T32 Data Mapping

Report by DACC

2010 Annual Meeting

Tempe, Arizona
Executive Summary

- NHGRI and advisors deem it important to assess the success and outcomes of the diversity action plan – Proper assessment relies on standardized data collection
  - T32s already vested in LARGE data collection efforts every 5 years
  - How can we leverage existing information (collected at great expense by the T32s) to get the required standardized data?

- This presentation discusses how to balance between what NHGRI needs and what is already available by ...
  - (1) identifying the players, (2) reviewing the basic questions, (3) reviewing the available data, (4) proposing a POA, (5) opening the discussion to all concerned and hammering out the details

- Our **goal** is to leave with a mutually-agreeable proposal that leads to a system of collecting the necessary data in a standardized format and that is efficient and sufficient for all concerned
Overview

I. Identify T32 programs

II. Basic Evaluation Questions
   A. Assess Success of T32 Programs
   B. Outcome Analysis

III. Summary of Already Collected T32 Information
   A. T32 Tables
   B. Trainee Appointment Form

IV. Consistency
   A. Among T32 grants?
   B. Across T32 vs MAP?

V. Are T32 Tables Sufficient?

VI. Additional Comments / Questions

VII. Where do we go from here?
OVERVIEW

I. Identify T32 Programs

12 CURRENT PROGRAMS
<table>
<thead>
<tr>
<th>Inception</th>
<th>Institution</th>
<th>Pre</th>
<th>Post</th>
<th>Program Director (s)</th>
<th>Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>1995</td>
<td>U Michigan</td>
<td>✓</td>
<td>✓</td>
<td>Michael Boehnke</td>
<td>1995 – present</td>
</tr>
<tr>
<td>2000</td>
<td>MIT</td>
<td>✓</td>
<td>Ø</td>
<td>Isaac Kohane</td>
<td>2000 – present</td>
</tr>
<tr>
<td>2002</td>
<td>UC Los Angeles</td>
<td>✓</td>
<td>Ø</td>
<td>Kenneth Lange &amp; Janet Sinsheimer</td>
<td>2002 – present</td>
</tr>
<tr>
<td>2004</td>
<td>Princeton U</td>
<td>✓</td>
<td>Ø</td>
<td>David Botstein</td>
<td>2004 – present</td>
</tr>
<tr>
<td>2009</td>
<td>MIT/Broad</td>
<td>✓</td>
<td>Ø</td>
<td>David Gifford</td>
<td>2009 – present</td>
</tr>
</tbody>
</table>
OVERVIEW

II. Basic Evaluation Questions

A. ASSESS SUCCESS OF T32 PROGRAMS
B. OUTCOME ANALYSIS
A. Assess Success of T32 Programs

1. Did student make successful transition from one career level to the next?
2. Did student remain in a STEM field or field requiring knowledge of STEM discipline?
3. Did student remain in research?
4. What tangible outcomes did training have?
5. Participation in other MAP or non-MAP training programs?
6. What was student’s institution prior to MAP?
7. Where originally learn about MAP?
B. Outcome Analysis

1. Did we train leaders?
2. What elements of training impacted success?
3. What are predictors of success?
4. What/who influenced student’s career?
5. How did duration of training impact success?
OVERVIEW

III. Summary of Already Collected T32 Information

A. T32 TABLES
B. TRAINEE APPOINTMENT FORM (TAF)
B. Trainee Appointment Form (Form PHS 2271)

- Information Available
  - Name, sex, Training Grant #
  - Prior NRSA support
  - SSN (do not want)!
  - Birthdate
  - Citizenship
  - Permanent mailing address
  - Race, ethnicity
  - Disability status
  - Disadvantaged background

- Information Available
  - Field of research training or career development
  - Education after high school (institution, degree, major, minor)
  - Specialty Boards
  - Degrees being sought
  - Dual degree (MD/PhD)
  - Expected completion date of degree
  - Type and amount of support
A. T32 Tables

1. Membership of participating departments
2. Participating Faculty Members
3. Institutional TG Support available to participating faculty members and departments
4. Grant and contract support of participating faculty members
5. Pre- and postdoctoral trainees of the participating faculty members (past 10 years)
6. Publications of Research completed by Trainees
7. Admissions and completion records for participating departments during past 5 years
8. Qualifications of recent applicants
9. Qualifications of current trainees clearly associated with TP
10. Admissions and completion records for URM (etc) clearly associated with TP
11. Appointments to TP grant for each year of past award
12. Trainees supported by this TP
A. T32 Tables

• Problems with tables
  – No single table has all information
  – Most have TOO MANY trainees listed
  – Some do not provide trainee names even though individual trainee information is provided
### III. Summary of T32 Information

