

NIH GUIDE

for GRANTS and CONTRACTS

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

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HAVE YOU MOVED?

If your present address differs from that shown on the address label, please send your new address to: Room 2A14, 5333 Westbard Avenue, National Institutes of Health, Bethesda, Maryland 20014, and attach your address label to your letter. Prompt notice of your change of address will prevent your name being removed from our mailing list.

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.

POLICIES AND GUIDELINES GOVERNING

RESEARCH CAREER DEVELOPMENT AWARDS (K4)

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

Under the authorizations in the Public Health Service Act, Section 301(c), the Bureaus, Institutes, and Divisions (BID's) of the National Institutes of Health make Research Career Development Awards (RCDA's) to eligible institutions for research support of named individuals.

I. Introduction and Effective Date

This issuance revises the policy governing RCDA's of the National Institutes of Health and supersedes the policy brochure (green cover) dated June 1, 1975. The policies stated herein become effective February 1, 1977, and will affect all new and continuation applications and awards with budget period start dates of May 1, 1977, and later.

II. Purpose

The NIH Research Career Development Award is a special salary grant award to support the conduct of research by individuals with high potential for biomedical or behavioral research careers. The RCDA is designed to provide an opportunity to an individual in the early stages of research career development to acquire the necessary skills and experience for independent research. The RCDA is not intended to be used to provide the salary for established investigators.

III. Eligibility

A. Nomination by Institution

Candidates must be nominated by a non-Federal public or private nonprofit institution engaged in health-related research and located in the United States or its possessions and territories.

B. Experience

Candidates must have had at least three years of relevant post-doctoral experience prior to the requested beginning date of the award. An individual who has achieved professional recognition, as evidenced by substantial independent research accomplishments, publication in professional journals, or the attainment of senior faculty or equivalent status is considered to have achieved the objectives of this program and to be ineligible.

In review of applications, emphasis is to be given to the applicant's background, career potential, the need for research experience in an environment where advice and consultation are readily available, and the proposed research project.

C. Citizenship

Candidates for an award must be citizens or noncitizen nationals of the United States or its possessions and territories or must have been lawfully admitted to the United States for permanent residence at the time of application.

IV. Terms of the Award

A. Commitment to Research

Individuals who receive salaries from RCDA's are to devote essentially full time to research and research-related activities. Such activities may include giving or receiving research training, supervising the research of others, participating in workshops and scientific or professional meetings, providing health care to the extent required to maintain clinical skills and expertise necessary for the conduct of research, and related academic activities provided these do not deter the awardee from the accomplishment of the purposes of the RCDA. The principal involvement must be with the actual conduct of research.

B. Relationship to Institution

Awards are made to eligible institutions on behalf of qualified candidates. Each individual is directly responsible as an employee of the institution to which the award is made. Except as otherwise set out in this statement, the individual's (employee's) status, title, salary, and staff privileges are determined by the institution according to its established policies.

C. Duration

RCDA awards will be limited to a single support period of five years. An award of less than five years will not be made. The award is expected to be for continuous support of an individual; except in unusual situations no break in the period of support will be permitted and then only with prior approval from the NIH awarding BID. Under no circumstances may an individual receive more than a total of five years (60 months) of RCDA support.

D. Termination or Change of Institution

1. When an RCDA recipient plans to terminate his or her award at the grantee institution, the NIH awarding BID should be notified in writing by the recipient and the grantee institution official at the earliest possible time so that appropriate instruction can be given for termination.
2. If the individual recipient is moving to another eligible institution, RCDA support may be continued provided:

- a. A new application is submitted by the new institution on behalf of the individual for review by the NIH.
- b. The period of support requested is for only the time remaining within the 60-month limitation.
- c. The new application is submitted sufficiently in advance of the requested effective date to allow the necessary time for review.

E. Allowable Award Costs

1. Salary

The RCDA will reimburse the grantee institution for the employee's efforts which, under the terms of the award, are devoted essentially to full-time research and research-related activities, but only up to a maximum base salary of \$30,000 for each budget period of the award.

The grantee institution may add to the salary of a RCDA recipient consistent with the institution's salary scale. No supplementation may be provided from Federal funds unless explicitly authorized by the program from which such funds are to be derived. In no case may other NIH funds be used as a means of additional salary support.

2. Fringe Benefits

The employee's share of fringe benefits is part of the base salary and is included therein. When requested, the grantee institution's share of the fringe benefits, which is in keeping with those paid to comparable individuals under established grantee institution policies, will be paid as a direct cost on that proportion of the employee's salary provided from NIH funds. However, fringe benefits when treated by a grantee institution as an indirect cost, that is incorporated into an indirect cost pool on which the indirect cost rate is calculated, will not be paid as a direct cost.

3. Indirect Costs

Funds will be provided on all awards for the reimbursement of actual indirect costs at a rate of up to, but not to exceed, 8% of the total direct costs of each award.

