



The Research
Foundation for

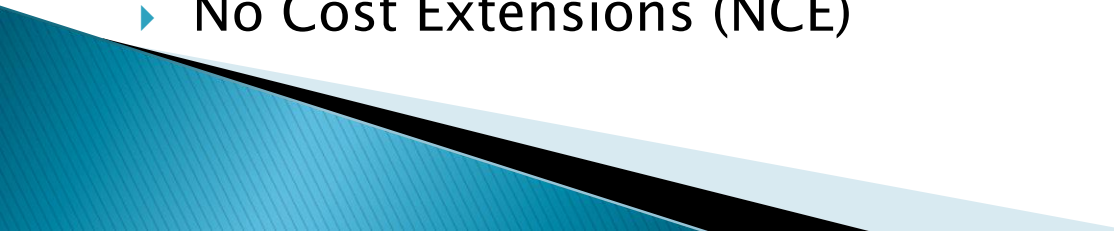
The State University of New York

Downstate Medical Center

Fundamentals of Research Administration

Office of Research Administration
Sharon Levine-Sealy, Pre-Award Director
Elliot Feder, Post-Award Director

Agenda

- ▶ The Research Performance Progress Report (RPPR)
 - ▶ NIH Public Access Policy and PRAM
 - ▶ The Pre-Award Review and Internal Requirements
 - ▶ Semi-Annual Effort Report Certification (eCERT)
 - ▶ The FFR – when is it applicable?
 - ▶ Carryover – when is a request necessary?
 - ▶ No Cost Extensions (NCE)
- 

The Award

- ▶ Account is setup
- ▶ You're 10 months in...
- ▶ PI is working on the research
- ▶ Project expenses are being charged to the award

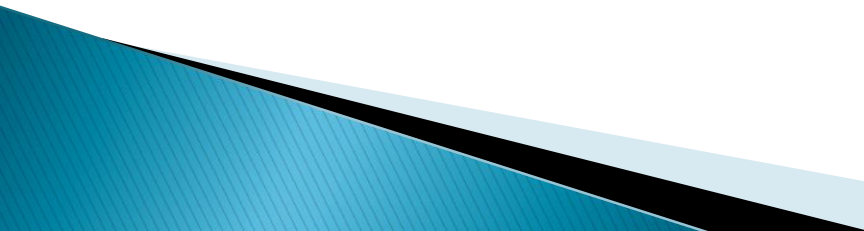
NOW WHAT?



The Research Performance Progress Report (RPPR)

- ▶ A federally mandated format required for interim and annual reporting
- ▶ Must be prepared in eRA Commons
- ▶ Required annually to:
 - ▶ Document accomplishments
 - ▶ Document compliance with terms and conditions of award
 - ▶ Continue support of a PHS grant for each budget year within a competitive segment

The Progress Report ...

- ▶ Provides funding for the non-competing segment of the grant
 - ▶ Requires Pre-Award review by your Project Associate
 - ▶ Only the PD/PI or their delegate (ASST) can initiate
 - ▶ For multi-PD/PI grants only the Contact PI or the Contact PD/PI's delegate (ASST) can initiate
- 

The Progress Report

- ▶ Requires PD/PI to describe the following:
 - Scientific progress
 - Identify significant changes
 - Report on personnel
 - Describe plans for the subsequent budget period or year

Initiate the RPPR

The screenshot shows the 'Status' page of the RPPR system. The navigation bar at the top includes links for Home, Admin, Institution Profile, Personal Profile, Status (circled in red), RPPR, xTrain, Admin Supp, and eRA Partners. Below the navigation bar, there are links for Recent/Pending eSubmissions, List of Applications/Grants (circled in red), and Search by Grants.gov Tracking Num. The main content area is titled 'Status' and contains two sections: 'Recent/Pending eSubmissions' and 'List of Applications/Grants' (circled in red). A red double-headed arrow points between the 'Status' link in the navigation bar and the 'List of Applications/Grants' link in the main content area. The 'List of Applications/Grants' section includes a bulleted list of features and a search box for Grants.gov Tracking Numbers.

Home Admin Institution Profile Personal Profile **Status** RPPR xTrain Admin Supp eRA Partners

Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status

[Recent/Pending eSubmissions](#)

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been refused by Signing Official

[List of Applications/Grants](#)

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

- Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Grants.gov Tracking Number:

Initiate the RPPR (cont.)





