Understanding NRSA Fellowships ("F") and Training ("T") Grants

NIH Virtual Seminar
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Presenters:

Dennis A. Twombly, Deputy Director, Office of Extramural Policy, Training Officer, National Institute of Child Health & Human Development (NICHD – NIH)

Lisa Moeller, Team Leader, Grants Administration Branch
National Institute of General Medical Sciences (NIGMS – NIH)

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Session Overview

<u>Objective of Session:</u>

Provide an overview of Individual NRSA Fellowships (F awards) and Institutional Training Grants (T awards), including the purpose of the programs, eligibility, application process, and post-award management.

<u>Format of Presentation:</u>

- ❖ NRSA Programs: Eligibility and general requirements
- ❖ Individual Fellowships (F):   Programs and Applications
- ❖ Institutional Training Grants (T32): Programs and Applications
- ❖ Post-award Issues: Individual Fellowships
- ❖ Post-award Issues: Institutional Training Grants

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What and Why?

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.

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27 NIH Institutes and Centers (ICs)

Each with different:

- Mission & priorities
- Budget
- Funding strategy
- Workforce needs

Research Training and Career Development

Fellowships & Career Awards

Research Grants

R03 Small Grant

R21 Exploratory-Developmental Grant

R01 Research Project Grant

GRADUATE & MEDICAL STUDENTS

POST-DOCTORAL FELLOWS

FACULTY

Training

Transition

Independent

T32 Institutional Training Grants (Predoctoral slots)
F30 Pre-doctoral Fellowships (MD/PhD Programs)
F31 Pre-doctoral Fellowships (Parent F31)
F31 Diversity Pre-doctoral Fellowships

T32 Institutional Training Grant (Post-doctoral slots)
F32 Individual Post-doctoral Fellowships

K22   Career Transition Award (some ICs)
K99-R00   Pathway to Independence Award

K12   Institutional Career Development Award

K01   Mentored Research Scientist Development Award
K08   Mentored Clinical Scientist Development Award
K23   Mentored Patient-Oriented K Award
K25   Mentored Quantitative K Award

K02   Independent Scientist Award
K24   Mid career Award in Patient Oriented Research

NRSA Fellowships & Training Grants

- **Individual Predoctoral Fellowships (F30, F31)**
- **Individual Postdoctoral Fellowships (F32)**

- **Institutional Training Grants (e.g., T32, T35)**
  - Awarded to the institution
  - Supports group of pre- and/or postdoctoral fellows on "slots"
  - Administered under direction of PD/PI or "Training Director"

NRSA Programs
Eligibility and Requirements

Citizenship: NRSA fellows and trainees must be U.S. Citizens, non-citizen nationals, or lawfully admitted for permanent residence at time of award (F) or time of appointment (T)

Degree Requirements:

- **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

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NRSA Duration of Support

- **Predoc:** 5 years (6 years for dual degree, eg MD/PhD)
- **Postdoc:** 3 Years
- Aggregate limits apply: any combination from individual and/or institutional awards

Exceptions:

- Interruptions (break in service)
- Waiver request requires IC prior approval
- Exceptions are Rare

Time Commitment of NRSA Fellows/Trainees

➤ **<u>Full-time Training:</u>** *NRSA fellows are required to pursue full-time training, as defined by 40 hrs/week devoted to research training activities.*

➤ **<u>Part-time Training:</u>** Less than full-time training may be approved under certain conditions.

- Allowed in unusual personal circumstances (e.g., medical conditions, disability, personal or family situations such as child or elder care)

- Part-time training is <u>not allowable</u> to accommodate other sources of funding, job opportunities, or clinical practice or training

- <u>NIH prior approval required</u>: Program Director or Sponsor must submit written request, countersigned by fellow & authorized institutional official

- Fellow/trainee must continue to devote at least 50% effort. Less than 50% would require unpaid leave-of-absence from NRSA support.

