Baylor University

CARA
ELEVATING RESEARCH AND COMPLIANCE

HOW TO CREATE A FUNDING PROPOSAL

Follow the below step-by-step instructions to create a new funding proposal in CARA and submit it for review. These instructions outline the process of creating a new funding proposal and completing the proposal SmartForm pages.

Table of Contents

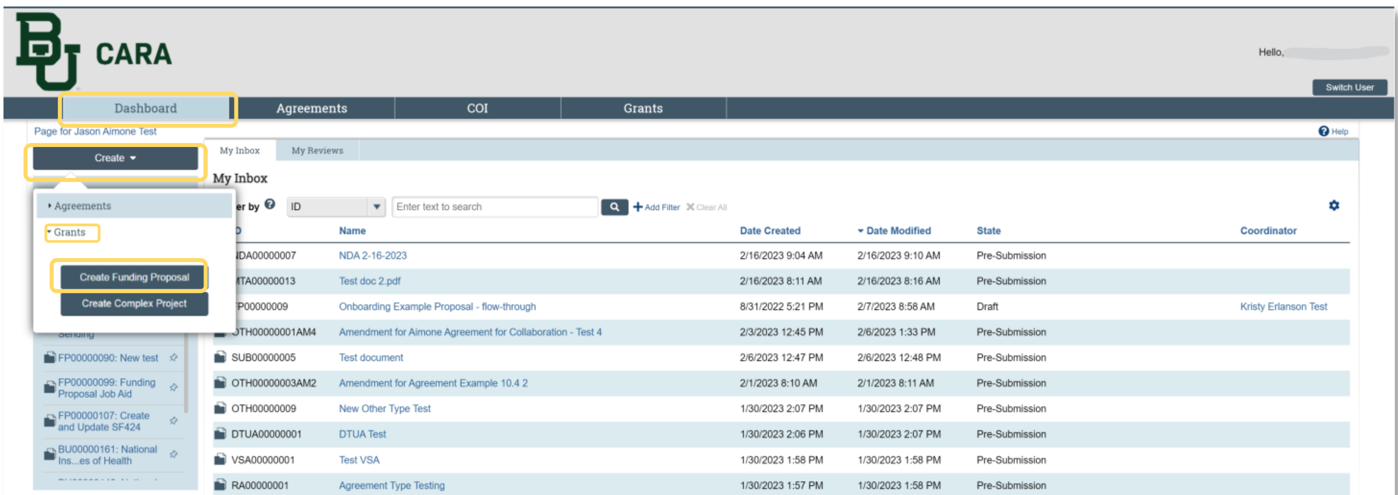
Before Creating a New Proposal

- Identify and contact your University Research Administrator ('URA'): [Find your URA]
- Review the Sponsor's RFA for any required documents and submission deadlines.

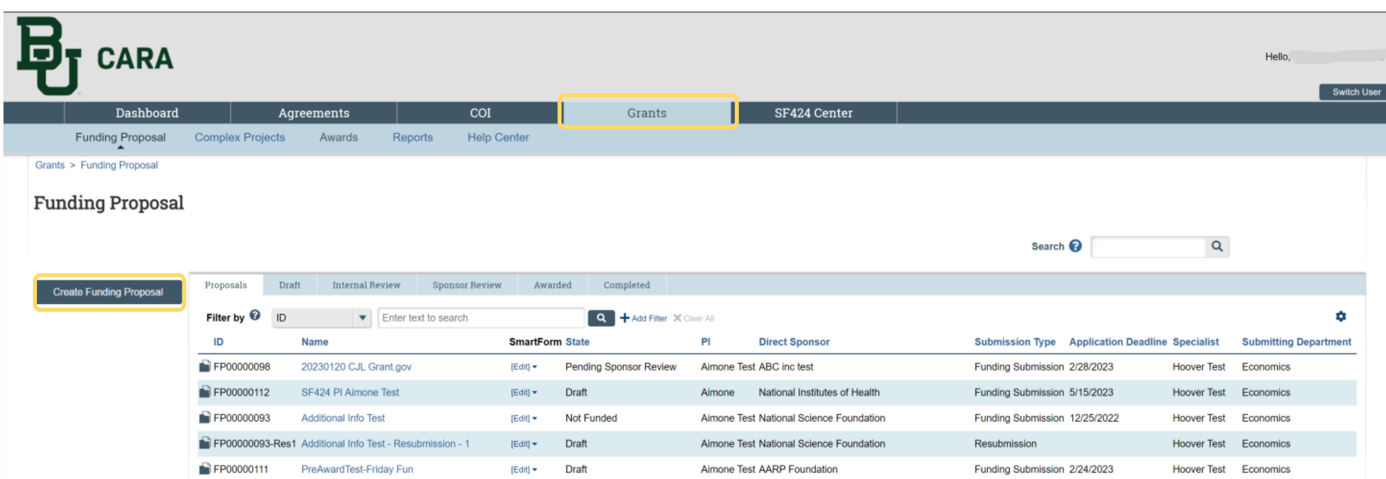
1. Create Funding Proposal

Log-in to CARA (using Baylor single sign on login credentials) from the OVPR home page.

From the Dashboard, select Create > Grants > Create Funding Proposal.



Alternatively, select the Grants tab, and click 'Create Funding Proposal'.



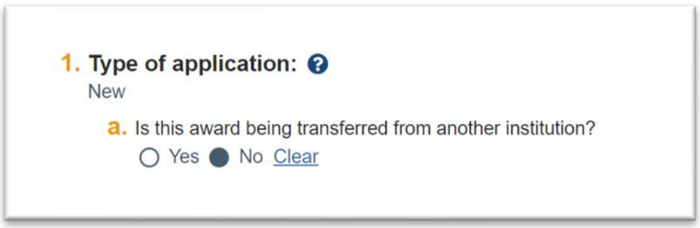
Using either path, the SmartForms for a new funding proposal will open.

2. Complete the Funding Proposal SmartForms

Creating a new proposal will open the Funding Proposal SmartForms.

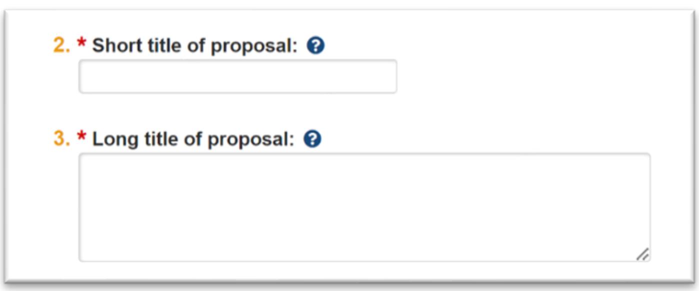
Complete each question on the SmartForm with your relevant proposal information. *Note:* Clicking the blue question mark icon will open a Help Text bubble that provides additional guidance for that field.

2.1 General Proposal Information SmartForm



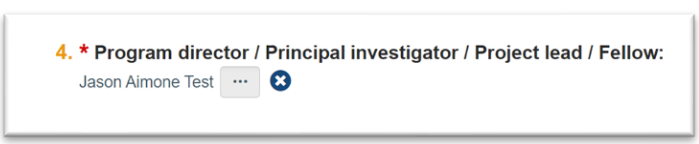
1. Type: The proposal type defaults based on how the proposal is created.

a. Transferred: Defaults to 'No', change to 'Yes' if applicable.



2. Short title: Enter a descriptive name for the project (50-character maximum). The short title identifies the project throughout Grants, such as in project listings and workspaces. If this will be an S2S application, this will also be the application filing name.

3. Long title: Enter the full title of this project (255-character maximum). If this will be an SF424 application, the long title will be mapped to the appropriate blanks in the SF424 forms.

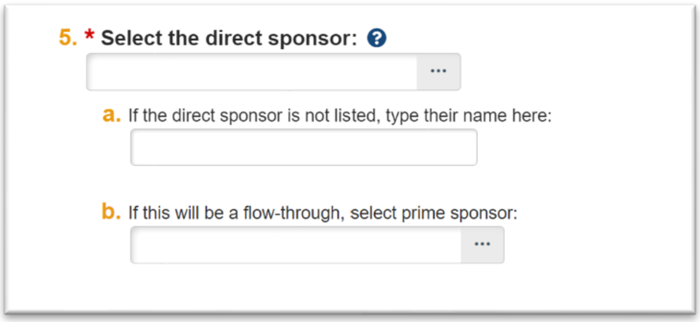


4. Principal investigator: Enter the PI's name. The field will default to the person creating the proposal record. To change the PI, click the 'x' next to the name > type the PI's name into the box or click the ellipsis to search from a list of all users > add the correct PI.

Note:

- If this is a fellowship, the named PI or fellow should be listed in this field. The mentor will be added on the Personnel SmartForm Page. See below job aids for more information.

- If the PI is a graduate student fellow or mentee, see ____ job aid for procedure.
- If the PI is not at Baylor yet, see ____ job aid for procedure.

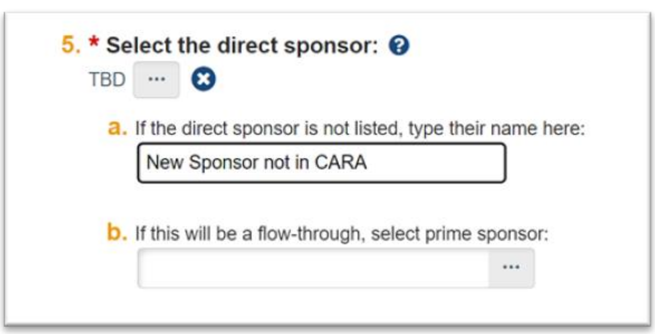


5. Direct sponsor: Enter the sponsor's name or search for keywords. The *direct sponsor* disburses funds directly to fund the project.

a. Sponsor name: Use this field if the Direct Sponsor for the proposal is not available in CARA. Select "TBD" for Direct Sponsor and type the sponsor's name into field 5a.

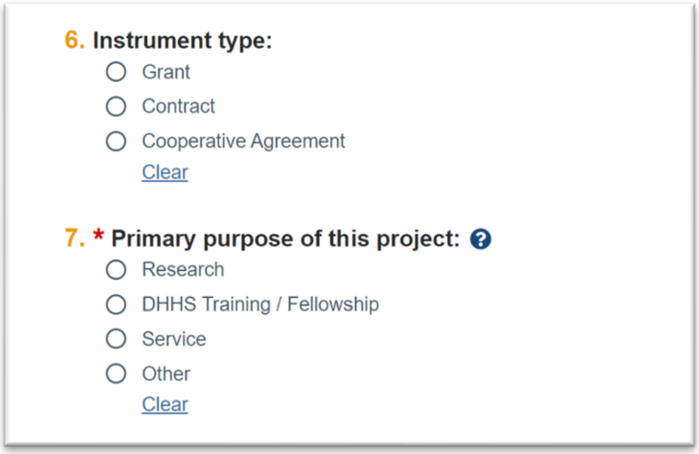
If you add a TBD sponsor, please complete the following:

- If you add a sponsor this way, please email postaward@baylor.edu to request that the sponsor be added. Put "New Sponsor set-up" in the subject line, and include the sponsor's name, type, address, phone/email info.
- After the CARA support team informs you that the sponsor has been added, return to this page, change "TBD" in box 5 to the name of the sponsor and remove the name of the sponsor from box 5a. This should be updated prior to submitting for review.



b. Prime sponsor: Enter the prime sponsor's name if this award is a flow-through.

For example, this field should be entered for a proposal when NSF grants funding to Harvard and Harvard Subcontracts to Baylor. Harvard would be the direct sponsor and NSF would be the prime sponsor.


6. Instrument type:
- Grant
- Contract
- Cooperative Agreement

Clear

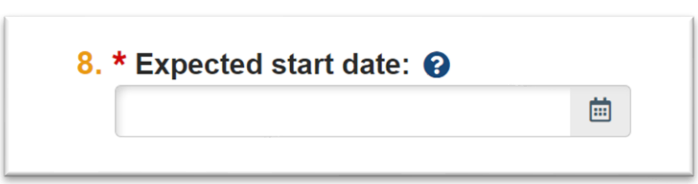
7. * Primary purpose of this project:
- Research
- DHHS Training / Fellowship
- Service
- Other

Clear

6. Instrument type: Select the instrument type.

7. Primary purpose: Select the primary purpose. *Note:* If 'Research' is selected, an additional question will appear and you will need to select Basic, Clinical, Translational, or Other.

