

**To:** Active NIH PI's  
**From:** Carol Sprague, Director  
**Subject:** Clarifications of instructions for submitting publications as appendix materials to NIH

## Clarification of Instructions Regarding Inclusion of Publications as Appendix Materials

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-053.html>

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Notice Number: NOT-OD-06-053

### Key Dates

Release Date: March 28, 2006

### Issued by

National Institutes of Health (NIH), (<http://www.nih.gov>)

The purpose of this Notice is to clarify the recently announced new approach and policy regarding the inclusion of publications as Appendix materials in NIH grant applications (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-051.html>). Clarifications have been highlighted in a different color. Applicants should now provide links to the on-line journal article or the NIH PubMed Central (PMC) submission identification number for publications listed in the appendix, whenever possible. This policy applies to all grant mechanisms for which publications are acceptable Appendix material, regardless of which application form is used (e.g., PHS 398, SF424 (R&R), PHS 416-1) or the mode of submission (paper or electronic). *Note:* Not all grant mechanisms allow the inclusion of publications.

Effective for applications intended for the May 10, 2006 submission date and beyond, the NIH standard policy regarding the inclusion of publications as acceptable Appendix material in grant applications is described below.

The Appendix **may include** publications, manuscripts (*accepted* for publication), abstracts, patents, or other printed materials directly relevant to the proposed project. Applicants should refer to instruction guides and specific Funding Opportunity Announcements (FOAs) to determine the appropriate limit on the number of publications that may be submitted for a particular program. Specific FOAs should also be reviewed for any additional program-specific guidance on Appendix material and other application requirements. The Appendix **may not include** manuscripts *submitted* for publication.

- **Publications in press:** Include only a publication list with a link to the publicly available on-line journal article or the NIH PubMed Central (PMC) submission identification number. Do not include the entire article.
- **Manuscripts accepted for publication but not yet published:** The entire article may be submitted electronically as a PDF attachment for applications using electronic submission [e.g., the SF424 (R&R)], or as hard copy documents for mechanisms still using paper submission (e.g., the PHS398 or PHS 416-1).
- **Manuscripts published but a publicly available online journal link is not available:** The entire article may be submitted electronically as a PDF attachment for applications using electronic submission [e.g., the SF424 (R&R)], or as hard copy documents for mechanisms still using paper submission (e.g., the PHS398 or PHS 416-1).

Note at this time no changes are being made to the other Appendix components:

- Surveys, questionnaires, data collection instruments, clinical protocols, and informed consent documents.
- No images may be included in the Appendix that are not also represented within Items 2-5 of the Research Plan, or Items a-d of the PHS 398.

Applicants are cautioned not to use the Appendix to circumvent the page limitations of the Research Plan. An application that does not observe the relevant policies and procedures may be delayed in the review process. Applicants are reminded to review specific FOAs for any additional program-specific guidance on Appendix material and other application requirements.

Application instructions for the PHS 398, SF424 (R&R), and PHS 416-1 will be revised to reflect this new policy for inclusion of publications in Appendix

Inquiries

Please direct inquiries regarding this Notice to:

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