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# **Understanding the Basics of the NIGMS Research Performance Progress Report (RPPR)**

# Disclaimer

- This webinar and accompanying slides are for informational purposes only. They serve as an overview and are not meant to be comprehensive in coverage of all required components of a Research Performance Progress Report (RPPR).
- For purposes of this webinar, we will be discussing the annual RPPR and not the interim or final RPPR.
- This webinar will cover the basics and will not delve into specifics of individual awards or grant mechanisms.
- For any submission, applicants/recipients are responsible for following the instructions detailed in the [RPPR Instruction Guide](#), the Notice of Award, the applicable Notice of Funding Opportunity, and any related notices.

# Webinar Information

- The webinar video and slides will be available on the NIGMS website.
- There is an accompanying, optional, RPPR pre-submission reminders tip sheet also available on the NIGMS website.
- If not addressed as part of this presentation, we will be answering questions submitted in advance at the end of the webinar.

# Objectives

- Provide up to date information about Research Performance Progress Report (RPPR) requirements.
- Demonstrate how to effectively complete RPPRs, adhere to reporting deadlines, and ensure accurate documentation of project progress.
- Answer questions.

# When is the RPPR due?

- The first place to look is on the Notice of Award.
- Progress reports are required **annually** to document recipient accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.
- Streamlined Non-Competing Award Process (SNAP) RPPRs are generally due the 15<sup>th</sup> of the month preceding the month in which the budget period ends (approximately 45 days before the next budget period start date.)
- Non-SNAP RPPRs are generally due approximately 60 days before the next budget period start date.
- Multi-year funded (MYF) progress reports are due annually on or before the anniversary of the budget/project period start date of the award.

# How do I know if an award is SNAP or Non-SNAP?

See section [8.4.1.2 Streamlined Non-Competing Award Process](#) in the Grants Policy Statement

## SNAP

- Most R & K awards are under the NIH Standard Terms of Award
- NOA *may* only have total direct and F&A costs (no categorical breakdown)
- RPPR due 45 days prior to budget period start date or on the date specified on the NoA
- RPPR does not include budget information
- Automatic carryover authority
- FFR submitted only at the end of the competitive segment

## Non-SNAP

- Most Ps, Us, Ts, clinical trials, Fs, and any other award that requires close monitoring.
- Categorical budget appears on the NOA
- RPPR due 60 days prior to budget period start date or on the date specified on the NoA
- RPPR requires a detailed budget
- Prior approval usually required for carryover
- FFR submitted annually

# Review the Notice of Award

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## SECTION III – STANDARD TERMS AND CONDITIONS

### SNAP

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

### NON-SNAP

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

# Getting Started

## eRA Commons Roles & Responsibilities

### User Roles (nih.gov)

RPPR Type	How to Access RPPR Link	When Does the Link Appear?	When is the RPPR Due?	Who Can Initiate	Who Can Edit	Who Routes to the SO	Who Submits
Annual	Status Search Results Screen or RPPR tab	1 day after the project segment end date	<p><b>SNAP Awards</b> due within 45 days of the next budget period start date</p> <p><b>Non-SNAP</b> due within 60 days of the next budget period start date</p>	Principal Investigator Or User within Institution with the ASST Role*	Signing Official Or Principal Investigator Or User within Institution with the ASST Role*	Principal Investigator	Signing Official Or Principal Investigator if assigned the Submit Delegation
Interim	Status Search Results Screen	Once the grant becomes eligible for submission of a Type 2 application, and the grant is not in Closeout	120 days from period of performance end date for the competitive segment	Signing Official or Principal Investigator	Signing Official Or Principal Investigator Or User within Institution with the ASST Role*	Principal Investigator	Signing Official Or Principal Investigator if assigned the Submit Delegation
Final	Closeout Status Screen	Once the grant becomes eligible for closeout	120 days from period of project end date	Signing Official or Principal Investigator	Signing Official Or Principal Investigator Or User within Institution with the ASST Role*	Principal Investigator	Signing Official Or Principal Investigator if assigned the Submit Delegation

\*NOTE: User with the ASST role must also have the RPPR delegation.

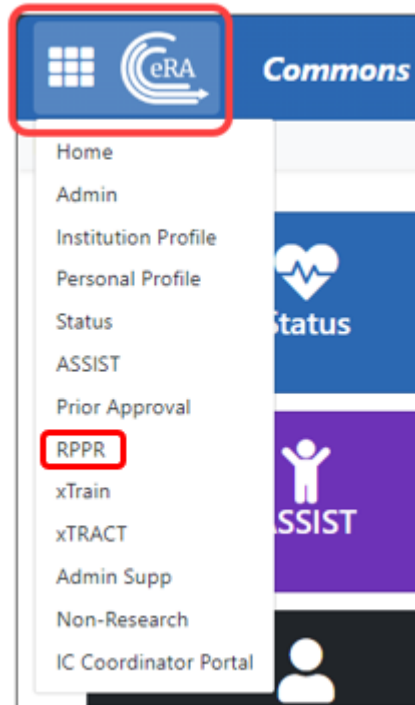


# How to Search for the RPPR due date in the eRA Commons

- E-mail notifications are sent to the PD/PI prior to the due date. Note that these communications go only to the PD/PI and not the AOR.
- PI's and a person with the Signing Official (SO) role can find annual awards with progress reports due by navigating to the RPPR module and using this eRA Commons search.

