Submission Validation Service for single project and multi project applications

Version: 1.58

Date: October 4, 2023
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|                | 2/3/2020     | ERA Analyst (NN) | New SVS Rule 034.7.7 was added to Generate an error if sIRB plan attachment is not provided when the question “Is this a multi-site study that will use the same protocol to conduct non-exempt human subjects research at more than one domestic site? “is answered ‘Yes’.

2/14/2020 ERA Analyst (NN) “AHRQ” was removed from agency customization for rule (034.7.4).
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<tr>
<td>2/14/2020</td>
<td>ERA Analyst (NN)</td>
<td>The trigger message text for rule 034.7.3 was updated to exclude “for any activity code”.</td>
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<tr>
<td>2/14/2020</td>
<td>ERA Analyst (NN)</td>
<td>The rule message text was updated for rule 034.5.10</td>
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<tr>
<td>1.41</td>
<td>2/19/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rule (000.45) has been disabled in production until further notice</td>
</tr>
<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>New rule (023.20.10) was added to provide error if Phase IIC is checked on the SBIR/STTR form and HHS is selected.</td>
<td></td>
</tr>
<tr>
<td>3/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rule (001.33.30) has been disabled since SB1 applications can now be submitted as new applications.</td>
<td></td>
</tr>
<tr>
<td>3/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rule (000.51), the Forms-F transition warning has been modified to fire only for NIH and AHRQ agencies.</td>
<td></td>
</tr>
<tr>
<td>3/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.6.19) was created to parse the Fed ID entered for New SB1 CRP applications.</td>
<td></td>
</tr>
<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>The Rule message text for rule (004.3.7) was updated with more details. Agency customization was also added to the rule.</td>
<td></td>
</tr>
<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>New rule (004.3.8) was added to generate an error if the selection of exemption numbers on the Other Project Information form do not match the exemptions selected on the study record(s).</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>New rule (004.3.9) was added to generate an error if the selection of exemption numbers on the Overall OPI form do not match the exemption numbers selected on the component(s) of the OPI forms.</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>New rule (034.5.11) was added to generate an error if the selection of exemption numbers on the study record(s) do not match the exemptions selected on the Other Project Information form.</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>The rule message text for rule (034.5.9) was updated with more details.</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>Rule (014.17.1) was updated with activity code Customization.</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>Rule (014.17.2) has been disabled due to policy change.</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>Validations for Admin Supp (activity code 333), Type 6 (activity code 666), and Type 7 (activity code 777) applications against the HSCT form were incorporated for global validation rules (000.40 and 000.41).</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>Validations for Admin Supplements (activity code 333), Type 6 (activity code 666), and Type 7 (activity code 777) applications against the HSCT form were incorporated for rules (034.1.1, 034.2.1, 034.2.3, 034.3.1, 034.3.2, 034.8.75, 034.5.2, 034.5.6, 034.5.3, 034.5.4, 034.5.5, 034.5.7, 034.5.8, 034.6.1, 034.6.2, 034.6.3, 034.6.11, 034.6.4, 034.6.12, 034.6.12, 034.6.5, 034.6.6, 034.6.7, 034.6.8, 034.6.9, 034.6.10, 034.6.13, 034.6.15, 034.6.14, 034.7.1, 034.7.2, 034.7.3, 034.7.4, 034.7.5, 034.7.6, 034.8.1, 034.8.30, 034.8.29, 034.8.2, 034.8.31, 034.8.32, 034.8.4, 034.8.33, 034.8.35, 034.8.5, 034.8.57, 034.8.58, 034.8.6, 034.8.8, 034.8.10, 034.8.11, 034.8.39, 034.8.56, 034.8.12, 034.8.42, 034.8.10, 034.8.13, 034.8.14).</td>
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<tr>
<td>3/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>Validations for Admin Supplements (activity code 333), Type 6 (activity code 666), and Type 7 (activity code 777) applications against the HSCT form were incorporated for rules (034.8.15, 034.8.43, 034.8.74, 034.8.16, 034.8.46, 034.8.37, 034.8.17, 034.8.47, 034.8.38, 034.8.18, 034.8.49, 034.8.19, 034.8.50, 034.8.51, 034.8.20, 034.8.21, 034.8.24, 034.8.60, 034.8.61, 034.8.25, 034.8.62, 034.8.63, 034.8.26, 034.8.64, 034.8.65, 034.8.27, 034.8.66, 034.8.67, 034.8.28, 034.8.68, 034.8.69, 034.9.1, 034.9.2)</td>
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<td>1.42</td>
<td>3/31/2020</td>
<td>ERA Analyst (NN)</td>
<td>Rule 001.6.10 was updated to allow to allow revisions to extend beyond the parent project end date due to emergency COVID-19 policy change.</td>
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<td>4/1/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rule (001.94.1) was updated to exclude CDC from the list of agencies. This went into effect in production on April 1st, 2020.</td>
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<td>4/9/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.6.20) was added to trigger a warning if the Institutional ID associated with the PD/PI of the application does not match the Institutional ID associated with the Federal Identifier provided. Type 7 applications are excluded from this rule.</td>
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<td>4/9/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.23.1) was added to validate requirements for diversity Opportunity Announcement supplement applications.</td>
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<tr>
<td>4/9/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.23.2) was added to validate that multiple entries for key person with project role starting with diversity are not allowed.</td>
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<td>4/27/2020</td>
<td>ERA Analyst (RH)</td>
<td>New VA rule (001.6.21) was added to trigger an error if federal identifier is not entered for a VA type 1 (new) application.</td>
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<tr>
<td>4/27/2020</td>
<td>ERA Analyst (RH)</td>
<td>The validation and error message for VA rule (001.6.18) was updated to reference SF-424 form bx 4a for the federal identifier.</td>
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<tr>
<td>5/6/2020</td>
<td>ERA Analyst (RH)</td>
<td>SVS rules (001.42.8, 001.42.3, 010.3.4, 010.3.5) were updated to include the R61 solo activity code. This went into effect in production on May 6th, 2020.</td>
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<td>ERA Analyst (NN)</td>
<td>New Rule (034.6.23) was added to generate an error if Study timeline attachment is not provided for Clinical Trials Studies.</td>
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<td>ERA Analyst (RH)</td>
<td>The NOSI Format validation rule (001.7) was updated to exclude activity codes (666 and 777). This was effective in production on April 1st, 2020.</td>
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<tr>
<td>6/1/2020</td>
<td>ERA Analyst (RH)</td>
<td>New SVS rule (001.93) was added to trigger an error if a VA pre-application is submitted without the pre-application attachment.</td>
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<td>6/8/2020</td>
<td>ERA Analyst (RH)</td>
<td>The “Comments” column for rule (034.7.4) was updated to state “Only Applies to forms E”</td>
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<tr>
<td>6/11/2020</td>
<td>ERA Analyst (NN)</td>
<td>Rule 034.6.8 has been updated to fire only for Forms E and was reverted back to an error from warning.</td>
<td></td>
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<tr>
<td>6/18/2020</td>
<td>ERA Analyst (RH)</td>
<td>Due to the number of COVID related Notices of Special Interest that allow the project period of the supplement to extend beyond the parent, we have disabled 001.6.20. Since we look at the project period of the parent award for revisions, the check for the match of the Fed ID did not yield any results, causing this rule to fire inappropriately.</td>
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<td>1.43</td>
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<td>ERA Analyst (RH)</td>
<td>New VA rule (001.1.9) was added to trigger error if a VA pre-application is submitted as a resubmission when there is already an approved pre-application in the segment for the fed id entered.</td>
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<td>7/16/2020</td>
<td>ERA Analyst (NN)</td>
<td>The CLINICAL TRIAL CODE for rule (034.8.76) to include Clinical trial code “R” or “O”</td>
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<td>7/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.23.1) was added to trigger error if a diversity supplement application doesn't have at least one senior key person with the other project role category that begins with &quot;Candidate&quot;.</td>
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<td>7/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.23.2) was added to validate that multiple entries for key persons with other project role category starting with &quot;Candidate&quot; are not allowed on a diversity supplement application.</td>
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<td>7/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.24.1) was added to validate that an entry appears for the candidate in the degree field using one of the specified abbreviations (HS, UG, PB, PM, Grad, PD, Fac) for a diversity supplement.</td>
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<td>7/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.22.3) was added to validate that the only allowable roles are on a diversity supplement application are the PD/PI and Other &quot;Candidate&quot;.</td>
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<td>ERA Analyst (RH)</td>
<td>The Alternative Validation Flag for rule (000.10) was updated to Yes.</td>
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<td>ERA Analyst (RH)</td>
<td>Rule (001.6.9) was updated to include VA applications.</td>
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<td>7/16/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.7.1) was added to validate that a NOSI is active and hasn’t expired.</td>
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<td>ERA Analyst (RH)</td>
<td>New rule (001.1.10) was added to trigger error if &quot;Application&quot; is checked for &quot;Type of Submission&quot; for a Opportunity Announcement with activity code &quot;I02&quot;.</td>
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<td></td>
<td>7/17/2020</td>
<td>ERA Analyst (RH)</td>
<td>Updates were made to existing rules (001.21.1, 001.23.1 and 013.12.1)</td>
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<td>7/22/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rule (034.5.7) was updated to include activity code (333). The update was made effective in production on 7/10/2020.</td>
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<td>ERA Analyst (RH) /NN</td>
<td>New rule (014.17.3) was added to limit the “The Plan for Instruction in Methods for Enhancing Reproducibility” attachment on the PHS 398 Research Training Program Plan form to three pages.</td>
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<td></td>
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<td>ERA Analyst (RH)</td>
<td>Rule (005.24.1) was updated to trigger error if the Degree Type information is not provided on a Diversity Supplement.</td>
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<td>ERA Analyst (RH)</td>
<td>Rule (001.6.9) was updated to exclude VA applications.</td>
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<tr>
<td>7/28/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.6.22) was added to trigger a warning if the number of resubmissions permitted on a VA application has been exceeded.</td>
<td></td>
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<tr>
<td>7/28/2020</td>
<td>ERA Analyst (RH)</td>
<td>The rule trigger and message were updated for new rule (001.1.10).</td>
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<tr>
<td>7/28/2020</td>
<td>ERA Analyst (RH)</td>
<td>Diversity Supplement rules (005.22.3, 005.23.1, 005.23.2, 005.24.1) have been disabled until the beginning of the next fiscal year.</td>
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<tr>
<td>7/28/2020</td>
<td>ERA Analyst (RH)</td>
<td>New VA rule (004.25.40) was created to validate attachment requirements if a VA application is a resubmission of a renewal.</td>
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<tr>
<td>7/31/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.42.12) was added to trigger error if the proposed project end date is less than the project period end date of the parent grant for a Type 4 application.</td>
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<tr>
<td>7/31/2020</td>
<td>ERA Analyst (RH)</td>
<td>The rule triggers and messages for rules (020.87.1, 020.87.2, 020.87.3, 022.96.1, 022.96.2 and 022.96.3) were updated to accommodate the new budget levels. Additionally, the rule severity was reverted back to an error.</td>
<td></td>
</tr>
<tr>
<td>8/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.6.23) was added to trigger an error if a VA application is an &quot;A4&quot; submission.</td>
<td></td>
</tr>
<tr>
<td>8/7/2020</td>
<td>ERA Analyst (RH)</td>
<td>VA applications were excluded from SVS rule (001.6.13) due to the creation of (001.6.23)</td>
<td></td>
</tr>
<tr>
<td>8/13/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of place holder rules for the <strong>SF 424 (R&amp;R) MP</strong> form were deleted from the document. (002.1 - 002.8, 002.11 - 002.12, 002.14, 002.16, 002.21, 002.23, 002.25, 002.26, 002.28, 002.30, 002.32-002.64, 002.36 -002.48, 002.100 - 002.103, 002.65, 002.66, 002.67, 002.68, 002.69, 002.7, 002.70, 002.71, 002.72, 002.73, 002.74, 002.75, 002.76, 002.77, 002.78, 002.79, 002.80, 002.81, 002.82, 002.83, 002.84, 002.85, 002.86, 002.87, 002.88, 002.89, 002.90, 002.91, 002.92, 002.93, 002.94, 002.95, 002.96, 002.97, 002.98, 002.99)</td>
<td></td>
</tr>
<tr>
<td>8/13/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of place holder rules for the <strong>Project/ Performance Site (R&amp;R)</strong> form were deleted from the document. (003.1, 003.11, 003.13, 003.14, 003.15, 003.16, 003.17, 003.18, 003.19, 003.23, 003.24, 003.4, 003.5, 003.6, 003.7)</td>
<td></td>
</tr>
<tr>
<td>8/13/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of place holder rules for the <strong>Research and Related Other Project Information</strong> form were deleted from the document. (004.11, 004.12, 004.14, 004.16, 004.19, 004.6)</td>
<td></td>
</tr>
<tr>
<td>Version Number</td>
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<td>Summary of Changes</td>
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<td>----------------</td>
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<tr>
<td>8/13/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of place holder rules for the <strong>Research and Related Senior/Key Person Profile (Expanded)</strong> form were deleted from the document. (005.1 - 005.7, 005.9, 005.10, 005.11, 005.12, 005.13, 005.16, 005.18, 005.19, 005.2, 005.20, 005.21.10, 005.25, 005.28, 005.30, 005.33, 005.34, 005.36, 005.37, 005.38, 005.39, 005.40, 005.43, 005.45, 005.46, 005.47, 005.51, 005.52, 005.54)</td>
<td></td>
</tr>
<tr>
<td>1.44</td>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rules (024.63.1 and 013.10.3) were added to require the &quot;Description of Candidate's Contribution to Program Goals&quot; attachment for diversity flagged Opportunity Announcement applications.</td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>The rule logic for rules (004.3.8, 004.3.9 and 034.5.11) were updated to exclude the case when at least one study is non-exempt.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>VA rule (001.6.18) was re-enabled and additionally, the rule logic was updated to trigger only for verifying that the fed id entered exists in the grant family.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rule (034.2.6) has been disabled.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>New SVS rule (004.3.10) was added to validate that if OPI form is not exempt from federal regulations, there needs to be at least one study that is also not exempt from federal regulations.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>New SVS rule (004.3.11) was added to validate that if an Overall OPI form is not exempt from federal regulations, then there must be a Sub-Project component OPI that is also not exempt from federal regulations.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>New SVS rule (004.3.12) was added to validate that if a component OPI form is not exempt from federal regulations, then the Overall OPI must not be exempt.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>New SVS rule (034.5.12) was added to validate that if any study record is not exempt from federal regulations, the OPI form needs to be not exempt from federal regulations as well.</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of place holder rules for the <strong>Research &amp; Related Budget 10YR, (R&amp;R) MP</strong> form were deleted from the document. (006.6-006.11, 006.101, 006.15, 006.16, 006.20, 006.22-006.30, 006.32, 006.33, 006.35, 006.37-006.51, 005.53, 006.54, 006.56 – 006.61, 006.63, 006.65, 006.66, 006.68 and 006.71)</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of place holder rules for the <strong>R&amp;R Budget (10Year) MP Cumulative</strong> form were deleted from the document. (006.72-006.74 and 006.75 – 006.97)</td>
<td></td>
</tr>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>The following list of disabled and place holder rules for the <strong>PHS 398 Cover Page Supplement</strong> form were deleted from the document. (008.23.5, 008.24, 008.26, 008.32 and 008.34). Additionally, the following rules for the PHS Research Plan form were deleted. (010.11, 010.13, 010.15, 010.18, 010.4.1 and 010.4.4)</td>
<td></td>
</tr>
</tbody>
</table>

11
<table>
<thead>
<tr>
<th>Version Number</th>
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<th>Author</th>
<th>Summary of Changes</th>
</tr>
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<tbody>
<tr>
<td>9/3/2020</td>
<td>ERA Analyst (RH)</td>
<td>Rules (013.13 and 014.11) have been deleted from the document.</td>
<td></td>
</tr>
<tr>
<td>9/21/2020</td>
<td>ERA Analyst (RH)</td>
<td>The rule triggers and messages for rules (004.3.11 and 004.3.12) were updated to state the question &quot;Is the project exempt from Federal regulations?&quot;.</td>
<td></td>
</tr>
<tr>
<td>9/21/2020</td>
<td>ERA Analyst (RH)</td>
<td>The alternative validation flag for rule (000.13) was set to yes. Additionally, the rule was updated to fire for types 3, 6 and 7s.</td>
<td></td>
</tr>
<tr>
<td>1.45</td>
<td>9/25/2020</td>
<td>ERA Analyst (RH)</td>
<td>New rule (005.21.12) was added to verify that the demographic information has been completed on the eRA Commons Profile for the Candidate for a Diversity Supplement.</td>
</tr>
<tr>
<td></td>
<td>10/6/2020</td>
<td>ERA Analyst (RH)</td>
<td>The rule message for rule (005.21.12) was updated. Additionally, the rule has been disabled until further notice.</td>
</tr>
<tr>
<td>10/13/2020</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 001.1.11 was added for NCI Pilot Type 4 for duplicate submissions. The rule was subsequently updated to add additional business logic.</td>
<td></td>
</tr>
<tr>
<td>10/13/2020</td>
<td>ERA Analyst (RH)</td>
<td>Due to the extinction of the HHS Checklist form, the following list of rules were deleted from the document. (032.2, 032.3, 032.4.1, 032.5, 032.6.1, 032.7, 032.8.1, 032.9, 032.10.1, 032.11 – 032.33, 032.34.1, 032.35 - 032.49, 032.50.1, 032.50.2, 032.51, 032.52, 032.52.1, 032.52.2, 032.53 – 032.57, 032.58.1, 032.59.1.)</td>
<td></td>
</tr>
<tr>
<td>1.46</td>
<td>11/23/2020</td>
<td>ERA Analyst (RH)</td>
<td>Diversity Supplement rules (005.21.12, 005.23.1, 005.23.2 and 005.24.1) were enabled in production on 11/17/2020.</td>
</tr>
<tr>
<td>11/23/2020</td>
<td>ERA Analyst (RH)</td>
<td><strong>U2R</strong> was added to all validations currently in place for <strong>D43</strong>. The following SVS validation rules were affected (034.5.2, 034.5.3, 034.5.4, 034.5.5, 034.5.8, 034.6.1, 034.6.10, 034.6.11, 034.6.12, 034.6.13, 034.6.14, 034.6.15, 034.6.16, 034.6.18, 034.6.2, 034.6.23, 034.6.3, 034.6.4, 034.6.5, 034.6.6, 034.6.7, 034.6.8, 034.6.9, 034.7.1, 034.7.2, 034.7.3, 034.7.4, 034.7.5, 034.7.6, 034.7.7, 034.8.1, 034.8.10, 034.8.11, 034.8.12, 034.8.13, 034.8.14, 034.8.15, 034.8.16, 034.8.17, 034.8.18, 034.8.19, 034.8.2, 034.8.20, 034.8.21, 034.8.24, 034.8.25, 034.8.26, 034.8.27, 034.8.28, 034.8.3, 034.8.30, 034.8.31, 034.8.33, 034.8.39, 034.8.4, 034.8.42, 034.8.43, 034.8.46, 034.8.47, 034.8.48, 034.8.5, 034.8.50, 034.8.51, 034.8.57, 034.8.58, 034.8.6, 034.8.60, 034.8.62, 034.8.64, 034.8.66, 034.8.68, 034.8.75, 034.8.8, 034.9.1, 034.9.2). The update went into effect on 11/20/2020.</td>
<td></td>
</tr>
<tr>
<td>11/23/2020</td>
<td>ERA Analyst (RH)</td>
<td><strong>U2R</strong> was already added to the following SVS validations rules in place for D43. (001.42.9, 004.23.1, 004.3.4, 008.25.1, 008.27.2, 008.36.1, 008.41.7, 014.1.3, 014.1.4, 014.1.5, 014.10.1, 014.10.2, 014.12.1014.13.1, 014.16.1, 014.17.1, 014.17.3, 014.2.1, 014.2.4, 014.2.5, 014.3.1, 014.5.1, 014.5.2, 014.7.1, 014.8.1)</td>
<td></td>
</tr>
<tr>
<td>11/24/2020</td>
<td>ERA Analyst (NN)</td>
<td>Rule 001.6.10 was updated with additional business logic to support entering a valid or invalid Federal ID if the Emergency flag is present.</td>
<td></td>
</tr>
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<td>Version Number</td>
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</tr>
<tr>
<td>1.47</td>
<td>02/02/2021</td>
<td>ERA Analyst (NN)</td>
<td>New rule (004.25.41) was added to provide an error if an R13/U13 grant application does not include a diversity plan.</td>
</tr>
<tr>
<td></td>
<td>02/02/2021</td>
<td>ERA Analyst (NN)</td>
<td>New rule (004.25.42) was added to provide an error if a diversity plan attachment exceeds one page.</td>
</tr>
<tr>
<td></td>
<td>02/08/2021</td>
<td>ERA Analyst (RH)</td>
<td>Rules (034.6.6, 034.6.7 and 034.6.8) were updated to not trigger error for Infrastructure (I) flagged Opportunity Announcements.</td>
</tr>
<tr>
<td></td>
<td>02/16/2021</td>
<td>ERA Analyst (NN)</td>
<td>The rule severity for rule (001.33.3) was changed from an error to a warning. Additionally, the rule message was updated.</td>
</tr>
<tr>
<td></td>
<td>02/16/2021</td>
<td>ERA Analyst (NN)</td>
<td>Rules (008.41.7, 010.3.3, 010.3.4, 005.49.3, 001.18.1) were updated to include the R16 activity code.</td>
</tr>
<tr>
<td></td>
<td>02/18/2021</td>
<td>ERA Analyst (RH)</td>
<td>The validation text for rule (005.48.9) was updated to ignore the User ID field in the message if not provided.</td>
</tr>
<tr>
<td></td>
<td>02/18/2021</td>
<td>ERA Analyst (RH)</td>
<td>The logic for rule (024.43.1) was updated to include Forms-F.</td>
</tr>
<tr>
<td>1.48</td>
<td>03/23/2021</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.33.33) was added to trigger error if a Progress Report Publication is attached to the resubmission of a new application.</td>
</tr>
<tr>
<td></td>
<td>03/19/2021</td>
<td>ERA Analyst (RH)</td>
<td>To allow 12 pages when the page limit exception is set to Y, the activity code (R16) was removed from the list of activity codes associated with SVS rule (010.3.4), at the same time R16 was added to SVS rule (010.3.6). This change went into production on 3/5/2021.</td>
</tr>
<tr>
<td></td>
<td>03/19/2021</td>
<td>ERA Analyst (RH)</td>
<td>The activity code (R00) was removed from the following SVS rules (010.3.12, 005.29.1, 005.27.1 and 004.22.3). R00 was already excluded from rule (001.33.26). The activity code (C06) was also removed from SVS rule (008.40.2). The changes went into production on 3/17/2021.</td>
</tr>
<tr>
<td></td>
<td>04/06/2021</td>
<td>ERA Analyst (RH)</td>
<td>A new SVS rule (005.48.11) was added to enforce requirement Commons ID for everyone listed on Senior/Key Person form.</td>
</tr>
<tr>
<td></td>
<td>04/15/2021</td>
<td>ERA Analyst (RH)</td>
<td>The rule logic for rule (001.33.32) was modified to ignore the status of the prior grant.</td>
</tr>
<tr>
<td></td>
<td>04/15/2021</td>
<td>ERA Analyst (RH)</td>
<td>New rule (001.33.34) was added to trigger an error if a Progress Report Publication is attached to the resubmission of a new application.</td>
</tr>
<tr>
<td></td>
<td>04/15/2021</td>
<td>ERA Analyst (RH)</td>
<td>New VA rule (001.1.12) was added to allow &quot;Pre-Application&quot; as Submission Type only when the activity code is I02.</td>
</tr>
<tr>
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<tr>
<td>04/16/2021</td>
<td>ERA Analyst (NN)</td>
<td>Rule (005.48.7) has been disabled due to the creation of rule (005.48.11).</td>
<td></td>
</tr>
<tr>
<td>06/11/2021</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 004.25.43 was added to Provide a warning if the R15 applicant has not attached a letter from the Provost “ProvostLetter.pdf</td>
<td></td>
</tr>
<tr>
<td>06/21/2021</td>
<td>ERA Analyst (NN)</td>
<td>Activity code ‘S10’ was excluded from rule 000.28</td>
<td></td>
</tr>
<tr>
<td>07/21/2021</td>
<td>ERA Analyst (FN)</td>
<td>Application type ‘444’ was excluded from rule 010.4.2, and 010.1.2</td>
<td></td>
</tr>
<tr>
<td>07/21/2021</td>
<td>ERA Analyst (FN)</td>
<td>Activity code ‘I02’ was excluded from rule 005.26.3, and 005.53.3</td>
<td></td>
</tr>
<tr>
<td>09/10/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 000.53 was added to check UEI instead of DUNS (will replace rule 000.3)</td>
<td></td>
</tr>
<tr>
<td>09/10/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 001.8.1 was updated to exclude SF424 &gt;= v5.0 to process applications with DUNS during transition to UEI</td>
<td></td>
</tr>
<tr>
<td>09/10/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.8.5 was added to check UEI instead of DUNS (will replace 001.8.1 after transition to UEI)</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 001.8.2 was updated to exclude SF424 &gt;= v5.0 to process applications with DUNS during transition to UEI</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.8.6 was added to check UEI instead of DUNS (will replace 001.8.2 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 001.8.3 was updated to exclude SF424 &gt;= v5.0 to process applications with DUNS during transition to UEI</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.8.7 was added to check UEI instead of DUNS (will replace 001.8.3 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 001.8.4 was updated to exclude SF424 &gt;= v5.0 to process applications with DUNS during transition to UEI</td>
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</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.8.8 was added to check UEI instead of DUNS (will replace 001.8.4 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 002.9.1 was updated to exclude SF424 MP &gt;= v5.0 to process applications with DUNS during transition to UEI</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 002.9.2 was added to check UEI instead of DUNS (will replace 002.9.1 after transition to UEI)</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 005.21.3 was updated to exclude R&amp;R Senior/Key Person Profile (Expanded) &gt;= v4.0 to process applications with DUNS during transition to UEI</td>
<td></td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 005.21.13 was added to check UEI instead of DUNS (will replace 005.21.3 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 006.1.3 was added to check UEI instead of DUNS (will replace 006.1.1 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 006.1.4 was added to check UEI instead of DUNS (will replace 006.1.2 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 015.1.1 was updated to exclude PHS398 Training Budget &gt;= v2.0 to process applications with DUNS during transition to UEI</td>
<td></td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 015.1.3 was added to check UEI instead of DUNS (will replace 015.1.1 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 015.1.4 was added to check UEI instead of DUNS (will replace 015.1.2 after transition to UEI)</td>
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<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 020.1.3 was added to check UEI instead of DUNS (will replace 020.1.1 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 020.1.2 was updated to exclude R&amp;R Budget 5YR &gt;= v3.0 to process applications with DUNS during transition to UEI</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 020.1.4 was added to check UEI instead of DUNS (will replace 020.1.2 after transition to UEI)</td>
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<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 021.1.1 was updated to exclude PHS Additional Indirect Costs &gt;= v2.0 to process applications with DUNS during transition to UEI</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 021.1.4 was added to check UEI instead of DUNS (will replace 021.1.1 after transition to UEI)</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 021.1.5 was added to check UEI instead of DUNS (will replace 021.1.3 after transition to UEI)</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 022.1.3 was added to check UEI instead of DUNS (will replace 022.1.1 after transition to UEI)</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 022.1.2 was updated to exclude R&amp;R Budget 10YR &gt;= v3.0 to process applications with DUNS during transition to UEI</td>
<td></td>
</tr>
<tr>
<td>09/13/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 022.1.4 was added to check UEI instead of DUNS (will replace 022.1.2 after transition to UEI)</td>
<td></td>
</tr>
<tr>
<td>09/24/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 008.41.3 was updated to correct the error message regarding Other Direct Cost section F of the R&amp;R Budget form</td>
<td></td>
</tr>
<tr>
<td>Version Number</td>
<td>Revision Date</td>
<td>Author</td>
<td>Summary of Changes</td>
</tr>
<tr>
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</tr>
<tr>
<td></td>
<td>09/24/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 008.41.4 was updated to correct the error message regarding Other Direct Cost section F of the R&amp;R Budget form</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 022.53 was updated to correct the error message regarding Other Direct Cost section F of the R&amp;R Budget form</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 020.43 was updated to correct the error message regarding Other Direct Cost section F of the R&amp;R Budget form</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 020.44 was updated to correct the error message regarding Other Direct Cost section F of the R&amp;R Budget form</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 000.50 has been disabled (Forms-E rule, no longer needed)</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 034.6.5 was updated to correct the error message regarding Forms-F</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 034.6.9 was updated to correct the error message regarding Forms-F</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 034.6.17 was updated to correct the error message regarding Forms-F</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 034.8.31 was updated to correct the error message regarding Forms-F</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 034.8.32 was updated to correct the error message regarding Forms-F</td>
</tr>
<tr>
<td></td>
<td>10/07/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 034.8.2 was updated to correct the error message regarding Forms-F</td>
</tr>
<tr>
<td></td>
<td>10/14/2021</td>
<td>ERA Analyst (FN)</td>
<td>The following rule’s error messages have been updated to contact the service desk (when choosing a State from new state codes on forms-F application causes these errors to trigger): 003.8.1, 003.20.1, 002.17.1, 002.31.1, 001.16.1, 001.101.1, 001.57.2, 001.85.2, 005.14.1, 005.41.2</td>
</tr>
<tr>
<td>1.51</td>
<td>11/04/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 024.64.1 was created to provide an error if Childcare Costs Funds Requested do not match the Proposed Project Period.</td>
</tr>
<tr>
<td></td>
<td>11/04/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 023.20.20 was create to address UEI instead of DUNS (will replace 023.20.17 after transition to UEI)</td>
</tr>
<tr>
<td></td>
<td>11/04/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 023.20.17 was updated to exclude Forms-G versions of the SBIR/STTR form</td>
</tr>
<tr>
<td></td>
<td>11/04/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 025.13.4 and 025.13.5 were created to address UEI instead of DUNS (will replace 025.13.2 and 025.13.3 after transition to UEI)</td>
</tr>
<tr>
<td>Version Number</td>
<td>Revision Date</td>
<td>Author</td>
<td>Summary of Changes</td>
</tr>
<tr>
<td>----------------</td>
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</tr>
<tr>
<td>11/04/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rules 025.13.2 and 025.13.3 were updated to exclude Forms-G versions of the SF424 form</td>
<td></td>
</tr>
<tr>
<td>11/08/2021</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Exclude DP1, DP2, DP3, R00 for rule 000.28</td>
<td></td>
</tr>
<tr>
<td>11/08/2021</td>
<td>ERA Analyst (FN)</td>
<td>Rule 000.51 was updated with a new warning message for Forms-G</td>
<td></td>
</tr>
<tr>
<td>11/08/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.94.4 was created to not allow Cover Letters for VA I02 pre-applications.</td>
<td></td>
</tr>
<tr>
<td>11/08/2021</td>
<td>ERA Analyst (FN)</td>
<td>New Rules 025.19.1, 003.13.1, and 003.27.1 were created to provide an error if country not United States for SAMHSA applications.</td>
<td></td>
</tr>
<tr>
<td>12/21/2021</td>
<td>ERA Analyst (NN)</td>
<td>Updated Rule 004.25.41 with a new concept where the file name should contain 'DiversityPlan' text with or without spaces for the validation to trigger.</td>
<td></td>
</tr>
<tr>
<td>03/07/2022</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Exclude AHRQ for rules 001.94.2 and 004.25.41</td>
<td></td>
</tr>
<tr>
<td>04/18/2022</td>
<td>ERA Analyst (FN)</td>
<td>Rule 000.44 was updated to include NIH only and exclude OTs</td>
<td></td>
</tr>
<tr>
<td>04/29/2022</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Removed activity code UH3 from rule 001.33.2</td>
<td></td>
</tr>
<tr>
<td>04/29/2022</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Exclude FDA from rule 004.25.41</td>
<td></td>
</tr>
<tr>
<td>05/06/2022</td>
<td>ERA Analyst (NN)</td>
<td>New rule 001.37.1 was created for CDC to Generate an error if the numbers with lengths other than 3 or 6</td>
<td></td>
</tr>
<tr>
<td>05/10/2022</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Update error message for VA rule 001.94.4</td>
<td></td>
</tr>
<tr>
<td>06/07/2022</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.33.35 was created to check application types to be Revision for 332 application types.</td>
<td></td>
</tr>
<tr>
<td>06/10/2022</td>
<td>ERA Analyst (FN)</td>
<td>New Rules 023.20.11 and 020.43.1 were created to check if a Technical Assistance was added on the Budget form when the TABA question is Yes on the SBIR/STTR form.</td>
<td></td>
</tr>
<tr>
<td>06/27/2022</td>
<td>ERA Analyst (FN)</td>
<td>Updated rules 001.33.31, 001.33.32, 001.33.33, and 001.33.34 to reference the child form and the correct attachment name on the error message.</td>
<td></td>
</tr>
<tr>
<td>1.53</td>
<td>07/20/2022</td>
<td>ERA Analyst (FN)</td>
<td>New Rules 019.8.1, 020.45.1, 020.45.2, 022.54.1, 022.54.2, 006.55.2, and 010.17.3 were created for DMS implementation</td>
</tr>
<tr>
<td>Version Number</td>
<td>Revision Date</td>
<td>Author</td>
<td>Summary of Changes</td>
</tr>
<tr>
<td>----------------</td>
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</tr>
<tr>
<td>08/01/2022</td>
<td>ERA Analyst (FN)</td>
<td>Updated rule 001.37.1 to add Inclusion: NIH</td>
<td></td>
</tr>
<tr>
<td>08/02/2022</td>
<td>ERA Analyst (FN)</td>
<td>New Rules 010.17, 010.17.2, 010.17.4, 014.19.1, 014.19.2, 013.27.1, 013.27.2, 024.65.1, and 024.65.2 were created for DMS implementation</td>
<td></td>
</tr>
<tr>
<td>08/04/2022</td>
<td>ERA Analyst (FN)</td>
<td>Updated the error messages for rules 001.33.1, 001.33.29, and 001.33.35.</td>
<td></td>
</tr>
<tr>
<td>08/09/2022</td>
<td>ERA Analyst (FN)</td>
<td>Updated rule 001.6.5 to exclude Fs and created new rule 001.6.24 to include Fs.</td>
<td></td>
</tr>
<tr>
<td>01/14/2022</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 001.6.25 was created to check if the Federal Identifier is empty and the application was marked as New and CRP for SBIR applications</td>
<td></td>
</tr>
<tr>
<td>01/14/2022</td>
<td>ERA Analyst (NN)</td>
<td>Updated Rule 025.6.1 &amp; 025.6.2 and added NIST and NOAA to Agency Customization.</td>
<td></td>
</tr>
<tr>
<td>01/14/2022</td>
<td>ERA Analyst (FN)</td>
<td>Updated Rule 000.51 with new notice number for Forms-H transition.</td>
<td></td>
</tr>
<tr>
<td>01/18/2022</td>
<td>ERA Analyst (FN)</td>
<td>This document has been updated thoroughly across all forms for consistency with our systems. Changes not limited to flags, exclusions, inclusions, error messages, and error/warnings.</td>
<td></td>
</tr>
<tr>
<td>01/18/2022</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Add Activity Code 333, 666, 777, 444 and 332 for rule 000.25</td>
<td></td>
</tr>
<tr>
<td>01/23/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule (Research) 001.33.36 was added to Generate an error if user selects anything besides ‘New’ for NOAA, and NIST agencies</td>
<td></td>
</tr>
<tr>
<td>01/23/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule (Non-Research) 025.2.3 was added to Generate an error if user selects anything besides ‘New’ for NOAA, and NIST agencies</td>
<td></td>
</tr>
<tr>
<td>01/23/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 028.49.1 was added to Generate an error if the total from line 17 on the construction budget is not equal total on 424RR total direct cost (15a)</td>
<td></td>
</tr>
<tr>
<td>01/25/2023</td>
<td>ERA Analyst (FN)</td>
<td>Rule logic has been corrected for 001.6.12 to trigger for Resubmissions when the prior grant created date is more than 37 months from the current date</td>
<td></td>
</tr>
<tr>
<td>03/09/2023</td>
<td>ERA Analyst (FN)</td>
<td>Rule 001.6.20 has been enabled</td>
<td></td>
</tr>
<tr>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>Rule 001.43.1 was updated to behave and trigger like the data entry validation in ASSIST, value must be in format XX-XXX</td>
<td></td>
</tr>
<tr>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>Backfills: Update 000_20 rule message</td>
<td></td>
</tr>
<tr>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 025.72.2 was created to check if the AOR email matches to an SO for the organization</td>
<td></td>
</tr>
<tr>
<td>Version Number</td>
<td>Revision Date</td>
<td>Author</td>
<td>Summary of Changes</td>
</tr>
<tr>
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</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 025.6.6 was created to generate an error if one does not have a PI role or is not affiliated with organization of application.</td>
</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 005.21.14 was created to generate an error if the contact PD/PI is not at the organization of the submission or does not have the PI role on Senior Key form</td>
</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>Rule 005.21.13 was updated to include Agency Customization</td>
</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>Rule 025.6.3 was updated to include Agency Customization</td>
</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>New Rule 013.25.4 was added to generate an error if the Candidate Information and Goals for Career Development plus the Research Strategy combined is greater than 16 pages for AHRQ</td>
</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>Rule 001.30.3 was updated to remove NIST, NOAA from Agency Customization</td>
</tr>
<tr>
<td></td>
<td>04/03/2023</td>
<td>ERA Analyst (NN)</td>
<td>Rule 001.6.20 was Updated to accommodate emergency Opportunity Announcement’s and nosi’s</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>In compliance with policy guidance, ‘FOA’, and ‘Funding Opportunity Announcement’ has been replaced in this document to ‘Opportunity Announcement’.</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 005.21.15 and 005.48.13 were created to check if a PI or MPI credential is in Pending status</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>New Rule 005.48.12 was created to check if a senior key credential is invalid</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>New Rules 034.8.78 was created to check if the Opportunity Announcement type is BESH and FDAAA question is Yes.</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>Rules no longer applicable have been deleted (DUNS, old forms, schema): 001.21.1, 001.23.1, 008.21.1, 013.12.1, 014.3.1, 001.8.1, 001.8.2, 001.8.3, 001.8.4, 002.9.1, 005.21.3, 006.1.1, 015.1.1, 002.9.1, 003.3, 06.1.2, 015.1.2, 020.1.1, 020.1.2, 021.1.1, 021.1.3, 022.1.1, 022.1.2, 008.1.1, 008.1.2, 008.1.3, 008.1.4, 008.1.5, 004.1.3, 008.18.1, 008.18.2, 008.2.2, 008.20.1, 008.26.1, 008.4.1, 008.6.1, 010.6.1, 010.7.1, 010.9.1, 013.15.1, 013.16.1, 013.2.1, 013.25.2, 013.3.1, 013.4.2, 014.2.1, 014.4.1, 014.7.1, 017.1.2</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>Rule 000.20 was updated to allow ampersand (&amp;) characters.</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>The following rules have been updated to include NIST, and NOAA agencies: 000.10, 000.11, 000.13, 000.18, 000.36, 000.9, 001.1.5, 001.37.1</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>The following rules have been disabled: 020.54.1, 020.55.1, 022.63.1, 022.64.1</td>
</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>Rules 020.52.4 and 022.61.5 have been updated to allow $80k in direct costs.</td>
</tr>
<tr>
<td>Version Number</td>
<td>Revision Date</td>
<td>Author</td>
<td>Summary of Changes</td>
</tr>
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</tr>
<tr>
<td></td>
<td>06/02/2023</td>
<td>ERA Analyst (FN)</td>
<td>Rule 000.44 has been updated with a new error message notice.</td>
</tr>
<tr>
<td>1.58</td>
<td>08/21/2023</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Rules 004.20.2, and 004.21.2 have been updated to exclude NOAA, and NIST.</td>
</tr>
<tr>
<td></td>
<td>08/21/2023</td>
<td>ERA Analyst (FN)</td>
<td>Backfill: Rules 020.45.1, 020.45.2, 022.54.1, 022.54.2, 006.55.2, and 010.17.4 have been disabled per new DMS notice: <a href="https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-161.html">https://grants.nih.gov/grants/guide/notice-files/NOT-OD-23-161.html</a></td>
</tr>
</tbody>
</table>

