# Table of Contents

<table>
<thead>
<tr>
<th>Forms Common to Most Application Packages</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>SF424 (R&amp;R)</td>
<td>2</td>
</tr>
<tr>
<td>PHS 398 Cover Page Supplement</td>
<td>4</td>
</tr>
<tr>
<td>R&amp;R Other Project Information</td>
<td>6</td>
</tr>
<tr>
<td>Project/Performance Site Location(s)</td>
<td>7</td>
</tr>
<tr>
<td>R&amp;R Senior/Key Person Profile (Expanded)</td>
<td>8</td>
</tr>
<tr>
<td>SBIR/STTR Information</td>
<td>9</td>
</tr>
<tr>
<td>PHS Human Subjects and Clinical Trials Information</td>
<td>11</td>
</tr>
<tr>
<td>PHS Assignment Request Form</td>
<td>17</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Budget Forms</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>PHS Modular Budget</td>
<td>19</td>
</tr>
<tr>
<td>R&amp;R Budget</td>
<td>20</td>
</tr>
<tr>
<td>R&amp;R Subaward Budget Attachment(s) Form</td>
<td>24</td>
</tr>
<tr>
<td>PHS 398 Training Budget</td>
<td>25</td>
</tr>
<tr>
<td>Training Subaward Budget Attachment Form</td>
<td>27</td>
</tr>
<tr>
<td>PHS Additional Indirect Costs</td>
<td>28</td>
</tr>
<tr>
<td>Construction Budget</td>
<td>30</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research Plan and Equivalent Forms</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>PHS 398 Research Plan</td>
<td>31</td>
</tr>
<tr>
<td>PHS 398 Career Development Award Supplemental Form</td>
<td>32</td>
</tr>
<tr>
<td>PHS 398 Research Training Program Plan</td>
<td>34</td>
</tr>
<tr>
<td>PHS Fellowship Supplemental Form</td>
<td>35</td>
</tr>
</tbody>
</table>

**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 only need to complete the forms provided to you with a specific FOA.
- The actual display of the forms depends on your submission method (ASSIST, system-to-system solution, Workspace). The same form fields and guidance apply regardless of submission method, even if the display is slightly different.
- This resource is for FORMS-E application packages, see [Do I Have the Right Forms for My Application?](#)
- Registration in multiple systems is needed prior to submission, see [Get Registered!](#) Can take 6 weeks – start early!
- 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.
- The blue annotations throughout this resource represent tips, processing notes and eRA system business rule checks (i.e., validations).
APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

1. TYPE OF SUBMISSION
   - Pre-application
   - Application
   - Changed/Corrected Application

2. DATE SUBMITTED
   - Applicant Identifier

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

Use Changed/Corrected when submitting again to Grants.gov for a due date (e.g., to correct eRA identified errors/warnings.)

3. DATE RECEIVED BY STATE APPLICATION FOR FEDERAL ASSISTANCE

4. a. Federal Identifier
   - If New (box 8), leave blank. If Revision/Resubmission/Renewal (box 8), use institute and serial # of previous NIH grant/application # (e.g., CA987654 from 1R01CA987654-01).

   b. Agency Routing Identifier

   c. Previous Grants.gov Tracking ID

   Organizational DUNS:

5. APPLICANT INFORMATION

   Legal Name: ____________________________
   Department: ____________________________
   Division: ____________________________
   Street1: ____________________________
   Street2: ____________________________
   City: ____________________________
   County / Parish: ____________________________
   State: ____________________________
   Country: ____________________________
   ZIP / Postal Code: ____________
   Prefix: ____________________________
   USA: UNITED STATES
   USA: UNITED STATES
   Province: ____________________________
   ZIP / Postal Code: ____________

   Person to be contacted on matters involving this application

   First Name: ____________________________
   Middle Name: ____________________________
   Last Name: ____________________________
   Suffix: ____________________________
   Position/Title: ____________________________
   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):

   Non-US organizations use 444444444.

6. TYPE OF APPLICANT:

   Please select one of the following

   Small Business Organization Type
   Women Owned
   Socially and Economically Disadvantaged

8. TYPE OF APPLICATION:

   See application guide for definitions.

   Revision, mark appropriate box(es).

   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:

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. Limited to 200 characters.

12. PROPOSED PROJECT:

   Start Date: ____________
   Ending Date: ____________

   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.

13. CONGRESSIONAL DISTRICT OF APPLICANT:

   See Key Dates section of announcement. 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: Prefix: First Name: Middle Name: Last Name: Middle Name: Suffix: Suffix:
Position/Title: Position/Title: Organization Name: Organization Name:
Department: Department: Street1: Street1:
Street2: Street2: City: County / Parish: Province:
State: State: ZIP / Postal Code: Country: Country:
Phone Number: Phone Number: Fax Number: Fax Number:
Email: Email:

15. ESTIMATED PROJECT FUNDING

Manually enter estimated project funding amounts.
a. Total Federal Funds Requested
b. Total Non-Federal Funds
c. Total Federal & Non-Federal Funds
d. Estimated Program Income

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES □ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:
   DATE: ___________________________

b. NO □ PROGRAM IS NOT COVERED BY E.O. 12372; OR
   □ PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

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, Section 1001)

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

Signature of Authorized Representative
Date Signed

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).

20. Pre-application

Cover letter is 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. Do not include assignment or review request information in your cover letter (use PHS Assignment Request Form for assignment and review information instead).
1. Vertebrate Animals 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

*Answer required if euthanasia is NOT consistent with AVMA guidelines. Up to 1000 characters.*

2. 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.*

<table>
<thead>
<tr>
<th><em>Budget Period</em></th>
<th><em>Anticipated Amount ($)</em></th>
<th><em>Source(s)</em></th>
</tr>
</thead>
</table>

Form accommodates up to 10 budget periods. The number of program income budget periods must be less than or equal to the number of periods included in the budget form.

