RESEARCH ADMINISTRATION

UPDATE

Wednesday, February 22, 2017

Lazare Auditorium, S1-607 1:00 - 3:00 pm

The second half of the update will be dedicated to the training topic:

Annual Progress Report Process

Agenda

University of Massachusetts Medical School
UMASS

- NIH Update
  - Salary Cap Guidance
  - NOT-OD-17-037: NIH Implementation of the Interim RPPR While a Renewal Application is Under Consideration
  - Prior Approval for No Cost Extensions via the eRA Commons
  - Prior Approval for a Change in PD/PI via the eRA Commons
  - Prior Approval for Withdrawal of an Application via the eRA Commons
- Other Updates
  - Opportunity Issue Impacting March Proposals already initiated in Cayuse PI Department in Cayuse Profile Drives Departmental Selection in NIH Reporting
  - Change to Animal Welfare Assurance (AWA) Number: D16-00196 (formerly A3306-01)
- Proposal & Progress Report Statistics
- Research Administration Training Topic:
  - Annual Progress Reporting

CY 2017 Salary Cap Guidance

University of Massachusetts Medical School
UMASS

- The new Federal pay scale for calendar year 2017 is now posted on the Office of Personnel Management website:
  - https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2017/EX.pdf.
- The Executive Level II salary to which the DHHS Salary Cap is based upon has been raised from $185,100 to **$187,000**. Any new proposals created for salary cap applicable sponsors should use the new $187,000 salary cap threshold.
- OSP has updated the online fact sheet, internal budget worksheet and Cayuse to reflect the new cap amount.

NOT-OD-17-037: NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration

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- NIH is implementing an Interim Research Performance Progress Report (Interim-RPPR) policy by not requiring an additional Final Research Performance Progress Report (Final-RPPR) if the renewal application is not funded.
- In NOT-OD-17-037, NIH states that effective February 9, 2017, if a renewal application was submitted on or before the date by which a Final-RPPR would be due for the current competitive segment, then submission of an Interim-RPPR via eRA Commons is required.
- NIH will discontinue the policy for renewal applications whereby, "whether funded or not," the progress report contained in the renewal application may serve in lieu of a separate final progress report.
- Like the Final-RPPR, recipients will be required to adhere to the new requirement to report on Project outcomes in the Interim-RPPR. An Interim-RPPR link for the grant will appear in the Status tab in eRA Commons after the period of performance end date has passed. In the event that the renewal application is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment. If the renewal application is not funded, the Interim-RPPR will be treated as the institution's Final-RPPR.
- As stated in NOT-OD-17-022, the Interim-RPPR must be submitted via the eRA Commons no later than 120 calendar days from the period of performance end date. If a recipient fails to comply with this reporting requirement, NIH may take one or more enforcement actions, such as a decision to withhold a non-competing continuation award.

Interim RPPR Scenarios

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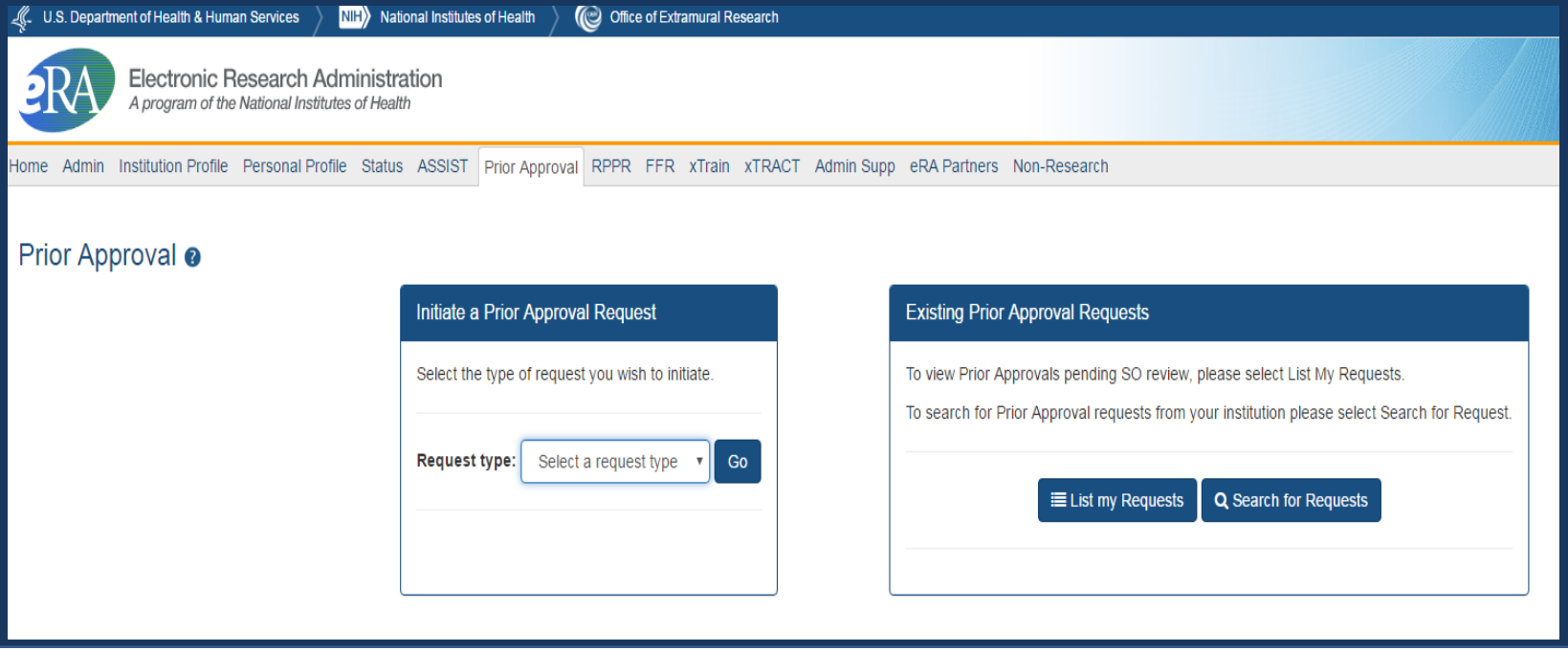
Scenario	Status of Competing Renewal Application	Process
1	Competing Renewal not submitted	Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.
2	Competing Renewal submitted	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
3	Competing Renewal submitted but not funded	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is not funded, NIH will treat the Interim-RPPR as the institution's Final-RPPR. NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.

