



**NIH Institutional Training Grants**  
**Post Award Issues**  
April 8, 2008

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**(Notes begin on Slide 8.)**

**THE GRADUATE SCHOOL**  
University of Wisconsin-Madison



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**Graduate School News**

**UW-Madison Graduate Programs Fare Well in Annual Rankings**

A number of graduate programs and specialties at UW-Madison scored high marks in the 2009 "Best Graduate Schools" edition of U.S. News and World Report.

**Professor Strengthens Math, Science Education**

**GradLink@Madison March 2008**

**Kellett Winners**

**Romnes Winners**

**Registration - Spring 2008**

NIH Training Grant Programs at the UW  
Helpful Information Regarding NIH Training Grants

## Grad School Website

# List of TG Programs [info.gradsch.wisc.edu/research/traininggrants/nihtraining.html](http://info.gradsch.wisc.edu/research/traininggrants/nihtraining.html)



THE UNIVERSITY OF WISCONSIN-MADISON

### The Graduate School

The Graduate School

Training Grants

NIH Training Grant Programs at the UW

Helpful Information Regarding Training Grants

### 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](mailto:sa@medicine.wisc.edu)

Contact: Kay Smith, [smithk@ssc.wisc.edu](mailto:smithk@ssc.wisc.edu)

#### Wisconsin Allergy and Immunology Research Training Program

Project Director: Dr. James Gem

Contact: Reitha Johnson, [rm@medicine.wisc.edu](mailto:rm@medicine.wisc.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: Dori Kalish, [kalish@biostat.wisc.edu](mailto:kalish@biostat.wisc.edu)

#### [Biotechnology Training Program](#)

Project Director: [Dr. Tim Donohue](#)

Contact: [Elizabeth Holden](#)

# Grad School Website

## Essential Info on T32 Admin! [info.gradsch.wisc.edu/ research/traininggrants/nihinfo.html](http://info.gradsch.wisc.edu/research/traininggrants/nihinfo.html)



THE UNIVERSITY OF WISCONSIN-MADISON

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### 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 Tips](#)

[Training Grant Top 10 Dos and Don'ts](#)

[NIH Institutional Training Grants, Pre-Award Issues: PowerPoint Presentation from Graduate School Seminar Series](#)

[Post-award Issues](#)

#### **Tuition and Fees Shortfall Information:**

For NIH awards made in federal fiscal year 2005 and earlier:

[Training Grant \(T32\) Tuition & Fees Shortfall](#)

[T32 Request for Supplemental Graduate School Funds Form](#)

[Predoc Fellowship \(F31\) Tuition & Fees Shortfall](#)

[F31 Request for Supplemental Graduate School Funds Form](#)

For NIH awards made in federal fiscal year 2006 and later (under the new tuition and fees policy):

[Graduate School Memo regarding Training Grant \(T32\) Tuition and Fees Shortfall](#)

[UW-Madison T32 Training Grant Database](#) [Please use Microsoft Internet Explorer (with Macromedia Flash plug-in) to access this database.]

◆ [Quick Guide to Entering Data Records](#)

◆ [Using the NIH T32 Training Grant Database](#)



## Funding Opportunities

Funding Opportunities (RFAs, PAs) & Notices  
Unsolicited Applications (Parent Announcements)  
Research Training & Career Development  
Extramural Training Mechanisms  
Intramural  
News  
Career Resources  
Q&A and FAQs  
Small Business (SBR/STTR)  
Contract Opportunities

## NIH-Wide Initiatives

New Investigators Program  
Multiple Principal Investigators  
Genome-Wide Association Studies (GWAS)  
NIH Roadmap for Medical Research  
NIH Blueprint for Neuroscience Research  
Global OER Resources  
Glossary & Acronyms  
Frequently Used Links  
Frequent Questions

## Ruth L. Kirschstein National Research Service Award (NRSA)

### Guide to Kirschstein - NRSA Programs

- ▲ [For individuals with or working on a research doctorate](#)
- ▲ [For individuals with or working on a health-professional doctorate](#)

### Institutional Research Training Grants

- ▲ [I Kickstart](#) - Information about NRSA Training Grants Funding Opportunities
- ▲ [NIH Forms and Applications Page](#) (including [PHS 398](#) and [PHS 2550](#) application and other [Training Forms](#))
- ▲ [Fillable Institutional Research Training Grant Application Forms and Data Tables](#)

