

Superfund Research Program Centers (P42)

SRP Center Non-Competing Guidelines: Annual Progress Report and Other Important Information

I. Purpose

The guidelines discussed in this document are intended for existing, awarded SRP Centers to prepare their non-competing continuing applications (i.e. the Type 5 Annual Progress Report, or, simply, "Type 5") as well as provide other information about reporting of Center updates and best practices related to issues that may arise throughout the duration of a grant cycle. These guidelines are meant to complement, but not supersede, rules and guidelines emanating from the National Institutes of Health (NIH) and the U.S. Department of Health and Human Services (DHHS).

For specific issues, questions, and discussion, please contact the appropriate NIEHS Staff listed on this page.

The information contained in this document may be found on the "Materials for Grantees" webpage: <http://www.niehs.nih.gov/research/supported/srp/resources/index.cfm>.

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II. Non-Competing Continuation Applications (Type 5)

The following information outlines general recommendations of the content that each P42 Center should address in the body of the non-competing continuing application (i.e., Type 5 Annual Progress Report, or "Type 5"). These guidelines do not replace the standard required NIH reporting in PHS 2590 (<http://grants.nih.gov/grants/funding/2590/2590.htm>), but are meant to supplement the PHS 2590 guidelines and provide specific instructions for completion of sections that are unique to the P42 Progress Report due to the multi-component nature of the P42 Center grants. The Type 5 reports budgetary updates; provides an overview of the Center's highlights and products; and details the progress of each project and core (and supplement awards, as applicable). Below are tips for writing the following sections of the Type 5: the Center Executive Summary, the Project/Core Progress Reports and Supplement Reports. For a specific outline of the Type 5 Progress Report, please see **Figure 1**.

Please note: All progress narratives (whether for the Center, Project, Core, etc) should be written in non-technical/plain language (please see the NIH website on plain language: http://grants.nih.gov/grants/plain_language.htm). The advances should be detailed enough for use by NIEHS staff for reporting to NIH leadership, Congress, and the public. In general, each Project and Core Progress Report should contain language understandable to a scientist who

may not be a specialist in the project's research field. The style used in Scientific American articles would be appropriate. Abbreviations and language that may not be known to the broader scientific community should be avoided unless clearly defined.

Type 5 Annual Progress Reports are due to NIH February 1, 2013.

1. Center Executive Summary

The Center Executive Summary section provides a concise description of the overall Center's accomplishments in the most recent budget period. For your executive summary, please include the following subsections: Center Highlights, Personnel Updates, SRP Trainee Success Stories, and Consolidated Publication List. These are described below.

A. Center Highlights:

- 1) Centers should briefly report major the highlights from among the projects and cores (approximately up to 5 highlights). These are discoveries or activities that have made a big impact (or are likely to make a big impact). This may include accomplishments with an impact on public health or has the potential to impact public health; major contributions to the body of scientific information (e.g., seminal publication); influence on decision-making progress at a Superfund Site or at a local, state, or federal level; reduction in uncertainty in the risk assessment process; or improvement/application of remediation strategies or processes, etc.
- 2) Ideally, Center highlights will include a mix of biomedical, non-biomedical, and core discoveries/accomplishments.
- 3) Please state WHY this highlight is significant. When possible, please include quantifiable estimates of cost savings, reduced disease incidence, reduction of time for cleanups, etc. relevant to the discovery or activity. If highlighted work has been published, please include cite (e.g. Author, Year) the publications or patents in the text.
- 4) Please limit each highlight to ~250 – 500 words. A greater level of detail would be expected in the individual project or core progress narrative.

B. Personnel Updates: If applicable, list and describe major changes in key personnel for the Center over the funding period. Include plans or timelines for replacement personnel as appropriate. Also, please include anticipated changes in personnel. Please keep this update to a maximum of 1 paragraph to summarize changes. Key personnel are the individuals named in the Notice of Award.

C. SRP Trainee Highlights: Centers are encouraged to briefly highlight significant accomplishments by their trainees over the past funding year. These would include significant awards, publication accomplishments, fellowship awards, notable career advances, etc. SRP trainees are defined as graduate students and post-doctoral researchers either directly supported by the P42 grant or conducting research/activities supported by the grant. Please use this section of the Executive Summary if you do not have a Training Core. Centers with Training cores may opt to refer to the Training Core progress narrative for its Trainee Highlights.

