rev. 2/19/24

# **Annual RPPR** SNAP and Single Project Non-SNAP (e.g., U01) Checklist

Checklist not for use in F and T grants.

Awards typically included in SNAP are "K" awards and "R" awards, except R35. Review the Notice of Award for this information.

Please use this checklist with GCO's Overall Application Submission Checklist. GCO ASC Checklist You will need to read the RPPR Guide for complete instructions on completing the application RPPR Instructions eRA Technical Guide and the eRA technical guide for instructions on initiating and routing application. Sample Screenshots

RPPR FAQs

GCO #:

7 Supplemental Instructions for Specific Grant RPPR Types

## **Initiating RPPR**

- [ ] Obtain eRA Commons account for a PI delegate (e.g., Department Administrator, Research Coordinator, etc.), if needed, by emailing the GCO at grants@mssm.edu requesting the role of "ASST" for the delegate.
- [ ] PI delegates administrative responsibility to the ASST.

Delegate RPPR Authority to an AO or ASST

[ ] Initiate the RPPR.

Only the PD/PI or the PD/PI delegate may initiate an RPPR.

Initiate the RPPR (PI)

# A. Cover Page

[ ] A.2 Signing Official; A.3 - Authorizing Official Select your designated Authorized Organization Representative (AOR)

GCO's Dept Assignment Listing

# **B.** Accomplishments

- [ ] B.1.a Have the major goals changed since the initial competing award or previous report? Select Yes if the major goals/specific aims have changed since the initial competing award or previous report, and provide a revised description of major goals/specific aims.
- [] Please be reminded that certain post-award programmatic changes must have the prior approval of Mount Sinai and the NIH. Prior Approval Table
- [] The specific aims must be provided in the initial RPPR (i.e., first non-competing type 5 submission). In subsequent RPPRs this section will pre-populate with the aims/goals previously entered, and may be amended by answering Yes to question B.1.a.
- [ ] 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.
- [] Reminder only report on accomplishments arising from this award. By reporting on accomplishments that are unrelated, the NIH may also consider this to be unapproved change of scope, unapproved foreign involvements, and unapproved animal and/or human subject activity.
- [ ] Patents/Publications: If citing references in this section, please provide a full citation.
  - Any PUBLICATIONS and/or PATENTS resulting from this award need to be listed in section C. PRODUCTS unless they were already previously reported in previous RPPRs. Please either ADD the ones listed in section B.2 to the appropriate section (C. Products). If they haven been previously reported in prior RPPRs for this specific award, your GCO Grants Specialist may may confirm this information during review.
- [] 2 page limit for most NIH awards.
- [ ] B.3 For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?
  - If yes, identify the Revision(s)/Supplements(s) by grant number (e.g., 3R01CA098765-01S1) 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.
- [ ] 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 opportunities or there is nothing significant