Prior Approvals via the eRA Commons

University of Massachusetts Medical School
UMASS

- OSP can process the following actions in eRA Commons:
  - No Cost Extensions
  - Change in PD/PI
  - Withdrawal of an Application



NCE via Prior Approval in eRA Commons

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- Signing Officials (OSP) will be able to request an NCE electronically through eRA Commons via Prior Approval once the extension flag is no longer active.
- Prior Approval tab in eRA Commons: Initiate a Prior Approval Request and select No Cost Extension.
- When is an award eligible for a NCE through Prior Approval?
  - When you have already used a NCE under expanded authority and you are within 90 days of the project end date.
  - When you are not under expanded authority and you are within 90 days of the project end date.
  - When the project end date has expired and has not been closed or has not entered unilateral closeout, whichever comes first.
- When is an award ***not eligible*** for a NCE through Prior Approval?
  - When you have never requested a NCE under expanded authority and you are within 90 days of the project end date. In this case, the NCE will be processed normally through the Extension link in Status.
  - When the award is closed.
  - When the award is a fellowship.

NCE via Prior Approval in eRA Commons:

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What information needs to be included in the request?

The NCE request form consists of 4 sections:

1. Request Detail
   a. Number of months of requested for extension; new end date
   b. Any unobligated funds available
2. Progress Report (pdf upload)
3. Budget Document (pdf upload)
4. Justification Document (pdf upload)

The exact details of what is required in the upload files will be outlined by the awarding IC.

Change in PD/PI via eRA Commons

University of Massachusetts Medical School

System allows for the change of PD/PI or adding/deleting multiple PIs through Prior Approval.

- Only a Signing Official (SO) can initiate the request. Principal Investigators cannot see Change of PD/PI Requests.

- The following conditions must be met for a grant to be eligible for a Change of PD/PI Request:

  1. The grant has a grant year awarded.
  2. The grant family is not past the Project Period End Date.
  3. The grant is not a Fellowship or Career award.
  4. The grant is from an IC/Agency that supports Change of PD/PI using the Prior Approval module.

Change in PD/PI via eRA Commons

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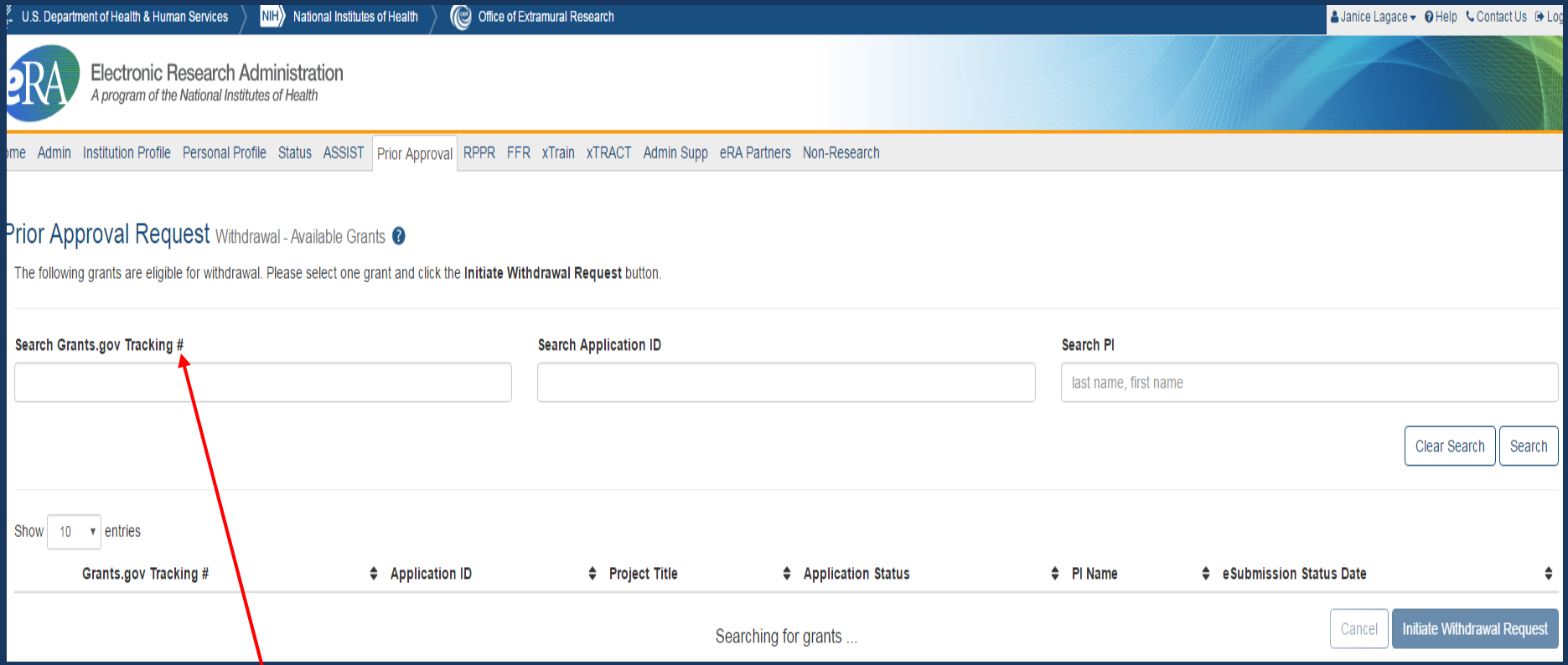
- The details for the request require some basic information:
  - Who is being replaced, removed/added to the grant?
  - What will their level of effort be?
  - What is the effective start date for the new PD/PI?
- Additionally, some files will be uploaded to the request:
  - Biosketch
  - Other Support
  - Justification Document
- Once the request is submitted, the system creates a PDF of all the submitted information and sends a notification to the SO, the GMS, and Program Officer so they can review the request.
-

Withdrawal of an Application via eRA Commons

University of Massachusetts Medical School

Prior approval requests to withdraw an application from the review process can now be initiated via the Commons. The PI should submit the request via email to the OSP Team Leads.

