UNIVERSITY *of* MARYLAND
BALTIMORE

Sponsored Programs Administration (SPA)

NIH Research Performance and Progress Report (RPPR)

Checklist

[RPPR Instruction Guide]

[eRA Help_RPPR]

[eRA Training Videos]

[RPPR FAQs]

[RPPR Delegations Table]

[Screenshots of RPPR Sections for Reference]

- ❑ **Cover Page Tab-A**
  - Ensure Gregory Sorensen is listed as Administrative Official.
  - Ensure Kenneth Fahnestock or Amanda Knott is listed as Signing Official. Contact SPA-Grants@umaryland.edu if you are unsure.
- ❑ **Accomplishments Tab-B**
  - B.3 If you received a supplement for the current period, which is the period you are reporting on, be sure to report each supplement.
  - B.4 If students (graduate, undergraduate, postdoctoral, or fellows) are working on the project, upload a document that describes opportunities for training and professional development. This is not required for AHRQ participants. For graduate students and post docdotoral participants, be sure to mention how the Individual Development Plan *is used*. (Do not upload the IDP).
    - Assure the students listed in D.1 (Participants Tab) are also listed in the B.4 document.
    - A B.4 response is required for T, F, K, R25, R13, D43 Awards.
- ❑ **Products Tab-C**
  - C1 Check for Non-Compliant Publications.
    - Note that Non-Compliant publications that fall under the NIH public access policy still must be reported. To check to see if your award falls under this policy, visit Applicability
    - NIH will issue a Progress Report Additional Materials (PRAM) request via email to the Principal Investigator and Signing Official immediately after submission of the RPPR if there are non-compliant publications associated with the Project.

        - Additional Guidance for reference on reporting publications and guidance can be found at the links below.
            - How to Report Publications
            - UMD Guidance
    - C4 Inventions
        - Report inventions, patent applications and/or licenses that resulted from the award during the current period, which is the period you are reporting on.
        - Refer to UMVENTURES
    - C.5.c. NIH now requires an update on Data Management and Sharing (DMS) Plans in the RPPR if the initial research plan addressed or the award terms require an update on the progress of the DMS. DMSP Notice
        - This will appears as Not applicable if there is no requirement.
        - If there are no updates, the PI must report why there are no updates.
        - If there are changes, the PI should upload a Revised DMS Plan.

- ❑ **Participants Tab-D**
    - List all persons who worked on the project in the current, reporting period for at list one calendar month, including consultants and students. Do not include Other Significant Contributors.
    - If a consultant or post doctoral student was listed as Key Personnel in the application, be sure to mark them as Key in the RPPR.
    - If **PI** effort is less than 0.05, enter 0.1.
    - Round effort to the nearest one tenth. Example: Post Doc. worked 2.45 calendar months, round to 2.5; or if they worked 2.44 calendar months, enter 2.4.
    - Ensure all Key Personnel have a Commons ID including graduate and undergraduate students, postdoctoral students, and fellows.
    - Effort for Individuals supported on supplements is no longer required.
    - If someone needs to request an eRA Commons Account, they should complete the UMB Account Request for NIH or NSF Kuali Build (KB) Form to request account set up. UMB Instruction Reference
    - Ensure all eRA Commons profiles are completed with contact and degree information. How to Update your Profile in eRA Commons
    - **Note that the effort from the original application is the point of reference until prior approval is granted either via the RPPR or a prior approval request**.
    - If this is the first RPPR for the project, compare Key Personnel effort reported in the RPPR with the proposed Key Personnel effort in the final, submitted NIH application.
        - Locate the application under the Status Tab in eRA Commons. Contact SPA-Grants if you need help locating the application.

    - If Key Personnel effort has decreased 25% or more from the approved effort listed in the application, has a prior approval request been submitted to the NIH?
    - If a prior approval request was not submitted, contact SPA-Grants to submit a prior approval request and report the actual effort worked during the current, reporting period in the RPPR.
  - If this is an RPPR for year 2 and beyond, compare the Key Personnel effort to the last approved effort. You can refer to the Key Personnel effort listed in the previous RPPR or prior approval request to determine if a cumulative reduction of 25% or more has occurred from the last approved adjustment has occurred.
  - Remember that the effort listed for Key Personnel should not equal a cumulative reduction of 25% or more from the last approved adjustment.
    - NIH Prior Approval Requests
    - Change in Scope
  - For Final and Interim RPPRs, you only need to list the people that worked on the project during the last budget period, not including the No Cost Extension period.
- **D.2.a.**
  - **This response is for Key Personnel listed in the NoA only.**
- **D.2.b.**
  - **This response is for *New* Key Personnel.**

D.2.c.