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NRSA Trainee Support includes…

➡ **Stipend –** Subsistence allowance to help defray living expenses

➡ **Tuition & Fees –** Full needs should be requested; NIH allowance is 60% of costs up to $16,000 (predoc), $21,000 (dual degree predoc) and $4,500 (postdoc)

➡ **Training-related expenses –** Health insurance, staff, consultants, research supplies

➡ **F&A –** 8% on base (excludes Tuition & Fees and Equipment)

Google Search: "NRSA Stipends 2022" to get current rates for stipends and other cost categories
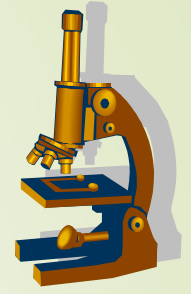
Individual NRSA Fellowships
Programs and Applications

Individual Fellowship Types

Predoctoral Fellowships:

➡ **F30:** Individual Predoctoral Fellowship for Institutions <u>with</u> MSTP funding for MD/PhD or other formal dual degree programs

➡ **F30:** Individual Predoctoral Fellowship for Institutions <u>without</u> MSTP funding for MD/PhD or other formal dual degree programs

➡ **F31:** Individual Predoctoral Fellowship (most under Parent FOA)

➡ **F31 (diversity):** Individual Predoctoral Fellowship to promote diversity in Health-Related Research

Postdoctoral Fellowships:

➡ **F32:** Postdoctoral Fellowship

➡ **F33:** Postdoctoral Senior Fellowship (independent investigators with > 7 yrs of experience; for re-training, sabbatical, career development) – check IC tables!

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Refer to Program Announcements (PAs) !!

Funding Opportunity Title

Ruth L. Kirschstein National Research Service Award (NRSA) Individual Postdoctoral Fellowship **(Parent F32)**

Funding Opportunity Announcement (FOA) Number

PA-20-242

Components of Participating Organizations (all NIH ICs, e.g.)

National Center for Complementary and Integrative Health (NCCIH)
National Cancer Institute (NCI)
National Eye Institute (NEI)
National Human Genome Research Institute (NHGRI)
National Heart, Lung and Blood Institute (NHLBI)
National Institute on Aging (NIA)

Special Note: Not all NIH Institutes and Centers participate in Parent Announcements. Applicants should carefully note which ICs participate in this announcement and view their respective areas of research interest and requirements at Table of IC-Specific Information, Requirements and Staff Contacts website. ICs that do not participate in this announcement will not consider applications for funding. Consultation with NIH staff before submitting an application is strongly encouraged.

K99 Table of IC-specific Information

Salary Support: Up to $50,000 plus fringe benefits per year.
Research Support: Up to $20,000 per year.

| *Eunice Kennedy Shriver* National Institute of Child Health and Human Development (NICHD)

Scientific Program Contact:
Dennis A. Twombly, Ph.D.
Phone: 301-451-3371
Email: dtwombly@mail.nih.gov

Grants Management Contact:
Ryan Talesnik
Phone: (301) 435-6976
Email: talesnikr@mail.nih.gov | **NICHD Specific Information:**
NICHD offers research career development awards in areas relevant to normal and abnormal human development, including contraception, fertilization, pregnancy, childbirth, prenatal and postnatal development, and childhood development through adolescence. The mission areas also include research on intellectual and developmental disabilities and rehabilitation medicine. More detailed information can be found at: http://www.nichd.nih.gov/research/by-nichd/pages/index.aspx.
The K99/R00 program is designed for postdoctoral fellows (PhDs, MDs, or other) whose formal research training is nearly complete, and who expect to find a tenure-track or equivalent faculty position within 2 years of receiving the award. Those whose career development would benefit from further research training should also consider the mentored Career Development Awards offered by NICHD (e.g., K01, K08, K23, K25).   Prospective applicants are strongly encouraged to email or call the NICHD Scientific/Research Contact to help choose among these career development award mechanisms, to determine K99/R00 eligibility, and to assess relevance of the proposed project to the NICHD mission.
Awardees must spend at least one year on the K99 phase of the award.

