# NIH Proposal Checklist (R mechanism) Resource links for each NIH proposal appear at the bottom of this document

***NOTE: The specific Funding Opportunity Announcement (FOA) instructions may deviate from the NIH Application Guide. Refer to the FOA and then the Application Guide for specific instructions. In addition, the FOA may have Related Notices that apply to the application being submitted.***

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|  | **Proposal Component** | **Considerations** |
|  | Setup Questions | -All questions answered appropriately  -FOA current and active  -Forms-F package if due date on or after May 25, 2020  -Human Subjects/CT form now required for all submissions (biospecimen/data question) |
|  | SF424 | -Type of submission appropriate (make sure to change this to Changed/Corrected Application if you are resubmitting the same application for corrections—not a resubmission type application)  -Type of application appropriate  -Federal identifier included, when necessary (resubmissions, renewals, revisions— only IC code and serial number)  -Start date appropriate for NIH cycle earliest start date? See: [https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-](https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm) [submission-policies/due-dates.htm](https://grants.nih.gov/grants/how-to-apply-application-guide/due-dates-and-submission-policies/due-dates.htm)  -Project period appropriate for FOA  -Question 16 is always, “Program is not covered by E.O. 12372“  -Cover letter, if any, complies with NIH guidelines (e.g., should not include assignment request; there is a separate form for that)  -Check for comments from BA |
|  | Other Project Info: Questions | -All questions answered  -Human subjects/Animals/International activities questions match PI certification, Setup Questions, and Approvals tabs |
|  | Other Project Info: Attachments | -Abstract- No more than 30 lines  -Project Narrative- No more than 3 sentences  -Bibliography & References Cited- Meets NIH formatting attachments requirements  -Facilities & Other Resources- Meets FOA/NIH application guide requirements  -Equipment- Meets FOA/NIH Application Guide requirements  -Other Attachments- Meets FOA/NIH Application Guide requirements (e.g., foreign justification uploaded if “yes” to international activities/partnerships) |
|  | Performance Sites | -Performance Site reflects location other than ORS address  -Subaward sites identified  -If VA facilities mentioned in Facilities and work will occur there, should appear as performance site.  -Be sure that Congressional District is completed and that zip+4 is provided for each site |
|  | S2S Forms | -PHS Assignment Request Form: Requested Awarding Component assignment listed as participating institute/center in FOA  -All other forms meet FOA/NIH Application Guide requirements |
|  | Personnel | -Click on each person listed to be sure that demographic elements are completed (e.g., title)  -For individuals identified as PD/PI, verify that a Commons ID is identified  -If project is Multi-PI, more than 1 individual must have PD/PI role.  -Individuals identified as Other Significant Contributor should not have effort (0%), but should have biosketch uploaded |
|  | Personnel: Biosketches | -Current biosketch template (check expiration date of OMB form)  -No more than 5 pages long  -No more than 4 cited works under Personal Statement  -No more than 5 Contributions; no more than 4 cited works per Contribution  -If a list of published works is included, can only be from .gov website |

