RAS-Grants
SF424 Funding Proposal
User Guide

Create SF424 Funding Proposal User Guide

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Create SF424 Funding Proposal User Guide

OVERVIEW:

In order to apply for funding for research programs, investigators must submit proposals to various sponsors. The Create Funding Proposal SmartForm enables investigators and OSPA staff to prepare proposal packages and submit them to sponsors. The Rockefeller University will use data from the applications to meet its management, compliance, and reporting obligations.

Faculty and staff will use RAS-Grants in many ways: to initiate an application, to track its development and progress through the Rockefeller offices, to verify that a complete proposal is ready for submission, to submit the application to the sponsor; to gather and organize proposal data; and to facilitate the administration of proposals, awards, and reports.

Roles

RAS-Grants will move a proposal through the Rockefeller process, notifying each party of its obligations on the application:

- **PI** (Principal Investigator): Initiates the application, uploads all attachments, and approves the proposal for submission.
- **AC** (Administrative Contact): Can perform all PI functions, except PI certifications.
- **PT** (Proposal Team): Participants on the project, who can be assigned to *read only* or *edit*.
- **SPO** (Sponsored Programs Officer): Supports PI in determining application requirements, drafting and revising the budget, and reviewing the proposal for Rockefeller.
- **AOR** (Authorized Organizational Representative): Performs final institutional review, and submits proposal (as required by the sponsor).

Proposal Process

PIs and/or their ACs initiate the RAS-Grants process by entering information about the sponsor, deadline date and proposal opportunity in a series of webpages called SmartForms. This notifies the SPO who will assist in the process. The PI or AC uploads the proposal attachments, and works with the SPO on the budget. **Be sure to work with your SPO to complete the budget as early in the process as possible.**

SPOs review the application for completeness, accuracy and compliance with Sponsor and Rockefeller requirements. Throughout the proposal development, the parties will communicate with each other through system generated emails, called “notifications.” This will enable a complete record of the proposal and award for audit purposes.

When the application is complete, the AOR submits it to the sponsor by the appropriate method, or documents the submission if the Sponsor requires that the PI submit. Federal proposals supported by the system-to-system (S2S) process will be submitted directly from the RAS-Grants system. Proposals that cannot be submitted S2S will be sent outside the system and the submission information documented in RAS-Grants. RAS-Grants captures project data and copies of the application for institutional management and reporting.

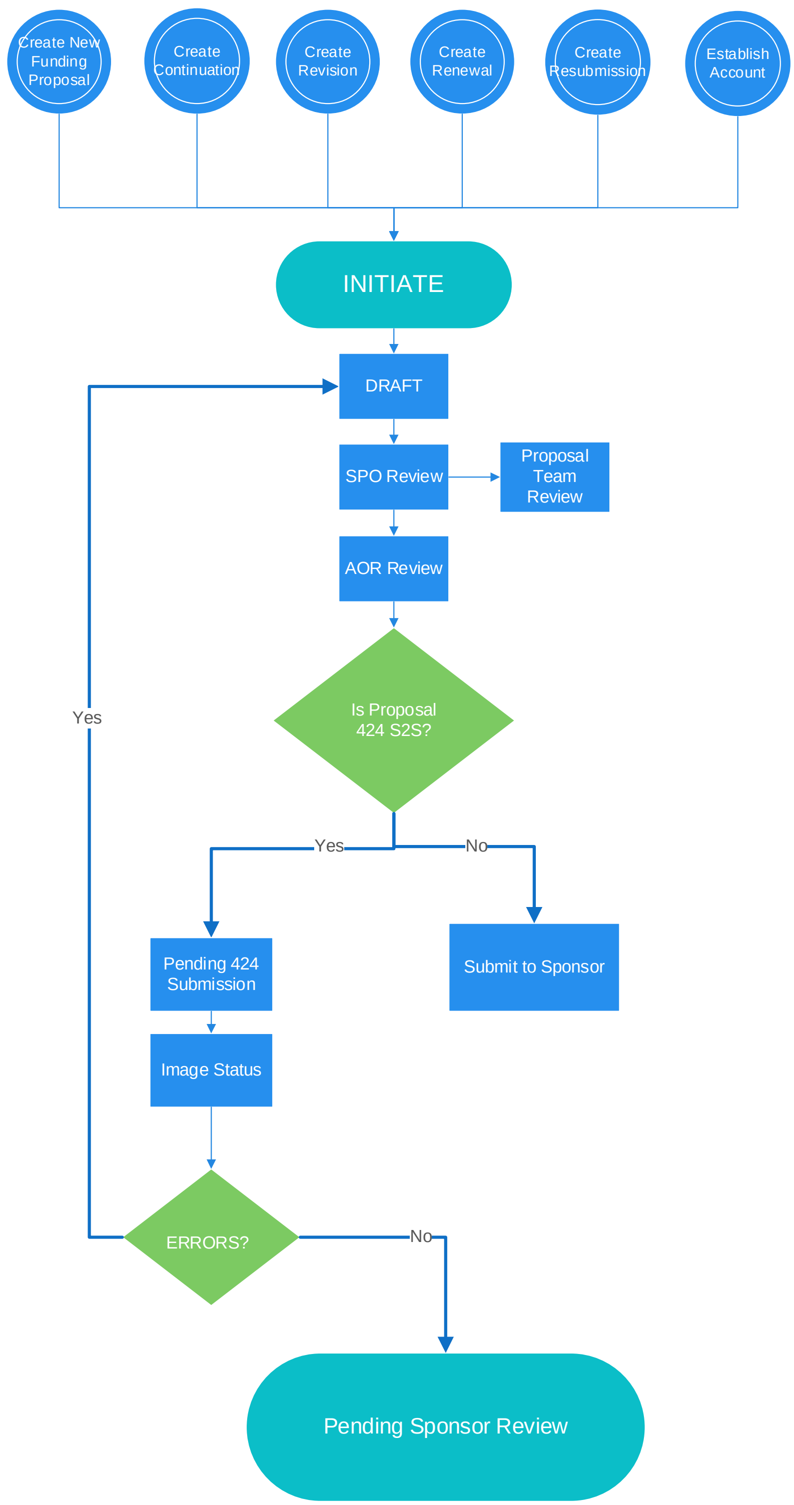
Application Types

Progress Report/Continuations, Revisions, Renewal, Supplements, and Resubmissions will similarly be initiated, managed and submitted on Funding Proposal SmartForms, and submitted or otherwise documented through RAS-Grants.

Create SF424 Funding Proposal User Guide

PROCESS FLOW

Preparation and Submission



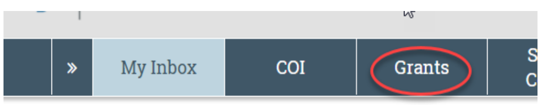
Before you begin, a few notes:

- Be sure to allow pop-ups for the RAS-Grants system.
- All attachments for SF424 applications must be in PDF. RAS-Grants will not convert attachments from Word.
- Questions with a red asterisk (*) are required.
- At the top and bottom each page is a list of functions. Click either the “Save” or the “Continue” button to save your work. Clicking “Exit” will prompt you to save any changes.

PROCEDURES

A. Logging in to RAS-Grants

1. Type this link in your web browser: https://rasgrants.rockefeller.edu
2. Type your **User Name** and **Password** (same as your RU logon) in the appropriate fields.
3. Click **Login**.
4. Click the Grants link at the top of the page. This will direct you to your Grants workspace.

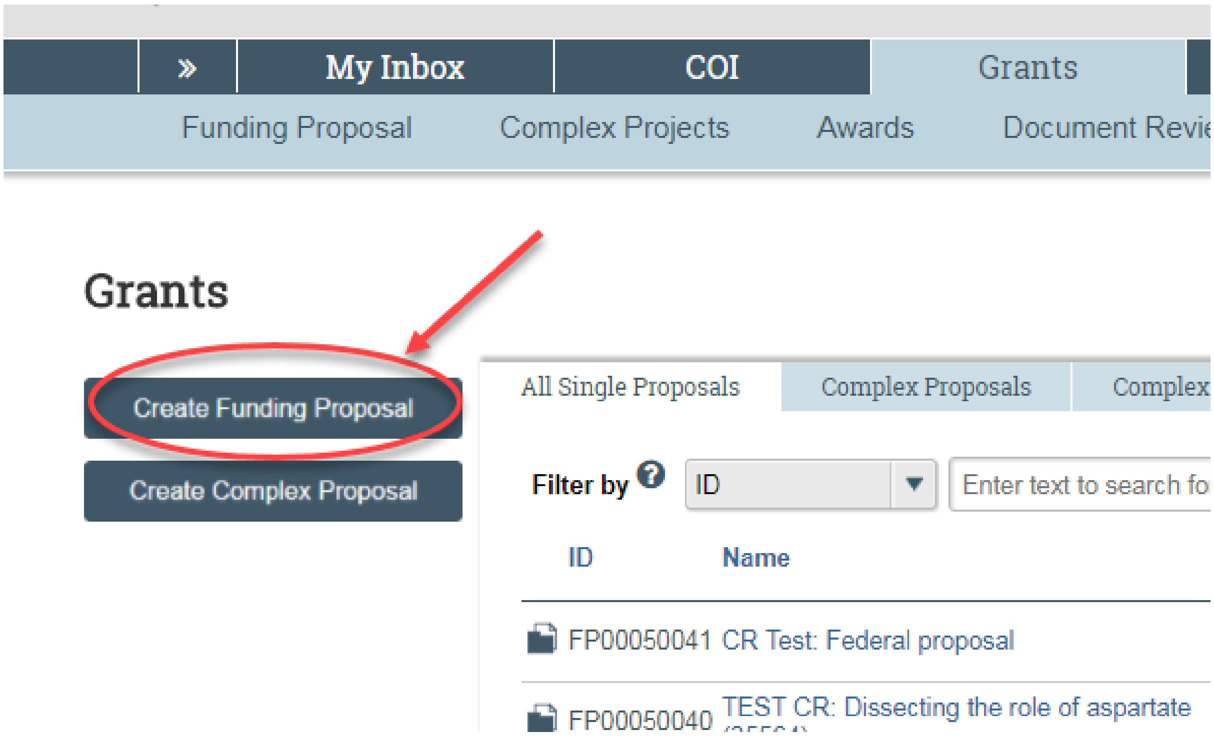


5. To logout, click the **Logout** link located at the top right hand corner of the screen.

B. Create Funding Proposal

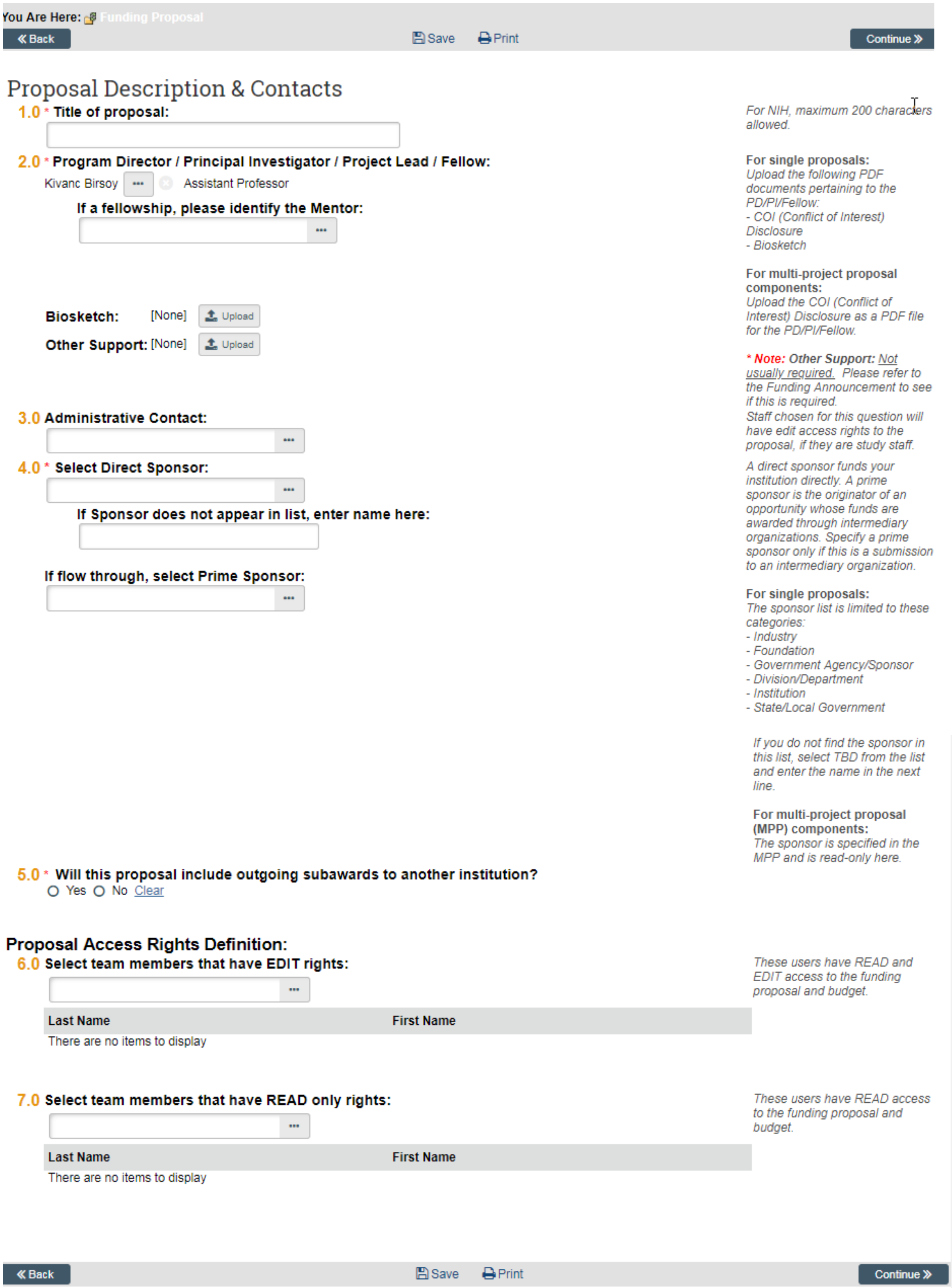
Step 1: Create New Funding Proposal

Select Create Funding Proposal and the first page of the Funding Proposal SmartForm will appear.



Step 2: Proposal Description and Contacts

Information entered on this page is needed in order to create a funding proposal in RAS-Grants.



You Are Here: Funding Proposal

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Proposal Description & Contacts

1.0 * Title of proposal:

For NIH, maximum 200 characters allowed.

2.0 * Program Director / Principal Investigator / Project Lead / Fellow:

Kivanc Birsoy | Assistant Professor

If a fellowship, please identify the Mentor:

For single proposals:
Upload the following PDF documents pertaining to the PD/PI/Fellow:
- COI (Conflict of Interest) Disclosure
- Biosketch

For multi-project proposal components:
Upload the COI (Conflict of Interest) Disclosure as a PDF file for the PD/PI/Fellow.

Biosketch: [None] Upload

Other Support: [None] Upload

** **Note:** **Other Support:** Not usually required. Please refer to the Funding Announcement to see if this is required.*

3.0 Administrative Contact:

Staff chosen for this question will have edit access rights to the proposal, if they are study staff.

4.0 * Select Direct Sponsor:

If Sponsor does not appear in list, enter name here:

If flow through, select Prime Sponsor:

A direct sponsor funds your institution directly. A prime sponsor is the originator of an opportunity whose funds are awarded through intermediary organizations. Specify a prime sponsor only if this is a submission to an intermediary organization.

For single proposals:
The sponsor list is limited to these categories:
- Industry
- Foundation
- Government Agency/Sponsor
- Division/Department
- Institution
- State/Local Government

If you do not find the sponsor in this list, select TBD from the list and enter the name in the next line.

For multi-project proposal (MPP) components:
The sponsor is specified in the MPP and is read-only here.