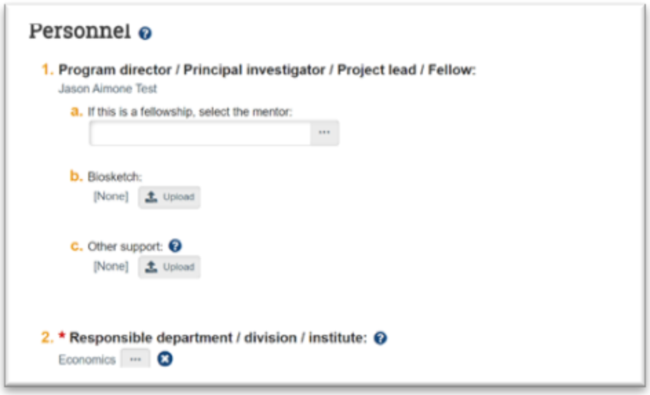
Purpose	Description
Research	Research activities include the rigorous inquiry, experiment, or investigation to increase the scholarly understanding of the involved discipline.
- Basic	Basic research involves scientific exploration that can reveal fundamental mechanisms of biology, disease, or behavior.
- Clinical	Clinical research involves studying human subjects through surveys, health services research, or clinical trials.
- Translational	Translational research involves studies that aim to translate basic scientific findings in a laboratory setting into potential treatments for disease.
- Other	Any research activity that does not meet the criteria of the above categories.
DHHS Training/Fellowship	The primary purpose of the sponsored project is to provide research training to selected students or postdoctoral scholars.
Service	Any sponsored project or activity that aims to provide knowledge or resources to improve a particular community or public region.
Other	Any sponsored project or activity that does not meet the criteria of the above categories.


8. * Expected start date:

8. Start date: Enter expected start date or select from the calendar.

Click continue at the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.2 Personnel SmartForm



1. Principal investigator: Defaults from the PI entered on General Submission Information SmartForm.

a. Mentor: Enter the mentor (faculty member) if this is a fellowship.

b. Biosketch: Upload as required by the RFP.

c. Other support: Upload current and pending as required by the RFP.

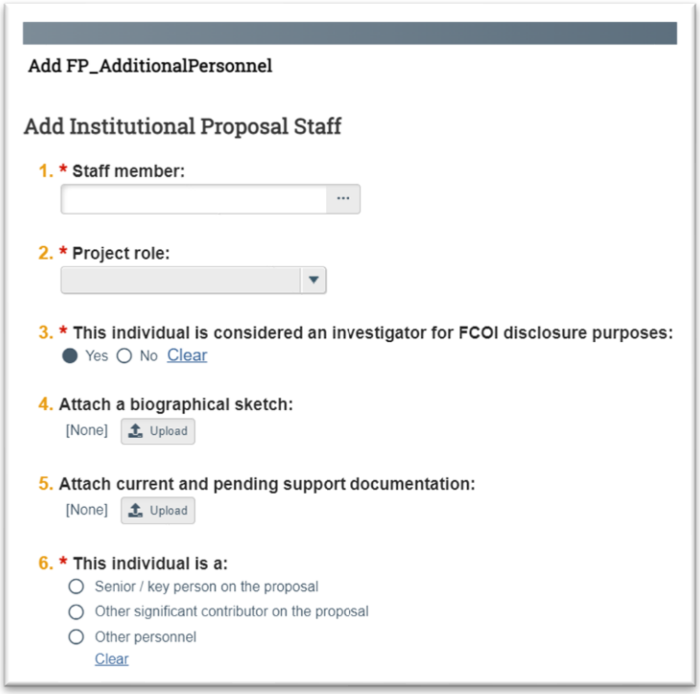
2. Responsible department: Enter the responsible/submitting department. *Note:* This field will default to PI's home department if the department is setup with departmental proposal approvers in CARA.

If you receive an error saying the department does not have approvers, please confirm you have selected the correct department in Q2 and then reach out to CARA Support at cara@baylor.edu if this department should be set up for submission.

3. Project personnel

a. Institutional personnel: Baylor personnel on the project should be listed here. (The PI listed in Q1 does *NOT* need to be added again in Q3a.) Additional personnel may also be listed if known, however it's not required to list additional personnel that are not named in the proposal (e.g. Graduate students who may not be known yet). *Note*: that personnel added here will be available for selection when developing the proposal, and TBD personnel can be added.

Click 'Add' button to add personnel > enter their information on the fly-in window.



1. Staff member: Search and select personnel.

2. Project role: Select project role based on the below project role chart.

Project Role	Notes
Co-Investigator	Use for co-investigators on NIH or NASA proposals, as appropriate.
Consultant	Do not use.
Co-PD/PI	Use for Co-PIs
Faculty	Use if appropriate. (Can be used for contributor not named in another project role.)
Graduate Student	Use only if the graduate student is named on the proposal.
Other Professional	Use as appropriate. (May be used for professional specialist or other contributors that do not fit into another Project Role.)
Post-Doctoral	Use general Post-Doctoral role for *all* post docs.
Post-Doctoral Associate	Do not use.
Post-Doctoral Scholar	Do not use.
Technician	Use for technicians.
Undergraduate Student	Use only if the undergraduate student is named on the proposal.
Secretarial/Clerical	Use for administrative personnel.
PD/PI	Use for multi-PI awards, such as for NIH where Co-PI designation is not used. Use for all other PI's not listed on personnel question 1.
Other (Specify)	Do not use for internal people.

Select the appropriate roles based on the funding source you are proposing for. Contact your URA if you are unsure which role to select.

3. FCOI disclosure: This answer defaults to 'Yes'. *Note:* For all 'Senior or Key Personnel' (See Q6 below) the answer *must* be 'Yes'.

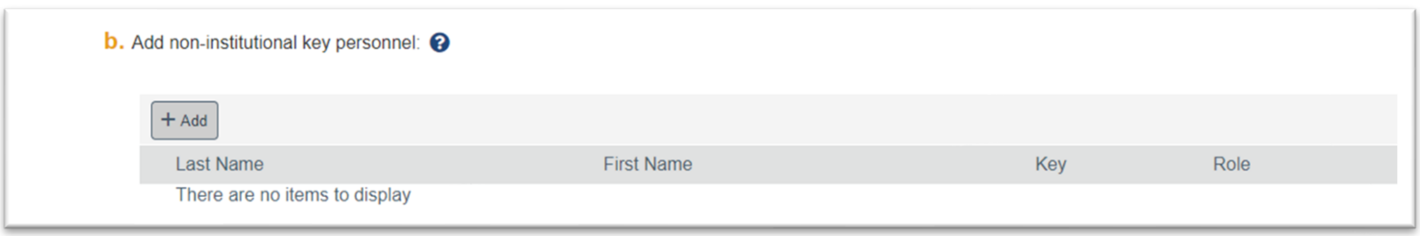
4. Biosketch: Upload as required by RFP. *Note:* Upload is not required to continue, but creator should return and upload a Biosketch for Institutional Personnel here before submission.

5. Current and Pending: Upload as required by the RFP. *Note:* Upload is not required to continue, but creator should return and upload Institutional Personnel C&P here before submission.

6. Individual is: Select if the person is Senior/Key personnel, Other significant contributor, or Other personnel.

- **Senior/key personnel:** As determined by the RFP and sponsor guidance.
- **Other significant contributor:** NIH term referring to individuals who have committed to contribute to the scientific development or execution of a project but are not committing measurable effort to the project.
- **Other personnel:** Additional personnel on the project who are not key. May include graduate students, secretarial/clerical, other professionals, etc.

Click "OK" if you are finished adding all institutional personnel, or "OK and Add Another" if there are more institutional personnel on the proposal.



b. Non-Institutional key personnel: This field is intended for non-Baylor project personnel.

If there are non-institutional personnel on the proposal, see Appendix A for details about completing the non-institutional staff fly-in.

4. Administrative personnel: Review and add administrative personnel as needed.

a. Administrative contact: The department's assigned URA should be the administrative contact. This person will receive email notifications if the department reviewer or OVPR requests changes, if Final Review has been completed, and if JIT changes are requested for the funding proposal.

Note: The proposal creator defaults as the administrative contact. Update to the URA as necessary. This field should not be blank.

b. Proposal editors: Editors are institutional personnel who can view and edit the proposal. Editors will default based on the selected responsible department, and additional editors may be added if needed.

c. Proposal readers: Enter any individuals who may need read only access to the proposal.

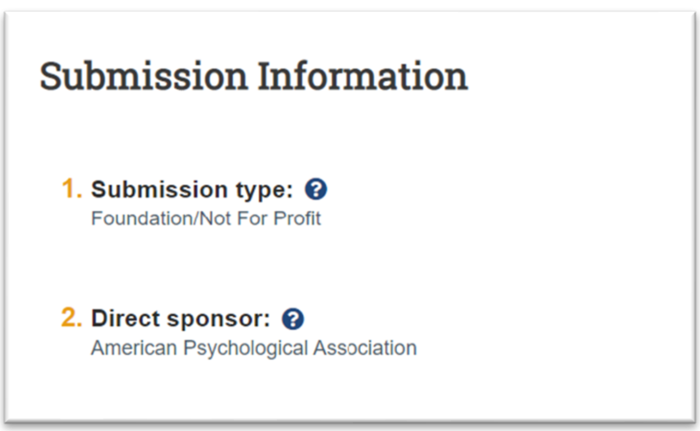
Click continue at the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.3 Submission Information SmartForm

The submission information page will request different information based on if the sponsor of the proposal is federal, non-federal, or a flow-through.

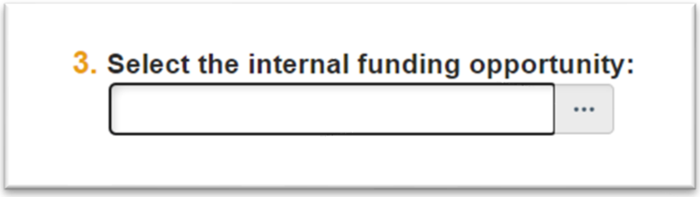
2.3.1 Non-Federal Proposals

This SmartForm page will appear when submitting a non-federal proposal, including internal submissions. This does not include flow-through proposals where Baylor is the subrecipient.



1. Submission type: Defaults based on sponsor information.

2. Direct sponsor: Defaults based on sponsor entered in General Proposal Information

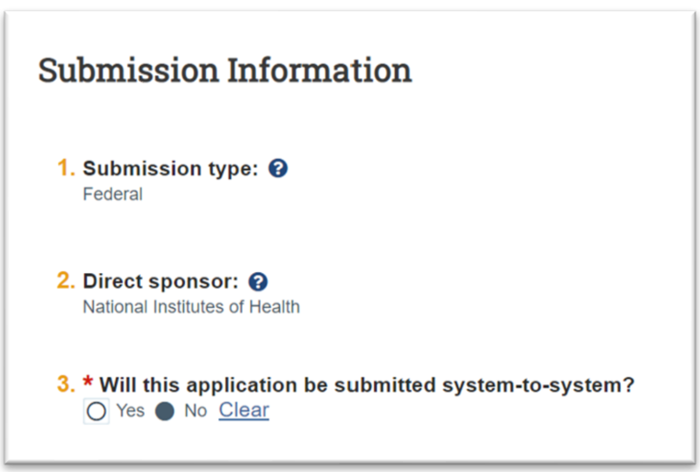


3. Internal funding opportunity: This field will only appear if Baylor University is selected as the Direct Sponsor on the General Submission Information page. This should only be used when the funding on the main award has already been received from an external sponsor and there is an internal competition to divide that funding. Select the appropriate internal funding opportunity.

3. General submission documents: Click the 'Add' button to upload submission documents. Documents may include RFP, SOW, or narratives.

2.3.2 Federal Proposals

This SmartForm page will appear when Baylor is submitting a federal proposal. For federal proposals, the Submission Information page is where you will determine if the application is being submitted system to system (S2S) or not.

