

## MEMORANDUM

To: Medical Center Deans, Chairs, Directors, Principal Investigators and Department Administrators

From: David S. Guzick, M.D., Ph.D., Dean of the School of Medicine and Dentistry  
Thomas A. Pearson, M.D., Ph.D., Senior Associate Dean for Clinical Research

Date: May 27, 2003

**Re: Other Support Information for Grant Applications**

In February, NIH issued a reminder in the *NIH Guide* on the requirement to submit complete and up-to-date other support information before an award can be made (see <http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-03-029.html>). NIH defines other support to include “all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual’s research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards”. (Training awards, prizes, or gifts are not included.) This reminder also states that NIH staff will continue to monitor changes to other support information throughout the project period as part of the annual progress reviews.

NIH has further indicated that it expects that Principal Investigators will list their active industry-funded clinical studies on current and pending support information. Given the uncertainty of enrollment and what the precise level of dedicated effort will be on any given study, NIH has agreed that it is appropriate to list an aggregate level of effort for an individual’s industry-supported clinical studies, provided that the aggregated effort is no greater than 10%. In other words, each individual study sponsor and study must be listed, but it is acceptable to include a statement such as: “*In addition to the grants listed above, Dr. Guzick is involved in clinical trials at the University of Rochester. Dr. Guzick has evaluated his clinical study obligations and confirms that the aggregated effort on all trials listed below does not exceed 5% (or other level effort no greater than 10%).*” If the aggregated effort is greater than 10%, then the effort must be delineated for each individual industry-supported study.

It is our understanding that the NIH Grants Policy Manual will be revised to clarify NIH’s expectation. However, given the increased scrutiny that the federal audit community is giving to matters related to effort, we will be implementing this guidance immediately. Should you have any questions, please contact Gunta Lidars, Director, Office of Research and Project Administration at x5-5373 or [gunta.lidars@rochester.edu](mailto:gunta.lidars@rochester.edu).

Thank you for your adherence in this matter.