Status Result - List of Applications/Grants

Notes & Tips:

- **Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

1-4 of 4 1

Application ID 	Grants.gov Tracking #	Proposal Title	PD/PI Name 	eSubmission Status	Current Application Status 	Status Date 	Action
5K23HD123456-02		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	08/17/2011	
1K23HD123456-01A1	GRANT12345678P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	07/13/2010	Transmittal Sheet
1K23HD123456-01	GRANT87654321P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Withdrawn by IC - Other Version Encumbered	07/13/2010	Transmittal Sheet
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS		Pending	08/17/2011	RPPR

Export to Excel

Show Query


Print Hitlist

The RPPR

RPPR Menu

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

Application Information

Grant Number:	1R15CA234567-01A1
Institution:	COLLEGE AT STRATFORD-UPON-AVON
PD/PI Name:	SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher 
Project Title:	A Midsummer Night's Dream and Other Known Sleeping Disorders
Due Date:	02/01/2013
Current Reviewer:	
Status:	Not Started

Initiate the RPPR

RPPR Menu ?

Application Information

Grant Number: 5K23HD123456-03
Institution: PRESIDENTIAL UNIVERSITY
PD/PI Name: Jefferson, Thomas
Project Title: A New Model for the Delivery of Well-Child Care
Due Date: 05/15/2012
Current Reviewer:
Status: Not Started ←

Initiate

Edit

Check for Errors

View

View Routing History

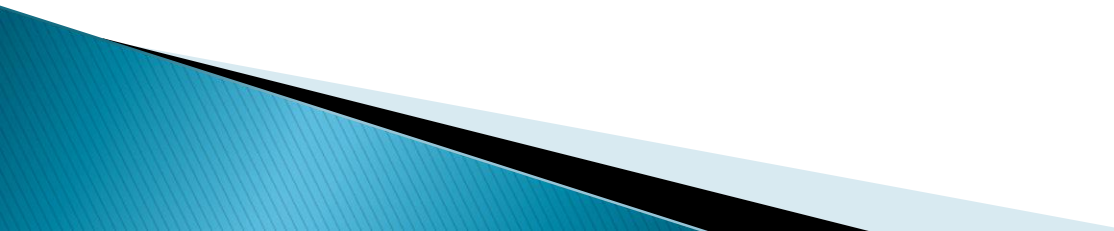
Route

Recall

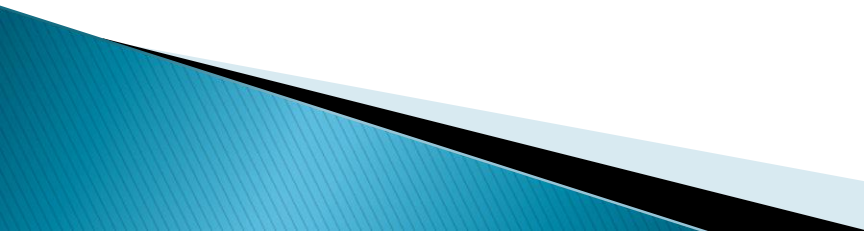
Submit

Cancel


The RPPR...

- ▶ Consists of separate screens for each of the sections listed below
 - A. Cover Page
 - B. Accomplishments
 - C. Products
 - D. Participants
 - E. Impact
 - F. Changes
 - G. Special Reporting Requirements
 - H. Budget
- 

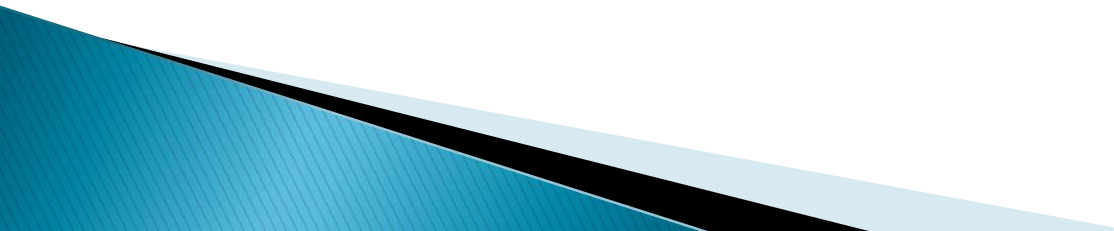
Section A – Cover Page

- ▶ Includes information about the award, PD/PI, Institution and project/reporting/budget periods
 - ▶ Most is pre-populated from eRA Commons system
 - ▶ Choose a name from the drop-down box to select a Signing Official and Administrative Official (Project Associate, Pre-Award office)
 - ▶ If there is a change to the Contact PD/PI, select the Yes radio button and enter the eRA Commons ID
- 

