



# NIH Extramural Research Training Programs

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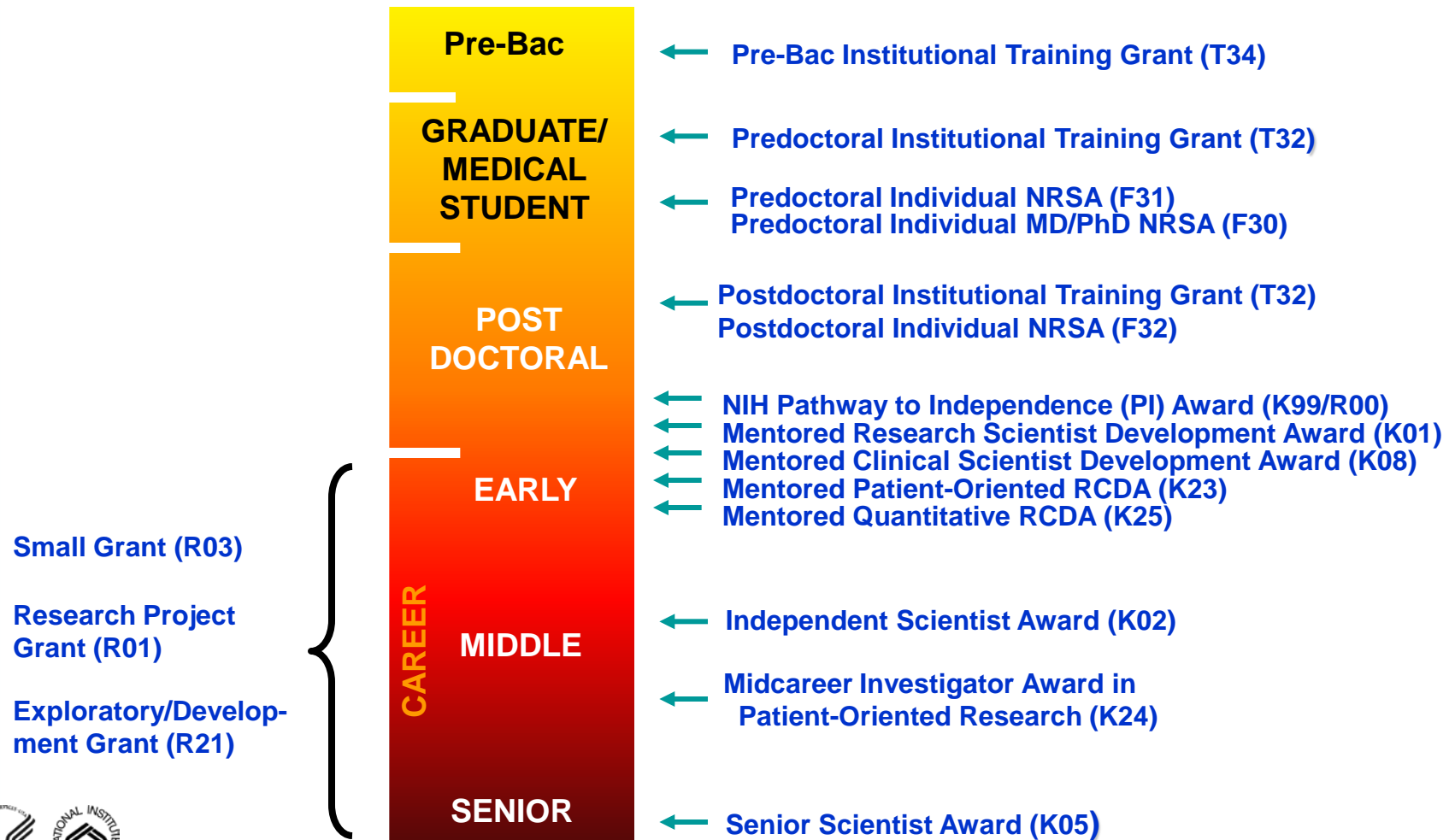
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# Training and Career Timetable

