

This session will *not* be recorded, but this PowerPoint can be found

<https://medschool.ucla.edu/research/researcher-resources/administrative-support/department-medicine-office-research-administration/fund-management-training>

Training Grants

UCLA DEPARTMENT OF MEDICINE
OFFICE OF RESEARCH ADMINISTRATION
ZOOM TRAINING

What is an Institutional Training Grant?

NIH GPS 11.3.1 General

NIH will award Kirschstein-NRSA institutional research training grants (T32, TL2, T34, and T35) to eligible institutions to **develop or enhance research training opportunities** for individuals, selected by the institution, who are training for careers in specified areas of biomedical, behavioral, and clinical research. The purpose of the Kirschstein-NRSA program is to help **ensure that a DIVERSE and highly trained workforce is available** in adequate numbers and in the appropriate research areas and fields to carry out the nation's biomedical, behavioral, and clinical research agenda. The program shall be carried out in a manner to recruit women and individuals from disadvantaged groups (including racial and ethnic minorities) into biomedical research. Training activities can be in basic biomedical or clinical sciences, in behavioral or social sciences, in health services research, or in any other discipline relevant to the NIH Mission. The Kirschstein-NRSA training programs support predoctoral, postdoctoral, and short-term research training as well as limited specialized support at the prebaccalaureate level. All NIH ICs except FIC and NLM award Kirschstein-NRSA institutional research training grants. FIC and NLM have unique funding authorities for training grants that are separate from the Kirschstein-NRSA authority.

Kirschstein-NRSA Awards (NIH Training Grants and Fellowships)

- Expectation of “full-time training” upon acceptance of the award (40 hours/wk)
 - The Training Plan is defined during pre-award and will clearly outline expectations of trainees throughout the course of their appointments on these awards. Training Grant Administrators are responsible for providing these details to the trainees and their mentors.
 - If you manage a Training Grant and do not already have a document outlining all required terms, please use the [DOM Training Grant Mentor-Fund Manager Assurance Letter](#) Template as a starting point. Training Grant Program Directors may add points that address the specific aims and/or training plans.
- Funds are distributed in the form of Stipends, as activities approved under NRSA awards do **not** require **work** from appointed trainees. These stipends are defined as “subsistence allowance[s]... to help defray living expenses during the research training experience”, to ensure the trainee may devote full-time effort toward training and educational pursuits
- Typically does not fulfill minimum wage guarantees to Postdocs or GSRs, as [stipend levels are capped](#)
 - Mentor must confirm if shortfall needs to be covered as:
 - Stipend Supplementation: Awarding *additional stipends (no work)* via unrestricted funds, or
 - Coincidental Appointment: up to 25% FTE, with the expectation of measurable effort and **work** in addition to training grant efforts, via any fund that may support salary costs
 - If this 2nd option is elected, the trainee must understand this requires *additional time commitment* beyond the 40-hour/wk training commitment, commensurate to the %FTE appointment
- Does not support all benefits costs, and NRSA funds cannot be used to pay for Balance of Fees
 - [Benefits Exclusions](#): FY23 rates. See [EFM Announcements](#) for prior and/or future rate schedules.
 - 13.40% of CBR is unallowable for Trainees appointed “Postdoc”
 - 21.70% of CBR is unallowable for Trainees appointed to an “Other Academics” title code (Example: Clinical Instructor)
 - 72.00% of CBR is unallowable for Trainees with Limited Benefits (Example: Resident Physician)

Notice of Award

- Items to make note of from each NoA:
 - Budget Period
 - The assigned Budget Period will control the allowable appointment start dates, and the ultimate reporting schedule for progress and outcomes
 - Assigned GMS
 - Necessary forms will need to be submitted to the GMS throughout the lifetime of the award
 - NRSA Effective Notice
 - All appointments made against a budget period of a Training Grant **must** use the NRSA Funding Level Notice identified in the NoA. This is **not** always consistent with the NRSA Funding Level Notice in effect as of the appointment start date(s).

