Exchange Services
Validations for Grants.gov Components

Version 4.6
March 7, 2011
Filling Out an Application for NIH Grants

How applicant institutions submit a grant application to the National Institutes of Health (NIH) is changing from mailing in a paper PHS 398 application to submitting the application electronically through Grants.gov using the new SF424 (R&R) application. For information about the timetable for each mechanism’s conversion to electronic submission and other information, go to http://grants.nih.gov/grants/ElectronicReceipt/index.htm.

For electronic submission, applicant institutions can submit applications pdf forms downloaded from Grants.gov, build a system-to-system interface with Grants.gov or work with a commercial service provider. Regardless of submission method, Grants.gov electronically performs a simple validation against the application. If it passes inspection, the application is put in a queue, which the National Institutes of Health (NIH) then pulls into its system.

The NIH performs a more specific and detailed electronic check of the application against the instructions in the application guide and funding opportunity announcements. If the application passes the validation check without errors, the NIH sends an email to the Authorized Organization Representative (AOR)/ Signing Official (SO) and Project Director (PD)/Principal Investigator (PI). The email includes the NIH application tracking number and notification that both the SO and PI have two days to view the application image on the eRA Commons before the application automatically moves to Receipt and Referral.

If the application doesn’t pass the validation check—usually because NIH instructions are not being followed—NIH sends the AOR/SO and PD/PI an email saying there are error messages and/or warnings:

**Error message:** All errors must be fixed to complete the submission process. Once all errors are addressed, the applicant organization must submit the entire corrected application through Grants.gov as a changed/corrected application.

**Warning:** Warnings do not stop the application from being accepted by the eRA System; however, each warning should be looked at carefully to avoid delays or issues later on in the peer review process.

The AOR/SO and PD/PI can log onto the eRA Commons to view the error codes and warnings. **Note:** since email can be unreliable, it is the applicant’s responsibility to periodically check the eRA Commons for the status of the application after notification is received that NIH has pulled it from the Grants.gov queue.

So how can one be sure that the application passes all validation checks and results in no error messages or warnings? Carefully read and follow the application guide and announcement-specific instructions. Be sure that you fill out all sections to the best of your ability and that you include all attachments. NIH requires that all text attachments be in PDF format. Be clear about what is required for the type of application you are submitting. Make sure you observe the page limits for the different attachments as defined in the application and announcement. Confirm that you haven’t exceeded direct cost limitations. Don’t take shortcuts.

Here are some tips for filling out each section of the application. The NIH requires that applications be submitted using the SF424 (R&R) package, as well as supplemental, agency-specific forms identified as Public Health Service (PHS) application forms. Note that included in each funding opportunity announcement is the complete application forms package and guide.
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<td>Adobe Forms A</td>
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<td></td>
<td>Provide Warning if application submitted Competition ID is ‘ADOBE-FORMS-A’ for NIH applications ONLY</td>
<td>NIH is moving to updated application forms. No action is needed if submitting for due dates through January 24, 2010. If submitting for due dates on or after January 25, 2010, revisit the funding opportunity announcement, download the updated forms identified through the Competition ID of ADOBE-FORMS-B and submit your application using the new form package and instructions. For many programs, the new form instructions include shorter page limits. NIH will not accept applications that use incorrect forms or instructions. See <a href="http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-149.html">http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-149.html</a> for details and guidance for reviewers eligible for continuous submission.</td>
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<td>Type of Submission (Pre-App, Changed App)</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>For non-X02 submissions, do not accept ‘Pre-application’ as submission type (Minimum Validations)</td>
<td>Pre-application’ (SF 424 RR cover page, Type of Submission) is not a recognized submission type for these applications</td>
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<td>1.1.2</td>
<td>Type of Submission</td>
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<td>N</td>
<td>E</td>
<td>For X02 submissions, do not accept ‘Application’ as</td>
<td>Application’ is not a recognized submission type</td>
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<td>E</td>
<td>Do not accept ‘Application’ submission type if there is an associated prior successful submission. Find associated prior submission by matching on PI Commons account, institution, and project title for the same council round. (Minimum Validations)</td>
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<td>N</td>
<td>N</td>
<td>E</td>
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<td>N</td>
<td>E</td>
<td>Do not accept changed/corrected application if the original application has been verified. (Minimum Validations)</td>
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For X02 applications, please select 'pre-Application' as the type of submission on the SF 424 RR Cover page.

This application is a duplicate of a previous submission for the same council round. If this submission is in response to error(s)/warning(s), submit again using the 'Changed/Corrected Application' Type of Submission on the SF 424 RR cover page.

If submitting to NIH, follow the NIH duplicate submission policy: NOT-OD-09-100.

This application is a duplicate of a previous submission for the same council round. Please submit again using the 'Changed/Corrected Application' Type of Submission on the SF 424 RR cover page.

Your application has already been submitted for processing by NIH staff. Please contact the Scientific Review Officer (SRO) for permission to submit corrections or supplemental material. Contact information for the SRO may be found on the Commons Status page. Note that some opportunities...
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<td>Do not accept changed/corrected application if the PI, DUNS, Project Title, and council round are a duplicate of another application and the opportunity ID is not the same as that of the other application. (Minimum Validations)</td>
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<td>If Phase II SBIR/STTR, and Phase I identified as NIH grant, provide warning if date submitted is more than 2 years after Phase I project period end date</td>
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<td>If a resubmission or renewal, this component is mandatory (Minimum)</td>
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<td>N</td>
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<td>If a revision, this component is mandatory (Minimum Validations)</td>
<td>the Federal Identifier must be included. Please include only the IC and serial number of the prior grant number in the Federal Identifier field on the SF 424 RR Cover page (e.g., use CA987654 extracted from full Grant number 1R01CA987654-A1).</td>
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<td>If a new Phase II SBIR/STTR, this component is mandatory</td>
<td>For Phase II SBIR/STTR submissions, the Federal Identifier must be included. Please include the IC and serial number of the prior grant number in the Federal Identifier field on the SF 424 RR Cover page (e.g., use CA987654 extracted from full Grant number 1R01CA987654-A1).</td>
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<td>If a renewal Phase II SBIR/STTR, this component is mandatory</td>
<td>For Phase II SBIR/STTR submissions, the Federal Identifier must be included. Please include the IC and serial number of the prior grant number in the Federal Identifier field on the SF 424 RR Cover page (e.g., use CA987654 extracted from full Grant number 1R01CA987654-A1).</td>
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<td>Identifier field on the SF 424 RR Cover page (e.g., use CA987654 extracted from full Grant number 1R01CA987654-A1).</td>
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<td>N</td>
<td>E</td>
<td></td>
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<td>If Phase II SBIR/STTR, and Phase I grant number is found in NIH database, provide warning if Phase I grant has not been awarded. Phase II SBIR/STTR applications may be submitted only if the Phase I grant has been awarded.</td>
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Federal Identifier format (SF 424 RR Cover page) is not valid. Please include only the IC and serial number of the prior grant number (e.g., use CA987654 extracted from full Grant number 1R01CA987654-A1).
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<td>E</td>
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<td>Y</td>
<td>N</td>
<td>E</td>
<td>Minimum Validations</td>
<td>The Federal Identifier that you have entered (SF 424 RR Cover page) is not a grant number that has been previously assigned.</td>
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<td>Minimum Validations</td>
<td>You must include the &lt;missing component&gt; of the prior grant in the Federal Identifier field on the SF 424 RR Cover Page.</td>
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Version 4.6  
Last Updated 3/7/2011
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<td>A resubmission, a summary statement must have been mailed for the prior grant, unless the prior grant has been withdrawn without a summary statement.</td>
<td>A resubmission (an amended application) cannot be submitted until the Summary Statement for the previous application has been released by the agency.</td>
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<td>N</td>
<td>E</td>
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<td>For a resubmission, the prior grant must not have been awarded, unless it has been identified as interim funding.</td>
<td>A resubmission (an amended application) cannot be submitted if a prior version in the same support year has been awarded.</td>
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<td>N</td>
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<td>For an NIH resubmission, if the prior grant suffix code=A1, display a warning</td>
<td>NIH policy limits the number of resubmission applications that may be submitted. This application may be returned after internal processing if additional Resubmissions are not within policy. See NOT-OD-10-080: Enhancing Peer Review: Clarification of Resubmission Policy and Determination of New Application Status</td>
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<td>For an NIH resubmission, prior grant suffix code must not = 'A2'</td>
<td>This application has exceeded the number of resubmissions permitted and cannot be accepted.</td>
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<td>N</td>
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<td>For a revision, the parent grant must be awarded. (Minimum Validations)</td>
<td>The parent grant for a revision must be awarded. The entire proposed project period on the SF424 Cover of this Revision application must be within the Awarded Project Period.</td>
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<td>1.7.15</td>
<td>N</td>
<td>N</td>
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<td>Ignore entries in this field for a DP1, DP2 or DP3 application.</td>
<td>The mechanism (activity code) of the prior submission (referenced by the Federal Identifier on the SF 424 RR Cover page) does not match the mechanism of the Funding Opportunity Announcement (FOA), &lt;activity code&gt;. Please check the Federal Identifier provided for your application to ensure you are including the correct prior information and the FOA to ensure you are submitting to the correct opportunity. This application will be processed but there may be a delay in referral.</td>
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<td>N</td>
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<td>For resubmissions, renewals, and revisions, provide a warning if the activity code of the prior grant doesn’t match the activity code of the announcement. SBIR/STTR, R21/R33, and R33 are exempted from this validation.</td>
<td>The mechanism (activity code) of the prior submission (referenced by the Federal Identifier on the SF 424 RR Cover page) does not match the mechanism of the Funding Opportunity Announcement (FOA), &lt;activity code&gt;. Please check the Federal Identifier provided for your application to ensure you are including the correct prior information and the FOA to ensure you are submitting to the correct opportunity. This application will be processed but there may be a delay in referral.</td>
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<td>For a 'Phase II' SBIR/STTR, validations on parsing Federal Identifier, requiring IC and serial number, and identifying the number as existing in the NIH system</td>
<td>The mechanism (activity code) of the prior submission (referenced by the Federal Identifier on the SF 424 RR Cover page) does not match the mechanism of the Funding Opportunity Announcement (FOA), &lt;activity code&gt;. Please check the Federal Identifier provided for your application to ensure you are including the correct prior information and the FOA to ensure you are submitting to the correct opportunity. This application will be processed but there may be a delay in referral.</td>
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<td>For Non NIH applications: For a resubmission, if the prior grant suffix code=A1 or A2, display a warning</td>
<td>are warnings only.</td>
<td>Funding Opportunity Announcement (FOA), &lt;activity code&gt;. Please check the Federal Identifier provided for your application to ensure you are including the correct prior information and the FOA to ensure you are submitting to the correct opportunity. This application will be processed but there may be a delay in referral.</td>
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<td>Some funding agencies limit the number of Resubmission applications that may be submitted. This application may be returned after internal processing if additional Resubmissions are not within policy.</td>
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<td>SF 424</td>
<td>Federal Identifier</td>
<td>1.7.19</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an NIH Resubmission, if the prior Grant suffix code = A0 or A1 and resubmission created date is more than 40 months from prior grant created date, provide Error</td>
<td>NIH policy limits receipt of resubmissions to no more than 37 months after the receipt date of the prior grant. See: NOT-OD-10-140: New Time Limit for NIH Resubmission Applications</td>
<td></td>
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<tr>
<td>(R&amp;R)</td>
<td></td>
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<tr>
<td>SF 424</td>
<td>Agency Routing Number</td>
<td>1.59.1</td>
<td>V1.2 Adobe Forms B</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For DP1 and DP2 applications, provide an error if the Agency Routing Identifier is blank.</td>
<td>The Agency Routing Identifier must be supplied on the SF424 RR cover page for this opportunity. Please check announcement for details.</td>
</tr>
<tr>
<td>(R&amp;R)</td>
<td>Applicant Information, Organizational DUNS</td>
<td>1.8.1</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Must match DUNS recorded for IPF in Commons. Validate the leftmost 9 characters only, discarding any characters submitted in places 10-13. For</td>
<td>The DUNS number you have provided in the SF 424 RR Cover page Applicant Information section does not match the number in the eRA Commons profile for your</td>
<td></td>
</tr>
<tr>
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<td>SF 424</td>
<td>Applicant Information, Organizational DUNS</td>
<td>1.8.2</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>For a revision, provide a warning if it doesn’t represent the same organization as the parent grant.</td>
<td>The parent grant may be associated with a different organization (based on the Organization DUNS provided on the SF 424 RR Cover page). Revisions should only be submitted for the same organization as the parent grant. This application will be accepted by the agency, but may be delayed in the peer review process.</td>
</tr>
<tr>
<td>SF 424</td>
<td>Applicant Information, Organizational DUNS</td>
<td>1.8.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Organization must not be ‘closed’ in IMPAC II database.</td>
<td>The DUNS number that you have provided in the SF 424 RR Cover page Applicant Information section matches an organization in the eRA Commons that is no longer recognized as an active organization. Be sure that the DUNS number on your application matches the DUNS number used in both Grants.gov and the eRA Commons.</td>
</tr>
<tr>
<td>SF 424</td>
<td>Applicant Information, Legal Name</td>
<td>1.9</td>
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<td>Applicant Information, Department</td>
<td>1.10</td>
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<td></td>
<td>Y</td>
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<td>Applicant Information, Division</td>
<td>1.11</td>
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<td>Y</td>
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<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Street 1 and 2</td>
<td>1.12.1</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td>E</td>
<td>If either line&gt;50 characters, truncate. (Minimum Validations)</td>
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<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, City</td>
<td>1.13</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
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<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, County/Parish</td>
<td>1.14</td>
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<td>N</td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, State</td>
<td>1.15.1</td>
<td>Y, N, E</td>
<td>Required if country is US. (Minimum Validations)</td>
<td>Required if country is US.</td>
<td></td>
<td>Y</td>
<td>The Applicant Information State on the SF 424 RR Cover page must be supplied for US addresses.</td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Province</td>
<td>1.15.2</td>
<td>Y, N, E</td>
<td>Required if country is Canada. (Minimum Validations)</td>
<td>Required if country is Canada.</td>
<td></td>
<td>Y</td>
<td>The Applicant Information Province on the SF 424 RR Cover page must be blank for all countries other than the United States.</td>
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<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Province</td>
<td>1.15.3</td>
<td>Y, N, E</td>
<td>Transform to 2 char. abbreviation before validating and storing. If state name can’t be transformed, give error. (Minimum Validations)</td>
<td>Transform to 2 char. abbreviation before validating and storing. If state name can’t be transformed, give error.</td>
<td></td>
<td>Y</td>
<td>The Applicant Information Province on the SF 424 RR Cover page is not a valid state name.</td>
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<td>Applicant Information, Province</td>
<td>1.16.2</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>If country not Canada must be blank. (Minimum Validations)</td>
<td>The Applicant Information Province on the SF 424 RR Cover page should be blank for all countries other than Canada.</td>
<td></td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Province</td>
<td>1.16.3</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Transform to 2 char. abbreviation before validating and storing. If province name can’t be transformed, give error. (Minimum Validations)</td>
<td>The Applicant Information Province on the SF 424 RR Cover page is not a valid province name.</td>
<td></td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Zip Code</td>
<td>1.17.1</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Required if country is US. (Minimum Validations)</td>
<td>The Applicant Information Zip Code on the SF 424 RR Cover page was not entered.</td>
<td></td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Zip Code</td>
<td>1.17.2</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Must be 5 or 9 numeric digits if country is US. (Minimum Validations)</td>
<td>The Applicant Information Zip Code on the SF 424 RR Cover page must be entered in 5-digit or 9 digit format.</td>
<td></td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Zip Code</td>
<td>1.17.3</td>
<td>Y</td>
<td>For country other than US, if &gt;9 characters, truncate (remove any dashes before truncating). (Minimum Validations)</td>
<td>For an R13 application (activity code on funding opportunity = ‘R13’ or ‘U13’), provide a warning if country is not US</td>
<td>The Applicant Organization for a Conference Grant should be located in the US. This application will be accepted by the agency, but may be delayed in the peer review process.</td>
<td></td>
<td></td>
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<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>For an R13 application (activity code on funding opportunity = ‘R13’ or ‘U13’), provide a warning if country is not US</td>
<td>The Applicant Organization for a Conference Grant should be located in the US. This application will be accepted by the agency, but may be delayed in the peer review process.</td>
<td></td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an R15 application (activity code on funding opportunity = ‘R15’) return an error if country is not US</td>
<td>The Applicant Organization for an AREA Grant must be located in the US.</td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an SC1, SC2, SC3, S10, S11, S21, S22, DP2, C06, UC6, G08, G20, or K application, return an error if country is not US</td>
<td>The Applicant Organization for this application must be located in the US.</td>
<td></td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.3.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an application in response to a VA announcement, return an error if country is not US</td>
<td>The Applicant Organization for this application must be located in the US.</td>
<td></td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.4</td>
<td>N</td>
<td>Y</td>
<td>W</td>
<td>For an R25 (LV) application, return a warning if country is not US</td>
<td>The Applicant Organization for this application is usually located in the US. This application will be accepted by the agency, but may be delayed in the peer review process to determine the eligibility of a foreign Applicant Organization.</td>
<td></td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.5</td>
<td>N</td>
<td>Y</td>
<td>W</td>
<td>For an R18 (LV) or U18 (LV) application, return a warning if country is not US</td>
<td>The Applicant Organization for this application should be located in the US. This application will be accepted by the agency, but may be delayed in the peer review process.</td>
<td></td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.6</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be a valid ISO 3166-1 alpha-3 country code.</td>
<td>The Applicant Information country code provided (&lt;Country&gt;) on the SF 424 RR Cover page is not a valid ISO 3166-1 alpha-3 country code.</td>
<td></td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Applicant Information, Country</td>
<td>1.18.7</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For all T applications (major activity code ‘T’) K12 and KM1 applications, return an error if country is not US</td>
<td>The Applicant Organization for this application must be located in the US.</td>
<td></td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Person to be Contacted</td>
<td>1.19.1</td>
<td>Y</td>
<td>N</td>
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<td>If the combination of all items in this component is more than 30 characters,</td>
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<td>SF 424 (R&amp;R)</td>
<td>Person to be Contacted , Fax Number</td>
<td>1.21</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td></td>
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<td>SF 424 (R&amp;R)</td>
<td>Person to be Contacted , e-mail</td>
<td>1.22.1</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>If e-mail is not provided, display Warning</td>
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<td>SF 424 (R&amp;R)</td>
<td>Person to be Contacted , e-mail</td>
<td>1.22.2</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>Must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars &lt; &gt; ( ) { } \ , ; : are not valid.</td>
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<td>Employer Identification</td>
<td>1.23.1</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>If &gt;12 characters, truncate (no warning). (Minimum Validations)</td>
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<td>Employer Identification</td>
<td>1.23.2</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>If &lt;13 characters, provide a warning if it is not either 9 characters or 12 characters (after dashes are removed).</td>
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<td>Employer Identification</td>
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<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If 12 characters, don’t map to database if EIN number doesn’t exist in eRA database. Strip off dashes before doing comparison.</td>
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<td>Employer Identification</td>
<td>1.23.4</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If 9 characters, add a ‘1’ to the beginning of the number and ‘A1’ to the end (for a total of 12 characters); don’t map to database if resulting EIN number doesn’t exist in eRA database. Strip off dashes before doing comparison.</td>
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<td>SF 424 (R&amp;R)</td>
<td>Type of Applicant (other, woman owned, disadvantaged)</td>
<td>1.24.1</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an SBIR/STTR application, the Type of Applicant provided in the SF 424 RR Cover must be ‘Small Business’.</td>
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<tr>
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<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.1</td>
<td>Y</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be either New, Revision, Resubmission, or Renewal (Minimum Validations)</td>
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<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.2</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Renewal is not a valid type for a Phase I SBIR/STTR, SC2, S11, X01, X02, R03, R21, R34, U34, C06, UC6, G08, G13, G20, or mentored K application.</td>
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*will be accepted by the agency.*
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<td>1.25.3</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide warning if renewal is submitted for a R21/R33 combination or for a UH2/UH3 combination.</td>
<td></td>
<td>Renewal (competing continuation) applications are accepted if specifically allowed in the Funding Opportunity Announcement (FOA). Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
</tr>
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<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.4</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Revision is not a valid type for an S10, X01, or X02 application</td>
<td></td>
<td>A revision (supplement) cannot be submitted for this application.</td>
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<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.5</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For a DP1, DP2 or DP3 application must be New.</td>
<td></td>
<td>Resubmissions, renewals, and revisions cannot be submitted for this application. This is indicated in the Type of Application on the SF 424 RR Cover page.</td>
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<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.6</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an SC1 application, provide error for a renewal if there has already been an awarded renewal for this grant.</td>
<td></td>
<td>SC1 applications may not be submitted if a renewal (a competing continuation) has been awarded in the past.</td>
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<tr>
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<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.7</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an SC1 application, provide error for a renewal if the PI has been awarded any R01 grants, whether as a single PI or as a multiple PI.</td>
<td></td>
<td>The PI, &lt;first name last name) has been awarded R01 grants in the past. SC1 applications may not be submitted if the PI has been awarded any R01 grants.</td>
</tr>
<tr>
<td>SF</td>
<td>Type of</td>
<td>1.25.8</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Revision is not a valid type</td>
<td></td>
<td>A revision (supplement)</td>
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Version 4.6

