

Submitting Multi-Component Applications to NIH

A Research Administration Workshop
offered by
Sponsored Programs Office (SPO) and Proposal Development Services (PDS)

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Learning Objectives

Define

Know the definition of “multi-component application”

Identify
Components

Be able to determine the required elements of a multi-component application

Create

Understand how to create a multi-component application in either Cayuse 424 or NIH ASSIST

Resources

Know where to find tools to aid in preparing and submitting multi-component applications to NIH

Course Modules

1. Overview

2. Planning and Coordinating the Application

3. Preparing the Application

4. Submitting the Application

5. Resources

6. Using ASSIST





1

Overview

Multi-Component Applications

A multi-component application is a single submission with multiple, interrelated components - each with their own budgets - that share a common focus or objective.



Features:

- 2+ Components complementing one another
- Collaboration/interaction to achieve a common goal
- Shared resources supporting at least 2 Projects

Single- vs. Multiple-Component Applications

Single-Component

- Research Grants (R and K series)
- Resource Grants (R and X series)
- May have different projects
- One budget for the entire submission
 - Unless subawards; subawards have their own budget

Multi-Component

- Program Projects/Center Grants (P series)
- Cooperative Agreements (U series)
- Uses the same forms as a single-component submission
- Single Overall Component
- At least one Other Component Type
 - Admin Core
 - Project
 - Core
- Summaries
 - Auto-generated from the individual components and Overall Component
 - Included in the agency assembled application
 - Helps reviewers and sponsor staff working with the application

i.e.
P01
P30
P50
U19
U54
UM1
UM2

Common Components

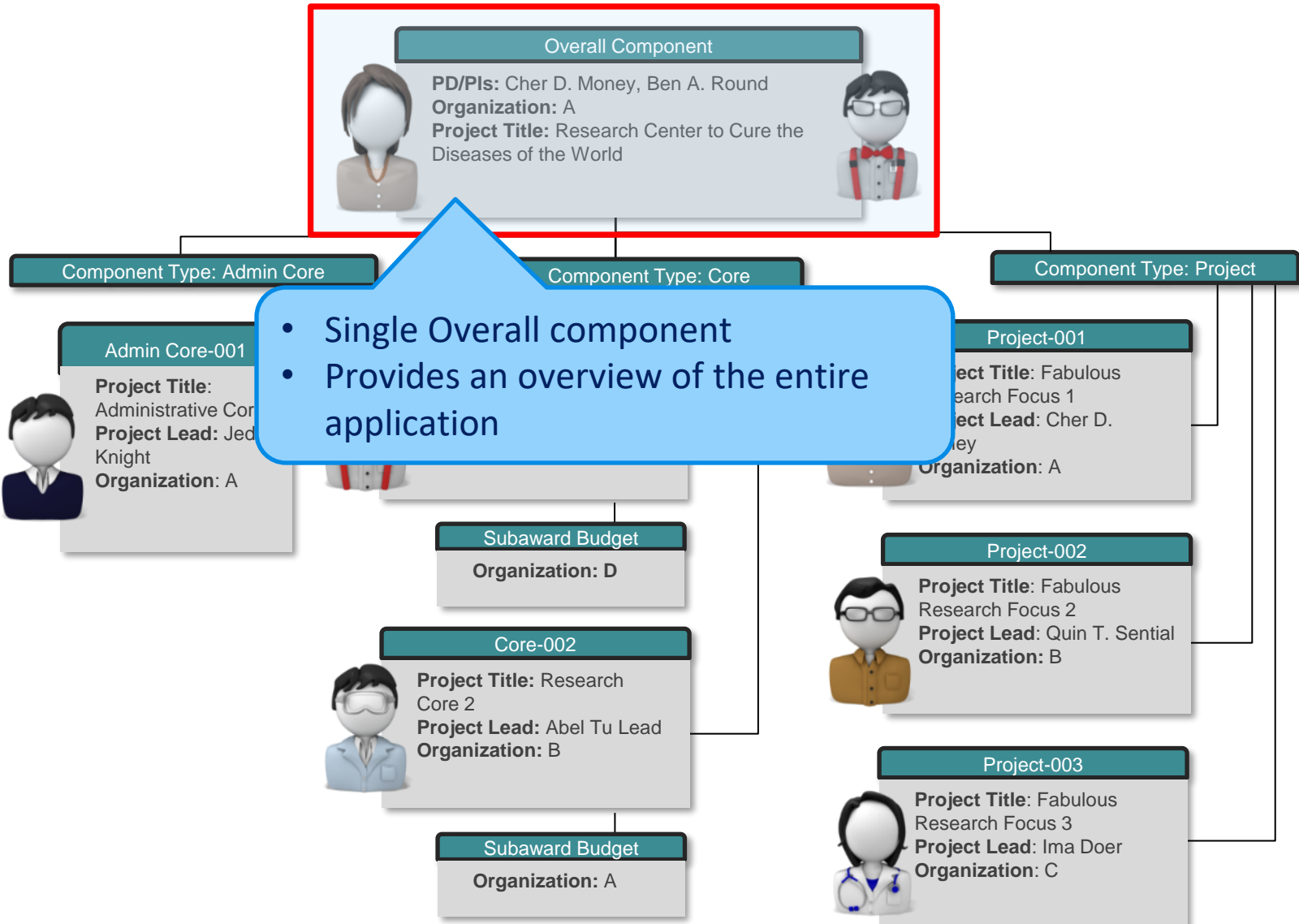
- **Overall** – Describes the entire application and provides an overview of how each of the other components fit together.

Other Component types vary by opportunity and will be specified in the FOA:

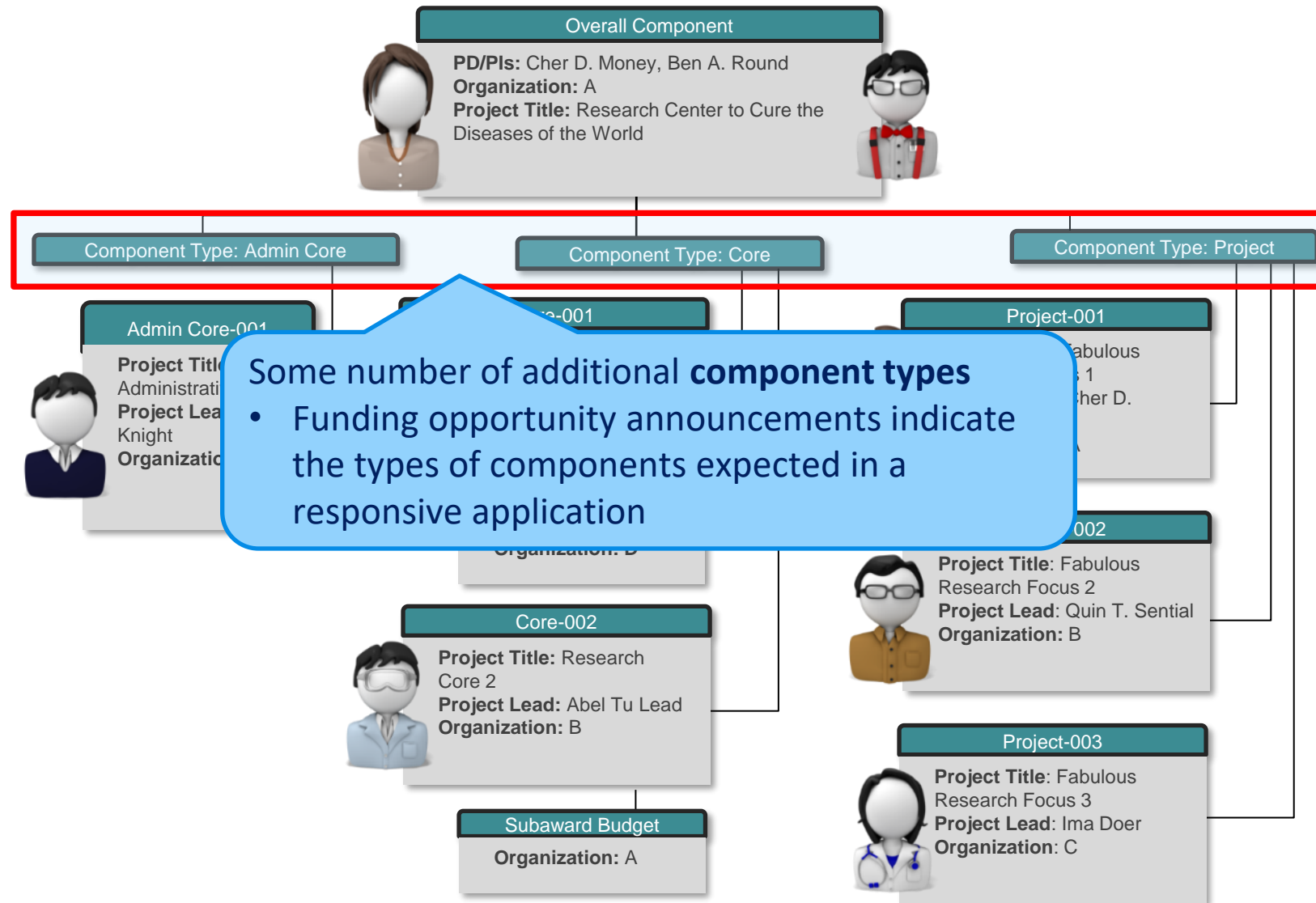
- **Admin Core** – Defines an administrative structure capable of planning and evaluating center/project activities.
- ◐ **Core** (i.e., Center Core Grants) – Supports shared resources and facilities for research by a number of investigators.
- ◑◑◑ **Project** – Defines a research activity that contributes to the common theme of the overall effort.



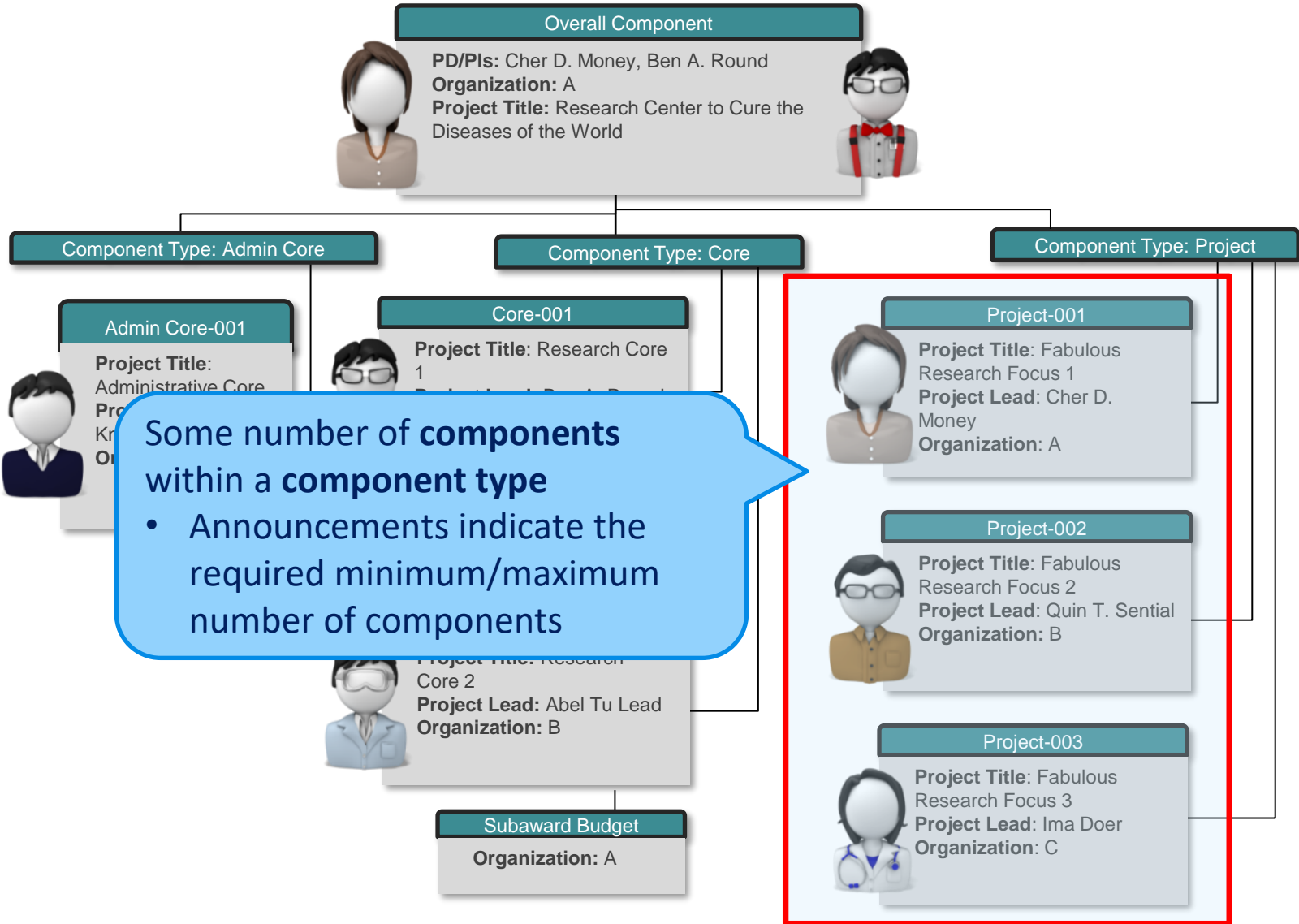
Multi-Project Application: Overall Component



Multi-Project Application: Cores & Projects



Multi-Project Application: Cores & Projects



Some number of **components** within a **component type**

- Announcements indicate the required minimum/maximum number of components

Subawards

A common issue some departments struggle with on multi-component applications is **when a subrecipient is responsible for an entire component.**

- They are to be entered on the cover page as the lead for that component.
- Use the **Additional indirect costs** optional form on the Overall to add indirect costs on the first \$25K.
 - You do not list them like a subaward.
 - This is per NIH's direction.
 - NIH knows it is a subaward by the name and Unique Entity Identifier (UEI).
- *Click this [link](#) to jump to additional subawards details further in this slide presentation.*

The screenshot displays the NIH application system interface. On the left, there is a sidebar with an 'Actions' menu containing buttons for: RETURN TO APPLICATION, MANAGE ACCESS, ADD OPTIONAL FORM, ADD NEW COMPONENT, DISPLAY COMPONENT STATUS, CHANGE COMPONENT ORDER, PREVIEW CURRENT FORM, VALIDATE COMPONENT, and VIEW STATUS HISTORY. The main content area shows the breadcrumb path: Home > Search for Applications > Application Search Results > Application Information > Component Information. Below the breadcrumb is a 'Hide Navigation' link and a 'Show Help' link. The main heading is 'Overall'. Underneath, there is a 'Tips' section with two bullet points: 'Complete this form first. Some information is forward populated to other forms.' and 'Multi-project applications - For the Overall component, complete the entire form. For other components, you will only be able to complete a subset of fields (Applicant Information, Type of Applicant - optional, Descriptive Title of Applicant's Project and Proposed Project Start/End Dates). Expand All will expose fields available for data entry.' At the bottom, there is a navigation bar with buttons for: Summary, R&R Cover, Cover Page Supplement, Other Project Information, Sites, Sr/Key Person Profile, **Additional Indirect Costs** (highlighted with a red circle), Research Plan, and Human Subjects and Clinical Trials.



