NIH Fellowship Guide – Forms D

This checklist is meant to be used as a tool and does not replace the detailed requirements for submission information, which are found in the SF424 (R&R) Application Packages – Research Instructions for NIH and Other Agencies


It is strongly recommended that fellowship applicants and sponsors speak with a PHS Program Official for Institute or Center (IC)-specific guidance before preparing the application. These contacts are identified in tables associated with each FOA. In addition, a list of contacts specifically for extramural training at the NIH ICs can be found at https://researchtraining.nih.gov/tac-roster

PI Name: _______________________________________

Title: __________________________________________

A “new’ application must have a different title from any other PHS project submitted for the same application due date 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.

Project Dates: _________________________________


Solicitation: _________________________________


Format Attachments Requirements

• must be in PDF format
• font size must be 11 points or larger (smaller text in figures, graphs, diagrams and charts is acceptable as long as it is legible)
• text color must be black with the following recommended fonts: arial, garamond, georgia, helvetica, palatino linotype, times new roman, verdana
• do not include headers or footers in attachments
• use paper size no larger than standard letter paper size (8.5” x 11”)
• provide at least one-half inch margins (top, bottom, left, right) for all pages

additional formatting information can be found here: http://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/format-attachments.htm
R&R Other Project Information Form

☐ **Cover Letter Attachment** *(no page limit but generally 1 – 2 pages)*
Attach the cover letter, addressed to the Division of Receipt and Referral, in accordance with the announcement and/or the agency specific instructions. Applicants are required to include a cover letter with the competing application that contains a list of Referees (including name, departmental affiliation, and institution). The cover letter should no longer be used for assignment requests. The new PHS assignment form is used for that purpose. Instead the cover letter should be used to relay information such as:
- Reason for late application
- Names of references
- Intent to submit a video as part of the application *(NOT-OD-12-141)*
- Indication that the proposed study will generate large-scale human or non-human genomic data *(NOT-OD-14-111 and NOT-OD-15-027)*

Full instructions pages F-27 & F-28

☐ **Project Summary/Abstract** *(30 lines of text maximum)*
State the application’s broad, long-term objectives and specific aims, making reference to the health relatedness of the project (i.e., relevance to the mission of the agency). Describe concisely the research design and methods for achieving the stated goals.
Full instructions pages F-35

☐ **Project Narrative** *(2 or 3 sentence maximum)*
Using no more than two or three sentences, describe the relevance of this research to public health. Full instructions page F-35 and F-36

☐ **Bibliography & References Cited** *(no page limit)*
Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. When citing articles that fall under the Public Access Policy, were authored or co-authored by the applicant and arose from NIH support, provide the NIH Manuscript Submission reference number or the PubMed Central (PMC) reference number for each article. Full instructions page F-36

☐ **Facilities & Other Resources** *(no page limit)*
Provide in the attachment a detailed description of the institutional facilities and resources available to the Fellowship applicant. The information provided is of major importance in establishing the feasibility of the goals of the fellowship training plan. Describe how the scientific environment in which the research will be done contributes to the probability of success (e.g., institutional support, physical resources, and intellectual rapport). In describing the scientific environment in which the work will be done, discuss ways in which the proposed studies will benefit from unique features of
the scientific environment or subject populations or will employ useful collaborative arrangements. If there are multiple performance sites, describe the resources available at each site. Describe any special facilities used for working with biohazards or other potentially dangerous substances. Full instructions page F-36 and F-37

☐ **Equipment**
List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. Full instructions page F-37

☐ **Other Attachments**
Applications submitted for Individual Predoctoral Fellowships (F31) to Promote Diversity in Health-Related Research are required to attach a Certification Letter (titled Diversity_Eligibility_Ltr) from the institution certifying eligibility of the Fellowship applicant for the program. The Certification Letter must be on institutional letterhead and scanned so that an institutional official signature is visible.

**R&R Senior/Key Person Profile**

Unless otherwise specified in an agency announcement, senior/key personnel are defined as all individuals who contribute in a substantive, meaningful way to the scientific development or execution of the project, whether or not salaries are requested. At a minimum, this would include the Applicant, Mentor and any co-Mentor(s).