### Individual Fellowships

- ▲ [F Kickstart](#) - Information about NRSA Fellowship Funding Opportunities
- ▲ [NIH Forms and Applications Page](#) (Including PHS [416-1](#) and [416-9](#) application and other [Training Forms](#))
- ▲ [Guidelines for Reviewers](#) (links to review guidelines for various fellowship "F" mechanisms)
- ▲ [Revision: Streamlined Review Process to be used for Ruth L. Kirschstein National Research Service Awards \(NRSA\) Postdoctoral Fellowships](#)

### NRSA Policy Issues

- ▲ Revision: [Notice of New NIH Policy for Funding of Tuition, Fees, and Health Insurance on Kirschstein-NRSA Awards](#) (06/18/2006)
  - See update: [NOT-OD-08-036](#)
- ▲ [NIH-NSF Definition of Postdoctoral Scholar](#) (January 29, 2007 Letter to National Postdoctoral Association) (02/22/2007) - (PDF - 76 KB)
- ▲ [Guidance to Applicant: Organizations about Registering Research Fellows in the eRA Commons](#) (10/5/2006)
- ▲ [Questions and Answers Related to NOT-OD-06-093](#) (09/00/2006)
- ▲ [Revision: Notice of New NIH Policy for Funding of Tuition, Fees, and Health Insurance on Kirschstein-NRSA Awards](#) (06/18/2006)
- ▲ [Summary of NIH Town Hall Meeting on NRSA Tuition Support - November 30, 2005](#) (MS Word)
- ▲ [Final Report of the Task Force on NRSA Tuition](#) - June, 1995
- ▲ [Authorizing Legislation for the Ruth L. Kirschstein National Research Service Award Program](#) (RTF - 20 KB) - (42USC288)
- ▲ [Senate Report Language Associated with the Authorizing Legislation at 42USC288](#) (RTF - 13 KB)
- ▲ [Federal Regulations for the NRSA Program \(42CFR56\)](#) - May 31, 2001 (PDF - 71 KB)
- ▲ [NRSA Policy Guidelines](#) (Including Payback and Reporting Requirements)

# NRSA Website

[grants.nih.gov/training/nrsa.htm](http://grants.nih.gov/training/nrsa.htm)

## NRSA Stipend Levels

↳ Fiscal Year: [2008](#) | [2007](#) | [2006](#) | [2005](#) | [2004](#) | [2003](#) | [2002](#) | [2001](#) | [Stipend History](#) (Excel - 31 KB)

## Recruitment and Retention Plan to Enhance Diversity - O&A

## Training in the Responsible Conduct of Research - Useful Links

↳ Frequently Asked Questions: [Fellowships and Training](#) | [Fellowships](#) | [Training Grants](#)

## NRSA Data, Outcome and Administrative Information

↳ [Funded Research Training Grants and Fellowships](#)

↳ [Size and Nature of the Kirschstein - NRSA Programs](#)

↳ [Reports related to the Kirschstein - NRSA Programs](#)

## General Administrative Issues

↳ [IRS Tax Rules](#): 26 CFR 401 - Employment Taxes

**Note:** For help accessing PDF, RTF, MS Word, Excel, PowerPoint, RealPlayer or Video files, see [Help Downloading Files](#).

## 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

[http://grants2.nih.gov/grants/policy/nihgps\\_2003/index.htm](http://grants2.nih.gov/grants/policy/nihgps_2003/index.htm)

Especially look at the following parts:

***Subpart A, General Terms & Conditions***

[http://grants1.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part4.htm](http://grants1.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part4.htm)

***Subpart B, Specific Types of Grants (including Training Grants)***

[http://grants1.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part10.htm#\\_Toc\\_54600204](http://grants1.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part10.htm#_Toc_54600204)

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

## Post Award Issues – Stipends

Refer to NRSA Web site when appointing trainees

<http://grants.nih.gov/training/nrsa.htm>

Predoctoral		\$20,772
Postdoctoral	Years of Experience	
	0	\$36,996
	1	\$38,976
	2	\$41,796
	3	\$43,428
	4	\$45,048
	5	\$46,992
	6	\$48,852
	7 or more	\$51,036

