

# NIH GRANTS

# POLICY GUIDE

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

No. 2, June 19, 1970

## Predocctoral Research Fellowships (NIH 70-3)

**POLICY CHANGE**

1. Applications for the NIH Predocctoral Research Fellowship Program will no longer be accepted, effective with those which would ordinarily be subject to the October 1, 1970, deadline.
2. Commitments to present predocctoral fellows will be honored.
3. Predocctoral fellowship applications which met the April 1, 1970, deadline and were recommended for approval will be funded to the extent of funds allocated to the program by NIH.
4. The Predocctoral Research Training Grant Programs will not be affected.

## References

- (1) Information for Postdoctoral Research Fellows, July 1, 1968, rev., PHS Pub. No. 1437.
- (2) Program Announcement, Predocctoral Research Fellowships, Sept. 1969.

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Extension of Project Period (NIH 4802)

**POLICY CHANGE**

1. This policy change is effective for applicable NIH grants and awards made on or after July 1, 1969, and supersedes, for the NIH, information in other policy documents inconsistent with this policy as presented.

2. The policy stated herein is applicable to grants for research projects (including research project grants, program project grants, center grants, and resource grants) and grants for training projects. The terms "research projects" and "training projects" do not include institutional support programs such as Health Professions Basic Improvement grants, Allied Health Improvement grants, grants to Schools of Public Health, General Research Support grants, etc.

3. The restriction placed on the extension of project periods of 7 years' duration and the policy which states that a project period extension must be requested by the grantee before the end of the project period are revised as follows:

- a. Where additional time is required to assure adequate completion of a project, or to fulfill the purposes of a project, the project period may be extended. A project period may not be extended beyond 7 years, however, except to permit continuation or completion of the same project by use of funds previously awarded but remaining unencumbered at the end of such 7 years.
- b. The duration of a project period will be extended only after negotiation between the appropriate officials of the grantee institution and the NIH awarding unit.
- c. Negotiations between grantees and NIH awarding units regarding project period extensions must be completed not later than 6 months following the start date of a continuation award or 6 months following the termination of the final budget period, whichever is the earlier.
- d. Negotiations regarding extending the duration of a project period may be either at the initiative of the NIH awarding unit or the grantee institution.
- e. No single extension may exceed 12 months.

4. Even though the above represents a liberalization of NIH policy, grantee institutions are urged, in order to maintain up-to-date grant records, to continue the practice of requesting changes in a project period well in advance of termination dates.

Release of Information on Research Projects (NIH 4201)

**POLICY CHANGE**

1. Purpose. This issuance states the revised policy on the release of information concerning research 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 research grants or awards 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) Investigators are expected to make the results of their research promptly available to the scientific public. Investigators supported by NIH are free to submit for publication reports of their findings to the journals of their choice.
- (2) Prior NIH approval is not required for reporting results of a scientific 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 investigation was supported by PHS Research 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 on research grants--regardless of the reasons for the request--to any member of the public. The National Institutes of Health makes available each month to members of the press and other interested persons a report listing the research grants awarded in the preceding month. Information made available includes the title of the project, name and institution affiliation of the principal investigator, and the amount of the award. In addition to the monthly report, 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.
  - (5) Information describing the nature of research provided through:
    - (a) Research Grants Index, PHS Publication No. 925, Superintendent of Documents, Government Printing Office, Washington, D.C. 20402, and
    - (b) Science Information Exchange, 1730 M Street, N.W., Washington, D.C. 20036.
- c. Exceptions to Public Disclosure - The following categories of information on applications and awards will not be released except as indicated:
- (1) Applications for research grant support are considered privileged information. Until such time as an application is approved and a grant awarded, no information is disclosed except for the use of Section I of the PHS-398 application and the Notice of Research Project, PHS-166, by the Science Information Exchange in connection with its responsibilities for exchange of information among participating agencies.
  - (2) Section II of the PHS-398 application form or the corresponding material in the PHS-2590 application form
  - (3) Details of estimated budgets
  - (4) Any reports other than the terminal progress report unless specifically agreed to by the principal investigator and the grantee institution
  - (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, Grant for Research Projects, PHS Pub. No. 1301, rev. July 1, 1967
- (5) PPO #105, May 25, 1964.

Disposition of NIH Grant-Related Income (NIH 5601)**POLICY**

1. Background. DHEW Grants Administration Manual Chapter 1-420 "Disposition of Grant-Related Income" issued March 31, 1969, states DHEW policy relating to accountability for, and disposition of, income generated by activities performed under grants and awards supported by the various components of the Department. This DHEW policy is: "The grantee is accountable to the awarding agency for the Federal share of any grant-related income."

2. Definitions.

- a. Grant - As used herein, "grant" includes all extramural awards, exclusive of contracts, administered by the National Institutes of Health.
- b. Grant-Related Income - Income derived by a grantee organization from activities conducted under a grant. Such income may be produced by the services of individuals or by employing equipment, facilities, or general services of the grantee organization.
- c. Federal Share - The percentage borne by Federal government agencies of the total cost (direct or indirect) of an activity represents the Federal share of the cost of that activity. The Federal share of any grant-related income produced by that activity is determined by applying the same percentage factor.
- d. NIH Share - The percentage borne by the National Institutes of Health of the total cost (direct or indirect) of an activity represents the NIH share of the cost of that activity. The NIH share of any grant-related income produced by that activity is determined by applying the same percentage factor.

3. Policy. The grantee is accountable to the National Institutes of Health for the NIH share of any grant-related income.

