



OSR Chicago Monthly Meeting Series
March 16, 2017

Northwestern

Agenda

- General Announcements – Pamela Hawkins
- Final RPPRs – Pamela Hawkins
- Subaward Processing Reminders – Taylor Carl
- SPOT and In-Person Course Update – Chris Rinere
- Program Review Implementation - Lynda Wolter

Proposal Submission Updates & Reminders

- Make sure to check the File Attachments tool for warnings (no pdf file names greater than 50 characters), and run the XML and NIH validations prior to final routing to OSR.
- NIH is strictly enforcing the new Appendices requirements. Don't add additional information or risk NIH withdrawing the application.
 - See: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-129.html>
- NIH Commons Data –update email address to the professional one you use, e.g., northwestern.edu or nm.org. Remind your postdocs and graduate students too!
- Cost Share – email Andrea Zakrzewski (a-zakrzewski@northwestern.edu)

NIH Grants Closeout and The Final Progress Report

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NIH Grant Closeout Now Requires a Formal Final Progress Report

- Effective January 1, 2017, the National Institutes of Health requires that PIs submit their final progress (technical) report in a formal document: a Final Research Performance Progress Report or F-RPPR. <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-022.html>

But you may have to do an I-RPPR!

I-RPPR

- Effective February 9, 2017, if the recipient organization has 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.
- The 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. See [NIH Implementation of the Interim RPPR while a Renewal Application is Under Consideration](#) – Guide Notice NOT-OD-17-037.

What kind of “final” RPPR....

Scenario	Status of Competing Renewal Application	Workflow Process
1	Competing Renewal not submitted	Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.
2	Competing Renewal submitted	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
3	Competing Renewal submitted but not funded	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is not funded, NIH will treat the Interim-RPPR as the institution's Final-RPPR. To reduce burden NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.

NIH Grant Closeout Now Requires a Formal Final Progress Report

Challenges:

- F-RPPR requires administrative information that most PIs will not have readily available.
- F-RPPR are in the Closeout Section of eRA Commons and the roles RA's have do not provide access to this section of Commons
- Interim-RPPR link for the grant will appear in the Status tab in eRA Commons after the period of performance end date has passed.

How Can I Help the PI with the I/F-RPPR?

- PIs will need to go into eRA Commons and *Initiate* a I/F-RPPR for their respective grant.
- Cover Page:
 - Administrative Official should be the OSR Grant Officer
 - Signing Official would be Lynda S Wolter
- C. Products: C.1. Publications needs to be completed for any publication that occurred in the last year of the project. As with RPPRs, this section requires publications to be PMC-compliant. Note: This is not a cumulative report of all publications since the grant started.

How Can I Help the PI with the I/F-RPPR?

- D. Participants: The D.1 table indicating *What Individuals Have Worked on the Project* will need to be completed using the standard RPPR rules for this section. All personnel who worked on the project for 1 person month or more must be named and their effort during the last year represented as *rounded to the nearest whole month*. RAs can proactively provide this table to the PI, who will then have to do the data entry.
- I. Outcomes: Let your PI know that this new Outcomes section, Field I.1, must be completed. NIH states that this must be a “Concise summary of the outcomes or findings of the award, written for the general public in clear and comprehensible language, without including any proprietary, confidential information or trade secrets. Note: project outcome information will be made public in NIH RePORTER.”

How Can I Help the PI with the I/F-RPPR? (cont.)

- Once completed, the PI will need to route the I/F-RPPR to their respective OSR Grant Officer, just as one routes a RPPR. If there are questions during the Grant Officer's review, OSR will reach out to the RA and send along a pdf copy of the F-RPPR for review and/or confirmation of content.
- Once finalized, OSR's Grant Officer will submit the I/F-RPPR on behalf of the PI.

How Can I Tell When My PI's F-RPPR is Due?

- Final RPPRs are due no later than 120 days after the grant's end date. OSR Grant Officers will forward to the RA the NIH email reminder of pending closeout that is sent to the PI the day or so after the grant ends. But that's a full four months before the deadline!
- RAs should use that early email notice to put a reminder on the calendar to follow-up with the PI no later than 30 days before the absolute deadline. PIs will be counting on RAs to help them meet this deadline.

