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

TRAINING GRANT APPLICATION (Non-Competing Continuation) Form CDC 2.145B

GENERAL INFORMATION

Introduction

READ AND FOLLOW THESE INSTRUCTIONS CAREFULLY TO AVOID DELAYS AND MISUNDER-STANDINGS. 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

CDC makes information available to the public on grants awarded, including the title of the project, the grantee institution, the program director, and the amount of the award. The Freedom of Information Act (5 USC 552) and the associated Public Information Regulations (445 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 effect patent or other valuable rights. The grantee institution and the program director will be notified about any such release.

The following materials are generally available for release upon request: all funded grant applications as well as derivative unfunded and pending noncompeting continuation, competing continuation, and supplemental grant applications, progress reports of grantees; and final reports of any review or evaluation of grantee performance conducted or caused to be conducted by CDC. Generally not available for release are new grant applications for which awards are not made and evaluative portions of site visit reports and summary statements of findings and recommendations of peer review groups. However, such documents in the records are available for release to the program director under the provisions of the Privacy Act.

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 grant records as part of a system of records defined by the Privacy Act of 1974(5 USC 552a): 0920-0055, “Grants: Research, Research Training, Fellowship and Construction Applications.” In addition, information related to grants is maintained as part of a management information system: 09-25 0036, “GMIS”.

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

Refer to Instructions for ERC Competing Applications (CDC 2145A) for description of Assurances and Certification. Each application to the PHS requires that the following 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*. If unable to certify compliance where applicable, provide an explanation and place it after the Progress Report.

Human Subjects
Vertebrate Animals
Debarment and Suspension
Lobbying
Delinquent Federal Debt
Research Misconduct
Civil Rights
Handicapped Individuals
Sex Discrimination
Age Discrimination

GENERAL INSTRUCTIONS

Forms

Use Form CDC 2.145B if you wish to apply for annual non-competing grant support for your currently supported project. ***You must complete and return the enclosed forms to CDC by the date indicated.***

Complete and return the following form:

1. The signed original of CDC 2.145B and two additional copies.

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.

Prepare the application single-sided and single-spaced, staying within the margin limitations indicated on the form and continuation pages. 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 catalogues and course brochures. When additional space is needed to complete any of the items, use plain white paper (8 ½ X 11 inches), leave ½ inch margin 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 ½ in 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 and line spacing 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.

The application must be clear, readily legible, and conform to the following three requirements: 1) The height of the letters must not be smaller than 10 point; 2) Type density must be no more than 15 characters per inch (cpi). For proportional spacing, the average for any representative section of text must not exceed 15 cpi; 3) No more than 6 lines of type must be within a vertical inch. Type requirements should be checked using a standard device for measuring type size, rather than relying on the font selected for a particular word processing/printer combination. Figures, charts, tables, figure legends, and footnotes may be smaller in size but must be readily legible. The type size used throughout the application must conform to all three requirements.

Applicants should use the ERC Recommended Outline for CDC 2145B for Non-Competing Continuation Applications provided in the application package. Limit the pages in the narrative section describing training programs/cores to 3 to 5 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 the Centers for Disease Control and Prevention, Attention: Grants Management Officer, Procurement and Grants Office, 2920 Brandywine Road, Room 3000, Atlanta, Georgia 30341. The photocopies must be clear. Please use this label to expedite handling. Do not bind or staple the sets, but secure them with rubber bands or paper clips. The deadline for submission of non-completing continuation applications is ***November 15.***

SPECIFIC INSTRUCTIONS

Please refer to the CDC/NIOSH Recommended Outline for the Preparation of ERC Non-Competing (Continuation) Training Grant Applications . Also on the web at http:www.cdc.gov/od/pgo/forminfo.htm

Instructions for Page 1

(Training Grant Non-Competing Continuation Application, CDC 2.145B)

Item 1-5. If these items have been preprinted on the form, check them carefully and, when necessary, make corrections. If corrections are extensive, or if a preprinted face page is not provided in the application kit, complete each item on the first page of the set of forms. The Entity Identification Number (Item 4), assigned by the DHHS for payment and accounting purposes, should be checked or supplied by the business official.