Last Updated 3/7/2011
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<th>Error Message</th>
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<td>Application (New, Resub, Renewal, Contin, Revision)</td>
<td>1.25.9</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For a Fellowship application (F major activity code) cannot be submitted for this application. If you would like to submit an amended application, please select a 'Resubmission' Type of Application on the SF 424 RR Cover Page.</td>
<td></td>
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<td>SF 424 (R&amp;R)</td>
<td>If revision, increase award, decrease, etc.</td>
<td>1.26</td>
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<td>For FOA with activity code is 666/777 application must be Revision (Minimum Validations) &lt;Type of Application&gt; provided in the SF 424 RR Cover is invalid. The Type of Application must be Revision.</td>
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<td>For a revision, must be the same as the project title on the parent grant. Do not include leading or trailing characters</td>
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</table>

The project title for this revision provided in the SF 424 RR Cover is not the same as the project title on the existing grant.
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<tr>
<th>Form</th>
<th>Field</th>
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<td>N</td>
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<td>Must be later than current date (Minimum Validations)</td>
<td>The Proposed Project Start Date (SF 424 RR Cover page) must be later than today’s date.</td>
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<td>Must be later than ProjectStartDate</td>
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<td>1.33.2</td>
<td>N</td>
<td>Y (Standard)</td>
<td>W</td>
<td>For an R03 (LV), R21 (LV), or R36 application, return warning if project period is more than two years long. Define project period by time span between project period start date and project period end date as entered on the SF 424 RR Face Page.</td>
<td>The project period for this type of application is limited to two years.</td>
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<td>Y (Opt out)</td>
<td>W</td>
<td></td>
<td>For an R03 (LV), R21 (LV), return warning if project period is more than two years long.</td>
<td>Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable project period limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>1.33.3</td>
<td>N</td>
<td>Y (Standard)</td>
<td>W</td>
<td>For an R15, R33 (LV), R34 (LV), U34 (LV), G08, or G13 application, return warning if project period is more than three years long. Define project period by time span between project period start</td>
<td>The project period for this type of application is limited to three years. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>Y</td>
<td></td>
<td>N</td>
<td>W</td>
<td>For an R33 (LV), R34 (LV), U34 (LV) application, return warning if project period is more than three years long. Define project period by time span between project period start date and project period end date as entered on the SF 424 RR Face Page.</td>
<td>Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable project period limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>1.33.4</td>
<td>N</td>
<td>Y</td>
<td>Standard</td>
<td>W</td>
<td>For an R01 (LV) or R21/R33 pair (LV), U01 (LV) or K applications, return warning if project period is more than five years long. Define project period by time span between project period start date and project period end date as entered on the SF 424 RR Face Page.</td>
<td>The project period for this type of application is limited to five years. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>Y</td>
<td></td>
<td>N</td>
<td>E</td>
<td>For a DP1 or DP2 application, the project period must be exactly five years long. Define project period by the number of</td>
<td>The project period for this application must be five years. This is determined by the Proposed Project Start Date and the Proposed</td>
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<td>Must be no more than 20 years greater than today’s date.</td>
<td>Project Ending Date on the SF 424 RR Cover page.</td>
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<td>N</td>
<td>E</td>
<td>For all T applications (major activity code “T”), K12, KM1, D43, D71 and U2R return error if project period is more than five years long. Define project period by time span between project period start date and project period end date as entered on the SF 424 RR Cover Page.</td>
<td>The proposed Project Ending Date (SF 424 RR Cover page) cannot be more than 20 years in the future.</td>
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<tr>
<td>SF 424</td>
<td>Congressional districts of applicant</td>
<td>1.34.1</td>
<td></td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Must be a valid congressional district code (after truncating). Truncation logic: Parse from left to right, and take the first two digits encountered, skipping leading zeroes (return error if no digits are encountered, but no error if only zeroes are encountered). Before validating, pad out with a leading zero if less than 2 digits are extracted in this way. Display in grant image as submitted.</td>
<td>Congressional district &lt;Congressional District&gt; on the SF 424 RR Cover page is invalid. To locate your district, visit <a href="http://www.house.gov">http://www.house.gov</a> If the applicant organization is a foreign institution refer to the application guide for instructions.</td>
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<tr>
<td>SF 424</td>
<td>PD/PI Contact</td>
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<td>Y</td>
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<td>Required.</td>
<td>Minimum Validations)</td>
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<td>If only a Commons Account is supplied, display a warning to pay attention to the name that is generated in the grant image, since this will appear exactly as it is represented in the Commons. On the SF 424 RR Cover, no name was provided for the PD/PI identified on the Senior/Key Person Profile with eRA Commons Username: &lt;Credential&gt;. The name listed on this person's eRA Commons account, &lt;Commons profile name components&gt;, will be used for this submission.</td>
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<td>N</td>
<td>W</td>
<td>If this and Commons account provided (and Commons account is recognized), provide warning if last name and first name on account doesn’t match provided last name and first name. Comparison to ignore case and embedded spaces, but not embedded punctuation. The name provided for the PD/PI, &lt;First name last name&gt;, listed on the SF 424 RR Cover does not match the name listed on the eRA Commons account: &lt;First name last name&gt;. The application image will display the name as submitted here. If the name listed in the eRA Commons is not current, please update it in the eRA Commons. Instructions on updating profile information are available at <a href="https://commons.era.nih.gov/commons-help/216.htm">https://commons.era.nih.gov/commons-help/216.htm</a>.</td>
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<td>record for this person and organization in Commons, store the submitted</td>
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<td>position/title in all employment records for that person and organization</td>
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<td>Truncate if greater than 40 characters, before comparing to title stored in</td>
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<td>Transform province name to 2 char. abbreviation before storing. If province</td>
<td>The PD/PI Profile Province on the SF 424 RR Cover is not a valid province name.</td>
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<td>name can’t be transformed, give an error. (Minimum Validations)</td>
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<td>province, zip.</td>
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<td>For an S10 application, display a warning if this is greater than 500k.</td>
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<td>1.43.2</td>
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<td></td>
<td>Required for a C06, UC6, or G20 application.</td>
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The PD/PI Profile State on the SF 424 RR Cover is not a valid state name.
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<thead>
<tr>
<th>Form</th>
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<th>Form Version/Package</th>
<th>Minimum Validation (Y/N)</th>
<th>Limited Validation (Y/N)</th>
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<td>V1_2 Adobe Forms B</td>
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<td>N</td>
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<td>Must be non-zero for a C06, UC6, or G20 application.</td>
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<td>1.43.4</td>
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<td>The Total Federal Funds Requested in the Estimated Project Funding section of the SF 424 RR Cover page cannot be zero.</td>
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<tr>
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<td>Total Federal Funds Requested</td>
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<td>V1_2 Adobe Forms B</td>
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<td>The Total Federal Funds Requested in the Estimated Project Funding section of the SF 424 RR Cover page should not be zero. The application will be processed, but a concern may be raised during review.</td>
</tr>
<tr>
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<td>Total Federal Funds Requested</td>
<td>1.43.6</td>
<td>V1_2 Adobe Forms B</td>
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<td>For a DP1 application, The Total Federal Funds Requested in the Estimated Project Funding section of the SF 424 RR Cover page must be 2.5 million.</td>
</tr>
<tr>
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<td>Total Federal Funds Requested</td>
<td>1.43.7</td>
<td>V1_2 Adobe Forms B</td>
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<td>For a DP2 application The Total Federal Funds Requested in the Estimated Project Funding section of the SF 424 RR Cover page cannot be greater than 1.5 million.</td>
</tr>
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<td>N</td>
<td>E</td>
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<td>For an X01 or X02 application, provide an error if non-zero values are entered.</td>
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</table>

For an X01 or X02 application, provide an error if non-zero values are entered. The Total Federal Funds Requested in the Estimated Project Funding section of the SF 424 RR Cover page cannot be zero.
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
<th>Rule</th>
<th>Form Version/Package</th>
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<td>Federal Funds in the Estimated Project Funding section of the SF 424 RR Cover page must be zero.</td>
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<td>Total Federal &amp; Non-Federal Funds in the Estimated Project Funding section of the SF 424 RR Cover page is required for this application.</td>
</tr>
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<td>Total Federal and Non-Federal Funds</td>
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<td>N</td>
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<td>Total Federal &amp; Non-Federal Funds in the Estimated Project Funding section of the SF 424 RR Cover page cannot be zero.</td>
</tr>
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<td>SF 424 (R&amp;R)</td>
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<td>W</td>
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<td>Total Federal and non-Federal Funds in the Estimated Project Funding section of the SF 424 RR Cover page should not be zero. The application will be processed, but a concern may be raised during review.</td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Total Federal and Non-Federal Funds</td>
<td>1.44.5</td>
<td>N</td>
<td>N</td>
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<td></td>
<td></td>
<td>For an DP1 application, Total Federal &amp; Non-Federal Funds in the Estimated Project Funding section of the SF 424 RR Cover page must be 2.5 million.</td>
</tr>
<tr>
<td>SF 424 (R&amp;R)</td>
<td>Total Federal and Non-Federal Funds</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>For a DP2 application, Total Federal &amp; Non-Federal Funds in the Estimated Project Funding section of the SF 424 RR Cover page cannot be greater than 1.5 million.</td>
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<tr>
<td>SF 424 (R&amp;R)</td>
<td>Estimated Program Income</td>
<td>1.45.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
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<td>Total Estimated Program Income in the Estimated Project Funding section of</td>
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28 Exchange Services – Validations for Grants.gov Components
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<td>Estimated Program Income</td>
<td>1.45.2</td>
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<td>Required for a C06, UC6, or G20 application.</td>
<td>Estimated Program Income in the Estimated Project Funding section of the SF 424 RR Cover page is required for this application.</td>
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<td>Subject to state executive order review?</td>
<td>1.46.1</td>
<td>N N E</td>
<td>For C06, UC6, or G20 applications, a response is required Yes or No checkbox</td>
<td>A response must be included to the question ‘Is application subject to review by state executive order 12372 process’ on the SF 424 RR Cover page.</td>
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<td>State executive order review date</td>
<td>1.47.1</td>
<td>N N E</td>
<td>Required if answer to ‘Subject to state executive order review’ is ‘Yes’</td>
<td>A State executive order review date must be entered on the SF 424 RR Cover page, if the answer to the ‘Subject to state executive order review’ is ‘Yes’.</td>
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<td>Authorized representative name</td>
<td>1.49.1</td>
<td>Y N W</td>
<td>Truncate if first or last name&gt;30 chars. or if suffix&gt;5 chars. Display warning. (Minimum Validations)</td>
<td>The Authorized Representative &lt;element name&gt; (SF 424 RR Cover page) exceeds the agency character limit. The application image will display the name as submitted; the...</td>
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<td>Authorized representative position/title</td>
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<td>Truncate if &gt;30 chars. (Minimum Validations)</td>
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<td>Authorized representative street 1 &amp; 2, city, state, province, zip code, country, phone</td>
<td>1.54.2</td>
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<td>The Authorized Representative Province (SF 424 RR Cover page) is not a valid province name.</td>
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Agency will store the first <database length> characters in the eRA database.
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<th>Error Message</th>
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<td>Authorized representative street 1 &amp; 2, city, state, province, zip code, country, phone number, fax, e-mail</td>
<td>1.54.3</td>
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<td>Y</td>
<td>N</td>
<td>E</td>
<td>Transform state to 2 char. abbreviation for state before validating and storing. If state name can't be transformed, give error. (Minimum Validations)</td>
<td>The Authorized Representative State (SF 424 R&amp;R Cover page) is not a valid state name.</td>
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<td>If zip&gt;9 characters, truncate. Remove dashes before truncating and/or storing. (Minimum Validations)</td>
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<td>Allow applications to come in without this component.</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td>Required for all NIH applications only</td>
<td>The Organization Name for the Primary Location is required on the Project/Performance Site Location(s) form. Please make sure the 'Submit an application as an individual' selection is not checked.</td>
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<td>N</td>
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<td>Required for NIH applications only</td>
<td>The DUNS Number for the Primary Location is required on the Project/Performance Site Location(s) form. Please make sure the 'Submit an application as an individual' selection is not checked.</td>
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<td>V1_2 Adobe Forms B</td>
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<td>N</td>
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<td>Required if Country is US.</td>
<td>The Congressional District must be provided for the Primary Location on the Project/Performance Site Location(s) form.</td>
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<td>Must be a valid Congressional district</td>
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<td></td>
<td>2</td>
<td>Adobe Forms B</td>
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<td>congressional district code (after truncating). Truncation logic: Parse from left to right, and take the first two digits encountered, skipping leading zeroes (return error if no digits are encountered, but no error if only zeroes are encountered). Before validating, pad out with a leading zero if less than 2 digits are extracted in this way. Do not return error if 'ALL' is encountered. When Other Country than US selected and no Congressional District is entered, then populate db with 00-000. The validation should not fire. Display in grant image as submitted</td>
<td>&lt;Congressional District&gt; on the Project/Performance Site(s) is invalid. To locate your district, visit <a href="http://www.house.gov">http://www.house.gov</a>/ If the applicant organization is a foreign institution, refer to the application guide for instructions.</td>
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<tr>
<td>Project/Performance Site (R&amp;R)</td>
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<td>Error/ Warning (E/W)</td>
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### Other Project Information (R&R)

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<tr>
<td>Other Project Info</td>
<td>Human Subjects Involved?</td>
<td>3.1.2</td>
<td>N</td>
<td>N</td>
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<td>If HumanSubjectsUsedQuestions is false, ExemptionNumber must not be specified.</td>
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<td>Other Project Info</td>
<td>Human Subjects Involved?</td>
<td>3.1.3</td>
<td>N</td>
<td>N</td>
<td>W</td>
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<td>When Human Subjects is “No”, Assurance Number does not apply on the Other Project Information component.</td>
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<td>Other Project Info</td>
<td>Human Subjects Involved?</td>
<td>3.1.4</td>
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<td>Must be true if Human Subjects Clinical Trial question is true.</td>
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<td>Other Project Info</td>
<td>Human Subjects Involved?</td>
<td>3.1.5</td>
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<td>N</td>
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<td>The answer to the Human Subjects Involved on the Other Project Information component should be 'No'. The application will be processed, but a concern may be raised during review.</td>
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<td>Other Project Info</td>
<td>Human Subjects</td>
<td>3.1.6</td>
<td>ONLY V1_2</td>
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<td>N</td>
<td>W</td>
<td></td>
<td>The Human Subject Assurance Number may be requested later.</td>
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</table>

When Human Subjects is “No”, Exemption Number must not be specified on the Other Project Information component.

When Human Subjects is “No”, Assurance Number does not apply on the Other Project Information component.

The Human Subjects Involved question on the Other Project Information component must be "Yes" if the Human Subjects Clinical Trial question on the PHS 398 Cover Page Supplement is “Yes”.

The answer to the Human Subjects Involved on the Other Project Information component should be 'No'. The application will be processed, but a concern may be raised during review.

