

Checklist for NIH SF424 (R&R) Applications using Grants.gov

<http://www.dartmouth.edu/~osp/docs/Checklist-SF424NIHApplications.pdf>

Please note that this checklist is a tool for assisting in correctly preparing a grant application using grants.gov SF424(R&R) forms.

****This checklist is not a substitute for the official “Grants.Gov SF424 (R&R) Application Guide”**. The official Application Guide should be accessed from the Application Instructions for the specific Funding Opportunity Announcement.**

The applicable section of the Application Guide is referenced in parentheses (e.g., (4.2))

Pre-submission Preparation:

Be sure that the PI is a registered user in the **NIH Commons** prior to submitting the proposal. Email OSP for assistance at sponsored.projects@dartmouth.edu.

Required Software:

- PureEdge Viewer for PC's** (for existing applications until renewal as PDF files):
http://www.grants.gov/help/download_software.jsp#pureedge
- PureEdge Viewer for Macs** (for existing applications until renewal as PDF files):
http://www.grants.gov/help/download_software.jsp#pureedgeviewer
- PDF file converter:**
http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs
- Latest version of Adobe Reader** (required for many new funding opportunities as of **June 1, 2008**): http://www.grants.gov/help/download_software.jsp#adobe811


Some funding opportunities will still be accessible as **PureEdge** (now a subset of IBM Workplace Forms™) files, although grants.gov will discontinue its use after June 30, 2009, at which time all new opportunities will be in **PDF file format**. *To download and operate the PureEdge Viewer, your browser should be **Internet Explorer 5.01 or higher, Netscape Communicator 4.5 - 4.8, or Netscape 6.1, 6.2 or 7**. PureEdge is also enabled to work with **Mac OS version 10.4.6 and above**, with options for both Intel and PPC based processors. PureEdge will **NOT** run within the Mozilla Firefox browser.*

Downloading the Application:

- Use the NIH Guide for Grants and Contracts (<http://grants1.nih.gov/grants/guide/index.html>) to locate the funding opportunity announcement (FOA). Selecting the grant opportunity number from the results will open the appropriate download page in grants.gov.
- Follow links to “Download Opportunity Instructions and Application” page.
- Enter your email address to be notified of any changes to the opportunity. (Highly recommended!)
- Save application instructions to local drive. These instructions are your definitive last word regarding any methods, processes, rules, or exceptions to filling out all forms in this particular application package.
- Save application package (*.xfd file if PureEdge, *.pdf file if Adobe) to local drive.
When saving the application package this naming convention should be used:
Last Name_ First Name Initial_Title Keyword_NIH

Important /Before Filling out Forms

☞ It is CRITICAL that the information in the PI's NIH COMMONS profile matches the information on the SF424 R&R form. The PI's profile should be kept up-to-date!

- ALL yellow fields **must** be filled in.
** FOA instructions and SF424 (R&R) Application Guide should be reviewed CAREFULLY for additional required fields. **
 - If a field turns RED after entering data, it means the data entered is invalid (e.g. too many characters, invalid characters, etc.). If this happens you must review the data that's been entered, and refer to the appropriate section in the SF424 (R&R) Application Guide if necessary.
 - Be sure to open application file in PureEdge or Adobe Reader FROM YOUR LOCAL DRIVE before working on the application.
- PureEdge FIELD LEVEL HELP is available at any level within the application package. Pointing to any field with this tool will then provide more detailed information about that field. (In Adobe Reader, this option is automatic.) 

NIH Format Specifications:

❖ NIH **REQUIRES** all text attachments to be submitted as **PDF (Portable Document Format)** files.

