



# Principal Investigator Submission of SF424 Application To Swedish Research Center

## Department Policy/Procedure

<b>Campus:</b> All	<b>Approved:</b> February 12, 2007
<b>Department:</b> All	<b>Next Review:</b> February 2009

### Purpose

To outline the process for submission of grant applications for review and approval by Swedish Research Center

### Population Covered

All Principal Investigators associated with Swedish Health Services intending to submit research proposals to NIH or other federal agencies.

### Responsible Persons

Principal Investigator

### Definitions

- PI: Principal Investigator
- SRC: Swedish Research Center
- NIH: National Institutes of Health
- AOR: Authorized Organizational Representative
- GCA: Grants and Contracts Analyst

### Supplemental Information

N/A

## Content

This policy outlines the planning that is required in order to be sure that a grant application is reviewed by Swedish Research Center (SRC) and submitted to Grants.gov in a timely manner. The number of steps involved in this process requires the grant be submitted to SRC at least 15 business days prior to the grant due date. Only SRC staff who have been granted authority will submit approved Grants.gov application packages to the sponsor via Grants.gov.

## Steps

1. **Format:** Submit Grants.gov application packages directly to your SRC Grants and Contracts Analyst (GCA) via email attachment. Emails should state Funding Opportunity Number, due date to sponsor, and if application is in draft or final form. Within the name of the attached document also include “Draft” or “Final” so there is no confusion as to what has been forwarded and when.
2. **Maintain a copy:** The GCA will place the Draft and Final versions of the application package, as well as the completed Checklist onto the departmental t: drive/RSCH/Limited/GCS Files/SF424 Applications for authorized research staff access.

Utilizing the “15/12 rule:”

3. **Draft Version of SF 424 Application: due SRC 15 business days prior to application due date** – the science may be in draft form. All other application components must be ready to be considered as “final.”
  - a. During the first five days the GCA will review the budget and all other non scientific components of the application to ensure allocability and allowability in terms of sponsor guidelines and requirements.
4. **Final Version of SF 424 Application: due SRC 12 business days prior to application due date** – final science to be sent to GCA. SRC guarantees to submit your application package through Grants.gov no later than two business days from when the final version is received. Applicants need to be aware of the National Institutes of Health (NIH) validation process. The 12 business day rule for the final version exists in order to allow time for the following:
  - o 2 days for SRC to review application and submit the final to Grants.gov
  - o 3 days for Grants.gov and NIH to perform error checks.
  - o 2 days for PI and Institution to respond to any errors and resubmit, if required, to the GCA for re-upload of corrected application to Grants.gov.
  - o 2 days for PI and Institution to validate application in eRA Commons enabling application to be forwarded to appropriate NIH Institute for review.
5. **Validation Delay: 2 business days prior to application due date** – applicants should allow up to two business days for NIH to validate Grants.gov application packages so that any necessary changes can be made and resubmitted prior to the submission deadline. Application packages submitted too close to the deadline will be late if they fail to pass the validation tests and thus require correction and resubmission. Please note that the Grants.gov and NIH validation processes, by themselves, will consume up to three business days and that the grant is not considered to have arrived at the due date until after the steps have been completed.
6. PI and AOR must verify grant application in eRA Commons within 48 hours after the application arrives in Commons. The validation process for the PI and AOR is to open the application in eRA Commons and ensure all components are intact and ready for forwarding to the appropriate Institute within NIH. Once this is performed validation is complete. If the validation is not performed within 48 hours of eRA Commons receipt, the application may be forwarded as it stands if there are no errors present. This is not preferable to PI and AOR validation as it doesn't allow for a final check and approval by the PI and Institution.

