NIH Institutional Training Grants
Post Award Issues
April 8, 2008

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Heather Daniels, Neuroscience Training Program
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(Notes begin on Slide 8.)
NiH Training Grant Programs at the University of Wisconsin-Madison

Biology of Aging and Age-Related Diseases

Project Director: Dr. Sanjay Asthana, sa@medicine.wisc.edu
Contact: Kay Smith, smjkf@wisc.edu

Wisconsin Allergy and Immunology Research Training Program

Project Director: Dr. James Gern
Contact: Betha Johnson, rmh@me.dims.wc.edu

Behavioral and Biological Training in Typical and Atypical Development (Postdoctoral training)

Project Director: Dr. Morton Ann Gernsbacher

Interdisciplinary Biostatistics Training Program

Project Director: Dr. Michael Newton
Contact: Don Kalish, kalish@biostat.wisc.edu

Biotechnology Training Program

Project Director: Dr. Tim Dornbush
Contact: Elizabeth Hildan
Grad School Website
Essential Info on T32 Admin! info.gradsch.wisc.edu/research/traininggrants/nihinfo.html

Helpful Information for Faculty and Staff Involved With National Institutes of Health (NIH) Training Grants

General Information
NIH Training Grant Programs at UW Madison
Preparing Applications
Site Visit
T32 Request for Institutional Training Grants, Pre-Award Issues: PowerPoint Presentation from Graduate School Seminar Series
Post-award Issues

Notice and Rees: Shortfall Information:
For NIH awards made in federal fiscal year 2002 and earlier:
- T32 Grant (T32) Tuition & Fees Shortfall
- T32 Request for Supplemental Graduate School Funds Form

For FY starts made in federal fiscal year 2006 and later (under the new tuition and fees policy):
- Graduate School Forms (including Training Grant (T32) Tuition and Fees Shortfall)

NIH Training T32 Training Grant Surveys (Please use Microsoft Internet Explorer (with Macromedia Flash plug-in) to access this database):
- Quick Guide to Browsing Data Resources
- Use the NIH T32 Training Grant Database
NRSA Website
grants.nih.gov/training/nrsa.htm
Post Award Issues – Policy

1. Your Notice of Grant Award (NGA)
   Your NGA gives the terms and conditions of your unique training grant and provides contact information for your grant’s Program Official and Grants Specialist.

2. NIH Grants Policy Statement

   Especially look at the following parts:
   - Subpart A, General Terms & Conditions:
   - Subpart B, Specific Types of Grants (including Training Grants)

   The NIH Grants Policy Statement includes information on trainee period of support, allowable and unallowable costs, stipend levels, and many other policy issues.
STIPENDS

• The stipend level is for the Federal fiscal year beginning October 1.
• Stipend levels are posted on the NRSA website.
• A new announcement comes out each year (although the stipends don’t necessarily increase each year).
• Note that the predoc stipend is one amount for all predocs, whereas the postdoc stipend varies depending on the level of experience.

Postdocs:
• The NIH defines the level of experience very precisely.
• A postdoc is paid at the Zero-Years-of-Experience level (that is, the lowest stipend level) until they have 12 months of experience. Thus, if they got their PhD 11 months ago they will still be appointed at the Zero-Years-of-Experience level.
• An individual trainee’s stipend level does NOT increase during that trainee’s appointment year. The increase comes into play for individual trainees only on their reappointment. For instance, someone appointed on September 1, 2008 will not get a higher stipend until September 1, 2009.
Post Award Issues - Forms and Slots

Forms are available to download from the Forms page on the NIH Web Site:
http://grants.nih.gov/grants/forms.htm

Generally at NIH, 1 slot equals 1 person.

Forms:
Once you pull up the URL, you need to scroll down to the “Training Forms” section.

Slots:
If your award notice says that you have 6 pre-doc slots each year, it means that you can appoint 6 pre-docs, total, each grant year. You can’t appoint more than that without prior approval from your Institute, even if you have a trainee who quits after 3 months and all your other trainees are Wisconsin residents and dissertators!
• The Appointment Form is referred to as 2271.
• An appointment must be no longer than 12 months for the initial period or shorter than 9 months, but it can start on any date, e.g. August 15, July 1, March 1. TRY TO AVOID APPOINTING AT THE END OF THE MONTH; IT’S A NIGHTMARE FOR YOU AND YOUR PAYROLL STAFF!
• This period can be up to 3 years for a postdoc and five years for a predoc (although many training grants on campus only give three year appointments for predocs).
• The NIH requires an appointment form for each trainee. These must be dated on the actual day of appointment for stipend charges to be allowable. The form requires the trainee signature and the program director signature and is then routed to the NIH program people. The agency may disallow stipend charges if the form is dated incorrectly. Also the form should be at the Agency within 30 days of appointment. The form is available on-line. We recommend faxing a copy to your grants management specialist and to RSP (fax 2-5111) before mailing the original copy to the institute.
• Amendments can be made for changes to the following types of info: Trainee name (marriage, etc.), Permanent Mailing Address, Period of Appt., Support for Period of Appt.
Appointment Forms

