

Northwestern

NIH Institutional Training Grants

Reporting and Essential Information
Evanston June 27, 2016
Chicago June 29, 2016
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*ASRSP
Semi-annual
Networking
Event
June 2016*

Objectives

- Introduction to NIH Training Grants
- What is different about T32s?
- Post award essentials
- Reporting
- Areas to watch out
- NIH resources

What is NIH Training Grant?

Provide support for pre-doctoral and post-doctoral research training experiences

- **Name:** Ruth L. Kirschstein National Research Service Award (PA-16-152 NRSA): <https://grants.nih.gov/grants/guide/pa-files/PA-16-152.html>
- **Purpose:** Designed to ensure that a diverse and highly trained workforce is available to assume leadership roles to advance the nation's biomedical and clinical research agenda. NIH institutional training grants support specified areas of biomedical, behavioral and clinical research
- Awarded to an eligible institute, to develop or enhance research training opportunities for individuals selected by the institution
- Provides: Stipend, tuition and other support for graduate students and post-docs
- Prestigious

Trainees

- Must be citizen, non-citizen national or lawfully admitted for permanent residence
 - Must have been admitted for residence at the time of the appointment
- Intended for 1 year
 - Prior permission required for part-time training
- Limited aggregate support
 - Pre-doc 5 year
 - Post-doc 3 years

Not Like Any Other Grant

- Pre-award/Pre-spending is unallowable
- Stipend allowances must be met
- Strict re-budgeting rules
- Carryover typically not allowed; restricted
- Period of appointment is not the same as grant period
- Can lose money if you don't understand when and how it can be spent
- Requires Post-Docs to sign a Payback form
- Effort reports are not generated
- Post-Doc trainee loses some Northwestern benefits due to change in status
 - Not an employee anymore

Award Category

Budget

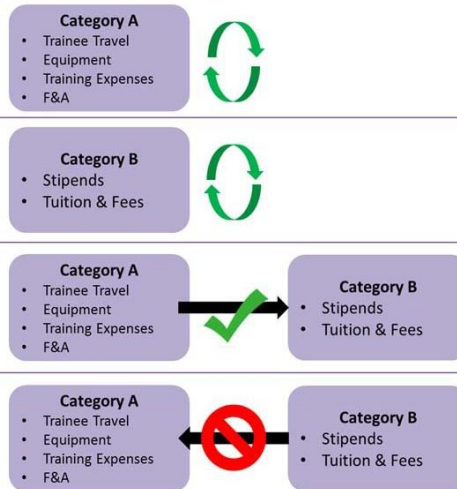
- Stipends
- Training Expenses
- Trainee Tuition/Fees
- Trainee Travel
- F & A

Report similarly, however according to spending

- Stipends can be encumbered for overlapping appointments
- Expenses encumbered
- Tuition/Fees encumbered
- Travel through appointment period only
- F&A 8%

Rebudgeting Rules

- Rebudgeting is allowed within Category A
- Rebudgeting is allowed within Category B
- Rebudgeting is allowed from Category A to B
- Rebudgeting is **NOT** allowed from Category B to A



Hiring Trainee

- Changing status from salary to stipend
 - Submit paperwork in time to change the appointment
 - A Stipend is a subsistence allowance to help defray living expenses during the research training experience. This is not a salary.

Stipends - Predetermined

Levels are predefined and set annually by NIH

- Pre-doctoral – one rate regardless of years of experience
 - As of 1/20/2016, \$23,976 for the year
- Post-doctoral
 - Dependent on # of years of relevant Experience (0-7) at time of appointment
 - Once set, no mid-year change
 - Graduation date = degree conferred (not day defended)

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-047.html>

Effective 1/20/16 NOT-OD-16-047

Undergraduates in the MARC Program: For institutional training grants (T34), one stipend level is used for undergraduates in the Junior and Senior years.

Career Level	Stipend for FY 2016	Monthly Stipend
Juniors/Seniors	\$12,336	\$1,028

Predocctoral: For institutional training grants (T32, T35, T90, TL1) and individual fellowships (F30, F31), one stipend level is used for all predocctoral candidates, regardless of the level of experience.

Career Level	Years of Experience	Stipend for FY 2016	Monthly Stipend
Predocctoral	All	\$23,376	\$1,948

Postdoctoral: For institutional training grants, (T32, T90, TL1) and individual fellowships (F32), the stipend level for the entire first year of support is determined by the number of full years of relevant postdoctoral experience when the award is issued. Relevant experience may include research experience (including industrial), teaching assistantship, internship, residency, clinical duties, or other time spent in a health-related field beyond that of the qualifying doctoral degree. Once the appropriate stipend level has been determined, the fellow must be paid at that level for the entire grant year. The stipend for each additional year of Kirschstein-NRSA support is the next level in the stipend structure and does not change mid-year.