Provide Warning if Human Subject
<table>
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<tr>
<th>Form</th>
<th>Field</th>
<th>Rule</th>
<th>Form Version / Package</th>
<th>Minimum Validation (Y/N)</th>
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<th>Error Message</th>
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<tr>
<td>(R&amp;R)</td>
<td>Involved?</td>
<td>Adobe Forms B</td>
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<td>Involved is Yes and Is the Project Exempt from Federal Regulations is No and Is the IRB review Pending is Yes as part of the eRA Commons Just In Time (JIT) process.</td>
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<td>Other Project Info (R&amp;R)</td>
<td>Project Exempt from Federal Regulations</td>
<td>V1.2 Adobe Forms B</td>
<td>N</td>
<td>N</td>
<td>E</td>
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<td></td>
<td>If Human Subjects Used Question is true, the Project Exempt from Federal Regulations question cannot be blank If the answer to Human Subject Use is 'Yes', an answer to the Project Exempt from Federal Regulations must be provided.</td>
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<tr>
<td>Other Project Info (R&amp;R)</td>
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<td>V1.2 Adobe Forms B</td>
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<td>E</td>
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<td></td>
<td>If Project Exempt from Federal Regulations is True, the Exemption number cannot be blank. If the answer to Project Exempt from Federal Regulations is 'Yes', an Exemption Number must be provided.</td>
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<td>Other Project Info (R&amp;R)</td>
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<td></td>
<td></td>
<td>If IRB review pending? Is false, IRB approval date and Human subject assurance number cannot be blank. If the answer to 'IRB Review Pending' question is 'No', the IRB Approval Date and Human Subject Assurance Number must be provided.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>IRB approval date</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Date can’t be in the future (but can be blank) The IRB approval date on the Other Project Information component cannot be in the future.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>IRB approval date</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Year of date must be greater than 1990 The year of the IRB approval date must be greater than 1990.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Human subject assurance number</td>
<td></td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>Provide warning if it doesn’t match IPF human subject assurance number for this organization. Match should be on the last 11 characters of the IPF The human subject assurance number entered in the Other Project Information component does not match what is in the eRA Commons profile for your organization. There are rare cases where this is permissible.</td>
</tr>
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<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Vertebrate animals used?</td>
<td>3.6.1</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If this is &quot;Y&quot;, then ONE of the following must be provided: Assurance Number + IACUC Approval Date Assurance Number + IACUC Approval Pending The word ‘None’ (case insensitive, don’t validate on punctuation)</td>
<td>When Vertebrate Animals is “Yes”, you must provide one of the following: (1) animal welfare assurance number + IACUC approval date, (2) animal welfare assurance number + an indication that IACUC approval is pending OR (3) the word ‘None’ on the Other Project Information component.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Vertebrate animals used?</td>
<td>3.6.2</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>For S10 application, display a warning if this is true.</td>
<td>The answer to the Vertebrate Animals Used question in the Other Project Information component should be ‘No’. The application will be processed, but a concern may be raised during review.</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>IACUC</td>
<td>3.7.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide a warning if</td>
<td>When Vertebrate Animals is “No”</td>
<td></td>
</tr>
</tbody>
</table>

assurance number. If the Assurance Number that is received is exactly eight characters long and consists of all numeric digits, provide warning if after stripping off a leading ‘FWA’ from the number stored in the IPF (if it exists), the numbers don’t match. After the comparison is made in this latter case, prefix the submitted number with ‘FWA’ before storing in the database. Please make sure that the correct number is entered on the Other Project Information page. If not, correct and resubmit. Note, if you do not have an approved assurance on file with OHRP and have inserted “None” in the Human Subject Assurance Number, no correction is necessary.
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<tr>
<th>Form</th>
<th>Field</th>
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<th>Form Version / Packag e</th>
<th>Minimum Validation (Y/N)</th>
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<th>Error/Warning (E/W)</th>
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<td>Project Info (R&amp;R)</td>
<td>review pending?</td>
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<td></td>
<td></td>
<td>Vertebrate Animals Used is 'N'</td>
<td>IACUC Approval Pending indicator does not apply on the Other Project Information component.</td>
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<td>Other Project Info (R&amp;R)</td>
<td>IACUC approval date</td>
<td>3.8.1</td>
<td></td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide a warning if VertebrateAnimalsUsed Question is false</td>
<td>When Vertebrate Animals is &quot;No&quot; IACUC Approval Date does not apply on the Other Project Information component.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>IACUC approval date</td>
<td>3.8.2</td>
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<td>Year of date must be greater than 1990</td>
<td>The year of the IACUC approval date must be greater than 1990.</td>
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<td>3.8.3</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>The date can't be in the future</td>
<td>The IACUC Approval Date on the Other Project Information component cannot be in the future.</td>
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<td>Other Project Info (R&amp;R)</td>
<td>Animal Welfare Assurance #</td>
<td>3.9.1</td>
<td></td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide a warning if VertebrateAnimalsUsed Question is false</td>
<td>When Vertebrate Animals is &quot;No&quot; on the Other Project Information component, the Animal Welfare Assurance Number does not apply.</td>
</tr>
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<td>Other Project Info (R&amp;R)</td>
<td>Animal Welfare Assurance #</td>
<td>3.9.3</td>
<td></td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>If an animal welfare assurance number is entered, provide a warning if it doesn't match animal welfare assurance number for this organization. Match needs to be on the last 9 characters of the IPF assurance number. This validation should not be done if the field is left blank or if the word 'None' is entered.</td>
<td>The Animal Welfare Assurance Number entered on the Other Project Information component, does not match what is in the eRA Commons profile for your organization. There are rare cases where this is permissible. Please make sure that the correct number is entered on the Other Project Information page. If not, correct and resubmit.</td>
</tr>
<tr>
<td>Other Project Info</td>
<td>Proprietary or privileged</td>
<td>3.10</td>
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<tr>
<td>Other Project Info</td>
<td>Impact on environment?</td>
<td>3.11</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Limited to one page</td>
<td>The Project Summary/Abstract on the Other Project Information component is limited to 30 lines of text.</td>
<td></td>
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<tr>
<td>Other Project Info</td>
<td>Performance Site a historic place?</td>
<td>3.20</td>
<td>V1_2 Adobe Forms B</td>
<td>N</td>
<td>E</td>
<td>Required</td>
<td>The Abstract (labeled ‘Project Summary/Abstract’ on the Other Project Information component) must be included.</td>
<td></td>
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<tr>
<td>Other Project Info</td>
<td>Activities outside of US?</td>
<td>3.12</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required</td>
<td>The Project Narrative (Other Project Information, Project Narrative attachment) is limited to 40 pages.</td>
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<td>Other Project Info</td>
<td>Project Summary</td>
<td>3.13.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required</td>
<td>For all applications except those in response to C06, UC6, or G20, limit to 1 page.</td>
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<td>Other Project Info</td>
<td>Project Narrative</td>
<td>3.14.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required</td>
<td>The Public Health Relevance Statement (labeled ‘Project Narrative’ on the Other Project Information component) should be no longer than 2 or 3 sentences.</td>
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<td>Project Narrative</td>
<td>3.14.2</td>
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<td>E</td>
<td>Required</td>
<td>Please attach the Program Narrative as the Project Narrative attachment on the Other Project Information component.</td>
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<td>W</td>
<td>Required for all</td>
<td>Provide a warning if greater than 40 pages for C06, UC6, or G20 applications.</td>
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<td>Required for all</td>
<td>The Public Health Relevance Statement (labeled ‘Project Narrative’ on the Other Project Information component) should be no longer than 2 or 3 sentences.</td>
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<td>applications (validation does not apply to C06, UC6, or G20).</td>
<td>Statement (labeled ‘Project Narrative’ on the Other Project Information component) must be included.</td>
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<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Bibliography and References Cited</td>
<td>3.15.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>Provide a warning if this attachment hasn’t been included. This validation only applies to NIH applications.</td>
<td>In most cases, a Bibliography and References Cited attachment should be included.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Bibliography and References Cited</td>
<td>3.15.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Provide error if attached for a DP1 or DP2 application</td>
<td>The Bibliography and References attachment on the Other Project Information page may not be included for this application.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Facilities and other resources</td>
<td>3.16.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>Provide warning if attached for DP3 application</td>
<td>Please follow application guide and announcement instructions for the Facilities and Other Resources attachment on the Other Project Information form.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Facilities and other resources</td>
<td>3.16.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>For all Ts, K12, KM1, D43, D71 and U2R applications provide error if not attached</td>
<td>The Facilities &amp; Other Resources attachment on the Other Project Information form should be included as part of the application.</td>
</tr>
<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Equipments</td>
<td>3.17.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Required for S10 applications.</td>
<td>The Equipment Attachment on the Other Project Information page is required for S10 applications.</td>
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<td>Equipments</td>
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<td>N</td>
<td>W</td>
<td></td>
<td>Provide warning if attached for a DP1, DP2 or DP3 application</td>
<td>Please follow application guide and announcement instructions for the Equipment attachment on the Other Project Information form.</td>
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<td>For S10 applications, provide error if at least one attachment has not been included</td>
<td>No attachment was provided as an ‘Other Attachment’ on the Other Project Information page.</td>
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<td>E</td>
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<td>For S21 and S22 applications, provide error if at least three attachments haven’t been included for this. Please attach the Instrumentation Plan in this location. Please also consult the funding opportunity announcement to which you are responding for any additional information to be attached as an ‘Other Attachment’.</td>
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<td>At least three attachments must be provided as an ‘Other Attachment’ on the Other Project Information page. Please consult the funding opportunity announcement for the type(s) of information to be attached.</td>
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<td>N</td>
<td>E</td>
<td></td>
<td>For VA applications where Type of Application is 'New', do not accept file named '01_VA_Intro.pdf' An Introduction cannot be submitted (as an Other Attachment on the Other Project Information page) for new applications.</td>
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<td>For VA applications where a file named '01_VA_Intro.pdf' has been submitted for a revision, it cannot be greater than 1 page. The Introduction for a revision, submitted as an Other Attachment on the Other Project Information page, is limited to one page</td>
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<td>For VA applications where a file named '01_VA_Intro.pdf' has been included for this. Please attach the Instrumentation Plan in this location. Please also consult the funding opportunity announcement to which you are responding for any additional information to be attached as an ‘Other Attachment’.</td>
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<td>E</td>
<td>Validation has been submitted for a resubmission, it cannot be greater than 3 pages.</td>
<td>Project Information page, is limited to three pages.</td>
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<td>For VA applications and activity code is I01, IP1, I50, IK3 or IK4 where a file named '02a_VA_Research Plan.pdf' has been submitted, it cannot be greater than 24 pages.</td>
<td>The Research Plan, submitted as an Other Attachment on the Other Project Information page, is limited to 24 pages.</td>
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<td>For VA applications, require the submission of a file named '02a_VA_Research Plan.pdf'.</td>
<td>A Research Plan is required for this application. Please submit it as an 'Other Attachment' on the Other Project Information page, titled '02a_VA_Research_Plan.pdf'.</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td>For VA applications where Type of Application is ‘Renewal’, a file named '03_VA_Prog_Report_Pubs.pdf' is required.</td>
<td>A bibliography of publications resulting from the last period of VA funding must be included for all renewals. Please submit It as an ‘Other Attachment’ on the Project Information page, titled '03_VA_Prog_Report_Pubs.pdf'.</td>
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<td>Other attachments</td>
<td>3.18.13</td>
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<td>For VA applications where Human Subjects is ‘Y’, a file named '04_VA_Human_Subjects.pdf' is required.</td>
<td>A Human Subjects attachment must be included if the response to the Human Subjects question on the Other Project Information page is ‘Yes’. Please submit it as an ‘Other Attachment’ on the Project Information page, titled '04_VA_Human_Subjects.pdf'.</td>
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| Other Project Info (R&R) | Other attachments     | 3.18.14| N                       | N                        | N                        | E                   | For VA applications where Vertebrate Animals is ‘Y’, a file named | A Vertebrate Animals attachment must be included if the response to the Vertebrate/Animals Subject Used Question on the
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<td>E</td>
<td>'05_VA_Animals.pdf' is required.</td>
<td>Other Project Information page is 'Yes'. Please submit it as an 'Other Attachment' on the Project Information page, titled '05_VA_Animals.pdf'.</td>
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<td>Other Project Info (R&amp;R)</td>
<td>Other attachments</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td>For VA applications where multiple PIs are included and activity code is I01, IP1 or I50, a file named '06_VA_Multiple_PI.pdf' is required.</td>
<td>The Multiple PI Leadership Plan attachment must be included if multiple PIs have been included on the Senior/Key Person page. Please submit it as an 'Other Attachment' on the Other Project Information page, titled '06_VA_Multiple_PI.pdf'.</td>
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<tr>
<td>Other Project Info (R&amp;R)</td>
<td>Other attachments</td>
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<td>N</td>
<td>N</td>
<td>W</td>
<td>For applications in response to VA announcements, provide warning if any attachment file names are not provided in one of the following formats: 01_VA_Intro.pdf 02_VA_Specific_Aims.pdf 02a_VA_Research_Plan.pdf 02b_VA_Career_Plan.pdf 02c_VA_Mentoring_Plan.pdf 03_VA_Prog_Report_P</td>
<td>An attachment submitted as an ‘Other Attachment’ on the Other Project Information page has the name '&lt;file name&gt;'. This is not a valid name for this attachment. Please refer to the FOA for the list of valid file names to be submitted as an ‘Other Attachment’. The application will be processed, but concerns may be raised during review of the application.</td>
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<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Minimum Validation (Y/N)</td>
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<td>Other attachments</td>
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<td>N</td>
<td>E</td>
<td>No attachment was provided as an 'Other Attachment' on the Other Project Information page. Please attach the Sponsor, the Co-Sponsor, the Collaborators and Dissertation Advisor and List of Referees. Please also consult the funding opportunity announcement to which you are responding for any additional information to be attached as an 'Other Attachment'.</td>
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<td>For VA applications, a file named '08_VA_Director_Letter.pdf' is required.</td>
<td>A letter from the VA Medical Center Director is required for this application. Please submit it as an 'Other Attachment' on the Project Information page, titled</td>
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Note: file name validations should not be case-sensitive.
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<td>For VA applications, a file named '09_VA_Checklist.pdf' is required.</td>
<td>A completed VA Checklist is required for this application. Please submit it as an 'Other Attachment' on the Project Information page, titled '09_VA_Checklist.pdf'.</td>
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<td>For VA applications and activity code is 'IK1' or 'IK2', where a file named '02a_VA_Research_Plan.pdf' has been submitted, it cannot be greater than 9 pages.</td>
<td>The Research Plan, submitted as an Other Attachment on the Other Project Information page, is limited to 9 pages.</td>
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<td>Other attachments</td>
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<td>N N E</td>
<td>For VA applications and activity code is 'IK2', where a file named '02a_VA_Research_Plan.pdf' has been submitted, it cannot be greater than 19 pages.</td>
<td>The Research Plan, submitted as an Other Attachment on the Other Project Information page, is limited to 19 pages.</td>
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<td>For VA applications and activity code is 'IK5' or 'IK6', where a file named '02a_VA_Research_Plan.pdf' has been submitted, it cannot be greater than 4 pages.</td>
<td>The Research Plan, submitted as an Other Attachment on the Other Project Information page, is limited to 4 pages.</td>
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<td>For VA applications and activity code is IK1, IK2, IK4 or IK5, a file named '02b_VA_Career_Plan.pdf' is required.</td>
<td>A Career Plan is required for this application. Please submit it as an 'Other Attachment' on the Other Project Information page, titled '02b_VA_Career_Plan.pdf'.</td>
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<td>3.18.25</td>
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<td>For VA applications and activity code is IK1, IK2,</td>
<td>A Mentoring Plan is required for this application. Please submit it</td>
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<td>For VA applications, a file named '02_VA_Specific_Aims.pdf' is required.</td>
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<td>The Specific Aims, submitted as an 'Other Attachment' on the Other Project Information page, is limited to 1 page.</td>
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<td>For VA applications and activity code is 'IK6', a file named '08a_VA_R_D_Committee_letter.pdf' is required.</td>
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<td>For VA applications and activity code is NOT 'IK6', provide error if the file named '08a_VA_R_D_Committee_letter.pdf' is submitted.</td>
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A Specific Aims is required for this application. Please submit it as an 'Other Attachment' on the Other Project Information page, titled '02_VA_Specific_Aims.pdf'.

A Letter from the VA R&D Committee is required for this application. Please submit it as an 'Other Attachment' on the Other Project Information page, titled '08a_VA_R_D_Committee_letter.pdf'.

A Letter from the VA R&D Committee may not be submitted for this application.
### Senior/Key Person Profile (R&R)

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<tr>
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<td>Pulled from SF 424 RR Cover component</td>
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<td>Must be specified for the PD/PI (Minimum Validations)</td>
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<td>PD/PI Profile, credential</td>
<td>4.2.2</td>
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<td></td>
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<td>Truncate if greater than 30 characters, before comparing to account stored in database. No warning message is needed to the submitter. (Minimum Validations)</td>
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<tr>
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<td>PD/PI Profile, credential</td>
<td>4.2.3</td>
<td>Y</td>
<td>N</td>
<td>E</td>
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<td>If specified, must be a valid Commons account. (Minimum Validations)</td>
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<tr>
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<td>4.2.4</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>The eRA Commons account indicated for the PD/PI in the Credential field on the Senior/Key Person page is not affiliated with the applicant organization. Check with your eRA Commons Account Administrator to make sure you have been affiliated with the applicant organization.</td>
</tr>
<tr>
<td>Senior/Key Person</td>
<td>PD/PI Profile, credential</td>
<td>4.2.5</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>W</td>
<td>For a revision, the PI should be assigned</td>
<td>Warning: The eRA Commons account for the PI in the</td>
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*Exchange Services – Validations for Grants.gov Components*  
Version 4.6  
Last Updated 3/7/2011
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<td>W</td>
<td>Provide a warning if there is both an SO and a PI role associated with the Commons account.</td>
<td>The eRA Commons account has ‘SO’ and ‘PI’ roles. Please create a separate eRA Commons account for the SO/AOR, then delete the ‘SO’ role from the account included in the submission. You do not need to send a changed/corrected application.</td>
<td></td>
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</tbody>
</table>

Credential field on the Senior/Key Person page does not include the parent grant of this submission in its support history.

