

# NHGRI Guidelines for Administrative Supplements

## Background

An administrative supplement is an increment in funding to support research that is within the original scope of an active NIH research grant (parent grant). Principal investigators holding NIH research grants may request supplemental funds for two purposes:

- To provide funding to meet unanticipated costs not included in the previous competitive or non-competitive application, or
- To provide funding opportunities for special populations to enter or re-enter biomedical research.

NIH guidance and instructions for administrative supplements can be found in the funding opportunity announcement [PA-12-100](#).

## Important Caveats

A supplement that requests a change in scope may not be submitted as an administrative supplement. Instead, it must be submitted as a competitive supplement or a revision.

Administrative supplements may be submitted throughout the fiscal year, but should be requested at least 90 days prior to the anticipated need. Due to fiscal and system constraints, supplements are not awarded in the Oct-Nov timeframe.

Supplements submitted under PA-12-100 through the eRA Commons must be accompanied by written confirmation from the NHGRI program director stating that s/he will accept the application. Applications without such letters will not be considered and will be returned to the grantee.

Acceptance of a supplement application in the eRA Commons does not guarantee funding. Funding is contingent upon the availability of funds.

## Administrative Supplements to Meet Unanticipated Needs

Supplemental funds can be requested for emergency or other unforeseen situations which result in unforeseen costs, including:

- To follow up on unanticipated results or to enhance components of their research that have been unexpectedly productive
- To update equipment or methodologies that will significantly enhance productivity or efficiency
- Unexpected or increased costs of performing laboratory analyses
- Failure of essential equipment, and
- Natural or manmade disasters that damage the PI's lab or other research resources.

In order to be eligible for a supplement, the following conditions must be met:

- The grantee must have an active funded NHGRI grant and the proposed supplement **MUST** be within the general scope of the peer-reviewed activities and aims approved for the parent grant (See [Change in Scope](#) for more information).

- The grantee must be unable to pay for the requested item or resource by re-budgeting available funds.
- The parent grant's estimated unobligated balance for the budget period is generally less than 20% of the annual award.
- The grant must have a reasonable period of research support remaining at the time of the supplemental award (usually 1 year or more).
- The supplement must not be used to pay for increased costs due to an investigator's change of institution or promotion.

## Administrative Supplements for Special Populations

Supplement programs are used to offer laboratory experience to a wide array of individuals, including:

- High school students
- Undergraduate students in health-related sciences
- Underrepresented minorities
- Persons with disabilities, and
- Scientists re-entering the work force after taking time off for family responsibilities.

Individuals may receive support under these programs on only one grant at any given time, but may be supported by more than one grant during their research careers.

The following funding opportunities describe the specific conditions of the application:

- Research Supplements to Promote Re-Entry into Biomedical and Behavioral Research Careers ([PA-08-191](#))
- Research Supplements to Promote Diversity in Health-Related Research ([PA-08-190](#))

## How to Apply for Administrative Supplements

Before applying, Principal Investigators must:

1. Contact the program director associated with the parent grant to discuss eligibility, alignment with Institute expectations/priorities, and availability of funds, and
2. Receive written confirmation from the program director stating that s/he will accept the supplement for consideration.

### Electronic Applications

If the parent grant was submitted electronically, the supplement may be submitted electronically through grants.gov. Login to the [eRA Commons](#), identify the parent award, and prepare an administrative supplement request. View the [eRA Commons Administrative Supplement Module User Guide](#) for specific instructions.

### Paper Applications

If the parent grant was submitted in hard copy, the supplement may be submitted by email directly to the Program Director and the Grants Management Specialist for the parent grant. The supplement package must include the following:

1. **Written confirmation** from the NHGRI program director stating that the supplement will be accepted.
2. **Cover Letter** signed by the authorized organizational representative indicating that you are requesting an administrative supplement. The letter should include the following information:
  - Project Director/Principal Investigator (PD/PI) name
  - Parent grant number and title
  - Amount of the requested supplement – total costs
  - Name and title of the authorized institutional official, and
  - Phone, email, and address information for both the PD/PI and the institutional official.
3. **Grant Application Face Page:** PHS 398 Form Page 1 ([MS Word PDF](#)).
  - The title of the project (Box 1) should be the title of the parent award.
  - The PD/PI must be the same as the PD/PI on the parent award. For Multiple PD/PI parent awards, the Contact PD/PI must be the PD/PI listed on the supplement request.
4. **Project Summary:** PHS 398 Form Page 2 ([MS Word PDF](#)). The project summary is that of the administrative supplement, not of the parent grant.
5. **Progress Report Summary:** PHS 2590 Form Page 5 ([MS Word PDF](#)). This document is requested solely to confirm the status of Items A through E, as they pertain to the proposed supplement.
6. **Brief description of the supplement request** (not to exceed three pages), including:
  - The scope of the overall project
  - Specific need for the supplement
  - Anticipated contribution of the requested supplement to achieve or enhance the goals of the project
  - Description of the supplement's purpose, including research design/proposed scientific activities and methods and data analysis, and
  - Description of the relationship of the supplement request to the parent grant, including a summary of how the activities proposed in the supplement request fit within the scope/aims of the parent grant.
7. **Supplement budget and justification** that details the items requested, including:
  - Detailed Budget for Initial Budget Period, Direct Costs Only: PHS 398 Form Page 4 ([MS Word PDF](#))
  - Budget Summary: PHS 398 Form Page 5 ([MS Word PDF](#)), if applicable,
  - Facilities and Administrative costs, and
  - Justification for all personnel and their role(s) in this project.

Note that the budget should be appropriate for the work proposed in the supplement request. Applicants are encouraged to discuss budgets with their NHGRI program officer well in advance of submitting the supplement request. Modular budget pages will not be accepted even when the parent grant was funded as a modular grant.
8. **Biographical Sketch** for all new Senior/Key Personnel ([MS Word PDF](#)). Do not repeat information provided in the parent application.
9. **Human Subjects/Vertebrate Animal documentation.** Include a current Human Subjects/IRB or Vertebrate Animals/IACUC approval letter, if applicable. All appropriate IRB and IACUC approvals must be in place prior to a supplement award being made.
10. **Checklist Form:** PHS 398 ([MS Word PDF](#)).

## Review of Administrative Supplements

In general, requests for administrative supplements for NHGRI grant awards do not require evaluation by an initial peer review group but are subject to review and approval by NHGRI's program and grants

management staff. Administrative supplements may be subject to review by the National Advisory Council for Human Genome Research, if deemed appropriate.

## Inquiries

### Contact for general information on NHGRI's administrative supplements policy:

Bettie J. Graham, Ph.D.  
National Human Genome Research Institute  
National Institutes of Health  
Email: [bettie\\_graham@nih.gov](mailto:bettie_graham@nih.gov)

### Contact for availability of supplements to specific grants:

The PI must contact the program director listed in the Notice of Award.

### Contact for financial or grants management policy:

Ms. Cheryl Chick  
Grants Administration Branch  
National Human Genome Research Institute  
National Institutes of Health  
Email: [chickc@mail.nih.gov](mailto:chickc@mail.nih.gov)