3. 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, 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.

4. Inventions and Patents Section (for Renewal applications)

*Inventions and Patents:  

☐ Yes  ☐ No  

If "Yes" then answer the following:

*Previously Reported:  

☐ Yes  ☐ No  

Updated: April 18, 2019
5. Change of Investigator/Change of Institution Section

☐ Change of Project Director/Principal Investigator

Change of PD/PI is not allowed for Revision or Career Development (K) applications.

Name of former Project Director/Principal Investigator:

Prefix: 

*First Name: 

Middle Name: 

*Last Name: 

Suffix: 

If change of PD/PI box is checked, you must provide the last name of the former PD/PI.

☐ Change of Grantee Institution

Change of Grantee Institution is not allowed for Institution Training grant applications.

*Name of former institution: 

If change of Grantee Institution box is checked, you must provide the name of former institution.
1. Are Human Subjects Involved?
   - If YES to Human Subjects
     - Is the Project Exempt from Federal regulations? [Yes] [No]
     - IRB Approval Date: [ ]
   - Only answer Yes if all the proposed research human subject studies are exempt.

2. Are Vertebrate Animals Used?
   - If YES to Vertebrate Animals
     - Is the IACUC review Pending? [Yes] [No]
     - IACUC Approval Date: [ ]
     - Animal Welfare Assurance Number: [ ]
   - If Vertebrate Animals = Yes, additional attachments are required in the PHS 398 Research Plan or equivalent form.

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. Up to 55 characters.
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. Up to 55 characters.

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. Up to 55 characters.

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 a list of countries is required in 6a. Abbreviations can be used. Up to 55 characters.

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. Limited system enforcement.

11. Equipment
    - Required unless otherwise noted in opportunity. Limited system enforcement.

12. Other Attachments
    - Only provide Other Attachments when requested in the funding opportunity announcement text or application guide. Field accommodates multiple attachments.

Updated: April 18, 2019
FORMS-E Series
Page 6 of 37
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: ____________________________

---

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: ____________________________

---

Additional Location(s)

Form accommodates up to 300 sites. Use the Additional Locations attachment to include any sites over 300. See Additional Performance Site Format page at: https://grants.nih.gov/grants/forms/additional-performance-site.htm
**SBIR/STTR Information**

* Agency to which you are applying (select only one)

| DOE | HHS | USDA | Other: |

Check HHS for all NIH, CDC, and FDA submissions.

* SBC Control ID:  **Required.**  *(This 9 digit code is obtained from the Small Business Administration)*

* Program Type (select only one)

| SBIR | STTR | Both  |

SBIR only & only when allowed in FOA.  Not valid for HHS (NIH, CDC, FDA).

* Application Type (select only one)

| Phase I | Phase II | Fast-Track | Direct Phase II | Phase IIA | Phase IIB | Commercialization Readiness Program  *(See agency-specific instructions to determine application type participation.)* |

Check opportunity for allowable Application Types.

* Agency Topic/Subtopic:  **Optional.**

**Questions 1-7 must be completed by all SBIR and STTR Applicants:**

| Yes | No |

* 1a. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement?  **Selection required. Must meet SBIR/STTR eligibility requirements at time of award (not submission).**

* 1b. Anticipated Number of personnel to be employed at your organization at the time of award.  **Required.**

| Yes | No |

* 1c. Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms?  **Selection required.**

| Yes | No |

* 1d. Is your small business a Faculty or Student-Owned entity?  **Selection required.**

| Yes | No |

* 2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies?  **Selection required.**

* If yes, insert the names of the Federal laboratories/agencies:

| Selection required. |

* 3. Are you located in a HUBZone?  To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: http://www.sba.gov  **Selection required.**

| Yes | No |

* 4. Will all research and development on the project be performed in its entirety in the United States?  **Selection required.**

If no, provide an explanation in an attached file.

| Explanation:  **Required if No. Cannot include if Yes.** |

| Yes | No |

* 5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work?  **Selection required.**

* If yes, insert the names of the other Federal agencies:

| Selection required. |

| Yes | No |

* 6. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and email address of the official signing for the applicant organization to state-level economic development organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)?  **Selection required.**

| Yes | No |

* 7. Commercialization Plan: The following applications require a Commercialization Plan: Phase I (DOE only), Phase II (all agencies), Phase III/II Fast-Track (all agencies). Include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions.

| Attach File:  **Required for Phase II, Direct Phase II, Phase IIB, Phase I/Phase II Fast-Track and Commercialization Readiness Program applications. Limited to 12 pages.** |

* Attach File:  **Add Attachment**  **Delete Attachment**  **View Attachment**

**Updated: April 18, 2019**
### SBIR/STTR Information

#### SBIR-Specific Questions:  
*Answers only required for SBIR applications.*

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>8. Have you received SBIR Phase II awards from the Federal Government?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes, provide a company commercialization history in accordance with</td>
<td></td>
<td></td>
</tr>
<tr>
<td>agency-specific instructions using this attachment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>* Attach File:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### STTR-Specific Questions:  
*Answers only required for STTR applications.*

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. Please indicate whether the answer to BOTH of the following questions is TRUE:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

12. Provide DUNS Number of non-profit research partner for STTR.  
* Enter the DUNS or DUNS+4 number of the non-profit research partner for the STTR applicant.*
Please complete the human subjects section of the Research & Related Other Project Information form prior to completing this form.

The following items are taken from the Research & Related Other Project Information form and displayed here for your reference. Any changes to these fields must be made on the Research & Related Other Project Information form and may impact the data items you are required to complete on this form.

