NIH PROPOSAL DOCUMENTS
PI GUIDE

UMass | Dartmouth

The checklist below is to assist the Principal Investigator (PI) with preparing an NIH proposal using either ASSIST or the Forms E application package via Cayuse. This checklist is **not** a required form, nor is this list all-inclusive. Please refer to your solicitation/funding opportunity for specific proposal requirements. Populate your proposal using the NIH Research Instructions for NIH and Other PHS Agencies, also known as the SF424 Application Guide. Be sure to check the NIH website for the most current version. Follow all page limits.

A soon as you know you are going to submit a proposal for funding, please notify the Sponsored Projects Administration (SPA) Pre-Award Manager assigned to your department. Please email the the solicitation number or link to: **Michelle Plaud**, mplaud@umassd.edu, X8509 or **Debbie Dolan**, ddolan@umassd.edu, X8173.

Lead time is critical to the success of your application, please submit your completed proposal to SPA 3-5 business days prior to the due date, for review and submission to NIH.

Note: font-no smaller than 11; use only: Arial, Helvetica, Gerogia or Palatino Linotype. Margins: 1/2" all around.

Required Document	Document Requirements
ERA Commons ID	− To obtain a user ID contact SPA at X8953
Create a Proposal in Cayuse	− select "Create Proposal" in top banner − Select Grants/gov/Research.Gov − Select "Create Proposal" at bottom of page
PHS 398	− Complete Cover Page
Other Project Information	− Complete the required questions − Include the Project Summary/Abstract, Project Narrative, Bibliography & References Cited, Facilities & Other Resources, Equipment (see individual sections below for details)
Project/Performance Site Location(s)	− Include UMassD's project/performance site location **If off-campus, <u>must</u> specify location of work − Include the project/performance site location for each subaward
Senior/Key Persons Profile	− Complete a profile for each PI, co-investigator, consultant, subawardee, and key/senior personnel involved in your project − eRA Commons ID is required for PI (contact SPA to establish or retrieve your ecommons login/user name)
Budget Forms (Modular or R&R)	− Refer to the funding opportunity to determine the budget to use
Summary/Abstract	− Limited to 30 lines of text
Project Narrative	− Limited to no more than 2 or 3 sentences in layman's terms
Bibliography & References Cited	− All author names are listed and fully written out (i.e. no "et al")
Facilities & Other Resources	− No special form is required − There is no page limit

	− The funding opportunity may ask you to include additional information
Equipment	− Include a document if applicable
Specific Aims	− This document is required unless otherwise stated in the funding opportunity − Follow the page limits
Research Strategy	− Follow the page limits for your funding opportunity − Include the Significance, Innovation and Approach *in the required order*
Biographical Sketch	− Follow the specific NIH guidelines for each sub-section and use the current form; or use the template provided by SPA − PD/PI must include his/her eRA Commons User name − Include the Consultant(s) biographical sketch in current NIH format − This document is limited to 5 pages − You may provide a URL to a full list of your published work. NIH recommends My Bibliography − Refer to your funding opportunity. It may ask you for additional information in this document
Budget Forms	− Modular budgets requesting $250,000 or less per year for direct costs. For all modular budgets, request total direct costs in modules of $25,000 − R&R – budget requesting $250,001 - $300,000 per year for direct costs − Refer to the funding opportunity. It may include additional instructions when completing these forms - *See link to NIH budget development instructions below* − SPA will need a detailed budget for all proposal types - Example below
Subaward/Consortium Budget	− Separate budgets are required for each subawardee/consortium organization, if submitting an R&R budget − Use the budget extracted from your current application. Do not use old budgets, they will error upon submission − When including subawards, SPA strongly suggests utilizing ASSIST for proposal preparation and submission − Name the file using the first ten letters of the consortium organization's name − Files must be in pdf format
Budget Justification	− A Personnel Justification or a detailed Budget Justification are almost always required. Follow the NIH guidelines and the funding opportunity − Consortium Justification is requested for each Subawardee − The funding opportunity may require additional information to be added to this document − See example at end of document
PHS Assignment Request Form	− This form is optional if you don't want your proposal to go to a specific area − However, if you include a cover letter that indicates requested funding or review areas, this form is required

