Cycle 2 2018 Funding Cycle

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

Application Guidelines

Published June 28, 2018
Updated August 29, 2018

These guidelines apply to the Cycle 2 2018 Funding Cycle for the Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings PCORI Funding Announcement (PFA). Funding announcements, templates, and other resources are available at http://www.pcori.org/Cycle-2-2018-shared-decision-making. This cycle closes on October 10, 2018, at 5 pm (ET).
About PCORI

The Patient-Centered Outcomes Research Institute (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.

PCORI was authorized by Congress in 2010 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."
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What Has Changed for Cycle 2 2018:
  • Removed eligibility requirement that applicants must obtain a Letter of Support from the
    original PCORI Principal Investigator (PI) when proposing to incorporate findings from that
    study in an existing shared decision-making strategy.
  • Added the Resubmission Letter template. See the Resubmission Policy & Letter section.
  • The Shared Decision-Making Approach template page limit increased from four to five pages.
  • Increased Project Plan’s Appendix page limit from five pages to 10 pages to allow applicants
    space to include decision aid screenshots, as appropriate.
  • Capped scientific travel at $10,000.
  • See the Shared Decision Making PFA for programmatic requirement changes.
  • On August 29, 2018, footnote 13 was removed from page 6 (Application Checklist) to
    eliminate confusion on what to include in the Technical Abstract.
I. About These Guidelines


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

- See PCORI’s Applicant FAQs¹ for common questions about PCORI and the application process.
- See the Implementation of Effective Shared Decision Making Approaches in Practice Settings PFA section on the Help Center for more PFA-specific FAQs.
- Visit PCORI’s Help Center² for additional applicant resources.
- **For Programmatic Inquiries:** Contact the PCORI Helpdesk via email (disseminationquestions@pcori.org). 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 Administrative, Financial, or Technical Inquiries:** Contact the PCORI Helpdesk at pfa@pcori.org. PCORI will respond within two business days. Note that during the week of the application deadline, response times may exceed two business days. Applicants may also call the PCORI Helpdesk (202-627-1885).

It is the applicant’s responsibility to submit the application on or before the deadline. Refer to PCORI’s Policy on Submission of Research Contract Applications.³

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 Application Guidelines. 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. Email pfa@pcori.org with any formatting or administrative compliance questions to ensure that your LOI or application will be compliant once submitted to PCORI. See Appendix 2: Administrative Actions.

Unless otherwise stated within the Application Guidelines, 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.

¹ http://www.pcori.org/funding-opportunities/how-apply/have-question/dissemination-and-implementation-limited-pcori-funding.
³ http://www.pcori.org/funding-opportunities/how-apply/policy-submission-research-contract-applications/.
PCORI utilizes a contract mechanism, not grant, for its awards. PCORI funds and administers meritorious dissemination and implementation (D&I) efforts. PCORI funds projects that demonstrate the highest probability of being completed on time and within budget, and 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. Applicant Institutions and the Administrative Officials are advised to carefully review PCORI’s standard Contract templates provided on the Awardee Resources page on PCORI website. Note that international awardees will be issued a contract in US 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.

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 may 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 research award

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

Applicants that are proposing to implement an SDM strategy that was formally tested and demonstrated to be effective in the context of a PCORI 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.

Timing: Applicants must propose to implement PCORI results that are available at the time of the application due date. Specifically, (1) a draft final research report (DFRR) pertaining to the original PCORI research award must have been accepted for entry into the peer-review process by PCORI or (2) a manuscript reporting the PCORI results being proposed for implementation must have been formally accepted for publication by a peer-reviewed scientific journal before the application due date for this announcement. Applicants may submit the mandatory LOI before PCORI has accepted the DFRR for peer review, and before a scientific journal has accepted a manuscript.

Applicants relying on submission of the DFRR to meet the above requirement should be aware that PCORI will administratively withdraw applications that are 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 to process,
revise, and accept high-quality DFRRs into PCORI’s peer-review process; applicants should plan accordingly.

Applicants relying on publication of a peer-reviewed manuscript must be able to document formal acceptance of the manuscript for publication before the application deadline, or PCORI will administratively withdraw the application.

**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 US 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 disseminationquestions@pcori.org.

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

### III. How to Apply

To submit an LOI and application (if invited), including all required documents, follow the instructions provided in these guidelines 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.

