

**Department of Medicine**  
**RSA Monthly Meeting**  
**October 20, 2011**  
**8:30am – 10:00am, Laurel Heights Room 263**

**Present:** Ross Beard, Alice Chin, Joanne Dang, Hung Dao, Margie Dere, Christianmichael Dutton, Elizabeth Flora, Raymond Fong, Estrella Garcia, Olive Giovannetti, Denise Go, Shawn Green, Lynn Ha, Kathy Judd, Susan Lau, Vicky Lee, Lily Luu, Rashaan Lyons, Herman Ma, Annie Mar, Jeanette Ng, Wendy Ng, Eric Ormsby, Virginia Shuler, Helen Shui, Susana Szeto, Paula Tarr, Yvette Villicana, Pat Wirattigowit, Eric Wu

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### **OE Pre-Award Training**

Michelle Kim, Director of Research Administration Training, Office of Sponsored Research introduced herself and explained her role as Director of Research Administration Training and the role she plays in OE Pre-Award. Michelle works closely with the Director of Contracts and Grants, John Radkowski and the Director of Research Management Services, Marge O'Halloran to identify areas of training for RSCs, ARSCs and Team Managers.

Areas of training include team-building and proposal procedures and policies. Speakers from central offices such as the Dean's Office and the CHR Office are brought in to speak on institutional policies and procedures. Training for RSCs, ARSCs and Team Managers in Phase 1B will start the beginning of December 2011 (the Phase that DOM is scheduled to join OE Pre-award). Phase 1B will go live the 2<sup>nd</sup> week of January after it was postponed from its original start date of December 5<sup>th</sup>. There will be continual training for RSCs, ARSCs and Team Managers after all phases are rolled out.

Curriculum and exams for levels A, B and C certifications are currently being developed. Exams will consist of 3 components – multiple choices, true/false and essay. Team managers will be the first group to take the exams for certifications and delegated authority. Passing these exams will allow delegation of signature authority for proposals, JIT and sponsor correspondence. Award acceptance will stay with the Contracts and Grants Office for now.

RSCs will be accountable for mistakes on their proposals. Team managers will perform post-submission audits. This is not to penalize individuals but to identify areas of training and to measure and develop quality controls.

Michelle's presentation also included the revised complete training model for RSCs in Phase 1B, detailed information on certification levels, current organizational structure for OE Pre-Award teams and resources that are made available to RSCs. eProposal is expected to go live at the end of Spring or May 2012.

## **T32 Post-Award Management**

Susan Lau, RSA for Divisions of Infectious Diseases/AIDS/Kerlikowske Research shared with us her knowledge of post-award management for the T32 mechanism, NIH research training grants.

Unlike other NIH grants, T32 uses the instructional DPA and the stipend DPA. The Notice of Award should be reviewed carefully to confirm approved slots for predocs, postdocs and the correct stipend levels. Individuals appointed on the training grant must be a permanent resident at the time of appointment. There are limits for the duration of appointment for both predocs and postdocs: predocs – 5 years and postdocs – 3 years. Waiver requests require prior approval from the NIH.

Susan provided detailed information on areas such as period of support/appointments, types of appointments, overlapping appointments, stipends, stipend supplementation, stipend vs. salary, employee benefits and leave, stipend payment, payback agreement, termination notice, xTrain trainee roster, trainee travel, training related expenses, and closeout process. Please review her slides for more information.

As of January 2011, NIH requires the use of xTrain for the electronic submission of appointment forms and termination notices related to institutional research training, fellowship, education and career development awards. Please see the NIH guide notice for more information, <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-072.html>; <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-026.html>

An NIH eRA Commons username and PI/PD delegation are required to access xTrain. Until the PI/PD delegates xTrain rights to an associate staff member with an ASST role in the eRA Commons, only the PI/PD can log in to see his/her own training grant and trainee roster. To use xTrain, each trainee to be appointed to the training grant must also have an eRA Commons account. To request an account, send an email to [CGAwardTeam@ucsf.edu](mailto:CGAwardTeam@ucsf.edu) with the trainee's name, email address, and eRA Commons' role (Post-Doc role is appropriate for T-series trainees).

## **Upcoming RSA Meetings**

November 17, 2011 from 8:30-10:00 am in LH 263 (Kathy)  
Holiday Party on December 15, 2011 from 8:30-10:00 in TBD  
January 19, 2012 from 8:30-10:00 am in LH 376 (Suzanne)  
February 16, 2012 from 8:30-10:00 am in LH 376 (Suzanne)  
March 15, 2012 from 8:30-10:00 am in LH 376 (Wendy)  
April 19, 2012 from 8:30-10:00 am in LH 376 (Kathy)  
May 17, 2012 from 8:30-10:00 am in LH 376 (Suzanne)  
Staff Retreat on June 21, 2012 from 8:30-4:00 pm in TBD

# Research Management Services Training

## DOM RSAs Presentation

Updated October 20, 2011



# DOM RSAs Presentation

## □ What We Will Cover Today

- Director of Research Administration Training and the role they play in OE Pre-Award
- Complete training model for RSCs in Phase 1B
- Delegation of Authority
- Organizational structure for OE pre-award teams
- Resources for the RSC and the OE pre-award team

# DOM RSAs Presentation

- **Director of Research Administration Training and the role they play in OE Pre-Award**
  - **Work closely with the Director of Contracts and Grants, the Director of the Research Management Services (RMS) and the Team Managers of RMS to identify areas of training for RSCs, ARSCs and Team Managers.**
  - **Develop and Train**
    - **Overview of Research Administration for RMS Teams**
    - **Continual Training for RSCs**
    - **Training for RMS Team Managers**
    - **Curriculum and Exams for Certifications A, B, and C**

# DOM RSAs Presentation

## □ Complete training model for RSCs in Phase 1B

- Monday Dec 5: Welcome/Our Organization/Operational Structure/ Job Overview
- Tuesday Dec 6: Team Building – Group A
- Wednesday Dec 7: Team Building – Group B
- Thursday Dec 8: Policies Part I / F&A / CoS Funding Opportunity
- Friday Dec 9: Policies Part II / CHR and iMedris / IACUC and RIO
- Monday Dec 12: Roles & Responsibilities Part I: Proposals Development / JIT
- Tuesday Dec 13: Proposal Prep Basics / Cost Sharing / OMB Circulars, etc.
- Wednesday Dec 14: Proposal Prep: Rs, Non-Competing Continuations, Sub-Awards
- Thursday Dec 15: Proposal Prep: VAMC, State, City/County
- Friday Dec 16: Proposal Prep: Clinical Trials, Industry Contracts, Gifts
- **Monday Dec 19 – Jan 5: HOLIDAY BREAK**
- Friday Jan 6: Technology: NIH Scoring, Proposal Express, eCommons, Cayuse
- Monday Jan 9: Proposal Prep: International, Export Control
- Tuesday Jan 10: Roles & Responsibilities Part II: Awards / Sub-Awards / Sponsor Correspondence / Waivers / Post Award Basics I: EMF Compliance
- Wednesday Jan 11: Proposal Prep: Post-Award Basics II: EMF con't
- Thursday Jan 12: Working with Departments/Pis, Post Award Analysts
- Friday Jan 13: Customer Service Workshop

# DOM RSAs Presentation

- **Delegation of Authority - Training and Certification**
  - **Training Curriculum and Certification Exams for Delegation of Institutional Signature Authority currently being developed for levels A, B and C**
    - **RSCs will be reviewed on quality of proposal submission**
    - **Training and passing the exams will allow delegation of signature authority for Proposals, JIT, and Sponsor Correspondence**
    - **Post submission audits will allow measurement in quality of proposals being developed and submitted**

# DOM RSAs Presentation

## Delegated Authority – Certification Levels

	Certification Level & Proposal Types	Proposal Development	Approve and Submit Proposals on Institution's behalf	Accept Awards on Institution's behalf
Certification	<b>Cert A: Federal Grants R's, K's, F's, and all sponsor correspondence</b>	RSC	RSC or Team Manager	Contracts & Grants Office
	<b>Cert B: Federal Grants P's, U's, T's, CDC, HRSA, DoD</b>	RSC	RSC or Team Manager	Contracts & Grants Office
	<b>Cert C: All non-profit grants, fellowships and contracts, incoming subcontracts, international Grants, Fellowships and Contracts, CIRM</b>	RSC	RSC or Team Manager	Contracts & Grants Office
No Certification or Delegated Authority	<b>Federal Contracts, After-the-Facts</b>	RSC [notifies C&G for proposal development advisement ASAP]	Contracts & Grants Office	Contracts & Grants Office
	<b>State, County, City contracts</b>	Department collaborates directly with Contracts & Grants Office [RSC participates as needed]	Contracts & Grants Office	Contracts & Grants Office
	<b>MTA request forms</b>	PI works directly with Industry Contracts Office	Industry Contracts Division*	Industry Contracts Division*
	<b>Industry Contracts including industry sponsored clinical trials</b>	RSC prepares budget, administrative documents, OSR form, and Industry Contracts negotiates contract	Industry Contracts Division*	Industry Contracts Division*
	<b>SBIR/STTR</b>	RSC and Industry Contracts Division generate letter	Industry Contracts Division*	Industry Contracts Division*

# DOM RSAs Presentation

## □ Organizational structure for OE pre-award teams

### ■ Staff

- Team Manager reports to the RMS Director
- 6-8 Research Service Coordinators (RSCs) per team
- 2-3 Associate RSCs per team
- Teams spread throughout campus: Parnassus, Laurel Heights and SFGH

# DOM RSAs Presentation

- **Organizational structure for OE pre-award teams**
  - **Scope**
    - **Pre-Award Proposals**
    - **Sponsor Correspondence**
    - **Progress Reports**
    - **Each team supports 400 to 600 proposal submissions annually**
    - **Close collaboration with department Post-Award analysts, MSOs and Division Managers**

# DOM RSAs Presentation

## ☐ Resources for the RSC and the OE pre-award team

### ■ Technology

- Same tools we use today with greater access (e.g. Cayuse, Proposal Express, Weblinks, etc.)
- C&G Award Access Database
- UCOP Research Administration Office: Indirect Cost Waivers
- UCOP Office of Technology Transfer: Terms and Conditions

# DOM RSAs Presentation

Questions?

Contact Information

**Michelle Kim**

**Director, Research Administration Training**

**3333 California Street, Suite 315**

**San Francisco, CA 94143-0962**

**Phone: 415-476-9730**

**Email: [michelle.kim@ucsf.edu](mailto:michelle.kim@ucsf.edu)**

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Post-award Management:  
NIH Research Training Grants  
(T32 Type Grant)

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October 20, 2011

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# Post-award process

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Instruction DPA (e.g. 40xxxx),  
not a Research DPA (e.g. 44xxxx);  
Stipend DPA (e.g. 78xxxx)

# Notice of Award (NoA)

## SECTION I – AWARD DATA – 5T32

### Award Calculation (U.S. Dollars)

Training Expenses	\$31,400
Stipends	\$191,588
Trainee Travel	\$8,104
Federal Direct Costs	\$231,072
Federal F&A Costs	\$18,486
Approved Budget	\$249,558
Federal Share	\$249,558
Less Unobligated Balance	\$42,470
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$207,088</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$207,088</b>

SUMMARY TOTALS FOR ALL YEARS								
YR	THIS AWARD				CUMULATIVE TOTALS			
	Total	Pre	Post	Short Term	Cumulative Total	Pre	Post	Short Term
10	\$207,088			4	\$207,088		4	

### Fiscal Information:

CFDA Number: 93.855

EIN: 1946038493A6

Document Number:

Fiscal Year: 2011

Approved slots

To determine correct stipend level

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# Recruitment

## ■ Citizenship Requirements

- Must have been admitted as a permanent resident at the time of **appointment**

## ■ Degree Requirements

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

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# NRSA Limitations

- Duration of Support
  - Predoc: 5 year limitation
  - Postdoc: 3 year limitation
  
- Waiver request requires the NIH prior approval

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# Period of Support/Appointments

- Trainees are considered full-time participants in the training program
- 9-12 month appointments
- Less than 9 months are not allowed unless completing a planned training program
- Appointment may begin anytime during the budget period
- Trainee can be appointed onto that budget year up to the second to last day of the budget period.

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# “Overlapping” Appointment

- An appointment period may overlap budget periods

Year 9

7/1/10-6/30/11

Year 10

7/1/11-6/30/12

Appointment Period

1/1/11-12/311\*

\*Stipend & Tuition \$\$ come out of year 9 (6-months reported as Unliquidated obligation)

- Stipend level will stay at the year 9 level
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# Stipends

- *A payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation for the services expected of an employee.*
  - Subsistence allowance to help defray living expenses during the period of training
  - Not a salary, not considered employees of either the Government or the Institution

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# Stipends

- NRSA Stipends – Fiscal Year (FY) 2011
  - PREDOC
    - One stipend level for all individuals, regardless of years of experience
      - \$21,600
  - POSTDOC
    - Dependent on the # of full years of prior relevant postdoctoral experience at the time of the appointment (0-7)
    - Once level is set at the time of appointment, changed can't be made in the middle of an appointment period
    - Subsequent year based on initial level + 1

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# Stipend Supplementation

Supplementation or additional support to offset the cost of living may be provided by the grantee institution.

- No **federal funds** may be used.
- Requires no additional obligation to trainee.
- Amount is determined by the grantee institution's policies.

[http://grants.nih.gov/grants/policy/nihgps\\_2010/nihgps\\_ch11.htm#Toc271265075](http://grants.nih.gov/grants/policy/nihgps_2010/nihgps_ch11.htm#Toc271265075)

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# Employee Benefits

- Since stipends are not provided as a condition of employment, it is inappropriate and unallowable to charge the NRSA grants for employee benefits
  - FICA
  - Workman's compensation
  - Unemployment Insurance
  - Etc...

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# Leave

- Vacations and Holidays
    - Both Predoc and Postdoc trainees may receive same vacations and holidays available to individuals in comparable training positions at the grantee or sponsoring institution. Trainee will continue to receive stipends.
  - Sick Leave
    - Paid according to University Policy
      - May continue to receive stipends up to 15 calendar days of sick leave
  - Parental Leave
    - May receive stipends for up to 60 calendar days of parental leave per year for the adoption or birth of a child
    - Must be approved by the Program Director
    - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-064.html>
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# Leave (continued)

- Leave of Absence
  - ❑ Approval must be requested in advance from awarding component
  - ❑ Stipends may not be reimbursed during leave of absence
  - ❑ Fellowship: award will be revised extending termination date by the number of months of leave
  - ❑ Trainee (T32): terminate and reappoint

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# Unpaid leave of absence

- **Does anything need to be done if a trainee takes an unpaid leave of absence?**
  - If a trainee requires an extended period of time away from research training (i.e., more than 15 calendar days of sick leave or more than 60 calendar days of parental leave per year), an authorized representative of the organization must seek approval from the agency for an unpaid leave of absence. Following approval of the leave of absence, and at the beginning of the leave, the organization should terminate the trainee's appointment to the training grant in xTrain. Upon the trainee's resumption of Kirschstein-NRSA support, the organization must submit a re-appointment via xTrain.
  - Notify Student Accounts to end the appointment earlier.

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# Paperwork Process For Stipend Payments

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# General Information:

## Fellowship - Types of Appointments

There are a number of different types of appointment classifications utilized for training during the duration of a Fellowship. Identifying what type of trainee you are working with is essential to understanding how to properly manage their appointment and expenses.

Example Appointments Types:

ACGME\* Clinical Fellow

Non-ACGME\* Clinical Fellow

Postdoctoral Fellow

WOS Clinical Instructor (w/out salary appt for clinical purposes)

\*Accreditation Council for Graduate Medical Education (ACGME)

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# General Information: Fellowship – Appointment Overview

## Components of Fellowship Appointments and Relevant Groups

- Graduate Medical Education / Post Doctoral Affairs Offices  
Allow the trainee to work and study at UCSF
- Student Accounting  
Allows the trainee to receive payment via stipend
- Graduate Medical Education Office  
Manages trainee insurance for ACGME / Non-ACGME appointments
- Department HR  
Manages benefit process for Post Doctoral trainees
- Department Fellowship Coordinator / Research Services Analyst  
Manage the overall appointment process, paperwork submitted to the appropriate UCSF offices for all fellows to receive stipend and insurance / benefit payments, and manage any external communication with outside grant agencies to ensure that the appropriate appointment and termination paperwork is submitted for all trainees.

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# General Information:

## Classification Factors – Stipend vs. Salary

### Stipend payment

Funding is not a result of an employee-employer relationship, has no FICA and Medicare deductions because it is provided as a means to defray the costs of a person in a training – not employment.

i.e. National Institutes of Health (NIH) training grants pay only stipend -- never salary -- to those trainees appointed.

### Salary payment

Funding is a result of an employee-employer relationship, has mandatory and automatic FICA (Social Security) and Medicare deductions paid.

i.e. NIH research grants pay only salary -- never stipend -- to those employees who are providing a service to the grant, (and furthermore that all employees being compensated by the grant are providing a service to it).

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## General Information: Salary/Stipend Recommendations

- Postdocs at UCSF must be hired at or above the NIH/NRSA scale released on April 25, 2011.
  - (For example: \$38,496 for a new postdoc with zero years of postdoc experience.)
- Actual funding for Post-Docs may vary from Division to Division depending on the source of funding and available resources.

<http://graduate.ucsf.edu/postdoctoral/postdoctoral-scholars-salary-and-benefits>  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-067.html>

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## General Information:

### Salary and Funding for Research Training (cont'd)

- Second-year research fellows' salary is generally set according to the NIH NRSA Stipend scale for a training grant, along with supplemental clinical salary support (if applicable.)
- Fellows are generally expected to obtain individual grant support for additional fellowship years beyond the second year of fellowship.
- The salary level for additional years of research fellowship are determined by the funding amount and/or regulations set by the individual grant, by the Division's policies, and by any additional salary support negotiated with the fellow's mentor.

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## General Information:

# Salary and Funding for Research Training

First-year clinical salary depends upon the number of post-graduate years of training completed by the entering fellow.

Most DOM fellows enter as Post-Graduate year 4 Fellows (PGY-4) after completing a 3-year residency program.

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## General Information:

### Salary and Funding for Research Training (cont'd)

- Salary support above the NRSA Stipend amount may be provided by the institution to supplement the cost of living, but supplementation **cannot** come from federal funds.
  - [http://grants.nih.gov/grants/policy/nihgps\\_2010/nihgps\\_ch11.htm#\\_Toc271265075](http://grants.nih.gov/grants/policy/nihgps_2010/nihgps_ch11.htm#_Toc271265075)
- Often, the mentor is obligated to make up the difference between the NIH base salary and the institution's mandated base salary for their trainees.
- Departments/divisions may handle salary supplementation for their NRSA-Appointed Trainees differently with regards to the source of supplementation support and mentors' contribution.

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# UCSF Clinical Training – Salary Scales, Effective July 1, 2011

- Years of Relevant Experience
  - PGY 1 = \$49,291
  - PGY 2 = \$51,062
  - PGY 3 = \$53,071
  - PGY 4 = \$55,208
  - PGY 5 = \$57,635
  - PGY 6 = \$59,451
  - PGY 7 – \$61,624

<http://www.medschool.ucsf.edu/gme/coordinators/appointment/2011appts/HSappts.html>

\*The PGY salaries listed here represent the minimum amount for that scale's range. Actual salaries may vary based on Division policy.

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## Stipend:

# Ruth L. Kirschstein National Research Service Award (NRSA) Stipend

- Years of Relevant Experience/ FY 2011 Level
  - 0 = \$38,496
  - 1 = \$40,548
  - 2 = \$43,476
  - 3 = \$45,192
  - 4 = \$46,884
  - 5 = \$48,900
  - 6 = \$50,832
  - 7 or more = \$53,112

NIH publishes the stipend levels in the NIH Guide when increases are approved:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-067.html>

[http://era.nih.gov/files/NRSA\\_Stipend\\_History.xls](http://era.nih.gov/files/NRSA_Stipend_History.xls)

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# NIH Trainee Appointments via xTrain

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# Use of xTrain required in 2011

As of January 2011, NIH requires the use of xTrain for the electronic submission of appointment forms and termination notices related to institutional research training, fellowship, education and career development awards.

To learn more see the NIH guide notice at:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-072.html>;

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-026.html>

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# xTrain is available to everyone!

One will need an NIH eRA Commons username and PD/PI will need to delegate xTrain access.

Until the PD/PI delegates xTrain rights to an associate staff member with an ASST role in the eRA Commons, **only the PI** can log in to see his/her own Training grant and Trainee roster.

In order to use xTrain, each trainee to be appointed to the training grant must have an eRA Commons account.

To request an account, send an email to [CGAwardTeam@ucsf.edu](mailto:CGAwardTeam@ucsf.edu) with the trainee's Name, Email Address, and eRA Commons' Role (Post-Doc Role is appropriate for T-series trainees.)

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# xTrain Login

xTrain is available through the eRA Commons. The Program Director of the Training Grant can delegate access to the RSA and / or Fellowship Coordinator to create appointment paperwork.

NIH eRA Commons:

<https://commons.era.nih.gov/commons>

- ❑ Use your NIH eRA Commons username & password
- ❑ Log in and click the “xTrain” tab

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# Roles

- Business Official (BO)
    - Has signature or other authority related to administering training grants
    - Authorized to submit Termination Notices on behalf of the institution
  
  - Program Director/Principal Investigator (PD/PI)
    - Person responsible for the overall direction of the training program and is authorized to submit Appointments, Re-appointments and Amendments on behalf of the institution
  
  - PD/PI Delegate
    - Person, delegated by the PD/PI, with the authority to perform xTrain-related functions (except submitting Appointments) on the PD/PIs behalf; holds Assistant (ASST) role in eRA Commons
  
  - Trainee
    - Person appointed to training grant
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# Who is Responsible for Initiating Actions in xTrain?

The appointment process should generally be a collaborative process between the Program Director, RSA, and Fellowship Coordinator.

Either the Fellowship Coordinator or the RSA can prepare appointment paperwork in xTrain. The system allows for pdf drafts to be created, so the person who does not enter the data in xTrain can review the pdf document prior to electronic submission to the Trainee.

Both the Fellowship Coordinator and the RSA should be involved in the process of appointing trainees through xTrain since each role has involvement with different aspects of the Trainees' appointment which may or may not overlap.

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## What specific NIH forms will be processed by xTrain?

- Statement of Appointment Form (PHS 2271)
- Payback Agreement (PHS 6031)
- Termination Notice (PHS 416-7)

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# Statement of Appointment - Form PHS 2271

- 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
  
- Permanent US residents must submit a notary's signed statement certifying that they have (1) a Permanent Resident Card (USCIS Form I-551), or (2) other legal verification of such status. This documentation will need to be submitting in hard copy and cannot be communicated via the xTrain system.
  
- Financial document for obligating funds
- Used as a basis for the termination and as part of the total costs in the financial status report (FFR)



# Trainee Appointment\* Flow



Program Director/  
Principal Investigator

PD/PI identifies Trainee, initiates Appointment by filling out the 2271 and routes 2271 to Trainee



Trainee

Trainee fills out the 2271 form and updates profile and routes it back to PD/PI

PD/PI reviews completed 2271 and routes it to Agency for final approval



Agency

\* Also applies to Re-appointments and Amendments

Quick Reference: [http://era.nih.gov/files/xTrain\\_Initiate\\_Appointment.pdf](http://era.nih.gov/files/xTrain_Initiate_Appointment.pdf)

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# Payback Agreement – Form PHS 3081

- Only required for the first 12-month appointment.
- Signed by the trainee
- Available for download/printing on xTrain with instructions for signing and submitting the agreement via postal mail. xTrain will populate the basic information prior to printing, but the Payback Agreement (PHS 6031) must still be mailed - it is NOT processed electronically via xTrain.

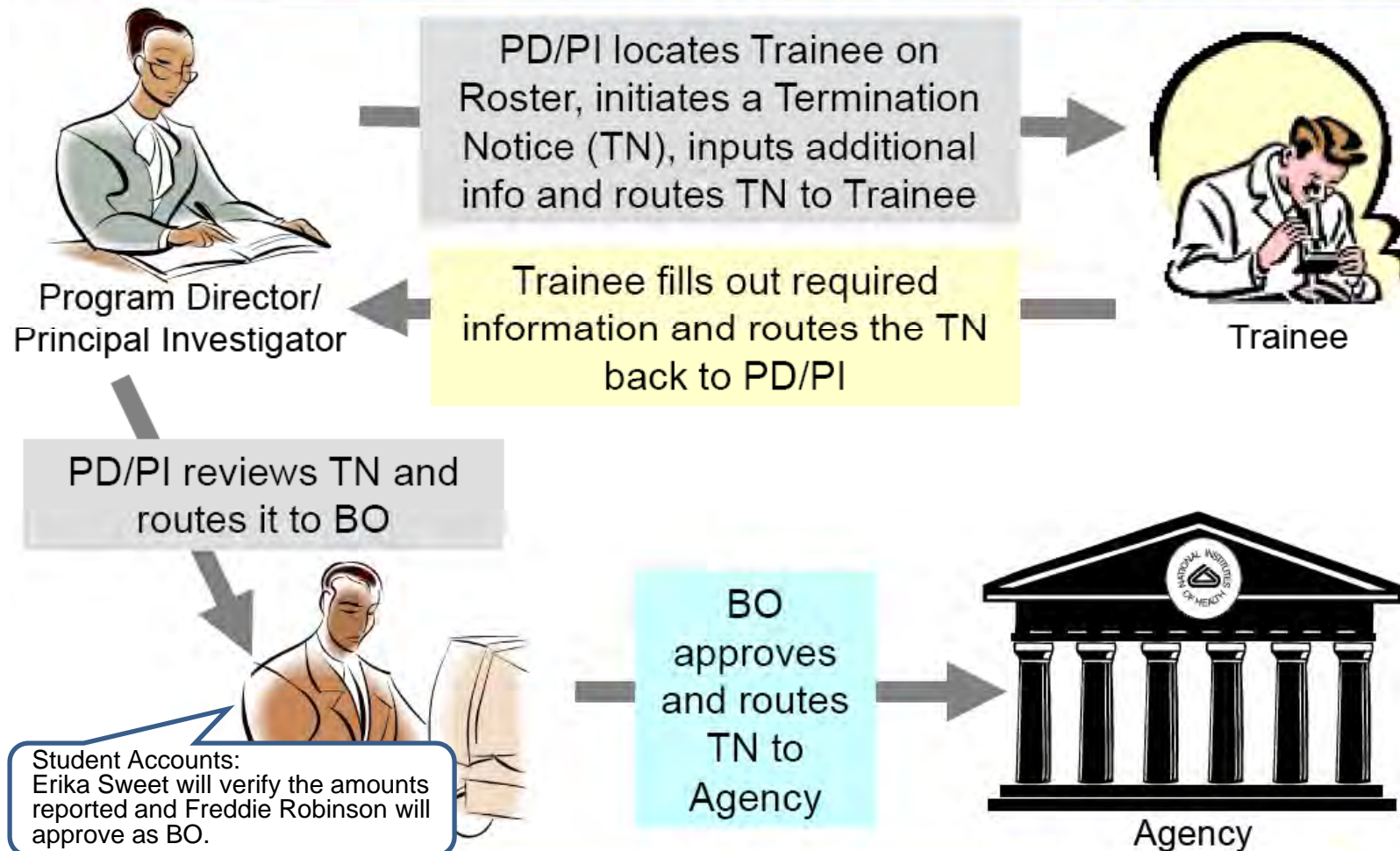
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# Termination Notice (PHS 416-7)

- Due at the end of total support period
- Reflects total period of support & NIH stipend only (do not include any supplementation)
- Amounts reported on the termination notice **must** match the trainee's compensation from that account in WebLinks.



# Termination Process Flow for Research Training Appointments



Quick Reference: [http://era.nih.gov/files/xTrain\\_Initiate\\_Termination.pdf](http://era.nih.gov/files/xTrain_Initiate_Termination.pdf)

# xTrain Trainee Roster

**Action:**  
 2271 Form  
 Amend 2271  
 Initiate TN  
 Term. Notice

**Appointment/Termination Source:**  
 Paper or Electronic

Application Trainee Name	Appointment Type	FY	Appointment		Termination Date	End Date Past?	Degree Level	Appointment Status	Appointment Source	Termination Status	Termination Source	Current Reviewer	View	Action
			Start Date	End Date										
5T32MH312008-04 (Budget Period: 07/01/2006-06/30/2007) <a href="#">Create New Appointment</a>														
Beaker, Kim Estry	New	2006	07/01/2006	06/30/2007		Yes	PRE- DOC	<a href="#">Pending Agency Review</a>	Electronic			2271: AGENCY	<a href="#">View 2271</a>	- <a href="#">2271 Form</a>
Beauty, Sleeping	Reappointment	2006	07/01/2006	06/30/2007	06/30/2007	Yes	POST- DOC	<a href="#">Terminated</a>	Electronic	<a href="#">Accepted</a>	Electronic	2271: AGENCY TN: AGENCY	<a href="#">View 2271</a> <a href="#">View TN</a> <a href="#">View Payback</a>	- <a href="#">2271 Form</a> - <a href="#">Term Notice</a>
Boys, Beagle		2006	07/01/2006	06/30/2007		Yes	PRE- DOC	<a href="#">Accepted</a>	Paper				<a href="#">View 2271</a>	- <a href="#">Amend 2271</a> - <a href="#">Initiate TN</a>

**Appointment  
Type:**  
 New  
 Reappointment  
 Amendment

**Appointment Status:**  
 In Progress PI  
 In Progress Trainee  
 Pending Agency Review  
 Accepted  
 Terminated

**Termination Status:**  
 In Progress BO  
 In Progress PI  
 In Progress Trainee  
 Pending Agency Review  
 Accepted

**View:**  
 View 2271  
 View TN  
 View  
 Payback

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## Points to remember:

- ✓ NIH eRA Commons access
- ✓ PD/PI delegated authority to RSA / Fellowship Coordinator to perform xTrain related functions on his/her behalf
- ✓ Trainee information, previously submitted on paper forms, entered in train
- ✓ Who does what?

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# General Information About Data Available in xTrain: Potential Issues

- Fund Years available in xTrain are opened when a Notice of Award action is updated in the eRA Commons. At this time, you cannot appoint trainees in the xTrain system for a future period. This feature may be revised by the NIH in the coming months as it prohibits the creation of Statement of Appointment paperwork before the start of the grant period.
- Paper Statement of Appointment and Termination paperwork that has been submitted for previous years are still being entered and uploaded in the xTrain system. The Grants Management Specialist for your Training Grant is responsible for updating previous paperwork or delegating this to an NIH contract worker. If your previous periods' Statement of Appointment has not been entered in xTrain, you cannot re-appoint the trainee using the xTrain system, and will need to submit the appointment in paper form.

# Resources

The screenshot shows the eRA Commons website interface. At the top, there is a header for the U.S. Department of Health & Human Services and the Electronic Research Administration (eRA) logo. Below the header is a navigation menu with options like 'eRA Home', 'Services for Applicants', 'Commons', 'NIH & Grantor Agencies', 'News & Events', 'About eRA', and 'Help'. The main content area is titled 'xTrain (eRA Commons)' and provides information about the training grant program, including a description of its purpose and a list of quick reference sheets and training materials. A search bar is located on the right side of the page.

U.S. Department of Health & Human Services  
www.hhs.gov

**eRA** Electronic Research Administration  
National Institutes of Health, Office of Extramural Research

NATIONAL INSTITUTES OF HEALTH  
OER

eRA Home Services for Applicants Commons NIH & Grantor Agencies News & Events About eRA Help

Services for Applicants

Back to: [eRA Home](#) » [Services for Applicants](#) » [xTrain](#)

## xTrain (eRA Commons)

xTrain provides Training grant program directors, university administrators and Trainees the ability to electronically process the required paperwork (e.g., Appointment Forms and Termination Notices) associated with awarded [Ruth L. Kirschstein National Research Service Award](#) institutional research training grants. It also is used by Agency grants management specialists to process training grant appointments and terminations made electronically.

xTrain is currently in pilot with about a dozen institutions and over 80 training grants. We expect to expand pilot participation in June 2008.