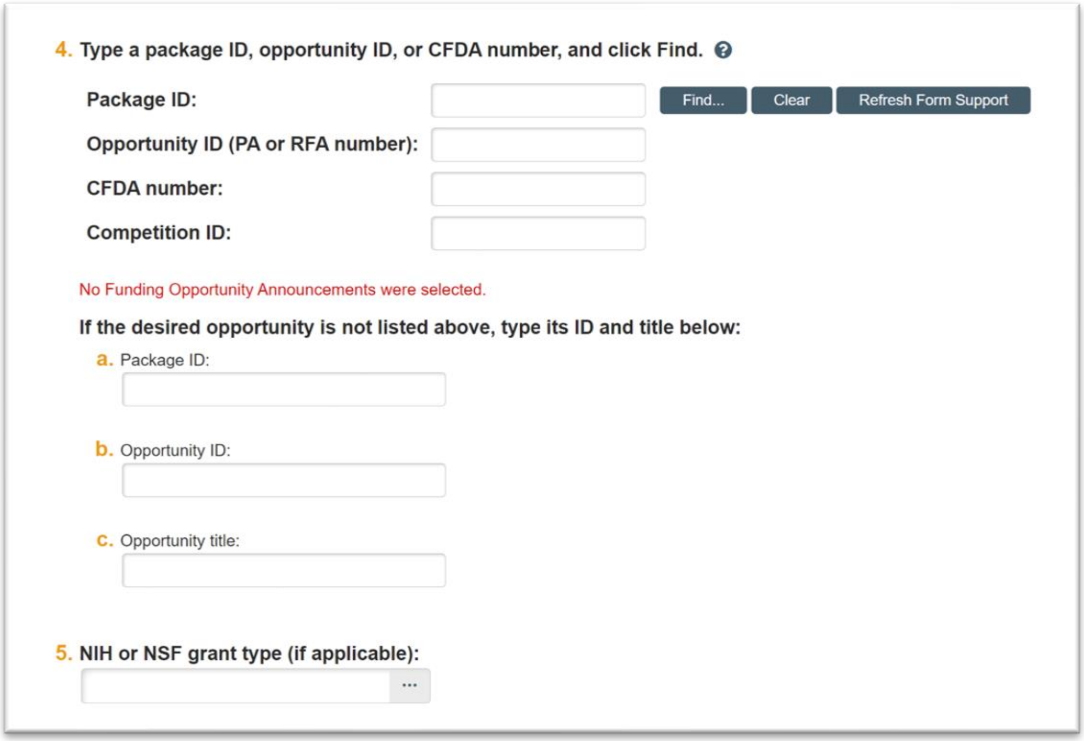


1. Submission type: Defaults based on sponsor information.

2. Direct sponsor: Defaults based on sponsor entered in General Proposal Information

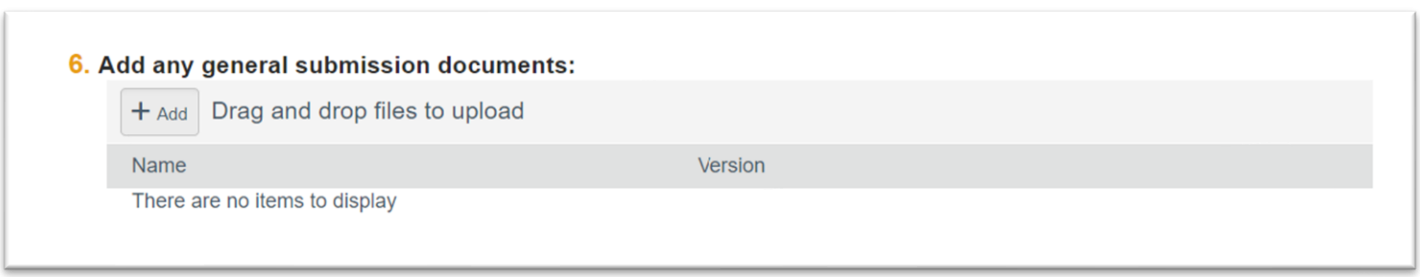
3, System-to-system: Defaults as 'No'. Select 'Yes' or No'.

*If the application is **NOT** being submitted S2S:*



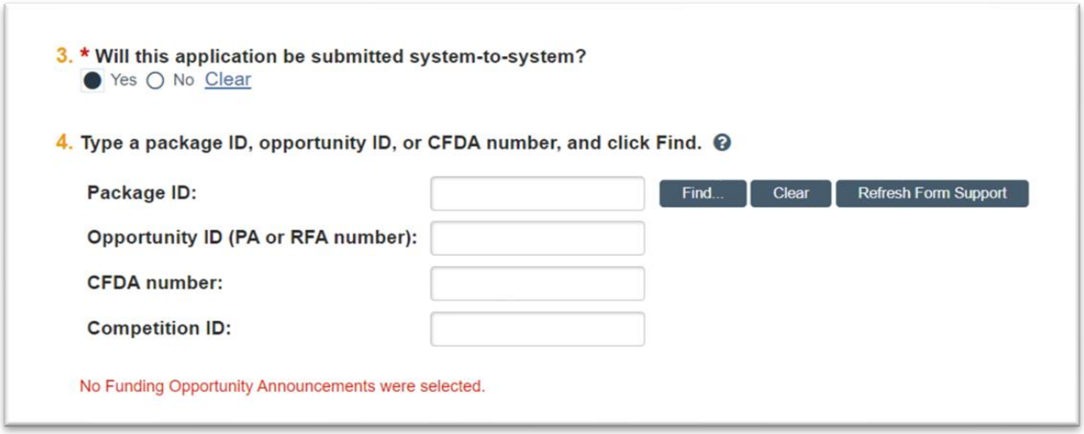
4. Package ID, Opportunity ID, or CFDA: Search for the funding opportunity in **4** using the Opportunity ID or go directly to **4b**. Enter Opportunity ID (4b) and Opportunity Title (4c) if available.

5. NIH grant type: Select type using the ellipsis if this proposal is funded by NIH.



6. General submission documents: Click the 'Add' button to upload submission documents. Documents may include RFP, SOW, or narratives.

*If the application **IS** being submitted S2S:*

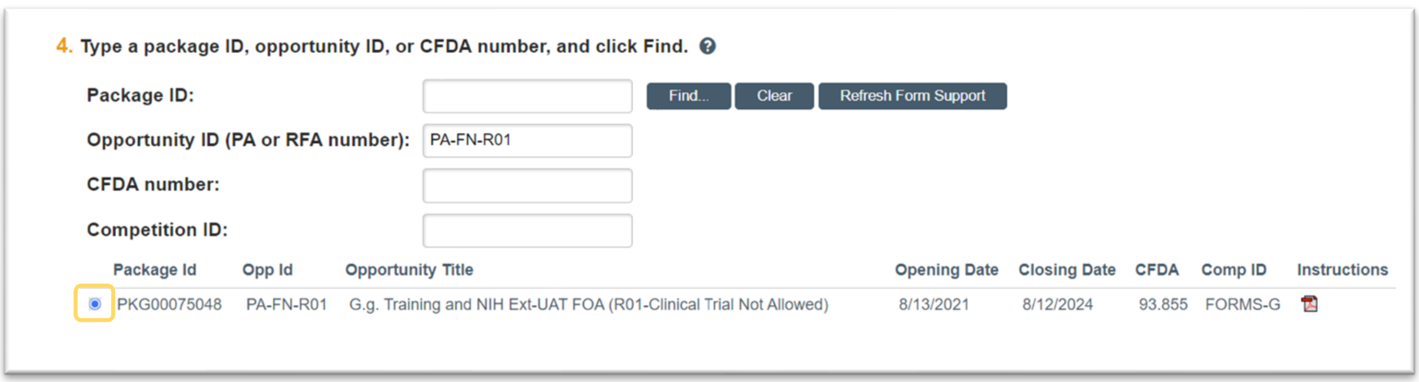

3. * Will this application be submitted system-to-system?
Yes No Clear

4. Type a package ID, opportunity ID, or CFDA number, and click Find.

Package ID: Find... Clear Refresh Form Support
Opportunity ID (PA or RFA number):
CFDA number:
Competition ID:

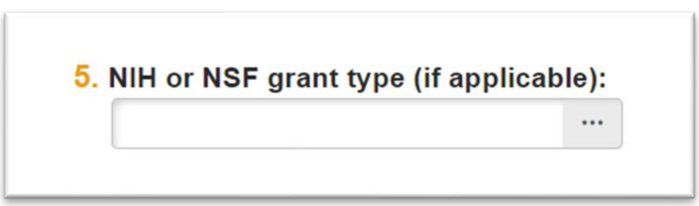
No Funding Opportunity Announcements were selected.

4. Enter the: Package ID, Opportunity ID, CFDA number, or Competition ID and click 'Find' to search for the Funding Opportunity. Opportunity ID is the most common way to search. When you locate the opportunity, select the radio button next to the Package ID to select it.


4. Type a package ID, opportunity ID, or CFDA number, and click Find.

Package ID: Find... Clear Refresh Form Support
Opportunity ID (PA or RFA number): PA-FN-R01
CFDA number:
Competition ID:

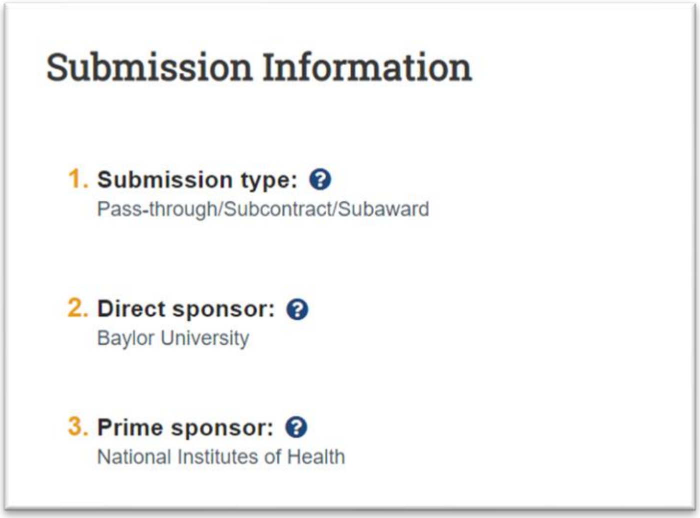
Package Id	Opp Id	Opportunity Title	Opening Date	Closing Date	CFDA	Comp ID	Instructions
PKG00075048	PA-FN-R01	G.g. Training and NIH Ext-UAT FOA (R01-Clinical Trial Not Allowed)	8/13/2021	8/12/2024	93.855	FORMS-G	


5. NIH or NSF grant type (if applicable):

5. NIH grant type: Select type using the ellipsis if this proposal is funded by NIH.

Note: You do not need to upload any General Submission Documents at this time, as they will be uploaded directly to the SF-424.

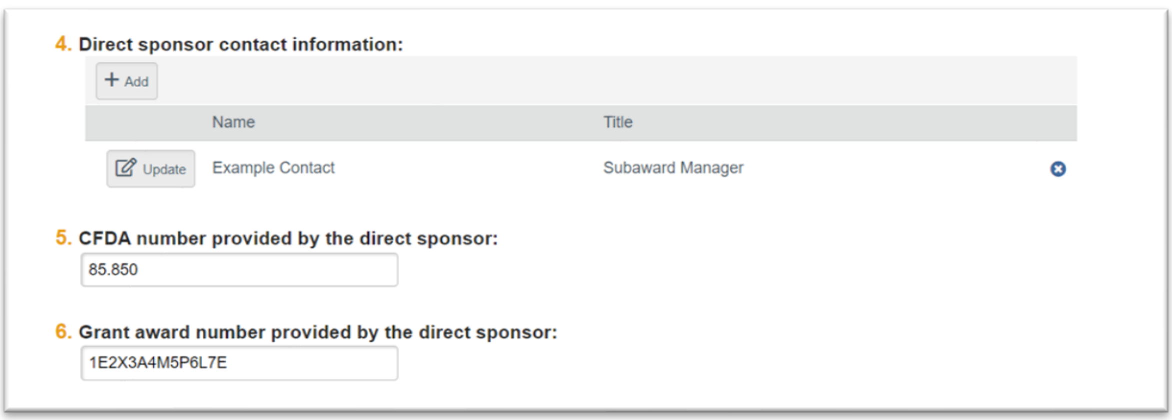
2.3.3 Flow-through/Subaward



1. Submission Type: Defaults to Pass-through/Subcontract/Subaward when both a Direct and Prime sponsor are listed on the General Proposal Information page

