



E001404

Memorandum

TO : See Below

FROM : Director, Division of Grants and Contracts

SUBJECT: HSMHA "Grants Memorandum" Series

DATE: August 13, 1968

Attached are the first copies of a Grants Memorandum series which will be issued by the Division of Grants and Contracts to staff within the HSMHA concerned with extramural programs. Please see that the copies sent with this memorandum are distributed within your organization to those who need them.

In order that we might establish an appropriate mailing key for distributing these memoranda in the future, please let us have the titles and addresses for those positions which should be included in such a key. Your list should be submitted as soon as possible to Mr. Clarence A. Lowe, Special Assistant for Policy and Procedures, DGC, Room ~~3111~~, Bldg. ~~31~~, Telephone: ~~14-64839~~. Extra copies of these documents are available from Mr. Lowe's office.

Rm. 218, Lee Bg.

Paul E. Fox
Paul E. Fox

Attachments

Addressees:

Mr. Gardell, OCHP
Dr. Schwartz, NCHSRD
Mr. Lewis, DRMP
Mr. Bechtel, DHMF
Mr. Spain, NIMH
Dr. Willis, NCDC

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-1

SUBJECT: HSMHA Grants Policy Communications System

The Division of Grants and Contracts will use a "Grants Memorandum" series to notify Grants Management Staff throughout HSMHA of new policy decisions and changes in policy affecting the management of extramural programs. These will be numbered to identify the calendar year in which issued, as well as carrying a number for each issuance which will continue consecutively from one, regardless of calendar year. A two-color scheme will be used: green to signify a policy document; salmon to signify an information document.

Attached is a memorandum from the Assistant Secretary for Health and Scientific Affairs to recipients of PHS grant and award support concerning the issuance of policy statements governing extramural programs by each of the three administrations: the Health Services and Mental Health Administration, the Consumer Protection and Environmental Health Service; and the National Institutes of Health.

Paul F. Dox

Director, Division of Grants and Contracts

Date: August 13, 1968

Attachment

APPROVED:

Alan W. Donaldson

Associate Administrator, HSMHA

Memorandum

TO : Recipients of PHS Grant and Award Support

DATE: July 30, 1968

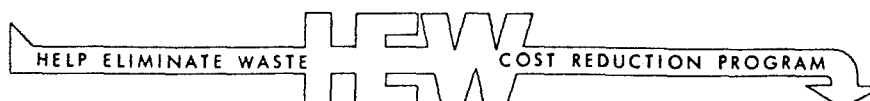
FROM : Philip R. Lee, M.D.
Assistant Secretary for Health and Scientific Affairs

SUBJECT: Public Health Service Policy Governing Extramural Programs

Three separate administrations now administer the extramural programs formerly administered by the several bureaus of the Public Health Service. These three administrations are the National Institutes of Health, which now includes the Bureau of Health Manpower and the National Library of Medicine; the Health Services and Mental Health Administration; and the Consumer Protection and Environmental Health Service.

While each of these administrations will issue policy and procedure to govern its extramural programs, continuous effort will be exerted by the Department of Health, Education, and Welfare to insure the maximum uniformity practicable.

Until such time as the separate policy statements are issued, policy currently identified as Public Health Service policy will continue to govern the various grant and award programs of the three administrations.



HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-2

SUBJECT: Institutional Cost Sharing Agreements


APPLICABILITY: Public Health Service Research Grants (See PPO #135 - policy - and attached up-to-date list of applicable grants requiring cost sharing)

Attached is a cumulative list of all grantee institutions that have institutional cost sharing agreements, as of the date of this Grants Memorandum.

New agreements and any changes pertaining to institutional cost sharing will continue to be provided on the NOTICE form issued by the Division of Grants and Contracts, Office of the Administrator, Health Services and Mental Health Administration.

Additional information regarding cost sharing may be obtained by calling the Division of Grants and Contracts, Code 179, Extension 6241.

SUPERSEDES: PPO Information Report #4, Revised March 5, 1968.



Director, Division of Grants and Contracts

Date: September 3, 1968

Attachments

September 3, 1968

COST SHARING IN RESEARCH GRANTS
(See PPO #135 - POLICY)

APPLICABILITY: PHS Research Project Grants (identified by program codes as follows with the exception of foreign grants, grants to Federal institutions, grants to individuals, and conference grants):

- R 01 Projects - exclusive of conference and publication grants
- R 02 Nursing
- R 03 Small Grants
- R 07 ICMRT
- R 10 Chemotherapy & Psychopharmacology
- R 12 Mental Health Special Grants
- R 18 Hospital and Medical Facilities Research Grants (exclusive of Experimental Construction)
- R 20 Hospital Improvement
- R 21 Community Health Exploratory Grants
- P 01 Research Program Projects
- P 10 Environmental Health Centers for Research and Training
- P 13 Dental Research Institute Program

INSTITUTIONAL COST SHARING AGREEMENTSLIST #6

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Alabama</u>	Alabama, University of (includes Medical College of Alabama, School of Dentistry, Graduate School, School of Nursing, School of Health Ser- vices Administration, College of General Studies, and Univer- sity Hospitals and Clinics) Birmingham, Alabama	3/1/66
	Auburn University Auburn Alabama	1/19/67 - Reduce indi- rect cost by 5% of the total of direct and indirect costs
<u>Alaska</u>	Alaska, University of College, Alaska	3/1/66
<u>Arizona</u>	Arizona State University Tempe, Arizona	3/1/66 7/1/68 - Revised
<u>Arkansas</u>	Arkansas, University of Medical Center Little Rock, Arkansas	3/1/66
<u>California</u>	Alameda County Medical Institutions (Institute of Metabolic Research - only) Oakland, California	3/1/66
	Attending Staff Association (includes Harbor General Hospital) Torrance, California	3/1/66
	Attending Staff Association of the Los Angeles County Hospital Los Angeles, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Attending Staff Association Rancho Los Amigos Hospital Downey, California	3/1/66
	Cedars-Sinai Medical Center Los Angeles, California	1/11/67
	Childrens Hospital of Los Angeles Los Angeles, California	3/1/66
	Clinical Pharmacology Research Institute Berkeley, California	3/1/66
	State of California Department of Public Health Berkeley, California	3/1/66
	The Galton Institute Los Angeles, California	3/1/66
	The Institute of Medical Sciences Pacific Medical Center San Francisco, California	3/1/66
	Institute for Medical Research of Santa Clara County San Jose, California	3/1/66
	Institute for the Study of Crime and Delinquency Sacramento, California	3/1/66
	Kaiser Foundation Research Institute Oakland, California	3/1/66
	Loma Linda University Loma Linda, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u>	Long Beach California State College Foundation Long Beach, California	3/1/66
	Mental Research Institute Palo Alto, California	12/1/66 - Reduce indirect cost rate by 5 percentage points
	Mount Zion Hospital and Medical Center San Francisco, California	3/1/66
	Pasadena Foundation for Medical Research Pasadena, California	3/1/66
	The Salk Institute for Biological Studies San Diego, California	3/1/66
	San Diego State College (includes San Diego State College Foundation) San Diego, California	3/1/66
	Stanford Research Institute Menlo Park, California	3/1/66
	University of the Pacific Stockton, California	3/1/66
	University of California (applies <u>only</u> to individual grants for research to be conducted at the National Center for Primate Biology) Davis, California	5/1/68
<u>Colorado</u>	American Medical Center at Denver Spivak, Colorado	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Colorado</u> (cont.)	Colorado State University Fort Collins, Colorado	3/1/66
	Colorado, University of Medical Center (only) Denver, Colorado	7/1/68
	National Jewish Hospital at Denver Denver, Colorado	3/1/66
<u>Connecticut</u>	Connecticut, University of Storrs, Connecticut	3/1/66
	Yale University (all units) New Haven, Connecticut	7/1/66
<u>District of Columbia</u>	American Speech and Hearing Association Washington, D.C.	3/1/66
	The Catholic University of America Washington, D.C.	3/1/66
	Georgetown University Washington, D.C.	7/1/67
	The George Washington University Washington, D.C.	3/1/66
	Howard University Washington, D.C.	3/1/66
	Research Foundation Children's Hospital of the District of Columbia Washington, D.C.	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Florida</u>	Florida State Board of Health Jacksonville, Florida	7/1/66
	Florida State University Tallahassee, Florida	8/1/67
	Florida, University of Gainesville, Florida	3/1/66
	Miami, University of (includes Medical School) Coral Gables, Florida	3/1/66
	South Florida, University of Tampa, Florida	3/1/66
<u>Georgia</u>	Georgia State Department of Health (includes Milledgeville State Hospital, Gracewood State School and Hospital, Georgia Mental Health Institute, Georgia Retardation Center, Georgia Clinic, Chatham Clinic, and Southwestern State Hospital) Atlanta, Georgia	1/10/67
	Medical College of Georgia Augusta, Georgia	3/1/66
<u>Hawaii</u>	Hawaii, University of Honolulu, Hawaii	12/1/67
<u>Illinois</u>	Evanston Hospital Evanston, Illinois	7/1/67
	Kankakee State Hospital Kankakee, Illinois	2/1/67
	Michael Reese Hospital and Medical Center Chicago, Illinois	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Illinois</u> (cont.)	Northwestern University Evanston, Illinois	3/1/66
	Presbyterian St. Luke's Hospital Chicago, Illinois	3/1/66
<u>Indiana</u>	Indiana University Foundation Bloomington, Indiana	3/1/66
	Purdue University and Purdue Research Foundation Lafayette, Indiana	3/1/66
	Notre Dame, University of Notre Dame, Indiana	3/1/66
<u>Kansas</u>	Kansas, University of (excludes the University of Kansas Medical Center) Lawrence, Kansas	1/1/67
	University of Kansas Medical Center Kansas City, Kansas	3/1/66
<u>Kentucky</u>	Louisville, University of Louisville, Kentucky	3/1/66
<u>Louisiana</u>	Alton Ochsner Medical Foundation New Orleans, Louisiana	3/1/66
	Louisiana State University Medical Center (only) New Orleans, Louisiana	3/1/66
	Tulane University School of Medicine (only) New Orleans, Louisiana	3/1/66
<u>Maryland</u>	American Type Culture Collection Rockville, Maryland	12/12/66 - Reduce indirect costs by 5% of total of direct costs
	The Trustees of Sheppard and Enoch Pratt Hospital Towson, Maryland	7/1/68

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Maryland</u> (cont.)	Baltimore City Hospitals Baltimore, Maryland	7/1/66 - Retroactive to 7/1/66 for new and renewal grants only
	Friends of Psychiatric Research, Inc. Baltimore, Maryland	3/1/66 - 90% of actual indirect costs or 20% of direct costs, whichever is lesser
	Institute for Behavioral Research, Inc. Silver Spring, Maryland	3/1/66
	Johns Hopkins University School of Hygiene and Public Health Baltimore, Maryland	3/1/66
	Johns Hopkins University School of Medicine Baltimore, Maryland	3/1/66
	National Biomedical Research Foundation Silver Spring, Maryland	3/1/66
<u>Massachusetts</u>	Age Center of New England, Inc. Boston, Massachusetts	4/1/66
	Beth Israel Hospital Boston, Massachusetts	3/1/66
	Bio-Research Institute, Inc. Cambridge, Massachusetts	3/1/66
	The Blood Grouping Laboratory Boston, Massachusetts	12/1/66
	Blood Research Institute, Inc. (formerly-Protein Foundation) Boston, Massachusetts	8/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Boston College Chestnut Hill, Massachusetts	2/20/67
	Boston Hospital for Women Lying-In Division Boston, Massachusetts	3/1/66
	Boston University Boston, Massachusetts	7/1/66
	Brandeis University Waltham, Massachusetts	3/1/66
	Children's Cancer Research Foundation, Inc. Boston, Massachusetts	3/1/66
	Children's Hospital Medical Center Boston, Massachusetts	3/1/66
	Clark University Worcester, Massachusetts	3/1/66 - Reduce indirect cost rate by 6 percentage points for <u>on campus</u> research grants -- reduce indi- rect cost rate by 11.6 percentage points for <u>off campus</u> research grants
	Diabetes Foundation, Inc. Boston, Massachusetts	3/1/66 10/1/67 - Revised
	Forsyth Dental Center Boston, Massachusetts	3/1/66
	Harvard University (includes <u>only</u> Harvard Medical School, Harvard School of Public Health and Harvard School of Dental Medicine) Cambridge, Massachusetts	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	James Jackson Putnam Children's Center Roxbury, Boston, Massachusetts	7/1/66
	Massachusetts Eye and Ear Infirmary Boston, Massachusetts	3/1/66
	Massachusetts General Hospital Boston, Massachusetts	3/1/66
	Massachusetts Health Research Institute, Inc. Boston, Massachusetts	1/13/67
	Massachusetts Institute of Technology Cambridge, Massachusetts	3/1/66
	Massachusetts, University of Amherst, Massachusetts	3/1/66
	McLean Hospital Belmont, Massachusetts	3/1/66
	The Memorial Hospital Worcester, Massachusetts	7/1/66
	New England Medical Center Hospitals Boston, Massachusetts	3/1/66
	Northeastern University Boston, Massachusetts	7/1/67
	Peter Bent Brigham Hospital Boston, Massachusetts	3/1/66
	Mallory Institute of Pathology Foundation Boston, Massachusetts	1/1/68

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Red Acre Farm, Inc. Stow, Massachusetts	3/1/66
	Retina Foundation Institute of Biological & Medical Sciences Boston, Massachusetts	3/1/66
	Robert B. Brigham Hospital Boston, Massachusetts	3/1/66
	St. Margaret's Hospital Boston, Massachusetts	3/1/66
	Springfield College Springfield, Massachusetts	12/12/66
	Woods Hole Oceanographic Institution Woods Hole, Massachusetts	10/1/67
	The Worcester Foundation Shrewsbury, Massachusetts	3/1/66 - Reduce indi- rect costs by 4.5% of direct & indirect costs
<u>Michigan</u>	Detroit, University of Detroit, Massachusetts	3/1/66 7/1/68 - Revised
	Henry Ford Hospital Detroit, Michigan	3/1/66
	Lafayette Clinic Detroit, Michigan	3/1/66
	Michigan, State of Department of Public Health Lansing, Michigan	3/1/66 - Reduction of indirect cost rates by 7 percentage points
	Michigan, University of (all parts of University) Ann Arbor, Michigan	7/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Minnesota</u>	Mayo Foundation Rochester, Minnesota	3/1/66
	Minneapolis Medical Research Foundation, Inc. Minneapolis, Minnesota	3/1/66
	Minnesota, University of (includes all campuses - Minneapolis-St. Paul, Duluth, Morris, the Hormel Institute, and all affiliated hospitals) Minneapolis, Minnesota	3/1/66
	Mount Sinai Hospital Minneapolis, Minnesota	9/1/66
<u>Mississippi</u>	Mississippi State University State College, Mississippi	3/1/66
	Mississippi, University of Medical Center Jackson, Mississippi	3/1/66
<u>Missouri</u>	Cancer Research Center Columbia, Missouri	1/16/67
	The Jewish Hospital of Saint Louis St. Louis, Missouri	7/1/67
	Saint Louis University St. Louis, Missouri	3/1/66 - Reduction of indirect cost rate by 20% of indirect cost rate 9/1/67 - Revised (Institutional level)
	Washington University St. Louis, Missouri	3/1/66

Institutional Cost Sharing AgreementsStateInstitutionEffective
Date of
AgreementMontana

Montana State University
The Endowment and Research
Foundation at Montana
State University
Bozeman, Montana

2/16/67

Montana, University of
(includes University of
Montana Foundation)
Missoula, Montana

3/1/66

Nebraska

The Creighton University
Omaha, Nebraska

1/1/68

Nebraska, University of
(College of Medicine only)
Lincoln, Nebraska

1/26/67

New Hampshire

Dartmouth College
(includes all parts of
the University)
Hanover, New Hampshire

3/1/66

New Jersey

Department of Health
State of New Jersey
Trenton, New Jersey

7/1/67

Educational Testing Service
Princeton, New Jersey

3/1/66

Rutgers, The State University
New Brunswick, New Jersey

3/1/66

Institute for Medical Research
Camden, New Jersey

3/1/66 - Reduce indi-
rect costs by 5% of
total direct &
indirect costs

New Mexico

Lovelace Foundation for
Medical Education and Research
Albuquerque, New Mexico

10/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New Mexico</u> (cont.)	New Mexico, The University of School of Medicine Albuquerque, New Mexico	1/26/67 - 90% of actual indirect costs or 20% of direct costs, which- ever is lesser
<u>New York</u>	Adelphi University Garden City, Long Island, New York	3/1/66
	The Albany Medical College of Union University Albany, New York	3/1/66
	Albert Einstein College of Medicine Yeshiva University Bronx, New York	7/1/66
	Boyce Thompson Institute for Plant Research, Inc. Yonkers, New York	12/2/66
	Bronx-Lebanon Hospital Center Bronx, New York	3/1/66
	Clarkson College of Technology Potsdam, New York	3/1/66
	Cold Spring Harbor Laboratory of Quantitative Biology Cold Spring Harbor, L.I., New York	1/5/67
	Columbia University in the City of New York (includes School of Public Health and Administra- tive Medicine, College of Physicians and Surgeons, and the School of Dental and Oral Surgery) New York, New York	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Community Council of Greater New York New York, New York	3/1/66
	Cornell University Medical College New York, New York	1/1/67
	Eastman Dental Center Rochester, New York	3/1/66
	Health Research, Inc. Roswell Park Division Buffalo, New York	3/1/66
	Hillside Hospital Glen Oaks, New York	7/1/66
	Hospital for Joint Diseases and Medical Center New York, New York	1/24/67
	Jewish Chronic Disease Hospital Brooklyn, New York	3/1/66
	The Jewish Hospital Medical Center of Brooklyn Brooklyn, New York	7/1/66 - Reduce indirect cost rate by 7.5 percentage points
	Long Island Jewish Hospital New Hyde Park, New York	3/1/66
	Maimonides Medical Center Brooklyn, New York	7/1/66
	The Mary Imogene Bassett Hospital Cooperstown, New York	3/1/66
	Medical Foundation of Buffalo Buffalo, New York	9/1/67

Institutional Cost Sharing AgreementsEffective
Date of
AgreementStateInstitutionNew York
(cont.)Medical and Health Research
Association of New York
City, Inc.
New York, New York

3/1/66

Montefiore Hospital and
Medical Center
Bronx, New York

3/1/66

The Mount Sinai School
of Medicine
New York, New York

3/1/66

New York University
(includes NYU Medical Center)
New York, New York

3/1/66

Polytechnic Institute of
Brooklyn
Brooklyn, New York

3/1/66

Queens College of the City
University of New York
Flushing, New York

3/1/66

Research for Health in
Erie County, Inc. (includes
The Edward J. Meyer
Memorial Hospital)
Buffalo, New York

3/1/66

The Rockefeller University
New York, New York

3/1/66

The Roosevelt Hospital
New York, New York

3/1/66

State University of New York
Downstate Medical Center (only)
Brooklyn, New York
(Includes Bronx, Brooklyn,
Manhattan, Queens, Richmond)

7/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	State University of New York at Stony Brook (only) Stony Brook, New York	7/1/67
	State University of New York Upstate Medical Center Syracuse, New York (includes Syracuse units only)	3/1/66
	Syracuse University Syracuse, New York	3/1/66
	Teachers College Columbia University New York, New York	3/1/66
	Waldemar Medical Research Foundation, Inc. Woodbury, L.I., New York	3/1/66
<u>North Carolina</u>	Bowman Gray School of Medicine Wake Forest University Winston-Salem, North Carolina	3/1/66
	State of North Carolina Department of Mental Health Raleigh, North Carolina	3/1/66
	Duke University Durham, North Carolina	7/1/67
	North Carolina State University At Raleigh Raleigh, North Carolina	3/1/66
	Research Triangle Institute Research Triangle Park, North Carolina	3/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>North Dakota</u>	North Dakota, University of Grand Forks, North Dakota	3/1/66
<u>Ohio</u>	Battelle Memorial Institute Columbus Laboratories Columbus, Ohio	7/1/67
	Case Western Reserve University Cleveland, Ohio	3/1/66
	Charles F. Kettering Research Laboratory Yellow Springs, Ohio	3/1/66
	Children's Hospital (includes Children's Hospital Research Foundation) Columbus, Ohio	1/23/67 - Reduction of 10% in the dollar amount of indirect costs
	The Children's Hospital Research Foundation Cincinnati, Ohio	3/1/66
	Cincinnati, University of Cincinnati, Ohio	7/1/67
	Cleveland Clinic Foundation Cleveland, Ohio	3/1/66
	Cox Coronary Heart Institute Kettering, Ohio	1/1/67 - Reduction of indirect cost rate by 8.2%
	Denison University Granville, Ohio	3/1/66
	The Fels Research Institute Yellow Springs, Ohio	3/1/66
	Miami University Oxford, Ohio	3/1/66 - Reduce indirect cost by 5% of the total of direct and indirect costs

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Ohio</u> (cont.)	The Ohio State University (includes Research Foundation) Columbus, Ohio	3/1/66
	St. Vincent Charity Hospital Cleveland, Ohio	3/1/66 - Reduce indirect costs by 5% of total cost of grant
	University Hospitals of Cleveland Cleveland, Ohio	3/1/66
<u>Oklahoma</u>	Oklahoma Medical Research Foundation Oklahoma City, Oklahoma	3/1/66
	Oklahoma State University Stillwater, Oklahoma	1/19/67 - Reduce indirect costs by 10% of salaries and wages or 5% of the total costs, whichever is lesser
	Oklahoma, University of, Medical Center Oklahoma City, Oklahoma	7/1/66
	Oklahoma, University of Research Institute Norman, Oklahoma	3/1/66
<u>Oregon</u>	Medical Research Foundation of Oregon Portland, Oregon	7/1/67
	Oregon Research Institute Eugene, Oregon	7/1/66
	Oregon State University Corvallis, Oregon	3/1/66
	Oregon, University of Eugene, Oregon	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Oregon</u> (cont.)	Oregon, University of Medical School Portland, Oregon	3/1/66
<u>Pennsylvania</u>	Albert Einstein Medical Center Philadelphia, Pennsylvania	3/1/66 - Reduction of indirect cost rate by 5 percentage points
	The Children's Hospital of Philadelphia Philadelphia, Pennsylvania	7/1/67
	Children's Hospital of Pittsburgh Pittsburgh, Pennsylvania	3/1/66 7/1/68 - Revised
	Drexel Institute of Technology Philadelphia, Pennsylvania	7/1/67
	The Hahnemann Medical College and Hospital of Philadelphia Philadelphia, Pennsylvania	3/1/66
	The Institute for Cancer Research Philadelphia, Pennsylvania	3/1/66
	Institute for Research State College, Pennsylvania	7/1/66
	The Jefferson Medical College and Medical Center Philadelphia, Pennsylvania	7/1/66
	Lehigh University Bethlehem, Pennsylvania	3/1/66
	Pennsylvania Hospital Philadelphia, Pennsylvania	3/1/66 - Reduction of indirect cost rate by 10 percentage points

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Pennsylvania</u> (cont.)	The Pennsylvania State University University Park, Pennsylvania	3/1/66
	Pennsylvania, University of Philadelphia, Pennsylvania	3/1/66
	Philadelphia College of Pharmacy and Science Philadelphia, Pennsylvania	7/1/67
	Philadelphia Geriatric Center (includes Gerontological Research Institute) Philadelphia, Pennsylvania	1/1/67
	Presbyterian-University of Pennsylvania Medical Center Philadelphia, Pennsylvania	7/1/66
	Regional Science Research Institute Philadelphia, Pennsylvania	7/1/66
	St. Christopher's Hospital for Children Philadelphia, Pennsylvania	3/1/66
	Temple University Philadelphia, Pennsylvania	3/1/66
	Wills Eye Hospital Philadelphia, Pennsylvania	3/1/66
	The Wistar Institute Philadelphia, Pennsylvania	1/1/68
	Woman's Medical College of Pennsylvania Philadelphia, Pennsylvania	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Rhode Island</u>	Brown University Providence, Rhode Island	7/1/66
	Rhode Island Hospital Providence, Rhode Island	1/1/67
	Rhode Island, University of Kingston, Rhode Island	7/1/66
<u>South Carolina</u>	Clemson University Clemson, South Carolina	3/1/66 - Reduction of indirect costs by 10 percentage points
	Medical College of South Carolina Charleston, South Carolina	7/1/67
	South Carolina, University of Columbia, South Carolina	3/1/66
<u>Tennessee</u>	Meharry Medical College Nashville, Tennessee	7/1/67 - Reduce indirect cost rate by 5 percentage points
	St. Jude Children's Research Hospital Memphis, Tennessee	3/1/66
	Tennessee, The University of (excludes all Medical Units in Memphis) Knoxville, Tennessee	3/1/66 - Reduce indirect costs by 5 per cent of the total of direct and indirect costs
	Vanderbilt University Medical Center Nashville, Tennessee	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Texas</u>	Baylor University College of Dentistry Dallas, Texas	3/1/66
	Baylor University College of Medicine Houston, Texas	12/9/66
	Houston Speech and Hearing Center Texas Medical Center Houston, Texas	12/2/66
	J.K. and Susie L. Wadley Research Institute and Blood Bank Dallas, Texas	3/1/66
	M.D. Anderson Hospital and Tumor Institute The University of Texas Texas Medical Center Houston, Texas	3/1/66
	Scott and White Memorial Hospital and Scott, Sherwood and Brindley Foundation Temple, Texas	1/30/67
	Southwest Center for Advanced Studies Dallas, Texas	3/1/66
	Southwest Research Institute San Antonio, Texas	3/1/66
	Texas, University of, Dental Branch Houston, Texas	3/1/66

<u>Institutional Cost Sharing Agreements</u>		<u>Effective</u>
<u>State</u>	<u>Institution</u>	<u>Date of</u>
		<u>Agreement</u>
<u>Texas</u> (cont.)	Texas, University of Medical Branch Galveston, Texas	9/1/66
	Texas, University of Medical School at San Antonio San Antonio, Texas	9/1/66
	Texas, University of Southwestern Medical School Dallas, Texas	3/1/66
<u>Utah</u>	Utah State University Logan, Utah	3/1/66
<u>Vermont</u>	Vermont, The University of Burlington, Vermont	3/1/66
<u>Virginia</u>	Medical College of Virginia Richmond, Virginia	1/16/67
	Virginia Polytechnic Institute Blacksburg, Virginia	3/1/66
	Virginia, University of Charlottesville, Virginia	3/1/66
<u>Washington</u>	Pacific Northwest Research Foundation Seattle, Washington	12/8/66
	Washington State University Pullman, Washington	3/1/66
	Washington, University of Seattle, Washington	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Wisconsin</u>	Marquette University (exclusive of Medical School) Milwaukee, Wisconsin	3/1/66
	Wisconsin, University of Madison, Wisconsin	3/1/66

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-3

SUBJECT: "Prior Approval" Program - Cumulative Listing of
Participating Institutions.

The institutions which have accepted an invitation to participate in the institutional "prior approval" program are listed below. This list supersedes Policy and Procedures Office Information Report I, Supplement #14, dated April 20, 1968. If you have any questions about this program, please contact the **Division of Grants and Contracts, Extension 179-6277.**

<u>Name of Institution</u>	<u>Beginning Date</u>
Alabama, University of	7/1/67
Alabama Medical Center, University of	9/1/67
Arizona, University of	7/1/67
Arkansas, University of	7/1/67
Boston University	3/1/68
Bowman Gray School of Medicine	3/15/68
California Institute of Technology	3/1/68
Case Western Reserve University	10/1/67
Cedars-Sinai Medical Center, Los Angeles	1/1/68
Children's Hospital Medical Center, Boston	1/1/68
Children's Hospital of Los Angeles	6/1/68
Children's Hospital of Philadelphia	10/1/67
Cincinnati, University of	8/1/68
City of Hope Medical Center, Los Angeles	3/1/68
Clark University, Worcester	1/15/68
Colorado State University	7/1/68
Columbia University College of Physicians & Surgeons (in original study)	
Cornell University, Ithaca	7/15/67
Cornell University Medical College, NYC	11/1/67
Emory University	7/1/67
Florida, University of	7/1/67
Georgetown University	7/1/67
George Washington University	3/1/68
Georgia, Medical College of	7/1/67
Harbor General Hospital, Torrance, Calif.	2/19/68

<u>Name of Institution</u>	<u>Beginning Date</u>
Hawaii, University of	7/1/67
Hospital for Special Surgery, NYC	11/1/68
Illinois Institute of Technology, Chicago	3/1/68
Illinois, University of, Chicago Circle	7/1/67
Illinois, University of, Urbana	7/1/67
Illinois, Medical Center, University of	7/1/67
Indiana University and Foundation	7/15/67
Institute for Cancer Research, Philadelphia	3/1/68
Iowa, University of	5/15/68
Jackson Laboratory	7/1/67
Johns Hopkins University School of Medicine	(in original study)
Kaiser Foundation Research Institute	11/1/67
Kentucky, University of	9/1/68
Louisville, University of (Belknap Campus)	7/1/68
Loyola University, Chicago	7/1/68
Maimonides Hospital of Brooklyn	10/16/67
Maryland, University of, College Park and Baltimore Campuses	3/1/68
Massachusetts General Hospital	(in original study)
Massachusetts Institute of Technology	(in original study)
Mayo Foundation	6/1/68
Memorial Hospital for Cancer and Allied Diseases	3/1/68
Miami, University of	8/1/67
Michael Reese Hospital and Medical Center	3/1/68
Michigan, University of	(in original study)
Minnesota, University of	7/1/67
Mississippi, University of, Oxford	7/1/67
Mississippi Medical Center, University of, Jackson	7/1/67
Montefiore Hospital, NYC	1/1/68
Mount Sinai Hospital, NYC	7/1/67
Mount Sinai School of Medicine, NYC	7/1/67
New Mexico, University of	6/1/68
Northwestern University	7/1/67
Ohio State University and Research Foundation	4/1/68
Oklahoma Medical Research Foundation	7/1/67
Oregon Medical School, University of	8/1/67
Oregon, University of	7/1/67
Pennsylvania State University, State College	2/16/68
Pennsylvania State University, Medical School, Hershey	2/16/68
Pennsylvania, University of	(in original study)
Philadelphia General Hospital	11/1/67
Philadelphia Psychiatric Hospital	1/1/68
Public Health Research Institute of New York City	1/1/68
Purdue University	7/1/67
Rockefeller University	(in original study)
Rutgers, The State University	7/5/67

<u>Name of Institution</u>	<u>Beginning Date</u>
St. Christopher's Hospital for Children, Philadelphia	11/1/67
St. Jude Hospital, Memphis	11/1/67
Salk Institute of Biological Studies	4/24/68
San Diego State College and Foundation	8/1/67
Scripps Clinic and Research Foundation	7/1/67
Southern California, University of	7/1/67
Tennessee Medical Units (Memphis), University of	6/1/68
Texas, University of, Austin	7/1/67
Texas, University of, Dental Branch	7/1/67
Texas, University of, Graduate School of Biomedical Sciences	7/1/67
Texas, University of, M. D. Anderson Hospital and Tumor Institute	7/1/67
Texas, University of, Medical Branch, Galveston	7/1/67
Texas, University of, Southwestern Medical College, Dallas	7/1/67
Tufts University	9/11/67
University Hospital, Boston	3/1/68
Utah, University of	7/1/67
Vermont, University of	7/1/67
Washington, University of, Seattle	8/1/67
Washington University, St. Louis	8/1/67
Wistar Institute, Philadelphia	6/1/68
Worcester Foundation for Experimental Biology	7/1/67

Paul E. Dox

Director, Division of Grants and Contracts

Date: October 8, 1968

Index: Pilot Study

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-4

SUBJECT : Implementation of Section 5, Public Law 90-31

APPLICABILITY : Research, Training, and Demonstration Project
Grants to the Veterans Administration

Section 5 of P.L. 90-31, which became effective July 1, 1968, authorizes direct grants to hospitals and other facilities of the Veterans Administration for research, training, and demonstration projects.

As a result of discussions between Dr. Lionel Bernstein, V.A., and Dr. Ernest M. Allen, PHS, an operating agreement was developed. Information on this agreement was made available through the Policy and Procedure Office Information Report #11, dated January 26, 1968. The amount to be allowed for indirect costs, which had not been resolved at the time Information Report #11 was issued, has now been agreed upon as 15% of salaries and wages. This agreement is reflected in the letter from Dr. Lionel Bernstein, dated July 10, 1968.

For your information and guidance when making awards to the Veterans Administration, copies of "Information Report #11" and Dr. Lionel Bernstein's letter of July 10, 1968, together with a covering transmittal memorandum from Dr. Ernest M. Allen, are attached.

Any questions concerning the implementation of Section 5 of P.L. 90-31 should be referred to my office, Lee Building, Room 218, Extension 179-6277.

Paul F. Cox

Director, Division of Grants and Contracts

Date: October 7, 1968

Index: Indirect Costs
Veterans Administration
Veterans Administration

U. S. Public Health Service
Office of Extramural Programs, OSG
Bethesda, Maryland 20014

Policy and Procedure Office
INFORMATION REPORT
REPORT #11
January 26, 1968

SUBJECT : Implementation of Section 5, Public Law 90-31
APPLICABILITY : Research, Training, or Demonstration Project Grants
EFFECTIVE DATE : July 1, 1968

Section 5 of P.L. 90-31 will become effective on July 1, 1968. This section amends Title V of the Public Health Service Act to authorize direct grants to hospitals and other facilities of the Veterans Administration for research, training, or demonstration project grants. It provides further that such grants shall be awarded under the same terms and conditions as apply to those awarded to nonfederal institutions.

