

NIH GUIDE

for GRANTS^{OERT} and CONTRACTS

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

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HAVE YOU MOVED?

If your present address differs from that shown on the address label, please send your new address to: Grants and Contract Guide Distribution Center, Division of Research Grants, NIH, Room 219, Westwood Building, Bethesda, Maryland 20014, and attach your address label to your letter. Prompt notice of your change of address will prevent your name from being removed from our mailing list.

The GUIDE is published at irregular intervals to provide policy and administrative information to individuals and organizations who need to be kept informed of requirements and changes in grants and contracts activities administered by the National Institutes of Health.

Supplements, printed on yellow paper, are published by the respective awarding units concerning new projects, solicitations of sources, and requests for proposals.

NEURAL REGENERATION AND PLASTICITY RESEARCH

NATIONAL INSTITUTE OF NEUROLOGICAL AND

COMMUNICATIVE DISORDERS AND STROKE

A N N O U N C E M E N T

The Stroke and Trauma Program of the National Institute of Neurological and Communicative Disorders and Stroke is encouraging the submission of applications for research project grants and research program project grants in the area of neural plasticity and neural regeneration research. These research areas are being identified as areas of special emphasis for additional research development.

Applications should be submitted in accordance with the standard NIH forms, procedures, and schedules. The next deadline for the receipt of applications is November 1, 1977. Inquiries should be directed to the Stroke and Trauma Program, National Institute of Neurological and Communicative Disorders and Stroke, Room 8A13, Federal Building, 7550 Wisconsin Avenue, Bethesda, Maryland 20014; telephone (301) 496-4226.

MARINE AND FRESHWATER BIOMEDICAL

CORE CENTER GRANTS

NATIONAL INSTITUTE OF ENVIRONMENTAL

HEALTH SCIENCES

A N N O U N C E M E N T

Introduction Under authority of the Public Health Service Act as amended, the National Institute of Environmental Health Sciences (NIEHS) will award a limited number of core center grants for the support of multidisciplinary biomedical research involving aquatic organisms, with focus on environmental health problems. The goals of the NIEHS in use of the core center grant mechanism are to augment the national level of basic biomedical research related to environmental health in marine and freshwater laboratories, and to assist in attaining stable environments for research and research training in which aquatic organisms are utilized in the solution of environmental health problems. The grants will be awarded on a competitive basis. Awards will be limited initially to a maximum of \$100,000 direct costs for the first year and an award period of four years. However, funded grants may be renewed on a competitive basis after four years.

Background The mission of the NIEHS is to achieve understanding of pathological processes as they relate to the etiology, diagnosis, treatment, and prevention of diseases and disorders caused by environmental factors. A substantial number of potential health problems are known or perceived to be related directly to pollution of drinking water sources and the streams, lakes, and oceans which serve as important sources of food. Organisms in these waters often accumulate toxic substances to levels much higher than those found in ambient waters and frequently develop disorders and pathological endpoints very similar to those exhibited by terrestrial organisms, including man. Thus, studies of aquatic organisms from polluted waters may serve as early indicators of pollution and sometimes of specific hazardous substances, both natural and man-made. Moreover, aquatic organisms may serve as valuable experimental model systems for specific diseases. Aquatic organisms are traditional experimental subjects for several disciplines in which environmental science is rooted: e.g., genetics, comparative biology, embryology, pharmacology, and organ and reproductive physiology. Because of great diversity along the phylogenetic scale, aquatic organisms offer unique opportunities to explore pathologic mechanisms in organs systems ranging from the simplest to the most complex, so that mechanisms relating to specific cells and functions can be sorted out without the confounding complexity of structures and physiological interrelations present in higher organisms.

General Description The Marine and Freshwater Biomedical (MFB) center grant will be a core support mechanism for integrating, coordinating, and fostering interaction and cooperation of a group of established, interdisciplinary investigators conducting high quality research clearly related to environmental

health. The intent of the NIEHS in employing this mechanism is to integrate and build upon existing expertise and resources. The core grant will provide an added capability and potential for accomplishments greater than those possible by support of individual projects alone. An important additional strength will be the creation of an intellectual and academic environment for high quality research training in marine and freshwater biology as resources for environmental and other health sciences.

NIEHS core center grants provide support for personnel, equipment, supplies, services, facilities, program enrichment, and feasibility or pilot studies. They do not provide direct funding for ongoing research projects per se. These must be funded independently through other support mechanisms, such as program project grants, individual research grants, contracts, etc.

