



CHECKLIST for NIH, NRSA Fellowships-Forms D F31 and F32 Pre and Post Doc

This checklist is meant to be used as a guide and does not replace the detailed requirements for submission information, which are found in the SF424 (R&R) Application Packages –Research Instructions for NIH and Other Agencies

<http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/fellowship-forms-d.pdf>

It is strongly recommended that fellowship applicants and sponsors speak with a PHS Program Official for Institute or Center (IC)-specific guidance before preparing the application. These contacts are identified in tables associated with each FOA. In addition, a list of contacts specifically for extramural training at the

NIH ICs can be found at <https://researchtraining.nih.gov/tac-roster>

General Info:

- Proposal Type* = New or Resubmission**
A “new” application refers to an application not previously proposed, or one that has not received prior funding.
A “resubmission” application must contain an Introduction to Application attachment, the PD/PI must have received the summary statement from the previous review. A resubmission application may be submitted for new but the title must be different from any other PHS project submitted. NIH allows only one resubmission application. Policies regarding resubmission applications can be found in the application guide. A resubmission has a suffix in its application identification number, e.g., A1.
For a complete discussion of this NIH/AHQ policy, refer to the public notice:
<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-059.html>
- Parent Announcements** (For Unsolicited or Investigator-Initiated Applications, F31, F32, Diversity):
http://grants.nih.gov/grants/guide/parent_announcements.htm
Project Period: F31: no more than 5 years F32: no more than 3 years.
- Format Attachments Requirements**
 - must be in PDF format
 - font size must be 11 points or larger (smaller text in figures, graphs, diagrams and charts is acceptable as long as it is legible)
 - text color must be black with the following recommended fonts: arial, garamond, georgia, helvetica, palatino linotype, times new roman, verdana
 - do not include headers or footers in attachments
 - use paper size no larger than standard letter paper size (8.5” x 11”)
 - provide at least one-half inch margins (top, bottom, left, right) for all pages
additional formatting information can be found here:
<http://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm>
- OSP address listed: Worcester Polytechnic Institute, 100 Institute Road, Worcester, MA 01609-2280

Senior/Key Personnel Profile:

- eRA Commons Username included for applicant, if you do not have this, please contact OSP to set up.
- Profiles included for Applicant and Sponsor and any other key Persons
- Citizenship Information

Biosketch Attachments (5 page limit)

- Include for Applicant and Sponsor & any other key persons
- Include Research Support for Sponsor – do not include pending
- *Pre-doc and Post-doc instructions and samples can be found [here](#).*
- *Sponsors should follow the general Biosketch Format page found [here](#)

R & R Other Project Information:

Cover Letter Attachment (*no page limit but generally 1 – 2 pages*)

- Attach the cover letter, addressed to the Division of Receipt and Referral, in accordance with the announcement and/or the agency specific instructions. Applicants are required to include a cover letter with the competing application that contains a list of Referees (including name, departmental affiliation, and institution). The cover letter should no longer be used for assignment requests.

Reference letters must be submitted by the referee in ERA commons, information on this can be found here: <https://commons.era.nih.gov/commons/reference/submitRefereeInformation.jsp>

Project Summary/Abstract Attachment (30 lines of text maximum)

- State the application's broad, long-term objectives and specific aims, making reference to the health relatedness of the project (i.e., relevance to the mission of the agency). Describe concisely the research design and methods for achieving the stated goals. Full instructions page F-35.

Project Narrative Attachment: (2 or 3 sentence maximum)

Public Health Relevance Statement

- Using no more than two or three sentences, describe the relevance of this research to public health. Full instructions page F35-F36.

Bibliography/Literature Cited Attachment (no page limit)

- Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. When citing articles that fall under the Public Access Policy, were authored or co-authored by the applicant and arose from NIH support, provide the NIH Manuscript Submission reference number or the PubMed Central (PMC) reference number for each article. Full instructions page F-36

Facilities/Resources Attachment:

- Provide in the attachment a detailed description of the institutional facilities and resources available to the Fellowship applicant. The information provided is of major importance in establishing the feasibility of the goals of the fellowship training plan. Describe how the scientific environment in which the research will be done contributes to the probability of success (e.g., institutional support, physical resources, and intellectual rapport). In describing the scientific environment in which the work will be done, discuss ways in which the proposed studies will benefit from unique features of the scientific environment or subject populations or will employ useful collaborative arrangements. If there are multiple performance sites, describe the resources available at each site. Describe any special facilities used for working with biohazards or other potentially dangerous substances. Full instructions page F-36 and F-37.

