



Electronic Research Administration  
National Institutes of Health, Office of Extramural Research



*Powering the Advancement of Science*

# eRA Commons xTrain External/Institutional User Guide

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## DOCUMENT HISTORY

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[http://inside.era.nih.gov/era\\_feedback/feedback.cfm?userguide=xTrain](http://inside.era.nih.gov/era_feedback/feedback.cfm?userguide=xTrain)

## **TABLE OF CONTENTS**

---

<b>1 Purpose</b> .....	<b>1</b>
1.1 Scope .....	1
<b>2 What is xTrain?</b> .....	<b>2</b>
2.1 Activity Codes Supported .....	2
2.1.1 xTrain Activity Codes .....	3
2.1.2 Stipend Level Links by Fiscal Year .....	3
2.2 xTrain Forms Supported .....	4
2.3 xTrain External User Roles .....	4
2.4 508 Compliance .....	6
<b>3 Accessing xTrain</b> .....	<b>7</b>
3.1 Accessing xTrain with Multiple PI Affiliations .....	9
3.2 Accessing xTrain – PD/PI .....	9
3.3 Accessing xTrain – ASST .....	13
3.4 Accessing xTrain – Trainee .....	14
3.5 Accessing xTrain – PD/PI and TRAINEE Roles .....	14
3.5.1 View Trainee Roster as PD/PI .....	14
3.5.2 View My Appointments and Terminations as Trainee .....	15
3.6 Accessing xTrain – Admin (SO, BO) .....	16
3.7 Exiting xTrain .....	16
<b>4 Account Setup</b> .....	<b>18</b>
4.1 Account Setup – PD/PI .....	18
4.2 Account Setup – Trainee .....	23
4.2.1 Setting Up eRA Commons Account .....	23
4.3 Account Setup – Trainee from the Manage Account Tab .....	24
<b>5 Personal Profile</b> .....	<b>26</b>
5.1 Creating Personal Profile .....	26

5.2	Personal Profile Fields Checked by xTrain .....	27
5.3	Personal Information .....	28
5.3.1	Citizenship .....	29
5.4	Race/Ethnicity .....	29
5.4.1	Race .....	30
5.4.2	Ethnicity .....	31
5.5	Residential Address .....	31
5.6	List of Degrees .....	31
5.6.1	Medical Residency Information .....	32
5.6.2	Trainee-Specific Information .....	34
5.6.3	Statement of Non-delinquency on U.S. Federal Debt .....	34
5.6.4	Disadvantaged Background .....	35
<b>6</b>	<b>Appointments .....</b>	<b>37</b>
6.1	Create New Appointment – PD/PI .....	38
6.1.1	Submit Appointments to the Agency Using the Batch Process .....	44
6.2	Process New Appointment – Trainee .....	45
6.3	Reappointments .....	50
6.4	Amendments .....	51
6.4.1	ARRA - Ability to Reappoint Trainee to a Supplement .....	52
<b>7</b>	<b>Terminations .....</b>	<b>54</b>
7.1	Who Can Initiate/Submit Termination Notices .....	55
7.2	Initiate a New Termination Notice for Appointments– PD/PI .....	55
7.2.1	Early Terminations .....	56
7.3	Process Termination Notice – Trainee .....	61
7.4	Process New Termination Notice – BO .....	66
7.5	Terminating Fellowships .....	68
7.5.1	Initiating a Termination Notice for Fellowships .....	69

7.5.2	The BO Reviews and Submits the TN to the Agency .....	70
7.5.3	The Agency Processes the TN .....	71
<b>8</b>	<b>Other Functions .....</b>	<b>72</b>
8.1	Delegation – ASST Role .....	72
8.1.1	Assign Delegation .....	72
8.1.2	Remove Delegation .....	73
8.2	Training Grants .....	74
8.2.1	View Training Grants for SO/BO .....	74
8.2.2	Viewing Training Grants for More than one PD/PI .....	75
8.3	View 2271 & View TN PDF .....	75
8.4	View Routing History .....	76
8.5	View Grant Summaries .....	77
8.6	View Trainee Roster .....	78
8.6.1	Trainee Roster Fields .....	79
<b>9</b>	<b>Email Messages .....</b>	<b>81</b>
9.1	Email Reminders for Time Based xTrain Activities .....	81
9.1.1	Email Reminder to Fellow (PI), Sponsor, Sponsor Delegate, and BO—30 Days Before Fellowship End Date .....	81
9.1.2	Email Reminder to Fellow (PI), Sponsor, Sponsor Delegate and BO—Fellowship End Date has Passed .....	81
9.1.3	Email Reminder to Fellow (PI), Sponsor, Sponsor Delegate and BO—Fellowship End Date has Passed 30 Days Ago .....	81
9.2	Email Notifications to Manage the Termination Process for Fellowships .....	81
9.2.1	Fellowship TN Routed to Sponsor .....	81
9.2.2	Fellowship TN is on Hold Awaiting Award Revision .....	81
9.2.3	Fellowship TN Routed to Fellow (PI) .....	82
9.2.4	Fellowship TN Submitted to Agency .....	82
9.2.5	Fellowship TN Routed to BO .....	82

9.2.6 Fellowship TN Accepted by Agency .....	82
9.2.7 Fellowship TN Rejected by Agency .....	82
9.2.8 Fellowship TN Recalled .....	82
9.2.9 Fellowship TN Deleted Email .....	82
<b>10 Getting Help .....</b>	<b>83</b>
10.0.1 Hyperlinks of Interest: .....	83
<b>11 Appendix A – Statement of Appointment (Form PHS 2271) .....</b>	<b>84</b>
<b>12 Appendix B – Termination Notice (Form 416-7) .....</b>	<b>96</b>
<b>13 Appendix C – Payback Agreement (Form PHS 6031) .....</b>	<b>100</b>
<b>14 Appendix D – Appointment Errors/Warnings Quick Reference .....</b>	<b>103</b>
<b>15 Appendix E – User Role Functions .....</b>	<b>109</b>
<b>16 Acronyms and Abbreviations .....</b>	<b>113</b>



## **LIST OF FIGURES**

---

Figure 1: List of Activity Codes Currently Supported in xTrain Hyperlink .....	2
Figure 2: Document of Activity Codes from the Hyperlink .....	3
Figure 3: Stipend level Hyperlinks by Fiscal Year Hyperlink for PI Users .....	3
Figure 4: Kirschstein-NRSA Stipend History Spreadsheet .....	4
Figure 5: Common Login Fields .....	7
Figure 6: Commons - xTrain Tab .....	8
Figure 7: Institution Name Displayed as a Hyperlink for Multiple Affiliations .....	9
Figure 8: My Grants Screen .....	9
Figure 9: Grant Summary Page .....	10
Figure 10: Commons PI View Screen .....	10
Figure 11: View Trainee Roster Hyperlink .....	11
Figure 12: Trainee Roster Page .....	11
Figure 13: Trainee Roster Page - Column Headings .....	11
Figure 14: My Grants – ASST Screen .....	13
Figure 15: Select Delegator Screen .....	14
Figure 16: Trainee Appointments and Terminations Screen .....	14
Figure 17: xTrain Menu Tab Displaying Sub-menu Tabs .....	14
Figure 18: My Grants Screen Displaying the View Trainee Roster Hyperlink .....	15
Figure 19: My Grants Screen Displaying the My Appointments and Terminations Tab .....	15
Figure 20: Trainee Appointments and Terminations Screen .....	16
Figure 21: Search for Grants Screen .....	16
Figure 22: Logout Hyperlink Screen .....	17
Figure 23: My Grants Screen Displaying the View Trainee Roster Hyperlink .....	18
Figure 24: Trainee Roster Screen Displaying Create New Appointment Hyperlink .....	19
Figure 25: Enter Trainee Commons User ID Screen .....	19
Figure 26: Identify Trainee .....	20

Figure 27: Create New Trainee Profile Button .....20

Figure 28: Create New Trainee Profile Screen .....21

Figure 29: Statement of Appointment (2271 Form – Top Portion) ..... 21

Figure 30: Statement of Appointment (2271 Form – Bottom Portion) ..... 22

Figure 31: Invite Trainee to Register Screen ..... 22

Figure 32: Invite Trainee Later Screen ..... 23

Figure 33: Sample e-mail Letter to Trainee .....24

Figure 34: Account Administration Screen Displaying Manage Accounts Tab .....25

Figure 35: Personal Profile Tab .....26

Figure 36: Personal Information - Required Fields .....29

Figure 37: Race/Ethnicity Screen .....30

Figure 38: Residential Address Screen ..... 31

Figure 39: List of Degrees Screen .....32

Figure 40: List of Degrees Screen .....33

Figure 41: Add Medical Residency Screen .....33

Figure 42: Trainee-Specific Information Screen .....34

Figure 43: Appointment Process Flow ..... 38

Figure 44: My Grants Screen .....38

Figure 45: PD/PI Trainee Roster Screen .....38

Figure 46: Enter Trainee Commons User ID Field .....39

Figure 47: Identify Trainee Screen .....39

Figure 48: Statement of Appointment (2271 Form) – Top Portion ..... 40

Figure 49: Statement of Appointment (2271 Form) – Bottom Portion ..... 41

Figure 50: Additional Appointment Action Buttons .....41

Figure 51: Create Appointment - Provide Comments Screen .....41

Figure 52: Appointment Initiation Confirmation Screen ..... 42

Figure 53: In-Progress Trainee Status Screen ..... 42

Figure 54: In-Progress PI Status Screen ..... 42

Figure 55: Bottom of 2271 Form ..... 43

Figure 56: Provide Comments Screen ..... 43

Figure 57: Submit to Agency Certification Screen ..... 43

Figure 58: Submit to Agency Confirmation Screen ..... 44

Figure 59: My Grants Screen with the View Pending Submissions Hyperlink ..... 45

Figure 60: Pending Submissions Screen ..... 45

Figure 61: Trainee Appointments and Terminations Screen ..... 46

Figure 62: Statement of Appointment -Top Portion ..... 47

Figure 63: Statement of Appointment - continued ..... 48

Figure 64: Statement of Appointment - Error Message ..... 48

Figure 65: Provide Comments Screen ..... 49

Figure 66: Route to PI Confirmation Screen ..... 49

Figure 67: Route to PI Confirmation Screen - 2271 Form Successfully Routed ..... 49

Figure 68: Appointment Status - In-Progress PI ..... 49

Figure 69: Trainee Roster Screen—Partial View Showing the Re-Appoint 2271 Hyperlink .. 50

Figure 70: Grant or Supplement Available Drop Down ..... 50

Figure 71: Amend 2271 Hyperlink ..... 51

Figure 72: 2271 Form ..... 52

Figure 73: 2271 Form’s Amendment Section ..... 52

Figure 74: Re-Appointment Screen ..... 53

Figure 75: Termination Process Flow ..... 54

Figure 76: Termination Process Flow ..... 55

Figure 77: Termination Notice (Form 416-7) –Top Portion ..... 56

Figure 78: Termination Notice (Form 416-7) – Mid Portion ..... 57

Figure 79: Modify Termination Date Screen ..... 58

Figure 80: Termination Notice (Form 416-7) – Bottom Portion ..... 59

Figure 81: Provide Comments Screen ..... 59

Figure 82: Termination Notice Confirmation .....59

Figure 83: In Process Trainee Hyperlink .....60

Figure 84: PI Trainee Roster Screen ..... 60

Figure 85: Termination Notice (Form 416-7) – bottom portion .....60

Figure 86: Provide Comments Screen ..... 61

Figure 87: Termination Notice Certification .....61

Figure 88: Termination Notice Confirmation .....61

Figure 89: PI Trainee Roster Screen ..... 61

Figure 90: Trainee Appointments and Terminations Screen ..... 61

Figure 91: Termination Notice (Form 416-7) – Top Portion .....62

Figure 92: Termination Notice (Form 416-7) – Mid Portion .....63

Figure 93: Upload Training Received Screen .....64

Figure 94: Termination Notice (Form 416-7) – Bottom Portion .....64

Figure 95: Provide Comments Screen ..... 65

Figure 96: Termination Notice Certification .....65

Figure 97: Termination Notice Confirmation .....65

Figure 98: Trainee Appointments and Terminations .....65

Figure 99: List of Grants Screen .....66

Figure 100: BO Trainee Roster ..... 66

Figure 101: BO Trainee Roster Screen .....67

Figure 102: Termination Notice (Form 416-7) – bottom portion .....67

Figure 103: Provide Comments Screen .....67

Figure 104: Termination Notice Certification ..... 67

Figure 105: Termination Notice Confirmation .....68

Figure 106: Termination Flow for NRSA Fellowships ..... 69

Figure 107: Commons My Delegates Screen Displaying Search or Add Delegate Hyperlink .72

Figure 108: Delegate Authority (Authorities) Screen Displaying Adding xTrain Authority ....73

Figure 109: Commons My Delegates Screen Displaying Users with xTrain Authority ..... 74

Figure 110: List of Grants Search Screen ..... 74

Figure 111: List of Grants Screen Displaying Search Results ..... 74

Figure 112: My Grants Screen Displaying the Select Profile Button .....75

Figure 113: Grant Summary Screen .....75

Figure 114: View 2271 & View TN Hyperlink ..... 76

Figure 115: View PDF Button ..... 76

Figure 116: Statement of Training Appointment Screen Displaying View Routing History  
Hyperlink ..... 76

Figure 117: Routing History Screen ..... 77

Figure 118: My Grants Screen Displaying Grant Number Hyperlinks .....77

Figure 119: Grants Summary Screen Displaying Actions Accepted ..... 78

Figure 120: My Grants Screen Displaying View Trainee Roster Hyperlink .....78

Figure 121: Trainee Roster Screen ..... 79

Figure 122: Trainee Roster Fields ..... 80

Figure 123: Statement of Appointment (Form PHS 2271) Instructions ..... 84

Figure 124: Statement of Appointment (Form PHS 2271) Instructions - continued ..... 85

Figure 125: Statement of Appointment (Form PHS 2271) - continued ..... 86

Figure 126: Statement of Appointment (Form PHS 2271) - continued ..... 87

Figure 127: Statement of Appointment (Form PHS 2271) - continued ..... 88

Figure 128: Statement of Appointment (Form PHS 2271) - continued ..... 89

Figure 129: Statement of Appointment (Form PHS 2271) – continued ..... 90

Figure 130: Statement of Appointment Form 2271 - Page One ..... 91

Figure 131: Statement of Appointment Form 2271 – Page Two ..... 92

Figure 132: Statement of Appointment Privacy Act ..... 93

Figure 133: Statement of Appointment Specialty Boards ..... 94

Figure 134: Statement of Appointment Specialty Boards - continued .....95

Figure 135: Termination Notice (Form 416-7) Instructions ..... 97

Figure 136: Termination Notice (Form 416-7) Instructions – continued .....97

Figure 137: Termination Notice Form 416-7 .....98

Figure 138: Privacy Act Statement .....99

Figure 139: Payback Agreement (Form PHS 6031) ..... 100

Figure 140: Payback Agreement (Form PHS 6031) – continued .....101

Figure 141: Privacy Act Statement ..... 102

**LIST OF TABLES**

---

Table 1: External User Roles ..... 4

Table 2: Initial xTrain Access ..... 8

Table 3: Appointment Errors/Warnings Quick Reference ..... 103

Table 4: User Role Functions .....109

## **1 Purpose**

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

### **1.1 Scope**

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

## 2 What is xTrain?

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

Grantee institution staff can use xTrain to:

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

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

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

Signed hard copies of Payback Service Agreements are required for postdoctoral trainees in their first year of Kirschstein-NRSA support. For more information on the Payback Service Agreement policy, please refer to this web site. [http://grants.nih.gov/grants/policy/nihgps\\_2012/nihgps\\_ch11.htm#\\_Toc271265163](http://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch11.htm#_Toc271265163)

### 2.1 Activity Codes Supported

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

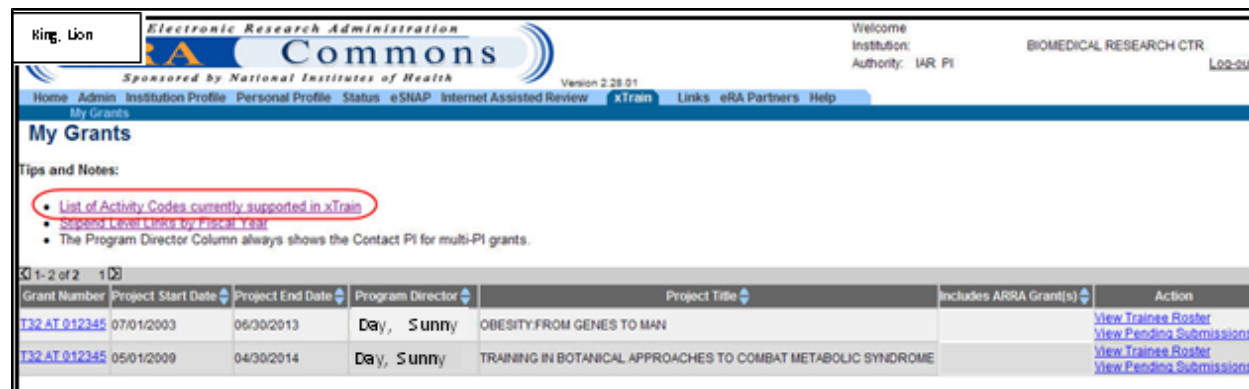


Figure 1: List of Activity Codes Currently Supported in xTrain Hyperlink



### 2.1.1 xTrain Activity Codes

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

The table below shows a list of xTrain Activity Codes.

**Activity Codes Supported in xTrain**  
*(as of September 2012)*

Activity Code				
F30	KL2	T01	T42	R25
F31	K12	T02	T90	R90
F32	KM1	T03	TL1	RL5
F33		T15	TU2	RL9
		T32		
		T34		
		T35		

Figure 2: Document of Activity Codes from the Hyperlink

### 2.1.2 Stipend Level Links by Fiscal Year

The **Stipend Level Links by Fiscal Year** hyperlink is on the *My Grants* screen for (Principal Investigator) PD/PI users.

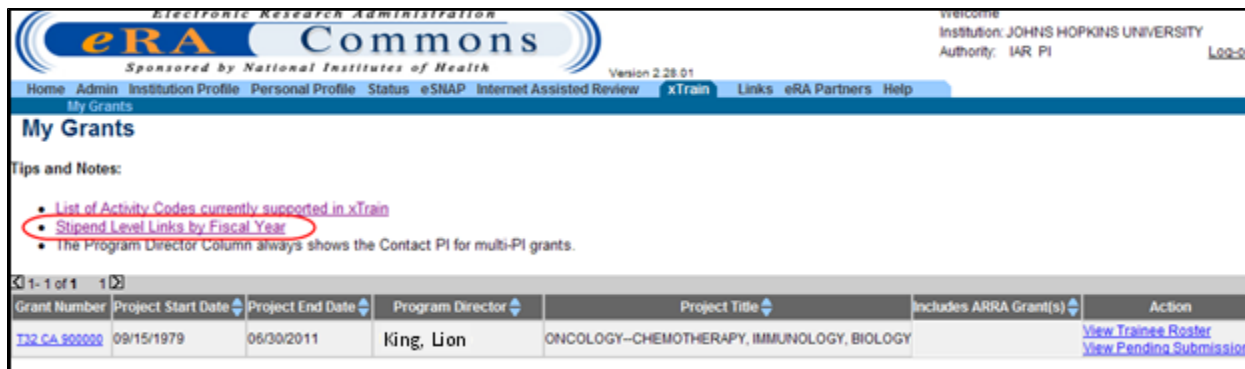


Figure 3: Stipend level Hyperlinks by Fiscal Year Hyperlink for PI Users

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

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

Figure 4: Kirschstein-NRSA Stipend History Spreadsheet

## 2.2 xTrain Forms Supported

xTrain supports electronic submission of the following forms:

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

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

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

## 2.3 xTrain External User Roles

External User Role	Description
BO (Business Official)	A Business Official has signature or other authority related to administering grantee institution training grants.
SO (Signing Official)	A grantee institution’s Signing Official has authority to legally bind a grantee institution for grant matters.
PD/PI	The Program Director or Principal Investigator is responsible for

Table 1: External User Roles

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

*Table 1: External User Roles*

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

---

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

## **2.4 508 Compliance**

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

### 3 Accessing xTrain

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

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

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

To login to xTrain:

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

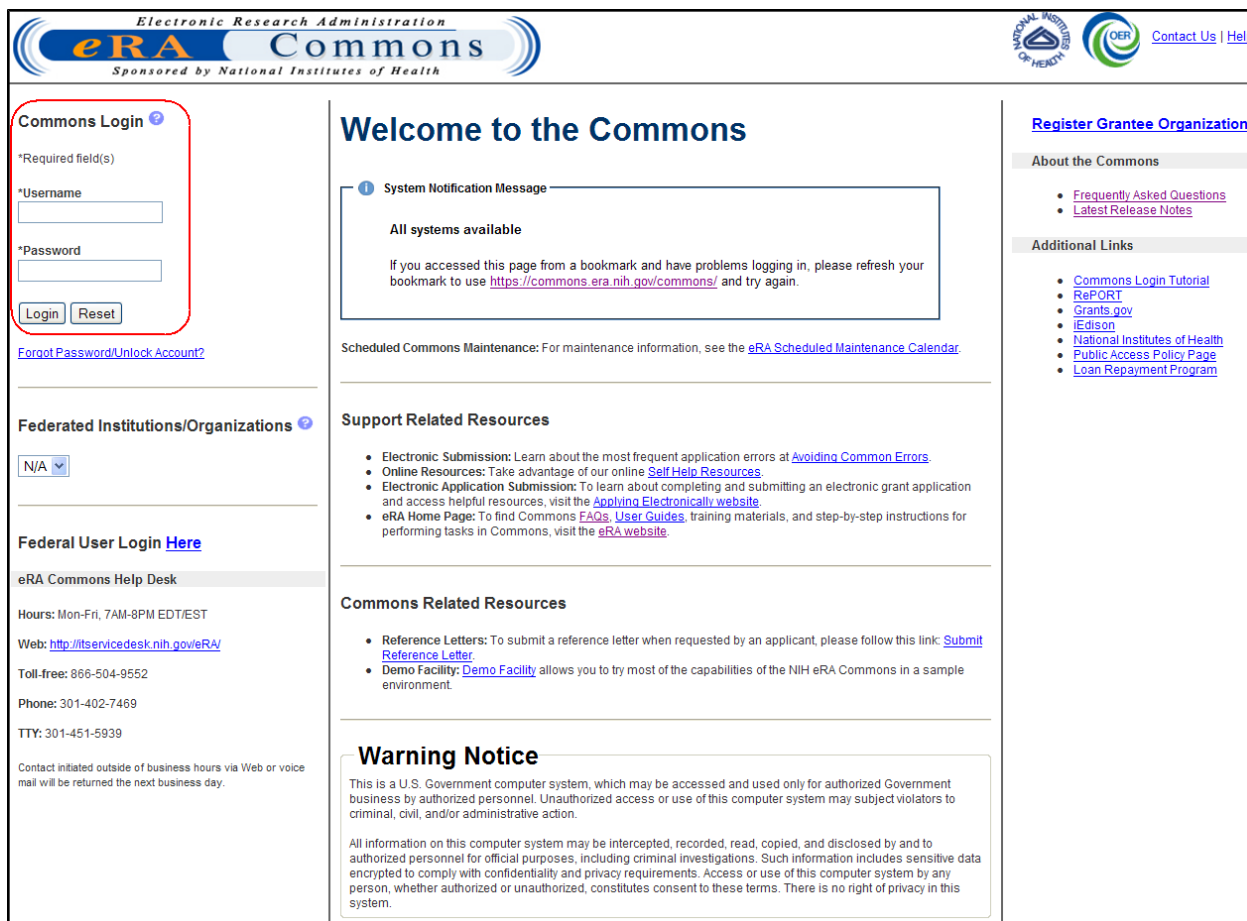


Figure 5: Common Login Fields

2. Once logged in, on the navigation bar at the top of the screen, click the **xTrain** tab.

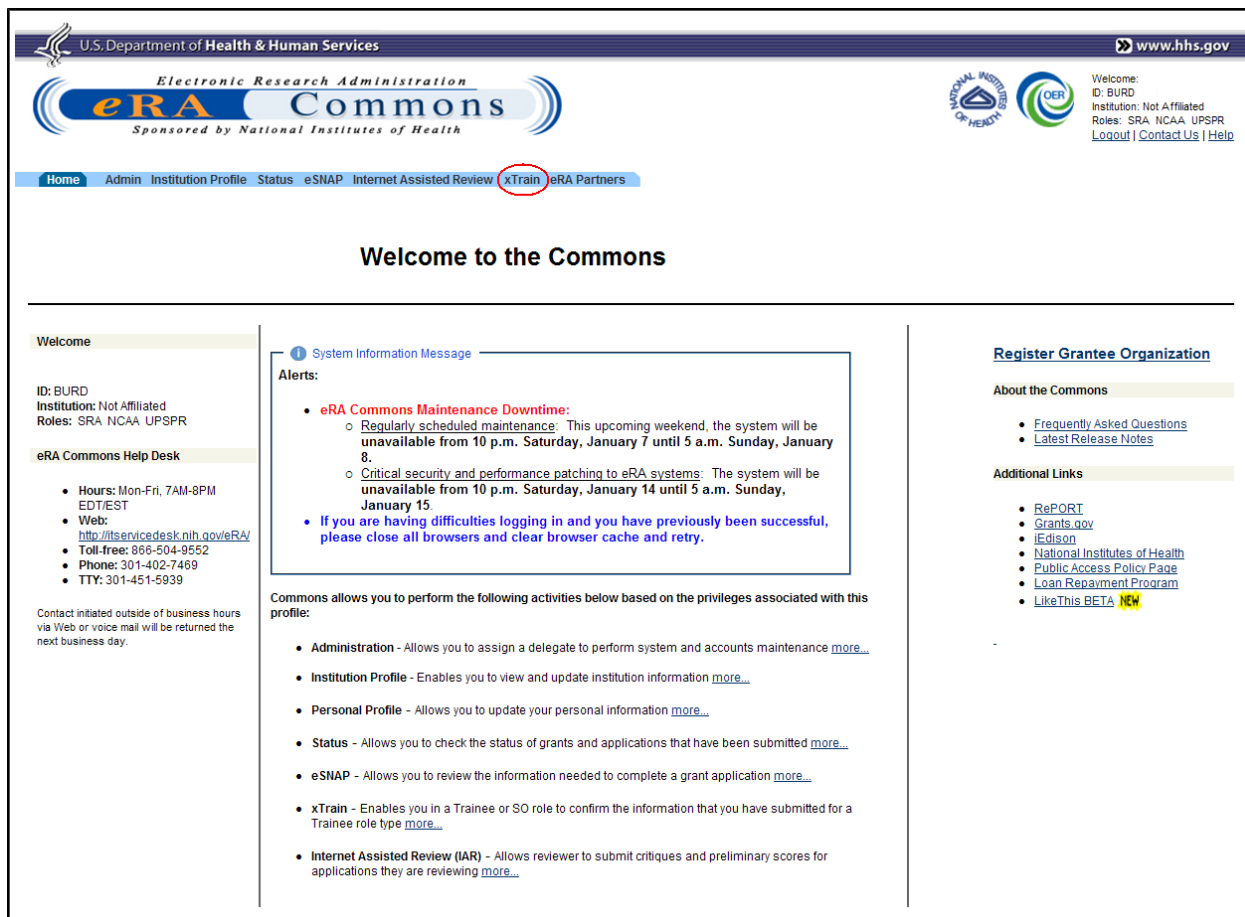


Figure 6: Commons - xTrain Tab

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

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

Table 2: Initial xTrain Access

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

### 3.1 Accessing xTrain with Multiple PI Affiliations

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

1. Log into Commons.

If affiliated with multiple institutions, the name of the default institution displays as a link within the Welcome section located in the upper right corner of each Commons page.

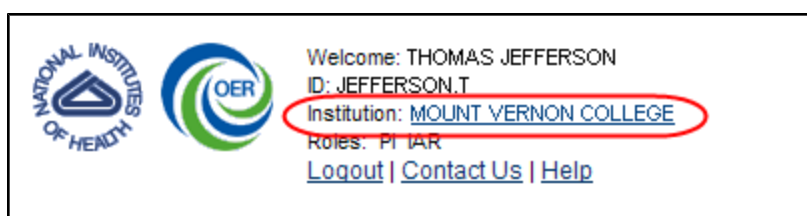


Figure 7: Institution Name Displayed as a Hyperlink for Multiple Affiliations

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

For more information on changing the institution affiliation, please refer to the section title, Changing the Displayed Affiliation, in the Commons user guide located at [http://era.nih.gov/docs/COM\\_UGV2630.pdf](http://era.nih.gov/docs/COM_UGV2630.pdf).

### 3.2 Accessing xTrain – PD/PI

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

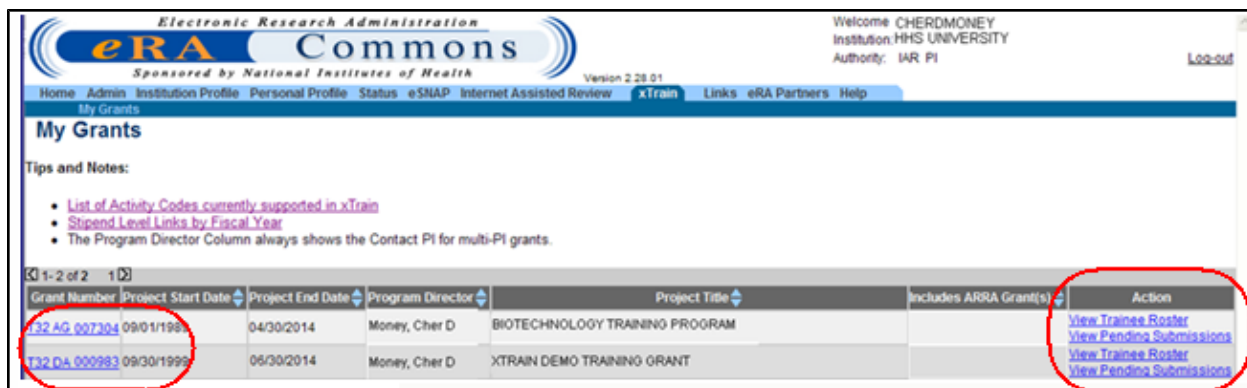


Figure 8: My Grants Screen

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

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

The screenshot shows the 'Grant Summary' page. At the top, there are navigation tabs: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, Internet Assisted Review, xTrain, Links, eRA Partners, Help. Below the tabs, the page title is 'My Grants' and 'Grant Summary'. A 'Tips and Notes' section contains a bullet point: 'The Program Director Column always shows the Contact PI for multi-PI grants.' Below this, project details are shown: 'Project: T32 CA 099936 Includes ARRA grants', 'Title: xTrain Demo Training Grant', and 'Project Start/End Dates: 04/01/2003 - 08/31/2014'. A table lists grants with columns: Grant Number, ARRA Funded, Budget Start Date, Budget End Date, FY, Program Director, Short Term (Est.# Trainees, # Accepted Appointments), Pre Docs (Est.# Trainees, # Accepted Appointments), and Post Docs (Est.# Trainees, # Accepted Appointments). A red circle highlights the first seven rows of the table. At the bottom, there are buttons for 'View Trainee Roster' and 'Back'.

Figure 9: Grant Summary Page

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

The screenshot shows the 'Commons PI View' screen. It is divided into several sections. 'General Grant Information' includes fields for Status, Institution Name, School Name, School Category, Division Name, Department Name, PI Name, Application ID, Proposal Title, Proposal Receipt Date, Last Status Update Date, Budget Start Date, Budget End Date, Progress Report Due Date, Current Award Notice Date, Application Source, Project Period Begin Date, Project Period End Date, eApplication Status, FOA, and NIH Appl. ID. 'Other Relevant Documents' lists various documents with hyperlinks, including 'Application', 'Latest FFR/FSR', 'Latest NGA', 'Notice(s) of Grant Award (PDF) 08/20/2007', 'XTrain Training Appointment' (circled in red), 'XTrain Termination Notice' (circled in red), and 'Appointments for Review (0 documents)'. 'Status History' shows a table with columns for Effective Date, Status Message, and Assignment Date. 'Institute or Center Assignment' shows a table with columns for Institute or Center and Assignment Date.

Figure 10: Commons PI View Screen

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



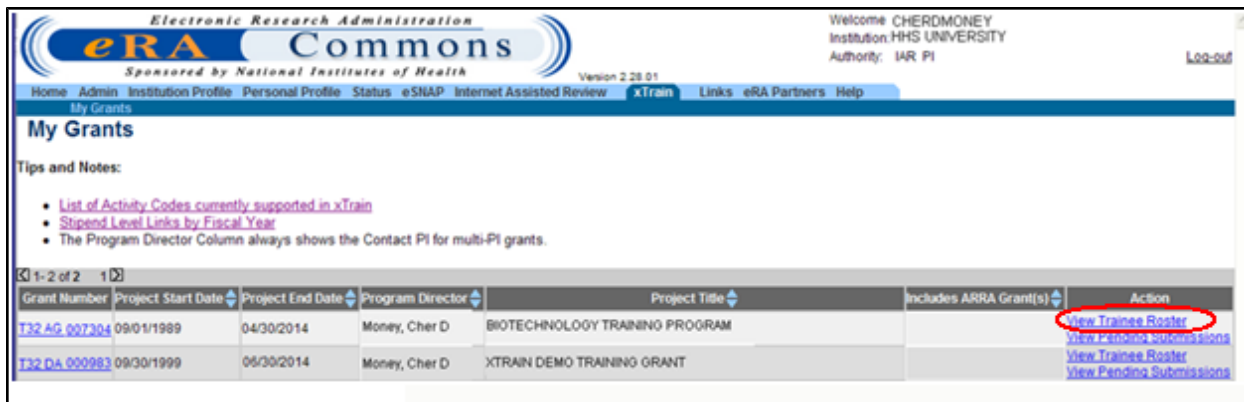


Figure 11: View Trainee Roster Hyperlink

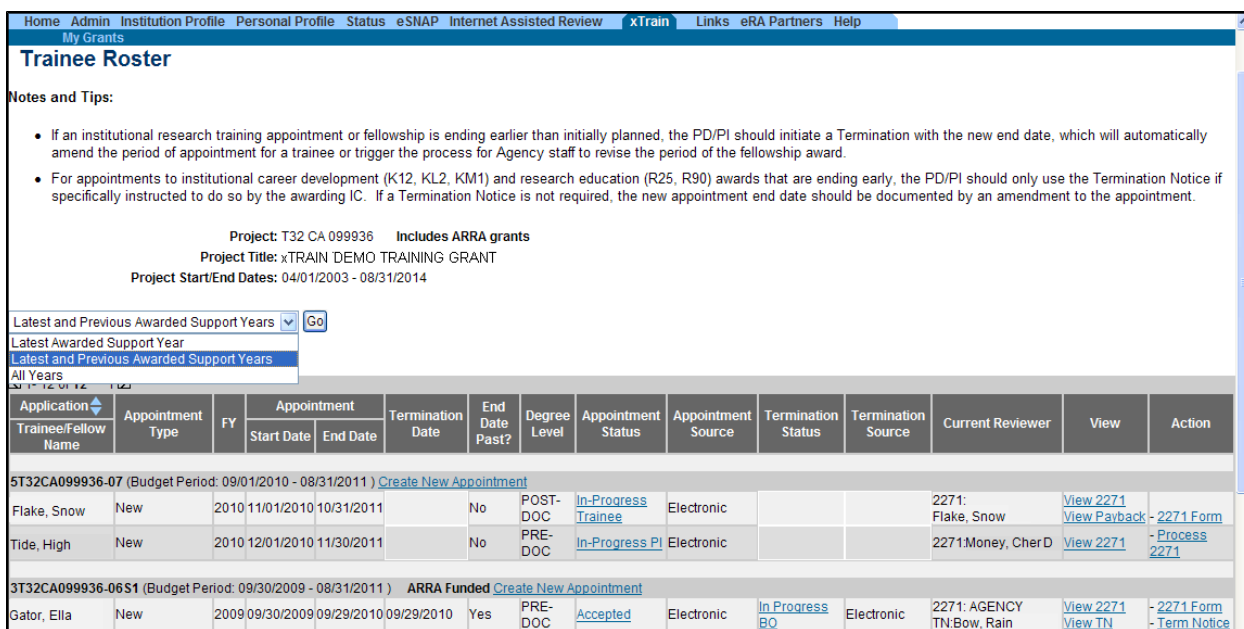


Figure 12: Trainee Roster Page

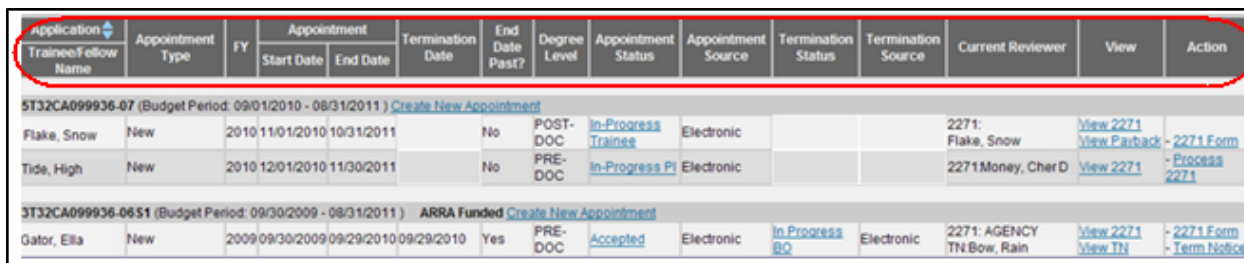


Figure 13: Trainee Roster Page - Column Headings

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

(1) Appointment Type:

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

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

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

(3) Appointment/Termination Source:

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

(4) Termination Status:

- In Progress BO--The Business Official is working on the termination notice.
- In Progress PI-- The PD/PI (includes fellows) or an assistant is working on the termination notice.
- In Progress Trainee--The Trainee is working on the termination notice.
- Pending Agency Review-- The termination notice has been submitted to the Agency
- On Hold by Agency- The Agency has reviewed the termination notice, but has not yet accepted it.
- On Hold by Agency – Awaiting Award Revision –An early termination notice has been submitted for a fellowship and it has been placed on hold until the award can be revised
- Accepted—The Agency has accepted the termination notice.

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

(6) View:

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

(7) Action:

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

### 3.3 Accessing xTrain – ASST

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



Figure 14: My Grants – ASST Screen

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

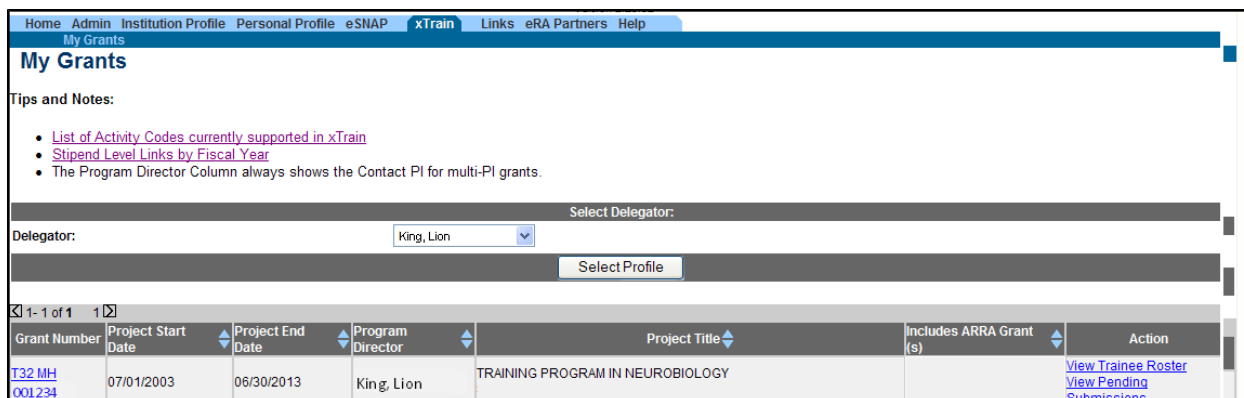


Figure 15: Select Delegator Screen

### 3.4 Accessing xTrain – Trainee

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

Grant Number	Appointment Type	ARRA	Appointment Start Date	Appointment End Date	Termination Date	Program Director	Institution	Degree Level	Appointment Status	Termination Status	Current Reviewer	View	Action
5T32GM001234	New		2011-04-01	2012-03-31		MONEY, CHER	EXTAT DEMO CORP	PRE-DOC	In-Progress Trainee		2271: Newbie, Ima Brand	<a href="#">View 2271</a>	<a href="#">Process 2271</a>

Figure 16: Trainee Appointments and Terminations Screen

### 3.5 Accessing xTrain – PD/PI and TRAINEE Roles

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

Figure 17: xTrain Menu Tab Displaying Sub-menu Tabs

#### 3.5.1 View Trainee Roster as PD/PI

On the *My Grants* screen, click the **View Trainee Roster** hyperlink to view the *Trainee Roster* screen.

Grant Number	Project Start Date	Project End Date	Program Director	Project Title	Includes ARRA Grant(s)	Action
E32 DK 99999	07/01/2011	06/30/2012	Bell, Alexandra Graham	The pathophysiology of SBP2 abnormalities		<a href="#">View Trainee Roster</a>

Figure 18: My Grants Screen Displaying the View Trainee Roster Hyperlink

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

### 3.5.2 View My Appointments and Terminations as Trainee

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



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

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

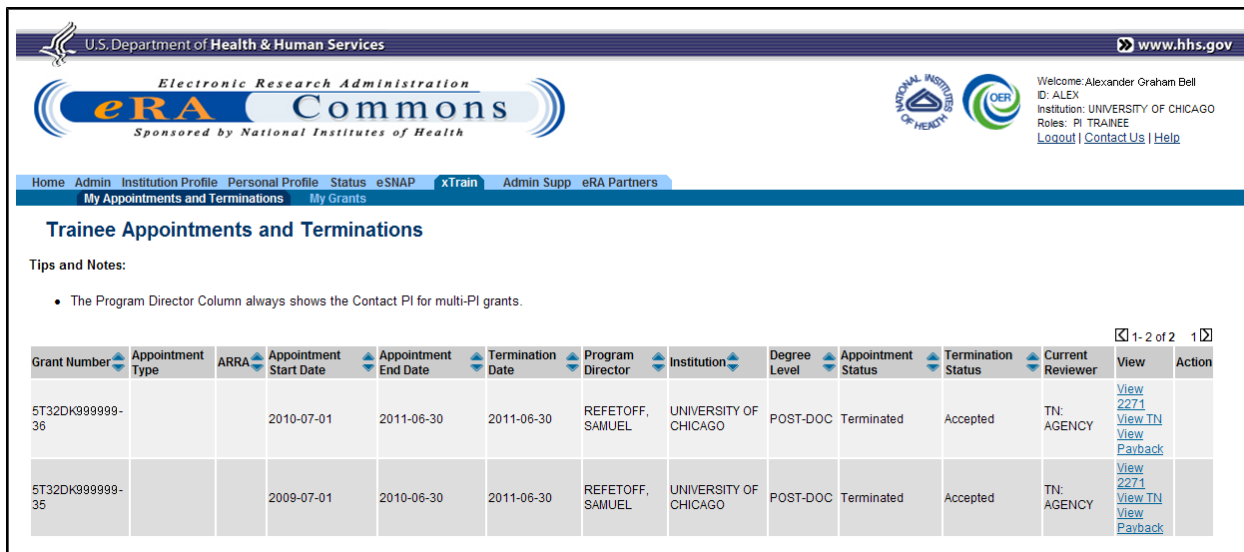


Figure 20: Trainee Appointments and Terminations Screen

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

### 3.6 Accessing xTrain – Admin (SO, BO)

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

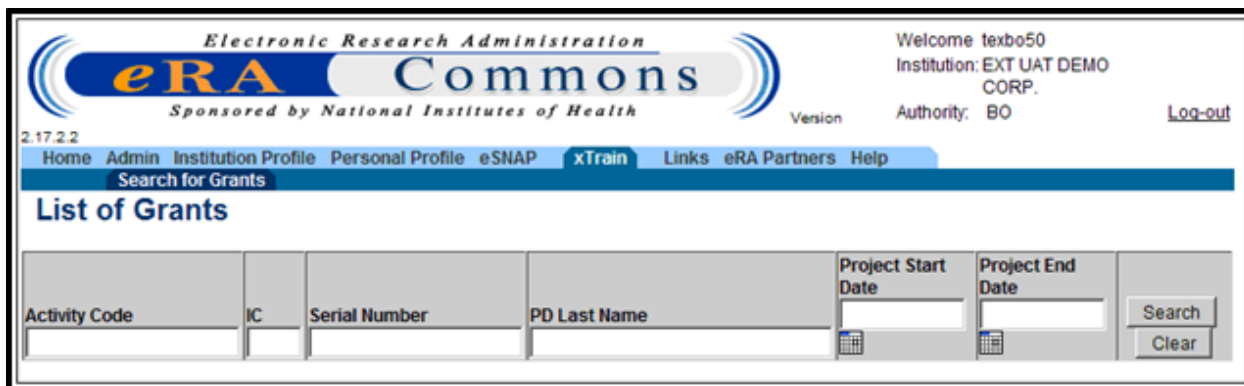


Figure 21: Search for Grants Screen

### 3.7 Exiting xTrain

To exit xTrain:

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



*Figure 22: Logout Hyperlink Screen*

## 4 Account Setup

### 4.1 Account Setup – PD/PI

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

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

U.S. Department of Health & Human Services [www.hhs.gov](http://www.hhs.gov)

**eRA Commons**  
Sponsored by National Institutes of Health

Welcome: Elf, Keebler  
ID: ELF  
Institution: UNIVERSITY OF WISCONSIN MADISON  
Roles: PI IAR  
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review **xTrain** Admin Supp eRA Partners

**My Grants**

**My Grants**

**Tips and Notes:**

- When ARRA *Funded* checkbox is selected, search results will contain Grants and Supplements funded by American Reinvestment and Recovery Act **ONLY**.
- [List of Activity Codes currently supported in xTrain](#)
- [Stipend Level Links by Fiscal Year](#)
- [xTrain FAQs](#)

1-1 of 1

Grant Number	Project Start Date	Project End Date	Program Director	Project Title	Includes ARRA Grant (s)	Action
T32 ES 999999	07/01/1975	06/30/2013	Elf, Keebler	MOLECULAR & ENVIRONMENTAL TOXICOLOGY PRE-& POSTDOCTORAL TRAINING PROGRAM		<a href="#">View Trainee Roster</a> <a href="#">View Pending Submissions</a>

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

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



Figure 24: Trainee Roster Screen Displaying Create New Appointment Hyperlink

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

Figure 25: Enter Trainee Commons User ID Screen

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

**eRA Commons**  
Sponsored by National Institutes of Health  
Version 2.20.1.3

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review **xTrain** Links eRA Partners Help

My Grants

### Identify Trainee

Grant: 5 T32 AG 260-10  
Project Title: Drug Discovery Training in Age-Related Disorders  
Budget Start/End Dates: 06/01/1998-04/30/2008

Enter search parameters to locate existing Profiles with Training or Fellowship involvement with NIH. If the desired Trainee is found, select "Create New Appointment" link to proceed to 2271 form. If you do not find the desired Trainee in the search result, use the button "Create New Profile" at the bottom of the screen prior to proceeding to 2271 form.

* Last Name	First Name	Middle Name	Commons User ID		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Search"/>	<input type="button" value="Clear"/>

Figure 26: Identify Trainee

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

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

**eRA Commons**  
Sponsored by National Institutes of Health  
Version 2.20.1.3

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review **xTrain** Links eRA Partners Help

My Grants

### Identify Trainee

Grant: 5 T32 AG 260-10  
Project Title: Drug Discovery Training in Age-Related Disorders  
Budget Start/End Dates: 06/01/1998-04/30/2008

Enter search parameters to locate existing Profiles with Training or Fellowship involvement with NIH. If the desired Trainee is found, select "Create New Appointment" link to proceed to 2271 form. If you do not find the desired Trainee in the search result, use the button "Create New Profile" at the bottom of the screen prior to proceeding to 2271 form.

* Last Name	First Name	Middle Name	Commons User ID		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="Search"/>	<input type="button" value="Clear"/>

Figure 27: Create New Trainee Profile Button

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

**eRA Commons**  
Sponsored by National Institutes of Health  
Version 2.20.1.3

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review **xTrain** Links eRA Partners Help

My Grants

### Create New Trainee Profile

Complete required information and select "Continue" button to proceed to 2271 form.

* Required			
* Last Name	* First Name	Middle Name	* Email Address
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Figure 28: Create New Trainee Profile Screen

The *Statement of Appointment* screen will appear.

Degree(s) Earned In Progress	Completion Date	Major/Minor	Degree Completed?
BSN	05/1988	/	Y

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

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

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

For information on the Grant's Policy Statement, please refer to Section 11.3.7, *Initiation of Support*, at this web site. [http://grants.nih.gov/grants/policy/nihgps\\_2012/nihgps\\_ch11.htm#Toc271265126](http://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch11.htm#Toc271265126)

Field of Research Training or Career Development (for this appointment)  
 Choose a specific subfield (e.g., biological chemistry) unless the broader category (e.g., biochemistry) fits best  
 -----Developmental Biology (1620)

Period of Appointment  
 \* From (MMDD/YYYY) 1. 04/01/2011  
 \* To (MMDD/YYYY) 03/31/2012  
 12 months 0 days 3. Re-calculate Please "Re-calculate" if calendar boxes were used to select dates.

Support for Period of Appointment  
 Type  
 \* Stipend Level or Salary 4. 0 - 37,740 POST-DOC  
 \* Stipend/Salary/Other Compensation 2. 37740  
 \* Tuition/fees (estimated) 0  
 \* Travel 0  
 Total 37740

Save Cancel Reset Save & Route to Trainee Delete View PDF Save & Submit to Agency

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

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

Electronic Research Administration  
**eRA Commons**  
 Sponsored by National Institutes of Health Version 2.20.1.3

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review xTrain Links eRA Partners Help

My Grants  
**Invite Trainee to Register**  
 Please select the "Invite Trainee Now" button. An email invitation to register for a Commons User ID will be sent to the Trainee and you will return to the 2271 form.  
 If you decide to "Invite Trainee Later", the "Invite Trainee" button will appear at the bottom of the 2271 form for future use.  
**Note: The 2271 form cannot be routed to the Trainee until you receive an email with the Trainee's User ID or the "Trainee Registered" event appears in the 2271 Routing History.**

Invite Trainee Now Invite Trainee Later

Figure 31: Invite Trainee to Register Screen

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

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

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

No  Yes

Prior NRSA Support

If the trainee has previously received support from Kirschstein-NRSA training grant or fellowship, it will be listed in the table below. If the list of prior support is incomplete or incorrect, please go to the Admin tab, Accounts tab, and then click on the 'Verify NIH Support' submenu and follow the instructions for verifying NIH support.

Grant #	ARRA	PI	Appointment Start Date	Appointment End Date	Stipend/Salary Amt	Degree Level	Status
Field of Research Training or Career Development (for this appointment)							

Choose a specific subfield (e.g., biological chemistry) unless the broader category (e.g., biochemistry) fits best.

-----Bioprocessing and Fermentation (1520)

Period of Appointment

\* From (MM/DD/YYYY) 07/01/2010

\* To (MM/DD/YYYY) 06/30/2011

12 months 0 days  Please "Re-calculate" if calendar boxes were used to select dates.

Support for Period of Appointment

Type	Total for this Grant (Omit cents)
* Stipend Level or Salary	PRE - 21,180 PRE-DOC
* Stipend/Salary/Other Compensation	21180
* Tuition/fees (estimated)	0
* Travel	1000
Total	22180

Figure 32: Invite Trainee Later Screen

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

## 4.2 Account Setup – Trainee

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

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

### 4.2.1 Setting Up eRA Commons Account

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

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

**To:** <Trainee Email>

**Subject:** eRA Commons – xTrain: Create an Account

Dear Trainee:

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

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

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

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

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

Figure 33: Sample e-mail Letter to Trainee

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

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

### **4.3 Account Setup – Trainee from the Manage Account Tab**

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

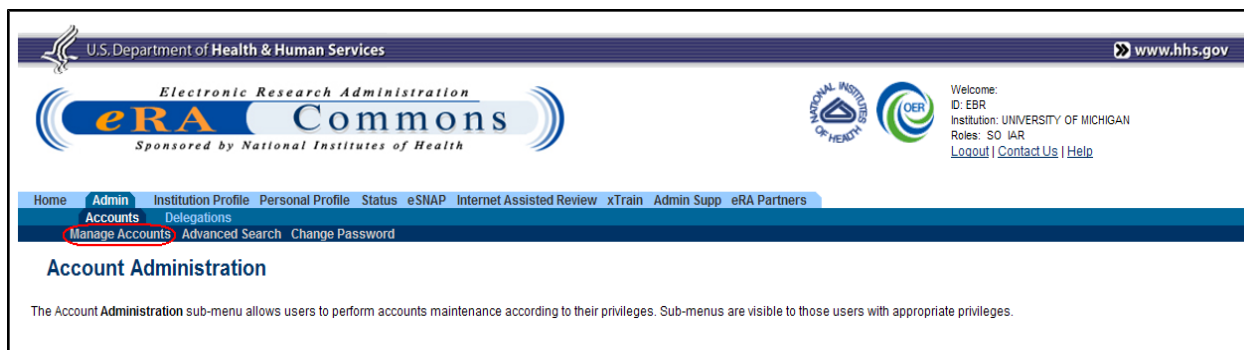


Figure 34: Account Administration Screen Displaying Manage Accounts Tab

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

## 5 Personal Profile

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

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

### 5.1 Creating Personal Profile

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

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

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

- **Personal Information**
- **Race/Ethnicity**
- **Residential Address**
- **Degrees/Residency**
- **Trainee Specific**

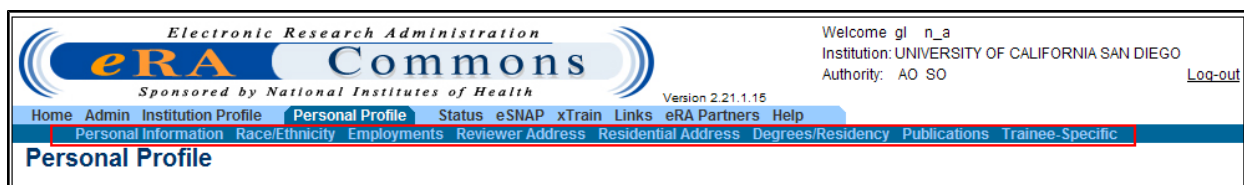


Figure 35: Personal Profile Tab

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

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



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

---

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

---

## **5.2 Personal Profile Fields Checked by xTrain**

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

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

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

---

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

---

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

- *Trainee-Specific Information* screen: answer all the required questions and provide an explanation, if necessary.

### 5.3 Personal Information

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

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

---

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

---

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

---

The screenshot shows the 'Personal Information' form in the eRA Commons system. The form is divided into two main sections: 'Identifying Information' and 'Disabilities'. The 'Identifying Information' section includes fields for Name Prefix, Middle Name, Name Suffix, First Name, Last Name, SSN (with a note to enter the last 4 digits or full SSN), DOB (MM/DD/YYYY), Gender (with a dropdown menu), Citizenship (with a dropdown menu), and eRA Email. The 'Disabilities' section includes a question 'Do you have a disability?' with radio button options for Yes, No, and Do not wish to provide. Below this question are checkboxes for 'Hearing', 'Visual', 'Mobility/Orthopedic Impairment', and 'Other'. The form also features a 'Submit' button and a 'Reset' button. A 'Cancel' button is also visible at the bottom right of the form area.

Figure 36: Personal Information - Required Fields

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

---

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

---

### 5.3.1 Citizenship

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

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

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

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

For more information on paperwork for permanent residents, please refer to the Grants Policy Statement section at this web site: [http://grants.nih.gov/grants/policy/nihgps\\_2012/nihgps\\_ch11.htm#\\_Toc271265042](http://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch11.htm#_Toc271265042)

### 5.4 Race/Ethnicity

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

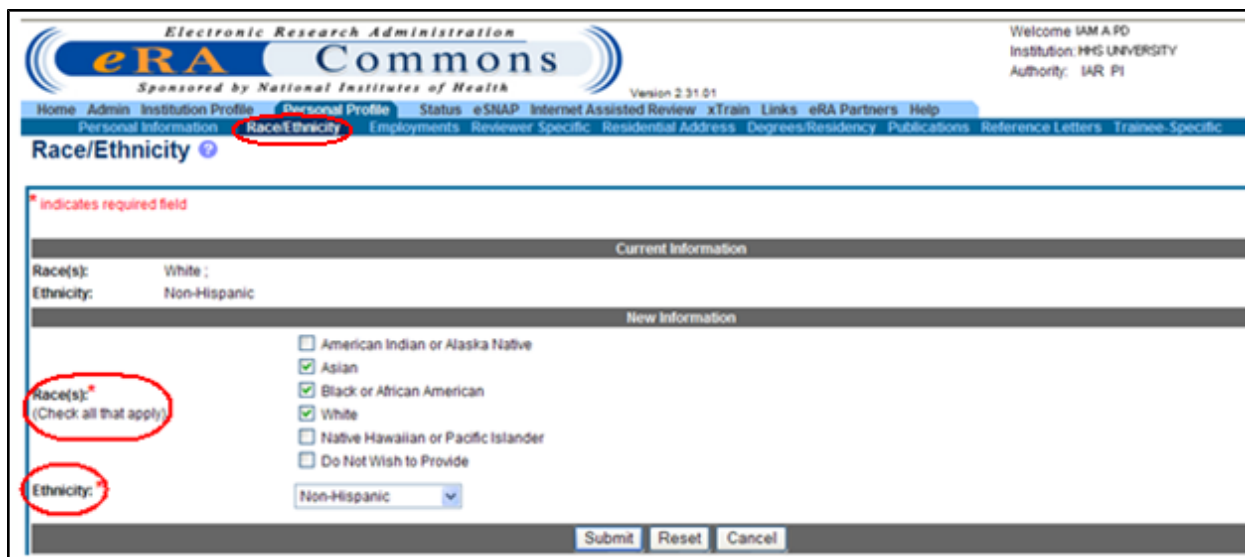


Figure 37: Race/Ethnicity Screen

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

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

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

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

### 5.4.1 Race

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

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

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

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

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

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

### 5.4.2 Ethnicity

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

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

## 5.5 Residential Address

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

Once all information has been entered, click the **Submit** button.

The screenshot shows the 'Residential Address' screen in the eRA Commons system. The page title is 'Residential Address'. The navigation menu includes: Home, Admin, Institution Profile, Personal Profile, Status, eSNAP, Clinical Link, USA Partners, Help, Personal Information, Race/Ethnicity, Employments, Reviewer Address, Residential Address (highlighted), Degrees/Residency, Publications, Reference Letters, Trainee-Specific. The main content area contains the following notes:

- Trainees: Please provide the address where they can be reached by mail after completion of their program (i.e., permanent address).
- Reviewers: The section below must be completed for the link to the Secure Payee Registration System (SPRS) to be active.

A red circle highlights a note that says '\* indicates required field'. The form fields are:

Line 1*	<input type="text"/>	City*	<input type="text"/>
Line 2*	<input type="text"/>	State*	<input type="text"/>
Line 3*	<input type="text"/>	Zip Code*	<input type="text"/>
Line 4*	<input type="text"/>	Country*	UNITED STATES
Phone*	<input type="text"/>	Fax:	<input type="text"/>
E-mail*	<input type="text"/>		

At the bottom of the form are buttons for 'Submit', 'Reset', and 'Cancel'.

Figure 38: Residential Address Screen

## 5.6 List of Degrees

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

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

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

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

The screenshot displays the 'List of Degrees' screen in the eRA Commons system. The page header includes the U.S. Department of Health & Human Services logo and the eRA Commons logo. The navigation bar shows 'Degrees/Residency' as the active section. The 'List of Degrees' section contains a table with the following data:

Degree	Institution	Completion Date	Degree Completed?	Major	Action	Terminal Research Degree
BA: BACHELOR OF ARTS	Johns Hopkins University	05/2005	Y	Cognitive Science	<a href="#">Edit</a> <a href="#">Delete</a>	
MS: MASTER OF SCIENCE	University of Wisconsin-Madison	12/2007	Y	Educational Psychology	<a href="#">Edit</a> <a href="#">Delete</a>	
PHD: DOCTOR OF PHILOSOPHY	University of Wisconsin-Madison	05/2012	Y	Educational Psychology	<a href="#">Edit</a> <a href="#">Delete</a>	Y

Below the table is an 'Add New Degree' button. The 'Medical Residency' section shows a table with the following data:

Area of Medical Residency	End date or Expected End Date of Medical Residency	Action	Early Stage Investigator Status	End of Eligibility Date
No Medical Residency information entered.			Eligible	05/2022

An 'Add Medical Residency' button is located below the table. A 'Close' button is at the bottom right of the screen.

