ERC

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
Centers for Disease Control and Prevention (CDC)
National Institute for Occupational Safety and Health

TRAINING GRANT APPLICATION
(New, Competing Continuation, and Supplemental)
Form CDC 2.145A

GENERAL INFORMATION

Introduction

READ AND FOLLOW THESE INSTRUCTIONS CAREFULLY TO AVOID DELAYS AND MISUNDERSTANDINGS. Before preparing an application, review the Public Health Service Grants Policy Statement for information on the administration of training grants and cooperative agreements. A copy of this document is available at most applicant organizations.

Information Available to the General Public

The Freedom of Information Act (5 USC 552) and the associated Public Information Regulations (45 CFR, Part 5) of the Department of Health and Human Services (DHHS) require the release of certain information about grants upon request. Release does not depend upon the intended use of the information, but is subject to deletion of material that would affect patent or other valuable rights. The grantee institution and the program director will be notified about any such release.

Information Available to the Program Director

Under the provisions of the Privacy Act, program directors may request copies of their grant records from the organization responsible for funding decisions. In addition, program directors may request amendment of a record if they believe it is inaccurate, untimely, incomplete or irrelevant.

The Privacy Act 1974 (5 USC 552a) and the associated Privacy Act Regulations (45 CFR, Part 5b) give individuals the right of access, upon request, to information in the records concerning themselves. The Act provides a mechanism for correction or amendment of such information. It also provides for the protection of information pertaining to an individual, but it does not prevent disclosure if release of such information is required under the Freedom of Information Act. If a Privacy Act system of records applies, the name and number of the system will be identified.

If applicable, the Privacy Act requires that a Federal agency requesting information from an individual advise the individual of the agency's authority to make the request, whether compliance with the request is voluntary or mandatory; how and why the information will be used both inside and outside the agency; and what the consequences are for the individual of failing to provide all or any part of the requested information.

The CDC requests the information described in these instructions under authority of the Public Health Service

Act as amended (42 USC 289-1). Although provision of the information requested is entirely voluntary, it is necessary for making grant award decisions. A lack of sufficient information may hinder CDC's ability to review applications. This information will be used within the Department of Health and Human Services, and may be disclosed outside the Department as permitted by the Privacy Act under the applicable system of records.

Government Use of Information

In addition to using information for evaluating applications, the CDC may use information to discharge its responsibilities concerning Occupational Safety and Health Training Grant awards under Section 21 (a) (1) of the Occupational Safety and Health Act of 1970 to identify candidates who may serve as ad hoc consultants or committee or national advisory council and board members; and to perform cost analyses of proposed grants.

The CDC maintains applications and grant records as part of a system of records defined by the Privacy Act of 1974: File No. 0920-0055, Research/Demonstration, and Training Grants, and Cooperative Agreement Application Files, HHS, CDC, NIOSH. The Privacy Act of 1974 (5 USC 552a) allows disclosures for "routine uses" and for permissible disclosures.

Some routine uses are:

1. To the cognizant audit agency for auditing;

2. To a congressional office at the request of the record subject;

3. To qualified experts not within the definition of Department of Health and Human Services (DHHS) employees as prescribed in DHHS regulations (45 CFR, Part 5b.2) for opinions as a part of the application review process;

4. To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter;

5. To organizations in the private sector with whom CDC has contracted for the purpose of collating, analyzing, aggregating or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records; and

6. To the applicant organization in connection with performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.

7. Another routine use is to the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party:

a. the DHHS, or any component thereof;

b. any DHHS employee in his or her official capacity;

c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or

d. The United States or any agency thereof, where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

The Privacy Act also authorizes discretionary disclosures where determined appropriate by the CDC, including to law enforcement agencies; to the Congress acting within its legislative authority; to the Bureau of the Census; to the National Archives; to the General Accounting Office; pursuant to a court order; or as required to be disclosed by the Freedom of Information Act of 1974 (5 USC 552) and the associated DHHS regulations (45 CFR. Part 5).

ASSURANCES AND CERTIFICATIONS

1. Human Subjects

The DHHS regulations for the protection of human subjects provide a systemic means, based on established, internationally recognized ethical principles, to safeguard the rights and welfare of individuals who participate as subjects in research activities supported or conducted by the DHHS. The regulations stipulate that an applicant organization, whether domestic or foreign, bears responsibility for safeguarding the rights and welfare of human subjects in DHHS-supported research activities. The regulations require that applicant organizations proposing to involve human subjects in nonexempt research, file a written Assurance of Compliance with the Office for Human Research Protections (OHRP), establishing appropriate policies and procedures for the protection of human subjects. These regulations, 45 CFR 46, Protection of Human Subjects, are available from the Office of Human Research Protections, Department of Health and Human Services, 6100 Executive Boulevard, Suite 3B01, MSC-7507, Rockville, Maryland 20892-7507. For express or hand delivered mail, use zip code 20852.

The regulations define “human subject” as “ a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual or (2) identifiable private information.” The regulations extend to the use of human organs, tissues, and body fluids from individually identifiable human subjects as well as to graphic, written, or recorded information derived from individually identifiable human subjects. The use of autopsy materials is governed by applicable state and local law and is not directly regulated by 45 CFR 46.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories are exempt from coverage by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers, linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation.

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph(2)(b) of this section, if: (a) the human subjects are elected or appointed public officials or candidates for public office; or (b) Federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot by identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a)

public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Investigators who conduct research involving fetuses, pregnant women, children, human in vitro fertilization, or prisoners, must follow the provisions of the regulations in Subparts B, C, and D of 45 CFR 46, which describe the additional protections required for these subjects.

No DHHS award for nonexempt research involving human subjects will be made to an applicant organization unless that organization is operating in accord with an approved Assurance of Compliance and provides certification that an appropriate Institutional Review Board (IRB) has reviewed and approved the proposed activity in accordance with the DHHS regulations. No award to an individual will be made unless that individual is affiliated with an assured organization that accepts responsibility for compliance with the DHHS regulations. Foreign organization must also comply with the provisions of the regulations.

See also the CDC Policy Requirements for Inclusion of Women and Racial and Ethnic Minorities in Research, which is an Attachment to the Program Announcement.

2. Vertebrate Animals

The PHS *Policy on Humane Care and Use of Laboratory Animals* requires that applicant organizations proposing to use vertebrate animals file a written Animal Welfare Assurance with the Office of Laboratory Animal Welfare (OLAW) which is responsible for implementation of the PHS Policy on Humane Care and Use of Laboratory Animals. These responsibilities include compliance oversight, educational and instructional programs in the requirements of the PHS Policy, and the negotiation of Assurance of Compliance with institutions engaged in PHS-supported research using vertebrate animals. OLAW also works to coordinate relevant policies and procedures within PHS and with other Departments and Agencies. The PHS policy stipulates that an applicant organization, whether domestic or foreign, bears responsibility for the humane care and use of animals in PHS-supported research activities. This policy implements and supplements the *U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training,* and requires that institutions use the *Guide for the Care and Use of Laboratory Animals* as a basis for developing and implementing an institutional animal care and use program. This policy does not affect applicable State and local laws or regulations that impose more stringent standards for the care and use of laboratory animals. All institutions are required to comply, as applicable, with the Animal Welfare Act as amended (7 USC 2131 et sec.) and other Federal statutes and regulations relating to animals. These documents are available from the Office of Laboratory Animal Welfare(OLAW), National Institutes of Health, RKL1, Suite 1050, MSC 7982, 6705 Rockledge Drive, Bethesda, Maryland 20892-7982. For express or hand delivered mail, use zip code 20817.

The PHS policy defines “animal” as “any live, vertebrate animal used or intended for use in research, research training, experimentation or biological testing or for related purposes.”

No PHS award for research involving vertebrate animals will be made to an applicant organization unless that organization is operating in accordance with an approved Animal Welfare Assurance and provides verification that the Institutional Animal Care and Use Committee (IACUC) has reviewed and approved the proposal activity in accordance with the PHS policy. Applications may be referred by the PHS back to the IACUC for further review in the case of apparent or potential violations of the PHS policy. No award to an individual will be made unless that individual is affiliated with an assured organization that accepts responsibility for compliance with the PHS policy. Foreign applicant organizations applying for PHS awards for activities involving vertebrate animals are required to comply with PHS policy or provide evidence that acceptable standards for the humane care and use of animal will be met.

3. Assurance of Compliance (Civil Rights, Handicapped Individuals, Sex Discrimination, Age Discrimination)

Before an award is made, the applicant organization must have submitted and had accepted by the DHHS Office for Civil Rights, an Assurance of Compliance, Form HHS 690, agreeing to comply with:

1. Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), as amended, and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 80). This provides that, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefit of, or be otherwise subjected to discrimination under any program or activity receiving Federal financial assistance.

2. Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), as amended (45 CFR Part 84). This provides that no handicapped individual in the United States, shall solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

3. Title IX of the Educational Amendments of 1972 (Pub. L. 92-318), as amended (45 CFR Part 86), which provides that no person shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any education program or activity receiving Federal financial assistance.