Equipment Attachment:

- List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities.

Other Attachments:

- Applications submitted for Individual Predoctoral Fellowships (F31) to Promote Diversity in Health-Related Research are required to attach a Certification Letter (titled Diversity_Eligibility_Ltr) from the institution certifying eligibility of the Fellowship applicant for the program. The Certification Letter must be on institutional letterhead and scanned so that an institutional official signature is visible.

Budget :

- Stipend and Allowance (use current rates). Information regarding this can be found here:
<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-062.html>

Budget should include Institutional Allowance, Stipend and Tuition (if applicable)

PHS Fellowship Supplemental Form Attachments:

- Introduction to Application** (for resubmission only, 1 page limit)
NIH allows a thirty-seven month window for resubmission (only one resubmission is allowed for each new, unfunded application). Include an introduction for all resubmissions that summarizes substantial additions, deletions, and changes to the application and responds to the issues and criticism raised in the summary statement. Full instructions page F-53 and <http://grants.nih.gov/grants/policy/amendedapps.htm>
- Specific Aims** – (1 page limit)
State precisely the goals of the proposed research and summarize the expected outcome(s), including the impact that the results of the proposed research will exert on the research field(s) involved. List succinctly the specific objectives of the research proposed, e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm or clinical practice, address a critical barrier to progress in the field, or develop new technology. Full instructions page F-54 and F-55
- Research Strategy** – (6 page limit)
Start each section with the appropriate section heading -a) Significance b) Innovation c) Approach. Cite published experimental details in the Research Strategy section and provide the full reference in the Bibliography & References Cited section. Full instructions pages F-55 and F-56.
- Sponsor and Co-Sponsor Statements** – (6 page limit)
Create a heading at the top of the first page titled “Section II – Sponsor and Co-Sponsor Statements” and complete the following items as comprehensively as possible:
A. Research Support Available: In a table, list all current and pending research and research training support specifically available to the applicant for this particular training experience. Include funding source, complete identifying number, title of the research or training program, and name of the principal investigator, dates and amount of the award. If the sponsor’s research support will end prior to the end of the proposed training period, the sponsor should provide a contingency plan for how the fellow’s research will be supported. Include this information for any co-sponsor as well.
B. Sponsor’s/Co-Sponsor’s Previous Fellows/Trainees: Give the total number of predoctoral and postdoctoral individuals previously sponsored. Select up to five that are representative and, for those five, provide information on time spent in the lab, their present employing organizations and position titles or occupations. Include this information for any co-sponsor as well.
C. Training Plan, Environment, Research Facilities: Describe the research training plan that you have developed specifically for the Fellowship applicant. The training plan should be individualized for the applicant, keeping in mind the candidate’s strengths and any gaps in needed skills, and should be designed to enhance both research and clinical training (if applicable).
D. Number of Fellows/Trainees to be Supervised During the Fellowship: Indicate whether pre- or postdoctoral. Include this information for any co-sponsor as well.
E. Applicant’s Qualifications and Potential for a Research Career: Describe how the Fellowship applicant is suited for this research training opportunity base on his/her academic record and research experience level, including how the research training plan and your own expertise as the sponsor will assist in producing an independent researcher.
Full instructions pages F-58 and F-59
- Respective Contributions** – (1 page limit)
Describe the collaborative process between you and your sponsor/co-sponsor in the development, review, and editing of this research training plan. Discuss the respective roles in accomplishing the proposed research. Full instructions page F-56.