NRSA Stipend Levels and Other Budgetary Information

This award is issued in accordance with the NRSA Stipends, Tuition/Fees and Other Budgetary Levels Effective for Fiscal Year 2021 described in the NIH Guide Notice [NOT-OD-21-049](#).

- Termination Notice Deadline
 - Hard deadlines to submit applicable termination notices will be referenced in Section IV

Termination

Within 30 days of the end of the total support period for each trainee, the institution must electronically submit a [Termination Notice \(PHS Form 416-7\)](#) via [xTrain](#).

- Offset
 - An offset will require a transfer of funds **from** the year the offset has been evaluated against **to** the new fund being established. EFM is responsible for performing this action.

Offset

This award uses as an offset the unobligated balance of \$63,327 from the -45 year Federal Financial Report.

Funding Levels

Training Grants will be awarded with the following budget categories. Each of these funds carries a specific purpose and has varying rebudgeting authority.

- **Stipends:** Awarded funds will be commensurate to
 - the # of slots requested
 - per each Level of Experience requested in either the proposal application or RPPR
 - according to the prescribed NRSA Funding Level identified in the Notice of Award
- **Tuition & Fees:** *If* tuition was requested, NIH will award 60%* of the amount *requested* in the proposal application or RPPR
 - Fund Managers are responsible for ensuring the amount requested aligns with UCLA's actual costs

For rebudgeting purposes, trainee costs include funds awarded in the stipends or tuition/fees budget categories. These costs may not be used for other purposes except under unusual circumstances and then only with the prior approval of the NIH awarding IC. Unless otherwise restricted, rebudgeting into or within the stipends and tuition/fees is allowable without prior approval of the NIH awarding IC

- **Travel:** *If* travel was requested, NIH will award the level requested or an amount appropriate if the requested amount was determined to be impractical.
 - For rebudgeting purposes, trainee travel is not considered a trainee cost and, therefore, may be rebudgeted into any other budget category without prior approval of the NIH awarding IC.
- **Training Related Expenses:** Awarded funds will be commensurate to
 - the # of slots requested
 - per each pre/post doc slot requested
 - according to the prescribed NRSA Funding Level identified in the Notice of Award
- Rebudgeting of funds awarded in a lump sum for trainee-related expenses does not require NIH awarding IC prior approval
- **Childcare:** Training Grant Appointees are entitled to up to \$2,500 as *reimbursement* toward verified Childcare out-of-pocket expenses
 - Childcare may not be rebudgeted into any other category

Funding Level Example

Cumulative Award Calculations for this Budget Period (U.S. Dollars)

Stipends	\$358,884
Tuition & Fees	\$62,952
Trainee Travel	\$6,000
Training related Expenses	\$71,100
Federal Direct Costs	\$498,936
Federal F&A Costs	\$34,879
Approved Budget	\$533,815
Total Amount of Federal Funds Authorized (Federal Share)	\$533,815
Cumulative Authorized Carryover and Offset for this Budget Period	\$63,327
TOTAL FEDERAL AWARD AMOUNT	\$470,488
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$470,488

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)								
YR	THIS AWARD				CUMULATIVE TOTALS			
	Total	Pre	Post	Short Term	Cumulative Total	Pre	Post	Short Term
47	\$470,488		6		\$470,488		6	
48	\$526,000		6		\$526,000		6	
49	\$526,000		6		\$526,000		6	
50	\$526,000		6		\$526,000		6	
51	\$526,000		6		\$526,000		6	

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Administrative Costs

- Administrative costs necessary to carry out the programmatic aims of the Training Grant Program are allowable and may be charged to the Trainee Related Expenses allocation of funds. These costs may include:
 - Program Coordinator (Admin Salary)
 - Speaker Honoraria
 - Allowable Benefits (see EFM Annual Announcement)
 - Program-supplied goods, meals, or other services as needed
- Utilizing portions of TRE for Administrative costs may be essential to ensure the success of the program; however,
- Doing so will ultimately reduce TRE allocations available to appointees for individual costs (supplies, textbooks, etc.)

