Cycle 3 2021 Funding Cycle

PCORI Funding Announcement: Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings

Submission Instructions

Published September 7, 2021

These instructions apply to the Cycle 3 2021 Funding Cycle for the Implementation of PCORI-Funded Patient-Centered Outcomes Research Results limited PCORI Funding Announcement (PFA). Funding announcements, templates, and other resources are available at https://www.pcori.org/funding-opportunities/announcement/implementation-effective-shared-decision-making-cycle-3-2021. The Cycle 3 2021 Funding Cycle closes December 7, 2021, at 5 pm (ET).
About PCORI

The Patient-Centered Outcomes Research Institute (PCORI) was authorized by Congress in 2010 and reauthorized for an additional ten years in 2019 as a nonprofit, nongovernmental organization. PCORI’s purpose, as defined by our authorizing legislation, is to help patients, caregivers, clinicians, policy makers, and other healthcare system stakeholders make better-informed health decisions by “advancing the quality and relevance of evidence about how to prevent, diagnose, treat, monitor, and manage diseases, disorders, and other health conditions” and by promoting the dissemination and uptake of this evidence.

PCORI is committed to transparency and a rigorous stakeholder-driven process that emphasizes patient engagement. PCORI uses a variety of forums and public comment periods to obtain public input to enhance its work. PCORI helps people make informed healthcare decisions and improves healthcare delivery and outcomes by producing and promoting high-integrity, evidence-based information that comes from research guided by patients and other stakeholders.

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# Table of Contents

I. **About These Instructions** ...................................................................................................................... 1

   Administrative Considerations .................................................................................................................. 1
   Funding Mechanism .................................................................................................................................. 1
   Award Funding Conditions ......................................................................................................................... 2

II. **Who Can Apply** .................................................................................................................................... 2

III. **How to Apply** ...................................................................................................................................... 3

IV. **When to Apply** .................................................................................................................................... 6

V. **What to Include** ..................................................................................................................................... 6

   Letter of Intent ........................................................................................................................................ 6
   Proof of Acceptance of PCORI-Funded Study Results to Be Implemented .................................................. 7
   Resubmission Policy and Letter .................................................................................................................. 7
   PI and Contact Information ....................................................................................................................... 7
   Principal Investigator ............................................................................................................................... 7
   Administrative Official ............................................................................................................................... 8
   Financial Official (FO) ............................................................................................................................... 8
   Key Personnel ........................................................................................................................................... 9
   Application Requirements .......................................................................................................................... 9
   PI and Contact Information ....................................................................................................................... 10
   Project Information ................................................................................................................................ 10
   Project Summary ...................................................................................................................................... 10
   Milestones Template ................................................................................................................................. 10
   Project Team ............................................................................................................................................ 10
   PI Template ........................................................................................................................................... 11
   Leadership Plan (required if proposing a dual-PI application) ................................................................. 12
   Key Personnel Template .......................................................................................................................... 12
   Project/Performance Site(s) and Resources Template ............................................................................... 12
   Project Plan Template .............................................................................................................................. 12
   Project Strategy ....................................................................................................................................... 12
   Protection of Human Subjects (if applicable) ............................................................................................. 12
   Consortium Contractual Arrangements ..................................................................................................... 13
<table>
<thead>
<tr>
<th>References Cited</th>
<th>Appendix (Optional)</th>
<th>Project Summary Template</th>
<th>Shared Decision-Making Approach (SDM) Template</th>
<th>Budget</th>
<th>Co-Funding</th>
<th>Detailed Research Project Budget for Each Year of the Research Project Period</th>
<th>Budget Summary for Entire Project</th>
<th>Subcontractor Detailed Budget Template</th>
<th>Budget Justification Template</th>
<th>Letters of Support</th>
<th>Appendix 1: Allowable and Unallowable Costs</th>
<th>Appendix 2: Administrative Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
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</tr>
</tbody>
</table>
I. About These Instructions

This document provides key information to help applicants prepare for and respond to the Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings Patient-Centered Outcomes Research Institute (PCORI) Funding Announcement (PFA), available at https://www.pcori.org/funding-opportunities/announcement/implementation-effective-shared-decision-making-cycle-3-2021

These instructions should answer many questions applicants might have, but the following resources are also available:

- See the Implementation of Effective Shared Decision-Making Approaches in Practice Settings PFA FAQs for PFA-specific content.
- Visit PCORI’s Help Center1 for additional applicant resources:
  - PCORI will respond within two business days. However, we cannot guarantee that all questions will be addressed two business days before a Letter of Intent (LOI) or application deadline.
  - For Programmatic Inquiries: Contact the PCORI Helpdesk via email at disseminationquestions@pcori.org.
  - For Administrative, Financial, or Technical Inquiries: Contact the PCORI Helpdesk via email at pfa@pcori.org or phone at 202-627-1885.

It is the applicant’s responsibility to submit the letter of intent and application on or before the deadline. Refer to PCORI’s Policy on Funding Application Submission.2

Administrative Considerations

To ensure a thorough and competitive review process, PCORI strictly enforces the formatting and administrative compliance guidelines outlined in the PFAs, FAQs, and Submission Instructions. Applicants that fail to submit the required documents may be rejected from the merit review process.

All rejection decisions made by the Contracts Management department are final. See Appendix 2: Administrative Actions.

Unless otherwise stated in the Submission Instructions, all materials submitted on behalf of an applicant organization are the property of that organization. PCORI will not share or publicize the contents of an organization’s application.

Funding Mechanism

PCORI utilizes a contract mechanism, not a grant mechanism, for its awards. PCORI funds projects that

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1 Available at http://help.pcori.org/hc/en-us/.
2 Available at http://www.pcori.org/funding-opportunities/how-apply/policy-submission-research-contract-applications/.
demonstrate the highest probability of being completed on time and within budget and of meeting all milestones and deliverables. Applicants must submit representative budgets and Project Plans that allow the project to conclude within the approved contract term.

