

NIH Extramural
Research Training
Programs
(<http://grants.nih.gov/training/index.htm>)

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Research Training Programs

- **Ruth L. Kirschstein
National Research Service Awards
(NRSA)**
 - Individual Fellowships ("F" Awards)
 - Institutional Training Grants ("T" Awards)

- **Extramural Loan Repayment Programs**

Overview

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.*

Kirschstein-NRSA

- Established by the **NRSA Act of 1974**
 - Section 487 of PHS Act; Regulations at 42-CFR-66
- Replaced all previous NIH training authority
- 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 (AHRQ) and the Health Resources Services Administration (HRSA)
- 2 types of awards: Institutional (**T32, T34, T35**) and Individual (**F30, F31, F32, and F33**)

NRSA Policy Overview

Policies that apply to both Fellowships and Training Grants

Guidelines:

- NIH Grants Policy Statement, Kirschstein—NRSA Section:
http://grants.nih.gov/grants/policy/nihgps_2003/NIHG_PS_Part10.htm#_Toc54600187
- Program Announcements & Other Information:
<http://grants.nih.gov/training/nrsa.htm>

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 & be enrolled in doctoral program leading to Ph.D., comparable research doctoral degree or dual research/clinical doctorate like the M.D./Ph.D.
- **Postdoctoral:** Must have a Ph.D. or M.D. or comparable doctoral degree from an accredited domestic or foreign institution

NRSA Limitations

- **Duration of Support:**
 - Predoc: 5 years
 - Postdoc: 3 Years
 - Aggregate limits, including any combination from individual and/or institutional awards
- **Exceptions/Waiver:**
 - Physicians/Clinicians
 - Interruptions (break in service)
 - Other
 - Waiver request requires IC prior approval

Stipends

- 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>

Stipends (cont.)

Predoctoral:

- One level for all individuals, regardless of years of experience
- FY 2006/2007 Level = \$20,772

Stipends (cont.)

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

Stipends (cont.)

Years of Relevant Experience
FY 2006/2007 Level:

- 0 = \$36,996
- 1 = \$38,976
- 2 = \$41,796
- 3 = \$43,428
- 4 = \$45,048
- 5 = \$46,992
- 6 = \$48,852
- 7 = \$51,036

Individual Predoctoral Fellowships

- **F30:** Individual Predoctoral Kirschstein-NRSA for MD/Ph.D. fellowships
(NIDA/NIMH/NIAAA/NIEHS joint announcement, other ICs (NIDCR, NIDCD, NINDS) have own programs)
- **F31:** Generic Individual Predoctoral Fellowship – NIDA, NIMH, NIAAA, NINDS, NIDCD, NIBIB etc.
- **F31:** Individual Predoctoral Fellowship for minority students and students with disabilities all ICs

Individual Postdoctoral Fellowships

- **F32:** Postdoctoral individual Ruth L. Kirschstein National Research Service Award
- **F33:** Ruth L. Kirschstein National Research Service Award for Senior Fellows

Standard Receipt Dates

- **F32, F33 (Postdoc):** April 8, August 8, December 8
- **F30, F31 (Generic Predoc):** April 8, August 8, December 8
- **F31 (Diversity Predoc):** April 13, August 13, December 13
- Two-level review
- Generally 5 - 6 month period from receipt to earliest possible award
- Check Program Announcements for variations

Helpful Hints for Fellowships

- Read the Program Announcement, and Contact program staff!
- Read the Instructions in the application kit!
- Observe Page limitations
- Give yourself and your sponsor enough time
- Give references enough time
- Same training site?
- Training should be appropriate considering previous experience
- Capable and experienced sponsor? Co-sponsor?
- Project should have merit as research and as training mechanism
- Arrange for pre-review

Review Criteria

- **Applicant:**
 - Academic and Research Record
 - Potential for and commitment to a productive scientific research career
- **Mentor & Environment:**
 - Experience as researcher and mentor
 - Quality of the training environment

Review Criteria (cont.)

- **Training Plan:**
 - Potential Value
- **Research Plan:**
 - Objectives, Design, Direction
 - Feasibility
 - Scientific Merit

Responsible Conduct of Res.