**Validations definitions**

Validations categories are not mutually exclusive (i.e., several categories can apply to a single validation). A validation can apply to multiple categories, such as a specific form version, an activity code and/or an Opportunity Announcement specific flag at the same time.

As an example, validation 018.3.2 agency – Provide error if this value for any budget year is > 50K for R03 or budget year is >200K for R21 on the Modular budget applies to the following categories:

- Form version - V1.2
- Agency - NIH
- Opportunity Announcement Specific flag - project_cost_exception_flag = Y
- Activity code – Include R03, R21

**CATEGORIES:**

1. **Form Version Validations** – Validations can vary by version level of an individual form within a form package. The form version number column lists applicability of rule to all Included Versions and above.

   Example:
   - Form version Incl: 2.0 means the rule is applicable to form versions 2.0 and above.
   - Form version Excl: 1.2 means the rule is applicable to form version 1.1

2. **Mandatory Validations** – Validations required for eRA systems to successfully process applications and map them to the eRA database (i.e., IMPAC II). Apply to NIH and all Agencies using eRA systems to process grant applications.

   Examples:
   - The Opportunity Announcement must exist in the eRA database (000.19)
• DUNS on SF424 R&R cover form must exist in the eRA database. (001.8.1)

3. **Agency Specific Validations** – Validations that are modifiable at the Agency level. Agency is determined by a parameter associated with the Opportunity Announcement. The Agency parameter will be exposed in the Submission Agency Data Service in a future enhancement.

   Examples:
   
   • Do not accept Pre-application as submission type (001.1.1)
   • Do not accept changed/corrected application if the original application has been verified and not withdrawn (001.1.3)

4. **Opportunity Announcement Specific Validations** – Validations that are controlled at the opportunity level and triggered based on whether or not a specific flag (defined with the validation) is set for the Opportunity Announcement. The Opportunity Announcement Information Request in the Submission Agency Data Service (SADS) web service can be used to determine if the specific flag is set for an Opportunity Announcement.

   Examples:
   
   • Provide error if this value for any budget year is > 50K for R03 or budget year is >200K for R21 (018.3.2)
   • Provide error if project period is more than two years long. (001.42.3)

5. **Activity Code Validations** - Validations that apply to a specific activity code (R01, T32…), a major activity code (F, K…), a program type code (SBIR, STTR) or a processing activity code (333, 777, 332 etc.)

   Allowing validations to be controlled at the major activity code level facilitates logical groupings of activity codes. The ‘major activity code’ is the first character of the three-character activity code. For example, F31 and F32 share the major activity code of ‘F’. Validations that apply to the F major activity code would apply to all Fellowship applications’

   Examples:
   
   • Provide error if project period is more than two years long. (001.42.3)
   • The application should be submitted with a modular budget. Applications where the applicant organization is foreign are exempt from this validation. (020.0.2)

   **Note:** Opportunity Announcements that utilize the 332 activity code are validated against the activity code of the awarded grant (Fed ID).

6. **Applies to Single Project, Multi Project or Both** - Validations that apply to Single Project applications, to Multi Project application, or both.

   Examples:
   
   • For a revision, if the parent grant budget is non-modular, only a detailed budget form may be submitted. (018.0.3)
   • If Human Embryonic Stem Cells (HESC) Involved is Yes on any Other Component, then the answer must be Yes on the Overall Component (008.21.2)
   • For a revision, the parent grant must be awarded. (001.6.10)
7. **Applies to Overall, Other Components or Both** - Validations that apply to the ‘Overall Component’, Other Component or Both – Overall and Other Component – on a Multi Project application.

Examples:
- For a resubmission, a summary statement must have been released for the prior grant, unless the prior grant has been withdrawn without a summary statement (001.6.6)

8. **Cross Component validations**: Validations that cross component types such as Overall and Other Components for a Multi Project application.

Example:
- If Human Embryonic Stem Cells (HESC) Involved is Yes on any Other Component, then the answer must be Yes on the Overall Component (008.21.2)

9. **Global Validations**: Validations that apply to the whole of the application.

Examples:
- For New and Renewal type of application, the number of iterations of a given component (defined by the component label in the Opportunity Announcement) need to match the number of iteration provided in the Opportunity Announcement data. (000.4)
- The Opportunity Announcement does not exist in the database (000.19)

10. **Shared validations**: Validations for fields that are common to multiple forms and uses the same rule logic (e.g., Validations against the State field).

Examples:
- If country not US, State must be blank. (001.16.2)
- If country not US, State must be blank. (001.57.3)
- If country not US, State must be blank. (001.85.3)
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<td>If PIChangeIndicator or not set on Cover Page Supplement, provide error if Commons Account doesn't match and last name of PI on prior grant doesn't match last name for PI on current application. Ignore case, spaces, and punctuation on match.</td>
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<td>For a resubmission, a summary statement must have been released for the prior grant, unless the prior grant has been withdrawn</td>
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**Error/Warning**
- Must be included. Components are `<application_type>` `<mechanism>` `<institute>` `<serial_number>`- `<support_year>`<suffix code>
- The PD/PI listed for this application does not match the PD/PI associated with the grant identified by the Federal Identifier. If this application involves a change of PD/PI, please select the Change of PD/PI box on the PHS 398 Cover Page Supplement form.
- A Resubmission application cannot be submitted until the Summary Statement for the previous application has been released by the agency.
- Updated rule August 2022 release.
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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 application cannot be submitted if a prior version in the same support year has been awarded.</td>
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<td>For resubmission, if the prior grant suffix code=A1, display a warning. Matching is performed only on IC and serial number?</td>
<td>NIH and AHRQ policy only allows one resubmission. This application may be returned after internal processing if you have exceeded that limit. The NIH and AHRQ resubmission policy was revised in April 2014 and you may have the option to submit a New application. See: <a href="http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-074.html">http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-074.html</a></td>
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<td>For resubmission, prior grant suffix code must not=A2</td>
<td>This application has exceeded the number of resubmissions permitted and cannot be accepted. The NIH and AHRQ resubmission policy was revised in April 2014 and you may have the option to submit a New application. See: <a href="http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-074.html">http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-074.html</a></td>
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Updated Rules August 1, 2020

Updated Rules December 2020
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<td>For Resubmission, if the prior grant created date is more than 37 months from the current date, provide Error</td>
<td>Resubmission applications must be submitted within 37 months of the previous submission. See: <a href="http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-128.html">http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-128.html</a></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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- **VA, USU**
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- **Incl: V 2.0**
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- **Resubmission applications must be submitted within 37 months of the previous submission. See: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-128.html**
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- **Updated Rule August 2020 Release**
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<td>If the organization associated with the PD/PI of the application does not match the organization associated with the Federal Identifier entered in box 4a of the SF-424.</td>
<td>The organization associated with the PD/PI of the application does not match the organization associated with the Federal Identifier entered in box 4a on the SF-424 form.</td>
<td>Updated Rule April 2023 Release</td>
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</table>

For a new VA application, a Federal Identifier is mandatory.

A Federal Identifier is required for a new VA application. Include only the institute code and serial number of the prior application/grant number in the Federal Identifier field (e.g., use CA987654 extracted from full application/grant number 1R01CA987654.A1).

For Resubmission, prior grant suffix code must not ='A2'

VA allows up to two revised applications (identified as "Resubmission" applications on the SF424 (R&R) Form). This application has exceeded the

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the Federal Identifier entered in box 4a, fire a warning.
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
<th>Rule #</th>
<th>Mand atory (Y/N)</th>
<th>Sha red (Y/ N)</th>
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<th>For m Ver sion</th>
<th>Opportunity Announcement Specific</th>
<th>Activity Specific Lists Activity Code (Inclu sion &amp; Exclu sion)</th>
<th>Applies to Single Project, Multi Project or Both</th>
<th>Cross Comp onents (Multi Project Only)</th>
<th>Validation</th>
<th>Error Message</th>
<th>Error/ War ning</th>
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<td>N</td>
<td>For a resubmission, the prior grant suffix code must not = 'A3'</td>
<td>This application has exceeded the number of resubmissions permitted and cannot be accepted. Verify that the Federal Identifier is correct.</td>
<td>E</td>
<td>New Rule Augus t 2020 Release</td>
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<td>N</td>
<td>Provide error if Commons Account doesn’t match the last name of PI on prior grant and last name for PI on current application. Ignore case, spaces, and punctuation on match.</td>
<td>The PD/PI listed for this application does not match the PD/PI associated with the grant identified by the Federal Identifier.</td>
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<td>New Rule Augus t 2022 Release</td>
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<td>Incl: V5. 0</td>
<td>Incl: R42, UT2, R44, U44</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Trigger a warning if the Federal Identifier is null and the Application was marked as New on the SF424 and CRP on the SBIR/STTR Information form</td>
<td>If this &quot;Commercialization Readiness Program (CRP)&quot; submission has a previously awarded parent grant, then the Federal Identifier for that award should be entered on field 4.a of the SF424 (R&amp;R) form.</td>
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<td>Excl: 666, 777</td>
<td>Bot h</td>
<td>Both</td>
<td>N</td>
<td>Trigger warning if Notice of Information format provided</td>
<td>If you are responding to a Notice of Special Interest, the notice number entered in the Agency Routing Identifier field (box 4b) of</td>
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<td>Updated in prod cution</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>For Opportunity Announcement = X when a NOSI number is added in box 4b, check the information in this table to determine if the NOSI is active today (date). If not return a warning.</td>
<td>The information provided in box 4b of the SF424 R&amp;R form is not recognized as an active Notice of Special Interest (NOSI). If responding to a NOSI, please check the number, format, and expiration date.</td>
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<td>New Rule Augus 2020 Release</td>
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<td>SF 42 4 (R &amp;R)</td>
<td>Previous Grants.gov Tracking ID</td>
<td>001.9 5.1</td>
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<td>Incl: V 2.0</td>
<td>Both</td>
<td>Overall</td>
<td>N</td>
<td>Required if Type of Submission is a Changed/Corrected Application</td>
<td>The Previous Grants.gov Tracking ID is required if the application is marked as 'Changed/Corrected'.</td>
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<td>V 5.0</td>
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<td>Overall</td>
<td>N</td>
<td>Application UEI must match the UEI recorded for IPF in Commons.</td>
<td>The UEI provided in the application does not match the UEI in the eRA Commons Institution Profile. Make sure that the UEI on your application matches the UEI used in both Grants.gov and the eRA Commons.</td>
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<td>New Rule October 2021 Release</td>
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<td>Overall</td>
<td>N</td>
<td>The organization associated with the UEI provided in the application does not match the organization associated with the grant identified by the Federal Identifier. Revision applications are typically submitted</td>
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<td>New Rule October 2021 Release</td>
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<td>Overall</td>
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<td>The organization associated with the UEI provided in the application does not match the organization associated with the grant identified by the Federal Identifier. Revision applications are typically submitted</td>
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<td>Overall</td>
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<td>The organization associated with the UEI provided in the application does not match the organization associated with the grant identified by the Federal Identifier. Revision applications are typically submitted</td>
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<td>Overall</td>
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<td>Both</td>
<td>N</td>
<td>Provide error if the organization is marked as ‘closed’ in IMPAC II database grant by matching the UEI provided against the UEI recorded for the organization.</td>
<td>E</td>
<td>The organization associated with the UEI provided is not active in eRA Commons. Make sure that the UEI number on your application matches the UEI number used in both Grants.gov and the eRA Commons.</td>
<td>New Rule Oct 2021 Release</td>
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<td>Incl: NIH, CDC, FDA, AHRQ , VA, USU</td>
<td>Mult i</td>
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<td>Y</td>
<td>Provide warning if application contains at least one component lead at a different organization than the Overall Organization (based on the UEI) and the PHS Additional Indirect Costs form if not present in the Overall component.</td>
<td>W</td>
<td>If appropriate, you may use the PHS Additional Indirect Cost form to capture indirect costs for components led by other organizations.</td>
<td>New Rule Oct 2021 Release</td>
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<td>Incl: V 2.0</td>
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<td>N</td>
<td>State is required if country is US.</td>
<td>For «Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If country not US, State must be blank.</td>
<td>State must be supplied for US addresses. Please contact the &lt;eRA service desk&gt; for assistance</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Province is required if country is Canada.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province must be supplied for Canadian addresses.</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>If country not Canada, Province must be blank.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province should not be provided for all countries other than Canada.</td>
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<td>N</td>
<td>If Country is Canada and province name can't be transformed, give error.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province is not a valid province name.</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, US</td>
<td>Incl: V 2.0</td>
<td>Incl: SC1, SC2, SC3, S10, S11, S21, S22, DP2, DP5, UP5, C06, UC6, G08, G20, K02, K05, K24, K26, K01, K07, K08, K18, K22, K23, K25, K99, K99/R0 0, R15, UA5</td>
<td>Incl: Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide an error if country is not US</td>
<td>The Applicant Organization for this application must be located in the US.</td>
<td>E</td>
<td>Updated Rule February 2021 Release</td>
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<td>Form</td>
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**Update to Existing (Added C06, UC6 and G20)**