As part of its active portfolio management, PCORI provides contractual and programmatic monitoring throughout the contract term period. Applicant institutions and the Administrative Officials are advised to carefully review PCORI’s standard contract templates provided on the Awardee Resources page on the PCORI website.³ Note that international awardees will be issued a contract in U.S. dollars. Fluctuations in currency exchange rates will have no bearing on the contract value, nor will adjustments be made to accommodate losses or gains associated with such currency fluctuations.

Award Funding Conditions

At any time during the contract, PCORI reserves the right to discontinue funding for awardees who fail to meet the mutually agreed upon milestones. Applicants’ proposed milestones will be finalized in contract negotiations and prior to execution. See PCORI’s Standard Contract Template for more information.

II. Who Can Apply

Project Focus: This PFA furthers the implementation and uptake of evidence from PCORI-funded research. To be eligible for this PFA, applicants must do one of the following:

1) Propose to implement an SDM strategy that was formally tested and demonstrated to be effective in the context of a PCORI-funded research award.

2) Propose an implementation project that will incorporate new PCORI-funded clinical comparative effectiveness research evidence into an existing and tested SDM strategy, then implement the updated strategy in a practice setting

Applicants proposing to implement an SDM strategy that was formally tested and demonstrated to be effective in the context of a PCORI-funded research award must be the Principal Investigator (PI) of the original PCORI-funded research project or be a member of the original PCORI-funded research project team. PCORI strongly encourages applicants to include individuals with sufficient expertise in both SDM and implementation on their proposed project teams.

Organization: Applications may be submitted by any private-sector research organization, including any nonprofit or for-profit organization; any public-sector research organization, including any university or college hospital or healthcare system; any laboratory or manufacturer; or any unit of local, state, or federal government. The Internal Revenue Service must recognize all US applicant organizations. Nondomestic components of organizations based in the United States and foreign organizations may apply, as long as there is clear and demonstrable benefit to the US healthcare system and US efforts in the area of patient-centered research. Organizations may submit multiple funding applications. Individuals may not apply. If you have questions about eligibility, contact


PCORI Cycle 3 2021 Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings
PFA: Submission Instructions
Timing: Applicants must propose to implement PCORI-funded results that are available at the time of the Letter of Intent (LOI) deadline. Specifically, (1) a draft final research report (DFRR) pertaining to the original PCORI-funded research award must have been accepted for entry into the peer-review process by PCORI or (2) a manuscript reporting the results of the PCORI-funded study being proposed for implementation must have been formally accepted for publication by a peer-reviewed scientific journal before the LOI deadline for this PFA.

Applicants relying on submission of the DFRR to meet the above requirement should be aware that PCORI will administratively withdraw LOIs submitted prior to PCORI’s acceptance of the DFRR for entry into the peer-review process. Note that it typically takes six to eight weeks for processing, revising, and acceptance of high-quality DFRRs to enter PCORI’s peer-review process; applicants should plan accordingly.

Applicants relying on publication of a peer-reviewed manuscript must include formal documentation of acceptance of the manuscript with their LOI submission or PCORI will administratively withdraw the LOI.

Note: Applicants should refer to the PFA Overview chart for specific eligibility requirements.

III. How to Apply

Applying for PCORI funding is a two-stage process. To submit an LOI and application (if invited), including all required documents, follow the instructions provided in this document and in PCORI Online. You must submit all documents through PCORI Online. Be sure that you are applying to the PFA titled “PCORI Funding Announcement: Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings.” Refer to the specific PFA for more information about the review process for LOIs and applications.

Step 1: Register

To apply for PCORI funding, an applicant (PI or PI designee) must register in PCORI Online. To submit an LOI or application or to register your organization in PCORI Online, you need a Data Universal Numbering System (DUNS) number and an Employer Identification Number (EIN). You can apply for a DUNS number and an EIN, if applicable. To register, you must provide a name, an email address, a password, and a security question and answer. Once signed in, you will be directed to the home screen. Click on the Dissemination & Implementation Awards tile to apply for funding. PCORI strongly

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4 Available at https://pcori.force.com/engagement.
Step 2: Submit a Letter of Intent

An LOI is required for new and resubmitted applications. Download the PFA-specific LOI Template from the PCORI Funding Opportunities page. For formatting instructions, reference Step 4.

To submit an LOI, go into PCORI Online, complete the required fields, and upload the completed PFA-specific LOI Template into the system. For detailed instructions on how to navigate the system, reference PCORI Online: Pre-Award User Guide for Research Awards.

Step 3: Begin Application Process

PCORI will notify applicants by the date specified in the PFA as to whether they have been invited to submit an application.

The application consists of multiple sections in PCORI Online, all of which you must complete before submission. Log in to PCORI Online to view the full list of questions.

Step 4: Format and Complete Required Templates

Required templates are available on the PCORI Funding Opportunities page. Find the PFA to which you are applying and download the correct PFA-specific templates, because they vary among PFAs and cycles. Keep the following in mind:

- Do not reorganize sections within the templates.
- Do not alter the templates’ main header questions within your submission.
- You may delete instructional text.
- Adherence to font size, type density, line spacing, and text color requirements is necessary to ensure readability and fairness.

You must format all required documents as follows:

- **Header:** Include the PI’s full name and the original PCORI Contract Number in the top-left corner of every page.

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7 Available at http://www.pcori.org/sites/default/files/PCORI-Online-Pre-Award-User-Guide.pdf.
8 Available at http://www.pcori.org/funding-opportunities/.