To submit an 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.

**Step 1: Register**

To apply for PCORI funding, an applicant (PI or PI designee) must register in PCORI Online. 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. Select the Research, Infrastructure, and D&I Awards tile to apply for funding. PCORI strongly recommends that only the PI create the LOI/application record, because whoever creates the record will have permanent access to it in PCORI Online.

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6 [https://www.dandb.com/credit-resources/duns-number/how-to-get-and-maintain-a-duns-number/](https://www.dandb.com/credit-resources/duns-number/how-to-get-and-maintain-a-duns-number/).
Step 2: Submit a Letter of Intent

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.8

Step 3: Initiate Application Process

PCORI will notify applicants by the date specified within the PFA regarding whether they are 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 in the PCORI Funding Opportunities.9 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.

All required documents must be formatted as follows:

- **Header:** Include the PI’s full name and the original PCORI research award number in the top-left corner of every page.
- **Font:** Use Calibri size 11. Figures, tables, and captions may have size 8 font.
- **Spacing:** Use single spacing.
- **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:** Each page must be numbered consecutively for each PDF upload. Each section of an uploaded document must begin with page 1.
- **Page limit:** This varies based on document.

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8 Available at http://www.pcori.org/sites/default/files/PCORI-Online-Pre-Award-User-Guide.pdf.
9 Available at http://www.pcori.org/funding-opportunities/.
Step 5: Upload Required Documents

Follow the Application Checklist included in these guidelines to enter required information. Upload required documents to PCORI Online in the correct order. When instructed, use Adobe Acrobat Professional\textsuperscript{10} to combine documents into a single PDF file for upload. Within the Templates & Uploads tab, select “Choose file” to select a file from your computer, and select “Upload.” For detailed instructions, refer to the Templates & Uploads section of the 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.

IV. When to Apply

Deadlines for each funding cycle are on the PCORI Funding Opportunities website and in the PFA. You must report to PCORI before the specified deadline any system or technical issues with PCORI Online that affect the on-time submission of an application. Problems with computer systems at the applicant’s organization or failure to follow instructions in PCORI Online, PCORI Application Guidelines, or PFAs are not valid issues warranting consideration of a deadline extension. See PCORI’s Policy on Submission of Research Contract Applications\textsuperscript{11} for complete information.

V. What to Include

PCORI encourages applicants to review all of the contents in this section. Print and complete the provided Application Checklist to ensure that you submit the LOI and application correctly. Download all required templates from the PCORI Funding Opportunities website.\textsuperscript{12}

\textsuperscript{10} See adobe.com for more information on Adobe Acrobat Professional.
\textsuperscript{11} http://www.pcori.org/funding-opportunities/how-apply/policy-submission-research-contract-applications/.
\textsuperscript{12} http://www.pcori.org/funding-opportunities/.
# Application Checklist

<table>
<thead>
<tr>
<th>Letter of Intent</th>
<th>Submission Method</th>
<th>Length/Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Letter of Intent (LOI)</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
<tr>
<td>• Contact Information</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
<tr>
<td>• Prescreen Questionnaire</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
<tr>
<td>• Resubmission</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
<tr>
<td>• PI Information</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
<tr>
<td>• Project Information</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
<tr>
<td>• Project Personnel</td>
<td>Enter into PCORI Online</td>
<td>N/A</td>
</tr>
</tbody>
</table>

| Templates & Uploads: LOI Template | Save file as “PI LastName_(five-digit LOI number)_LOI.pdf” and upload | 3 pages |

<table>
<thead>
<tr>
<th>Application</th>
<th>Submission Method</th>
<th>Length/Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Information</td>
<td>Enter into PCORI Online</td>
<td>As needed</td>
</tr>
<tr>
<td>• Technical Abstract***</td>
<td>Enter into PCORI Online</td>
<td>As needed</td>
</tr>
</tbody>
</table>

| Milestones | Enter into PCORI Online | As needed |

| Budget | Enter into PCORI Online | As needed |
| • Detailed Budget for Each Project Year (prime and subcontractors) | | |
| • Budget Summary for Entire Project (prime and subcontractors) | | |

| People and Places Template | Save as “PeoplePlaces_PI LastName.pdf” and upload | As noted below |
| • Leadership Plan (required if proposing dual-PI application) | | 5 pages |
| • Professional Profile/Biosketch | | 5 pages per individual |
| • Patient/Stakeholder Partner Profile/Biosketch | | 5 pages per individual |
| • Project/Performance Site(s) and Resources | | 15 pages |

| Budget Justification (Prime and Subcontractors) | Save file as “BudgetJustification_PI LastName.pdf” and upload | As needed |
| • Budget Justification Template | | As needed |

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**Footnote:** This includes all subsections from the Description of Results through the Patient and Stakeholder Engagement Plan. This footnote was removed on August 29, 2018 to eliminate confusion on what to include in the Technical Abstract.
- Federally Negotiated or Independently Audited Indirect Cost Rate Letter (prime)
  
- Fringe Benefit Rate Policy Verification Document (prime contractor)

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Description</th>
<th>Pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Plan Template</td>
<td>Save file as “ProjectPlan_PI LastName.pdf” and upload as a single file</td>
<td>As noted below</td>
</tr>
<tr>
<td>Project Strategy</td>
<td></td>
<td>10 pages</td>
</tr>
<tr>
<td>Protection of Human Subjects (if applicable)</td>
<td></td>
<td>5 pages</td>
</tr>
<tr>
<td>Consortium Contractual Arrangements</td>
<td></td>
<td>5 pages</td>
</tr>
<tr>
<td>References Cited</td>
<td></td>
<td>10 pages</td>
</tr>
<tr>
<td>Appendix (optional)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PCORI Study Results to Be Implemented/Proof of Acceptance</td>
<td>Save as “PCORIResults_PI LastName.pdf” and upload</td>
<td>As needed</td>
</tr>
<tr>
<td>Project Summary Template</td>
<td>Save file as “ProjectSummary_PI LastName.pdf” and upload</td>
<td>2 pages</td>
</tr>
<tr>
<td>Shared Decision-Making (SDM) Approach Template</td>
<td>Save file as “SDMApproach_PI LastName.pdf” and upload</td>
<td>5 pages</td>
</tr>
<tr>
<td>Letters of Support</td>
<td>Save as “Letters_PI LastName.pdf” and upload as a single file</td>
<td>As needed</td>
</tr>
<tr>
<td>Letters of Support Table</td>
<td></td>
<td></td>
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<tr>
<td>Letters of Support</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resubmission Letter (if appropriate)</td>
<td>Save as “Resubmission_PI LastName.pdf” and upload</td>
<td>2 pages</td>
</tr>
</tbody>
</table>
You must submit an LOI before you complete your application. Enter the information in the required fields in PCORI Online.

Upon receipt of the LOIs, a minimum of two PCORI program staff will administratively screen and review the documents for non-responsiveness. PCORI invites only applicants whose LOIs are most responsive to this PFA to submit a full application. Nonresponsive LOIs and those not adhering to administrative guidelines will not be invited to submit a full application. PCORI may administratively withdraw nonresponsive LOIs if the project does the following:

- Proposes to establish efficacy or effectiveness of SDM strategies or to study the comparative clinical effectiveness of multiple SDM strategies
  - Applicants interested in conducting CER should consider applying to PCORI’s Communication and Dissemination Research Program using the appropriate application materials. Projects proposing to perform CER under this PFA will not be referred and will be withdrawn as nonresponsive.
- Proposes to disseminate or implement findings that are not associated with a PCORI-funded CER or methods study
- Proposes to translate or adapt an SDM approach without actively implementing it
- Proposes to develop or validate a new tool or system for patients or clinicians without the primary purpose of actively implementing evidence
  - PCORI will consider modifying or adopting tools and systems previously found to be effective and proposed as the primary mechanism for actively disseminating and implementing evidence, as long as their development is not the primary activity proposed.
- Proposes to use contract funds to pay the cost of the interventions being disseminated in the project
  - In general, PCORI does not pay the cost of the interventions being disseminated in the projects it funds. These are direct patient care costs and PCORI expects health delivery organizations or other payers to cover these expenses. Intervention costs PCORI does not cover include, but are not limited to, compensation for personnel who are delivering the intervention and equipment and materials costs associated with delivery of the intervention. PCORI encourages all applicants to find support from sites, payers, or other stakeholders for these expenses. Only under special circumstances will PCORI consider an exception for coverage of patient care intervention costs.
  - If you are requesting the use of PCORI funds for any portion of these costs, your application must include a detailed justification in the Budget Justification Template outlining the importance of the request to the project’s overall success. Your justification must also explain how you will cover these costs in the future, post-PCORI.
funding—not only in the sites participating in the study but also in other communities and healthcare settings that undertake the proposed strategies. Applicants should develop contingency plans in the event that PCORI does not approve the request.