**Update to existing (Added R50)**

**December 2015 Release**

**January 16, 2016 Release**
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<th>Applies to Overall, Other Components or Both</th>
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<td>Incl: R13, U13, R18, U18</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide a warning if country is not US</td>
<td>The type of program you are applying to is typically restricted to US applicants. Please verify eligibility in the Opportunity Announcement.</td>
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<td>Single</td>
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<td>For an application in response to a VA announcement, return an error if country is not US</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>ZIP Code is required if country is US.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the ZIP Code must be supplied for US addresses.</td>
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<td>Incl: NIH, CDC, FDA, Incl: V 2.0</td>
<td>Both</td>
<td>Overall</td>
<td>N</td>
<td>State is required if country is US.</td>
<td>For «Person First, Last name or Organization name, or DUNS if Org name is not available», the State must be supplied for US</td>
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<td>addresses. Please contact the &lt;eRA service desk&gt; for assistance</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>If country is not US, the State must be blank.</td>
<td></td>
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<td>For &lt; Person First, Last name or Organization name, or DUNS if ORG name is not available&gt;, the State should not be provided for all countries other than the United States.</td>
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<td>001.1 02.1</td>
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<td>Y</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Province is required if country is Canada.</td>
<td></td>
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<td>For &lt; Person First, Last name or Organization name, or DUNS if ORG name is not available&gt;, the Province must be supplied for Canadian addresses.</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
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<td>N</td>
<td>If country is not Canada, Province must be blank.</td>
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<td>For &lt; Person First, Last name or Organization name, or DUNS if ORG name is not available&gt;, the Province should not be provided for all countries other than Canada.</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>If Country is Canada and province name can't be transformed, give error.</td>
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<td>For &lt; Person First, Last name or Organization name, or DUNS if ORG name is not available&gt;, the Province is not a valid province name.</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>ZIP Code is required if country is US.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the ZIP Code must be supplied for US addresses.</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>ZIP Code must be 9 numeric digits if country is US.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, a 9 digit ZIP Code must be supplied for US addresses.</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If e-mail is not provided, display Warning</td>
<td>The e-mail address for the Person to Be Contacted was not included. The AOR email address also provided on the SF 424 RR cover page will be used instead.</td>
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<td>Person to be Contacted, e-mail</td>
<td>001.2 7.2</td>
<td>N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 2.0</td>
<td>Bot h Overall N</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. The submitted e-mail address for the Person to Be Contacted (0), is invalid. The AOR email address also provided on the SF 424 RR cover page will be used instead.</td>
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<td>001.2 8.1</td>
<td>N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 2.0</td>
<td>Bot h Overall N</td>
<td>If &lt;13 characters, provide a warning if it is not either 9 characters or 12 characters (after dashes are removed). The Employer Identification Number should be a length of 9 characters or 12 characters. The application will be accepted by the agency.</td>
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<td>001.2 9.1</td>
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<td>Single Overall N</td>
<td>For an SBIR/STTR application, must be 'Small Business'. For an SBIR/STTR application, the Type of Applicant must be 'Small Business'.</td>
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<td>N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 2.0</td>
<td>Bot h Overall N</td>
<td>Required if &quot;Other&quot; is selected as the Applicant Type. Other &quot;comment&quot; is required if &quot;Other&quot; is selected as the Applicant Type.</td>
<td>E</td>
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<td>Applies to Single Project, Multi Project or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
<td>Comments</td>
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<td>Type of Applicant (other, Specify)</td>
<td>001.3 0.2</td>
<td>N</td>
<td>N</td>
<td>Incl: CDC</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>If “E. Other” is checked and Type of application is post award amendment (Type 6), the amendment name provided in the “Other(Specify)” field should be valid. If not exact match, it should be rejected.</td>
<td>The Post Award Amendment name provided in the “Other(Specify)” section, is not a valid name. Please choose a valid name.</td>
<td>E</td>
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<td>SF 42 4 (R &amp; R)</td>
<td>Small Business Organization type – Women Owned, Socially and Economically Disadvantaged</td>
<td>001.3 0.3</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>“Women Owned” or “Socially and Economically Disadvantaged” checkboxes should not be checked</td>
<td>Small Business Organization type – Women Owned and/or Socially and Economically Disadvantaged should not be provided; and any selections will not be saved. This information is pulled directly from the organization’s SAM.gov registration and will not be visible in the assembled grant image.</td>
<td>W</td>
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<tr>
<td>SF 42 4 (R &amp; R)</td>
<td>Type of Application (New, Resub, Renewal)</td>
<td>001.3 3.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Must be either New, Revision, Resubmission, or Renewal</td>
<td>The Application Type “&lt;Type of Application&gt;” provided is invalid. The Type of Application must be New, Revision, Resubmission, or Renewal.</td>
<td>E</td>
<td>Updated Rule August 2023 Release New rule February 2019 Release</td>
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<td>Field</td>
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<td>Sh a red (Y/N)</td>
<td>Agency Spec if ic (Lists A gencies)</td>
<td>For m Ver sion</td>
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<td>Applies to Single Project, Multi Project or Both</td>
<td>Applies to Overall, Other Components or Both</td>
<td>Cross Comp onents (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
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<td>001.3 3.2</td>
<td>N N</td>
<td>Incl : NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Incl: S11, X01, R03, R21, R34, U34, C06, UC6, G07, G08, G13, G20, K01, K07, K08, K18, K22, K23, K25, K99, K99/R00, R21/R33, UH2/UH3, UH2, SC2, K76, F99/K00</td>
<td>Sin gle</td>
<td>Overall</td>
<td>N</td>
<td>Renewal is not a valid type of application.</td>
<td>Renewal applications are not allowed for this Opportunity Announcement.</td>
<td>E</td>
<td>U pdat e to existin g rule (add G07, G08, G13, G20)</td>
<td>U pdat e to existin g rule (add SC2)</td>
<td>U pdat e to existin g (add X01)</td>
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<td>For m Version</td>
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<td>Activity Specific Lists Activity Code (Inclusi on &amp; Exclusi on)</td>
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<td>Applies to Overall, Other Components or Both</td>
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<td>SF 424 (R &amp; R)</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>001.3 3.3</td>
<td>N</td>
<td>N</td>
<td>Incl: VA</td>
<td>Incl: V 2.0</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>For an application in response to a VA announcement, return an warning if Type of Application is “Revision”</td>
<td>The Revision type of application may only be used to apply for supplemental funding on an existing VA award. For new competitive applications or competing renewal applications, select the appropriate application type in block 8 of the SF 424 R&amp;R.</td>
<td>W</td>
<td>Janua ry 14, 2016 Release Update to Existing Rule (Adde d K76, F99/K 00)</td>
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<td>SF 424 (R &amp; R)</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>001.3 3.4</td>
<td>N</td>
<td>N</td>
<td>Incl : NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Renewal is not a valid type of application for Phase I SBIR/ STTR. (Based on program type code and Phase I is indicated on</td>
<td>A renewal cannot be submitted for this application.</td>
<td>E</td>
<td>Updat ed Rule Febru ary 2021 Release</td>
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<td>SF 42 4 (R &amp; R)</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>001.3 3.25</td>
<td>N</td>
<td>N</td>
<td>Incl : NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Incl: F05, F30, F31, F32,F33, F37, F38, F12, S10, X01, R50, F99/K00</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Revision is not a valid type of application.</td>
<td>E</td>
<td>New rule</td>
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Update to existing (add S10)
Update to existing (added X01)
Update to Exiting (Added R50 – December 2015 Release) Jan 14,
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<th>Rule Categories</th>
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<td>SF 42 4 (R &amp; R )</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>001.3 3.26</td>
<td>N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 2.0 Incl: DP1, DP2, DP3, DP4, DP5, UP5 Single Overall N Provide error if application type is not marked as New. A resubmission, renewal, or revision Type of Application is not allowed... E New rule</td>
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<td>SF 42 4 (R &amp; R )</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>001.3 3.27</td>
<td>N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 2.0 Incl: SC1 Single Overall N For SC1, provide error for a renewal if the PI has been awarded any R01 or R21 grants, whether as a single PI or as a multiple PI. The PI, &lt;first name last name) has been awarded R01 or R21 grants in the past. SC1 applications may not be submitted if the PI has been awarded any R01 or R21 grants. E New Rule</td>
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<td>SF 42 4 (R &amp; R )</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
<td>001.3 3.28</td>
<td>N N Incl: NIH, CDC, FDA, AHRQ Incl: V 2.0 Incl: SC1 Single Overall N For an SC1 application, provide error for a renewal if there has already been an awarded Only one renewal is allowed for an SC1. E New Rule</td>
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<td>SF 42 4 (R &amp; R)</td>
<td>Type of Application (New, Resub, Renewal, Contin, Revision)</td>
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<td>SF 42 4 (R &amp; R)</td>
<td>Catalog of Federal Domestic Assistance Number</td>
<td>001.3.7.1</td>
<td>Incl: NIH, CDC, NIST, NOAA</td>
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<td>Validation</td>
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<td>Descriptive Title</td>
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<td>Proposed project start date</td>
<td>001.4 1.1</td>
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<td>Must be later than current date</td>
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<tr>
<td>Proposed project ending date</td>
<td>001.4 2.1</td>
<td></td>
<td>Must be later than Project Start Date</td>
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**Notes:**
- **Mandatory (Y/N):** Indicates whether the field is mandatory.
- **Shared (Y/N):** Indicates whether the field is shared.
- **Agency Specific (Lists Agencies):** Specifies which agencies the field is relevant for.
- **Form Version:** Indicates the version of the form.
- **Opportunity Announcement Specific:** Indicates if the rule applies to specific opportunities.
- **Activity Specific Lists Activity Code (Inclusion & Exclusion):** Indicates if the rule applies to specific activities.
- **Applies to Single Project, Multi Project or Both:** Specifies the scope of the rule.
- **Applies to Overall, Other Components or Both:** Specifies the scope of the rule.
- **Cross Components (Multi Project Only):** Indicates if the rule applies to cross components.
- **Activity Code:** Specifies the activity code(s) associated with the rule.

**Error/Warning:**
- **E:** Error message.
- **N:** Notice message.
- **M:** Mandatory message.
- **O:** Optional message.
- **Y:** Yes message.
- **N:** No message.
- **B:** Both message.

**Rule Categories:**
- **Mand:ary (Y/N):** Indicates whether the field is mandatory.
- **Shared (Y/N):** Indicates whether the field is shared.
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<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Must be no more than 20 years greater than today’s date.</td>
<td>The Proposed Project Ending Date cannot be more than 20 years in the future.</td>
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<td>001.4 2.3</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>project_period_e xcep_gt5y_flag = N</td>
<td>Incl: R03, R21, R36, UH2, R61</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide error if project period is more than two years long.</td>
<td>The project period for this type of application is limited to two years.</td>
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<td>SF 42 4 (R &amp; R )</td>
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<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>project_period_e xcep_gt5y_flag = Y</td>
<td>Incl: R03, R21, R36, UH2, R61</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if project period is more than two years long.</td>
<td>Be sure that you have complied with the allowable project period limitations for this Opportunity Announcement. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
<td>W</td>
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<td>SF 42 4 (R &amp; R )</td>
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<td>001.4 2.4</td>
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<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>project_period_e xcep_flag = N</td>
<td>Incl: R01, RL1, R21/R3 3, UH2/U H3, U01, RF1, UF1, K02, K05, K24, K26,</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide error if project period is more than five years long.</td>
<td>The project period for this type of application is limited to five years.</td>
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<td>SF 424 (R &amp; R)</td>
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<td>001.4 2.5</td>
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<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>project_period_exception_flag = Y</td>
<td>Incl: R01, RL 1, R21/R33, UH2/UH3, U01, RF1, UF1, K02, K05, K24, K26, K01</td>
<td>Provide warning if project period is more than five years long.</td>
<td>Be sure that you have complied with the allowable project period limitations for this Opportunity Announcement. Applications that do not comply with these instructions may be delayed or not accepted for review.</td>
<td>W</td>
<td>Jan 14, 2016 Update to existing rule (added K76)</td>
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<td>Applies to Overall, Other Components or Both</td>
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<td>Incl: V 2.0</td>
<td>project_period_excep_lt5y_flag = N</td>
<td>Incl: R15, R34, U34, G08, G13, UA5, SC2, SB1, UB1, R44, R4, R42</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Return error 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>The project period for this type of application is limited to three years.</td>
<td>E</td>
<td>Update to existing rule (added G08, G13)</td>
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Update to existing rule (added SC2)
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<td>Incl: R15, R34, U34, UA5, G08, G13</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>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. Be sure that you have complied with the allowable project period limitations for this Opportunity Announcement. Applications that do not comply with these instructions may be delayed or not accepted for review. W</td>
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<td>N</td>
<td>Provide 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. The project period is limited to five years. E</td>
<td>Update to existing rule (removed KM1) Update to existing rule (Added R50) December 2015 Release</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</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. Do not return error if <code>ALL</code> is encountered. When Other Country than US Congressional district <code>&lt;Congressional District&gt;</code> 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>
<td>E</td>
<td>Rule Updated April 2023 Release</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
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<td>If PD/PI name 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.</td>
<td>The name provided for the PD/PI, &lt;First name last name 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="http://era.nih.gov/reg_accounts/manage_personal_profile.cfm">http://era.nih.gov/reg_accounts/manage_personal_profile.cfm</a>.</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
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<td>State is required if country is US.</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If country not US, State must be blank. For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the State should not be provided for all countries other than the United States.</td>
<td>E</td>
<td>addresses. Please contact the &lt;eRA service desk&gt; for assistance</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If Country is Canada and province name can't be transformed, give an error. For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province is not a valid province name.</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>Province is required if country is Canada. For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province must be supplied for Canadian addresses.</td>
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<td>Incl: V 2.0</td>
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<td>Overall</td>
<td>N</td>
<td>If country not Canada, Province must be blank. For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province should not be provided for all countries other than Canada.</td>
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<td>Y</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
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<td>ZIP Code is required if country is US.</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>ZIP Code must be 9 numeric digits if country is US.</td>
<td>For « Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, a 9 digit ZIP Code must be supplied for US addresses.</td>
<td>E</td>
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<td>SF 42 4 (R &amp; R)</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Must contain a ‘@’, with at least 1 and at most 64 chars preceding and following the ‘@’. Control characters (ASCII 0 through</td>
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<td>Total Federal Funds Requested</td>
<td>001.6 4.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, USU</td>
<td>Incl: V 2.0</td>
<td>Incl: S10</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if Total Federal Funds Requested is equal to or more than 500K. Note: Exclude RFAs and Opportunity Announcements with specific budget limits.</td>
<td>Total Federal Funds Requests of $500K or more need agreement to accept assignment from Institute/Center staff, except for RFAs or PAs with budgetary limits. Applications may be delayed or not accepted for review.</td>
</tr>
<tr>
<td>SF 42 4 (R &amp; R)</td>
<td>Total Federal Funds Requested</td>
<td>001.6 4.2</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, USU</td>
<td>Incl: V 2.0</td>
<td>Incl: X01,</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide Error if non-zero values are entered in Total Federal Funds Requested</td>
<td>The Total Federal Funds Requested in the Estimated Project Funding section must be zero.</td>
</tr>
<tr>
<td>SF 42 4 (R &amp; R)</td>
<td>Total Federal Funds Requested</td>
<td>001.6 4.3</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, USU</td>
<td>Incl: V 2.0</td>
<td>Incl: C06, UC6, G20</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Total Federal Funds Requested must be non-zero for a C06, UC6 or G20 application.</td>
<td>The Total Federal Funds Requested in the Estimated Project Funding section cannot be zero</td>
</tr>
<tr>
<td>SF 42 4 (R &amp; R)</td>
<td>Total Federal and Non-Federal Funds</td>
<td>001.6 5.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, USU</td>
<td>Incl: V 2.0</td>
<td>Incl: S21, S22</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide a warning if zero or null is provided in Total Federal and Non-Federal Funds</td>
<td>The Total Federal and non-Federal Funds should be provided. Be sure to comply with the Opportunity Announcement instructions.</td>
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<tr>
<td>Form</td>
<td>Field</td>
<td>Rule #</td>
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<td>Shared (Y/N)</td>
<td>Agency Specific (Lists Agencies)</td>
<td>For. Version</td>
<td>Opportunity Announcement Specific</td>
<td>Activity Specific Lists Activity Code (Inclusion &amp; Exclusion)</td>
<td>Applies to Single Project, Multi Project or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
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<td>Incl: V 2.0</td>
<td>Incl: XD1</td>
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<td>Overall</td>
<td>N</td>
<td>Total Federal and Non-Federal Funds must be non-zero for a C06, UC6 or G20 application.</td>
<td>Provide error if non-zero values are entered in total Federal and Non-Federal Funds Requested</td>
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<td>Overall</td>
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<td>Total Federal and Non-Federal Funds in the Estimated Project Funding section cannot be zero.</td>
<td>Total Federal and Non-Federal Funds in the Estimated Project Funding section must be zero</td>
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<td>Subject to state executive order review?</td>
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<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>A State executive order review date must be entered, if the answer to the ‘Subject to state executive order review’ is ‘Yes’.</td>
<td>Required if answer to ‘Subject to state executive order review’ is ‘Yes’</td>
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<td>Applies to Single Project, Multi Project or Both</td>
<td>Applies to Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
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<td>VA, USU</td>
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<td>Authorized representative, prefix</td>
<td>001.7 2.1</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Display warning if first or last name&gt;30 chars, or if suffix&gt;5 chars. 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 agency will store the first &lt;database length&gt; characters in the eRA database.</td>
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<td>Sha red (Y/N)</td>
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<td>For m Ver sion</td>
<td>Opportunity Announcemen t Specific</td>
<td>Activity Specific Lists Activity Code (Inclusi on &amp; Exclusi on)</td>
<td>Applies to Single Project, Multi Project or Both</td>
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<td>Applies to Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>State is required if country is US.</td>
<td>For &lt;Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the State must be supplied for US addresses. Please contact the &lt;eRA service desk&gt; for assistance</td>
<td>E</td>
<td>Updated error message October 2021 release</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
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<td>Overall</td>
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<td>If country not US, state must be blank.</td>
<td>For &lt;Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the</td>
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<td>SF 42 4 (R &amp; R)</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Bot h</td>
<td>Overall</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
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<td>Overall</td>
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<td>Cross Components (Multi Project Only)</td>
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<td>(R &amp; R)</td>
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<td>FDA, AHRQ, VA, USU</td>
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<td>SF 424 (R &amp; R)</td>
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<td>Incl: NIH, CDC, FDA, AHRQ , VA, USU</td>
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<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If Country is Canada and province name can't be transformed, give error.</td>
<td>For « Person First, Last name or Organization name, or DUNS if Org name is not available», the Province is not a valid province name.</td>
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<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Province is required if country is Canada.</td>
<td>For « Person First, Last name or Organization name, or DUNS if Org name is not available», the Province must be supplied for Canadian addresses.</td>
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<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If country not Canada, Province must be blank.</td>
<td>For « Person First, Last name or Organization name, or DUNS if Org name is not available», the Province should not be provided for all countries other than Canada.</td>
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<td>001.8 8.1</td>
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<td>Incl: NIH, CDC, FDA, AHRQ , VA, USU</td>
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<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>ZIP Code is required if country is US.</td>
<td>For « Person First, Last name or Organization name, or DUNS if Org name is not available», the ZIP Code must be supplied for US addresses.</td>
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<td>Rule #</td>
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<td>Shared (Y/N)</td>
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<td>Activity Specific Lists Activity Code (Inclusion &amp; Exclusion)</td>
<td>Applies to Single Project, Multi Project or Both</td>
<td>Applies to Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>ZIP Code must be 9 numeric digits if country is US.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, a 9 digit ZIP Code must be supplied for US addresses.</td>
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<td>SF 42 4 (R &amp;R)</td>
<td>Authorized representative email</td>
<td>001.9 1.3</td>
<td>Y</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>Must contain a '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars &lt; &gt; ( ) { } \ ; : are not valid.</td>
<td>The submitted email address for the Authorized Representative (0), is invalid.</td>
<td>E</td>
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<tr>
<td>SF 42 4 (R &amp;R)</td>
<td>Authorized representative signature and date</td>
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<td>SF 42 4 (R)</td>
<td>Pre-application attachment</td>
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<td>Incl: VA</td>
<td>Incl: I02</td>
<td>Single</td>
<td>Overall</td>
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<td>Trigger an error if a VA pre-application is submitted</td>
<td>The pre-application attachment is required for a VA pre-application.</td>
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## SF 424 (R&R) MP ((Use only for Multi-project))

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For any questions regarding the SF 424, please contact the eRA service desk for assistance. The state must be supplied for US addresses if the country is not US. If the country is Canada, the province is required. Please contact the eRA service desk for assistance.
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For Submission where the RR Budget 5Yr or the RR Budget 10Yr (Type project and/or Subaward/Consortium) and the Modular Budget are present, provide error.

For Submission where either a modular budget, RR Budget 5Yr, a RR Budget 10Yr, RR Budget 10Yr MP or a PHS 398 Training Budget are present in the application package, provide error if no budget with type project is submitted.

Only one budget form should be included with your application.

You must include a budget with this application.

Updated Rule December 2021 Release
Updated Rule June 2021 Release
This rule should be disabled for CDC Type 6 Amendment applications, except for the following CDC Type 6 Amendment Applications: Budget Revision, Non-Competitive Supplement(s), CarryOver Request, Successor - In-Interest or
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<td>Provide warning if applicant SAM expiration date is within 14 days of the current date.</td>
<td>The SAM registration for your organization will expire on &lt;expiration date&gt;. An active SAM registration is required for submission.</td>
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<td>May 24 Release</td>
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<td>For CDC Post Award Amendments, an error is generated when a Post Award Action is submitted and does not contain the recommended set of forms</td>
<td>The Post Award Amendments application you are submitting does not contain the full set of forms recommended by the agency guidance. Please review the guidance for additional information.</td>
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<td>Generate an error rejecting submission of any Post Award Amendment or Non-Competing Continuation application is submitted for processing through grants.gov via adobe form submission, or through S2S submission via web service.</td>
<td>Post Award Amendments applications must be initiated through COMMONS and submitted through ASSIST. You must log into COMMONS and navigate to your grant record to complete this process.</td>
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<td>Application is Non-Competing Continuation and SYSDATE ≥ CONTINUATION_SCHEDULES_T.APPL_DUE_DATE of the next active Support Year</td>
<td>This Non-Competing Continuation application is due. Next Support Year [CONTINUATION_SCHEDULES_T.SUPPORT_YEAR] Due Date is [CONTINUATION_SCHEDULES_T.APPL_DUE_DATE]. Non-Competing Continuation application must be submitted to receive next year funding.</td>
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<td>Provide warning if SAM registration has expired</td>
<td>An active SAM registration is required for submission to Grants.gov. The SAM registration for your organization/entity expired on &lt;date&gt;. Your SAM point of contact (POC) must renew your registration in SAM.gov in order to submit your application. After renewal, it takes 1 or more business days for eRA and Grants.gov systems to recognize your updated SAM status and restore your ability to submit.</td>
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October 2016 Release
Updated Rule June 2023 Release
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<td>Excl: Overal</td>
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<td>0.04</td>
<td>N</td>
<td>N</td>
<td>E</td>
<td>New Rule October 2017 Release. Note: This rule is parallel to 034.5.5 for Single Projects.</td>
</tr>
</tbody>
</table>

**Validation**

- Provide a warning if appendix material is attached to any Research form for NIH and AHRQ.

**Error Message**

- Your application includes appendix information which may or may not be allowable. Applications will be withdrawn and not reviewed if they are determined to contain Appendix materials that are not specifically referenced in policy notice NOT-OD-17-098, reminder notice NOT-OD-18-126, or the Opportunity Announcement.

- At least one Clinical Trial Study Record or a Delayed Onset Study that is marked as ‘Anticipated Clinical Trial’, is not provided on the entire application for a Opportunity Announcement that is set to R or I, and answered yes to questions 1.4a through 1.4d.
<table>
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<th>Category</th>
<th>Rule#</th>
<th>Mandatory (Y/N)</th>
<th>Shared (Y/N)</th>
<th>Agency Specific (Lists Agencies)</th>
<th>Form Version</th>
<th>Opportunity Announcement Specific</th>
<th>Activity Specific Lists Activity Code (Inclusion &amp; Exclusion)</th>
<th>Applies to Single Project, Multi Project or Both</th>
<th>Applies to Overall, Other Components or Both</th>
<th>Cross Components (Multi Project Only)</th>
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<td>Excl : 333, 666</td>
<td>Bot h</td>
<td>Overall</td>
<td>Y</td>
<td>Provide error if same Study Record or Delayed Onset Study title is duplicated in an application. Note: Study Record and Delayed Onset Study Record cannot have the same titles i.e. all study titles must be unique within an application.</td>
<td>Study Record and Delayed Onset study titles must be unique and cannot be duplicated in an application.</td>
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<td>Excl: N99, Z99, OT1, OT2, OT3</td>
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<td>All attachments must be in PDF format</td>
<td>E</td>
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### Error Message

- **Global Validation**
  - **Prevent Non-NIH eligible organizations from submitting to NIH opportunities**
    - The organization `<org name>` is ineligible to submit applications for this NIH Opportunity Announcement. Contact the eRA Service Desk for additional assistance.
  - **Updated Rule June 2023**
    - **Release August 8, 2018**
      - **Release Updated Rule June 2022 release**
        - **Rule disabled October 2021 release**
          - **New Rule February 2020 Release**

- **Global Validation**
  - **The detailed budget contains a line item entry in section F = Human Fetal Tissue Cost or Costs then fire warning.**
    - You have entered a budget item "Human Fetal Tissue Costs" in your application. If you are submitting for a due date on or before May 25, 2020, and using a Form E package, you must include attachments HFTComplianceAssurance.pdf and HFTSampleIRBConsentForm.pdf in the "Other Attachments" section of the Other Project Information form.
  - **Updated Rule June 2023**
    - **Release August 8, 2018**
      - **Release Updated Rule June 2022 release**
        - **Rule disabled October 2021 release**
          - **New Rule February 2020 Release**

- **Attachment validation**
  - **All attachments must be in PDF format**
    - The `<attachment>` attachment is not in PDF format. All attachments must be provided to the agency in PDF format with a .pdf extension.
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<td>Both</td>
<td>N</td>
<td>If an attachment is empty (0 bytes), the following error should be returned</td>
<td>The (0) attachment was empty. PDF attachments cannot be empty, password protected or encrypted. Please submit a changed/corrected application with the correct PDF attachment. Help with PDF attachments can be found at <a href="http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm">http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm</a>.</td>
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<td>Both</td>
<td>Both</td>
<td>N</td>
<td>If PDF Attachment has the following issues: • Meta data missing • Encrypted document • Password Protected document • Secured document • Over 50 characters • PDF Error, the following error should be returned:</td>
<td>The &lt;attachment&gt; attachment contained formatting or features not currently supported by NIH: &lt;condition returned&gt;. Help with PDF attachments can be found at <a href="https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm">https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm</a></td>
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<td>Both</td>
<td>N</td>
<td>If attachment is larger than 8.5 x 11 inches (horizontally or vertically), provide error</td>
<td>Filename &lt;file&gt; cannot be larger than U.S. standard Letter paper size of 8.5 x 11 inches. Please see our PDF guidelines at <a href="http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm">http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm</a> for additional information.</td>
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<td>The &lt;attachment&gt; attachment contained formatting or features not currently supported: &lt;condition returned&gt;</td>
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<td>Generate a warning if the files attached to the following attachment fields contain graphic files: The &quot;Other Project Information&quot; form &quot;Project Summary/Abstract&quot; or &quot;Project Narrative&quot;, the &quot;Research Plan&quot; form &quot;Specific Aims&quot;, the &quot;Career Development Award Supplemental&quot; form &quot;Specific Aims&quot;, or the &quot;Fellowship Supplemental&quot; form &quot;Specific Aims&quot;.</td>
<td>The file attached to &lt;attachment label&gt; on the &lt;form name&gt; form contains graphic files. Please make sure the specified attachment does not contain any graphic files.</td>
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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

(return error if no digits are encountered, but no error if only zeroes are encountered).
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<td>Single Overall N</td>
<td>If country not United States, provide error. SAMHSA only funds domestic grantees</td>
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<td>New Rule June 2022 release</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
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<td>State is required if country is US. For &lt;Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the State must be supplied for US addresses. Please contact the &lt;eRA service desk&gt; for assistance</td>
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<td>Updated error message October 2021 release</td>
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<td>If country not US, State must be blank. For &lt;Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the State should not be provided for all countries other than the United States.</td>
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<td>Incl; V2.0</td>
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<td>N</td>
<td>If Country is Canada and province name can't be transformed, give an error.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province is not a valid province name.</td>
<td>E</td>
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<td>If country not Canada, Province must be blank.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the Province should not be provided for all countries other than Canada.</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl; V2.0</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>ZIP Code is required if country is US.</td>
<td>For &lt; Person First, Last name or Organization name, or DUNS if Org name is not available&gt;, the ZIP Code must be supplied for US addresses.</td>
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<td>Applies to Overall, Other Components or Both</td>
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<td>Project/Performance Site Site (R&amp;R)</td>
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<td>Provide error if Additional Location(s) attachment is provided and less than 300 sites (including the primary) have been entered on the Project Performance Sites</td>
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<td>Incl: SAMHSA</td>
<td>Single</td>
<td>Overall</td>
<td>If country not United States, provide error. SAMHSA only funds domestic grantees</td>
<td>For Performance Site &lt;Organization name or UEI (if Org name not available)&gt;, the Country must be United States. SAMHSA only funds domestic grantees</td>
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<td>Overall</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
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<tr>
<td>N</td>
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<td>Provide Warning if Human Subject Involved is Yes and Is the Project Exempt from Federal Regulations is No and Is the IRB review Pending is Yes and Human Assurance Number is not provided.</td>
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<td>If Human Subject Involved is Yes on any component of the application and the Overall Human Subject Involved is No, provide Error</td>
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<td>N</td>
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<td>For New and Renewal applications, If Human Subject Involved is No on all components of the application and the Overall if Human Subject Involved is Yes, provide Error</td>
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<td>Information</td>
<td>Human Subjects Involved?</td>
<td>004.1.7</td>
<td>Y</td>
<td>For Revision and Resubmission applications, If Human Subject Involved is No on all components of the application and the Overall if Human Subject Involved is Yes, provide Warning.</td>
<td>N</td>
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<td>Answering 'Yes' to Human Subjects on the Overall component and 'No' to Human Subjects on all other components is typically not allowed unless your Revision application (or Resubmission of a Revision) does not include the components that involve human subjects.</td>
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<td>004.1.8</td>
<td>N</td>
<td>Provide warning if Human Subject is true.</td>
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<td>The answer to the Human Subjects Involved should be 'No' for this application.</td>
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<td>004.1.9</td>
<td>N</td>
<td>Provide error if Human Subjects is true</td>
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<td>The answer to the Human Subjects Involved should be 'No' for this application.</td>
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Rule Categories:

- Mandatory (Y/N)
- Shared (Y/N)
- Agency Specific (Lists Agencies)
- Form Version
- Opportunity Announcement Specific
- Activity Specific Lists Activity Code (Inclusion & Exclusion)
- Applies to Single Project, Multi Project or Both
- Applies to Overall, Other Components or Both
- Cross Components (Multi Project Only)

Error/Warning:

- N
- Y

Incl:
- NIH, CDC, FDA, AHRQ, VA, USU
- Incl: V1.3
- Excl: R50
- Incl: S10, S21, S22, S10, S21, S22
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<td>Bot h</td>
<td>N</td>
<td>If Human Subjects Used Question is true, the Project Exempt from Federal Regulations question cannot be blank</td>
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<td>Bot h</td>
<td>N</td>
<td>If Project Exempt from Federal Regulations is True, the Exemption number cannot be blank</td>
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<td>Overall</td>
<td>Y</td>
<td>Tigger error for new and renewal applications, if E4 is the only exemption selection in the Overall Do not trigger rule: If the Overall has a selection of E4 AND an additional exemption.</td>
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2019 release

