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|  | **national institutes of health resubmission Proposal Submission and preparation Checklist** for proposals submitted on or after 25 may 2016 |

**Overview**

The National Institutes of Health has established standard proposal preparation instructions and guidance through the [NIH Application Guide](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general-forms-d.pdf) (and as excerpted in this checklist). This checklist is not intended to substitute for the instructions found in the Guide or a thorough, careful review of materials prior to submission. Please also note that additional information regarding proposal preparation and submission may be available in the funding opportunity announcement and may deviate from this checklist.

**Pre-submission Compliance Requirements**

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| **Complete** | **Component** |
| [ ]  | All individuals designated as Senior/Key Persons have completed an [Outside Activities Report](https://oar.uwm.edu/cgi-bin/login.pl) within the last 12 months.  |
| [ ]  | All individuals designated as Senior/Key Persons have completed a [Public Health Service Significant Financial Interest Disclosure](https://www4.uwm.edu/grad_school/fcoi/) within the last 12 months.  |

**Proposal Format**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | All file names must be descriptive and contain 50 characters or less. Do not use the ampersand (&) character in file names. Use one space (not two or more) between words and characters. A space counts as one character.  |
| [ ]  | [ ]  | Do not paginate individual sections of the proposal or add other information to the headers or footers. eRA Commons will automatically assemble, paginate, and add PI’s name to the header.  |
| [ ]  | [ ]  | Recommended typefaces of 11 points or larger include: Arial, Garamond, Georgia, Helvetica, Palatino Linotype, Times New Roman, or Verdana. Other fonts may be used if the font adheres to the [NIH Format Requirements](http://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm). A “symbol” font may be used for Greek letters or special characters, but the font size requirement still applies. |
| [ ]  | [ ]  | All documents must have at least one-half inch margins (top, bottom, left, and right). |
| [ ]  | [ ]  | Smaller type size may be used in figures, graphs, diagrams, charges, tables, figure legends, and footnotes, but must be in black, and follow the font requirement. Color may be used in figures but all text must be in black, clear, and legible.  |
| [ ]  | [ ]  | Page limits apply in most sections. A listing of page limits for each section by activity code is available [online](http://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/table-of-page-limits/forms-d.htm). |
| [ ]  | [ ]  | For resubmissions: The Summary Statement from the previous submission must be available in Commons; the PI/PD must have made significant changes to the application; and an Introduction must be included (limited to one page) that summarizes the substantial additions, deletions, and changes to the application.  |

**SF424 (R&R)**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | Indicate “Resubmission” for the “Type of Application.”  |
| [ ]  | [ ]  | For resubmissions: enter the appropriate federal identifier: the IC (two letters) plus serial numbers (six numbers). Otherwise, leave the section blank.  |
| [ ]  | [ ]  | The project title is limited 200 characters, including spaces between words and punctuation. A “resubmission” application should normally have the title as the previous application (unless the specific aims have significantly changed).  |
| [ ]  | [ ]  | All other data for the SF424 is available on the [Frequently Requested Information](http://uwm.edu/officeofresearch/fri/) section of the OSP website.  |
| [ ]  | [ ]  | Attach a cover letter in accordance with the announcement or agency-specific instructions. Applicants with competing applications are encouraged to include a cover letter in accordance with the [NIH Application Guide](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general-forms-d.pdf). Information regarding SRGs/SEPs are now included in a new optional form.  |

**Other Project Information**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | The [Frequently Requested Information](http://uwm.edu/officeofresearch/fri/) section of the OSP website contains information on the campus’ Human Subject and Animal Welfare Assurances. |
| [ ]  | [ ]  | If Proprietary and Privileged information is contained in the application, please consult with the SF424 R&R for guidance on identifying such information throughout the proposal.  |
| [ ]  | [ ]  | Project Summary: The Project Summary should be a self-contained description of the project for release to the public. It may not exceed 30 lines of text. |
| [ ]  | [ ]  | Project Narrative: In no more than three sentences, describe the relevance of the project to public health to a lay reader.  |
| [ ]  | [ ]  | Bibliography & References Cited: Include a bibliography for all references cited in the Project Narrative. Include the names of all authors (“et al” is not permitted).  |
| [ ]  | [ ]  | Facilities & Other Resources: Describe the resources available from all participating organizations to support the project (Laboratory, Animal, Computer, Office, Clinical, and Other).  |
| [ ]  | [ ]  | Equipment: Describe the equipment available from all participating organization to support the project.  |
| [ ]  | [ ]  | Other Attachments: Provide only in accordance with the announcement and/or agency-specific instructions.  |

**Project/Performance Site Location(s)**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | For projects with subawards, all subaward recipient sites must be included along with their [Congressional District](https://www.govtrack.us/congress/members).  |

