

## Ruth L. Kirschstein National Research Service Awards (NRSA) Postdoctoral Stipends, Training Related Expenses, Institutional Allowance, and Tuition/Fees Effective for Fiscal Year 2017

Notice Number: NOT-OD-17-003

### Key Dates

**Release Date:** December 15, 2016

### Related Announcements

[NOT-OD-17-072](#)

[NOT-OD-16-062](#)

### Issued by

National Institutes of Health ([NIH](#))

Agency for Healthcare Research and Quality ([AHRQ](#))

Health Resources Services Administration ([HRSA](#))

### Purpose

All FY 2017 awards previously issued using [FY 2016 stipend levels](#) will be revised to adjust stipends to the FY 2017 level. Appointments to institutional training grants that have already been awarded in FY 2017 must be amended to reflect the FY 2017 stipend levels once the training grant award has been adjusted by the NIH. Amended appointments must be submitted through xTrain in the eRA Commons.

### Postdoctoral Stipend levels for FY 2017

Career Level	Years of Experience	Actual Stipend for FY 2016	Stipend for FY 2017	Monthly Stipend
Postdoctoral	0	\$43,692	\$47,484	\$3,957
	1	\$45,444	\$47,844	\$3,987
	2	\$47,268	\$48,216	\$4,018
	3	\$49,152	\$50,316	\$4,193
	4	\$51,120	\$52,140	\$4,345
	5	\$53,160	\$54,228	\$4,519
	6	\$55,296	\$56,400	\$4,700
	7 or More	\$57,504	\$58,560	\$4,880

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

### Tuition and Fees, Training Related Expenses, and Institutional Allowance for Kirschstein-NRSA Recipients

The NIH will provide funds for Tuition and Fees, Training Related Expenses, and Institutional Allowance as detailed below.

#### A. Tuition and Fees

1. Postdoctoral Trainees and Fellows: For institutional training grants (T32, T90, TL1) and individual fellowships (F32), an amount per postdoctoral trainee or fellow equal to 60% of the level requested by the applicant institution, up to \$4,500 per year, will be provided. If the trainee or fellow is enrolled in a program that supports postdoctoral individuals in formal degree-granting training, an amount per postdoctoral trainee or fellow equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided.

### **B. Training Related Expenses on Institutional Training Grants**

1. For institutional training grants (T32, T35, T90, TL1), these expenses (including health insurance costs) for postdoctoral trainees will be paid at the amounts shown below for all competing and non-competing awards made with FY 2017 funds.
2. *Postdoctoral Trainees*: \$8,850

### **C. Institutional Allowance for Individual Fellows**

This allowance for postdoctoral fellows will be paid at the amounts shown below for all competing and non-competing awards made with FY 2017 funds.

1. Institutional Allowance for individual fellows (F32) sponsored by non-Federal Public, Private, and Non-Profit Institutions (Domestic & Foreign, including health insurance):
2. *Postdoctoral Fellows*: \$8,850
1. Institutional Allowance for individual fellows (F32) sponsored by Federal and For-Profit Institutions (including health insurance):
2. *Postdoctoral Fellows*: \$7,750

### **Relevant Policies**

Except for requests to adjust stipend levels consistent with [NOT-OD-17-002](#), retroactive adjustments or supplementation of stipends with Kirschstein-NRSA funds for an award made prior to October 1, 2016 are not permitted.

Current stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

NRSA support is limited to 3 years for postdoctoral trainees or fellows. The NRSA program provides eight levels of postdoctoral stipends to accommodate individuals who complete other forms of health-related training prior to accepting a Kirschstein-NRSA supported position. (The presence of eight discrete levels of experience, however, does not constitute an endorsement of extended periods of postdoctoral research training.)

### **Inquiries**

Please direct all inquiries to:

Division of Biomedical Research Workforce  
Office of Extramural Programs  
Office of Extramural Research  
Website: <https://researchtraining.nih.gov>  
Email: [NIHTrain@mail.nih.gov](mailto:NIHTrain@mail.nih.gov)

Revision: Ruth L. Kirschstein National Research Service Awards (NRSA) Predoctoral Stipends, Training Related Expenses, Institutional Allowance, and Tuition/Fees Effective for Fiscal Year 2017

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Notice Number: NOT-OD-17-084

Key Dates

**Release Date:** June 27, 2017

Related Announcements

[NOT-OD-16-062](#)

[NOT-OD-17-003](#)

[NOT-OD-17-072](#) Rescinded

Issued by

National Institutes of Health ([NIH](#))

Agency for Healthcare Research and Quality ([AHRQ](#))

Purpose

This revised Notice replaces [NOT-OD-17-072](#) and corrects the effective date for the increased stipend levels and the fellowship awards subject to the budgetary levels described.

This Notice supersedes [NOT-OD-16-062](#), and establishes stipend levels for fiscal year (FY) 2017 Kirschstein-NRSA awards for undergraduate and predoctoral trainees and fellows, as shown in the table below. The Training Related Expenses and Institutional Allowances for predoctoral trainees and fellows and the Tuition and Fees for all educational levels remain unchanged.

The budgetary categories described in this Notice apply only to Kirschstein-NRSA awards made with FY 2017 funds. All FY 2017 awards previously issued using FY 2016 stipend levels ([NOT-OD-16-062](#)) will be revised to adjust stipends to the FY 2017 level.

Appointments to institutional training grants that have already been awarded in FY 2017 must be amended to reflect the FY 2017 stipend levels once the training grant award has been adjusted by the NIH. Amended appointments must be submitted through xTrain in the eRA Commons. Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2016 are not permitted.

*Note: The announcement of FY 2017 stipend and other budgetary levels for postdoctoral trainees and fellows was issued on December 15, 2016: [NOT-OD-17-003](#)*

### Stipends for FY 2017

Effective with all Kirschstein-NRSA awards made on or after October 1, 2016, the following annual stipend levels apply to all individuals receiving support through institutional research training grants or individual fellowships, including the Maximizing Access to Research Career (MARC) and Building Infrastructure Leading to Diversity (BUILD) programs.

*Undergraduates in the MARC and BUILD Programs:* For institutional training grants (T34, TL4), two stipend levels may be used for undergraduate candidates: Freshmen/Sophomores and Juniors/Seniors.

Career Level	Stipend for FY 2017	Monthly Stipend
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Freshmen/Sophomores	\$8,988	\$749
Juniors/Seniors	\$12,588	\$1,049

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

Career Level	Years of Experience	Stipend for FY 2017	Monthly Stipend
Predoctoral	All	\$23,844	\$1,987

### **Tuition and Fees, Training Related Expenses, and Institutional Allowance for Kirschstein-NRSA Recipients**

The NIH will provide funds for Tuition and Fees, Training Related Expenses, and Institutional Allowance as detailed below.

#### **A. Tuition and Fees**

*Undergraduate and Predoctoral Trainees and Fellows:* For institutional training grants (T32, T34, T35, T90, TL1, TL4) and individual fellowships (F30, F31), an amount per predoctoral trainee equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided. If the trainee or fellow is enrolled in a program that supports formally combined, dual-degree training (e.g., MD/PhD, DO/PhD, DDS/PhD, AuD/PhD, DVM/PhD), the amount provided per trainee or fellow will be 60% of the level requested, up to \$21,000 per year.

#### **B. Training Related Expenses on Institutional Training Grants**

For institutional training grants (T32, T35, T90, TL1), these expenses (including health insurance costs) for predoctoral trainees will be paid at the amounts shown below for all competing and non-competing awards made with FY 2017 funds.

- Predoctoral Trainees: \$4,200

#### **C. Institutional Allowance for Individual Fellows**

This allowance for predoctoral fellows will be paid at the amounts shown below for all competing and non-competing awards made with FY 2017 funds.

Institutional Allowance for individual fellows (F30, F31) sponsored by non-Federal Public, Private, and Non-Profit Institutions (Domestic & Foreign, including health insurance):

- Predoctoral Fellows: \$4,200

Institutional Allowance for individual fellows (F30, F31) sponsored by Federal and For-Profit Institutions (including health insurance):

- Predoctoral Fellows: \$3,100

#### **Relevant Policies**

Current stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

NRSA support is limited to 5 years for predoctoral trainees (6 years for dual-degree training, e.g., MD/PhD, DO/PhD, DDS/PhD, AuD/PhD, DVM/PhD).

It should be noted that the maximum amount that NIH will award to support the compensation package for a graduate student research assistant remains at the zero level postdoctoral stipend, as described in [NOT-OD-02-017](#).

Inquiries

Please direct all inquiries to:

Division of Biomedical Research Workforce

Office of Extramural Programs

Office of Extramural Research

Website: <https://researchtraining.nih.gov>

Email: [NIHTrain@mail.nih.gov](mailto:NIHTrain@mail.nih.gov)

Ruth L. Kirschstein National Research Service Awards (NRSA) Predoctoral Stipends, Training Related Expenses, Institutional Allowance, and Tuition/Fees Effective for Fiscal Year 2017

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Notice Number: NOT-OD-17-072

Key Dates

**Release Date:** June 22, 2017

Related Announcements

[NOT-OD-16-062](#)

[NOT-OD-17-003](#)

Issued by

National Institutes of Health ([NIH](#))

Agency for Healthcare Research and Quality ([AHRQ](#))

Purpose

This revised Notice supersedes [NOT-OD-16-062](#), and establishes stipend levels for fiscal year (FY) 2017 Kirschstein-NRSA awards for undergraduate and predoctoral trainees and fellows, as shown in the table below. The Training Related Expenses and Institutional Allowances for predoctoral trainees and fellows and the Tuition and Fees for all educational levels remain unchanged.

The budgetary categories described in this Notice apply only to Kirschstein-NRSA awards made with FY 2017 funds.

All FY 2017 awards previously issued using FY 2016 stipend levels ([NOT-OD-16-062](#)) will be revised to adjust stipends to the FY 2017 level.

Appointments to institutional training grants that have already been awarded in FY 2017 must be amended to reflect the FY 2017 stipend levels once the training grant award has been adjusted by the NIH. Amended appointments must be submitted through xTrain in the eRA Commons. Retroactive adjustments or supplementation of stipends or other budgetary categories with Kirschstein-NRSA funds for an award made prior to October 1, 2016 are not permitted.

*Note: The FY 2017 stipend and other budgetary levels for postdoctoral trainees and fellows was issued on December 15, 2016: [NOT-OD-17-003](#)*

**Stipends for FY 2017**

Effective with all Kirschstein-NRSA awards made on or after October 1, 2017, the following annual stipend levels apply to all individuals receiving support through institutional research training grants or individual fellowships, including the Maximizing Access to Research Career (MARC) and Building Infrastructure Leading to Diversity (BUILD) programs.

*Undergraduates in the MARC and BUILD Programs:* For institutional training grants (T34, TL4), two stipend levels may be used for undergraduate candidates: Freshmen/Sophomores and Juniors/Seniors.

Career Level	Stipend for FY 2017	Monthly Stipend
Freshmen/Sophomores	\$8,988	\$749
Juniors/Seniors	\$12,588	\$1,049

*Predocctoral Trainees and Fellows:* For institutional training grants (T32, T35, T90, TL1) and individual fellowships (F30, F31, F99), one stipend level is used for all predoctoral candidates, regardless of the level of experience.

Career Level	Years of Experience	Stipend for FY 2017	Monthly Stipend
Predocctoral	All	\$23,844	\$1,987

**Tuition and Fees, Training Related Expenses, and Institutional Allowance for Kirschstein-NRSA Recipients**

The NIH will provide funds for Tuition and Fees, Training Related Expenses, and Institutional Allowance as detailed below.

#### **A. Tuition and Fees**

*Undergraduate and Predoctoral Trainees and Fellows:* For institutional training grants (T32, T34, T35, T90, TL1, TL4) and individual fellowships (F30, F31, F99), an amount per predoctoral trainee equal to 60% of the level requested by the applicant institution, up to \$16,000 per year, will be provided. If the trainee or fellow is enrolled in a program that supports formally combined, dual-degree training (e.g., MD/PhD, DO/PhD, DDS/PhD, AuD/PhD, DVM/PhD), the amount provided per trainee or fellow will be 60% of the level requested, up to \$21,000 per year.

#### **B. Training Related Expenses on Institutional Training Grants**

For institutional training grants (T32, T35, T90, TL1), these expenses (including health insurance costs) for predoctoral trainees will be paid at the amounts shown below for all competing and non-competing awards made with FY 2017 funds.

- Predoctoral Trainees: \$4,200

#### **C. Institutional Allowance for Individual Fellows**

This allowance for predoctoral fellows will be paid at the amounts shown below for all competing and non-competing awards made with FY 2017 funds.

Institutional Allowance for individual fellows (F30, F31, F99) sponsored by non-Federal Public, Private, and Non-Profit Institutions (Domestic & Foreign, including health insurance):

- Predoctoral Fellows: \$4,200

Institutional Allowance for individual fellows (F30, F31, F99) sponsored by Federal and For-Profit Institutions (including health insurance):

- Predoctoral Fellows: \$3,100

#### **Relevant Policies**

Current stipend levels are to be used in the preparation of future competing and non-competing NRSA institutional training grant and individual fellowship applications. They will be administratively applied to all applications currently in the review process.

NRSA support is limited to 5 years for predoctoral trainees (6 years for dual-degree training, e.g., MD/PhD, DO/PhD, DDS/PhD, AuD/PhD, DVM/PhD).

It should be noted that the maximum amount that NIH will award to support the compensation package for a graduate student research assistant remains at the zero level postdoctoral stipend, as described in [NOT-OD-02-017](#).

Inquiries

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[Weekly TOC for this Announcement](#)  
[NIH Funding Opportunities and Notices](#)

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## Introduction to the Data Tables

Public reporting burden for this collection of information is estimated to average 4 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **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.** Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0001 and 0925-0002). Do not return the completed form to this address.

Before completing these tables, please read the following documents carefully: 1) the appropriate [Funding Opportunity Announcement \(FOA\)](#) for the grant to which you are applying; 2) the [SF424 \(R&R\) Application Guidelines](#), paying particular attention to the Supplemental Instructions for Preparing Institutional Research Training and Career Development Program Applications; and 3) the individual table instructions (including instructions, rationale statements, and sample tables, where available). Note that certain other [HHS OPDIVS](#) may also use these instructions and Data Tables for their applications. Please substitute the relevant agency in place of NIH in applying these instructions and refer to any OPDIV specific instructions in the FOA.

If additional guidance is needed, contact the designated Scientific/Research staff for the program, identified in the FOA.

The data in these tables help present a detailed documentation of your [Training Program](#). Please summarize the data in the body of your grant application, and refer to the data to support the presentation of your training program.

[Important Definitions and General Instructions that Apply to All Tables](#) - Read this first!

The [List of Data Tables](#) provides an overview of the tables and their contents. It also includes a tool for selecting which tables to complete depending on the application type (i.e., new versus renewal/revision) and whether the program includes undergraduate training, predoctoral training, postdoctoral training, short-term training, or a mix of these types. The List of Data Tables submitted with your application should be the first page of the data tables attachment and will serve as a table of contents for that attachment.

The [Instructions and Sample Data Tables](#) include a full set of tables with detailed instructions and a rationale statement for the data request. For predoctoral and postdoctoral programs, a set of tables with sample data is also available. Choose the instruction set that corresponds to the type of application you are submitting, a new (Type 1) application or a renewal (Type 2) or revision (Type 3) application, and whether the program includes predoctoral training, postdoctoral training, short-term training, or a mix of these types.

For electronic application submission using the SF424 (R&R) form set, the data tables are to be saved as a single file. User-defined bookmarks in the Data Tables attachment will be retained in the assembled application image after submission to facilitate easy navigation between tables. Start each numbered table on a new page, and separately bookmark each table in the PDF attachment. Many PDF generators will automatically create bookmarks from text formatted using predefined Heading styles in Word. Other tables may be presented in the body of the application; however, they should not be mixed with these data tables.

## Definitions and General Instructions

**New Application** – Seeks support for a previously unfunded program (or a previously funded program after unsuccessful attempts at renewal).

**Renewal Application** (previous term Competing Continuation) – Seeks support for a current or recent previously funded program.

**Revision Application** (previous term Competing Supplement) – Seeks additional support for a currently funded program.

**Resubmission Application** (Amended Application) – Amended version of a previously submitted application for any of a new, renewal, or revision application.

**The following terms must be used consistently by applicants, reviewers, and NIH staff.**

**Training Program:** The training program is described in the text by the principal investigator/program director. It is a set of activities (courses, seminars, exams, retreats, research experiences, etc.) that will be undertaken by ALL participants supported by the training grant and that is provided through a defined administrative structure by a defined group of faculty mentors. The training program may also include individuals who are not supported by the training grant and the described activities may be a subset of a larger, institutionally-defined program. Participants in the training program may be drawn from several academic departments and interdepartmental programs.

**Trainee:** May refer to both predoctoral and postdoctoral individuals, regardless of their source of support. For example, Table 2 should include information about ALL previous trainees of the participating faculty members over the previous ten years. Trainee also refers more specifically to individuals appointed to a particular training program. It is important to distinguish trainees currently or previously appointed to the grant (i.e., as used in Part I of Tables 8A, 8B, 8C) from those “trainees clearly associated with the training program” (i.e., as used in Part II of Tables 8A, 8B, 8C). “Clearly associated” students and postdoctorates are those with a training experience identical to those appointed to this grant, but who are supported by other NIH or HHS awards (e.g., fellowships or research grants).

**Entering Year and Training Period (or Years in Program):** For predoctoral training, the entering year is the first year that the trainee began graduate studies at the applicant institution, even if they did not become associated with the training program until later. The training period is measured from the entering year through the award of the degree or departure from the program. Special notes may be needed to explain exceptions, such as trainees who move to an institution after several years of training at another institution. For postdoctoral training, the entering year is the first year of postdoctoral research experience, excluding non-research clinical training.

**Training grant eligible (TGE) trainees:** Several tables request data on Kirschstein-NSRA training grant eligible (TGE) trainees. Only U.S citizens, non-citizen nationals, and permanent residents are eligible for Kirschstein-NRSA support. More restrictive eligibility requirements may be applied by the described training program (e.g., based on GPA); however, the data must be reported using the NRSA definition.

**Diversity Recruitment:** To fulfill the NIH requirement to recruit trainees from diverse backgrounds, applicants need to present aggregated data on the following groups of individuals:

- A. Individuals identified as under-represented in health-related sciences on a national basis
- B. Individuals with disabilities
- C. Individuals from disadvantaged backgrounds (only applicable to programs focused on high school and undergraduate candidates)

Please refer to the Research Training Program Plan section of the SF424 (R&R) Supplemental Instructions for Preparing Institutional Research Training and Career Development Program Applications for detailed definitions of these groups.

## List of Data Tables

Depending on the type of application, submit the tables indicated.

**New Applications:**

**New Predoctoral Training**

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	Except last 2 columns
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 8A.	Program Outcomes: Predoctoral	Part III Only

**New Postdoctoral Training**

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	Except last 2 columns
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 8C.	Program Outcomes: Postdoctoral	Part III Only

**New Undergraduate Training**

Table #	Title of Table	Comments
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5C.	Publications of Those in Training: Undergraduate	
Table 8D.	Program Outcomes: Undergraduate	Part III Only

**New Mixed Pre and Postdoctoral Training**

<b>Table #</b>	<b>Title of Table</b>	<b>Comments</b>
Table 1.	Census of Participating Departments and Interdepartmental Programs	Except last 2 columns
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 8A.	Program Outcomes: Predoctoral	Part III Only
Table 8C.	Program Outcomes: Postdoctoral	Part III Only

#### **New Mixed Short-Term and Predoctoral Training**

<b>Table #</b>	<b>Title of Table</b>	<b>Comments</b>
Table 1.	Census of Participating Departments and Interdepartmental Programs	Except last 2 columns
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 8A.	Program Outcomes: Predoctoral	Part III Only
Table 8B.	Program Outcomes: Short-Term	Part III Only

### New Mixed Short-Term and Postdoctoral Training

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	Except last 2 columns
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 8B.	Program Outcomes: Short-Term	Part III Only
Table 8C.	Program Outcomes: Postdoctoral	Part III Only

### New Mixed Short-Term, Pre and Postdoctoral Training

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	Except last 2 columns
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 8A.	Program Outcomes: Predoctoral	Part III Only
Table 8B.	Program Outcomes: Short-Term	Part III Only
Table 8C.	Program Outcomes: Postdoctoral	Part III Only

## **Renewal or Revision Applications:**

### **Renewal or Revision Predoctoral Training**

<b>Table #</b>	<b>Title of Table</b>	<b>Comments</b>
Table 1.	Census of Participating Departments and Interdepartmental Programs	last column only applies to T90/R90
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 7.	Appointments to the Training Grant for Each Year of the Current Project Period	
Table 8A.	Program Outcomes: Predoctoral	

### **Renewal or Revision Postdoctoral Training**

<b>Table #</b>	<b>Title of Table</b>	<b>Comments</b>
Table 1.	Census of Participating Departments and Interdepartmental Programs	last column only applies to T90/R90
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 7.	Appointments to the Training Grant for Each Year of the Current Project Period	
Table 8C.	Program Outcomes: Postdoctoral	

### **Renewal or Revision Undergraduate Training**

<b>Table #</b>	<b>Title of Table</b>	<b>Comments</b>
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5C.	Publications of Those in Training: Undergraduate	
Table 8D.	Program Outcomes: Undergraduate	

### Renewal or Revision Mixed Pre and Postdoctoral Training

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	last column only applies to T90/R90
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 7.	Appointments to the Training Grant for Each Year of the Current Project Period	
Table 8A.	Program Outcomes: Predoctoral	
Table 8C.	Program Outcomes: Postdoctoral	

### Renewal or Revision Mixed Short-Term and Predoctoral Training

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	last column only applies to T90/R90
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 7.	Appointments to the Training Grant for Each Year of the Current Project Period	
Table 8A.	Program Outcomes: Predoctoral	
Table 8B.	Program Outcomes: Short-Term	

### Renewal or Revision Mixed Short-Term and Postdoctoral Training

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	last column only applies to T90/R90
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 7.	Appointments to the Training Grant for Each Year of the Current Project Period	
Table 8B.	Program Outcomes: Short-Term	
Table 8C.	Program Outcomes: Postdoctoral	

### Renewal or Revision Mixed Short-Term, Pre and Postdoctoral Training

Table #	Title of Table	Comments
Table 1.	Census of Participating Departments and Interdepartmental Programs	last column only applies to T90/R90
Table 2.	Participating Faculty Members	
Table 3.	Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members	
Table 4.	Research Support of Participating Faculty Members	
Table 5A.	Publications of Those in Training: Predoctoral	
Table 5B.	Publications of Those in Training: Postdoctoral	
Table 6A.	Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral	
Table 6B.	Applicants, Entrants, and their Characteristics for the Past Five Years: Postdoctoral	
Table 7.	Appointments to the Training Grant for Each Year of the Current Project Period	
Table 8A.	Program Outcomes: Predoctoral	
Table 8B.	Program Outcomes: Short-Term	
Table 8C.	Program Outcomes: Postdoctoral	

## **Complete List of All Tables**

Table 1. Census of Participating Departments and Interdepartmental Programs

Table 2. Participating Faculty Members

Table 3. Federal Institutional Research Training Grant and Related Support Available to Participating Faculty Members

Table 4. Research Support of Participating Faculty Members

Table 5A. Publications of Those in Training: Predoctoral

Table 5B. Publications of Those in Training: Postdoctoral

Table 5C. Publications of Those in Training: Undergraduate

Table 6A. Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral

Table 6B. Applicants, Entrants, and Their Characteristics for the Past Five Years: Postdoctoral

Table 7. Appointments to the Training Grant for Each Year of the Current Project Period (renewal/revision applications only)

Table 8A. Program Outcomes: Predoctoral

Table 8B. Program Outcomes: Short-Term

Table 8C. Program Outcomes: Postdoctoral

Table 8D. Program Outcomes: Undergraduate

## Table 1. Census of Participating Departments and Interdepartmental Programs

### Rationale

This table provides insight into the environment in which the proposed training will take place. It allows reviewers to assess whether the program has the "critical mass" of trainees and faculty and, in the case of interdepartmental programs, representation/distribution of scientific disciplines, to be effective.

### Instructions

#### Part I. Predoctorates

For the current academic year, provide the total number of faculty members, predoctorates, and postdoctorates in each participating department and interdepartmental program, regardless of whether this is a predoctoral or postdoctoral program application. Faculty members should be counted more than once if they participate in a departmental as well as an interdepartmental program(s). Predoctorates and postdoctorates should be counted only once and in association with a single department or interdepartmental program.

For each participating department, division, or interdepartmental program enter the following counts for the current academic year:

- 1) **Participating Department or Program.** List the name of the Department, Division, or Interdepartmental Program.
- 2) **Total Faculty.** Provide the total number of current faculty members. In the Total row, count each faculty member only once and enter, in bold font, the total number of *unique* faculty members across the participating departments and interdepartmental programs.
- 3) **Participating Faculty.** Provide the total number of faculty members who will participate in the proposed training program. In the Total row, count each faculty member only once and enter, in bold font, the total number of *unique* participating faculty members across the participating departments and interdepartmental programs. (Where faculty members are included in the counts for both a department and a program, or have appointments in more than one participating department, the total number of *unique* faculty will be less than the sum across participating departments and programs.)
- 4) **Total Predoctorates.** Enter the total number of predoctorates. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of predoctorates for this column.
- 5) **Total Predoctorates Supported by any HHS Award.** Provide the total number of predoctorates who are currently supported by **any** HHS training award (e.g., NIH T32, T90/R90, F30, F31, AHRQ T32, CDC T03). In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of predoctorates for this column.
- 6) **Total Predoctorates with Participating Faculty.** Provide the total number of predoctorates with those faculty who are participating in the proposed training program. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of predoctorates for this column.
- 7) **Eligible Predoctorates with Participating Faculty.** Provide the total number of predoctorates who are with participating faculty, and who are eligible for support under the proposed award. In most cases (i.e., a T32 application), this number will reflect students who are citizens or non-citizen nationals of the U.S. or permanent residents. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of predoctorates for this column.
- 8) **Training Grant Eligible (TGE) Predoctorates Supported by this Training Grant (Renewals, Revisions Only).** If this is a renewal or revision application, enter the total number of TGE or training-grant eligible (i.e., U.S. citizens, non-citizen nationals of the U.S. or permanent residents) predoctorates currently supported by **this** training grant. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of predoctorates for this column. If not a renewal or revision application, do not include this column.
- 9) **Predocorates Supported by this Training Grant (R90 Only Renewals/Revisions).** If this is a renewal or revision application of a T90/R90 award, enter the total number of predoctorates currently supported on the R90 award component. In the Total row, sum across departments and interdepartmental

programs and enter, in bold font, the total number of predoctorates for this column. If not a renewal or revision of a T90/R90 award, do not include this column.

## Part II. Postdoctorates

For the current academic year, provide the total number of faculty members, predoctorates, and postdoctorates in each participating department and interdepartmental program, regardless of whether this is a predoctoral or postdoctoral program application. Faculty members should be counted more than once if they participate in a departmental as well as an interdepartmental program(s). Predoctorates and postdoctorates should be counted only once and in association with a single department or interdepartmental program.

For each participating department, division or interdepartmental program enter the following counts for the current academic year:

- 1) **Participating Department or Program.** List the name of Department, Division or Program.
- 2) **Total Faculty.** Provide the total number of current faculty members. In the Total row, count each faculty member only once and enter, in bold font, the total number of *unique* faculty members across the participating departments and interdepartmental programs. (Where faculty members are included in the counts for both a department and a program, or have appointments in more than one participating department, the total number of *unique* faculty will be less than the sum across participating departments and programs.)
- 3) **Participating Faculty.** Provide the total number of faculty members who will participate in the proposed training program. In the Total row, count each faculty member only once and enter, in bold font, the total number of *unique* participating faculty members across the participating departments and interdepartmental programs.
- 4) **Total Postdoctorates.** Provide the total number of postdoctorates. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of postdoctorates for this column.
- 5) **Total Postdoctorates Supported by any HHS Training Award.** Provide the total number of postdoctorates who are currently supported by **any** HHS training award (e.g., T32, T90/R90, F32, AHRQ T32, CDC T03). In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of postdoctorates for this column.
- 6) **Total Postdoctorates with Participating Faculty.** Provide the total number of postdoctorates with those faculty who are participating in the proposed training program. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of postdoctorates for this column.
- 7) **Eligible Postdoctorates with Participating Faculty.** Provide the total number of postdoctorates who are with participating faculty and who are eligible for support under the proposed award. In most cases (e.g. a T32 application), this number will reflect individuals who are citizens or non-citizen nationals of the U.S. or permanent residents. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of postdoctorates for this column.
- 8) **Training Grant Eligible (TGE) Postdoctorates Supported by this Training Grant (Renewals/ Revisions).** If this is a renewal or revision application, enter the total number of TGE postdoctorates currently supported by **this** training grant. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of postdoctorates for this column. If not a renewal or revision application, do not include this column.
- 9) **Postdoctorates Supported by this Training Grant (R90 Only Renewals/ Revisions).** If this is a renewal or revision application of a T90/R90 award, enter the total number of postdoctorates currently supported on the R90 award component. In the Total row, sum across departments and interdepartmental programs and enter, in bold font, the total number of postdoctorates for this column. If not a renewal or revision of a T90/R90 award, do not include this column.

Summarize these data in the Background Section of the Research Training Program Plan. Use the narrative to describe the organization of the proposed training program, the participating departments and interdepartmental programs, and the extent to which faculty, graduate students, and/or postdoctorates from those departments/interdepartmental programs participate in the programmatic activities to be supported by the training grant.

**Sample Table 1. Census of Participating Departments and Interdepartmental Programs**

**Part I. Predoctorates**

Participating Department or Program	Total Faculty	Participating Faculty	Total Predoctorates	Total Predoctorates Supported by any HHS Training Award	Total Predoctorates with Participating Faculty	Eligible Predoctorates with Participating Faculty	TGE Predoctorates Supported by this Training Grant (Renewals/Revisions)	Predoctorates Supported by this Training Grant (R90 Only Renewals/Revisions)
Department of Biochemistry	45	14	38	15	12	6	2	0
Neuroscience Program	32	20	31	20	14	7	4	1
Department of Pharmacology	25	5	30	10	5	3	3	0
<b>Total</b>	<b>102</b>	<b>39</b>	<b>99</b>	<b>45</b>	<b>31</b>	<b>16</b>	<b>9</b>	<b>1</b>

**Part II. Postdoctorates**

Participating Department or Program	Total Faculty	Participating Faculty	Total Postdoctorates	Total Postdoctorates Supported by any HHS Training Award	Total Postdoctorates with Participating Faculty	Eligible Postdoctorates with Participating Faculty	TGE Postdoctorates Supported by this Training Grant (Renewals/Revisions)	Postdoctorates Supported by this Training Grant (R90 Only Renewals/Revisions)
Department of Biochemistry	45	14	24	10	9	5	2	0
Neuroscience Program	32	20	27	20	12	5	3	1
Department of Pharmacology	25	5	15	8	5	3	2	0
<b>Total</b>	<b>102</b>	<b>39</b>	<b>66</b>	<b>38</b>	<b>26</b>	<b>13</b>	<b>7</b>	<b>1</b>

## Table 2. Participating Faculty Members

### Rationale

This information allows reviewers to assess the distribution of participating faculty by rank (junior vs. senior), by research interests, and by department or interdepartmental program. In addition, data on the mentoring records of faculty permit an evaluation of the experience of participating faculty in facilitating the progression of predoctorates and postdoctorates in their careers. The data concisely summarize information about the training faculty.

### Instructions

List participating faculty in alphabetical order by last name. For each participating faculty member, provide:

- 1) **Name.** Include the full name in the format Last Name, First Name and Middle Initial.
- 2) **Degree(s).** Provide the faculty member's terminal degree(s).
- 3) **Rank.** Provide the academic rank held by each faculty (e.g., Asst. Prof. for Assistant Professor, Assoc. Prof. for Associate Professor, Prof. for Professor, Res. Asst. Prof. for Research Assistant Professor, Instructor).
- 4) **Primary Department or Program.** List the primary affiliation (department, interdepartmental program, or other academic unit).
- 5) **Research Interest.** Provide the faculty member's research interest relevant to the proposed training program.
- 6) **Training Role.** Provide up to three role(s) for each faculty in the proposed training program, selected from the following options: PD/PI, Preceptor, Executive Committee member (Exec. Comm.), Other Committee member (Other Comm.), Other.

**Mentoring Record (Items 7-12).** For the last 10 years, provide the record for mentoring predoctorates and postdoctorates who have been or are currently engaged in research training under the faculty member's primary supervision. Exclude predoctorates doing research rotations, and clinical interns and residents unless they have been or are currently engaged in full-time, mentored research training in the faculty member's research group.

- 7) **Predocorates in Training.** Provide the number of predoctorates who are currently in training.
- 8) **Predocorates Graduated.** Provide the number of predoctorates who were awarded their doctoral degree during the last 10 years.
- 9) **Predocorates Continued in Research or Related Careers.** Provide the number of predoctorates who were awarded their doctoral degree during the last 10 years and who currently are engaged in a research-intensive or research-related career. Research-related positions generally require a doctoral degree, and may include activities such as teaching, administering research or higher education programs, science policy, and technology transfer.
- 10) **Postdoctorates in Training.** Provide the number of postdoctorates who are currently in training in the faculty member's laboratory.
- 11) **Postdoctorates Completed Training.** Provide the number of postdoctorates who completed postdoctoral training in the faculty member's laboratory during the last 10 years.
- 12) **Postdoctorates Continued in Research or Related Careers.** Provide the number of postdoctorates who completed postdoctoral training during the last 10 years and who currently are engaged in a research-intensive or research-related career.

Summarize these data in the Research Training Program Plan, within the Background Section and the Program Faculty Section of the Program Plan. Use the narrative to describe the distribution of participating faculty by academic rank, department or interdepartmental program, areas of research emphasis, and the rationale for the faculty selected to participate in the training grant. Analyze the data in terms of the overall experience of the faculty in training predoctorates and/or postdoctorates. Comment on the inclusion of faculty whose mentoring records may suggest limited, recent training experience at either training level (predoctoral or postdoctoral).

**Sample Table 2. Participating Faculty Members**

Name	Degree(s)	Rank	Primary Department or Program	Research Interest	Training Role	Pre-doctorates In Training	Pre-doctorates Graduated	Pre-doctorates Continued in Research or Related Careers	Post-doctorates In Training	Post-doctorates Completed Training	Post-doctorates Continued in Research or Related Careers
Abrams-Johnson, Jane	PhD	Asst. Prof.	Pharmacology	Regulation of Synthesis of Biogenic Amines	Preceptor Other Comm	1	2	2	1	0	0
Jones, Lisa S.	PhD	Res. Asst. Prof.	Biochemistry	Protein Structure, Folding, and Immunogenicity	Preceptor Exec Comm	3	3	3	4	2	2
Sandoz, Miguel J.	MD, PhD	Assoc. Prof.	Neuroscience	Developmental Genetics in Drosophila	Preceptor	4	6	5	4	8	6
Thomas, James C.	PhD	Prof.	Biochemistry	Molecular and Genetic Analysis of RNA Viruses	PD/PI	7	10	9	8	15	14

### Table 3. Federal Institutional Research Training Grants and Related Support Available to Participating Faculty Members

#### Rationale

This table will permit an evaluation of the current level of support for related research training and the extent to which the proposed training grant has overlap in participating faculty. This information is useful in assessing the institutional environment and determining the number of training positions to be awarded.

#### Instructions

For all currently active, federal institutional training (e.g., NIH T32, T35, AHRQ T32), career development, and research education (e.g., NIH R25, K12/KL2, TL1) support available to the participating faculty members, list the following:

- 1) **Grant Title.** Provide the full grant title. Do not list all training and related grants at the participating institution(s); list only those with any overlapping faculty (i.e., including any of the same faculty members participating in the proposed training program).
- 2) **Award Number.** Provide the full award number.
- 3) **Project Period.** Provide project period dates inclusive of the entire project period, in the format MM/YYYY-MM/YYYY
- 4) **PD/PI.** Provide the name of the PD/PI(s), in the format Last Name, First Name and Middle Initial.
- 5) **Number of Predoctoral Positions.** Provide the number of full-time predoctoral training positions. In the Total row, sum the number of predoctoral positions across all awards and enter the total in bold font.
- 6) **Number of Postdoctoral Positions.** Provide the number of full-time postdoctoral training positions. In the Total row, sum the number of postdoctoral positions across all awards and enter the total in bold font.
- 7) **Number of Short-Term Positions.** Provide the number of short-term training positions. In the Total row, sum the number of short-term positions across all awards and enter the total in bold font.
- 8) **Number of Participating Faculty (Number Overlapping).** Provide the total number of participating faculty members and, parenthetically, the number of participating faculty members who are also named in this application (overlapping faculty).
- 9) **Names of Overlapping Faculty.** List the last names of all overlapping faculty.

Summarize these data in the Background Section of the Research Training Program Plan. Use the narrative to summarize the level of research training support at the institution. Comment on instances where the tabular data indicate that there may be substantial overlap of participating faculty.

**Sample Table 3. Federal Institutional Research Training Grants and Related Support Available to Participating Faculty Members**

Grant Title	Award Number	Project Period	PD/PI	Number of Predoctoral Positions	Number of Postdoctoral Positions	Number of Short-Term Positions	Number of Participating Faculty (Number Overlapping)	Names of Overlapping Faculty
Bioimmunotherapy Training Grant	T32 CA05964-11	07/2011-06/2016	Thomas, James C.	12	0	0	25 (6)	Abelson Brown Fields Johnson Sung Watson
Genetic Basis of Mental Illness	T32 MH02708-07	07/2010-06/2015	Johnson, Albert P.	4	4	2	7 (2)	Johnson Watson
Research Education Program for Residents in Psychiatry	R25 MH09876-06	07/2013-06/2018	Mendez, V. Roberto	0	6	0	33 (3)	Mendez Rivers Truesdale
Career Development in Pediatric Mental Health	K12 HD01234-09	07/2012-06/2017	Sterman, Patricia S.	0	4	0	19 (1)	Rubin
<b>Total</b>				<b>16</b>	<b>14</b>	<b>2</b>		

## Table 4. Research Support of Participating Faculty Members

### Rationale

This table provides evidence of the strength of the research environment, the availability of funds to support research conducted by the trainees, and the appropriateness of the participating faculty in terms of their active research support.

### Instructions

For each faculty member, list the following:

- 1) **Faculty Member.** List participating faculty members in alphabetical order by last name, in the format Last Name, First Name and Middle Initial.
- 2) **Funding Source.** List the funding source as NIH, AHRQ, NSF, Other Federal (Other Fed), University (Univ), Foundation (Fdn), None, or Other. If none, state "None." **Exclude applications pending review or award.**
- 3) **Grant Number.** For each participating faculty member, provide the full grant number for the currently active research grant support in which the faculty member has a role of PD/PI from all sources that will provide the context for research training experiences. Exclude institutional research training grants, institutional career development grants, and research education grants.
- 4) **Role on Project.** Provide the role of the faculty member on the research project grant (PD/PI or Center Project PI roles only).
- 5) **Grant Title.** Provide the Grant Title.
- 6) **Project Period.** List the inclusive dates of the entire project period (in the format MM/YYYY-MM/YYYY).
- 7) **Current Year Direct Costs.** Provide the direct costs for the current budget period. Calculate and provide the average grant support per Participating Faculty Member in the last row.

If the source of support is part of a multiple project grant (e.g., a P01), provide the above information only for that component of the grant on which the faculty member is the Project PI.

Summarize these data in the Program Plan ([Program Faculty Section](#)) of the Research Training Program Plan. Analyze the data in terms of total and average grant support. Comment on the inclusion of faculty without research grant support in the proposed training program and explain how the research of trainees who may work with these faculty members would be supported.

**Sample Table 4. Research Support of Participating Faculty Members**

<b>Faculty Member</b>	<b>Funding Source</b>	<b>Grant Number</b>	<b>Role on Project</b>	<b>Grant Title</b>	<b>Project Period</b>	<b>Current Year Direct Costs</b>
Jones, Janine L.	NIH	1 R01 GM76259-01	PD/PI	Structure and Function of Acetylcholine Receptors	06/2014--05/2018	\$190,000
Jones, Janine L.	NIH	5 K08 AI00091-03	PD/PI	Purification & Identification of Receptors	11/2012-11/2017	\$140,000
Ehlers, Roger G.	Univ		PD/PI	University start-up funds	08/2014-07/2017	\$350,000
Mack, Thomas R.	Fdn		PD/PI	Control of Angiogenesis	03/2011-02/2015	\$185,000
Mack, Thomas R.	NSF	PCM 80-12935	PD/PI	Cell Culture Center	12/2012-11/2015	\$180,000
Mack, Thomas R.	NIH	1 P01 HL71802-05	Project PI	Subproject 4: Oncogenic Kit Receptor Signaling in vivo	10/2011-09/2015	\$165,000
Smith, James P.	None					
Zachary, Andrew	NIH	1 U01 AI28507-01	PD/PI	Human Monoclonal Antibodies as a Therapy for Staphylococcal Enterotoxin	07/2013-06/2018	\$200,000
<b>Average Grant Support per Participating Faculty Member</b>						<b>\$282,000</b>

## Table 5A. Publications of Those in Training: Predoctoral

### Rationale

This information provides an indicator of the ability of each faculty member to foster trainee productivity through generation of publishable results and allows assessment of the research quality and authorship priority of trainees.

### Instructions

For each trainee, list the following:

- 1) **Faculty Member.** Sort students by faculty member. List each faculty member in the format Last Name, First Name and Middle Initial.
- 2) **Trainee Name.** List each student in the format Last Name, First Name and Middle Initial.
  - **New applications.** For each participating faculty member in a **new application**, list all publications of representative, previous predoctorates from the last 10 years and **all** current predoctorates. Only include individuals who would have been eligible for appointment to this training program. Exclude individuals undertaking short-term (12 week or less) training experiences with a faculty member.
  - **Renewal/revision applications.** For each participating faculty member in a renewal/revision application, list the publications of all current trainees and those appointed to the grant for up to the past 10 years, with the exception of those appointed to short-term training positions.
- 3) **Past or Current Trainee.** For each faculty member, list past students first and then current students. Indicate whether each student is past or current. Sort each group by their year of entry into the graduate program.
- 4) **Training Period.** For past students, indicate the year that each student enrolled in the degree-granting program and the year they completed or left the degree-granting program, in the format YYYY-YYYY. For current students, report the year of enrollment and indicate that training is underway by using the format YYYY-Present.
- 5) **Publication (Authors, Year, Title, Journal, Volume, Inclusive Pages).** List publications in chronological order, followed by abstract-only publications. List all publications of students resulting from their period of training in the participating faculty member's laboratory or in association with the current [training program](#), through completion of their degree. **Do not list publications resulting from work done prior to entering the training program or arising from research initiated after the completion of the program.** List abstract-only publications **only** if a peer-reviewed publication has not appeared and label these clearly as abstracts. Boldface the student's name in the author list.
  - For students without a publication, indicate "No Publications." Provide one of the following explanatory phrases: new entrant, leave of absence, change of research supervisor, left program, other.

Summarize these data in the body of the application, including, for example, the average number of publications, how many students published as first author, and how many students completed doctoral training without any first-author publication resulting from their graduate research.

**Sample Table 5A. Publications of Those in Training: Predoctoral**

Faculty Member	Trainee Name	Past or Current Trainee	Training Period	Publication (Authors, Year, Title, Journal, Volume, Inclusive Pages)
Berg, Lawrence P.	Thompson, Patricia P.	Past	1998-2004	Miter, M.H., Owens, R., <b>Thompson, P.</b> , and Berg, L., 2004, Insulin Treatment of Diabetic Rats, J Comp Neurol, 373:350-378.
Chu, Jeremy K.	Greenstein, Michael L.	Current	2008-Present	<b>Greenstein, M.</b> , and Chu, J., 2010, Sympathetic Noradrenergic Innervation of Drosophila, Genetics 185: 1100-1190.
Jones, Janice R.	Brown, Bernice B.	Past	2000-2006	<b>Brown, B.</b> and Jones J., 2005, Repeated Sequences in Drosophila, J Mol Biol, 242:503-510. Corman, T., Walker, J.D., and <b>Brown, B.</b> , 2006, Ontogeny of Tolerance to Alloantigens, Am J Anat, 146:156-159.
Layback, Sally G.	Wand, Dennis R.	Past	2000-2001	No Publications: Left program
Neustaff, Lorena B.	Smith, Benjamin L.	Current	2011-Present	<b>Smith, B.</b> and Neustaff, 2014, Preliminary x-ray crystal structure of beta-adrenergic receptor. Biophysical J., Abstract.
Peters, Mark Q.	Samuels, Janine A.	Current	2010-Present	<b>Samuels, J.</b> and Peters M., 2012, Molecular Analysis of RNA Viruses, Molec Biol Cell, 11:12-18.

## Table 5B. Publications of Those in Training: Postdoctoral

### Rationale

This information provides an indicator of the ability of each faculty member to foster trainee productivity through generation of publishable results and allows assessment of the research quality and authorship priority of trainees.

### Instructions

For each trainee, list the following:

- 1) **Faculty Member.** Sort postdoctorates by faculty member. List each faculty member in the format Last Name, First Name and Middle Initial.
- 2) **Trainee Name.** List each trainee in the format Last Name, First Name and Middle Initial.
  - **New applications.** For each participating faculty member in a **new** application, list all publications of representative, previous postdoctorates from the last 10 years and **all** current postdoctorates. Only include individuals who would have been eligible for appointment to this training program.
  - **Renewal/revision applications.** For each participating faculty member in a renewal/revision application, list the publications of all current trainees and those appointed to the grant for up to the past 10 years, with the exception of those appointed to short-term training positions.
- 3) **Past or Current Trainee.** Sort postdoctorates by faculty member. For each faculty member, group past postdoctorates separately from current postdoctorates. Sort each group by their year of entry into postdoctoral training with the faculty member or in association with the program.
- 4) **Training Period.** Indicate the year that postdoctorates entered into training with the current faculty member or in association with the program and the year they completed or left the training program, in the format YYYY-YYYY. For current postdoctorates, report the year they started the program or began working with the current faculty member and indicate that training is still underway by using the format YYYY-Present.
- 5) **Publication (Authors, Year, Title, Journal, Volume, Inclusive Pages).** List publications in chronological order followed by abstract-only publications. List all publications of postdoctorates resulting from their period of training in the faculty member's laboratory or in association with the current [training program](#). **Do not list publications resulting from work done prior to joining the training program or arising from research initiated after the completion of the program.** List abstract-only publications **only** if a more complete publication has not appeared and label these clearly as abstracts. Boldface the postdoctorate's name in the author list.
  - For postdoctorates without a publication, indicate "No Publications." Provide one of the following explanatory phrases: new entrant, leave of absence, change of research supervisor, left program, other.

Summarize these data in the Program Plan section of the Research Training Program Plan including, for example, the average number of papers published by postdoctorates, the number as first author, and the number of postdoctorates who completed training without any peer-reviewed publications.

**Sample Table 5B. Publications of Those in Training: Postdoctoral**

Faculty Member	Trainee Name	Past or Current Trainee	Training Period	Publication (Authors, Year, Title, Journal, Volume, Inclusive Pages)
Berg, Lawrence P.	Thomas, Patrick D.	Past	2003-2006	Miter, M.H., Owens, R., <b>Thomas, P.</b> , and Berg, L., 2006, Insulin Deficiency in Diabetic Rats, J. Nutrition, 373:350-378.
Chew, Jason B.	Greenstuff, Marisa P.	Current	2012-Present	<b>Greenstuff, M.</b> , and Chew, J., 2014, Non-digestible fibre influences bioavailability of vitamins, J. Pharm Sci. (In press).
Easygai, Franchesca	Taylor, Doris W.	Past	2010-2013	No Publications: Change of Research Supervisor
Newpeeye, Pamela W.	Fall, Winfred	Past	2012-2014	No Publications: Leave of Absence

## Table 6A. Applicants, Entrants, and their Characteristics for the Past Five Years: Predoctoral

### Rationale

These data permit the evaluation of the ability of participating departments/interdepartmental programs to recruit trainees. These data are useful in assessing the selectivity of the admissions process, the competitiveness of the training program, and the appropriate number of training positions to be awarded.

### Instructions

#### Part I. Counts

In **Part I** of this table, list the following counts for each participating department/interdepartmental program for each of the past 5 academic years, beginning with the most recently completed year:

- 1) **Most Recently Completed Year.** Enter the most recently completed year in the format "Most Recently Completed Year: 2013-2014".
- 2) **Total Applicant Pool.** Number of individuals who formally applied for training.
- 3) **Applicants Eligible for Support.** Number of individuals who formally applied for training and were eligible for support from this grant. (In most cases, eligible individuals will be those who are citizens or non-citizen nationals of the U.S. or permanent residents; see the Funding Opportunity Announcement for specific guidance.)
- 4) **New Entrants to the Program.** Number of new entrants to the department/interdepartmental program.
- 5) **New Entrants Eligible for Support.** Number of new entrants to the department/interdepartmental program who were eligible for support from this grant.
- 6) **New Entrants Appointed to this Grant (Renewal/Revision Applications Only).** Number of new entrants appointed to this grant. (If this is not a Renewal/Revision application, do not include this column).

Do not include students admitted solely to obtain master's degrees. If only one department or interdepartmental program is participating in the proposed training program, enter the overall total only for each year.

For each additional year, enter the prior year in the format "Previous Year: 2012-2013 until all five academic years are completed, and complete the sections as described above. In the final section of **Part I**, provide the mean count for each column.

#### Part II. Characteristics

In **Part II** of the table, provide the following information about the characteristics of entrants and applicants, for each of the past 5 academic years, beginning with the most recently completed year:

- 1) **Mean Months of Prior, Full-Time Research Experience (range).** For each category of entrants as defined in Part I, items 2-6, enter the mean number of months of prior, full-time research experience and range. For many individuals, this value will reflect months of summer research experience or full-time research experience following college. For those with part-time, academic-year research experience for academic credit, convert the part-time experience to full time for reporting here (e.g., 15 hours/week for 8 months = 3 months). Do not include labs associated with a course (e.g. organic chemistry course with lab).
- 2) **Prior Institutions.** For each category of entrants as defined in Part I, items 2-6, enter the names of their prior institutions. For predoctorates, this will be their bachelor's-degree granting institutions. If more than one entrant has the same prior institution, list the institution only once, followed by the number of entrants in parentheses.
- 3) **Percent with a Disability** For each category of entrants as defined in Part I, items 2-6, enter the percent of individuals with disabilities, defined as those with a physical or mental impairment that substantially limits one or more major life activities.

- 4) **Percent from Underrepresented Racial & Ethnic Groups.** For each category of entrants as defined in Part I, items 2-6, enter the percent of individuals from racial and ethnic groups that have been shown by the National Science Foundation to be underrepresented in biomedical research on a national basis (i.e., African Americans, Hispanic Americans, American Indians, Alaska Natives, Native Hawaiians, and other Pacific Islanders).
- 5) **Mean GPA (range).** For each category of applicants and entrants as defined in Part I, item 2) to item 6), enter the mean GPA and range, using a 4.0 scale.

For each additional year, enter the prior year in the format "Previous Year: 2012-2013 until all five years are completed, and complete the sections as described above. In the final section of **Part II**, provide the mean values for all years of support.

Summarize these data in the Program Plan (Trainee Candidate Section) of the Research Training Program Plan. Analyze the data in terms of the overall numbers of potential trainees, their credentials, characteristics, and eligibility for support, and enrollment trends.

### Sample Table 6A. Applicants, Entrants, and Their Characteristics for the Past Five Years: Predoctoral

#### Part I. Counts

Most Recently Completed Year: 2013-2014	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
Department of Biochemistry	45	30	6	3	2
Department of Molecular & Cell Biology	30	19	5	4	3
Program in Systems Biology	12	9	5	5	4
<b>Total</b>	<b>87</b>	<b>58</b>	<b>16</b>	<b>12</b>	<b>9</b>

Previous Year: 2012-2013	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
Department of Biochemistry	50	35	8	4	3
Department of Molecular & Cell Biology	30	20	8	5	3
Program in Systems Biology	15	10	5	5	4
<b>Total</b>	<b>95</b>	<b>65</b>	<b>21</b>	<b>14</b>	<b>10</b>

Previous Year: 2011-2012	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
Department of Biochemistry	65	40	10	5	6
Department of Molecular & Cell Biology	35	20	7	4	4
Program in Systems Biology	10	8	6	5	2
<b>Total</b>	<b>110</b>	<b>68</b>	<b>23</b>	<b>14</b>	<b>12</b>

Previous Year: 2010-2011	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
Department of Biochemistry	52	30	7	7	5
Department of Molecular & Cell Biology	35	21	9	4	3
Program in Systems Biology	12	10	5	5	3
<b>Total</b>	<b>99</b>	<b>61</b>	<b>21</b>	<b>16</b>	<b>11</b>

Previous Year: 2009-2010	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
Department of Biochemistry	40	23	4	3	2
Department of Molecular & Cell Biology	30	18	6	4	3
Program in Systems Biology	12	10	5	4	3
<b>Total</b>	<b>82</b>	<b>51</b>	<b>15</b>	<b>11</b>	<b>8</b>

Total All Years	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
Mean Count Across Years	95	61	19	13	10

**Part II. Characteristics**

<b>Most Recent Program Year: 2013-2014</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Months of Prior, Full-Time Research Experience (range)			7.5 (3-24)	8.0 (3-24)	10.0 (3-24)
Prior Institutions			Cornell Univ. (3) Univ. of Virginia Univ. of Utah (3) Ohio State (5) U. Arkansas (4)	Cornell Univ. (2) Univ. of Virginia Univ. of Utah (2) Ohio State (3) U. Arkansas (4)	Cornell Univ. Univ. of Utah (2) Ohio State (3) U. Arkansas (3)
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			19%	25%	22%
Mean GPA (range)	3.4 (2.9-4.0)	3.5 (3.0-4.0)	3.6 (3.3-4.0)	3.7 (3.3-4.0)	3.7 (3.4-4.0)

<b>Previous Year: 2012-2013</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Months of Prior, Full-Time Research Experience (range)			7.4 (3-24)	8.0 (3-24)	9.5 (3-24)
Prior Institutions			Georgetown (3) Univ. of Utah (3) UNC (6) UCSD (5) Boston U (4)	Georgetown (3) Univ. of Utah (2) UNC (3) UCSD (4) Boston U (2)	Georgetown (3) UNC (2) UCSD (3) Boston U (2)
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			15%	20%	18%
Mean GPA (range)	3.3 (2.7-4.0)	3.5 (3.0-4.0)	3.6 (3.3-4.0)	3.7 (3.4-4.0)	3.7 (3.4-4.0)

<b>Previous Year: 2011-2012</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Months of Prior, Full-Time Research Experience (range)			8.0 (3-24)	8.0 (3-24)	11.0 (3-24)
Prior Institutions			Cornell Univ. (5) Univ. of Utah (3) NYU (5) Boston U (4) Oregon State (6)	Cornell Univ. (2) Univ. of Utah NYU (3) Boston U (3) Oregon State (5)	Cornell Univ. (2) Univ. of Utah NYU (3) Boston U (3) Oregon State (3)
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			20%	26%	24%
Mean GPA (range)	3.4 (2.8-4.0)	3.5 (3.0-4.0)	3.7 (3.4-4.0)	3.7 (3.4-4.0)	3.7 (3.4-4.0)

<b>Previous Year: 2010-2011</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Months of Prior, Full-Time Research Experience (range)			7.5 (3-24)	8.0 (3-24)	10.0 (3-24)
Prior Institutions			Georgetown (4) Univ. of Utah (4) UNC (5) Oregon State (4) Boston U (4)	Georgetown (4) Univ. of Utah (4) UNC (5) Oregon State (3)	Georgetown (2) Univ. of Utah (3) UNC (4) Oregon State (2)
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			18%	22%	20%
Mean GPA (range)	3.4 (2.9-4.0)	3.5 (3.0-4.0)	3.6 (3.3-4.0)	3.7 (3.3-4.0)	3.7 (3.4-4.0)

<b>Previous Year: 2009-2010</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Months of Prior, Full-Time Research Experience (range)			7.4 (3-24)	8.0 (3-24)	9.5 (3-24)
Prior Institutions			Cornell Univ. (4) Univ. of Virginia Univ. of Utah (3) U. Vermont (3) Boston U (4)	Cornell Univ. (3) Univ. of Virginia Univ. of Utah (3) U. Vermont (2) Boston U (2)	Cornell Univ. (3) Univ. of Virginia Univ. of Utah (2) U. Vermont Boston U
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			15%	20%	19%
Mean GPA (range)	3.3 (2.7-4.0)	3.5 (3.0-4.0)	3.6 (3.3-4.0)	3.7 (3.4-4.0)	3.7 (3.4-4.0)

<b>Means Across All Years</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Months of Prior, Full-Time Research Experience			7.6	8.0	10.0
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			17%	23%	21%
Mean GPA	3.4	3.5	3.6	3.7	3.7

## Table 6B. Applicants, Entrants, and Their Characteristics for the Past Five Years: Postdoctoral

### Rationale

These data permit the evaluation of the ability of participating departments/interdepartmental programs to recruit trainees. These data are useful in assessing the selectivity of the admissions process, the competitiveness of the training program, and the appropriate number of training positions to be awarded.

### Instructions

#### Part I. Counts

In **Part I** of this table, list the following counts for each participating department/interdepartmental program and for each major degree type (i.e., PhDs, MDs, Dual Degree Holders, including individuals holding the MD/PhD, DDS/PhD, DVM/PhD, or other dual degrees, and Other Degree Holders) for each of the past 5 years. Depending on the grant cycle, users may choose to report by academic or grant year, but should always begin with the most recently completed year.

- 1) **Most Recently Completed Year.** Enter the most recently completed year in the format “Most Recently Completed Year: 2013-2014”
- 2) **Total Applicant Pool.** Number of individuals who formally applied for training
- 3) **Applicants Eligible for Support.** Number of individuals who formally applied for training and were eligible for support from this grant (In most cases, eligible individuals will be those who are citizens or non-citizen nationals of the U.S. or permanent residents; see the Funding Opportunity Announcement for specific guidance.)
- 4) **New Entrants to the Program.** Number of new entrants to the department/interdepartmental program)
- 5) **New Entrants Eligible for Support.** Number of new entrants to the department/interdepartmental program who were eligible for support from this grant
- 6) **New Entrants Appointed to this Grant (Renewal/Revision Applications Only).** Number of new entrants appointed to this grant (If this is not a Renewal/Revision application, do not include this column.)

Include only those postdoctoral applicants who could be considered candidates for the proposed training program.

Summarize these data in the Program Plan (Trainee Candidate Section) of the Research Training Program Plan. Analyze the data in terms of the overall numbers of potential trainees, their sources, their credentials and eligibility for support, and enrollment trends. The narrative should clearly describe the recruitment process for postdoctoral trainees (e.g., whether candidates are selected from individuals in the laboratories of proposed faculty members or whether there is a formal application process to the training program).

For each additional year, enter the prior year in the format “Previous Year: 2012-2013” until all five years are completed, and complete the sections as described above. In the final section of **Part I**, provide the mean count for each column.

#### Part II. Characteristics

In **Part II** of the table, provide the following information about the characteristics of entrants and applicants, for each of the past 5 years (e.g., academic or grant years), beginning with the most recently completed year:

- 1) **Mean Number of Publications (range).** For each category of applicants and entrants as defined in Part I, items 2-6, enter the mean number of publications calculated to one decimal place (e.g., 2.5) and range (e.g., 0-6), at the time of application to the program.
- 2) **Mean Number of First-Author Publications (range).** For each category of applicants and entrants as defined in Part I items 2-6, enter the mean number (calculated to one decimal place) and range of first-author publications at the time of application to the program.

- 3) **Prior Institutions.** For each category of entrants as defined in Part I, items 4-6, enter the names of their prior institutions. For postdoctorates, this will be the names of their doctoral degree-granting institutions. If more than one entrant has the same prior institution, list the institution only once, followed by the number of entrants in parentheses.
- 4) **Percent with a Disability.** For each category of entrants as defined in Part I, items 4-6, enter the percent of individuals with disabilities, defined as those with a physical or mental impairment that substantially limits one or more major life activities.
- 5) **Percent from Underrepresented Racial and Ethnic Groups.** For each category of entrants as defined in Part I, item 4) to item 6), enter the percent of individuals from racial and ethnic groups that have been shown by the National Science Foundation to be underrepresented in biomedical research on a national basis (i.e., African Americans, Hispanic Americans, American Indians, Alaska Natives, Native Hawaiians, and other Pacific Islanders).

For each additional year, enter the prior year in the format "Previous Year: 2012-2013" until all five years are completed, and complete the sections as described above. In the final section of **Part II**, provide the mean values for all years of support.

Summarize these data in the Program Plan (Trainee Candidate Section) of the Research Training Program Plan. Analyze the data in terms of the overall numbers of potential trainees, their credentials, characteristics, and eligibility for support, and enrollment trends.

### Sample Table 6B. Applicants, Entrants, and Their Characteristics for the Past Five Years: Postdoctoral

#### Part I. Counts

Most Recently Completed Year: 2013-2014	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
PhDs	25	15	6	5	4
MDs	4	1	0	0	0
Dual-Degree Holders	3	3	2	2	2
Other Degree Holders	0	0	0	0	0
<b>Total</b>	<b>32</b>	<b>19</b>	<b>8</b>	<b>7</b>	<b>6</b>

Previous Year: 2012-2013	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
PhDs	23	10	5	4	3
MDs	5	2	1	1	1
Dual-Degree Holders	3	3	3	3	3
Other Degree Holders	0	0	0	0	0
<b>Total</b>	<b>31</b>	<b>15</b>	<b>9</b>	<b>8</b>	<b>7</b>

Previous Year: 2011-2012	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
PhDs	28	18	8	6	4
MDs	4	2	1	1	1
Dual-Degree Holders	2	2	2	2	2
Other Degree Holders	0	0	0	0	0
<b>Total</b>	<b>34</b>	<b>22</b>	<b>11</b>	<b>9</b>	<b>7</b>

Previous Year: 2010-2011	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
PhDs	20	12	7	7	6
MDs	4	1	0	0	0
Dual-Degree Holders	3	3	2	2	2
Other Degree Holders	0	0	0	0	0
<b>Total</b>	<b>27</b>	<b>16</b>	<b>9</b>	<b>9</b>	<b>8</b>

Previous Year: 2009-2010	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant Renewal/Revision Applications Only)
PhDs	25	16	8	6	5
MDs	3	1	0	0	0
Dual-Degree Holders	1	1	1	1	1
Other Degree Holders	0	0	0	0	0
<b>Total</b>	<b>29</b>	<b>18</b>	<b>9</b>	<b>7</b>	<b>6</b>

Means Across All Years	Total Applicant Pool	Applicants Eligible for Support	New Entrants to the Program	New Entrants Eligible for Support	New Entrants Appointed to this Grant (Renewal/Revision Applications Only)
PhDs	24	14	7	6	4
MDs	4	1	0	0	0
Dual-Degree Holders	2	2	2	2	2
Other Degree Holders	0	0	0	0	0
<b>Total</b>	<b>30</b>	<b>17</b>	<b>9</b>	<b>8</b>	<b>6</b>

**Part II. Characteristics**

<b>Most Recently Completed Year: 2013-2014</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Number of Publications (range)	3.5 (1-9)	4.0 (1-9)	4.0 (1-9)	4.0 (1-7)	4.0 (3-7)
Mean Number of First-Author Publications (range)	2.0 (1-3)	2.4 (2-3)	2.5 (2-3)	2.5 (2-3)	2.0 (2-3)
Prior Institutions			New York Univ. Boston Univ.(4) Univ. of Iowa (3)	Boston Univ. (4) Univ. of Iowa (3)	Boston Univ. (3) Univ. of Iowa (3)
Percent with a Disability			10%	—	—
Percent from Underrepresented Racial & Ethnic Groups			33%	50%	50%

<b>Previous Year: 2012-2013</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Number of Publications (range)	3.4 (1-8)	3.8 (1-8)	3.8 (1-8)	3.9 (2-8)	3.9 (2-8)
Mean Number of First-Author Publications (range)	1.8 (1-3)	2.0 (1-3)	2.1 (1-3)	2.2 (1-3)	2.2 (1-3)
Prior Institutions			U. Vermont (3) Ohio State (4) U. Arkansas UCSD	U. Vermont (3) Ohio State (3) U. Arkansas UCSD	U. Vermont (3) Ohio State (4) U. Arkansas
Percent with a Disability			0%	—	—
Percent from Underrepresented Racial & Ethnic Groups			20%	33%	33%

<b>Previous Year: 2011-2012</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Number of Publications (range)	3.6 (1-9)	3.8 (1-9)	3.8 (2-9)	3.9 (2-9)	3.9 (2-9)
Mean Number of First-Author Publications (range)	1.7 (1-3)	1.8 (1-3)	1.9 (1-3)	1.9 (1-3)	1.9 (1-3)
Prior Institutions			Georgetown (3) Ohio State (2) U. Arkansas (2) U. Utah (4)	Georgetown (3) Ohio State (2) U. Arkansas U. Utah (3)	Georgetown (2) Ohio State (2) U. Arkansas U. Utah (2)
Percent with a Disability			0%	—	—
Percent from Underrepresented Racial & Ethnic Groups			25%	25%	25%

<b>Previous Year: 2010-2011</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Number of Publications (range)	3.5 (1-9)	4.0 (1-9)	4.0 (1-9)	4.0 (2-9)	4.0 (3-8)
Mean Number of First-Author Publications (range)	2.0 (1-3)	2.4 (2-3)	2.5 (2-3)	2.5 (2-3)	2.5 (2-3)
Prior Institutions			Georgetown (3) Ohio State (2) U. Nevada (2) UNC (2)	Georgetown (3) Ohio State U. Nevada (2) UNC	Georgetown (2) Ohio State U. Nevada (2) UNC
Percent with a Disability			33%	33%	33%
Percent from Underrepresented Racial & Ethnic Groups			33%	33%	33%

<b>Previous Year: 2009-2010</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Number of Publications (range)	3.2 (1-7)	3.5 (1-7)	3.6 (2-7)	3.6 (2-7)	3.7 (3-7)
Mean Number of First-Author Publications (range)	2.0 (1-3)	2.3 (1-3)	2.4 (1-3)	2.4 (1-3)	2.5 (1-3)
Prior Institutions			U. Vermont (3) Ohio State (4) U. Arkansas UCSD	U. Vermont (2) Ohio State (3) U. Arkansas UCSD	U. Vermont (2) Ohio State (3) U. Arkansas
Percent with a Disability			0%	—	—
Percent from Underrepresented Racial & Ethnic Groups			20%	33%	33%

<b>Means Across All Years</b>	<b>Total Applicant Pool</b>	<b>Applicants Eligible for Support</b>	<b>New Entrants to the Program</b>	<b>New Entrants Eligible for Support</b>	<b>New Entrants Appointed to this Grant (Renewal/Revision Applications Only)</b>
Mean Number of Publications	3.4	3.8	3.8	3.9	3.9
Mean Number of First-Author Publications	1.9	2.2	2.3	2.3	2.2
Percent with a Disability			0%	0%	0%
Percent from Underrepresented Racial & Ethnic Groups			25%	35%	35%

## Table 7. Appointments to the Training Grant for Each Year of the Current Project Period (Renewal/Revision Applications only)

### Rationale

For renewal or revision applications, these data permit evaluation of the use of awarded training positions. Note that counts for “Awarded” and “Appointed” trainees will be auto-filled. Counts for the number of “Appointed” trainees will be editable in the event that recent updates are not yet reflected in the system.