Change from Error to Warning: The parent grant that has been entered is not associated with this PI.
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
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<td>W</td>
<td>Provide a warning if the single role associated with the Commons account is an SO role.</td>
<td>The eRA Commons account included for the PD/PI is for an SO/AOR. Please add a PI role to this account, create a separate 'SO' eRA Commons account for the SO/AOR, and delete the 'SO' role from the original account. You do not need to send a changed/corrected application; however, you will need to change the roles on the Commons account as instructed, or the PD/PI will not be able to view the review outcome or Summary Statement.</td>
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<td>Senior/Key Person (R&amp;R)</td>
<td>PD/PI Profile, credential</td>
<td>4.2.10</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For a DP1 application, the PD/PI must not have been a PD/PI on a previous awarded DP1.</td>
<td>A DP1 application cannot be submitted for a PD/PI who has previously received a DP1 award.</td>
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<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>PD/PI Profile, other project role category</td>
<td>4.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>No degrees are listed in the Commons Profile or have been submitted on the RR Senior/Key Profile form for the Contact PD/PI. If the degrees listed in the eRA Commons are not current, please update them in the eRA Commons. Instructions on updating profile information are available at <a href="https://commons.era.nih.gov/co">https://commons.era.nih.gov/co</a></td>
<td>No degrees are listed in the Commons Profile or have been submitted on the RR Senior/Key Profile form for the Contact PD/PI. If the degrees listed in the eRA Commons are not current, please update them in the eRA Commons. Instructions on updating profile information are available at <a href="https://commons.era.nih.gov/co">https://commons.era.nih.gov/co</a></td>
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<td>mmons-help/216.htm.</td>
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<td>E</td>
<td>Limited to four pages</td>
<td></td>
<td>The Senior/Key Person Biosketch for the PD/PI, &lt;first name last name&gt;, is longer than four pages.</td>
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<td>The Senior/Key Person Biosketch for the PD/PI is limited to two pages for this application.</td>
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<td>E</td>
<td>Attachment is required for a DP1 or DP2 application.</td>
<td>For this application, a Current and Pending Support attachment must be included for the PD/PI on the Senior/Key Person page</td>
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<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, name</td>
<td>4.6.1</td>
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<td>Truncate if first or last name&gt;30 chars, or suffix&gt;5 chars. (Minimum Validations)</td>
<td>The name provided for Key Person &lt;submitted first name last name&gt; on the Senior/Key Person page does not match the eRA Commons account name (&lt;Commons profile first name last name&gt;). The application image will display the name as submitted.</td>
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<td>Profile, senior &amp; key person x, name</td>
<td>4.6.2</td>
<td>N</td>
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<td>W</td>
<td>If this and Commons Account provided (and Commons account is recognized), provide warning if last name and first name on account don’t match provided name. Comparison to ignore case and embedded spaces, but not embedded</td>
<td>The name provided for Key Person &lt;submitted first name last name&gt; on the Senior/Key Person page does not match the eRA Commons account name (&lt;Commons profile first name last name&gt;). The application image will display the name as submitted.</td>
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<td>N</td>
<td>W</td>
<td>For S10 applications, provide warning if there are not at least two senior/key persons (other than the PD/PI), with project role of ‘Other (specify)’.</td>
<td>Less than 2 senior/key person entries have been included with a project role of ‘Other (specify)’ on the Senior/Key Person page to represent the major user group cohort. The application will be processed, but a concern may be raised during review.</td>
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<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, name</td>
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<td>For DP1 and DP2 applications, provide error if any senior/key persons included (other than the PD/PI on the SF 424 RR Cover)</td>
<td>For this application, the only Senior/Key Person who should be included is the PD/PI who is listed on the SF 424 RR Cover page.</td>
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<td>Truncate if greater than 40 characters. No warning message is needed to the submitter. (Minimum Validations)</td>
<td>The organization name for Key Person &lt;Key Person First Name Last Name&gt; must be provided on the Senior/Key Person page.</td>
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<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, zip code</td>
<td>4.16</td>
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<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, country</td>
<td>4.17</td>
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<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, phone</td>
<td>4.18</td>
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<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, fax</td>
<td>4.19</td>
<td></td>
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<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, e-mail</td>
<td>4.20</td>
<td></td>
<td></td>
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</tbody>
</table>
| Senior/Key Person (R&R) | Profile, senior & key person x, credential | 4.21.1  |                         | Y                        | N                        | E                   |            | If specified for a key person with a PD/PI role, must be a valid Commons account. The eRA Commons Username <Credential>, specified on the Senior/Key Person page for PD/PI <First Name Last}
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
<th>Rule</th>
<th>Form Version / Package</th>
<th>Minimum Validation (Y/N)</th>
<th>Limited Validation (Y/N)</th>
<th>Error/Warning (E/W)</th>
<th>Validation</th>
<th>Error Message</th>
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<tbody>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, credential</td>
<td>4.21.2</td>
<td>Y</td>
<td></td>
<td></td>
<td>Y</td>
<td>(Minimum Validations)</td>
<td>Name&gt;, is not a recognized eRA Commons account.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, credential</td>
<td>4.21.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>If specified for a key person with a PD/PI role, the Commons account must have a PI role associated with it (may have other roles as well).</td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, credential</td>
<td>4.21.4</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Must be specified if project role is 'PD/PI'. (Minimum Validations)</td>
<td>The Commons account associated with &lt;Credential&gt; does not have a PI role. Please add a PI role to this account before submitting a changed/corrected application.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>For an R36 application (activity code on funding opportunity = 'R36'), there must be at least one key person included in addition to the PD/PI component.</td>
<td>A mentor must be identified for an R36 application. List the mentor as a key person on the Senior/Key Person page.</td>
</tr>
<tr>
<td>Senior/Key Person</td>
<td>Profile, senior &amp; key person</td>
<td>4.22.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>For a C06, UC6, or G20 application,</td>
<td>A Facilities Person must be identified for this application.</td>
</tr>
<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version / Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
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<tr>
<td>(R&amp;R)</td>
<td>x, project role</td>
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<td>there must be at least one key person identified with a project role of ‘Other’ or ‘Other Professional’. Please provide the information for this person after the PD/PI on the Senior/Key Person page. Specify a project role of ‘Other’ or ‘Other Professional’, and an Other Project Role Category of ‘Facilities Person’.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an S11 application, there must be at least one key person identified with a project role of ‘Other’ or ‘Other Professional’. A Collaborator must be identified for this application. Please provide the information for this person after the PD/PI on the Senior/Key Person page. Specify a project role of ‘Other’ or ‘Other Professional’, and an Other Project Role Category of ‘Collaborator’.</td>
<td></td>
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</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.4.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an SC2 application, there must be at least one key person identified with a project role of ‘Other’ or ‘Other Professional’ and a project role category of ‘Mentor’. A Mentor must be identified for this application. Please provide the information for this person after the PD/PI on the Senior/Key Person page. Specify a project role of ‘Other’ or ‘Other Professional’, and an Other Project Role Category of ‘Mentor’.</td>
<td></td>
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</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.5</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Provide an error if project role is ‘PD/PI’ and credential is the same as the PD/PI credential. PD/PI &lt;First Name Last Name&gt; has been identified in both the PD/PI portion and in the Senior/Key Person Profile portion of the Senior/Key Person page.</td>
<td></td>
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</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.6</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>For NIH applications only, provide a warning if the ‘Co-PI’ role has been indicated. The role of Co-PD/PI, indicated for Senior/Key Person &lt;First Name Last Name&gt; on the Senior/Key Person page, is not used by NIH to designate</td>
<td></td>
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<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version / Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.6.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For SC1, SC2, or SC3 applications, provide an error if the 'Co-PI' role has been indicated.</td>
<td>The role of 'Co-PD/PI', indicated for Senior/Key Person &lt;First Name Last Name&gt; on the Senior/Key Person page, is not applicable to this mechanism.</td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.7</td>
<td>N</td>
<td></td>
<td></td>
<td>If project role is 'PD/PI', identify in database as Multiple PI.</td>
<td>For this mechanism, applications that include multiple PIs can not be submitted.</td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.8</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an SC1, SC2, or SC3 application, a K or C06 application, provide an error if the project role is 'PD/PI'. K12 and KM1 applications are exempt from this validation.</td>
<td>For this mechanism, applications that include multiple PIs can not be submitted.</td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.9</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For F Applications, there must be at least one key person identified with a project role of 'Other' or 'Other Professional' and a project role category of 'Sponsor'.</td>
<td>A Sponsor must be identified for this application. Provide the information for this person on the Senior/Key Person page. Specify a project role of Other and an Other Project Role Category of 'Sponsor'</td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, project role</td>
<td>4.22.10</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For VA applications and activity code is IK1, IK2, IK3, IK4, IK5, IK6 or I21 provide error if the project role is 'PD/PI'.</td>
<td>For a Career Development mechanism, applications that include multiple PIs can not be submitted.</td>
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</tr>
<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version / Package</td>
<td>Minimum Validation (Y/N)</td>
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<td>Validation</td>
<td>Error Message</td>
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<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Profile, senior &amp; key person x, other project role category</td>
<td>4.23.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Accept &quot;Other Project Role Category&quot; only when &quot;Project Role&quot; is &quot;Other&quot; or &quot;Other Professional&quot;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Senior &amp; key person x, Degree Type</td>
<td>4.31.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>If PD/PI role is selected, provide a warning if no degrees have been included on the application and are listed in Commons Personal Profile</td>
<td></td>
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<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Senior &amp; key person x, Degree Year</td>
<td>4.32.1</td>
<td>V1_2 Adobe Forms B</td>
<td>N</td>
<td>N</td>
<td>Limited to four pages</td>
<td></td>
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<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Senior &amp; key person x, Biosketch</td>
<td>4.24.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For S10 applications, provide warning if no attachment is provided for any three senior/key persons with project role of 'Other (specify)' or with</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Senior &amp; key person x, Current and Pending Support</td>
<td>4.25.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Less than 3 Current and Pending Support attachments have been included for the major user group cohort on the Senior/Key Person page. The application will be processed, but a concern may be raised during review.</td>
<td></td>
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</tr>
</tbody>
</table>

For key person <First Name Last Name> on the Senior/Key Person page, an ‘Other Project Role Category’ was submitted for a project role of <project role>. This can be used only when Project Role is "Other" or "Other Professional".

No degrees are listed for the PD/PI in the Commons Profile or have been submitted on the R&R Senior/Key Profile. If the degrees listed in the eRA Commons are not current, please update them in the eRA Commons. Instructions on updating profile information are available at [https://commons.era.nih.gov/commons-help/216.htm](https://commons.era.nih.gov/commons-help/216.htm).
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
<th>Rule</th>
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<th>Validation</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Additional Senior/Key Person Profiles</td>
<td>4.26.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>For version 1.0 of Key Person component, accept only if eight key personnel have been submitted on the Senior/Key Person page. An Additional Senior/Key Person Profiles attachment may be submitted only if eight senior/key person profiles have been submitted on the Senior/Key Person page.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Additional Senior/Key Person Profiles</td>
<td>4.26.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>For the Research &amp; Related Senior/Key Person Expanded version of Key Person component, accept only if 40 key personnel have been submitted on the Senior/Key Person page. An Additional Senior/Key Person Profiles attachment may be submitted only if 40 senior/key person profiles have been submitted on the Senior/Key Person page.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Additional Senior/Key Person Profiles</td>
<td>4.26.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Provide error if included for a DP1 or DP2 application. The Additional Senior/Key Person Profiles attachment cannot be submitted for this application.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Additional Senior/Key Person Biosketch</td>
<td>4.27.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Accept only if an Additional Senior/Key Person Profiles attachment has been submitted and accepted. An Additional Senior/Key Person Biosketch attachment may be submitted on the Senior/Key Person page only if an Additional Senior/Key Person Profiles attachment has been submitted and accepted.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Additional Senior/Key Person Biosketch</td>
<td>4.27.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Provide error if included for a DP1 or DP2 application. The Additional Senior/Key Person Biosketch attachment cannot be submitted for this application.</td>
</tr>
<tr>
<td>Senior/Key</td>
<td>Additional</td>
<td>4.28.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Accept only if an</td>
</tr>
<tr>
<td>Form</td>
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<td>Rule</td>
<td>Form Version/Packag e</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<tr>
<td>Person (R&amp;R)</td>
<td>Senior/Key Person Current and Pending Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Additional Senior/Key Person Profiles attachment has been submitted and accepted.</td>
<td>Person Current and Pending Support attachment may be submitted on the Senior/Key Person page only if an Additional Senior/Key Person Profiles attachment has been submitted and accepted.</td>
</tr>
<tr>
<td>Senior/Key Person (R&amp;R)</td>
<td>Additional Senior/Key Person Current and Pending Support</td>
<td>4.28.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Provide error if included for a DP1 or DP2 application.</td>
<td>The Additional Senior/Key Person Current and Pending Support attachment cannot be submitted for this application.</td>
</tr>
</tbody>
</table>

**R&R Budget**

**Budget, A&B, Year X (R&R)**

<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
<th>Rule</th>
<th>Form Version/Packag e</th>
<th>Minimum Validation (Y/N)</th>
<th>Limited Validation (Y/N)</th>
<th>Error/Warning (E/W)</th>
<th>Validation</th>
<th>Error Message</th>
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</thead>
<tbody>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
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<td></td>
<td>Unless specifically stated, all project budget validations also apply to the subaward budget.</td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>5.0.1</td>
<td>Y</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Accept submission of modular budget or detailed budget, but not both (Minimum Validations)</td>
<td>Both a modular and a detailed budget have been included with this submission. One or the other may be submitted.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>5.0.2</td>
<td>Y</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Require a submission of either a modular budget or</td>
<td>You must include a budget component with this application.</td>
</tr>
<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
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<td>Budget, A&amp;B, Year x (R&amp;R)</td>
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<td>5.0.3</td>
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<td>N</td>
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<td>E</td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.4</td>
<td></td>
<td>N</td>
<td>N</td>
<td>W</td>
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</tbody>
</table>

- **5.0.3**: A subaward budget should not be accepted if a modular budget has been included.

- **5.0.4**: An application in response to an R03, R21, R34, or U34 opportunity (but not R21/R33) must be submitted with a modular budget. Non-NIH applications and ‘opt out’ announcements are exempt from this validation. Applications where the applicant organization is foreign are also exempt from this validation. Changed from Error to Warning.

