

Department of Health and Human Services Public Health Services  <h2 style="text-align: center;">Grant Progress Report</h2>	Review Group	Type	Activity	Grant Number
Total Project Period From: _____ Through: _____ Requested Budget Period From: _____ Through: _____				

1. TITLE OF PROJECT

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR (Name and address, street, city, state, zip code)	2b. E-MAIL ADDRESS  2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT  2d. MAJOR SUBDIVISION  2e. Tel: _____ Fax: _____
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3a. APPLICANT ORGANIZATION (Name and address, street, city, state, zip code)	3b. Tel: _____ Fax: _____  3c. UEI: _____  4. ENTITY IDENTIFICATION NUMBER
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<table style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="text-align: center;">6. HUMAN SUBJECTS</td> <td style="text-align: center;">No</td> <td style="text-align: center;">Yes</td> </tr> <tr> <td style="width:15%;">6a. Research Exempt</td> <td style="width:15%;">If Exempt ("Yes" in 6a): Exemption No.</td> <td style="width:15%;">If Not Exempt ("No" in 6a): IRB approval date</td> <td style="width:55%;"></td> </tr> <tr> <td style="text-align: center;">No    Yes</td> <td></td> <td></td> <td></td> </tr> </table> 6b. Federal Wide Assurance No.  6c. NIH-Defined Phase III Clinical Trial    No    Yes	6. HUMAN SUBJECTS		No	Yes	6a. Research Exempt	If Exempt ("Yes" in 6a): Exemption No.	If Not Exempt ("No" in 6a): IRB approval date		No    Yes				5. NAME, TITLE AND ADDRESS OF ADMINISTRATIVE OFFICIAL   Tel: _____ Fax: _____  E-MAIL: _____
6. HUMAN SUBJECTS		No	Yes										
6a. Research Exempt	If Exempt ("Yes" in 6a): Exemption No.	If Not Exempt ("No" in 6a): IRB approval date											
No    Yes													

7. VERTEBRATE ANIMALS    No    Yes 7a. If "Yes," IACUC approval Date  7b. Animal Welfare Assurance No.	10. PROJECT/PERFORMANCE SITE(S) Organizational Name:  UEI:
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8. COSTS REQUESTED FOR NEXT BUDGET PERIOD  8a. DIRECT \$                      8b. TOTAL \$	Street 1:  Street 2:
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9. INVENTIONS AND PATENTS    No    Yes  If "Yes,    Previously Reported Not Previously Reported	City: _____ County: _____ State: _____ Province: _____ Country: _____ Zip/Postal Code: _____ Congressional Districts:
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11. NAME AND TITLE OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION (Item 13)

TEL:	FAX:	E-MAIL:
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12. Corrections to Page 1 Face Page

13. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.	SIGNATURE OF OFFICIAL NAMED IN 11. <i>(In ink)</i>	DATE
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**Contact Program Director/Principal Investigator:**

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR  
(Name and address, street, city, state, zip code)

2b. E-MAIL ADDRESS

2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT

2d. MAJOR SUBDIVISION

2e. TELEPHONE AND FAX (Area code, number and extension)

TEL:

FAX:

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2d. MAJOR SUBDIVISION

2e. TELEPHONE AND FAX (Area code, number and extension)

TEL:

FAX:

Program Director/Principal Investigator (Last, First, Middle):

<b>DETAILED BUDGET FOR NEXT BUDGET PERIOD – DIRECT COSTS ONLY</b>	<b>FROM</b>	<b>THROUGH</b>	<b>GRANT NUMBER</b>
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List PERSONNEL (*Applicant organization only*)  
 Use Cal, Acad, or Summer to Enter Months Devoted to Project  
 Enter Dollar Amounts Requested (*omit cents*) for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	SALARY REQUESTED	FRINGE BENEFITS	TOTALS
	PD/PI						
<b>SUBTOTALS</b> →							