Section B – Accomplishments

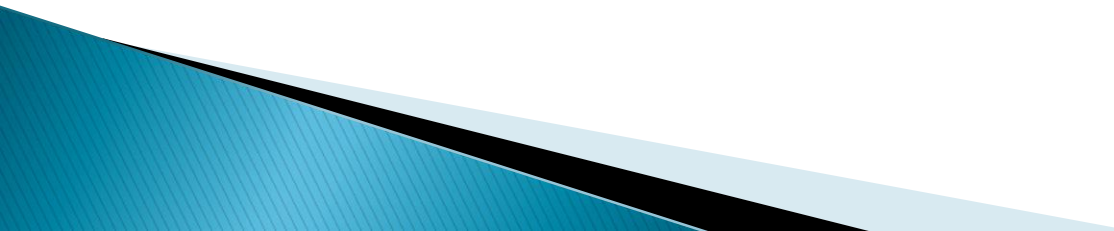
- ▶ B.1 – What are the major goals of the project?
 - ▶ B.1a – Have the major goals changed since the initial competing award or previous report?
 - ▶ B.2 – What was accomplished under these goals?
 - ▶ B.3 – For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?
 - ▶ B.4 – What opportunities for training and professional development has the project provided?
 - ▶ B.5 – How have results been disseminated to communities of interest?
 - ▶ B.6 – What do you plan to do for the next reporting period to accomplish the goals?
- 

Section C – Products

- ▶ C.1 – Publications
 - ▶ C.2 – Website or other Internet Sites
 - ▶ C.3 – Technologies or Techniques
 - ▶ C.4 – Inventions, patent applications and/or licenses
 - ▶ C.5 – Other products and Resources
 - C.5.a – Other Products
 - C.5.b – Resource Sharing
- 

Section D – Participants

- ▶ D.1. – What individuals have worked on the project?

 - ▶ D.2 – Personnel Updates
 - D.2.a – Level of Effort
 - D.2.b – New Senior/Key Personnel
 - D.2.c – Changes in Other Support
 - D.2.d – New “Other Significant Contributors”
 - D.2.e – Change to the MPI Leadership Plan?
- 

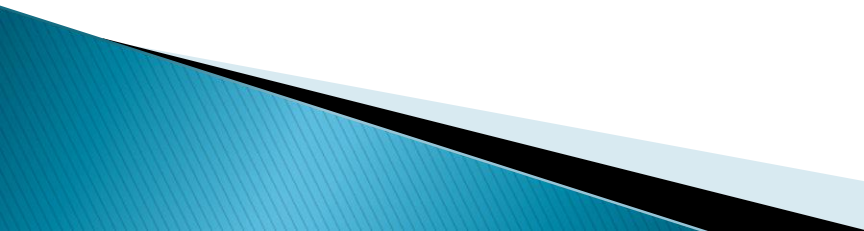
Section E – Impact

- ▶ Describe ways in which the project made an impact, or is likely to make an impact on the following that effect the infrastructure, including:
 - Physical resources (such as facilities, laboratories, or instruments)
 - Institutional resources (such as establishment or sustenance of societies or organizations)
 - Information resources, electronic means for accessing such resources or for scientific communication

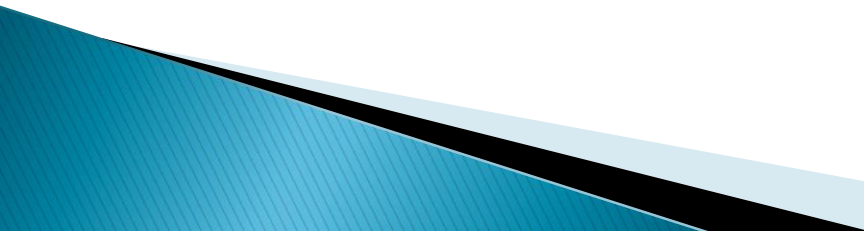
Section F – Changes

- ▶ F.1 – N/A to most awards
- ▶ F.2 – Actual or anticipated challenges or delays and actions or plans to resolve them
- ▶ F.3 Significant changes to human subjects, vertebrate animals, biohazards, and/or select agents
 - F.3.a – Human Subjects
 - F.3.b – Vertebrate Animals
 - F.3.c – Biohazards
 - F.3.d – Select Agents