### Instructions

- 1) Provide the following counts for each complete budget year (i.e., Budget Year 01, Budget Year 02, Budget Year 03, Budget Year 04, and Sum of Budget Years) since the last competing grant application. Exclude any section (i.e., predoctoral, postdoctoral, or short-term) that does not apply.
- 2) **Predocctoral Positions Awarded.** Enter, in bold, the number of predoctoral training positions awarded.
- 3) **Predocctorates Appointed.** Enter, in bold, the number of predoctorates appointed.
- 4) **Predocctorates: Dual Degree.** Enter, in plain text, the number of predoctorates appointed who are in a dual-degree program.
- 5) **Predocctorates: Diverse Backgrounds.** Enter, in plain text, the number of predoctorates appointed who are from diverse backgrounds (i.e., from racial and ethnic groups that have been shown by the National Science Foundation to be underrepresented in biomedical research on a national basis: African Americans, Hispanic Americans, American Indians, Alaska Natives, Native Hawaiians, and other Pacific Islanders).
- 6) **Postdoctoral Positions Awarded.** Enter, in bold, the number of postdoctoral training positions awarded.
- 7) **Postdoctorates Appointed.** Enter, in bold the number of postdoctorates appointed.
- 8) **Postdoctorates: MD or Equivalent.** Enter, in plain text, the number of postdoctorates appointed with an MD or equivalent degree.
- 9) **Postdoctorates: PhD or Equivalent.** Enter, in plain text, the number of postdoctorates appointed with a PhD or equivalent degree.
- 10) **Postdoctorates: DDS, DVM, Other.** Enter, in plain text, the number of postdoctorates appointed with a DDS, DVM, or other terminal doctoral degree.
- 11) **Postdoctorates: Dual Degree.** Enter, in plain text, the number of postdoctorates appointed with a dual degree.
- 12) **Postdoctorates: Diverse Backgrounds.** Enter, in plain text, the number of postdoctorates appointed who are from diverse backgrounds (i.e., from racial and ethnic groups that have been shown by the National Science Foundation to be underrepresented in biomedical research on a national basis: African Americans, Hispanic Americans, American Indians, Alaska Natives, Native Hawaiians, and other Pacific Islanders ).
- 13) **Short-Term Positions Awarded.** Enter, in bold, the number of short-term training positions awarded.
- 14) **Short-Term Appointed.** Enter, in bold, the number of individuals appointed.
- 15) **Short-Term: Diverse Backgrounds.** Enter, in plain text, the number of individuals appointed who are from diverse backgrounds (i.e., from racial and ethnic groups that have been shown by the National Science Foundation to be underrepresented in biomedical research on a national basis: African Americans, Hispanic Americans, American Indians, Alaska Natives, Native Hawaiians, and other Pacific Islanders).

Summarize these data in the Progress Report Section of the Research Training Program Plan; if any trainee positions were not filled, if any trainees terminated early, or if the distribution of appointed positions differs from the distribution of awarded positions, provide an explanation. It may also be useful to refer to these data within the Recruitment and Retention Plan to Enhance Diversity Section of the Research Training Program Plan.

**Sample Table 7. Appointments to the Training Grant for Each Year of the Current Project Period**

<b>Training Positions</b>	<b>Budget Year 01</b>	<b>Budget Year 02</b>	<b>Budget Year 03</b>	<b>Budget Year 04</b>	<b>Sum of Budget Years</b>
Predoctoral Awarded	8	8	8	8	<b>32</b>
Predoctoral Appointed	8	8	8	8	<b>32</b>
– Predoc: Dual-Degree	0	0	1	1	2
– Predoc: Diverse Backgrounds	0	5	2	2	9
Postdoctoral Awarded	4	4	4	4	<b>16</b>
Postdoctoral Appointed	4	4	4	4	<b>16</b>
– Postdoc: MD or Equivalent	0	1	0	1	2
– Postdoc: PhD or Equivalent	3	1	3	3	10
– Postdoc: DDS, DVM, Other	1	1	0	0	2
– Postdoc: Dual Degree	0	1	1	0	2
– Postdoc: Diverse Backgrounds	0	0	0	0	0
Short-Term Awarded	8	8	6	7	<b>29</b>
Short-Term Appointed	7	6	6	7	<b>26</b>
– Short-Term: Diverse Backgrounds	2	2	1	2	7

## Table 8A. Program Outcomes: Predoctoral

### Rationale

For new applications, this table provides information on the effectiveness of the proposed training program.

For renewal applications, this table provides information about the use of predoctoral training positions (e.g., distribution by faculty member, year in program, years of support per trainee). The data also permit an evaluation of the effectiveness of the supported training program in achieving the training objectives of the prior award period(s) for up to 15 years.

### Instructions

#### Part I. Those Appointed to the Training Grant

In **Part I**, list sequentially, by year of entry into the graduate program, all trainees who have been supported by this grant at any time during the last 15 grant years, including those who did not complete the training program for any reason. If the grant has been active for less than 15 years, list all trainees to date. For training grants with awarded short-term training positions, do not include short-term trainees in this table.

For each trainee, provide:

- 1) **Trainee.** Provide the Trainee name in the format Last Name, First Name and, Middle Initial.
- 2) **Faculty Member.** In the format of Last Name, First Name and Middle Initial., provide up to two primary research training faculty acting as mentors (for trainees, these will be training grant faculty). If not yet selected, indicate "TBD" (to be determined).
- 3) **Start Date.** Provide the calendar month and year of entry into the current degree-granting program in the format MM/YYYY.
- 4) **Summary of Support During Training.** Provide the primary source and type of support during each twelve-month period of training, using TY1 for Training Year 1, TY2 for Training Year 2, etc. For NIH and other HHS support, list the awarding component and the activity (e.g., CA R01). Bold the grant being reported in this application. For other sources and types of support, use the categories below, and report only the primary source and type of support for each twelve-month period of training.

#### Sources of Support:

- NSF
- Other Federal (Other Fed)
- University (Univ)
- Foundation (Fdn)
- Non-US (Non-US)
- Other (Other)

#### Types of Support

- Research assistantship (RA)
- Teaching assistantship (TA)
- Fellowship (F)
- Training Grant (TG)
- Scholarship (S)
- Other

- 5) **Terminal Degree(s) received and Year(s).** If applicable, list the terminal degree(s) received and year(s) awarded. Trainees currently in the program should be designated “in training;” for those who left the graduate program without a degree, report “none.”
- 6) **Topic of Research Project.** Enter the topic of the research project.
- 7) **Initial Position, Department, Institution, Activity; and Current Position, Department, Institution, Activity.** For trainees who completed or left the graduate program, provide their initial and current positions, departments, and institutions. If individuals hold joint appointments/positions, list only the primary position. If information is not available, report “unknown.” Classify each position as predominantly Research-intensive, Research-related, Further Training, or Other. Research-related positions generally require a doctoral degree, and may include activities such as teaching, administering research or higher education programs, science policy, or technology transfer.
- 8) **Subsequent Grant(s)/Role/Year Awarded.** If applicable, list subsequent fellowship, career development, or research grant support obtained from any source, whether as PD/PI or in another senior role (i.e., co-investigator, faculty collaborator, or staff scientist) after the individual completed training. For NIH and other HHS support, list the awarding component, activity, role, and year (e.g., GM R01/Staff Scientist/2011). Up to five grants may be listed.

## Part II. Those Clearly Associated with the Training Grant

In **Part II**, list any **current** graduate students clearly associated with this grant who have been supported by NIH and other HHS funds but not by this grant, and provide the information described in Part I, items 1-8, above, for each student. “Clearly associated” students are those with a training experience identical to those appointed to this grant, but who are supported by other NIH or HHS awards (e.g., fellowships or research grants).

## Part III. Recent Graduates

In **Part III (only for new applications and postdoctoral renewal/revision applications requesting an expansion to predoctoral support)**, list sequentially all students **graduating** from the proposed program in the last five years who would have been eligible for appointment, if an NIH or other HHS training or related award were available (in most cases, these will be U.S. citizens or permanent residents). For each student, provide the information described in Part I, items 1-3 and 5-8, above.

**Summarize the data from Parts I-III (as applicable) in the Research Training Program Plan, either in the [Program Plan Section or the Progress Report Section](#), as appropriate.**

For Research Performance Progress Reports (RPPRs), provide updated trainee information in Part I, reflecting new appointments and other changes over the reporting period. Do not include data older than 15 years. In Part II, provide updated information on clearly associated students, reflecting new entrants and other changes over the reporting period. In each subsequent year, continue to add new entrants and provide updated information about current and past clearly associated students until 15 years of data have been completed; do not include data older than 15 years.

#### **Part IV. Program Statistics**

In **Part IV**, report: 1) the percentage of trainees entering 10 years ago and receiving support from this training grant at some point during graduate school who received PhDs or equivalent research doctoral degrees, and 2) the average time to degree for all trainees appointed to this training grant completing PhDs in the last ten years, calculated to one decimal place (e.g., 5.5 years), excluding any officially-approved leaves of absence. Programs that have not received support for at least 10 years should not include the first section of the table (i.e., the percentage of trainees completing their degrees within 10 years). New programs that have not yet had any trainees complete the PhD should not include this table at all.

In calculating these program statistics, students leaving graduate school to transfer to medical school or other doctoral-level professional programs should be counted as part of the entering pool, but not as having earned a PhD-equivalent degree. Individuals transferring to or from PhD programs in similar fields at other institutions should be excluded from both the entering and graduating cohorts in calculating completion and time to degree.

Time to degree should be calculated as the period from enrollment in a doctoral degree program at the reporting institution to the conferral of a PhD or, in the case of dual-degree programs, both degrees, less any officially-approved leaves of absence. If a student earns a master's degree from the reporting institution prior to and in conjunction with fulfilling the requirements for the research doctoral degree, or an additional doctoral degree as part of a dual-degree program (e.g., MD/PhD, DDS/PhD), time to degree should be calculated from entry into the first degree program.

For RPPRs, summarize these data in the Accomplishments Section, in responding to the question, "What opportunities for training and professional development has the project provided?"

**Sample Table 8A. Program Outcomes: Predoctoral**

**Part I. Those Appointed to the Training Grant**

<b>Trainee</b>	<b>Faculty Member</b>	<b>Start Date</b>	<b>Summary of Support During Training</b>	<b>Terminal Degree(s) Received and Year(s)</b>	<b>Topic of Research Project</b>	<b>Initial Position Department Institution Activity</b>	<b>Current Position Department Institution Activity</b>	<b>Subsequent Grant(s)/ Role/Year Awarded</b>
Cox, Charles C.	Doe, John Smith, Jerry	09/1998	TY 1: <b>HL T32</b> TY 2: <b>HL T32</b> TY 3: HL F30 TY 4: HL F30 TY 5: HL F30 TY 6: Fdn RA	MD 2003 PhD 2003	The role of Notch in blood vessel maturation	Resident Internal Medicine Emory University Further Training	Assistant Professor Hematology Rutgers University Research-Related	HL K23/PI/2011 HL P01/Co-I/2014
Johnson, Gina R.	Doe, John	09/1998	TY 1: NSF F TY 2: NSF F TY 3: NSF F TY 4: <b>HL T32</b> TY 5: <b>HL T32</b> TY 6: GM R01	PhD 2003	Interactions between circadian rhythms, sleep & metabolism	Postdoctoral Fellow Molecular Biology UC San Francisco Further Training	Research Associate Molecular Biology UC San Francisco Research-Intensive	HL F32/PI/2005 GM R01/Staff Scientist/2011
Phelps, Ryan	Vasquez, Richard	09/1999	TY 1: <b>HL T32</b> TY 2: <b>HL T32</b>	MS 2001	Viral infections	Laboratory Technician Parke-Davis Research-Intensive	Laboratory Manager Pfizer Research-Related	

**Part II. Those Clearly Associated with the Training Grant**

Trainee	Faculty Member	Start Date	Summary of Support During Training	Terminal Degree(s) Received and Year(s)	Topic of Research Project	Initial Position Department Institution Activity	Current Position Department Institution Activity	Subsequent Grant(s)/ Role/Year Awarded
Robinson, Brian	Smith, Jerry	09/2010	TY 1: Univ S TY 2: CA R01 TY 3: CA R01 TY 4: Fdn F	In Training	Reconstitution of Tumor suppressor function			
O'Leary, Ann L.	Coates, Robert	09/2008	TY 1: GM T32 TY 2: GM T32 TY 3: CA T32 TY 4: CA F31 TY 5: CA F31	PhD 2013	Genetic Cancer Biomarkers	Postdoctoral Fellow Molecular Biology UCLA Research Intensive		

**Part III. Recent Graduates (Only for New Applications and for Postdoctoral Renewal/Revision Applications Requesting an Expansion for Predoctoral support)**

Trainee	Faculty Member	Start Date	Summary of Support During Training	Terminal Degree(s) Received and Year(s)	Topic of Research Project	Initial Position Department Institution Activity	Current Position Department Institution Activity	Subsequent Grant(s)/ Role/Year Awarded
Moore, Thomas P.	Trimmer, Sean R.	09/2007		PhD 2013	Src Kinase and Breast Cancer	Postdoctoral Fellow Medicine Boston University Further Training	Postdoctoral Fellow Medicine Boston University Further Training	
Rosenthal, Julia R.	Coates, Robert	09/2009		PhD 2014	Modulation of host cellular responses	Medical Student Medicine Northwestern University Further Training	Medical Student Medicine Northwestern University Further Training	

**Part IV. Program Statistics**

Percentage of Trainees Entering Graduate School 10 Years Ago Who Completed the PhD	Average Time to PhD for Trainees in the Last 10 Years (not including leaves of absence)
50.2%	6.5 years

## Table 8B. Program Outcomes: Short-Term

### Rationale

For renewal applications, this table provides information about the use of short-term training positions (e.g., distribution by faculty member, year in program, years of support per short-term trainee). The data also permit an evaluation of the effectiveness of the supported training program in achieving the training objectives of the prior award period(s) for up to 15 years.

### Instructions

If applicable, list sequentially, by year of appointment, all students who have been supported by the grant for short-term research training experiences in the last 15 years. If the grant has been active for less than 15 years, list all trainees to date.

For each trainee, provide:

- 1) **Trainee.** Provide the trainee name in the format Last Name, First Name and Middle Initial.
- 2) **Category of Trainee.** Provide the trainee category (e.g., Medical Student, Dental Student, Veterinary Student, Other Health Professional Student, or Quantitative Sciences Student)
- 3) **Faculty Member.** In the format of Last Name, First Name and Middle Initial., provide up to two primary research training faculty acting as mentors (these will be training grant faculty).
- 4) **Start Date.** Provide the calendar month and year of appointment as a short-term trainee on this grant, in the format MM/YYYY.
- 5) **Topic of Research Project.** Provide the topic of the research project.
- 6) **Subsequent Training or Related Award/Role/Year.** If applicable, provide any subsequent NIH and other HHS training, fellowship, research education, or career development support. List the awarding component, activity, role, and year (e.g., HD K23/PI/2013).

### Sample Table 8B. Program Outcomes: Short-Term

Trainee	Category of Trainee	Faculty Members	Start Date	Topic of Research Project	Subsequent Training or Related Award/Role/Year
Lin, Mari G.	Medical Student	Doe, John; Smith, Jerry	07/1998	PAI 1 and cardiac fibrosis	NS R25/Participant/2003 HL K23/PI/2006
Holmes, Will M.	Medical Student	Doe, John	07/1999	Study of Nonaccidental Brain Trauma	HD K12/Scholar/2005

## Table 8C. Program Outcomes: Postdoctoral

### Rationale

For new applications, this table provides information on the effectiveness of the proposed training program.

For renewal applications, this table provides detailed information about how postdoctoral training positions are used (i.e., distribution by year in program, distribution by faculty member, years of support per trainee). The data also permit an evaluation of the effectiveness of the supported training program in achieving the training objectives of the prior award period(s) for up to 15 years.

### Instructions

#### Part I. Those Appointed to the Training Grant

In **Part I**, list sequentially, by year of entry into the postdoctoral research training program, all trainees who have been supported by this grant at any time during the last 15 years, including those who did not complete the training program for any reason. If the grant has been active for less than 15 years, list all trainees to date.