# How to Search for the RPPR due date in eRA Commons (SOs only)

1. Go to the RPPR module



2. Select Not Started from the Status drop down

The image shows the 'Manage RPPR' search form. The 'Status' dropdown menu is highlighted with a red box and set to 'Not started'. Other fields include Award Number, GS Number, PD/PI Last Name, Current Reviewer Last Name, and Awarding Office/IC. A 'Search' button is visible at the bottom right.

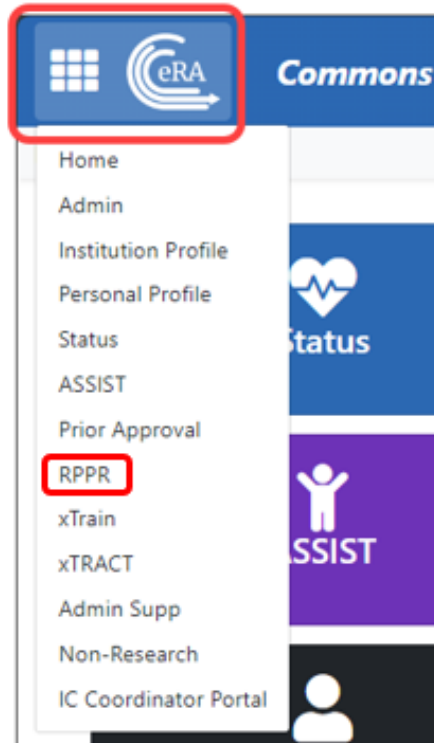
3. Click search, and results will appear in a table

The image shows the 'Applications/Awards' search results table. The 'Due Date' column is highlighted with a red box. The table contains 590 results, with the first three rows shown. Each row includes an Award Number, PD/PI Name, Project Title, Due Date, Status, and Current Reviewer.

Award Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
5P01AI168258-03 MPI	Paden, Morsen	Community Health	02/01/2028	Not Started	
5R01GM155732-02	Rosael, Miche	Health Explorations	07/01/2025	Not Started	
5R01GM151520-02 MPI	Pargars, Van	Science Training	07/01/2025	Not Started	

# How to Search for the RPPR due date in eRA Commons (PIs and delegates)

1. Go to the RPPR module



2. Select a specific award by clicking its link in the Award Number column on the Manage RPPR screen

## Manage RPPR ?

\* indicates GS Number.

### Applications/Awards i

Filter Table

4 Results



Award Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
5R01CA100000-05	BROWN, JAN	Glioblastoma	12/15/2021 <span>⚠</span>	PD/PI Work in Progress	BROWN, JAN


# How to submit a RPPR

RPPR Menu 

RPPR

Award Number	Program Director(PD)/Principal Investigator(PI)	Due Date	Current Reviewer	Status
5R01CA200000-05	BROWN, JAN	12/15/2021		Not Started
<b>Institution</b> UNIVERSITY OF CALIFORNIA		<b>Project Title</b> Glioblastoma		

 Cancel



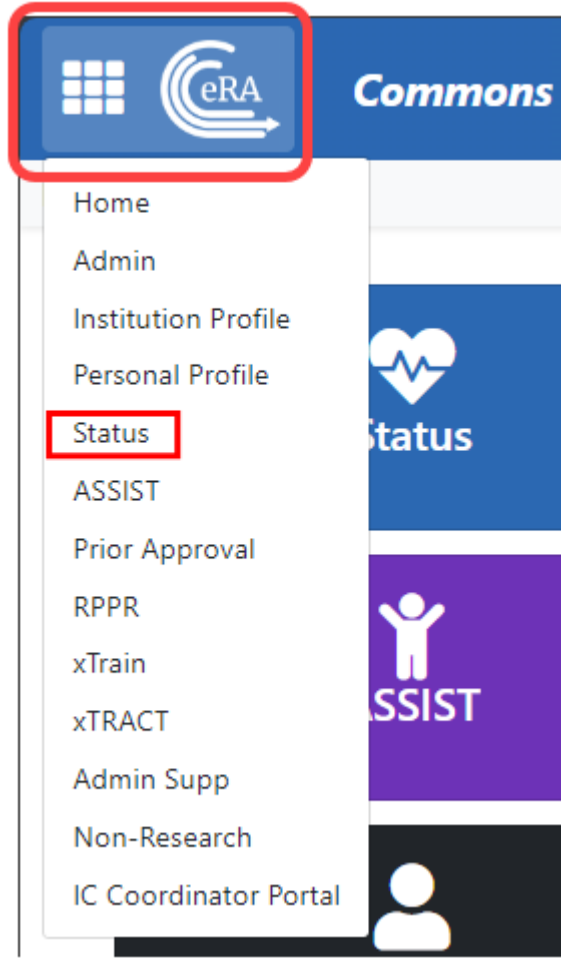
Award Number	Program Director(PD)/Principal Investigator(PI)	Due Date	Current Reviewer	Status
5T32GM000000-44	DOE, ANN (Contact); Loe, Jane	11/15/2021	DOE, ANN	PD/PI Work in Progress
<b>Institution</b> UNIVERSITY OF CA		<b>Project Title</b> Graduate Training in Pharmacology		

-  Edit RPPR
-  Check for Errors
-  View RPPR as PDF
-  View Routing History
-  Route to Next Reviewer