The following mechanisms are exempt from this validation: S10, X01, X02, C06, UC6, G20, DP1, DP2, DP3, F, all Ts, K12, KM1, D43, D71 and U2R. Type 3, 6 and 7 applications are excluded from this validation. (Minimum Validations)
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
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<th>Form Version/ Package</th>
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<th>Error Message</th>
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</thead>
<tbody>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.4.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Warning</td>
<td>An application in response to an SC1, SC2, or SC3 opportunity must be submitted with a modular budget. SC1, SC2, and SC3 applications must use the PHS 398 Modular Budget Form and not the SF 424 R&amp;R Budget Form.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.5</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>Warning</td>
<td>For a revision, if the parent grant budget is modular, only a modular budget component may be submitted. (change from Error to a Warning and Text updated) The parent grant for this revision uses the modular format; in most cases, this application should be submitted with a modular budget. If the budget caps permitted by the FOA exceed the modular limit of $250k, the application must be submitted with a detailed budget.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.6</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Warning</td>
<td>For an STTR submission, there must be at least one budget included with budget type of subaward/consortium for each year of the STTR (project) budget. A Research Institution Budget page must be included for each year of an STTR submission</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.7</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Warning</td>
<td>For an S11 application, there must be at least one budget included with budget type of subaward/consortium for each year of the project budget. A subaward budget must be included with this submission for the Collaborator, for each year included on the project budget.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.8</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>Warning</td>
<td>For an S21/S22 application, provide a warning if a fourth No more than three budget years should be included on the 424 RR Budget. The</td>
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<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td></td>
<td>5.0.9</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an R15 application (activity code on funding opportunity = ‘R15’), return error if more than one budget period has been included.</td>
<td>An AREA grant should be submitted for one budget period only (see the SF 424 R&amp;R Budget).</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Organizationa l DUNS</td>
<td>5.1.1</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required for budget type ‘Subaward/Consortium’</td>
<td>The Organizational DUNS has not been included for Sections A&amp;B for &lt;name of organization&gt; on the 424 RR Budget page.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Organizationa l DUNS</td>
<td>5.1.2</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>One and only one budget should contain the DUNS of the applicant organization.</td>
<td>The project budget must contain the DUNS number for the applicant organization on the 424 RR Budget Page. This number should not appear on a Subaward budget; i.e., a Subaward budget must have a different DUNS number entered.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Organizationa l DUNS</td>
<td>5.1.3</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>This must be the budget that has been identified as ‘Project’</td>
<td>A Subaward budget has been identified for the applicant organization. All budget requirements for the applicant organization must be included in the project budget.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Budget type (project, subaward/consortium)</td>
<td>5.2.1</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If a detailed budget is included, there must be one and only one occurrence with a value of ‘Project’.</td>
<td>Only one budget with a budget type of ‘Project’ for Sections A&amp;B may be submitted on the 424 RR Budget page.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x</td>
<td>Name of organization</td>
<td>5.3.1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>If multiple detailed budgets have been</td>
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<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<tr>
<td>(R&amp;R)</td>
<td>(for subaward consortium)</td>
<td></td>
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<td></td>
<td>included in the submission, all budget error and warning messages should include the name of the organization for which the budget validation has failed.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Start Date</td>
<td>5.4.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>For budget year 1, for Budget Type ‘Project’, for new applications and resubmissions, must be the same as the Proposed Project Start Date listed on the SF 424 RR Face Page.</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Start Date</td>
<td>5.4.1.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>For budget year 1, for Budget Type ‘Project’, for new applications and resubmissions, must be the same as the Proposed Project Start Date listed on the SF 424 RR Face Page. For new applications and resubmissions, the start date for the first budget year on the 424 RR Budget page must be the same as the proposed project start date listed on the SF 424 RR Cover page. &lt;Organization Name&gt;</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Start Date</td>
<td>5.4.2</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>The start date for budget year &lt;budget year&gt; must be equal to or later than the proposed project start date listed on the SF 424 RR Cover page.</td>
</tr>
<tr>
<td>Budget, Start Date</td>
<td>5.4.2.</td>
<td></td>
<td></td>
<td></td>
<td>E</td>
<td></td>
<td></td>
<td>The start date for budget year</td>
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<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<td>A&amp;B, Year x (R&amp;R)</td>
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<td></td>
<td>after budget year 1, must be greater than or equal to the Proposed Project Start Date listed on the SF 424 RR Face Page.</td>
<td>&lt;budget year&gt; must be equal to or later than the proposed project start date listed on the SF 424 RR Cover page.  &lt;Organization Name&gt;</td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>End Date</td>
<td>5.5.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be greater than the budget start date and less than or equal to the Project Period End Date, both listed on the SF 424 RR Face Page.</td>
<td>The end date for budget year &lt;budget year&gt; must be later than the budget start date and less than or equal to the proposed project end date listed on the SF 424 RR Cover page.</td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Name (prefix, first name, middle name, last name, suffix)</td>
<td>5.6.1</td>
<td>Y</td>
<td></td>
<td></td>
<td>Truncate if first or last name &gt; 30 chars, or if suffix &gt; 5 chars. <em>(Minimum Validations)</em></td>
<td>The name given for the PD/PI for budget year &lt;budget year&gt; on the 424 RR Budget page (section A&amp;B) does not match the name given for the PD/PI on the SF 424 RR Cover.</td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Name (prefix, first name, middle name, last name, suffix)</td>
<td>5.6.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For first senior/key person with Project Role of PD/PI (for the PI listed on the SF 424 RR Cover only), must match Senior/Key Person form last name and first name. Validation does not apply to STTR submissions.</td>
<td>The name given for the PD/PI for budget year &lt;budget year&gt; on the 424 RR Budget page (section A&amp;B) does not match the name given for the PD/PI on the SF 424 RR Cover.</td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Name (prefix, first name, middle name, last name, suffix)</td>
<td>5.6.2.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For first senior/key person with Project Role of PD/PI (for the PI listed on the SF 424 RR Cover only), must match Senior/Key Person</td>
<td>The name given for the PD/PI for budget year &lt;budget year&gt; on the 424 RR Budget page (section A&amp;B) does not match the name given for the PD/PI on the SF 424 RR Cover.  &lt;Organization Name&gt;</td>
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<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Project Role</td>
<td>5.7.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For budgets of type 'Project', there must be at least one record for the budget year with a project role of PD/PI. Validation does not apply to STTR submissions.</td>
<td>There must be a Personnel entry (with a role of &quot;PD/PI&quot;) listed for the PI or PD on the 424 RR Detailed Budget Page (section A&amp;B) for budget year &lt;budget year&gt;.</td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Base Salary</td>
<td>5.8.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Cannot be greater than 99,999,999.99.</td>
<td>The Base Salary for Senior/Key Person First Name Last Name on the 424 RR Budget page (section A&amp;B) for Budget Year &lt; Budget Year&gt; exceeds the allowable amount for the agency.</td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Cal. Mos</td>
<td>5.9.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For non-R13 submissions (except for PD/PIs on STTR submissions), a non-zero value for calendar months, academic months, or summer months is required for each senior/key person.</td>
<td>Senior/Key Person &lt;First name Last name&gt;, listed on the 424 RR Detailed Budget Page for budget year &lt;budget year&gt;, must include effort of a value greater than zero in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see <a href="http://grants.nih.gov/grants/policy/person_months_faq.htm">http://grants.nih.gov/grants/policy/person_months_faq.htm</a></td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Cal. Mos</td>
<td>5.9.1, 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For non-R13 submissions (except for PD/PIs on STTR</td>
<td>Senior/Key Person &lt;First name Last name&gt;, listed on the 424 RR Detailed Budget Page for</td>
<td></td>
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<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
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<td>Validation</td>
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<td>budget year &lt;budget year&gt;, must include effort of a value greater than zero in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see <a href="http://grants.nih.gov/grants/policy/person_months_faqs.htm">http://grants.nih.gov/grants/policy/person_months_faqs.htm</a></td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Cal. Mos</td>
<td>5.9.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an R13 submission, a value for calendar months, academic months, or summer months is required for each senior/key person. The value may be zero.</td>
<td>Senior/Key Person &lt;First name Last name&gt;, listed on the 424 RR Detailed Budget Page for budget year &lt;budget year&gt;, must include effort (zero or greater) in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see <a href="http://grants.nih.gov/grants/policy/person_months_faqs.htm">http://grants.nih.gov/grants/policy/person_months_faqs.htm</a></td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Cal. Mos</td>
<td>5.9.2.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For an R13 submission, a value for calendar months, academic months, or summer months is required for each senior/key person. The value may be zero.</td>
<td>Senior/Key Person &lt;First name Last name&gt;, listed on the 424 RR Detailed Budget Page for budget year &lt;budget year&gt;, must include effort (zero or greater) in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see <a href="http://grants.nih.gov/grants/policy/person_months_faqs.htm">http://grants.nih.gov/grants/policy/person_months_faqs.htm</a></td>
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<td>Form</td>
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<td>Error/Warning (E/W)</td>
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<td>Error Message</td>
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<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Cal. Mos</td>
<td>5.9.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For PD/PIs on STTR submissions, a non-zero value for calendar months, academic months, or summer months is required on either the project budget or the subaward budget. It is not required on both. PD/PI &lt;First name Last name&gt;, listed on the 424 RR Detailed Budget Page for budget year &lt;budget year&gt;, must include effort of a value greater than zero in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see <a href="http://grants.nih.gov/grants/policy/person_months_faqs.htm">http://grants.nih.gov/grants/policy/person_months_faqs.htm</a></td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person Cal. Mos</td>
<td>5.9.3.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>For PD/PIs on STTR submissions, a non-zero value for calendar months, academic months, or summer months is required on either the project budget or the subaward budget. It is not required on both. PD/PI &lt;First name Last name&gt;, listed on the 424 RR Detailed Budget Page for budget year &lt;budget year&gt;, must include effort of a value greater than zero in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see <a href="http://grants.nih.gov/grants/policy/person_months_faqs.htm">http://grants.nih.gov/grants/policy/person_months_faqs.htm</a></td>
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<tr>
<td>Budget, A&amp;B, Year x (R&amp;R)</td>
<td>Senior/Key Person acad. mos</td>
<td>5.10.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide warning if measurable effort (defined as greater Both academic and calendar months have been included for &lt;Senior/Key Person First Name&gt;</td>
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<td>Form</td>
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<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
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<td>Error/Warning (E/W)</td>
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|                                     |                    |        |                       |                          |                          |                      |            | than 0) has been provided for both academic and calendar months for a person for a budget year.  
Last Name> for budget year <budget year> on the 424 RR Budget page (section A&B). Please use either calendar months or a combination of academic and summer months. If effort does not change throughout the year, use the calendar months column. If effort varies between academic and summer months, leave the calendar months column blank and use only the academic and summer month’s columns. |
| Budget, A&B, Year x (R&R)           | Senior/Key Person  | 5.10.  |                       | N                        | N                        | W                    |            | Provide warning if measurable effort (defined as greater than 0) has been provided for both academic and calendar months for a person for a budget year.  
Both academic and calendar months have been included for <Senior/Key Person First Name Last Name> for budget year <budget year> on the 424 RR Budget page (section A&B). Please use either calendar months or a combination of academic and summer months. If effort does not change throughout the year, use the calendar months column. If effort varies between academic and summer months, leave the calendar months column blank and use only the academic and summer month’s columns. <Organization Name> |
<p>|                                     | acad. mos          | 1.1    |                       |                          |                          |                      |            |                                                                                                                                                                                                                                                                                                                                    |
| Budget, A&amp;B, Year x (R&amp;R)           | Senior/Key Person  |        |                       | N                        |                          | N                    | W          | Requested salary                                                                                                                                                                                                                                                                                                                   |
|                                     | Requested salary   |        |                       |                          |                          |                      |            |                                                                                                                                                                                                                                                                                                                                    |</p>
<table>
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<th>Form</th>
<th>Field</th>
<th>Rule</th>
<th>Form Version/Package</th>
<th>Minimum Validation (Y/N)</th>
<th>Limited Validation (Y/N)</th>
<th>Error/Warning (E/W)</th>
<th>Validation</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget, A&amp;B, Year x</td>
<td>Senior/Key Person Fringe</td>
<td>5.13.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Cannot be greater</td>
<td>N</td>
<td>The Fringe Benefit amount for &lt;Senior/Key Person First Name Last Name&gt; on the 424 RR Budget page (section A&amp;B) for Budget Year &lt; Budget Year&gt; exceeds the allowable amount for the agency.</td>
</tr>
<tr>
<td>(R&amp;R)</td>
<td>benefits</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>than 99,999,999.99.</td>
<td></td>
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<tr>
<td>Budget, A&amp;B, Year x</td>
<td>Senior/Key Person Funds</td>
<td>5.14.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be equal to the</td>
<td>N</td>
<td>The Funds Requested for &lt;Senior/Key Person First Name Last Name&gt; on the 424 RR Budget page (section A&amp;B) for Budget Year &lt; Budget Year&gt; does not equal the sum of the Requested Salary and the Fringe Benefits for the corresponding budget year.</td>
</tr>
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<td>(R&amp;R)</td>
<td>Requested</td>
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<td></td>
<td></td>
<td></td>
<td>sum of Requested</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x</td>
<td>Total funds requested for</td>
<td>5.15.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required if Additional</td>
<td>N</td>
<td>If the Additional Senior Key Persons Attachment is included, the total funds that are requested in the attachment must be provided on the 424 RR Budget Page.</td>
</tr>
<tr>
<td>(R&amp;R)</td>
<td>Senior Key Persons in</td>
<td></td>
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<td></td>
<td>Senior Key Persons</td>
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<td></td>
<td>attachment</td>
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<td>Attachment is</td>
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<tr>
<td>Budget, A&amp;B, Year x</td>
<td>Total Funds requested for</td>
<td></td>
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<td></td>
<td></td>
<td>accepted</td>
<td></td>
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<tr>
<td>(R&amp;R)</td>
<td>all senior/key persons</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>only if eight</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget, A&amp;B, Year x</td>
<td>Additional Senior Key</td>
<td>5.17.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Accepted only if</td>
<td>N</td>
<td>An Additional Senior/Key Person attachment may be submitted on the 424 RR Budget page (section A&amp;B) for budget year &lt;budget year&gt; only if eight senior/key persons have been submitted on the budget page.</td>
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<td>(R&amp;R)</td>
<td>Persons attachment</td>
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<td>eight key personnel</td>
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<td>Must equal the sum of Total Funds requested for all senior/key persons</td>
<td>The Total Salary, Wages and Fringe Benefits for Budget Year &lt;Budget Year&gt; on the 424 RR Budget page (section A&amp;B)</td>
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<td>does not equal the sum of Total Funds requested for all senior/key persons and Total Funds Requested for other personnel</td>
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and Total Funds Requested other personnel
### Budget, C, D, E, Year X (R&R)

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<td>Participant/trainee support costs: description of other</td>
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## Budget, F-K, Year X (R&R)

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<td>Must be equal to the sum of other direct costs for the budget year.</td>
<td></td>
<td>The Total Other Direct Costs for Budget Year &lt;Budget Year&gt; on the 424 RR Budget page (section F-K) does not equal the sum of other direct costs for all categories for the corresponding budget year.</td>
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<td>Total Direct Costs (A-F)</td>
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<td>Must be equal to the sum of total salary, wages and fringe benefits, total funds requested for equipment, total travel cost, total participant/trainee</td>
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<td>The Total Direct Costs for A-F for Budget Year &lt;Budget Year&gt; on the 424 RR Budget page (section F-K) does not equal the sum of direct costs for Sections A-F.</td>
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<td>support costs, and total other direct costs</td>
<td>For R01, U01, R03, R21, R34, and U34 submissions that are for NIH, provide warning if subtotal direct costs for every budget year is ( \leq $250K ). Applications where the applicant organization is foreign are exempt from this validation. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for the corresponding year with budget type 'subaward/consortium'.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>7.15.4</td>
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<td>For an S11 submission, provide a warning on a subaward budget if this is greater than $75K.</td>
<td>The total cost per year for a subaward budget should not be greater than $75K. The application will be processed, but a concern may be raised during review.</td>
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<tr>
<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>7.15.5</td>
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<td>For a G11 submission, provide a warning if subtotal direct costs for budget year 1 is greater than $60K. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for</td>
<td>Direct cost requests (on the 424 RR Budget page section F-K) for the first budget year should not be greater than $60K. The application will be processed, but concerns may be raised during review.</td>
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The direct cost requests of $250K or less each year (on the 424 RR Budget page section F-K) must be in modules of $25K, using the PHS 398 Modular Budget Form and not the R&R Budget Form. Incorrect applications may be delayed in the peer review process or rejected.
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<td>For a G13 submission, subtotal direct costs on the project budget cannot be greater than 50k. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for the corresponding year with budget type ‘subaward/consortium’ .</td>
<td>Direct cost requests (on the 424 RR Budget page section F-K) cannot be greater than $50K.</td>
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<td>Total Direct Costs (A-F)</td>
<td>7.15.7</td>
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<td>Y Standard</td>
<td>W</td>
<td>For non-SBIR/STTR submissions, non-S21 or S22 submissions, and submissions that are not in response to an RFA, provide warning if subtotal direct costs for any budget year is &gt;= 500K (LV for R01, U01, R18, U18, R25). Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for the corresponding year with budget type ‘subaward/consortium’ .</td>
<td>Direct cost requests (on the 424 RR Budget page section F-K) &gt;=$500k a year need agreement from ICs, except for RFAs or PAs with budgetary limits. Applications without such approval may be delayed or not accepted for review.</td>
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<td>7.15.7</td>
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<td>W</td>
<td>For R01, U01, R18, U18, R25 (LV) provide warning if subtotal direct costs for any budget year is ( \geq ) 500K. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for the corresponding year with budget type 'subaward/consortium'. Warning message for 'opt out' announcements: Be sure that you have complied with the allowable direct cost limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>N</td>
<td>W</td>
<td>For R15 submissions provide warning if subtotal direct costs for any budget period is ( \geq ) 300K. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for the corresponding year with budget type 'subaward/consortium'. Direct cost requests (on the 424 RR Budget page section F-K) are limited to $300k for AREA grants. Applications that exceed this limit may be delayed or not accepted for review.</td>
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<tr>
<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>7.15.9</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>For K12 and KM1 provide warning if subtotal direct costs for any budget year is ( \geq ) 500K. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect The Total Direct Cost Provided in the SF424 RR Budget might be in excess of the amount allowed. Please refer to the FOA for Budget limitations and special approval required.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Indirect Costs, Indirect Cost Type</td>
<td>7.16.1</td>
<td>Y</td>
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<td>Costs for all budgets for the corresponding year with budget type 'subaward/consortium'. Allow submissions to come in with no indirect costs.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Indirect Costs, Indirect Cost Rate</td>
<td>7.17.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
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<td>Provide warning if less than 1.</td>
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<td>Indirect Costs, Indirect Cost Rate</td>
<td>7.17.2</td>
<td>N</td>
<td>N</td>
<td>W</td>
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<td>Warning message: The Indirect Cost Rate (on the 424 RR Budget page section F-K) is not equal to 8 for budget Year &lt;Budget Year&gt;.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Indirect Costs, Indirect Cost Base</td>
<td>7.18.1</td>
<td>N</td>
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<td>Provide an error if included on a G08, S21, or S22 application. No indirect cost base may be included for this application on the 424 RR Budget page section F-K, budget year &lt;budget year&gt;.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Indirect Costs, Funds Requested</td>
<td>7.19.1</td>
<td>N</td>
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<td>Provide an error if included on a G08, S21, or S22 application. No indirect cost funds may be requested for this application on the 424 RR Budget page section F-K, budget year &lt;budget year&gt;.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Indirect Costs, Cognizant Federal Agency</td>
<td>7.20.1</td>
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<td>Must be equal to funds The Total Indirect Costs for</td>
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<td>Budget, F-</td>
<td>Total Indirect</td>
<td>7.21.1</td>
<td>N</td>
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<td>K, Year x (R&amp;R)</td>
<td>Costs</td>
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<td>Budget Year &lt;Budget Year&gt; on the 424 RR Budget page (section F-K) does not equal the sum of indirect costs for each indirect cost type.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
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<td>N</td>
<td>E</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Total Direct and Indirect Costs</td>
<td>7.22.2</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>The Total Direct and Indirect Costs Funds Requested for Year x is required on the 424 RR Budget page (section F-K).</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Fee</td>
<td>7.23.1</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td>A fee cannot be entered for a subaward/consortium budget.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Budget Justification</td>
<td>7.24.1</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>A fee has been entered for year &lt;x&gt; of the Project budget on the 424 RR Budget page (section F-K). A Budget Justification must be included if a fee has been entered.</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
<td>Budget Justification</td>
<td>7.24.2</td>
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<td>The Phase II cost limitation of 750k has been exceeded. Please explain the deviation in the Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>Budget, F-K, Year x (R&amp;R)</td>
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<td>The Phase II cost limitation of 750k has been exceeded. Please explain the deviation in the Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>blank or null. Cost limitation is 750k, calculated as total cost (direct cost, indirect cost, and fee).</td>
<td>The Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>If Fast-Track cost limitation is exceeded, must not be blank or null. Cost limitation is 850k, calculated as total cost (direct cost, indirect cost, and fee).</td>
<td>The Fast-Track cost limitation of 850k has been exceeded. Please explain the deviation in the Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>If Phase I SBIR time limitation is exceeded, must not be blank or null. Time limitation is six months, calculated as the time between the start date of the first budget period and the end date of the last budget period.</td>
<td>The Phase I SBIR time limitation of six months has been exceeded. Please explain the deviation in the Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>If Phase I STTR time limitation is exceeded, must not be blank or null. Time limitation is one year, calculated as the time between the start date of the first budget period and the end date of the last budget period.</td>
<td>The Phase I STTR time limitation of one year has been exceeded. Please explain the deviation in the Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>If Phase II SBIR/STTR time limitation is exceeded, must not be blank or null. Time limitation is two years, calculated as the time</td>
<td>The Phase II SBIR/STTR time limitation of two years has been exceeded. Please explain the deviation in the Budget Justification on the 424 RR Budget page (section F-K).</td>
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<td>between the start date of the first budget period and the end date of the last budget period.</td>
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**Cumulative Budget (R&R)**

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<td>Section C, Equipment Totals</td>
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<td>Required.</td>
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<td>The 424 RR Cumulative Budget Direct Costs is required.</td>
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<td>The 424 RR Cumulative Budget Total Direct Costs does not equal the sum of Total Direct Costs for all budget years.</td>
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<td>For a G08 submission with one budget period, must exceed $150k if one budget</td>
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<td>8.25.4</td>
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<td>For a G08 submission with two budget periods, must be less than or equal to $150k.</td>
<td>be less than or equal to $150k.</td>
<td>The 424 RR Cumulative Budget Total Direct Costs cannot exceed $300k if two budget periods have been included.</td>
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<td>Section G, Direct Costs (A-F), total</td>
<td>8.25.5</td>
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<td>For a G08 submission with three budget periods, must be less than or equal to $450k.</td>
<td>be less than or equal to $450k.</td>
<td>The 424 RR Cumulative Budget Total Direct Costs cannot exceed $450k if three budget periods have been included.</td>
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<td>Section G, Direct Costs (A-F), total</td>
<td>8.25.6</td>
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<td>Cannot be greater than 99,999,999.99.</td>
<td>Cannot be greater than 99,999,999.99.</td>
<td>The Direct Costs (A-F) on the Cumulative 424 RR Budget page (section G) exceeds the allowable amount for the agency.</td>
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<tr>
<td>Cumulative Budget (R&amp;R)</td>
<td>Section H, Indirect Costs</td>
<td>8.26.1</td>
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<td>Must be equal to the sum of Total Indirect Costs for every budget year for this budget.</td>
<td>Must be equal to the sum of Total Indirect Costs for every budget year for this budget.</td>
<td>The 424 RR Cumulative Budget Total Indirect Costs does not equal the sum of Total Indirect Costs for all budget years.</td>
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<td>Section H, Indirect Costs</td>
<td>8.26.2</td>
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<td>E</td>
<td>Cannot be greater than 99,999,999.99.</td>
<td>Cannot be greater than 99,999,999.99.</td>
<td>The Indirect Costs on the Cumulative 424 RR Budget page (section H) exceeds the allowable amount for the agency.</td>
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<tr>
<td>Cumulative Budget (R&amp;R)</td>
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**Construction Budget (R&R)**

