PHS 398 and 2590 New Forms (Revision 11/07)
And Related Issues...

PHS 398 Forms NOT-OD-08-028

- PHS 398
  - Now available and accepted as of 1/25/08
  - Required for all mechanisms not transitioned to e-submission
  - Old forms may be used until 5/25/08
  - Do not mix form versions
  - Follow instructions applicable to the form version
  - [http://grants.nih.gov/grants/forms.htm](http://grants.nih.gov/grants/forms.htm)

Notable Changes to PHS 398

- Implementation of Grants.gov terminology
- Clarification of “New Investigator” definition
- Instructions reorganized for consistency with SF 424 e-submission instructions
  - Research Plan reorganized to match (except for SF424 location of bibliography)
  - Part II rewritten/Human Subjects definitions moved to Part III
- Note Table of Contents changes - assemble forms following TOC
Notable Changes to PHS 398

- Instructions include:
  - Suggested Cover Letter format
  - Budget justification of foreign component reworded to meet NIH criteria for inclusion of foreign component
  - Instructions regarding use of human/vertebrate animals when plans are indefinite

Notable Changes to PHS 398

- CDA
  - Replaces CDA term “Sponsor” with “Mentor”
  - Numerous instructional clarifications
- Institutional Training
  - Includes information regarding other institutional training awards than Kirschstein NRSA
  - Discusses NIH policy on diversity and retention policy [PA-06-048]
  - Provides fillable tables and examples (replacing narrative instructions)
  - Provision for Multiple PIs in training grants

Specific Changes

- Face Page reorganized
- Form Page 2 abstract block renamed “Project Summary” (NSF-style)
- Separate block for Relevance Statement
- Performance Site info: Use of DUNS # for each site
- Additional Format Page provided for extra site info
Specific Changes

- TOC reorganized – note checklist is last page of administrative section
- Checklist – no list of assurances but adds Disclosure Permission checkboxes bottom of page
- Research Plan numbered to closely match SF424 numbering
- No paper appendices – all on CD

Appendices to PHS 398

- Notice [NOT-OD-08-031]
  - Effective May 25, 2008 using 11/07 revised PHS 398, appendices must be on CD
  - NO PAPER APPENDICES MAY BE SUBMITTED
  - 5 identical CD’s using PDF format
  - Label CD w/ PD/PI name and application title
  - Publication policy still 3 of the following types
    - Manuscripts and/or abstracts accepted for publication but not yet published
    - Published manuscripts and/or abstracts not available free online
    - Patents directly relevant to project

Restrictions to Appendices

- No unpublished theses or submitted but not accepted articles/abstracts
- Publication publicly accessible must not be included in appendix
- URL or PMC id # along w/ full reference s/b included in either:
  - Bibliography and References Cited
  - Progress Report Pub List section of Res. Plan
  - Biographical Sketch
New PHS 2590
NOT-OD-08-030

• PHS 2590
  – Available and must be used for progress reports due March 1, 2008 and beyond
  – Implementation of Grants.gov terminology

• Instruction modifications
  – Instructions reorganized for consistency with SF 424 e-submission instructions and new PHS 398 format
  – Clarification of SNAP question #3 – definition of “Total Approved Budget”

Notable Changes to PHS 2590

• CDA
  – Replaces CDA term “sponsor” with “mentor”

• Institutional Training
  – Includes information regarding other institutional training awards than Kirschstein NRSA
  – Replaced HS Enrollment Form with Training Diversity Form for trainee report
  – Diversity recruitment and retention policy implemented

Notable Changes to PHS 2590

• CDA and Institutional Training
  – Progress Report Narrative increased from 2 pages to 4 pages

• Format changes
  – Face page includes DUNS #
  – Removed “Full IRB or Expedited Review” boxes
  – Item 11a incorporated into Items 2a,2e
  – Performance Site fields changed to capture DUNS#’s
  – Checklist excludes list of assurances; refers to Part III of instructions
<table>
<thead>
<tr>
<th>OLD TERM</th>
<th>NEW TERM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Competing Continuation Progress Report</td>
<td>Continuation Progress Report</td>
</tr>
<tr>
<td>Competing/Administrative Supplement</td>
<td>Revision application</td>
</tr>
<tr>
<td>Principal Investigator</td>
<td>Program Director/Principal Investigator (PD/PI)</td>
</tr>
<tr>
<td>Key Personnel</td>
<td>Senior/ Key Personnel</td>
</tr>
<tr>
<td>Performance site</td>
<td>Project/ performance site</td>
</tr>
<tr>
<td>Duty authorized representative</td>
<td>Authorized Organizational Representative (AOR)</td>
</tr>
</tbody>
</table>

**New Submission Policy**

- **NOT-OD-08-026**
  - Alternate plan for submission and review of research grant applications for APPOINTED MEMBERS OF CHARTERED NIH study sections allows “continuous” submission of application for limited mechanisms
  - Limited to appointed members of chartered standing Study Sections who are PD/PI of application
  - Effective 2/5/08 for R01, R21, R34 only

- **NOT-OD-08-026**
  - Applies only to applications due on standard receipt dates (not for special receipt dates)
  - Applies only to NIH reviewers, not for reviewers in other federal agencies
  - Temp or Ad Hoc members may submit late but not continuously (see late submission policy).
NIH Fiscal Policy for Grant Awards – FY 2008

- NOT-OD-08-036
- Effective 1/1/08 Salary Cap increased to $191,300 from $186,600
- 1% inflation rate for non-competing awards (reduction of funds previously allowed 3%)
  - Excludes NRSA, K awards, SBIR/STTR
- NRSA stipend levels remain unchanged for 2008; use stipend levels posted in 2007
- Competing awards allowed 1% increase FY 2007 allocations

Summary

- New Paper Forms (PHS 398 and 2590) revised 11/07 changed to more closely conform to SF424 form set
- New Appendix policy applies to new forms – no paper appendices - 5 CD copies
- Modified Application Submission policy for permanent members of chartered study sections
- New Salary Cap as of 1/1/08 but no increase in NRSA stipend levels
- FY2008 increases only 1% compared to previous level of 3%

Questions???