F-RPPR Look-Up in eRA Commons

You can proactively look up upcoming Closeout due dates yourself. Just go to the link below and enter our Chicago institutional profile number: 6144650. Then set the period for how far into the future you want to look and run the query. You'll get a return that includes all PIs who have upcoming grant closeouts on the NU Chicago campus in that timeframe, but you can then sort by PI name.

Search for NIH Grants Pending Closeout:

<https://public.era.nih.gov/chl/public/search/gpc.era>

Institutional Profile number: 6144650

I/F-RPPR Future

Until eRA Commons makes an administrative change that allows delegate access to the PI's I/F-RPPR, we'll all have to do our part to make sure we do not fall out of compliance. The consequences can be serious!

Tips for Common Subaward Request Problems

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Five Most Common Subaward Request Problems

1. Budget and/or Budget Justification
2. Budget Period and/or Project Period
3. Carryover
4. Premature Requests
5. Absent Corrections or Clarifying Responses

Budget and/or Budget Justification Tips

- The total costs (direct + indirect costs) in the subaward request for the specified budget period need to be *identical* to the total cost in the detailed budget included in your outgoing subaward request
- The budget justification, which is only needed for the first/originating subaward budget period, needs to seamlessly match the detailed budget
- The budget justification is a unique document and cannot be identical to the scope of work
- The budget justification provided is only for the subrecipient specified in the outgoing subaward request

Budget Period and/or Project Period Tips

- The requested budget period must be the currently active period
 - NOTE: Budget periods cannot consist of previous budget periods or anticipated outyears
- The project period must be currently active and it typically spans across multiple budget periods
 - NOTE: The project period is as long as the subrecipient works on the grant but no longer than the grant's project period end date
- The budget and project period start date in the request must always be identical
- NOTE: Awards to NU almost always indicate both the budget and project period dates

Carryover Tips

- If NU's award states that we need written carryover approval from the sponsor, the subaward requestor needs to work with their department's Grants Officer to acquire this approval and it needs to be uploaded into the subaward request
- If NU allows the subrecipient carryover of their *entire* unobligated balance, the subaward request needs to state this
- If NU allows the subrecipient carryover of their *entire* unobligated balance, we do not need a detailed budget for their carryover funds
- If NU allows the subrecipient carryover of a specific amount of their unobligated balance (but not the entirety of their unobligated balance), the subaward request needs to state this and specify the exact amount
- If NU allows the subrecipient carryover of a specific amount of their unobligated balance, a detailed budget for their carryover funds is needed
- The subaward request must clearly indicate which budget period the carryover funding is coming from and which budget period it is going to by including both budget periods' start and end dates

Premature Request Tips

- Check to make sure the following are in place to assure that your subaward request is ready to be submitted:
 - There is a notice of award for the budget period the subaward would need and it has been set up in InfoEd and NU Financials
 - Prior to a subaward amendment request, an original/new subaward agreement was fully executed - at some point in time - for that subrecipient
 - If requesting a subsequent subaward amendment, all preceding subaward requests have been fully executed
 - If requesting a subaward be issued under a no-cost extension, the no-cost extension budget period for the subaward has been recognized at NU in InfoEd and NU Financials
 - When mandated by the notice of award, NU has acquired prior sponsor approval to issue the subaward and it is included in the subaward request
 - NOTE: the notice of award will say if sponsor approval is necessary for NU to establish an outgoing subaward

Absent Corrections or Clarifying Responses Tips

- Pay careful attention and make sure you have fully and clearly addressed any items OSR has identified as problematic in the subaward request before routing back. If you have questions, contact us before routing.

SPOT and In-Person Course Update

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OSR Website Update

- As part of the Office of Research's efforts to align all of its units with the university's global branding standards, the [OSR website](#) has a new look! The same resources, content, and navigation that you've come to rely on (and bookmarked!) remain the same.
- The only changes are the look and feel. In the coming months, OSR will be implementing more graphically-oriented and dynamic features to the site as well as streamlining and updating content, so keep an eye out for some exciting changes.
- If you do notice any issues when using the site, see anything you really like (or don't), and/or have ideas or suggestions for future changes, please drop the OSR Info Team a note using the [Info Team Request Form](#) or by emailing osr-info@northwestern.edu.