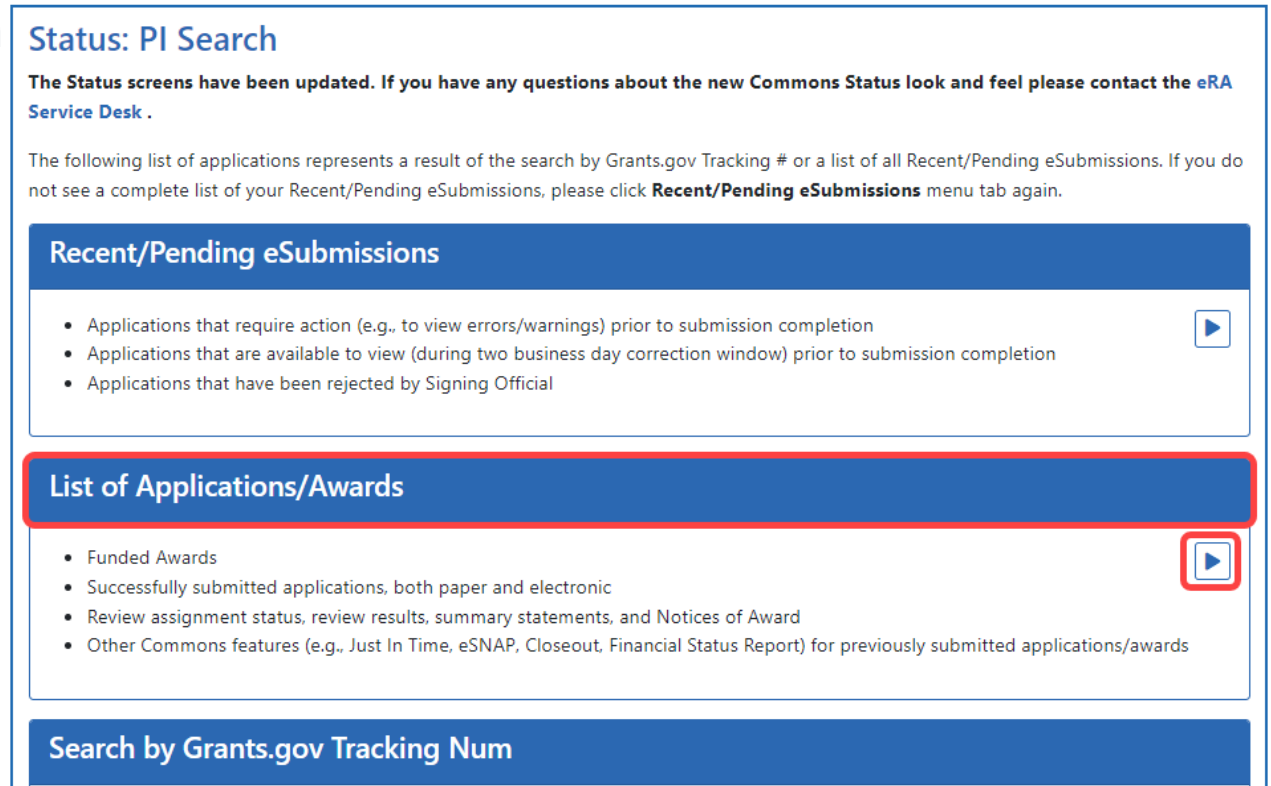
 Cancel

# How to submit a RPPR

1. Go to the status module



2. Click the List of Applications/Awards heading or arrow on the Status screen



# How to submit a RPPR

4. Click the **RPPR** link from the **Available Actions** column for the specific grant

## Status Result - List of Applications/Awards ? 47

P30AG010101 <span>16</span> 07/01/1997 - 06/30/2025 (Project Period) DOW, HATFI (PD/PI) Center on Aging (Title) <span>Pending</span>							
Application/Award ID	Grants.gov Tracking#	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Available Actions
5P30AG010101-30		Center on Aging	DOW, HATFI (PI)		Pending	06/26/2023	<a href="#">RPPR</a> <a href="#">Human Subjects</a>

## RPPR Menu ?

### RPPR

<b>Award Number</b> 5R01CA200000-05	<b>Program Director(PD)/Principal Investigator(PI)</b> BROWN, JAN	<b>Due Date</b> 12/15/2021	<b>Current Reviewer</b>	<b>Status</b> Not Started
<b>Institution</b> UNIVERSITY OF CALIFORNIA	<b>Project Title</b> Glioblastoma			

[← Cancel](#)

[Initiate](#)

5. Click **Initiate**

# How to submit a RPPR

RPPR Menu ?

RPPR

Award Number	Program Director(PD)/Principal Investigator(PI)	Due Date	Current Reviewer	Status
5R01CA200000-05	BROWN, JAN	12/15/2021	Baum, Ann	Reviewer Work in Progress

Institution: UNIVERSITY OF CALIFORNIA

Project Title: Glioblastoma

- Edit RPPR
- Check for Errors
- View RPPR as PDF
- View Routing History
- Route to Next Reviewer
- Submit

Cancel

## Route RPPR to Next Reviewer ?

X

Next Reviewer:

BAUM, ANN [SO]

Comments:

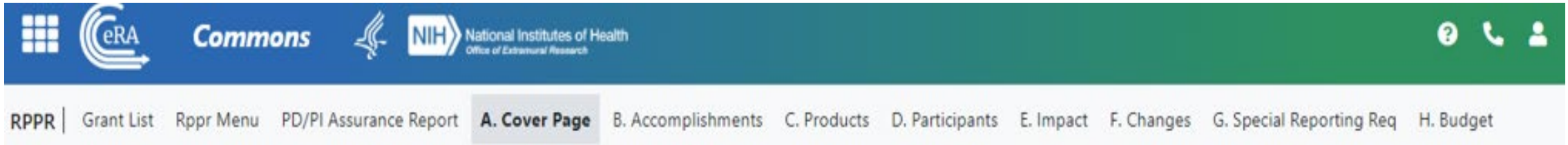
Ready for Review

- 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.

