

**NIH  
Kirschstein  
National Research Service  
Awards**

**Institutional Training Grants**

Office of Grants Management  
Research Foundation of SUNY  
Stony Brook University  
August 2005

# Pre-Award

- Definition of Institutional Training Grants
- Proposal Preparation
- Budget Review
- USB Form 299 & Required Signatures
- Submission Dates & Review Schedules
- Award Establishment (1 Award)
  - » ( 1 project)
  - » ( 2 Tasks)

# Purpose of NRSA's

- Definition of NRSA – National Research Service Award
- The NIH awards NRSA (T32) to eligible institutions to develop or enhance research training opportunities to help ensure a diverse and highly trained workforce to assume leadership roles related to the Nation's biomedical and behavioral research agenda.

# NRSA Programs Support



- Research Training Experiences:
  - Predoctoral Training
  - Postdoctoral Training
  - Short-Term Training

# Predoctoral Training

- Emphasizes fundamental training in areas of biomedical and behavioral sciences
  - Must have received baccalaureate degree prior to NRSA appointment
  - Must be enrolled in program leading to PhD in science, or equivalent research doctoral degree program

# Postdoctoral Training

- Emphasizes specialized training to meet national research priorities in biomedical, behavioral, or clinical sciences
- Individuals who have received PhD., M.D., D.D.S. or a comparable doctoral degree from an accredited domestic or foreign institution
- In all cases, postdoctoral trainees should agree to engage in at least 2 years of research, research training, or comparable activities beginning at the time of appointment

# Short-Term Research Training

- Short-term predoctoral positions reserved specifically to train medical or other health-professional students on a full-time basis during the summer or other “off quarter” periods

# Commitment of Trainees

- Required to pursue research training on a full-time basis, devoting at least 40 hours per week to the program
- Within the 40 hour per week training program, research trainees in clinical areas must devote their time to the proposed research training and must confine clinical duties to those that are an integral part of the experience



# Eligibility for Trainees

- Must conform to requirements of degree program
- Citizenship
  - Must be a citizen or non-citizen national of U.S. or must have been lawfully admitted for permanent residence or must be in possession of other legal verification of such status. Non-citizen nationals are generally persons born in outlying possessions of the U.S. (e.g., American Samoa and Swains Island)
  - Individuals on temporary or student visas are NOT eligible

# What is an NRSA Training Grant?

- Support for specific training program in a targeted area of research
- Stipends, tuition & fees, health insurance, trainee travel and other training related expenses (TRE's)
- Awards are based on national competition



# Specific Research Training Plan

- Principal Investigator (Faculty) proposes:
  - » Plan
  - » Direction
  - » Available Faculty
  - » Proposed Training
  - » Trainee Candidates
  - » Proposed Budget

# Mechanism of Support

- Up to 5 years and renewable
- Approved competitive segments are normally made in 12-month increments with support for additional years based on satisfactory progress and continued availability of funds

# Trainee Appointments

- 12-month appointments
- No trainee may be appointed for less than 12 months during the initial period of appointment except with the prior approval of the NIH awarding unit or when health professional students are appointed to an approved short-term research training position

# Proposal Preparation

- Grant Application form PHS 398
  - Special instructions are in back of guidelines  
Comply with page limitations
  - PHS 398 form is available on the NIH website at <http://www.nih.gov> and on our Informatics website at <http://www.research.sunysb.edu/research/>

# Stipends

- Provided as a subsistence allowance to help trainees defray living expenses during the research training experience. Stipends are not provided as a condition of employment with either the Federal Government or the awardee institution
- Stipends must be paid at the levels approved by the Secretary of the Dept. of Health and Human Services



# Predoctoral Trainees

- The current annual stipend for predoctoral trainees is \$20,772
- Stipends will be prorated when a trainee terminates prior to the end of the 12 month appointment period. NIH stipend level table governs the appropriate prorated stipend amount (exhibit A)

<http://www.cancer.gov/images/Documents/0973fde6-3d92-47c8-9639-27165f8ecd6d/NRSAstipends2004.pdf>



# Years of Relevant Experience for Postdocs (FY 10/1/04 – 9/30/05)

# BUDGET DEVELOPMENT

- Stipends
- Other (Specify)
- Tuition, Fees and Health Insurance
- Trainee Travel
- Training Related Expenses
- Indirect Cost

## Stipends

- Completed according to the number of pre and/or postdoctoral trainees anticipated
- # of trainees requested and detailed listing of each trainee's level of experience is stated

