T-32 Training Grants and the Department Administrator
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What is a “training grant”? 

A training grant is an assistance award awarded to “eligible institutions to develop or enhance research training opportunities for individuals, selected by the institution, who are training for careers in specified areas of biomedical, behavioral and clinical research”.
NIH Training Grant: “horse of a different color”

• Proposal stage - different forms, different budget guidelines, significant amount of data required for submission

• Post-award process – more forms (via X-train), payback agreements, strict policy for allowable expenses, challenging close-out process
Institutional Training Grants Proposal

Stage: What should I do first?

• Check [http://grants.nih.gov/grants/guide/pa-files/PA-11-184.html](http://grants.nih.gov/grants/guide/pa-files/PA-11-184.html) to check deadline for competitive renewals (these are Institute specific)
• Make sure the PI consults with the appropriate PHS awarding institute/center (IC) first
• Review the current T32 FOA
• ([http://grants.nih.gov/training/nrsa.htm](http://grants.nih.gov/training/nrsa.htm))
• Review additional Program Announcements that may be issued periodically by specific institutes
Institutional Training Grants Proposal Stage: What should I do first?

• Keep in mind:
• Instructions for applications requesting $500,000 or more per year apply to training grants, too! (Exception: NIGMS, NICHD, NEI, NIDCR and NINR)
  o Contact the IC program staff at least 6 weeks before submission
  o Obtain agreement from staff to accept the application
  o Identify the IC staff member in a mandatory cover letter to be submitted with the application
Preliminary Preparation

• Obtain the list of preceptors/trainers from the PI.
• Determine whether “slots” on this training grant will be for graduate students (Pre-docs), Post docs or “short-term research training” for students in health professional degree programs
• Determine how many “slots” will be requested
What is a preceptor/mentor/trainer?

• These are the individuals who contribute to the training program and are involved in the research area that is the focus of the training grant
• Also ones who will mentor the trainees appointed to the training grant
• Important to define mentors before gathering information for the data tables
What does a preceptor provide for a training grant submission?

Got that list of preceptors? Keep checking with the PD/PI for updates to it and get the following from each individual:

- Biosketch
- Other Support
- Training Record
- Information regarding resources available to trainees
- All applicable UCAR approval information
- All applicable IRB approval information
- Description of preceptor research
- Information, re: collaborations with other preceptors on the project
Training (T) Grants: Paper or Electronic?

- New, renewal and resubmitted NIH Training Grants are now electronic
- See Part 8, Supplemental Instructions to the SF 424 (R&R) for Preparing Institutional Grants
- Progress reports are still paper, using the PHS 2590 forms
The Application Forms: Special Instructions for NRSA Institutional Training (T) Grants

Section 8.4.3: Special Instructions for Research & Related Other Project Information

• Are Human Subjects Involved? Check “Yes” if definite or potentially definite

• Are Vertebrate Animals Used: Check “Yes” if definite or potentially definite
The Application Form: Special Instructions for NRSA Institutional Training (T) Grants

Section 8.4.3: Special Instructions for Research & Related Other Project Information

- Item 7 – Project Summary/Abstract - no longer than 30 lines of text
- Item 8 – Project Narrative – relevance of the research training program to public health
- Item 9 – Bibliography & References Cited
The Application Form: Special Instructions

Section 8.4.3: Special Instructions for Research & Related Other Project Information

• Item 10 – Facilities & Other Resources
  o Describe what will be used in the proposed training program
  o Describe how the institution will support training program
    • Space
    • Shared laboratory facilities and equipment
    • Funds for curriculum development
    • Release time for the PD/PI and participating faculty
    • Support for additional trainees in the program
    • Other creative ways to improve climate for the establishment and grown of the research training program
The Application Form: Special Instructions

Section 8.4.3: Special Instructions for Research & Related Other Project Information

- Item 12 Other Attachments – leave blank unless specifically requested in the FOA

Section 8.4.4: Special Instructions for Senior/Key Person Profile (Expanded) Component

- Only include profiles for PD/PI and training faculty and other individuals whose contributions are critical to Research Training Program Plan
- Do not include proposed mentors and training faculty members (other than senior/key persons) in this section
  - Biographical Sketches for mentors and participating faculty will be included in the PHS 398 Research Training Program Plan, not in Senior/Key Person Profile
Training Tables

