**MSPH Pre-award Application Checklist**

*These are the items that are required for SPA's review with a copy of the program announcement or RFA.*

**Federal, Columbia University and MSPH requirements:**

\* Annual Conflict of Interest form electronically filed in RASCAL (All personnel)

\* RASCAL Training on Financial Conflicts of Interest and Research for PHS Researchers TC1450 or TC1451 and TC1455 Refresher (All personnel involved in design and implementation of the project)

\* Passed the protection of human research participant certification exam TC0087 (All research personnel if project involves human subject activities)

\* Passed the HIPAA certification TC0019

\* For PHS applications, Principal Investigator(s) must have an eRA Commons username.

\* Pre-award Assessment of the Proposed Subawards Form (if subcontractor costs are 50% or more of total project costs)

\* Subrecipient/Contractor Classification Form (if there are subcontracts and consultants listed in the project)

\* The International Research and Service Projects Risk Management Questionnaire (if any of the project activities will be carried outside the Country)

\* Sponsored Project Decision Analysis Worksheet (for low IC grants; rate used is different from NICRA on & off campus rates)

\* New hire or promotion confirmation memo (for proposed personnel under recruitment or promotion process)

\* PI eligibility letter (if proposed PI is below rank of CU PI Eligibility)

\* Cost share letter for any proposed costs which we are not requesting the sponsor to cover.

\* Limited submission approval from ORI if applicable

**Application Sample items from NIH, PHS and Other Type of Agencies Attached N/A**

\*Copy of the RASCAL Proposal Tracking Form

\*Copy of supporting documentation & memos

\*Consultant and/or other agency letter of collaboration/support (letter should include title of project, period of performance, cost rate per day or per hour, brief scope of work and signature)

\*Consultant Conflict of Interest Disclosure Form (if considered Key Personnel)

\*Application Face Page (Cover)

 SF424 R & R form or

 CU cover page

\*PHS 398 Cover Page Supplement Form

\*Research & Related Other Project Information Form:

 Human and Vertebrate questions

Project Summary/Abstract

Project Narrative

Bibliography & References Cited

Facilities & Other Resources

Equipment

Other Attachments

\*Project/Performance Site Location(s) Form

\*Research & Related Senior/Key Person Profile Form

Biographical Sketch for Key Personnel

\*Detail Budget for Entire Project Period \*Budget Justification

\*Research Plan (Scientific Narrative)+

Introduction of Application (for resubmission or revision only)

Specific Aims

Research Strategy

Progress Report Publication List

Vertebrate Animals

Select Agent Research

Multiple PD/PI Leadership Plan

Consortium/Contractual Agreements

Letter(s) of Support

Resource Sharing Plan

Appendix

\*PHS Human Subjects and Clinical Trials Information

\*PHS Assignment Request Form

\*Checklist

\*Representations and Certifications

\*Consortium/Subcontract Packet

Subcontract Proposal Facesheet

Budget

Justification

Scope of Work

Biographical Sketch for Key Personnel

Copy of their indirect and fringe rate agreement

Subrecipient Financial Conflict of Interest Form/Certification or FDP Database Confirmation

+For initial review, we just need a DRAFT of the research plan. We are only checking for animals, human subjects and other institutional involvement/collaboration.

(Please review section below for “Helpful Tips and Links”)