2

Planning and Coordinating the Application

Find and Read Sponsor Guidelines

Following **all** sponsor guidelines will avoid the Sponsor rejecting the proposal without review.

Application Form Instructions		
Need help selecting the right instructions?		
Application Instructions	Description	
G General Instructions	Comprehensive guidance for research, training, fellowship, career development, multi-project, and small business applications	
Filtered Application Instructions		
R Research Instructions	Guidance for research only	
K Career Development Instructions	Guidance for career development only	
T Training Instructions	Guidance for training only	
F Fellowship Instructions	Guidance for fellowship only	
M Multi-Project Instructions	Guidance for multi-project only	

 **Program/Funding Solicitation**

 **Institute & Center (IC) Guidance**

 **PHS SF 424 R&R Instructions**

 **Project-Specific Guidelines**

Identify Key Information

Thoroughly review all sponsor guidelines and determine the critical pieces of information including (but not limited to):



1

Institutional and investigator eligibility

2

Deadlines, application stages and submission methods

- NCI and NIAID often require pre-proposals

3

Required Components: Admin, Cores, etc.

4

Required application elements, materials

Required/Allowed Components

The application should consist of the following components:

- Overall: required, maximum 1
- Administrative Core: required, maximum 1
- Clinical Research Networks Core: required, maximum 1
- Business Case and Translation Core: required, maximum 1
- Community Engagement, Data Privacy, and Ethics Core: required, maximum 1
- Health Disparities Research and Recruitment Innovation Core: required, maximum 1
- Trial Innovation Core: required, maximum 1
- Platform Access, Data Quality, and Integration Core: required, maximum 1
- Incubator Core: required, maximum 1
- Optional Investigator-Initiated Core 1: optional, maximum 1
- Optional Investigator-Initiated Core 2: optional, maximum 1

Tool: New Proposal Checklist

Completing the [New Proposal Checklist](#) as you read sponsor guidelines can help ensure you extract critical info.

Items to consider when you begin preparing a new grant proposal:

RFP/RFA/FOA Title:

Sponsor:

Principal Investigator:

Basic Questions

Is this proposal solicited (a specific call for proposals has been issued or this is an NIH Parent Announcement) or unsolicited (no call for proposals has been issued)?

- If it is solicited, what is the Request for Applications (RFA) or Program Announcement (PA) # or website?

Do you have a website or other documentation for instructions/policies on proposal submission not included in the funding announcement?

-

Who is the sponsor?

If they are not federal, state or local government, how did you find them? Have you (or someone else at UC Davis) ever had a contract or grant with them before? Have you researched their viability as a funding source?

Is this a [Limited Submission Proposal](#)?

-

Is this an electronic/web-based submission, or hard copy paper submission?

- If submission is electronic/web based, what is the mechanism for submission (e.g., Grants.gov, FastLane, email, etc.)?

What is the due date listed on the RFP?

- What date does this need to be ready for submission (keep in mind mailing time if a hard copy is needed)? **Five business days** before this will be the minimum Sponsored Programs due date.

Determine the Submission Method

SPO encourages you to submit in **Cayuse 424**, though **ASSIST** can also be used.

- While ASSIST creates more multi-component pre-submission summaries, entry and submission is faster in 424.

NIH ASSIST

Benefits:

- Print preview summarizes all entered info
- Strong multi-budget tool
- Automatic access for SPO, PD/Pis, Component Leads
- Versatile access settings
 - Edit vs. view
 - Entire application or a specific component
 - Budget data vs. non-budget data

Cayuse 424

Benefits:

- Real-time error checking
- Saves time
 - Auto-populates institutional and personnel info
- Speeds up the submission process
 - Cayuse is a one button push submission. ASSIST requires two rounds of status updates for all items before SPO can submit. 1 minute vs. 15 minutes to submit.

Determine Requirements & Responsibilities

Thoroughly review all Sponsor guidelines and determine the application requirements and responsible persons for each action/requirement.



1

Determine the number of each required Component type

- Cores, Projects, etc.

2

Identify requirements for each Component

- Project Lead, Organization Lead, Project Title, and associated application forms

3

Determine requirements for the Overall application

- The Contact PD/PI (and, if applicable, other PD/Pis) and associated application forms

4

Assign each task to responsible person and set deadlines

- Consider creating a **checklist**

Determine Required Forms

Project

When preparing your application in ASSIST, use Component Type 'Project.'

All instructions in the SF424 (R&R) Application Guide must be followed, with the following additional instructions, as noted.

SF424 (R&R) Cover (Project)

Complete only the following fields:

- Applicant Information
- Type of Applicant (optional)
- Descriptive Title of Applicant's Project
- Proposed Project Start/Ending Dates

PHS 398 Cover Page Supplement (Project)

Enter Human Embryonic Stem Cells in each relevant component.

Research & Related Other Project Information (Project)

Human Subjects: Answer only the 'Are Human Subjects Involved?' and 'Is the Project Exempt from Federal regulations?' questions.

Vertebrate Animals: Answer only the 'Are Vertebrate Animals Used?' question.

Project Narrative: Do not complete. Note: ASSIST screens will show an asterisk for this attachment indicating it is required. However, eRA systems only enforce this requirement in the Overall component and applications will not receive an error if omitted in other components.

Project /Performance Site Location(s) (Project)

List all performance sites that apply to the specific component.

Note: The Project Performance Site form allows up to 300 sites, prior to using additional attachment for additional entries.

Research & Related Senior/Key Person Profile (Project)

In the Project Director/Principal Investigator section of the form, use Project Role of 'Other' with Category of Project Lead and provide a valid eRA Commons ID in the Credential field.

In the additional Senior/Key Profiles section, list Senior/Key persons that are working in the component.

Include a single Biographical Sketch for each Senior/Key person listed in the application regardless of the number of components in which they participate. When a Senior/Key person is

Determine Required Forms

From <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-g/multi-project-forms-g.pdf>

- Section M.130, Page 18

Form	Overall	Admin Core, Core Project, Other named components	Indiv Career Dev	Career Dev	NRSA Training	Form	Overall	Admin Core, Core Project, Other named components	Indiv Career Dev	Career Dev	NRSA Training
SF424 R&R cover	✓	✓	✓	✓	✓	R&R Subaward Budget Attachment		Optional	Optional	Optional	
PHS 398 Cover Page Supplement	✓	✓	✓	✓	✓	PHS 398 Training Budget					✓
R&R Other Project Information	✓	✓	✓	✓	✓	Training Subaward Budget Attachment Form					Optional
Project/Performance Sites	✓	✓	✓	✓	✓	PHS Additional Indirect Costs	Optional				
R&R Sr/Key Person Profile (Expanded)	✓	✓	✓	✓	✓	PHS 398 Research Plan	✓	✓			
PHS Human Subjects and Clinical Trials Information	✓	✓	✓	✓	✓	PHS 398 Career Development Award Supplemental Form			✓		
PHS Assignment Request Form	Optional					PHS 398 Research Training Program Plan				✓	✓
R&R Budget		✓	✓	✓							

Poll: Determine Required Components

1. Click open link in chat for **National Institute on Aging (NIA) Applications:**
<https://grants.nih.gov/grants/guide/pa-files/PAR-22-130.html>
2. Reference this document to answer Zoom poll questions
3. Submit poll when finished



Determine Required Components

1. For a new multi-component application, what **components are REQUIRED** and **how many** of each?

Overall

- required; maximum 1

Admin Core

- New, renewal, and resubmission applications: **required; maximum 1**
- Revision applications: **optional; maximum 1**

Project 1

Project 2

Project 3

- New, renewal, and resubmission applications: **required; minimum 3, maximum 8**
- Revision applications: **optional; maximum 8**

Determine Required Components

2. An SF 424(R&R) Cover is required for **each** Component.

True

3. The Budget form is required for the Overall Component.

False – one is required for the **Admin Core**, and for each **Core** and **Project**

4. The Research & Related Senior/Key Person Profile form(s) should not be attached to each Project.

False – one is required for each Project

Notice that each document/form has specific instructions.



Tips and Tools

Tool: Proposal Preparation Checklist

Use SPO's [Proposal Preparation Checklist](#) to help ensure required documents are not overlooked.

PROPOSAL PREPARATION CHECKLIST

The following proposal checklist is provided to assist with proposal preparation. For further information, please refer to Sponsored Program's [Proposal website](#).

PLEASE FORWARD THE FOLLOWING DOCUMENTS VIA CAYUSE AT LEAST FIVE (5) BUSINESS DAYS PRIOR TO THE SPONSOR DEADLINE FOR REVIEW AND APPROVAL:

- PROPOSAL COVER PAGE**
If required by sponsor, provide completed form (agency or SPO template).
- PROPOSAL GUIDELINES FROM SPONSORING AGENCY (e.g., RFP, RFA, BAA etc.)**
Provide sponsor guidelines or website link to guidelines.
- PROPOSAL SCOPE OF WORK**
Provide the scope of work for the proposed project. *Draft copies are accepted initially.*
- BUDGET SPREADSHEET**
Provide detailed estimate of expenses for each budget category. Refer to the [Proposal Budget Development](#) and [OR Budget Templates](#) for assistance. Include cost share/match only if specifically required by funding agency.
- BUDGET JUSTIFICATION**
Provide a detailed justification for all items listed in the budget. Refer to the [Preparing a Proposal Budget Toolkit](#) for guidance.
- COST SHARE APPROVAL (if applicable)**
Provide documentation with approval signatures or other written approval.
- PI ELIGIBILITY (if applicable)**
Provide completed PI Exception form ([Form 105A](#)) with approval signatures. Refer to UC Davis' [PI eligibility policy](#) for assistance.
- ELECTRONIC APPLICATION PACKAGE (if applicable)**
Provide access to the completed electronic application. *Final copies are required 2 business days prior to submission to sponsor agency.*
- ADDITIONAL SPONSORED-SPECIFIC ITEMS (if applicable)**
Provide additional items required by sponsor agency, (i.e. agency forms and certifications, etc.).
- SUBAWARDS (if applicable)**
Provide scope of work, budget, budget justification, F&A Rate Agreement and Subrecipient Monitoring Form or Multiple Campus (MCA) Commitment Form for all subawards.
- COMPLIANCE DOCUMENTS (if applicable)**
Provide completed and signed conflict of interest [Form 800](#) and/or other required compliance documents.

Tool: Matrix style Checklist

Sections	Overall - George	Project 1 - Carney	Project 2 - George	Project 3 - Tan	Project 4 - Wang	Admin Core - Core A George	EV Analysis Core - Core B Carney	Biospecimen Core - Core C Toedebusch	Data Analysis and Management Core - Core D Roche
Budget	summary by ASSIST								
Budget Justification	NA								
Biosketches (key personnel only)									
Facilities and Other Resources									
Equipment	NA					NA			
Project Summary									
Project Narrative									
Specific Aims									
Research Strategy	6 pages	12 pages	12 pages	12 pages	12 pages	6 pages	6 pages	6 pages	6 pages
Literature Cited						NA			
Vertebrate Animals (if applicable)	NA	NA				NA	NA		NA
Human Subjects (if applicable)		NA	see below for Delayed Onset	see below list for Clinical Trials	see below list for Human Subj no clinical trials	NA	NA	NA	NA
Authentication of Key Biological and Chemical Reagents	NA					NA			NA
Resource Sharing Plan	NA					NA			
Letters of Support (if any)									NA
Data Management and Sharing Plan		NA	NA	NA	NA	NA	NA	NA	NA
MPI plan		NA	NA	NA	NA	NA	NA	NA	NA
Cover Letter w/ARA Approval		NA	NA	NA	NA	NA	NA	NA	NA

Required Human Subjects Documents for projects involving (Clinical Trials)
1. NIH Study Record with Inclusion enrollment tables
2.3.a. Inclusion Across the Lifespan
2.4. Inclusion of Women and Minorities
2.5. Recruitment and Retention Plan
2.7. Study Timeline
3.1. Protection of Human Subjects
3.3. Data and Safety Monitoring Plan
3.5. Overall Structure of the Study Team
4.3. Statistical Design and Power
4.7. Dissemination Plan

Required Human Subjects Documents for projects involving Human Subjects but no Clinical Trials
1. NIH Study Record with Inclusion enrollment tables
2.3.a. Inclusion Across the Lifespan
2.4. Inclusion of Women and Minorities
2.5. Recruitment and Retention Plan
3.1. Protection of Human Subjects