PCORI Cycle 3 2021 Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings

PFA: Submission Instructions
• **Font**: Use Calibri size 11 font for body text and size 8 font for figures, tables, and captions.

• **Type Density**: Use no more than 15 characters per linear inch (including characters and spaces).

• **Line Spacing**: Use single spacing. Use no more than six lines per vertical inch.

• **Text Color**: No restriction. Though not required, black or other high-contrast colors are recommended since they print well and are legible to the largest audience.

• **Margins**: Use at least half-inch margins. The header may fall within the top margin, but the body of the text may not begin closer than a half-inch from the edge of the page.

• **Page Numbers**: Number each page consecutively for each PDF upload. Begin each section of an uploaded document with page 1.

• **Page Limit**: This varies based on the document.

• **File Name Format**: This varies based on the document. Refer to the Submission Checklist.

• **References**: PCORI suggests including all references as in-text citations using American Medical Association (AMA) citation style, but other citation styles are acceptable.

• Legibility is of paramount importance. Applications that include attachments that do not conform to the minimum requirements listed above may be withdrawn from consideration.

### Step 5: Upload Required Documents

Follow the Submission Checklist to enter required information. Upload required documents to PCORI Online in the correct order. When instructed, use Adobe Acrobat Professional⁹ to combine documents into a single PDF file for upload. Within the Templates & Uploads tab, click “Choose file” to select a file from your computer, and click “Upload.” For detailed instructions, refer to the Templates & Uploads section of PCORI Online: Pre-Award User Guide for Research Awards.

### Step 6: Submit for Authorization

Once you have completed and uploaded all required information, select “Review & Submit,” and then select “Submit” to forward the application to your Administrative Official (AO) to authorize and submit. The AO must approve and submit the final application for official submission to PCORI before the deadline. **PCORI Online will email the AO, but the PI should notify the AO when the application is ready for review, AO approval, and submission.** The PI and the AO may not be the same individual. Both the AO and the PI will receive an email confirming that PCORI has received the application.

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⁹ See adobe.com for more information on Adobe Acrobat Professional.

PCORI Cycle 3 2021 Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings
PFA: Submission Instructions
IV. When to Apply

Deadlines for each funding cycle are noted in the PCORI Funding Opportunities web page and in the PFA. System or technical issues with PCORI Online that affect the on-time submission of an application must be reported to PCORI before the specified deadline. Problems with computer systems at the applicant’s organization or failure to follow instructions in PCORI Online, PCORI Submission Instructions, or PFAs are not valid issues warranting consideration of a deadline extension. See PCORI’s Policy on Funding Application Submission10 for complete information.

V. What to Include

Note: Only applicants selected to submit an application may begin the application process. You will be notified by the date specified in the PFA regarding whether PCORI has invited you to submit an application.

Applicants are encouraged to review this entire section. Print and complete the Submission Checklist to ensure that the LOI and application are submitted correctly. Download all required templates from the PCORI Funding Opportunities11 web page.

Letter of Intent

You must submit an LOI before you complete your application. Enter the information into the required fields in PCORI Online.

Download and complete the PFA-specific LOI Template from the PCORI Funding Opportunities page. Statements in gray italics provide instructions. Replace the gray italics and any instructional text with your response, but retain the bold headings. Note that any additional template modifications will result in the disqualification of your LOI.

PCORI will invite only applicants whose LOIs are most responsive to this PFA to submit a full application. Focus on including only critical information because space is limited. Provide a description that allows the program staff to understand the project, including the aims and project design, without reviewing the full application. References are not included within the three-page limit. PCORI suggests including all references as in-text citations using AMA citation style, but other citation styles are acceptable. (Note: All LOI Templates must follow the formatting guidelines provided in Step 4.)

Do not include supplemental materials (e.g., supporting journal articles, Letters of Support) or additional information not requested in the template (e.g., responses to reviewer comments, Resubmission Letters).

To submit an LOI, save the completed PFA-specific LOI as a PDF. Label your LOI file using the following nomenclature: “PI LastName_(five-digit LOI number)_LOI.pdf.” PCORI Online will automatically generate an LOI number, which will be visible at the top of the web page once you save the LOI. Click “Review & Submit” to review your submission, and then click “Submit.” Navigate back to the LOI and Application

10 Available at http://www.pcori.org/funding-opportunities/how-apply/policy-submission-research-contract-applications/.
11 Available at http://www.pcori.org/funding-opportunities/.
dashboard in PCORI Online, where you can see your LOI number and track your status. Once your LOI is submitted, you cannot edit it.

**Proof of Acceptance of PCORI-Funded Study Results to Be Implemented**

As part of an LOI submission, applicants are required to document that the results of the PCORI-funded study proposed for implementation will be available by the LOI submission deadline. Specifically, (1) PCORI must have accepted for entry into the peer-review process a draft final research report (DFRR) that pertains to the original PCORI-funded research award or (2) a peer-reviewed scientific journal must have formally accepted for publication a manuscript that reports the PCORI-funded study results being proposed for implementation. It typically takes six weeks to process, revise, and accept high-quality DFRRs into PCORI’s peer-review process; therefore, applicants should plan accordingly.

Attach official documentation of acceptance by PCORI and/or the peer-reviewed journal, as applicable, to your LOI template and upload it as a single PDF file in PCORI Online.

**Resubmission Policy and Letter**

Applicants will be allowed one opportunity to resubmit an application that completed the merit review process (i.e., the applicant received a summary statement) in a previous cycle but was not funded. Applicants may not resubmit an application for a previously submitted and reviewed application until they have received merit review feedback (i.e., summary statement) for the initial submission. All resubmitted applications require the submission of a new LOI that must be administratively and programmatically responsive to the PFA. Resubmitted applications must include a Resubmission Letter, not to exceed two pages. Applications that do not meet these requirements will be deemed nonresponsive and withdrawn from merit review. LOIs that are not invited to submit a full application by PCORI do not count as a submission or resubmission.