New Content!

- SPOT course: ***Proposal Budgets 101*** (Available: Now!)
- Two In-Person courses
 - ***Reading and Evaluating a Sponsored Project Solicitation*** (LIVE: March 20th, 2017)
 - ***Proposal Budgets 101*** (LIVE: March 28th, 2017)



In-Person Course Logistics

- **How often?** Quarterly basis following the ORI Research Administration Training Seminar schedule
 - March 2017 (Chicago) – Tarry 1-730
 - May 2017 (Evanston) – *Location TBD*
 - July 2017 (Chicago) – Tarry 1-730
 - November 2017 (Evanston) – *Location TBD*
- **Where can I find out more information?** Course Attachments, Registration and Evaluations available in myHR/Learn
- **How can I prepare?** Courses serve as a complement to the SPOT courses
 - Please take the SPOT courses prior to attending the In-Person courses

In-Person Course Expectations

- **Course Length:** 90 minutes
- **Course Location:** Tarry 1-730 (Weinberg Computer Lab)
- **What will we do?** Hands-on Interactive activities using case studies developed by our content expert teams
- **How can I learn beyond the course?** Course Resources and Supporting Material available in myHR/Learn
- **Course Evaluation** upon completion



Mark your calendars...

- In-Person Course Go-Live Dates:
 - ***Reading and Evaluating a Sponsored Project Solicitations*** → Monday March 20^h, 9:30 – 11:00 AM
 - ***Proposal Budgets 101*** → Tuesday March 28th, 9:30 – 11:00 AM

**Note: These courses are meant for new folks in research administration community*

Courses are located in Tarry 1-730

Upcoming Content Launches

- Spring 2017:
 - SPOT: *Proposal Budgets 102*
 - SPOT: *How to Read an Award Document*
 - SPOT: *Setting Up an Award*
- Evanston In-Person Courses (*Location and details: TBD*)
 - *Reading and Evaluating a Sponsored Project Solicitation*
 - *Proposal Budgets 101*



myHR/Learn Support

- Sign up for the courses can be found on the OSR website or within myHR/Learn
- Please direct any myHR/Learn questions to Chris Rinere (OSR – Info Team)
- For additional technical support with myHR/Learn please reach out to consultant@northwestern.edu

Program Review Implementation

Lynda Wolter

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Streamlined Internal Routing in InfoEd

- Only the PI's primary academic department and the proposal's affiliated department (if different) will need to sign off on the project.
- Co-investigator departments will receive an InfoEd notification and must notify the OSR outside of the InfoEd if there are issues that need to be resolved with the proposal submission.
- Ready for Final Review - OSR no longer re-reviewing

Streamlined Award Processing

- Awards process will be on a first-in, first-out queue
- OSR will update InfoEd budget data with across the board budget cuts up to 20%
 - If further budget changes are needed, the PI/Department should submit an ESPR revised budget request
 - Special attention by the PI/department on subaward budgets will be required
- Streamlined approach will allow for continuous set up between InfoEd and NUFinancials
- Agreement screens will be set up for awards that require negotiations

Streamlined Proposal Review

Streamlined Proposal Review Pilot – begins March 20, 2017

The **Streamlined Review pilot** proposes a new set of review criteria for OSR review, endorsement, and submission of competing grant proposals. This pilot specifically excludes corporate/pharmaceutical funding and RPPR submissions. The goals of the pilot are to test the appropriateness of the new criteria and to identify training needs.

Streamlined Proposal Review

Units in the OSR-Chicago Pilot:

Biochemistry

Ctr for Genetic Medicine

CMB

DPM

Endocrinology

Infectious Diseases

Micro-Immunology

MSS

Neurology

Pathology

Pharmacology

Physiology

Psychiatry

Pulmonary

Questions