As result of agreement reached by the VA and the PHS, the VA is issuing the attached Interim Issue 10-68. You will note that additional negotiations are required in reference to indirect cost rates to be allowed. Information covering such rates will be issued by the Division of Grant Administration Policy at an early date.

The use of the "same terms and conditions as apply to nonfederal institutions" is to be applied literally. For example, the fact that the VA is a Federal Government agency will not affect our procedure of providing reason for disapproval of applications only to the scientist himself.

ORIGINATING OFFICE: Office of Extramural Programs, OSG

APPROVED BY: Director, Office of Extramural Programs, OSG

Ernest M. Allen

Date: 1/30/68

Index:

VETERANS ADMINISTRATION
Department of Medicine and Surgery
Washington, D. C. 20420

INTERIM ISSUE 10-68-

- A. BASIC ADMINISTRATIVE ISSUE AFFECTED: M-3, Part I. The contents of this issue modify par. 1.14, Chapter 1, Research Grants, as pertains to the U.S. Public Health Service.
- B. OTHER ISSUES AFFECTED: None
- C. REASON FOR ISSUE: To implement Section 5, Public Law 90-31, which permits the Public Health Service to make direct grants to the VA for research, training or demonstration projects.
- D. TEXT OF ISSUE:

Section 5 of PL 90-31*, which becomes effective July 1, 1968, amends Title V of the Public Health Service act to permit direct grants from the PHS appropriation to VA hospitals** for "research, training, or demonstration project grants" under the same terms and conditions for such grants as apply to nonfederal institutions.

1. Grant Application Procedure

Grant applications may originate from VA investigators*** in affiliated or non-affiliated hospitals. In all cases, a copy of the application must be furnished to the ACMD for R&E (15).

a. Affiliated Hospitals: Determination of the route of the application will be made by the individual VA hospital-university complex. At each VA hospital, the Deans Committee, after consultation with the Hospital Research and Education Committee, may determine that applications from VA investigators will be (1) all routed directly to the Public Health Service, (2) all routed via the university, or (3) handled individually, being transmitted by either route at the option of the investigator and/or the Hospital R&E Committee. For all applications, whether or not the applicant has a university appointment, and whatever the routing,

* Applies to PHS only and does not apply to other bureaus of DHEW, or other Federal granting agencies.

** Or other VA facilities.

*** MD, PhD, DDS, DVM, or other scientists.

the use of VA facilities for support of the proposed research must be approved by the Hospital R&E Committee and the Deans Committee. Additional approving mechanisms may be established by the Deans Committee.

b. Unaffiliated Hospitals: With the approval of the Hospital R&E Committee, the Medical Advisory Committee, if one exists, and the ACMD for R&E (15), applications will be forwarded directly to the Public Health Service.

c. Cooperative Studies: All applications for support of cooperative studies in VA hospitals must have prior approval of the Director, Research Service, VACO.

d. Future Personnel: Stations may forward grant applications for investigators who plan to enter VA employment within the period covered by the grant request. An explanatory letter or the body of the application should clarify whether the pending VA assignment is an accomplished commitment unrelated to the grant application or is contingent upon approval and funding of the grant.

2. Title to Equipment

Title to equipment purchased under grants awarded directly to VA hospitals may be vested in the Veterans Administration. Upon termination of the grant, the PHS will assess the value of such equipment and determine appropriate disposition. Where the VA hospital assures that such equipment will be used for research and education purposes in the health field, the PHS may permit such equipment to remain in the hospital. The same title rights to grant equipment will apply to VA hospitals as those which now govern grant equipment at other hospitals; this includes the reservation to the PHS of the right to transfer such equipment from one institution to another when indicated.

3. Indirect Costs

Indirect costs which reflect overhead for research supported by such grants will be provided by the PHS. Negotiations between the PHS and the VA are in progress to determine indirect cost rates and cost sharing agreements which would serve for all VA hospitals. Because there will be some delay in the determination of the rate for such indirect costs, it is not necessary to await these details to submit individual grant applications. Instructions for the use of determined indirect cost rates will be provided to the field stations prior to July 1, 1968, the earliest possible date of implementation of PL 90-31. Meanwhile applications may be forwarded accompanied by an explanation that the rate to be used will be that established by negotiation now under way between the PHS and the VA.

4. Salaries

Whether applied for directly from VA, or via the university affiliation, PHS grants may provide salaries for investigators and other professional staff. It is the intent that such PHS salary funds would be used to increase the number of physicians and other scientists engaged in research and training. It is not the intent to substitute such PHS fund support of salaries for now existing VA salary funds.

Funds obtained by direct application from PHS grants will be handled as reimbursements to the 821 research allocation to the station. Physicians and other scientists engaged in research and training, as well as technical and supporting personnel would be hired as temporary employees under Title 38, U.S.C., 4114(a)(1)(A). In selected circumstances, and with prior approval of the ACMD for R&E, such funds may be used to hire career physicians under authority of Title 38, U.S.C., 4104(1), and other scientists on appropriate VA career appointments.

5. Minor Alterations and Renovations

Minor alterations and renovations requested, approved and funded as part of a grant proposal to the PHS may be accomplished within the VA facilities if required for the successful pursuit of the goals of the grant. The PHS cost limitation on such minor alterations and renovations is \$50,000. Such alterations must have the approval of the local Hospital R&E Committee, Deans Committee, VA Hospital Director, and the ACMD for R&E in Medicine.

H. M. ENGLE, M.D.
Chief Medical Director

Distribution

Memorandum

COPY

TO : Dr. James A. Shannon, Director, NIH
Dr. Robert Q. Marston, Administrator, HSMHA
Mr. C. C. Johnson, Administrator, CPEH

DATE: July 19, 1968

FROM : Director
Office of Extramural Programs

SUBJECT: Amendment to Agreement with the Veterans Administration on
Implementation of Section 5, P.L. 90-31

A copy of Dr. Lionel M. Bernstein's letter of July 10, 1968, is attached, along with a copy of PPO Information Report #11. You will note that the indirect cost rate for research and demonstration grants has been established at 15% of Salaries and Wages.

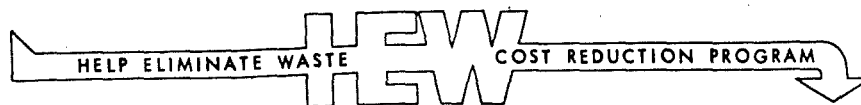
The earlier agreement to provide 10% of direct costs was amended in accordance with the wishes of the Assistant Secretary, Comptroller.

The Division of Grant Administration Policy has agreed to early official release of the 15% rate.

/s/ Ernest M. Allen

Ernest M. Allen, Sc.D.

Attachments





VETERANS ADMINISTRATION
DEPARTMENT OF MEDICINE AND SURGERY
WASHINGTON, D.C. 20420

July 10, 1968

YOUR FILE REFERENCE:

IN REPLY REFER TO: 151

Dr. Ernest M. Allen
Director, Office of Extramural Programs
Department of Health, Education and Welfare
9000 Rockville Pike
Bethesda, Maryland 20014

Dear Dr. Allen:

Following our telephone conversation on July 9, 1968, the Veterans Administration has reviewed the proposed alteration of the agreement concerning indirect costs and cost sharing for grants awarded to VA hospitals under provisions of Public Law 90-31. The proposed alteration was to substitute 15% of salaries and wages for the previously proposed 10% of total direct costs (excluding alterations and renovations; equipment costing in excess of \$500.00; and hospital per diem costs). Substituting the newly proposed method for calculating indirect costs and inserting the appropriate changes in the text of your April 25, 1968 letter, I construe that the terms acceptable to the Public Health Service would now read as follows:

1. On all grants awarded directly to VA hospitals, a predetermined fixed percentage rate of 15% of salaries and wages shall be awarded. This rate shall remain in effect until such time as either party finds reason to initiate renegotiation.
2. The difference between the 15% of salaries and wages as a predetermined fixed percentage rate cited in 1. above and the actual indirect cost at the VA hospital shall be considered to meet the cost-sharing requirements of the Public Health Service.
3. This agreement will apply to Research Project Grants and Demonstration Project Grants. It will be effective for projects beginning July 1, 1968, or thereafter.
4. In accordance with the DHEW policy, the indirect cost for training grants may not exceed 8% of total allowable direct costs.

Include Zip Code in your return address and give veteran's social security number.

Show veteran's full name and VA file number on all correspondence. If VA number is unknown, show service number.

Dr. Ernest Allen

I am pleased to indicate the acceptance of this revised proposed arrangement by the Veterans Administration. Many thanks for your help.

Warm regards,

A handwritten signature in cursive script that reads "Lionel Bernstein".

LIONEL M. BERNSTEIN, M.D.
Acting Assistant Chief Medical Director
for Research and Education in Medicine

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

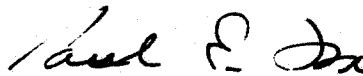
Grants Memorandum

Number 68-5

SUBJECT : Section 907 of the Department's Appropriation Act
of 1968 (P.L. 90-132)

By memorandum dated July 16, 1968, the Assistant Secretary, Comptroller, HEW, advised that application of this amendment to grants and loans should be suspended until the new Appropriation Bill is enacted.

For the present, and until further notice, Policy and Procedures Office Information Report #17, dated April 22, 1968, is withdrawn and not in effect.



Director, Division of Grants and Contracts

Date: October 7, 1968

Index: Funding (Violation of Law re Riots)

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION


EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-6

SUBJECT: Change in name of Jewish Chronic Disease Hospital to Kingsbrook
Jewish Medical Center

As advised by Mr. Melvin J. Slade, Comptroller, Kingsbrook Jewish Medical Center, East 49th Street and Rutland Road, Brooklyn, New York 11203, on June 3, 1968, the Jewish Chronic Disease Hospital officially changed its name to Kingsbrook Jewish Medical Center, pursuant to Section 40 of the General Corporation Law of New York state.



Director, Division of Grants and Contracts

Date: October 8, 1968

Index: Name of Grantee Institution

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

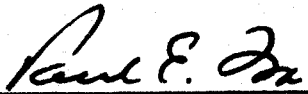
Number 68-7

SUBJECT: Discontinuance of Form PHS 4744-4, Quarterly Expenditure Report

APPLICABILITY: Health Services Project Grants

General Administration Manual, Chapter 19-75, issued on August 8, 1967, established a standard report of expenditures format (Form HEW-489) that replaced a number of report forms including Form PHS 4744-4, Quarterly Expenditure Report. Although HEW-489 was prescribed for use on research grant programs, the Manual also stated that this form or an adaptation thereof should be used with other programs having similar requirements for fiscal information. It is the Department's intent that requirements for quarterly expenditure reporting for other than payment systems, such as the letter of credit, be discontinued.

An extension for the use of PHS 4744-4 was authorized by the Division of Grants and Contracts in March, 1968 to enable HSMHA programs using the form to phase out their use of the form. Since BOB clearance of PHS 4744-4 expires June 30, 1969, and further clearance will not be requested, every effort should be made to discontinue the use of Form PHS 4744-4 at the earliest date. In no case shall it be used beyond the third quarter of this fiscal year.



Director, Division of Grants and Contracts

Date: October 22, 1968

Index: Quarterly Expenditure Report - Discontinuance of form PHS 4744-4

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-8

SUBJECT: Negotiation and Approval of Institutional Cost Sharing Agreements

Attached is a Memorandum of Agreement outlining the terms and conditions under which the National Institutes of Health, the Health Services and Mental Health Administration, and the Consumer Protection and Environmental Health Service will operate with relation to the negotiation and approval of institutional cost sharing agreements.



Director, Division of Grants and Contracts

Date: October 29, 1968

Attachment

Index: Institutional Cost Sharing Agreements - Negotiation and Approval of

MEMORANDUM OF AGREEMENT

Subject: Negotiation and Approval of Institutional
Cost Sharing Agreements

Under the provisions of Chapter 2-150, HEW Grants Administration Manual, operating agencies of the Department may authorize grantee institutions to submit institutional cost sharing proposals encompassing contributions to the combined total of sponsored research projects funded by two or more operating agencies (Sec. 2-150-20A).

The National Institutes of Health, the Health Services and Mental Health Administration, and the Consumer Protection and Environmental Health Service have agreed that both their interests and the interests of the grantee institutions to which they provide grant support would be best served by the maintenance of a single point for submission, review, and approval of all institutional cost sharing agreements relating to their respective programs.

The foregoing named operating agencies agree, under this Memorandum of Agreement, to the following terms and conditions:

1. The Division of Grants and Contracts, Office of the Administrator, Health Services and Mental Health Administration, will negotiate and approve institutional cost sharing agreements.
2. Each operating agency shall designate an office to act as the point for liaison with the Division of Grants and Contracts on institutional cost sharing matters.
3. Each operating agency shall instruct its grantees that the Division of Grants and Contracts has been assigned the responsibility relating to the submission, review, and approval of institutional cost sharing agreements.
4. The operating agencies will assist in promoting and negotiating activities if requested to do so by the Division of Grants and Contracts.
5. This agreement will continue in effect until amended or terminated by the participating parties. Amendments to the agreement must have approval of all participating parties. Any of the participating parties may terminate the agreement by giving three months notice in advance of its intent to do so to each of the interested groups.

The Division of Grants and Contracts agrees that it will provide the following services to the operating agencies:

1. Act as liaison between the operating agencies and the Department with respect to institutional cost sharing policy matters, implement such policy where appropriate, and provide assistance to the operating agencies in developing recommendations for desired changes in such policy.
2. Prepare required reports on and resolve audit findings related to institutional cost sharing agreements. The Division of Grants and Contracts shall transmit copies of such findings, along with its resolutions, to the liaison offices of the respective operating agencies.
3. Develop and carry out a systematic plan for encouraging all appropriate grantee institutions to enter into institutional cost sharing agreements.
4. Negotiate and renegotiate agreements with grantee institutions.
5. Report promptly to operating agencies on new, revised, or terminated agreements.
6. Adequately document all actions taken and the reasons for such actions with regard to agreements with any grantee institution.
7. Make available its files to representatives of an operating agency when requested by the agency's liaison office.

R. L. Seggel 10/2/68
Executive Officer,
National Institutes
of Health

John H. Kelan
Executive Officer,
Health Services and
Mental Health
Administration

E. P. Hamm
Assistant Administrator for Administration
Consumer Protection and
Environmental Health
Service

Paul E. Dan 10/3/68
Director, Division of
Grants and Contracts

Memorandum

TO : NIH, HSM, and CPE Extramural Staff Concerned

DATE: October 24, 1968

FROM : Director, Division of Research Grants, NIH

SUBJECT: Agreement on the use of human subjects in projects directly supported by PHS in Veterans Administration facilities.

Effective July 1, 1968, Section 5 of P.L. 90-31 amended Title V of the Public Health Service Act to authorize direct grants to hospitals and other facilities of the Veterans Administration for research, training, or demonstration project grants, under the same terms and conditions as apply to those awarded to nonfederal institutions.

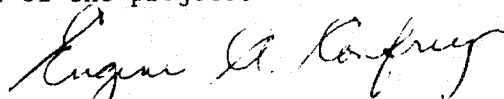
Policy and Procedure Order #129, revised July 1, 1966, requires the development of a satisfactory institution-wide agreement on the use of human subjects, between the grantee institution and the Public Health Service.

This is to advise you that, to date no such agreement has been developed with the Veterans Administration or any of its components. Discussions with Administration officials suggest that they will not be able to complete their own review of such an agreement before the beginning of calendar year 1969.

To assist you in processing awards for VA projects involving human subjects, an acceptable course of action is suggested. If the nature of the project is such that human subjects will not be involved in the first few months after the starting date, an award may be made with the contingency, clearly spelled out as a condition of that award, that the funds are not to be used to support studies involving human subjects until further notice from the awarding agency.

We are making every effort to conclude our negotiations with the Veterans Administration, and we will promptly inform you when this is done, so that you can release appropriate projects from the above-mentioned restriction.

Please note that this communication applies only to awards made directly to Veterans Administration facilities. In those cases where the grantee is a non-VA institution with the actual work being performed in whole or in part on VA premises, it is the grantee institution's responsibility to provide PHS with the necessary assurances and to carry out the required initial and continuing review of the project.



Eugene A. Confrey, Ph.D.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION


EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-9

SUBJECT: Agreement on the use of human subjects in projects directly supported by PHS in Veterans Administration facilities.

The Division of Research Grants, NIH, is the cognizant office for receiving, reviewing and approving institution-wide agreements on the use of human subjects in projects supported by the three agencies comprising the Public Health Service. The attached memorandum from the Director, DRG points out that such an agreement has not yet been negotiated with the Veterans Administration or any of its components, and that none is likely to be negotiated before January 1969. Accordingly, awarding components must take care in awarding grants directly to VA hospitals to be assured that the policies of PPO 129, as revised, are followed.



Director, Office of Grants Management

Date: December 2, 1968

Attachment

Index: Human Subjects - Awards to VA facilities when involved.

*Memorandum*C O P Y

TO : See Below

DATE: November 19, 1968

FROM : Director, Division of Grants Administration Policy

SUBJECT: Distribution of the Grants Administration Manual

As you know, the Grants Administration Manual is available to the public by purchase from the Superintendent of Documents, Government Printing Office. The subscription price is \$4 for an indefinite period.

I prefer that courtesy distributions be limited, insofar as it can be done tactfully, to 1) organizations or associations which represent major segments of the grantee community, such as the American Council on Education, the American Hospital Association, the National Governors Conference, etc., 2) news media, and 3) Federal agencies outside of the Department. Grantees and other members of the public who inquire about obtaining the Manual should ordinarily be referred to the Superintendent of Documents, rather than to my office.

Would you please communicate this to your respective staffs.

/s/ Nathaniel H. Karol

Addressees:

Dr. Ernest Allen - OS-ASH
Dr. Alan Donaldson - HS&MHA
Dr. Ronald Lamont-Havers - NIH
Mr. Albert Rotundo - SRS
Mr. Edward Stepnick - OS-AA
Mr. John Donovan - OGS
Dr. John Hanlon - CP&EHS
Mr. Wilbur Matz - SSA
Mr. Leon Schwartz - OE

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-12

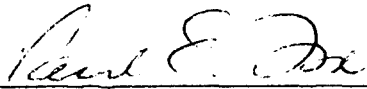
SUBJECT: Distribution of the Grants Administration Manual

The attached copy of a memorandum from the Director, Division of Grants Administration Policy, on the above subject is self-explanatory.

For your guidance in referring those who inquire about obtaining a Manual the complete address of the Superintendent of Documents is:

Superintendent of Documents
United States Government Printing Office
Washington, D.C. 20402

and the official title of the Manual is: Department Staff Manual, Grants Administration, Department of Health, Education, and Welfare.



Director, Office of Grants Management

Date: December 3, 1968

Attachment

Index: **Grants Administration Manual - Distribution of**

C O P Y

FEDERAL COUNCIL FOR SCIENCE AND TECHNOLOGY
Executive Office Building
Washington, D.C. 20506

November 13, 1968

MEMORANDUM FOR

Members, Federal Council for Science and Technology

Subject: Payment of Publication Costs from Federal Research
Grant and Contract Funds

As a result of financial problems some research performers have attempted to economize by refusing to pay page charges to scientific journals, and although this is only a small cloud on the horizon now, a general extension of the practice would lead to severe financial difficulties for the journals and for the professional societies which sponsor them. Of course, an available remedy is to replace voluntary by mandatory page charges, but this would make journals unavailable to those scientists who have no financial resources.

This matter was discussed by the Federal Council for Science and Technology and the following position is that of the Council:

The publication of research results is an essential part of the research process. This has been recognized in part through authorization to pay publication costs from Federal research grant and contract funds. It is the intention of the Federal Government when making research grants or contracts that costs of such publication (including page charges) should continue to be borne from the grant or contract, if other sources are not available.

I expect that each Federal agency will take steps to inform the staff and contract officers that this represents the position of their agency. Whenever in a position to do so, they should encourage performers to pay the page charges.

/s/ Donald F. Hornig
Chairman

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-11

SUBJECT: Payment of Publication Costs from Federal Research Grant and Contract Funds

Attached is a copy of a memorandum from the Chairman, Federal Council for Science and Technology, regarding the payment of publication costs from Federal research grants and contract funds.

The position taken by the Council is that the publication of research results is an essential part of the research process. In line with this position, the Council encourages the support of such publication costs (including page charges) from grant and contract funds, if other sources are not available.

The purpose of this memorandum is to inform appropriate grant and contract officers that HSMHA fully endorses the position taken by the Federal Council for Science and Technology. Since present PHS policy permits the payment of publication costs, no change in policy is necessary. Awarding components, however, should encourage grantees to publish the results of **their** research, and support the costs of such publication if other sources are not available.

Paul F. Jones

Director, Office of Grants Management

Date: December 18, 1968

Index: Publication Costs - Payment of

MemorandumC O P Y

TO : See Below

DATE: November 5, 1968

FROM : Director, Division of Grants Administration Policy

SUBJECT: Prior Review of Grant and Contract Awards or Payments to Health Research, Inc.

The Department is currently in process of resolving a number of important audit and indirect cost questions with Health Research, Incorporated, a non-profit New York Corporation.

Until such time as the matters in question are resolved it is deemed advisable that the Assistant Secretary, Comptroller be knowledgeable of and has the opportunity to review all grant and contract awards (new awards, or continuations) and all payments under existing grants and contracts.

Accordingly, before making such awards or payments a notice of intent must be submitted in writing through my office and should cite the date the grant/contract or payment is scheduled to be made (additional details will be requested as required on an individual basis after a notice of intent has been received). The notice should be received in my office at least six working days before the scheduled date of award or payment. Please make appropriate distribution of this memorandum throughout your respective organizations.

/s/ Nathaniel H. Karol

Addressees:

Dr. Ernest M. Allen, OS-ASH
Dr. Alan W. Donaldson, HS&MHA
Mr. John M. Donovan, OS-PGS
Dr. John J. Hanlon, EHS
Dr. Ronald W. Lamont-Havers, NIH
Mr. Wilbur Matz, SSA
Mr. Albert Rotundo, SRS
Mr. Leon M. Schwartz, OE
Mr. Edward W. Stepnick, HEWAA
Mr. Richard Seggel, NIH
Mr. Charles Miller, HS&MHA
Mr. Paul Fox, HS&MHA

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 68-10

SUBJECT: Prior Review of Grant and Contract Awards or Payments to Health Research, Inc.

Attached is a copy of a memorandum from the Director, Division of Grants Administration Policy, DHEW, establishing a requirement for prior review by the Office of the Assistant Secretary, Comptroller of all grant and contract awards and payments to be made to Health Research, Inc.

In carrying out this request, awarding components should send notices of intent to award a grant or a contract (new, continuation, supplement, etc.) directly to Mr. Karol's office. It will not be necessary to send the notices through this office or to provide us with copies. Neither will it be necessary to wait for positive approval from the Office of the Assistant Secretary, Comptroller before making the award as scheduled, provided the six working days advance notice was given as requested.



Director, Office of Grants Management

Date: December 2, 1968

Index: Prior Review - Grant & Contract Awards & Payments to Health Research, Inc.

MemorandumC O P Y

TO : See Below

DATE: December 19, 1968

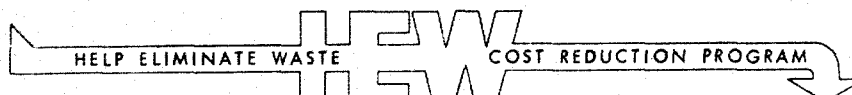
FROM : Director, Division of Grants Administration Policy

SUBJECT: Grant and Contract Awards or Payments to Health Research, Inc.

My memorandum of November 5, 1968, advised that the Department is currently in the process of resolving a number of important audit and indirect cost questions with Health Research, Incorporated, a non-profit New York Corporation. Further that until such time as the matters in question were resolved written notices of intent to make grant/contract, awards/payments should be submitted to the Assistant Secretary, Comptroller through my office.

The Assistant Secretary, Comptroller now advises, that until further notice, the following applies when making grant/contract, awards/payments to Health Research, Inc.

1. General Research Support Grants - Awards may be made only to New York State as grantee and fiscal agent.
2. Continuation Grants/Contracts - Awards, without increase or change from current expenditure levels, may be made so that initiated projects can continue. The Division of Grants Administration Policy will be advised of all awards made.
3. New Grants/Contracts - New grants and contracts should not be awarded until such time as HRI is determined to be financially sound or a firm commitment is received from New York State that it will insure the financial integrity of HRI. The Division of Grants Administration Policy will advise the operating agencies when either of these conditions have been met. In the interim, the Division of Grants Administration Policy should continue to be advised of all contemplated new grants and contracts.
4. Monthly Draw/Vouchers - HRI will submit a monthly report of its estimated cash needs for current operating expenses in the ensuing month, i.e. by December 25th for January expenses. This report will indicate, the estimated expenditures, less the cash on hand and the resulting balance (cash need). The report will



also indicate the estimated amount of funds which HRI may claim under the Department of Health, Education and Welfare awards for the same period, i.e. direct costs plus applicable indirect costs. Reimbursement will be limited to the lesser of the cash requirement or the amount of the allowable costs claim. The report will be certified by Marion Henry, as a representative of New York State. Payments should not be made without approval from the Division of Grants Administration Policy.

Please make appropriate distribution of this memorandum throughout your respective organizations.

/s/ Nathaniel H. Karol

Addressees:

Dr. Ernest M. Allen, OS-ASH
Dr. Alan W. Donaldson, HS&MHA
Mr. John M. Donovan, OS-OGS
Dr. John J. Hanlon, EHS
Dr. Ronald W. Lamont-Havers, NIH
Mr. Wilbur Matz, SSA
Mr. Albert Rotundo, SRS
Mr. Leon M. Schwartz, OE
Mr. Edward W. Stepnick, HEWAA
Mr. Richard Seggel, NIH
Mr. Charles Miller, HS&MHA
Mr. Paul Fox, HS&MHA

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-13

SUBJECT: Grant and Contract Awards or Payments to Health Research, Inc.

Attached is a memorandum from the Director, Division of Grants Administration Policy establishing procedures to be followed in making grant and contract awards to Health Research, Inc.

It should be noted that this Grants Memorandum supersedes Grants Memorandum 68-10 dated December 2, 1968.

Acting Donald Trech
Director, Office of Grants Management

Date: January 3, 1969

Attachment

Index: Grant and Contract Awards or Payments - Health Research, Inc.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-14

SUBJECT: Revision of Policy Prohibiting Concurrent Awards

APPLICABILITY: Fellowship and Training Grant Programs of the HSMHA

Section 504 of P.L. 90-574, which became effective October 15, 1968, permits students to receive payment of funds awarded through traineeships, fellowships, and other support programs in addition to educational assistance received under the Veterans Readjustment Benefits Act of 1966, P.L. 89-358. Accordingly, the prohibition against concurrent awards set forth on page 18 of the Public Health Service Grants for Training Projects policy brochure is hereby amended to exclude educational assistance received from the Veterans Administration. Likewise, the provision forbidding a fellow from receiving concurrent Veterans Administration educational benefits contained in the NIH "Research Fellowship Program Administrative Guide" should also be amended, along with any other publication that conflicts with the revised policy.

The attached copy of a memorandum from the Associate Administrator, HSMHA, has been sent to all grantees advising them of the change in policy.

acting Donald Trech
Director, Office of Grants Management

Date: January 3, 1969

Attachment

Index: Concurrent Awards

Grant Policy Information

TO : Heads of Institutions, Hospitals, and Non-Profit Organizations,
Fellowship and Training Coordinators, and Business Officers

FROM : Associate Administrator, HSMHA

SUBJECT: Concurrent Awards - Veterans' Readjustment Benefits Act (P.L. 89-358)
and Health Services and Mental Health Administration Training Awards

Legislation

Section 504 of P.L. 90-574 (Health Services and Facilities Act) signed by the President on October 15, 1968, provides as follows:

"No grant, award or loan of assistance to any student under any Act amended by this Act shall be considered a duplication of benefits for the purposes of Section 1781 of Title 38, United States Code."

The effect of this amendment to the Public Health Service Act is to provide that Public Health Service grants, awards, or loans to assist students shall not be considered a duplication of benefits for purposes of laws relating to veterans' educational benefits.

Policy Change

Effective October 15, 1968, students receiving educational assistance under the Veterans' Readjustment Benefits Act ("G.I. Bill") may be permitted to receive at the same time funds from either a training grant, fellowship, traineeship, scholarship, or loan provided by the Health Services and Mental Health Administration.

Applicability

Health Services and Mental Health Administration training and fellowship programs presently include the training and fellowship grants awarded by the National Institute of Mental Health and the National Center for Health Services Research and Development and the training grants awarded by the Community Health Service.

Therefore, references to educational remuneration from the Veterans Administration (Veterans Readjustment Benefits Act of 1966, P.L. 89-358) should be eliminated from page 18 of PHS Publication No. 1302 titled "Public Health Service Grants for Training Projects" and from all other publications that conflict with the revised policy.

If you have any questions please call the Office of Grants Management, HSMHA, area code 301, phone 495-6277.


Alan W. Donaldson, Sc.D.

Date: December 19, 1968

Memorandum

TO : Members of the Executive Committee on Grants
Administration Policy

DATE: December 16, 1968

FROM : Director, Division of Grants Administration Policy

SUBJECT: Reporting of Cost Sharing in Research Grants by Institutions
Using the Single Account System

The attached letter to Johns Hopkins University is largely self-explanatory. The approach which Hopkins will follow may be used as a precedent for other institutions using the single account system.

For the benefit of those of you who may not be familiar with this terminology, the single account system involves the use of only one account to accumulate all auditable expenditures of a project. The amounts in such an account must subsequently be prorated in some fashion between the Federal grant share and the grantee share.

/s/ Nathaniel H. Karol

Attachment



DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D.C. 20201

C O P Y

OFFICE OF THE SECRETARY

December 16, 1968

Mr. James G. Guerdon
Controller
The Johns Hopkins University
Baltimore, Maryland 21218

Dear Mr. Guerdon:

This is in reference to your letter of December 2, 1968, concerning the method of showing cost sharing on research grant expenditure reports.

As you pointed out, the current form, HEW 489, provides that only the Federal share of the project be reported by budget categories. Since you are using the single account system of accounting for research projects, you propose to use one of the following approaches:

- (a) apply the cost sharing percentage uniformly to each budget category, or
- (b) apply the cost sharing amount to any category or combination of categories so long as the total cost sharing amount equals the negotiated percentage applicable to the project as a whole.

Either of these methods will be entirely acceptable in reporting research grant expenditures to the Department of Health, Education, and Welfare.

To avoid future misunderstandings, I am sending copies of this letter to the appropriate officials of our operating agencies and the HEW Audit Agency.

Sincerely yours,

/s/ Nathaniel H. Karol
Director, Division of Grants
Administration Policy

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-15

SUBJECT: Reporting of Cost Sharing in Research Grants by Institutions
Using the Single Account System

Attached are copies of a memorandum from the Director, Division of Grants Administration Policy to members of the Executive Committee on Grants Administration Policy, and his letter to Johns Hopkins University, relative to cost sharing in research grants by institutions using the single account system. Both documents are dated December 16, 1968.

The purpose of this Grants Memorandum is to advise you that the advice given Johns Hopkins may be used as a precedent for other institutions that may wish to use the single account system, and to provide you with information as to the Department's position in the event grantee institutions inquire relative to reporting cost sharing on HEW Form 489.



Director, Office of Grants Management

Date: January 9, 1969

Attachment

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-16

SUBJECT: Cost Sharing in Research Grants

Attached is a revised list of research grants requiring cost sharing. Please note that three programs have been added to the list attached to Grants Memorandum 68-2, dated September 3, 1968. (These are indicated by an asterisk.)

SUPERSEDES: List of applicable research grants attached to Grants Memorandum 68-2.



Director, Office of Grants Management

Date: January 9, 1969

Attachment

Index: Cost Sharing - List of programs requiring

January 9, 1969

COST SHARING IN RESEARCH GRANTS

APPLICABILITY: PHS Research Project Grants (identified by program codes as follows with the exception of foreign grants, grants to Federal institutions, grants to individuals, and conference grants):

- R 01 Projects - exclusive of conference and publication grants
- R 02 Nursing
- R 03 Small Grants
- R 07 ICMRT
- R 10 Chemotherapy & Psychopharmacology
- R 12 Mental Health Special Grants
- R 18 Hospital and Medical Facilities Research Grants (exclusive of Experimental Construction)
- R 20 Hospital Improvement
- R 21 Community Health Exploratory Grants
- *R 22 U.S.-Japan Cooperative Medical Science Program
- P 01 Research Program Projects
- P 10 Environmental Health Centers for Research and Training
- *P 11 Pharmacology-Toxicology Centers
- P 13 Dental Research Institute Program
- *P 15 Outpatient Clinical Research Grant Program

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS

Grants Memorandum


Number 69-17

SUBJECT: Organization of Office of Grants Management, Health Services
and Mental Health Administration

The Office of Grants Management, HSMHA, consists of the following Branches:

<u>Office of the Director</u>	<u>Address</u>	<u>*Telephone</u>
Paul E. Fox, Director	Lee Bldg. Room 218	Gov't Code Ext. 179-6277
<u>Policy Development and Issuance Branch</u>		
Paul E. Fox, Acting Chief	Lee Bldg. Room 218	179-6277
<u>Grants Operations Branch</u>		
Donald Frech, Acting Chief	Lee Bldg. Room 200A	179-6241
<u>Grants Analysis and Reports Branch</u>		
Ronald Frederick, Acting Chief	Lee Bldg. Room 208	179-6241

*Area Code 301, 495-plus extension



Director, Office of Grants Management

Date: January 15, 1969

Index: Organization - OGM-HSMHA

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-18

SUBJECT; SUNY Local Campus Officials Authorized to Sign Applications for Sponsored Support and Research Foundation of SUNY Individuals Authorized to Certify Expenditures from Sponsored Program Funds

Attached are revised listings of the State University of New York local campus officials designated to sign application face sheets evidencing University administrative approval of proposed projects and of those persons authorized to certify on behalf of the Research Foundation, expenditures from sponsored program funds at the local campuses.