Fellowship applicants must be registered in NIH Commons with PI role at Brown University, which can be requested at https://www.brown.edu/research/about-brown-research/policies/era-commons-user-id-request-form

☐ **Biographical Sketch** *(5 page limit)*

*see Appendix B and C for biographical sketch reference sheet*
*Pre-doc and Post-doc instructions and samples can be found here.*
*Sponsors should follow the general Biosketch Format page found here*

**Budget**

Applicants should refer to the NIH/OER Research website (https://researchtraining.nih.gov) for current stipend and other budgetary levels. If new stipend or other payment levels for Kirschstein-NRSA fellowships are announced after the time of application, these amounts will be automatically adjusted at the time of award.
PHS Fellowship Supplemental Form

- **Introduction to Application** *(for resubmission only, 1 page limit)*
  NIH allows a thirty-seven month window for resubmission (only one resubmission is allowed for each new, unfunded application). Include an introduction for all resubmissions that summarizes substantial additions, deletions, and changes to the application and responds to the issues and criticism raised in the summary statement. Full instructions page F-53 and [http://grants.nih.gov/grants/policy/amendedapps.htm](http://grants.nih.gov/grants/policy/amendedapps.htm)

- **Applicant’s Background and Goals for Fellowship Training** *(6 page limit)*
  This attachment is required:
  A. Doctoral Dissertation and Research Experience: Summarize your research experience in chronological order. If you have no research experience, list other scientific experience. DO not list academic courses.
  B. Training Goals and Objectives: Describe your overall training goals for the duration of the fellowship, and explain how the proposed fellowship will enable the attainment of these goals.
  C. Activities Planned Under This Award: Describe, year by year, the activities (research, coursework, etc.) you will be involved in during the proposed award and estimate the percentage of time to be devoted to each activity, based on a normal working day for a full-time fellow as defined by the sponsoring institution; the percentage should total 100 for each year.
  
  Full instructions page F-53 and F-54

- **Specific Aims** *(1 page limit)*
  State precisely the goals of the proposed research and summarize the expected outcome(s), including the impact that the results of the proposed research will exert on the research field(s) involved. List succinctly the specific objectives of the research proposed, e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm or clinical practice, address a critical barrier to progress in the field, or develop new technology. Full instructions page F-54 and F-55

- **Research Strategy** *(6 page limit)*
  Start each section with the appropriate section heading – Significance, Approach. Cite published experimental details in the Research Strategy section and provide the full reference in the Bibliography & References Cited section. Full instructions pages F-55 and F-56

- **Respective Contributions** *(1 page limit)*
  Describe the collaborative process between you and your sponsor/co-sponsor in the development, review, and editing of this research training plan. Discuss the respective roles in accomplishing the proposed research. Full instructions page F-56
Selection of Sponsor and Institution (1 page limit)
Describe the rationale/justification for the selection of the sponsor and institution. Explain why the sponsor, co-sponsor (if any), and institution were selected to accomplish the research training goals. Full instructions pages F-56 and F-57

Progress Report Publication List (renewal applications only)
In the rare instance that you are submitting a renewal application, list the titles and complete references to all appropriate publications, manuscripts accepted for publication, patents, and other printed materials that have resulted from the project since it was last reviewed competitively. Full instructions page F-57

Training in Responsible Conduct of Research (1 page limit)
Document any prior instruction during the applicant’s current career stage, including the inclusive dates instruction was last completed. The plan must address the five, required instructional components outlined in the NIH policy:

1. Format – the required format of instruction, i.e., face-to-face lectures, coursework, and/or real-time discussion groups (a plan with only online instruction is not acceptable)
2. Subject Matter – the breadth of subject matter, i.e., conflict of interest, authorship, data management, human subjects and animal use, laboratory safety, research misconduct, research ethics
3. Faculty Participation – the role of the mentor(s) and other faculty involvement in the instruction
4. Duration of Instruction – the total number of contact hours of instruction
5. Frequency of Instruction – instruction must occur during each career stage and at least once every four years

Full instructions pages F-57 and F-58

See also information on the Graduate and Postdoctoral Studies website:
https://www.brown.edu/about/administration/biomed/graduate-postdoctoral-studies/responsible-conduct-research-rcr

Sponsor and Co-Sponsor Statements (6 page limit)
Create a heading at the top of the first page titled “Section II – Sponsor and Co-Sponsor Statements” and complete the following items as comprehensively as possible:

A. Research Support Available: In a table, list all current and pending research and research training support specifically available to the applicant for this particular training experience. Include funding source, complete identifying number, title of the research or training program, and name of the principal investigator, dates and amount of the award. If the sponsor’s research support will end prior to the end of the proposed training period, the sponsor should provide a contingency plan for how the fellow’s research will be supported. Include this information for any co-sponsor as well.
B. Sponsor’s/Co-Sponsor’s Previous Fellows/Trainees: Give the total number of predoctoral and postdoctoral individuals previously sponsored. Select up to five that are representative and, for those five, provide information on time spent in the lab, their present employing organizations and position titles or occupations. Include this information for any co-sponsor as well.

C. Training Plan, Environment, Research Facilities: Describe the research training plan that you have developed specifically for the Fellowship applicant. The training plan should be individualized for the applicant, keeping in mind the candidate’s strengths and any gaps in needed skills, and should be designed to enhance both research and clinical training (if applicable).

D. Number of Fellows/Trainees to be Supervised During the Fellowship: Indicate whether pre- or postdoctoral. Include this information for any co-sponsor as well.

E. Applicant’s Qualifications and Potential for a Research Career: Describe how the Fellowship applicant is suited for this research training opportunity based on his/her academic record and research experience level, including how the research training plan and your own expertise as the sponsor will assist in producing an independent researcher.

Full instructions pages F-58 and F-59

☐ Letters of Support from Collaborators, Contributors, and Consultants (6 page limit)
Attachments may be provided (if applicable) by collaborators, consultants, advisors, etc. Relevant information applicable to the fellow’s planned research training and future goals may be provided by any contributor or advisor via an attachment.

☐ Description of Institutional Environment and Commitment to Training (2 page limit)
The sponsoring institution must document a strong, well-established research program related to the candidate’s area of interest, including the names of key faculty members relevant to the candidate’s proposed developmental plan. Referring to the resources description, indicate how the necessary facilities and other resources will be made available for career enhancement as well as the research proposed in this application. Describe opportunities for intellectual interactions with other investigators, including courses offered, journal clubs, seminars, and presentations.

Additional Educational Information (required for F30 and F31 applications): Describe the institution’s dual-degree (F30) or graduate (F31) program in which the applicant is enrolled, i.e., the structure of the program, required milestones and their usual timing (number of course, any teaching commitments, qualifying exams, etc.) and the average time to degree over the past 10 years. Describe the progress/status of the applicant in relation to the program’s timeline, and the frequency and method by which the program formally monitors and evaluates a student’s progress. This information is typically provided by the director of the graduate program or the department chair. Include the name of the individual providing this information at the end of the description.

Full instructions page F-59 and F-60
**Protection of Human Subjects**
Complete this section if you answered “yes” to the question “Are human subjects involved?”. If the answer is “no” to the question but your proposed research involves human specimens and/or data from subjects you must provide a justification in this section for your claim that no human subjects are involved. Full instructions page F-61 and Supplemental Instructions, Part II Section 4.1, [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf)

**Data Safety Monitoring Plan**
Complete this section if you answered “yes” to Item 1, Clinical Trial. Refer to Supplemental Instructions, Part II Section 4.1, [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf)

**Inclusion of Women and Minorities**
This section is required for applicants answering “yes” to the question “Are human subjects involved?” and the research does not fall under Exemption 4. Refer to Supplemental Instructions, Part II Section 4.1, [http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf)

**Inclusion of Children**
This section is required for applicants answering “yes” to the question “Are human subjects involved?” and the research does not fall under Exemption 4. Refer to Supplemental Instructions, Part II (Section 4.1, 4.4, 5.7), [http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf](http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf)

**Vertebrate Animals**
Complete this section if you answered “yes” to the question “Are Vertebrate Animals Used?” If Vertebrate Animals are involved in the project, address each of the following criteria listed below:

1. **Description of Procedures**: Provide a concise description of the proposed procedures to be used that involve vertebrate animals in the work outlined in the Research Strategy section. Identify the species, stains, ages, sex, and total numbers of animals by species, to be used in the proposed work.
2. **Justifications**: Provide justification that the species are appropriate for the proposed research. Explain why the research goals cannot be accomplished using an alternative model (e.g., computational, human, invertebrate, in vitro).
3. **Minimization of Pain and Distress**: Describe the interventions including analgesia, anesthesia, sedation, palliative care and humane endpoints to minimize discomfort, distress, pain and injury.

