Business Breakout Session
March 30, 2017
Royal Ballroom
3:35pm – 5:00pm

Pamela B. Clark
Grants Management Officer
Grants Management Branch
Division of Extramural Research & Training
National Institute of Environmental Health Sciences

Plaza Las Delicias
Overview Items to be discussed:

- Budget News/ Policy Updates
- RPPR – Progress Report Submission
- Roles and Responsibilities – (Protocols – BO/SO Signatures)
- Carryover versus Offset (differences)
- Carryover, FFR and Supplement Processes
- Additional Reminders
Budget News/Policy Updates
NIH FY Continuing Resolution

• NIH is funded under the Continuing Appropriations Act, 2017 (Public Law 114-254) signed by former President Obama on December 10, 2016 which funds the government until April 28, 2017.

• All FY 2016 legislative mandates remain in effect.

FY 2017 NIH Grants Policy Statement (GPS)

• The Grants Policy Statement is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2016. The Significant Changes document summarizes the notable grants policy changes and clarifications implemented in the NIH GPS.

NIH will continue to publish interim grants policy changes through the issuance of NIH Guide Notices via the NIH Guide for Grants and Contracts.
Salary Cap Changes……

• FY 2017
  • Interim Guidance on Salary Cap Limitation for Grants and Cooperative Agreements

Limited to Executive Level II – Changed
From $185,100 to $187,000 effective
January 8, 2017 See NOT-OD-17-049

Submitting the RPPR

• Non-Streamlined Non-Competing Award Process (Non-SNAP) RPPRs are due approximately 60 days before the next budget period start date.

• Annual RPPR is Due Dates:
  – Infectious Disease – EBOLA - **April 1st**
  – Hazardous Waste – HWWTP - **June 1st**
  – Department of Energy – DOE - **July 1st**


**NOTE:** (Requirements by Program (DMS) are not a part of the standard RPPR Process)
Submitting the RPPR

You are here: RPPR Module > Initiating the RPPR

Revised 9/6/2015

If you are having trouble viewing any of the information contained in this help topic, it can also be found in the eRA Commons User Guide located online at http://era.nih.gov/commons/user_guide.cfm. Refer to the User Guide's Table of Contents for your specific topic.

Initiating the RPPR

Only the PD/PI or the PD/PI delegate may initiate an RPPR. When there are multiple PIs (MPI), only the Contact PI or the PD/PI delegate of the Contact PI may initiate the report.

To initiate, the user can choose from one of two ways to access the RPPR functionality:

1. Access RPPR from Status.

OR

1. Access RPPR from RPPR tab.

If an RPPR exists already, Commons displays the report for editing.

The RPPR Menu screen displays. The options for the uninitiated report are Initiate and Cancel. Once an RPPR is in progress, the buttons for other options are enabled.

NOTE: For multi-year funded awards, the following message displays when attempting to initiate an RPPR if the previous year's report has not been submitted:

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

In this case, the option to initiate is disabled.
### A. Cover Page

#### Grant Information

- **Grant Number:** 5R01AI123456-02
- **Project Title:** Xenografts for the treatment of liver failure

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

- **Name:** DOE, JANE
- **E-mail:** eRA testing@od.nih.gov
- **Phone:** 412-555-5555

#### A.2 Signing Official Information

- **Name:** WELLER, KURT
- **E-mail:** eRA testing@od.nih.gov
- **Phone:** 412-555-5555

#### A.3 Administrative Official Information

- **Name:** WELLER, KURT
- **E-mail:** eRA testing@od.nih.gov
- **Phone:** 412-555-5555

#### A.4 Recipient Organization Information

- **Organization Name:** UNIVERSITY OF PITTSBURGH AT PITTSBURGH
- **Address:**
  - UNIVERSITY OF PITTSBURGH
  - OFFICE OF RESEARCH
  - 123 UNIVERSITY PL
  - PITTSBURGH PA 152132303
- **DUNS:** 001234567
- **EIN:** 1234567891A6
- **Recipient ID:**

#### Project/Grant Period

- **Start Date:** 03/15/2016
- **End Date:** 02/28/2021

#### Reporting Period

- **Start Date:** 03/15/2016
- **End Date:** 02/28/2017

#### Requested Budget Period

- **Start Date:** 03/01/2017
- **End Date:** 02/28/2018
- **Report Frequency:** Annual
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 (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.):

1. To test the ability of swine hepatocyte xenografts to improve survival and support key liver functions in monkeys with acute liver failure.
2. To determine whether repeated hepatocyte xenografts improve the outcome of acute hepatic failure.
3. To determine whether swine hepatocyte xenografts evoke immunity potentially hindering subsequent xenografts or allografts.