**Expert Consultant**

N/A

**Author**

David Story, Grants and Contracts Analyst  
Jennifer Hansberry, Director of Research

**Regulatory Requirement**

Grants.gov  
NIH

**References**

<http://era.nih.gov/ElectronicReceipt/Index.htm>  
<https://commonsdemo.era.nih.gov/commons-demo/status/piSearchResult.jsp>

**Manual**

SRC Internal Policy and Procedure Manual

**Additional Computer Search Words/Terms**

N/A

**Addendum (Addenda, if plural)**

SF424 Application Checklist  
SF424 Application Checklist Reference Sheet

## SF424 APPLICATION CHECKLIST

Date: \_\_\_\_\_

GCA: \_\_\_\_\_

SRC#: \_\_\_\_\_

Due Date: \_\_\_\_\_

### **SF424 APPLICATION RECEIPT**

Date received:

\_\_\_\_\_ “Draft” SF424 Application is emailed to the GCA within 15 business days of the application due date

\_\_\_\_\_ “Final” science is emailed to the GCA within 12 days of the application due date

### **SF424 APPLICATION REVIEW** (see Check List Reference Sheet for the specific items to check)

Check:

\_\_\_\_\_ PI has found the specific Funding Opportunity Announcement number and downloaded the corresponding SF424 application

\_\_\_\_\_ SF424 Application is properly formatted

\_\_\_\_\_ All SF424 Application components are properly completed

\_\_\_\_\_ Certification of Principle Investigator Form is received by the GCA and is complete/signed

### **SF424 APPLICATION FORWARD TO GRANTS.GOV**

Date:

\_\_\_\_\_ “Final” SF424 Application is submitted by the GCA to Grants.gov within two business days (note: date of submittal)

\_\_\_\_\_ Email notification is received from Grants.gov (note: date of receipt by SRC)

\_\_\_\_\_ SF424 Application errors are reviewed and corrected by the PI and the GCA and the corrected application is submitted by the GCA to Grants.gov within two business days (note: date of submittal)

\_\_\_\_\_ Email notification is received from eRA Commons (note: date of receipt by SRC), application status can also be checked in eRA Commons

\_\_\_\_\_ If errors are reported by eRA Commons, the PI and the GCA correct the errors and the corrected application is submitted by the GGA to Grants.gov asap, allowing for 2-3 days for processing (note: date of submittal)

\_\_\_\_\_ SF424 Application is validated in eRA Commons by the PI and the GCA (on behalf of AOR) within 48 hours of the notification of receipt by eRA Commons; if no errors are present (note: date application is validated)

# SF424 APPLICATION CHECKLIST REFERENCE SHEET

## **SF424 APPLICATION RECEIPT**

“Draft” SF424 Application is emailed to the GCA (includes all the components in their final form except for the science which may be in draft form) within 15 business days of the application due date.

“Final” science is emailed to the GCA within 12 days of the application due date.

## **SF424 APPLICATION REVIEW**

**PI has found the specific Funding Opportunity Announcement number and downloaded the corresponding SF424 application:**

If not:

- From the Grants.gov home page, at “For Applicants” select “Find Grant Opportunities.” Next select “Search Grant Opportunities.” See the Funding Number column in the search results table which is presented online after you define your search. See the “PI Search for Funding Opportunity Announcement” policy for expanded information.

Once specific Funding Opportunity Number is found:

- From the [Grants.gov](http://Grants.gov) home page, at “For Applicants” select “Apply for Grants.”
- Select at Step 1 “Download a Grant Application Package and Instructions.” Next enter the number in the Funding Opportunity Number field and click “Download Package.” This takes you to a “Selected Grant Applications for Download” screen. If you searched only on a specific opportunity number, only one announcement is provided in the chart. Click the corresponding “download” link to access the actual application form pages and instruction material.
- To access the instructions, click “Download Application Instructions.”
- To access the form pages, \*click “Download Application Package.” The “.xfd” file will download and open for viewing in the Pure Edge Viewer (this may take a few minutes). Next click “Save” to store the “.xfd” file to your local network drive.