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|  |  | -Ongoing Research Support- all projects active? Person-months or award amounts should not be listed.  -Completed Research Support- completed projects in past three years? |
|  | Budget: Modular Budget | -Total direct costs less consortium F&A appropriate for modular budget and appropriate for FOA. Note: Modular budgets are restricted to $250,000 per year in direct costs (excluding any consortium F&A). The FOA may limit further.  -Personnel justification includes only personnel and matches effort proposed on Personnel tab and should not include subaward/consortium personnel  -Consortium justification (if subaward proposed) includes information required by FOA/NIH Application Guide  -Additional Narrative justification (if needed) meets FOA/NIH Application Guide (e.g., equipment proposed) |
|  | Budget: R&R Detailed Budget | -Direct cost Budget < $500,000 (excluding subaward F&A) unless NIH permission received in writing and letter is included in application (Hint: Viewing grant image under NIH Pre-Submission validation creates an NIH document that shows the direct cost less subaward F&A to confirm)  -All costs appropriate (e.g., no funds requested for Other Significant Contributors, no animal costs included if animals are not being used, costs are not typically F&A)  -Budget justification: All items in detailed budget line items have a corresponding justification, effort levels match budget, dollar amounts match budget  -Consortium budget and justification (if subaward proposed): budget matches justification, amounts match LOI/face page signed by AOR |
|  | PHS 398 Research Plan | -Introduction to Application uploaded (if Resubmissions or Revision application type or FOA asks for it)  -Specific Aims  -Research Strategy – margins, format, no URLs/hyperlinks, address any FOA- specific requirements, such as specific section to include in body of narrative  -Progress Report Publication List (for renewals only) – Meets FOA/NIH Application Guide requirements  -Vertebrate Animals attachment meets FOA/NIH Application Guide requirements, if animal use included  -Select Agent Research, if required or appropriate  -Multiple PD/PI Leadership Plan, if required, considering Setup Questions and includes sections identified in NIH Application Guide.  -Consortium/Contractual Arrangement attachment uploaded, if proposed subaward  -Letters of Support (may or may not be included)  -Resource Sharing plan, if required or appropriate (Note: Many FOAs now require a data sharing plan regardless of dollar amount of request)  -Authentication of Key Biological and/or Chemical Resources attachment uploaded, if required or appropriate  -Appendix materials, if included, are allowable under specific FOA or allowable  under NIH Appendix policy ([https://grants.nih.gov/grants/guide/notice-files/NOT-](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-126.html) [OD-18-126.html](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-126.html)) |
|  | Approvals | -Human Subjects, Animal Use, etc. correctly reflected as proposed on Other  Project Information screen and Setup Questions |
|  | Human Subjects/CT | -Responses comply with the NIH Application Guide instructions  -Resource: Research Involving Human Subjects Decision Trees: <https://www.hhs.gov/ohrp/regulations-and-policy/decision-charts/index.html>  Note: Forms-F now requires separate Inclusion Across the Lifespan attachment |
|  | Internal Documents | -Review, but will not be part of submission to sponsor |
|  | Internal Documents: Certification by PI | -Certified by PI  -Answered appropriately for funding source and proposed activities? –If international travel, foreign subaward, any foreign key, or OSC personnel (even if unpaid) proposed, PI cert should say “yes” to international component question.  -PHS funding question answered “yes” |

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|  | Internal Documents: Proposal Transmittal  Form | -Certified by BA  -All questions answered correctly (check that F&A question completed with federal negotiated rate or FOA specific rate) |
|  | Internal Documents: Subawards proposed- If so, have appropriate documents been  collected? | -Statement of Intent signed by authorized organizational representative, Statement of Work, detailed budget and justification, F&A rate agreement, any sponsor-required documents |
|  | PHS 398 Cover Page Supplement | -Vertebrate Animal questions answered correctly, considering Setup Questions, Other Project Info and Research Plan upload  -Inventions/Patents question only answered for Renewal applications  -Forms-F now has new Human Embryonic Stem Cells and Human Fetal Tissue sections; review NIH guidelines in the Forms-F Application Guide |
|  | Finalize | -Run NIH Pre-submission validation  -Run XML Validation on the Build page to check for bookmarks.  -Check attachment file names does not have an error for unallowable character ampersand (“&”) or over 50 characters |
|  | Finalize: Export Controls Checklist | -Click on Add Institution Forms/Supporting Documents; choose Export Control Review Form  -Complete checklist for every proposal, even if answer to all questions is “no”  -If “yes” to any questions, send email to Jessie Buchanan ([jessib@upenn.edu](mailto:jessib@upenn.edu)) for review. ***This review should not hold up submission.*** |
|  | Assembled Document\* | -Scan the assembled application to be sure that all documents appear correctly Note: Pay particular attention to R&R detailed budget section to be sure all fields  populated correctly  \*If you are viewing the Grant Image generated by the NIH Pre-Submission validation, note that the cover letter, PHS Assignment Form, and any appendices are not included in the grant image. |
|  | Post-Submission | -Once you have hit submit and receive a grants.gov ID on the Finalize tab in PennERA, you will want to follow the application to the Commons to see if any errors/warnings appear  -Send confirmation to BA that proposal has been submitted (no errors/warnings) or send list of errors/warnings to BA. Note: The PI will receive an automated notice  of proposal submission. |

# Application Guide (select application form instructions based on mechanism):

<https://grants.nih.gov/grants/how-to-apply-application-guide.html>

# Table of Page limits by mechanism:

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/page-limits.htm>

# Format for attachments (font, margins, etc.):

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm>

# Format pages (e.g., biographical sketch template and samples):

<https://grants.nih.gov/grants/forms/submitting-an-application.htm>

# Annotated Form Set for NIH Grant Applications – FORMS-E Series:

<https://grants.nih.gov/grants/how-to-apply-application-guide/resources/annotated-form-sets.htm>

# Develop Your Budget:

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm>

**Decision Tool: Am I doing Human Subjects Research?**<https://grants.nih.gov/policy/humansubjects/hs-decision.htm>