- New form in November 2007
- 2 new questions, #12 and #13
- An appointment must be no longer than 12 months for the initial period, and no shorter than 9 months.
- Appointments can start on any date, e.g. August 15, July 1, March 1, but AVOID END-OF-MONTH START DATES!
- Use dates that make it easy to remember.
- Trainee and TG Director sign new form each year.
Termination Notice

- Trainee (and TG Director) sign Term Form only when trainee is NOT reappointed.
- When a trainee is appointed multiple, non-consecutive years (e.g., 7/1/03-6/30/04, 7/1/04-6/30/05, 7/1/06-6/30/07):
  A. trainee signs Term Form at end of each non-renewed appointment period (e.g., Term Form signed on 6/30/05 and on 6/30/07).
  B. trainee’s final Term Form will list all periods of support (e.g., Term Form signed on 6/30/07 will list 7/1/03-6/30/04, 7/1/04-6/30/05, and 7/1/06-6/30/07).
• Termination forms are required at the end of the entire trainee period. The form is called the 416-7.

• The termination forms include a short statement of training achieved including any publications.

• They require the trainee signature, the program director signature and also a business official signature from RSP.

• Send along an addressed envelope to RSP with your term forms.

• If a student is terminating early, an amended appointment form is also required.

• The termination form is available on-line.
Payback Agreement: This requirement has been made much less onerous over the years.

• Nowadays there is no payback required from predoc trainees.
• Postdoc trainees have to sign a payback agreement in their first year. But any research in the second or subsequent year can be used to pay this back.
• Send copy to RSP as well.
• You’ll have to have the postdocs sign the agreement form, but the certification form for repaying the payback will be sent directly to the trainee by the NIH.
• Postdocs who sign this form are agreeing to engage in health-related research, research training or teaching for each month they receive an NRSA award up to 12 months.
xTrain

- New electronic appointment, termination and payback agreement system through eRA Commons.
- UW was pilot institution through end of January.
- Expected to roll out to all training grants in June 2008.
Some degree programs pay predocs a total stipend amount that exceeds the NIH standard stipend. In these cases the supplement must be paid by the program or the mentor of the trainee.

2. Campus policies for postdocs:

http://info.gradsch.wisc.edu/admin/budgetpersonnel/postdcsupp.html

Requests for postdoctoral concurrent teaching or research appointments exceeding a 33.3% Research Associate level should be sent to the Graduate School Budget and Personnel Office, Room 307 Bascom Hall, via the payrolling Dean’s Office.

3. In all cases, use only non-federal unrestricted funds to supplement a trainee stipend.

Postdoc salaries are currently competitive with research associate salaries, but when they are not, supplements can be paid, but again NON-Federal money must be used.
Payroll Issues – Appointments, Account, and Program Code

1. Stipend Supplement Appointments should be separate from Trainee Appointment.
2. Trainee Stipends must be at NIH rate.
3. Predoctoral stipends use account 5712; Postdoctoral stipends use account 2720
2. Predoctoral stipends use program code 2; Postdoctoral stipends use program code 4

Some degree programs pay predocs a total stipend amount that exceeds the NIH standard stipend. In these cases the supplement must be paid by the program or the mentor of the trainee and ONLY NON-Federal, unrestricted funds may be used.

Postdoc salaries are currently competitive with research associate salaries, but when they are not, supplements can be paid, but again NON-Federal, unrestricted money must be used.

Avoid making appointments that start at the end of the month (e.g., 25th of month or later). This creates a nightmare for payroll staff!
Tuition and segregated fees for predocs are paid on the training grants by third party deferral. On the T32 website there is a link to the Bursar's office explaining the procedure. Also, as the grant pays tuition, tuition remission will not apply to trainees.