5.0 * Will this proposal include outgoing subawards to another institution?
○ Yes ○ No Clear

Proposal Access Rights Definition:

6.0 Select team members that have EDIT rights:

These users have READ and EDIT access to the funding proposal and budget.

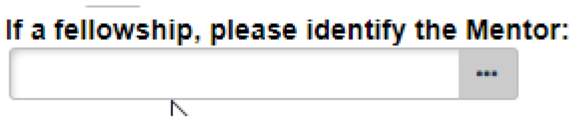
Last Name	First Name
There are no items to display	

7.0 Select team members that have READ only rights:

These users have READ access to the funding proposal and budget.

Last Name	First Name
There are no items to display	

« Back | Save | Print | Continue »

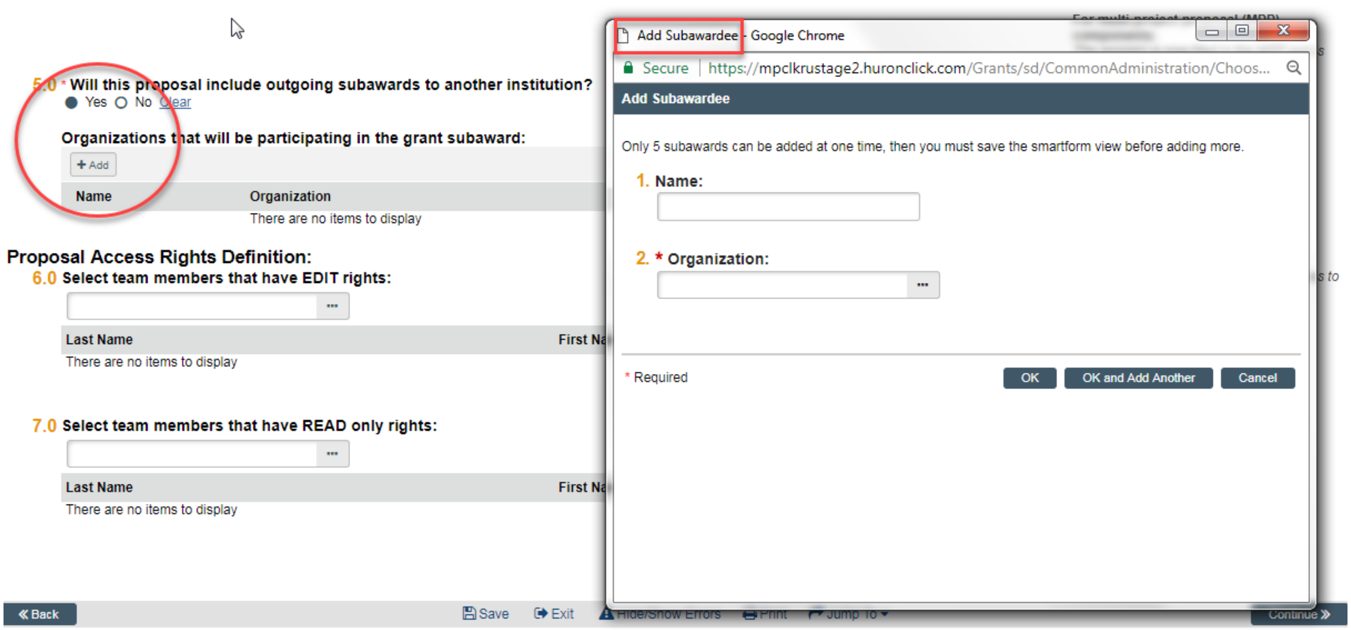
Field Name	*Field Description/Purpose*	*SF424 Mapping*
1.0 *Enter the proposal/project title	Required. A character limit will be enforced only if the application is Federal. For example, NIH limits this field to 200 characters.	R&R, question 11
2.0 *Select the principal investigator	Required. If the PI initiates the proposal his/her name will automatically  appear here. If this person is not the PI, click on the button to search for the appropriate PI. If the application is a fellowship, identify the Mentor in the section. Note that some funding agencies call the Mentor a “Sponsor.” 	PHS398 cover Page Supplement, question 1 Research & Related Senior/Key Person Profile, Profile - Project Director/PI, First & Last Name R&R, question 15
	If a Federal SF424 application, upload PI’s Biosketch and Other Support (if FOA Requires) here. NOTE: All FINAL attachments must be in PDF.	Sr./Key Person Profile
3.0 Administrative Contact	This is the field for the main administrative contact for the PI for this proposal, typically the lab administrator. If there is no lab administrator, leave blank. If you are entering this proposal on behalf of a PI, enter your name here. If you do not enter it, you will not be able to access the application once you save this page. Individuals named here will receive notifications on this proposal, will have edit access, and are considered part of the Proposal Team.	
4.0 * Select Direct Sponsor:	Required. The answer to this question impacts branching. This is the original source of funds, e.g., NIH, DOD, American Heart Association, whether we are receiving them directly or through a subaward.	
If Sponsor does not appear in list, enter name here:	If you cannot locate the sponsor in the list, select “To Be Determined” in the list, and type in the sponsor in the blank here.	
If flow through, select Prime Sponsor	If we will be receiving this funding from another institution (e.g., Columbia University, Mayo Clinic) choose that institution here. If the Prime Sponsor does not appear, leave blank for now and alert your SPO to have them added.	
5.0 * Will this proposal include outgoing subawards	Required. The answer to this question impacts branching. See next page for instructions on adding subawardees.	

Field Name	***Field Description/Purpose***	***SF424 Mapping***
to another institution?		
6.0 Select team members that have EDIT rights:	This allows the PI or AC to add additional team members who will assist in the preparation of the proposal. Click on the Select... button to choose the desired proposal team member. Team members listed here will have EDIT rights to the proposal and will be able to see and edit the same elements as the PI and AC, including the history and any attachments.	
7.0 Select team members that have READ only rights:	This allows the PI or AC to add additional team members who will be able to read the proposal. Click on the Select... button to choose the desired proposal team member. Team members listed here will have EDIT rights to the proposal and will be able to see, but not edit, the same elements as the PI and AC, including the history and any attachments.	

Step 2A: Adding Subaward Site

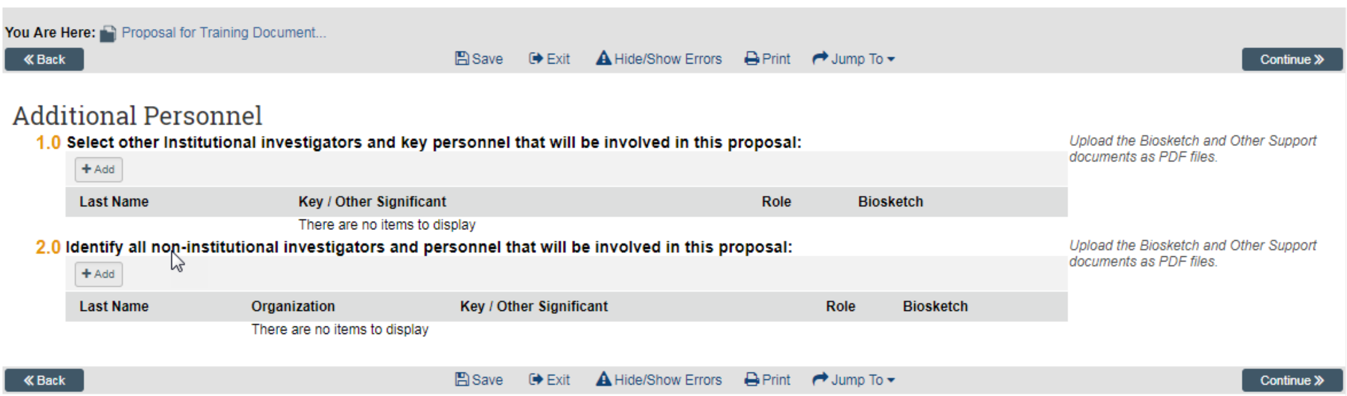
Answering “Yes” to question 5.0 will bring up the ability to add an external organization. Click “+Add” and a pop-up window will appear, where you can choose the Organization in question 2 as shown in the screenshot below.

If the organization you need is not listed in the picklist, click “Cancel” and contact your SPO.



Step 3: Additional Personnel

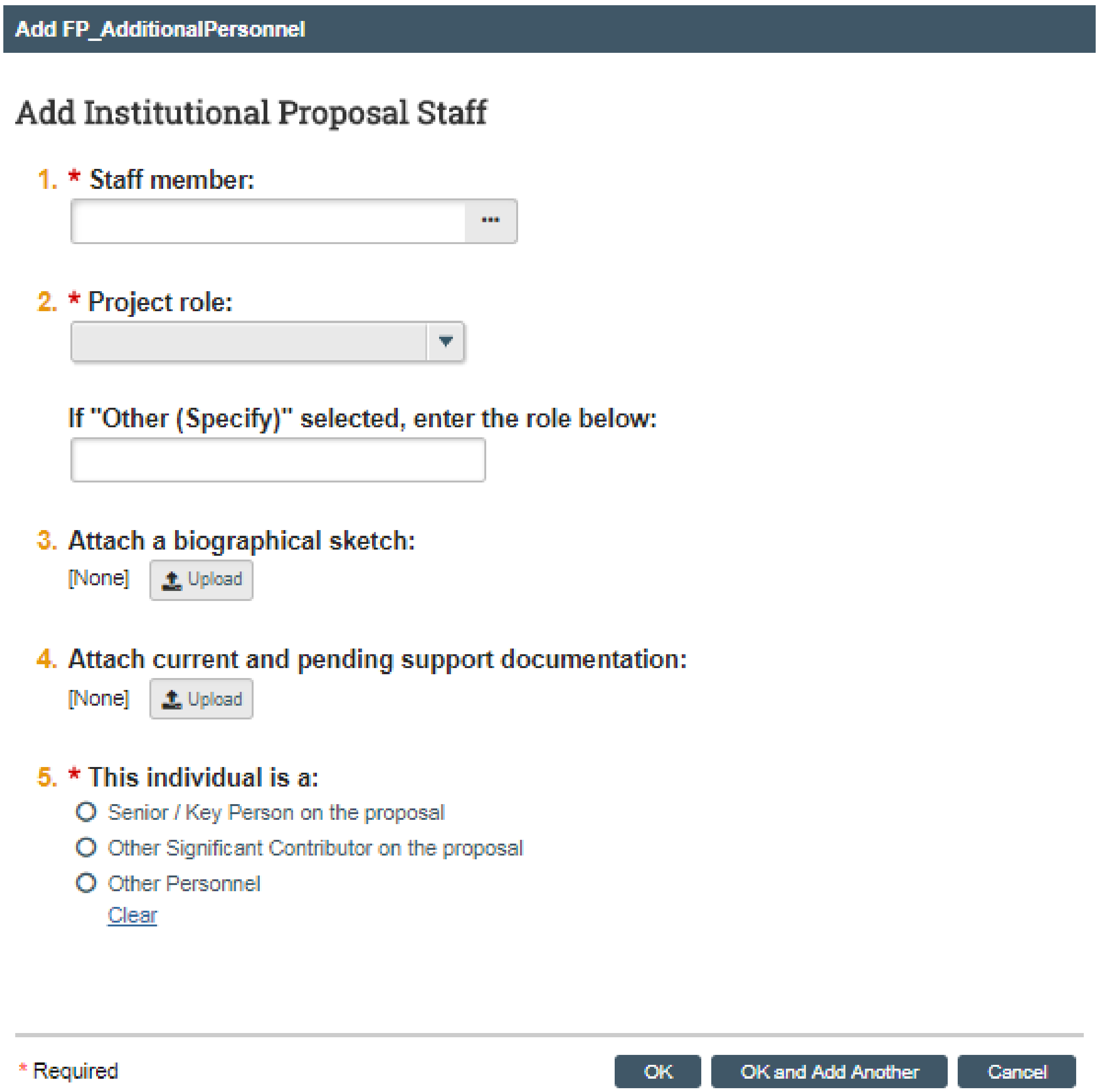
- Question 1.0 - Enter all Rockefeller University personnel who will work on the project if awarded.
  - Must be included in order to have them added to the budget and/or Key Personnel page.
  - You **do not** need to re-add the PD/PI.
  - To be Named personnel will be added on the budget. Be sure to include details (i.e., position, base salary, % effort) when you send your draft budget to your SPO.
- Question 2.0 - Enter all Non-Rockefeller Sr./Key Personnel
  - Use when there are outgoing subawards or other external collaborators on the funding proposal.
  - Select the Principal Investigators at the outgoing subaward institutions. If they are not in the pick list, you will be able to manually enter their detailed contact information.



Field Name	*Field Description/Purpose*	*SF424 Mapping*
1.0 Rockefeller Personnel	Rockefeller University Personnel must be included here in order to select them on the budget and/or have them included on an SF424 submission. Do not re-add the PD/PI. Click *Add* to select Rockefeller Personnel. 1. Choose the appropriate person from the picklist. 2. Choose the role they will fill on the project (not necessarily the same as their job title). If "Other," fill in a description. 3. Attach their Biosketch here if Sr./Key. 4. Attach their other support information, if required by the FOA. 5. Choose their degree of involvement: Sr./Key, OSC, or Other. Click "OK" to save this person, or "OK and Add Another" to save this person and add more Rockefeller personnel. OK OK and Add Another Cancel See screenshot below for additional details.	RR Sr/Key personnel Page Budget pages
2.0 Identify all non-institutional investigators and personnel that will be involved in this proposal:	If the funding proposal includes subawards or other external collaborators, at least one non-Rockefeller person must be entered for each external organization. This is usually the PI at the external organization.	RR Sr/Key personnel Page

Field Name	Field Description/Purpose	SF424 Mapping
	• Follow the steps from 1.0 above. If the person you require is not listed in the picklist, select the link highlighted in the screenshot below and enter the appropriate data. See screenshots below for additional details.	