Director, Office of Grants Management

Date: January 22, 1969

Attachment

Index: Authorized Signatures - SUNY

**STATE UNIVERSITY OF NEW YORK
LOCAL CAMPUS OFFICIALS AUTHORIZED TO SIGN
APPLICATIONS FOR SPONSORED SUPPORT**

State University of New York at Albany

Dr. Evan R. Collins, President
Dr. Earl G. Droessler, Vice-President for Research
Dr. Webb S. Fiser, Vice-President for Academic Affairs

State University of New York at Binghamton

Dr. Bruce Dearing, President
Dr. S. Stewart Gordon, Vice-President for Academic Affairs
Mr. Edward J. Demske, Coordinator of Research

State University of New York at Buffalo

Dr. Martin Meyerson, President
Dr. Raymond Ewell, Vice-President for Research
Dr. Peter F. Regan, Executive Vice-President
Mr. Robert D. Murrill, Assistant Vice-President for Research

State University of New York, Downstate Medical Center

Dr. Joseph K. Hill, President and Dean

State University of New York, Upstate Medical Center

Dr. Julius B. Richmond, Acting President
Mr. David A. Sinclair, Vice-President for Business Affairs
Mrs. Jean R. Fancher, Assistant for Sponsored Research

State University of New York, College at Brockport

Dr. Albert W. Brown, President
Dr. Donald Nasca, Director for Research

State University of New York, College at Buffalo

Dr. Elbert K. Fretwell, President
Dr. George R. Sherrie, Vice-President for Administration

State University of New York, College at Cortland

Dr. Richard C. Jones, Acting President
Dr. Ross Allen, Dean, Division of Graduate Studies and Research
Dr. Walter L. Heilbronner, Vice-President for Academic Affairs

State University of New York, College at Fredonia

Dr. Oscar E. Lanford, President
Dr. Milton M. Klein, Dean for Graduate Studies and Research

State University of New York, College at Geneseo

Dr. Robert W. MacVittie, President
Dr. Roy E. McTarnaghan, Dean for Long Range Planning and Research

State University of New York, College at New Paltz

Dr. John J. Neumaier, President
Dr. John H. Jacobson, Vice President

State University of New York, College at Old Westbury

Dr. Harris Wofford, President
Dr. Jerome Ziegler

State University of New York, College at Oneonta

Dr. Royal F. Netzer, President
Dr. Leonard T. Kreisman, Director of Institutional Research

State University of New York, College at Oswego

Dr. James E. Perdue, President
Dr. J. Sherwood Dunham, Vice-President for Academic Affairs

State University of New York, College at Plattsburgh

Dr. George W. Angell, President
Dr. William F. Lawrence, Vice President for Academic Affairs

State University of New York, College at Potsdam

Dr. H. Austin Peck, President
Dr. Alfred W. Thatcher, Vice President for Academic Affairs
Dr. Clarence McKinstry, Research Grants Administrator

State University of New York, College at Purchase

Dr. Abbott Kaplan, President

State University of New York, College of Forestry

Dr. Edwin C. Jahn, Dean
Dr. Richard E. Pentoney, Associate Dean for Physical
Sciences and Research

State University of New York, Maritime College

Rear Admiral Edward J. O'Donnell, President
Dr. Daniel J. Duffy, Vice-President for Academic Affairs

State University of New York, Agricultural and Technical College
at Alfred

Dr. David H. Huntington, President
Dr. Roger F. Rawe, Vice-President and Dean

State University of New York, Agricultural and Technical College
at Canton

Dr. Glenn E. Wright, Acting President

State University of New York, Agricultural and Technical College
at Cobleskill

Dr. Walton A. Brown, President
Mrs. Marjorie K. Byrnes, Business Officer

State University of New York, Agricultural and Technical College
at Delhi

Dr. William R. Kunsela, President
Dr. William F. Kennaugh, Vice-President

State University of New York, Agricultural and Technical College
at Farmingdale

Dr. Charles W. Laffin, Jr., President
Mr. Vincent H. Tolino, Director of Institutional Research

State University of New York, Agricultural and Technical College
at Morrisville

Dr. Royson N. Whipple, President

State University of New York, Center for International Studies
and World Affairs

Dr. Ivan Putman, Jr., Acting University Dean

State University of New York, Institute for Research in Learning
and Instruction

(Vacancy)

State University of New York, Fashion Institute of Technology

Dr. Lawrence Jarvie, President

State University of New York at Stony Brook

Dr. John S. Toll, President
Dr. Robert A. Jordan, Acting Dean, Graduate School
Dr. Bentley Glass, Academic Vice President
Dr. T. A. Pond, Executive Vice President

Revised 9/18/68

THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK
 INDIVIDUALS AUTHORIZED TO CERTIFY EXPENDITURES
 FROM SPONSORED PROGRAM FUNDS

ALBANY

Robert A. Stierer

Assistant Vice President for Business Affairs

BINGHAMTON

John V. Goff

Senior Financial Secretary

COLLEGE AT BUFFALO*

John Fontana

Coordinator of Sponsored Programs

BUFFALO

Charles Balkin

Assistant Vice President for Business Affairs
and ControllerDOWNSTATE

Milton Miller

Vice President for Business Affairs

FORESTRY

Harry J. Corr

Director of Business Affairs

ONEONTA*

Robert M. Adams

Director of Business Affairs

OSWEGO*

Carey P. Salander

Director of Business Affairs

PLATTSBURGH*

Bernard J. Seawell

Assistant to the President for Business Affairs

POTSDAM*

James J. Doyle, Jr.

Senior Financial Secretary

STONY BROOK

Maurice Kosstrin

Business Director

UPSTATE

David A. Sinclair

Vice President for Business Affairs

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-19

SUBJECT: Implementation of HEW Chapter 1-71, Grants Administration Manual

BOB Circular A-21 Revised eliminated time or effort reporting requirements for personnel services at educational institutions engaged in Federally funded research. It permitted these institutions to use normal time and attendance and payroll distribution systems, and stipulated salary support amounts instead.

In implementing Circular A-21, the Department extended the coverage to include other grant programs and all non-profit institutions in addition to educational institutions, except State and local governments. These were specifically excluded because they must maintain time and effort reporting systems as required by BOB Circular A-87.

Attached are two Grant Policy Information letters dated November 5, and December 30, 1968, that were sent to the heads of grantee institutions informing them of the changes in reporting requirements set forth by the Department and of the implementation date established by Health Services and Mental Health Administration.

When advising grantees of the interpretation to be placed on the January 1, 1969, effective date, grantees should be told that it was not intended that all conversions have to be made as of that date. January 1, 1969, was established as the earliest date that could be used for HSMHA programs. Grantees may elect dates after January 1; however, it should be made clear that when a conversion date for use of the stipulated salary approach is established, it will apply to all grants active as of that date as well as to all awards made thereafter.



Director, Office of Grants Management

Date: January 27, 1969

Attachments

Grant Policy Information

TO : Heads of Institutions, Hospitals and Non-Profit Organizations

FROM : Associate Administrator
Health Services and Mental Health Administration

SUBJECT: Revision of HSMHA Implementation of HEW Policy on Budgeting and Accounting for Salaries in Grant Programs dated November 5, 1968

References to "time or effort salary support documentation system" appearing in the "Conversion to Stipulated Salary Support" section of the November 5, 1968, memorandum have apparently been misinterpreted as indicating that the HSMHA will require such systems to be continued unless replaced by a payroll allocation system which includes the stipulation of professorial salaries.

The intent of the references to modification of existing time or effort systems was quite the opposite. The intent was simply to emphasize the fact that grantees are afforded the widest latitude in adopting a payroll allocation system to meet the revised BOB and HEW criteria, even to the continuation of a basic system no longer required, if they elect to do so. To eliminate further misunderstanding on this score, however, this section of the November 5, 1968, memorandum has been rewritten to delete any reference to time or effort reporting, as follows:

Conversion to Stipulated Salary Support

Chapter 1-71-80B requires that this policy become effective for currently active grants on the same date it becomes effective for new awards. If, therefore, a grantee elects to adopt a payroll allocation system including the stipulation of salaries for those persons who meet the criteria specified in BOB Circular A-21 (revised) and HEW Manual Chapter 1-71, this shall be done as of January 1, 1969. Evidence of such conversion which includes the stipulated salary support feature shall consist of two types of actions by the grantee:

1. The issuance of a written notice of such conversion to responsible grantee administrative officials, program or project directors, and principal investigators.
2. The submission to awarding HSMHA components of revised budgets (indicating stipulated salaries) for applications and awards pending action as of January 1, 1969. The initiative for such submissions rests with the

grantee. Otherwise, the awarding HSMHA components will assume that a grantee has elected to adopt a payroll allocation system with no provision for stipulated salaries on currently active grants and awards pending for personnel whose salaries are paid in part from HSMHA grant funds.

The election of a grantee to convert to a payroll allocation system including the stipulated salary feature for those personnel and positions meeting the criteria will automatically result in the conversion of the salary amounts for such persons which are being charged to grants active as of January 1, 1969.

Inquiries in respect to this memorandum should be addressed to:

Director, Office of Grants Management
Office of the Administrator
Health Services and Mental Health Administration
6935 Wisconsin Avenue
Chevy Chase, Maryland 20015
Telephone - Area Code 301, 495-6277.


Alan W. Donaldson, Sc.D.

Date: December 30, 1968

Grant Policy Information

TO: Heads of Institutions, Hospitals and Non-Profit Organizations

FROM: Associate Administrator,
Health Services and Mental Health Administration

SUBJECT: HSMHA Implementation of HEW Policy on Budgeting and Accounting for Salaries in Grant Programs

Effective Date

The DHEW has issued Chapter 1-71, Grants Administration Manual, "Budgeting and Accounting for Salaries." This Chapter establishes Departmental policy governing implementation of revised BOB Circular A-21, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Educational Institutions," dated June 1, 1968. The Department has established January 1, 1969, as the maximum limit for operating agencies to implement these policies. In view of previous expressions from grantees regarding deadlines for changing grant management practices, the Health Services and Mental Health Administration is electing to set January 1, 1969, as the effective date for its implementation of the Department's policies.

Major Policy Changes

The specific requirement for a time or effort reporting system under guides contained in the March 1967 publication of the Department entitled "Time or Effort Reporting, A Guide to Compliance," has been eliminated. Grantees, however, will continue to be expected to employ appropriate systems for substantiating their payrolls and to provide an adequate basis for adjusting budgeted salary amounts when called for. Although no specific system is required, minimum standards for substantiating the budgeting and accounting for salary and wage charges to grants and contracts are set forth in the new policy statement. The adequacy of grantee systems for supporting payroll charges will be subject to continuing audit review.

Applicability

Particular attention should be given to Part 1-71-00, "Purpose" and Part 1-71-20, "Applicability," of the Department's manual issuance. The policies set forth in Chapter 1-71 apply to:

1. Educational institutions (public and private)
2. Hospitals (public and private)
3. Non-profit organizations.

They apply to the determination of salary charges to all types of grant funds made available directly or indirectly to these types of institutions. This includes the use of funds by educational institutions, hospitals, and non-profit organizations from project grants, such as training, demonstrations, and provision of services to the public, and formula grants.

The policies set forth in Chapter 1-71 do not apply to state and local government agencies. The definition of a state government agency in this instance excludes educational institutions and hospitals. The definition of a local government agency excludes institutions of higher learning (i.e., institutions above the secondary education level) and hospitals.

Supporting Information in Grant Applications

The personal service element of a project budget must be presented in two parts:

1. Stipulated salaries
2. Non-stipulated salaries

For each salary included in the "stipulated salary" part there shall be entered a percentage figure which represents the proportion of total institutional salary commitment for a given individual or position reflecting the services to be rendered to the project by that individual or position.

Additional information may be requested by the awarding HSMHA component as needed during the review and approval process on an individual project by project basis but not as a general requirement for all applications submitted.

Conversion to Stipulated Salary Support

Chapter 1-71-80B requires that this policy become effective for currently active grants on the same date it becomes effective for new awards. If, therefore, a grantee elects to convert an existing time or effort salary support documentation system to a stipulated salary system for those persons who meet the criteria specified in

BOB Circular A-21 (revised) and HEW Manual Chapter 1-71, this shall be done as of January 1, 1969. Evidence of such conversion shall consist of two types of actions by the grantee:

1. The issuance of a written notice of such conversion to responsible grantee administrative officials, program or project directors, and principal investigators.
2. The submission to awarding HSMHA components of revised budgets (indicating stipulated salaries) for applications and awards pending action as of January 1, 1969. The initiative for such submissions rests with the grantee. Otherwise, the awarding HSMHA components will assume that a grantee has elected to maintain an existing time or effort salary support documentation system for all personnel whose salaries are paid in part from HSMHA grant funds.

The election of a grantee to convert to a stipulated salary system for those personnel and positions meeting the criteria will automatically result in the conversion of the salary amounts for such persons which are being charged to grants active as of January 1, 1969.


Alan W. Donaldson, Sc.D.

Date: November 5, 1968

Attachments:

BOB Circular A-21 (Revised)
HEW Grants Administration Manual Chapter 1-71
List of HSMHA Grant Programs

EXECUTIVE OFFICE OF THE PRESIDENT

Bureau of the Budget

Washington, D.C. 20503

June 1, 1968

CIRCULAR NO. A-21

Revised

Transmittal Memorandum No. 2

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Principles for determining costs applicable to research and development under grants and contracts with educational institutions

1. **Purpose.** This Transmittal Memorandum amends sections B., "Definition of terms," and J.7., "Compensation for personal services," of Attachment A to Circular A-21 (Revised) dated March 3, 1965, together with subsequent amendments. The principal purpose of this amendment is to eliminate the time or effort reporting requirements set forth in that Circular. In substitution therefore, charges to federally sponsored research projects for personal services will be supported by the institution's normal time and attendance and payroll distribution systems, and by stipulated salary support amounts as specifically stated in research agreements.
2. **Amendments**
 - a. Under section B., a new paragraph is added:

"7. Stipulated salary support is a stated dollar amount of a faculty member's salary which a Government agency agrees to reimburse to an educational institution as a part of sponsored research costs. Stipulated salary support amounts will be provided in the research agreement for professorial staff any part of whose compensation is chargeable to Government-sponsored research and may be provided for any other professionals who are engaged part time in sponsored research and part time in other work. The stipulated salary support for an individual will be determined by the Government and the educational institution during the proposal and award process on the basis of a considered judgment as to the monetary value of the contribution which the individual is expected to make to the research project, taking into account any cost sharing by the institution, and basing the judgment on such factors as value of the investigator's expertise to the project, the extent of his planned participation in the project, and his ability to perform as planned in the light of his other commitments. It will be necessary for those who review research proposals to obtain information on the total academic year salary of

the faculty members involved; the other research projects or proposals for which salary is allocated; and any other duties they may have such as teaching assignments, administrative assignments, number of graduate students for which they are responsible, or other institutional activities. Stipulated amounts for an individual must not result in increasing his official salary from the institution.

"In those cases in which it is not feasible to establish a stipulated salary support amount during the proposal and award process because detailed plans or knowledge of specific positions or individuals are not available, the agency and the institution may agree to use the payroll distribution procedure set forth in J.7.b. below as a basis for reimbursement of salary for any individuals for whom a support amount has not been established."

- b. Subsection b. of section J.7. is amended to read:

"b. Payroll distribution. Amounts charged to organized research for personal services, except stipulated salary support, regardless of whether treated as direct costs or allocated as indirect costs, will be based on institutional payrolls which have been approved and documented in accordance with generally accepted institutional practices. Support for direct and indirect allocations of costs to (1) instruction, (2) organized research, (3) indirect activities as defined in section E.1., or (4) other institutional activities as defined in section B.4. will be provided as described in subsections c., d., and e. below."

- c. Subsections c., d., and e. of section J.7. are eliminated and replaced with the following:

"c. Direct charges for personal services. The amounts stipulated for salary support (see section B.7.) in grants or cost-reimbursable type contracts will be treated as direct costs. The stipulated salary for the academic year will be prorated equally over the duration of the grant or contract period during the academic year, unless other arrangements have been made in the grant or contract instrument. No time or effort reporting will be required to support these amounts. Special provision for summer salaries will be required. The research agreements will state that any research covered by summer salary support must be carried out during the summer, not during the academic year, and at locations approved in advance in writing by the granting agency. The certification required in the new section K will attest to this requirement as well as all others in a given research agreement.

"Stipulated salary support remains fixed during the funding period of the grant or contract and will be costed at the rate described above unless there is a significant change in performance. For

example, a significant change in performance would exist if the faculty member (1) was ill for an extended period, (2) took sabbatical leave to devote effort to duties unrelated to his research, or (3) was required to increase substantially his teaching assignments, administrative duties, or responsibility for more research projects. In the latter event, it will be the responsibility of the educational institution to reduce the charges to the research agreement proportionately or seek an appropriate amendment.

"In the case of those covered by stipulated salary support, the auditors are no longer required to review the precise accuracy of time or effort devoted to research projects. Rather, their reviews should include steps to determine on a sample basis that an institution is not reimbursed for more than 100 percent of each faculty member's salary and that the portion of each faculty member's salary charged to Government-sponsored research is reasonable in view of his university workload and other commitments.

"When an educational institution cost shares in whole or in part (see Bureau of the Budget Circular No. A-74) by using faculty salaries, the stipulated salary concept should also be applied in this instance. During the proposal and award process, approving authorities will establish, in conjunction with the institution, the share of the faculty member's contribution to the project to be reimbursed by the Government and that to be borne by the institution. The latter amount will become a part of the institution's cost share. Unless other arrangements are made, the institution will prorate the stipulated salary over the period of the agreement and charge the prorated costs to the project cost records periodically to support its cost sharing amounts. No time or effort reporting will be required to support these charges. As in the case of stipulated salary amounts that are reimbursed by the Government, any significant change in performance, as defined in that context, which would affect the agreed-upon cost sharing amount must be promptly recognized by other cost sharing or amendment to the research agreement. It will be the responsibility of the educational institution to assure that this action is taken.

"Nonprofessorial professional staff includes research associates and assistants, graduate students, and other persons performing professional work; for example, chemists and engineers. The direct cost charged to organized research for the services of such professionals, exclusive of those whose salaries are stipulated in the research agreement, will be based on institutional payroll systems. Such institutional payroll systems must be supported by either an adequate appointment and workload distribution system accompanied by monthly reviews performed by responsible officials and a reporting of any significant changes in workload distribution of each professional, or by a monthly after-the-fact certification system which

will require the individual investigators, deans, departmental chairmen or supervisors having first-hand knowledge of the services performed on each research agreement to report the distribution of effort. Reported changes will be incorporated during the accounting period into the payroll distribution system and into the accounting records. Direct charges for salaries and wages of nonprofessionals will be supported by time and attendance and payroll distribution records.

"d. Indirect personal services costs. Allowable indirect personal services costs will be supported by the education institution's accounting system maintained in accordance with generally accepted institutional practices. Where a comprehensive accounting system does not exist, the institution should make periodic surveys no less frequently than annually to support the indirect personal services costs for inclusion in the overhead pool. Such supporting documentation must be retained for subsequent review by Government officials.

"e. General guidance for charging personal services. Budget estimates on a monthly, quarterly, semester, or yearly basis do not qualify as support for charges to federally sponsored research projects and should not be used unless confirmed after the fact. Charges to research agreements may include reasonable amounts for activities contributing and intimately related to work under the agreement, such as preparing and delivering special lectures about specific aspects of the ongoing research, writing research reports and articles, participating in appropriate research seminars, consulting with colleagues and graduate students with respect to related research, and attending appropriate scientific meetings and conferences. In no case should charges be made to federally sponsored research projects for lecturing or preparing for formal courses listed in the catalog and offered for degree credit, or for committee or administrative work related to university business."

d. A new section K is added.

"K. Certification of charges. "To assure that expenditures for research grants and contracts are proper and in accordance with the research agreement documents and approved project budgets, the annual and/or final fiscal reports for grants and the vouchers requesting payment under contracts will include a certification which reads essentially as follows:

"I certify that all expenditures reported (or payments requested) are for appropriate purposes and in accordance with the agreements set forth in the application and award documents' (signed by an authorized official of the university)."

3. Effective date. This amendment is effective immediately.

Charles J. Zwick
Director

GRANTS ADMINISTRATION MANUAL

CHAPTER 1-71

BUDGETING AND ACCOUNTING FOR SALARIES

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1-71-00 PURPOSE

This chapter sets forth Department policy on budgeting and accounting for salaries on all grants in which salary support is provided as a separately identified element of cost except those awarded to State or local government agencies.

1-71-10 BACKGROUND

Prior to the amendment of June 1, 1968, Bureau of the Budget Circular No. A-21 required that all amounts charged to organized research for personal services be based on institutional payrolls approved and documented in accordance with generally accepted institutional practices.

With certain exceptions, the Circular also required supplementary data on time or effort to support such salary charges. For individuals other than members of the professional staff, this support was to be in the form of time and attendance and payroll distribution records. For members of the professional staff, current and reasonable after-the-fact estimates of the percentage distribution of their total effort could be used as support in the absence of actual time records.

Within the DHEW, time or effort reporting requirements were adopted in many programs not specifically covered by Circular No. A-21. Included among these were research grants to hospitals and other organizations, and a number of diverse programs involving non-research activities such as training, demonstrations, or the provision of services to the public.

Circular No. A-21 was amended by Transmittal Memorandum No. 2, dated June 1, 1968. The principal purpose of that amendment was to eliminate the time or effort reporting requirements. In substitution therefor, the amendment provides that charges by educational institutions to federally sponsored research projects for personal services will be supported by payroll distribution systems, time and attendance records for non-professionals, and stipulated salary amounts as stated in research agreements. Stipulated salary support is defined in paragraph B.7 of the amendment as a stated dollar amount of a faculty member's salary which a Government agency agrees to reimburse to an educational institution as a part of sponsored research costs.

The Department believes that this new approach provides an eminently rational basis for treating salary support not only for research agreements with educational institutions but also in other programs and types of grantee institutions. Consequently, it has elected to extend the applicability of the new A-21 provisions (and terminology) to all grants in which salaries are budgeted as a separately identified element of cost. However, exception must be made in the case of grants to State and local governments awarded under the new cost principles set forth in BOB Circular No. A-87; paragraph 10 of Attachment B of that circular specifically requires State and local government grantees to support their payrolls by time and attendance records for individual employees, supplemented by time distribution records for those chargeable to two or more grant programs or other cost objectives.

1-71-20 APPLICABILITY

This chapter applies to all grants in which salary support is budgeted as a separately identified element of cost, except those to State and local governments awarded under Bureau of the Budget Circular No. A-87 when that circular becomes effective. The Department's research cost principles for hospitals (Chapter 2-66) and other non-profit institutions (Chapter 2-68) will be amended to conform to this policy as soon as practicable. In the interim, salaries charged under those principles will be governed by this chapter as fully as if they had been amended.

This chapter does not apply to stipends or consultants' fees.

1-71-30 STIPULATED SALARY SUPPORT

There exist two principal approaches to the establishment of direct salary support amounts in grant budgets:

- A. An amount of salary support may be agreed upon for a named individual (usually, but not always, a member of the grantee's professional staff).
- B. Support may be provided on the basis of a job title or position description without reference to a named individual.

It is clear that the June 1, 1968 amendment to BOB Circular A-21 is not intended to fundamentally alter the procedures associated with these two approaches. Consequently this policy regards stipulated salary support as defined by Circular No. A-21 as for all practical purposes synonymous with the first of these two approaches.

1-71-40 BASIC POLICIES

A. Budgeting of Salaries

1. Stipulated Salaries

Institutions applying for grants are expected to realistically assess the total anticipated commitments of those individuals for whom they request stipulated salary support. The amounts budgeted should be based on (and may not exceed) the proportional relationship between the services to be rendered to the project and the individual's total salaried commitments. In reviewing grant applications, operating agencies should carefully evaluate the reasonableness of proposed stipulated salary support amounts in relation to total anticipated commitments.

In the case of educational institutions, special provision for summer salaries (whether for research or other activities) will be required. The grant will state that any work covered by stipulated summer salary support must be carried out during the summer, not during the academic year, and at locations approved in advance in writing by the granting agency.

2. Non-Stipulated Salaries

In those cases in which it is not feasible to establish a stipulated salary support amount for an individual, the amounts to be included as direct costs in the grant budget should be based on planned staffing levels and the grantee's established salary scales for the types of positions involved. When the grant activity is expected to require less than full time service, the amount of salary support to be budgeted should be proportionately reduced.

B. Charging of Salaries

1. Stipulated salary support amounts will remain fixed during the budget period unless there is a significant change in performance. If as a result of such a change, the original budget agreement becomes invalidated, the grantee is expected to make an appropriate adjustment to maintain a reasonable relationship between the amount of salary charged to the grant and the services actually devoted to

the grant activity. Non-stipulated salary charges will be based on the grantee's payroll system, and will be supported by appropriate documentation.

2. Adjustments to both stipulated and non-stipulated salaries may result in increases as well as decreases to the budgeted amounts. However, this is not intended to require any change to existing operating agency policies governing the extent to which salary funds may be rebudgeted without prior approval.

C. Limitations

Grant funds or grant funds plus other funds may not be used to reimburse the institution for any individual an amount in excess of his official salary. Grant funds may not be used to increase an individual's salary beyond the amount regularly established for him under the grantee's policies, which must be applied consistently without regard to the source of funds used for salary support.

D. Supporting Systems

Grantees are required to maintain systems which enable them to adequately discharge their responsibilities under A, B, and C, above, and to demonstrate that fact upon audit. The adequacy of such systems will be subject to audit review. Within the framework of the standards in Section 1-71-70 grantees should be given the maximum discretion to adopt systems appropriate to their individual needs. Consequently, operating agencies should not prescribe specific features of such systems in excess of those required by this policy.

1-71-50 SUPPORTING INFORMATION IN GRANT APPLICATIONS

Operating agencies should require sufficient information in support of requests for direct salary support to enable them to reach informed judgements as to the reasonableness of the amounts proposed. In the case of requests for stipulated salary support the following minimum information should be obtained:

- A. the estimated percentage of the individual's total salaried services to be devoted to the grant supported activity and
- B. a listing of any other duties he is expected to have during the budget period accompanied by an estimate of the time or effort which they will involve.

Agencies may also require the submission of such additional information as is clearly required for an informed judgement as to whether the proposed activity warrants support and as to the appropriate amount of such support. This may include the individual's total annual (or academic year) salary and the extent to which that salary represents full or part-time service. In the case of educational institutions, additional information will generally be necessary when stipulation is contemplated for summer work. (See 1-71-40A.1)

1-71-60 ADJUSTMENT OF STIPULATED SALARY SUPPORT AMOUNTS

- A. As indicated in 1-71-40 B. grantees are responsible for adjusting stipulated salary support amounts when necessary to maintain a reasonable relationship between the amount of salary charged to the grant and the total salaried services devoted to the grant activity. The Department recognizes the difficulties which are generally inherent in attempting to measure the distribution of professional services with any degree of precision. It is for this reason that stipulated salary support should be regarded as fixed in amount, and is subject to adjustment only when there is a significant change in performance. A significant change means either an extended absence or an identifiable change in the individual's schedule (workload distribution) which would have resulted in the stipulation of a different amount if it had been anticipated at the time of award.
- B. An adjustment would be required, for example, if a member of the faculty of a university working part-time on a research or training project were absent for an extended period of time or if he subsequently increased or decreased his teaching load by one or more courses. Similarly, an adjustment would be necessary if salary support had been provided with the expectation that the individual would work on three projects but support for one of these projects did not materialize and the salary and time of the individual were to be redistributed between the two projects being supported.

1-71-70 STANDARDS FOR SUBSTANTIATION SYSTEMS

- A. As specified in paragraph 1-71-40 D. grantees are required to maintain systems which enable them to adequately discharge their responsibilities under this policy. The minimum standards for substantiation systems are identified as the "payroll distribution procedure" by BOB Circular No. A-21 and are summarized in C, D, and E, below.

- B. Such systems, while required for both stipulated and non-stipulated salaries, may be regarded as serving two differing purposes. In the case of stipulated salaries, their purpose is primarily to determine when adjustments are required. In the case of non-stipulated salaries, since there is no prior agreement as to the monetary value of the contribution which an individual is expected to make, the purpose of the substantiation system is to determine the amount to be charged and to document that determination. However, it is believed and intended that institutions will be able to accomplish both of these purposes by the same basic system or systems.
- C. Direct charges for professionals must be supported by either:
1. an adequate appointment and workload distribution system, accompanied by monthly reviews performed by responsible officials and a reporting of any significant changes in workload distribution of each professional (i.e., an exception reporting system) or
 2. a monthly after-the-fact certification system which will require persons in supervisory positions having firsthand knowledge of the services performed to report the distribution of effort (i.e., a positive reporting system). Such reports must account for the total salaried effort of the persons covered. Consequently, a system which provides for the reporting only of effort applicable to federally sponsored activities is not acceptable. (This alternative is somewhat similar to the time or effort reporting procedure previously required by BOB Circular No. A-21. It is important to note that, as in the past, there is no requirement that individual professional employees report the distribution of their own time or effort.)
- D. Direct charges for salaries and wages of non-professionals will be supported by time and attendance and payroll distribution records.
- E. Allowable indirect personal services costs will be supported by the institution's accounting system maintained in accordance with generally accepted institutional practices. Where a comprehensive accounting system does not exist, the institution should make periodic surveys no less frequently than annually to support the indirect personal services costs for inclusion in the overhead pool. Such supporting documentation must be retained for subsequent review by Government representatives.

- A. Operating agencies **should** implement this policy in accordance with the general **guidelines** of Chapter 1-20 not later than January 1, 1969. **Copies** of the written implementing instructions which they develop **shall** be submitted to the Division of Grants Administration Policy **upon** issuance.

- B. Agency implementation of this policy should become effective for currently active grants on the same date it becomes effective for new awards. Grantees should be notified that all salary support amounts **provided** for named individuals in the budgets of currently active grants shall be regarded as stipulated and that the requirement for time or effort reporting in support of professional salary charges is discontinued. Formal amendments to individual currently active grants will not be necessary for this purpose.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

Grant-In-Aid Programs

<u>Program</u>	<u>Program Code, When Used</u>	<u>Grant Prefix, When Used</u>
<u>COMMUNITY HEALTH SERVICE</u>		
Appalachian Demonstration Health Projects		AG
Planning Grants		
Construction Grants		
Component Project Grants for Operations and Equipment		
Supplements to Federal Grants-In-Aid for Appalachian Construction Programs		
Comprehensive Health Planning and Services Formula Grants		
State Program for Comprehensive Health Planning		
State Public Health Services		
State Mental Health Services		
Project Grants		N, AP, CH, MR
Areawide Health Planning		
Studies & Demonstrations in Health Planning		
Health Services Development Projects		
Training Grants		< CST, N, MTN, MR(T), T, NT, RH
Academic Centers		
Health Planning Curriculums		
Continuing Education in Planning		
Health Services Development Training		
Migrant Health Program		MG
Project Grants		
<u>HEALTH FACILITIES PLANNING AND CONSTRUCTION SERVICE</u>		
		HM
Construction Grants		
Hospitals and Public Health Centers		
Rehabilitation Facilities		
Long Term Care Facilities		
Diagnostic or Treatment Centers		
Modernization of Health Facilities		
<u>NATIONAL COMMUNICABLE DISEASE CENTER</u>		
		CC
Research Grants		
Projects	R01	
Scientific Evaluation	R09	
Conferences	R13	
Exploratory Grants	R21	
Research Program Projects	F01	
Immunization Programs		

<u>Program</u>	<u>Program Code, When Used</u>	<u>Grant Prefix, When Used</u>
<u>NATIONAL CENTER FOR HEALTH SERVICES RESEARCH AND DEVELOPMENT</u>		
CD, CH, HM, HS		
Research and Demonstration Grants		
Projects	R01	
Conferences	R13	
Development and Demonstration	R18	
Exploratory Grants	R21	
Research Program Projects	F01	
Health Services Research Centers	F02	
Training Grants		
Graduate	T01	
Fellowship Grants		
Predoctoral	F01	
Postdoctoral	F02	
Special	F03	
<u>NATIONAL INSTITUTE OF MENTAL HEALTH</u>		
MH		
Research Grants		
Projects	R01	
Nursing	R02	
Small Grants	R03	
Scientific Evaluation	R09	
Chemotherapy and Psychopharmacology	R10	
Mental Health Special Grants	R12	
Conferences	R13	
Mental Health Special Conferences	R16	
Hospital Improvement Project Grants	R20	
Research Program Projects	F01	
Categorical Clinical Research Centers	F02	
Scientific Evaluation	F09	
General Research Support		
Training Grants		
Graduate	T01	
Undergraduate	T02	
Scientific Evaluation	T09	
Inservice Training Program	T10	
Conferences	T14	
Continuing Education Training Program	T15	
Pilot Projects	T21	
Special Projects	T31	
Utilization and Development	T41	
Scientific Evaluation	K09	
Fellowship Grants		
Predoctoral	F01	
Postdoctoral	F02	
Special	F03	
Research Career Program Awards		

<u>Program</u>	<u>Program Code, When Used</u>	<u>Grant Prefix, When Used</u>
Fellowship Grants (con't.)		
Research Scientist Development Award		
Research and Training	K01	
Research	K02	
Research Scientist Award	K05	
Research Career Award	K06	
Other Grants		
Community Mental Health Center		
Construction	C03	
Staffing	H01	
Narcotic Addict Treatment Program		
Operations	H17	
Construction	C04	
<u>REGIONAL MEDICAL PROGRAMS SERVICE</u>		RM
Planning Grants	G02	
Operational Grants	G03	

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-20

SUBJECT: "Prior Approval" Program - Cumulative Listing of Participating Institutions.

