

# Annotated Form Set for NIH Grant Applications

\* FORMS-D Series



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### NOTES:

- The Funding Opportunity Announcement (FOA) and associated application guide remain the official documents for defining application requirements. This resource is meant to complement, not replace, those documents.
- NIH application packages include a subset of the forms included in this resource. You will only need to complete the forms provided to you with a specific FOA.
- This resource displays the forms as they would show if you use Grants.gov's downloadable forms option for submission, but the same forms, form fields and guidance apply regardless of submission option even if the display is slightly different.
- Don't forget to periodically check the Related Notices section of the FOA for any updates to instructions or policies since the opportunity was posted. At a minimum, check this section when you download the application and again a week or two before the due date.
- The blue and pink annotations throughout this resource represent processing notes and eRA system business rule checks (i.e., validations). The pink ones are for new fields introduced with FORMS-D application packages. Notes FORMS-D



APPLICATION FOR FEDERAL ASSISTANCE

SF 424 (R&R)

3. DATE RECEIVED BY STATE

State Application Identifier

4. a. Federal Identifier

b. Agency Routing Identifier

c. Previous Grants.gov Tracking ID

Organizational DUNS:

If New (box 8), leave blank unless otherwise instructed in FOA. If Resubmission, Renewal or Revision (box 8), use institute and serial # of previous NIH grant/application # (e.g., use CA987654 from 1R01CA987654-01).

If Changed/Corrected (box 1), provide previous Grants.gov tracking #. (e.g., GRANT12345678).

Must match DUNS used for System for Award Management (SAM), Grants.gov and eRA Commons registrations. Must be 9 or 13 digits; no letters or special characters.

Must provide zip+4 for all zip codes.

1. TYPE OF SUBMISSION

Use Application for first submission attempt for due date.

Pre-application  Application  Changed/Corrected Application

2. DATE SUBMITTED

Applicant Identifier

Do not use Pre-application unless specifically noted in FOA.

Use Changed/Corrected when submitting again to Grants.gov to correct eRA identified errors/warnings.

5. APPLICANT INFORMATION

Legal Name:

Department:

Division:

Street1:

Street2:

City:

County / Parish:

State:

Province:

Country:

USA: UNITED STATES

ZIP / Postal Code:

Person to be contacted on matters involving this application

Prefix: First Name: Middle Name:

Last Name: Suffix:

Position/Title:

Street1:

Street2:

City: County / Parish:

State: Province:

Country: USA: UNITED STATES ZIP / Postal Code:

Phone Number: Fax Number:

Email: Contact e-mail is required by NIH. If not included, or improperly formatted, the AOR e-mail provided in item 19 will be used.

6. EMPLOYER IDENTIFICATION (EIN) or (TIN):

7. TYPE OF APPLICANT: Please select one of the following

Other (Specify):

Small Business Organization Type  Women Owned  Socially and Economically Disadvantaged

8. TYPE OF APPLICATION: See application guide for definitions. If Revision, mark appropriate box(es).

New  Resubmission  Renewal  Continuation  Revision  A. Increase Award  B. Decrease Award  C. Increase Duration  D. Decrease Duration  E. Other (specify):

Is this application being submitted to other agencies? Yes  No  What other Agencies:

9. NAME OF FEDERAL AGENCY:

National Institutes of Health

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

TITLE:

NIH will assign CFDA post-submission.

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

If Revision (box 8), provide exact title (including punctuation and spacing) as provided for awarded grant.

12. PROPOSED PROJECT:

Start Date Ending Date

13. CONGRESSIONAL DISTRICT OF APPLICANT

Format: 2 character state abbreviation - 3 character District number (e.g., CA-005. Use 00-000 if outside the US. See application guide for additional details.

Start date is an estimate; typically at least nine months after submission. Project period should not exceed what is allowed in announcement.

**14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION**

Prefix:  First Name:  Middle Name:   
 Last Name:  Suffix:   
 Position/Title:  **PD/PI first/last name should match name on file for Commons ID provided in the Credential field of the R&R Senior/Key Person Profile (Expanded) form.**  
 Organization Name:   
 Department:  Division:   
 Street1:   
 Street2:   
 City:  County / Parish:   
 State:  Province:   
 Country:  USA: UNITED STATES ZIP / Postal Code:   
 Phone Number:  Fax Number:   
 Email:

<p><b>15. ESTIMATED PROJECT FUNDING</b></p> <p><b>Manually enter estimated project funding amounts.</b></p> <p>a. Total Federal Funds Requested <input type="text"/></p> <p>b. Total Non-Federal Funds <input type="text"/></p> <p>c. Total Federal &amp; Non-Federal Funds <input type="text"/></p> <p>d. Estimated Program Income <input type="text"/></p>	<p><b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b></p> <p>a. YES <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:                  DATE: <input type="text"/></p> <p>b. NO <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372; OR  <input type="checkbox"/> PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW</p>
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**17. By signing this application, I certify (1) to the statements contained in the list of certifications\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances \* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18)**

I agree **See Supplemental Grant Application Instructions for full list of NIH policies and certifications. <http://grants.nih.gov/grants/funding/424/index.htm>**

\*The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**18. SFLLL (Disclosure of Lobbying Activities) or other Explanatory Documentation**

**19. Authorized Representative**

Prefix:  First Name:  Middle Name:   
 Last Name:  Suffix:   
 Position/Title:   
 Organization:   
 Department:  Division:   
 Street1:   
 Street2:   
 City:  County / Parish:   
 State:  Province:   
 Country:  USA: UNITED STATES ZIP / Postal Code:   
 Phone Number:  Fax Number:   
 Email:

**Authorized Organization Representative (AOR) in Grants.gov must have signature authority for the organization. The electronic signature of the submitting AOR is recorded with submission.**

**In eRA Commons individuals with signature authority are called Signing Officials (SOs).**

**Signature of Authorized Representative**  **Date Signed**

Completed on submission to Grants.gov

**20. Pre-application**

**21. Cover Letter Attachment**  **Cover Letter will be posted as a separate document in eRA Commons and is not part of the assembled application image. Content is only made available to select agency staff. See Application Guide for suggested cover letter format.**

# PHS 398 Cover Page Supplement

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

FORMS-D: Disclosure Permission Statement question removed.

## 1. Human Subjects Section

Clinical Trial?  Yes  No

If Human Subjects = Yes on Other Project Information form, then an answer to the Clinical Trial question is required.

\*Agency-Defined Phase III Clinical Trial?  Yes  No

If Clinical Trial = Yes, then an answer to the Agency-Defined Phase III Clinical Trial question is required.

## 2. Vertebrate Animals Section

FORMS-D: New section.

Are vertebrate animals euthanized?  Yes  No

Answer required if Vertebrate Animals Used is Yes on the R&R Other Project Information form.

If "Yes" to euthanasia

Is method consistent with American Veterinary Medical Association (AVMA) guidelines?  Yes  No

If "No" to AVMA guidelines, describe method and provide scientific justification

FORMS-D: Up to 1000 characters.

## 3. \*Program Income Section

\*Is program income anticipated during the periods for which the grant support is requested?

Yes  No

If you checked "yes" above (indicating that program income is anticipated), then use the format below to reflect the amount and source(s). Otherwise, leave this section blank.

\*Budget Period   \*Anticipated Amount (\$)   \*Source(s)

<input type="text"/>	<input type="text"/>	<input type="text"/>
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The number of program income budget periods must be less than or equal to the number of periods included in the budget form.

FORMS-D: Expanded to accommodate up to 10 budget periods.

## 4. Human Embryonic Stem Cells Section

\*Does the proposed project involve human embryonic stem cells?  Yes  No

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: <http://stemcells.nih.gov/research/registry/>. Or, if a specific stem cell line cannot be referenced at this time, please check the box indicating that one from the registry will be used:

Specific stem cell line cannot be referenced at this time. One from the registry will be used.

Cell Line(s) (Example: 0004):

Error if provided human embryonic stem cell lines are not listed at <http://stemcells.nih.gov/research/registry/> at time of submission. Use NIH Registration Number (e.g., 0004, 0005). Provide up to 200 cell lines.

# PHS 398 Cover Page Supplement

## 5. Inventions and Patents Section (RENEWAL)

\*Inventions and Patents: Yes  No

If "Yes" then answer the following:

\*Previously Reported: Yes  No

## 6. Change of Investigator / Change of Institution Section

Change of Project Director / Principal Investigator

Name of former Project Director/Principal Investigator:

Prefix:

\*First Name:

Middle Name:

\*Last Name:

Suffix:

Change of Grantee Institution

\*Name of former institution:

# RESEARCH & RELATED Other Project Information

If Human Subjects = Yes, additional attachments are required in the PHS 398 Research Plan or equivalent form.

1. Are Human Subjects Involved?  Yes  No

1.a. If YES to Human Subjects

Is the Project Exempt from Federal regulations?  Yes  No

If yes, check appropriate exemption number.  1  2  3  4  5  6

If no, is the IRB review Pending?  Yes  No

IRB Approval Date is not required at time of submission, but may be requested later in the pre-award process as Just-In-Time data. Date cannot be in the future.

IRB Approval Date:

Human Subject Assurance Number:

If Human Subjects = Yes, the Human Subject Assurance Number or the text 'None' must be provided. Type the number exactly as it appears in eRA Commons institution profile.

2. Are Vertebrate Animals Used?  Yes  No

2.a. If YES to Vertebrate Animals

Is the IACUC review Pending?  Yes  No

If Vertebrate Animals = Yes, additional attachments are required in the PHS 398 Research Plan or equivalent form.

IACUC Approval Date:

IACUC Approval Date is not required at time of submission, but may be requested later in the pre-award process as Just-In-Time data. Date cannot be in the future.

Animal Welfare Assurance Number:

If Vertebrate Animals = Yes, the Animal Welfare Assurance Number or the text 'None' must be provided. Type the number exactly as it appears in eRA Commons Institution Profile.

3. Is proprietary/privileged information included in the application?  Yes  No

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment?  Yes  No

4.b. If yes, please explain:  If 4a is Yes, then 4b is required.

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed?  Yes  No

4.d. If yes, please explain:  If 4c is Yes, then 4d is required.

5. Is the research performance site designated, or eligible to be designated, as a historic place?  Yes  No

5.a. If yes, please explain:  If 5 is Yes, then 5a is required.

6. Does this project involve activities outside of the United States or partnerships with international collaborators?  Yes  No

6.a. If yes, identify countries:  If 6 is Yes, then 6a is required.

6.b. Optional Explanation:   
7. Project Summary/Abstract  Succinct project summary of proposed work. Typically 30 lines or less; system will give error if over 1 page. If awarded this information becomes public. Do not include proprietary or confidential information.

8. Project Narrative  Typically 2-3 sentence statement of public health relevance; system will give error if over 1 page.

9. Bibliography & References Cited  Required unless otherwise noted in opportunity. Not system enforced.

10. Facilities & Other Resources  Required unless otherwise noted in opportunity. Not system enforced.

11. Equipment

12. Other Attachments

Only provide Other Attachments when requested in the funding opportunity announcement text.

### Project/Performance Site Location(s)

**Project/Performance Site Primary Location**  I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:  **DO NOT check box. NIH only accepts applications from registered organizations.**

DUNS Number:  **DUNS required and enforced by NIH. Must be 9 or 13 digits; no letters or special characters.**

\* Street1:

Street2:

\* City:  County:

\* State:

Province:

\* Country:

\* ZIP / Postal Code:  \* Project/ Performance Site Congressional District:

**Project/Performance Site Location 1**  I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

\* Street1:

Street2:

\* City:  County:

\* State:

Province:

\* Country:

\* ZIP / Postal Code:  \* Project/ Performance Site Congressional District:

Can collect data for 300 locations prior to using Additional Location(s) attachment.

**Additional Location(s)**

# RESEARCH & RELATED Senior/Key Person Profile (Expanded)

**PROFILE - Project Director/Principal Investigator**

Prefix:  \* First Name:  Middle Name:   
 \* Last Name:  Suffix:   
 Position/Title:  Department:   
 Organization Name:  **Organization Name required by NIH. PD/PI Organization Name is pre-populated from SF424 (R&R) cover.** Division:   
 \* Street1:   
 Street2:   
 \* City:  County/ Parish:   
 \* State:  Province:   
 \* Country: USA: UNITED STATES \* Zip / Postal Code:   
 \* Phone Number:  Fax Number:   
 \* E-Mail:  **VALID ERA COMMONS USERNAME MUST BE SUPPLIED. Contact PD/PI must be affiliated in Commons with applicant organization. Commons account designated on this form should not have both the PI and SO roles (if PD/PI also serves as SO, use a separate account for SO functions).**  
 Credential, e.g., agency login:   
 \* Project Role:  PD/PI **Project Role will default to PD/PI and must remain PD/PI (do not edit).** Other Project Role Category:   
 Degree Type:   
 Degree Year:  **Required. Limited to 5 pages. Format and samples: <http://grants.nih.gov/grants/funding/424/index.htm>.**  
 \* Attach Biographical Sketch   
 Attach Current & Pending Support  **Only provide Current & Pending Support if specifically requested in FOA. May be requested later in pre-award process as Just-In-Time data.**

**PROFILE - Senior/Key Person 1**

Prefix:  \* First Name:  Middle Name:   
 \* Last Name:  Suffix:   
 Position/Title:  Department:   
 Organization Name:  **Organization Name required by NIH for all Sr/Key entries. This information is used by NIH staff to determine potential review conflicts of interest.**  
 \* Street1:   
 Street2:   
 \* City:  County/ Parish:   
 \* State:  Province:   
 \* Country: USA: UNITED STATES \* Zip / Postal Code:   
 \* Phone Number:  Fax Number:   
 \* E-Mail:  **For multiple PD/PI applications, you must use the PD/PI role and provide the eRA Commons username in the Credential field for all PD/PIs. If multiple PD/PIs are included, the Multiple PD/PI Leadership Plan on the PHS 398 Research Plan form is required.**  
 Credential, e.g., agency login:   
 \* Project Role:  Other Project Role Category:   
 Degree Type:   
 Degree Year:  **Required. Limited to 5 pages. Format and samples: <http://grants.nih.gov/grants/funding/424/index.htm>.**  
 Attach Biographical Sketch   
 Attach Current & Pending Support

**Can collect data for 100 Sr/Key personnel (including PD/PI). Option to provide attachment for additional Sr./Key info is available after the 100 entries are made.**

To ensure proper performance of this form; after adding 20 additional Senior/ Key Persons; please save your application, close the Adobe Reader, and reopen it.



# PHS Inclusion Enrollment Report

OMB Number: 0925-0001 and 0925-0002

Expiration Date: 10/31/2018

FORMS-D: New form. Replaces Planned Enrollment Report and Cumulative Inclusion Enrollment Report forms in FORMS-C.

Inclusion policy information: [http://grants.nih.gov/grants/funding/women\\_min/women\\_min.htm](http://grants.nih.gov/grants/funding/women_min/women_min.htm)

**\*Study Title (must be unique):**

Limited to 250 characters.

\* Delayed Onset Study?  Yes  No

FORMS-D: New questions added.

Use Planned to provide information about individuals expected to be prospectively enrolled in a proposed study.

*If study is not delayed onset, the following selections are required:*

**Enrollment Type**

Planned  Cumulative (Actual)

**Using an Existing Dataset or Resource**

Yes  No

**Enrollment Location**

Domestic  Foreign

**Clinical Trial**

Yes  No

Use Cumulative to provide enrollment information for  
1) new studies proposing to use an existing dataset or resource where no ongoing or future contact with participants is anticipated or  
2) it may also be used for studies that will continue in a renewal application. See the Supplemental Instructions for Human Subjects for more details.

**NIH-Defined Phase III Clinical Trial**  Yes  No

**Comments:**

Limited to 500 characters.

Row totals automatically calculated.

Racial Categories	Ethnic Categories									Total
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			
	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/Alaska Native	0	0	0	0	0	0	0	0	0	0
Asian	0	0	0	0	0	0	0	0	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	0	0	0	0	0	0	0	0	0	0
White	0	0	0	0	0	0	0	0	0	0
More than One Race	0	0	0	0	0	0	0	0	0	0
Unknown or Not Reported	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	0	0	0	0	0	0	0	0	0	0

Column totals automatically calculated.

**Report 1 of 1**

Once the required fields are completed, you have the option of adding an additional study (up to 150 total).

# PHS Assignment Request Form

The PHS Assignment Request Form will be posted as a separate document in eRA Commons and is not part of the assembled application image. Content is only made available to select agency staff.

Funding Opportunity Number:

Pre-populated from announcement information.

Funding Opportunity Title:

## Awarding Component Assignment Request *(optional)*

If you have a preference for an Awarding Component (e.g., NIH Institute/Center) assignment, please use the link below to identify the most appropriate assignment then enter the short abbreviation (e.g., NCI for National Cancer Institute) in "Assign to/Do Not Assign To Awarding Component" sections below. Your first choice should be in column 1. All requests will be considered; however, locus of review is predetermined for some applications and assignment requests cannot always be honored.

Information about Awarding Components can be found here: [https://grants.nih.gov/grants/phs\\_assignment\\_information.htm#Awarding Components](https://grants.nih.gov/grants/phs_assignment_information.htm#Awarding Components)

	1	2	3
Assign to Awarding Component:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do Not Assign to Awarding Component:	<input type="text"/>	<input type="text"/>	<input type="text"/>

## Study Section Assignment Request *(optional)*

If you have a preference for a study section assignment, please use the link below to identify the most appropriate study section then enter the short abbreviation for that study section in "Assign to/Do not Assign to Study Section" sections below. Your first choice should be in column 1. All requests will be considered; however, locus of review is predetermined for some applications and assignment requests cannot always be honored.

For example, you would enter "CAMP" if you wish to request assignment to the Cancer Molecular Pathobiology study section or enter "ZRG1 HDM-R" if you wish to request assignment to the Healthcare Delivery and Methodologies SBIR/STTR panel for informatics. Be careful to accurately capture all formatting (e.g., spaces, hyphens) when you type in the request.

Information about Study Sections can be found here: [https://grants.nih.gov/grants/phs\\_assignment\\_information.htm#Study Section](https://grants.nih.gov/grants/phs_assignment_information.htm#Study Section)

	1	2	3
Assign to Study Section: <i>Only 20 characters allowed</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do Not Assign to Study Section: <i>Only 20 characters allowed</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>

# PHS Assignment Request Form

List Individuals who should not review your application and why *(optional)*

*Only 1000 characters allowed*

Identify Scientific areas of expertise needed to review your application *(optional)*

Note: Please do not provide names of individuals

1

2

3

4

5

Expertise:

*Only 40 characters allowed*

# PHS 398 Modular Budget

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

Budget Period: 1			
Start Date:	<input type="text"/>	End Date:	<input type="text"/>
<b>A. Direct Costs</b>			Funds Requested (\$)
Direct costs requested must be \$250K or less per period to use Modular Budget form. Request in "modules" of \$25K.			Direct Cost less Consortium Indirect (F&A) <input style="width: 100%;" type="text" value="0.00"/>
Some grant programs have limits on Total Direct Costs. Check announcement.			Consortium Indirect (F&A) <input style="width: 100%;" type="text"/>
			Total Direct Costs <input style="width: 100%;" type="text" value="0.00"/>
<b>B. Indirect (F&amp;A) Costs</b>			
Indirect (F&A) Type	Indirect (F&A) Rate (%)	Indirect (F&A) Base (\$)	Funds Requested (\$)
<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 50px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
FORMS-D: Indirect (F&A) Costs section changed to dynamically add indirect costs rather than providing static fields for four entries.			
Cognizant Agency (Agency Name, POC Name and Phone Number)		<input style="width: 100%; height: 100%;" type="text"/>	
Indirect (F&A) Rate Agreement Date	<input style="width: 100px;" type="text"/>	Total Indirect (F&A) Costs	<input style="width: 100px;" type="text"/>
<b>C. Total Direct and Indirect (F&amp;A) Costs (A + B)</b>			Funds Requested (\$) <input style="width: 100%;" type="text" value="0.00"/>
Form allows for up to 5 Budget Periods.			

Cumulative Budget Information	
<b>1. Total Costs, Entire Project Period</b>	
Section A, Total Direct Cost less Consortium Indirect (F&A) for Entire Project Period	\$ <input style="width: 150px;" type="text" value="0.00"/>
Section A, Total Consortium Indirect (F&A) for Entire Project Period	\$ <input style="width: 150px;" type="text"/>
Section A, Total Direct Costs for Entire Project Period	\$ <input style="width: 150px;" type="text" value="0.00"/>
Section B, Total Indirect (F&A) Costs for Entire Project Period	\$ <input style="width: 150px;" type="text"/>
Section C, Total Direct and Indirect (F&A) Costs (A+B) for Entire Project Period	\$ <input style="width: 150px;" type="text" value="0.00"/>
<b>2. Budget Justifications</b>	
Personnel Justification <input style="width: 200px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Consortium Justification <input style="width: 200px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Additional Narrative Justification <input style="width: 200px;" type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>

FORMS-D: Text "(F&A)" added to every "Indirect" reference on the form.

Provide DUNS for the organization whose budget is reflected on this form.

**RESEARCH & RELATED BUDGET - Budget Period 1**

OMB Number: 4040-0001

ORGANIZATIONAL DUNS:  Enter name of Organization:

Budget Type:  Project  Subaward/Consortium

Budget Period: 1 Start Date:  End Date:

**A. Senior/Key Person**

Only the primary applicant organization should use Budget Type of Project.

Every Sr./Key listed must have measurable effort in either Calendar Months or a combination of Academic and Summer Months.

PD/PI must be listed as a Sr/Key with measurable effort in every budget period.

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Project Role:  Base Salary can be left blank for submission, but is required prior to award.

Role must be PD/PI for the PD/PI (enter carefully eRA will look for exact string match to PD/PI).

Additional Senior Key Persons:

Add Attachment

Delete Attachment

View Attachment

Total Funds requested for all Senior Key Persons in the attached file

If more than 8 Sr./Key, use attachment and enter total funds requested for additional Sr/Key persons.

Total Senior/Key Person

**B. Other Personnel**

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Aggregate information should be provided in section B and explained in Budget Justification.

You can name up to 5 additional Project Role categories. Once data for the first user-defined Project Role is entered, you will have the option to add another. If you run out of additional categories combine categories in a single row and explain what was included in the Budget Justification.

Total Number Other Personnel  Total Other Personnel

**Total Salary, Wages and Fringe Benefits (A+B)**

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input type="text"/> <div style="border: 1px solid black; background-color: #e0ffff; padding: 2px; display: inline-block; margin-left: 10px;">                     Once equipment data is entered, you will be able to add up to 9 more rows to this section for a total of 10 equipment items.                 </div>	<input type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	<input type="text"/>
2. Foreign Travel Costs	<input type="text"/>
<b>Total Travel Cost</b>	<input type="text"/>

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input type="text"/>
2. Stipends	<input type="text"/>
3. Travel	<input type="text"/>
4. Subsistence	<input type="text"/>
5. Other <input type="text"/>	<input type="text"/>
<input type="text"/> Number of Participants/Trainees	<input type="text"/>
<b>Total Participant/Trainee Support Costs</b>	<input type="text"/>

Only complete this section if requested to do so in the FOA.

**F. Other Direct Costs**

Funds Requested (\$)

1. Materials and Supplies	<input type="text"/>
2. Publication Costs	<input type="text"/>
3. Consultant Services	<input type="text"/>
4. ADP/Computer Services	<input type="text"/>
5. Subawards/Consortium/Contractual Costs	<input type="text"/>
6. Equipment or Facility Rental/User Fees	<input type="text"/>
7. Alterations and Renovations	<input type="text"/>
8. <input type="text"/>	<input type="text"/>
9. <input type="text"/>	<input type="text"/>
10. <input type="text"/>	<input type="text"/>
<b>Total Other Direct Costs</b>	<input type="text"/>

Subaward/Consortium/Contractual Costs is not pre-populated. Include both Direct and Indirect costs.

**G. Direct Costs**

Funds Requested (\$)

**Total Direct Costs (A thru F)**

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**Total Indirect Costs**

**Cognizant Federal Agency**  
(Agency Name, POC Name, and POC Phone Number)

**I. Total Direct and Indirect Costs**

Funds Requested (\$)

**Total Direct and Indirect Institutional Costs (G + H)**

**J. Fee**

Funds Requested (\$)

**K. Budget Justification**

(Only attach one file.)



Budget Justification is required and must cover all budget periods.

Attachment

Delete Attachment

View Attachment

**RESEARCH & RELATED BUDGET - Cumulative Budget**

Cumulative Budget is system generated based on budget period data provided.

Totals (\$)

<b>Section A, Senior/Key Person</b>		<input type="text"/>
<b>Section B, Other Personnel</b>		<input type="text"/>
Total Number Other Personnel	<input type="text"/>	
<b>Total Salary, Wages and Fringe Benefits (A+B)</b>		<input type="text"/>
<b>Section C, Equipment</b>		<input type="text"/>
<b>Section D, Travel</b>		<input type="text"/>
1. Domestic	<input type="text"/>	
2. Foreign	<input type="text"/>	
<b>Section E, Participant/Trainee Support Costs</b>		<input type="text"/>
1. Tuition/Fees/Health Insurance	<input type="text"/>	
2. Stipends	<input type="text"/>	
3. Travel	<input type="text"/>	
4. Subsistence	<input type="text"/>	
5. Other	<input type="text"/>	
6. Number of Participants/Trainees	<input type="text"/>	
<b>Section F, Other Direct Costs</b>		<input type="text"/>
1. Materials and Supplies	<input type="text"/>	
2. Publication Costs	<input type="text"/>	
3. Consultant Services	<input type="text"/>	
4. ADP/Computer Services	<input type="text"/>	
5. Subawards/Consortium/Contractual Costs	<input type="text"/>	
6. Equipment or Facility Rental/User Fees	<input type="text"/>	
7. Alterations and Renovations	<input type="text"/>	
8. Other 1	<input type="text"/>	
9. Other 2	<input type="text"/>	
10. Other 3	<input type="text"/>	
<b>Section G, Direct Costs (A thru F)</b>		<input type="text"/>
<b>Section H, Indirect Costs</b>		<input type="text"/>
<b>Section I, Total Direct and Indirect Costs (G + H)</b>		<input type="text"/>
<b>Section J, Fee</b>		<input type="text"/>



The actual look of this form will vary based on your submission method. The Grants.gov downloadable form version is shown here. In ASSIST, use the Add Optional Form option to add the R&R Subaward Budget tab to your application.

## R&R SUBAWARD BUDGET ATTACHMENT(S) FORM

Instructions: On this form, you will attach the R&R Subaward Budget files for your grant application. Complete the subawardee budget(s) in accordance with the R&R budget instructions. Please remember that any files you attach must be a PDF document.

[Click here to extract the R&R Subaward Budget Attachment](#)

Important: Please attach your subawardee budget file(s) with the file name of the subawardee organization. Each file name must be unique.

1) Please attach Attachment 1	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
2) Please attach Attachment 2	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
3) Please attach Attachment 3	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
4) Please attach Attachment 4	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
5) Please attach Attachment 5	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
6) Please attach Attachment 6	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
7) Please attach Attachment 7	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
8) Please attach Attachment 8	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
9) Please attach Attachment 9	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
10) Please attach Attachment 10	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
11) Please attach Attachment 11	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
12) Please attach Attachment 12	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
13) Please attach Attachment 13	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
14) Please attach Attachment 14	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
15) Please attach Attachment 15	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
16) Please attach Attachment 16	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
17) Please attach Attachment 17	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
18) Please attach Attachment 18	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
19) Please attach Attachment 19	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
20) Please attach Attachment 20	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
21) Please attach Attachment 21	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
22) Please attach Attachment 22	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>

The sum of all subaward budgets (e.g., those attached separately on this form and those provided as part of the budget justification), must be included in Line F.5 Subawards/ Consortium/Contractual Costs of the project budget.

26) Please attach Attachment 26	<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
27) Please attach Attachment 27	<input type="text"/>	<div data-bbox="472 1669 1502 1795" data-label="Text" style="border: 1px solid black; padding: 5px;"> <p>If submitting an application with &gt;30 subaward budgets, budgets 31 and above should be converted to PDF and included as part of the Budget Justification of the parent budget in Section K of the R&amp;R Budget form. This form should only be used in conjunction with the R&amp;R Budget form.</p> </div>		
28) Please attach Attachment 28	<input type="text"/>			
29) Please attach Attachment 29	<input type="text"/>			
30) Please attach Attachment 30	<input type="text"/>	<div data-bbox="472 1816 1502 1900" data-label="Text" style="border: 1px solid black; padding: 5px;"> <p>The sum of all subaward budgets (e.g., those attached separately on this form and those provided as part of the budget justification), must be included in Line F.5 Subawards/Consortium/ Contractual Costs of the parent budget.</p> </div>		

Do not include the Subaward Budget Attachment form with applications that use the PHS 398 Modular Budget form.

# PHS 398 TRAINING BUDGET, Period 1

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

Provide DUNS for the organization whose budget is reflected on this form.

Only the applicant organization should use Project.

Organizational DUNS:  Budget Type:  Project  Subaward/Consortium

Organization Name:  The end date for each budget period must be later than the budget start date and less than or equal to the proposed project end date listed on the SF 424 (R&R) cover.

Start Date:  End Date:

## A. Stipends, Tuition/Fees

For New and Resubmission applications, the first budget period start date must match the start date listed on the SF 424 (R&R) cover. The start date in subsequent periods must be greater than or equal to the start date on the cover.

Number of Trainees

Full Time  Short Term

Error if information for Undergraduate Trainees is NOT provided for T34 applications and if it IS provided for T15, T32 or T35 applications.

Undergraduate:

Number Per Stipend Level:

First-Year/Soph.  Junior/Senior

Predoctoral: Single Degree

Dual Degree

Error if any Predoctoral or Postdoctoral information is provided for T34.

**Total Predoctoral**

Postdoctoral:

Number Per Stipend Level:

0  1  2  3  4  5  6  7

Non-degree Seeking

Degree Seeking

**Total Postdoctoral**

Other:

If Number of Trainees data is provided then corresponding Stipends Requested data must also be provided and vice versa.

**Totals:**

**Total Stipends + Tuition/Fees Requested**

## B. Other Direct Costs

Trainee Travel

Training Related Expenses

Total Direct Costs from R&R Budget Form (if applicable)

Consortium Training Costs (if applicable)

Funds Requested (\$)

Warning if not provided.

Must be manually entered.

Include sum of all attached Training Subaward Budget forms.

**Total Other Direct Costs Requested**

## C. Total Direct Costs Requested (A + B)

## D. Indirect (F&A) Costs

	Indirect (F&A) Type	Indirect (F&A) Rate (%)	Indirect (F&A) Base	Funds Requested (\$)
1.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total Indirect (F&amp;A) Costs Requested</b>				<input type="text"/>

Indirect Cost Rate must be 8 for all Ts.

## E. Total Direct and Indirect (F&A) Costs Requested (C + D)

## F. Budget Justification

Budget justification is required and must cover all budget periods.

Attachment

View Attachment

FORMS-D: Text "(F&A)" added to every "Indirect" reference on the form.

## PHS 398 TRAINING BUDGET, Cumulative Budget

Values automatically calculated.

<b>A. Stipends, Tuition/Fees</b>		Stipends Requested (\$)	Tuition/Fees Requested (\$)
Undergraduate:		<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Predoctoral:	Single Degree	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	Dual Degree	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	<b>Total Predoctoral</b>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Postdoctoral:	Non-Degree Seeking	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	Degree Seeking	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	<b>Total Postdoctoral</b>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Other:		<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	<b>Totals:</b>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<b>Total Stipends + Tuition/Fees Requested</b>			<input style="width: 100%;" type="text"/>

  

<b>B. Other Direct Costs</b>	Funds Requested (\$)
Trainee Travel	<input style="width: 100%;" type="text"/>
Training Related Expenses	<input style="width: 100%;" type="text"/>
Total Direct Costs from R&R Budget Form (if applicable)	<input style="width: 100%;" type="text"/>
Consortium Training Costs (if applicable)	<input style="width: 100%;" type="text"/>
<b>Total Other Direct Costs Requested</b>	<input style="width: 100%;" type="text"/>

  

<b>C. Total Direct Costs Requested (A + B)</b>	<input style="width: 100%;" type="text"/>
------------------------------------------------	-------------------------------------------

  

<b>D. Total Indirect (F&amp;A) Costs Requested</b>	<input style="width: 100%;" type="text"/>
----------------------------------------------------	-------------------------------------------

FORMS-D: Text "(F&A)" added to every "Indirect" reference on the form.

<b>E. Total Direct and Indirect (F&amp;A) Costs Requested (C + D)</b>	<input style="width: 100%;" type="text"/>
-----------------------------------------------------------------------	-------------------------------------------

## TRAINING SUBAWARD BUDGET ATTACHMENT(S) FORM

**Instructions:**

FORMS-D: Streamlined instructions.

This form allows you to attach a PHS 398 Training Budget form for each subaward/consortium associated with your application. Use the "Click here to extract the PHS 398 Training Subaward Attachment" button to extract a blank copy of the PHS 398 Training Budget form, complete the form in accordance with the agency instructions, and attach the completed form using one of the "Add Attachment" buttons.

[Click here to extract the PHS 398 Training Subaward Attachment](#)

**Important:**

Attach Training Subaward Budget forms, using the blocks below. Remember that the files you attach must be PHS 398 Training Budget PDF forms, which were previously extracted using the process outlined above. Attaching any other type of file may result in the inability to submit your application to Grants.gov.

Attach Training Subaward Budget 1		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 2		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 3		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 4		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 5		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 6		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 7		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 8		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 9		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 10		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 11		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 12		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 13		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 14		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 15		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 16		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 17		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 18		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 19		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 20		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 21		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 22		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 23		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 24	The sum of all training subaward budget forms (e.g., those attached separately on this form and those provided as part of the budget justification), must be included in the Consortium Training Costs field in the Other Direct Costs (Section B) of the PHS 398 Training Budget form.	Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 25	If submitting an application with >30 subaward budgets, budgets 31 and above should be converted to PDF and included as part of the Budget Justification of the parent budget in Section F of the PHS 398 Training Budget form.	Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 26		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 27		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 28		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 29		Add Attachment	Delete Attachment	View Attachment
Attach Training Subaward Budget 30		Add Attachment	Delete Attachment	View Attachment

**BUDGET INFORMATION - Construction Programs**

OMB Approval No. 4040-0008  
Expiration Date 07/30/2010

*NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.*

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
2. Land, structures, rights-of-way, appraisals, etc.	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
3. Relocation expenses and payments	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
4. Architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
5. Other architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
6. Project inspection fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
7. Site work	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
8. Demolition and removal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
9. Construction	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
10. Equipment	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
11. Miscellaneous	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
12. SUBTOTAL (sum of lines 1-11)	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="0.00"/>
13. Contingencies	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
14. SUBTOTAL	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="0.00"/>
15. Project (program) income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="0.00"/>
<b>FEDERAL FUNDING</b>			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter eligible costs from line 16c Multiply X <input type="text"/> % Enter the resulting Federal share. <span style="border: 1px solid black; padding: 2px;">Be sure to include the multiplier or the total will calculate to zero.</span>			\$ <input type="text" value="0.00"/>

Previous Edition Usable

Authorized for Local Reproduction

Standard Form 424C (Rev. 7-97)  
Prescribed by OMB Circular A-102

# PHS 398 Research Plan

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

Introduction	
1. Introduction to Application (Resubmission and Revision)	<input type="checkbox"/> Limited to 1 page (except R25 Resubmission can be 3 pages). <input type="button" value="View Attachment"/>
Research Plan Section	
2. Specific Aims	<input type="checkbox"/> Required attachment (except DP1, DP2, DP4 and R35). Limited to 1 page. <input type="button" value="View Attachment"/>
3. *Research Strategy	<input type="checkbox"/> Adhere to page limits specified in Application Guide and/or FOA. Typically 6 or 12 pages; a small number of FOAs will specify 30 pages. <input type="button" value="View Attachment"/>
4. Progress Report Publication List	<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
Human Subjects Section	
Attachments typically required if Human Subjects is Yes on the Other Project Information form.	
5. Protection of Human Subjects	<input type="checkbox"/> Required if Human Subjects is Yes. <input type="button" value="View Attachment"/> <input type="button" value="Delete Attachment"/>
6. Data Safety Monitoring Plan	<input type="checkbox"/> FORMS-D: New attachment. Required if Clinical Trials is Yes on the PHS 398 Cover Page Supplement form. <input type="button" value="View Attachment"/>
7. Inclusion of Women and Minorities	<input type="checkbox"/> Required if Human Subjects is Yes and exemption number is not 4. <input type="button" value="View Attachment"/>
8. Inclusion of Children	<input type="checkbox"/> Required if Human Subjects is Yes and exemption number is not 4. <input type="button" value="View Attachment"/>
Other Research Plan Section	
9. Vertebrate Animals	<input type="checkbox"/> Required for all apps. (except S10), if Vertebrate Animals is Yes on the Other Project Information form. <input type="button" value="View Attachment"/>
10. Select Agent Research	<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
11. Multiple PD/PI Leadership Plan	<input type="checkbox"/> Required if more than one PD/PI is specified on R&R Sr/Key Person Profile form. <input type="button" value="View Attachment"/>
12. Consortium/Contractual Arrangements	<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
13. Letters of Support	<input type="checkbox"/> Required for R36 applications. <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
14. Resource Sharing Plan(s)	<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
15. Authentication of Key Biological and/or Chemical Resources	<input type="checkbox"/> FORMS-D: New attachment. Required if project involves key biological and/or chemical resources. Recommend 1 page. No system validation enforcement.
Appendix	
16. Appendix	<input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>

Allows for up to 10 appendices. See Application Guide and announcement for restrictions.

Appendices are stored separately in the eRA Commons (not as part of the application image) and are accessible to appropriate Agency staff and peer reviewers.

DO NOT use Appendix attachments to circumvent page limits in other sections of the application. Such actions will be noted at time of review. See NIH Guide notice NOT-OD-11-080.

# PHS 398 Career Development Award Supplemental Form

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

<b>Introduction</b>	
1. Introduction to Application (RESUBMISSION)	<input type="checkbox"/> Required for Resubmission and Revision applications. Must not be included for New or Renewal applications. Limited to 1 page. <span style="float: right;"><input type="button" value="New Attachment"/></span>
<b>Candidate Section</b>	
2. Candidate Information and Goals for Career Development	<input type="checkbox"/> FORMS-D: New required attachment combining "Candidate's Background", "Career Goals and Objectives" and "Candidate's Plan for Career Development/ Training Activities during Award Period" attachments from FORMS-C. This attachment and the Research Strategy attachment are limited to a combined total of 12 pages unless otherwise stated in the announcement. <span style="float: right;"><input type="button" value="Attachment"/></span>
<b>Research Plan Section</b>	
3. Specific Aims	<input type="text" value="Required. Limited to 1 page."/> <span style="float: right;"><input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></span>
4. * Research Strategy	<input type="text" value="This attachment and the Candidate Information and Goals for Career Development attachment are limited to a combined total of 12 pages unless otherwise stated in the announcement."/>
5. Progress Report Publication List (for RENEWAL applications only)	<input type="text"/> <span style="float: right;"><input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></span>
6. Training in the Responsible Conduct of Research	<input type="text" value="Required. Limited to 1 page."/> <span style="float: right;"><input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></span>
<b>Other Candidate Information Section</b>	
7. Candidate's Plan to Provide Mentoring	<input type="checkbox"/> Required for K05 and K24. Do not include for K01, K07, K08, K18, K22, K23, K25, K76, K99, K99/R00. Limited to 6 pages. <span style="float: right;"><input type="button" value="Attachment"/></span>
<b>Mentor, Co-Mentor, Consultant, Collaborators Section</b>	
8. Plans and Statements of Mentor and Co-Mentor(s)	<input type="checkbox"/> Required for K01, K08, K18, K23, K25, K76, K99, K99/R00. Warning if not included for K07 or K22. Limited to 6 pages. <span style="float: right;"><input type="button" value="Attachment"/> <input type="button" value="View Attachment"/></span>
9. Letters of Support from Collaborators, Contributors, and Consultants	<input type="text" value="Limited to 6 pages."/> <span style="float: right;"><input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></span>
<b>Environment and Institutional Commitment to Candidate Section</b>	
10. Description of Institutional Environment	<input type="text" value="Required. Limited to 1 page."/> <span style="float: right;"><input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></span>
11. Institutional Commitment to Candidate's Research Career Development	<input type="text" value="Required. Limited to 1 page."/> <span style="float: right;"><input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></span>
<b>Human Subject Sections</b>	
12. Protection of Human Subjects	<input type="checkbox"/> Required if Human Subjects is Yes on R&R Other Project Information form. <span style="float: right;"><input type="button" value="New Attachment"/></span>
13. Data Safety Monitoring Plan	<input type="checkbox"/> FORMS-D: New attachment. Required if project involves key biological and/or chemical resources. Recommend 1 page. No system validation enforcement. <span style="float: right;"><input type="button" value="Attachment"/></span>
14. Inclusion of Women and Minorities	<input type="checkbox"/> Required if Human Subjects is Yes and exemption number is not 4 on R&R Other Project Information form. <span style="float: right;"><input type="button" value="Attachment"/></span>
15. Inclusion of Children	<input type="checkbox"/> Required if Human Subjects is Yes and exemption number is not 4 on R&R Other Project Information form. <span style="float: right;"><input type="button" value="Attachment"/></span>

# PHS 398 Career Development Award Supplemental Form

## Other Research Plan Sections

16. Vertebrate Animals  Required if Vertebrate Animals Used is Yes on the R&R Other Project Information form.

17. Select Agent Research

18. Consortium/Contractual Arrangements

19. Resource Sharing

20. Authentication of Key Biological and/or Chemical Resources  FORMS-D: New attachment. Required if project involves key biological and/or chemical resources. No system validation enforcement.

