X-Train: Lessons Learned Since Implementation

Brown Bag Series
June 21, 2011
Today’s Panel

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Today’s Agenda

- Today’s objectives
- Walking through the process:
  - **GCA: Giving Access**
    - Getting access to X-train
    - Assigning Roles
  - **Department: Process flow**
    - PI, ASST, Trainee Roles
    - Appointment processing
    - Payback agreements
    - Termination notices
    - “Live” appointing of a Trainee in X-Train
  - **GCFA: Termination Form Process flow**
    - GCFA’s Role in X-Train: BO
    - Termination notices processing
- Choosing the correct stipend level/ Stipend Proration
- Challenges/Recommendations/Resources
- Audience Questions
What you will gain from today’s presentation:

✓ Greater comfort level with the functionality of X-Train

✓ Greater understanding of “who does what”

✓ Clarification of some of the challenging parts of X-Train

✓ Where to go for help
An eRA Commons account is needed to access X-Train through the eRA Commons website.

To obtain an eRA Commons account, send an email to your GCAT Team with the name, email address and the role needed for the individual needing access.
There are two departmental roles for x-Train:

- The **PI** Role allows an individual to create and approve appointments and terminations. This role is setup before an application can be submitted.

- The **ASST** role allows an individual to help the PI create appointments and terminations. The **ASST** role cannot approve appointments or terminations. Only the **PI** role can do this.
There is only one GCFA role for x-Train:

- The BO role is assigned to all Accountants in the Reporting group. This role allows the processing and submission of Termination forms in eRA Commons.

How does the Trainee get his access and Role?

- If the trainee does not have an eRA Commons account, he/she must be requested to register by the ASST. The ASST will then provide a list of new Trainees to the GCA office who provides them with a UserID. This allows the PI to be able to route the appointment form 2271 to him or her.
- After the Roles are established by your GCA representative, the PI may grant the **ASST** Role specific abilities relating to Appointments and Terminations

- The **ASST** is most often a Registrar or Graduate School Coordinator

- The following slides will show the process of appointment and termination at the Department level
Registrar
Determine if new trainee has existing eRA Commons UserID (if so, must find out what institution it is affiliated with)

Office of Research Administration
Request GCA to set up eRA Commons User ID for Trainee or change affiliation if individual has existing ID

Trainee
Update or enter personal profile

Registrar
Create appointment in X-Train and route it to Trainee

Trainee
Review appointment and route to P.I.
P.I.
Review appointment and submit to Agency

Agency
Review appointment in Xtrain and approve

Complete
Create Appointment Form
Faculty Affairs/Post Doc Office
Determine if new trainee has existing eRA Commons UserID (if so, must find out what institution it is affiliated with)

Office of Research Administration (ORA)
Request GCA to set up eRA Commons UserID or change affiliation if individual has existing ID

Trainee
Update or enter personal profile
**PI Administrative Assistant or Coordinator**
Create appointment in X-Train and SAVE ONLY
Send Faculty Affairs/Post Doc Office an email to state it is done

**Faculty Affairs/Post Doc Office**
Review appointment in X-Train to ensure stipend level is correct. Once correct route to trainee for approval.
Initiate Payback Agreement (paper version), Trainee to sign, then send original to Agency via snail mail

**Trainee**
Review X-Train appointment on line and submit and route to P.I..
Complete Payback agreement and return to Faculty Affairs/Post Doc Office

**P.I.**
Review appointment and submit to agency.

**Agency**
Review appointment and submit
Payback Agreement (Department)
Post Doctoral Trainees ONLY

To be completed by Trainees and Fellows before beginning the first 12 months of postdoctoral support.

Introduction Section 1052 of the NIH Revitalization Act of 1993, which was signed into law on June 10, 1993, contains provisions which substantially modify the service payback requirements for individuals receiving Ruth L. Kirschstein National Research Service Awards (NRSA).

These modifications apply to individuals beginning Kirschstein-NRSA-supported appointments or fellowship awards on or after June 10, 1993. Under these requirements:

- Predoctoral Kirschstein-NRSA recipients will not incur a payback obligation.
- Predoctoral Kirschstein-NRSA recipients will not incur a payback obligation only during the initial 12 months of postdoctoral Kirschstein-NRSA support.
- Predoctoral Kirschstein-NRSA recipients in the 13th or subsequent months of Kirschstein-NRSA support do not incur any additional payback obligation.

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

- By receiving an equal period of postdoctoral Kirschstein-NRSA support beginning in the 13th month of such postdoctoral Kirschstein-NRSA support.
- By engaging in an equal period of health-related research, research training, and/or health-related activities that averages at least 20 hours per week based on a full work year.
- By engaging in an equal period of health-related teaching that averages at least 20 hours per week based on a full work year.

Kirschstein-NRSA appointments or individual awards will be governed by the service payback requirements articulated in the National Research Service Award Guidelines. These guidelines can be found in the NRSA program or the appropriate version of the NIH Grants Policy Statement found at http://grants.nih.gov/grants/policy/rms/docs/nihgrants.pdf.

For additional questions regarding the Payback Agreement contact:

Ruth L. Kirschstein National Research Service Award
Payback Agreement
NRSA Payback Service Center
Phone: (301) 402-4957 or (800) 296-0711
nrsapayback@nih.gov

I. SERVICE REQUIREMENT

In accepting a Ruth L. Kirschstein National Research Service Award to support my postdoctoral research training, I understand that within my first 12 months of Kirschstein-NRSA support for postdoctoral research training that a payback obligation is incurred 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. Support for postdoctoral research training up to and including 12 months and a month of my postdoctoral research training incurred during the first 12 months. This service shall be included 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. Assistance regarding notification of the NIH obligation to participate in the NIH Loan Repayment Program on http://www.nlm.nih.gov/loan/.

II. FINANCIAL PAYBACK PROVISIONS

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

\[ A = F \times (1 - C) \]

Where A is the amount that 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, or if the 12 months have not begun, the total number of months in my service obligation, and C is the number of months of the payback period.

As expressed in Section III below, any amount the United States is entitled to recover from me shall be paid within the 12-month period beginning on the date the United States becomes entitled to recover such amount.

The United States becomes entitled to recover such amount 2 years after termination of my Ruth L. Kirschstein National Research Service Award support if I do not engage in acceptable service payback activities in accordance with Section I. If I elect to engage in financial repayment before the end of the 2 year period, the United States becomes entitled to recover such amount on the date of my election. Interest on the amount begins on the date the United States becomes entitled to recover such amount and is at the rate fixed by the Secretary of the Treasury after taking into consideration private credit 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 repay 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) if I fail to comply with the payback provisions of this Service.

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 determined that:

- Such an extension or break in service is necessary to complete my clinical training or to participate in a NIH Loan Repayment Program;
- Completion would be impossible because of a continuing disability or handicap;
- 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:

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

IV. TERMINATION: ANNUAL REPORT OF EMPLOYMENT – CHANGE OF ADDRESS AND/or NAME

I agree to complete and submit a Termination Notice Form immediately upon completion of Kirschstein-NRSA support. Thereafter, on an annual basis I agree to complete and submit Annual Payback Activities Certification forms to the awarding Federal Agency at the time 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 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 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 understand the requirements and provisions of this agreement and that I will abide by them if an award is made.

I authorize that I will be allowed 5 months to complete this form. This requires time for reviewing the instructions, gathering needed information, and completing the form. An agency may cancel or deny the award to a grantee without notice if the grantee does not respond within the time allowed. If you have comments regarding the survey or its purpose, please contact us. We will continue to evaluate this survey to ensure that it is as useful as possible. If you have comments regarding the survey or any other aspect of this survey, send comments to: NIH Project Clearance Office, BSC 4666, 9000 Rockville Pike, Bethesda, MD 20892-7194. ATTN: PMO 006 (50550-006).
Pre-Docs

- **Registrar (ASST)– Initiate process**
  - Contact Trainee stating will need “Summary of Research and Training” (in pdf) and will need to complete on line form when notification received.
  - Initiate process on xTrain
  - Modify appointment date (if necessary)
  - Choose Business Official (*from pull down list-Choose your GCFA assigned Accountant*)
  - “Save”
  - Review stipend with Office of Finance and Administration (OFA) to ensure accuracy
  - Once OFA agrees with stipend payments, Save and Submit to Trainee

- **Trainee**
  - Updates personal profile
  - Uploads Summary of Research and Training
  - Enters Post Award information (job, contact information)
  - Save and Submit to P.I.

- **P.I.**
  - Review and submit to Business Official
Post Doctoral Trainees

- **Admin. Ass’t/Coordinator for P.I. (ASST) – Initiate process**
  - Contact Trainee stating will need “Summary of Research and Training” (in pdf) and will need to complete on line form when notification received.
  - Initiate process on xTrain
  - Modify appointment date (if necessary)
  - Choose Business Official (from pull down list)
  - Save (send Faculty Affairs/Post Doc Office email stating it has been entered and saved)

- **Faculty Affairs/Post Doc. Office**
  - Review stipend with Office of Finance and Administration (OFA) to ensure accuracy
  - Once OFA agrees with stipend payments, Save and Submit to Trainee

- **Trainee**
  - Updates personal profile
  - Uploads Summary of Research and Training
  - Enters Post Award information (job, contact information)
  - Save and Submit to P.I.

- **P.I.**
  - Review and submit to Business Official
Termination Form Process flow (GCFA)

1. Receive Term Notice
2. Reconcile Term Notice
3. Submit to Agency
Receive Term Notice

Termination Notice Processing (GCFA)

Foote, Jessica
From: era-notify@mail.nih.gov
Sent: Monday, March 14, 2011 2:13 PM
To: Foote, Jessica
Subject: eRA Commons - xTrain: Fellowship Termination Notice for Michelle [Action Required]

*** This is an automated notification - Please do not reply to this message. ***

Fellow: Michelle [Redacted]
Grant: S53 [Redacted]
Fellow Commons User ID [Redacted]

Fellowship Termination Notice Form was just routed to you for further processing.

Please login to eRA Commons https://commons.era.nih.gov/commons/, click the xTrain menu, locate the Fellowship and click Process TN link. The system will take you to the enterable Termination Notice Form. Use action buttons on the bottom of the screen to further process the form.

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://helpdesk.nih.gov/era or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov.
Termination Notice Processing (GCFA)

Receive Term Notice
Receive Term Notice
- Are the stipend amounts correct?
- Does the termination notice match the appointment forms (T-series) or NoA budget (F-series)?
- Does the stipend paid on the award match the termination notice?
Termination Notice Processing (GCFA)

- Compare appointed stipend level to stipend charged to award
- Compare stipend charged to award to termination notice
- Examine labor distribution for the entire time period
- Resolve issues with department

Reconcile Term Notice
Termination Notice Processing (GCFA)

- Assemble paperwork and submit to GCFA Reporting Group Manager for signature
- Manager reviews package and signs or returns the package to the Accountant with questions
Termination Notice Processing (GCFA)

- Hardcopies of Termination forms and financial work papers are maintained on file in GCFA

Submit to Agency
xTrain automatically populates the termination notice based on:

- NoA budget (F-series)
- Statements of Appointment (T-series)

Statements of appointment submitted on paper forms to eRA Commons prior to the end of 2010 should have been manually entered into xTrain by NIH.
Determining the Correct Stipend Level

### SECTION I – AWARD DATA – 5T3:

<table>
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<tr>
<th>Award Calculation (U.S. Dollars)</th>
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<tbody>
<tr>
<td>Training Expenses</td>
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<tr>
<td>Stipends</td>
</tr>
<tr>
<td>Trainee Tuition/Fees</td>
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<tr>
<td>Trainee Travel</td>
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<tr>
<th>Federal Direct Costs</th>
<th>Federal F&amp;A Costs</th>
<th>Approved Budget</th>
<th>Federal Share</th>
<th>Less Unobligated Balance</th>
<th>TOTAL FEDERAL AWARD AMOUNT</th>
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<table>
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<tr>
<th>AMOUNT OF THIS ACTION (FEDERAL SHARE)</th>
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### SUMMARY TOTALS FOR ALL YEARS

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<th>YR</th>
<th>TOTAL</th>
<th>PRE</th>
<th>POST</th>
<th>SHORT TERM</th>
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<th>PRE</th>
<th>POST</th>
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Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

### Fiscal Information:

- CFDA Number: 93.837
- EIN: 1060646973A1
- Document Number: [Redacted]
- Fiscal Year: 2010

### IC/2010/2011

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.
Determining the Correct Stipend Level
Determining the Correct Stipend Level
## Determining the Correct Stipend Level

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<th>2006</th>
<th>2007</th>
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<td>Juniors/Seniors</td>
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<td>11,064</td>
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<td><strong>Pre- and Post-Doctoral</strong></td>
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<td>Pre-doc</td>
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<td>20.976</td>
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</table>
When a trainee or fellow terminates early, it is sometimes necessary to pay them for a partial month.

According to NIH, 1 year has 360 days, or 12 months consisting of 30 days each.
The stipend on my termination form isn’t what it’s supposed to be

- Were the appointment forms submitted with the correct stipend level? If not, correct them
- Did the paper appointment forms get transferred into xTrain correctly prior to 12/31/10? If not, they must be re-entered on X-Train
I can’t access the termination notice for my fellowship

- Contact the eCommons help desk (commons@od.nih.gov or 866-504-9552)

Can there be more than one ASST role on one Training grant?

- Yes
My trainee or fellow terminated early and I can’t modify the termination date in X-Train

• *Try amending the last appointment to reflect the revised termination date*
• *Or, contact the eRA Commons help desk*
Recommendations

- Request **ASST** access as soon as possible from GCA
- Start training grant reconciliations as soon as possible
- Complete termination paperwork timely
- If you need to call or email for assistance, contact:
  - Your **BO** in GCFA
  - **Dennis Titley** in GCFA (5-3174)
  - The eRA-Commons Helpdesk
Resources

**X-Train Web Site**
http://era.nih.gov/training_career/index.cfm
Left side: Quick Reference Sheets, FAQs
Right Side: Kirschstein-NRSA Stipend History

**eRA Commons Help Desk**
866-504-9552; commons@od.nih.gov;
http://itservicedesk.nih.gov/eRA/
Questions and Answers