Sponsored Projects Services (SPS)

Progress Reports and Non-Competing Continuation Renewals

SPS Routing and Review

January, 2013
Continuing Applications vs. Other Progress Reports

• Non-Competing Renewals/Continuations
  a. A period of continued support for a funded multi-period project
  b. Funds awarded one-period at a time based on availability and prior award commitments
  c. Award may be contingent on submission of progress report
  d. PI provides progress information and notes any changes for next budget period (year)
  e. Usually due prior to end of budget period (year)
  f. New Notice of Grant Award issued for next budget period upon receipt and review by sponsor

• Other Progress Reports
  a. Funding level for entire project period is already set
  b. PI provides progress information on completed work
  c. Usually due after the end of a budget period (year)
  d. May contain financial status reporting section
When is an E-PCS Record needed for a Progress Report?

• An E-PCS record is required for all Non-Competing Continuation Renewal Applications requiring institutional signature which do not contain post-award financial reporting.

Why is an E-PCS record required for Non-Competing Continuations?

• The report/renewal is treated like an application
• Continuation information must be captured for reporting and approval purposes

Which sponsors (in general) does this apply to?

• NIH, CDC, DHHS

Who do these progress reports get routed to in SPS?

• Pre-Award SPA
SPS “Destination”
Who gets what?

- PI/DGA complete report
  - Institutional Signature required?
    - Yes: Financial Status data included?
    - No: Submit report to sponsor
  - No: Submit report to sponsor
- Review report information
- Route to Pre-award SPA
- Route to Post-award SPA
- Finalize and Submit report to sponsor
- SPS Department Coordination
SPS “Destination”
Who gets what?

Pre-Award SPA
• Non-Competing Continuation Applications
  • NIH
  • DHHS
  • CDC
• Progress Reports with future budget period(s) changes and/or budgets

Post-Award SPA
• Progress Reports containing financial status data
  • USDE
  • DOJ
  • US Army

SPS Office
A copy of all reports submitted to sponsor
PHS Continuing Application Information
Types of Progress Reports

eSNAP – Electronic Submission

- Pre-award SPA reviews completed report
- Pre-award SPA submits report on eRA Commons
  http://era.nih.gov/docs/eSNAP_UG_v2.25.0.0_041210.pdf
- The Electronic Streamlined Non-Competing Award Process (eSNAP)
- Used to receive a non-competing award under the SNAP authorities.
- PHS 2590 Progress Report, also known as a Type 5 (non-competing) progress report.
- Use this guide in conjunction with the PHS 2590 instructions.
  http://grants1.nih.gov/grants/funding/2590/2590.htm
PHS Continuing Application Information
Types of Progress Reports

Research Performance Progress Report (RPPR)

- Pre-award SPA reviews completed report
- Pre-award SPA submits report on eRA Commons
- Progress reports to NIH must be submitted electronically through the NIH RPPR module in the eRA Commons, unless the award has not yet transitioned to use of the eSNAP or RPPR. See
PHS Continuing Application Information
Types of Progress Reports

PHS 2590 Progress Report (Hard Copy)
- Pre-award SPA reviews completed report
- DGA/PI or Pre-award SPA submits report via FedEx
  [http://grants.nih.gov/grants/funding/2590/2590.htm](http://grants.nih.gov/grants/funding/2590/2590.htm)

Detailed Budget for Next Budget Period
- non-SNAP awards only – Form Page 2. Itemize the
direct costs requested for the next budget period by
budget categories. Use the recommended direct cost
shown on the spreadsheet included with the Notice of
Award issued in the competitive year as the guide for
developing the line item annual budget. Use Form
Page 3 and continuation pages as necessary to
provide required explanation of budget items.
PHS Continuing Application Information
Types of Progress Reports

Multi-year Funded (MYF) Progress Reports

- Pre-award SPA reviews completed report
- Complete PHS 2590 Form Page 5 - Progress Report Summary and Form Page 7 - All Personnel Report. Include, as necessary, other PHS 2590 form pages. Other PHS 2590 forms (e.g., Face page, Project Performance Site, Checklist, etc.) are not required. The MYF Format should be followed unless the funding IC provides different instructions for the content of the report (e.g., for research facilities construction grant awards).
DGA/PI, EPCS record and routing Progress Reports

- **EPCS record and eRA Commons**
  - a. SPS sends a reminder e-mail to DGA/PI at least two weeks before the due date
  - b. An EPCS record should be created at least one to two weeks before due date.
  - c. The PI/DGA should submit the All Personnel Report to Pre-award SPA at least four working days before the due date
  - d. If the report is to be submitted on eRA Commons, the PI/DGA should forward the report to the Pre-award SPA after clicking the validate button in eRA Commons to check for errors
  - e. If the report is to be submitted Hard Copy via FedEx, the PI/DGA should forward the completed report to the Pre-award SPA at least three working days before the deadline. The Pre-award SPA will sign the Face Page.

  a. The PI finalizes the EPCS record before the report is sent.
  b. Either the Pre-award SPA or the PI/DGA mails the report to the sponsor.
PHS Continuing Application Information
All Personnel Report Basics

Who should be included on the All Personnel Report?

• PD/PI should always be included
• All personnel who participated in the project for at least one person month, regardless of source of compensation

How does Oregon define a person month?

• 1 person month = 173.33 hours

When completing All Personnel Report, Oregon’s standard month (173.33 hours) is used, not the NIH 160 standard hours. Use Oregon’s standard to ensure 100% of university effort is accounted for.
PHS Continuing Application Information

All Personnel Report Worksheet Preparation

**Benefits of using the All Personnel Report Workbook:**

- **Mathematical Accuracy**
  - Person Months vs. Hours vs. FTE vs. Percentage
- **Tracking & Documentation**
  - Allow another DGA, auditor or SPS member to follow and understand your process
- **Compliance**
  - Match the calculations of the effort reporting system (Activity Reports)
- **Consistency**
  - Utilize the same process across DGA Community
  - SPS SPAs and DGAs should utilize an Excel worksheet to verify and/or calculate person months
SPS All Personnel Report Worksheet Overview

• SPS worksheet has 2 sections
• Calculations by Payroll section used when Report Period does not align with calendar quarters.
  Suggested Banner reports:
  – PWRPRMR (Enter dates covered by the report)
  – PWIVERI (Verify hourly rate)
• Calculations by Activity Reports section used when Report Period aligns with calendar
  – Activity Reports
  – PWIVERI
PHS Continuing Application Information

All Personnel Worksheet preparation

To estimate personnel’s person months effort, enter:
- Grant Salary to Date
- Cost Share Salary to Date
- Hourly Rate

<table>
<thead>
<tr>
<th>Calculations by Payroll</th>
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<tbody>
<tr>
<td>Person Name</td>
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<td></td>
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</tbody>
</table>
PHS Continuing Application Information
All Personnel Report Worksheet Preparation

Use the Payroll Management Report (PWRPRMR) to enter salary data

- Personnel Names
- Personnel ID Numbers
- Grant Salary to Date
- Cost Share Salary to Date

(run report by person)
PHS Continuing Application Information
All Personnel Report Worksheet Preparation

Use Employee History Form (PWIVERI) to enter hourly data

- Review appointment
- Effective Date
- Hourly Rate

Person Months is automatically calculated
All Personnel Worksheet preparation – PWRPRMR
Create Spreadsheet method – run report by grant number
A) Sum of all months
B) Divide A by hourly Rate
C) Divide B by 173.33
**All Personnel Worksheet preparation – PWRPRMR**

Create Spreadsheet method – run report by PI

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**Payroll Management Report**

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<tr>
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<td>MAY</td>
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<table>
<thead>
<tr>
<th>To Calendar:</th>
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<th>Month</th>
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<td>APR</td>
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**ID:** 950438478  William Andrew Cresko

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**Sort Order**

- INDEX
- FUND
- ORGN
- ACCT
- PROG
- ACTV

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**Include Benefits**

**List By:** Pay Month

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**Run/Print Report**  **Create Spreadsheet**
Create Spreadsheet method – run report by PI

A) Sum of all months
B) Divide A by hourly Rate
C) Divide B by 173.33

| Index | Fund | Orgn | Acct | Prog | Actv | Rate | Name    | MAY-11 | JUN-11 | JUL-11 | AUG-11 | SEP-11 | OCT-11 | NOV-11 | DEC-11 | JAN-12 | FEB-12 | MAR-12 | APR-12 (Actual) |
|-------|------|------|------|------|------|------|---------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|                  |
| 4     | 1100 | 223195| 10102| 1001 | 248901| 9.5e+08| 50.633 Cresko, Wil| 811.11 | 407.8  | 0      | 0      | 438.81 | 877.62 | 877.62 | 877.62 | 877.62 | 877.62 | 877.62 | COST SHARED SALA |
| 5     | 1100 | 223195| 10102| 1001 | 433160| 9.5e+08| 50.633 Cresko, Wil| 1216.67| 611.71 | 0      | 0      | 658.22 | 1316.43| 1316.43| 1316.43| 1316.43| 1316.43| 1316.43| 1316.43 |
| 6     | 208491| 208491| 631910| 10204| 15001 YCRESW | 9.5e+08| 50.633 Cresko, Wil| 0     | 4388.11| 0      | 0      | 0      | 0      | 0      | 0      | 0      | 0      | 0      |
| 7     | 236011| 236011| 631910| 10204| 15001 YCRESW | 9.5e+08| 50.633 Cresko, Wil| 0     | 0      | 4578.9 | 4388.11| 0      | 0      | 0      | 0      | 0      | 0      |
| 8     | 248901| 248901| 631282| 10204| 15001 YPOI  | 9.5e+08| 50.633 Cresko, Wil| 0     | 0      | 8776.22| 4197.32| 0      | 0      | 0      | 0      | 0      | 0      |
| 9     | BBPERS | 1100 | 223195| 10102| 1001 BGEN  | 9.5e+08| 50.633 Cresko, Wil| 6083.33| 3058.55| 0      | 0      | 3291.08| 6582.17| 6582.17| 6582.17| 6582.17| 6582.17| 6582.17 | DIRECT CHARGED |