Select Agent Research
If any of the activities proposed in your application involve the use of select agents at any time during the proposed project period (list of agents: http://www.selectagents.gov/), either at the applicant organization or at any other performance site, address the following three points for each site at which select agent research will take place:
1. Identify the select agent(s) to be used in the proposed research.
2. Provide the registration status of all entities where select agent(s) will be used.
3. Provide a description of all facilities where the select agent(s) will be used.

Resource Sharing Plan
When resources have been developed with NIH funds and the associated research findings published or provided to NIH, it is important that they be made readily available for research purposes to qualified individuals within the scientific community. See Supplemental Instructions, Part III 1.5, http://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf

Authentication of Key Biological and/or Chemical Resources (limit 1 page)
Do not include an attachment in this field; this is not yet required for Fellowship applications.

Appendix
A maximum of 10 PDF attachments is allowed in the appendix. Do not use the appendix to circumvent the page limits of the Research Strategy or any other section of the application for which a page limit applies. Full instructions page F-68 and F-69

Reference Letters
Applicants for Fellowships must obtain reference letters in support of their application. Referees must submit these letters by the application deadline in order to be considered as part of the application. At least three, but no more than five, reference letters are required. The letters should be from individuals not directly involved in the application, but who are familiar with the applicant's qualifications, training and interests (the sponsor/co-sponsor(s) of the application cannot be counted toward the three required references). See also http://grants.nih.gov/grants/how-to-apply-application-guide/submission-process/reference-letter.htm
**PHS Inclusion Enrollment Report**

The PHS Inclusion Enrollment Report form is used for all applications involving NIH-defined clinical research. This form is used to report both planned and cumulative (or actual) enrollment, and describes the sex/gender, race, and ethnicity of the study participants. Full instructions page R-78, additional information Supplemental Instructions, Part II Section 4.3, [https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf](https://grants.nih.gov/grants/how-to-apply-application-guide/forms-d/supplemental-instructions-forms-d.pdf)

**PHS Assignment Request Form**

The optional Assignment Request Form may be used to communicate specific application assignment and review requests to the Division of Receipt and Referral (DRR) and to Scientific Review Officers (SROs). This information was previously collected in the Cover Letter Attachment, but now this optional information must be provided on the Assignment Request Form and not in the Cover Letter Attachment. Full instructions pages F-73 and F-74
NIH Fellowship Checklist – Forms D

☐ Cover Letter (required, generally 1 – 2 pages)
☐ Project Summary/Abstract (30 lines of text maximum)
☐ Project Narrative (2 or 3 sentences maximum)
☐ Bibliography & References Cited
☐ Facilities & Other Resources
☐ Equipment
☐ Other Attachments (Certification Letter for F31 Diversity proposals)
☐ Biographical Sketches – applicant and sponsor/co-sponsor(s) (5 page limit)
☐ Introduction to Application (for resubmission only, 1 page limit)
☐ Applicant’s Background and Goals for Fellowship Training (6 page limit)
☐ Specific Aims (1 page limit)
☐ Research Strategy (6 page limit)
☐ Respective Contributions (1 page limit)
☐ Selection of Sponsor and Institution (1 page limit)
☐ Progress Report Publication List (renewal applications only)
☐ Training in Responsible Conduct of Research (1 page limit) see Graduate and Postdoctoral Studies website: https://www.brown.edu/about/administration/biomed/graduate-postdoctoral-studies/responsible-conduct-research-rkr
☐ Sponsor and Co-Sponsor Statements (6 page limit)
☐ Letters of Support from Collaborators, Contributors, and Consultants (6 page limit)
☐ Description of Institutional Environment and Commitment to Training (2 page limit)
☐ Protection of Human Subjects (if human subjects involved)
☐ Data Safety Monitoring Plan (if clinical trial)
☐ Inclusion of Women and Minorities (if human subjects involved)
☐ Inclusion of Children (if human subjects involved)
☐ Vertebrate Animals (if vertebrate animals used)
☐ Select Agent Research (if application involves the use of select agents)
☐ Resource Sharing Plan
☐ Appendix
☐ Inclusion Enrollment Report
☐ Assignment Request Form
☐ Reference Letters (submitted via eRA Commons)
Appendix A – NIH Postdoctoral Biographical Sketch Reference Sheet

NIH Postdoctoral Biographical Sketch Reference Sheet

Biosketch The biographical sketch may not exceed five pages and follows the format below. Pre-doc and Post-doc instructions and samples can be found here.