Jan 2017 Release
Rule trigger updated
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<td>Incl: V1.3</td>
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<td>Overall</td>
<td>Y</td>
<td>For Revision and Resubmission applications, provide a warning if Overall Human Subject is Yes and Exception code is E4 and all Components with Human Subject is Yes and Exception code is different than E4 or not any are selected</td>
<td>Human Subjects exemption number 4 is typically not allowed on the Overall component unless exemption 4 is selected for all components that include Human Subjects.</td>
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<td>Resea rch and Relate d Other Projec t Information</td>
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<td>004.3 .4</td>
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<td>Incl: NIH, CDC, FDA, AHR Q, USU</td>
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<td>Excl: 1.4 and after</td>
<td>Excl: T15, T32, T34, T35, T36, K12, T37, D71, D43, U2R, T01, T02, T03, T14, T42, T90, T90/R 90, T90, S10, S10, C06, UC6,</td>
<td>Bot h</td>
<td>Compo nent</td>
<td>N</td>
<td>Provide warning if applicant selected Yes to Human subjects with an Exemption Number not equal to ‘4’ on the Research &amp; Related Other Project Information form, but has not selected either the PHS Inclusion Enrollment Report with an Enrollment Type = “Planned” or PHS Inclusion Enrollment Report with Delayed Onset = “Yes” as part of the application</td>
<td>You have answered “Yes” to the Human Subjects Involved question on the Research &amp; Related Other Project Information form, but have not included either a PHS Inclusion Enrollment Report with an Enrollment Type = “Planned” or a PHS Inclusion Enrollment Report with Delayed Onset = Yes as part of the application</td>
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<td>Exemption number 1-8</td>
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<td>Incl: NIH, CDC, FDA, AHR Q, USU</td>
<td>Excl: T15, T32, T34, T35, T36, K12, T37, D21, D43, U3R, T01, T02, T03, T14, T42, T90, T90 R 96, T42, S10, C06, G20, X01, X01, I01, IP1, I1, I21, I34, I50, I1, IK2, IK3, IK4, IK5, IK6</td>
<td>NOTE: Training Component of a Complex should be excluded from this rule.</td>
<td>Provide Warning if Planned Enrollment Report form is not part of the application when MS = Y and Exemption not E4 Note: Training component of a complex should be excluded from this rule.</td>
<td>Human Subjects are involved but no Planned Enrollment Report(s) for inclusion has been included.</td>
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<td>Rule Disabled Modification to exclude version 1.4</td>
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<td>Research and Related Other Project Information</td>
<td>Exemption number 7-8</td>
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<td>N</td>
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<td>Bot</td>
<td>Both</td>
<td>Provide error if exemption 7 and/or 8 is selected on the Other Project Information form</td>
<td>Exemption 7 and/or 8 are not valid selections</td>
<td>E</td>
<td>Rule to be disabled with Dec 2018 Release</td>
<td></td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Exemption number 5</td>
<td>004.3.7</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, AHRQ</td>
<td>Bot</td>
<td>Both</td>
<td>N</td>
<td>Provide warning if exemption 5 is selected by itself or in combination with other exemptions on the Other Project Information form</td>
<td>Exemption 5 has been selected on the Other Project Information Form. This exemption is for research and demonstration projects conducted or supported</td>
<td>W</td>
<td>Updated Rule June 2020 Release</td>
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<td>Form</td>
<td>Field</td>
<td>Rule #</td>
<td>Mandatory (Y/N)</td>
<td>Shared (Y/N)</td>
<td>AGENCY SPECIFIC LISTS ACTIVITY CODE (INCLUSION &amp; EXCLUSION)</td>
<td>OPPORTUNITY ANNOUNCEMENT SPECIFIC</td>
<td>ACTIVITY SPECIFIC LISTS ACTIVITY CODE (INCLUSION &amp; EXCLUSION)</td>
<td>Applies to Single Project, Multi Project or Both</td>
<td>Applies to Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warning</td>
<td>Comments</td>
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<td>Information</td>
<td>Exemption numbers</td>
<td>004.3.8</td>
<td>N</td>
<td>N</td>
<td>Incl:N IH, AHR Q</td>
<td>Bot</td>
<td>Bot</td>
<td>Both</td>
<td>N</td>
<td>Generate an error if the selection of exemption numbers on the Other project information form does not match the exemptions selected on the study record(s).</td>
<td>Error by a Federal department or agency (see the Common Rule). If this exemption does not accurately describe your studies, please make a more appropriate selection.</td>
<td>W</td>
<td>Updated Rule</td>
<td>Septemb</td>
<td></td>
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<tr>
<td>Information</td>
<td>Exemption number</td>
<td>004.3.9</td>
<td>N</td>
<td>N</td>
<td>Incl:N IH, AHR Q</td>
<td>Multi</td>
<td>Overall</td>
<td>Y</td>
<td>Generate an error if the selection of exemptions of the Overall OPI form does not match the exemptions selected on the component(s) OPI forms. (unless the Federal regulations on the OPI on the overall or component is N)</td>
<td>The exemption(s) selected on the Other Project Information form must match the range of exemption(s) entered in the individual study record(s).</td>
<td>E</td>
<td>Updated Rule</td>
<td>Septemb</td>
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<tr>
<td>Information</td>
<td>Is the project exempt</td>
<td>004.3.10</td>
<td>N</td>
<td>N</td>
<td>Incl:N IH,</td>
<td>Bot</td>
<td>Bot</td>
<td>Both</td>
<td>N</td>
<td>Fire an error if the answer to the question &quot;is this project exempt from Federal&quot;</td>
<td>The answer provided for the question &quot;is this project exempt from Federal&quot;</td>
<td>E</td>
<td>New Rule</td>
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<td>Form</td>
<td>Field</td>
<td>Rule #</td>
<td>Mandatory (Y/N)</td>
<td>Shared (Y/N)</td>
<td>AGENCY SPECIFIC (LISTS AGENCIES)</td>
<td>OPPORTUNITY ANNOUNCEMENT SPECIFIC</td>
<td>ACTIVITY SPECIFIC (LISTS ACTIVITY CODE (INCLUSION &amp; EXCLUSION))</td>
<td>APPLIES TO SINGLE PROJECT, MULTI PROJECT OR BOTH</td>
<td>APPLIES TO OVERALL, OTHER COMPONENTS OR BOTH</td>
<td>CROSS COMPONENTS (MULTI PROJECT ONLY)</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warning</td>
<td>Comments</td>
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<tr>
<td>Related Other Project Information</td>
<td>from Federal regulations</td>
<td></td>
<td>N</td>
<td>N</td>
<td>AHR Q</td>
<td></td>
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<td></td>
<td>Regulations&quot; is &quot;No&quot; and there are no individual study records found that indicate &quot;No&quot; to the exemption question.</td>
<td>September 2020</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Exemption number</td>
<td>004.3 .11</td>
<td>N</td>
<td>N</td>
<td>Incl:N IH, AHR Q</td>
<td>Mult i</td>
<td>Overall Y</td>
<td>Fire an error if the answer to the question &quot;Is this project exempt from Federal regulations?&quot; on the Other Project Information form of the Overall component is &quot;No&quot; and none of the components answer &quot;No&quot; to the corresponding question on the component Other Project Information form.</td>
<td>The answer to the question &quot;Is this project exempt from Federal regulations?&quot; on the Other Project Information form represents the exemption status of the application. If the Overall component is not exempt from Federal regulations on the Other Project Information form, there must be at least one other component which is not exempt from Federal regulations.</td>
<td>E</td>
<td>New Rule September 2020</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Exemption number</td>
<td>004.3 .12</td>
<td>N</td>
<td>N</td>
<td>Incl:N IH, AHR Q</td>
<td>Mult i</td>
<td>Compo Y</td>
<td>Fire an error if the answer to the question &quot;Is the project exempt from Federal regulations?&quot; on the Other Project Information form for any component is &quot;No&quot; and the answer to the corresponding question on the component Other Project Information form.</td>
<td>The answer to the question &quot;Is the project exempt from Federal regulations?&quot; on the Other Project Information form for any component cannot be &quot;No&quot; if the answer to the</td>
<td>E</td>
<td>New Rule September 2020</td>
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<td>Form Field</td>
<td>Rule #</td>
<td>Mandatory (Y/N)</td>
<td>Shared (Y/N)</td>
<td>Agency Specific (Lists Agencies)</td>
<td>Form Version</td>
<td>Opportunity Announcement Specific</td>
<td>Activity Specific Lists Activity Code (Inclusion &amp; Exclusion)</td>
<td>Applies to Single Project, Multi Project or Both</td>
<td>Applies to Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warn</td>
<td>Comments</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>IRB review pending?</td>
<td>004.4.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V1.3</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If IRB review pending? Is false and project exempt from regulation is No, IRB approval date and Human subject assurance number cannot be blank.</td>
<td>If the answer to ‘IRB Review Pending’ question is ‘No’, the IRB Approval Date and Human Subject Assurance Number must be provided.</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V1.3</td>
<td>Bot h</td>
<td>Overall</td>
<td>N</td>
<td>If Vertebrate Animal Used is ‘Y’, then ONE of the following must be provided: Assurance Number + IACUC Approval Date OR Assurance Number + IACUC Approval Pending OR 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’.</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7.2</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA</td>
<td>Incl: V1.3</td>
<td>Multi</td>
<td>Overall</td>
<td>Y</td>
<td>If Vertebrate animals used is Yes on any component of the application and the</td>
<td>If Vertebrate animals used is “Yes” on any component of the application, then “Yes”.</td>
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<td>Form</td>
<td>Field</td>
<td>Rule #</td>
<td>Rule Categories</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warning</td>
<td>Comments</td>
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<td>d Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7.3</td>
<td>N N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Overall</td>
<td>Overall Vertebrate animals used is No, provide Error</td>
<td>must be selected for the Overall component</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7.4</td>
<td>N N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Overall</td>
<td>For New and Renewal applications, If vertebrate animal is answered No on all Other Components and Overall component is marked Yes, then provide error.</td>
<td>If Vertebrate animals used is &quot;No&quot; on all components of the application, then &quot;No&quot; must be selected for the Overall component</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7.5</td>
<td>N N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Overall</td>
<td>For Revision and Resubmission applications, If Vertebrate Animals is No on all components of the application and if the Overall Vertebrate Animals is Yes, provide Warning</td>
<td>Answering “Yes” to Vertebrate Animals on the Overall component and ‘No’ to Vertebrate Animals on all other components is typically not allowed unless your Revision application (or Resubmission of a Revision) does not include the components that involve vertebrate animals.</td>
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<td>Mandatory (Y/N)</td>
<td>Shared (Y/N)</td>
<td>Ageny Specfic (Lists Agenicies)</td>
<td>Form Version</td>
<td>Opportunuty Announcemt Specific</td>
<td>Activit y Specfic Lists Activit y Code (Inclu sion &amp; Exclusion)</td>
<td>Applies to Single Project, Multi Project or Both</td>
<td>Applies to Overall, Other Compo nents or Both</td>
<td>Cross Compo nents (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warning</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7 .5</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V1.3</td>
<td>Incl: S10</td>
<td>Single-Oct</td>
<td>Overall N</td>
<td>Provide warning if Vertebrate Animals Used is true.</td>
<td>Provide a warning if Vertebrate Animals Used is true.</td>
<td>When Vertebrate Animals is “No” IACUC Approval Pending indicator is checked.</td>
<td>Y</td>
<td>New rule</td>
<td>W</td>
</tr>
<tr>
<td>Research and Related Other Project Information</td>
<td>Vertebrate animals used?</td>
<td>004.7 .6</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V1.3</td>
<td>Excl: R50</td>
<td>Single-Oct</td>
<td>Only N</td>
<td>Provide warning if Vertebrate Animals Used is true.</td>
<td>Provide a warning if Vertebrate Animals Used is true.</td>
<td>When Vertebrate Animals is “No” IACUC Approval Pending indicator does not apply.</td>
<td>Y</td>
<td>Rule Disabled</td>
<td>W</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>IACUC review pending?</td>
<td>004.8 .1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V1.3</td>
<td>Bot h</td>
<td>Overall N</td>
<td>N</td>
<td>Provide a warning if Vertebrate Animals Used is “N” and IACUC Approval Pending indicator is checked.</td>
<td>Provide a warning if Vertebrate Animals Used is “N” IACUC Approval Pending indicator does not apply.</td>
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<td>Update</td>
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<td>Form</td>
<td>Field</td>
<td>Rule #</td>
<td>mandatory (Y/N)</td>
<td>shared (Y/N)</td>
<td>agency specific (Lists agencies)</td>
<td>form version</td>
<td>opportunity announcement specific</td>
<td>activity specific lists activity code (Inclusion &amp; Exclusion)</td>
<td>applies to single project, multi project or both</td>
<td>applies to overall, other components or both</td>
<td>cross components (multi project only)</td>
<td>validation</td>
<td>error message</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>IACUC approval date</td>
<td>IACUC</td>
<td>Y</td>
<td>N</td>
<td>NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>V1.3</td>
<td></td>
<td></td>
<td>Provide a warning if Vertebrate Animals Used Question is false and approval date is provided</td>
<td>When Vertebrate Animals is “No” IACUC Approval Date does not apply.</td>
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<td>Research and Related Other Project Information</td>
<td>Animal Welfare Assurance Number</td>
<td>Animal Welfare Assurance Number</td>
<td>Y</td>
<td>N</td>
<td>NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>V1.3</td>
<td></td>
<td></td>
<td>Provide a warning if Vertebrate Animals Used Question is false and the Assurance number is provided.</td>
<td>When Vertebrate Animals is “No”. the Animal Welfare Assurance Number does not apply.</td>
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<tr>
<td>Research and Related Other Project Information</td>
<td>Animal Welfare Assurance Number</td>
<td>Animal Welfare Assurance Number</td>
<td>Y</td>
<td>N</td>
<td>NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>V1.3</td>
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<td></td>
<td>Provide warning if Animal Assurance Number entered on your grant application does not match at least one of Animal Assurance Numbers recorded for the organization.</td>
<td>Animal Assurance Number entered on your grant application does not correspond to a valid Animal Assurance Number for your Organization’s eRA institutional profile. Please check the OLAW</td>
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<td>Rule #</td>
<td>Mand atory (Y/N)</td>
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<td>Agen cy Speci fic (Lists Agen cies)</td>
<td>Opport unity Announc ement Specific</td>
<td>Activ ity Speci fic Lists Activ ity Code (Inclu sion &amp; Exclu sion)</td>
<td>Applies to Single Proj ect, Multi Proj ect or Bot h</td>
<td>Applies to Overall, Other Compo nents or Both</td>
<td>Cross Compo nents (Multi Project Only)</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warning</td>
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<td>Animal Assurance Number that starts with ‘X’ shall not be validated. Should be match using only digits by stripping dashes and should not be case sensitive. Do not validate if data entry is ‘None’.</td>
<td>website’s list of approved Assurances at <a href="http://grants.nih.gov/grantees/olaw/olaw.htm">http://grants.nih.gov/grante es/olaw/olaw.htm</a>. OLAW is transitioning to a new Assurance Number format. You can use the old or the new format for your application. If you do not have a valid Assurance Number, your application will continue to be processed.</td>
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<tr>
<td>Resea rch and Relate d Other Projec t Information</td>
<td>Impact on environme nt, If yes, please explain</td>
<td>004.1 3.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td></td>
<td>Incl: V1.3</td>
<td>Bot h</td>
<td>Both</td>
<td>N</td>
<td>An explanations is required if Environmental Impact Indicator is Yes</td>
<td>Explanation about the actual or potential impact on the environment is required if Impact on environment is Yes.</td>
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<tr>
<td>Resea rch and Relate d Other Projec t</td>
<td>Environmental Exemption Indicator, If yes,</td>
<td>004.1 5.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td></td>
<td>Incl: V1.3</td>
<td>Bot h</td>
<td>Both</td>
<td>N</td>
<td>An explanations is required if Environmental Exemption is Yes</td>
<td>Explanation about the environmental assessment (EA) or environmental impact statement (EIS) are required if Environmental Exemption is Yes.</td>
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<td>Form</td>
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<td>Rule #</td>
<td>Mand atory (Y/N)</td>
<td>Qty (N)</td>
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<td>Provide error if 'Activities Outside of US' on Component is Yes and 'Activities Outside of US' on Overall is No.</td>
<td>If 'This Project involve activities outside of US' is &quot;Yes&quot; on any component of the application, then &quot;Yes&quot; must be selected for the Overall component.</td>
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<td>For New and Renewal applications. If Activities Outside of US is No on all components of the application and the Overall Activities Outside of US is Yes, provide Error</td>
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<td>For Revision and Resubmission applications, If Activities Outside the US is No on all components of the application and the Overall if Activities Outside the US is Yes, provide Warning</td>
<td>Answering 'Yes' to Activities Outside the US on the Overall component and 'No' on all other components is typically not allowed unless your Revision application (or Resubmission of a Revision) does not include the components that the Activities Outside the US.</td>
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The Project Narrative attachment should not be longer than 2 or 3 sentences.

The Bibliography and References attachment should not be more than 4 pages.

Updated to exclude activity codes (DP1,DP2,DP4) 07/29/2015.
| Form Field | Rule # | Mand atory (Y/N) | Shared (Y/N) | Agen cy Speci fic (Lists Agen cies) | Form Versio n | Opportu nity Announc ement Speci fic | Activit y Speci fic Lists Activit y Code (Inclu sion & Exclu sion) | Applies to Single Project, Multi Project or Both | Applies to Overall, Other Compo nents or Both | Cross Compo nents (Multi Project Only) | Validation | Error Message | Error/Warning | Comme nts |
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| Research and Related Other Project Information | Bibliogra phy and Reference s Cited | | | | | | | | | | | | | |
| Research and Related Other Project Information | Facilities and other resources | 004.2 3.1 | N | N | Ind: NIH, CDC, FDA, AHR Q, VA, USU | | | Ind: T01, T02, T03, T14, T42, T90, T90/R 90, TU2, T15, T32, T34, T35, T36, T37, K12, D43, D71, U2R, SI2/R | Single | Overall | N | Provide error if Facilities and other resources attachment is not attached | The Facilities & Other Resources attachment is required. | | |

Updated Rule April 2021 Release (changes already in production as of 3/21/2021)
New rule
Update to existing rule (remove d KM1)
Update to existing (Added R50)
December 2015 Release
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<td>Incl: SBIR/STTR v1.1 Excl: SBIR/STTR v1.2</td>
<td>Incl: R41, R42, UT1, UT2, R43, R44, U43, U44, SB1, UB1</td>
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<td>Provide error if at least one attachment has not been included.</td>
<td>SBIR and STTR applicants are required to register with SBA through the <a href="http://www.sbir.gov/registration">http://www.sbir.gov/registration</a> website and must attach their registration confirmation files to their applications. This confirmation file (with the original file name from the SBA) must be attached as a PDF file to the Other Attachments section of the R&amp;R Other Project Information form. Please follow application guide and Opportunity Announcement instructions for the registration attachment. This warning will not stop your application from being received and processed and will not affect its peer review. However, you will be required to submit the SBA registration confirmation prior to award.</td>
<td>W</td>
<td>New rule</td>
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For SBIR/STTR applications, provide a Warning if a file named like ‘SBC_%.pdf’ is not attached.

Disabled Rule.
- The error will be triggered for SBIR/STTR form v1.1 and will not be triggered for SBIR/STTR form version 1.2
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<td>Incl: V30, V31</td>
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<td>For F30 and F31 applications provide a Warning if a file named like &quot;%Additional%Educational%Information%.pdf&quot; is not attached.</td>
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<td>A completed VA Data Management and Access Plan (DMAP) is required for this application. Please submit it as an 'Other Attachment' on the Other Project Information page, titled '09_VA_DMAP.pdf'.</td>
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<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 Other Project Information page, titled '03_VA_Prog_Report_Pubs.pdf'.</td>
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<td>Applications for NIH support of conferences and scientific meetings must include a Diversity Plan that describes plans to enhance diversity in all aspects of conference planning and implementation (NOT-OD-xx-xxxx-21-053)</td>
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**Senior/Key Person Profile**
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<td>Provide error at the entire application level if a Biosketch attachment for the same Senior/Key Person is provided on multiple components on Research and Related Senior/Key Person Profile (Expanded). Senior Key Person entries will be determined to be for the same person if: Senior Key Person Profile or PD/PI Profile Credentials match.</td>
<td>The grantor agency allows only one biosketch per Senior/Key Person to be submitted with this application. The application contains more than one biosketch for Senior/Key Person(s): &lt;Last name, First name&gt; on components &lt;component ID&gt;: &lt;Component Title&gt;, &lt;component ID&gt;: &lt;Component Title&gt;... &lt;Last name, First name&gt; on components &lt;components ID&gt;: &lt;Component Title&gt;, &lt;component ID&gt;:&lt;Component Title&gt;...</td>
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| Related Senior/K
Key Person Profile (Expanded) |                               |       |                |             | CDC, FDA, AHRQ, VA, SAMHSA, USU |              |                                   |                                                                |                                                 |                                            |                                        | validation | only one biosketch per Senior/Key Person to be submitted with this application. The application contains more than one biosketch for Senior/Key Person(s) with the same last name, first name, and organization name. Specifically: <Last name, First name>; on components <component ID>: <Component Title>, <component ID>: <Component Title>; <Component Title>; <Last name, First name> on components <components ID>: <Component Title>, <component ID>: <Component Title> |
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<td>Trigger an error if the Contact PI credential account is in Pending status</td>
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<td>The Commons account provided in the Credential field for the PD/PI &lt;Last Name, First Name&gt; is in Pending status. Only active accounts can be used for this application.</td>
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<td>If No PD/PI project role are selected give error</td>
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<td>The PD/PI role can only be selected on the Overall Component. Please specify a different Project Role for &lt;Last Name, First Name&gt;.</td>
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<td>Project Role is not a “PD/PI” or Other Project Role Category starting with “Candidate”.</td>
<td>form for a diversity supplement application are the “PD/PI” and Other Project Role “Candidate”.</td>
<td>Rule enabled on 11/17/20 20</td>
<td>New Rule August 2020 Release</td>
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<td>For a diversity supplement Opportunity Announcement, generate an error if the Project Role of at least one Senior Key Persons on the application does not start with “Candidate”.</td>
<td>For a diversity supplement application, there must be one person with the Other Project Role of “Candidate” on the Sr Key Person Profile form.</td>
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<td>For a diversity supplement application, generate an error if multiple entries for senior key person with project role starting with “Candidate” are found.</td>
<td>For a diversity supplement application, only one individual with the Other Project Role “Candidate” is allowed.</td>
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<td>For the individual with the Other Project Role “Candidate”, an entry in the Degree Type field is missing, or the text entered does not match the</td>
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(HS, UG, PB, PM, Grad, PD, Fac) for a diversity Opportunity Announcement. abbreviations (HS, UG, PB, PM, Grad, PD, Fac) specified in the diversity Supplement Opportunity Announcement.

Updated Rule April 2021 Release
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- The PD/PI is required. (changes already in production as of 3/2/2021)
- Updated Rule April 2021 Release (changes already in production as of 3/17/2021)

New rule

- If the name provided and credential 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 punctuation.
- The name provided for Key Person <submitted first name last name> on the Senior/Key Person page does not match the eRA Commons account name <Commons profile first name last name> provided in the credential. The application image will
<p>| Form               | Field                                                   | Rule#       | Mandat ory (Y/N) | Shared (Y/N) | Agency Specific (Lists Agencies) | Form Version | Opportunity Announcement Specific | Activity Specific Lists Activity Code (Inclusion &amp; Exclusion) | Applies to Single Project, Multi Project or Both | Applies to Overall, Other Components or Both | Cross Components (Multi Project Only) | Validation | Error Message | Error Warning | Comments |
|-------------------|---------------------------------------------------------|-------------|------------------|--------------|----------------------------------|--------------|-----------------------------------|----------------------------------------------------------|-------------------------------------------------|--------------------------------|--------------------------------|--------------------------------|-------------|----------------|---------------|----------|
| Research and Related Senior/Key Person Profile (Expanded) | Profile, senior/key person x, Last Name | 005.31.2 | N                | N            | Incl: NIH, CDC, FDA, AHRQ, VA, USU | Incl: V2.0 | Both                              | Provide warning if more than one PD/PI profile or Senior/Key person with the same first, middle name and last name has been found within the Snr/Key Person Profile form. Specifically: &lt;Last name, First name&gt;; &lt;Last name, First name&gt;; .. Senior/key individuals should be listed once on the Snr/Key Person Profile form. Duplicate entries should be removed. Please consider providing additional differentiating information (e.g., middle name, suffix) if the entries are not the same person. | More than one Senior/Key person with the same first and last name has been found within the Snr/Key Person Profile form. Specifically: &lt;Last name, First name&gt;; &lt;Last name, First name&gt;; .. Senior/key individuals should be listed once on the Snr/Key Person Profile form. Duplicate entries should be removed. Please consider providing additional differentiating information (e.g., middle name, suffix) if the entries are not the same person. | W                                           |
| Research and Related | Profile, senior/key | 005.35.1 | N                | N            | Incl: NIH, CDC, | Incl: V2.0 | Both                              | The organization name for Key Person &lt;Key | The organization name for Key Person &lt;Key | E                                           |</p>
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Sprint 19 Update to Existing (Added Type 7)

January 14, 2016 Release, Update to Existing Rule (added F99/K00)
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V2.0</td>
<td>Singl e Specific</td>
<td>Incl: F05, F30, F31, F32,F3 3, F37, F38, F12, 777, F99/K00</td>
<td>Overall</td>
<td>N</td>
<td>N</td>
<td>For Fellowship applications, for the key person with a role of 'Other' or 'Other Professional' and a project role category of 'Sponsor', provide a warning if the Commons account does not have a sponsor role associated with it.</td>
<td>The eRA Commons Username &lt;Credential&gt; in the Credential for 'Sponsor' &lt;First name&gt; &lt;Last name&gt; is not a recognized eRA Commons account.</td>
<td>E</td>
<td>Update to Existing (Added Type 7)</td>
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<td>N</td>
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<td>Incl: V2.0</td>
<td>Single Specific</td>
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<td>Overall</td>
<td>N</td>
<td></td>
<td>For Fellowship applications, for the key person with a role of 'Other' or 'Other Professional' and a project role category of 'Sponsor', provide a warning if the Commons account does not have a sponsor role associated with it.</td>
<td>The eRA Commons Username &lt;Credential&gt; in the Credential for 'Sponsor' &lt;First name&gt; &lt;Last name&gt; does not have a sponsor role associated with it. Please work with your eRA Commons account administrator to add the Sponsor role to the account. No change to the application is needed.</td>
<td>W</td>
<td>Update to Existing (Added Type 7)</td>
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<td></td>
<td>Provide warning if invalid credentials are provided for snr/Key person with other project role than PD/PI</td>
<td>W</td>
<td>New rule</td>
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<td>The eRA Commons Username &lt;Credential&gt; in the Credential for Senior Key Person &lt;First name&gt; &lt;Last name&gt; is not a recognized eRA Commons account</td>
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<td></td>
<td>N N</td>
<td>Provide error if credentials provided is greater than 30 characters</td>
<td>E</td>
<td>New rule</td>
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<td>The eRA Commons Username &lt;Credential&gt; in the Credential for Senior Key Person &lt;First name&gt; &lt;Last name&gt; exceeds the allowable limit of 30 characters.</td>
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<td></td>
<td>N N</td>
<td>For Diversity Admin Supplement (Type 3), all Senior Key Persons should have valid credentials Note: Credentials is required and should be valid</td>
<td>E</td>
<td>Updated Rule February 2021 Release</td>
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<td>The eRA Commons Username &lt;Credential&gt; provided for &lt;First name&gt; &lt;Last name&gt; is not a recognized eRA Commons Account</td>
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<td></td>
<td>N N</td>
<td>Provide warning if commons ID is not provided for the SnrKey person with a project role of</td>
<td>W</td>
<td>New Rule, Sprint 32 SVS-112</td>
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<td>A Commons Account should be provided in the Credential Field for &lt;Last Name, First</td>
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<td>Applies to Overall, Other Components or Both</td>
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<td></td>
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<td>VA, USU</td>
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<td></td>
<td>K26, K43, K76, K99</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>W</td>
<td>Name&gt; listed as the Mentor for this application</td>
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<td>Research and Related Senior/Key Person Profile (Expanded)</td>
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<td>005.48.11</td>
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<td>Both</td>
<td>Both</td>
<td>N</td>
<td>W</td>
<td>Generate warning if a person listed on eRA commons does not have an active Commons ID listed in the credential field.</td>
<td>New</td>
<td>Rule April 2021 Release</td>
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<td>Both</td>
<td>Both</td>
<td>N</td>
<td>E</td>
<td>Generate an error if a senior key person listed has an invalid Commons ID listed in the credential field.</td>
<td>New</td>
<td>Rule June 2023 Release</td>
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<td>Both</td>
<td>Both</td>
<td>N</td>
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<td>Trigger an error if a senior key x with Project Role = PD/PI and their credential account is in Pending status</td>
<td>New</td>
<td>Rule June 2023 Release</td>
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<td>Researc h and Related Senior/Key Person Profile (Expanded)</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>N</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>Provide a warning 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 used by NIH to designate multiple PD/Pis. For multiple Principal Investigators use the PD/PI role.</td>
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<td>Researc h and Related Senior/Key Person Profile (Expanded)</td>
<td>Profile, senior/key person x, project role</td>
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<td>N</td>
<td>Multi</td>
<td>Compone nt</td>
<td>N</td>
<td>If PD/PI role selected give Error</td>
<td>The PD/PI role can only be selected on the Overall Component. Please specify a different Project Role for &lt;Last Name, First Name&gt;.</td>
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<td>Researc h and Related Senior/Key Person Profile</td>
<td>Profile, senior/key person x, project role</td>
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<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Provide an error if the project role is ‘PD/PI’.</td>
<td>Multiple PD/Pis cannot be included in this application.</td>
<td>E</td>
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Updated Rule February 2021 Release
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<td>Incl: R36, SC2</td>
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- **Research and Related Senior/Key Person Profile (Expanded)**
- **Profile, senior/key person x, project role**
- **005.49.4**
- **Incl: NIH, CDC, FDA, AHRQ, VA, USU**
- **Incl: R36, SC2**
- **Overall**
- **N**
- **Provide error if there is not at least one Snr/key person identified with a project role of 'Other' or 'Other Professional' and an other project role category of 'Mentor'**
- **A Mentor must be identified for this application by specifying a Project Role of 'Other' and an Other Project Role category of 'Mentor'**
- **Update to Existing**

- **Research and Related Senior/Key Person Profile (Expanded)**
- **Profile, senior/key person x, project role**
- **005.49.5**
- **Incl: VA**
- **Incl: V2.0**
- **Singl e**
- **Overall**
- **N**
- **For VA applications and activity code is IK1, IK2, IK3, IK4IK5, IK6, I21 provide error if the project role is 'PD/PI'.**
- **For Pilot Project or Career Development mechanisms, applications that include multiple PIs cannot be submitted.**
- **E**

