

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.

Important Caveats

Every supplement must be accompanied by written confirmation from the NHGRI program director stating that s/he will accept the application. This must be included in all supplements submitted to NHGRI for consideration. Applications without such letters will not be considered and will be returned to the grantee.

Acceptance of a supplement does not guarantee funding; funding is contingent upon the availability of funds.

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.

A supplement that requests a change in scope must be submitted as a competitive supplement or a revision.

Administrative Supplements to Meet Unanticipated Needs

Supplemental funds can be requested for emergency or other unforeseen situations which result in unforeseen costs, such as update equipment or methodologies that will significantly enhance productivity or efficiency, failure of essential equipment, unexpected or increased costs of performing laboratory analyses, to follow up on unanticipated results or to enhance components of their research that have been unexpectedly productive, natural or manmade disasters that damage the PI's lab or other research resources, etc.

These requests must be within the scope of research proposed and reviewed in the parent grant.

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 [What Constitutes a Change in Scope](#) for more information).
- The grantee must be unable to pay for the requested item or resource by rebudgeting 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, scientists re-entering the work force after taking time off for family responsibilities, etc. Individuals may receive support under these programs on only one grant at any 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

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. The funding opportunity announcement can be found: <http://grants.nih.gov/grants/guide/pa-files/PA-12-100.html>.

Paper Applications. If the parent grant was submitted in hard copy, the supplement must be submitted electronically directly to the program director and the grants management specialist for the parent grant. The supplement package must include the following:

1. **Cover Letter- from 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 content of 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. **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.
 - 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.
 - The remaining items on the face page should be filled out in accordance with the PHS 398 application instructions.
4. **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.

5. **PHS 2590 Form Page 5:** [MS Word](#) (47 KB) Note: This document is requested solely to confirm the status of Items A through E, as they pertain to the proposed supplement.
6. **A brief description of the supplement request, including:**
 - Scope of the overall project, the specific need for the supplement, and the anticipated contribution of the requested supplement to achieve or enhance the goals of the project (not to exceed three pages). 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. Specifically, summarize how the activities proposed in the supplement request fit within the scope/aims of the parent grant.
 - 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 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. All supplement requests must include detailed budgets on the **PHS 398 Form Page 4** ([MS Word PDF](#)) and **Form Page 5** ([MS Word PDF](#)) if applicable. Modular budget pages will not be accepted even when the parent grant was funded as a modular grant.
 - Biographical Sketch for all new Senior/Key Personnel. Do not repeat information provided in the parent application. [MS Word PDF](#)
 - 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 the time of funding. All appropriate IRB and IACUC approvals must be in place prior to a supplement award being made.
7. **PHS 398 Checklist Form** [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

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: chick@mail.nih.gov

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