Required Human Subjects Documents for projects involving delayed onset studies (Create a Delayed Onset Study Record)
Delayed Onset Study Record
Delayed Onset Justification

Tool: Personnel Checklist

Last Name	First Name	Email	Departmental Affiliation	Role (for ASSIST)	Cores/Projects	Biosketch		
						rec'd	formatted	uploaded
Lein	Pam	pjlein@ucdavis.edu	VM: Molecular Biosciences	MPI, Core Lead, Project Lead	Admin Core, Project 2	x	x	x
Brooks-Kayal	Amy	abkayal@ucdavis.edu	MED: Neurology	MPI, Core Co-Lead, Project Co-Lead	Admin Core, Project 2	x	x	x
Bruun	Donald	dabruun@ucdavis.edu	VM: Molecular Biosciences	Co-Investigator	Project 2, Project 3, Core B	x		
Gurkoff	Gene	gggurkoff@ucdavis.edu	MED: Neurological Surgery	Core Lead, Project	RE Core, Project 1	x	x	
Silverman	Jill	jsilverman@ucdavis.edu	MED: Psych & Behavioral Sciences	Project Co-Lead	Project 1	x		
Gelli	Angie	acgelli@ucdavis.edu	MED: Pharmacology	Project Lead	Project 3			
Gorin	Fred	fagorin@ucdavis.edu	VM: Molecular Biosciences	Co-Investigator	Project 3			
Chaudhari	Abhijit	ajchaudhari@ucdavis.edu	MED: Radiology	Core Lead	Core B			
Hobson	Brad	bahobson@ucdavis.edu	Biomedical Engineering	Core Co-Lead	Core B			
Wulff	Heike	hwulff@ucdavis.edu	MED: Pharmacology	Core Lead, Co-	Core A, Project 1	x	x	
Singh	Vikrant	vssingh@ucdavis.edu	MED: Pharmacology	Co-Investigator	Core A			
Wang	Jun	junwang@ucdavis.edu	CAES: Entomology and Nematology	Core Co-Lead	Core A			
Hammock	Bruce	bdhammock@ucdavis.edu	CAES: Entomology and Nematology	Co-Investigator	Project 2	x	ongoing	
Tancredi	Dan	djtancredi@ucdavis.edu	MED: Pediatrics	Core Lead	Core C			
Harvey	Danielle	djharvey@ucdavis.edu	MED: Public Health Sciences	Core Co-Lead	Core C			

Tool: Production Calendar

December 2024						
<i>Sun</i>	<i>Mon</i>	<i>Tues</i>	<i>Wed</i>	<i>Thurs</i>	<i>Fri</i>	<i>Sat</i>
1 <i>Karen out until 9th</i>	2 This week: Work with Project and Core leads to develop near final budget	3	4	5	6	7
8	9 Work with PI on ACCD request	10	11 ACCD request due to Assoc. Dean	12	13	14
15	16 Dean-approved ACCD request and ppt due to Becky	17	18	19	20 Project/Core leads send requests for Letters of Support (due 1/15)	21
22 <i>Kelli and Erin out this week</i>	23	24 University holiday	25 University holiday	26	27	28
29	30 ACCD meeting	31 University holiday				

color coding:

Budget-related tasks Narrative sections
 blue green

Tool: Production Calendar

January 2025						
Sun	Mon	Tues	Wed	Thurs	Fri	Sat
PI is out this week			1 University holiday	2	3	4
	5	6	7	8	9	10 Work with Project and Core leads to finalize Budget Justification
12	13 Biosketchs are due for uploading	14	15 Letters of Support due	16	17 Budget Justification are final: Kelli enters data into Cayuse SP and ASSIST	18
19	20 University holiday	21 Route proposal for SPO review	22	23	24 Final supplemental documents* due for uploading	25
26	27 Final Aims and Research Strategies due for uploading	28 Complete ASSIST package for PI to review	29 Incorporate any necessary changes into ASSIST	30 SPO submits proposal	31 Proposal due to NIH	
NOTES: *Supplemental documents include Abstract/Summary, Resource Sharing Plan, Data Management and Sharing Plan, Vertebrate Animals, Human Subjects Documents, Authentication of Key Biological and Chemical Reagents, Facilities & Equipment						

color coding:

Budget-related tasks
blue

Narrative sections
green



Get Organized

Get Organized

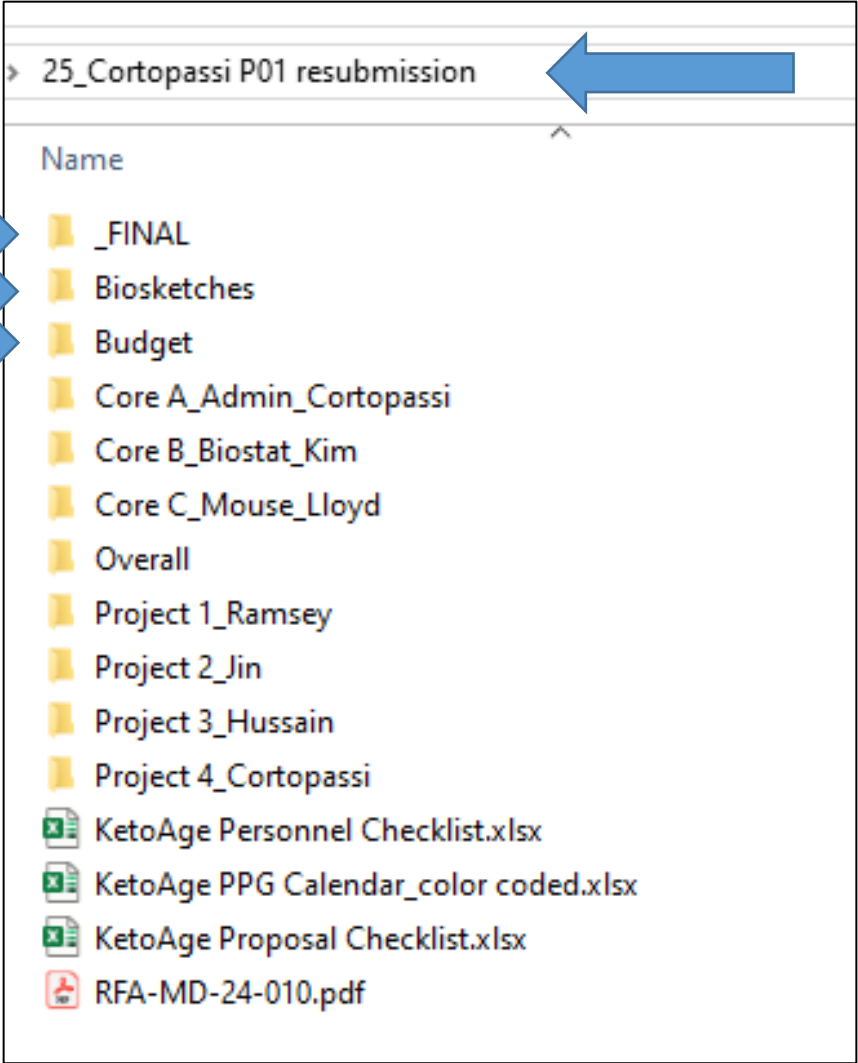


Multi-component applications:

- Large (~400-1000 pages)
- Led by multiple researchers
- May include multiple institutions/subawardees
- May have 5-10 components

Soon you'll be swimming in a pool of documents

Create Folders – Suggested Folder Structure



Components:
Each marked with
component title and
component PI's last
name

Other docs:
Not for uploading but to keep you
organized.
-checklist
-personnel list
-timeline
-solicitation

Create Folders – Inside the Budget Folder

25_Cortopassi P01 resubmission > Budget

Name	Date modified
1_Core A (GAC,JJR)	12/6/2024 1:42 PM
2_Core B (KMK)	10/7/2024 2:28 PM
3_Core C (KCL)	12/18/2024 2:59 PM
4_Project 1 (JJR)	12/18/2024 1:48 PM
5_Project 2 (LWJ)	12/18/2024 10:11 AM
6_Project 3 (SKH)	10/7/2024 2:26 PM
7_Project 4 (GAC)	12/6/2024 4:03 PM
99_ACCD	12/19/2024 11:57 AM
z_Notes	12/19/2024 11:54 AM
Overall NIH Budget_KetoA...	12/18/2024 4:08 PM

25_Cortopassi P01 resubmission > Budget > 4_Project 1 (JJR)

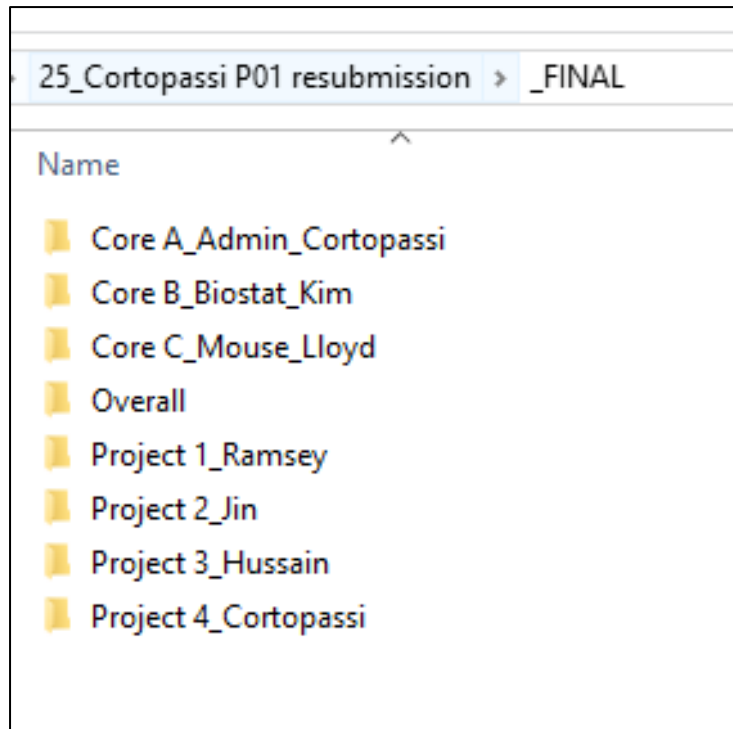
archive

Budget Justification_Project 1 Dec 18 2024.docx

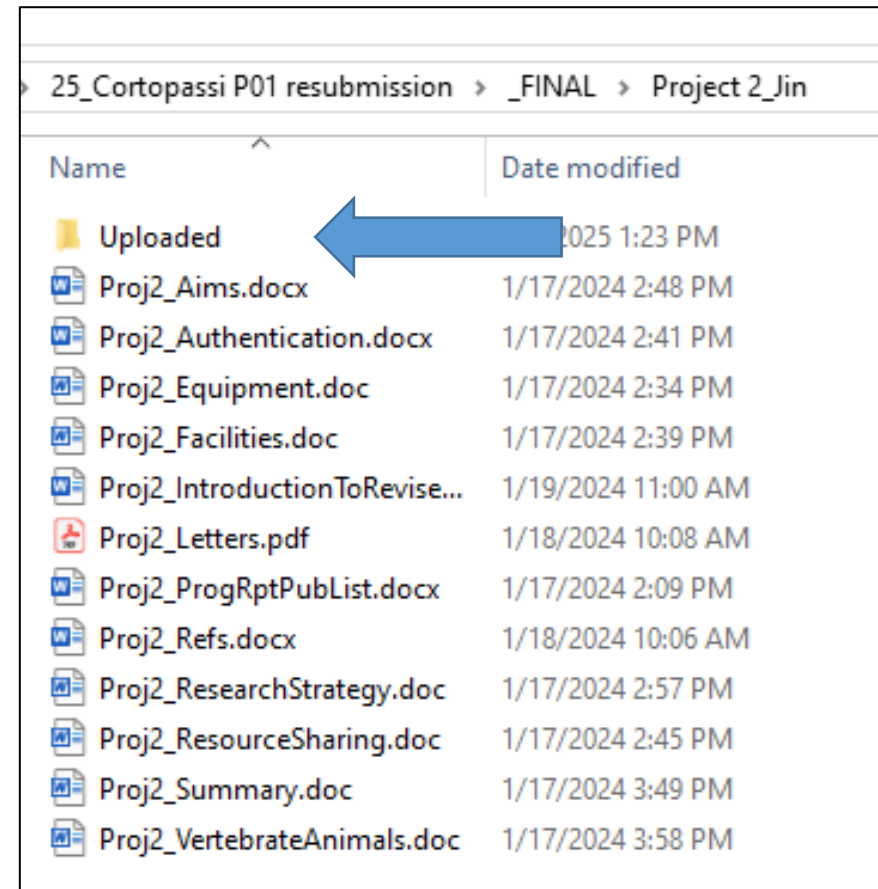
FINAL-Project 1 Budget_KetoAge PPG_2025 final.xlsx

