

# NCRR Announces the Availability of Recovery Act Funds for Administrative Supplements

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## Catalog of Federal Domestic Assistance Number(s)

93.701, 93.702

## Key Dates

Release Date: March 19, 2009

Receipt Date: May 18, 2009

**(NIH administrative supplements use paper PHS398 application forms.)**

## Issued by

National Center for Research Resources (NCRR) <http://www.ncrr.nih.gov>

## Purpose

The National Institutes of Health (NIH) announces the opportunity for investigators and United States institutions/organizations with active NIH Research Grants to request administrative supplements for the purpose of accelerating the tempo of scientific research on active grants. Support for these supplements will come from funds provided to NIH through the American Recovery and Reinvestment Act of 2009 ("Recovery Act" or "ARRA"), Public Law 111-5. Consistent with the intent of the Recovery Act, the purpose of this program is to promote job creation and economic development along with accelerating the pace and achievement of scientific research.

This NCRR Administrative Supplement Overview describes the NCRR specific areas of interest, process for submitting requests, and selection criteria.

## Background

The Recovery Act was signed into law on February 17, 2009 with the purpose of stimulating the American economy through job preservation and creation, infrastructure investment, energy efficiency and science, and other means. The Recovery Act provides NIH with up to \$10.4 billion to be obligated over two years for a variety of biomedical research and research support activities. This administrative supplement opportunity is one part of the overall NIH Recovery Act investment strategy, as described at [www.nih.gov/recovery](http://www.nih.gov/recovery).

## Areas of Interest

NCCR is actively engaged in supporting the continuum of biomedical research, from technology development to resource and infrastructure to translational research to community engagement. The NCCR supports the ARRA by preserving and creating jobs through building research and resource capacity, partnerships, and innovative biomedical research activities. It is expected that the ARRA funds provided by the NCCR to the research community will provide needed investment to stimulate the economy through spurring technological / methodological advances in science and health.

These funding opportunities will allow NCCR grantees to foster innovative research, training, outreach, and partnerships. The impact is expected to extend beyond the immediate applicant who receives funds.

In alignment with the NCCR Strategic Plan, NCCR is accepting applications for Administrative Supplements, a Revision Award (formally referred to as Competitive Supplements), and an RFA for new research grants. Information about all of these programs can be found at <http://www.ncrr.nih.gov/recovery>.

In accordance with the American Recovery and Reinvestment Act additional reporting requirements are expected with the conduct of research under these administrative supplements. Grantees must comply with the requirements set forth in the Recovery Act, including, but not limited to, the quarterly reporting requirements of Section 1512 of the Recovery Act as specified in HHS Standard Terms and Conditions for American Recovery and Reinvestment Act of 2009. The full text of these terms approved for NIH awards can be found in the following document: [Standard Terms and Conditions for ARRA Awards](#). Recovery Act-related reporting requirements will be incorporated as a special term of award.

The NCCR Administrative Supplement Applications due date is **May 18, 2009**. Additional receipt dates will be at the discretion of NCCR.

A variety of different types of projects are likely to be considered responsive to this solicitation; however, projects must be well thought out with achievable and defined timelines and deliverables, specified personnel, and a justified budget. High priority will be given to highly focused projects that are consistent with NCCR's goals and are innovative, creative, and transformative even if risky. Sub-awards (sub-contracts or sub-grants) are allowed.

### Administrative Supplement Topics

#### I. Advance Basic and Translational Research and Collaborations

To increase the return on investment, translational research administrative supplements will create innovative research activities that will enhance collaborations, technologies or methodologies, approaches, resources, or capacity to facilitate the continuum of translational research. These supplements will bring

together expertise, infrastructure, and resources for research projects that will enhance translational research, from discovery to clinical/community adoption.

- [Advance Translational \(T1 & T2\) Research](#)
- [Enhancing NCRR Pilot Project Mechanism](#)
- [CTSA Consortium Strategic Goals](#)

## II. Collaborative Community Engagement Research

Community engagement and community-based participatory research programs are central to the success of public health translation. This initiative provides support for collaborations between community health groups and two or more NCRR-awardee institutions, which will mutually benefit from partnership.

- [Collaborative Community Engagement Research](#)

## III. Research Workforce Training, and Science Education and Dissemination

This initiative will provide new training opportunities to the next generation of clinical and translational scientists through support for innovative and novel activities that will enhance skills essential to conduct clinical and translational research. Preference will be given to activities whose educational impact extend, or can be disseminated beyond, the awardee institution.