Close

Route to Next Reviewer

# RPPR Sections



- A. Cover Page
- B. Accomplishments
- C. Products
- D. Participants
- E. Impact
- F. Changes
- G. Special Reporting Requirements
- H. Budget (Applicable only to Non-SNAP awards.)
- I. Outcomes (only used for interim & final RPPRs)



# RPPR Instruction Guide


## NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide

- It is **highly** recommended to have this guide on hand and opened for easy reference while completing the RPPR.
- Note that there are supplemental instructions, specific to a variety of grant types and mechanisms. We will address some of these in the webinar, but not all of them, so please review this section.
- Also review the NOFO and the NoA before preparing the RPPR.

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# Section A- Cover Page

## A. Cover Page

 Remember to save all your changes before leaving the page. Expand/Collapse All

▼ Award Information

Award Number  
[REDACTED]

Project Title  
[REDACTED]

▼ A.1 Program Director/Principal Investigator (PD/PI) Information

Name  
[REDACTED]

E-mail  
[REDACTED]

Phone:  
[REDACTED]

Is there a change of contact PD/PI on a multiple-PI award?  
 N/A  Yes  No

[REDACTED]

▼ A.2 Signing Official Information

Name  
[REDACTED]

E-mail  
[REDACTED]

Phone  
[REDACTED]

▼ A.3 Administrative Official Information

Name  
[REDACTED]

E-mail  
[REDACTED]

Phone  
[REDACTED]


▼ A.4 Recipient Organization Information

Organization Name  
[REDACTED]

Address  
[REDACTED]

UEI  
[REDACTED]


EIN  
[REDACTED]

Recipient ID   
[REDACTED]


▼ Project/Grant Period

Start Date	End Date
05/01/2020	04/30/2025



▼ Reporting Period

Start Date	End Date
05/01/2023	04/30/2024 

▼ Requested Budget Period

Start Date	End Date
05/01/2024	04/30/2025 

Report Frequency: Annual      Other Frequency: [REDACTED]

 Cancel  Save

- Includes
  - PD/PI Information
  - Award Information
  - Signing and Administrative Official Information
  - Reporting Period
  - Requested Budget Period

# Reporting Period

- The **first RPPR** should cover the period from the “Project Period Start Date” listed on the 1<sup>st</sup> page of the Notice of Award (NoA) through the RPPR submission date.

## Example Project Period Start Date from a NoA:

26. **Project Period Start Date** 08/01/2024 – End Date 06/03/2028

- Subsequent progress reports should report on activities from the date of the previously submitted progress report.

# Section B- Accomplishments

## B. Accomplishments ?

Remember to save all your changes before leaving the page.

Expand/Collapse All

### ▼ B.1 What are the major goals of the project?

List the major goals of the project as stated in the approved application or as approved by the agency. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion.

Generally, the goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the agency approved application or plan.

"Goals" are equivalent to "specific aims." Significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2).

List the major goals below

**RPPR sections B.1- B.6 Accomplishments** - allows the agency to determine if satisfactory progress has been made during the reporting period.

- What were the major goals and objectives of the project?
- What was accomplished under these goals?
- What opportunities for training and professional development did the project provide?
- How were the results disseminated to communities of interest?
- What do you plan to do during the next reporting period to accomplish the goals and objectives?

# Section B Reminders

## B.1.a

- Generally, the answer to B.1.a “Have the major goals changed” is “no.” If you think the answer is “yes” in your situation, please [contact the Program Official](#) prior to submission of the RPPR.

## B.3

- If you received a supplement (equipment, diversity, etc.) during the reporting period, a detailed reply to section B.3 is expected and required unless otherwise noted on the Notice of Award.
- To determine if an award is a supplement, look for the number “3” as the first digit in the grant number. For example, 3R35GM12345-06.

# Section B Reminders Cont.

## B.4

- If graduate and/or postdoctoral students will be listed in **section D.1**. Per the Grants Policy Statement, annual progress reports must include a report (in section B.4) describing how Individual Development Plans (IDPs) are being used for the graduate students and postdoctoral fellows that are associated with the award.
  - **We do not want to receive actual IDPs.** We only want a short description of whether and how IDPs are used to support the career development of your award's graduate and/or postdoctoral students that are listed in D.1.
- Training awards require a paragraph summarizing the training and progress for each trainee appointed to the award during the reporting period. The appropriate table(s) (8A, 8D etc.) are also required. A separate RPPR for Training Awards webinar is planned. Stay tuned.

# Section C- Products

## C. Products ?

🔔 Remember to save all your changes before leaving the page.

Expand/Collapse All

### ▼ C.1 Publications

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph, or preprint) during the reporting period resulting directly from this award?  Yes  No

**RPPR sections C.1- C.5 Products** - allows agencies to evaluate and report on both publications and other products to Congress, stakeholders, and the public.

- This includes publications, websites, technologies, inventions, and other products.

# Section C- Products

## Publications

**Note:** Citations marked with a gold lock icon are associated with funding via NIHMS and cannot be removed from this RPPR. If your award did not support this paper, contact the [NIHMS help desk](#). Additional information and instructions are also available at the FAQ found here: ["This award did not support this research."](#)

If yes, select from the table below to affiliate publications with this progress report.  
If you need to login to My NCBI account please use this link: [My NCBI](#)

Filter Table  0 Results < v >

<b>Associate with this RPPR</b> <input type="checkbox"/>		<b>Public Access Compliance</b> ^	<b>Citation</b>
<input checked="" type="checkbox"/>	Complete		Doe Jane S. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. . 2018 October;50:48-57. PubMed PMID: 299123456; PubMed Central PMCID: PMC1234567; DOI: 10.1016/j.cellsig.2018.06.012.
<input checked="" type="checkbox"/>	Complete		Roe John S. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Bat enim ad minim veniam, quis. 2018 October;50:48-57. PubMed PMID: 299123456; PubMed Central PMCID: PMC1234567; DOI: 10.1016/j.cellsig.2018.06.012.

