

NIH GUIDE

for GRANTS and CONTRACTS

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

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PREDOCTORAL AND POSTDOCTORAL TRAINEE AND FELLOWSHIP SUPPORT

POLICY

1. PURPOSE This issuance states the policy concerning financial support of predoctoral and postdoctoral individuals for training in biomedical and health-related research, implementing for NIH the PHS Grants Administration Manual Chapter 3-140 of the same title. It supplements and in part reiterates *NIH GUIDE FOR GRANTS AND CONTRACTS*, Vol. 3, No. 15, October 15, 1974, and Vol. 3, No. 20, December 13, 1974.

2. BACKGROUND For many years the NIH has provided support for research training through both the training grant and fellowship mechanisms to predoctoral, postdoctoral, and special fellows. In March 1973, as a reflection of the FY 1974 budget, the decision to terminate research training programs was announced in the *NIH GUIDE*, Vol. 2, No. 1. The phase-out plan provided that although no new training programs would be started (unless a firm commitment was made prior to January 29, 1973), existing commitments to individuals in training status supported through these programs would be honored. These programs, thus being phased out, are characterized as the "old" training grant and fellowship programs.

In November 1973, the *NIH GUIDE*, Vol. 2, No. 10, announced the availability of a new research manpower program for support of postdoctoral trainees and fellows. This is called the "Weinberger Program", bears F-22 and T-22 program codes, and also is being phased out with existing commitments to be honored.

On July 12, 1974, Public Law 93-348 was enacted providing the legislative authority for NIH and Alcohol, Drug Abuse, and Mental Health Administration to make National Research Service Awards (NRSA) for predoctoral and postdoctoral training. In FY 1975, NIH will provide individual NRSA's (F-32's) to postdoctoral fellows selected through review at the NIH, and institutional NRSA's (T-32's) for support of predoctoral and postdoctoral trainees to be selected by the program director at the approved grantee institution.

As a result of these actions, the NIH at the present has three separate training programs - the "old" and "Weinberger" programs which are accepting no new applications and are being systematically phased out and the NRSA's which will be awarded for the first time from FY 1975 funds. With stated exceptions, this issuance will make the policies concerning stipends and other trainee and fellowship support uniform among the three programs mentioned above.

The GUIDE is published at irregular intervals to provide policy and administrative information to individuals and organizations who need to be kept informed of requirements and changes in grants and contracts activities administered by the National Institutes of Health.

Supplements, printed on yellow paper, are published by the respective awarding units concerning new projects, solicitations of sources, and requests for proposals.

3. APPLICABILITY This policy is applicable to all new and continuation awards (grants and fellowships) with start dates on or after May 1, 1975. This includes "old" training grants and fellowships, T-22 and F-22 awards, and the National Research Service Awards, T-32 and F-32.

4. POLICY

a. Stipend levels

(1) Predotorals

The stipend level for each full-time predoctoral fellow or trainee shall be \$3,900 per annum. (See (4) below).

(2) Postdoctorals

Stipend levels for each full-time postdoctoral fellow or trainee will be determined by the number of years of relevant postdoctoral experience at the time of award. Research experience (including industrial), teaching, internship, residency, etc., may be considered relevant experience. (See (4) below).

Years of Relevant Experience at Entry	Y E A R O F A W A R D		
	1st Year	2nd Year	3rd Year
0	\$10,000	\$10,400	\$10,800
1	10,800	11,200	11,600
2	11,500	11,900	12,300
3	12,200	12,600	13,000
4	12,800	13,200	13,600
5 or more	13,200	13,600	14,000

(3) No departure from the standard stipend levels in (1) and (2) may be negotiated by the institution with the trainee. Institutions may supplement stipends from institutional resources; however, no supplementation may be provided from Federal funds unless the program from which the supplemental funds are derived explicitly permits their use for this purpose.