## Other

- Requests for “other “ professional needs  
Example: Consultant to the program

# Tuition, Fees and Insurance

- Itemize for each trainee
- Details (in-state or out-of-state, student status)
- Health insurance
- Consistent for each trainee

# Tuition

- NIH will reimburse 100% of the cost of tuition up to \$3,000 for each predoctoral trainee and 60% of any amount above \$3,000. Beginning fiscal year 2006, successful applicants of T32 renewal support will receive funding to offset tuition, fees and health insurance costs per trainee at the level of support provided to that program during the previous budget period
- Tuition costs for Postdoctoral trainees require prior sponsor approval case-by-case.

# Trainee Travel



# Training Related Expenses

- Funds to defray such training costs as: staff salaries, consultant costs, equipment, supplies, staff travel and other expenses directly related to the training program.
- Predetermined at (05–06)
  - Per predoctoral \$2,200
  - Per postdoctoral \$3,850

# Indirect Cost Rate

- $\text{Base} \times 8\% = \text{Indirect Costs (exclusive of tuition and fees, health insurance and equipment)}$



# USB 299 Form & Required Signatures

- Fully completed and appropriately signed USB 299 Form is required for every new submission of a proposal (exhibit B)
  - Each faculty member must be approved by their Chairperson to participate
  - Each Dean must approve of Department's participation
  - % of effort must be stated for each faculty member
  - Department Split must be agreed upon by Chairs (IDC allocation)
  - If SOM involvement, a copy of each faculty member's CID must accompany 299, and the Chair and the Dean must sign.

# Submission Dates & Review Schedules

- Many institutes and centers review applications once or twice per year. A listing of these institutes and the appropriate receipt date(s) are provided in your packet
- Applicants are encouraged to contact appropriate institute/center staff before preparing and submitting an application

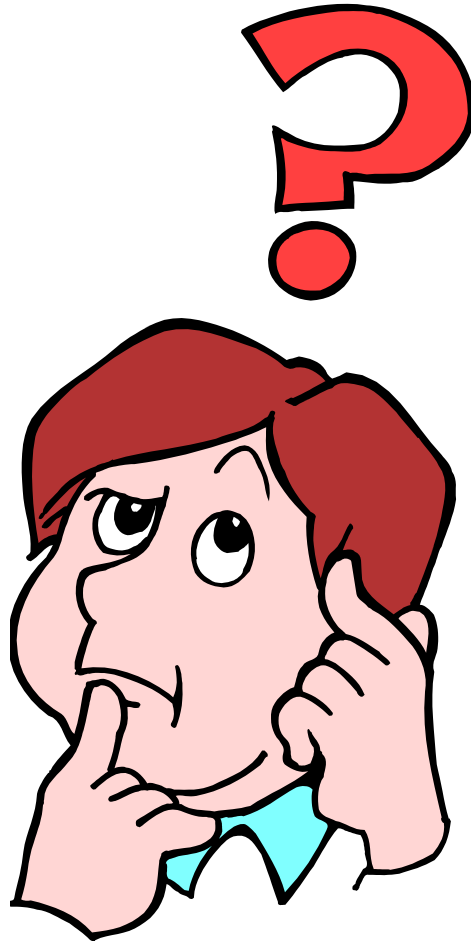
# Review Schedule

Application Receipt Date	Initial Review Date	Council Review Date	Earliest Possible Start Date
Jan 10	Jun/Jul	Sep/Oct	Jan 1
May 10	Oct/Nov	Jan/Feb	Apr 1
Sep 10	Feb/Mar	May/Jun	Jul 1

# Award Establishment

- Awards are received in OSP by email
- Reviewed and action taken
- Account Establishment Unit
  - One Award
  - One Project
  - Two Tasks

# WHY TWO TASKS?



# Why Two Tasks?

- Two tasks are established to differentiate between the trainee costs, and the trainee related expenses

# Task 1

- Task 1 (trainee costs) are funds associated with the actual appointment of specific trainees. Stipends, Tuition & Fees and Health Insurance cannot be rebudgeted for other purposes. These funds must be returned to the sponsor for trainee slots that are not filled within the budget period.

# Task 2

- The account holding the trainee related expenses (TRE's) and trainee travel should be fully expended during the trainees 12 month appointment.