2. Direct Sponsor: Defaults based on sponsor entered on the General Proposal Information page.

3. Prime Sponsor: Defaults based on prime sponsor entered on the General Proposal Information page.



4. Direct Sponsor Contact: List the direct sponsor contact information, if available.

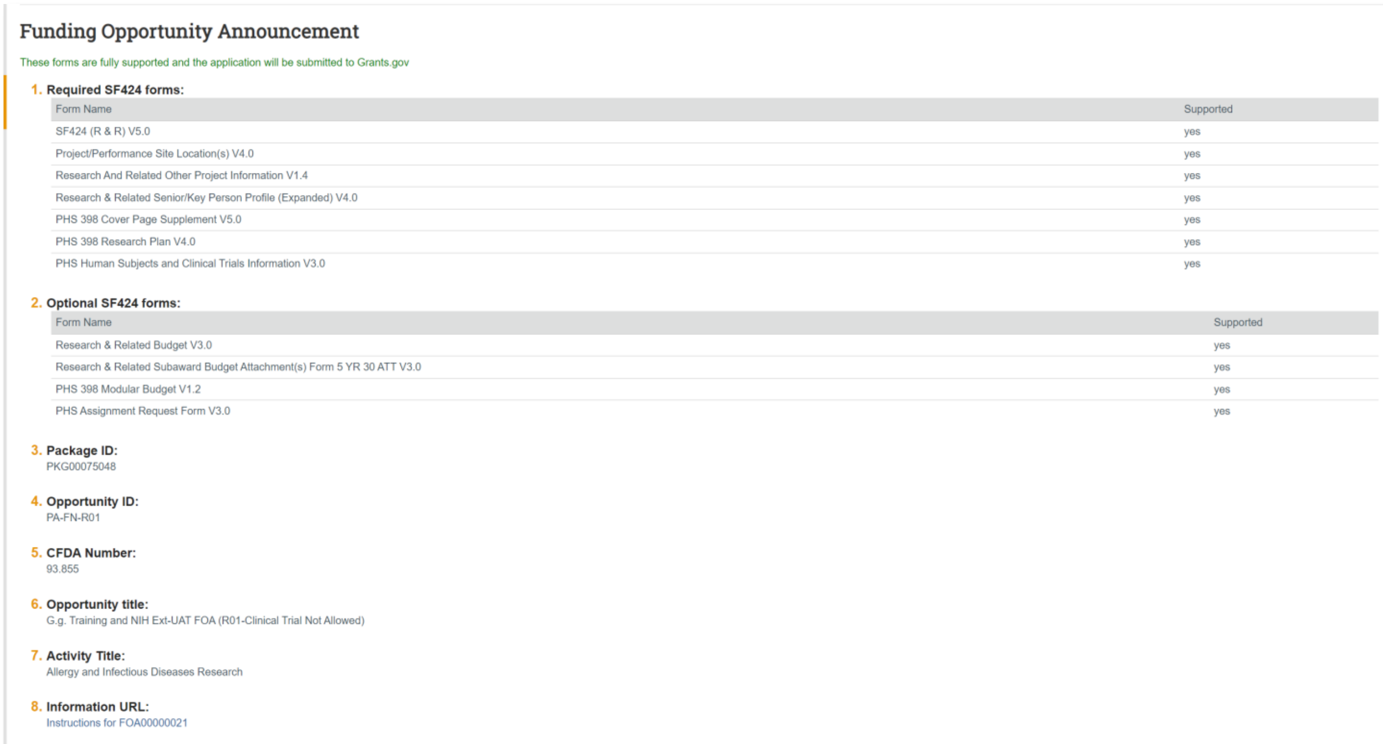
5. CFDA number: List the CFDA number, if available.

6. Grant award number: List the award number, if available.

Click continue at the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.4 Funding Opportunity Announcement SmartForm (S2S Only)

This Funding Opportunity Announcement SmartForm page will only appear for system-to-system submissions where the opportunity has been selected on the Submission Information SmartForm page.



Funding Opportunity Announcement

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

1. **Required SF424 forms:**

Form Name	Supported
SF424 (R & R) V5.0	yes
Project/Performance Site Location(s) V4.0	yes
Research And Related Other Project Information V1.4	yes
Research & Related Senior/Key Person Profile (Expanded) V4.0	yes
PHS 398 Cover Page Supplement V5.0	yes
PHS 398 Research Plan V4.0	yes
PHS Human Subjects and Clinical Trials Information V3.0	yes

2. **Optional SF424 forms:**

Form Name	Supported
Research & Related Budget V3.0	yes
Research & Related Subaward Budget Attachment(s) Form 5 YR 30 ATT V3.0	yes
PHS 398 Modular Budget V1.2	yes
PHS Assignment Request Form V3.0	yes

3. **Package ID:**
PKG00075048

4. **Opportunity ID:**
PA-FN-R01

5. **CFDA Number:**
93.855

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

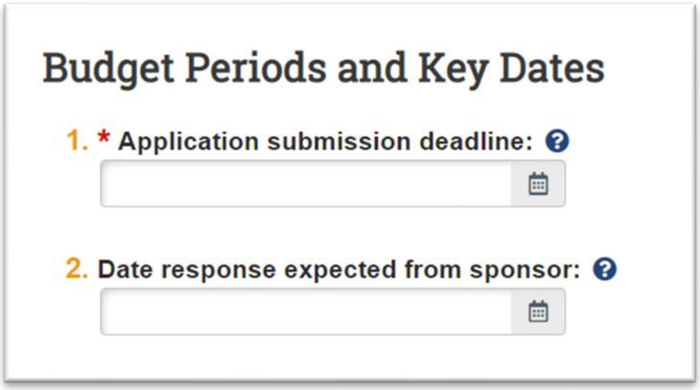
7. **Activity Title:**
Allergy and Infectious Diseases Research

8. **Information URL:**
Instructions for FOA00000021

Review the funding opportunity information including required forms, optional forms, and instructions. A message will confirm if the forms are fully supported and this application can be submitted to Grants.gov.

If an optional form is not supported, you may still proceed with S2S submission. However, if a mandatory form is not supported than the application may not be submitted S2S.

2.5 Budget Periods and Key Dates SmartForm



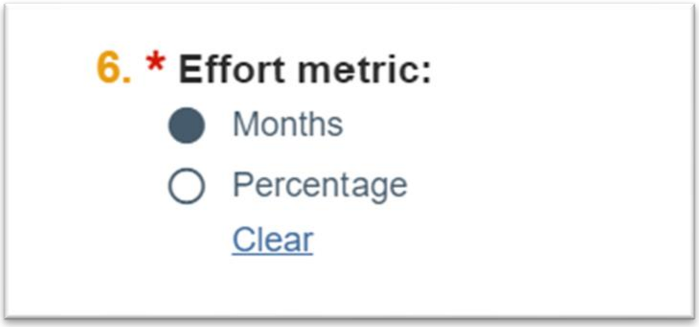
1. Submission deadline: Enter the sponsor's deadline. If there is no sponsor deadline, enter the PI's target submission deadline. *Note:* Please refer to OVPR's Proposal Deadline Guidelines for additional information on the proposal submission timeline: [Baylor Proposal Deadline Guidelines].

2. Date response expected: Enter the date a response is expected. If unknown, leave the field blank.

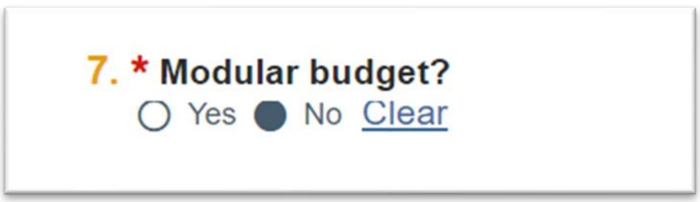
3. Date project starts: Defaults based on start date entered on General Proposal Information SmartForm.

4. Date project ends: Defaults based on start date and budget periods (number and duration).

5. Project length (years): Defaults to 5 years. *Note:* This field will update based on changes to budget periods (number or duration). To update the length, update the budget periods in #7.

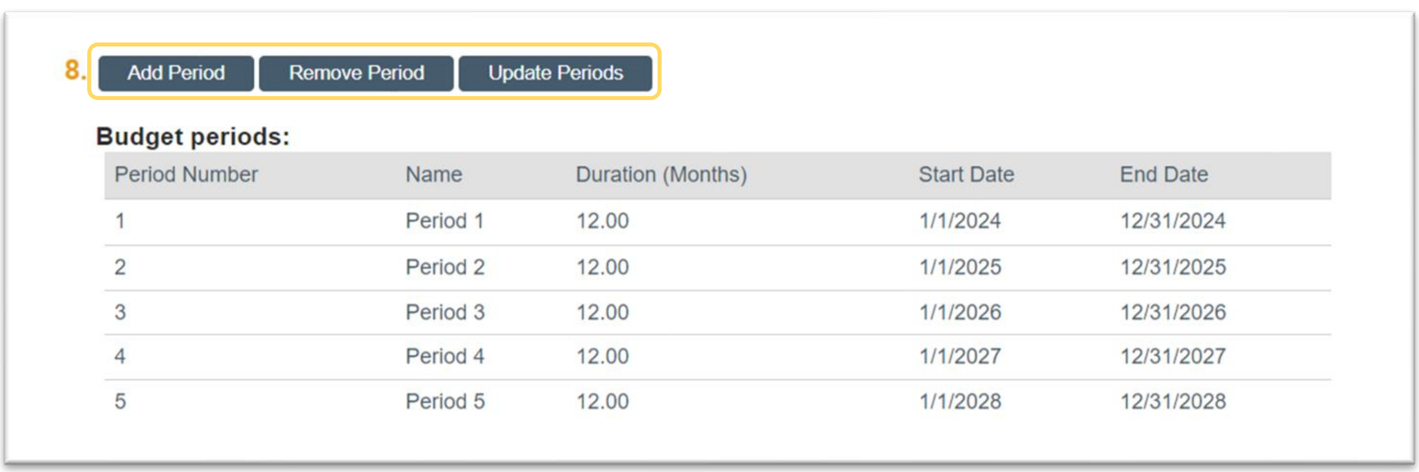


6. Effort metric: Defaults to Months. This can be changed to 'Percentage' based on preference and sponsor requirements.



7. Modular budget: Defaults to 'No'. Only select yes if the budget will be an NIH modular budget. The budget will then add any offsets needed to round up to the next module increment for each budget period.

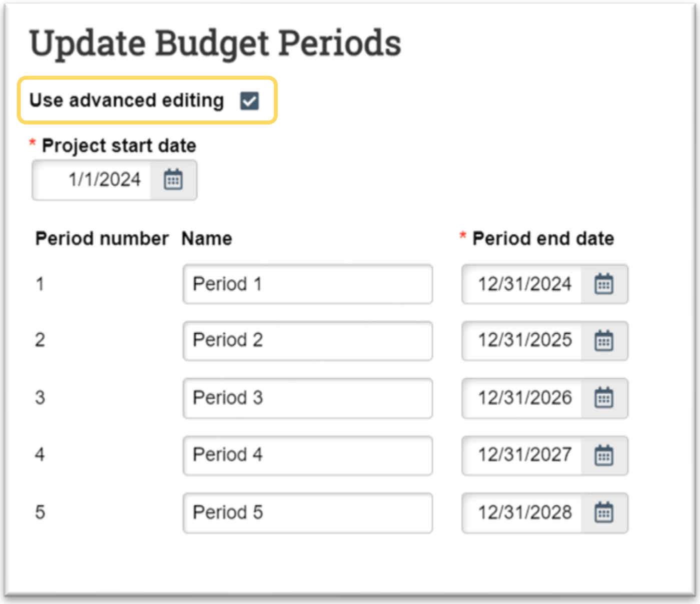
Note: For certain applications, NIH may request the Modular Budget form. Direct costs are requested in "modules" of $25,000 to $250,000 per year, as opposed to providing the detailed budget to the sponsor.



Period Number	Name	Duration (Months)	Start Date	End Date
1	Period 1	12.00	1/1/2024	12/31/2024
2	Period 2	12.00	1/1/2025	12/31/2025
3	Period 3	12.00	1/1/2026	12/31/2026
4	Period 4	12.00	1/1/2027	12/31/2027
5	Period 5	12.00	1/1/2028	12/31/2028

8. Budget periods: The system automatically created 5 periods, each 12 months in duration (default for Q5). Use the ***Add Period***, ***Remove Period***, and ***Update Period*** buttons as needed.

Note: If you would like to budget based on period dates instead of duration, select 'Update Periods' and click 'Use advanced editing'.



Click continue at the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.6 Compliance Review SmartForm

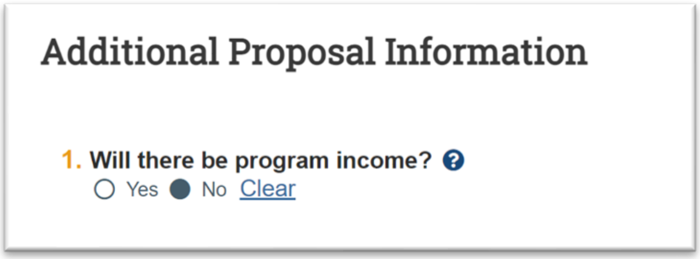
For more information or training on Baylor's policies regarding human subjects, vertebrate usage, biosafety, hazardous materials, or export controls—please review the resources and contacts below. For general compliance information, see Baylor Research Compliance.