<table>
<thead>
<tr>
<th>Information</th>
<th>Tables</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trainee Name</td>
<td>5 6 8 9 10 12 TAF</td>
</tr>
<tr>
<td>Sex / Race / Ethnicity / Disability &amp; Disadvantaged status / DOB / Citizenship</td>
<td>✓</td>
</tr>
<tr>
<td>Faculty/Mentor Name</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Training Department</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Prior degree(s) (institution, degree, year)</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Specialty Boards</td>
<td>✓</td>
</tr>
<tr>
<td>Career level during training (Pre- vs Post-doc)</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Training period (Yr start , end)</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Research Topic</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Publication list (CV)</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>GRE scores (V, Q, W)</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Undergrad GPA</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Source of trainee’s grant support</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Current status / position / employment</td>
<td>✓ ✓ ✓ ✓ ✓ ✓</td>
</tr>
<tr>
<td>Prior NRSA support</td>
<td>✓</td>
</tr>
<tr>
<td>Permanent Mailing Address</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Problems:</strong> No names – Need PI/PD to help resolve missing information</td>
<td>✓ ✓ ✓</td>
</tr>
<tr>
<td><strong>Problems:</strong> Too many listed (must reduce to relevant trainees)</td>
<td>✓ ✓ ✓</td>
</tr>
</tbody>
</table>
OVERVIEW

IV. Consistency

A. AMONG T32 GRANTS
A. Among T32’s: Table 5

### Table 5: Pre and Post-Doctoral Trainees of Participating Faculty Members (Past 10 Years)

<table>
<thead>
<tr>
<th>Faculty Name / Trainee Names</th>
<th>Pre- or Post- Doc</th>
<th>Training Period</th>
<th>Research Topic</th>
<th>Prior Degree(s)</th>
<th>Current Support or Current Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>Boehnke, Michael</td>
<td>Pre</td>
<td>1993 - 1999</td>
<td>The Application of Statistical Methods for Highly Stratified Data to Linkage and Association Analyses of Complex Genetic Traits</td>
<td>MS Nebraska 1986, MS Florida State 1988</td>
<td>Associate Professor, Department of Biostatistics, Wake Forest University, Winston-Salem, North Carolina</td>
</tr>
<tr>
<td></td>
<td>Pre</td>
<td>1992 - 2000</td>
<td>Bayesian Solutions to Problems of Uncertainty in Genetic Data</td>
<td>BA Walla Walla 1991</td>
<td>Research Area Specialist Lead, Department of Biostatistics, University of Michigan, Ann Arbor, Michigan</td>
</tr>
</tbody>
</table>

### Table 5. Pre- and Postdoctoral Trainees of Participating Faculty Members (Alphabetically by Faculty Member for the Past Ten Years)

<table>
<thead>
<tr>
<th>Faculty Member Past and Current Students</th>
<th>Pre or Post</th>
<th>Training Period</th>
<th>Degree(s)</th>
<th>Year(s)</th>
<th>Institution(s)</th>
<th>Title of Research Project</th>
<th>Current Position (past trainees)</th>
<th>Source of Support (current trainees)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Post</td>
<td>96-00</td>
<td>Ph.D.</td>
<td>95</td>
<td>SUNY Buffalo</td>
<td>DNA Dielectrophoresis</td>
<td>Assist. Prof., Inst. Physics Acad. Sinica</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post</td>
<td>04-07</td>
<td>PhD</td>
<td>03</td>
<td>Szaged</td>
<td>Nanotechnology in Biology</td>
<td>Post-doc, Harvard University</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post</td>
<td>06-07</td>
<td>PhD</td>
<td>05</td>
<td>Princeton</td>
<td>Directed Evolution</td>
<td>Assist. Prof. Delft Technical University</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**A. Among T32’s: Table 12**

### Table 12A. Predoctoral Trainees Supported by University of Michigan Genome Science Training Program (Past 10 Years)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1992</td>
<td>RG</td>
<td>RG</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Quantitative Trait Locus Analysis in a Mouse Four-Way Cross</td>
<td>Research Specialist Lead, Department of Biostatistics, University of Michigan</td>
</tr>
<tr>
<td>1996</td>
<td>UF</td>
<td>UF</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Statistical Methods in Gene Mapping of Familial Traits</td>
<td>Assistant Professor, Human Genetics, Emory University</td>
</tr>
<tr>
<td>1996</td>
<td>TG</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>A Glomerulonephritis Mouse Model</td>
<td>Bioinformatics Specialist, Pfizer</td>
</tr>
</tbody>
</table>

### Table 12A. Predoctoral Trainees Supported by this Training Grant (Renewal Applications and Non-Competing Continuation Progress Reports Only)

**Predoctoral (and MSTP) Trainees (Listed sequentially by Entering Class):**

<table>
<thead>
<tr>
<th>Trainee, Year of Entry Prior Degree &amp; Institution (Mentor's Department/program)</th>
<th>Source of Support Each Grant Year/Academic Year</th>
<th>Title of Research Project/Research Topic</th>
<th>Degree(s) Received (Year)</th>
<th>Current Position and Institutions (grant support obtained)</th>
</tr>
</thead>
<tbody>
<tr>
<td>TG/F</td>
<td>06</td>
<td>Protein interactions</td>
<td>PhD (2007)</td>
<td>Asst. Professor, Computer Science, University of Minnesota</td>
</tr>
<tr>
<td>TG/F</td>
<td>06</td>
<td>Biological pathways/methods to profile chromosomal abnormalities</td>
<td>In training</td>
<td></td>
</tr>
<tr>
<td>TG/F</td>
<td>06</td>
<td>Design of proteins de novo</td>
<td>In training</td>
<td></td>
</tr>
</tbody>
</table>
### Table 6. Publications of Trainees