**Note:** To ensure that new LOIs and resubmitted applications are administratively and programmatically responsive, applicants must carefully read and meet all requirements described in the PFA to which they are applying for funding.

**PI and Contact Information**

PCORI refers to three specific roles with particular responsibilities. Keep the following in mind as you complete this section:

**Principal Investigator**

A. Description

- The PI is responsible for the project’s engagement, scientific, and/or technical aspects.
- The Contact PI’s institution must be the primary institution for the award.
- PIs can participate in other applications (from the same or another organization) in the same or
a different role, such as dual-PI, co-investigator, or consultant. Refer to the Who Can Apply section for specific instructions.

- If electing to submit an application with two PIs, you must designate one individual as the Contact PI. The Contact PI is responsible for submitting the application and will serve as PCORI’s primary point of contact for all communication. **No more than two PIs can be named on an application.**

**B. Activities**

- The PI (or PIs) assumes responsibility and accountability for project execution, compliance, and organizational conduct.

- If applicable, the Contact PI is responsible for submitting the application, submitting all progress reports, and serving as PCORI’s programmatic and administrative contact. PCORI will send all communication to the Contact PI, and it is his or her responsibility to share PCORI communications with the second PI.

- The PI (or PIs) manages day-to-day project operations.

- The PI (or PIs) acts as the organization’s lead project representative.

**Note:** A **Letter of Support** is required from the PI of the original PCORI-funded research project if he or she is not the proposed PI for the current application.

**Administrative Official**

**A. Description**

- The AO is responsible for matters related to the award and administration of the contract.

- The AO cannot be the PI.

- The AO’s signature certifies that the organization will be accountable for appropriately using the awarded funds and for performing the PCORI-supported project.

**B. Activities**

- The AO manages contract activation, modifications, and additional required administrative matters.

- The AO certifies contract compliance of all applicable assurances and certifications referenced in the application.

**Financial Official (FO)**

**A. Description**

- The FO is responsible for all required financial reporting.

**B. Activities**

- The FO completes and certifies expenditure reports on behalf of the organization.
The FO accounts for contract funds and submits invoices and payment details.

**Key Personnel**

PCORI identifies as key personnel any individual who is critical to the project’s scientific development and execution in a measurable way and whose absence from the project would affect the likelihood of success.

Note the following:

- Applications can include up to two PIs.
- PIs can serve in other roles (e.g., dual-PI, co-PI, co-investigator, consultant) on other applications.
- If applicable, applicants must explain the rationale for including two PIs in the Leadership Plan Template.
- Consultants and personnel from collaborating organizations may be included as key personnel if they meet the definition. See PCORI’s [Glossary](#) for definitions of consultant and subcontractor.
- Applicants should identify patient and stakeholder partners, whether individuals or organizations, if known. Note that patient and stakeholder partners will be publicly listed on the PCORI website and may be included on public communications. In providing the names of partners, applicants acknowledge that partners have consented to the disclosure of their names to PCORI and to making their names publicly available. If a patient or stakeholder partner chooses to remain anonymous, contact [pfa@pcori.org](mailto:pfa@pcori.org) for guidance.

After merit review, PCORI may request current, pending, and other support documentation from all key personnel. This material must be submitted prior to award.

If funding is awarded, the addition or replacement of key personnel listed in the submitted application requires PCORI’s approval during contract negotiation and post-contract execution.

**Application Requirements**

The following sections are applicable only if PCORI has invited you to submit a full application. PCORI will notify applicants of this decision via email by the date specified in the PFA. You are invited to submit an application based on the information provided in the LOI.

Any changes to the following require PCORI’s approval:

- PI (Contact PI and PI #2)
- Institution
- Implementation approach
- Specific aims

If you need to change any of this information or have any questions, email [pfa@pcori.org](mailto:pfa@pcori.org).
Review the information transferred from your LOI and update as needed.

**Project Information**

Enter the following information directly into PCORI Online.

**Project Summary**

Please copy and paste the text from the body of your Project Summary (see [Project Summary Template](#)). As a reminder, you must also upload your Project Summary as a PDF to the Templates & Uploads section in PCORI Online.

**Milestones Template**

Applicants must complete the [Milestones Template](#) and upload it as an Excel file, not as a PDF, in PCORI Online, in the designated upload field. Follow the instructions in the template and complete all required sections. For the milestones provided in the template, based on the “Milestone—Deliverable Name” (Column B) and the “Description” (Column C), applicants must provide the “Due Date” (Column D). Consider the guidance information in Column E as you determine the Due Date, which can be any day of the week. Applicants should insert rows for additional milestones, when and where appropriate as they would correspond to the timing of the milestone.

Milestones are concrete, specific events or accomplishments that are documented by deliverables. They include only the activities that the PCORI contract supports. Your project contract will include interim and final deliverables if PCORI funds your application. Note that PCORI reserves the right to request additional deliverables during the life of the project.

Examples of milestones include, but are not limited to, the following:

- Institutional Review Board approval (if applicable)
- Activities related to the adaptation of findings/interventions from the PCORI-funded study
- Launch of implementation at participating sites/systems
- Data collection (including from focus groups/interviews, surveys, claims data, and the electronic health record)
- Data analysis activities and reporting of evaluation results
- Training activities (e.g., for staff delivering the intervention)
- Documentation of new or revised processes, protocols, or policies that will lead to changes in practice by those delivering the intervention (e.g., updated clinical procedures/workflows)
- Site visits
- Development and use of educational materials, resources, training manuals, or other materials in your implementation project
• Engagement activities, such as stakeholder/advisory meetings, workshops, and so on
• Accomplishing reach targets

Note: Milestones must be associated with a timeline and include project objectives that will be accomplished at specific times during the proposed project.

