eRA Commons xTrain External/Institutional User Guide

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DOCUMENT HISTORY

Date	System Version	Document Version	Description of Change	Author
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The most current version of this document will be available on the eRA web site.
http://era.nih.gov.

TABLE OF CONTENTS

LIST OF FIGURES

LIST OF TABLES

1 Purpose

The purpose of this document is to provide guidance on the use of xTrain to Institutional (external) users. For more information regarding research training and research career opportunities offered by the National Institutes of Health (NIH), please visit the Office of Extramural Research (OER) Grants Training page at http://grants.nih.gov/training/index.htm.

1.1 Scope

This document indicates how to access xTrain, provides a description of xTrain user roles, and explains the process for submitting appointments, re-appointments, amendments and termination notices. This xTrain External User Guide, as well as additional reference material, is available on the Institutional Research Training and Career Development Awards page: http://era.nih.gov/training_career/index.cfm.

2 What is xTrain?

xTrain provides program directors/principal investigators, university administrators, and trainees the ability to electronically prepare and submit PHS 2271 Statement of Appointment forms and PHS 416-7 Termination Notices associated with institutional research training programs, institutional career development awards, individual fellowships and research education awards. xTrain is also used by agency grants management staff to review and process the appointments and termination notices submitted electronically.

Grantee institution staff can use xTrain to:

- Create, route, and submit Appointments, Re-appointments, Amendments and Termination Notices
- Track the status and timing of actions taken by xTrain users

xTrain eliminates the need for signed paper forms, except in the following situations:

Permanent U.S. residents must submit a signed and notarized statement certifying that they have (1) a Permanent Resident Card (USCIS Form I-551), or (2) other legal verification of such status

Signed hard copies of Payback Service Agreements are required for postdoctoral trainees in their first year of Kirschstein-NRSA support. For more information on the Payback Service Agreement policy, please refer to this web site. http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch11.htm#_Toc271265163

2.1 Activity Codes Supported

The information that lists the current activity codes supported by xTrain can be accessed from the xTrain *My Grants* screen. NRSA fellowships (F30, F31, F32 and F33) can only be terminated. T15's are for the National Library of Medicine and CDC. T01, T02, T03, and T42 are for CDC only. Select the **List of Activity Codes currently supported in xTrain** hyperlink to access this document.

Figure 1: List of Activity Codes Currently Supported in xTrain Hyperlink

2.1.1 xTrain Activity Codes

Activity Code: A three-character code used to identify a specific category of extramural research activity, applied to various funding mechanisms.

The table below shows a list of xTrain Activity Codes.

Figure 2: Document of Activity Codes from the Hyperlink

2.1.2 Stipend Level Links by Fiscal Year

The **Stipend Level Links by Fiscal Year** hyperlink is on the *My Grants* screen for (Principal Investigator) PD/PI users.
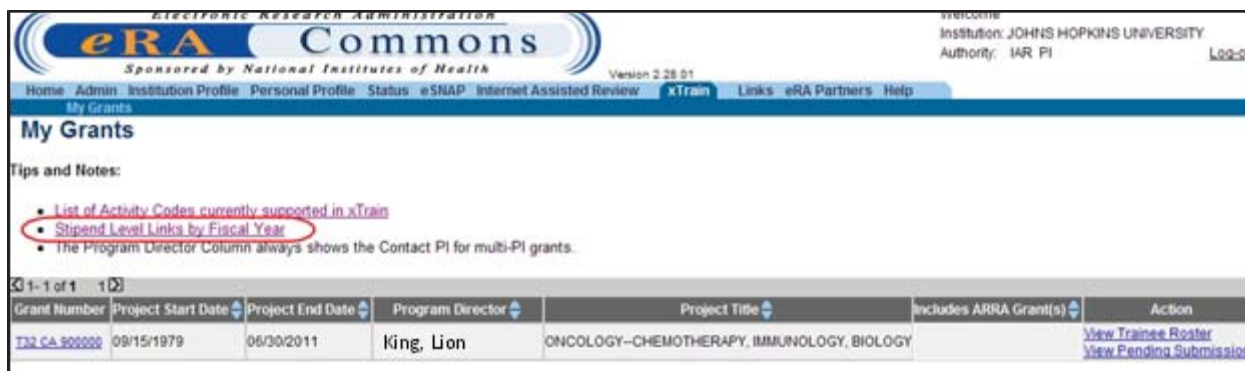
Figure 3: Stipend level Hyperlinks by Fiscal Year Hyperlink for PI Users

This link points to the Kirschstein-NRSA Stipend History spreadsheet. The spreadsheet displays stipend levels for current and previous years.

	A	Y	Z	AA	AB	AC	AD	AE	AF
1	**Kirschstein-NRSA Stipend History**								
2									
3		2005	2006	2007	2008	2009	2010	2011	2012
8	**Undergraduates in the MARC and COR Programs**								
9	Freshmen/Sophomore	7,812	7,812	7,812	7,812	7,896	7,980	8,136	8,304
10	Juniors/Seniors	10,956	10,956	10,956	10,956	11,064	11,172	11,400	11,628
11	**Pre- and Post-Doctoral Kirschstein-NRSA Participants**								
12	Pre-doc	20,772	20,772	20,772	20,772	20,976	21,180	21,600	22,032
15	Post-doc Level 0	35,568	36,996	36,996	36,996	37,368	37,740	38,496	39,264
16	Post-doc Level 1	37,476	38,976	38,976	38,976	39,360	39,756	40,548	41,364
17	Post-doc Level 2	41,796	41,796	41,796	41,796	42,204	42,624	43,476	44,340
18	Post-doc Level 3	43,428	43,428	43,428	43,428	43,860	44,304	45,192	46,092
19	Post-doc Level 4	45,048	45,048	45,048	45,048	45,504	45,960	46,884	47,820
20	Post-doc Level 5	46,992	46,992	46,992	46,992	47,460	47,940	48,900	49,884
21	Post-doc Level 6	48,852	48,852	48,852	48,852	49,344	49,836	50,832	51,582
22	Post-doc Level 7	51,036	51,036	51,036	51,036	51,552	52,068	53,112	54,180
23	NIH Guide Announcement Numbers and Hyperlinks:	NOT-OD-06-032	NOT-OD-06-026	NOT-OD-07-057	NOT-OD-08-036	NOT-OD-09-075	NOT-OD-10-047	NOT-OD-11-067	NOT-OD-12-033

Figure 4: Kirschstein-NRSA Stipend History Spreadsheet

2.2   xTrain Forms Supported

xTrain supports electronic submission of the following forms:

- Statement of Appointment Form (PHS 2271)
- Termination Notice (PHS 416-7)

Payback Agreement (PHS 6031)—This agreement is available for download/printing with instructions for signing and submitting the agreement via postal mail. xTrain will populate the basic information prior to printing

Form-specific information and instructions can be found at http://grants.nih.gov/grants/forms.htm.

2.3   xTrain External User Roles

External User Role	Description
BO (Business Official)	A Business Official has signature or other authority related to administering grantee institution training grants.
SO (Signing Official)	A grantee institution's Signing Official has authority to legally bind a grantee institution for grant matters.

Table 1: External User Roles

External User Role	Description
PD/PI (Program Director/Principal Investigator)	The Program Director or Principal Investigator is responsible for the overall direction of the training program and has the skills, knowledge and resources necessary to organize and implement a high quality research training program. In Commons, this role is called the PI role but is used for PDs as well. The Fellow also has the PI role. The PD/PI selects and appoints Trainees, amends appointments (when necessary), and initiates Termination Notices. A multi-PI can perform the same actions as the Contact PI
PD/PI Delegate (ASST)	An ASST user is a grantee institution individual that is delegated authority to perform Program Director/Principal Investigator xTrain training appointment functions. A user with the ASST role cannot submit appointments.
Trainee	Trainee: A person appointed to and supported by an institutional Kirschstein-NRSA or non-NRSA research training award Scholar: A person appointed to and supported by an institutional career development award Participant: A person appointed to and supported by a research education award.
Sponsor	The Sponsor is a person who mentors Fellows and can initiate and facilitate the termination of a fellowship. The Sponsor can submit the Termination Notice for foreign and federal fellowships only.
Sponsor Delegate	Users with this authority are able to perform actions similar to the Sponsor role but they are not able to submit the fellowship Termination Notice to the Agency.

Table 1: External User Roles

NOTE: The Signing Official (SO), Administrative Official (AO) and Accounts Administrator (AA) can grant Business Official (BO), Principal Investigator (PI) or Assistant (ASST) roles to individuals within the grantee institution. Signing Officials can also give Business Official privileges to themselves. Trainees without eRA accounts will be invited to register as part of the xTrain appointment process.

For more information on xTrain external user roles and the actions they can take, see the eRA Commons Roles list at http://era.nih.gov/files/eRA_Commons_Roles.pdf

2.4 508 Compliance

The xTrain module meets the compliance regulations of section 508. The standard makes products accessible to people with disabilities, including those with vision, hearing, and mobility impairments.

3 Accessing xTrain

xTrain user interfaces and functionality are accessed from the Commons module. An eRA Commons account is needed in order to use xTrain.

See the NIH eRA Commons System User Guide and corresponding subsections listed below for details on accessing the Commons System and obtaining a Commons user account:

- System Requirements
- Accessing the Commons
- Password Policy
- Getting Help

To login to xTrain:

1. Login to eRA Commons at https://commons.era.nih.gov/commons/. If you have forgotten your password, select the **Forgot Password/Unlock Account?** hyperlink.

Figure 5: Common Login Fields

2. Once logged in, on the navigation bar at the top of the screen, click the **xTrain** tab.
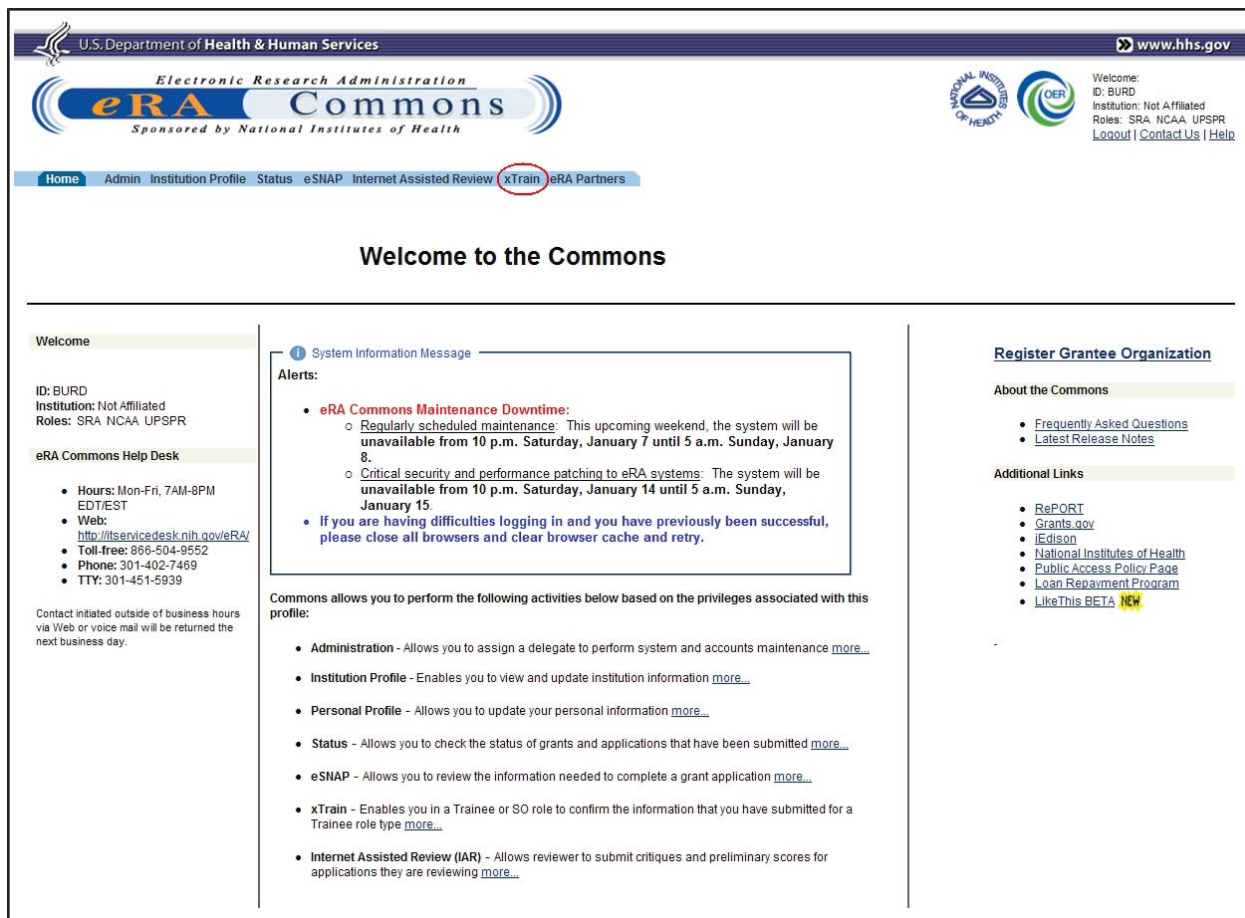
Figure 6: Commons - xTrain Tab

When a user accesses xTrain, the system displays the appropriate screen based on the user's role. The table below lists external user roles and the default screen displayed at xTrain access for the user role.

Role	Default Screen Display
PD/PI	My Grants
ASST with xTrain delegation	My Grants
Trainee	Appointments and Terminations
SO or BO	List of Grants Search

Table 2: Initial xTrain Access

xTrain will only populate lists with grants associated with the eRA Commons account with which the user is logged in. If you have had multiple eRA Commons accounts, you may need to merge the historical information associated with your accounts.

3.1   Accessing xTrain with Multiple PI Affiliations

Principal Investigators (PIs) affiliated with more than one institution can select which institution to work with after logging into commons.

1. Log into Commons.

If affiliated with multiple institutions, the name of the default institution displays as a link within the Welcome section located in the upper right corner of each Commons page.
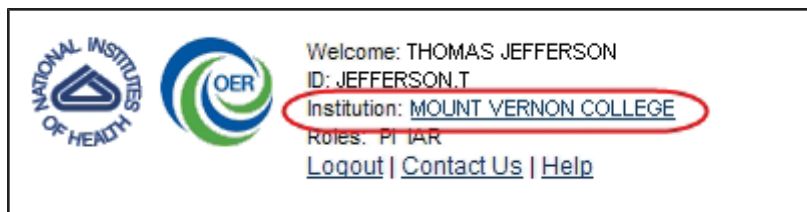
Figure 7: Institution Name Displayed as a Hyperlink for Multiple Affiliations

2. If necessary, click on the name of the institution to view your grants for the appropriate institution.

For more information on changing the institution affiliation, please refer to the section title, Changing the Displayed Affiliation, in the Commons user guide located at http://era.nih.gov/docs/COM_UGV2630.pdf.

3.2   Accessing xTrain – PD/PI

PD/PI users are brought to the My Grants screen when the xTrain tab is selected. This screen displays all training grants for which the user is listed as being the PD/PI.
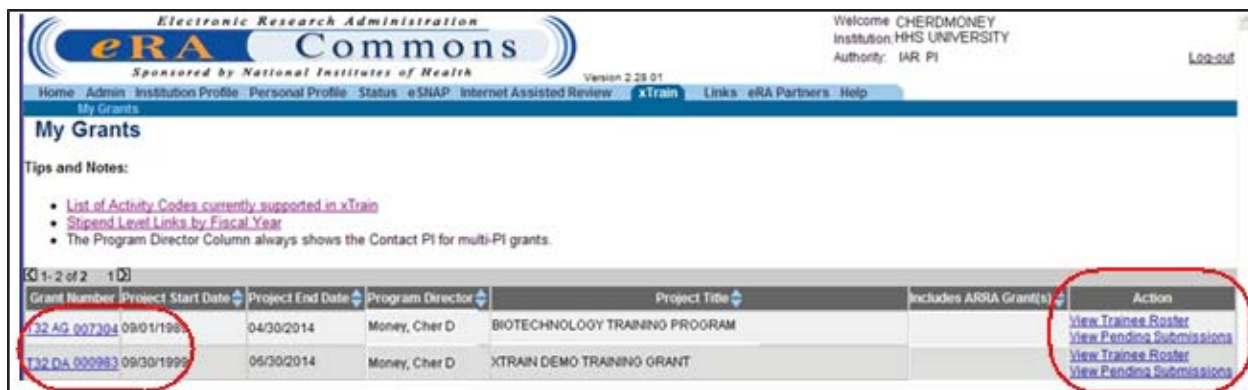
Figure 8: My Grants Screen

Clicking on any grant number takes the user to the Grant Summary page.

Estimated Number (#) of Trainees refers to the number of slots available for the specified training period. The Number (#) of Accepted Appointments refers to the number of paper or electronic appointments already accepted by the Agency for the specified training period.

Figure 9: Grant Summary Page

Clicking on a Grant Number hyperlink retrieves the Commons PI View screen, which provides grant information for that project. PDF versions of Appointments and Termination Notices can be retrieved when the hyperlink is selected.

Figure 10: Commons PI View Screen

Clicking the View Trainee Roster hyperlink on the My Grants screen will take you to the Trainee Roster page. Clicking the View Pending Submissions hyperlink on the My Grants screen will allow PD/PI users to submit more than one appointment at a time instead of individually.
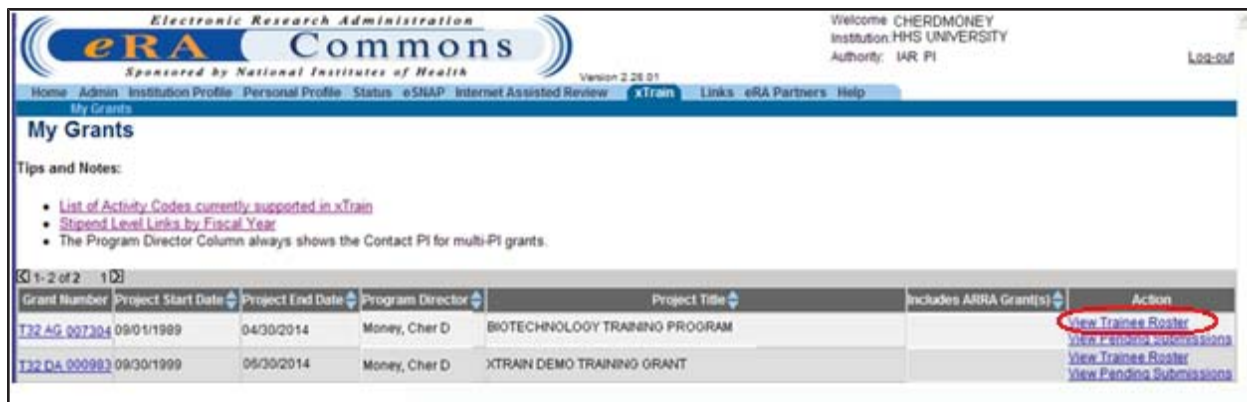
Figure 11: View Trainee Roster Hyperlink
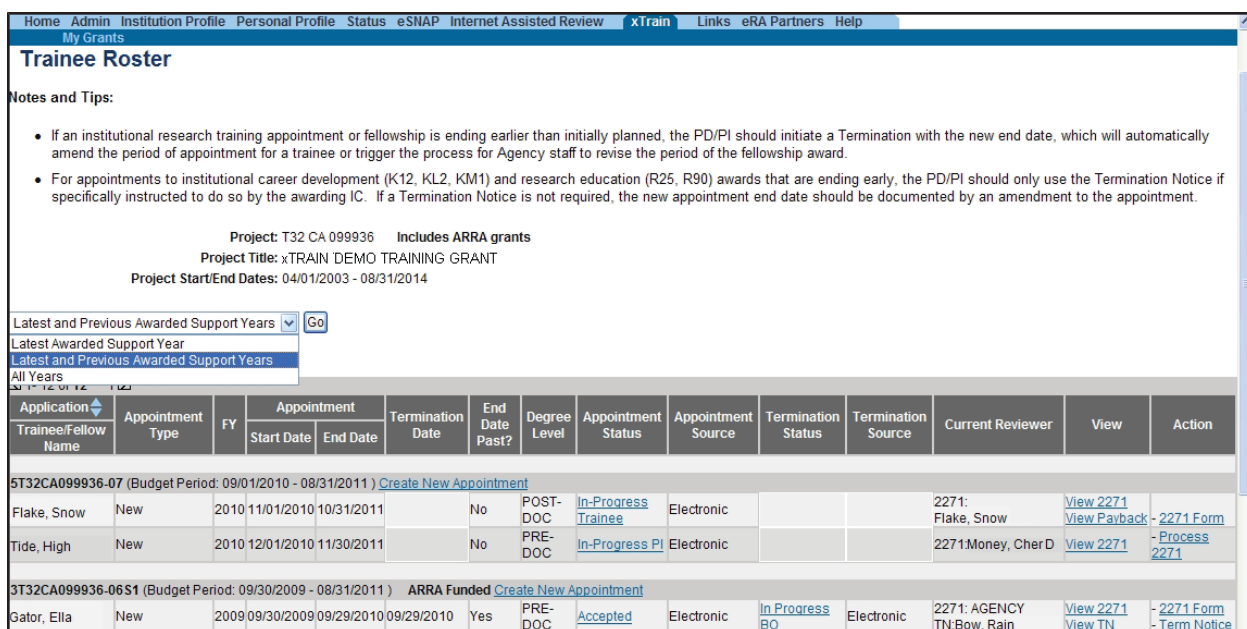
Figure 12: Trainee Roster Page

Figure 13: Trainee Roster Page - Column Headings

The different possible choices for some of the columns on the Trainee Roster page are listed below:

(1) Appointment Type:

- New – The appointment is the first for the trainee on this grant (will also indicate "New" if the original appointment was submitted on paper)
- Re-appointment--The trainee has had a previous appointment on this grant.
- Amendment--The original appointment has changed, and this is the newest version.

(2) Appointment Status: Clicking on the hyperlink will display the appointment routing history.

- Pending Agency Review --The appointment has been submitted to the agency. On Hold by Agency-- The appointment has been submitted and the agency reviewer has put it on hold.
- On Hold by Agency - The appointment has been submitted and the agency reviewer has put it on hold.
- On Hold by Agency – Awaiting Paper Signature--The appointment has been submitted and the agency reviewer has put it on hold while waiting for the Payback Agreement and/or the documentation for a permanent resident.
- In Progress PI-- The PD/PI or the assistant is working on the appointment.
- In Progress Trainee – The trainee is working on the appointment.
- Accepted –The agency reviewer has accepted the appointment.
- Terminated—The appointment or fellowship has been terminated.

(3) Appointment/Termination Source:

- Paper – The appointment or termination notice was submitted on paper.
- Electronic—The appointment or termination notice was submitted electronically through xTrain.

(4) Termination Status:

- In Progress BO--The Business Official is working on the termination notice.
- In Progress PI-- The PD/PI (includes fellows) or an assistant is working on the termination notice.
- In Progress Trainee--The Trainee is working on the termination notice.
- Pending Agency Review-- The termination notice has been submitted to the Agency
- On Hold by Agency- The Agency has reviewed the termination notice, but has not yet accepted it.

- On Hold by Agency – Awaiting Award Revision –An early termination notice has been submitted for a fellowship and it has been placed on hold until the award can be revised
- Accepted—The Agency has accepted the termination notice.

(5) Current Reviewer—Indicates the individual who performed the action

(6) View:

- View 2271-- Displays the PDF version of the 2271.
- View TN—Displays the PDF version of the termination notice.
- View Payback—Displays the PDF version of the termination notice.

(7) Action:

- Process 2271—Allows the user to take various actions to process the 2271.
- 2271 Form—Allows users to view PDF or validate (view errors and warnings.)
- Amend 2271—Allows users to start the amend process.
- Initiate TN—Allows users to start the termination process.
- Process TN-- Allows the user to take various actions to process the termination notice.
- Reappoint 2271 (This only appears when there is an awarded future year for the grant to which the Trainee has not already been appointed.)—Allows users to reappoint a trainee to the same grant.

3.3 Accessing xTrain – ASST

PD/PI delegates (ASSTs) are brought to the *My Grants* screen when the **xTrain** tab is selected. This will bring up the *My Grants – Select Delegator* screen.