Human Subjects	− Complete this section if you answered "yes" to the question "Are Human Subjects Involved?" on the R&R Other Project Information form
	− Follow the instructions in the SF424 Application Guide and include the following documents:
	   • Protection of Human Subjects
	   • Data Safety Monitoring Plan (if Clinical Trial)
	   • Inclusion of Women and Minorities
	   • Inclusion of Children
	− PHS Inclusion Enrollment Form (see separate instructions, below)

Vertebrate Animals	– Complete this section if you answered "yes" to the question "Are Vertebrate Animals Used?" on the R&R Other Project Information form – Follow the instructions in the SF424 Application Guide
Select Agent Research	– Complete this section if this project involves hazardous biological agents or toxins
Consortium/Contractual Arrangements	– Include this document in this section if you have a subaward/contractual arrangement – See the SF424 Application Guide for required verbiage
Letters of Support	– Attach all appropriate letters of support necessary to demonstrate the support of consortium participants and collaborators such as senior/key personnel and other significant contributors included in the grant application – Consultant letters should include a rate/charge for consulting and level of effort/number of hours per year anticipated – Letters should be combined into one single pdf
Resource Sharing Plan	– Required if requesting $500,000 or more in direct costs **or** if a model organism is anticipated to be developed, **or** if genomic data will be generated
Appendix	– Do not use this section to circumvent page limits – A maximum of 10 PDF attachments is allowed in the appendix – Follow the SF424 Application Guide as to what kind of attachments are allowable
PHS Inclusion Enrollment Report	– Complete the form when Human Subjects are involved

NIH Budget Development: https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/develop-your-budget.htm

Budget Justification Example:

PI - Dr. Jones -$84,946 ($120,000 Base salary) 1.2 Academic months,
YRS 1-5. Dr Jones (has expertise in... and will *(provide a narrative of the work Dr. Jones will complete on this project)*

Co PI - Dr. James -$38,912 ($110,000 Base salary) 1 academic month, YRS 2-4. Dr. James has expertise in...and will...

Graduate Student - $191,129 ($36,000 calendar year stipend) YRS 1-5. Ph.D. candidate will be supervised by...and will...

 Salaries and stipends increase annually at a rate of 3%.
 Current academic year fringe (Sept thru May) rate is 36.27%
 Summer fringe is charged June, July, & August and is a payroll tax at 1.41%

Travel- $16,000, YR 2-3 $5k ea yr for travel to two domestic conferences, Yr 4 $5k for international travel to the XYZ conference scheduled in Switzerland, YR 5 $1k for dissemination at a regional meeting.

Travel expenses are calculated based on current GSA.gov per-diem rates.

Participant Costs - $25,000 YRS 2-5 Costs include xxxxxxxx for approximately xxxx participants...
Participant costs are excluded from MTDC base.

Supplies - $13,000, YR 2-3 $5k ea yr, YR 4-5 $1500 ea yr for disposable lab supplies, xxxxx...

Tuition - $XXX YRS 1-3 , 2 credits per year, $XXX per credit.

Tuition increases 5% annually.
Tuition is excluded from MTDC base.

F&A $234,790 YRS 1-5
The University's approved negotiated indirect rate is 59% through 6/30/2020.

Please add other categories as needed and follow the same format; What, Amount Requested, YRS, description. The amount(s) requested must match your budget page(s).