# Carryover Authority

- In most cases grantees must obtain awarding office prior approval to carry over funds; however, some NIH awarding offices have waived this requirement for training grants. The NGA for a Kirschstein–NRSA institutional research training grant will specify whether or not the grantee must obtain the prior approval of the awarding office to carry over funds.

# How Does the Two-Task System Work?

- T1 – Funds for Trainee Costs (stipends, tuition, health insurance) extend beyond the BUDGET PERIOD to cover a 12 month appointment period – – – – Carried Forward
- T2 – Remaining funds for Trainee Related Expenses (supplies, travel, etc.) should be expended during the trainees appointment period.

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# Trainee Related Costs (Task 1)

- Stipends, Tuition & Fees, Health Insurance
- Indirect Costs

# Trainee Related Expenses (Task #2)

- Trainee Related Expenses (staff salaries, consultant costs, research supplies and travel expenses for training faculty)
- Trainee Travel
- Indirect Costs

# MANAGING TRAINING GRANTS

## POST AWARD

- Kirschstein Institutional NRSA  
(Training Grants)

# New Training Grant Awarded

- When a training grant is awarded, the Grants Management Specialist creates an excel worksheet to document all post award activity related to expenditures and sponsor required forms

# THE WORKSHEET

- This excel document serves as a focal point for inquiries throughout the one year budget period and is located in the award file in Document Desk, Grants Management compartment. (exhibit C)
  - Page #1
    - Number of Predocs to be appointed
    - Number of Postdocs to be appointed
    - Project, Award, Task, Organization (campus department)
    - Principal Investigator
    - Start and End Date of Grant
    - Sponsor ID Number
    - Stipend \$ Amount for Trainees
    - Appointment Dates of Trainees
    - Statement of Appointment / Payback Agreement process date

# THE WORKSHEET (cont)

- Page #2

- Tuition fees process date and dollar amount per trainee
- Health Insurance process date and dollar amount per trainee
- NIH contact – name and mailing address



# FORMS REVIEWED By GMS

- NIH Statement of Appointment (submitted at time of appointment) Exhibit D
- NIH Payback Agreement (submitted at time of appointing a Postdoc for year one) Exhibit E
- NIH Termination Notice (submitted at the termination of full appointment period)  
Exhibit F
- RF Fellowship Form (submitted at time of appointment to establish on the RF Payroll System) Exhibit G  
(Fellowship form cannot be approved without NIH Statement of Appointment form)

# TRAINEE APPOINTMENTS

- Trainee appointments are always made in 12 month increments. No Trainee may be appointed for less than 12 months during the initial period of appointment, except with the prior approval of the NIH awarding unit.

# TRAINEE APPOINTMENTS (cont)

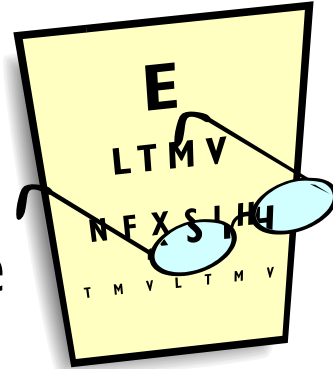
- PREDOCS – No individual trainee may receive more than 5 years of aggregate NRSA support
- POSTDOCS – No Individual trainee may receive more than 3 years of aggregate NRSA support

# THE RF FELLOWSHIP FORM

- The RF Fellowship form is completed by the Principal Investigator and forwarded to the Payroll office.
- The Payroll office will forward a copy of the Fellowship form to Grants Management after entering Fellowship assignment into the RF business system.
- Required NIH forms, Statement of Appointment form and Payback Agreement are sent directly to OGM.

# HEALTH INSURANCE

- After entering the Fellow's assignment information into Oracle HR, a copy of the "F" form is forwarded to the Grants Management Specialist and the Benefits Office (Lisa Brockington-Coleman) simultaneously.
- Upon completion of the Fellow's health insurance enrollment, the Benefits office enters the HI element into Oracle HR and notifies Grants Management via email.



# HEALTH INSURANCE (cont)

- Upon receipt of notification email from the Benefits Office and based on information indicated in the “Health Insurance” section of the RF Fellowship Form, the Office of Grants Management enters a HI labor schedule into Oracle LD to encumber funds for the full cost of the Fellow’s health insurance. Biweekly payments are charged to the grant from this encumbrance.