Figure 14: My Grants – ASST Screen

If multiple PD/PIs have delegated xTrain authority to the same ASST, the ASST must select a specific PD/PI from the drop-down list and then click **Select Profile**.
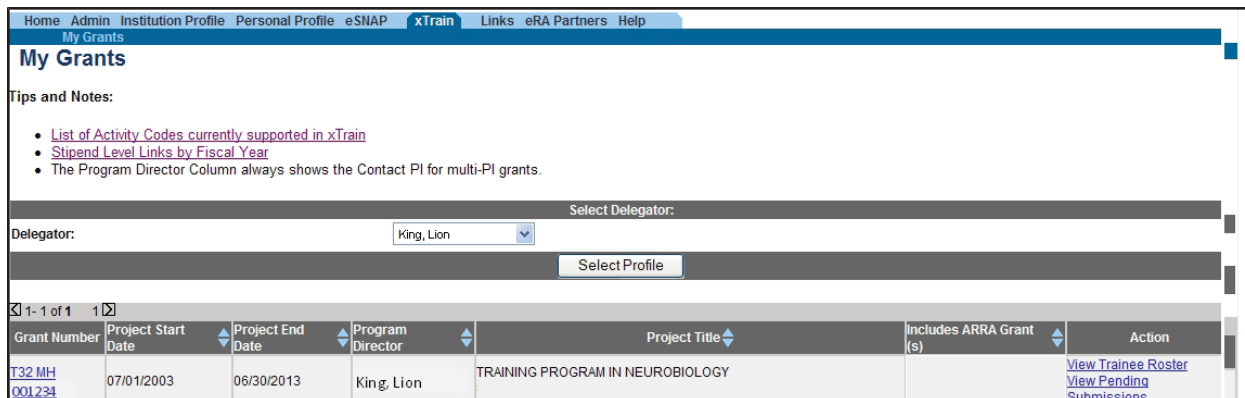
Figure 15: Select Delegator Screen

3.4 Accessing xTrain – Trainee

Trainees are brought to the *My Appointments and Terminations* screen, which will display the Trainee's Appointments and Terminations and allow the trainee to process them, if necessary.
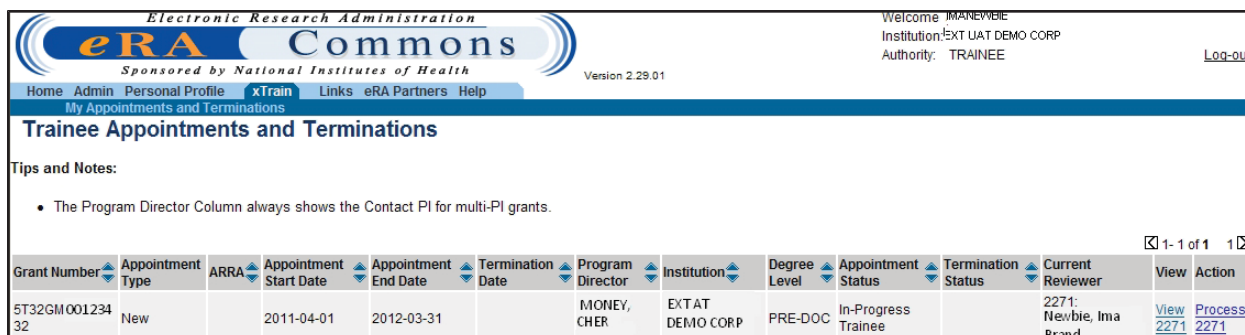
Figure 16: Trainee Appointments and Terminations Screen

3.5 Accessing xTrain – PD/PI and TRAINEE Roles

In some circumstances, an individual may have both the Trainee and PD/PI roles. If the trainee has applied for a fellowship or another award from the Agency in the past, he or she will see the menu tab: **My Appointments and Terminations** in addition to the **My Grants** menu tab. Upon logging in the default menu tab is **My Grants** under the **xTrain** menu tab.
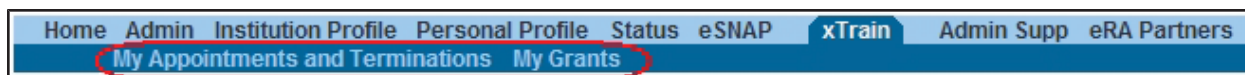
Figure 17: xTrain Menu Tab Displaying Sub-menu Tabs

3.5.1 View Trainee Roster as PD/PI

On the *My Grants* screen, click the **View Trainee Roster** hyperlink to view the *Trainee Roster* screen.
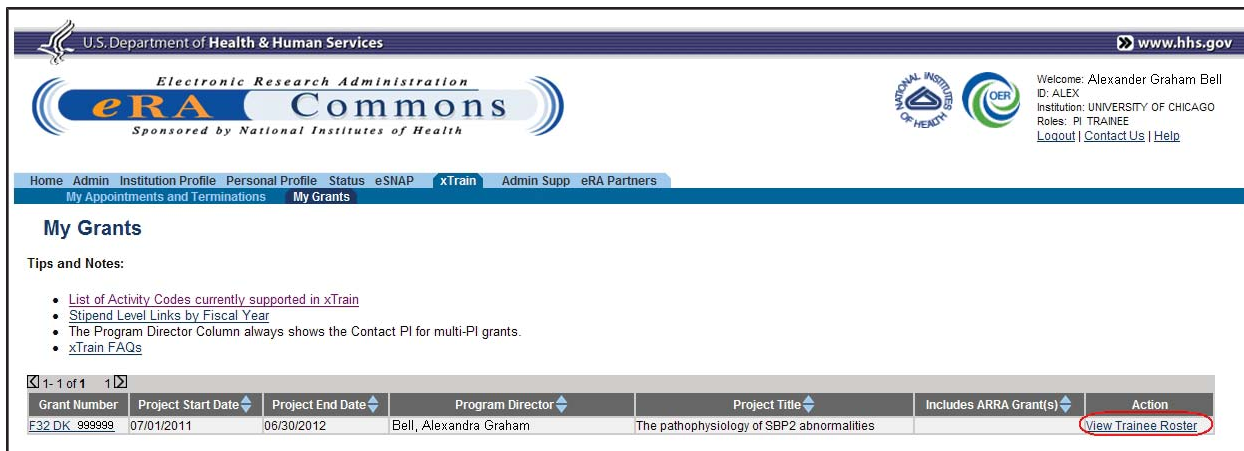
Figure 18: My Grants Screen Displaying the View Trainee Roster Hyperlink

The system displays the *Trainee Roster* screen. Refer to the section/topic titled *Accessing xTrain – PD/PI* for more information on the *Trainee Roster* screen.

3.5.2 View My Appointments and Terminations as Trainee

To view any appointments and/or terminations, click on the **My Appointments and Terminations** tab under the **xTrain** tab.

Figure 19: My Grants Screen Displaying the My Appointments and Terminations Tab

The system displays the *Trainee Appointments and Terminations* screen.

Figure 20: Trainee Appointments and Terminations Screen

To return to the *Trainee Roster* screen, click on the **My Grants** tab under the **xTrain** tab. Then click on the **View Trainee Roster** hyperlink.

3.6   Accessing xTrain – Admin (SO, BO)

After accessing xTrain, Admin users (BO, SO) are brought to the *List of Grants* screen.

Figure 21: Search for Grants Screen

3.7   Exiting xTrain

To exit xTrain:

Click the **Log-out** hyperlink located in the upper right corner of the screen.

Figure 22: Logout Hyperlink Screen

4 Account Setup

4.1   Account Setup – PD/PI

eRA Commons users with the SO role or AA role can create accounts with Trainee, BO, PD/PI or ASST roles or they can add these roles to existing accounts. Trainees without eRA accounts will be invited to register as part of the xTrain appointment process.

To initiate an eRA Commons account for a Trainee as part of the xTrain process, complete the following steps.

Figure 23: My Grants Screen Displaying the View Trainee Roster Hyperlink

1. Click the **View Trainee Roster** hyperlink on the *My Grants* screen.

Figure 24: Trainee Roster Screen Displaying Create New Appointment Hyperlink

2. On the *Trainee Roster* screen, the PD/PI or the Delegate will click **Create New Appointment** hyperlink under the desired budget period they want to add Trainee.

3. Click the **Identify Trainee** hyperlink from the *Trainee Roster* screen.

Figure 25: Enter Trainee Commons User ID Screen

4. Provide search criteria then click **Search** button.

Figure 26: Identify Trainee

NOTE: Wild-card character (%) is allowed after the first three letters of the Last Name.

5. If no records are found, you can refine the search and try again. OR...
6. If unable to find a match, select **Create New Trainee Profile** button.

Figure 27: Create New Trainee Profile Button

7. Provide required info then click **Continue** button.

Figure 28: Create New Trainee Profile Screen

The *Statement of Appointment* screen will appear.

Figure 29: Statement of Appointment (2271 Form – Top Portion)

Here are the Business Rules for bottom portion of the Statement of Appointment Form.

1. Period cannot exceed 12 months and the start date must fall within the budget period.
2. The Stipend level must be entered for everyone except for scholars and participants. Must be appropriate to trainee degree and experience.
3. Users enter salaries/other compensation for a whole or partial year for scholars or

participants.

4. Must recalculate date if calendar boxes are used.

For information on the Grant's Policy Statement, please refer to Section 11.3.7, *Initiation of Support*, at this web site. http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch11.htm#_Toc271265126

Figure 30: Statement of Appointment (2271 Form – Bottom Portion)

7. Enter in all the required fields. Then click the appropriate **Save** button.
8. The *Invite Trainee to Register* screen has 2 option buttons:

   a. **Invite Trainee Now**
   b. **Invite Trainee Later**

Figure 31: Invite Trainee to Register Screen

If the **Invite Trainee Now** button is selected, the system sends an email to the Trainee. Within the email will be a hyperlink to begin Creating a New Account.

If the **Invite Trainee Later** button is selected, you will return to the 2271 form. The **Re-invite Trainee** button will appear at the bottom of the 2271 form for future use.

Figure 32: Invite Trainee Later Screen

Processing of the 2271 form cannot be continued until the Trainee has registered. This event appears in the 2271 Routing History.

4.2 Account Setup – Trainee

The Program Director/Principal Investigator (PD/PI) initiates the Trainee's training appointment within the xTrain system and routes the Appointment Form (2271) to the Trainee. The Trainee uses xTrain to complete the form and route it back to the PD/PI with his or her electronic signature. A similar process is used again at the end of a Trainee's Appointment with a Termination Notice.

NOTE: Trainee must be a U.S. citizen or permanent resident at the time of the appointment.

4.2.1 Setting Up eRA Commons Account

If you already have an account, the Trainee role will be added, and you will be asked to update your Personal Profile.

If you do not have an eRA Commons account, the xTrain system will automatically send you an e-mail with a hyperlink and instructions for registering in Commons as part of the Appointment or Termination process.

To: <Trainee Email>

Subject: eRA Commons – xTrain: Create an Account

Dear Trainee:

This is a system-generated invitation to the eRA Commons xTrain website in connection with your participation as a Trainee for Program Director [PI name] on a Grant [Grant #].

To participate in the Appointment and/or Termination forms submission, you will need to log on to the eRA Commons website with a user name and password.

Please visit this web site to create your account as soon as possible. Open your Web browser and go to the URL **<insert customized registration url with encrypted person_id>** (You can copy and paste this address into the "Location" window of your browser, and press Enter. If the URL doesn't work, make sure it is complete and hasn't been broken over multiple lines. If the URL spans more than one line make sure you are entering all of it in the location window of your browser and that there are no spaces in the address.)

Follow the instructions on the screen to enter information about yourself. You will also be asked to verify the public information that NIH has on file to ensure your information is both accurate and complete.

After submitting your registration request, you should receive a notification about your account activation within 2-5 business days; it will contain the URL for the eRA Commons web site. At that time you will be able to access xTrain with temporary password which will be sent to you in a separate email. Please note that you cannot use eRA Commons xTrain system until your account is active.

Figure 33: Sample e-mail Letter to Trainee

For more information on setting up trainee accounts, please refer to the Account Management System (AMS) user guide located at http://era.nih.gov/files/AMS_user_guide.pdf .

After the account creation is completed, an email is sent to the trainee to invite the trainee to register. After registering an email is sent stating that the account request is being reviewed by NIH. When the account is approved, another email is sent stating that the account has been created and the user name. A separate email is sent which contains a temporary password for accessing Commons. After logging in with the temporary password, you are prompted to change the password.

4.3 Account Setup – Trainee from the Manage Account Tab

An SO or other Commons user with Administrative roles can use the eRA Commons *Create Account* screen to create or manage a Trainee account from the **Manage Account** tab using a similar process as in the xTrain module.
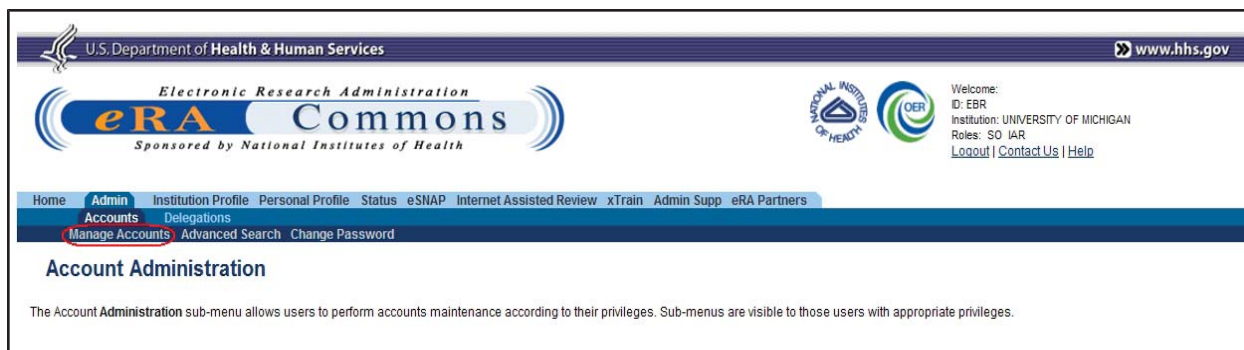
Figure 34: Account Administration Screen Displaying Manage Accounts Tab

For more information on setting up trainee accounts, please refer to the Account Management (AMS) user guide located at http://era.nih.gov/files/AMS_user_guide.pdf.

5 Personal Profile

Each eRA Commons account has an associated Personal Profile screen that includes information specific to the account holder.

Personal profile information is used to pre-populate appointment and termination forms in xTrain. The xTrain system will check to ensure that you have provided all the necessary information prior to routing your xTrain forms back to the PD/PI.

5.1 Creating Personal Profile

Once an xTrain Trainee account is created (for instructions on creating a Trainee account see section *Account Setup*), the Trainee must log into eRA Commons and access each of the trainee specific Personal Profile pages to provide the information used to populate xTrain-related forms.

xTrain will check the Trainee's Profile during the Appointment and Termination process and will generate Errors and/or Warnings if expected information is not provided or conflicts with NIH policies for the designated type of appointment.

In order to complete their personal profile successfully, the user must enter information in each of the tabs listed below the **Personal Profile** tab:

- **Personal Information**
- **Race/Ethnicity**
- **Residential Address**
- **Degrees/Residency**
- **Trainee Specific**
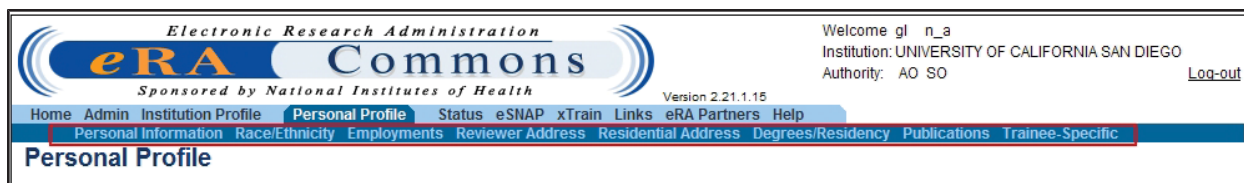
Figure 35: Personal Profile Tab

Carefully fill out your Personal Profile, paying particular attention to:

- *Personal Information* screen:
  - **Gender**
  - **Social Security Number (SSN)** – Trainees are asked to voluntarily provide the last four digits of their SSN. This helps the Agency identify you and manage your records in the eRA system.

- ○ **Citizenship ***
- ○ **Date of Birth (DOB)**
- ○ **Disabilities ***
- *Race/Ethnicity* screen:
    - ○ **Race**
    - • **Ethnicity**
- *Residential Address*
- *Degrees/Residency* screen:
    - ○ Enter all relevant degrees earned or in process
- *Trainee-Specific Information* screen:
    - ○ Questions about outstanding U.S. Federal debt and disadvantaged background. Provide explanation, if necessary.
- Race/Ethnicity/Disability/Disadvantaged Background: Responses to these items will help provide statistical information on the participation of individuals from diverse groups in Agency programs and identify inequities in terms of recruitment and retention based on race, ethnicity, disability, and/or disadvantaged background.

NOTE: Items with an asterisk are required fields although not all of the required fields for trainees are marked with an asterisk on all of the screens. In these situations, text indicates that they are required.

5.2 Personal Profile Fields Checked by xTrain

The xTrain system relies on having current and complete information in a trainee's personal profile in eRA Commons. If xTrain identifies an issue with invalid or missing trainee profile information, an error will be generated and it must be corrected before completing the xTrain function.

Trainees must keep their profiles up to date, paying special attention to the following fields that are checked within xTrain:

- *Personal Information* screen: gender, citizenship, disabilities, SSN (requested but not required), and date of birth
- *Race/Ethnicity* screen: ethnicity and race(s)

NOTE: Trainee Race, **Ethnicity**, **Disabilities**, **Gender**, and **Birth Date** must be entered. Where available, **Do not wish to provide** can be used. Trainees must enter this information on the *Personal Profile* screen in eRA Commons.

- *Residential Address* screen: Trainee should provide permanent address (i.e., where trainee can be reached after the completion of the program)
- *Degrees/Residency* screen: enter all relevant degrees earned or in process, and residency information, if applicable
- *Trainee-Specific Information* screen: answer all the required questions and provide an explanation, if necessary.

5.3 Personal Information

The following fields on the *Personal Information* screen are checked by xTrain:

- **First Name**
- **Last Name**
- **DOB – Date of Birth**
- **Citizenship**
- **Disabilities**
- **eRA Email**
- **Gender**

NOTE: The following fields are required: **First Name:**, **Last Name:**, **Gender:**, **DOB**, **Citizenship Country:**, **eRA Email:**, and the **Do you have a disability?** question.

NOTE: The eRA Email field is used for xTrain notifications and the Forgot Password function should be the same email address used when the user registered with eRA Commons.

Figure 36: Personal Information - Required Fields

Once all information has been entered into the *Personal Profile* screen, click the **Submit** button.

NOTE: Because the Personal Profile module is used by multiple eRA services, some fields are required only in specific circumstances. In addition, not all fields that are checked are marked as required on the profile screens.

5.3.1 Citizenship

Check the box corresponding to your citizenship and visa status. If not a U.S. citizen, list the country of citizenship.

Kirschstein-NRSA trainees and institutional career development scholars must be U.S. citizens, non-citizen nationals, or permanent residents of the United States. A non-citizen national is an individual who, although not a citizen of the United States, owes permanent allegiance to the United States. Individuals in this category are generally born in lands which are not States, but which are under U.S. sovereignty, jurisdiction, or administration (e.g., American Samoa).

Trainees in non-NRSA research training programs and participants in research education award programs should consult the applicable Funding Opportunity Announcement (FOA) for citizenship requirements.

Following the submission of their appointment through xTrain, trainees who are permanent residents of the U.S. must submit a signed and notarized statement certifying that they have (1) a Permanent Resident Card (USCIS Form I-551), or (2) other legal verification of such status.

For more information on paperwork for permanent residents, please refer to the Grants Policy Statement section at this web site: http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch11.htm#_Toc271265042

5.4 Race/Ethnicity

The **Race and Ethnicity** tab should be selected, and the requested information supplied, after all information under the **Personal Information** tab has been completed.

Figure 37: Race/Ethnicity Screen

Responses to the items on this screen will help provide statistical information on the participation of individuals from diverse groups in Public Health Service (PHS) programs and identify inequities in terms of recruitment and retention based on race, ethnicity, disability, and/or disadvantaged background.

Trainees, scholars, and participants are strongly encouraged to provide this information; however, declining to do so will in no way affect their appointments.

This information will be retained by the PHS in accordance with and protected by the Privacy Act of 1974. Racial/ethnic/disability/background data are confidential and all analyses utilizing the data will report aggregate statistical findings only and will not identify individuals. (See the Privacy Act Statement for more information at http://www.usdoj.gov/privacy-file.htm.)

Once all information has been entered into the *Personal Profile* screen, click the **Submit** button.

5.4.1 Race

Check all of the boxes that apply or check **Do Not Wish to Provide**.

American Indian or Alaska Native: A person having origins in any of the original peoples of North, Central, or South America and maintains tribal affiliation or community.

Asian: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American: A person having origins in any of the black racial groups of Africa. Terms such as *Haitian* or *Negro* can be used in addition to *Black* or *African American*.

Native Hawaiian or Other Pacific Islander: A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

White: A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

5.4.2 Ethnicity

The user must select either **Non-Hispanic**, **Hispanic** or **Intentionally Withheld**.

Hispanic or Latino: A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term, *Spanish origin*, can be used in addition to *Hispanic or Latino*.

5.5 Residential Address

The trainee should provide the permanent address (i.e., where the trainee can be reached after the completion of the program). Give an address where the appointed individual can be reached by mail after completion of the program. Do not give the present address unless it is considered permanent.

Once all information has been entered, click the **Submit** button.
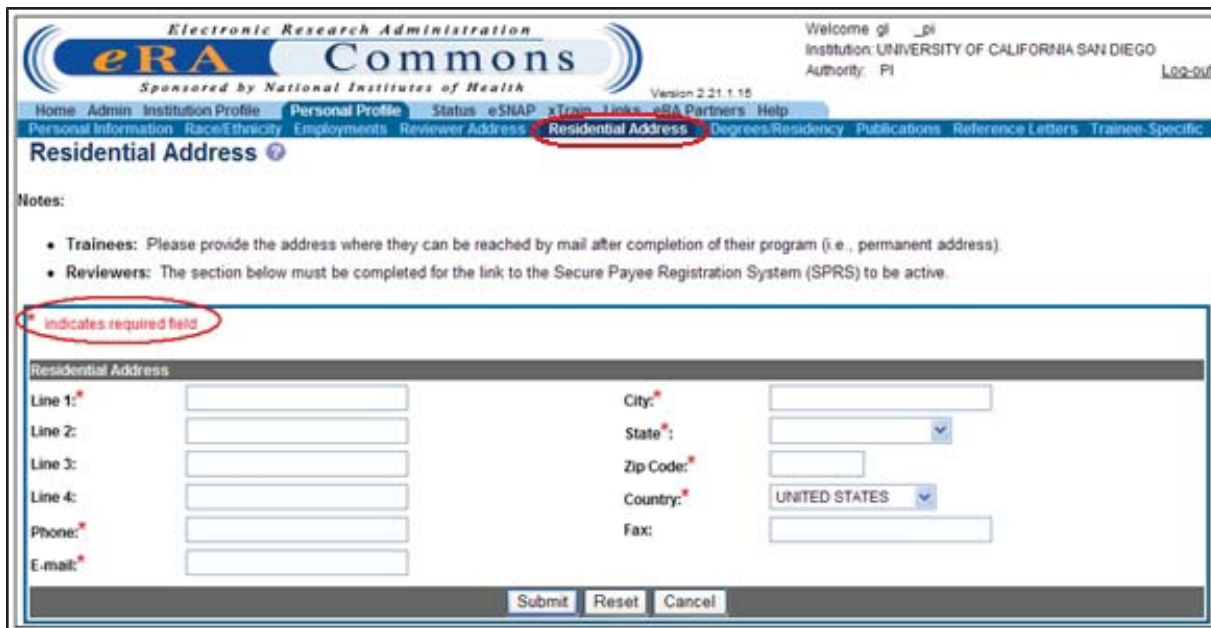
Figure 38: Residential Address Screen

5.6 List of Degrees

xTrain will check Degree information as part of the Appointment process as follows:

- PRE-BACCALAUREATE: does not have a bachelor's degree
- PRE-DOC: must have a Bachelor's Degree or equivalent
- POST-DOC: must have a PhD, MD, or equivalent

NOTE: Trainee should provide information on degrees in progress and their expected completion date.

Use the Add New Degree button to provide new or additional degree information.

Figure 39: List of Degrees Screen

5.6.1 Medical Residency Information

In order to provide Medical Residency information, at least one degree has to be reported within the user Personal Profile Degrees/Residency section of Commons.

Figure 40: List of Degrees Screen

Once degree information has been registered within Commons, a user can provide either completed or in-progress Medical Residency information by entering minimally the end date, or expected end date in the Residency screen.

Figure 41: Add Medical Residency Screen

Related to degrees and residency is the Early Stage Investigator (ESI) status associated with the necessary ESI policies. In order to address both the duration of training and to protect the flux of new investigators, the NIH announced a new policy in fiscal year 2009 involving the identification of Early Stage Investigators (ESIs). ESIs are New Investigators who are within 10 years of completing their terminal research degree or within 10 years of completing their medical residency at the time that they apply for R01 grants. Applications from ESIs will be given special consideration during peer review and at the time of funding. Peer reviewers will be instructed to focus more on the proposed approach than on the track record, and to expect less preliminary data than would be provided by an established investigator. To this end, degree and residency information is directly related to ESI status. For more information on new and early stage investigator policies, go to http://grants1.nih.gov/grants/new_investigators/index.htm#defearlystage

5.6.2 Trainee-Specific Information

The Trainee-Specific Information screen includes additional information required for participation in institutional research training, career development or research education.

Figure 42: Trainee-Specific Information Screen

5.6.3 Statement of Non-delinquency on U.S. Federal Debt

A Statement of Non-delinquency on Federal Debt is required for each particular appointment period and is to be completed by each individual (trainee) appointed to receive financial support under a PHS institutional training grant.

If the prospective trainee is delinquent on Federal debt, the PHS must review the explanation. In such cases, the PHS shall (a) take such information into account when determining whether the prospective trainee is responsible with respect to that appointment, and (b) consider not approving the appointment until payment is made or satisfactory arrangements are made with the agency to which the debt is owed.

Therefore, it may be necessary for the PHS to contact the prospective trainee before the appointment can be approved to confirm the status of the debt and ascertain the payment arrangements for its liquidation. Individuals failing to liquidate indebtedness to the Federal Government in a businesslike manner place themselves at risk of not receiving PHS financial assistance.

The PHS awarding component shall notify the grantee institution in writing of its decision regarding the approval of a prospective appointee where this appointment discloses delinquency on Federal debt.

The trainee must check the appropriate box. If the "Yes" box is checked, please provide an explanation in the space provided.

NOTE: This question applies only to the trainee being appointed and does not apply to the Program Director submitting the form.

Examples of Federal Debt include delinquent taxes, audit disallowances, guaranteed or direct student loans, FHA loans, business loans, and other miscellaneous administrative debts. For purposes of this certification, the following definitions of "delinquency" apply:

- For direct loans and fellowships (whether awarded directly to the applicant by the Federal Government or by an institution using Federal funds), a debt more than 31 days past due on a scheduled financial payment. (This definition excludes service payback under a National Research Service Award.)
- For guaranteed and insured loans, recipients of a loan guaranteed by the Federal Government that the Federal Government has repurchased from a lender because the borrower breached the loan agreement and is in default.

5.6.4 Disadvantaged Background

To provide guidance in answering this question, the Trainee-Specific Information screen (See Figure 32) provides a hyperlink to further information on disadvantaged background.

Individuals from disadvantaged backgrounds are typically high school students or undergraduates, and:

- Come from a family with an annual income below established low-income thresholds. These thresholds are based on family size, published by the U.S. Bureau of the Census; adjusted annually for changes in the Consumer Price Index; and adjusted by the Secretary for use in all health professions programs. The Secretary periodically publishes these income levels at http://aspe.hhs.gov/poverty/index.shtml. For individuals from low income backgrounds, the institution must be able to demonstrate that such candidates have qualified for Federal disadvantaged assistance or that they have received any of the following student loans: Health Professional Student Loans (HPSL), Loans for Disadvantaged Student Program, or that they have received scholarships from the U.S. Department of Health and Human Services (HHS) under the "Scholarship for Individuals with Exceptional Financial Need", or
- Come from a social, cultural, or educational environment such as that found in certain rural or inner city environments that have demonstrably and recently directly inhibited the individual from obtaining the knowledge, skills, and abilities necessary to develop and participate in a research career.

Under extraordinary circumstances the PHS may, at its discretion, consider an individual beyond the undergraduate level to be from a disadvantaged background. Such decisions will be made on a

case-by-case basis, based on appropriate documentation. Trainees beyond the undergraduate level should consult with their training grant PD/PIs for further instructions.

6 Search for WIP Appointments and Terminations - SO/BO

When the **xTrain** tab is selected for users with the BO and SO role, the *List of Grants* screen is the default screen. There is a **Search for WIP Appointments and Terminations** tab that when clicked displays the *Search for WIP Appointments and Terminations* screen. This screen provides the user the ability to find appointments, re-appointments, amendments and termination notices that are Work in Progress (WIPs). That is, the Appointments and Termination Notices are still in the process of being submitted or, if already submitted, not yet accepted.

1. To access the screen, click the **Search for WIP Appointments and Terminations** tab.

Figure 43: Search for WIP Appointments and Terminations Screen

The Search Criteria include **Trainee Last Name**, **Trainee First Name**, **Grant # Type**, **Activity Code**, **IC**, **Serial Number**, **Year**, **Suffix**, **PD Last Name**, and **PD First Name**. If the **ARRA Funded Only** check box is selected, the system only displays ARRA funded grants.

NOTE: A red asterisk (*) next to the field name indicates a required field. Of these search fields, **IC** (Institute/Center) field is required.

2. Enter the appropriate search criteria.

In addition, the system requires searching by **WIP Record Status**.

The WIP Appointment statuses are:

- *In Progress PI* - The PD/PI is the current reviewer of the form.
- *In Progress Trainee* – The trainee is the current reviewer of the form.
- *All WIP Records*- The system displays all in progress records if appropriate.

The WIP Termination statuses are:

- *In Progress PI* - The PD/PI is the current reviewer of the form.
- *In Progress Sponsor* – The Sponsor is the current reviewer of the form.
- *In Progress BO* - The BO is the current reviewer of the form.
- *All WIP Records*- The system displays all in progress records if appropriate.

3. Select the appropriate appointment or termination status.
4. Click the **Search** button to execute the search or click the **Clear** button to clear out the search criteria.

When the **Search** button is clicked, the system displays the search results. If no records are found, the system displays the following message: *No records returned. Refine the search and try again*.

Trainee Name	Appointment Type	Grant Number	ARRA Flag	Appointment Start Date	Appointment End Date	Termination Date	Program Director	Institution	Degree Level	Source	Appointment Status	Paper Signature Received?	Termination Status	Current Reviewer	Proxy TN	View	Action
Shorts, Jim	New	5T32DK999999-39		07/01/2013	06/30/2014		Sweitzer, Albert	UNIVERSITY OF COLORADO DENVER	POST-DOC	Electronic	In-Progress Trainee	Payback: Yes Uncheck		2271:		View 2271 View Payback	2271 Form
Light, Bud	New	5T32DK999999-09		07/01/2013	06/30/2014		Salk, Jonas	UNIVERSITY OF COLORADO DENVER	POST-DOC	Electronic	In-Progress PI	Payback: No Check		2271:		View 2271 View Payback	2271 Form
Case, Sue	New	3T32DK999999-08S1		06/14/2010	08/06/2010		Hugo, Victor	UNIVERSITY OF COLORADO DENVER	PRE-DOC	Electronic	In-Progress PI	US Res: No Check		2271:		View 2271	2271 Form
Beach, Sandy	New	3T32DK999999-08S1		04/14/2010	06/15/2010		Snidley, Whiplash	UNIVERSITY OF COLORADO DENVER	PRE-DOC	Electronic	In-Progress PI			2271:		View 2271	2271 Form

Figure 44: Search for WIP Appointments and Terminations Screen Displaying Appointment Search Results

The following hyperlinks are available in the **Appointment Status** column.

- *In Progress Trainee*
- *In Progress PI*
- *Accepted*

The following hyperlinks are available in the **Termination Status** column.

- *In Progress PI*
- *In Progress Sponsor*
- *In Progress BO*
- *Accepted*

When any of these hyperlinks are clicked the system displays the appropriate *Routing History* screen. For more information, please refer to the Routing History topic.

The following hyperlinks are available in the **View** column.

- **View 2271**
- **View Payback**

- **View TN**

When any of these hyperlinks are clicked the system displays the appropriate form in a PDF format. For more information please refer to the View 2271 and View TN topic or the Payback Agreement form topic.

The following hyperlinks are available in the **Action** column.

- **2271 Form**
- **Term Notice**

When the **2271 Form** hyperlink or the **Term Notice** hyperlink is clicked, the system displays the *Statement of Training Appointment* form screen or the *Termination Notice* form screen respectively. On both screens, there is a **Cancel** button and a **View PDF** button.

On *Statement of Training Appointment* form screen there is also a **Validate** button that when clicked, the system displays any validation errors. The validation process does not change any status. For more information, please refer to the Appointment Errors/Warnings Quick Reference topic for more information.

7 Appointments

A trainee may be appointed at any time during the grant budget period for an appointment period of 9 to 12 months (for T-activity codes that are not T35), without prior approval by the NIH awarding office.

The time period may be different for scholars appointed to institutional career development awards and participants appointed to research education awards.

At the time of the initial appointment and any subsequent reappointment, the training PD/PI must submit a Statement of Appointment to the NIH awarding office. The Statement of Appointment includes biographical and other information on the trainee and the stipend level for the period of appointment.

In addition to the Statement of Appointment, a signed Payback Agreement must be submitted for each postdoctoral trainee who is in his/her first 12 months of Kirschstein-NRSA postdoctoral support.

For more information concerning the 2271 form, see *Appendix A – Statement of Appointment (Form PHS 2271)* in the external xTrain user guide located at http://inside.era.nih.gov/files/xTrain_UG_v2.26.0.0.pdf.
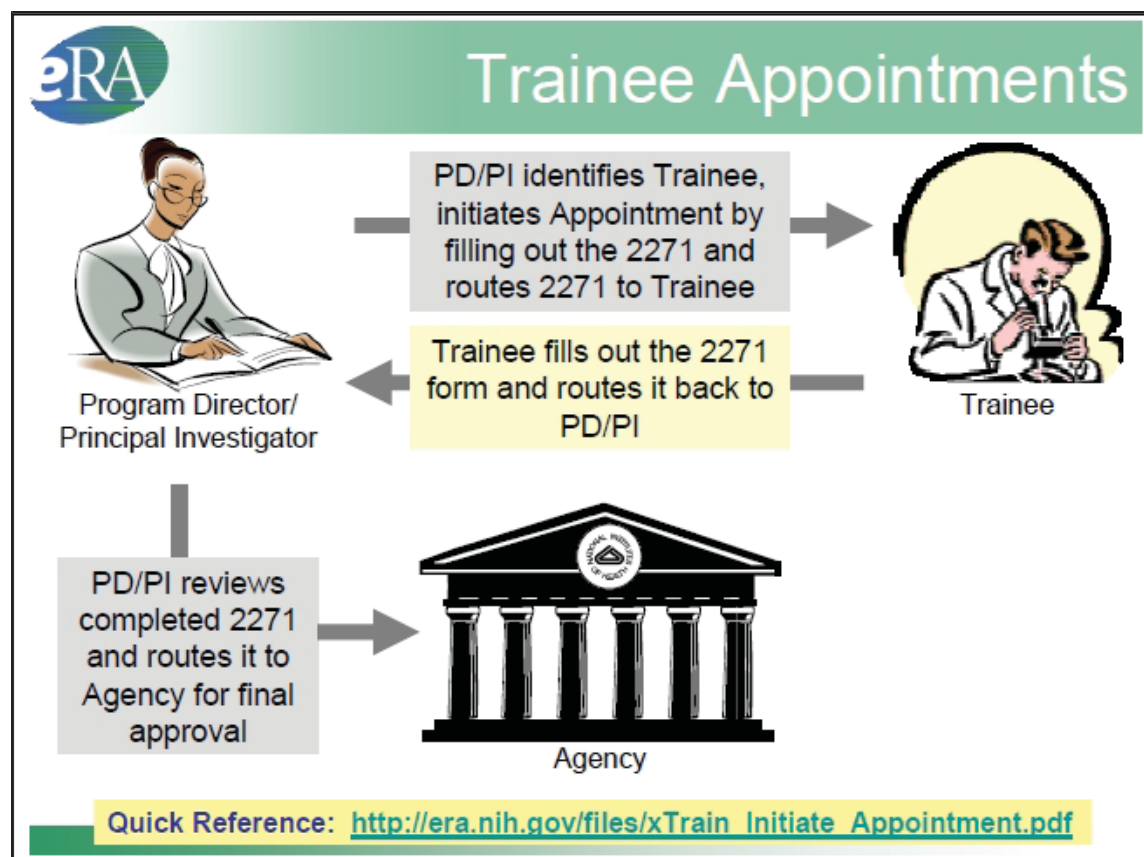
Figure 45: Appointment Process Flow

7.1   Create New Appointment – PD/PI

To create an appointment:

1. PD/PI logs into eRA Commons and selects the **xTrain** tab to bring up the *My Grants* screen. PD/PI is presented with a list of his/her grants.
2. PD/PI chooses a grant and clicks the **View Trainee Roster** hyperlink.

Figure 46: My Grants Screen

3. Click **Create New Appointment** beside the desired grant.

Figure 47: PD/PI Trainee Roster Screen

4. Enter the Trainee Commons User ID in the **Trainee User ID:** box then click the **Continue** button. The system associates the Trainee with the grant and displays the *Statement of Appointment* screen.

Figure 48: Enter Trainee Commons User ID Field

If the PD/PI does not have the **Trainee User ID:,** click on the **Identify Trainee** hyperlink to enter other search parameters to help locate an existing **Trainee User ID:** or click **Create New Trainee Profile** to create a new trainee profile.

Figure 49: Identify Trainee Screen

After identifying a Trainee, the PD/PI is presented with a 2271 form with some fields pre-populated from the Trainee's Personal Profile.

Figure 50: Statement of Appointment (2271 Form) – Top Portion

Here are the Business Rules for bottom portion of the Statement of Appointment Form.

1. Period cannot exceed 12 months and the start date must fall within the budget period.
2. The Stipend level must be entered for everyone except for scholars and participants. Must be appropriate to trainee degree and experience.
3. Users enter salaries/other compensation for a whole or partial year for scholars or participants.
4. Must recalculate date if calendar boxes are used.

For information on the Grant's Policy Statement, please refer to Section 11.3.7, *Initiation of Support*, at this web site. http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch11.htm#_Toc271265126

Figure 51: Statement of Appointment (2271 Form) – Bottom Portion

5. The PD/PI fills out the additional required (*) information in the Period of Performance and Support for Period of Performance sections, and clicks Save to save the form.

Additional action buttons appear at the bottom of the form after the initial save. Once the form is complete, click the **Save & Route to Trainee** button. The system will check the form prior to routing. Any identified errors must be corrected prior to routing. Warnings may be addressed at your discretion.

Figure 52: Additional Appointment Action Buttons

6. Provide comments to be sent via e-mail to the next recipient of the form, and then click the **Continue** button.

Figure 53: Create Appointment - Provide Comments Screen

NOTE: Comments can also be seen from the Routing History. The **Comments:** text box is limited to 2000 characters.

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7. After the *Appointment Initiation Confirmation* notice appears, click the **Done** button.
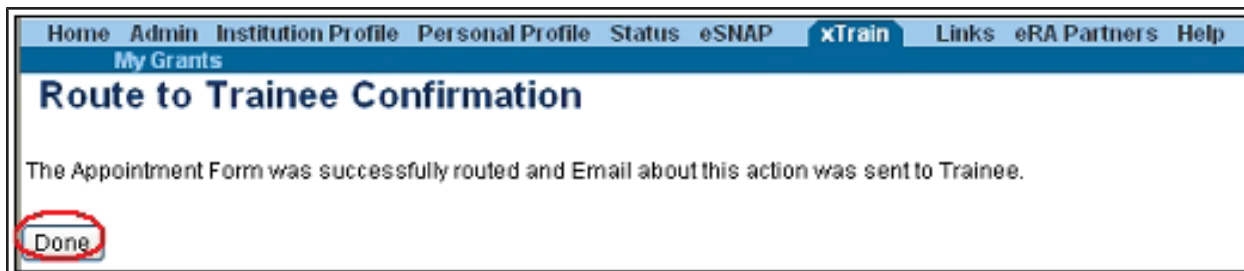
Figure 54: Appointment Initiation Confirmation Screen

8. The status of 2271 is changed to **In Progress Trainee**.

Figure 55: In-Progress Trainee Status Screen

After receiving an email about the appointment and logging into xTrain, the trainee reviews and completes the necessary information. The Trainee then routes the 2271 back to the PD/PI.

The system will check the form prior to routing. Any identified errors must be corrected prior to routing. Warnings may be addressed at your discretion. If no errors are encountered, the appointment status becomes In Progress PI.

Figure 56: In-Progress PI Status Screen

9. To complete the Appointment, the PD/PI reviews the 2271 form one last time by clicking the **Process 2271** hyperlink, and then clicks the **Save & Submit to Agency** button.

Figure 57: Bottom of 2271 Form

10. Optional comments (up to 2000 characters) can be included in an e-mail message sent to the Agency. If desired, enter comments into the comments field and click the **Continue** button.

Figure 58: Provide Comments Screen

11. Click the **I Accept** button.

Figure 59: Submit to Agency Certification Screen

12. Click the **Done** button, which will record the PD/PIs Electronic Signature, and bring up the *Submit to Agency Confirmation* screen.

Figure 60: Submit to Agency Confirmation Screen

13. In addition to confirming the submission of the appointment, the *Submit to Agency Confirmation* screen provides reminders about any further action that may be needed:

- Pre-doc Appointments – No further action is needed, unless confirmation of permanent residency status is required.
- Post-doc Appointments:
  - For those entering their initial year of Kirschstein-NRSA post-doc support, mail the original signed Payback Agreement (6031) form to the awarding NIH Institute or Center
  - Mail confirmation of permanent residency, if needed

14. The xTrain system checks the form. If error free, the form is routed, and the status of 2271 is changed to **Pending Agency Review**.
15. The PD/PI mails any required documentation or forms to the awarding component.
16. The Agency can accept the appointment, place it on hold, hold it for a paper signature, delete it, view the PDF file, or route it back to the Institution by clicking the appropriate button on the screen. These buttons are available, and made active based on roles.

7.1.1 Submit Appointments to the Agency Using the Batch Process

The PD/PI also has the ability to submit appointments to the Agency several at a time through the batch process instead of individually. If there is an error or a warning, the PD/PI is able to review errors and warnings for each appointment. The PD/PI can also enter a comment for each appointment.

To submit Appointments to the Agency through the batch process:

1. Open the **My Grants** Screen.
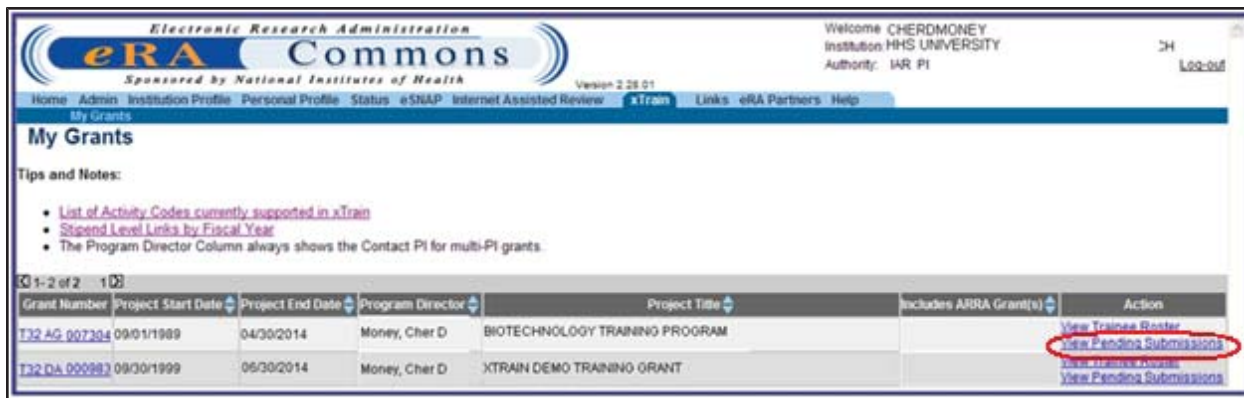
Figure 61: My Grants Screen with the View Pending Submissions Hyperlink

2. Click the **View Pending Submissions** hyperlink for a grant.

3. The *Pending Submissions* screen appears. There is a **Select All** button to choose all of the pending submissions or select the checkbox for a particular record. Enters comments as necessary per record.
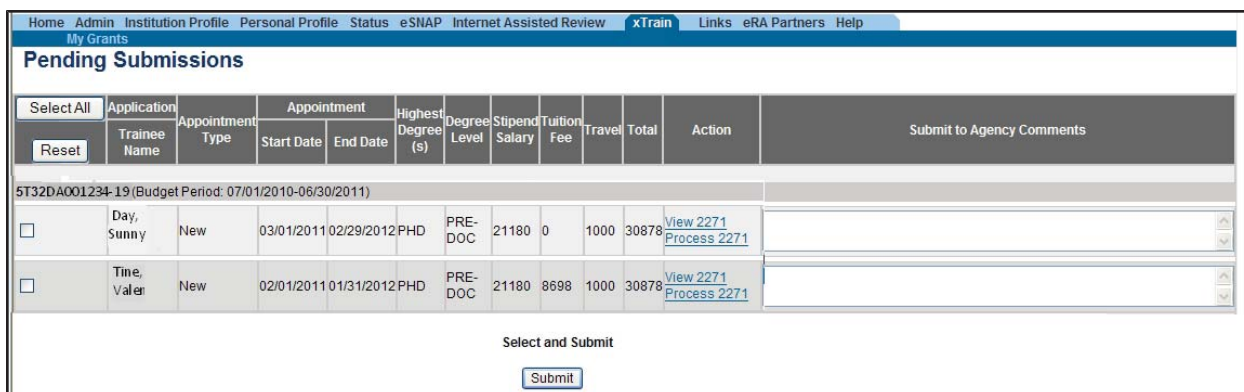
Figure 62: Pending Submissions Screen

4. Click the **Submit** button.

NOTE: If a validation error is generated for one appointment, amendment or re-appointment in the batch, the PD/PI is presented with an option to de-select this appointment, amendment or re-appointment from the batch and re-submit all other appointments that do not have errors or that only have warnings.

7.2 Process New Appointment – Trainee

Trainee users are brought to the *Trainee Appointments and Terminations* screen when the **xTrain** tab is selected.

Click the **Process 2271** hyperlink to access the Appointment form. The 2271 form is opened and pre-populated with personal information pulled from the Trainee Profile and appointment information entered by the PD/PI.
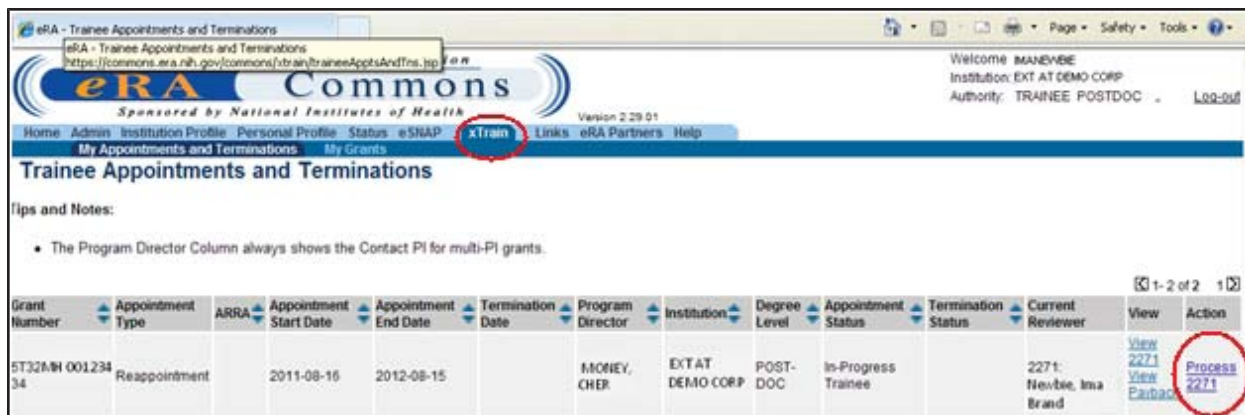
Figure 63: Trainee Appointments and Terminations Screen

If applicable, the Trainee must select the appropriate Specialty Boards and indicate if enrolled in a dual-degree program.

Statement of Training Appointment

Project Number: T32 MH 312008
Appointment Status: In-Progress Trainee View Routing History
Project Title: XTRAIN DEMO TRAINING GRANT
Institution: UNIVERSITY OF PENNSYLVANIA
PD Name: Money, Cher D

PHS 2271   OMB No. 0925-0001

*indicates required field

Trainee Personal Information

For every research training appointment or re-appointment, trainees should review and update their personal information by using the Personal Profile link at the top of this page. Except for the e-mail address, personal information may only be entered or modified by the trainee.

Last Name, First Name, MI: Newbie, Ima Brand
SSN: 000001234

Address Line 1: 123 My Home Road
Address Line 2:
Address Line 3:
Address Line 4:

City, State, ZIP: My City, MD, 12345
Country: UNITED STATES

* Email: askera@mail.nih.gov
Phone: 555-123-4567
Fax:

Degree(s) Earned/In Progress	Completion Date	Major/Minor	Degree Completed?
BS	05/2003	Biology/	Y
MD	05/2008	/	Y

Name of Specialty Boards (if applicable)

Select Specialty Board Code ▼

* Is the Trainee in a dual-degree program (e.g. M.D./Ph.D.)?

⦿ No   ◯ Yes

Figure 64: Statement of Appointment -Top Portion

Prior Kirschstein-NRSA Support information is pulled from the profile. To correct or update this information, go to Admin/Account/Verify NIH Support and enter a grant number. It is here that the Trainee would review the remaining information on the form and contact their PD/PI with any concerns.

If time does not permit, or if all required (*) information is not readily available, the Trainee can click the **Save** button at any time and complete the form later if need be. Once complete the Trainee should click the **Save & Route to PI** button to continue the Appointment process.

Figure 65: Statement of Appointment - continued

When the Trainee clicks the **Save & Route to PI** button, the system will validate the information contained in the 2271 form and will flag any Errors or Warnings found. Errors must be corrected before the Appointment is routed. Warnings are corrected at your discretion.

Figure 66: Statement of Appointment - Error Message

Optional comments (up to 2000 characters) can be included in e-mail message sent to PD/PI. Once any comments have been entered click the **Continue** button.

Figure 67: Provide Comments Screen

The *Route to PI Confirmation* screen will record your electronic signature when you click the **I Accept** button.

Figure 68: Route to PI Confirmation Screen

Click the **Done** button to finish. xTrain will then change the **Appointment Status** to **In Progress PI**.

Figure 69: Route to PI Confirmation Screen - 2271 Form Successfully Routed

Figure 70: Appointment Status - In-Progress PI

7.3 Reappointments

Trainees whose appointments are coming to an end can be reappointed to grants that have future award years.

NOTE: If the preceding appointment was submitted via a paper form, then a new appointment has to be completed rather than a reappointment.

To reappoint a Trainee:

1. Access the xTrain module.
2. Access the *Trainee Roster* screen.
3. Click the **Re-Appoint 2271** hyperlink for the specific Trainee appointment line item.

Figure 71: Trainee Roster Screen—Partial View Showing the Re-Appoint 2271 Hyperlink

The system displays the *Statement of Appointment* screen. There is a Grant or Supplement Available for Re-Appointment drop down from which the PD/PI must select the appropriate grant or supplement to which the trainee can be appointed.
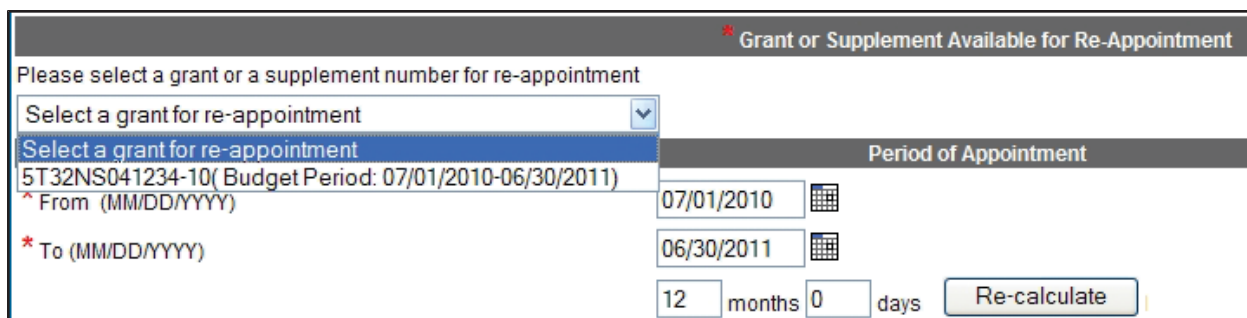
Figure 72: Grant or Supplement Available Drop Down

Follow the steps for Appointments, but here are some key things to note while completing the form:

1. The **FROM** date should be within the budget period of the grant for the reappointment.
2. The format of the date fields is MM/DD/YYYY.
3. After the dates are entered, press the **Save** button to have the stipend amounts for the new fiscal year appear in the drop-down menu.
4. Select the appropriate stipend amount.

NOTE: For partial years, the stipend amount can be adjusted. No commas or decimals are allowed in the **Stipend Amount** field.

5. After all required fields are entered for the re-appointment, follow the steps for routing and submitting the re-appointment in the Appropriate section.

NOTE: Reappointments follow the same process as Appointments. To access the Re-Appoint 2271 form, if necessary, click http://grants.nih.gov/grants/forms.htm. To access the Re-Appoint 2271 form's instructions, if necessary, click http://grants.nih.gov/training/phs2271.doc.

7.4 Amendments

Once an appointment is accepted by the Agency, an amendment is required in order to change any of the following items:

- Name
- Permanent Mailing Address
- Appointment Period
- Support from the Grant

NOTE: Some changes, such as name or mailing address, will also need to be updated by the Trainee under Personal Profile within eRA Commons.

The user must be a PD/PI or Delegate (ASST) to amend a 2271. To create an Amendment:

1. Click the Amend 2271 hyperlink on the Trainee Roster screen in xTrain.

NOTE: Only appointments can be amended. Fellowships cannot be amended.

Figure 73: Amend 2271 Hyperlink

2. The original 2271 as it was submitted will be displayed.
3. When you view the 2271 PDF file, there will be an Amendment section appended at the end.

If a Kirschstein-NRSA research training appointment is ending earlier than initially planned, the PD/PI should initiate a Termination, which will automatically amend the appointment and capture the new end date.

For institutional career development and other non-NRSA appointments ending early, the PD/PI should document the new appointment end date by amending the appointment, unless specifically instructed to use the Termination Notice by the NIH awarding Institute and/or Center (IC). Refer to Section on Terminations for additional information.

IMPORTANT: Original Appointment

Figure 74: 2271 Form

NOTE: The Amendment Section appears at the bottom of the PDF.

Figure 75: 2271 Form's Amendment Section

4. Make the desired updates by entering them into the Editable Amendment section.
5. Click Save.

NOTE: Amendments follow the same process as Appointments.

7.4.1 ARRA - Ability to Reappoint Trainee to a Supplement

xTrain will now look at both the support year of the grant and the suffix code. The system will have the capability to reappoint a Trainee to a supplemental year as well as the next award year. To perform this action, the user will now have a drop-down selection of grant numbers to which the Trainees can be reappointed, but only on the Reappointment form. The system will also allow reappointment of the Trainee to the current year if the current year is for an ARRA-funded grant.

Figure 76: Re-Appointment Screen

Additionally, the Trainee Roster can now be sorted so that the newest grant is listed first and the oldest grant is listed last.

8 Terminations

The Termination Notice documents the termination of NRSA fellowships and appointments to NRSA training grants.

It may also be used to document the termination of appointments to non-NRSA institutional research training programs (e.g., NLM T15's), research education awards (e.g., R25), and institutional career development awards (e.g., K12).

For non-NRSA awards, please refer to the Funding Opportunity Announcement or Notice of Award to determine whether a termination notice is required.

Note that the flow below is for institutional research training programs. The flow for terminating fellowships, career development awards and research education awards, if applicable, differs.

Quick Reference: http://era.nih.gov/files/termination_appointment.pdf
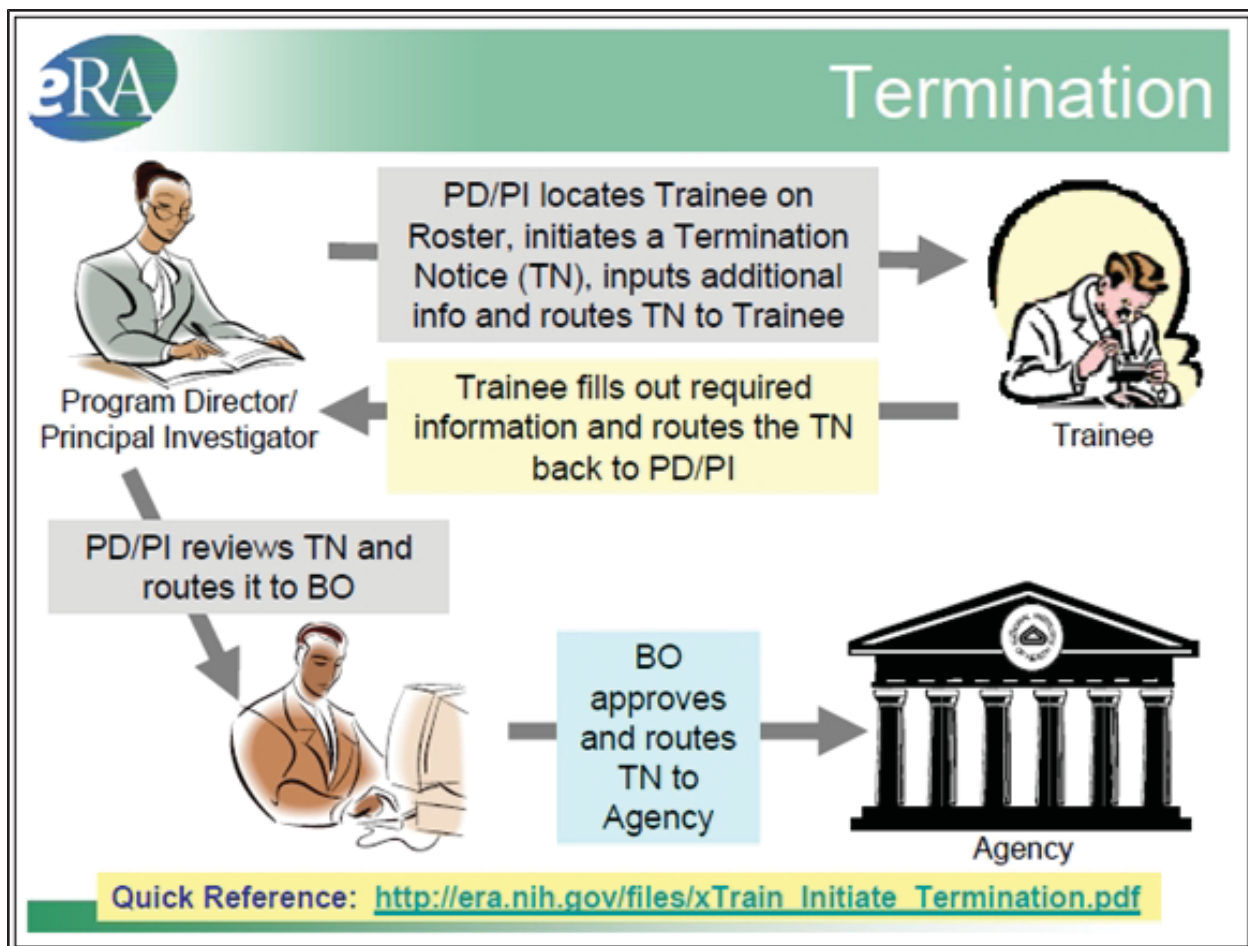
Termination Process Flow

8.1 Who Can Initiate/Submit Termination Notices

xTrain users with the following eRA Commons roles can initiate a termination notice:

- Principal Investigator (PI) – this role includes Fellows
- Assistant (ASST) with a PD/PI xTrain-delegated role
- Business Official (BO)
- Sponsor (for fellowships)
- Sponsor Delegate (for fellowships)

Only the BO can submit a Termination Notice (TN) to the Agency for NRSA appointments and fellowships.

Only the PD/PI can submit a Termination Notice for career development awards (e.g. K12, KL2, and KM1) and research education awards (e.g. R25, R90). The BO is not involved.

For Federal and Foreign fellowships, the PD/PI (Fellow), and the Sponsor can submit the Termination Notice. For more information see Appendix B – Termination Notice (416-7 Form).

8.2 Initiate a New Termination Notice for Appointments– PD/PI

To initiate a Termination Notice as a PD/PI:

The PD/PI logs into eRA Commons and selects the **xTrain** tab that displays the *My Grants* screen. The PD/PI is presented with a list of his/her grants.

The PD/PI chooses a grant and clicks on the **View Trainee Roster** hyperlink.

The PD/PI locates the trainee on the *Trainee Roster* screen and clicks the **Initiate TN** hyperlink.

NOTE: The **Initiate TN** hyperlink in the **Action** column of the **Trainee Roster** screen will not display if there is an existing WIP appointment for the same Trainee.

Figure 77: Initiate TN Hyperlink

The PD/PI is then presented with a Termination Notice (Form 416-7) with some fields pre-populated with already available data from the system.

NOTE: For form completion instructions and the form itself click
http://grants.nih.gov/grants/funding/416/phs416-7.pdf.

NOTE: The PD/PI must select the name of the Business Official (BO), who will submit the termination notice to the agency.

Figure 78: Termination Notice (Form 416-7) –Top Portion

Here are some key things to note before completing the form:

1. The Termination Date format is MM/DD/YYYY.
2. No commas or decimals are allowed in the Amount of Stipend/Salary field.
3. All comment text boxes are limited to 2000 characters.
4. The Termination Notice can only be modified once.
5. Only the Business Official (BO) can submit the Termination Notice to the Agency for NRSA appointments and fellowships. For career development awards (e.g. K12, KL2, and KM1) and research awards (e.g. R25, R90), only the PD/PI can submit the termination notice.

8.2.1 Early Terminations

If a Trainee terminates early, only the Appointment that is being terminated, as well as all previous Appointments, will get terminated with the early termination date. Any future Appointments, including the ones in the same budget period, will not get terminated.

NOTE: Only whole numbers are allowed in the **Amount of Stipend Salary** field.

Figure 79: Termination Notice (Form 416-7) – Mid Portion

If the Appointment is ending earlier than initially planned, use the **Modify Termination Date** button to adjust the last Appointment period. The system will automatically amend the Appointment End Date and will recalculate the stipend.

NOTE: When the end date is modified, and the appointment is for a partial year, sometimes the recalculated stipend amount will differ from the stipend amount calculated by the institution. The institution can modify the stipend based on its calculation. The Agency will approve the modified stipend, if it is within an appropriate range.

NOTE: The **Termination Date** format is MM/DD/YYYY.

Figure 80: Modify Termination Date Screen

1. The PD/PI fills out additional required (*) information and then clicks the **Save** button. The status of the TN is changed to **In Progress PI**.

Figure 81: Termination Notice (Form 416-7) – Bottom Portion

2. To continue to process the TN, scroll down to the bottom of the form where additional buttons now appear or you can open the form later from the *Trainee Roster* screen as described below.

3. From the *Trainee Roster* screen, the PD/PI clicks the **Process TN** hyperlink to open the form. If time does not permit, or if all required (*) information is not readily available, the PD/PI can click the **Save** button at any time and complete the form later if need be. Once complete the PD/PI should click the **Save & Route to Trainee** button, which is now visible on the bottom of the *Trainee* screen to send the form to the Trainee.

4. The PD/PI is given an opportunity to provide comments (up to 2000 characters) to be included in the e-mail message that will be sent to the Trainee. If desired, enter comments and then click the **Continue** button.
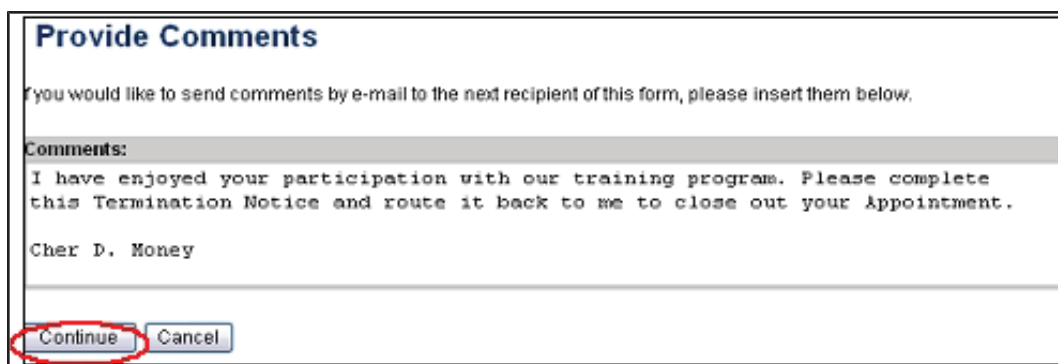
Figure 82: Provide Comments Screen

5. When the *Termination Notice Confirmation* screen appears, click the **Done** button.

Figure 83: Termination Notice Confirmation

6. At this point, the status of the Termination Notice (TN) is changed to **In Progress Trainee**. If no action is taken by Trainee in 14 business days, the system will automatically route the form back to the PD/PI, send a notification to PD/PI, and change the status of the TN to **In Progress PI**.

Figure 84: In Process Trainee Hyperlink

NOTE: The PD/PI should make every effort to have the Trainee update their Personal Profile screen within Commons, specifically update their email address with their new (forwarding) email address, before the Trainee leaves the Institution. Otherwise, the PD/PI needs to know, and be able to provide, a forwarding email address for the Trainee to be entered within the Termination Notice.

7. From the *Trainee Roster* screen, the PD/PI should click the **Process TN** hyperlink to open the form once the trainee fills out the required information.

Figure 85: PI Trainee Roster Screen

8. PD/PI reviews the form and clicks the **Save & Route to BO** button at the bottom of the screen to send the form to the BO.

Figure 86: Termination Notice (Form 416-7) – bottom portion

9. PD/PI is provided opportunity to provide comments (up to 2000 characters) to be included in e-mail message sent to BO. If desired, enter comments and then click the **Continue** button.

Figure 87: Provide Comments Screen

10. Click **I Certify** button. This will record your electronic signature.

Figure 88: Termination Notice Certification

11. Click the **Done** button.

Figure 89: Termination Notice Confirmation

12. Status of TN is changed to **In Progress BO**.

Figure 90: PI Trainee Roster Screen

8.3   Process Termination Notice – Trainee

To process a Termination Notice as a Trainee:

---

1. From the *Trainee Appointments and Terminations* screen, the Trainee clicks the **Process TN** hyperlink to access the form.

Figure 91: Trainee Appointments and Terminations Screen

2. The Termination Notice is opened and pre-populated with information pulled from the Trainee profile and data previously entered by the PD/PI.

Figure 92: Termination Notice (Form 416-7) – Top Portion

Figure 93: Termination Notice (Form 416-7) – Mid Portion

A summary of the **Training Received** and research undertaken by the Trainee is added to the Termination Notice either in the **comment** field or via a file upload. To upload a file, click the **Browse** button and select the desired PDF formatted file from your personal file directory.

Figure 94: Upload Training Received Screen

Figure 95: Termination Notice (Form 416-7) – Bottom Portion

3. The Trainee fills out the required (*) Termination Notice (TN) information and clicks the **Save & Route to PI** button. The system will run a quick validation process and present any errors or warnings to be addressed by the trainee before it is routed to the PI. If all required fields are complete, the form is routed to the PI and the Trainee's electronic signature is recorded and the Termination Status is changed to **In Progress PI**.

NOTE: The Trainee's mailing and email address need to be ones where they can be reached after their training has been terminated.

4. Additionally, the trainee should update their information in the **Personal Profile** section within Commons and should know how to contact the Help Desk if the list of prior Kirschstein-NRSA support is incorrect.
5. The Trainee is provided an opportunity to provide comments. **Comments:** (up to 2000 characters) will be included in an e-mail message sent to the PI. Click Continue.

Figure 96: Provide Comments Screen

6. Click the **I Certify** button. This will record your electronic signature.

Figure 97: Termination Notice Certification

7. Click the **Done** button.

Figure 98: Termination Notice Confirmation

8. The status of the TN is then changed to **In Progress PI**.

Figure 99: Trainee Appointments and Terminations

If no action is taken by the PI within 14 business days, the system will automatically route the form to the Business Official (BO), send a notification to the BO, and change the status to **In Progress by BO**.

NOTE: If a TN is sent back to an Institution by the Agency and the TN has a status of **In Progress BO**, the PI is able to recall the TN.

NOTE: The PD/PI should make every effort to have the Trainee update their *Personal Profile* screen within Commons, specifically update their email address with their new (forwarding) email address, before the Trainee leaves the Institution.

8.4 Process New Termination Notice – BO

To create a Termination Notice as a BO:

1. xTrain users with the BO role are brought to the grants search screen when the **xTrain** tab is selected. Provide search criteria such as the PDs last name, and click the **Search** button.
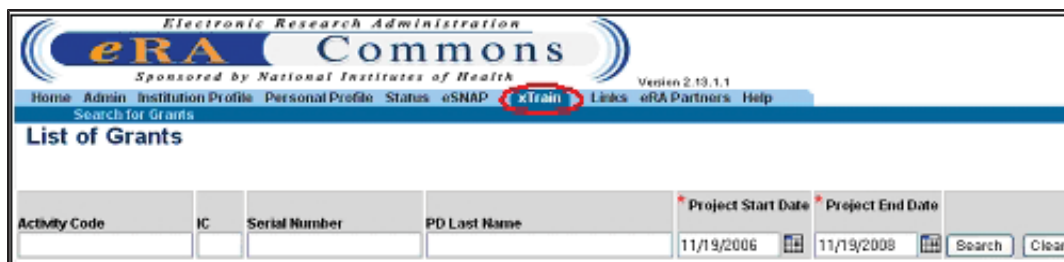
Figure 100: List of Grants Screen

2. Select the **View Trainee Roster** hyperlink.
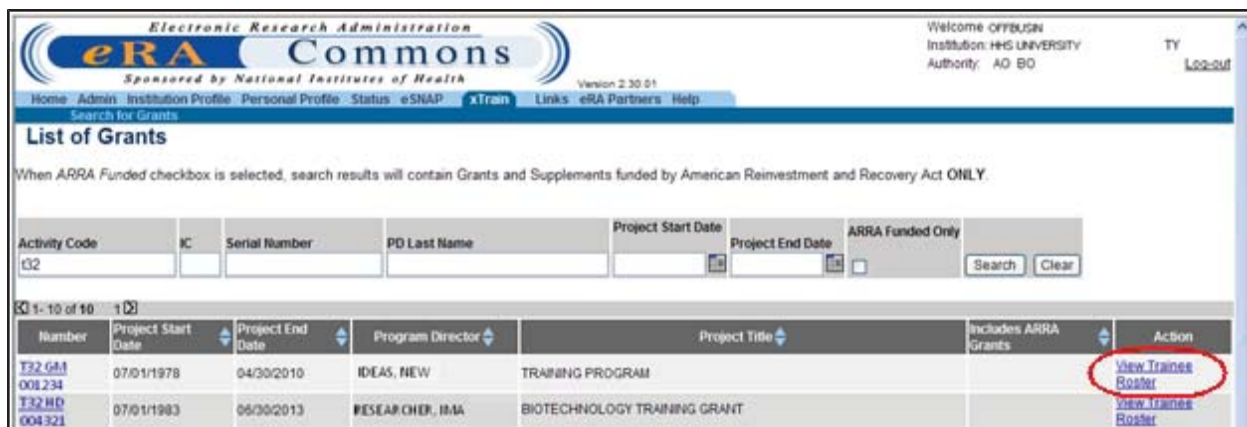
Figure 101: BO Trainee Roster

3. From the *Trainee Roster* screen, BO clicks the **Process TN** hyperlink to open the form.

Figure 102: BO Trainee Roster Screen

4. BO reviews TN and clicks the **Save & Submit to Agency** button at the bottom of the screen.

Figure 103: Termination Notice (Form 416-7) – bottom portion

5. BO is provided opportunity to provide comments (up to 2000 characters) to will be included in e-mail message sent to the Agency. If desired, enter comments and then click the **Continue** button.


