

National Institutes of Health (NIH)
Federal Demonstration Partnership (FDP) IV
AGENCY SPECIFIC REQUIREMENTS
(MAY 2003)

NIH Home Page: <http://www.nih.gov/>
NIH Grants Policy Statement: <http://grants.nih.gov/grants/policy/nihgps/>
NIH Forms and Applications: <http://grants.nih.gov/grants/forms.htm>

I. Awards Covered by FDP T&Cs

A. NIH applies FDP terms and conditions to all NIH grants and cooperative agreements with the exception of automatic carryover. Automatic carryover authority will be indicated on the Notice of Grant Award (See II.A below).

B. For certain funding mechanisms, NIH has implemented streamlined requirements for progress report submission, the Notice of Grant Award (NGA), and financial reporting. Known as the Streamlined Noncompeting Award Process (SNAP), NIH routinely applies SNAP to most Research Project (R-series) awards (except R35s, R41s, and R43s), and Research Career (K-series) awards. NIH grantees are expected to follow the SNAP process for those awards that are issued under the SNAP, as indicated on the NGA. Agency-specific requirements listed below will indicate where differences exist between SNAP and non-SNAP grants. Additional information on SNAP can be found in the NIHGPS, Part II, "Streamlined Noncompeting Award Process," located at http://grants.nih.gov/grants/policy/nihgps_2001/part_ii_a_5.htm#_Toc504811857

II. Prior Approval Requirements Not Included in the General T&Cs

A. NIH prior approval may be required for carryover of unobligated balances on all P mechanisms except P01s,; cooperative agreements (U's); Institutional National Research Service Awards (T's); Phase I SBIR & STTR (R43, R41); clinical trials (regardless of mechanism) and awards to individuals. The NIH Notice of Grant Award will state whether prior approval is or is not required for carry over. [FDP Article III.A.25.(c).(4)]

B. NIH prior approval is required for Alterations and Renovations that exceed \$300,000. [FDP Articles III.A.27.(a).(1).(v), III.A.27.(b).(5). and III.A.27.(c).(4).]

C. Grantees are required to notify the awarding office of the transfer of a significant part of the research or substantive programmatic effort only when the transfer represents a change of scope unless the transfer is to a foreign entity. If the transfer is to a foreign entity, the awarding office must be notified in order to complete the appropriate administrative assurances. [FDP Article III.A.25.(b).(4)]

III. Allowable Direct Costs Aside from Those in A-21/A-122

The allowability of direct costs not specifically covered by the provisions of OMB Circulars A-21 or A-122 as appropriate shall be in accordance with the NIHGPS (rev. 3/01) or Department of Health and Human Services or NIH Guide announcements, if more current.

IV. Contact Information

A. Contact Information for Technical Matters

The NIH Scientific Program Official as identified on the Notice of Grant Award is responsible for the scientific monitoring of the research.

B. Contact Information for Administrative Matters

The NIH Grants Management Officers/Specialist as identified on the Notice of Grant Award is the official to be notified when required by the General Terms and Conditions.

C. Contact Information for Intellectual Property Matters [FDP Article III.B.36.(c)]

The NIH point of contact for intellectual property matters is:

Extramural Inventions and Technology Resources Branch
Office of Policy for Extramural Research Administration, NIH
6705 Rockledge Dr., Rm. 1136, MSC 7980
Bethesda, MD 20892-7980
Telephone: 301/435-1986

Inventions should be reported using Interagency Edison (located at <http://www.iedison.gov/>).

V. Revised Budget Requirements [FDP Article III.A.25.(d).(1)]

A. For grants awarded under SNAP, revised budget information should be submitted in a narrative format according to the instructions for SNAP on page 2 of the PHS 2590 (rev. 05/01).

B. For Non-SNAP awardees, revised budget information should be submitted according to the instructions for the Detailed Budget for Next Budget Period (Form Page 2) on page 5 of the PHS 2590 (rev. 05/01).