	to report during the reporting period, select Nothing to Report.				
[]	For those projects in which there are no participating graduate students or post docs, PIs do not need to include any extra				
	information in the annual progress report.				
[]	For those projects with participating graduate students or post docs, see GCO's IDP Memo for info and template language.				
	NIH Individual Development Plan (IDP) Information Requirement for all Annual Progress Reports				
ſ 1	B.5 How have results been disseminated to communities of interest?				
	Result Dissemination: do not report routine dissemination (i.e., websites and press releases)				
	A detailed response is only required for awards or award components that are designed to disseminate information to				
the public or conduct similar outreach activities.					
	For awards not designed to disseminate information to the public or conduct similar outreach activities, a response is not				
	required and the recipient should select Nothing to Report.				
۲1	8,000 character limit				
	B.6 Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.				
	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.				
	Reminder! Significant changes in objectives and scope require NIH prior approval  • Prior Approval Table				
	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 Sec F. Changes.				
۲1	8,000 character limit				
	Products				
	C.1 Publications				
	Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time				
L J	publication, monograph, preprint) during the reporting period resulting directly from the award?				
r 1	Make sure that publications are compliant with NIH Public Access Policy.  NIH Public Access Policy				
	All publications must be listed in the PI's MyNCBI Bibliography before they will sync with the RPPR.  • My NCBI LogIn				
	Non-Compliant Publications: Generally, it takes weeks to bring non-compliant publications into compliance. GCO recom-				
	mends submitting non-compliant publications to the NIH Manuscript Submission System (NIHMS) several  • NIHMS				
	weeks prior to RPPR submission. See these links for more info.  • Managing Compliance to the NIH Public Access Policy				
۲1	Non-Compliant Dublications. Voy can submit with warning DLT nation of award will not be made until publication issue is				
	resolved. See recommendation above.				
1	C.2 Website(s) or other internet site(s)				
	Applicable to awards designed to create or maintain one more websites.				
	C.3 Technologies or techniques				
	Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques				
	and how they are being shared.				
	Please disclose new technologies and techniques as appropriate.  • MSIP				
[ ]	C.4 Inventions, patent applications and/or licenses.				
	Have inventions, patent applications and/or licenses resulted from the award during this reporting period?				
	Reporting of inventions through iEdison is mandatory.				
r 1	Please disclose new inventions to MSIP. MSIP manages new inventions, any resulting patents and  MSIP				
LJ	licenses, and federal reporting obligations.				
1	C.5.a Other products				
	If there are other products to report not covered in Sections C1 – C4, please complete this section				
[ ]	C.5.b Resource Sharing				
	If the initial research plan addressed, or the terms of award require, a formal plan for sharing finalresearch data, model				
	organisms, Genome Wide Association Studies data, or other such project-specific data, describe the progress in implementing				
	Torganisms, denome while Association studies data, or other such project-specificata, describe the progress in implementing				
	that plan. For sharing model organisms, include information on the number of requests received and number of requests				
[]	that plan. For sharing model organisms, include information on the number of requests received and number of requests				

D.	Participants
[]	D.1 What individuals have worked on the project? This is retrospective effort.
	Provide or update the 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, <u>regardless</u>
	of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort).
	Work with Departmental Administration to obtain  • Dept'l Pre-Award Contacts
	Reminder: If effort for PI or key personnel designated in NOA was reduced by 25% or more from what was approved in the
	initial competing year award, prior approval must have been obtained.  • Prior Approval Table
	Round to the nearest one-tenth (i.e., one decimal place) of a calendar month (CM) that the individual worked on the project.
	Examples
	If the individual worked 2.25 CM, indicate 2.3 CM. If the individual worked 2.24 CM, indicate 2.2 CM.
	If the PI worked 0.74 CM, round down to 0.7 CM.
	If the PI worked 0.76 person months, round up to 0.8 person months.
	Rounding for PI: For any amount less than 0.05 for a PI (who by definition must contribute measurable effort), enter 0.1 CM.
	Commons ID: Required for all individuals with a postdoctoral, graduate or undergraduate role.
	Also required for individuals supported by a Reentry or Diversity Supplement. For all other project personnel with an
	established Commons ID, it should be provided; the Commons ID is strongly encouraged but currently optional.
[]	Commons ID: To obtain, email grants@mssm.edu with name, role, & email address.
[]	Is the individual's primary affiliation with a foreign organization?
	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. Select the Add Participant button to add the data to the table.
[]	D.2.a. Level of Effort This is for the upcoming budget period
	Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort from what was approved
	by the agency for the PD/PI(s) or other senior/key personnel designated in the Notice of Award, or (2) a reduction in level of
	effort below the minimum amount of effort required by the Notice of Award?
IJ	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.
	700 character limit
	D.2.b. New senior/key personnel
	Are there, or will there be, new senior/key personnel?
	If yes, upload biosketches and other support for all new senior/key personnel.  • NIH Biosketch Resource Page  See "Other Support Submission & Richards Info" tab for more info & recourses.
	See "Other Support Submission & Biosketch Info" tab for more info & resources.
	D.2.c Changes in other support Has there been a change in the active other support of senior/key personnel since the last reporting period?
	If there is no change in a senior/key personnel's Other Support, do not submit.
	See excerpt on "Other Support Submission & Biosketch Info" tab for more info & resources.
	Please contact your designated GCO Grants Specialist re: review and submission  • GCO's Dept Assignment Listing
٠.	of OS review. Each GCO specialist and the department they work with have slightly different processes regarding OS review.
[]	Reminder: Documents with electronic signatures must be flattened. Refer to Flattening PDF tab instructions
	Please see the Other Support & Biosketch Info tab for a complete listing of resources and instructions.
	D.2.d New other significant contributors
	Are there, or will there be, new other significant contributors?
	If yes, upload biosketches. Do not submit Other Support pages for OSCs
[]	D.2.e Will there a change in the MPI Leadership Plan for the next budget period?
	Change in status of PD/PI requires <u>prior</u> approval of the agency. Submit request separately, if applicable.
	A request to change from a multiple PD/PI model to a single PD/PI model, or a change in the number or makeup of the PD/P
	on a multiple PD/PI award, requires the prior approval of the GMO.  • Prior Approval Table
[]	Change in MPI plan does not require prior approval
	If there has been any change in the governance and/or organizational structure of the Leadership Plan, provide a description
	including communication plans and procedures for resolving conflicts, and any changes to the administrative, technical, and
	scientific responsibilities of the PD/PIs. If the progress report includes a change in the Contact PD/PI (Cover Page, A.1)
	address this change and the impact, if any, the change has on the administrative, technical, and scientific responsibilities of