A. Personal Statement
- Briefly describe why you are well-suited to receive the award for which you are applying.
- Identify up to four peer-reviewed publications that specifically highlight your experience and qualifications for this project.
- If you wish to explain impediments to your past productivity, you may include a description of factors such as family care responsibilities, illness, disability, and active military service.
- Diversity Supplement Candidates Only: In addition to the information outlined above, include a description of your general scientific achievements and/or interests, as well as your specific research objectives and career goals. Indicate any source(s) of current funding.

B. Positions and Honors
- List in chronological order all non-degree training, including postdoctoral research training, all employment after college, and any military service.
- State the activity/Occupation and include start/end dates, field, name of institution/company, and the name of supervisor/employer.
- List any academic and professional honors that would reflect upon your potential for a research career and qualifications. Include all scholarships, traineeships, fellowships, and development awards. Indicate source of awards, dates, and grant or award numbers. List current memberships in professional societies, if applicable.

C. Contribution to Science
- Considering your level of experience, briefly describe your most significant contributions to science. While all applicants may describe up to five contributions, graduate students and postdoctorates are encouraged to consider highlighting two or three they consider most significant. These may include research papers, abstracts, books chapters, reviews, as well as non-publication research products, such as materials, methods, models or protocols.
- For each contribution, you may reference up to four peer-reviewed publications or other non-publication research products that are relevant to the described contribution.
- The description of each contribution should be no longer than one half page including figures and citations.
- Provide a URL to a full list of your published work as found in a publicly available digital database such as MyBibliography

D. Scholastic Performance
- Using the chart provided, list by institution and year all undergraduate courses and graduate scientific and/or professional courses germane to the training sought under this award with grades. In the space following the chart, explain any marking system if other than 1-100, A, B, C, D, F, or 0-4.0 if applicable. Show levels required for a passing grade.
Appendix B – NIH Predoctoral Biographical Sketch Reference Sheet

NIH Predoctoral Biographical Sketch Reference Sheet

The biographical sketch may not exceed five pages and follows the format below. Pre-doc and Post-doc instructions and samples can be found here.

A. Personal Statement
- Briefly describe why you are well-suited to receive the award for which you are applying.
- Identify up to four peer-reviewed publications that specifically highlight your experience and qualifications for this project.
- If you wish to explain impediments to your past productivity, you may include a description of factors such as family care responsibilities, illness, disability, and active military service.
- Diversity Supplement Candidates Only: In addition to the information outlined above, include a description of your general scientific achievements and/or interests, as well as your specific research objectives and career goals. Indicate any source(s) of current funding.

B. Positions and Honors
- List in chronological order all non-degree training, including postdoctoral research training, all employment after college, and any military service.
- State the activity/Occupation and include start/end dates, field, name of institution/company, and the name of supervisor/employer.
- List any academic and professional honors that would reflect upon your potential for a research career and qualifications. Include all scholarships, traineeships, fellowships, and development awards. Indicate source of awards, dates, and grant or award numbers. List current memberships in professional societies, if applicable.

C. Contribution to Science
- Considering your level of experience, briefly describe your most significant contributions to science. While all applicants may describe up to five contributions, graduate students and postdoctorates are encouraged to consider highlighting two or three they consider most significant. These may include research papers, abstracts, books chapters, reviews, as well as non-publication research products, such as materials, methods, models or protocols.
- For each contribution, you may reference up to four peer-reviewed publications or other non-publication research products that are relevant to the described contribution.
- The description of each contribution should be no longer than one half page including figures and citations.
- Provide a URL to a full list of your published work as found in a publicly available digital database such as MyBibliography

D. Scholastic Performance
- Using the chart provided, list by institution and year all undergraduate and graduate courses with grades. In addition, in the space following the chart, explain any marking system if other than 1-100, A, B, C, D, F, or 0-4.0 if applicable. Show levels required for a passing grade.