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notice and comment or otherwise promulgates a new regulation, it shall identify at least two existing regulations to be repealed.”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in progress, the heads of all agencies are directed that the total incremental cost of all new regulations, including repealed regulations, to be finalized this year shall be no greater than zero, unless otherwise required by law or consistent with advice provided in writing by the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.

<table>
<thead>
<tr>
<th>Department</th>
<th>Budget Decrease</th>
<th>Budget Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>USAID</td>
<td>-29.1%</td>
<td></td>
</tr>
<tr>
<td>Agriculture</td>
<td>-20.5%</td>
<td></td>
</tr>
<tr>
<td>Labor</td>
<td>-19.8%</td>
<td></td>
</tr>
<tr>
<td>Other Energy</td>
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<td></td>
</tr>
<tr>
<td>Health &amp; Human Services</td>
<td>-16.2%</td>
<td></td>
</tr>
<tr>
<td>Commerce</td>
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<tr>
<td>Education</td>
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<td></td>
</tr>
<tr>
<td>Transportation</td>
<td>-12.7%</td>
<td></td>
</tr>
<tr>
<td>Interior</td>
<td>-10.9%</td>
<td></td>
</tr>
<tr>
<td>Treasury</td>
<td>-4.1%</td>
<td></td>
</tr>
<tr>
<td>Justice</td>
<td>-3.8%</td>
<td></td>
</tr>
<tr>
<td>Veterans Affairs</td>
<td></td>
<td>5.8%</td>
</tr>
<tr>
<td>Homeland Security</td>
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<td>6.8%</td>
</tr>
<tr>
<td>Defence</td>
<td></td>
<td>10.1%</td>
</tr>
<tr>
<td>National Nuclear Security Admin.</td>
<td></td>
<td>11.4%</td>
</tr>
<tr>
<td>Housing &amp; Urban Development</td>
<td></td>
<td>13.2%</td>
</tr>
</tbody>
</table>

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

- EPA: -31.4%
- Corps of Engineers: -16.3%
- Other agencies: -12.5%
- National Science Foundation: -10.7%
- Small Business Administration: -4.9%
- NASA: -0.8%
- Social Security Administration: 0.3%

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

## My Projects

<table>
<thead>
<tr>
<th>Action Items [0]</th>
<th>My Accounts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Items requiring action specifically by you</td>
<td>Overview of financial information on your active accounts</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activities In Progress by Others</th>
<th>Active Awarded Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Items being worked on by others for your active projects</td>
<td>Active projects which list you as an investigator or mentor</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Submitted Proposals Pending Award</th>
<th>Pipeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposals which have not been awarded yet</td>
<td>Items you worked on and now assigned to another person to act</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Research Profile</th>
<th>Other Support Report - NIH</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your recent activity, awards and compliance training status</td>
<td>Current &amp; Pending Support in the NIH Format</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Project Awards Closing</th>
<th>Other Support Report - General</th>
</tr>
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<tbody>
<tr>
<td>Financial awards that are in the closeout process</td>
<td>Current &amp; Pending Support in the General Format</td>
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<tr>
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</tr>
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<tbody>
<tr>
<td>Proposals PDRs in the development process</td>
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</tbody>
</table>
### 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 assigned document.

<table>
<thead>
<tr>
<th>ID#</th>
<th>Process Type</th>
<th>Action Item</th>
<th>SPO#</th>
<th>PI</th>
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</thead>
<tbody>
<tr>
<td>PR669618</td>
<td>Proposal - New</td>
<td>Edit PDRF - Minor</td>
<td>128771</td>
<td>Yang, Ze</td>
</tr>
<tr>
<td>PR661418</td>
<td>Proposal - Resubmission</td>
<td>Prepare PDRF</td>
<td>123248</td>
<td>Frydman, Judith</td>
</tr>
</tbody>
</table>
PI Dashboard – Administrator Access

My Dashboard

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<td>Frydman, Judith</td>
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</tbody>
</table>
PI Dashboard: Administrator Access

My Projects

PI: Select PI
- wjnelson
  - William Nelson (wjnelson)
PI Dashboard: Administrator Access

My Projects

- **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
- **Submitted Proposals Pending Award**: Proposals which have not been awarded yet
- **Research Profile**: Your recent activity, awards and compliance training status
- **Project Awards Closing**: Financial awards that are in the closeout process
- **Proposals**: Proposals PPRF in the development process