- [Research Workforce Development and Dissemination](#)
- [Science Education and Dissemination](#)

## Eligibility

This announcement is for supplements to domestic (US) NCRR-supported grants. The Principal Investigator of the Supplement Request must be the PI named on an NCRR award. Funding will be restricted to the proposed project. Some types of awards from NCRR (for example S10 awards and many R21 awards) are not eligible for administrative supplements. Questions about eligibility should be addressed to the program officer or the grants management specialist for the award.

To be eligible, the parent grant must be active and the research/scientific activities proposed in the supplement must be accomplished within the current competitive segment. For example, if the parent award expires on September 30, 2010 the work proposed in the supplement must be complete by that time. The proposed supplement MUST be within the general scope of the peer-reviewed activities and aims approved within the parent grant, including projects on a no-cost extension; while supplemental funds may be awarded to grants during a no-cost extension, the period of support cannot extend beyond the award period for the additional time that was granted. Note that while NIH recommends that a no-cost extension already be in place **before** an

administrative supplement request is submitted, this is not a requirement for all administrative supplement requests.

There is no limit on the number of applications a single awardee institution may submit, however, only one Administrative Supplement may be submitted per parent grant under Enhancing NCRR Pilot Project Mechanism, one under the CTSA Consortium Strategic Goals, one under Collaborative Community Engagement Research, and one under Science Education and Dissemination Topic Areas. In addition, up to two Administrative Supplements may be submitted to the Collaborative Basic and Translational Research and two to the Research Workforce Development and Dissemination Topic Areas.

NIH encourages the participation of individuals from racial and ethnic groups underrepresented in biomedical and behavioral research, individuals with disabilities and individuals from disadvantaged backgrounds.

Applications from foreign institutions are not permitted. Consistent with the goals of the Recovery Act to preserve and create jobs and promote economic recovery in the United States, applicants must be domestic (United States) institutions/organizations (i.e., located in the 50 states, territories and possessions of the United States, Commonwealth of Puerto Rico, Trust Territory of the Pacific Islands, or District of Columbia). In addition, domestic U.S. institutions planning to submit supplement requests that include foreign components should be aware that requested funding for any foreign components should not exceed 10% of the total requested direct costs or \$25,000 per year (per subcontract/subaward or in aggregate for multiple subcontracts/subawards), whichever is less.

**IMPORTANT:** The funds requested by the NIH grantee in the supplement application must be within the general scope of the peer-reviewed activities and aims approved within the parent grant. A request to support new research objectives and aims that are outside of the scope of the approved parent grant (e.g., inclusion of new human subjects or animal studies that were not part of the parent grant) are not appropriate under an administrative supplement.

The funding method being used to support this program, administrative supplements, can be used to cover cost increases that are associated with increasing the tempo of scientific research funded under the parent grant and/or achieving certain new research objectives as long as they are within the scope of the parent project. Some examples of the types of supplements that could be appropriate include, but are not limited to, hiring additional personnel or funding investments in equipment and technology to leverage the goals of the project or to enhance energy efficiency of the conduct of the project. Any cost increases need to result from making modifications to the parent project in order to take advantage of opportunities that would increase the value of the project consistent with its originally approved objectives and purposes or to accelerate the tempo of scientific research/scientific activities. NIH will not consider requests which are solely to restore previously applied budget adjustments to a project nor to supplant institutional commitments supporting individuals and other costs previously committed to projects.

## Preparing an Administrative Supplement Request

Requests under this notice should use the PHS 398 forms (rev. 11/2007; available at: <http://grants1.nih.gov/grants/funding/phs398/phs398.html>) and include the following elements in the request packet. Font size restrictions apply as designated within the PHS398 instructions.

1) **Cover Letter** - Specify a request for a Recovery Act Administrative Supplement, including the following information:

- Project Director/Principal Investigator (PD/PI) name
- Parent grant number and title
- The NCRR Administrative Supplement Topic Area
- Amount of the requested supplement
- Name and title of the authorized institutional official, and
- Phone, email, and address information for both the PD/PI and the institutional official.
- If the project is a linked collaborative project between 2 or more grantees, list PD/PI name, grant number and title of linked applications.
- The cover letter must be signed by the authorized organizational representative.