(4) Exceptions

In no case will the stipend levels under (1) and (2) result in reduction of a currently held stipend (plus dependency allowance) for a particular trainee or fellow who is now receiving support from an award with continuation years. Trainees receiving a higher amount (stipend, plus up to \$600 per eligible dependent) should continue to receive support at their current level until the end of their training commitment under the award from which they presently receive support.

b. Dependency allowance

There is no allowance provided for dependents.

c. Allowable costs

(1) Institutional awards (Training grants)

The following costs may be requested and authorized under institutional awards:

(a) Stipends

(b) Tuition and related fees

These may be charged for trainees supported under the grant, but only to the extent that the same tuition and fees are charged to regular non-Federally supported students.

(c) Trainee travel

- 1) The NIH may provide the cost of trainee travel including attendance at scientific meetings which are held during the period of training and which the institution determines to be necessary to the individual's training need.
- 2) Where the approved training is to be at a foreign site, the awarding unit may authorize the cost of a single round trip economy or coach ticket to the training site.
- 3) The grantee institution may authorize the use of available travel funds for the cost of travel between the trainee's place of residence and the training institution but only in cases of extreme need or hardship for the individual trainee.

(d) Actual indirect costs or 8% of allowable direct costs, whichever is less.

Indirect costs will not be allowed on direct costs for tuition and related fees, alterations and renovations, and patient care costs.

Grants to State and local government agencies will permit a full indirect cost allowance.

(e) Related institutional costs

The applicant institution may request up to 25% of the total award (direct plus indirect) for related training costs such as personnel, equipment, research supplies, staff travel, etc.

For the applications and institutional awards made on or prior to July 1, 1975, each postdoctoral trainee was limited to an additional \$1,000 flat allowance to be used for tuition, fees, and travel. Type 5 applications for all non-competing continuation years will instruct the grantee institution to request and provide justification for actual tuition, fees, and travel costs needed for each postdoctoral, as well as predoctoral, trainee.

(2) Individual awards (Fellowships)

(a) Individual awards may include the following:

- 1) Stipend
- 2) Institutional allowance

If the sponsoring institution is a Federal institution, a \$1,000 allowance for each trainee will be allowed to cover cost of scientific meeting travel and medical insurance.

A non-Federal sponsoring institution will be provided upon request with an institutional allowance of up to \$3,000 for each fellow. The \$3,000 allowance is made available to the institution to help defray such expenses for the particular fellow as tuition and fees, research supplies, equipment, medical insurance, travel to scientific meetings, and to otherwise offset, insofar as possible, appropriate administrative and other costs of graduate training in the health sciences.

The sponsoring institution shall be entitled to the full allowance upon official activation of the award, except that if an individual fellow is not enrolled or engaged in training for more than 6 months of the year of support for which the award was made, one-half of the allowance must be refunded to the NIH.

3) Trainee travel

The grantee institution may in cases of extreme need or hardship of an individual trainee use funds from the institutional allowance to cover the cost of travel between the trainee's residence and the training institution. Awards for training at a foreign site may include the cost of a single round trip economy or coach ticket to the site.

d. Supplementation

- (1) Supplementation is the provision of funds by the institution to a trainee in addition to the stipend amount provided by the NIH institutional or individual award.

Institutions are expected to testablish formal policies and guidelines governing supplementation and to ensure that they are consistently applied.

- (2) Institutions may supplement stipends from institutional resources. However, no supplementation may be provided from Federal funds unless the program or Agency from which the supplemental funds are derived explicitly permits their use for this purpose.
- (3) The conditions for receiving the additional stipend amount must be designed (1) to avoid imposition of service or teaching requirements which would detract from or prolong training, and (2) to prevent the use of supplementation for recruitment of trainees.

e. Concurrent benefits

Stipends under NIH's individual or institutional awards may not be received concurrently with any other Federal educational award (fellowship, traineeship, etc.), except that eligible trainees may accept concurrent educational remuneration from the Veterans Administration (e.g. G.I. Bill) and loans from Federal funds.

f. Rebudgeting

Funds awarded in an institutional grant for trainee costs (stipends, tuition, and fees) may not be rebudgeted out of that category without prior approval of the NIH awarding unit.

