What are they?
NRSA awards support the training of biomedical, behavioral, and clinical researchers through individual pre- and postdoctoral fellowships, and institutional research training grants.

Program purpose?
Ensuring that a diverse pool of highly trained scientists is available in adequate numbers and in appropriate research areas to carry out the Nation’s biomedical, behavioral, and clinical research agenda.
Primary Formal NIH Research Training Programs

Ruth L. Kirschstein National Research Service Awards (NRSA)

Two Types of Awards:

- **Individual** Fellowships ("F" Awards)
- **Institutional** Training Grants ("T" Awards)
Individual Fellowship Awards

- Predoctoral Students
- Postdoctoral Fellows
- Established Investigators
Institutional Awards

- Undergraduate Students
- Pre-doctoral Students
- Post-doctoral Individuals
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 at 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 designated institutions (MARC and COR trainees)

- **Predoctoral:** Must have a baccalaureate degree and be enrolled in doctoral program leading to PhD or equivalent, or dual research/clinical doctorate such as the MD/PhD

- **Postdoctoral:** Must have a PhD or MD or comparable doctoral degree from an accredited domestic or foreign institution
NRSA Limitations

Duration of Support:

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

Exceptions:

- Physicians/Clinicians (*combined-degree F30 allows 6 years)
- Interruptions (break in service)
- Waiver request requires IC prior approval
Individual Fellowships
Individual Fellowships: Predoctoral

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

- F32: Postdoctoral Fellowship
- F33: Postdoctoral Senior Fellowship

All active fellowship programs found at: http://grants.nih.gov/training/F_files_nrsa.htm
Eligible Institutions = Domestic, non-Domestic, non-profit, public or private institutions

Research training must fall within the mission of the NIH awarding Institute or Center
Fellowship Applications

- Submitted electronically through Grants.gov using Application Package found with the FOA

- Reference letter submission separate through the NIH eRA Commons system; are matched with application at NIH
  - Letters are due by the application receipt date
Two-level review

- Initial Review Group
- Institute/Center Program Staff

- Generally 5-6 month period from receipt to earliest possible award

- Check Funding Opportunity Announcements for variations
Fellowship Scored Review Criteria

- Fellowship Applicant
- Sponsor, Collaborators/Consultants
- Research Training Plan
- Training Potential
- Institutional Environment and Commitment to Training
Additional Review Criteria & Considerations

- Additional Review Criteria
  - Protection for Human Subjects
  - Inclusion of Women, Minorities, and Children
  - Vertebrate Animals
  - Biohazards
  - Resubmission & Renewal factors

- Additional Review Considerations
  - Training in the Responsible Conduct of Research
  - Select Agents Research
  - Resource Sharing Plans
  - Budget & Period of Support
Institutional Training Grants
Institutional Training Grants

- **Purpose**: To develop and enhance research training through a *coordinated programmatic approach*

- **Trainees** and fellows are *selected by the institution*

- Training usually provided in defined areas of science
Institutional Training Grants

- **T32** - NIH National Research Service Award
  Institutional Research Training Grants

- **T34** - Minority Access to Research Careers (MARC)
  Undergraduate Student Training in Academic Research (U*STAR Program) (administered by NIGMS)

- **T34** Career Opportunities in Research (COR)
  Institutional Research Training Grants (administered by NIMH)

- **T35** - Kirschstein - National Research Service Award
  Short-Term Institutional Research Training Grants
Application package can be found with the Funding Opportunity Announcement

Submitted Electronically

** Forms D application package now used for all application receipt dates on and after May 25, 2016.
Eligible Institutions = Domestic, non-profit public or private institutions

Research training must fall within the mission of the NIH awarding Institute or Center

Applicant Institutions must have:
   - Strong research program in the proposed area(s)
   - Competitive Applicant Pool

Program Director(s) is/are responsible for:
   - Overall direction of the training program
   - Selection and appointment of NRSA eligible trainees
New **training data table formats** must be used for competing applications and non-competing progress reports. Applicants may create tables for their applications and RPPRs either by using fillable tables in MS Word or via the xTRACT system.