- ❑ **Selection of Sponsor and Institution** – (1 page limit)
Describe the rationale/justification for the selection of the sponsor and institution. Explain why the sponsor, co-sponsor (if any), and institution were selected to accomplish the research training goals. Full instructions pages F-56 and F-57.
- ❑ **Training in Responsible Conduct of Research** – (1 page limit)
Document any prior instruction during the applicant's current career stage, including the inclusive dates instruction was last completed. The plan must address the five, required instructional components outlined in the NIH policy:
 1. Format – the required format of instruction, i.e., face-to-face lectures, coursework, and/or real-time discussion groups (a plan with only online instruction is not acceptable)
 2. Subject Matter – the breadth of subject matter, i.e., conflict of interest, authorship, data management, human subjects and animal use, laboratory safety, research misconduct, research ethics
 3. Faculty Participation – the role of the mentor(s) and other faculty involvement in the instruction
 4. Duration of Instruction – the total number of contact hours of instruction
 5. Frequency of Instruction – instruction must occur during each career stage and at least once every four years
- ❑ **Applicant's Background and Goals for Fellowship Training** – (6 page limit)
This attachment is required:
 - A. Doctoral Dissertation and Research Experience: Summarize your research experience in chronological order. If you have no research experience, list other scientific experience. DO not list academic courses.
 - B. Training Goals and Objectives: Describe your overall training goals for the duration of the fellowship, and explain how the proposed fellowship will enable the attainment of these goals.
 - C. Activities Planned Under This Award: Describe, year by year, the activities (research, coursework, etc.) you will be involved in during the proposed award and estimate the percentage of time to be devoted to each activity, based on a normal working day for a full-time fellow as defined by the sponsoring institution; the percentage should total 100 for each year.
- ❑ **Letters of Support from Collaborators, Contributors, and Consultants** (6 page limit)
Attachments may be provided (if applicable) by collaborators, consultants, advisors, etc. Relevant information applicable to the fellow's planned research training and future goals may be provided by any contributor or advisor via an attachment
- ❑ **Description of Institutional Environment and Commitment to Training** (2 page limit)
The sponsoring institution must document a strong, well-established research program related to the candidate's area of interest, including the names of key faculty members relevant to the candidate's proposed developmental plan. Referring to the resources description, indicate how the necessary facilities and other resources will be made available for career enhancement as well as the research proposed in this application. Describe opportunities for intellectual interactions with other investigators, including courses offered, journal clubs, seminars, and presentations.

Additional Educational Information (required for F30 and F31 applications): Describe the institution's dual-degree (F30) or graduate (F31) program in which the applicant is enrolled, i.e., the structure of the program, required milestones and their usual timing (number of course, any teaching commitments, qualifying exams, etc.) and the average time to degree over the past 10 years. Describe the progress/status of the applicant in relation to the program's timeline, and the frequency and method by which the program formally monitors and evaluates a student's progress. This information is typically provided by the director of the graduate program or the department chair. Include the name of the individual providing this information at the end of the description. Full instructions page F-59 and F-60

Protection of Human Subjects

Complete this section if you answered “yes” to the question “Are human subjects involved?” If the answer is “no” to the question but your proposed research involves human specimens and/or data from subjects you must provide a justification in this section for your claim that no human subjects are involved. Full instructions page F-61 and Supplemental Instructions, Part II Section 4.1, <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf>

Data Safety Monitoring Plan

Complete this section if you answered “yes” to Item 1, Clinical Trial. Refer to Supplemental Instructions, Part II Section 4.1, <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf>

Inclusion of Women and Minorities

This section is required for applicants answering “yes” to the question “Are human subjects involved?” and the research does not fall under Exemption 4. Refer to Supplemental Instructions, Part II Section 4.1, <http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf>

Inclusion of Children

This section is required for applicants answering “yes” to the question “Are human subjects involved?” and the research does not fall under Exemption 4. Refer to Supplemental Instructions, Part II (Section 4.1, 4.4, 5.7).

Vertebrate Animals

Complete this section if you answered “yes” to the question “Are Vertebrate Animals Used?” If Vertebrate Animals are involved in the project, address each of the following criteria listed below:

1. Description of Procedures: Provide a concise description of the proposed procedures to be used that involve vertebrate animals in the work outlined in the Research Strategy section. Identify the species, strains, ages, sex, and total numbers of animals by species, to be used in the proposed work.
2. Justifications: Provide justification that the species are appropriate for the proposed research. Explain why the research goals cannot be accomplished using an alternative model (e.g., computational, human, invertebrate, in vitro).
3. Minimization of Pain and Distress: Describe the interventions including analgesia, anesthesia, sedation, palliative care and humane endpoints to minimize discomfort, distress, pain and injury.