4. Specific Policy and Procedures. In those awards where grant-related income can be anticipated, the NIH awarding unit, following such discussion and negotiation with the grantee as is appropriate, may at the time of an award elect the time and method of reporting and the disposition of the NIH share of the grant-related income. In all other awards the grantee institution may elect, within the options available, the method of disposition of grant-related income. Disposition of all such grant-related income shall be in accordance with one or more of the following options:

- a. The level of expenditures from grant funds may be reduced by the amount equal to the NIH share of the grant-related income.
- b. The funds may be treated as a partial payment to the award of a succeeding (continuation) grant.
- c. The funds may be used for health-related research and research training purposes.
- d. 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 grant account and the reason for the payment.

5. Disposition of Professional Fees. Detailed guidelines for handling fees earned by Research Career Program awardees, recipients of direct NIH fellowships and direct NIH traineeships, and individuals receiving training stipends from NIH training grants are provided in attached appendices A, B, and C, respectively.

6. Grantee Records. Grantee institutions will maintain records of the receipt and disposition of the NIH share of all grant-related income in the same manner as required for the funds provided by the grant which gave rise to the income.

7. Cost Sharing/Matching Requirements. Expenditure of the Federal share of grant-related income will not be allowed in meeting cost sharing or matching requirements except for grants under those programs where it is clear that legislative intent was to permit such income to be used for those purposes.

8. Applicability. Subject to such legal limitations as may be prescribed by program legislation, this policy is applicable to all grants and awards administered by the National Institutes of Health except: (1) construction grants, and (2) certain NIH programs administered by the Bureau of Health Professions Education and Manpower Training (BEMT) in which the amount of the grant or the decision to award it is not within the administrative discretion of the agency. Such BEMT programs include: (1) Health Professions Basic Improvement Grants, (2) Allied Health Professions Basic Improvement Grants, (3) Formula Grants to Schools of Public Health, (4) Nursing Institutional Grants, (5) Health Professions Student Loans, (6) Nursing Student Loans, (7) Health Professions Scholarship Grants, and (8) Nursing Student Scholarships.

9. Effective Date. The policy described above is effective for all grants and awards with start dates or award dates on or after March 1, 1970, or as otherwise stated in appendices A, B, and C.

#### References

- (1) DHEW Grants Administration Staff Manual, Chapter 1-420, "Disposition of Grant-Related Income."
- (2) Policies Governing the Research Career Program, dated July 1, 1967, and October 1, 1967.

NIH Policy on Disposition of Professional Fees  
Earned by Individuals Receiving Trainee Stipends  
From NIH Training Grants

The following policy is effective as of July 1, 1970, and is applicable to training grant awards becoming active on or after that date.

Applicability: This policy covers all individuals receiving trainee stipends from NIH training grants which are awarded under the authority of Section 301(d) of the Public Health Service Act, as amended.

Policy: Fees resulting from clinical practice, professional consultation or other comparable activities performed pursuant to the purpose of the training grant from which the individual receives a stipend, may not be retained by the trainee. 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 stipend supplementation, within the established policies of the grantee institution.
2. The level of expenditures from the training grant which paid the stipend may be reduced by an amount equal to the earned fee.
3. Such assigned fees may be treated as a partial payment on the training grant award of a succeeding (continuation) grant.
4. Such fees may be used for health-related research and research training purposes.
5. 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 grant account and the reason for the payment.

Records: Adequate records regarding the receipt and disposition will be maintained by the grantee institution and will be available for review upon request by appropriate auditors.

Cost Sharing: Expenditure of such fees will not be allowed in meeting cost sharing or matching requirements for any NIH-supported programs.

Exclusion: The term professional fees in this policy announcement 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 non-profit organizations. These fees, if within institutional policy, may be retained by the awardee.

NIH Policy on Disposition of Professional Fees  
Earned by Recipients of NIH Direct Fellowships  
and Direct Traineeship Awards

The following policy is effective as of July 1, 1970, and is applicable to relevant awards made on or after that date.

Applicability: This policy covers all NIH fellowships and traineeships which are awarded under the authority of Sections 301(c) and 433(a) of the Public Health Service Act, as amended.

Policy: Fees resulting from clinical practice, professional consultation or other comparable activities performed pursuant to the purpose of the award may not be retained by the awardee. Such fees will be assigned to the sponsoring institution for disposition by any of the following methods:

1. Such fees may be expended by the sponsoring institution in accordance with the NIH policy on stipend supplementation, within the established policies of the sponsoring institution.
2. Such fees may be used for health-related research and research training 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.

Records: Adequate records regarding the receipt and disposition will be maintained by the sponsoring institution and will be available for review upon request by appropriate auditors.

Cost Sharing: Expenditure of such fees will not be allowed in meeting cost sharing or matching requirements for any NIH-supported programs.

Exclusion: The term professional fees in this policy announcement 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 non-profit organizations. These fees, if within institutional policy, may be retained by the awardee.



NIH Policy on Disposition of Professional Fees  
Earned by Research Career Program Awardees

Effective immediately, the National Institutes of Health policy covering the disposition of professional fees earned by NIH Research Career Program (RCP) awardees (Development and Career) is revised and, as given herein, is applicable to both currently active and future awards.

Policy: Fees resulting from clinical practice, professional consultation, or other comparable activities performed pursuant to the purposes of the award, may not be retained by the awardee. 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 RCP salary supplementation to supplement the salaries of RCP awardees 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 and research training 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.

Records: Adequate records regarding the receipt and disposition will be maintained by the grantee institution and will be available for review upon request by appropriate auditors.

Cost Sharing: Expenditure of such fees will not be allowed in meeting cost sharing or matching requirements for any NIH-supported programs.

Exclusion: The term professional fees in this policy announcement 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 non-profit organizations. These fees, if within institutional policy, may be retained by the awardee.