4. The Age Discrimination Act of 1975 (Pub L. 94- 135), as amended (45 CFR, Part 91) providing that no person shall, on the basis of age, be excluded from participation in, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

In accordance with 45 CFR, Part 83 of the DHHS Regulations issued under Sections 704 and 855 of the Public Health Service Act, no grant, cooperative agreement, loan guarantee, or interest subsidy payment under Titles VII or VIII of the Public Health Service Act shall be made to or for the benefit of any entity, and no contract under Titles VII or VIII of the Public Health Service Act shall be made with any entity, unless the entity furnishes assurances satisfactory to the Director, Office for Civil Rights, that the entity will not discriminate on the basis of sex in the admission of individuals to its training programs.

4. Delinquent Federal Debt.

Before a grant award can by made, the applicant must certify that it is not delinquent on the repayment of any Federal debt. The certification applies to the applicant organization, not to the person signing the application as the authorized representative nor to the principal investigator/program director.

Examples of Federal debt include delinquent taxes, audit disallowances, guaranteed or direct student loans, FHA loans, business loans, and other miscellaneous administrative debts. For purpose of this certification, the following definitions of “delinquency” apply:

• For direct loans and fellowships (whether awarded directly to the applicant by the Federal Government or by an institution using Federal funds), a debt more than 31 days past due on a scheduled payment. (Definition **excludes** “service” payback under a National Research Service Award.)

• For guaranteed and insured loans, recipients of a loan guaranteed by the Federal Government that the Federal Government has repurchased from a lender because the borrower breached the loan agreement and is in default.

• For grants, organizations in receipt of “Notice of Grants Cost Disallowance” which have not repaid the disallowed amount or which have not resolved the disallowance. (Definition excludes cost disallowances in an “appeal” status.)

Where the applicant discloses delinquency on debt to the Federal Government, the CDC shall (1) take such information into account when determining whether the prospective grantee organization is responsible with respect to that grant, and (2) consider not making the grant until payment is made or satisfactory arrangements are made with the agency to whom the debt is owed. Therefore, it may be necessary for the

CDC to contact the applicant before a grant can be made to confirm the status of the debt and ascertain the payment arrangements for its liquidation. Applicants that fail to liquidate indebtedness to the Federal Government in a businesslike manner place themselves at risk of not receiving financial assistance from the CDC.

5. Debarment and Suspension.

Before a grant award can be made, the applicant organization must certify, among other things, that neither it not its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency. Subawardees, that is, other corporations, partnerships, or other legal entities (called "lower tier" participants), must make the same certification to the applicant organization concerning their covered transactions. Please refer to the pertinent DHHS implementing regulations, Title 45 Code of Federal Regulations Part 76, for complete certification requirements.

6. Drug-Free Workplace.

Before a grant award can be made, the applicant organization must certify that it will provide a drug-free workplace. The main points of the certification require the applicant to:

• Publish a statement notifying employees that the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the workplace and specifying the actions that will be taken against employees for violation of such prohibition:

• Establish a drug-free awareness program;

• Require that each employee engaged in the performance of a grant or contract be provided a copy of the published statement;

• Notify the employee that as a condition of employment, the employee will abide by the terms of the statement;

• Notify the PHS awarding component of any employee convicted of a drug violation occurring in the workplace; and

• Require any employee who is convicted of a drug offense occurring in the workplace to participate in a rehabilitation program.

Please refer to the pertinent DHHS implementing regulations, Title 45 Code of Federal Regulations Part 76, for complete certification requirements.

7. Lobbying

Title 31, United State Code, Section 1352, entitled "Limitation on Use of Appropriated Funds to Influence Certain Federal Contracting and Financial Transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (nonappropriated) funds. These requirements apply to grants and cooperative agreements **exceeding** $100,000 in total costs. DHHS regulations implementing Section 1352 are provided in 45 CFR Part 93, "New Restrictions on Lobbying."

The complete Certification regarding lobbying is provided below.

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief that:

"(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee or Congress, or an employee of a Member of Congress

in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federally appropriated funds have been paid or will by paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly".

"This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000, and not more than $100,000 for each such failure."

Standard Form LLL, "Disclosure of Lobbying Activities," its instruction, and continuation sheet are available from GrantsInfo, National Institute of Health, e-mail:Grantsinfo@nih.gov, (301) 435-0714.

See additional CDC policy on Lobbying in Attachments to the Program Announcement.

8. Research Misconduct

Each institution that receives or applies for a research, research training, or research-related grant or cooperative agreement under the Public Health Service Act must certify that the institution has established administrative policies as required by (1) 42 CFR Part 50, Subpart A, "Responsibilities for PHS Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science", and (2) 42 CFR 94, "Public Health Service Standards for the Protection of Research Misconduct Whistleblowers" (effective on the date set forth in the final rule). Further, each covered institution must certify that it will comply with those policies and the requirements of the Final Rule.

