget Form (G.300)	ONLINE, **for Non-Modular Budget only**		Staff name

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(A-K)	▪ Must complete a separate detailed budget for each year of support requested. ▪ We now budget in person months, not % effort.		
Cumulative Budget	▪ For **Non-Modular Budget only** ▪ Calculated automatically.		Staff name
R&R Subaward Budget Attachment(s) Form (G.310)	▪ For **Non-Modular Budget only** ▪ Include for each participating consortium grantee organization. ▪ Save "R&R Subaward Budget Attachment Form" using first 10 letters of consortium organization's name and .pdf as file extension. ▪ E-mail subawardee the form and **INSTRUCT them to complete the form using a compatible version of Adobe Acrobat** or **Adobe Reader.** Include the following link so they can check for compatible versions: http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html. Include a LINK to the free download in the e-mail: http://get.adobe.com/reader/otherversions/ – Warn the sub **NOT to use any version of Adobe package** not supported by Grants.gov at this time. ▪ Subawardee completes attachment, saves as PDF ▪ **Upon receipt,** VALIDATE the PDF by resaving it, using the current, up-to-date version of Adobe Acrobat (v. 8.1.3). ▪ Once the Subaward Budget PDF has been validated, it should be reviewed and uploaded to the **R&R Subaward Budget Attachment(s) Form** page of the application package. ▪ Note: Do not submit the R&R Subaward Budget Attachment(s) Form for Subcontractors that are not submitting a Senior/Key Person. An error will occur if a Subaward Budget is attached with 0.0 calendar months listed as the first person. Instead, they should be listed as a line item service provider.		Staff name
PHS 398 Training Budget Form (G.330)	▪ The PHS 398 Training Budget Form is used only for Training applications (e.g., T15, T32, T34, T35, T36, T90), and Multi-Project applications with a training component. ▪ For current stipend levels and allowable costs, refer to the relevant FOA or consult the PHS awarding component.		

PHS 398 Components

PHS398 Research Plan Form (G.400)	UPLOAD: ▪ Research Plan Attachments (items 1-16 attached separately)		Staff name
1. Introduction (G.400) *File:* 1_Introduction.pdf	UPLOAD: ▪ **Limited to 1 page unless otherwise specified in FOA.** ▪ Required for Resubmissions and Revisions.	1	Staff name
2. Specific Aims (G.400) *File:* 2_SpecificAims.pdf	UPLOAD: ▪ List the broad, long-term objectives and the goal of the specific research proposed.	1	
3. Research Strategy (G.400) *File*: 3_ResearchStrategy.pdf	UPLOAD ▪ Organize the Research Strategy in the specified order and using the instructions provided below. Start each section with the appropriate section heading: Significance,	**12**	

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	Innovation, and Approach. Cite published experimental details in the Research Strategy section and provide the full reference in the Bibliography and References Cited section. ▪ Follow the page limits for the Research Strategy in the table of page limits, unless otherwise specified in the FOA. Note that the page limit for this attachment will be validated as a single file. (a) Significance ▪ Explain the importance of the problem or critical barrier to progress in the field that the proposed project addresses. ▪ Explain how the proposed project will improve scientific knowledge, technical capability, and/or clinical practice in one or more broad fields. ▪ Describe how the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field will be changed if the proposed aims are achieved. (b) Innovation ▪ Explain how the application challenges and seeks to shift current research or clinical practice paradigms. ▪ Describe any novel theoretical concepts, approaches or methodologies, instrumentation or interventions to be developed or used, and any advantage over existing methodologies, instrumentation, or interventions. ▪ Explain any refinements, improvements, or new applications of theoretical concepts, approaches or methodologies, instrumentation, or interventions. (c) Approach ▪ Describe the overall strategy, methodology, and analyses to be used to accomplish the specific aims of the project. Describe the experimental design and methods proposed and how they will achieve robust and unbiased results. Unless addressed separately in Item 15 (Resource Sharing Plan), include how the data will be collected, analyzed, and interpreted as well as any resource sharing plans as appropriate. ▪ Discuss potential problems, alternative strategies, and benchmarks for success anticipated to achieve the aims. ▪ If the project is in the early stages of development, describe any strategy to establish feasibility, and address the management of any high risk aspects of the proposed work. ▪ Explain how relevant biological variables, such as sex, are factored into research designs and analyses for studies in vertebrate animals and humans. For example, strong justification from the scientific literature, preliminary data, or other relevant considerations, must be provided for applications proposing to study only one sex. ▪ If your study(s) involves human subjects, the sections on the Inclusion of Women and Minorities and Inclusion of Children can be used to expand your discussion on inclusion and justify the proposed proportions of individuals (such as males and females) in the sample, but it must also be addressed here in the Approach section. ▪ Please refer to NOT-OD-15-102 for further consideration of NIH expectations about sex as a biological variable. ▪ Point out any procedures, situations, or materials that may		

