Revised PHS 398 (DHHS Public Health Service Grant Application) Now Available

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Key Dates
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EFFECTIVE DATE: The newly revised "Application for a DHHS Public Health Service Grant" (PHS 398, rev. 9/04) instructions and forms are now available and will be accepted for submission/receipt dates on or after December 1, 2004. **All applications received on or after May 10, 2005 must use the new instructions and forms.** During the transition period, **applications using the previous version (rev. 5/01) of the PHS 398 will be accepted through May 9, 2005.** However, after this date, applications submitted using instructions and forms other than the PHS 398 (rev 9/04) will be returned to the applicant.

The newly revised instructions and forms are available at http://grants.nih.gov/grants/forms.htm. The forms available on the website continue to be provided in two formats—MS Word and PDF-fillable using Adobe Acrobat Reader Software. Free Adobe Software may be accessed at http://www.adobe.com/products/acrobat/readstep.html. Applicants are strongly encouraged to access the instructions and forms via the Internet because they provide valuable links to current policy documents and allow easy navigation of the instructions. This is particularly important with this version due to the interactive format of the instructions. For further information, contact GrantsInfo@nih.gov.

As in the past, applicants should read the instructions carefully. The following is a list of notable changes.

Notable Changes to the PHS 398 (rev. 9/04):

This edition of the PHS 398 has been *extensively* rewritten with a focus on clarity and special emphasis on simplicity and plain language.

  [text removed – go to web for full listing]

Changes of Note to Specific PHS 398 Form/Format Pages:

Face Page:

- **Title**—Form field length has been increased to 81 characters
- **eRA Commons User Name** field has been added. This data item is currently optional
- Human Subjects Research box has been modified to include a new data element for Clinical Trials.
- The IPF option data field in block 9 has been eliminated

Form Page 2:

- Now 2 pages (Form Page 2 & Form Page 2-continued with 5 distinct sections—Description, Performance Sites, Key Personnel, Other Significant Contributors, and Stem Cells.
- Description/Abstract : Instructions have been added requiring the PI to succinctly (2-3 sentences) describe the relevance of the proposed research to public health. Plain language is suggested.

- Key Personnel Section : A field has been added for the **eRA Commons User Name**. This new data item is *currently optional*.
- Other Significant Contributors: This is a new field that allows the PI to identify individuals who have committed to contribute to the scientific development or execution of the project but are *not* committing any specified measurable effort. (Biographical sketches will be required for these individuals; Other Support information will not be required.)
- Human Embryonic Stem Cells: Previously embedded in the Description, information pertaining to projects that involve human embryonic stem cells has now been requested as a separate form field. A link to the Human Embryonic Stem Cell Registry is provided.

Form Pages 4 and 5: Budget pages have been modified to implement the broader application of the policy on Direct Cost Limitations (e.g., excluding consortium/contractual F&A costs when determining eligibility for any application with a direct cost limitation.) Specifically, the "Consortium/Contractual Direct Costs" budget row has been moved to above the "Subtotal Direct Costs" line. **Instructions have been revised to implement the new policy.**

Modular Budget Format Page : The budget data fields have been modified to implement the new policy on Direct Cost Limitations. Specifically, users must now separate the Consortium F&A costs from the other Direct Costs**. Instructions have also been revised to implement the new policy.**

Biographical Sketch Format Page : A field has been added for the **eRA Commons User Name**. This data item is *currently optional*.

Personal Data Page: Applicants are now requested to provide **only the last four digits of the Social Security Number**. While providing this information remains *voluntary*, it is hoped that by limiting the data to only the last four digits, individuals will be more receptive to providing it. This vital information continues to provide the agency with accurate identification, referral, and review of applications and for management of PHS grant programs.

Key Personnel Report Format Page: The request for a Social Security Number is now limited to the **last four digits.**
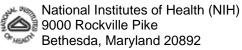
Checklist Form Page:

- A field has been added for "Change in Grantee Institution".
- Foreign Application: Two distinct options are now provided 1) Grants at Foreign Institutions or 2) Domestic Grants with Significant Foreign Involvement. This data area also includes a text entry section to list countries involved.

Specific Changes of Note to the PHS398 Instructions

[snip]
- **Font Size Requirement: NIH now requires the use of Arial-11 or Helvetica-11 point font.**
[snip]
- **Instructions for Modular and Non-Modular Budgets** have been revised to implement the new policy on Direct Cost Limitations; e.g., excluding consortium/contractual F&A costs when determining eligibility for any application with a direct cost limitation. (next page)
[snip]

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Item 7. Costs Requested for Initial Budget Period

Item 7a. Direct Costs Requested for Initial Budget Period

> ***Non-Modular.*** From Form Page 4, enter the "Subtotal Direct Costs for Initial Budget Period".

> ***Modular, With Consortium/Contractual Costs.*** From the Modular Budget Format Page enter the "DC less Consortium F&A" for the initial period only.

> ***Modular, Without Consortium/Contractual Costs.*** From the Modular Budget Format Page enter "Total Direct Costs" for the initial period only.

Item 7b. Total Costs Requested for Initial Budget Period

> ***Non-Modular.*** Enter the sum of: 1) the "Total Direct Costs for Initial Budget Period" from Form Page 4 and 2) the Facilities and Administrative costs for the initial budget period, as calculated on the Checklist Form Page.

> ***Modular, With or Without Consortium/ Contractual Costs.*** Enter the sum of: 1) the "Total Direct Costs" for the initial period from the Modular Budget Format Page and 2) the Facilities and Administrative costs for the initial budget period, as calculated on the Checklist Form Page.

> Note the "Total Direct Costs" used to calculate Item 7b includes any consortium F&A costs.

Item 8. Costs Requested for Proposed Period of Support

Item 8a. Direct Costs Requested for Proposed Period of Support

> ***Non-Modular***. From Form Page 5, enter the sum of "Subtotal Direct Costs" for all years.

> ***Modular, With Consortium/Contractual Costs.*** From the Modular Budget Format Page, enter the "Sum Total" of "DC less Consortium F&A" for all years.

> ***Modular, Without Consortium/Contractual Costs.*** From the Modular Budget Format Page, enter the "Sum Total" of "Total Direct Costs" for all years.

Item 8b. Total Costs Requested for Proposed Period of Support

> ***Non-Modular***. Enter the sum of: 1) "Total Direct Costs" from Form Page 5; and, 2) the Facilities and Administrative costs for the proposed period of support, as calculated on the Checklist Form Page.

> ***Modular, With or Without Consortium/ Contractual Costs.*** Enter the sum of: 1) "Sum Total" from the Modular Budget Format Page; and, 2) the Facilities and Administrative costs for the proposed period of support, as calculated on the Checklist Form Page.

> Note the "Total Direct Costs" used to calculate Item 8b includes any consortium F&A costs.