The institutions which have accepted an invitation to participate in the institutional "prior approval" program are listed below. This list supersedes Grants Memorandum Number 68-3, dated October 8, 1968. If you have any questions about this program, please contact the Office of Grants Management, HSMHA, 179-6277.

<u>Name of Institution</u>	<u>Beginning Date</u>
Adelphi University	10/1/68
Alabama, University of	7/1/67
Alabama, University of, Medical Center	9/1/67
Albany Medical College of Union University	1/1/69
Arizona, University of	7/1/67
Arkansas, University of	7/1/67
Boston University	3/1/68
Bowman Gray School of Medicine	3/15/68
Brown University	12/1/68
California Institute of Technology	3/1/68
Case Western Reserve University	10/1/67
Cedars-Sinai Medical Center, Los Angeles	1/1/68
Children's Cancer Research Foundation, Boston	7/1/68
Children's Hospital Medical Center, Boston	1/1/68
Children's Hospital of Los Angeles	6/1/68
Children's Hospital of Philadelphia	10/1/67
Children's Hospital of Washington, D.C.	11/1/68
Cincinnati, University of	8/1/68
City of Hope Medical Center, Los Angeles	3/1/68
Clark University, Worcester	1/15/68
Cleveland Clinic Foundation	8/1/68
Colorado State University	7/1/68
Columbia University College of Physicians & Surgeons (in original study)	
Community Blood Council of Greater New York	2/1/69
Cornell University, Ithaca	7/15/67
Cornell University Medical College, NYC	11/1/67

<u>Name of Institution</u>	<u>Beginning Date</u>
Emory University	7/1/67
Florida, University of	7/1/67
Georgetown University	7/1/67
George Washington University	3/1/68
Georgia, Medical College of	7/1/67
Georgia, University of	2/1/69
Hahnemann Medical College & Hospital of Philadelphia	12/1/68
Harbor General Hospital, Torrance, Calif.	2/19/68
Hawaii, University of	7/1/67
Hospital for Special Surgery, NYC	11/1/67
Illinois Institute of Technology, Chicago	3/1/68
Illinois, University of, Chicago Circle	7/1/67
Illinois, University of, Urbana	7/1/67
Illinois, University of, Medical Center	7/1/67
Indiana University and Foundation	7/15/67
Institute for Cancer Research, Philadelphia	3/1/68
Iowa, University of	5/15/68
Jackson Laboratory	7/1/67
Johns Hopkins University School of Medicine	(in original study)
Kaiser Foundation Research Institute	11/1/67
Kansas State University	2/1/69
Kentucky, University of	9/1/68
Louisville, University of	7/1/68
Loyola University, Chicago	7/1/68
Maimonides Hospital of Brooklyn	10/16/67
Maryland, Univ. of, College Park & Baltimore Campuses	3/1/68
Massachusetts General Hospital	(in original study)
Massachusetts Institute of Technology	(in original study)
Mayo Foundation	6/1/68
Meharry Medical College	7/1/68
Memorial Hospital for Cancer & Allied Diseases	3/1/68
Menninger Foundation	11/1/68
Miami, University of	8/1/67
Michael Reese Hospital and Medical Center	3/1/68
Michigan State University	9/1/68
Michigan, University of	(in original study)
Minnesota, University of	7/1/67
Mississippi, University of, Oxford	7/1/67
Mississippi, Univ. of, Medical Center, Jackson	7/1/67
Montana State University	1/1/69
Montefiore Hospital, NYC	1/1/68
Mount Sinai Hospital, NYC	7/1/67
Mount Sinai School of Medicine, NYC	7/1/67
Mount Zion Hospital & Medical Center, San Francisco	2/1/69

<u>Name of Institution</u>	<u>Beginning Date</u>
New Mexico, University of	6/1/68
Northwestern University	7/1/67
Notre Dame, University of	9/1/68
Ohio State University & Research Foundation	4/1/68
Oklahoma Medical Research Foundation	7/1/67
Oklahoma State Univ. of Agriculture & Applied Science	9/1/68
Oregon Medical School, University of	8/1/67
Oregon State University	8/15/68
Oregon, University of	7/1/67
Pennsylvania State University, State College	2/16/68
Pennsylvania State Univ., Medical School, Hershey	2/16/68
Pennsylvania, University of	(in original study)
Philadelphia General Hospital	11/1/67
Philadelphia Psychiatric Hospital	1/1/68
Presbyterian-Univ. of Pennsylvania Medical Center	9/1/68
Public Health Research Institute of New York City	1/8/68
Rensselaer Polytechnic Institute	12/1/68
Purdue University	7/1/67
Retina Foundation	10/1/68
Rice University	9/1/68
Rockefeller University	(in original study)
Rutgers, The State University	7/5/67
St. Christopher's Hosp. for Children, Phila.	11/1/67
St. Jude Hospital, Memphis	11/1/67
Salk Institute of Biological Studies	4/24/68
San Diego State College and Foundation	8/1/67
Scripps Clinic and Research Foundation	7/1/67
Southern California, University of	7/1/67
Southwest Foundation for Research and Education	12/1/68
Temple University	1/9/69
Tennessee, Univ. of, Medical Units (Memphis)	6/1/68
Texas, University of, Austin	7/1/67
Texas, University of, Dental Branch	7/1/67
Texas, Univ. of, Graduate Sch. of Biomedical Sciences	7/1/67
Texas, Univ. of, M.D. Anderson Hosp. & Tumor Institute	7/1/67
Texas, Univ. of, Medical Branch, Galveston	7/1/67
Texas, Univ. of, Southwestern Medical College, Dallas	7/1/67
Tufts University	9/11/67
University Hospital, Boston	3/1/68
Utah State University	4/1/69
Utah, University of	7/1/67
Vanderbilt University	11/1/68
Vermont, University of	7/1/67

Name of Institution

Beginning Date

Washington, University of, Seattle	8/1/67
Washington University, St. Louis	8/1/67
Wistar Institute, Philadelphia	6/1/68
Woman's Medical College of Pennsylvania	2/1/69
Worcester Foundation for Experimental Biology	7/1/67

Total Number of Participating Institutions - 118



Director, Office of Grants Management

Date: February 6, 1969

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS


Grants Memorandum

Number 69-21

SUBJECT: SUNY Local Campus Officials Authorized to Sign Applications for
Sponsored Support and Research Foundation of SUNY Individuals
Authorized to Certify Expenditures from Sponsored Program Funds

Attached are revised listings of the State University of New York local campus officials designated to sign application face sheets evidencing University administrative approval of proposed projects and of those persons authorized to certify on behalf of the Research Foundation, expenditures from sponsored program funds at the local campuses.

This list supersedes the list attached to Grants Memorandum Number 69-18, dated January 22, 1969.



Director, Office of Grants Management

Date: February 19, 1969

Attachment

Index: Authorized Signatures - SUNY

STATE UNIVERSITY OF NEW YORK
LOCAL CAMPUS OFFICIALS AUTHORIZED TO SIGN
APPLICATIONS FOR SPONSORED SUPPORT

State University of New York at Albany

Dr. Evan R. Collins, President
Dr. Earl G. Droessler, Vice-President for Research
Dr. Alan A. Kuusisto, Vice-President for Academic Affairs

State University of New York at Binghamton

Dr. Bruce Dearing, President
Dr. S. Stewart Gordon, Vice-President for Academic Affairs
Mr. Edward J. Demske, Coordinator of Research
Dr. Edward C. Moore, Vice-President for Graduate Studies
and Research

State University of New York at Buffalo

Dr. Martin Meyerson, President
Dr. Raymond Ewell, Vice-President for Research
Dr. Peter F. Regan, Executive Vice-President
Mr. Robert D. Murrill, Assistant Vice-President for
Research

State University of New York, Downstate Medical Center

Dr. Joseph K. Hill, President and Dean

State University of New York, Upstate Medical Center

Dr. Lewis W. Bluemle, Jr., President
Mr. David A. Sinclair, Vice-President for Business Affairs
Mrs. Jean R. Fancher, Assistant for Sponsored Research

State University of New York, College at Brockport

Dr. Albert W. Brown, President
Dr. Donald Nasca, Director for Research

State University of New York, College at Buffalo

Dr. Elbert K. Fretwell, President
Dr. George R. Sherrie, Vice-President for Administration

State University of New York, College at Cortland

Dr. Richard C. Jones, President
Dr. Ross Allen, Dean, Division of Graduate Studies
and Research
Dr. Walter L. Heilbronner, Vice-President for Academic
Affairs

State University of New York, College at Fredonia

Dr. Oscar E. Lanford, President
Dr. Milton M. Klein, Dean for Graduate Studies and Research

State University of New York, College at Geneseo

Dr. Robert W. MacVittie, President
Dr. Roy E. McTarnaghan, Dean for Long Range Planning
and Research

State University of New York, College at New Paltz

Dr. John J. Neumaier, President
Dr. John H. Jacobson, Vice-President

State University of New York, College at Old Westbury

Dr. Harris Wofford, President
Dr. Jerome Ziegler

State University of New York, College at Oneonta

Dr. Royal F. Netzer, President
Dr. Clifford J. Craven, Vice-President and Academic Dean

State University of New York, College at Oswego

Dr. James E. Perdue, President
Dr. J. Sherwood Dunham, Vice-President for Academic Affairs

State University of New York, College at Plattsburgh

Dr. George W. Angell, President
Dr. William F. Lawrence, Vice-President for Academic Affairs

State University of New York, College at Potsdam

Dr. H. Austin Peck, President
Dr. Alfred W. Thatcher, Vice-President for Academic Affairs
Dr. Clarence McKinstry, Research Grants Administrator

State University of New York, College at Purchase

Dr. Abbott Kaplan, President

State University of New York, College of Forestry

Dr. Edwin C. Jahn, Dean
Dr. Richard E. Pentoney, Associate Dean for Physical
Sciences and Research

State University of New York, Maritime College

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Dr. Roger F. Rawe, Vice-President and Dean

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Mrs. Marjorie K. Byrnes, Business Officer

State University of New York, Agricultural and Technical College
at Delhi

Dr. William R. Kunsela, President
Dr. William F. Kennaugh, Vice-President

State University of New York, Agricultural and Technical College
at Farmingdale

Dr. Charles W. Laffin, Jr., President
Mr. Vincent H. Tolino, Director of Institutional Research

State University of New York, Agricultural and Technical College
at Morrisville

Dr. Royson N. Whipple, President

State University of New York, Center for International Studies
and World Affairs

Dr. Ivan Putman, Jr., Acting University Dean

State University of New York, Institute for Research in Learning
and Instruction

(Vacancy)

State University of New York, Fashion Institute of Technology

Dr. Lawrence Jarvie, President

State University of New York at Stony Brook

Dr. John S. Toll, President
Dr. Bentley Glass, Academic Vice-President
Dr. T. A. Pond, Executive Vice-President
Dr. Herbert Weisinger, Dean, Graduate School

THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK
INDIVIDUALS AUTHORIZED TO CERTIFY EXPENDITURES
FROM SPONSORED PROGRAM FUNDS

ALBANY

Robert A. Stierer Assistant Vice President for Business Affairs

BINGHAMTON

John V. Goff Senior Financial Secretary

COLLEGE AT BUFFALO

John Fontana Coordinator of Sponsored Programs

BUFFALO

Charles Balkin Assistant Vice President for Business Affairs
and Controller

DOWNSTATE

Milton Miller Vice President for Business Affairs

FORESTRY

Harry J. Corr Director of Business Affairs

FREDONIA

Edward Baydala Campus Director of Budgets

ONEONTA

Robert M. Adams Director of Business Affairs

OSWEGO

Carey P. Salander

Director of Business Affairs

PLATTSBURGH

Bernard J. Seawell

Assistant to the President for Business Affairs

POTSDAM

James J. Doyle, Jr.

Senior Financial Secretary

PURCHASE

Charles Cooper

Director of Business Affairs

STONY BROOK

Maurice Kosstrin

Business Director

UPSTATE

David A. Sinclair

Vice President for Business Affairs

A. & T. COLLEGE AT COBLESKILL

Majorie K. Byrnes (Mrs.)

Business Manager

A. & T. COLLEGE AT FARMINGDALE

Richard Edel

Director of Institutional Research

A. & T. COLLEGE AT MORRISVILLE

Luther L. Fiestler

Business Manager

Revised 1/16/69

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-24

SUBJECT: Implementation of HEW Chapter 1-71, Grants Administration Manual

Institutions which have elected to convert to stipulated salary support systems and have issued written notices to this effect are listed below. These systems are applicable to all grants active as of the date of conversion as well as to all awards made thereafter. Awarding components may receive revised budgets from the listed grantees for the current applications and awards. One exception is the Jewish Hospital of St. Louis which has stated their applications already contain stipulated salary amounts.

According to Chapter 1-71-60 A of the Grants Administration Manual, stipulated salary support should be regarded as fixed in amount, and is subject to adjustment only when there is a significant change in the level of performance. This means that upward adjustments of stipulated salary amounts are not allowable for other reasons, such as general or specific pay increases, unless the stipulated amount is renegotiated with the awarding unit.

Chapter 1-71-40 B of the Manual points out that upward adjustments because of changes in performance are subject to the operating agency's rebudgeting policies. Since the present PHS policy permits rebudgeting into the salary category without prior approval, awarding components are reminded that if they wish to limit stipulated salary amounts to the amount stipulated, it will be necessary to place a notation such as the following on the award statement:

"Upward adjustments of stipulated salary amounts may not be made without prior approval of this office."

Without such a notice, upward adjustments may be made unilaterally by the grantee under PHS rebudgeting policies. A general policy revision is not anticipated at this time because of the few institutions that have elected to stipulate.

Institutions Which Have Elected to Convert to a Stipulated Salary System

Effective January 1, 1969

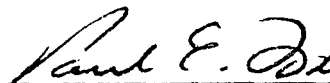
1. Indiana University Foundation, Bloomington, Indiana
2. Kent State University, Kent Ohio
3. Philadelphia Geriatric Center, Philadelphia, Pennsylvania
4. The Jewish Hospital of St. Louis, St. Louis, Missouri
5. Fels Research Institute, Yellow Springs, Ohio.

For your information, we are also listing those institutions which have communicated to us their desire not to convert to a stipulated salary system.

Institutions Not Converting to a Stipulated Salary System

1. Stanford University, Stanford, California
2. Utah State University, Logan, Utah
3. National Opinion Research Center, Chicago, Illinois
4. University of California, Berkeley, California
5. Louisiana State University Medical Center, New Orleans, Louisiana
6. University of Washington, Seattle, Washington.

This memorandum supplements the information previously furnished in Grants Memorandum No. 69-19, January 27, 1969.



Director, Office of Grants Management

Date: April 22, 1969

Index: Stipulated Salaries

STATE UNIVERSITY OF NEW YORK
LOCAL CAMPUS OFFICIALS AUTHORIZED TO SIGN
APPLICATIONS FOR SPONSORED SUPPORT

State University of New York at Albany

Dr. Evan R. Collins, President
Dr. Earl G. Droessler, Vice-President for Research
Dr. Alan A. Kuusisto, Vice-President for Academic Affairs

State University of New York at Binghamton

Dr. Bruce Dearing, President
Dr. S. Stewart Gordon, Vice-President for Academic Affairs
Mr. Edward J. Demske, Coordinator of Research
Dr. Edward C. Moore, Vice-President for Graduate Studies
and Research

State University of New York at Buffalo

Dr. Martin Meyerson, President
Dr. Raymond Ewell, Vice-President for Research
Dr. Peter F. Regan, Executive Vice-President
Mr. Robert D. Murrill, Assistant Vice-President for
Research

State University of New York, Downstate Medical Center

Dr. Joseph K. Hill, President and Dean

State University of New York, Upstate Medical Center

Dr. Lewis W. Bluemle, Jr., President
Mr. David A. Sinclair, Vice-President for Business Affairs
Mrs. Jean R. Fancher, Assistant for Sponsored Research

State University of New York, College at Brockport

Dr. Albert W. Brown, President
Dr. Donald Nasca, Director for Research

State University of New York, College at Buffalo

Dr. Elbert K. Fretwell, President
Dr. Philip Bonner, Vice President for Administration

State University of New York, College at Cortland

Dr. Richard C. Jones, President
Dr. Ross Allen, Dean, Division of Graduate Studies
and Research
Dr. Walter L. Heilbronner, Vice-President for Academic
Affairs

State University of New York, College at Fredonia

Dr. Oscar E. Lanford, President
Dr. Milton M. Klein, Dean for Graduate Studies and Research

State University of New York, College at Geneseo

Dr. Robert W. MacVittie, President
Dr. Roy E. McTarnaghan, Dean for Long Range Planning
and Research

State University of New York, College at New Paltz

Dr. John J. Neumaier, President
Dr. John H. Jacobson, Vice-President

State University of New York, College at Old Westbury

Dr. Harris Wofford, President
Dr. Jerome Ziegler

State University of New York, College at Oneonta

Dr. Royal F. Netzer, President
Dr. Clifford J. Craven, Vice-President and Academic Dean

State University of New York, College at Oswego

Dr. James E. Perdue, President
Dr. J. Sherwood Dunham, Vice-President for Academic Affairs

State University of New York, College at Plattsburgh

Dr. George W. Angell, President
Dr. William F. Lawrence, Vice-President for Academic Affairs

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS

Grants Memorandum

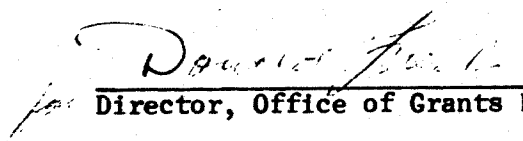
Number 69-25

SUBJECT: SUNY Local Campus Officials Authorized to Sign Applications for Sponsored Support and Research Foundation of SUNY Individuals Authorized to Certify Expenditures from Sponsored Program Funds

Attached are revised listings of the State University of New York local campus officials designated to sign application face sheets evidencing University administrative approval of proposed projects and of those persons authorized to certify on behalf of the Research Foundation, expenditures from sponsored program funds at the local campuses.

This information supersedes that contained in Grants Memorandum No. 69-25,
~~January 22, 1969.~~ ²¹

Feb. 19



Director, Office of Grants Management

Date: April 23, 1969

Attachment

Index: Authorized Signatures - SUNY

State University of New York, College at Potsdam

Dr. H. Austin Peck, President
Dr. Alfred W. Thatcher, Vice-President for Academic Affairs
Dr. Clarence McKinstry, Research Grants Administrator

State University of New York, College at Purchase

Dr. Abbott Kaplan, President

State University of New York, College of Forestry

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Dr. Richard E. Pentoney, Associate Dean for Physical
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State University of New York, Agricultural and Technical College
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Dr. Bentley Glass, Academic Vice-President
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Dr. Herbert Weisinger, Dean, Graduate School

THE RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK

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FREDONIA

Edward Baydala Campus Director of Budgets

COLLEGE AT GENESEO

John J. Nickerson, Jr. Senior Business Management Assistant

MARITIME COLLEGE

Louis R. Camp Director of Business Affairs

ONEONTA

Robert M. Adams Director of Business Affairs

OSWEGO

Carey P. Salander Director of Business Affairs

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Marjorie K. Byrnes (Mrs.) Business Manager

A. & T. COLLEGE AT FARMINGDALE

Richard Edel

Director of Institutional Research

A. & T. COLLEGE AT MORRISVILLE

Luther L. Fiester

Business Manager

Revised 3/25/69

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

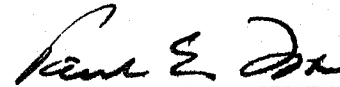
EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-26

SUBJECT: University of Colorado Medical Center Officials Authorized to Sign Grant Applications

Attached is a list of University of Colorado Medical Center officials having authority to sign grant application forms.



Director, Office of Grants Management

Date: May 16, 1969

Attachment

Index: Authorized Signatures - University of Colorado Medical Center

UNIVERSITY OF COLORADO MEDICAL CENTER
OFFICIALS AUTHORIZED TO SIGN
APPLICATIONS FOR SPONSORED SUPPORT

School of Medicine

David W. Talmage, M.D., Dean
Seymour Katsh, Ph.D., Associate Dean for Graduate and
Research Affairs

School of Dentistry

Leslie R. Burrows, D.D.S., Ph.D., Dean

School of Nursing

Kathryn Smith, Ed.D., Dean

On grants where a dean is also principal investigator, the following individuals are authorized to sign:

John J. Conger, Ph.D., Vice President for Medical Affairs
George S. Tyner, M.D., Assistant to the Vice-President
for Medical Affairs
Adrian E. Williamson, Executive Assistant to the Vice-President
for Medical Affairs

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-27

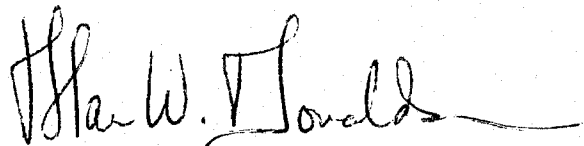
SUBJECT: Alterations and Renovations in Project Grants

BACKGROUND

Since 1960 PHS policy has provided that alterations and renovations in project grants (other than construction) may not exceed \$50,000. Since that time construction costs have risen approximately 45%, thus resulting in cutting back the amount of work that was formerly permitted. To provide a temporary measure, pending a more complete study and revision of the policy on alterations and renovations, it is the intent of this memorandum to recognize the increased costs of construction.

POLICY

All current policies placing a ceiling of \$50,000 on alterations and renovations in project grants are amended to establish the ceiling at \$75,000. All other provisions of the current policies in this area remain intact. Under this revised policy, awarding components may authorize alterations and renovations up to the amount under their own authority. Amounts in excess of \$75,000 may not be approved by awarding components. Requests for such waivers should be submitted to me through the Office of Grants Management, HSMHA with supporting justifications.



Associate Administrator, HSMHA

Date: May 16, 1969

Index: Alterations & Renovations - Project Grants

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

gmois
H. Jones
Mr. Silsbee
Mr. Phillips
Dr. Monaghan

Grants Memorandum

Amendment #1
Number 69-28

SUBJECT: Revised Policy -- Protection of the Individual as a Research Subject

The Division of Research Grants, NIH, has advised us that certification of sponsoring institutions of review and approval of projects involving human subjects will not be required as a prior condition of the award until July 1, 1970.

It is not intended that this delay extend to other aspects of the certification requirement. Initial review groups should continue to notify awarding agencies of the absence of certification on applications involving human subjects and may request certification if they feel that institutional review should be completed prior to initial review group consideration of specific proposals. Similarly, while awarding agencies need not make contingent awards when certification is lacking, they may insist on full and complete prior certification if such steps are necessary in the interests of the human subjects potentially involved, of the grantee institution, or of the program concerned.

Alan W. Donaldson
Associate Administrator, HSMRA

Date: Dec 15, 1969

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Amendment #2
Number 69-28

SUBJECT: Revised Policy -- Protection of the Individual as a Research Subject

We have been advised by NIH that the deadline of July 1, 1970, for the submission of certification of conformance with PHS policy on the protection of the individual as a research subject has been extended to December 31, 1970. This extension is necessary inasmuch as the checklist which has been developed for submission of the information regarding human experimentation has not been distributed to all grantees.

Paul E. Dox

Director
Office of Grants Management, HSMHA

Date: July 1, 1970

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-28

SUBJECT: Revised Policy -- Protection of the Individual as a Research Subject

Purpose
Applicability
Effective Date
Policy
Implementing Guidelines
Distribution of Policy Statement

PURPOSE

The purpose of this memorandum is to establish procedures for administering the policy stated in Protection of the Individual as a Research Subject -- Grants, awards, contracts.

The following are superseded:

PHS Publication No. 1804 (out of print) -- Surgeon General's policy statement on investigations involving use of human subjects

PPO #129 and its revisions and supplements.

APPLICABILITY

The policies and procedures stated in the publication Protection of the Individual as a Research Subject are applicable to any activity supported by an HSMHA grant, award, or contract involving any human exposed to a research procedure and require an institutional statement of assurance and a certification of institutional review of new, renewal, continuation, and supplemental applications for grants and awards.

EFFECTIVE DATE

The policy is effective as of May 1, 1969. Until December 31, 1969, however, no grant award will be held up for the lack of the certification of review and approval to allow sponsoring institutions to revise their current procedures if necessary. No activity which involves human subjects will be awarded a grant after December 31, 1969, without the certification.

POLICY

In addition to an acceptable statement of assurance, a sponsoring institution must submit for each application or proposal involving human subjects to be exposed to research a certification of review and approval of the procedures to be used and of continuing review of procedures as provided for in the institutional assurance of compliance with the policy.

An institution sponsoring an activity funded by an HSMHA grant is responsible for assuring compliance with the policy even though a portion or all of the project may be conducted by a cooperating institution. No HSMHA funds may be used to support any project, or proposed change in a project, not approved by the sponsoring institution's committee.

IMPLEMENTING GUIDELINES

Statements of Assurance

DRG Function -- The Institutional Relations Section, Division of Research Grants, NIH, as the agent for NIH, HSMHA, and CPEHS, is responsible for receiving and reviewing the institutional assurance statements, conducting any required negotiations with institutions, and notifying the responsible official of the grantee, applicant, or sponsoring institution of the acceptance. The Institutional Relations Section will continue to maintain and periodically update the cumulative list of institutions with acceptable assurances. Questions pertaining to assurance statements should be directed to that Section.

Awarding Component Function -- If a statement of assurance is received by an awarding component, the awarding component should forward it with any attachments to the DRG, NIH. If an application is received from an institution not on the list, the awarding component should transmit a copy of the application to the Institutional Relations Section with an indication that a statement of assurance of compliance needs to be obtained.

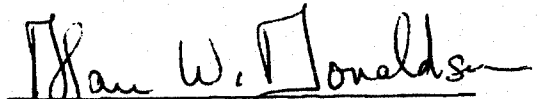
Certifications

Awarding Component Function -- The awarding component is responsible for satisfying itself that a certification accompanies or is filed for each appropriate application and that the procedures described in the application do in fact comply with the policy for the protection of individuals used as research subjects. Copies of correspondence concerning individuals as research subjects on any proposed or funded activity should be forwarded to the Institutional Relations Section, DRG.

DISTRIBUTION OF POLICY STATEMENT

The Division of Research Grants, NIH, distributed the policy statement to all institutions currently receiving NIH, HSMHA, and CPEHS support for projects involving human subjects and will continue to distribute policy materials to new grantee institutions as they are identified.

All application kits distributed through DRG will include the policy statement during the next several months. HSMHA awarding components should include the policy document in every application kit and should ensure distribution to each institution with an active grant or contract involving humans exposed to research. Additional copies of the policy statement may be obtained from the Grants Operations Branch, Office of Grants Management, HSMHA.


Associate Administrator, HSMHA

Date: June 18, 1969

THIS SUPERSEDES GRANTS MEMORANDUM 69-29

DATED May 29, 1969. PLEASE DISCARD.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-29

SUBJECT: Procedure for Coordination of General Counsel Opinions on Grant Programs

PURPOSE

This Grants Memorandum establishes procedures for coordinating requests for legal advice and services from the Office of the General Counsel on matters relating to all HSMHA grant programs and awards. It further designates the Office of Grants Management, HSMHA, as the central point within HSMHA with responsibility for (1) identifying requests which have applicability to other programs in HSMHA and to programs of other DHEW agencies, and (2) coordinating such requests with the appropriate offices.

BACKGROUND

For years responsible officials have considered ways to coordinate requests for legal advice and services from the Office of the General Counsel on matters relating to grant programs and awards. The procedures established herein are intended to achieve this end for written requests originating within HSMHA, while at the same time continuing free communication between HSMHA components and the Office of the General Counsel.

COORDINATING OFFICE

The Office of Grants Management, HSMHA, is designated to be responsible for coordinating requests for legal opinions and advice on all matters affecting HSMHA grant programs and awards. The Grants Operations Branch, OGM, is designated the contact point in the application of the procedures.

Mr. Paul Fox is designated as the HSMHA coordinating official under this procedure.

PROCEDURES

A. Oral Requests

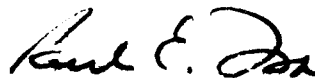
HSMHA staff seeking a legal opinion or advice orally shall contact the Office of the General Counsel directly at any time such advice is needed. Notification to the Office of Grants Management is left to the discretion of the initiating office.

B. Written Requests

1. HSMHA staff seeking a legal opinion or advice in writing shall prepare the memorandum and forward it directly to the Office of the General Counsel. Two copies of the request shall be forwarded to the HSMHA Coordinating Official, Office of Grants Management, who shall in turn forward one copy to the Director, Division of Grants Administration Policy.
2. The HSMHA coordinating official shall determine whether any aspects of the request affect other HSMHA programs or are likely to be applicable to programs in other DHEW operating agencies. If other HSMHA programs may be affected the Office of Grants Management shall seek clarification from the General Counsel regarding the effect on the total agency. If programs of other DHEW operating agencies are likely to be affected the Office of Grants Management will notify the Director, Division of Grants Administration Policy. In such cases the Director, DGAP, will seek clarification from General Counsel regarding the effect on the total Department.
3. When the HSMHA coordinating official makes a written request for General Counsel opinion, whether or not preceded by a program official's request, he shall send a copy to the Director, DGAP.
4. The original and all copies of written requests for General Counsel opinions shall show the distribution required.

C. Responses to Requests

The Office of General Counsel will send responses directly to the originator of the request with copies to Director, DGAP, and the HSMHA coordinating official. The Office of Grants Management will distribute copies to other HSMHA offices as necessary.



Director, Office of Grants Management

Date: July 15, 1969

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-30

SUBJECT: Reorganization of Rice University

William Marsh Rice University has been reorganized to reflect the following structure:

Dr. Frank E. Vandiver
Acting President

Dr. Carey Croneis
Chancellor

Dr. James R. Sims
Vice President for Campus Business Affairs

Dr. W. E. Gordon
Vice President and Dean of Science and Engineering

Dr. Virgil Topazio
Vice President and Dean of Humanities

Dr. Alan J. Chapman
Vice President for Administration

The Board of Governors has empowered Acting President Vandiver, Chancellor Croneis, Vice President Sims, and Vice President Gordon to execute research agreements on behalf of the University as authorized representatives.



Director, Office of Grants Management

Date: June 16, 1969

Index: Authorized Signatures - Rice University

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

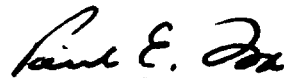
Grants Memorandum

Number 69-31

SUBJECT: Cost Sharing in Research Grants

Attached is a revised list of research grants requiring cost sharing. One additional program, indicated by an asterisk, has been added to the list attached to Grants Memorandum 69-16, dated January 9, 1969, and Grants Memorandum 69-22, Dated April 1, 1969.

Supersedes: List of applicable research grants attached to Grants Memoranda 69-16 and 69-22.



Director, Office of Grants Management

Date: June 16, 1969

Attachment

Index: Cost Sharing - List of programs requiring

June 16, 1969

COST SHARING IN RESEARCH GRANTS

APPLICABILITY: PHS Research Project Grants (identified by program codes as follows with the exception of foreign grants, grants to Federal institutions, grants to individuals, and conference grants):

- R 01 Projects - exclusive of conference and publication grants
- R 02 Nursing
- R 03 Small Grants
- R 07 ICMRT
- R 10 Chemotherapy & Psychopharmacology
- R 12 Mental Health Special Grants
- R 18 Hospital and Medical Facilities Research Grants (exclusive of Experimental Construction)
- R 20 Hospital Improvement
- R 21 Community Health Exploratory Grants
- R 22 U.S.-Japan Cooperative Medical Science Program
- P 01 Research Program Projects
- * P 02 NCHSRD Research Center Grants only
- P 10 Environmental Health Centers for Research and Training
- P 11 Pharmacology-Toxicology Centers
- P 13 Dental Research Institute Program
- P 15 Outpatient Clinical Research Grant Program

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-32

SUBJECT : Form PHS-398, Revised 2/69, Grant Application

APPLICABILITY: HSMHA Research Grants

REPLACES : Form PHS-398 (Rev. 5-66) and General Information and Instructions - Application for Research Grant (Rev. 1-67).

BACKGROUND

A revised PHS-398 has been received from the Government Printing Office and a supply is available in Room A-08, Westwood Building, Telephone, Code 14 X 67371. The revised form, with its accompanying instructions for research grant applications, was reviewed by staff of NIH, HSMHA, and CPEHS.

MAJOR CHANGES

Attention is called to the following:

1. The title of the form has been changed from "Application for Research Grant" to "Grant Application" in order that, with appropriate instructions, the form can be used for other programs.
2. The invention certification has been added to the face page.
3. Space is provided on the face page for information concerning Congressional districts, additional performance sites, and joint applicants.
4. On page 2, "Research Objectives", the investigator is asked to underscore key words in the abstract as an aid in indexing the project.
5. On page 3 (budget page), the following changes were made:
 - a. Personnel separated into "Stipulated Salaries" and "Non-stipulated Salaries" with instructions for completing.

3. Checklist for Research Grant Application (Rev. 2-69).
4. PHS-3830, Application Receipt Record (postcard).
5. PHS Grant for Research Projects Policy Statement, Revised 7/1/67.
6. Protection of the Individual as a Research Subject, Grants, awards, contracts, May 1, 1969.
7. The Mental Health Small Grant Program, May 1, 1968 (flyer).
8. Return envelope.