CONSULTANT COSTS	
EQUIPMENT ( <i>Itemize</i> )	
SUPPLIES ( <i>Itemize by category</i> )	
TRAVEL	
INPATIENT CARE COSTS	
OUTPATIENT CARE COSTS	
ALTERATIONS AND RENOVATIONS ( <i>Itemize by category</i> )	
OTHER EXPENSES ( <i>Itemize by category</i> )	

<b>SUBTOTAL DIRECT COSTS FOR NEXT BUDGET PERIOD</b>	<b>\$</b>
CONSORTIUM/CONTRACTUAL COSTS	DIRECT COSTS
CONSORTIUM/CONTRACTUAL COSTS	FACILITIES AND ADMINISTRATIVE COSTS
<b>TOTAL DIRECT COSTS FOR NEXT BUDGET PERIOD</b> ( <i>Item 8a, Face Page</i> )	<b>\$</b>

Program Director/Principal Investigator (Last, First, Middle):

<b>BUDGET JUSTIFICATION</b>	GRANT NUMBER
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Provide a detailed budget justification for those line items and amounts that represent a significant change from that previously recommended. Use continuation pages if necessary.

<b>CURRENT BUDGET PERIOD</b>	FROM	THROUGH
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Explain any estimated unobligated balance (including prior year carryover) that is greater than 25% of the current year's total budget.

Program Director/Principal Investigator (Last, First, Middle):

<b>PROGRESS REPORT SUMMARY</b>	GRANT NUMBER	
	PERIOD COVERED BY THIS REPORT	
PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR	FROM	THROUGH

APPLICANT ORGANIZATION

TITLE OF PROJECT (Repeat title shown in Item 1 on first page)

A. Human Subjects (Complete Item 6 on the Face Page)		
Involvement of Human Subjects	No Change Since Previous Submission	Change
B. Vertebrate Animals (Complete Item 7 on the Face Page)		
Use of Vertebrate Animals	No Change Since Previous Submission	Change
C. Select Agent Research	No Change Since Previous Submission	Change
D. Multiple PD/PI Leadership Plan	No Change Since Previous Submission	Change
E. Human Embryonic Stem Cell Line(s) Used	No Change Since Previous Submission	Change

SEE PHS 2590 INSTRUCTIONS.

**WOMEN AND MINORITY INCLUSION: See PHS 398 Instructions. Use Inclusion Enrollment Report Format Page.**

Program Director/Principal Investigator (Last, first, middle):

GRANT NUMBER

### CHECKLIST

**1. PROGRAM INCOME (See instructions.)**

All applications must indicate whether program income is anticipated during the period(s) for which grant support is requested. If program income is anticipated, use the format below to reflect the amount and source(s).

Budget Period	Anticipated Amount	Source(s)

**2. ASSURANCES/CERTIFICATIONS (See instructions.)**

In signing the application Face Page, the authorized organizational representative agrees to comply with the policies, assurances and/or certifications listed in the application instructions when applicable. Descriptions of individual assurances/certifications are provided in Part III of the PHS 398, and listed in Part I, 4.1 under Item 14. If unable to certify compliance, where applicable, provide an explanation and place it after the Progress Report (Form Page 5).

**3. FACILITIES AND ADMINISTRATIVE (F&A) COSTS**

Indicate the applicant organization's most recent F&A cost rate established with the appropriate DHHS Regional Office, or, in the case of for-profit organizations, the rate established with the appropriate PHS Agency Cost Advisory Office.

F&A costs will **not** be paid on construction grants, grants to Federal organizations, grants to individuals, and conference grants. Follow any additional instructions provided for Research Career Awards, Institutional National Research Service Awards, Small Business Innovation Research/Small Business Technology Transfer Grants, foreign grants, and specialized grant applications.

DHHS Agreement dated: \_\_\_\_\_ No Facilities and Administrative Costs Requested.

No DHHS Agreement, but rate established with \_\_\_\_\_ Date \_\_\_\_\_

**CALCULATION\***

Entire proposed budget period: Amount of base \$ \_\_\_\_\_ x Rate applied \_\_\_\_\_ % = F&A costs \$ \_\_\_\_\_  
Add to total direct costs from Form Page 2 and enter new total on Face Page, Item 8b.