Project Team

Applicants must assemble a team that is suited to complete the work. Applications must demonstrate that the project team’s experience, leadership approach, governance, and organizational structure are appropriate for the project and will aid in successfully achieving the project goals.

Applicants will complete and upload two separate key personnel files:

• PI Template (includes Dual-PI information and Leadership Plan, if applicable)
• Key Personnel Template (includes all other key personnel on project, including co-investigators, consultants, or other significant contributors)

For each person listed as key personnel (including PI, dual-PI, co-investigator, consultant, or other significant contributors, as noted in the sections below), complete a Profile/Biosketch section (up to five pages per individual). Note that you may submit the most recently posted National Institutes of Health (NIH)-formatted biosketch in lieu of a PCORI-formatted biosketch. Patient and stakeholder partners serving as key personnel may choose to complete the Patient and Stakeholder Partner Profile/Biosketch form in lieu of the Professional Profile/Biosketch.

PI Template

Applicants must complete the PI Template for the project lead(s). Depending on the nature of the proposed study, a collaborative and multidisciplinary team might be required. PCORI permits applicants to name a maximum of two PIs within an application. The PIs may be from the same or different institutions. Each PI is accountable and responsible for the conduct of the award and for ensuring that all awarded milestones, deliverables, and reports are completed in accordance with the award terms and conditions.

If proposing a dual-PI application, you must designate one as the Contact PI. The Contact PI must be employed by the applicant institution and listed first within the application. Although PCORI will recognize both PIs, the Contact PI is responsible for submitting the application and for communications between the PIs and PCORI, including coordinating meetings with PCORI staff.

Complete a Profile/Biosketch (up to five pages per individual) for the PIs, and as appropriate the dual-PI. Combine the profile/biosketches and into a single PDF file. The Contact PI profile/biosketch should be the first item in this upload. If applicable, attach the Leadership Plan to this file as the last item in this upload. Upload the file to the designated field in PCORI Online.
Leadership Plan (required if proposing a dual-PI application)

Applicants proposing a dual-PI application must include a Leadership Plan (up to five pages). The Leadership Plan must (1) describe the governance and organizational structure of the leadership team and the project; (2) delineate the administrative, technical, scientific, and engagement responsibilities for each PI and the rationale for submitting a dual-PI application; (3) discuss communication plans and the process for making decisions on scientific and engagement direction; and (4) describe the procedure for resolving conflicts.

**Note:** Only the Contact PI may submit the application to PCORI.

Key Personnel Template

The Key Personnel Template must include all biosketches/profiles for the remaining study team members identified as key personnel. Complete a Profile/Biosketch section (up to five pages per individual) for each person listed as key personnel, copying the tables provided as needed. At a minimum, each profile must include the person’s name, title, and degree(s). PCORI is especially interested to learn how each individual’s previous experience, past performance, and training in the field of PCOR has prepared him or her to conduct this research. You must also describe the backgrounds, relevant experiences, and roles of patient and stakeholder partners.

Project/Performance Site(s) and Resources Template

The Project/Performance Site(s) and Resources Template may not exceed 15 pages. Demonstrate in detail that the proposed facilities have the appropriate resources required to conduct the project as planned, within budget, and on time.

Applicants must provide a description of the facilities they will use during the project, including capacity, capability, characteristics, proximity, and extent of availability to the project.

Project Plan Template

Complete all required sections in the Project Plan Template and upload the file as a single PDF to PCORI Online. The Project Plan includes the following: Project Strategy, Protection of Human Subjects (if applicable), Consortium Contractual Arrangements, References Cited, and an Appendix (optional).

**Project Strategy**

In this component of the Project Plan (up to 12 pages), applicants must describe their project strategy and plan in detail and demonstrate how the proposed project responds to this PFA. This component addresses the following sections: (A) Background, (B) Significance, (C) Approach, (D) Evaluation, (E) Engagement Plan, and (F) Project Personnel and Environment.

**Protection of Human Subjects (if applicable)**

In this component (up to five pages), describe the protection of human subjects involved in your project. PCORI follows the Federal Regulation for the Protection of Human Subjects (45 CFR part 46), including the Common Rule. For more detailed information, see Section 5, “Human Subjects Research Policy,”
from the Supplemental Grant Application Instructions for All Competing Applications and Progress Reports, issued by the US Department of Health and Human Services. Refer to the Required Education of Key Personnel on the Protection of Human Subject Participants requirement in the PFA as you complete this section.

Consortium Contractual Arrangements

In this component (up to five pages), describe the proposed projects that subcontracted organizations will perform. Explain the strengths that these partners bring to the overall project to ensure successful submission of contract deliverables in accordance with the milestone schedule.

Keep the following in mind as you complete this section:

- The prime applicant is responsible for the project and must adhere to the contract’s terms and conditions. The prime applicant must negotiate his or her subcontracts accordingly.
- Signed subcontract agreements are not required at the time of application submission to PCORI.
- Submitting an application to PCORI signifies that programmatic and administrative personnel from your organization and from all proposed subcontract organizations involved in the project are aware of your organization’s subcontract agreement policy and are prepared to establish the necessary interorganizational agreement(s) consistent with that policy.
- If applicable, subcontract personnel must be included under Key Personnel.
- Budget information for subcontracted organizations must be included in the Detailed Budget, Budget Summary for Entire Project, and Budget Justification.