For each trainee, provide:

- 1) **Trainee.** Provide the trainee name in the format Last Name, First Name and Middle Initial.
- 2) **Doctoral Degree(s) and Year(s).** Provide the trainee's doctoral degree(s) and the year(s) awarded.
- 3) **Faculty Member.** In the format of Last Name, First Name and Middle Initial., provide up to two primary research training faculty acting as mentors (for trainees, these will be training grant faculty). If not yet selected, indicate "TBD" (to be determined).
- 4) **Start Date.** Provide the calendar month and year of entry into postdoctoral research program in the format MM/YYYY. The entering year is the first year of postdoctoral research experience, excluding non-research clinical training (for trainees, this date may precede the appointment to the training grant).
- 5) **Summary of Support During Training.** Provide the primary source and type of support during each twelve-month period of training, using TY1 for Training Year 1, TY2 for Training Year 2, etc. Do not list individual mentored career development awards here; they will be captured under grant support obtained as a PD/PI. For NIH support, list the awarding component and the activity (e.g., CA R01). Bold the grant being reported in this application. For other sources and types of support, use the categories below, and report only the primary source and type of support for each training year.

#### Sources of Support

- Research grant (RG)
- Fellowship (F)
- Training Grant (TG)
- Other

#### Types of Support

- NSF
- Other Federal (Other Fed)
- University (Univ)
- Foundation (Fdn)
- Non-US
- Other

- 6) **Degree(s) resulting from Postdoctoral training and Year(s).** If applicable, provide any degrees resulting from the postdoctoral training and the year awarded. If the training program does not offer degrees, indicate “none.” Trainees currently in the program should be designated “in training.”
- 7) **Topic of Research Project.** Provide the topic of the research project.
- 8) **Initial Position, Department, Institution, Activity; and Current Position, Department, Institution, Activity.** For trainees who have completed or left the program, their initial and current positions, department, and institution. If individuals hold joint appointments/positions, list only the primary position. If information is not available, report “unknown.” Classify each position as predominantly Research-intensive, Research-related, Further Training, or Other. Research-related positions generally require a doctoral degree, and may include activities such as teaching, administering research or higher education programs, science policy, or technology transfer.
- 9) **Subsequent Grant(s)/Role/Year Awarded.** If applicable, subsequent fellowship, career development or research grant support obtained from any source, whether as PD/PI or in another senior role (i.e., co-investigator, faculty collaborator, or staff scientist). For NIH and other HHS support, list the awarding component, activity, role, and year (e.g., GM R01/Staff Scientist/2011). Up to five grants may be listed.

## Part II. Those Clearly Associated with the Training Grant

In Part II, if applicable, list any **current** postdoctorates clearly associated with the training grant who have been supported by NIH funds other than this training grant, and provide the information described in Part I, items 1-9, above, for each. “Clearly associated” postdoctorates are those with a training experience identical to those appointed to this training grant, but who are supported by other forms of NIH or HHS funding (e.g., fellowships or research grants). Note that, for some postdoctoral programs, Part II may not be applicable.

## Part III. Recent Graduates

In **Part III (only for new applications and predoctoral renewal/revision applications requesting an expansion to postdoctoral support)**, list sequentially all postdoctorates **completing** the proposed program in the last five years who would have been eligible for appointment, if an NIH training or related award were available (in most cases, these will be U.S. citizens or permanent residents). For each postdoctorate, provide the information described in Part I, items 1-4 and 6-9, above.

**Summarize the data from Parts I-III (as applicable) in the Research Training Program Plan, either in the [Program Plan Section or the Progress Report Section](#), as appropriate.**

For RPPRs, provide updated trainee information in Part I, reflecting new appointments and other changes over the reporting period. Do not include data that are older than 15 years. In Part II, if applicable, provide updated information on clearly associated postdoctorates, reflecting new entrants and other changes over the reporting period. In each subsequent year, continue to add new entrants and provide updated information about current and past postdoctorates until 15 years of data have been completed; do not include data older than 15 years.

Summarize these data in the RPPR, in the Accomplishments Section, in responding to the question, “What opportunities for training and professional development has the project provided?”

**Sample Table 8C. Program Outcomes: Postdoctoral**

**Part I. Those Appointed to the Training Grant**

Trainee	Doctoral Degree(s) and Year(s)	Faculty Member	Start Date	Summary of Support During Training	Degree(s) Resulting from Post-doctoral Training and Year(s)	Topic of Research Project	Initial Position Department Institution Activity	Current Position Department Institution Activity	Subsequent Grant(s)/Role/Year Awarded
Sanchez, Gregory B.	PhD 2007	Brown, James	07/2007	TY 1: HL T32 TY 2: HL T32 TY 3: CA R01 TY 4: CA R01	None	Uterine cancer and developmental biology	Staff Scientist Radiology MGH Research-Intensive	Assistant Professor Radiology University of Arizona Research-Intensive	CA K99/PI/2011 CA R00/PI/2013
Cox, Jennifer H.	MD 2003 PhD 2003	Doe, John	08/2008	TY 1: HL T32 TY 2: HL T32	MPH 2009	Molecular and functional dissection of hematopoietic stem cell niche	Instructor Internal Medicine Columbia Research-Related	Associate Professor Hematology Rutgers Research-Intensive	DK K08/PI/2011 DK R01/ Faculty Collaborator/2013

**Part II. Those Clearly Associated with the Training Grant**

Trainee	Doctoral Degree(s) and Year(s)	Faculty Member	Start Date	Summary of Support During Training	Degree(s) Resulting from Post-doctoral Training and Year(s)	Topic of Research Project	Initial Position Department Institution Activity	Current Position Department Institution Activity	Subsequent Grant(s)/Role/Year Awarded
McInnes, Julie	MD 2004	Welte, Duncan	07/2009	TY 1: HD K12 TY 2: HD K12	MPH 2011	Maternal Depression related to hospitalization in a Neonatal Intensive Care Unit	Assistant Professor Pediatrics Yale Research-Related	Associate Professor Pediatrics Yale Research-Intensive	HS R01/PI/2013

**Part III. Recent Graduates (Only For New Applications and Predoctoral Renewal/Revision Applications Requesting Postdoctoral Support)**

<b>Trainee</b>	<b>Doctoral Degree(s) and Year(s)</b>	<b>Faculty Member</b>	<b>Start Date</b>	<b>Summary of Support During Training</b>	<b>Degree(s) Resulting from Post-doctoral Training and Year(s)</b>	<b>Topic of Research Project</b>	<b>Initial Position Department Institution Activity</b>	<b>Current Position Department Institution Activity</b>	<b>Subsequent Grant(s)/Role/Year Awarded</b>
Roosevelt, Albert S.	PhD 2006	McIver, Rosalie	01/2007		None	Estrogen receptors and ovarian cancer	Assistant Professor Biology University of Colorado Research-Intensive	Assistant Professor Biology University of Colorado Research-Intensive	CA R21/PI/2013
Taylor, Susanna G.	PhD 2005 MD 2007	Welte, Duncan	07/2008		None	New inhibitors for cancer imaging	Staff Scientist Radiology Massachusetts General Hospital Research-Intensive	Staff Scientist Radiology Massachusetts General Hospital Research-Intensive	NSF/PI/2014

**U.S. Department of Health and Human Services  
Public Health Service**

**Information and Instructions for Completing  
Statement of Appointment (Form PHS 2271)**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **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.** Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0002). 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 individual and institutional research training programs (e.g., the NIH intramural research training award program and T15 training grants). 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 may or may 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

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.** Self-explanatory.

**Item 3. Sex.** Self-explanatory.

**Item 4. Type of Action.**

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

**Item 5. Prior NRSA Support.** Provide information on support from any Kirschstein-NRSA grants and

awards received prior to this grant year.

**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) or the NIH intramural research training award program for citizenship requirements.

**Item 9. Permanent Address.** Provide mailing and e-mail addresses by which the appointed individual can be reached **after** completion of support from the program. (Do not give current addresses unless they are 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".

## **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, as described in the Americans with Disabilities Act of 1990, as amended.

## **13. Are you from a disadvantaged background?**

Applies to high school and undergraduate appointees only.

**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. 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>.
2. Comes from an 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.

**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.

<b>BIOLOGICAL/BIOMEDICAL SCIENCES</b>			
130 Anatomy	142 Developmental Biology/Embryology	175 Pathology, Human & Animal	
110 Bacteriology	139 Ecology	180 Pharmacology, Human & Animal	
100 Biochemistry	145 Endocrinology	185 Physiology, Human & Animal	
102 Bioinformatics	148 Entomology	115 Plant Genetics	
103 Biomedical Sciences ( <i>see also Statistics in MATHEMATICS and SOCIAL SCIENCES</i> )	167 Environmental Toxicology	120 Plant Pathology/Phytopathology	
	137 Evolutionary Biology	125 Plant Physiology	
133 Biometrics & Biostatistics	170 Genetics/Genomics, Human & Animal	155 Structural Biology	
105 Biophysics ( <i>also in Physics</i> )	151 Immunology	169 Toxicology	
107 Biotechnology	152 Marine Biology & Biological Oceanography	168 Virology	
129 Botany/Plant Biology	157 Microbiology	189 Zoology	
158 Cancer Biology	154 Molecular Biology	198 Biology/Biomedical Sciences, General	
136 Cell/Cellular Biology & Histology	160 Neurosciences & Neurobiology	199 Biology/Biomedical Sciences, Other	
104 Computational Biology	163 Nutrition Sciences		
	166 Parasitology		
<b>HEALTH SCIENCES</b>			
290 Clinical and Translational Sciences	212 Health Systems/Service Administration		
	222 Kinesiology/Exercise Physiology	245 Rehabilitation/Therapeutic Services	
210 Environmental Health	240 Medicinal/Pharmaceutical Sciences	200 Speech-Language Pathology & Audiology	
220 Epidemiology	230 Nursing Science	250 Veterinary Sciences	
227 Gerontology ( <i>Also in Social Sciences</i> )	207 Oral Biology/Oral Pathology	298 Health Sciences, General	
217 Health Policy Analysis	215 Public Health	299 Health Sciences, Other	
<b>CHEMISTRY</b>			
526 Organic Chemistry	539 Chemistry, Other		
<b>PHYSICS</b>			
565 Biophysics ( <i>also in BIOLOGICAL SCIENCES</i> )	577 Medical Physics/Radiological Science	579 Physics, Other	
<b>COMPUTER SCIENCES</b>			
410 Information Sciences & Systems ( <i>see also Bioinformatics in BIOLOGICAL SCIENCES</i> )	419 Computer & Information Science, Other		
<b>MATHEMATICS</b>			
450 Statistics ( <i>also in SOCIAL SCIENCES; see also Biometrics and Statistics in BIOLOGICAL SCIENCES</i> )			
<b>ENGINEERING</b>			
306 Bioengineering & Biomedical Engineering	399 Engineering, Other		

<b>PSYCHOLOGY</b>		
600 Clinical Psychology	614 Health & Medical Psychology	633 Psychometrics & Quantitative Psychology
603 Cognitive Psychology & Psycholinguistics	627 Neuropsychology/Physiological Psychology	639 Social Psychology
612 Developmental & Child Psychology	624 Personality Psychology	649 Psychology, Other
615 Experimental Psychology		
<b>SOCIAL SCIENCES</b>		
662 Demography/Population Studies	690 Statistics ( <i>also in MATHEMATICS; see also Biometrics and Statistics in BIOLOGICAL SCIENCES</i> )	699 Social Sciences, Other
684 Gerontology ( <i>also in HEALTH SCIENCES</i> )		
<b>OTHER FIELDS</b>		
980 Social Work	989 Other	

**Item 15. Period of this Appointment.** The period shown must always be 8 weeks or more and in most cases will be 12 months. Appointment periods may exceed 12 months in rare cases and only with prior approval from the PHS.

**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 and the expected completion date (mm/yyyy). Indicate whether the appointee is in a dual degree program (e.g., M.D./Ph.D.). Appointees in dual-degree programs (e.g., M.D./Ph.D., D.D.D./Ph.D.) should report all degrees being sought.

**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 the stipend amount. CDC trainees should provide the 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.

**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.

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.

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

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

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

**Follow attached instructions carefully.** Submit this form to the PHS awarding component at the time the individual is appointed, is reappointed, or the reported appointment is amended. For a new postdoctoral trainee under a Kirschstein-NRSA award, a 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.		<input type="checkbox"/> M	<input type="checkbox"/> F

4. TYPE OF ACTION (Check only one type)		5. PRIOR NRSA SUPPORT (Individual or institutional)	
<input type="checkbox"/> NEW appointment (NOT previously supported by this grant) <input type="checkbox"/> REAPPOINTMENT (Previously supported by this grant) <input type="checkbox"/> AMENDMENT of items checked: <input type="checkbox"/> 15 <input type="checkbox"/> 20		<input type="checkbox"/> NO <input type="checkbox"/> YES (If "Yes," see instructions)	

6. SOCIAL SECURITY NO. XXX-XX-	7. BIRTHDATE (Month, day, year)
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8. CITIZENSHIP (See instructions)		9. PERMANENT MAILING ADDRESS	
<input type="checkbox"/> U.S. Citizen or Noncitizen National  Non-U.S. Citizen  <input type="checkbox"/> With a Permanent U.S. Resident Visa ("Green Card") <input type="checkbox"/> With a Temporary U.S. Visa  If not a U.S. citizen, of which country are you a citizen?		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		12. Do you have a disability?	
<input type="checkbox"/> American Indian or Alaska Native <input type="checkbox"/> Native Hawaiian or other Pacific Islander <input type="checkbox"/> Asian <input type="checkbox"/> Black or African American <input type="checkbox"/> White <input type="checkbox"/> Do Not Wish to Provide		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> Do Not Wish to Provide	
		If yes, which of the following categories describe your disability(ies):	
		<input type="checkbox"/> Hearing	<input type="checkbox"/> Mobility/Orthopedic Impairment
		<input type="checkbox"/> Visual	<input type="checkbox"/> Other
		13. Are you from a disadvantaged background? (Applies to high school and undergraduate appointees only)	
		<input type="checkbox"/> Not Applicable <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> Do Not Wish to Provide	

14. FIELD OF RESEARCH TRAINING OR CAREER DEVELOPMENT (for this appointment)				15. PERIOD OF APPOINTMENT (Month, day, year)	
Enter a 3 digit code from instructions: <input type="text"/> <input type="text"/> <input type="text"/>				From: <input type="text"/> To: <input type="text"/>	

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.		

17. NAME OF SPECIALTY BOARDS (if applicable)

18. DEGREE(S) SOUGHT  YES  NO

If yes, indicate type of degree(s)

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

19. EXPECTED COMPLETION DATE FOR DEGREE(S) (mm/yyyy, if applicable)

20. SUPPORT FOR PERIOD OF APPOINTMENT

TYPE	Total for this Grant (Omit cents)
Stipend / Salary / Other Compensation	\$
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.)

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 APPOINTEE	(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.	(a) SIGNATURE OF PROGRAM DIRECTOR	(b) DATE

(c) NAME OF PROGRAM DIRECTOR

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

## 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  
Pediatric Anesthesiology  
Sleep Medicine

Colon and Rectal Surgery  
Colon and Rectal Surgery

Dermatology  
Dermatology (General)  
Dermatopathology  
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)  
Anesthesiology Critical Care Medicine  
Emergency Medical Services  
Hospice and Palliative Medicine  
Internal Medicine-Critical Care  
Medicine  
Medical Toxicology  
Pediatric Emergency Medicine  
Sports Medicine  
Undersea and Hyperbaric Medicine

Family Medicine  
Family Medicine (General)  
Adolescent Medicine  
Adult Congenital Heart Disease  
Geriatric Medicine  
Hospice and Palliative Medicine  
Sleep Medicine  
Sports Medicine

Internal Medicine  
Internal Medicine (General)  
Adolescent Medicine  
Advanced Heart Failure and Transplant  
Cardiology  
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  
Medical Biochemical Genetics  
Molecular Genetic Pathology

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, Nurse Practitioner  
Gerontological Nurse Practitioner  
Clinical Nurse Specialist in Adult  
Psychiatric and Mental Health  
Nursing  
Clinical Nurse Specialist in Advanced  
Diabetes Nursing  
Clinical Nurse Specialist in Child and  
Adolescent Psychiatric and Mental  
Health Nursing  
Clinical Nurse Specialist in  
Gerontological Nursing  
Clinical Nurse Specialist in Home  
Health Nursing  
Clinical Nurse Specialist in Pediatric  
Nursing  
Clinical Nurse Specialist in  
Public/Community Health 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  
Female Pelvic Medicine and  
Reconstructive Surgery  
Gynecologic Oncology  
Hospice and Palliative Medicine  
Maternal and Fetal Medicine  
Reproductive Endocrinology/Infertility

Ophthalmology  
Ophthalmology

Orthopedic Surgery  
Orthopedic Surgery (General)  
Orthopedic Sports Medicine  
Surgery of the Hand

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

Pathology  
Pathology - Anatomic/Pathology -  
Clinical  
Pathology - Anatomic  
Pathology - Clinical  
Blood Banking/Transfusion Medicine  
Clinical Informatics  
Cytopathology  
Dermatopathology  
Neuropathology  
Pathology – Chemical  
Pathology – Forensic  
Pathology – Hematology  
Pathology – Medical Microbiology  
Pathology – Molecular Genetic  
Pathology – Pediatric

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)  
Brain Injury Medicine  
Hospice and Palliative Medicine  
Neuromuscular Medicine  
Pain 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

Preventive Medicine

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

Psychiatry and Neurology

Neurology (General)  
Psychiatry (General)  
Addiction Psychiatry  
Brain Injury Medicine  
Child and Adolescent Psychiatry

Clinical Neurophysiology

Epilepsy  
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  
Interventional Radiology and Diagnostic Radiology  
Medical Physics  
Neuroradiology  
Nuclear Radiology  
Pediatric Radiology

Radiation Oncology  
Vascular and Interventional Radiology

Surgery

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

Thoracic Surgery

Thoracic and Cardiac Surgery (General)  
Congenital Cardiac Surgery

Urology

Urology (General)  
Female Pelvic Medicine and Reconstructive Surgery  
Pediatric Urology

## Ruth L. Kirschstein National Research Service Award Payback Agreement

***To be completed by Trainees and Fellows before beginning the first 12 months of postdoctoral support.***  
**COMPLETED FORM SHOULD BE MAILED TO THE AWARDING FEDERAL AGENCY GRANTS  
MANAGEMENT OFFICE NAMED IN THE NOTICE OF AWARD.**

### THIS AGREEMENT IS A REQUIRED CONDITION OF AWARD.

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 not 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 not 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>.