HSMHA awarding components should add appropriate program documents.



Director, Office of Grants Management

Date: June 23, 1969

- b. Estimates of time to be spent on the project in average hours per week are requested for each person (rather than percent of time or effort).
- c. All patient care costs have been combined under "Patient Costs".
- d. Publication Costs are included with "Other Expenses".
- e. Indirect cost information was moved from face page to budget page.
- o. The "Research Support" page has been combined with the "Biographical Sketches" page in order that information can be obtained on other support for all professional personnel, not just the principal investigator. Lists of publications are also required.
7. The Checklist has been expanded to include information on the type of application, civil rights assurance, human subjects involvement and certification, and institutional cost sharing agreements.
8. The form does not have snap-out carbons. Applicant is requested to prepare 6 additional copies by whatever means he deems appropriate. This procedure was introduced several months ago for the current 398 and 2590 applications and seems to be working satisfactorily.
9. The language and arrangement of the instructions have been changed to provide clarity. Changes other than editorial or those mentioned above in connection with the form are:
 - a. Instructions for completing the "Research Plan" have been worded and arranged to be more useful for scientific review. Provision is made for additional material to be provided as an appendix to the formal application, (12 copies).
 - b. Additional instructions are given for revised, supplemental and change of institution applications.

APPLICATION KITS

Effective immediately, the contents of the PHS-398 kit, available from NIH will be:

1. PHS-398 (Rev. 2-69) - 5 page form plus 10 blank continuation pages.
2. Information and Instructions for Application for Research Grant, Form PHS-398.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-33

SUBJECT: Change in the name of the Attending Staff Association of the Los Angeles County Hospital to Professional Staff Association of Los Angeles County, University of Southern California Medical Center, Inc.

Mr. J. S. Gott, Business Manager for the Professional Staff Association has advised us, through a copy of an amended Article of Incorporation as recorded by the State of California, that the name of the corporation has been changed from the Attending Staff Association of the Los Angeles County Hospital to Professional Staff Association of Los Angeles County, University of Southern California Medical Center, Inc.

Paul E. Cox

Director, Office of Grants Management

Date: July 17, 1969

Index: Change in name of institution

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION
EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-34

SUBJECT: Transmittal Notice - HSMHA Implementation of HEW Grants Administration Manual

Material Transmitted

- Implementation of Chapter 0-1 - Introduction
- Implementation of Chapter 0-2 - Plan of the HSMHA Implementation Manual
- Implementation of Chapter 1-45 - Use of Consultants
- Implementation of Chapter 1-450 - Use of Grant Funds for the Production of Motion Picture Films
- Implementation of Chapter 4-160 - Single Agency Management of Joint Construction Projects
- Implementation of Chapter 4-170 - Coordination of Joint Site Visits in Construction Programs

Material Superseded

None

Manual Maintenance (See HSMHA 0-2)

Enter the Grants Memorandum number in margin of HEW Manual Table of Contents to right of appropriate chapter number.

File attached material back of HEW Manual Chapters.

Post Number of this Grants Memorandum in right margin of Table of Contents in Grants Memorandum book.

July 23, 1969

Index: For Chapter 1-45 Enter Under Consultants: Use of
For Chapters 4-160 & 4-170 Enter Under Construction Projects: Single Agency Management
Joint Projects - Management
Joint Projects - Site Visits
Role of Regional Program Director

For Chapter 1-450 Enter Under Funds: Use for Motion Picture Films
Motion Picture Films

I N T R O D U C T I O N

PURPOSE AND SCOPE. The HSMHA grants administration policy and procedure issuances to implement policies and guidelines stated in the HEW Grants Administration Manual will be printed in the Department format on yellow paper.

The HSMHA implementation together with the HEW manual will serve as the basic reference document for those who are operationally involved in the management of grant programs and individual grants.

The HSMHA implementing policies and procedures will emphasize the particular requirements of HSMHA grant programs and the HSMHA grantee community, within the scope of the Department's policies. At the same time, HSMHA policies and procedures will provide guidance for awarding component judgment when freedom and flexibility are necessary to pursue program objectives.

APPLICABILITY. The HSMHA issuances are applicable to all grant programs of the HSMHA unless otherwise specified.

AUTHORITY FOR ISSUANCE. Chapter 1-20 of the HEW Grants Administration Manual states that "Each operating agency shall implement Department grant administration policies, in a manner appropriate to its particular grant programs and organizational structure,..."

Paul W. Donaldson
Associate Administrator, HSMHA

P L A N O F T H E H S M H A
I M P L E M E N T A T I O N M A N U A L

RESPONSIBILITY FOR THE HSMHA IMPLEMENTATION MANUAL

Responsibility for the development and maintenance of the HSMHA implementation of the HEW Grants Administration Manual is assigned to the Office of Grants Management, Office of the Assistant Administrator for Management, Health Services and Mental Health Administration.

ORGANIZATION OF THE HSMHA IMPLEMENTATION

The HSMHA implementation will be structured identically to the HEW Grants Administration Manual. (See HEW Grants Administration Manual Chapter 0-2.)

NUMBERING SYSTEM. The HSMHA part, chapter, and section numbering will be identical to that of the Department's manual except that the part and chapter numbers will be preceded by "HSMHA". The omission of a section in the HSMHA implementation will mean that the Department statement needs no further HSMHA explanation.

HSMHA GRANTS MEMORANDA. These will be used for HSMHA policies, procedures, guidelines, or other grants administration directional issuances for which there is no Department issuance and for material of temporary nature and limited scope. At the time of a Department issuance on subjects on which there was only an HSMHA Grants Memorandum, the Department's statement will take precedence, an HSMHA implementation will be issued, and the pertinent Grants Memorandum material superseded.

TABLE OF CONTENTS

There will be no separate table of contents for the HSMHA issuances implementing the HEW Manual. An entry of "HSMHA Grants Memorandum (No.)" should be made to the right of the chapter number in the Department Manual's table of contents (HEW Grants Administration Manual 0-3) to indicate an HSMHA implementation.

MAINTENANCE OF HSMHA IMPLEMENTATION MANUAL

HSMHA implementation of HEW Grants Administration Manual chapters will be forwarded under transmittal notices numbered in the Grants Memoranda numerical series. The transmittal notices will be filed with the Grants Memoranda. A

copy of the HEW Grants Administration Manual table of contents should be filed in the front of the Grants Memoranda binder and the Grants Memorandum number entered to the right of the appropriate chapter number. This will provide an index of HSMHA policy so that fewer sets of the HEW Manual as implemented need to be maintained.

The transmittal notice will specify the material transmitted, material superseded, subject index, filing instructions, and any other necessary information.

DISTRIBUTION

The HSMHA Implementation Manual will be distributed by the Office of Grants Management, Office of the Assistant Administrator for Management, HSMHA, in accordance with the Grants Memoranda distribution list maintained by the Policy Development and Issuance Branch.

CHAPTER HSMHA: 1-45
USE OF CONSULTANTS

1-45-00	Purpose
20	Policy
40	Implementation

1-45-00 PURPOSE

In general, Public Health Service policy has prohibited the use of grant funds for consultant fees to individuals in the grantee organization or institution except in unusual circumstances and only with prior approval. Chapter 1-45 of the HEW Grants Administration Manual establishes a different Department-wide policy.

This issuance establishes HSMHA policy and procedure.

1-45-20 POLICY

Under discretionary grant programs (those in which both the decision to make an award and the amount of the grant are within the discretion of the awarding agency), costs for consultants from within or outside the grantee organization are allowable without prior approval when supported by appropriate documentation.

1-45-40 IMPLEMENTATION

Effective May 15, 1969, the policy and the guidelines as stated in Chapter 1-45, HEW Grants Administration Manual are applicable to all HSMHA discretionary grant programs.

Attached is a copy of a memorandum which has been sent to all grantees advising them of the change of policy.

Awarding components should incorporate the new policy in the next revision of their grants program information documents on terms, conditions, policies, and procedures.

Attachment: Grant Policy Information Memorandum

Grants Memorandum 69-34 (7/23/69)

Grant Policy Information

TO : Heads of Institutions, Hospitals, Public Agencies and Private Non-Profit Organizations, Training Coordinators, and Business Officers

FROM : Associate Administrator
Health Services and Mental Health Administration

SUBJECT: Use of Consultants

BACKGROUND AND PURPOSE

Recipients of HSMHA grants have in general been restricted from using grant funds to pay for services of consultants from within the grantee organization. The Department of Health, Education, and Welfare has now established a uniform policy for recipients of DHEW grants.

POLICY

Under discretionary grant programs costs for consultants from within or outside the grantee organization are allowable without prior approval when supported by appropriate documentation.

For purposes of this policy, a discretionary grant is defined as one in which both the amount of the grant and the decision to award it are within the administrative discretion of the awarding agency.

Consultant fees may not be paid to a U.S. Government employee.

APPLICABILITY

This policy is applicable to grantees and to their contractors or affiliates whenever consultants are retained with HSMHA grant funds.

POLICY GUIDELINES

It is expected that grantee organizations will normally have their own policies with respect to use of consultant services, that those policies will apply equally to the use of consultants paid for by grant funds and that they will include, as a minimum, the standards

for documentation described below. However, in the absence of such policies, the following shall represent the minimum standards for documentation in support of the use of consultants:

- A. Evidence that the services of the consultant are needed and the need cannot be met by direct salaries provided under the grant.
- B. Evidence that a selection process has been employed to secure the most qualified individual available, considering the nature and extent of services to be required.
- C. Evidence that the fee is appropriate considering the qualifications of the consultant, his normal charges, and the nature of the services to be provided.

Grantees are required to ensure that third parties under grant awards adhere to the policies and procedures specified herein.

EFFECTIVE DATE

This policy and guidelines are effective as of May 15, 1969.

Alan W. Donaldson
Associate Administrator, HSMHA

Date: July 24, 1969

CHAPTER HSMHA: 1-450
USE OF GRANT FUNDS FOR THE PRODUCTION
OF MOTION PICTURE FILMS

- 1-450-00 Purpose
- 30 Policy
- 50 Clearance Procedure for Exceptions

1-450-00 PURPOSE

This chapter establishes HSMHA policy for use of grant funds for the production of motion picture films.

1-450-30 POLICY

The policy stated in the HEW Grants Administration Manual Chapter 1-450-30 shall be the policy of HSMHA.

1-450-50 CLEARANCE PROCEDURE FOR EXCEPTIONS

- A. Proposed exceptions to the policy stated in 1-450-30C, HEW Grants Administration Manual, must be recommended favorably by the Assistant Administrator for Information, HSMHA and the Associate Administrator, HSMHA.
- B. Each request for exception to the policy stated in 1-450-30C, HEW Grants Administration Manual, shall be submitted to the Associate Administrator, HSMHA, through the Office of Information, HSMHA. The lower left corner should have space for signatures as follows:

Assistant Administrator for
Information, HSMHA

Date

Associate Administrator, HSMHA

Date

- C. Requests will be submitted in quadruplicate. One copy will be returned to the awarding component at the time the request is forwarded to the Office of Public Information, OS.
- D. Two copies will be returned to the awarding component together with the OPI memorandum of action taken.

USE OF GRANT FUNDS FOR THE PRODUCTION
OF MOTION PICTURE FILMS

Page 2

(HSMHA 1-450-50 Continued)

Awarding component questions concerning this clearance procedure should be directed to the Office of Information, HSMHA.

CHAPTER HSMHA: 4-160
SINGLE AGENCY MANAGEMENT OF
JOINT CONSTRUCTION PROJECTS

- 4-160-00 Purpose
- 10 Policy
- 20 Designating Single Manager
- 30 Operating Agency Implementation

4-160-00 PURPOSE

Where two or more HSMHA programs are participating in a single construction project, management by a single office can promote more efficient administration by reducing or eliminating duplication of effort in the Federal review process and by reducing administrative burden.

This chapter establishes HSMHA policy for management of joint construction projects.

4-160-10 POLICY

- A. In carrying out the policy set forth in 4-160-10A of the HEW Grants Administration Manual, the assignment of the single manager within HSMHA shall be in accordance with the provisions of HSMHA 4-160-20.
 - 1. The designated HSMHA single manager shall assume responsibility for performing whatever management functions, required by statute or regulation, that can be mutually agreed upon by the programs concerned and for providing technical assistance to the applicants where staff is available for such assistance. The single manager shall periodically issue reports to other interested funding agencies to keep them apprised of activities.
 - 2. Single agency management of jointly funded projects shall commence at the time of grant award and continue through the final inspection of the project.
 - 3. This policy will be periodically reviewed by HSMHA to determine its effectiveness and to consider the inclusion of additional single manager functions.

4-160-20 DESIGNATING SINGLE MANAGER

- A. In the case of joint projects funded by HSMHA and another DHEW agency or other Department, the Regional Program Director, Health Facilities Planning and Construction Service is designated as the HSMHA representative in respect to determining in conjunction with the non-HSMHA programs, such factors as:
 1. The amount of funds committed from each program.
 2. The agency with the earliest involvement.
 3. The number of projects currently being managed by each agency.
 4. The geographic proximity of the staff.

- B. In the case of jointly funded construction projects comprising assistance from HSMHA programs only, the Regional Program Director, HFPCS is designated as the Single Agency Manager whose responsibilities shall include, but not be limited to, the following:
 1. Review and approval of those stages of the project application dealing with the applicant's financial resources, site survey, soil investigation, fee, simple title to property, and project costs just prior to execution of construction contracts.
 2. Review and approval of activities occurring between time of grant award and letting of contract, such as review and approval of preliminary and final working design plans and specifications and holding pre-award conferences on equal employment opportunity (in connection with implementation of Executive Order 11246).
 3. Review and act on all modifications and change orders which require Federal approval, except that major changes in the basic structure of the building or of the function, space assignment or equipment shall be made only with the concurrence of the awarding program.
 4. Ensure that the grantee carries out its obligations with respect to assurances included in the application and the grant award, with regard to such items as labor laws, equal opportunity and antikickback provisions.

(HSMHA 4-160-20 B Cont'd)

5. Perform necessary inspections and final acceptance of the facility when completed, furnishing the participating programs with project reports at the standard payment intervals and with certification that the project has been completed in accordance with approved plans and specifications.
 6. Approving and making construction payments from funds which have been transferred to it from other participating programs.
- C. Although the Regional Program Director, HFPCS, will, on an individual project basis, delegate certain agreed upon functions to another agency assuming a single management role, nothing in this policy shall be construed as the abrogation of ultimate program responsibility by the Regional Program Director, HFPCS, in respect to the existing agreements for administering certain functions for projects for the construction of Community Mental Health Centers, under P.L. 88-164, as amended, Title II, Part A; university affiliated facilities for the mentally retarded and facilities for the mentally retarded, under P.L. 88-164, as amended, Title I, Parts B and C; teaching facilities for health personnel, under PHS Act, Title VII, Part B; sheltered workshops under the VR Act, Sections 2 and 12, and projects assisted under the Appalachian Redevelopment Act, Section 202 and 214.

4-160-30 OPERATING AGENCY IMPLEMENTATION

This policy is effective as of the date of issuance.

CHAPTER HSMHA: 4-170
COORDINATED JOINT SITE VISITS IN
CONSTRUCTION PROGRAMS

- 4-170-00 Purpose
- 10 Policy
- 30 Operating Agency Implementation

4-170-00 PURPOSE

The Health Services and Mental Health Administration recognizes that where two or more HSMHA grant programs are participating in a single construction project, coordination among program offices and the applicant or grantee is necessary to promote thorough evaluation of the project and more efficient administration. In achieving this coordination, HSMHA components will follow the guidelines established in Chapter 4-170 of the HEW Grants Administration Manual.

4-170-10 POLICY

- A. HSMHA's representative designated to participate in joint site visits with other agencies in HEW and in other Departments will follow the guidelines set forth in Chapter 4-170 of the HEW Grants Administration Manual
- B. Inasmuch as the Regional Program Director, Health Facilities Planning and Construction Service is designated under HSMHA Chapter 4-160-20 as the HSMHA single manager, a regional representative of HFPCS shall attend all joint site visits which involve construction projects funded exclusively from HSMHA programs.

4-170-30 IMPLEMENTATION

This policy is effective as of the date of issuance.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-35

SUBJECT: Grant and Contract Awards and Payments to Health Research, Inc.

This memorandum supersedes Grants Memorandum 69-13 dated January 3, 1969, and sets forth revised procedures to be followed in making grant and contract awards and payments involving Health Research, Inc. The procedures are effective immediately and eliminate the necessity to provide to the Assistant Secretary, Comptroller, written notice of intent to make grant and contract awards and payments to Health Research, Inc.

All continuation, renewal, or new grant and contract awards should be made either:

1. Solely to the New York State Department of Health, or
2. Jointly to New York State Department of Health and Health Research, Inc.

No awards should be made to Health Research, Inc. as sole grantee. All existing grants (in the middle of a budget year) and all supplements there- to shall continue in the name of Health Research, Inc. until such time as the grant begins a new budget period.

On all existing new, renewal, continuation, or supplemental grant and contract awards payments should be addressed as follows:

New York State Department of Health
Attn: Mr. Daniel Klepak
Deputy Commissioner for Administration
84 Holland Avenue
Albany, New York 12208.


Pending the issuance of new DGAP "notices of provisional indirect cost rates" the following indirect cost rates should be used for funding both joint awards and awards made solely to the New York State Department of Health:

<u>Rate*</u>	<u>Location</u>	<u>Applicable To</u>
58.06%	Buffalo	All Programs
51.46%	Albany	All Programs

*Base: Direct salaries and wages including fringe benefits.

Attached are copies of (1) a letter from the New York State Department of Health (NYSDH), (2) continuation pages 1a for applications for research and training grants respectively, and (3) list of HSMHA grants and contracts to

which the procedures are applicable. As indicated in the letter, the continuation pages and listings constitute a request that all new, renewal, and continuation grants be jointly awarded to the NYSDH and HRI. Therefore, any application now in process which was submitted by HRI alone should be processed under the joint award procedures using the attached continuation pages as authority.



Director, Office of Grants Management

Date: July 28, 1969

Attachments



STATE OF NEW YORK
DEPARTMENT OF HEALTH
ALBANY

HOLLIS S. INGRAHAM, M.D.
COMMISSIONER

June 19, 1969

Dear Mr. Kirschenmann:

The New York State Department of Health and Health Research, Inc., closely affiliated but legally separate entities, have entered into a contract governing relationships between the two agencies. A copy of this agreement is enclosed for your information.

In implementation of the provisions of this agreement, the undersigned as the responsible New York State and Health Research, Inc. officials provide the following information and assurances relating to the handling of federal funds provided by the Department of Health, Education, and Welfare:

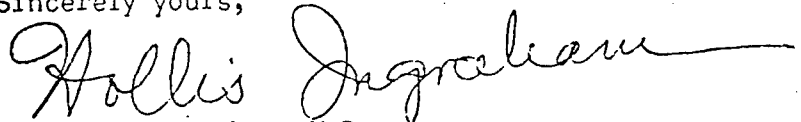
1. Health Research, Inc. agrees to assign to the State Department of Health as its fiscal agent all federal funds awarded to Health Research, Inc.
2. The New York State Department of Health has agreed to act as payee to receive all funds awarded to Health Research, Inc. under existing grants and contracts.
3. The New York State Department of Health is assuming all responsibility for accounting for such federal funds currently in the hands of Health Research, Inc. or subsequently received.
4. New York State will assume responsibility for meeting all the reporting requirements relating to grants and contracts as determined by the Department of Health, Education, and Welfare. New York State, in disbursing such federal funds, will be responsible for fulfillment of all the terms and satisfaction of the conditions under which such funds are granted.

June 19, 1969

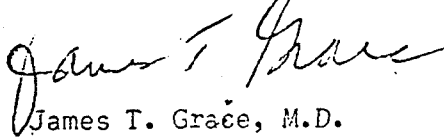
Enclosed is a listing of all "ongoing," or "pending" "new," "renewal" and "continuation" grants and contracts to which the above agreements and assurances apply. Also submitted are the enclosed completed copies of grant applications (form PHS-398 and PHS-2499-1) providing for joint application for all "new," "renewal" and "continuation" grants.

Such applications together with the attached listings constitute a request that all "new," "renewal" and "continuation" grants and contracts be jointly awarded to the New York State Department of Health and Health Research, Inc. All such joint applications will be handled in the same manner subject to the same conditions and commitments governing funds already awarded; namely, that the State will act as payee and custodian of federal funds, assumes responsibility for accounting for all such funds awarded or received, and for meeting the federal reporting requirements and fulfilling the terms and conditions under which such funds are granted.

Sincerely yours,



Hollis S. Ingraham, M.D.
Commissioner of Health



James T. Grace, M.D.
Chairman of the Board
Health Research, Inc.

Mr. Henry G. Kirschenmann
Head, Cost Policy and Rate
Negotiation Branch
Division of Grants Administration Policy
Department of Health, Education,
and Welfare
HEW North Building, Room 3268
Washington, D.C. 20201

APPLICATION FOR RESEARCH GRANT

SECTION I

1. ABBREVIATED TITLE OF RESEARCH PROPOSAL (Do not exceed 53 typewriter spaces)

SEE ATTACHED LIST

2. TYPE OF APPLICATION (Check one)

 NEW PROJECT RENEWAL OF PHS GRANT NO. _____ REVISION OF PHS APPLICATION NO. _____ SUPPLEMENT TO PHS GRANT NO. _____

TO BE COMPLETED BY RESPONSIBLE ADMINISTRATIVE AUTHORITY

10. APPLICANT ORGANIZATION (Name and Address-Street, City, State, Zip Code) (See Instructions)

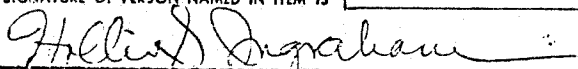
New York State Department of Health
84 Holland Avenue
Albany, New York 1220812. TYPE OF ORGANIZATION (Check applicable item) INDIVIDUAL
PUBLIC INSTITUTION: FEDERAL STATE LOCAL OTHERPRIVATE INSTITUTION: NONPROFIT, PROFIT

13. NAME AND TITLE OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

Hollis S. Ingraham, M.D., Commissioner
New York State Department of Health

SIGNATURE

17 B. SIGNATURE OF PERSON NAMED IN ITEM 13

(Use Ink. "Per" signatures
not acceptable)

DATE

6/19/69

TO BE COMPLETED BY RESPONSIBLE ADMINISTRATIVE AUTHORITY

10. APPLICANT ORGANIZATION (Name and Address-Street, City, State, Zip Code) (See Instructions)

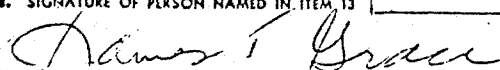
Health Research, Inc.
84 Holland Avenue
Albany, New York 1220812. TYPE OF ORGANIZATION (Check applicable item) INDIVIDUAL
PUBLIC INSTITUTION: FEDERAL STATE LOCAL OTHERPRIVATE INSTITUTION: NONPROFIT, PROFIT

13. NAME AND TITLE OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

James T. Grace, M.D.
Chairman of the Board

SIGNATURE

17 B. SIGNATURE OF PERSON NAMED IN ITEM 13

(Use Ink. "Per" signatures
not acceptable)

DATE

6/19/69

TO BE COMPLETED BY RESPONSIBLE ADMINISTRATIVE AUTHORITY

10. APPLICANT ORGANIZATION (Name and Address-Street, City, State, Zip Code) (See Instructions)

12. TYPE OF ORGANIZATION (Check applicable item) INDIVIDUAL
PUBLIC INSTITUTION: FEDERAL STATE LOCAL OTHERPRIVATE INSTITUTION: NONPROFIT, PROFIT

13. NAME AND TITLE OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

SIGNATURE

17 B. SIGNATURE OF PERSON NAMED IN ITEM 13

(Use Ink. "Per" signatures
not acceptable)

DATE

INSTRUCTIONS: This Continuation page is provided for use when two or more Applicants join in the submission of an APPLICATION FOR RESEARCH GRANT, PHS-398, to accommodate the documentation of names of all such applicant organizations and the required signatures of the officials authorized to sign and obligate legally each Applicant's funds to be used for the purpose of this application.

When used, this page 1A should be prepared in five copies for incorporation in the application following page 1. On page 1 itself, in the spaces numbered 10, 12, 13 and 17B, insert (type or print) on all copies these words: See Page 1A.

APPLICATION FOR TRAINING GRANT

SECTION I

1. TITLE OF PROGRAM (Do not exceed 53 typewriter spaces)

SEE ATTACHED LIST

2. TYPE OF APPLICATION (Check one)

NEW PHS PROJECT

RENEWAL OF PHS GRANT NO. _____

REVISION OF PHS APPLICATION NO. _____

SUPPLEMENT TO PHS GRANT NO. _____

TO BE COMPLETED BY APPROPRIATE ADMINISTRATIVE AUTHORITY

9. APPLICANT ORGANIZATION (Name and address—street, city, state, zip code) (See Instructions)

New York State Department of Health
84 Holland Avenue
Albany, New York 12208

11. TYPE OF ORGANIZATION (Check applicable item)

PUBLIC INSTITUTION:

FEDERAL STATE LOCAL OTHER

PRIVATE INSTITUTION: NONPROFIT, PROFIT

13. NAME, TITLE, AND ADDRESS OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

Hollis S. Ingraham, M.D., Commissioner
New York State Department of Health
84 Holland Avenue
Albany, New York 12208

SIGNATURE:

(Signatures required on original copy only.)

Use ink, "Per" signatures not acceptable)

17B. SIGNATURE OF PERSON NAMED IN ITEM 13

Hollis S. Ingraham

DATE

6/19/69

TO BE COMPLETED BY APPROPRIATE ADMINISTRATIVE AUTHORITY

9. APPLICANT ORGANIZATION (Name and address—street, city, state, zip code) (See Instructions)

Health Research, Inc.
84 Holland Avenue
Albany, New York 12208

11. TYPE OF ORGANIZATION (Check applicable item)

PUBLIC INSTITUTION:

FEDERAL STATE LOCAL OTHER

PRIVATE INSTITUTION: NONPROFIT, PROFIT

13. NAME, TITLE, AND ADDRESS OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

James T. Grace, M.D.
Chairman of the Board
Health Research, Inc.
84 Holland Ave., Albany, N.Y. 12208

SIGNATURE:

(Signatures required on original copy only.)

Use ink, "Per" signatures not acceptable)

17B. SIGNATURE OF PERSON NAMED IN ITEM 13

James T. Grace

DATE

6/19/69

TO BE COMPLETED BY APPROPRIATE ADMINISTRATIVE AUTHORITY

9. APPLICANT ORGANIZATION (Name and address—street, city, state, zip code) (See Instructions)

11. TYPE OF ORGANIZATION (Check applicable item)

PUBLIC INSTITUTION:

FEDERAL STATE LOCAL OTHER

PRIVATE INSTITUTION: NONPROFIT, PROFIT

13. NAME, TITLE, AND ADDRESS OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION

SIGNATURE:

(Signatures required on original copy only.)

Use ink, "Per" signatures not acceptable)

17B. SIGNATURE OF PERSON NAMED IN ITEM 13

DATE

INSTRUCTIONS: This page is for use when two or more Applicants join in the submission of an APPLICATION FOR TRAINING GRANT, PHS 2499-1, to accommodate names of all such applicant organizations and the required signatures of the officials authorized to sign and legally obligate each applicant organization's funds.

When used, this continuation page 1 A should be prepared in nine copies for incorporation in the application following page 1. On page 1 itself, in the spaces numbered 9, 11, 13 and 17 B, insert (type or print) on all copies these words: See Page 1 A.

The following are HSMHA grants excerpted from a list provided by Health Research, Inc.

Health Research, Inc.
Albany Division

HSMHA Grants (ongoing)

27061-06-68
29428-02-68
5R01 CC 00206-02

HSMHA Grant (pending renewal)

27061-07-69

Current Grants Running 6/18/69

Hospital and Medical Facilities

Ausman HM 00474-04

Community Health Service

Silver 1P02 CH 00467-01

Chronic Disease Control

Graham 5R01 CD 00153-04

Training Grants - New York Office

Pickren 27024-07-68
Cohen 27090-03-69
Webster 27060-03-68

Awarded Grants Starting July 1st

Training Grants - New York Regional Office

Pickren 27024-08-69
Webster 27109-01-69

GMB Files

Copies to:

Nick Camarocchi

M. Phillips

J. Silbee

R. Jones

Dr. Monyedd

Mr. Hilsenrath

+ all GMB's.

THIS SUPERSEDES GRANTS MEMORANDUM 69-36

DATED August 25, 1969. PLEASE DISCARD.

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-36

SUBJECT: International Travel in Grants and Contracts

BACKGROUND

In the past, all requests for international travel to be performed under grants and contracts had to be approved by the Associate Administrator. This procedure has resulted in substantial administrative burden on both the Associate Administrator's office and on the awarding components. In lieu of this procedure, a system utilizing ceilings on amounts that may be approved by each awarding component is established with the issuance of this memorandum.

PROCEDURE

An overall ceiling on international travel that may be included in grants and contracts will be established for HSMHA each fiscal year. Individual ceilings within this amount will then be established for each component with an amount held in reserve at the Administration level. Each Service, Institute, and Center may authorize international travel up to but not exceeding the ceiling without obtaining approval from sources outside its own organization. In the even a component wants to exceed its ceiling, specific approval will have to be obtained from the Associate Administrator, HSMHA. Such increases will be granted only in extraordinary circumstances.

DEFINITION OF FOREIGN TRAVEL

For purposes of this procedure foreign travel refers to all travel originating in the United States (including Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) to any other country except Canada and return when the source of the funds which the travel is charged is any HSMHA grant or award, (domestic or foreign) except grants or awards to international health organizations (e.g., WHO and PAHO).

AMOUNT OF CEILING

The following amounts have been established as a ceiling for Fiscal Year 1970:

<u>Organization</u>	<u>1970 Ceiling</u>
NIMH	\$337,500
NCHSRD	15,000
CHS	2,000
RMPS	5,000 ✓
NCDC	5,000
HFPCS	0
Reserve	35,500
	<u>\$400,000</u>

Travel already approved from 1970 funds must be included under the ceiling.

ADJUSTMENT OF CEILING

Since the restrictions are related to the monetary position of the United States more than to the merits of the grant programs, the need for and amount of ceilings in future years will depend to a large extent on conditions at that time. Experience in operating under the ceilings, and the effects on the programs are also factors. Therefore, we are postponing consideration of the ceiling beyond Fiscal Year 1970 at this time.

GENERAL COMMENTS

None of the amounts given about include international travel performed using P.L. 480 (counterpart) funds. The use of such funds in appropriate countries will be encouraged. Also, the use of American flag carriers will be required for domestic grantees traveling overseas (if available) and will be encouraged for all others whenever it is possible to do so.



Director, Office of Grants Management

Date: October 1, 1969

EXB Files -
Copy to:
J. Silsbee
J. Finney

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION + Nebraska -
S.D. File.

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-37

SUBJECT: Creighton University Official Authorized to Receive Payments
and Sign Grant Applications

Mr. James E. Koopman, Controller, Creighton University, has been designated as the official authorized to receive payments and sign grant application forms. He replaces Mr. E. D. Murphy, Business Manager, in this function.



Director, Office of Grants Management

Date: October 1, 1969

GMB Files.

Copies to:

J. Silke

B. Jones

Dr. Menezd

J. Finnegan

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

+ Texas GMB
file

Grants Memorandum

Number 69-38

SUBJECT: Transfer of Southwest Center for Advanced Studies to
The University of Texas at Dallas

The Southwest Center for Advanced Studies has ceased to exist and has become the University of Texas at Dallas effective September 1, 1969 as authorized by State of Texas statute and agreement between the Southwest Center for Advanced Studies Board of Governors and the Board of Regents of the University of Texas System.

Grants in effect at the time of the transfer are expected to continue uninterrupted with the administration of grants and awards becoming the responsibility of the new University of Texas at Dallas.



Director, Office of Grants Management

Date: October 1, 1969

GMS HUs

- No general distribution:
N/A TO DKMP

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 69-39

SUBJECT: Institutional Cost Sharing Agreements

APPLICABILITY: Public Health Service Research Grants (See attached list of research grants requiring cost sharing)

Attached is a cumulative list of grantee institutions that have institutional cost sharing agreements, as of the date of this Grants Memorandum.

Information about new and revised agreements will continue to be provided on the NOTICE form issued by the Office of Grants Management, Office of the Administrator, Health Services and Mental Health Administration. NOTICE forms will be numbered consecutively using the list number as a prefix.

In publishing this listing, we have omitted all reference to the manner and rate at which cost sharing is to be provided. Only effective dates of the agreements are shown. Institutions shown on previous listings as cost sharing through reductions of indirect costs should now be handled in the same manner as all other institutions; that is, awards should refer only to the effective date of the agreement, and no reductions of indirect costs should be made. With respect to reports of expenditures, it is incumbent upon the grantee to reduce his claim for indirect costs if that is the method he chooses. Since grantees with institutional agreements may vary both the amount and method of cost sharing on individual grants so long as an overall percentage is maintained, reports of expenditures from a single grantee do not have to be consistent with respect to their claims for indirect costs. In order to speed processing, grantees have been asked to indicate in the "Remarks" section of the ROE, when less than allowable indirect costs are claimed because of cost sharing; however, if a grantee having an institutional agreement fails to do this, no questions should be raised unless he has obviously made an error, such as using an incorrect rate.

Additional information regarding institutional cost sharing may be obtained by calling the Office of Grants Management, Code 179, Extension 6241.

SUPERSEDES: Grants Memorandum Number 69-22, dated April 1, 1969, and all NOTICES numbered 7-.



