# NIH Proposal Checklist (K 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. Search Google for the FOA listed on the Setup Questions next to Opportunity Number 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-H package if due date on or after January 25, 2023  -Human Subjects/CT form now required for all submissions (biospecimen/data question)  -Check for comments from BA |
|  | 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 (new, resubmission?)  -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 and earliest start date at link above  -Question 16 is always, “Program is not covered by E.O. 12372“  -Cover letter complies with NIH guidelines (e.g., should not include assignment request; there is a separate form for that)  NOTE: Mentored Career Development Awards must include cover letter with list of referees (name, dept. affiliation, and institution) |
|  | S2S Forms: Assignment Request Form | -PHS Assignment Request Form: Requested Awarding Component assignment listed as participating institute/center in FOA |
|  | S2S Forms: PHS 398 Career Development Award Supplemental Form | -Page limits for attachments: <https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/page-limits.htm>  -Introduction to Application uploaded (if resubmissions application type)  -Specific Aims- 1 page; no URLs included  -Candidate Information and Goals for Career Development: Sections include Candidate’s Background, Career Goals and Objectives, Candidate’s Plan for Career Development/Training Activities During Award period (should have percentage of time to be dedicated to each activity by year, expressed in person months); timeline encouraged  -Research Strategy – margins, format, no URLs/hyperlinks, address any FOA- specific requirements, such as specific section to include in body of narrative Note: Research Strategy: headings for Significance, Innovation, & Approach  -Training in Responsible Conduct of Research: meets FOA/NIH Application Guide requirements  -Plans and Statements of Mentor and Co-Mentor: meets FOA/NIH Application Guide requirements  -Letters of Support: Required for collaborators, contributors and/or consultants; meets FOA/NIH Application Guide requirements  -Desription of Institutional Environment: meets FOA/NIH Application Guide requirements  -Institutional Commitment to Candidate’s Research Career Development: meets FOA/NIH Application Guide requirements (must be signed by chair or dean)  -Description of Candidate’s Contribution to Program Goals: Applicable to diversity-related FOAs only  -Vertebrate Animals attachment meets FOA/NIH Application Guide requirements, if animal use included  -Select Agent Research, if required or appropriate  -Consortium/Contractual Arrangement attachment uploaded, if proposed subaward  -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))  -Citizenship questions answered |
|  | PHS 398 Cover Page Supplement | -Vertebrate Animal questions answered correctly, considering Setup Questions, Other Project Info and Career Development Award Supplemental Form 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 |
|  | 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 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) |
|  | Personnel | -Click on each person listed to be sure that demographic elements are completed  -PD/PI candidate and primary mentor must have eRA Commons ID  -Project Role for mentors and co-mentors “Other Professional” and then “mentor” and “co-mentor” entered in “Other project role category.”  -Individuals identified as Other Significant Contributor should not have effort (0%), but should have biosketch uploaded. |
|  | Personnel: Biosketches and Current & Pending Support (Other Support) | -Current biosketch template (check expiration date of OMB form)  -Up to 5 pages long; Personal Statement-up to 4 cited works; Contribution to Science-up to 5 Contributions and 4 cited research products per contribution;  -If a list of published works is included, can only be from .gov website  -Ongoing Research Support- all projects active? Person-months or award amounts should not be listed.  -Completed Research Support- completed projects in past three years?  -Current and Pending Support uploaded for mentor and co-mentors; limited to 3 pages; do not include percent effort/person-months or overlap statement; conforms to FOA/NIH Applicate Guide requirements |
|  | Budget: R&R Detailed Budget | -All costs appropriate (NOTE: Each institute/center has specific guidance on costs; refer to Table of IC-Specific Information, Requirements, and Staff Contacts link if included in FOA)  -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 |
|  | 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 |
|  | 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 |
|  | Approvals | -Human Subjects, Animal Use, etc. correctly reflected as proposed on Other  Project Information screen and Setup Questions |
|  | 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” |
|  | 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 |
|  | 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-F 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>