4. Other Costs

No costs other than those in 1, 2, and 3 above may be requested nor awarded as part of an RCDA.

F. Other Income

1. a. Generation and Disposition of Professional Fees

Fees resulting from clinical practice, professional consultation, or other comparable activities required by the research or research-related activities of the award may not be retained by the RCDA recipient. Such fees will be assigned to the grantee institution for disposition by any of the following methods:

- (1) Such fees may be expended by the grantee institution in accordance with the NIH policy on supplementation of salaries of RCDA recipients and to provide fringe benefits in proportion to such supplementation. Such salary supplementation and fringe benefit payments must be within the established policies of the grantee institution.
- (2) Such fees may be used for health-related research purposes.
- (3) The funds may be paid to miscellaneous receipts of the U.S. Treasury. Checks should be made payable to the Department of Health, Education, and Welfare, National Institutes of Health, and forwarded to the Director, Office of Financial Management, NIH, Bethesda, Maryland 20014. Checks must identify the relevant award account and reason for the payment.

b. Records and Cost Sharing

Adequate records regarding the receipt and disposition of fees and other income will be maintained by the grantee institution and will be available for review upon request by appropriate auditors.

Expenditure of such income will not be allowed in meeting cost sharing or matching requirements for any NIH-supported program.

2. Other Professional Income

The term professional fees in this policy statement does not apply to royalties, honoraria, and fees for scholarly writing, delivery of occasional outside lectures, and service in advisory capacity to public or private nonprofit organizations. These fees, if within institutional policy, may be retained by the RCDA recipient.

G. Use of NIH Grant Funds Freed by the RCD Award

Funds budgeted in an NIH-supported research or training grant for an individual's salary and/or fringe benefits, but freed as a result of funding an RCDA for that individual may not be used for any other purpose except when the career award recipient no longer participates in the grant-supported activity and another individual replaces him/her and requires comparable remuneration. Only under some highly unusual circumstance will consideration be given to approval for use of released funds for any other reason than the one described above. Any proposed retention of funds released in this manner must receive prior written approval of the NIH awarding BID.

H. General Terms and Conditions of RCDA's

Except as otherwise set out in this statement, the provisions of the *PHS Grants Policy Statement* are applicable to the NIH Research Career Development program.

RESEARCH GRANT APPLICATIONS IN PHARMACOLOGY

SOUGHT BY THE NATIONAL INSTITUTE ON AGING

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

The National Institute on Aging has a continuing interest in the study of the pharmacology of therapeutic drugs in the aged. The purpose of this announcement is to emphasize this interest in appropriate research grant applications. Studies are encouraged in the following general areas: (1) distribution, metabolism, and pharmacokinetics of therapeutic drugs in older patients as they may differ from other populations; (2) drug interactions in aged patients receiving multiple drugs; (3) paradoxical reactions to drugs in the elderly; (4) nutritional factors affecting drug efficacy or toxicity in the aged; and (5) new approaches to the study of pharmacologic agents in the elderly. Studies in animals submitted in response to this announcement should be clearly related to appropriate problems in the human.

Applications should be submitted on PHS Form 398 to the Division of Research Grants, National Institutes of Health, Westwood Building, Bethesda, Maryland 20014. Receipt dates for grant applications are March 1, July 1, and November 1. Review and award of research grants in response to this announcement will be through the usual NIH peer review procedures. In order to facilitate identification of these applications, the statement "This application is submitted in response to the NIA program announcement in pharmacology" should appear as the first sentence in the abstract on page 2 of the application.

Preliminary drafts of proposals and other inquiries regarding this program may be addressed to:

Dr. Sara A. Gardner
Room 919
Westwood Building
National Institute of General
Medical Sciences
National Institutes of Health
Bethesda, Maryland 20014

Telephone: (301) 496-7181

AVAILABILITY OF GUIDELINES

NATIONAL CANCER INSTITUTE

NOTICE

The National Cancer Institute has available a limited number of copies of guidelines for investigators who plan to apply for support for multifaceted or multidisciplinary studies concerned with cancer. Interested parties are urged to request these guidelines before beginning to write the application. Requests should be addressed to:

Deputy Director
Division of Cancer Research
Resources and Centers
National Cancer Institute
Room 10A03, Building 31
Bethesda, Maryland 20014

DIABETES RESEARCH AND TRAINING CENTERS,

NATIONAL INSTITUTE OF ARTHRITIS,

METABOLISM, AND DIGESTIVE DISEASES

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

The National Institute of Arthritis, Metabolism, and Digestive Diseases plans to extend its request for applications for Diabetes Research and Training Centers which was originally announced in Vol. 5, No. 18, October 8, 1976, of the *NIH Guide for Grants and Contracts*. These Centers are established under authority Part D of Title IV of the Public Health Service Act as amended by the National Diabetes Mellitus Research and Education Act of 1974 (PL 93-354) (42 USC 289c-2).