Create Folders – Suggested Folder Structure

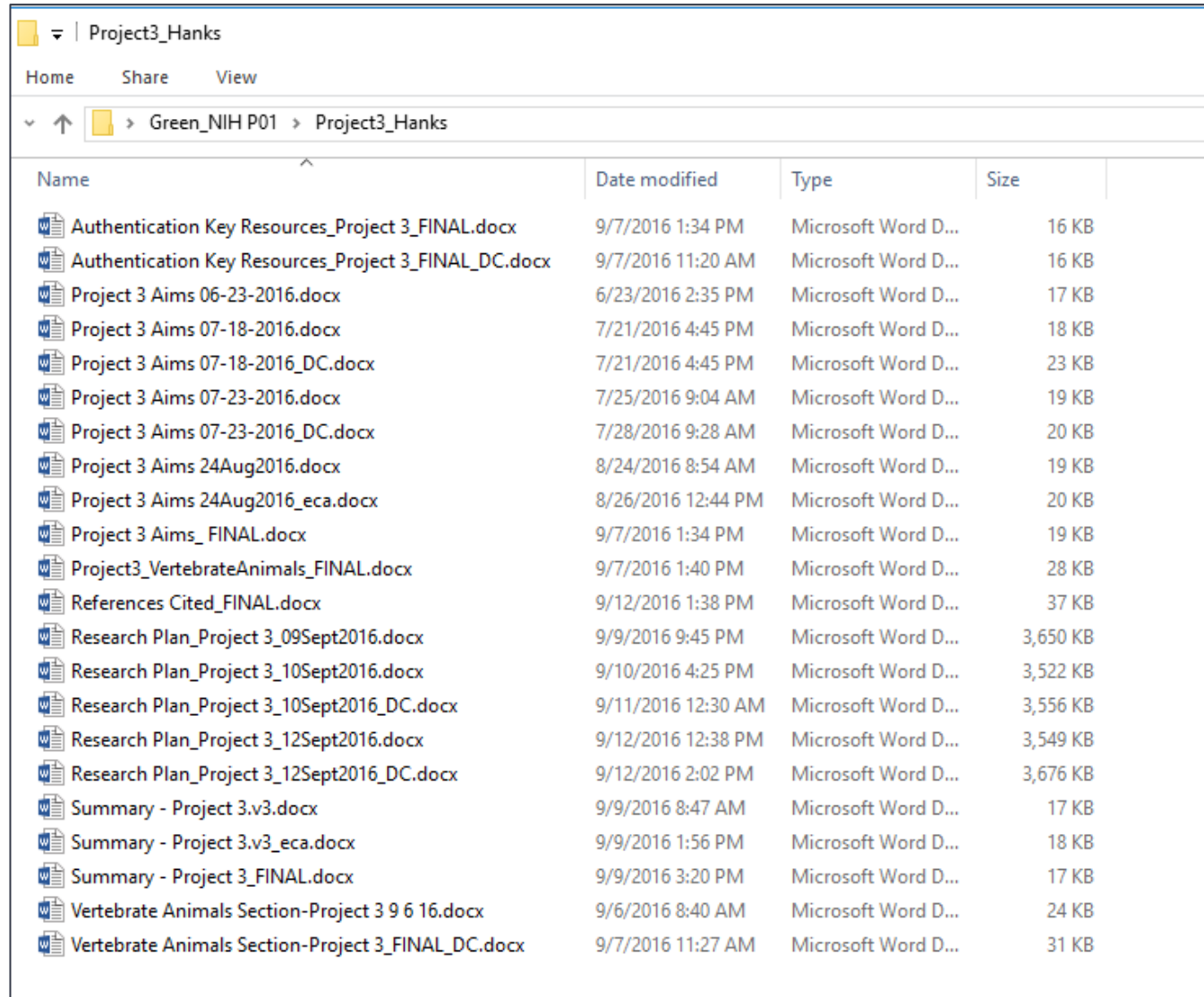
Inside the FINAL Folder



Inside the Final Project 2 Folder



Create Folders – Inside a Project Folder



The screenshot shows a Windows File Explorer window with the address bar set to 'Green_NIH P01 > Project3_Hanks'. The main area displays a list of 25 files, all of which are Microsoft Word documents (.docx). The files are sorted by name and include various project-related documents such as 'Authentication Key Resources', 'Project 3 Aims', 'Research Plan', and 'Summary' documents. The columns shown are Name, Date modified, Type, and Size.

Name	Date modified	Type	Size
Authentication Key Resources_Project 3_FINAL.docx	9/7/2016 1:34 PM	Microsoft Word D...	16 KB
Authentication Key Resources_Project 3_FINAL_DC.docx	9/7/2016 11:20 AM	Microsoft Word D...	16 KB
Project 3 Aims 06-23-2016.docx	6/23/2016 2:35 PM	Microsoft Word D...	17 KB
Project 3 Aims 07-18-2016.docx	7/21/2016 4:45 PM	Microsoft Word D...	18 KB
Project 3 Aims 07-18-2016_DC.docx	7/21/2016 4:45 PM	Microsoft Word D...	23 KB
Project 3 Aims 07-23-2016.docx	7/25/2016 9:04 AM	Microsoft Word D...	19 KB
Project 3 Aims 07-23-2016_DC.docx	7/28/2016 9:28 AM	Microsoft Word D...	20 KB
Project 3 Aims 24Aug2016.docx	8/24/2016 8:54 AM	Microsoft Word D...	19 KB
Project 3 Aims 24Aug2016_eca.docx	8/26/2016 12:44 PM	Microsoft Word D...	20 KB
Project 3 Aims_FINAL.docx	9/7/2016 1:34 PM	Microsoft Word D...	19 KB
Project3_VertebrateAnimals_FINAL.docx	9/7/2016 1:40 PM	Microsoft Word D...	28 KB
References Cited_FINAL.docx	9/12/2016 1:38 PM	Microsoft Word D...	37 KB
Research Plan_Project 3_09Sept2016.docx	9/9/2016 9:45 PM	Microsoft Word D...	3,650 KB
Research Plan_Project 3_10Sept2016.docx	9/10/2016 4:25 PM	Microsoft Word D...	3,522 KB
Research Plan_Project 3_10Sept2016_DC.docx	9/11/2016 12:30 AM	Microsoft Word D...	3,556 KB
Research Plan_Project 3_12Sept2016.docx	9/12/2016 12:38 PM	Microsoft Word D...	3,549 KB
Research Plan_Project 3_12Sept2016_DC.docx	9/12/2016 2:02 PM	Microsoft Word D...	3,676 KB
Summary - Project 3.v3.docx	9/9/2016 8:47 AM	Microsoft Word D...	17 KB
Summary - Project 3.v3_eca.docx	9/9/2016 1:56 PM	Microsoft Word D...	18 KB
Summary - Project 3_FINAL.docx	9/9/2016 3:20 PM	Microsoft Word D...	17 KB
Vertebrate Animals Section-Project 3 9 6 16.docx	9/6/2016 8:40 AM	Microsoft Word D...	24 KB
Vertebrate Animals Section-Project 3_FINAL_DC.docx	9/7/2016 11:27 AM	Microsoft Word D...	31 KB

Get Organized (summary)



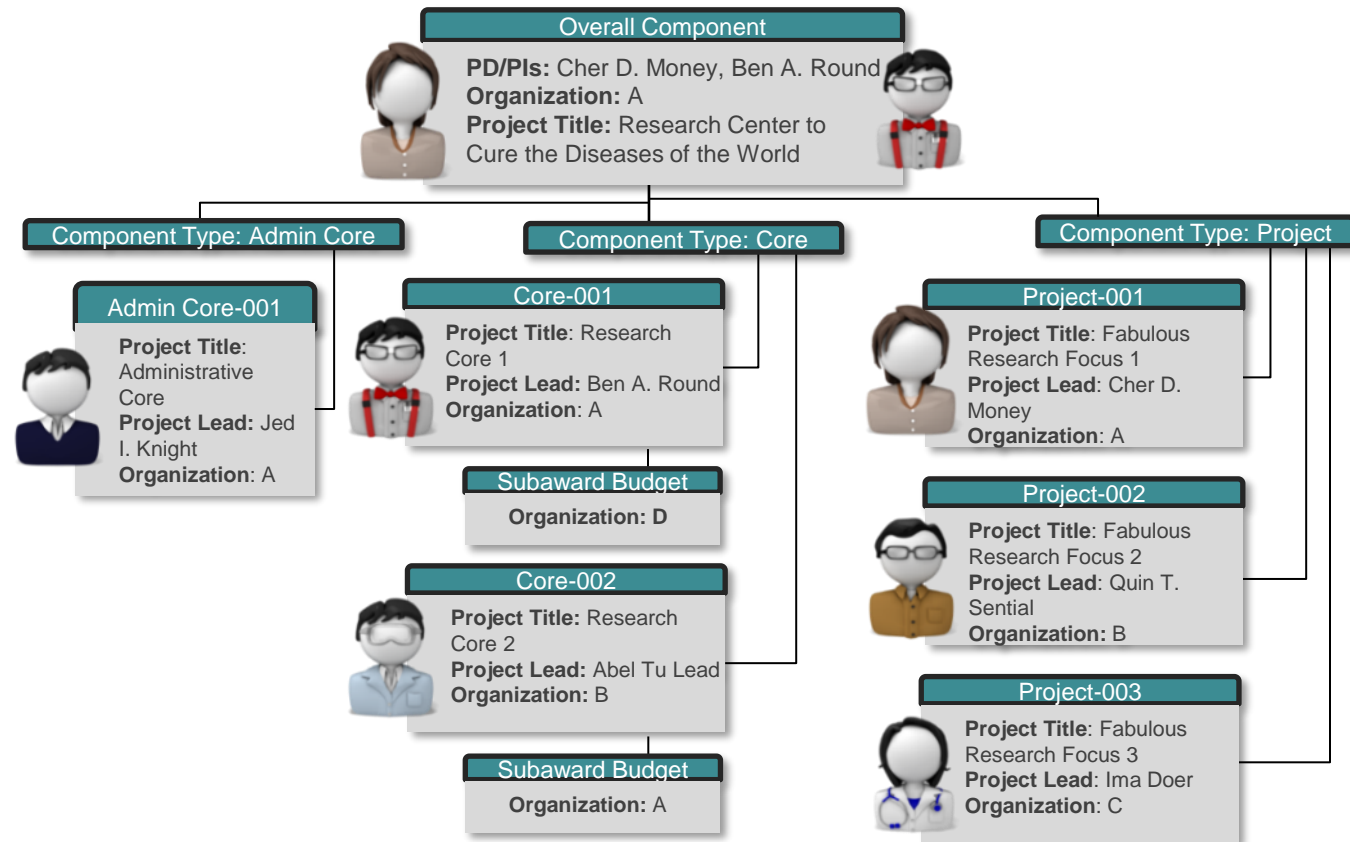
- Make a **checklist** and use it to track progress of various components and documents
- Make a **calendar** and stick to it as much as you can
- Have a **folder structure** that works best for you, that makes your life easier when documents start to trickle in



3 Preparing the Application

Determine the Application Structure

- Order Components by **flow of work**
- Final package order
 - Overall component
 - Including system-generated summaries
 - For your convenience, you can alphabetize the short title for additional Components (i.e., Core A, Core B, Core C) to facilitate how you order them
 - Cores
 - Projects
- **IMPORTANT** - Especially for ASSIST:
 - Give each attachment a unique name.
 - E.g., “Admin Core Budget Justification,” “Core Budget Justification,” “Project A Budget Justification,” “Project B Budget Justification,” etc.
 - Two attachments with the same name may confuse the system and delay submission.



Request and Collect Data

- As stated earlier, use **checklists** and/or **production calendars**
- **Set deadlines** for:
 - Response to you for each item
 - Subaward materials
 - Entry in ASSIST or Cayuse 424
 - Submission to SPO
 - Submission to NIH
- When setting deadlines, consider:
 - Time for reviewing/editing for compliance and voice/consistency
 - Time for delayed responses
 - Some Components/actions are more complex and need additional time
- Providing document **templates** to your team may speed the process and result in consistent document formatting.
 - Example: budget justifications
- **Follow-up**



Cayuse 424

To create a multi-component application:

1. Start from the Funding Opportunity (**Opportunities** in top toolbar)
2. Create an application for each Component



Opportunities Proposals Routing People Institutions Reports More

Opportunities

PAR-22-130 Filter Find More Show All

25 Page 1 of 1

	Opportunity Number	Title	Comp. ID	Comp. Title
	PAR-22-130	NIA Program Project Applications (P01 Clinical Trial Optional)	FORMS-H	Use for due dates on or after January 25, 2023
	Admin-Core	NIA Program Project Applications (P01 Clinical Trial Optional)	FORMS-H	Use for due dates on or after January 25, 2023
	Core	NIA Program Project Applications (P01 Clinical Trial Optional)	FORMS-H	Use for due dates on or after January 25, 2023
	Project	NIA Program Project Applications (P01 Clinical Trial Optional)	FORMS-H	Use for due dates on or after January 25, 2023

Cayuse 424

3. Link each Component to the Overall application
4. Keep your assigned SPO Proposals Analyst apprised of your progress in Cayuse 424 so they can fully partner with you on the review.

Opportunities **Proposals** Routing People Institutions Reports More

Proposals List » 25-5555 1/25/25 Carter NIA - Overall << Proposals List

- SF424 RR
 - 1
 - 2
- RR Performance Sites
 - 1
- RR Other Project Information
 - 1
- RR Key Persons
 - 1
- PHS Human Subjects and Clinic
 - 1
- PHS Additional Indirect Costs
 - 1
- PHS 398 Cover Page Supplement
 - 1
 - 2
- PHS 398 Research Plan
 - 1
- PHS Assignment Request
 - 1

Proposal Summary

- Summary
- Supporting Documents

Multi-Project Components

- Linked Components

25-5555 1/25/25 Carter NIA - Overall

Create and Link New Component

Link a Component

		Project Lead	Direct Costs
[-]	ADMIN-CORE		
	R 25-5555 1/25/25 Carter NIA - Admin Core	Carter, Cameron	0
[-]	CORE		
	R 25-5555 1/25/25 Carter NIA - Core	Carter, Cameron	0
[-]	PROJECT		
	R 25-5555 1/25/25 Carter NIA - Project	Carter, Cameron	0

ASSIST

Following this presentation is a series of 25 slides with step-by-step guidance on using **ASSIST**.

- You will be able to peruse these in your own time.
 - Note the extensive **validation** and **finalization** steps.
- For now, we want to share some **highlights** on using **ASSIST**.

Welcome to the Application Submission System & Interface for Submission Tracking (ASSIST)



INITIATE APPLICATION

Opportunity Number
(Example: PA-XX-XXX or LITC-ABCD-XX-000)

Go



SEARCH FOR APPLICATION

Search Applications

ASSIST: Highlights

- SPO recommends the **department administrator(s) initiate applications** in ASSIST on behalf of their PI(s).
 - This will allow the administrator(s) to view and edit the application(s).
- **ERA commons IDs** are needed for all key personnel.
- **Biosketches** are only uploaded once for each person in the application.
- Actions in ASSIST are dependent on the **Component** type
 - Some actions are only available on the **Summary** tab.
 - For example, **Update Component Status** is only available if you return to the **Summary**.
- Choosing **Edit** locks out other users from the page.
 - Additional users can make changes to other pages, but two users cannot edit a single page at the same time.
- **Saving**
 - Select **Save and Keep Lock** if continuing to work on that page
 - Select **Save and Release Lock** if leaving that page

ASSIST: Senior Personnel

- Only the PI (or PIs; see **multi-PI plan** below) will be listed in the **Overall** section under **Senior/Key Personnel**.
 - Personnel can be listed as senior in more than one **component**.
 - A PI can be listed as PI and also as a **Component Lead**.
- Each component will have one **lead**.
 - Leads of components are not considered PIs.
 - Component leads should be given the role of **Project Lead** or **Core Lead**.
 - You can also designate a **co-lead** for a component.
 - Co-leads should be given the role of **Core Co-Lead** or **Project Co-Lead**.
- A **multi-PI plan** is not needed for individual components, even when co-leads are listed.
 - The multi-PI plan is only required for the **overall**, and only if more than one PI is designated to lead the entire center.
 - Check the FOA to ensure multi-PI applications are allowable before adding more than one PI to the overall application.

The Multi-Budget Template (Template C)

[OR Budget Templates](#) are used for internal budgets. **Template C** is designed for Multi-Budget applications.

Each **Request** spreadsheet looks identical to the standard **Single Budget Template (Template A)**, but there are many of them tabbed at the bottom of the screen.

As you complete these spreadsheets, the yellow **Summary** and **Summary F&A** tabs will auto-populate.

Total Direct Costs	Choose Rate Type from Dropdown Below:	0	0	0	0	0	0
Indirect Cost Base	Rate Type: On-Campus Research	0	0	0	0	0	0
Indirect Costs		0	0	0	0	0	0
Total Costs (Direct + Indirect)		\$0	\$0	\$0	\$0	\$0	\$0

Summary	Summary F&A	R1	R2	R3	R4	R5	R7	R6	R8	R9	R10	R11	R12	F1	F2	F3	F4	F5	F6	F7	F8	F9	F10	F11	F12	P1	P2	P3
---------	-------------	----	----	----	----	----	----	----	----	----	-----	-----	-----	----	----	----	----	----	----	----	----	----	-----	-----	-----	----	----	----

↑
Request spreadsheet

↑
F&A Details for
relevant spreadsheet

↑
Personnel Reference
for relevant spreadsheet

- To aid in your organizing, you can **rename** each tab or **hide** ones that are not being used.
- If you need a custom budget template, contact Alyssa Bunn (aabunn@ucdavis.edu).
 - Example, one multi-component had 150 subawards.

A Note on Budgets

Escalations are usually cut at time of award on large center grants.

- If there is a budget limit, SPO recommends not escalating salary or benefits to avoid automatic cuts.

RESEARCH & RELATED BUDGET - Budget Period 1 Delete Period OMB Number: 4040-0001
Expiration Date: 10/31/2019

ORGANIZATIONAL DUNS: Enter name of Organization:

Budget Type: Project Subaward/Consortium Budget Period: 1 Start Date: End Date:

A. Senior/Key Person

1.	Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Col.	Acad.	Sum.	Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
2.												

Project Role:

Additional Senior Key Persons: Total Funds requested for all Senior Key Persons in the attached file:

Total Senior/Key Person:

B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total Number Other Personnel: Total Other Personnel:

Total Salary, Wages and Fringe Benefits (A+B):

Subawards

- As mentioned earlier, **the organization responsible for the majority of work on a component should lead it.**
 - If another university is leading an entire component, that University (subrecipient) can be listed as the lead on the Cover Page.
 - If UCD has some costs associated with the component led by the subrecipient, UCD's costs should be entered on the subaward budget.
 - NIH will know UCD is not an actual subaward by the associated Unique Entity Identifier (UEI) number.
- If a subaward is leading a component, and we have not charged indirect costs on the first \$25,000 of that component, the **Additional Indirect Costs** optional form needs to be added to the **Overall**.
 - See how to add **optional** forms above.

Subawards on Subawards

- Subawards on subawards are strongly discouraged and sometimes not allowed, and the indirect costs of these third-party subawards count toward the direct cost limit.
- **IMPORTANT:** If a subrecipient is leading a component, and another subrecipient to that component has costs, **enter UCD as the lead** if there is a direct cost budget limit even if UCD does not have a budget.
 - Otherwise, all the indirect costs of the second subaward will show as part of UCD's direct costs for the NIH limit (instead of being excluded.)
 - PI can be added at .01 months effort; this signals to NIH that no actual effort is provided.
 - The budget will be \$0
 - If a component or subaward is not funded in all years, create a \$0-dollar year with lead at .01 calendar (Cal) months effort.
 - The justification can indicate language like "For administrative purposes, UCD is entered as the lead institution. The PIs effort on this project is through the administrative core; .01 person months are entered to allow entry. See subaward budgets for cost details."
 - Note that this assumes all subawards will be administered by UC Davis.

Subawards – Indirect Costs

- UCD usually only charges indirect costs on the first \$25,000 of a subrecipient institution, but if a subrecipient is on more than one component, UCD should charge indirects on each instance where the subaward scope of work is led by a different PI (at the subrecipient institution).
 - These will likely be multiple subawards to the same institution.
 - If they are led by the same PI at the same organization, then they will likely be issued as a single subaward and the second instance could be **excluded**.
 - When using the multi-component OR budget template, select **Excluded** for the indirect costs on the second component and include a note that “indirect costs are calculated on project x.”
- **If there is any uncertainty** as to whether there will be multiple subawards to the same subrecipient institution, **indirect costs should be charged on all components for that subrecipient**, so the project is not underfunded.



4 Submitting the Application

Review and Submit for SPO Approval

1. Create Cayuse SP Internal Processing Form (IPF, aka “Proposal”)

- **Submission Method:** Select either **Cayuse 424** or **ASSIST**
- Upload the:
 - Funding Opportunity Announcement (FOA) and other sponsor guidelines
 - Overall Summary/Scope of Work (SOW) (*draft okay when routing IPF*)
 - Budget for each Component (*strongly recommended by SPO even if not required by sponsor*)
 - Budget Justifications (*strongly recommended by SPO even if not required by sponsor*)

2. Submit the IPF for routing

- Once the minimum required documents for SPO are attached – **SOW, Budgets** and **Budget Justifications** -- submit the IPF for routing and approval.

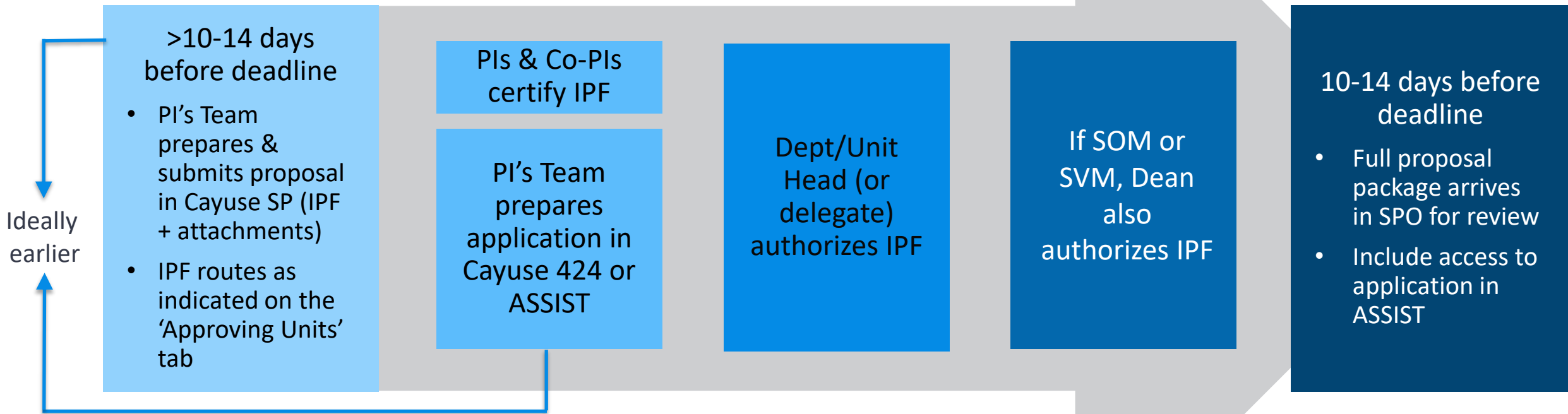
3. Complete the external application in Cayuse 424 or NIH ASSIST

4. Work with SPO during the review

- SPO will contact you during the review process and may request additional information or suggest revisions.

IPF Preparation & Routing

Multi-Component Applications take longer to review than other proposals. Therefore, submit to SPO early.



SPO's typical recommendation is to receive routed IPFs 5-7 days ahead of sponsor deadline, but this is not enough time for SPO to guarantee a full review of this large of an application.

- SPO commonly submits all multi-component applications.

Source: [PPM 230-02](#)

Proposal Document Review

Who reviews what?

SPO Proposal Analyst

- As time allows, SPO reviews the:
 - Budgets
 - Budget justifications
 - Administrative components
 - Issues that will prevent a successful submission

Department C&G Administrator

- All required components based on the project scope are included
- Formatting
 - Table of Contents
 - Page margins
 - Font/pitch
 - Line spacing
 - Characters per inch
 - Page limitations
 - Spelling and grammar

Validate & Preview the Application Package

The Principal Investigator will work with the department Contract & Grant Administrator to prepare the application package for SPO review.



1

Review and incorporate SPO feedback.

2

Request additional feedback/advice from SPO if needed.

3

Correct any errors and warnings in the submission system.

- For NIH ASSIST, **validate** the application package

4

Finalize the application for SPO submission.

Activity: Submitting the Application



Identify the best word(s) to complete each sentence.

self-addressed, stamped envelope

5-7 days before

Single Budget

Cayuse SP

NIH ASSIST

Multi-Budget

10-14 days before

budget & budget justification

1. SPO strongly encourages you to include a _____ even when not a sponsor requirement.
2. Use the OR _____ Template to ease budget preparation.
3. The full Cayuse SP proposal package should arrive in SPO _____ the sponsor deadline.
4. Validate the _____ application package, correcting any errors and warnings.



5

Resources

Resources



[NIH Multi-project Application Resources](#)

- Multi-project Application Form Instructions (PDF)
- Multi-project Annotated Form Set – FORMS-I series (PDF)
- Preparing Your Application Using ASSIST (web page)
 - Quick Start: Preparing Your Multi-project Application Using ASSIST (PDF)
 - Prepare and Submit a Multi-project Grant Application Using ASSIST (PowerPoint)
- How eRA Assembles Multi-project Applications (PDF)
- Multi-project Application FAQs

- NIH ASSIST Demo/UAT Environment: <https://public.uat.era.nih.gov/commons> *(requires login)*
 - Can create own practice PI accounts and prepare practice applications

Campus Resource: PDS Team



Proposal Development Services

Contact us at pds@ucdavis.edu


Assist faculty:

- Of all disciplines, ranks & titles
- With project of all sizes and stages of development

Services include:

- One-on-one consultations
- Coordination support (checklists, timelines, templates, boilerplate language)
- Editing support (high-level and detailed editing, developmental editing, copyediting)
- Guidance on internal/external policy, RFP interpretation
- Budget development

Other resources from PDS:

- Grantsmanship Learning Lab
- [Research Development Toolbox](#) 

A screenshot of the Research Development Toolbox website. The page has a dark blue header with navigation links: Home, Early Career Resources, Proposal Templates & Tools, Trainings & Tips, Getting Help, News, and Events. The main heading is "Research Development Toolbox". Below the heading is a welcome message: "Welcome to the Proposal Development Services (PDS) team's Research Development Toolbox! Here you will find everything you need for proposal writing. The toolbox includes an extensive library of templates, guides, checklists, and more to help UCD Faculty plan out their research. We also have recordings of previously held webinars and information about upcoming events and trainings. If there's anything you are unsure to reach out to us." Below the welcome message is a "Recent Articles" section. The first article is titled "NSF PAPPG changes starting May 2024!" and is dated February 02, 2024. To the right of the article is a large image of a hand writing on a document with a pen, and the text "Early Career Resources" is overlaid on the image. Another article titled "Propo" is partially visible on the right.

<https://proposaldev.ucdavis.edu/>

Zoom Sessions for Dept Research Administrators

Virtual one-on-one meetings with the PDS Senior Financial Analyst, **Christina Adamson**, by appointment only.