• Table 1 – Membership of Participating Departments
  
  o **Rationale for the table:** Allows reviewers to determine whether the training program has the “critical mass” to be successful.
  
  o **Source of information:** Department Administrative staff and Graduate Education Office

• Table 2 - Participating Faculty Members
  
  o **Rationale for the table:** concisely summarizes the scientific areas of interests of the preceptors and allows reviewers to see the distribution of junior vs. senior faculty.
  
  o **Source of information:** Preceptors and Departmental Administrative staff
Training Tables

• Table 3 - Institutional Training (T) Grant Support Available to Participating Faculty Members
  o Rationale for the table: Evaluation of available training programs and scientific overlap with the training program under consideration – useful for reviewers to determine the number of training positions to award.
  o Source of information: Central Pre-award Office

• Table 4 - Grant and Contract Support of Participating Faculty Members
  o Rationale for table: Provides evidence of availability of funds, strength of environment and appropriateness of preceptors.
  o Source of information: Preceptors
Training Tables

• Table 5 - Pre and Postdoctoral Trainees of Participating Faculty Members
  o **Rationale for the table:** Allows evaluation of the preceptors’ success in facilitating the progression of their students and their ability to commit appropriate time to additional mentoring activities.
  o **Source of information:** Preceptors

• Table 6 - Publications of Research Completed
  o **Rationale for table:** Indicator of trainee productivity, research quality and success of preceptors in facilitating publication by trainees
  o **Source of information:** Preceptors
Training Tables

• Table 7A - Admissions and Completion Records for the Participating Departments and Programs During the Past 5 Years - Predoctoral Applicants
  o Rationale for table: Evaluation of ability to recruit and retain predoctoral trainees
  o Source of information: Graduate Studies Office and Graduate Program Coordinators

• Table 7B - Admissions and Completion Records for the Participating Departments and Programs During the Past 5 Years - Postdoctoral Applicants
  o Rationale for table: Evaluation of ability to recruit and retain postdoctoral trainees
  o Source of information: Departmental Administrative staff
Training Tables

• Table 8A - Qualifications of Recent Predoctoral Applicants
  o Rationale for table: Evaluation of the quality and depth of the predoctoral applicant pool
  o Source of information: Graduate Studies Office

• Table 8B - Qualifications of Recent Postdoctoral Applicants
  o Rationale for table: Evaluation of the quality and depth of the postdoctoral applicant pool
  o Source of information: Department Administrative Staff
Training Tables

• Table 9A - Qualifications of the Current Predoctoral Trainees Clearly Associated with the Training Program
• Table 9B - Qualifications of the Current Postdoctoral Trainees Clearly Associated with the Training Program
  o **Rationale for table:** Determining the number and quality of all trainees currently enrolled in the program and their distribution by department and mentor. For renewal applications, indicates the selectivity of appointments to the training grant. Used to determine the number of slots to award.
  o **Source of information:** Graduate Studies Office for Predocs and Departmental Administration staff for Postdocs
Training Tables

• Table 10 - Admissions and Completions Records for Underrepresented Minority (URM) Trainees, Trainees with Disabilities, and Trainees from Disadvantaged Backgrounds, Clearly Associated with the Training Program

  o **Rationale for table:** To document the success of the program in recruiting and retaining trainees who are under-represented minorities

  o **Source of information:** Graduate Studies Office and Department Administrative staff
Training Tables

- Table 11: Appointments to the Training Grant for Each Year of the Past Award *(Renewal Applications Only)*
  - **Rationale for table:** Evaluation of the utilization of awarded training positions
  - **Source of information:** Training program records
- Table 12A - Predoctoral Trainees Supported by this Training Grant *(Renewal Applications Only)*
- Table 12B - Postdoctoral Trainees Supported by this Training *(Renewal Applications Only)*
  - **Rationale for table:** Evaluation of the success of the program in achieving training program objectives
  - **Source of information:** Training grant records
Congratulations on your award!

