**University of Toronto**

**Research Services Office**

**Submitting a Subaward/ Consortium Documentation for a NIH Grant Application**

**THIS GUIDE IS FOR INTERNAL USE ONLY.**

**Research Services Office Contacts:**

For faculty appointed within Dalla Lana School of Public Health, Applied Sci & Eng, Dentistry, Forestry, Kinesiology & PE, Nursing, Pharmacy, UTM, and Medicine (last names A-M only).

Krista Montgomery, Research Funding Manager US & International

[krista.montgomery@utoronto.ca](mailto:krista.montgomery@utoronto.ca)

416-978-2155

For faculty appointed within Architecture, Arts & Science, Law, Rotman, Information, Social Work, OISE, UTSC, Music, and Medicine (last names N-Z only)

Jason Darby, Research Funding Manager US & International

[j.darby@utoronto.ca](mailto:j.darby@utoronto.ca)

416-978-8489

**Last update: October 2017**

Submitting a Subaward/ Consortium Documentation for a NIH Grant Application

If you have been asked to participate as a Subaward/Consortium by a Lead Institution on their NIH Grant Application, you should complete the following forms**\*** and submit to them to Research Services Office (RSO):

* Public Health Service (PHS) 398 Facepage
* Budget Forms (Either SF424)
* Statement of Intent to Establish Consortium Agreement
* Statement of Work
* UofT Financial Interest Declaration Form (All UofT Key Personnel)
* NIH FCOI Tutorial Certificate (All UofT Key Personnel)

**\*PLEASE NOTE: These are the standard documents required by most Institutions. The Lead Institution may request additional documents to be completed. Please ensure you check with the Lead Institution to confirm their requirements.**

|  |  |  |
| --- | --- | --- |
| **FORM** | **PURPOSE** | **TEMPLATE** |
| **Public Health Service (PHS) 398 Facepage** | In this form you will provide information such as the Uoft PIs contact info, title, institutional assurances, overall budget information and institutional contact information. On your right, you will find the PHS 398 Face page with institutional information already partially completed.  The UofT PI will need to indicate their eRA Commons User Name.   * *If the PI does not have a user name, please contact RSO with the following information: PI’s full name and preferred e-mail address* |  |
| **SF424 Research and Related Budget Form** | As a foreign institution, we are required to complete a detailed budget using either the SF242 R&R Budget form. Complete all the budget information as instructed by the lead institution.  Things to remember when developing your budget:   * Your entire budget must be in **U.S. dollars.** The Currency Conversion Rate used to prepare budget should be noted in budget justification * All Key Personnel must have calendar (Cal) month participation listed for the project –whether or not any salary support is being requested (e.g. UofT faculty are paid by the institution, they may indicate $0.00 for salary support for themselves). * Please ensure that salary requested conforms to the appropriate NIH Salary caps: <http://grants.nih.gov/grants/policy/salcap_summary.htm> * Our fringe benefit rate for Staff & Faculty Positions is 24.00%, Postdoctoral Fellows 10% + $50 per month and Students is 0%.   <http://www.finance.utoronto.ca/services/benefits/rates.htm>   * You will be required to provide a Budget justification. This file must provide the details of each expense that you have included in your budget. This should indicate description of each personnel, including the UofT PI and the roles and responsibilities in the project, as well as salary and benefits to be included. All materials and supplies should have a brief description, as well as a rough calculation of how you have calculated the total amount to be requested for each item. Supplies include various categories, such as chemicals, reagents, glassware, disposable plastic ware, vertebrate animals, among others.   R&R Budget Form Tips   * You must install a compatible version of Adobe Reader before you can complete the R&R budget form. * Include indirect costs – as a foreign institution, we are only able to request 8% Facilities and Administrative (F&A) costs (excluding equipment). This 8% is calculated on top of your direct costs | **SF424 R&R Form** |
| **PHS Checklist** | In this form you will provide information on the appropriate F&A (indirect cost) rate. As a foreign institution, we are only able to request 8% Facilities and Administrative (F&A) costs (excluding equipment).    On your right, you will find the PHS 398 Checklist with institutional information already partially completed.  Type of Application: You must indicate the type of application and whether this is a “foreign application” (strictly involving institutions outside of the U.S.), or whether it is a “domestic grant with foreign involvement” (involving institutions within the U.S. as well as outside).  3. Facilities and Administrative Costs: You must calculate the amount of indirect costs for each year of the budget you are requesting.  4. Disclosure Permission Statement: Please answer with your preference. |  |
| **Statement of Work** | Brief description of the portion of the project that will take place a UofT. | Complete in Word document. |
| **Statement of Intent to Establish a Consortium Agreement** | In this template, you will be asked to fill in the following: PIs names, Period of Grant, UofT Budget Amount. The purpose of this agreement is to confirm that all parties are aware of the NIH regulations and policies that are pertinent to NIH grant administration. |  |
| **UofT Financial Interest Declaration Form & NIH FCOI Tutorial Certificate** | All key personnel listed on the UofT portion of this application must review this webpage. Then complete the NIH FCOI Tutorial and the Declaration form located on our PHS FCOI policy page.  Effective August 24, 2012, NIH implemented the revised PHS financial conflict of interest (FCOI) policy which requires institutions applying for and receiving NIH funds to confirm that all key personnel on an NIH grant, at their institution, are aware of this policy and have completed a financial interest declaration form. | Link to our PHS FCOI page where you can find the documents and more information on the policy: <http://www.research.utoronto.ca/faculty-and-staff/research-ethics-and-protections/ethical-conduct/public-health-service-financial-conflict-of-interest/> |
| **UofT My Research Application (MRA)** | Once the documents are complete, they must be uploaded into MRA for review and approval by the Department Chair, Vice Dean Research and the Research Services Office.  This is system is an automated and electronic version of the former RIS/blue form. | <https://ppm-wd.utoronto.ca/irj/portal> |

**Additional Requests?**

There may be additional requirements that a Lead Institution may request. Please see the next page for a list of additional documents that you may be asked for.

|  |  |  |
| --- | --- | --- |
| **FORM** | **PURPOSE** | **TEMPLATE** |
| **Biosketch** | Each individual that is listed as key personnel must have a biosketch. To the right is the appropriate template that must be completed, as well as a sample biosketch for reference. For the latest template visit this link: <http://grants.nih.gov/grants/forms/biosketch.htm> |  |
| **Equipment** | List major items of equipment already available for this project at UoFT and, if appropriate identify location and pertinent capabilities. | No template |
| **Facilities and Resource Description** | Provide a detailed description of the institutional facilities and resources available. The information provided is of major importance in establishing the feasibility of the goals of the career development plan. |  |

**Documents Complete….What next???**

Once your documents are complete, submit them to via My Research Application for institutional review and approval.

**What Does RSO do?**

1. RSO will review the documents to ensure that all UofT/NIH polices are being followed and that the information is complete.
2. Once the documents are deemed accurate and complete, RSO will arrange for the appropriate Institutional sign-off on the Face page and Letter of Intent/Consortium Agreement.
3. Once the documents are signed, RSO will provide a scanned copy by e-mail and upload to MRA
4. If you would like the hard copies returned to you, please request.
5. You will then need to provide copies of these documents to the Lead Institution for insertion in their grant application.

Please ensure you make RSO aware of your involvement in an NIH Grant Application as early as possible in the submission process.

***Please note that it can take up to 2 days for RSO to review and***

***arrange sign-off of Subaward/Consortium documents*.**