  - **This reponse is for *all* Key Personnel listed in the application.**
    - Upload current versions of Bio sketches and Other Support Documents for Key Personnel and ensure they are completed correctly and digitally signed. Using Docusign is highly recommended.
    - Other Support
    - Common Forms-use postponed to after May 25, 2025
    - **List the award for which the progress report is being submitted and include the effort that will be devoted in the next reporting period.**
    - An overlap statement should always be provided.
    - The overlap statement should address the possibility of overlap when the current and pending effort go over 12 Calendar Months effort.
    - An In Kind section must be provided. If there is no In Kind support, you must note "None."
    - Effort tables should reflect the current fiscal year's effort and future years. Delete previous years.
    - Do not include Other support for Other Significant Contributors in this section. That goes in **D.2.d.**

D.2.e.

- **A change in MPI Leadership does not require prior approval and can be reported in the RPPR, but a Change of PI must be submitted as a prior approval.**

- ❑ **Impact Tab-E**
  - E.1 Applies to Education RPPRs.
  - E.3 Applies to SBIR/STTR RPPRs.
  - E.4 Report currently obligated funds for foreign components such as subrecipients, costs for travel, service contracts, consultants, and the purchase of materials and equipment.
- ❑ **Changes Tab-F**
  - F.2 Describe challenges and delays impacting carryover or project implementation. This should support any reported estimated carryover in G.10.
- ❑ **Special Reporting Requirements Tab-G**
  - Check for special reporting requirements in NoA.
    - Training Awards and SBIR/STTR awards have special uploads.
    - See Section 7 Supplemental Instructions for Specific Grant RPPR Types In the RPPR Instruction Guide
  - G.2 Applies to Individual Career Development (K), Fellowship (F), and Training RPPRs.
  - G. 3 Applies Individual Career Development (K) and Fellowship (F) RPPRs.
  - G.4 Human Subjects
    - Ensure the Human Subjects form is completed if required.
    - A warning will appear if enrollment dates are not updated.
    - A warning will appear if the status is not marked ready for submission.
    - The participant data enrollment template must be used to enter updates to enrollment data.
    - PIs should use the eRA Online Help for Editing Studies at the link HERE as a guide. Contact SPA for more resources if needed.
    - Recipients must complete Section 6 - for all studies involving clinical trials. The anticipated dates entered must be future dates. All actual dates must be the current date or a later date.
  - G.8 Project/Performance Sites
    - Make sure UEI and congressional information is included for each performance site.
    - List all performance sites where work is done for IDC purposes.
    - **Delete duplicate performance sites.**
    - **Leave the Office of Research and Development as the Primary site.**
  - G.9 Foreign Component
    - Foreign Component Definition
  - G.10 Estimated Unobligated Balance

- G.10a. Check to ensure that what is being reported in terms of carryover aligns with what is in Quantum Analytics Award Detail. The LTD billed amount in Quantum is the same as total payments. Total Budget – LTD Billed =Funds Available.
- Connect with SPA-Grants to confirm the carryover amount.
- If there is a projected carryover of 25% or more in QA, reach out to the PI to confirm the actual expenditures plus projected expenses.
- When calculating the unobligated balance, you must consider the carryover from all prior budget periods as well as the remaining balance from the current budget period. To determine the 25% or more carryover threshold, divide the remaining balance into the **current year's total award** (include supplement(s) awarded that budget period).
  - The numerator (the number on top) equals the carryover and the denominator (the number on bottom) equals the current year's total approved budget.
  - For a project with automatic carryover, you will simply divide the remaining balance from all years into the total current year's approved budget.
  - For a project with no automatic carryover, you will divide the approved carryover plus the remaining balance from the current year (including remaining balances from supplements) into the total current year's approved budget.

* Calculation Examples to determine if the unobligated balance will be 25% or more:

Example 1 – UMB's award is currently in Year 4, going into Year 5. The cumulative balance from Years 1-3 of the award is $185,000. The Year 4 awarded amount is $500,000. Since $185,000 is ~37% of $500,000, this balance must be reported in the RPPR.

Example 2 – UMB's award is currently in Year 4 going into Year 5. The cumulative balance of Years 1-3 is $25,000. The Year 4 awarded amount is $500,000. Since $25,000 is only ~5% of $500,000, this balance does not need to be reported in the RPPR.

- Note that the NIH considers an encumbered subcontract amount as unliquidated.
- Anything that the GMS cannot see in the PMS may trigger a question in response to the RPPR, where the GMS may request a spending plan or revised budget from the PI.
- G10.b and c.– Utilize G.10b. and c. to provide an explanation for why there are extra funds (G10b) and how we intend to spend it (G10c). Oftentimes, this is due to delays in subcontracting, hiring, or a late budget start date. Whatever the reason, it is important to take advantage **of G.10 and Section F.** to explain challenges and delays.

❑ **Budget Tab-H (If applicable)**

- To develop your budget, use the amount committed for the next budget period that is listed in the first NoA.
- Include committed supplement amounts for the next budget period, exclude carryover.

- Upload subrecipient budgets and justifications separately.
- Total consortium costs for the main UMB budget **MUST** be added up and input manually into budget line-item F.5.