Checklist
For a Successful NIH Grants.gov Submission

☐ PI has an eRA Commons username (Contact your [Contract & Grant Officer](#) to request a username if needed)

☐ Download the correct Funding Opportunity Announcement (FOA)

☐ I have read the guidelines

AA FORM

1. [AA form](#) has been completely filled out

   ☐ Sponsor is the Agency/Institution where we are getting our money. If it is a subaward, list the sponsor who will provide the funding to UCI. The prime sponsor (i.e., NIH, NSF) is listed under "Type of Award, Prime Sponsor:"

   ☐ Due date is the <u>actual</u> due date not the desired due date

   ☐ Title on AA form matches title in application (SF 424 section 11)

   ☐ Begin and End Dates are consistent with application (SF 424 section 13 and budget pages)

   ☐ Dollar amounts match application (Direct Costs + Indirect Costs = Total) (SF 424 form section 16 and in Research & Related Budget or PHS 398 Modular Budget)

   ☐ All IACUC, IRB and IBC protocols are listed and consistent with your application. (if applicable)

   ☐ If [cost sharing](#) will be provided outside the administering department, please provide a signed letter of commitment from the responsible department official. (Director, chair, dean or vice chancellor of their official designees).

   ☐ If a subaward is included, a complete subaward proposal package has been submitted (letter signed by an Authorized Official, Statement of Work (SOW), budget & budget justification, plus any additional documents required by the sponsor)

   ☐ All appropriate parties have signed the AA form

PROPOSAL PACKET

I. Mandatory Completed Documents for Submission:

1. SF 424 (important sections contain information that may change).

   ☐ Please make sure there are no spaces before or after the text as this will result in an error (Example: should you decide to copy and paste an email address…make sure there are no spaces before the text or additional spaces at the end of the email address).

   ☐ (Box 1) Type of Submission: Make sure you have selected the correct submission type: Typically we only use "Application" (for New, Renewal and Resubmission). And we only use "Change/Corrected" if you are resubmitting a proposal package that had errors and/or warnings.

   ☐ (Box 4) Federal Identifier :
   - **New**: leave this field blank unless you are addressing errors and/or warnings
   - **Renewal**: Put the previous grant # here
   - **Resubmission**: Put the NIH/eRA Commons application ID here (the PI should have the application ID – could you put an example here so they might recognize it?) (e.g.., GM012345)
   - **Change/Corrected Application**: Put the Grants.gov tracking number from the previous submission (e.g., GRANT10123456)

   ☐ (Box 8) Type of Application- Please make sure you have checked the correct type of application:

- New
- Resubmission
- Renewal

☐ (Box 14) Congressional District: 14a. (Applicant) should always be CA-048.
However, the project Congressional District will depend on where the project
will be conducted.
- CA-048: UCI Main Campus
- CA-040: UCI Medical Center
- CA-046: Long Beach VA Medical Center

2. Research & Related Other Project Info:

☐ If Human Subjects are involved, I have done the following:
- Answered whether or not the IRB review is Pending
- Listed the IRB approval date if you have one
- If exempt, have checked the correct level of exemption
- Provided the Human Subject Assurance Number: 00004071

☐ If Vertebrate Animals are involved, I have done the following:
- Answered whether or not IACUC review is Pending
- Listed IACUC approval date
- Provided Animal Welfare Assurance Number: A3416-01

☐ Project Abstract is uploaded as a PDF file (30 lines max)

☐ Project Narrative should include a 2-3 sentence public health relevance statement written in
laymen's terms and uploaded as a PDF file

☐ Bibliography is uploaded as PDF file

☐ All documents are uploaded as PDF files

Please make sure all file names are 25 characters or less and DO NOT include any spaces or special characters.

3. Research & Related Senior/Key Personnel

☐ Organization name for UCI PI and personnel should be "The Regents of the University of California"
(an error will generate if the organization name is longer than 60 characters for any senior/key
person)

☐ PI's eRA Commons username has been listed under Credential, e.g., agency login.

☐ Please make sure the role "Co-PI" is not used anywhere in this section as NIH does not recognize
this title.

☐ Bio sketch is limited to 4 pages

☐ Do not upload Current & Pending Support as this will be requested at the Just-In-Time (JIT) stage
unless specifically required in the Program Announcement.

4. Research & Related Project/Performance Site Locations

☐ This should match the AA form.

5. PHS 398 Cover Page Supplement

☐ Degrees listed should be the same as what is listed in the eRA Commons

☐ For Multi PI projects, new investigator should only be checked if all PIs are new.