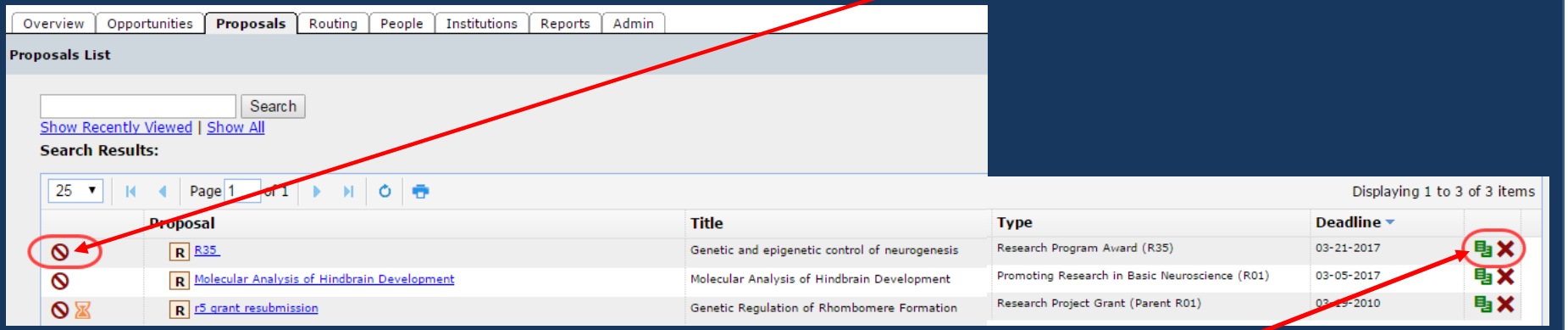


Include the Grant Tracking Number and an Explanation for the Withdrawal request. Once processed by an AO, a system generated email will be issued to the PI.

Opportunity Issue Impacting March Proposals already initiated in Cayuse

University of Massachusetts Medical School

- Cayuse Opportunity Unavailable Warning reported 2/20/17 is impacting opportunities previously downloaded in Cayuse
- Solution: Users will need to transform the existing Cayuse Proposal to the same opportunity number to remove the warning (see example below).



- This proposal is due March 21, 2017 and should be available, but is not (Warning icon message reads: Original Opportunity not Available).
- To transform, click on the green pages icon
- Guidance on how to transform is available at: Evisions Web Help Site

PI Department Selections in Cayuse and Impact on NIH Reporting

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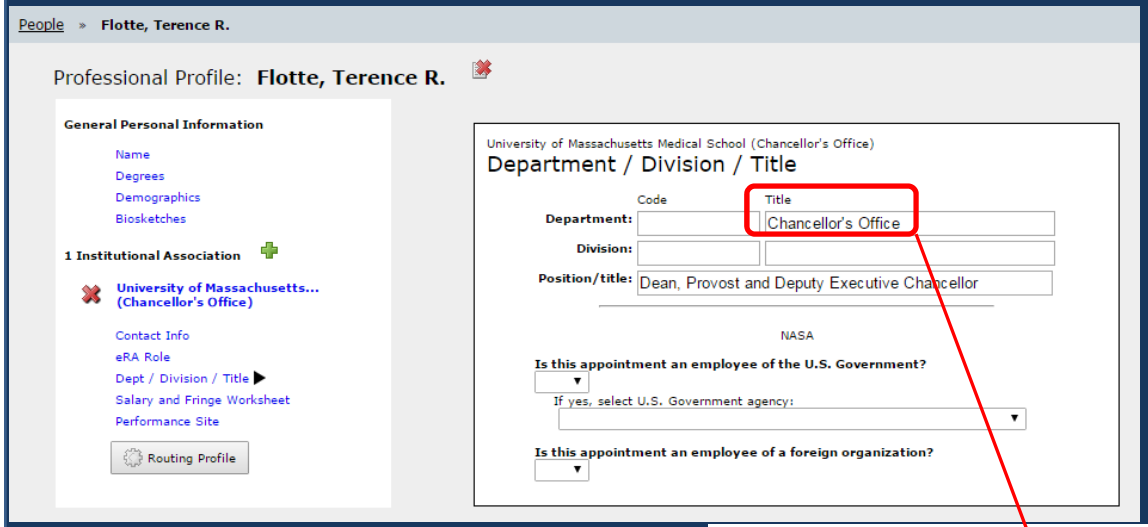
- UMMS moved up in most recent NIH School of Medicine funding rankings from 33rd to 29th!
- In reviewing the ranking data we noticed that some of our awards were not being counted due to the awards having departments listed that did not map to NIH's department hierarchy.
- We will be asking for department assistance in reviewing PI Cayuse profiles to ensure that the department listed maps to an appropriate NIH department listing.

Cayuse Example of PI Dept



- Chancellor's Office doesn't map to SoM in NIH's systems.
- UMMS is working to ensure NIH funding is captured through departments that articulate to NIH's departmental hierarchy and will provide guidance to departments once the hierarchy crosswalk is finalized.

PI: **Flotte, Terence R.**	Title: New Approaches to Gene Therapy for Alpha-1 Antitrypsin Deficiency	
Received: 05/19/2015	FOA: PAR14-245	Council: 01/2016
Competition ID: FORMS-C	FOA Title: TRANSLATIONAL PROGRAMS IN LUNG DISEASES (P01)	
1 P01 HL131471-01	Dual:	Accession Number: 3821755
IPF: 850903	Organization: UNIV OF MASSACHUSETTS MED SCH WORCESTER	
Former Number:	Department: Chancellor's Office	
IRG/SRG: ZHL1 PPG-S (F1)	AIDS: N	Expedited: N
Subtotal Direct Costs (excludes consortium F&A) Year 1: 1,750,000 Year 2: 1,750,000 Year 3: 1,750,000 Year 4: 1,750,000 Year 5: 1,750,000	Animals: Y Humans: Y Clinical Trial: Y Current HS Code: 30 HESC: N	New Investigator: N Early Stage Investigator: N
Senior/Key Personnel:	*Organization:*	*Role Category:*
Terence Flotte MD	University of Massachusetts Medical School	PD/PI

Updated Animal Welfare Assurance (AWA) Number

University of Massachusetts Medical School

- Office of Laboratory Animal Welfare (OLAW) reviewed and approved our institution's Animal Welfare Assurance renewal application
- Our Assurance identification number D16-00196 (A3306-01), became effective on January 4, 2017
- We have verified that the OLAW website currently lists both numbers:

University of Massachusetts Medical School	D16-00196 (A3306-01)

  - We have updated our Fact Sheet as well as Cayuse to list D16-01096.
  - All electronic portals will also be updated with the new assurance number.

PROPOSAL SUBMISSIONS TO OSP

January 2016 – January 2017

University of Massachusetts Medical School
UMASS

	January 2016	February 2016	March 2016	April 2016	May 2016	June 2016	July 2016	August 2016	September 2016	October 2016	November 2016	December 2016	January 2017
Count	107	121	89	72	101	106	78	86	121	106	71	48	103
On Time	59%	38%	45%	29%	57%	40%	44%	44%	56%	46%	35%	46%	53%
Late	39%	60%	55%	70%	39%	59%	56%	50%	40%	49%	62%	46%	41%
After the fact	2%	2%	0%	1%	4%	1%	0%	6%	4%	5%	3%	8%	5%
Withdrawn	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	1%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	25%	46%	42%	44%	21%	36%	42%	35%	28%	32%	35%	33%	22%

On Time: Received by OSP 5 business days prior to the requested return date.
Late: Received by OSP less than 5 business days prior to the requested return date.
After the Fact: Received by OSP after the requested return date.
Expedited Request: Received by OSP with 3 business days or less to review before requested return date.

SUBMISSIONS TO OSP
January 2016 to January 2017 Comparison

University of Massachusetts Medical School
UMASS

PROPOSALS	2016	2017	Change
Count	107	103	-4
On Time	59%	53%	-6
Late	39%	41%	+2
After the fact	2%	5%	+3
Withdrawn	0%	1%	+1
Total	**100%**	**100%**	-
Expedited Request (3 days or less)	25%	22%	-3

On Time: Received by OSP 5 business days prior to the requested return date.
Late: Received by OSP less than 5 business days prior to the requested return date.
After the Fact: Received by OSP after the requested return date.
Expedited Request: Received by OSP with 3 business days or less to review before requested return date.

PROGRESS REPORT SUBMISSIONS TO OSP
January 2016 – January 2017

University of Massachusetts Medical School
UMASS

	January 2016	February 2016	March 2016	April 2016	May 2016	June 2016	July 2016	August 2016	September 2016	October 2016	November 2016	December 2016	January 2017
Count	36	44	71	58	43	50	25	17	27	34	32	35	43
On Time	64%	48%	58%	64%	49%	52%	60%	41%	67%	62%	59%	63%	68%
Late	22%	45%	39%	36%	51%	42%	28%	41%	22%	35%	38%	37%	30%
After the fact	14%	7%	3%	0%	0%	6%	12%	18%	11%	3%	3%	0%	2%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expedited Request (3 days or less)	19%	30%	27%	26%	37%	36%	16%	35%	19%	29%	19%	23%	21%

On Time: Received by OSP 5 business days prior to the requested return date.
Late: Received by OSP less than 5 business days prior to the requested return date.
After the Fact: Received by OSP after the requested return date.
Expedited Request: Received by OSP with 3 business days or less to review before requested return date.

SUBMISSIONS TO OSP
January 2016 to January 2017 Comparison

University of Massachusetts Medical School
UMASS

PROGRESS REPORTS	2016	2017	Change
Count	36	43	+7
On Time	64%	68%	+4
Late	22%	30%	+7
After the fact	14%	2%	-12
Withdrawn	0%	0%	-
Total	**100%**	**100%**	-
Expedited Request (3 days or less)	19%	21%	+2

On Time: Received by OSP 5 business days prior to the requested return date.
Late: Received by OSP less than 5 business days prior to the requested return date.
After the Fact: Received by OSP after the requested return date.
Expedited Request: Received by OSP with 3 business days or less to review before requested return date.

Research Administration Update

February 22,2017

Annual Progress Reporting

Presenters:

Diego Vazquez, Jason Brown,

James LeBlanc & Andrea Sjostedt

Agenda/Goals

- Overview of the APR form and recent changes
- Sponsor driven: NIH RPPR
- Subaward Annual Reporting
- Other Sponsor Reporting
- Questions

Revised Annual Progress Report Form

University of Massachusetts Medical School

Annual Progress Report Form

This form is required for OSP review and approval of Progress Reports on established projects.

Document Contact | Name | Phone | Email | Requested Return Date

I. AWARD INFORMATION

Award Title

Award Type | *Federal Flow Through* ◯ Yes ◯ No | Type: Continuation

SUBMISSION TYPE: RPPR ◯ PAPER ◯ OTHER

Sponsor Name | Date Due to Sponsor

Sponsor Ref. Award #:

PS Award #: | *PS Project #:*

Is Progress Report required by sponsor? ◯ Yes ◯ No

II. PRINCIPAL INVESTIGATOR INFORMATION

PI Name: | PI Phone: | Dept. Name:

Will the level of effort for the Principal Investigator change significantly (25% or more) in the next budget period? If yes, enter revised Effort % in field to the right. ◯ Yes ◯ No

Current Effort%: | Revised Effort%:

Project Location (*if changed*):

III. CO-INVESTIGATORS

Must be UMMS Faculty or Professional Staff unless a Subawardee/Subrecipient is indicated below.

Name	Department	Signature (See **Declarations** (in Sec. IX) for UMMS Fac/Prof Staff)

IV. NEXT BUDGET PERIOD

Start Date | End Date

Direct Costs | Indirect Costs | Total Costs

Use amounts for this year listed in most recent Notice of Grant Award (NGA)

V. SUBRECIPIENTS

LEGAL NAME OF SUBRECIPIENT (Attach additional sites if necessary) | NEXT PERIOD BUDGET

$ | $ | $

VI. COST SHARING

Does Award Include Cost Sharing? ◯ Yes ◯ No | If yes, identify type and attach documentation: ☐ Sponsor Required ☐ Voluntary

VII. DISCLOSURE OF FINANCIAL INTEREST UPDATE

Please include an updated Summary Disclosure of Financial Interests (SDFI) form with the APR packet. All persons meeting the FCOI policy definition of an Investigator (**any person, regardless of title or position, who is responsible for the design, conduct or reporting of research, or proposed for such funding**) are required to provide an updated disclosure. Any new affirmative disclosures on the SDFI form will require institutional review and treatment before OSP can authorize the release of the next segment of funding. OSP will also confirm that FCOI training is current for all identified Investigators. *Training must be current before the next segment of funding can be released.*

FOR OSP USE ONLY	Yes	No
SDFI Form Submitted?	◯	◯
Affirmative Disclosures?	◯	◯
Investigator Training Confirmed?	◯	◯

Provisional Account request section deleted.

VIII. COMPLIANCE INFORMATION/CERTIFICATIONS

	Yes	No	Docket/Protocol#	Approval Date		Yes	No
Human Subjects?	◯	◯			Has the involvement of human subjects changed?	◯	◯
Animal Subjects?	◯	◯			Has the involvement of animal subjects changed?	◯	◯
IBC Protocols?	◯	◯			Has the IBC activity changed?	◯	◯

	Yes	No		Yes	No
Inventions?	◯	◯	Previously Reported?	◯	◯

IX. DECLARATIONS & DEPARTMENT APPROVALS

Signature of the **Principal Investigator** below (and Co-Investigators in Section III) indicates:

* Assurance that the information submitted within the report (if applicable) is true, complete and accurate to the best of their knowledge.
* Certification that they are not currently suspended, debarred, or proposed for debarment or suspension for doing business with the Federal Government.
* Compliance of the award with applicable, institution, sponsor, federal, and state rules, regulations and guidelines,
* Acceptance of the responsibility to continue to conduct and judiciously manage the project in accordance with the terms and conditions of the sponsoring agency and the institution.
* UMMS resources necessary to complete the project will continue to be available for the project.
* Assurance they are in compliance with the Institutions' Intellectual Property Policy and have provided updated COI disclosures for all project investigators.

Signature of the **Department Administrator** (as required) below indicates:

* Assurance of departmental review of the information and budget for accuracy and compliance with sponsor and institution guidelines.
* Assurance of departmental review and confirmation of accurate and updated protocol information for this project.

Signature of the **Department Chair(s)** (as required) below indicates:

* Approval of project and confirmation that appropriate space and facilities are available to continue to meet the project goals,
* Cognizance of the project's risks and administrative obligations,
* Acceptance of the obligation of Department funds to meet any cost sharing in this project.
* Acceptance of the financial risk on provisional account requests when the award is not received.

Principal Investigator | Additional Department Chair/Division Chief (as Required)

Department Administrator | Additional Department Chair/Division Chief (as Required)

Department Chair | Additional Department Chair/Division Chief (as Required)

X. INSTITUTION APPROVALS

Authorized Institutional Official - Office of Sponsored Programs | Special Approval (as Required)

SECTION BELOW FOR OSP USE ONLY

Initial Review

☐ Title
☐ Dates
☐ Budget
☐ Justification
☐ AS____ ☐ HS____
Do protocols match previous year? ☐ Yes ☐ No
☐ Other _____
SDFI Affirmative? ☐ Yes ☐ No CITI needed for:

If Subaward, Additional Review Items

☐ Face Page
☐ Performance Site(s)
☐ All Personnel
☐ Publications
☐ Other Support

RPPR Elements

☐ A. Cover Page
☐ B. Accomplishments (Science) B4. ☐ IDP ☐ Yes ☐ No ☐ N/A
☐ C. Products (Pubs, etc.) ☐ PRAM
☐ D. Participants ☐ O/S
☐ E. Impact ☐ Foreign
F. Change: ☐ Yes ☐ No
G. Special: ☐ H. Budgets: ☐ Perf. Site: ☐

Final Review

☐ Title
☐ Dates
☐ Budget
☐ Justification
☐ AS____ ☐ HS____
Do protocols match previous year? ☐ Yes ☐ No
☐ Other _____
SDFI Affirmative? ☐ Yes ☐ No CITI needed for:

If Subaward, Additional Review Items

☐ Face Page
☐ Performance Site(s)
☐ All Personnel
☐ Publications
☐ Other Support

RPPR Elements

☐ A. Cover Page
☐ B. Accomplishments (Science) B4. ☐ IDP ☐ Yes ☐ No ☐ N/A
☐ C. Products (Pubs, etc.) ☐ PRAM
☐ D. Participants ☐ O/S
☐ E. Impact ☐ Foreign
F. Change: ☐ Yes ☐ No
G. Special: ☐ H. Budgets: ☐ Perf. Site: ☐

Sponsor Driven Reporting

- NIH RPPR
  - Notifications are emailed to the PI and Dept Admin approx. 30 day prior to the report due date. The PI should receive an email reminder from the Commons 60 days prior
  - APR should be submitted to OSP at the time of ROUTING in the eRA Commons
  - Reviews can't be initiated until ROUTING occurs. Unlike Cayuse, the entire report must be completed, including the science.

Sponsor Driven Reporting

Most common errors found on RPPR:

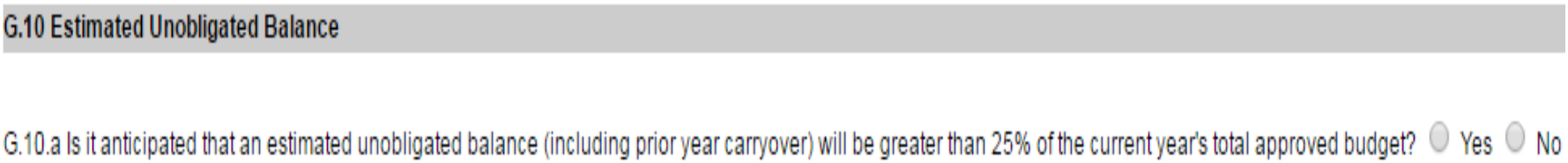
- AO/SO – s/b Diego as AO (Authorized Official), Team Lead (either Tammy or Jason) for SO(Signing Official)

- Training (B4) upload – needed for any project that has grad students or postdocs listed in the Participants Section (D1) addressing the IDP Policy. Link to GSBS for general language: http://www.umassmed.edu/gsbs/career/educators/ummsfaculty/

Sponsor Driven Reporting

- Other Support – it is OSP's recommendation that only persons listed in the NOA be provided.

- Unobligated balance calculation – be sure that the CF from previous years is included.



Sponsor Driven Reporting

Interim RPPR - NOT-OD-17-037

- An Interim-RPPR link for the grant will appear in the Status tab in eRA Commons after the period of performance end date has passed.
- In the event that the renewal application is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
- If the renewal application is not funded, the Interim-RPPR will be treated by NIH staff as the institution's Final-RPPR.
- Interim-RPPR must be submitted via the eRA Commons no later than 120 calendar days from the period of performance end date.

Sponsor Driven Reporting

When does the Interim RPPR or a Final RPPR need to be submitted?

Scenario	Status of Competing Renewal Application	Workflow Process
1	Competing Renewal not submitted	Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.
2	Competing Renewal submitted	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
3	Competing Renewal submitted but not funded	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is not funded, NIH will treat the Interim-RPPR as the institution's Final-RPPR. To reduce burden NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.

Subaward Annual Reporting

- Incoming Subawards
  - Prepare APR, PHS 2590 Form Page 2, eSDFI and current protocols (if applicable) prior to amendment.
  - Amendment from Sponsor will determine amount of Subaward and allowable carry forward.
  - OSP will contact Dept for APR packet if not previously submitted.
  - Funding mechanisms/annual financial reporting determines whether a project gets a new chartstring each period.

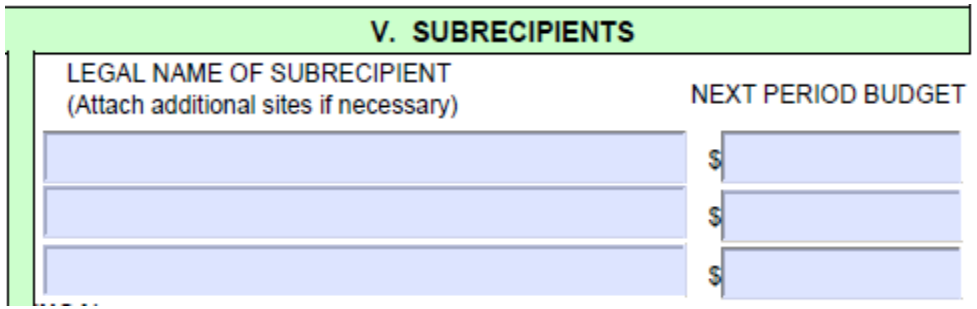
LJ1

Subaward Annual Reporting

- Outgoing Subawards (UMMS Prime)
  - Progress Report should be submitted to PI by subsite.
  - For RPPR purposes, request the ALL PERSONNEL report from the subsite.
  - PHS 2590 form page 2 or SF424 for non-snap
  - PHS 2590 form page 3 Carry Forward from existing year (dependent on the funding mechanism).
  - OSP documents will be issued to subsite after the NoA is received and accepted.

Subaward Annual Reporting

- Depending on the amount of the Subaward and the guidelines from the sponsor, the subaward may be subject to FFATA reporting.
- On the APR form make sure to list the collaborating site for the subsequent period.



V. SUBRECIPIENTS

LEGAL NAME OF SUBRECIPIENT (Attach additional sites if necessary)	NEXT PERIOD BUDGET
	$
	$
	$

LJ2

Subaward Annual Reporting

- Subrecipients are subject to the same reporting requirements as prime
  - Final invoice serves as Final Financial Status Report
  - Final Progress Report – formal report on programmatic aims completed that follows sponsor guidelines should be on file in OSP
  - Final Invention Statement – statement and certification of inventions created with funding from this project

Elements of Review

- Foundations and Professional Organizations:
  - Annual reiteration of compliance documents required:
    - APR to release the next year's funding for multi-year awards
    - Human and/or Animal Subjects protocols, if applicable
    - eSDFI
  - These elements are required even if sponsor doesn't mandate annual reporting.

QUESTIONS???

APPENDIX

NIH Implementation of the Interim-RPPR while a Renewal Application is Under Consideration

Notice Number: NOT-OD-17-037

Key Dates
Release Date: January 19, 2017

Related Announcements
NOT-OD-17-022

Issued by
National Institutes of Health (NIH)

Purpose

This Notice is directly linked to NIH's implementation of the Final-RPPR. NIH retains the renewal application policy and in order to do so, we will implement an Interim-RPPR policy to reduce administrative burden on grantees by not requiring an additional Final-RPPR if the renewal application is not funded. See below for details.

NIH previously announced the requirement for organizations to submit an Interim Research Performance Progress Report (Interim-RPPR) while their renewal application is under consideration. Therefore, the purpose of this notice is to update the timeframe for implementation of the Interim-RPPR from what was stated in NOT-OD-17-022 and provide further clarification for reporting when the current competitive segment is ending but a renewal application has been, or will be, submitted. In addition, this notice explains how NIH will subsequently treat a submitted Interim-RPPR to fulfill reporting requirements on the competitive segment that is ending once the disposition of the renewal application is known.

NIH Implementation

Effective February 9, 2017, if the recipient organization has submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim-RPPR" via eRA Commons is now required. Based on this requirement, the NIH will discontinue the policy for renewal applications whereby, "whether funded or not," the progress report contained in the renewal application may serve in lieu of a separate final progress report.

Like the Final-RPPR, recipients will be required to adhere to the new requirement to report on Project outcomes in the Interim-RPPR. This section 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 (analogous to the Project Summary/Abstract section of the competing application) at the end of a competitive segment.

An Interim-RPPR link for the grant will appear in the Status tab in eRA Commons after the period of performance end date has passed. In the event that the renewal application is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment. If the renewal application is not funded, the Interim-RPPR will be treated by NIH staff as the institution's Final-RPPR.

As stated in NOT-OD-17-022, the Interim-RPPR must be submitted via the eRA Commons no later than 120 calendar days from the period of performance end date. If a recipient fails to comply with this reporting requirement, NIH may take one or more enforcement actions, such as a decision to withhold a non-competing continuation award, consistent with NIHGPS Chapter 8.5.2. NIH will maintain the business rule in the RPPR module enabling institutional signing officials (SOs), at their discretion, to delegate submission of the Final RPPR or Interim-RPPR to the Program Director/Principal Investigator (PD/PI).

Further guidance is provided through the scenarios below outlining the process of when to submit a Final or Interim-RPPR.

Scenario	Status of Competing Renewal Application	Workflow Process
1	Competing Renewal not submitted	Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.
2	Competing Renewal submitted	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
3	Competing Renewal submitted but not funded	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is not funded, NIH will treat the Interim-RPPR as the institution's Final-RPPR. To reduce burden NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.

Reminder: Effective January 2017, NIH requires recipients to report on Project Outcomes in Section I of the Interim and Final-RPPR. Therefore, in each scenario listed above, Project Outcomes must be provided by the recipient in order for the recipient to submit their final report in eRA Commons. Otherwise, eRA Commons will not allow recipients to submit the required report and recipients will be considered non-compliant.