Resubmission Policy

For this PFA, PCORI gives applicants 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 (summary statement) for the initial submission. All resubmitted applications require submission of a new LOI that is administratively and programmatically responsive to the PFA. Resubmitted applications must include a Resubmission Letter, not to exceed two pages. PCORI will deem applications that do not meet these requirements as nonresponsive and will withdraw them from merit review. LOIs that are not invited to submit a full application 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 (PI)

A. Description

- If electing to submit an application with two PIs, you must designate one PI 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. You may name no more than two PIs on an application.
- The PI(s) is(are) responsible for the project’s engagement, scientific, and 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.

B. Activities

- The PI(s) assume(s) responsibility and accountability for research execution, compliance, and organizational conduct.
- The Contact PI is responsible for submitting the application, submitting all progress reports, and serving as PCORI’s programmatic and administrative contact. All PCORI communication
will be sent to the Contact PI, and it is his or her responsibility to share PCORI communications with the dual-PI.

- The PI(s) manage(s) day-to-day project operations.
- The PI(s) act(s) as the organization’s lead research representative.

**Note:** If an applicant is proposing to implement an SDM strategy that was formally tested and demonstrated to be effective in the context of a PCORI research award, then they must be the PI of the original PCORI research study (or a member of the original PCORI research study team).

**Administrative Official (AO)**

**A. Description**

The AO is responsible for matters related to contract administration and award:

- The AO cannot be the PI.
- The AO’s signature certifies that the organization will be accountable for appropriately using the funds awarded 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-investigator, or 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 the PCORI’s Glossary for “Consultant” and “Subcontractor” definitions.

• Project Directors, or equivalent, are considered key personnel.

• Applicants must identify the patient and stakeholder partners, whether individuals or organizations, that will assist in conducting the project. They may be recognized in PCORI communications, such as press releases, or mentioned in response to requests for information. By providing the names of the partnering individuals and organizations, you acknowledge that you have obtained any required permission or consent from the respective partners to disclose their names to PCORI and to permit PCORI to make their names publicly available. If a patient or stakeholder partner wishes to remain anonymous, contact PCORI at pfa@pcori.org for additional guidance on how to recognize such partners appropriately.

• After merit review, PCORI may request current, pending, and other support documentation from all key personnel. You must submit this material prior to award.

• If the applicant 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.

PFA-Specific LOI Template

Download and complete the PFA-specific LOI Template from the PCORI Funding Opportunities webpage. Do not include supplemental materials (e.g., supporting journal articles, Letters of Support) or additional information not requested in the template. Statements in gray italics denote how to address the template questions. Replace the gray italics and any instructional text with your responses, but retain the bold headings and question numbers. Note that any additional template modifications will result in 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.)

Be sure to delete the template cover page before submitting an LOI. To submit an LOI, save the completed PFA-specific LOI Template as a PDF. Label your LOI file using the following nomenclature: “PI LastName_(five-digit LOI number)_LOI.pdf.” An LOI number will be generated automatically and visible at the top of the web page in PCORI Online once you save the LOI. Select “Review & Submit” to review your submission, and then select “Submit.” Navigate back to the LOI and Application dashboard in PCORI Online, where you can see your LOI number and track your status. Once your LOI is submitted, you
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 August 13, 2018. This is contingent on the acceptance of your LOI and your ability to document that the PCORI results you are proposing to implement are available. If your LOI is accepted, 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 dual-PI)
- Institution
- Implementation approach
- Specific aims

If you need to change any of this information or have any questions, email pfa@pcori.org.

Applicants relying on submission of the DFRR to meet the eligibility requirement should be aware that PCORI will administratively withdraw applications that are 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 to process, revise, and accept high-quality DFRRs into PCORI’s peer-review process; applicants should plan accordingly. Applicants relying on publication of a peer-reviewed manuscript must be able to document formal acceptance for publication of the manuscript before the application deadline, or PCORI will administratively withdraw the application.