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	be hazardous to personnel and precautions to be exercised. A full discussion on the use of select agents should appear in Item 5, below. ▪ If research on Human Embryonic Stem Cells (hESCs) is proposed but an approved cell line from the NIH hESC Registry cannot be identified, provide a strong justification for why an appropriate cell line cannot be chosen from the Registry at this time. If an applicant has multiple Specific Aims, then the applicant may address Significance, Innovation, and Approach for each Specific Aim individually or may address Significance, Innovation, and Approach for all of the Specific Aims collectively. As applicable, also include the following information as part of the Research Strategy, keeping within the three sections listed above: Significance, Innovation, and Approach. ▪ Preliminary Studies for New Applications: For new applications, include information on Preliminary Studies. Discuss the PD/PI's preliminary studies, data, and or experience pertinent to this application. Early Stage Investigators should include preliminary data.		
4. Progress Report Publication List (G.400) *File:* 4_ProgressReport.pdf	▪ For renewal applications only; see instructions.		N/A for initial submission
Human Subjects Research	▪ Complete if you answered "Yes" to "Are human subjects involved" on "Other Project Information" (see above). ▪ Follow instructions in Application Guide and FOA. ▪ See Note 2.		Staff name
5. Protection of Human Subjects (G.400) *File:* 5_ProtectionHuman Subjects.pdf	UPLOAD: ▪ Refer to Supplemental Instructions, Part II Section 4.1. ▪ Make sure Item 1/1a on Face Page is consistent with text! ▪ If you checked no, include the following statement in this section: "No human subjects research is proposed in this application." ▪ Do not use the protection of human subjects section to circumvent the page limits of the Research Strategy.		
6. Data Safety Monitoring Plan (G.400) *File*: 6_DataSafetyMonitoring Plan.pdf	▪ Refer to Supplemental Instructions, Part II Section 4.1.5. ▪ Complete this section if you answered "yes" to Item 1, Clinical Trial of Section G.210 - PHS 398 Cover Page Supplemental Form.		
7. Inclusion of Women and Minorities (G.400) *File:* 7_InclusionWomen Minorities.pdf	UPLOAD: ▪ To determine if this section applies, follow instructions in Part II, Supplemental Instructions for Preparing the Human Subjects Section.		
8. Inclusion of Children (G.400) *File:* 8_InclusionChildren.pdf	UPLOAD: ▪ To determine if this section applies, follow instructions in Part II, Supplemental Instructions for Preparing the Human Subjects Section (Sections 4.4 and 5.7). ▪ Note: Children = ≤18 years.		
Other Sections			

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9. Vertebrate Animals (G.400) *File:* 9_VertebrateAnimals.pdf	▪ Usually N/A. ▪ Required for applicants answering "yes" to the question "Are vertebrate animals used?" on the R&R Other Project Information form.		
10. Select Agent Research (G.400) *File:* 10_SelectAgentResearch.pdf	▪ Select agents are hazardous biological agents and toxins that have been identified by HHS or USDA as having the potential to pose a severe threat to public health and safety, to animal and plant health, or to animal and plant products. See http://www.selectagents.gov/. for list. ▪ Usually N/A. ▪ If applicable, see G.400 for instructions (and describe special facilities used for working with special agents in Facilities & Other Resources).		
11. Multiple PD/PI Leadership Plan (G.400) *File:* 11_MultiplePDPILeadership Plan.pdf	▪ Required only for applications proposing multiple PDs/PIs. ▪ For applications designating multiple PD/PIs, all such individuals must be assigned the PD/PI role on the Senior/Key Profile form, even those at organizations other than the applicant organization. ▪ Describe rationale for choosing multiple PD/PI approach; describe governance and organizational structure, including communication plans and procedures for resolving conflicts. ▪ Delineate shared administrative, technical, and scientific responsibilities for the PDs/PIs. ▪ **Do NOT submit a leadership plan if you are not submitting a Multiple PD/PI application (uploading an N/A page will result in an error message, so leave field empty).**		Staff name
12. Consortium/ Contractual Arrangements (G.400) *File:* 12_ConsortiumContractual Arrangements.pdf	▪ Explain programmatic, fiscal, and administrative arrangements to be made between applicant organization and the consortium. ▪ 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.		
13. Letters of Support (G.400) *File:* 13_LettersSupport.pdf	UPLOAD: ▪ One pdf file with text referring to letters, followed by letters from all individuals, confirming their roles in the project and **rate/charge for consulting services**. ▪ Include letters necessary to demonstrate the support of consortium participants and collaborators such as Senior/Key Personnel and Other Significant Contributors included in the grant application. Letters are not required for personnel (such as research assistants) not contributing in a substantive, measurable way to scientific development or execution of the project. ▪ **Letters should stipulate expectations for co-authorship, and whether cell lines, samples or other resources promised in the letter are freely available to other investigators in the scientific community or will be provided to the particular investigators only.** ▪ **For consultants, letters should include rate/charge for consulting services and level of effort/number of hours per year anticipated. In addition, letters ensuring access to core facilities and resources should stipulate whether access will be provided as a fee-for-service.**		Staff name