Implementation of the Final RPPR for Small Business Innovation and Research (SBIR) and Small Business Technology Transfer (STTR) grants will occur approximately 2 months after implementation for all other NIH grants due to unique final reporting requirements under the Small Business Administration's SBIR/STTR Policy Directive.

Inquiries

Please direct all inquiries to:

Division of Grants Policy
Office of Policy for Extramural Research Administration
Office of Extramural Research
grantspolicy@od.nih.gov

Weekly TOC for this Announcement
NIH Funding Opportunities and Notices

NIH Implementation of Final Research Performance Progress Reports (Final RPPR)

Notice Number: NOT-OD-17-022

Key Dates
Release Date: November 23, 2016

Related Announcements
NOT-OD-15-111
NOT-OD-15-014
NOT-OD-14-092
NOT-OD-14-084
NOT-OD-14-079
NOT-OD-14-026
NOT-OD-13-113
NOT-OD-13-035
NOT-OD-13-061
NOT-OD-12-083

Issued by
National Institutes of Health (NIH)

Purpose

The National Institutes of Health intends to replace the Final Progress Report (FPR) with the Final Research Performance Progress Report (Final RPPR) through a new eRA Commons module effective January 2017.

Background

NIH implemented the interim RPPR in 2012, based on a policy memorandum from the Office of Management and Budget and Office of Science and Technology Policy (OSTP) to the heads of executive departments and agencies establishing the uniform RPPR for use by agencies supporting research and research-related activities. The RPPR replaced previous interim performance reporting formats used by NIH and other agencies.

In order to keep its promise, the Research Business Models (RBM), an Interagency Working Group of the Social, Behavioral & Economic Research Subcommittee of the Committee on Science (CoS), charged NSF and NIH to serve as the co-chairs of an interagency workgroup tasked with developing a standard format for use in reporting final progress on Federally-funded research projects and research-related activities, taking into consideration the lessons learned from implementation of the interim RPPR. This interagency workgroup completed its task and on November 16, 2016, published a Federal Register notice announcing the updated standardized RPPR to be used for final performance progress reporting.

NIH Implementation

For NIH, the Final Research Performance Progress Report (F-RPPR) will replace the Final Progress Report (FPR) for closeout effective January 1, 2017. On or after that date, NIH will no longer accept FPRs. Generally, the format will be the same as the current interim/annual RPPR, making it easier for recipients to navigate through the F-RPPR based on familiarity with the existing format of the annual RPPR. However, a significant change with implementation of the F-RPPR, is that in order to maximize public transparency, NIH will not maintain the current Type 2 policy which in accordance with NIHGPS Chapter 8.6.2 states that "whether funded or not" the progress report contained in the Type 2 application may serve in lieu of a separate final progress report. It is important to note that the discontinuance of this longstanding policy aligns NIH's final performance

reporting requirement with the requirements imposed by other Federal research awarding agencies thus reducing the administrative burden associated with a unique NIH reporting requirement.

Therefore, as a standard policy, NIH will request that organizations submit an "Interim-RPPR" while their renewal application (Type 2) is under consideration. In the event that the Type 2 is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment. If the Type 2 is not funded, the Interim-RPPR will be treated by NIH staff as the institution's Final-RPPR.

Also, in accordance with NIH's implementation of the F-RPPR, recipients will be required to adhere to the new requirement to report on Project Outcomes. This section will be made publicly available, thus allowing recipients the opportunity to provide the general public with a concise summary of the cumulative outcome or findings of the project (analogous to the Project Summary/Abstract section of the competing application).

As mentioned, NIH is aligning its reporting requirement with other Federal research agencies and therefore will not be making any changes to the deadline for submitting the final report- i.e., the Final RPPR or Interim-RPPR must be submitted via eRA Commons no later than 120 calendar days from the period of performance end date. If a recipient fails to comply with this reporting requirement, NIH may take one or more enforcement actions, such as a decision not to make a non-competing continuation award, consistent with NIHGPS Chapter 8.5.2. NIH also plans to maintain the business rule in the RPPR module enabling institutional signing officials (SOs), at their discretion, to delegate submission of the Final RPPR or Interim-RPPR to the Program Director/Principal Investigator (PD/PI).

Note: Implementation of the Final RPPR for Small Business Innovation and Research (SBIR) and Small Business Technology Transfer (STTR) grants will occur approximately 2 months after implementation for all other NIH grants due to unique final reporting requirements under the Small Business Administration's SBIR/STTR Policy Directive.

FAQs and additional information pertaining to NIH's implementation of the F-RPPR will be available on the NIH RPPR website.

Inquiries

Please direct all inquiries to:

Division of Grants Policy
Office of Policy for Extramural Research Administration
Office of Extramural Research
grantspolicy@od.nih.gov

Weekly TOC for this Announcement
NIH Funding Opportunities and Notices

University of Massachusetts Medical School

Annual Progress Report Form

This form is required for OSP review and approval of Progress Reports on established projects.

Document Contact | Name | Phone | Email | Requested Return Date

I. AWARD INFORMATION

Award Title

Award Type

Federal Flow Through ◯ Yes ◯ No

Type: Continuation

SUBMISSION TYPE
RPPR ◯ **PAPER** ◯
OTHER

Sponsor Name

Date Due to Sponsor

Sponsor Ref. Award #:

PS Award #: ***PS Project #:***

Is Progress Report required by sponsor? ◯ Yes ◯ No

II. PRINCIPAL INVESTIGATOR INFORMATION

PI Name:

PI Phone:

Will the level of effort for the Principal Investigator change significantly (25% or more) in the next budget period? If yes, enter revised Effort % in field to the right. ◯ Yes ◯ No

Current Effort%:

Revised Effort%:

Dept. Name:

Project Location (*if changed*):

III. CO-INVESTIGATORS

Must be UMMS Faculty or Professional Staff unless a Subawardee/Subrecipient is indicated below.