PIs must submit a protocol or registration to the appropriate committee for any human subjects, recombinant DNA, vertebrate research, or biohazardous materials that are

Oversight Board	Resource	Contact
Institutional Review Board for Human Subjects	About IRB, Human Subject Research	IRB@baylor.edu
Institutional Animal Care and Use Committee	Vertebrate Animals	IACUC@baylor.edu
Biosafety	Research Safety	IBC@baylor.edu
Hazardous Materials	Hazardous Materials	Hazmat@baylor.edu
Export Controls	Export Controls	Export@baylor.edu

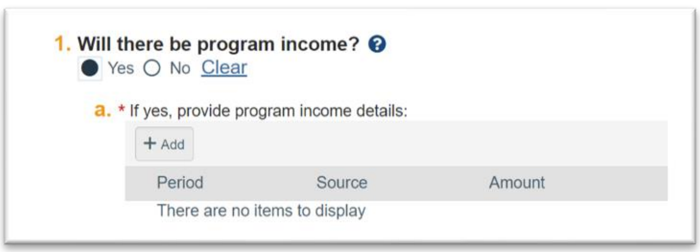
See Appendix B for details about completing the Compliance Review SmartForm questions.

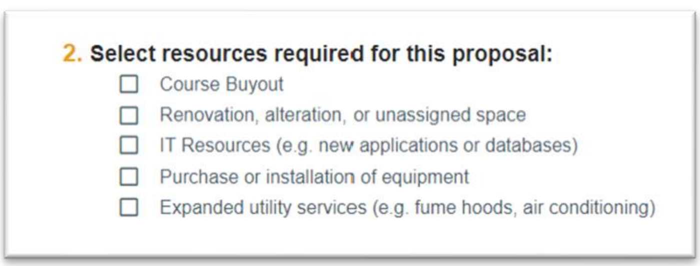
2.7 Additional Proposal Information SmartForm



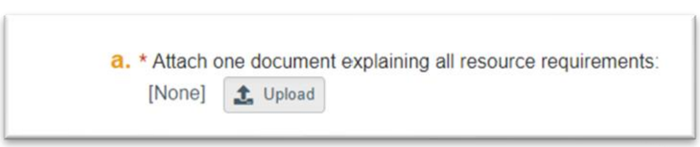
1. Program income: Select 'Yes' or 'No'.

- Yes should only be selected if there will be income generated directly by the grant-supported activity or earned as a consequence of the award.
- If 'Yes' is selected, you will need to report budget period(s), source of funding, and amount.



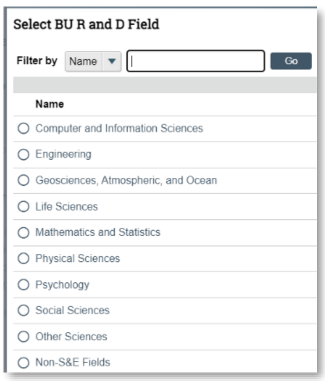


2. Resources required: Select any resources required for the proposal. If any options are selected, upload an explanatory document.

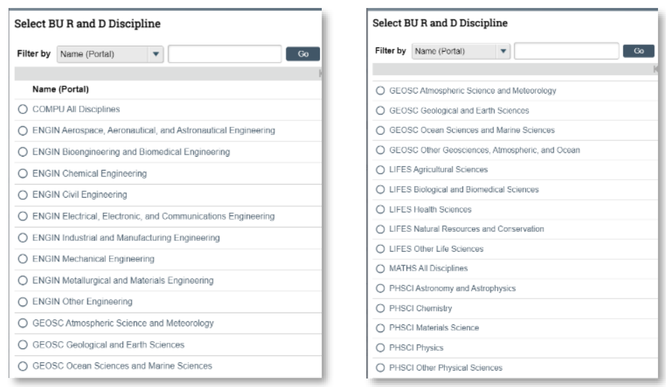


3. HERD survey: Add the relevant R&D Field and Discipline from the options provided. *Note:* These fields are required for reporting purposes.

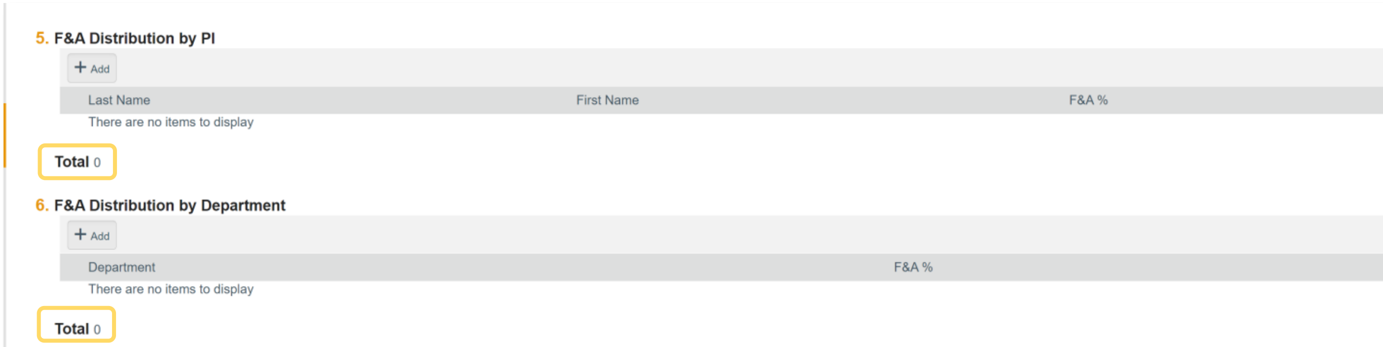
a.



b.



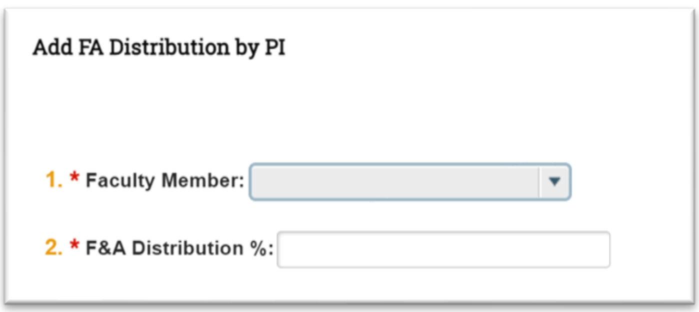
4. Required reporting: Select all areas of interest applicable to the proposal.



5. F&A distribution by PI: F&A revenues for each investigator should be established by the participating investigators and denoted by entering the appropriate distributions.

Note: Facilities and Administrative (F&A) costs on sponsored programs are collected by the University and distributed according to university policy. A portion of the total F&A revenue recovered is shared among the investigators (up to 7.5% total).

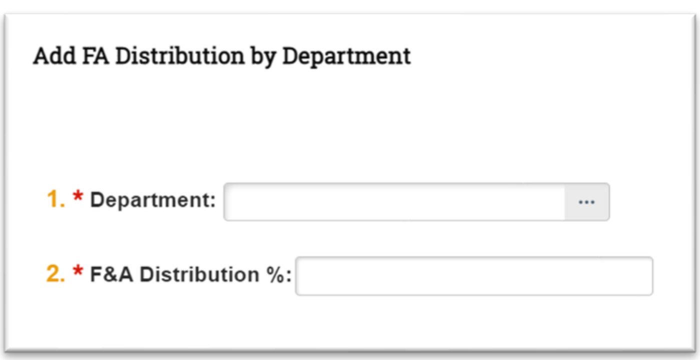
Click 'Add' > Select a faculty member from the dropdown > Enter F&A distribution %



Click 'OK and Add Another' until the Total F&A Distribution by PI is 7.5%.

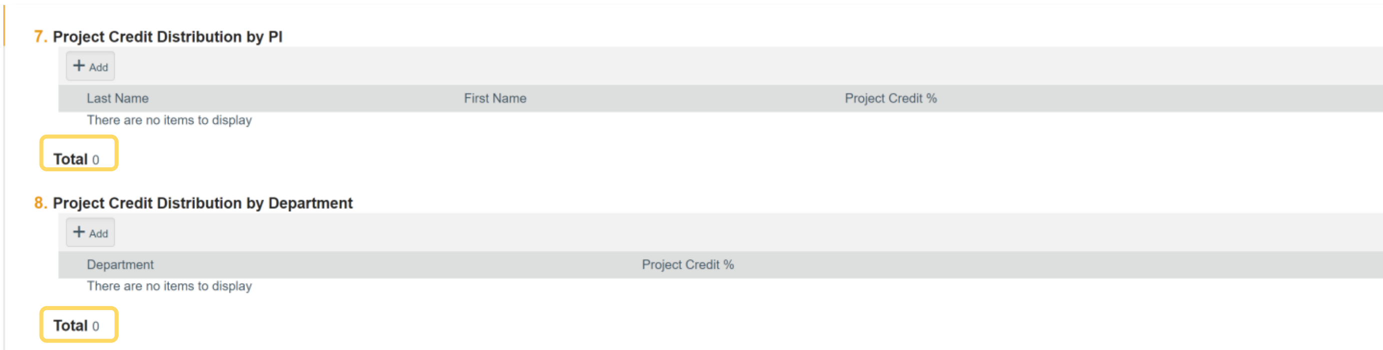
6. F&A distribution by department: F&A revenues for each affiliated department should be established by the department chairs and denoted by entering the appropriate distributions. Affiliated centers and institutes may also share a portion of the departmental F&A revenue.

Click 'Add' > Select a department from the list > Enter F&A distribution %



Click ‘OK and Add Another’ until the Total F&A Distribution by Department is 7.5%.

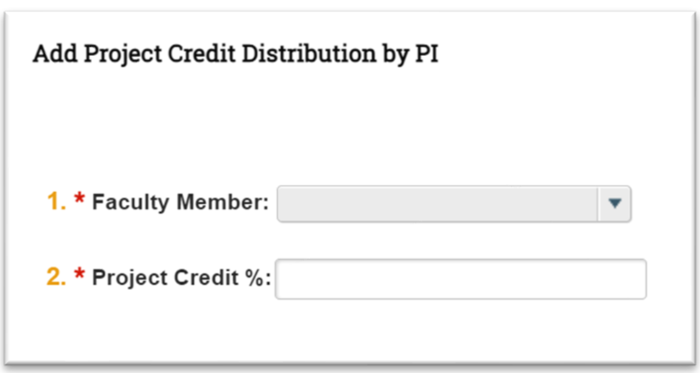
Note: The ‘Total’ field for questions **5** and **6** on the SmartForm will automatically populate once you hit ‘Save’ or ‘Continue’ on the Additional Proposal Information SmartForm. If the totals do not equal 7.5%, you will receive an error message.



7. Project credit distribution by PI: Enter the portion of credit to be attributed to each PI listed on the proposal.

Note: The project credit distribution percentages should be established by the participating investigators and unit chairs. These percentages will be used for internal reporting purposes including digital measures.

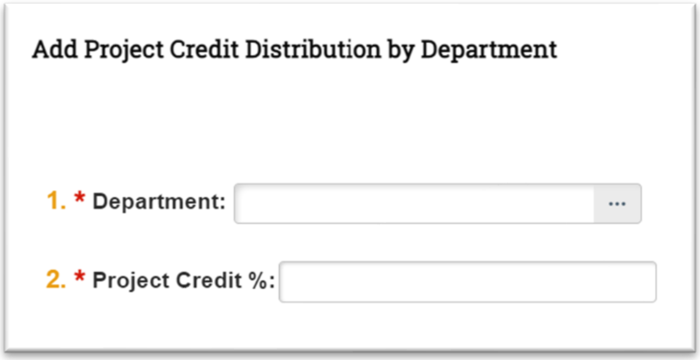
Click ‘Add’ > Select a faculty member from dropdown > Enter Project Credit distribution %



Click ‘OK and Add Another’ until the Total Project Credit Distribution by PI is 100%.

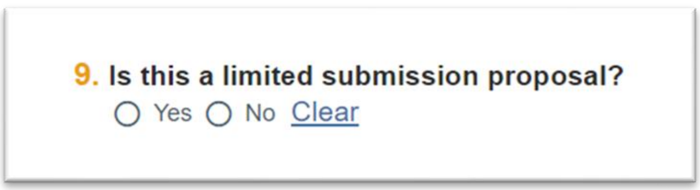
8. Project credit distribution by Department: Enter the portion of credit to be attributed to each Department listed on the proposal.

