UNIVERSITY of MARYLAND BALTIMORE

NIH Research Performance and Progress Report (RPPR)

Review Guide

- ❑ **Cover Page Tab-A**
  - Select Gregory Sorensen for Administrative Official.
  - Select Amanda Knott for Signing Official.
- ❑ **Accomplishments Tab-B**
  - B.1a If your goals (specific aims) were revised and approved since the last reporting period, select yes and provide a revised description of major goals/specific aims.
  - B.3 If you received a supplement for the current period (the period you are reporting on), report each supplement.
  - B.4 For all projects reporting graduate students and/or postdoctoral participants in Section D.1, upload a document that describes opportunities for training and professional development. Be sure to mention how the Individual Development Plan *is used,* but do not upload the IDP itself.
    - This is not required for AHRQ participants.
- ❑ **Products Tab-C**
  - C.1 Check for non-compliant publications.
    - Non-compliant publications that fall under the NIH public access policy must still be reported. To check to see if your award falls under this policy, visit Applicability
    - A compliant paper is one that is either *Complete*, *N/A* (not applicable), *PMC Journal in Process*, or I*n Process at NIHMS*If we report non-compliant publications, NIH will email a Progress Report Additional Materials (PRAM) request to the Principal Investigator and Signing Official to request an update.Need more guidance? Go to:
      - NIH Policy Topics: Public Access
      - University of Maryland guidance on the NIH Public Access policy
  - C.4
    - Report on inventions, patent applications and/or licenses that resulted from the award during the current period (the period you are reporting on).
    - Refer to UMVENTURES
  - C.5.c. NIH now requires an update on Data Management and Sharing (DMS) Plans if the initial research plan addressed or the award terms require an update on the progress of the DMS. NOT-OD-24-175, Reminder: Reporting Data Management and Sharing (DMS) Plan
    - "Not applicable" will appear 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 must upload a revised DMS Plan.

- A "No" response to "*Has the data been shared?*" requires an explanation. A blank triggers a validation error.

❑ Participants Tab-D

D.1

- List all persons who worked on the project in the current reporting period for at least one calendar month, regardless of compensation, **AND** list all persons who may work on the project in the upcoming budget period.
  - Key Persons should ensure that the ORCID provided aligns with the ORCID linked to the eRA Commons User ID.
  - Other Significant Contributors (OSC) are not considered Senior/Key Personnel. Do not include *existing* OSCs who do not commit effort. Report only new OSCs. Do not report individuals who are in xTrain.
  - If a consultant or post-doctoral student was listed as Key Personnel in the application, mark them as Key in the list of participants table *if they worked for at least one calendar month*.
- List New Senior/Key Personnel, Senior/Key Personnel with changes in active Current and Pending (Other) Support since the last reporting period and New Other Significant Contributors should be reported.
  - FAQ: Common Forms for Biographical Sketch and Current and Pending (Other) Support
  - Do not flatten Common Forms for the RPPR.
- If **PI** effort is less than 0.05, enter 0.1.
- eRA Commons does not accept a zero-value for person months, unless the individual is a New/Senior Key Personnel or New Other Significant Contributor (OSCs do not have measurable effort).
- 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.
- Key Personnel must have a Commons ID. This includes graduate and undergraduate students, postdoctoral students, and fellows. To request an eRA Commons account, submit the UMB Account Request for NIH or NSF Kuali Build (KB) form here: eRA Commons access request.
- Ensure all eRA Commons profiles are completed with contact and degree information. Go to How to Update your Profile in eRA Commons.
- **D.2** Prior approval is required for a reduction in effort of 25% or more only for the PD/PI or other senior/key personnel **that NIH has specifically named in the Notice of Award.** Effort listed for Key Persons *named in the NoA* should not equal a cumulative reduction of 25% or more from the last approved adjustment.
- Other personnel not named in the NoA do not need prior approval; however, you must report New Senior/Key Personnel, Senior/Key Personnel with changes in active Current and

Pending (Other) Support since the last reporting period and New Other Significant Contributors should be reported in section D.

- The effort proposed in the original application is the point of reference until a prior approval is granted either via the RPPR or a prior approval request.
- If effort decreased 25% or more during the reporting period and a prior approval was not submitted, contact SPA-Grants to submit a prior approval request[1]. Report their actual effort in the table in D.1.
- NIH Prior Approval Requirements
- Change in Scope
- If this is a final or interim RPPRs, list only those individuals that worked on the project during the last budget period, not including the period that was under a no-cost extension.

D.2. e

- Tip: A **change in MPI leadership does not require prior approval**. It's only a *change of PI* that requires prior approval.