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

If research activities are planned during the budget 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 CDC Grants Management Specialist 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 budget period, Assurance and IACUC approval must be submitted to the CDC Grants Management Specialist before the research can begin.

Item 7. Performance Site(s). Indicate where the program will be conducted. If there is more than one performance site, list them all.

Item 8. Direct Cost Requested. Enter the total direct cost from the Form Page 2.

Item 9. Telephone Information. Self-explanatory.

Item 11. Program Director Assurance. Self-explanatory.

Item 12. 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 the Instructions for ERC Competing Applications (CDC 2.145A).

Instructions for Page 1A

Summary of Training Proposal.

The summary must not exceed one page. More detailed information should by 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 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. Include program area(s) and level(s) of training, discipline(s) and procedures and methods to be used.

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 2

Detailed Budget for Requested Budget Period. In general, use the amount shown on the latest Notice of Grant Award recommended for the requested budget period as the guide for developing the upper level of the annual budget.

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.

B. Trainee Expenses

Provide information where possible on form page 2 with additional details starting in the Budget Justification block on form page 3.

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.

Instructions for Page 3

E. Supplemental Information and Budget Justification. Provide supplemental information for budget on page 2. Explain the basis for the budget categories requested. Provide justification for all items in the Detailed Budget on page 2. If applicable provide a separate budget justification for research training program expenses, including personnel and trainee expenses. Use continuation pages as necessary.

Instructions for Page 4

Progress Report Summary. Well-planned progress reports can be of great value by providing a record of accomplishments, which can serve as a basis for continuing support of the program. They are also an important source of material for the awarding unit staff in preparing annual reports, in planning programs, and in communicating scientific accomplishments.

The progress report should be a brief 3-5 page presentation of the accomplishments and changes in the training program during the reporting period and plans for the coming year. Show the grant number(s) and the dates of the reporting period from date of last report to date of submission of this report in the upper right corner of the form page and any continuation pages.

1. Goals and Objectives

Highlight progress in implementing goals and objectives and changes that have occurred in the reporting period. Note any difficulties encountered in achieving objectives. Describe briefly how the program was enhanced through NIOSH grant support.

2. Program leadership and faculty

Indicate changes in the program leadership and faculty including, faculty commitment and breadth and faculty reputation and strength. Include an updated table displaying core, supporting and adjunct faculty along with their specific areas of competence.

3. Program/Curriculum

Indicate changes in the program and curriculum in the reporting period. List courses added or dropped. Address any changes in regional need that relate to program and curriculum changes.

4. Future plans

List specific objectives for the remainder of the current budget period and for the requested budget period.

Include anticipated changes in the program, changes in key faculty and significant changes in available space and/or facilities.

5. Research training (only if approved for such funding)

List changes and updates that took place in the reporting period in: 1) research training plan 2) leadership and faculty 3) program evaluation 4) extramural support 5) summary of research trainee participation in the preparation of publications and theses. Highlight trainee authors in Appendix G with an asterisk.

6. Appendices for each Program Area

A. Biographical Sketches (CDC 2.145 B) Limit to new faculty and updates for only key faculty. If using PHS 398 Biosketch Form include Research and Training Support*
B. Annual Statistical Report - Part I (Academic Training Data - use appropriate form)
C. Program Graduates (use appropriate form)
D. Annual Statistical Report - Part II (Continuing Education Output Summaries)
E. Trainees - List trainees appointed to the training program during the reporting period showing: degrees earned; premature termination and reasons for termination. List current trainees to be continued and degrees sought.
F. Publications - List all faculty and trainees publications during the reporting period, including manuscripts submitted for publication or accepted for publication. Include publications by faculty as well trainees that have resulted, in whole or part, from training grant support. Trainee authors should be highlighted by underlining.
G. Publications - List all faculty and trainees publications during the reporting period, including manuscripts submitted for publication or accepted for publication. Include publications by faculty as well trainees that have resulted, in whole or part, from training grant support. Highlight trainee authors by underlining.

***Research and Training Support.** List separately all current, pending , and proposal support. Include all Federal, non-Federal, and institutional grant and contract support. 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 cost, and entire period 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.