References Cited

This component (up to 10 pages) is included in the Project Plan Template. Throughout the Project Plan, applicants should use in-text citations to reference published materials. In this section, list the full bibliographical citation of each reference. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article title, the journal or book title, the volume number, the page numbers, and the year of publication. Include only bibliographic citations. PCORI suggests following AMA style when providing citations for source materials in any section of the application, but other citation styles are acceptable. Citations that are publicly available in a free, online format may include URLs or PubMed ID numbers along with the full reference. Limit references to relevant and current literature. Be concise and select only those literature references pertinent to the proposed project, so that the 10-page limit is not exceeded. Reference websites in the standard URL format (i.e., http://www.pcori.org) along with the date on which the link was last accessed.

Appendix (Optional)

This component (up to 10 pages) is included in the Project Plan Template. Applicants may provide additional materials to support the proposed project (e.g., decision aid screen shots, survey instruments, interview guides). Note that reviewers are not required to review this section during merit review.

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Project Summary Template

Complete all required questions in the Project Summary Template and upload it as a PDF to PCORI Online. The Project Summary should be written in nontechnical language that the general public will understand. This summary must be comprehensible to a variety of audiences and will be provided to reviewers during the merit review process. PCORI will post on its website project summaries from applications that are awarded a contract, along with the names of the individuals and organizations that compose the project team, as described in the Key Personnel section. Your Project Summary should not exceed two pages.

Shared Decision-Making Approach (SDM) Template

Use this template to provide a summary of your proposed SDM approach and its alignment with specified quality criteria. Please complete the template, drawing on the information you provided in the corresponding sections of the Project Plan where appropriate, and support statements with citations—both to specific sections of your Project Plan and in the published literature—throughout. Do not exceed five pages.

Budget

Complete all required sections in PCORI Online and upload the Subcontractor Detailed Budget Template and Budget Justification Template. Do not upload separate budget files for subcontractors; instead, include all subcontractor budget files within the prime applicant’s budget information.

Co-Funding

PCORI partners with various other research organizations to leverage additional funds for some of its programs. If you currently have a funded project and would like to seek PCORI funding to add a new aim to the study that advances PCORI funding objectives, you may propose to do so in an LOI and, if invited, submit an application. We recommend that you speak with a Program Officer in advance.

Detailed Research Project Budget for Each Year of the Research Project Period

For each program year, enter a complete a Detailed Budget into PCORI Online for the prime institution. For example, if your study lasts two years, the prime institution must complete a Detailed Budget for Year One and for Year Two. The subcontractor must follow the same process and complete a Detailed Budget for each year of the proposed study in the corresponding template.

You must enter all personnel information in the Project Personnel tab that corresponds to that year in the Budget tab. The applicant may add additional rows for personnel as needed. Following the example of a one-year project, applicants may delete the unused Year Two Detailed Budget tabs. However, applicants may not add additional years. Maximum project periods are stated in each PFA. Note the following:

A. Personnel Costs

- Personnel Costs: These include the base salary for each scientific and technical staff member,
employee patient or stakeholder partner, or other personnel on your project who are or are not accounted for in Section B: Consultant Costs. Provide a clear distinction between individuals who are considered key personnel and those considered “other” personnel.

- **PCORI** will reimburse personnel costs that are consistent with and do not exceed what the applicant would normally pay under its own policy. PCORI may request salary verification during the contract activation process. Such compensation may include salaries and fringe benefits. See Appendix 1: Allowable and Unallowable Costs for more information.

- Salaries include wages earned by an employee, and fringe benefits may include insurance and retirement plans. Provide documentation to support the fringe benefits with the Budget Justification.

- **Level of Effort**: Personnel who contribute to a PCORI-funded research project are expected to monitor their total percentage of effort across all active funding so that it does not exceed 100 percent. Before submitting the application to PCORI, the AO must certify that individual personnel will not exceed 100 percent effort, if funded. Effort must be reported by the percentage of time over the course of the project year. If salary support is not being requested, use $0 for the base salary.

- All personnel who dedicate effort to the project must be listed on the Personnel Budget with their level of effort, even if they are not requesting salary support. List the base salary for each person in the Budget Justification and the Detailed Budget. Describe the individual’s specific functions in the Budget Justification. Explain how the role supports the project aims and note any overlap in job functions.

- **Salary Cap**: The PCORI base salary cap for personnel is $200,000 annualized per individual, per year, excluding fringe benefits. An individual who earns less than $200,000 must use his or her actual base salary to calculate personnel costs. An individual with a full-time employee base salary of more than $200,000 must use $200,000 as the base salary rate in determining the amount of salary and time to charge to the project.

- Inflation/Cost of Living Adjustments may be assessed only on base salaries less than the $200,000 salary cap.

- **Fringe Benefits**: These costs are calculated based on the institution’s own policy. In the budget upload, following the Budget Justification, applicants must provide a verification of the fringe benefit rate policy for the prime organization.

**B. Consultant Costs**

- Consultant costs apply to those individuals who are not employees of the applicant organization or under a subcontract agreement as members of the contracted staff.

- Payments to nonemployee patient and stakeholder representatives must be included in the budget as consultant costs.

- Provide the total cost of the consultant(s), as well as the name(s), expected number of hours,
and hourly rate.

- Include the daily consultant fee, travel expenses, nature of the consulting effort, and reason(s) that the proposed project requires consultants. Note any overlap in duties with personnel.
- Consultant costs must be reasonable and justified within the Budget Justification.
- Include Letters of Support from each consultant, verifying the work to be performed and how the negotiated rate was established. See the Letters of Support section for more detailed information.

C. Supply Costs

- Supplies must be directly allocable and allowable to the proposed project, and not be part of general or administrative use. Supplies are consumable items that are used on a regular basis or other tangible items that do not meet the definition of equipment. Include the category of supplies needed and the cost for each.
- Tangible items with per-unit costs of $5,000 or more are considered equipment and cannot be accounted for under this category.
- Indicate general categories such as mailings, printing, lab, and equipment with less than $5,000 per-unit cost. Provide detailed explanations in the Budget Justification for all costs that exceed $1,000.
- For all supply costs, provide computations for how applicants arrived at the specific number.