### E. Impact

- [ ] E.1 Not Applicable for most awards
- [ ] E.2 What is the impact on physical, institutional, or information resources that form infrastructure? If the award or award component(s) is not intended to support physical, institutional, or information resources that form infrastructure, select Nothing to Report.
- [ ] E.3 Not Applicable for most awards
- [ ] E.4 What dollar amount of the award's budget is being spent in foreign country(ies)?

Provide the total cost dollar amount obligated to first-tier subawards to foreign entities for this reporting period.

Do not report foreign travel, purchases, etc., unless part of a first-tier subaward to a foreign country.

If more than one foreign country identify the distribution between the foreign countries.

### F. Changes

Reminder! Significant changes in objectives and scope require NIH prior approval

Prior Approval Table

- [ ] F.1 Not Applicable for most awards
- [ ] F.2 Actual or anticipated challenges or delays and actions or plans to resolve them.

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

- Did you experience any delays/challenges due to the COVID-19 pandemic and/or institutional closures during the reporting period? If so, that should be detailed in this section along with how you plan to remedy these issues.
- [] 2000 character limit
- [ ] F.3. a-d If there are changes to Human Subjects, Vertebrate Animals, Biohazards, or Select Agents, provide revisions. Reminder: Review RPPR Guide for complete instructions.

### **G.** Special Reporting Requirements

- [ ] G.1 Special Notice of Award and Funding Opportunity Announcement Reporting Requirements Address any special requirements
- [ ] G.2 G.3 Applicable to K and F awards

- 7 Supplemental Instructions for Specific Grant RPPR Types
- [ ] G.4 Human Subjects If applicable, click on the human subjects which will open the Human Subjects System (HSS) link also referred to as the HSCT Post Submission tab in ASSIST (for Human Subjects). This system enables grant recipients to electronically report and update their data on human subjects and clinical trials to NIH

   HHS Resource Site
- [] This information is submitted separately from the RPPR. The RPPR will have a validation warning and the RPPR preview will not show the updated information until after the HHS information is submitted.
  - Reminder: Please review detailed instructions and additional resources in RPPR Guide.
- [] Before clicking on the HS link, click the Save button on the RPPR to save all your work in Section G. Failure to do so will result in a loss of data on your report.
- [ ] Email your designated Grants Specialist and AOR when ASSIST HSCT is ready to submit. 
   GCO's Dept Assignment Listing
- [ ] G.4.a Answer Y/N to human subjects
- [ ] G.4.b N/A to NIH grants. Select "Nothing to report." NIH grants report through the HSCT Post Submission tab.
- [ ] G.5 Human Subjects Education Requirement

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research? If yes, name new individuals, title of the human subjects education program completed by each individual, and a one sentence description of the program.

[ ] G.6 Human Embryonic Stem Cell(s)

Does this project involve human embryonic stem cells? If yes, hESC number is required. If changed, explain.

- [] 700 characters
- [ ] G.7 Vertebrate Animals

Does this project involve vertebrate animals? Answer should be pre-populated.

[ ] G.8 Project/Performance Sites

If there are changes to the performance site(s), edit this section.

Remove duplicates

One of the sites indicated must be the identified as the Primary Performance Site. If including a new Project/Performance

	Site where either human subjects or vertebrate animals will be involved, address the change under F.3.a or F.3.b					
[]	G.9 Foreign component					
	Provide the organization name, country, and description of each foreign component.					
	Reminder: A common misconception is that foreign involvement only occurs when there is a subaward to a foreign					
	institution. See Foreign Components Tab for definition.					
1	G.10 Estimated unobligated balance					
	G.10.a Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of					
. ,	the current year's total approved budget? If yes, provide the estimated unobligated balance.					
	The total approved budget equals the current fiscal year award authorization plus any approved carryover of funds from a					
	a prior year(s). The numerator equals the total amount available for carryover and the denominator equals the current					
	year's total approved budget.					
۲۱	Work with Departmental Administration to obtain.					
	If there is any uncertainty about whether the balance will be greater or less than 25 answer yes and explain in G.10.b.					
	Answering "No" will delay your award since the NIH has access and reviews balance information and will inquire further.					
۲1	Note that your GCO Grants Specialist is reviewing the latest 402v report. If you marked NO to this question but it appears					
LJ	there is more than 25% left per the ledger, please advise.					
1	G.10.b Provide an explanation for unobligated balance.					
	G.10.c If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be					
LJ	spent. To determine carryover authorization, see the Notice of Award.					
1	G.11 Program Income					
. ,	Is program income anticipated during the next budget period? If yes, provide the amount and source(s).					
1	G.12 F&A Costs applicable to SNAP awards only					
	Is there a change in performance sites that will affect F&A costs? If yes, provide an explanation.					
	This GCO document may assist in determining in certain cases. • F&A Costs: Determination of On and Off Campus Activity					
	Budget - this section is applicable to non-SNAP grants only					
	H.1 Budget Form  • SF424 Application Guide Select the SF424 Research and Related Budget from the drop down menu and follow the instructions in the SF424 (R&R)					
LI	Application Guide for NIH and Other PHS Agencies, Section G.300 R&R Budget Form, to complete the R&R budget,					
	sections A-L, and the R&R Cumulative Budget, for the remainder of the project period. T					
r 1	The budget justification should be uploaded as item L and must include detailed justification for those line items and					
LI	·					
	amounts that represent a significant change from previously recommended levels (e.g., total re-budgeting greater than 25					
. 1	percent of the total award amount for this budget period). H.2 Subaward Budget Form					
	For awards with subaward/consortium budgets, select the SF424 Research and Related Budget Subaward Budget from the					
LJ	dropdown menu and follow instructions for the Subaward Budget Attachment(s) Form. Also see Subaward for Non-SNAP tab					
	Outcome - this section is not applicable to Annual RPPRs					
	uting and Submitting the RPPR and Technical Checks					
[ ]	Check for Errors					
	Click the three-dot ellipsis icon next to Award Number and select Checkfor Errors to check the RPPR for any errors or					
	warnings. Available for progress reports with astatus of Work in Progress (WIP). Access is granted to any user with access to					
	the grant. The RPPR can be validated at any time while in the status of WIP and can be validated multiple times.					
[ ]	Route to Next Reviewer: Select your designated Grants Specialist  • GCO's Dept Assignment Listing					
	Click the three-dot ellipsis icon next to Award Number and select Route to Next Reviewer to route the RPPR to the next					
	reviewer for further review or corrections. Available for progress reports with a status of Work in Progress (WIP).					
	Access is granted to the current reviewer. A PD/PI delegate <u>cannot</u> route an RPPR to the next reviewer.					
InfoEd, Budget, and Compliance Application (PPHS/IACUC) Preparation						
GC	O's Application Submission Checklist (ASC)					
	For a successful GCO Submission, these are the numbers on GCO's ASC that may apply to your project:  • ASC Checklist					