### 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!

# Appointment Form

- 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 Form Page 2

7. NAME OF THE CLINICAL FACILITY (Agency)

8. CREDENTIAL SOURCE:  YES  NO  NOT APPLICABLE  
 An active and valid license (or, MED/D)  YES  NO

9. BREVETED OR FURTHER DATE OF CREDENTIAL REQUIREMENTS (If Applicable)

10. EMPLOYER'S CONTACT INFORMATION

10a	Supervisor's Name (Last, First, Initial)	_____
10b	Telephone Number	_____
10c	Work Address	_____
10d	City	_____

11. STATEMENT OF INDICATOR(S) OF U.S. TECHNOLOGY-BASED WORKER BEHAVIOR OR PERFORMANCE (If U.S. Foreign Based)  
 YES  NO (If Not Applicable)

12. INFORMATION FOR COUNSELOR (To be filled in by the counselor)

12a	12.1. Date of last contact with the candidate	_____
12b	12.2. Date of last contact with the candidate	_____
12c	12.3. Date of last contact with the candidate	_____
12d	12.4. Date of last contact with the candidate	_____
12e	12.5. Date of last contact with the candidate	_____

13. SIGNATURE OF APPLICANT (Print Name)

14. SIGNATURE OF COUNSELOR (Print Name)

15. DATE OF SIGNATURE (MM/DD/YYYY)

## 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, *[break]*, 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 Notice

Department of Health and Human Services Health Care Workforce <b>Part I. Health Care Workforce Program Service Agency Termination Notice</b>		DATE OF FULL-CYCLE TRAINING EVALUATION 2011/01/01	
A. NAME OF Sponsoring Institution UNIVERSITY OF MARYLAND		B. SOCIAL SECURITY # 0000000000	
C. DATE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 2011/01/01 2011/01/01		D. DATE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 2011/01/01 2011/01/01	
E. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 1. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 2. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 3. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO		F. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 1. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 2. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO 3. TYPE OF HIS/HER TERMINAL CARE OR UNDER TRAINING (MM/DD/YYYY) FROM TO	
G. POLYGRAPH INFORMATION (Complete if applicable) YES NO 1. Pre-employment 2. Post-employment 3. Random 4. Reasonable suspicion 5. Other		H. POLYGRAPH SYSTEM TYPE, MAKE, & MODEL MODEL SYSTEM, MAKE, AND MODEL 1. Pre-employment 2. Post-employment 3. Random 4. Reasonable suspicion 5. Other	
I. OTHER EMPLOYMENT OR SUBORDINATION 1. YES NO 2. YES NO 3. YES NO 4. YES NO		J. DATE OF TERMINATION OF THIS PROGRAM 2011/01/01	
K. SIGNATURE OF Sponsoring Institution Representative NAME TITLE DATE		L. SIGNATURE OF HEALTH CARE WORKFORCE PROGRAM DIRECTOR NAME TITLE DATE	
M. SIGNATURE OF HEALTH CARE WORKFORCE PROGRAM DIRECTOR NAME TITLE DATE		N. SIGNATURE OF HEALTH CARE WORKFORCE PROGRAM DIRECTOR NAME TITLE DATE	

- 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 – Postdocs Only

Form Approved Through GSA GEN. REG. NO. 2700-108-1000

Ruth L. Kirschstein National Research Service Award  
Payback Agreement

This agreement is an important condition of award. Please read it carefully before signing.

NAME: \_\_\_\_\_  
TITLE: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

I, \_\_\_\_\_, in accepting my award from the NIH, understand that I will be required to pay back the amount of my award if I leave the NIH before the end of the 12-month period of my award. I understand that I will be allowed to leave the NIH before the end of the 12-month period if I am unable to complete my research project. I understand that I will be allowed to leave the NIH before the end of the 12-month period if I am unable to complete my research project.

**I. SERVICE REQUIREMENT**

In accepting my award from the NIH, I understand that I will be required to pay back the amount of my award if I leave the NIH before the end of the 12-month period of my award. I understand that I will be allowed to leave the NIH before the end of the 12-month period if I am unable to complete my research project. I understand that I will be allowed to leave the NIH before the end of the 12-month period if I am unable to complete my research project.