**Senior/Key Person profile**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | Profiles must be provided for all senior/key persons, as well as other significant contributors and consultants.  |
| [ ]  | [ ]  | For all individuals listed as PI/PD, they must provide their eRA Commons ID. PI/PDs without IDs should contact OSP as soon as possible for a login; those currently unaffiliated with UWM should also contact OSP in order to update their profile.  |
| [ ]  | [ ]  | [Biographical sketches](http://grants.nih.gov/grants/forms/biosketch.htm) cannot exceed five pages and should include: Personal Statement; Positions and Honors; Contributions to Science; and Research Support and/or Scholastic Performance.  |
| [ ]  | [ ]  | After the PI/PD, remaining senior/key person profiles should be listed in alphabetical order.  |
| [ ]  | [ ]  | Unless otherwise indicated, do NOT provide Current and Pending Support documents for each individual.  |

**Budget & budget justification**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | Salary and effort is limited to the [NIH Salary Cap](http://grants.nih.gov/grants/policy/salcap_summary.htm).  |
| [ ]  | [ ]  | Foreign organizations may include limited F&A Costs (up to eight percent MTDC less equipment). |
| [ ]  | [ ]  | R&R Budget Form (for proposals requesting $250,001 or more per year in direct costs): * A detailed budget must be included for each year of the project.
* All expenses must be necessary, reasonable, and allocable to the project and must align with the budget justification and research strategy.
* The budget justification must include a justification for the following categories: equipment, travel, participant/trainee support, and other direct costs; a justification should also be provided for any significant increase or decreases from the initial year budget.
* If subawards are included in the project, include the R&R Subaward Budget Attachment Form.
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| [ ]  | [ ]  | PHS 398 Modular Budget (for proposals requesting less than $250,000 per year in direct costs and typically used only for R01, R03, R21, and R34 applications):* List the number of modules requested per year (each module is $25,000).
* The personnel justification should list all personnel, including name, percent of effort, and role(s).
* The consortium justification should include a list of subawards rounded to nearest $1,000 per year, identify whether each subrecipient is a domestic or foreign entity, and identify the subrecipient personnel, including name, percent of effort devoted to the project, and role.
* An Additional Narrative Justification should be attached to explain additional items in the budget, including variations in the number of modules requested in each year of the project.
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**phs 398 research plan form**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | Introduction: Introduction is limited to one page and required only if the type of application is “[Resubmission” or “Revision.”](http://grants.nih.gov/grants/policy/amendedapps.htm)   |
| [ ]  | [ ]  | Specific Aims: The Specific Aims is limited to one page and states concisely the goals of the research and expected outcome(s), including the impact of the results on the research field(s) involved.  |
| [ ]  | [ ]  | Research Strategy: The Research Strategy page limitation will vary by [Activity Code](http://grants.nih.gov/grants/forms_page_limits.htm). The Research Strategy should be organized into three sections: Significance, Innovation, and Approach.  |
| [ ]  | [ ]  | Protection of Human Subjects, Inclusion of Women and Minorities, and Inclusion of Children: Required only if the applicant answered “yes” to the human subjects question on the R&R Other Project Information Form; consult the [Supplemental Grant Application Instructions](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf) for additional guidance.  |
| [ ]  | [ ]  | Vertebrate Animals: Required only if the applicant yes to “Are Vertebrate Animals Used” on the R&R Other Project Information Form; consult the [Supplemental Grant Application Instructions](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf) for additional guidance. |
| [ ]  | [ ]  | Select Agent Research: Required only if the project will use select agents as identified by the [CDC and Animal APHIS](http://www.selectagents.gov/). |
| [ ]  | [ ]  | Multiple PI/PD Leadership Plan: Required for all proposals that will utilize a multiple PI/PD leadership model. |
| [ ]  | [ ]  | Consortium/Contractual Agreements: Required for applications that involve subrecipients.  |
| [ ]  | [ ]  | Letters of Support: Letters of support may be attached to the application to: demonstrate the support of consortium participants; stipulate co-authorship expectations; indicate data or resource sharing commitments; include consultant rates and level of effort/hours per year; and/or demonstrate access to core facilities and resources.  |
| [ ]  | [ ]  | Resource Sharing Plan(s): Include information/documentation on sharing data, model organisms, or genomic data.  |
| [ ]  | [ ]  | [Authentication of Key Biological and/or Chemical Resources Plan](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-011.html): Describe methods to ensure the identity and validity of key biological and/or chemical resources used in the study.  |
| [ ]  | [ ]  | Appendix: Appendices may be included, but only in limited situations. Consult the [NIH Application Guide](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/general-forms-d.pdf) for details.  |

**planned enrollment and cumulative inclusion enrollment reports**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | Consult the [Supplemental Grant Application Instructions](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf) for guidance on the inclusion of these components.  |

**PHS Assignment Request Form**

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| **Complete** | **N/A** | **Component** |
| [ ]  | [ ]  | Optional form. Applicants may select up to three institutes/centers for assignment application and up to three [SRGs or SEPs](http://grants.nih.gov/grants/phs_assignment_information.htm#StudySection). This information no longer may be included in the Cover Letter.  |

**Notes**

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