RAS-Grants
SF424 Funding Proposal
User Guide
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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.
INITIATE

DRAFT

SPO Review

AOR Review

Is Proposal 424 S2S?

Yes

Pending 424 Submission

Image Status

ERRORS?

No

Submit to Sponsor

Pending Sponsor Review
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.

1.0 Title of proposal:

Program Director / Principal Investigator / Project Lead / Fellow:
Knack Brody  [ ] Assistant Professor

If a fellowship, please identify the Mentor:

For NIH, maximum 200 characters allowed.

For single proposals:
Upload the following RCP documents pertaining to the PD/Fellows:
- 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/Fellows.

* Notes: Other Support: Not usually required. Please refer to the Funding Announcement to see if this is required. Staff chosen for this question will have edit access rights to the proposal, if they are study staff.

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 that 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 TDB 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

Proposal Access Rights Definition:

6.0 Select team members that have EDIT rights:

Last Name  First Name
There are no items to display

7.0 Select team members that have READ only rights:

Last Name  First Name
There are no items to display
<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 *Enter the proposal/project title</td>
<td>Required. A character limit will be enforced only if the application is Federal. For example, NIH limits this field to 200 characters.</td>
<td>R&amp;R, question 11</td>
</tr>
<tr>
<td>2.0 *Select the principal investigator</td>
<td>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.”</td>
<td>PHS398 cover Page Supplement, question 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Research &amp; Related Senior/Key Person Profile, Profile - Project Director/PI, First &amp; Last Name</td>
</tr>
<tr>
<td>3.0 Administrative Contact</td>
<td>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.</td>
<td>Sr./Key Person Profile</td>
</tr>
<tr>
<td>4.0 * Select Direct Sponsor:</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>If Sponsor does not appear in list, enter name here:</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>If flow through, select Prime Sponsor</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>5.0 * Will this proposal include outgoing subawards</td>
<td>Required. The answer to this question impacts branching. See next page for instructions on adding subawardees.</td>
<td></td>
</tr>
<tr>
<td>Field Name</td>
<td>Field Description/Purpose</td>
<td>SF424 Mapping</td>
</tr>
<tr>
<td>----------------------------</td>
<td>-----------------------------------------------------------------------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>to another institution?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.0 Select team members that have EDIT rights:</td>
<td>This allows the PI or AC to add additional team members who will assist in the preparation of the proposal. Click on the 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.</td>
<td></td>
</tr>
<tr>
<td>7.0 Select team members that have READ only rights:</td>
<td>This allows the PI or AC to add additional team members who will be able to read the proposal. Click on the 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.</td>
<td></td>
</tr>
</tbody>
</table>

**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. 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** | |
1.0 Staff member: | Click on the **Select...** button to choose the desired Rockefeller R&R Senior/Key Person Profile, Senior/Key Person |
2. * Project role: | |
3. Attach a biographical sketch: | |
4. Attach current and pending support documentation: | |
5. * This individual is a: | |
**add FP_AdditionalPersonnel** | |

Step 3A: Adding Rockefeller University Staff
<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>*<em>2.0 <em>Project Role</em></em></td>
<td>Required. Options:</td>
<td>R&amp;R Senior/Key Person Profile, Senior/Key Person</td>
</tr>
<tr>
<td></td>
<td>If “Other (Specify)” selected, enter the role below:</td>
<td>R&amp;R Senior/Key Person Profile, Senior/Key Person</td>
</tr>
<tr>
<td></td>
<td>Enter a biosketch for any Sr/Key or OSC Rockefeller personnel here, or it can be attached directly to the 424 package.</td>
<td>R&amp;R Senior/Key Person Profile, Senior/Key Person</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td>R&amp;R Senior/Key Person Profile, Senior/Key Person</td>
</tr>
<tr>
<td>*<em>5.0 <em>This individual is a:</em></em></td>
<td>Required. Options:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Key Personnel</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other Significant Contributor</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other Personnel (use this for non-key personnel)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Click OK to add person selected.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Click OK and Add Another to add person and add another.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Click Cancel to exit without saving.</td>
<td></td>
</tr>
</tbody>
</table>
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.

Add Non-Institutional Proposal Staff

1. * Select Non-Institutional Staff member:

   If staff member does not appear in list, enter name here and notify OSPA.

2. * Project role:

   If "Other (Specify)" selected, enter the role below:

3. Attach a biographical sketch:

   [None] [Upload]

4. Attach current and pending support documentation:

   [None] [Upload]

5. * This individual is a:

   - Senior / Key Person on the proposal
   - Other Significant Contributor on the proposal
   - Other Personnel

   [Clear]

* Required

[OK] [OK and Another] [Cancel]

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

Add Other Non-Institutional Proposal Staff

1. Staff Member Name
   Prefix:

   * First Name:
     Gudy

   Middle Name:

   * Last Name:
     Snowlake

   Suffix:

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

   Fax:

   * Email:
     nizzard@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:
suzy@snowflake

6. Degree:
Degree Type:

Degree Year:

Click "OK" to send email to CSPA.
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.

