RAS Checklist: NIH Director's New Innovator Award Program (DP2)

- ✓ Read the solicitation: **RFA-RM-23-005**
- ✓ Proposal must be submitted by grants.gov by 5 p.m. local time on **August 18, 2023**
- ✓ In all cases the SF 424 and instructions in the RFA takes precedence over these guidelines.
- ✓ Applicants must meet the definition of Early Stage Investigator. *An ESI is a PD/PI who has completed their terminal research degree or end of post-graduate clinical training, whichever date is later, within the past 10 years and who has not previously competed successfully as PD/PI for a substantial NIH independent research award*.
- ✓ PI's still in training or mentored status (such as postdoctoral fellows) are not eligible unless they have a written commitment from the institution stating they will be in an independent faculty position by 9/1/24. The commitment is certified by the institution's submission of the application.
- ✓ PI must commit at least 3 person months (25%) of their research effort to activities supported by this award.

REQUIRED COMPONENTS:

SF424 (R&R):
- Field 4b Federal Identifier – [*in KC = Agency Routing Identifier*]: Designate two scientific areas, a primary and secondary, from the list in the Program Announcement. For each of the two science area designations enter the one-digit code followed by one space and then the corresponding abbreviation. Enter the primary area first and secondary area second. Separate the two entries by a semicolon. (Note, these codes are also used included at the beginning of the Essay.)
- Field 8 Type of Application – Must be "new"
- Field 13 Proposed Project – The start date should be September 1, 2024 and the end date should be August 31, 2029.
- **Field 15a.** Total Federal Funds Requested: Enter $1,500,000 **+ related F&A**
  Field 15b. Total Non-Federal Funds: Enter $0.
  Field 15c. Total Federal & Non-Federal Funds: Enter $1,500,000 **+ related F&A**
  Field 15d. Estimated Program Income: Enter $0.
  Note: The Budget Request is entered only on Lines 15a and c, as described above.

Project/Performance Site Location(s) – complete and submit.

SF 424(R&R) Other Project Information Component
- Field 7: Project Summary/Abstract: summary of the proposed activity suitable for dissemination to the public. This section must be no longer than 30 lines of text
- Field 8: Project Narrative: Using no more than two or three sentences, describe the relevance of this research to public health.
- Field 9: Bibliography & References Cited: **DO NOT USE**. Not required, but may be included in the essay and are included in the ten-page limit
- Field 10. Facilities & Other Resources: Upload a brief statement (1 page maximum) of the facilities to be used for the conduct of the research.
- Field 11: Equipment: DO NOT USE.
- Field 12: Other Attachments: DO NOT USE

SF 424(R&R) Senior/Key Person Profile Expanded Component
All instructions in the SF424 (R&R) Application Guide must be followed, with the following modifications:
- **Profile – PD/PI – Attach Biographical Sketch**: Attach PD/PI's biographical sketch, follow instructions on the SF424 (R&R) application guide.
- **Profile – PD/PI – Attach Current and Pending Support**: Attach a list of Current and Pending Support from all sources, including current year direct costs and effort devoted to each project.

No biographical sketches of potential collaborators or other key personnel are to be submitted and will not be accepted. Information on potential collaborators is not required but may be included in the Essay.

R&R Budget: *(Note, this is a new format)*
- The first segment (9/1/2024 – 8/31/2027), the total direct cost must not exceed $900,000.
- The second segment (9/1/2027 – 8/31/2029), the total direct cost must not exceed $600,000.

Itemized budget information is not required and will not be accepted. Instead, a total requested direct cost amount for each annual budget period, including requests for equipment purchase, is required.

Some basic information must be completed for NIH to successfully process the budget form. For each of the five annual budget periods:

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1. Select the appropriate Budget Type.

2. Provide the Budget Period Start Date and End Date – September 1 of one year and August 31 of the next calendar year, respectively.

