Research Performance Progress Report (RPPR) Best Practices

Contents

Roles & responsibilities

- Departments
- Sponsored Programs
- Post Award Financial Operations
- Communications

Best practices

- Unobligated balance
- Subcontracts
- Other Support
- ASSIST for Human Subjects
- Publications

Department Roles & Responsibilities

It is the PI's responsibility to complete the annual and final reporting requirements per the terms of the award.

It is recommended that PIs work with department grant/research administrators to complete the following information:

- Personnel Effort (w/ complete eRA Commons Profile)
- Updated Other Support
- Unobligated Balance/ Budget (if required)
- Subcontract documentation
- My NCBI compliance

Helpful Links:

RPPRs: Who Does What?

Sponsored Programs Process

Trigger for SP review of RPPR

- RPPR routed to Diane Baldwin in eRA Commons
- Department Administrator sends RSF (RPPR Summary Form) via email to SP RA

SP View of the RPPR

RPPR Menu Screen

RPPR Menu

Application Information	
Award Number:	5R01EB026938-03
Institution:	BOSTON UNIVERSITY (CHARLES RIVER CAMPUS)
PD/PI Name:	Eden, Uri Tzvi; Kramer, Mark Alan (Contact)
Project Title:	Measuring, Modeling, and Modulating Cross-Frequency Coupling
Due Date:	05/15/2020
Current Reviewer:	Baldwin, Diane Marie
Status:	Reviewer Work in Progress

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

RPPR PDF

C. PRODUCTS

C.1 PUBLICATIONS

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

Yes

Publications Reported for this Reporting Period

Public Access Compliance	Citation
Complete	Nadalin JK, Martinet LE, Blackwood EB, Lo MC, Widge AS, Cash SS, Eden UT, Kramer MA. A statistical framework to assess cross-frequency coupling while accounting for confounding analysis effects. eLife. 2019 October 16;8. PubMed PMID: 31617848; PubMed Central PMCID: PMC6821458; DOI: 10.7554/eLife.44287.
Complete	Nadalin JK, Martinet LE, Blackwood EB, Lo MC, Widge AS, Cash SS, Eden UT, Kramer MA. A statistical framework to assess cross-frequency coupling while accounting for confounding analysis effects. eLife. 2019 October 16;8. PubMed PMID: 31617848; PubMed Central PMCID: PMC6821458; DOI: 10.7554/eLife.44287.

C.2 WEBSITE(S) OR OTHER INTERNET SITE(S)

Category	Explanation
Software	Algorithms to compute and apply the statistical modeling framework to assess CFC. (https://github.com/Eden-Kramer-Lab/GLM-CFC)
Research Material	Preprint: Seizure onset location shapes dynamics of initiation Pariya Salami, Noam Peled, Jessica K. Nadalin, Louis-Emmanuel Martinet, Mark A. Kramer, Jong W. Lee, Sydney S. Cash bioRxiv, doi: https://doi.org/10.1101/2020.02.27.968313 https://www.biorxiv.org/content/10.1101/2020.02.27.968313v1

C.3 TECHNOLOGIES OR TECHNIQUES

NOTHING TO REPORT

C.4 INVENTIONS, PATENT APPLICATIONS, AND/OR LICENSES

Have inventions, patent applications and/or licenses resulted from the award during the reporting period? No

