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NIH GUIDE

for GRANTS and CONTRACTS

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

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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.

NATIONAL RESEARCH SERVICE AWARDS

FOR

INDIVIDUAL POSTDOCTORAL FELLOWS

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

Under authority of Section 472 of the Public Health Service Act as amended (42 USC 4821-1), the National Institutes of Health (NIH) provides National Research Service Awards to postdoctoral individuals for training experiences in specified areas of biomedical and behavioral research. (See Attachment for list of areas.)

Awards are made to individual applicants, for specified training proposals, selected as a result of a national competition. Title 42 of the Code of Federal Regulations, Part 66, is applicable to these awards.

Eligibility requirements Applicants must be citizens or non-citizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence and have in their possession a permanent visa at time of application. Non-citizen nationals are persons who although not citizens of the United States, owe permanent allegiance to the United States. They are generally persons born in lands which are not States, but which are under United States sovereignty, jurisdiction, or administration (e.g. American Samoa). Individuals on temporary or student visas are not eligible.

As of the beginning date of the proposed fellowship, an applicant must have received a Ph.D., M.D., D.D.S., D.O., D.V.M., O.D., Sc.D., D.Eng., D.N.S., or equivalent domestic or foreign degree. Applicants must apply in one of the research discipline areas specified by NIH. (See Attachment.) Proposed study must encompass biomedical research training with an opportunity to carry out supervised research in the specified areas, and offer opportunity to research health scientists, research clinicians, etc., to broaden their scientific background, or to extend their potential for research in health-related areas. National Research Service Awards (NRSA) are not made for study leading to the M.D., D.O., D.D.S., or other similar professional degrees. Neither will these awards support non-research clinical training.

Prior to formal submission, an applicant must arrange for appointment to an appropriate institution and acceptance by a sponsor who will supervise his or her training and research experience. The institutional setting may be a domestic or foreign non-profit private or public institution including the NIH and ADAMHA. The application must document the availability of staff and facilities to provide a suitable environment for performing high-quality work. The major emphasis of the application should be the research training experience and broadening of scientific competence.

Under exceptional circumstances when such study and opportunity are not available at any domestic institution, an individual may request support for study abroad. Such applicant will be required to provide detailed justification based on the unique facilities and/or training opportunity that

are of the nature and caliber that they cannot be found in the U.S. and the particular suitability of the foreign situation, rather than the domestic, to the proposed research.

Documents to be submitted The applicant must submit (1) an application (PHS 416-1), (2) a signed assurance that the service or payback requirement will be complied with, if an award is made, and (3) if a non-citizen, a notarized statement of permanent residence. Since a complete application includes the sponsor's Facilities and Commitment Statement, that Statement (PHS 416-2) must be with the application when submitted. In addition, an applicant will arrange for the submission of reference reports (PHS 416-3) on his or her behalf.

An individual may not have two competing applications pending review concurrently in the National Research Service Award program.

Application material Individuals are encouraged to review the eligibility criteria before requesting application kits from 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.

<u>Application Receipt Date</u>	<u>Advisory Council Review</u>	<u>Results Announced by</u>	<u>Earliest Possible Start Date</u>
August 15 (<u>1976 only</u>)	Jan./Feb.	March	April 1
October 1	May	June	July 1
February 1	Sept./Oct.	November	December 1
June 1	Jan./Feb.	March	April 1

Annual stipends and allowances The stipend level for the first year is determined by the number of years of prior relevant postdoctoral experience at the time of award. Relevant experience may include research experience (including industrial), teaching, internship, residency, or other time spent in full-time pursuit of additional degrees or full-time studies in a health-related field at a level beyond that of the qualifying doctoral degree. The stipend for each additional year of support is based on the level of the first year plus \$400 for each additional year under the NRSA.

Postdoctoral Stipends

Years of Relevant Experience at Time of Initial Award	Year of Award		
	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

Stipend supplementation from non-Federal funds will be permitted. Other Federal funds may be used for supplementation only if authorized by the program from which such funds are derived.

No allowance will be provided for dependents or travel to a domestic training site. Fellows affiliating with foreign sponsoring institutions will receive a single economy or coach round-trip travel fare to the training site.

Upon request, the NIH will provide funds of up to \$3,000 per 12-month period to the non-Federal sponsoring institution to help defray such trainee expenses as tuition and fees (including appropriate medical insurance), research supplies, equipment, travel to scientific meetings, and related items. An allowance of up to \$1,000 is available for the fellow sponsored by a Federal laboratory for scientific meeting travel expenses and appropriate medical insurance.