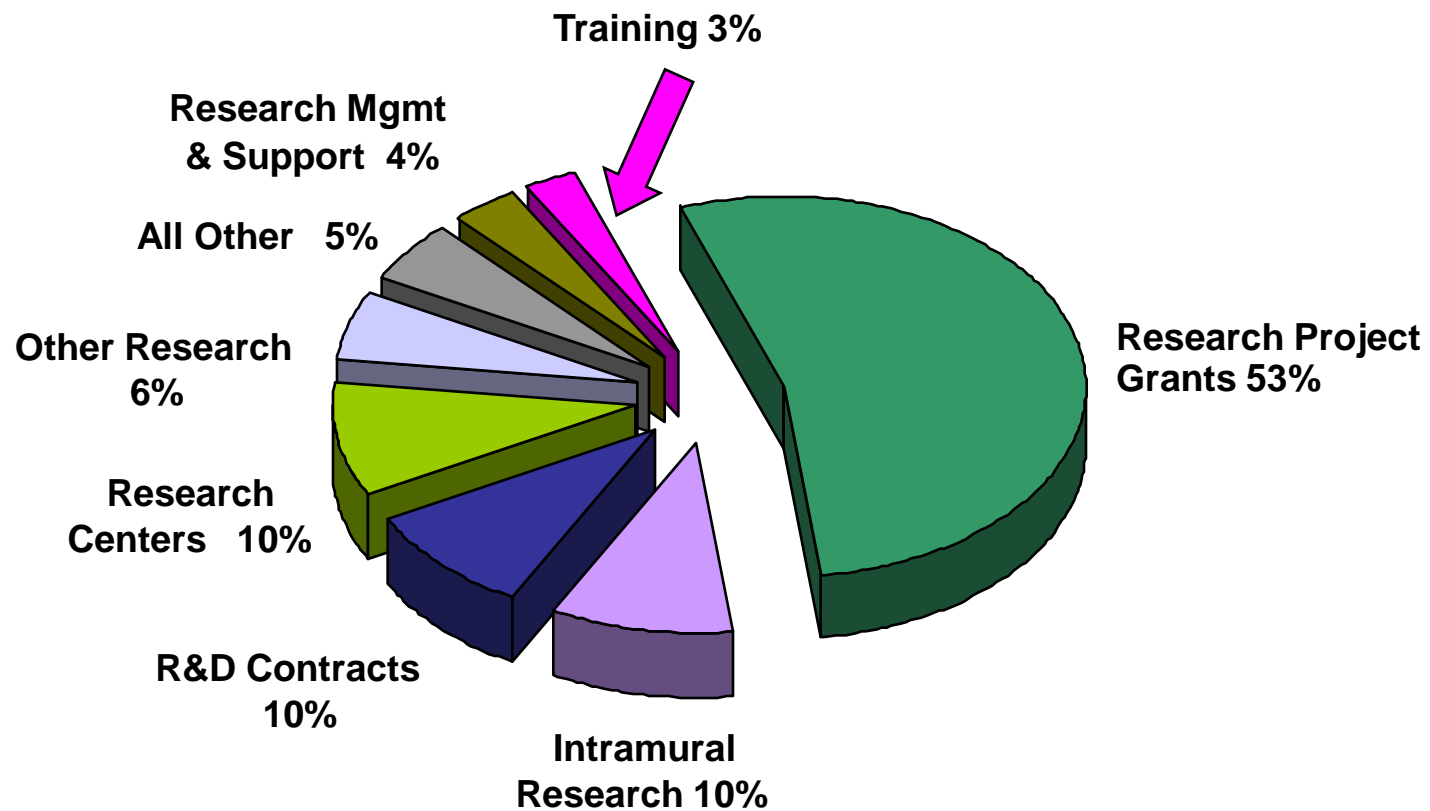
## Approx. Stage of Research Training/Career

## Awards





# FY 2009 Budget \$30.545 Billion





## Purpose of NIH Research Training Programs

To help ensure that a diverse pool of highly trained scientists are available in adequate numbers in the appropriate research areas to address the Nation's biomedical, behavioral, and clinical research needs.