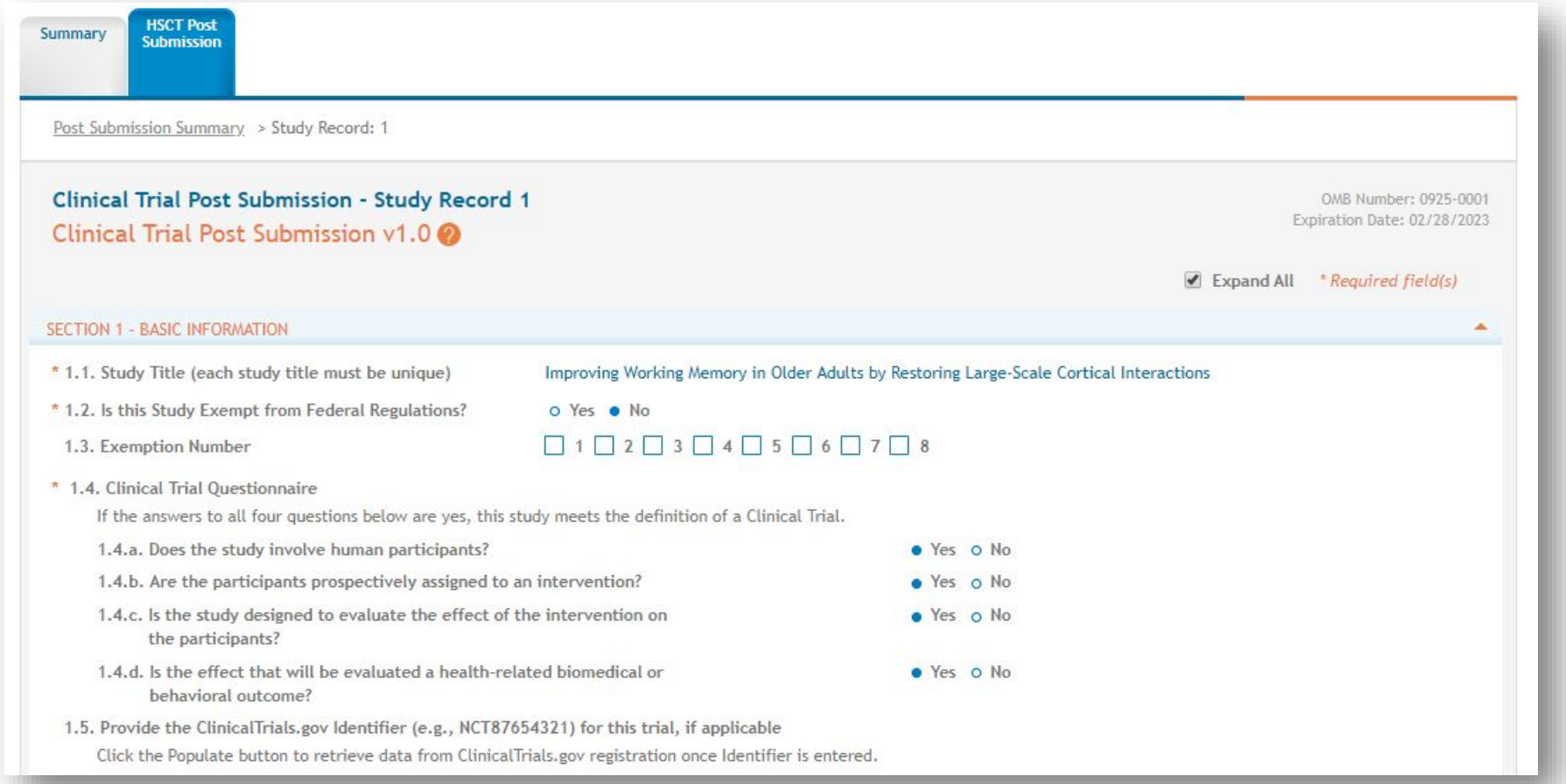
If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization? No

C.5 OTHER PRODUCTS AND RESOURCE SHARING

Nothing to report

SP View of the RPPR (cont)

HSCT Record in ASSIST



Summary | HSCT Post Submission

Post Submission Summary > Study Record: 1

Clinical Trial Post Submission - Study Record 1

Clinical Trial Post Submission v1.0

OMB Number: 0925-0001
Expiration Date: 02/28/2023

Expand All * Required field(s)

SECTION 1 - BASIC INFORMATION

* 1.1. Study Title (each study title must be unique): Improving Working Memory in Older Adults by Restoring Large-Scale Cortical Interactions

* 1.2. Is this Study Exempt from Federal Regulations? ○ Yes ● No

1.3. Exemption Number ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8

* 1.4. Clinical Trial Questionnaire

If the answers to all four questions below are yes, this study meets the definition of a Clinical Trial.