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<td>Total Project Costs, Costs Not Allowable for Participation</td>
<td>9.47.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Provide error if not equal to line 14 minus line 15, Costs Not Allowable for Participation</td>
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<tr>
<td>Construction Budget (R&amp;R)</td>
<td>Total Project Costs, Total Allowable Costs</td>
<td>9.48.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>The Total Project Costs, Total Allowable Costs on the Construction Budget must be equal to the difference of columns A (Total Cost) and B (Costs Not Allowable for Participation)</td>
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<td>Construction Budget (R&amp;R)</td>
<td>Total Project Costs, Total Allowable Costs</td>
<td>9.48.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>The Total Project Costs, Total Allowable Costs on the Construction Budget must be equal to the subtotal minus the Project Income.</td>
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<td>Construction Budget (R&amp;R)</td>
<td>Federal Funding</td>
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<td>Construction Budget (R&amp;R)</td>
<td>Federal Assistance Requested</td>
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<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<tr>
<td>SBIR/STTR (NIH)</td>
<td>Program Type (SBIR, STTR, Both)</td>
<td>10.1. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>‘Both’ is not a valid choice.</td>
<td></td>
<td>For submissions to this agency, “Both” is not an acceptable value for the “Program Type” field on the 424 RR SBIR/STTR Information Component.</td>
</tr>
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<td>SBIR/STTR (NIH)</td>
<td>Program Type (SBIR, STTR, Both)</td>
<td>10.1. 2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Choice must be consistent with the information stored for the announcement: if the announcement is indicated as ‘SBIR’, ‘SBIR’ must be selected; if announcement is indicated as ‘STTR’, ‘STTR’ must be selected.</td>
<td></td>
<td>You have selected a Program Type of &lt;Program Type&gt; on the SBIR/STTR component on the SBIR/STTR Information page. That is not the correct program type for this announcement. Please refer to the FOA for the correct program type for this application.</td>
</tr>
<tr>
<td>SBIR/STTR (NIH)</td>
<td>SBIR/STTR Type (Phase I, Phase II, Fast-Track)</td>
<td>10.2. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>One and only one choice may be made.</td>
<td></td>
<td>Please select one SBIR/STTR Type: Phase I, Phase II, or Fast-Track (424 RR SBIR/STTR Information Component).</td>
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<td>SBIR/STTR (NIH)</td>
<td>Question 1.a Small Business Eligibility (Y/N)</td>
<td>10.3. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required.</td>
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<td>SBIR/STTR (NIH)</td>
<td>Question 1b. Anticipated number of personnel</td>
<td>10.18</td>
<td>V1_2 Adobe Forms B</td>
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<td>SBIR/STTR (NIH)</td>
<td>Question 2. Are</td>
<td>10.4. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required.</td>
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<tr>
<td>SBIR/STTR  (NIH)</td>
<td>Name of Labs/Agencies For Subcontracts</td>
<td>10.5. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required entry if response to ‘Are Subcontracts Included?’ is ‘Yes’.</td>
<td></td>
<td>If Question 2 on the SBIR/STTR Information Component indicates that subcontracts are included, the name(s) of labs or agencies for subcontracts must be included.</td>
</tr>
<tr>
<td>SBIR/STTR  (NIH)</td>
<td>Name of Labs/Agencies For Subcontracts</td>
<td>10.5. 2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Cannot be included if response to ‘Are Subcontracts Included?’ is ‘No’.</td>
<td></td>
<td>If Question 2 on the SBIR/STTR Information Component indicates that subcontracts are not included, the name(s) of labs or agencies for subcontracts cannot be included.</td>
</tr>
<tr>
<td>SBIR/STTR  (NIH)</td>
<td>Question 3. Located in HUBZone (Y/N)</td>
<td>10.6. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required.</td>
<td></td>
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</tr>
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<td>SBIR/STTR  (NIH)</td>
<td>Question 4. Research to be Performed in US? (Y/N)</td>
<td>10.7. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required.</td>
<td></td>
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<td>SBIR/STTR  (NIH)</td>
<td>Explanation of Foreign Performance</td>
<td>10.8. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be included if answer to ‘work to be performed in US’ question is ‘no’.</td>
<td></td>
<td>If Question 4 on the SBIR/STTR Information Component indicates that research is not to be performed in the US, an explanation attachment must be provided.</td>
</tr>
<tr>
<td>SBIR/STTR  (NIH)</td>
<td>Explanation of Foreign Performance</td>
<td>10.8. 2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Cannot be included if answer to ‘work to be performed in US’ question is ‘yes’.</td>
<td></td>
<td>If Question 4 on the SBIR/STTR Information Component indicates that research is to be performed in the US, an explanation attachment cannot be provided.</td>
</tr>
<tr>
<td>SBIR/STTR</td>
<td>Question 5.</td>
<td>10.9.</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required.</td>
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<td>(NIH)</td>
<td>Equivalent Submissions (Y/N)</td>
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<td>SBIR/STTR (NIH)</td>
<td>Names of other Federal agencies for equivalent work</td>
<td>10.10.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required entry if answer to ‘submittal of equivalent work to other agencies’ question is ‘yes’. If the answer of the question 5 on the SBIR/STTR form is Yes, name of other Federal agencies for equivalent work must be provided.</td>
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<td>Names of other Federal agencies for equivalent work</td>
<td>10.10.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Cannot be included if answer to ‘submittal of equivalent work to other agencies’ question is ‘no’. If the answer of the question 5 on the SBIR/STTR form is No, name of other Federal agencies for equivalent work can not be provided.</td>
<td></td>
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<tr>
<td>SBIR/STTR (NIH)</td>
<td>Question 6. Disclosure Permission Statement (Y/N)</td>
<td>10.11.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required</td>
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<td>SBIR/STTR (NIH)</td>
<td>Commercialization Plan Attachment</td>
<td>10.12.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Cannot be submitted for anything other than Phase II or Fast Track submissions. A Commercialization Plan can only be submitted for Phase II and Fast Track submissions on the SBIR/STTR Information Component</td>
<td></td>
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<td>SBIR/STTR (NIH)</td>
<td>Commercialization Plan Attachment</td>
<td>10.12.3</td>
<td>N</td>
<td>Y</td>
<td>E</td>
<td>Limited to 12 pages (LV). The Commercialization Plan is limited to 12 pages for this application on the SBIR/STTR Form.</td>
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<tr>
<td>SBIR/STTR (NIH)</td>
<td>Commercialization Plan Attachment</td>
<td>10.12.3.1</td>
<td>N</td>
<td>Y</td>
<td>Opt out</td>
<td>W</td>
<td>Limited to 12 pages (LV). Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable page limitations for the Commercialization Plan for</td>
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<tr>
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<td>SBIR/STTR (NIH)</td>
<td>Commercialization Plan Attachment</td>
<td>N</td>
<td></td>
<td>Y</td>
<td>Opt out</td>
<td>W</td>
<td>Limited to 15 pages (LV).</td>
<td>this FOA. Otherwise, your application may be delayed and rejected in the review process.</td>
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<tr>
<td>SBIR/STTR (NIH)</td>
<td>Question 8. Receipt of Phase II SBIR Awards (Y/N)</td>
<td>N</td>
<td>10.13 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required for SBIR</td>
<td>Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable page limitations for the Commercialization Plan for this FOA. Otherwise, your application may be delayed and rejected in the review process.</td>
</tr>
<tr>
<td>SBIR/STTR (NIH)</td>
<td>Company Commercialization History Attachment</td>
<td>N</td>
<td>10.14 .1</td>
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<td>N</td>
<td>E</td>
<td>Required for SBIR</td>
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<td>SBIR/STTR (NIH)</td>
<td>Question 9. SBIR PD/PI Primary Employment (Y/N)</td>
<td>N</td>
<td>10.15 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required for SBIR</td>
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<td>SBIR/STTR (NIH)</td>
<td>Question 10. STTR PD/PI Commitment (Y/N)</td>
<td>N</td>
<td>10.16 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required for STTR</td>
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<td>SBIR/STTR (NIH)</td>
<td>Question 11. STTR work percentages (Y/N)</td>
<td>N</td>
<td>10.17 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required for STTR</td>
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<td>Rule</td>
<td>Form Version/Package</td>
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<td>PD/PI Information (prefix, first, middle, last, suffix)</td>
<td>11.1</td>
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<tr>
<td>Cover Page (NIH)</td>
<td>Human Subjects Clinical Trial (Y/N)</td>
<td>11.4</td>
<td>1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>If the application includes the 398 Cover Page Supplement component, an answer is required if the answer to 'Human Subjects Involved' is &quot;Yes&quot;.</td>
</tr>
<tr>
<td>Cover Page (NIH)</td>
<td>Human Subjects Clinical Trial (Y/N)</td>
<td>11.4</td>
<td>2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>The Human Subjects Clinical Trial question on the PHS 398 Cover Page Supplement must be answered if the answer to 'Human Subjects Involved' on the Other Project Information page is &quot;Yes&quot;.</td>
</tr>
<tr>
<td>Cover Page (NIH)</td>
<td>Human Subjects NIH-Defined Phase III Clinical Trial (Y/N)</td>
<td>11.4</td>
<td>3</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>The answer to the Human Subjects Clinical Trial question on the PHS 398 Cover Page Supplement should not be 'Yes'. The application will be processed, but a concern may be raised during review.</td>
</tr>
<tr>
<td>Cover Page (NIH)</td>
<td>Human Subjects NIH-Defined Phase III Clinical Trial (Y/N)</td>
<td>11.5</td>
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<td>N</td>
<td>E</td>
<td></td>
<td>An answer is required if the answer to 'Human Subjects Clinical Trial' is &quot;Yes&quot;.</td>
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<td>The Human Subjects NIH-Defined Phase III Clinical Trial question on the PHS 398 Cover Page Supplement must be answered if the answer to the Human Subjects Clinical Trial is &quot;Yes&quot;.</td>
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<td>Human Subjects NIH-Defined Phase III Clinical Trial (Y/N)</td>
<td>11.5.2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If Human Subjects Clinical Trial is false, must be false</td>
<td>The Human Subjects NIH-Defined Phase III Clinical Trial on the PHS 398 Cover Page Supplement must be “No” if the answer to the Human Subjects Clinical Trial question is “No”</td>
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<td>Cover Page (NIH)</td>
<td>Applicant Organization Contact Information</td>
<td>11.6</td>
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<td>Applicant Organization Contact Street Address (1 and 2)</td>
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<td>If either line&gt;50 characters, truncate. (Minimum Validations)</td>
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<td>Applicant Organization Contact State</td>
<td>11.11.1</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Required if country is US. (Minimum Validations)</td>
<td>The Applicant Organization State on the PHS 398 Cover Page Supplement must be supplied for US addresses.</td>
<td></td>
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<tr>
<td>Cover Page (NIH)</td>
<td>Applicant Organization Contact State</td>
<td>11.11.2</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>If country is not US must be blank. (Minimum Validations)</td>
<td>The Applicant Organization State on the PHS 398 Cover Page Supplement should be blank for all countries other than the United States.</td>
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<td>Form Version/Package</td>
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<td>Y</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Transform state name to 2 char. abbreviation before validating and storing. If state name can’t be transformed, give error. (Minimum Validations)</td>
<td>The Applicant Organization State on the PHS 398 Cover Page Supplement is not a valid state name.</td>
</tr>
<tr>
<td>Cover Page (NIH)</td>
<td>Applicant Organization Contact Province</td>
<td>11.12 .2</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>If country is not Canada must be blank. (Minimum Validations)</td>
<td>The Applicant Organization Province on the PHS 398 Cover Page Supplement should be blank for all countries other than Canada.</td>
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<tr>
<td>Cover Page (NIH)</td>
<td>Applicant Organization Contact Province</td>
<td>11.12 .3</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td>Transform province name to 2 char. abbreviation before validating and storing. If province name can’t be transformed, give error. (Minimum Validations)</td>
<td>The Applicant Organization Province on the PHS 398 Cover Page Supplement is not a valid province name.</td>
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<td>11.13 .2</td>
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<td>N</td>
<td>E</td>
<td>Must be 5 or 9 numeric digits if country is US. (Minimum Validations)</td>
<td>The Applicant Organization Zip Code on the PHS 398 Cover Page Supplement must be entered in 5-digit or 9-digit format.</td>
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<td>Applicant</td>
<td>11.13</td>
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<td>than US, if &gt;9 characters, truncate (remove any dashes before truncating). (Minimum Validations)</td>
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<td>Cover Page</td>
<td>Applicant Organization</td>
<td>11.14</td>
<td>N</td>
<td>N</td>
<td>E</td>
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<td>Must be a valid ISO 3166-1 alpha-3 country code.</td>
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<td>Contact Country</td>
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<td>The Applicant Organization country code provided (&lt;Country&gt;) on the PHS 398 Cover Page Supplement is not a valid ISO 3166-1 alpha-3 country code.</td>
</tr>
<tr>
<td>Cover Page</td>
<td>HESC Involved</td>
<td>11.15</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
<td>For S10 application, display a warning if this is true.</td>
</tr>
<tr>
<td>(NIH)</td>
<td>(Y/N)</td>
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<td></td>
<td>The answer to the HESC Involved question on the PHS 398 Cover Page Supplement should be ‘No’. The application will be processed, but a concern may be raised during review.</td>
</tr>
<tr>
<td>Cover Page</td>
<td>HESC Involved</td>
<td>11.15</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>A response is required for this element.</td>
</tr>
<tr>
<td>(NIH)</td>
<td>(Y/N)</td>
<td></td>
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<td>A response of ‘Yes’ or ‘No’ is required for the HESC Involved (Y/N) element on the PHS 398 Cover Page.</td>
</tr>
<tr>
<td>Cover Page</td>
<td>HESC Cell Lines</td>
<td>11.16</td>
<td>Y</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>If HESC involved='Y', must include this or 'Can’t be Referenced' (Minimum Validations)</td>
</tr>
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<td>(NIH)</td>
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<td>If the answer to ‘HESC involved’ is “Yes” on the R PHS 398 Cover Page Supplement, HESC Cell Lines must be included or the ‘Can’t be Referenced’ checkbox must be checked.</td>
</tr>
<tr>
<td>Cover Page</td>
<td>HESC Cell Lines</td>
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<td>If HESC involved='N', can’t include this or 'Can’t be Referenced' (Minimum Validations)</td>
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<td>If the answer to ‘HESC involved’ is “No” on the PHS 398 Cover Page Supplement, HESC Cell Lines may not be included and the ‘Can’t be Referenced’ checkbox must not be checked.</td>
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<tr>
<td>Cover Page</td>
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<td>11.16</td>
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<td>N</td>
<td>E</td>
<td></td>
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<td>If specific stem cell line is included, provide error if stem</td>
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<td>Stem cell line &lt;cell line number&gt; on the PHS Cover Page Supplement is invalid.</td>
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<td>cell line is not in eRA database or is marked as invalid. Comparison should not be case-sensitive. (Minimum Validations)</td>
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<td>The cell line must be an approved line on the NIH Registry: <a href="http://grants.nih.gov/stem_cells/registry/current.htm">http://grants.nih.gov/stem_cells/registry/current.htm</a></td>
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<td>If ‘Can’t Be Referenced’ is checked, no other cell lines may be entered.</td>
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<td>E</td>
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<td>If the ‘Can’t be Referenced’ checkbox is checked on the PHS 398 Cover Page Supplement, no other stem cell lines may be entered.</td>
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<td>If the answer to ‘HESC involved’ is “Yes” on the PHS 398 Cover Page Supplement, HESC Cell Lines must be included or the ‘Can’t be Referenced’ checkbox must be checked.</td>
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<td>If HESC involved=’N’, can’t include this or ‘HESC Cell Lines’ (Minimum Validations)</td>
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**Modular Budget Years 1-5 (NIH)**