# NIH Institutes and Centers

One of 11 agencies in the Department of Health and Human Services (HHS)



27 Institutes and Centers (IC)





# Research Training Programs

## Two Types of Awards:

- Individual Fellowships (“F” Awards)
- Institutional Training Grants (“T” Awards)

Ruth L. Kirschstein National Research  
Service Awards (NRSA)





- Established by the **NRSA Act of 1974**
- Name change legislation passed August 2002
- Supported by 22 of the 24 awarding NIH Institutes and Centers
- Supported by the Agency for Health Care Research and Quality and the Health Resources and Services Administration



## Policies that apply to Fellowships and Training Grants

- <http://grants.nih.gov/training/nrsa.htm#policy>



# Citizenship Requirements

- Must be Citizen, non-citizen national, or lawfully admitted for permanent residence
- Permanent Residents:
  - Fellowships: Must have been admitted as a Permanent Resident **by the time of award**
  - Training Grants: Must have been admitted as a Permanent Resident **at time of appointment**



# Degree Requirements

- **Pre-Baccalaureate**: Currently enrolled as an honors undergraduate at a minority serving university (MARC and COR trainees)
- **Predoctoral**: Must have a baccalaureate degree and be enrolled in doctoral program leading to PhD or equivalent, or dual research/clinical doctorate such as the MD/PhD
- **Postdoctoral**: Must have a PhD or MD or comparable doctoral degree from an accredited domestic or foreign institution



## Duration of Support:

- Predoc: 5 years\*
- Postdoc: 3 Years
- Aggregate limits, including any combination from individual and/or institutional awards

## Exceptions:

- Physicians/Clinicians (\*combined-degree F30 allows 6 years)
- Interruptions (break in service)
- Other
- Waiver request requires IC prior approval



# Individual Fellowships: Predoctoral

- F30: Individual Predoctoral MD/PhD (or other dual degree) fellowship
- F31: Individual Predoctoral Fellowship
- F31: Individual Predoctoral Fellowship to promote diversity in Health-Related Research



# Individual Fellowships: Postdoctoral

- F32: Postdoctoral Fellowship
- F33: Postdoctoral Senior Fellowship
- All active fellowship programs found at:  
[http://grants.nih.gov/training/F\\_files\\_nrsa.htm](http://grants.nih.gov/training/F_files_nrsa.htm)



# Fellowship Review and Award

- Two-level review
- Generally 5 - 6 month period from receipt to earliest possible award
- Check Program Announcements for variations



# Fellowship Review Criteria

- Applicant
- Mentor(s) and Collaborators/Consultants
- Research Training Plan
- Training Potential
- Institutional Environment and Commitment to Training



# Institutional Training Grants

- Purpose: To develop and enhance research training through a programmatic approach
- Trainees and fellows are **selected by the institution**
- Training usually provided in specified areas



- Application submitted by Institution (not the student/fellow)
- Domestic, non-profit public or private institutions
- Research training must fall within the mission of the NIH awarding Institute or Center



- Applicant Institutions must have:
  - Strong research program in the proposed area(s)
- Program Director is responsible for:
  - Overall direction of the training program
  - Selection and appointment of NRSA eligible trainees



# Types of Institutional Awards

- Full-term 12 month appointments (T32); programs can consist of Predocs, Postdocs, or combination
- Short-term appointments (T35); generally 3-6 months' training for medical students
- Prebaccalaureate (T34)
  - MARC – NIGMS
  - COR – NIMH



## Two Levels of Review:

- Initial Review - Study Section
- Institute or Center Council



- Review Criteria:
  - Training Program and Environment
  - Training Program Director/Principal Investigator
  - Preceptors/Mentors
  - Trainees
  - Training record
- Additional Considerations:
  - Diversity Recruitment
  - Responsible Conduct of Research



# Enhancing Diversity in the Biomedical Workforce

- **Training Awards for Minority Serving Institutions**
  - T34: Minority Access to Research Careers (NIGMS)
  - T34: Career Opportunities in Research (NIMH)
  - R25: Initiative for Maximizing Student Diversity (NIGMS)
  - R25: MBRS Research Initiative for Scientific Enhancement (NIGMS)
  - R25: Bridges to the Baccalaureate Degree (NIGMS, NCMHD)
  - R25: Bridges to the Doctoral Degree (NIGMS, NCMHD)
  - R25: NIGMS' Postbaccalaureate Research Education Program
- **Training Awards for Individual Students**
  - F31: MARC Predoctoral Fellowships (NIGMS)
  - F31: Individual Predoctoral Kirschstein - NRSA Fellowships to Promote Diversity in Health-Related Research
- **Research Supplements to Promote Diversity in Health-Related Research:**