Specifically designed for campus department administrators to provide guidance in the proposal budget development process

Priority given to those working on **large proposal budgets**

Informal setting for administrative staff to ask questions on budget and administrative requirements for proposal submissions

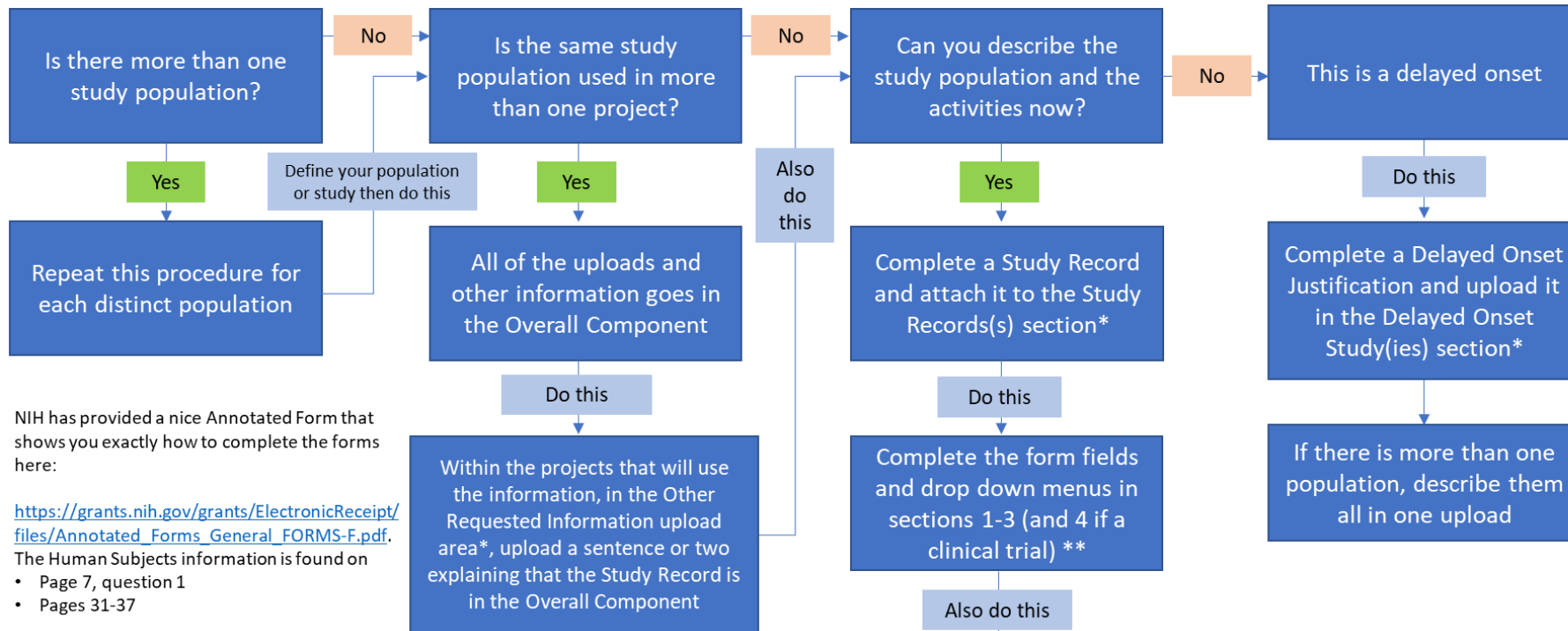
Examples of topic areas for discussion include:

- ✓ Budget Development
- ✓ Subaward Coordination
- ✓ Cost Share
- ✓ Sponsors eRA Submission and Coordination
- ✓ SPO Submission and Cayuse Coordination

To reserve a 30-minute slot for an upcoming Zoom session, e-mail Christina at cadamson@ucdavis.edu

Support for completing NIH Human Subjects information on SF424 and ASSIST

How do I enter Human Subjects information into Forms G? (for multi-component projects and/or multiple-population studies)



NIH has provided a nice Annotated Form that shows you exactly how to complete the forms here:

https://grants.nih.gov/grants/ElectronicReceipt/files/Annotated_Forms_General_FORMS-F.pdf

The Human Subjects information is found on

- Page 7, question 1
- Pages 31-37

*This upload area is found on the PHS Human Subjects and Clinical Trials Information section in ASSIST or SF424

** If you are claiming Exemption 4, you only need to complete section 1 and section 3 (and section 4 if it is a clinical trial). For question 3.1, instead of describing the protection of human subjects, you should explain why your study meets the definition of the exemption.

Create PDF Uploads to be uploaded in the following sections:
 Section 2, item 3a: Inclusion of Individuals Across the Lifespan (required)
 Section 2, item 4: Inclusion of Women and Minorities (required)
 Section 2, item 5: Recruitment and Retention Plan (required)
 Section 2, item 7: Study Timeline (required)
 Section 3, item 1: Protection of Human Subjects (required)
 Section 3, item 2: Single IRB plan (optional)
 Section 3, item 3: Data and Safety Monitoring Plan (optional)
 Section 3, item 5: Overall Structure of the Study Team (optional)

And this

Complete Section 2, Item 9: Inclusion Enrollment Report and Planned Enrollment Table (See example table at https://grants.nih.gov/grants/ElectronicReceipt/files/Annotated_Forms_General_FORMS-F.pdf, page 34 for new enrollments, or 35 if using an existing dataset)



Tip: Send an empty study record form to component leads to fill out.

Campus Resource: School of Medicine

UC DAVIS
HEALTH

SCHOOL OF
MEDICINE

Office of Research

Grants Facilitation Unit (GFU)

- Provides high-quality assistance to **UC Davis SOM faculty** at all levels in developing, writing, editing, and finalizing grant proposals (all mechanisms and all funding agencies)
- Offers educational classes and seminars

Request Grants Facilitation services via email at: somor@ucdavis.edu

Research Administration Unit

- Provides pre-award support to **SOM departments and centers**
- Assists with interpreting contracts, grants policies and general research administration support
- Serves as a resource for **UC Davis SOM research administrators.**

Request Research Administration services via email at: somra@ucdavis.edu

[Sign up](#) to receive news from Research Administration.

Campus Resource: School of Medicine

**Research Administration Virtual Office Hours
for Research Administrators:**

UC DAVIS | **SCHOOL OF**
HEALTH | **MEDICINE**

Office of Research

Bring your Pre- and Post- Award questions to the team of subject matter experts from the School of Medicine Office of Research (SOMOR) Research Administration Unit and the School of Medicine Finance Operations and Administration (FOA) team.

Examples of office hour questions:

- Reviewing an RFA
- Budget questions
- Institutional forms or requirements
- Reporting requirements
- Aggie Enterprise processes
- Research administration in clinical trials
- Policy interpretation



[Information about office hours \(PDF\)](#)

Learning Objectives recap

Definition

Know the definition of “multi-component application”

Create

Understand how to create a multi-component application in NIH ASSIST

Identify Components

Be able to determine the required elements of a multi-component application

Resources

Know where to find tools to aid in preparing and submitting multi-component applications to NIH

Contact Us

Let us know how we did:

https://ucdavis.co1.qualtrics.com/jfe/form/SV_5iKACcEFlo7hpDU

Demet Candas Green

Research Development Officer
Proposal Development Services
dcandas@ucdavis.edu

Alyssa Bunn

Contracts and Grants Officer
Sponsored Programs Office
Email: aabunn@ucdavis.edu

Perry King

Training Officer
Sponsored Programs Office
Email: pking@ucdavis.edu

Thank You!

For research-related announcements, follow
SPO on X and YouTube!





5

Using ASSIST

ASSIST: Create the Application Shell

Login to [ASSIST](#)

- Use your eRA Commons ID
- Contact spoerahelp@ucdavis.edu if you do not have an eRA Commons ID

Application Submission System & Interface for Submission Tracking
Sponsored by the National Institutes of Health

Login

User Name

Password

[Forgot Password/Unlock Account?](#)

Federated Institutions/ Organizations

Note: Effective March 22, 2018: If you are registered stating that you are the authorized Entity Administrator, please contact the eRA Commons process change.

Note: When application and grant reporting submission is delayed due to a natural disaster or other emergency, please contact the eRA Commons. Please reference notice [NOT-OD-17-106](#) in the eRA Commons.

Submit grant application
Health Service Agency

The Application Submission System & Interface for Submission Tracking allows you to submit applications electronically to NIH and other P

ASSIST: Create the Application Shell

ASSIST automatically provides application access to some individuals based on their Commons roles or role on the application.

- **All Sponsored Programs Office (SPO) analysts** at the applicant institution **have edit access for the entire application.**
- **All PD/PIs** listed on the Overall application **have edit access for the entire application.**
- The **Component Leads** (e.g., Project Lead) **have edit access for their components.**
- The person that initiates the application has edit access for the entire application.
 - SPO recommends the department administrator initiate applications in ASSIST on behalf of their PIs. This will allow the administrator to view and edit the application.
 - In cases where the PI initiates the application, please contact proposals@ucdavis.edu so SPO can grant admin access to it.
 - Please provide the ASSIST application ID and the admins eRA Commons ID, copying the PI.

ASSIST: Create the Application Shell

- Enter the Funding Opportunity Announcement (FOA) Number
- Select **Go**

Welcome to the Application Submission System & Interface for Submission Tracking (ASSIST)



INITIATE APPLICATION

Opportunity Number

(Example: PA-XX-XXX or LITC-ABCD-XX-000)

Go



SEARCH FOR APPLICATION

Search Applications

ASSIST: Create the Application Shell

- Complete the application information
- **Title** may be changed later
- Populate the **PI name** from his/her eRA Commons ID (recommended)

Create Application for FOA #: PA-EO-P01

** Required field(s)*

FOA INFORMATION

FOA Number:	PA-EO-P01
Opportunity Title:	NIH Multi-project Test FOA with optional Admin Core, Core and Project Components (P01-Clinical Trial Optional) Note: Includes Overall (required), Admin Core (optional), Core (optional), and Project (optional) components.
Offering Agency:	National Institutes of Health
CFDA Number:	93.865
CFDA Description:	Child Health and Human Development Extramural Research
Competition ID:	FORMS-E
Competition Title:	Use for due dates on or after January 25, 2018
Opportunity Open Date:	08/16/2017
Opportunity Close Date:	08/16/2020
Agency Contact:	S25Support@mail.nih.gov
Application Identifier:	

* Application Project Title (describe title in 200 characters)

Research Center to Cure the Diseases of the World

Lead Applicant Organization: * WHATSAMATTA U

Lead Applicant Organization Address: 6705 Rockledge Drive MLG
BETHESDA, MD 208171814

Lead Organization DUNS: 6162081090000

SAM Registration Expiration Date: 09/05/2018

An active SAM Registration is required to submit your application to the agency [Click for SAM Registration Details](#)

Contact Project Director/Principal Investigator

Enter PD/PI Information below or [Pre-fill Application from Username](#)

First Name:

Middle Name:

Last Name:

ASSIST: Create the Application Shell

- Populating the PI name

Application Identifier:

* Application Project Title (describe title in 200 characters)

Lead Applicant Organization: *

Lead Applicant Organization Address:

Lead Organization DUNS:

SAM Registration Expiration Date: 09/05/2018

An active SAM Registration is required to submit your application to the agency [Click for SAM Registration Details](#)

Contact Project Director/Principal Investigator

Enter PD/PI Information below or [Pre-fill Application from Username](#)

First Name:

Middle Name:

Last Name:

Pre-fill username

Please enter username

Contact Project Director/Principal Investigator

Enter PD/PI Information below or [Pre-fill Application from Username](#)

Username

First Name

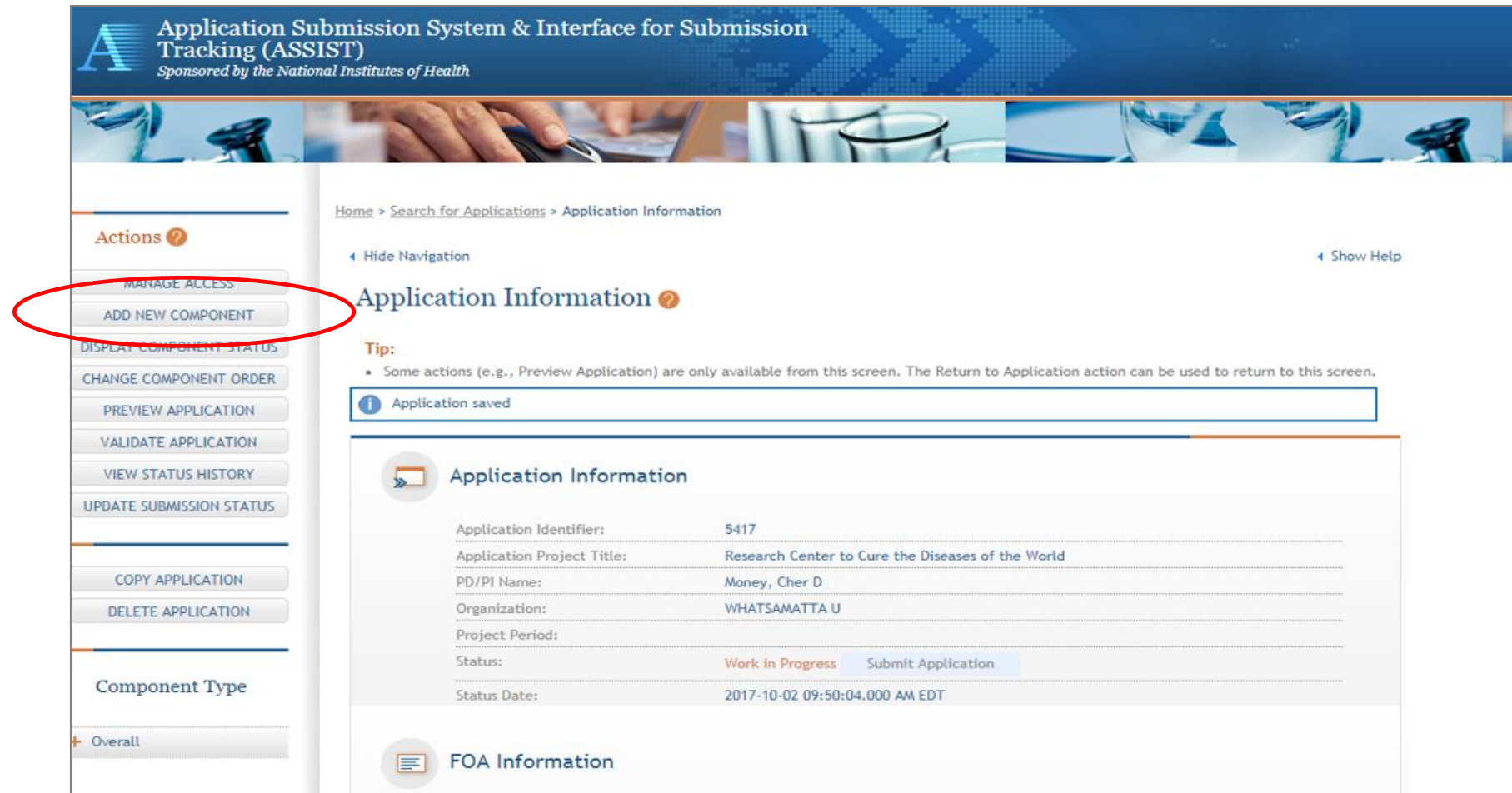
Middle Name

Last Name

Select
**Initiate
Application**

ASSIST: Create the Application Shell

- To add Components, select **Add New Component**



The screenshot displays the ASSIST web application interface. The header includes the logo and text: "Application Submission System & Interface for Submission Tracking (ASSIST) Sponsored by the National Institutes of Health". The main content area shows a breadcrumb trail: "Home > Search for Applications > Application Information". A navigation menu on the left lists various actions, with "ADD NEW COMPONENT" highlighted by a red circle. The main content area displays "Application Information" with a tip: "Some actions (e.g., Preview Application) are only available from this screen. The Return to Application action can be used to return to this screen." Below the tip is a notification box: "Application saved". The main content area also displays "Application Information" with the following details:

Application Identifier:	5417
Application Project Title:	Research Center to Cure the Diseases of the World
PD/PI Name:	Money, Cher D
Organization:	WHATSAMATTA U
Project Period:	
Status:	Work in Progress Submit Application
Status Date:	2017-10-02 09:50:04.000 AM EDT

Below the application information is a section for "FOA Information".