D. Publication/Patent Consolidated List

- a. Provide one comprehensive list of all publications and patents resulting directly from Center support during the last project year. Center member names should be in bold type. Please indicate with an asterisk if a publication resulted from collaborations between projects and core activities.

- b. **Include PMID numbers for all publications.** As noted in NOT-OD-08-033, “beginning May 25, 2008, anyone submitting an application, proposal or *progress report* to the NIH must include the PMC or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research.” If any of the listed publications indicates a PMID number, we will send out a request for this information, which will delay issuance of an award. Please do not include posters, book chapters, articles in prep/submitted, etc. These may be included in the project/core report.

2. Project/Core Progress Reports

The following section provides additional details and tips for preparing the project and core report to supplement to the instructions in PHS 2590. Please see note on Page 1 about using non-technical language (Scientific American style) for these narratives. Abbreviations should be spelled out and highly technical language/terms that may not be known to the broader scientific community should be avoided unless clearly defined. As mentioned previously, an important purpose of the NIH PHS 2590 reporting process is to provide evidence of accomplishments to the NIH Leadership, Congressional staff, and to the public. These reports may also be utilized as web-friendly descriptions for the SRP website.

- A. **Aims:** State and describe any modifications to the Specific Aims since the competing application.
- B. **Studies and Results:** In this section, highlight the accomplishments of the project or core over the last funding year. Describe the studies directed toward specific aims during the current budget year and the positive and negative results obtained. If applicable, address any changes to the innovative potential of the project. If technical problems were encountered in carrying out this project, describe how your approach was modified. Please cite publications or patents, as appropriate. If highlighted work has been published, please include publication citation (Author, Year) within the text of the narrative. The full publication citation should appear within Section E of the Project/Core Report. Please see the following specific recommendations:
 - i. **For the Administrative Core**, include specific information on External Advisory Board Meetings (i.e., dates and accomplishments) and establishment of collaborations with other organizations (academia, government, industry, etc.) to develop programs that branch out from Center.
 - ii. **For the Research Translation Core**, include specific information on progress toward: partnering with governmental agencies (including names of EPA and ATSDR contacts); investigator-initiated research translation (summarize by project); conducting technology transfer; communicating with SRP/NIEHS staff, broad audiences, including web pages, newsletters, and print materials. For all progress, please clarify the outcomes (e.g. value added) of the interactions/activities.
 - iii. **For the Training Core**, include professional development activities (e.g., grant writing, interviewing skills, networking opportunities); establishment of interdisciplinary collaborations between trainees; training, short courses, continuing education; description of graduate student and post-doctoral recruitment activities; description of seminar series. (If you have a Training Core, you may opt to include “Trainee Success Stories” here instead of in the executive summary. Be sure to indicate in the executive summary that the success stories are in the training core section.)
- C. **Significance:** Please include the significance for the field of research as well as translational significance which may include: money/time saved in clean-ups,

quantifiable reduction in diseases, potential clinical intervention or diagnostic tool (e.g. biomarker), vastly improved detection limit, etc.

- i. **For biomedical projects**, consider application of the research advance in analytical tools in laboratory or epidemiology research programs and application of the research to advance risk assessments.
 - ii. **For non-biomedical/environmental science projects**, consider the use of innovative analytical methods, fate and transport modeling, remediation technologies that have been applied or have demonstrated efficacy, and quantitative or qualitative benefits in terms of reduction in volume or toxicity, lower clean up levels, reduced costs, etc.
 - iii. **For the Community Engagement Core**, include specific information on: how each activity contributed to the local community's understanding, participation, and decision-making; specific sites studied, if applicable, and public health issue addressed; responses from tribes/communities; participation from local community advisory groups; estimates of the number of people served by each of the SRP-supported engagement activities.
- D. Plans: Summarize plans for the next year. Please also include plans for investigator-initiated research translation (e.g. plans that may involve moving a technology to a field site).
- E. Publications: Please only include publications related to the grant that have not yet been reported in previous years. Follow instructions for acquiring PMCID, which is a requirement for NIH to process the progress report (see Publications from Executive Summary above). DOI numbers are optional, but can be helpful for SRP to process for database purposes. If you have them, please include them. SRP also finds it useful to know about publications that are in preparation or submitted as well as abstracts, book chapters, oral/poster presentations, etc.
- F. Project-Generated Resources: Please report on sharing of data and resources. Specific instances that are examined in applications and progress are GWAS data and Model Organisms. If these have been produced and are not being shared, please state why this is not possible. Please refer to the project/core "Data-Sharing Plan" (from your original P42 Application) for additional activities to report and or resources that have been generated for potentially sharing with other investigators.