## Appendix

21. Appendix

Allows for up to 10 appendices. See Application Guide and announcement for restrictions. Appendices are stored separately in the eRA Commons (not as part of the application image) and are accessible to appropriate Agency staff and peer reviewers. DO NOT use Appendix attachments to circumvent page limits in other sections of the application. Such actions will be noted at time of review. See NIH Guide notice NOT-OD-11-080.

## \* Citizenship

FORMS-D: Citizenship selections updated.

\* U.S. Citizen or Non-Citizen National?

Yes  No

Not allowed for K43.

If no, you must select the single, most appropriate Non-U.S. Citizen option.

If no, select most appropriate Non-U.S. Citizen option

Not allowed for K43.

With a Permanent U.S. Resident Visa

Not allowed for K43.

With a Temporary U.S. Visa

Non-U.S. Citizen national with temporary U.S. Visa' is not typically a valid option, though it may be accepted for K99/R00 applications.

Not Residing in the U.S.

If with a temporary U.S. visa who has applied for permanent resident status and expect to hold a permanent resident visa by the earliest possible start date of the award, also check here:



# PHS 398 Research Training Program Plan

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

<b>Introduction</b>		
1. Introduction to Application (for Resubmission and Revision)	<input type="checkbox"/>	Required for Resubmission applications; limited to 3 pages. Required for Revision applications; limited to 1 page.
		<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Training Program Section</b>		
2. * Program Plan	<input type="checkbox"/>	Required. Limited to 25 pages.
		FORMS-D: Program plan now includes information previously included in "Background" and "Recruitment Plan to Enhance Diversity" attachments.
3. Plan for Instruction in the Responsible Conduct of Research	<input type="checkbox"/>	Required. Limited to 3 pages.
		<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
4. Plan for Instruction in Methods for Enhancing Reproducibility	<input type="checkbox"/>	FORMS-D: New attachment. Rigor & transparency changes for training applications delayed (NOT-OD-16-034). Until further notice, do not use this attachment unless specifically indicated in your FOA.
		<input type="button" value="View Attachment"/>
5. Multiple PD/PI Leadership Plan (if applicable)	<input type="checkbox"/>	Required when multiple Sr/Key entries with the role of PD/PI are included on the R&R Sr/Key Person form.
		<input type="button" value="View Attachment"/>
6. Progress Report (for RENEWAL applications only)	<input type="checkbox"/>	Required for Renewal applications.
		<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Faculty, Trainees and Training Record Section</b>		
7. Participating Faculty Biosketches	<input type="checkbox"/>	Warning if not included.
		<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
8. Letters of Support	<input type="checkbox"/>	
		<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
9. Data Tables	<input type="checkbox"/>	Warning if not included. User defined bookmarks in this attachment are included with the bookmarks in the submitted application image in eRA Commons.
		<input type="button" value="View Attachment"/>
<b>Other Training Program Section</b>		
10. Human Subjects	<input type="checkbox"/>	Required if Human Subjects is Yes on the R&R Other Project Information form.
		<input type="button" value="View Attachment"/>
11. Data Safety Monitoring Plan	<input type="checkbox"/>	FORMS-D: New attachment. Required if Clinical Trials is Yes on the PHS 398 Cover Page Supplement form.
		<input type="button" value="View Attachment"/>
12. Vertebrate Animals	<input type="checkbox"/>	Required if Vertebrate Animals Used is Yes on the R&R Other Project Information form.
		<input type="button" value="View Attachment"/>
13. Select Agent Research	<input type="checkbox"/>	
		<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
14. Consortium/Contractual Arrangements	<input type="checkbox"/>	
		<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Appendix</b>		
15. Appendix	<input type="button" value="Add Attachments"/>	Allows for up to 10 appendices. See Application Guide and announcement for restrictions.  Appendices are stored separately in the eRA Commons (not as part of the application image) and are accessible to appropriate Agency staff and peer reviewers.  DO NOT use Appendix attachments to circumvent page limits in other sections of the application. Such actions will be noted at time of review. See NIH Guide notice NOT-OD-11-080.

# PHS Fellowship Supplemental Form

OMB Number: 0925-0001  
Expiration Date: 10/31/2018

<b>Introduction</b>		
1. Introduction (RESUBMISSION)	<input type="text" value="Required for Resubmission applications. Limited to 1 page."/>	<input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Fellowship Applicant Section</b>		
2. *Applicant's Background and Goals for Fellowship Training	<input type="text" value="FORMS-D: New required attachment combining 'Doctoral Dissertation and Other Research Experience', 'Goals for Fellowship Training and Career' and 'Activities Planned Under This Award' attachments from FORMS-C. Limited to 6 pages."/>	<input type="button" value="Add Attachment"/>
<b>Research Training Plan Section</b>		
3. * Specific Aims	<input type="text" value="Required. Limited to 1 page."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
4. * Research Strategy	<input type="text" value="Required. Limited to 6 pages."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
5. * Respective Contributions	<input type="text" value="Required. Limited to 1 page."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
6. * Selection of Sponsor and Institution	<input type="text" value="Required. Limited to 1 page."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
7. Progress Report Publication List (RENEWAL)	<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
8. * Training in the Responsible Conduct of Research	<input type="text" value="Required. Limited to 1 page."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Sponsor(s), Collaborator(s), and Consultant(s) Section</b>		
9. Sponsor and Co-Sponsor Statements	<input type="text" value="Limited to 6 pages."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
10. Letters of Support from Collaborators, Contributors, and Consultants	<input type="text" value="FORMS-D: New attachment."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Institutional Environment and Commitment to Training Section</b>		
11. Description of Institutional Environment and Commitment to Training	<input type="text" value="FORMS-D: New attachment."/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<b>Other Research Training Plan Section</b>		
<b>Human Subjects</b>		
<p>Please note. The following item is taken from the Research &amp; Related Other Project Information form. The response provided on that page, regarding the involvement of human subjects, is repeated here for your reference as you provide related responses for this Fellowship application. If you wish to change the answer to the item shown below, please do so on the Research &amp; Related Other Project Information form; you will not be able to edit the response here.</p> <p style="text-align: center;">Are Human Subjects Involved?    <input type="checkbox"/> Yes    <input type="checkbox"/> No    <span style="border: 1px solid black; padding: 2px;">Pre-populated from R&amp;R Other Project Information form.</span></p>		
12. Human Subjects Involvement Indefinite?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="text" value="Required if Human Subjects is Yes on the R&amp;R Other Project Information form."/>
13. Clinical Trial?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="text" value="Required if Human Subjects is Yes on the R&amp;R Other Project Information form."/>
14. Agency-Defined Phase III Clinical Trial?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="text" value="Required if Clinical Trial is Yes."/>
15. Protection of Human Subjects	<input type="text" value="Required if Human Subjects is Yes on the R&amp;R Other Project Information form."/>	<input type="button" value="Add Attachment"/> <input type="button" value="View Attachment"/>
16. Data Safety Monitoring Plan	<input type="text" value="FORMS-D: New attachment. Required if Clinical Trials is Yes on the PHS 398 Cover Page Supplement form."/>	<input type="button" value="Add Attachment"/>
17. Inclusion of Women and Minorities	<input type="text" value="Required if Human Subjects is Yes and exemption number is not 4."/>	<input type="button" value="Add Attachment"/> <input type="button" value="View Attachment"/>
18. Inclusion of Children	<input type="text" value="Required if Human Subjects is Yes and exemption number is not 4."/>	<input type="button" value="Add Attachment"/> <input type="button" value="View Attachment"/>