ASSIST: Create the Application Shell

- Select the **Component Type**, **Dates** and enter the **Project Title**
- Continue for all **Components**

Home > Search for Applications > Application Search Results > Application Information > Add Component

Hide Navigation

Add Component ?

Tips:

- Providing a unique 20-character or less Component Short Name will help you quickly identify a component when used for application preparation only and is not sent to the agency with your submission or included in the assembled application.

Project Information

- * Component Type:
- * Component Start Date:
- * Component End Date:
- * Component Project Title:

Component Short Name:

Save Cancel

Component Type

+ Overall

ASSIST: Create the Application Shell

The screenshot displays the ASSIST application interface. On the left is a sidebar with navigation buttons and a 'Component Type' list. The main content area shows 'Application Information' and 'FOA Information' details.

MANAGE ACCESS

- ADD NEW COMPONENT
- DISPLAY COMPONENT STATUS
- CHANGE COMPONENT ORDER
- PREVIEW APPLICATION
- VALIDATE APPLICATION
- VIEW STATUS HISTORY
- UPDATE SUBMISSION STATUS

Component Type

- Overall
- Admin-Core (circled in red)
- 031-Admin-Core (Admin Core)
- Core
- 588-Core (Res Core - Around)
- 466-Core (Comm Core - Lead)
- Project
- 436-Project (Focus 1 - Money)
- 263-Project (Focus 2 - Sential)
- 485-Project (Focus 3 - Doer)

Application Information

Tip:

- Some actions (e.g., Preview Application) are only available from this screen. The Return to Application action can be used to

Application Information

Application Identifier:	5419
Application Project Title:	Research Center to Cure the Diseases of the World
PD/PI Name:	Money, Cher D Round, Ben A
Organization:	Whatsamatta U
Project Period:	01/01/2019 - 12/31/2023
Status:	Work in Progress Submit Application
Status Date:	2017-10-02 10:36:04.000 AM EDT

FOA Information

FOA Number:	PA-EO-P01
Opportunity Title:	NIH Multi-project Test FOA with optional Admin Core, Core and Project Co Clinical Trial Optional) Note: Includes Overall (required), Admin Core (opt (optional), and Project (optional) components.
Agency:	National Institutes of Health
CFDA Number:	93.865
Competition ID:	FORMS-E
Competition Title:	Use for due dates on or after January 25, 2018
Opportunity Open Date:	08/16/2017
Opportunity Close Date:	08/16/2020
Agency Contact:	S25Support@mail.nih.gov

SAM Registration Expiration Date: 09/05/2018

An active SAM Registration is required to submit your application to the agency [Click for SAM Registration Details](#)

Enter and Save Info for Components

- Select the **Component**
- Select each tab (within the **Component**) to access the associated screens
- Actions are dependent on the **Component** type
 - Some actions are only available on the **Summary** tab.
 - For example, **Update Component Status** is only available if you return to the **Summary**.

Home > Search for Applications > Application Information > Component Information

Hide Navigation

Overall Component

Summary | R&R Cover | Cover Page Supplement | Other Project Information | Sites | Sr/Key Person Profile | Research Plan | Human Subjects and Clinical Trials

Component Information

Component Identifier:	Overall
Component Type:	Overall Component
Component Title:	Research Center to Cure the Diseases of the World
Component Project Lead(s):	Money, Cher D
Organization:	WHATSAMATTA U
Status:	Work in Progress
Status Date:	2017-10-02 09:50:05.000 AM EDT

Application Information

Application ID:	5417
FOA Number:	PA-EO-P01
Project Title:	Research Center to Cure the Diseases of the World

Actions ?

- RETURN TO APPLICATION
- MANAGE ACCESS
- ADD OPTIONAL FORM
- ADD NEW COMPONENT
- DISPLAY COMPONENT STATUS
- CHANGE COMPONENT ORDER
- PREVIEW CURRENT COMPONENT
- VALIDATE COMPONENT
- VIEW STATUS HISTORY
- UPDATE COMPONENT STATUS

Component Type

- Overall
- Overall

COPY APPLICATION

DELETE APPLICATION

Enter and Save Info for Components

- If needed, select **Add Optional Form** (subaward budget, assignment requests)

The image shows a two-step process in the NIH ASSIST application. In the first step, the 'Add Optional Form' button in the left-hand 'Actions' menu is highlighted with a red circle. An arrow points from this button to a modal dialog box titled 'Add Optional Form'. Inside the dialog, a dropdown menu is open, and the 'Assignment Request Form' option is highlighted with a red circle. In the second step, the 'Assignment Request Form' tab is highlighted with a red circle in the 'Overall Component' navigation bar. Below the navigation bar, the 'PHS Assignment Request Form v2.0' is displayed, with 'Edit' and 'View Burden Statement' buttons. The funding opportunity number 'PA-EO-P01' is also visible.

Home > Search for Applications > Application Information > Component Information

Hide Navigation

Overall Component

Summary R&R Cover Cover Page Supplement Other Project Information Sites Sr/Key Person Profile Research Plan Human Subjects and Clinical Trials

Actions ?

RETURN TO APPLICATION

MANAGE ACCESS

ADD OPTIONAL FORM

ADD NEW COMPONENT

DISPLAY COMPONENT STATUS

CHANGE COMPONENT ORDER

PREVIEW CURRENT COMPONENT

VALIDATE COMPONENT

VIEW STATUS HISTORY

UPDATE COMPONENT STATUS

COPY APPLICATION

DELETE APPLICATION

Add Optional Form

Select the form you wish to add

Submit Cancel

--- Select Form ---

--- Select Form ---

Additional Indirect Costs

Assignment Request Form

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Screen Rendered: 10/02/2017 10:00:54 EDT | Screen Id: ASSIST0038@2049
Version: 2.26.00

Overall Component

Summary R&R Cover Cover Page Supplement Other Project Information Sites Sr/Key Person Profile Research Plan **Assignment Request Form** Human Subjects and Clinical Trials

PHS Assignment Request Form

PHS Assignment Request Form v2.0 ?

Edit View Burden Statement

Funding Opportunity Number: PA-EO-P01

Enter and Save Info for Components

- Add date to form fields and upload documents
 - Select **Edit** on the relevant tab

Home > Search for Applications > Application Search Results > Application Information > Component Information

Hide Navigation Show Help

Overall

Tips:

- Complete this form first. Some information is forward populated to other forms.
- Multi-project applications - For the Overall component, complete the entire form. For other components, you will only be able to complete a subset of fields (Applicant Information, Type of Applicant - optional, Descriptive Title of Applicant's Project and Proposed Project Start/End Dates). Expand All will expose fields available for data entry.

Summary **R&R Cover** Cover Page Supplement Other Project Information Sites Sr/Key Person Profile Additional Indirect Costs Research Plan Human Subjects and Clinical Trials

Application for Federal Assistance OMB Number: 4040-0001
Expiration Date: 10/31/2019

SF 424 (R&R) v2.0

Edit Expand All * Required field(s)

1. * TYPE OF SUBMISSION

* Type of Submission Pre-Application Application Changed/Corrected Application

2. DATE SUBMITTED

- Note:**
Choosing **Edit** locks out other users from the page.
- Additional users can make changes to other pages, but two users cannot edit a single page at the same time.

Enter and Save Info for Components

- Save
 - Select **Save and Keep Lock** if continuing to work on that page
 - Select **Save and Release Lock** if leaving that page

20. PRE-APPLICATION

Pre-application **Add Attachment** Delete Attachment

21. COVER LETTER ATTACHMENT

Cover Letter Attachment **Replace Attachment** Delete Attachment

Save and Keep Lock **Save and Release Lock** Cancel and Release Lock

Enter Senior Personnel

- Only the PI(s) will be listed in the **Overall** section under **Senior/Key Personnel**.
- Personnel can be listed as senior in more than one component.
- A PI can be listed as PI and also as a **Component Lead**.

Summary R&R Cover Cover Page Supplement Other Project Information Sites **Sr/Key Person Profile** Research Plan

Sr/Key Person Summary

PROFILE - Project Director/Principal Investigator ?

PD/PI Name	Project Role	Action
!	PD/PI	Edit View

PROFILE - Senior/Key Person(s) Add Sr/Key

Entry #	Sr/Key Person	Project Role	Action
Nothing found to display.			

No items found.

Enter Senior Personnel

Each component will have one lead.

- Leads of components are not considered PIs.
- Component leads should be given the role of **Project Lead** or **Core Lead**.
- You can also designate a co-lead for a component.
- Co-leads should be given the role of **Core Co-Lead** or **Project Co-Lead**.
- A multi-PI plan is not needed for individual components, even when co-leads are listed.
 - The multi-PI plan is only required for the overall, and only if more than one PI is designated to lead the entire center.
- Check the FOA to ensure multi-PI applications are allowable before adding more than one PI to the overall application.

Research & Related Senior/Key Person Profile
(Expanded)
R&R Key Person Expanded v2.0 ?

Edit

PROFILE - Project Director/Principal Investigator

Add Sr/Key from other component

Credential, e.g., agency login

Prefix

* First Name

Middle Name

* Last Name

Suffix

Position/Title

Department

Organization Name

Division

* Street 1

Street 2

* City

County/Parish

State

Province

* Country

* Zip/Postal Code

Enter Senior Personnel

- **Biosketches** are only uploaded once for each person in the application.
 - If professor B is listed as a project lead and also a core investigator, only upload the biosketch in one of the two components.
 - The application will compile all biosketches at the beginning of the application upon submission.
 - PI biosketches should be uploaded in the **Overall** section.
 - Otherwise, they will not appear first in the compiled biosketch section.
- **ERA commons IDs** are needed for all key personnel.
 - Check IDs carefully for accuracy to avoid errors upon submission.
- Many multi-component projects have external or internal advisory committees. These individuals can be included in the senior personnel section as **Other Significant Contributors**, which allows inclusion of their biosketches.
 - This role means they have no defined effort, so no **Other support** will be requested for them at JIT, and commitment of effort won't be required.
 - Any other role requires effort.
 - These individuals could be optionally included in the personnel section of the budget justification, preferably under a header "Other significant contributors" but they should not be entered on the budget and no effort should be listed for them in the justification.

Budget

- You will need to type in the **Overall Budget Request** on the cover page.
 - ASSIST does not auto-populate this field.
 - To ensure you have the exact total, **Preview Application**.
 - See preview instructions below.
- The **Overall Component** does not have a budget.
 - The system will create an overall budget summary upon preview/submission.
- Fill in each component budget in as you would for a detailed R01 budget.

Performance Sites / Other Project Info

Performance Sites

- In the **Overall** only enter the primary place of performance (UCD).
- ASSIST requires inclusion of 4 additional digits after the Zip Code (Zip+4).
 - Use the [USPS Zip Code Lookup](#)
- Add any subaward performance sites to any component they are participating in.

Other Project Information

- The **Other Project Information** form on the **Overall** will reflect a summary of the individual components.
 - For example, if Human Subjects is yes on any of the components, it should be “yes” on the **Overall**.
- Some form fields on the individual components will not be active.
 - For example, the UC Davis human subjects assurance number can only be entered on the **Overall**.

ASSIST: Validate the Application

- For each Component select **Validate Component**
- **Note:** You cannot validate until every required document is uploaded.
- Therefore, it may be prudent to upload “placeholder” documents while a PI is still working on the scientific documents.
 - Because every upload in ASSIST must have a unique document title, you will need to use Placeholder 1, Placeholder 2, etc.
 - We recommend using “placeholder” or prefacing the document with DRAFT to avoid losing track of final vs. placeholder uploads.

The screenshot displays the ASSIST application interface. On the left, the 'Actions' menu is visible, with the 'VALIDATE COMPONENT' button circled in orange. An orange arrow points from this button to the 'Component Errors and Warnings Results' page on the right.