Step 3A: Adding Rockefeller University Staff



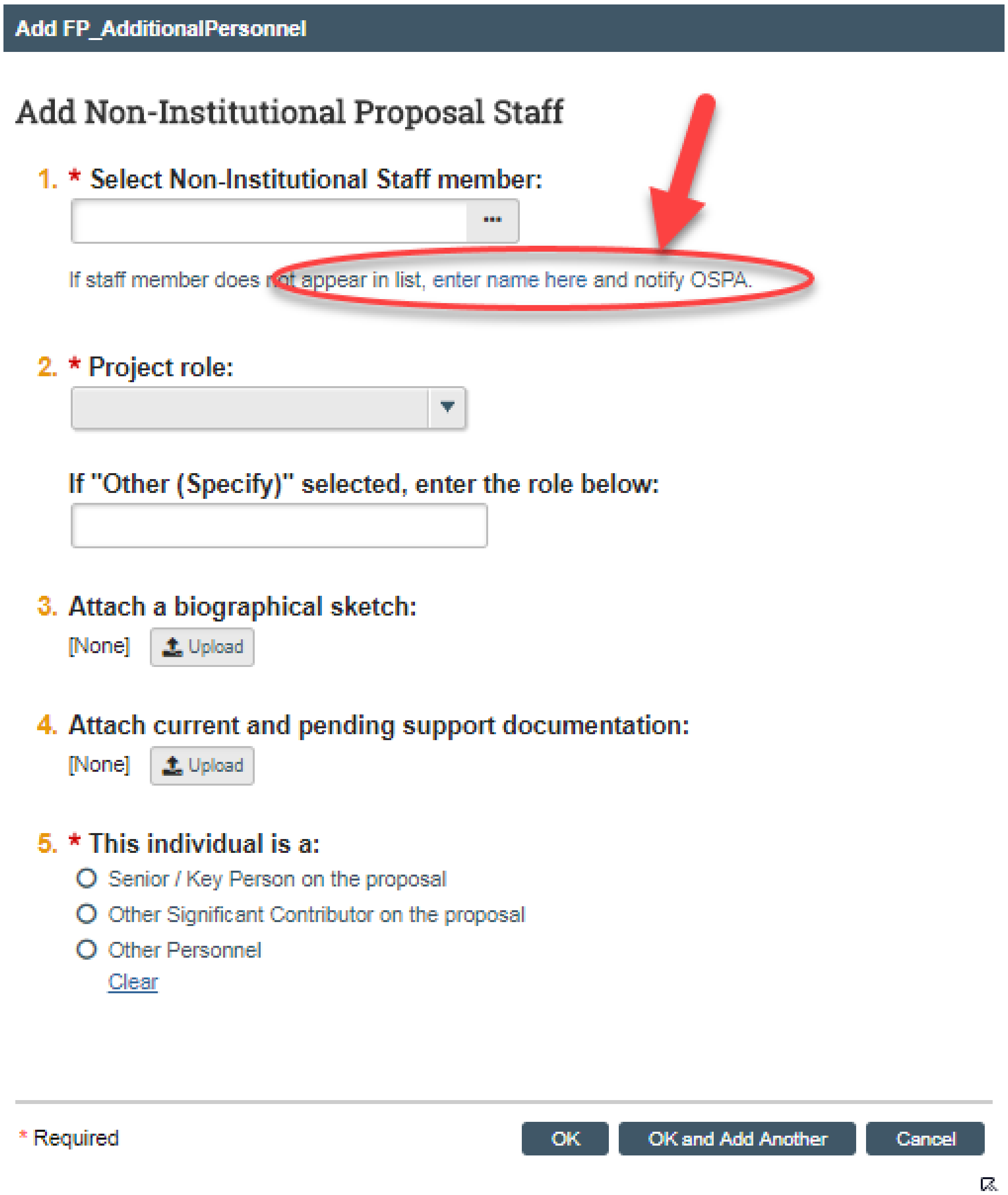
Field Name	Field Description/Purpose	SF424 Mapping
1.0 Staff member:	Click on the Select... button to choose the desired Rockefeller personnel.	If 5.0 equals Key or OSC, R&R Senior/Key Person Profile, Senior/Key Person

Field Name	***Field Description/Purpose***	***SF424 Mapping***
2.0 *Project Role	Required. Options: PD/PI Co-PD/PI Faculty Post Doctoral Associate Post Doctoral Scholar Post Doctoral Other Professional Graduate Student Undergraduate Student Technician Consultant Co-Investigator Research Associate Biostatistician Program Manager/Program Coordinator Research Specialist Other Significant Contributor Other (Specify)	R&R Senior/Key Person Profile, Senior/Key Person
If "Other (Specify)" selected, enter the role below:	Required if 'Other (Specify)' is selected above in question 2.0.	R&R Senior/Key Person Profile, Senior/Key Person
3.0 Attach a biographical sketch	Enter a biosketch for any Sr/Key or OSC Rockefeller personnel here, or it can be attached directly to the 424 package.	R&R Senior/Key Person Profile, Senior/Key Person
4.0 Attach current and pending support documentation	If required by the FOA, enter a current and pending other support documentation for any Sr/Key or OSC Rockefeller personnel here, or it can be attached directly to the 424 package.	R&R Senior/Key Person Profile, Senior/Key Person
5.0 *This individual is a:	Required. Options: • Key Personnel • Other Significant Contributor • Other Personnel (use this for non-key personnel)	
OK | OK and Add Another | Cancel	Click *OK* to add person selected. Click *OK and Add Another* to add person and add another. Click *Cancel* to exit without saving.	

Step 3B: Adding non-Rockefeller Personnel

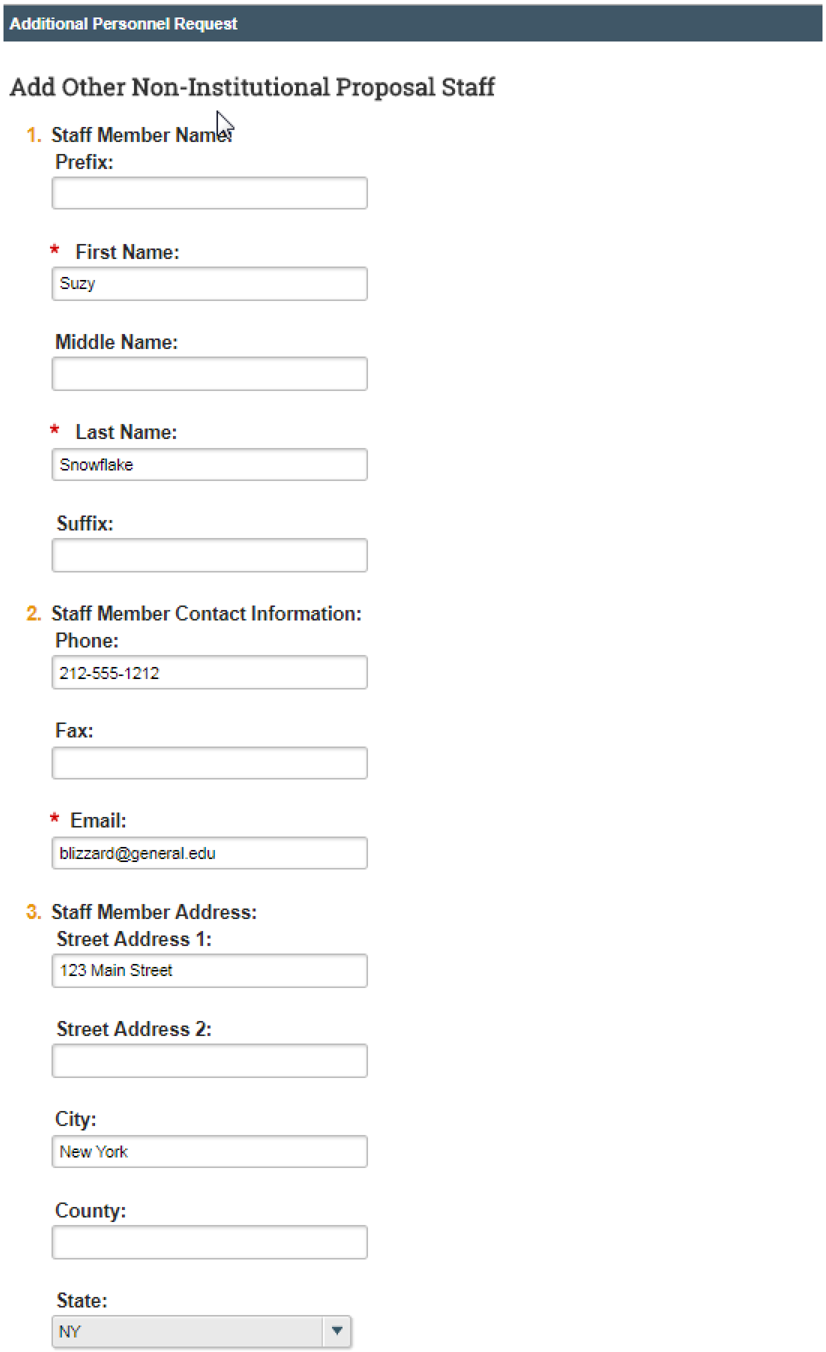
Using similar steps as above for Rockefeller personnel, enter any external personnel here (usually the PI of an external organization).

If the external person does not appear in the picklist, click the link circled below, and enter the information. A notification will be sent to OSPA for the person to be added, and OSPA will notify you when they are available to be added. See additional screenshots below on the information needed.



Continued next page.

*To be used if non-Rockefeller individual does not appear in picklist. Fields with a * are Required.*


Additional Personnel Request

Add Other Non-Institutional Proposal Staff

1. Staff Member Name:
Prefix:

* First Name:
Suzy

Middle Name:

* Last Name:
Snowflake

Suffix:

2. Staff Member Contact Information:
Phone:
212-555-1212

Fax:

* Email:
blizzard@general.edu

3. Staff Member Address:
Street Address 1:
123 Main Street

Street Address 2:

City:
New York

County:

State:
NY

Continued next page.

Province:

[ ]

Country:

[▾]

Zip Code:

10065

4. Staff Member Organization Information:

Position / Title:

Professor

Organization:

[...]

Department:

[ ]

Division:

[ ]

5. Credential, e.g. Agency Login:

suzysnowflake

6. Degree:

Degree Type:

[ ]

Degree Year:

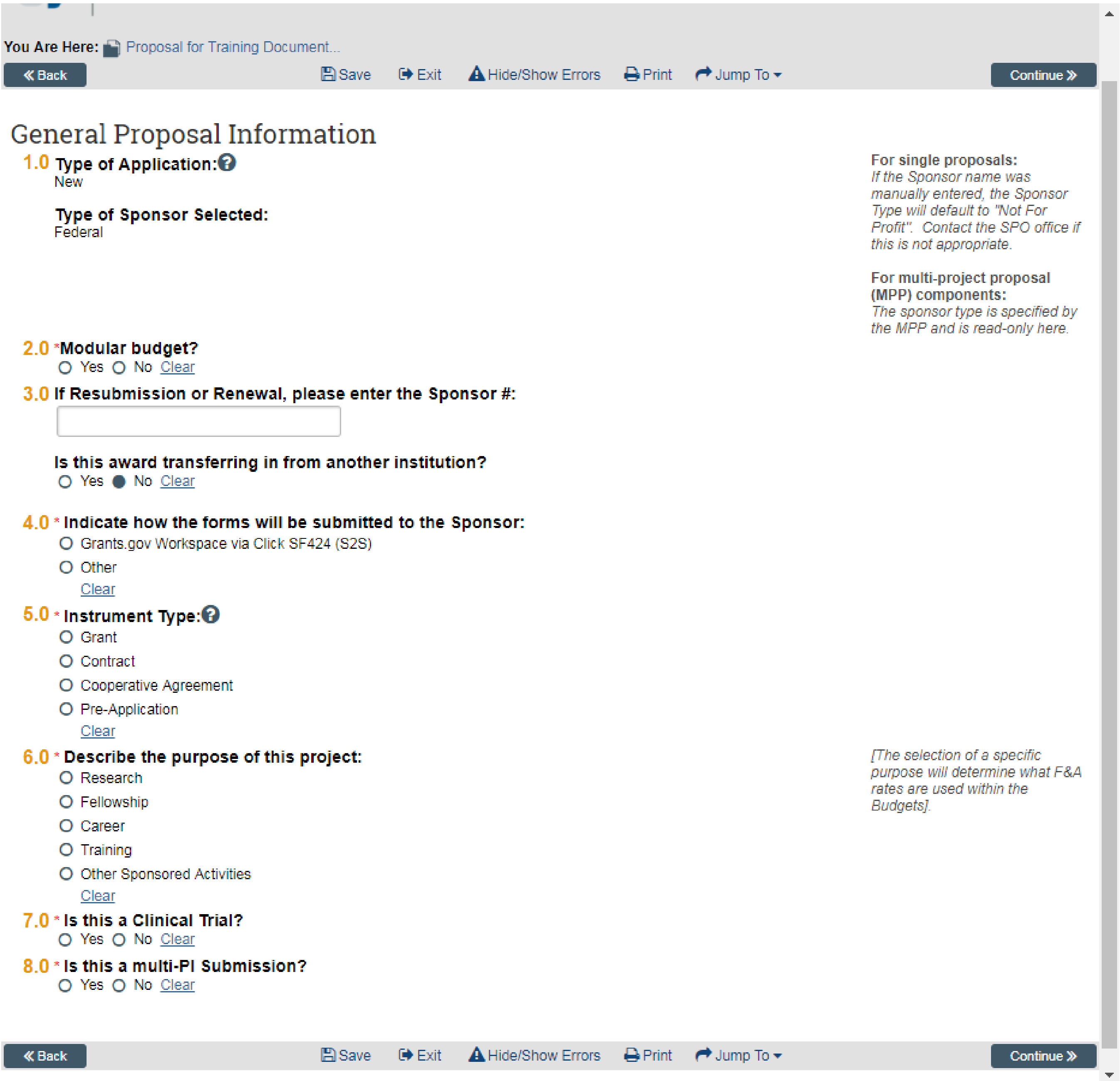
[ ]

Click "OK" to send email to OSPA.

OK | Cancel

Step 4: General Proposal Information

The information entered here will control branching to additional forms. *This information was previously collected on the Institutional Routing Form.*



You Are Here: Proposal for Training Document...

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General Proposal Information

1.0 Type of Application:
New

Type of Sponsor Selected:
Federal

For single proposals:
If the Sponsor name was manually entered, the Sponsor Type will default to "Not For Profit". Contact the SPO office if this is not appropriate.

For multi-project proposal (MPP) components:
The sponsor type is specified by the MPP and is read-only here.

2.0 * Modular budget?
Yes No Clear

3.0 If Resubmission or Renewal, please enter the Sponsor #:

Is this award transferring in from another institution?
Yes No Clear

4.0 * Indicate how the forms will be submitted to the Sponsor:
Grants.gov Workspace via Click SF424 (S2S)
Other
Clear

5.0 * Instrument Type:
Grant
Contract
Cooperative Agreement
Pre-Application
Clear

6.0 * Describe the purpose of this project:
Research
Fellowship
Career
Training
Other Sponsored Activities
Clear

[The selection of a specific purpose will determine what F&A rates are used within the Budgets].

7.0 * Is this a Clinical Trial?
Yes No Clear

8.0 * Is this a multi-PI Submission?
Yes No Clear

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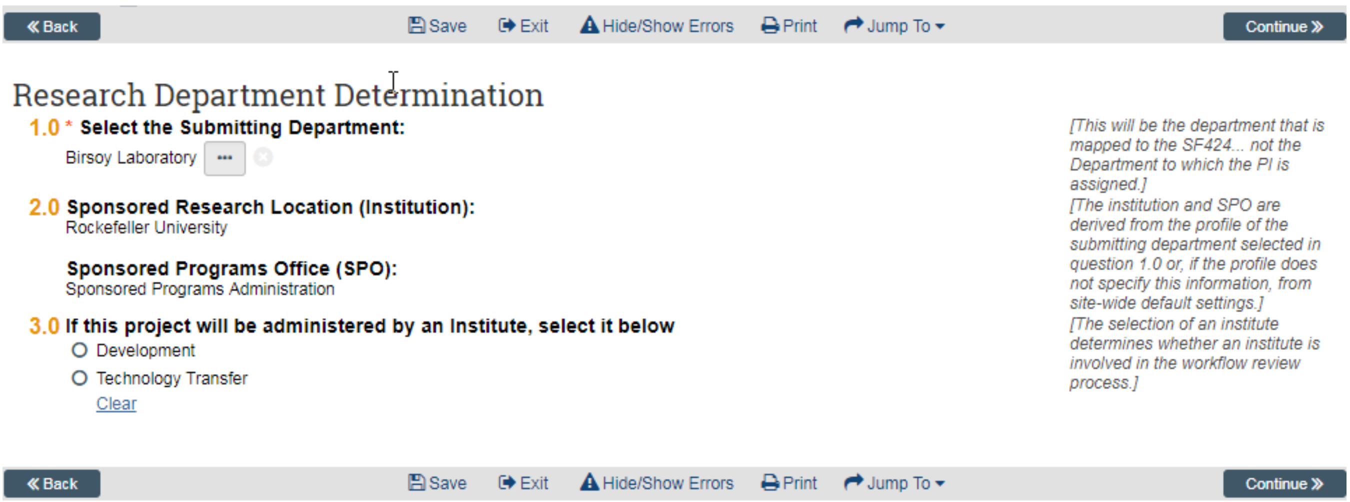
Field Name	***Field Description/Purpose***	***SF424 Mapping***
1.0 Type of Application	This information is populated based on the sponsor you selected on Page 1.	
2.0 * Modular budget?	If you are submitting to NIH, and anticipate your annual direct costs	

	will be $250,000, select "Yes." If you are unsure of your budget estimate, or are submitting to a sponsor other than NIH, select "No."	
3.0 If Resubmission or Renewal, please enter the Sponsor #:	Generally applicable only to NIH. The number entered here is the grant number assigned by the Sponsor, e.g., CA123456.	
4.0 * Indicate how the forms will be submitted to the Sponsor:	For most federal applications, choose the first option (NSF applications may be submitted either through this process or through Fastlane.) If an incoming subaward, regardless of sponsor, choose "Other." If your application is non-Federal, choose "Other."	
5.0 * Instrument type	Please choose the type of application for which you are applying. For example, if you are submitting for an NIH U proposal, choose "Cooperative Agreement."	
6.0 * Describe the purpose of this project:	Sample project purpose types are: Research: R01, R21, P01 Fellowship: F31, F32 Career: K08, K22 Training: T32 Other Sponsored Activity: Conference applications Contact your SPO if you have questions about how to categorize your proposals.	
7.0 * Is this a Clinical Trial?		
8.0 * Is this a multi-PI submission?	If there will be more than one PD/PI identified, choose "Yes." Note that each PI will need to perform the "PI Certification" activity before the proposal is submitted.	