Now what do you do?
Award Process

• Pre-award costs are unallowable

• NIH Notice of Grant Award is issued to grantee organization with typical budget period of 12 months
Prior Approvals Required

- Changes in the program objectives as related to the area of research training
- Absence of the program director for more than 3 consecutive months
- Transfer of an grant from one domestic institution to another
- Carry forward as stated in your NOGA
Recruitment

Keep in mind:

• Trainees must be citizens or non-citizen nationals or admitted for permanent residence
• Predocs must have received their bachelor’s degree by the start date of their appointment and enrolled in a program leading to a Ph.D.
• Postdocs must have received their doctoral degree by the start date of their appointment
• Trainees may not be studying for an M.D. or D.D.S or other clinical training EXCEPT when in a formal combined program such as the M.D./Ph.D.
• NRSA training grants will not support residency programs
• Trainees are required to pursue their training **full time** (minimum of 40 hours per week) (work = class time + study time + lab time)
Recruitment

• Part-time (minimum of 50% effort) requests are handled on a case by case basis, submitted in writing and countersigned by trainee, program director & authorized institutional official
• Training must continue to be at least 50%. Anything less requires leave of absence
• Stipend will be prorated during the period of any approved part-time training. Part-time training may affect the rate of accrual or repayment of the service obligation for postdoctoral trainees

Don’t forget minority recruitment in underrepresented groups in biomedical and behavioral research!
• Minority at NIH means: African Americans, Hispanic Americans, Native Americans, Alaskan Natives, Hawaiian Natives, and natives of U.S. Pacific Islands
Administration

• At the time of initial appointment, at each subsequent annual appointment, and anytime the term of a current appointment changes, a new or revised Statement of Appointment form to the NIH IC (PHS 2271) must be submitted.

• At the time of initial appointment a signed Payback Agreement must be submitted for each postdoc trainee (PHS 6031)

• Important Note: The Program Director must explain the terms of the payback service requirement to all prospective postdoctoral training candidates

• When central pre-award personnel sign your training grant progress reports, they are certifying that the terms of the payback requirement have been explained to all appointed postdoctoral trainees
Administration

• Stipend level for first year is determined by number of full years of relevant postdoc experience at time of appointment (relevant experience may include industrial, teaching assistantship, internship, residency, clinical duties or other time spent in a health related field beyond the qualifying doctoral degree). This is calculated based on the month/year that their degree was conferred.

• Stipend for each additional year of support is the next level in the stipend structure and does not change mid-year.
Administration

• Stipend supplementation for postdocs;
• Positively no PHS funds may be used for supplementation
• From non-Federal funds with no obligation to the trainee (exception – with specific authorization, Federal educational loan funds or VA benefits)
• Amount of stipend supplementation determined by grantee policy and consistently applied
Administration

• Student Compensation (this is an NIH guideline – check your institutional policy before allowing the following)
• Students may seek part-time employment while training – must be an employer-employee relationship, payment for services rendered, etc.
• Compensation must be in accordance with grantee policies as applied to federal and non-federal supported activities
• Since it is an employer-employee relationship, PHS funds can be used provided the research grant does not support the same research that is part of the trainee’s training experience
Administration

Taxability of stipends

• Degree candidates may exclude from gross income (for tax purposes) any amount used for course tuition and related expenses such as fees, books, supplies and equipment required for courses

• Non-degree candidates are required to report as gross income all stipends and any monies paid on their behalf for course tuition and fees required for attendance
“It must be emphasized that the interpretation and implementation of the tax laws are the domain of the IRS and the courts. NIH takes no position on what the status may be for a particular taxpayer, and it does not have the authority to dispense tax advice. Individuals should consult their local IRS office about the applicability of the law to their situation and for information on their tax obligations.”
Administration

Form 1099

- Although stipends are not considered salaries, the income is still subject to Federal and sometimes state taxes
- May be reported by grantee via IRS Form 1099, Statement of Miscellaneous Income
- Whether the form is used by the grantee or not, trainee is still required to report NRSA stipends as income

Employee benefits

- Trainee, not employee
- Inappropriate and unallowable to charge training grants employee benefits (for example, FICA, worker’s compensation, unemployment insurance)