1.4.a. Does the study involve human participants? ● Yes ○ No

1.4.b. Are the participants prospectively assigned to an intervention? ● Yes ○ No

1.4.c. Is the study designed to evaluate the effect of the intervention on the participants? ● Yes ○ No

1.4.d. Is the effect that will be evaluated a health-related biomedical or behavioral outcome? ● Yes ○ No

1.5. Provide the ClinicalTrials.gov Identifier (e.g., NCT87654321) for this trial, if applicable

Click the Populate button to retrieve data from ClinicalTrials.gov registration once Identifier is entered.

SP Review

SP review of RPPR Summary Form

- Any changes to subs, do we have the updated paperwork?
- Unspent balance in line with what is noted in SAP?
- Changes in effort align with what is reported in RPPR?
- PI Certifications- do they align with what is reported in RPPR?
- Appropriate signatures on RSF?

SP review of RPPR

- Content and formatting of attachments
- Content of fillable fields in the RPPR
- Compliance with publication policy (Section C)
- Compliance with effort reporting requirements (Section D)
- Compliance with reporting on human subjects enrollment (section G)
- Compliance with reporting unobligated balance (section G)
- If necessary, review of budget included in non-SNAP RPPR

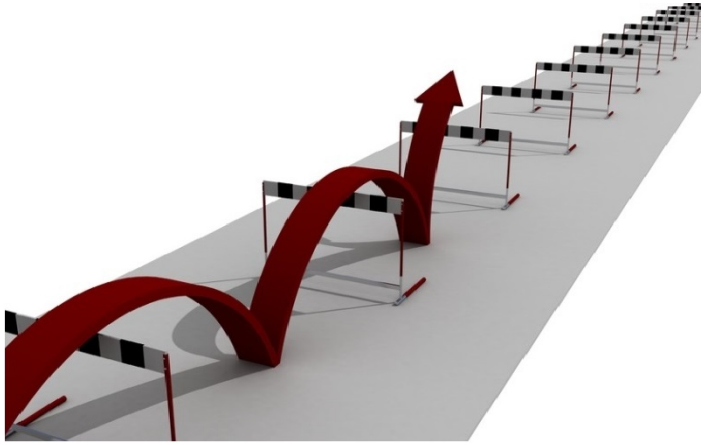
SP Pain Points During Review

Publication Compliance

PI effort reduction greater than 25% from submission levels

Human Subjects/Clinical Trials information in ASSIST