<http://grants2.nih.gov/grants/guide/pa-files/PA-05-015.html>





# Administrative Issues for Both Ts & Fs





- Subsistence allowance to help defray living expenses during the period of training
- Not a salary, not considered employees of either Government or Institution
- NIH publishes levels in NIH Guide when increases are approved
  - Also see:  
<http://grants.nih.gov/training/nrsa.htm>



## Predoctoral:

- One level for all individuals, regardless of years of experience
- FY 2009 Level = \$20,976



## Postdoctoral:

- Dependent on number of years of relevant experience (0 – 7)
- For Fs, level set ***at time of award*** (not activation)
- For Ts, level set ***at time of appointment***
- Once set, no change mid-year
- Subsequent year based on initial level + 1
- Relevant Experience = research, teaching, internship, residency, clinical duties, or other time spend in a health-related field beyond the qualifying degree



## Years of Relevant Experience; FY 2009 Levels:

➤ 0 =	\$37,368
➤ 1 =	\$39,360
➤ 2 =	\$42,204
➤ 3 =	\$43,860
➤ 4 =	\$45,504
➤ 5 =	\$47,460
➤ 6 =	\$49,344
➤ 7 =	\$51,552





# Stipend Supplementation

- Grantees may supplement stipends
  - Amount determined according to formally established policies applied to all in similar training status
- Non-Federal funds
- Without additional effort or obligation to trainee/fellow



- Trainees/Fellows may receive additional compensation for services associated with employment
- Examples: teaching assistant, lab assistant
- In these cases, individual receives a salary, and it is not considered stipend supplementation



## **Can compensation be provided from a NIH research grant?**

- Yes, on a limited part-time basis
- May not be same research that is part of training experience
- Fellowship Sponsor or Training Grant Program Director must approve
- May not interfere with, detract from, or prolong the approved NRSA training



# Stipend Taxability

- IRS (not NIH) has domain over interpretation & implementation
- NRSA Guidelines provide minimal guidance but individuals should consult local IRS offices



# Employee Benefits

- Stipends are not provided as a condition of employment
- At this time, it is inappropriate and unallowable to charge NRSA grants for employee benefits - FICA, workman's comp, unemployment insurance etc.

- **Vacations & Holidays**: Both Predoc and Postdoc Fellows & Trainees may receive same vacations and holidays available to individuals in comparable training positions at the grantee or sponsoring institution. Trainee's will continue to receive stipends.



- **Sick Leave**: May continue to receive stipends for up to 15 calendar days of sick leave per year
- **Parental Leave**: May receive stipends for up to **60\*** calendar days of parental leave per year for the adoption or birth of a child
- **Leave of Absence**: Approval for leave of absence must be requested in advance from awarding component
  - Fellowship: award will be revised extending termination date by the number of months of leave
  - Trainee (T32): terminate & reappoint
  - Stipends may not be reimbursed during leave of absence

\*<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-064.html>





# Part-time Training

- Allowed in unusual and pressing personal circumstances (e.g., medical conditions, disability, child or elder care)
- NIH prior approval required
- Program Director/Sponsor must submit written request, countersigned by trainee/fellow & authorized institutional official
- Must continue to be at least 50%. Less than 50% would require leave-of-absence from NRSA support



# Payback Requirements

**Predocctoral Trainees and Fellows:** None (unless still dealing with an appointment prior to June 10, 1993)

**Postdoctoral Trainees and Fellows:**

- Incur obligation in *first 12 months* of Postdoc NRSA support
- The 13<sup>th</sup> and subsequent months of Postdoc NRSA support can satisfy the Postdoc obligation
  - Normally, individuals with two years of NRSA postdoctoral support have no further obligation
- Postdoc NRSA cannot be used to repay any lingering Predoc obligation





# Acceptable Payback Service

- Health-related biomedical, behavioral, and/or clinical research
- Health-related teaching
- Direct administration or review of health-related research
- Any combination of these activities
- Definition of health-related has broadened
  - Range of activities related to the description, diagnosis, prevention or treatment of disease
  - From the most basic biomedical/behavioral research & teaching to applied clinical research & teaching
  - Also includes agriculture, environmental sciences, biotechnology & bioengineering