<table>
<thead>
<tr>
<th>Are Human Subjects Involved?</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Is the Project Exempt from Federal regulations?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Exemption number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
</tr>
</tbody>
</table>

If No to Human Subjects

Does the proposed research involve human specimens and/or data?

Yes | No

If Yes, provide an explanation of why the application does not involve human subjects research.

Add Attachment | Delete Attachment | View Attachment

Skip the rest of the PHS Human Subjects and Clinical Trials Information Form.

If Yes to Human Subjects

Add a record for each proposed Human Subject Study by selecting ‘Add New Study’ or ‘Add New Delayed Onset Study’ as appropriate. Delayed onset studies are those for which there is no well-defined plan for human subject involvement at the time of submission, per agency policies on Delayed Onset Studies. For delayed onset studies, you will provide the study name and a justification for omission of human subjects study information.

Other Requested Information

Only provide an Other Requested Information attachment when specifically requested in the funding opportunity announcement text or application guide.

Study Record(s)

Attach human subject study records using unique filenames.

1) Please attach Human Subject Study 1

Delayed Onset Study(ies)

Study Title | Anticipated Clinical Trial? | Justification

Required and system enforced for each delayed onset study. Up to 600 characters. Study title must be unique within the application. First 150 characters of title will show in application bookmark.

If Anticipated Clinical Trial box is checked, funding opportunity announcement must allow clinical trials. When multiple studies are included in the same delayed onset record, select Yes if it is anticipated that any study will be a clinical trial.

Delayed onset does NOT apply to a study that can be described but will not start immediately (i.e., delayed start). Multiple delayed onset studies can be grouped in a single record.

Required and system enforced for each delayed onset study. In addition to justification, must include information regarding how the study will comply with the NIH single Institutional Review Board (sIRB) policy prior to initiating any multi-site study, as well as, a plan for the dissemination of NIH-funded clinical trial information.

Updated: April 18, 2019

FORMS-E Series
Study Record: PHS Human Subjects and Clinical Trials Information

Section 1 - Basic Information

1.1. * Study Title (each study title must be unique)
   Required and system enforced. Up to 600 characters. Study title must be unique within the application. First 150 characters of title will show in application bookmark.

1.2. * Is this Study Exempt from Federal Regulations?
   Yes [ ]
   No [ ]

1.3. Exemption Number
   1 2 3 4 5 6 7 8
   Answer required and system enforced.
   If Study Exempt is Yes, must provide exemption number. Exemptions 7 and 8 can be used for due dates on/after January 25, 2019.

1.4. * Clinical Trial Questionnaire
   Answers to questionnaire required and system enforced.
   If the answers to all four questions below are yes, this study meets the definition of a Clinical Trial.

1.4.a. Does the study involve human participants?
   Yes [ ]
   No [ ]

1.4.b. Are the participants prospectively assigned to an intervention?
   Yes [ ]
   No [ ]

1.4.c. Is the study designed to evaluate the effect of the intervention on the participants?
   Yes [ ]
   No [ ]

1.4.d. Is the effect that will be evaluated a health-related biomedical or behavioral outcome?
   Yes [ ]
   No [ ]

1.5. Provide the ClinicalTrials.gov Identifier (e.g., NCT87654321) for this trial, if applicable

Section 2 - Study Population Characteristics

2.1. Conditions or Focus of Study
   Required and system enforced unless study is exemption 4. Up to 20 conditions at 255 characters each.

2.2. Eligibility Criteria
   Required and system enforced unless study is exemption 4 or otherwise noted in opportunity.

2.3. Age Limits
   Minimum Age
   Maximum Age
   Dropdown
   Dropdown
   Age limits are required and system enforced unless study is exemption 4 or otherwise noted in opportunity.

2.4. Inclusion of Women, Minorities, and Children
   Required and system enforced unless study is exemption 4.

2.5. Recruitment and Retention Plan
   Required and system enforced unless study is exemption 4, 1.4.a=No, or otherwise noted in opportunity.

2.6. Recruitment Status
   Required and system enforced unless study is exemption 4, 1.4.a=No, or otherwise noted in opportunity.

2.7. Study Timeline
   Required and system enforced unless study is exemption 4, 1.4.a=No, or otherwise noted in opportunity.

2.8. Enrollment of First Subject
   Date: MM/DD/YYYY
   Dropdown
   If *N/A (No Limit)* selected, do not provide numerical min/ max age.
   If "Active, not recruiting" selected, do not provide numerical min/ max age.
   If "Not yet recruiting" selected, do not provide numerical min/ max age.
   If "Enrolling by invitation" selected, do not provide numerical min/ max age.

Inclusion Enrollment Report(s)

Inclusion Enrollment Reports required and system enforced unless study is exemption 4 or otherwise noted in opportunity.

Add Inclusion Enrollment Report

Up to 20 Inclusion Enrollment Reports can be added.

* Fellowship (F) and Career Development (K) applications to FOAs that do not allow clinical trials cannot propose independent clinical trial studies led by applicant PD/PI. However, proposing studies under the leadership of a sponsor/mentor that allows for clinical trials research experience is encouraged. Answering Yes to all four Clinical Trial Questionnaire questions will not flag the study as a clinical trial. These studies must include HS information, but will receive a system error if information is included in study fields in sections 4 or 5 of form.

Updated: April 18, 2019

FORMS-E Series

Page 12 of 37
# Inclusion Enrollment Report

1. * Using an Existing Dataset or Resource
   - [ ] Yes
   - [ ] No
   - Answer required and system enforced.

2. * Enrollment Location Type
   - [ ] Domestic
   - [ ] Foreign
   - Answer required and system enforced. Do not mix domestic and foreign enrollment data on the same inclusion enrollment report.

3. Enrollment Country(ies)
   - Multi-select from list of countries:

4. Enrollment Location(s)

5. Comments
   - Up to 500 characters.

---

**Planned**

Planned enrollment information is required and system enforced when answer to "Using an Existing Dataset or Resource" question is No. System enforcement relaxed if Comment is provided.

<table>
<thead>
<tr>
<th>Racial Categories</th>
<th>Ethnic Categories</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Not Hispanic or Latino</td>
<td>Hispanic or Latino</td>
</tr>
<tr>
<td></td>
<td>Female</td>
<td>Male</td>
</tr>
<tr>
<td>American Indian/Alaska Native</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Asian</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Native Hawaiian or Other Pacific Islander</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Black or African American</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>White</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>More than One Race</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Updated: April 18, 2019

FORMS-E Series

Page 13 of 37
<table>
<thead>
<tr>
<th>Racial Categories</th>
<th>Not Hispanic or Latino</th>
<th>Hispanic or Latino</th>
<th>Unknown/Not Reported</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Female</td>
<td>Male</td>
<td>Unknown/Not Reported</td>
</tr>
<tr>
<td>American Indian/Alaska Native</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Asian</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Native Hawaiian or Other Pacific Islander</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Black or African American</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>White</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>More than One Race</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Unknown or Not Reported</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**Report 1 of 1**
Section 3 - Protection and Monitoring Plans

3.1. Protection of Human Subjects

Required and system enforced.

3.2. Is this a multi-site study that will use the same protocol to conduct non-exempt human subjects research at more than one domestic site?

☐ Yes  ☐ No  ☐ N/A

Answer required and system enforced. "N/A" is only a valid option for fellowship, and career development applications OR if study is exempt from federal regulations (i.e., Question 1.2a is Yes).

If yes, describe the single IRB plan

Required and system enforced if Yes. Can attach same plan (unique filenames) in multiple studies.

3.3. Data and Safety Monitoring Plan

Required and system enforced for CT study. Optional for HS study.

3.4. Will a Data and Safety Monitoring Board be appointed for this study?

☐ Yes  ☐ No  ☐ N/A

Answer required and system enforced for CT study unless otherwise noted in opportunity. Optional for HS study.

3.5. Overall Structure of the Study Team

Optional.

Section 4 - Protocol Synopsis

4.1. Brief Summary

Up to 5000 characters. Required and system enforced for CT studies unless otherwise noted in opportunity.

4.2. Study Design

All Study Design fields (4.2.a thru 4.2.g) are required and system enforced for CT studies unless otherwise noted in opportunity.

4.2.a. Narrative Study Description

Up to 32,000 characters.

4.2.b. Primary Purpose

Dropdown list: Treatment; Prevention; Diagnostics; Supportive Care; Screening; Health Services Research; Basic Science; Device Feasibility; and Other

4.2.c. Interventions

Up to 20 Interventions allowed.

<table>
<thead>
<tr>
<th>Intervention Type</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Up to 200 characters.</td>
<td>Up to 1,000 characters.</td>
</tr>
</tbody>
</table>

4.2.d. Study Phase

Dropdown list: Early Phase 1 (or Phase 0); Phase 1; Phase 1/2; Phase 2; Phase 2/3; Phase 3; Phase 4; and Other

Is this an NIH-defined Phase III clinical trial?  ☐ Yes  ☐ No

4.2.e. Intervention Model

Dropdown list: Single Group; Parallel; Cross-Over; Factorial; Sequential; and Other.

If Masking is Yes, you must select at least 1 of the Participant/Care Provider/Investigator/Outcomes Assessor check boxes.

4.2.f. Masking

☐ Yes  ☐ No

☐ Participant  ☐ Care Provider  ☐ Investigator  ☐ Outcomes Assessor

Updated: April 18, 2019

FORMS-E Series

Page 15 of 37
### 4.2.g. Allocation

- Dropdown list: N/A; Randomized; and Non-randomized

### 4.3. Outcome Measures

At least one Outcome Measure required and system enforced for CT studies unless otherwise noted in opportunity. Up to 50 Outcome Measures allowed.

<table>
<thead>
<tr>
<th>Name</th>
<th>Up to 255 characters.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type</td>
<td>For Primary, Secondary, and Other</td>
</tr>
<tr>
<td>Time Frame</td>
<td>Up to 255 characters.</td>
</tr>
<tr>
<td>Brief Description</td>
<td>Up to 999 characters.</td>
</tr>
</tbody>
</table>

### 4.4. Statistical Design and Power

- Required and system enforced for CT study unless otherwise noted in opportunity.

### 4.5. Subject Participation Duration

- Up to 255 characters. Required and system enforced for CT studies unless otherwise noted in opportunity.

### 4.6. Will the study use an FDA-regulated intervention?

- Yes
- No

Answer required and system enforced for CT study unless otherwise noted in opportunity.

### 4.6.a. If yes, describe the availability of Investigational Product (IP) and Investigational New Drug (IND)/Investigational Device Exemption (IDE) status

- Required and system enforced if Yes.

### 4.7. Dissemination Plan

- Required and system enforced for CT study. Generally one Dissemination Plan per application is sufficient. Can attach same plan (unique filenames) in multiple studies.

---

**Section 5 - Other Clinical Trial-related Attachments**

### 5.1. Other Clinical Trial-related Attachments

Form supports up to 10 attachments. Attachments only allowed for CT studies. Only include attachments requested in opportunity.
The PHS Assignment Request Form is 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.

The Division of Receipt & Referral (DRR) assigns applications based on the most appropriate match between it, the terms of the FOA, and the mission of each possible awarding component, with your preferences taken into consideration when possible. Watch for typos - automated tools may look for specific strings.

PHS Assignment Request Form

Funding Opportunity Number:

Funding Opportunity Title:

Awarding Component Assignment Request (optional)

If you have a preference for an awarding component (e.g., NIH Institute/Center) assignment, use the link below to identify the appropriate short abbreviation and enter it below. All requests will be considered; however, assignment requests cannot always be honored.

Awarding Components:  https://grants.nih.gov/grants/phs_assignment_information.htm#AwardingComponents

Assign to Awarding Component:

First Choice

Second Choice

Third Choice

If DRR's best match is on your list, then it will go with it, even if not your first choice.

Do Not Assign toAwarding Component:

First Choice

Second Choice

Third Choice

DRR may still assign to listed IC if they determine it is the best match.

Study Section Assignment Request (optional)

If you have a preference for study section assignment, use the link below to identify the appropriate study section (e.g., NIH Scientific Review Group or Special Emphasis Panel) and enter it below. Remove all hyphens, parentheses, and spaces. All requests will be considered; however, assignment requests cannot always be honored.

Study Sections:  https://grants.nih.gov/grants/phs_assignment_information.htm#StudySection

Assign to Study Section: Only 20 characters allowed

First Choice

Second Choice

Third Choice

If DRR's best match is on your list, then it will go with it, even if not your first choice.

Do Not Assign to Study Section: Only 20 characters allowed

First Choice

Second Choice

Third Choice

DRR may still assign to listed study section if they determine it is the best match.
List individuals who should not review your application and why (optional)

Provide sufficient information (e.g., name organization affiliation) to correctly identify each individual. Provide specific reason why an individual should not review your application.

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

Limit your answers to expertise. - DO NOT enter the names of individuals you'd like to review your application.

Expertise:

Only 40 characters allowed
## A. Direct Costs

<table>
<thead>
<tr>
<th>Funds Requested ($)</th>
<th>Direct Cost less Consortium Indirect (F&amp;A)</th>
<th>Consortium Indirect (F&amp;A)</th>
<th>Total Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0.00</td>
<td></td>
<td>0.00</td>
</tr>
</tbody>
</table>

**Direct costs requested must be $250K or less per period to use Modular Budget form. Request in "modules" of $25K.**

**Some grant programs have limits on Total Direct Costs. Check announcement.**

## B. Indirect (F&A) Costs

<table>
<thead>
<tr>
<th>Indirect (F&amp;A) Type</th>
<th>Indirect (F&amp;A) Rate (%)</th>
<th>Indirect (F&amp;A) Base ($)</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Form allows for up to for four F&amp;A entries.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Indirect (F&A) Rate Agreement Date

<table>
<thead>
<tr>
<th>Total Indirect (F&amp;A) Costs</th>
</tr>
</thead>
</table>

## C. Total Direct and Indirect (F&A) Costs (A + B)

<table>
<thead>
<tr>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.00</td>
</tr>
</tbody>
</table>

## Cumulative Budget Information

### 1. Total Costs, Entire Project Period

| Section A, Total Direct Cost less Consortium Indirect (F&A) for Entire Project Period | $ 0.00 |
| Section A, Total Consortium Indirect (F&A) for Entire Project Period | $ |
| Section A, Total Direct Costs for Entire Project Period | $ 0.00 |
| Section B, Total Indirect (F&A) Costs for Entire Project Period | $ |
| Section C, Total Direct and Indirect (F&A) Costs (A+B) for Entire Project Period | $ 0.00 |

### 2. Budget Justifications

- **Personnel Justification**
  - Add Attachment
  - Delete Attachment
  - View Attachment

- **Consortium Justification**
  - Add Attachment
  - Delete Attachment
  - View Attachment

- **Additional Narrative Justification**
  - Add Attachment
  - Delete Attachment
  - View Attachment
## RESEARCH & RELATED BUDGET - Budget Period 1

### 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.  

Prefix must be listed as a Sr/Key with measurable effort in every budget period.  
Base Salary can be left blank for submission, but is required prior to award.

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

### B. Other Personnel

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

<table>
<thead>
<tr>
<th>Number of Personnel</th>
<th>Project Role</th>
<th>Months</th>
<th>Requested Salary ($)</th>
<th>Fringe Benefits ($)</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Post Doctoral Associates</td>
<td>Cal.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Graduate Students</td>
<td>Acad.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Undergraduate Students</td>
<td>Sum.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Secretarial/Clerical</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

You can name up to 6 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

<table>
<thead>
<tr>
<th>Equipment Item</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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.

Add Attachment  Delete Attachment  View Attachment

Additional Equipment:  

Total funds requested for all equipment listed in the attached file  

Total Equipment  

### D. Travel

1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)  
2. Foreign Travel Costs  

Total Travel Cost  

### E. Participant/Trainee Support Costs

<table>
<thead>
<tr>
<th>Support Costs</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Tuition/Fees/Health Insurance</td>
<td></td>
</tr>
<tr>
<td>2. Stipends</td>
<td></td>
</tr>
<tr>
<td>3. Travel</td>
<td></td>
</tr>
<tr>
<td>4. Subsistence</td>
<td></td>
</tr>
<tr>
<td>5. Other</td>
<td></td>
</tr>
</tbody>
</table>

Only complete this section if requested to do so in the funding opportunity announcement.

Number of Participants/Trainees  

Total Participant/Trainee Support Costs
F. Other Direct Costs

<table>
<thead>
<tr>
<th>序号</th>
<th>类别</th>
<th>资金请求（$）</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>材料和供应品</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>出版成本</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>咨询服务</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>ADP/计算机服务</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>分包/联盟/合约成本</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>设备或设施租赁/用户费用</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>改动和改造</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>总其他直接成本</td>
<td></td>
</tr>
</tbody>
</table>

G. 直接成本

<table>
<thead>
<tr>
<th>序号</th>
<th>类别</th>
<th>资金请求（$）</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>总直接成本（A到F）</td>
<td></td>
</tr>
</tbody>
</table>

H. 间接成本

<table>
<thead>
<tr>
<th>间接成本类型</th>
<th>间接成本率 (%)</th>
<th>间接成本基底（$）</th>
<th>资金请求（$）</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>认知联邦机构</th>
</tr>
</thead>
<tbody>
<tr>
<td>（机构名称，POC姓名，POC电话号码）</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>序号</th>
<th>间接成本总</th>
<th>资金请求（$）</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.</td>
<td>总直接和间接成本</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>序号</th>
<th>类别</th>
<th>资金请求（$）</th>
</tr>
</thead>
<tbody>
<tr>
<td>J.</td>
<td>费</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>序号</th>
<th>类别</th>
<th>资金请求（$）</th>
</tr>
</thead>
<tbody>
<tr>
<td>K.</td>
<td>总成本和费</td>
<td></td>
</tr>
</tbody>
</table>

L. 预算说明

(只允许附一个文件)  

预算说明是必需的，必须覆盖所有预算期间。

Subaward/Consortium/Contractual Costs are not pre-populated. Include both Direct and Indirect costs.
# RESEARCH & RELATED BUDGET - Cumulative Budget

## Totals ($)

### Section A, Senior/Key Person

### Section B, Other Personnel

Total Number Other Personnel

### Section C, Equipment

### Section D, Travel

1. Domestic
2. Foreign

### Section E, Participant/Trainee Support Costs

1. Tuition/Fees/Health Insurance
2. Stipends
3. Travel
4. Subsistence
5. Other
6. Number of Participants/Trainees

### Section F, Other Direct Costs

1. Materials and Supplies
2. Publication Costs
3. Consultant Services
4. ADP/Computer Services
5. Subawards/Consortium/Contractual Costs
6. Equipment or Facility Rental/User Fees
7. Alterations and Renovations
8. Other 1
9. Other 2
10. Other 3

### Section G, Direct Costs (A thru F)

### Section H, Indirect Costs

### Section I, Total Direct and Indirect Costs (G + H)

### Section J, Fee

### Section K, Total Costs and Fee (I + J)

---

**Updated:** April 18, 2019

**FORMS-E Series**

**Page 23 of 37**
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.

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

<table>
<thead>
<tr>
<th>Attachment #</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Please attach Attachment 1</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>2) Please attach Attachment 2</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>3) Please attach Attachment 3</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>4) Please attach Attachment 4</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>5) Please attach Attachment 5</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>6) Please attach Attachment 6</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>7) Please attach Attachment 7</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>8) Please attach Attachment 8</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>9) Please attach Attachment 9</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>10) Please attach Attachment 10</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>11) Please attach Attachment 11</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>12) Please attach Attachment 12</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>13) Please attach Attachment 13</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>14) Please attach Attachment 14</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>15) Please attach Attachment 15</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>16) Please attach Attachment 16</td>
<td>Add Attachment</td>
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<td>17) Please attach Attachment 17</td>
<td>Add Attachment</td>
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<tr>
<td>18) Please attach Attachment 18</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>19) Please attach Attachment 19</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>20) Please attach Attachment 20</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>21) Please attach Attachment 21</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>22) Please attach Attachment 22</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>23) Please attach Attachment 23</td>
<td>Add Attachment</td>
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<tr>
<td>24) Please attach Attachment 24</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>25) Please attach Attachment 25</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>26) Please attach Attachment 26</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>27) Please attach Attachment 27</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>28) Please attach Attachment 28</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>29) Please attach Attachment 29</td>
<td>Add Attachment</td>
</tr>
<tr>
<td>30) Please attach Attachment 30</td>
<td>Add Attachment</td>
</tr>
</tbody>
</table>

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.

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 K of the R&R Budget form. This form should only be used in conjunction with the R&R Budget form.

Do not include the Subaward Budget Attachment form with applications that use the PHS 398 Modular Budget form.
## B. Other Direct Costs

<table>
<thead>
<tr>
<th>Trainee Travel</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Related Expenses</td>
<td></td>
</tr>
<tr>
<td>Total Direct Costs from R&amp;R Budget Form (if applicable)</td>
<td></td>
</tr>
<tr>
<td>Consortium Training Costs (if applicable)</td>
<td></td>
</tr>
</tbody>
</table>

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

### D. Indirect (F&A) Costs

<table>
<thead>
<tr>
<th>Indirect (F&amp;A) Type</th>
<th>Indirect (F&amp;A) Rate (%)</th>
<th>Indirect (F&amp;A) Base</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total Indirect (F&A) Costs Requested**

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

## F. Budget Justification

Budget justification is required and must cover all budget periods.
### A. Stipends, Tuition/Fees

<table>
<thead>
<tr>
<th>Type</th>
<th>Stipends Requested ($)</th>
<th>Tuition/Fees Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Predoctoral</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Single Degree</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dual Degree</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Predoctoral</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Postdoctoral</td>
<td>Non-Degree Seeking</td>
<td></td>
</tr>
<tr>
<td>Degree Seeking</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Postdoctoral</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*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)

*Total Other Direct Costs Requested*

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

### D. Total Indirect (F&A) Costs Requested

### E. Total Direct and Indirect (F&A) Costs Requested (C + D)
# TRAINING SUBAWARD BUDGET ATTACHMENT(S) FORM

**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.

<table>
<thead>
<tr>
<th>Attach Training Subaward Budget 1</th>
<th>Add Attachment</th>
<th>Delete Attachment</th>
<th>View Attachment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attach Training Subaward Budget 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 6</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 7</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 9</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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.

**Important:**

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.

<table>
<thead>
<tr>
<th>Attach Training Subaward Budget 11</th>
<th>Add Attachment</th>
<th>Delete Attachment</th>
<th>View Attachment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attach Training Subaward Budget 12</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 13</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 14</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 15</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 16</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 17</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 18</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 19</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 20</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 21</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 22</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 23</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 24</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 25</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 26</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 27</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 28</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 29</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attach Training Subaward Budget 30</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Indirect Costs

<table>
<thead>
<tr>
<th>Indirect Cost Type</th>
<th>Indirect Cost Rate (%)</th>
<th>Indirect Cost Base ($)</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add up to 4 indirect cost rates. You can combine costs associated with multiple subaward organizations in the same entry if the same indirect cost rate applies.

**Total Indirect Costs**

**Budget Justification**

(Only attach one file.)

The Budget Justification should explain what is included in the included indirect cost information.
<table>
<thead>
<tr>
<th>Indirect Costs</th>
<th>Totals ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>System calculated.</td>
</tr>
</tbody>
</table>
**BUDGET INFORMATION - Construction Programs**

**COST CLASSIFICATION**

<table>
<thead>
<tr>
<th></th>
<th>a. Total Cost</th>
<th>b. Costs Not Allowable for Participation</th>
<th>c. Total Allowable Costs (Columns a-b)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Administrative and legal expenses</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>2.</td>
<td>Land, structures, rights-of-way, appraisals, etc.</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>3.</td>
<td>Relocation expenses and payments</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>4.</td>
<td>Architectural and engineering fees</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>5.</td>
<td>Other architectural and engineering fees</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>6.</td>
<td>Project inspection fees</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>7.</td>
<td>Site work</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>8.</td>
<td>Demolition and removal</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>9.</td>
<td>Construction</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>10.</td>
<td>Equipment</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>11.</td>
<td>Miscellaneous</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>12.</td>
<td>SUBTOTAL (sum of lines 1-11)</td>
<td>$</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>13.</td>
<td>Contingencies</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>14.</td>
<td>SUBTOTAL</td>
<td>$</td>
<td>$ 0.00</td>
</tr>
<tr>
<td>15.</td>
<td>Project (program) income</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>16.</td>
<td>TOTAL PROJECT COSTS (subtract #15 from #14)</td>
<td>$</td>
<td>$ 0.00</td>
</tr>
</tbody>
</table>

**FEDERAL FUNDING**

17. Federal assistance requested, calculate as follows:
(Consult Federal agency for Federal percentage share.) Enter eligible costs from line 16c Multiply X 0.00 %

Be sure to include the multiplier or the total will calculate to zero.
**Introduction**
1. **Introduction to Application (for Resubmission and Revision applications)**

   Limited to 1 page (except R25 Resubmission can be 3 pages). Required for Resubmission and Revision applications.

**Research Plan Section**
2. ** Specific Aims**

   Required (except DP1, DP2, DP4, R35, R50 and X02). Limited to 1 page.

3. **Research Strategy**

   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.

4. **Progress Report Publication List**

   Add Attachment  |  Delete Attachment  |  View Attachment

**Other Research Plan Section**
5. **Vertebrate Animals**

   Required for all apps. (except S10), if Vertebrate Animals is Yes on the Other Project Information form.

6. **Select Agent Research**

   Add Attachment  |  Delete Attachment  |  View Attachment

7. **Multiple PD/PI Leadership Plan**

   Required if more than one PD/PI is specified on R&R Sr/Key Person Profile form.

8. **Consortium/Contractual Arrangements**

   Add Attachment  |  Delete Attachment  |  View Attachment

9. **Letters of Support**

   Required for R36 applications.

10. **Resource Sharing Plan(s)**

    Add Attachment  |  Delete Attachment  |  View Attachment

11. **Authentication of Key Biological and/or Chemical Resources**

    Required if project involves key biological and/or chemical resources. Recommend 1 page. No system validation enforcement.

**Appendix**
12. **Appendix**

    Add Attachments  |  Delete Attachments  |  View Attachments

---

DO NOT use Appendix attachments to circumvent page limits in other sections of the application. Applications will be withdrawn and not reviewed if they are submitted with appendix material that are not specifically listed in notice NOT-OD-17-098 or the FOA as allowed or required.

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.
# PHS 398 Career Development Award Supplemental Form

## Introduction

1. Introduction to Application
   - **Required for Resubmission and Revision applications.** Must not be included for New or Renewal applications. Limited to 1 page.

## Candidate Section

2. Candidate Information and Goals for Career Development
   - **Required.** This attachment and the Research Strategy attachment are limited to a combined total of 12 pages unless otherwise stated in the announcement.

## Research Plan Section

3. Specific Aims
   - **Required. Limited to 1 page.**

4. *Research Strategy
   - 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**

6. Training in the Responsible Conduct of Research
   - **Required. Limited to 1 page.**

## Other Candidate Information Section

7. Candidate's Plan to Provide Mentoring
   - **Required for K05 and K24. Do not include for K01, K07, K08, K18, K22, K23, K25, K76, K99, K99/R00. Limited to 6 pages.**

## Mentor, Co-Mentor, Consultant, Collaborators Section

8. Plans and Statements of Mentor and Co-Mentor(s)
   - **Required for K01, K08, K18, K23, K25, K76, K99, K99/R00. Warning if not included for K07 or K22. Limited to 6 pages.**

9. Letters of Support from Collaborators, Contributors, and Consultants
   - **Limited to 6 pages.**

## Environment and Institutional Commitment to Candidate Section

10. Description of Institutional Environment
    - **Required. Limited to 1 page.**

11. Institutional Commitment to Candidate's Research Career Development
    - **Required. Limited to 1 page.**

## Other Research Plan Sections

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

13. Select Agent Research
    - 

14. Consortium/Contractual Arrangements
    - 

15. Resource Sharing
    - 

16. Authentication of Key Biological and/or Chemical Resources
    - **Required if project involves key biological and/or chemical resources. No system validation enforcement.**
Appendix

17. Appendix

* Citizenship

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

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

- Not allowed for K43.
  - With a Permanent U.S. Resident Visa
  - With a Temporary U.S. Visa
  - Not Residing in the U.S.

If you are a non-U.S. citizen with a temporary visa applying for an award that requires permanent residency status, and expect to be granted a permanent resident visa by the start date of the award, check here: ☐
# PHS 398 Research Training Program Plan

## Introduction

1. **Introduction to Application**
   
   Required for Resubmission applications; limited to 3 pages.
   Required for Revision applications; limited to 1 page.

## Training Program Section

2. **Program Plan**
   
   Required. Limited to 25 pages.

3. **Plan for Instruction in the Responsible Conduct of Research**
   
   Rigor & transparency changes for training applications delayed (NOT-OD-16-034).
   Until further notice, do not use this attachment unless specifically indicated in your funding opportunity announcement.

4. **Plan for Instruction in Methods for Enhancing Reproducibility**

5. **Multiple PD/PI Leadership Plan**
   
   Required when multiple Sr/Key entries with the role of PD/PI are included on the R&R Sr/Key Person form.

6. **Progress Report (for Renewal applications)**
   
   Required for Renewal applications.

## Faculty, Trainees and Training Record Section

7. **Participating Faculty Biosketches**
   
   Warning if not included.

8. **Letters of Support**

9. **Data Tables**
   
   Warning if not included. User defined bookmarks in this attachment are included with the bookmarks in the submitted application image in eRA Commons.

## Other Training Program Section

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

11. **Select Agent Research**

12. **Consortium/Contractual Arrangements**

## Appendix

13. **Appendix**

   **DO NOT use Appendix attachments to circumvent page limits in other sections of the application.**
   Applications will be withdrawn and not reviewed if they are submitted with appendix material that are not specifically listed in notice NOT-OD-17-098 or the FOA as allowed or required.

   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.
PHS Fellowship Supplemental Form

Introduction
1. Introduction to Application (for Resubmission applications) [Required for Resubmission applications. Limited to 1 page.]

Fellowship Applicant Section
2. * Applicant's Background and Goals for Fellowship Training [Required. Limited to 6 pages.]

Research Training Plan Section
3. * Specific Aims [Required. Limited to 1 page.]
5. * Respective Contributions [Required. Limited to 6 pages.]
6. * Selection of Sponsor and Institution [Required. Limited to 1 page.]
7. Progress Report Publication List (for Renewal applications) [Add Attachment | Delete Attachment | View Attachment]
8. * Training in the Responsible Conduct of Research [Required. Limited to 1 page.]

Sponsor(s), Collaborator(s), and Consultant(s) Section
9. Sponsor and Co-Sponsor Statements [Required. Limited to 6 pages.]
10. Letters of Support from Collaborators, Contributors, and Consultants [Limited to 6 pages.]

Institutional Environment and Commitment to Training Section
11. Description of Institutional Environment and Commitment to Training [Required for F05, F30, F31, F32, F33, F37, F38, F12, F99/K00. Limited to 2 pages. Includes Additional Education Information for F30 and F31 applications.]

Other Research Training Plan Section
Vertebrate Animals
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]

12. 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

Up to 1000 characters:

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

Updated: April 18, 2019
FORMS-E Series Page 35 of 37
PHS Fellowship Supplemental Form

Other Research Training Plan Information

14. Select Agent Research
Add Attachment | Delete Attachment | View Attachment

15. Resource Sharing Plan
Add Attachment | Delete Attachment | View Attachment

16. Authentication of Key Biological and/or Chemical Resources
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 funding opportunity announcement.

Add Attachment | Delete Attachment | View Attachment

Additional Information Section

17. 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.

18. Alternate Phone Number:

19. Degree Sought During Proposed Award:

Degree: [ ]
If "other", indicate degree type:

Expected Completion Date (MM/YYYY):

20. * Field of Training for Current Proposal:

Enter appropriate 3-digit code from drop-down list.

21. * Current or Prior Kirschstein-NRSA Support? [ ] Yes [ ] No

If yes, 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.

22. * Applications for Concurrent Support

If yes, describe in an attached file:

[ ] Limited to 1 page. [ ] Answer must be No for F05.

23. * Citizenship:

U.S. Citizen

U.S. Citizen or Non-Citizen National? [ ] Yes [ ] No

Non-U.S. Citizen

[ ] With a Permanent U.S. Resident Visa

With a Temporary U.S. Visa

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

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

If you are a non-U.S. citizen with a temporary visa applying for an award that requires permanent residency status, and expect to be granted a permanent resident visa by the start date of the award, check here:

24. [ ] Change of Sponsoring Institution

Required if 'Change of Sponsoring Institution' box is checked.

Name of Former Institution:

Updated: April 18, 2019
### Budget Section

**All Fellowship Applicants:**

25. * Tuition and Fees:  

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
<th>Academic Period</th>
<th>Number of Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Year 6 (when applicable)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Funds Requested:  

**Senior Fellowship Applicants Only:**

**Fields in this section are required for F33.**

26. Present Institutional Base Salary:  

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
<th>Academic Period</th>
<th>Number of Months</th>
</tr>
</thead>
</table>

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

a. Federal Stipend Requested:  

<table>
<thead>
<tr>
<th>Amount</th>
<th>Number of Months</th>
</tr>
</thead>
</table>

b. Supplementation from Other Sources:  

<table>
<thead>
<tr>
<th>Amount</th>
<th>Number of Months</th>
</tr>
</thead>
</table>

Type (e.g., sabbatical leave, salary)  

Source  

### Appendix

28. Appendix  

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