Click ‘Add’ > Select a department from the list> Enter Project Credit distribution %

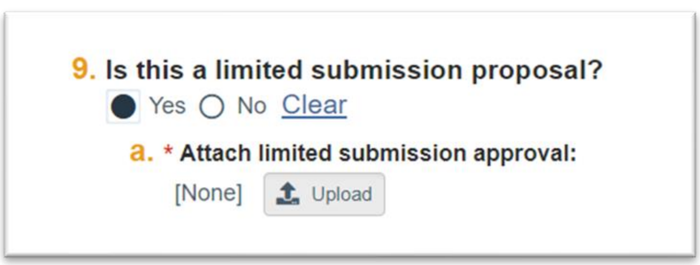


Click 'OK and Add Another' until the Total Project Credit Distribution by Department is 100%.

Note: The 'Total' field for questions **7** and **8** on the SmartForm will automatically populate once you hit 'Save' or 'Continue' on the Additional Proposal Information SmartForm. If the totals do not equal 100%, you will receive an error message.



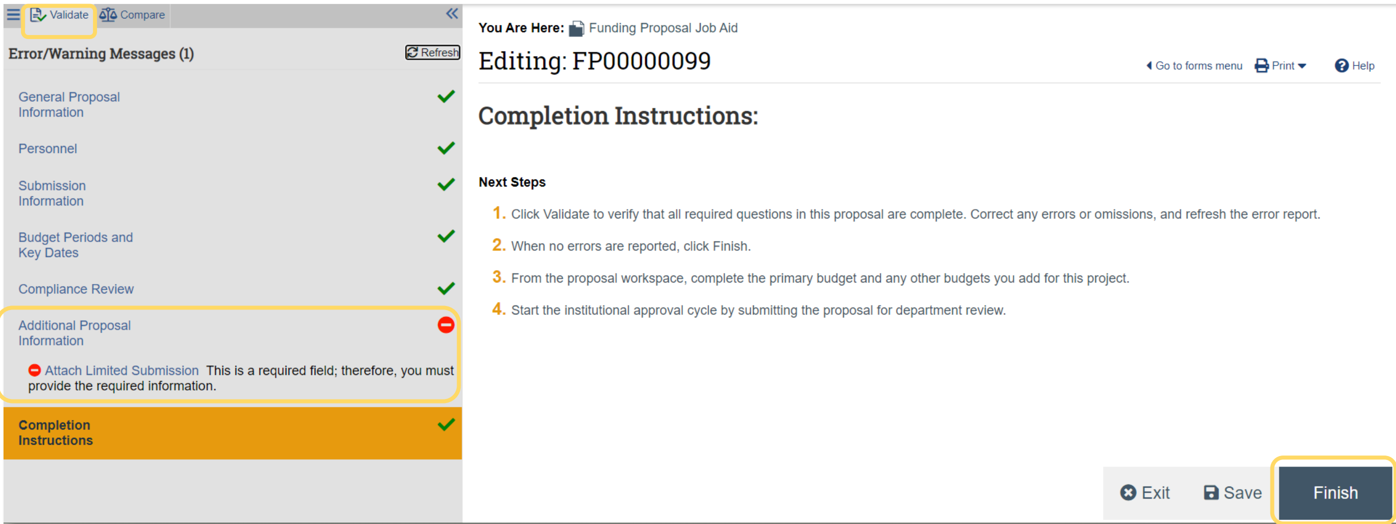
9. Limited submission: Select 'Yes' or 'No' as applicable. If 'Yes' attach a copy of the limited submission approval.



Click continue at the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.

2.8 Completion Instructions

Once you have completed filling out the funding proposal SmartForms, click "Validate" on the Completion Instructions page. This will check that all required information has been entered. If you receive a red stop icon, click on the blue link in the message to return to that page and enter the requested information.

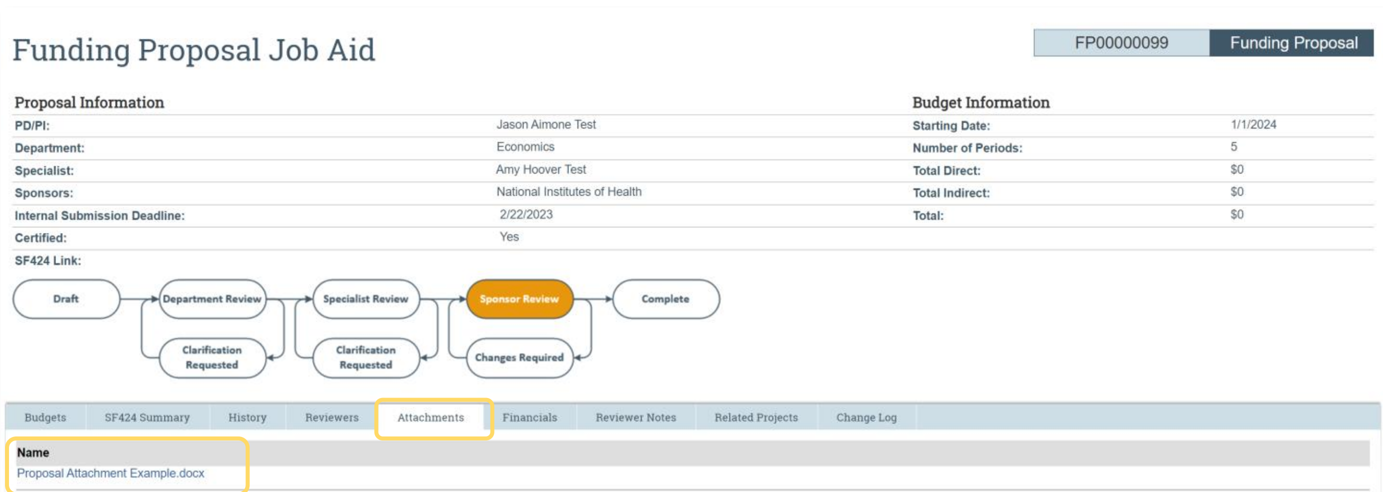


Once all information has been entered and validated, click ‘Finish’ to complete the SmartForm. This will take out to the funding proposal’s workspace where you can complete other proposal items, like adding ancillary reviews and the budget.

Note: Even when you “finish” the funding proposal SmartForm, you can return to make updates up until the proposal is submitted for department review. The proposal is editable by you and other Editors as long as it is in “Draft” status, so it is not necessary to complete all of the SmartForm pages at once.

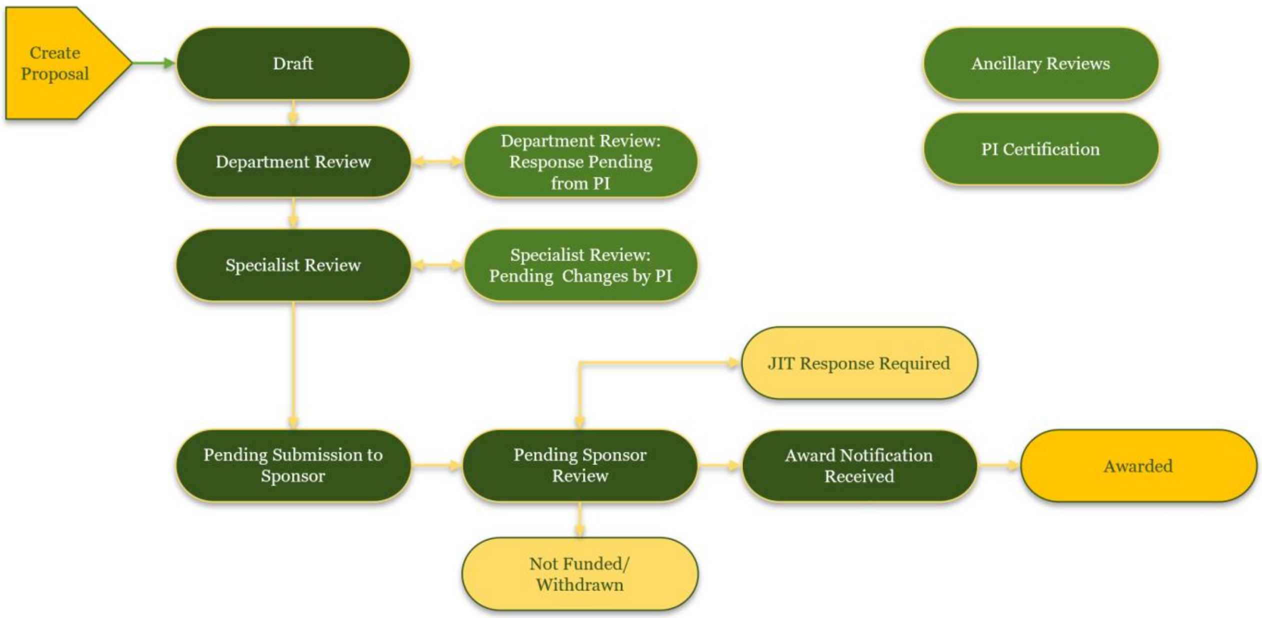
Once you click ‘Finish’ you will be routed back to the funding proposal workspace. Use the ‘Add Attachments’ activity to upload any documents related to the proposal.

Note: Adding attachments using the 'Add Attachments' activity from the funding proposal workspace will allow attachments to be accessed via the 'Attachments' tab in the funding proposal workspace. This makes navigating to important attachments easier, rather than having to locate an attachment within a funding proposal SmartForm page.



3. Funding Proposal Workflow

The Workflow Map bubbles on the Funding Proposal workspace show the major steps the funding proposal record moves through from the draft phase through submission. The bubble highlighted in orange indicates the current step in the workflow process. Below is an explanation of the basic workflow a funding proposal will go through to reach the submitted state.



Workflow State	Explanation
Draft	PI / proposal team member creates new proposals. Initial state upon creation.
Department Review	Indicates the proposal has been submitted for unit level review / approval. PI / proposal team members cannot edit the proposal and budget.
Department Review Response Pending from PI	Indicates the unit level reviewer requires additional information / clarification from the PI / proposal team members. PI/proposal team members can make requested changes to proposal and budget.
Specialist Review	Indicates the proposal submission has been submitted to the central office specialist. Only the Specialist can edit the proposal and budget.
Specialist Review Pending Changes by PI	Indicates the OVPR specialist requires additional information / clarification from the PI / proposal team members.
Pending Submission to Sponsor	Indicates the proposal review has been completed by the OVPR specialist and is awaiting submission to the sponsor.
Pending Sponsor Review	Indicates the proposal submission has been submitted to the sponsors. During this state, no additional edits to the proposal submission can be made in the system.
Not Funded	Indicates the proposal was not funded by the sponsors.
Withdrawn from Sponsor	Indicates the proposal was withdrawn from the sponsor by the OVPR specialist.
JIT Response Required	Indicates the sponsor has required a Just-In-Time (JIT) response from the PI / proposal team.

Pending Sponsor Review Award Anticipated	If no JIT changes were required, this state indicates an award is anticipated from the sponsor but has not yet been officially received. If JIT changes were required, this state indicates the Administrative Contact has submitted the JIT response to the OVPR specialist.
Award Notification Received	Indicates and award notification has been received from the sponsor.
Awarded	Indicates the award associated with the proposal is in the "Active" state.

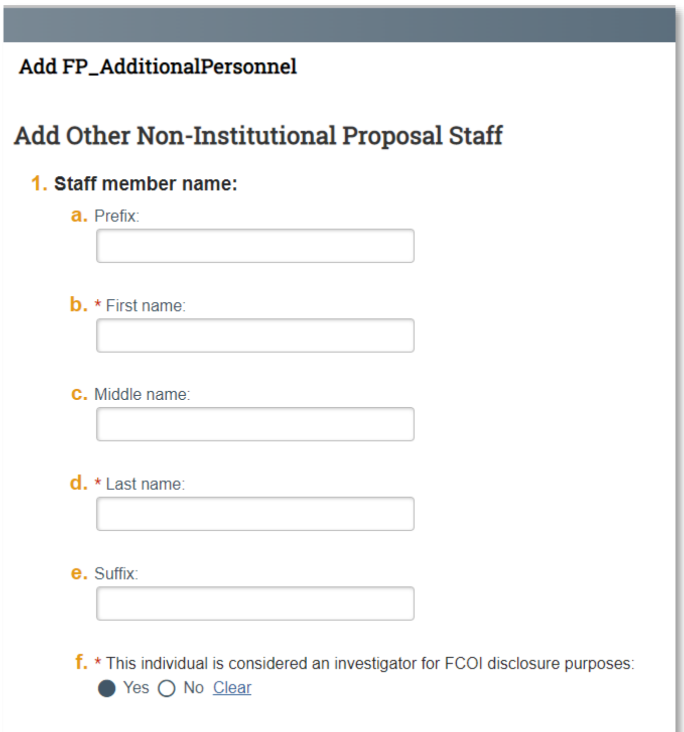
See **Proposal Routing and Review** for detailed instructions on how to complete the remaining workflow steps for a funding proposal.