ASC Instructions

Non S2S NCC Instructions

[] 1, 3, 4, 6, 7, 8, 9, 10, 11, 12, 14, 15, 16, 17f, 18, 19, 22

[ ] 6. InfoEd Set Up Instructions for Non Competitive (NCC) Applications

[]	17f Budget: Review the latest Notice of Award (NOA) to obtain the upcoming year's budget amount.		
	The total costs of the budget you data enter must match the total costs on the Notice of Award for t	he	upcoming year.
	This means that that direct and indirect costs can vary but the total costs must match.		
	Please review the ASC Instructions for other resources.		
[]	Progress Report Tab: Please upload a pdf of the RPPR from eRA Commons.		
[]	Submit to the GCO. Only the PI can "finalize" the InfoEd application.	•	<b>Finalize Instructions</b>

# **Flattening PDFs**

6. When submitting PDFs to eRA Commons, particularly for RPPRs and Just-in-Time, I am getting an error telling me to "ensure all files are flattened PDFs." What does "flattening" a PDF mean and how do you do it?

A PDF that has fillable fields, electronic signatures, text boxes or images inserted, becomes layered with each of these elements representing a layer. Flattening a PDF merges these separate elements into one flat layer. There are a number of methods to flatten a PDF, the easiest of which is to print it as a PDF.

To do this, go to File>Print, select the printer option from the menu that has a PDF option. Depending on the software available to you, the specific option may vary from the one shown below. Click the Print button and name the file.



Figure 1: A print dialog box with the Printer field set to Adobe PDF

In this process, you are exporting the layered PDF to the printer and saving it as a simple (flattened) PDF.

# **Foreign Components Definition**

NIH and Foreign Influences on Research Integrity: A Guide to Navigating Through NIH Policy and Procedure excerpt below

### II. Foreign Components

A common misconception is that foreign involvement only occurs when there is a subaward to a foreign institution.

The definition from the NIH Grants Policy Statement (NIHGPS) is much broader:

The performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended.

Activities that would meet this definition include, but are not limited to:

- Involvement of human subjects or animals,
- Extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities, or
- Any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country.

Examples of other grant-related 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 involvement is disclosed in these activities and NIH documentation:

- <u>Publications and other documents</u> when acknowledging NIH support (i.e., co-authorship with investigators at a foreign site)
- Grant Applications (Competitive or Non-Competitive) and Prior Approval Requests
- Biosketch
- Other Support
- Conflicts of Interests Reporting and Foreign Travel Request

# Other Support and Biosketch Info

# for D.2.c Excerpt from GCO's Other Support Instructions Other Support Pages in RPPRs

**GCO's Other Support Instructions** 

Research Performance Progress Report (RPPR)
 The RPPR is used by grantees to submit progress reports to NIH on their grant awards. The Annual RPPR is used to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.

The Other Support page for each senior/key personnel <u>may</u> be one of the required documents. Included an OS page for the investigator if there is a <u>change in active support only</u> from the



30

previous OS submission. For example if there is a new active grant or if one that was previously active is completed, submit an OS page for the investigator.

Submission of other support information is not necessary if:

- There are additional pending grants from what was reported previously but no changes to active support
- There are only changes in the level of effort for active support from what was reported previously.



# **Visit GCO's Website for Complete Info on Other Support Resources**

links updated as of June 2023 are below.

Application Information | Icahn School of Medicine (mssm.edu)





Biosketch and Other Support Info

## **GCO** Resources

### **Training**

GCO 401: Basics of Preparing an NIH Other Support (OS) Page
GCO 402: Collecting Information for the NIH Other Support (OS) Page

GCO 403: Using Mount Sinai's Other Support Template

GCO 404: Upcoming Changes to the NIH Biosketch and Other Support Page (Slide Set)

For applications due on or after May 25, 2021

Video I Slide Set

Updates: GCO's Response to NIH Implementation Plan

#### Guidance

Informing the NIH When Applying to Multiple Funding Agencies

Biosketch: Who Must Submit

Biosketch and Other Support Changes: GCO's Response and Instructions (last updated: 8/24/21)

Biosketch and Other Support FAQs (last updated: 3/26/23)
Other Support: Adobe Signature Certification Instructions

Other Support: List of Most Common Errors

**Other Support Instructions** 

Other Support: Overlap Guidance (Dean's Office/GCO)

Other Support: Overlap Guidance Clarification

NIH and Foreign Influences on Research Integrity: A Guide to Navigating Through NIH Policy and Procedure

#### **Forms and Checklists**

InfoEd Eform for New and Competitive Sponsored Projects: Entering Major Goals for Other Support NIH Other Support Checklist

### **Other Support Template**

Visit the Other Support SharePoint Site to access the new templates, samples, shared folders, and instructions.

