

University of Kentucky College of Medicine Sponsored Research Administrative Services	Identification M-SRAS 002 Version 5		Contact: SRAS Manager
	Standard Operating Procedure	Date Effective: 9/14/2015 Review Date: 9/14/2016	

Submission of the Annual Progress Report/ Research Performance Progress Report (RPPR) to NIH

Purpose: The purpose of this operating procedure is to clarify and define the roles of the Principal Investigator (PI), Department Staff (DA) and the Grant Proposal Specialist (GPS) and College Grant Analyst in Sponsored Research Administrative Services (SRAS) office with regard to submitting an Annual Progress Report/Research Performance Progress Report (RPPR) to NIH.

Introduction: Grants and contracts for sponsored projects represent a contractual obligation between the sponsor and the University for the performance of a specific activity through which the sponsor is entitled to receive some consideration or benefits. The contractual obligation is normally documented by a proposal and award combination, contract, or a written memorandum of agreement. The University assumes full legal responsibility for complying with all requirements imposed by the sponsor upon acceptance of grants and contracts for sponsored projects, including a requirement for a report of expenditures or a provision for an audit. In turn, the College of Medicine must ensure its faculty are in compliance with all University and sponsor requirements.

One of these requirements of NIH is to provide an annual progress report. This procedure explains that process for the on-line submission of the Research Performance Progress Report, known as RPPR, via eRA Commons.

The Office of Sponsored Project Administration (OSPA) has delegated authority to the PI to submit the RPPR directly to NIH via eRA Commons, which is allowed for all awards covered by SNAP, the streamlined non-competing award process. OSPA is still required to submit all non-SNAP RPPRs and fellowship RPPRs. Due to the complex nature of the non-SNAP and fellowship RPPRs, more time must be provided by the PI to the SRAS staff to assist with these submissions.

Procedure:

1. The PI will receive an email reminder from OSPA approximately 60 days in advance of the due date of the annual progress report, with the email cc:ed to the Grant Proposal Specialist (GPS), in the SRAS office. A list of upcoming progress reports by due date is also available on the NIH website. The GPS pending proposal list should include these progress reports' due dates. The GPS should confirm the RPPR submission link is available in Commons and trouble-shoot the issue if it is not appearing. The GPS will determine if the submission has SNAP privileges and will follow up accordingly with the PI and DA.
2. The GPS will follow up with the PI and DA at 30 days/ 4 weeks before the due date to remind the PI of the upcoming deadline. At this point, the GPS will also remind the PI via

email of the need to make certain their associated publications have been assigned PubMed Central ID (PMCID) numbers and that their myNCBI (National Center for Biotechnology Information) is up to date. This is required to be compliant with the NIH Public Access policy, as this will impact the successful submission of the report to NIH. The GPS will provide the PI with information compiled by the Grant Analysts in SRAS for the “Participants” tab (Section D) and “Estimated Unobligated Balance” tab (Section G.10). The GPS will alert the PI if a budget is needed for non-SNAP RPPRs and would assist in preparing it, similar to any proposal budget.

3. The PI will initiate the RPPR in eRA Commons.
4. The PI must complete all sections of the RPPR. Assistance can be provided by SRAS regarding the specific sections listed below:
 - a. “Participants” Tab (Section D.2): The PI is responsible for answering the questions regarding changes in levels of effort and new senior key personnel. (The report prepared by the SRAS Grant Analysts is useful for this section.) For senior key personnel with changes in Other Support or new senior key personnel, see below for additional requirements:
 - 1) If there is a need to provide an active “Other Support” document, the GPS will offer to draft the document for the College of Medicine faculty who are key personnel on the project. This document will include information as requested by the sponsor and as is available in University resources – project/grant numbers, titles, investigator project role, dates of approved/proposed project, and current annual direct cost amounts. Alternatively, the PI may provide a draft of this document to the GPS (Word format is preferred), and the GPS will review this information for accuracy, checking against information that is available in University resources – project/grant numbers, titles, investigator role, dates of approved/proposed project, and current annual direct costs. The GPS does not have access to verify details on gift funding, start-up funding, or other financial support provided that is not administered through the Office of Sponsored Projects Administration (OSPA).
 - 2) The updated active “Other Support” document will be sent by the GPS to the DA to gather effort percentages. Subsequently, the GPS will send it to the PI for any additional, necessary information, such as, project goals/aims, information about overlap, and any other science/research-related items, as required by NIH.
 - 3) The GPS will assist the PI in requesting active “Other Support” documents for key personnel outside of the College of Medicine from the CGO for the other college(s). If the CGO for the other college does not have access to this information, at the PI’s request, the GPS will request it from the non-College of Medicine key personnel directly. The GPS will offer to format, but will not draft the document or review it for accuracy.
 - b. “Unobligated Balance” Tab (Special Reporting Requirements, Section G): SRAS can provide the PI with the estimated unobligated balance and additional related information as requested.
 - c. Budget, Tab (Section H) for non-SNAP reports.

- d. Performance Sites: SRAS will confirm that UKRF is identified as the “Prime” performance site, with correct DUNS number, Congressional District, and Address.
5. If the PI routes the RPPR to the GPS via Commons, the GPS will review the report, including performing a check for errors, and identify any issues. Specifically, the GPS will review and assist with completion of the following sections of the RPPR:
 - a. Cover Page, Section A.
 - b. Participants, Section D 1: Names of personnel who have worked on the project during the current budget period and level of effort. The report provided in Section 2 of this SOP, with these details, will be utilized. The GPS will add any Commons IDs as necessary.
 - c. Budget, Section H (required for non-SNAP reports only).
 - d. Performance Sites: SRAS will confirm that UKRF is identified as the “Prime” performance site, with correct DUNS number, Congressional District, and Address.

With the exception of reports not granted PI submission privileges (non-SNAP and fellowships), the GPS will alert the PI upon completion of review and return the RPPR to the PI for final review, revision and submission.

1. Once the PI has completed all sections of the RPPR, the PI submits the RPPR to NIH via eRA Commons. It is helpful, but not required, for the PI to send the GPS an email, letting the GPS know the RPPR has been submitted.

Roles and Responsibilities:

Principal Investigator (PI) is responsible for:

1. Initiating the RPPR in eRA Commons.
2. Completing all sections of the RPPR (details as noted in this SOP).
3. Routing to GPS for review (encouraged but not required).
4. Reviewing and submitting the final report or routing to OSPA for submission, if necessary.

GPS is responsible for:

1. Determining if report is SNAP eligible.
2. Reminding the PI of the RPPR due date and that they need to make sure publications are compliant.
3. Providing support and information to the PI and DA as needed, and reviewing report if PI requests the GPS do so.
4. Reviewing the submitted RPPR in eRA Commons.

Abbreviations

CGO—College Grants Officer (other UK Colleges’ counterpart to College of Medicine Grants Proposal Specialists)

DA—Department Administrator

eRA Commons—electronic Research Administration Commons (NIH online grants management system)

GPS—Grants Proposal Specialist (located in Sponsored Research Administrative Services)

myNCBI--National Center for Biotechnology Information (myNCBI is a tool that allows PIs to save citations and manage peer reviewed article compliance with the NIH Public Access Policy)

NIH—National Institutes of Health

OSPA—Office of Sponsored Projects Administration (located in the Vice President for Research Office)

PI—Principal Investigator

RA—Research Administrator (OSPA employee)

RPPR—Research Performance Progress Report

SRAS—Sponsored Research Administrative Services

SNAP—Streamlined Non-Competing Award Process