**SF424 Application is properly formatted:**

Font:

- Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.)
- Type density, including characters and spaces, must be no more than 15 characters per inch.
- Type may be no more than six lines per inch.

Page Margins:

- Use *standard paper size (8 1/2" x 11)*.
- Use at least one-half inch margins (top, bottom, left, and right) for all pages.

Page Formatting:

- Use only a standard, single-column format for the text. Avoid using a two-column format since it can cause difficulties when reviewing the document electronically.
- Do not create or include any information in a header or footer of the attachments. A header will be system-generated that references the name of the PI. Page numbers for the footer will be system-generated in the complete application, with all pages sequentially numbered.

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

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

Page Limits:

Section	Page Limit	Content
<u><b>Introduction</b></u> - New applications - Resubmission applications - Revision applications	Not required/Not to be submitted  1-3 (check announcement for specific guidance)  1	See Instructions
<u><b>Research Plan</b></u> Sections 2-5  Sections 6 - 17	25* * Some exclusions for renewal applications  none	Text including all figures, charts, tables, and diagrams.
<u><b>Biographical Sketches</b></u>	4	No more than four pages for each person listed as Senior/Key Persons.
<u><b>Appendix</b></u>	none	No more than 10 publications (including <i>accepted</i> manuscripts); photographs (include a copy in the Research Plan); questionnaires; and other materials that do not photocopy well.
<u><b>PAs and RFAs</b></u>	Page limitations specified in the PA and RFA announcement in the <i>NIH Guide</i> take precedence.	See specific instructions in PAs and RFAs published in the <i>NIH Guide</i> .

Separate Attachments:

- 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 requirements such as page limits. When validating for page limits, the eRA Commons will not count the white space created by breaking the text into separate files for uploading.
- It is recommended applicants avoid scanning text documents to produce the required “.pdfs.” Instead, NIH recommends producing the documents electronically using text or word-processing software and then converting documents to “.pdf”.

**SF424 Application components are properly completed:**

SF424 (R&R) FACE PAGE:

1. Self explanatory.
2. Date Submitted and Applicant Identifier:  
In the Date Submitted field, enter the date the application is submitted to the Federal agency (or state, if applicable). In the Applicant Identifier field, enter the applicant's control number (if applicable). Note the Applicant Identifier field is a control number created by the applicant organization, not the Federal agency.
3. Date Received by State and State Application Identifier:  
Enter the date received by state (if applicable). In the State Application Identifier field, enter the state application identifier, if applicable.  
For submissions to NIH and other PHS agencies, leave these fields blank.
4. Federal Identifier:  
New project applications should leave this field blank, unless you are submitting a Changed/Corrected application. When submitting a changed/corrected "new" application, enter the Grants.gov tracking number. If this is a continuation, revision, or renewal application, enter the assigned Federal Identifier number (for example, award number) even if submitting a changed/corrected application.
5. Applicant Information:  
Organizational DUNS: 07-926-4420  
Legal Name: Swedish Health Services  
Address: 747 Broadway, Seattle, WA 98122-4307  
Person to be contacted on matters involving this application: Mrs. Jennifer L. Hansberry, ph. (206) 386-3007, fax (206) 215-2413, [jennifer.hansberry@swedish.org](mailto:jennifer.hansberry@swedish.org)
6. Employer Identification (e.g., TIN or EIN): 1910433740A1
7. Type of Applicant: M. Non-Profit with 501CS IRS Status.
8. Type of Application: Self explanatory.
9. Name of Federal Agency: This information is pre-populated by Grants.gov.
10. Catalog of Federal Domestic Assistance #: Auto populates or leave blank.
11. Descriptive Title of Applicant's Project:  
A "new" application must have a different title from any other PHS project with the same PD/PI. A "resubmission" or "renewal" application should normally have the same title as the previous grant or application. If the specific aims of the project have significantly changed, choose a new title.  
  
A "revision" application must have the same title as the currently funded grant.  
  