Step 5: Research Department Determination

If the department submitting the proposal is different than that listed, you can select it here.

This information was previously collected on the paper Institutional Routing Form.



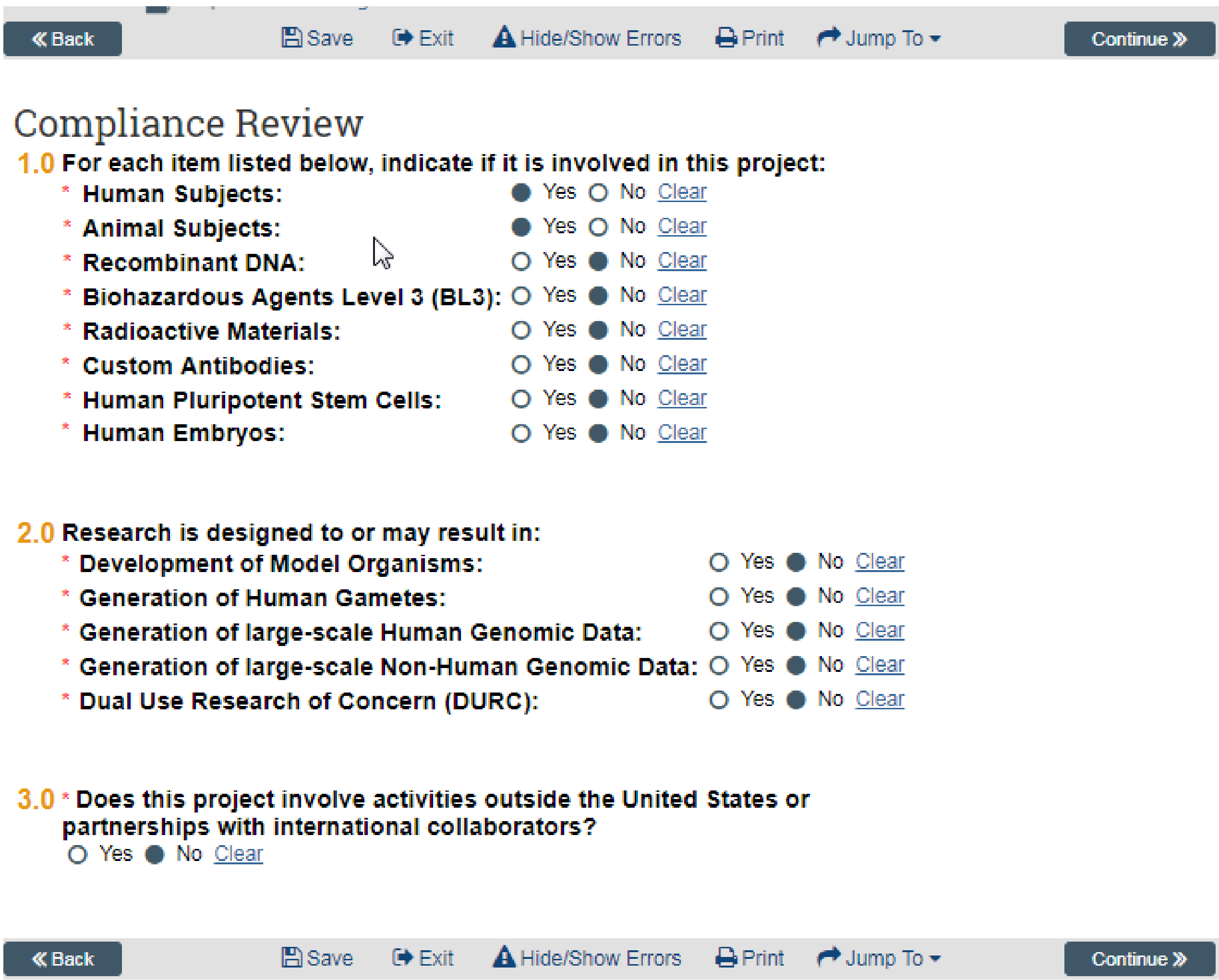
Field Name	*Field Description/Purpose*	*SF424 Mapping*
1.0 * Select the Submitting Department	This is the department which will be mapped to the SF424, and does not necessarily need to be the lab to which the PI is assigned. Example: PI is applying for a T32, and wishes to list the Dean's Office as the submitting department.	
2.0 Sponsored Research Local (Institution):	This defaults our institutional information.	
3.0 If this project will be administered by an Institute, select it below:	This question is for internal use by OSPA, Development, and Tech Transfer. PIs and ACs can skip.	

Step 6: Compliance Review

On this page, please indicate types of compliance issues involved in this proposal.

This information was previously collected on the paper Institutional Routing Form.

For examples of how to enter protocol information, see Page 20 for Human Subjects and Page 21 Animal Subjects research.



Field Name	***Field Description/Purpose***	***SF424 Mapping***
1.0 * For each item listed below, indicate if it is involved in this project:	A response is required for each topic area.	
2.0 * Research is designed to or may result in:	A response is required for each topic area.	
3.0 * Does this project involve activities outside the United States or partnerships with international collaborators?	A response is required. If any work will be performed outside the U.S., or if you will collaborate with anyone outside the U.S., answer "Yes."	

Step 6A: Human Subjects

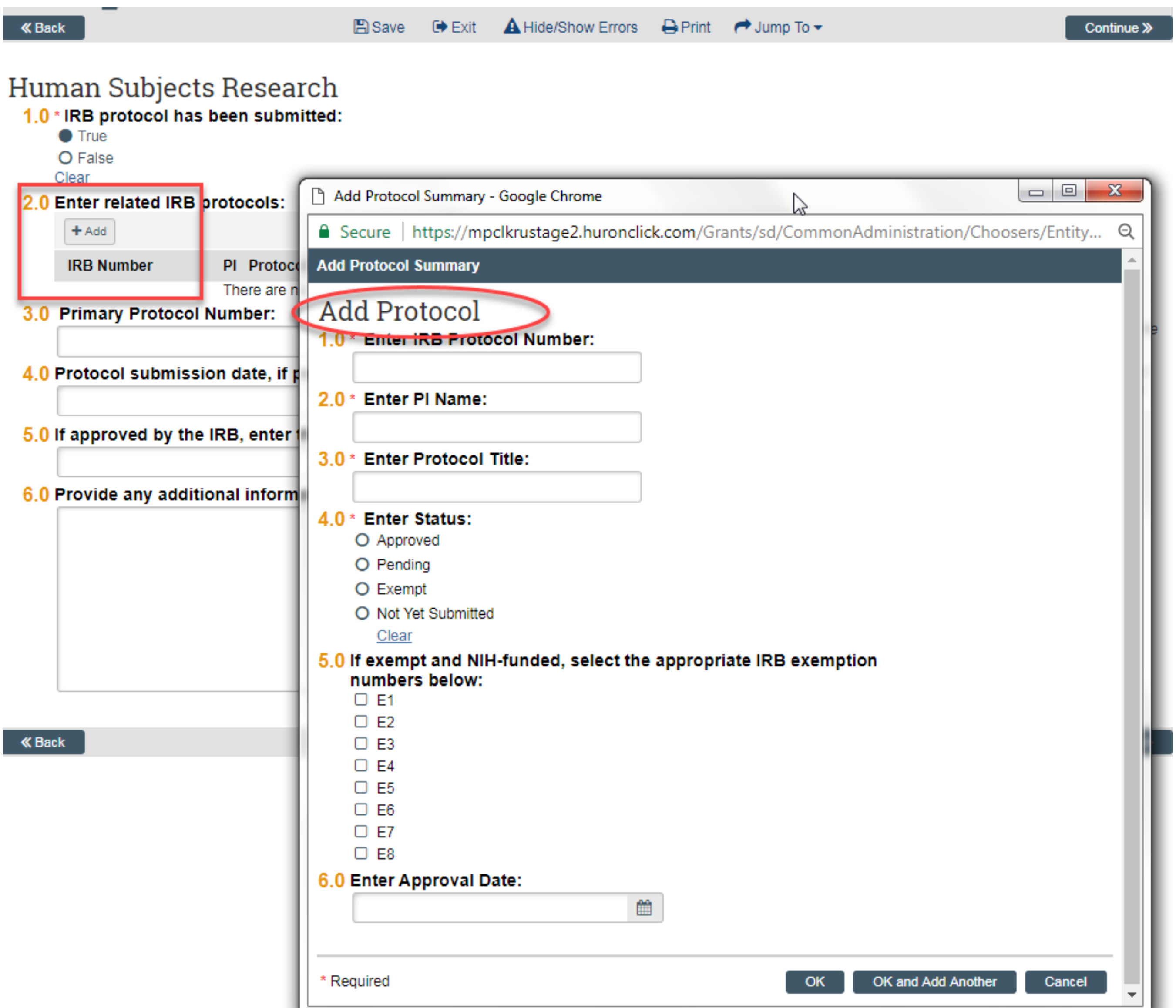
If you answered “Yes” to Human Subjects on the Compliance Review Page, you will automatically see this page.

If you have already submitted your protocol, answer “True” in Question 1.0.

This will bring up questions 2.0 – 6.0. Click “+Add” to enter information about your submitted protocol(s). Click “OK” to save, or “OK and Add Another” to add more than one protocol.

Even if you have only one protocol, be sure to enter the protocol number in Question 3.0 to ensure mapping to the SF424.

This information was previously collected on the paper Institutional Routing Form.



Step 6B: Animal Research

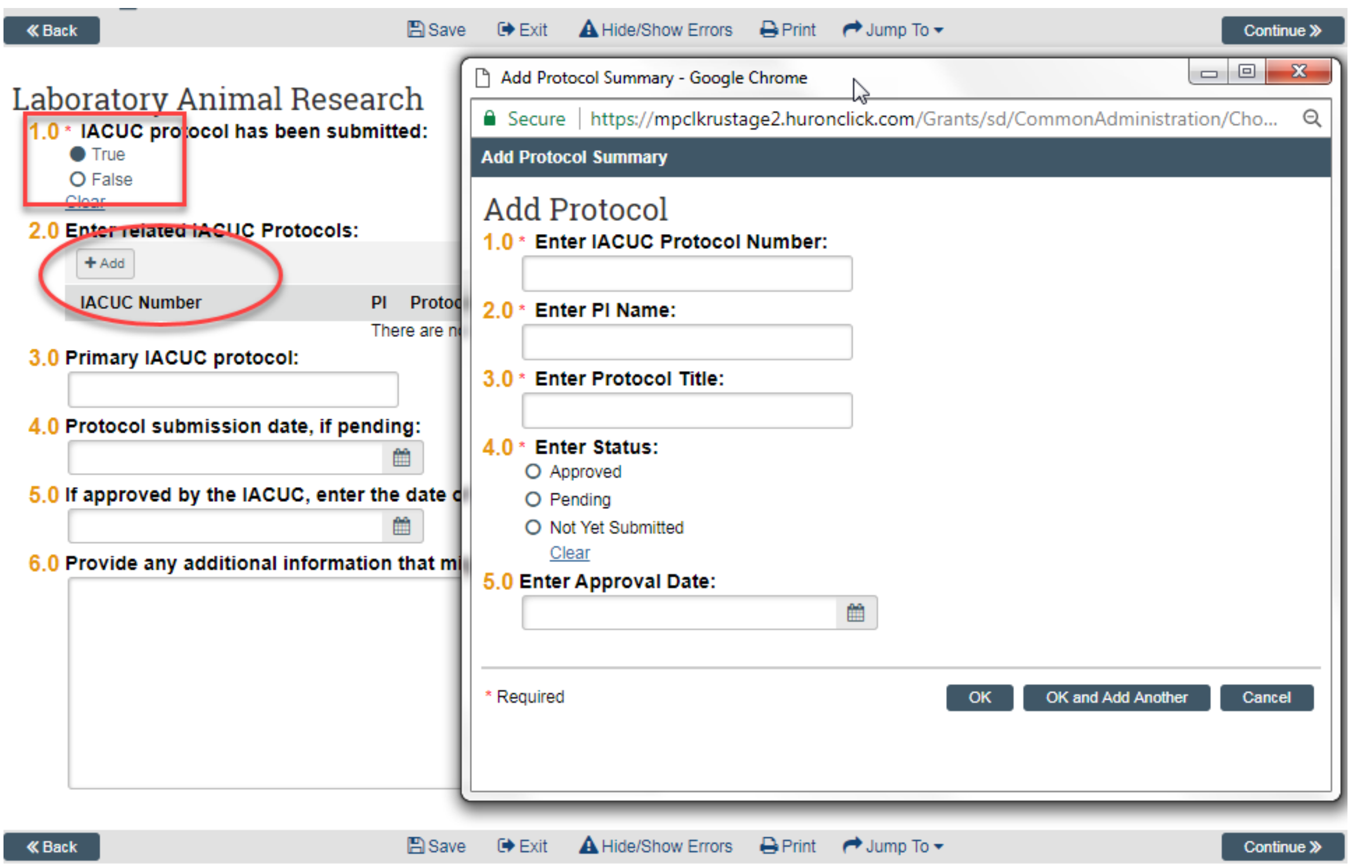
If you answered "Yes" to Animal Subjects on the Compliance Review Page, you will automatically see this page.

If you have already submitted your protocol, answer "True" in Question 1.0.

This will bring up questions 2.0 – 6.0. Click "+Add" to enter information about your submitted protocol(s). Click "OK" to save, or "OK and Add Another" to add more than one protocol.

Even if you have only one protocol, be sure to enter the protocol number in Question 3.0 to ensure mapping to the SF424.

