



MOUNT SINAI  
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MEDICINE

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## Memorandum

**To:** All Investigators Submitting Non-competing R and K series NIH Grant applications  
**From:** Grants & Contracts Office  
**Date:** April 2009  
**Re:** Preparing Your NIH Progress Report Streamlined Non-Competing Award Process (SNAP)

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This memorandum includes instructions for preparing the NIH Progress Report/Non-Competing Application and the required MSSM Research Application.

Additional information on preparing the Progress Report and electronic fillable forms are available on the NIH website: <http://grants1.nih.gov/grants/forms.htm>.

These instructions apply to R01, R03, R13, R15, R18, R21, R24, R25, R29, R37, R42, R44, and all K series mechanisms. Please note that as of March 1, 2001, the NIH revised the SNAP instructions, which are included in the "NIH Grants Policy Statement (rev. 3/01)" available on line at [http://grants.nih.gov/grants/policy/nihgps\\_2001/part\\_ia\\_5.htm#\\_Toc504811857](http://grants.nih.gov/grants/policy/nihgps_2001/part_ia_5.htm#_Toc504811857).

There are three versions of the PHS 2590 application currently accepted by NIH:

- <http://grants1.nih.gov/grants/funding/2590/2590.htm> These are the newest version of the paper forms
- <https://commons.era.nih.gov/commons/index.jsp> allows an entirely electronic NIH application process. To use the system the PI must be registered in Commons and affiliated with MSSM

Notification of a Progress Report due date is generated by the NIH electronically. Generally, paper applications are due on the first day of the month two months prior to the anniversary date. Electronic forms are due on the fifteenth of the month, approximately six weeks prior to the anniversary date.

The address for submitting paper 2590 applications is:

Division of Extramural Activities Support, OER  
National Institutes of Health  
6705 Rockledge Drive, Room 2207, MSC 7987  
Bethesda, MD 20892-7987 (for regular or US Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)  
Phone Number: (301) 594-6584

### The following form pages must be submitted:

- Face Page (Form Page 1) -do not enter \$ amounts in the section entitled "Costs Requested for Next Budget Period." This is section 9 on the pre-printed PHS 2590 Face Page (4/98) and section 8 on the new NIH Face Page (5/01).

- Progress Report Summary (Form Page 5) - the previously mentioned three questions are to be answered at the top of this page before beginning the brief two-page progress report.

**Three questions must be answered at the beginning of the progress report. The following three question and suggested answers are for use with the 5/2001 forms:**

1. Has there been a change in the other support of key personnel since the last reporting period?

If not, the grantee must so state. If so, the termination of a previously active grant or activation of a previously pending grant, must be explained.

Other support information is required on active projects only, for example, when a pending application becomes active or an active grant terminates. Any overlap must be explained. The grantee does not report on any new pending applications or for changes in the level of effort for active support reported previously.

2. Will there be, in the next budget period, significant change in level of effort for key personnel from what was approved for this project?

If not, the grantee must so state. If so, the grantee must explain.

A **significant change in level** of effort defined by federal regulations is a 25 percent or greater reduction in time (e.g., reducing effort from 40% to 30% would constitute a 25% reduction) devoted to the project of any key personnel regardless of whether that person is compensated.

3. Is it anticipated that any estimated unobligated balance (including prior year carryover) that is greater than 25 percent of the current year's total budget or more than \$250,000.

If not, the grantee must so state. If so, the grantee will be required to explain why there is a significant balance and how it will be spent if carried forward into the next budget period.

**Suggested answers** (to be used if true) to the three questions above are as follows:

1. There has been no change in other support of key personnel since the last reporting period.
2. There will be, in the next budget period, no significant change in level of effort for key personnel from what was approved for this project.
3. There is no estimated unobligated balance (including prior year carryover) that is greater than 25 percent of the current year's total budget or more than \$250,000.

**The following three questions and suggested answers are for use with the new 2590 forms:**

1. Has there been a change in the other support of key personnel since the last reporting period?

If yes, explain the change(s); if no, so state. Specific information is to be provided only if active support has changed. If a previously active grant has terminated and/or if a previously pending grant is now active, **submit active Other Support information** using the suggested format and instructions found in the PHS 398 application. Annotate this

information so it is clear what has changed from the previous submission. Changes in pending support do not need to be addressed

2. Will there be, in the next budget period, a significant change in the level of effort for the PI or other personnel designated on the Notice of Grant Award from what was approved for this project?

If not, the grantee must so state. If so, the grantee must explain.