NIH and other PHS agencies limit title character length to 81 characters, including the spaces between words and punctuation. Titles in excess of 81 characters will be truncated.

12. Areas Affected by Project (Cities, Counties, States, Etc.):  
List only the largest political entities affected by the project (for example, state, counties, cities).  
Enter "N/A" for not applicable.
13. Start Date and Ending Date: Use the following format: MM/DD/YYYY.
14. Congressional Districts of Applicant/Project: 7
15. Project Director/Principal Investigator Contact Information:  
Organization Name: Swedish Health Services
16. Self explanatory.
17. Is Application Subject to Review by State Executive Order 12372 Process?  
For NIH and other PHS agencies submissions using the SF424 (R&R), applicants should check "No, Program is not covered by E.O. 12372."
18. Self explanatory.
19. Authorized Representative: Mrs. Nancy J. Auer, MD  
Position/Title: Chief Medical Officer  
Organization: Swedish Health Services  
Address: 747 Broadway, Seattle, WA 98122-4307  
ph. (206) 386-6071, fax (206) 386-2277, [nancy.auer@swedish.org](mailto:nancy.auer@swedish.org)
20. Pre-Application: Unless specifically noted in a program announcement, NIH and other PHS agencies do not use *Pre-applications*.
21. Self explanatory.

**SENIOR/KEY PERSON PROFILE(S) COMPONENT(S):**

- Biographical Sketches for each listed Senior/Key Person
  - Current & Pending Support for each listed Senior/Key Person
  - Additional Senior/Key Person Profiles
  - Additional Biographical Sketches
  - Additional Current and Pending Support
- o Each PD/PI must include their respective eRA Commons ID in the Credential field.

**OTHER PROJECT INFORMATION COMPONENT:**

- Project Summary/Abstract (Description)
  - Public Health Relevance Statement
  - Bibliography and Reference Cited
  - Facilities and Other Resources
  - Equipment
  - Other Attachments
1. Self explanatory.
    - 1.a

- If the Institutional Review Board (IRB) review is pending, check the Yes box. Otherwise, check the No box. In the IRB Approval Date field, enter the latest IRB approval date, if available. Leave blank if Pending.
- Applicants should check “Yes” to the question “Is the IRB review Pending?” even if the IRB review/approval process has not yet begun at the time of submission. Also note that an IRB Approval Date is not required at the time of submission. This may be requested later in the pre-award cycle as a Just-In-Time requirement.
- Human Subject Assurance Number: FWA 00000544

2. Self explanatory. Animal subjects here at Swedish?

3. Self explanatory.

4. Environmental Questions:

Unless a specific FOA indicates that the National Environmental Policy Act (NEPA) applies, applicants should check “No.”

5.–11. Self explanatory.

#### RESEARCH & RELATED PROJECT/PERFORMANCE SITE LOCATION(S)

#### R&R BUDGET SECTION A&B BUDGET PERIOD 1 COMPONENT:

- PI salary cap (base) does not exceed \$186,600 (eff. 2007) on NIH applications.
- Benefit rate is calculated at 32.87%.
- 3% annual increases (across the board) for grant year 2 onwards on all line items.

#### R&R BUDGET SECTION F-K BUDGET PERIOD 1 COMPONENT:

- Institutional indirect rate is calculated at 52%.
- Cognizant Federal Agency: NIH (for NIH applications), Name and ph#: Mike DeMoss (206) 215.2144. Enter “None” is no cognizant agency is known.