New tables are designed to:

- Reduce the number of tables from 12 to 8
- Minimize the reporting of individual-level information
- Extend the tracking of trainee outcomes from 10 to 15 years

See [NOT-OD-16-007](#) for more details.
Types of Institutional Awards

- **Full-term 12 month appointments** (T32); programs can consist of Predocs, Postdocs, or combination

- **Short-term appointments** (T35); generally 3-6 months’ training for medical students

- **Prebaccalaureate** (T34)

  - MARC – NIGMS
Two Levels of Review:

- Initial Review - Study Section
- Institute or Center Council
Institutional Training: Review Criteria

- Scored Review Criteria:
  - Training Program and Environment
  - Training Program Director/Principal Investigator
  - Preceptors/Mentors
  - Trainees
  - Training record
Additional Review Criteria & Considerations

- Additional Review Criteria
  - Protection for Human Subjects
  - Inclusion of Women, Minorities, and Children
  - Vertebrate Animals
  - Biohazards
  - Resubmission, Renewal, Revision factors

- Additional Review Considerations:
  - Diversity Recruitment Plan
  - Training in Responsible Conduct of Research
  - Select Agent Research
  - Budget and Period of Support
Administration Guidelines:

For Both Ts and Fs
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](http://grants.nih.gov/training/nrsa.htm)

Predoctoral:
- One level for all individuals, regardless of years of experience
- FY 2016 Level = $23,376
Postdoctoral:

- Dependent on number of years of relevant experience (0 – 7)
- For Fs, level set at time of award (not activation)
- For Ts, level set at time of appointment
- Once set, no change mid-year
- Subsequent year based on initial level + 1
- Relevant Experience = research, teaching, internship, residency, clinical duties, or other time spend in a health-related field beyond the qualifying degree
NIH announced its projected stipend levels for postdoctoral trainees and fellows supported by Kirschstein NRSA awards in FY 2017.

- These projected stipend levels are planned to be effective December 1, 2016.

The projected new stipend levels align with the spirit of the U.S Department of Labor’s (DOL) recently issued revisions to the rules on paid overtime under the Fair Labor Standards Act (FLSA).

- The new FLSA paid overtime rule sets a salary level of $47,476 for professional employees to be exempt from paid overtime.

See NOT-OD-16-134 for details.
## Projected Postdoctoral Stipend Levels for FY 17

<table>
<thead>
<tr>
<th>Career Level</th>
<th>Years of Experience</th>
<th>Actual Stipend for FY 2016</th>
<th>Projected Stipend for FY 2017</th>
<th>Monthly Stipend</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postdoctoral</td>
<td>0</td>
<td>$43,692</td>
<td>$47,484</td>
<td>$3,957</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>$45,444</td>
<td>$47,844</td>
<td>$3,987</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>$47,268</td>
<td>$48,216</td>
<td>$4,018</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>$49,152</td>
<td>$50,316</td>
<td>$4,193</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>$51,120</td>
<td>$52,140</td>
<td>$4,345</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>$53,160</td>
<td>$54,228</td>
<td>$4,519</td>
</tr>
<tr>
<td></td>
<td>6</td>
<td>$55,296</td>
<td>$56,400</td>
<td>$4,700</td>
</tr>
<tr>
<td></td>
<td>7 or More</td>
<td>$57,504</td>
<td>$58,560</td>
<td>$4,880</td>
</tr>
</tbody>
</table>

See Guide Notice: [NOT-OD-16-134](#)
Grantees may supplement stipends

- Amount determined according to formally established policies applied to all in similar training status
- Consistent treatment is key

Non-Federal funds

- Without additional effort or obligation to trainee/fellow
Trainees/Fellows may receive additional compensation for services associated with employment; e.g., teaching assistant, lab assistant

Individual receives salary; not considered stipend supplementation

Can compensation be 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
IRS (not NIH) has domain over interpretation & implementation
NRSA Guidelines provide minimal guidance but individuals should consult local IRS offices
Employee Benefits

- Stipends are not provided as a condition of employment.

- Inappropriate and unallowable to automatically charge NRSA grants for employee benefits - FICA, workman’s comp, unemployment insurance, life insurance, union dues, even 401K contributions, etc.

- Note, such charges may be deducted from stipend if the trainee/fellow requests such a service; however, such deductions cannot be automatic without the trainee/fellow approval.
Vacations & Holidays: Both Predoc and Postdoc Fellows & Trainees may receive the same vacations and holidays available to individuals at the grantee or sponsoring institution. Trainees will continue to receive stipends.
Sick Leave: May continue to receive stipends for up to 15 calendar days (2 weeks) of sick leave per year

Parental Leave: May receive stipends for up to 60* calendar days (8 weeks) 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

See Guide Notice: NOT-OD-16-105
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:** None for appointments 6/10/1993 and beyond

