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NIH GRANTS

POLICY GUIDE

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

No. 3, August 14, 1970

DEPENDENCY ALLOWANCES ON NIH FELLOWSHIPS (NIH 4801-2)

POLICY CHANGE

1. PURPOSE This issuance states the revised NIH policy for calculating dependency allowances for recipients of NIH fellowships. It also amends the NIH memorandum of December 3, 1969, to Fellowship and Training Grant Coordinators, Program Directors, Business Officers, Grantee Institutions re: "Policy Changes in NIH Research Fellowship and Training Grant Programs."

2. BACKGROUND The NIH limits the dependency allowance in the predoctoral and postdoctoral fellowship program to \$500 for each dependent. The definition of "dependent" conforms with that of the Internal Revenue Code of 1969. Allowances for such dependents have in the past been prorated from the day the dependent was acquired, if the individual was not claimed as a dependent on the award activation date. Dependency allowances have similarly been reduced or terminated when an individual claimed as a dependent ceased to be so qualified.

3. POLICY (REVISED) NIH fellowship awardees at the predoctoral and postdoctoral levels may request a dependency allowance of up to \$500 per annum for each eligible dependent. Dependency allowances will be determined *de facto* as of the date of activation of the award. No changes in dependency allowances will be made for acquired dependents or dependent deletions during any single award period.

4. IMPLEMENTATION NIH awarding units will calculate dependency allowances as of activation date of initial award and as of the activation dates of successive continuation awards. It is the responsibility of the awardee to notify the NIH awarding unit of changes in numbers of claimed dependents. Such notification will be in writing prior to the activation date of either the initial award or any subsequent continuation awards. Award documents will be amended only in those cases, provided funds are available, where a *de facto* dependent as covered by this revised policy has been omitted and the award recipient requests such an adjustment. Such adjustments will be made retroactive to the activation date of the then currently active award.

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 programs administered by the National Institutes of Health.

5. APPLICABILITY This policy as revised is applicable to all NIH awards coded in the "F" Fellowships series where dependency allowances are applicable.

6. EFFECTIVE DATE This policy as revised is effective for all applicable awards made on or after July 1, 1970.

REFERENCES

- (1) DHEW Grants Administration Staff Manual, Chapter 3-140, "Predoctoral and Postdoctoral Student Support!"
- (2) NIH memorandum to Fellowship and Training Grant Coordinators, Program Directors, Business Officers, Grantee Institutions re "Policy Changes in NIH Research Fellowship and Training Grant Programs," dated December 3, 1969.
- (3) Public Health Service Regulations, Part 61, Subpart A, Regular Fellowships, Title 42 CFR.
- (4) NIH Research Fellowship Program Administrative Guide, July 1, 1968 (PHS No. 1439).
- (5) Information for Predoctoral Research Fellows (PHS No. 1437, July 1, 1969).
- (6) Information for Postdoctoral Research Fellows (PHS No. 1438, July 1, 1969).

RELEASE OF INFORMATION ON
TRAINING PROJECTS (NIH 4202)**POLICY CHANGE**

1. PURPOSE This issuance states the revised policy on the release of information concerning training projects supported by NIH.
2. BACKGROUND Public Health Service policy, prior to the passage of the Freedom of Information Act (PL 90-23), established the types of information and conditions under which information would be released to the public.
3. POLICY Intended use of information pertaining to NIH training grants will not be a criterion for release to any member of the public or information media. Criteria for publication and release of information are detailed below.

a. Publication

- (1) Program directors are expected to make the results of their professional activities promptly available to the scientific public. Program directors supported by NIH are free to submit for publication reports of their activities to the journals of their choice.
- (2) Prior NIH approval is not required for reporting results of a research training project: therefore, responsibility for direction of the project should not be ascribed to NIH.
- (3) Acknowledgement of NIH support must carry the following or comparable footnote:

"This program was supported by PHS
Research Training Grant No. _____
from (Institute or Division)."

- (4) Except as otherwise provided in the conditions of the award, when publications or similar materials are developed from work supported by the Public Health Service, the author is free to arrange for copyright without approval. 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.
- b. Release of Information The provision of Public Law 90-23 and the Public Information Regulation of the Department require the release of certain requested information--regardless of the reasons for the request--to any member of the public. The National Institutes of Health makes available periodically to members of the press and other interested persons a report listing the training grants awarded. Information made available includes the title

of the project, name and institution affiliation of the award. In addition, the following information is available upon request:

- (1) a general description of the approved project
- (2) the approved budget as shown in the Notice of Grant Award.
- (3) details of grant expenditures in total sums only for each major category of expenditures
- (4) the terminal progress report under the following circumstances:
 - (a) immediately, if there is no indication of a specific plan to publish the report in the open literature, or
 - (b) if the results incorporated in the report have been submitted for publication but not yet published, contents of the report will, insofar as possible, be held as restricted information for six months unless the investigator agrees to an earlier release.

c. Exceptions to Public Disclosure The following categories of information on applications and awards will not be released except as indicated:

- (1) Applications for training grant support are considered privileged information. Until such time as an application is approved and a grant awarded, no information is disclosed.
- (2) All details provided on a confidential basis by applicants (pages 2 through 7, Form PHS-2499-1, Application for Training Grant).
- (3) Details of estimated budgets.
- (4) Any reports other than the terminal progress report unless specifically agreed to by the program director and the grantee institutions.
- (5) Discussions of applications by advisory bodies.