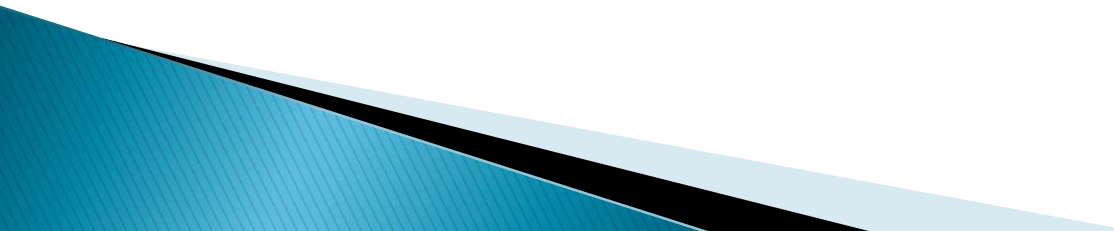
Section G – Special Reporting Requirements

- ▶ G.1 – Address any special requirements in the NOA or the FOA
 - ▶ G.2 & G.3 – N/A to most awards
 - ▶ G.4 – Human Subjects
 - G.4.a – Does the project involve HS? Is this a Clinical Trial? If Yes, it is an NIH Phase III?
 - G.4.b – Cumulative Enrollment of Subjects
 - G.4.c – Does this project include one or more applicable clinical trials that must be registered in ClinicalTrials.gov under FDAAA?
 - ▶ G.5 – Human Subject Education
 - ▶ G.6 – Human Embryonic Stem Cells
- 

Section G – Special Reporting Requirements (cont.)

- ▶ G.7 – Vertebrate Animals
 - ▶ G.8 – Project Performance Sites
 - ▶ G.9 – Foreign Component
 - ▶ G.10 – Estimated Unobligated Balance
 - G.10.a – Will the unobligated balance (including prior year carryover) be greater than 25% of the current year's total approved budget?
 - G.10.b – Provide an explanation for unobligated balance
 - G.10.c – Carryover
 - ▶ G.11 – Program Income
 - ▶ G.12 – F&A (Applicable to SNAP only)
- 

Section H – Budget

- ▶ Applicable to non-SNAP awards only
 - ▶ Select the SF424 Research and Related Budget from the drop down menu
 - ▶ Prepare the R&R Cumulative Budget, for the remainder of the project period
 - ▶ The budget justification should be uploaded and must include a detailed justification for those line items and amounts that represent a significant change from previously recommended levels
- 

Actions available in the RPPR

RPPR Menu ?

Application Information

Grant Number: 5K23HD123456-03
Institution: PRESIDENTIAL UNIVERSITY
PD/PI Name: Jefferson, Thomas
Project Title: A New Model for the Delivery of Well-Child Care
Due Date: 05/15/2012
Current Reviewer:
Status: Not Started

Edit Check for Errors View View Routing History Route Recall Submit Cancel

Routing to next reviewer

Route RPPR to Next Reviewer ?

Name: JEFFERSON, THOMAS

Grant Number: K23HD123456-03

Grantee Institution: PRESIDENTIAL UNIVERSITY

Next Reviewer: WASHINGTON, GEORGE [SD]

Comments: Enter useful comments in this text field!

Submit

Cancel

PD/PI Assurances

Route RPPR to Next Reviewer ?

PD/PI Assurance

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

“I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.”

Confirmation of Routing

The RPPR was successfully routed to WASHINGTON1, George Washington

Application Information

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress ←

Edit

Check for Errors

View

View Routing History

Route

Recall

Submit

Cancel

Recall the RPPR

RPPR Menu ?