Research Scope While the ultimate focus of research and resources supported by NIEHS is on man, it is clear that mission responsibilities encompass the total environment and that much of the understanding of etiological and pathological relations must be developed through experimental models other than man. The intent of this program is to encourage fuller use of marine and freshwater resources in assessment, prediction, and determination of mechanisms of environmental factors hazardous to man. Thus, program areas of particular interest include, but are not limited to, the following:

- Dynamics and mechanisms of bioaccumulation and transformation of chemical pollutants
- Behavioral toxicology
- Environmental mutagenesis and reproductive toxicology
- Organ toxicology
- Pharmacology
- Comparative toxicology and pharmacology
- Natural toxins

As implied in the listing, responsive proposals will deal with the influence of chemical and physical factors in the environment leading to adverse effects on physiological processes and structures, behavior, and other biological phenomena relevant to man's health. Examples of studies that do not fall within the NIEHS mission and will be deemed nonresponsive to this announcement are studies concerned primarily with (1) the food chain, (2) natural, unmodified aquatic environments and ecology, (3) natural, unmodified physiological processes, development, behavior, reproduction, and species variability of aquatic organisms, and (4) aquatic systems monitoring and pollution characterization when solely or primarily for the purpose of surveillance or survey.

In addition to studies by laboratory staffs, employment of visiting scientists from medical schools and other academic institutions is encouraged for research and familiarization with the use of marine and freshwater organisms in biomedical research.

Eligibility Domestic nonprofit private or public institutions are eligible to apply for these grants.

The applicant institution must establish an administrative structure that will foster successful scientific and administrative management. The key figure is the center director, who must be a recognized leader and who must make a significant time commitment to the scientific programs and administration of the center.

While each center is expected to develop its own program in accordance with its resources, interests, and expertise, centers must be responsive to national environmental health research needs and must be willing to work cooperatively with the NIEHS and with other NIEHS centers.

Letter of Intent Prospective applicants are required to submit a letter of intent to the NIEHS address given below prior to submission of a formal application. It is recognized that the preparation of applications for large, multi-investigator grants requires substantial investment of time, effort, and resources by the center director and the grantee institution. Consultation with NIEHS Extramural Program staff before submission of applications will provide for a determination as to whether the proposed research and mechanism fit the needs and mission responsibility of the NIEHS. If not, alternative support mechanisms may be discussed.

The letter of intent should include a concise description of the proposed center. The description should indicate the unifying theme, research goals, identification of individually-supported projects with names of responsible investigators, curriculum vitae for core staff, a statement of existing research resources and requested renovations, and an estimate of the necessary level of support.

The letter of intent should be submitted two to three months in advance of receipt dates for applications to allow adequate time for NIEHS staff review and consultation prior to preparation and submission of a formal application (see Application Receipt Dates below).

NOTE: Applications received without a prior letter of intent showing evidence of responsiveness of the proposed center to this announcement will be returned to the applicant organization in care of the proposed center director.

Application Instructions and Submission Upon determination of the appropriateness of the proposed center and resources, applications will be submitted on the regular research grant application form (NIH 398). Supplemental instructions and guidelines for preparation of applications will be provided by the NIEHS.

Receipt dates for letters of intent and applications are:

<u>Letter of Intent</u>	<u>Application Receipt Dates</u>	<u>Initial Review</u>	<u>Council Review</u>	<u>Earliest Beginning Dates</u>
August*	November 1*	February - March	May	July 1
November	February 1	June	September - October	December 1
March	June 1	October - November	January - February	April 1
July	October 1	February - March	May	July 1

[*Receipt dates for the first year of the program are modified in order to permit funding of the first centers during FY 1978. Subsequently, receipt dates for applications coincide with established NIH receipt dates for center grant applications. Applications received too late for one review cycle will be held for consideration at the next.]

The original and six copies of the completed application should be mailed to the Division of Research Grants; address labels are included in the Form NIH 398 application kits. In addition to those copies submitted to the Division of Research Grants, two copies under separate cover should be sent to the NIEHS contact indicated below.

Review Process and Criteria MFB center grant applications will be reviewed for scientific merit by an ad hoc review group. A site visit to the applicant institution will be made to evaluate the overall merit of the application. The review group will include expert consultants for each research area of the proposed center, the Executive Secretary of the review group, and NIEHS staff observer(s). Review factors will be given in the guidelines for the application provided by NIEHS prior to submission of the application.

Subsequent to the review site visit, and prior to review by the National Advisory Environmental Health Sciences Council, the applicant institution may be visited by the Centers Subcommittee of the National Advisory Environmental Health Sciences Council, accompanied by members of the NIEHS staff.

