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**National Institutes of Health (NIH)**  
**Research Grant**  
**[www.nih.gov](http://www.nih.gov)**

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The following are general guidelines for this agency. **Please see Notice of Grant Award for specific terms & conditions.** The Principal Investigator is responsible for ensuring that all requirements are met. The Office of Research Services will assist the Principal Investigator in accomplishing this.

**General:**

NIH is the world's premier medical research organization, supporting some 35,000 research projects nationwide in diseases like cancer, Alzheimer's, diabetes, arthritis, heart ailments and AIDS. Includes 18 separate health institutes, the National Center for Complementary and Alternative Medicine and the National Library of Medicine.

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**Applying for Funding:**

There are general guidelines for applying for NIH funding. The guidelines can be found at: <http://www.nih.gov>. Investigator initiated grants are submitted via the standard NIH deadline dates. Request for Applications (RFA) are announced via the NIH Guide. ([NIHTOC-L@LIST.NIH.GOV](mailto:NIHTOC-L@LIST.NIH.GOV)). Applicants must follow the guidelines stated in the RFA announcements. The URL for the Grants Policy Statement is: ([http://grants1.nih.gov/grants/policy/nihgps\\_2001/](http://grants1.nih.gov/grants/policy/nihgps_2001/)).

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**Renewals:**

There are general guidelines for applying for NIH funding. The guidelines can be found at(<http://www.nih.gov/>).

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**Special Considerations:**

See NIH Notice of Grant Award.

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**Budget Considerations & No Cost Extensions:**

Unless noted otherwise in terms & conditions, these grants are covered under Federal Demonstration Partnership Phase IV (FDP IV) which provides the following:

- Approval for first No Cost Extension for a period of up to one year must be requested from ORS at least 30 days prior to end of budget period. Subsequent requests for extensions or requests for extensions exceeding one year must be requested from the PHS awarding office via a letter signed by ORS.
  - Pre Award costs approval can be requested from ORS for up to 90 days prior to start date using advance account forms. The costs must be necessary for the conduct of the project and allowable under the potential award.
  - Unobligated balance at the end of a **budget** period can be carried forward to the following budget period, if grant is under FDP IV. Carryforward balances exceeding 25% of the total awarded amount must be addressed in Progress Reports by Principal Investigator.
  - Most modifications to budgets without agency approval are allowable (see prior approvals below).
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**Other Administrative Actions:**

**Prior Agency Approval required for:**

- Change in Scope, Principal Investigator or Key Personnel (Reduction of 25% or greater of PI effort)
- Change of Grantee Organization
- Any deviations from special terms or conditions stated on Notice of Grant Award
- Transfer the performance of substantive programmatic work to a third party by contract or other means, if there is a change in scope.
- Any change from the approved use of animals or human subjects
- Substitution of one animal model for another

- Second and subsequent No Cost Extensions or extensions exceeding one year
  - Pre Award Costs exceeding 90 days prior to start date
  - Need for additional funds
  - Modifications to Equipment or Printing/Publications exceeding \$25,000 or significant rebudgeting (total rebudgeting exceeds 25% of budgeted line)
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### **Specific Cost Sharing Requirements:**

Please refer to specific award regarding any Cost Sharing Requirements

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### **Carryforward:**

Allowable from one noncompeting budget period to the next. However, any carryovers in excess of 25% must be reported to, and justified, by the PI in his annual progress report. PI may be requested at any time to justify a low expenditure rate as reflected in quarterly PMS 272. The Notice of Grant Award will clarify if you may automatically carryforward funds or if PI must require permission from NIH.

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### **Other:**

- First \$25,000 of **Program Income** may use the additional costs alternative (can use funding to further the goals & objectives of project). Program income exceeding \$25,000 would normally be used to reduce Federal funding (deduction alternative) unless prior agency approval is granted to use the funds under the additional cost alternative.
  - NIH has a strict salary cap. For more information, see <http://www.upenn.edu/researchservices/nihcap.html>.
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### **Funding:**

Funding for these awards is received via drawdowns under a Letter of Credit which is processed by ORS.  
BO1R78                      Revenue Parent= LOCNIH

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### **Invoicing Requirements :**

No invoicing required if award is under letter of credit. If invoicing is required, check award document for the invoicing terms and any necessary forms to use for invoicing.

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### **Financial Reporting Requirements :**

Most awards are covered by SNAP (Streamlined Noncompeting Award Process), but this must be noted on the award, not assumed.

For awards covered by SNAP, only internal interims are required for noncompeting renewals (ie: on a 5 year award, no financial report is due for first four years). Final Financial Status Report is due within **90** days of end of award and is electronically transmitted to Agency. Departmental confirmation of figures is required only with final report or on unique cases/awards.

For awards not covered by SNAP, financial status reports are due (electronically) within **90** days of the end of each budget period. Departmental confirmation of figures is required.

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### **Non-Financial Reporting Requirements :**

Annual progress reports must be submitted with all applications for competing or noncompeting continuation support in accordance with the instructions accompanying the application forms, unless a different date for submission of the annual performance report is specified by the PHS awarding office. Some PHS programs may require narrative and/or quantitative performance data at more frequent intervals. Where quarterly or semi-annual reports are required, they are due **30** days after the close of the period for which the report is being submitted. Final progress reports (original plus two copies) must be submitted to the PHS awarding office within **90** days of the termination date. The report should be prepared according to the instructions provided by the PHS awarding office and should include, at a minimum, a summary statement of progress toward the achievement of the originally stated aims, a list of the results (positive or negative) considered significant, and a list of publications resulting from the project, with plans, if any, for further publication. Three copies of reprints of publications not previously submitted should accompany the progress report.

All inventions made in the course of or under any PHS research grant shall be promptly and fully reported to the Assistant Secretary for Health, HHS, and in any event shall be reported prior to the publication of any description of the invention. The report must be completed in accordance with instructions provided by the PHS awarding office. A Final Invention Statement and Certification is required within **90** days following the expiration or termination of support on an applicable project. All inventions that were conceived or first actually reduced to practice during the course of work under the project from the original effective date of support through the date of expiration or termination, whether or not previously reported, shall be listed on the statement. Subsequent to termination of the award, these reports will be provided to the PI for completion.

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### **Non-Financial Closeout:**

A Final Invention Statement (HHS 568) and a final progress report must be submitted within **90** days of the expiration date of the grant. However, if a competitive renewal is funded, the final invention statement and final progress report would not be required at that time. Forms can be found at (<http://grants.nih.gov/grants/forms.htm>).

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**Last updated: 08/21/03 PC/ap**