<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
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<th>Form Version/Package</th>
<th>Minimum Validation (Y/N)</th>
<th>Limited Validation (Y/N)</th>
<th>Error/Warning (E/W)</th>
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<th>Error Message</th>
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<tr>
<td>Modular Budget, Years 1-5</td>
<td></td>
<td>12.0.</td>
<td>1</td>
<td>Y</td>
<td>N</td>
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<td>Accept submission of modular budget or detailed budget, but not both (Minimum Validations)</td>
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<td>(NIH)</td>
<td></td>
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<td></td>
<td>Both a modular and a detailed budget have been included with this submission. One or the other may be submitted.</td>
</tr>
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<td>12.0.</td>
<td>N</td>
<td>N</td>
<td>E</td>
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<td>Do not accept a Modular budgets may not be</td>
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<td>Limited Validation (Y/N)</td>
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<td>Budget, Years 1-5 (NIH)</td>
<td>2</td>
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<td>modular budget for R13 applications (activity code on funding opportunity = ‘R13’ or ‘U13’)</td>
<td>submitted for Conference Grant applications.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
<td>12.0.3</td>
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<td>E</td>
<td></td>
<td>Do not accept a modular budget for an application where the applicant organization is foreign</td>
<td>Applications with modular budgets may not be submitted by a foreign applicant organization. Please submit using the 424 RR Budget component.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
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<td>N</td>
<td>N</td>
<td>W</td>
<td></td>
<td>For a revision, if the parent grant budget is non-modular, only a detailed budget component may be submitted.</td>
<td>The parent grant for this revision uses the non-modular format; therefore, this application may include a detailed R&amp;R budget component only.</td>
<td></td>
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<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
<td>12.0.5</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>For an R15 application (activity code on funding opportunity = ‘R15’), return error if more than one budget period has been included.</td>
<td>An AREA grant should be submitted for one budget period only (see the PHS 398 Modular Budget).</td>
<td></td>
</tr>
<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
<td>12.0.6</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Do not accept a modular budget for SBIR/STTR applications</td>
<td>Modular budgets may not be submitted for SBIR/STTR submissions.</td>
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<td>N</td>
<td>E</td>
<td></td>
<td>For an SC2 application, provide an error if more than three budget periods have been included</td>
<td>An SC2 application may be submitted for a maximum of three budget periods.</td>
<td></td>
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<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
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<td>N</td>
<td>E</td>
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<td>For an SC3 application, provide an error if more than four budget periods</td>
<td>An SC3 application may be submitted for a maximum of four budget periods.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Start Date</td>
<td>12.1. 1</td>
<td>Y</td>
<td>N</td>
<td>W</td>
<td>For budget period 1, if entered, for new applications and resubmissions to new applications, must be the same as the Project Start Date listed on the SF 424 RR Face Page. For new applications and resubmissions, the modular budget year 1 start date must be the same as the proposed project start date listed on the SF 424 RR Cover Page.</td>
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<tr>
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<td>Start Date</td>
<td>12.1. 2</td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>For budget years after budget year 1, if entered, must be greater than or equal to the Proposed Project Start Date listed on the SF 424 RR Face Page. The start date for budget year &lt;budget year&gt; must be equal to or later than the proposed project start date listed on the SF 424 RR Cover page.</td>
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<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
<td>End Date</td>
<td>12.2. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Budget period end date must be greater than budget period start date and less than or equal to project period end date. The modular budget year &lt;budget year&gt; end date must be later than the modular budget year &lt;budget year&gt; start date and less than or equal to the proposed project end date listed on the SF 424 RR Cover page.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Direct Costs,</td>
<td>12.3. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be &lt;= 250K, must be a multiple of 25K for each budget year The total direct costs for modular budget year &lt;budget year&gt; are greater than $250K, or are not in increments of $25K.</td>
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<td></td>
<td>Direct Cost</td>
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<td>Less Consortium, F&amp;A</td>
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<td>Direct Costs,</td>
<td>12.3. 3</td>
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<td>Y Standard</td>
<td>W</td>
<td>For R03 submissions, provide warning if this value for any budget year is &gt;50K (LV). Direct cost requests are limited to $50k a year for this application (PHS 398 Modular Budget, Direct Costs, Direct Cost Less Consortium, F&amp;A).</td>
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<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Direct Costs, Direct Cost Less Consortium, F&amp;A</td>
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<td>Applications that exceed this limit may be delayed or not accepted for review.</td>
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<td>Warning message for 'opt out' announcements: Be sure that you have complied with the allowable direct cost limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>Direct cost requests are limited to $200k a year for this application (PHS 398 Modular Budget, Direct Costs, Direct Cost Less Consortium, F&amp;A). Applications that exceed this limit may be delayed or not accepted for review.</td>
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<td>12.3.4</td>
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<td>Warning message for 'opt out' announcements: Be sure that you have complied with the allowable direct cost limitations for this FOA (PHS 398 Modular Budget, Direct Costs, Direct Cost Less Consortium, F&amp;A). Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>Direct cost requests are limited to $225k a year for this application (PHS 398 Modular Budget, Direct Costs, Direct Cost Less Consortium, F&amp;A). Applications that exceed this limit may be delayed or not accepted for review.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
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<td>N</td>
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<td>Opt out</td>
<td>W</td>
<td>For R34 and U34 submissions, provide warning if this value for any budget year is &gt;225K (LV).</td>
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<td>Direct Costs, Direct Cost Less Consortium, F&amp;A</td>
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<td>N</td>
<td>E</td>
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<td>Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable direct cost limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Direct Costs, Consortium, F&amp;A</td>
<td>12.3.6</td>
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<td>Direct cost requests are limited to $100k a year for this application (PHS 398 Modular Budget, Direct Costs, Direct Cost Less Consortium, F&amp;A).</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
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<td>12.4.1</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>The Consortium F&amp;A amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
</tr>
<tr>
<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Direct Costs, Total Direct Costs</td>
<td>12.5.1</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>The total direct costs for modular budget year &lt;budget year&gt; in the PHS 398 Modular Budget do not equal the sum of Direct Cost Less Consortium, F&amp;A and Consortium, F&amp;A</td>
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<td>Direct Costs, Total Direct Costs</td>
<td>12.5.2</td>
<td></td>
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<td>N</td>
<td>E</td>
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<td>The Total Direct Costs amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
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<td>Form Version / Package</td>
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<td>Error / Warning (E/W)</td>
<td>Validation</td>
<td>Error Message</td>
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<td>Indirect Costs, Indirect Cost Rate 1-4</td>
<td>12.7.1</td>
<td>N</td>
<td>N</td>
<td>W</td>
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<td></td>
<td>Provide warning if greater than 0 and less than 1.</td>
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<tr>
<td>(NIH)</td>
<td></td>
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<td></td>
<td>Indirect Cost Rate is less than 1 for budget year &lt;budget year&gt; (PHS 398 Modular Budget). Please note that this figure represents a percentage.</td>
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<td>Modular Budget, Years 1-5</td>
<td>Indirect Costs, Indirect Cost Base 1-4</td>
<td>12.8.1</td>
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<td></td>
<td>Must be less than 10,000,000,000</td>
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<td></td>
<td>The Indirect Cost Base amount on the PHS 398 Modular Budget for budget year &lt;budget year&gt; exceeds the allowable amount for the agency.</td>
</tr>
<tr>
<td>Modular Budget,</td>
<td>Indirect Costs, Funds Requested 1-4</td>
<td>12.9.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Must be less than 10,000,000,000</td>
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<tr>
<td>Years 1-5 (NIH)</td>
<td></td>
<td></td>
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<td></td>
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<td>The Funds Requested amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
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<td>Modular Budget,</td>
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<td>Modular Budget,</td>
<td>Indirect Costs, Indirect Cost Rate Agreement Date</td>
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<td>Indirect Costs, Total Indirect Costs</td>
<td>12.12.1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Must equal sum of Indirect Costs, Funds Requested 1-4 for the corresponding budget year, if any Indirect Costs were entered</td>
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<td>Years 1-5 (NIH)</td>
<td></td>
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<td></td>
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<td></td>
<td>The Total Indirect Costs do not equal the sum of Funds Requested for budget year &lt;budget year&gt; (PHS 398 Modular Budget).</td>
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<td>Must be less than 10,000,000,000</td>
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<td>Years 1-5 (NIH)</td>
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<td>The Total Indirect Costs amount must be less than 10,000,000,000 (PHS 398 Modular Budget).</td>
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<td>Modular Budget, Years 1-5</td>
<td>Total Direct and Indirect Costs, Funds Requested</td>
<td>12.13</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>E</td>
<td>Must be greater than 0 for first budget period.</td>
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<td>(NIH)</td>
<td></td>
<td>.1</td>
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<td>For Modular Budget Year 1, Total Direct and Indirect Costs must be greater than zero (PHS 398 Modular Budget).</td>
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<td>Modular Budget, Years 1-5</td>
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<td>12.13</td>
<td>N</td>
<td>N</td>
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<td>E</td>
<td>Must be equal to the sum of Total Direct Costs and Total Indirect Costs for the corresponding budget period.</td>
<td>For Modular Budget Year &lt;budget year&gt; in the PHS 398 Modular Budget, the Total Direct and Indirect Costs must be equal to Total Direct Costs plus Total Indirect Costs requested for that budget year.</td>
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<td>(NIH)</td>
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<td>12.13</td>
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<td>N</td>
<td>E</td>
<td>E</td>
<td>Must be less than 10,000,000,000</td>
<td>The Total Direct and Indirect Costs amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
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<tr>
<td>(NIH)</td>
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<td>Modular Budget, Cumulative (NIH)</td>
<td>Total Direct Cost less Consortium F&amp;A for Entire Project Period</td>
<td>13.1.1</td>
<td>N</td>
<td>N</td>
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<td>Must be equal to the sum of all Total Direct Cost less Consortium F&amp;A values for all budget years.</td>
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<td>Total Direct Cost less Consortium F&amp;A for Entire Project Period</td>
<td>13.1.2</td>
<td>N</td>
<td>Y</td>
<td>Standard</td>
<td>W</td>
<td>For R03 submissions, provide warning if this value is &gt;100K (LV).</td>
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<td>Total Direct Cost less Consortium F&amp;A for Entire Project Period</td>
<td></td>
<td>N</td>
<td>Y</td>
<td>Opt out</td>
<td>W</td>
<td>For R03 submissions, provide warning if this value is &gt;100K (LV).</td>
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<td>N</td>
<td>Y</td>
<td>Standard</td>
<td>W</td>
<td>For R21 submissions, provide warning if this value is &gt;275K (LV).</td>
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<td>Y</td>
<td>Opt out</td>
<td>W</td>
<td>For R21 submissions, provide warning if this value is &gt;275K (LV).</td>
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<tr>
<td>Entire Project Period</td>
<td></td>
<td></td>
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<td></td>
<td>limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>Modular Budget, Cumulative</td>
<td>Total Direct Cost less</td>
<td>13.1.4</td>
<td>N</td>
<td>Y</td>
<td>Standard</td>
<td>W</td>
<td></td>
<td>For R34 and U34 submissions, provide warning if this value is &gt;450K (LV). Cumulative direct cost requests on the PHS 398 Modular Budget are limited to a total of $450k for this application Applications that exceed this limit may be delayed or not accepted for review.</td>
</tr>
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<td>(NIH)</td>
<td>Consortium F&amp;A for Entire Project Period</td>
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<tr>
<td>Modular Budget, Cumulative</td>
<td>Total Direct Cost less</td>
<td>13.1.5</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable cumulative direct cost limitations for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
</tr>
<tr>
<td>(NIH)</td>
<td>Consortium F&amp;A for Entire Project Period</td>
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<td>Total Consortium F&amp;A for</td>
<td>13.2.1</td>
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<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>The Total Direct Cost less Consortium F&amp;A for Entire Project Period in the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
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<tr>
<td>(NIH)</td>
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<td>N</td>
<td>E</td>
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<td></td>
<td>The Total Consortium F&amp;A for Entire Project Period amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
</tr>
<tr>
<td>(NIH)</td>
<td>Entire Project Period</td>
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<td>Modular Total Costs,</td>
<td></td>
<td>13.3</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>The Total Direct Costs for the</td>
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<td>Field</td>
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<td>Total Direct Costs for Entire Project Period</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
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<td>sum of Total Direct Costs for all budget years</td>
<td>Entire Proposed Project Period must be equal to the sum of the Total Direct Costs for all budget years (PHS 398 Modular Budget).</td>
</tr>
<tr>
<td>Modular Budget, Cumulative (NIH)</td>
<td>Total Direct Costs for Entire Project Period</td>
<td>13.3.2</td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Must be less than 10,000,000,000</td>
<td>The Total Direct Costs for Entire Project Period amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
</tr>
<tr>
<td>Modular Budget, Cumulative (NIH)</td>
<td>Total Costs, Total Indirect Costs for Entire Project Period</td>
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<td>E</td>
<td>Must be equal to the sum of Total Indirect Costs for all budget years</td>
<td>The Total Indirect Costs Requested for Entire Project Period must be equal to the sum of Total Indirect Costs for all budget years (PHS 398 Modular Budget).</td>
</tr>
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<td>N</td>
<td>E</td>
<td>Cannot be greater than 99,999,999.99.</td>
<td>The Total Indirect Costs Requested for Entire Project Period in the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
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<td>Must be equal to the sum of all Total Direct and Indirect Costs values for all budget years</td>
<td>The Total Direct and Indirect Costs for Entire Project Period must be equal to the sum of all Total Direct and Indirect Costs values for all budget years (PHS 398 Modular Budget).</td>
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<tr>
<td>Modular Budget, Cumulative (NIH)</td>
<td>Total Costs, Total Direct and Indirect Costs for Entire Project Period</td>
<td>13.5.2</td>
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<td>N</td>
<td>E</td>
<td>Must be less than 10,000,000,000</td>
<td>The Total Direct and Indirect Costs for Entire Project Period amount on the PHS 398 Modular Budget exceeds the allowable amount for the agency.</td>
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<td>Budget Justifications, Personnel Justification</td>
<td>13.6.1</td>
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<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide a warning if this attachment hasn’t been included with a modular budget.</td>
<td>In most cases, a Personnel Justification attachment should be included if a Modular Budget is being submitted.</td>
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<tr>
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<td>Allow a submission with no Checklist component. (Minimum Validations)</td>
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<td>Checklist (NIH)</td>
<td>Change of Investigator/Change of Inst.: Change of PI</td>
<td>14.3. 1</td>
<td>Not accepted for revisions. From Error to Warning</td>
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<td>Checklist (NIH)</td>
<td>Change of Investigator/Change of Inst.: Change of PI</td>
<td>14.3. 2</td>
<td>Not accepted for K applications (except K12 and KM1)</td>
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<tr>
<td>Checklist (NIH)</td>
<td>Change of Investigator/Change of Inst.: Name of former PI (Prefix, First Name, Middle Name, Last Name, Suffix)</td>
<td>14.4. 1</td>
<td>Must be included if application is for change of PI</td>
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<td>Checklist (NIH)</td>
<td>Change of Investigator/Change of Inst.: change of grantee inst.</td>
<td>14.5. 1</td>
<td>Warning for all Ts K12 and KM1 if change of Grantee Institution is selected</td>
<td></td>
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</table>

A revision may not be submitted if a Change of PI has been indicated on the PHS 398 Checklist. Revisions must have the same PI as the parent grant.

Error: A Change of PI can not be indicated on the PHS 398 Checklist for a Career Development Award application.

The name of the former PI must be included if there has been a Change of PI indicated on the PHS 398 Checklist.

A Change of Grantee Institution on the PHS398 Checklist is generally not allowed for this application.
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
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<th>Validation</th>
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<tr>
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<td>Change of Investigator/C</td>
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<td></td>
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<td>If &gt;40 characters, truncate (Minimum Validations)</td>
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<td>N</td>
<td>E</td>
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<td></td>
<td>Error for all Ts if Inventions and Patents, Yes is selected</td>
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<td>Checklist (NIH)</td>
<td>Inventions and Patents, No</td>
<td>14.8</td>
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<td>An Inventions and Patents selection on the PHS398 Checklist does not apply for this application.</td>
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<tr>
<td>Checklist (NIH)</td>
<td>Inventions and Patents, Previously Reported (Yes or No)</td>
<td>14.9. 1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td></td>
<td>Inventions and Patents, Previously Reported on the PHS 398 Checklist must be answered if the answer to Inventions and Patents is ‘Yes.’</td>
</tr>
<tr>
<td>Checklist (NIH)</td>
<td>Inventions and Patents, Previously Reported (Yes or No)</td>
<td>14.9. 2</td>
<td>N</td>
<td>N</td>
<td>E</td>
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<td>Inventions and Patents, Previously Reported on the PHS 398 Checklist should not be answered if the answer to Inventions and Patents is ‘No’</td>
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<td>Checklist (NIH)</td>
<td>Program Income Anticipated (Y/N)</td>
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<td>Program Income, Budget Period 1-5</td>
<td>14.11 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
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<td></td>
<td>If answer to Program Income Anticipated question on the PHS 398 Checklist is ‘N’, no program income detail may be entered.</td>
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<td>Program Income, Budget Period 1</td>
<td>14.11 .2</td>
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<td></td>
<td>No program income may be included on the PHS 398 Checklist for S10 applications.</td>
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<td>Program Income,</td>
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<td>N</td>
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<td>Anticipated amount for program income has been provided for</td>
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## Research Plan (NIH)

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<td>An Introduction must be included for resubmissions on the PHS 398 Research Plan.</td>
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<td>Limited to 1 page for revisions.</td>
<td>The Introduction for a revision is limited to one page on the PHS 398 Research Plan.</td>
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<td>Must not be included for a new or renewal application.</td>
<td>The Introduction (see PHS 398 Research Plan) should not be attached for a new or renewal application.</td>
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<td>Introduction attachment is limited to 3 pages for resubmission type of application for R25</td>
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<td>Research Strategy Attachment must be less than or equal to 12 pages ((LV) for R01, U01, R15, R18, U18, R33, R21/R33, R34, U34, DP3, G08, G11, G13, UH2/UH3, SC1, R42 (STTR Phase II) and R44 (SBIR Phase II) including Fast-Track])</td>
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<td>Warning message for ‘opt out’ announcements: Be sure that you have complied with the allowable page limitations for the Research Strategy on the PHS398 Research Plan for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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<td>Opt out W</td>
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<td>For X01 applications, provide a warning if Research Strategy Attachment is greater than 6 pages and less than 12 pages</td>
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<td>For X01 applications, provide an error if Research Strategy Attachment is greater than 12 pages</td>
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The Research Strategy is limited to 6 pages for this application on the PHS398 Research Plan.

Warning message for ‘opt out’ announcements:
Be sure that you have complied with the allowable page limitations for the Research Strategy on the PHS398 Research Plan for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.

The Research Strategy is limited to 25 pages for this application on the PHS398 Research Plan.

Be sure that you have complied with the allowable 6 page limit for the Research Strategy on the PHS398 Research Plan for this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.