Cost principles

- A-21 apply to T awards (allowable, allocable, reasonable, consistent)
• Carry forward
  • Most institutional training grants do not allow for unexpended balances to be carried forward without prior approval.
  • Check your NOGA
  • Even if carry forward is allowed it may be restricted
Progress Reports

• Progress report must be submitted for noncompeting continuation support
• Non eSNAP, paper submission
• Progress reports must include
  o Description of training received by appointed trainees with resulting publications
  o Updated list of UCAR approvals
  o Updated list of IRB approvals
  o Biosketches for new selected preceptors
  o Summary of trainees form
  o Inclusion enrollment report (minorities)
xTrain

• Allows grantee institutions to electronically submit and track required paperwork for research training grants
  o PHS 2271 Appointment Forms
  o PHS 416-7 Termination Notices
• REQUIRED as of January 1, 2011
• Benefits of xTrain
  o Speeds up the NIH approval process
  o Reduces chance of data entry errors associated with paper appointment forms/termination notices
  o Provides institutional and NIH users with an ongoing record of status for the forms
xTrain Getting Started

• Before processing your first XTrain document go to the following website for tutorials and helpful hints:
http://era.nih.gov/services_for_applicants/other/xTrain.cfm
xTrain Roles and Responsibilities

• Program Director (PD/PI)
  o Responsible for programmatic direction of the training program
  o Initiates Appointing Trainees, amends Appointment Forms if necessary and initiates Termination Notices
  o Can delegate authority to perform XTrain related functions on his/her behalf using ASST role up to, but not including, submitting forms to Agency

• PD/PI Delegate (ASST Role)
  o Delegated by PD/PI. Performs xTrain Related functions on behalf of the PD/PI
    • Receives same notifications and performs same actions as the PD/PI with the exception of submission to Agency
xTrain Roles and Responsibilities

• Trainee
  o Person at the grantee institution to be appointed to as the Trainee on a training grant
  o Must have the opportunity to carry out supervised biomedical or behavioral research with the goal of developing or extending their research skills and knowledge

• Signing Official or Business Official
  o Responsible for approving and routing Termination Forms to the Agency
Inviting Trainees to Register in xTrain

• When PD/ASST creates New Appointment they are prompted for Trainee’s User ID
• ALWAYS verify the Trainee does not already have an ID by searching by name before creating new profile
• Once Trainee has been identified, or new profile created you will be directed to the Appointment form to enter basic information about the appointment.
• A box at the bottom of the screen will prompt you to “Invite Trainee Now” or “Invite Trainee Later”
• Trainees receive an automated email from xTrain asking them to complete the Appointment Form
Trainee Information in eRA Commons and xTrain

• Once trainee has verified all information in the profile and on the Appointment form they then click “Save”
  o If they have any questions, they can contact the PI and or ASST prior to routing the document further
  o Once all questions have been resolved the trainee should click “Save and Route to PI”

• Trainee should view the PDF document and print a copy of the Appointment Form for their records

• Payback agreements for Postdocs must be printed, signed and mailed to the NIH

• All Permanent Resident trainees appointed must have original Notarized copy of their green card mailed to the NIH
Appointments

Important tip:

Close-out process will be easier if you appoint individuals at the beginning of pay period
Appointments

• No one may receive more than 5 years of aggregate NRSA support at the predoc level Or 3 years aggregate support at the postdoc level
• An extension may be requested for the following exceptions:
  o Individuals in a combined program (M.D./Ph.D.)
  o Interruptions in planned research training
  o Extension for opportunity to use exceptional training resource
# Periods of Appointments

- Appointment periods may overlap budget periods
- Unbooked travel and training related expenses require carryover and this is a may be a prior approval procedure from NIH.
- Health can be considered booked if the trainee takes it for the appointment period.