- Include plans for obtaining instruction in the responsible conduct of research
 - No NIH-specified requirements
 - Applicants are encouraged to creatively tailor a plan to meet own needs in relation to proposed research training

Tuition & Health Insurance

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

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

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

Institutional NRSA (“T”)

- Purpose: To develop or enhance research training opportunities for individuals, **selected by the institution** who are training for research careers in specified areas

Eligibility

- Application submitted by Institution (not individual)
- Domestic, non-profit public or private institutions
- Research training must fall within the mission of the NIH awarding components

Eligibility (contd.)

- Applicants must have:
 - strong research program in the proposed area(s)
 - requisite staff & facilities to carry out the proposed program
- Program Director will be responsible for:
 - overall direction of the training program
 - selection & appointment of NRSA eligible trainees

Eligibility (contd.)

- Trainees must have opportunity to carry out supervised biomedical or behavioral research with the goal of developing or extending their research skills and knowledge

Eligibility (contd.)

- Programs can consist of Predoc, Postdoc, or combination
- Short-term: solely (T35) or in combination with full-term predoc and postdoc positions on a T32
- Prebaccalaureate (T34)
 - MARC – NIGMS
 - COR - NIMH

Review for T's

2 Level review like R01s:

- 1) Peer Review - Study Section
- 2) Institute or Center Council

Review Criteria

- **Review by IC review groups:**
 - Past training record
 - Quality and experience of training faculty
 - Quality of the pool of applicants and matriculants
 - Objectives, design, direction of program
 - Institutional commitment & quality of training environment
- **Elements outside the priority score:**
 - Minority Recruitment
 - Responsible Conduct of Research

Tuition & Health Insurance

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

Award Category	Predoctoral	Postdoctoral
Tuition/Fees	<ul style="list-style-type: none"> ➤ 60% up to \$16,000 ➤ 60% up to \$21,000 for dual degree 	<ul style="list-style-type: none"> ➤ 60% up to \$4,500 ➤ 60% up to \$16,000 for additional degree
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)	

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)
- Formula applied to the combined cost of tuition, fees and health insurance and used for award calculation only
- Tuition/Fees per trainee basis: 60% up to \$16,000 (Predoctoral); 60% up to \$4,500 (Postdoctoral)
- No escalation in future years
- Grantees reimburse as needed

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 (new), staff salaries, Consultant Costs, Equipment, Research Supplies, Staff travel, and Other Expenses directly related to the training program

Animal & Human Subjects

- Can indicate "Indefinite" on face page
- In many cases, trainees will be participating in individual projects already reviewed
- These grants (and their review/approval dates) should be identified in application
- Grantee responsible for assuring proper approval is received prior to a trainee participating in any project involving either vertebrate animals and/or human subjects

Receipt Dates

- See T32 Program Announcement at:
<http://grants.nih.gov/training/nrsa.htm>
- January 25, May 25, September 25
 - Varies among Institutes - Many use only 1 or 2 dates (check the Program Announcement and call appropriate Institute/Center Staff!)
 - Applicants should contact specific Institutes for guidance
 - Type 5 Receipt Dates Vary

Diversity of Res. Workforce

NIH continues to recognize a unique and compelling need to promote diversity in the biomedical, behavioral, clinical and social sciences research workforce.

Enhancing Diversity


- Research Supplements to Promote Diversity in Health-Related Research:
<http://grants2.nih.gov/grants/guide/pa-files/PA-05-015.html>
- Training Awards for Minority Serving Institutions
 - **T34:** Minority Access to Research Careers (NIGMS)
 - **T34:** Career Opportunities in Research (NIMH)
 - **S06:** Minority Biomedical Research Support (NIGMS)
 - **R25:** Bridges to the Baccalaureate Degree (NIGMS, NCMHD)
 - **R25:** Bridges to the Doctoral Degree (NIGMS, NCMHD)
- **F31:** MARC Predoctoral Fellowships (NIGMS)
- **F31:** Individual Predoctoral Kirschstein - NRSA Fellowships to Promote Diversity in Health-Related Research

Extramural Loan Repayment

- Extramural Programs
 - Health Disparities
 - Individuals from Disadvantaged Backgrounds
 - Contraception and Infertility
 - Pediatric Research
 - Clinical Research
- Researchers at 50% effort or more at non-profit organizations with qualifying educational debt
- Payments to loaning institution up to \$35,000 per year
- Pay tax on the loan payments
- Concurrent service requirement
- Office of Loan Repayment
- Website: <http://www.lrp.nih.gov/>

NIH GUIDE FOR AUTHORS

NIH Extramural Research Training Programs



Grants Management

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Stipends

- Subsistence allowance to help defray living expenses during the period of training
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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

Compensation

- Trainees/Fellows may receive 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

Compensation (contd.)