The Research Strategy is limited to 12 pages for this application on the PHS398 Research Plan.
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<td>Required for all applications except S10, if Human Subjects is ‘yes’.</td>
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<td>The Inclusion of Children Attachment must be included on the PHS 398 Research Plan page if the response to the Human Subjects question on the Other Project Information Page is ‘Yes’ and if the Exemption Number is not 4.</td>
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<td>The Multiple PI Leadership Plan attachment on the PHS 398 Research Plan must be included if multiple PIs have been included on the Senior/Key Person page.</td>
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**Form Version/Package**: .1  
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**Limited Validation (Y/N)**: N  
**Error/Warning (E/W)**: E  
**Validation**: Required for non-S10 applications if Human Subjects is true and Exemption is not E4  
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<td>Leadership Plan is included and there is only one PI identified with the submission. If not intending to submit a multiple PD/PI application, remove the Multiple PD/PI Leadership Plan attachment from the PHS 398 Research Plan.</td>
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<td>An R36 application must include a Letters of Support attachment on the PHS 398 Research Plan. Certification Letters should be included in this attachment.</td>
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<td>You have submitted more than 10 appendixes on the PHS 398 Research Plan. There is a limit of 10 appendix attachments allowed.</td>
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<td>Appendixes are not allowed for SBIR or STTR Phase I applications, unless the application is in response to an RFA.</td>
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<td>Research Plan Attachments: Appendix</td>
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<td>Provide a warning if an appendix is submitted for an SBIR or STTR Phase I application that is in response to an RFA.</td>
<td>For most RFAs, the submission of appendices with a Phase I SBIR or Phase I STTR is not permitted. Be sure that you have complied with the guidance provided for appendices in this FOA. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
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Code on funding opportunity = 'R36'). should be included in this attachment.
### Cover Letter (NIH)

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<td>For an R13 application (activity code on funding opportunity = 'R13' or 'U13'), provide warning if the cover letter is not attached For NIH applications only, a cover letter should be attached in the PHS 398 Cover Letter section indicating NIH institute approval for a Conference Grant application.</td>
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<td>Cover Letter (NIH)</td>
<td>Cover Letter Attachment</td>
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<td>N</td>
<td>W</td>
<td>For an application responding to a collaborative announcement, provide a warning if this attachment is not included. This funding opportunity allows submission of a collaborative group of applications. A Cover Letter attachment must be included (using the PHS Cover Letter component) for all applications that are being submitted as part of a collaborative group. If this application is not part of a collaborative group, no further action is required.</td>
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<td>E</td>
<td>Required for K applications where reference letter is required (mentored Ks). A cover letter must be attached for this application. Please include the names of the referees for this application in the cover letter.</td>
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<td>Cover Letter (NIH)</td>
<td>Cover Letter Attachment</td>
<td>16.1.4</td>
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<td>N</td>
<td>E</td>
<td>Required for all F applications A cover letter must be attached for this application. Please include the names of the referees for this application in the cover letter.</td>
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# Career Development Award (NIH)

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The Candidate’s Background attachment is required on the PHS 398 Career Development Award Supplemental Form. The Candidate Information and Research Strategy sections together are limited to 12 pages on the Career Development Award Supplemental Form. This may span 15 pages due to page breaks.
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<td>For deadlines on/after May 8, 2011, the Training in the Responsible Conduct of Research attachment on the PHS 398 Career Development Award Supplemental Form will be limited to one page. The new page limit does not apply to deadlines up to and including May 7, 2011. No action is needed.</td>
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Version 4.6  Last Updated 3/7/2011
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## PHS Fellowship Supplements Form (NIH)

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<td>N</td>
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<td>E</td>
<td>Required for</td>
<td>An Introduction must be included for Resubmission type of applications on the PHS Fellowship Supplemental Form.</td>
</tr>
<tr>
<td></td>
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<td>18.3</td>
<td>V1_1 Adobe Forms B</td>
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<td>Required attachment</td>
<td>The Specific Aims attachment is required on the PHS Fellowship Supplemental Form.</td>
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<td>Limited to 1 page</td>
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<td>V1_1 Adobe Forms B</td>
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<td>N</td>
<td>E</td>
<td>Required Attachment</td>
<td>The Research Strategy attachment is required on the PHS Fellowship Supplemental Form.</td>
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<td>18.64 .3</td>
<td>V1_1 Adobe Forms B</td>
<td>N</td>
<td>Y</td>
<td>Opt out</td>
<td>W</td>
<td>Research Strategy Attachment must be less than or equal to 6 pages (LV)</td>
</tr>
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<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Supplemental Form Attachments: Inclusion Enrollment Report</td>
<td>18.7.1</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Human Subjects Involved?</td>
<td>18.9</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Human Subjects Involvement Indefinite (Y/N)</td>
<td>18.10 .1</td>
<td>V1_2 Adobe Forms B1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>An answer is required if the answer to 'Human Subjects Involved' is &quot;Yes&quot;. The Human Subjects Involvement Indefinite question on the Fellowship Supplemental Form must be answered if the answer to Human Subjects Involved is ‘Yes’.</td>
</tr>
<tr>
<td>PHS Fellowship</td>
<td>Human Subjects</td>
<td>18.10 .2</td>
<td>V1_2 Adobe</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>If Human Subject Involved is ‘No’ and The Human Subjects Involvement Indefinite question</td>
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<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
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<tr>
<td>Supp. Form</td>
<td>Involvement Indefinite (Y/N)</td>
<td>Forms B1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Human Subjects Involvement Indefinite is ‘Yes’, provide error</td>
<td>cannot be marked ‘Yes’ on the Fellowship Supplemental Form if the answer to Human Subjects Involved is ‘No’.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Human Subjects Clinical Trial (Y/N)</td>
<td>18.11 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>If Human Subjects NIH-Defined Phase III Clinical Trial is true, must be true.</td>
<td>The Human Subjects Clinical Trial question on the Fellowship Supplemental Form must be “Yes” if the answer to Human Subjects NIH-Defined Phase III Clinical Trial is “Yes.”</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Human Subjects Clinical Trial (Y/N)</td>
<td>18.11 .2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>An answer is required if the answer to ‘Human Subjects Involved’ is “Yes”.</td>
<td>The Human Subjects Clinical Trial question on the PHS Fellowship Supplemental Form must be answered if the answer to ‘Human Subjects Involved’ on the Other Project Information page is “Yes”.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Human Subjects NIH-Defined Phase III Clinical Trial (Y/N)</td>
<td>18.12 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>If Human Subjects Clinical Trial is false, must be false</td>
<td>The Human Subjects NIH-Defined Phase III Clinical Trial on the Fellowship Supplemental Form must be “No” if the answer to the Human Subjects Clinical Trial question is “No”.</td>
</tr>
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<td>PHS Fellowship Supp. Form</td>
<td>Human Subjects NIH-Defined Phase III Clinical Trial (Y/N)</td>
<td>18.12 .2</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>An answer is required if the answer to ‘Human Subjects Clinical Trial’ is “Yes”.</td>
<td>The Human Subjects NIH-Defined Phase III Clinical Trial question on the PHS Fellowship Supplemental Form must be answered if the answer to the Human Subjects Clinical Trial question is “Yes”.</td>
</tr>
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<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Supplemental Form Attachments: Protection of Human Subjects</td>
<td>18.13 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td></td>
<td>Required if Human Subjects is ‘yes’.</td>
<td>A Protection of Human Subjects attachment must be included on the Fellowship Supplemental Form if the response to the Human Subjects question on the Other Project Information page is ‘Yes’.</td>
</tr>
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<td>PHS Fellowship</td>
<td>18.14</td>
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<td>N</td>
<td>E</td>
<td>Required if Human</td>
<td>The Inclusion of Women and</td>
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<td>Rule</td>
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<td>Fellowship Supp. Form</td>
<td>Supplemental Form Attachments: Inclusion of Women and Minorities</td>
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<td></td>
<td>Subjects is true and Exemption is not E4 Minorities Attachment must be included on the Fellowship Supplemental Form if the response to the Human Subjects question on the Other Project Information Page is ‘Yes’ and if the Exemption Number is not 4.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Supplemental Form Attachments: Targeted/Planned Enrollment Table</td>
<td>18.15</td>
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<td>N</td>
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<td>Required if Human Subjects is true and Exemption is not E4</td>
<td>The Targeted/Planned Enrollment Table Attachment must be included on the Fellowship Supplemental Form if the response to the Human Subjects question on the Other Project Information Page is ‘Yes’ and if the Exemption Number is not 4.</td>
</tr>
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<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Supplemental Form Attachments: Inclusion of Children</td>
<td>18.16</td>
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<td>N</td>
<td>N</td>
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<td>Required if Human Subjects is true and Exemption is not E4</td>
<td>The Inclusion of Children Attachment must be included on the Fellowship Supplemental Form if the response to the Human Subjects question on the Other Project Information Page is ‘Yes’ and if the Exemption Number is not 4.</td>
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<td>Vertebrate animals used?</td>
<td>18.17</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Vertebrate Animals Use Indefinite (Y/N)</td>
<td>18.18</td>
<td>V1_2 Adobe Forms B1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Required ‘Yes’ or ‘No’ answer if Vertebrate Animals Used is ‘Yes’</td>
<td>The Vertebrate Animal Use Indefinite question on the Fellowship Supplemental Form must be answered if the answer to Vertebrate Animal Used is ‘Yes’.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Vertebrate Animals Use Indefinite (Y/N)</td>
<td>18.18</td>
<td>V1_2 Adobe Forms B1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If Vertebrate Animals Used is ‘No’ and Vertebrate Animals Use Indefinite is</td>
<td>The Vertebrate Animal Use Indefinite question cannot be marked ‘Yes’ on the Fellowship Supplemental Form if the</td>
</tr>
<tr>
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<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Supplemental Form Attachments: Vertebrate Animals</td>
<td>18.19</td>
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<td>N</td>
<td>N</td>
<td>E</td>
<td>Required if Vertebrate Subjects is true</td>
<td>‘Yes’, provide error</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Supplemental Form Attachments: Select Agent Research</td>
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<td>The Respective Contributions attachment on PHS Fellowship Supplemental Form is limited to one page.</td>
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<td>Fellowship Supplemental Form Attachments: Selection of Sponsor and Institution</td>
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<td>The Selection of Sponsor and Institution attachment on PHS Fellowship Supplemental Form is limited to one page.</td>
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<td>The Responsible Conduct of Research attachment on PHS Fellowship Supplemental Form is limited to one page.</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>HESC Involved (Y/N)</td>
<td>18.25 .1</td>
<td>N N E</td>
<td>A response of Yes or No is required for this element.</td>
<td>A response of ‘Yes’ or ‘No’ is required for the HESC Involved (Y/N) element on the PHS Fellowship Supplemental Form.</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>HESC ‘can’t be referenced’ checkbox</td>
<td>18.26 .1</td>
<td>N N E</td>
<td>If HESC involved='N', can’t include this or ‘HESC Cell Lines’</td>
<td>If the answer to ‘HESC involved’ is “No” on the PHS Fellowship Supplemental Form, HESC Cell Lines must not be included and the ‘Can’t be Referenced’ checkbox must not be checked.</td>
<td></td>
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<td>PHS Fellowship Supp. Form</td>
<td>HESC ‘can’t be referenced’ checkbox</td>
<td>18.26 .2</td>
<td>N N E</td>
<td>If HESC involved='Y', must include this or ‘HESC Cell Lines’</td>
<td>If the answer to ‘HESC involved’ is “Yes” on the PHS Fellowship Supplemental, HESC Cell Lines must be included or the ‘Can’t be Referenced’ checkbox must be checked.</td>
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<td>PHS Fellowship Supp. Form</td>
<td>HESC Cell Lines</td>
<td>18.27 .1</td>
<td>N N E</td>
<td>If HESC involved='Y', must include this or ‘Can’t be Referenced’</td>
<td>If the answer to ‘HESC involved’ is “Yes” on the Fellowship Supplemental Form, HESC Cell Lines must be included or the ‘Can’t be Referenced’ checkbox must be checked.</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>HESC Cell Lines</td>
<td>18.27 .2</td>
<td>N N E</td>
<td>If specific stem cell line is included, provide error if stem cell line is not in eRA database or is marked as invalid. Comparison should not be case-sensitive.</td>
<td>Stem cell line &lt;cell line number&gt; on the PHS Fellowship Supplemental Form is invalid. The cell line must be an approved line on the NIH Registry: <a href="http://grants.nih.gov/stem_cells/registry/current.htm">http://grants.nih.gov/stem_cells/registry/current.htm</a></td>
<td></td>
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<td>PHS Fellowship Supp. Form</td>
<td>HESC Cell Lines</td>
<td>18.27 .3</td>
<td>N N E</td>
<td>If HESC involved='N', can’t include this or ‘Can’t be Referenced’</td>
<td>If the answer to ‘HESC involved’ is “No” on the PHS Fellowship Supplemental Form, HESC Cell Lines may not be included and...</td>
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<tr>
<td>Form</td>
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<td>Minimum Validation (Y/N)</td>
<td>Limited Validation (Y/N)</td>
<td>Error/Warning (E/W)</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>HESC Cell Lines</td>
<td>18.27 .4</td>
<td></td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If 'Can’t Be Referenced' is checked, no other cell lines may be entered. If the 'Can’t be Referenced' checkbox is checked on the PHS Fellowship Supplemental Form, no Stem Cell Lines may be entered.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: Alternate Phone Number</td>
<td>18.28</td>
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</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: degree sought, degree</td>
<td>18.32 .1</td>
<td></td>
<td></td>
<td>N</td>
<td>N</td>
<td>W</td>
<td>Provide Warning if MDPHD or DBOTH is selected as the degree sought. Please ensure the PD/PI eRA Commons Profile Degrees/Residency information is current. Instructions on updating profile information are available at <a href="https://commons.era.nih.gov/commons-help/216.htm">https://commons.era.nih.gov/commons-help/216.htm</a>.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: degree sought, other</td>
<td>18.33 .1</td>
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<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If &quot;other degree&quot; is selected, the degree type is required. If “Other Degree” type is selected on the PHS Fellowship Supplemental Form, indicate the Degree Type.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: degree sought, expected completion date</td>
<td>18.34 .1</td>
<td></td>
<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If 'degree sought' is selected, the degree date is required. If a &quot;Degree Sought during Proposed Award&quot; is selected on the PHS Fellowship Supplemental Form, indicate the Expected Completion Date for this degree.</td>
</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: field of training</td>
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</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: current or prior Kirschstein-NRSA</td>
<td>18.36 .1</td>
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<td></td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>If 'Yes is selected on' Current or Prior Kirschstein-NRSA support, one level and type is required At least one entry for Current or Prior Kirschstein-NRSA support information is required on the PHS Fellowship Supplemental form.</td>
</tr>
<tr>
<td>Form</td>
<td>Field</td>
<td>Rule</td>
<td>Form Version/Package</td>
<td>Minimum Validation (Y/N)</td>
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<td>Error/Warning (E/W) Validation</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: current or prior Kirschstein-NRSA support x, level</td>
<td>18.37</td>
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<td>on the same row of the grid and at least one row of the grid.</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: current or prior Kirschstein-NRSA support x, type</td>
<td>18.38</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Candidate: current or prior Kirschstein-NRSA support x, start date</td>
<td>18.39</td>
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<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: current or prior Kirschstein-NRSA support x, end date</td>
<td>18.40 .1</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>Current or Prior Kirschstein-NRSA Support Start Date on the same row of the grid</td>
<td>The Current or Prior Kirschstein-NRSA support end date must be greater than Support start date on the PHS Fellowship Supplemental Form.</td>
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</tr>
<tr>
<td>PHS Fellowship Supp. Form</td>
<td>Candidate: current or prior Kirschstein-NRSA support x,</td>
<td>18.41</td>
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<td>If ‘Yes’ selected for Concurrent Support, the Application for Concurrent Support attachment is required. An Application Concurrent Support attachment must be included on the PHS Fellowship Supplemental Form.</td>
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<td>The Goals for Fellowship Training and Career attachment on PHS Fellowship Supplemental Form is limited to one page.</td>
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<td>If change of Sponsoring Institution is selected, the Name of Former Institution is required</td>
<td>The Name of the Former Institution is required on the PHS Fellowship Supplemental Form, when the Change of Sponsoring Indicator is checked.</td>
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### PHS Fellowship Supp. Form

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<td>If &quot;None Requested&quot; selected on Tuition and Fees, no 'funds requested' should be entered</td>
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<td>Budget: tuition and fees, none requested</td>
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<td>18.62 .1</td>
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<td>&quot;Total Funds Requested&quot; must equal the sum of all funds requested</td>
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### PHS 398 Training Program Plan (NIH)

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<td>For deadlines on/after May 8, 2011, the Plan for Instruction in the Responsible Conduct of Research attachment on the PHS 398 Research Training Program Plan will be limited to three pages. The new page limit does not apply to deadlines up to and including May 7, 2011. No action is needed.</td>
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<td>The Participating Faculty Biosketches attachment on the PHS 398 Research Training Program Plan should be included for this application.</td>
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### PHS 398 Training Budget Year x (NIH)

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<td>For budget year 1, for budget type Project, for new applications and resubmissions, must be the same as the Proposed Project Start Date listed on the SF 424 RR Face Page.</td>
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<td>The start date for budget year &lt;budget year&gt; must be</td>
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Budget, Year x: The project budget must contain the DUNS number for the applicant organization on the PHS 398 Training Budget. This number should not appear on a Subaward budget; i.e., a Subaward budget must have a different DUNS number entered.

A Subaward budget has been identified for the applicant organization. All budget requirements for the applicant organization must be included in the project budget.

For new applications and resubmissions, the start date for the first budget period on the PHS398 Training Budget page must be the same as the proposed project start date listed on the SF 424 RR Cover page.
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<td>The Number of Undergraduate Stipends Requested on the PHS398 Training Budget must be provided for this application.</td>
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<td>End Date</td>
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<td>Must be greater than the budget start date and less than or equal to the Project Period End Date listed on the SF 424 RR Face Page.</td>
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<td>The end date for budget year &lt;budget year&gt; must be later than the budget start date and less than or equal to the proposed project end date listed on the SF 424 RR Cover page.</td>
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<td>Provide Error if Number of undergrad full-time or undergrad short term, or undergrad stipends requested is provided for T15, T32 or T35.</td>
<td>N</td>
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<td>Undergraduate information can not be included on the PHS 398 Training Budget form for this application.</td>
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<td>Provide Error If total pre-doctoral full-time, or total pre-doctoral short term, or total pre-doctoral stipends requested, or total post-doctoral full-time, or total post-doctoral short term, or total post-doctoral stipends requested, or number of other full-time, or other short term, or other stipends requested, is provided for T34</td>
<td>Predoctoral, Postdoctoral and Other Trainee information can not be included on the PHS 398 Training Budget form for this application.</td>
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<td>If Number of Trainees information is provided on the PHS 398 Training Budget form then corresponding Stipends Requested information must also be included.</td>
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<td>or number undergrad short term, or total pre-doctoral full-time, or total pre-doctoral short term, or total post-doctoral full-time, or total post-doctoral short term, or number of other full-time, or number of other short term, is not greater than 0.</td>
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| 398 Training Budget, Year x | Total direct costs requested | 20.51 .1 | N | N | W | Provide Warning if subtotal direct cost is more than or equal to 500K for T mechanisms (RFA are exempt)
Calculate subtotal direct costs as follows: Total Direct Costs minus the sum of Total Indirect Costs for all budgets for the corresponding year with budget type 'subaward/consortium' to include both Training Budget and RR budget | |
| 398 Training Budget, Year x | Indirect cost x, indirect cost type | 20.52 | | | | | | If you are requesting a budget of $500,000 direct costs or more for any project period on the PHS 398 Training Budget form, check the announcement or contact the awarding component to determine if prior approval is required. |
| 398 Training Budget, Year x | Indirect cost x, indirect cost rate | 20.53 .1 | N | N | W | Provide warning if not 8 for all Ts | The indirect Cost Rate (%) should be 8 for this application on the PHS398 Training Budget. |
| 398 Training Budget, Year x | Indirect cost x, indirect cost base | 20.54 | | | | | | |
| 398 Training | Indirect cost x, funds | 20.55 | | | | | | |

159  Exchange Services – Validations for Grants.gov Components  Version 4.6  Last Updated 3/7/2011
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**PHS 398 Training Budget Cumulative (NIH)**

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