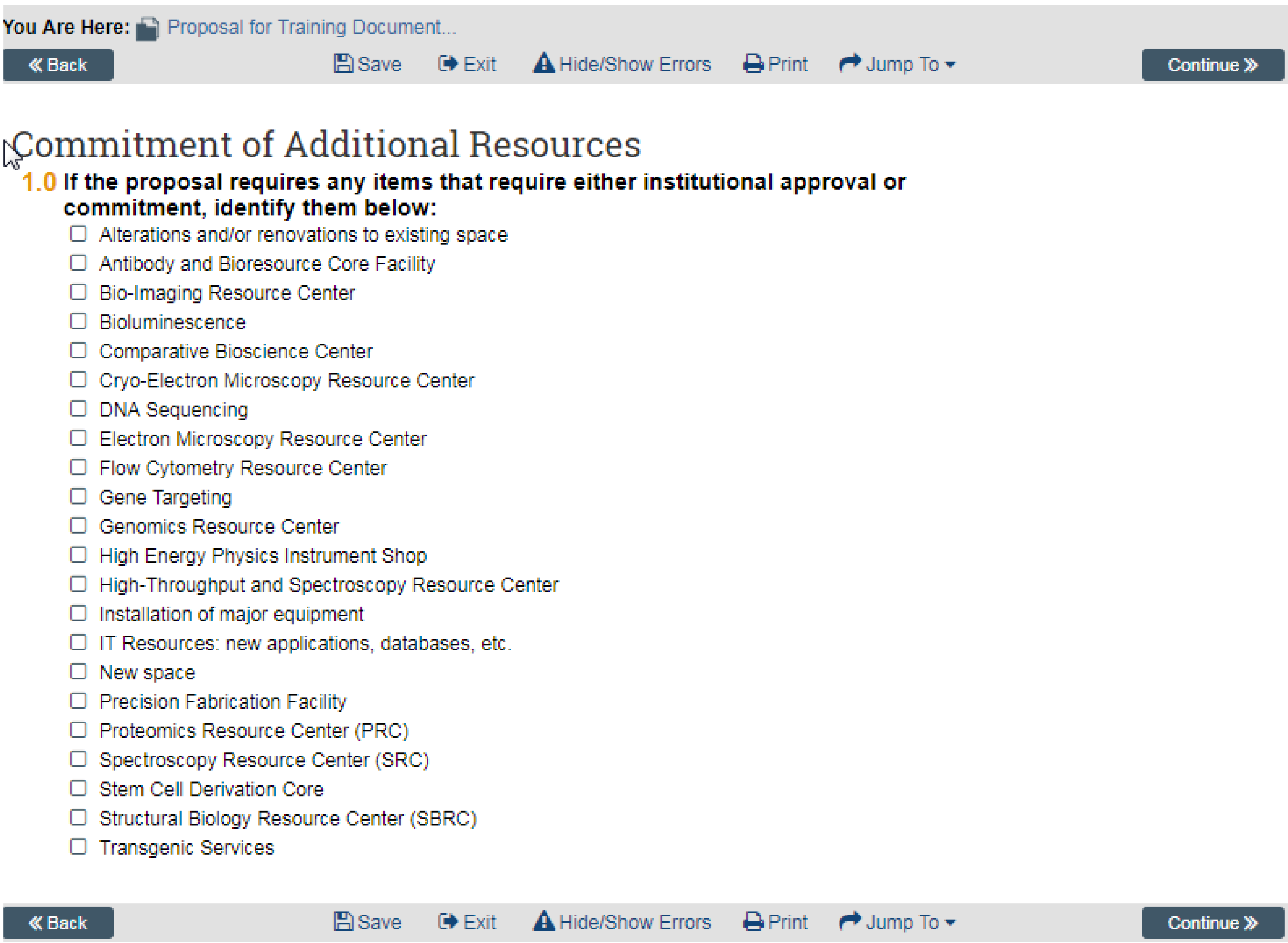
This information was previously collected on the paper Institutional Routing Form.



Step 7: Commitment of Additional Resources

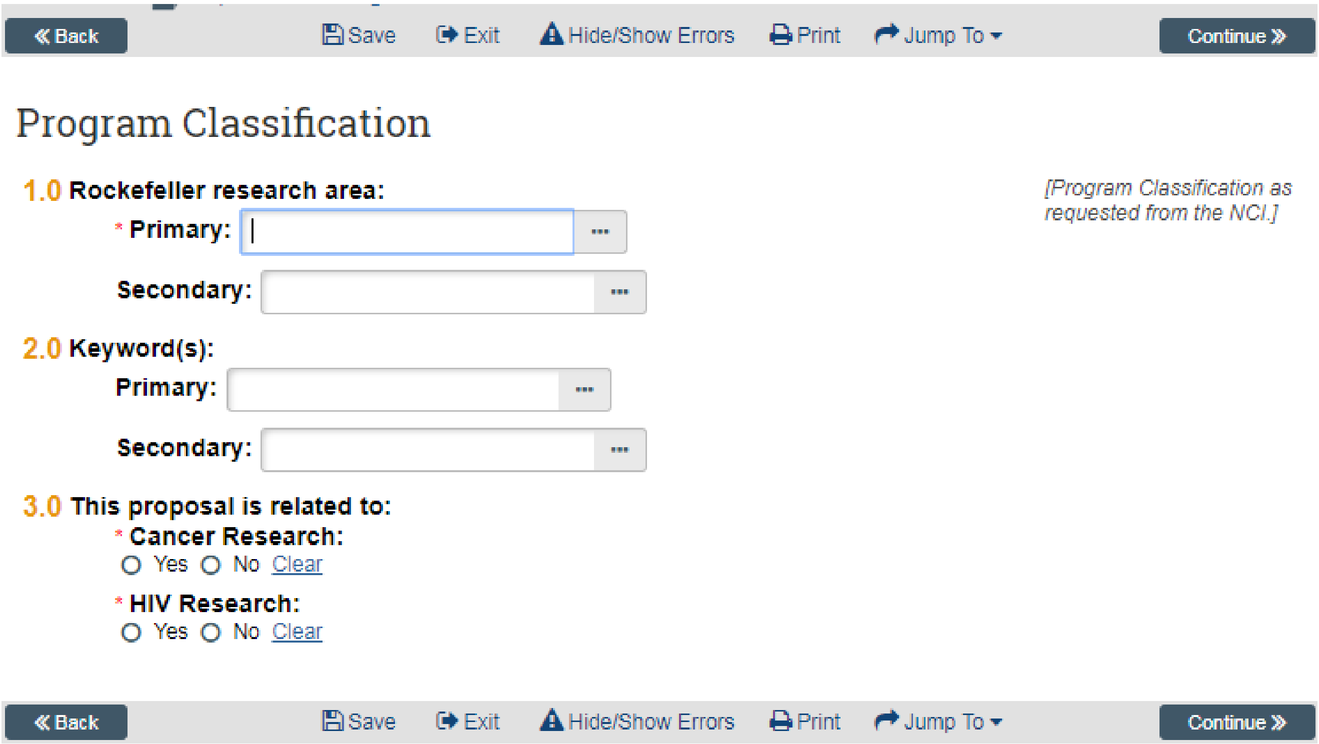
This page tracks the use of internal resources, such as core facilities, so those resources are able to anticipate and plan for workload and other needs. Check the box next to each resource which will be utilized.

This information was previously collected on the paper Institutional Routing Form.



Step 8: Program Classification

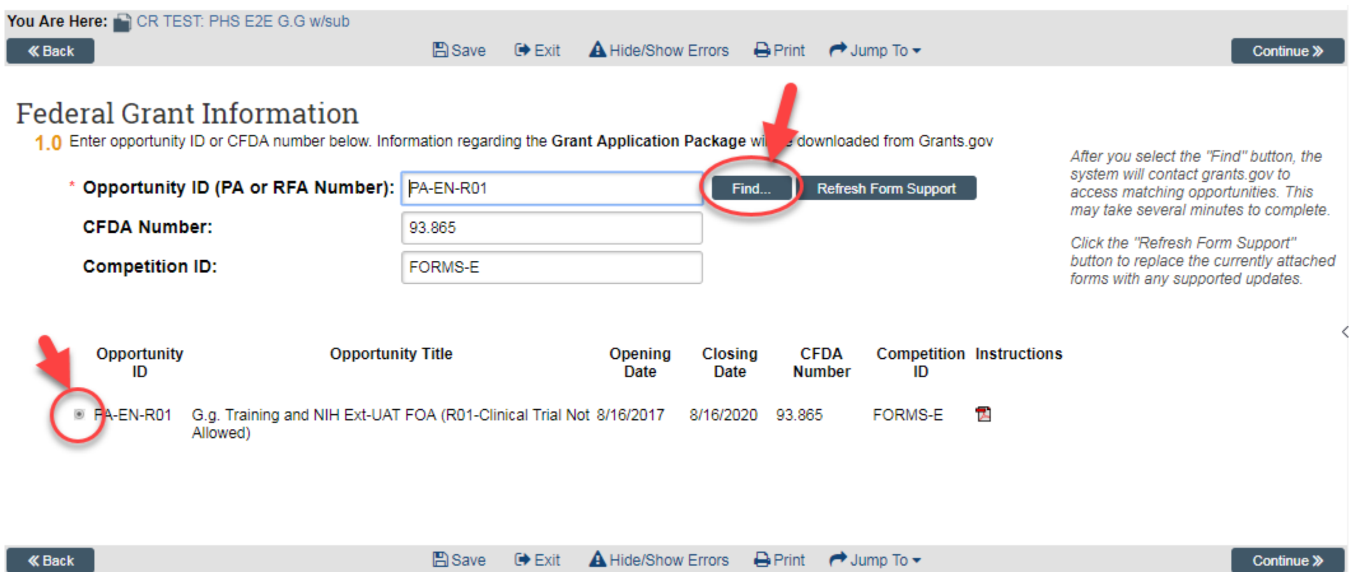
Data entered on this page will be utilized for internal Rockefeller University reporting purposes.



Field Name	*Field Description/Purpose*	*SF424 Mapping*
1.0 * Rockefeller research area	A response is required for the Primary research area. The choices are the list of Rockefeller research areas.	
2.0 Keyword(s)	You may select one or two keywords. This is optional.	
3.0 *This proposal is related to:	A response is required for each of these topic areas.	

Step 9: Federal Grant Information

- Enter value in Opportunity ID or CFDA Number field. It is important to enter any opportunity IDs in the correct manner, e.g., PA-07-070, not pa-07070.
- Select Find... . All related opportunities will appear.
- Select appropriate opportunity for the funding proposal.
- If opportunity cannot be found, an error message will appear, "No matching Funding Opportunity Announcement was found. Please verify that you have correctly entered the Opportunity ID or CFDA Number.
- Follow the directions and select ***Continue***.

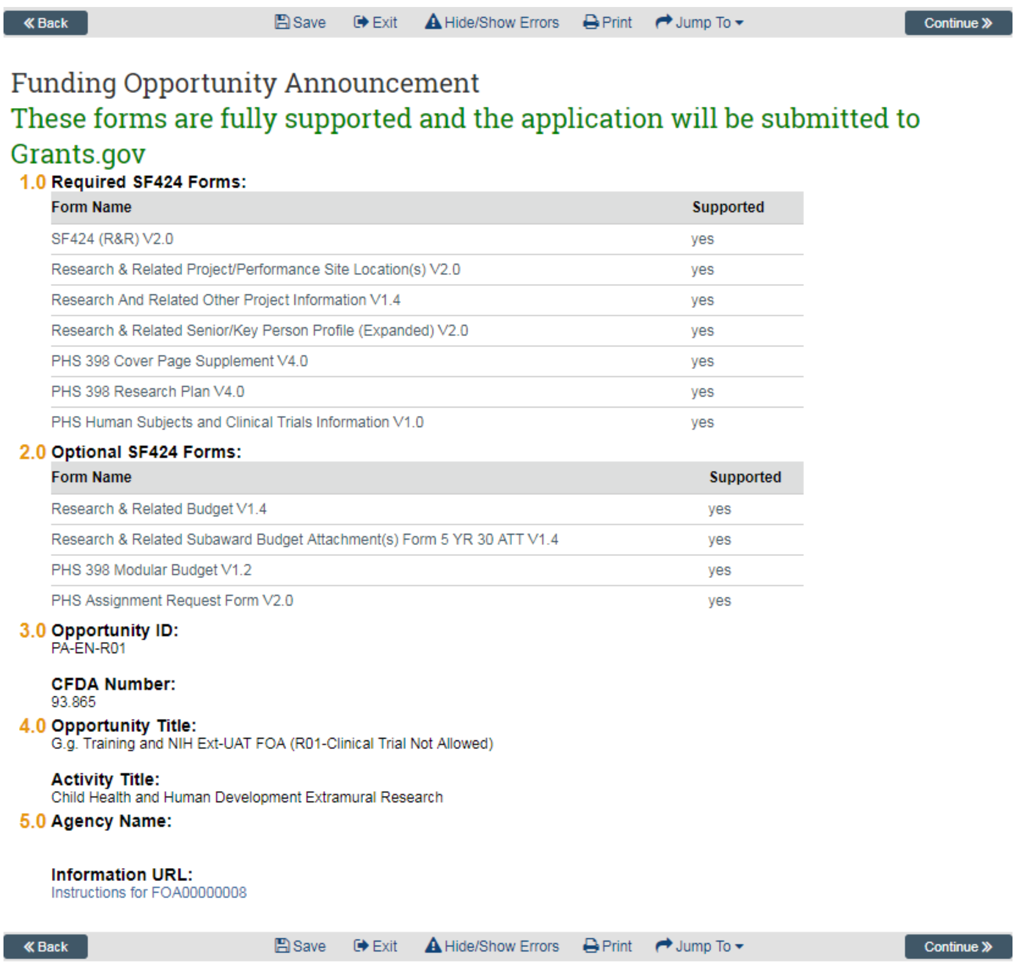


Field Name	***Field Description/Purpose***	***SF424 Mapping***
1.0 *Opportunity ID (PA or RFA Number)	Users must enter all dashes and spaces for opportunity to appear. (e.g. PA-07-070)	
CFDA Number		
Competition ID		

Step 10: Funding Opportunity Announcement

This page is read-only and displays information regarding the announcement selected in Page 1.03. One of two messages will appear under the page name:

1. These forms are fully supported and the application will be submitted to Grants.gov
   a. This message will appear if the opportunity **can be** submitted electronically via RAS-Grants
   b. Select *Continue*
2. All forms not supported by RAS-Grants. Opportunity may be submitted to Grants.gov electronically, but outside of RAS-Grants. Contact your SPO.
   a. This message will appear if the opportunity **cannot be** submitted electronically via RAS-Grants but can be submitted to Grants.gov by NIH Assist or Grants.gov WorkSpace.
   b. Users must contact their SPO for support in preparing the forms outside of RAS-Grants.



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Funding Opportunity Announcement

These forms are fully supported and the application will be submitted to Grants.gov

1.0 **Required SF424 Forms:**

Form Name	Supported
SF424 (R&R) V2.0	yes
Research & Related Project/Performance Site Location(s) V2.0	yes
Research And Related Other Project Information V1.4	yes
Research & Related Senior/Key Person Profile (Expanded) V2.0	yes
PHS 398 Cover Page Supplement V4.0	yes
PHS 398 Research Plan V4.0	yes
PHS Human Subjects and Clinical Trials Information V1.0	yes

2.0 **Optional SF424 Forms:**

Form Name	Supported
Research & Related Budget V1.4	yes
Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V1.4	yes
PHS 398 Modular Budget V1.2	yes
PHS Assignment Request Form V2.0	yes

3.0 **Opportunity ID:**
PA-EN-R01

CFDA Number:
93.865

4.0 **Opportunity Title:**
G.g. Training and NIH Ext-UAT FOA (R01-Clinical Trial Not Allowed)

Activity Title:
Child Health and Human Development Extramural Research

5.0 **Agency Name:**

Information URL:
Instructions for FOA00000008

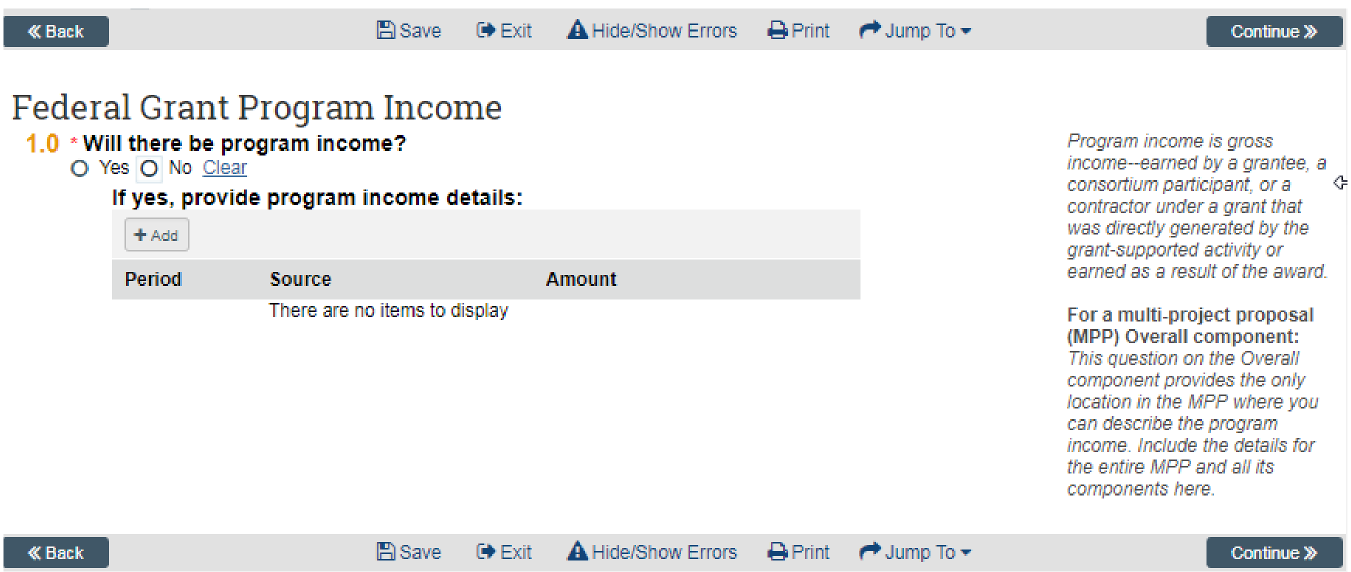
« Back | Save | Exit | Hide/Show Errors | Print | Jump To | Continue »

Field Name	*Field Description/Purpose*	*SF424 Mapping*
1.0 Required SF424 Forms	This field displays the selected opportunities required SF424 Forms and if they are supported by Click Commerce.	
2.0 Optional SF424 Forms	This field displays the selected opportunities optional SF424 Forms and if they are supported by Click Commerce.	