Total remaining allowed limit is 7631 characters.

B.1.a Have the major goals changed since the initial competing award or previous report?

- Yes
- No

B.2 What was accomplished under these goals?

For this reporting period describe: 1) major activities, 2) specific objectives, 3) significant results, including major findings, developments, or conclusions (both positive and negative), and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

Goals are equivalent to specific aims. In the response, emphasize the significance of the findings to the scientific field. Include the approaches taken to ensure robust and unbiased results. For most NIH awards, the response should not exceed 2 pages.

Upload accomplishments [02.pdf] Add Attachment Delete Attachment View Attachment

B.3 Competitive Revisions/Administrative Supplements

For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?

- Yes
- No

If yes, identify the Revision(s)/Supplement(s) by grant number (e.g., 3R01CA096765-01S) or title and describe the specific aims and accomplishments for each Revision/Supplement funded during this reporting period. Include any supplements to promote diversity or re-entry, or other similar supplements to support addition of an individual or a discrete project.

Revision/Supplement #

or Revision/Supplement Title

Total remaining allowed limit is 255 characters.

Describe the specific aims for this Revision/Supplement below (Limit is 700 characters or approximately 1/4 of a page).

Total remaining allowed limit is 700 characters.

Describe the accomplishments for this Revision/Supplement below (Limit is 700 characters or approximately 1/4 of a page).

Total remaining allowed limit is 700 characters.
FORM: B. Accomplishments

Questions: B.4 - B.6

B.4 What opportunities for training and professional development has the project provided?

If the research is not intended to provide training and professional development, state “Nothing to Report.” Describe opportunities for training and professional development provided to those in which individuals with advanced professional skills and experience are involved in the activities supported by the project. “Training” activities may include, for example, courses or one-on-one work with a mentor. “Professional development” activities result in increased knowledge or skills in an area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.

For all projects reporting graduate student and/or postdoctoral participants in Section D. Participant, grantees are encouraged to describe the use of Individual Development Plans (IDPs) for those participants. Do not include the actual IDP; instead include information to document that IDPs are used to help manage the training for those individuals.

For R25, R26, R35, R38, R39, R41, D43 and other awards or award components designed to provide training and professional development opportunities, a response is required. Do not reiterate what is reported. Limit the response to this reporting period.

☐ Nothing to Report

or upload description

B.5 How have the results been disseminated to communities of interest?

Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of activities, for the purpose of enhancing public understanding and increasing learning in science, technology, and the humanities.

☐ Nothing to Report

or enter response below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

The results have been disseminated at national and international meetings and by publication in the Journal of Hepatology.

Total remaining allowed limit is 7878 characters.

B.6 What do you plan to do during the next reporting period to accomplish the goals?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased. Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2).

Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Changes.

Enter response below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Now that changes to our protocol have been approved by the IACUC, we will begin control, no transplant experiments for induction of ALF, and as soon as inbred donor pigs are available we shall begin the transplant experiments.

Total remaining allowed limit is 7775 characters.
C. Products

NOTE: Publications that have a gold lock on them in your My NCBI bibliography cannot be removed from the RPPR. To delete a citation with a gold lock, contact the NIHMS help desk through their web form which is accessible at www.nihms.nih.gov. Additional information and instructions are also available at the FAQ found here: "This award did not support this research."

C.1 Publications

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

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

All publications associated with this project in My NCBI

Nothing to display
☐ Hide publications from My NCBI

Publications not associated with this project in My NCBI

Nothing to display

C.2 Website(s) or other Internet site(s)

List the URL for any internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above.

☐ Nothing to Report

or list URL(s) for internet site(s) and provide description(s) below (NIH recommended length is up to 1 page. Limit is 2000 characters or approximately 3 pages.)

NOTHING TO REPORT

Total remaining allowed limit is 2000 characters.

Add/New  Clear
### C.3 Technologies or techniques

Identify technologies or techniques that have resulted from the research activities. Describe the technologies and their potential applications and how they are being shared.

If the technology or technique falls into other product categories, please select these categories from the pull-down menu [select multiple categories by holding down the Ctrl button while selecting the categories]. If the product(s) has been reported or shared through a public reporting period, please enter the date(s) of significant public reporting and/or PubMed ID in the product description. Limit the response to this section to 2000 characters.

- **Nothing to Report**

  Total remaining allowed limit is 2000 characters.

<table>
<thead>
<tr>
<th>Category</th>
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</table>

### C.4 Inventions, patent applications, and/or licenses

Have inventions, patent applications and/or licenses resulted from the award during this reporting period?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization?

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<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
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Reporting of inventions through [iridian](https://www.iridian.com) is strongly encouraged.

### C.5 Other products and resource sharing

- **Nothing to Report**

  Total remaining allowed limit is 2000 characters.

<table>
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### Other products and resource sharing

- **Nothing to Report**

  Total remaining allowed limit is 2000 characters.

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<th>Category</th>
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D. Participants

Tips & Notes:

THE FOLLOWING DOES NOT APPLY TO FELLOWSHIPS:

For NIH awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles.

Additionally, individuals with these roles on a project are required to complete the following fields in the Commons Personal Profile: Date of Birth, Gender, Ethnicity and Race, Disability, and Citizenship Status. For the Gender, Race and Ethnicity, and Disability fields, one of the acceptable responses is 'Do not wish to provide'. Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree. The profile must also include the name of institution issuing the degree.

FORM: D. Participants

Question: D.1

D.1 What individuals have worked on the project?

Provide or update the following information for: (1) program director(s)/principal investigator(s) (PDs/PIs); and (2) 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. Indicate the nearest whole person month (Calendar, Academic, Summer) 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 Rerity 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 *.

eRA Commons User ID

*First Name

Middle Name

*Last Name

*Senior/Key Personnel?

Yes

No

Degree(s)

*Project Role

Please select a role

Other (Project Role)

Supplement Support (SS)

Not Applicable

Calendar

*Person Months

Academic

Summer

*Is the individual's primary affiliation with a foreign organization? Yes

No

Check "no" if the individual's primary affiliation is with a foreign organization but the individual is working on this award solely while in the U.S.

If yes, provide the name of the organization and country

Organization Name

Country

Please select a country

Add/New

Clear
D.2 Personnel Updates

**D.2.a Level of Effort**
Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort requested by the agency for the PD/PI(s) or other senior/key personnel designated in Award, or (2) a reduction in the level of effort below the minimum amount of effort required by the Notice of Award?

- [ ] Yes
- [ ] No

Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once agency approval has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level. Selecting “yes” constitutes a prior approval request to the agency and the issuance of a subsequent year of funding constitutes agency approval of the request.

If yes, provide an explanation below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

**D.2.b New Senior/Key Personnel**
Are there, or will there be, new senior/key personnel?
- [ ] Yes
- [ ] No

Senior/key personnel are those identified by the grantee institution as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not salaries are requested. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants may be considered senior/key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for senior/key personnel.

If yes, upload biosketches and other support for all new senior/key personnel.

**D.2.c Changes in Other Support Help**
Has there been a change in the active other support of senior/key personnel since the last reporting period?
- [ ] Yes
- [ ] No

If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been.

**D.2.d New Other Significant Contributors**
Are there, or will there be, new other significant contributors?
- [ ] Yes
- [ ] No

Other significant contributors are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project.

If yes, upload biosketches for all new other significant contributors.

**D.2.e Multi-PI (MPI) Leadership Plan**
Will there be a change in the MPI Leadership Plan for the next budget period?
- [ ] N/A
- [ ] Yes
- [ ] No

Change in status of PD/PI requires prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.6).

If yes, upload a revised MPI Leadership Plan that includes a description of the change(s).
E. Impact

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);
- 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 (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

NOTHING TO REPORT

Total remaining allowed limit is 7983 characters.

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)

or provide the following for each foreign country: Dollar Amount Country

Add/New Clear
F. Changes

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 or 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.

☐ Nothing to Report

or describe challenges or delays and plans to resolve them below (NIH recommended length is up to 1 page Limit is 6000 characters or approximately 3 pages.)

Delays in getting accounts organized and verifying IACUC and research protocol conformance. Delays in breeding donor pigs. Delays in approval for minor IACUC modifications. And delays secondary to getting staff hired and unexpected departure of staff.

Total remaining allowed limit is 7751 characters.

F.3 Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents

Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards, and/or select agents during this reporting period. Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Policy Statement 8.1.2). If there are changes in any of the following areas check the appropriate box and provide a description of the changes.

F.3.a Human Subjects

If human subject protocols are or will be different from the previous submission, include a description and explanation of how the protocols differ and provide a new or revised Protection of Human Subjects Section as described in the competing application instructions.

☐ No Change

or upload description of change F3a.pdf

F.3.b Vertebrate Animals

If there are or will be significant changes to the uses of vertebrate animals from the previous submission, provide a description of the changes. Examples of changes considered to be significant include, but are not limited to, changing animal species, changing from noninvasive to invasive procedures, new project/performance site(s) where animals will be used, etc. If studies involving live vertebrate animals are planned and were not part of the originally proposed research design, provide a new or revised Vertebrate Animal Section as described in the competing application instructions.

☐ No Change

or upload description of change F3b.pdf

F.3.c Biohazards

If the use of biohazards is or will be different from the previous submission, provide a description and explanation of the difference(s).

☐ No Change

or upload description of change F3c.pdf

F.3.d Select Agents

If the possession, use, or transfer of Select Agents is or will be different from that proposed in the previous submission, including any change in the Select agent research location and/or the required level of biocontainment, provide a description and explanation of the differences. If the use of Select Agents was proposed in the previous submission but has not been approved by regulatory authorities, provide an explanation. If studies involving Select Agents are planned and were not part of the originally proposed research design, provide a description of the proposed use, possession, transfer, and research location as described in the competing application instructions.

U.S. Select Agent Registry Information: [http://www.selectagents.gov/SelectAgentsToZincs.html](http://www.selectagents.gov/SelectAgentsToZincs.html)

☐ No Change

or upload description of change
### G. Special Reporting Requirements

**FORM: G. Special Reporting Requirements - Questions G.1 - G.4.c -**

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td><strong>G.1</strong></td>
<td>Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements</td>
</tr>
<tr>
<td><strong>G.2</strong></td>
<td>Not Applicable</td>
</tr>
<tr>
<td><strong>G.3</strong></td>
<td>Not Applicable</td>
</tr>
<tr>
<td><strong>G.4</strong></td>
<td>Human Subjects</td>
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<tr>
<td><strong>G.4.a</strong></td>
<td>Does the project involve human subjects?</td>
</tr>
<tr>
<td><strong>G.4.b</strong></td>
<td>Inclusion Enrollment Data</td>
</tr>
<tr>
<td><strong>G.4.c</strong></td>
<td>ClinicalTrials.gov</td>
</tr>
</tbody>
</table>

**G.4.b Inclusion Enrollment Data**

Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race.

Click here for complete instructions about this requirement.

**Inclusion Enrollment Report**

Inclusion monitoring is not required for this award.

**G.4.c ClinicalTrials.gov**

Does this project include one or more applicable clinical trials that must be registered in ClinicalTrials.gov under FDAAA?

- [ ] Yes
- [ ] No

If yes, provide the ClinicalTrials.gov identifier, NCT number (e.g., NCT00554521) for those trials.

**NCT number**

[Add/New] [Clear]
G.5 Human Subjects Education Requirement

Are there personnel on this project who are or will be newly in

○ Yes ○ No

If yes, provide the following in the text box below (Limit is 1300 characters or approximately 1/2 of a page.)

- names of individuals,
- title of the education program completed by each individual, and
- a one sentence description of the program

Total remaining allowed limit is 1300 characters.

G.6 Human Embryonic Stem Cells (hESCs)

Does this project involve human embryonic stem cells? ○ Yes ○ No

Only hESC lines listed as approved in the NIH Registry may be used in NIH funded research.