The final review and recommendation on all applications assigned to NIEHS is made by the National Advisory Environmental Health Sciences Council. In addition to reviewing the recommendations made during the initial review of the application, the Council considers the significance of the application to the overall program goals and mission of the NIEHS.

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Funding This program is included and provided for in the financial plans for fiscal year 1978. Award of grants is contingent upon (1) a recommendation of approval and high priority by the reviewers indicated above and (2) appropriation and allocation of funds for these grants.

NIEHS Contact Letters of intent, copies of applications, and inquiries for further information should be directed to:

Program Manager
Special Programs
Extramural Programs
National Institute of Environmental
Health Sciences
P.O. Box 12233
Research Triangle Park, North Carolina 27709

Telephone: (919) 541-3350

NIH's POLICY AND PROCEDURES ON SUBMISSION

AND ACCEPTANCE OF

REVISED REPORTS OF EXPENDITURES



- A. PURPOSE This issuance revises and supersedes *NIH Guide for Grants and Contracts*, Vol. 5, No. 19, November 15, 1976, pages 4 and 5. It states the policy and describes the procedures which will be used by NIH in handling revised reports of expenditures submitted by grantee institutions and implements PHS Grants Administration Manual Chapter 1-516, Submission and Acceptance of Revised Reports of Expenditures.
- B. APPLICABILITY This policy covers all NIH grant awards for which the submission of a report of expenditures is required.
- C. BACKGROUND Current Public Health Service policy requires that annual or final reports of expenditures be submitted to NIH within 90 days from the end of the pertinent budget period or project period. However, there has never been any uniformly stated NIH guidelines or policy on the acceptance of revised annual or final reports. Grantee institutions from time to time submit revised reports months and sometimes even years after the initial annual or final reports of expenditures have been submitted to and processed by NIH. Often the report will relate to a grant which has been closed and the financial records purged from the DHEW Federal Assistance Financing System and the NIH Central Accounting System. In other cases the revised report may pertain to an early budget period in a still currently active grant where the previously reported actual balance has been used to partially fund a succeeding budget period within the project period. Under such circumstances, if a revised report claiming additional expenditures in the earlier budget period is processed, it results in an underfunding of the grant for the succeeding budget period. Through the collaborative review efforts of the NIH awarding units and the Division of Financial Management, NIH, many of the proposed revisions have been determined to be unreasonable and, accordingly, acceptance of the report has been denied. However, responding to the multiple requests from the grantee institutions - with great time variances involved - has been difficult and obviously has not been handled in any uniform fashion.
- D. POLICY
1. Annual or final reports of expenditures shall be submitted to NIH within 90 days from the end of the pertinent budget period.
 2. The NIH expects the grantee institution to maintain good and timely accounting records with the proper classification of expenditures. Through full utilization of the 90 days available for submission of the annual or final reports of expenditures, the grantee must make every effort to check and correct its records so that accurately filed initial reports will keep the requirement for later revisions to a minimum.

3. When the grantee detects an excessive claim on a previously submitted report of expenditures a revision must be submitted no matter how long the lapse of time.
4. When a revised report representing additional claims by the grantee is necessary, it should be submitted to NIH as promptly as possible and must be submitted with appropriate explanation no later than one year from the due date of the original report (15 months following termination date of the budget period).
5. NIH will not accept revised reports with additional claims by the grantee when these reports are received more than one year after the due date of the initial report. Only under the most exceptional circumstances will an NIH awarding unit give consideration to a deviation from this limitation.

E. IMPLEMENTING GUIDELINES

1. The Grants Section, Federal Assistance Accounting Branch, Division of Financial Management, NIH, in exercising its responsibility for receipt, processing, and auditing of all annual and final reports of expenditures will not accept revised reports with additional claims by the grantee unless the revised report is received within one year from the due date of the initial report.
2. In an exceptional case such as mentioned in D.5. above where the grantee submits a revised report beyond the allowed time period and provides a detailed explanation of special or extenuating circumstances, the Grants Section will forward the material to the appropriate awarding unit for its acceptance or recommendation. The awarding unit must take decisive action within 30 days and return the materials to the Grants Section to process the revised report or notify the grantee of nonacceptance.
3. For those revised reports of expenditures which indicate a balance due the Government and are submitted without regard to timing limitations, the Grants Section will review and audit the report and advise the grantee as to the necessary action. If the project period involved has been closed in a prior fiscal year, the grantee will be requested to submit a check for the overpayment. If the project period is still active or was closed within the current fiscal year, the grantee institution's account will be adjusted through the DHEW Federal Assistance Financing System (DFAFS).

F. EFFECTIVE DATE This policy is effective October 1, 1977.

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