RELEASE OF INFORMATION BY
NIH OF RESEARCH AND RESEARCH
TRAINING GRANT RECORDS

POLICY CHANGE

1. PURPOSE AND SCOPE This issuance informs all grantees receiving NIH research and research training grant support and all applicants for such support of the amended policies regulating the release of information and records pertaining to such support and such applications for support. All statements of NIH policy regarding the release of NIH records pertaining to research and research training grants, including those statements specifically set forth in (1) research and research training grant application forms and instructions and (2) NIH Grants Policy Guide issuances No. 2, June 19, 1970, pages 3-4; No. 3, August 14, 1970, pages 3-4; and other pertinent statements which are in conflict with the provisions of this issuance are hereby rescinded and superseded.

2. BACKGROUND The Freedom of Information Act, as amended (5 U.S.C. 552), and associated public information regulations of the Department of Health, Education, and Welfare (45 CFR Part 5) as amended May 1, 1975, require the release of certain NIH records upon request from any member of the public. The provisions of the Act and of the HEW regulations regarding release of certain grant records have been amplified and clarified by recent court decisions. The effects of those decisions are reflected in this issuance.

3. RELEASE OF INFORMATION

a. Release of information by NIH

The National Institutes of Health makes available periodically to members of the press and other interested persons a list of research grants and research training grants awarded in the preceding month. Information made available includes the title of the project, name of the principal investigator, grantee institution, and the amount of the award.

(1) Applicability

Except as provided in paragraph (2) below, NIH documents and records listed below shall be released to anyone requesting such information:

- (a) Approved initial applications. This is an application for a new grant for which a Notice of Grant Awarded has been issued.
- (b) Approved, disapproved, and pending continuation, renewal, and supplemental applications incident to an approved initial application.

- (c) Notices of Grant Awarded.
 - (d) Progress Reports.
 - (e) Reports of Expenditures.
 - (f) Audit and survey reports which have been transmitted to the grantee institution.
- (2) Procedure for denial of release of information
- (a) Requests for access to records or documents which fall into the following categories may be denied in whole or in part by the designated Freedom of Information Officer, Office of Communications, NIH:
 - 1) Pending and disapproved applications for new research and research training grants.
 - 2) Financial information regarding a person, such as salary information pertaining to project personnel.
 - 3) Information subject to the provisions of the Privacy Act of 1974 (P.L. 93-579).
 - 4) Information of a personal, medical, or similar nature the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.
 - 5) Opinions of inter-agency or intra-agency memoranda or letters made by Government officers, employees, or consultants and discussions of applications by advisory bodies.
 - 6) Information, the release of which would adversely affect patent or other valuable commercial rights of the grantee. Considerations relating to obtaining copyright and patent protection may require delay in disclosure for such period as necessary to accomplish such protection.
 - (b) The intended use of information by the requestor is not a criterion for the denial of release of information.
 - (c) When records or documents have been requested, the NIH awarding component shall notify the grantee institution or other affected party of the request and to whom the records will be released.

4. EFFECTIVE DATE This policy is effective on date of release.

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A N N O U N C E M E N T

Because of questions which are arising as a result of the recent Supreme Court decision relating to the Williams and Wilkins copyright suit, the PHS policy regarding copyright is reaffirmed below:

"Except as otherwise provided in the conditions of the award, the author is free to arrange for copyright without approval when publications or similar materials are developed from work supported in whole or in part by a PHS grant. Any such copyrighted materials shall be subject to a royalty-free, nonexclusive, and irrevocable license to the Government to reproduce them, translate them, publish them, use and dispose of them, and to authorize others to do so. In addition, communications in *primary scientific journals* publishing initial reports of original research supported in whole or in part by PHS may be copyrighted by the journal with the understanding that individuals are authorized to make, or have made by any means available to them, without regard to the copyright of the journal, and without royalty, a single copy of any such article for their own use."

CITATION AND ACKNOWLEDGMENT
OF NIH GRANT SUPPORT

A N N O U N C E M E N T

It has been brought to NIH's attention, through audit, that page charges are being levied against grant funds for publications which report to the public the results of an activity supported by NIH grant funds and for which no acknowledgment of support is shown. An acknowledgment of such support must be made through use of the following or comparable footnote on the publication:

"This project was supported by NIH research grant number _____, awarded by the (Institute or Division), PHS/DHEW."