The signature of the official signing for the applicant organization on the Face Page of the application serves as certification that:

(a) The institution will comply with the requirements of the PHS regulations for dealing with reporting possible scientific misconduct under 42 CFR Part 50, Subpart A, and for protecting research misconduct whistleblowers under 42 CFR Part 94;

(b) The institution has established polices and procedures incorporating the provisions set forth in 42 CFR Part 50, Subpart A, and 42 CFR Part 94;

(c) The institution will provide its policies and procedures to the Office of Research Integrity upon request; and

(d) The institution will submit an Annual Report on Possible Research Misconduct (Form 6349). A copy of Form 6349, covering the previous year, will be automatically sent to all PHS awardees by the Office of Research Integrity each January.

"Misconduct in Science" and "Research Misconduct" are defined by the Public Health Service as "fabrication, falsification, plagiarism or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting or reporting research. It does not include honest error or honest differences in interpretation or judgments of data."

For further information, contact the Office of Research Integrity, Division of Policy and Education, Rockwall II, Suite 700, 5515 Security Lane, Rockville, MD 20852, (301) 443-5300, Fax: (301) 594-0042 or (301) 445-

5351.

PHS Metric Program

Consistent with Government-wide implementing regulations, 15 CFR Part 19, Subpart B and/or any other Government-wide requirements, PHS policy is to support Federal transition to the metric system and to use the metric system of measurement in all grants, cooperative agreements, and all other financial assistance awards. Likewise, measurement values in reports, publications, and other communications regarding grants will be in metric.

Smoke-Free Workplace

The PHS strongly encourages all grants recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. In addition, Public Law 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care, or early childhood development services are provided to children. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

GENERAL INSTRUCTIONS

Forms

Use Form CDC 2.145A to apply for a NEW, COMPETING CONTINUATION or SUPPLEMENTAL training grant. Do not use this form to apply for ANNUAL NON-COMPETING CONTINUATION GRANT during an approved project period.

Preparing and Submitting Your Application

Read and follow the instructions carefully to avoid delays and misunderstandings.

In preparing the application, use English and avoid jargon. For terms not universally known, spell out the term the first time it is used, with the appropriate abbreviation in parentheses; the abbreviation may be used thereafter.

The narrative should be no more than fifteen pages per program, single-spaced, printed on one side with one-inch margins and unreduced 12-point font. The print must be clear and legible. Use standard size, black letters that can be clearly copied. Do not use photo reduction. Prepare all graphs, diagrams, tables, and charts in black ink. The application must contain only material that can be photocopied. Do not include course catalogue and course brochures. When additional space is needed to complete any of the items, use plain white paper (8 ½ X 11 inches), leave one-inch margins on each side, identify each item by its title, and type the name of the program director and the grant number in the upper right corner of each page. All pages, including Appendices should be numbered consecutively at least one-half inch from the bottom edge.

You may substitute computer-generated facsimiles, but they must maintain the exact wording and format of the government-printed forms, including all captions and spacing. Deviations may be grounds for the CDC to reject the entire application.

Observe type size specifications throughout the application, or the application will be returned without review. Adherence to type size requirements is necessary for several reasons. No applicants should have the advantage, by using small type, of providing more text in their applications. Small type may also make it difficult for reviewers to read the application.

Figures, charts, tables, figure legends, and footnotes may be smaller in size but must be readily legible.

Applicants should use the CDC/NIOSH Recommended Outline for the Preparation of ERC Competing New/Renewal Training Grant Applications provided on the CDC website at

http: www.cdc.gov/od/pgo/forminfo.htm. Limit the pages in the narrative section describing training programs/cores to **15 pages per training program/ core.** Mail or deliver the complete and signed original of the application and two signed, exact photocopies in one package by the date indicated to: Technical Information Management- PA # (INSERT #), CDC Procurement and Grants Office, 2920 Brandywine Road, Atlanta, Georgia 30341-4146. The photocopies must be clear. Do not bind or staple the sets, but secure them with rubber bands or paper clips.

Do not submit an incomplete application. An application will be considered incomplete and returned if it fails to follow the instructions or if the material presented is insufficient to permit an adequate review without the solicitation of a substantial amount of additional information. Do not submit additional material pertinent to an application after the receipt date unless it is specifically solicited or agreed to by prior discussion with an appropriate CDC/NIOSH staff member.