If yes, identify the hESC Registration number(s) from the NIH Registry

If there is a change in the use of hESCs provide an explanation below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

G.7 Vertebrate Animals

Does the project involve vertebrate animals? ○ Yes ○ No
### Form: G. Special Reporting Requirements

#### Question: G.8

<table>
<thead>
<tr>
<th>Organization</th>
<th>DUNS or DUNS+4</th>
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<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary: University of Pittsburgh</td>
<td>004514360-0000</td>
<td>PA-014</td>
<td>4401 Penn Avenue 6130 Faculty Pavilion, Rangos, Pittsburgh PA, 152441334, UNITED STATES</td>
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<td>073133751-0000</td>
<td>MI-007</td>
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<td>UNIVERSITY OF PITTSBURGH</td>
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<td>MN-001</td>
<td>200 First Street SW, Rochester MN, 559050001, UNITED STATES</td>
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</tbody>
</table>
"Foreign component" is defined as significant scientific activity that is not grant-related and involves the use of funds provided under the grant. The following activities are exemples of significant foreign components:

- Involvement of human subjects or research with live vertebrate animals;
- Extensive foreign travel by grantee project staff to collect data, or conduct surveys or sampling activities;
- Any grantee activity that may have an impact on U.S. foreign policy.

Examples of other significant foreign activities that may be significant are:

- Collaborations with investigators at a foreign site anticipated to result in co-authorship;
- Use of facilities or instrumentation at a foreign site; or
- Receipt of financial support or resources from a foreign entity.

Foreign travel for consultation does not meet the definition of foreign component.

- [ ] No foreign component

or provide the organization name, country, and description of each foreign component

Organization Name [ ]

Country [Please select a country]

Description of Foreign Component (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.
FORM: G. Special Reporting Requirements
Questions: G.10 - G.12

G.10 Estimated Unobligated Balance

G.10.a Is it anticipated that an estimated unobligated balance will be carried over to the next budget period? ☐ Yes ☐ No

AHRQ Special Instructions
The "total approved budget" equals the current fiscal year award authorization plus any approved carryover of funds from a prior year(s). The numerator equals the total amount available for carryover and equals the current year's total approved budget.
If yes, provide the estimated unobligated balance. 260055

G.10.b Provide an explanation for unobligated balance below (Limit is 700 characters or approximately 1/4 of a page.)
We will catch up in our studies significantly in the next budget year. We need to get transonic pigs on the ground before we can perform transplants and the vendor has been having difficulty breeding them. We now have NHPs on site and are beginning the basic pre-transplant studies on them now.

Total remaining allowed limit is 392 characters.

G.10.c If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent. To determine carryover authorization, see the Notice of Award (Limit is 1300 characters or approximately 1/2 of a page.)

Total remaining allowed limit is 1300 characters.

G.11 Program Income

Is program income anticipated during the next budget period? ☐ Yes ☐ No
If yes, use the format below to reflect the amount and source(s)

Anticipated Amount Source(s)

Add/New Clear

G.12 F&A Costs

Is there a change in performance sites that will affect F&A costs? ☐ Yes ☐ No
If yes, provide an explanation below (Limit is 1300 characters or approximately 1/2 of a page.)

Total remaining allowed limit is 1300 characters.
H. Budget

Please click the **Save** button before leaving this page. Otherwise, all changes will be lost.

---

### H.1 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).

Select a budget to add from the dropdown list:

<table>
<thead>
<tr>
<th>Budget Type</th>
<th>Funds Requested</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>SF424 Research and Related Budget</td>
<td>$0.00</td>
<td>Edit</td>
</tr>
</tbody>
</table>

---

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 detailed SF242 (R&R) Application Guide for NIH and other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium.

Select a subaward budget to add from the dropdown list:

<table>
<thead>
<tr>
<th>Budget Type</th>
<th>Subaward</th>
<th>Organization</th>
<th>Funds Requested</th>
<th>Action</th>
</tr>
</thead>
</table>

Nothing found to display

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**Save**  **Cancel**  **Cover Page**  **B Accomplishments**  **C Products**  **D Participants**  **E Impact**  **F Changes**  **G Special Reporting Req**  **H Budget**  **I Outcomes**
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.gov/grants/rppr/sample_project_outcomes_RPPR.htm](https://grants.gov/grants/rppr/sample_project_outcomes_RPPR.htm)

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

(NIH recommended length is up to 1/2 a page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.
Troubleshooting Support

• **Service Desk Ticketing System!**
  – Log-in with your eRA Commons username and password to access the eRA Service Desk web ticketing system to submit a service desk ticket online, view status of your prior tickets, and update your tickets.

