

# Checklist for NIH PHS 398 Applications

Please note that this checklist is a tool for assisting in correctly preparing a NIH 398 grant application, prior to OSP review. This will cover new, competing, and revised applications that are paper submissions. Please feel free to contact your Proposal Development Coordinator with any questions regarding the NIH proposal you may have in advance of submitting the proposal for OSP review.

Institutional Profile can be found at: <http://www.dartmouth.edu/~osp/resources/profile.html>

**NIH requires the use of Arial, Helvetica, Palatino Linotype or Georgia typeface and a font size of 11points or larger.**

## **FACE PAGE:**

Click [HERE](#) to download a partially completed NIH PHS 398 face page template, which has all institutional information completed

- Title should not exceed 81 characters.
- If in response to a PA or RFA, Item 2 should indicate the PA or RFA number and title
- Is "New Investigator" checked correctly?
- Section 3d. should reflect the principal investigator's mailing address, while all other address fields (9, 12 and 13) should reflect the institution's address (see Institutional Profile)
- Section 3.f should be either Dartmouth Medical School, Thayer School of Engineering or Arts & Sciences
- Section 3h. Enter your assigned eRA Commons User Name (**This is REQUIRED!**)
- If Item 4 is marked "Yes", sections 4.a, 4.b, 4.c, and 4.d must be completed
- Section 4b. Human Assurance number is **FWA00003095**
- If Item 5 is marked "Yes", Section 5.b Animal Welfare Assurance number is **A3259-01**
- Section 11. Entity Identification Number: **1-020222111-A3**  
DUNS Number: **04-102-7822**  
Congressional District: **2<sup>nd</sup>**

**FORM PAGE 2:** This includes the Abstract, Performance Sites, Key Personnel, Other Significant Contributors, and Stem Cells.

Abstract: Text should not exceed the space provided and the box size should not be adjusted.

- Did you include two or three sentences describing in plain, lay language the relevance of this research to **public health**?

Performance Site(s):

- Are all institutions involved listed under the performance sites?

Key Personnel: Note: eRA Commons User Name can be entered if known

The PHS 398 defines Key Personnel as, "In addition to the principal investigator(s) (PIs), Key Personnel are defined as individuals who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries are requested. Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Key Personnel. **Consultants should also be included if they meet the same 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.

- Do all members listed as key personnel fit this definition?

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.

*(Biographical sketches will be required for these individuals; other support information will not be required)*

Human Embryonic Stem Cells:

- YES or NO should be checked.

**DETAILED Budget Applications:**

- Is the fringe rate used correct?
- Is the salary cap correct?
- Is the stipend amount correct?
- Make sure that equipment is listed as \$5,000 and over. If it is less, it should be put in supplies.
- Are all expenses allowable?
- If there are human subjects- has the IRB fee been added under "Other" for year one?

**BUDGET JUSTIFICATION:**

**Check the justification to be sure it is consistent with detailed budget page "i.e. effort in person months with or without salary, item costs, etc"**

- Are all items justified?
- Did you mention what the inflation amount is for the out years?

**Consortium:**

- Statement of work
- Initial year budget and entire project budget page
- Budget Justification
- Checklist Form page
- Signed NIH Face Page from consortium site or a Letter of Commitment signed by Institutional Official at consortium site on consortium letterhead.

**MODULAR Budget Applications:**

- All personnel need to be justified in the budget justification, with effort in person months and roles on project
- Modular grants are developed in modules using increments of \$25,000
- On Modular Grants, budget dollars are rounded up to the next \$25,000 module
- If an annual amount differs between years, there needs to be a justification for the annual module that is different than the other years

**Consortium:**

- On the prime budget justification page, consortium costs are rounded to the nearest \$1000. The institution and personnel at the collaborating institution (including effort in person months and roles on the project) should be shown.
- Statement of work
- Signed NIH Face Page from consortium site or a Letter of Commitment signed by Institutional Official at consortium site on consortium letterhead.

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**Research Plan:**

Introduction to Revised Application *(Not to exceed 3 pages)*

Introduction to Supplemental Application *(Not to exceed one page)*

- A. Specific Aims
  - B. Background and Significance
  - C. Preliminary Studies/Progress Report
  - D. Research Design and Methods
- } (Items A-D: not to exceed 25 pages\*) }

Did you check the page limitations as specified in PAs and RFAs?

**I. Resource Sharing**

Have you included a data sharing plan for applications seeking \$500,000 or more in direct costs in any year?

**J. Letters of Support( e.g., Consultants)**

Have you included letters of support?

**NIH Checklist Page:**

- Did you check the appropriate box for the type of Application?
- Is there a foreign consortium? If so, check box "Domestic Grant with foreign involvement" and list country(ies) involved.
- Did you complete Inventions and Patents? (***Competing continuation/renewal app. only***)
- DHHS Agreement date:** This can be found on the Institutional Profile.
- Should the indirect rate change during a budget year, please remember to prorate.
- Is there a subcontract? We only charge IDC on the first \$25,000 for each subcontract.
- Do certain expenses in your budget need to be subtracted from the base prior to calculation? \*\*\*

\*\*\*Total direct costs **excluding** capital expenditures (buildings, individual items of equipment over \$2,500, 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.

**Helpful Links:**

- [Partially completed PHS 398 Face Page](#)
- [NIH Quick Links on the OSP Website](#)