**Note:** PCORI considers computers, tablets, docking stations, mobile data and protection plans, laboratory and office furnishings, and software to be general office supplies that are not allowable as direct cost charges. If you propose these items as essential for performing the project, you must provide the following in the Budget Justification:

- Detailed explanation of why purchasing these items is necessary to complete the proposed project
- Statement verifying that the requested items are not currently available for the PI’s use
- Statement assuring that you will purchase the items in accordance with applicable cost principles

- Items purchased under PCORI-funded projects are not to be used as incentives to recruit or retain graduate students or any other project personnel.

D. Travel Costs

- Travel may include any domestic or international travel by project personnel or consultants directly related to and necessary for the project and within the limits explained below. PCORI uses the Federal Travel Regulations guidelines for per diem and other reimbursements.
- Travel should be devoted to programmatic activities necessary to conduct the project, such as
focus groups, project team meetings, or data collection. Requests for travel to present at conferences or symposiums related to the topical areas of the project may also be included, but they should be limited in number, and strongly justified. PCORI closely reviews all travel costs to ensure they are reasonable.

- Travel costs must be itemized per trip and must include the number of trips and a brief description of the trips, including the number of people traveling and dates or duration of the stays.
- Airline or rail costs cannot exceed the customary standard commercial fare (coach or equivalent), or the lowest commercial discount fare. PCORI will not compensate upgrades.
- In the Budget Justification, applicants must provide additional detail to explain the basis for the costs listed and describe how the travel is directly related to the proposed research project and necessary for achieving programmatic objectives.

E. Other Expenses

- Use this section to include direct costs that cannot be accounted for in other budget categories. For example, these costs may include computer core services, data warehousing, participant incentives, publication costs, illustration costs, and non-consulting service contracts (when applicable).
- In the space provided, include a detailed explanation for all costs that exceed $1,000. Applicants must provide further detail in the Budget Justification for each of these costs.

F. Equipment Costs

- Equipment costs include those for tangible items that have a per-unit cost of $5,000 or more and a useful life greater than one year.
- Include with the Budget Justification up to three quotes for each item of proposed equipment.
- Costs must be reasonable and necessary for the project.

G. Subcontractor Costs

- This category includes all consortium and contractual costs. The prime awardee must issue a subcontract agreement to a collaborator if the criteria listed below are met:
  - The subcontractor personnel’s effort on the project is calculated as part of his or her “professional time” for his or her employer organization.
  - The subcontractor will be using significant resources (e.g., office space, supplies, computer, personnel) at his or her own organization when working on the PCORI-funded project.
- State in the Budget Justification why each subcontractor was selected. Provide detail on his or her specific role and the aim or deliverable he or she will be supporting for the project.
Subcontractors must adhere to all PCORI budget guidelines, including allowable and unallowable costs.

H. Indirect Costs

- PCORI limits the total indirect costs to 40 percent of personnel, consultant costs, travel, supplies, and other expenses and on the first $25,000 of each subcontract.
- Applicants that do not have a federally negotiated or independently audited indirect cost rate may assess up to 10 percent indirect costs, to be noted in the Budget Justification.
- Foreign applicants are eligible for no more than 10 percent indirect costs.
- A copy of the prime applicant’s Federally Negotiated or Independently Audited Indirect Cost Rate Letter must be submitted with the application. Include these copies in a single file with the Budget Justification.
- If funded, the indirect cost rate submitted at the time of application is what PCORI will utilize during contract negotiations. If a change in the indirect cost rate occurs once a project is executed, and the awardee wishes to charge a different rate, the awardee must contact its PCORI Contract Administrator and provide a copy of the new federally negotiated rate or independently audited rate. PCORI may allow a change in the rate charged, but the awardee will need to reallocate within its existing, approved budget. PCORI will not allow additional funds to offset any increases in indirect costs and the rate increase cannot result in a reduction in scope of the approved project.
- While consortium indirect costs must be noted in the prime applicant’s direct cost budget, consortium indirect costs are not included in the applicant’s direct cost budget cap.

Budget Summary for Entire Project

A Budget Summary for Entire Project for the prime applicant is created within PCORI Online when the budget is entered into the system. Please review this information prior to submission. See Appendix 1: Allowable and Unallowable Costs to review acceptable and unacceptable uses of PCORI funding.

Subcontractor Detailed Budget Template

Complete the Subcontractor Detailed Budget Template and upload it to PCORI Online as a single PDF file in the designated field. For each project year, complete a Detailed Budget for each subcontractor organization proposed in your application. All personnel information must be entered in the Project Personnel tab corresponding to that year in this template. Add additional rows for personnel as needed.

Budget Justification Template

Complete a Budget Justification Template for the prime applicant and each subcontracted organization for the entire Project Budget for all research and upload as a single PDF into PCORI Online. Provide sufficient detail to explain the basis for costs, the reason that the costs are necessary to the project, and the reason for major cost variances. Include information about budgeting for engagement, including financial compensation of patient and stakeholder partners and any other engagement costs (e.g.,
travel, meeting costs, training, other costs associated with convening patients and stakeholders). Note that some projects employ or assign an individual responsible for coordinating or managing all project-related patient and stakeholder engagement. This person must be listed as a Full-Time Equivalent under personnel, consultant, or subcontractor costs.

Provide detail to explain the basis for travel costs, and describe how the travel is directly related to the proposed project and necessary for achieving programmatic objectives.