Tuition & Fees

- Submit your third-party deferral form to Bursar before the beginning of each semester.
- Bursar will send you an invoice.
- Enter the funding string for trainees in Interdepartmental Billing Form.
- Use program code 9.
- Double check the invoice carefully to make sure you are paying the proper amount for each student.
- Send remittance copy of invoice plus Accounting Services and Bursar’s Office copy of the billing form to RSP.
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Tuition & Fees Bill Inaccuracies

- Check your tuition bill closely every time.
- Write funding string for each trainee next to the trainee’s name.
- Check accuracy of amounts for trainees covered under Wisconsin/Minnesota reciprocity agreement or trainees enrolled in dual-degree programs, i.e. MD/PhD.
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After your grant has been funded, you will have to provide fairly extensive annual progress reports. It is important to submit these on time (two months before the start of the next year’s funding). Both human and animal protocols should be updated, as well as your trainer list. Check RSP website to see when yours is due. This can be found using the URL listed at the top of the slide. Once you open the link, click on “Applications by Due Date” which you’ll find in the middle of the page.

Trainee Related Expenses (TRE)

- **Account**
  - 22xx-3xxx used for general training program expenses
  - 5711 used for expenses that are benefiting a particular trainee

- **Program Codes**
  - For pre- and postdoctoral use program code 2 (instruction)

- **Health Insurance Costs**
  - Taken from TRE category (beginning with competing awards made in FY06 and later)
Trainee Related Expenses (TRE)

- **What’s allowed? (in general)**
  - Administrative Salaries
  - Speakers
  - Supplies and Equipment
  - Printing Costs
  - Allowance for Trainees Expenses
- **NOT ALLOWED**
  - Individual memberships
  - Individual subscriptions
  - Recruiting individuals
  - Food for meetings
- **Documentation is important!**
  - Need to have documentation of how money was spent

After your grant has been funded, you will have to provide fairly extensive annual progress reports. It is important to submit these on time (two months before the start of the next year’s funding). Both human and animal protocols should be updated, as well as your trainer list. Check RSP website to see when yours is due. This can be found using the URL listed at the top of the slide. Once you open the link, click on “Applications by Due Date” which you’ll find in the middle of the page.
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Other Expenditures

- On-campus prior approval is required for equipment purchases (unless your grant is awarded under FDP (Federal Demonstration Partnership).

**Equipment purchases are considered $5,000 or more

OTHER EXPENDITURES SLIDE

Other expenses are also budgeted. These include trainee related expenses plus trainee travel. These funds can be used for multiple purposes such as lab supplies, administrative support salaries, hosting seminar speakers, meeting travel etc. Each training program should decide on the fund expenditures that they feel enhance the training of the students. As the grants are mainly not yet under the Federal Demonstration Partnership (FDP), there are some expenditures that require prior approval on-campus from RSP. The major ones are equipment purchases (greater than $5,000). A memo can be used to request prior approval on-campus. This does NOT need to go to the Agency. The memo should include the grant information, a description of the expenditure, the amount involved, and a justification of the expense. The memo should be signed by the Program Director, the Chair, the Dean and RSP and the approval should be attached to the request for payment when the expenditure is made.
After your grant has been funded, you will have to provide fairly extensive annual progress reports. It is important to submit these on time (two months before the start of the next year’s funding). Both human and animal protocols should be updated, as well as your trainer list. Check RSP website to see when yours is due. This can be found using the URL listed at the top of the slide. Once you open the link, click on “Applications by Due Date” which you’ll find in the middle of the page.
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**Rebudgeting of Funds**

- **Stipends**  
  Can be rebudgeted within tuition and fees

- **Tuition and Fees**  
  Can be rebudgeted within stipends

- **Travel**  
  Can be rebudgeted anywhere

- **Trainee Related Expenses including Health Insurance**  
  Can be rebudgeted anywhere
After your grant has been funded, you will have to provide fairly extensive annual progress reports. It is important to submit these on time (two months before the start of the next year’s funding). Both human and animal protocols should be updated, as well as your trainer list. Check RSP website to see when yours is due. This can be found using the URL listed at the top of the slide. Once you open the link, click on “Applications by Due Date” which you’ll find in the middle of the page.
Effort Reporting

- PIs of training grants do need to report effort
- Trainees and trainers typically do NOT need to report effort (exception: trainers who have percent effort listed on the competitive renewal should report that effort)
- Administrators, who are paid by the training grant, will also need to report their effort.
Annual Progress Reports – Forms

Use PHS 2590 forms
http://grants1.nih.gov/grants/funding/2590/2590.htm

Budget should be on NRSA budget form, “NRSA Additional Budget Page 2”