Application Information

Grant Number: 5K23HD123456-03
Institution: PRESIDENTIAL UNIVERSITY
PD/PI Name: Jefferson, Thomas
Project Title: A New Model for the Delivery of Well-Child Care
Due Date: 05/15/2012
Current Reviewer: Washington, George
Status: Reviewer Work in Progress

Edit Check for Errors View View Routing History Route Recall Submit Cancel

Multi-Project RPPRs

- ▶ A *multi-project RPPR* is a progress report submitted for a funded program which has multiple, interrelated components sharing a common focus or objective.
 - Project Award (P20, etc.)
 - Cooperative Agreement (U10, etc.)

Multi-Project RPPRs

RPPR Menu ?

Application Information

Grant Number: 5P20MD123456-01
Institution: UNIVERSITY OF THE US
PD/PI Name: WASHINGTON, GEORGE; Jefferson, Thomas (Contact)
Project Title: Sample Research Project
Due Date: 01/01/2014
Current Reviewer: Franklin, Benjamin
Status: PD/PI Work in Progress

[View](#) [View Routing History](#) [Route](#) [Recall](#) [Submit](#) [Cancel](#)

Does the project have components? Yes No ? ←

ID	Project Title	Program Director(PD)/ Principal Investigator(PI) Name	Actions
Overall	Sample Research Project	Washington, George	Edit Check for Errors

Component Type **Component Project Title**
Select One [Add Component](#)

One item found.

Component ID	Component Type	Component Project Title	Actions
Core-6773	Core	Core for Sample Research Project	Edit Component Check for Errors Delete

RPPR due dates ...

- ▶ Streamlined Non-Competing Award Process (SNAP)
 - Due approximately 45 days before the next grant years budget period start date
- ▶ Non-SNAP
 - Due 60 days before the next grant year budget start date

RPPR ... Other due dates

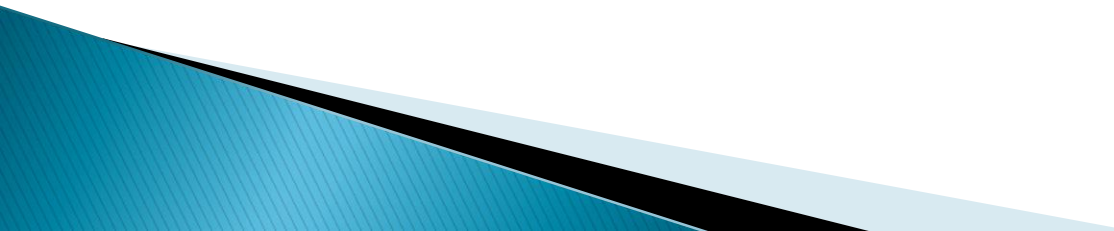
- ▶ Multi-Year Funded (MYF)

- Due annually on or before the anniversary of the budget/project period start date of the award

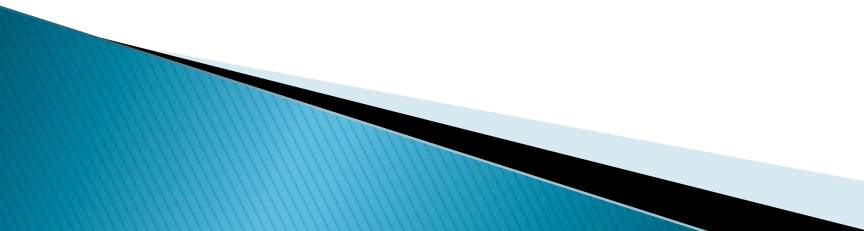
- ▶ Fellowships

- Due two months before the beginning date of the next budget period

Submitting the Progress Report

- ▶ ALL sponsors require a progress report
 - ▶ Most non-competing awards require a review prior to next years' funding
 - ▶ Instructions for each Sponsors progress reporting requirement can be found on their website
- 

The Pre-Award Review ...

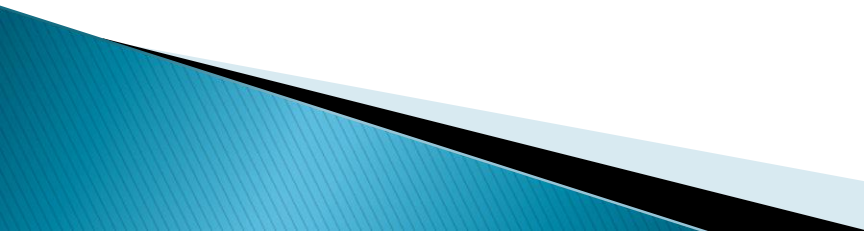
- ▶ To ensure all sections are complete and compliant with sponsor guidelines
 - ▶ Biosketches and Other Support (OS) pages:
 - Required for all new key personnel
 - Change in funding for key personnel
 - OS pages should be prospective
- 

The Pre-Award Review ...