### Quick Reference Sheets

- [xTrain - Getting Started Reference for Trainees](#) (PDF - 196 KB)
- [xTrain Appointment Errors/Warnings](#) (PDF - 258 KB)
- [xTrain Overview & Functions](#) (PDF - 228 KB)
- [PD/PI Delegation of xTrain Authority](#) (PDF - 206 KB)
- [Initiating xTrain Appointments](#) (PDF - 183 KB)
- [Initiating xTrain Terminations](#) (PDF - 184 KB)

### Training

- [Training Material](#) (PDF - 1.65 MB)

NOTE: If you would like a copy of this slide set in PowerPoint, please contact Sheri Cummins ([cumminss@mail.nih.gov](mailto:cumminss@mail.nih.gov)).

Search eRA:

[Advanced Search](#)

eRA Commons

**eRA COMMONS**  
<http://commons.era.nih.gov>

Links and Information

- [Office of Extramural Research](#)
- [Kirschstein-NRSA Program](#)
- [NIH Forms & Applications](#)
- [National Institutes of Health](#)

Overview

Apply

- [Introduction](#)
- [Electronic Submission](#)
- [Institutional Profile](#)
- [Personal Profile](#)

Application Tracking and Award

- [Introduction](#)
- [Status](#)
- [Just-in-Time](#)

Reports and Closeout

- [Introduction](#)
- [eSNAP](#)
- [No-Cost Extension](#)
- [Grants Closeout](#)
- [Financial Status Report](#)
- [iEdison](#)

Query Tool

- [Introduction](#)
- [CRISP](#)

Other

- [xTrain](#)

[http://era.nih.gov/services\\_for\\_applicants/other/xTrain.cfm](http://era.nih.gov/services_for_applicants/other/xTrain.cfm)

# Reviewing and Reconciling Stipend Payments – Example Stipend for Post-Doc

## Distribution of Payroll Expense Report for Post-Doc (DOS FEN)

**Distribution of Payroll Expense by DPA, Fund, Sub for 08/2011 (CLOSED)**

Row(s) 1 - 1 of 1

ET Mo	Page Line	Employee Name	Employee ID	Title	Period End Date	DOS	Time	Pay Rate	A J	Gross Earnings	Total Benefits	GSTR/IAPOF	OASDI/MEDCR	DNTL/HLIH VIS/OPEB	UI/GSH/BRK	WC/ESP	LI DI
<b>Dpa - 404918 MED SCH-MEDICINE-GENERAL</b> Fund - 31640 2T32 AI007641-06A2 #31637 Sub - 0 Academic Salary																	
	1202	0222701	<a href="#">ABROMAITIS, STE</a>	021794482	3253	08/31/2011	FEN	.0000	\$	3552.00	3,552.00	24.00	0.00	0.00	0.00	24.00	
<b>Total:</b>										3,552.00	24.00	0.00	0.00	0.00	0.00	24.00	
<b>Total:</b>										3,552.00	24.00	0.00	0.00	0.00	0.00	24.00	
<b>Total:</b>										3,552.00	24.00	0.00	0.00	0.00	0.00	24.00	
<b>Totals:</b>										3,552.00	24.00	0.00	0.00	0.00	0.00	24.00	

Row(s) 1 - 1 of 1

**Selected Report Criteria**

**Fund:** 31640\*

**Adjustment Code:** ALL

**TOE Date:** 08/2011 **To:** 09/2011

---

# Stipend Payments: Postdoc Fellow vs. Clinical Fellow

---

# How to set up stipend payments?

## Postdoc Fellow vs. Clinical Fellow

Postdoc Fellow:

As of April 29, 2011, payments are made through the payroll system.

Payroll Title	Title Code	DOS	Description	Income Type
Postdoctoral Scholar Employee	3252	REG	Regular Pay	Wages
Postdoctoral Scholar Fellow	3253	•FEN •FEL	•PD-Fellow/Scholar STP •NRA PD Fellow/Scholar	Stipend: Scholarship/Fellowship /Training grant
Postdoctoral Scholar Paid Direct	3254	PDW	Postdoc WOS	Paid by external source

---

# How to set up stipend payments? Postdoc Fellow vs. Clinical Fellow

## Clinical Fellow:

As released via the Controller's office newsletter on Tuesday, August 30, 2011, Student Accounts requires the use of the Stipend Voucher Template to request stipend payments for graduate students and clinical fellows.

[http://controller.ucsf.edu/newsletter/newsletter\\_082911.asp#stipend\\_voucher](http://controller.ucsf.edu/newsletter/newsletter_082911.asp#stipend_voucher)

- The template can be found in the Disbursement section of the Student Accounting Forms tab on the Controller's Office website.  
<http://controller.ucsf.edu/students/forms.asp>

---

# Stipend Voucher Template

## Getting Started

Before starting have the following information ready for each disbursement:

<ul style="list-style-type: none"><li>• <b>Name of Student</b> as shown in the OAR Staff Portal or <b>Name of Clinical Fellow</b> as shown on awarding document</li><li>• <b>Appointment Start Date</b> – the beginning date of the Appointment</li><li>• <b>Appointment End Date</b></li><li>• <b>Total of Award</b> and desired monthly payment amount</li><li>• If your appointee is a <b>non-resident alien</b>, forward the following tax forms to the Stipend Desk: <b>UC-W-8BEN, UC-W4DE4, CA 590, Tax Treat Statement</b> if eligible.<ul style="list-style-type: none"><li>◇ Entries into the Template without tax forms will be deleted.</li><li>◇ If you have any questions concerning non-resident documents, contact the stipend desk at 476-2881 or email Controller Student Accounts Service Desk at: <a href="mailto:studentssvcdesk@ucsf.edu">studentssvcdesk@ucsf.edu</a>.</li></ul></li></ul>	<ul style="list-style-type: none"><li>• <b>Vendor ID</b> – for Students the Vendor ID is the UCID as shown in the OAR Staff Portal preceded by an "S"</li><li>• <b>New Clinical Fellows</b> – a Vendor Number must be set up before a voucher request for payment can be processed. Send the stipend desk the following information: Name, Address and SSN or submit a Direct Deposit Request Form: <a href="http://controller.ucsf.edu/students/forms.asp">http://controller.ucsf.edu/students/forms.asp</a>.  For stipend desk contacts, go to the Student Accounts Contact page at: <a href="http://controller.ucsf.edu/students/contact.asp">http://controller.ucsf.edu/students/contact.asp</a></li></ul> <p><b>To be accepted by PeopleSoft:</b></p> <ul style="list-style-type: none"><li>• <b>DPA</b> – must be a valid <u>78XXXX</u> DPA</li><li>• <b>Fund</b> – must be a valid fund number</li><li>• <b>Fund Year</b> – must use a valid fund year</li><li>• <b>Program Code</b> – optional, must be valid</li></ul>
--	---

Retrieve template to begin entering voucher information.

**The voucher template entry page will time out after 20 minutes of inactivity. To avoid the loss of data, complete and submit work before leaving your desktop.**

---

# Stipend Voucher Template

Enter Data



Data entered here is not validated against PeopleSoft or the staff portal.

## STIPEND VOUCHER TEMPLATE

### Department Information

Department

Your Name

Data is required in all boxes

Phone

Email

### Stipend Voucher Information

Appointment Start Date

Appointment End Date

Name

This person is a non-resident alien

Total Award Amount

Vendor ID

DPA

Fund

Fund Year

Program Code

Click to add to voucher file

DPA, Fund, Fund Year, and Program Code must be validated before entering into this page

# Reviewing and Reconciling Stipend Payments –

## Example Stipend

### GL Detail for Stipend

### (NCA 437830 ‘Stipend/Schl/Fwshps Candidate’)

[Reports & Tools](#) | [H](#)

[Pdf](#) [Excel](#)

## GL Transaction Detail for 08/2011

Row(s) 1 - 3 of 3

Src	NCA	Prog	Line Description 1	Budget	Financial	Lien PO ID	Invoice ID	Invoice Dt	Jrnl ID	Jrnl Dt	Reference	Posted Dt	Prepld
<b>Grand Total:</b>				0.00	11,978.00	0.00							
<b>DPA - 784318 MISC STUDT AID-MED</b>													
FundFY - 31640-04 2T32 AI007641-06A2 #31637													
NCA Group - 437500 OTHER EXPENSES													
<a href="#">426</a>	<a href="#">437830</a>		ROSENBERG, OREN 02844481	0.00	3,830.00	0.00 ROSENBERG,	SA027849728-3164	09/01/2011	AP00233036	08/01/2011	02844481	08/09/2011	<a href="#">SFPRD</a>
<a href="#">426</a>	<a href="#">437830</a>		MUSSENUM, JESSE 02844070	0.00	4,160.00	0.00 MUSSENUM,	SA028041207-3164	09/01/2011	AP00233036	08/01/2011	02844070	08/09/2011	<a href="#">SFPRD</a>
<a href="#">426</a>	<a href="#">437830</a>		GAGGAR, ANUJ 02846542	0.00	3,995.00	0.00 GAGGAR, AN	SA026372441-3164	09/01/2011	AP00233036	08/01/2011	02846542	08/09/2011	<a href="#">SFPRD</a>
Total:				0.00	11,978.00	0.00							
Total:				0.00	11,978.00	0.00							
Total:				0.00	11,978.00	0.00							