Career Level	Years of Experience	Stipend for FY 2016	Monthly Stipend
Postdoctoral	0	\$43,692	\$3,641
	1	\$45,444	\$3,787
	2	\$47,268	\$3,939
	3	\$49,152	\$4,096
	4	\$51,120	\$4,260
	5	\$53,160	\$4,430
	6	\$55,296	\$4,608
	7 or More	\$57,504	\$4,792

Taxes

- Stipend account codes 78050 and 78080 do not charge Federal tax or benefits
- May generate 1099-Misc

Supplementation vs Compensation

Compensation

- Ex: Seeking a part-time job at Northwestern
- May be allowed if...
 - On a limited part-time basis
 - May not be the same research that is part of the training experience
 - Program Director must approve
 - May not interfere with, detract from, or prolong the NRSA training
 - May generate effort, hire in correct account code. Do not use 78080 or 78050

Supplementation

- Defined as payment without additional effort or obligation to trainee/Fellow
- Non-Federal funds, No exception
 - If using non-federal sponsored funds, make sure it's allowable

NRSA Benefits

- <http://www.northwestern.edu/hr/benefits/health-plans/non-employee-postdoc-scholars.html>
- NRSA health, dental, vision, life, and long term disability through Garnett-Powers & Associates
 - HR Gives ASRSP a list of those who accepted benefits, and the grant is charged once a month: \$333.33 /month
 - 31 days from appointment to elect coverage
 - Family coverage difference to be paid by individual
- Eligible for wildcard, parking, discounts, etc.
- Access to University network and email remains
- No accrual of University Service but held until restarting employment
- Not eligible for Employee Health plans and 403b matching

Leave

- Vacation and Holidays – OK within Northwestern policy
- Sick Leave and other Leave - can continue to receive stipend for up to 15 calendar days of sick leave per year
 - Can be extended under exceptional circumstances by NIH in response to a written request
 - Sick leave may be used for medical conditions related to pregnancy and child birth
 - Up to **60 Calendar Days** for Parental leave
 - Unpaid leave must be approved
 - Contact NIH If you need to suspend the period of appointment
 - May require termination and reappointment when trainee returns

Quiz

- Jane Doe Trainee defended her PhD on 11/30/2015 but graduated 06/17/2016. She was recently accepted into a training grant program and is to start August 1, 2016. Her annual salary is 48,000.00
 1. What is her Maximum Stipend level on the T32?
 2. What consequences are there to the changes of her employment status?
 3. On September 1, she receives a 5% raise from Northwestern. How much can you charge the grant?
 4. What if her PI wants to put her on the training grant 6/1/2016?
 - Who do you ask if you can make this change?
 - What advice would you give the PI?
 - What issues could occur?

Training Related Expenses (TRE)

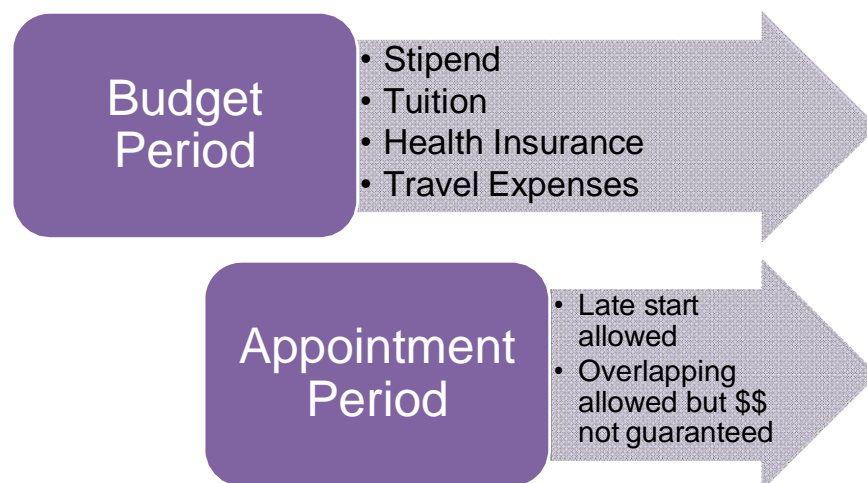
Category	Pre-doctoral	Post-doctoral
Training Related Expenses	4,200	\$7,850.00

- Can be used to pay for Health Insurance, speaker fees, equipment, research supplies, publication costs, or re-budgeted to help cover tuition
- Uniform Guidance(UG) Cost Accounting Standards apply

Subcontracting

- If you subcontract out (rare)
 - Detailed invoices are required, remind OSR to include this in the agreement sent
 - Need to know who is being paid
 - What period the invoice is paying them for (April invoice may only have March expenses)
 - Must follow NIH rules about stipend limits
 - Do not approve invoices that are billing wrong stipend rates.

Budget Period vs Appointment Period

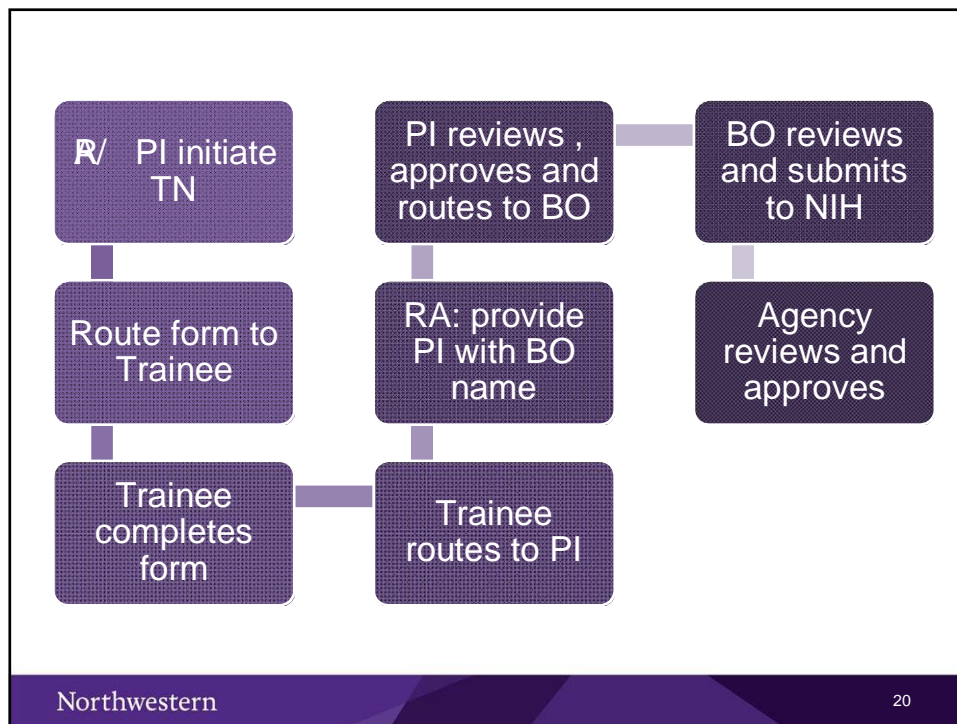


Areas Where Departments May Stumble

- Not paying trainee correct stipend amount
- Hiring trainee late – e.g., trying to change status of someone who started August 1, 2016 after September 2016
- Hiring trainee under the wrong account code
- Spending the TRE incorrectly
- Filling out a Termination report as budgeted but the actual amount paid doesn't match budget
- Overlapping appointment misunderstanding
- Not requesting carryover of restricted funds early enough
- Graduate Medical Education (GME) Fellows' payroll

Termination Notice

- Due **30 days** after trainee has completed experience
- RA should initiate this and verify salary paid matches salary budgeted on appointment form before moving on
- RA informs PI who the business official (BO) is
- Please pick the GCFA who is responsible for your grant
 - Do not pick Jennifer Hobbs



Reporting Requirements

- Financial Status report (SF425) due 90 days from budget date every year
 - Not 120 because annual reports are due in 90 days
- Unliquidated obligations can be used to report stipend and tuition charged for overlapping appointments
 - Items encumbered in our financial system can be reported too
- All unobligated funds will be restricted

Proactive Actions

- Monitor slots
- Monitor when trainee starts and stops
 - Make note if late start how much funding is allowable to carry over
- Forms submitted timely
 - Appointment
 - Termination (due 30 days from end of appointment)

Important Links

- NIH Policy Notices:
<http://grants.nih.gov/policy/notices.htm>
- NIH Grants Policy Statement: Ruth L. Kirschstein Institutional Research Training Grants –Section 11.3:
http://grants.nih.gov/grants/policy/nihgps/HTML5/section_11/11.3_institutional_research_training_grants.htm
- Allowable and Unallowable Costs -Section 11.3.8:
http://grants.nih.gov/grants/policy/nihgps/HTML5/section_11/11.3_institutional_research_training_grants.htm#Allowabl
- NRSA program information:
<https://researchtraining.nih.gov/programs/training-grants>