Some formatting requirements are listed below:

- Security features should be disabled in the PDF document.
- Turn the “signature” off when you create original documents.
- NIH does not accept PDF documents with editable fields (fields that can be changed).
- NIH also strongly discourages the use of columns in the main text of the research summary.
- NIH will not accept special characters in file names. The NIH system will restrict the file names to allow only characters that are normally valid in URLs. For instance, brackets such as "[" and "]" are not accepted.
 - NIH's validations will allow the following legal and reserved URL characters:
 - The legal characters in URLs are:
 - A through Z, a through z, and 0 through 9
 - Hyphen (-), underscore (_), period (.), exclamation point (!), tilde (~), asterisk (*), accent (^), left parenthesis ((), right parenthesis ()
 - The reserved characters consist of:
 - Semi-colon (;) slash (/), question mark (?), colon (:), at sign (@), ampersand (&), equals sign (=), plus sign (+), dollar sign (\$), and comma (,)

* Further information regarding NIH's PDF file requirements can be found at:

http://era.nih.gov/ElectronicReceipt/faq_prepare_app.htm#2e

☞ Do NOT include headers or footers on the PDF attachments (*A header will be system-generated that references the name of the PD/PI. Page numbers for the footer will be system-generated in the complete application, with all pages sequentially numbered.*)

- ❖ Use **Arial, Helvetica, Palatino Linotype, or Georgia** typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters, although the font size requirement still applies.)
- ❖ Use at least one-half inch margins (top, bottom, left, and right) for all pages and there must be no more than 15 characters per inch with no more than 6 lines per inch.

Completing the Application:

Complete the form documents in the order presented in the package as some of the information is populated from information entered on previous forms. For those FOA's requiring Adobe Reader, move them from the left-hand "Mandatory Documents" column into the right-hand "Mandatory Documents for Submission" column.

Application Filing Name Field: Unless the FOA instructions require a specific title, please use this naming convention in the field; **Last Name_First Name Initial_Title Keyword*_NIH.**

* - A word in your title that will identify your project.

SF424(R&R) Form: (section 4.2 in the Application Guide)

1. Type of Submission
- Select "Application" for all proposals except "corrected applications."
 - Select "Corrected Application" when submitting your application to correct errors that were identified by the NIH Commons or to submit a new version of an application before the deadline.
2. Date Submitted: Leave blank as OSP enters the date when it is being submitted
3. Date Received by the State: Leave field blank.
4. Federal Identifier:
- *Leave blank for new applications*
- **If this is a revised or renewal application, enter the assigned application/award number as the Federal Identifier (for example: CA123456)**
 - If this is a CHANGED/Corrected Application for a "New" Application, enter the Grants.gov tracking number for the previous application that you are correcting.
 - When submitting a CHANGED/Corrected Application for a "Resubmission," "Renewal," or "Revision", enter the previously assigned grant number (e.g., CA123456).
5. Applicant Information
- Organizational DUNS: **041027822**
 - Legal name is Trustees of Dartmouth College
Department: Office of Sponsored Projects
11 Rope Ferry Road, #6210
Hanover, NH 03755
County: Grafton
- Person to be contacted on matters involving this application: "Jill Mortali"
Tel. 603-646-3007 Fax. 603-646-3670 Email: egrants.gov@dartmouth.edu
6. Employer Identification (EIN):
1-020222111-A3
7. Type of Applicant: **Private Institution of Higher Education**
8. Type of Application:
- You must select: New, Resubmission, Renewal or Revision.** (*Please refer to section 4.2 of the Application Guide for definitions.*)

9, 10. This information is pre-populated by Grants.gov. If fields are blank, leave blank.

11. Descriptive Title of Applicant's Project:

A "new" application must have a different title from any other PHS project with the same PD/PI.

A "resubmission" or "renewal" application should normally have the same title as the previous grant or application. If the specific aims of the project have significantly changed, choose a new title.

***NIH limits title character length to 81 characters, including spaces.**

12. Areas Affected by Project: (Cities, Counties, States, Etc.)

Enter N/A for not applicable unless the NIH instructions indicate otherwise

13. Start Date and Ending Date: **MM/DD/YYYY**.

14. Congressional District Applicant and Congressional District Project:

- Applicant: **NH-002** for Dartmouth College/DHMC.
- Project: **NH-002** for Dartmouth College/DHMC.

*Use **NH-all** to include all districts of New Hampshire and **VT-001** for Vermont; if elsewhere, enter the district of the location of research.*

Additional districts may be attached in Block #21. Find other districts online:

<http://www.govtrack.us/congress/findyourreps.xpd>

15. Project Director/Principal Investigator (PD/PI) Contact Information.

If submitting an application reflecting Multiple PDs/PIs, the individual designated as the Contact PI should be entered here.