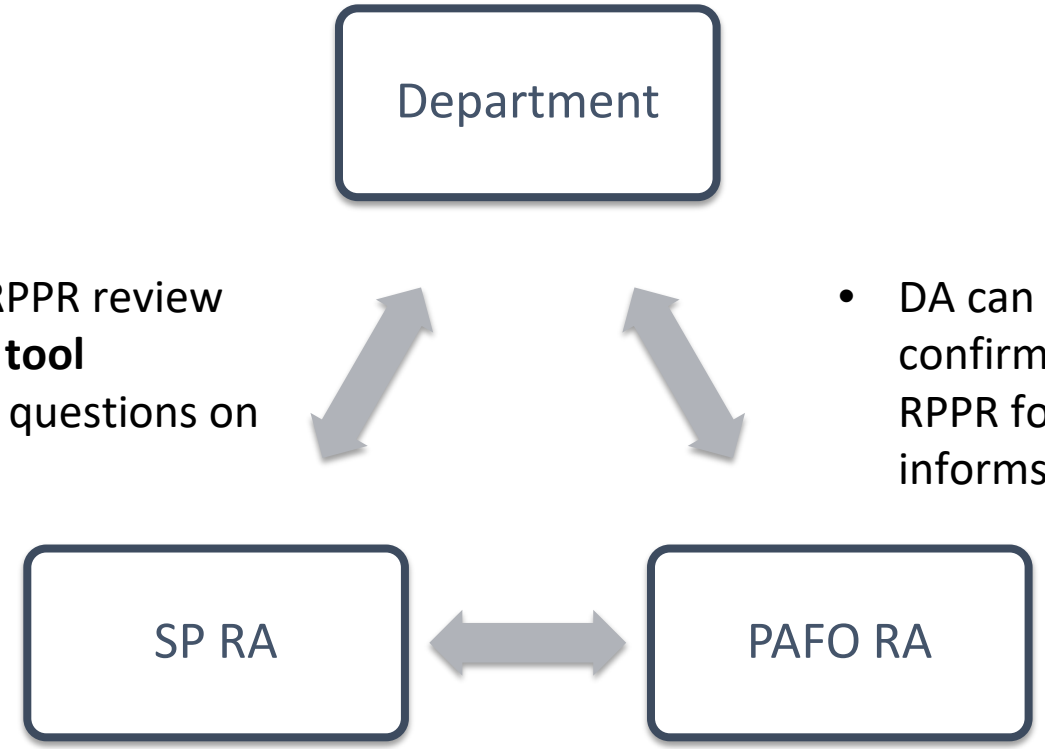
Reporting unobligated balance



SP Submission

- RPPR and RSF have been reviewed and approved by SP
- PI is notified that RPPR is ready for submission
- Once PI approves, RPPR is submitted to the sponsor via eRA Commons

Department and Central Communications



- DA contacts SP for RPPR review including **calculator tool**
- SP will contact DA if questions on reported figure

- DA can reach out to PAFO RA to confirm balance before submitting RPPR for SP review; in this case, DA informs SP RA that review took place

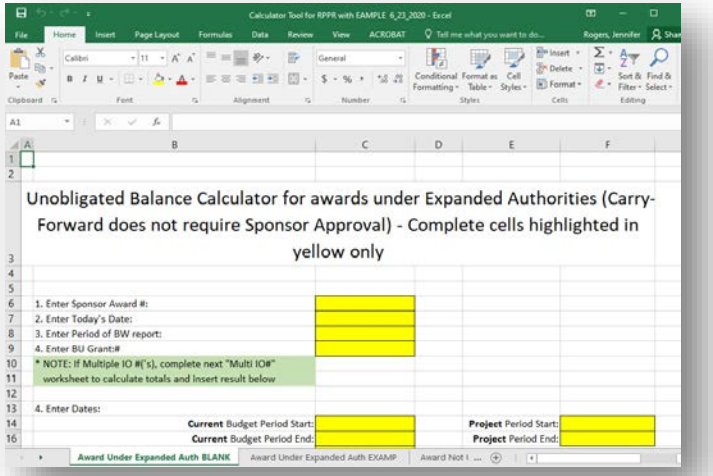
- Discuss unobligated balance at time of RPPR
- SP confirms with PAFO if unobligated balance greater than 25%
- Discuss revised numbers ahead of submission

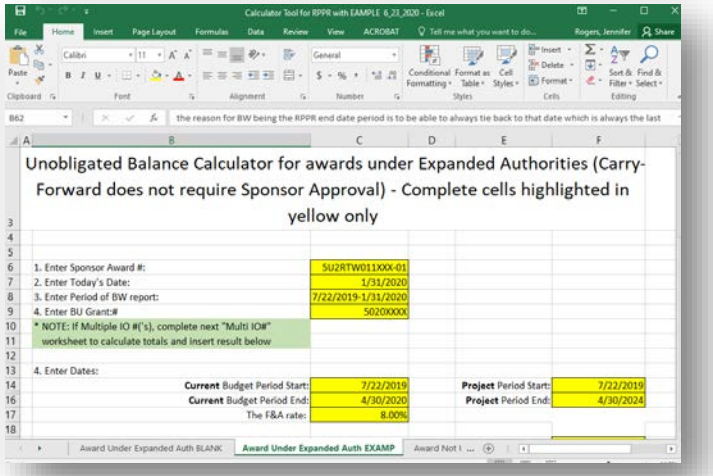
Post Award Financial Operations

- To assist with consistent calculation of the unobligated balance, use the "**Calculator Tool**"
- SP RA will share the **"Calculator Tool"** with the PAFO RA for review of accuracy unless previously approved by PAFO RA

Calculator Tool

- Worksheet available for DAs who are looking for a tool to use
- One Workbook with multiple tabs and examples
- Multiple IO Numbers
- Expanded Authorities
- Not Expanded Authorities





http://www.bu.edu/researchsupport/2020/07/16/rppr-calculator-tool/

BEST PRACTICES

Unobligated Balance Calculation for RPPR

#1

The DA can support PI response on anticipated unobligated balance.