Field Name	Field Description/Purpose	SF424 Mapping
3.0 Opportunity ID	Displays selected opportunity ID.	
CFDA Number	Displays selected opportunities CFDA number.	R&R, question 10
4.0 Opportunity Title	Displays selected opportunities title.	R&R, question 10
5.0 Agency Name	Displays selected opportunity's agency name.	R&R, question 9

Step 11: Federal Grant Program Income

This page is required to track any anticipated program income, for both the application and planning purposes.

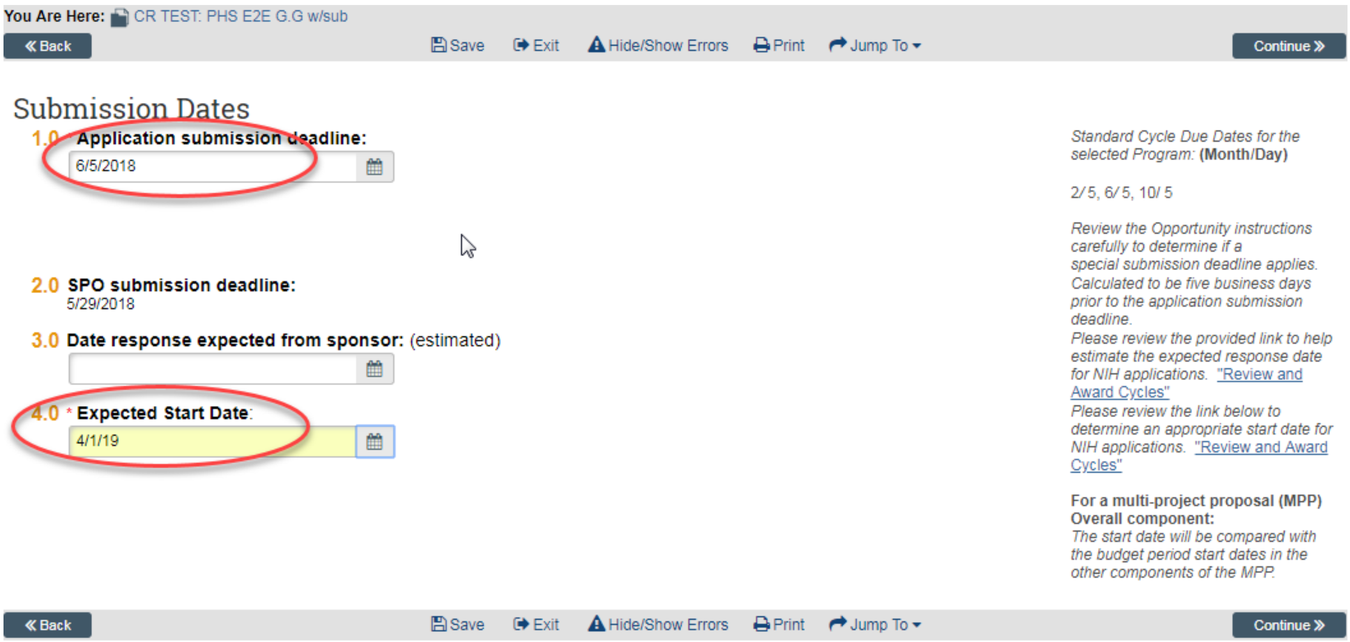


Field Name	Field Description/Purpose	SF424 Mapping
1.0 * Will there be program income?	This field displays the selected answer on the SF424 Forms.	
If yes, provide program income details:	Add an attachment which explains the type, source, and amount of program income anticipated. Example: "We will charge conference registrants $200 each to cover the costs of facility rental, A/V, lunch, and course materials."	

Step 12: Submission Dates

This page collects information regarding the date the submission is due to the Sponsor and the expected response and start dates.

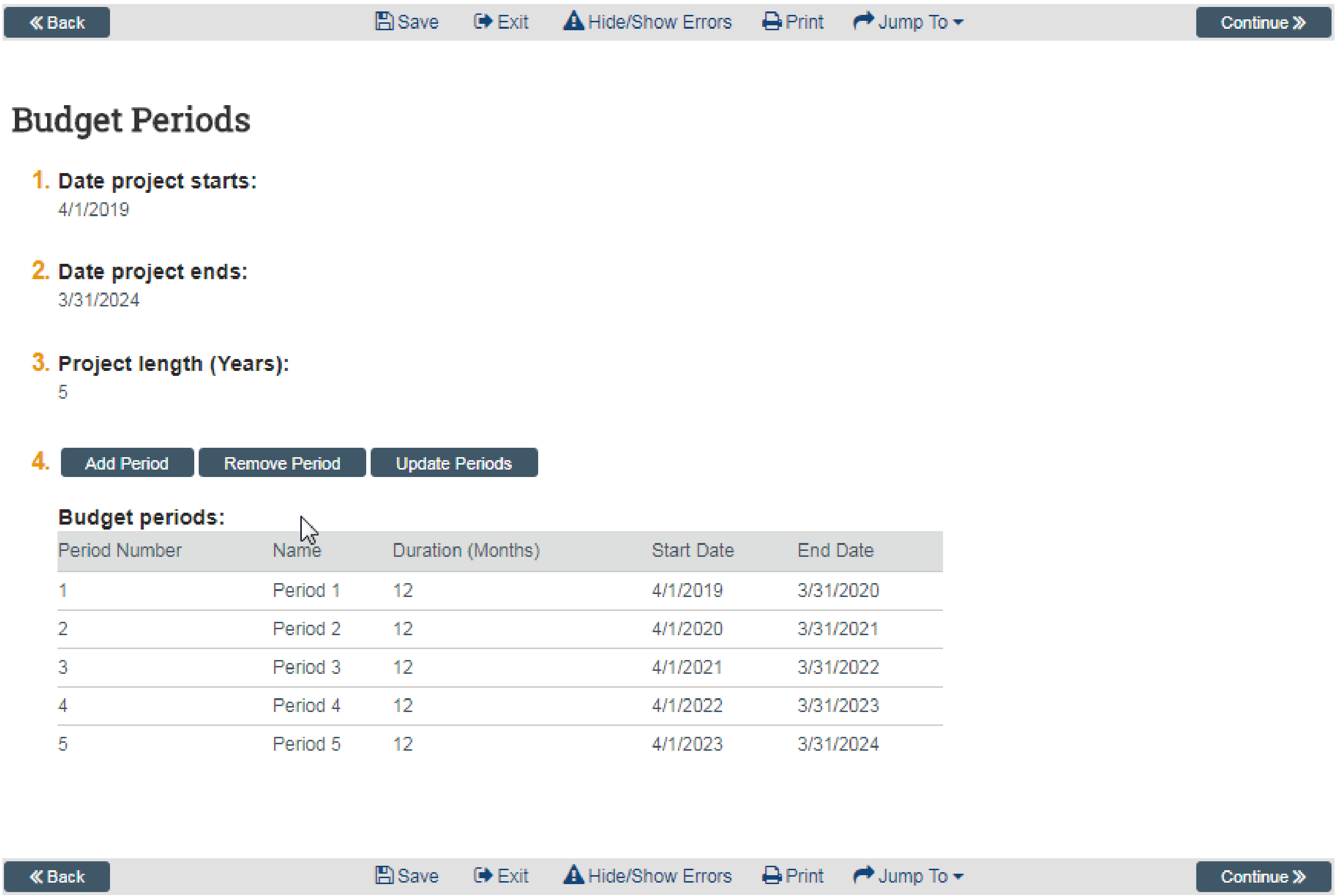
RAS-Grants may default an upcoming standard due date. You can overwrite this.



Field Name	*Field Description/Purpose*	*SF424 Mapping*
1.0 * Application submission deadline:	Required. Enter the date the proposal is due to the sponsor or the prime institution if an incoming subaward.	Cover page Budget pages
2.0 SPO submission deadline:	The system will calculate the date by which you must have all materials to your SPO for review.	
3.0 Date response expected from sponsor (estimated)	The date you anticipate you will receive feedback on your application. Can be a rough estimate. This will enable OSPA to assist with post-submission reminders such as JIT and post-submission materials.	
4.0 * Expected start date:	The date you expect the project to begin, if awarded.	Cover page Budget pages

Step 13: Budget Periods

Based on the information you entered on the previous page, and the type of proposal being submitted, this page defaults some information for the budget period dates. You can overwrite these.



« Back | Save | Exit | Hide/Show Errors | Print | Jump To | Continue »

Budget Periods

1. **Date project starts:**
   4/1/2019

2. **Date project ends:**
   3/31/2024

3. **Project length (Years):**
   5

4. Add Period | Remove Period | Update Periods

Budget periods:

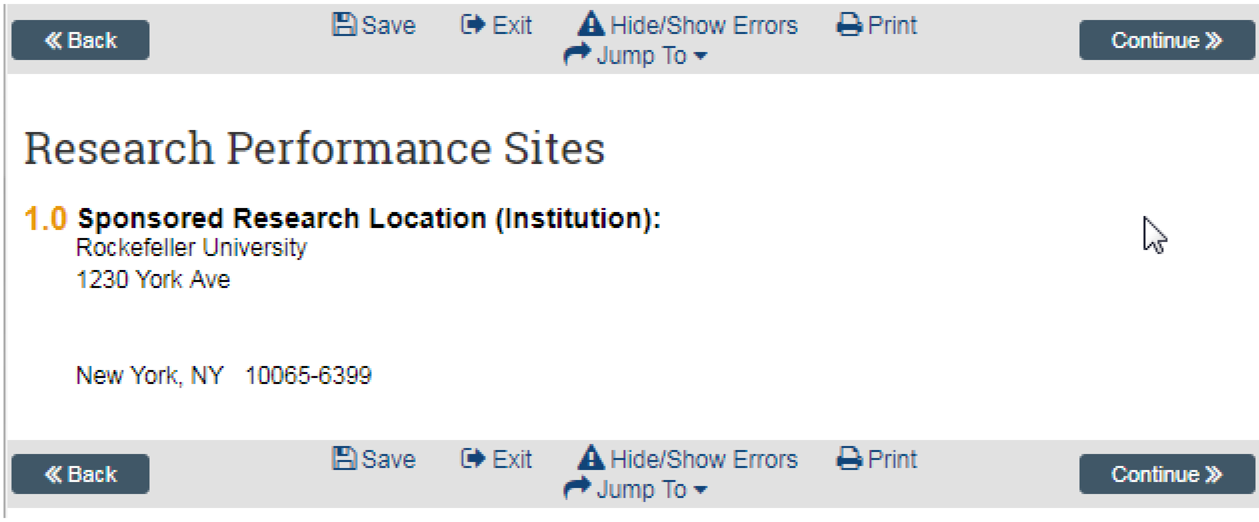
Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12	4/1/2019	3/31/2020
2	Period 2	12	4/1/2020	3/31/2021
3	Period 3	12	4/1/2021	3/31/2022
4	Period 4	12	4/1/2022	3/31/2023
5	Period 5	12	4/1/2023	3/31/2024

« Back | Save | Exit | Hide/Show Errors | Print | Jump To | Continue »

Field Name	***Field Description/Purpose***	***SF424 Mapping***
1.0 Date project starts:	Defaults from prior page. If incorrect, return to previous page, correct, and continue.	
2.0 Date project ends:	Defaults from grid below. Can be changed in #4.	
3.0 Project length (Years):	Defaults length in years depending on type of proposal being submitted. Can be changed in #4.	
4.0 Budget periods:	Defaults information based on type of proposal being submitted and information from prior page. You can add, remove, or change the length of the budget periods using the appropriate buttons. Click Save to see changes made, or hit Continue.	

Step 14: Research Performance Sites

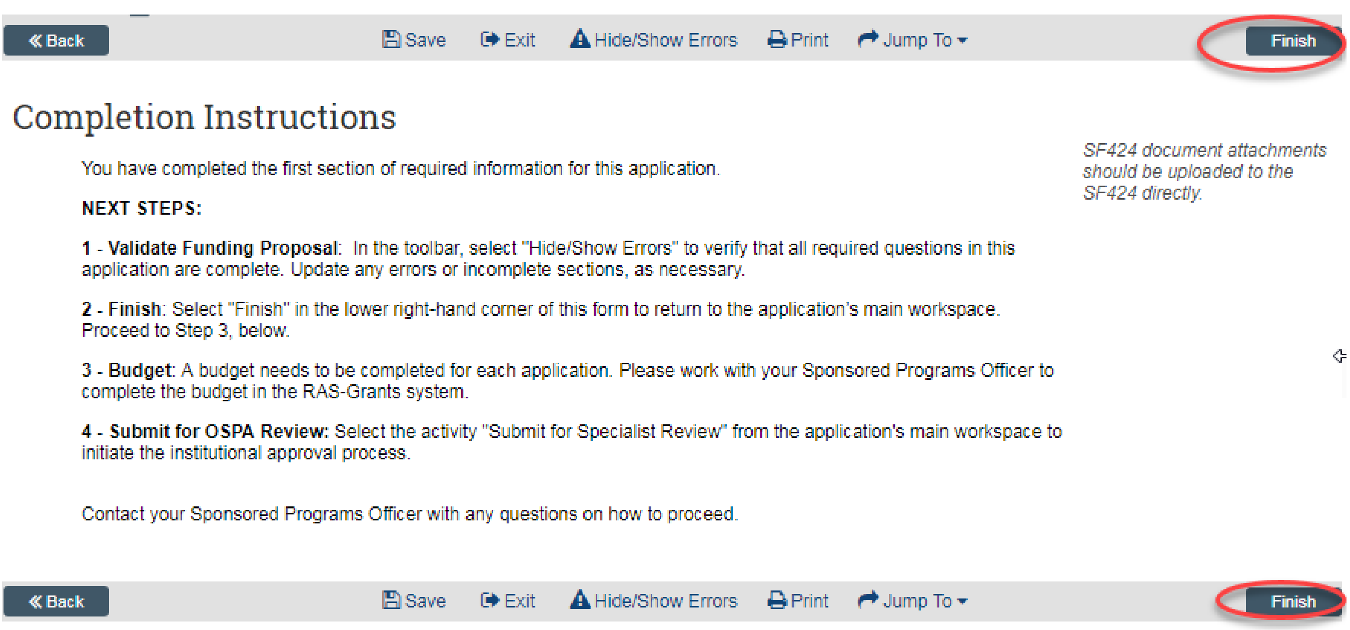
This page defaults in our institutional address. Other sites, if any, will be added later.