Period of support No individual may receive more than three years of support in the aggregate by a National Research Service Award. Any exception to this requires a waiver from the Agency head based on review of justification from the applicant and sponsor. Although fellowships are awarded for 12-month periods, assurances may be given by the awarding unit for continued support beyond the first year provided progress is satisfactory and funds are available.

Selection of awardees Applications will be evaluated by initial review groups at the NIH and are also subject to review and approval of the appropriate advisory council of the NIH whose activities relate to the research training under the award. The application will be evaluated on the basis of past academic and research records, the research training proposal, the sponsor and training environment, the applicant's research goals, publications, reference reports, and other relevant information. NIH program interests and the availability of funds are also considered in the final selection.

Notification of final action An applicant is notified by the awarding unit of the final action on the application by an award notice or by a letter.

Activation date An awardee has until the end of 12 months from the issue date on the award notice to activate a new award.

Conditions of award No award will be made to an individual unless that individual has signed and submitted a Payback Agreement indicating his or her intent to meet the service or payback provisions required under the law as a condition under which a National Research Service Award is made and accepted.

Individual awards are made for full-time research training and research. Fellows may utilize some of their time in academic studies and clinical duties if such work is closely related to their research training experience.

A NRSA recipient may not hold another Federally sponsored fellowship concurrently with a National Research Service Award. A research trainee may, however, accept concurrent educational remuneration from the Veterans Administration (e.g. G.I. Bill) and loans from Federal funds.

Within two years after completion of NRSA support, recipients of NRS Awards are to engage in continuous biomedical or behavioral research or teaching or any combination thereof which is in accordance with usual patterns of academic employment for a period equal to the period of support. Alternatively, if the Secretary, DHEW, determines there are no suitable health research or teaching positions available to the individual, the following may be authorized: (1) If the individual is a physician, dentist, nurse, or other individual trained to provide health care directly to patients, the Secretary may authorize (a) service in the National Health Service Corps, (b) service in his or her specialty in a geographic area designated by the Secretary, or (c) service in his or her specialty in a health maintenance organization serving a medically underserved population; (2) If the individual who received the NRS Award is not trained to provide health care to patients, the Secretary may authorize the individual to engage in some other health-related activity. For each year for which an individual receives a NRS Award he or she shall (a) engage in twelve months of health research or teaching, (b) serve 12 months as a member of the National Health Service Corps, or (c) if authorized by the Secretary for one of the other alternatives, shall serve twenty months for each year of award.

For individuals who fail to fulfill their obligation through service, the United States is entitled to recover an amount equal to the total stipend received plus interest. The amount is computed in accordance with a formula which gives only one-half credit to each month of service when the total payback obligation is not completely fulfilled through service. Interest on the amount begins and is at the rate fixed by the Secretary of the Treasury considering private consumer rates which prevail on the date the United States becomes entitled to such amount. Payment must be completed within three years from that date.

By Federal Regulation, there are certain conditions under which the Secretary, HEW, may extend the period for undertaking service or for repayment, permit breaks in service, or to otherwise waive or suspend the payback obligation of an individual where enforcement of the obligation would involve extreme hardship or be against equity and good conscience.

Fellows are not entitled to vacations, as such, although those at academic institutions may take the holidays at Christmas, in the Spring, etc., and the short period between semesters or quarters. The time between a summer session and a fall semester is considered an active part of the training period. Those at non-academic institutions are entitled to the normal holiday and vacation periods of the institution.

Taxability of stipends NIH takes no position on the taxability or non-taxability of National Research Service Awards. No deductions for income tax or social security are withheld by NIH and no annual summary of amounts paid to the fellow are provided. Recipients of the NRS Award are advised to consult local, State, and Federal revenue services.

For additional information on the above program write: Office of Research Manpower, Division of Research Grants, National Institutes of Health, Bethesda, Maryland 20014.

For additional information concerning the specified areas of research in which applications will be accepted, write to the Institute or Division concerned at the National Institutes of Health, Bethesda, Maryland 20014.

The Alcohol, Drug Abuse, and Mental Health Administration and the Division of Nursing, Health Resources Administration, also provide support through National Research Service Awards. For information and application forms, contact the appropriate agency.

NATIONAL RESEARCH SERVICE AWARDS

FOR

INSTITUTIONAL GRANTS

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

Under authority of Section 472 of the Public Health Service Act as amended (42 USC 4821-1), the National Institutes of Health (NIH) will award grants to eligible institutions to develop or enhance research training opportunities for individuals selected by them who are interested in careers in specified areas of biomedical and behavioral research. (See Attachment for list of areas.) Title 42 of the Code of Federal Regulations, Part 66, is applicable to these awards.