2) **PHS 398 Form Page 1** (Face page) [MS Word](#) [PDF](#)

- The title of the project (Box 1) should be the title of the parent award.
- This Notice should be cited in Box 2, and the “yes” box should be checked.
- Use the following text depending on what sort of supplement you are applying for:
  - NCRR ARRA Supplement – Community Engagement
  - NCRR ARRA Supplement – CTSA
  - NCRR ARRA Supplement – Pilot Project
  - NCRR ARRA Supplement – Science Education
  - NCRR ARRA Supplement – Translational
  - NCRR ARRA Supplement – Workforce Development
- The Project Director/Principal Investigator (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. Administrative supplements cannot change the Multiple PD/PI team or convert a grant from a single PD/PI to a multiple PD/PI grant.
- The remaining items on the face page should be filled out in accordance with the PHS 398 application instructions.

3) **PHS 398 Form page 2** [MS Word](#) [PDF](#)

Note: The project “summary” is that of the administrative supplement, not the parent grant. All other information requested on Form Page 2 should be provided.

4) **A brief proposal describing the project** (with parts 4a and 4b not exceeding **five pages**), **should include:**

- a. **An introduction that clearly states the scope of the overall project and the anticipated contribution of the requested supplement.** Summarize the activities that were included in the parent grant that encompass those proposed in the supplemental request. This section should include a description of the supplement’s purpose, including research design/proposed scientific activities and methods and data analysis. Describe the relationship of the supplement request to the parent grant. The specific aim(s) in the parent award that the proposed work falls under must be clearly stated. If a linked collaborative project is proposed, describe the linkages, role in collaboration, and the overall goal of the collaborative project.
- b. **The research project plan should discuss how the supplement will accelerate the tempo of scientific research and/or allow for job creation and retention.** In order to ensure that all expenditures in support of an administrative supplement advance the objectives of the Recovery Act, all applications must address Recovery Act justifications, including how the supplement is expected to stimulate the economy by:
  - i. Enabling hiring of additional staff;
  - ii. Enabling increased hours of current part-time staff;
  - iii. Procuring additional needed equipment (costing under \$100,000); and/or
  - iv. Recruiting for additional needed skills.
- c. **Budget for the supplement with a justification that details the items requested, including Facilities and Administrative costs and a justification for all personnel and their role(s) in this project.** Note the budget should be appropriate for the work proposed in the supplement request. Applicants are encouraged to discuss budgets with their NIH Program Officer. To meet the various transparency, accountability, and reporting requirements of Recovery Act, all applications under this notice must include detailed budgets on the PHS 398 Form Pages 4 ([MS Word PDF](#)) and 5 ([MS Word PDF](#)). Modular budget pages will not be accepted even when the parent grant was funded as a modular grant. See [Budget and Funding Information](#) below for additional information.
- d. **Biographical Sketch for all new Senior/Key Personnel.** There is no need to repeat information previously provided for other Senior/Key Personnel. [MS Word PDF](#)

- e. **Human Subjects/Vertebrate Animal documentation** (if applicable). Include a current Human Subjects/IRB or Vertebrate Animals/IACUC approval letter, if applicable. Otherwise, this letter will be required at time of funding. All appropriate IRB and IACUC approvals must be in place prior to a supplement award being made.

No significant changes in the approved use of human subjects or vertebrate animals will be considered for administrative supplements.

- f. **PHS 398 Checklist Form** [MS Word](#) [PDF](#)

## Selection Factors

Administrative supplement requests will be reviewed administratively by NIH Program and Grants Management staff with expertise relevant to the supplement request. Awards will be determined on the basis of the merit of the supplement request, its applicability to the goals of the Recovery Act, and the availability of funds.

Selection factors will include the following:

- Relevance of the proposed activities to the parent grant and determination that the proposed activities are within the existing peer-reviewed and approved scope of the project.
- Adequate progress of the parent grant appropriate to the current stage of the project.
- Appropriate and well-described plan to accomplish the goals within the timeframe proposed.
- Expertise of the research/scientific team proposed to conduct and achieve the goals of the supplemental study or accelerate the tempo of scientific research.
- Appropriateness of the request to achieve Recovery Act goals in promoting job creation, economic development, and accelerating the pace and achievement of scientific research.
- The relevance to the aims of the ARRA goals, the Administrative Supplement defined areas, and the NCRR Strategic Priorities.
- Geographical, programmatic, and strategic balance of awards

While geographic variation will be considered in awarding Recovery Act funding, a proposal's scientific merit will always be the prevailing criterion.