- **Research and Related Senior/Key Profile**
- **Profile, senior/key**
- **005.49.6**
- **Incl: NIH, CDC,**
- **Incl: V2.0**
- **Incl: F05, F30, F31,**
- **Singl e**
- **Overall**
- **N**
- **For F Applications, there must be at least one key person**
- **A Sponsor must be identified for**
- **E**

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<td>Cross Components (Multi Project Only)</td>
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<td>F32, F33, F37, F38, F99/K00</td>
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<td>Error Message: 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>
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<td>Researc h and Related Senior/K ey Person Profile (Expanded)</td>
<td>Profile, senior/ key person x, other project role category</td>
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<td>Accept &quot;Other Project Role Category&quot; only when &quot;Project Role&quot; is &quot;Other&quot; or &quot;Other Professional&quot;</td>
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<td>Incl: V 2.0</td>
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<td>Researc h and Related Senior/K ey Person Profile</td>
<td>Profile, senior/ key person x, Biosketch</td>
<td>005.53.2</td>
<td>Provide Error if the Biosketch attachment is more than 5 pages</td>
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January 14, 2016 Release, Update to Existing Rule (added F99/K00)
<p>| Form | Field | Rule# | Mandat ory (Y/N) | Shar ed (Y/N) | Agency Specifi c (Lists Agenci es) | Form Versi on | Opportunity Announcement Specific | Activity Specific Lists Activity Code (Inclusi on &amp; Exclusi on) | Appli es to Singl e Proje ct, Multi Proje ct or Both | Cross Compone nts (Multi Project Only) | Validation | Error Message | Error/ Warni ng | Comme nts |
|------|-------|-------|----------------|--------------|----------------------------------|--------------|---------------------------------*|----------------------|----------------------------------|---------------------------------|-----------|---------------|----------------|----------|
| (Expand ed) |       |       |                |              |                                  |              |                                    |                      |                                  |                                  |           |               |                |          |
| Research and Related Senior/Key Person Profile (Expand ed) | Profile, senior/ key person x, Biosketch | 005.53. 3 | N | N | Incl: NIH, CDC, FDA, AHRQ, VA, USU | Incl: V 2.0 | Excl: I02 | Singl e | Overall | N | Provide error if Biosketch is not provided | The Biographical Sketch attachment is required for Senior/Key Person &lt; First Name, Last Name&gt;. | E | Updated Rule August 2021 Release |
| Research and Related Senior/Key Person Profile (Expand ed) | Additional Senior/Ke y Person Profile(s) | 005.55. 1 | N | N | Incl: NIH, CDC, FDA, AHRQ, VA, USU | Incl: V 2.0 | Both | Both | N | Provide error if Additional Senior/Key Person Profile(s) attachment is provided and less than 100 senior/key person (including PD/PI) have been entered on the Sr Key Person Profile | An Additional Senior/Key Person Profile(s) attachment may be submitted only if 100 senior/key person (including PD/PI) have been entered on the Sr Key Person Profile. | E |          |
| Research and Related Senior/Key Person Profile (Expand ed) | Additional Senior/Ke y Person Profile(s) | 005.55. 4 | N | N | Incl: NIH, CDC, FDA, AHRQ, VA, USU | Incl: V 2.0 | Incl: DP1, DP2, DP4, DP5, UP5, R00 | Singl e | Overall | N | Provide error if Additional Snr/Key is included | The Additional Senior/Key Person Profiles attachment cannot be included. | E | New rule |</p>
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<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V 2.0</td>
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<td>Provide error if Additional Biographical Sketch(es) attachment is provided and less than 100 senior/key person (including PD/PI) have been entered on the Sr Key Person Profile</td>
<td>Both</td>
<td>N</td>
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<td>Provide error if Additional Biographical Sketch(es) attachment may be submitted only if 100 senior/key person (including PD/PI) have been entered on the Sr Key Person Profile.</td>
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<td>Clinical Trials are not typically allowed for this type of Opportunity Announcement.</td>
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<td>An answer is required if the answer to &quot;Human Subjects Clinical Trial&quot; is &quot;Yes&quot;.</td>
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<td>Y</td>
<td>If NIH-Defined Phase III Clinical Trial is Yes on any component of the application and the Overall if NIH-Defined Phase III Clinical Trial is No, provide Error</td>
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<td>Y</td>
<td>For New and Renewal applications, if NIH Clinical Trial is Yes and NIH-Defined Phase III Clinical Trial is not ‘Yes’ on all components of the application and NIH-Defined Phase III Clinical Trial is Yes on the Overall, then provide</td>
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<td>Excl: VA</td>
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<td>Y</td>
<td>Answering ‘Yes’ to Defined Phase III clinical trial on the Overall component and ‘No’ on all other components is typically not allowed unless your Revision application (or Resubmission of a Revision) does not include the components that involve Defined Phase III clinical trial.</td>
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</table>

The NIH-Defined Phase III Clinical Trial question must be ‘No’ on the Overall component, if NIH-Defined Phase III Clinical Trial question is ‘No’ for all other components in the application.

E

Answering ‘Yes’ to Defined Phase III clinical trial on the Overall component and ‘No’ on all other components is typically not allowed unless your Revision application (or Resubmission of a Revision) does not include the components that involve Defined Phase III clinical trial.

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<td>Provided warning if checked yes for Training grants applications</td>
<td>Program Income is typically not allowed for this type of Opportunity Announcement.</td>
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<td>The number of program income budget periods must be less than or equal to the number of budgets provided in the budget form.</td>
<td>The Program Income Anticipated Amount has been provided for &lt;budget period&gt; budget periods. Only &lt;y&gt; periods of budgets were provided for this application.</td>
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<td>The Program Income Anticipated Amount for budget period &lt;budget period&gt; exceeds the allowable amount for the agency.</td>
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<td>The Human Embryonic Stem Cells (HESC) Involved on the Overall must be marked as “Yes”, in order for any Human Embryonic Stem Cells (HESC) Involved in any component to be marked as “Yes”.</td>
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<td>Validatio n</td>
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<td>PHS 398 Cover Page Supplemen t</td>
<td>Human Embryonic Stem Cells (HESC) Involved (Y/N)</td>
<td>008.2 1.4</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td>V 2.0</td>
<td>Multi</td>
<td>Overall</td>
<td>Y</td>
<td>For Revision and Resubmis sion applicatio ns, If Human Embryoni c Stem Cells Involved is No on all compone nts of the applicatio n and the Overall if Human Embryoni c Stem Cells Involved is Yes, provide Warning</td>
<td>Answering 'Yes' to HESC Involved on the Overall component and 'No' to HESC Involved on all other components is typically not allowed unless your Revision application (or Resubmission of a Revision) does not include the components that involve Human Embryonic Stem Cells.</td>
<td>W</td>
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<tr>
<td>PHS 398 Cover Page Supplemen t</td>
<td>Human Embryonic Stem Cells (HESC) Involved (Y/N)</td>
<td>008.2 1.5</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td>Incl: V 2.0</td>
<td>Incl: S10</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if Human Embryonic Stem Cells (HESC) Involved is mark &quot;Yes&quot;</td>
<td>Involvement of human embryonic stem cells is not typically allowed for this type of Opportunity Announcement.</td>
<td>W</td>
<td>Update to existing rule (modified langua ge on error messa ge), Forms D, March</td>
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<tr>
<td>PHS 398 Cover Page</td>
<td>HESC 'can’t be referenced' checkbox</td>
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<tr>
<td>PHS 398 Cover Page</td>
<td>HESC Cell Lines 008.2 3.1</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td>V 2.0</td>
<td>Both</td>
<td>Component</td>
<td>N</td>
<td>If HESC involved='Y', must include 'HESC Cell Lines' or can’t be referenced' checkbox must be checked</td>
<td>You must provide specific human embryonic stem cell lines or check the &quot;Specific stem cell lines cannot be referenced at this time&quot; box if you answer Yes to the &quot;Does the proposed project involve human embryonic stem cells?&quot; question.</td>
<td>E</td>
<td>Rule updated to apply to Component Only. Octobe r 2016 Release</td>
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<td>PHS 398 Cover Page</td>
<td>HESC Cell Lines 008.2 3.2</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td>V 2.0</td>
<td>Both</td>
<td>Component</td>
<td>N</td>
<td>If HESC involved='N', can’t include 'HESC Cell Lines' or can’t be referenced' checkbox must not be checked</td>
<td>You cannot provide specific human embryonic stem cell lines or check the &quot;Specific stem cell lines cannot be referenced at this time&quot; box if you answer No to the &quot;Does the proposed project involve human embryonic stem cells?&quot; question.</td>
<td>E</td>
<td>Rule updated to apply to Component Only. Octobe r 2016 Release</td>
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<tr>
<td>PHS 398 Cover Page</td>
<td>HESC Cell Lines 008.2 3.3</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td>V 2.0</td>
<td>Both</td>
<td>Component</td>
<td>N</td>
<td>If specific stem cell line is included, provide Stem cell line &lt;cell line number&gt; is invalid. The cell line must be an approved line on the NIH Registry:</td>
<td></td>
<td>E</td>
<td>Rule updated to apply to Component Only. Octobe r 2016 Release</td>
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<td>PHS 398 Cover Page Supplement</td>
<td>HESC Cell Lines</td>
<td>008.2 3.4</td>
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<td>Excl: VA</td>
<td>V 2.0</td>
<td>Both</td>
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<td>E</td>
<td>error if stem cell line is not in eRA database or is marked as invalid. Comparison should not be case-sensitive.</td>
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<td>008.2 7.1</td>
<td>Y</td>
<td>N</td>
<td>Excl: VA</td>
<td>V 2.0</td>
<td>Both</td>
<td>Required if the type of application is either &quot;Renewal&quot;.</td>
<td></td>
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<td>E</td>
<td>You cannot provide specific human embryonic stem cell lines if you check the &quot;Specific stem cell lines cannot be referenced at this time&quot; box.</td>
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<td>008.2 7.2</td>
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<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Error if Inventions and Patents, Yes is selected</td>
<td>Inventions and Patents are not allowed for this type of Opportunity Announcement.</td>
<td>E</td>
<td>Update to existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<td>PHS 398 Cover Page Supplemen t</td>
<td>Inventions and Patents, Previously Reported (Yes or No)</td>
<td>008.2 8.1</td>
<td>N</td>
<td>N</td>
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<td></td>
<td>Incl: T01, T02, T03, T14, T42, T90, T90/R 90, TU2, T 15, T32, T34, T35, T36, T37, K12, D43, D71, U2R</td>
<td>Both</td>
<td>Overall</td>
<td>N</td>
<td>Must be answered if response to Inventions and Patents is “Yes”</td>
<td>You must answer the “Previously Reported” question if you answer Yes to the “Inventions and Patents” question</td>
<td>E</td>
<td>Update to existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<td>008.2 8.2</td>
<td>N</td>
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<td>Both</td>
<td>Overall</td>
<td>N</td>
<td>Should not be</td>
<td>You cannot answer the “Previously Reported” question if the response to the “Inventions and Patents” question is “Yes”</td>
<td>E</td>
<td>Update to existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<td>answered if response to Inventions and Patents is ‘No’</td>
<td></td>
<td>existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<td>PHS 398 Cover Page Supplement</td>
<td>Change of Investigator/Change of Inst.: Change of PI</td>
<td>008.2 9.1</td>
<td>N</td>
<td>N</td>
<td>Excl: VA, CDC</td>
<td>V 2.0</td>
<td>Both</td>
<td>Overall</td>
<td>N</td>
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<td>you answer No to the “Inventions and Patents” question</td>
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<td>008.2 9.2</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td></td>
<td>Incl: K02, K05, K24, K26, K01, K07, K08, K18</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td></td>
<td></td>
<td>A change of Project Director / Principle Investigator is not allowed for this type of Opportunity Announcement.</td>
<td>E</td>
<td>Update to existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<td>Change of Investigator/Change of Inst.: Name of former PI, First Name</td>
<td>008.3 1.1</td>
<td>N</td>
<td>N</td>
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<td>Change of Investigator/Change of Inst.: Name of former PI, Last Name</td>
<td>008.3 3.1</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
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**Error/Warnings:**

- **E**: Update to existing rule (modified language on error message), Forms D, March 2016 Release.
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<th>Error / Warn ing</th>
<th>Comm ents</th>
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<tr>
<td>PHS 398 Cover Page Supplemen t</td>
<td>Change of Investigator/Change of Inst.: Change of institution indicator</td>
<td>008.3 6.1</td>
<td>N</td>
<td>N</td>
<td>Excl: VA</td>
<td>Incl: V 1.3</td>
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<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td></td>
<td>Warning if change of Grantee Institution is selected</td>
<td>A change of grantee institution is typically not allowed for this type of Opportunity Announcement.</td>
<td>W</td>
<td>Update to existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<td>PHS 398 Cover Page Supplemen t</td>
<td>Change of Investigator/Change of Inst.: name of former inst.</td>
<td>008.3 7.1</td>
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<td>N</td>
<td>Excl: VA</td>
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<td>Both</td>
<td>Both</td>
<td>Overall</td>
<td>N</td>
<td></td>
<td>The name of former institution is required if the answer to the “Change of Grantee Institution” question is “Yes”.</td>
<td>You must provide the name of former institution if you check the “Change of Grantee Institution” box.</td>
<td>E</td>
<td>Update to existing rule (modified language on error message), Forms D, March 2016 Release</td>
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<tr>
<td>PHS 398 Cover Page Supplemen t</td>
<td>Vertebrate Animals: Is method consistent with American Veterinary Medical Association (AVMA) guidelines</td>
<td>008.3 8.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, USU</td>
<td>Excl: V2.0</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>An answer to “Is method consistent with AVMA guidelines?” question if you answer Yes to the “Are animals euthanized?” question.</td>
<td>E</td>
<td>Forms D, March 2016 Release</td>
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<td>PHS 398 Cover Page Supplemen t</td>
<td>Vertebrate Animals: If “No” to AVMA guidelines, describe method and provide a scientific justification</td>
<td>008.3 9.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, USU</td>
<td>Excl: V2.0</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>If “No” to AVMA guidelines, method and scientific justification must be provided.</td>
<td>E</td>
<td>Forms D, March 2016 Release</td>
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<td>PHS 398 Cover Page Supplemen t</td>
<td>Program Income, Budget Period 1-10</td>
<td>008.4 0.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, USU</td>
<td>Excl: V2.0</td>
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<td>Compo nent</td>
<td>N</td>
<td>If Program Anticipated question = N and Program Income data is</td>
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<td>Forms D, March 2016 Release</td>
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<td>008.4 0.2</td>
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<td>N</td>
<td>Incl:NIH, USU</td>
<td>Exc: V2.0</td>
<td>Excl: C06</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
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<td>provided, give error</td>
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<td>The number of program income budget periods must be less than or equal to the number of budgets provided in the budget form. You provided anticipated program income amounts for &lt;x&gt; budget periods, but only &lt;y&gt; periods were included in the budget form.</td>
<td>E</td>
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<td>The HFT Compliance Assurance and HFT Sample IRB Consent Form attachments should not be provided if the question 'Does the proposed project involve human fetal tissue obtained from elective abortions?' is 'No'.</td>
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<td>The HFT Compliance Assurance and HFT Sample IRB Consent Form attachments should not be provided if the question 'Does the proposed project involve human fetal tissue obtained from elective abortions?' is 'No'.</td>
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<td>The HFT Compliance Assurance and HFT Sample IRB Consent Form attachments are required if the question 'Does the proposed project involve human fetal tissue obtained from elective abortions?' is 'Yes'.</td>
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### Rule Categories

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**Supplement**

If the answer to the question "Does the proposed project involve human fetal tissue obtained from elective abortions?" on the Cover Page Supplement Form is 'Yes' and an entry labeled "Human Fetal Tissue Cost" or "Human Fetal Tissue Costs" must be entered in any budget period of R&R Budget form, then validation will be triggered.

**PHS 398 Cover Page**

- Human Fetal Tissue Section
- 008.4 1.4
- N  N
- Incl/NI
- Multi
- Component N
- If the answer to the question "Does the proposed project involve human fetal tissue obtained from elective abortions?" on the Cover Page Supplement Form is 'Yes' and an entry labeled "Human Fetal Tissue Cost" or "Human Fetal Tissue Costs" must be entered in any budget period of R&R Budget form, then validation will be triggered.

**Error / Warning**

- E

**Comments**

- Forms F, Febra

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question "Does the proposed project involve human fetal tissue obtained from elective abortions?" on the Cover Page Supplement Form is 'Yes' within the same component.

the Other Direct Cost section F of the R&R Budget form if the answer to the question "Does the proposed project involve human fetal tissue obtained from elective abortions?" on the Cover Page Supplement Form is 'Yes' within the same component.
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<td>The budget for &lt;organization&gt;, budget period &lt;budget period&gt; contains an entry for Human Fetal Tissue Cost(s). Since Human Fetal Tissue Cost(s) is entered, the answer for the question ‘Does the proposed project involve human fetal tissue obtained from elective abortions?’ on the Cover Page Supplement Form must be ‘Yes’.</td>
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<td>Forms F, Februa ry 2020 Release</td>
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<td>Incl:NIH</td>
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<td>Component</td>
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<td>If &quot;Human Fetal Tissue Cost&quot; OR &quot;Human Fetal Tissue Costs&quot; has been entered in any budget period of R&amp;R Budget form and the answer for the question &quot;Does the proposed project involve human fetal tissue obtained from elective abortions?&quot; on the Cover Page Supplement Form must be 'Yes' within the same component</td>
<td>The budget for &lt;organization&gt;, budget period &lt;budget period&gt; contains an entry for Human Fetal Tissue Cost(s). Since Human Fetal Tissue Cost(s) is entered, the answer for the question &quot;Does the proposed project involve human fetal tissue obtained from elective abortions?&quot; on the Cover Page Supplement Form must be 'Yes' within the same component</td>
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<td>Forms F, February 2020 Release</td>
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<td>Incl: T15, T32, T34, T35, T36, T37, T90/R90, TL1, TL4, F05, F30, F32, F33, F99, K12, D43, D71, OT1, OT2, OT3, SC1, SC2, SC3, S10, DP1, DP2, R00, DP3, C06/U, C6, G20, X01, X02, U2R, R16</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Provide error if the answer to &quot;Does the proposed project involve human fetal tissue obtained from elective abortions?&quot; on the Cover Page Supplement Form is &quot;Yes&quot;.</td>
<td>The activity code associated with this Opportunity Announcement does not allow Human Fetal Tissue. Refer to NOT-OD-19-128</td>
<td>E</td>
<td>Updated Rule February 2021 Release</td>
<td>Forms F February 2020 Release</td>
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<td>Incl: NIH, USU</td>
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<td>Overall</td>
<td>N</td>
<td>Do not accept a modular budget for an application where the applicant organization is foreign.</td>
<td></td>
<td>Application s from foreign organizatio ns must use the R&amp;R Budget form.</td>
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<td>Incl: V 1.2</td>
<td>Excl: C06, UC6, G20</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>For a revision, if the parent grant budget is non-modular, only a detailed budget form may be submitted.</td>
<td></td>
<td>This application should be submitted with the same type of budget as the last competing segment.</td>
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<td>V 1.2</td>
<td>Incl: R15, RF1, UF1, UA5</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Return error if more than one budget period has been included.</td>
<td></td>
<td>All budget information for this multi-year funded application must be submitted in a single budget period. Be sure to comply with the Opportunity Announcement instructions</td>
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<td>For budget period 1, if entered, for new and resubmissions, must be the same as the Project Start Date listed on the SF 424 RR Face Page.</td>
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<td>The modular budget start date for budget period &lt;budget year&gt; for new and resubmissions applications must be the same as the proposed project start date listed on the SF424 RR cover form.</td>
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<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.</td>
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<td>Incl: V 1.2</td>
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<td>N</td>
<td>The Budget period end date must be greater than budget period start date and less than or equal to project period end date listed on the SF424 RR.</td>
<td>For Budget period &lt;budget year&gt; the budget dates must be within the proposed project period dates listed on the SF424 RR cover form.</td>
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<td>Must be &lt;= 250K, must be a multiple of 25K for each budget year</td>
<td>For budget period &lt;budget year&gt;, the Direct Cost Less Consortium F&amp;A must be in $25K increments and cannot exceed $250K.</td>
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<td>project_cost_exception_flag = N</td>
<td>Incl: R03, R21, UH2</td>
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<td>Provide error if this value for any budget year is &gt;50K</td>
<td>For budget period &lt;budget year&gt;, the Direct Cost</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Direct Costs, Direct Cost Less Consortiu m, F&amp;A</td>
<td>018.3.3</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>project_cost_exception_flag = N</td>
<td>Incl: R34, U94</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if this value for any budget year is &gt;225K</td>
<td>For budget period &lt;budget year&gt;, the Direct Cost Less Consortium, F&amp;A requests are typically limited to &lt;direct cost limit&gt; for this type of application. Be sure to comply with the Opportunity Announcement instructions.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Direct Costs, Direct Cost Less</td>
<td>018.3.4</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC,</td>
<td>Incl: V 1.2</td>
<td></td>
<td>Incl: SC1, SC2, SC3</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Provide error if the Direct cost less F&amp;A for</td>
<td>For budget period &lt;budget year&gt;, the</td>
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<td>Incl: V 1.2</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Must be less than 10,000,000,000.</td>
<td>Direct Cost requests are limited to &lt;direct cost limit&gt; a year for this application.</td>
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<td>Incl: V 1.2</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Must equal sum of Direct Cost Less Consortium, the ‘Total Direct Costs’ in budget period</td>
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<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>F&amp;A and Consortium, F&amp;A for the corresponding budget year (if both are submitted). If only Direct Cost Less Consortium, F&amp;A is submitted for that budget year, must equal that.</td>
<td>E</td>
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<td><strong>Modular Budget, Years 1-5 (NIH)</strong></td>
<td>Indirect Costs, Indirect Cost Type</td>
<td>018.6</td>
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<td></td>
<td>For budget period &lt;budget year&gt;, the Total Direct Costs provided exceeds the allowable limit.</td>
<td>E</td>
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<td>Indirect Costs, Indirect Cost Rate 1-4</td>
<td>018.7.1</td>
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<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if greater than 0 and less than 1. For budget period &lt;budget year&gt;, the Indirect Cost Rate must be represented as a percentage.</td>
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<td>Incl: V 1.2</td>
<td>Singl e</td>
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<td>N</td>
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<td>For budget period &lt;budget year&gt;, the Indirect Cost Base provided exceeds the allowable limit.</td>
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<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Must be less than 10,000,000,000.</td>
<td>For budget period &lt;budget year&gt;, the Funds Requested amount provided exceeds the allowable limit.</td>
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<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Must equal sum of Indirect Costs, Funds Requested 1-4 for the</td>
<td>The 'Total Indirect Costs' in budget period &lt;budget year&gt; must</td>
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<td>018.1 2.2</td>
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<td>Incl: V 1.2</td>
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<td>Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>correspond ing budget year, if any Indirect Costs were entered.</td>
<td>equal the sum of ‘Funds Requested’ for all ‘Indirect Cost Types’.</td>
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<td>Total Direct and Indirect Costs, Funds Requested</td>
<td>018.1 3.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall, Other Components or Both</td>
<td>Cross Components (Multi Project Only)</td>
<td>Validation</td>
<td>Must be less than 10,000,000, 000.</td>
<td>For budget period &lt;budget year&gt;, the Total Indirect Costs amount provided exceeds the allowable limit.</td>
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<td>Modular Budget, Years 1-5 (NIH)</td>
<td>Total Direct and Indirect Costs, Funds Requested</td>
<td>018.1 3.2</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall, Other Components or Both</td>
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<td>Validation</td>
<td>Must be greater than 0 for first budget period.</td>
<td>For Modular Budget period 1, Total Direct and Indirect Costs must be greater than zero.</td>
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<td>018.1 3.3</td>
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<td>Incl: V 1.2</td>
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<td>Overall</td>
<td>N</td>
<td>Must be less than 10,000,000,000.</td>
<td>For budget period &lt;budget year&gt;, the Total Direct and Indirect Costs (A+B) amount provided exceeds the allowable limit.</td>
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<td>Total Direct Cost less Consortium F&amp;A for Entire Project Period</td>
<td>019.1 1</td>
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<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Must be equal to the sum of all Total Direct Cost less Consortium F&amp;A values for all budget years.</td>
<td>The cumulative 'Total Direct Cost less Consortium F&amp;A' for Entire Project Period must equal the sum of 'Total Direct Cost Less Consortium F&amp;A' values for all budget periods.</td>
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<td>019.1.2</td>
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<td>N</td>
<td>Incl: NIH, USU</td>
<td>Incl: V 1.2</td>
<td>Project Costs Exception = N</td>
<td>Incl: R03</td>
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<td>Provide error if this value is &gt;100K.</td>
<td>The cumulative 'Total Direct Costs for Entire Project Period' is limited to $100K for this program.</td>
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<td>Total Direct Cost less Consortium F&amp;A for Entire Project Period</td>
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<td>N</td>
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<td>Incl: V 1.2</td>
<td>Project Costs Exception = N</td>
<td>Incl: R21, UH2</td>
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<td>The cumulative 'Total Direct Costs for Entire Project Period' is limited to $275K for this program.</td>
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<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Must be equal to the sum of all Consortium F&amp;A values for all budget years.</td>
<td>The cumulative 'Total Consortium F&amp;A for Entire Project Period' must equal the sum of 'Consortium F&amp;A values for all budget periods.</td>
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<td>Modular Budget, Cumulative (NIH)</td>
<td>Total Consortium F&amp;A for Entire</td>
<td>019.2.2</td>
<td>Y</td>
<td>N</td>
<td>Incl: NIH, CDC</td>
<td>Incl: V 1.2</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>Must be less than 10,000,000,000.</td>
<td>The Total Consortium F&amp;A for Entire</td>
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<td>The cumulative 'Total Direct Costs for the Entire Proposed Project Period' must equal the sum of 'Total Direct Costs' values for all budget periods.</td>
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<td>Overall</td>
<td>N</td>
<td>Must be less than 10,000,000,000.</td>
<td>Total Direct Costs for Entire Project Period amount provided exceeds the allowable limit.</td>
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<td>Incl: V 1.2</td>
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<td>Overall</td>
<td>N</td>
<td>Must be equal to the sum of Total Indirect Costs for all budget years.</td>
<td>The cumulative 'Total Indirect Costs Requested for Entire' must equal the sum of Total Indirect Costs for all budget periods.</td>
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### R&R Budget(5Year) (Use only for Single-project)

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Unless specifically stated, all project budget validations also apply to the subaward budget.
<p>| Form                           | Field                           | Rule # | Mand atory (Y/N) | Shared (Y/N) | Agen cy Speci fic (Lists Agen cies) | For m Ver sion | Opportu nity Announc ement Specific | Activ ity Speci fic Lists Activ ity Code (Inclu sion &amp; Exclu sion) | Applies to Single Proj ect, Mult i Proj ect or Bot h | Applies to Overall, Other Compo nents or Both | Cross Compo nents (Multi Project Only) | Validation | Error Message                                                                 | Error/Warning | Comments |
|-------------------------------|---------------------------------|--------|------------------|--------------|-------------------------------------|---------------|-------------------------------------|-------------------------------------------------------------|----------------------------------------------------------|---------------------------------|---------------------------------|-------------------------------|----------------|-------------------------------------------------|
| Research &amp; Related Bud get 5YR, (R&amp;R) |                                | 020. 0.3| N                 | Y             | Incl: NIH, USU                       | Incl: V 1.3   | Excl: C06, UC6, G20                | Sing le Overall                                             | N                                                                 | For a revision, if the parent grant budget is modular, only a modular budget form may be submitted | This application should be submitted with the same type of budget as the last competing segment. | W                              |
| Research &amp; Related Bud get 5YR, (R&amp;R) |                                | 020. 0.4| N                 | Y             | Incl: NIH, CDC, FDA, AHR Q, VA, USU | Incl: V 1.3   | Incl: R15, RF1, UF1, UA5               | Sing le Overall                                             | N                                                                 | Return error if more than one budget period has been included. | All budget information for this multi-year funded application must be submitted in a single budget period. Be sure to comply with the Opportunity Announcement instructions. | E                              |
|                                | Organization DUNS              | 020. 1.1|                  |               |                                     |               |                                     |                                                              |                                                          |                                 |                                 | Rule Delete d June 2023 Release |</p>
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Research & Related Budget SYR, (R&R)

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Research & Related Budget SYR, (R&R)

Equipment description, total equipment 020.33 N Y Incl: NIH, USU Incl: V 1.3 Sing le Overall N Provide error if attachment is provided and less than 10 equipment items have been entered for that budget period For <Organization name> budget for Budget Period < Budget Year>, the Additional Equipment attachment cannot be provided unless all 10 Equipment item entries are used. E

Research & Related Budget SYR, (R&R)

Additional equipment attachment 020.24.1 N Y Incl: NIH, USU Incl: V 1.3 Sing le Overall N Provide error if attachment is provided and less than 10 equipment items have been entered for that budget period For <Organization name> budget for Budget Period < Budget Year>, the Additional Equipment attachment cannot be provided unless all 10 Equipment item entries are used. E
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(R&R)

Research & Related Budget SYR, (R&R)

Participant/trainee support costs: Number of Participants/Trainees

020. 34.1 N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 1.3 Incl: K12 Single Overall N If Number of participants/Trainees is zero or blank, provide warning

For <Organization name> budget for Budget Period < Budget Year>, the Number of Participants/Trainees should be provided in the Participant/Trainee Support Costs section of the budget.