---

# Stipends – Taxability

- The Internal Revenue Service (IRS) has ruled that institutions are not responsible for withholding or reporting income taxes on fellowship payments for U.S. citizens.
- Fellows should be advised that they will be responsible for paying taxes directly to the US Government for any payments they receive through a stipend line
- International students on temporary visas from countries without a tax treaty with the U.S. must have income taxes withheld from their fellowship appointments.  
(not applicable to T32)

---

# Student Accounts - Contact

- Freddie Robinson  
476-2881

**Student Accounts,  
Box 0812**

or, e-mail the Controller Student  
Accounts Service Desk at:  
[studentssvcdesk@ucsf.edu](mailto:studentssvcdesk@ucsf.edu)

- Erika Sweet (A-L)  
502-8205
- Maria "Cherry" Lazaro  
(M-Z)  
502-8206
- Annabelle Aguas  
502-8209  
(Fee Distribution & Account  
Reconciliation)

# Allowable Costs Chart

<b>Award Category</b>	<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>
Trainee Travel	\$400 -\$1,000 (typical range; varies by NIH awarding component)	
Training Related Expenses **	\$4,200 per trainee	\$7,850 per trainee

\* Special courses or workshops that are part of the proposed training.

\*\* Can be used for health insurance, staff salaries, consultant costs, equipment, research supplies, staff travel, publication costs and other expenses directly related to the training program.

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# Does A-21 apply to T32 grants?

- Yes, if they are federally funded. However, charging of certain kinds of administrative support costs is allowable because the nature of the program requires coordination of trainees and the related paperwork, which is beyond the routine.

---

## Costs: Trainee Travel

- Scientific meetings & workshops necessary for the individual's research training experience – OK
- Travel from trainee's residence to training institution – Not allowable
- Training experiences away from institution – OK, but requires the NIH approval

---

## Costs: Training Related Expenses (TRE), includes health insurance

- Health Insurance
  - Although health insurance costs are not itemized in the proposal, each department/division should be aware of the expected costs per trainee and consider whether or not they will need additional resources beyond what is awarded in the Training-Related Expenses.

# Reviewing and Reconciling Fellows' Payments – Example: Post-Doc

## **Example:**

### **Post-Doctoral Fellow receiving stipend payment and benefits via payroll**

- Run DPE for Benefit Detail
  - Benefits expenses reflected in Sub 6 section of Distribution of Payroll Expense Report (see next slide #54)
  - Or, by benefit NCA in the General Ledger Payroll Detail (see slide #55)
  
- Two of the itemized benefits, life insurance and worker's compensation, (see NCAs below) are not allowable on training-related federal awards and must be transferred off via a 547 cost transfer either by specific NCAs or lump sum - NCA 411300 (Academic). Run the DPE Payroll Detail report to review benefit line detail.
  - Workman's Comp -     NCA 411110
  - Life Insurance -     NCA 411515

Note: Payroll Expense Transfer not possible, because there is no associated gross salary.

[http://controller.ucsf.edu/pam/files/Unallowable\\_Postdoc\\_Insurance.pdf](http://controller.ucsf.edu/pam/files/Unallowable_Postdoc_Insurance.pdf)

# Reviewing and Reconciling Fellows' Payments – Example Post-Doc

## Distribution of Payroll Expense Report for Post-Doc Academic Benefits (Sub – 6 'Employee Benefits')

https://vx33.ucsf.edu/weblinks/reportServlet?module=edu,ucsf,weblinks.businessObjects.CReportOptions

University of California, San Francisco | About UCSF | Search UCSF | Medical Center

**webLinks**

Administration | User Tools | Employee Data | Inquiries | Financial Summary | Financial Detail

Reports & Tools | Home | Log Out | 10/18/2011

**Distribution of Payroll Expense by DPA, Fund, Sub for 08/2010 (CLOSED)**

Row(s) 1 - 1 of 1

ET Mo	Page Line	Employee Name	Employee ID	Title	Period End Date	DOS	Time	Pay Rate	A J	Gross Earnings	Total Benefits	GSTR/ IAPOF	OASDI/ MEDCR	DNTL/HLTH VIS/OPEB	UI/ GSH/BRK	WC/ ESP	LIFE/ DI/GS	
<b>Dpa - 404918 MED SCH-MEDICINE-GENERAL</b>																		
Fund - 31640 2T32 AI007641-06A2 #31637																		
Sub - 6 Employee Benefits																		
	1102	0181203	<a href="#">ABROMAITIS, STE</a>	021794482	3253	08/31/2010	PDW	.00	H	.0000	0.00	395.77	0.00	0.00	346.57	16.16	23.68	9
<b>Total:</b>										0.00	395.77	0.00	0.00	346.57	16.16	23.68	9	
<b>Total:</b>										0.00	395.77	0.00	0.00	346.57	16.16	23.68	9	
<b>Total:</b>										0.00	395.77	0.00	0.00	346.57	16.16	23.68	9	
<b>Totals:</b>										0.00	395.77	0.00	0.00	346.57	16.16	23.68	9	

Row(s) 1 - 1 of 1

# Reviewing and Reconciling Fellows' Payments – Example: Post-Doc's Insurance

## GL Payroll Detail for Post-Doc Academic Benefits (NCA 411000 'Academic Benefits')

GL Payroll Detail for 08/2010 To 09/2011 (CL

NCA	Prog	Employee Name	Employee Id	TXN Date	ICT	DOS	Budget	Financial	Journal Id	NCA Description
<b>DPA - 404918 MED SCH-MEDICINE-GENERAL</b>										
Fund/FY - 31640-03 2T32 AI007641-06A2 #31637										
NCA Group - 411000 ACADEMIC BENEFITS										
411110		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	23.68	PR02D10	<a href="#">WORKERS' COMPENSATION</a>
411511		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	8.86	PR02D10	<a href="#">DENTAL INS PSBP ACADEMICS</a>
411512		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	333.81	PR02D10	<a href="#">HEALTH INS PSBP ACADEMICS</a>
411513		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	3.90	PR02D10	<a href="#">VISION INS PSBP ACADEMICS</a>
411514		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	6.21	PR02D10	<a href="#">DISABILITY INS PSBP ACADEMICS</a>
411515		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	3.15	PR02D10	<a href="#">LIFE INS PSBP ACADEMICS</a>
411516		ABROMAITIS,STE	021794482	08/31/2010	3253	PDW	0.00	16.16	PR02D10	<a href="#">BROKER FEES PSBP ACADEMICS</a>
Total:							0.00	395.77		
Total:							0.00	395.77		
<b>Fund/FY - 31640-04 2T32 AI007641-06A2 #31637</b>										
NCA Group - 411000 ACADEMIC BENEFITS										
411110		ABROMAITIS,STE	021794482	04/30/2011	3253	FEN	0.00	24.00	PR10D10	<a href="#">WORKERS' COMPENSATION</a>
411110		ABROMAITIS,STE	021794482	05/31/2011	3253	FEN	0.00	24.00	PR11D10	<a href="#">WORKERS' COMPENSATION</a>
411110		ABROMAITIS,STE	021794482	06/30/2011	3253	FEN	0.00	24.00	PR12D10	<a href="#">WORKERS' COMPENSATION</a>
411110		ABROMAITIS,STE	021794482	07/31/2011	3253	FEN	0.00	24.00	PR01D10	<a href="#">WORKERS' COMPENSATION</a>
411110		ABROMAITIS,STE	021794482	08/31/2011	3253	FEN	0.00	24.00	PR02D10	<a href="#">WORKERS' COMPENSATION</a>
Total:							0.00	120.00		

---

## Reviewing and Reconciling Fellows' Payments – Example ACGME / Non-ACGME Fellow

**Example: ACGME / Non-ACGME Fellow receiving stipend and receiving benefits via recharge (Residents / Fellows Insurance)**

- Run GL for Insurance (NCA 434895)
  
- Additional Component: Trainee may be receive supplemental payments from non-NIH sources. These will post on different funds and will post in the Academic Payroll / Benefits.