Table 1. All Publications Associated with this Project in My NCBI

Table 2. Publications Not Associated with this Project in My NCBI

Table 3. Publications Previously Reported for this Project



# Section C - Reminders

## Section C.1

- **Only include publications for the reporting period**, not for the entire lifetime of the award.
- **Report only publications resulting directly from the award.**
- Publications accepted or made public during the reporting period, that are mentioned in the written narrative in the RPPR, must also be reported here.
- For Training Awards, include publications describing work performed by trainees while they were supported by the award.

## Section C.5.c

- Beginning October 1<sup>st</sup>, there are new DMS questions in the RPPR for recipients who are subject to the DMS policy.

# Section D- Participants

## D. Participants ?

- Remember to save all your changes before leaving the page.
- Remember all files must be flattened PDF files for successful submission. This ensures that PDFs cannot be edited following submission. [Instructions for flattening PDFs](#)

### The following applies to all NIH/AHRQ Awards EXCEPT FELLOWSHIPS:

- For NIH/AHRQ awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles. Commons IDs can be created by going to the eRA Commons Home Page and Creating an Account or by contacting the signing official of their organization.
- Individuals with these roles on a project are required to complete their Commons Personal Profile.
- Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree. Degrees can be entered under the individual's Personal Profile found after they log into Commons.

Expand/Collapse All

### ▼ D.1 What individuals have worked on the project?

Provide or update the following information for:

- program director(s)/principal investigator(s) (PDs/Pis); and
- each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort).

Provide the name and identify the role the person played in the project. Round to the nearest one-tenth (i.e., one decimal place) of a person month that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student.

[Instructions](#)

- An individual's Commons user ID may be used to partially populate his or her information.
- A Commons ID is required for all individuals with a postdoctoral role and/or supported by a Reentry or Diversity Supplement
- Individuals with a postdoctoral-like role should be identified as "Postdoctoral (scholar, fellow, or other postdoctoral position)."
- Do not include Other Significant Contributors who are not committing any specified measurable effort to this project.
- Do not report personnel for whom a PHS 2271 Appointment form has been submitted through xTRAIN.
- Required fields are marked with an \*.

+ Add Participant

Filter Table 3 Results

Name	Commons ID	Sr/Key	Degree(s)	Role	Person Months			Foreign Affiliation		SS
					Calendar	Academic	Summer	Org	Country	
Goel, Mayank	MAYANKGOEL	Y		PD/PI	0	0	0			Not Applicable
Kennedy, Traci M.	TRACIMK	N	BA, MS, PHD	PD/PI	0	0	0			Not Applicable
Shaban, Sami	SHAABAN	Y	BS, MBA	PD/PI	0	0	0			Not Applicable

Instructions vary between research, training, and complex awards. Check the RPPR Instruction Guide.

## RPPR sections D.1- D.2e Participants

Highlights who has worked on the project and planned changes for the upcoming year.

- Report planned changes in effort, new senior/key personnel, and updates to active Other Support.
- Provide the level of actual effort in person months for the current budget period and indicate the proposed level effort for each remaining budget period.
- If there have been changes in active support for the PD/PI or other senior/key personnel since the last RPPR, updated Other Support must be uploaded.
  - Use the updated Other Support Format Page and Instructions.
  - Must include an [electronic signature](#).
  - Supporting documentation must be provided for any new foreign resources

# Section D Reminders

## Section D.1. What individuals worked on the project?

- Anyone who worked on the project for one month or more per year during the reporting period, regardless of funding source, must be included here.
- Except for PD/PIs and people named key on the Notice of Award, people who had less than one calendar month of effort **should not** be included here.
- Anyone with a “Postdoctoral,” “Undergraduate,” or “Graduate” role is [required to have a Commons ID](#).
- If anyone listed in section D.1 is a graduate or postdoctoral student, see the Section B Reminders, specifically slide #19 regarding section B.4.
- Anyone for whom a Statement of Appointment was or should be submitted in xTrain (e.g. T32s, R25s, K12s) **should not** be included here.

# More Section D Reminders

- **Point of Clarification**
  - Section D.1 is for reporting actual effort during the reporting period.
  - Section D.2 is for reporting *anticipated* changes during the *next* reporting period.
- **Effort** – Take the time to review the effort reported. A reduction in effort of 25% or more from the originally committed (during the competing application) amount requires [prior approval](#).
- **Other Support** – Be sure and use the format detailed in this [Guide Notice](#) and described on the [NIH website](#).
  - Review the Other Support prior to submission to be sure that the total effort does not exceed 12 calendar months and that all sections of the Other Support format are completed.
  - Recipients should pay special attention to the instructions regarding foreign sources of support whether direct or in-kind.

# Section E- Impact

## E. Impact ?

Remember to save all your changes before leaving the page.

Expand/Collapse All

E.1 Not Applicable

▼ E.2 What is the impact on physical, institutional, or information resources that form infrastructure?

Describe ways, if any, in which the project made an impact or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including:

- physical resources (such as facilities, laboratories, or instruments);
- institutional resources (such as establishment or sustenance of societies or organizations); or
- information resources, electronic means for accessing such resources or for scientific communication, or the like.