W Update to existing rule (removed KM1)

Research & Related Budget SYR, (R&R)

Participant/trainee support costs: Total Participant/Trainee Support Costs

020. 35

Research & Related Budget SYR, (R&R)

Other Direct Costs materials & supplies; Funds Req

020. 36
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<td>Rese arch &amp; Relat ed Bud get SYR, (R&amp;R )</td>
<td>Other Direct Costs (Subawards/Consorti um/Contractual Costs)</td>
<td>020. 40.1</td>
<td>N</td>
<td>Y</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V 1.3</td>
<td>Incl: K12</td>
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<td>Rese arch &amp; Relat ed Bud get SYR, (R&amp;R )</td>
<td>Other Direct Costs Equipment or Facility Rental/User Fees; Funds Req</td>
<td>020. 41</td>
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<td>Rese arch &amp; Relat ed Budg</td>
<td>Other Direct Costs (Alterations and Renovations)</td>
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<td>Rese Research &amp; Related Budget SYR, (R&amp;R)</td>
<td>Costs (Technical Assistance)</td>
<td>020. 43</td>
<td>N</td>
<td>Y</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V 1.3</td>
<td>Incl: K12</td>
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<td>Rese Research &amp; Related Budget SYR, (R&amp;R)</td>
<td>Costs (Technical Assistance)</td>
<td>020. 43.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
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<td>Incl: K12</td>
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Updated error message October 2021 release
New rule December 2018 Release

E

Updated error message October 2021 release
New rule July 2022 Release

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<td>Other Direct Costs (Other – Human Fetal Tissue Cost)</td>
<td>020.44</td>
<td>N</td>
<td>Overall</td>
<td>Human Fetal Tissue cost(s) can be provided on any line within Section F ‘Other’. It cannot be provided multiple times within the same budget period. Trigger error if &quot;Human Fetal Tissue cost(s)&quot; is provided more than once.</td>
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<tr>
<td>Other Direct Costs (Data Management and Sharing Costs)</td>
<td>020.45.1</td>
<td>N, N</td>
<td>Overall</td>
<td>An entry labeled &quot;Data Management and Sharing Costs&quot; must be entered in the Other Direct Cost section F of the R&amp;R Budget form since an attachment has been uploaded to the 'Other' section.</td>
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<td>‘Research &amp; Related Budget’ (SRB, R&amp;R)</td>
<td>Other Direct Costs (Data Management and Sharing Costs)</td>
<td>020.45.2</td>
<td>N</td>
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<td>‘Research &amp; Related Budget’ (SRB, R&amp;R)</td>
<td>Other Direct Costs (other2 funds requested)</td>
<td>020.46</td>
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<td>Other Direct Costs (other3 funds requested)</td>
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<td>Research &amp; Related Budget SYR, (R&amp;R)</td>
<td>Other Direct Costs, Total Other Direct Costs</td>
<td>020.49.1</td>
<td>N</td>
<td>Y</td>
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<td>SYR, (R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>020. 50</td>
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<td>Research &amp; Related Budget SYR, (R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>020. 51.1</td>
<td>N Y Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V 1.3 Single Overall N</td>
<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 support costs, and total other direct costs</td>
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<tr>
<td>Research &amp; Related Budget</td>
<td>Total Direct Costs (A-F)</td>
<td>020. 52.1</td>
<td>N Y Incl: NIH, USU Incl: V 1.3 Includ: R01, R03, Single Overall N</td>
<td>For Project Budget, provide warning if</td>
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Updated September
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<td>R15, R21, R34, RF1, UF1, U34, UC4, U01, DP5, UP5, UH2, U25, RL1</td>
<td>subtotal direct costs for every budget period is $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/co nsortium'.</td>
<td>period should use the PHS 398 Modular Budget.</td>
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| Budg et, F- K, Year x | Total Direct Costs (A- F) | 020. 52.2 | N | Y | Excl: VA | Incl: V 1.3 | Excl: R41, R42, UT1, UT2, R43, R44, U43, Single | Overall | N | Provide warning if total direct cost is equal to or greater than 500K for Direct cost requests of $500 K or more a year need approval to accept assignment from Institute/Center staff, except for RFAs or PAs with budgetary limits. Applications without such approval may be delayed or not accepted for review. | W | Update to existin g (add exclu si on of | 694 |

<p>|                   |                   |                   |                   |                   |                   |                   |                   |                   |                   |                   |                   |       | 2019 Releas e | August 2019 Releas e: Rule should not trigger if applic ation is flagge d as Huma n Fetal |</p>
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<td>Budget, F-K, Year x</td>
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<td>N</td>
<td>Y</td>
<td>Incl: NIH, CDC, FDA, AHRQ</td>
<td>V 1.3</td>
<td>Incl: R15, UA5</td>
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Direct cost requests are typically limited to $300k for this type of application. Be sure to comply with the Opportunity Announcement instructions.
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<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>The subtotal direct costs on the project budget cannot be greater than 80k. 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>For Budget Period &lt;Budget Year&gt;, Total Direct Costs requested minus all Subaward indirect costs are limited to $80k for this type of application.</td>
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<td>Updated Rule June 2023 Release</td>
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<td>Incl: V 1.3</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if less than 1.</td>
<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year, the Indirect Cost Rate is less than 1. Please note that this figure represents a percentage (e.g., '25.5', not '.255').</td>
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<td>Incl: K02, K05, K24, K26, K81, K07, K08, K18, K22, K23, K25, K99, K99/ R00, K21, K12, K30</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>If Indirect cost rate is provided and not equal to 8, generate warning</td>
<td>For &lt;Organization name&gt; budget for budget period &lt; Budget Year&gt;, the Indirect Cost Rate should be equal to 8.</td>
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<td>Provide an error if Indirect Cost Base is</td>
<td>For &lt;Organization name&gt; for budget period &lt; Budget Year&gt;, no indirect cost base is allowed.</td>
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**Note:** For indirect cost rate less than 8, generate a warning. For indirect cost base, no indirect cost base is allowed.
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**Research & Related Cumulative 5 year Budget**

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- **Rule Categories**
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  - Shared (Y/N)
  - Agency Specific (List of Agencies)
  - Form Version
  - Opportunity Announcement Specific
  - Activity Specific Lists Activity Code (Inclusion & Exclusion)
  - Applies to Single Project, Multi Project or Both
  - Applies to Component Type (Multi Project Only)
  - Cross Components (Multi Project Only)

- **Validation**
- **Error Message**
- **Error/Warning**
- **Comments**

- Must be equal to the sum of Total Direct and Indirect Costs for every budget year for this budget.
- For <Organization name> budget, the Cumulative Total Direct and Indirect Costs does not equal the sum of Direct and Indirect Costs for all budget periods.
- the sum of Total Indirect Costs for all budget periods.
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## R&R Budget (10 Year) (Use only for Single-project)

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For <Organization Name>, the PD/PI name for budget period <budget year>) does not match the PD/PI name on the SF 424 RR Cover. Exclude: STTR applications.
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<th>Applies to Overall, Other Components or Both</th>
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<td>N</td>
<td>For budgets type 'Project', there must be at least one record for the budget year with a project role of PD/PI. Exclude: STTR applications</td>
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<td>N</td>
<td>A non-zero value for calendar months, academic months, or summer months is required for each senior/key person. (except for)</td>
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For <Organization Name>, a Personnel entry with a project role of "PD/PI" is required for budget period <budget year>.

For <Organization Name> budget for Budget Period < Budget Year>, the Base Salary for Senior/Key Person <Last Name, First Name> exceeds the allowable amount for the agency.

For <Organization name> budget for Budget Period < Budget Year>, the Base Salary for Senior/Key Person <Last Name, First Name> 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
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<td>A value for calendar months, academic months, or summer months is required for each senior/key person. The value may be zero.</td>
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<td>For PD/PIs on STTR submissions (R41, R42, UT1, UT2), 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.</td>
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<td>Provide warning if both academic and calendar months have been provided for a person for a budget year.</td>
<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, Senior/Key Person &lt;Last Name, First Name&gt;, both academic and calendar months have been included. 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.</td>
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<td>Cannot be greater than 99,999,999.9</td>
<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Fringe Benefits for Senior/Key Person &lt; Last Name, First Name&gt; exceed the allowable amount for the agency.</td>
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<td>Must be equal to the sum of Requested Salary and Fringe Benefits for the Senior/Key Person for the budget year.</td>
<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Funds Requested amount for Senior/Key Person &lt; Last Name, First Name&gt; does not equal the sum of the Requested Salary and the Fringe Benefits.</td>
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<td>Required if Additional Senior Key Persons Attachment is included.</td>
<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the 'Total Funds requested for all Senior Key Persons in the attached file' is required since an attachment is provided.</td>
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- **Mandatory (Y/N)**
- **Shared (Y/N)**
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- **For Version**
- **Opportunity Announcement Specific**
- **Activity Specific Lists Activity Code (Inclusion & Exclusion)**
- **Applies to Single Project, Multi Project or Both**
- **Applies to Overall, Other Components or Both**
- **Cross Components (Multi Project Only)**

For <Organization name> budget for Budget Period <Budget Year>, the Total Salary, Wages and Fringe Benefits amount does not equal the sum of the Total Senior/Key Persons Funds Requested and...
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<td>For &lt;Organization name&gt;, for Budget Period &lt; Budget Year&gt;, the 'Total Funds requested for all equipment listed in the attached file' is required since an attachment is provided.</td>
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| Participant/trainee support costs: subsistence, funds req |

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| Participant/trainee support costs: description of other |

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- **Mandatory (Y/N)**
- **Shared (Y/N)**
- **Agency Specific (Lists Agenies)**
- **Form Version**
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- **Activity Specific Lists Activity Code (Inclusion & Exclusion)**
- **Applies to Single Project, Multi Project or Both**
- **Applies to Overall, Other Components or Both**
- **Cross Components (Multi Project Only)**

**Validation**

**Error Message**

**Warning**

**Comments**

For Research & Related Budget 10YR, (R&R):

Other Direct Costs Consultant Services; Funds Req

- **Rule Categories**

- **Other Direct Costs Consultant Services; Funds Req**
  - **Mandatory (Y/N):** N
  - **Shared (Y/N):** Y
  - **Agency Specific (Lists Agenies):** Incl: NIH, CDC, FDA, AHRQ, VA, USU
  - **Form Version:** Incl: V 1.3
  - **Opportunity Announcement Specific:** Single
  - **Activity Specific Lists Activity Code (Inclusion & Exclusion):** Overall
  - **Applies to Single Project, Multi Project or Both:** N
  - **Applies to Overall, Other Components or Both:** Provide warning for Project budget if Consortium cost is Null or '0' for all budget periods and a subaward
  - **Cross Components (Multi Project Only):** A Subaward/Consortium Budget form is included in the application. The total costs of all subawards submitted for this application should be reflected in the Other Direct Costs section of the Project budget in the Funds requested Subaward/Consortium Costs field.

- **Other Direct Costs ADP/Computer Services; Funds Req**
  - **Mandatory (Y/N):** N
  - **Shared (Y/N):** Y
  - **Agency Specific (Lists Agenies):** Incl: NIH, CDC, FDA, AHRQ, VA, USU
  - **Form Version:** Incl: V 1.3
  - **Opportunity Announcement Specific:** Single
  - **Activity Specific Lists Activity Code (Inclusion & Exclusion):** Overall
  - **Applies to Single Project, Multi Project or Both:** N
  - **Applies to Overall, Other Components or Both:** Provide warning for Project budget if Consortium cost is Null or '0' for all budget periods and a subaward
  - **Cross Components (Multi Project Only):** A Subaward/Consortium Budget form is included in the application. The total costs of all subawards submitted for this application should be reflected in the Other Direct Costs section of the Project budget in the Funds requested Subaward/Consortium Costs field.

- **Other Direct Costs (Subawards/Consortium/Contractual Costs)**
  - **Mandatory (Y/N):** N
  - **Shared (Y/N):** Y
  - **Agency Specific (Lists Agenies):** Incl: NIH, CDC, FDA, AHRQ, VA, USU
  - **Form Version:** Incl: V 1.3
  - **Opportunity Announcement Specific:** Single
  - **Activity Specific Lists Activity Code (Inclusion & Exclusion):** Overall
  - **Applies to Single Project, Multi Project or Both:** N
  - **Applies to Overall, Other Components or Both:** Provide warning for Project budget if Consortium cost is Null or '0' for all budget periods and a subaward
  - **Cross Components (Multi Project Only):** A Subaward/Consortium Budget form is included in the application. The total costs of all subawards submitted for this application should be reflected in the Other Direct Costs section of the Project budget in the Funds requested Subaward/Consortium Costs field.
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(R&R) Research & Related Budget 10YR

Other Direct Costs Equipment or Facility Rental/User Fees; Funds Req 022.51

Other Direct Costs Alterations and Renovations 022.52

Other Direct Costs other1 funds requested 022.54
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<td>022. 56</td>
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<td>Opportu nity Announc ement Spec ific</td>
<td>Activ ity Speci fic Lists Activ ity Code (Inclu sion &amp; Exclu sion)</td>
<td>App lies to Single Proj ect, Mult i Proj ect or Bot h</td>
<td>Applies to Overall, Other Compo nents or Both</td>
<td>Cross Compo nents (Multi Project Only)</td>
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<td>ed Bud g et 10YR    (R&amp;R )</td>
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<td>022. 58</td>
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<td>Rese arch &amp; Relat ed Bud g et 10YR (R&amp;R )</td>
<td>Other Direct Costs, Total Other Direct Costs</td>
<td>022. 59.1</td>
<td>N</td>
<td>Y</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
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<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Total Other Direct Costs does not equal the sum of the individual Other Direct Cost categories.</td>
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<tr>
<td>Rese arch</td>
<td>Total Direct Costs (A-F)</td>
<td>022. 60</td>
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**Error Message**: Must be equal to the sum of other direct costs for the budget year.
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<td>Total Direct Costs (A-F)</td>
<td>022.61.1</td>
<td>N</td>
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<td>Research &amp; Related Budget 10YR (R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>022.61.2</td>
<td>N</td>
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</table>

An application with a direct cost request of $250K or less for each period should use the PHS 398 Modular Budget.

For <Organization name> budget for Budget Period < Budget Year>, the Total Direct Costs Funds Requested (does not equal the sum of individual direct costs in Sections A through F).
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<td>(R&amp;R)</td>
<td>Total Direct Costs (A-F)</td>
<td>022, 61.3</td>
<td>N</td>
<td>Y</td>
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<td>N</td>
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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 correspondin g year with budget type 'subaward/consortium'. Rule should not trigger if application is flagged as Human Fetal tissue for NIH.
<table>
<thead>
<tr>
<th>Form</th>
<th>Field</th>
<th>Rule #</th>
<th>Mandatory (Y/N)</th>
<th>Shared (Y/N)</th>
<th>Ageny Specific (Lists Agencies)</th>
<th>For m Version</th>
<th>Opportunity Announcement Specific</th>
<th>Activity Specific Lists Activity Code (Inclusion &amp; Exclusion)</th>
<th>Applies to Single Project, Multi Project or Both</th>
<th>Cross Components (Multi Project Only)</th>
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**Rule Categories**

- **Form Version**: Opportunity Announcement Specific
- **Activity Specific Lists Activity Code (Inclusion & Exclusion)**: U44, S21, S22
- **Applies to Single Project, Multi Project or Both**: any budget period
- **Cross Components (Multi Project Only)**: such approval may be delayed or not accepted for review.

**Transaction Rules**

| Research & Related Budget 10YR (R&R) | Total Direct Costs (A-F) | 022, 61.4 | N | Y | Incl: NIH, CDC, FDA, AHRQ, VA, USU | V 1.3 | Incl: R15, UA5 | Single | Overall | N | Provide warning if subtotal direct costs for any budget period is > $300K. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for | Direct cost requests are typically limited to $300K for this type of application. Be sure to comply with the Opportunity Announcement instructions. | W | |

**Updated Message Text**

- May 2016 Release: Updated to existing rule
<table>
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<th>For m Ver sion</th>
<th>Oppor tunity Announc ement Specific</th>
<th>Activ ity Speci fic Lists Act ivit y Code (Inclu sion &amp; Exclu sion)</th>
<th>Applies to Single Proj ect, Multi Proj ect or Bot h</th>
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<td>Y</td>
<td>NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>V 1.3</td>
<td>Incl: G13</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>The subtotal direct costs on the project budget cannot be greater than 80k. Calculate subtotal direct costs as follows: Total Direct Costs (A-F) minus the sum of Total Indirect Costs for all budgets for the correspondin g year with budget type 'subaward/co nsortium'.</td>
<td>For Budget Period &lt;Budget Year&gt;, Total Direct Costs requested minus all Subaward Indirect costs are limited to $80k for this type of application.</td>
</tr>
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<td>Research &amp; Related Budget 10YR (R&amp;R)</td>
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<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V 1.3</td>
<td>Overall</td>
<td>N</td>
<td>Provide warning if less than 1.</td>
<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year, the Indirect Cost Rate is less than 1. Please note that this figure represents a percentage (e.g., ‘25.5’, not ‘.255’).</td>
<td>W</td>
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<td>If Indirect Cost rate is provided and not equal to 8, generate warning</td>
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<td>Provide an error if Indirect Cost Base is greater than 0.</td>
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<td>Provide an error if Indirect Cost Base is greater than 0.</td>
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<td>relat</td>
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<td>FDA, AHR Q, VA, USU</td>
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<td>Overall</td>
<td>Must be equal to funds requested for all indirect cost types</td>
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<td>reser</td>
<td>Total Indirect Costs</td>
<td>022.66</td>
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<td>For &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Total Indirect Costs does not equal the sum of individual indirect costs for each indirect cost type.</td>
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## R&R Budget (10 Year) Cumulative

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<td>Section B. Other Personnel, Totals ($)</td>
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<td>Total number other personnel</td>
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<td>Resear ch &amp; Relat ed Cum ulativ e Bud get 10YR (R&amp;R )</td>
<td>Total Salary, wages and fringe benefits (A+B), Totals ($)</td>
<td>022.73</td>
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<td>Resear ch &amp; Relat ed Cum ulativ e Bud get 10YR (R&amp;R )</td>
<td>Section C. Equipment, Totals ($)</td>
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<td>Research &amp; Related Cumulative Budget 10YR (R&amp;R)</td>
<td>Section E. Participant/Trainee Support Costs, Totals ($)</td>
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<td>Research &amp; Related Cumulative Budget 10YR (R&amp;R)</td>
<td>3. Travel Totals ($)</td>
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<td>4. Subsistence Totals ($)</td>
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<td>Research &amp; Related Cumulative Budget 10YR (R&amp;R)</td>
<td>5. Other, Totals ($)</td>
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<td>6. Number of Participants/Trainees</td>
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<tr>
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<td>Section F. Other Direct Costs, Totals ($)</td>
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<td>022.86</td>
<td>1. Materials and Supplies</td>
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<td>3. Consultant Services</td>
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**Research & Related Cumulative Budget 10YR (R&R)**

**Research & Related Cumulative Budget 10YR (R&R)**

- **Agency Specific (Listed Agencies)**
- **Opportunity Announcement Specific**
- **Applies to Single Project, Multi Project or Both**
- **Applies to Component Type (Multi Project Only)**
- **Cross Components (Multi Project Only)**
- **Validation**
- **Error/Warning**
- **Comments**
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## R&R Budget (10Year) MP (Use only for Multi-project)

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|--------|------------------------------|--------|-----------------|--------------|----------------------------------|---------|-----------------------------------|-----------------------------------------------|-----------------------------------------------|------------------------------------------|-------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------
|        |                         |        |                 |              |                                  |         |                                   |                                               |                                               |                                          |            | **Research & Related Budget 10Y R, (R&R) MP** End Date 006.5.1 N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V1.0 Mult Component N The Budget end date 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 MP for a given component. On the <Organization name> budget for Budget Period <Budget Year>, the end date must be later than the budget start date and less than or equal to the proposed project end date listed on the Component SF 424 RR Cover page. E |
|        |                         |        |                 |              |                                  |         |                                   |                                               |                                               |                                          |            | **Research & Related Budget 10Y R, (R&R) MP** End Date 006.5.2 N N Incl: NIH, CDC, FDA, AHRQ, VA, USU Incl: V1.0 Project_Period_Except flag='No' Mult Component N End date of last budget period should not be later than 5 years after the start date of the first budget period if the Project_Period_Except flag is set to 'No' in rfa_pa_notices.t. The end date cannot be later than 5 years after the start date for <Organization name or DUNS (if Org name not available)> for Budget Period <Budget Year>. E |


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<td>Research &amp; Related Budget 10Y R, (R&amp;R ) MP</td>
<td>Senior/Key Person x Name, Base Salary ($)</td>
<td>006.12.1</td>
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<td>N</td>
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<td>Incl: V1.0</td>
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<td>Compo nent</td>
<td>N</td>
<td>Cannot be greater than 99,999,999.99.</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, the Base Salary for Senior/Key Person &lt;Last Name, First Name&gt; exceeds the allowable amount for the agency.</td>
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<td>Research &amp; Related Budget 10Y R, (R&amp;R ) MP</td>
<td>Senior/Key Person x Name, Cal. Months</td>
<td>006.13.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V1.0</td>
<td>Mult i</td>
<td>Compo nent</td>
<td>N</td>
<td>a non-zero value for calendar months, academic months, or summer months is required for each senior/key person.</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, Senior/Key Person &lt;Last Name, First Name&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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<td>Senior/Key Person x Name, Acad. Months</td>
<td>006.14.1</td>
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<td>Incl: V1.0</td>
<td>Mult i</td>
<td>Compo nent</td>
<td>N</td>
<td>Provide warning if both academic and calendar months have been provided for a person for</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, Senior/Key Person &lt;Last Name, First Name&gt;, both academic and calendar months have been included. Please use either calendar months or a combination of academic and summer months. If effort does not</td>
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<tr>
<td>Researc h &amp; Related Budget 10Y R, (R&amp;R ) MP</td>
<td>Senior/Key Person x Name, Fringe Benefits ($)</td>
<td>006. 17.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
<td>Incl: V1. 0</td>
<td>Mult i Component</td>
<td>N</td>
<td>Cannot be greater than 99,999,999,999.</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Fringe Benefits for Senior/Key Person &lt; Last Name, First Name&gt; exceed the allowable amount for the agency.</td>
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<td>Research &amp; Related Budget 10Y R, (R&amp;R ) MP</td>
<td>Senior/Key Person Funds Requested</td>
<td>006. 18.1</td>
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<td>N</td>
<td>Must be equal to the sum of Requested Salary and Fringe Benefits for the Senior/Key Person for the budget year.</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Funds Requested amount for Senior/Key Person &lt; Last Name, First Name&gt; does not equal the sum of the Requested Salary and the Fringe Benefits.</td>
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<td>Research &amp; Related</td>
<td>Total funds requested for Senior Key Persons in attachment</td>
<td>006. 19.1</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA,</td>
<td>Incl: V1. 0</td>
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<td>N</td>
<td>Required if Additional Senior Key</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the “Total Funds</td>
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</table>

a budget year. 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 months.

On the <Organization name> budget for Budget Period < Budget Year>, the Fringe Benefits for Senior/Key Person < Last Name, First Name> exceed the allowable amount for the agency.
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<tr>
<td>ed Budget 10Y R, (R&amp;R) MP</td>
<td>Additional Senior Key Persons attachment</td>
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<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
<td>Incl: V1. 0</td>
<td>Mult i Component</td>
<td>N</td>
<td>Provide error if attachment is provided and less than 100 senior/key person have been entered for that budget period</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Additional Senior/Key Person attachment cannot be provided unless all 100 Sr/Key Person entries are used.</td>
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<td>Research &amp; Related Budget 10Y R, (R&amp;R) MP</td>
<td>Total salary, wages and fringe benefits</td>
<td>006. 37.1</td>
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<td>Incl: V1. 0</td>
<td>Mult i Component</td>
<td>N</td>
<td>Must equal the sum of Total Funds requested for all senior/key persons and Total Funds Requested other personnel</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Total Salary, Wages and Fringe Benefits amount does not equal the sum of the Total Senior/Key Persons Funds Requested (Section A) and Total Other Personnel Funds Requested (Section B).</td>
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<tr>
<td>Research &amp; Related ed</td>
<td>Equipment description, total funds requested in attachment</td>
<td>006. 40.1</td>
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<td>N</td>
<td>Incl: NIH, CDC, FDA,</td>
<td>Incl: V1. 0</td>
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<td>Required if Additional Equipment</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the 'Total Funds requested for all equipment listed</td>
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<td>Compo nent</td>
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<td>Provide error if attachment is provided and less than 100 equipment items have been entered for that budget period</td>
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<td>Research &amp; Related Budget</td>
<td>Other Direct Costs (Subawards/Consortium/Contractual Costs)</td>
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<td>Incl: V1.0</td>
<td>Mult i</td>
<td>Compo nent</td>
<td></td>
<td></td>
<td>provide warning for Project budget if all budget periods Consortium cost is Null or '0' and a subaward exists for the component</td>
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<td>Research &amp; Related Budget</td>
<td>Other Direct Costs (8. 9 or 10 other—Human Fetal Tissue Cost)</td>
<td>006.55</td>
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<td>Y</td>
<td>Inc: NIH</td>
<td>Inc V1.0</td>
<td>Mult i</td>
<td>Compo nent</td>
<td>Human Fetal Tissue cost(s) can be provided</td>
<td></td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, Human Fetal Tissue cost(s) can only be entered once</td>
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Attachment is included. in the attached file' is required since an attachment is provided.
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<td>Rese arch &amp; Related Budget</td>
<td>Other Direct Costs (Data Management and Sharing Costs)</td>
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<td>VY</td>
<td>X</td>
<td>Multi Component</td>
<td>N</td>
<td>either-on lines 8, 9 or 10. It cannot be provided multiple times within the same budget period. Trigger error if &quot;Human Fetal Tissue cost(s)&quot; is provided more than once.</td>
<td>in Section F lines 8-10 within the same budget period.</td>
<td>Updated September 2019 Release New Rule August 2019 Release</td>
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<td>Rese arch &amp; Related Budget</td>
<td>Other Direct Costs, Total Other Direct Costs</td>
<td>006. 67.1</td>
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<td>VY</td>
<td>X</td>
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<td>N</td>
<td>Must be equal to the sum of other direct costs</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt; Budget Year&gt;, the Total Other Direct Costs (Section F-K) does</td>
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- **Rule Categories**

  - Mand atory (Y/N)
  - Shared (Y/N)
  - Agency Specific (Lists Agencies)
  - For m Version
  - Opportunity Announcement Specific
  - Activity Specific Lists Activity Code (Inclusion & Exclusion)
  - Applies to Single Project, Multi Project or Both
  - Cross Components (Multi Project Only)
  - Validation
  - Error Message
  - Comments

- **Ed Budg et 10 YR, (R&R )MP**

- **Research & Related Budg et 10 YR, (R&R )MP**

- **Research & Related**
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<td>N</td>
<td>Must be equal to the sum of total salary, wages and fringe benefits, total funds requested for equipment, total travel cost, total participant/trainer support costs, and total other direct costs</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, the Total Direct Costs Funds Requested (Section G) does not equal the sum of individual direct costs in Sections A-F.</td>
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<td>Research &amp; Related Budget 10Y R, (R&amp;R) MP</td>
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<td>Incl: V1. 0</td>
<td>Mult i Compo nent</td>
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<td>Provide warning if less than 1.</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, the Indirect Cost Rate is less than 1. Please note that this figure represents a percentage (e.g., ’25.5’, not ’.255’).</td>
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<td>Applies to Single Project, Multi Project or Both</td>
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<td>Total Indirect Costs</td>
<td>006. 74.1</td>
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<td>Incl: V1.0</td>
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<td>N</td>
<td>Must be equal to funds requested for all indirect cost types</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, the Total Indirect Costs (section F-K) does not equal the sum of individual indirect costs for each indirect cost type.</td>
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<td>Total Direct and Indirect Costs</td>
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<td>Compo nent</td>
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<td>Must be equal to the sum of Total Direct Costs and Total Indirect Costs</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, the Total Direct and Indirect Costs Funds Requested (Section I) does not equal the sum of individual direct and indirect costs in Sections G-F.</td>
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<td>Fee</td>
<td>006. 77.1</td>
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<td>N</td>
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<td>Incl: V1.0</td>
<td>Mult i</td>
<td>Compo nent</td>
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<td>A fee cannot be entered for a subaward/consortium budget.</td>
<td>On the &lt;Organization name&gt; budget for Budget Period &lt;Budget Year&gt;, a fee has been entered. Fees are not allowed for 'Subaward/Consortium' budgets.</td>
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### R&R Budget(10Year) MP Cumulative

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<td>Section G, Direct Costs (A thru F)</td>
<td>006.105.1</td>
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<td>Must be equal to the sum of Total Direct Costs for every budget year for this budget.</td>
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<td>Must be equal to the sum of Total Direct and Indirect Costs for every budget year for this budget.</td>
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## PHS 398 Research Plan

### Form: PHS Research Plan

<table>
<thead>
<tr>
<th>Attachments:</th>
<th>Research Plan Attachments:</th>
<th>010.1.1</th>
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### Rule Categories

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<td>The Vertebrate Animals attachment is required if the response to the Vertebrate/Animals Subject Used question on the Other Project Information is ‘Yes’</td>
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If an attachment has been uploaded to the 'Other Plan(s)' section on the Research Plan form (Overall component) and no 'Data Management and Sharing Costs' is entered in the Other Direct Cost section E of the R&R Budget form for at least one component since an attachment has been uploaded to

Rule Disabled October 2023 Release
New Rule August 2022 Release
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**Rule Categories**

- **Validation:**
  - **Error Message:** "Management and Sharing Costs" has been entered in any component budget period of the MP R&R Budget form. 'Other Direct Costs' section then validation will be triggered.