Trainee-Awarded Costs: Stipends

- At the start of each appointment period, trainees must be notified of the total funds to be provided as Stipend
- Years of Experience is dependent on the trainee's CV. For appointments made against the NRSA Fiscal Year 2023 Notice:
 - Undergraduate Students may be awarded \$14,340 per 12 month appointment
 - Graduate Students (Predocs) may be awarded \$27,144 per 12 month appointment
 - Postdoc funding level is dependent on the number of full years (12 months) of relevant postdoctoral experience
 - Level of Experience = (Today - Doctoral Commencement - Non-relevant gaps)
Represented in # Months
 - *Example:* John Doe received his MD on May 21, 2021 and we would like to appoint him to our Training Grant. If today is April 19, 2023, it has been 22 months since commencement. John was immediately hired as a postdoc upon graduation and has not had any breaks in service.
 - If we appoint John with a start date in April (22 months) or May (23 months), he will be a Level 1
 - If we appoint John with a June start date, he will be a Level 2 because in June he will have completed 24 months of relevant experience

Fellowship Appointments for Medical Residents, Clinical Instructors and Postdocs

- Best Practice is to ensure all stipends are distributed using the correct title codes and earn codes via UC Path; however may be distributed via GoGrad *if* the trainee is pursuing a formal degree
 - UC Path title codes
 - Use title code 2750 for Medical Resident Training Grant stipends
 - Use title code 2749 for Clinical Instructor Training Grant stipends
 - Use title code 3253 for Postdoctoral Scholar Training Grant stipends
 - *GSRs must receive all stipends via GoGrad*
 - GoGrad if the trainee is “degree seeking”
 - Once enrolled, stipend awards can be processed
 - Tuition awards, when applicable, must always be processed in GoGrad

Trainee-Awarded Costs: Travel & TRE

- At the start of each appointment period, trainees must also be informed of any available funds for travel and supplies
- Training Grant programs are encouraged to make every effort to ensure fairness as Travel and TRE allocations are awarded and made available to appointees. It is recommended to prescribe a designated maximum amount available per trainee (relative to the NIH NRSA Funding Level for their appointment)
 - Should the Training Grant Program require Administrative costs, know that the appointee TRE allocation will effectively be reduced. *For example:*
 - The training grant has hired a Program Coordinator at 10% effort, which will cost \$9,000. My awarded TRE from NIH is \$71,100 (11,850 × 6): $71,100 - 9,000 = \$62,100$ left for the trainees. If I have 6 Postdocs, each will now receive \$10,350, compared to the original 11,850
- There is no requirement to prescribe TRE allocations per appointee. Training Grant Programs may alternatively elect to approve purchase requests as they arise on a first-come-first-served basis. This method, though, may ultimately result in inequity of available funds per trainee.
- TRE should be authorized for use according to NIH GPS 11.3.8.4
- Travel should be authorized for use according to NIH GPS 11.3.8.5

Pre-Spending

- Pre-spending against Training Related Expenses and/or Travel is allowable when justifiable. Some scenarios where pre-spending may be necessary:
 - Proposed Appointee needs to order supplies relevant to the proposed training project/program so they are available on Day 1 of the appointment. Includes:
 - Computing Devices
 - Animal costs
 - Office-type supplies
 - NOT items of personal nature that would otherwise be provided by self or employer
 - Administrative costs need to be charged in preparation for program inception. Includes:
 - Printing of training materials
 - Program communal supplies provided to trainees
 - Program Coordinator for efforts expended
 - As in any other case of pre-spending, should NIH elect not to proceed with the award or reduce the award amount, the receiving Department is responsible for any reconciliation actions required

Supplementation

- Institutional Training Grants require Full Time Effort commitment from appointees. UCLA and NIH Policy define Full Time as 40 hours per week
- When a trainee is exclusively engaged in Training Grant Program activities, and UCLA has negotiated a higher annual support rate than is allowable per NRSA Funding Levels, Stipend Supplementation is required in the form of cost-share from unrestricted funds linked to 78-accounts
- Funds from other fellowship or training programs may be used only if there is no effort requirement imposed on the trainee. NIH does not permit Training Grant appointees to hold multiple fellowship obligations at the same time