☑ If the award or award component(s) is not intended to support physical, institutional, or information resources that form infrastructure, select "Nothing to Report".

**Nothing to Report**

**or describe impact on physical, institutional, or information resources below**

8000 characters remaining

E.3 Not Applicable

▼ E.4 What dollar amount of the award's budget is being spent in foreign country(ies)?

For domestic awardees provide the dollar amount obligated to first-tier subawards to foreign entities for this reporting period. For foreign awardees provide the dollar amount of the award, excluding all first-tier subawards to U.S. entities, for this reporting period. Dollars provided should reflect total costs. If more than one foreign country, identify the distribution between the foreign countries. ☑

**Nothing to Report** (zero dollars)

+ Add Amount

← Cancel

Save

- RPPR sections E.1- E.4 Impacts - Outlines how the project's work, findings, and specific products have had an impact during this reporting period.
- Report on dollar amounts spent in foreign country(ies).
- Addition of a new foreign component requires NIH prior approval.

# Section F- Changes

## F. Changes ?

Remember to save all your changes before leaving the page.

Expand/Collapse All

F.1 Not Applicable

✓ F.2 Actual or anticipated challenges or delays and actions or plans to resolve them

Describe challenges or delays encountered during the reporting period and actions or plans to resolve them.

☞ Describe only significant challenges that may impede the research (e.g., accrual of patients, hiring of personnel, need for resources or research tools) and emphasize their resolution.

- **RPPR sections F.1- F.3.d Changes** - Outlines challenges or delays and the strategies for addressing them
- Note changes to Human Subjects, Vertebrate Animals, Biohazards and/or Select Agents.
  - Reminder – changes in scope require NIH [prior approval](#)

# Section G- Special Reporting Requirements

## G. Special Reporting Requirements ?

Expand/Collapse All

### ▼ G.1 Special Notice of Award Terms and Notice of Funding Opportunity Reporting Requirements

Address any special reporting requirements specified in the award terms and conditions in the **Notice of Award (NoA)** or Notices of Funding Opportunities (NOFOs).

Nothing to Report

Please upload supporting document:

📁 Drop files here to upload, or [browse](#).

Max File Count: 100 Accepted File Types: PDF Max File Size: 6MB

📄 SBIR-STTR Disclosures of Foreign Affiliations- Final 6-13-2023 (1).pdf



**RPPR sections G.1- G.13 Special Reporting Requirements** - address any special reporting requirements from the Notice of Award. Such as:

- Human Subjects and Clinical Trials information must be updated in the Human Subjects System
- Report on foreign components
- Provide information on estimated unobligated balance and program income
- Report on [NRSA childcare costs](#)

# Section G Reminders

## NRSA Childcare Costs & Other Suggested Tables

### G.1 NRSA Childcare Costs

- For Ruth L. Kirschstein National Research Service Award (NRSA) Institutional Training Awards an attachment must be provided that specifies the number of trainees who used childcare costs in the reporting period.

### G.1 Other Suggested Tables

- Several grant programs and mechanisms have suggested RPPR tables including:
  - COBRE
  - INBRE
  - IDeA Centers
- These tables are intended to help you with filling out information relevant to progress on certain programs.
- If you are unsure if there are suggested tables for your award or have questions about how to complete a suggested table, contact your Program Official.



# Section G Reminders

## Human Subjects

### G.4 Human Subjects

- No funds may be drawn down and no obligations may be made for research involving human subjects at any site engaged in such research for any period not covered by an [OHRP Assurance and an IRB approval](#).
- An [Inclusion Enrollment Report](#) is required for **each** human subjects study unless the study falls under exemption 4, and only exemption 4.
- Do not combine enrollment for multiple studies/trials into one record.
- Planned enrollment tables are required unless the proposed study will only use an existing dataset or resource.
- Cumulative enrollment tables are required.

# Section G Reminders

## Clinical Trials

### G.4 Clinical Trials

- [Registration in clinicaltrials.gov is required](#). When registering a clinical trial in clinicaltrials.gov take care to match the inclusion enrollment [HSS](#) record **exactly**. [Results reporting in clinicaltrials.gov is also required](#).
- Before using the “populate” button in [ASSIST](#) to pull data from clinicaltrials.gov into HSS, make sure that clinicaltrials.gov is up to date because it will overwrite HSS enrollment data with clinicaltrials.gov data.
- For NIH-funded or supported clinical trials, [informed consent](#) documents must be posted on a public federal website after recruitment closes and no later than 60 days after the last study visit.
- Communicate all major changes in protocol status (e.g., change in IRB status, changes in FDA approvals, changes enrollment date of 1<sup>st</sup> patient or terminal patient, and unexpected adverse events with the contact on your Notice of Award.)

# Section G Reminders

## Performance Sites

### G.8 Project Performance Sites

- Generally, the primary performance site should be that of the recipient institution.
- Be sure and include all additional performance site locations here.
- If a performance site is mentioned elsewhere in the text of the progress report, it should also be listed here.
- If any grant funds are going to a site, it should be included here.

# Section G Reminders

## Unobligated Balance

### G.10 Estimated Unobligated Balance

- In accordance with [Section 8.1.1.1 of the NIH Grants Policy Statement](#), recipients of NIH grant awards are required to report, as part of the grant's progress report, whether the estimated unobligated balance (*including prior-year carryover*) is expected to be greater than 25 percent of the current year's total approved budget.
- The “total approved budget” includes the amount awarded for the current year and any carryover from the previous budget period. If the unobligated balance is greater than 25 percent of the total approved budget, the recipient must provide an explanation and a plan for expenditure of those funds in the next budget period.

