

ABC Research Meeting
May 31, 2017

Federal Update and Stanford's Long Range Planning Initiative

Sara Bible

Office of the Vice Provost and Dean of Research

May 31, 2017

Federal Update

President Trump's regulatory freeze:

- Approximately 200 regulations on hold until President Trump's appointees have completed their review. See the ***"The House Freedom Caucus"***
- Greenhouse Gas Emissions and Fuel Efficiency Standards
- Common Rule (regarding protection of human subjects)
- Most changes to the Uniform Guidance on hold
 - *Note: Improvements made to Procurement Guidance were released in May 2017*

Reince Priebus, White House Chief of Staff Memo dated *January 20, 2017*

“Unless prohibited by law, whenever an executive department or agency (agency) publicly proposes for notice and comment or otherwise promulgates a new regulation, it shall identify at least two existing regulations to be repealed.”

- Office of Information and Regulatory Affairs (OIRA) will likely choose which regulations will be eliminated.

“For Fiscal Year 2017, which is in progress, the heads of all agencies are directed that the total incremental cost of all new regulations, including repealed regulations, to be finalized this year shall be no greater than zero, unless otherwise required by law or consistent with advice provided in writing by the Director of the Office of Management and Budget (Director).”

The memo makes an exception for “critical health, safety, financial, or national security matters”

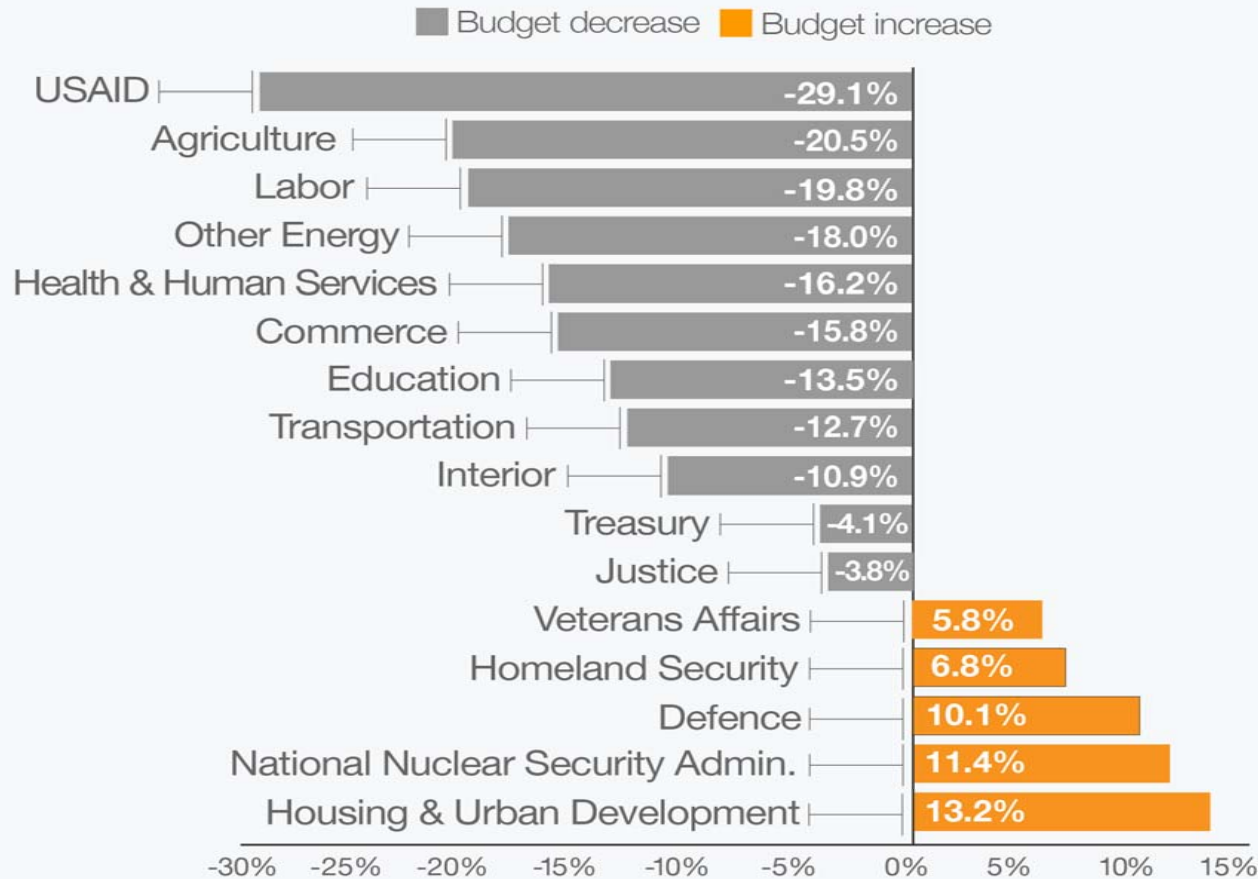
Proposed Federal Budget

Budget is a **proposal**:

- Increase Defense spending by \$54B
- Entitlements & Defense funding ~ 2/3 of budget
 - › Entitlements will not be impacted:
 - Medicare, Social Security, Medicaid
- Discretionary Funding ~ 1/3 of Budget
 - › Budget cuts could/would come from discretionary funding
 - › Includes Research and Development
- Many research supporters within Congress
 - › If agreement is not reached within Congress, there will likely be a Continuing Resolution

Trump's first budget

The new US budget shows large decreases for aid, agriculture and labor, while showing increases for defence and security.



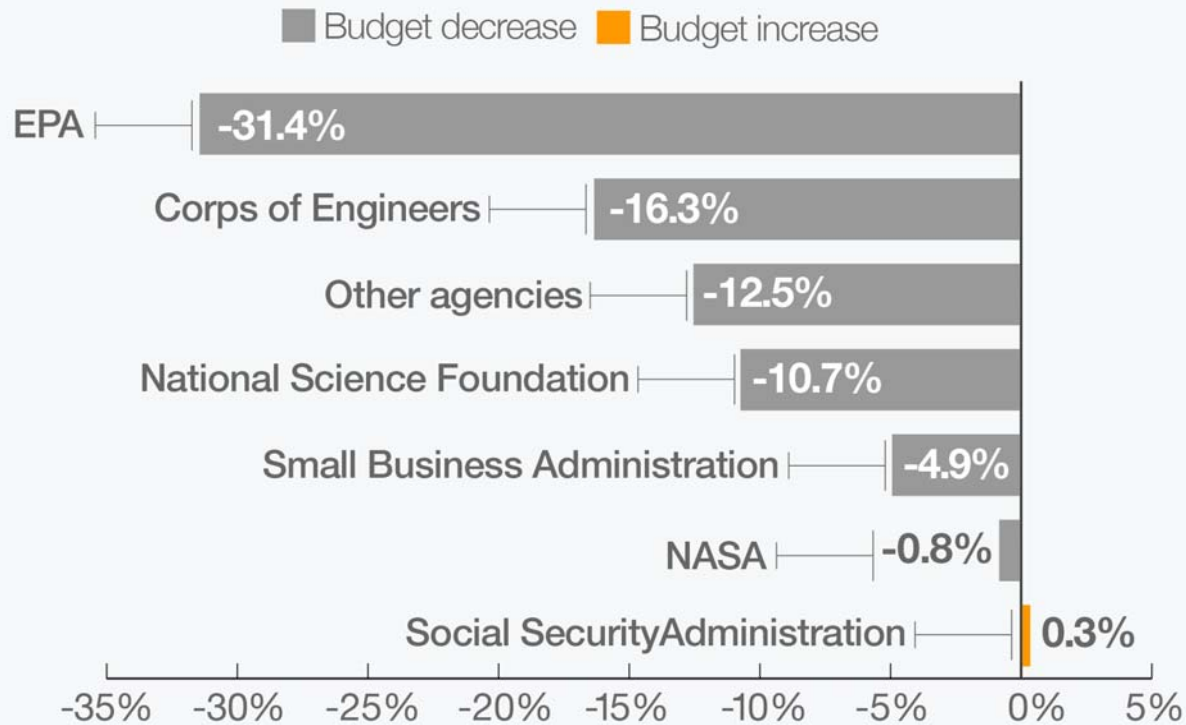
Source: Al Jazeera, US Govt. Budget FY2018 | Last Updated: May 2017



Stanford University

EPA budget cut by Trump

The Environmental Protection Agency is the big loser in US President Donald Trump's latest budget for non-departmental agencies.