The deadline for submission of new, competing continuation or supplemental grants is **July 1.** Applications must be received in the Procurement and Grants Office by 4:00 p.m. Eastern Time on the deadline date. If you send your application by the United States Postal Service or commercial delivery service, you must ensure that the carrier will be able to guarantee delivery of the application by the closing date and time. If CDC receives your application after closing due to: (1) carrier error, when the carrier accepted the package with a guarantee for delivery by the closing date and time, and (2) significant weather delays or natural disasters, you will be given the opportunity to submit documentation of the carrier's guarantee. If the documentation verifies a carrier problem, CDC will consider the application as having been received by the deadline.

If a **receipt date** falls on a weekend, it will be extended to the following Monday; if the date falls on a holiday; it will be extended to the following work day.

Supplemental applications submitted by an applicant, either for performance at its own institution or one of the affiliates, will be submitted using page 1 (face page) of the (CDC 2.145A) application form together with budget pages and justifications. Supplemental applications for affiliate organizations will also include a page 1 of the (CDC 2.145A) application form with appropriate budget justifications. Any supplemental application submitted directly by an affiliate of an ERC without the appropriate page 1 from the ERC recipient will be returned.

SPECIFIC INSTRUCTIONS

The name of the program director should be typed in the upper right corner of every form and continuation page except page 1.

Below is an explanation of the items on the application form. If additional space is needed to complete any of the items, use continuation pages and identify each item with its number and/or title. If any item in the application is not applicable, please insert "NA" in that space.

Please refer to the CDC/NIOSH Recommended Outline for the Preparation of ERC Competing New/Renewal Training Grant Applications (http: www.cdc.gov/od/pgo/forminfo.htm).

Instructions for Page 1

Item 1. Title of Training Proposal. Enter the Title of the Proposal. Specify ERC. A COMPETING CONTINUATION or REVISED application should have the same title as the previous grant or application. If the specific aims of the project have changed significantly, submit a NEW rather than a COMPETING CONTINUATION or REVISED APPLICATION. A SUPPLEMENTAL application must have the same title as the currently funded grant.

Item 2. Program Announcement Name and Number. Indicate the Program Announcement name and number under which this training proposal is submitted.

Item 3. **Discipline, Specialty or Field of Training**. Examples of entries under this item are occupational health nursing, industrial hygiene, occupational safety, occupational medicine, etc..

Item 4a. **Name of Program Director**. Name the one person responsible to the applicant organization for the

direction of the proposed program.

Item 4b. Highest Degree. List highest earned degree(s) only.

Item 4c. Position Title. If more than one title, indicate the one most relevant to the proposed training.

Item 4d. Mailing Address. Enter the office address of the program director.

Item 4e. Department, Laboratory, Equivalent. Indicate the organizational affiliation such as Department of Environmental Health, Environmental Sciences Laboratory. If part of a larger component, indicate all levels; e.g. Center for Ergonomics, Department of Industrial and Operations Engineering.

Item 4f. Major Subdivision. Indicate the school, college, or other major subdivision, such as medical, dental, engineering, graduate, nursing, or public health. If there is no such subdivision, enter "None."

Item 4g. Telephone. Enter the telephone, fax and e-mail number at which the program director usually can be reached during business hours.

Item 5. Dates of Entire Proposed Project Period. The total period of support requested in this application may not exceed 5 years. To select an appropriate beginning date for a NEW or SUPPLEMENTAL application, consult the review and award schedule in the program announcement. The usual starting date for new projects is July 1. For a COMPETING CONTINUATION application, choose a beginning date immediately following the expiration date of the currently funded project. A SUPPLEMENTAL application may be submitted for any period within the project period of the currently funded grant. Make the ending date of the supplement's first budget period coincide with the ending date of the budget period that is to be supplemented, regardless of the supplement's beginning date. If supplemental funds are being requested also for the future years of a currently funded grant, make the future years' budget periods coincide with the relevant budget periods of the currently funded grant.

Item 6. Human Subjects and Vertebrate Animals. If you do not plan to conduct research activities during the proposed project period under the ERC Pilot Project Research Training Program, check "no".

If research activities are planned during the project period, check "yes". If yes, and if research projects involving human subjects are planned, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the NIOSH Project Officer before the research can begin.

The institution must also have on file with the Department an approved assurance of compliance with the regulations. The regulations state that "each institution engaged in research which is covered by this policy and which is conducted or supported by a Federal Department or Agency shall provide written assurance satisfactory to the Department or Agency head that it will comply with the requirements set forth in this policy. In lieu of requiring submission of an assurance, individual Department or Agency heads shall accept the existence of a current assurance, appropriate for the research in question, on file with the Office for Protection from Research Risks, National Institutes of Health, DHHS, and approved for Federalwide use by that office."