- **Error/Warn:**
  - the Other Plan(s) section of the Research Plan form in the Overall.
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<td>N</td>
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<td>Excl: V3.0</td>
<td>Both Compon ent N</td>
<td>Provide warning if Candidate Information section attachment s 2-4 and Research Strategy attachment together are greater than 12 pages and less than or equal to 15 pages</td>
<td>The Candidate Information and Research Strategy sections together are limited to 12 pages. This may span 15 pages due to page breaks</td>
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<td>January 14, 2016 Release, Update to Existing Rule (adding K76) Forms D, March 2016 Release</td>
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<td>The Candidate Information and Research Strategy sections together are limited to 12 pages. This may span 15 pages due to page breaks</td>
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Notes:
- K99/R0 0, K76
- Rule Deleted June 2023 Release
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<td>January 14, 2016 Release, Update to Existing Rule (added K76)</td>
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attachment is not provided

be sure to comply with the Opportunity Announcement instructions.
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Attachments:
- Institutional Commitment to Candidate’s Research Career Development
- Description of Candidate’s Contribution to Program Goals

Notes:
- The Institutional Commitment to Candidate’s Research Career Development attachment may be subject to a page limitation. Be sure to comply with announcement and application guide instructions.
- The “Description of Candidate’s Contribution to Program Goals” attachment is required for Opportunity Announcements flagged as diversity.

January 14, 2016 Release, Update to Existing Rule (added K76)

New Rule September 2020 Release
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### Rule Categories

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Your combined total for the two attachments is over 13 pages.

Provide an error if the Candidate Information and Goals for Career Development attachments are limited to a combined total of 15 pages. This may span 16 pages to accommodate page breaks and white space resulting from splitting the information into two separate attachments. Your combined total for the two attachments is over 16 pages.
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**Rule Categories**

- Mandatory (Y/N)
- Shared (Y/N)
- Agency Specific (Lists Agencies)
- Form Version
- Opportunity Announcement Specific
- Activity Specific Lists Activity Code (Inclusion & Exclusion)
- Applies to Single Project, Multi Project or Both
- Applies to Overall, Other Components or Both
- Cross Components (Multi Project Only)
- Validation
- Error Message
- Error/Warning
- Comments
<p>| PHS 398 Research Training Program Plan | Form Version Opportunity Announcement Specific Activity Specific Lists Activity Code (Inclusion &amp; Exclusion) Applies to Single Project, Multi Project or Both Applies to Overall, Other Components or Both Cross Components (Multi Project Only) Validation Error Message Error/Warning Comments |
|----------------------------------------|------------------------------------------------|------------------------------------------------|------------------------------------------------|------------------------------------------------|------------------------------------------------|------------------------------------------------|------------------------------------------------|
| Plan for Instruction in Methods for Enhancing Reproducibility | 014.1 7.3 | N | N | Incl: NIH | Incl: D 43, T15, T32/TL 1, T34/TL 4, T35, T36, T37, T90/R 90, K12/K L2, KM1, U2R | Both | Both | N | Provide an error if the page limit is more than 3 for Plan for Instruction in Methods for Enhancing Reproducibility. The Plan for Instruction in Methods for Enhancing Reproducibility attachment on the PHS 398 Research Training Program Plan is limited to 3 pages. | E | New Rule August 2020 Release |</p>
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Progress Report is required when a submission is a resubmission of a renewal. Resubmission of Renewal: Last submission would be a type 2
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<td>Incl: T01, T02, T03, T14, T42, T90, T90/R</td>
<td>Required if multiple PD/PIs are included with the submission</td>
<td>The Multiple PD/PI Leadership Plan attachment must be included if multiple Senior/Key entries with the PD/PI role have been included on the Senior/Key Person Profile form.</td>
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<td>Overall</td>
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<td>Return error if Leadership Plan is included and there is only one</td>
<td>For multiple PD/PI applications, be sure to mark each PD/PI with a project role of PD/PI on the Senior/Key Person Profile form. If not intending to submit a multiple PD/PI</td>
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<td>Warning if not included</td>
<td>The Participating Faculty Biosketches attachment should be included for this application.</td>
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<td>Update to existing rule (removed KM1)</td>
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**Update to existing rule (removed KM1)**
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<td>Limited to 10 appendixes</td>
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<td>Incl: V5.0</td>
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<td>Attachmen t is required according to the Opportunity Announcement and the 'DMS Plan' flag value = Required or Required, Data Sharing Focus</td>
<td>E</td>
<td>The &quot;Data Management and Sharing Plan&quot; attachment must be included for this application</td>
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<td>New Rule August 2022 Release</td>
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<td>The 'DMS Plan' Attachment cannot be provided if the 'DMS Plan' flag value = Not Applicable</td>
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<td>The &quot;Data Management and Sharing Plan&quot; attachment cannot be submitted for this application</td>
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<td>New Rule August 2022 Release</td>
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## PHS 398 Training Budget

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<td>Unless specifically stated, all project budget validations also apply to the subaward budget.</td>
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The budget marked as 'Project' must contain the UEI number for the component organization on the 424 RR Cover.
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<td>Budget marked as ‘Subaward’ cannot contain UEI for the component application organization on the 424 RR Cover.</td>
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<td>The Name of Organization is required for &lt;DUNS&gt;.</td>
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<td>Only one budget with a budget type of ‘Project’ may be submitted for the application.</td>
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<td>For &lt;Organization name&gt; for budget period &lt;Budget Year&gt;, the start date for new and resubmission applications must be the same as the proposed project start date listed on the SF 424 RR Cover.</td>
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<td>For budget years after budget year 1, must be greater than or equal to the Proposed Project Start Date listed on the SF 424 RR Cover.</td>
<td>For &lt;Organization name&gt; budget for budget period &lt;Budget Year&gt;, the start date should be the same or later than the proposed project start date listed on the SF 424 RR Cover.</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, both listed on the component SF 424 RR. For &lt;Organization name&gt; budget for budget period &lt;Budget Year&gt;, the end date must be later than the budget start date and less than or the same as the proposed project end date listed on the SF 424 RR Cover. E</td>
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<td>015.7.1</td>
<td>Incl: V1.0</td>
<td>Provide error if Number of Full time and/or short term undergraduate trainees is not provided (0 or NULL). For &lt;Organization name&gt; for budget period &lt;Budget Year&gt;, the number of Full time and/or Short term Undergraduate trainees is required. E</td>
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<td>Provide error if number of undergrad full-time, 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, is greater than 0 and total stipends requested total is not for &lt;Organization name&gt; for budget period &lt;Budget Year&gt;, if number of Trainees information is then corresponding Stipends Requested information must also be included.</td>
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## SBIR/STTR Form

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If DOE or USDA checked, trigger error
DOE and USDA are not valid agency selections for this Opportunity Announcement.

Provide warning if an application type other than Direct Phase II is selected when applying to a Direct Phase II Opportunity Announcement, but a selection other than Direct Phase II has been made.

Check Opportunity Announcement to verify Direct Phase II is a valid application type selection.
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<td>SBIR/STTR</td>
<td>7. Does the application include a request of SBIR or STTR funds for Technical and Business</td>
<td>023.2 0.11</td>
<td>N</td>
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majority owned by venture capital operating companies, hedge funds, or private equity firms.
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<td>Assistance (TABA)?</td>
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<td>the user did not enter a value for &quot;Technical Assistance&quot; in section F &lt;Other 1-10&gt; on the detailed budget form, then validation will be triggered.</td>
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<td>SBIR/STTR (NIH)</td>
<td>Commercialization plan</td>
<td>023.2 0.12</td>
<td></td>
<td>A Commercialization Plan should not be submitted for Phase I applications unless the phase 1 is for DOE</td>
<td>E</td>
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<td>Incl: NIH, CDC, FDA, AHRQ, VA, USU</td>
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<td>Have you received SBIR Phase II awards from the Federal Government? Company Commercialization History</td>
<td>023.2 0.13</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
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<td>SBIR/S TTR (NIH)</td>
<td>Will the Project Director/Principal Investigator have his/her primary employment with the small business at</td>
<td>023.2 0.14</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
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<td>award?</td>
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<td>SBIR/S</td>
<td>Please indicate</td>
<td>023.2 0.15 N N</td>
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<td>STTR (NIH)</td>
<td>whether the</td>
<td>Incl: NIH, CDC,</td>
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<td></td>
<td>answer to BOTH</td>
<td>FDA, AHRQ, VA,</td>
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<td></td>
<td>of the following questions is TRUE: (1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor)</td>
<td>USU</td>
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<td>10(1) and 10(2) are not provided when program type is “STTR” or “Both”</td>
<td>Incl: R41, R42, UT1, UT2, R43, R44, U43, U44, SB1, UB1</td>
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<td>In the joint research and development proposed in this project, does the small business</td>
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<td>Provide DUNS Number of non-profit research</td>
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<td>N</td>
<td>N</td>
<td>Incl: NIH, CDC, FDA, AHR Q, VA, USU</td>
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</table>

perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?

proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?** is not provided when program type selected is STTR or Both.
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<th>Applies to Overall, Other Components or Both</th>
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<th>Error Message</th>
<th>Error / Warning</th>
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<td>Incl: R41, R42, UT1, UT2</td>
<td>Single</td>
<td>Overall</td>
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<td>Provide error if the UEI# on &quot;+a/the+&quot; subaward budget form does not match the UEI# provided. <strong>Note</strong>: There may be multiple Subaward budget forms. Must match one.</td>
<td>The UEI provided in the SBIR/STTR form does not match the UEI provided on any Subaward/Consortium budget form.</td>
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<td>Single Overall N</td>
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<td>New rule January 14,2016 Release, Update to Existing Rule (added F99/K00)</td>
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- Validation: Indicates whether the rule is mandatory (Y) or shared (N).
- Error Message: Describes the error or warning message associated with the rule.
- Error/Warning: Flags the type of issue (E for Error, W for Warning).
- Comments: Additional notes or updates related to the rule.
<p>| Form                  | Field                                      | Rule # | Mandatory (Y/N) | Shared (Y/N) | Agency Specific (Lists Agencies) | Form Version | Opportunity Announcement Specific | Activity Specific Lists Activity Code (Inclusion &amp; Exclusion) | Applies to Single Project, Multi Project or Both | Applies to Overall, Other Components or Both | Cross Components (Multi Project Only) | Validation | Error Message | Error/Warn ing | Comments |
|----------------------|--------------------------------------------|--------|-----------------|--------------|----------------------------------|--------------|-----------------------------------|-------------------------------------------------|------------------------------------------------|-----------------------------|-----------------------------|-----------------------------|------------|---------------|-----------------|----------|
| PHS Fellowship Supp. Form | Research Strategy                          | 024.4  | N               | N             |                                  |              |                                   | Fi2, F99/K00                                         |                                               |                                            |                            |             | 14,2016 Release, Update to Existing Rule (added F99/K00) |           |               |
| PHS Fellowship Supp. Form | Research Plan Attachments: Progress Report Publication List | 024.5  | N               | N             |                                  |              |                                   |                                                   |                                               |                                            |                            |             |               |                |          |
| PHS Fellowship Supp. Form | Human Subjects Involved? (Y/N)             | 024.7  | N               | N             | Excl: VA                         | Excl: V4.0  |                                   | Incl: F05, F30, F31, F32, F33, F37, F38, F12, F99/K00 | Single Overall                                           |                                            |                            |             |               |                |          |
| PHS Fellowship Supp. Form | Human Subjects Involvement Indefinite (Y/N) | 024.7  | N               | N             | Excl: VA                         | Excl: V4.0  |                                   | Incl: F05, F30, F31, F32, F33, F37, F38, F12, F99/K00 | Single Overall                                           |                                            |                            |             | An answer to Human Subjects Involvement Indefinite question must be answered if the answer to Human Subjects Involved is &quot;Yes&quot; on the Other Project Information. | E        | New rule Januar y 14,2016 Release, Update to |          |</p>
<table>
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Existing Rule (added F99/K00)

New rule

Januar y 14,2016 Release, Update to Existing Rule (added F99/K00)
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<td>The Human Subjects Clinical Trial question must be answered if the answer to ‘Human Subjects Involved’ on the Other Project Information page is “Yes”.</td>
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<td>The Human Subjects NIH-Defined Phase III Clinical Trial must be “No” if the answer to the Human Subjects Clinical Trial question is “No”</td>
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<td>Excl: V4.0</td>
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<td>Vertebrate Animals Use Indefinite (Y/N)</td>
<td>024.1 4.1</td>
<td>N N</td>
<td>Excl: VA</td>
<td>Excl: V4.0</td>
<td>Incl: F05, F30, F31, F32, F3 3, F37, F38, F12, F99/K 00</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>An answer to Animals Use Indefinite question must be answered if the answer to Vertebrate Animals is ‘Yes’.</td>
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<td>Applies to Single Project, Multi Project or Both</td>
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<td>Used is ‘Yes’</td>
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<td>The Vertebrate Animals Use Indefinite question cannot be marked ‘Yes’ if the answer to Vertebrate Animals Used is ‘No’.</td>
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<td>The Respective Contributions attachment is limited to one (1) page</td>
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Releases, Update to Existing Rule (added F99/K00)
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<td>If HESC involved='Y', 'can't be referenced' checkbox must be selected or cell line(s) must be provided (not both)</td>
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<td>PHS Fellowship Supp. Form</td>
<td>HESC 'can't be referenced' checkbox</td>
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<td>If the answer to 'HESC involved' is &quot;Yes&quot;, HESC Cell Lines must be included or the 'Can't be Referenced' checkbox must be checked.</td>
<td>E</td>
<td>New rule</td>
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<td>If the answer to 'HESC involved' is &quot;No&quot;, HESC Cell Lines may not be included and the 'Can't be Referenced' checkbox must not be checked.</td>
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<td>New rule</td>
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New rule
January 14, 2016 Release, Update to Existing Rule (added F99/K0 0)
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<th>Form Versi on</th>
<th>Opportuni ty Announce ment Specific</th>
<th>Activity Specifi c Lists Activity Code (Inclusi on &amp; Exclusi on)</th>
<th>Appli es to Singl e Proje ct, Multi Proje ct or Both</th>
<th>Applies to Overall, Other Compon ents or Both</th>
<th>Cross Compon ents (Multi Project Only)</th>
<th>Validation</th>
<th>Error Message</th>
<th>Error/ Warn ing</th>
<th>Comments</th>
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<td>PHS Fellowship Supp. Form</td>
<td>HESC Cell Lines</td>
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<td>Incl: F05, F30, F31, F32,F33, F37, F38, F12, F99/K00</td>
<td>Incl: Singl e Overall N</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. Compariso n should not be case-sensitive.</td>
<td>Stem cell line &lt;cell line number&gt; 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>E</td>
<td>New rule</td>
<td></td>
<td>Januar y 14,2016 Releas e, Update to Existing Rule (added F99/K00)</td>
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<td>PHS Fellowship Supp. Form</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Fellowship Applicant: degree sought, degree</td>
<td>024.25</td>
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<td>Fellowship Applicant: degree sought, other, degree type</td>
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**Rule Categories**

- **Mandatory (Y/N)**
- **Shared (Y/N)**
- **Agency Specific (Lists Agencies)**
- **Form Version**
- **Opportunity Announcement Specific**
- **Activity Specific Lists Activity Code (Inclusion & Exclusion)**
- **Applies to Single Project, Multi Project or Both**
- **Applies to Overall, Other Components or Both**
- **Cross Components (Multi Project Only)**
- **Validation**
- **Error Message**
- **Error/Warn**
- **Comments**

**Activity Specific Lists Activity Code (Inclusion & Exclusion):**
- Incl: F05, F30, F31, F32, F33, F37, F38, F39, F99/K00

**Applies to Single Project, Multi Project or Both:**
- 024.24

**Applies to Overall, Other Components or Both:**
- 024.25

**Cross Components (Multi Project Only):**
- N

**If "other degree" is selected (Other Degree(s): MOTH: Other Masters Degree, DOTH: Other Doctorate, MDOTH: Other Doctor of Medical Dentistry, MDOT: Other Doctor of Medicine, VDOT: Other Doctor of Veterinary Medicine, OTH: Other), the degree:**
- If one of the “Other Degree(s)” is selected, indicate the Degree Type.

**New rule:**
- E: New rule

**January 14, 2016 Release:**
- Update to Existing Rule (added F99/K00)
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<td>If “other degree” is not selected, the degree type must not be provided</td>
<td>‘Other Degree Type’ must not be provided if the degree selected is not one listed under ‘Other Degree(s)’.</td>
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<td>Provide error if degree date is not in the format of MM/YYYY.</td>
<td>The Degree Sought Expected Completion Date must be in MM/YYYY format.</td>
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<td>Fellowship Applicant: current or prior Kirschstein -NRSA support (y/n)?</td>
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<td>Incl: F05, F30, F31, F32, F3 3, F37, F38, F12, F99/K 00</td>
<td>Singl e</td>
<td>Overall</td>
<td>N</td>
<td>If 'Yes' is selected on' Current or Prior Kirschstein -NRSA support', one level and type is required on the same row of the grid and at least one row of the grid.</td>
<td>At least one entry for Current or Prior Kirschstein-NRSA support information is required.</td>
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<td>New rule</td>
<td>January 14,2016 Release, Update to Existing Rule (added F99/K00)</td>
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**Form: PHS Fellowship Supp. Form**

**Rule #:** 024.3 5

**Mandatory (Y/N):** N

**Shared (Y/N):** N

**Agency Specific (Lists Agencies):**

- Incl: F05, F30, F31, F32, F33, F37, F38, F12, F99/K00

**Form Version:** V2.0

**Opportunity Announcement Specific:**

- Single

**Activity Specific Lists Activity Code (Inclusion & Exclusion):**

- Incl: F05, F30, F31, F32, F33, F37, F38, F12, F99/K00

**Applies to Single Project, Multi Project or Both:**

- Applies to Overall, Other Components or Both

**Cross Components (Multi Project Only):**

- If ‘Yes’ selected for Concurrent Support, the Application for Concurrent Support attachment is required

**Validation:** N

**Error Message:** An Application Concurrent Support attachment must be included.

**Comments:**

- New rule
  - January 14, 2016 Release, Update to Existing Rule (added F99/K00)

**Form: PHS Fellowship Supp. Form**

**Rule #:** 024.3 6.1

**Mandatory (Y/N):** N

**Shared (Y/N):** N

**Agency Specific (Lists Agencies):**

- Incl: F05, F30, F31, F32, F33, F37, F38, F12, F99/K00

**Form Version:** V3.1

**Opportunity Announcement Specific:**

- Single

**Activity Specific Lists Activity Code (Inclusion & Exclusion):**

- Incl: F05, F30, F31, F32, F33, F37, F38, F12, F99/K00

**Applies to Single Project, Multi Project or Both:**

- Applies to Overall, Other Components or Both

**Cross Components (Multi Project Only):**

- Limited to 1 page

**Validation:** N

**Error Message:** The Goals for Fellowship Training and Career attachment is limited to one (1) page.

**Comments:**

- Updated to Exclude version 4.0
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<td>Limited to 1 page</td>
<td>The Activities planned under this Award attachment is limited to one (1) page.</td>
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<td>Overall</td>
<td>Warning if the doctoral dissertation and other research experience attachment is not included</td>
<td>Warning if the doctoral dissertation and other research experience attachment is not included</td>
<td>The Doctoral Dissertation And Other Research Experience should be included with this application.</td>
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<td>Updated to exclude version 4.0</td>
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<td>Limited to 2 pages</td>
<td>The Doctoral Dissertation And Other Research Experience attachment is limited to two (2) pages.</td>
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<td>024.4 0.1</td>
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<td>&quot;Non-US Citizen with temporary U.S. visa&quot; is not a valid selection for all F application s except</td>
<td>&quot;Non-US Citizen with temporary U.S. visa&quot; is not a valid selection for all F application s except</td>
<td>&quot;Non-US Citizen with temporary U.S. visa&quot; is not a valid selection for this application.</td>
<td>E</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Citizenship: If no, select most appropriate Non-U.S. Citizen Option</td>
<td>024.4 0.3</td>
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<td>N</td>
<td>Incl: NIH, AHRQ, USU</td>
<td>Excl: V2.0</td>
<td>Single</td>
<td>Overall</td>
<td>N</td>
<td>Required if ‘No’ is selected as the answer to the ‘U.S. Citizen or Non-Citizen National’ question on the Fellowship form.</td>
<td>F05 (Fogarty)</td>
<td>exclude V3.1)</td>
<td>Update to exclude version 4.0</td>
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<td>Forms D, May 2016 Release</td>
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<td>PHS Fellowship Supp. Form</td>
<td>Citizenship: If no, select most appropriate Non-U.S. Citizen Option</td>
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<td>Overall</td>
<td>N</td>
<td>U.S. Citizen or Non-Citizen National should be “No” AND “With a Permanent U.S. Resident U.S. visa” should not be selected for F05 applications.</td>
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<td>Citizenship: If no, select</td>
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<td>N</td>
<td>Only one citizenship option</td>
<td>More than one Non-U.S. Citizen option has been selected. Please review your selections and choose only one option.</td>
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<td>Singl e</td>
<td>Overall</td>
<td>N</td>
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<td>Provide a warning if “Non-U.S. Citizen with a Temporary U.S. visa” is selected and the “If with a temporary U.S. visa who has applied for a permanent resident status and expect to hold a permanent resident visa by the earliest possible start date of the award” is not selected</td>
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<td>You have selected a citizenship choice of “Non-U.S. citizen with a temporary U.S. visa” as your citizenship status. This is not a valid citizenship choice for this application unless you have applied for permanent resident status and expect to hold a permanent resident visa at the time of award.</td>
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Releas e August 8, 2016 Rule Severit y update d to warning from error

Forms D, May 2016 Releas e
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<td>The Name of the Former Institution is required, when the Change of Sponsoring Indicator is selected.</td>
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<td>Update Rule February 2021 Release</td>
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Januar y 14,2016 Release, Update to Existing Rule (added F99/K00)
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<td>Sponsor and Co-Sponsor statements are required</td>
<td>Sponsor and Co-Sponsor statements are required</td>
<td>If None Requested selected on Tuition and Fees, no Funds requested amount should be entered</td>
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<td>Singl e Overall N</td>
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<td>E New rule</td>
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| PHS Fellowship Supp. Form     | Budget: present institutional base salary, amount | 024.4 7.1 | N               | N           | Excl: VA                            | Incl: V2.0    | Incl: F33 Singl e Overall N                              | Base salary, amount should be greater than 0 for F33 | E New rule |
| PHS Fellowship Supp. Form     | Budget: present institutional base salary, academic period | 024.4 8.1 | N               | N           | Excl: VA                            | Incl: V2.0    | Incl: F33 Singl e Overall N                              | A selection is required for F33 | E New rule |
| PHS Fellowship                | Budget: present institutional base | 024.4 9.1 | N               | N           | Excl: VA                            | Incl: V2.0    | Incl: F33 Singl e Overall N                              | Base salary, # of months should be greater | E New rule |</p>
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<td>PHS Fellowship Supp. Form</td>
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<td>The Letters of Support from Collaborators, Contributors, and Consultants attachment should be no more than six (6) pages.</td>
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Januar y 14,2016 Release, Update to Existing Rule (added F99/K00)
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**New Rule**
- Dec 2021 Releas
- Aug 2022 Releas
- New Rule Dec 2021
- New Rule August 2022

**Releas**
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- Share (Y/N)
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- Form Version
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**Rule Categories**

- Mandatory (Y/N)
- Shared (Y/N)
- Agency Specific (Lists Agencies)
- Form Version
- Opportunity Announcement Specific
- Activity Specific Lists Activity Code (Inclusion & Exclusion)
- Applies to Single Project, Multi Project or Both
- Applies to Overall, Other Components or Both
- Cross Components (Multi Project Only)

**Validation**

- Error Message
- Error/Warning
- Comments

- answer to the Clinical Trial question is “No”.
- May 2016 Release (added study title to message)
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**Rule Categories**

- **Rule Categories**
  - Mandatory (Y/N)
  - Shared (Y/N)
  - Agency Specific (Lists Agencies)
  - Form Version
  - Opportunity Announcement Specific
  - Activity Specific Lists Activity Code (Inclusion & Exclusion)
  - Applies to Single Project, Multi Project or Both
  - Applies to Overall, Other Components or Both
  - Cross Components (Multi Project Only)

**Validation**

- Must be equal to funds requested for all indirect cost types for each Budget period.
- Must be equal to funds requested for all indirect cost types for each Budget period.
- On the <Organization name> budget for Budget Period <Budget Year>, the Total Indirect Costs does not equal the sum of individual indirect costs for each indirect cost type.

**Error Message**

- On the <Organization name> budget for Budget Period <Budget Year>, the Total Indirect Costs does not equal the sum of individual indirect costs for each indirect cost type.
- On the <Organization name> budget for Budget Period <Budget Year>, the Total Indirect Costs does not equal the sum of individual indirect costs for each indirect cost type.

- On the <Organization name> budget for Budget Period <Budget Year>, the Total Indirect Costs does not equal the sum of individual indirect costs for each indirect cost type.