REPORT OF AWARDS
OF CONTRACTS

A N N O U N C E M E N T

The National Institutes of Health publishes information on requests for proposals in the *NIH GUIDE FOR GRANTS AND CONTRACTS SUPPLEMENT* as a service to the principal investigators who do not ordinarily have access to Commerce Business Daily. We have not published, in the *GUIDE*, notices of the award of a contract because we have believed that offerors of proposals know whom to approach directly concerning information on awards. The contracting officer and program officer responsible for particular RFP's are identified in the documents, and it is their responsibility to notify offerors when they are not successful. In addition, notices of awards are published in Commerce Business Daily.

NIH RESEARCH CAREER
DEVELOPMENT AWARD PROGRAM

A N N O U N C E M E N T

The NIH is currently accepting applications in the Research Career Development Award Program. Awards in this program are for individuals with clear research potential who require additional training and experience in a productive scientific environment in preparation for careers in independent research. Institutions may apply for awards on behalf of individuals who have had three or more years of relevant postdoctoral experience. The candidate must be a citizen or national of the United States or have been lawfully admitted as a permanent resident. An individual who has achieved professional recognition, as evidenced by numerous publications in professional journals and/or the attainment of tenure as professor or department chairman, is usually considered to have already achieved the objectives of this program and therefore to be ineligible.

An RCD award is limited to a single support period of 5 years. The salary must be based on a full-time 12-month staff appointment. It must be consistent both with the established salary structure of the institution and with salaries actually provided by the institution from its own funds to other staff members of equivalent qualifications, rank, and responsibility in the department concerned. The maximum NIH contribution to the salary is \$25,000 per year.

Applications must be received at the NIH no later than September 1, 1975, with notification of final action in March/April 1976. Because of changes associated with the conversion to a new Federal fiscal year in 1976, future receipt dates for applications will be announced at a later time.

Application material may be obtained by writing to Grants Inquiries, Division of Research Grants, National Institutes of Health, Bethesda, Maryland 20014. If a self-addressed gummed mailing label is enclosed in the request for kits, it will expedite handling.

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NIH SPECIAL RESEARCH
CAREER PROGRAMS

A N N O U N C E M E N T

Applications in the programs specified below will be accepted by the National Institutes of Health from citizen or non-citizen nationals of the United States, or those who have been lawfully admitted to the United States for permanent residence. Candidates must be nominated for the proposed program by an appropriate non-Federal public or private non-profit institution located in the United States, its possessions or territories, and must have demonstrated considerable potential for developing the qualifications necessary to pursue careers in research and academic medicine. Awards will be made to the sponsoring institution on behalf of the candidate in one of the health professional areas listed by the following NIH awarding units. More detailed information and applications may be obtained by contacting the appropriate participating Institute. Receipt date for applications will be September 1, 1975. Notification of final action will occur in March/April 1976.

National Eye Institute

The National Eye Institute Academic Investigator Award is designed to facilitate the development of academic faculty in clinical or laboratory sciences related to diseases of the eye and the visual system. It will enable the promising young biomedical scientist to obtain laboratory research, clinical research and teaching experience appropriate to the development of academic leadership. For this effort to be successful there must be an institutional commitment to strengthen research and academic activities related to the visual sciences in that institution. The Academic Investigator Award assists in this commitment by enabling awardees to become established in laboratory and clinical visual sciences as investigators and educators. Candidates must have an M.D., Ph.D., O.D., D.V.M., or equivalent degree and should have from three to seven years postdoctoral research training or an equivalent. Since research training is an important consideration for this award, preference will be given to those candidates whose application proposes a minimum of two years' laboratory research training. The award will provide support for a total of up to three years and is not renewable or transferable.

Contact:

Dr. Wilford L. Nusser
Chief, Scientific Programs Branch
National Eye Institute
Room 6A52, Bldg. 31
Bethesda, Maryland 20014

(301) 496-5301

National Heart and Lung Institute

The Division of Lung Diseases of the National Heart and Lung Institute invites national competition for Pulmonary Academic Awards which will have the dual purpose of improving the quality of pulmonary curricula and of fostering research and academic careers in the respiratory fields. Awards will be limited to one for each eligible school of medicine or osteopathy, for a project period of up to five years and will be nonrenewable and nontransferable.