**1. Preparatory Steps**

* Visit funding agency website to ensure sure you understand the goals, missions, and priorities of the agency to which you are applying.
* Read the agency’s program announcement or RFP and the SF424 instructions, if applicable, for specific requirements.
* For PHS applications, PIs must be registered with eRA Commons [https://commons.era.nih.gov/commons/index.jsp]
* PI should ensure profile is accurate and up-to-date.
* Ensure that Conflict of Interest Disclosure is up-to-date for all personnel involved with proposed project (update this within RASCAL).
* Ensure that all personnel involved with your proposed project have completed HIPAA and all other required training/certifications. (These can be completed using RASCAL’s “Training Center” options)
* Complete RASCAL Proposal Tracking Form [https://www.rascal.columbia.edu]
* Contact all Approvers who must sign off on RASCAL proposal tracking form. E-mail all those required to sign off on your proposal early on, alerting them that they will need to do this. (Provide them with an estimated deadline by which they will have to sign off). This includes Presbyterian Hospital & affiliated institutions, if applicable.
* Obtain all supporting documentation & memos (i.e., in-kind memos, promotion or salary increase memos, new hire memo, Indirect Cost Decision Analysis Tool, International Risk Assessment Questionnaire, Sub V Contractor Form, Pre-award Assessment of the Proposed Subawards From).
* If there are Subcontractors or consultants to be involved, ensure to receive all required documentation ahead of time ( subs package, FCOI certifications etc)

**2. SF 424 Cover Page**

* Confirm that Project Title is correct. For NIH and other PHS agencies, the maximum title length is 200 characters, including spaces and punctuation marks.
* Double check that project period dates match those found in the budget.
* Check that Total Estimated Project Funding matches the numbers in the budget pages.

**3. Other Project Information**

* PHS 398 Cover page Supplement Form – This form is used for all grant applications except fellowships.
* Project Summary/Abstract (no more than 30 lines of text).
* Project Narrative (no more than 3 sentences).
* Facilities and other Resources - Please make sure that resource page includes:
	1. description of facilities to be used and their capacities (as relevant to the project)
	2. description of how the scientific environment in which the research will be performed contributes to the probability of success of the project
	3. for Early Stage Investigators, description of institutional investment in the success of the investigator
	4. Resources for all sites, including sub-recipient
* Check Bibliography & References cited for any errors. (This is a separate attachment.)
* Ensure that all documents are converted to PDF format before they are uploaded, removing all bookmarks, headers and footers. Ensure that all pages are exactly 8.5x11.

**4. Research and Related (Senior/Key Personnel Profile)**

* Check biosketches for all personnel and ensure it’s in the latest required format and no more than 5 pages.
* Check that all biosketches are up-to-date and relevant to the proposed project - especially personal statements.
* Ensure that there are no more than five of your most significant contributions listed in biosketches.
* Ensure that a link to their NCBI library is included and accessible.
* Note: Each subcontract needs to have a PI. If your submission has a subcontract make sure you designate one of the personnel as the PI on the contract.
* Ensure to enter the eRA Commons username under “Credential, e.g., agency login.” PIs must provide this information to the business office.
* Ensure that all documents are converted to PDF format before they are uploaded.

**5. Budget Pages**

* Check all numbers.
* Confirm that monetary values and categories on budget pages and justification match.
* Check that correct indirect cost (IC) rate has been used. Access Information on the institution IC rates **http://spa.columbia.edu/proposals/institutional-information**
* If there are subcontracts, ensure that IC is applied only to the first $25,000 of each subcontract.
* Check that correct fringe rate has been used. Information on the institution fringe rates can be found at http://spa.columbia.edu/proposals/institutional-information.
* Confirm that the bottom line (total costs, both direct and indirect) is within any funding limits set forth in funding announcement.
* Ensure that person-months are correct. To calculate person-months for personnel on the budget, multiply months in project period (e.g., 12 months for a year-long project) by the percent effort for each personnel. For example, an individual who is on a year-long project for 20% effort will be on for 2.4 person months.
* Upload the justification. **Note: subcontracts/consortiums need a separate justification**. Make sure that all attachments are in PDF format.