Salary Support: For the K99 phase of the award, NICHD provides salary of up to $75,000 plus fringe benefits per year.
Research Support: Up to $25,000 per year. |
| **National Institute on Deafness and Other Communication Disorders (NIDCD)**

Scientific Program Contact: | **NIDCD Specific Information:**
NIDCD uses the K99/R00 program to support outstanding senior postdoctoral investigators in NIDCD research areas that are ready to complete their transition to become an independent investigator.
• Application must demonstrate its contribution to NIDCD and its fit to NIDCD's Mission, Research Priorities, and Strategic Plan. |

Follow SF424 instructions for F awards

Fellowship Review and Award

➡ Two-stage review:

1. Initial Review Group (CSR Fellowship Study Sections or IC-based study sections; Google search: "CSR fellowship study sections); some ICs review F applications in-house

2. Second-level review: Institute/Center Program Staff - (analogous to Council)

➡ Generally 9-month period from receipt to earliest possible award (except October Council)

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Review Criteria for F's

Refer to FOA for details!

Scored Review Criteria:

- Fellowship Applicant

- Sponsor, Collaborators/ Consultants

- Research Training Plan

- Training Potential

- Institutional Environment and Commitment to Training

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 (RCR)

- Select Agents Research

- Resource Sharing Plans

- Budget & Period of Support

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Institutional Training Grants
Program Features and Applications

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What are Institutional Training Grants ?

➢ Institutional training grants (e.g., T32, T35) offer research training in thematically focused area(s), often multidisciplinary

➢ Programs are funded for specific number of pre- and/or postdoctoral slots

➢ Participating Mentors/Faculty provide research training

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

Program Director(s) responsible for:
- o Overall direction of the training program
- o Selection and appointment of NRSA eligible trainees

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Features of a T32 Program

- Intensive training in a research specialty with a mentor

- Choice of a spectrum of laboratories

- Exposure to different methods and technologies

- Courses & seminars with national experts

- Training in Responsible Conduct of Research (RCR)

- Human & animal subjects protections

- Communication skills (manuscripts, grants, oral presentations, public outreach)

- Alternative career paths (pharma, biotech, gov't, teaching

- Travel to other labs or scientific meetings

Preparing a T32 Application

- Apply through Funding Opportunity Announcement (Parent or other FOA)

- Follow SF424 Application Guide **Training (T)** Instructions

- Eligible Institutions = Domestic, non-profit public or private institutions

- Research training must fall within the mission of the NIH awarding Institute or Center (confirm with NIH Program Staff or Training Officers!)

- **Application Due Dates:**   Standard Dates (Jan 25, May 25, Sept 25),

    Except: See FOA or IC Tables linked to Parent FOA!

    ➢ *Many ICs **only** use the May 25 due date each year*

    ➢ Some ICs have different due dates for NEW vs RESUBMISSION

    ➢ Some ICs use different dates for AIDS vs non-AIDS applications

    ➢ Some ICs use different dates for predoctoral vs postdoctoral programs

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Review of Training Grants

Two Levels of Review:

➡ Initial Review - Study Section

- Some Institutes have single study section

- Some Institutes use multiple study sections organized by topic

➡ Institute or Center National Advisory Council

Review Criteria for T32 Applications

Scored review Criteria:

- Training Program and Environment

- Training Program Director(s)/Principal Investigator(s) (PDs/PIs)

- Preceptors/Mentors

- Trainees

- Training record

Additional Review Criteria:

- **Resubmissions** (responsive to critiques?)

- **Renewals** (progress, including on the Recruitment Plan to Enhance Diversity, training in Responsible Conduct of Research, evaluation of program, proposed changes)

- **Revision**

Additional Review Considerations:

- Diversity Recruitment Plan

- Training in Responsible Conduct of Research

- Select Agent Research

- Budget and Period of Support

You received a fundable score -- now what?

Individual NRSA Fellowships
Post-award Issues

NRSA Fellowships
Initiation of Support

- Awarding component will notify individual of intention to make an award

- The fellowship Notice of 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

- Termination Notice due at end of fellowship and submitted via xTRAIN

Reporting Requirements

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

- **<u>Payback Agreement</u>**: (FORM PHS 6031): Must be signed by each person who is to receive an individual <u>Postdoctoral</u> fellowship that covers their initial 12 months of NRSA postdoc support.

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

Stipend Supplementation
Fellows and Trainees

- Recipients may supplement stipends

  - Amount determined according to formally established policies applied to all in similar training status

  - Consistent treatment is key

- Supplementation must be from Non-Federal funds

- Without additional effort or obligation to trainee/fellow

Compensation

- Trainees/Fellows may receive additional compensation for services associated with employment, e.g., teaching assistant, lab assistant

- Individual receives <u>salary</u>; not considered stipend supplementation

- Can compensation be from an NIH research grant?

  - Yes, on a limited part-time basis (25% time = 10 hr/week)

  - May <u>not</u> be from same grant that is part of training experience

  - Fellowship Sponsor or Training Grant Program Director must approve

  - May not interfere with or prolong the approved NRSA training

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Progress Reports

- **Progress Reports**: Progress reports must be submitted annually using the Research Performance Progress Report (RPPR) 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.

- **Federal Financial Report (FFR)**: A Financial Expenditure Report is **not** required for individual fellowship awards. However, institutions must complete the Federal cash transaction using the FFR to PMS (SF425).

Fellowships: Changes in Project

➧ Individual fellowship awards are made for training at a specific institution under the <u>guidance of a particular sponsor</u>.

➧ A change of institution or sponsor requires the approval of the NIH awarding component. Consult with NIH awarding component ASAP.

➧ Any proposed change in the individual's area of research training must be approved by the awarding component.

➧ If the sponsor plans to be absent for more than 3 months, an interim sponsor must be named by the institution and approved by the NIH awarding IC.

Leave Policies: Fellows and Trainees

▶ **Vacations & Holidays:** Predoc and Postdoc Fellows & Trainees may receive the same vacations and holidays available to individuals at the recipient 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.

▶ **Unpaid Leave:** Extended leave beyond above allowances 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 unpaid leave; continued health insurance coverage is allowable if consistent with institutional policy.

See NIH Grants Policy Statement and NOT-OD-18-154

Institutional Training Grants (T)
Post-Award Issues

xTRAIN — Appointment and Termination Notices

- **xTRAIN:** eRA Commons electronic submission of trainee appointments, reappointments, amendments, and Termination Notices – <u>REQUIRED</u>

- **Appointment Forms (PHS 2271)**
  - 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

- **Termination Notices (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

Trainee Appointments

- Trainees considered full-time participants in training program (40 hrs/wk)

- Most appointments are 12 months in duration

- Appointments less than 9 months not allowed unless completing a planned training program

- Appointments may begin <u>any time</u> during the budget period

Appointments

Training slots vs. Training months

- Varies according to IC

- 3 FTTPs = 36 training months (3 x 12)

- Look for footnote under terms and conditions or contact awarding IC

- Example: This award includes funds to support X trainees (xx Training Months). The maximum number of trainees that may be appointed without the prior written approval of NIGMS staff is X   (xx Training Months) if funds are available through rebudgeting.

"Overlapping" Appointment

An appointment period may overlap budget periods

Budget Year 1 (FY18)	Budget Year 2 (FY19)
5/1/2018 – 4/30/2019	5/1/2019 – 4/30/2020

Trainee 1 Appointment
8/1/2018 – 7/31/2019

- Trainee costs expensed from year of appointment.

- "Overlapping" Stipend & Tuition (3 months) reported as unliquidated obligation on FFR. NOT carryover.