PI and Contact Information

Review information transferred from your LOI and update as needed.

Project Information

Enter the following information directly into PCORI Online.

Technical Abstract

Provide a technical abstract within PCORI Online that summarizes your implementation project. The abstract must include the sections listed below. PCORI may use these responses to perform programmatic assessment, to assign applications to the appropriate review panel, and to provide a high-level overview to merit review panel members.

- **Background and Significance:** Indicate whether you are (1) proposing to implement an SDM strategy that was formally tested and demonstrated effective in the context of a PCORI research award or (2) proposing to incorporate new CER evidence on a healthcare intervention from a PCORI research award into an existing SDM strategy with demonstrated effectiveness and then implementing the updated strategy in a practice setting.
  - If the PCORI project tested an SDM approach, describe the results of the PCORI study,
including effectiveness on patient-centered decisional outcomes. Describe the body of evidence associated with the SDM approach and how your study findings contributed to this evidence base.

- If the PCORI project produced new evidence that will be incorporated into an existing effective SDM approach, describe the most relevant results of your PCORI study, the evidence base surrounding those findings, and the evidence base relevant to the chosen SDM approach.

State what preference-sensitive decision your finding informs, who the primary decision makers are, and in what context this decision usually takes place. Then explain how the implementation of your PCORI research finding and associated SDM approach will lead to improved health care and outcomes within the proposed settings.

- **Project Aims:** Clearly identify the primary objective of your implementation project. What are the specific aims you will accomplish to meet your overall objective?

- **Project Description:** Describe the proposed multicomponent approach for implementing the SDM approach into real-world clinical practice. Include, as applicable, the following:
  - A brief description of the implementation settings and end-users, including how they were selected and their representativeness.
  - The projected reach of this implementation initiative in terms of absolute number, proportion of the broader population of individuals who stand to benefit, and representativeness.
  - A brief description of your plans for evaluating the effectiveness of the proposed implementation approach and the continued effectiveness of the SDM strategy. Include measures of the fidelity of the SDM approach as delivered, as well as its impact on relevant decisional, clinical, and healthcare utilization outcomes.
  - A brief description of the Patient and Stakeholder Engagement Plan.

**Milestones**

Complete all required sections in the Milestones tab in PCORI Online. 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 deliverables that may be required following contract execution include, but are not limited to, the following:

- Copies of Institutional Review Board approval (if applicable)
- Abstracts accepted or presentations made
- Copies of drafts of instruments, data dictionaries, educational materials, manuals, or other...
PCORI Cycle 2 2018 Implementation of Effective Shared Decision-Making (SDM) Approaches in Practice Settings PFA: Application Guidelines

Project deliverables

- Copies of newsletters that highlight the project from patient/stakeholder partner organizations
- Reports of endorsement of project findings by scientific and consumer groups
- Reports of plans to adopt project findings in practice
- Charts, tables, graphs, or other summaries of preliminary data
- Other documents or materials, as appropriate

Note: Milestones that you enter into PCORI Online must include specific deliverables associated with a timeline and project objectives that you will accomplish at specific times during the proposed project. List at least two deliverables that you will submit to PCORI during each 12-month project period.

Budget

Complete all required sections in PCORI Online and upload the Budget Justification Template to PCORI Online as a single PDF. Do not upload separate budget files for subcontractors; include all subcontractor budget files within the prime applicant’s budget information.

Detailed Project Budget for Each Year of the Project Period

For each program year, complete a Detailed Budget for the prime applicant and each subcontracted organization proposed in your application. For example, if your study lasts two years, the prime applicant 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.

Enter all personnel information in the Project Personnel tab that correspond 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 tab. However, applicants may not add additional years. Each PFA states maximum project periods. 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 key personnel and 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 within the Budget Justification.
Level of Effort: Personnel who contribute to a PCORI-funded implementation project must monitor their total percentage of effort across all their 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. You must report effort 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.

You must list all personnel who dedicate effort to the project 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 Detailed Budget. Describe the individual’s specific functions in the Budget Justification. Provide an explanation of 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.

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 individuals who are not employees of the applicant organization or under a subcontract agreement as members of the contracted staff.

You must include payments to nonemployee patient and stakeholder representatives in the budget as consultant costs.