Concurrent Compensation

- If a trainee elects to pursue ***employment*** concurrent to their training grant appointment, they may do so provided the employment obligation does not require more than 10 hrs/wk on average for the length of the employment obligation, there is no overlap between the employment obligations and the training grant aims, **and** it will not interfere with, or lengthen, the duration of their NRSA training
 - Should an appointee elect to pursue an employment position that violates the above, their appointment **must** be terminated throughout the duration of the employment obligation. **This includes Graduate Student TA Appointments.**
 - Whenever possible, it is recommended to initiate GSR appointments after TA obligations have been fulfilled.
 - Trainees may re-apply for reappointment to the training grant upon the completion of these employment obligations.
 - Because there may be no overlap between employment obligations and the training grant, there is no restriction on the source of funds (federal grants may be used)

Offer Letter

- When an applicant has been identified to extend an appointment to, it is best practice to provide an offer letter that clearly outlines:
 - Funding Levels
 - Program Aims
 - Meeting requirements
 - Reporting requirements and deadlines
 - Presentation requirements
 - Request relevant IRB/IACUC notices
- Either separately, or within the same document, Mentors must be notified of:
 - Shortfall monetary obligations (stipend, benefits, supplies, etc.)
 - Reminders of various Training Grant terms and conditions they are expected to help enforce as they support the assigned trainee
 - *If this notice is separate from the offer letter, the trainee should receive a copy so they are aware of all terms as well*

Payback Agreement

- Postdoctoral Fellows are required to sign and submit to NIH a Payback Agreement prior to receiving any support from the training grant. NIH must acknowledge receipt prior to release of any funds from any category to the trainee
 - Ideally, payback agreements are signed prior to appointment start date. Typically, whomever is responsible for executing appointments in xTrain will be responsible for collecting this form
 - This document will contain the trainee's Social-Security-Number, therefore should be disbursed sparingly only to individuals essential to the workflow of collecting signature and delivering to NIH
 - DocuSign signatures are accepted in lieu of wet-signature, if wet-signature cannot be obtained
 - Preferred delivery method is paper mail of the wet-signature copy to the Grants Management Office named in the Notice of Award
 - Your GMS may elect to receive these via email, and may advise if that is their preference

Offer Email Sample Template

Send	From	KaylaBrown@mednet.ucla.edu
	To	
	Cc	PI Email Here
	Bcc	
Subject		Training Grant Offer Letter

Hello **Name**,

Congratulations! Please find attached offer letter for a **Pre/Post**-doctoral Fellowship funded via the NIH **Training Grant Name** Training Grant. Your proposed start date is **October 1, 2022**.

If accepted, please provide the following:

- Signed Offer letter (yourself)
- **Subrecipient** Mentor-Admin Assurance Letter: *Please provide the signed copy of this to your SRO to include with the Site agreement*
 - Please note, this document contains administrative requirements and restrictions pertinent to your award. Your review is recommended.
- Signed **Mentor and Fund Manager** Assurances Letter (signed by your Mentor(s) and their fund manager)
 - Please note, this document contains administrative requirements and restrictions pertinent to your award. Your review is recommended.
 - **Fund Manager**: Please advise which quarter(s) the tuition award amount should be applied. As noted on the assurance letter, Mentor is responsible for covering shortfall including **BoF** for TL1 trainees.
- **Complete Docusign** PHS 6031 (Ruth L. **Kirschstein** National Research Service Award Payback Agreement)
- **Complete 2271** in eRA Commons **Xtrain**
 - **Name Specialty Boards Code** (if applicable)
 - **Select Field of Research Training** – this is set to “Other” by default
 - If your field is not available in the drop-down, please select the closest relevant field.
 - Route to PD/PI when you have completed these fields so we may submit to NIH for acceptance.