Source: Al Jazeera, US Govt. Budget FY2018 | Last Updated: May 2017



Stanford University

Budget Proposals for NIH and NSF

Budget is a **proposal**:

- Department of Health and Human Services (DHHS) proposed:
 - › ~22% reduction from FY17 budget
 - › 10% cap on F&A/indirect costs charged to Total Research Costs
 - › Level V DHHS salary cap: ~ \$151K per year
- National Science Foundation proposed:
 - › ~ 11% reduction from FY17 budget
- If agreement is not reached within the Congress, there will likely be a Continuing Resolution

Stanford's Long-range Planning Process

- The goal of the planning is to:
 - “generate ideas to advance frontiers, strengthen foundations, stimulate synergies and anticipate change.”
- Areas of focus:
 - Research
 - Education
 - Our Community
 - Engagement Beyond Our Community
- See website for LRP process and to submit ideas
 - › <https://doresearch.stanford.edu/future>

Stanford's Long-range Planning Process

- Reduce Administrative Burden for Faculty Conducting Research
 - Sara Bible, Russell Brewer, Mich Pane and Kathleen Thompson working on this proposal
 - Do you have an idea on how we can streamline a process or system to reduce administrative burden?

Submit your ideas:

<https://doresearch.stanford.edu/future>



Questions

Sara Bible

sbible@stanford.edu

723.9050

Stanford University

SeRA Update

ABC Meeting May 31, 2017



New Look to Email Notifications



Email Notifications

Stanford | SeRA

Review & Approve PDRF

Details: As a Principal Investigator on the proposal below, your certification is required on the Proposal Development and Routing Form (PDRF). If you have any questions about why you are being sent this email, please contact [Catalina Verdu-Cano](#) who assigned you this task.

Proposal: SPO: 130445
Transaction: PR678128
Principal Investigator: [REDACTED]
Administering Dept: Chemical Engineering
Sponsor: National Institutes of Health (NIH)
Proposal Title: Test of NIH Proposal and Award

Comments
from
Catalina
Verdu-
Cano:

[Go to the PDRF Approval →](#)

Please do not reply to this email. Need technical help? Please submit a [Help Ticket](#).



PI Dashboard



PI Dashboard

sera.stanford.edu

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Search Navigate Help WJNELSON

Home

My Projects

Pipeline

Proposals

Reports

Advanced Search

Navigate to

My Projects

[+ Initiate New Proposal](#) [Jump to](#)

Action Items [0] Items requiring action specifically by you	My Accounts Overview of financial information on your active accounts
Activities In Progress by Others Items being worked on by others for your active projects	Active Awarded Projects Active projects which list you as an investigator or mentor
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Proposals Proposals PDRFs in the development process	



PI Dashboard – Administrator Access

Stanford | SeRA

Home

- My Projects
- Pipeline
- Proposals

Reports

Advanced Search

Navigate to

My Dashboard

My Action Items

Listed below are all of the Items that are currently assigned to you for action. Click on the blue link in the first column to open your #

Q Go 1. Primary Report Rows All Actions

ID#	Process Type	Action Item	SPO#	PI	
PR669618	Proposal - New	Edit PDRF - Minor	128771	Yang, Ze	Damon R
PR661418	Proposal - Resubmission	Prepare PDRF	123248	Frydman, Judith	Northwes



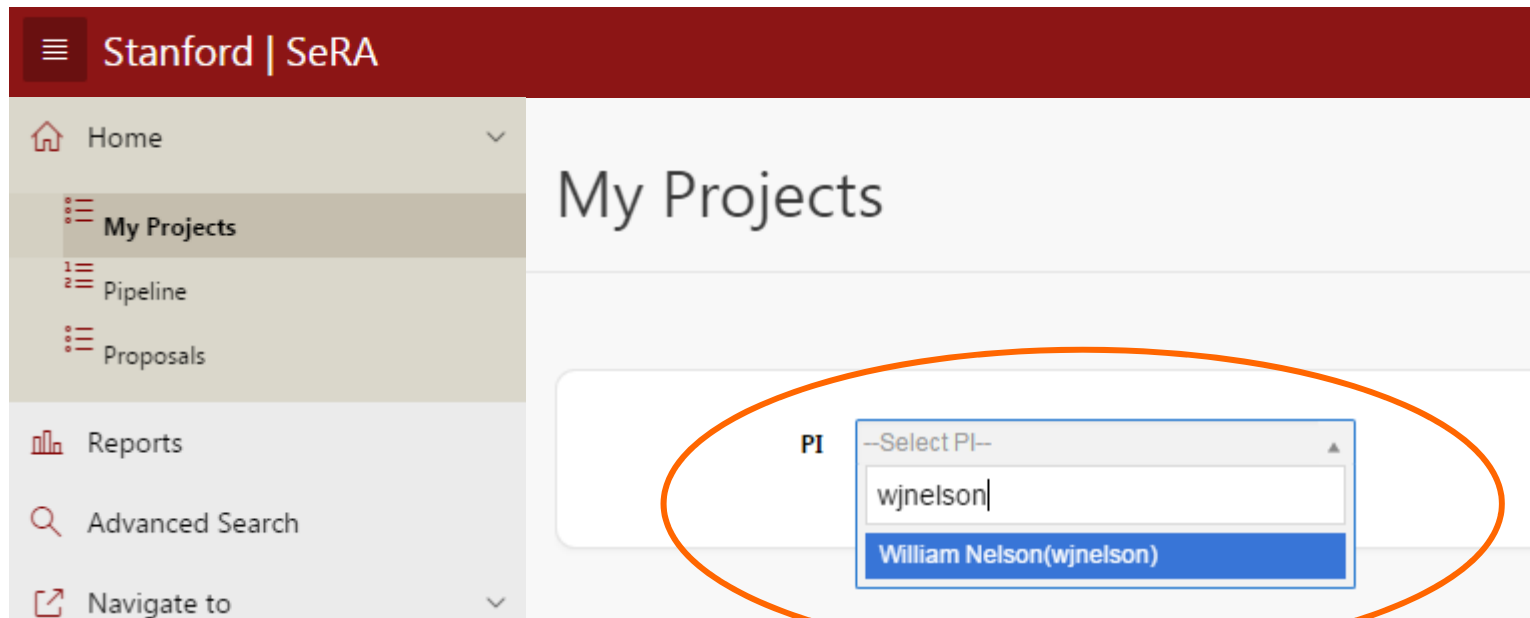
PI Dashboard – Administrator Access

The screenshot displays the Stanford | SeRA PI Dashboard. The left sidebar contains navigation options: Home, My Projects (circled in orange), Pipeline, Proposals, Reports, Advanced Search, and Navigate to. The main content area is titled 'My Dashboard' and features a 'My Action Items' section. Below this section, a text prompt reads: 'Listed below are all of the Items that are currently assigned to you for action. Click on the blue link in the first column to open your #'. A search bar with a 'Go' button and a dropdown menu set to '1. Primary Report' is visible. Below the search bar is a table with columns for ID#, Process Type, Action Item, SPO#, and PI. Two rows of data are shown.