- **My Accounts**: Overview of financial information on your active accounts
- **Active Awarded Projects**: Active projects which list you as an investigator or mentor
- **Pipeline**: Items you worked on and now assigned to another person to act
- **Other Support Report - NIH**: Current & Pending Support in the NIH Format
- **Other Support Report - General**: Current & Pending Support in the General Format
PI Dashboard: Training Status

My Projects

- Action Items
- My Projects
- Pipeline
- Proposals
- Reports
- Advanced Search
- Navigate to

PI: William Nelson (wnelson)
Email: wnelson@stanford.edu Phone: (650) 723-8474, (650) 725-7598 Department: Biology

- Initiate New Proposal
- Jump to

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

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

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

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

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

- Project Awards Closing
  Financial awards that are in the closeout process

- Proposals
  Proposals or WFs 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**

<table>
<thead>
<tr>
<th>Type</th>
<th>Award #s</th>
<th>Current Balance</th>
<th>Prior Year's Avg. Mo. Spend</th>
<th>Estimated Months Remaining</th>
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</thead>
<tbody>
<tr>
<td>Research</td>
<td>2</td>
<td>$790,981.67</td>
<td>$65,125.00</td>
<td>12</td>
</tr>
<tr>
<td>Other</td>
<td>2</td>
<td>-$209.37</td>
<td>$6,162.00</td>
<td>0</td>
</tr>
</tbody>
</table>

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

My Projects

Action Items [0]
Items requiring action specifically by you

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

Submitted Proposals Pending Award
Proposals which have not been awarded yet

Research Profile
Your recent activity, awards and compliance training status

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Proposals POFs in the development process

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

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

[Download button]

<table>
<thead>
<tr>
<th>Participant Name:</th>
<th>Nelson, William J</th>
</tr>
</thead>
<tbody>
<tr>
<td>As of</td>
<td>05/26/2017</td>
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</tbody>
</table>

#### Active

<table>
<thead>
<tr>
<th>Project ID</th>
<th>Description</th>
<th>Start Date</th>
<th>End Date</th>
<th>Amount</th>
<th>Type</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1R35GM11806401</td>
<td>(Nelson, William J - SPO 120500) National Institutes of Health Cell-Junctions and Epithelial Homeostasis</td>
<td>04/01/2016</td>
<td>03/31/2021</td>
<td>$554,017</td>
<td>academic</td>
<td>4.59</td>
</tr>
<tr>
<td></td>
<td>Major Goals: Type the Major Goals of the study HERE and they will show up in the Other Support/Current Pending Report!</td>
<td></td>
<td></td>
<td>(Subs: $0)</td>
<td></td>
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</table>

#### Pending

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<tr>
<th>Project ID</th>
<th>Description</th>
<th>Start Date</th>
<th>End Date</th>
<th>Amount</th>
<th>Type</th>
<th>Percentage</th>
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</thead>
<tbody>
<tr>
<td>(Nelson, William J - SPO 119612)</td>
<td>National Institutes of Health Crosstalk between adhesion receptors in cell-cell adhesion and cell migration</td>
<td>09/01/2015</td>
<td>08/31/2020</td>
<td>$250,000</td>
<td>academic</td>
<td>1.35</td>
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<tr>
<td></td>
<td>Major Goals:</td>
<td></td>
<td></td>
<td>(Subs: $0)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**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

<table>
<thead>
<tr>
<th>Participant Name:</th>
<th>William Nelson (wjnelson - QAUF)</th>
</tr>
</thead>
</table>

**Download**

<table>
<thead>
<tr>
<th>Participant Name:</th>
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</thead>
<tbody>
<tr>
<td>As of:</td>
<td>05/26/2017</td>
</tr>
</tbody>
</table>

**Active**

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Description</th>
<th>Start Date</th>
<th>End Date</th>
<th>Funding</th>
<th>Academic</th>
<th>Summer</th>
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</thead>
<tbody>
<tr>
<td>1R35GM11806401</td>
<td>(Nelson, William J - SPO 120500) National Institutes of Health Cell/Cell junctions and Apoptosis Major Goals: Type the Major Goals of the study HERE and they will show up in the Other Support/Current Pending Report!</td>
<td>04/01/2016</td>
<td>03/31/2021</td>
<td>$554,017</td>
<td>4.59 academic</td>
<td>1.53 summer</td>
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**Pending**