# Reviewing and Reconciling Fellows' Payments – Example: Clinical Fellow's Insurance

## GL Detail for Resident and Fellow's Insurance (NCA 434895 'Recharge-Insur for Post Docs')

DPA - 404918 MED SCH-MEDICINE-GENERAL										
FundFY - 31640-04 2T32 AI007641-06A2 #31637										
NCA Group - 434000 OTHER SERVICES										
5B3	434895	NUSSBAUM INS 0811	0.00	440.93	0.00	026820811	08/31/2011	029341237	09/02/2011	SPPROD
5B3	434895	GAGGAR INS 0811	0.00	985.83	0.00	026820811	08/31/2011	026372441	09/02/2011	SPPROD
Total:			0.00	1,426.76	0.00					
Total:			0.00	1,426.76	0.00					
Total:			0.00	1,426.76	0.00					

---

## Costs: Training Related Expenses (TRE), includes health insurance (continued)

- Training Related Expenses can be used for the following:
  - ❑ Staff Salaries
  - ❑ Consultant Costs
  - ❑ Equipment
  - ❑ Research Supplies
  - ❑ Staff Travel
  - ❑ Other expenses directly related to the training program

---

# Purchase of computers

- When the nature of the science & training program requires, i.e. epidemiology studies that require a lot of statistical data gathering and analysis, or field work.
- Unallowable direct costs:  
primary use would be for routine daily activity (e.g., e-mail).

---

# Travel Expenses for Invited Speakers

- Only a proportion of any such cost speaker—because this would be benefiting all students in a training program, not just the NRSA-supported.

# Budget Status Report

	A	B	C	D	E	F	G
1	<b>Training Grant NIH T32 - SUMMARY REPORT</b>					Ledger Reconciled through:	
2		<b>Award</b>	<b>Expenses to-date</b>	<b>Projected to end of Budget Period</b>	<b>Liens - Appts that will overlap next FY</b>	<b>Total Expense</b>	<b>Projected Balance</b>
3	TRAINING RELATED EXPENSE 40xxxx, INCLUDES HEALTH INSURANCE	0.00		0.00	0.00	0.00	0.00
4	TRAINEE EXPENSE 78xxxx						
5	Stipends	0.00		0.00	0.00	0.00	0.00
6	Tuition	0.00		0.00	0.00	0.00	0.00
7	Travel	0.00		0.00	0.00	0.00	0.00
8							
9	<b>Total Trainee Expense</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
10	<b>TOTAL</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
11	<b>FDP Carryforward</b>						<b>0.00</b>
12	<b>Liened from last FY</b>						
13	Stipends	0.00		0.00		0.00	
14	Tuition&Fees/Insur.	0.00		0.00		0.00	
15	Travel		0.00	0.00		0.00	
16	<b>Total from last FY</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		<b>0.00</b>	0.00
17	<b>TOTAL Budget</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>
18							
19	Today's Date:						
20							
21	Rebudgeting Rules: No prior approval required (unless otherwise restricted) for:						
22	-Stipends: Into Tuition & Fees only						
23	-Tuition: Into Stipends only, but only NIH can approve an additional trainee slot.						
24	-Trainee Travel: Anywhere						
25	-Training Related Expense 40xxxx: Anywhere						
26							

---

# Rebudgeting

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

---

# Reporting and Closeout

- Annual progress reports
  - Unobligated balance
  - Publications
  - Results
  - Termination Notices
  - Renewal/Competing Continuation Application
-

---

# Progress Reports

- Progress reports must be submitted with the noncompeting continuation applications.
    - Due to the NIH Institute 4 months before the beginning date of the next budget period, unless instructed otherwise.
  
  - Non eSNAP
  
  - Progress reports must include:
    - Description of training received by appointed trainees with resulting publications
    - Updated list of IACUC & IRB approvals
    - Biosketches for new selected preceptors
    - Summary of trainees
    - Inclusion enrollment report (minorities)
-

---

# Progress Reports (cont'd)

- Budget:

- use the special “NRSA Additional Budget Page 2”

- Adjust stipends and training expenses **only** if new rates have been published by NIH.
    - Budget travel as originally awarded by NIH

---

# Reporting Requirements

- Financial Status Report (SF269) due 90 days from budget end date
- Unliquidated obligations can be used to report any stipends and tuition charges for “overlapping” appointments
- Automatic Carryover of unobligated balance is not generally allowed but awards are footnoted either way
  - In most cases, prior approval for carry forward is required

---

# Tips for a Smooth Close Out

- Review monthly ledgers
- Monitor and track individual trainee expenses
  - Including checking trainee's pay to the NIH appointment form & stipend voucher template
- Update Appointments Forms
- Timely completion of Termination Forms

---

Additional Information:  
Tables for Tracking Trainees

---

---

## Text and Tables:

- There are also numerous tables required to detail the qualifications of the mentors and the potential trainees.
  - The format of these tables varies by institute, so check with yours for detailed instructions and sample tables.

---

# Tables for Tracking Trainees

- Establish a data tracking system (database) for data required for the competitive renewal.
- Tailor databases to reflect required tables in training grant application

---

## Tables for Tracking Trainees (cont'd)

- Examples:
  - past students and their present positions (10 yr. period).
  - admissions and completion records (5 years)
  - trainees supported by the training grant

---

## Table: Current and Past Trainees

- ❑ Details on all trainees supported by this grant during the past 10 years.
- ❑ For each student provide: 1) name; 2) year of entry into the training program; 3) prior institution and degree at entry; 4) source of support during each year of training, e.g., this training grant, another training grant (specify), research grant, university fellowship, individual fellowship (specify), etc.; 5) name of research mentor; 6) research topic; and 7) for trainees who have completed the program, their current positions and institutional affiliations.

# Table: Current and Past Trainees (cont'd)

Faculty Member  Past and Current Students	Pre  or Post	Training Period	Prior Academic Degree			Title of Research Project	Current Position (past trainees)
			Degree(s)	Year(s)	Institutions(s)		Source of Support (current trainees)
Name of Mentor							
Schwartz, A.	Pre	92-96	BA	92	U. of WI	Role of Transcription Factor X in Synaptic Plasticity	Asst. Scientist, Scripps Research Foundation
Jones, J.**	Pre	95-00	AB	90	Grinnell	Protein kinase signaling cascades in C elegans	Res. Assoc. Prof. Microbiology, Univ. of CA, Berkeley
Howard, R.	Post	98-01	PhD	98	Purdue	Excision Repair in Multiple Myeloma Cells	Asst. Prof. Pathology, Yale Med. School
Baker, A.**	Pre	02-	BS	00	Cornell	Gene Expression in Drosophila	NIH T32 GM05964
Smith, D.	Post	02-	PhD	02	U. of CT	DNA Repair and Chemical Carcinogenesis	NIH F32 ES06942
Haggerty, D.	Post	03-	PhD	03	U. of MI	Cell Cycle Control in Yeast	NIH R01 CA76259

## Table: Current and Past Trainees (cont'd)

Faculty Member	Past/ Current Trainee	Trainee Name*	Role	Deg. at Entry	Training Period	Prior Institution	Research Topic	Current Position, Institution, and Support
JOHNSON, A	Past	Burkhard Braun	Post	PhD '92	1992- 1999	UC San Diego	Pathogenesis of Candida albicans	Database Editor and Developer, Proteome, Inc.
JOHNSON, A	Past	Jose Perez- Martin	Post	PhD '92	1996-98	Universidad Autonoma de Madrid	Chromatin Structure	Faculty position, Centro Nacional de Biotecnologia, Spain
JOHNSON, A	Past	Andrew Uhl*	Post	PhD '96	1997- 2006	University of California, Los Angeles	Control of Filamentous Growth in Candida albicans	Research Microbiologist, UCSF
JOHNSON, A	Current	Dave Galgocz y	Pre	BA, BS '96	2001- present	Univ of Washington, Seattle	Genomic Studies of Gene Repression in S. cerevisiae	National Science Foundation Predoctoral Fellowship
JOHNSON, A	Current	Shannon Stevens on	Post	PhD '01	2002- present	UC Berkeley	Genetic and Cell Biological Studies of C. albicans Pathogenesis Using D. melanogaster as a Host	Jane Coffin Childs Postdoctoral Fellowship
JOHNSON, A	Current	Sarah Elson	Pre	AB '93	2003- present	Harvard Medical School, Boston, MA	The Role of Asymmetric RNA Localization in Candida albicans	PhD Student, UCSF BMS Program

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## Tables: Admissions and Completion Records

- Summarize recruitment data for the program and/or each of the participating departments or units in each of the past 5 years,
- Present the qualifications of prospective postdoctoral trainees in the most recent applicant pool.