Trainee Diversity Report
NRSA Budget Form

<table>
<thead>
<tr>
<th>Period</th>
<th>Budgeted</th>
<th>Actual</th>
<th>Variance</th>
</tr>
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<tbody>
<tr>
<td>Q1</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Q2</td>
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<tr>
<td>Q4</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes:
- Variance: Actual - Budgeted
Trainee Diversity Report

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Phone</th>
<th>Email</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>01/01/2023</td>
<td>John</td>
<td>1234</td>
<td><a href="mailto:john@example.com">john@example.com</a></td>
<td>123 Main St</td>
</tr>
<tr>
<td>01/02/2023</td>
<td>Jane</td>
<td>5678</td>
<td><a href="mailto:jane@example.com">jane@example.com</a></td>
<td>456 Oak Ave</td>
</tr>
</tbody>
</table>

This report includes information on demographics, education, and work experience.
Account in Advance

- Progress report must be submitted first
- If the next year is an award from a competitive renewal grant submission, PI must have documentation in writing that award is forthcoming before an account will be issued
- Request via WISPER
Completing and Advance Account Request in WISPER

- Go to UW WISPER -> Search -> Type in search criteria to find the proposal
- Open the proposal record (click on MSN#) and go to Approvals tab
- Click Add Approval, Approval Type is “Request Advance Award Setup”
- Select your Division and click Add Approval
- Upload relevant or necessary documentation in the Attachments tab (i.e. written documentation of award and updated protocol list)
- Request approximately 2 months in advance
Carryover of unliquidated obligations occurs at the end of the grant period. So let’s talk about unliquidated obligations. This is a scary-sounding accounting term, but really isn’t that scary. It just means that the amount of the stipend, tuition and fees for the entire appointment period must come out of the grant budget when the trainee began his/her appointment. Those amounts that extend beyond the end of the grant period are carried over into the next budget period or grant year.

Let’s review this slide that shows the stipend part of the carryover.

**UNLIQUIDATED OBLIGATIONS SLIDE**

* Grant runs July 1, 2003 - June 30, 2004. Let's say it's Year 3 of the grant
* A trainee is appointed on January 1, 2004 for 12 months
* The whole 12 month stipend is charged to Year 3
* Therefore the $'s for 6 months of stipend (July 1, 2004-Dec 31, 2004) will be carried over to Year 4 as an obligated balance

For predocs, carryover also applies to tuition, fees and health insurance. In the above example you would also carryover 1 semester (Fall 2004) of tuition and fees, as well as 6 months of health insurance for the period of July 1, 2004 to December 31, 2005.

When you have an opportunity, please check out the Grad School website that explains all this very clearly.
GRANT YEAR 3

Trainee appointed 6 months into Grant Year 3

Each slice = 1 slot [includes stipend & tuition/reim]

GRANT YEAR 4

50% Year 4

From Year 4

6 months of stipend & tuition/reim is carried over into Grant Year 4

50% Year 3
Year-End Close Out Procedures for Training Grants

NIH requires that a FSR (financial status report) be submitted by the awarding institution prior to 90 days after the end of the grant year.

After the new budget year has begun, RSP prepares the FSR for the prior period.
After your grant has been funded, you will have to provide fairly extensive annual progress reports. It is important to submit these on time (two months before the start of the next year’s funding). Both human and animal protocols should be updated, as well as your trainer list. Check RSP website to see when yours is due. This can be found using the URL listed at the top of the slide. Once you open the link, click on “Applications by Due Date” which you’ll find in the middle of the page.
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Because the NIH is only partially funding tuition, there is likely to be a tuition shortfall for many grants. The Graduate School is currently covering this shortfall. A form is sent to Program Directors in late spring/early summer about how to apply for these funds and further details can be obtained from the website. Confirm the amount calculated by RSP, then complete a Request for Graduate School Supplemental Funds and send it to Petra Schroeder at 317 Bascom Hall. Petra will work with RSP to arrange for the tuition shortfall to be transferred to Graduate School funds.

You can obtain the form via the URL listed on the slide.
Other T32 Resources at UW-Madison

- Training Grant Administrators Networking Group
  (Contact Jane Lambert or Heather Daniels)

- T32 ListServ
  ntp-T32@lists.services.wisc.edu
  (Contact Heather Daniels)
Contact Information

Becky Bound
rbound@cals.wisc.edu

Heather Daniels
hdaniels@wisc.edu

Jane Lambert
jflamber@wisc.edu
Questions?

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Thanks for coming and please complete your evaluation forms. (You may mail them in.)