**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
Acceptable Payback Service

- Health-related biomedical, behavioral, and/or clinical research
- Health-related teaching
- Direct administration or review of health-related research
- Any combination of these activities
- Definition of health-related has broadened
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 that 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
Administrative Guidelines:

Individual Fellowships
Signatures, Assurances, & Certifications

- **Individual Fellow & Sponsor**: Institutional responsibility to secure & retain for each application submitted

- **Human Subjects**:
  - Assurance # & IRB approval date (IRB Approval is Just-In-Time)
  - Education Requirement

- **Animal Subjects**: Assurance # & IACUC date
  - IACUC Approval is Just-In-Time
Initiation of Support

- Awarding component will notify individual of intention to make an award
- The fellowship award will be issued
- Fellow must start training *within six months* of the award issue date
- *Before* 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
Award Period

- In general (F31, F32), may receive up to 5 years of aggregate NRSA support at the predoctoral level and 3 years of aggregate NRSA support at the postdoctoral level, including any combination from institutional research training grants and individual fellowships.

- For individual predoctoral MD/PhD or other dual-doctoral degree fellowships (F30), individuals may receive up to 6 years of aggregate NRSA support at the pre-doctoral level, including any combination from institutional research training grants and individual fellowships.
  - Over the total duration of dual degree support, the majority must be devoted to research training leading to the PhD.
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

Fellows training at Foreign institutions

- Stipend paid directly to Fellow by NIH/PMS
- Institutional Allowance awarded to Institution
### Individual Fellowships (F30, F31, F32, and F33)

<table>
<thead>
<tr>
<th>Award Category</th>
<th>Predoctoral</th>
<th>Postdoctoral</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition/Fees</td>
<td>60% up to $16,000</td>
<td>60% up to $4,500</td>
</tr>
<tr>
<td></td>
<td>60% up to $21,000 for dual degree</td>
<td>60% up to $16,000 for additional degree</td>
</tr>
</tbody>
</table>

- Excludes Health Insurance (awarded as part of Institutional Allowance)
- For postdocs, allowable only when required for specific courses in support of research training
Institutional Allowance
(includes Health Insurance)

<table>
<thead>
<tr>
<th>Award Category</th>
<th>Predoctoral</th>
<th>Postdoctoral</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institutional Allowance</td>
<td>➢ $4,200*</td>
<td>➢ $8,850*</td>
</tr>
<tr>
<td></td>
<td>➢ $3,100**</td>
<td>➢ $7,750**</td>
</tr>
</tbody>
</table>

- **Non-profit institutions (Domestic & Foreign):**
  - Allowance intended to defray such expenses as research supplies, equipment, travel to scientific meetings, health insurance, and other administrative costs.
  - Family health insurance allowable (if allowed for all in similar status regardless of source of support)

- **Federal & For-profit institutions:**
  - Allowance is to cover scientific meeting travel, health insurance, and books.
Reporting Procedures

- **Activation Notice**: (FORM PHS 416-5) Immediately upon initiation of training, fellow completes and returns this form to the NIH awarding component.

- **Payback Agreement**: (FORM PHS 6031): Must be signed by each person who is to receive an individual Postdoctoral fellowship that covers their initial 12 months of NRSA postdoc support. Hard copy with original signature is required.

- **Termination Notice**: (FORM PHS 416-7): For individual fellowships, this form is required upon completion of support. Electronic submission now required through eRA Commons xTrain.

Available in fill-able formats: [http://grants.nih.gov/grants/forms.htm](http://grants.nih.gov/grants/forms.htm)
Required for all Fellowship Termination Notices submitted on/after 1/1/2011 regardless of actual termination date

Sponsor must hold the “Sponsor Role” in the eRA Commons to process these

If sponsor already has a Commons ID, the institution’s account administrator can assign this new role

Do not create a new Commons ID for this if the Sponsor already has one established

A transfer of the award to another institution or a change in Sponsor requires the approval of the NIH awarding component. Should consult with NIH awarding component ASAP.

Any proposed change in the individual’s area of research training must be approved by the awarding component.
Progress Reports: Progress reports must be submitted using the Research Performance Progress Report in the eRA Commons.

Final Progress Report: For individual awards, a final progress report is required as part of the Termination Notice. A separate final progress report is not required.