Appendix A

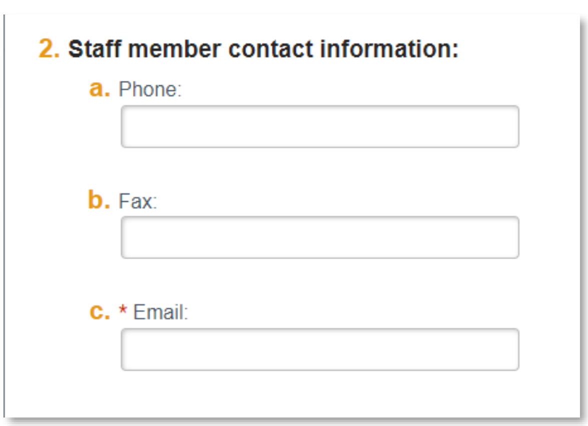
Non-Institutional Key Personnel Fly-In

If there are non-Institutional personnel on the proposal:

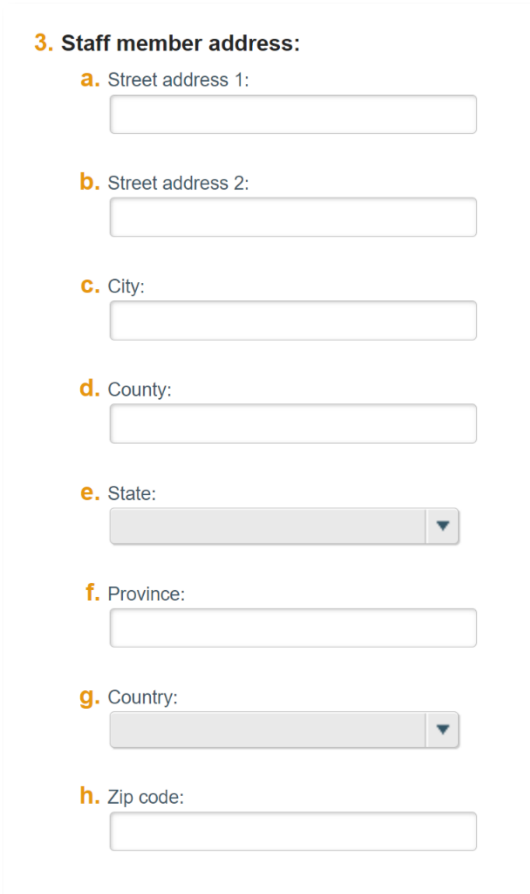
Click 'Add' button to add personnel > enter their information on the fly-in window.



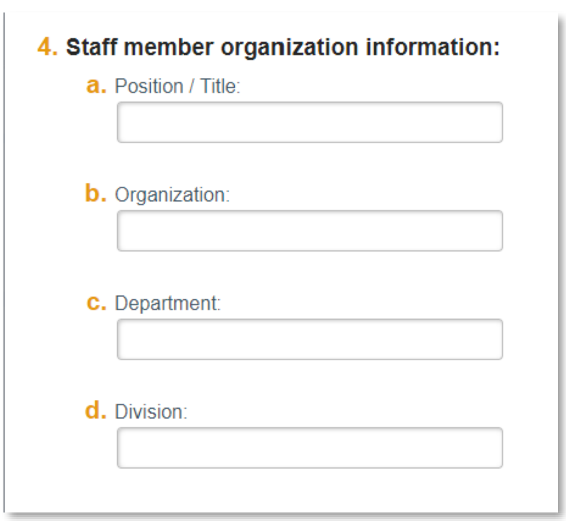
1. Staff member name: Enter First Name (1b), Middle Name (1c) if available, and Last Name (1d). 1f 'FCOI disclosure' defaults to 'Yes', for all 'Senior or Key Personnel' (See Q5 below) the answer must be 'Yes'.



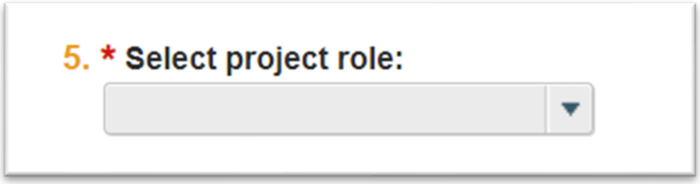
2. Staff member contact information: Enter email in 2c (required). If available, enter a phone (2a) and fax number (2b).


3. Staff member address:
a. Street address 1:
b. Street address 2:
c. City:
d. County:
e. State:
f. Province:
g. Country:
h. Zip code:

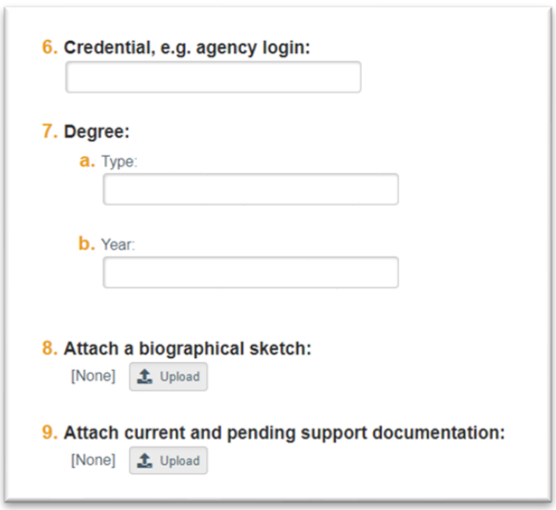
3. Staff member address: Enter fields 3a-3h. Ensure Country (3g) is entered.


4. Staff member organization information:
a. Position / Title:
b. Organization:
c. Department:
d. Division:

4. Staff member organization information: Organization (4b) is required. Enter Position/Title (4a) and Department (4c) if available.



5. Project role: Select project role based on the previous project role chart.

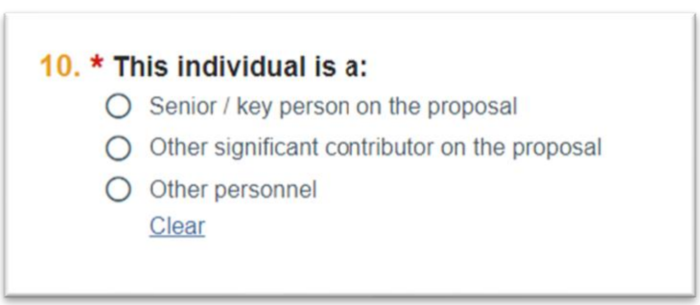


6. Credential, e.g. agency login: For NIH S2S applications, enter ERA Commons login. For foreign collaborators, leave this blank.

7. Degree: Enter if known. Required for NIH S2S.

8. Biosketch: Upload if required per the RFP or if submitting NIH S2S.

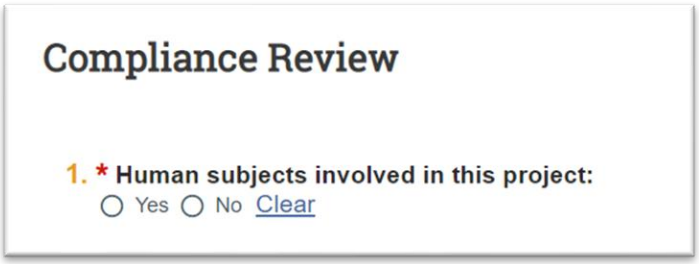
9. Current and Pending: Upload Current & Pending if required per the RFP.



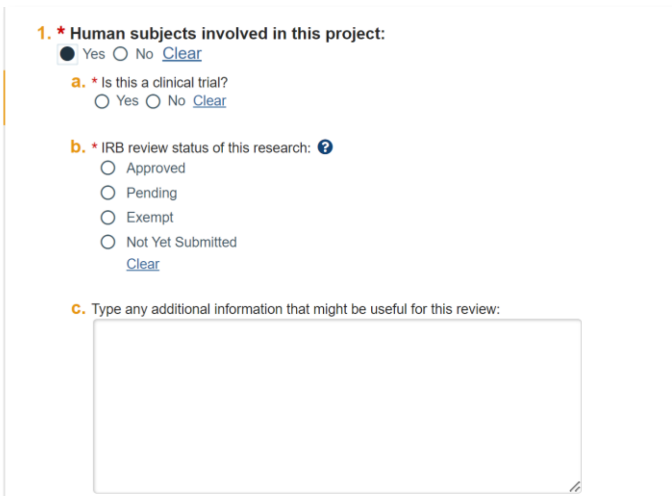
10. Individual is: Select if the person is Senior/Key personnel, Other significant contributor, or Other personnel.

Appendix B

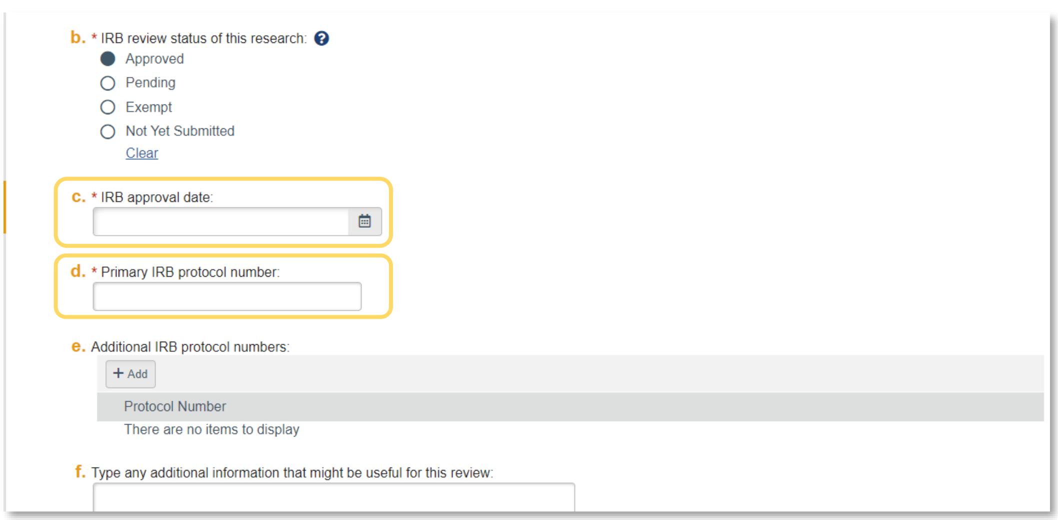
Compliance Review SmartForm



1. Human subjects: Select 'Yes' or 'No'.

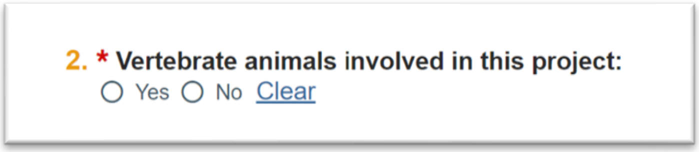


If 'Yes' answer questions **1a – 1c** with applicable information related to the proposal.

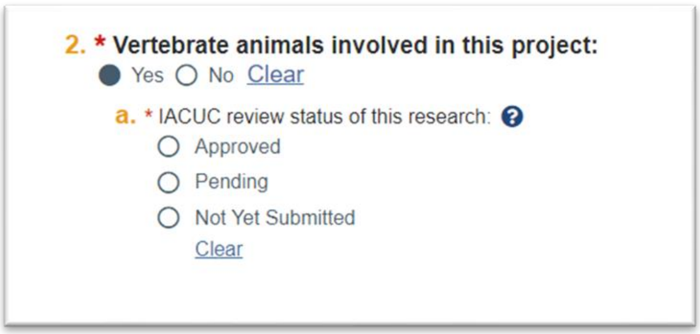


If answer to **1b** is 'Approved', provide the IRB approval date and protocol number.