# Acceptable Payback (cont.)

- Activities must average  $\geq 20$  hours per week
- $< 20$  hours per week is allowable in cases of disability or other pressing personal circumstances
- $< 20$  hour/week activity will be prorated
- Exceptions are rare & require prior NIH approval



# Payback Reporting Requirements

- Annual Payback Activities Certification (APAC) (PHS Form 6031-1)
- Mailed annually on the anniversary of termination of support
- Report reflects activities performed during last 12 months
- Service must begin within 2 years of termination



# Financial Payback

- Can be voluntary or involuntary
- Amount owed is total stipend received (plus interest when applicable)
- Most people pay back with service
  - Less than 2 percent of all NRSA recipients with obligations (more than 110,000 individuals) have had waivers or have engaged in financial payback



- Rare & requires NIH Director approval
- Permanent or Total Disability
- Substantial hardship & against equity
- Any remaining obligation is cancelled upon death



# Administrative Issues for Individual Fellowships





# Signatures, Assurances, & Certifications

- **Individual Fellow & Sponsor**: No longer separate signatures; are now an institutional responsibility to secure & retain for each application submitted
- **Human Subjects**:
  - Assurance # & IRB approval date (IRB Approval is Just-In-Time)
  - Education Requirement
- **Animal Subjects**: Assurance # & IACUC date
  - IACUC Approval is Just-In-Time



# Initiation of Support

- Awarding component will notify individual of intention to make an award
- The fellowship award will be issued
- Fellow must start training within six months of the award issue date
- The day Fellow begins training, Activation Notice and Payback Agreement (only for Postdoc fellows in first 12 months of NRSA support) must be completed and submitted to awarding component



- Domestic, non-Federal sponsoring institutions receive an award for stipends, institutional allowance, and tuition and fees (when applicable)
  - Domestic institutions directly pay fellow and disburse all other awarded costs
  - Funds may not be expended until the fellowship is activated



# Tuition & Health Insurance \*

## Individual Fellowships (F30, F31, F32, and F33)

Award Category	Predoctoral	Postdoctoral
Tuition/Fees	<ul style="list-style-type: none"><li>➤ 60% up to \$16,000</li><li>➤ 60% up to \$21,000 for dual degree</li></ul>	<ul style="list-style-type: none"><li>➤ 60% up to \$4,500</li><li>➤ 60% up to \$16,000 for additional degree</li></ul>
Institutional Allowance	<ul style="list-style-type: none"><li>➤ \$4,200**</li><li>➤ \$3,100***</li></ul> <p>(includes health insurance)</p>	<ul style="list-style-type: none"><li>➤ \$7,850**</li><li>➤ \$6,750***</li></ul> <p>(includes health insurance)</p>

\* New policy phased in with FY2006 competing awards and beyond

\*\* Non-Federal, public and private, non-profit institutions (domestic and foreign).

\*\*\* Federal and for-profit institutions.





## ➤ **Domestic, Non-profit institutions:**

- Allowance intended to defray such expenses as research supplies, equipment, travel to scientific meetings, and health insurance.
- Family health insurance allowable (if allowed for all in similar status regardless of source of support)

## ➤ **Federal & For-profit institutions:**

- Allowance is to cover scientific meeting travel, health insurance, and books.



# Institutional Allowance (cont.)

- Individual Postdocs (F32):
  - \$7,850 - domestic nonprofit
  - \$6,750 - Federal & for-profit
  - Includes health insurance
  - Tuition & fees separately reimbursed when applicable



# Institutional Allowance (cont.)

- Individual Predocs (F31 & F30):
  - \$4,200 - domestic nonprofit
  - \$3,100 - Federal & for-profit
  - Includes health insurance
  - Tuition & fees separately reimbursed when applicable



# Reporting Procedures

- **Activation Notice**: (FORM PHS 416-5)  
Immediately upon initiation of training, fellow completes and returns this form to the NIH awarding component.
- **Payback Agreement**: (FORM PHS 6031): Must be signed by each person who is to receive an individual Postdoctoral fellowship that covers their initial 12 months of NRSA postdoc support.
- **Termination Notice**: (FORM PHS 416-7): For individual fellowships, this form is required upon completion of support.