Figure 104: Provide Comments Screen

6. Click the **I Certify** button. This will record your electronic signature.

Figure 105: Termination Notice Certification

7. Click the **Done** button.

NOTE: The Business Official (BO) is the only one who can submit a Termination Notice (TN) to the Agency for final processing and acceptance.

Figure 106: Termination Notice Confirmation

8. Status of TN is changed to **Pending Agency Review**.

Figure 107: BO Trainee Roster Screen

9. Agency can Approve the TN, Place on Hold, or Return to Institution with comments.

8.5   Terminating Fellowships

Users can also initiate and submit termination notices for fellowships via xTrain. Once the Fellowships are terminated, they will be automatically closed. As with training appointments, institution users will be able to terminate Fellowships early. Internal users will not be able to accept the TN until the Fellowship award is revised to show the new end date.

8.5.1 Initiating a Termination Notice for Fellowships
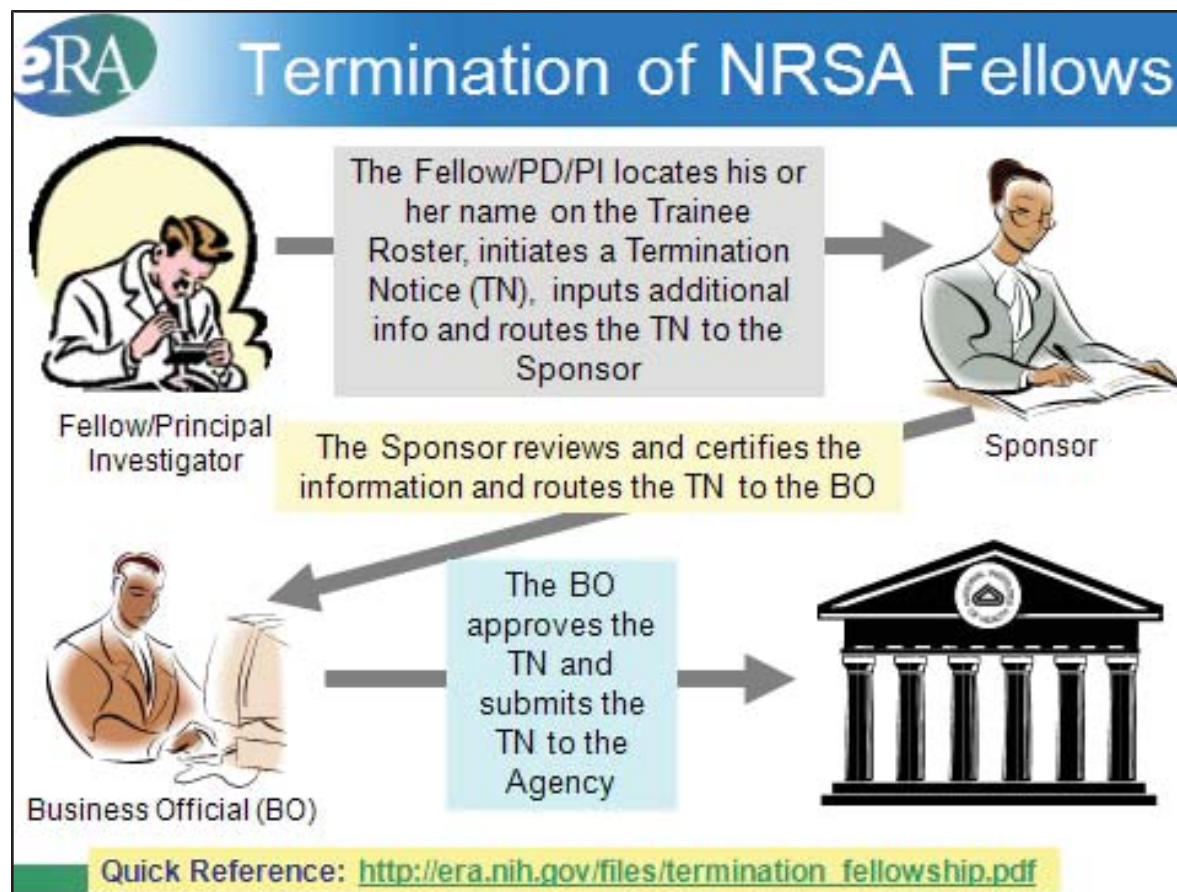
Figure 108: Termination Flow for NRSA Fellowships

The Termination Notice for a Fellow can be initiated by the PD/PI (Fellow), Business Official (BO), Sponsor or Sponsor Delegate. The flow diagram indicates the preferred process: the Fellow initiates the termination notice; the Sponsor routes and certifies it; and the Business Official submits it to the Agency.

The individual that initiates the award termination is the *user*.

- The user locates the most recent Fellowship on the Trainee Roster screen.
- The user selects the Initiate TN hyperlink for the appropriate Fellowship to be terminated.
- The user is presented with a Termination Notice (PHS 416-7) with fields pre-populated with data from the eRA system.
- The Modify Termination Date button within the Termination Notice can be used for early terminations of the Fellowship.
- The user reviews the Termination Notice and makes any necessary edits/additions (such as updating the email address of the PD/PI (Fellow) and entering/uploading the training

provided), selects the BO who could Submit the form, and then presses Save to retain the form.

NOTE: For Federal or Foreign (the Institution is outside the US) Fellowships, the PD/PI (Fellow), and the Sponsor, as well as the BO can submit the Termination Notice.

- The Termination Status is set according to the role of the individual who initiated it: *Either In Progress PI*, *In Progress Sponsor*, or *In Progress BO*.

NOTE: Additional action buttons appear at the bottom of the form.

- The user decides who will be the next reviewer of the Termination Notice, and routes it to that individual.
    - The Fellow can route it to either the Sponsor or the BO. The Termination Status is set to either In Progress Sponsor or In Progress BO, depending on who will be the next reviewer.
    - NOTE: It is preferable that the Fellow route the Termination Notice to the Sponsor.
    - The Sponsor can route it to either the Fellow or the BO. The Termination Status is set to either In Progress PI or In Progress BO, depending on who will be the next reviewer.
    - At least one individual in addition to the person who initiated the Termination Notice should review the Termination Notice.
    - The system runs the validation process and presents any errors or warnings to be addressed. Any errors must be corrected prior to routing. If error-free (warnings are OK), the form is routed. The Electronic Signature of the user is recorded, and the Termination Status is changed to that of the next reviewer.
    - Except for Foreign or Federal Fellowships, the Fellowship must be routed to the BO for submission to the Agency.

NOTE: (If no action is taken):

- Termination Notices are automatically routed from the Sponsor to the BO after 14 days
- Termination Notices are automatically routed from the PD/PI (Fellow) to the BO after 14 days

8.5.2 The BO Reviews and Submits the TN to the Agency

- The BO logs into eRA Commons, selects the **xTrain** tab and is presented with a Search screen. The BO enters search criteria and clicks Search. The BO selects the **View Trainee**

Roster hyperlink for the grant.

- From the *Trainee Roster* screen, the BO clicks the **Process TN** hyperlink to open the form. The BO reviews the TN and clicks the **Save & Submit to Agency** button.
    - The system runs the validation process and presents any errors or warnings to be addressed by the BO.
    - If error-free (warnings are OK), the form is submitted, the BO's Electronic Signature is recorded and the **Termination Status** is changed to **Pending Agency Review**.

8.5.3 The Agency Processes the TN

1. The Agency can accept the Termination Notice or return it with comments.
2. The Agency cannot immediately accept the TN if the end date of the Fellowship was modified and the stipend does not agree with the Notice of Award (NoA). In such a situation, the Agency user has to put the Termination Notice on hold until the NoA is modified

9 Other Functions

Like most actions taken within the eRA Commons system, most functions are based on user roles and the associated authority as it relates to a specific role.

9.1 Delegation – ASST Role

A PD/PI can delegate to an Assistant the authority to perform all xTrain-related functions on their behalf except for the authority to submit Appointments, Amendments and Reappointments to the Agency.

ASSTs with xTrain delegation can perform all other PD/PI functions prior to submission. ASSTs will receive the same e-mail notifications as the PD/PI.

eRA Commons allows PD/PIs to delegate several types of authority (e.g., PPF, Progress Report, xTrain, Status). Currently, each type of authority must be delegated separately.

The institution's Signing Official (SO) must add the ASST role to the individual's existing eRA Commons account or create an eRA Commons account with the ASST role for the individual if he/she does not already have an account.

9.1.1 Assign Delegation

1. After logging into Commons, PD/PI selects the **Admin** tab in the blue navigation bar across the top of the screen. Then select the **Delegation** sub-menu.

The system displays the *My Delegates* screen.
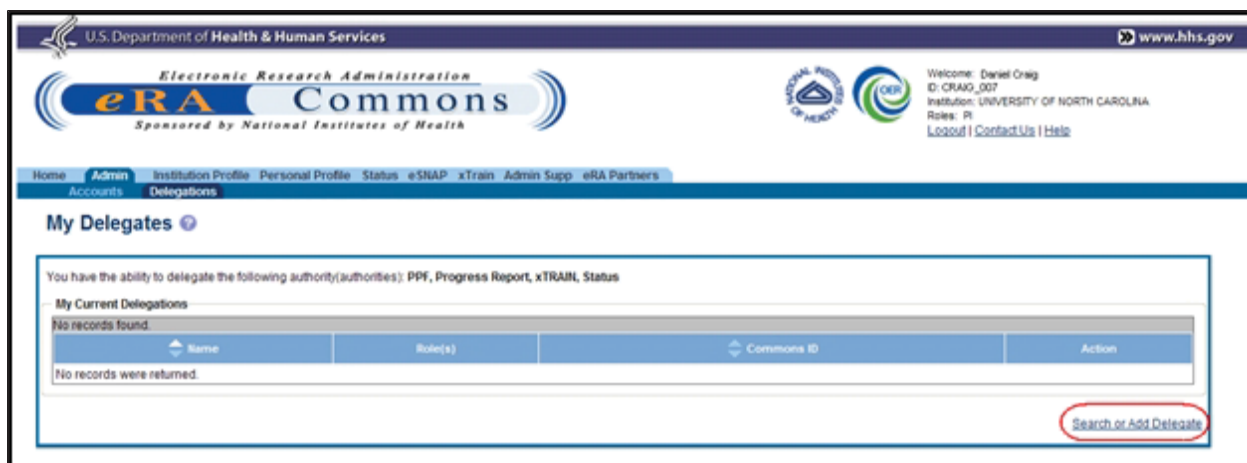
Figure 109: Commons My Delegates Screen Displaying Search or Add Delegate Hyperlink

2. Click the **Search or Add Delegate** hyperlink.
3. Search for the appropriate person and click the **Select** button to select the appropriate person on the *Search for Delegates* screen.

The *Delegate Authority (Authorities)* screen appears.

4. Check the **xTrain** box and click the **Save** button on the *Delegate Authority (Authorities)* screen.

For more information on delegations, refer to the section titled *Delegations* in the Commons user guide located at http://era.nih.gov/docs/COM_UGV2630.pdf.
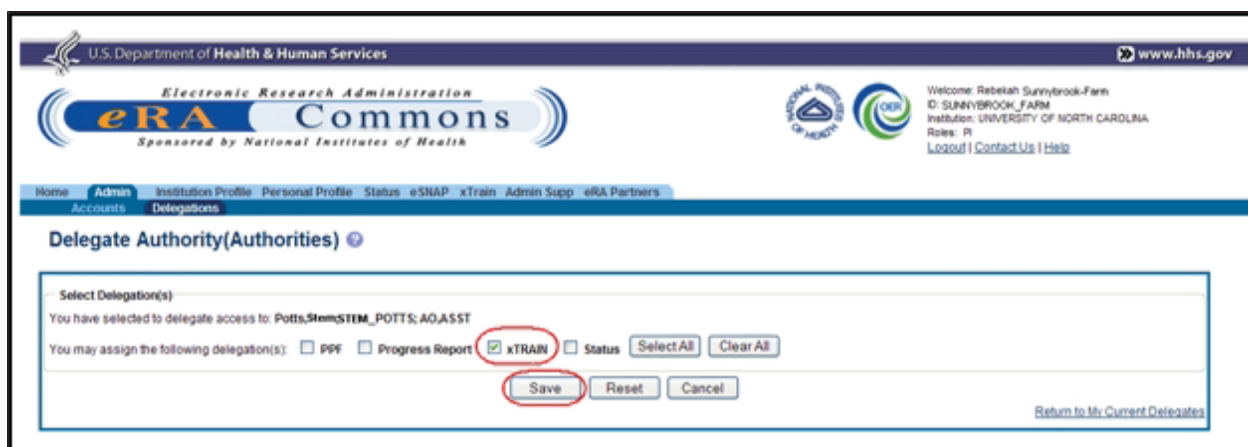
Figure 110: Delegate Authority (Authorities) Screen Displaying Adding xTrain Authority

9.1.2 Remove Delegation

1. In Commons the PD/PI selects the **Admin** tab in the blue navigation bar across the top of the screen and selects the **Delegations** sub-menu tab.
2. On the *My Delegates* screen, the PD/PI selects the appropriate user.
3. On the *Delegate Authority (Authorities)* screen, the PD/PI un-checks the **xTrain** box and clicks the **Save** button.

For more information, refer to the section titled *Delegations – Remove Delegations* in the Commons user guide located at http://era.nih.gov/docs/COM_UGV2630.pdf.
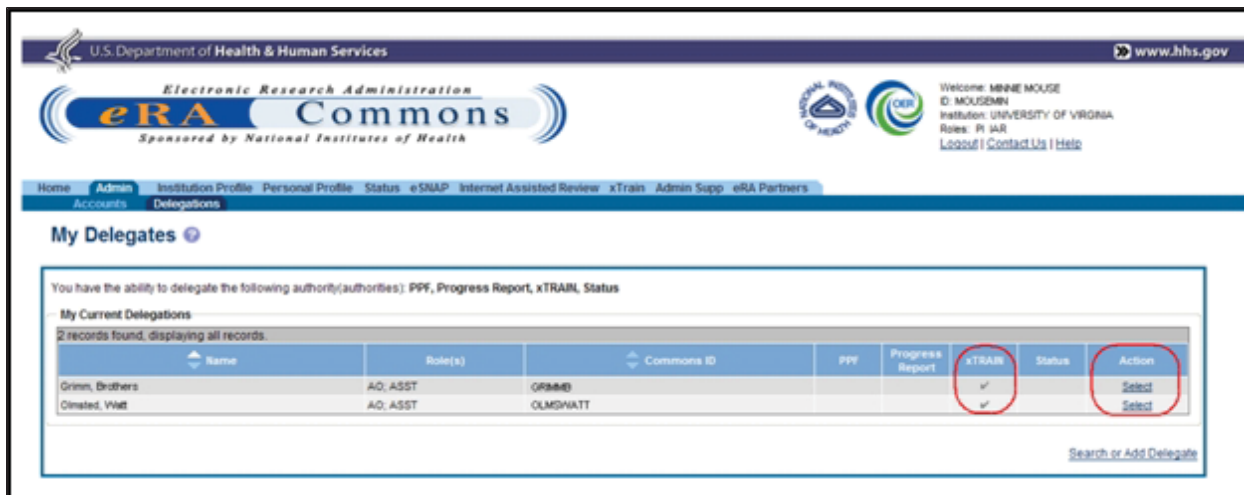
Figure 111: Commons My Delegates Screen Displaying Users with xTrain Authority

9.2 Training Grants

9.2.1 View Training Grants for SO/BO

For users with the SO or BO roles, the **List of Grants** screen displays as shown in the *List of Grants* search screen below.

To view the *List of Grants* screen:

1. Access the Commons system at https://commons.era.nih.gov/commons/.
2. Click the **xTrain** navigation tab.

The *List of Grants* screen displays training grant query parameters.
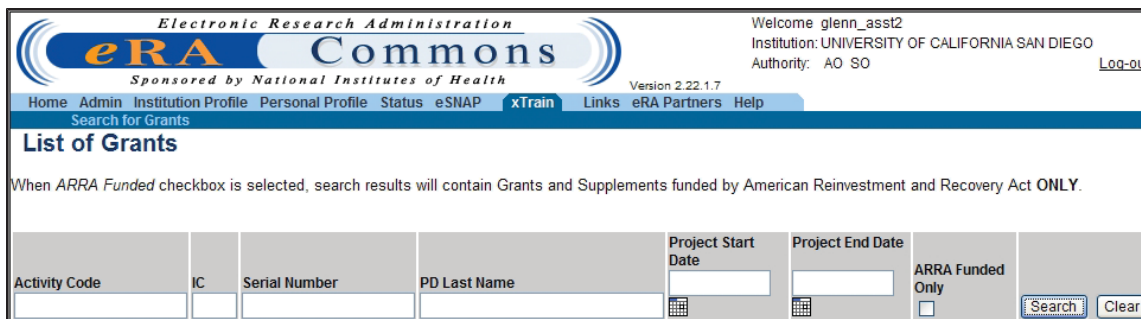
Figure 112: List of Grants Search Screen

3. Complete the appropriate text boxes and click the **Search** button.

The system displays query results as a list of training grants.
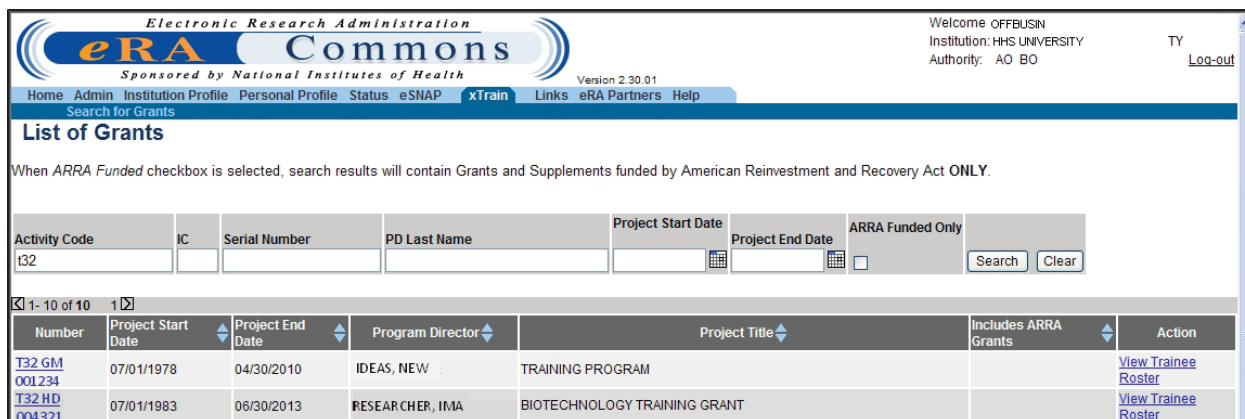
Figure 113: List of Grants Screen Displaying Search Results

NOTE: All projects displayed represent awarded training grants.

9.2.2 Viewing Training Grants for More than one PD/PI

An Assistant (ASST) can have xTrain privileges delegated from more than one PD/PI. These users can view training grants assigned/associated to each delegating PD/PI.

For an ASST with multiple delegated privileges, xTrain displays the *My Grants* screen with a drop-down box listing PD/PI names.

The *My Grants* screen displays a list of PD/PI names.

Select a PD/PI name from the drop-down list.

Figure 114: My Grants Screen Displaying the Select Profile Button

The *Grant Summary* screen displays a list of grants for the selected PD/PI.

Figure 115: Grant Summary Screen

9.3 View 2271 and View TN PDF

Any xTrain user can click **View 2271** PDF hyperlink or **View TN** PDF hyperlink on the *Trainee Roster* screen to look at the most recent Appointment or Termination form.

If it is not yet submitted to Agency (or if previously submitted on paper), the system creates the view *on the fly*, pulling the most current information from the profile/database and including any entered data.

If it is already electronically submitted, a snapshot of the form at time of submission is displayed.

The xTrain system displays the most recently OMB-approved form; for historical paper submissions, the form may not look identical to the one submitted.

Figure 116: View 2271 & View TN Hyperlink

Figure 117: View PDF Button

9.4 View Routing History

The **View Routing History** hyperlink is available throughout many of the xTrain processes. This hyperlink provides event history and includes routing comments. The hyperlink can be accessed

from within forms or from the *Appointment/Termination Status* screen.

Figure 118: Statement of Training Appointment Screen Displaying View Routing History Hyperlink

Figure 119: Routing History Screen

NOTE: The text listed under the **Action Comments** field includes information that was entered by users in the *Provide Comments* screen.

9.5   View Grant Summaries

On the *My Grants* and **List of Grants** screens, the grant number is a hypertext hyperlink that takes the user to the *Grant Summary* screen when clicked. To view a grant summary from the *My Grants* or *List of Grants* screens, click the **Grant Number** to access the *Grant Summary* screen.
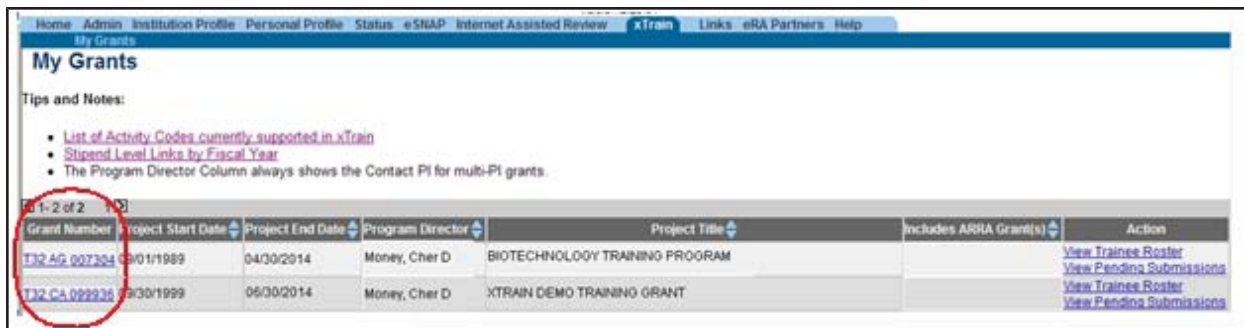
Figure 120: My Grants Screen Displaying Grant Number Hyperlinks

NOTE: Data entry for previously submitted paper actions may be still in progress.

The *Grant Summary* screen displays.
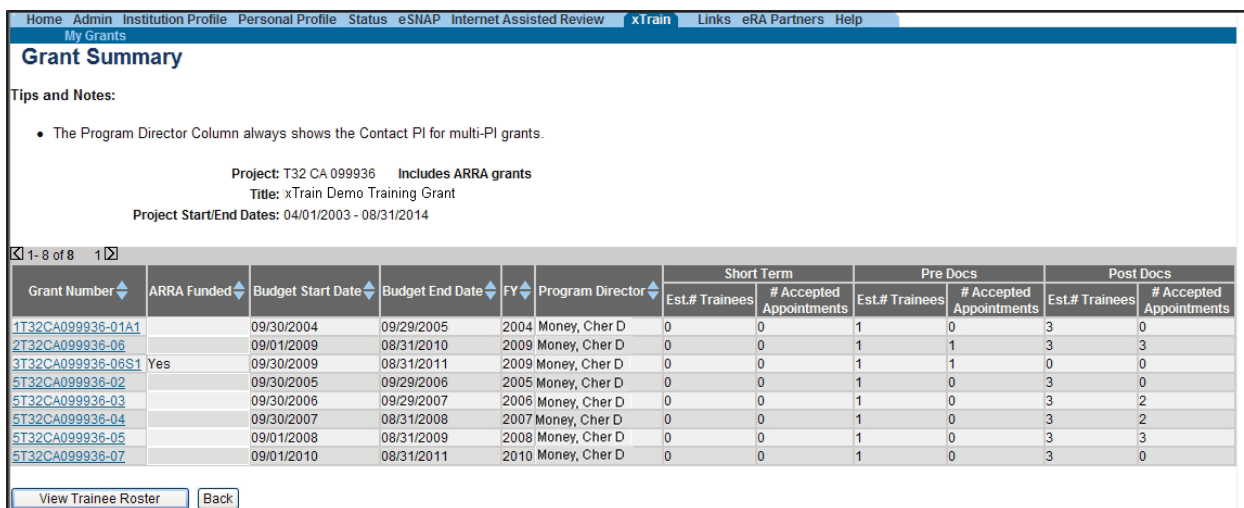
Figure 121: Grants Summary Screen Displaying Actions Accepted

NOTE: Fields displayed on the *Grant Summary* screen cannot be edited.

