

McCormick Research Administration

RPPR Progress Report Reference

Introduction

Unlike most agencies, NIH annual technical progress reports (also called “non-competing continuations”) require review and submission by OSR. Therefore, the RA is involved in the same capacity as for a proposal: completing the administrative components and managing the process, while the PI completes the technical items. Almost all reports are now submitted electronically, but some programs require hard copies. These instructions focus on electronic submissions.

Note that progress reports are due prospectively, meaning that you could be reporting on the period 3/1/13 – 2/28/14 for a 1/15/14 deadline. Gather and submit information based on your best prediction of what will take place during the remainder of the budget period.

NIH provides a manual for Research Performance Progress Report (RPPR) completion at http://grants.nih.gov/grants/RPPR/rppr_instruction_guide.pdf and other information, including FAQs, at <http://grants.nih.gov/grants/RPPR/>. Use those as a primary resource for complying with the NIH requirements. This guide is intended to complement the NIH documents with a focus on NU business processes and best practices.

Additionally, while this guide outlines the process as a series of numbered steps, you’ll likely end up working on more than one of them simultaneously. As with a proposal submission, it’s not necessary to gather all of the information before starting the actual report or PD record; you can begin entry and come back to it later.

1. Track Deadlines

- Most NIH progress reports are due 45 days before the start date of the next budget period.
- Most fellowship progress reports are due two months before the start date of the next budget period.
- T-series, U-series, and other major project progress reports are due as scheduled by NIH.
- Deadlines are automatically moved forward to the next business day if they fall on a weekend or federal holiday.
- To query upcoming deadlines: (Evanston campus IPF: 6144601, Chicago campus IPF: 6144650)
<https://public.era.nih.gov/chl/public/search/progressReportByIpf.era>

2. Request/Obtain Access

- Obtain an eRA Commons ID with role “ASST” by contacting Mike Green at OSR.
- Request that PI delegate “RPPR” authority to you in eRA Commons:
<https://era.nih.gov/erahelp/commons/default.htm#cshid=1012>
- Grant yourself signing authority for the PI in InfoEd:
<http://cafe.northwestern.edu/secure/grants/502/ProfileAdministratorUpdateProfileAid.pdf>

3. Review Existing Award Information

- Determine whether there are subcontractors and locate administrator contact information.
- Determine whether there are animal and/or human subjects and make sure current protocol approvals are on file.
- Determine which other NU personnel are involved.

4. Gather Updated Data

- Work with payroll coordinator or other department staff (as directed by the department BA) to obtain payroll information for non-faculty. Make sure that staff understand how to calculate person-months.
- Use the NU Effort Reporting System (ERS/Maximus) to obtain certified effort information for faculty.
- Gather updated Other Support (OS) from NU key personnel, or confirm no updates.

Other Support

Other Support documents provide NIH with information about an investigator’s current and pending projects, as well as whether there is any overlap between a particular award and the other funding. This information helps NIH determine whether the investigator has the time available to complete the proposed research and whether there are any potential conflicts that could inhibit acceptance of the award. Instructions and a sample format are available at http://grants.nih.gov/grants/funding/2590/Non-competing_othersupport.pdf

For progress reports, information is required **only** on active support, changes in active support, and overlap – not pending proposals. All active projects with effort commitments should be listed. Also, any changes from the previous submission (either the previous year’s progress report or, if this is the first progress report, the Just-in-Time submission) should be indicated. This can be done by marking new projects in a different color, including a section called “Changes” with a list of previously active awards, or in any way that you prefer. Your Grants Officer may express a preference, but there is no mandated NIH format.

Finally, a section on overlap must be included. If there is no overlap, state “none” or “not applicable.” If there is potential for or appearance of scientific overlap (e.g. multiple projects that were proposed to fund the same work) or commitment overlap (e.g. pending projects with effort that totals more than 100%), state this and explain how it will be resolved.

Gather an OS document from every key person or their confirmation that there are no changes. Compile all forms into a single pdf and upload to the RPPR.

- Determine the balance using the Cognos GM045 report, information from the PI, and OSR’s NIH [Unobligated Balance Calculator](#) with [instructions](#).
- If the estimated balance (including prior year carryover) is greater than 25% of the current year approved budget, obtain an explanation and brief spending plan from the PI.

Evaluating Remaining Balances

Take care to calculate the percentage remaining based on the current year’s allocation only, not the total allocation. Example:

Year 1 Received:	\$200,000	The balance remaining, \$80,000, represents 40% of the current year’s allocation. (80,000 ÷ 200,000 = 40%) Therefore, an explanation is required.
<u>Year 2 Received:</u>	<u>\$200,000</u>	
Total Received:	\$400,000	
Balance Remaining:	\$ 80,000	

Also, be sure the PI understands that if expenses are planned but not actually encumbered (e.g. a subaward that’s pending issuance), they are considered part of the unobligated balance and must be explained. NIH calls these planned expenses “unliquidated obligations.”