\*Check appropriate box(es):

Salary and wages base                                      Modified total direct cost base                                      Other base (Explain)

Off-site, other special rate, or more than one rate involved (Explain)

Explanation (Attach separate sheet, if necessary.):

**ALL PERSONNEL REPORT**

GRANT NUMBER

Place this form at the end of the signed original copy of the application. Do not duplicate.

**Always list the PD/PI(s). In addition, list all other personnel who participated in the project during the current budget period for at least one person month or more, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort). Use the following abbreviated categories for describing Role on Project:**

- PD/PI
- Co-Investigator
- Faculty
- Postdoctoral (scholar, fellow, or other postdoctoral position)
- Technician
- Staff Scientist (doctoral level)
- Statistician
- Graduate Student (research assistant)
- Non-student Research Assistant
- Undergraduate Student
- High School Student
- Consultant
- Other (please specify)

If personnel are supported by a Reentry or Diversity Supplement please indicate such after the Role on Project, using the following abbreviations: RS - Reentry Supplement; DS - Diversity Supplement.

Use Cal (calendar), Acad, or Summer to enter months devoted to project.

Commons ID	Name	Degree(s)		Role on Project		Cal	Acad	Summer

Program Director/Principal Investigator (Last, first, middle):

<b>NEXT BUDGET PERIOD</b> <i>(Follow instructions carefully)</i>	<b>FROM</b>	<b>THROUGH</b>	<b>GRANT NUMBER</b>
<b>ITEMIZE DIRECT COSTS REQUESTED FOR NEXT BUDGET PERIOD</b>			<b>DOLLAR AMOUNT REQUESTED (omit cents)</b>
<b>PREDOCTORAL STIPENDS</b> <i>(List trainee names)</i>			
<b>POSTDOCTORAL STIPENDS</b> <i>(Itemize) (List trainee names and levels)</i>			
<b>OTHER STIPENDS</b> <i>(Specify)</i>			
<b>TOTAL STIPENDS</b> <span style="float: right;">→</span>			
<b>TUITION and FEES</b> (including Health Insurance when applicable – see new Instructions) <i>(Itemize)</i> <i>(List each category separately)</i>			
<b>TRAINEE TRAVEL</b> <i>(Describe)</i>			
<b>TOTAL DIRECT COSTS FOR NEXT BUDGET PERIOD</b> <i>(Also enter on Page 1, Item 8a)</i>			<b>\$</b>



# PHS Inclusion Enrollment Report

Note: PHS Inclusion Enrollment Report is not included in this combined form. See individual form here: <http://grants.nih.gov/grants/forms/inclusion-enrollment-report.pdf>

## Trainee Diversity Report

**This report format should NOT be used for data collection from trainees.**

**Training Grant Title:** \_\_\_\_\_

**Total Number of Appointed:** \_\_\_\_\_

**Grant Number:** \_\_\_\_\_

<b>PART A. TOTAL TRAINEE APPOINTMENTS REPORT: Number of Trainees Appointed by Ethnicity and Race</b>				
Ethnic Category	Females	Males	Sex/Gender Unknown or Not Reported	Total
Hispanic or Latino				**
Not Hispanic or Latino				
Unknown (individuals not reporting ethnicity)				
<b>Ethnic Category: Total of All Trainees*</b>				*
<b>Racial Categories</b>				
American Indian/Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
More Than One Race				
Unknown or Not Reported				
<b>Racial Categories: Total of All Trainees*</b>				*
<b>PART B. HISPANIC TRAINEE APPOINTMENTS REPORT: Number of Hispanics or Latinos Appointed</b>				
Racial Categories	Females	Males	Unknown or Not Reported	Total
American Indian or Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
More Than One Race				
Unknown or Not Reported				
<b>Racial Categories: Total of Hispanics or Latinos**</b>				**
<b>PART C. TRAINEES WITH DISABILITIES OR FROM DISADVANTAGED BACKGROUNDS</b>				
Number of Trainees with Disabilities:				
Number of Trainees from Disadvantaged Backgrounds:				

(\*) (\*\*) These totals must agree.