

NIH Proposal Checklist

[Forms H](#) effective January 25, 2023

SF424 RR – REQ'D

- Remember to use 9-digit zip codes.
- Remember standard start dates apply for NIH.
- Field 11, Descriptive Title, is limited to 200 characters.
- Field 15, auto filled based on data entered into the RR Budget or PHS 398 Modular Budget.
- Field 19, Authorized Representative, email should always be udelaware-awards@udel.edu.
- Authorized representative is determined by first year total costs (Contract & Grant Analyst: up to \$250,000; Assistant Director, Contracts & Grants: up to \$500,000; Associate Vice President, Research Administration: up to \$1M; Provost: \$up to \$2M; President: over \$2M).
- Field 21, Cover Letter Attachment, NIH encourages a cover letter in certain scenarios only. It is required for Mentored Career Development applications and Fellowship applications.
- *Do not include Personal Identifiable Information (PII) or Protected Health Information (PHI) anywhere in the application.

RR Performance Sites – REQ'D

- List all locations where work will be performed,
- If 50% or more of the work will happen off-site, UD cannot claim F&A expenses under the standard rate. The off-campus F&A rate will apply.

RR Other Project Information – REQ'D

- Complete questions 1-6. Proposals that indicate use of human subjects are required to complete the PHS Human Subjects and Clinical Trials Information (see requirements in this section below). Proposals that indicate use of animals are required to submit Vertebrate Animals section. See PHS 398 Research Plan for more information.
- ATTACHMENTS:
 - Project Summary/Abstract (limited to 30 lines of text)
 - Project Narrative (limited to a couple sentences)
 - Bibliography
 - Facilities & Other Resources
 - Equipment
 - Other Attachments should only be included when required by the solicitation.

RR Key Persons – REQ'D

- PI(s)/PD(s), senior/key personnel as well as Other Significant Contributors must have eRA Commons Credential.
- ATTACHMENTS:
 - Biographical Sketch w/ Credential (5 pages unless the solicitation says otherwise; sometimes it is 2 pages)
 - Education Block (Chronological order)
 - Section A: Personal Statement (May cite up to 4 publications or research products)
 - Section B: Positions, Scientific Appointments and Honors (Reverse chronological order – current position should be first in the list)
 - Section C: Contributions to Science (May include up to 5 contributions of up to ½ page each. Within each contribution, you may cite up to 4 publications or research products relevant to the contribution. Option to provide a federal hyperlinked URL to a full list of published work also.)
 - ****Fellowship, dissertation research and candidates for diversity supplement applications only**** Section D: Scholastic Performance (Predoctoral applicants must list, by institution, **all** undergraduate and graduate courses with grades. Postdoctoral applicants must list, by institution and year, **all** graduate scientific and/or professional courses with grades.)
 - Current & Pending Support (not required unless it is mentioned in the solicitation. C&P is typically part of Just In Time information (JIT).)

NIH Salary Cap

- Salary must not exceed NIH cap for faculty per Salary Cap
Summary: https://grants.nih.gov/grants/policy/salcap_summary.htm or graduate students cannot exceed the “0 Level Post Doc” stipend rate, inclusive of stipend, fringe, and tuition. On the budget justification, include a statement indicating the PI/Other Personnel (as appropriate) are budgeted at the NIH Salary Cap

RR Budget – Use when required or allowed by the solicitation

- Typically used when direct costs exceed \$250,000 per year (excluding subaward(s) F&A). If this type of budget is used and you have subawards in your budget, you will also need to complete the RR Subaward Budget Attachment.
- Applications due on or after 10/05/2023:** If a Data Management and Sharing Plan (DMS Plan) is required, costs to support these activities, may be requested in the appropriate cost category. Details regarding Data Management and Sharing costs must be specified in the Budget Justification attachment.
- ATTACHMENTS
 - Budget Justification for all requested costs.
 - **Applications due on or after 10/05/2023:** If a DMS Plan is required, include a brief justification, clearly labeled “Data Management and Sharing Justification,” of the proposed activities that will incur costs, followed by the estimated dollar amount (total direct costs). Briefly summarize the type and amount of scientific data to be preserved and shared, the name of the established repository(ies) where they will be preserved and shared, and the general cost categories (ex: curating data and developing supporting documentation, local data management activities, preserving and sharing data through established repositories, etc.) including an amount for each category and a brief explanation. Specify in the justification if no costs will be incurred for Data Management and Sharing. The recommended page length for this section is no more than half a page.

PHS Human Subjects and Clinical Trials Information – REQ'D when research involves human subjects

- Follow [Forms H instructions](#) to complete this form, if applicable.

PHS398 Modular Budget – Use when required or allowed by the solicitation

- Modular budgets are applicable to certain research grant applications requesting direct costs of \$250,000 or less per year (excluding subaward(s) F&A). The modular budget is applicable only to R01/U01, R03, R15, R21/UH2, R34/U34, and R15/UA5 applications.
- For all modular budgets, request total direct costs (in modules of \$25,000 up to \$250,000), reflecting appropriate support for the project.
- ATTACHMENTS
 - Personnel Justification - include the name, role, and number of person-months devoted to this project for every person on the project. Do not include salary and fringe benefit rate in the justification.
 - Consortium Justification - include the total costs (direct costs plus F&A costs), rounded to the nearest \$1,000, for each consortium/subcontract. Additionally, any personnel should include their roles and person months; if the consortium is foreign, that should be stated as well.
 - Additional Narrative Justification - include explanations for any variations in the number of modules requested annually (except when responding to FOAs with direct costs that do not spread evenly across budget periods. E.g. R21 NOFOs that allow \$275,000 in direct costs over two years). Also, this section should describe any direct costs that were excluded from the total direct costs (such as equipment, tuition remission) and any work being conducted off-site, especially if it involves a foreign study site or an off-site F&A rate.
 - **Applications due on or after 10/05/2023:** If a DMS Plan is required, the Additional Narrative Justification is required and must include a Data Management and Sharing justification clearly labeled “Data Management and Sharing Justification” within the Additional Narrative attachment, followed by the estimated dollar amount (total direct costs). Briefly summarize the type and amount of scientific data to be preserved and shared, the name of the established repository(ies) where they will be preserved and shared, and the general cost categories (ex: curating data and developing supporting documentation, local data management activities, preserving and sharing data through