Director, Office of Grants Management

Date: October 1, 1969

Attachment

October 1, 1969

COST SHARING IN RESEARCH GRANTS

APPLICABILITY: PHS Research Project Grants (identified by program codes as follows with the exception of foreign grants, grants to Federal institutions, grants to individuals, and conference grants):

- R 01 Projects - exclusive of conference and publication grants
- R 02 Nursing
- R 03 Small Grants
- R 07 ICMRT
- R 10 Chemotherapy & Psychopharmacology
- R 12 Mental Health Special Grants
- R 18 Research Demonstration Projects Designed to Test and Evaluate Health Services Activities
- R 20 Hospital Improvement
- R 21 Community Health Exploratory Grants
- R 22 U.S. - Japan Cooperative Medical Science Program
- P 01 Research Program Projects
- P 02 NCHSRD Research Center Grants only
- P 10 Environmental Health Centers for Research and Training
- P 11 Pharmacology-Toxicology Centers
- P 13 Dental Research Institute Program
- P 15 Outpatient Clinical Research Grant Program

INSTITUTIONAL COST SHARING AGREEMENTSLIST #8

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Alabama</u>	Alabama, University of (includes Medical College of Alabama, School of Dentistry, Graduate School, School of Nursing, School of Health Ser- vices Administration, College of General Studies, and Univer- sity Hospitals and Clinics) Birmingham, Alabama	3/1/66 10/1/68 - Revised
	Auburn University Auburn, Alabama	1/19/67
	Southern Research Institute Birmingham, Alabama	1/1/69
<u>Alaska</u>	Alaska, University of College, Alaska	3/1/66
<u>Arizona</u>	Arizona State University Tempe, Arizona	3/1/66 7/1/68 - Revised
	Arizona, University of Tucson, Arizona	7/1/69
<u>Arkansas</u>	Arkansas, University of Medical Center Little Rock, Arkansas	3/1/66
<u>California</u>	Alameda County Medical Institutions (Institute of Metabolic Research - only) Oakland, California	3/1/66 12/31/68 - Cancelled
	Attending Staff Association (includes Harbor General Hospital) Torrance, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Attending Staff Association Rancho Los Amigos Hospital Downey, California	3/1/66
	Cedars-Sinai Medical Center Los Angeles, California	1/11/67 3/31/69 - Revised
	Childrens Hospital of Los Angeles Los Angeles, California	3/1/66
	Children's Hospital and Adult Medical Center of San Francisco San Francisco, California	10/1/68
	City of Hope National Medical Center Duarte, California	3/19/69
	Clinical Pharmacology Research Institute Berkeley, California	3/1/66
	State of California Department of Public Health Berkeley, California	3/1/66
	The Galton Institute Los Angeles, California	3/1/66
	The Institute of Medical Sciences Pacific Medical Center San Francisco, California	3/1/66
	Institute for Medical Research of Santa Clara County San Jose, California	3/1/66
	Institute for the Study of Crime and Delinquency Sacramento, California	3/1/66
	Kaiser Foundation Research Institute Oakland, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Loma Linda University Loma Linda, California	3/1/66
	Long Beach California State College Foundation Long Beach, California	3/1/66
	Mental Research Institute Palo Alto, California	12/1/66
	Mount Zion Hospital and Medical Center San Francisco, California	3/1/66
	Pasadena Foundation for Medical Research Pasadena, California	3/1/66 7/1/67 - Revised
	Professional Staff Association of Los Angeles County University of Southern California Medical Center, Inc. (formerly Attending Staff Association of the Los Angeles County Hospital) Los Angeles, California	3/1/66
	The Salk Institute for Biological Studies San Diego, California	3/1/66
	San Diego State College (includes San Diego State College Foundation) San Diego, California	3/1/66
	Stanford Research Institute Menlo Park, California	3/1/66
	University of the Pacific Stockton, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	University of California (applies <u>only</u> to individual grants for research to be conducted at the National Center for Primate Biology) Davis, California	5/1/68
	University of Southern California University Park Los Angeles, California	7/1/68
<u>Colorado</u>	American Medical Center at Denver Spivak, Colorado	3/1/66
	Colorado State University Fort Collins, Colorado	3/1/66
	Colorado, University of Medical center (only) Denver, Colorado	7/1/68
	National Jewish Hospital at Denver Denver, Colorado	3/1/66
<u>Connecticut</u>	Connecticut, University of Storrs, Connecticut	3/1/66
	Yale University (all units) New Haven, Connecticut	7/1/66
<u>District of Columbia</u>	American Speech and Hearing Association Washington, D.C.	3/1/66
	Arctic Institute of North America Washington, D.C.	3/4/69
	The Catholic University of America Washington, D.C.	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>District of Columbia</u> (cont.)	Georgetown University Washington, D.C.	7/1/67
	The George Washington University Washington, D.C.	3/1/66
	Howard University Washington, D.C.	3/1/66
	Research Foundation Children's Hospital of the District of Columbia Washington, D.C.	3/1/66
<u>Florida</u>	Florida State Board of Health Jacksonville, Florida	7/1/66
	Florida State University Tallahassee, Florida	8/1/67
	Florida, University of Gainesville, Florida	3/1/66
	Miami, University of (includes Medical School) Coral Gables, Florida	3/1/66
	South Florida, University of Tampa, Florida	3/1/66
<u>Georgia</u>	Georgia State Department of Health (includes Milledgeville State Hospital, Gracewood State School and Hospital, Georgia Mental Health Institute, Georgia Retardation Center, Georgia Clinic, Chatham Clinic, and Southwestern State Hospital) Atlanta, Georgia	1/10/67
	Medical College of Georgia Augusta, Georgia	3/1/66 3/1/69 - Revised

<u>Institutional Cost Sharing Agreements</u>		
<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Hawaii</u>	Hawaii, University of Honolulu, Hawaii	12/1/67
<u>Illinois</u>	Evanston Hospital Evanston, Illinois	7/1/67
	Interscience Research Institute Champaign, Illinois	5/1/68
	Kankakee State Hospital Kankakee, Illinois	2/1/67
	Michael Reese Hospital and Medical Center Chicago, Illinois	3/1/66
	Northwestern University Evanston, Illinois	3/1/66
	Presbyterian St. Luke's Hospital Chicago, Illinois	3/1/66
<u>Indiana</u>	Indiana University Foundation Bloomington, Indiana	3/1/66
	New Castle State Hospital New Castle, Indiana	3/1/69
	Notre Dame, University of Notre Dame, Indiana	3/1/66
	Purdue University and Purdue Research Foundation Lafayette, Indiana	3/1/66
<u>Iowa</u>	The University of Iowa Iowa City, Iowa	7/1/68
<u>Kansas</u>	Kansas, University of (excludes the University of Kansas Medical Center Lawrence, Kansas	1/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Kansas</u> (cont.)	University of Kansas Medical Center Kansas City, Kansas	3/1/66
<u>Kentucky</u>	Louisville, University of Louisville, Kentucky	3/1/66
<u>Louisiana</u>	Alton Ochsner Medical Foundation New Orleans, Louisiana	3/1/66
	Louisiana State University Medical Center (only) New Orleans, Louisiana	3/1/66
	Tulane University New Orleans, Louisiana	
	School of Medicine (only)	3/1/66
	All locations (including School of Medicine, Baton Rouge and the Delta Primate Center)	7/1/68
<u>Maryland</u>	American Type Culture Collection Rockville, Maryland	12/12/66
	Baltimore City Hospitals Baltimore, Maryland	7/1/66
	Friends of Psychiatric Research, Inc. Baltimore, Maryland	3/1/66
	Institute for Behavioral Research, Inc. Silver Spring, Maryland	3/1/66
	Johns Hopkins University School of Hygiene and Public Health Baltimore, Maryland	3/1/66
	Johns Hopkins University School of Medicine Baltimore, Maryland	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Maryland</u> (cont.)	National Biomedical Research Foundation Silver Spring, Maryland	3/1/66
	The Trustees of Sheppard and Enoch Pratt Hospital Towson, Maryland	7/1/68
<u>Massachusetts</u>	Age Center of New England, Inc. Boston, Massachusetts	4/1/66
	Beth Israel Hospital Boston, Massachusetts	3/1/66
	Bio-Research Institute, Inc. Cambridge, Massachusetts	3/1/66
	The Blood Grouping Laboratory Boston, Massachusetts	12/1/66
	Blood Research Institute, Inc. (formerly-Protein Foundation) Boston, Massachusetts	8/1/66
	Boston College Chestnut Hill, Massachusetts	2/20/67
	Boston Hospital for Women Lying-In Division Boston, Massachusetts	3/1/66
	Boston University Boston, Massachusetts	7/1/66
	Brandeis University Waltham, Massachusetts	3/1/66
	Children's Cancer Research Foundation, Inc. Boston, Massachusetts	3/1/66
Children's Hospital Medical Center Boston, Massachusetts	3/1/66	

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Clark University Worcester, Massachusetts	3/1/66 7/1/69 - Revised
	Diabetes Foundation, Inc. Boston, Massachusetts	3/1/66 10/1/67 - Revised
	Forsyth Dental Center Boston, Massachusetts	3/1/66
	Harvard University (includes <u>only</u> Harvard Medical School, Harvard School of Public Health and Harvard School of Dental Medicine) Cambridge, Massachusetts	3/1/66
	James Jackson Putnam Children's Center Roxbury, Boston, Massachusetts	7/1/66
	Mallory Institute of Pathology Foundation Boston, Massachusetts	1/1/68
	Massachusetts Department of Mental Health	
	Cushing Hospital Framingham, Massachusetts	7/1/69
	Metropolitan State Hospital Waltham, Massachusetts	7/1/68
	Massachusetts Eye and Ear Infirmary Boston, Massachusetts	3/1/66
	Massachusetts General Hospital Boston, Massachusetts	3/1/66
	Massachusetts Health Research Institute, Inc. Boston, Massachusetts	1/13/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective- Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Massachusetts Institute of Technology Cambridge, Massachusetts	3/1/66
	Massachusetts, University of Amherst, Massachusetts	3/1/66
	McLean Hospital Belmont, Massachusetts	3/1/66
	The Memorial Hospital Worcester, Massachusetts	7/1/66
	New England Medical Center Hospitals Boston, Massachusetts	3/1/66
	Northeastern University Boston, Massachusetts	7/1/67
	Peter Bent Brigham Hospital Boston, Massachusetts	3/1/66
	Red Acre Farm, Inc. Stow, Massachusetts	3/1/66
	Retina Foundation Institute of Biological & Medical Sciences Boston, Massachusetts	3/1/66
	Robert B. Brigham Hospital Boston, Massachusetts	3/1/66
	St. Margaret's Hospital Boston, Massachusetts	3/1/66
	Springfield College Springfield, Massachusetts	12/12/66
	University Hospital Boston University Medical Center Boston, Massachusetts	4/1/68

Institutional Cost Sharing AgreementsEffective
Date of
AgreementStateInstitutionMassachusetts
(cont.)Woods Hole Oceanographic
Institution
Woods Hole, Massachusetts

10/1/67

The Worcester Foundation
for Experimental Biology
Shrewsbury, Massachusetts3/1/66
4/1/68 - RevisedMichiganDetroit, University of
Detroit, Michigan3/1/66
7/1/68 - RevisedHenry Ford Hospital
Detroit, Michigan

3/1/66

Lafayette Clinic
Detroit, Michigan

3/1/66

Michigan, State of
Department of Public Health
Lansing, Michigan

3/1/66

Michigan, University of
(all parts of University)
Ann Arbor, Michigan

7/1/67

MinnesotaMayo Foundation
Rochester, Minnesota

3/1/66

Minneapolis Medical Research
Foundation, Inc.
Minneapolis, Minnesota

3/1/66

Minnesota, University of
(includes all campuses -
Minneapolis-St. Paul, Duluth,
Austin, Morris, the Hormel
Institute, and all affiliated
hospitals)
Minneapolis, Minnesota

3/1/66

Mount Sinai Hospital
Minneapolis, Minnesota

9/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Mississippi</u>	Mississippi State University State College, Mississippi	3/1/66
	Mississippi, University of Medical Center Jackson, Mississippi	3/1/66 7/1/68 - Revised
<u>Missouri</u>	Cancer Research Center Columbia, Missouri	1/16/67
	The Jewish Hospital of Saint Louis St. Louis, Missouri	7/1/67
	Saint Louis University St. Louis, Missouri	3/1/66 9/1/67 - Revised
	Washington University St. Louis, Missouri	3/1/66
<u>Montana</u>	Montana State University The Endowment and Research Foundation at Montana State University Bozeman, Montana	2/16/67
	Montana, University of (includes University of Montana Foundation) Missoula, Montana	3/1/66
<u>Nebraska</u>	The Creighton University Omaha, Nebraska	1/1/68
	Nebraska, University of (College of Medicine only) Lincoln, Nebraska	1/26/67
<u>New Hampshire</u>	Dartmouth College (includes all parts of the University) Hanover, New Hampshire	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New Jersey</u>	Department of Health State of New Jersey Trenton, New Jersey	7/1/67
	Educational Testing Service Princeton, New Jersey	3/1/66
	Institute for Medical Research Camden, New Jersey	3/1/66
	Rutgers, The State University New Brunswick, New Jersey	3/1/66
<u>New Mexico</u>	Lovelace Foundation for Medical Education and Research Albuquerque, New Mexico	10/1/67
	New Mexico, The University of School of Medicine Albuquerque, New Mexico	1/26/67
<u>New York</u>	Adelphi University Garden City, Long Island New York	3/1/66
	The Albany Medical College of Union University Albany, New York	3/1/66
	Albert Einstein College of Medicine Yeshiva University Bronx, New York	7/1/66
	Boyce Thompson Institute for Plant Research, Inc. Yonkers, New York	12/2/66 1/1/69 - Revised
	Bronx-Lebanon Hospital Center Bronx, New York	3/1/66
	Children's Hospital of Buffalo Buffalo, New York	4/1/69

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Clarkson College of Technology Potsdam, New York	3/1/66
	Cold Spring Harbor Laboratory of Quantitative Biology Cold Spring Harbor, L.I., New York	1/5/67
	Columbia University in the City of New York (includes only the School of Public Health and Admin- istrative Medicine, College of Physicians and Surgeons, and the School of Dental and Oral Surgery) New York, New York	3/1/66
	Community Blood Council of Greater New York, Inc. New York, New York	5/1/69
	Community Council of Greater New York New York, New York	3/1/66
	Cornell University (includes Ithaca and New York City campuses and New York State Experiment Station at Geneva but excludes Cornell University Medical College) Ithaca, New York	7/1/68
	Cornell University Medical College New York, New York	1/1/67
	Department of Health State of New York (covers only projects to be performed at HRI Albany and Buffalo locations) Albany, New York	5/1/69
	Eastman Dental Center Rochester, New York	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Health Research, Inc. Albany Division Albany, New York	1/1/69
	Health Research, Inc. Roswell Park Division Buffalo, New York	3/1/66
	Hillside Hospital Glen Oaks, New York	7/1/66
	Hospital for Joint Diseases and Medical Center New York, New York	1/24/67
	The Jewish Hospital Medical Center of Brooklyn Brooklyn, New York	7/1/66
	Kingsbrook Jewish Medical Center (formerly Jewish Chronic Disease Hospital) Brooklyn, New York	3/1/66
	Long Island Jewish Hospital New Hyde Park, New York	3/1/66
	Maimonides Medical Center Brooklyn, New York	7/1/66
	Manhattan College Bronx, New York	3/1/69
	The Mary Imogene Bassett Hospital Cooperstown, New York	3/1/66
	Medical Foundation of Buffalo Buffalo, New York	9/1/67
	Medical and Health Research Association of New York City, Inc. New York, New York	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Montefiore Hospital and Medical Center Bronx, New York	3/1/66
	The Mount Sinai School of Medicine New York, New York	3/1/66
	New York University (includes NYU Medical Center) New York, New York	3/1/66
	Polytechnic Institute of Brooklyn Brooklyn, New York	3/1/66
	Queens College of the City University of New York Flushing, New York	3/1/66
	Research for Health in Erie County, Inc. (includes The Edward J. Meyer Memorial Hospital) Buffalo, New York	3/1/66
	The Rockefeller University New York, New York	3/1/66
	The Roosevelt Hospital New York, New York	3/1/66
	St. Luke's Hospital Center New York, New York	1/1/69
	State University of New York Downstate Medical Center (only) (includes Bronx, Brooklyn, Manhattan, Queens, Richmond) Brooklyn, New York	7/1/66
	State University of New York at Stony Brook (only) Stony Brook, New York	7/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	State University of New York Upstate Medical Center (includes Syracuse units only) Syracuse, New York	3/1/66
	Staten Island Mental Health Society Staten Island, New York	2/15/69
	Syracuse University Syracuse, New York	3/1/66
	Teachers College Columbia University New York, New York	3/1/66
	Waldemar Medical Research Foundation, Inc. Woodbury, L.I., New York	3/1/66
<u>North Carolina</u>	Bowman Gray School of Medicine Wake Forest University Winston-Salem, North Carolina	3/1/66
	State of North Carolina Department of Mental Health Raleigh, North Carolina	3/1/66
	Duke University Durham, North Carolina	7/1/67
	North Carolina State University at Raleigh Raleigh, North Carolina	3/1/66
	Research Triangle Institute Research Triangle Park, North Carolina	3/1/67
<u>North Dakota</u>	North Dakota, University of Grand Forks, North Dakota	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Ohio</u>	Battelle Memorial Institute Columbus Laboratories Columbus, Ohio	7/1/67 9/1/69 - Revised
	Case Western Reserve University Cleveland, Ohio	3/1/66
	Charles F. Kettering Research Laboratory Yellow Springs, Ohio	3/1/66
	Children's Hospital (includes Children's Hospital Research Foundation) Columbus, Ohio	1/23/67
	The Children's Hospital Research Foundation Cincinnati, Ohio	3/1/66 1/1/67 - Revised 1/1/68 - Revised
	Cincinnati, University of Cincinnati, Ohio	7/1/67
	Cleveland Clinic Foundation Cleveland, Ohio	3/1/66
	Cox Coronary Heart Institute Kettering, Ohio	1/1/67
	Denison University Granville, Ohio	3/1/66
	The Fels Research Institute Yellow Springs, Ohio	3/1/66
	Miami University Oxford, Ohio	3/1/66
	The Ohio State University (includes Research Foundation) Columbus, Ohio	3/1/66
	St. Vincent Charity Hospital Cleveland, Ohio	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Ohio</u> (cont.)	University Hospitals of Cleveland Cleveland, Ohio	3/1/66
<u>Oklahoma</u>	Oklahoma Medical Research Foundation Oklahoma City, Oklahoma	3/1/66
	Oklahoma State University Stillwater, Oklahoma	1/19/67
	Medical Center Research and Development Office of The University of Oklahoma Foundation, Inc. (formerly Oklahoma, University of, Medical Center) Oklahoma City, Oklahoma	7/1/66
	Oklahoma, University of Research Institute Norman, Oklahoma	3/1/66 7/1/69 - Revised
<u>Oregon</u>	Medical Research Foundation of Oregon Portland, Oregon	7/1/67
	Oregon Research Institute Eugene, Oregon	7/1/66
	Oregon State University Corvallis, Oregon	3/1/66
	Oregon, University of Eugene, Oregon	3/1/66
	Oregon, University of Medical School Portland, Oregon	3/1/66
<u>Pennsylvania</u>	Albert Einstein Medical Center Philadelphia, Pennsylvania	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Pennsylvania</u> (cont.)	The Children's Hospital of Philadelphia Philadelphia, Pennsylvania	7/1/67
	Children's Hospital of Pittsburgh Pittsburgh, Pennsylvania	3/1/66 7/1/68 - Revised
	Drexel Institute of Technology Philadelphia, Pennsylvania	7/1/67
	The Hahnemann Medical College and Hospital of Philadelphia Philadelphia, Pennsylvania	3/1/66
	Home for the Jewish Aged (formerly Philadelphia Geriatric Center) Philadelphia, Pennsylvania	1/1/67
	The Institute for Cancer Research Philadelphia, Pennsylvania	3/1/66
	Institute for Research State College, Pennsylvania	7/1/66
	The Jefferson Medical College and Medical Center Philadelphia, Pennsylvania	7/1/66
	Lehigh University Bethlehem, Pennsylvania	3/1/66
	Magee-Womens Hospital Pittsburgh, Pennsylvania	7/1/68
	Pennsylvania Hospital Philadelphia, Pennsylvania	3/1/66
	The Pennsylvania State University University Park, Pennsylvania	3/1/66
	Pennsylvania, University of Philadelphia, Pennsylvania	3/1/66

Institutional Cost Sharing Agreements

Effective
Date of
Agreement

State

Institution

Pennsylvania
(cont.)

Philadelphia College of
Pharmacy and Science
Philadelphia, Pennsylvania

7/1/67

Philadelphia General Hospital
Philadelphia, Pennsylvania

7/1/69

Presbyterian-University of
Pennsylvania Medical Center
Philadelphia, Pennsylvania

7/1/66

Regional Science Research
Institute
Philadelphia, Pennsylvania

7/1/66

St. Christopher's Hospital
for Children
Philadelphia, Pennsylvania

3/1/66

Temple University
Philadelphia, Pennsylvania

3/1/66

Wills Eye Hospital
Philadelphia, Pennsylvania

3/1/66

The Wistar Institute
Philadelphia, Pennsylvania

1/1/68

Woman's Medical College of
Pennsylvania
Philadelphia, Pennsylvania

3/1/66

Rhode Island

Brown University
Providence, Rhode Island

7/1/66
7/1/67 - Revised
7/1/68 - Revised

Rhode Island Hospital
Providence, Rhode Island

1/1/67

Rhode Island, University of
Kingston, Rhode Island

7/1/66

South Carolina

Clemson University
Clemson, South Carolina

3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>South Carolina</u> (cont.)	Medical College of South Carolina Charleston, South Carolina	7/1/67
	South Carolina, University of Columbia, South Carolina	3/1/66
<u>Tennessee</u>	Meharry Medical College Nashville, Tennessee	7/1/67
	St. Jude Children's Research Hospital Memphis, Tennessee	3/1/66
	Tennessee, The University of (excludes all Medical Units in Memphis) Knoxville, Tennessee	3/1/66
	Tennessee, The University of Medical Units (only) Memphis, Tennessee	7/1/68
	Vanderbilt University Medical Center Nashville, Tennessee	3/1/66
<u>Texas</u>	Baylor University College of Dentistry Dallas, Texas	3/1/66
	Baylor University College of Medicine Houston, Texas	12/9/66
	Houston Speech and Hearing Center Texas Medical Center Houston, Texas	12/2/66
	J.K. and Susie L. Wadley Research Institute and Blood Bank Dallas, Texas	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Texas</u> (cont.)	M.D. Anderson Hospital and Tumor Institute The University of Texas Texas Medical Center Houston, Texas	3/1/66
	Sam Houston State College Huntsville, Texas	9/1/69
	Scott and White Memorial Hospital and Scott, Sherwood and Brindley Foundation Temple, Texas	1/30/67
	Southwest Research Institute San Antonio, Texas	3/1/66
	Texas, University of (formerly Southwest Center for Advanced Studies) Dallas, Texas	3/1/66
	Texas, University of Southwestern Medical School Dallas, Texas	3/1/66
	Texas, University of Medical Branch Galveston, Texas	9/1/66
	Texas, University of Texas Medical Center Houston, Texas	
	Dental Branch	3/1/66
	Graduate School of Biomedical Sciences	9/1/68
	School of Public Health	9/1/68

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Texas</u> (cont.)	Texas, University of Medical School at San Antonio San Antonio, Texas	9/1/66
<u>Utah</u>	Utah, The University of Salt Lake City, Utah	7/1/68
	Utah State University Logan, Utah	3/1/66
<u>Vermont</u>	Vermont, The University of Burlington, Vermont	3/1/66
<u>Virginia</u>	College of William and Mary Williamsburg, Virginia	7/1/69
	Medical College of Virginia Richmond, Virginia	1/16/67
	Virginia Polytechnic Institute Blacksburg, Virginia	3/1/66
	Virginia, University of Charlottesville, Virginia	3/1/66
<u>Washington</u>	Pacific Northwest Research Foundation Seattle, Washington	12/8/66
	Virginia Mason Research Center Seattle, Washington	7/1/68
	Washington State University Pullman, Washington	3/1/66
	Washington, University of Seattle, Washington	3/1/66
<u>Wisconsin</u>	Marquette University (exclusive of Medical School) Milwaukee, Wisconsin	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Wisconsin</u> (cont.)	Wisconsin, University of Madison, Wisconsin	3/1/66
<u>Puerto Rico</u>	University of Puerto Rico Rio Piedras, Puerto Rico	7/1/68

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

1- Our file
Book

1- Lee

1- Silsbee

Grants Memorandum

Number 69-40

SUBJECT: SUNY Local Campus Officials Authorized to Sign Applications for Sponsored Support and Research Foundation of SUNY Individuals Authorized to Certify Expenditures from Sponsored Program Funds.

Attached are revised listings of the State University of New York local campus officials designated to sign application face sheets evidencing University administrative approval of proposed projects and of those persons authorized to certify on behalf of the Research Foundation, expenditures from sponsored program funds at the local campuses.

This information supersedes that contained in Grants Memorandum No. 69-25, April 23, 1969.



Director, Office of Grants Management

Date: November 5, 1969

Attachment

Index: Authorized Signatures - SUNY

THE RESEARCH FOUNDATION OF
STATE UNIVERSITY OF NEW YORK

INDIVIDUALS AUTHORIZED TO CERTIFY EXPENDITURES
FROM SPONSORED PROGRAM FUNDS

ALBANY

Robert A. Stierer
Assistant Vice President for Business Affairs

BINGHAMTON

Edward J. Demske
Assistant Vice President for Business Affairs

COLLEGE AT BROCKPORT

Donald Nasca
Director of Research

COLLEGE AT BUFFALO

John Fontana
Coordinator of Sponsored Programs

BUFFALO

Charles Balkin
Assistant Vice President for Business Affairs
and Controller

CORTLAND

Frank Reynolds
Budgeting Analyst

DOWNSTATE MEDICAL CENTER

Milton Miller
Vice President for Business Affairs

FORESTRY

Harry J. Corr
Director of Business Affairs

FREDONIA

Edward Baydala
Campus Director of Budgets

COLLEGE AT GENESEO

James L. McNally
Director of Institutional Research

MARITIME COLLEGE

Louis R. Camp
Director of Business Affairs

OLD WESTBURY

Robert L. Goldberg
Director of Administration

ONEONTA

Robert M. Adams
Director of Business Affairs

OSWEGO

Carey P. Salander
Director of Business Affairs

PLATTSBURGH

Bernard J. Seawell
Assistant to the President for Business Affairs

POTSDAM

James J. Doyle, Jr.
Senior Financial Secretary

PURCHASE

Charles Cooper
Director of Business Affairs

STONY BROOK

Maurice Kosstrin
Business Director

UPSTATE

David A. Sinclair
Vice President for Business Affairs

A. & T. COLLEGE AT COBLESKILL

Majorie K. Byrnes (Mrs.)
Business Manager

A. & T. COLLEGE AT FARMINGDALE

Frederick J. Walsh
Director of Institutional Research

A. & T. COLLEGE AT MORRISVILLE

Luther L. Fiester
Business Manager

STATE UNIVERSITY OF NEW YORK
LOCAL CAMPUS OFFICIALS AUTHORIZED TO SIGN
APPLICATIONS FOR SPONSORED SUPPORT

State University of New York at Albany

Dr. Alan A. Kuusisto, Acting President
Dr. Earl G. Droessler, Vice President for Research
Dr. Charles T. O'Reilly, Acting Vice President for
Academic Affairs

State University of New York at Binghamton

Dr. Bruce Dearing, President
Dr. S. Stewart Gordon, Vice President for
Academic Affairs
Dr. Edward C. Moore, Vice President for Graduate
Studies and Research
Mr. Edward J. Demske, Assistant Vice President
for Business Affairs

State University of New York at Buffalo

Dr. Martin Meyerson, President
Dr. Peter F. Regan, Executive Vice President
Dr. Raymond Ewell, Vice President for Research
Mr. Robert D. Murrill, Assistant Vice President
for Research

State University of New York Downstate Medical Center

Dr. Joseph K. Hill, President and Dean

State University of New York Upstate Medical Center

Dr. Lewis W. Bluemle, Jr., President
Mr. David A. Sinclair, Vice President for
Business Affairs
Mrs. Jean R. Fancher, Assistant for Sponsored
Research

State University of New York College at Brockport

Dr. Albert W. Brown, President
Dr. Donald Nasca, Director for Research

State University of New York College at Buffalo

Dr. Elbert K. Fretwell, President
Dr. Sigmund A. Smith, Vice President for
Administration

State University of New York College at Cortland

Dr. Richard C. Jones, President
Dr. Ross Allen, Dean for Division of Graduate
Studies and Research
Dr. Walter L. Heilbronner, Vice President for
Academic Affairs

State University of New York College at Fredonia

Dr. Oscar E. Lanford, President
Dr. Milton M. Klein, Dean for Graduate Studies
and Research

State University of New York College at Geneseo

Dr. Robert W. MacVittie, President
Dr. Thomas S. Colahan, Vice President for
Academic Affairs

State University of New York College at New Paltz

Dr. John J. Neumaier, President
Dr. John H. Jacobson, Vice President

State University of New York College at Old Westbury

Dr. Harris Wofford, President
Dr. Jerome Ziegler, Vice President for Planning
and Administration

State University of New York College at Oneonta

Dr. Royal F. Netzer, President
Dr. Clifford J. Craven, Vice President and
Academic Dean

State University of New York College at Oswego

Dr. James E. Perdue, President
Dr. J. Sherwood Dunham, Vice President for
Academic Affairs

State University of New York College at Plattsburgh

Dr. George W. Angell, President
Dr. William F. Lawrence, Vice President for
Academic Affairs

State University of New York College at Potsdam

Dr. H. Austin Peck, President
Dr. Alfred W. Thatcher, Vice President for
Academic Affairs
Dr. Clarence McKinstry, Research Grants
Administrator

State University of New York College at Purchase

Dr. Abbott Kaplan, President

State University of New York College of Forestry

Dr. Edward E. Palmer, President
Dr. Richard E. Pentoney, Associate Dean for
Physical Sciences and Research
Dr. Donald Mabie, Assistant Research Co-
ordinator

State University of New York Maritime College

Rear Admiral Edward J. O'Donnell, President
Dr. Daniel J. Duffy, Vice President for
Academic Affairs

State University of New York Agricultural and Technical
College at Alfred

Dr. David H. Huntington, President
Dr. Roger F. Rawe, Vice President and Dean

State University of New York Agricultural and Technical
College at Canton

Dr. Albert French, President
Dr. Glenn E. Wright, Vice President

State University of New York Agricultural and Technical
College at Cobleskill

Dr. Walton A. Brown, President
Mrs. Marjorie K. Byrnes, Business Officer

State University of New York Agricultural and Technical
College at Delhi

Dr. William R. Kunsela, President
Dr. William F. Kennaugh, Vice President

State University of New York Agricultural and Technical
College at Farmingdale

Dr. Charles W. Laffin, Jr., President
Mr. Richard Edel, Director of Institutional
Research

State University of New York Agricultural and Technical
College at Morrisville

Dr. Royson N. Whipple, President

State University of New York Center for
International Studies and World Affairs

Dr. Ivan Putman, Jr., Acting University Dean

State University of New York Institute for Research
in Learning and Instruction

(Vacancy)

State University of New York Fashion Institute
of Technology

Dr. Lawrence Jarvie, President

State University of New York at Stony Brook

Dr. John S. Toll, President

Dr. Bentley Glass, Academic Vice President

Dr. T. A. Pond, Executive Vice President

Dr. Herbert Weisinger, Dean for Graduate School

Revised 9/30/69

1- Each GAO
1- Phillips
1- Jones
1- Silber

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

1- Mueyld
1- Our file book.

Grants Memorandum

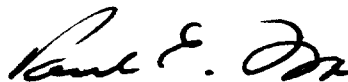
Number 69-41

SUBJECT: Limiting Future Commitments to the Availability of Funds

APPLICABILITY: HSMHA Grants with Provisions for Future Commitments

NIH's General Counsel representative recommended that in view of present and future budget uncertainties, all award statements be clarified by noting that amounts recommended for future support are subject to the availability of funds. Although this reservation appears in all policy statements, a reminder would serve to alert the grantee to the policy and that there is indeed some uncertainty as to the availability of amounts stated in the award.

Accordingly, we were advised that after November 15, 1969, awards prepared by the NIH computer will contain the notation, "Subject to the Availability of Funds," as a footnote to the amounts recommended for future support. Since the reasons for this action are applicable to all grant programs, a similar notation should be placed on all other award statements where future support is recommended.



Director, Office of Grants Management

Date: November 13, 1969

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 70-44

SUBJECT: Grant, Contract or Sub-contract Awards to the National Opinion Research Center, Chicago, Illinois

The Division of Grant Administration Policy is currently negotiating with the National Opinion Research Center for the return of a substantial overpayment made on the Department's grants and contracts.

Since collection of this overpayment could result in the demise of the institution, or seriously impair its ability to perform, DGAP should like to be informed of any contemplated grant, contract or sub-contract awards to this institution in order that sufficient controls can be arranged to assure the accountability of Department funds.

Accordingly, please advise the Chief, Cost Policy and Rate Negotiation Branch, DGAP, of such awards (i.e., the date the grant, contract, or sub-contract is scheduled to be made; the period of performance and the amount) at least 15 working days before the scheduled date of award.

Paul E. Dox

Director, Office of Grants Management

Date: March 16, 1970

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 70-45

SUBJECT: Institutional Cost Sharing Agreements

APPLICABILITY: Public Health Service Research Grants (See attached list of research grants requiring cost sharing)

Attached is Cumulative List Number 9 showing grantee institutions that have institutional cost sharing agreements, as of April 1, 1970.