Research & Related Budget – Year 1  
 Research & Related Budget – Year 2  
 Research & Related Budget – Year 3  
 Research & Related Budget – Year 4  
 Research & Related Budget – Year 5  
 Research & Related Budget – Cumulative Budget  
 Research & Related Consortium Budget (if applicable)  
 PHS 398 Specific Modular Budget (if applicable)  
 - Personnel Justification  
 - Consortium Justification  
 - Additional Narrative Justification

#### PHS 398 SPECIFIC COVER PAGE SUPPLEMENT

#### PHS 398 SPECIFIC RESEARCH PLAN:

- Introduction to Application

- Specific Aims
- Background and Significance
- Preliminary Studies/Progress Report
- Research Design and Methods
- Inclusion Enrollment Report
- Progress Report Publication List

Human Subjects Sections:

- Protection of Human Subjects
- Inclusion of Women and Minorities
- Targeted/Planned Enrollment Table
- Inclusion of Children
- Vertebrate Animals
- Select Agent Research
- Multiple PI Leadership Plan
- Consortium/Contractual Arrangements
- Resource Sharing Plan (Data Sharing and Model Organism Sharing)
- Letters of Support

PHS 398 CHECKLIST:

- PHS 398 Specific Assurances/Certification Explanation

APPENDIX:

- Number of Attachments in Appendix

**Certification of Principle Investigator Form is received by the GCA and is complete/signed**

**SF424 APPLICATION FORWARD TO GRANTS.GOV BY GCA**

**“Final” SF424 Application is submitted to Grants. gov by the GCA within two business days:**

- o Allow three days for Grants.gov and NIH to perform error checks.

**Email notification is received from Grants.gov:**

- o Emails should be received at SRC within 24-48 hours.
- o Two emails will be sent by Grants.gov: the first states the receipt of the application by Grants.gov, the second will report if the application has been validated and sent to eRA Commons, or if errors are present.

**SF424 Application errors are reviewed and corrected by the PI and the GCA and the corrected application is submitted by the GCA to Grants. gov within two business days:**

- o \*From the original grant application, PI will check the “Changed/Corrected Application” box in block 1 of the SF424 (R&R) Cover component.
- o Once the “Changed/Corrected Application” box is checked, Item 4. ‘**Federal Identifier**’ becomes a required field.
- o When submitting a Changed/Corrected Application for a “New” Type of Application (Item 8 = New), in the **Federal Identifier** field (Item 4), the PI will enter the Grants.gov tracking number for the previous application now being corrected.

- When submitting a Changed/Corrected Application for a “Resubmission,” “Renewal,” or “Revision” Type of Application (Item 8 = Resubmission, Renewal, or Revision), in the Federal Identifier field (Item 4), the PI will enter the previously assigned grant number (e.g., CA123456).
- The PI will notify the GCA via email of corrections made to the original SF424 application and attach the revised application.

**Email notification is received from eRA Commons; application status should also be periodically checked in eRA Commons by the PI and/or the GCA:**

- After the application has been downloaded from Grants.gov and validated by the system, access the eRA Commons (<https://commons.era.nih.gov/commons/>) using the Principal Investigator **Username** and **Password**.
- Click the **Status** tab on the Commons menu bar.
- A hitlist of application numbers is displayed. If the application was validated with warnings only, or without encountering any problems whatsoever, then it is identified in the hitlist by its NIH accession number (e.g., “AN:2911064”), otherwise it will be identified by its Grants.gov tracking number.

**If errors are reported by eRA Commons, the PI and the GCA correct the errors and the corrected application is submitted to Grants.gov asap, allowing for 2-3 days for processing:**

- If any errors were identified during eRA Commons validation, then the application still appears in the hitlist, but in this case it is identified by its Grants.gov tracking number (e.g., “TN:21236”). This is the number that Grants.gov assigned to the application at the time of submission.
- When the appropriate application is found in the hitlist, click its application link.
- The error/warning page appears, and all conditions that were identified during validation can be reviewed. If only warnings were identified, the PI may elect to take action and the GCA will have to resubmit to Grants.gov; or the PI may accept the warnings and proceed to view the application.
- \* Now refer to the same steps as noted above and follow as appropriate.

**SF424 Application is validated in eRA Commons by the PI and the GCA (on behalf of the AOR) within 48 hours of the notification of receipt by eRA Commons; if no errors are present**