• Access the [eRA Service Desk web ticketing system](http://grants.nih.gov/support) with your eRA Commons user name and password.

• **Having trouble logging in?**
  Contact the eRA Service Desk directly:

  **Web:** [http://grants.nih.gov/support](http://grants.nih.gov/support) (Preferred method of contact)

  **Toll-free:** 1-866-504-9552

  **Phone:** 301-402-7469

  **Email:** s2ssupport@mail.nih.gov (for System-to-System support)

  **Hours:** Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time, except for Federal Holidays
Roles and Responsibilities (Protocols – Signatures)

**Institutional Business Official** Person working in a research organization's business office who has signature or other authority. That person is the same as Grants.gov's Authorized Organizational Representative (AOR) and the eRA Commons' Signing Official (SO).

**Signing Official (SO)** has institutional authority to legally bind the institution in grants administration matters. The individual fulfilling this role may have any number of titles in the grantee organization. The label, "Signing Official," is used in conjunction with the NIH eRA Commons. The SO can register the institution, and create and modify the institutional profile and user accounts. The SO also can view all grants within the institution, including status and award information. An SO can create additional SO accounts as well as accounts with any other role or combination of roles. For most institutions, the Signing Official (SO) is located in its Office of Sponsored Research or equivalent.
Roles and Responsibilities
(Protocols –Signatures)

Program Director/Principal Investigator (PD/PI) - The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

Administrative Official (AO) - In the eRA Commons, reviews the grant application for accuracy before the signing official submits the final application to the NIH.

- May be the same person as the signing official.
- Resides in either the central research administration office or academic departments.
- Create additional AO and PI accounts
- Not authorized to transmit applications to the NIH.
Carryover, FFR and Supplement Processes

• Carryover of Unobligated Balances (UOB)

❖ Should come from the Business/Signing Official in writing via email or in letter format.

❖ Request should include a clear explanation why there is a balance and what the intended use of funds is.

❖ A Checklist Page identifying any requested indirect costs

❖ Detailed budget and budget justification for UOB.

   ❑ Tables 1 and 2 should accompany the request!!
   o Table 1 – An Analysis of the unobligated balance for a specified budget period.
   o Table 2 – Proposed budget for the carryover funds
Carryover versus Offset

• **Grants Policy Statement (GPS) – 8.4.1.5.4 – Unobligated Balances (UOB) and Actual Expenditures** – Disposition of unobligated balances is determined in accordance with the terms and conditions of the award. (See Administrative Requirements-Changes in Project and Budget for NIH approval authorities for unobligated balances.) Using the principle of "first in-first out," unobligated funds carried over are expected to be used before newly awarded funds.

• Upon receipt of the annual FFR, the GMO will compare the total of any UOB shown and the funds awarded for the current budget period with the NIH share of the approve budget for the current budget period. If the funds available exceed the NIH Share of the approved budget for the current budget period, the GMO may (1) authorize the recipient to spend the excess funds (carryover) or (2) Offset the current award by the amount representing some or all of the excess funds.

• **Unobligated Balances – Carryover versus Offset**

• Unobligated Federal funds remaining at the end of any budget period that, with the approval of the GMO may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization).

• **Carryover increases** the approved budget authorization using prior year funds
  
  – Example: Award provides new fiscal year $ in the amount of $500K plus a carryover of $50K. Resulting authorization (i.e. the $ that can be spent this year) is $550K

• **An offset “partially pays” the current year’s** grant with funds from a prior year – no increased budget authorization (part new funds and part prior years funds to total the actual authorization amount).

  – Example: Budget authorization is $500K. Award provides new fiscal year dollars in the amount of $450K plus an offset of $50K. Resulting authorization is $500K
Timely Financial Reporting


• Annual (Non-SNAP Awards) Due Dates:
  ▪ Infectious Disease – 09/30
  ▪ HWWT / DOE – 12/31

FFR submitted no later than 90 days after the end of the calendar quarter in which the budget period ended.