## Budget and Funding Information

Funding for administrative supplements to existing grants will be available from Recovery Act funds in FY2009 and FY2010. Due to the limited nature of Recovery Act funds, applicants requesting multiple year funding in FY2009 may only request funding for FY 2009 and FY 2010, and it is anticipated that supplement funding will be awarded within a short period after receipt of the supplement request. Requests selected for funding in FY2010 will be limited to one year for the budget and project period.

In addition, domestic U.S. institutions planning to submit supplement requests that include foreign components should be aware that requested funding for any foreign components should not exceed 10% of the total requested direct costs or \$25,000 per year (per subcontract/subaward or in aggregate for multiple subcontracts/subawards), whichever is less.

## How to Apply

To be considered for an administrative supplement, submit a request to NCRR, **not to the Division of Receipt and Referral, NIH Center for Scientific Review**. Applications must be signed by the authorized institutional official and submitted to the appropriate IC Grants Management Specialist (referenced in the “Inquiries” section below). Applicants are strongly encouraged to submit applications electronically as an e-mail attachment in PDF format; however the signature of the institutional official must be clearly visible. Applicants may also submit applications in paper format as described below.

Submit the administrative supplement (with original signatures of the authorized business official) at [supplements.ncrr.nih.gov](http://supplements.ncrr.nih.gov).

Paper applications are strongly discouraged, but may be sent to

Kemberly Boddie  
National Center for Research Resources  
National Institutes of Health  
Room 965  
6701 Democracy Blvd., MSC 4874  
Bethesda, MD 20892-4874 (use 20817 for express shipments)  
Phone: 301-451-7849  
Fax : 301-480-3659  
E-mail: [boddiek@mail.nih.gov](mailto:boddiek@mail.nih.gov)

Do NOT send both an electronic and a paper version of the same administrative supplement.

## Terms of Award

A formal notification in the form of a Notice of Award (NoA) will be provided to the grantee organization. The NoA signed by the grants management officer is the authorizing document. Once all administrative and programmatic issues have been resolved, the NoA will be generated via email notification from the awarding component to the grantee business official.

*The terms of the NoA will reference the requirements of the Recovery Act.*

In addition to the standard NIH terms of award, all funding provided under the Recovery Act will be subject to the HHS Standard Terms and Conditions for American Recovery and Reinvestment Act of 2009 (Recovery Act or

ARRA). The full text of these terms approved for NIH awards can be found in the following document: [Standard Terms and Conditions for ARRA Awards](#).

Selection of an application for award is not an authorization to begin performance. Any costs incurred before receipt of the NoA are at the recipient's risk. These costs may be reimbursed only to the extent considered allowable pre-award costs.

## **Administrative and National Policy Requirements**

A Program Official from one or more of the participating NIH Institutes and Centers will be assigned to each funded application and will assume responsibility for normal stewardship of the awards.

All NIH grant and cooperative agreement awards include the NIH Grants Policy Statement as part of the NoA. For these terms of award, see the [NIH Grants Policy Statement Part II: Terms and Conditions of NIH Grant Awards, Subpart A: General](#) and NIH Grants Policy Statement [Part II: Terms and Conditions of NIH Grant Awards, Subpart B: Terms and Conditions for Specific Types of Grants, Grantees, and Activities](#).

In addition, recipients of Recovery Act funds are reminded that such funds must be separately tracked and monitored independently of any non-Recovery Act funding.

## **Reporting**

Awarded administrative supplements that include a commitment for funding in FY2010 will be required to submit a separate [Non-Competing Continuation Grant Progress Report \(PHS 2590\)](#) and financial statement as required in the [NIH Grants Policy Statement](#). This will be in addition to any annual progress report required for the parent grant. The funded Recovery Act administrative supplement will also require separate closeout reports.

In addition, grantees must comply with the requirements set forth in the Recovery Act, including, but not limited to, the quarterly reporting requirements of Section 1512 of the Recovery Act as specified in HHS Standard Terms and Conditions for American Recovery and Reinvestment Act of 2009. The full text of these terms approved for NIH awards can be found at the following document: [Standard Terms and Conditions for AARA Awards](#).

Recovery Act-related reporting requirements will be incorporated as a special term of award.

## **Inquiries**

For scientific or technical questions relating to research that would be supported by this solicitation, contact the Program Officer assigned to the parent grant. For administrative questions related to this solicitation, contact the Grants Management Specialist noted on the Notice of Award for the parent grant. Inquiries and discussion of plans for responding to this Notice are strongly encouraged.