References to OSP and OSP's address must be removed from this section!

The PI name and address in this section must match the employment section of the PI's Personal Profile in the NIH Commons.

- Organization: Trustees of Dartmouth College
- Division: Dartmouth Medical School, Thayer School of Engineering, Tuck School of Business or Arts & Sciences.

16. Estimated Project Funding:

Amounts should be entered once the budget pages are completed.

17. Is Application Subject to Review by State Executive Order 12372 Process?

Does not apply to NIH, check "No, Program is not covered by E.O. 12372."

19. Authorized Representative:

- This is the signing official that will ultimately be submitting your application to Grants.gov
- Tel. 603-646-3007 Fax. 603-646-3670. Email: egrants.gov@dartmouth.edu

21. Additional Project Congressional Districts

If additional Congressional Districts are affected, attach a file using the appropriate buttons.

Research and Related Other Project Information (4.4)

- Sections 1-5: Complete the required information
- If you click **YES** that HUMAN SUBJECTS are involved, you must provide either an exemption number or Assurance number. **Assurance # must be entered as 00003095**
- If you click **YES** that VERTEBRATE ANIMALS are used, you **must** enter **A3259-01** for the Animal Welfare Assurance number.

5. Activities Outside US or with International Collaborators Questions

- 5.a Does this project involve activities outside of the United States or partnerships with International Collaborators?
- Applicants to NIH and other PHS agencies must check “Yes” if the applicant organization is a foreign institution or if the project includes a foreign component. For a definition of a [substantial foreign component](#), see “Definitions” section of Part III: Policies, Assurances, Definitions, and Other Information.
- 5.b. If yes, identify countries
- If you checked the Yes box indicating your project involves activities outside the US, enter the countries with which International cooperative activities are involved.
- 5.c. Optional Explanation that is **REQUIRED** for NIH applications
- If you have checked “Yes” to 5.a, applicants to the NIH and other PHS agencies must describe special resources or characteristics of the research project (e.g., human subjects, animals, disease, equipment, and techniques), whether similar research is being done in the United States and whether there is a need for additional research in this area. Provide this information in a separate file, attaching it as Item 11, Other Attachments. In the body of the text, begin the section with a heading indicating “Foreign Justification.” When saving this file, please name it “Foreign Justification” as well.

For the following sections (6-11), attach PDF files (no headers, footers, or page numbers):

6. Proposal Summary/Abstract (**This section must be no longer than 30 lines of text!**)
7. Project Narrative (**2-3 sentences describing relevance to public health, in lay terms.**)
8. Bibliography & References Cited
9. Facilities & Other Resources
10. Equipment
11. Other Attachments

Research and Related Project/Performance Site Location(s) (4.3)

- Indicate the primary site where the work will be performed.
- Organization: Please enter Trustees of Dartmouth College as our organization.
- If part of the project will be performed at any other location(s), identify it in the section provided.
- If you have more than eight locations, provide the information in a separate file and attach.

Research and Related Senior/Key Person Profile (4.5)

Profile for PI/PD

- Credential.eg.,agency login

The PI's NIH Commons log in username must be entered here!!!

Please refer to the SF424 (R&R) Application Guide for Multiple PI proposals

- Attach Biographical Sketch **Make sure you are using the forms provided in the SF424 (R&R) Application kit at <http://grants1.nih.gov/grants/funding/424/index.htm>*

Current & Other Pending Support: Unless otherwise required in a specific FOA, do not include Other Support as this comes at the JIT (Just-In-Time) stage.

Remaining Senior/Key Person Profiles should be entered in alphabetical order. Alphabetical order is preferred, though **not required**. Note: Per NIH “be aware that these profiles will appear in the application in the order provided by the applicant.”

At this time Credential.eg.,agency login is not required by NIH for other key personnel

ROLES: “Co-PD/PI” is **not** currently used by NIH and other PHS agencies. Do not assign any individual this role. If applicants wish to use the role of “Co-Investigator” or some other similar role, select “Other” for the Project Role field and then insert the appropriate role descriptor in the Other Project Role Category field.