<table>
<thead>
<tr>
<th>Year 1</th>
<th>Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/1/010 - 6/30/11</td>
<td>7/1/11 - 6/30/12</td>
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</tbody>
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**Appointment Period**

1/1/11 - 12/31/11

**Stipend & Tuition $$** (6 months reported as unliquidated obligation)
NRSA Stipend & Other Budgetary Levels Effective for Fiscal Year 2012

**Institutional Training Grants**

<table>
<thead>
<tr>
<th>Award Category</th>
<th>Predoctoral</th>
<th>Postdoctoral</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>NEW</td>
<td>NEW</td>
</tr>
<tr>
<td>Stipend (FY11)</td>
<td>$22,032</td>
<td>$39,264-$54,180</td>
</tr>
<tr>
<td>Tuition/Fees</td>
<td>60% up to $16,000</td>
<td>60% up to $4,500</td>
</tr>
<tr>
<td></td>
<td>60% up to $21,000 for dual degree</td>
<td>60% up to $16,000 for additional degree</td>
</tr>
<tr>
<td>Training Related Expenses</td>
<td>$4,200</td>
<td>$7,850</td>
</tr>
<tr>
<td></td>
<td>(includes health insurance)</td>
<td>(includes health insurance)</td>
</tr>
<tr>
<td>Trainee Travel (per trainee)</td>
<td>$400 - $1,000 (typical range; varies by NIH awarding component)</td>
<td></td>
</tr>
<tr>
<td>F&amp;A (New)</td>
<td>8% (excludes tuition/fees, equipment, subwards &gt; $25K)</td>
<td></td>
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</tbody>
</table>
xTrain Termination Forms

• PI or ASST initiates the Termination Notice in xTrain
• Pre-populated Termination Notice is in xTrain with information pulled from Trainee profile
• Clicks the “save and route to Trainee” button
• You have the opportunity to send the trainee a message when the Termination Form is routed.
• Trainee receives automated message from the Commons requesting completion of the form
• Majority of information requested is entered by Trainee
• Once complete, trainee clicks “Save and Route to PI”
• PI and ASST are send automated message to review and finalize the document
xTrain Termination Forms

- PI/ASST sends the document to the University Business Official
- Be sure to send the form to the correct Business Official
- Once the Business Official verifies stipend payments and dates they will click “Save and Route to Agency”
- Agency reviews and accepts the Termination Notice
- Automated email from Agency is sent to PI/Trainee/ASST stating document is finalized and fully accepted version can be accessed via xTrain
- ASST saves a complete version of the notice in electronic/paper file
- Stipends paid as stated on Termination form must equal stipend amount actually paid
xTrain Helpful Hints

• When completing summary of training field
  The system will not accept:
  o Blank lines in summary
  o Exceeding 2000 characters
  o If copying summary from Word note special characters do not transfer.

• Remind trainee to route document back to PI.
  o Many trainees click “Save” thinking they have routed the document.

• If the Trainee terminates early, click the “Modify Termination Date” button and the system will automatically amend the end date and recalculate stipend
Leave

- Trainees may receive the same vacations and holidays available to individuals in comparable training positions and continue to receive stipends during vacations and holidays.
- Sick leave and other leave – can continue to receive stipend for up to 15 calendar days of sick leave per year. Can be extended under exceptional circumstances by NIH in response to a written request.
- Sick leave may be used for medical conditions related to pregnancy and childbirth.
Leave

- Trainees and fellows may receive stipends for up to 60 calendar days (equivalent to 8 work weeks) of parental leave per year for the adoption or the birth of a child when those in comparable training positions at the grantee organization have access to this level of paid leave for this purpose. Either parent is eligible for parental leave. The use of parental leave must be approved by the training Program Director.

- Unpaid leave - must be approved in advance by program director and be countersigned by authorized organizational official. Documentation to suspend the period of appointment must be completed by submitting an amended Statement of Appointment form and a Termination Notice to NIH.
Grant Termination (T awards)

• May be terminated if grantee has materially failed to comply with terms and conditions of award or to carry out the purpose for which it was made

• IC will notify grantee in writing of this determination to terminate, giving the reason, the effective date and the right to appeal the decision, all in writing

• Grantee may also request termination
Closeout

• No invention statement required for T awards
• T award closeout process occurs annually
  o Remember unliquidated obligations
Helpful Links

• Ruth L. Kirschstein National Research Service Award policy information, stipend levels, FAQ’s
  http://grants.nih.gov/training/nrsa.htm

• NIH Forms & Applications
  http://grants.nih.gov/grants/forms.htm

• xTrain Site
  http://era.nih.gov/services_for_applicants/other/xTrain.cfm

• eRA Commons
  http://commons.era.nih.gov/commons/
We are here if you need us!

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