Describe the specific role and tasks each research team member will perform and the impact on the Project Plan. PCORI will evaluate each member’s contribution, as listed in the Budget Justification, to validate meaningful contributions and assess whether overlap in responsibilities occurs. Provide a clear distinction between individuals who should be key personnel and those who should be classified as “other” personnel.

Specify any other sources of funding—currently available or anticipated—to support the proposed project. Include funding amounts and the period during which the funding will be available. Use continuation pages as needed.

Note: PCORI will not fund a project that is already funded through another funding entity. By submitting the application to PCORI, the AO is certifying that no overlap in funding exists at the time of submission. Prior to receiving a PCORI contract, awardees must disclose all current and pending support.

Letters of Support

Save all Letters of Support as a single PDF file and upload it to PCORI Online, using the Letters of Support Table as the first page of the file. Follow the guidance below and in the table template to enable easy reference for merit reviewers and PCORI staff. Reviewers are asked to consider the Letters of Support as outlined in the template and in this guidance. Failure to assemble the letters properly may result in the reviewers missing key information. If this occurs, PCORI will not send the application for re-review because it will be deemed an error in application assembly, not an error in review.

All Letters of Support must be addressed to the PI and demonstrate the commitment of key personnel and supporting organizations (e.g., dual-PIs, co-investigators, consultants, patient and stakeholder partners, stakeholder organizations) to the proposed project. Letters of Support are not required for personnel who are not contributing in a substantive, measurable way to the project’s scientific development or execution. Letters of Support must reflect the involvement and material contribution that the signatory parties will provide and confirm the commitment of collaboration.

PCORI may contact any individuals or organizations included in the Letters of Support to ask questions or to confirm support as described in the letters.

Organize Letters of Support as follows:

- **Letters of Organizational Support:** Provide a letter (or letters, if applicable), signed by the Department Chair or appropriate organizational official, that confirms the institutional support of the proposed project, space to conduct the project, equipment, and other resources available.
for the project, including staff. PCORI also strongly encourages you to provide a letter from department or organization leadership affirming support to disseminate research findings that are appropriate and warranted for implementation.

- **Letters of Collaboration:** Provide a signed letter from each collaborating individual or organization that will demonstrate the PI has the support or resources necessary for the proposed work. Letters of Support from patient and stakeholder partners must describe clearly their interest and rationale for involvement in the effort, as well as their role and specific project responsibilities. PCORI also strongly encourages letters from patient or stakeholder partners or partnering organizations affirming support to disseminate and implement the designated PCORI-funded research results and products. Include a Letter of Support for each consultant verifying the work to be performed and their negotiated rate.

- **Letters Confirming Access to Patient Populations, Data Sets, or Additional Resources (if applicable):** If the proposed plan involves access to patient populations, data sets, or additional resources, include a Letter of Support—signed by the individual with approval authority—that confirms such access. If access cannot be confirmed at the time of contract negotiation, PCORI reserves the right to withhold funding until the PI has demonstrated support for and access to the relevant population(s) and resources.

List all letters in the table (adding rows as needed) and include the page number for each letter in the single PDF file.
Appendix 1: Allowable and Unallowable Costs

Allowable costs (i.e., those costs that can be included in a proposed Detailed Budget when applying for a PCORI Funding Award and charged to the award) may include the following costs that derive from and directly support the research project:

- Salaries and fringe benefits for study investigators and other research project staff (including engaged patient and stakeholder research study partners) related to their percentages of effort on conducting the research project (such costs may not include personnel who deliver patient care as a component of their participation in the research project.)
- Consultant fees
- Travel for mandatory investigator meetings
- Travel that is necessary to conduct the project
- Supplies
- Equipment
- Subcontracts
- Expenses related to conducting engagement activities with patients and other stakeholders
- Other direct expenses
- Indirect costs

PCORI will review all proposed costs. Costs must be deemed allowable, allocable, and directly necessary for the successful execution of the proposed project. A notification of pending award is subject to budgetary review and successful contract negotiation. The actual award amount may vary. For more information, please see PCORI Cost Principles.
PCORI considers computers, tablets, docking stations, mobile data and protection plans, laboratory and office furnishings, and software to be general office supplies that are not allowable as direct cost charges.
## Appendix 2: Administrative Actions

Applicants that fail to submit required documents or adhere to administrative requirements may be rejected from the merit review process. The chart below explains the reasons for rejection, modification, and appended requests.

<table>
<thead>
<tr>
<th>Automatic Rejection</th>
<th>Modification by PCORI</th>
<th>Appended upon PCORI’s Request*</th>
</tr>
</thead>
<tbody>
<tr>
<td>An application or LOI will be automatically rejected if any of the following apply:</td>
<td>PCORI will modify an application by removing all pages that exceed stated limits for the following components:</td>
<td>Unless automatically rejected or modified, PCORI may request that the applicant submit missing documents or correct noncompliant ones.</td>
</tr>
<tr>
<td>• Exceeds the specified period of performance outlined in the PFA</td>
<td>• LOI</td>
<td></td>
</tr>
<tr>
<td>• Exceeds the maximum budget specified in the PFA</td>
<td>• Project Strategy</td>
<td></td>
</tr>
<tr>
<td>• Has adjusted margins or font size (LOI)</td>
<td>• Project Summary</td>
<td></td>
</tr>
<tr>
<td>• Does not include or has an incomplete Project Plan</td>
<td>• Protection of Human Subjects</td>
<td></td>
</tr>
<tr>
<td>• Does not have either (1) a PCORI DFRR accepted for entry into the peer-review process or (2) a manuscript reporting the PCORI-funded results being proposed for implementation accepted for publication by a peer-reviewed journal for the original PCORI research award (LOI stage)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* PCORI will not accept requested documents submitted more than one business day after initial request.