A **significant change in level** of effort defined by federal regulations is a 25 percent or greater reduction in time (e.g., reducing effort from 40% to 30% would constitute a 25% reduction) devoted to the project of any key personnel regardless of whether that person is compensated.

3. Is it anticipated that any estimated unobligated balance (including prior year carryover) that is greater than 25 percent of the current year's total budget or more than \$250,000.

If not, the grantee must so state. If so, the grantee will be required to explain why there is a significant balance and how it will be spent if carried forward into the next budget period.

**Suggested answers** (to be used if true) to the three questions above are as follows:

1. There has been no change in other support of key personnel since the last reporting period.
2. There will be, in the next budget period, no significant change in level of effort for the PI or any other personnel designated in the notice of grant award from what was approved for this project.
3. There is no estimated unobligated balance (including prior year carryover) that is greater than 25 percent of the current year's total budget or more than \$250,000.

- Personnel Report (Form Page 7)

The following pages must be included only when there are relevant changes:

- Biographical Sketch - required for new key personnel
- Other Support pages - required to report changes to active support only and overlap as previously explained for SNAP question 1.

If your project involves clinical research (see definition in Section III. A., "DEFINITIONS" in the PHS 398), include the following form:

- Inclusion Enrollment Table  
For additional instructions, consult the NIH Policy on Reporting Race and Ethnicity Data Subjects in Clinical Research available on line at:  
[http://grants.nih.gov/grants/funding/women\\_min/guidelines\\_amended\\_10\\_2001.htm](http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm)

## **MSSM RESEARCH APPLICATION**

The Mount Sinai Research Application, which includes forms and instructions from the GCO, IRB, and IACUC, can be obtained from the GCO or can be downloaded in Windows and Mac formats from the GCO website at: [http://www.mssm.edu/grants/research\\_application.shtml](http://www.mssm.edu/grants/research_application.shtml).

**1. Required paperwork to the Grants & Contracts Office (GCO) is as follows:**

- Face Page - GCO page 1 for all projects
- Budget - GCO Page 2 for all projects (You may use the NIH budget form in place of the GCO budget page.)
- Brief Research Summary - GCO page 4 for all applications
- Classification Code Listing - GCO page 5 for all applications
- Financial Conflict of Interest in Research – GCO page 6 must be completed by all investigators
- Suspension and Debarment Form – GCO page 7 must be completed for all investigators
- Certification of Institutional Compliance- GCO page 8 must be completed for the PI
- Flow Sheet- GCO page 9

**2. Required paperwork to the Institutional Review Board (IRB) if the project involves human subjects is as follows:**

- Protocol Summary (IRB Form 1)
- Human Subject Consent Forms— include new consent forms and a copy of your previously stamped consent forms (IRB Form 2)
- Drug Information Sheet for human subject research when new drugs are added, or the dosing or
- administration changes (this page must be signed by Dr. Mehl before submission.) (IRB Form 3)
- Assurance page for non-exempt projects involving human subjects (IRB Form 4)
- Human Subject Adverse Event Report and Enrollment Form (IRB Forms 5 and 6)
- Form for waiver of informed consent or signed consent (if applicable) (IRB Forms 7 and 8)
- Two copies of the most recent version of the protocol that incorporates modifications that have already been approved
- Progress Report
- Approval letter from affiliate review committee (e.g., Elmhurst/Queens/Bronx VA, etc. if applicable)

**3. Required paperwork to the Institutional Animal Care and Use Committee (IACUC) if the project involves animal research is as follows:**

- IACUC requires continuation applications to be submitted every year. These are to be done using the InfoEd system. <http://eolas.mssm.edu/e-learn/>

**Contacts:**

Grants and Contracts Office	East Bldg, 4-79	659-8970	<a href="http://www.mssm.edu/grants/">www.mssm.edu/grants/</a>
Grants and Contracts Office	Annenberg 21-75B	241-3200	
Institutional Review Board (IRB)	East Bldg, 4-79	659-8980	<a href="http://www.mssm.edu/irb/">www.mssm.edu/irb/</a>
Institutional Animal Care and Use Committee (IACUC)	Anbg, 20-86	241-1451	<a href="http://www.mssm.edu/iacuc/">www.mssm.edu/iacuc/</a>

**The Grants & Contracts Office requires the submission of one set of the MSSM Research Application (with original signatures) and the original and 3 copies of the NIH application. If done electronically through eRA Commons, bring one print out of the eSNAP. GCO turnaround time for returning the signed NIH application or submitting it through eRA Commons is 24 hours.**