9.6 View Trainee Roster

To view the *Trainee Roster* screen from the *My Grants* screens:

1. Click on **View Trainee Roster** hyperlink.
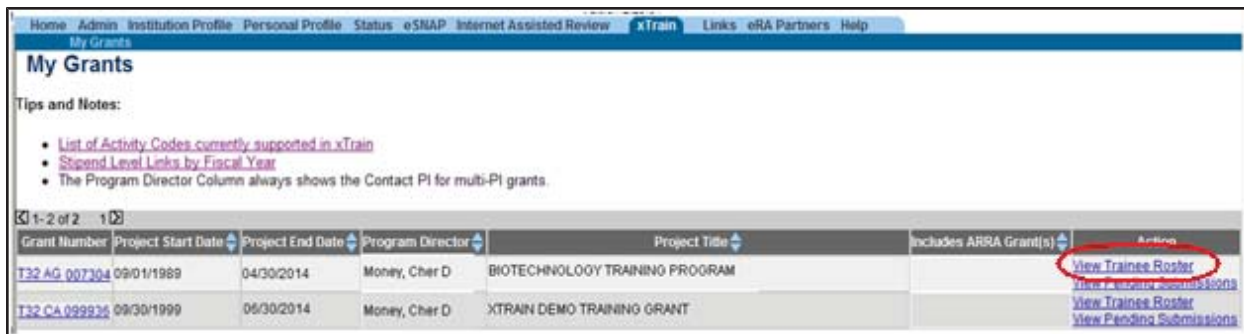
Figure 122: My Grants Screen Displaying View Trainee Roster Hyperlink

2. Make a selection from the drop down and click the **Go** button.
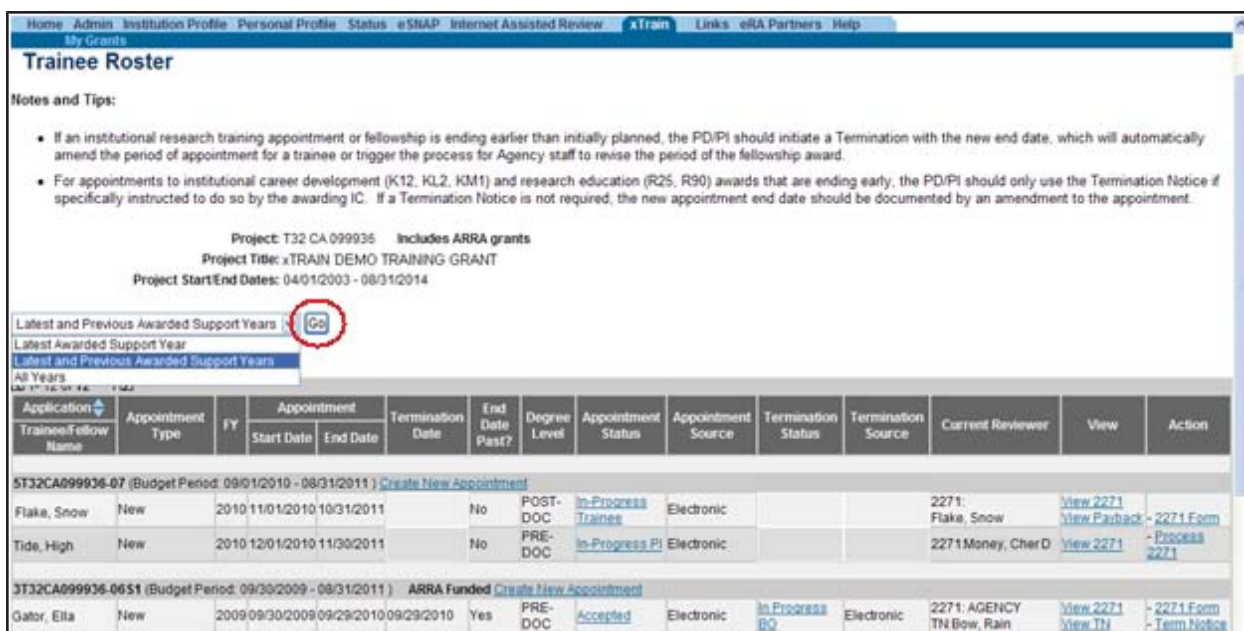
Figure 123: Trainee Roster Screen

9.6.1 Trainee Roster Fields

The following are the possible descriptors that can be shown for each of the fields in the Trainee Roster.

(1) Appointment Type:

- New
- Reappointment
- Amendment

(2) Appointment Status:

- Pending Agency Review
- On Hold by Agency
- On Hold by Agency – Waiting Paper Signature
- In Progress PI
- In Progress Trainee
- In Progress BO

(3) Appointment Source:

- Paper
- Electronic

(4) Termination Status:

- In Progress PI
- In Progress Trainee
- In Progress BO
- Pending Agency Review
- On Hold by Agency
- On Hold by Agency – Awaiting Award Revision (for Fellowships only)
- Accepted (When the termination status is "Accepted," the appointment status is "Terminated.")

(5) View:

- View 2271
- View TN
- View Payback

(6) Action:

- Process 2271
- 2271 Form
- Amend 2271
- Initiate TN
- Process TN
- Reappoint 2271 (This only appears when there is an awarded future year for the grant to which the Trainee has not already been appointed.)

Application ⬍ Trainee/Fellow Name	Appointment Type	FY	Appointment		Termination Date	End Date Past?	Degree Level	Appointment Status	Appointment Source	Termination Status	Termination Source	Current Reviewer	View	Action
			Start Date	End Date										
5T32CA099936-07 (Budget Period: 09/01/2010 - 08/31/2011) Create New Appointment														
Flake, Snow	New	2010	11/01/2010	10/31/2011		No	POST-DOC	In-Progress Trainee	Electronic			2271: Flake, Snow	View 2271 View Payback	- 2271 Form
Tide, High	New	2010	12/01/2010	11/30/2011		No	PRE-DOC	In-Progress PI	Electronic			2271 Money, Cher D	View 2271	- Process 2271
3T32CA099936-06S1 (Budget Period: 09/30/2009 - 08/31/2011) ARRA Funded Create New Appointment														
Gator, Ella	New	2009	09/30/2009	09/29/2010	09/29/2010	Yes	PRE-DOC	Accepted	Electronic	In Progress BO	Electronic	2271: AGENCY TN:Bow, Rain	View 2271 View TN	- 2271 Form - Term Notice

Figure 124: Trainee Roster Fields

10 Email Messages

10.1 Email Reminders for Time Based xTrain Activities

The following email reminders will be sent to facilitate time based xTrain activities.

10.1.1 Email Reminder to Fellow (PI), Sponsor, Sponsor Delegate, and BO—30 Days Before Fellowship End Date

The system sends an email to the Fellow (PI), the Sponsor, Sponsor Delegate, and the BO if the Fellowship End Date is within 30 days and the Fellowship is not yet terminated and the email has not yet been sent for this Fellowship.

10.1.2 Email Reminder to Fellow (PI), Sponsor, Sponsor Delegate and BO—Fellowship End Date has Passed

The system sends an email to the Fellow (PI), the Sponsor, Sponsor Delegate, and the BO if the Fellowship End Date has passed and the Fellowship is not yet terminated and the email has not yet been sent for this Fellowship.

10.1.3 Email Reminder to Fellow (PI), Sponsor, Sponsor Delegate and BO—Fellowship End Date has Passed 30 Days Ago

The system sends an email to the Fellow (PI), the Sponsor, Sponsor Delegate, and the BO if the Fellowship End Date has passed 30 days ago and the Fellowship is not yet terminated and the email has not yet been sent for this Fellowship.

NOTE: The system sends one consolidated email if multiple records are found that meet the above mentioned conditions.

10.2 Email Notifications to Manage the Termination Process for Fellowships

The following email notifications will be sent in the process of managing Fellowship Termination Notices.

10.2.1 Fellowship TN Routed to Sponsor

The system sends an email to the Sponsor and the Sponsor Delegate anytime the Termination Notice requires more processing.

10.2.2 Fellowship TN is on Hold Awaiting Award Revision

The system sends an email to the BO and the IC Central Mailbox anytime the termination date is modified in xTrain and the award has not yet been modified with the new date.

10.2.3 Fellowship TN Routed to Fellow (PI)

The system sends an email to the Fellow (PI) anytime the Termination Notice requires more processing.

10.2.4 Fellowship TN Submitted to Agency

The system sends an email to the Fellow (PI), Sponsor, and Sponsor Delegate anytime a Termination Notice is submitted to the Agency.

10.2.5 Fellowship TN Routed to BO

The system sends an email to the BO anytime a Termination Notice requires more processing.

10.2.6 Fellowship TN Accepted by Agency

The system sends an email to the Fellow (PI), BO, Sponsor, and Sponsor Delegate anytime a Termination Notice is accepted by the Agency.

10.2.7 Fellowship TN Rejected by Agency

The system sends an email to the Fellow (PI), BO, Sponsor, and Sponsor Delegate anytime a Termination Notice is rejected by the Agency.

10.2.8 Fellowship TN Recalled

The system sends an email to the Fellow (PI), BO, Sponsor, and Sponsor Delegate anytime a Termination Notice is recalled.

10.2.9 Fellowship TN Deleted Email

The system sends an email to the Fellow (PI), BO, Sponsor, and Sponsor Delegate anytime a Termination Notice is deleted.

11 Getting Help

Additional xTrain information, including Quick Reference Sheets, Animated Online Tutorials, and PowerPoint Presentations, can be found on the Training and Career Development Support Page at http://era.nih.gov/training_career/index.cfm.

Users may also request assistance from the eRA Commons Help Desk:

eRA Commons Help Desk
Web: http://ithelpdesk.nih.gov/eRA/ (Preferred method of contact)
Toll-free: 1-866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939
Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

11.0.1 Hyperlinks of Interest:

eRA Commons:

https://commons.era.nih.gov/commons/

eRA Web Site:

http://era.nih.gov

xTrain Web Page:

(Application Launch, Quick Reference sheets, FAQs, Training Materials)

http://era.nih.gov/era_training/xtrain.cfm

Ruth L. Kirschstein National Research Service Award Page:

(Policy Information, Stipend Levels, FAQs)

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

NIH Forms & Applications:

http://grants.nih.gov/grants/forms.htm

12 Appendix A – Statement of Appointment (Form PHS 2271)

U.S. Department of Health and Human Services

Public Health Service

Information and Instructions for Completing

Statement of Appointment (Form PHS 2271)

The Public Health Service (PHS) estimates that it will take 15 minutes to complete this form. This includes time for reviewing the instructions, gathering needed information, and completing and reviewing the form. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. If you have comments regarding the amount of time it takes to complete this form or any other aspects of this collection of information, including suggestions for reducing this burden, send comments to: NIH, Project Clearance Office, 6705 Rockledge Drive MSC 7974, Bethesda, MD 20592-7974, ATTN: PRA (0925-0001). **Do not return the completed form to this address.**

I. INTRODUCTION

This form is to be used to appoint individuals as trainees to institutional Ruth L. Kirschstein-National Service Research Award (Kirschstein-NRSA) programs (e.g., T32, T34, T35) and applicable non-NRSA institutional research training programs (e.g., T15). It can also be used to document the appointment of scholars to institutional career development awards (e.g., K12) and individual participants to research education awards (e.g., R25).

Please read carefully the following instructions, including the Privacy Act Statement at the end of this document. All items on the form must be completed unless otherwise indicated in these instructions.

II. GENERAL INSTRUCTIONS

A. Definitions:

Types of Awards

Kirschstein-NRSA. Awards that provide undergraduate, predoctoral, and postdoctoral research training support under the authority of Section 487 of the PHS Act (42 USC 288). All Kirschstein-NRSA trainees must meet specific citizenship requirements – for details, see Item 8.

Non-NRSA Research Training. Awards that provide predoctoral and postdoctoral research training support through non-NRSA funding authorities. These training programs generally do not have the same provisions and requirements as Kirschstein-NRSA awards (e.g., specific citizenship requirements).

Career Development. Awards that provide doctoral-level investigators an opportunity to enhance their research careers. Individuals appointed to institutional career development awards must meet specific citizenship requirements—for details, see Item 8.

Research Education. Awards that provide support for programs intended to attract investigators to a specific field of study. Individuals appointed to research education award

PHS 2271 (Rev. 06/09) — Instructions

Figure 125: Statement of Appointment (Form PHS 2271) Instructions

programs may or may not be subject to specific citizenship requirements—for details, see Item 8.

Types of Appointments

Trainee. A person appointed to and supported by an institutional Kirschstein-NRSA or non-NRSA research training award.

Scholar. A person appointed to and supported by an institutional career development award.

Participant. A person appointed to and supported by a research education award.

B. Application

A "Statement of Appointment" form covers the support of an individual for a particular budget period and is required for each new appointment, reappointment, or amended appointment of an individual receiving stipend, tuition costs, or travel expenses as a trainee under a Kirschstein-NRSA or other applicable PHS institutional training grant. This form may also be used to document the salary and other support provided to an individual as a scholar or participant under a career development or research education program award in which the institution selects and appoints the individual. The form (which is signed by both the individual and the Program Director) must be completed and submitted to PHS at the time the individual starts the appointment or reappointment, or, in the case of an amendment, as soon as the change occurs. If there are multiple Program Directors on the award, the contact PD should sign.

For **new** postdoctoral trainees appointed to Kirschstein-NRSA institutional grants, a signed and dated payback agreement must be submitted with this appointment form before a stipend or other allowance may be paid.

C. Submission

The original should be sent to the awarding component. A copy should also be given to the trainee, scholar, or participant, the Program Director, and Business Official.

III. ITEM-BY-ITEM INSTRUCTIONS

Item 1. PHS Grant Number. Insert the entire PHS Grant Number as shown on the particular Notice of Grant Award from which funds are provided, e.g., 5 T32 GM12453-03 would be listed as
Type: 5; Activity Code: T32; ID Serial Number: GM12453-03.

Item 2. Trainee/Scholar/Participant Name. Include maiden name or other names in parentheses where applicable.

Item 3. Sex. Self-explanatory.

Item 4. Type of Action.

New Appointment: When an individual has not been previously supported by this training grant.

Reappointment: When an individual was supported by this grant during a previous budget period, the appointment covered by this form is designated a reappointment. Skip the shaded items if the information provided will be the same as that reported during the prior budget period. Always complete the non-shaded items.

Amendment: "Amendment" pertains only to a change of item 2 (Name); 9 (Permanent Mailing Address); 15 (Appointment Period); or 20 (Support from this Grant) during a period of appointment for which a "Statement of Appointment" form has already been submitted. Amendments must be submitted as soon as the change occurs. Complete only items 1, 2, 4, 6, 22, 23, and the item(s) to be amended.

PHS 2271 (Rev. 06/09) — Instructions

Figure 126: Statement of Appointment (Form PHS 2271) Instructions - continued

Item 5. Prior NRSA Support. Individuals being appointed to a Kirschstein-NRSA institutional grant for the first time or being reappointed after a break in support must indicate if they have received prior Kirschstein-NRSA support from either an individual award or institutional grant. If yes, specify on the form the dates of support, the level (pre- or post-), the mechanism (individual award or institutional grant), and the grant number, if known. (See the Program Guidelines for limitations on total period of support.)

Item 6. Social Security Number. Trainees/scholars/participants are asked to voluntarily provide the last four digits of their Social Security Numbers. This information provides the agency with vital information necessary for accurate identification and review of appointments and for management of PHS grant programs. See the Privacy Act Statement at the end of these instructions for further information concerning this request.

Item 7. Birthdate. Self-explanatory.

Item 8. Citizenship. Check the box corresponding to the trainee's, scholar's, or participant's citizenship and visa status. If not a U.S. citizen, list the country of citizenship.

A **noncitizen national** is an individual who, although not a citizen of the United States, owes permanent allegiance to the United States. Individuals in this category are generally born in lands which are not States, but which are under U.S. sovereignty, jurisdiction, or administration (e.g., American Samoa).

Kirschstein-NRSA trainees and institutional career development scholars must be U.S. citizens, non-citizen nationals, or permanent residents of the United States. Individuals on temporary or student visas are not eligible. Trainees or scholars in these programs who are permanent residents of the U.S. must submit a notary's signed statement with this appointment form certifying that they have (1) a Permanent Resident Card (USCIS Form I-551), or (2) other legal verification of such status.

Trainees in non-NRSA research training programs and participants in research education award programs should consult the applicable Funding Opportunity Announcement (FOA) for citizenship requirements.

Item 9. Permanent Mailing Address. Give an address where the appointed individual can be reached by mail **after** completion of the program. (Do not give present address unless it is considered permanent as defined above.)

Items 10-13. Race/Ethnicity/Disability/Disadvantaged Background. Responses to these items will help provide statistical information on the participation of individuals from diverse groups in Public Health Service (PHS) programs and identify inequities in terms of recruitment and retention based on race, ethnicity, disability and/or disadvantaged background.

Trainees, scholars, and participants are strongly encouraged to provide this information, however declining to do so will in no way affect their appointments.

This information will be retained by the PHS in accordance with and protected by the Privacy Act of 1974. Racial/ethnic/disability/background data are confidential and all analyses utilizing the data will report aggregate statistical findings only and will not identify individuals. (See the Privacy Act Statement at the end of these instructions for more information.)

10. Are you Hispanic (or Latino)?

Hispanic or Latino: A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term, "Spanish origin," can be used in addition to "Hispanic or Latino".

PHS 2271 (Rev. 06/09) — Instructions

Figure 127: Statement of Appointment (Form PHS 2271) - continued

11. What is your racial background?
Check one or more.

American Indian or Alaska Native. A person having origins in any of the original peoples of North, Central, or South America and maintains tribal affiliation or community.

Asian. A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American. A person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black or African American."

Native Hawaiian or Other Pacific Islander. A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

White. A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

12. Do you have a disability?

Disability: A physical or mental impairment that substantially limits one or more major life activities.

13. Are you from a disadvantaged background?

Disadvantaged Background: An individual is considered to be from a disadvantaged background if he or she:

1. Comes from a family with an annual income below established low-income thresholds, published by the U.S. Bureau of the Census; adjusted annually for changes in the Consumer Price Index; and adjusted by the Secretary for use in all health professions programs. The Secretary periodically publishes these income levels at http://aspe.hhs.gov/poverty/index.shtml. Individuals falling in this category must have qualified for Federal disadvantaged assistance or have received Health Professional Student Loans (HPSL), Loans for Disadvantaged Student Program, or scholarships from the U.S. Department of Health and Human Services under the Scholarship for Individuals with Exceptional Financial Need.

2. Comes from a social, cultural, or educational environment, such as that found in certain rural or inner-city environments, that has demonstrably and recently directly inhibited the acquisition of the knowledge, skills, and abilities necessary to develop and participate in a research career. This category is most applicable to high school and perhaps undergraduate students, but more difficult to justify for individuals beyond that level of achievement.

Item 14. Field of Training (FOT). Provide a single numeric FOT code from the list below that best fits the research training that will be provided during the appointment. Use the subcode (nonbold lowercase) unless the broader category (bold uppercase) fits best.

PHS 2271 (Rev. 06/09) — Instructions

Figure 128: Statement of Appointment (Form PHS 2271) - continued

1000 I. Predominantly Non-Clinical or Lab-Based Research Training

1100 BIOCHEMISTRY
1110 Biological Chemistry
1120 Bioenergetics
1130 Enzymology
1140 Metabolism

1200 BIOENGINEERING
1210 Bioelectric/Biomagnetic
1220 Biomaterials
1230 Biomechanical Engineering
1240 Imaging
1250 Instrumentation and Devices
1260 Mathematical Modeling
1270 Medical Implant Science
1280 Nanotechnology
1290 Rehabilitation Engineering
1310 Tissue Engineering

1400 BIOPHYSICS
1410 Kinetics
1420 Spectroscopy
1430 Structural Biology
1440 Theoretical Biophysics

1500 BIOTECHNOLOGY
1510 Applied Molecular Biology
1520 Bioprocessing and Fermentation
1530 Metabolic Engineering

1600 CELL AND DEVELOPMENTAL BIOLOGY
1610 Cell Biology
1620 Developmental Biology

1700 CHEMISTRY
1710 Analytical Chemistry
1720 Bioinorganic Chemistry
1730 Bioorganic Chemistry
1740 Biophysical Chemistry
1750 Medicinal Chemistry
1760 Physical Chemistry
1770 Synthetic Chemistry

1900 ENVIRONMENTAL SCIENCES

2000 GENETICS
2010 Behavioral Genetics
2020 Developmental Genetics
2030 Genetic Epidemiology
2040 Genetics of Aging
2050 Genomics
2060 Human Genetics
2070 Molecular Genetics
2080 Population Genetics

2200 IMMUNOLOGY
2210 Asthma and Allergic Mechanisms
2220 Autoimmunity
2230 Immunodeficiency
2240 Immunogenetics
2250 Immunopathology
2260 Immunoregulation
2270 Inflammation
2280 Structural Immunology
2290 Transplantation Biology
2310 Vaccine Development

2400 MICROBIOLOGY AND INFECTIOUS DISEASES
2410 Bacteriology
2420 Etiology
2430 HIV/AIDS
2440 Mycology
2450 Parasitology
2460 Pathogenesis of Infectious Diseases
2470 Virology

2600 MOLECULAR BIOLOGY

2800 NEUROSCIENCE
2810 Behavioral Neuroscience
2820 Cellular neuroscience
2830 Cognitive neuroscience
2840 Communication Neuroscience
2850 Computational Neuroscience
2860 Developmental Neuroscience
2870 Molecular Neuroscience
2880 Neurochemistry
2890 Neurodegeneration
2910 Neuropharmacology
2920 Systems/Integrative Neuroscience

3100 NUTRITIONAL SCIENCES

3200 PHARMACOLOGY
3210 Molecular Pharmacology
3220 Pharmacodynamics
3230 Pharmacogenetics
3240 Toxicology

3300 PHYSIOLOGY
3310 Aging
3320 Anesthesiology (basic science)
3330 Endocrinology (basic science)
3340 Exercise Physiology (basic science)
3350 Integrative Biology
3360 Molecular Medicine
3370 Physiological Optics
3380 Reproductive Physiology

3500 PLANT BIOLOGY

3600 PSYCHOLOGY, NON-CLINICAL
3610 Behavioral Communication Sciences
3620 Behavioral Medicine (non-clinical)
3630 Cognitive Psychology
3640 Developmental and Child Psychology
3650 Experimental & General Psychology
3660 Mind-Body Studies
3680 Neuropsychology
3690 Personality and Emotion
3710 Physiological Psychology & Psychobiology
3720 Psychology of Aging
3730 Psychometrics
3740 Psychophysics
3750 Social Psychology

3900 PUBLIC HEALTH
3910 Disease Prevention and Control
3920 Epidemiology
3930 Health Economics
3940 Health Education
3950 Health Policy Research
3960 Health Services Research
3970 Occupational and Environmental Health

4100 RADIATION, NON-CLINICAL
4110 Nuclear Chemistry
4120 Radiation Physics
4130 Radiobiology

4200 SOCIAL SCIENCES
4210 Anthropology
4220 Bioethics
4230 Demography & Population Studies
4240 Economics
4250 Education
4260 Language and Linguistics
4270 Sociology

4400 STATISTICS AND/OR RESEARCH METHODS AND/OR INFORMATICS
4410 Biostatistics and/or Biometry
4420 Bioinformatics
4430 Computational Science
4440 Information Science
4450 Clinical Trials Methodology

4600 TRAUMA, NON CLINICAL

5000 OTHER, Predominantly Non-Clinical or Lab-Based Research Training

6000 II. Predominantly Clinical Research Training (can include any degree)

6100 ALLIED HEALTH
6110 Audiology
6120 Community Psychology
6130 Exercise Physiology (clinical)
6140 Medical Genetics
6150 Occupational Health
6160 Palliative Care
6170 Physical Therapy
6180 Pharmacy
6190 Social Work
6210 Speech-language Pathology
6211 Rehabilitation

6400 DENTISTRY

6500 CLINICAL DISCIPLINES
6510 Allergy
6520 Anesthesiology
6530 Behavioral Medicine (clinical)
6540 Cardiovascular Diseases
6550 Clinical Laboratory Medicine
6560 Clinical Nutrition
6570 Clinical Pharmacology
6580 Complementary and Alternative Medicine
6590 Clinical Psychology
6610 Connective Tissue Diseases
6620 Dermatology
6630 Diabetes
6640 Gastroenterology
6650 Endocrinology
6660 Immunology

PHS 2271 (Rev. 06/09) — Instructions

Figure 129: Statement of Appointment (Form PHS 2271) - continued

6670	Gene Therapy (clinical)	6910	Oncology	7300	PEDIATRIC DISCIPLINES
6680	Geriatrics	6920	Orthopedics	7310	Pediatric Endocrinology
6690	Hematology	6930	Otorhinolaryngology	7320	Pediatric Hematology
6710	HIV/AIDS	6940	Preventive Medicine	7330	Pediatric Oncology
6820	Infectious Diseases	6950	Radiation, Interventional	7340	Pediatric, Prematurity & Newborn
6830	Liver Diseases	6960	Pulmonary Diseases		
6840	Metabolic Diseases	6970	Radiology, Diagnostic	7500	NURSING
6850	Nephrology	6980	Rehabilitation Medicine		
6860	Neurology	6990	Psychiatry	7700	VETERINARY MEDICINE
6870	Ophthalmology	7110	Surgery		
6880	Nuclear Medicine	7120	Trauma	8000	OTHER, Predominantly Clinical Research Training
6890	OB-GYN	7130	Urology		

Item 15. Period of this Appointment. The period shown in most cases will be 12 months. Appointment periods may exceed 12 months in rare cases and only with prior approval from the PHS. The amount of the stipend/salary and tuition for each full period of appointment must be obligated from funds available at the time the appointment begins, unless other arrangements have been made with PHS.