**Error Warning**

- E
### PHS Human Subject and Clinical Trial Information

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<td>Involved&quot; question is &quot;No&quot; on the Other Project Information form, and a Study Record or a Delayed Onset Study Record is provided.</td>
<td>Onset Study to the PHS Human Subjects and Clinical Trials Information form, you must answer &quot;Yes&quot; to the question &quot;Are Human Subjects Involved&quot; on the Other Project Information form.</td>
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<td>Provide error if response to &quot;Do you anticipate studies involving human subjects&quot; question is &quot;No&quot; on the Core Form, and a Study Record or Delayed Onset Study Record is provided.</td>
<td>In order to attach a Study Record or Delayed Onset Study to the PHS Human Subjects and Clinical Trials Information form, you must answer &quot;Yes&quot; to the question &quot;Do you anticipate studies involving human subjects&quot; on the Core Form.</td>
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### PHS Human Subject and Clinical Trial Information
#### Add New Delayed Onset Study
- **Anticipated Clinical Trial**
  - **Form Field**: Add New Delayed Onset Study
  - **Rule #:** 034.4 .6
  - **Mandatory (Y/N):** N
  - **Shared (Y/N):** N
  - **Agency Specific (Lists Agencies):** Incl: NIH, AHRQ
  - **Form Version:** CLINICALTRIALCODE = N
  - **Opportunity Announcement or special conditions:** Excl: 333, 666
  - **Activity Specific Lists Activity Code (Inclusion & Exclusion):** Both
  - **Applies to Single Project, Multi Project or Both:** Both
  - **Applies to Overall, Other Components or Both:** Both
  - **Cross Components (Multi Project Only):** N
  - **Validation:** Provide Error if response to "Anticipated Clinical Trial" is checked for at least one delayed onset study when the Opportunity Announcement does not support Clinical Trial.
  - **Error Message:** The 'Anticipated Clinical Trial' box cannot be checked for Delayed Onset Study titled <study title> since this Opportunity Announcement does not allow clinical trials.
  - **Comments:** Updated with U2R 11/20/2020 New Rule October 2017 Release

#### Section 1 – Basic Information
- **1.3 Exemption number**
  - **Form Field**: Section 1 – Basic Information
  - **Rule #:** 034.5 .2
  - **Mandatory (Y/N):** N
  - **Shared (Y/N):** N
  - **Agency Specific (Lists Agencies):** Incl: NIH, AHRQ
  - **Form Version:** CLINICALTRIALCODE = R,O,N,I,B
  - **Opportunity Announcement or special conditions:** Excl: D43, K12, U2R
  - **Activity Specific Lists Activity Code (Inclusion & Exclusion):** Both
  - **Applies to Single Project, Multi Project or Both:** Both
  - **Applies to Overall, Other Components or Both:** Both
  - **Cross Components (Multi Project Only):** N
  - **Validation:** Provide error if Exemption number is not provided when response to "Is this Study Exempt from Federal Regulations" is "Yes".
  - **Error Message:** Exemption number is required for Study Record <Study Title>, since you selected "Yes" to the question "Is this Study Exempt from Federal Regulations".
  - **Comments:** Updated with U2R 11/20/2020 New Rule October 2017 Release
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**Rule to be disabled with Dec 2018 Release**

**New Rule October 2017 Release**
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<td>Provide error if Clinical Trial Study Record or a Delayed Onset with Anticipated Clinical Trial is not provided for a Clinical Trial Opportunity Announcement.</td>
<td>You must answer “Yes” to all questions 1.4a through 1.4d on at least one study record OR provide a Delayed Onset Study with Anticipated Clinical Trial for this Opportunity Announcement.</td>
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Notes:
- E: Error
- Updated with U2R 11/20/2020
- New Rule October 2017 Release
- Updated Rule August 2020 Release
- New Rule December 2017 Release

Updated on 7/10/2020

333 included in Production on 7/10/2020

Updated Rule August 2020 Release

New Rule December 2017 Release
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<td>Provide warning (for Initial Submission) when the CT elements in a study record do not match CT elements from the protocol definition in a trial registered on ClinicalTrials.gov.</td>
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<td>Updated with U2R 11/20/2020 New Rule December 2017 Release</td>
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<td>Provide warning if Exemption 5 is selected by itself or in combination with other exemptions on the Human Subject Clinical Trials form.</td>
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<td>Generate an error if a study record has been created and the response to question 1.4a ‘Does the study involve human participants’ is ‘No’</td>
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<td>Generate an error if the selection of exemption numbers on the study record(s) does not match the exemptions</td>
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<td>Fire an error when a study record indicates that it is not exempt from Federal Regulations and &quot;No&quot; is not selected as the answer for the question &quot;is the project exempt from Federal Regulations?&quot; on the Other Project Information form.</td>
<td>The response to the question &quot;Is the project exempt from Federal regulations?&quot; on the Other Project Information form is &quot;Yes&quot;, but for Study Title &lt;study record&gt; the answer provided for &quot;Is this Study Exempt from Federal Regulations?&quot; was &quot;No&quot;. If an individual study record is not exempt from Federal Regulations,</td>
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<td>Provide error for a Human Subject and Clinical Trial Study Record if &quot;Condition or Focus of Study&quot; is not provided and HS=Yes and Exempt from federal regulations is No, OR &quot;Condition or Focus of Study&quot; is not provided and HS=Yes and Exempt from federal regulations is Yes and exemption 4 plus other exemption(s) are selected, OR &quot;Condition or Focus of Study&quot; is not</td>
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<td>Provide error for a Human Subject and Clinical Trial Study Record if “Eligibility Criteria” is not provided and HS=Yes and Exempt from federal regulations is No, OR “Eligibility Criteria” is not provided and HS=Yes and Exempt from federal regulations is Yes and exemption 4 plus other exemption(s) are selected, Eligibility Criteria is required for study titled &lt; Study Title&gt;.</td>
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<td>Provide error for a Human Subject and Clinical Trial Study Record if Minimum Age limit is not provided, the selection is not NA and HS=Yes and Exempt from federal regulations is No. OR &quot;Minimum Age&quot; is not provided and HS=Yes and Exempt from federal regulations is Yes and any exemption except 4 is selected</td>
<td>Minimum Age is required for study titled &lt;Study Title&gt;</td>
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<td>Provide error if N/A (No limits) has been selected as Minimum Age unit and a number for Minimum Age is provided and HS=Yes and Exempt from federal regulations is No, OR &quot;N/A (No limits) has A number for Minimum Age cannot be provided on Study titled &lt;study title&gt; since N/A (No limit) has been selected as the unit of a time.</td>
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- been selected as Minimum Age unit and a number for Minimum Age is provided and HS=Yes and Exempt from federal regulations is Yes and exemption 4 plus other exemption(s) are selected, OR " N/A (No limits) has been selected as Minimum Age unit and a number for Minimum Age is provided and HS=Yes and Exempt from federal regulations is Yes and any exemption except 4 is selected.
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Recruitment and Retention Plan attachment is required for study titled '< Study Title>'.
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Updated trigger – October 2018 Release

Updated Rule February 2021 Release

Updated with U2R 11/20/2020
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<td>If &quot;Using an Existing Dataset or Resource&quot; is &quot;Yes&quot;, &quot;Cumulative Counts&quot; must be greater than zero OR &quot;Comment&quot; must be provided.</td>
<td>For study titled &lt;study title&gt;, IER &lt;number&gt;, if using an existing dataset or resource, cumulative counts for racial and ethnic categories must be greater than zero.</td>
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<td>For study titled &lt;study title&gt;, IER &lt;number&gt; you have only included &quot;unknown/not reported&quot; counts for racial and ethnic categories. Since you have selected &quot;yes&quot; to existing dataset or resource, you must indicate male and/or female counts for these categories.</td>
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Note: Conduct non-exempt human subjects research at more than one domestic site? is not provided.

**PHS Huma n Subjec t and Clinica l Trial Information Section 3 – Protection and Monitoring Plans**

3.2 Is this a multi-site study that will use the same protocol to conduct non-exempt human subjects research at more than one domestic site?

Provide error if N/A is selected in response to the Multi Site Study Protocol question when the response to question 1.2a is “No” (is this study exempt from Federal Regulations? )

A response of N/A to the Multi Site Study Protocol question on study titled <study title> is valid only when the study is exempt from Federal Regulations (Question 1.2a = yes).

Updated with U2R 11/20/2020

Updated Rule February 2020 Release

New Rule October 2017 Release
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<td>Since you answered Yes to the question regarding multi-site studies, a single IRB plan attachment is required for study titled &lt;Study Title&gt;</td>
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<td>Provide error for a Clinical Trial Study if Data and Safety Monitoring Plan is not provided</td>
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<td>For study titled &lt;Study Title&gt;, a response to the question, “Will a Data and Safety Monitoring Board be appointed for this study?” is required since you answered “Yes” to questions 1.4.a-1.4.d in the Clinical Trial Questionnaire.</td>
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<td>For study titled &lt;study title&gt;, a brief summary of the protocol cannot be provided since you did not answer “Yes” to questions 1.4.a-1.4.d in the Clinical Trial Questionnaire .</td>
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For study titled {0}, a Detailed Description cannot be provided since you did not answer "Yes" to questions 1.4.a-1.4.d in the Clinical Trial Questionnaire.

For study titled {0}, a Detailed Description cannot be provided since this Opportunity Announcement does not allow independent clinical trials.

Study Record fields in Sections IV and V are blocked for studies which do not involve clinical trials.

New Rule October 2017 Release

Updated error message October 2021 Release

Updated with U2R 11/20/2020

Updated Rule February 2020 Release
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*New Rule October 2017 Release*

*Updated with U2R 11/20/2020*

*Study Record fields in Sections IV and V are required for studies involving independent clinical trials (unless CLINICALTRIALCODE = I).*

*New Rule*
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Updated with U2R 11/20/2020

Study Record fields in Sections IV and V are required for studies

“Yes” to questions 1.4.a-1.4.d in the Clinical Trial Questionnaire.

New Rule October 2017 Release

do not involve clinical trials.

New Rule October 2017 Release

PHS Human Subject and Clinical Trial Information

Section 4 – Protocol Synopsis

4.2.g Allocation

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F05, F30, F31, F32, F33, F37, F38, F12, F99/K00

Incl K’s:

K01,K02, K05, K07, K08, K18, K22, K23, K24,K25, K26, K99/R00,K76, K43,K38

Single Overall N

Provide error if Allocation is provided

For study titled <study title> Allocation cannot be provided since the Opportunity Announcement does not allow independent clinical trials.

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Study Record fields in Sections IV and V are blocked for F and K applications to Clinical Trial Not Allowed Opportunity Announcements.

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PHS Human Subject and Clinical Trial

Section 4 – Protocol Synopsis

4.3 Outcome Measures

CLINICALTRIALCODE = R,O,B

Excl:D43, K12, U2R

Both Both N

Provide error for a Study Record if at least one Outcome Measure is

For study titled <study title> at least one Outcome Measure is required since you answered “Yes” to

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Updated with U2R 11/20/2020

Study Record fields in Sections IV and V are required for studies

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Updated with U2R 11/20/2020

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Note: "E" indicates that the rule is updated with U2R 11/20/2020.
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New Rule October 2017 Release

Study Record fields in Sections IV and V are blocked for studies which do not involve clinical trials.
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Study Record fields in Sections IV and V are blocked for studies which do not involve clinical trials.

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<td>For study titled &lt;study title&gt;, the Availability of Investigational Product (IP) and Investigational New Drug (IND)/Investigational Device Exemption (IDE) status attachment must be provided since you answered “Yes” to questions 1.4.a-1.4.d in the Clinical Trial Questionnaire.</td>
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<td>Both Both N</td>
<td></td>
<td>Provide error if the study is NOT Clinical Trial and Other Clinical Trial-related attachments are provided.</td>
<td>Study titled &lt;study titled&gt; is not a Clinical Trial and cannot have clinical trial-related attachments.</td>
<td>E</td>
<td></td>
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<tr>
<td>Form</td>
<td>Field</td>
<td>Rule #</td>
<td>Rule Categories</td>
<td>Validation</td>
<td>Error Message</td>
<td>Error/Warn</td>
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<tr>
<td>PHS</td>
<td>Section 5 – Other Clinical Trial Related Attachment s</td>
<td>034.9.2</td>
<td>N</td>
<td>N</td>
<td>Incl: NIH, AHRQ</td>
<td>Excl:D43, K12, U2R</td>
<td>Both</td>
<td>Both</td>
<td>N</td>
<td>Provide error if more than ten Clinical Trial-related attachments are provided for the study</td>
<td>No more than 10 Clinical Trial-related attachment are allowed for Study titled &lt;study title&gt;</td>
<td>Updated with U2R 11/20/2020 Study Record fields in Sections IV and V are required for studies involving independent clinical trials (unless CLINICALTRIALCODE = I).</td>
<td>New Rule October 2017 Release</td>
<td></td>
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</table>
### SF-424 Application for Federal Assistance (Use only for non-research ONLY)

<p>| Form | Field | Rule#   | Mandat ory (Y/N) | Shar ed (Y/N) | Agency Specific (Lists Agencies) | Form Versi on | Opportunit y Announcement Specific | Activity Specific Lists Activity Code (Inclusi on &amp; Exclusi on) | Applies to Single Project, Multi Project or Both | Applies to Overall, Other Compone nts or Both | Cross Compone nts (Multi Project Only) | Validation | Error Message | Error/ Warni ng | Comment s |
|------|-------|--------|-----------------|-------------|---------------------------------|---------------|--------------------------------|---------------------------------|---------------------------------|----------------|----------------|----------------|------------|---------------|----------------|----------|
| SF 424 | 000.3 2 | Y | N | Incl: SAMHS A | Single | Overall | N | For Non-Research applications, a error is generated when a Post Award Action is submitted and does not contain the recommended set of forms. | The Post Award Amendments application you are submitting does not contain the full set of forms recommended by the agency guidance. Please review the guidance for additional information. | E | August 2016 Release SAMHSA Post Award Amendments |
| SF 424 | 025.1 1 | N | N | Incl: SAMHS A | Single | | | Do not accept ‘Application’ submission type if there is an associated prior successful submission. (exclude Revision Type of application) | This application has been identified as a duplicate of a previous submission. The ‘Type of Submission’ should be set to Changed/Corrected if you are addressing errors/warnings. | E | New rule |
| SF 424 | 025.1 2 | N | N | Incl: SAMHS A | Single | | | | | | | | | | | |</p>
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<th>Shared (Y/N)</th>
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<th>Form Version</th>
<th>Opportunity Announcement Specific</th>
<th>Activity Specific Lists Activity Code (Inclusion &amp; Exclusion)</th>
<th>Applies to Single Project, Multi Project or Both</th>
<th>Applies to Overall, Other Components or Both</th>
<th>Cross Components (Multi Project Only)</th>
<th>Validation</th>
<th>Error Message</th>
<th>Error/Warning</th>
<th>Comment</th>
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<td>SF 424</td>
<td>1.Type of Submission: Pre-application, Application, Change/Corrected</td>
<td>025.1.3</td>
<td>N</td>
<td>N</td>
<td>Incl: SAMHS A</td>
<td>V 2.1</td>
<td>Single</td>
<td>Do not accept changed/corrected application if the original application has been verified and not withdrawn</td>
<td>Your application has already been submitted for processing by Federal agency staff and can no longer be changed through the electronic submission process.</td>
<td>E</td>
<td>New rule</td>
<td></td>
<td></td>
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<tr>
<td>SF 424</td>
<td>1.Type of Submission: Pre-application, Application, Change/Corrected</td>
<td>025.1.4</td>
<td>N</td>
<td>N</td>
<td>Incl: SAMHS A</td>
<td>V 2.1</td>
<td>Single</td>
<td>Do not accept &quot;Changed/Corrected&quot; submission type for Type 6 (Non-Research Amendment) applications.</td>
<td>You selected Revision as the 'Type of Application' which indicates that this is a Post Award Amendment request. Change/Corrected is not a valid 'Type of Submission' for Post Award Amendment requests. Please use Application for the 'Type of Submission'.</td>
<td>E</td>
<td>New Rule October 2016 Release</td>
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<td>025.1.6</td>
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<td>N</td>
<td>Incl: SAMHS A, USU</td>
<td>V 2.1</td>
<td>Single</td>
<td>Do not accept 'Application' Type 3 Admin Supplement submission type if there is a prior successful submission that is in the same Shell record.</td>
<td>This application has been identified as a duplicate of a previous submission. Only one Admin Supplement application is allowed.</td>
<td>E</td>
<td>New Rule October 2019 Release</td>
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<td>Applies to Overall, Other Components or Both</td>
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<td>Error/Warning</td>
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<td>SF 424</td>
<td>2. Type of Application: New, Continuation, Revision</td>
<td>025.2.1</td>
<td>N</td>
<td>N</td>
<td>Incl: SAMHSA</td>
<td>V2.1</td>
<td>Single</td>
<td></td>
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<td></td>
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<td></td>
<td>For Non-Research Applications, reject Non-Competing Continuations (Type 5) and treat Competing Continuations as Renewals (Type 2). Determination of Type 5 vs Type 2 Type 5: If the budget period start date and end date is within the project period of the previous awarded grant, it is a Type 5 application. Type 2: If the budget period start date and end date is after the project period end date of the previous awarded grant, it is a Type 2 application.</td>
<td>Submissions for non-competing continuations are not supported at this time. Please contact the Federal Agency for further information on how to submit your continuation application.</td>
<td>E</td>
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<td>Opportunit y Announce ment Specific</td>
<td>Activity Specific Lists Activity Code (Inclusi on &amp; Exclusi on)</td>
<td>Applies to Singl e Project, Multi Proje ct or Both</td>
<td>Applies to Overall, Other Compone nts or Both</td>
<td>Cross Compone nts (Multi Project Only)</td>
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<td>Error/ Warni ng</td>
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<td>SF4 24</td>
<td>2. Type of Application: New, Continuation, Revision</td>
<td>025.2.2</td>
<td>N</td>
<td>N</td>
<td>Incl: SAMHS A</td>
<td>V2.1</td>
<td>Excl: 334</td>
<td>Singl e</td>
<td>Trigger rule if application type is ‘Revision’ AND activity code ≠ 666 (Post Award Amendments)</td>
<td>Request to increase award is not accepted at this time. Please contact your grants management specialist.</td>
<td>E</td>
<td>Updated Rule October 2019 Release</td>
<td>New Rule October 2016 Release</td>
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</tr>
<tr>
<td>SF4 24</td>
<td>Type of Application: New, Continuation, Revision</td>
<td>025.2.3</td>
<td>N</td>
<td>N</td>
<td>Incl: NOA A, NIST</td>
<td></td>
<td>Singl e</td>
<td>Generate an error if user selects anything besides ‘New’</td>
<td>“New” is the only application type acceptable for this agency.</td>
<td>E</td>
<td>New Rule February 2023 Release</td>
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<tr>
<td>SF 424</td>
<td>If Revision, select appropriate letter(s):</td>
<td>025.3.1</td>
<td>N</td>
<td>N</td>
<td>Incl: SAMHS A</td>
<td>V 2.1</td>
<td>Singl e</td>
<td>If Revision type of application, the letter selection is mandatory</td>
<td>A Letter selection is required if Type of Application is Revision.</td>
<td>E</td>
<td>New rule</td>
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<td>SF 424</td>
<td>Other (Specify)</td>
<td>025.4.1</td>
<td>N</td>
<td>N</td>
<td>Incl: SAMHS A</td>
<td>V 2.1</td>
<td>Singl e</td>
<td>If E. Other is checked, this component should be provided.</td>
<td>The Other (specify) field should be provided if E. Other is checked.</td>
<td>W</td>
<td>New rule</td>
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<td>N</td>
<td>N</td>
<td>Incl: SAMHS A</td>
<td></td>
<td>Singl e</td>
<td>If “E. Other” is checked and Type of application is post award amendment (Type 6), the amendment name provided in the “Other(Specify)” field should be valid. If not exact match, it</td>
<td>The Post Award Amendment name provided in the “Other(Specify)” section, is not a valid Name. Please choose a valid name.</td>
<td>E</td>
<td>New Rule October 2016 Release</td>
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<td>SF 424</td>
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<td>SF 424</td>
<td>4. Applicant Identifier:</td>
<td>025.6.1</td>
<td>Single</td>
<td>Applicant Identifier is required</td>
<td>E New Rule October 2017 Release</td>
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<td>SF 424</td>
<td>4. Applicant Identifier:</td>
<td>025.6.2</td>
<td>Single</td>
<td>If Applicant Identifier is specified, it must be a valid Commons account.</td>
<td>E New Rule October 2017 Release</td>
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<td>SF 424</td>
<td>4. Applicant Identifier:</td>
<td>025.6.3</td>
<td>Single</td>
<td>Check the SF424 Non-Research form for an existence of a Commons ID. If one exists but does not have a PI role or is not affiliated with organization of application then generate an error.</td>
<td>E Updated Rule April 2023 release</td>
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**Rule Categories**

- **Mandatory (Y/N)**
- **Shared (Y/N)**
- **Agency Specific (Lists Agencies)**
- **Form Version**
- **Opportunity Announcement Specific**
- **Activity Specific Lists Activity Code (Inclusion & Exclusion)**
- **Applies to Single Project, Multi Project or Both**
- **Applies to Overall, Other Components or Both**
- **Cross Components (Multi Project Only)**

**Error/Warning**

- Should be rejected.
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<td>SF 424</td>
<td>4. Applicant Identifier:</td>
<td>025.6.6</td>
<td>N</td>
<td>has the PD/PI role. Once this is done, please reach out to the Grants Management point of contact listed on the Opportunity Announcement Part I. They will ensure that the application is properly linked to the PD/PI Commons account.</td>
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<td>SF 424</td>
<td>5a. Federal Entity Identifier:</td>
<td>025.7</td>
<td>N</td>
<td>The Commons account provided in the Applicant Identifier field for the PD/PI is either not affiliated with the applicant organization or does not hold the PI role. Check with your Commons Account Administrator to make sure your account affiliation and roles are set-up correctly.</td>
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<td>State Use Only:7. State Application Identifier:</td>
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<td>application matches the UEI used in both Grants.gov and the eRA Commons.</td>
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<td>Province is required if country is Canada.</td>
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**Rule Categories**

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**Validation**

 Must be a valid congressional district code (after truncating). Truncation logic: Parse from left to right, and take the first two digits encountered, skipping congressional district <Congressional District> is invalid. To locate your district, visit http://www.house.gov/ If the applicant organization is a foreign institution, refer to the

**Comments**

New rule
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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.

Must be a valid congressional district code (after truncating). Truncation logic: Parse from left to right.

Congressional district <Congressional District> is invalid. To locate your district, visit http://www.house.gov/ If the applicant

application guide for instructions.
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- 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.
- Organization is a foreign institution, refer to the application guide for instructions.
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herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) ** I AGREE

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**Validation**

- **Error Message**: Must contain a '@', with at least 1 and at most 60 chars preceding and following the '@'.

- **Error/Warning**: The submitted e-mail address for the Authorized Representative[0], is invalid. Must contain a '@', with at least
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**Rule Categories**

- **Validation**
- **Error Message**
- **Error/Warning**
- **Comment**

Characters (ASCII 0 through 31 and 127), spaces and special char < > ( ) \ [ ] , ; : are not valid.

1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) \ [ ] , ; : are not valid. The Person to be contacted email address also provided on the SF 424 will be used instead.

Check if the AOR email entered matches to an SO user for that organization.

The email address entered for the Authorized Representative in section 21 of the SF-424 does not correspond to any Signing Officials (SO) registered in eRA Commons for this organization. Please review the information provided and ensure that the individual has the SO role. Resources for creating/adding the SO role: [Managing eRA User Accounts](#) and [H]

New Rule SVS-3313 April 2023 release
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Comment:

- **How to Change the SO/BO on a Grant Record:**
- **SF 424 Authorized Representative: Fax Number:**
- **SF 424 Authorized Representative: Signature of Authorized Representative:**
- **SF 424 Authorized Representative: Date Signed:**
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<th>Error Message</th>
<th>Error/ Warnin g</th>
<th>Commen ts</th>
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**Validation**

- **Error Message:**
  - Provide error if Indirect Charges Total is not equal to Indirect Charges amount(s) line 1 thru 4.
  - The Total for Indirect Charges does not equal the sum of Indirect Charges amount(s) (line 1 through 4) provided.

**Error/ Warning**

- W New Rule
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<td>Provide error if Totals total sum is not equal to Section A New or Revised Budget Non-Federal Totals (f-5)</td>
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<td>The Total for Non-Federal Resources for Totals (e) column does not equal the sum of Section A, New or Revised Budget Non-Federal Totals (f-5).</td>
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<td>Provide error if Federal Total for 1st year is not equal to sum of Federal 1st Quarter + Federal 2nd Quarter + Federal 3rd Quarter + Federal 4th Quarter.</td>
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<td>I grants and changes to existing grants this warning may not apply; follow agency guidance.</td>
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<td>The Federal Total for 1st year, in Section D - Forecasted Needs, does not equal the Section A, New or Revised Budget Federal Totals (e-5) amount.</td>
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For SF 424 A, Section D - Forecasted Cash Needs: 13, Federal - Total for 1st Year, Rule 026.58.1 checks that the Federal Total for 1st year does not equal the sum of Federal 1st Quarter + Federal 2nd Quarter + Federal 3rd Quarter + Federal 4th Quarter. The Federal Total for 1st year, in Section D - Forecasted Needs, does not equal the Section A, New or Revised Budget Federal Totals (e-5) amount. Therefore, a warning is provided to follow agency guidance.
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<td>Provide error if the order or text of any Grant Program, Function or Activity in Section E does not match Budget Summary: Grant Program function or Activity in Section A.</td>
<td>The order or the text for the Grant Program or Activity in Section E does not match the order or the text in Section A.</td>
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<td>Provide warning if number of budget years/periods</td>
<td>Note: This rule will trigger different</td>
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<td>Future Funding Periods Years (First – Fourth)</td>
<td>does not match the span of the project</td>
<td>messages for Non-Research and SAMHSA</td>
<td>Non-Research: You indicated that your project period is &lt;x&gt; years on the SF 424 block 17. Ensure that the budget periods address the full project period by entering data in the SF 424 A. Enter data for the first budget period in Sections A and enter future budget periods in Section E. Please refer to agency.</td>
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**SAMHSA:**
You indicated that your project period is `<#>` years on the SF 424 block 17. Ensure that the budget periods address the full project period by entering data in the SF 424 A. Enter data for the first budget period in Section D and enter future budget periods in Section E. Please refer to the Opportunity Announcement for guidance if applicable.
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## SF-424B Assurances - Non-Construction Programs (Use only for non-research ONLY)

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<td>Signature of Authorized Certifying Official</td>
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## SF-424C Budget Information - Construction Programs

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<td>SF 424 C</td>
<td>1. Administrative and legal expenses - a. Total Cost</td>
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<td>SF 424 C</td>
<td>1. Administrative and legal expenses - b. Costs Not Allowable for Participation</td>
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The Total Allowable Costs for Administrative and Legal Expenses (Construction Budget) must be equal to the difference of columns A (Total Cost) and B (Costs Not Allowable for Participation). Provide error if not equal to column A (Total Cost) minus column B (Costs Not Allowable for Participation).
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<td>2. Land, structures, rights-of-way, appraisals, etc - a. Total Cost</td>
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<td>2. Land, structures, rights-of-way, appraisals, etc - b. Costs Not Allowable for Participation</td>
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<td>2. Land, structures, rights-of-way, appraisals, etc - c. Total Allowable Costs (Columns a-b)</td>
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<td>SF 424 C</td>
<td>3. Relocation expenses and payments - a. Total Cost</td>
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**Rule Categories**

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- **Shared (Y/N)**
- **Agency Specific (Lists Agencies)**
- **Form Version**
- **Opportunity Announcement Specific**
- **Activity Specific Lists Activity Code (Inclusion & Exclusion)**
- **Applies to Single Project, Multi Project or Both**
- **Applies to Overall, Other Components or Both**
- **Cross Components (Multi Project Only)**

**Validation**

- Participation

**Error Message**

- The Total Allowable Costs for Relocation Expenses and Payments (Construction Budget) must be equal to the difference of columns A (Total Cost) and B (Costs Not Allowable for Participation).

**Error/Warning**

- E

**Comments**

- New Rule
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<td>8. Demolition and removal - b. Costs Not Allowable for Participation</td>
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<td>The Total Allowable Costs for Demolition and Removal (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>The Total Allowable Costs for Construction (Construction Budget) must be equal to the</td>
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<td>difference of columns A (Total Cost) and B (Costs Not Allowable for Participation)</td>
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<td>The Total Allowable Costs for Equipment (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>12. SUBTOTAL (sum of lines 1-11) - a. Total Cost</td>
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<td>Applies to Overall, Other Componen ts or Both</td>
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<td>12. SUBTOTAL (sum of lines 1-11) - b. Costs Not Allowable for Participation</td>
<td>028.35.1</td>
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<td>The Costs Not Allowable for Participation Subtotal on the Constructio n Budget must be equal to the sum of all Administrati on and Legal Expenses entries</td>
<td>E</td>
<td>New rule</td>
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<td>SF 424 C</td>
<td>12. SUBTOTAL (sum of lines 1-11) - c. Total Allowable Costs (Columns a-b)</td>
<td>028.36.1</td>
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<td>Incl: V2.0</td>
<td>Single</td>
<td>Provide error if not equal to column A (Total Cost) minus column B (Costs Not Allowable for Participation)</td>
<td>The Total Allowable Costs Subtotal on the Constructio n Budget must be equal to the difference of columns A (Total Cost) and B (Costs Not Allowable for Participation)</td>
<td>E</td>
<td>New Rule</td>
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<td>12. SUBTOTAL (sum of lines 1-11) - c. Total Allowable Costs (Columns a-b)</td>
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<td>Provide error if not equal to the sum of lines 1-11, Total Allowable costs</td>
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<td>13. Contingencies - a. Total Cost</td>
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<td>The Total Allowable Costs Subtotal on the Construction Budget must be equal to the sum of all Administrative and Legal Expenses entries</td>
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<td>SF 424 C</td>
<td>13. Contingencies - b. Costs Not Allowable for Participation</td>
<td>028.38</td>
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<td>13. Contingencies - c. Total Allowable Costs (Columns a-b)</td>
<td>028.39.1</td>
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<td>Provide error if not equal to column A (Total Cost) minus column B (Costs Not Allowable for Participation).</td>
<td>New Rule</td>
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<td>The Total Cost Subtotal on the Construction Budget must be equal to the sum of Contingencies and the subtotal of all Administrative and Legal Expenses entries</td>
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<td>SF 424 C</td>
<td>14. SUBTOTAL - b. Costs Not Allowable for Participation</td>
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<td>Provide error if not equal to the sum of lines 12 and 13, Costs Not Allowable for Participation</td>
<td>The Costs Not Allowable for Participation Subtotal on the Construction Budget must be equal to the sum of Contingencies and the subtotal of all Administrative and Legal</td>
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<td>New Rule</td>
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<td>15. Project (program) income - b. Costs Not Allowable for Participation</td>
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<td>Applies to Overall, Other Componen ts or Both</td>
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<td>subtotal minus the Project Income.</td>
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<td>16.</td>
<td>TOTAL PROJECT COSTS (subtract #15 from #14) - b. Costs Not Allowable for Participation</td>
<td>028.47.1</td>
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<td>Incl: V2.0</td>
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<td>Provide error if not equal to line 14 minus line 15, Costs Not Allowable for Participation</td>
<td>The Total Project Costs, Costs Not Allowable for Participation on the Constructio n Budget must be equal to the Subtotal Not Allowable minus the Project Income Not Allowable.</td>
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<td>Provide error if not equal to column A (Total Cost) minus column B (Costs Not Allowable for Participatio n).</td>
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FEDERAL FUNDING $ 028.50
## SF-424D Assurances - Construction Programs (Use only for non-research ONLY)

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SF-LLL Disclosure Of Lobbying Activities (Use only for non-research ONLY)

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