Available in fill-able formats: <http://grants.nih.gov/grants/forms.htm>





# Changes in Project

- A transfer of the award to another institution or a change in Sponsor requires the approval of the NIH awarding component. Should consult with NIH awarding component ASAP.
- Any proposed change in the individual's area of research training must be approved by the awarding component.



# Progress Reports, FSR

- **Progress Reports**: Progress reports must be submitted with noncompeting continuation applications (use the PHS 416-9). For individual awards, a final progress report is required as part of the Termination Notice. A **separate** final progress report is not required.
- **Financial Status Reports**: A Financial Status Report is **not** required for individual fellowship awards. However, institutions should be mindful of documenting final expenditures in PMS272 reports.



# Administrative Issues for Institutional Training Grants





# Costs: Stipends, Tuition, HI

- Stipends at rates previously discussed
- Grantees request **full amount for tuition**, fees and health insurance
  - Health Insurance OK if applied consistently (Family Health Insurance allowable, Dental & Vision coverage also OK as long as it is consistently applied)
- Formula applied to the combined cost of tuition, fees and health insurance and used for award calculation only
- Tuition/Fees per trainee basis: Predoctoral--60% up to \$16,000, \$21K if dual degree; Postdoctoral--60% up to \$4,500; No escalation in future years
- Grantees reimburse as needed (*not restricted to formula for actual expenses*)





## Institutional Training Grants (T32, T34, T35, and T90)

Award Category	<b>Predoctoral</b>	<b>Postdoctoral</b>
Tuition/Fees	<ul style="list-style-type: none"><li>➤ 60% up to \$16,000</li><li>➤ 60% up to \$21,000 for dual degree</li></ul>	<ul style="list-style-type: none"><li>➤ 60% up to \$4,500</li><li>➤ 60% up to \$16,000 for additional degree</li></ul>
Training Related Expenses	\$4,200 (includes health insurance)	\$7,850 (includes health insurance)
Trainee Travel	\$400 - \$1,000 (typical range; varies by NIH awarding component)	



\*New policy phased in with FY2006 competing awards and beyond



# Costs: Trainee Travel

- Usually per/trainee formula based for award calculation
- Varies among IC's
- Scientific meetings OK
- Cost of travel from residence to institution (unallowable)
- Training experiences away from institution OK but requires IC prior approval



# Costs: Training Related Expenses

- Formula based: \$4,200/Predoc, \$7,850/Postdoc
- Formula is Per Trainee
- Can be used for: Health Insurance, staff salaries, Consultant Costs, Equipment, Research Supplies, Staff travel, and Other Expenses directly related to the training program



# Indirect Costs: F & A

- 8% rate
- Base = TDC less Tuition/Fees and Equipment



- No prior approval (unless otherwise restricted) for:
  - Stipends: Into Tuition & Fees only
  - Tuition: Into Stipends only
  - Trainee Travel: any category
  - TRE: any category
- Prior approval required to rebudget stipends and/or tuition into travel or TRE



# Period of Support/Appt.

- Trainees are considered full-time participants in the training program
- 9-12 month appointments
- Less than 9 months not allowed unless completing a planned training program
- Appointment may begin anytime during the budget period



# “Overlapping” Appointment

An appointment period may overlap budget periods.  
For example:

Year 9	Year 10
7/1/2008 – 6/30/2009	7/1/2009 – 6/30/2010

Appointment Period  
1/1/2009 – 12/31/2009

Stipend & Tuition \$\$ (6-months reported as  
unliquidated obligation)



# Statement of Appointment (Form PHS2271)

- Due on or before the start of the appointment period
- No stipend or other allowance may be paid until submitted
- Delinquent forms (> 30 days) may result in disallowance

All forms available in fillable formats on web:

<http://grants.nih.gov/grants/forms.htm>





- Required only for Postdocs, entering their first 12-months of Postdoctoral NRSA support



# Termination Notice (PHS 416-7)

- Required at time an appointment is ending
- Reflects total period of support & NIH stipend only (do not include any supplementation)
- If there was a hiatus of support, report only current period
- Do not include support already reported on a prior Term Notice



# xTrain—Electronic Submission of 2271s and Termination Notices

- A new feature in the eRA Commons to electronically submit trainee appointments, reappointments, amendments, and Termination Notices
- Takes advantage of stored data; minimizes data entry
- Allows grantees to also track status and timing of trainee actions
- Pilot tested in late 2007/early 2008 with FDP Institutions
- Beginning this year, non-FDP institutions are invited to use the system as well
- By 2012, all appointments to T32, T34, and T35 training grant are expected to be made via xTrain