• Final (SNAP and Non-SNAP Awards)

  • FFR submitted within 120 days following the end of the project period – due at the End of the Project Period i.e. No additional time remaining on project.
Supplement Submissions

➢ Preferred Method is through Grants.gov

➢ adminsupplements@niehs.nih.gov

➢ PHS 398 Budget Format
   ➢ Cover Letter *(optional)*
   ➢ Signed Face Page
   ➢ Budget Pages
   ➢ Justification
   ➢ Checklist Page
   ➢ Training or Course Related Information
When is it Due?

• FFR’s are to be submitted “Electronically” to the Office of Financial Management (OFM)

• HWWT and DOE Grantees-
  – FFRs were due on or before 12/31
  – Carryover Requests were due on or before 03/01

• Infectious Disease
  – FFR’s are due on or before 09/30/2017
  – Carryover Requests are due on or before 12/01/2017

Please note: No action will be taken on Carryover Requests until an Accepted/Approved FFR has been processed by OFM.
Reminders....
RPPR Reminders……

– If your award was not issued under the Streamlined Non-Competing Award Process (SNAP), a detail budget must be included in the RPPR (Parent and Consortium).

– PHS 398 Budget Pages will not be accepted with the RPPR submission.

– RPPR for this Project is always due 60 days prior to the start of the new performance period.

– Only PDF files may be uploaded, and the maximum size per PDF is 6 MB. The only location in the RPPR where multiple PDFs can be inserted in response to one question - G.1 – Special Notice of Award and Funding Opportunities…

http://grants.nih.gov/grants/rppr/faqs.htm#3868 – Frequently Asked Questions
PRIOR APPROVAL REMINDERS…..

- Should **ALWAYS** be in writing from the PARENT organization;
  - Sent via Organization Letter or Email from Authorized SO
  - Grant Number and PI name should be stated in Subject Line
  - Should include Biosketch(es) and Other Support of new personnel

This process also applies to the Consortium/Subawardee; however, those requests should be addressed/routed through the Parent Organization.
Reminders

When adding new Key Personnel/Staff, Biosketchs and Other Support are Required.

• **Biosketch Format**
  

  Biosketch Samples and Instructions
  
  [https://grants.nih.gov/grants/forms/biosketch.htm](https://grants.nih.gov/grants/forms/biosketch.htm)

• **Other Support** - Includes all financial resources, whether Federal, non-Federal, commercial or organizational, available in direct support of an individual's research endeavors, including, but not limited to, research grants, cooperative agreements, contracts, or organizational awards. Other support does not include training awards, prizes, or gifts.

  [PHS 398/2590, Other Support Format Page - grants.nih.gov](https://grants.nih.gov)
Other Requirements

• Reporting Program Income
  – Should still be reported on your FFR as well as on your RPPR.
  – Requests to utilize Program Income should be submitted to the NIEHS PO and GMS.

• Audit Requirements
  – Grantees that expend $750,000 (increased from $500,000) or more within a year in total Federal Awards are subject to A-133 audit requirement. They are to be reported as previously done.
Electronic submission & Era commons
Automated Post Award Changes

Effective March 2, 2017, recipients of NIH awards can submit the following prior approval requests electronically through eRA Commons.

Prior Approval Request for Change of PD/PI
- SOs can initiate the request for a Change of Program Director/Principal Investigator (PD/PI) electronically through eRA Commons via Prior Approval.

Prior Approval Request for No Cost Extension (NCE)
- SOs will be able to request NCEs (in addition to the requests made under expanded authority) electronically through eRA Commons via Prior Approval.

For additional details please see eRA Commons Online Help
Finally! Tips for eSubmission Success

Register Early!

• Required Registrations
  • System for Award Management (SAM)
  • Grants.gov and
  • eRA Commons

• Submit early!
  • Correct any errors before due date

• View your application in Commons

• If you can’t VIEW it, NIH can’t REVIEW it!
Grants Management Contacts

Pamela B. Clark – evans3@niehs.nih.gov – 919-541-7629, GMO

Lisa A. Edwards – archer3@niehs.nih.gov – 919-541-0751, Supervisor, GMO

George Tucker – tuckerg@niehs.nih.gov – 919-541-2749, Chief, GMO

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MDB, Inc.

Lynn Albert – lalbert@michaeldbaker.com – 919-794-4709 - DMS Data Requirement for 2017-2018 Training Year`
QUESTIONS

ABOLITION PARK IN PONCE