#### Pre-Doctoral Trainees

**Boehnke, Michael**


**Burke DT**, 2002, Coordinated genetic control of neoplastic and aging processes. Series A-Biological Sciences & Medical Sciences,

### Table 6. Publications of Research Completed by Trainees (or Potential Trainees)
(List Pre/Postdoctoral and Past/Current Trainees Separately and Alphabetically in Each Group)

**Past Trainees:**

<table>
<thead>
<tr>
<th>Name of Trainee (Years in Program)</th>
<th>Mentor(s)</th>
<th>Publication (Authors, Year, Title, Journal)</th>
</tr>
</thead>
<tbody>
<tr>
<td>C. B., Singh M. Organization of Physical Processes. PLOS Computational Biology.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>I, E, Botstein, D, abolomic response to</td>
</tr>
</tbody>
</table>
### A. Among T32’s: Table 9

#### Table 9A. Qualifications of the Current Predoctoral Trainees GSTP Trainees (2009-2010)

<table>
<thead>
<tr>
<th>Trainee Department</th>
<th>Previous Institution(s)</th>
<th>Degree(s) &amp; Year(s)</th>
<th>GRE Scores (Percentiles) V, Q, W</th>
<th>Undergraduate GPA</th>
<th>Current Research Mentor</th>
<th>Years in Program</th>
<th>Years Appointed to GSTP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1* Ecology and Evolutionary Biology</td>
<td>Wayne State University, University of Michigan</td>
<td>BS 2002, MS 2004</td>
<td>780 (99%), 800 (92%)</td>
<td>6.0 (90%)</td>
<td>Zhang, J.</td>
<td>2003-present</td>
<td>2007-present</td>
</tr>
<tr>
<td>2* Human Genetics</td>
<td>Iowa State University</td>
<td>BS 2002</td>
<td>630 (88%), 730 (75%), 5.0 (71%)</td>
<td>2.95</td>
<td>Moran, J.</td>
<td>2003-present</td>
<td>2008-present</td>
</tr>
<tr>
<td>3* Biostatistics</td>
<td>Grand Valley State</td>
<td>BS 2007</td>
<td>570 (78%), 760 (85%)</td>
<td>3.96</td>
<td>Boehnke, M.</td>
<td>2007-present</td>
<td>2007-present</td>
</tr>
</tbody>
</table>

#### Table 9A. Qualifications of the Current Predoctoral Trainees Clearly Associated with the Training Program

<table>
<thead>
<tr>
<th>Trainee (List by Number)</th>
<th>Degree(s) &amp; Year(s)</th>
<th>GRE Scores (Percentiles) V, Q, Adv and/or MCAT Scores</th>
<th>Undergraduate GPA</th>
<th>Current Research Mentor</th>
<th>Years in Program</th>
<th>Calendar Years Appointed to this Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS-7*</td>
<td>BS '04/ MS '07</td>
<td>740, 800, NA</td>
<td>3.80</td>
<td>Singh, M.</td>
<td>07-present</td>
<td>None</td>
</tr>
<tr>
<td>CS-9*</td>
<td>BS'04/BS '07</td>
<td>530, 800, NA</td>
<td>3.89</td>
<td>Troyanskaya, O.</td>
<td>07-present</td>
<td>7/1/09-present</td>
</tr>
<tr>
<td>MB-1*</td>
<td>BS '06</td>
<td>670, 730, NA</td>
<td>3.65</td>
<td>Kruglyak, L.</td>
<td>07-present</td>
<td>None (T32 GM007388)</td>
</tr>
<tr>
<td>PHY-7*</td>
<td>BS '06</td>
<td>730, 800, 910</td>
<td>3.78</td>
<td>Bialek, W.</td>
<td>07-present</td>
<td>7/1/08-present</td>
</tr>
<tr>
<td>CS-4</td>
<td>BEng '07</td>
<td>650, 790, NA</td>
<td>3.91</td>
<td>Singh, M.</td>
<td>07-present</td>
<td>None</td>
</tr>
<tr>
<td>MB-21</td>
<td>BS '06</td>
<td>520, 680, NA</td>
<td>3.93</td>
<td>Kruglyak, L.</td>
<td>07-present</td>
<td>None</td>
</tr>
</tbody>
</table>
OVERVIEW

IV. Consistency

B. ACROSS T32 VS MAPS
<table>
<thead>
<tr>
<th>Item#</th>
<th>Variable / Field Name</th>
<th>Field Label</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>trainee_id</td>
<td>Trainee ID Number</td>
<td>Enter unique 5-digit code -- Assigned by program, see value range reserved for your program on Instructions page</td>
</tr>
<tr>
<td>2</td>
<td>non_map_funded</td>
<td>Non-MAP-funded URM?</td>
<td>0 = No, 1 = Yes</td>
</tr>
<tr>
<td>3</td>
<td>baseline_date</td>
<td>Date trainee entered program</td>
<td>Enter as YYYY-MM-DD</td>
</tr>
</tbody>
</table>
| 4     | pgm_grant_type       | Grant Type | 1 = CEGS  
2 = Database  
3 = Sequence  
4 = T32  
5 = Other |
| 5     | pgm_type             | Type of Program | 1 = K-12  
2 = K-12 and Undergraduate  
3 = Undergraduate  
4 = Post-Bacc  
5 = Graduate  
6 = Post-Doc  
7 = Medical Fellow  
8 = Faculty |
| 6     | map_point            | Education level at time of MAP program enrollment/training: Choose one | 1 = High school  
2 = Trade school  
3 = Two-year college  
4 = Four-year college  
5 = Post-Baccalaureate  
6 = Master’s  
7 = Doctorate  
8 = Medicine  
9 = Post-doctorate  
10 = Faculty enrichment or sabbatical  
99 = Unknown |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Description</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>gender</td>
<td>Gender</td>
<td>1 = Male</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2 = Female</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>99 = Unknown</td>
</tr>
<tr>
<td>8</td>
<td>ethnicity</td>
<td>Ethnicity</td>
<td>0 = Not Hispanic, Latino, or Spanish</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>1 = Hispanic, Latino, or Spanish</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>99 = Unknown</td>
</tr>
<tr>
<td>9</td>
<td>ethnic_latino_1</td>
<td>IF Hispanic, Latino, or Spanish Origin: Is trainee Mexican, Mexican American, or Chicano?</td>
<td>1 = Yes, else leave blank</td>
</tr>
<tr>
<td>10</td>
<td>ethnic_latino_2</td>
<td>IF Hispanic, Latino, or Spanish Origin: Is trainee Puerto Rican?</td>
<td>1 = Yes, else leave blank</td>
</tr>
<tr>
<td>11</td>
<td>ethnic_latino_3</td>
<td>IF Hispanic, Latino, or Spanish Origin: Is trainee Cuban?</td>
<td>1 = Yes, else leave blank</td>
</tr>
<tr>
<td>12</td>
<td>ethnic_latino_4</td>
<td>IF Hispanic, Latino, or Spanish Origin: Is trainee Other Hispanic, Latino, or Spanish origin (describe below)?</td>
<td>1 = Yes, else leave blank</td>
</tr>
<tr>
<td>13</td>
<td>ethnic_other</td>
<td>Other Hispanic, Latino, or Spanish Origin</td>
<td>Enter description</td>
</tr>
</tbody>
</table>

TAF
<table>
<thead>
<tr>
<th></th>
<th>Race Code</th>
<th>Race Description</th>
<th>Yes/No</th>
<th>TAF</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>race___1</td>
<td>Race: White</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>race___2</td>
<td>Race: Black, African American, or Negro</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>race___3</td>
<td>Race: American Indian or Alaska Native</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td></td>
<td>race_tribe</td>
<td>If American Indian or Alaska Native marked above, enter name of enrolled or principal tribe</td>
<td>Enter description</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>race___4</td>
<td>Race: Asian Indian</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>race___5</td>
<td>Race: Chinese</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>race___6</td>
<td>Race: Filipino</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>race___7</td>
<td>Race: Japanese</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>race___8</td>
<td>Race: Korean</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>race___9</td>
<td>Race: Vietnamese</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>race___10</td>
<td>Race: Other Asian (describe below)</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>24</td>
<td>race_asian</td>
<td>If Other Asian Race marked above, enter description</td>
<td>Enter description</td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>race___11</td>
<td>Race: Native Hawaiian</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>26</td>
<td>race___12</td>
<td>Race: Guamanian or Chamorro</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>27</td>
<td>race___13</td>
<td>Race: Samoan</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td>28</td>
<td>race___14</td>
<td>Race: Other Pacific Islander (describe below)</td>
<td>1 = Yes, else leave blank</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Question</td>
<td>1 = Yes, else leave blank</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------------------------</td>
<td>--------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>33</td>
<td>Where did trainee find out about MAP program: SACNAS?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>34</td>
<td>Where did trainee find out about MAP program: ABRCMS?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>35</td>
<td>Where did trainee find out about MAP program: Principal Investigator?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>36</td>
<td>Where did trainee find out about MAP program: Mentors?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>37</td>
<td>Where did trainee find out about MAP program: Social Networking?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>38</td>
<td>Where did trainee find out about MAP program: Contacts with former MAP students from home institution?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>39</td>
<td>Where did trainee find out about MAP program: Contacts with students from another MAP program?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>40</td>
<td>Where did trainee find out about MAP program: Some other source?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>41</td>
<td>If other, describe</td>
<td>Enter description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>42</td>
<td>What institution did trainee come from before participating in the current program?</td>
<td>Enter name of institution</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Variable</td>
<td>Description</td>
<td>Options</td>
<td></td>
</tr>
<tr>
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<td>----------</td>
<td>--------------------------------------</td>
<td>--------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>43</td>
<td>gpa_hs</td>
<td>High School GPA</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>44</td>
<td>gpa_hs_s</td>
<td>High School Grading Scale</td>
<td>1 = 4.0 Scale, 2 = 5.0 Scale, 3 = Other</td>
<td></td>
</tr>
<tr>
<td>45</td>
<td>gpa_ug</td>
<td>Undergraduate GPA</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>46</td>
<td>gpa_ug_s</td>
<td>Undergraduate Grading Scale</td>
<td>1 = 4.0 Scale, 2 = 5.0 Scale, 3 = Other</td>
<td></td>
</tr>
<tr>
<td>47</td>
<td>gpa_ms</td>
<td>Master's Level GPA</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>48</td>
<td>gpa_ms_s</td>
<td>Master's Level Grading Scale</td>
<td>1 = 4.0 Scale, 2 = 5.0 Scale, 3 = Other</td>
<td></td>
</tr>
<tr>
<td>49</td>
<td>gpa_phd</td>
<td>Doctoral GPA</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>50</td>
<td>gpa_phd_s</td>
<td>Doctoral Grading Scale</td>
<td>1 = 4.0 Scale, 2 = 5.0 Scale, 3 = Other</td>
<td></td>
</tr>
<tr>
<td>51</td>
<td>gpa_g</td>
<td>Other Graduate School GPA</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>52</td>
<td>gpa_g_s</td>
<td>Other Graduate Grading Scale</td>
<td>1 = 4.0 Scale, 2 = 5.0 Scale, 3 = Other</td>
<td></td>
</tr>
<tr>
<td>Column</td>
<td>Description</td>
<td>Notes</td>
<td></td>
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<tr>
<td>----------</td>
<td>--------------------------------------------------</td>
<td>-------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>sat</td>
<td>Did trainee take the SAT?</td>
<td>0 = No, 1 = Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>sat_math</td>
<td>Math score</td>
<td>Enter score (range 200-800)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>sat_verbal</td>
<td>Critical Reading score</td>
<td>Enter score (range 200-800)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>sat_writing</td>
<td>Writing score</td>
<td>Enter score (range 200-800)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>sat_total</td>
<td>Total score</td>
<td>Enter score (range 600-2400)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>act</td>
<td>Did trainee take the ACT?</td>
<td>0 = No, 1 = Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>act_english</td>
<td>English score</td>
<td>Enter score (range 1-36)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>act_math</td>
<td>Math score</td>
<td>Enter score (range 1-36)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>act_reading</td>
<td>Reading score</td>
<td>Enter score (range 1-36)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>act_science</td>
<td>Science score</td>
<td>Enter score (range 1-36)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>act_composite</td>
<td>Composite score</td>
<td>Enter score (range 1-36)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>gre</td>
<td>Did trainee take the GRE?</td>
<td>0 = No, 1 = Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>gre_verbal</td>
<td>Verbal score</td>
<td>Enter score (range 200-800)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>gre_quant</td>
<td>Quantitative score</td>
<td>Enter score (range 200-800)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>gre_writing</td>
<td>Analytical writing score</td>
<td>Enter score (range 0-6)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>mcat</td>
<td>Did trainee take the MCAT?</td>
<td>0 = No, 1 = Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>mcat_verbal</td>
<td>Verbal score</td>
<td>Enter score (range 1-15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>mcat_phys</td>
<td>Physical score</td>
<td>Enter score (range 1-15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>mcat_bio</td>
<td>Biological score</td>
<td>Enter score (range 1-15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>mcat_composite</td>
<td>Composite score</td>
<td>Enter score (range 3-45)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>mcat_writing</td>
<td>Writing score</td>
<td>Enter score (range J-T)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Column Name</td>
<td>Description</td>
<td>Values</td>
<td></td>
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<td>-------------</td>
<td>------------------------------------------------------------------------------</td>
<td>-------------------------</td>
<td></td>
</tr>
<tr>
<td>74</td>
<td>oth_map</td>
<td>Has trainee participated in other MAP training programs?</td>
<td>0 = No, 1 = Yes, 99 = Unknown</td>
<td></td>
</tr>
<tr>
<td>75</td>
<td>non_map</td>
<td>Has trainee participated in non-MAP training programs?</td>
<td>0 = No, 1 = Yes, 99 = Unknown</td>
<td></td>
</tr>
<tr>
<td>76</td>
<td>sc_total</td>
<td>Number of trainee's scholarships / fellowships</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>77</td>
<td>cdaward_total</td>
<td>Number of trainee's career development / K awards</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>78</td>
<td>graward_total</td>
<td>Number of trainee's peer-reviewed grants or research awards</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>79</td>
<td>pres_total</td>
<td>Number of trainee's presentations at baseline</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>80</td>
<td>pub_total</td>
<td>Number of trainee's publications at baseline</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>81</td>
<td>pat_total</td>
<td>Number of trainee's patents and copyrights at baseline</td>
<td>Enter number</td>
<td></td>
</tr>
<tr>
<td>82</td>
<td>trn_comments</td>
<td>Comments on trainee at baseline</td>
<td>Enter any comments on the trainee at baseline that are not included elsewhere</td>
<td>Table 6</td>
</tr>
<tr>
<td>Item#</td>
<td>Variable / Field Name</td>
<td>Field Label</td>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>-------</td>
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<td>-------------</td>
<td>-------------</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>trainee_id</td>
<td>Trainee ID Number</td>
<td>Enter unique 5-digit code -- Assigned by program, see value range reserved for your program on Instructions page</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>fu_date</td>
<td>Date of LAST known follow-up assessment</td>
<td>Enter as YYYY-MM-DD, Leave blank if no follow-up and provide detail in comments at end of this section (Trainee Challenges text)</td>
<td></td>
</tr>
</tbody>
</table>
| 3     | fu_current_status     | What is trainee's current primary status? | 1 = Student  
2 = Employed  
3 = Seeking employment  
4 = Neither employed nor student by choice  
5 = Other  
99 = Unknown |
| 4     | fu_other_status       | If other status above, describe | Enter description |
| 5     | fu_educ_stem          | Is trainee currently a STUDENT involved in a STEM field? | 0 = No  
1 = Yes  
99 = Unknown |
| 6     | fu_educ_research      | Is trainee currently a STUDENT involved in RESEARCH? | 0 = No  
1 = Yes  
99 = Unknown |
| 7     | fu_emp_stem           | Is trainee currently EMPLOYED in a STEM field? | 0 = No  
1 = Yes  
99 = Unknown |
| 8     | fu_educ_research      | Is trainee currently EMPLOYED in RESEARCH? | 0 = No  
1 = Yes  
2 = Teaching related to research  
99 = Unknown |
<table>
<thead>
<tr>
<th></th>
<th>Parameter</th>
<th>Description</th>
<th>Options</th>
</tr>
</thead>
</table>
| 9 | fu_current_degree | Education level at follow-up                                                                      | 1 = High school  
 2 = Trade school  
 3 = Associate's  
 4 = Bachelor's  
 6 = Master's  
 7 = Doctorate  
 8 = Medicine  
 9 = Post-doctorate  
 10 = Faculty  
 99 = Unknown |
| 10| fu_oth_map       | Has trainee participated in other MAP training programs since enrollment?                            | 0 = No  
 1 = Yes  
 99 = Unknown |
| 11| fu_non_map       | Has trainee participated in any non-MAP training programs since enrollment?                         | 0 = No  
 1 = Yes  
 99 = Unknown |
| 12| fu_sc_total      | Number of trainee's scholarships / fellowships at follow-up                                         | Enter number |
| 13| fu_cdaward_total | Number of trainee's career development / K awards at follow-up                                      | Enter number |
| 14| fu_graward_total | Number of trainee's peer-reviewed grants or research awards                                         | Enter number |
| 15| fu_pres_total    | Number of trainee's presentations at follow-up                                                     | Enter number |
| 16| fu_pub_total     | Number of trainee's publications at follow-up                                                      | Enter number |
| 17| fu_pat_total     | Number of trainee's patents and copyrights at follow-up                                            | Enter number |
| 18| fu_trn_success   | Trainee Successes                                                                                    | Enter any other successes this trainee has had and what contributed to those successes (if known) |
| 19| fu_trn_challenge | Trainee Challenges                                                                                  | Enter any challenges this trainee has had and how these were addressed or overcome (if known) |
IS CURRENT T32 INFORMATION SUFFICIENT?
Is current T32 information sufficient?

• Most **BASELINE** information can be derived from
  – TAF: Defines master list of trainees for that T32
    • Who has copies of all TAFs for given program (PI/PD)
  – Tables 6, 9 and 12 provide some additional information

• Nominally consistent AND sufficient compared to MAP information

• Follow-up will fill in the holes
OVERVIEW

VI. Additional Comments / Questions

NEW QUESTIONS?
NON-URM
IRB?
Additional Comments / Questions

• Questions to add to database based on T32?
  – Research Topic (name of research topic) ?

• Non-URM
  – Most T32s have few individuals from qualified groups
  – WILL T32S COLLECT DATA ON ALL TRAINEES OR ONLY ON QUALIFIED (BASED ON RACE, ETHNICITY AND DISABILITY)

• IRB issues
  – Do T32s need IRB?
    • YES ... OR ... SIGNED Informed Consent before DACC can accept data
    • Suggest: T32’s ask for expedited review requesting exempt status?
      – DACC will provide example forms / write-up / informed consents as we did for MAPs
OVERVIEW

VII. Where do we go from here?

IRB DATA COLLECTION PROTOCOL
Where do we go from here?

1. Begin IRB process
   a) DACC provides draft documents
   b) Each T32 begins dialog with their IRB

2. “Enroll” all trainees on T32 grants
   a) Use Trainee Application Form (TAF)
      • Enter TAF info for all T32 trainees
        – Who were supported on your T32
        – Regardless of ethnicity/race
   b) Supplement TAF information with (see next slides)
      • Table 6: Publication list
      • Table 9: GRE scores (will need to add names)
      • Table 12: Current position / location / funding source
Where do we go from here?

• IRB Process
  – Why consider IRB?

  – TRADITIONALLY DO NOT NEED
    • Usually, each training program
      – Is educational
      – Is NOT considered research
      – And consequently does NOT need IRB review

  • Until this last year, this has been the case ...
Where do we go from here?

• IRB Process
  – DO NEED IF considered “RESEARCH”
    ▪ EVERY IRB DEFINES “research” DIFFERENTLY !!!!!
  ▪ At Washington University
    ▪ Defined as “research” if, among others ...
      i. SHARING data with a 3rd party who was not “actively engaged” in your study
      ii. Have plans to PUBLISH the data
Where do we go from here?

- DACC will **require**
  - Approval from your end before you can send your data to us
  - May take form of ...
    - YOUR IRB approval
    - YOUR Institutional education representative (FERPA) approval
      - Has not worked very well in 2 cases
    - SIGNED CONSENT FORM FROM EACH TRAINEE
      - WU has set of WU IRB approved Informed Consent forms
DACC draft IRB docs to T32s

T32s petition IRBs

T32s petition educational representative (FERPA)

Y

T32s submit IRB approval, protocol (& consents) to DACC

T32s submit signed agreement (& consents) to DACC

T32s collect signed informed-consents from each trainee

Send collected data to DACC

T32s submit signed consents to DACC

Loss of Data

Excel or REDCap data entry
Where do we go from here?

• IRB Process
  – DACC cannot receive your data until one or more of the approval conditions* are fully satisfied
  – Two data capture systems set up
    • EXCEL:
      – For those without approval AND for “Enrollment”
        » Data entered, but retained by MAP each program (NOT sent to DACC) until full approval is obtained
    • REDCap:
      – For those with full approval AND for “Follow-up”
        » Data sent directly to DACC through web-based entry system

*IRB or institutional representative approval or signed informed consents
Where do we go from here?

2. “Enroll” all trainees on T32 grants
   a) Use Trainee Application Form (TAF)
      • Enter TAF info for all T32 trainees
        – Who were supported on your T32
        – All, regardless of ethnicity/race ?
   b) Supplement TAF with additional information
      • Table 6: Publication list
      • Table 9: GRE scores (will need to add names)
      • Table 12: Current position / location / funding source
## Statement of Appointment

(“Please Type”)

### 1. PHS Grant Number
- Type
- Activity
- ID Serial No.

### 2. Appointee’s Name (Last, first, initial)

### 3. Sex

- M
- F

### 4. Type of Action
- 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)


XXX-XX-

### 7. Birthdate (Month, day, year)

### 8. Citizenship

- [ ] 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?

E-mail

### 10. Are you Hispanic or Latino?

- [ ] YES
- [ ] NO
- [ ] Do Not Wish to Provide

### 11. What is your racial background?

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

### 12. Do you have a disability?

- [ ] YES
- [ ] NO
- [ ] Do Not Wish to Provide

- [ ] Hearing
- [ ] Mobility/Orthopedic Impairment
- [ ] Visual
- [ ] Other

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

- [ ] YES
- [ ] NO
- [ ] Do Not Wish to Provide

### 14. Field of Research Training or Career Development (for this appointment)

Enter a 4 digit code from instructions:

From: [ ]

To: [ ]

### 15. Period of Appointment (Month, day, year)

### 16. Education – After High School (Indicate all academic and professional education. For foreign degrees, give U.S. equivalent.)

(a) Name of Institution and Location (List most recent first)

(b) Degree(s) Received

(c) Major Field

(d) Minor Field

Degree

Maj./Yr.
17. NAME OF SPECIALTY BOARDS (if applicable)

18. DEGREE(S) SOUGHT
   ☐ YES  ☐ NO
   If yes, indicate type of degree

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

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

20. SUPPORT FOR PERIOD OF APPOINTMENT

<table>
<thead>
<tr>
<th>TYPE</th>
<th>% of Grant (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stipend / Salary / Other Compensation</td>
<td>$</td>
</tr>
<tr>
<td>Tuition / Fees (estimated)</td>
<td>$</td>
</tr>
<tr>
<td>Travel (estimated)</td>
<td>$</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>$</td>
</tr>
</tbody>
</table>

21. STATEMENT OF NONDELINQUENCY ON U.S. FEDERAL DEBT
   Is the applicant delinquent on the repayment of any U.S. Federal debt(s)?
   ☐ NO  ☐ YES (if "Yes," please explain below)

22. CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true and complete to the best of my knowledge and that I will comply with all applicable Public Health Service terms and conditions governing my appointment. I am aware that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

   a) SIGNATURE OF APPOINTEE
   b) DATE

23. This individual is qualified for this program and is eligible to receive financial support for the period specified above. A copy of this appointment form will be given to the individual.

   a) SIGNATURE OF PROGRAM DIRECTOR
   b) DATE

   c) TYPED NAME OF PROGRAM DIRECTOR

   d) INSTITUTION’S NAME, ADDRESS, AND PHONE NO.
      (Street, city, state, zip code)
Follow attached instructions carefully. Submit this form at the time the individual is appointed, reappointed, or the reported appointment is amended. Return this form to the PHS awarding component. For new postdoctoral trainees under NRSA, signed and dated payback agreement must accompany this form.

1. PHS GRANT NUMBER
   Type
   Activity
   ID Serial No.

2. APPOINTEE’S NAME (Last, first, initial)

3. SEX
   M
   F

4. TYPE OF ACTION (Check only one type)
   NEW appointment (NOT previously supported by this grant)
   REAPPOINTMENT (Previously supported by this grant)
   AMENDMENT of terms checked: 2 9 15 20

5. PRIOR NRSA SUPPORT (Individual or institutional)
   NO
   YES (If “Yes,” see instructions)

6. SOCIAL SECURITY NO.
   XXX-XX-XX

7. BIRTHDATE (Month, day, year)

8. CITIZENSHIP (See instructions)
   U.S. Citizen or Noncitizen National
   Non-U.S. Citizen
   With a Permanent U.S. Resident Visa (”Green Card”)
   With a Temporary U.S. Visa
   If not a U.S. citizen, of which country are you a citizen?

9. PERMANENT MAILING ADDRESS
   E-mail

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

11. What is your racial background? Check one or more
   American Indian or Alaska Native
   Native Hawaiian or other Pacific Islander
   Asian
   Black or African American
   White
   Do Not Wish to Provide

12. Do you have a disability?  YES  NO  Do Not Wish to Provide
   Hearing
   Mobility/Osteoarthritic Impairment
   Visual
   Other

13. Are you from a disadvantaged background?  YES  NO  Do Not Wish to Provide

14. FIELD OF RESEARCH TRAINING OR CAREER DEVELOPMENT (for this appointment)
   Enter a 4 digit code from instructions: ________________
   From: __________
   To: __________

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

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
   Degree
   Month/Yr.
   (c) Major Field
   (d) Minor Field

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Where do we go from here?

2. “Enroll” all trainees on T32 grants
   a) Use Trainee Application Form (TAF)
      • Enter TAF info for all T32 trainees
        – Who were supported on your T32
        – Regardless of ethnicity/race
      • Use TAF to form “Master List” of trainees
   b) Supplement TAF with additional information
      • Table 6: Publication list
      • Table 9: GRE scores (will need to add names)
      • Table 12: Current position / location / funding source
T32 Tables

- Table 5
  - Trainees, past 10 years
    - Available Information
      - Faculty & Trainee names
      - Pre vs Post
      - Years start and end
      - Research Topic
      - Prior Degrees
        - Degree, institute, year
      - Current support or position
    - Problems
      - Too many (all trainees from any support source listed)
        - Resolution: Use TAF as “master list” to select only relevant trainees

- Table 6
  - Trainee publications
    - Available Information
      - Faculty & Trainee names
      - Complete citation of publications (CV style)
    - Problem
      - Too many (all trainees from any support source listed)
        - Resolution: Use TAF as “master list” to select only relevant trainees
T32 Tables

- Table 8
  - Qualification of recent applicants
    - Available information
      - Previous institute
      - Degree & year
      - GRE scores (VQW)
      - Undergrad GPA
      - Support from this grant?
    - Problems
      - No trainee names
      - Too many (all trainees from any support source listed)
        - Resolution: PI/PD add trainee names

- Table 9
  - Qualification of current trainees
    - Available information
      - Department
      - Previous institute
      - Degree & year
      - GRE scores (V,Q,W)
      - Undergrad GPA
      - Mentor name
      - Yrs in program
      - Years appointed to TP
    - Problems
      - No trainee names
        - Resolution: PI/PD add trainee names
T32 Tables

- Table 10
  - Admissions records for URM, etc
    - Available information
      - Year entered
      - Department
      - Grant support source
        - Includes “other” sources
      - Current status
        - In training, completed, employment
    - Problems
      - No names
        - Resolutions: PI/PD add trainee names

- Table 12
  - Trainees supported by TP in past 10 years
    - Available information
      - Trainee & Faculty names
      - Year entered
      - Delineates type of support for each year
      - Research topic
      - Current funding or position
    - Problems
      - Too many trainees
        - Resolutions: Use TAF as “master list” to select only relevant trainees
# Notes / Proposed Action Items

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<tr>
<th>Action Items</th>
<th>Timeline</th>
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<tbody>
<tr>
<td><strong>DACC:</strong> Will send ‘draft’ IRB documents – protocol, informed consents, questionnaires</td>
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<td>(1) collecting and sharing current and past evaluation info with DACC</td>
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<td>(2) publication of aggregate results (across multiple programs) in the future</td>
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<td>(3) allow DACC to contact trainees personally in future, but ONLY if necessary</td>
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<td><strong>ALL:</strong> Determine what information should be collected</td>
<td>TODAY</td>
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<td><strong>DACC:</strong> Develop excel file format based on agreed-upon questions and send to T32s</td>
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<td><strong>T32s:</strong> Collect TAF forms for each trainee ever trained on T32 – Form master list</td>
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<tr>
<td><strong>T32s:</strong> Start abstracting relevant info from Tables 6, 9, 12 on relevant trainees</td>
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<tr>
<td><strong>DACC:</strong> ?? Need volunteer “Beta” test sites for testing the excel formats</td>
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Will use REDCap web-based data entry for annual follow-up

RELIES ON HAVING IRB approvals (same as with MAPs)
# Notes / Proposed Action Items

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Extra Slides

• Privacy Statement in TAF
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