“**Other Significant Contributor**” When identifying OSC’s use the “Other” category and indicate “Other Significant Contributor” as the role in the “Other Project Role Category.” OSCs should be listed last **after** all other Senior/Key Persons have been listed.

NIH defines Key Personnel: *The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition. Key Personnel must devote measurable effort (in person months) to the project whether or not salaries are requested. "Effort of zero person months" or "as needed" are not acceptable levels of involvement for those designated as Key Personnel.*

NIH defines Other Significant Contributors: *This category identifies individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (in person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed" (individuals with measurable effort cannot be listed as Other Significant Contributors). Consultants should be included if they meet this definition. This would also be an appropriate designation for mentors on Career awards.*

In Version 2 of this form, if more than eight Senior/Key Person profiles are proposed, attach the remaining individuals alphabetically in a separate PDF file.

In Version 2a of this form, PureEdge can now create and attach supplementary forms for up to 40 additional senior/key persons.

PHS 398 Cover Page Supplement (5.3)

1. New Investigator box needs to be checked “yes” or “no”.
- DEGREES: Indicate up to three academic and professional degrees or other credentials, such as licenses (for example, R.N.). **These degrees should be a subset of the degrees that are listed on the PD/PI’s NIH Commons profile.**
2. Human Subjects
- Check “yes” or “no” for Clinical Trial
 - Check “yes” or “no” for Agency –Defined Phase II Clinical Trial
3. Applicant Organization Contact:
- Title: Director
Address:
11 Rope Ferry Road, #6210
Hanover, NH 03755

PHS 398 Research Plan (5.5)

2. Research Plan Attachments (5.5)

- Attachments must be PDF files
- DO NOT include headers, footers, or page numbers!

Note: While each section of the Research Plan needs to be uploaded separately as a PDF attachment, it is strongly recommended to construct the Research Plan as a single word document to ensure that document does not exceed page limitation prior to separating sections into individual PDFs.

2.1 Introduction to Application: If this is applicable to your application, you must follow the page limits that are outlined in the specific funding opportunity announcement.

For example: R21 Introduction (required for a resubmission application) is limited to one page.

2.8-2.11 Human Subjects Sections: These attachments apply only when you have answered “yes” to the question “are human subjects involved” on the R&R Other Project Information Form.

** If a section is not applicable to your study, state N/A or Not Applicable in your PDF attachment.*

2.14 Multiple PD/PI Leadership Plan: For applications designating multiple PD/PIs, a leadership plan **must** be included.

2.15 Consortium/Contractual Arrangements: If you have a subcontract, please refer to the Application guide for instructions on completing this section.

2.17 Resource Sharing Plan: This section includes Data Sharing Plan, when applicable, and Sharing Model Organisms. Please refer to Application guide for further instructions. The Dartmouth Technology Transfer Office (TTO) provides language they would like the PI’s to use for Data Sharing Plans and Sharing Model Organisms. These plans can be found at the following link:

<http://www.dartmouth.edu/~osp/resources/resourcesharing.html>

2.18 Appendix: NIH/AHRQ/NIOSH have set new limits on appendix materials. Please refer to notice <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-018.html> and the Application guide for details.

PHS 398 Checklist (5.6)

2. Change in Investigator/Change in Institution Questions
 Complete only if this is applicable to your application
3. Invention and Patents
 This section is only required on renewal applications
4. Program Income
 This should be checked “yes” or “no.”
If you check “yes” please refer to section 5.6 in Application Guide for instructions on this section
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PHS 398 Cover Letter Component (5.2)

Refer to section in Application guide for specific instructions on this section.

PHS 398 Modular Budget (5.4)

A modular budget must be completed for each budget year

Budget Period

- Start and End Date should be entered in the following format: MM/DD/YYYY

A. Direct Costs

Direct Costs less Consortium F&A

- Enter amount of direct costs, less actual Consortium F&A costs for **this** budget period

Consortium F&A

- Enter ACTUAL consortium F&A costs in this section for **this** budget period

B. Indirect Costs

- Indirect Cost Type: Enter MTDC

- Enter Indirect cost rate %

- Indirect Cost Base: Remember Dartmouth follows Modified Total Direct Costs (MTDC)

***Total direct costs **excluding** capital expenditures (buildings, individual items of equipment over \$5,000, alterations and renovations), that portion of each subaward in excess of \$25,000, patient care, rental/maintenance of off-site activities, tuition remission, scholarships and fellowships.