Provide the total cost of consultant(s), as well as 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 you established the negotiated rate. 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 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 costs. Provide detailed explanations in the Budget Justification for all costs that exceed $1,000.
- For all supply costs, provide computations for how you 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 these items are proposed as essential for performing the project, the applicant 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 ensuring that the items will be purchased in accordance with applicable cost principles

You may not use items purchased under PCORI-funded projects 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.
- You must itemize travel costs per trip as outlined below:
  - Scientific travel includes travel to present at conferences, symposiums, and similar events. Scientific travel is capped at $10,000 over the life of the project. This cap is inclusive of the prime and all subcontractor scientific travel costs.
  - Travel includes that needed to conduct the project. PCORI closely reviews all travel costs for reasonableness.
  - 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.
- Include the number of trips and a brief description of each one, including the number of people traveling and dates or duration of the stays.
- In the Budget Justification, applicants must provide additional detail to explain the basis for the costs listed and must describe how the travel is directly related to the proposed project and
necessary for achieving programmatic objectives.

E. Other Expenses

- Indicate and include general categories, such as printing, publication, and illustration costs and non-consulting service contracts, when applicable.
- Use this section to include direct costs that cannot be accounted for in other budget categories. For example, these costs may include warranties, computer services, data warehousing, or participation incentives.
- 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.
- You must include with the Budget Justification up to three quotes for each item of proposed equipment.
- Costs must be reasonable and necessary for the project.

Note: The title to equipment vests with the recipient organization. PCORI, at its discretion, may require applicants to share or transfer equipment to other PCORI-funded projects within the recipient organization. PCORI must approve equipment disposition.

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, and 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.

• You must submit a copy of the prime applicant’s Federally Negotiated or Independently Audited Indirect Cost Rate Letter with the application. Include these copies in a single file with the Budget Justification.

• In the event that an indirect cost rate agreement is more restrictive than that of PCORI’s accepted indirect cost application, PCORI will allow the applicant to use the less-restrictive rule when calculating indirect costs on submitted budget categories.

• 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

Complete a Budget Summary for the entire project for the prime applicant and each subcontracted organization. See Appendix 1: Allowable and Unallowable Costs to review acceptable and unacceptable uses of PCORI funding.

Budget Justification Template

Complete a Budget Justification for the prime applicant and each subcontracted organization for the entire Project Budget for all research. 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, such as travel, meeting costs, training, and 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. You must list this person 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, along with the impact on the Project Plan. PCORI will evaluate each member’s contribution as listed in the Budget Justification to validate meaningful contributions and to assess whether overlap in responsibilities occurs. Provide a clear distinction between individuals who should be key personnel and those who should be 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.
Professional Profile/Biosketch and Patient/Stakeholder Partner Profile/Biosketch

These components are in the People and Places Template. Complete a Professional Profile/Biosketch (up to five pages per individual) for each person listed as key personnel (including PI, dual-PI, co-investigator, consultant, or other significant contributors), copying the tables provided in this section as needed. 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. 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 patient-centered outcomes research have prepared him or her to conduct this project. You must also describe the backgrounds, relevant experiences, and roles of patient and stakeholder partners.

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

Project/Performance Site(s) and Resources

This component (up to 15 pages) is in the People and Places Template. Demonstrate in detail that the proposed facilities have the appropriate resources 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.

Leadership Plan (required if proposing a dual-PI application)

Depending on the nature of the proposed study, a collaborative and multidisciplinary team may 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 award milestones, deliverables, and reports are completed in accordance with the award terms and conditions.

If proposing a dual-PI application, you must designate one PI 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.

Applicants proposing dual-PI must include a Leadership Plan (up to five pages) as the first page of the People and Places Template. 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.
Project Plan Template

Complete all required sections in the Project Plan Template and upload 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 10 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 and Evaluation, (D) Engagement Plan, and (E) 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 Policy 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 (Department of HHS). Refer to the Required Education of Key Personnel on the Protection of Human Subject Participants requirement 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.
- PCORI does not require signed subcontract agreements at the time of application submission.
- 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.
- You must include budget information for subcontracted organizations in the Detailed Budget, Budget Summary for Entire Project, and Budget Justification.

This component (up to 10 pages) is 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, journal or book title, volume number, page numbers, and 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. References must be limited 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. Websites must be referenced 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 in the Project Plan Template. Applicants may provide additional materials to support the proposed study (e.g., decision aid screen shots, survey instruments, and interview guides). Note that reviewers are not required to review this section during merit review.