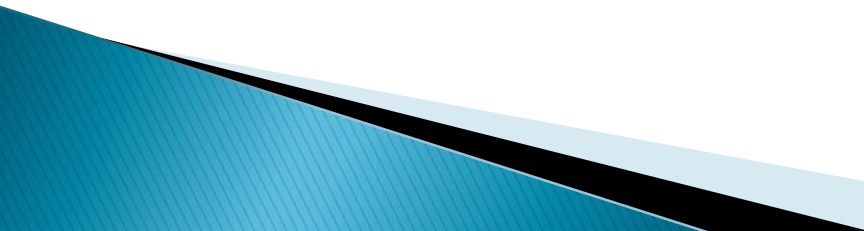
▶ Personnel Effort

- Identified as retrospective
- Is the same as prior year unless identified as a change
 - Rounded to the nearest whole person month as required
 - A reduction of 25% or more requires prior sponsor approval
 - Covers personnel who worked on the project during the reporting period

The Pre-Award Review ...

- IRB and IACUC approvals in place
 - PDF attachments conform to the SF424 Application Guide or other sponsor requirements
 - Review budget for all non-SNAP awards
 - Subcontract paperwork; inclusive of Budget, Statement of Work and revised Attachment 3B (if applicable)
 - Compliance check of ALL participants identified on the RPPR to confirm they are not suspended or debarred from receiving federal funds
- 

Internal Requirements

- ▶ Proposal Tracking and Signature Worksheet
 - ▶ Cost Share Template
 - Required when original submission did not include out-years
 - Required when new expenses are identified as being cost-shared
 - Required when an increase in personnel costs differ from original application
- 

Submitting the RPPR

RPPR Menu

Application Information

Grant Number: 5K23HD123456-03
Institution: PRESIDENTIAL UNIVERSITY
PD/PI Name: Jefferson, Thomas
Project Title: A New Model for the Delivery of Well-Child Care
Due Date: 05/15/2012
Current Reviewer: Washington, George
Status: Reviewer Work in Progress ←

SO certification upon submission –

▶ The Signing Official :

- Certifies the institution is in compliance with the terms and conditions specified in the NOA and GPS
- Verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report
- Certifies the institution will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report
- Certifies deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties
- Certifies that Institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

NIH Public Access Policy

- ▶ A federal mandate requiring that research papers published with results from an NIH funded project be made available to the public for free through PubMed Central within 12 months of publication
 - PubMed Central is an archive of full-text biomedical journal papers available online
 - Papers collected under the Public Access Policy are archived on PubMed Central

NIH Public Access Policy – The Rule

- ▶ Division F Section 217 of PL 111–8 (Omnibus Appropriations Act, 2009). The law states:

“The Director of the NIH shall require that ALL investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication, provided, that the NIH shall implement the public access policy in a manner consistent with copyright law.”

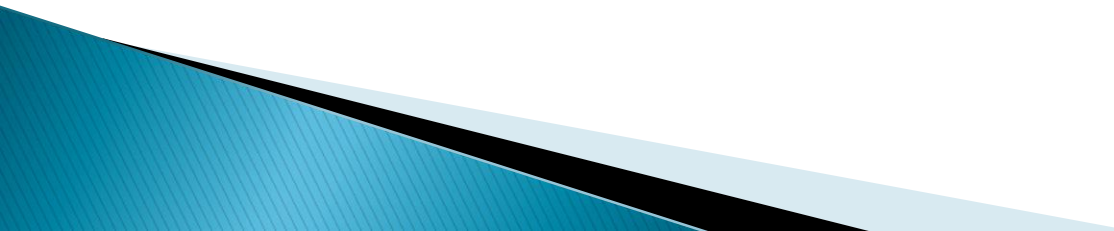
NIH Public Access Policy...