- Cognizant Federal Agency

Please enter: **Department of Health and Human Services**
Robert I. Aaronson
212-264-2069

- Indirect Cost Rate Agreement Date: This can be found on the Institutional Profile at:
<http://www.dartmouth.edu/~osp/resources/profile-fa.html>

A cumulative budget will be calculated automatically on the third page. (**No data entry is allowed in this section.**) Errors must be corrected in the source document.

Budget Justifications:

- Modular budget justifications that are applicable must be included

Effort must be shown in number of **person months** (indicate academic, calendar, and/or summer).
Conversion Chart: <http://www.dartmouth.edu/~osp/docs/ConversionChart.xls> to help you convert % effort into person months. **“Additional Narrative Justification”** section should be used for variations in the number of modules requested.

PHS 398 Research & Related Budget (4.7)

Sections A & B (4.7.1)

- Budget Type: Select “PROJECT”
- Start Date and End Date should be entered in the following format MM/DD/YYYY

Section A - Senior/Key Person(s)

- Do the Project Roles listed for the Senior/Key Persons match the roles listed in the Research and Related Senior/Key Person Profile Component?
- Enter the level of effort using **person months** (calendar, academic and/or summer).
Conversion Chart: <http://www.dartmouth.edu/~osp/docs/ConversionChart.xls> to help you convert % effort into person months.
- Is the fringe rate used correct?
- Is the salary cap correct?
- If funds are requested for more than 8 Senior/Key Persons, add budget attachment

Section B - Other Personnel

- Enter appropriate role in the blanks if not already provided in the form list.
- Is the fringe rate used correct?
- Do not include Consultants in this section as they are to be included in Section F.

Section C through E (4.7.2)

C. Equipment

- Only for equipment costs of \$5,000 and over. If less, put in “supplies” category.

E. Participant/trainee Support Costs

- Unless specifically stated otherwise in an announcement, leave Section E blank.

Sections F through K (4.7.3)

5. Subawards/Consortium/Contractual Costs

Enter **TOTAL** funds requested for 1)all subaward/consortium organization(s) proposed for the project and 2) any other contractual costs proposed for the project.

Use line 8-10 to describe any “other” direct costs not requested above in sections 1-7. This section should be used if you are including:

- IRB fee
- Tuition remission for graduate students
- Patient care costs

Section H - Indirect Costs

(see Institutional Profile at <http://www.dartmouth.edu/~osp/resources/profile-fa.html>)

Indirect Cost Type: Enter **MTDC**

Enter Indirect cost rate %

Indirect Cost Base: Remember Dartmouth follows Modified Total Direct Costs (MTDC) ***Total direct costs **excluding** capital expenditures (buildings, individual items of equipment over \$5,000, alterations and renovations), that portion of each subaward in excess of \$25,000, patient care, rental/maintenance of off-site activities, tuition remission, scholarships and fellowships.

Cognizant Federal Agency

Please enter: **Department of Health and Human Services
Robert I. Aaronson
212-264-2069**

K. Budget Justification

- This is a single justification for **all** budget years
Don't forget to show level of effort using **person months** (calendar, academic and/or summer)
Conversion Chart: <http://www.dartmouth.edu/~osp/docs/ConversionChart.xls> to help you convert % effort into person months.

Research & Related Subaward Budget (4.8)

If your application will have a subcontract/consortium, this component must be completed by each consortium grantee institution.

When the consortium institution completes the required budget, their Organization DUNS and Name of Organization fields **must** reflect that of the subaward/consortium grantee

The pre-populated role of PD/PI should be removed and replaced with the role entered in the *Research and Related Senior/Key Person Profile Component*. The PD/PI role should only remain IF this person is a PD/PI on a multiple PI application.

The subaward/consortium justification must be part of their budget

Save the file using the first **10** letters of the consortium organization's name as the file name and leave "xfd" as the file extension (if PureEdge) or "pdf" as the file extension (if Adobe Reader). *If more than 10 letters are entered, the field will turn red indicating that the entry is invalid.*