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

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 * Select the Submitting Department</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>2.0 Sponsored Research Location (Institution):</td>
<td>This defaults our institutional information.</td>
<td></td>
</tr>
<tr>
<td>3.0 If this project will be administered by an Institute, select it below:</td>
<td>This question is for internal use by OSPA, Development, and Tech Transfer. PIs and ACs can skip.</td>
<td></td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 * For each item listed below, indicate if it is involved in this project:</td>
<td>A response is required for each topic area.</td>
<td></td>
</tr>
<tr>
<td>* Human Subjects:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Animal Subjects:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Recombinant DNA:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Biohazardous Agents Level 3 (BL3):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Radioactive Materials:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Custom Antibodies:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Human Pluripotent Stem Cells:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Human Embryos:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.0 Research is designed to or may result in:</td>
<td>A response is required for each topic area.</td>
<td></td>
</tr>
<tr>
<td>* Development of Model Organisms:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Generation of Human Gametes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Generation of large-scale Human Genomic Data:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Generation of large-scale Non-Human Genomic Data:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Dual Use Research of Concern (DURC):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.0 * Does this project involve activities outside the United States or partnerships with international collaborators?</td>
<td>A response is required.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>If any work will be performed outside the U.S., or if you will collaborate with anyone outside the U.S., answer “Yes.”</td>
<td></td>
</tr>
</tbody>
</table>
**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.

![Image of Human Subjects Research]

![Image of Add Protocol Summary]

* Required
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.

Commitment of Additional Resources

1.0 If the proposal requires any items that require either institutional approval or commitment, identify them below:

- Alterations and/or renovations to existing space
- Antibody and Bioresource Core Facility
- Bio-Imaging Resource Center
- Bioluminescence
- Comparative Bioscience Center
- Cryo-Electron Microscopy Resource Center
- DNA Sequencing
- Electron Microscopy Resource Center
- Flow Cytometry Resource Center
- Gene Targeting
- Genomics Resource Center
- High Energy Physics Instrument Shop
- High-Throughput and Spectroscopy Resource Center
- Installation of major equipment
- IT Resources: new applications, databases, etc.
- New space
- Precision Fabrication Facility
- Proteomics Resource Center (PRC)
- Spectroscopy Resource Center (SRC)
- Stem Cell Derivation Core
- Structural Biology Resource Center (SBRC)
- Transgenic Services
Step 8: Program Classification
Data entered on this page will be utilized for internal Rockefeller University reporting purposes.

Program Classification

1.0 Rockefeller research area:
   - Primary: [**] [***]
   - Secondary: [***]

2.0 Keyword(s):
   - Primary: [***]
   - Secondary: [***]

3.0 This proposal is related to:
   - Cancer Research:
     - Yes [Yes] [No] [Clear]
   - HIV Research:
     - Yes [Yes] [No] [Clear]

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

[Image of Federal Grant Information form with Opportunity ID PA-EN-R01 highlighted.]
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.

Funding Opportunity Announcement

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

1.0 Required SF424 Forms:

<table>
<thead>
<tr>
<th>Form Name</th>
<th>Supported</th>
</tr>
</thead>
<tbody>
<tr>
<td>SF424 (MAR) V2.0</td>
<td>yes</td>
</tr>
<tr>
<td>Research &amp; Related Project/Performance Site Location(s) V2.0</td>
<td>yes</td>
</tr>
<tr>
<td>Research And Related Other Project Information V1.4</td>
<td>yes</td>
</tr>
<tr>
<td>Research &amp; Related Senior Key Person Profile (Expanded) V2.0</td>
<td>yes</td>
</tr>
<tr>
<td>PHS 290 Cover Page Supplement V4.0</td>
<td>yes</td>
</tr>
<tr>
<td>PHS 390 Research Plan V4.0</td>
<td>yes</td>
</tr>
<tr>
<td>PHS Human Subjects and Clinical Trials Information V1.0</td>
<td>yes</td>
</tr>
</tbody>
</table>

2.0 Optional SF424 Forms:

<table>
<thead>
<tr>
<th>Form Name</th>
<th>Supported</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research &amp; Related Budget V1.4</td>
<td>yes</td>
</tr>
<tr>
<td>Research &amp; Related Subaward Budget Attachment(s) Form 6 YR 30 ATT V1.4</td>
<td>yes</td>
</tr>
<tr>
<td>PHS 390 Modular Budget V1.2</td>
<td>yes</td>
</tr>
<tr>
<td>PHS Assignment Request Form V2.0</td>
<td>yes</td>
</tr>
</tbody>
</table>

3.0 Opportunity ID:

| KA-BN-401 |

4.0 Opportunity Title:

O.g. Training and NIH Ex-UAT FOA (R01-Clinical Trial Not Allowed)

Activity Title:

Child Health and Human Development Extramural Research

5.0 Agency Name:

Information URL:

Instructions for FOA000000003

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 Required SF424 Forms</td>
<td>This field displays the selected opportunities required SF424 Forms and if they are supported by Click Commerce.</td>
<td></td>
</tr>
<tr>
<td>2.0 Optional SF424 Forms</td>
<td>This field displays the selected opportunities optional SF424 Forms and if they are supported by Click Commerce.</td>
<td></td>
</tr>
</tbody>
</table>
Step 11: Federal Grant Program Income
This page is required to track any anticipated program income, for both the application and planning purposes.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 * Will there be program income?</td>
<td>This field displays the selected answer on the SF424 Forms.</td>
<td></td>
</tr>
<tr>
<td>If yes, provide program income details:</td>
<td>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.”</td>
<td></td>
</tr>
</tbody>
</table>
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.

### Field Name

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Field Description/Purpose</th>
<th>SF424 Mapping</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 Date project starts:</td>
<td>Defaults from prior page. If incorrect, return to previous page, correct, and continue.</td>
<td></td>
</tr>
<tr>
<td>2.0 Date project ends:</td>
<td>Defaults from grid below. Can be changed in #4.</td>
<td></td>
</tr>
<tr>
<td>3.0 Project length (Years):</td>
<td>Defaults length in years depending on type of proposal being submitted. Can be changed in #4.</td>
<td></td>
</tr>
<tr>
<td>4.0 Budget periods:</td>
<td>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.</td>
<td></td>
</tr>
</tbody>
</table>
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.
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.
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 an 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_cqi 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.

![Email Specialist](image)

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.

![Add Comment](image)