Information about new and revised agreements will continue to be provided on the NOTICE form issued by the Office of Grants Management, Office of the Administrator, Health Services and Mental Health Administration. NOTICE forms will be numbered consecutively using the list number as a prefix.

In publishing this listing, we have omitted all reference to the manner and rate at which cost sharing is to be provided. Only effective dates of the agreements are shown. Institutions shown on previous listings as cost sharing through reductions of indirect costs should be handled in the same manner as all other institutions; that is, awards should refer only to the effective date of the agreement, and no reductions of indirect costs should be made. With respect to reports of expenditures, it is incumbent upon the grantee to reduce his claim for indirect costs if that is the method he chooses. Since grantees with institutional agreements may vary both the amount and method of cost sharing on individual grants so long as an overall percentage is maintained, reports of expenditures from a single grantee do not have to be consistent with respect to their claims for indirect costs. In order to speed processing, grantees have been asked to indicate in the "Remarks" section of the ROE, when less than allowable indirect costs are claimed because of cost sharing; however, if a grantee having an institutional agreement fails to do this, no questions should be raised unless he has obviously made an error, such as using an incorrect rate.

Additional information regarding institutional cost sharing may be obtained by calling the Office of Grants Management, Code 153, Extension 31874.

SUPERSEDES: Grants Memorandum Number 69-39, dated October 1, 1969, and all NOTICES numbered 8-.



Paul E. Jones
Director, Office of Grants Management

Date: April 1, 1970

Attachment

COST SHARING IN RESEARCH GRANTS

APPLICABILITY: PHS Research Project Grants (identified by program codes as follows with the exception of foreign grants, grants to Federal institutions, grants to individuals, and conference grants):

- R 01 Projects - exclusive of conference and publication grants
- R 02 Nursing
- R 03 Small Grants
- R 07 ICMRT
- R 10 Chemotherapy & Psychopharmacology
- R 12 Mental Health Special Grants
- R 18 Research Demonstration Projects Designed to Test and Evaluate Health Services Activities
- R 20 Hospital Improvement
- R 21 Community Health Exploratory Grants
- R 22 U.S. - Japan Cooperative Medical Science Program
- P 01 Research Program Projects
- P 10 Environmental Health Centers for Research and Training
- P 11 Pharmacology-Toxicology Centers
- P 13 Dental Research Institute Program
- P 15 Outpatient Clinical Research Grant Program
- P 16 Health Services Research Center Grants

INSTITUTIONAL COST SHARING AGREEMENTS

LIST #9

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Alabama</u>	Alabama, University of (includes Medical College of Alabama, School of Denistry, Graduate School, School of Nursing, School of Health Ser- vices Administration, College of General Studies, and Univer- sity Hospitals and Clinics) Birmingham, Alabama	3/1/66 10/1/68 - Revised
	Auburn University Auburn, Alabama	1/19/67
	Southern Research Institute Birmingham, Alabama	1/1/69
<u>Alaska</u>	Alaska, Univerisity of College, Alaska	3/1/66
<u>Arizona</u>	Arizona State University Tempe, Arizona	3/1/66 7/1/68 - Revised
	Arizona, University of Tucson, Arizona	7/1/69
<u>Arkansas</u>	Arkansas, University of Medical Center Little Rock, Arkansas	3/1/66
<u>California</u>	Alameda County Medical Institutions (Institute of Metabolic Research - only) Oakland, California	3/1/66 12/31/68 - Cancelled
	Attending Staff Association (includes Harbor General Hospital) Torrance, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Attending Staff Association Rancho Los Amigos Hospital Downey, California	3/1/66
	Cedars-Sinai Medical Center Los Angeles, California	1/11/67 3/31/69 - Revised
	Childrens Hospital of Los Angeles Los Angeles, California	3/1/66
	Children's Hospital and Adult Medical Center of San Francisco San Francisco, California	10/1/68
	City of Hope National Medical Center Duarte, California	3/19/69
	Clinical Pharmacology Research Institute Berkeley, California	3/1/66
	State of California Department of Public Health Berkeley, California	3/1/66
	The Galton Institute Los Angeles, California	3/1/66
	The Institute of Medical Sciences Pacific Medical Center San Francisco, California	3/1/66
	Institute for Medical Research of Santa Clara County San Jose, California	3/1/66
	Institute for the Study of Crime and Delinquency Sacramento, California	3/1/66
	Kaiser Foundation Research Institute Oakland, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Loma Linda University Loma Linda, California	3/1/66
	Long Beach California State College Foundation Long Beach, California	3/1/66
	Mental Research Institute Palo Alto, California	12/1/66 2/1/69 - Revised
	Mount Zion Hospital and Medical Center San Francisco, California	3/1/66
	Pacific State Hospital Pomona, California	7/1/69
	Pasadena Foundation for Medical Research Pasadena, California	3/1/66 7/1/67 - Revised
	Professional Staff Association of Los Angeles County University of Southern California Medical Center, Inc. (formerly Attending Staff Association of the Los Angeles County Hospital) Los Angeles, California	3/1/66
	The Salk Institute for Biological Studies San Diego, California	3/1/66
	San Diego State College (includes San Diego State College Foundation) San Diego, California	3/1/66
	Stanford Research Institute Menlo Park, California	3/1/66
	University of the Pacific Stockton, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	University of California Berkeley, California National Center for Primate Biology at Davis	5/1/68
	All Locations - including National Center for Primate Biology	7/1/69
	University of Southern California University Park Los Angeles, California	7/1/68
<u>Colorado</u>	American Medical Center at Denver Spivak, Colorado	3/1/66
	Colorado State University Fort Collins, Colorado	3/1/66
	Colorado, University of Medical center (only) Denver, Colorado	7/1/68
	National Jewish Hospital at Denver Denver, Colorado	3/1/66
<u>Connecticut</u>	Connecticut, University of Storrs, Connecticut	3/1/66
	Yale University (all units) New Haven, Connecticut	7/1/66
<u>District of Columbia</u>	American Speech and Hearing Association Washington, D. C.	3/1/66
	Arctic Institute of North America Washington, D. C.	3/4/69
	The Catholic University of America Washington, D. C.	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>District of Columbia</u> (cont.)	Georgetown University Washington, D. C.	7/1/67
	The George Washington University Washington, D. C.	3/1/66
	Howard University Washington, D. C.	3/1/66
	Research Foundation Children's Hospital of the District of Columbia Washington, D. C.	3/1/66
<u>Florida</u>	Florida State Board of Health Jacksonville, Florida	7/1/66
	Florida State University Tallahassee, Florida	8/1/67
	Florida, University of Gainesville, Florida	3/1/66
	Miami, University of (includes Medical School) Coral Gables, Florida	3/1/66
	South Florida, University of Tampa, Florida	3/1/66
<u>Georgia</u>	Georgia State Department of Health (includes Milledgeville State Hospital, Gracewood State School and Hospital, Georgia Mental Health Institute, Georgia Retardation Center, Georgia Clinic, Chatham Clinic, and Southwestern State Hospital) Atlanta, Georgia	1/10/67
	Medical College of Georgia Augusta, Georgia	3/1/66 3/1/69 - Revised

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Hawaii</u>	Hawaii, University of Honolulu, Hawaii	12/1/67
<u>Illinois</u>	Evanston Hospital Evanston, Illinois	7/1/67
	Interscience Research Institute Champaign, Illinois	5/1/68
	Kankakee State Hospital Kankakee, Illinois	2/1/67
	Michael Reese Hospital and Medical Center Chicago, Illinois	3/1/66
	Northwestern University Evanston, Illinois	3/1/66
	Presbyterian St. Luke's Hospital Chicago, Illinois	3/1/66
<u>Indiana</u>	Indiana University Foundation Bloomington, Indiana	3/1/66
	New Castle State Hospital New Castle, Indiana	3/1/69
	Notre Dame, University of Notre Dame, Indiana	3/1/66
	Purdue University and Purdue Research Foundation Lafayette, Indiana	3/1/66
<u>Iowa</u>	Iowa State University of Science and Technology Ames, Iowa	7/1/69
	The University of Iowa Iowa City, Iowa	7/1/68
<u>Kansas</u>	Kansas, University of (excludes the University of Kansas Medical Center) Lawrence, Kansas	1/1/67

Institutional Cost Sharing AgreementsEffective
Date of
AgreementStateInstitutionKansas
(cont.)University of Kansas
Medical Center
Kansas City, Kansas

3/1/66

KentuckyLouisville, University of
Louisville, Kentucky

3/1/66

LouisianaAlton Ochsner Medical Foundation
New Orleans, Louisiana

3/1/66

Louisiana State University
(covers only projects to be
conducted at the LSU Medical
Center, New Orleans)
Baton Rouge, Louisiana

3/1/66

Tulane University
New Orleans, Louisiana

School of Medicine (only)

3/1/66

All locations (including
School of Medicine, Baton
Rouge and the Delta Primate
Center)

7/1/68

MarylandAmerican Type Culture Collection
Rockville, Maryland

12/12/66

Baltimore City Hospitals
Baltimore, Maryland

7/1/66

Eye Research Foundation of
Bethesda
Bethesda, Maryland

1/9/69

Friends of Psychiatric
Research, Inc.
Baltimore, Maryland3/1/66
12/1/68 - RevisedInstitute for Behavioral
Research, Inc.
Silver Spring, Maryland

3/1/66

Johns Hopkins University
School of Hygiene and
Public Health
Baltimore, Maryland

3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Maryland</u> (cont.)	Johns Hopkins University School of Medicine Baltimore, Maryland	3/1/66
	National Biomedical Research Foundation Silver Spring, Maryland	3/1/66
	The Trustees of Sheppard and Enoch Pratt Hospital Towson, Maryland	7/1/68
<u>Massachusetts</u>	Age Center of New England, Inc. Boston, Massachusetts	4/1/66
	Beth Israel Hospital Boston, Massachusetts	3/1/66
	Bio-Research Institute, Inc. Cambridge, Massachusetts	3/1/66
	The Blood Grouping Laboratory Boston, Massachusetts	12/1/66
	Blood Research Institute, Inc. (formerly-Protein Foundation) Boston, Massachusetts	8/1/66
	Boston College Chestnut Hill, Massachusetts	2/20/67
	Boston Hospital for Women Lying-In Division Boston, Massachusetts	3/1/66
	Boston University Boston, Massachusetts	7/1/66
	Brandeis University Waltham, Massachusetts	3/1/66
	Children's Cancer Research Foundation, Inc. Boston, Massachusetts	3/1/66
Children's Hospital Medical Center Boston, Massachusetts	3/1/66	

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Clark University Worcester, Massachusetts	3/1/66 7/1/69 - Revised
	Diabetes Foundation, Inc. Boston, Massachusetts	3/1/66 10/1/67 - Revised
	Forsyth Dental Center Boston, Massachusetts	3/1/66
	Harvard University (includes <u>only</u> Harvard Medical School, Harvard School of Public Health and Harvard School of Dental Medicine) Cambridge, Massachusetts	3/1/66
	James Jackson Putnam Children's Center Roxbury, Boston, Massachusetts	7/1/66
	Mallory Institute of Pathology Foundation Boston, Massachusetts	1/1/68
	Massachusetts Department of Mental Health	
	Cushing Hospital Framingham, Massachusetts	7/1/69
	Metropolitan State Hospital Waltham, Massachusetts	7/1/68
	Massachusetts Eye and Ear Infirmary Boston, Massachusetts	3/1/66
	Massachusetts General Hospital Boston, Massachusetts	3/1/66
	Massachusetts Health Research Institute, Inc. Boston, Massachusetts	1/13/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Massachusetts Institute of Technology Cambridge, Massachusetts	3/1/66
	Massachusetts, University of Amherst, Massachusetts	3/1/66
	McLean Hospital Belmont, Massachusetts	3/1/66
	The Memorial Hospital Worcester, Massachusetts	7/1/66
	New England Medical Center Hospitals Boston, Massachusetts	3/1/66
	Northeastern University Boston, Massachusetts	7/1/67
	Peter Bent Brigham Hospital Boston, Massachusetts	3/1/66
	Red Acre Farm, Inc. Stow, Massachusetts	3/1/66
	Retina Foundation Institute of Biological & Medical Sciences Boston, Massachusetts	3/1/66
	Robert B. Brigham Hospital Boston, Massachusetts	3/1/66
	St. Margaret's Hospital Boston, Massachusetts	3/1/66
	Springfield College Springfield, Massachusetts	12/12/66
	University Hospital Boston University Medical Center Boston, Massachusetts	4/1/68

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Woods Hole Oceanographic Institution Woods Hole, Massachusetts	10/1/67
	The Worcester Foundation for Experimental Biology Shrewsbury, Massachusetts	3/1/66 4/1/68 - Revised
	<u>Michigan</u>	Detroit, University of Detroit, Michigan
	Henry Ford Hospital Detroit, Michigan	3/1/66
	Lafayette Clinic Detroit, Michigan	3/1/66
	Michigan, State of Department of Public Health Lansing, Michigan	3/1/66
	Michigan, University of (all parts of University) Ann Arbor, Michigan	7/1/67
<u>Minnesota</u>	Mayo Foundation Rochester, Minnesota	3/1/66
	Minneapolis Medical Research Foundation, Inc. Minneapolis, Minnesota	3/1/66
	Minnesota, University of (includes all campuses - Minneapolis-St. Paul, Duluth, Austin, Morris, the Hormel Institute, and all affiliated hospitals) Minneapolis, Minnesota	3/1/66
	Mount Sinai Hospital Minneapolis, Minnesota	9/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Mississippi</u>	Mississippi State University State College, Mississippi	3/1/66
	Mississippi, University of Medical Center Jackson, Mississippi	3/1/66 7/1/68 - Revised
<u>Missouri</u>	Cancer Research Center Columbia, Missouri	1/16/67
	The Jewish Hospital of Saint Louis St. Louis, Missouri	7/1/67
	Saint Louis University St. Louis, Missouri	3/1/66 9/1/67 - Revised
	Washington University St. Louis, Missouri	3/1/66
<u>Montana</u>	Montana State University The Endowment and Research Foundation at Montana State University Bozeman, Montana	2/16/67
	Montana, University of (includes University of Montana Foundation) Missoula, Montana	3/1/66
<u>Nebraska</u>	The Creighton University Omaha, Nebraska	1/1/68
	Nebraska, University of (College of Medicine only) Lincoln, Nebraska	1/26/67
<u>New Hampshire</u>	Dartmouth College Hanover, New Hampshire	3/1/66 7/1/69 - Revised

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New Jersey</u>	Department of Health State of New Jersey Trenton, New Jersey	7/1/67
	Educational Testing Service Princeton, New Jersey	3/1/66
	Institute for Medical Research Camden, New Jersey	3/1/66 7/1/69 - Revised
	Rutgers, The State University New Brunswick, New Jersey	3/1/66
<u>New Mexico</u>	Lovelace Foundation for Medical Education and Research Albuquerque, New Mexico	10/1/67
	New Mexico, The University of School of Medicine Albuquerque, New Mexico	1/26/67 10/1/69 - Revised
<u>New York</u>	Adelphi University Garden City, Long Island New York	3/1/66
	The Albany Medical College of Union University Albany, New York	3/1/66
	Albert Einstein College of Medicine Yeshiva University Bronx, New York	7/1/66
	Boyce Thompson Institute for Plant Research, Inc. Yonkers, New York	12/2/66 1/1/69 - Revised
	Bronx-Lebanon Hospital Center Bronx, New York	3/1/66
	Children's Hospital of Buffalo Buffalo, New York	4/1/69

Institutional Cost Sharing Agreements

Effective

New York
(cont.)

Clarkson College of Technology Potsdam, New York	3/1/66
Cold Spring Harbor Laboratory of Quantitative Biology Cold Spring Harbor, L.I., New York	1/5/67
Columbia University in the City of New York (includes only the School of Public Health and Admin- istrative Medicine, College of Physicians and Surgeons, and the School of Dental and Oral Surgery) New York, New York	3/1/66
Community Blood Council of Greater New York, Inc. New York, New York	5/1/69
Community Council of Greater New York New York, New York	3/1/66
Cornell University (includes Ithaca and New York City campuses and New York State Experiment Station at Geneva but excludes Cornell University Medical College) Ithaca, New York	7/1/68
Cornell University Medical College New York, New York	1/1/67
Department of Health State of New York (covers only projects to be performed at HRI Albany and Buffalo locations) Albany, New York	5/1/69
Eastman Dental Center Rochester, New York	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Health Research, Inc. Albany Division Albany, New York	1/1/69
	Health Research, Inc. Roswell Park Division Buffalo, New York	3/1/66
	Hillside Hospital Glen Oaks, New York	7/1/66
	Hospital for Joint Diseases and Medical Center New York, New York	1/24/67
	The Jewish Hospital Medical Center of Brooklyn Brooklyn, New York	7/1/66
	Kingsbrook Jewish Medical Center (formerly Jewish Chronic Disease Hospital) Brooklyn New York	3/1/66
	Long Island Jewish Hospital New Hyde Park, New York	3/1/66
	Maimonides Medical Center Brooklyn, New York	7/1/66
	Manhattan College Bronx, New York	3/1/69
	The Mary Imogene Bassett Hospital Cooperstown, New York	3/1/66
	Medical Foundation of Buffalo Buffalo, New York	9/1/67
	Medical and Health Research Association of New York City, Inc. New York, New York	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Montefiore Hospital and Medical Center Bronx, New York	3/1/66
	The Mount Sinai School of Medicine New York, New York	3/1/66
	New York Medical College Flower and Fifth Avenue Hospitals New York, New York	1/1/69
	New York University (includes NYU Medical Center) New York, New York	3/1/66
	Polytechnic Institute of Brooklyn Brooklyn, New York	3/1/66
	Queens College of the City University of New York Flushing, New York	3/1/66
	Research for Health in Erie County, Inc. (includes The Edward J. Meyer Memorial Hospital) Buffalo, New York	3/1/66
	The Rockefeller University New York, New York	3/1/66
	The Roosevelt Hospital New York, New York	3/1/66
	St. Luke's Hospital Center New York, New York	1/1/69
	State University of New York Downstate Medical Center (only) (includes Bronx, Brooklyn, Manhattan, Queens, Richmond) Brooklyn, New York	7/1/66
	State University of New York at Stony Brook (only) Stony Brook, New York	7/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	State University of New York Upstate Medical Center (includes Syracuse units only) Syracuse, New York	3/1/66
	Staten Island Mental Health Society Staten Island, New York	2/15/69
	Syracuse University Syracuse, New York	3/1/66
	Teachers College Columbia University New York, New York	3/1/66
	Waldemar Medical Research Foundation, Inc. Woodbury, L.I., New York	3/1/66
<u>North Carolina</u>	Bowman Gray School of Medicine Wake Forest University Winston-Salem, North Carolina	3/1/66
	State of North Carolina Department of Mental Health Raleigh, North Carolina	3/1/66
	Duke University Durham, North Carolina	7/1/67
	North Carolina State University at Raleigh Raleigh, North Carolina	3/1/66
	Research Triangle Institute Research Triangle Park North Carolina	3/1/67
<u>North Dakota</u>	North Dakota, University of Grand Forks, North Dakota	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
Ohio	Battelle Memorial Institute Columbus Laboratories Columbus, Ohio	7/1/67 9/1/69 - Revised
	Case Western Reserve University Cleveland, Ohio	3/1/66
	Charles F. Kettering Research Laboratory Yellow Springs, Ohio	3/1/66
	Children's Hospital (includes Children's Hospital Research Foundation) Columbus, Ohio	1/23/67 1/1/70 - Revised
	The Children's Hospital Research Foundation Cincinnati, Ohio	3/1/66 1/1/67 - Revised 1/1/68 - Revised
	Cincinnati, University of Cincinnati, Ohio	7/1/67
	Cleveland Clinic Foundation Cleveland, Ohio	3/1/66
	Cox Heart Institute (formerly Cox Coronary Heart Institute) Kettering, Ohio	1/1/67 1/1/70 - Revised
	Denison University Granville, Ohio	3/1/66
	The Fels Research Institute Yellow Springs, Ohio	3/1/66
	Miami University Oxford, Ohio	3/1/66
	The Ohio State University (includes Research Foundation) Columbus, Ohio	3/1/66
	St. Vincent Charity Hospital Cleveland, Ohio	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Ohio</u> (cont.)	University Hospitals of Cleveland Cleveland, Ohio	3/1/66
<u>Oklahoma</u>	Oklahoma Medical Research Foundation Oklahoma City, Oklahoma	3/1/66
	Oklahoma State University Stillwater, Oklahoma	1/19/67
	Medical Center Research and Development Office of The University of Oklahoma Foundation, Inc. (formerly Oklahoma, University of, Medical Center) Oklahoma City, Oklahoma	7/1/66
	Oklahoma, University of Research Institute Norman, Oklahoma	3/1/66 7/1/69 - Revised
<u>Oregon</u>	Medical Research Foundation of Oregon Portland, Oregon	7/1/67
	Oregon Research Institute Eugene, Oregon	7/1/66
	Oregon State University Corvallis, Oregon	3/1/66
	Oregon, University of Eugene, Oregon	3/1/66
	Oregon, University of Medical School Portland, Oregon	3/1/66
<u>Pennsylvania</u>	Albert Einstein Medical Center Philadelphia, Pennsylvania	3/1/66

Institutional Cost Sharing AgreementsStateInstitutionEffective
AgreementPennsylvania
(cont.)The Children's Hospital
of Philadelphia
Philadelphia, Pennsylvania

7/1/67

Children's Hospital of
Pittsburgh
Pittsburgh, Pennsylvania

3/1/66

7/1/68 - Revised

Drexel Institute of Technology
Philadelphia, Pennsylvania

7/1/67

The Hahnemann Medical College
and Hospital of Philadelphia
Philadelphia, Pennsylvania

3/1/66

Home for the Jewish Aged
(formerly Philadelphia
Geriatric Center)
Philadelphia, Pennsylvania

1/1/67

The Institute for Cancer
Research
Philadelphia, Pennsylvania

3/1/66

Institute for Research
State College, Pennsylvania

7/1/66

The Jefferson Medical College
and Medical Center
Philadelphia, Pennsylvania

7/1/66

Lehigh University
Bethlehem, Pennsylvania

3/1/66

Magee-Womens Hospital
Pittsburgh, Pennsylvania

7/1/68

Pennsylvania Hospital
Philadelphia, Pennsylvania

3/1/66

The Pennsylvania State
Universtiy
University Park, Pennsylvania

3/1/66

Pennsylvania, University of
Philadelphia, Pennsylvania

3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Pennsylvania</u> (cont.)	Philadelphia College of Pharmacy and Science Philadelphia, Pennsylvania	7/1/67
	Philadelphia General Hospital Philadelphia, Pennsylvania	7/1/69
	Presbyterian-University of Pennsylvania Medical Center Philadelphia, Pennsylvania	7/1/66
	Regional Science Research Institute Philadelphia, Pennsylvania	7/1/66
	St. Christopher's Hospital for Children Philadelphia, Pennsylvania	3/1/66
	Temple University Philadelphia, Pennsylvania	3/1/66
	Wills Eye Hospital Philadelphia, Pennsylvania	3/1/66
	The Wistar Institute Philadelphia, Pennsylvania	1/1/68
	Woman's Medical College of Pennsylvania Philadelphia, Pennsylvania	3/1/66
<u>Rhode Island</u>	Brown University Providence, Rhode Island	7/1/66 7/1/67 - Revised 7/1/68 - Revised
	Rhode Island Hospital Providence, Rhode Island	1/1/67
	Rhode Island, University of Kingston, Rhode Island	7/1/66
<u>South Carolina</u>	Clemson University Clemson, South Carolina	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>South Carolina</u> (cont.)	Medical College of South Carolina Charleston, South Carolina	7/1/67
	South Carolina, University of Columbia, South Carolina	3/1/66
<u>Tennessee</u>	Meharry Medical College Nashville, Tennessee	7/1/67
	St. Jude Children's Research Hospital Memphis, Tennessee	3/1/66
	Tennessee, The University of (excludes all Medical Units in Memphis) Knoxville, Tennessee	3/1/66 1/1/69 - Revised
	Tennessee, The University of Medical Units (only) Memphis, Tennessee	7/1/68
	Vanderbilt University Medical Center Nashville, Tennessee	3/1/66
<u>Texas</u>	Baylor University College of Dentistry Dallas, Texas	3/1/66
	Baylor University College of Medicine Houston, Texas	12/9/66
	Houston Speech and Hearing Center Texas Medical Center Houston, Texas	12/2/66
	J.K. and Susis L. Wadley Research Institute and Blood Bank Dallas, Texas	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Texas</u> (cont.)	M.D. Anderson Hospital and Tumor Institute The University of Texas Texas Medical Center Houston, Texas	3/1/66
	Sam Houston State College Huntsville, Texas	9/1/69
	Scott and White Memorial Hospital and Scott, Sherwood and Brindley Foundation Temple, Texas	1/30/67
	Southwest Research Institute San Antonio, Texas	3/1/66
	Texas, University of (formerly Southwest Center for Advanced Studies) Dallas, Texas	3/1/66
	Texas, University of Southwestern Medical School Dallas, Texas	3/1/66
	Texas, University of Medical Branch Galveston, Texas	9/1/66
	Texas, University of Texas Medical Center Houston, Texas	
	Dental Branch	3/1/66
	Graduate School of Biomedical Sciences	9/1/68
	School of Public Health	9/1/68

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Texas</u> (cont.)	Texas, University of Medical School at San Antonio San Antonio, Texas	9/1/66
<u>Utah</u>	Utah, The University of Salt Lake City, Utah	7/1/68
	Utah State University Logan, Utah	3/1/66
<u>Vermont</u>	Vermont, The University of Burlington, Vermont	3/1/66
<u>Virginia</u>	College of William and Mary Williamsburg, Virginia	7/1/69
	Medical College of Virginia Richmond, Virginia	1/16/67
	Virginia Polytechnic Institute Blacksburg, Virginia	3/1/66
	Virginia, University of Charlottesville, Virginia	3/1/66
<u>Washington</u>	Pacific Northwest Research Foundation Seattle, Washington	12/8/66
	Virginia Mason Research Center Seattle, Washington	7/1/68
	Washington State University Pullman, Washington	3/1/66
	Washington, University of Seattle, Washington	3/1/66
<u>Wisconsin</u>	Marquette University (exclusive of Medical School) Milwaukee, Wisconsin	3/1/66
	Marquette School of Medicine, Inc. Milwaukee, Wisconsin	2/1/70

Institutional Cost Sharing Agreements

State

Institution

Effective
Date of
Agreement

Wisconsin
(cont.)

Wisconsin, University of
Madison, Wisconsin

3/1/66

Puerto Rico

University of Puerto Rico
Rio Piedras, Puerto Rico

7/1/68

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

Extramural Programs

Notice of Corrections

On Grants Memorandum 69-36, dated October 1, 1969, subject, International Travel in Grants and Contracts please make the following corrections:

Page 1, paragraph 3-Definition of Foreign Travel-4th line should read:
"... when the source of the funds to which the travel is charged...."

Page 2, paragraph 2-General Comments-1st line should read:
"None of the amounts given above include...."

Office of Grants Management

Date: November 12, 1969

SMU Office file

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 70-46

SUBJECT: International Travel in Grants and Contracts

SUPERSEDES: Grants Memorandum Number 69-36, dated October 1, 1969

BACKGROUND

Grants Memorandum 69-36 was issued to implement the DHEW policy on international travel. It did so by establishing a system utilizing ceilings on amounts that could be approved by awarding components. Listed below are the foreign travel ceilings established for FY 1971.

PROCEDURE

An overall ceiling on international travel that may be included in grants and contracts is established for HSMHA each fiscal year. Individual ceilings within this amount are then established for specified headquarters components with an amount held in reserve at the Administration level. The reserves are maintained by the Office of Grants Management for use of HSMHA programs not allotted a ceiling (regional offices and headquarters programs with only contract authority) and for adjustments in allotted ceilings.

Each Service, Institute and Center authorized a ceiling may approve international travel up to the limit of their allotted amounts. In the event a component needs to exceed its ceiling, specific approval should be obtained from the Grants Operations Branch, Office of Grants Management, HSMHA. Such increases will be granted only in extraordinary circumstances.

DEFINITION OF FOREIGN TRAVEL

For purposes of this procedure, foreign travel refers to all travel between the United States (including Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) and any other country except Canada, when the source of the funds to which the travel is charged is any domestic HSMHA grant or contract. Grants and awards to international health organizations (e.g., WHO and PAHO) are excluded from this ceiling. Also travel between countries which is included as a part of a grant or contract to a foreign institution is not subject to this ceiling, since the entire foreign award is subject to the ceiling on foreign awards administered by the Office of Program Planning and Evaluation.

CRITERIA

The criteria to be used in reviewing requests for foreign travel shall provide as a minimum, that:

1. Travel will be approved only in instances when it can be demonstrated that it is essential to the purposes for which the grant or contract was awarded.
2. The number of travelers and the period of travel will be limited to that which is clearly demonstrated to be essential.
3. An evaluation will be made to determine whether the activities associated with the travel can be combined with other activities or their accomplishment delegated to personnel traveling on other business to avoid duplicative travel.

AMOUNT OF CEILING

The following amounts have been established as ceilings for Fiscal Year 1971:

<u>Organization</u>	<u>1971 Ceiling</u>
NIMH	\$125,000
NCHSRD	15,000
NCFPS	5,000
RMPS	7,500
NCDC	5,000
*Reserve	42,500
	<u>\$200,000</u>

GENERAL COMMENTS

None of the amounts given above include international travel performed using P.L. 480 (counterpart) funds. The use of such funds in appropriate countries will be encouraged. Also, the use of American flag carriers will be required for domestic grantees traveling overseas (if available) and will be encouraged for all others whenever it is possible to do so.


 Director, Office of Grants Management

Date: June 8, 1970

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 70-47

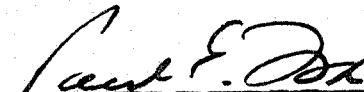
SUBJECT: Cooperation with States and Localities in the Implementation of
BOB Circular A-95

The Director of the Bureau of the Budget has recently written the Secretary of the enthusiastic support by States and localities of the coordination and review procedures established through Part I of BOB Circular A-95. These procedures are implemented by Chapters 1-140 and 1-141 of the HEW Grants Administration Manual and the HSMHA implementations thereto. The Director also stated that the potential benefits of the procedures call for a better effort on the part of Federal agencies to see that they are implemented in parallel with State and local government actions.

In connection with BOB Circular A-95, DHEW has not issued any procedures or directed the use of any forms which are binding upon a State office or metropolitan clearinghouse. Where States have developed forms and procedures to be used in the review of projects or plans, HSMHA programs and potential applicants under the applicable HSMHA programs should cooperate fully with the State's requirements. Similar cooperation should be accorded metropolitan clearinghouses in cases where specific methods for handling their review and coordination procedures have been developed.

An example of the above is represented by the State of Arkansas. The Arkansas Planning Commission has been designated the State Clearinghouse and is responsible for developing and monitoring procedures for all A-95 review processes in Arkansas. All applications for Federal assistance covered by Chapters 1-140 and 1-141 of the Grants Administration Manual must be accompanied by a State Clearinghouse disposition form. This form will be the sole indication that A-95 procedures have been complied with in the State of Arkansas.

If State and local practices prove to be of real concern for the effective administration of HSMHA grant programs, a fully documented statement of the situation should be sent to the Director, Office of Grants Management, HSMHA.



Director, Office of Grants Management

Date: July 17, 1970

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 70-48

SUBJECT: Audit of Records of Contractors Paid from Grants

Purpose

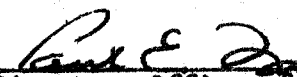
This memorandum provides guidance to awarding components on the requirements for audit of records of contractors paid in whole or in part from HSMHA grant funds.

Policy

A. All grantees must include in contracts negotiated for the performance of any activity or any part of an activity for which the grant was awarded a provision to the effect that:

1. The contractor agrees that the Department of Health, Education, and Welfare or any of its duly authorized representatives shall have access to and the right to examine (audit) all pertinent books, documents, papers, and records of such contractor, involving transactions related to the contract.
2. Records must be retained until expiration of 3 years after final payment under the contract, or 3 years after the end of the grant budget period from which the contract was paid, whichever is earlier.
3. If audit by or on behalf of the Department has not occurred by that time, the contractor's records must be retained until audit or until 5 years following the end of the grant budget period, whichever is earlier.
4. Records which relate to (1) appeals, (2) litigation or the settlement of claims arising out of performance of the contract, (3) costs and expenses of the contract to which exception has been taken by the Department of Health, Education, and Welfare or its duly authorized representatives, shall be retained until such appeals, litigations, claims, or exceptions have been resolved.
5. The requirement to retain records for examination shall apply if the contract is completely or partially terminated prior to the negotiated termination date.

B. This requirement shall not apply to any contract (1) for the purchase of any equipment or supplies approved in the grant award, or (2) involving purchases or services applicable uniformly to the grantee institution.



Director, Office of Grants Management

Date: October 9, 1970

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 70-49

SUBJECT: Change of Grantee

APPLICABILITY: Research Project Grants

SUPERSEDES: PPO 110 dated April 1, 1966, and the supplement thereto dated June 17, 1966, Subject: Application for Continuation of Project Under New Grantee

PPO 146 dated January 2, 1968, Subject: Change of Grantee Institution

PHS Grants for Research Projects, Policy Statement, Revised July 1, 1967, pages 13-14, Change of Grantee Institution

POLICY:

Domestic Institutions

A research project in behalf of the same investigator may be supported at a new institution for a period up to the remainder of the previously approved project period in an amount not to exceed that previously recommended for the remaining period provided that:

- 1) the project is no longer supported at the original institution;
- 2) the new institution submits an application (Form PHS-2590) for support of the project; and
- 3) the investigator plans no significant changes in the research objectives and level of expenditures from those described in the previously approved project.