established repositories, etc.) including an amount for each category and a brief explanation followed by the requested dollar amount. If no costs will be incurred, enter “0” for the requested dollar amount. Also include a brief justification of the proposed activities that will incur costs. The recommended page length for this section is no more than half a page.

RR Subaward Budget Attachment – REQ'D when a subaward is included and the RR Budget is used

PHS398 Cover Page Supplement – REQ'D

PHS398 Research Plan – REQ'D only for Research, multi-project, and SBIR/STTR applications

ATTACHMENTS

- Introduction to Application – only required for Resubmission and Revision applications
- Specific Aims (limited to 1 page)
- Research Strategy (limited to 6– 12 pages) – See [NIH Page Limits](#) for full list of page limitations. Research Strategy should address (1) Significance, (2) Innovation, and (3) Approach.
- Progress Report Publication List – only required for RENEWAL applications
- Other Research Plan Sections
 - Vertebrate Animals – to be completed when RR Other Project Information indicates use of animals
 - Select Agent Research - to be completed when RR Other Project Information indicates use of select agents at any time during proposed project period
 - Multiple PD/PI Leadership Plan – to be completed when multiple PIs are designated on the R&R Senior/Key Persons Form
 - Consortium/Contractual Arrangements – Include if you have consortiums/contracts in your budget. Suggested format and content:
“Consortium/Contractual Arrangements
The University of Delaware will establish the necessary consortium/contractual arrangements with [entity name] (not to exceed the proposed total amount of [\$XXX]) to provide funding for their portion of the project during the period covering [Date – Date].”
- The appropriate programmatic and administrative personnel of each organization involved in this grant application are aware of the agency’s consortium agreement policy and are prepared to establish the necessary inter-organizational agreement(s) consistent with that policy.
 - Letters of Support – include any letters necessary to demonstrate the support of consortium participants and collaborators such as Senior/Key Personnel and Other Significant Contributors
 - Resource Sharing Plan – only required where the development of model organisms is anticipated
- Other Plan(s)
 - Applicants proposing to conduct research that will generate scientific data must attach a DMS Plan (except T, F, C06, R13, Gs and Research-Related Infrastructure Program applications)
 - Applicants seeking funding for research that generates large-scale human or non-human genomic data to provide a plan for sharing of these data as part of their DMS Plan.
 - See [NIH's "Writing a DMS Plan"](#) for additional information.
- Authentication of Key Biological and/or Chemical Resources—required if Biological and/or Chemical Resources will be used. 1 page is suggested. A negative statement is not required.
- Appendix - Maximum of 10 allowable appendices. See NIH Notice Number: NOT-OD-18-126 for updated list of allowable appendix materials.

PHS Assignment Request – OPT'L

Additional Forms

- PHS398 Career Development Award Supplemental Form (REQ'D only for Career Development (K) Award)**
 - Letters of reference are required
- PHS398 Research Training Program Plan (REQ'D only for Institutional Training (T) Award)**
- PHS398 Training Budget (Use when required or allowed by the FOA)**
- PHS398 Training Subaward Budget (Use when required or allowed by the FOA)**
- PHS Fellowship Supplemental Form (REQ'D only for Fellowship (F) Award)**

Proposal Formatting Restrictions

FONT – Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface are recommended, although other fonts (both serif and non-serif) are acceptable. Font size must be 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters; the font size requirement still applies.)

FIGURES, GRAPHS, DIAGRAMS, CHARTS, TABLES, FIGURE LEDGENDS, and FOOTNOTES may have a smaller type size but it must be readily legible and follow the font typeface requirement.

TYPE DENSITY – Type density, including characters and spaces, must be no more than 15 characters per linear inch. Type may be no more than six lines per vertical inch.

PAPER SIZE/MARGINS – Use standard paper size (8 ½" x 11). Use at least one-half inch margins (top, bottom, left, and right) for all pages. No applicant-supplied information can appear in the margins.

PAGE FORMATTING – Use only a standard, single-column format for the text. Do not include any information in a header or footer of the attachments, including page numbers.

TEXT COLOR – No restriction, although black and other high-contrast text colors are recommended since they print well and are legible to the largest audience.

FILE ATTACHMENTS – All proposal attachments should be in PDF form. File names can contain the following: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. NIH recommends avoiding the use of ampersand. Filenames must be 50 characters or less (including any spaces between words) and you can only have single spaces between words in filenames.

HYPERLINKS and URLs – Hyperlinks and URLs are only allowed when specifically noted in the solicitation. The use of them is typically limited to citing relevant publications in biosketches and publication lists. They are almost always prohibited in page-limited attachments.

PAGE LIMITS – Adhere to page limits as defined by the solicitation or here: <https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/page-limits.htm>