- ❑ Project out expenses through end of current grant year
- ❑ If there are Subawards, coordinate with PI over progress of subaward recipients.
- ❑ Calculate Current Obligated Available Budget (current segment plus any “approved” unobligated budget carried forward from previous year(s))

$$\frac{\text{Projected Current Year-end Total Cost Balance}}{\text{Current Year Approved Budget x 100}} = \text{\% Projected Unobligated Balance at year end}$$

Subcontracts

#2

When completing an RPPR for an award with subcontracts, PIs or department research administrators should request the following information from each subcontract PI several weeks in advance of the deadline to allow time for each institution to prepare the reports:

- ACTIVE Other Support for sub-award PI and all key personnel
- Personnel Report info. for all personnel devoting effort in current budget year
- Unobligated balance for the current grant year and, if balance is >25%, an explanation and a justification of how it will be used in the upcoming grant year
- Detailed budget and justification (for grants that require a budget)

*scientific reports are submitted directly to the PI from the subrecipient

Subcontracts - Helpful Tips

ACTIVE Other Support

- Request in Word, in case edits are needed and so that it can be combined with Other Support of other investigators.
- If available, consider attaching the Other Support document that was provided the last year, or for JIT, to try to make it simpler for them.

Personnel Report

- Request for all personnel devoting effort in the current grant year, noting that a Commons ID and complete profile is required for Key individuals, postdocs and grad students.
- Consider attaching, for their ease, a blank copy of the old paper Personnel Report.

Unobligated Balance

- Request the approximate $ amount of any anticipated balance in the current grant year and, if an anticipated balance is >25%, request an explanation of why there is a balance and a justification of how it will be used in the upcoming grant year (whether this needs to be incorporated into the overall RPPR will depend on whether the overall grant balance is >25% and how large a portion the subaward is of the overall budget and balance).

Budget

- Prime PI should provide to the subaward PI the *anticipated* total $ amount to be allocated to the subaward for the upcoming grant year (noting it is possible this could change if the overall award were reduced due to NIH policies). If this *anticipated* total $ amount is less than the originally request $ amount, explain why (i.e. such as overall awarded budget was reduced).
- For grants that require a budget to be entered into the RPPR, request detailed subaward budget, including justification.
- Consider attaching a blank copy of the standard subaward budget form and the budget originally submitted (or the budget submitted with the previous year RPPR) for their reference/ease in completing.

Other Support

#3

At the time of Progress Report an updated other support page is required for:

- New Senior/Key Personnel
- Changes in Other Support that result in effort being reduced by 25% or more on the project

Other Support **includes all financial resources**, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards, foreign resources. (Training awards, prizes, or gifts do not need to be included.)

Other Support – Helpful Tips

- ❑ Remind Investigators of the original effort proposed
- ❑ Provide Investigators with their Other Support Document from JIT/prior year RPPR in word format so they can easily edit
- ❑ Information for all other support pages should be consistent in format (i.e. font size, direct cost vs. total cost)
- ❑ Report the total annual amounts for awards, including subcontracts
- ❑ Be sure to include overlap statements that outline the scientific overlap or need for reduction in effort on specific projects
- ❑ Use “(THIS AWARD)” for the award being reported. “(NEW)” for any new awards not previously reported. (Effective March 2020)

Other Support (cont.)

The NIH monitors the Other Support pages across various projects for all Senior/Key Personnel. Inaccurate information may result in delays or restrictions to the Notice of Award.