If projects involving vertebrate animals are planned at any time during the proposed project period, Assurance and IACUC approval must be submitted to the CDC Grants Management Specialist before the research can begin.

Item 7. Official in Business Office to be Notified if an Award is Made. Self-explanatory.

Item 8. Applicant Organization. Give the name and address of the one organization that will be legally and financially responsible and accountable for the use and disposition of any funds awarded on the basis of this application.

Item 9. Entity Identification Number, DUNS Number, Congressional District. Enter the number assigned to the applicant organization by the DHHS for payment and accounting purposes. If a number has not yet been assigned, enter the organization's Internal Revenue Service employer identification number.

A Dun and Bradstreet Data Universal Numbering System (DUNS) number must be entered. The DUNS number is a 9-digit identification code assigned by Dun and Bradstreet. To obtain a DUNS number, access

www.dunandbradstreet.com or call 1-866-705-5711. For additional information on this requirement see CDC notice to grantees at www.cdc.gov/od/pgo/funding/pubcommt.htm

Enter the number of the Congressional District.

Item 10. Type of Organization. Check the appropriate box.
A private nonprofit organization is an institution, corporation or other legal entity no part of whose net earnings may lawfully inure to the benefit of any private shareholder or individual. A private nonprofit organization must submit proof of its nonprofit status if it has not previously done so. Acceptable proof to be submitted with the completed application may be: (a) a reference to the organization's listing in the most recent Internal Revenue Service cumulative list of tax exempt organizations; (b) a copy of a currently valid Internal Revenue Service tax exemption certificate; (c) a statement from a State taxing authority or State attorney general certifying that the organization is a nonprofit organization operating within the State, and that no part of its earnings may lawfully inure to the benefit of any private shareholder or individual; or (d) a certified copy of the certificate of incorporation or other document that clearly establishes the nonprofit status of the organization.

Item 11. Official Signing for Applicant Organization. Name an individual authorized to act for the applicant organization and to assume the obligations imposed by the Federal laws, requirements, and conditions for a grant application, including the applicable Federal regulations. For electronic mail, enter the appropriate e-mail address.

Item 12. Program Director Assurance. Self-explanatory.

Item 13. Certification and Acceptance. The signature of an authorized official of the applicant organization is required as certification that the information in the application is correct, that the organization agrees to abide by enabling legislation, applicable regulations, PHS policies, and conditions placed on the award, and that adequate facilities will be made available for the conduct of the proposed training program. "Per" signatures are not acceptable. Signatures are required in ink.

Assurances/Certifications
Each application to the PHS requires that assurances and certifications be verified by the signature of the Official Signing for Applicant Organization on the Face Page of the application. Definitions are provided in the Grants Policy Statement and descriptions in the Assurance/Certification Section of these instructions.

Instructions for Page 2

The summary must not exceed one page. More detailed information should be included in the description of the training proposal in the body of the application. This summary provides a preview to reviewers as to program content. As such, it is essential that the brief summary capture the essence and individual character of each program. This summary should cover the elements listed below.

A. Purpose and Program Characteristics

Describe the purpose and major features of the proposed training program.

B. Trainees

Include level of education and background experience required of trainees, and the criteria to be employed in their selection.

C. Training Facilities

Identify and briefly describe the primary facility as well as other sites utilized by the training program.

Instructions for Page 3

Detailed Budget for First 12 Month Budget Period

List the direct and indirect costs requested for the initial budget period. Additional details may be provided in

the Budget Justification block on page 4. Refer to the program announcement or consult with CDC for current allowable cost levels and stipend levels. Supplemental applications should show on the budget sheets only the additional funds requested.

A. Training Related Expenses

Itemize by category (i.e., personnel, consultant costs, etc.) training related expenses. Show the total amount requested for these expenses under SUBTOTAL (Section A). If personnel listed are on a less than 12 month appointment, identify them and their appointment time STATUS under the ***Budget Justification*** section on the next page.

Item 1. Personnel. List participants—professional and nonprofessional—by name and position, or by position only if not yet employed, for whom salary is requested. For each professional, state the full-time equivalent (FTE) effort to be devoted to the training project. It is important to note that the sum of FTE effort to be expended by each individual for all professional activities must not exceed 1 FTE. Specify both total FTE effort on the project and FTE effort for which salary is requested.

On a continuation page, list the total program effort (FTE) that personnel, including unpaid (voluntary) faculty, (professional, technical, secretarial and clerical) devote to the training program and reflect their contribution in the budget justification even though funds for salaries have not been requested. Information on both grant and nongrant supported positions is essential in order for reviewers to determine if program resources are adequate.

