Sponsored Projects Services (SPS)

Progress Reports and Non-Competing Continuation Renewals

SPS Routing and Review

June, 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?

- Post-Award SPA
SPS “Destination”
Who gets what?

- PI/DGA initiate and complete Progress Report
  - Institutional Signature required? Yes
    - Financial Status data included? Yes
      - An EPCS record is required.
    - Financial Status data included? No
      - Submit report to sponsor
    - No
      - Submit report to sponsor
  - No
    - Send copy of report to SPS for award file

- Post-award SPA coordinates with Department (DGA/PI)
  - An EPCS record is not required.
    - Post-award SPA reviews report information
  - Post-award SPA submits report to sponsor.

- PI Finalizes EPCS record. Post-award SPA submits report to sponsor.
SPS “Destination”
Who gets what?

Post-Award SPA. **EPCS record is required.**
- Non-Competing Continuation Applications
  - NIH
  - DHHS
  - CDC
- Progress Reports with future budget period(s) changes and/or budgets

Post-Award SPA. **EPCS record is not required.**
- Progress Reports containing *financial status data*
  - USDE
  - DOJ
  - US Army

**SPS Office**
A copy of all reports submitted to sponsor
PHS Continuing Application Information
Progress Reports which require an EPCS record

eSNAP (to be discontinued)

• The use of the eSNAP module to be discontinued.

• The federal-wide Research Performance Progress Report (RPPR) is now required for all awards issued under the Streamlined Non-competing Award Process (SNAP), and all F awards, with budget start dates on or after July 1, 2013. NIH continues development of the RPPR for non-SNAP awards, including complex and training awards, and will update the community as progress is made in that regard.
PHS Continuing Application Information Progress Reports which require an EPCS record

I. Research Performance Progress Report (RPPR)

• Post-award SPA reviews an RPPR prior to submission.
• Post-award SPA reviews and approves EPCS record created for the submission of the RPPR.
• Post-award SPA submits the RPPR on eRA Commons.
• Copy of the Final RPPR is uploaded to the EPCS record.
• RPPR Instruction Guide:
PHS Continuing Application Information
Progress Reports which require an EPCS record

I. Research Performance Progress Report (RPPR)

• RPPRs **must be** submitted by an SPS Post-award SPA in the eRA Commons, unless the award has not yet transitioned to use of the RPPR. See http://grants.nih.gov/grants/RPPR/ to determine whether the award requires an RPPR or PHS 2590 (“Paper submission”).

• NIH anticipates piloting the RPPR for non-SNAP awards in calendar year 2013. Paper submissions of the PHS 2590 for non-SNAP awards and all Training awards will be accepted until further notice.
PHS Continuing Application Information Progress Reports which require an EPCS record

II. PHS 2590 ("Paper Submission")
   • Post-award SPA reviews completed report
   • DGA/PI or Post-award SPA submits report via FedEx
     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 Notice of Award (NoA) issued in the competitive year for developing the line item budget. Use Form Page 3 and continuation pages to provide required explanation of budget items.
PHS Continuing Application Information
Types of Progress Reports

III. Multi-year Funded (MYF) Progress Reports


- Complete PHS 2590 Form Page 5 - Progress Report Summary and Form Page 7 - All Personnel Report.

- Include, as necessary, other PHS 2590 form pages only when 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. As a service to the Research Community, 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 two weeks before due date and **must be** Finalized at least three business days before the due date.

  c. The PI/DGA should submit the All Personnel Report to the Post-award SPA at least several working days before the due date.
DGA/PI, EPCS record and routing Progress Reports

- EPCS record and eRA Commons

  d. If the report is to be submitted on eRA Commons, the PI/DGA route the report to the Post-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 Post-award SPA a minimum of three working days before the deadline. The Post-award SPA will sign the Face Page.

    i. The PI finalizes the EPCS record before the report is sent.

    ii. Either the Post-award SPA or the PI/DGA mails the report to the sponsor.

    iii. A copy of the submitted report is uploaded to the EPCS record.
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 UO 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

• 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
  – Confirm effort documented for PD/PI or other Senior Key Personnel named in the NoA.
• Consistency
  – Utilize the same process across DGA Community
  – SPS SPAs and DGAs should utilize an Excel worksheet to verify and/or calculate person months
PHS Continuing Application Information

All Personnel Report Worksheet Preparation

http://orsa/index.cfm?topLevCat=forms&page=Forms_Internal

SPS All Personnel Report Worksheet Overview

• SPS worksheet calculations by Payroll

Banner reports:

– PWRPRMR
  • Enter the dates covered by the Progress Report, the “Reporting Period.”