# Tables: Admissions and Completion Records (cont'd)

Department or Program	Numbers of Applicants				Outcomes of Those Who Entered Program				
	Entering Year	Degree Type	Applied (TGE/URM)	Accepted (TGE/URM)	Entered Program (TGE/URM)	Still in Program (TGE/URM)	Completed Training (TGE/URM)	Left Program (TGE/URM)	Reason for Leaving Program (if training was not completed)
<b>Pathology</b>									
2002	PhD	6 (4/0)	3 (3/0)	1 (1/0)	1 (1/0)	0	0		
	MD	4 (3/1)	3 (2/1)	2 (1/1)	2 (1/1)	0	0		
	MD/PhD	4 (4/1)	3 (2/1)	3 (2/1)	2 (1/1)	0	1 (1/0)	Career Change – Law School	
	Other	1 (1/0)	0	0	0	0	0		
	Total	15 (12/2)	9 (7/2)	6 (4/2)	5 (3/2)	0	1 (1/0)		
2003	PhD	8 (6/2)	7 (6/1)	6 (5/1)	5 (4/1)	0	1 (1/0)	In Industry	
	MD	3 (3/0)	2 (2/0)	1 (1/0)	1 (1/0)	0	0		
	MD/PhD	2 (2/1)	2 (2/0)	2 (2/0)	2 (2/0)	0	0		
	Total	16 (13/4)	13 (12/2)	11 (9/2)	10 (8/2)	0	1 (1/0)		

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Table:

## Assignment of Awarded Trainee Slots

- ❑ Numbers of appointees vs. slots awarded
- ❑ For each year of the grant since the last competing application, provide the following: 1) total number of positions awarded in each training category; 2) number of predoctoral trainees appointed and months of support committed; and 3) number of postdoctoral trainees appointed, with what degrees, at what levels, and for how many months. If any trainee positions were not filled, explain the reason.

## Table: Assignment of Awarded Trainee Slots (cont'd)

Year	Degree/Level (Postdoctoral Trainees Only)	2000- 2001	2001- 2002	2002- 2003	2003- 2004	2004- 2005
Number of Postdoctoral Positions Awarded (Months of Support)		4 (48)	4 (48)	4 (48)	4 (48)	4 (48)
Number of Postdoctoral Trainees Appointed by Degree	MD	1	1	2	1	2
	MD/PhD	2	2	2	0	0
	PhD	1	1	0	1	2
	Other	0	0	0	Pharm D	0
Number of Postdoctoral Trainees Appointed (Months of Support Used)	Total	4 (48)	4 (48)	4 (48)	3 (38) <sup>1</sup>	4 (48)
Number of Underrepresented Minority Trainees Appointed (Months of Support Used)		1 (12)	2 (24)	0	1 (12)	1 (12)

1 A fourth trainee was appointed, but fell ill and dropped out after 2 months. It was then too late to recruit a replacement trainee.

# Table: Assignment of Awarded Trainee Slots (cont'd)

Year	Total # Positions Awarded	# Postdoctoral Trainees Appointed	# Postdoctoral Trainees Appointed***			PGY of Doctoral level							# Positions Unfilled
			MD/PhD	MD	PhD	1	2	3	4	5	6	7	
1	4	4	2	1	1				1	2		1	0
2	4	4	1	3				1	2		1		0
03*	4	5	2	3					2	1	2		0
04**	4	5	1	3	1	1			2	1	1		0
05**	4	6	3	2	1		1	3		1	1		0

\* The number of postdoctoral trainees appointed for FY 03 is greater than the number of position awarded due to the early departure of one trainee from the grant in 11/02 and the arrival of a replacement trainee in 12/02.

\*\* The number of postdoctoral trainees appointed for FY 04 and FY 05 is greater than the number of positions awarded due to additional support available from the large carry forward amount. The program director received approval from the program official to create the two extra postdoctoral positions.

\*\*\* Postdoctoral trainees are counted twice when re-appointed.

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## Tables for Tracking Trainees: Preparing for the Competitive Renewal

- Important to keep accurate records of admissions decisions and application qualifications.
- Update databases frequently –do not wait until you are preparing the application.

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# Additional Information...

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Minority Recruitment &  
Training in “Responsible Conduct of  
Research”

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# Minority Recruitment

- Major factor in NIH's scoring and funding decisions.
- Training programs are expected to go beyond any institutional minority recruiting programs.
- Funding may be reduced if continuation applications do not show successful implementation of the recruitment plan.
- Renewal applications will require detailed accounts of all minority trainees.
- Some institutes offer special guidance on Minority Recruitment plans, such as NHLBI and NIGMS.

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# Training in “Responsible Conduct of Research”

- It is essential that new proposals include a plan to provide this training to all trainees.
- Reports of accomplishments are required for continuation and renewal proposals.

<http://www.research.ucsf.edu/QG/orQgTrain.asp>

<https://www.citiprogram.org/rcrpage.asp?language=english&affiliation=100>

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# T32 Summary

1. Read the guide thoroughly.
2. Contact the program official/grants management specialist early in the process.
3. Verify years of experience with appropriate stipend levels at time of appointment.
4. Supplementation is allowed and no additional obligation is required of the trainee.
5. Statement of Appointment forms are required for each appointment 12-month (or 9-month period) and are processed in xTrain
6. Payback agreement is only required for the first NRSA 12-month appointment.

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## T32 Summary (cont'd)

7. Termination Notice due at the end of total support period. There should not be any supplemental funding reported on this form. This is processed in xTrain
8. FSR is due annually
9. Know how payment of stipend is handled. Who does what?
10. Educate T32 trainees on nuances of stipend pay – benefits and tax implications.
11. Make sure that there is administrative support to create and maintain the tables that track trainee recruitment and information. Database should be consistently updated throughout the period of funding, as the information will be required during the competitive process to renew the grant.

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# Information Sites

- NIH Extramural Training
    - <http://grants1.nih.gov/training/extramural.htm>
  - NRSA Program Announcements
    - <http://grants1.nih.gov/training/nrsa.htm>
  - Ruth L. Kirschstein NRSA Training Grant and Fellowship Guidelines
    - <http://grants1.nih.gov/training/nrsa.htm>
  - Administrative Information
    - <http://grants1.nih.gov/training/outcomes.htm>
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# Information Sites

- T32 Policy Statement (within the 12/03 NIH Policy Statement)
    - [http://grants2.nih.gov/grants/policy/nihgps\\_2010/nihgps\\_ch11.htm#Toc271265099](http://grants2.nih.gov/grants/policy/nihgps_2010/nihgps_ch11.htm#Toc271265099)
  
  - NRSA Stipend Increases & Other Policy Announcements
    - <http://grants1.nih.gov/training/nrsa.htm>
    - [http://era.nih.gov/training\\_career/index.cfm](http://era.nih.gov/training_career/index.cfm)
  
  - NRSA T32 Frequently Asked Questions (FAQ's)
    - [http://grants.nih.gov/training/faq\\_training.htm](http://grants.nih.gov/training/faq_training.htm)
  
  - UCSF Cost Accounting Standards (CAS)
    - [http://controller.ucsf.edu/fin\\_compliance/cas\\_guidelines.asp](http://controller.ucsf.edu/fin_compliance/cas_guidelines.asp)
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# Information Sites

- NIH RePORTER database of biomedical research funding - <http://report.nih.gov/>
  - Search page  
<http://projectreporter.nih.gov/reporter.cfm>
  - Tip: to search for T32 grants at UCSF, enter “%T32%” into the Project Number field, and “UNIVERSITY OF CALIFORNIA SAN FRANCISCO” into the Organization field

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# Questions