3. Administrative Supplements/Re-instatement of Funds

Grantees are required to report progress on administrative supplement awards that have not been previously reported and are completed or active. In addition, grantees should report activities for which re-instatement of funds were provided. Prepare a brief highlight of progress of each award (minor activities should be ~200 words; major activities can be up to 500 words). This section comes after last core progress report. When possible, please combine all supplement updates in one section, clearly separating each highlight by the supplement grant number (e.g. many will be a Type 3 number) and/or title of activity (if reinstatement of restricted funds). Please contact your program administrator if you have a question about which awards to report.

III. Annual P42 Center Updates

Each fall, SRP sends to Center Directors and Administrative Staff a request for Annual P42 Center Updates. The Annual P42 Center Update provides SRP with information that is used to update the SRP databases, NIH databases, SRP website; and to assist in developing the SRP Annual Meeting and other Programmatic materials (such as Research Briefs, webinars, news stories, etc). Please see the instructions (http://tools.niehs.nih.gov/srp/1/resources/2012_annual_update_instructions.pdf). Centers are requested to send SRP Progress Reports as well as updates to information SRP has been tracking about the Center (**See Table II**). Previously collected information is provided to grantees on the P42 Center Updates Web page at <http://tools.niehs.nih.gov/srp/resources/updates.cfm>). The requested documents and updates are due by February 15th of each year and should be submitted to srpinfo@niehs.nih.gov. Contact Beth Anderson (919-541-4481, tainer@niehs.nih.gov) or Justin Crane (919 794-4702, cranej2@niehs.nih.gov) if you have any questions.

IV. Best Practices and Frequently Asked Questions

The following section addresses key topics of concern to Center Directors: Key Personnel Changes or Changes in Percent Effort; Significant Changes to Center Structure; Carry Forward Requests; Reinstatement of Funds; Requests for Supplemental Funds; Conference/Workshop Support, and Foreign Projects or Studies. The purpose of the section is to provide SRP staff with the necessary information to identify those issues that may require further discussion with SRP Center grantees and for approval from SRP Program Administrators. For all requests, please include the grant number and PI name in the body of letters, requests, and as part of the subject line of your email.

1. Key Personnel Changes or Changes in Percent Effort

Project or Core Leaders (key personnel listed on Notice of Grant Award (NOA)). You must request prior approval for a change in key personnel. You must send an official request (.pdf attachment in an e-mail) from your Institute's business official to SRP program and grants management staff that includes: a letter with reason for the change and justification for selection of the individual that will replace the key personnel, the biosketch of the proposed new individual, and any other related materials. If only percent effort is being changed, this should also be included in a letter to NIEHS program and grants management staff. Note: Changes in P42 Center Director are rare and require early communication with SRP staff to ensure that an appropriate transition process will be followed. Therefore, it is imperative that your SRP Program Administrator be notified about the possibility of a change in Center Director 6 to 12 months prior to any effective change.

Other personnel (i.e., personnel not listed on NGA). You may request approval in the annual progress report if the individual is key personnel, but not in a leadership position, such as a co-investigator of a project or core.

2. Significant Changes to Center Structure or Scope (e.g., elimination of project or core)

Any significant change, such as elimination of a project or core or change in scope requires SRP program staff approval. Contact your SRP Program Administrator at least 4-6 months prior to making modifications to a project or core scope to determine whether the proposed changes necessitate a prior approval request. If it is determined a prior approval request is needed, please send your request as an official letter (.pdf attachment in an e-mail) from your Institute's business official to SRP program and grants management staff with justification for the change.