<table>
<thead>
<tr>
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<td>12,973.54</td>
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<td>256.23</td>
<td>Divide by Hourly Rate</td>
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<tr>
<td>C</td>
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<td>0.89</td>
<td>1.48</td>
<td>Divide by 173.33</td>
</tr>
</tbody>
</table>

TOTAL Person Months - PM: 2.37

(equals total salary divided by 173.33 divided by hourly rate)
PHS Continuing Application Information
All Personnel Report Worksheet Preparation

Alternate Option- Utilize Activity Reports
  • View reported Effort Percentage for calendar quarter(s)
  • Use Activity Reports if grant period aligns with calendar quarters
PHS Continuing Application Information
All Personnel Report Worksheet Preparation

Utilize Activity Reports
- Enter each personnel’s FTE/Appt % from PWIVERI
- Enter each personnel’s effort % from the 3 finalized Activity Reports

[Image of activity report with red highlighted sections]
With NOT-OD-12-160, NIH informs grantees that in Spring, 2013, at the earliest, NIH will delay processing of non-competing continuation grant awards if publications arising from that award are not in compliance with the NIH public access policy. The award will not be processed until recipients have demonstrated compliance. This change will take effect in tandem with NIH requiring the use of the Research Performance Progress Report (RPPRs) for all Streamlined Non-competing Award Process (SNAP) and Fellowship awards in the Spring of 2013 (see NIH [NOT-OD-12-142](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-160.html)).
The RPPR requires grantees to report publications using a Commons linked My NCBI account. The RPPR publication section (C.1) is pre-populated with the PD/PI’s publications from My NCBI and the PD/PI simply checks the publications to be associated with that progress report. Submitting an RPPR with a non-compliant publication will generate an automated email notifying the grantee that the progress report includes citations that are out of compliance with the public access policy and requesting a response by a specified due date two weeks prior to the next budget start date. As indicated above, no sooner than Spring, 2013, the non-competing continuation award will be delayed until a reply to the e-notification is received from the grantee with evidence of compliance or a satisfactory explanation (e.g., the sole author has passed away before they were able to process the manuscript for posting to PubMed Central).
Procedural Change for Paper Progress Reports (PHS 2590)
All grantees submitting paper PHS 2590 progress reports will be required to provide a My NCBI generated PDF list of publications as part of their progress report. These PDF reports will be required at the time the Research Performance Progress Report (RPPRs) is required for all Streamlined Non-Competing Award Process (SNAP) and Fellowship awards, expected in the Spring of 2013 (see NIH NOT-OD-12-142). Grantees will be able to use these PDF reports on a voluntary basis starting December 2012.

If a publication is not compliant with the public access policy, NIH staff will email the PD/PI and business official to inform them that the award will be delayed until a reply to the email is received with evidence of compliance or a satisfactory explanation (e.g., the author has passed away before they were able to process the manuscript for posting to PubMed Central).
Reminders Regarding Completeness and Accuracy of Progress Reports

1) PD/PIs submitting an application, proposal or report to the NIH are required to include the PMC reference number (PMCID) or appropriate substitute every time a paper that falls under the public access policy is cited that they authored or that arose from their NIH-funded research. Listing one of these publications anywhere in a progress report without an appropriate identifier is not consistent with the requirements of the public access policy. Using My NCBI to report publications guarantees that the correct identifier is reported accurately, and the public access compliance status is clearly conveyed.
Reminders Regarding Completeness and Accuracy of Progress Reports

2) Grantees are reminded to only report publications in the relevant section of the progress report (Section 2.2.6 Section E of the PHS 2590 and section C.1 of the RPPR). Publications listed in other sections of the report will not be recorded as productivity arising from the award in NIH systems (e.g., RePORT).

3) Grantees must report all publications arising from their award during the reporting period regardless of the public access status of the publication. Grantees are reminded that they certify the completeness and accuracy of the information in their progress reports when it is submitted to NIH.
Questions?