Select Agent Research

If any of the activities proposed in your application involve the use of select agents at any time during the proposed project period (list of agents: <http://www.selectagents.gov/>), either at the applicant organization or at any other performance site, address the following three points for each site at which select agent research will take place:

1. Identify the select agent(s) to be used in the proposed research.
2. Provide the registration status of all entities where select agent(s) will be used.
3. Provide a description of all facilities where the select agent(s) will be used.

Resource Sharing Plan

When resources have been developed with NIH funds and the associated research findings published or provided to NIH, it is important that they be made readily available for research purposes to qualified individuals within the scientific community. See Supplemental Instructions, Part III 1.5, <http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.p>

Authentication of Key Biological and/or Chemical Resources (limit 1 page)

Do not include an attachment in this field; this is not yet required for Fellowship applications.

Appendix

A maximum of 10 PDF attachments is allowed in the appendix. Do not use the appendix to circumvent the page limits of the Research Strategy or any other section of the application for which a page limit applies. Full instructions page F-68 and F-69.

□ **Reference Letters**

Applicants for Fellowships must obtain reference letters in support of their application. Referees must submit these letters by the application deadline in order to be considered as part of the application. At least three, but no more than five, reference letters are required. The letters should be from individuals not directly involved in the application, but who are familiar with the applicant's qualifications, training and interests (the sponsor/co-sponsor(s) of the application cannot be counted toward the three required references). See also

<http://grants.nih.gov/grants/how-to-apply-application-guide/submission-process/reference-letter.htm>

PHS Inclusion Enrollment Report

The PHS Inclusion Enrollment Report form is used for all applications involving NIH-defined clinical research. This form is used to report both planned and cumulative (or actual) enrollment, and describes the sex/gender, race, and ethnicity of the study participants. Full instructions page R-78, additional information Supplemental Instructions, Part II Section 4.3, <https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf>

PHS Assignment Request Form

The optional Assignment Request Form may be used to communicate specific application assignment and review requests to the Division of Receipt and Referral (DRR) and to Scientific Review Officers (SROs). This information was previously collected in the Cover Letter Attachment, but now this optional information must be provided on the Assignment Request Form and not in the Cover Letter Attachment. Full instructions pages F-73 and F-74

NIH Fellowship Checklist – Forms D

- Cover Letter (required, generally 1 – 2 pages)
- Project Summary/Abstract (30 lines of text maximum)
- Project Narrative (2 or 3 sentences maximum)
- Bibliography & References Cited
- Facilities & Other Resources
- Equipment
- Other Attachments (Certification Letter for F31 Diversity proposals)
- Biographical Sketches – applicant and sponsor/co-sponsor(s) (5 page limit)
- Introduction to Application (for resubmission only, 1 page limit)
- Applicant’s Background and Goals for Fellowship Training (6 page limit)
- Specific Aims (1 page limit)
- Research Strategy (6 page limit)
- Respective Contributions (1 page limit)
- Selection of Sponsor and Institution (1 page limit)
- Progress Report Publication List (renewal applications only)
- Training in Responsible Conduct of Research (1 page limit) see Graduate and Postdoctoral Studies
- Sponsor and Co-Sponsor Statements (6 page limit)
- Letters of Support from Collaborators, Contributors, and Consultants (6 page limit)
- Description of Institutional Environment and Commitment to Training (2 page limit)
- Protection of Human Subjects (if human subjects involved)
- Data Safety Monitoring Plan (if clinical trial)
- Inclusion of Women and Minorities (if human subjects involved)
- Inclusion of Children (if human subjects involved)
- Vertebrate Animals (if vertebrate animals used)
- Select Agent Research (if application involves the use of select agents)
- Resource Sharing Plan
- Appendix
- Inclusion Enrollment Report
- Assignment Request Form
- Reference Letters (submitted via eRA Commons)