REFERENCES

- (1) PL 90-23, 5 U.S.C. 552.
- (2) PHS Regulations, Part 1, Title 42 CFR.
- (3) Public Information Regulation, Part 5, Subtitle A, Title 45 CFR.
- (4) PHS Policy Statement, Grants for Training Projects, PHS Pub. No. 1302, rev. July 1, 1967.

MOTION PICTURE PRODUCTIONS (NIH 1185)

POLICY

1. PURPOSE This issuance states the policy on the production of motion pictures by grantees using NIH funds.
2. DEFINITIONS
 - a. Motion Picture Production The steps and techniques involved in the procurement and production of a completed motion picture or filmograph, including research, script-writing, editing, filming, sound recording, and other technical procedures, as well as the finished product itself.
 - b. For Viewing by the General Public The exhibit or showing of any film except to restricted audiences for purposes of professional or scientific information, technical training or education.
3. POLICY Grantees may use NIH grant funds for motion picture productions provided such productions are an inherent part of and support the over-all objective of the research project. NIH grant funds may not be used for motion pictures intended for viewing by the general public.
4. IDENTIFICATION Motion pictures produced within the policy outlined above must carry acknowledgement of grant support in the following language or its equivalent: "This project (program) was supported by PHS Grant No. _____ from _____ (awarding unit)."
5. COPYRIGHT Except as otherwise provided in the condition of the award, grantees are free to arrange for copyright of motion picture productions developed from work supported by NIH under provisions similar to those for publication outlined in Grants Policy Guides No.2 (NIH 4201) and No.3 (NIH 4202) concerning release of information on research and training projects.
6. PROFITS Profits from motion picture films produced with NIH grant funds are subject to the policy with respect to grant-related income set forth in Grants Policy Guide No.2 (NIH 5601).

REFERENCES

- (1) HEW Grants Administration Manual
- (2) NIH Grants Policy Guide No.2 (4201), (5601)
- (3) NIH Grants Policy Guide No.3 (4202).

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
 NATIONAL INSTITUTES OF HEALTH
 OFFICE OF FINANCIAL MANAGEMENT
 BETHESDA, MARYLAND 20014

Date _____

NOTICE OF DISPOSITION OF GRANT UNEXPENDED BALANCE

Name of Grantee Institution	Grant No.	Grantee Account No.
	Institutional No.	Transaction No.

The Report of Expenditures for the above grant has been received. The unexpended balance of \$ _____ has been processed as indicated below.

- Withdrawn from the reported grant budget period, and not available for expenditure or transfer.
- Remains available for expenditure in accordance with program policy covering this grant.
- Transferred to the continuation grant period (_____ year of support).

Grantees are reminded that expenditures for the continuation grant period are limited to the sum total of:

- (1) the approved budget (direct costs)
- (2) liquidation of reported prior year obligations and
- (3) applicable indirect costs

When the amount transferred, together with the amount awarded for a continuation grant period, results in overfunding, **THE EXCESS IS NOT AVAILABLE FOR EXPENDITURE** during the current budget period and will either be withdrawn by means of a revised award or used to support a future grant budget.

On the other hand, if the grant is underfunded and the current budget will be adversely affected, the awarding organization should be contacted for possible adjustment.

The Report of Expenditures is subjected to further audit and this notice is not to be considered as a final settlement of allowable costs.

 For:
 Chief, Grant Accounting
 and Financial Reports
 Branch, OFM

SIGNATURE REQUIREMENTS FOR
GRANT APPLICATIONS (NIH 4301-1)

PROCEDURE NOTICE

1. This release states the NIH policy concerning the acceptability of certain signatures where required from the applicant institution on the face page of applications requesting support from all the grant and award programs of the BEMT, NLM, and the research institutes.
2. The application shall be executed by an individual authorized to act for the applicant and to assume for the applicant the obligations imposed by the requirements and conditions for any grant including the applicable Federal Regulations. Most types of grant applications require the signature of one or more applicant organization employees or officials. One signature is that of the Principal Investigator (research grants) or the Program Director (training grants). The other signature is that of the official designated by the institution as the responsible administrative authority to sign for the institution.
3. "Per" signatures are not acceptable. If the official designated to sign for the applicant organization is not available to sign, an official authorized to act in his behalf may sign as "acting for" such official.

REFERENCES

- (1) PHS Regulations, Part 1, Title 42, all applicable parts.
- (2) PHS Policy Statement, Grants for Research Projects, PHS Pub. No. 1301 rev. July 1, 1967.
- (3) PHS Policy Statement, Grants for Training Projects, PHS Pub. No. 1302 rev. July 1, 1967.

DISTRIBUTION AND APPLICABILITY
OF NIH GRANTS POLICY GUIDE

PROCEDURE NOTICE

1. The NIH GRANTS POLICY GUIDE is being distributed on the same list as that used for the DRG NEWSLETTER. Many readers of the NEWSLETTER indicate that they have not seen copies of the GUIDE. Primary recipients of the GUIDE are encouraged to copy and otherwise share issues with colleagues. Multiple copies will not be available to each institution from NIH.

2. APPLICABILITY OF POLICIES AND PROCEDURES Official materials included in the NIH GRANTS POLICY GUIDE are applicable only to grants programs of the NIH and do not apply to other components of the Public Health Service. For information concerning programs of the Health Services and Mental Health Administration (including the National Institute of Mental Health), Environmental Health Service, and Food and Drug Administration, write direct to the organization concerned. An organizational chart of the DHEW is reproduced on the reverse side of this page.

3. CUMULATIVE CONTENTS Page i in this issue replaces the cumulative contents (page i) of GUIDE No. 2, June 19, 1970.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