– PWIVERI
  • Verify the hourly rate for personnel shown on the All Personnel Report
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

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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)

<table>
<thead>
<tr>
<th>Personnel Name</th>
<th>Personnel ID Number</th>
<th>Grant Salary to Date</th>
<th>Cost Share Salary to Date</th>
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<td>Patrick Swazey</td>
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Payroll Management Report
Sort Order: Index, Fund, Orgn, Acct, Prog, Acctv

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</table>

UNIVERSITY OF OREGON
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

Payroll Management Report

<table>
<thead>
<tr>
<th>Grant</th>
<th>Index</th>
<th>Fund</th>
<th>Orgn</th>
<th>Acct</th>
<th>Prog</th>
<th>Actv</th>
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</thead>
</table>

Sort Order

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

- Include Benefits
- List By: Pay/Month

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

|   | A  | B   | C   | D   | E   | F   | G   | H   | I   | J   | K   | L   | M   | N   | O   | P   | Q   | R   | S   | T   | U   | V   | W   |
|---|----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| 1 | 208| 941 | 631| 910 | 102 | 402 | 9.5| 408 | 50.63 | Cresko, Wil | 811.11 | 407.8 | 0 | 0 | 438.81 | 877.62 | 877.62 | 877.62 | 877.62 | 877.62 | 877.62 |
| 2 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 1216.67 | 611.71 | 0 | 0 | 658.22 | 1316.43 | 1316.43 | 1316.43 | 1316.43 | 1316.43 | 1316.43 |
| 3 | 208| 941 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 438.81 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 4 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 0 | 0 | 0 | 0 | 4578.9 | 4383.11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 0 | 0 | 0 | 0 | 4578.9 | 4383.11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 6 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 0 | 0 | 0 | 0 | 4578.9 | 4383.11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 7 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 0 | 0 | 0 | 0 | 4578.9 | 4383.11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 8 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 0 | 0 | 0 | 0 | 4578.9 | 4383.11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 9 | 236| 011 | 631| 910 | 102 | 404 | 9.5| 408 | 50.63 | Cresko, Wil | 0 | 0 | 0 | 0 | 0 | 0 | 4578.9 | 4383.11 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

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| 12 |   |   |   |   |   |   |   |   | 50.63 | Cresko, Wil | 9.5| 408 | 50.63 | Cresko, Wil | 6083.33 | 0 | 0 | 3291.08 | 6582.17 | 6582.17 | 6582.17 |
| 13 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| 14 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
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| 16 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| 17 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| 18 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
| 19 |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |

- **Total Cost-shared Salary**: 7,801.06
- **Total Direct Charged Salary**: 12,973.54
- **Total**: 20,774.60
- **Sum of all months**: A: 7,801.06, B: 12,973.54, C: 20,774.60
- **Divide by Hourly Rate**: B
- **Divide by 173.33**: C
- **Total Person Months - PM**: 2.37

**Notes**: (equals total salary divided by 173.33 divided by hourly rate)
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 (NIHMSID) every time a paper that falls under the public access policy is cited that they authored or that arose from their NIH-funded research.

   a) 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.

   b) Using My NCBI to report publications guarantees the correct identifier is reported accurately, and the public access compliance status is clearly conveyed.
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.

4) Grantees are reminded that they certify the completeness and accuracy of the information in their progress reports when it is submitted to NIH.
Public Access - Progress Report Additional Materials (PRAM)

1) The PRAM feature allows the grantee to enter, review, and submit information in response to the notification sent when an RPPR is submitted with non-compliant publications.

2) The RPPR system sends the automated email to the PD/PI requesting verification that all publications are in compliance with the NIH Public Access Policy.

3) The SO and AO assigned to the RPPR on the Cover Page will receive a copy (cc:) of the email. While an email response to the GMS and PO is acceptable at this time, the grantee is encouraged to respond using the Public Access PRAM feature in eRA Commons.
RPPR with Non-compliant Publications

1) RPPRs may be submitted with non-compliant publications, however, a Warning message will be generated.

2) Following submission, the PD/PI will receive an automated email requiring verification that all publications are in compliance with the Public Access Policy no later than two weeks prior to the start date of the next budget period.

3) The AO and SO indicated on the Cover Page of the RPPR will receive copies of this email.

4) The SO may respond either by using the new PRAM link on the eRA Commons Status page, or in an email to the Grants Management Specialist (as of June, 2013).
1) All grantees submitting paper PHS 2590 progress reports are required to provide a My NCBI generated PDF list of publications as part of their progress report.

2) 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).
Questions?