- If there are subawards, request effort, any unknown Commons IDs (e.g. those for postdocs), and OS information from each institution. Their information doesn’t need to be institutionally endorsed.

- If there are new key personnel, obtain their biosketches, other support documents, and human subject education certifications when applicable.

5. Prepare and Route InfoEd Proposal Development (PD) Record

- Create PD record with type “Continuation” using Submission Mechanism/Screen Template “NU Progress Report/Continuation.” (Note that the RPPR in Commons is for the current period, while the Continuation InfoEd record is for the upcoming period.)
- Populate preliminary information based on most recent proposal/progress report record.
- Confirm with PI whether there will be any significant changes; if so, update record and choose pre-route “PI Approval & NU approvals.”
- If no significant changes, choose pre-route “PI Approval Only.” If it is a fellowship, you can manually add the fellow to this route so s/he is notified, but this is not required.
- See Project Café Job Aid for more details about what personnel/information to include in the PD record : <http://cafe.northwestern.edu/secure/grants/502/ProgressReportAid.pdf>
- OSR will not be part of the route, so let them know via email of the upcoming deadline and status of the report.

6. Ensure Financial Conflict of Interest (FCOI) Compliance

- In the FASIS Self-Service Conflict of Interest module, choose Manage Compliance by Proposal and search by Institution Number of the award (not the progress report PD record).
- Use check boxes on the left to select investigators whose COI will be more than one year out of date by the progress report deadline. Fellows are more likely than faculty to be out of date.
- Select “Progress Reports – Update COI” from the drop-down menu and click “Send Email.”
- Check back periodically to monitor the status of disclosures.

7. Prepare and Route Progress Report in eRA Commons

- Log in and choose the “RPPR” option from the top menu bar.
- Navigate to the appropriate PI and then the appropriate award. Click the link under “Grant Number”.
- Choose the “RPPR” option and then “Initiate.” Click “Edit” to begin working on the report. Complete the items listed on the next page.
- For the sections listed as “Provided by PI,” your PI can enter this information directly or send it to you for entry and upload. Confirm with your PI which option he prefers.
- You can use the “Check for Errors” option from the “Manage RPPR” page to view outstanding items and errors.
- When complete, request that the PI route to your Grants Officer. Provide PI with your GO’s name since s/he will need to select it from a list.

Quick Reference Guide to Entering RPPR (Research Performance Progress Report) Data in eRA Commons
See http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf for Official Guidelines

A. Cover Page

A.2 Signing Official Information: MORRISON, KELLY

A.3 Administrative Information: MORRISON, KELLY

A.4 Recipient ID: (Optional) Enter institution number for PD progress report record.

B. Accomplishments: *Provided by PI*

C. Products: *Provided by PI*

C.1 Publications: Note that PIs cannot enter information about publications directly into the RPPR record. They must keep publications up to date and compliant with the Public Access policy via My NCBI. If their publications are not compliant, they will receive warnings upon RPPR submission and be required to ensure compliance prior to award issuance.

D. Participants

D.1 Individuals who have worked on the project: Use payroll and ERS data to complete. Follow instructions on the screen.

D.2 Personnel Updates: If applicable (significant reduction to key personnel effort, addition of new key personnel or Other Significant Contributors, changes to MPI Leadership Plan), request information from PI to complete.

D.2.c. Changes in Other Support: Usually applicable. Use updated OS documents to complete this section. Annotate, format, or add notes at the bottom of each person's OS to indicate changes.

E. Impact: *N/A or Provided by PI, except...*

E.4: What is being spent in foreign countries: Include subawards only (not foreign travel/vendors).

F. Changes: *Provided by PI*

G. Special Reporting Requirements: *Provided by PI, except...*

G.8 Project/Performance Sites: Delete any duplicate sites. The Primary Performance Site should be the PI's building/lab. OSR should not be listed as a performance sites. Be sure to include the Chicago campus, RIC, and any subaward locations if applicable.

G.9 Foreign Component: Complete in conjunction with PI if applicable.

G.10 Estimated Unobligated Balance: Complete G.10.a based on GM045 and projected spending rate. Request explanation from PI for G.10.b-c if needed.

G.11 Program Income: check with PI if program income is expected for the **next** budget period

G.12 F&A Costs: Complete if change in subaward location will change F&A costs.

H. Budget: If applicable, complete with PI input as needed.