Domestic nonprofit private or non-Federal public institutions may apply for grants to support training programs in specified areas of research from which a number of awards will be made to individuals selected by the institution and the program director. Pre- and postdoctoral trainees may be supported if either or both level(s) of training are justified in and approved on the basis of the application. The applicant institution must have, or be able to develop, the staff and facilities required for the proposed programs. The training program director at the institution will be responsible for the selection and appointment of trainees to receive National Research Service Awards and for the overall direction of the program.

The proposed program must encompass supervised biomedical research training in the specified areas, and offer opportunity for research training leading toward the research degree, or, in the case of research health scientists, research clinicians, etc., to broaden their scientific background. National Research Service Awards (NRSA) are not made for study leading to the M.D., D.O., D.D.S., or other similar professional degrees. Neither will these awards support non-research clinical training.

Application material Application materials may be obtained from the Grants Inquiries Office, 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.

<u>Applications</u> <u>Received by</u>	<u>Advisory Council</u> <u>Review</u>	<u>Results</u> <u>Announced by</u>
August 15, 1976	Jan./Feb. 1977	March 1977

The NIH reserves the option of rejecting without further review all or part of an application that in its judgment does not fall within the specified areas of research that are currently being supported or does not fall within one of the specified areas for which support of predoctoral training is offered. Institutions contemplating submission of an application including predoctoral training should contact the appropriate person shown on the list of research areas. (See Attachment.)

Review and selection NRS grant applications will be evaluated by initial peer review groups at the NIH and are also subject to review and approval of the appropriate advisory council of the NIH whose activities relate to the research training proposed. The application will be evaluated on the basis of records and qualifications of participating faculty, the proposed research training objectives and program design, previous training record of the program and its ability to attract high caliber students, institutional commitment, facilities and environment, and relationship of the proposed program goals to need for research training in NIH program areas.

GENERAL PROVISIONS

Eligibility requirements Individuals appointed as trainees on the grant must be citizens or non-citizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence and have in their possession a permanent visa at time of appointment. A non-citizen national is a person who although not a citizen of the United States, owes permanent allegiance to the United States. They are generally persons born in lands which are not States, but which are under United States sovereignty, jurisdiction, or administration (e.g. American Samoa). Individuals on temporary or student visas are not eligible.

Predoctoral trainees must have received an appropriate baccalaureate degree as of the date of appointment to the approved training program. An individual at the postdoctoral level must have received as of the date of appointment to the approved training program, a Ph.D., M.D., D.D.S., D.O., D.V.M., O.D., Sc.D., D.Eng., D.N.S., or equivalent domestic or foreign degree.

Stipends and other training costs Stipends and allowances requested will be in accordance with the following: For predoctoral, an annual stipend of \$3,900 for individuals at all levels.

For postdoctorals, the stipend for the first year is determined by the number of years of prior relevant postdoctoral experience at time of appointment. Relevant experience may include research experience (including industrial), teaching, internship, residency, or other time spent in full-time pursuit of additional degrees or full-time studies in a health-related field at a level beyond that of the qualifying doctoral degree. The stipend for each additional year of support is based on the level for the first year plus \$400 for each additional year under the National Research Service Award.

Tuition and travel may be requested. There is no allowance for dependents.

Postdoctoral Stipends

Years of Relevant Experience at Time of Initial Award	Year of Award		
	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

Stipend supplementation from non-Federal funds is permitted. Other Federal funds may be used for supplementation only if authorized by the program from which such funds are derived.

In addition to stipends, the institution may request tuition, fees (including appropriate medical insurance), and travel for trainees, actual indirect costs or 8% of allowable direct costs (whichever is less) and up to 25% of the total award for costs deemed essential to carry out the NRSA training program such as salaries, equipment, research supplies, staff travel, etc.

Period of support Awards for institutional grants may be made for project periods of up to 5 years. However, no individual may receive more than three years of support in the aggregate from a National Research Service Award. Any exception to this requires a waiver from the Agency head based on review of justification from the trainee and the grantee institution.

Conditions of award No trainee will be appointed unless a Statement of Appointment form and a signed Payback Agreement indicating his or her intent to meet the service or payback provisions required under the law have been submitted to NIH. Trainee appointments are made for full-time research training and research. Trainees may utilize some of their time in academic studies and clinical duties if such work is closely related to their research training experience.