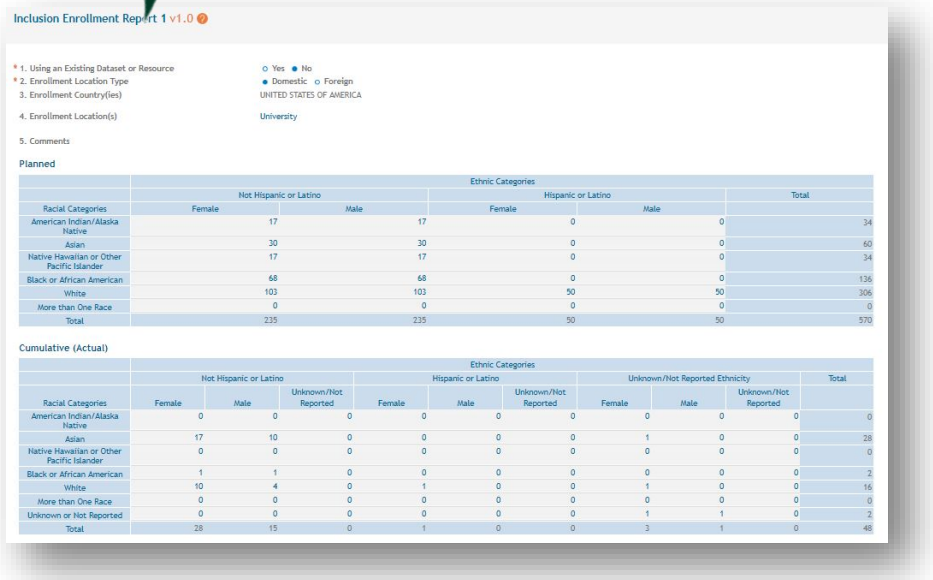
Visit the NIH website for the most up to date version of the Other Support Format page. (https://grants.nih.gov/grants/forms/othersupport.htm)

Other Support Format Page – (Progress Reports)	Information on Other Support is used for grant awards and progress reports.	**Blank format page:** Other Support format page	**Instructions:** NIH Grants Policy Statement, Section 2.5.1: Just-in-Time Procedures	**SAMPLE:** Other Support – non-competing **WEBSITE:** Other Support	March 2020

Human Subjects and Clinical Trials Post-Submission Records and RPPRs

#4

- Human Subject information and enrollment is now reported via ASSIST.
- HSCT record is accessed via a link embedded in section G.4 of the RPPR.
- At the time of RPPR, only the Inclusion/ Enrollment report must be updated, unless study is a clinical trial.
- Once the HSCT Study record is updated and saved, alert SP RA.
- SP RA will review updated record.
- Once updated Study Record is reviewed, it can be submitted for inclusion in the RPPR.
- For further details on the use of the ASSIST HSCT function, see these instructions.



Inclusion Enrollment Report 1 v1.0

* 1. Using an Existing Dataset or Resource: ○ Yes ● No
* 2. Enrollment Location Type: ● Domestic ○ Foreign
3. Enrollment Country(ies): UNITED STATES OF AMERICA
4. Enrollment Location(s): University
5. Comments

Planned

	Ethnic Categories				
	Not Hispanic or Latino		Hispanic or Latino		Total
Racial Categories	Female	Male	Female	Male	
American Indian/Alaska Native	17	17	0	0	34
Asian	30	30	0	0	60
Native Hawaiian or Other Pacific Islander	17	17	0	0	34
Black or African American	68	68	0	0	136
White	103	103	50	50	306
More than One Race	0	0	0	0	0
Total	235	235	50	50	570

Cumulative (Actual)

	Ethnic Categories									
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			Total
Racial Categories	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/Alaska Native	0	0	0	0	0	0	0	0	0	0
Asian	17	10	0	0	0	0	1	0	0	28
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0	0	0	0	0
Black or African American	1	1	0	0	0	0	0	0	0	2
White	10	4	0	1	0	0	1	0	0	16
More than One Race	0	0	0	0	0	0	0	0	0	0
Unknown or Not Reported	0	0	0	0	0	0	1	1	0	2
Total	28	15	0	1	0	0	3	1	0	48

Publications and NIH Public Access Policy Compliance

#5

Common Questions

- How long does it take for a publication to come into compliance?
- What happens if an RPPR is submitted with a non-compliant publication?

What is the NIH Public Access Policy?

- See this resource for further details.

What falls under the NIH Public Access Policy?

- See this webpage for assistance concerning your publications.

How can I tell if a publication is compliant?

- See this webpage for an explanation of the different compliance statuses.

How is a paper submitted to NIH for PMC processing?

- See this resource for complete instructions.

Public Access Compliance codes in the RPPR and My NCBI report	
Compliant	***Not Compliant***
• Complete • N/A (not applicable) • PMC Journal In Process • In process at NIHMS	• Non-compliant