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
- Rules changed January 1, 1987
- 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.

Leave

- **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.

Leave (contd.)

- **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 30 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

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

Predoctoral Trainees and Fellows:

- Eliminated payback for any Predoc appointed on or after June 10, 1993
- Any Predoc with an obligation prior to June 10, 1993 retains that obligation

Postdoctoral Trainees and Fellows:

- Incur obligation in *first 12 months* of Postdoc NRSA support
- The 13th 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 a Predoc obligation

Acceptable Payback Service

- Health-related biomedical or behavioral research
- Health-related teaching
- Direct administration or review of health-related research
- Any combination of these activities

Acceptable Payback (contd.)

- 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 (contd.)

- Activities must average ≥ 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

Waiver

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

Individual Fellowships

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- **F31:** Generic Individual Predoctoral Fellowship – NIDA, NIMH, NIAAA, NINDS, NIDCD, NIBIB etc.
- **F31:** Individual Predoctoral Fellowship for minority students and students with disabilities all ICs
- **F32:** Postdoctoral individual Ruth L. Kirschstein National Research Service Award
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Signatures, Assur., & Certif.

- Individual Fellow (signature on face page)
- Sponsoring Institution (Facilities & Commitment page)
- **Human Subjects:**
 - Assurance # & IRB approval date (IRB Approval is Just-In-Time)
 - Education Requirement (Effective FY2001)
- **Animal Subjects:** Assurance # & IACUC date
 - IACUC Approval now 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

Payment

- 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

Institutional Allowance

- **Domestic, Non-profit institutions:**
 - Allowance intended to defray such expenses as research supplies, equipment, travel to scientific meetings, and health insurance.
 - Family health insurance now 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 (contd.)

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

Institutional Allowance (contd.)

- **Individual Predocs (F31 & F30):**
 - \$4,200 - exclusive of health insurance and tuition/fees
 - Tuition/fees and health insurance awarded separately

Reporting Procedures

- All forms are available fill-able formats on web:
<http://grants.nih.gov/grants/forms.htm>
- **Activation Notice:** (FORM PHS 416-5) Immediately upon initiation of training, fellow completes and returns this form to the NIH awarding component.

Reporting Procedures (contd.)

- **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.

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.

Indirect Costs: F & A

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

Rebudgeting

- 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

Statement of Appointment

Form PHS 2271

All forms are now available in fillable formats on web: <http://grants.nih.gov/grants/forms.htm>

- Revised version dated 9/2004
- 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

Payback Agreement

Form PHS 6031

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

Termination Notice

Form 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

IRS Form 1099

- 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

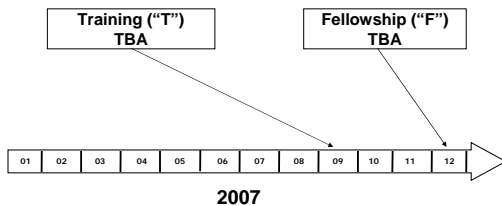
Form SF 269

- 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

Planned Transition Dates of “T” & “F”

E-Submission using the SF424 (R&R)

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



Other Information Sites

- NRSA Stipend Increases & Other Policy Announcements : <http://grants1.nih.gov/training/nrsa.htm>
- NRSA T32 Frequently Asked Questions (FAQs): http://grants.nih.gov/training/faq_training.htm
- NRSA Fellowship FAQs: http://grants.nih.gov/training/faq_fellowships.htm
- NIH Institute/Center Contacts for Research Training: http://grants.nih.gov/training/tac_training_contacts.doc

That's All Folks!

Thank You
Questions?