A Diabetes Research and Training Center is defined as a resource formed within a single university center, or through a consortium of cooperating institutions including a university-affiliated center, dedicated to conducting research and programs for training in diabetes mellitus and related endocrine and metabolic disorders. Specifically, each Diabetes Research and Training Center is charged by the National Diabetes Mellitus Research and Education Act with conducting "A) research in the diagnosis and treatment of diabetes mellitus and related endocrine and metabolic disorders and the complications resulting from such disease or disorders, B) training programs for physicians and allied health personnel in current methods of diagnosis and treatment of such disease, disorders, and complications, and C) information programs for physicians and allied health personnel who provide primary care for patients with such disease, disorders, or complications." It is the inclusion of training and education efforts with the research program efforts that distinguishes the Diabetes Research and Training Centers from the "Diabetes-Endocrinology Research Centers" which are specifically oriented toward research goals. The "Diabetes-Endocrinology Research Centers" program will continue to be supported with receipt dates for applications on the regular schedule for grant applications.

The implementation of this program is integral to the Institute's plans for fiscal year 1978. However, the number of Diabetes Research and Training Center grants to be awarded will be contingent upon the appropriation and apportionment of funds for this purpose. Institutions receiving awards will be selected on the basis of national competition, including consideration by a peer review panel and by the National Advisory Arthritis, Metabolism, and Digestive Diseases Council. The Diabetes Research and Training Centers will be funded by the grant mechanism, but under conditions that will require close coordination with the National Institute of Arthritis, Metabolism, and Digestive Diseases.

Applications for Diabetes Research and Training Center grants must be submitted, in accord with the required format, prior to October 1, 1977. It is important that potential applicants consult with staff of the National Institute of Arthritis, Metabolism, and Digestive Diseases prior to the submission of an application, to determine if the proposed program meets the criteria of a

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Diabetes Research and Training Center. Therefore, potential applicants are asked to submit letters of intent, prior to July 1, 1977, to:

Office of the Associate Director for
Extramural Program Activities
National Institute of Arthritis, Metabolism,
and Digestive Diseases
National Institutes of Health
Bethesda, Maryland 20014

Further information, copies of the Guidelines, and application materials may be obtained from:

Diabetes Program Director
Extramural Programs
National Institute of Arthritis, Metabolism,
and Digestive Diseases
National Institutes of Health
Bethesda, Maryland 20014

Telephone: (301) 496-7418

MULTIPURPOSE ARTHRITIS CENTERS

NATIONAL INSTITUTE OF ARTHRITIS, METABOLISM,

AND DIGESTIVE DISEASES

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

The National Institute of Arthritis, Metabolism, and Digestive Diseases plans to extend its request for applications for Multipurpose Arthritis Centers which was originally announced in Vol. 5, No. 20, November 20, 1976, of the *NIH Guide for Grants and Contracts*. These centers are established under authority of Part D of Title IV of the Public Health Service Act as amended by the National Arthritis Act of 1974 (PL 93-640) (42 USC 289c-6).

A Multipurpose Arthritis Center is defined as a resource which consists of the facilities of a single institution or a consortium of cooperating institutions through which a group of formally cooperating health personnel can be brought together to demonstrate and foster the prompt and effective application of available knowledge and the development of urgently needed new knowledge. Each Center will have or will develop a program in three major fields: education, research, and community-related activities.

Each Center, in accord with the National Arthritis Act of 1974, shall conduct:

- A. Basic and clinical research into the cause, diagnosis, early detection, prevention, control, and treatment of arthritis and complications resulting from arthritis;
- B. Training programs for physicians and other health and allied professionals in current methods of diagnosis, screening and early detection, prevention, control, and treatment of arthritis;
- C. Information and continuing education programs for physicians and other allied health professionals who provide care for patients with arthritis; and
- D. Programs for the dissemination of information to the general public.

The National Institute of Arthritis, Metabolism, and Digestive Diseases plans to make new awards for Centers during fiscal year 1978, contingent upon the appropriation and apportionment of funds for this purpose. In addition, it is anticipated that, following appropriate peer review of all applications submitted, the Institute will be able to make a number of awards with consideration given to geographic distribution.

Applications for Multipurpose Arthritis Center grants must be submitted, in accord with the required format, prior to October 1, 1977. Potential applicants are requested to submit letters of intent, prior to July 1, 1977; and are invited to consult with staff of the National Institute of

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Arthritis, Metabolism, and Digestive Diseases prior to the submission of an application, to determine if the proposed program meets the criteria of a Center. Copies of the Guidelines, application materials, and further information may be obtained from:

Arthritis Program Director
Extramural Programs
National Institute of Arthritis,
Metabolism, and Digestive Diseases
National Institutes of Health
Bethesda, Maryland 20014

Telephone: (301) 496-7241