Other instructions should be requested where institutional accounting practice precludes obligations of stipend/salary and tuition in the amount required for the full appointment period.

Item 16. Education. List undergraduate, master's, and doctoral degrees and the month and year earned.

Item 17. Specialty Boards. If applicable, select a specialty from the attached list. If not applicable, indicate N/A.

Items 18-19. Degrees Sought. Provide the degree sought under the award. Indicate whether the appointee is in a dual degree program (e.g., M.D./Ph.D.).

Include the date that all degree requirements are expected to be completed.

Item 20. Support for Period of Appointment. Indicate the total amount the appointee expects to receive from the grant during the appointment period. For trainees, provide stipend amount, tuition/fees, and travel. For career development scholars and research education award participants, report only the salary or subsistence allowance to be received from the grant, on the line for stipend/salary/other compensation.

Item 21. Statement of Nondelinquency on U.S. Federal Debt. A "Statement of Nondelinquency on Federal Debt" is required for each particular appointment period and is to be completed by each individual (trainee) appointed to receive financial support under a PHS institutional training grant.

If the prospective trainee is delinquent on Federal debt, the PHS must review the explanation required to be provided on, or attached to, the form. In such case the PHS shall (a) take such information into account when determining whether the prospective trainee is responsible with respect to that appointment, and (b) consider not approving the appointment until payment is made or satisfactory arrangements are made with the agency to whom the debt is owed.

Therefore, it may be necessary for the PHS to contact the prospective trainee before the appointment can be approved to confirm the status of the debt and ascertain the payment arrangements for its liquidation. Individuals failing to liquidate indebtedness to the Federal Government in a businesslike manner place themselves at risk of not receiving PHS financial assistance.

PHS 2271 (Rev. 06/09) — Instructions

Figure 130: Statement of Appointment (Form PHS 2271) - continued

The PHS awarding component shall notify the sponsoring institution in writing of its decision regarding the approval of a prospective appointee where this form discloses delinquency on Federal debt.

The trainee must check the appropriate box. If the "Yes" box is checked, please provide an explanation in the space provided. The question applies only to the person requesting financial assistance, and does not apply to the person who signs the form as the Program Director.

Examples of Federal Debt include delinquent taxes, audit disallowances, guaranteed or direct student loans, FHA loans, business loans, and other miscellaneous administrative debts. For purposes of this certification, the following definitions of "delinquency" apply:

• For direct loans and fellowships (whether awarded directly to the applicant by the Federal Government or by an institution using Federal funds), a debt more than 31 days past due on a scheduled financial payment. (This definition excludes service payback under a National Research Service Award.)

• For guaranteed and insured loans, recipients of a loan guaranteed by the Federal Government that the Federal Government has repurchased from a lender because the borrower breached the loan agreement and is in default.

• For grants, organizations in receipt of a "Notice of Grants Cost Disallowance" which have not repaid the disallowed amount or which have not resolved the disallowance. (This definition excludes disallowance in an "appeal" status.)

Item 22. Certification and Signature of Appointee. Self-explanatory.

Item 23. Certification, Signature, and Address of Program Director. Self-explanatory.

PHS 2271 (Rev. 06/09) — Instructions

Figure 131: Statement of Appointment (Form PHS 2271) – continued

Form Approved Through 06/30/2012
OMB No. 0925-0001

Department of Health and Human Services
Public Health Services
Statement of Appointment
(Please Type)

Follow attached instructions carefully. Submit this form at the time the individual is appointed, is reappointed, or the reported appointment is amended. Return this form to the PHS awarding component. For new postdoctoral trainees under NRSA, signed and dated payback agreement **must** accompany this form.

1. PHS GRANT NUMBER			2. APPOINTEE'S NAME *(Last, first, initial)*	3. SEX
Type	Activity	ID Serial No.		☐ M ☐ F

4. TYPE OF ACTION *(Check only one type)*

☐ NEW appointment (NOT previously supported by this grant)
☐ REAPPOINTMENT (Previously supported by this grant)
☐ AMENDMENT of items checked: ☐ 2 ☐ 9 ☐ 15 ☐ 20

5. PRIOR NRSA SUPPORT *(Individual or institutional)*

☐ NO ☐ YES (If "Yes," see instructions)

6. SOCIAL SECURITY NO.
XXX-XX-

7. BIRTHDATE *(Month, day, year)*

8. CITIZENSHIP *(See instructions)*

☐ U.S. Citizen or Noncitizen National

Non-U.S. Citizen

☐ With a Permanent U.S. Resident Visa ("Green Card")
☐ With a Temporary U.S. Visa

If not a U.S. citizen, of which country are you a citizen?

9. PERMANENT MAILING ADDRESS

E-mail

10. Are you Hispanic (or Latino)?   ☐ YES ☐ NO ☐ Do Not Wish to Provide

11. What is your racial background? *Check one or more*

☐ American Indian or Alaska Native
☐ Native Hawaiian or other Pacific Islander
☐ Asian
☐ Black or African American
☐ White
☐ Do Not Wish to Provide

12. Do you have a disability?

☐ YES ☐ NO ☐ Do Not Wish to Provide

If yes, which of the following categories describe your disability(ies):

☐ Hearing   ☐ Mobility/Orthopedic Impairment
☐ Visual   ☐ Other

13. Are you from a disadvantaged background?

☐ YES ☐ NO ☐ Do Not Wish to Provide

14. FIELD OF RESEARCH TRAINING OR CAREER DEVELOPMENT *(for this appointment)*

Enter a 4 digit code from instructions:

15. PERIOD OF APPOINTMENT *(Month, day, year)*

From: To:

16. EDUCATION – AFTER HIGH SCHOOL *(Indicate all academic and professional education. For foreign degrees, give U.S. equivalent.)*

(a) Name of Institution and Location (List most recent first)	(b) Degree(s) Received		(c) Major Field	(d) Minor Field
	Degree	Mo./Yr.		
				Minor field degree 1

PHS 2271 (Rev. 06/09)   Page 1 of 2

Figure 132: Statement of Appointment Form 2271 - Page One

17. NAME OF SPECIALTY BOARDS (if applicable)

18. DEGREE(S) SOUGHT ☐ YES ☐ NO

If yes, indicate type of degree

Are you in a dual degree program (e.g., M.D./Ph.D.)? ☐ YES ☐ NO

19. EXPECTED COMPLETION DATE OF DEGREE REQUIREMENTS (if applicable)

20. SUPPORT FOR PERIOD OF APPOINTMENT

TYPE	Total for this Grant (Omit cents)
Stipend / Salary / Other Compensation	$
Tuition/fees (estimated)	$
Travel (estimated)	$
TOTAL	$

21. STATEMENT OF NONDELINQUENCY ON U.S. FEDERAL DEBT. Is the appointee delinquent on the repayment of any U.S. Federal debt(s)?

☐ NO ☐ YES (If "Yes," please explain below.)

	(a) SIGNATURE OF APPOINTEE	(b) DATE
22. CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true and complete to the best of my knowledge and that I will comply with all applicable Public Health Service terms and conditions governing my appointment. I am aware that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.		
	(a) SIGNATURE OF PROGRAM DIRECTOR	(b) DATE
23. This individual is qualified for this program and is eligible to receive financial support for the period specified above. A copy of this appointment form will be given to the individual.		

(c) TYPED NAME OF PROGRAM DIRECTOR

(d) INSTITUTION'S NAME, ADDRESS, AND PHONE NO.
(Street, city, state, zip code)

PHS 2271 (Rev. 06/09)   Page 2 of 2

Figure 133: Statement of Appointment Form 2271 – Page Two

Privacy Act Statement

The PHS maintains application and grant records as part of a system of records as defined by the Privacy Act: 09-25-0112, Grants and Cooperative Agreements: Research, Research Training, Fellowship, and Construction Applications and Related Awards. The Privacy Act of 1974 (5 USC 522a) allows disclosures for "routine uses" and permissible disclosures.

Some routine uses may be:

1. To the cognizant audit agency for auditing.

2. To a Congressional office from a record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

3. To qualified experts, not within the definition of DHHS employees as prescribed in DHHS regulations (45 CFR 5b.2) for opinions as part of the application review process.

4. To a Federal agency, in response to its request, in connection with the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter;

5. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records.

6. To the sponsoring organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.

7. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party.

    a. the DHHS, or any component thereof;

    b. any DHHS employee in his or her official capacity;

    c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or

    d. the United States or any agency thereof; where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

8. A record may also be disclosed for a research purpose, when the DHHS:

    a. has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

    b. has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

    c. has secured a written statement attesting to the recipient's understanding of; and willingness to abide by, these provisions; and

    d. has required the recipient to:

        (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record;

        (2) destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information; and

        (3) make no further use or disclosure of the record, except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the DHHS, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law.

The Privacy Act also authorizes discretionary disclosures where determined appropriate by the PHS, including to law enforcement agencies, to the Congress acting within its legislative authority, to the Bureau of the Census, to the National Archives, to the General Accounting Office, pursuant to a court order, or as required to be disclosed by the Freedom of Information Act of 1974(5 USC 552) and the associated DHHS regulations (45 CFR Part 5).

PHS 2271 (Rev. 06/09) — Privacy Act

Figure 134: Statement of Appointment Privacy Act

Specialty Boards

If applicable, select a single specialty or subspecialty to complete item 17. If more than one applies, select the one most closely related to the field of career development or research training for this appointment.

Allergy and Immunology
Allergy and Immunology

Anesthesiology
Anesthesiology (General)
Critical Care Medicine
Hospice and Palliative Medicine
Pain Medicine

Colon and Rectal Surgery
Colon and Rectal Surgery

Dermatology
Dermatology (General)
Clinical and Laboratory Dermatological
Dermatopathology
Immunology
Pediatric Dermatology

Dental
Dental Public Health
Endodontics
Oral and Maxillofacial Pathology
Oral and Maxillofacial Radiology
Oral and Maxillofacial Surgery
Orthodontics and Dentofacial
    Orthopedics
Pediatric Dentistry
Periodontics
Prosthodontics

Emergency Medicine
Emergency Medicine (General)
Hospice and Palliative Medicine
Medical Toxicology
Pediatric Emergency Medicine
Sports Medicine
Undersea and Hyperbaric Medicine

Family Medicine
Family Medicine (General)
Adolescent Medicine
Geriatric Medicine
Hospice and Palliative Medicine
Sleep Medicine
Sports Medicine

Internal Medicine
Internal Medicine (General)
Adolescent Medicine
Cardiovascular Disease
Clinical Cardiac Electrophysiology
Critical Care Medicine
Endocrinology, Diabetes and
    Metabolism
Gastroenterology
Geriatric Medicine
Hematology
Hospice and Palliative Medicine
Infectious Disease
Interventional Cardiology
Medical Oncology
Nephrology
Pulmonary Disease
Rheumatology

Sleep Medicine
Sports Medicine
Transplant Hepatology

Medical Genetics
Clinical Biochemical Genetics
Clinical Cytogenetics
Clinical Genetics (M.D.)
Clinical Molecular Genetics
Molecular Genetic Pathology
Ph.D. Medical Genetics

Neurological Surgery
Neurological Surgery

Nuclear Medicine
Nuclear Medicine

Nursing
Acute Care Nurse Practitioner
Adult Nurse Practitioner
Adult Psychiatric and Mental Health
    Nurse Practitioner
Advanced Clinical Diabetes
    Management, Clinical Nurse
    Specialist
Advanced Clinical Diabetes
    Management, Nurse Practitioner
Gerontological Nurse Practitioner
Clinical Nurse Specialist in Adult Health
    (formerly Medical-Surgical) Nursing
Clinical Nurse Specialist in Adult
    Psychiatric and Mental Health
    Nursing
Clinical Nurse Specialist in Child and
    Adolescent Psychiatric and Mental
    Health Nursing
Clinical Nurse Specialist in Home
    Health Nursing
Clinical Nurse Specialist in Pediatric
    Nursing
Clinical Nurse Specialist in
    Public/Community Health Nursing
Clinical Nurse Specialist in
    Gerontological Nursing
Family Nurse Practitioner
Family Psychiatric and Mental Health
    Nurse Practitioner
Pediatric Nurse Practitioner
School Nurse Practitioner

Obstetrics and Gynecology
Obstetrics and Gynecology (General)
Critical Care Medicine
Gynecologic Oncology
Hospice and Palliative Medicine
Maternal and Fetal Medicine
Reproductive Endocrinology/Infertility

Ophthalmology
Ophthalmology

Orthopaedic Surgery
Orthopaedic Surgery (General)
Orthopaedic Sports Medicine

Surgery of the Hand

Otolaryngology
Otolaryngology (General)
Neurotology
Pediatric Otolaryngology
Plastic Surgery Within the Head and
    Neck
Sleep Medicine

Pathology
Anatomic Pathology and Clinical
    Pathology (General)
Pathology-Anatomic (General)
Pathology-Clinical (General)
Blood Banking/Transfusion Medicine
Chemical Pathology
Cytopathology
Dermatopathology
Forensic Pathology
Hematology
Medical Microbiology
Molecular Genetic Pathology
Neuropathology
Pediatric Pathology

Pediatrics
Pediatrics (General)
Adolescent Medicine
Child Abuse Pediatrics
Developmental-Behavioral Pediatrics
Hospice and Palliative Medicine
Medical Toxicology
Neonatal-Perinatal Medicine
Neurodevelopmental Disabilities
Pediatric Cardiology
Pediatric Critical Care Medicine
Pediatric Emergency Medicine
Pediatric Endocrinology
Pediatric Gastroenterology
Pediatric Hematology-Oncology
Pediatric Infectious Diseases
Pediatric Nephrology
Pediatric Pulmonology
Pediatric Rheumatology
Pediatric Transplant Hepatology
Sleep Medicine
Sports Medicine

Physical Medicine and Rehabilitation
Physical Medicine and Rehabilitation
    (General)
Hospice and Palliative Medicine
Pain Medicine
Neuromuscular Medicine
Pediatric Rehabilitation Medicine
Spinal Cord Injury Medicine
Sports Medicine

Plastic Surgery
Plastic Surgery (General)
Plastic Surgery Within the Head and
    Neck
Surgery of the Hand

PHS 2271 (Rev. 06/09) — Attachment

Figure 135: Statement of Appointment Specialty Boards

Preventive Medicine
Aerospace Medicine
Medical Toxicology
Occupational Medicine
Public Health and General Preventive
   Medicine
Undersea and Hyperbaric Medicine

Psychiatry and Neurology
Neurology (General)
Psychiatry (General)
Addiction Psychiatry
Child and Adolescent Psychiatry
Clinical Neurophysiology
Forensic Psychiatry
Geriatric Psychiatry
Hospice and Palliative Medicine

Neurodevelopmental Disabilities
Neurology with Special Qualifications in
   Child Neurology
Neuromuscular Medicine
Pain Medicine
Psychosomatic Medicine
Sleep Medicine
Vascular Neurology

Radiology
Diagnostic Radiology
Hospice and Palliative Medicine
Neuroradiology
Nuclear Radiology
Pediatric Radiology
Radiation Oncology
Radiologic Physics

Vascular and Interventional Radiology

Surgery
Surgery (General)
Hospice and Palliative Medicine
Pediatric Surgery
Surgery of the Hand
Surgical Critical Care
Vascular Surgery

Thoracic Surgery
Thoracic Surgery

Urology
Urology (General)
Pediatric Urology

PHS 2271 (Rev. 06/09) — Attachment

Figure 136: Statement of Appointment Specialty Boards - continued

13 Appendix B – Termination Notice (Form 416-7)

Information and Instructions for Completing a Termination Notice

(Completed form should be mailed to the PHS awarding agency Grants Management Office named in the Notice of Award)

This form summarizes the information to be supplied by Ruth L. Kirschstein National Research Service Award (NRSA) recipients on termination of their award and for a limited period thereafter. This form may also be used to document the termination of appointments to non-NRSA institutional research training programs (e.g., T15), research education awards (e.g., R25), and institutional career development awards (e.g., K12). For non-NRSA recipients, please refer to specific guidance on documenting the termination of appointments in the Funding Opportunity Announcement, and in the terms and conditions of the Notice of Award.

ALL KIRSCHSTEIN–NRSA RECIPIENTS

(1) The attached Termination Notice (PHS 416-7) serves as the official record of your training under a Kirschstein–NRSA. This summary of work accomplished, support period, stipends received, and post-training activity is required of all recipients immediately after termination. After securing proper signatures, forward the completed form to the appropriate awarding office (National Institutes of Health (NIH) Institute or Center or Agency for Healthcare Research and Quality (AHRQ)). This form may be filled out online and then printed for submission.

(2) Because the sponsoring Federal agencies are asked periodically to review Kirschstein–NRSA program impact in terms of career choices, you may be contacted after the termination of this award, but no more frequently than once every 2 years, to determine how the training obtained has influenced your career.

KIRSCHSTEIN–NRSA POSTDOCTORAL RECIPIENTS WITH A PAYBACK OBLIGATION

(1) As specified in the Payback Agreement you signed at the time of award, biomedical or behavioral health-related research, health-related teaching, and/or health-related activities must begin within 2 years of terminating Kirschstein–NRSA support; otherwise, unless an extension of the 2 year service initiation period or a waiver of the obligation is granted, financial payback becomes due. Further details are given in the Payback Agreement and the National Research Service Awards section of the most recent version of the NIH Grants Policy Statement found at: http://grants.nih.gov/grants/policy/policy.htm. If you have any questions, contact the awarding office that supported your training.

(2) To record your payback status and service, you will receive from the sponsoring Federal agency an Annual Payback Activities Certification (APAC) (PHS 6031-1) form one year after your termination date and annually thereafter until your service obligation has been completed.

(3) You are required to keep the Federal funding agency informed of your current address and telephone number until your total payback obligation is satisfied. Report any change to the NRSA Payback Service Center, Office of Extramural Programs, National Institutes of Health, 6011 Executive Boulevard, Suite 206, MSC 7650, Bethesda, MD 20892-7650; (301) 594-1835; (866) 298-9371.

SPECIFIC INSTRUCTIONS FOR ITEMS ON THE TERMINATION NOTICE

(Item 1) Where applicable, include in parentheses any maiden name or other name used. This information is helpful in identifying past records and publications.

(Item 2) Provide the complete grant or award number of the budget period supporting your last year of research training, career development or education (e.g., 5 T32 GM 60654-08).

(Item 3) Self-explanatory.

(Item 4) The last four digits of your Social Security Number are requested under authority of the Public Health Service Act as amended (42 USC 288). This information provides the sponsoring Federal agency with vital information necessary for accurate identification and review of terminated appointments and fellowships and, where applicable, to establish and maintain an accurate payback record file. Providing this portion of your Social Security Number is voluntary and you will not be deprived of any Federal rights, benefits, or privileges for refusing to disclose it.

(Item 5) Include the degree(s) sought or earned during the period of support and the date all degree(s) requirements were (or will be) completed.

(Item 6) Self-explanatory.

(Item 7) **For Kirschstein-NRSA Awards Only** -- Provide information on your total Kirschstein–NRSA stipend support under the parent fellowship or training grant of which the number in Item 2 is a part. For domestic non-Federal institutions, the "Amount of Stipend" column must reflect the stipend only. Individual fellows sponsored by

PHS 416-7 (Rev. 6/09) Instructions

Figure 137: Termination Notice (Form 416-7) Instructions

(training at) Federal or foreign institutions must include all money paid directly to them by government check in the "Amount of Stipend" column. Note the stipend amount must reflect only the Kirschstein-NRSA stipend. Do not include any supplementation provided by other sources. Do **not** include any other NRSA-awarded costs such as tuition or institutional allowance.

(Item 8) Self-explanatory.

(Item 9a) Please mark a single box under each of the three categories that best describes your anticipated post-award position, activity, and the organization with which you will be affiliated.

(Items 9b and 9c) Provide post-award title, address, and phone number, if known.

(Item 10) **For Kirschstein-NRSA Awards Only** -- Provide an address where information regarding post-Kirschstein–NRSA training may be sent.

(Item 11) **For Kirschstein-NRSA Awards Only** -- Provide information on prior support from other Kirschstein–NRSA grants and awards and/or National Health Service Corps (NHSC) scholarships for which you still have a service obligation. If you are currently participating in the NIH Loan Repayment Program, check "LRP." This information will be used to develop a complete service obligation record.

(Item 12) In signing this form, I certify that the statements therein are true and complete to the best of my knowledge. Willful provision of false information is a criminal offense (U.S. Code, Title 18, Section 1001). I am

aware that any false, fictitious, or fraudulent statement may, in addition to other remedies available to the Government, subject me to civil penalties under the Program Fraud and Civil Remedies Act of 1986 (45 CFR Part 79). Also, if I have a payback obligation, I understand that payback service must begin within 2 years of terminating my Kirschstein–NRSA support; otherwise, financial payback becomes due, unless an extension of the 2-year service initiation period or a waiver of the obligation is granted. I also understand that if I fail to repay both principal and interest, the Federal Government will take authorized actions to collect the debt.

(Item 13) The sponsor of (for individual fellowship awards) or the contact Program Director (for an institutional award) must sign and date the form certifying that the research training information is correct.

(Item 14) **For Kirschstein-NRSA Awards Only** -- A business official of domestic non-Federal sponsoring institutions (with the knowledge and authority to verify this information) must certify that the information provided in Items 6 and 7 is correct according to institutional records.

NIH estimates that it will take 30 minutes to complete this form. This includes time for reviewing the instructions, gathering needed information, and completing and reviewing the form. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. If you have comments regarding this burden estimate or any other aspect of this burden, send comments to: NIH, Project Clearance Office, 6705 Rockledge Drive MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925- 0002). *DO NOT RETURN THE COMPLETED FORM TO THIS ADDRESS.*

PHS 416-7 (Rev. 6/09) Instructions

Figure 138: Termination Notice (Form 416-7) Instructions – continued

Form Approved Through 09/30/2011   OMB No. 0925-0002

| Department of Health and Human Services
Public Health Service
Ruth L. Kirschstein National Research Service Award
Termination Notice | 1. NAME OF FELLOW OR APPOINTEE (*Last, first, middle*) |
| | 2. GRANT NO. |

| 3. NAME OF SPONSORING INSTITUTION | 4. SOCIAL SECURITY NO.
XXX-XX- | 5. DEGREE(S) EARNED/ COMPLETION DATE(S) |

6. DATES OF SUPPORT UNDER THIS AWARD (Month, day, year):   FROM: TO:

7. TOTAL KIRSCHSTEIN-NRSA STIPEND RECEIVED AND NUMBER OF MONTHS SUPPORTED UNDER THIS AWARD (See specific instructions for Amount of Stipend)

YEAR OF SUPPORT	AMOUNT OF STIPEND	NUMBER OF Months	Days	YEAR OF SUPPORT	AMOUNT OF STIPEND	NUMBER OF Months	Days
1ST YEAR				5TH YEAR			
2ND YEAR				6TH YEAR			
3RD YEAR				7TH YEAR			
4TH YEAR				TOTALS			

8. Provide a summary of training received and research undertaken during fellowship or trainee tenure. List publications, if any, resulting from the research during this period. List grants and career awards pending and received. *If fellowship or training appointment is being terminated early, state reason.*

9a. POST-AWARD INFORMATION: Please mark a single box in each of the categories below.