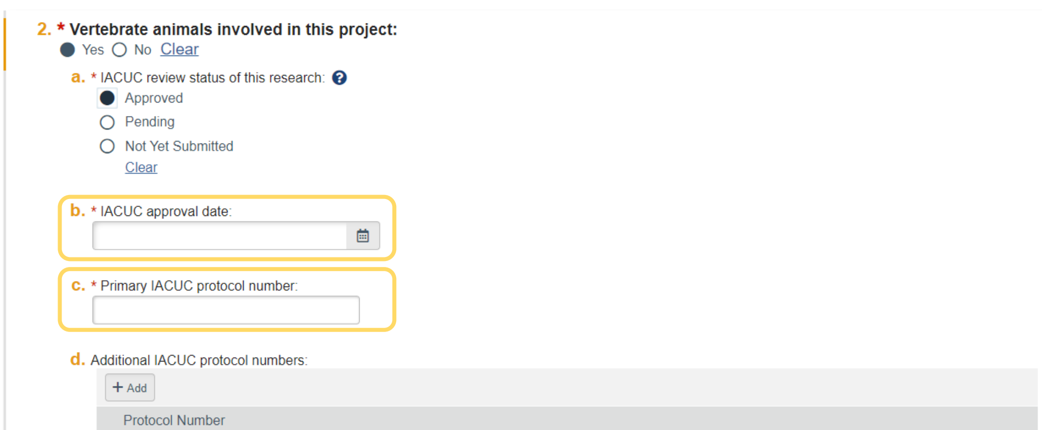
- If multiple exemption numbers are relevant, list them with commas in between, no spaces: 2,3,4.



2. Vertebrate animals: Select 'Yes' or 'No'. This includes work off campus, field work, subawards, etc.

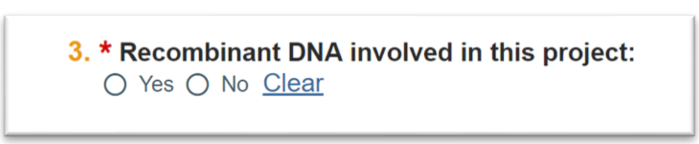


If 'Yes' answer question **2a** with applicable information related to the proposal.

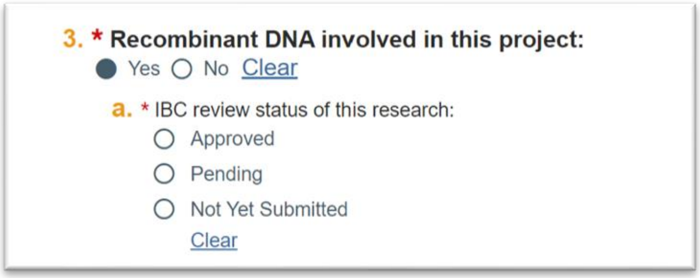


If answer to **2a** is 'Approved', provide the IACUC approval date and protocol number.

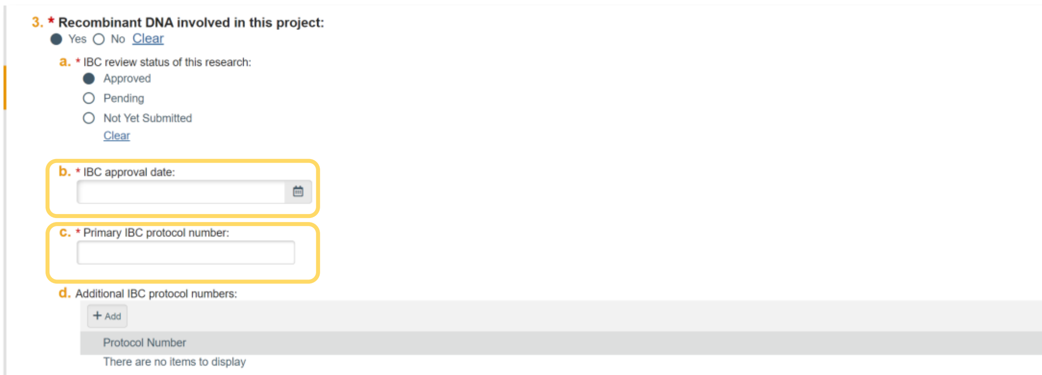
- The protocol information will appear in the IACUC protocol table.
- Enter the protocol number *exactly* as it appears from RIA.



3. Recombinant DNA: Select 'Yes' or 'No'.

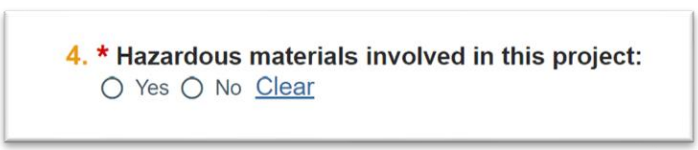


If 'Yes' answer question **3a** with applicable information related to the proposal.

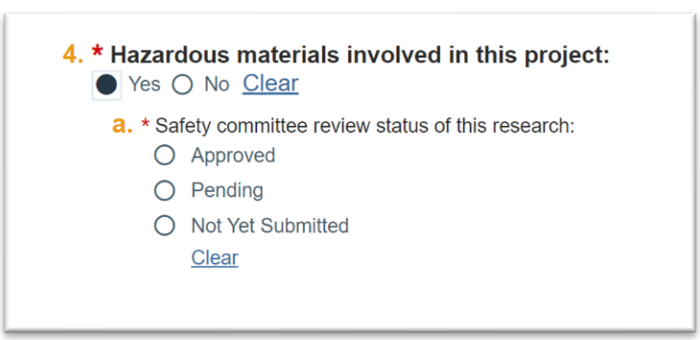


If answer to **3a** is 'Approved', provide the IBC approval date and protocol number.

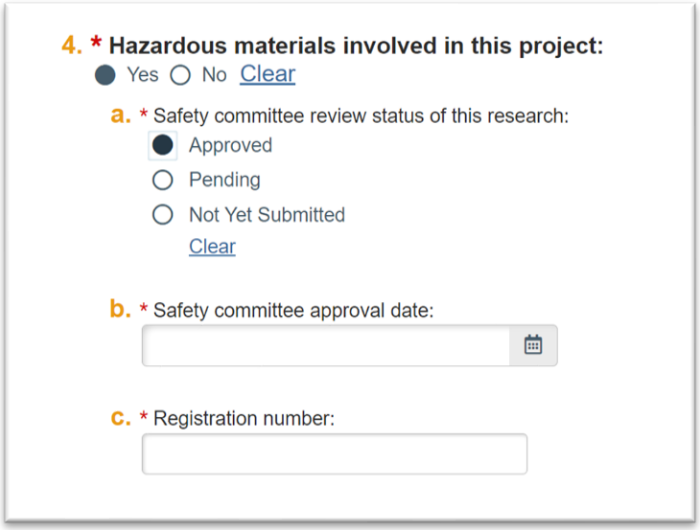
- The protocol information will appear in the IBC registration table.
- Enter the registration *exactly* as it appears from RIA.



4. Hazardous Materials: Select 'Yes' or 'No'.



If 'Yes' answer question **4a** with applicable information related to the proposal.



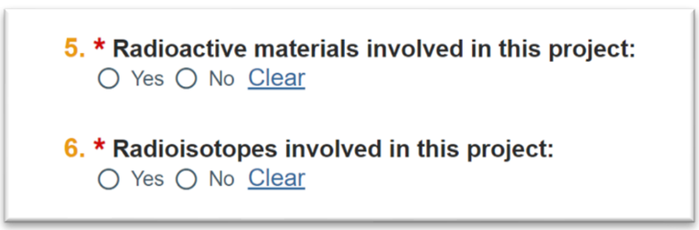
4. * **Hazardous materials involved in this project:**
(●) Yes ( ) No Clear

a. * Safety committee review status of this research:
(●) Approved
( ) Pending
( ) Not Yet Submitted
Clear

b. * Safety committee approval date:

c. * Registration number:

If answer to **4a** is 'Approved', provide the committee approval date and registration number.

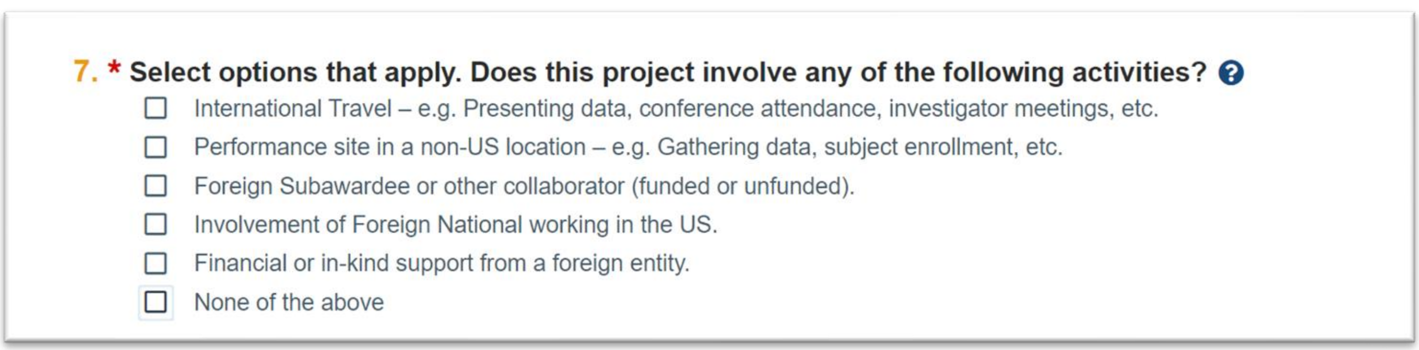


5. * **Radioactive materials involved in this project:**
( ) Yes ( ) No Clear

6. * **Radioisotopes involved in this project:**
( ) Yes ( ) No Clear

5. Radioactive materials: Select 'Yes' or 'No'.

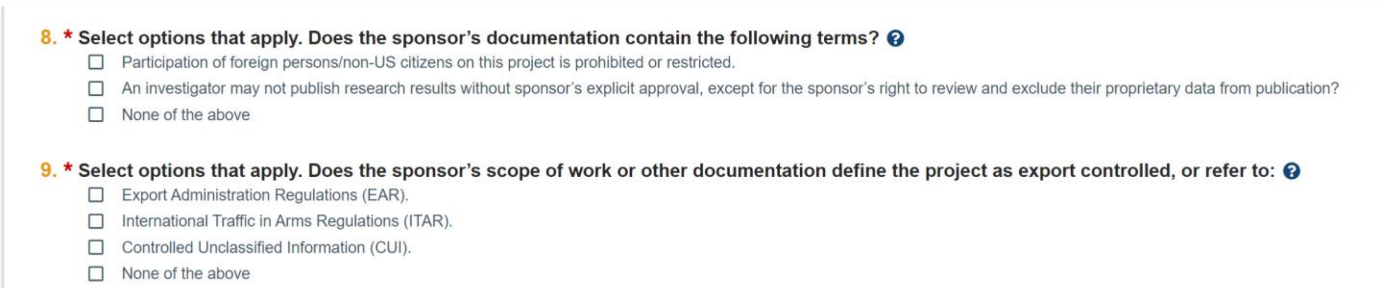
6. Radioisotopes: Select 'Yes' or 'No'.



7. * **Select options that apply. Does this project involve any of the following activities?**
- [ ] International Travel – e.g. Presenting data, conference attendance, investigator meetings, etc.
- [ ] Performance site in a non-US location – e.g. Gathering data, subject enrollment, etc.
- [ ] Foreign Subawardee or other collaborator (funded or unfunded).
- [ ] Involvement of Foreign National working in the US.
- [ ] Financial or in-kind support from a foreign entity.
- [ ] None of the above

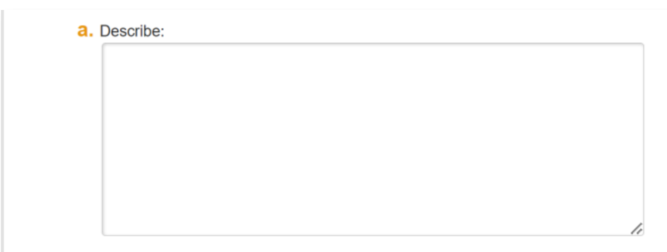
7. International activity: Select all that apply as relevant to the proposal.

If *any* option is selected other than 'None of the above', you will be prompted to **a. Identify all countries**, and **b. Provide additional details**.



8. Sponsor documentation: Select all that apply as relevant to the proposal.

9. Export control: Select all that apply as relevant to the proposal.



If *any* option is selected for **8** or **9** other than 'None of the above', you will be prompted to **a. Describe** the item selected.

Click continue at the bottom of the SmartForm page to advance. You may also Exit or Save the page if you wish to return later.