Step 15: Completion Instructions

You have reached the end of the shell of your proposal. If you have not already done so, validate the SmartForm by clicking the Hide/Show Errors menu option, provide budget draft details to your SPO, and forward this form to OSPA to begin review.

Click “Finish” to return to the Proposal Workspace.



C. Additional Activities

Step 1: PI Certification

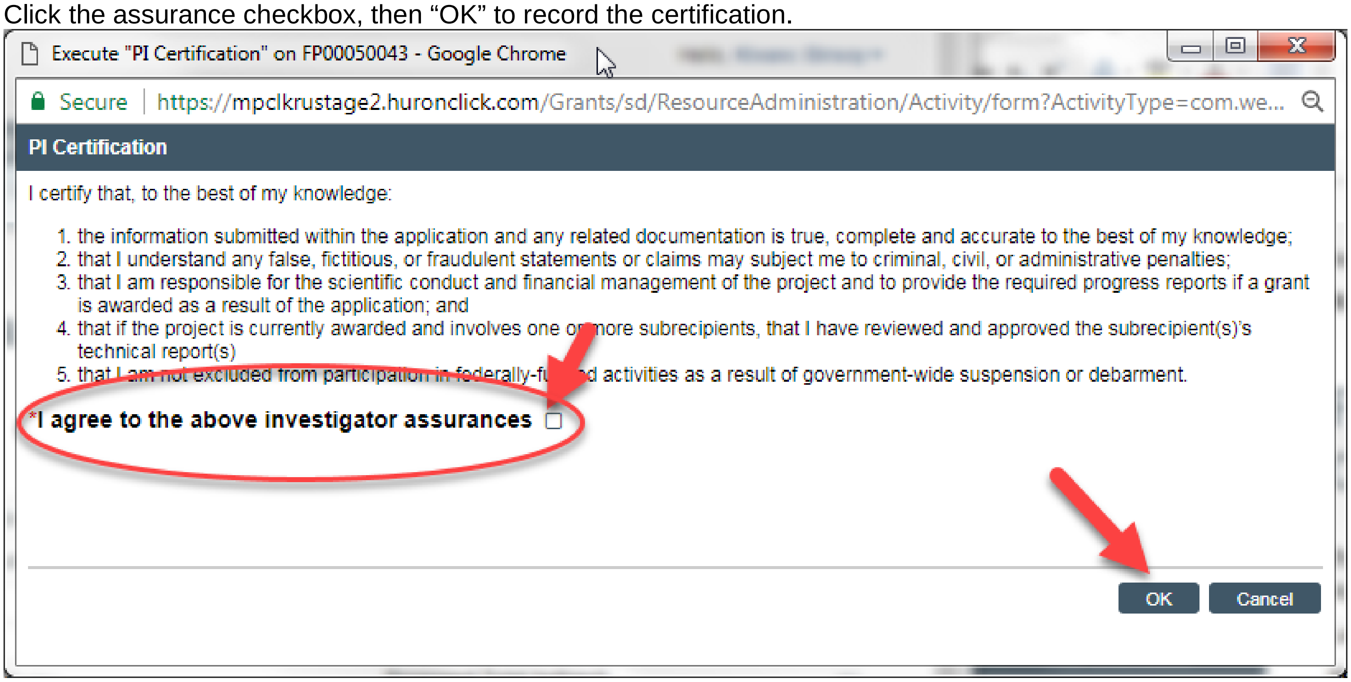
This activity must be completed by any Rockefeller personnel with the role PD/PI on this proposal. This can be completed at any time during the proposal preparation process.

This replaces the signature on the previous paper Institutional Routing Form.

This activity can be completed only by the PD/PI(s) as it is a legal certification.

In the Funding Proposal workspace, click the PI Certification activity. The Certification pop-up opens.

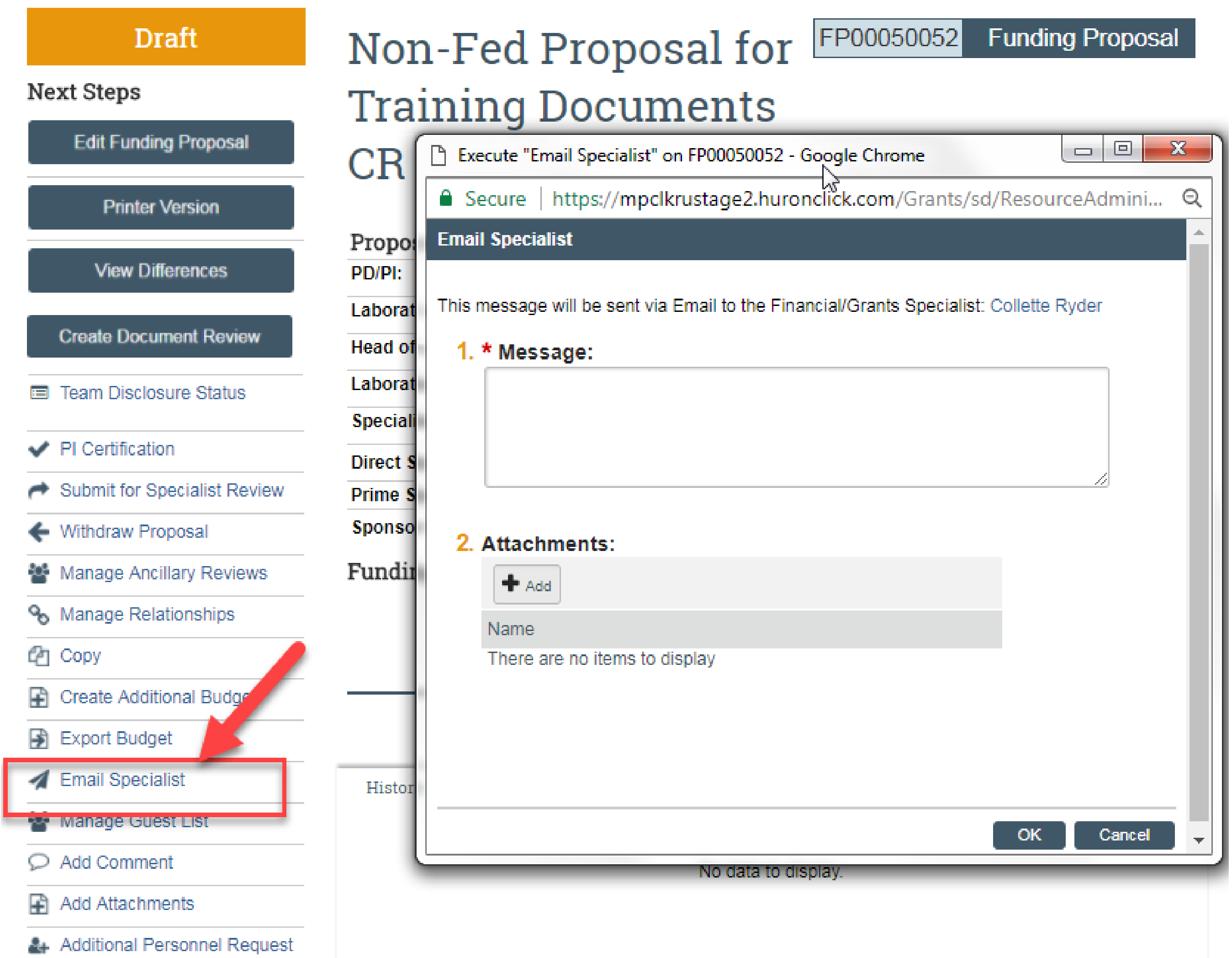
Click the assurance checkbox, then "OK" to record the certification.



Step 2: Email your SPO

If you need to contact your SPO, it is **strongly recommended** that you use the "Email Specialist" activity within the Funding Proposal workspace. This will keep your message in the history of the proposal so it can be referred to later, if needed. You can also use this activity to send your SPO your proposed budget details for drafting.

In the Workspace, Click the activity "Email Specialist." This will bring up a pop-up window where you can enter your message and include any needed attachments. Click "OK" to send the message to your specialist.



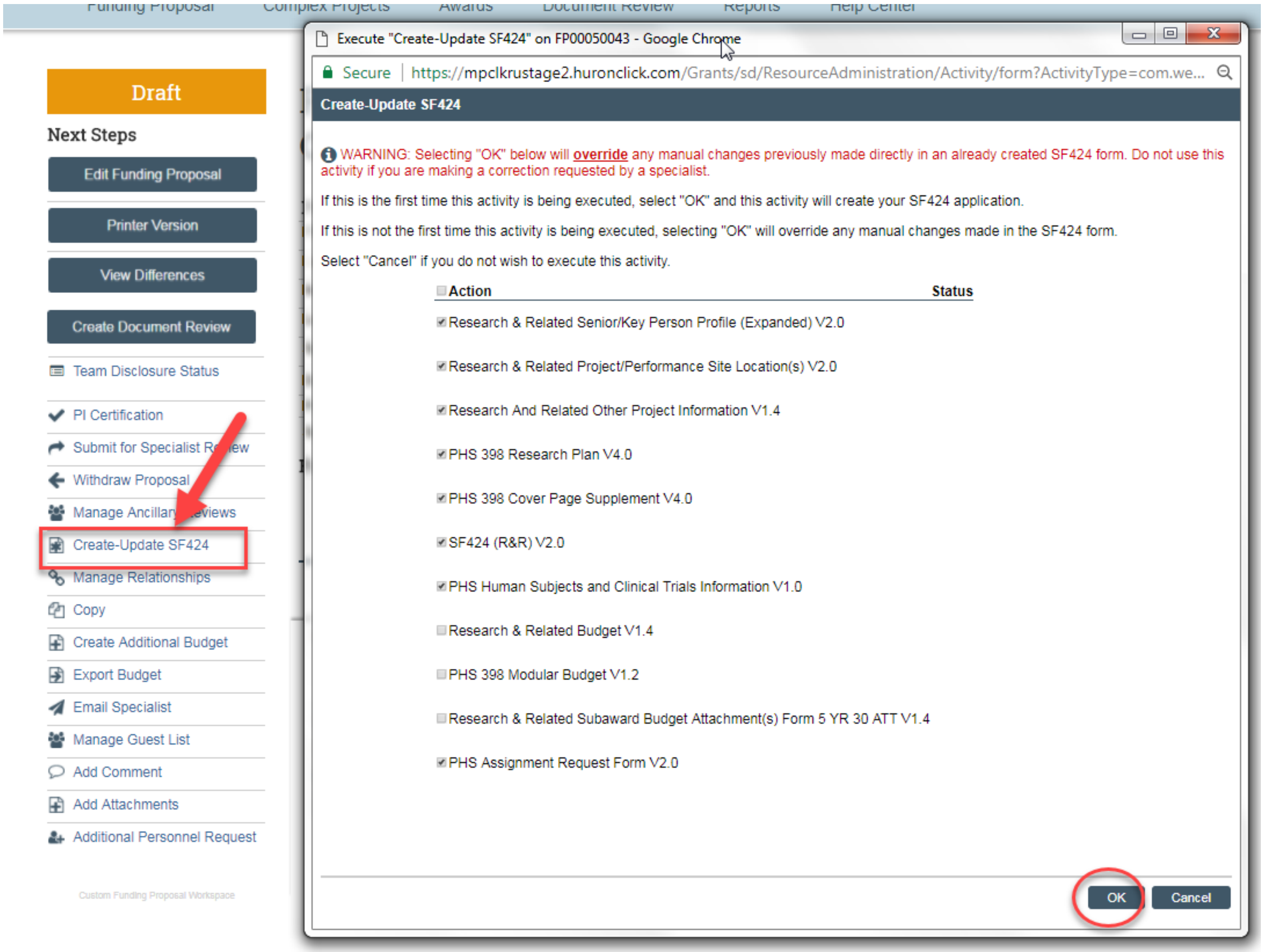
Remainder of this page intentionally left blank.

D. Creating and Editing the SF424 Application

Step 1A: Create-Update SF424

1. When you are ready to begin uploading your attachments to the SF424 application, select the Create-Update SF424 activity in the Funding Proposal workspace. Be sure to select any needed Optional forms such as the PHS Human Subjects form and PHS Assignment Request Form.

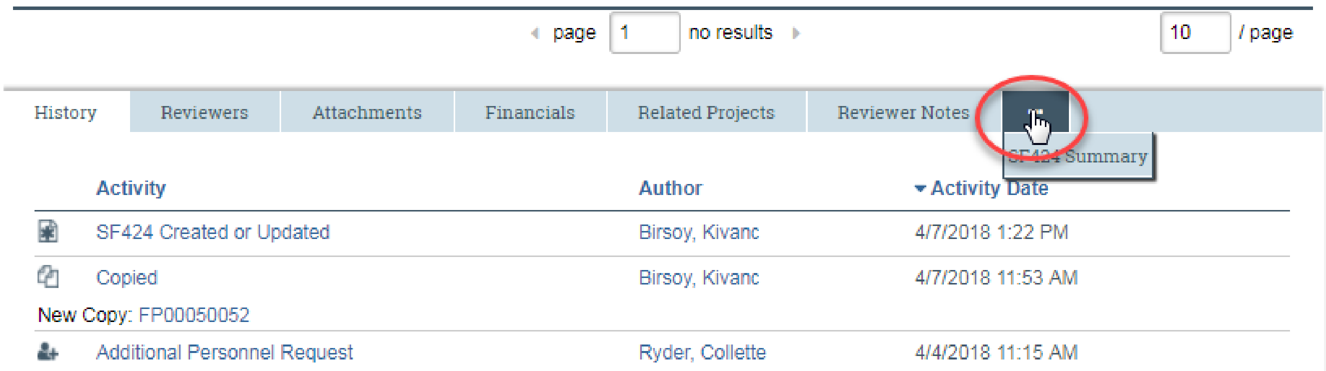
   Pay close attention to the warnings. Click "OK" to continue. The window will disappear when the task is completed.



The rest of this page intentionally left blank.

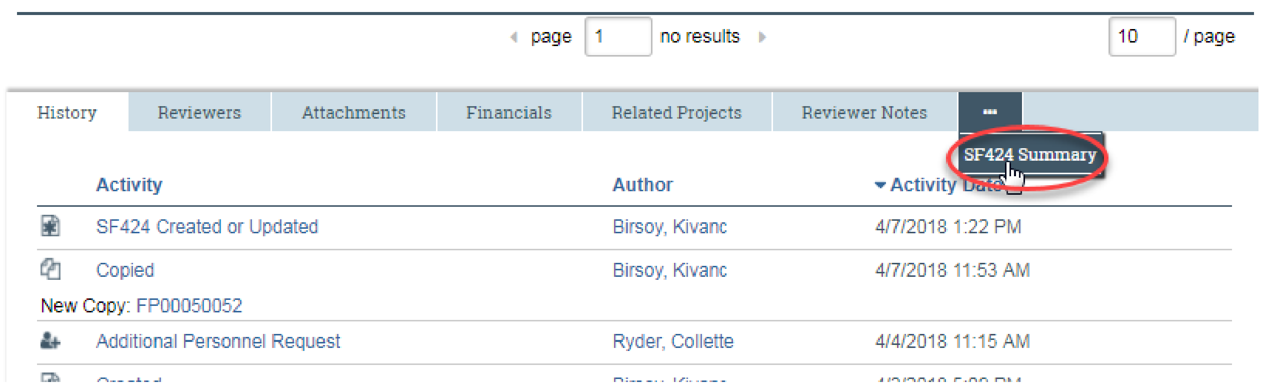
Step 1B: Navigate to the 424 Workspace

To navigate to the 424 workspace, click the SF424 Summary tab in the workspace. If it does not appear, click the Ellipsis tab first to reveal the SF424 Summary tab.