If the investigator wishes to depart from the previously recommended project, or if any condition above is not met, a complete application (Form PHS-398) will be required. This application will be reviewed in the same manner as a new application and will compete for available funds.

Foreign Institutions

Investigators transferring to, from, or between foreign institutions must submit a complete application (Form PHS-398) which will be reviewed in the same manner as a new application, will compete for available funds, and must meet the criteria for awarding foreign grants.



Director, Office of Grants Management

Date: October 9, 1970

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 71-50

SUBJECT: International Travel in Grants and Contracts

SUPERSEDES: Grants Memorandum Number 70-46 dated June 8, 1970

BACKGROUND

Grants Memorandum 70-46 was issued to implement the DHEW policy on international travel. It did so by establishing a system utilizing ceilings on amounts that could be approved by awarding components. Listed below are the foreign travel ceilings established for FY 1972.

PROCEDURE

An overall ceiling on international travel that may be included in grants and contracts is established for HSMHA each fiscal year. Individual ceilings within this amount are then established for specified headquarters components with an amount held in reserve at the Administration level. The reserves are maintained by the Office of Grants Management for use of HSMHA programs not allotted a ceiling (regional offices and headquarters programs with only contract authority) and for adjustments in allotted ceilings.

Each Service, Institute and Center authorized a ceiling may approve international travel up to the limit of their allotted amounts. In the event a component needs to exceed its ceiling, specific approval should be obtained from the Grants Operations Branch, Office of Grants Management, HSMHA. Such increases will be granted only in extraordinary circumstances.

DEFINITION OF FOREIGN TRAVEL

For purposes of this procedure, foreign travel refers to all travel between the United States (including Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) and any other country except Canada, when the source of the funds to which the travel is charged is any domestic HSMHA grant or contract. Grants and awards to international health organizations (e.g., WHO and PAHO) are excluded from this ceiling. Also travel between countries which is included as a part of a grant or contract to a foreign institution is not subject to this ceiling, since the entire foreign award is subject to the ceiling on foreign awards administered by the Office of Program Planning and Evaluation.

CRITERIA

The criteria to be used in reviewing requests for foreign travel shall provide as a minimum, that:

1. Travel will be approved only in instances when it can be demonstrated that it is essential to the purposes for which the grant or contract was awarded.
2. The number of travelers and the period of travel will be limited to that which is clearly demonstrated to be essential.
3. An evaluation will be made to determine whether the activities associated with the travel can be combined with other activities or their accomplishment delegated to personnel traveling on other business to avoid duplicative travel.


AMOUNT OF CEILING

The following amounts have been established as ceilings for Fiscal Year 1972:

<u>Organization</u>	<u>1972 Ceiling</u>
National Institute for Occupational Safety and Health	\$100,000
National Institute of Mental Health	210,000
National Center for Health Services Research and Development	15,000
National Center for Family Planning Services	2,500
Regional Medical Programs Service	2,000
Center for Disease Control	8,000
	<u>\$337,500</u>

GENERAL COMMENTS

None of the amounts given above include international travel performed using P.L. 480 (counterpart) funds. The use of such funds in appropriate countries will be encouraged. Also, the use of American flag carriers will be required for domestic grantees traveling overseas (if available) and will be encouraged for all others whenever it is possible to do so.


 Director, Office of Grants Management

Date: June 30, 1971

HEALTH SERVICES AND MENTAL HEALTH ADMINISTRATION

EXTRAMURAL PROGRAMS

Grants Memorandum

Number 71-51

SUBJECT: Institutional Cost Sharing Agreements

APPLICABILITY: Public Health Service Research Grants (See attached list of research grants requiring cost sharing)

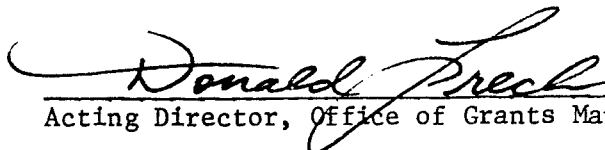
Attached is Cumulative List Number 10 showing grantee institutions that have institutional cost sharing agreements, as of June 30, 1971.

Information about new and revised agreements will continue to be provided on the NOTICE form issued by the Office of Grants Management, Office of the Administrator, Health Services and Mental Health Administration. NOTICE forms will be numbered consecutively using the list number as a prefix.

In publishing this listing, we have omitted all reference to the manner and rate at which cost sharing is to be provided. Only effective dates of the agreements are shown. Institutions shown on previous listings as cost sharing through reductions of indirect costs should be handled in the same manner as all other institutions; that is, awards should refer only to the effective date of the agreement, and no reductions of indirect costs should be made. With respect to reports of expenditures, it is incumbent upon the grantee to reduce his claim for indirect costs if that is the method he chooses. Since grantees with institutional agreements may vary both the amount and method of cost sharing on individual grants so long as an overall percentage is maintained, reports of expenditures from a single grantee do not have to be consistent with respect to their claims for indirect costs. In order to speed processing, grantees have been asked to indicate in the "Remarks" section of the ROE, when less than allowable indirect costs are claimed because of cost sharing; however, if a grantee having an institutional agreement fails to do this, no questions should be raised unless he has obviously made an error, such as using an incorrect rate.

Additional information regarding institutional cost sharing may be obtained by calling the Office of Grants Management, Code 153, Extension 31874.

SUPERSEDES: Grants Memorandum Number 70-45, dated April 1, 1970, and all NOTICES numbered 9-.


Acting Director, Office of Grants Management

Date: June 30, 1971

COST SHARING IN RESEARCH GRANTS

APPLICABILITY: PHS Research Project Grants (identified by program codes as follows with the exception of foreign grants, grants to Federal institutions, grants to individuals, and conference grants):

- R 01 Projects - exclusive of conference and publication grants
- R 02 Nursing
- R 03 Small Grants
- R 07 ICMRT
- R 10 Chemotherapy & Psychopharmacology
- R 12 Mental Health Special Grants
- R 18 Research Demonstration Projects Designed to Test and Evaluate Health Services Activities
- R 20 Hospital Improvement
- R 21 Community Health Exploratory Grants
- R 22 U.S. - Japan Cooperative Medical Science Program
- P 01 Research Program Projects
- P 10 Environmental Health Centers for Research and Training
- P 11 Pharmacology-Toxicology Centers
- P 13 Dental Research Institute Program
- P 15 Outpatient Clinical Research Grant Program
- P 16 Health Services Research Center Grants

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Attending Staff Association Rancho Los Amigos Hospital Downey, California	3/1/66
	Cedars-Sinai Medical Center Los Angeles, California	1/11/67 3/31/69 - Revised
	Childrens Hospital of Los Angeles Los Angeles, California	3/1/66
	Children's Hospital and Adult Medical Center of San Francisco San Francisco, California	10/1/68
	City of Hope National Medical Center Duarte, California	3/19/69
	Clinical Pharmacology Research Institute Berkeley, California	3/1/66
	State of California Department of Public Health Berkeley, California	3/1/66
	The Galton Institute Los Angeles, California	3/1/66
	Institute for Health Research Berkeley, California	6/1/70
	The Institute of Medical Sciences Pacific Medical Center San Francisco, California	3/1/66
	Institute for Medical Research of Santa Clara County San Jose, California	3/1/66
	Institute for Research in Social Behavior Berkeley, California	6/1/71
	Institute for the Study of Crime and Delinquency Sacramento, California	3/1/66

INSTITUTIONAL COST SHARING AGREEMENTS

LIST # ¹⁰

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Alabama</u>	Alabama, University of (includes Medical College of Alabama, School of Denistry, Graduate School, School of Nursing, School of Health Ser- vices Administration, College of General Studies, and Univer- sity Hospitals and Clinics) Birmingham, Alabama	3/1/66 10/1/68 - Revised
	Auburn University Auburn, Alabama	1/19/67
	Southern Research Institute Birmingham, Alabama	1/1/69
<u>Alaska</u>	Alaska, Univerisity of College, Alaska	3/1/66
<u>Arizona</u>	Arizona State University Tempe, Arizona	3/1/66 7/1/68 - Revised
	Arizona, University of Tucson, Arizona	7/1/69
<u>Arkansas</u>	Arkansas, University of Medical Center Little Rock, Arkansas	3/1/66
<u>California</u>	Alameda County Medical Institutions (Institute of Metabolic Research - only) Oakland, California	3/1/66 12/31/68 - Cancelled
	Attending Staff Association (includes Harbor General Hospital) Torrance, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	Stanford University Stanford, California	7/1/70
	University of the Pacific Stockton, California	3/1/66
	University of California Berkeley, California National Center for Primate Biology at Davis	5/1/68
	All Locations - including National Center for Primate Biology	7/1/69
	University of Southern California University Park Los Angeles, California	7/1/68
<u>Colorado</u>	American Medical Center at Denver Spivak, Colorado	3/1/66
	Colorado State University Fort Collins, Colorado	3/1/66
	Colorado, University of Medical center (only) Denver, Colorado	7/1/68
	National Jewish Hospital at Denver Denver, Colorado	3/1/66
<u>Connecticut</u>	Connecticut, University of Storrs, Connecticut	3/1/66
	Haskins Laboratories New Haven, Connecticut	1/1/71
	Yale University (all units) New Haven, Connecticut	7/1/66
<u>District of Columbia</u>	American Speech and Hearing Association Washington, D. C.	3/1/66
	Arctic Institute of North America Washington, D. C.	3/4/69

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>California</u> (cont.)	John Hale Medical Society, Inc. San Francisco, California	7/1/69
	Kaiser Foundation Research Institute Oakland, California	3/1/66
	Loma Linda University Loma Linda, California	3/1/66
	Long Beach California State College Foundation Long Beach, California	3/1/66
	Mental Research Institute Palo Alto, California	12/1/66 2/1/69 - Revised
	Mount Zion Hospital and Medical Center San Francisco, California	3/1/66
	Pacific State Hospital Pomona, California	7/1/69
	Pasadena Foundation for Medical Research Pasadena, California	3/1/66 7/1/67 - Revised
	Professional Staff Association of Los Angeles County University of Southern California Medical Center, Inc. (formerly Attending Staff Association of the Los Angeles County Hospital) Los Angeles, California	3/1/66
	The Salk Institute for Biological Studies San Diego, California	3/1/66
	San Diego State College (includes San Diego State College Foundation) San Diego, California	3/1/66
	Stanford Research Institute Menlo Park, California	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Hawaii</u>	Hawaii, University of Honolulu, Hawaii	12/1/67
<u>Illinois</u>	Evanston Hospital Evanston, Illinois	7/1/67
	Interscience Research Institute Champaign, Illinois	5/1/68
	Kankakee State Hospital Kankakee, Illinois	2/1/67
	Michael Reese Hospital and Medical Center Chicago, Illinois	3/1/66
	Northwestern University Evanston, Illinois	3/1/66
	Presbyterian St. Luke's Hospital Chicago, Illinois	3/1/66
	The University of Chicago Chicago, Illinois	7/1/71
<u>Indiana</u>	Indiana University Foundation Bloomington, Indiana	3/1/66
	New Castle State Hospital New Castle, Indiana	3/1/69
	Notre Dame, University of Notre Dame, Indiana	3/1/66
	Purdue University and Purdue Research Foundation Lafayette, Indiana	3/1/66
<u>Iowa</u>	Iowa State University of Science and Technology Ames, Iowa	7/1/69
	The University of Iowa Iowa City, Iowa	7/1/68
<u>Kansas</u>	Kansas, University of (excludes the University of Kansas Medical Center) Lawrence, Kansas	1/1/67

Institutional Cost Sharing AgreementsEffective
Date of
AgreementStateInstitutionDistrict of
Columbia
(cont.)The Catholic University of
America
Washington, D. C.

3/1/66

Georgetown University
Washington, D. C.

7/1/67

The George Washington
University
Washington, D. C.

3/1/66

Howard University
Washington, D. C.

3/1/66

Research Foundation
Children's Hospital of the
District of Columbia
Washington, D. C.

3/1/66

FloridaFlorida State Board
of Health
Jacksonville, Florida

7/1/66

Florida State University
Tallahassee, Florida

8/1/67

Florida, University of
Gainesville, Florida

3/1/66

Miami, University of
(includes Medical School)
Coral Gables, Florida

3/1/66

Papanicolaou Cancer Research
Institute, Miami, Florida

1/1/71

South Florida, University of
Tampa, Florida

3/1/66

GeorgiaGeorgia State Department of
Health (includes Milledgeville
State Hospital, Gracewood State
School and Hospital, Georgia
Mental Health Institute, Georgia
Retardation Center, Georgia Clinic,
Chatham Clinic, and Southwestern
State Hospital)
Atlanta, Georgia

1/10/67

Medical College of Georgia
Augusta, Georgia

3/1/66

3/1/69 - Revised

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Maryland</u> (cont.)	Johns Hopkins University School of Medicine Baltimore, Maryland	3/1/66
	National Biomedical Research Foundation Silver Spring, Maryland	3/1/66
	The Trustees of Sheppard and Enoch Pratt Hospital Towson, Maryland	7/1/68
<u>Massachusetts</u>	Age Center of New England, Inc. Boston, Massachusetts	4/1/66
	Beth Israel Hospital Boston, Massachusetts	3/1/66
	Bio-Research Institute, Inc. Cambridge, Massachusetts	3/1/66
	The Blood Grouping Laboratory Boston, Massachusetts	12/1/66
	Blood Research Institute, Inc. (formerly-Protein Foundation) Boston, Massachusetts	8/1/66
	Boston Biomedical Research Institute Boston, Massachusetts (formerly the Retina Foundation)	3/1/66 6/16/70 - Revised
	Boston College Chestnut Hill, Massachusetts	2/20/67
	Boston Hospital for Women Lying-In Division Boston, Massachusetts	3/1/66
	Boston University Boston, Massachusetts	7/1/66
	Brandeis University Waltham, Massachusetts	3/1/66
	Children's Cancer Research Foundation, Inc. Boston, Massachusetts	3/1/66
Children's Hospital Medical Center Boston, Massachusetts	3/1/66	

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Kansas</u> (cont.)	University of Kansas Medical Center Kansas City, Kansas	3/1/66
<u>Kentucky</u>	Louisville, University of Louisville, Kentucky	3/1/66
<u>Louisiana</u>	Alton Ochsner Medical Foundation New Orleans, Louisiana	3/1/66
	Louisiana State University (covers only projects to be conducted at the LSU Medical Center, New Orleans) Baton Rouge, Louisiana	3/1/66
	Tulane University New Orleans, Louisiana	
	School of Medicine (only)	3/1/66
	All locations (including School of Medicine, Baton Rouge and the Delta Primate Center)	7/1/68
<u>Maryland</u>	American Type Culture Collection Rockville, Maryland	12/12/66
	Baltimore City Hospitals Baltimore, Maryland	7/1/66
	Eye Research Foundation of Bethesda Bethesda, Maryland	1/9/69
	Friends of Psychiatric Research, Inc. Baltimore, Maryland	3/1/66 12/1/68 - Revised
	Institute for Behavioral Research, Inc. Silver Spring, Maryland	3/1/66
	Johns Hopkins University School of Hygiene and Public Health Baltimore, Maryland	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Massachusetts Institute of Technology Cambridge, Massachusetts	3/1/66
	Massachusetts, University of Amherst, Massachusetts	3/1/66
	McLean Hospital Belmont, Massachusetts	3/1/66
	The Memorial Hospital Worcester, Massachusetts	7/1/66
	New England Medical Center Hospitals Boston, Massachusetts	3/1/66
	Northeastern University Boston, Massachusetts	7/1/67
	Peter Bent Brigham Hospital Boston, Massachusetts	3/1/66
	Red Acre Farm, Inc. Stow, Massachusetts	3/1/66
	Retina Foundation Institute of Biological & Medical Sciences Boston, Massachusetts	3/1/66
	Robert B. Brigham Hospital Boston, Massachusetts	3/1/66
	St. Margaret's Hospital Boston, Massachusetts	3/1/66
	Springfield College Springfield, Massachusetts	12/12/66
	University Hospital Boston University Medical Center Boston, Massachusetts	4/1/68

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Massachusetts</u> (cont.)	Clark University Worcester, Massachusetts	3/1/66 7/1/69 - Revised
	Diabetes Foundation, Inc. Boston, Massachusetts	3/1/66 10/1/67 - Revised
	Forsyth Dental Center Boston, Massachusetts	3/1/66
	Harvard University (includes <u>only</u> Harvard Medical School, Harvard School of Public Health and Harvard School of Dental Medicine) Cambridge, Massachusetts	3/1/66
	James Jackson Putnam Children's Center Roxbury, Boston, Massachusetts	7/1/66
	Mallory Institute of Pathology Foundation Boston, Massachusetts	1/1/68
	Massachusetts Department of Mental Health	
	Cushing Hospital Framingham, Massachusetts	7/1/69
	Metropolitan State Hospital Waltham, Massachusetts	7/1/68
	Massachusetts Eye and Ear Infirmary Boston, Massachusetts	3/1/66
	Massachusetts General Hospital Boston, Massachusetts	3/1/66
	Massachusetts Health Research Institute, Inc. Boston, Massachusetts	1/13/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Mississippi</u>	Mississippi State University State College, Mississippi	3/1/66
	Mississippi, University of Medical Center Jackson, Mississippi	3/1/66 7/1/68 - Revised
<u>Missouri</u>	Cancer Research Center Columbia, Missouri	1/16/67
	The Jewish Hospital of Saint Louis St. Louis, Missouri	7/1/67
	Saint Louis University St. Louis, Missouri	3/1/66 9/1/67 - Revised
	Washington University St. Louis, Missouri	3/1/66
<u>Montana</u>	Montana State University The Endowment and Research Foundation at Montana State University Bozeman, Montana	2/16/67
	Montana, University of (includes University of Montana Foundation) Missoula, Montana	3/1/66
<u>Nebraska</u>	The Creighton University Omaha, Nebraska	1/1/68
	Nebraska, University of (College of Medicine only) Lincoln, Nebraska	1/26/67
<u>New Hampshire</u>	Dartmouth College Hanover, New Hampshire	3/1/66 7/1/69 - Revised

Institutional Cost Sharing Agreements		Effective Date of Agreement
<u>State</u>	<u>Institution</u>	
<u>Massachusetts</u> (cont.)	Woods Hole Oceanographic Institution Woods Hole, Massachusetts	10/1/67
	The Worcester Foundation for Experimental Biology Shrewsbury, Massachusetts	3/1/66 4/1/68 - Revised 4/1/69 - Revised 4/1/70 - Revised
	Detroit, University of Detroit, Michigan	3/1/66 7/1/68 - Revised
	Henry Ford Hospital Detroit, Michigan (Combined with Edsel B. Ford Institute effective 7/1/70)	3/1/66
<u>Michigan</u>	Henry Ford Hospital and Edsel B. Ford Institute Detroit, Michigan	7/1/70
	Lafayette Clinic Detroit, Michigan	3/1/66
	Michigan, State of Department of Public Health Lansing, Michigan	3/1/66
	Michigan, University of (all parts of University) Ann Arbor, Michigan	7/1/67
	<u>Minnesota</u>	Mayo Foundation Rochester, Minnesota
Minneapolis Medical Research Foundation, Inc. Minneapolis, Minnesota		3/1/66
Minnesota, University of (includes all campuses - Minneapolis-St. Paul, Duluth, Austin, Morris, the Hormel Institute, and all affiliated hospitals) Minneapolis, Minnesota		3/1/66
Mount Sinai Hospital Minneapolis, Minnesota		9/1/66

Institutional Cost Sharing Agreements

Effective

New York
(cont.)Clarkson College of Technology
Potsdam, New York

3/1/66

Cold Spring Harbor Laboratory
of Quantitative Biology
Cold Spring Harbor, L.I.,
New York

1/5/67

Columbia University in the City
of New York (includes only the
School of Public Health and Admin-
istrative Medicine, College of
Physicians and Surgeons, and the
School of Dental and Oral Surgery)
New York, New York

3/1/66

Community Blood Council of
Greater New York, Inc.
New York, New York

5/1/69

Community Council of Greater
New York
New York, New York

3/1/66

Cornell University
(includes Ithaca and New York
City campuses and New York
State Experiment Station at
Geneva but excludes Cornell
University Medical College)
Ithaca, New York

7/1/68

Cornell University Medical
College
New York, New York

1/1/67

Department of Health
State of New York
(covers only projects to be
performed at HRI Albany and
Buffalo locations)
Albany, New York

5/1/69

Eastman Dental Center
Rochester, New York

3/1/66

Health Council of Monroe County,
Inc., Rochester, New York

3/26/70

Institutional Cost Sharing AgreementsEffective
Date of
Agreement

<u>State</u>	<u>Institution</u>	
<u>New Jersey</u>	Department of Health State of New Jersey Trenton, New Jersey	7/1/67
	Educational Testing Service Princeton, New Jersey	3/1/66
	Institute for Medical Research Camden, New Jersey	3/1/66 7/1/69 - Revised
	Rutgers, The State University New Brunswick, New Jersey	3/1/66
<u>New Mexico</u>	Lovelace Foundation for Medical Education and Research Albuquerque, New Mexico	10/1/67
	New Mexico, The University of School of Medicine Albuquerque, New Mexico	1/26/67 10/1/69 - Revised
<u>New York</u>	Adelphi University Garden City, Long Island New York	3/1/66
	The Albany Medical College of Union University Albany, New York	3/1/66
	Albert Einstein College of Medicine Yeshiva University Bronx, New York	7/1/66
	The American Museum of Natural History, New York, New York	7/1/70
	Boyce Thompson Institute for Plant Research, Inc. Yonkers, New York	12/2/66 1/1/69 - Revised
	Bronx-Lebanon Hospital Center Bronx, New York	3/1/66
	Brookhaven National Laboratory Associated Universities, Inc. Upton, L.I., New York	7/1/70
	Children's Hospital of Buffalo Buffalo, New York	4/1/69

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Montefiore Hospital and Medical Center Bronx, New York	3/1/66
	The Mount Sinai School of Medicine New York, New York	3/1/66
	New York Medical College Flower and Fifth Avenue Hospitals New York, New York	1/1/69
	New York University (includes NYU Medical Center) New York, New York	3/1/66
	Polytechnic Institute of Brooklyn Brooklyn, New York	3/1/66
	Queens College of the City University of New York Flushing, New York	3/1/66
	Research Foundation of the City University of New York New York, New York	1/1/70
	Research for Health in Erie County, Inc. (includes The Edward J. Meyer Memorial Hospital) Buffalo, New York	3/1/66
	The Rockefeller University New York, New York	3/1/66
	The Roosevelt Hospital New York, New York	3/1/66
	St. Luke's Hospital Center New York, New York	1/1/69
	State University of New York Downstate Medical Center (only) (includes Bronx, Brooklyn, Manhattan, Queens, Richmond) Brooklyn, New York	7/1/66
	State University of New York at Stony Brook (only) Stony Brook, New York	7/1/67

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>New York</u> (cont.)	Health Research, Inc. Albany Division Albany, New York	1/1/69
	Health Research, Inc. Roswell Park Division Buffalo, New York	3/1/66
	Hillside Hospital Glen Oaks, New York	7/1/66
	Hospital for Joint Diseases and Medical Center New York, New York	1/24/67
	The Jewish Hospital Medical Center of Brooklyn Brooklyn, New York	7/1/66
	Kingsbrook Jewish Medical Center (formerly Jewish Chronic Disease Hospital) Brooklyn New York	3/1/66
	Long Island Jewish Hospital New Hyde Park, New York	3/1/66
	Maimonides Medical Center Brooklyn, New York	7/1/66
	Manhattan College Bronx, New York	3/1/69
	The Mary Imogene Bassett Hospital Cooperstown, New York	3/1/66
	Medical Foundation of Buffalo Buffalo, New York	9/1/67
	Medical and Health Research Association of New York City, Inc. New York, New York	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Ohio</u>	Battelle Memorial Institute Columbus Laboratories Columbus, Ohio	7/1/67 9/1/69 - Revised
	Case Western Reserve University Cleveland, Ohio	3/1/66
	Charles F. Kettering Research Laboratory Yellow Springs, Ohio	3/1/66
	Children's Hospital (includes Children's Hospital Research Foundation) Columbus, Ohio	1/23/67 1/1/70 - Revised
	The Children's Hospital Research Foundation Cincinnati, Ohio	3/1/66 1/1/67 - Revised 1/1/68 - Revised
	Cincinnati, University of Cincinnati, Ohio	7/1/67
	Cleveland Clinic Foundation Cleveland, Ohio	3/1/66
	Cox Heart Institute (formerly Cox Coronary Heart Institute) Kettering, Ohio	1/1/67 1/1/70 - Revised
	Denison University Granville, Ohio	3/1/66
	The Fels Research Institute Yellow Springs, Ohio	3/1/66
	Miami University Oxford, Ohio	3/1/66
	The Ohio State University (includes Research Foundation) Columbus, Ohio	3/1/66
	St. Vincent Charity Hospital Cleveland, Ohio	3/1/66

<u>Institutional Cost Sharing Agreements</u>		<u>Effective Date of Agreement</u>
<u>State</u>	<u>Institution</u>	
<u>New York</u> (cont.)	State University of New York Upstate Medical Center (includes Syracuse units only) Syracuse, New York	3/1/66
	Staten Island Mental Health Society Staten Island, New York	2/15/69
	Syracuse University Syracuse, New York	3/1/66
	Teachers College Columbia University New York, New York	3/1/66
	Waldemar Medical Research Foundation, Inc. Woodbury, L.I., New York	3/1/66
<u>North Carolina</u>	Bowman Gray School of Medicine Wake Forest University Winston-Salem, North Carolina	3/1/66
	State of North Carolina Department of Mental Health Raleigh, North Carolina	3/1/66
	Duke University Durham, North Carolina	7/1/67
	North Carolina State University at Raleigh Raleigh, North Carolina	3/1/66
	Research Triangle Institute Research Triangle Park North Carolina	3/1/67
	The University of North Carolina Chapel Hill, North Carolina	7/1/70
<u>North Dakota</u>	North Dakota, University of Grand Forks, North Dakota	3/1/66

<u>Institutional Cost Sharing Agreements</u>	<u>Effective Agreement</u>	
<u>State</u>	<u>Institution</u>	
<u>Pennsylvania</u> (cont.)	The Children's Hospital of Philadelphia Philadelphia, Pennsylvania	7/1/67
	Children's Hospital of Pittsburgh Pittsburgh, Pennsylvania	3/1/66 7/1/68 - Revised
	Drexel Institute of Technology Philadelphia, Pennsylvania	7/1/67
	The Hahnemann Medical College and Hospital of Philadelphia Philadelphia, Pennsylvania	3/1/66
	Home for the Jewish Aged (formerly Philadelphia Geriatric Center) Philadelphia, Pennsylvania	1/1/67
	The Institute for Cancer Research Philadelphia, Pennsylvania	3/1/66
	Institute for Research State College, Pennsylvania	7/1/66
	The Jefferson Medical College and Medical Center Philadelphia, Pennsylvania	7/1/66
	Lehigh University Bethlehem, Pennsylvania	3/1/66
	Magee-Womens Hospital Pittsburgh, Pennsylvania	7/1/68
	Mon Valley Health & Welfare Authority Monessen, Pennsylvania	1/1/71
	Pennsylvania Hospital Philadelphia, Pennsylvania	3/1/66
	The Pennsylvania State Universtiy University Park, Pennsylvania	3/1/66
	Pennsylvania, University of Philadelphia, Pennsylvania	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Ohio</u> (cont.)	University Hospitals of Cleveland Cleveland, Ohio	3/1/66
<u>Oklahoma</u>	Oklahoma Medical Research Foundation Oklahoma City, Oklahoma	3/1/66
	Oklahoma State University Stillwater, Oklahoma	1/19/67 7/1/70 - Revised
	Medical Center Research and Development Office of The University of Oklahoma Foundation, Inc. (formerly Oklahoma, University of, Medical Center) Oklahoma City, Oklahoma	7/1/66
	Oklahoma, University of Research Institute Norman, Oklahoma	3/1/66 7/1/69 - Revised
<u>Oregon</u>	Medical Research Foundation of Oregon Portland, Oregon	7/1/67
	Oregon Research Institute Eugene, Oregon	7/1/66
	Oregon State University Corvallis, Oregon	3/1/66
	Oregon, University of Eugene, Oregon	3/1/66
	Oregon, University of Medical School Portland, Oregon	3/1/66
<u>Pennsylvania</u>	Albert Einstein Medical Center Philadelphia, Pennsylvania	3/1/66 12/1/69 - Revised
	American Institutes for Research Pittsburgh, Pennsylvania	7/1/69

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>South Carolina</u> (cont.)	Medical College of South Carolina Charleston, South Carolina	7/1/67
	South Carolina, University of Columbia, South Carolina	3/1/66
<u>Tennessee</u>	Meharry Medical College Nashville, Tennessee	7/1/67 7/1/69 - Revised
	Oak Ridge Associated Universities Inc., Oak Ridge, Tennessee	1/1/70
	St. Jude Children's Research Hospital Memphis, Tennessee	3/1/66
	Tennessee, The University of (excludes all Medical Units in Memphis) Knoxville, Tennessee	3/1/66 1/1/69 - Revised
	Tennessee, The University of Medical Units (only) Memphis, Tennessee	7/1/68
	Vanderbilt University Medical Center Nashville, Tennessee	3/1/66
<u>Texas</u>	Baylor University College of Dentistry Dallas, Texas	3/1/66
	Baylor University College of Medicine Houston, Texas	12/9/66
	Houston Speech and Hearing Center Texas Medical Center Houston, Texas	12/2/66
	J.K. and Susie L. Wadley Research Institute and Blood Bank Dallas, Texas	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Pennsylvania</u> (cont.)	Philadelphia College of Pharmacy and Science Philadelphia, Pennsylvania	7/1/67
	Philadelphia General Hospital Philadelphia, Pennsylvania	7/1/69
	Presbyterian-University of Pennsylvania Medical Center Philadelphia, Pennsylvania	7/1/66
	Regional Science Research Institute Philadelphia, Pennsylvania	7/1/66 1/1/69 - Revised
	St. Christopher's Hospital for Children Philadelphia, Pennsylvania	3/1/66
	Temple University Philadelphia, Pennsylvania	3/1/66
	Wills Eye Hospital Philadelphia, Pennsylvania	3/1/66
	The Wistar Institute Philadelphia, Pennsylvania	1/1/68
	Woman's Medical College of Pennsylvania Philadelphia, Pennsylvania	3/1/66
<u>Rhode Island</u>	Brown University Providence, Rhode Island	7/1/66 7/1/67 - Revised 7/1/68 - Revised
	Rhode Island Hospital Providence, Rhode Island	1/1/67
	Rhode Island, University of Kingston, Rhode Island	7/1/66
<u>South Carolina</u>	Clemson University Clemson, South Carolina	3/1/66

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Texas</u> (cont.)	Texas, University of Medical School at San Antonio San Antonio, Texas	9/1/66
<u>Utah</u>	Utah, The University of Salt Lake City, Utah	7/1/68
	Utah State University Logan, Utah	3/1/66
<u>Vermont</u>	Vermont, The University of Burlington, Vermont	3/1/66
<u>Virginia</u>	College of William and Mary Williamsburg, Virginia	7/1/69
	Virginia Commonwealth University Richmond, Virginia (formerly Medical College of Virginia)	1/16/67
	Virginia Polytechnic Institute Blacksburg, Virginia	3/1/66
	Virginia, University of Charlottesville, Virginia	3/1/66
<u>Washington</u>	Pacific Northwest Research Foundation Seattle, Washington	12/8/66
	Pacific Northwest Laboratories (A Division of Battelle Memorial Institute) Richland, Washington	1/1/70
	Virginia Mason Research Center Seattle, Washington	7/1/68
	Washington State University Pullman, Washington	3/1/66
	Washington, University of Seattle, Washington	3/1/66

Institutional Cost Sharing AgreementsEffective
Date of
AgreementStateInstitutionTexas
(cont.)M.D. Anderson Hospital
and Tumor Institute
The University of Texas
Texas Medical Center
Houston, Texas

3/1/66

Sam Houston State College
Huntsville, Texas

9/1/69

Scott and White Memorial
Hospital and Scott, Sherwood
and Brindley Foundation
Temple, Texas

1/30/67

Southwest Research Institute
San Antonio, Texas

3/1/66

Texas, University of
(formerly Southwest Center
for Advanced Studies)
Dallas, Texas

3/1/66

Texas, University of
Southwestern Medical School
Dallas, Texas

3/1/66

Texas, University of
Medical Branch
Galveston, Texas

9/1/66

Texas, University of
Texas Medical Center
Houston, Texas

Dental Branch

3/1/66

Graduate School of
Biomedical Sciences

9/1/68

School of Public Health

9/1/68

The University of Texas Medical
School at Houston
Houston, Texas

9/1/70

Institutional Cost Sharing Agreements

<u>State</u>	<u>Institution</u>	<u>Effective Date of Agreement</u>
<u>Wisconsin</u>	Marquette University (exclusive of Medical School) Milwaukee, Wisconsin	3/1/66
	Medical College of Wisconsin, Inc. Milwaukee, Wisconsin (formerly Marquette School of Medicine, Inc.)	2/1/70
	Wisconsin, University of Madison, Wisconsin	3/1/66
<u>Puerto Rico</u>	University of Puerto Rico Rio Piedras, Puerto Rico	7/1/68