**II. PAYBACK REQUIREMENT**

In accepting my award from the NIH, I understand that I will be required to pay back the amount of my award if I leave the NIH before the end of the 12-month period of my award. I understand that I will be allowed to leave the NIH before the end of the 12-month period if I am unable to complete my research project. I understand that I will be allowed to leave the NIH before the end of the 12-month period if I am unable to complete my research project.

**III. CONDITIONS FOR BREAK IN SERVICE**

**WAIVER AND CANCELLATION**

I hereby understand that the Secretary of Health and Human Services:

1. May extend the period for completing service, subject to the conditions set forth in paragraph II, if the Secretary:
2. Considers it to be in the public interest to do so.
3. Considers it to be in the public interest to do so.
4. Considers it to be in the public interest to do so.

**IV. TERMINATION NOTICE – A MINIMAL REPORT OF EMPLOYMENT – CHANGE OF ADDRESS AND/OR NAME**

I agree to complete and submit in handwritten form a minimal report of my employment, including the name, address, and telephone number of my employer, to the NIH within 30 days of my departure from the NIH. I agree to complete and submit in handwritten form a minimal report of my employment, including the name, address, and telephone number of my employer, to the NIH within 30 days of my departure from the NIH.

**V. PROGRAM EVALUATION**

I understand that I may also be contacted from time to time by the NIH regarding my award. I agree to provide the information of the NIH concerning my award, including the name, address, and telephone number of my employer, to the NIH within 30 days of my departure from the NIH.

**VI. CERTIFICATION**

By signing this agreement, I certify that I have read and understood the requirements and conditions of this agreement and that I will abide by them from now on.

**Signature:** \_\_\_\_\_  
**Date:** \_\_\_\_\_

PHS 2700-108-1000 Page 2

**Payback Agreement:** This requirement has been made much less onerous over the years.

- Nowadays there is no payback required from predoc trainees.
- Postdoc trainees do not 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.

## Payroll Issues - Supplementation

### Program/Mentor Supplement (If Necessary)

#### 1. Campus policies for predocs:

<http://info.gradsch.wisc.edu/admin/budgetpersonnel/predocsupp.html>

*Some grad 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/postdocsupp.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 payroll Dean's Office.*

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

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

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., 25<sup>th</sup> of month or later). This creates a nightmare for payroll staff!

## 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.

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 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.

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. After you submit your deferral form, you will receive an invoice from the Bursar's office that you will need to complete and send to RSP (both copies). Don't forget to use activity 9 in the funding string for tuition and fees. Double check your invoice carefully to make sure you are paying the proper amount for each student.

## Tuition & Fees

- For more information, see Bursar's Office information on processing third party deferrals:

<http://www.bussvc.wisc.edu/bursar/dept3rd.html>

- Tuition Remission Surcharge does not apply to trainees.

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. After you submit your deferral form, you will receive an invoice from the Bursar's office that you will need to complete and send to RSP (both copies). Don't forget to use activity 9 in the funding string for tuition and fees. Double check your invoice carefully to make sure you are paying the proper amount for each student.

## 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)

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)

- 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.

## Trainee Travel

- ✓ **Account**  
2162 for pre- and postdoctoral trainees
- ✓ **Program Code**  
For pre- and postdoctoral use program code 2 (instruction)
- ✓ Travel Expense Report (TER) can be used to report expenses
- ✓ Travel needs to take place within the appointment and budget period
- ✓ International travel is fine as long as trainee is attending a conference or meeting  
Use US flag carrier  
<http://www.bussvc.wisc.edu/acct/policy/travel/international.html>
- ✓ Travel for additional training outside of institution requires prior approval

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.

## 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.

## Spending on Grant

- Do not spend past the end date of the grant. Instead, use the successor grant number for tuition, fees, health insurance or stipends that are carried forward as unliquidated obligations.
- Summer Tuition Issues**
  - Especially for grants that run from 7/1 thru 6/30
  - Be consistent regarding summer tuition charges
  - No more than 3 semesters of tuition should be charged to each grant year
  - Trainees who were RA/TA/PA in the spring semester and are starting their traineeship in the summer are only liable for summer fees, not tuition.

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.