The Institute hopes through this program to provide an impetus for schools that do not have an identifiable pulmonary curriculum to develop one; for schools that have a pulmonary curriculum that needs strengthening to improve it; and for schools that need someone to devote a major effort to the pulmonary curriculum, either to support a member of the staff or to recruit someone for the purpose.

Contact: Britten Stripp, Ph.D.
Manpower Program Manager
Division of Lung Diseases
National Heart and Lung Institute
Bethesda, Maryland 20014

(301) 496-7171

National Institute of Allergy and Infectious Diseases

The Allergic Diseases Academic Award is intended to provide well-trained young medical scientists of demonstrated superior potential with an opportunity to develop the necessary qualifications for established academic positions in allergic diseases; at the same time it would provide an institution with a demonstrated need the academic leadership required to initiate or augment essential investigations relating to allergic diseases. Candidates should have a health professional degree in the clinical sciences (M.D., D.O., D.M.D., D.V.M., or equivalent) and 5 to 10 years of postdoctoral experience in areas relevant to allergic diseases. In addition, broad training and demonstrated competence in research, teaching and clinical care are necessary in order to satisfy the program requirements. The award will provide support for a period of up to five years and is not renewable or transferable.

Contact: Dr. Luz A. Froehlich
Assistant for Clinical Programs-
Extramural Programs
National Institute of Allergy and
Infectious Diseases
Bethesda, Maryland 20014

(301) 496-7131

National Institute of Arthritis, Metabolism and Digestive Diseases

The National Institute of Arthritis, Metabolism and Digestive Diseases will accept applications for the Clinical Investigator Award in the following areas:

Digestive Diseases
Nutrition

This award is intended to provide the opportunity for promising young medical investigators in selected fields with demonstrated aptitude in research, to develop into independent investigators. The award is designed to enable such an individual to investigate a well-defined problem with a sponsor competent both to provide guidance in the chosen problem and to foster growth toward independent research. It is anticipated that this award may provide the transition between fellowship or traineeship experience and a career in independent investigation.

Applications will be considered in behalf of individuals holding health professional degrees in the clinical sciences (M.D., D.O., D.V.M., or equivalent) with 4 to 7 years of postdoctoral clinical and research experience (a minimum of 2 years of each) by the projected start of the award. Since this is a developmental award, the more senior candidate especially should fully justify his eligibility. Holders of PH.D. degrees are not eligible, with or without the accompanying health professional degree.

The award provides support for up to three years, based on a full-time 12-month staff appointment, and is not renewable or transferable.

Contact:

Dr. William Batchelor
Clinical Investigator Awards-
Extramural Programs
National Institute of Arthritis,
Metabolism and Digestive Diseases
Bethesda, Maryland 20014

(301) 496-7348

National Institute of Neurological and Communicative Disorders
and Stroke

National Institute of Neurological and Communicative Disorders and Stroke Teacher-Investigator Awards are made for the recruitment and preparation of future teacher-investigators of the highest caliber for careers in the clinical research disciplines of the neurological and communicative disorders, e.g. neurology, neurosurgery, cerebrovascular disease, neuromuscular disease, neuropathology, otopathology, otolaryngology, audiology, and speech pathology.

This award, made to an institution, provides a superior candidate with an opportunity for up to 5 years of special study and/or experience tailored to his individual needs. The award is neither renewable nor transferable. The award bridges the gap between the postdoctoral period of clinical study and a secure academic appointment.

Candidates should have completed, at the time of receiving the award, at least 3, but usually not more than 6 years of postdoctoral training and/or experience, exclusive of required military service. The most competitive candidate is one who has either just completed or is in the final year of residency training or is just completing 3 years of postdoctoral training and experience.

Contact: Raymond Summers, Ph.D.
Acting Chief
Special Programs Branch
National Institute of Neurological
and Communicative Disorders and Stroke
Bethesda, Maryland 20014

(301) 496-7725