Proof of Acceptance of PCORI Study Results to Be Implemented
As stated above, applicants invited to submit a full application will be required to document that the PCORI results proposed for implementation will be available by the application 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 research award or (2) a peer-reviewed scientific journal must have formally accepted for publication a manuscript that reports the PCORI results being proposed for implementation. Please upload official documentation of acceptance by PCORI and/or the peer reviewed journal, as applicable. This (these) document(s) should be uploaded as a single PDF to PCORI Online.

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.

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, and 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 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, which 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 that 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 person 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.
Resubmission Letter

An applicant may resubmit an application once that was not funded and that completed PCORI’s merit review process (i.e., the applicant received a summary statement) in a previous cycle but was not funded. All resubmitted applications require submission of a new LOI that is administratively and programmatically responsive to the PFA. Resubmitted applications must include a Resubmission Letter, not to exceed two pages. See the Resubmission Policy for more information.

The Resubmission Letter provides an opportunity for applicants to give a high-level overview of how the application has been strengthened in its scientific merit and responsiveness to the current PFA. Simply responding to previous reviewers’ concerns is not sufficient; the application must be programmatically responsive and demonstrate methodological rigor and patient-centeredness. The Resubmission Letter will inform the merit reviewers’ understanding of the ways in which the applicant has made efforts to strengthen the application, and reviewers will evaluate the application based on its responsiveness to the PFA and the merit review criteria.

Applicants who previously submitted a dual-PI application and are now proposing a single-PI application, or who wish to make a change in the previous PI team, must address the rationale for the change within the Resubmission Letter.

PCORI evaluates all applications using the same merit review criteria found in the program-specific PFA.

VI. Additional Requirements

Awardees must comply with the following requirements:

**Required Education of Key Personnel on the Protection of Human Subject Participants**

PCORI requires all applicants to adhere to the NIH policy on education in the protection of human subject participants in the conduct of research. This applies to all individuals listed as key personnel in the application. The policy and FAQs are available on the NIH website.\(^{15}\)

**PCORI Public Access Policy**

PCORI requires all awardees to adhere strictly to PCORI’s publication policies, which will be shared with awardees within the project contract.

**Standards for Privacy of Individually Identifiable Health Information**

On August 14, 2002, the Department of HHS issued a final modification to the Standards for Privacy of Individually Identifiable Health Information, the “Privacy Rule.” The Privacy Rule is a federal regulation under the Health Insurance Portability and Accountability Act (HIPAA) of 1996 that governs the

The protection of individually identifiable health information and is administered and enforced by the Department of HHS Office for Civil Rights.

Decisions about the applicability and implementation of the Privacy Rule reside with the researcher and his or her institution. The Office for Civil Rights\textsuperscript{16} provides information on the Privacy Rule, including a complete Regulation Text and a set of decision tools related to “Am I a covered entity?” Information on the impact of the HIPAA Privacy Rule on NIH processes involving the review, funding, and progress monitoring of grants, cooperative agreements, and research contracts is available from NIH\textsuperscript{17}.

### Award Funding Conditions

At any time during the contract, PCORI reserves the right to discontinue funding for awardees that fail to meet the mutually agreed-on milestones. Applicants’ proposed milestones will be finalized in contract negotiations and prior to execution. See PCORI’s Standard Contract Template for more 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 submit an application. We recommend that you speak with a Program Officer in advance.

**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 no overlap in funding exists at the time of submission. Prior to receiving a PCORI contract, awardees must disclose all current and pending support.

### Dissemination and Data Sharing

PCORI is committed to publishing and disseminating all information and materials developed using PCORI funding, in accordance with its authorizing legislation. All recipients of PCORI contracts must agree to these principles and take steps to facilitate data availability.

\textsuperscript{16} http://www.hhs.gov/ocr/
\textsuperscript{17} http://grants.nih.gov/grants/guide/notice-files/NOT-OD-03-025.html.
Appendix 1: Allowable and Unallowable Costs

Allowable costs (i.e., 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 for conducting 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 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 Considerations.
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>PCORI will automatically reject an application or LOI 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>
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<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 results being proposed for implementation accepted for publication by a peer-reviewed journal for the original PCORI research award (application)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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