- ▶ Applies to any manuscript that is peer reviewed and
 - is accepted for publication in a journal on or after April 7, 2008 AND arises from:
 - Any direct funding from an NIH grant or cooperative agreement active in Fiscal Year 2008 or beyond, or
 - Any direct funding from an NIH contract signed on or after April 7, 2008, or;
 - Any direct funding from the NIH Intramural Program, or;
 - An NIH employee

Public Access Policy

- ▶ Anyone submitting an application, proposal or report **must** include the PMC reference number (PMCID) when citing papers
 - The PD/PIs are responsible for reporting ALL publications that arise from their NIH-funded research
 - The system will allow the RPPR to be submitted with non-compliant publications
 - You are only required to report a publication one time per award

Public Access Policy – Subrecipient Monitoring

- ▶ The primary awardee remains responsible for compliance of its subrecipients
 - ▶ The Public Access Policy requirement should be incorporated into subrecipient agreements
- 

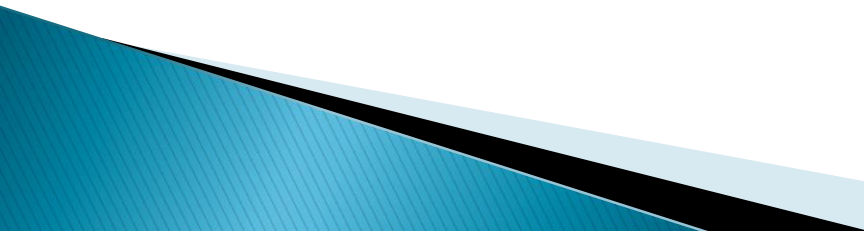
Progress Report Additional Materials (PRAM)

- ▶ A feature within eRA Commons to allow institutions to submit additional information in regards to a non-compliant publication
 - Grantees may upload and submit a revised report demonstrating that previously non-compliant papers reported on the RPPR are now compliant
 - The NOA will not be issued until all papers are in compliance
 - PD/PI can enter the information directly into PRAM
 - Only the SO can submit to the Agency

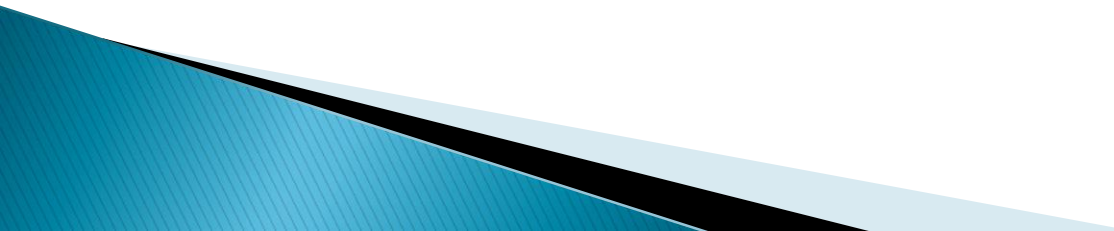
Semi-Annual Effort Reporting (eCERT)

- ▶ A process mandated by the federal government to verify that effort charges to sponsored projects are accurate, timely, and reflect the actual level of work performed
 - Based upon effort committed throughout the course of a year
 - Includes effort that has been cost-shared
 - All key personnel must confirm their effort on their projects. Non-key personnel effort will be verified by their PI or designee
- ▶ eCERT is an electronic system used to capture annual effort reporting on Federal projects

Federal Financial Report (FFR)

- ▶ Submitted Annually for all non-SNAP awards
 - ▶ Submitted at the end of the project period for all SNAP awards
 - ▶ Encumbrances reviewed by your Grants Manager
 - ▶ Prepared and submitted by RF Central Office
 - ▶ In “draft” form until accepted and approved by the Sponsor
- 

Carryover of funds ...

- ▶ The process by which unobligated funds remaining at the end of a budget period may be carried forward to the next budget period to cover allowable costs in that budget period
 - ▶ Must be in support of activities aligned with a grantee's existing project goals and objectives to cover costs not already incurred by the recipient
 - ▶ Is intended to cover only prospective costs
 - ▶ Obligated funds are not considered carryover and should not be requested
- 