Features include data entry of standardized information, ability to customize and further tailor, for use with Mount Sinai only appointments,

Multiple Research Appointments (MRAs) or Dual ISMMS – VA Appointments, and shared access with research team, departmental administrarion, and the GCO.

For technical assistance with the OS Templates please submit a Research 411 Ticket .

### **NIH Resources**

#### **Notices**

Implementation of Changes to the Biographical Sketch and Other Support Format Page (NOT-OD-21-110)

Upcoming Changes to the Biosketch and Other Support Format Page for Due Dates on/after 5/21/21

(NOT-OD-21-073)

#### Biosketch

Biosketch Resource Webpage

**FAQs** 

Sample Page (Non-fellowship)

### **Other Support**

Other Support Resource Webpage

**FAQs** 

Sample Page

Please visit the NIH webpages for additional resources.

# **Subaward Budget for Non-SNAP Grants**

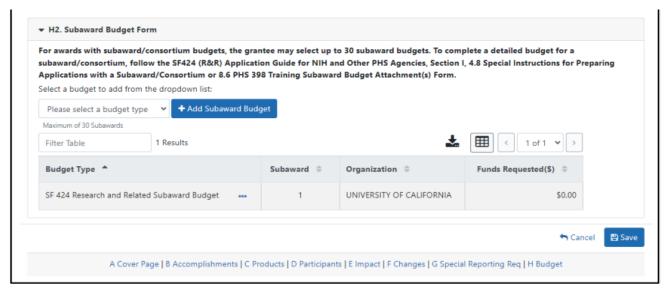
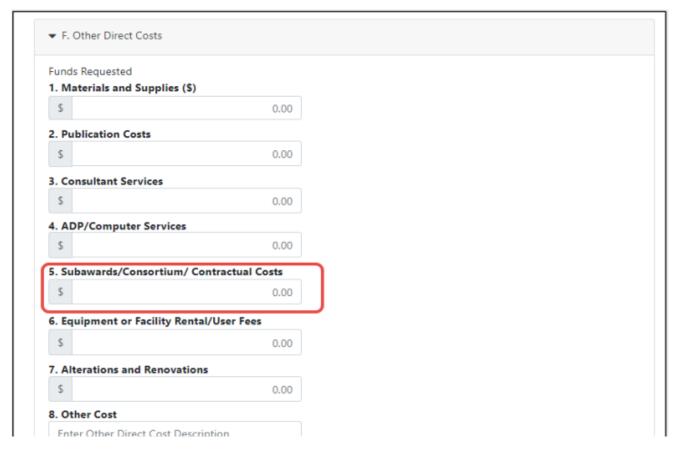


Figure 122 Section H.Budget of RPPR for a Non-SNAP Award

**NOTE:** If subaward budgets are completed, the system will not calculate the budget line item F.5 for the main budget (see figure below). Total consortium costs for the main budget **MUST** be computed and entered manually into budget line item F.5.





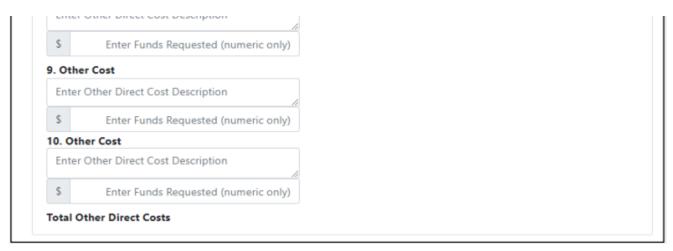


Figure 124 SF 424 R&R Budget Form - Question F.5