



CHECKLIST for NIH Research Grants (R series)
NIH Research Project Grant Program (R01)
NIH (AREA) Academic Research Enhancement Award (R15)
NIH Exploratory/Development Research Grant Award (R21)

For the full list of (R series) Research Grants refer to: http://grants.nih.gov/grants/funding/funding_program.htm#RSeries

Please read the Funding Opportunity Announcement (FOA) or Parent Announcement (PA). Prospective applicants should always refer to the FOA to confirm all required application components, page limits, and policies regarding appendix materials, etc.

This document is intended as a guide only.

SF424 R&R (Cover Page)

- Box 1. Ensure correct box is checked: “Application” or “change/corrected”
- Box 4a. Box is completed with the NIH grant number if a Resubmission or Renewal , i.e., CA123456
Proposal Type* = New or Resubmission *If resubmission, use 8 character NIH number e.g. CA123456*

* On April 22, 2014, the NIH and AHQR released a new policy (Notice # NOT-OD-14-074) governing application submission. The policy states that following an unsuccessful resubmission (A1), an applicant may submit the same idea as a new (A01 application) without making substantial changes to the science. All other application (re) submission policies apply. An application submitted as a new A01 is not permitted an Introduction or response to criticisms identified in the Summary Statement. In turn, the NIH and AHQR will not compare the new A01 to any previously reviewed application. All other submission and resubmission policies apply. For a complete discussion of this NIH/AHQR policy, refer to the public notice:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-074.html>

- Box 6. TIN/EIN = 042121659
- Box 8. Type of application: ensure correct box is checked.
- Box 10. Ensure solicitation information is completed.
- Box 11. Title: ensure no special characters are used, only letters, digits and underscore.
Limit 81 characters including spaces between words and punctuation.
- Box 12. Ensure start dates are correct.
- Box 13. Congressional District = MA-002
- Box 16. The program is NOT covered by E.O. 12372
- Box 17. Should be AGREE
- Box 21. Cover letter is attached here- usually optional and used for NIH internal purposes to request Institute or Study Section assignment. May be required if direct cost budget exceeds \$500,000 in any one year, refer to the program announcement

Project/Performance Site Information:

- List WPI plus any other sites where work will be performed.
If the application has subcontracts, each site should be listed.

R&R Other Project Information

- Human Subjects** - Assurance No. FWA00015024, if not approved mark as PENDING
- Animal Assurance** No. A3277-01, if not approved mark as PENDING
- Proprietary information** – see SF424 Guide for instructions. Text must be marked.
- International Collaboration** – If applicable
- Project Summary /Abstract** – 30 lines max; summary of the proposed activity
- Narrative** - short 2-3 sentences for lay audience explaining “relevance to Public health”
- Bibliography and References cited** – list all authors – “et al” not allowed

- **Facilities/Resources** – Identify the facilities available to the program to demonstrate capability of research site to complete the proposal, *include all performance sites.*
- **Equipment** – If applicable
- **Other Attachments** - If required by solicitation

Research & Related Senior/Key Persons

- Those with PD/PI role MUST provide eRA Commons User ID in the “Credential” box (for other roles this is not mandatory).
- Ensure the * sections are completed (address, e-mail, phone number).
- Biosketches required for ALL persons listed in this Senior/Key Person Profile page.
 Note: 5 pages max. for each bio and includes Personal Statement – Brief description of experience and qualifications for the role in project
 - A. Positions and Honors- chronological list of previous positions, concluding with current position.
 - B. Contributions to Science – describe up to 5 of their most significant contributions to science.
 - C. Research Support – list ongoing then completed support relevant to the proposal. (Completed within the last three years).
 (a new 5-page biosketch format is mandatory for all research, training and career development grants with due dates on or after May 25, 2015. *see NIH notice #NOT-OD-15-032*):

PHS 398 Research Plan

Research Plan Attachments:

1. Introduction: (Separate Upload)
 - Use ONLY for Resubmission or Revision
 - Limited to ONE PAGE unless specified otherwise in solicitation
2. Specific Aims – (Separate Upload)
 - Limited to one page
3. Research Strategy – see solicitation for specific page limit
 - a. Significance
 - b. Innovation
 - c. Approach

Note: new proposals should include preliminary studies; Renewal/Revisions should include progress report.

4. Progress Report Publication List - for renewal submissions only

Human Subjects Section:

Human Subjects - if “YES” include the following 3 attachments. Refer to the SF424 for further instructions.

5. Protection of human subjects
6. Inclusion of women & minorities
7. Inclusion of children

Other Research Plan Sections

1. Vertebrate Animals if “YES” - this section should address the 5 points
 - Provide a detailed description of the proposed use of the animals in the work outlined in the Research Strategy section. Identify the species, strains, ages, sex, and numbers of animals to be used in the proposed work.
 - Justify the use of animals, the choice of species, and the numbers to be used. If animals are in short supply, costly, or to be used in large numbers, provide an additional rationale for their selection and numbers.
 - Provide information on the veterinary care of the animals involved.
 - Describe the procedures for ensuring that discomfort, distress, pain, and injury will be limited to that which is unavoidable in the conduct of scientifically sound research. Describe the use of analgesic, anesthetic, and tranquilizing drugs and/or comfortable restraining devices, where appropriate, to minimize discomfort, distress, pain, and injury.

- Describe any method of euthanasia to be used and the reasons for its selection. State whether this method is consistent with the recommendations of the American Veterinary Medical Association (AVMA) Guidelines on Euthanasia. If not, include a scientific justification for not following the recommendations.
2. Select Agents : See SF424 for instructions; should be completed if project uses hazardous biological agents or toxins.
 3. Multiple PI Plan: A rationale for choosing a multiple PD/PI approach should be described. The governance and organizational structure of the leadership team and the research project should be described, including communication plans, process for making decisions on scientific direction, and procedures for resolving conflicts.
 4. Consortium/Contractual Arrangements :
 - a. For the NIH proposal, this section should describe arrangement with the subawardees .
 5. Letters of Support
 6. Resource Sharing Plan – If applicable
 7. Appendix – note NIH limits in SF424 on numbers and types of publications that can be included

Budget

Two options exist:

1. PHS 398 Modular Budget – when requesting \$250,000 Direct Cost or less /year
2. R&R Categorical Budget – when requesting \$250,001 or more Direct Cost/year

PHS 398 Modular Budget:

Funds are requested in \$25,000 increments (or modules) up to \$250,000 direct cost/year.

1. Personnel Justification (**mandatory**)– list all personnel including name, person months devoted to project and role.
2. Consortium Justification – state dollars of subaward rounded to nearest thousand for each year, state domestic or foreign entity, list personnel including name, effort and role.

R&R Categorical Budget:

Detailed Budget module used for budgets of greater than \$250,000 Direct Cost per year.

- Personnel should include their role and effort. In order to be considered key personnel, effort must be on the budget form + justification.
- All budget categories should be justified.
- If there is a consortium agreement, the subaward budget needs to be completed and uploaded (See R&R 424 instruction for additional details).

Note:

- Be aware of the NIH salary cap in effect. For a categorical budget, can request salary in excess of the cap and NIH will reduce at award time. <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-049.html>

Helpful NIH Web sites:

SF424 Instructions: <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general-forms-d.pdf>

Deadline dates: <http://grants.nih.gov/grants/funding/submissionschedule.htm>

Avoid common errors: http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm