

National Institutes of Health (NIH)
Federal Demonstration Partnership (FDP) Phase IV
AGENCY SPECIFIC REQUIREMENTS
(October 2002)

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>

Awards Covered by FDP T&Cs

NIH applies FDP terms and conditions to all NIH grant awards with the exception of automatic carryover. Automatic carryover authority will be indicated on the Notice of Grant Award.

Prior Approval Requirements Not Included in the General T&Cs

NIH prior approval is required for carryover of unobligated balances on all P mechanisms except P01s, cooperative agreements (U's); National Research Service Awards (T's and F's); Phase I SBIR & STTR (R43, R41); clinical trials (regardless of mechanism) and awards to individuals.

Grantees are required to notify the awarding office if the project will incur patient care costs not previously approved by NIH, or if a change in scope results in the need to rebudget additional funds into the patient care category.

NIH prior approval is required for Alterations and Renovations that exceed \$300,000.

NIH will review carryforward estimates that exceed 25% of the total award.

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. In those cases the awarding office must be notified in order to complete the appropriate administrative assurances.

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.

Unallowable Direct Costs Aside from Those in A-21/A-122

As stated, 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 (10/98) or Department of Health and Human Services or NIH Guide announcements, if more current

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

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.

Contact Information for Intellectual Property Matters

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/>).

Revised Budget Requirements

Streamlined Noncompeting Award Process (SNAP) awardees are to submit revised budget information in a narrative format according to the instructions for SNAP on page 2 of the PHS 2590 (rev. 05/01). Non-SNAP awardees are to submit revised budget information 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).

Technical Reporting

Both SNAP and non-SNAP awardees are to complete the progress report as detailed in the PHS 2590 (rev. 05/01).

Financial Reporting

A Financial Status Report (FSR) is required at the end of a competitive segment for SNAP awards. 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.

An FSR is required annually for non-SNAP awards. 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.

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.

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

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

Incremental Funding Actions

The requirements for non-competing awards can be found in the PHS 2590 (rev. 4/98).

NIH grantees are expected to follow the SNAP process for FDP awards except Program Project Grants (P01s) and Outstanding Investigator Grants (R35s), and any award issued under the SNAP process as indicated on the Notice of Grant Award. Instructions for submitting SNAP are included in the PHS 2590 (rev. 05/01) under "Simplified Instructions" (page 2). Additionally, 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). 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 required at the end of a competitive segment for SNAP awards (see Article 10, Financial Reporting). Additional information on SNAP can be found in the NIHGPS, Part II.

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). An FSR is required annually for non-SNAP awards (see Article 10, Financial Reporting).

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

Part II, Subpart B of the NIHGPS (rev. 3/01) includes 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 the NIHGPS (rev. 3/01), and consequently to the FDP Terms and Conditions. The Office of Policy for Extramural Research Administration (OPERA) is responsible for developing and maintaining this document. Interim changes will be published in the NIH Guide. Each change will be described, including its applicability and effective date.