Component Errors and Warnings Results

Component Information

Component Identifier:	Overall
Component Type:	Overall Component
Component Title:	Research Center to Cure All the Diseases of the World
Component Project Lead(s):	MONEY, CHER D ROUND, BEN A
Organization:	WHATSAMATTA U

Total Errors to be corrected before the application can be submitted: 2
Total Warnings to be reviewed and corrected based on applicant discretion: 1

Errors

Component ID & Title	Form Name	Error Message
Overall	Sr/Key Person Profile	The eRA Commons Username has not been specified in the "Credential" field on the Senior/Key Person page for PD/PI Ben Round (005.48.1)
Overall	Research Plan	The Research_Strategy.docx attachment is not in PDF format. All attachments must be provided to the agency in PDF format with a .pdf extension. (000.8)

Warnings

Component ID & Title	Form Name	Warning Message
Overall	Other Project Information	In most cases, a Bibliography and References Cited attachment should be included. (004.22.1)

ASSIST: Validate the Application Package

- Choose **Return to Application** and then **Validate Application**

The screenshot displays the ASSIST application interface. On the left, the 'Actions' menu contains several buttons: 'DISPLAY COMPONENT STATUS', 'CHANGE COMPONENT ORDER', 'PREVIEW APPLICATION', 'VALIDATE APPLICATION' (circled in orange), 'VIEW STATUS HISTORY', and 'UPDATE SUBMISSION STATUS'. An orange arrow points from the 'VALIDATE APPLICATION' button to the 'Application Information' section on the right. The 'Application Information' section contains a table with the following data:

Application Identifier:	5419
FOA Number:	PA-EO-P01
Application Project Title:	Research Center to Cure the Diseases o
PD/PI Name:	Money, Cher D Round, Ben A
Organization:	Whatsamatta U

Below the table, the text 'All Validations Passed' is displayed and circled in orange. A 'Tip' section above the table states: 'Some actions (e.g., Preview Application) are only available from this screen. The Return to Application action can be used to return to this screen.'

ASSIST: Preview the Application Package

- Select Preview Application
- Select Generate Preview
- Select View

Home > Search for Applications > Application Search Results > Application Information > Preview Application

Hide Navigation

Preview Application

Tips:

- ASSIST allows one application preview request to be active at a time.
- The Status shown does not automatically update - use the Refresh Status button to get current status.
- Previewing a large application image can take several minutes. You may want to view the last one available.

User	Status Date	Status	Action
Wise, Penny	Mon Oct 02 14:56:03 EDT 2017	Preview Available	View

[Generate Preview](#)

OMB Number: 4040-0001
Expiration Date: 10/31/2019

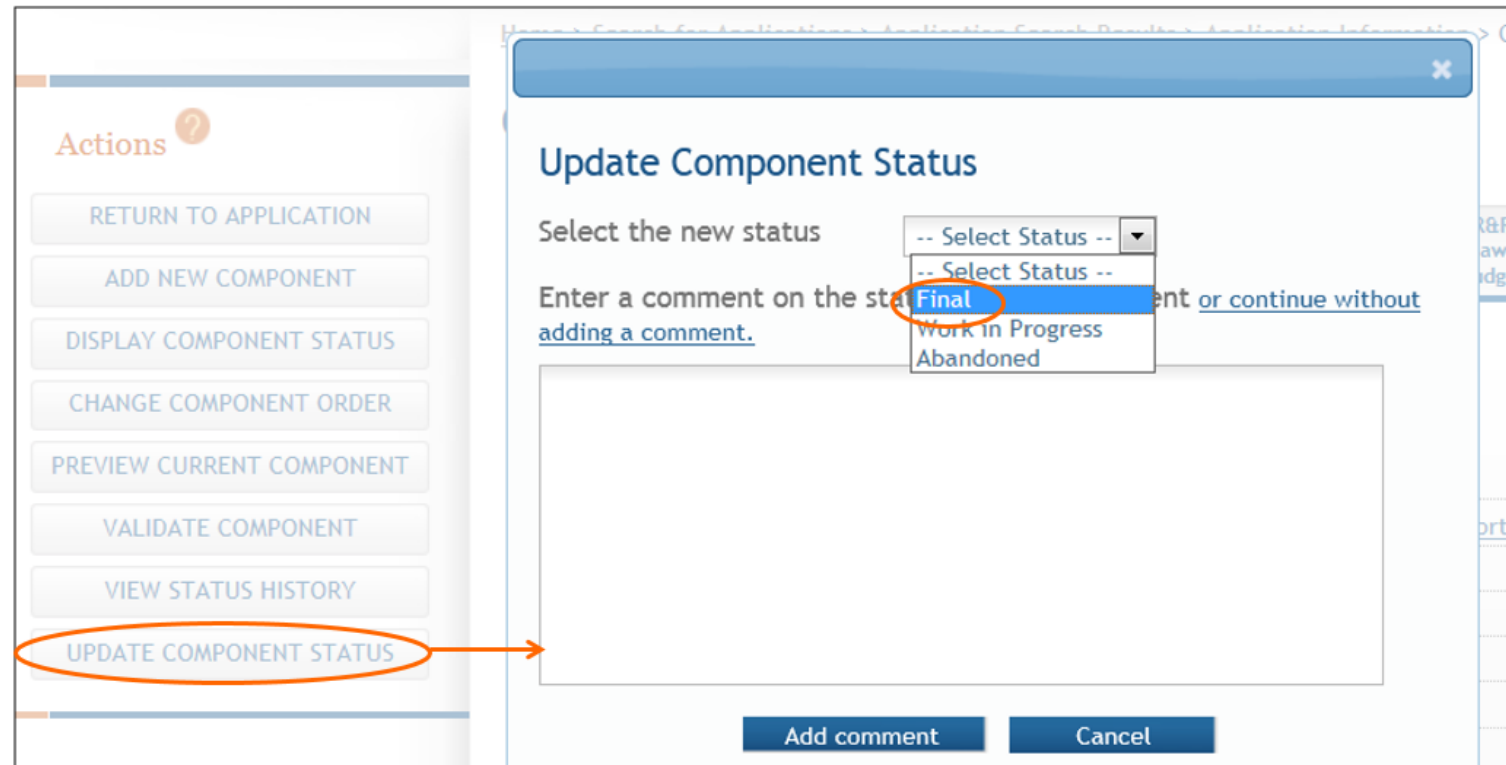
APPLICATION FOR FEDERAL ASSISTANCE SF 424 (R&R)

1. TYPE OF SUBMISSION*		3. DATE RECEIVED BY STATE	State Application Identifier
<input type="radio"/> Pre-application <input checked="" type="radio"/> Application <input type="radio"/> Changed/Corrected Application		4.a. Federal Identifier	
2. DATE SUBMITTED		b. Agency Routing Number	
Application Identifier		c. Previous Grants.gov Tracking Number	
5. APPLICANT INFORMATION			
Legal Name*: Whatsamatta U		Organizational DUNS*: 6162081090000	
Department:			
Division:			
Street1*: 6705 Rockledge Drive			
Street2:			
City*: Bethesda			
County:			
State*: MD: Maryland			
Province:			
Country*: USA: UNITED STATES			
ZIP / Postal Code*: 208171884			

Person to be contacted on matters involving this application

ASSIST: Finalize the Application Package

- **IMPORTANT:** Do not finalize the application until SPO conducts a final review.
 - As indicated earlier, build in time (received 10-14 days ahead of deadline) for SPO final review.
- Once SPO gives the go-ahead, Select **Update Component Status**
- Change the status to **Final**



ASSIST: Finalize the Application Package

- Ensure all Components are in **Final** status

The screenshot displays the ASSIST application status interface. On the left, there is a sidebar with 'Actions' and 'Component Type' sections. The 'Actions' section includes buttons for 'RETURN TO APPLICATION', 'ADD NEW COMPONENT', 'DISPLAY COMPONENT STATUS', 'CHANGE COMPONENT ORDER', 'VIEW STATUS HISTORY', and 'COPY APPLICATION'. The 'Component Type' section shows a tree view with 'Overall', 'Admin-Core', 'Core', and 'Project' categories. The 'Core' category is expanded, showing '485-Core (Res Core - Around)' and '828-Core (Comm Core - Lead)'. The main content area is titled 'Application Status' and contains an information box with instructions on how to update a status. Below this is a table with two columns: 'Status' and 'Next Step'. The 'Status' column has a value of 'Work in Progress' which is circled in orange. The 'Next Step' column contains the text 'Update status to All Components Final once all components are in a Final or Abandoned status.' Below this table is another section titled 'Component Statuses' with a table listing component IDs, their statuses, and next steps. The 'Status' column in this table has a value of 'Final' which is circled in orange. The table also includes a pagination indicator '1 - 7 of 7 records, Page 1 of 1'.

Actions ?

- RETURN TO APPLICATION
- ADD NEW COMPONENT
- DISPLAY COMPONENT STATUS
- CHANGE COMPONENT ORDER
- VIEW STATUS HISTORY
- COPY APPLICATION

Component Type

- Overall
- Admin-Core
- Core
 - 485-Core (Res Core - Around)
 - 828-Core (Comm Core - Lead)
- Project

Application Status ?

To update a status start by selecting the Update Submission Status button in the left column from:

- Any form in an Application for the Application
- Component Summary for a Component

Status	Next Step
Work in Progress	Update status to All Components Final once all components are in a Final or Abandoned status.

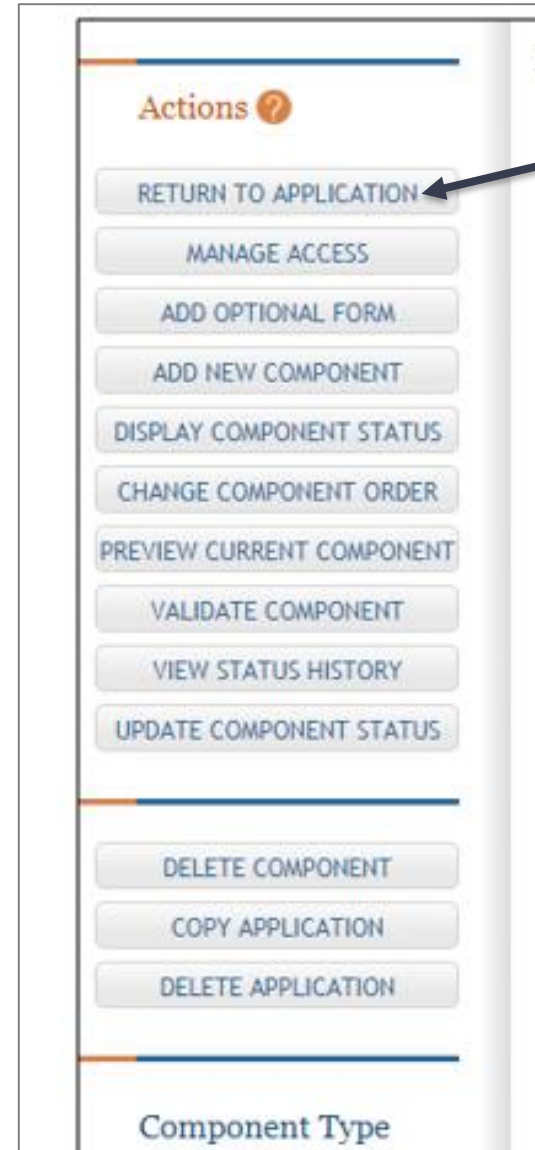
Component Statuses

1 - 7 of 7 records, Page 1 of 1

Component ID	Status	Next Steps
Overall	Final	Final status may be updated to: <ul style="list-style-type: none">Work in Progress
031-Admin-Core	Final	Final status may be updated to: <ul style="list-style-type: none">Work in ProgressAbandon
485-Core	Final	Final status may be updated to: <ul style="list-style-type: none">Work in ProgressAbandon
828-Core	Final	Final status may be updated to: <ul style="list-style-type: none">Work in ProgressAbandon
847-Project	Final	Final status may be updated to: <ul style="list-style-type: none">Work in ProgressAbandon
687-Project	Final	Final status may be updated to: <ul style="list-style-type: none">Work in ProgressAbandon
027-Project	Final	Final status may be updated to: <ul style="list-style-type: none">Work in ProgressAbandon

ASSIST: Finalize the Application Package

- Return to the application to finalize the **Overall Application**



ASSIST: Finalize the Application Package

- Select **Update Submission Status**
- Select **All Components Final**
 - Once this is done, the application is no longer editable.
 - If SPO has not yet approved and additional edits are required, the entire finalization process has to be reversed, which is time consuming.

The screenshot displays the ASSIST application interface. On the left, a sidebar titled 'Actions' contains several buttons, with 'UPDATE SUBMISSION STATUS' highlighted in blue and circled in orange. An orange arrow points from this button to a modal dialog box titled 'Update Submission Status'. The dialog box contains a dropdown menu for 'Select the new status' with 'All Components Final' selected and circled in orange. Below the dropdown is a text input field for 'Enter a comment on the status' and a large empty text area. At the bottom of the dialog are 'Add comment' and 'Cancel' buttons. The background shows the 'Application Information' page with a navigation breadcrumb and a tip message.

Home > Search for Applications > Application Search Results > Application Information

Application Information

Tip:

- Some actions (e.g., Preview Application) are only available from this screen. The Return to Application action can be u

Update Submission Status

Select the new status -- Select Status --

Enter a comment on the status or continue without adding a comment.

All Components Final

Abandoned

Add comment Cancel

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Screen Rendered: 04/02/2015 03:18:05 EDT | Screen Id: ASSIST0034@2033
Version: 2.13.00

ASSIST: Finalize the Application Package

- Then select **Ready for Submission**
- SPO will submit to NIH

The screenshot displays the ASSIST application interface. On the left, a sidebar titled 'Actions' contains several buttons, with 'UPDATE SUBMISSION STATUS' highlighted in blue and circled in orange. An orange arrow points from this button to a modal dialog box titled 'Update Submission Status'. The dialog box has a close button (X) in the top right corner. It contains a dropdown menu labeled 'Select the new status' with 'Ready for Submission' selected and circled in orange. Below the dropdown is a text input field for a comment, followed by 'Add comment' and 'Cancel' buttons. At the bottom of the dialog, there is a footer with copyright information: '© 2022 NIH. All Rights Reserved. Screen Rendered: 08/11/2022 02:33:05 EDT | Screen Id: ASSIST0034@6213 Version: 2.54.00.084'. The background shows the 'Application Information' page with a breadcrumb trail: 'Home > Search for Applications > Application Search Results > Application Information'. The 'Application Information' title is circled in orange, and a tip below it states: 'Tip: Some actions (e.g., Preview Application) are only available from this screen. The Return to Application action can be u...'