## 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.

## Annual Progress Reports

- ✓ Due 2-6 months prior to next grant year
- ✓ Submit on time!
- ✓ Update human/animal protocols
- ✓ Update trainer list
- ✓ Budget should use amounts anticipated for the next budget year (tuition, health insurance rates, etc.)
  - \*For most awards, the amounts awarded will not be increased from amount awarded in Year 1 except for stipend increases

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



# Trainee Diversity Report

Project Name: Project Name (e.g., Project Name)  
**Trainee Diversity Report**  
This report format should NOT be used for data collection from trainees.

Training Grant Title: \_\_\_\_\_  
 Total Number of Appointees: \_\_\_\_\_  
 Grant Number: \_\_\_\_\_

**PART A: TOTAL TRAINEE APPOINTMENTS REPORT: Number of Trainees Appointed by Ethnicity and Race**

Ethnic Category	Sex/Gender			Total
	Female	Male	Unknown or Not Reported	
Hispanic or Latino				**
Not Hispanic or Latino				
Unknown (includes not reporting ethnicity)				
<b>Ethnic Category: Total of All Trainees</b>				**

**Racial Categories**

As well as: American Indian				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
Native Trust or Other				
Unknown or Not Reported				
<b>Racial Categories: Total of All Trainees</b>				**

**PART B: HISPANIC OR LATINO APPOINTMENTS REPORT: Number of Hispanic or Latino Appointees**

Racial Categories	Sex/Gender			Total
	Female	Male	Unknown or Not Reported	
American Indian or Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
Native Trust or Other				
Unknown or Not Reported				
<b>Racial Categories: Total of Hispanic or Latino</b>				**

**PART C: TRAINEES WITH DISABILITIES OR "BOND-BADVANTAGE" DISCLOSURES**

Number of Trainees with Disabilities: \_\_\_\_\_  
 Number of Trainees from Disadvantaged Backgrounds: \_\_\_\_\_  
 (U.S. Census Bureau Code)

FD-204 (Rev. 10/05) Page \_\_\_\_\_ Trainee Diversity Report Form Page \_\_\_\_\_

## 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

- ✓ Log in: <http://www.rsp.wisc.edu/WISPER/index.html>
- ✓ 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

## Unliquidated Obligations- Stipends, Tuition, and Indirect Costs

- ☛ Grant period: July 1, 2007 -June 30, 2008 (Yr 3 of the grant).
- ☛ Trainee appointed on January 1, 2008 for 12 months.
- ☛ The whole 12 months of stipend costs are charged to Year 3 of the grant.
- ☛ Therefore, the \$ for 6 months of stipend plus fringes and tuition (July 1, 2008-December 31, 2008) will be carried over to Year 4 as an obligation from Year 3.

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**

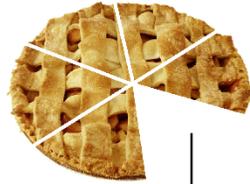
- \* Grant runs July 1, 2003- June 30, 2004. Let's say it's Year 3 of the grant
- \* A trainee is appointed on January 1, 2004 for 12 months
- \* The whole 12 month stipend is charged to Year 3
- \* Therefore the \$'s for 6 months of stipend (July 1, 2004-Dec 31, 2004) will be carried over to Year 4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

### GRANT YEAR 4



Trainee appointed  
6 months into  
Grant Year 3



each slice = 1 slot (includes  
stipend & tuition/fees)



from Year 4



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



50%  
Year 3

50%  
Year 4

## 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.

## Year-End Close Out Procedures for Training Grants

- ✓ RSP creates a spreadsheet and emails it to the department for review.
- ✓ The department verifies that the amount calculated for carryover is correct or notifies RSP if corrections need to be made.
- ✓ Once the final numbers have been agreed upon, RSP submits the FSR to the funding agency.
- ✓ If there is a tuition shortfall, RSP sends the department a completed "Request for Graduate School Supplemental Funds" form. Department signs and submits form to Graduate School for approval.

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.



## NIH Policy Change

- ☞ In the past, Graduate School has covered the entire shortfall under an experimental policy.
- ☞ With NIH change in formula for calculating tuition and health insurance, the Graduate School rethought their shortfall policy.
- ☞ New policy was issued in Dec. 06. It would give \$4000 per trainee slot to cover excess tuition and health insurance benefits.
- ☞ Tuition Task Force was formed in Fall 2007 to look into this problem and offer solutions.
- ☞ Make sure you know your Institute specific policies before changing the type of trainee you appoint

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?

**???**

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