List the dollar amounts separately for fringe benefits and salary for each individual. In computing estimated salary charges, an individual's base salary represents the total authorized annual compensation that an applicant organization would be prepared to pay for a specified work period irrespective of whether an individual's time would be spent on government-sponsored research, teaching or other activities. The base salary for the purposes of computing charges to a CDC grant excludes income which an individual may be permitted to earn outside of full-time duties to the applicant organization. Where appropriate, indicate whether the amounts requested for the professional personnel are for summer salaries or academic year salaries.

Item 2. Consultant Costs. Give name and institutional affiliation of each consultant, if known, and indicate the nature and extent of the consultant service to be performed. Include expected rate of compensation and total fees, travel, per diem, or other related costs for each consultant.

Item 3. Equipment. List and justify each separate item of equipment costing more than $500. Items costing less than $500 should be grouped together. If requesting funds to purchase equipment which is already available, explain the need for the duplication.

Item 4. Supplies. Itemization and justification as to how major types of supplies, such as general office and photocopying expenses (expendable personal property) relate to the training program are required for all items of supplies purchased with grant funds. Medical/clinical supplies and drugs are not ordinarily acceptable.

Item 5. Staff Travel. Enter amount for staff travel essential to the conduct of the training program. Describe the purpose of the travel giving the number of trips involved, the destinations and the number of individuals for whom funds are requested. Foreign travel is an allowable cost with prior approval. Please note that travel costs for consultants should be under "Consultants."

Item 6. Other Expenses. List and justify other expenses by major categories. Do not include under this category items which properly belong in one of the other categories.

Item 7. Consortium/Contractual Costs. List costs and justify.

. Trainee Expenses

Provide information where possible on form page 3 with additional details starting in the Budget Justification block on form page 4.

Item 1. Trainee Costs

Stipends. Enter the number of trainees and stipend amount for each trainee degree level as appropriate. If a category contains different stipend levels and/or varying appointment periods, itemize.

Tuition and Fees*.* Explain in detail the composition of this item. Tuition at the postdoctoral level is limited to that required for specified courses. The institution may request tuition and fees (including appropriate health insurance) only to the extent that the same resident or nonresident tuition and fees are charged to regular non-Federally supported students.

Item 2. Trainee Travel. Describe the purpose of any travel, giving the number of trips involved, and the number of individuals for whom funds are requested.

Subtotal Trainee Expenses (Section B):

Enter the sum of Trainee Costs and Trainee Travel.

C. Total Direct Cost. Self-explanatory

D. Indirect Cost. Indirect cost under these training grants will be reimbursed at 8 percent of total allowable direct cost exclusive of tuition and related fees, and equipment, or at the actual indirect cost rate, whichever results in a lesser dollar amount. State and local government agencies will receive reimbursement at their full indirect cost rate for training grants.

E. Total Cost. (Add subtotals of C and D)

Instructions for Page 4

Budget for Entire Proposed Project Period

Enter in the first column the total requested for each budget category in A and B as shown on the Detailed Budget for the First 12-Month Budget Period (page 3). Enter estimates of future needs in each category for each additional year of support requested.

Under the **Budget Justification** Block**,** explain in detail the basis for your budget requests for all years following the same instructions stated for completing the Detailed Budget for the First 12-Month Budget Period on page 3. **If applicable, provide a separate budget justification for research training program expenses, including personnel and trainee expenses.** Use continuation pages as necessary. ***Number all succeeding pages consecutively starting with page 5. Use numbers only; do not use letters, e.g., 5a, 5b, 5c.***

Detailed Description of Training Program

Type the detailed description of the training program single-spaced on continuation pages. Make this description self-contained and sufficiently complete so that it can be reviewed fully on the basis of the information submitted.

Application will be evaluated by CDC/NIOSH initial review groups and by the appropriate advisory group of the awarding component considering the application for support. The proposed program will be evaluated on the basis of criteria in the program announcement.

Please adhere to the CDC/NIOSH Recommended Outline for the Preparation of ERC Competing New/Renewal Training Grant Applications (http: www.cdc.gov/od/pgo/forminfo.htm).

Recommended Outline for Training Program

A. Table of Contents

List the major items presented in the detailed description with page numbers, including the appendices.

B. Introduction

Use only when submitting a revised or supplemental application.

Revised Application. When a revised application is submitted to replace a prior version, provide a statement specifying what significant changes have been made. Include additions, deletions, revisions and any responses to criticisms in the previous summary statement. These changes may be further identified by appropriate underlining, indenting or changing typography within the text. When a COMPETING CONTINUATION or SUPPLEMENTAL application has been revised, the PROGRESS REPORT should incorporate any work done since the prior version was submitted.