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14. Resource Sharing Plan(s) (G.400) *File:* 14_ResourceSharingPlan.pdf	**Read FOA instructions carefully for requirements.** ▪ **Data Sharing Plan.** Investigators seeking $500,000 or more in direct costs (exclusive of consortium F&A) in any year **(or as required by specific FOA, regardless of $ amount)** must include a brief one-paragraph description of how final research data will be shared or explain why data sharing is not possible. ▪ **Sharing Model Organisms**. See FOA instructions if applicable. ▪ **Genome Wide Association Studies:** See Policy for Sharing of Data Obtained in NIH Supported or Conducted Genome-Wide Association Studies if applicable: NIH Guide NOT-OD-07-088, and http://grants.nih.gov/grants/gwas/.		Staff name
15. Authentication of Key Biological and/or Chemical Resources (G.400) *File*: 15_AuthenticationKey BiologicalChemicalResources .pdf	▪ If applicable to the proposed science, briefly describe methods to ensure the identity and validity of key biological and/or chemical resources used in the proposed studies. No more than one page is suggested. ▪ Key biological and/or chemical resources may or may not be generated with NIH funds and: 1) may differ from laboratory to laboratory or over time; 2) may have qualities and/or qualifications that could influence the research data; and 3) are integral to the proposed research. These include, but are not limited to, cell lines, specialty chemicals, antibodies, and other biologics. ▪ Standard laboratory reagents that are not expected to vary do not need to be included in the plan. Examples are buffers and other common biologicals or chemicals.	1	Staff name
16. Appendix (G.400) *File:* Name consistent with callout in text (e.g., 16_AppendixA.pdf). If appendix file is over 2MB, then split. Use appendix divider page to list file contents.	A maximum of 10 PDF attachments is allowed in the Appendix. If more than 10 appendix attachments are needed, combine the remaining information into attachment #10. Note that this is the total number of appendix items, not the total number of publications. When allowed, there is a limit of 3 publications that are not publicly available (see below for further details and **check the FOA for any specific instructions**), although not all grant mechanisms allow publications to be included in the appendix. New, resubmission, renewal, and revision applications **may** include the following: ▪ **Publications: No longer allowed as appendix materials except in the circumstances noted below.** Applicants may submit up to 3 of the following types of publications as pdf attachments: – **Manuscripts and/or abstracts accepted for publication but not yet published** – **Manuscripts and/or abstracts published, but a free, online, publicly available journal link is not available** (do not include unpublished theses or abstracts/manuscripts **submitted** but not yet accepted for publication) – **Patents directly relevant to the project** ▪ Surveys, questionnaires, and other data collection instruments; clinical protocols and informed consent documents may be submitted as necessary. ▪ Avoid scanning text documents to produce PDFs (hampers automated processing). ▪ For materials that cannot be submitted electronically or		Staff name

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	materials that cannot be converted to PDF (e.g., medical devices, prototypes, DVDs, CDs), contact the Scientific Review Officer for instructions following notification of assignment of application to a study section. Items that must **NOT** be included in the appendix: ▪ Photographs or color images of gels, micrographs, etc., **are no longer accepted as Appendix material**. These images must be included in the Research Strategy PDF. However, images embedded in publications are allowed. ▪ Publications that are publicly accessible. Instead, include URL or PMCID along with the full reference as appropriate in the Bibliography & References Cited section and/or the Biographical Sketch section. ▪ **See specific FOA for exceptions.** ▪ Do NOT use the appendix to circumvent the page limitations of the research plan. For additional information regarding Appendix material and page limits, please refer to the NIH Guide Notice NOT-OD-11-080, http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-080.html		
PHS Inclusion Enrollment Report (G.500) **Online form**	▪ Combines Planned Enrollment Report and Cumulative Inclusion Enrollment Report forms into a single form. ▪ Used for all applications involving NIH-defined clinical research to report planned and cumulative (or actual) enrollment and describe the sex/gender, race, and ethnicity of the study participants. ▪ NOTE: This report format should NOT be used for collecting data from study participants. To ensure proper performance of the form, please save frequently. ▪ See Supplemental Instructions, Part II, Section 4.3 for additional guidance on how and when to use the PHS Inclusion Enrollment Report.		Staff name
PHS Assignment Request Form (G.600)	▪ Provides structured information to NIH referral staff regarding funding component assignment preference, study section preference, individuals who should not review your application due to conflicts, and scientific areas of expertise needed to review your application l ▪ Complements existing “Cover Letter Attachment” on SF424 (R&R) form.		Staff name

Follow font and format specifications (http://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm#font).