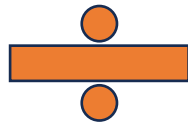
# Section G Reminders

## Unobligated Balance Formula

### G.10.a Calculating Estimated Unobligated balance

---

Total Estimated End of Year Balance (Including Carryover)



Total Award Amount for the (Current) Year



**% Unobligated Balance**

# Section G Reminders

## Unobligated Balance Example

- “Year” in the 1<sup>st</sup> part of the formula refers to the “Budget Period.”
  - It does **not** refer to the calendar year or an organization’s fiscal year.
- Review the 1<sup>st</sup> page of the Notice of Award (NoA) to find the “year” and “total award amount” to use in the formula.
- “Total Award Amount” refers to “Total Amount of Federal Funds Obligated this budget period.”

### Example “Year” from a Notice of Award:

#### Summary Federal Award Financial Information

19 Budget Period Start Date 09/01/2024 – End Date 08/31/2025

- The “year” in this example is 9/01/2024 – 8/31/2025.
- The “end of year” is 8/31/2025.

### Example “Total Award Amount” from a Notice of Award:

23. Total Amount of Federal Funds Obligated this budget period \$306,060

- The “Total Award Amount” in this example is \$306,060.

# Section G Reminders

## NIH Grants Policy Statement

In accordance with [Section 8.1.1.1 of the NIH Grants Policy Statement](#), NIGMS staff reserve the right to make budgetary reductions to award commitments in cases where recipients have accrued excessively large unobligated balances.

# Section G Reminders

## Carryover

### G.10.c

- Carryover = unobligated federal funds remaining at the end of any budget period that are carried over into the next budget period to cover allowable costs of that budget period.
- For awards with automatic carryover authority as indicated on the Notice of Award, these funds may be automatically carried forward to another budget period to cover allowable costs of that budget period.
- **Unless automatic carryover authority is indicated on the Notice of Award, a response to G.10.c is insufficient to request carryover. A formal prior approval request is required. See:**
  - NIH Grants Policy Statement Section [8.1.2.4 Carryover of Unobligated Balances](#)
  - Complete instructions in Section 12.22.1 Initiate Carryover Request in the [eRA Commons User Guide](#).
- Obligated, but unliquidated, funds are generally not considered carryover. [They are considered unliquidated obligations](#). Check your institution's policies.



# Section H- Budget

## H. Budget ?

Remember to save all your changes before leaving the page.

Expand/Collapse All

### ▼ H1. Budget Form

To complete the detailed budget for this award, follow the instructions in the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.7 Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudgeting greater than 25 percent of the total award amount for this budget period).

Filter Table 1 Results   < 1 of 1 >

Budget Type ^	Funds Requested(\$)
SF 424 Research and Related Budget	\$0.00

### ▼ H2. Subaward Budget Form

For awards with subaward/consortium budgets, the grantee may select up to 30 subaward budgets. To complete a detailed budget for a subaward/consortium, follow the SF424 (R&R) Application Guide for NIH and Other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium.

Please select a budget type

Maximum of 30 Subawards

Filter Table 1 Results   < 1 of 1 >

Budget Type ^	Subaward	Organization	Funds Requested(\$)
SF 424 Research and Related Subaward Budget	1		\$0.00

**RPPR sections H.1- H.2 Budget & Subaward Budget Form are required for Non-SNAP awards Only**

# Section H Reminders

- Most Awards use the [SF-424 Budget](#) form and follow the instructions in the [Application Guide](#)
- For training awards, most awards use the [PHS 398 Training Budget](#). Recipients should select the applicable RPPR budget type (e.g., SF424 (R&R) or PHS 398 Training Budget) from the drop-down menu.
  - For a small number of NIH training programs, the recipient is required to submit both the [SF424 \(R&R\)](#) and [PHS 398 Training Budget](#); the RPPR will accommodate this.

# Section I- Outcomes

## I. Outcomes ?

### Tips & Notes:

For NIH Section I, Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project

outcomes: [https://grants.nih.gov/grants/rppr/sample\\_project\\_outcomes\\_RPPR.htm](https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm)

**Alert:** Please save all changes before leaving the page.

Expand/Collapse All

### I.1 What were the outcomes of the award?

Outcomes of Award

8000 characters remaining.

Cancel Save

**This section is only applicable only to interim and Final RPPRs.**

A separate webinar about Interim and Final RPPRs is planned. Stay tuned.

# General Reminders

- All uploaded PDFs should be flattened. It may cause an error if not flattened. For more information on flattening PDFs, see the FAQ titled, ["When submitting PDFs to eRA Commons, particularly for RPPRs and Just-in-Time, I am getting an error telling me to ensure all files are flattened PDFs. What does flattening a PDF mean and how do you do it?"](#) and [Creating Flattened PDFs for Submission in eRA Commons \(nih.gov\)](#).
- Changes **cannot** be made to the RPPR after it has been submitted. However, any updates can be sent to the [Grants Management Specialist listed on the Notice of Award](#). All official communications must be submitted to NIH by an [Authorized Organization Representative](#) (SO Role in eRA Commons) not the PD/PI.

# General Reminders Cont.

- Double check the most recent Notice of Award (sections III & IV in particular) to be sure all requisite items are included in the RPPR submission.

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## SECTION IV – GM SPECIFIC AWARD CONDITIONS

- Double check the applicable Notice of Funding Opportunity (section VI, subsection 4 in particular).