ID#	Process Type	Action Item	SPO#	PI	
PR669618	Proposal - New	Edit PDRF - Minor	128771	Yang, Ze	Damon R
PR661418	Proposal - Resubmission	Prepare PDRF	123248	Frydman, Judith	Northwes



PI Dashboard : Administrator Access



The screenshot displays the Stanford | SeRA interface. On the left is a navigation sidebar with options: Home, My Projects (selected), Pipeline, Proposals, Reports, Advanced Search, and Navigate to. The main content area is titled "My Projects" and contains a form with a "PI" label and a dropdown menu. The dropdown menu is open, showing the text "wjnelson" and a highlighted option "William Nelson(wjnelson)". An orange oval highlights the dropdown menu.



PI Dashboard: Administrator Access

The screenshot displays the Stanford | SeRA PI Dashboard. The top navigation bar includes the Stanford | SeRA logo, a search function, and links for Navigate, Help, and LBD1. The left sidebar contains navigation options: Home, My Projects (selected), Pipeline, Proposals, Reports, Advanced Search, and Navigate to. The main content area is titled "My Projects" and features a "+ Initiate New Proposal" button and a "Jump to" dropdown. Below this, a dropdown menu shows the selected PI: William Nelson (wjnelson). His contact information is listed: Email: wjnelson@stanford.edu, Phone: (650) 723-8474, (650) 725-7596, and Department: Biology. A grid of dashboard tiles provides quick access to various project-related functions:

Action Items [0] Items requiring action specifically by you	My Accounts Overview of financial information on your active accounts
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Project Awards Closing Financial awards that are in the closeout process	Other Support Report - General Current & Pending Support in the General Format
Proposals Proposals PDRFs in the development process	



PI Dashboard: Training Status

The screenshot displays the Stanford | SeRA PI Dashboard. The top navigation bar includes 'Stanford | SeRA', a search icon, 'Navigate', 'Help', and 'LBD1'. The left sidebar contains navigation options: Home, My Projects (selected), Pipeline, Proposals, Reports, Advanced Search, and Navigate to. The main content area is titled 'My Projects' and features a '+ Initiate New Proposal' button and a 'Jump to' dropdown. Below this, a dropdown menu shows the selected PI: 'William Nelson(wjnelson)'. Contact information is listed: 'Email: wjnelson@stanford.edu', 'Phone: (650) 723-8474, (650) 725-7596', and 'Department: Biology'. A grid of dashboard tiles is shown below, with the 'Research Profile' tile highlighted by an orange box and an asterisk. The tiles include: Action Items [0], My Accounts, Activities In Progress by Others, Active Awarded Projects, Submitted Proposals Pending Award, Pipeline, Research Profile, Other Support Report - NIH, Project Awards Closing, Other Support Report - General, and Proposals.

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Search Navigate Help LBD1

Home

My Projects

Pipeline

Proposals

Reports

Advanced Search

Navigate to

My Projects

+ Initiate New Proposal Jump to

PI William Nelson(wjnelson)

Email: wjnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7596 Department: Biology

Action Items [0]
Items requiring action specifically by you

My Accounts
Overview of financial information on your active accounts

Activities In Progress by Others
Items being worked on by others for your active projects

Active Awarded Projects
Active projects which list you as an investigator or mentor

Submitted Proposals Pending Award
Proposals which have not been awarded yet

Pipeline
Items you worked on and now assigned to another person to act

* Research Profile
Your recent activity, awards and compliance training status

Other Support Report - NIH
Current & Pending Support in the NIH Format

Project Awards Closing
Financial awards that are in the closeout process

Other Support Report - General
Current & Pending Support in the General Format

Proposals
Proposals PDRFs in the development process



PI Dashboard: Training Status

▼ Research Profile

Recent Activity (Past 18 months)

- 1 Proposals Submitted as PI
- 2 Proposals Submitted as Non-PI ⓘ
- 0 New Awards Received ⓘ

Research Awards

Type ⓘ	Award #s	Current Balance ⓘ	Prior Year's Avg. Mo. Spend ⓘ	Estimated Months Remaining
Research	2	\$790,981.67	\$65,512.00	12
Other	2	-\$269.37	\$6,162.00	0

Click on the **My Accounts** tab to see detailed financial information about your awards

Training Status

- PI Training Certification (**DOR-0680**) Current 11/18/1999 Issues? [Submit a STARS ticket](#)
- PHS COI Training Certification (**COI-PROG-0002**) : Expires 02/16/2020 Issues? [Submit a OPACS ticket](#)



PI Dashboard : Other Support Reports

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Search Navigate Help LBD1

Home

My Projects

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PI William Nelson(wjnelson)

Email: wjnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7596 Department: Biology

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PI Dashboard : Other Support Reports

Other Support Report (NIH Format)

For information on how to complete Other Support Report for NIH please go to [DoResearch](#)

Participant Name:

William Nelson (wjnelson - QAUF)

Clear

Get Report

Download

Participant Name:

Nelson, William J

As of 05/26/2017

Active

1R35GM11806401 (Nelson, William J - SPO 120500)

National Institutes of Health

Cell-Cell Junctions and Epithelial Homeostasis

Major Goals: Type the Major Goals of the study HERE and they will show up in the Other Support/Current Pending Report!

04/01/2016 - 03/31/2021

\$554,017

(Subs: \$0)

4.59

academic

1.53 summer

Pending

(Nelson, William J - SPO 119612)

National Institutes of Health

Crosstalk between adhesion receptors in cell-cell adhesion and cell migration

Major Goals:

09/01/2015 - 08/31/2020

\$250,000

(Subs: \$0)

1.35

academic

0.45 summer



PI Dashboard : Other Support Reports

Other Support Report (NIH Format)

For information on how to complete Other Support Report for NIH please go to [DoResearch](#)

Participant Name: Clear Get Report

Download

Participant Name: Nelson, William J
As of 05/26/2017

Active		
1R35GM11806401 (Nelson, William J - SPO 120500) National Institutes of Health Cell-Cell Junctions and Epithelial Homeostasis	04/01/2016 - 03/31/2021 \$554,017 (Subs: \$0)	4.59 academic 1.53 summer
* Major Goals: Type the Major Goals of the study HERE and they will show up in the Other Support/Current Pending Report!		
Pending		
(Nelson, William J - SPO 119612) National Institutes of Health Crosstalk between adhesion receptors in cell-cell adhesion and cell migration Major Goals:	09/01/2015 - 08/31/2020 \$250,000 (Subs: \$0)	1.35 academic 0.45 summer



PI Dashboard : Edit/Add Major Goals

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Search Navigate Help LBD1

Home

My Projects

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My Projects

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PI William Nelson(wjnelson)

Email: wjnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7596 Department: Biology

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PI Dashboard : Edit/Add Major Goals




My Projects

[+ Initiate New Proposal](#) [Jump to](#) ▾


PI x ▾

Email: wjnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7596 Department: Biology

▼ Active Awarded Projects

SPO# ↓≡	Sponsor	Title	Role	Sponsor Award #	Start Date	End Date	Total Funded To Date	Remaining Anticipated Funding	Major Goals
120500	National Institutes of Health	Cell-Cell Junctions and Epithelial Homeostasis	PI	1R35GM11806401	04/01/2016	03/31/2021	\$874,799.00	\$3,490,641.00	
113328	Life Sciences Research Foundation	Cadherin-conjugated scaffolds for tissue engineeri	MENTOR	2014 Fellowship	08/01/2014	07/31/2017	\$180,000.00	\$0.00	
100320	National Science Foundation	EFRI-MIKS: Force Sensing and Remodeling by Cell-Ce	CO-PI	1136790	09/01/2011	08/31/2017	\$2,315,987.00	\$0.00	

[Download to Excel](#)





PI Dashboard : Edit/Add Major Goals

Major Goals

Enter / Edit the current major goals for William Nelson for SPO 120500 (Cell-Cell Junctions and Epithelial Homeostasis)

Type the Major Goals of the study HERE and they will show up in the Other Support/Current Pending Report!

105 of 4000

Cancel Save



PI Dashboard : Edit/Add Major Goals

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PI Dashboard : Edit/Add Major Goals

My Projects

+ Initiate New Proposal

Jump to ▾

PI William Nelson(wjnelson) x ▾

Email: wjnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7596 Department: Biology

Submitted Proposals Pending Award



SPO# ↓≡	Sponsor	Title	Role	Proposal Type	Proposal Identifier	Submission Date	Start Date	End Date	Amount Requested	Major Goals	Actions
125964	National Science Foundation	Mechanobiology of epithelial monolayer response to	CO-PI	New	P1	09/14/2016	05/01/2017	04/30/2020	\$664,826.00		Mark as Rejected
120500	National Institutes of Health	Cell-Cell Junctions and Epithelial Homeostasis	PI	Non-competing Continuation/Progress Report	P2	02/01/2017	04/01/2017	03/31/2018	\$871,833.00		Mark as Rejected
119612	National Institutes of Health	Crosstalk between adhesion receptors in cell-cell	PI	New	P1	02/25/2015	09/01/2015	08/31/2020	\$1,995,559.00		Mark as Rejected



PI Dashboard : Clean Up Old Proposals

My Projects

+ Initiate New Proposal

Jump to ▾

PI William Nelson(wjnelson) x ▾

Email: wjnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7596 Department: Biology

Submitted Proposals Pending Award



SPO# ↓≡	Sponsor	Title	Role	Proposal Type	Proposal Identifier	Submission Date	Start Date	End Date	Amount Requested	Major Goals	Actions
125964	National Science Foundation	Mechanobiology of epithelial monolayer response to	CO-PI	New	P1	09/14/2016	05/01/2017	04/30/2020	\$664,826.00		Mark as Rejected
120500	National Institutes of Health	Cell-Cell Junctions and Epithelial Homeostasis	PI	Non-competing Continuation/Progress Report	P2	02/01/2017	04/01/2017	03/31/2018	\$871,833.00		Mark as Rejected
119612	National Institutes of Health	Crosstalk between adhesion receptors in cell-cell	PI	New	P1	02/25/2015	09/01/2015	08/31/2020	\$1,995,559.00		Mark as Rejected



PI Dashboard: Clean Up Old Proposals

edu Phone: (650) 733-8474 / (650) 735-7506 Department: Biology

Start Transaction

Proposal Rejection Notification Date

Comments

Cancel **Mark as Rejected**

	Submit Date
	09/14/
	02/01/
	02/25/
	03/13/
Foundation	
For	
Swarm engineering of cell-cell adhesion	
MENTOR	
New	
P1	01/29/



PI Dashboard : Other Support Reports

Other Support Report - General

For information on how to complete Current and Pending support report please go to [Do Research](#)

Participant Name: ✕ ▼

Active report lists projects that have been awarded, in SeRA.
 The **Pending** report lists projects that are proposed:

✕

Status : Active

Investigator	PI Name	SPO#	Agreement#	Institution Name	Project Title	Project Period of Performance	Current Budget Period	Direct Costs of Current Budget Period	Total Project Estimated Cost
Nelson, William J	Nelson, William J	120500	R35GM118064	National Institutes of Health	Cell-Cell Junctions and Epithelial Homeostasis	04/01/2016-03/31/2021	04/01/2017 - 03/31/2018	\$554,017	\$4,365,440

Status : Pending

Investigator	PI Name	SPO#	Agreement#	Institution Name	Project Title	Project Period of Performance	Current Budget Period	Direct Costs of Current Budget Period	Total Project Estimated Cost



PI Dashboard : Future Enhancement

My Calendar

Show items such as: NCX due dates, Report/Deliverable due dates, Proposal due dates

Calendar						
May 2017						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
30	1	2	3	4	5	6
7	8	9 OSR IO: Nicole Pobuta (npobuta) PR681536/SPO-131010	10	11	12	13
14	15	16	17	18	19 OSR IO: Nicole Pobuta (npobuta) PR667974/SPO-129902	20
21	22	23 OSR IO: Nicole Pobuta (npobuta) PR680208/SPO-130768	24	25	26	27
28	29 OSR IO: Nicole Pobuta (npobuta) PR681966/SPO-131067	30	31 OSR IO: Nicole Pobuta (npobuta) PR684989/SPO-131604	1 OSR IO: Nicole Pobuta (npobuta) PR684573/SPO-131512	2	3



Visualization Reports (Beta)



Visualization Reports (Beta)

Stanford | SeRA

Home

- My Projects
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- Reports**
- Advanced Search
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Visualization Reports (Beta)

Reports



Project List
Project List



Dept Proposal Submissions
Dept Proposal Submissions



Other Support - General
Use this information as the starting point for preparing the Current and Pending Support.



Other Support - NIH
Use this information as the starting point for preparing the Other Support Report for NIH



GBS Report
GBS Report



Proposals Report Visualization (Beta)
Visualization of sponsored proposals data (Beta)










Sponsored Funding Visualization (Beta)
A visualization of the sponsored funding data for your org(s)



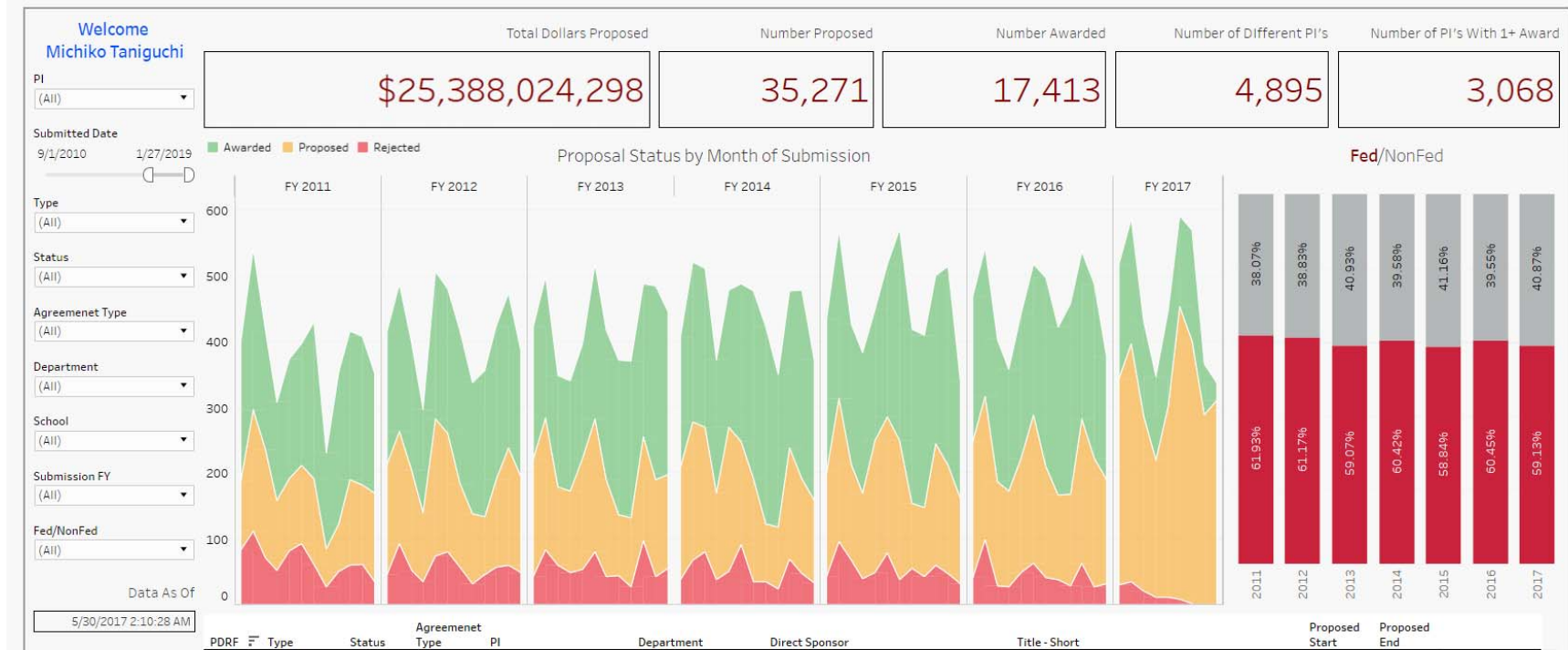
Visualization Reports (Beta)

Reports

 Project List Project List	 Dept Proposal Submissions Dept Proposal Submissions
 Other Support - General Use this information as the starting point for preparing the Current and Pending Support.	 Other Support - NIH Use this information as the starting point for preparing the Other Support Report for NIH
 GBS Report GBS Report	 Proposals Report Visualization (Beta) Visualization of sponsored proposals data (Beta)
 Sponsored Funding Visualization (Beta) A visualization of the sponsored funding data for your org(s)	

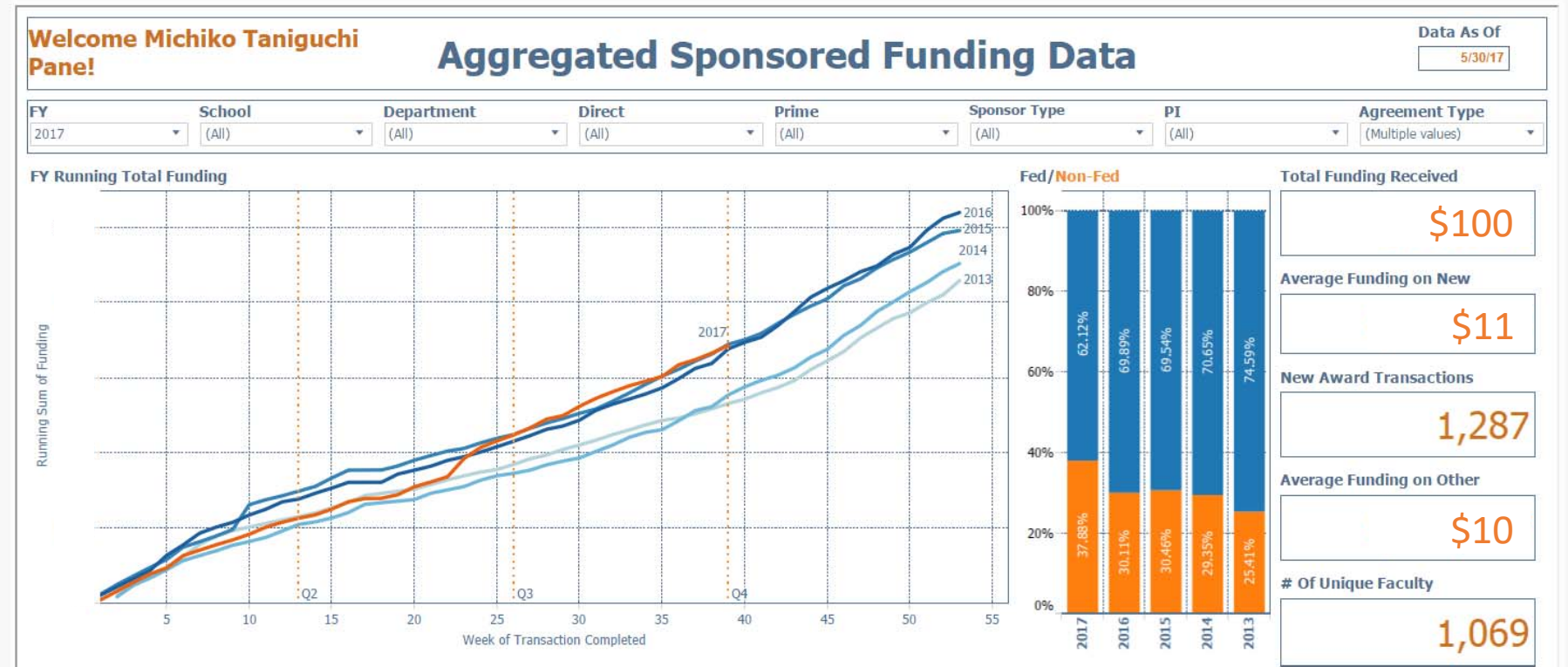
Visualization Reports (Beta)

Proposals Report Visualization (Beta)



Visualization Reports (Beta)

Sponsored Funding Visualization (Beta)



What Matters to YOU is Important to Us!

Ideas? Suggestions?

Contact Us!

John Markley (markley1@Stanford.edu)

Tim Leung (tnleung@Stanford.edu)

Mich Pane (michiko@Stanford.edu)



NIH Withdrawal of Applications

SONIA BARRAGAN,
ASSOCIATE DIRECTOR,
RESEARCH MANAGEMENT GROUP

2 applications withdrawn because of noncompliant mentor biosketches

- ▶ NIH K08
- ▶ "Your application has been found to contain information that should be within the page limits of the Research Strategy inappropriately placed in other sections of the application. Specifically, this information was found in the Biosketch-(The mentor included figures, data, and images from page 24-26). Therefore, the application cannot proceed in the referral and review process."
- ▶ NIH F32
- ▶ "NIH staff and/or reviewers noted that one or more of the biosketches included in the application did not comply with the new biosketch format requirements (NOT-OD-15-032; <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-032.html>). Applications with biosketches that do not follow the current guidelines for format and content are non-compliant."
- ▶ Note: Each contribution can have up to 4 publications cited. Mentor cited too many publications.

2 applications withdrawn because of noncompliant appendix material

- ▶ NIH R01
 - ▶ "Your application has been identified as having Appendix content that is not compliant with NIH/AHRQ/CDC policy NOT-OD-16-129 (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html>). Very limited items are allowed in appendices. In the case of your application, you have included methodology that should be within your research plan/strategy pages. Because this unallowable material is in the Appendix, your application is being withdrawn."
- ▶ NIH R01
 - ▶ "Your application has been identified as having Appendix content that is not compliant with NIH/AHRQ/CDC policy NOT-OD-16-129 (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html>). Very limited items are allowed in appendices. In the case of your application, you have included (published and nonpublic papers). Because these unallowed items are in the Appendix, your application is being withdrawn (see also NOT-OD-17-035."

3 applications withdrawn because similar applications were still under review

- ▶ NIH K99; NIH R21
- ▶ "Your application has been found to have significant scientific overlap with XXXXXX for which the summary statement was not released when your application was submitted. As stated in NOT-OD-14-074
(<http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-14-074.html>), NIH will not accept a new (A0) application that is submitted before the issuance of the summary statement from the review of the overlapping application. Thus, your current application is considered as a duplicate submission since you have two active applications proposing similar studies. Therefore, your application cannot proceed in the referral and review process and has been withdrawn."
- ▶ NIH K99
- ▶ "Your application has been identified as having substantial overlap in specific aims and training proposed to an already funded application XXXXXXXX. As stated in the Instructions, "submission of identical applications to one or more components of the PHS are not allowed. The NIH will not accept similar grant applications with essentially the same research focus from the same applicant organization. Likewise, identical or essentially identical applications submitted by different applicant organizations will not be accepted." Therefore, the K99 application cannot proceed in the referral and review process and is being withdrawn from further consideration."

1 application withdrawn because of mismatch with institute's mission and PI not meeting eligibility requirements

- ▶ NIH K99
- ▶ "You have requested primary assignment to the NCI or NIAID. This request has been considered in relation to the NIH referral guidelines, other policies, and procedures governing assignment of grant applications. The application was sent to both NCI and NIAID and neither thought the proposed experiments fit within their mission. Members of the staff have determined that your application is most appropriately assigned to the NIGMS. Unfortunately, you do not meet the eligibility requirements for NIGMS which are: Applicants must have no more than 4 years of postdoctoral research experience (i.e., employment in a research position since completing the requirements for the doctorate) at the time of the initial or the subsequent resubmission or revision application. Since we are unable to find another appropriate institute for assignment and you do not meet NIGMS' eligibility requirements, your application can't be sent forward for assignment and review. It will be withdrawn from further consideration."

2 applications withdrawn because of late submissions

- ▶ NIH R21 (two applications)
- ▶ "This application was submitted too late to be considered with the other applications that were submitted on time for the due date of 10/18/2016 - see NOT-OD-CA-16-065- Notice of Change in Key Dates for PAR-16-176 "NCI Clinical and Translational Exploratory Developmental Studies (R21) (<http://grants.nih.gov/grants/guide/notice-files/NOT-CA-16-065.html>). Following the NIH late application policy in NOT-OD-15-039 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-039.html>) we are unable to forward your application to review or for funding consideration."

The End

Grant Application Forms Update: FORMS-E

Agencies periodically update application forms in order to remain current with the most recent form sets available through Grants.gov and approved by the Office of Management and Budget and to align data collection with current policy.

NIH and some other agencies serviced by eRA use the 'Competition ID' field of Grants.gov application packages for quick and easy identification of the form versions used in an application package.

NIH will require the use of application packages with a Competition ID of **'FORMS-E' for due dates on or after January 25, 2018**. Applications prepared using "FORMS-D" application packages for due dates after January 24, 2018 will not be reviewed.

Changes to Agency-specific PHS Forms Included in 'FORMS-E' Application Packages

The majority of form changes introduced in FORMS-E packages relate to the **consolidation of human subjects and inclusion enrollment report information** previous collected across multiple forms into a new PHS Human Subjects and Clinical Trials Information form. The new form also expands clinical trial data collection to ensure the appropriate level of information for review and to improve oversight

PHS 398 Career Development Award Supplemental Form

- Updated OMB Expiration Date to 03/31/2020
- Removed Human Subjects Section, including the following attachments:
 - Protection of Human Subjects
 - Data Safety Monitoring Plan
 - Inclusion of Women and Minorities
 - Inclusion of Children
- Renumbered form fields
- Made minor text edits

PHS 398 Cover Page Supplement

- Updated OMB Expiration Date to 03/31/2020
- Removed Human Subjects Section, including:
 - "Clinical Trial" question
 - "Agency Defined Phase III Clinical Trial" question
- Renumbered form fields
- Made minor text edits

PHS 398 Modular Budget

- Updated OMB Expiration Date to 03/31/2020

PHS 398 Research Plan

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- Removed Human Subjects Section, including the following attachments:
 - Protection of Human Subjects
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- Inclusion of Children
- Renumbered form fields
- Made minor text edits

PHS 398 Research Training Program Plan

- Updated OMB Expiration Date to 03/31/2020
- Removed the following attachments from the Other Training Program Section:
 - Human Subjects
 - Data Safety Monitoring Plan
- Renumbered form fields
- Made minor text edits

PHS 398 Training Budget

- Updated OMB Expiration Date to 03/31/2020

PHS 398 Training Subaward Budget Attachment(s) Form

- Updated OMB Expiration Date to 03/31/2020

PHS Additional Indirect Costs

- Updated OMB Expiration Date to 03/31/2020

PHS Assignment Request Form

- Updated OMB Expiration Date to 03/31/2020
- Made significant text edits

PHS Fellowship Supplemental Form

- Updated OMB Expiration Date to 03/31/2020
- Removed Human Subjects sub-section from Other Research Training Plan Section, including:
 - “Human Subjects Involvement Indefinite” question
 - “Clinical Trial” question
 - “Agency Defined Phase III Clinical Trial” question
 - Protection of Human Subjects attachment
 - Data Safety Monitoring Plan attachment
 - Inclusion of Women and Minorities attachment
 - Inclusion of Children attachment
- Removed Vertebrate Animals Use Indefinite question from the Vertebrate Animals sub-section of the Other Research Training Plan Section
- Renumbered form fields
- Made minor text edits

PHS Human Subjects and Clinical Trials Information Form

- Introduced new form for consolidated human subjects, inclusion enrollment report and clinical trial information

PHS Inclusion Enrollment Report

- Discontinued use (data collection moved to new PHS Human Subjects and Clinical Trials Information Form)

Changes to Federal-wide R&R Forms Included in 'FORMS-E' Application Packages

FORMS-E application packages incorporate the latest versions of the federal-wide forms managed by Grants.gov (OMB Number: 4040-0001, Expiration Date: 10/31/2019).

R&R Budget and associated R&R Subaward Attachment Form

- Added new "Total Costs and Fee" calculation to budget periods and cumulative budget

SBIR/STTR Information

- Added "Agency to which you are applying" question with options for DOE, HHS, USDA and Other
- Added "SBC Control ID" field for the 9-digit code obtained from the Small Business Administration
- Added "Direct Phase II", "Phase IIA", "Phase IIB" and "Commercialization Readiness Program" as Application Type options
- Added "Phase I Letter of Intent Number" field
- Added "Agency Topic/Subtopic" field
- Added two additional questions regarding eligibility
 - "1c. Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms?"
 - "1d. Is your small business a Faculty or Student-Owned entity?"
- Added "DUNS Number of non-profit research partner for STTR" field
- Minor text changes

Grant Application Forms Update: FORMS-E

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- Minor text changes

NIH FRPPR

What is an FRPPR?

FRPPR = Final Research Performance Progress Report

Effective January 1, 2017 the Final Research Performance Progress Report (Final RPPR) replaces the Final Progress Report (FPR) for Closeout.

FRPPRs

WHERE IN THE WORLD DO YOU FIND THEM?



PI Access to Final RPPR

Step 1

Home Admin Institution Profile Personal Profile **Status** RPPR xTrain Admin Supp eRA Partners

Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status

[Recent/Pending eSubmissions](#)

- Applications that require action (e.g., to view errors/warnings) prior to submission completion
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been refused by Signing Official

List of Applications/Grants

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

- Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Grants.gov Tracking Number:

Step 2

Under Action
Click [Requires Closeout](#)
Do **NOT** Click on [RPPR](#)
(that will show previous Year RPPR)

U.S. Department of Health & Human Services www.hhs.gov

eRA Commons A program of the National Institutes of Health

NIH ORF

Welcome: Linda Murlagh
ID: MURTAGH LINDA
Institution: STANFORD UNIVERSITY
Roles: SO PACR
Logout | Contact Us | Help

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR xTrain xTRACT Admin Supp eRA Partners Non-Research

Status Result - General Search ?

>>If your grant was not awarded, please do not use the MYPR link in the Action column to submit a Progress Report for Multi-Year Grant.<<

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

Application ID	Grants.gov Tracking	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
								Requires Closeout RPPR

PI Access to Final RPPR cont...

Step 3

Click

Process Final RPPR

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR Internet Assisted Review xTrain xTRACT
Admin Supp eRA Partners

[« Return to Search Results](#)

Closeout Status ?

Application Information

Grant Number: 5R01DK123456-13	PD/PI Name: FATHERS, SAM	Closeout Contact Name: MCCASLIN, ISAAC
Project Period: 09/30/1999 to 07/31/2016	Closeout Status: Requires Closeout	Closeout Contact Email: eRATest@mail.nih.gov
Proposal Title: Role of Nitric Oxide in Interstitial Cystitis	Date Of Status Change:	Closeout Contact Phone: 301-555-5555

Closeout Submission

Requirement	Instruction	Status	Result of Actions	Date	Action
FFR	For FFR submission, you must have the Commons FSR role.	Not Started			
Final RPPR	Only the SO or the PI of the Grant may process the Final RPPR.	Not Received			Process Final RPPR
Final Invention Statement	For Submission, Final Invention Statement requires verification by the Signing Official of the Institution.	Not Received			Process Final Invention Statement

Initiating the Final RPPR

Step 4
Click
Initiate

Final RPPR Menu ?

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic Degeneration
Due Date:	N/A
Current Reviewer:	
Status:	Not Started

Initiate Edit Check for Errors View View Routing History Route Recall Submit Cancel

Step 5
Click Edit

Final RPPR Menu ?

The RPPR has been successfully initiated.

Application Information	
Grant Number:	5R21HL123456-02
Institution:	STARFLEET ACADEMY, MEDICAL RESEARCH
PD/PI Name:	Kirk, Tiberius J
Project Title:	Andronesian Encephalitis Can Lead to Genetic
Due Date:	N/A
Current Reviewer:	McCoy, Leonard B
Status:	PD/PI work in Progress

Edit Check for Errors View View Routing History Route Recall Submit Cancel

TIP:

If you click "Check for Errors" a list of required elements will appear.

Sample Error Messages (R21)

Final RPPR Menu ?

Error Messages

-  **Section B. Accomplishments:** (ID: 201315)
-  B.1. An answer is required. (ID: 201238)
-  B.2. An answer is required. (ID: 201240)
-  B.3. An answer is required. (ID: 201241)
-  B.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201243)
-  B.5. An answer is required: select Nothing to Report or enter/upload response. (ID: 201244)
-  **Section C. Products:** (ID: 201316)
-  C.1 An answer is required. (ID: 201246)
-  C.2. An answer is required: select Nothing to Report or enter/upload response. (ID: 201247)
-  C.3. An answer is required: select Nothing to Report or enter/upload response. (ID: 201248)
-  C.4. An answer is required. (ID: 201249)
-  C.5. An answer is required: select Nothing to Report or enter/upload response. (ID: 207473)
-  **Section D. Participants:** (ID: 201317)
-  D.1. A required field is missing. (ID: 201257)
-  **Section E. Impact:** (ID: 201318)
-  E.2. An answer is required: select Nothing to Report or enter/upload response (ID: 201267)
-  E.4. An answer is required: select Nothing to Report or enter/upload response (ID: 201268)
-  **Section G. Special Reporting Requirements:** (ID: 201320)
-  G.1. An answer is required: select Nothing to Report or enter/upload response. (ID: 201275)
-  G.6. An answer is required. (ID: 201281)
-  G.9. An answer is required: select No Foreign Component or enter/upload response. (ID: 201283)
-  **Section I. Outcomes:** (ID: 206739)
-  I.1. An answer is required. (ID: 206738)

How Final RPPRs are different from RPPRs?

Simplified Section:

D. PARTICIPANTS: (Complete D.1 only)

Sections **NOT Included:**

F (Changes)

G. (Special Reporting Requirements): G.8, G.10 – G.12

H (Budget)



NEW

New Section:

I (Outcomes)

D. Participants



Applicable:

D.1 What individuals have worked on the project?

Not Applicable:

D.2 PERSONNEL UPDATES

D.2.a Level of Effort

D.2.b New Senior/Key Personnel

D.2.c Changes in Other Support

D.2.d New Other Significant Contributors

D.2.e Multi-PI (MPI) Leadership Plan

Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | Prior Approval | RPPR | xTrain | xTRACT | Admin Supp | eRA Partners | Non-Research

Search | Manage MyRA | eRA Performance Report

A Cover Page | B Accomplishments | C Products | **D Participants** | E Impact | G Special Reporting Req | I Outcomes

D. Participants

Tips & Notes:

THE FOLLOWING DOES NOT APPLY TO FELLOWSHIPS:

For NIH awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles.

Additionally, individuals with these roles on a project are required to complete the following facts in the Commons Personal Profile: Date of Birth, Gender, Ethnicity and Race, Disability, and Citizenship Status. For the Gender, Race and Ethnicity, and Disability fields, one of the acceptable responses is "Do not wish to provide". Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree. The profile must also include the name of institution issuing the degree.

Save Cancel

D.1 What individuals have worked on the project?

Provide or update the following information for: (1) program director(s)/principal investigator(s) (PI(s)); and (2) each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours or 5.3% of annualized effort).

Provide the name and identify the role the person played in the project. Indicate the nearest whole person month (Calendar, Academic, Summer) that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student.

Instructions:

- An individual's Commons user ID may be used to partially populate his or her information.
- A Commons ID is required for all individuals with a postdoctoral role and/or supported by a fellowship or University Supplement.
- Individuals with a postdoctoral role should be identified as "Postdoctoral (scholar, fellow, or other postdoctoral position)".
- Do not include Other Significant Contributors who are not committing any specified measurable effort to this project.
- Do not report personnel for whom a PHD 221 Appointment form has been submitted through xTRAIN.
- Required fields are marked with an *

eRA Commons User ID

*First Name Middle Name *Last Name *Senior/Key Personnel? Yes No

Degree(s) *Project Role Supplement Support (\$\$) *Person Months
 [Please select a role] [Not Applicable] Calendar Academic Summer

Yes No
 *Is the individual's primary affiliation with a foreign organization? Yes No
 Check "no" if the individual's primary affiliation is with a foreign organization but the individual is working on this award solely while in the U.S.

If yes, provide the name of the organization and country

Organization Name Country
 [Please select a country]

Commons ID	SIK	Name	Degree(s)	Role	Person Months			Foreign Affiliation		\$\$	Action
					Cal	Acad	Sum	Org	Country		

D.2 Personnel Updates

D.2.a Not Applicable

D.2.b Not Applicable

D.2.c Not Applicable ?

D.2.d Not Applicable

D.2.e Not Applicable ?

F. Changes

This section will

NOT

appear.

TABLELIST Manage KPIPR
Cover Page | B Accomplishments | C Products | D Participants | E Impact | **F Changes** | G Special Reporting Req | H Budget | I Outcomes

F. Changes

F.1 Not Applicable

F.2 Actual or anticipated challenges or delays and actions or plans to resolve them
Describe challenges or delays encountered during the reporting period and actions or plans to resolve them.
 Describe only significant challenges that may impede the research (e.g., accrual of patients, hiring of personnel, need for resources or research tools) and emphasize their resolution.
 Nothing to Report
or describe challenges or delays and plans to resolve them below (NH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)
Delays in getting accounts organized and verifying IACUC and research protocol congruity. Delays in breeding donor pigs. Delays in approval for minor IACUC modifications. And delays secondary to getting staff hired and unexpected departure of staff.
Total remaining allowed limit is 7751 characters.

F.3 Significant changes to Human Subjects, Vertebrate Animals, and/or Select Agents
Describe significant deviations, unexpected outcomes, or changes in approach for human subjects, vertebrate animals, and/or select agents during this reporting period. Remember that significant changes in objectives and scope require prior approval by the funding agency (e.g., NIH Grants Policy Statement, etc.). If there are changes in any of the following areas check the appropriate box and provide a description of the changes.

F.3.a Human Subjects
If human subject protocols are or will be different from the previous submission, include a description and explanation of how the protocols changed and provide a new or revised Protection of Human Subjects Section as described in the competing application instructions.
 No Change
or upload description of change

F.3.b Vertebrate Animals
If there are or will be significant changes to the uses of vertebrate animals from the previous submission, provide a description of the changes. Examples of changes considered to be significant include, but are not limited to, changing animal species, changing from noninvasive to invasive procedures, new project/performance objectives, new vertebrate animals will be used, etc. If studies involving live vertebrate animals are planned and were not part of the originally proposed research design, provide a new or revised Vertebrate Animals Section as described in the competing application instructions.
 No Change
or upload description of change

F.3.c Biohazards
If the use of biohazards is or will be different from the previous submission, provide a description and explanation of the difference(s).
 No Change
or upload description of change

F.3.d Select Agents
If the possession, use, or transfer of Select Agents is or will be different from that proposed in the previous submission, including any change in the select agent research location and/or the required level of biocontainment, provide a description and explanation of the differences. If the use of Select Agents was proposed in the previous submission but has not been approved by regulatory authorities, provide an explanation. If studies involving Select Agents are planned and were not part of the originally proposed research design, provide a description of the proposed use, possession, transfer, and research location as described in the competing application instructions.
U.S. Select Agent Registry information: <http://www.selectagents.gov/SelectAgentsandToxins.htm>
 No Change
or upload description of change

A Cover Page | B Accomplishments | C Products | D Participants | E Impact | **F Changes** | G Special Reporting Req | H Budget | I Outcomes

G. Special Reporting Requirements

Not Applicable:

G.8 Project/Performance Sites.

G.10 Estimated unobligated balance.

- G.10.a Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total approved budget? If yes, provide the estimated unobligated balance.
- G.10.b Provide an explanation for unobligated balance.
- G.10.c If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent.
To determine carryover authorization, see the Notice of Award.

G.11 Program Income.

*Is program income anticipated during the next budget period?
If yes, provide the amount and source(s).*

G.12 F&A Costs [applicable to SNAP awards only]

*Is there a change in performance sites that will affect F&A costs?
If yes, provide an explanation.*

G.8 Not Applicable

G.10 Not Applicable

G.11 Not Applicable

G.12 Not Applicable

H. Budget






I. Outcomes

Grant List | Manage RPPR | PD/PI Assurance Report

A Cover Page | B Accomplishments | C Products | D Participants | E Impact | G Special Reporting Req | **I Outcomes**

I. Outcomes ?

 For NIH Section I. Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a **competitive segment**. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes: https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

Save Cancel

I.1 What were the outcomes of the award?

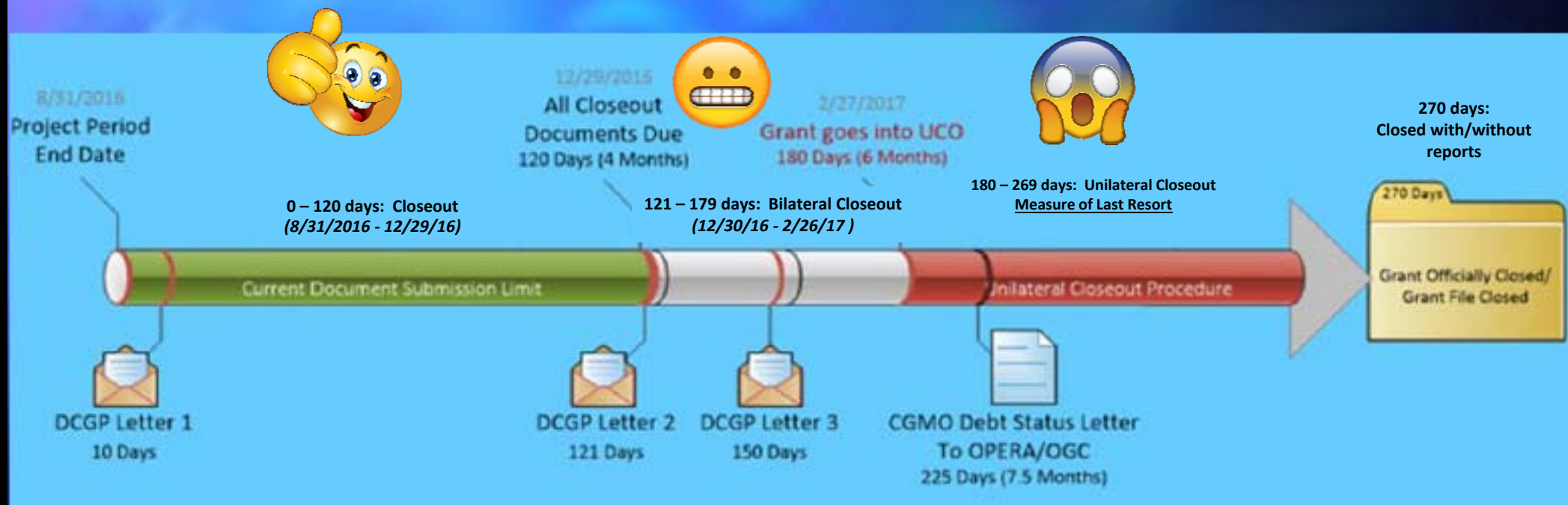
(NIH recommended length is up to 1/2 page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.

Save Cancel [A Cover Page](#) | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [G Special Reporting Req](#) | I Outcomes

NIH Timeline:

NIH Closeout Timeline



Something to Keep in Mind...

Not all RPPR sections apply to all mechanisms.

For example, these mechanisms require the following additional documents:

Education:

- G.2 RESPONSIBLE CONDUCT OF RESEARCH

Training:

- G.2 RESPONSIBLE CONDUCT OF RESEARCH

K Awards:

- G.2 RESPONSIBLE CONDUCT OF RESEARCH
- G.3 MENTOR'S REPORT

A Interim RPPR by any other name would be a Final RPPR

01/19/17: NOT-OD-17-037: NIH Implementation of the Interim-RPPR while a Renewal Application is Under Consideration

Effective February 9, 2017, ...submitted a renewal application on or before the date by which a Final Research Performance Progress Report (Final-RPPR) would be required for the current competitive segment, then submission of an "Interim-RPPR" via eRA Commons is now required.

...NIH will discontinue the policy for renewal applications whereby, "whether funded or not," the progress report contained in the renewal application may serve in lieu of a separate final progress report.

An Interim-RPPR link for the grant will appear in the Status tab in eRA Commons after the period of performance end date has passed. In the event that the renewal application is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment. If the renewal application is not funded, the Interim-RPPR will be treated by NIH staff as the institution's Final-RPPR

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-037.html>

Bottom-line: When applicable, Interim RPPRs are expected within 120 days after end of competing segment

:

Our group is submitting a renewal application (R01) in March 2017. Due to the new policy, I understand that we are to complete an "Interim RPPR" for this application. Does that mean that we do NOT include a progress report section in the 12-page Research Strategy section of the application?

You would still provide a brief progress report in the Research Strategy section of the application. Peer reviewers will still need that context when reading/rating the overall research strategy for the proposed renewal period.

<https://grants.nih.gov/grants/rppr/faqs.htm#5044>

No-Cost Extensions (NCX)

If...

A Competing Renewal has **NOT** been submitted prior to competing segment end date.

AND

An NCX is approved:

- Interim RPPR **not** be required.
- Final RPPR due after the revised project end date.

Final Invention Statement (FIS)

- Final RPPR: FIS Due (Closeout)
- Interim RPPRs: No FIS

More information to come on this...

Resources

Announcements:

[Please Call It “Final RPPR”](#)

[eRA Information: Final RPPR To Be Used Effective Jan. 1, 2017](#)

[NIH Implementation of Final Research Performance Progress Reports \(Final RPPR\)](#)

[Out with the Old, In with the New: Final Research Performance Progress Reports \(Final RPPRs\) in Use in 2017](#)

[NIH Implementation of the Interim-RPPR while a Renewal Application is Under Consideration](#)

eRA Websites:

[For Grantees - Submit Closeout](#)

[For Grantees - Submit Progress Report](#)

Videos:

[Grants Closeout in eRA Commons](#)

FAQs:

[Closeout](#)

[RPPRs](#)

What does this all mean?

Closeout Reports = Deadline