### 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 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.

For additional questions regarding the Payback Agreement contact:

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

**DO NOT RETURN THE COMPLETED FORM TO THIS ADDRESS.**

### **VII. MAILING**

The completed form should be mailed to the awarding Federal Agency Grants Management Office named in the Notice of Award.

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing collection of information. **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.** Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0001). Do not return the completed form to this address.

<b>Name (Last, first, middle):</b>		<b>Nine Digit Social Security No. (Required):</b> - -	
<b>Signature:</b>		<b>Date:</b>	
<b>Support received under the awarding Federal agency Award/Grant Number:</b>			
<b>Mailing Address:</b>			
<b>E-mail:</b>			

**Privacy Act Statement.** The NIH maintains application and grant records as part of a system of records as defined by the Privacy Act: NIH 09-25-0036, *Extramural Awards and Chartered Advisory Committees (IMPAC 2)*, *Contract Information (DCIS)*, and *Cooperative Agreement Information*, HHS/NIH: <http://oma.od.nih.gov/ms/privacy/pa-files/0036.htm>.

## 11.4 Payback Requirements

### 11.4.1 General

The Kirschstein-NRSA legislation requires some recipients of support (fellows or trainees) to pay back the Federal government by engaging in health-related biomedical or behavioral research, including the direct administration or review of health-related research, health-related teaching, or any combination of these activities. See [Payback—Service Payback—Definitions](#) in this subsection for complete coverage of requirements.

### 11.4.2 Implementation

The incurrence of a payback obligation for an NRSA recipient is solely dependent upon when NRSA support was received. This section reflects current Payback requirements for individuals supported on/after June 10, 1993. [Payback requirements](#) for individuals supported before June 10, 1993 are found on the Payback Service Center Home Page.

**Predocutorial Recipients.** For predocutorial trainees no payback obligation is incurred. Thus a Payback Agreement Form (PHS 6031) is not required.

**Postdoctoral Recipients.** For individuals receiving postdoctoral support under individual fellowships or institutional research training grants, a payback obligation is incurred for the first 12 months of Kirschstein-NRSA support. However, the 13th and subsequent months of postdoctoral NRSA supported research training serves to pay back this obligation month by month. A Payback Agreement (PHS 6031) is required but only for the initial 12-month postdoctoral support period.

**Short-Term Training.** Any individual receiving support for predocutorial short-term training does not incur a payback obligation; however, postdoctoral short-term training does incur a payback obligation. Support for short-term training accrues, along with any subsequent NRSA postdoctoral support, until the first 12 months is established. At that point, the 13th and subsequent months of support serve to offset the obligation month by month. If subsequent postdoctoral support is not received, the individual has an obligation to pay back in the traditional manner.

### 11.4.3 Payback

Once a Termination Notice has been submitted and accepted, the NIH awarding IC determines if a payback obligation exists. When a trainee or fellow must pay back, the Termination Notice and related documents are forwarded to the NIH Kirschstein-NRSA Payback Service Center (PSC). PSC personnel are NIH's experts in Kirschstein-NRSA payback requirements. The PSC administers the payback activities of all of the NIH ICs. The authorities related to payback normally delegated to the IC are delegated to the Chief, Kirschstein-NRSA PSC. The PSC retains all records until an obligation is satisfied, and then transfers closed records to the Federal Records Center.

Most Kirschstein-NRSA recipients eventually fulfill their payback obligation by engaging in activities that are determined to be acceptable service. Some recipients fulfill their obligation via financial payback. On rare occasions, the payback obligation is waived.

As indicated in [Payback Reporting Requirements—Implementation](#) in this subsection, the amount of a payback obligation incurred is solely dependent on the total period of support and the laws in effect when the Kirschstein-NRSA support was received.

#### 11.4.3.1 Service Payback

##### 11.4.3.1.1 Definitions

For fulfilling the Kirschstein-NRSA service payback obligation, the following definitions apply:

- **Research.** Research is defined as an activity that involves designing experiments, developing protocols, and collecting and interpreting data. In addition, review of original research or administration of original research that includes providing scientific direction and guidance to research may be acceptable if a doctoral degree and relevant research experience is required for individuals filling such positions. Such research can be conducted in an academic, government, commercial, or other environment in either a foreign or domestic setting. In addition, when consistent with the cumulative amount, type, and frequency of research or research training experiences, functions that involve analytic or other technical activities conducted in direct support of research, as defined above, will also satisfy the service payback obligation.
- **Teaching.** Teaching is an instructional activity that takes place in an organized educational or other instructional environment. Activities classified as teaching are generally carried out in a formal didactic setting, but other activities will be considered if they are consistent with the certifying institution's policy on the definition of teaching responsibilities. Such teaching can be conducted at universities, professional schools, research institutes, teaching hospitals, primary schools, secondary schools, or colleges. When calculating hours of teaching per week, it is permissible to include 3 hours of preparation time for each hour of direct instruction. Acceptable teaching activities must have a biomedical or health-related relevance.
- **Health-Related Activities.** This incorporates a broad range of activities related to the description, diagnosis, prevention, or treatment of disease from the most basic biomedical or behavioral research to the most applied or clinical research. Activities in fields other than those usually considered to be directly related to human disease, such as agriculture, environmental sciences, biotechnology, and bioengineering, also will be considered health-related.

#### **11.4.3.1.2 Time Commitment**

All acceptable activities must be undertaken for periods that average at least 20 hours per week. Total employment in such activities averaging less than 20 hours per week cannot be counted toward fulfilling the obligation except in cases of disability or other pressing personal or family circumstances, such as child care or elder care responsibilities. It is not permissible for individuals otherwise engaged in full-time employment to engage in service payback activities at effort levels below 20 hours per week.

If less than 20 hours commitment per week is permitted, the total period of service obligation will be prorated. For example, an individual who owes 12 months of service and can devote only 10 hours per week to service payback activities due to a disability will be required to engage in such service for 24 months. These exceptions are rare and must receive prior approval from the PSC.

#### **11.4.3.1.3 Initiation of Payback Service**

Service payback obligations for postdoctoral recipients may be discharged by

- receiving an equal number of months of postdoctoral Kirschstein-NRSA support beginning in the 13th month of such postdoctoral Kirschstein-NRSA support, or
- engaging in an equal number of months of health-related research, training, or teaching averaging more than 20 hours per week.

#### **11.4.3.1.4 Source of Funding**

There is no restriction on the source of funds supporting an individual's service payback activity. An individual could be supported by a PHS grant or any non-Kirschstein-NRSA Federal or non-Federal source. Unpaid service also is permitted.

#### **11.4.3.1.5 Timing of Service Obligation**

An individual must begin to undertake the payback service requirement within 2 years after the termination date of the individual's Kirschstein-NRSA support unless an extension of time to begin payback has been approved by the PSC (see [Payback—Extensions of Payback—Extensions of the 2-Year Period to Initiate Payback](#) below).

## 11.4.3.2 Financial Payback

### 11.4.3.2.1 Policy and Principal Calculation

If an individual does not perform payback service, the Federal government shall be entitled to recover certain costs. The amount the United States is entitled to recover depends on when support was received. Calculation formulas take into account the total amount paid the individual (see [Interest and Interest Rate Calculation](#) below), less any obligation already fulfilled through service or legislative allowance when applicable. The total paid an individual under an institutional research training grant or individual fellowship award at a domestic, non-Federal sponsoring institution is considered to be the stipend only. The total paid an individual under a fellowship award at a foreign sponsoring institution includes the payment for the round-trip travel costs. The total paid an individual under a fellowship award at a Federal sponsoring institution includes any money expended from the institutional allowance provided for such purposes as health insurance, travel, tuition, and fees.

### 11.4.3.2.2 Interest and Interest Rate Calculation

NIH computes interest on the principal amount beginning on the date the United States became entitled to recover stipends. The interest rate is the rate fixed by the Secretary of the Treasury after considering prevailing consumer rates of interest. Accordingly, interest may accrue on any Kirschstein-NRSA obligation if the 2-year grace period has passed, if deferment has expired, or if service has terminated before completion of the payback obligation. The Department of the Treasury certifies Kirschstein-NRSA interest rates quarterly. Interest is computed on a 360 day-a-year basis and is applied through the date of receipt. Any outstanding amount will continue to bear interest at the initial rate set by the Secretary of the Treasury until financial payback is complete.

The date that sets the applicable rate of interest depends on the type of Kirschstein-NRSA account received for collection. If financial payback is voluntary, the signature date of the notification of voluntary payback is the date that determines the interest rate as well as the initiation of the 3-year repayment period. If financial payback is involuntary, the date that sets the interest rate and the 3-year repayment period is the date of expiration of the 2-year period following the termination of Kirschstein-NRSA support. For example, if during June 2007, OFM received an account reflecting January 31, 2005, as the termination date of NRSA support, the Federal government, lacking any documentation to the contrary, becomes entitled to financial payback effective February 1, 2005. The rate of interest applicable is determined based on the February 1, 2005, date, and the total NRSA obligation is required to be fulfilled by January 31, 2008.

The amount to be recovered financially, as determined from the Termination Notice plus applicable interest, shall be paid to the United States within the 3-year period following such date.

## 11.4.3.3 Extensions of Payback

The authorizing legislation and the implementing regulations (42 CFR part 66) permit exceptions to certain requirements under the Act.

### 11.4.3.3.1 Extensions of the 2-Year Period to Initiate Payback

An extension of the 2-year period to initiate payback may be requested in the Annual Payback Activities Certification form. Indication of valid plans to initiate payback soon after the 2-year grace period may be good reason to grant an extension.

### 11.4.3.3.2 Basis for Extensions or Break in Service

The PSC may extend the period for undertaking payback service or permit breaks in continuous service. These determinations are based on the following criteria:

- An extension or break in service is necessary so the individual may complete his or her research or clinical training.

- An extension or break in service is necessary so the individual may participate in the NIH Loan Repayment Program.
- The individual is unable to complete the requirements within the specified period because of a temporary disability.
- Completion by the individual of the requirement within the specified period would involve substantial hardship to the individual, and failure to extend the period would be against equity and good conscience.

Reasons for an extension or break in service include, for example, completing residency training where clinical teaching or research are not an integral part of the training, or seeking employment that would fulfill the payback requirements.

Requests must be made in writing (separate letter or APAC) to the PSC, specifying the need for additional time and the length of the requested extension.

### 11.4.3.4 Waiver

#### 11.4.3.4.1 Policy

The authorizing legislation and the implementing regulation (42 CFR part 66) permit exceptions to certain requirements under the Act. NIH may waive, in whole or in part, the payback obligation, upon determination that compliance by the individual is impossible or would involve substantial hardship, and enforcement of the individual's obligation would be against equity and good conscience.

#### 11.4.3.4.2 Waiver Criteria

Requests for waivers should be made in writing to the PSC and should include an explanation of the need for the waiver according to the following criteria:

- Compliance by an individual will be deemed impossible if the individual is permanently, and totally disabled.
- In determining whether compliance would involve substantial hardship to the individual and would be inequitable, the PSC will consider the individual's
  - financial resources and obligations at the time of request for a waiver and
  - estimated future financial resources and obligations.
- In rare cases, the following also may be considered:
  - Reasons for the individual's failure to complete the requirements within the prescribed period, such as personal problems;
  - Extent to which the individual has engaged in payback activities;
  - Sufficiency of training to qualify the individual to perform such activities;
  - Lack of employment opportunities appropriate to the individual's education and training;
  - Any other extenuating circumstances.

Any obligation of any individual toward payback will be canceled upon death of the individual.

### 11.4.4 Certification of Payback Activities

#### 11.4.4.1 Annual Payback Activities Certification (Form PHS 6031-1)

#### 11.4.4.2 Annual Certification

Payback service is certified through the use of the Kirschstein-NRSA APAC (PHS 6031-1). Individuals with an outstanding payback obligation must complete an APAC annually until their payback obligation is fulfilled.

If an individual has a payback obligation, an APAC is sent by the PSC approximately one year after the completion of Kirschstein-NRSA support. Payback service may be initiated within the first 12 months of termination even though trainees and fellows have up to 24 months to initiate payback. There is no

penalty to those individuals who do not initiate payback within the first 12 months; however, it is critical that they complete an APAC form to ensure contact is maintained and addresses are current.

The individual will report on the APAC the activity in which he or she was engaged for the preceding 12 months, within the specified reporting period. These forms are to be returned within 30 days of the reporting period end date to the address specified on the mailing label included with the form.

The PSC reviews the forms, determines acceptability of reported activities, and then informs the former trainee or fellow of his or her status. This process will continue annually until the individual's total payback obligation is satisfied.

#### **11.4.4.3 Change of Address**

Any change in the mailing address of a Kirschstein-NRSA recipient must be reported promptly to the PSC until the service obligation is fully discharged. Notification of changes can be made by letter, telephone, fax, or e-mail to [NRSAPaybackCenter@mail.nih.gov](mailto:NRSAPaybackCenter@mail.nih.gov).

#### **11.4.4.4 Breaks in Kirschstein-NRSA Support**

Sometimes a trainee/fellow will have a period of non-Kirschstein-NRSA support between two Kirschstein-NRSA awards. An appropriate activity performed during this period of time may count for payback purposes toward the first Kirschstein-NRSA award. If the nonsupport period is 6 months or longer, the individual receives an APAC form through the regular mechanism. However, if the break is less than 6 months, an APAC will not be mailed automatically. If acceptable payback service was performed during the break, the individual may complete an APAC, which can be obtained from the NIH Web site at <http://grants.nih.gov/grants/forms.htm>.

#### **11.4.4.5 National Health Service Corps**

A Kirschstein-NRSA recipient may have also been a National Health Service Corps (NHSC) scholar. Legislative changes effective October 26, 2002, eliminated the previously existing concurrent payback option. As a result, Kirschstein-NRSA recipients that also are NHSC scholars now are required to fulfill their NHSC service commitment through direct clinical service to the underserved in accordance with NHSC policy. Any Kirschstein-NRSA payback must be fulfilled separately through acceptable Kirschstein-NRSA payback service.

## Information and Instructions for Completing a Termination Notice

*(Completed form should be submitted 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 individual and institutional research training programs (e.g., NIH intramural research training awards and T15 training grants), 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)).

(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) Self-explanatory.

(Item 2) Provide the complete grant or award number that supported your last year of research training, career development, or research education, and for which this termination notice is being submitted (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 information vital 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) were (or are expected to 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 (training at) Federal or foreign institutions must include all money paid directly to them 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) If you will be beginning a new position after the termination of your appointment or fellowship provide post-award title, address, and phone number, if known.

(Item 10) **For Kirschstein-NRSA Awards Only** -- Provide contact information for how you can be reached following your Kirschstein-NRSA training.

(Item 11) **For Kirschstein-NRSA Awards Only** -- Provide information on prior support from any other Kirschstein-NRSA grants and awards or the NIH Loan Repayment Program. If you received National Health Service Corps (NHSC) scholarships for which you still have a service obligation, report the number of months of support. 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.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **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.** Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0002). Do not return the completed form to this address.

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

3. NAME OF SPONSORING INSTITUTION	4. SOCIAL SECURITY NO. XXX-XX-	5. DEGREE(S) EARNED/ COMPLETION DATE(S)
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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	NUMBER OF Days	YEAR OF SUPPORT	AMOUNT OF STIPEND	NUMBER OF Months	NUMBER OF Days
1 <sup>ST</sup> YEAR				5 <sup>TH</sup> YEAR			
2 <sup>ND</sup> YEAR				6 <sup>TH</sup> YEAR			
3 <sup>RD</sup> YEAR				7 <sup>TH</sup> YEAR			
4 <sup>TH</sup> YEAR				<b>TOTALS</b>			

8. Provide a summary of the training, career development, or research education received and the research undertaken during fellowship or appointment period, and describe how it furthered your career. List publications, if any, resulting from the research during this period. List grants and career awards pending and received. *If a fellowship or appointment is being terminated early, indicate the reason.*

9a. POST-AWARD INFORMATION: Please mark a single box in each of the categories below.	9b. POST-AWARD POSITION TITLE, ORGANIZATION, CITY, AND STATE ( <i>if known</i> )			
<table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%; border-right: 1px solid black; padding: 5px;">                     Type of Position  <input type="checkbox"/> Student  <input type="checkbox"/> Resident/Clinical Fellow  <input type="checkbox"/> Postdoctoral Researcher  <input type="checkbox"/> Research Scientist (non-faculty)  <input type="checkbox"/> Faculty: Tenure-Track  <input type="checkbox"/> Faculty: Other  <input type="checkbox"/> Clinical Staff/Private Practice  <input type="checkbox"/> Unknown  <input type="checkbox"/> Other:                 </td> <td style="width:33%; border-right: 1px solid black; padding: 5px;">                     Activity  <input type="checkbox"/> Further Education/Training  <input type="checkbox"/> Teaching  <input type="checkbox"/> Research  <input type="checkbox"/> Administration  <input type="checkbox"/> Clinical Practice  <input type="checkbox"/> Unknown  <input type="checkbox"/> Other:                 </td> <td style="padding: 5px;">                     Organization  <input type="checkbox"/> Academic  <input type="checkbox"/> Industry  <input type="checkbox"/> Government  <input type="checkbox"/> Hospital  <input type="checkbox"/> Non-profit  <input type="checkbox"/> Unknown  <input type="checkbox"/> Other:                 </td> </tr> </table>	Type of Position <input type="checkbox"/> Student <input type="checkbox"/> Resident/Clinical Fellow <input type="checkbox"/> Postdoctoral Researcher <input type="checkbox"/> Research Scientist (non-faculty) <input type="checkbox"/> Faculty: Tenure-Track <input type="checkbox"/> Faculty: Other <input type="checkbox"/> Clinical Staff/Private Practice <input type="checkbox"/> Unknown <input type="checkbox"/> Other:	Activity <input type="checkbox"/> Further Education/Training <input type="checkbox"/> Teaching <input type="checkbox"/> Research <input type="checkbox"/> Administration <input type="checkbox"/> Clinical Practice <input type="checkbox"/> Unknown <input type="checkbox"/> Other:	Organization <input type="checkbox"/> Academic <input type="checkbox"/> Industry <input type="checkbox"/> Government <input type="checkbox"/> Hospital <input type="checkbox"/> Non-profit <input type="checkbox"/> Unknown <input type="checkbox"/> Other:	9c. E-MAIL
Type of Position <input type="checkbox"/> Student <input type="checkbox"/> Resident/Clinical Fellow <input type="checkbox"/> Postdoctoral Researcher <input type="checkbox"/> Research Scientist (non-faculty) <input type="checkbox"/> Faculty: Tenure-Track <input type="checkbox"/> Faculty: Other <input type="checkbox"/> Clinical Staff/Private Practice <input type="checkbox"/> Unknown <input type="checkbox"/> Other:	Activity <input type="checkbox"/> Further Education/Training <input type="checkbox"/> Teaching <input type="checkbox"/> Research <input type="checkbox"/> Administration <input type="checkbox"/> Clinical Practice <input type="checkbox"/> Unknown <input type="checkbox"/> Other:	Organization <input type="checkbox"/> Academic <input type="checkbox"/> Industry <input type="checkbox"/> Government <input type="checkbox"/> Hospital <input type="checkbox"/> Non-profit <input type="checkbox"/> Unknown <input type="checkbox"/> Other:		

10a. POST-AWARD MAILING ADDRESS (Street, city, state, zip code)	11. OTHER RELEVANT PHS SUPPORT <input type="checkbox"/> Kirschstein-NRSA  Period of support:  Grant No.:  <input type="checkbox"/> NIH Loan Repayment Program  <input type="checkbox"/> NHSC Scholarship: No. of months:
10b. TEL NO.	
E-MAIL:	

12. SIGNATURE OF FELLOW OR APPOINTEE (See specific instructions)	DATE
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**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
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**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 AWARING OFFICE
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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **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.** Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: NIH, Project Clearance Branch, 6705 Rockledge Drive, MSC 7974, Bethesda, MD 20892-7974, ATTN: PRA (0925-0002). Do not send reports to this address.

Revised 06/15	Form Approved Through 10/31/2018 OMB No. 0925-0002
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Program Director/Principal Investigator (Last, First, Middle):

## Trainee Diversity Report

**This report format should NOT be used for data collection from trainees.**

**Training Grant Title:** \_\_\_\_\_

**Total Number of Appointed:** \_\_\_\_\_

**Grant Number:** \_\_\_\_\_

<b>PART A. TOTAL TRAINEE APPOINTMENTS REPORT: Number of Trainees Appointed by Ethnicity and Race</b>				
Ethnic Category	Females	Males	Sex/Gender Unknown or Not Reported	Total
Hispanic or Latino				**
Not Hispanic or Latino				
Unknown (individuals not reporting ethnicity)				
<b>Ethnic Category: Total of All Trainees*</b>				*
<b>Racial Categories</b>				
American Indian/Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
More Than One Race				
Unknown or Not Reported				
<b>Racial Categories: Total of All Trainees*</b>				*

<b>PART B. HISPANIC TRAINEE APPOINTMENTS REPORT: Number of Hispanics or Latinos Appointed</b>				
<b>Racial Categories</b>	<b>Females</b>	<b>Males</b>	<b>Sex/Gender Unknown or Not Reported</b>	<b>Total</b>
American Indian or Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
More Than One Race				
Unknown or Not Reported				
<b>Racial Categories: Total of Hispanics or Latinos**</b>				<b>**</b>
<b>PART C. TRAINEES WITH DISABILITIES OR FROM DISADVANTAGED BACKGROUNDS</b>				
Number of Trainees with Disabilities:				
Number of Trainees from Disadvantaged Backgrounds:				

(\*) (\*\*) These totals must agree.

## APPLICATION FOR PRE AND POSTDOCTORAL APPOINTMENT

Title of Research Project		
Name (Last, First, Middle Initial)		Date of Application
Home Address (Street/P.O. Box, City, ST, Zip)		
Home Telephone	Work/Lab Telephone	Work/Lab Fax
Email Address		Your Dept.
Do you have a Disability? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Do Not Wish to Provide If yes, Describe _____		Social Security # (last 4 only) XXX-XX-____
Gender <input type="checkbox"/> Female <input type="checkbox"/> Male	Birthdate (mm/dd/yy)	Race
Citizenship: <input type="checkbox"/> US Citizen or US Noncitizen National <input type="checkbox"/> Permanent Resident of US Other Country _____		
Are you from a Disadvantaged Background? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Do not wish to provide		Are you Hispanic or Latino? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Do not Wish To Provide
Preceptor		Preceptor's Telephone
Preceptor's Email Address		Preceptor's Fax
Your Dept. Financial Contact (full name)	Dept. Telephone	Dept. Fax
Are you presently covered by medical insurance? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please name carrier:		
Have you previously received a National Research Service Award? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes": <input type="checkbox"/> Institutional <input type="checkbox"/> Individual <input type="checkbox"/> Predoctoral <input type="checkbox"/> Postdoctoral Grant Name and Number (if known): _____ Total months of prior NRSA support: _____		
Appointment dates:		
Statement of Non-delinquency on Federal Debt Are you delinquent on the re-payment of any federal debts? <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please explain below.</i>		

Education – After High School <i>(Indicate all academic and professional education. For foreign degrees, give US equivalent)</i>					
Name of Institution, Department and Location	Attendance Mo/Yr		Degree(s) Received		Major Field Minor Field
	From	To	Degree <i>Grade Pt Ave</i>	Mo/Yr	
<i>Baccalaureate Degree</i>					
<i>Masters Degree</i>					
<i>Doctorate Degree</i>					

Special Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## RESEARCH CLEARANCES

*A Statement of Assurance for all current trainees must be submitted annually to the appropriate university committee Training Program Principal Investigator.*

### **Title of Research Project**

A. With respect to the **Human Subjects Protection Committee (HSPC)\*** (check one):

- Approved and enclosed (approval form attached)
- Submitted to the Human Subject Protection Committee on\* *Date*
- No human subjects or human materials will be used in this study.
- Human Subject Protection Committee approval was specifically waived. (Exemption form attached).

B. With respect to the **Animal Research Committee (ARC)\*** (check one):

- Approved and enclosed (approval attached).
- Submitted to the Animal Research Committee on\* *Date*
- No animal subjects or animal materials will be used in this study.

\*Note: Appropriate Committee approvals must be obtained for study prior to funds being awarded  
*(title and identifying data for the study must be identical).*

# Glossary of Common Terms for NIH Training Grants

<b>Annual Payback Activities Certification (APAC)</b>	Annual Payback Activities Certifications (APACs) for PHS 6031-1 are notices used by Kirschstein-NRSA recipients to report on their payback activities annually, until their payback obligation is fulfilled.
<b>Assistant Role (ASST)</b>	In the <a href="#">NIH Commons</a> the role designed to allow PIs to delegate certain responsibilities for data entry of grant information and upkeep of their personal profiles. The ASST does not have any other functions in the system.
<b>Awarding IC</b>	The NIH Institute or Center responsible for the award, administration, and monitoring of grant supported activities.
<b>Carryover</b>	Unobligated Federal funds remaining at the end of any budget period that, with the approval of the GMO or under an automatic authority, may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.
<b>Fellowship</b>	An NIH training program award where the NIH specifies the individual receiving the award. Fellowships comprise the F activity codes.
<b>Federal Financial Report (FFR)</b>	The Federal Financial Report (SF425) is a single form consolidating the collection of financial information previously collected on the Cash Transaction Report (SF 272 and the Financial Status Report (SF269). NIH grantees now required to submit all required expenditure reports using the FFR. Further all FFR expenditure reports must be submitted to NIH electronically through the eRA Commons.
<b>Funding Opportunity Announcement (FOA)</b>	A publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program. Funding opportunity announcements can be found at <a href="#">Grants.gov/FIND</a> and in the <a href="#">NIH Guide for Grants and Contracts</a> .
<b>Outlay</b>	A cash expenditure or an accrued expense recorded during the budget period.

## Parent Announcement

NIH-wide [funding opportunity announcement](#) enabling applicants to submit an electronic [investigator-initiated grant application](#) for a specific activity code, e.g., Research Project Grant (Parent R01). Go to [Parent Announcements for Unsolicited or Investigator-Initiated Applications](#).

## Payback

Requirement that the recipient of a NRSA postdoctoral fellowship engage in qualified research or teaching activities for a length of time equal to the period of NRSA support received. Only the first year of training incurs a payback obligation. In general, payback activity must involve at least 20 hours per week and be conducted over 12 consecutive months; special exceptions may be considered on a case-by-case basis. See section 11.4 Payback Requirements in the NIHGPS for additional information.

## Permanent Resident Card

Shows a person's status as a permanent resident with a right to live and work permanently in the U.S. Commonly known as a "Green Card." Also called USCIS Form I-551. Go to [U.S. Citizenship and Immigration Services](#).

## Postdoctoral Scholar

An individual who has received a doctoral degree (or equivalent) and is engaged in a temporary and defined period of mentored advanced training to enhance the professional skills and research independence needed to pursue his or her chosen career path. (See the [NIH-NSF Definition of a Postdoctoral Scholar](#). (PDF - 85 KB))

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

Awards to both individuals and institutions to provide research training in specified health-related areas. Go to [Ruth L. Kirschstein National Research Service Award Research Training Grants and Fellowships](#).

## Prior Approval

Written approval from the designated Grants Management Officer (GMO) required for specified post award changes in the approved project or budget. Such approval must be obtained before undertaking the proposed activity or spending NIH funds. See section 8.1.2 [Prior-Approval Requirements](#) in the NIHGPS.

## Program Director/Principal Investigator (PD/PI)

The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

**Program Official (PO)/Program Officer/Project Officer**

The NIH official responsible for the programmatic, scientific, and/or technical aspects of a grant.

**Progress Report**

Periodic, usually annual, report submitted by the grantee and used by NIH to assess progress and, except for the final progress report of a project period, to determine whether to provide funding for the budget period subsequent to that covered by the report. This report may also be called the non-competing continuation progress report.

**PubMed Central Reference Number (PMCID)**

The reference number assigned to an article or manuscript archived in [PubMed Central](#). The PMCID is the number that must be cited on applications, proposals or reports as part of compliance with the [Public Access Policy](#). See also "Citation ID."

**Reference Letter or Letters of Reference**

A reference letter (or reference form for individual fellowship programs) are letters of recommendation. Letters must be submitted by the same deadline as the grant application and can be submitted before the application itself, as early as the opening date of the Funding Opportunity Announcement (FOA). See [Reference Letter FAQs](#).

**Research**

A systematic, intensive study intended to increase knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. Also termed 'research and development.

**Research Performance Progress Report (RPPR)**

Progress reports are required annually to document grantee accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year. See <http://grants.nih.gov/grants/rppr/>

**Standard Form 424 (Research & Related) (SF424 (R&R))**

The application data set used by NIH for the electronic submission of grant applications through Grants.gov to NIH. The data set is owned and maintained by Grants.gov and includes both federal-wide and agency-specific forms.

**Stipend**

A payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation for the services expected of an employee.

## Streamlined Non-Competing Award Process (SNAP)

Streamlined process that includes a number of provisions that modify annual progress reports, NoAs, and financial reports. Funds are automatically carried over and are available for expenditure during the entire project period. All NIH award notices identify whether the grant is subject to or excluded from SNAP.

Routinely applied to:

all 'K' awards and 'R' awards, except R35s. Awards excluded from SNAP are those that do not have the authority to automatically carry over un-obligated balances (centers, cooperative agreements, Kirschstein-NRSA institutional training grants, non-Fast Track Phase I SBIR and STTR awards, clinical trials (regardless of activity code),

Program Project Grants (P01s), R35s and awards to individuals. See section [8.4.1.2 Streamlined Non-Competing Award Process](#) in the NIHGPS for additional information.

SNAP instructions for submitting the progress report appear in the [PHS 2590 Non-Competing Continuation Progress Report](#). When SNAP applies, the progress report **must** be submitted electronically using the eSNAP module in eRA Commons.

## Trainee

Refers to both predoctoral and postdoctoral individuals, regardless of their source of support

## Trainee Costs

For rebudgeting purposes, trainee costs include funds awarded in the stipends, tuition, and fees budget categories. These costs MAY NOT be used for other purposes except under unusual circumstances and then only with prior approval from the NIH awarding office. Unless otherwise restricted, rebudgeting into or within the stipends, tuition, and fees categories IS ALLOWABLE without prior approval of the NIH awarding office.

## Training Awards

Awards designed to support the research training of scientists for careers in the biomedical and behavioral sciences, as well as help professional schools to establish, expand, or improve programs of continuing professional education. Training awards consist of institutional training grants (T) and individual fellowships (F). Go to [NIH Research Training Opportunities](#).

## Training Grant Eligible (TGE)

Only U.S. citizens and permanent residents are eligible for Kirschstein-NRSA support.

## Training-Related Expenses

These funds are provided to defray costs such as staff salaries, consultant costs, equipment, research supplies, staff travel and other expenses directly related to the training program. Rebudgeting of funds awarded in a lump sum for training-related expenses DOES NOT REQUIRE NIH awarding

officer prior approval.

## **Trainee Travel**

For rebudgeting purposes, trainee travel is not considered a training cost, and therefore, may be rebudgeted into any other budget category without prior approval of the NIH awarding office.

## **Unliquidated Obligations**

Obligations incurred but for which an outlay has not yet been recorded. This may only consist of stipends, tuition and health fees for appointments that extend beyond the budget end date.

For example, the budget period of the grant is from June 1, 2013-May 31, 2014. The trainee was appointed for 12 months from August 1, 2013-July 31, 2014. This trainee's stipend for June, 2014 and July 2014 would be considered an unliquidated obligation.

## **Unobligated Balance**

The portion of funds authorized by NIH that have not been obligated by the grantee and is determined by deducting the cumulative obligations (outlays plus unliquidated obligations) from the cumulative funds authorized.

## **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 grants, institutional career development awards, individual fellowships and research education awards.

## **xTRACT**

Extramural Trainee Reporting and Career Tracking - a module within eRA Commons used by applicants, grantees, and assistants to create research training tables for inclusion in progress reports and institutional training grant applications.

xTRACT is integrated with Commons and is able to pre-populate some training data for training tables and reports by using xTrain appointment and termination data such as names, institutions, grant numbers, subsequent NIH support and other selected characteristics. Manually entered information is stored in xTRACT and can be re-used when preparing subsequent training table submissions.