3. Carry Forward Requests

If you have funding left over at the end of the budget period, you may request that those funds be carried over to the next year. Carry Forward requests are typically processed beginning **August 15**, and SRP Program and Grants Management Staff intend to approve Carry Forward by **September 30**. To do that efficiently, please submit the following three items to facilitate the process:

- Request letter containing written description of why funding was not spent and how it will be spent in the next funding cycle; this letter should be countersigned by the institutional business official.
- Tables are provided to Center Directors and Administrative Staff by SRP Grants Management Staff (i.e. "Table 1: Unobligated Balance Analysis" and "Table 2: Proposed Budget for Carryover of Unobligated Balance"). Please contact your SRP Grants Management staff if you do not have these tables. When completing the tables, please be specific and avoid jargon in the explanation of the unobligated balance and how the funding will be spent in the next funding cycle. If abbreviations are going to be used, please define them in the tables.
- Send the signed Request Letter and Tables as a pdf via email to both SRP program staff and the grants management specialist listed on the Notice of Grant Award.
- Supplement Carry Forward: Supplement Carry Forward should be included in main carryover request. Any additional Carry Forward request for supplements requires prior approval.

4. Re-Instatement of Funds

Requests for "reinstatement of funds" will no longer be an option for covering expenses associated with Research Translation Core workshops or Training Core travel to conferences. Please contact your SRP Program Administrator about available mechanisms if your Center has conference funding or trainee travel requests.

5. Conference Requests (R13)

The Superfund Research Program is now participating in the R13 Program for support of Conference and Scientific Meetings. For more information about the R13 mechanism, please see the following website: <http://www.niehs.nih.gov/funding/grants/mechanisms/r13u13/> or contact Heather Henry (henryh@niehs.nih.gov).

6. Requests for Supplemental Funds

We strongly suggest that you contact your assigned SRP Program Administrator prior to submitting a supplement request.

Administrative Supplements: In general, SRP will accept supplement requests for urgent needs (i.e., laboratory equipment failure that leads to incompleteness of experiment; tissue samples that are endangered, etc.) or technology transfer (e.g., development of a new remediation technology; additional data to be collected in an epidemiological study, etc.). **Please contact your program administrator early in the process if you intend to submit an administrative supplement request.** Please use the following adapted guidelines¹ for submitting SRP Administrative Supplement requests:

The letter should be sent from your business official (AOR) to AdminSupplements@niehs.nih.gov with a cc: to your Grants Management Officer and your SRP Program Administrator.

- A completed face page (with appropriate signatures) from Grant Application Form PHS 398. Include the title and grant number of the parent grant on line 1 and on line 2 use the name of the supplement type (either "Administrative Supplement - SRP Urgent Supplement" or "Administrative Supplement - SRP Technology Transfer Supplement").
- A detailed budget using the PHS 398 form pages 4, 5, and the Checklist form page (<http://grants.nih.gov/grants/funding/phs398/phs398.html>).
- Up to three-page description that identifies the opportunity/need, the proposed aims of the activity, and information about the SRP project/core and its aims (briefly), and a justification of the budget. Keep in mind that supplements need to be in scope of the original project/core, so it should not propose to do something that is significantly different than the original proposal. The description should be scientifically defensible, should clearly convey the potential impact of the activity, and should be relevant to Superfund. Descriptions should be written so that it can be easily understood by individuals outside of your specific area of expertise. Abbreviations should be spelled out and highly technical language/terms that may not be known to the broader scientific community should be avoided unless clearly defined.
- Documentation, if applicable, that the proposed research experience was approved by the Institutional Animal Care and Use Committee (IACUC) or human subjects Institutional Review Board (IRB) at the grantee institution must be provided. Adherence to the NIH policy for including women and minorities in clinical studies must also be insured if additional human subjects' involvement is planned for the supplement component.

Other supplements

- KC Donnelly Externship Supplements. The purpose of KC Donnelly Externship supplement is to provide current SRP-funded trainees (graduate students/post-doctoral researchers) with translational/transdisciplinary opportunities and experiences within other SRP-funded centers, government laboratories (EPA, ATSDR, NIEHS), or other agencies (state, local, Tribal). For more information about the KC Donnelly Awards, please see: <http://www.niehs.nih.gov/research/supported/dert/cris/programs/srp/training/donnelly/externshipguidelines/index.cfm> or contact Dr. Danielle Carlin (danielle.carlin@niehs.nih.gov).
- Diversity Supplements. At this time, SRP does not participate in the NIH Diversity Supplement program.

7. Foreign Projects or Studies

¹ The process for submitting SRP administrative supplement requests is a modification of the NIEHS guideline (<http://www.niehs.nih.gov/funding/grants/announcements/supplements/index.cfm>).