VI. Technical Reporting [FDP Article III.D.51(b)]

Both SNAP and non-SNAP awardees are to complete the progress report as detailed in the PHS 2590 (rev. 05/01). (See also VII. Incremental Funding Actions below.)

VII. Financial Reporting [FDP Article III.D.52]

A. Generally for SNAP awards, a Financial Status Report (FSR) is only required at the end of a competitive segment. It must be submitted within 90 days after the end of the competitive segment and must report the cumulative support awarded for the entire competitive segment. An FSR must be submitted at this time whether or not a competing continuation award is made.

B. For non-SNAP awards the FSR is required annually. The report must be submitted for each budget period no later than 90 days after the close of the budget period. The report must also cover any authorized extension in time of the budget period.

C. For grants eligible for automatic carryover, Financial Status Reports must specify the amount to be carried over to the next budget period. The notification must be provided under item 12, "Remarks," on the FSR.

D. If more frequent reporting is required, the NGA will specify both the frequency and due date.

E. FSRs should be submitted electronically to NIH. The contact person is Arlene Griesmer on 301-402-9123. FSRs may also be mailed to:

Government Accounting Branch
Office of Financial Management
National Institutes of Health
31 Center Drive, Room B1B05A, MSC 2050
Bethesda, MD 20892-2050

VIII. Incremental Funding Actions [FDP Article III.D.51]

A. The requirements for non-competing awards can be found in the PHS 2590 (rev. 5/01). Requirements vary slightly between SNAP and non-SNAP.

B. SNAP

1. Instructions for submitting SNAP progress reports are included in the PHS 2590 (rev. 05/01) under "Simplified Instructions" (page 2).
2. Research Career awardees that are issued under SNAP are to follow the application instructions for SNAP as noted above as well as the RCA instructions on page IV-1-2 of the PHS 2590 (rev. 05/01).
3. In lieu of an annual FSR, NIH will use the quarterly Federal Cash Transaction Report (FCTR, SF 272), submitted to the Payment Management System (PMS), to monitor the financial aspects of SNAP awards. An FSR is still required at the end of a competitive segment for SNAP awards (see Article 52, Financial Reporting).

C. Non-SNAP

1. Non-SNAP awardees (as indicated on the Notice of Grant Award) are to complete the application instructions as detailed in the PHS 2590 (rev. 05/01).
2. An FSR is required annually for non-SNAP awards (see Article 52, Financial Reporting).

IX. AGENCY SPECIFIC REQUIREMENTS RELATED TO ARTICLES IN THE GENERAL TERMS AND CONDITIONS

Part II Subpart B of the NIHGPS (rev. 3/01) includes additional policy guidance as well as terms and conditions that vary from standard terms and conditions because of the type of grant, grantee, or grant-supported activity. These terms and conditions may apply in addition to or in lieu of, those in the FDP Terms and Conditions. Each section of Part II Subpart B of the NIHGPS specifies how the coverage relates to Section II Subpart A of the NIHGPS (3/01), and consequently to the FDP Terms and Conditions.

Part II Subpart B includes:

1. Construction Grants:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_1.htm#_Toc504811902
2. 2) National Research Service Awards (Individual and Institutional):
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_3.htm#_Toc504811956
3. Modular Applications and Awards:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_6.htm#_Toc504812146
4. Conference Grants:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_6.htm#_Toc504812156
5. Consortium Agreements:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_6.htm#_Toc504812171
6. Awards to Foreign Institutions, International Organizations and Domestic Grants with Foreign Components:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_7.htm#_Toc504812184
7. Grants to Federal Institutions and Payments to (or on behalf of) Federal Employees Under Grants:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_7.htm#_Toc504812197
8. Grants to For-Profit Organizations:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_7.htm#_Toc504812208
9. Research Patient Care Costs:
http://grants.nih.gov/grants/policy/nihgps_2001/part_iib_8.htm#_Toc504812231

The Office of Policy for Extramural Research Administration (OPERA) is responsible for developing and maintaining the NIH GPS. Interim changes to NIH grants policy will be published in the NIH Guide. Each change will be described, including its applicability and effective date.