A NRSA recipient may not hold another Federally sponsored fellowship or training award concurrently with a National Research Service Award. A research trainee may, however, accept concurrent educational remuneration from the Veterans Administration (e.g. G.I. Bill) and loans from Federal funds.

Within two years after completion of NRSA support recipients of NRS Awards are to engage in biomedical or behavioral research or teaching or any combination thereof which is in accordance with usual patterns of academic employment for a period equal to the period of support. Alternatively, if the Secretary, DHEW, determines there are no suitable health research or teaching positions available to the individual, the following may be authorized: (1) If the individual is a physician, dentist, nurse, or other individual trained to provide health care directly to patients, the Secretary may authorize (a) service in the National Health Service Corps, (b) service in his or her specialty in a geographic area designated by the Secretary, or (c) service in his or her specialty in a health maintenance organization serving a medically underserved population; (2) If the individual who received the NRS Award is not trained to provide health care to patients, the Secretary may authorize the individual to engage in some other health-related activity. For each year for which an individual receives a NRS Award he or she shall (a) engage in twelve months of health research or teaching, (b) serve twelve months as a member of the National Health Service Corps, or (c) if authorized by the Secretary for one of the other alternatives, shall serve twenty months for each year of award.

For individuals who fail to fulfill their obligation through service, the United States is entitled to recover an amount equal to the total stipend received plus interest. The amount is computed in accordance with a formula which gives only one-half credit to each month of service when the total payback obligation is not completely fulfilled through service. Interest on the amount begins and is at the rate fixed by the Secretary of the Treasury considering private consumer rates which prevail on the date the United States becomes entitled to such amount. Payment must be completed within three years from that date.

By Federal Regulation, there are certain conditions under which the Secretary, HEW, may extend the period for undertaking service or for repayment, permit breaks in service, or to otherwise waive or suspend the payback obligation of an individual where enforcement of the obligation would involve extreme hardship or be against equity and good conscience.

Trainees are not entitled to vacations, as such, although those at academic institutions may take the holidays at Christmas, in the Spring, etc., and the short period between semesters or quarters. The time between a summer session and a fall semester is considered an active part of the training period. Those at non-academic institutions are entitled to the normal holiday and vacation periods of the institution.

Taxability of stipends NIH takes no position on the taxability or non-taxability of National Research Service Award stipends. Recipients of the NRS Award stipend are advised to consult local, State, and Federal revenue services.

Notification of final action The applicant will be notified by the awarding unit of the final action on the application by either an award notice or by a letter.

For additional information on the above program write: Office of Research Manpower, Division of Research Grants, National Institutes of Health, Bethesda, Maryland 20014.

The Alcohol, Drug Abuse, and Mental Health Administration and the Division of Nursing, Health Resources Administration, also provide support through National Research Service Awards. For information and application forms, contact the appropriate Agency.

*For Individual Postdoctoral
Awards Only*

The research areas, arranged by Bureau, Institute, or Division, in which individual postdoctoral applications will be accepted are:

National Institute on Aging

1. Behavioral and Social Sciences
Related to Aspects of Aging
2. Biological and Biomedical Sciences
Related to Aspects of Aging

Dr. Walter Spieth (301) 496-1033

National Institute of Allergy and
Infectious Diseases

1. Allergic and Immunologic
Diseases and Basic Immune
Mechanisms

Allergy
Immunology
Immunochemistry
Immunopathology
Immunogenetics
Clinical Immunology
Autoimmunity
Transplantation Biology
2. Infectious Diseases and Basic
Microbiological Mechanisms

Bacteriology
Virology
Parasitology
Mycology
Pathogenesis of Infectious
Diseases
3. Epidemiology of Allergic,
Immunologic, and Infectious
Diseases

Dr. Louis D. Bourgeois (301) 496-7820

National Institute of Arthritis,
Metabolism, and Digestive Diseases

Provide opportunity for (1) the clinically-trained to acquire expertise in scientific research (e.g. biochemistry, biophysics, cell biology, epidemiology, genetics, physiology, or psychology), and (2) the scientifically-trained to obtain further training in biomedical research or clinical investigation relating to:

Arthritis, Bone, or Skin Diseases
Diabetes, Endocrine, or Metabolic
Diseases
Digestive Diseases or Nutrition
Kidney, Urologic, or Blood Diseases

Dr. Israel A. Goldberg (301) 496-7277

National Cancer Institute

The goal of the Cancer Research Manpower Development Program is to insure that an adequate number of highly competent basic and clinical cancer research specialists will be trained to meet needs in the following areas of research:

Cancer Etiology and Prevention
Cancer Detection and Diagnosis
Cancer Treatment and Restorative Care

Mrs. Helen W. Denson (301) 496-7895

National Institute of Child Health
and Human Development

Provide opportunity for research training in the biological and/or behavioral science aspects of the areas listed below:

Research for Mothers and Children:

1. Pregnancy, fetal growth, labor, and neonatal adaptation
2. Sudden infant death syndrome
3. Developmental biology, developmental pharmacology, and developmental immunology
4. Nutrition; malnutrition
5. Language development including dyslexia
6. Mental retardation and other developmental disabilities
7. Adolescence, puberty, and problems of physical growth
8. Evaluation of clinical trials

Center for Population Research:

1. Fertilization and reproductive biology
2. Human population genetics
3. Reproductive hormones and reproductive diseases
4. Neuroendocrine control of reproductive processes
5. Fertility, fertility trends, demography, population change, movement, and distribution
6. Population policy

Dr. Gilbert L. Woodside
(301) 496-1848

National Institute of Dental Research

1. Behavioral Studies
2. Caries
3. Craniofacial Anomalies
4. Mineralization
5. Nutrition
6. Pain Control
7. Periodontal Diseases
8. Restorative Materials
9. Salivary Secretions
10. Soft Tissue Diseases

Dr. Kenneth K. Hisaoka (301) 496-7658

National Institute of Environmental
Health Sciences

1. Environmental Biology (Mutagenesis, Teratogenesis, Carcinogenesis)
2. Environmental Epidemiology and Statistics
3. Environmental Pathology-Pathophysiology
4. Environmental Toxicology

Dr. Edward Gardner (919) 549-8411.
Extension 3357

National Eye Institute

Laboratory and clinical research training related to vision and disorders of the visual system:

1. Retinal and Choroidal Disease
2. Corneal Disease
3. Cataract
4. Glaucoma
5. Sensory and Motor Disorders and Rehabilitation

Dr. Samuel C. Rawlings (301) 496-5301

National Institute of General
Medical Sciences

1. Anesthesiology
2. Basic Pathobiology
3. Behavioral Sciences related to
Medicine
4. Cellular and Molecular Biology
5. Clinical Laboratory Sciences
6. Epidemiology
7. Genetics
8. Pharmacological Sciences
9. Systems and Integrative Biology
10. Trauma and Burn Research

(Support is also provided
through the Minority Access
to Research Careers program.)

Dr. Roger Fuson (301) 496-7368

National Heart and Lung Institute

1. Division of Heart and Vascular
Diseases

Training may be in basic or
clinical research aimed toward
long-term research involvement
in programs of:

Hypertension
Arteriosclerosis
Coronary Heart Disease
Arrhythmias
Heart Failure and Shock
Cerebrovascular Disease
Peripheral Vascular Disease
Congenital and Rheumatic Heart
Diseases
Cardiomyopathies and Infections
of the Heart
Circulatory Assistance

Dr. D. M. MacCanon (301) 496-1846

2. Division of Lung Diseases

The Division supports multi-
disciplinary research training
in fundamental and clinical
disciplines.

Training programs should be
addressed to one or more of
the following categories:

Structure and Function
of the Lung
Pediatric Pulmonary
Diseases
Emphysema and Chronic
Bronchitis
Fibrotic and Immunologic
Diseases
Respiratory Failure
Pulmonary Vascular Diseases
Epidemiology of Respiratory
Diseases

Dr. Bitten Stripp (301) 496-7171

3. Division of Blood Diseases
and Resources

The Division seeks to support
research training awards in
the areas of:

Thrombosis
Hemostasis
Red Blood Cell Diseases
Sickle Cell Disease
Blood Resources
Blood Banking Sciences

Dr. Fann Harding (301) 496-5913

National Institute of Neurological
and Communicative Disorders and Stroke

1. Audiology
2. Clinical Investigation
3. Developmental Neurology
4. Neuroanatomy
5. Neurobiology
6. Neurochemistry
7. Neuroepidemiology
8. Neuroimmunology
9. Neuropathology and/or Otopathology
10. Neuropharmacology
11. Neurophysiology
12. Neuroradiobiology
13. Neurovirology
14. Sensory Physiology and Biophysics
15. Speech Pathology

Dr. Raymond Summers (301) 496-9236

Division of Research Resources

Laboratory Animal Science and Medicine

Dr. John Holman (301) 496-5507