Type of Position	Activity	Organization
☐ Student	☐ Further Education/Training	☐ Academic
☐ Resident/Clinical Fellow	☐ Teaching	☐ Industry
☐ Postdoctoral Researcher	☐ Research	☐ Government
☐ Research Scientist (non-faculty)	☐ Administration	☐ Hospital
☐ Faculty: Tenure-Track	☐ Clinical Practice	☐ Non-profit
☐ Faculty: Other	☐ Unknown	☐ Unknown
☐ Clinical Staff/Private Practice	☐ Other:	☐ Other:
☐ Unknown		
☐ Other:		

9b. POST-AWARD POSITION TITLE, FIELD, NAME OF ORGANIZATION, CITY, AND STATE

9c. TEL NO.

10a. MAILING ADDRESS AFTER TERMINATION OF THIS KIRSCHSTEIN-NRSA SUPPORT (Street, city, state, zip code)

10b. TEL NO.

E-MAIL:

11. OTHER PHS SERVICE OBLIGATION SUPPORT

☐ NHSC Scholarship: No of months:

☐ Kirschstein-NRSA: No. of months:

Period of support:

Grant No.:

☐ LRP

12. SIGNATURE OF FELLOW OR APPOINTEE (See specific instructions)   DATE

13. Certification of Sponsor or Program Director: that to the best of my knowledge all the above information is correct.

SIGNATURE	DATE	TYPED NAME OF SPONSOR OR PROGRAM DIRECTOR

14. Business Official's Verification of Items 6 and 7. (Not applicable to individual fellows at Federal or foreign institutions.)

SIGNATURE	DATE	TYPED NAME OF BUSINESS OFFICIAL	TEL:
			FAX:

15. *(For Government use only)* The information provided in Items 6 and 7 is in agreement with PHS records.

SIGNATURE	DATE	TYPED NAME AND AWARDING OFFICE

PHS 416-7 (Rev. 9/08)

Figure 139: Termination Notice Form 416-7

Privacy Act Statement

The Public Health Service requests this information pursuant to statutory authorities contained in Section 405(a) and 487 of the Public Health Service Act, as amended (42 USC 284(b)(1)C and 288), and other statutory authorities (42 USC 242(a), 280(b)(4), and 29 USC 670). The information collected will facilitate postaward management and evaluation of PHS programs. *Ruth L. Kirschtein National Research Service Awardees agreed to complete and submit this form as part of the Payback Agreement and Activation Notice signed when support started. Information on the period of support and stipend received will be used to verify and establish in the PHS the official record of the fellow's or trainee's payback obligation to the Federal government.* The social security number is requested to provide a reliable identifier that will assist in establishing an accurate and complete record for each individual. It is particularly useful in maintaining effective communication with those individuals who have incurred payback obligations through their participation in the Ruth L. Kirschstein National Research Service Award program. Failure to provide the social security number may seriously diminish PHS's capability to credit the account of the proper trainee who is fulfilling the payback requirement by either acceptable service and/or monetary repayment. Failure to provide the social security number will not be a basis for withholding benefits.

The PHS maintains application and grant records as part of a system of records as defined by the Privacy Act: 09-25-0036, "Extramural Awards and Chartered Advisory Committees." The Privacy Act of 1974 (5 USC 552a) allows disclosures for "routine uses" and permissible disclosures.

Routine uses include:

1. To the cognizant audit agency for auditing.

2. To a Congressional office from a record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

3. To qualified experts, not within the definition of DHHS employees as prescribed in DHHS regulations (45 CFR 5b.2) for opinions as part of the application review process.

4. To a Federal agency, in response to its request, in connection with the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

5. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records.

6. To the sponsoring organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.

7. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and

would help in the effective representation of the governmental party.

a. the DHHS, or any component thereof;

b. any DHHS employee in his or her official capacity;

c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or

d. the United States or any agency thereof, where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

8. A record may also be disclosed for a research purpose, when the DHHS:

a. has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

b. has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to privacy of the individual that additional exposure of the record might bring;

c. has secured a written statement attesting to the recipient's understanding of, and willingness to abide by, these provisions; and

d. has required the recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record;

(2) Remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information; and

(3) Make no further use or disclosure of the record, except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the DHHS, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law.

The Privacy Act also authorizes discretionary disclosures where determined appropriate by the PHS, including to law enforcement agencies, to the Congress acting within its legislative authority, to the Bureau of the Census, to the National Archives, to the General Accounting Office, pursuant to a court order, or as required to be disclosed by the Freedom of Information Act of 1974 (5 USC 552) and the associated DHHS regulations (45 CFR Part 5).

PHS 416-7 (Rev. 6/09) Privacy Act

Figure 140: Privacy Act Statement

14 Appendix C – Payback Agreement (Form PHS 6031)

Form Approved Through 06/30/2012

OMB No. 0925-0002

Ruth L. Kirschstein National Research Service Award
Payback Agreement

To be completed by Trainees and Fellows before beginning the first 12 months of <u>postdoctoral</u> support
(Completed form should be mailed to the awarding Federal Agency Grants Management Office named in the Notice of Award)

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

Introduction-Section 1602 of the NIH Revitalization Act of 1993, which was signed into law on June 10, 1993, contains provisions which substantially modify the service payback requirements for individuals receiving Ruth L. Kirschstein National Research Service Awards (NRSA). These modifications apply to individuals beginning Kirschstein–NRSA-supported appointments or fellowship awards on or after June 10, 1993. Under these requirements:

- Predoctoral Kirschstein-NRSA recipients will <u>not</u> incur a payback obligation;

- Postdoctoral Kirschstein-NRSA recipients will incur a payback obligation only during the initial 12 months of postdoctoral Kirschstein-NRSA support;

- Postdoctoral Kirschstein-NRSA recipients in the 13th or subsequent months of Kirschstein-NRSA support do <u>not</u> incur any additional payback obligation.

Under the new requirements, payback obligations stemming from postdoctoral Kirschstein–NRSA support may be discharged in the following ways:

- By receiving an equal period of postdoctoral Kirschstein-NRSA support beginning in the 13th month of such postdoctoral Kirschstein-NRSA support;

- By engaging in an equal period of health-related research, research training, and/or health-related activities that averages at least 20 hours per week based on a full work year;

- By engaging in an equal period of health-related teaching that averages at least 20 hours per week based on a full work year.

Kirschstein–NRSA appointments or individual awards will be governed by the service payback requirements articulated in the National Research Service Award Guidelines. These guidelines can be found in the NRSA portion of the most recent version of the NIH Grants Policy Statement found at: http://grants.nih.gov/grants/policy/policy.htm.

For additional questions regarding the Payback Agreement contact:

NRSA Payback Service Center
Phone: (301) 594-1835 or (866) 298-9371
nrsapaybackcenter@mail.nih.gov

I. SERVICE REQUIREMENT

In accepting a Ruth L. Kirschstein National Research Service Award to support my postdoctoral research training, I understand that my first 12 months of Kirschstein-NRSA support for postdoctoral research training carries with it a payback obligation. I hereby agree to engage in a month of health-related research, health-related research training, or health-related teaching for each month I receive Kirschstein-NRSA support for postdoctoral research training up to and including 12 months. If I receive Kirschstein-NRSA support for postdoctoral research training for more than 12 months, I agree that the 13th month and each subsequent month of Kirschstein-NRSA-supported postdoctoral research training will satisfy a month of my payback obligation incurred in the first 12 months. This service shall be initiated within 2 years after termination of Kirschstein-NRSA support. The research, teaching, and/or health-related activities shall be on a continuous basis and shall average at least 20 hours per week of a full work year. For information regarding deferral of the NRSA obligation due to participation in the NIH Loan Repayment Program see: http://www.lrp.nih.gov.

II. FINANCIAL PAYBACK PROVISIONS

I understand that if I fail to undertake or perform such service in accordance with Section I, the United States will be entitled to recover from me an amount determined in accordance with the following formula:

$$A = F\,[(t-s)/t]$$

Where "A" is the amount the United States is entitled to recover; "F" is the sum of the total amount paid to me under the initial 12 months of my postdoctoral Ruth L. Kirschstein National Research Service Award support; "t" is the total number of months in my service obligation; and "s" is the number of months of such obligation served.

Except as provided in Section III below, any amount the United States is entitled to recover from me shall be paid within the 3-year period beginning on the date the United States becomes entitled to recover such amount. The United States becomes entitled to recover such amount 2 years after termination of my Ruth L. Kirschstein National Research Service Award support if I do not engage in

PHS 6031 (Rev. 6/09) Page 1

Figure 141: Payback Agreement (Form PHS 6031)

acceptable service payback activities in accordance with Section I. If I elect to engage in financial repayment before the end of the 2-year period, the United States becomes entitled to recover such amount on the date of my election. Interest on the amount begins on the date the United States becomes entitled to recover such amount and is at the rate fixed by the Secretary of the Treasury after taking into consideration private consumer rates prevailing on that date. I understand that I will be allowed an initial 30-day interest-free period in which to fully pay such amount, and that I may prepay any outstanding balance after that period to avoid additional interest. I further understand that I will be subject to authorized debt collection action(s) (including any accrued interest and late fees) should I fail to comply with the payback provisions of this Section II.

III. CONDITIONS FOR BREAK IN SERVICE, WAIVER, AND CANCELLATION

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

A. May extend the period for undertaking service, permit breaks in service, or extend the period for repayment, if it is determine that:

1. Such an extension or break in service is necessary to complete my clinical training or to participate in a NIH Loan Repayment Program;
2. Completion would be impossible because of temporary disability; or
3. Completion would involve a substantial hardship and failure to extend such period would be against equity and good conscience;

B. May waive my obligation, in whole or in part, if it is determined that:

1. Fulfillment would be impossible because I am permanently and totally disabled; or
2. Fulfillment would involve a substantial hardship and the enforcement of such obligation would be against equity and good conscience;

C. Will, in the event of my death, cancel any obligation incurred under this payback agreement.

IV. TERMINATION NOTICE – ANNUAL REPORT OF EMPLOYMENT – CHANGE OF ADDRESS AND/OR NAME

I agree to complete and submit a Termination Notice (PHS 416-7) immediately upon completion of Kirschstein-NRSA support. Thereafter, on an annual basis I agree to complete and submit Annual Payback Activities Certification forms sent to me by the awarding Federal Agency concerning post-award activities, and agree to keep the awarding Federal Agency advised of any change of address and/or name until such time as my total obligation is fulfilled.

V. PROGRAM EVALUATION

I understand that I may also be contacted from time to time, but no more frequently than once every 2 years, after the termination of this award to determine how the training obtained has influenced my career. Any information thus obtained would be used only for statistical purposes and would not identify me individually.

VI. CERTIFICATION

By signing the certification block below, I certify that I have read and understood the requirements and provisions of this assurance and that I will abide by them if an award is made.

NIH estimates that it will take 5 minutes to complete this form. This includes time for reviewing the instructions, gathering needed information, and completing and reviewing the form. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. If you have comments regarding this burden estimate or any other aspect of this burden, send comments to: NIH, Project Clearance Office, 6705 Rockledge Drive MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0002). DO NOT RETURN THE COMPLETED FORM TO THIS ADDRESS.

Name (Last, first, middle):		Social Security No (Required): - -
Signature:		Date:
Support received under the awarding Federal agency Award/Grant Number:		
Mailing Address:	Enter mailing address	
E-mail:		

PHS 6031 (Rev. 6/09) Page 2

Figure 142: Payback Agreement (Form PHS 6031) – continued

Privacy Act Statement

The Public Health Service requests this information pursuant to statutory authorities contained in Section 405(a) and 487 of the Public Health Service Act, as amended (42 USC 284(b)(1)C and 288), and other statutory authorities (42 USC 242(a), 280(b)(4), and 29 USC 670). The information collected will assist in activating the award and facilitate postaward management and evaluation of PHS programs. Although providing the information is voluntary, an individual may not receive support from the grant until the form is submitted.

The PHS maintains application and grant records as part of a system of records as defined by the Privacy Act: 09-25-0036, "Extramural Awards and Chartered Advisory Committees." The Privacy Act of 1974 (5 USC 552a) allows disclosures for "routine uses" and permissible disclosures.

Routine uses include:

1. To the cognizant audit agency for auditing.

2. To a Congressional office from a record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

3. To qualified experts, not within the definition of DHHS employees as prescribed in DHHS regulations (45 CFR 5b.2) for opinions as part of the application review process.

4. To a Federal agency, in response to its request, in connection with the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

5. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records.

6. To the sponsoring organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.

7. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party.

    a. the DHHS, or any component thereof;

    b. any DHHS employee in his or her official capacity;

    c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or

    d. the United States or any agency thereof, where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

8. A record may also be disclosed for a research purpose, when the DHHS:

    a. has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

    b. has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to privacy of the individual that additional exposure of the record might bring;

    c. has secured a written statement attesting to the recipient's understanding of, and willingness to abide by, these provisions; and

    d. has required the recipient to:

    (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record;

    (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information; and

    (3) make no further use or disclosure of the record, except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the DHHS, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law.

The Privacy Act also authorizes discretionary disclosures where determined appropriate by the PHS, including to law enforcement agencies, to the Congress acting within its legislative authority, to the Bureau of the Census, to the National Archives, to the General Accounting Office, pursuant to a court order, or as required to be disclosed by the Freedom of Information Act of 1974 (5 USC 552) and the associated DHHS regulations (45 CFR Part 5).

PHS 6031 (Rev. 6/09) Privacy Act

Figure 143: Privacy Act Statement

15 Appendix D – Appointment Errors/Warnings Quick Reference

The table below identifies the circumstances (conditions) when errors or warnings occur, the error or warning message provided as a result, and the role of the individual who sees the message on the screen.

NOTE: When the internal user clicks the Validate button, the warnings will appear for that appointment. The errors will not be shown because the appointment cannot be submitted with errors.

#	Condition	Error or Warn-ing	Message	Role Receiving Message
	The Trainee Appointment Period specified exceeds 12 months.	Error	A Trainee Appointment cannot exceed 12 months without prior approval of the awarding agency. Please adjust the Start/End Date of the Appointment or contact the eRA Help Desk for further assistance.	PI
	The Start and End Dates of the New Appointment cannot be within the Start and End Date of the existing Appointment for the Trainee.	Error	There is another existing Appointment for the Trainee on the Grant # [Insert Grant # and the PI Name of the existing Appointment]. The Start and End Dates of the new Appointment cannot be within the Start and End Date of an existing Appointment for the Trainee.	PI
	The Appointment Start Date is not within the Budget Period year of the Associated Grant.	Error	The Trainee Appointment Start Date should occur within the Budget Period year of the associated grant.	PI

Table 3: Appointment Errors/Warnings Quick Reference

#	Condition	Error or Warn-ing	Message	Role Receiving Message
	The Appointment Start Date should be less than the Appointment End Date.	Error	The Appointment Start Date should be less than the Appointment End Date.	PI
	The Trainee Appointment End Date must be less than or equal to the Project Period End Date.	Warn-ing	The Trainee Appointment End Date must be less than or equal to the Project Period End Date.	PI
	If the Trainee Race, Gender, or Birth Date is not entered…	Error	The Trainee Race, Gender, and Birth Date must be entered. Where available, Do not wish to provide, can be used. The Trainee must enter this information on the Personal Profile screen in eRA Commons.	Trainee/P-I**
	If the Ethnicity and/or Disabilities are not entered…	Error	The Trainee Ethnicity and Disabilities must be entered. Where available, Do not wish to provide, can be used. The Trainee must enter this information on the Personal Profile screen in eRA Commons.	Trainee/P-I**
	If the Stipend/Salary amount is not entered or is entered but is zero or less. The R25 activity code can have zero stipend/salary.	Error	The Stipend/Salary amount must be entered and be greater than zero.	PI
	The citizenship indicator for Trainee Profile is not	Error	The Trainee's citizenship must be entered. The Trainee	Trainee/P-I**

Table 3: Appointment Errors/Warnings Quick Reference

#	Condition	Error or Warn-ing	Message	Role Receiving Message
	entered.		must enter this information on the Personal Profile screen in eRA Commons.	
	The grant does not have the activity code T34, the Stipend Level is not PRE-BAC, and the Trainee does not have at least one degree.	Error	At least one Trainee degree must be entered. The Trainee must enter this information on the Personal Profile screen in eRA Commons.	Trainee/P-I**
	The Appointment is for a Post-Doc or a Scholar and the Trainee does not have a PhD, MD or at least one equivalent degree.	Warn-ing	The Trainee has not entered a PhD, MD, or equivalent degree required for this Post-Doc or Scholar Appointment. The Trainee must enter this information on Personal Profile screen in eRA Commons.	Trainee/P-I*
	The Appointment is for a Pre-Doc and Trainee does not have Bachelor's degree or equivalent degree.	Warn-ing	The Trainee has not entered a Bachelor's degree or equivalent degree required for this Pre-Doc Appointment. The Trainee must enter this information on the Personal Profile screen in eRA Commons.	Trainee/P-I*
	The Pre-Doc is receiving more than five years of NRSA support.	Warn-ing	The Pre-Doc may not receive greater than five years of NRSA support without a waiver from the awarding agency.	PI
	The Post-Doc is receiving	Warn-	The Post-Doc may not	PI

Table 3: Appointment Errors/Warnings Quick Reference

#	Condition	Error or Warn-ing	Message	Role Receiving Message
	more than three years of NRSA support.	ing	receive greater than three years of NRSA support without a waiver from the awarding agency.	
	The Trainee profile indicates Federal Debt with no explanation provided.	Error	The Trainee has Federal Debt indicated in the Trainee-Specific section of their Personal Profile. An explanation for the Federal Debt must be provided.	Trainee
	If the Appointment Period (difference between Start and End Dates) is less than nine months and activity code is not T35…	Warn-ing	No Trainees may be appointed for less than nine months unless the Training grant was designated for short-term training positions or prior approval was granted by the awarding agency.	PI
	If Trainee Profile is missing a SSN…	Warn-ing	No SSN has been entered in the Trainee Personal Profile. The Trainees are asked to voluntarily provide their SSN information to aide in the processing of the Trainee Appointments by providing the agency with vital information necessary for accurate identification.	Trainee/P-I**
	For a new Appointment that has not previously been routed to the Trainee, if the PI tries to submit the 2271 Form to	Error	The Save & Submit function failed. The 2271 Form must be routed to the Trainee prior to submission to agency.	PI

Table 3: Appointment Errors/Warnings Quick Reference

#	Condition	Error or Warn-ing	Message	Role Receiving Message
	the agency.		NOTE: The Save & Route to Trainee button appears at the bottom of the screen after the PI invites or re-invites the Trainee to register in eRA Commons AND the Trainee follows the e-mailed registration instructions.	
	If the grant is aT35 and the number of months between the Appointment Start and End Dates is less than two months…	Warn-ing	If the grant Activity Type is T35 then the Appointment Period should not be less than two months.	Trainee/P-I**
	If the grant is a T35 and the number of months between Appointment Start and End Dates is more than three months…	Warn-ing	If the grant Activity Type is T35 then the appointment period should not exceed three months.	Trainee/P-I**
	The activity code for the grant is T34 and the Trainee has any type of degree.	Warn-ing	Because the Trainee has a degree, confirm the Trainee's eligibility for the T34 Appointment.	Trainee/P-I** This warning exists in xTrain only so there is no need for the Edit Checker validation procedure.

Table 3: Appointment Errors/Warnings Quick Reference

#	Condition	Error or Warning	Message	Role Receiving Message
	If the Appointment Period (difference between Start and End Dates) is less than eight weeks and the activity code is RL5, RL9, R90 or R25…	Error	For RL5, RL9, R90 and R25 activity codes, xTrain does not accept Appointments if the Appointment Period is less than eight weeks.	Trainee/P-I**
	For RL5, RL9, R90 and R25 activity codes, if the Non-Resident is selected on Trainee Personal Profile…	Warning	Please make sure you are following the FOA instructions regarding citizenship requirements.	Trainee/P-I**
	If the Appointment is for a Participant and no degree is specified…	Warning	No degree information has been entered on Personal Profile screen in eRA Commons.	Trainee/P-I**
	For RL5, RL9, R90 and R25 activity codes and the Field of Research Training (FOT) is not specified…	Warning	The Field of Research Training (FOT) or Career Development is not entered.	Trainee/P-I*
	For all activity codes except for RL5, RL9, R90 and R25, if Non-Resident is selected on the Trainee Personal Profile…	Error	The Appointed individuals must be citizens, noncitizen nationals of the United States, or lawfully admitted permanent residents.	Trainee/P-I**

Table 3: Appointment Errors/Warnings Quick Reference

16 Appendix E – User Role Functions

Function	PD/-PI	Assis-tant	Spon-sor	Spon-sor Del-egate	BO	SO	Train-ee
Delegate xTrain Authority PD/PI (except for fellows) can designate a delegate to perform xTrain specific functions on their behalf (ability to submit to agency specifically withheld) A Sponsor can also can designate a delegate to perform xTrain specific functions on their behalf (ability to submit to agency specifically withheld)	X		X				
Identify Trainee Facility to locate an existing eRA Commons profile for a Trainee	X	X	X	X		X	
View Trainee Roster Access to the Trainee Roster of specific grant	X Own	X Del-egated PIs	X Fellows	X Fel-lows	X Insti-tution	X Insti-tution	
View List of Grants Provide list of grants based on provided	X Own	X Del-egated	X Fellows	X Fel-lows	X Insti-tution	X Insti-tution	

Table 4: User Role Functions

Function	PD/-PI	Assis-tant	Spon-sor	Spon-sor Del-egate	BO	SO	Train-ee
search criteria		PIs					
View Grant Summary Read-only access to the cumulative grant data, such as short term, pre-doc, and post-doc slot allocation and accepted slots within a given overall grant, for each support year of the grant	X	X	X	X	X	X	
View Routing History Read-only access to routing history for Appointments and Terminations Notices (TNs)	X	X	X	X	X	X	X
View Own Appointments and Terminations Access to list of Appointments and TNs							X
Process 2271 (Appointment) Ability to interact with the electronic 2271 form							
Initiate New Appointment	X	X					

Table 4: User Role Functions

Function	PD/-PI	Assis-tant	Spon-sor	Spon-sor Del-egate	BO	SO	Train-ee
Enter Data	X	X					X
Route New Appointment to Trainee	X	X					
Route New Appointment to PI							X
Delete Appointment (not yet submitted)	X	X					
Initiate an Amended Appointment	X	X					
Initiate Re-appointment	X	X					
View form in PDF format	X	X	X	X	X	X	X
Submit New Appointment to Agency	X						
Process TN (Termination Notice) Ability to interact with the electronic TN							
Initiate Termination Notice	X	X	X	X	X		
Enter Data	X	X	X	X	X		X
Route Termination Notice to PD/PI (includes Fellows)			X Fellows	X Fel-lows	X		X

Table 4: User Role Functions

Function	PD/-PI	Assis-tant	Spon-sor	Spon-sor Del-egate	BO	SO	Train-ee
Route Termination Notice to Trainee	X	X			X		
Route Termination Notice to BO	X	X	X	X			
Delete TN (not yet submitted)	X	X	X	X	X		
View form in PDF format	X	X	X	X	X	X	X
Submit to Agency	For some activ-ity code-s only		X For foreign and federal fel-low-ships only		X		
Recall (if not submitted to Agency) Previous reviewer can recall form from current reviewer	X	X	X	X	X		X
Validate Run validation process to identify form errors/warnings	X	X	X	X	X		X

Table 4: User Role Functions

NOTE: Assistant has been delegated authority by PD/PI