Figure 39: List of Degrees Screen

### 5.6.1 Medical Residency Information

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

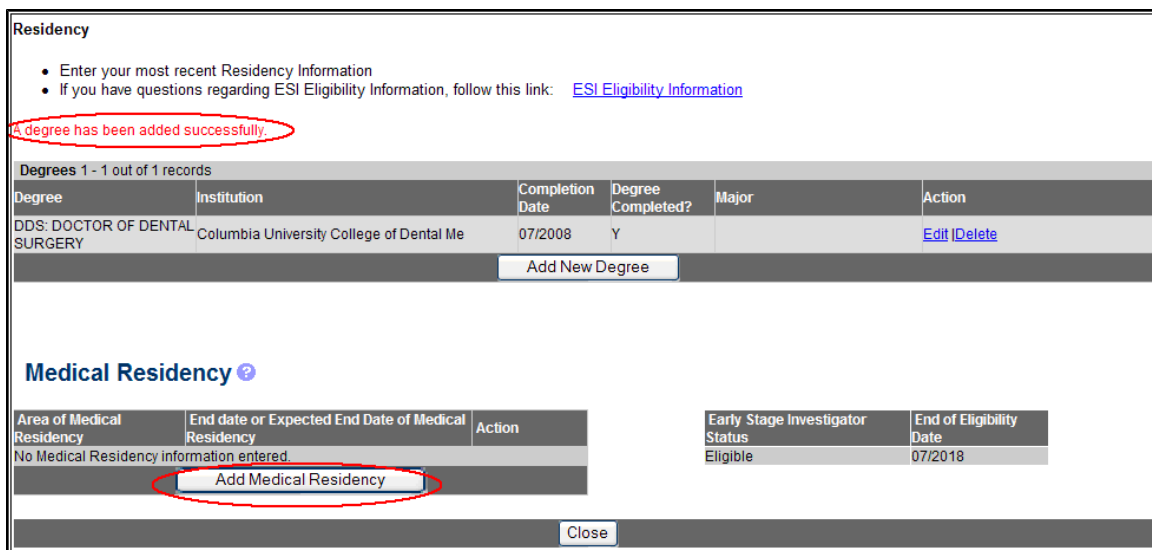


Figure 40: List of Degrees Screen

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

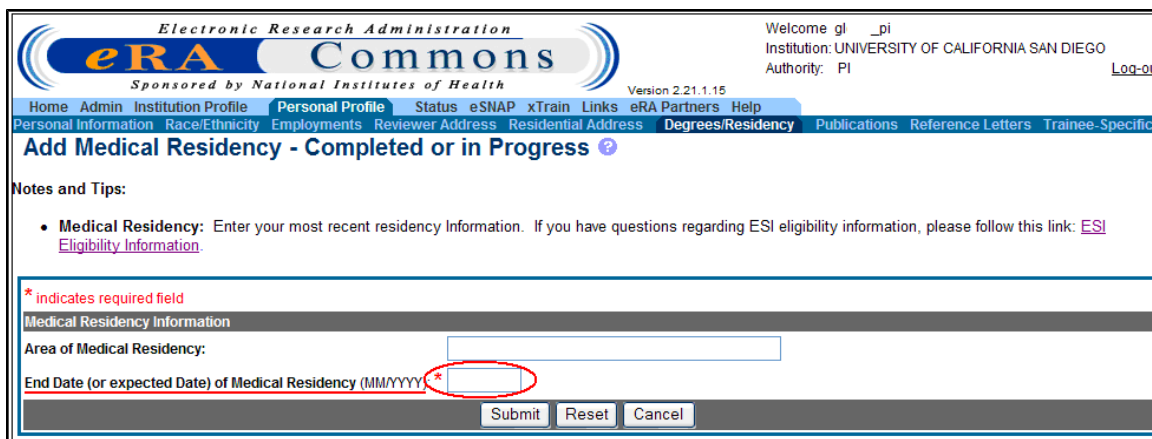


Figure 41: Add Medical Residency Screen

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

information is directly related to ESI status. For more information on new and early stage investigator policies, go to [http://grants1.nih.gov/grants/new\\_investigators/index.htm#defearlystage](http://grants1.nih.gov/grants/new_investigators/index.htm#defearlystage)

## 5.6.2 Trainee-Specific Information

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

Figure 42: Trainee-Specific Information Screen

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

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

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

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



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

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

---

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

---

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

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

#### **5.6.4 Disadvantaged Background**

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

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

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

individual from obtaining the knowledge, skills, and abilities necessary to develop and participate in a research career.

Under extraordinary circumstances the PHS may, at its discretion, consider an individual beyond the undergraduate level to be from a disadvantaged background. Such decisions will be made on a case-by-case basis, based on appropriate documentation. Trainees beyond the undergraduate level should consult with their training grant PD/PIs for further instructions.

## 6 Appointments

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

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

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

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

For more information concerning the 2271 form, see *Appendix A – Statement of Appointment (Form PHS 2271)* in the external xTrain user guide located at [http://inside.era.nih.gov/files/xTrainUG\\_v2.26.0.0.pdf](http://inside.era.nih.gov/files/xTrainUG_v2.26.0.0.pdf).

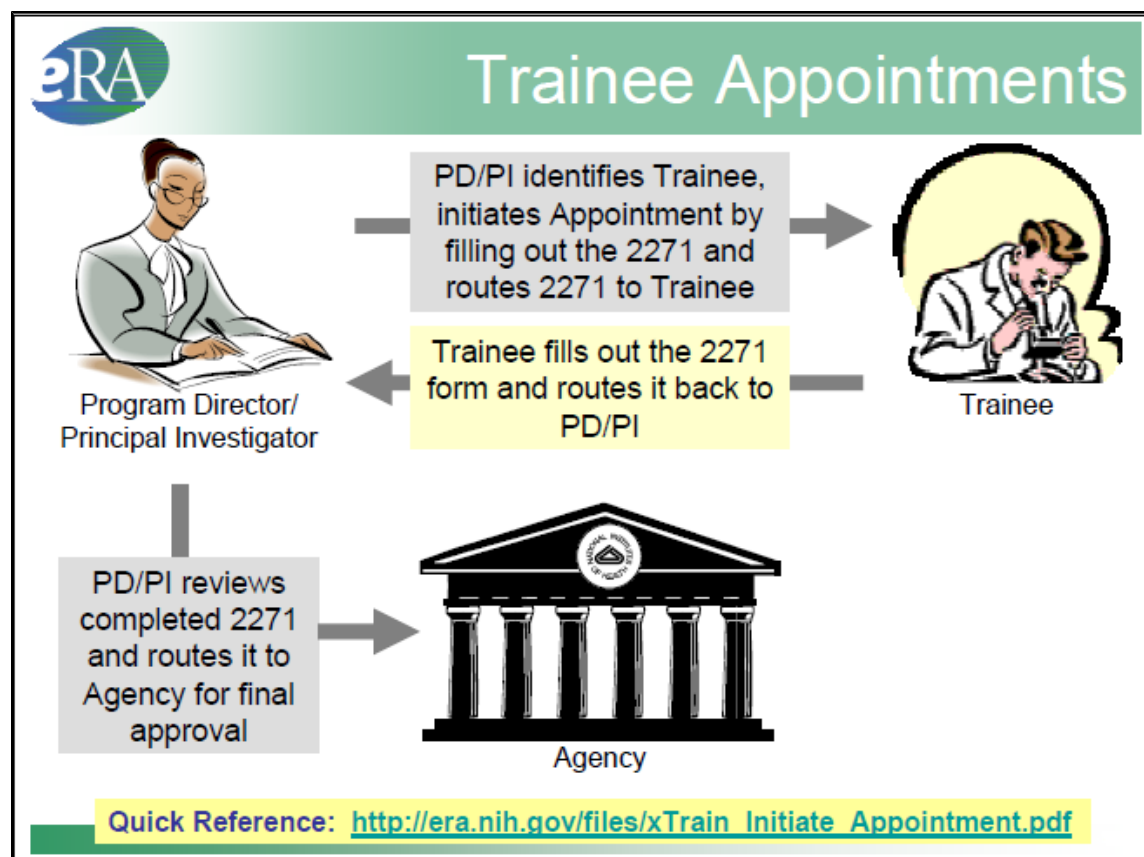


Figure 43: Appointment Process Flow

### 6.1 Create New Appointment – PD/PI

To create an appointment:

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

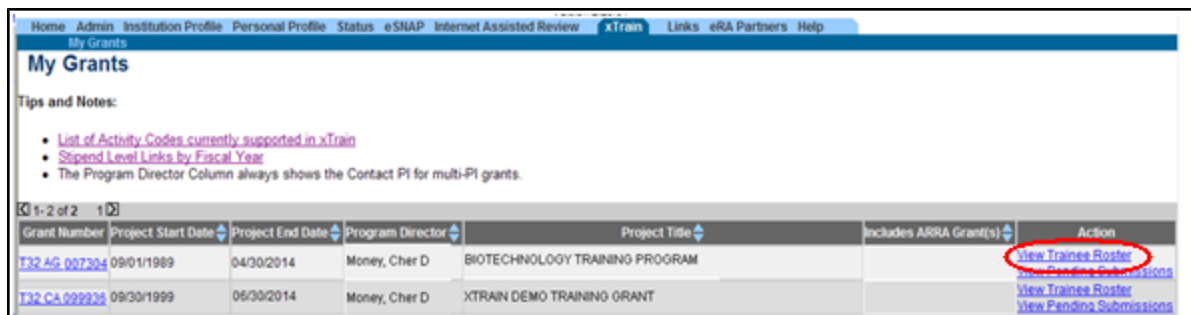


Figure 44: My Grants Screen

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

Application	Appointment	FY	Appointment	Termination	End	Degree	Appointment	Appointment	Termination	Termination	Current	View	Action	
Trainee Name	Type		Start Date	End Date	Date	Date Past?	Status	Source	Status	Source	Reviewer			
ST32MH312000-04 (Budget Period: 07/01/2006-06/30/2007) <a href="#">Create New Appointment</a>														
Beakar, Kim Estly	New	2006	07/01/2006	06/30/2007		Yes	PRE-DOC	Electronic	Pending Agency Review		2271: AGENCY	<a href="#">View 2271</a>	- 2271 Form	
Beach, Sleeping	Reappointment	2006	07/01/2006	06/30/2007	06/30/2007	Yes	POST-DOC	Electronic	Terminated	Accepted	Electronic	2271: AGENCY TN: AGENCY	<a href="#">View 2271</a> <a href="#">View TN</a> <a href="#">View Payback</a>	- 2271 Form - Term Notice - Amend 2271 - InRate TN
Boys, Beagle		2006	07/01/2006	06/30/2007		Yes	PRE-DOC	Paper	Accepted			<a href="#">View 2271</a>		

Figure 45: PD/PI Trainee Roster Screen

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

Figure 46: Enter Trainee Commons User ID Field

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

Figure 47: Identify Trainee Screen

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

Home	Admin	Institution Profile	Personal Profile	Status	eSNAP	<b>xTrain</b>	Links	eRA Partners	Help								
My Grants																	
<b>Statement of Training Appointment</b>																	
<p><b>Project Number:</b> T32 DK 065517</p> <p><b>Appointment Status:</b></p> <p><b>Project Title:</b> RESEARCH TRAINING IN PEDIATRIC NEPHROLOGY</p> <p><b>Institution:</b> EXT UAT DEMO CORP.</p> <p><b>PD Name:</b> Money, Cher D</p>																	
<p><b>PHS 2271</b> OMB No. 0925-0001</p> <p>* indicates required field</p>																	
<b>Trainee Personal Information</b>																	
<p>For every research training appointment or re-appointment, trainees should review and update their personal information by using the Personal Profile link at the top of this page. Except for the e-mail address, personal information may only be entered or modified by the trainee.</p>																	
<p><b>Last Name, First Name, MI:</b> Beaker, Kim Estry</p>																	
<p><b>Address Line 1:</b> 123 My Street</p> <p><b>Address Line 2:</b></p> <p><b>Address Line 3:</b></p> <p><b>Address Line 4:</b></p>																	
<p><b>City, State, ZIP:</b> My City, VA, 20882</p> <p><b>Country:</b> UNITED STATES</p>																	
<p>* <b>Email:</b> nihelectronicssubmiss@</p> <p><b>Phone:</b> 555-111-2222</p> <p><b>Fax:</b></p>																	
<table border="1"> <thead> <tr> <th>Degree(s) Earned/In Progress</th> <th>Completion Date</th> <th>Major/Minor</th> <th>Degree Completed?</th> </tr> </thead> <tbody> <tr> <td>BSN</td> <td>05/1988</td> <td>/</td> <td>Y</td> </tr> </tbody> </table>										Degree(s) Earned/In Progress	Completion Date	Major/Minor	Degree Completed?	BSN	05/1988	/	Y
Degree(s) Earned/In Progress	Completion Date	Major/Minor	Degree Completed?														
BSN	05/1988	/	Y														

Figure 48: Statement of Appointment (2271 Form) – Top Portion

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

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

For information on the Grant's Policy Statement, please refer to Section 11.3.7, *Initiation of Support*, at this web site. [http://grants.nih.gov/grants/policy/nihgps\\_2012/nihgps\\_ch11.htm#Toc271265126](http://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch11.htm#Toc271265126)

Figure 49: Statement of Appointment (2271 Form) – Bottom Portion

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

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

Figure 50: Additional Appointment Action Buttons

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

Figure 51: Create Appointment - Provide Comments Screen

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

7. After the *Appointment Initiation Confirmation* notice appears, click the **Done** button.



Figure 52: Appointment Initiation Confirmation Screen

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

Application	Appointment	FY	Appointment		Termination	End	Degree	Appointment	Appointment	Termination	Termination	Current	View	Action
Trainee Name	Type		Start Date	End Date	Date	Date	Level	Status	Source	Status	Source	Reviewer		
5132MH312008-04 (Budget Period: 07/01/2006-06/30/2007) <a href="#">Create New Appointment</a>														
Newbie, Ima Brand	New	2006	07/01/2006	06/30/2007		Yes	POST DOC	<b>In-Progress Trainee</b>	Electronic			2271: Newbie, Ima Brand	<a href="#">View 2271</a> <a href="#">View</a> <a href="#">Payback</a>	<a href="#">- 2271 Form</a>

Figure 53: In-Progress Trainee Status Screen

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

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

Application	Appointment	FY	Appointment		Termination	End	Degree	Appointment	Appointment	Termination	Termination	Current	View	Action
Trainee Name	Type		Start Date	End Date	Date	Date	Level	Status	Source	Status	Source	Reviewer		
5132MH312008-04 (Budget Period: 07/01/2006-06/30/2007) <a href="#">Create New Appointment</a>														
Newbie, Ima Brand	New	2006	07/01/2006	06/30/2007		Yes	POST DOC	<b>In-Progress PI</b>	Electronic			2271: Money, Cher D	<a href="#">View 2271</a> <a href="#">View</a> <a href="#">Payback</a>	<b>- Process 2271</b>

Figure 54: In-Progress PI Status Screen

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



* Stipend	36996
* Tuition/fees (estimated)	12000
* Travel	1200
<b>Total</b>	<b>50196</b>

Save Cancel Reset Save & Route to Trainee Delete View PDF **Save & Submit to Agency**

Figure 55: Bottom of 2271 Form

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

### Provide Comments

Please enter comments below to send them by e-mail to the next recipient of this form.

**Comments:**  
I am submitting Ima Newbie's Appointment form. She is a wonderful addition to our program. Let me know if you have any questions.

Cher D. Money

**Continue** Cancel

Figure 56: Provide Comments Screen

- Click the **I Accept** button.

### Submit to Agency Certification

I certify that 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.

**I Accept** Cancel

Figure 57: Submit to Agency Certification Screen

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

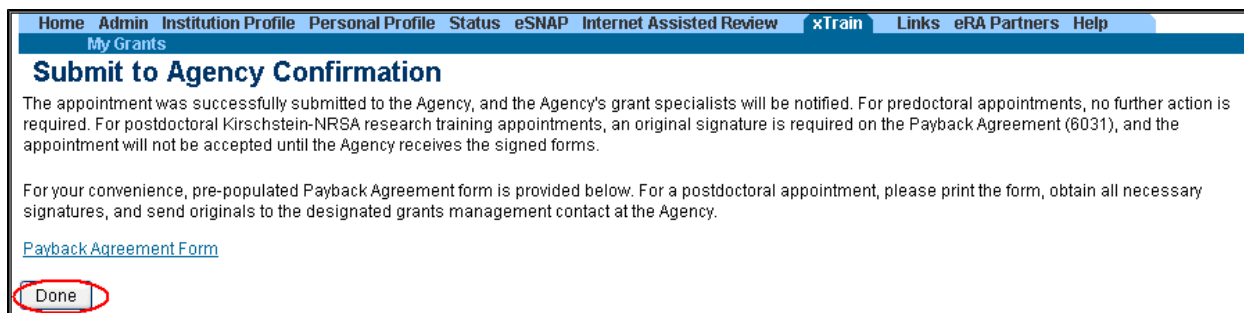


Figure 58: Submit to Agency Confirmation Screen

13. In addition to confirming the submission of the appointment, the *Submit to Agency Confirmation* screen provides reminders about any further action that may be needed:
  - Pre-doc Appointments – No further action is needed, unless confirmation of permanent residency status is required.
  - Post-doc Appointments:
    - For those entering their initial year of Kirschstein-NRSA post-doc support, mail the original signed Payback Agreement (6031) form to the awarding NIH Institute or Center
    - Mail confirmation of permanent residency, if needed
14. The xTrain system checks the form. If error free, the form is routed, and the status of 2271 is changed to **Pending Agency Review**.
15. The PD/PI mails any required documentation or forms to the awarding component.
16. The Agency can accept the appointment, place it on hold, hold it for a paper signature, delete it, view the PDF file, or route it back to the Institution by clicking the appropriate button on the screen. These buttons are available, and made active based on roles.

### 6.1.1 Submit Appointments to the Agency Using the Batch Process

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

To submit Appointments to the Agency through the batch process:

1. Open the **My Grants** Screen.

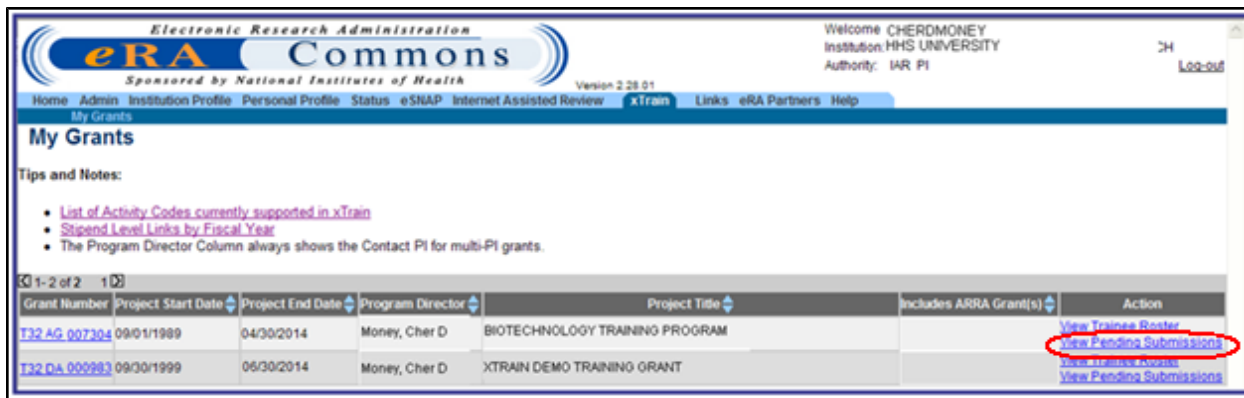


Figure 59: My Grants Screen with the View Pending Submissions Hyperlink

2. Click the **View Pending Submissions** hyperlink for a grant.
3. The *Pending Submissions* screen appears. There is a **Select All** button to choose all of the pending submissions or select the checkbox for a particular record. Enters comments as necessary per record.

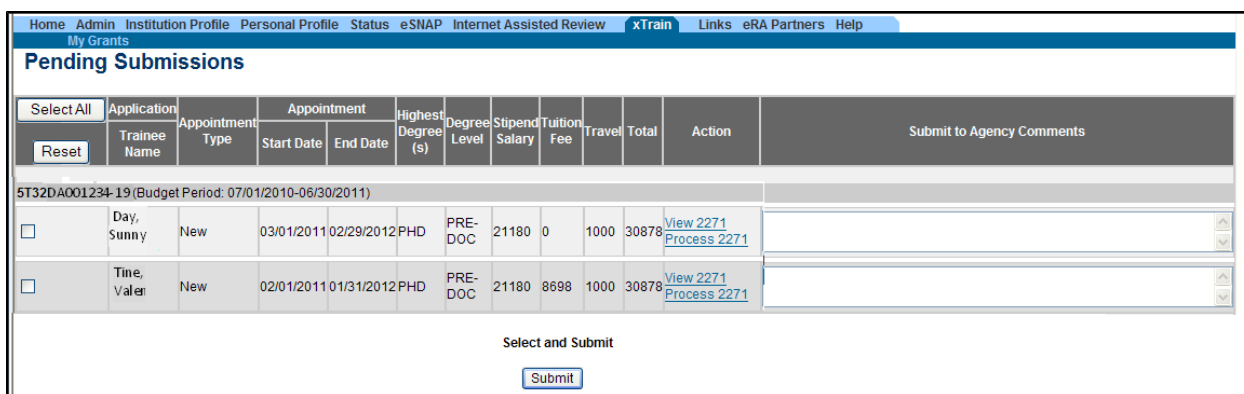


Figure 60: Pending Submissions Screen

4. Click the **Submit** button.

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

## 6.2 Process New Appointment – Trainee

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

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

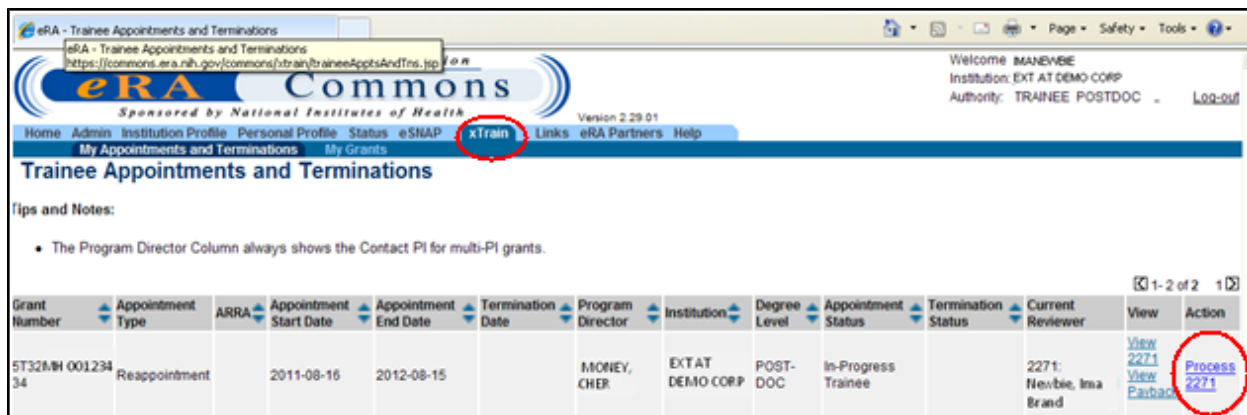


Figure 61: Trainee Appointments and Terminations Screen

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

### Statement of Training Appointment

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

---

**PHS 2271**    OMB No. 0925-0001  
 \* Indicates required field

**Trainee Personal Information**

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

**Last Name, First Name, MI:** Newble, Ima Brand  
**SSN:** 000001234

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

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

\* **Email:**   
**Phone:** 555-123-4567  
**Fax:**

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

---

**Name of Specialty Boards (if applicable)**

\* **Is the Trainee in a dual-degree program (e.g. M.D./Ph.D.)?**  
 No     Yes

Figure 62: Statement of Appointment -Top Portion

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

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

**Prior NRSA Support**  
 If the trainee has previously received support from Kirschstein-NRSA training grant or fellowship, it will be listed in the table below. If the list of prior support is incomplete or incorrect, please click the NIH Support Menu tab above and follow the instructions for verifying NIH support.


Grant #	PI	Appointment Start Date	Appointment End Date	Stipend Amt	Degree Level	Status
* Field of Research Training or Career Development (for this appointment) Choose a specific subfield (e.g., biological chemistry) unless the broader category (e.g., biochemistry) fits best. <input type="text" value="Pediatric Oncology (7330)"/>						
<b>Period of Appointment</b>						
* From (MM/DD/YYYY)	<input type="text" value="07/01/2006"/>		<input type="text" value="06/30/2007"/>			
* To (MM/DD/YYYY)	<input type="text" value="12 months 0 days"/>		<input type="button" value="Re-calculate"/>	Please "Re-calculate" if calendar boxes were used to select dates.		
<b>Support for Period of Appointment</b>						
<b>Type</b>	<b>Total for this Grant (Omit cents)</b>					
* Stipend Level or Salary	<input type="text" value="0 - 36,996 POST-DOC"/>					
* Stipend /Salary/Other Compensation	<input type="text" value="36996"/>					
* Tuition/fees (estimated)	<input type="text" value="12000"/>					
* Travel	<input type="text" value="1200"/>					
<b>Total</b>	<input type="text" value="50196"/>					

Figure 63: Statement of Appointment - continued

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

**Statement of Training Appointment**

**Error Message**

 Appointment validation errors:  
 - Trainee citizenship must be entered. Trainee must enter this information on Personal Profile screen in eRA Commons.  
 (ID: 200014)

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

Figure 64: Statement of Appointment - Error Message

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

Figure 65: Provide Comments Screen

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

Figure 66: Route to PI Confirmation Screen

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

Figure 67: Route to PI Confirmation Screen - 2271 Form Successfully Routed

Grant Number	Appointment Start Date	Appointment End Date	Termination Date	Program Director	Institution	Degree Level	Appointment Status	Termination Status	Current Reviewer	View	Action
5T32MH312008-D4	2006-07-01	2007-06-30		Money, Cher M.	EXT UAT DEMO CORP.	POST-DOC	In-Progress PI		2271: Money, Cher D	<a href="#">View</a>	<a href="#">2271 Form</a> <a href="#">Print</a>

Figure 68: Appointment Status - In-Progress PI

### 6.3 Reappointments

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

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

To reappoint a Trainee:

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



Figure 69: Trainee Roster Screen—Partial View Showing the Re-Appoint 2271 Hyperlink

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

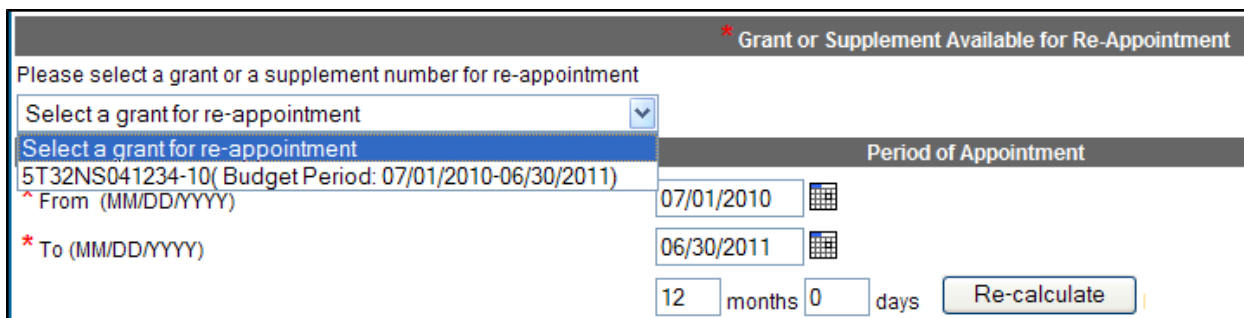


Figure 70: Grant or Supplement Available Drop Down

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

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



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

---

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

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

---

## 6.4 Amendments

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

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

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

---

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

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



Figure 71: Amend 2271 Hyperlink

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

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

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

---

**NOTE:** Original Appointment

10. Are you Hispanic (or Latino)? Mark (X) <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> Intentionally Withheld			
11. What's your racial background? Mark (X) 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 checked="" type="checkbox"/> White <input type="checkbox"/> Intentionally Withheld		<input type="checkbox"/> YES <input checked="" 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	
14. FIELD OF RESEARCH TRAINING OR CAREER DEVELOPMENT (for this appointment)		15. PERIOD OF APPOINTMENT (Month, day, year)	
Enter a 4 digit code from instructions: 3200		From: 09/03/2008 To: 09/02/2009	
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
	Degree	Mo./Yr.	(d) Minor Field
Colorado State University	BS	12/1997	
University of Minnesota	PHD	09/2010	Pharmacology

PHS 2271 Page 1 of 2

Figure 72: 2271 Form

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

AMENDMENT		
Field Name	Original Value	Amended Value
Period of Appointment	09/03/2008 - 09/02/2009	09/03/2008 - 12/14/2008
SUPPORT FOR PERIOD OF APPOINTMENT		
Stipend	\$20772	\$5885
Trainee Signed Date	08/08/2008	
PD Signed Date	08/08/2008	12/04/2008

PHS 2271 Page 2 of 2 continued

Figure 73: 2271 Form's Amendment Section

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

**NOTE:** Amendments follow the same process as Appointments.

**6.4.1 ARRA - Ability to Reappoint Trainee to a Supplement**

xTrain will now look at both the support year of the grant and the suffix code. The system will have the capability to reappoint a Trainee to a supplemental year as well as the next award year. To perform this action, the user will now have a drop-down selection of grant numbers to which the

Trainees can be reappointed, but only on the Reappointment form. The system will also allow reappointment of the Trainee to the current year if the current year is for an ARRA-funded grant.

The screenshot displays the 'Re-Appointment' form. At the top, it says 'Grant or Supplement Available for Re-Appointment'. Below this, there is a dropdown menu labeled 'Select a grant for re-appointment' with a red circle around it. The selected option is 'T32GM 001234 5S1( Budget Period: 07/01/2009-06/30/2011)'. To the right, the 'Period of Appointment' section includes 'From (MM/DD/YYYY)' set to 08/01/2009, 'To (MM/DD/YYYY)' set to 07/31/2010, and a duration of 12 months and 0 days. A 'Re-calculate' button is present with a note: 'Please "Re-calculate" if calendar boxes were used to select dates.' Below this is a section titled 'Support for Period of Appointment' which contains a table:

Type	Total for this Grant (Omit cents)
* Stipend Level or Salary	PRE - 20.976 PRE-DOC
* Stipend/Salary/Other Compensation	20976
* Tuition/fees (estimated)	13134
* Travel	0
Total	34110

Figure 74: Re-Appointment Screen

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

## 7 Terminations

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

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

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

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

Quick Reference: [http://era.nih.gov/files/termination\\_appointment.pdf](http://era.nih.gov/files/termination_appointment.pdf)

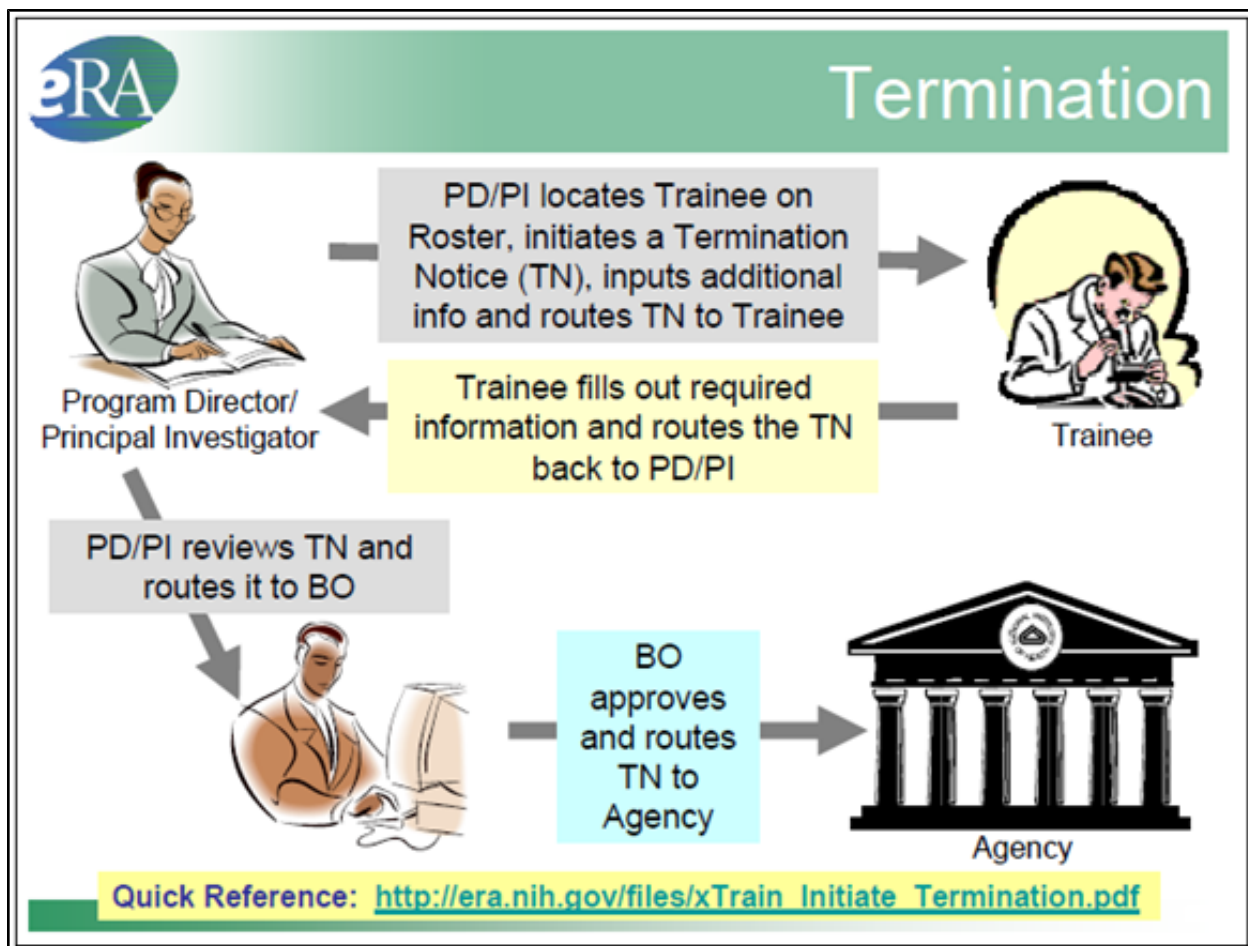


Figure 75: Termination Process Flow



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

**Termination Notice - Ruth L. Kirschstein National Research Service Award**

Project Number: T32 AA 001234  
 Termination Status:  
 Project Title: BIOLOGICAL BASES OF ALCOHOLISM  
 Institution: OREGON HEALTH & SCIENCE UNIVERSITY  
 PD Name: Phillips, Tampa

---

\* Indicates required field PHS 416-7 OMB No. 0925-0002

**Trainee Personal Information**

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

Last Name, First Name, MI: Denmark, Dean L.

Address Line 1:  
 Address Line 2:  
 Address Line 3:  
 Address Line 4:

City, State, ZIP: . .  
 Country:

\* Email:

Phone:  
 Fax:

Degree(s) Earned	In Progress	Completion Date	Major/Minor	Degree Completed?
BS		01/1999	/	Y
BA			/	Y

Figure 77: Termination Notice (Form 416-7) –Top Portion

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

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

### 7.2.1 Early Terminations

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

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

Termination Date: 03/31/2011  \*Business Official: Day, Sunny

Total Kirschstein - NRSA Support Under This Award							
Support Year	Start Date	End Date	* Amount of Stipend/Salary	Standard Stipend Amount	ARRA	Number of	
						Months	Days
Year 31	07/01/2009	06/30/2010	20,976.00			12	0
Year 32	07/01/2010	03/31/2011	15885.0	21,180.00			
<b>Totals:</b>			36861.00				

**Training Received**

Provide a summary of training received and research undertaken during trainee tenure. List publications, if any, resulting from the research during this period. List grants and career awards pending and received. *If training appointment is being terminated early, state reason.* (2000 characters maximum)

- OR -

Upload PDF File

**Post Award Information**

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

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

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

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

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

## Modify Termination Date

You are requesting to modify the Termination Date. Note that you can only change this Date to shorten the last Trainee Appointment period. Upon acceptance of the Termination Notice form by Agency, the system will automatically amend the last appointment end date and re-calculate the stipend amount for the last appointment. The system will pre-populate a recalculated stipend amount into the enterable field on the Termination Notice Form (you will see it as soon as you click Continue on this screen), and you can further modify the stipend amount right on that screen

**\* Termination Date**

Figure 79: Modify Termination Date Screen

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

If known, enter position title, organization, and related information:

Position Title:

Field:

Name of Organization:

City:

State:

Phone No:

---

Mailing Address after Termination of this Kirschstein-NRSA Support

Street:

City:

State:

ZIP:

Phone No:

Email:

---

Other PHS Service Obligation Support

\* National Health Service Corps Scholarship: No. of Months:

\* Kirschstein-NRSA: No. of Months:

If the trainee has previously received support from other Kirschstein-NRSA training grants or fellowships, it will be listed in the table below. If the list of prior support is incomplete or incorrect, please contact the eRA HelpDesk.

Grant Number	From	To

Is the trainee currently participating in NIH Loan Repayment Program?  Yes  No



Figure 80: Termination Notice (Form 416-7) – Bottom Portion

2. To continue to process the TN, scroll down to the bottom of the form where additional buttons now appear or you can open the form later from the *Trainee Roster* screen as described below.
3. From the *Trainee Roster* screen, the PD/PI clicks the **Process TN** hyperlink to open the form. If time does not permit, or if all required (\*) information is not readily available, the PD/PI can click the **Save** button at any time and complete the form later if need be. Once complete the PD/PI should click the **Save & Route to Trainee** button, which is now visible on the bottom of the *Trainee* screen to send the form to the Trainee.
4. The PD/PI is given an opportunity to provide comments (up to 2000 characters) to be included in the e-mail message that will be sent to the Trainee. If desired, enter comments and then click the **Continue** button.

Figure 81: Provide Comments Screen

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

Figure 82: Termination Notice Confirmation

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

Date, Chip N.	2603 07/01/2003 03/31/2004 03/15/2004	Yes	POST-DOC	Acceptable	Paper	<b>In Progress Trainee</b>	Electronic	TN Date/Chip N.	View 2271 View TN View Payback	- Amend 2271 - ReAccount 2271 - Term Notice
---------------	---------------------------------------	-----	----------	------------	-------	----------------------------	------------	-----------------	--------------------------------------	---

Figure 83: In Process Trainee Hyperlink

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

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

Date, Chip N	2003 07/01/2003	03/31/2004	03/15/2004	Yes	POST-DOC	Accepted	Paper	In Progress PI	Electronic	TN	Money, Cher D	<a href="#">View 2271</a> <a href="#">View TN</a> <a href="#">View Feedback</a> <a href="#">Process TN</a>
--------------	-----------------	------------	------------	-----	----------	----------	-------	----------------	------------	----	---------------	---

Figure 84: PI Trainee Roster Screen

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

Other PHS Service Obligation Support

\* National Health Service Corps Scholarship: No. of Months:

\* Kirschstein-NRSA: No. of Months:

If the trainee has previously received support from other Kirschstein-NRSA training grants or fellowships, it will be listed in the table below. If the list of prior support is incomplete or incorrect, please contact the eRA HelpDesk.

Grant Number	From	To

Is the trainee currently participating in NIH Loan Repayment Program?  Yes  No

Save Cancel Reset Save & Route to Trainee **Save & Route to BO** Delete View PDF

Figure 85: Termination Notice (Form 416-7) – bottom portion

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

**Provide Comments**

If you would like to send comments by e-mail to the next recipient of this form, please insert them below.

Comments:

Chip N Dale is no longer with our training program. Here is the Termination Notice.

Cher D Money

Continue Cancel

Figure 86: Provide Comments Screen

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



Figure 87: Termination Notice Certification

11. Click the **Done** button.



Figure 88: Termination Notice Confirmation

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

Date, Chip N.	2003	07/01/2003	03/31/2004	03/15/2004	Yes	POST-DOC	Accepted	Paper	<b>In Progress BO</b>	Electronic	TN Happy/JA B	View 2271 View TN View Postdoc Term Notice
---------------	------	------------	------------	------------	-----	----------	----------	-------	-----------------------	------------	---------------	---

Figure 89: PI Trainee Roster Screen

### 7.3 Process Termination Notice – Trainee

To process a Termination Notice as a Trainee:

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

**Trainee Appointments and Terminations**

Grant Number	Appointment Start Date	Appointment End Date	Termination Date	Program Director	Institution	Degree Level	Appointment Status	Termination Status	Current Reviewer	View	Action
1T32MH312000-01A5	2003-07-01	2004-03-31	2004-03-15	Money, Cher M.	EXT UAT DEMO CORP.	POST-DOC	Accepted	In Progress Trainee	TN: Dale,Chip N.	View 2271 View TN View Postdoc	<b>Process TN</b>

Figure 90: Trainee Appointments and Terminations Screen

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

Termination Notice - Ruth L. Kirschstein National Research Service Award	
<b>Project Number:</b> T32 MH 312008	
<b>Termination Status:</b> In Progress Trainee <a href="#">View Routing History</a>	
<b>Project Title:</b> XTRAIN DEMO TRAINING GRANT	
<b>Institution:</b> UNIVERSITY OF PENNSYLVANIA	
<b>PD Name:</b> Money, Cher D	
* indicates required field	PHS 416-7 OMB No. 0925-0002
<b>Trainee Personal Information</b>	
Before a research training appointment is terminated, trainees should review and update their personal information by using the Personal Profile link at the top of this page. Except for the e-mail address, personal information may only be entered or modified by the trainee.	
<b>Last Name, First Name, MI:</b> Dale, Chip N.	
<b>SSN:</b> 000005555	
<b>Address Line 1:</b> Acorn lane	
<b>Address Line 2:</b> Dr 2	
<b>Address Line 3:</b> Lane 99	
<b>Address Line 4:</b>	
<b>City, State, ZIP:</b> Acorn, IN, 23121	
<b>Country:</b> UNITED STATES	
* <b>Email:</b> <a href="mailto:eRAStage@mail.nih.gov">eRAStage@mail.nih.gov</a>	
<b>Phone:</b> 1564454445	
<b>Fax:</b>	

Figure 91: Termination Notice (Form 416-7) – Top Portion

Degree(s) Earned/In Progress	Completion Date	Major/Minor	Degree Completed?
BA	03/2004	/	Y
MD	06/2011	/	N

Termination Date and Business Official submitting the Termination Notice to NIH

Termination Date: 03/15/2004 Business Official: Happy, IDA

Total Kirschstein - NRSA Support Under This Award

Support Year	Start Date	End Date	Amount of Stipend	Standard Stipend Amount	Number of	
					Months	Days
Year 1	07/01/2003	03/31/2004	24225.0	25,650.00	9	0
Totals:			24225.00			

Training Received

\* Provide a summary of training received and research undertaken during trainee tenure. List publications, if any, resulting from the research during this period. List grants and career awards pending and received. *If training appointment is being terminated early, state reason.* (2000 characters maximum)

- OR -

Upload PDF File

Post Award Information

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

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

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

Training Received

\* Provide a summary of training received and research undertaken during trainee tenure. List publications, if any, resulting from the research during this period. List grants and career awards pending and received. *If training appointment is being terminated early, state reason.* (2000 characters maximum)

- OR -

Upload PDF File

Post Award Information

Figure 93: Upload Training Received Screen

If known, enter position title, organization, and related information:

Position Title:

Field:

Name of Organization:

City:

State:

Phone No:

---

Mailing Address after Termination of this Kirschstein-NRSA Support

\* Street:

\* City:

\* State:

\* ZIP:

\* Phone No:

\* Email:

---

Other PHS Service Obligation Support

\* National Health Service Corps Scholarship: No. of Months:

\* Kirschstein-NRSA: No. of Months:

If the trainee has previously received support from other Kirschstein-NRSA training grants or fellowships, it will be listed in the table below. If the list of prior support is incomplete or incorrect, please contact the eRA HelpDesk.

Grant Number	From	To

\* Is the trainee currently participating in NIH Loan Repayment Program?  Yes  No

Save Cancel Reset **Save & Route to PI** View PDF

Figure 94: Termination Notice (Form 416-7) – Bottom Portion

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

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

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

Figure 95: Provide Comments Screen

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

Figure 96: Termination Notice Certification

7. Click the **Done** button.

Figure 97: Termination Notice Confirmation

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

Grant Number	Appointment Start Date	Appointment End Date	Termination Date	Program Director	Institution	Degree Level	Appointment Status	Termination Status	Current Reviewer	View	Action
1T32MH312008-01A1	2003-07-01	2004-03-31	2004-03-15	Money, Cher M.	EXT UAT DEMO CORP.	POST-DOC	Accepted	In Progress PI	TN: Money, Cher D	View 2271 View TN View 10010 Eayback	Term

Figure 98: Trainee Appointments and Terminations

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

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

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

## 7.4 Process New Termination Notice – BO

To create a Termination Notice as a BO:

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

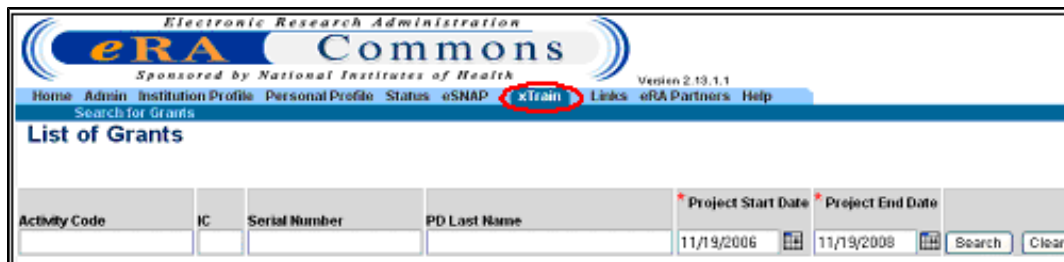


Figure 99: List of Grants Screen

2. Select the **View Trainee Roster** hyperlink.

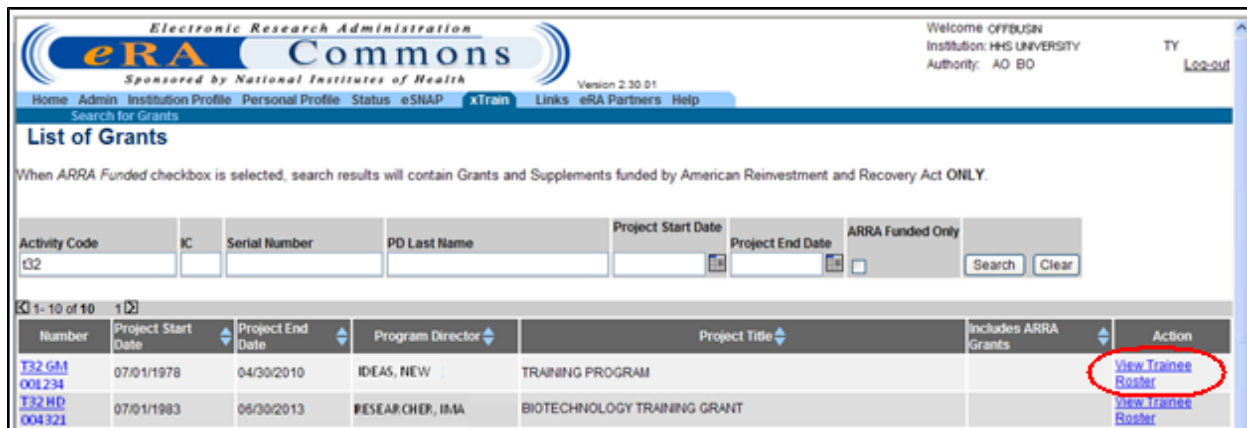


Figure 100: BO Trainee Roster

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





Figure 101: BO Trainee Roster Screen

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

Figure 102: Termination Notice (Form 416-7) – bottom portion

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

Figure 103: Provide Comments Screen

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

Figure 104: Termination Notice Certification

- Click the **Done** button.

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



Figure 105: Termination Notice Confirmation

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

Date, Chp. N.	2003 07/01/2003	03/31/2004	03/15/2004	Yes	POST-DOC	Accepted	Paper	<b>Pending Agency Review</b>	Electronic	TN: AGENCY	View 227.1 View TN View Package	Termination Notice
---------------	-----------------	------------	------------	-----	----------	----------	-------	------------------------------	------------	------------	---------------------------------------	--------------------

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

## 7.5 Terminating Fellowships

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

## 7.5.1 Initiating a Termination Notice for Fellowships

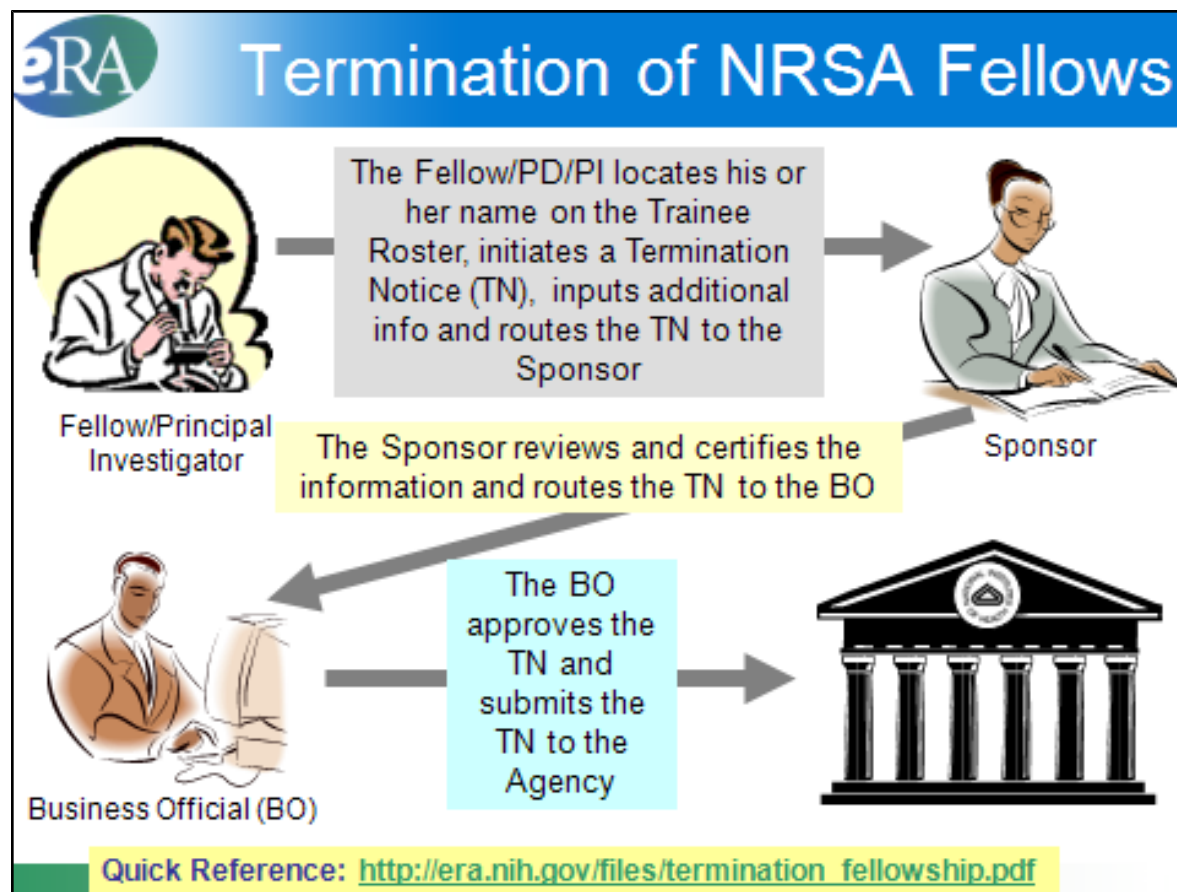


Figure 106: Termination Flow for NRSA Fellowships

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

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

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

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

---

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

---

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

---

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

---

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

---

**NOTE:** (If no action is taken):

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

---

### 7.5.2 The BO Reviews and Submits the TN to the Agency

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

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

### 7.5.3 The Agency Processes the TN

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

## 8 Other Functions

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

### 8.1 Delegation – ASST Role

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

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

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

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

#### 8.1.1 Assign Delegation

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

The system displays the *My Delegates* screen.

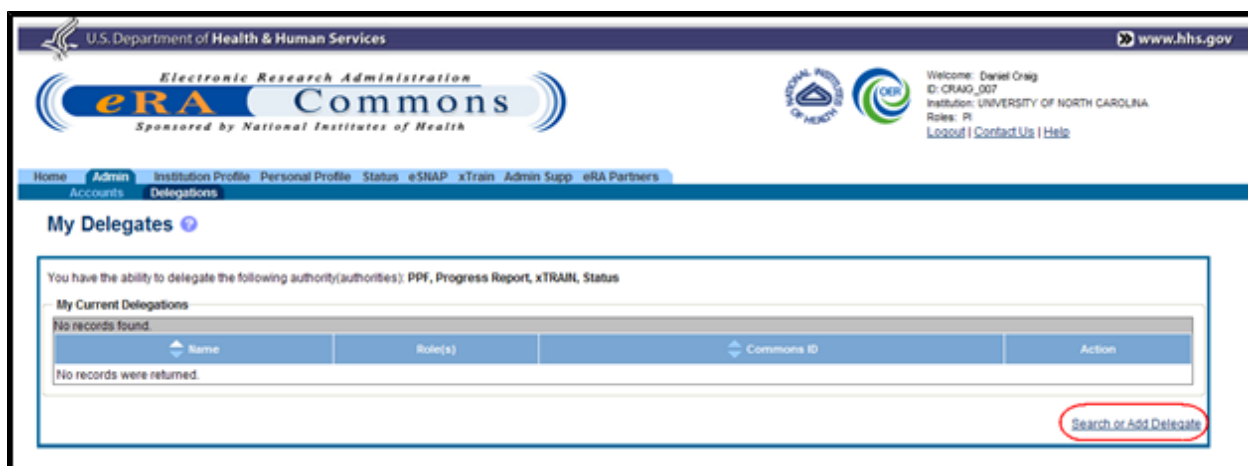


Figure 107: Commons My Delegates Screen Displaying Search or Add Delegate Hyperlink

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

The *Delegate Authority (Authorities)* screen appears.

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

For more information on delegations, refer to the section titled *Delegations* in the Commons user guide located at [http://era.nih.gov/docs/COM\\_UGV2630.pdf](http://era.nih.gov/docs/COM_UGV2630.pdf).

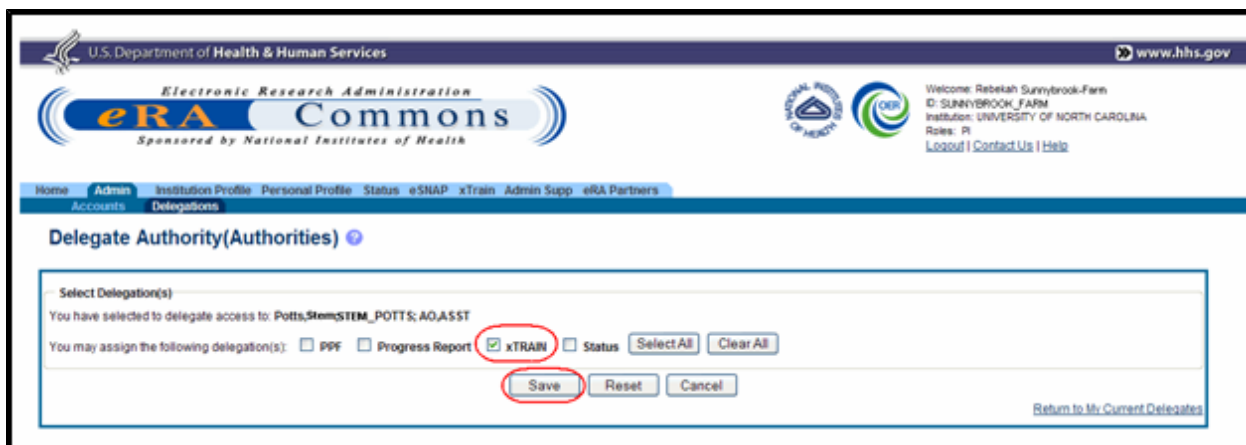


Figure 108: *Delegate Authority (Authorities)* Screen Displaying Adding xTrain Authority

### 8.1.2 Remove Delegation

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

For more information, refer to the section titled *Delegations – Remove Delegations* in the Commons user guide located at [http://era.nih.gov/docs/COM\\_UGV2630.pdf](http://era.nih.gov/docs/COM_UGV2630.pdf).

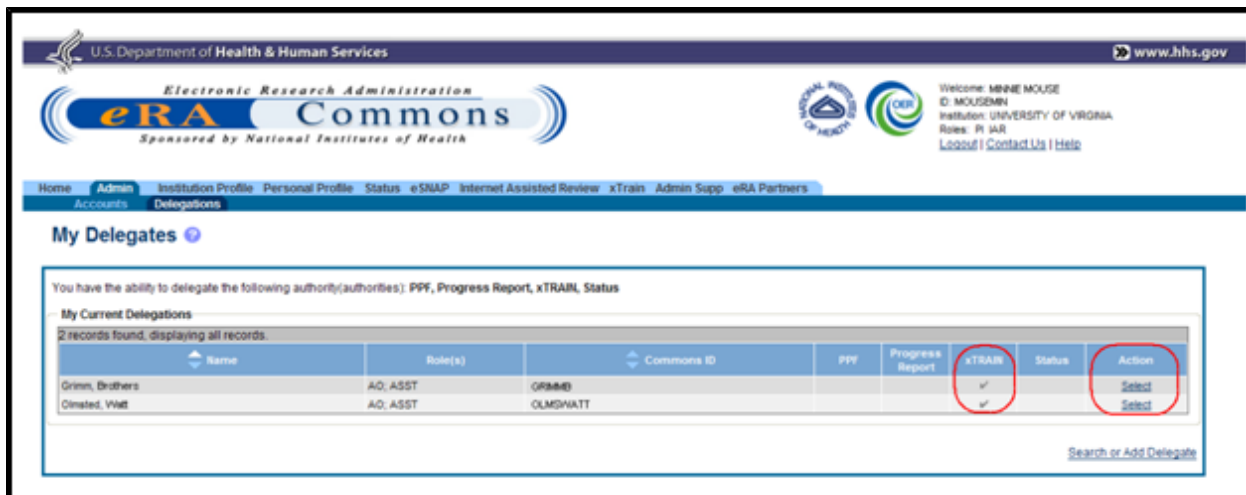


Figure 109: Commons My Delegates Screen Displaying Users with xTrain Authority

## 8.2 Training Grants

### 8.2.1 View Training Grants for SO/BO

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

To view the *List of Grants* screen:

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

The *List of Grants* screen displays training grant query parameters.

Figure 110: List of Grants Search Screen

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

The system displays query results as a list of training grants.

Number	Project Start Date	Project End Date	Program Director	Project Title	Includes ARRA Grants	Action
T32 GM 001234	07/01/1978	04/30/2010	IDEAS, NEW	TRAINING PROGRAM		<a href="#">View Trainee Roster</a>
T32 HD 004321	07/01/1983	06/30/2013	RESEARCHER, IMA	BIOTECHNOLOGY TRAINING GRANT		<a href="#">View Trainee Roster</a>

Figure 111: List of Grants Screen Displaying Search Results

**NOTE:** All projects displayed represent awarded training grants.



## 8.2.2 Viewing Training Grants for More than one PD/PI

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

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

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

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

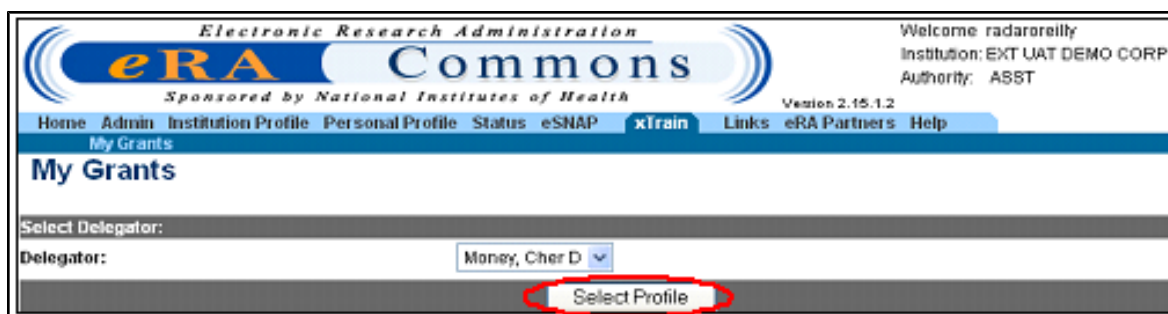


Figure 112: My Grants Screen Displaying the Select Profile Button

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

Grant Number	ARRA Funded	Budget Start Date	Budget End Date	FY	Program Director	Short Term		Pre Docs		Post Docs	
						Est.# Trainees	# Accepted Appointments	Est.# Trainees	# Accepted Appointments	Est.# Trainees	# Accepted Appointments
1T32CA099936-01A1		09/30/2004	09/29/2005	2004	Money, Cher D	0	0	1	0	3	0
2T32CA099936-06		09/01/2009	08/31/2010	2009	Money, Cher D	0	0	1	1	3	3
3T32CA099936-06S1	Yes	09/30/2009	08/31/2011	2009	Money, Cher D	0	0	1	1	0	0
5T32CA099936-02		09/30/2005	09/29/2006	2005	Money, Cher D	0	0	1	0	3	0
5T32CA099936-03		09/30/2006	09/29/2007	2006	Money, Cher D	0	0	1	0	3	2
5T32CA099936-04		09/30/2007	08/31/2008	2007	Money, Cher D	0	0	1	0	3	2
5T32CA099936-05		09/01/2008	08/31/2009	2008	Money, Cher D	0	0	1	0	3	3
5T32CA099936-07		09/01/2010	08/31/2011	2010	Money, Cher D	0	0	1	0	3	0

Figure 113: Grant Summary Screen

## 8.3 View 2271 & View TN PDF

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

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

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

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

Application	Appointment	FY	Appointment		Termination	End Date	Degree	Appointment	Appointment	Termination	Termination	View	Action
Trainee Name	Type		Start Date	End Date	Date	Past?	Level	Status	Source	Status	Source		
ST32DK065517-04 (Budget Period: 07/01/2007-06/30/2008)													
Beaker, Kim Entry	New	2007	07/01/2007	06/30/2008	04/19/2008	No	PRE-DOC	Accepted	Electronic	Pending Agency Review	Electronic	<a href="#">View 2271</a>	<a href="#">View TN</a>

Figure 114: View 2271 & View TN Hyperlink

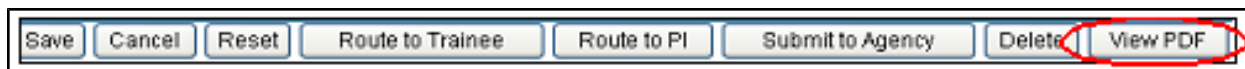


Figure 115: View PDF Button

### 8.4 View Routing History

The **View Routing History** hyperlink is available throughout many of the xTrain processes. This hyperlink provides event history and includes routing comments. The hyperlink can be accessed from within forms or from the *Appointment/Termination Status* screen.



Figure 116: Statement of Training Appointment Screen Displaying View Routing History Hyperlink

Routing History						
<b>Project Number:</b> T32 MH 312008						
<b>Appointment Status:</b> Pending Agency Review						
<b>Project Title:</b> XTRAIN DEMO TRAINING GRANT						
<b>Institution:</b> UNIVERSITY OF PENNSYLVANIA						
<b>PD Name:</b> Money, Cher D						
<b>Trainee Name:</b> Newbie, Ima Brand						
Event	Action Taken By	Action Date	Action Taken	Current Status	Current Reviewer	Action Comments
PI Initiates, Amends, or Re-appoints a Trainee via 2271	Money, Cher	06/05/2008 06:36 PM	Initiated by PI	In-Progress PI	Money, Cher	
PI Routes 2271 to Trainee	Money, Cher	06/05/2008 07:07 PM	Routed to Trainee	In-Progress Trainee	Newbie, Ima	I have started the 2271 form needed for you Appointment. Please complete the remaining information and route it back to me. Give me a call if you have any questions. -Cher D. Money
Trainee Routes 2271 to PI	Newbie, Ima	06/05/2008 07:43 PM	Routed to PI	In-Progress PI	Money, Cher	I believe I have included all the necessary informatin. I look forward to this opportunity. Ima Newbie
PI Submits 2271 to Agency	Money, Cher	06/05/2008 07:56 PM	Submitted to Agency	Pending Agency Review	AGENCY	I am submitting Ima Newbie's Appointment form. She is a wonderful addition to our program. Let me know if you have any questions. Cher D. Money

Figure 117: Routing History Screen

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

## 8.5 View Grant Summaries

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

Grant Number	Project Start Date	Project End Date	Program Director	Project Title	Includes ARRA Grant(s)	Action
<a href="#">T32 AG 007304</a>	03/01/1999	04/30/2014	Money, Cher D	BIOTECHNOLOGY TRAINING PROGRAM		<a href="#">View Trainee Roster</a> <a href="#">View Pending Submissions</a>
<a href="#">T32 CA 099936</a>	03/30/1999	06/30/2014	Money, Cher D	XTRAIN DEMO TRAINING GRANT		<a href="#">View Trainee Roster</a> <a href="#">View Pending Submissions</a>

Figure 118: My Grants Screen Displaying Grant Number Hyperlinks

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

The *Grant Summary* screen displays.

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review **xTrain** Links eRA Partners Help

My Grants

### Grant Summary

Tips and Notes:

- The Program Director Column always shows the Contact PI for multi-PI grants.

Project: T32 CA 099936 Includes ARRA grants  
 Title: xTrain Demo Training Grant  
 Project Start/End Dates: 04/01/2003 - 08/31/2014

1-8 of 8 1

Grant Number	ARRA Funded	Budget Start Date	Budget End Date	FY	Program Director	Short Term		Pre Docs		Post Docs	
						Est.# Trainees	# Accepted Appointments	Est.# Trainees	# Accepted Appointments	Est.# Trainees	# Accepted Appointments
<a href="#">1T32CA099936-01A1</a>		09/30/2004	09/29/2005	2004	Money, Cher D	0	0	1	0	3	0
<a href="#">2T32CA099936-06</a>		09/01/2009	08/31/2010	2009	Money, Cher D	0	0	1	1	3	3
<a href="#">3T32CA099936-06S1</a>	Yes	09/30/2009	08/31/2011	2009	Money, Cher D	0	0	1	1	0	0
<a href="#">5T32CA099936-02</a>		09/30/2005	09/29/2006	2005	Money, Cher D	0	0	1	0	3	0
<a href="#">5T32CA099936-03</a>		09/30/2006	09/29/2007	2006	Money, Cher D	0	0	1	0	3	2
<a href="#">5T32CA099936-04</a>		09/30/2007	08/31/2008	2007	Money, Cher D	0	0	1	0	3	2
<a href="#">5T32CA099936-05</a>		09/01/2008	08/31/2009	2008	Money, Cher D	0	0	1	0	3	3
<a href="#">5T32CA099936-07</a>		09/01/2010	08/31/2011	2010	Money, Cher D	0	0	1	0	3	0

[View Trainee Roster](#) [Back](#)

Figure 119: Grants Summary Screen Displaying Actions Accepted

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

## 8.6 View Trainee Roster

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

1. Click on **View Trainee Roster** hyperlink.

Home Admin Institution Profile Personal Profile Status eSNAP Internet Assisted Review **xTrain** Links eRA Partners Help

My Grants

Tips and Notes:

- List of Activity Codes currently supported in xTrain
- Stipend Level Links by Fiscal Year
- The Program Director Column always shows the Contact PI for multi-PI grants.

1-2 of 2 1

Grant Number	Project Start Date	Project End Date	Program Director	Project Title	Includes ARRA Grant(s)	Actions
<a href="#">T32 AG 007304</a>	09/01/1989	04/30/2014	Money, Cher D	BIOTECHNOLOGY TRAINING PROGRAM		<a href="#">View Trainee Roster</a> <a href="#">View Pending Submissions</a>
<a href="#">T32 CA 099936</a>	09/30/1999	06/30/2014	Money, Cher D	XTRAIN DEMO TRAINING GRANT		<a href="#">View Trainee Roster</a> <a href="#">View Pending Submissions</a>

Figure 120: My Grants Screen Displaying View Trainee Roster Hyperlink

2. Make a selection from the drop down and click the **Go** button.

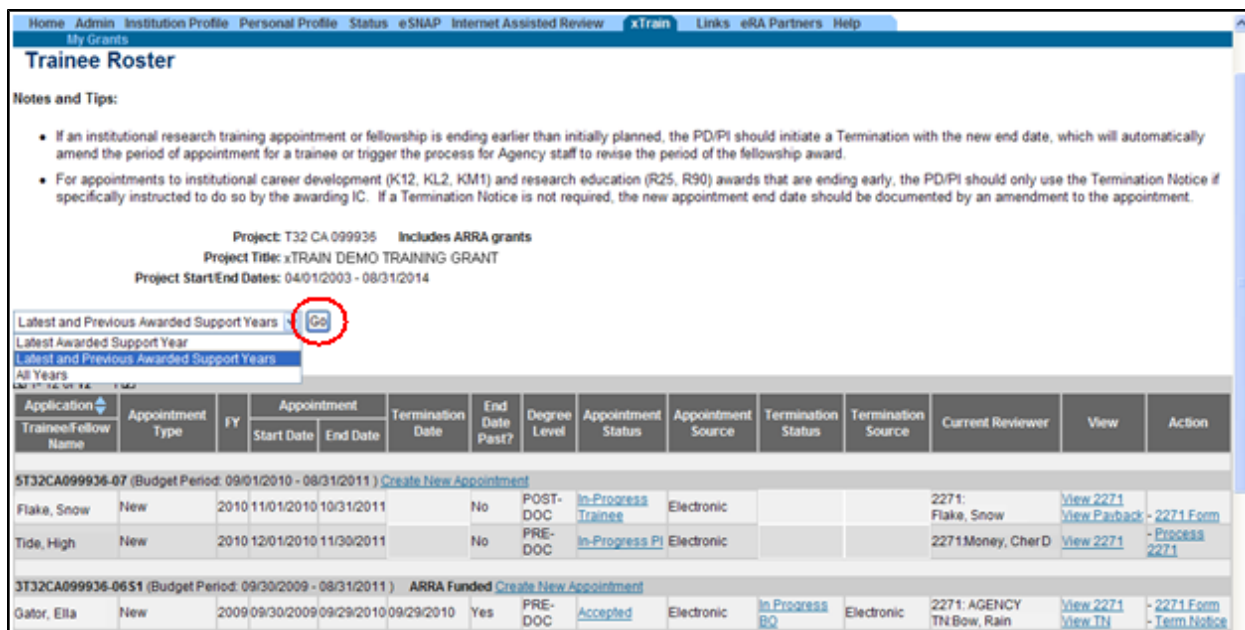


Figure 121: Trainee Roster Screen

### 8.6.1 Trainee Roster Fields

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

(1) Appointment Type:

- New
- Reappointment
- Amendment

(2) Appointment Status:

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

(3) Appointment Source:

- Paper
- Electronic

(4) Termination Status:

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

(5) View:

- View 2271
- View TN
- View Payback

(6) Action:

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

Application Trainee/Fellow Name	Appointment Type	FY	Appointment		Termination Date	End Date Past?	Degree Level	Appointment Status	Appointment Source	Termination Status	Termination Source	Current Reviewer	View	Action
			Start Date	End Date										
5T32CA099936-07 (Budget Period: 09/01/2010 - 08/31/2011) <a href="#">Create New Appointment</a>														
Flake, Snow	New	2010	11/01/2010	10/31/2011		No	POST- DOC	<a href="#">In-Progress Trainee</a>	Electronic			2271: Flake, Snow	<a href="#">View 2271</a>	<a href="#">View Payback</a> - <a href="#">2271 Form</a>
Tide, High	New	2010	12/01/2010	11/30/2011		No	PRE- DOC	<a href="#">In-Progress PI</a>	Electronic			2271Money, Cher D	<a href="#">View 2271</a>	<a href="#">Process 2271</a>
3T32CA099936-0651 (Budget Period: 09/30/2009 - 08/31/2011) <a href="#">ARRA Funded</a> <a href="#">Create New Appointment</a>														
Gator, Ella	New	2009	09/30/2009	09/29/2010	09/29/2010	Yes	PRE- DOC	<a href="#">Accepted</a>	Electronic	<a href="#">In Progress BO</a>	Electronic	2271: AGENCY TN Bow, Rain	<a href="#">View 2271</a>	<a href="#">View TN</a> - <a href="#">2271 Form</a> - <a href="#">Term Notice</a>

Figure 122: Trainee Roster Fields

## **9 Email Messages**

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### **9.1 *Email Reminders for Time Based xTrain Activities***

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

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

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

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

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

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

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

---

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

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### **9.2 *Email Notifications to Manage the Termination Process for Fellowships***

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

#### **9.2.1 *Fellowship TN Routed to Sponsor***

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

#### **9.2.2 *Fellowship TN is on Hold Awaiting Award Revision***

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

### **9.2.3 Fellowship TN Routed to Fellow (PI)**

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

### **9.2.4 Fellowship TN Submitted to Agency**

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

### **9.2.5 Fellowship TN Routed to BO**

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

### **9.2.6 Fellowship TN Accepted by Agency**

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

### **9.2.7 Fellowship TN Rejected by Agency**

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

### **9.2.8 Fellowship TN Recalled**

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

### **9.2.9 Fellowship TN Deleted Email**

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



## 10 Getting Help

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

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

eRA Commons Help Desk

Web: <http://ithelpdesk.nih.gov/eRA/> (Preferred method of contact)

Toll-free: 1-866-504-9552

Phone: 301-402-7469

TTY: 301-451-5939

Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

### 10.0.1 Hyperlinks of Interest:

eRA Commons:

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

eRA Web Site:

<http://era.nih.gov>

xTrain Web Page:

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

[http://era.nih.gov/era\\_training/xtrain.cfm](http://era.nih.gov/era_training/xtrain.cfm)

Ruth L. Kirschstein National Research Service Award Page:

(Policy Information, Stipend Levels, FAQs)

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

NIH Forms & Applications:

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

# 11 Appendix A – Statement of Appointment (Form PHS 2271)

Instructions for PHS 2271  
Revised 06/09

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

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

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

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

**I. INTRODUCTION**

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

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

**II. GENERAL INSTRUCTIONS**

**A. Definitions:**

**Types of Awards**

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

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

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

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

PHS 2271 (Rev. 06/09) — Instructions

Figure 123: Statement of Appointment (Form PHS 2271) Instructions

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

**Types of Appointments**

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

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

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

**B. Application**

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

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

**C. Submission**

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

**III. ITEM-BY-ITEM INSTRUCTIONS**

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

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

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

**Item 4. Type of Action.**

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

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

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

PHS 2271 (Rev. 06/09) — Instructions

Figure 124: Statement of Appointment (Form PHS 2271) Instructions - continued

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

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

**Item 7. Birthdate.** Self-explanatory.

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

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

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

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

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

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

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

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

**10. Are you Hispanic (or Latino)?**

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

PHS 2271 (Rev. 06/09) — Instructions

Figure 125: Statement of Appointment (Form PHS 2271) - continued

**11. What is your racial background?**

**Check one or more.**

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

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

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

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

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

**12. Do you have a disability?**

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

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

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

1. Comes from a family with an annual income below established low-income thresholds, published by the U.S. Bureau of the Census; adjusted annually for changes in the Consumer Price Index; and adjusted by the Secretary for use in all health professions programs. The Secretary periodically publishes these income levels at <http://aspe.hhs.gov/poverty/index.shtml>. Individuals falling in this category must have qualified for Federal disadvantaged assistance or have received Health Professional Student Loans (HPSL), Loans for Disadvantaged Student Program, or scholarships from the U.S. Department of Health and Human Services under the Scholarship for Individuals with Exceptional Financial Need.
2. Comes from a social, cultural, or educational environment, such as that found in certain rural or inner-city environments, that has demonstrably and recently directly inhibited the acquisition of the knowledge, skills, and abilities necessary to develop and participate in a research career. This category is most applicable to high school and perhaps undergraduate students, but more difficult to justify for individuals beyond that level of achievement.

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

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

<p><b>1000 I. Predominantly Non-Clinical or Lab-Based Research Training</b></p> <p><b>1100 BIOCHEMISTRY</b> 1110 Biological Chemistry 1120 Bioenergetics 1130 Enzymology 1140 Metabolism</p> <p><b>1200 BIOENGINEERING</b> 1210 Bioelectric/Biomagnetic 1220 Biomaterials 1230 Biomechanical Engineering 1240 Imaging 1250 Instrumentation and Devices 1260 Mathematical Modeling 1270 Medical Implant Science 1280 Nanotechnology 1290 Rehabilitation Engineering 1310 Tissue Engineering</p> <p><b>1400 BIOPHYSICS</b> 1410 Kinetics 1420 Spectroscopy 1430 Structural Biology 1440 Theoretical Biophysics</p> <p><b>1500 BIOTECHNOLOGY</b> 1510 Applied Molecular Biology 1520 Bioprocessing and Fermentation 1530 Metabolic Engineering</p> <p><b>1600 CELL AND DEVELOPMENTAL BIOLOGY</b> 1610 Cell Biology 1620 Developmental Biology</p> <p><b>1700 CHEMISTRY</b> 1710 Analytical Chemistry 1720 Bioinorganic Chemistry 1730 Bioorganic Chemistry 1740 Biophysical Chemistry 1750 Medicinal Chemistry 1760 Physical Chemistry 1770 Synthetic Chemistry</p> <p><b>1900 ENVIRONMENTAL SCIENCES</b></p> <p><b>2000 GENETICS</b> 2010 Behavioral Genetics 2020 Developmental Genetics 2030 Genetic Epidemiology 2040 Genetics of Aging 2050 Genomics 2060 Human Genetics 2070 Molecular Genetics 2080 Population Genetics</p> <p><b>2200 IMMUNOLOGY</b> 2210 Asthma and Allergic Mechanisms 2220 Autoimmunity 2230 Immunodeficiency 2240 Immunogenetics 2250 Immunopathology 2260 Immunoregulation 2270 Inflammation 2280 Structural Immunology 2290 Transplantation Biology 2310 Vaccine Development</p>	<p><b>2400 MICROBIOLOGY AND INFECTIOUS DISEASES</b> 2410 Bacteriology 2420 Etiology 2430 HIV/AIDS 2440 Mycology 2450 Parasitology 2460 Pathogenesis of Infectious Diseases 2470 Virology</p> <p><b>2600 MOLECULAR BIOLOGY</b></p> <p><b>2800 NEUROSCIENCE</b> 2810 Behavioral Neuroscience 2820 Cellular neuroscience 2830 Cognitive neuroscience 2840 Communication Neuroscience 2850 Computational Neuroscience 2860 Developmental Neuroscience 2870 Molecular Neuroscience 2880 Neurochemistry 2890 Neurodegeneration 2910 Neuropharmacology 2920 Systems/Integrative Neuroscience</p> <p><b>3100 NUTRITIONAL SCIENCES</b></p> <p><b>3200 PHARMACOLOGY</b> 3210 Molecular Pharmacology 3220 Pharmacodynamics 3230 Pharmacogenetics 3240 Toxicology</p> <p><b>3300 PHYSIOLOGY</b> 3310 Aging 3320 Anesthesiology (basic science) 3330 Endocrinology (basic science) 3340 Exercise Physiology (basic science)</p> <p>3350 Integrative Biology 3360 Molecular Medicine 3370 Physiological Optics 3380 Reproductive Physiology</p> <p><b>3500 PLANT BIOLOGY</b></p> <p><b>3600 PSYCHOLOGY, NON-CLINICAL</b> 3610 Behavioral Communication Sciences 3620 Behavioral Medicine (non-clinical) 3630 Cognitive Psychology 3640 Developmental and Child Psychology 3650 Experimental &amp; General Psychology 3660 Mind-Body Studies 3680 Neuropsychology 3690 Personality and Emotion 3710 Physiological Psychology &amp; Psychobiology 3720 Psychology of Aging 3730 Psychometrics 3740 Psychophysics 3750 Social Psychology</p> <p><b>3900 PUBLIC HEALTH</b> 3910 Disease Prevention and Control 3920 Epidemiology 3930 Health Economics</p>	<p>3940 Health Education 3950 Health Policy Research 3960 Health Services Research 3970 Occupational and Environmental Health</p> <p><b>4100 RADIATION, NON-CLINICAL</b> 4110 Nuclear Chemistry 4120 Radiation Physics 4130 Radiobiology</p> <p><b>4200 SOCIAL SCIENCES</b> 4210 Anthropology 4220 Bioethics 4230 Demography &amp; Population Studies 4240 Economics 4250 Education 4260 Language and Linguistics 4270 Sociology</p> <p><b>4400 STATISTICS AND/OR RESEARCH METHODS AND/OR INFORMATICS</b> 4410 Biostatistics and/or Biometry 4420 Bioinformatics 4430 Computational Science 4440 Information Science 4450 Clinical Trials Methodology</p> <p><b>4600 TRAUMA, NON CLINICAL</b></p> <p><b>5000 OTHER, Predominantly Non-Clinical or Lab-Based Research Training</b></p> <p><b>6000 II. Predominantly Clinical Research Training (can include any degree)</b></p> <p><b>6100 ALLIED HEALTH</b> 6110 Audiology 6120 Community Psychology 6130 Exercise Physiology (clinical) 6140 Medical Genetics 6150 Occupational Health 6160 Palliative Care 6170 Physical Therapy 6180 Pharmacy 6190 Social Work 6210 Speech-language Pathology 6211 Rehabilitation</p> <p><b>6400 DENTISTRY</b></p> <p><b>6500 CLINICAL DISCIPLINES</b> 6510 Allergy 6520 Anesthesiology 6530 Behavioral Medicine (clinical) 6540 Cardiovascular Diseases 6550 Clinical Laboratory Medicine 6560 Clinical Nutrition 6570 Clinical Pharmacology 6580 Complementary and Alternative Medicine 6590 Clinical Psychology 6610 Connective Tissue Diseases 6620 Dermatology 6630 Diabetes 6640 Gastroenterology 6650 Endocrinology 6660 Immunology</p>
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PHS 2271 (Rev. 06/09) — Instructions

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

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

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

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

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

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

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

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

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

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

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

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

PHS 2271 (Rev. 06/09) — Instructions

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

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

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

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

- For direct loans and fellowships (whether awarded directly to the applicant by the Federal Government or by an institution using Federal funds), a debt more than 31 days past due on a scheduled financial payment. (This definition excludes service payback under a National Research Service Award.)
- For guaranteed and insured loans, recipients of a loan guaranteed by the Federal Government that the Federal Government has repurchased from a lender because the borrower breached the loan agreement and is in default.
- For grants, organizations in receipt of a "Notice of Grants Cost Disallowance" which have not repaid the disallowed amount or which have not resolved the disallowance. (This definition excludes disallowance in an "appeal" status.)

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

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

PHS 2271 (Rev. 06/09) — Instructions

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



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

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

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**1. PHS GRANT NUMBER**

Type	Activity	ID Serial No.

**2. APPOINTEE'S NAME** *(Last, first, initial)*

**3. SEX**

M  F

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

NEW appointment (NOT previously supported by this grant)

REAPPOINTMENT (Previously supported by this grant)

AMENDMENT of items checked:  2  9  15  20

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

NO  YES (If "Yes," see instructions)

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**6. SOCIAL SECURITY NO.**  
XXX-XX-

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

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**8. CITIZENSHIP** *(See instructions)*

U.S. Citizen or Noncitizen National

Non-U.S. Citizen

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

With a Temporary U.S. Visa

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

**9. PERMANENT MAILING ADDRESS**

E-mail

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

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

American Indian or Alaska Native

Native Hawaiian or other Pacific Islander

Asian

Black or African American

White

Do Not Wish to Provide

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**12. Do you have a disability?**

YES  NO  Do Not Wish to Provide

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

Hearing  Mobility/Orthopedic Impairment

Visual  Other

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

YES  NO  Do Not Wish to Provide

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

Enter a 4 digit code from instructions:

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

From:  To:

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16. EDUCATION – AFTER HIGH SCHOOL <i>(Indicate all academic and professional education. For foreign degrees, give U.S. equivalent.)</i>				
(a) Name of Institution and Location <i>(List most recent first)</i>	(b) Degree(s) Received		(c) Major Field	(d) Minor Field
	Degree	Mo./Yr.		
				Minor field degree 1

PHS 2271 (Rev. 06/09)

Page 1 of 2

Figure 130: Statement of Appointment Form 2271 - Page One

17. NAME OF SPECIALTY BOARDS <i>(if applicable)</i>	
18. DEGREE(S) SOUGHT <input type="checkbox"/> YES <input type="checkbox"/> NO	If yes, indicate type of degree
Are you in a dual degree program (e.g., M.D./Ph.D.)? <input type="checkbox"/> YES <input type="checkbox"/> NO	
19. EXPECTED COMPLETION DATE OF DEGREE REQUIREMENTS <i>(if applicable)</i>	
20. SUPPORT FOR PERIOD OF APPOINTMENT	
TYPE	Total for this Grant <i>(Omit cents)</i>
Stipend / Salary / Other Compensation	\$
Tuition/fees <i>(estimated)</i>	\$
Travel <i>(estimated)</i>	\$
TOTAL	\$
21. STATEMENT OF NONDELINQUENCY ON U.S. FEDERAL DEBT. Is the appointee delinquent on the repayment of any U.S. Federal debt(s)?	
<input type="checkbox"/> NO <input type="checkbox"/> YES <i>(If "Yes," please explain below.)</i>	
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) TYPED NAME OF PROGRAM DIRECTOR	
(d) INSTITUTION'S NAME, ADDRESS, AND PHONE NO. (Street, city, state, zip code)	

Figure 131: Statement of Appointment Form 2271 – Page Two

### Privacy Act Statement

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

Some routine uses may be:

1. To the cognizant audit agency for auditing.
2. To a Congressional office from a record of an individual in response to an inquiry from the Congressional office made at the request of that individual.
3. To qualified experts, not within the definition of DHHS employees as prescribed in DHHS regulations (45 CFR 5b.2) for opinions as part of the application review process.
4. To a Federal agency, in response to its request, in connection with the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter;
5. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records.
6. To the sponsoring organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.
7. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party.
  - a. the DHHS, or any component thereof;
  - b. any DHHS employee in his or her official capacity;
  - c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or
  - d. the United States or any agency thereof; where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.
8. A record may also be disclosed for a research purpose, when the DHHS:
  - a. has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;
  - b. has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;
  - c. has secured a written statement attesting to the recipient's understanding of; and willingness to abide by, these provisions; and
  - d. has required the recipient to:
    - (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record;
    - (2) destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information; and
    - (3) make no further use or disclosure of the record, except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the DHHS, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law.

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

PHS 2271 (Rev. 06/09) — Privacy Act

Figure 132: Statement of Appointment Privacy Act

### Specialty Boards

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

<p><u>Allergy and Immunology</u> Allergy and Immunology</p> <p><u>Anesthesiology</u> Anesthesiology (General) Critical Care Medicine Hospice and Palliative Medicine Pain Medicine</p> <p><u>Colon and Rectal Surgery</u> Colon and Rectal Surgery</p> <p><u>Dermatology</u> Dermatology (General) Clinical and Laboratory Dermatological Dermatopathology Immunology Pediatric Dermatology</p> <p><u>Dental</u> Dental Public Health Endodontics Oral and Maxillofacial Pathology Oral and Maxillofacial Radiology Oral and Maxillofacial Surgery Orthodontics and Dentofacial Orthopedics Pediatric Dentistry Periodontics Prosthodontics</p> <p><u>Emergency Medicine</u> Emergency Medicine (General) Hospice and Palliative Medicine Medical Toxicology Pediatric Emergency Medicine Sports Medicine Undersea and Hyperbaric Medicine</p> <p><u>Family Medicine</u> Family Medicine (General) Adolescent Medicine Geriatric Medicine Hospice and Palliative Medicine Sleep Medicine Sports Medicine</p> <p><u>Internal Medicine</u> Internal Medicine (General) Adolescent Medicine Cardiovascular Disease Clinical Cardiac Electrophysiology Critical Care Medicine Endocrinology, Diabetes and Metabolism Gastroenterology Geriatric Medicine Hematology Hospice and Palliative Medicine Infectious Disease Interventional Cardiology Medical Oncology Nephrology Pulmonary Disease Rheumatology</p>	<p>Sleep Medicine Sports Medicine Transplant Hepatology</p> <p><u>Medical Genetics</u> Clinical Biochemical Genetics Clinical Cytogenetics Clinical Genetics (M.D.) Clinical Molecular Genetics Molecular Genetic Pathology Ph.D. Medical Genetics</p> <p><u>Neurological Surgery</u> Neurological Surgery</p> <p><u>Nuclear Medicine</u> Nuclear Medicine</p> <p><u>Nursing</u> Acute Care Nurse Practitioner Adult Nurse Practitioner Adult Psychiatric and Mental Health Nurse Practitioner Advanced Clinical Diabetes Management, Clinical Nurse Specialist Advanced Clinical Diabetes Management, Nurse Practitioner Gerontological Nurse Practitioner Clinical Nurse Specialist in Adult Health (formerly Medical-Surgical) Nursing Clinical Nurse Specialist in Adult Psychiatric and Mental Health Nursing Clinical Nurse Specialist in Child and Adolescent Psychiatric and Mental Health Nursing Clinical Nurse Specialist in Home Health Nursing Clinical Nurse Specialist in Pediatric Nursing Clinical Nurse Specialist in Public/Community Health Nursing Clinical Nurse Specialist in Gerontological Nursing Family Nurse Practitioner Family Psychiatric and Mental Health Nurse Practitioner Pediatric Nurse Practitioner School Nurse Practitioner</p> <p><u>Obstetrics and Gynecology</u> Obstetrics and Gynecology (General) Critical Care Medicine Gynecologic Oncology Hospice and Palliative Medicine Maternal and Fetal Medicine Reproductive Endocrinology/Infertility</p> <p><u>Ophthalmology</u> Ophthalmology</p> <p><u>Orthopaedic Surgery</u> Orthopaedic Surgery (General) Orthopaedic Sports Medicine</p>	<p>Surgery of the Hand</p> <p><u>Otolaryngology</u> Otolaryngology (General) Neurotology Pediatric Otolaryngology Plastic Surgery Within the Head and Neck Sleep Medicine</p> <p><u>Pathology</u> Anatomic Pathology and Clinical Pathology (General) Pathology-Anatomic (General) Pathology-Clinical (General) Blood Banking/Transfusion Medicine Chemical Pathology Cytopathology Dermatopathology Forensic Pathology Hematology Medical Microbiology Molecular Genetic Pathology Neuropathology Pediatric Pathology</p> <p><u>Pediatrics</u> 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</p> <p><u>Physical Medicine and Rehabilitation</u> Physical Medicine and Rehabilitation (General) Hospice and Palliative Medicine Pain Medicine Neuromuscular Medicine Pediatric Rehabilitation Medicine Spinal Cord Injury Medicine Sports Medicine</p> <p><u>Plastic Surgery</u> Plastic Surgery (General) Plastic Surgery Within the Head and Neck Surgery of the Hand</p>
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PHS 2271 (Rev. 06/09) — Attachment

Figure 133: Statement of Appointment Specialty Boards

<p><u>Preventive Medicine</u> Aerospace Medicine Medical Toxicology Occupational Medicine Public Health and General Preventive Medicine Undersea and Hyperbaric Medicine</p> <p><u>Psychiatry and Neurology</u> Neurology (General) Psychiatry (General) Addiction Psychiatry Child and Adolescent Psychiatry Clinical Neurophysiology Forensic Psychiatry Geriatric Psychiatry Hospice and Palliative Medicine</p>	<p>Neurodevelopmental Disabilities Neurology with Special Qualifications in Child Neurology Neuromuscular Medicine Pain Medicine Psychosomatic Medicine Sleep Medicine Vascular Neurology</p> <p><u>Radiology</u> Diagnostic Radiology Hospice and Palliative Medicine Neuroradiology Nuclear Radiology Pediatric Radiology Radiation Oncology Radiologic Physics</p>	<p>Vascular and Interventional Radiology</p> <p><u>Surgery</u> Surgery (General) Hospice and Palliative Medicine Pediatric Surgery Surgery of the Hand Surgical Critical Care Vascular Surgery</p> <p><u>Thoracic Surgery</u> Thoracic Surgery</p> <p><u>Urology</u> Urology (General) Pediatric Urology</p>
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PHS 2271 (Rev. 06/09) — Attachment

Figure 134: Statement of Appointment Specialty Boards - continued

## 12 Appendix B – Termination Notice (Form 416-7)

### Information and Instructions for Completing a Termination Notice

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

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

#### ALL KIRSCHSTEIN–NRSA RECIPIENTS

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

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

#### KIRSCHSTEIN–NRSA POSTDOCTORAL RECIPIENTS WITH A PAYBACK OBLIGATION

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

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

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

#### SPECIFIC INSTRUCTIONS FOR ITEMS ON THE TERMINATION NOTICE

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

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

(Item 3) Self-explanatory.

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

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

(Item 6) Self-explanatory.

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

Figure 135: Termination Notice (Form 416-7) Instructions

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

(Item 8) Self-explanatory.

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

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

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

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

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

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

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

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

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

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

Figure 136: Termination Notice (Form 416-7) Instructions – continued

Form Approved Through 09/30/2011		OMB No. 0925-0002	
Department of Health and Human Services Public Health Service <b>Ruth L. Kirschstein National Research Service Award</b> <b>Termination Notice</b>		1. NAME OF FELLOW OR APPOINTEE (Last, first, middle)	
3. NAME OF SPONSORING INSTITUTION		2. GRANT NO.	
4. SOCIAL SECURITY NO. XXX-XX-		5. DEGREE(S) EARNED/ COMPLETION DATE(S)	
6. DATES OF SUPPORT UNDER THIS AWARD (Month, day, year): FROM: TO:			
7. TOTAL KIRSCHSTEIN-NRSA STIPEND RECEIVED AND NUMBER OF MONTHS SUPPORTED UNDER THIS AWARD (See specific instructions for Amount of Stipend)			
YEAR OF SUPPORT	AMOUNT OF STIPEND	NUMBER OF Months	NUMBER OF Days
1 <sup>ST</sup> YEAR			
2 <sup>ND</sup> YEAR			
3 <sup>RD</sup> YEAR			
4 <sup>TH</sup> YEAR			
			TOTALS
8. Provide a summary of training received and research undertaken during fellowship or trainee tenure. List publications, if any, resulting from the research during this period. List grants and career awards pending and received. If fellowship or training appointment is being terminated early, state reason.			
9a. POST-AWARD INFORMATION: Please mark a single box in each of the categories below.		9b. POST-AWARD POSITION TITLE, FIELD, NAME OF ORGANIZATION, CITY, AND STATE	
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. MAILING ADDRESS AFTER TERMINATION OF THIS KIRSCHSTEIN-NRSA SUPPORT (Street, city, state, zip code)		9c. TEL NO.	
10b. TEL NO.		11. OTHER PHS SERVICE OBLIGATION SUPPORT	
E-MAIL:		<input type="checkbox"/> NHSC Scholarship: No. of months: <input type="checkbox"/> Kirschstein-NRSA: No. of months: Period of support: Grant No.: <input type="checkbox"/> LRP	
12. SIGNATURE OF FELLOW OR APPOINTEE (See specific instructions)		DATE	
13. Certification of Sponsor or Program Director: that to the best of my knowledge all the above information is correct.			
SIGNATURE	DATE	TYPED NAME OF SPONSOR OR PROGRAM DIRECTOR	
14. Business Official's Verification of Items 6 and 7. (Not applicable to individual fellows at Federal or foreign institutions.)			
SIGNATURE	DATE	TYPED NAME OF BUSINESS OFFICIAL	TEL:
			FAX:
15. (For Government use only) The information provided in Items 6 and 7 is in agreement with PHS records.			
SIGNATURE	DATE	TYPED NAME AND AWARDDING OFFICE	
PHS 416-7 (Rev. 9/08)			

Figure 137: Termination Notice Form 416-7



**Privacy Act Statement**

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

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

Routine uses include:

1. To the cognizant audit agency for auditing.
2. To a Congressional office from a record of an individual in response to an inquiry from the Congressional office made at the request of that individual.
3. To qualified experts, not within the definition of DHHS employees as prescribed in DHHS regulations (45 CFR 5b.2) for opinions as part of the application review process.
4. To a Federal agency, in response to its request, in connection with the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.
5. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records.
6. To the sponsoring organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.
7. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and

would help in the effective representation of the governmental party.

- a. the DHHS, or any component thereof;
- b. any DHHS employee in his or her official capacity;
- c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or
- d. the United States or any agency thereof, where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

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

- a. has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;
- b. has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to privacy of the individual that additional exposure of the record might bring;
- c. has secured a written statement attesting to the recipient's understanding of, and willingness to abide by, these provisions; and
- d. has required the recipient to:

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

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

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

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

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

Figure 138: Privacy Act Statement

## 13 Appendix C – Payback Agreement (Form PHS 6031)

Form Approved Through 06/30/2012	OMB No. 0925-0002
<b>Ruth L. Kirschstein National Research Service Award Payback Agreement</b>	
<i>To be completed by Trainees and Fellows before beginning the first 12 months of <u>postdoctoral</u> support (Completed form should be mailed to the awarding Federal Agency Grants Management Office named in the Notice of Award)</i>	
<p><b>This agreement is an important condition of award. Please read carefully before signing.</b></p> <p><b>Introduction</b>—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:</p> <ul style="list-style-type: none"> <li>• Predoctoral Kirschstein-NRSA recipients will <u>not</u> incur a payback obligation;</li> <li>• Postdoctoral Kirschstein-NRSA recipients will incur a payback obligation only during the initial 12 months of postdoctoral Kirschstein-NRSA support;</li> <li>• Postdoctoral Kirschstein-NRSA recipients in the 13th or subsequent months of Kirschstein-NRSA support do <u>not</u> incur any additional payback obligation.</li> </ul> <p>Under the new requirements, payback obligations stemming from postdoctoral Kirschstein–NRSA support may be discharged in the following ways:</p> <ul style="list-style-type: none"> <li>• By receiving an equal period of postdoctoral Kirschstein-NRSA support beginning in the 13th month of such postdoctoral Kirschstein-NRSA support;</li> <li>• 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;</li> <li>• By engaging in an equal period of health-related teaching that averages at least 20 hours per week based on a full work year.</li> </ul> <p>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: <a href="http://grants.nih.gov/grants/policy/policy.htm">http://grants.nih.gov/grants/policy/policy.htm</a>.</p> <p>For additional questions regarding the Payback Agreement contact:</p>	<p>NRSA Payback Service Center Phone: (301) 594-1835 or (866) 298-9371 <a href="mailto:nrsapaybackcenter@mail.nih.gov">nrsapaybackcenter@mail.nih.gov</a></p> <p><b>I. SERVICE REQUIREMENT</b></p> <p>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: <a href="http://www.lrp.nih.gov">http://www.lrp.nih.gov</a>.</p> <p><b>II. FINANCIAL PAYBACK PROVISIONS</b></p> <p>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:</p> $A = F [(t-s)/t]$ <p>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.</p> <p>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</p>
PHS 6031 (Rev. 6/09) Page 1	

Figure 139: Payback Agreement (Form PHS 6031)

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

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

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

- A. May extend the period for undertaking service, permit breaks in service, or extend the period for repayment, if it is determine that:
  - 1. Such an extension or break in service is necessary to complete my clinical training or to participate in a NIH Loan Repayment Program;
  - 2. Completion would be impossible because of temporary disability; or
  - 3. Completion would involve a substantial hardship and failure to extend such period would be against equity and good conscience;
- B. May waive my obligation, in whole or in part, if it is determined that:
  - 1. Fulfillment would be impossible because I am permanently and totally disabled; or
  - 2. Fulfillment would involve a substantial hardship and the enforcement of such obligation would be against equity and good conscience;

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

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

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

**V. PROGRAM EVALUATION**

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

**VI. CERTIFICATION**

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

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

<b>Name (Last, first, middle):</b>		<b>Social Security No (Required):</b>	
<input type="text"/>		<input type="text"/>	
<b>Signature:</b>	<input type="text"/>	<b>Date:</b>	<input type="text"/>
<b>Support received under the awarding Federal agency Award/Grant Number:</b>		<input type="text"/>	
<b>Mailing Address:</b>	<input type="text"/>		
	<input type="text" value="Enter mailing address"/>		
<b>E-mail:</b>	<input type="text"/>		

Figure 140: Payback Agreement (Form PHS 6031) – continued

**Privacy Act Statement**

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

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

Routine uses include:

1. To the cognizant audit agency for auditing.
2. To a Congressional office from a record of an individual in response to an inquiry from the Congressional office made at the request of that individual.
3. To qualified experts, not within the definition of DHHS employees as prescribed in DHHS regulations (45 CFR 5b.2) for opinions as part of the application review process.
4. To a Federal agency, in response to its request, in connection with the letting of a contract or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.
5. To organizations in the private sector with whom PHS has contracted for the purpose of collating, analyzing, aggregating, or otherwise refining records in a system. Relevant records will be disclosed to such a contractor, who will be required to maintain Privacy Act safeguards with respect to such records.
6. To the sponsoring organization in connection with the review of an application or performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made.
7. To the Department of Justice, to a court or other tribunal, or to another party before such tribunal, when one of the following is a party to litigation or has any interest in such litigation, and the DHHS determines that the use of such records by the Department of Justice, the tribunal, or the other party is relevant and necessary to the litigation and would help in the effective representation of the governmental party.
  - a. the DHHS, or any component thereof;
  - b. any DHHS employee in his or her official capacity;
  - c. any DHHS employee in his or her individual capacity where the Department of Justice (or the DHHS, where it is authorized to do so) has agreed to represent the employee; or
  - d. the United States or any agency thereof, where the DHHS determines that the litigation is likely to affect the DHHS or any of its components.

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

- a. has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;
- b. has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to privacy of the individual that additional exposure of the record might bring;
- c. has secured a written statement attesting to the recipient's understanding of, and willingness to abide by, these provisions; and
- d. has required the recipient to:
  - (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record;
  - (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information; and
  - (3) make no further use or disclosure of the record, except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the DHHS, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law.

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

PHS 6031 (Rev. 6/09) Privacy Act

Figure 141: Privacy Act Statement

## 14 Appendix D – Appointment Errors/Warnings Quick Reference

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

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

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

Table 3: Appointment Errors/Warnings Quick Reference

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

Table 3: Appointment Errors/Warnings Quick Reference

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

Table 3: Appointment Errors/Warnings Quick Reference

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

Table 3: Appointment Errors/Warnings Quick Reference



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

Table 3: Appointment Errors/Warnings Quick Reference

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

Table 3: Appointment Errors/Warnings Quick Reference

## 15 Appendix E – User Role Functions

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

Table 4: User Role Functions

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

Table 4: User Role Functions

Function	PD/-PI	Assistant	Sponsor	Sponsor Delegate	BO	SO	Trainee
Enter Data	X	X					X
Route New Appointment to Trainee	X	X					
Route New Appointment to PI							X
Delete Appointment (not yet submitted)	X	X					
Initiate an Amended Appointment	X	X					
Initiate Re-appointment	X	X					
View form in PDF format	X	X	X	X	X	X	X
Submit New Appointment to Agency	X						
Process TN (Termination Notice) Ability to interact with the electronic TN							
Initiate Termination Notice	X	X	X	X	X		
Enter Data	X	X	X	X	X		X
Route Termination Notice to PD/PI (includes Fellows)			X Fellows	X Fellows	X		X

Table 4: User Role Functions

Function	PD/-PI	Assistant	Sponsor	Sponsor Delegate	BO	SO	Trainee
Route Termination Notice to Trainee	X	X			X		
Route Termination Notice to BO	X	X	X	X			
Delete TN (not yet submitted)	X	X	X	X	X		
View form in PDF format	X	X	X	X	X	X	X
Submit to Agency	For some activity codes only		X For foreign and federal fellowships only		X		
Recall (if not submitted to Agency) Previous reviewer can recall form from current reviewer	X	X	X	X	X		X
Validate Run validation process to identify form errors/warnings	X	X	X	X	X		X

Table 4: User Role Functions

**NOTE:** Assistant has been delegated authority by PD/PI

## 16 Acronyms and Abbreviations

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### A

- AA - Accounts Administrator
- AO - Administrative Official
- ASST - Assistant

### B

- BO - Business Official

### D

- DOB - Date of Birth

### E

- eRA - Electronic Research Administration

### F

- FOA - Funding Opportunity Announcement

### H

- HHS - Health and Human Services

### I

- IC - Institute and/or Center

### N

- NCAA - NIH Central Accounts Administrator
- NIH - National Institutes of Health
- NLM - National Library of Medicine
- NRSA - National Research Service Award

### O

- OER - Office of Extramural Research
- OMB - Office of Management and Budget

### P

- PD - Program Director
- PD/PI - Program Director/Principal Investigator

- PDF - Portable Document Format
- PHS - Public Health Service
- PI - Principal Investigator

S

- SO - Signing Official
- SSN - Social Security Number

T

- TA - Training Activities
- TN - Termination Notice

U

- USCIS - US Customs and Immigration Services