Name	Department	Signature (See **Declarations** (in Sec. IX) for UMMS Fac/Prof Staff)

IV. NEXT BUDGET PERIOD

Start Date | End Date

Direct Costs | Indirect Costs | Total Costs

Use amounts for this year listed in most recent Notice of Grant Award (NGA)

V. SUBRECIPIENTS

LEGAL NAME OF SUBRECIPIENT (Attach additional sites if necessary)	NEXT PERIOD BUDGET
	$
	$
	$

VI. COST SHARING

Does Award Include Cost Sharing? ◯ Yes ◯ No If yes, identify type and attach documentation: ☐ Sponsor Required ☐ Voluntary

VII. DISCLOSURE OF FINANCIAL INTEREST UPDATE

Please include an updated Summary Disclosure of Financial Interests (SDFI) form with the APR packet. All persons meeting the FCOI policy definition of an Investigator (**any person, regardless of title or position, who is responsible for the design, conduct or reporting of research, or proposed for such funding**) are required to provide an updated disclosure. Any new affirmative disclosures on the SDFI form will require institutional review and treatment before OSP can authorize the release of the next segment of funding. OSP will also confirm that FCOI training is current for all identified Investigators. *Training must be current before the next segment of funding can be released.*

FOR OSP USE ONLY	Yes	No
SDFI Form Submitted?	◯	◯
Affirmative Disclosures?	◯	◯
Investigator Training Confirmed?	◯	◯

VIII. COMPLIANCE INFORMATION/CERTIFICATIONS

	Yes	No	Docket/Protocol#	Approval Date		Yes	No
Human Subjects?	○	○			Has the involvement of human subjects changed?	○	○
Animal Subjects?	○	○			Has the involvement of animal subjects changed?	○	○
IBC Protocols?	○	○			Has the IBC activity changed?	○	○

	Yes	No		Yes	No
Inventions?	○	○	Previously Reported?	○	○

IX. DECLARATIONS & DEPARTMENT APPROVALS

Signature of the **Principal Investigator** below (and Co-Investigators in Section III) indicates:

* Assurance that the information submitted within the report (if applicable) is true, complete and accurate to the best of their knowledge.
* Certification that they are not currently suspended, debarred, or proposed for debarment or suspension for doing business with the Federal Government.
* Compliance of the award with applicable, institution, sponsor, federal, and state rules, regulations and guidelines,
* Acceptance of the responsibility to continue to conduct and judiciously manage the project in accordance with the terms and conditions of the sponsoring agency and the institution.
* UMMS resources necessary to complete the project will continue to be available for the project.
* Assurance they are in compliance with the Institutions' Intellectual Property Policy and have provided updated COI disclosures for all project investigators.

Signature of the **Department Administrator** (as required) below indicates:

* Assurance of departmental review of the information and budget for accuracy and compliance with sponsor and institution guidelines.
* Assurance of departmental review and confirmation of accurate and updated protocol information for this project.

Signature of the **Department Chair(s)** (as required) below indicates:

* Approval of project and confirmation that appropriate space and facilities are available to continue to meet the project goals,
* Cognizance of the project's risks and administrative obligations,
* Acceptance of the obligation of Department funds to meet any cost sharing in this project.
* Acceptance of the financial risk on provisional account requests when the award is not received.

Principal Investigator	Additional Department Chair/Division Chief (as Required)
Department Administrator	Additional Department Chair/Division Chief (as Required)
Department Chair	Additional Department Chair/Division Chief (as Required)

X. INSTITUTION APPROVALS

Authorized Institutional Official - Office of Sponsored Programs	Special Approval (as Required)

SECTION BELOW FOR OSP USE ONLY

Initial Review

- ☐ Title
- ☐ Dates
- ☐ Budget
- ☐ Justification
- ☐ AS _____ ☐ HS _____
- Do protocols match previous year? ☐ Yes ☐ No
- ☐ Other _____
- SDFI Affirmative? ☐ Yes ☐ No CITI needed for: _____

If Subaward, Additional Review Items

- ☐ Face Page
- ☐ Performance Site(s)
- ☐ All Personnel
- ☐ Publications
- ☐ Other Support

RPPR Elements

- ☐ A. Cover Page
- ☐ B. Accomplishments (Science) B.4. ☐ IDP ☐ Yes ☐ No ☐ N/A
- ☐ C. Products (Pubs, etc.) ☐ PRAM
- ☐ D. Participants ☐ O/S
- ☐ E. Impact ☐ Foreign
- F. Change: ☐ Yes ☐ No
- G. Special: ☐ H. Budgets: ☐ Perf. Site: ☐

Final Review

- ☐ Title
- ☐ Dates
- ☐ Budget
- ☐ Justification
- ☐ AS _____ ☐ HS _____
- Do protocols match previous year? ☐ Yes ☐ No
- ☐ Other _____
- SDFI Affirmative? ☐ Yes ☐ No CITI needed for: _____

If Subaward, Additional Review Items

- ☐ Face Page
- ☐ Performance Site(s)
- ☐ All Personnel
- ☐ Publications
- ☐ Other Support

RPPR Elements

- ☐ A. Cover Page
- ☐ B. Accomplishments (Science) B.4. ☐ IDP ☐ Yes ☐ No ☐ N/A
- ☐ C. Products (Pubs, etc.) ☐ PRAM
- ☐ D. Participants ☐ O/S
- ☐ E. Impact ☐ Foreign
- F. Change: ☐ Yes ☐ No
- G. Special: ☐ H. Budgets: ☐ Perf. Site: ☐

ACRONYMS AND TERMS USED TODAY
OSP RA Update - 2/22/2017

ACRONYM/TERM	DESCRIPTION
AO	Authorized Official
APR	Annual Progress Report
AWA	Animal Welfare Assurance Number
Cayuse 424	Cayuse is a web-based system for submission of applications via grants.gov.
CF	Carryforward
DHHS	Department of Health & Human Services
eRA Commons	The eRA Commons is NIH's online interface where signing officials, principal investigators, trainees and post-docs at institutions/organizations can access and share administrative information relating to research grants and process prior approval requests.
eSDFI	Electronic Summary Disclosure of Financial Interests Form
F-RPPR	Final Research Performance Progress Report
GMS	Grants Management Specialist
I-RPPR	Interim Research Performance Progress Report
NCE	No Cost Extension
NIH	National Institutes of Health
NOA	Notice of Award
NOT	A Notice (Guide Notice) is an official NIH announcement relating to a change in policy, procedure, form, or system. Notices are posted on the NIH website and users can be notified via a variety of NIH listservs. You can search for notices and funding opportunities at the NIH Guide.
NRSA	National Research Service Awards
OLAW	Office of Laboratory Animal Welfare
OSP	Office of Sponsored Programs
PHS	Public Health Service
PI	Principal Investigator
SO	Signing Official