Financial Expenditure Reports: A Financial Expenditure Report is not required for individual fellowship awards. However, institutions must submit final cash transaction reports to PMS (SF425).
Administrative Guidelines:

Institutional Training Grants
## Costs: Summary Chart

<table>
<thead>
<tr>
<th>Award Category</th>
<th>Predoctoral</th>
<th>Postdoctoral</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuition/Fees</td>
<td>➢ 60% up to $16,000</td>
<td>➢ 60% up to $4,500</td>
</tr>
<tr>
<td></td>
<td>➢ 60% up to $21,000 for dual degree</td>
<td>➢ 60% up to $16,000 for additional degree</td>
</tr>
<tr>
<td>Training Related Expenses</td>
<td>$4,200 (includes health insurance)</td>
<td>$8,850 (includes health insurance)</td>
</tr>
<tr>
<td>Trainee Travel</td>
<td>$400 - $1,000 (typical range; varies by NIH awarding component)</td>
<td></td>
</tr>
<tr>
<td>F&amp;A</td>
<td>Rate = 8 Percent; Base = MTDC less Tuition/Fees and Equipment</td>
<td></td>
</tr>
</tbody>
</table>
Costs: Stipends, Tuition

- Stipends at rates previously discussed
- Grantees request **full amount for tuition & fees**
- Formula applied to the combined cost of tuition & fees and used for award calculation only

- Tuition/Fees per trainee basis: Predoctoral--60% up to $16,000, $21K if dual degree; Postdoctoral--60% up to $4,500; No escalation in future years

- Grantees reimburse as needed (**not restricted to formula for actual expenses**)
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, $8,850/Postdoc
- Formula is Per Trainee
- Can be used for: Health Insurance, staff salaries, Consultant Costs, Equipment, Research Supplies, Staff travel, and Other Expenses directly related to the training program
  - Health Insurance OK if applied consistently (Family Health Insurance allowable, Dental & Vision coverage also OK as long as it is consistently applied)
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
Trainees are considered full-time participants in the training program

- 9-12 month appointments
- Less than 9 months not allowed unless completing a planned training program
- Appointment may begin anytime during the budget period
“Overlapping” Appointment

An appointment period may overlap budget periods. For example:

<table>
<thead>
<tr>
<th>Year 9</th>
<th>Year 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/1/2015 – 6/30/2016</td>
<td>7/1/2016 – 6/30/2017</td>
</tr>
</tbody>
</table>

Appointment Period
1/1/2016 – 12/31/2016

Stipend & Tuition $$ (6-months reported as unliquidated obligation)
Statement of Appointment  
(Form PHS2271)

- Due on or before the start of the appointment period
- No stipend or other allowance may be paid until submitted
- Delinquent submissions (> 30 days) may result in disallowance
- Electronic Submission through eRA Commons xTrain now required
Payback Agreement
(Form PHS 6031)

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

Fillable form available at:
http://grants.nih.gov/grants/forms.htm
Termination Notice (PHS 416-7)

- Required at time an appointment is ending
- Reflects total period of support & NIH stipend only (do not include any supplementation)
- If there was a hiatus of support, report only current period
- Do not include support already reported on a prior Termination Notice
- Electronic Submission through eRA Commons xTrain now required
xTrain—Electronic Submission of 2271s and Termination Notices—Now Required

- The feature in the eRA Commons to electronically submit trainee appointments, reappointments, amendments, and Termination Notices
- Takes advantage of stored data; minimizes data entry
- Allows grantees to also track status and timing of trainee actions
- Use now mandated beginning with submissions on/after 1/1/2011.

See Guide Notice OD-11-026 for details.
Reporting Requirements

➢ Progress Report:
  ➢ Due annually
  ➢ Required to use the RPPR

➢ Financial Reporting
  ➢ Use the Federal Financial Report [FFR]
  ➢ Quarterly Cash Report in the Payment Management System
  ➢ Expenditure reporting of FFR required annually to NIH through eRA Commons
    ➢ Required annually 120 days after end of calendar quarter in which budget period ends
    ➢ Example: Budget period ends 6/30; Expenditure report of FFR due 9/30
    ➢ 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
Other Resources

NIH Training Website: [http://grants.nih.gov/training/nrsa.htm#policy](http://grants.nih.gov/training/nrsa.htm#policy)

T Kiosk (FOAs): [http://grants.nih.gov/training/T_Table.htm](http://grants.nih.gov/training/T_Table.htm)

F Kiosk (FOAs): [http://grants.nih.gov/training/F_files_nrsa.htm](http://grants.nih.gov/training/F_files_nrsa.htm)


xTrain Resources: [http://era.nih.gov/training_career/index.cfm](http://era.nih.gov/training_career/index.cfm)
   Includes User Guide, quick reference sheets, online tutorials, presentations


Questions?

Tony Corio: GrantsPolicy@od.nih.gov