3. Make sure Block 15 on the SF424 reflects the sum of Direct Costs plus F&A for the project.

4. Section A: Senior/Key Persons provide an entry for the PD/PI, including the appropriate level of effort, and enter $0 for Requested Salary and $0 for Fringe Benefits. Entering $0 does not imply that the PD/PI will not receive any salary or fringe benefit support from the grant.

5. In Section C: Enter the budget for any requested equipment. Provide justification using the Budget Justification.

6. In Section F: Other Direct Costs add a line item titled 'Requested Direct Costs' and provide the total direct cost request for that budget period. If equipment is requested in Section C, do not add the equipment budget in Section F. If consortium/contractual costs are requested, include only the direct costs (do not include associated F&A).

7. Ensure that the two budget constraints described above are met.

Budget Justification: Use to provide justification only for requested equipment. Provide a description of the equipment and its intended use in the research project. Also use the Budget Justification to explain any adjustments to the F&A cost, such as exclusions for equipment or additions for consortium/contractual costs

PHS 398 Research Plan
All instructions in the SF424 (R&R) Application Guide must be followed, with the following additional instructions:

Research Plan Attachments
- Introduction to Application: DO NOT USE
- Specific Aims: DO NOT USE.
- Research Strategy **--** Submit an essay of <u>no more than 10 pages</u> organized as follows:
    1. *Project science areas*: Provide 1-digit code and abbreviation for primary and secondary science areas at beginning of essay – same as "Agency Routing Identifier" information.
    2. *Project Description*
    3. *Innovativeness*
    4. *Investigator qualifications*
    5. *Suitability for the New Innovator Project*
    6. *Statement of Commitment (*will commit a minimum of 25% research effort to the project)
    Note: Any bibliographic citations provided must fit within the ten-page limit. Letters of collaboration will not be accepted. Information on collaborators may be included in the Essay and their names and affiliations should be listed in the PHS Assignment Request Form

- Progress Report Publication List -- DO NOT USE
- Select Agent. Complete if necessary, see Application Guide.
- Multiple PD/PI Leadership Plan – Do not use, not allowed.
- Consortium/Contractual Arrangements – Do not use.
- Letters of Support – Do not use, not allowed
- Resource Sharing - Individuals are required to comply with the instructions for the Resource Sharing Plans as provided in the SF424 (R&R) Application Guide. For this FOA, the Resource Sharing Plan will be expected as Just in Time information if an award is being considered.
- All applicants planning research (funded or conducted in whole or in part by NIH) that results in the generation of scientific data are required to comply with the instructions for the Data Management and Sharing Plan. **All applications, regardless of the amount of direct costs requested for any one year, must address a Data Management and Sharing Plan**.
- Appendix – Do not use

PHS Assignment Request Form
All instructions in the SF424 (R&R) Application Guide must be followed with the following modification. Since all applications are received as "Office of the Director" applications and are reviewed by a single Special Emphasis Panel, applicants should not request assignment to a particular review panel or awarding component. Since letters of collaboration and biosketches of collaborators are not allowed, provide the names of collaborators here to identify them for exclusion during reviewer assignment.

HS Human Subjects and Clinical Trials Information

When involving NIH-defined human subjects research, clinical research, and/or clinical trials (and when applicable, clinical trials research experience) follow all instructions for the PHS Human Subjects and Clinical Trials Information form in the SF424 (R&R) Application Guide.

If you answered "Yes" to the question "Are Human Subjects Involved?" on the R&R Other Project Information form, you must include at least one human subjects study record using the Study Record: PHS Human Subjects and Clinical Trials Information form or Delayed Onset Study record

Helpful Links:

http://grants.nih.gov/grants/forms_page_limits.htm
https://grants.nih.gov/grants/how-to-apply-application-guide.html#sub
https://commonfund.nih.gov/newinnovator/faq
https://commonfund.nih.gov/newinnovator
Webinar: https://commonfund.nih.gov/newinnovator/webinar