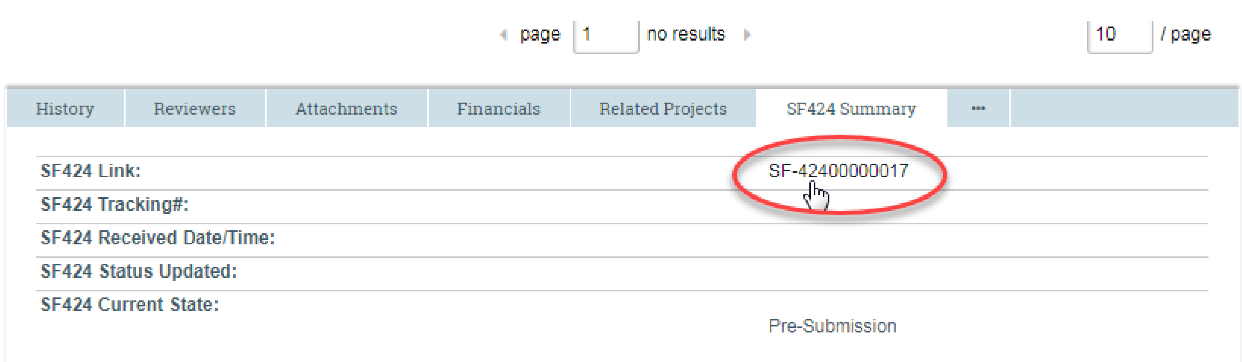
Step 1C: 424 Summary Link

Click the SF424 Summary link:



Step 1D: Access 424 Workspace

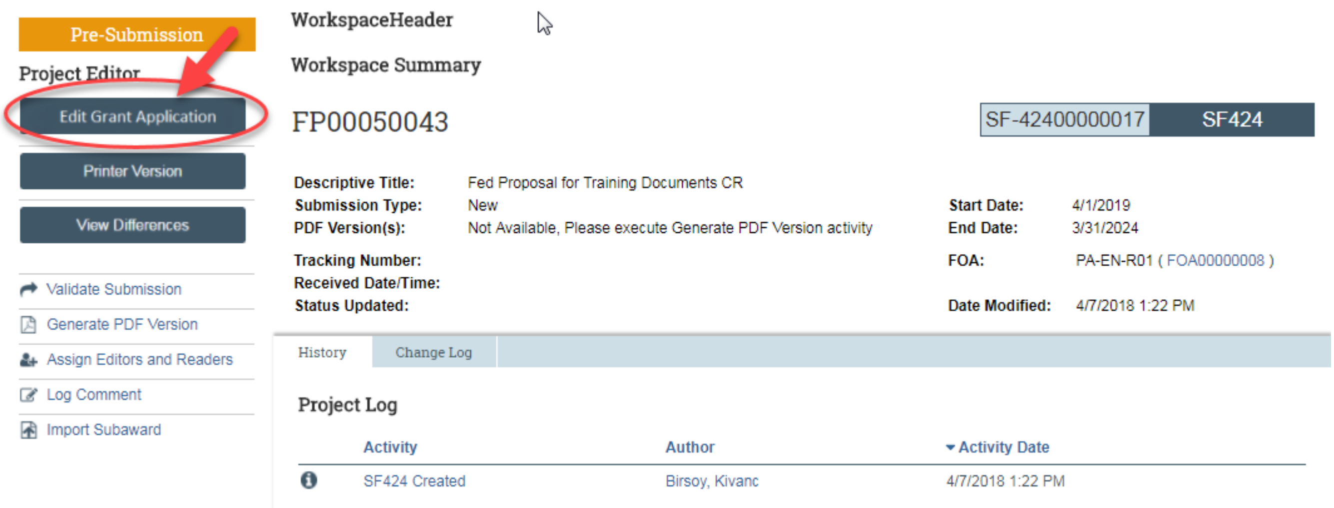
This will open up the SF424 tab. Click on the link to open the SF424 workspace. Note the status of the 424 is in “Pre-Submission.”



Step 2: Editing the SF424 Application

Once you are in the SF424 workspace, you will be able to do several actions. You can Edit the application forms, assign editors, log comments, etc.

To edit the application, click the Edit Grant Application link in the left navigation menu.



Use the Jump To and/or Continue buttons to move through the application and add your attachments.

Information here will be fed from your answers on the Funding Proposal SmartForm. NOTE: There are more questions on the 424 form pages than in the SmartForm, so some questions may be blank. If you need to change an answer previously answered on the SmartForm, it is recommended that you exit, navigate to the Funding Proposal SmartForm, and make corrections so the records match each other.

If your SPO has not yet completed your budget, it will not appear here yet. Be sure to work with your SPO to complete the budget as early in the process as possible.

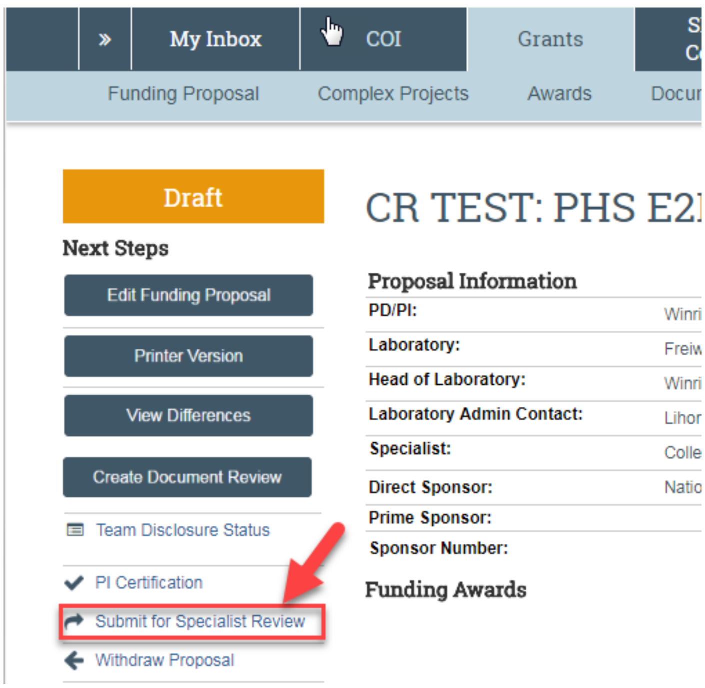
The rest of this page intentionally left blank.

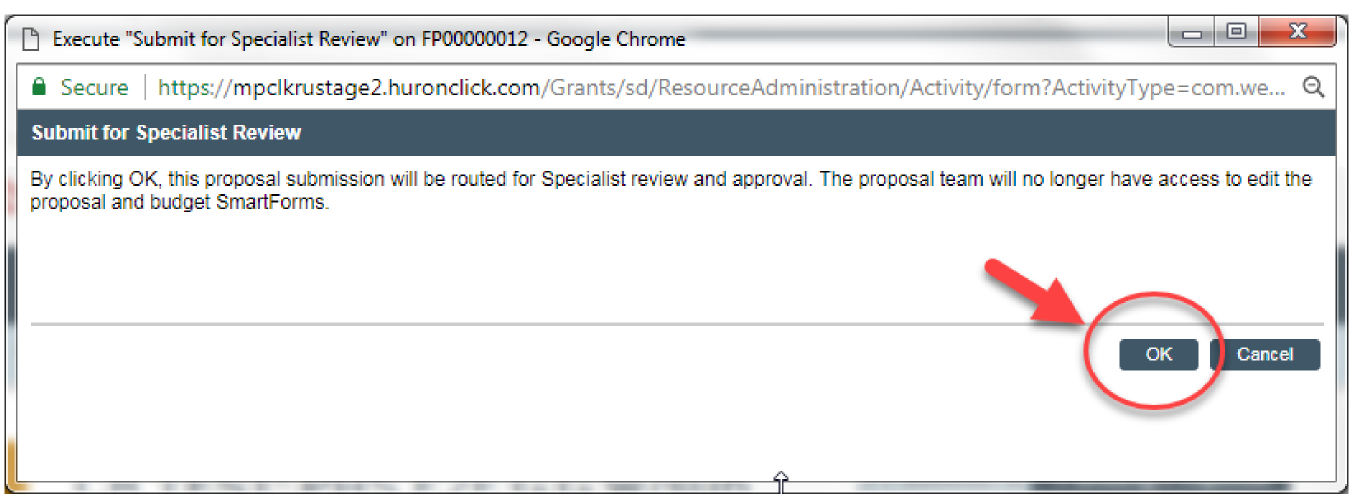
E. Application Review and Proposal States

1: Submit for Specialist Review

When you are ready for your SPO to begin reviewing your proposal, select the “Submit for Specialist Review” activity in the workspace. This will open the activity, and run preliminary validations to ensure there are no unanswered questions.

Click “OK” to forward to your SPO. Your proposal will be locked from editing. Your SPO can send it back to you for further edits as needed.





1A: Specialist Review State

In the *Specialist Review* state, if the SPO finds that changes are needed they can:

- Edit the Funding Proposal SmartForm; or
- Execute the *Specialist Requests Changes* activity.

The SPO will also verify on the *Team Disclosure Status* activity of the Funding Proposal Workspace that all certifications have been completed. If not completed, they can:

- Execute the *Email Proposal Team* activity; to inform the PI and AC what is still outstanding.

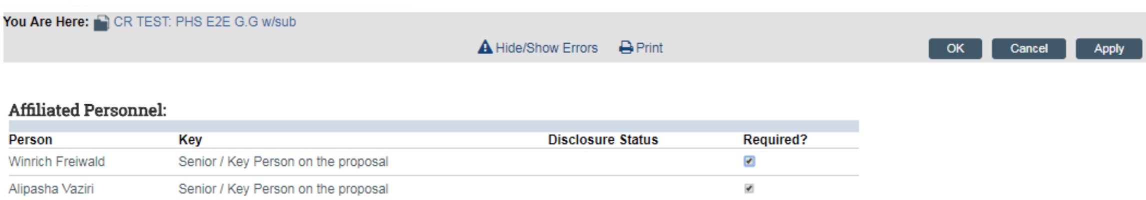
The PD/PI(s) must also complete the *PI Final Certification* activity before a Funding Proposal can be forwarded to the AOR for approval.

Other Funding Proposal Submission Activities

You will note that there are additional activities in the Funding Proposal workspace. These can help you document additional information or ask questions of your SPO during the process.

2: Team Disclosure Status

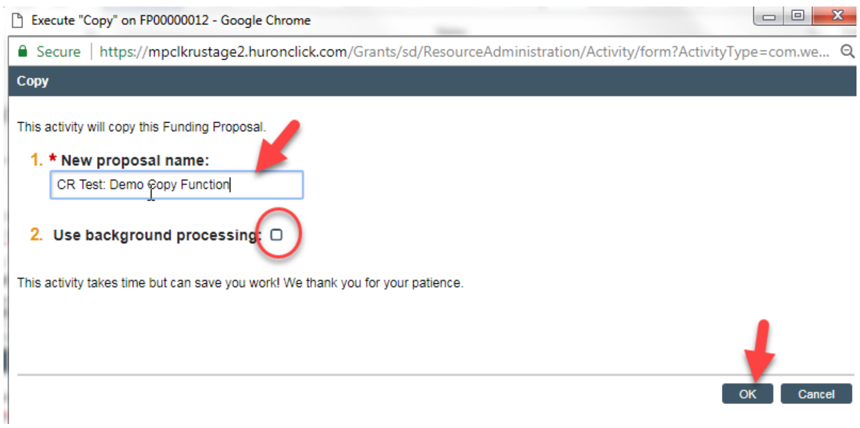
Institutional policy requires that all personnel named to applications to all PHS sponsors, and sponsors which follow PHS rules, complete and annual Financial Interest disclosure. Because RAS-Grants and RAS-COI are linked, you and your SPO can view the status of disclosures by clicking this activity.

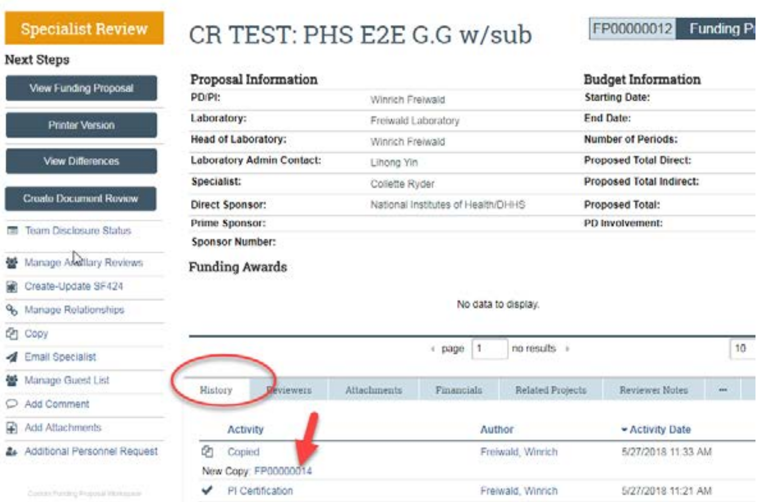


3: Copy

If you want to submit another proposal which is extremely similar to this proposal, you have the ability to copy the Funding Proposal Smartform to a new proposal.

Be sure to update your title. We recommend using the "background processing" function to copy more data. Click "OK" to proceed and wait until it closes. You can access the new Funding Proposal by clicking on the link in the History tab of the original workspace.

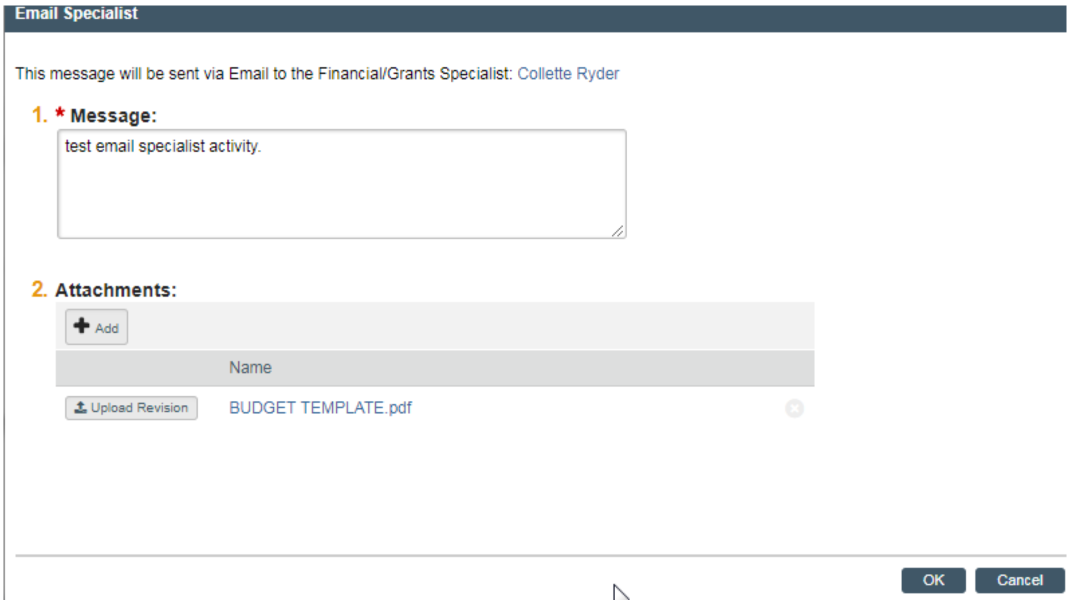




4: Email Specialist

If you need to contact your SPO, it is **strongly recommended** that you use the "Email Specialist" activity within the Funding Proposal workspace, rather than through Outlook. This will keep your message in the history of the proposal so it can be referred to later, if needed. Use this activity to send your SPO your proposed budget details for drafting. See the OSPA website at http://www2.rockefeller.edu/sr-pd/index.php?page=osp-modgrants_cgi to access budget templates.

In the Workspace, Click the activity "Email Specialist." This will bring up a pop-up window where you can enter your message and include any needed attachments. Click "OK" to send the message to your specialist.



5: Add Comment

Execute the Add Comment activity to log a general comment in the history. There will be no notifications sent, and this will be visible to all proposal team members.