<table>
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<tr>
<th>Project Number</th>
<th>Description</th>
<th>Start Date</th>
<th>End Date</th>
<th>Funding</th>
<th>Academic</th>
<th>Summer</th>
</tr>
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<tbody>
<tr>
<td>(Nelson, William J - SPO 119612) National Institutes of Health Crosstalk between adhesion receptors in cell-cell adhesion and cell migration Major Goals:</td>
<td>09/01/2015</td>
<td>08/31/2020</td>
<td>$250,000</td>
<td>1.35 academic</td>
<td>0.45 summer</td>
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</table>
PI Dashboard: Edit/Add Major Goals
## PL Dashboard: Edit/Add Major Goals

### My Projects

**PI:** William Nelson (w Nelson)

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

### Active Awarded Projects

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

*Download to Excel*
PI Dashboard: Edit/Add 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!
PI Dashboard: Edit/Add Major Goals
**PI Dashboard : Edit/Add Major Goals**

### My Projects

**PI**

Email: wjnelson@stanford.edu  Phone: (650) 723-8474, (650) 725-7793  Department: Biology

### Submitted Proposals Pending Award

<table>
<thead>
<tr>
<th>SPO#</th>
<th>Sponsor</th>
<th>Title</th>
<th>Role</th>
<th>Proposal Type</th>
<th>Proposal Identifier</th>
<th>Submission Date</th>
<th>Start Date</th>
<th>End Date</th>
<th>Amount Requested</th>
<th>Major Goals</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>125964</td>
<td>National Science Foundation</td>
<td>Mechanothresholds in epithelial monolayer response to</td>
<td>CO-PI</td>
<td>New</td>
<td>P1</td>
<td>09/14/2016</td>
<td>05/01/2017</td>
<td>04/30/2020</td>
<td>$654,826.00</td>
<td></td>
<td>Mark as Rejected</td>
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<tr>
<td>120500</td>
<td>National Institutes of Health</td>
<td>Cell-Cell Junctions and Epithelial Homeostasis</td>
<td>PI</td>
<td>Non-competing Continuation/Progress Report</td>
<td>P2</td>
<td>02/01/2017</td>
<td>04/01/2017</td>
<td>03/31/2018</td>
<td>$871,833.00</td>
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<tr>
<td>119512</td>
<td>National Institutes of Health</td>
<td>Crosstalk between adhesion receptors in cell-cell</td>
<td>PI</td>
<td>New</td>
<td>P1</td>
<td>02/25/2015</td>
<td>09/01/2015</td>
<td>08/31/2020</td>
<td>$1,995,359.00</td>
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<tr>
<td>SPO#</td>
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<td>Title</td>
<td>Role</td>
<td>Proposal Type</td>
<td>Proposal Identifier</td>
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<td>National Institutes of Health</td>
<td>Cell-Cell Junctions and Epithelial Homeostasis PI Non-competing Continuation/Progress Report P2</td>
<td>02/01/2017</td>
<td>04/01/2017</td>
<td>03/31/2018</td>
<td>$871,833.00</td>
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<td>National Institutes of Health</td>
<td>Crosstalk between adhesion receptors in cell-cell PI New P1</td>
<td>02/25/2015</td>
<td>09/01/2015</td>
<td>08/31/2020</td>
<td>$1,995,359.00</td>
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<td></td>
<td></td>
<td>Mark as Rejected</td>
</tr>
</tbody>
</table>
PI Dashboard: Clean Up Old Proposals

Start Transaction

Proposal
Rejection
Notification
Date

Comments

Cancel  Mark as Rejected
# 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:** William Nelson (wjnelson - CALIF)

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

<table>
<thead>
<tr>
<th>Status</th>
<th>Investigator</th>
<th>PI Name</th>
<th>SPO#</th>
<th>Agreement#</th>
<th>Institution Name</th>
<th>Project Title</th>
<th>Project Period of Performance</th>
<th>Current Budget Period</th>
<th>Direct Costs of Current Budget Period</th>
<th>Total Project Estimated Cost</th>
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<tbody>
<tr>
<td>Active</td>
<td>Nelson, William J</td>
<td>Nelson, William J</td>
<td>120500</td>
<td>R35GM118054</td>
<td>National Institutes of Health</td>
<td>Cell-Cell Junctions and Epithelial Homeostasis</td>
<td>04/01/2016 - 03/31/2021</td>
<td>04/01/2017 - 03/31/2018</td>
<td>$554,017</td>
<td>$4,365,440</td>
</tr>
</tbody>
</table>

**Pending**

<table>
<thead>
<tr>
<th>Status</th>
<th>Project</th>
<th>Current</th>
<th>Direct Costs of Current</th>
<th>Total Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PI Dashboard: Future Enhancement

My Calendar
Show items such as: NCX due dates, Report/Deliverable due dates, Proposal due dates
Visualization Reports (Beta)
Visualization Reports (Beta)
# Visualization Reports (Beta)

## Reports

<table>
<thead>
<tr>
<th>Report</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project List</strong></td>
<td>Project List</td>
</tr>
<tr>
<td><strong>Other Support - General</strong></td>
<td>Use this information as the starting point for preparing the Current and Pending Support.</td>
</tr>
<tr>
<td><strong>Other Support - NIH</strong></td>
<td>Use this information as the starting point for preparing the Other Support Report for NIH.</td>
</tr>
<tr>
<td><strong>GBS Report</strong></td>
<td>GBS Report</td>
</tr>
<tr>
<td><strong>Proposals Report Visualization (Beta)</strong></td>
<td>Visualization of sponsored proposals data (Beta)</td>
</tr>
<tr>
<td><strong>Sponsored Funding Visualization (Beta)</strong></td>
<td>A visualization of the sponsored funding data for your org(s)</td>
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</table>
# Visualization Reports (Beta)

## Reports

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<tr>
<th>Project List</th>
<th>Dept Proposal Submissions</th>
</tr>
</thead>
<tbody>
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</table>

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<tbody>
<tr>
<td>A visualization of the sponsored funding data for your org(s)</td>
</tr>
</tbody>
</table>
Visualization Reports (Beta)

Proposals Report Visualization (Beta)

<table>
<thead>
<tr>
<th>PI (All)</th>
<th>Submitted Date (9/1/2010 - 1/27/2019)</th>
<th>Type (All)</th>
<th>Status (All)</th>
<th>Agreement Type (All)</th>
<th>Department (All)</th>
<th>School (All)</th>
<th>Submission FY (All)</th>
<th>Fed/NonFed (All)</th>
<th>Data As Of (9/30/2017 2:10:28 AM)</th>
</tr>
</thead>
</table>

- Total Dollars Proposed: $25,388,024,298
- Number Proposed: 35,271
- Number Awarded: 17,413
- Number of Different PIs: 4,895
- Number of PIs with 1+ Award: 3,068

Proposal Status by Month of Submission:


Fed/NonFed:

2011: 38.07%
2012: 38.08%
2013: 38.50%
2014: 38.58%
2015: 38.59%
2016: 38.64%
2017: 38.87%
Visualization Reports (Beta)

Aggregated Sponsored Funding Data

Welcome Michiko Taniguchi
Pane!

FY Running Total Funding

Total Funding Received

Average Funding on New

New Award Transactions

Average Funding on Other

# Of Unique Faculty

$100

$11

1,287

$10

1,069
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/notices/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/notices/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 XXXXXXXXX. 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 previously 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
- Updated OMB Expiration Date to 03/31/2020
- Removed Human Subjects Section, including the following attachments:
  - Protection of Human Subjects
  - Data Safety Monitoring Plan

Updated: 04/11/2017
o Inclusion of Women and Minorities
o 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:
  o Human Subjects
  o 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:
  o “Human Subjects Involvement Indefinite” question
  o “Clinical Trial” question
  o “Agency Defined Phase III Clinical Trial” question
  o Protection of Human Subjects attachment
  o Data Safety Monitoring Plan attachment
  o Inclusion of Women and Minorities attachment
  o 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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  - Data Safety Monitoring Plan
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PHS 398 Research Training Program Plan
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  - 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
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• Added “DUNS Number of non-profit research partner for STTR” field
• 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

Step 2

Under Action
Click Requires Closeout
Do NOT Click on RPPR (that will show previous Year RPPR)
PI Access to Final RPPR cont...

Step 3
Click
Process Final RPPR
Initiating the Final RPPR

Step 4
Click Initiate

Step 5
Click Edit

TIP:
If you click “Check for Errors” a list of required elements will appear.
Sample Error Messages (R21)

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 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
F. Changes

This section will **NOT** appear.
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.
H. Budget
I. Outcomes

For NIH Section I, Outcomes will be made **publicly available**, thus allowing recipients to provide 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 comprehensive 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](https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm)

**1. What were the outcomes of the award?**

(NIH recommended length is up to 1/2 page. Limit is 8500 characters or approximately 3 pages.)
NIH Timeline:

0 – 120 days: Closeout (8/31/2016 - 12/29/16)

121 – 179 days: Bilateral Closeout (12/30/16 - 2/26/17)

180 – 269 days: Unilateral Closeout
Measure of Last Resort

270 days: Closed with/without reports
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


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