- For tax purposes, stipends paid to trainees may be reported annually using the Form 1099 - Statement of Miscellaneous Income (not a W-2)
- Generated by Institutional Business Office



# Financial Status Report (SF269)

- Required annually within 90 days of budget end date
- Unliquidated obligations can be used to report any stipends and tuition charges for “overlapping” appointments
- Automatic Carryover of an unobligated balance is not generally allowed but awards are footnoted either way



# Transitioning Applications to Electronic Submission: Fellowships

- Transition to electronic submission begins with the August 8, 2009 submission date; **paper submissions will NOT be accepted**
- All Funding Opportunity Announcements have been reissued with electronic submission instructions and forms package
- Fellowship Applications will now use the SF424 (R&R) components as well as a PHS416 Fellowship Component
- New Fellowship Application Guide Posted at:  
<http://grants1.nih.gov/grants/funding/424/index.htm>





# Transitioning Applications to Electronic Submissions: Training Grants

- Transition to electronic submission still on target beginning with September 25, 2009 submission date
- Anticipate all Funding Opportunity Announcements to be reissued with electronic submission instructions and forms package around July 25, 2009
- Special “T” instructions will be added to the SF4244(R&R) Application Guide

**[E-Submission using the SF424 \(R&R\)](http://era.nih.gov/ElectronicReceipt/)**

**<http://era.nih.gov/ElectronicReceipt/>**





- NIH Training Website:
- <http://grants.nih.gov/training/nrsa.htm#policy>
- T Kiosk:  
[http://grants.nih.gov/training/T\\_Table.htm](http://grants.nih.gov/training/T_Table.htm)
- F Kiosk:  
[http://grants.nih.gov/training/F\\_files\\_nrsa.htm](http://grants.nih.gov/training/F_files_nrsa.htm)



# Thank You Questions?

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**Marcia Hahn:** [hahnm@mail.nih.gov](mailto:hahnm@mail.nih.gov)



# Frequently Asked Questions (and Answers)



**Q: Are publication costs allowable on a T32?**

**A: Yes. Would be an allowable costs in the Training Related Expenses category**



## Q: Is Pre-award cost allowable on Fellowships & Training Grants?

A: It depends on the budget category and the particular costs.

- For stipends—no. You can't charge until either the fellowship is activated or the trainee is appointed.
- For tuition & fees—No. Same reason as stipends
- For Institutional Allowance, Training Related Expenses, Trainee Travel—Depends on the costs and individual circumstances.



## Q: Can health insurance be reported as part of the unliquidated obligation for Ts?

A: It depends on how your institution obligates this cost; particularly now that it is part of the training related expenses category (and no tuition/fees). If you are able to obligate the entire amount at the time of the initial appointment (*as you do stipends for instance*) then yes, that portion that is not fully expended at the end of the budget period may be included in the unliquidated obligation.



## Q: Is Health Insurance excluded from the F&A Base for Ts?

A: It depends. In 2006 NIH implemented a phased in change in policy that essentially moved health insurance from the Tuition & Fees budget category to the Training Related Expenses category. If your training grant continues to be awarded under the old policy, then health insurance continues to be part of the Tuition category; therefore is excluded. But if you training grant is awarded using the new tuition policy, then health insurance is now part of TRE and is no longer excluded from the base.



## Q: Can the cost of pizza served at a seminar be charged to the T?

A: It depends. A revision to A-21 in 2004 now provides some flexibility. If you can document that the meeting's primary purpose is to disseminate technical information, then the cost of meals is allowable. However this has to be in line with written institutional policy and the costs need to meet a test of reasonableness. One more thing for Ts is allocation. Since the seminar is probably attended by others not supported by the training grant, only a portion of such costs should be allocated to the grant.



Q: T in a no-cost extension period—Can a “new” trainee be appointed?

A: NRSA policy does not prohibit such an appointment; however, the limited training experience a new trainee would receive could be a factor in whether or not the appointment is accepted. In addition, many ICs restrict appointments during an extension phase to only existing trainees by using a special term and condition on the award.