Research Performance Progress Report: The Untold Story

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Pop Quiz: What is a RPPR?

A

Don’t fear the RPPR

B

NIH

What is a RPPR and what does it do?

The RPPR is used by grantees to submit progress reports to NIH on their grant awards.

Types of RPPRs:

- **Annual RPPR** – Use to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.
- **Final RPPR** – Use as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.
- **Interim RPPR** – Use when submitting a renewal (Type 2) application. If the Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. If the Type 2 is funded, the Interim RPPR will serve as the annual RPPR for the final year of the previous competitive segment. The data elements collected on the Interim RPPR are the same as for the Final RPPR, including project outcomes.

NIH RPPR Instruction Guide

Warnings and Errors

SPCS checks for Errors when opening the RPPR and will send an email to address the following:

- Errors:
  - Errors will prevent a RPPR from being submitted and will need to be corrected before submission to NIH.
- Warnings:
  - Warnings will not prevent a submission.
  - If you see a warning on a RPPR before you route it, please address the Warnings when you send the email with the 2590 to expedite the process.
  - Example: Human Subjects Table, has it been updated and does it need to be submitted in ASSIST?

Section A: Cover Page

- Signing Official:
  - Rachel Rice
- Administrative Official:
  - Paul Sandoval
- Route to Rachel Rice in Commons

- Suggestions:
  - Re-read last issued NOA for special reporting requirements or caveats to the funding.
  - Re-read FOA.
  - Check previous RPPR or funded application.
  - Check UA Research Award documents.
  - Ensure all attachments are formatted according to NIH preference:
    - 0.5” margins
    - Arial 11 pt font or equivalent

Cover Page: SPCS Review

- Do the titles match (RPPR vs UAR vs NOA)?
- Are the Admin and Signing officials correct?
- Are Human or Animal Subjects used and does this reflect what is listed in the UAR account/proposal?

Section B: Accomplishments

- B.1: Goals
  - If in Year 1 of project: pull Aims from funded application.
- B.3: Supplements
  - Check most recent NOA in eRA Commons to confirm.
  - Must complete all fields to save.
- B.4: Training
  - Required if listing any students in section D.1.

6.3 Section C – Products: Publications

- C.1 Publications:
  - Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph, preprint) during the reporting period resulting directly from the award?
  - Are the listed publications compliant?

Section C: Products

- C.1: Publications
  - Before a publication will appear as an option:
    - Publication must be added to PI's MyNCBI bibliography.
    - PI's MyNCBI bibliography must be linked to their eRA Commons account.
  - If a publication is non-compliant with the NIH Public Access Policy, eRA Commons will display a warning.
    - It can take up to eight weeks to correct a compliance issue.
    - Ahlam Saleh, Associate Librarian at the AHS Library, can assist.
      - saleh1@email.arizona.edu // 520-626-5450

Section D.1: Participants Table

- Common Oversights
  - All individuals who have worked on the grant **regardless of funding source** must be added.
  - Effort should be rounded to whole person months.
  - Commons IDs are required for all students.

- Common Errors
  - “Is the individual's primary affiliation with a foreign organization?”

Section D: Participants: SPCS Review

- Analytics Dashboard:
  - RPPR 2.0 analytics report: Dashboards>Research>Awards>RPPR 2.0
  - Special considerations for updated personnel changes are taken into consideration.
- Are the efforts listed feasible in the reporting period? If not, request verification from the department.

Section D.2 – D.2.e

- Common Oversights
  - Change in Effort only needs to be reported if decreasing by 25%.
- Common Errors
  - Changes in Active Other Support: does NOT include pending.

Section F: Changes

- F.2: Actual or anticipated challenges or delays and actions or plans to resolve them.
  - Should be reserved for significant challenges that affect the accomplishment of the project's Aims.

Section G: Special Reporting Requirements

- G.1: Special NOA Terms and FOA Reporting Requirements
  - Re-check the NOA and FOA.
  - If sponsored by NCI with diversity supplement, CareerTrac report is uploaded here as a PDF.
- G.4: Human Subjects
  - Enrollment Tables are now housed in ASSIST; no changes other than to the enrollment numbers are needed unless they reflect a coming change to the application.
- G.8: Project/Performance Sites
  - Feel free to remove duplicates.
- G.9: Foreign Component

G.10. Estimated Unobligated Balance

- Estimated UOB worksheet
  - https://rgw.arizona.edu/administration/home/forms-and-templates#PreAward
- Note different tabs for Year 1 and Years 2+.
- Actual Expenses to date for current budget period.
- Estimate Valid Encumbrances and Anticipated Expenses – Expected to liquidate before end of budget period!

CALCULATION:

- Numerator: Amount Available for Carryover
- Denominator: Current Year's Total Approved Budget
  - Current Year Award plus Approved Carryover
- 25% or more: Answer questions G.10.b. and G.10.c. (next slide)
- Err on conservative side (24% or more) due to GMS review of Payment Management System.

G.10.b Explanation for UOB

- Explain why we were not able to spend down the Current Year's Total Approved Budget
- Examples:
  - Year 1 awarded full budget, but budget period was less than 12 months.
  - Delay in hiring staff hindered scientific progress, so expenses were less than expected.
  - Departure of staff
  - Approved equipment not purchased when expected due to vendor delays

G.10.c Description of How Remaining Funds will be Spent

- NOA awards Automatic Carryover
  - Provide general explanation for how UOB will be spent next year.
- Next Steps:
  - Usually, no annual financial report
  - No required prior approval request for carryover

- NOA requires Approval for Carryover:
  - Provide general explanation for how UOB will be spent next year.
- Next Steps:
  - SPCS will submit annual financial report 90 days after end of budget period.
  - A formal request to NIH via SPCS and eRA Commons must be submitted for carryover approval.

Section H: Budget

- Budget only required if non-SNAP.
  - These are always due on the 1st of the month.

Training Grants and xTRACT

- https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-108.html
  - Beginning with RPPRs due on or after October 1, 2019 (FY 2020), recipients must create the required training data tables for submission with NIH and AHRQ T15, T32, T90/R90, and TL1 progress reports via the xTRACT system.
  - System validations in the RPPR module will check to ensure that uploaded PDFs of the data tables were created via xTRACT, and users will not be able to submit RPPRs that are not in compliance.
  - Guidance on preparing the required tables for the RPPR are available in the xTRACT User Guide and on the Data Tables website.

Interim / Final RPPR

Cover Sheet:

- Administrative Official: Paul Sandoval
- Signing Official: Postaward Team Manager (Ashley, Yohana, Meg or Jeni)

SPCS Review:

- Human Subjects data for submission in ASSIST
- Participants (RPPR 2.0 dashboard)
- Foreign Involvement (RPPR 2.0 dashboard)
- Invention (Final Invention Statement and TLA)

RPPR Resources

- NIH RPPR Guide:
  - https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf
- NIH RPPR FAQs:
  - https://grants.nih.gov/grants/rppr/faqs.htm

Research Gateway Resources

- Proposal Supplement (2590):
  - https://rgw.arizona.edu/sites/default/files/rpprsupplement2590.pdf
- Unobligated Balance Spreadsheet:
  - Preaward: RPPR Estimated Unobligated Balance Worksheet

https://rgw.arizona.edu/administration/home/forms-and-templates

- Reporting:
  - https://rgw.arizona.edu/administration/managing-projects/reporting
- Analytics RPPR 2.0 Dashboard:
  - Dashboards>Research>Awards>RPPR 2.0