If you have any questions about any of these forms, please do not hesitate to reach out. Please aim to complete the above steps no later than **10/31/2022**.

CC:
Mentor
Admin Contacts

Appointments/Reappointments

Summary Federal Award Financial Information
19. Budget Period Start Date 07/01/2021 – End Date 06/30/2022

- Budget Period vs. Appointment Period

- While Training Grant appointments and budget periods typically both span across 12 month periods, there is no expectation or requirement to align appointment periods to the Training Grant Budget Period. Provided an Institution has slots remaining to fill for their budget period, they may appoint a trainee up to the final day of that budget period.
- In xTrain the appointment needs to be initiated against the budget period the appointment falls within.
- [Instructions](#) for completing an appointment form via xTrain can be found via eRA Help

Appt Type	Appt Start	Appt End	Termination Date	Num of Months And Days
New	11/01/2021	10/31/2022	10/31/2022	12 months 0 days

The image shows two side-by-side screenshots of the xTrain interface. The left screenshot is for budget period 5TL1DK132768-02 (06/01/2022 - 05/31/2023) and shows 0 appointments and 0 terminations. The right screenshot is for budget period 1TL1DK132768-01 (09/15/2021 - 05/31/2022) and shows 0 appointments and 1 termination. Both screenshots include a '+ Start New' button.

New Appointment Nuances

- Some sections of the appointment form (2271) may be completed by an Administrator, but for new appointments, the trainee must always be included in the routing history prior to submission to Agency (NIH)
 - Administrators may elect to pre-collect appointment details from the trainee and enter. The trainee will then review the pre-filled information before routing back to PI, signaling the information entered is accurate and ready for submission.
 - Alternatively, administrators may initiate the appointment form only, and route to trainee to have them complete independently and route back when ready for PI to submit to agency.
 - Either process above enables both administrators and trainees to edit the appointment form while it is routed to them.

Terminations

- Every training grant appointee will ultimately need to be terminated, at least once. The two scenarios which would require a termination are:
 - The appointee must engage with an activity that makes them ineligible to receive funding from the training grant (either temporarily, or permanently)
 - When this is the case, the Termination Notice must be initiated and made effective as of the date the trainee is no longer eligible for support.
 - The appointee can concluded their training with the training program, and is continuing their career elsewhere
 - NRSA support is limited to 5 years for predoctoral trainees (6 years for dual-degree training), and 3 years for postdoctoral fellows.

In-Training Reporting

- While appointed to the Training Grant, appointees are required to report the following on an annual basis:
 - Summary of training opportunities experienced
 - List of publications resulting from training program
 - List of inventions, patents, and/or licenses resulting from training program
 - Other products developed through training program
 - TRE + Travel allocations not utilized
 - Updated IRB/IACUC/CITI-GCP documentation
 - Mentor's current Other Support
 - AND all outcomes required from individuals post-training

Post-Training Lifetime Reporting

- For all trainees that held an appointment within the last 15 years of the Training Grant, each individual must report/update the following on an annual basis:
 - Title of research topic
 - In-training status
 - Start Date into current degree-granting program (if degree-seeking)
 - Commencement date (if degree obtained)
 - Mentors (Name and Commons ID) for this training grant
 - Support received during training (includes stipend supplementation and concurrent employment sources, and any other awards received)
 - Leave of Absence from training
 - List of all degrees obtained and dates, specify if resulted from this training grant
 - Post-Training Positions: Initial position held, and current position
 - Subsequent grants received (includes grants where the individual was not the PD/PI)

xTract

- On an annual basis, Administrators are required to enter the In-Training and Post-Training report details into xTract in preparation for RPPR submission. It is therefore essential that Administrators communicate with trainees well in advance of RPPR due dates that these reports must be submitted on time, and be as accurate as possible.
- Data entered into xTract will auto-generate the necessary “Table 8” to be included with the RPPR. Your xTract Data Tables **must** be finalized prior to submitting the RPPR