6. PHS 398 Research Plan

☐ If submitting a resubmission please ensure that "Introduction to Application" is complete. (Follow
program announcement for page limits.)

☐ #2-5 is limited to 25 pages (refer to Program Announcement for page limit specifications)

☐ # 8-11 must be filled out only if Human Subjects are involved

☐ #12 must be filled out only if Vertebrate animals are involved

☐ #13 must be filled out only if this project involves Select Agents

☐ #14 must be filled out only if this project is being submitted as a Multi PI Plan

☐ #15 must be filled out only if this proposal contains a subcontract or a consultant

☐ #16 Letters of support for all collaborators/other significant contributors, consultants, subaward sites, etc. have been uploaded. These letters need to be reviewed by SPA in order to ensure personnel are categorized correctly.

**Please make sure all file names are 25 characters or less and DO NOT include any spaces or special characters.

7. PHS 398 Checklist

☐ The Type of Application should pre-populate from the SF 424 Form

☐ The Federal identifier should pre-populate from the SF 424 Form

II. Optional Completed Documents for Submission:

REFER TO FOA TO DETERMINE WHICH BUDGET FORM SHOULD BE USED (RESEARCH & RELATED BUDGET OR PHS 398 MODULAR BUDGET.

1. Research & Related Budget

☐ Dates on budget match dates on AA form and SF 424 form.

☐ Person months effort for all personnel are listed on all budget periods. (academic, calendar, summer)

☐ Indirect Cost Type should be Modified Total Direct Cost (MTDC) unless otherwise stated in the program guidelines (or if we have a waiver for the Indirect Costs).

☐ The following information should be listed as the Cognizant Agency info:
   Department of Health and Human Services (DHHS)
   Robert W. Lee (415) 437-7820

☐ Detailed budget justification has been uploaded as a PDF file

☐ Subaward budget(s) and justification(s) have been uploaded in the section R&R Subaward Budget Attachment(s) Form (These attachments should have been sent to the subaward site and returned to you to upload. Please note that if this is a Resubmission, the subaward sites must use the attachment from the new application package, not the old one)

2. PHS 398 Modular Budget

☐ Dates on budget match dates on AA form and SF 424 form.

☐ Indirect Cost Type should be Modified Total Direct Cost (MTDC) unless otherwise stated in the program guidelines (or if we have a waiver for the Indirect Costs).

☐ The following information should be listed as the Cognizant Agency info:
   Department of Health and Human Services (DHHS)
   Robert W. Lee (415) 437-7820

☐ Indirect Cost Rate Agreement date is 7/13/07

☐ Budget justification addresses all Personnel including collaborators, consultants, etc. For each person, provide the name, position, months of effort (except for consultants), and a description of their role on the project.

☐ If there is a consortium (subcontract) on this project, a justification should be uploaded under "Consortium Justification". List the name of the institution with whom we will have a consortium, whether they are domestic or foreign, and the average annual amount of their budget, rounded to the nearest $1000. In addition, list all personnel, providing their name, position, months of effort (except for consultants), and a description of their role on the project.

☐ If the number of modules differs in any year, you must include a justification under "Additional Narrative Justification".

3. R&R Subaward Budget Attachment(s) Form

☐ A completed subaward/consortium budget component (including the budget justification section) has been completed by each consortium grantee organization (Note, a complete subaward/consortium budget component is only required when the prime grantee is submitting a detailed budget using the R&R Budget Component).

☐ When completing the Project Role for the investigator leading the portion of the project at the consortium site, the project role of "PD/PI" should only be used if the entire application is being submitted under the Multiple PI policy. Also, the role of 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 roles of "Co-Investigator" or "Consortium PI", select "Other" for the Project Role field and then insert the appropriate role descriptor in the Other Project Role Category field.

☐ Person months effort (academic, calendar, summer) for all personnel is listed on all budget periods.

4. PHS 398 Cover Letter File

☐ Applicants are encouraged to include a cover letter with the application; however, when you are submitting a Changed/Corrected Application **after** the submission date, a cover letter is **required** explaining the reason for the Changed/Corrected Application. If you already submitted a cover letter with a previous submission and are now submitting a Changed/Corrected Application, you must include all previous cover letter text in the revised cover letter attachment. The system does not retain any previously submitted cover letters until after an application is verified; therefore, you must repeat all information previously submitted in the cover letter as well as any additional information

☐ If the PI has an approved extension to the proposal submission deadline, please phrase the cover letter as a request to submit late.

**Submission of your Grants.gov application package
can only be performed by your SP Officer.**