			# Academic	# Summer	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
A.	**SALARIES & WAGES (Senior Personnel)**	9-month Salary	Months	Months						
	1 Dr. James Jones	120.000	1.20	-	$16.000	$16.480	$16,974	$17,484	S18.008	$84,946
	2 Dr. Jones James	110.000	1.00	-	$0	$12,589	$12,967	$13,356	$0	$38,911
	3 Name	0	-	-	$0	$0	$0	$0	$0	$0
	4 Name	0	-	-	$0	$0	$0	$0	$0	$0
	5 Name	0	-	-	$0	$0	$0	$0	$0	$0
	Total Senior Personnel				**$16,000**	**$29,069**	**$29,941**	**$30,839**	**$18,008**	**$123,858**
		12-month Salaries								
B.	**SALARIES & WAGES (Other Personnel)**									
		# Students	Base Salary	# Calendar Months						
	1 Graduate Student	1	$36,000.00		$36.000	$37.080	$38,192	S39,338	S40,518	$191,129
	2 Undergraduate Student	0	$0.00		$0	$0	$0	$0	$0	$0
	3 Technician/Other Personnel*		$0.00	-	$0	$0	$0	$0	$0	$0
	4 Other Professional*		$0.00	-	$0	$0	$0	$0	$0	$0
	Total Other Personnel				**$36,000**	**$37,080**	**$38,192**	**$39,338**	**$40,518**	**$191,129**
	Total Salaries & Wages				**$52,000**	**$66,149**	**$68,133**	**$70,177**	**$58,526**	**$314,986**
C.	**FRINGE BENEFITS**									
	Fringe (Faculty Academic)	36.27% (34.86% fringe benefits + 1.41% payroll tax)			$10,236	$10,543	$10,860	$11,185	$11,521	$54,345
	Payroll Taxes (Faculty Summer)	1.41%			$0	$0	$0	$0	$0	$0
	Payroll Taxes (Student Summer)	1.41%			$127	$131	$135	$139	$143	S674
	Fringe (Technician)	36.27% (34.86% fringe benefits + 1.41% payroll tax)			$0	$0	$0	$0	$0	$0
	Health & Welfare (Technician/Other Personnel)	eff. 1/1/17 $16.50 p/week			$0	$0	$0	$0	$0	$0
	Total Fringe				**$10,363**	**$10,674**	**$10,994**	**$11,324**	**$11,664**	**$55,019**
	Total Salaries, Wages, & Fringe Benefits				**$62,363**	**$76,823**	**$79,128**	**$81,502**	**$70,190**	**$370,006**
D.	**PERMANENT EQUIPMENT (over $5K per piece of equipment)**									
	1				$0	$0	$0	$0	$0	$0
	2				$0	$0	$0	$0	$0	$0
	Total Equipment				**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
E.	**TRAVEL****									
	Domestic				$0	$5.000	$5,000	$0	$1,000	$11.000
	International Travel				$0	$0	$0	$5.000	$0	$5.000
	Total Travel				**$0**	**$5,000**	**$5,000**	**$5,000**	**$1,000**	**$16,000**
F.	**PARTICIPANT SUPPORT COSTS**									
	Stipends				$0	$7,000	$7,000	$6.000	$5.000	$25,000
	Travel				$0	$0	$0	$0	$0	$0
	Subsistence				$0	$0	$0	$0	$0	$0
	Other				$0	$0	$0	$0	$0	$0
	Total Participant Support Costs				**$0**	**$7,000**	**$7,000**	**$6,000**	**$5,000**	**$25,000**
G.	**Other Direct Costs**									
	1 Materials and Supplies				$0	$5,000	$5.000	$1.500	$1,500	$13,000
	2 Publication Costs/Dissemination				$0	$0	$0	$0	$0	$0
	3 Consultant Services				$0	$0	$0	$0	$0	$0
	4 Computer Services				$0	$0	$0	$0	$0	$0
	5 Other (e.g., sequence sampling)				$0	$0	$0	$0	$0	$0
	6 Subawards (list entities)									
	a.				$0	$0	$0	$0	$0	$0
	b.				$0	$0	$0	$0	$0	$0
	c.				$0	$0	$0	$0	$0	$0
	d.				$0	$0	$0	$0	$0	$0
	Total Subawards				$0	$0	$0	$0	$0	$0
	7 Other	# of students	#of credits	$ p/credit						
	a. Tuition***	1	2	$644	$1.288	$1.352	$1.420	$0	$0	$4.060
		# of students	$ p/semester	# of semesters						
	b. Continuation of Program Fee	0	S250	2	$0	$0	$0	$0	$0	$0
	Total Other				**$1,288**	**$1,352**	**$1,420**	**$0**	**$0**	**$4,060**
	Total Other Direct Costs				**$1,288**	**$6.352**	**$6.420**	**$1,500**	**$1,500**	**$17,060**
H.	**Total Direct Costs**				**$63,651**	**$95,175**	**$97,548**	**$94,002**	**$77,690**	**$428,066**
	MODIFIED TOTAL DIRECT COSTS (MTDC)				**$62.363**	**$86.823**	**$89.128**	**$88.002**	**$72.690**	**$399.006**
I.	**Indirect Costs (58% for FYs 17 & 18; 59% for FYs 19 & 20)**		58%	59%	**$36,171**	**$51,226**	**$52,585**	**$51,921**	**$42,887**	**$234,790**
J.	**Total Amount of this Request**				**$99,822**	**$146.401**	**$150,133**	**$145,922**	**$120,577**	**$662,856**