RPPR

- An RPPR for a Training Grant is similar to an RPPR for a Research Grant, with a few minor differences:
 - Question B4: What opportunities for training and professional development has the project provided?
 - Trainee summaries provided as part of “In-Training” Reporting must be included in response to this question. These can either be appended to each other and uploaded as a sequential document, or the PD/PI may write a singular summary using the provided summaries as a reference.
 - A Trainee Diversity Report must be generated (link in RPPR) which relies on data reported in appointment forms and within appointee eRA profiles. This report must be finalized prior to submitting the RPPR else it will not be included upon submit
 - Once the RPPR RTD has been finalized in xTRACT the appropriate training tables, which may be seen when you view your draft RPPR, will be added to the RPPR PDF
 - Section C
 - Any publications, inventions, or other products reported by those In-Training must be included here, in addition to any publications reported by the PD/PI (if any)
 - Question D1: What Individuals have worked on the project?
 - Only list the PD/PI(s): Note, while effort from Training Grant PD/PIs may effectively be zero, a value must be reported as eRA does not permit “0”
 - Question D.2.b: New Senior/Key Personnel
 - If there are any new mentors proposed for the following year, that were not already included in the pre-award application or other prior approval request to formally add, include those mentors biosketches
 - Question D.2.c: Changes in Other Support
 - Other Supports from all PD/PIs and approved Mentors should be included
 - Exclude any that have had no change to Other Support compared to the last reporting period/JIT

Carryover Requests

- An unobligated balance may be requested for carryover from one budget period to a subsequent budget period provided the Institution may demonstrate “*bonafide need*”
 - *NHLBI provided example*: *I have 6 slots authorized, but would like to appoint a 7th, additional slot. I would like to request carryover of my unobligated balance, for the specific value this 7th slot will cost.*
 - *This request may be approved with the following conditions:*
 - *Institution understands and agrees that approval for this request does not imply future requests of a similar nature may automatically be approved.*
 - *Institution understands that approval to add a 7th slot to the current year does not entitle the Institution to appoint 7 slots for future budget periods*

No-Cost Extensions

- In the final year of a training grant, if there is one or more applicants that has not yet concluded their training grant appointment, and additional time is needed to ensure the appointment may conclude (and ultimately postpone the final financial and scientific deliverable due dates), a No-Cost Extension may be requested to facilitate this.
- New appointments or reappointments are not permitted within a NCE period without express written consent of the awarding IC
- Upon conclusion of the NCE period, all final deliverables must be submitted on or before the assigned due date

Annual Closeout Packet

- Institutional Training Grants do not abide by the “Single Fund Number” method that other C&G awards have applied, meaning each budget period relevant to a Training Grant award will be assigned a distinct fund number.
- Fund Managers are required to submit the closeout packet deliverable annually in PAMS for EFM to submit the annual FFR prior to this deliverable’s due date
- For appointments that extend beyond the budget period end date, Fund Managers are required to manually encumber obligated Stipends and Tuition to be expended as unliquidated obligations.

Useful Templates

- The Department of Medicine has created the following templates to aid administrators in the management of their assigned Training Grants:
 - Mentor-Fund Manager Assurance Letter (Internal appointments)
 - Contains funding levels and all terms and conditions that may accompany a training grant appointment
 - External Appointments: Subrecipient Mentor-Admin Assurance Letter
 - xTract – Trainee Outcomes Report
 - Collect annual trainee reports in a uniform format
 - UCLA DOM Training Grant Invoice Template
 - For use with subawards only. Breakdown of expenditures by appointee to track trainee-spending and progress toward prescribed limits
 - T32 Trainee Log Template
 - Maintain for both administrative use and for use with outcomes reporting
 - Contains Mentor, Trainee, Fund Manager contacts per trainee
 - Contains funding levels per trainee (and ideally a recording of TRE spending per each budget period end)

Survey Link

<http://goo.gl/forms/C3gdjsL5y1>

We appreciate if you would take a few moments to complete a short 7 question anonymous survey to help us improve your training experience. Thank you!