❑ **Impact Tab-E**

- E.1 Applies to Education awards.
- E.3 Applies to SBIR/STTR awards.
- E.4 Report funds obligated to first-tier foreign subrecipients in this reporting period. The amount should reflect the total costs.

❑ **Changes Tab-F**

- F.2 We recommend describing those project challenges and delays that may be impacting spending. Your explanation here will support the projected carryover reported in G.10, if any.

❑ **Special Reporting Requirements Tab-G**

- G.1 Check for special reporting requirements in your NoA.
  - New Type 3 Supplements have special reporting requirements. See your NoA for specific instructions.
  - If applicable, upload the Malign Foreign Talent Recruitment Program (MFTRP) certification statement here. This certification statement applies to all key persons that did not upload a Common Form Biosketch or Other Support in Section D. Do not combine all certifications into one PDF. Upload each separately and flatten the .pdf. Identify each document with the file name " **MFTRP cert_PIname."**
  - If childcare costs were included in your proposal, specify the number of trainees who used childcare costs in the reporting period. Follow the instructions found in the Supplemental Instructions (Section 7) for Training RPPRs.
  - Refer to the RPPR Instruction Guide, section 7, *Supplemental Instructions for Specific Grant RPPR Types* for more info.

[1] See NIH Prior Approval Requirements

Table 1: Applicable Supplemental Instructions

Applicable Supplemental Instructions	Award Activity Codes
7.1 Individual Career Development (K) Awards	K00, K01, K02, K05, K06, K07, K08, K18, K22, K23, K24, K25, K26, K99, KL1
7.2 Fellowship Awards	F05, F30, F31, F32, F33, F99
7.3 SBIR/STTR Awards	R41, R42, R43, R44, U43, U44, UT1, UT2, SB1, UB1
7.4 Training Awards	K12, KL2, R90, RL9, T15, T32, T34, T35, T37, T90, TL1, TL4, TU2
7.5 Educational Awards	D43, DP7, K30, R13, R25, R38, RL5, T14, T36, U13, U2R
7.6 Multi-Project Awards and Single Project Awards with Complicated Structure	G12, R34, M01, P01, P20, P2C, P30, P41, P42, P50, P51, P60, PL1, PM1, PN1, PN2, R24, R28, RM1, S06, S11, U01, U10, U19, U24, U2C, U34, U41, U42, U45, U54, U56, UC7, UL1, UM1, UM2

RPPR Instruction Guide

- G.2 Responsible Conduct of Research. Applies to Individual Career Development (K), Fellowship (F), and Training RPPRs. A description of Responsible Conduct of Research in Instruction may be applicable.
- G. 3 Sponsor Comments. Applies to Individual Career Development (K) and Fellowship (F) awards. Upload Mentor's Report or Sponsor's Comments.
- G.4 Human Subjects
    - Ensure that the Human Subjects form is completed if required.
      A warning will appear if enrollment dates are not updated or if the status isn't marked as "ready for submission." See Quick Guide for resolving warnings and errors
    - Enter updates to actual cumulative enrollment data in the participant data enrollment template.
    - Refer to the eRA Online Help for Editing Studies at this link for a guide. Contact SPA for more resources if needed. eRA Online Help Human Subjects System: Editing Studies
    - Complete Section 6 for all studies involving clinical trials. The anticipated dates entered are *future* dates. All actual dates must be the current date or an older date.
    - If a study is a clinical trial, it must be registered and the NCT number included.
    - "Flatten" PDFs before uploading to remove interactive data.
    - If a project has more than one inclusion enrollment report, each must have a unique title.
    - If new clinical studies have started and planned enrollment was not previously reported, the PI must create a new Planned Enrollment record in the Human Subjects System.
- G.8 Project/Performance Sites
    - Each performance site requires a UEI and a congressional district.
    - List all performance sites where work is performed. Include the UMB on-campus site(s) where work is performed.
    - **Delete duplicate performance sites.**
    - **Primary site is the Office of Research and Development.**
- G.9 Foreign Component
    - Foreign Component Definition

- G.10 Estimated Unobligated Balance
    - Refer to the attached Carryover Spreadsheet Tool for guidance. NIH_CarryoverWorksheetTool_Mar26

❑ **Budget Tab-H (If applicable)**

- To develop your budget, use the amount committed for the next budget period that is listed in the NoA.
- Include committed supplement amounts for the next budget period but exclude carryover.
- Upload subrecipient budgets and justifications separately.
- Total consortium costs for the main UMB budget **MUST** be added up and input manually into line-item F.5.

Helpful references you may want to bookmark:

NIH's RPPR Instruction Guide
eRA Help_RPPR
eRA Training Videos
Common Forms for Biographical Sketch and Current and Pending (Other) Support FAQ
OtherSupportInstructions_Common Forms