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Training Grants: Allowable and Unallowable Costs

Allowable

- Stipends

- Trainee Tuition and Fees

- Trainee Related Expenses

  o Health Insurance (self or family)

  o Medical liability and other special insurance (if required by the research)

  o Staff Salaries

  o Speaker Fees

- Trainee Travel

- Facilities and Administrative Costs (8%)

Unallowable

- Pre-Award Costs

- Trainee costs*- must be appointed

- Stipends * mid-appointment changes

- Trainee Travel – travel costs outside of the trainee appointment period

Research Performance Progress Reports (RPPR)

Annual RPPR – Use to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year. [*Due Date varies by IC*]

Interim RPPR – Use when submitting a renewal (Type 2) application. If the Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. If the Type 2 is funded, the Interim RPPR will serve as the annual RPPR for the final year of the previous competitive segment. *[Due 120 days after period of performance end date of competitive segment.]*

Final RPPR – Use as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR*. [Due 120 days after period of performance end date.]*

Financial Reporting Requirements

- 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 90 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 for training grants is not generally allowed but awards are footnoted either way

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Prior Approval Requests

- Change of PD/PI

- Rebudgeting from restricted categories

- Replacement of early termed trainee*

- Predoc/Postdoc substitution

- Trainee leave of absence

- NRSA limit waiver (5yr pre/3yr post)

Rebudgeting

➧Restricted Categories: Stipend, Tuition/Fees

- Rebudgeting allowed into and between these categories

- Not allowed into unrestricted categories w/o prior NIH approval (strong justification required)

➧Unrestricted Categories: Trainee Travel, Training-related Expenses (TRE)

- Rebudgeting allowed into any other category w/o prior NIH approval

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No-cost Extensions

➢ No prior approval required for first 12 months

➢ Terms of award for final year:

- This award represents the final year of the competitive segment for this grant.

- If the grantee exercises its authority to extend this grant at the end of the project period, the grantee institution may not appoint any new trainee to the grant during the extension period without the written prior approval of NIH.

- A reappointment of a trainee is allowable during the extension period if funds are available; however, the stipend level must be consistent with the levels established for the fiscal year in which this award is made.

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Training Resources

NIH Research Training Website: https://researchtraining.nih.gov/

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

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

How to Apply - Application Guide (includes Training and Fellowship application form instructions): http://grants.nih.gov/grants/funding/424/index.htm

RPPR Information (including Instruction Guide): http://grants.nih.gov/grants/rppr/index.htm

Grants Information: Contacts

General Application Questions:

➥ E-Mail: GrantsInfo@nih.gov

➥ Phone: 301-945-7573

Grants.gov Customer Support:

➥ E-Mail: support@grants.gov

➥ Webpage: http://grants.gov/

➥ Phone: 1-800-518-4726

eRA Service Desk (formerly eRA Commons Helpdesk):

➥ Web: https://grants.nih.gov/support/index.html

➥ Toll-free: 1-866-504-9552

➥ Phone: 301-402-7469

➥ Hours: Mon-Fri, 7a.m. to 8 p.m. Eastern Time

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Grants Policy Contacts

Division of Grants Policy:

- E-Mail: GrantsPolicy@mail.nih.gov
- Phone: 301-435-0949

Division of Grants Compliance & Oversight:

- E-Mail: GrantsCompliance@mail.nih.gov
- Phone: 301-435-0949

Division of Extramural Inventions and Technology Resources:

- E-Mail: Inventions@nih.gov
- Phone: 301-435-1986

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Resources for Applicants

- NIH Program Announcements (PAs, RFAs)
  - Purpose, eligibility, allowable costs, review criteria
  - Tables of IC-specific Information, Requirements, & Staff Contacts
- www.nih.gov   (follow links to "training" or "peer review")
  - Office of Extramural Research ("OER" grant programs, forms)
  - Center for Scientific Review: www.csr.nih.gov (review process)
  - Institute web sites: www.nichd.nih.gov (program interests)
- Mentor (current and/or proposed)
- Department Chair or Administrator
- University/School Sponsored Programs Office
- Other colleagues & faculty
- ➤ **NIH Program Staff (before applying and after review) !!**

Contacts

Dennis A. Twombly

Training Officer, NICHD-NIH

Email: dtwombly@mail.nih.gov

Lisa Moeller

Team Leader, Grants Administration Branch, NIGMS-NIH

Email: moellerl@mail.nih.gov

For other Questions about this presentation, go to:

- NICHD or NIGMS Booth

- Ask a Training Officer Booth