Supplemental Application. Provide a statement describing how the supplement, or the lack or it, will influence the specific aims and methods of the parent project. Special note should be made of the last competitive application. Include a statement describing any changes made or intended in the allocation of funds within and among budget categories for the entire project period of the current grant.

C. Background

Give the rationale for the proposed training program, relevant background history, and the need for the training proposed.

D. Proposed Training

1. Program Leadership and Faculty. Describe the administration structure of the program and the distribution of responsibilities within it, including the means by which the program director will obtain continuing advice with respect to the operation of the program.

Describe: (a) Faculty commitment and breadth and (b) Faculty reputation and strength. Include a Table displaying core faculty, supporting faculty and adjunct faculty along with their specific areas of competence.

2. Program Plan/Curriculum. Describe the proposed training program and include degrees offered; duration of the training program; the level and number of trainees proposed; and, the fields in which the trainees will be qualified upon completion of training. Outline the Regional need for the program.

List the goals and objectives of the program and describe the core curriculum for each level of training. Provide a sample curriculum identifying the courses required by the School, those required by the Department and elective coursework. Indicate the faculty person responsible for each course. Describe internships and practicum experiences.

Indicate how the individual disciplinary and/or departmental components will be integrated and coordinated for the program. Describe interdisciplinary experiences between students in core disciplines in occupational health and safety including coursework, field projects, seminars, clinic activities, etc.

Note: Detailed descriptions of interdisciplinary activities, needs assessments and ERC measures of effectiveness should be included in the Administration Section of the application.

3. Training Candidates. Describe the qualifications of prospective trainees, and the criteria and procedures by which trainees will be selected. Describe recruitment plans, including the sources and availability of trainees. Indicate the number of individuals who have formally applied for training over the last 3 years, the number of individuals who have been offered admission, and the number who have accepted and entered training.

4. Training Facilities and Resources. Describe the facilities and resources which will be used in the proposed training program, including major items of equipment. Indicate the extent to which the institution will support the program. List amounts and sources of all current relevant training and research support available to the participating faculty and department(s). If a complete list appears in the biographical sketches, it may be omitted here. Include complete identifying number, title of the training and/or research program, project period, and number of trainee positions (pre-doctoral and postdoctoral). Also, list separately pending applications.

5. Continuing Education/Outreach. Provide a brief narrative with cross-reference to Continuing Education Program.

6. Research Training (if applicable). Describe research training plan, leadership and faculty, program evaluation, special contribution to the discipline, extramural support and student publications/theses.

E. Current and Past Training Record

Summarize training activities for the last 5 years including the placement of graduates.

F. Progress Report (Competing Continuation Application Only)

Briefly describe the accomplishments of the training program during the current project period. The statement should include:

1. The period covered (dates);

2. A list of trainees supported (pre-doctoral and postdoctoral), with a brief summary of the individual's training and resulting publications. Include what former trainees are doing today. If current position information for former trainees duplicates that given in the *Current and Past Training Record,* it need not be repeated;

3. The changes in the curriculum as a direct or indirect result of this training program and the significance of these changes;

4. The way in which essential program enhancement was achieved through the availability of the Training Related Expenses (personnel, consultant cost. etc.—Section A of the detailed budget); and

5. The titles of any inventions conceived or reduced to practice

G. Appendices - Refer to Recommended Outline for ERC Competing/New/Renewal Training Grant Applications.

Biographical Sketch Page

The biographical information is used by reviewers in evaluating the program staff. The program director's biographical sketch should be first, followed by the others in alphabetical order. Each sketch is limited to 2 pages including publications. If the Biographical Sketch and Other Support pages from the grant application Form PHS 398 have been prepared on the individual, these pages can be used.

Research and Training Support. List all training and research support regardless of source in three separate groups: (1) active support; (2) applications and proposals pending review or funding; (3) applications and proposals planned or being prepared for submission. If none state "None." For each item give the source of support, identifying number, project title, name of program director, time or percent of effort on the project by professional named, annual direct costs, and entire period of support.

Checklist Page

Self-explanatory. This is the last page of the application and should be appropriately numbered.

Type of Application. Check all that apply.

1. Assurances/Certifications. Each application to the PHS requires that the assurances and certifications listed on the Checklist be verified by the signature of the official signing for the applicant organization on the Face Page of the Application.

2. Program Income. If no program income is anticipated during the period(s) for which grant support is

requested, no other action is necessary.

If program income is anticipated, use the format provided.

Indirect Cost. Indirect cost under these training grants will be reimbursed at 8 percent of total allowable direct cost exclusive of tuition and related fees, and equipment, or at the actual indirect cost rate, whichever results in a lesser dollar amount. State and local government agencies will receive reimbursement at their full indirect cost rate of training grants.