**6. PHS 398 Research Plan**

* Upload all applicable documents in PDF format, including the following:
	1. Introduction (for resubmissions or revision only) – no more than 1 page
	2. Specific Aims- - no more than 1 page.
	3. Research Strategy - check the program announcement or RFP for page limits.
	4. Progress Report Publication List
	5. Vertebrate Animals
	6. Select Agent Research
	7. Multiple PD/PI Leadership plan
	8. Consortium/Contractual Arrangements Description (required for subcontracts)
	9. Letters of support- ensure that all letters are included
	10. Resource Sharing Plan (if applicable)
	11. Appendix (ensure it conform to sponsor/RFA guidelines)
	12. Human Subjects and Clinical Trials Information

**7. Final Text**

* Ensure that font size and type meet requirements and are consistent throughout all text. (For NIH and other PHS agencies, use Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 11 points or larger.)
* Ensure page and margin size are correct and consistent. For NIH and other PHS agencies, use standard paper size (8 ½" x 11) and at least one-half inch margins (top, bottom, left, and right) for all pages. (Do not include any information in the margins, including the PI’s name or page numbers.)
* Check formatting (e.g., subtitles, sections, spacing, references, labeling of figure, etc.) for consistency and clarity.
* Specific Aims: Ensure that PHS applications are not longer than 1 page. .
* Compare list of collaborating organizations and individuals with those in letters of support received.
* Double check that text conforms to page limits. Page limits vary by grant type (e.g., R03 Research Strategy - 6 pages, R01 Research Strategy- 12 pages).
* Compare project timeline with project period in budget - is it reasonable?
* Ensure that all documents are converted to PDF format before they are uploaded.

**8. Mailman School of Public Health Research Administration Review Process** (PLEASE DO NOT PROVIDE ORIGINALS AT THIS TIME):

* Seven business days prior to the application due date, the Department Administrator will provide a copy of the entire application and supporting documentation to the Mailman School RA for their review. Please see RA Review Checklist.
* MSPH RA will provide their comments to the Department Administrator. These revisions should be addressed and returned immediately to RA for final review and approval.

**Helpful Tips & Links:**

1. Student tuition remission, equipment, charges for patient care, rental costs of off-site facilities and the portion of each subcontract in excess of $25,000 is excluded from indirect cost calculation on federal applications.

2. “Equipment" is defined as an item having a unit value of $5,000 as well as a useful life of two or more years. It is important to adhere to this definition when preparing sponsored project budgets. Many agencies, including all federal government agencies, do not allow indirect costs to be charged on equipment. Items costing between $500 and $4,999 are considered "supplies" or "minor equipment" and indirect cost will be charged against them.

3. All attachments for electronic PHS applications must be provided in PDF format, filenames must be included with no spaces or special characters, and a .pdf extension must be used.

4. To obtain an eRA Commons or Fastlane username please send e-mail to the SPA Business Systems Unit **[SPA-ebiz@columbia.edu]**

5. Information on “Who may be listed as Principal Investigator?”

**[http://www.columbia.edu/cu/vpaa/handbook/obligations.html]**

6. Information on Early Stage Investigators

**[http://grants.nih.gov/grants/new\_investigators/index.htm#earlystage]**

7. Institutional information for applications:

1. Official name – The Trustees of Columbia University in the City of New York
2. Private, Non-Profit, 501(c)(3)
3. Congressional District: NY-013
4. DUNS number for Medical Center: 621889815
5. Institutional Profile No. for Medical Center: 1833205
6. TIN or EIN: 13-5598093
7. Cage Code for Medical Center: 3FHD3
8. Human Subject Federal Wide Assurance Number for Medical Center: FWA# 00002636, expiration January 25, 2023.
9. Laboratory Animals Welfare Assurance Number for Medical Center: A3007-01, expiration July 31, 2021.
10. Additional institutional information can be obtained from the Office of Sponsored Projects Administration website **[http://spa.columbia.edu/proposals/institutional-information]** or the Sponsored Projects Handbook **[http://sponsoredprojectshandbook.columbia.edu/]**

8. Resources for the adobe transition can be found on:

1. NIH Electronic Submission of Grant Application website: http://grants.nih.gov/grants/ElectronicReceipt/index.htm
2. Grants.gov Website (Applicant Resources): [http://grants.gov/applicants/app\_help\_reso.jsp]

9. InfoEd: http://infoed.columbia.edu

10. SF 424 (R&R) Application Guide for NIH and other PHS agencies: <http://grants.nih.gov/grants/funding/424/index.htm#inst>

<http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf>