**Overview**

NIH has implemented new requirements under T32, T35 and K12 awards for expanded Mentor requirements that includes plans for dealing with training, matching trainees with faculty, evaluation and remediation and removal of poorly performing mentors.

When developing applications, faculty who plan to submit for training grants should make sure those who may be mentors are appropriate, have the required background or can handle mentor and training responsibilities. Additionally, faculty must have a plan for handling issues that arise with Mentors and Trainees.

**Key items to add to the proposal and institutional commitment letters**

* an effective mechanism to monitor mentoring
* a description of institutional commitment describing the process of remediation or removal of participating faculty from the program who are poorly performing mentors
* a description of the mechanism to monitor mentoring, including oversight of the effectiveness of the trainee/participating faculty match
* a plan for removing, from the training program, participating faculty displaying unacceptable mentorship qualities
* a Conflict Resolution Protocol addressing problems with trainee and faculty matches, removal of faculty from the training program with unacceptable training/mentoring skills, and conflict resolutions for multi PD(s)/PI(s) and mentor/trainee relationships.

**Proposal Development Guidance**

**Review Criteria and Considerations for T32, T35 and K12 applications**

[**Reviewer Criteria -** Overall Impact.](https://grants.nih.gov/grants/peer/critiques/t32.htm) Reviewers will provide an overall impact/priority score to reflect their assessment of the likelihood for the program to exert a sustained, powerful influence on the research field(s) involved, in consideration of the following review criteria and additional review criteria (as applicable for the project proposed).

**Preceptors/Mentors:**

**T32.** Are sufficient numbers of experienced preceptors/mentors with appropriate expertise and funding available to support the number and level of trainees (including short-term trainees, if applicable) proposed in the application? Do the preceptors/mentors have strong records as researchers, including recent publications and successful competition for research support in areas directly related to the proposed research training program? Do the preceptors/mentors have strong records of training individuals at the level of trainees (including short-term trainees, if applicable) proposed in the program?  Are appropriate plans in place to ensure that preceptors lacking sufficient research training experience are likely to provide strong and successful mentoring?

**T35.** Are sufficient numbers of experienced preceptors/mentors with appropriate expertise and funding available to support the number and level of trainees proposed in the application? Do the preceptors/mentors have strong records as researchers, including recent publications and successful competition for research support in areas directly related to the proposed research training program? Do the preceptors/mentors have strong records of training individuals at the level of trainees proposed in the program? Are appropriate plans in place to ensure that preceptors lacking sufficient research training experience are likely to provide strong and successful mentoring?

**K12.** Do the mentors have expertise and experience, as well as track records of past mentoring and training? Are the quality and extent of the mentors' roles in providing guidance and scientific advice to the scholars acceptable? Are the mentors currently engaged in relevant research?

**Source:** [**Frequently Asked Questions for Ruth L. Kirschstein NRSA Predoctoral Institutional Research Training Grants (T32)**](https://nigms.nih.gov/training/instpredoc/Pages/predoc-training-grants-faqs.aspx#a1)

**With respect to mentor training for program faculty, does NIGMS have expectations on the frequency of mentor training? For example, should they have a refresher training every 5 years, etc.?**

All mentors should receive mentor training. Refresher mentor training is recommended on a regular basis. Regarding the approach and frequency of mentor training, we believe that it is context-based and leave it to the individual institution to propose a plan that works best for that institution.

And as stated in the GRISE Announcement (# PAR-21-026) - *A letter providing assurances of the institutional commitment to the program must be included in the "Letters of Support" section of the application. Applicants may use this section to expand upon the “Facilities & Other Resources” section and the “Letters of Support” section, as necessary, to provide additional information regarding the institutional and departmental commitment to the program.* The requirement does flow down to any subrecipient.

**Available Documentation for Proposal Development:**

NIH has a guide to overall training and mentoring

<https://oir.nih.gov/sourcebook/mentoring-training/guide-training-mentoring> focuses on expectations of both the mentor and mentee. There’s nothing specific to removal of persons from the mentor role. But if people are trained appropriately, the chances of this happening may decrease.

<https://oir.nih.gov/sourcebook/mentoring-training> is an NIH resource for a mentoring training program for junior scientists but may be applicable to creating a “refresher” for more senior scientists and mentors.

Do we add anything about NSF harassment requirements?

* It is NSF policy (see Chapter XI.A.1.g.) to foster harassment-free environments wherever science is conducted, including at NSF-sponsored conferences. Proposers are required to have a policy or code-of-conduct that addresses sexual harassment, other forms of harassment, and sexual assault, and that includes clear and accessible means of reporting violations of the policy or code-of-conduct. The policy or code-of-conduct must address the method for making a complaint as well as how any complaints received during the conference will be resolved. This policy or code-of-conduct must be disseminated to conference participants prior to attendance at the conference as well as made available at the conference itself. Proposers should not submit the policy or code-of-conduct to NSF for review.

[UMBC’s OEI Page](https://oei.umbc.edu/) has extensive resources available to meet this requirement, including policies, procedures, reporting, training, etc. To meet conference and sponsor requirements in this area, we recommend discussions with UMBC’s OEI.

NSF requires UMBC Certification for the Responsible and Ethical Conduct of Research requires Mentor and Mentorship training.

* Revisions to the certification for Responsible and Ethical Conduct of Research (RECR) for proposals submitted on or after July 31, 2023, which expands the training to faculty and other senior personnel as well as requires specific training mandated by the America COMPETES Act, as amended.

Chapter II.D.1.d, Proposal Certifications Provided by the Organization, was modified to include a new certification by the AOR relating to the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 requiring that senior personnel are made aware of the certification requirements required by the Act. A second new certification regarding Responsible and Ethical Conduct of Research (RECR) was added for proposals submitted on or after July 31, 2023. The certification replaces the existing RECR certification and expands the training requirement to faculty and other senior personnel and mandates that the training cover mentor training and mentorship. A third new certification requires the AOR to certify that any organization proposing to conduct research off-campus or off-site has a plan in place for this proposal regarding safe and inclusive working environments.  Adds Mentor and Mentorship training.

**Other Resources:**

UMBC HR Resource Page – [Additional Mentoring Resources](https://hr.umbc.edu/additional-mentoring-resources/)

Mentoring is covered in UMBC’s CITI [RCR training modules](https://research.umbc.edu/2135-2/)

[Research Mentoring at the University of Utah](https://education.research.utah.edu/research-mentoring.php)

[University of Wisconsin-Madison Institute for Clinical and Translational Research](https://ictr.wisc.edu/mentoring/)

[Responsible Conduct Research : Mentoring](https://ccnmtl.columbia.edu/projects/rcr/rcr_mentoring/foundation/index.html) - Columbia in the City Of New York, Center for Teaching and Learning

National Academies - [The Science of Effective Mentorship in STEMM](https://nap.nationalacademies.org/resource/25568/interactive/) – Recommendation 7 includes resources to Mitigate Negative Mentorship Experiences.

[Thoughts on Choosing a Research Mentor](https://www.training.nih.gov/mentoring_guidelines)  - Office of Intramural Training and Education

[Guidelines for Mentors at NIH](https://oir.nih.gov/sourcebook/mentoring-training/guidelines-mentors-nih) - NIH Office of Intramural Research

[Mentoring & Training](https://oir.nih.gov/sourcebook/mentoring-training)  - NIH Office of Intramural Research

[Adviser, Teacher, Role Model, Friend: On Being a Mentor to Students in Science and Engineering |The National Academies Press](https://nap.nationalacademies.org/catalog/5789/adviser-teacher-role-model-friend-on-being-a-mentor-to#toc)

[Enhancing the Postdoctoral Experience for Scientists and Engineers: A Guide for Postdoctoral Scholars, Advisers, Institutions, Funding Organizations, and Disciplinary Societies |The National Academies Press](https://nap.nationalacademies.org/catalog/9831/enhancing-the-postdoctoral-experience-for-scientists-and-engineers-a-guide)

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**Other avenues to strengthen applications for mentoring.**

The[**Dresher Center**](https://dreshercenter.umbc.edu/grant-and-research-funding-assistance/) helps faculty who are seeking funding (but only supports arts and humanities research projects )

**To understand what causes failures in mentoring an examination of the following resources may provide valuable insights into where relationships failed and what strategies are proposed:**

## [Mentors need more support to fail poorly performing students](https://www.bing.com/ck/a?!&&p=631423ea26b90315JmltdHM9MTY2NjEzNzYwMCZpZ3VpZD0xNGVkNDdlNC1kMWMwLTY2MTYtMTc3Yy01NjhkZDVjMDYwNDcmaW5zaWQ9NTIyMw&ptn=3&hsh=3&fclid=14ed47e4-d1c0-6616-177c-568dd5c06047&psq=nih+poorly+performing+mentors&u=a1aHR0cHM6Ly9wdWJtZWQubmNiaS5ubG0ubmloLmdvdi8yMjQ4MjE2OC8&ntb=1)

<https://pubmed.ncbi.nlm.nih.gov/22482168>

* [**Characteristics of Successful and Failed Mentoring Relationships: A Qualitative Study Across Two Academic Health Centers**](https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3665769)

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