### Section VI. Award Administration Information

#### 4. Reporting

- Also check the [RPPR Instruction Guide](#) and any related notices.

# Resources For Resolving Common Errors, Bars, Warnings

- [HSS warnings and errors quick guide for PIs and SOs \(nih.gov\)](#)
- [My Bibliography - My NCBI Help - NCBI Bookshelf \(nih.gov\)](#)
- Public Access Support Center – [PublicAccess@nih.gov](mailto:PublicAccess@nih.gov), a resource in helping resolve publication compliance issues.

# RPPR Resources

Resource	Description
<a href="https://grants.nih.gov/research-performance-progress-report">Research Performance Progress Report (RPPR)   grants.nih.gov</a>	Provides resources to help recipients understand how to submit a progress report. Contains who, what, when, where, and how information including due date information.
<a href="#">NIH and Other PHS Agency Research Performance Progress Report (RPPR) Instruction Guide</a>	Grants.gov PDF instructions for submitting RPPRs.
<a href="#">NIH Instructions for Progress Reports for Multi-Year Funded (MYF) Awards</a>	How to submit MYF progress reports, due dates, and reporting period
<a href="#">Research Performance Progress Report (RPPR) Module (nih.gov)</a>	Interactive online help. Provides step-by-step descriptions and screenshots for preparing and submitting RPPRs for recipient institutions.
<a href="#">Frequently Asked Questions (FAQs)   grants.nih.gov</a>	FAQs re: RPPR Module, Data, Non-SNAP, Interim & Final RPPR

# ERA Resources

Resources	Description
<a href="#">User Roles (nih.gov)</a>	Description of eRA Commons User Roles
<a href="#">Revoke Authority on Behalf of Another User (nih.gov)</a>	Online help for Signing Officials to revoke progress report submission authority from another user.
<a href="#">Delegating Progress Report Authority on Behalf of Another User (nih.gov)</a>	Online help for Signing Officials to delegate progress report submission authority to another user.
<a href="#">Create and Manage an eRA Commons Account   eRA (nih.gov)</a>	If you are a principal investigator (PI), co-PI, trainee, researcher, post-doctoral student, or any other similar scientific role, please contact your Signing Official or other administrator at your institution to create an account for you.
<a href="#">Finding Your Signing Official</a>	How to find your institution's Signing Official(s)
<a href="#">Manage Personal Profile   eRA (nih.gov)</a>	Information for eRA Commons users on to how to access and maintain their profile information on the Personal Profile in eRA Commons.
<a href="#">PD/PI Initiates an RPPR</a>	Instructions for Program Directors/Principal Investigators on how to initiate an RPPR.
<a href="#">Signing Officials Submit an RPPR</a>	Instructions for Signing Officials on how to submit a RPPR.



# Other Support, Effort, Foreign Components, Clinical Trial Validations, xTrain & xTract Resources

Resource	Description
<a href="https://grants.nih.gov">Other Support   grants.nih.gov</a>	Other Support requirements for both JIT and RPPR. Links to example Other Support and eRA JIT online help are also included on this webpage.
<a href="https://grants.nih.gov">Frequently Asked Questions (FAQs)   grants.nih.gov</a>	FAQs re: Other Support & Foreign Components
<a href="https://grants.nih.gov">Frequently Asked Questions (FAQs)   grants.nih.gov</a>	FAQs re: Effort & Person Months
<a href="#">NOT-OD-22-008</a>	eRA Commons RPPR submission system validations for clinical trial registration and results reporting
<a href="https://nih.gov">xTract User Guide (nih.gov)</a>	Extramural Trainee Reporting and Career Tracking (xTract) Module User Guide
<a href="https://nih.gov">External xTrain User Guide (nih.gov)</a>	xTrain User Guide for Institution Staff
<a href="#">xTrain Quick Reference Guide</a>	NIGMS xTrain Quick Reference Guide

# Public Access, RPPR Section C, and Post-Award Resources

Resource	Description
<a href="#">My Bibliography - My NCBI Help - NCBI Bookshelf (nih.gov)</a>	Managing compliance to the NIH Public Access Policy
<a href="#">Public Access Policy Information for Institutional Training, Career Development &amp; Related Awards</a>	(T15, T32/TL1, T34/TL4, T35, T90, R25/RL5, R90/RL9, K12/KM1/KL2, D43, D71, DP7, U2R, U45): Trainee, scholar, and participant publications fall under the public access policy if the publication resulted from work conducted while the individual was supported by the award (i.e., receiving a stipend or salary from the award). See the link at the left for more information.
<a href="#">Guide to Categorizing Products in the RPPR</a>	Definitions, examples and distinctions to help in categorizing products in section C of the RPPR.
<a href="#">Resources for Post-Award Management</a>	A collection of links to information about clinical trials, data management & sharing policy, FFRs, human subjects, inventions, Payment Management System, prior approval actions, vertebrate animals, RPPRs, xTRACT, and xTRAIN.

# Connect, Follow, and Subscribe!

- NIGMS Blogs
  - *Feedback Loop*:
    - [loop.nigms.nih.gov](http://loop.nigms.nih.gov) (blog)
    - [bit.ly/nigmstrainee](http://bit.ly/nigmstrainee) (trainee list)
  - *Biomedical Beat*: [biobeat.nigms.nih.gov](http://biobeat.nigms.nih.gov)
- NIGMS Media Coverage: [go.nih.gov/mediacoverage](http://go.nih.gov/mediacoverage)
- Find NIGMS on Social Media
- [NIGMS Staff Directory](#)



# Thank You!