# HEALTH INSURANCE (cont)



- Should a trainee terminate prior to their original end date, a new Fellowship form is completed by the Principal Investigator and forwarded to the Payroll office. The Payroll office terminates the HR assignment and forwards a copy of the “F” form to the Benefits office and OGM for termination of health insurance coverage and LD encumbrance.
- The expenditure type (category) for health insurance is “FPS Fellow Insurance”

# TRAINEE COSTS vs. TRAINEE RELATED EXPENSES

- Trainee costs are considered stipends, tuition and fees, and health insurance. (Task 1)
- Trainee related expenses are considered trainee travel, research supplies, staff salaries (as approved in the budget), consultant costs, equipment, and staff travel. (Task 2)



# REBUDGETING FUNDS

- Rebudgeting without prior written approval can only occur when funds are transferred from Task #2 (trainee related expenses), to Task #1 (stipends, tuition and fees, and health insurance)
- Funds may never transfer from Task #1 (Trainee costs) to Task #2 (Trainee Related Expenses) without prior written sponsor approval.

# REBUDGETING FUNDS (cont)

- Expenditures and rebudgeting of funds awarded in lump sum for training related expenses do not require prior sponsor approval.
- Rebudgeting INTO or WITHIN the categories of trainee costs (Task #1), is allowable without prior sponsor approval.
- Trainee Costs (Task #1) MAY NOT be used for other purposes except under unusual circumstances and then only with the prior written approval of the sponsor.

# CONCURRENT BENEFITS AND SUPPLEMENTATION OF AWARD

- Concurrent Benefits – An individual may not receive support under a Kirschstein–NRSA institutional research training grant concurrently with another federally sponsored fellowship or similar federal award that provides a stipend or otherwise duplicates provisions of the NRSA award. (Review Labor Schedule)

# STIPEND SUPPLEMENTATION

- At the discretion of the Principal Investigator, stipend supplementation can occur ONLY if the supplementation is paid from NON-FEDERAL funds without obligation. Institutions can determine what amount of stipend supplementation, if any, can be provided. To pay a supplement, create a separate labor distribution line on the original Fellowship form.

# COMPENSATION

- A letter from the Principal Investigator (sponsor of trainee) approving the trainee's "student compensation" and stating that the part time employment does NOT interfere with the trainee's full time (40 hours per week) research obligation to his/her NRSA.
- Funds provided as COMPENSATION for services rendered, such as teaching or laboratory assistants are NOT considered stipend supplementation.
- It is expected that compensation from research grants will occur on a limited part-time basis for employment APART from the normal training activities which require a minimum of 40 hours per week.
- An "Employee Appointment Form" – is used for this purpose.

# EARLY TERMINATION

- Trainees are normally appointed for full-time (40 hours per week) 12 month periods. No trainee may be appointed under an institutional NRSA for less than 12 months except with prior approval of the sponsor, then usually only to complete a planned program of training. An appointment or re-appointment may not exceed 12 months without prior sponsor approval.

# ONE SLOT / ONE TRAINEE RULE

- The one slot / one trainee rule is not universally practiced. Many institutes or centers will allow you to fill behind a termination mid-way through an appointment. Each awarding component should be consulted for their general policy. Sponsor approval is required

# MORE ON TRAINEE APPOINTMENTS

- After a training grant is awarded, the actual recruitment of trainees may differ from the number of Pre and Postdocs projected in the proposal. The Grants Management Specialist monitors the type and number of appointments made to a training grant in a specified budget period. The excel worksheet assists with this monitoring.



# PRIOR APPROVAL REQUIRED

- If an NRSA is awarded with a certain number of slots, prior approval is required from the awarding component to appoint a larger number of trainees or a change in the ratio of Pre to Postdocs slots.
- This is essential as it requires the reviewer's judgment about the capacity of the training program and a staff evaluation if there is a need for a change.



# PRIOR APPROVAL REQUIRED (cont)

- For example, the awarding component will try to determine if the program could reasonably train another Predoc or Postdoc. They will also look at the available funds remaining and the ability to increase commitments in future years of support.

# NIH Websites

- **NRSA Policy Guidelines**  
[http://grants1.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part10.htm#\\_Toc54600187](http://grants1.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part10.htm#_Toc54600187)
- **NIH forms**  
<http://grants.nih.gov/grants/forms.htm>
- **FAQ's**  
[http://grants.nih.gov/training/faq\\_training.htm](http://grants.nih.gov/training/faq_training.htm)
- **NIH Stipend Computation Table**  
<http://www.cancer.gov/images/Documents/0973fde6-3d92-47c8-9639-27165f8ecd6d/NRSAstipends2004.pdf>