Any foreign studies, collaborations, or sub-contracts not approved for the competitive application require NIEHS, NIH, and other Federal approval. You must provide the following information: a detailed description of the project and a justification for why it must be performed outside the domestic US or with a foreign collaborator. Please be aware that foreign projects need complete and compelling justification. Examples of these projects include access to a population exposed to a chemical or level of a chemical agent that does not occur in the US; a collaborator with a singular piece of equipment or resource that is not available in the US; or a population with a unique set of polymorphisms (such as in a unique and identified, large family) and exposure history.

V. Tables

Table 1. P42 2013 Outline and Tips for Non-Competitive Continuation Renewals (Type 5 Progress Report). [NIH PHS 2590 Guidelines](#) should be followed for all sections of the Non-Competing Continuation Progress Report with the additional specific instructions for new components provided in Table 1. Components that are requested for the Annual P42 Center Updates are indicated in **BOLD**.

- Face Page
- Table of Contents
- IACUC & IRB Table
- Overall Budget, Individual Project and Core Budgets, and Budget Justifications
- Other Support and Overlap¹
- Progress Report Summaries
 - Center Executive Summary²
 - A. Center Highlights**
 - B. Personnel updates/changes in key personnel
 - C. SRP Trainee Highlights**
 - D. Publication/Patent Consolidated List
 - Project / Core Reports³
 - A. Specific Aims
 - B. Studies and Results**
 - C. Significance**
 - D. Plans
 - E. Publications
 - F. Project-Generated Resources
 - Report on Supplements/Research (includes Reinstatement of Funds activities). Group supplement award using PHS 2590 Form page 5).
- Checklist
- All Personnel Report⁴

¹Other support lists should include the P42-funded activity. The description should be for the PIs specific project/core as opposed to the description of the overall Center. The description should convey information about contaminant, health endpoint, model system, purpose, etc.

²Use PHS 2590 Form Page 5 and use "Center Executive Summary" for the TITLE OF PROJECT.

³For the following sections (i.e., Specific Aims, Studies and Results, Significance, Plans, Publications, Project-Generated Resources), use PHS 2590 Form Page 5 for each project and core.

⁴Please include all current trainees and indicate their role per PHS 2590 Classification: Postdoc (Postdoctoral Scholar, Fellow, or Other Postdoctoral Position); Grad Rsch Asst (Graduate Research Assistant); Undergrad Research Asst (Undergraduate Research Assistant)

Table 2. Checklist of the SRP Annual P42 Center Updates (see Section III). These updates are requested by February 15th. Please see [instructions](#) for more details. Contact Beth Anderson (919-541-4481, tainer@niehs.nih.gov) or Justin Crane (919 794-4702, cranej2@niehs.nih.gov) if you have any questions.

Update Section	Action	Submission
Center Highlights	<p>Applicants should submit Type5 narratives, omitting any proprietary information.</p> <p>Applicants who did not submit a Type 5 may follow directions in Section II of this document.</p> <p>Please combine all of these files/reports in one MS Word Document attachment titled "Progress Reports."</p> <p>Please review the pre-populated lists and confirm/update and/or provide additional information as appropriate.</p> <p>Please attach these as <u>separate</u> files sent along with the other files submitted to srpinfo@niehs.nih.gov by Feb 15th.</p>	<p>Send all four attachment files (Progress Reports, Personnel Updates, Patent Updates, and Hazardous Waste Sites Updates) to srpinfo@niehs.nih.gov by Feb 15th.</p>
SRP Trainee Highlights		
Project / Core Progress Report (Studies & Results and Significance Sections from Type 5)		
Personnel Updates		
Patent Updates		
Hazardous Waste Sites Updates	<p>Please review the pre-populated list of trainees listed as "CURRENT" in the CareerTrac database.</p> <p>If there are trainees to add, or if some of the trainees' status has changed, please have your designated CareerTrac person make updates to CareerTrac (http://partners.niehs.nih.gov/careertrac.htm).</p>	<p>Please update the respective databases by Feb 15th.</p>
Updates of SRP-funded Trainees		
Community Engagement/Research Translation Updates	<p>Please review the pre-populated list of your Center's submissions to the SRP Community Engagement/Research Translation Data Collection Form. Please make sure all of your submissions are on the list and all activities for the prior year have been reported.</p> <p>If there are activities that have not been reported please add them to the SRP Community Engagement/Research Translation Data Collection Form (http://www.niehs.nih.gov/research/supported/dert/cris/programs/srp/resources/index.cfm).</p>	