Automatic Carryover – SNAP

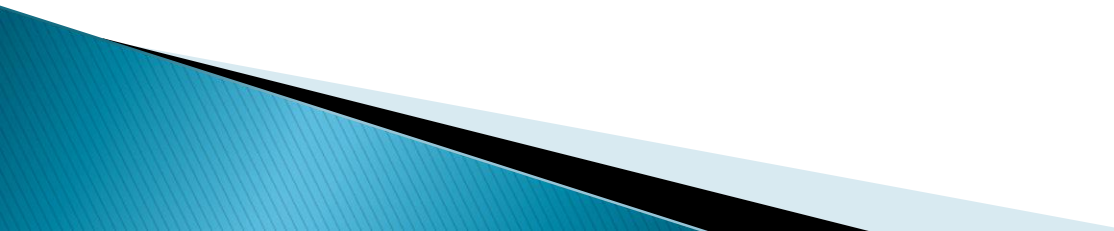
- ▶ Applies to most Rs (R01s, R03s, R21s, etc)
 - Funds are automatically carried over to the subsequent budget period
 - The PD/PI is required to indicate in the RPPR whether there will be an unobligated > than 25 percent of the current year's total approved budget
 - This unobligated balance includes prior year carryover

Carryover Requests for non-SNAP Awards

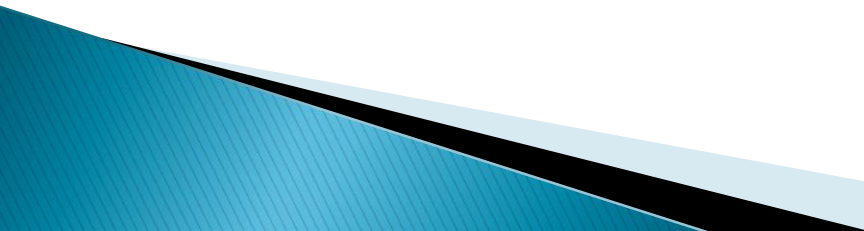
- ▶ Applies to grantees that do not have automatic carryover authority
- ▶ Following types of awards require sponsors prior approval by means of a carryover request:
 - Cooperative Agreements (U awards) / Program Centers (P30, P50, P60)
 - Awards to individuals, including Fellowships (F)
 - Non-Fast Track, Phase 1 (one -year) **SBIR** (R43) and (one -year) **STTR** (R41)
 - Training Grants (T) / Clinical Trials (regardless of activity code)
 - Any other project identified in the NOA

Carryover Requests...PI Review

PIs should be able to answer the following questions:

- ▶ Why were the funds not spent in the past year?
 - ▶ What additional work will be done during the current year that is not possible with the current budget?
 - ▶ Is the request essential?
 - ▶ Are costs reasonable, allowable and necessary?
 - ▶ How will the work be impacted if the funds are not carried over?
- 

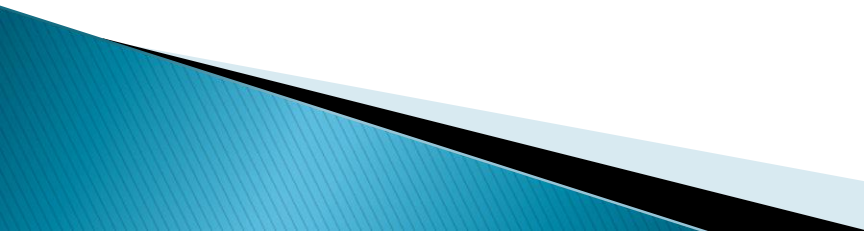
Carryover Requests...Prior Approval

- ▶ The Project Associate will submit a request that includes the following information:
 - A detailed budget by direct cost category with the F&A cost information (base and rate and dollar amount) for the proposed use of the carryover funds
 - A scientific justification for the use of funds
 - The reason for the unobligated balance
- 

Carryover Requests

- ▶ The GMS review and approval ...
 - They may restrict the recipient's authority to automatically carry over unobligated balances in the future
 - They may use the balance to reduce or offset NIH funding for a subsequent budget period
 - They may indicate whether the balance may be carried forward to a budget period other than the succeeding one

No Cost Extensions (NCE)

- ▶ An extension of time to a project and/or budget period
 - ▶ For the sole purpose to complete the work of the grant under that period, without additional Federal funds
 - ▶ Automatically allowed for the 1st 12 months
 - ▶ All terms and conditions remain in effect from prior budget period and/or project year
 - ▶ Processed by your Project Associate in Pre-Award
- 

NCE – Prior Approval

- ▶ Required when:
 - The recipient has already exercised its one-time authority to extend the award for up to 12 months
 - The NIH awarding IC has previously extended the project period
 - A project is multi-year award
- 