# PHS Fellowship Supplemental Form

## Vertebrate Animals

FORMS-D: New section.

The following item is taken from the Research & Related Other Project Information form and repeated here for your reference. Any change to this item must be made on the Research & Related Other Project Information form.

Are Vertebrate Animals Used?  Yes  No

19. Vertebrate Animals Use Indefinite?  Yes  No

Answer required if Vertebrate Animals Used is Yes on the R&R Other Project Information form.

20. Are vertebrate animals euthanized?  Yes  No

FORMS-D: New question. Answer required if Vertebrate Animals Used is Yes on the R&R Other Project Information form.

If "Yes" to euthanasia

Is method consistent with American Veterinary Medical Association (AVMA) guidelines?  Yes  No

If "No" to AVMA guidelines, describe method and provide scientific justification

FORMS-D: Up to 1000 characters.

## Other Research Training Plan Information

21. Vertebrate Animals

Required if Vertebrate Animals Used is Yes on the R&R Other Project Information form.

22. Select Agent Research

Add Attachment

Delete Attachment

View Attachment

23. Resource Sharing Plan

Add Attachment

Delete Attachment

View Attachment

24. Authentication of Key Biological and/or Chemical Resources

FORMS-D: New attachment. Rigor & transparency changes for individual fellowship applications delayed (NOT-OD-16-034). Until further notice, do not use this attachment unless specifically indicated in your FOA.

View Attachment

## Additional Information Section

### 25. Human Embryonic Stem Cells

\* Does the proposed project involve human embryonic stem cells?

Yes  No

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: <http://stemcells.nih.gov/research/registry/>. Or, if a specific stem cell line cannot be referenced at this time, please check the box indicating that one from the registry will be used:

Specific stem cell line cannot be referenced at this time. One from the registry will be used.

#### Cell Line(s):

Error if provided human embryonic stem cell lines are not listed at <http://stemcells.nih.gov/research/registry/> at time of submission. Use NIH Registration Number (e.g., 0004, 0005). Add up to 200 cell lines.

26. Alternate Phone Number:

27. Degree Sought During Proposed Award:

Degree:

If "other", please indicate degree type:

Expected Completion Date (month/year):

Reset Entry

28. \*Field of Training for Current Proposal:

FORMS-D: Drop-down list of values updated; changed from 4-digit codes to 3-digit codes.

# PHS Fellowship Supplemental Form

29. \*Current Or Prior Kirschstein-NRSA Support?  Yes  No

*If yes, please identify current and prior Kirschstein-NRSA support below:*

\* Level                      \* Type                      Start Date (if known)      End Date (if known)      Grant Number (if known)

--	--	--	--	--

At least one entry is required if 'Current Or Prior Kirschstein-NRSA Support' is Yes. Can provide up to 4 support items.

30. \* Applications for Concurrent Support  Yes  No

*If yes, please describe in an attached file:*

	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
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FORMS-D: Citizenship selections updated.

Answer must be No F05.

31. \* Citizenship:  Yes  No

**U.S.Citizen** \* U.S. Citizen or Non-Citizen National?  Yes  No

**Non-U.S.Citizen**  With a Permanent U.S. Resident Visa

Applicants must meet citizenship requirements at time of award (not time of application submission.)

Non-U.S. Citizen with temporary U.S. Visa only required for F05.  With a Temporary U.S. Visa

If you are a non-U.S. citizen with a temporary visa who has applied for permanent resident status and expect to hold a permanent resident visa by the earliest possible start date of the award, please also check here.

32.  Change of Sponsoring Institution

Name of Former Institution:

	<input type="checkbox"/> Required if 'Change of Sponsoring Institution' box is checked.
--	-----------------------------------------------------------------------------------------

## E. Budget

*All Fellowship Applicants:*

1. \* Tuition and Fees:  None Requested  Funds Requested:

Year 1	<input style="width: 95%;" type="text"/>
Year 2	<input style="width: 95%;" type="text"/>
Year 3	<input style="width: 95%;" type="text"/>
Year 4	<input style="width: 95%;" type="text"/>
Year 5	<input style="width: 95%;" type="text"/>
Year 6 (when applicable)	<input style="width: 95%;" type="text"/>
<b>Total Funds Requested:</b>	<input style="width: 95%;" type="text"/>

*Senior Fellowship Applicants Only:*

Fields in this section are required for F33.

2. Present Institutional Base Salary:	Amount <input style="width: 95%;" type="text"/>	Academic Period <input style="width: 95%;" type="text"/>	Number of Months <input style="width: 95%;" type="text"/>	<input type="button" value="Reset Entry"/>
---------------------------------------	-------------------------------------------------	----------------------------------------------------------	-----------------------------------------------------------	--------------------------------------------

3. Stipends/Salary During First Year of Proposed Fellowship:

a. Federal Stipend Requested:	Amount <input style="width: 95%;" type="text"/>	Number of Months <input style="width: 95%;" type="text"/>
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b. Supplementation from other sources:	Amount <input style="width: 95%;" type="text"/>	Number of Months <input style="width: 95%;" type="text"/>
----------------------------------------	-------------------------------------------------	-----------------------------------------------------------

Type (sabbatical leave, salary, etc.)

Source

## PHS Fellowship Supplemental Form

### F. Appendix

Add Attachments

Delete Attachments

View Attachments

Allows for up to 10 appendices. See Application Guide and announcement for restrictions.

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DO NOT use Appendix attachments to circumvent page limits in other sections of the application. Such actions will be noted at time of review. See NIH Guide notice NOT-OD-11-080.