



U.S. Department of Veterans Affairs
Office of Research and Development
(VA-ORD)

Research Performance Progress Report (RPPR) Instruction Guide for VA-ORD

**A guide for preparing and submitting VA-ORD Research
Performance Progress Reports (RPPR) via eRA Commons**

For use by VA intramural investigators for progress report submissions to:

Biomedical Laboratory Research & Development Service (BLR&D)

Clinical Science Research & Development Service (CSR&D)

Health Services Research & Development Service (HSR&D)

Quality Enhancement Research Initiative (QUERI)

Rehabilitation Research & Development Service (RR&D)

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Because the illustrations/figures (screen shots) throughout this document are those that will be viewed by investigators when completing their progress report, VA-ORD has maintained use of those figures presented by the National Institutes of Health (NIH) in its guidance. Thus, any references to PHS (Public Health Service) or NIH in such screen shots should be attributed to VA-ORD (Department of Veterans Affairs-Office of Research and Development). References found throughout the document that should also be attributed to VA-ORD, include:

IC = one of the four Research and Development (R&D) Services within VA-ORD (Biomedical Laboratory [BLR&D], Clinical Science [CSR&D], Health Services [HSR&D], and Rehabilitation [RR&D]). The Quality Enhancement Research Initiative (QUERI) is under the purview of HSR&D.

Grant = Award

Grantee organization or Grantee institution = Awardee's VA Medical Center

Submit to Agency = Submit to VA-ORD

In addition, other references to specific NIH documents reflected in the illustrations/figures, such as the NIH Public Access Policy, have been changed within the guidance to reference appropriate the VA-ORD documents and hyperlinks.

RPPR ACRONYMS

ACOS/R	Associate Chief of Staff/Research
AO	Administrative Official
CDA	Career Development Award (CDA-1/IK1, CDA-2/IK2)
COE	Center of Excellence (I50)
COIN	Center of Innovation (I50)
eRA Commons	Electronic Research Administration
eRA Commons ID	eRA User Identification for log-in to system
FOA/RFA	Funding Opportunity Announcement/Request for Application
IC	NIH term for Institutes and Centers; for VA-ORD the awarding research and development service (Biomedical Laboratory [BLR&D], Clinical Science [CSR&D], Health Services [HSR&D], Rehabilitation [RR&D])
iEdison	Interagency Edison, helps government grantees and contractors comply with a Federal law, the Bayh-Dole Act. Bayh-Dole regulations require that government funded inventions be reported to the Federal agency who made the award.
IDRs	Inclusion Data Records
IMS	Inclusion Management System
MB	Megabytes
MPI	Multiple Program Directors/Principal Investigators
My NCBI	My National Center for Biotechnology Information - retains user information and database preferences to provide customized services for many NCBI databases.
NIH	National Institutes of Health
NLM	National Library of Medicine
NRI	Nursing Research Initiative (IK3)
OMB	Office of Management and Budget
OSC	Other Significant Contributor
PDF	Portable Document Format
PD/PI	Program Director/Principal Investigator
PO	Program Official
PHS	Public Health Service
PRAM	Progress Report Additional Materials
PubMed	Comprises more than 24 million citations for biomedical literature from MEDLINE, life science journals, and online books. Citations may include links to full-text content from PubMed Central and publisher Web sites.

RPPR ACRONYMS (CONTINUED)

PubMed Central® (PMC) A free archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health's National Library of Medicine (NIH/NLM). [links](#)

RCS Research Career Scientist Award (IK6)
REAP Research Enhancement Award Program (I50)
RePORT NIH's Research Portfolio Online Reporting Tool
RPPR Research Performance Progress Report

SNAP Streamlined Noncompeting Award Process
SO Signing Official
SPM Scientific Portfolio Manager

URL Uniform Resource Locator (Internet Web site addresses)

VA-ORD Department of Veterans Affairs-Office of Research and Development
VHA Veterans Health Administration

WIP Work in Progress

DOCUMENT HISTORY

Date	System Version	Document Version	Description of Change	Author
2/11/2014		1.00	First draft of guidance document	Transition to RPPR Group
3/25/2014		1.01	Second draft of guidance document	Transition to RPPR Group
7/10/2014		1.02	Third draft of guidance document	Transition to RPPR Group
9/3/2014		1.03	Fourth draft of guidance document	Transition to RPPR Group
10/9/2014		1.04	Fifth draft of guidance document	Transition to RPPR Group
11/14/2014		2.0	Final draft of guidance document for review by CRADO	Transition to RPPR Group
1/8/2015-1/23/2015		2.0.1	Updates, addition of IMS guidance	RR&D, Transition to RPPR Group and other ORD Staff
2/20/2015		2.0.1	RR&D and HSR&D COE, REAP, COIN additions	RR&D/HSR&D
3/19/2015		2.0.2	Edits to IMS	RR&D
4/7/2015		2.0.3	Edits in response to NIH review of Guidance document; updates based on 9.3.0 NIH RPPR Instruction Guide including Recall for PRAM	RR&D
6/4/2015		2.0.4	Removal of RR&D and HSR&D COE, REAP and COIN guidance	RR&D
6/9/2015		3.0.0	Final Review for RPPR Pilot	RR&D

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1 Purpose

The purpose of this document is to provide those preparing the Research Performance Progress Report (RPPR) with an explanation of the RPPR module in the Electronic Research Administration (eRA) Commons and the information required in the report. This document also provides the steps for accessing and completing the report in eRA Commons, as well as navigating, validating, routing, and submitting the RPPR for review.

The Office of Management and Budget (OMB) has mandated that Federal agencies implement a Federal-wide RPPR for submission of required annual or other interim performance reporting on research grant and cooperative agreement awards to standardize recipient reporting on Federally-funded research projects.

In response to this mandate, progress reports for Department of Veterans Affairs (VA) Office of Research and Development (ORD) awards (in response to electronically submitted applications) must be submitted using the eRA Commons RPPR Module. Progress reports submitted in another format will not be processed by VA-ORD and will require resubmission in the eRA Commons RPPR format.

Each category in the RPPR is a separate reporting component. Within each component, VA-ORD through this document, may direct recipients to complete only specific questions, as not all questions within a given component may be relevant.

Progress reports are required to continue support of a VA-ORD award for each budget year within a competitive segment.

2 Background

The RPPR implements the uniform reporting format for interim research progress reporting developed under the auspices of the National Science and Technology Council, through the Committee on Science and the Research Business Models Subcommittee, and established by OMB for use by agencies that support research and research-related activities. Given the increasing complexity of interdisciplinary and interagency research, it is important for Federal agencies to manage awards in a similar fashion. The RPPR will be used by agencies that support research and research-related activities for use in the submission of interim progress reports. It is intended to replace most other interim performance reporting formats currently in use by agencies. The RPPR does not change the performance reporting requirements specified in 2 CFR part 215 (OMB Circular A-110) and the Common Rule implementing OMB Circular A-102.

3 RPPR Due Dates

Awardees can determine which progress reports are due through the website located at: http://era.nih.gov/commons/quick_queries/index.cfm#progress, and should periodically check the site, which is updated on/around the 30th of each month. Progress report due dates are also available in the eRA Commons Status system. In addition, automatic e-mail notifications are sent to the PD/PI (program director/principal investigator) prior to due date.

VA-ORD awards are considered SNAP (Streamlined Noncompeting Award Process), therefore, the progress report is due the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the 15th falls on a weekend or Federal holiday, the due date is automatically extended to the next business day.

4 Data Entry, PDF Attachments, and Style

4.1 Data or Text Box, and PDF Size Limits

Most text entry boxes have an 8,000 character limit (~3 pages); this limit is standardized across Federal agencies implementing the RPPR and entry of more than 8,000 characters is prevented by the system. In an effort to reduce awardee burden and encourage concise responses, VA-ORD has stated the recommended length of the response for some questions and, for VA-ORD-specific questions has limited the length of the response with text boxes with a limit of less than 8,000 characters.

Warning: Text exceeding 8,000 characters is cut to 8,000 when using the *cut and paste* feature.

PDF (portable document format) file uploads (attachments) do not have page limits, but may not be more than 6 megabytes (6MB). PDF attachments are utilized when there may be a need for an awardee to provide considerable detail. Even when developing PDF responses, awardees are encouraged to be concise and avoid unnecessary detail.

4.2 PDF Attachments

Awardees should generate text attachments using any word processing software and then convert those files to PDF before attaching the files to the appropriate section in the progress report. The PDF format is used to preserve document formatting. **All PDF attachments must be submitted as individual files.** Although some software packages allow bundling of multiple PDFs into a single file, eRA systems cannot support “Bundling” or “Portfolio” features at this time. Use of these features may result in delays in VA-ORD acceptance of the progress report. **Paginated PDF files are also discouraged since they can interfere with system pagination of the entire RPPR document upon submission to VA-ORD.** Filenames will be used and displayed in the assembled PDF submitted to VA-ORD.

Save all files with descriptive file names of 50 characters or less and be sure to only use standard characters in file names: A through Z, a through z, 0 through 9, and underscore (_). Do not use any special characters (example: &, -, *, %, /, and #) or spacing in the file name, and for word separation use an underscore (e.g., My_Attached_File.pdf).

Use an Arial, Helvetica, Palatino Linotype, or Georgia typeface, a black font color, and a font size of 11 points or larger. (A Symbol font may be used to insert Greek letters or special characters in PDF attachments; however, the font size requirement still applies.) Type density, including characters and spaces, must be no more than 15 characters per horizontal inch. Type may be no more than six lines per vertical inch.

Use standard paper size (8 ½" x 11"). Use at least one-half inch margins (top, bottom, left, and right) for all pages. No information should appear in the margins, including the principal investigator's (PI) name and page numbers.

4.3 Style

Use English and avoid jargon. Abbreviations and language that may not be known to the broader scientific community should be avoided unless clearly defined. **Internet Web site addresses (URLs) should not be used unless provided under C. Products, 2. Website(s) or other Internet Site(s).**

5 Navigation

The RPPR is completed using the eRA Commons system. The report in Commons consists of separate screens for each of the sections listed below:

- A. Cover Page
- B. Accomplishments
- C. Products
- D. Participants
- E. Impact
- F. Changes
- G. Special Reporting Requirements
- H. Budget - *Not Applicable for VA-ORD Award Progress Reports*

NOTE: Users may work on various sections in any order, however, it is important to click the Save button in the navigation bar before leaving a screen in order to retain data entered on that screen. Upon submission to VA-ORD, the system will generate a PDF of the progress report, which may be viewed from the *RPPR Menu* screen using the **View** button.

Once submitted, the final RPPR, in PDF format, is accessible in eRA Commons via the *Status Information* screen. Refer to the section titled [Viewing the Final RPPR in Commons](#) for detailed steps.

Note that a link to a site outside the RPPR (e.g., U.S. Select Agency Registry in F.3.d, ClinicalTrials.gov in G.4.c, or the NIH human embryonic stem cell Registry in G.6) opens a site in a new browser window. You must close that window to return to the RPPR. Do not close the browser or use the browser's back button.



Figure 1: RPPR Navigation Links from Cover Page

5.1 Initiate the RPPR

Only the program director/principal investigator (PD/PI) or the PD/PI delegate may initiate an RPPR. When there are multiple PD/Pis (MPI), only the Contact PI or the PD/PI delegate of the Contact PI may initiate the report. To initiate, the user can choose from one of two ways to access the RPPR functionality:

1. Access RPPR from **Status**:
 - a. Select the **Status** tab from the Commons menu options.
 - b. Select the **List of Applications/Grants (Awards)** link from the *Status* screen or from the menu options.

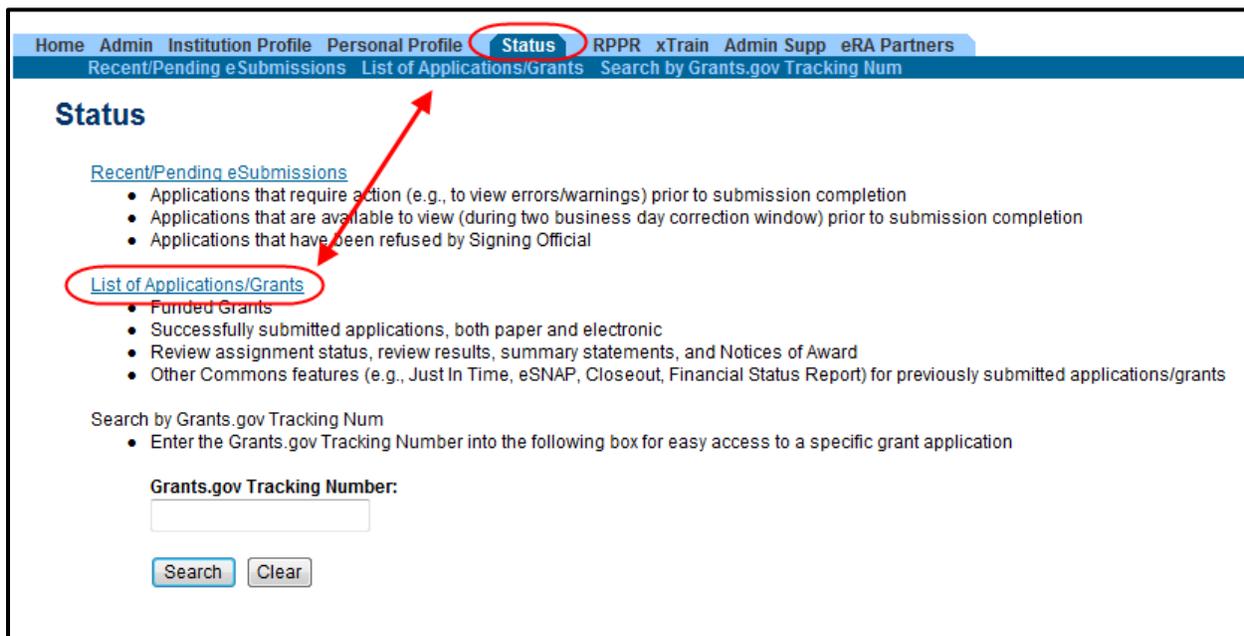


Figure 2: Status Screen and List of Applications/Grants (Awards) Links

- c. From the *Status Result – List of Applications/Grants (Awards)* screen, locate the application and select the **RPPR** link from the **Action** column for the specific award. The **RPPR** link for the current reporting period is available once the Notice of Intent to Award or Funding Letter for the prior year has been issued. This link remains available until the RPPR for the current reporting year has been submitted.

For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year. The link for a multi-year funded award is available two months prior to the RPPR due date for the current reporting period and remains available until the RPPR is submitted.

NOTE: While **RPPR Year <X>** links for multiple years may appear at the same time in *Status*, you are prevented from initiating a reporting year's progress report until the progress report(s) of the previous year(s) has been submitted.

Status Result - List of Applications/Grants ?

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
5K23HD123456-02		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	08/17/2011	
1K23HD123456-01A1	GRANT12345678P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	07/13/2010	Transmittal Sheet
1K23HD123456-01	GRANT87654321P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Withdrawn by IC - Other Version Encumbered	07/13/2010	Transmittal Sheet
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS		Pending	08/17/2011	RPPR

Export to Excel Show Query Print Hitlist

Figure 3: RPPR Link on Status Result – List of Applications/Grants (Awards)

Status Result - List of Applications/Grants ?

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click [List of Applications/Grants](#) menu tab again.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
1R03CA123456-01	GRANT12300001P	All's Well That Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM	Submission Complete	Administratively Withdrawn by IC	11/08/2011	Transmittal Sheet
1R15CA234567-01A1 (MPI)	GRANT11111111P	A Midsummer Night's Dream and Other Known Sleeping Disorders	SHAKESPEARE, WILLIAM	Submission Complete	Awarded. Non-fellowships only	02/24/2011	RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements
1R15CA654321-01	GRANT12345678P	The Two Noble Kinsmen: A Study on Genetics and DNA	SHAKESPEARE, WILLIAM	Submission Complete	Pending IRG Review	07/17/2013	Transmittal Sheet

Export to Excel Show Query Print Hitlist

Figure 4: Multi-Year Award RPPR Link

–OR–

1. Access RPPR from **RPPR** tab:
 - a. Select the **RPPR** tab from the Commons menu options.

The *Manage RPPR* screen displays. *Manage RPPR* is used to view the progress reports to which the user has access and allows the user to select a progress report in order to perform various actions. PD/PIs or users delegated PD/PI updating authority uses the *Manage RPPR* screen to view their own progress reports. Signing officials (SOs) and Administrative Officials (AOs) use the screen to search for awards from their institutions and/or for awards routed to them for review. For additional information on SO authority to delegate, see current RPPR FAQs:

<http://grants.nih.gov/grants/rppr/faqs.htm#3551>

- b. Select the specific award by clicking the hyperlink in the **Grant Number** column on the *Manage RPPR* screen.

Manage RPPR ?

Select Grant Number link to manage the RPPR:

Grant Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
1K2RX123456-01	Jefferson, Thomas	A New Model for the Delivery of Well-Child Care	05/15/2012	Not Started	

Figure 5: Manage RPPR List of Grant (Award) Applications

If an RPPR exists already, eRA Commons displays the report for editing.

The *RPPR Menu* screen displays. The options for the uninitiated report are **Initiate** and **Cancel**. Once an RPPR is in progress, the buttons for other options are enabled. These options are discussed later, following the steps for initiation.

NOTE: For multi-year funded awards, the following message displays when attempting to initiate an RPPR if the previous year’s report has not been submitted:

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

In this case, the option to initiate is disabled.

RPPR Menu ?

The Multi-Year RPPR for the previous year must be submitted prior to initiating this Multi-Year RPPR.

Application Information	
Grant Number:	1R15CA234567-01A1
Institution:	COLLEGE AT STRATFORD-UPON-AVON
PD/PI Name:	SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher
Project Title:	A Midsummer Night's Dream and Other Known Sleeping Disorders
Due Date:	02/01/2013
Current Reviewer:	
Status:	Not Started

Figure 6: Multi-Year RPPR Error Message

The *RPPR Menu* screen includes the following fields:

Grant Number

This is the complete number of the award (e.g., 1 IK2 RX123456-01).

Grantee Institution

This field contains the name of the applicant’s institution (awardee’s VA Medical Center).

PD/PI Name

The PD/PI of the award for which the progress report is being prepared. In the case of MPIs, a list of PD/PI names displays with the contact PD/PI indicated by the word *Contact*.

Project Title

The project title of the award.

Due Date

The electronic due date. The due date for awards issued for VA-ORD is the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the due date falls on a weekend or Federal holiday, the due date is automatically extended to the next business day.

Current Reviewer

The name of the current reviewer or organization (e.g., PD/PI name, VA Medical Center). This value is blank before the RPPR is initiated.

Status

The current state of the progress report. Possible values are as follows: *Not Started*, *PD/PI Work in Progress*, *Reviewer Work in Progress*, and *Submitted to Agency*. The status 'Work in Progress' (WIP) means that the progress report has been initiated but not finalized.

Buttons

The displayed and enabled buttons vary depending on the status of the RPPR and/or the limitations of the current user's role. The possible available actions include the following:

- **Initiate:** Begins the RPPR process. Available for awards with a status of *Not Started*. Access is granted to PD/PIs and PD/PI delegates. An RPPR can be initiated even if required information in the *Personal Profile* and *Institution Profile* sections is missing. If any of this information is incorrect or missing, a prompt will appear to correct/complete the information after initiating the report. Processing may continue on the RPPR without making the corrections; however, the RPPR will not pass validations for submission to VA-ORD until the errors are corrected.
- **Edit:** Opens the RPPR for edits. Available for progress reports with a status of *Work in Progress (WIP)*. Access is granted to PD/PIs or PD/PI delegates when the PD/PI is the current reviewer, AOs (administrative officials) when the AO is the current reviewer, and SOs (Signing Officials) when the SO is the current reviewer. The **Edit** button allows the user to view and edit RPPR information.
- **View:** Opens the RPPR report in PDF format, as it will be seen by VA-ORD. Available for progress reports with a status of *Work in Progress (WIP)* or *Submitted to Agency*. Access is granted to PD/PIs, PD/PI delegates, and reviewers. Until the RPPR is submitted to VA-ORD, the PDF report shows a status of *Draft* and a blank submission date.
- **Check for Errors:** Checks the RPPR for any errors or warnings. Available for progress reports with a status of *Work in Progress (WIP)*. Access is granted to any user with access to the award. The RPPR can be validated at any time while in the status of *WIP* and can be validated multiple times.

- **View Routing History:** Opens a page that displays a routing history table. Available for progress reports with a status of *Work in Progress (WIP)* or *Submitted to Agency (to VA-ORD)*. Access is granted to PD/PIs, PD/PI delegates, and reviewers.
- **Route:** Routes the RPPR to the next reviewer for further review or corrections. Available for progress reports with a status of *Work in Progress (WIP)*. Access is granted to the current reviewer. A PD/PI delegate cannot route an RPPR to the next reviewer.
- **Recall:** Recalls RPPRs that have been forwarded to another reviewer and resets the user as the current reviewer. Available for reports with a status of *Work in Progress (WIP)*. Access is granted to the last reviewer (who recalls the report from the current reviewer). Signing Officials (SOs) and PD/PIs can recall an RPPR even if they are not the last reviewer whenever it has a status of *Reviewer Work in Progress*. This is useful in situations when a RPPR has been routed to the wrong person or to someone who is unavailable.
- **Submit:** Submits the RPPR to VA-ORD. Available for reports with a status of *Work in Progress (WIP)*. Access is granted to the Signing Official (SO) when the SO is the current reviewer and to the PD/PI when the PD/PI has been delegated *Progress Report* authority.
- **Cancel:** Closes the *RPPR Menu* screen and returns the user to the previous screen.

2. Select the **Initiate** button to begin the RPPR.

The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a help icon. Below that is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	
Status:	Not Started

At the bottom of the screen, there is a row of buttons: 'Initiate', 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Initiate' button is circled in red.

Figure 7: RPPR Menu for Initiating the Report

Once initiated, Commons creates the report in a *PD/PI Work in Progress* status and sets the current reviewer. A message displays as follows:

The RPPR has been successfully initiated.

NOTE: If at any time initiation fails due to business rules validations, error or warning messages display on the screen.

Once initiated, the editing process can begin. The RPPR is accessed for editing via the RPPR Menu screen. The editing feature for single-project RPPRs is different from those of multi-project RPPRs. The steps for accessing each type of RPPR are outlined in the sections that follow.

5.2 Edit the RPPR

Once an RPPR is initiated, its status becomes *PD/PI Work in Progress* and it becomes available for editing. The PD/PI or delegate uses the **Edit** option for viewing and completing the report. Additionally, this option is available to the SO (Signing Official) or AO (Administrative Official) when that user is the current reviewer of the report.

NOTE: For RPPRs with multiple PD/PIs (MPI awards), only the Contact PD/PI has access to the **Edit** feature unless the Contact PD/PI has granted progress report authority to other PD/PIs. Without this authority, MPIs can only view the RPPR PDF and its routing history.

There are two means of accessing the progress report for editing. These are similar methods used for initiating the report and are as follows:

1. Access RPPR from **Status**:
 - a. Select the **Status** tab from the Commons menu options.
 - b. Select the **List of Applications/Grants (Awards)** link from the *Status* screen.

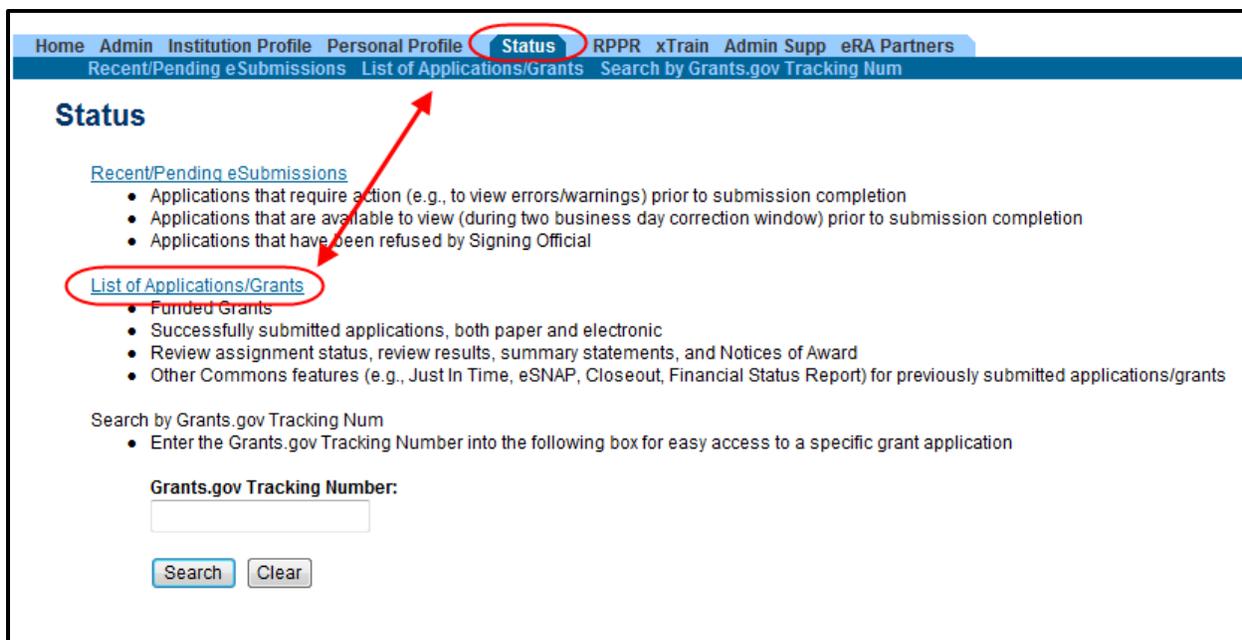


Figure 8: Status Screen and List of Applications/Grants (Awards) Links

- c. From the *Status Result – List of Applications/Grants (Awards)* screen, locate the award and select the **RPPR** link from the **Action** column for the specific award. For multi-year funded awards, the link will display as **RPPR Year <X>**, the <X> representing the reporting year.

Status Result - List of Applications/Grants

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
5K23HD123456-02		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	08/17/2011	
1K23HD123456-01A1	GRANT12345678P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Awarded. Non-fellowships only	07/13/2010	Transmittal Sheet
1K23HD123456-01	GRANT87654321P	A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS	Submission Complete	Withdrawn by IC - Other Version Encumbered	07/13/2010	Transmittal Sheet
5K23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON, THOMAS		Pending	08/17/2011	RPPR

Export to Excel Show Query Print Hitlist

Figure 9: RPPR Link on Status Result – List of Applications/Grants (Awards)

Status Result - List of Applications/Grants

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
1R03CA123456-01	GRANT12300001P	All's Well That Ends Well with Advancements in Medicine	SHAKESPEARE, WILLIAM	Submission Complete	Administratively Withdrawn by IC	11/08/2011	Transmittal Sheet
1R15CA234567-01A1 (MPI)	GRANT111111111P	A Midsummer Night's Dream and Other Known Sleeping Disorders	SHAKESPEARE, WILLIAM	Submission Complete	Awarded. Non-fellowships only	02/24/2011	RPPR Year 2 RPPR Year 3 Transmittal Sheet Admin Supplements
1R15CA654321-01	GRANT12345678P	The Two Noble Kinsmen: A Study on Genetics and DNA	SHAKESPEARE, WILLIAM	Submission Complete	Pending IRG Review	07/17/2013	Transmittal Sheet

Export to Excel Show Query Print Hitlist

Figure 10: Multi-Year Funded Award RPPR Link

–OR–

1. Access RPPR from **RPPR** tab:
 - a. Select the **RPPR** tab from the Commons menu options.
 - b. Select the specific award by clicking the hyperlink in the **Grant Number** column on the *Manage RPPR* screen. SOs/AOs must perform a query first.

Manage RPPR

Select Grant Number link to manage the RPPR:

Grant Number	PD/PI Name	Project Title	Due Date	Status	Current Reviewer
5K23HD123456-03	Jefferson, Thomas	A New Model for the Delivery of Well-Child Care	05/15/2012	PD/PI Work in Progress	Jefferson, Thomas

Figure 11: Manage RPPR List of Grant (Award) Applications

The *RPPR Menu* screen – either for single project or multi-project RPPRs – displays with editing options.

5.2.1 Accessing a Single-Project RPPR for Editing

For single project awards, the *RPPR Menu* screen displays with buttons for the following available options:

Edit

Check for Errors

View

View Routing History

Route

Cancel

NOTE: Once an RPPR has been routed for review, the **Recall** and **Submit** buttons are enabled. These functions are covered in subsequent chapters.

The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a dropdown arrow. Below this is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	
Status:	Not Started

Below the application information is a row of buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, and Cancel. The 'Edit' button is highlighted with a red circle.

Figure 12: RPPR Menu Buttons

Select the **Edit** button to open the RPPR for editing.

Refer to the section of this document titled [Editing the RPPR Forms](#) for more information on editing the forms.

5.2.2 Accessing a Multi-Project and Single Project with Complicated Structure RPPR for Editing



Not applicable for VA-ORD awards. VA-ORD does not currently support multi-project or single project with complicated structure awards. Proceed to 5.2.3. Editing the RPPR Forms.

5.2.3 Editing the RPPR Forms

After selecting the appropriate editing option, the RPPR Section A. *Cover Page* displays. The *Cover Page* includes information about the award, PD/PI, Signing and Administrative Officials, organization, and project/reporting/budget periods. For more information on the *Cover Page*, refer to the section of this document titled [Section A – Cover Page](#) located in the [Instructions for RPPR Sections A–H](#).

1. Update the information as necessary and select the **Save** button.

The *Cover Page* includes tabs at the top and links at the bottom of the page for navigating to the other sections (e.g., **Accomplishments**, **Participants**), which may be completed in any order. Before navigating to and from any of these sections, it is always necessary to select the **Save** button to save all changes on the current page. Navigating away from any page on the RPPR without selecting **Save** results in the loss of any information entered prior to the last save.

The screenshot displays the RPPR Cover Page interface. At the top, there is a navigation bar with tabs: Home, Admin, Institution Profile, Personal Profile, Status, RPPR, Internet Assisted Review, xTrain, Admin Supp, and eRA Partners. Below this is a secondary navigation bar with tabs: Grant List, Manage RPPR, A Cover Page, B Accomplishments, C Products, D Participants, E Impact, F Changes, G Special Reporting Req, and H Budget. The main content area is titled 'A. Cover Page' and contains several sections: Grant Information, A.1 Program Director/Principal Investigator (PD/PI) Information, A.2 Signing Official Information, A.3 Administrative Official Information, and A.4 Recipient Organization Information. Each section contains various input fields for names, emails, phone numbers, dates, and organizational details. At the bottom of the form, there are 'Save' and 'Cancel' buttons, and a row of navigation links: A Cover Page, B Accomplishments, C Products, D Participants, E Impact, F Changes, G Special Reporting Req, and H Budget.

Figure 13: RPPR Cover Page and Section Navigation Links

2. Sections can be completed in any order. To navigate and populate the other sections of the RPPR, select the appropriate link from the top or bottom of the page.

The same navigational links appear on each section of the RPPR. For information on the specific fields in each component refer to Chapter 6 [Instructions for RPPR Sections A–H](#).

3. Complete the appropriate fields of the report.

Details for completing each section are discussed later in this document. Many of the fields on these pages, however, behave in a similar manner and are discussed below.

Add/New

To use the Add/New feature, enter or select data into the appropriate fields. Select the Add/New button to add the data to a table.

or provide the following for each foreign country: Dollar Amount Country

Amount of Award Spent in Foreign Countries		
Dollar Amount	Country	Action
5000	AUSTRALIA	Edit Delete

Figure 14: Add/New Feature

Items can be edited or deleted from the table using the **Action** links.

Text Box

All text boxes on the RPPR have character limits. The number of characters available is reflected beneath each text box as characters are entered.

List the major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

The major goal of this project is...

Total remaining allowed limit is 7964 characters.

Figure 15: Total Remaining Characters

Changing Saved Responses

While in WIP (Work in Progress) status, answers may be changed. A warning message displays as follows:

The entered/uploaded response will be deleted. Do you wish to continue?

The user editing the information can choose to **Continue** or **Cancel** the action. Choosing **Continue** deletes the previous response, removes any attachments, and disables the relevant fields associated with the question. Choosing **Cancel** cancels the change.

4. Select the **Save** button before navigating to the next page.

5. To return to the *RPPR Menu*, select the Cancel button.

When an RPPR is ready for review and submission, it is routed to the next reviewer. Refer to the section of this document titled [Route the RPPR](#) for steps on routing to the next reviewer.

5.2.4 Editing Inclusion Enrollment Data

The following chapter discusses inclusion data in the Inclusion Management System (IMS) as accessed and processed via your RPPR. For more information on IMS, please refer to the [IMS Online Help](#) or the [Instructions for Accessing the Inclusion Management System \(IMS\) via Commons Status](#).

To update inclusion enrollment data, select the **Inclusion** link from question **G.4.b** of section **G. Special Reporting Requirements**. For additional information on inclusion procedures in the RPPR, please review [Chapter 6.7 Section G—Special Reporting Requirements](#).

IMPORTANT: Before selecting the **Inclusion** link, select the **Save** button on the RPPR to save all of your work in **Section G**. Failure to do so will result in a loss of data on your report.

NOTE: If this link is selected more than 60 days before the progress report due date, the following warning is displayed:

Based on the due date of this RPPR, inclusion data is not yet needed. If you proceed, access to the inclusion data via Commons/Status will be blocked. You cannot undo this action. Are you sure you want to proceed?

Selecting **Cancel** will abort the action and IMS will not be opened. Continuing will result in inclusion data being blocked for editing when accessed via Commons Status (**View** action only). In this event, you will see the following message when accessing via Status: *RPPR has been initiated. At this time, the data is editable accessing via RPPR only.*

The ability to edit Inclusion Data Records (IDRs) via the Commons Status module will be restored after the successful submission of the RPPR and until the award of the current year.

G.4 Human Subjects

G.4.a Does the project involve human subjects? Yes No

Is the research exempt from Federal regulations? Yes No
 If yes, check appropriate exemption number(s). E1 E2 E3 E4 E5 E6

Does this project involve a clinical trial? Yes No
 If yes, is this an NIH-defined Phase III Clinical Trial? Yes No

G.4.b Inclusion Enrollment Data

Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race. [Click here](#) for complete instructions about this requirement.

Inclusion Enrollment Report

Please click on the link below to view and update inclusion data records associated with this award.

[Inclusion](#) ←

G.4.c ClinicalTrials.gov

Figure 16: Inclusion Link in Question G.4.b

The *Inclusion–Manage Inclusion Data Records (IDRs)* screen displays showing the Inclusion Data Records (IDRs) with a status of *Required Updates*. Once cumulative form updates have been made as required, the status of the IDR(s) becomes *Inclusion Updated*. However, this only occurs when cumulative data is updated. It is possible to see multiple IDRs in difference statuses.

Inclusion- Manage Inclusion Data Records (IDRs)

Grant #: 5R01CA123456-03
 PI Name: Shakespeare, William

[Return to RPPR](#) [Submit New Planned Inclusion Record](#)

Prospective Studies:

IDR #	IDR Status	Study Title	Last Updated Date	Action
161587	Requires Updates	This is a Sample Study Title	06/10/2014 12:13 AM	View Edit Planned Enrollment Edit Cumulative Enrollment

Figure 17: Manage IDRs for Single Project

Inclusion- Manage Inclusion Data Records (IDRs) ?

Grant #: 1R01CA654321-01
 PI Name: Shakespeare, William

[Return to Progress Report](#)

Prospective Studies:

IDR # ?	IDR Status ?	Study Title	Last Updated Date	Action ?
FY: 2015 Submit New Planned Inclusion Record ?				
1010414	Previous FY Data	The Sample Study Title of This IDR	09/12/2015 01:17 PM	View Edit Planned Enrollment Edit Cumulative Enrollment
1010477	Previous FY Data	Another Study Title to Another Sample IDR	09/12/2015 01:17 PM	View Edit Planned Enrollment Edit Cumulative Enrollment
1026222	Received by Agency	Here is an Example of a Study Title Too Long to Disp... More	09/23/2015 02:57 PM	View Edit Planned Enrollment Edit Cumulative Enrollment
FY: 2014				
1010414	Accepted (Original Submission)	The Sample Study Title of This IDR	09/12/2014 01:11 PM	View
1010477	Accepted (Original Submission)	Another Study Title to Another Sample IDR	09/12/2014 01:11 PM	View

Figure 18: Manage IDRs for Multi-Year Project

For multi-year funded awards, only inclusion counts for the **current IDR fiscal year** can be reported. Once a RPPR is considered late, you will not be able to update and submit inclusion data through the IMS. IMS will indicate this with a message as follows: *Because this RPPR is late, the Inclusion Management System is unable to accept the data.*

RPPR for current sequential year of a multi-year award will be considered late after corresponding anniversary of the budget/project period start date. For example, the RPPR for sequential year 1 is late after 1st anniversary of the budget/project period start date.

Select the **Edit Cumulative Enrollment** link in the **Action** column to access the *Edit Cumulative Inclusion Data* screen and perform the required updates.

The *Edit Cumulative Inclusion Data* screen contains the following information:

Header Fields

- **Grant Number**
- **PI Name**
The name of the contact PI on the application record.
- **Inclusion Data Record (IDR) Number**
Displays the system-generated identification number of the inclusion data record.
- **IDR Status**
Shows the status of the record.
- **Study Title**
The study title of the IDR, pre-populated with the existing title and editable.

Cumulative Inclusion Enrollment Report Fields

- **Study Title**
Displays the study title for the IDR, pre-populated from the Planned Enrollment Form.
- **Comments**
An optional text field for entering cumulative enrollment comments. If any comments for a cumulative form were entered before, this field is pre-populated when editing an existing IDR.

The cumulative enrollment form includes racial categories along the left side the of the table and ethnic categories, divided by sex/gender, along the top of the table. The individual enrollment count cells are editable and set to zero by default, when populating a new IDR. When editing an existing form, these values are pre-populated with any other value previously entered. The total fields are calculated by IMS and sum up as rows and columns accordingly. The total values are not editable fields.

NOTE: The cumulative inclusion form includes fields for entering Unknown/Not Reported race, ethnicity, and sex/gender data.

Update the values in the individual enrollment count cells as necessary, and select the **Save** button. To leave the form without saving any changes, select the **Cancel** button instead. Saving and canceling both return you to the *Manage Inclusion Data Records* screen.

Edit Cumulative Inclusion Data [?](#)

Grant #: 1P20NR123456-01A1
 PI Name: SHAKESPEARE, WILLIAM
 Inclusion Data Record (IDR) #: [?](#) 1026033
 IDR Status: [?](#) Grantee Updates in Progress
 Study Title: Sample Study Title for this Sample IDR

Cumulative Inclusion Enrollment Report *Required field(s)

*Study Title: [?](#)

Comments:

Racial Categories	Ethnic Categories									Total
	Not Hispanic or Latino			Hispanic or Latino			Unknown/Not Reported Ethnicity			
	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	Female	Male	Unknown/Not Reported	
American Indian/ Alaska Native	<input type="text" value="33"/>	<input type="text" value="60"/>	<input type="text" value="0"/>	<input type="text" value="25"/>	<input type="text" value="5"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="1"/>	<input type="text" value="0"/>	126
Asian	<input type="text" value="21"/>	<input type="text" value="20"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	43
Native Hawaiian or Other Pacific Islander	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Black or African American	<input type="text" value="12"/>	<input type="text" value="15"/>	<input type="text" value="1"/>	<input type="text" value="2"/>	<input type="text" value="1"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	31
White	<input type="text" value="27"/>	<input type="text" value="40"/>	<input type="text" value="2"/>	<input type="text" value="5"/>	<input type="text" value="10"/>	<input type="text" value="0"/>	<input type="text" value="1"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	87
More Than One Race	<input type="text" value="3"/>	<input type="text" value="4"/>	<input type="text" value="0"/>	<input type="text" value="10"/>	<input type="text" value="10"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	27
Unknown or Not Reported	<input type="text" value="1"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	3
Total	97	139	3	42	28	2	3	3	0	317

Figure 19: Entering Cumulative Inclusion Data

IMS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

- If you enter and save 0s on the form when enrollment data previously was migrated from the previous NIH inclusion data system, you will receive a warning message before the data can be saved.

Warning: You are about to submit zeroes for your cumulative inclusion enrollment data when data in the previous OMB-approved format exists. Would you like to proceed?

Select **Proceed** to continue or **Cancel** to abort the action.

- Planned enrollment count overall total must be greater than 0 before cumulative enrollment data can be entered. If planned enrollment counts equal 0, you will receive the following error:

Planned Enrollment count must exist before entering Cumulative Enrollment Data

- If an overall total value is less than the prior year total, you will receive a warning message before data can be saved:

Warning: Some (or all) enrollment counts are less than previous Fiscal Year (FY). Do you want to continue?

After updating the cumulative enrollment data, the status of the IDR(s) will change to *Inclusion Updated* and the links for editing the information remain available. This status only occurs when cumulative data is updated. Updating the planned data does not meet the requirement of the progress report. When only planned data is updated, the IDR status remains at *Requires Updates*.

5.2.4.1 Changes to Planned Enrollment

If there are changes from the planned enrollment originally approved for funding, contact the scientific program officer from the appropriate R&D Service within VA-ORD to discuss updating/revising the planned enrollment. See [Chapter 6.7 Section G–Special Reporting Requirements](#) of this guide for more information.

Select the **Edit Planned Enrollment** link in the **Action** column of the *Inclusion–Manage Inclusion Data Records (IDRs)* screen to access the *Edit Planned Inclusion Data* screen.

The *Edit Planned Inclusion Data* screen contains the following information:

Header Fields

- **Grant Number**
- **PI Name**
The name of the contact PI on the application record.
- **Inclusion Data Record (IDR) Number**
Displays the system-generated identification number of the inclusion data record.
This field is displayed only when editing existing IDR.
- **IDR Status**
Shows the status of the record.
This field is displayed only when editing existing IDR.
- **Study Title**
The study title of the IDR, pre-populated with the existing title and editable when editing an IDR.
This field is displayed only when editing existing IDR.

Edit Planned Inclusion Data ?

Grant #: 1P20NR123456-01A1
 PI Name: SHAKESPEARE, WILLIAM
 Inclusion Data Record (IDR) #: 1026033
 IDR Status: Grantee Updates in Progress
 Study Title: Sample Study Title for this Sample IDR

Planned Enrollment Report *Required field(s)

*Study Title:

*Foreign/Domestic:

Comments:

Racial Categories	Ethnic Categories				Total
	Not Hispanic or Latino		Hispanic or Latino		
	Female	Male	Female	Male	
American Indian/ Alaska Native	<input type="text" value="35"/>	<input type="text" value="58"/>	<input type="text" value="25"/>	<input type="text" value="5"/>	123
Asian	<input type="text" value="20"/>	<input type="text" value="20"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	40
Native Hawaiian or Other Pacific Islander	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	0
Black or African American	<input type="text" value="10"/>	<input type="text" value="18"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	28
White	<input type="text" value="30"/>	<input type="text" value="38"/>	<input type="text" value="4"/>	<input type="text" value="6"/>	78
More Than One Race	<input type="text" value="2"/>	<input type="text" value="4"/>	<input type="text" value="10"/>	<input type="text" value="10"/>	26
Total	97	138	39	21	295

Figure 20: Edit Planned Inclusion Data–Grantee (Awardee) Updates in Progress

Planned Inclusion Enrollment Report Fields

- **Study Title**

The study title of the IDR, pre-populated with the existing title and editable when editing an IDR.

For a new IDR, this field displays blank. Enter the new IDR's study title into the field. This is required.

- **Foreign/Domestic**

This field indicates whether the IDR involves participants from a non-U.S. site (i.e., foreign) or a U.S. site (i.e., domestic). This field is pre-populated when editing an existing IDR.

When creating a new IDR, select the value from the drop-down list. This is a required field.

- **Comments**

An optional text field for entering comments. This field is pre-populated when editing an existing IDR and blank when creating a new IDR. If editing existing Planned Enrollment, you should first discuss with the Scientific Program Manager from the appropriate R&D Service within VA-ORD and may want to consider adding a comment here to explain the change.

The planned enrollment form includes racial categories along the left side the of the table and ethnic categories, divided by sex/gender, along the top of the table. The individual enrollment count cells are editable and set to zero by default, when populating a new IDR. When editing an existing form, these values are pre-populated with any other value previously entered. The total fields are calculated by IMS and sum up as rows and columns accordingly. The total values are not editable fields.

Update the values in the individual enrollment count cells as necessary, and select the **Save** button. To leave the form without saving any changes, select the **Cancel** button instead. Saving and cancelling both return you to the *Manage Inclusion Data Records* screen.

IMS will perform validations to make sure the data can be saved. Warnings or errors may appear on the screen preventing you from saving your information.

- If you enter and save 0s on the form when enrollment data previously was migrated from the previous NIH inclusion data system, you will receive a warning message before the data can be saved:

Warning: You are about to submit zeroes for your planned enrollment when data in the previous OMB-approved format exists. Would you like to proceed?

Select **Proceed** to continue or **Cancel** to abort the action.

5.2.4.2 No Inclusion Data Records Provided

When inclusion monitoring is required and no IDRs exist, the RPPR system will NOT allow the submission of the progress report without IDR(s). For the current FY it will display an error message and require that you either submit a new enrollment record or provide an explanatory comment for the missing IDRs.

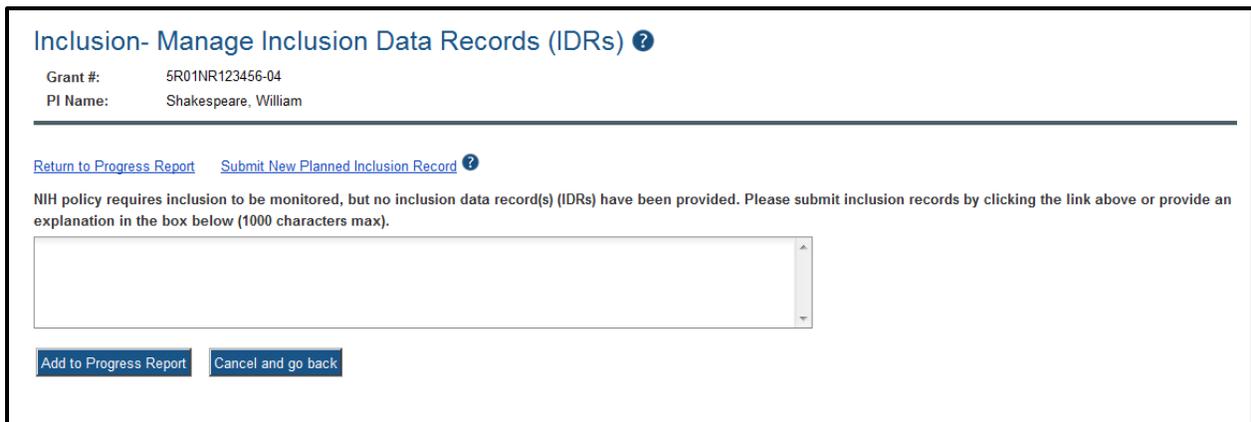


Figure 21: No Inclusion Data Records–Single Project

This is true for the current FY of a multi-year award as well. For the past FYs (when the progress report is late), a standard message is displayed in lieu of the error message as follows:

NIH policy requires inclusion to be monitored, but no inclusion data record(s) (IDRs) have been provided.

This standard message will appear on both the screen and the PDF version of the progress report.

Figure 22: No Inclusion Data Records – Multi-Year Funded Award

To provide an explanation, enter your comments into the provided text box and select the **Add to Progress Report** button. For multi-year funded awards, the ability to provide an explanation is available only for the current year.

NOTE: Selecting any of the links or buttons other than **Add to Progress Report** will cancel the action of adding and saving your comments. Any entered comments will be lost unless you select the **Add to Progress Report** button.

The entered explanation is viewable on the RPPR PDF and on the *Inclusion–Manage Inclusion Data Records (IDRs)* screen when accessed via Commons Status. For information on access through Commons Status, refer to the [IMS Online Help](#) or the [Instructions for Accessing the Inclusion Management System \(IMS\) via Commons Status](#).

NOTE: Submitting a new IDR after the submission of this explanation, but before submission of the RPPR to VA-ORD, removes the explanation comment from the progress report. See the section below for information on submitting a new planned inclusion record.

5.2.4.3 Submit New Planned Inclusion Record

Select the **Submit New Planned Inclusion Record** link to access the *Edit Planned Inclusion Data* screen and submit planned enrollment and create a new IDR. For multi-year funded awards, this link is available only for the current fiscal year.

Upon a successful save of a new IDR, attributes (Study Title, Foreign/domestic indicator/planned comments), Planned Inclusion Data (as entered), and Cumulative Inclusion Data (as zeroes) are also created; the new IDR is assigned a unique IDR #; and the IDR status is set to *Grantee (Awardee) Updates in Progress* (when accessing through Status in Commons).

5.2.4.4 Inclusion Data Record Statuses

Throughout the process from creation to submission to VA-ORD, an inclusion data record will take on various statuses depending on the action completed against it. These different statuses

aid in determining the current point in the work flow, pending needs and requirements, and past actions taken. An IDR's status also determines what action(s) can be performed against it. IDRs requiring updates can be edited, while IDRs accepted by the Agency (VA-ORD) can only be viewed.

The following list gives an explanation of each status.

Accepted (PI Revisions): Awardee has modified the IDR after original submission, but before release of the award.

Accepted (Original Submission): The IDR has been accepted at award issuance based on what was originally submitted. (Data migrated from the previous data system may also have this status when awarded.)

Grantee (Awardee) Updates in Progress: Awardee user has created the IDR; Awardee user has initiated updates on an IDR (Edit Planned or Edit Cumulative); and/or SO has routed an IDR back to the PI.

Inclusion Updated: Awardee has updated cumulative (actual) enrollment counts via the RPPR module in Commons.

Previous FY Data: Data from previous FY has been rolled forward into the next project record.

Pending SO: IDR has been routed to the SO.

Received by Agency (VA-ORD): IDR Form (Planned or Cumulative) has been received as part of the electronic application submission (i.e., Grants.gov/eSub or ASSIST); Awardee user (SO) has routed the IDR via IMS in the Commons Status module to the Agency (VA-ORD); Agency (VA-ORD) user has created a new IDR in IMS.

Received by Agency (VA-ORD) – RPPR: Awardee user submitted IDR to Agency (VA-ORD) as part of the RPPR.

Requires Updates: Awardee user accessed the inclusion data via the RPPR module in Commons; Awardee user has created a new Planned Inclusion Form via the RPPR module in Commons.

5.2.5 Editing the RPPR Budget Forms



Not Applicable for VA-ORD awards. Proceed to 5.3 Check RPPR for Errors and Warnings.

5.3 Check RPPR for Errors and Warnings

At any time before an RPPR is submitted to VA-ORD, an error check can be performed to verify that the report passes the business rules and system validations in place. Any user who has access to the RPPR may perform the error check.

5.3.1 Checking for Errors on Single Project RPPRs

To perform an error check on the RPPR for single project RPPRs, select the **Check for Errors** button from the *RPPR Menu* screen.

The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a help icon. Below that is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	
Status:	Not Started

At the bottom of the application information section, there is a row of buttons: 'Edit', 'Check for Errors', 'View', 'View Routing History', 'Route', 'Recall', 'Submit', and 'Cancel'. The 'Check for Errors' button is highlighted with a red circle.

Figure 23: Check for Errors Button on RPPR Menu for a Single Project RPPR

If errors or a warning exist, the appropriate error or warning message displays for each failed occurrence. **All errors must be corrected prior to submission;** the system will prevent submission of an RPPR containing errors. However, the system will not prevent submission of an RPPR when a warning message is displayed.

The screenshot shows the 'Error Messages' screen. It lists the following 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)
 - B.6. An answer is required: select Nothing to Report or enter/upload response. (ID: 201245)
- Section C. Products: (ID: 201316)
 - C.1 An answer is required. (ID: 201246)
 - C.4. An answer is required: select Nothing to Report or enter/upload response. (ID: 201249)
 - C.5.A. An answer is required: select Nothing to Report or enter/upload response. (ID: 201250)
 - C.5.B. An answer is required: select Nothing to Report or enter/upload response. (ID: 201251)
- Section G. Special Reporting Requirements: (ID: 201320)
 - G.1. An answer is required: select Nothing to Report or enter/upload response. (ID: 201275)
 - G.4.a. An answer is required. (ID: 201278)
 - G.5. An answer is required. (ID: 201280)
 - G.6. An answer is required. (ID: 201281)
 - G.8. A required field is missing. (ID: 201282)
 - G.9. An answer is required: select No Foreign Component or enter/upload response. (ID: 201283)
 - G.10. An answer is required. (ID: 201285)

Figure 24: RPPR Error Messages (Examples)

If all validations pass, a message displays indicating: *No errors found on validation.*

5.3.2 Checking for Errors on a Multi-Project RPPR



Not applicable for VA-ORD awards. VA-ORD does not currently support multi-project or single project with complicated structure awards. Proceed to 5.4 Route the RPPR.

5.4 Route the RPPR

Progress reports in *Work in Progress (WIP)* status can be routed to others for review or corrections by the current reviewer of the report. The routing feature is found on the *RPPR Menu* screen.

NOTE: A PD/PI delegate cannot route an RPPR to the next reviewer.

To route an RPPR to the next reviewer:

1. Select the **Route** button from the *RPPR Menu* screen.

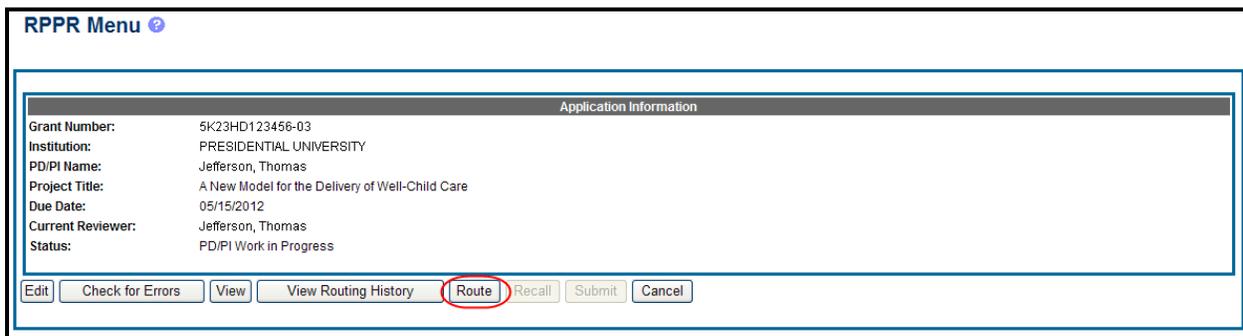


Figure 25: RPPR Menu – Route Button

NOTE: The figure above shows the *RPPR Menu* for a single project RPPR.

The *Route RPPR to Next Reviewer* screen displays. From this screen, the next reviewer can be chosen from a list of reviewers, and comments can be added.

2. Select a reviewer from the **Next Reviewer** drop-down list.
3. *Optional:* Enter comments in the **Comments** text box to provide information to the next reviewer.
4. Select the **Submit** button.

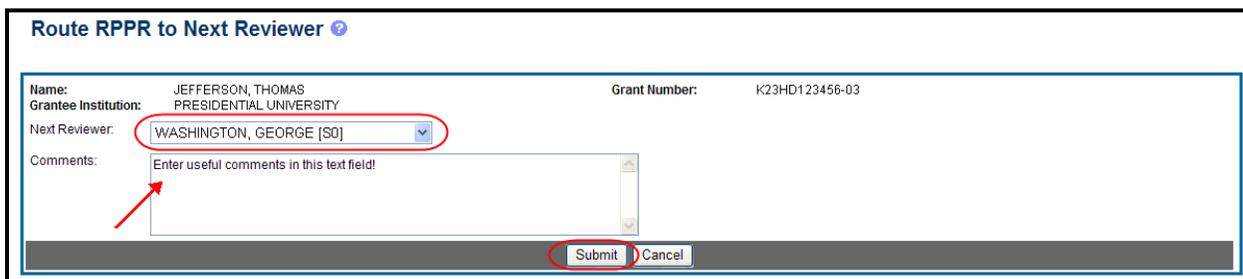


Figure 26: Route RPPR to Next Reviewer

5. *When routed by the PD/PI only:* The PD/PI Assurance Statement displays. Select the **I Agree** button to continue.

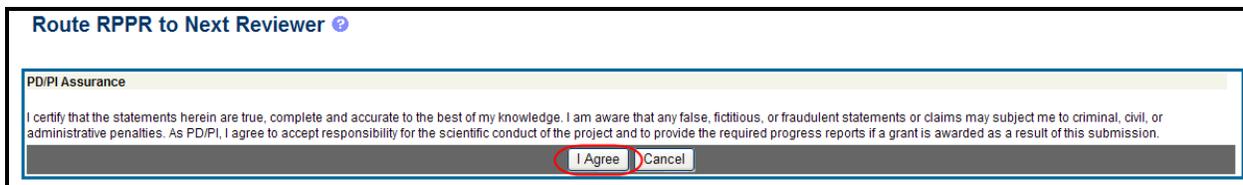


Figure 27: PD/PI Assurance Statement

The *RPPR Menu* displays once again. If the routing is successful, the message on the screen reads as follows:

The RPPR was successfully routed to [Selected Reviewer User ID], [Selected Reviewer Name].

The person who routed the RPPR can no longer edit the report (**Edit** button becomes disabled). The editing feature is now available only to the new reviewer. The RPPR status is updated to *Reviewer Work in Progress*.

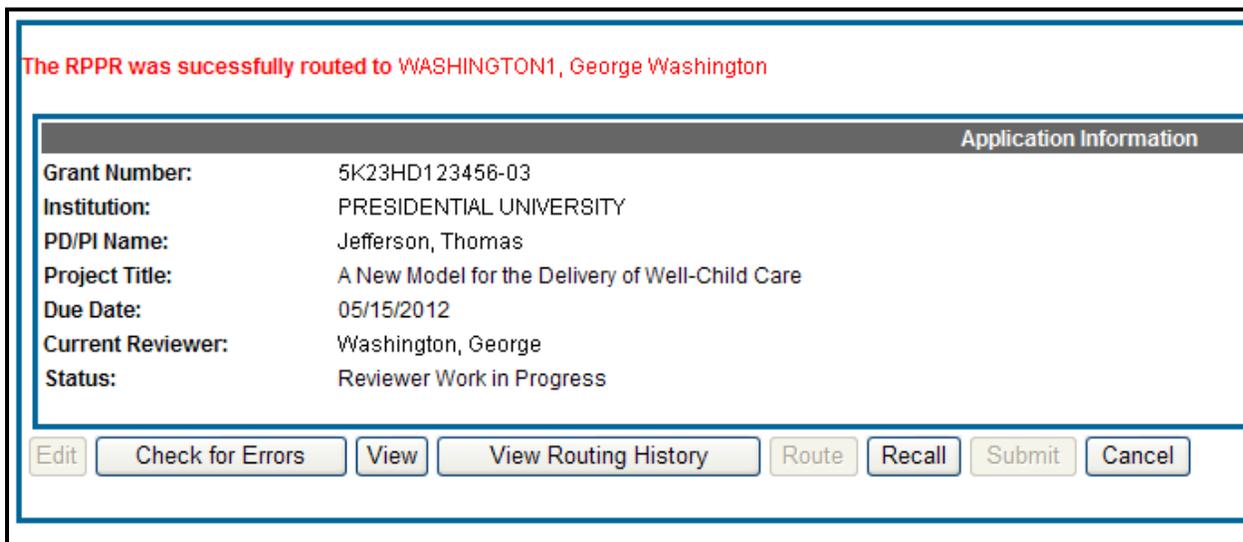


Figure 28: RPPR Successfully Routed

5.5 Recall the RPPR

RPPRs that have been routed to a reviewer can be recalled by the person who performed the routing action. This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials (SOs) at the VA Medical Center and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress*.

NOTE: A PD/PI delegate does not have the ability to recall the RPPR.

To recall an RPPR, select the **Recall** button from the *RPPR Menu* screen.

RPPR Menu

Application Information

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress

Buttons: Edit, Check for Errors, View, View Routing History, Route, **Recall**, Submit, Cancel

Figure 29: RPPR Menu – Recall Button

A message displays on the screen indicating: *The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.*

The status of the RPPR is updated to *PD/PI Work in Progress* or *Reviewer Work in Progress*, the reviewer from whom the RPPR is recalled receives an email informing him of the action, and the RPPR routing audit history is updated to reflect the action.

Additionally, the **Edit** and **Route** buttons are enabled, providing the new reviewer with the ability to continue editing the RPPR or to route it to another reviewer.

The RPPR has been successfully recalled. You have been set as the Current RPPR Reviewer.

Application Information

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Jefferson, Thomas
Status:	PD/PI Work in Progress

Buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

Figure 30: RPPR Successfully Recalled

5.6 Submit the RPPR to Agency (VA-ORD)

Awardees are **strongly** encouraged to view the RPPR prior to submission to VA-ORD to ensure that the correct information and attachments are provided (see 5.7 [View the RPPR](#)).

Completed and validated RPPRs in a status of *Work in Progress* can be submitted to VA-ORD for acceptance. This act is performed by the Signing Official (SO) when the SO is the current reviewer of the report. PD/PIs may also submit the report if they have been delegated submit authority by the SO.

To submit the RPPR to Agency (to VA-ORD):

1. Select the **Submit** button from the *RPPR Menu* screen.

The screenshot shows the 'RPPR Menu' interface. At the top, it says 'RPPR Menu' with a help icon. Below that is a section titled 'Application Information' containing the following details:

Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	Washington, George
Status:	Reviewer Work in Progress

At the bottom of the application information box is a row of buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, **Submit** (circled in red), and Cancel.

Figure 31: Submit Button on RPPR Menu

The *Submit RPPR* screen displays a certification statement as follows:

In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.



For VA-ORD, in the above certification statement “grantee organization” or “grantee institution” refers to “VA Medical Center”; “Notice of Award and Grants Policy Statement” is the same as VA-ORD’s “Notice of Intent to Award or Funding Letter”; and “grant” is equal to a VA-ORD “award.”

2. Select the **I Agree** button to sign off on the certification.

The RPPR is validated for systemic and business rules. If there are any validation failures, they are indicated by error messages on the *RPPR Menu* screen. Errors must be corrected in order to submit the RPPR.

If warnings exist, they are displayed on the *RPPR Menu* screen. Although the RPPR can be submitted with warnings present, the warning messages should be reviewed to determine if an issue should be addressed.

3. *If Warnings Exist:* To address issues associated with warnings, select the **Cancel** button, correct the issue, and resubmit the RPPR again. To continue with submission despite the warnings, select the **OK** button.

If all validations pass, the *RPPR Menu* screen displays the following message: *The RPPR has been successfully submitted to PHS.**

The RPPR has been successfully submitted to PHS.

Application Information	
Grant Number:	5R01HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	05/15/2012
Current Reviewer:	
Status:	Submitted to Agency

Buttons: Edit, Check for Errors, View, View Routing History, Route, Recall, Submit, Cancel

Figure 32: Successful Submission Message



*A successful RPPR submission will be submitted to VA-ORD.

The current reviewer is updated to VA-ORD, the RPPR status is updated to *Submitted to Agency (to VA-ORD for review)*, and the RPPR submission date is recorded. The routing history is updated to reflect the submission to VA-ORD.

Any citations associated with the RPPR in C.1. Publications are officially associated with the award in MyNCBI. Every article associated with this project must have a PubMedCentral ID number (PMCID#) to display in MyNCBI.

If Inclusion Enrollment data was reported in the RPPR, this information is updated into the eRA Population Tracking system for VA-ORD staff review and acceptance. The data then becomes the data of record for the particular award year.

When an RPPR is submitted to VA-ORD, email notification is sent to the PD/PI (Contact PI) on the award and the SO and AO assigned to the RPPR.

5.6.1 Submission Errors and Warnings for Multi-Project RPPRs



Not applicable for VA-ORD awards. VA-ORD does not currently support multi-project or single project with complicated structure awards. Proceed to 5.7 View the RPPR.

5.7 View the RPPR

As indicated in 5.6, awardees are **strongly** encouraged to view the RPPR prior to submission to the VA-ORD to ensure that the correct information and attachments are provided (see 5.6 [Submit the RPPR to Agency \(to VA-ORD\)](#)).

PD/PIs, PD/PI delegates, and reviewers can view a PDF version of an RPPR in *Work in Progress (WIP)* or *Submitted to Agency (to VA-ORD)* status to see how it will be seen by VA-ORD. Until the RPPR is submitted to VA-ORD, the PDF report shows a status of *Draft* and a blank submission date.

To view the RPPR form, select the **View** button from the *RPPR Menu* screen.

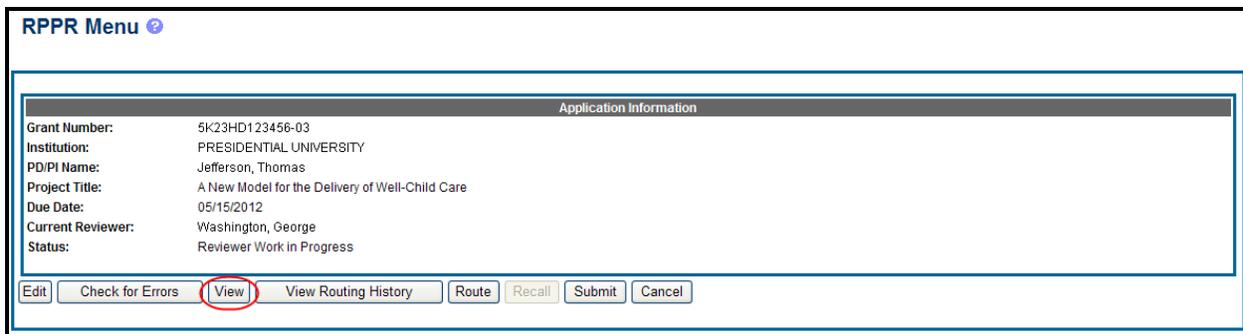


Figure 33: RPPR Menu – View Button

5.8 View Routing History

From initiation to submission to Agency (to VA-ORD), the routing of an RPPR is captured for auditing purposes. PD/PIs, PD/PI delegates, and reviewers can view the routing history for *Work in Progress* or *Submitted to Agency (to VA-ORD)* RPPRs at any time, even when not they are not the current reviewer.

To view the routing history:

1. Select the **View Routing History** button from the *RPPR Menu* screen.

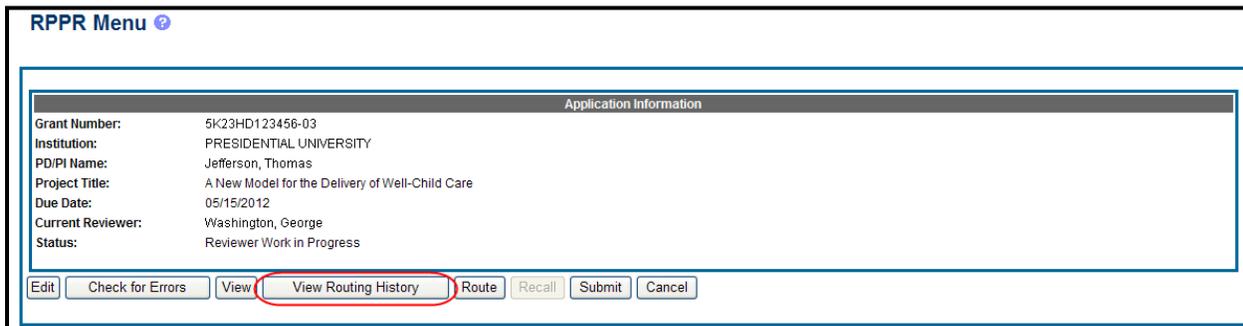


Figure 34: RPPR Menu – View Routing History Button

The *Routing History* screen displays showing the **Reviewer Name**, **Action**, **Notification Sent** (date and time), **Date of Action**, **Next Reviewer Name**, and **Comments** (when available).

Reviewer Name	Action	Notification Sent	Date of Action	Next Reviewer Name	Comments
Jefferson, Thomas	Initiate	03-20-2012 10:37:22			
Jefferson, Thomas	Route	04-03-2012 02:21:50	04-03-2012 02:21:50	Washington, George	
Jefferson, Thomas	Recall	04-03-2012 03:44:18	04-03-2012 03:44:18	Jefferson, Thomas	

Back

Figure 35: RPPR Routing History

2. To close the screen, select the **Back** button.

5.9 Viewing the Final RPPR in Commons

The final RPPR, in PDF format, is accessible in Commons within the *Status Information* screen. To view the final RPPR, perform the following steps:

1. From Commons, select the **Status** menu option.
2. Select the link for **List of Applications/Grants (Awards)**.

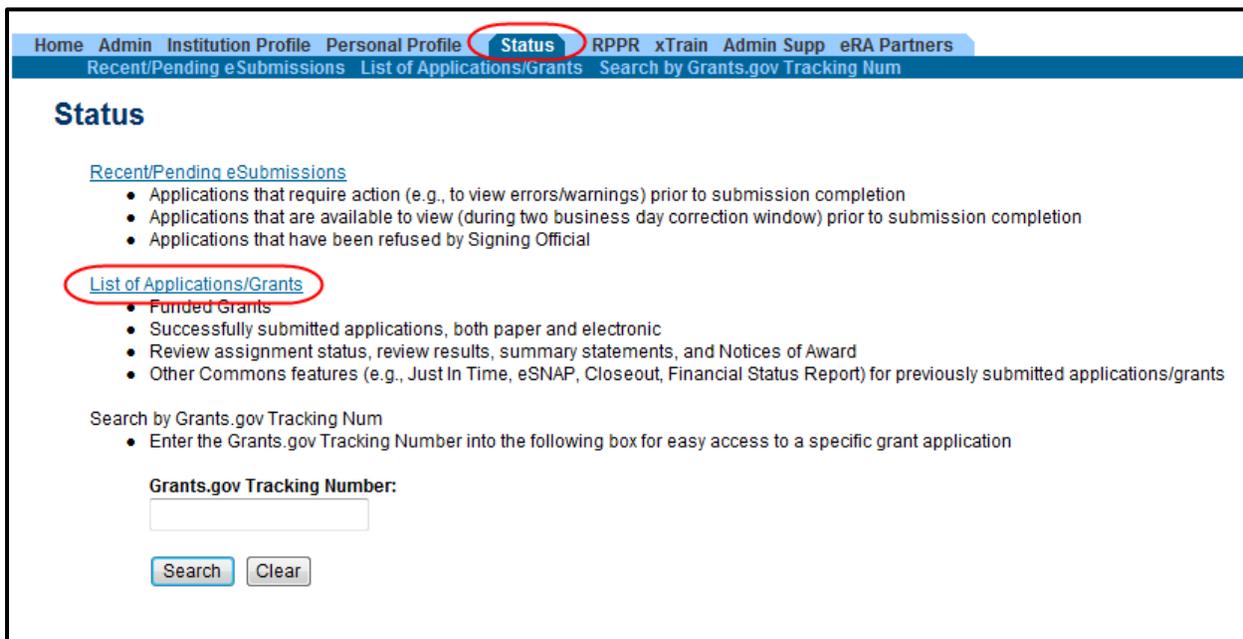


Figure 36: Status Menu Option

3. From the *Status Result – List of Applications/Grants (Awards)* screen, select the hyperlink for the specific Application ID (grant/award number).

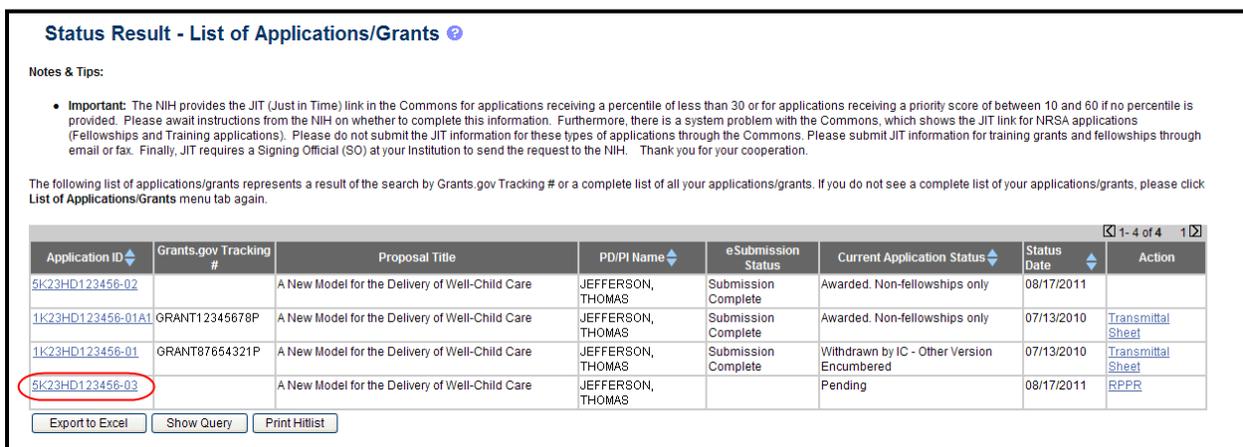


Figure 37: Application ID hyperlink

The *Status Information* screen displays with the **Other Relevant Documents** section in the top right corner.

4. The progress reports for incrementally-funded and multi-year funded awards are displayed differently in **Other Relevant Documents**.
 - a. *For an incrementally-funded RPPR:* Select the **e-Application** link from the **Other Relevant Documents** section of the *Status Information* screen.

Status Information	
General Grant Information	Other Relevant Documents
Status: Pending administrative review. Refer any questions to Program Official or Grants Management Specialist.	e-Application
Institution Name: PRESIDENTIAL UNIVERSITY	Additions for Review (0 documents)
School Name: SCHOOL OF MEDICINE	
School Category: SCHOOLS OF MEDICINE	Correspondence
Division Name: NONE	Referral
Department Name: PEDIATRICS	Date Description Action
PI Name: Jefferson, Thomas	
Application ID: 5R01HD123456-03	
Proposal Title: A New Model for the Delivery of Well-Child Care	
Proposal Receipt Date:	
Last Status Update Date: 08/17/2011	
Budget Start Date: 07/01/2012	
Budget End Date: 06/30/2013	
Progress Report Due Date: 05/01/2012	
Current Award Notice Date:	
Application Source: Paper	
Project Period Begin Date: 07/15/2010	
Project Period End Date: 06/30/2015	
eApplication Status:	
FOA: [PA09-043] - MENTORED PATIENT-ORIENTED	
NIH Appl. ID: 1234567	

Figure 38: Status Information Screen – e-Application Link

- b. For multi-year funded awards: Select the appropriate year’s link in the **Research Performance Progress Report** section. Links will appear as follows: **RPPR Year <X> <MM/DD/YYYY>**

Status Information	
General Grant Information	Other Relevant Documents
Status: Application awarded.	e-Application
Institution Name: College at Stratford-Upon-Avon	Summary Statement
School Name: SCHOOL OF MEDICINE	Latest NGA
School Category: SCHOOLS OF MEDICINE	Notice(s) of Grant Award (PDF) 03/01/2010
Division Name: NONE	Abstract (Awarded Grant)
Department Name: PEDIATRICS	Just In Time 02/11/2010 Times Revised(1)
PI Name: SHAKESPEARE, WILLIAM (Contact); Marlowe, Christopher	Submission Cover Letter
Application ID: 1R15CA234567-01A1	Research Performance Progress Report RPPR Year 1.05/09/2011
Proposal Title: A Midsummer Night's Dream and Other Known Sleeping Disorders	Progress Report Additional Material (PRAM) PRAM Year 1.05/20/2011
Proposal Receipt Date: 01/09/2014	Additions for Review (0 documents)
Last Status Update Date: 02/24/2010	Correspondence
Current Award Notice Date: 03/01/2010	Referral
Application Source: Grants.gov	Date Description Action
Project Period Begin Date: 04/01/2010	
Project Period End Date: 03/31/2014	
eApplication Status: Submission Complete	
FOA: [PA00-123] - ACADEMIC RESEARCH ENHANCEMENT AWARD	
NIH Appl. ID: 1234567	

Figure 39: Status Information Screen for Multi-Year RPPR

The PDF version of the RPPR opens in a separate window.

NOTE: The submitted RPPR can also be accessed from the *RPPR Menu* screen. The **View** button opens the PDF version of the RPPR.

5.10 Public Access Progress Report Additional Materials (PRAM)



Not applicable for VA-ORD awards. Proceed to 5.11 Agency (R&D Service within VA-ORD) Requested Progress Report Additional Materials (PRAM).

5.11 Agency (R&D Service within VA-ORD) Requested Progress Report Additional Materials (PRAM)

The Agency (the awarding R&D Service within VA-ORD) Requested Progress Report Additional Materials (PRAM) feature provides a means for the awardee to enter, review, route, and submit information in response to specific request(s) by the R&D Service within VA-ORD for additional information following the submission of an RPPR.

As with the RPPR, a PD/PI (or Contact PI in the case of MPIs) can enter the PRAM, but can only submit it if the PD/PI is delegated with *Submit Progress Report* authority. Otherwise, only the SO can submit the PRAM to VA-ORD.

The following sections cover the steps for initiating and submitting Agency (R&D Service within VA-ORD) Requested PRAM.

5.11.1 Initiate Agency (R&D Service within VA-ORD) Requested PRAM

The PD/PI (Contact PI) or PD/PI Delegate can initiate Agency (R&D Service within VA-ORD) Requested PRAM by following the steps below:

1. Access the eRA *Commons Status Result – List of Applications/Grants (Awards)* screen.
2. Select the **Agency Requested PRAM** link from the **Action** column of the appropriate grant (award).

Status Result - List of Applications/Grants ⓘ						
Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Action
5K23HD123456-03		A New Model for the Deliver of Well-Child Care	JEFFERSON, THOMAS		Pending	RPPR (C Requested PRAM)
ZDP1CA654321-04 (MPI)	GRANT00123456	Crime & Punishment and the Effects on Mental Health	JEFFERSON, THOMAS	Submission Complete	Pending	Transmittal Sheet
AN.1234567	GRANT00234567	The Red Badge of Courage and Other Skin Disorders	JEFFERSON, THOMAS	Submission Complete	Application has been entered into computer	Transmittal Sheet

Figure 40: Agency Requested PRAM Link

The *Progress Report Additional Materials (PRAM)* screen displays. **Grant (Award) Information**, including Grant Number, PD/PI Name, Project Title, Institution, Status, and Current Reviewer, displays at the top of the screen. The **Additional Materials Requested by**

Agency (R&D Service within VA-ORD) section at the bottom provides a means for adding the requested materials. Up to 100 attachments can be submitted, but all attachments must be in the form of PDF files.

3. Select the **Add Attachment** button in the **Additional Materials Requested by Agency** (R&D Service within VA-ORD) section of the screen.

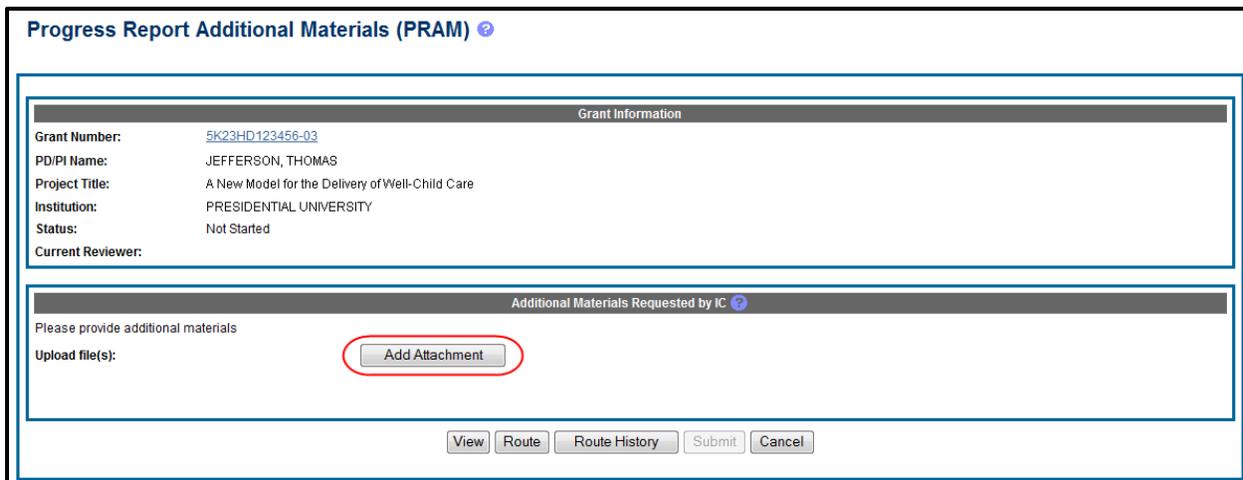


Figure 41: Add Attachment Button for Agency (R&D Service within VA-ORD) Requested PRAM

4. Use the *Upload Attachment* pop-up **Browse** and **Upload** buttons to search for and attach the appropriate file. Repeat for all necessary attachments.

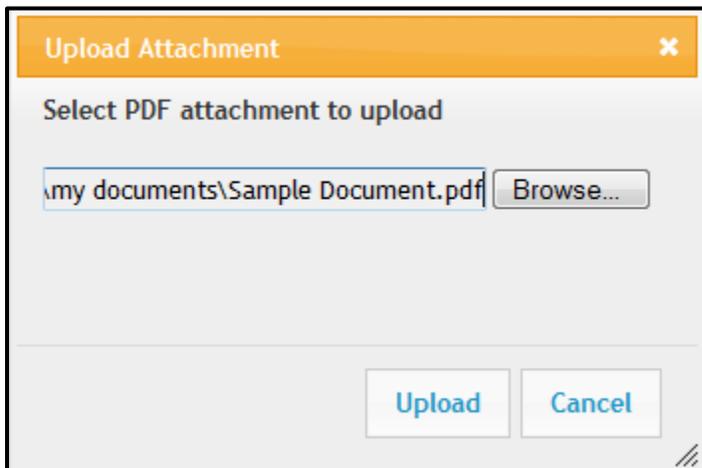


Figure 42: Upload Attachment Pop-up

The **Additional Materials Requested by Agency (R&D Service within VA-ORD)** section updates to show a table of all attachments. The table displays the **Document Name** and **Action** links of **View** and **Delete** for each attachment.

5. *Optional:* Select the document’s **View** link in the **Action** column to view the attachment.
6. *Optional:* Select the document’s **Delete** link in the **Action** column to remove the attachment.

NOTE: The options for **View** and **Route History** may be selected at this time. Selecting the option for **Cancel** closes the screen without saving or routing the PRAM information.

7. Select the **Route** button to send the PRAM for review.

Figure 43: Routing the Agency (R&D Service within VA-ORD) Requested PRAM

When the **Route** button is selected, the *Route PRAM to Next Reviewer* screen displays. A list of all available reviewers exists in the drop-down for **Next Reviewer**.

8. Select a name from the **Next Reviewer** drop-down list.
9. Enter text into the **Comments** field as necessary. This is not a mandatory field.
10. Select the **Submit** button to continue.

Figure 44: Route Agency (R&D Service within VA-ORD) Requested PRAM to Next Reviewer

The *Route PRAM to Next Reviewer* screen displays the PD/PI Assurance statement.

11. Read the assurance statement and select the **Submit** button to agree to the content and continue routing the PRAM to the next reviewer.

Route PRAM to Next Reviewer

PD/PI Assurance

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this submission.

Submit Cancel

Figure 45: Agency (R&D Service within VA-ORD) Requested PRAM PD/PI Assurance Statement

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully routed to the selected reviewer. Additionally, the status is updated and shown as *Reviewer Work in Progress*. At this point, the PD/PI can only view the PRAM, the attachments, and the Route History; the PD/PI may not edit the PRAM. To be able to allow the PD/PI to edit the PRAM, the SO needs to route the PRAM back to the PD/PI using routing steps similar to those above.

At the time of routing, an email is sent to the PD/PI and the selected SO (or other Next Reviewer) to notify them of the event.

Progress Report Additional Materials (PRAM)

The PRAM was successfully routed to WASHINGTON1, George Washington

Grant Information

Grant Number: 5K23HD123456-03
 PD/PI Name: JEFFERSON, THOMAS
 Project Title: A New Model for the Delivery of Well-Child Care
 Institution: PRESIDENTIAL UNIVERSITY
 Status: Reviewer Work in Progress
 Current Reviewer: Washington, George

Additional Materials Requested by IC

Please provide additional materials

Upload file(s):

Document Name	Action
Sample Document.pdf	View
Sample2 Doc.pdf	View

Figure 46: Successfully Routed Agency (R&D Service within VA-ORD) Requested PRAM

5.11.2 Recall Agency (R&D Service within VA-ORD) Requested PRAM

Agency (R&D Service within VA-ORD) Requested PRAM that has been routed to a reviewer can be recalled by the person who performed the routing action up until the submission of the current PRAM attachment(s) to the Agency (to the R&D Service within VA-ORD). This is useful in situations when the report was routed to the wrong person or the reviewer is unavailable. The last reviewer of the report is able to recall it; however, Signing Officials (SOs) at the VA Medical Center and the Contact PD/PI who are not the last reviewer can also recall the report when it is in a status of *Reviewer Work in Progress (WIP)*.

NOTE: A PD/PI delegate does not have the ability to recall the PRAM.

To recall Agency (R&D Service within VA-ORD) Requested PRAM, select the **Recall** button from the *Progress Report Additional Materials (PRAM)* screen.

Figure 47: Recall Button for Agency (R&D Service within VA-ORD) Requested PRAM

A message displays on the screen indicating: *The PRAM has been successfully recalled. You have been set as the Current PRAM Reviewer.*

NOTE: Only items which have not already been submitted can be recalled. If prior Agency (R&D Service within VA-ORD) Requested PRAM submissions to the R&D Service within VA-ORD exist, these attachments are not included in the recall.

The status of the PRAM is updated to *PD/PI Work in Progress* if recalled by the PI or *Reviewer Work in Progress* if recalled by the SO; the reviewer from whom the PRAM is recalled receives an email informing him of the action; and the PRAM routing audit history is updated to reflect the action.

Additionally, the ability to delete the attachment is restored and the **Add Attachment** and **Route** buttons are enabled, providing the current reviewer the ability to update the PRAM and route it again.

5.11.3 Submit Agency (R&D Service within VA-ORD) Requested PRAM

When the Agency (R&D Service within VA-ORD) Requested Progress Report Additional Materials (PRAM) is in *Reviewer Work in Progress (WIP)* status, the Signing Official (SO) can submit it to VA-ORD. PD/PIs may also submit the information if they have been delegated *Submit Progress Report* authority by the SO.

To submit the PRAM:

1. Access the **Status** screen on eRA Commons.
2. Enter the appropriate query parameters to locate the award and select the **Search** button.

The *Status Result – General Search* screen displays with the matching information.

- From the **Action** column, select the link for **IC (R&D Service within VA-ORD) Requested PRAM**.

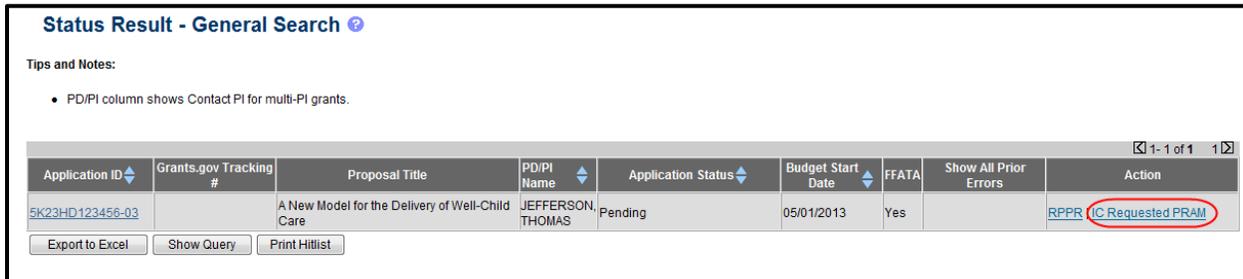


Figure 48: Agency (R&D Service within VA-ORD) Requested PRAM Link for SO

The *Progress Report Additional Materials (PRAM)* screen displays. The screen displays **Grant (Award) Information** on top and the files attached by the PD/PI in the **Additional Materials Requested by Agency (R&D Service within VA-ORD)** portion at the bottom. The attached files may be viewed or removed and additional PDF files may be added if necessary.

- Optional:* Select the document’s **View** link in the **Action** column to view the attachment.
- Optional:* Select the document’s **Delete** link in the **Action** column to remove the attachment.
- Optional:* Select the **Add Attachment** button to attach additional files. Up to 100 PDF files may be attached.

Before submitting, the SO also may **View** the PRAM as a PDF, **Route** it to another reviewer (or back to the PD/PI), and view the **Route History**. Select any of the appropriate buttons to perform these actions. Follow the steps below to continue submitting the PRAM.

- Select the **Submit** button.

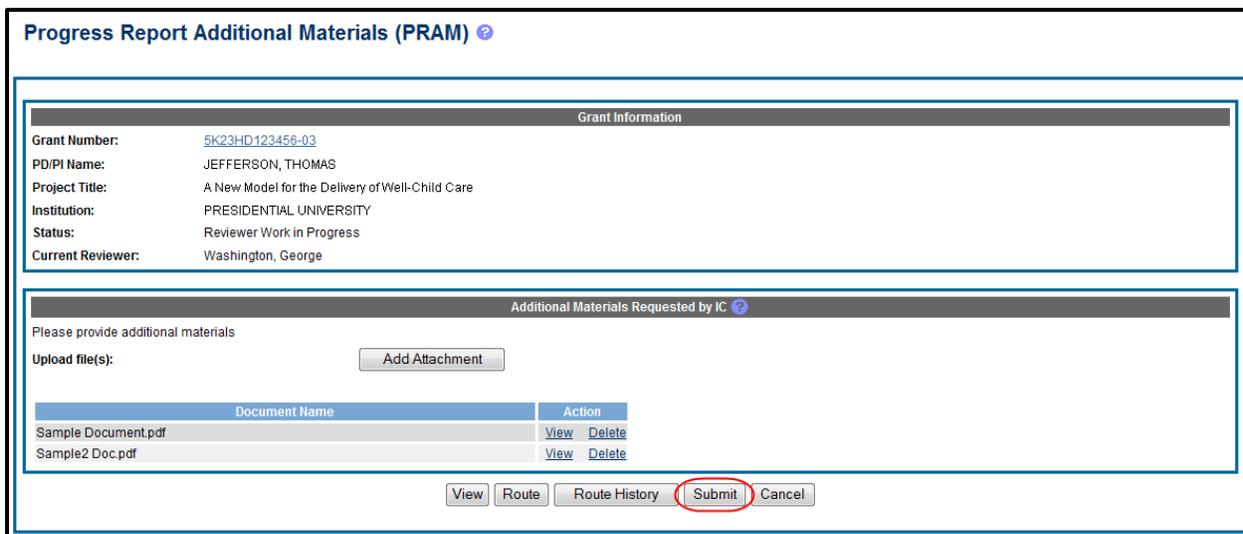


Figure 49: Submitting Agency (R&D Service within VA-ORD) Requested PRAM

The *Submit PRAM to Agency (R&D Service within VA-ORD)* screen displays. By continuing from this screen, the SO certifies that the submitting VA Medical Center is in compliance with the terms and conditions specified in the VA-ORD Notice of Intent to Award or Funding Letter. The SO also verifies that the information provided in the PRAM is valid and accurate.

8. Read certification agreement. Select the **I Agree** button to continue submitting the information. (Selecting the **Cancel** button closes the screen and returns the *Progress Report Additional Materials* screen without submitting the material.)

Submit PRAM to Agency

In submitting these Progress Report additional materials, the SO (or PD/PI with delegated authority), certifies that the grantee organization is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement, and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization will be accountable for the appropriate use of any funds awarded and for the performance of the grant-supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

Application Information	
Grant Number:	5K23HD123456-03
Institution:	PRESIDENTIAL UNIVERSITY
PD/PI Name:	JEFFERSON, THOMAS
Project Title:	A New Model for the Delivery of Well-Child Care
Due Date:	2013-03-15
Current Reviewer:	Washington, George
PRAM Status:	Reviewer Work in Progress

Figure 50: SO Certification of PRAM

The *Progress Report Additional Materials (PRAM)* screen displays with a message indicating that the PRAM was successfully submitted. The current reviewer is updated to VA-ORD, the PRAM status is updated to *Submitted to Agency (VA-ORD)*, and the PRAM submission date is recorded. The routing history is updated to reflect the submission to Agency (to VA-ORD).

Progress Report Additional Materials (PRAM)

The progress report IC requested additional materials have been successfully submitted to PHS.

Grant Information	
Grant Number:	5K23HD123456-03
PD/PI Name:	JEFFERSON, THOMAS
Project Title:	A New Model for the Delivery of Well-Child Care
Institution:	PRESIDENTIAL UNIVERSITY
Status:	Submitted to Agency
Current Reviewer:	NIH

Additional Materials Requested by IC

Please provide additional materials

Upload file(s):

Figure 51: Agency (R&D Service within VA-ORD) Requested PRAM Submitted to Agency

When PRAM is submitted to Agency (R&D Service within VA-ORD), an email notification is sent to the PD/PI (Contact PI) on the award, the submitting SO, the SO assigned to the RPPR, and AO assigned to the RPPR.

Once the Agency (R&D Service within VA-ORD) Requested PRAM is submitted, the **View** button remains on the PRAM screen to provide a preview of the latest PRAM submission; however, the ability to view or delete the individual attachments is removed. The ability to upload and submit additional attachments remains until the progress report is approved. Follow the steps provided in the *Initiate IC Requested PRAM* section to add additional attachments ([starting with Step 3](#)).

NOTE: If multiple PRAM submissions were completed, selecting the **View** button only provides a preview of the latest PRAM submission. To view all submissions as one document, access the *Status Information* screen for the award and select the PRAM link. For more information, refer to the [View IC Requested PRAM from Status Information](#) section of this document.

5.11.4 View Agency (R&D Service within VA-ORD) Requested PRAM from Status Information

After submitting Agency (R&D Service within VA-ORD) Requested PRAM, Commons users with access to the award information may view the PRAM via the *Status Information* screen. The *Status Information* is accessed by selecting the **Grant Number** hyperlink from the *Progress Report Additional Materials (PRAM)* screen or by selecting the **Application ID** hyperlink from *Status Result – General Search (SOs)* and *Status Result – List of Applications/Grants (PIs)* screens.

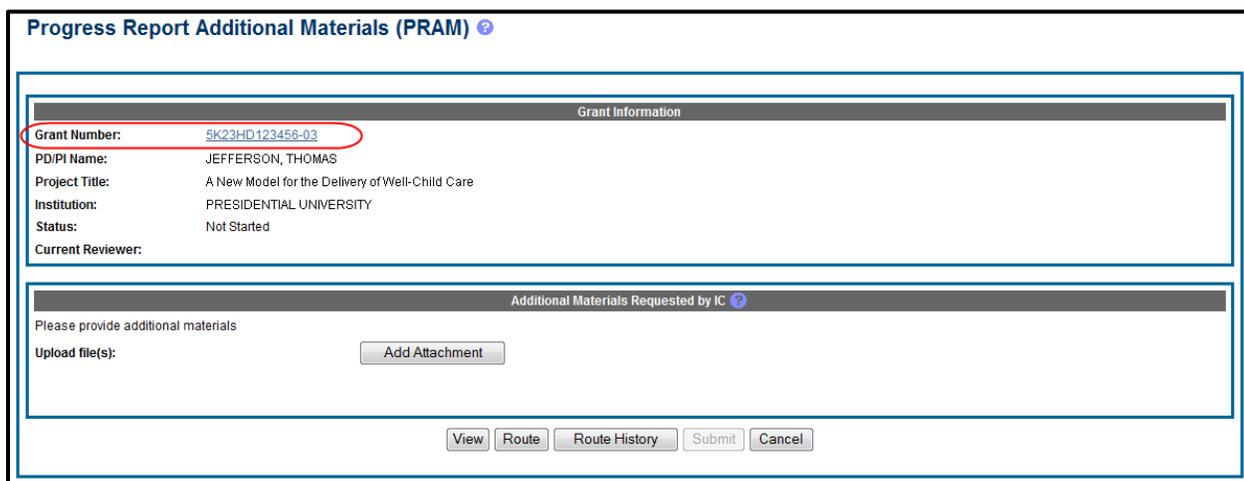


Figure 52: Grant Number Hyperlink on PRAM Screen

Status Result - List of Applications/Grants

Notes & Tips:

- Important:** The NIH provides the JIT (Just in Time) link in the Commons for applications receiving a percentile of less than 30 or for applications receiving a priority score of between 10 and 60 if no percentile is provided. Please await instructions from the NIH on whether to complete this information.

The following list of applications/grants represents a result of the search by Grants.gov Tracking # or a complete list of all your applications/grants. If you do not see a complete list of your applications/grants, please click **List of Applications/Grants** menu tab again.

Application ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	eSubmission Status	Current Application Status	Status Date	Action
5K23HD123456-03		A New Model for the Deliver of Well-Child Care	JEFFERSON, THOMAS		Pending		RPPR IC Requested PRAM
7DP1CA654321-04 (MPI)	GRANT00123456	Crime & Punishment and the Effects on Mental Health	JEFFERSON, THOMAS	Submission Complete	Pending	09/30/2012	Transmittal Sheet
AN.1234567	GRANT00234567	The Red Badge of Courage and Other Skin Disorders	JEFFERSON, THOMAS	Submission Complete	Application has been entered into computer	08/22/2012	Transmittal Sheet

Export to Excel Show Query Print Hitlist

Figure 53: Application ID Hyperlink on Status Result for PIs

Status Result - General Search

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
5k23HD123456-03		A New Model for the Delivery of Well-Child Care	JEFFERSON THOMAS	Pending	05/01/2013	Yes		RPPR IC Requested PRAM

Export to Excel Show Query Print Hitlist

Figure 54: Application ID Hyperlink on Status Result for SOs

From the *Status Information* screen, select the hyperlink in the area marked **Progress Report Additional Material (PRAM)** in the **Other Relevant Documents** section.

Status Information

General Grant Information		Other Relevant Documents	
Status: Pending administrative review. Refer any questions to Program Official or Grants Management Specialist. Institution Name: PRESIDENTIAL UNIVERSITY School Name: SCHOOL OF MEDICINE School Category: SCHOOLS OF MEDICINE Division Name: NONE Department Name: SURGERY PI Name: Jefferson, Thomas Application ID: 5K23HD123456-03 Proposal Title: A New Model for the Delivery of Well-Child Care Proposal Receipt Date: 03/18/2013 Last Status Update Date: 07/20/2012 Budget Start Date: 07/01/2013 Budget End Date: 06/30/2014 Progress Report Due Date: 05/15/2013 Current Award Notice Date: Application Source: RPPR Project Period Begin Date: 07/20/2012 Project Period End Date: 06/30/2014 eApplication Status: FOA: [PA00-123] - Biomarkers for Early Detection NIH Appl. ID: 1234567		e-Application Institute/Center Progress Report Additional Material Request Progress Report Additional Material (PRAM) 04/08/2013 Times Revised (2) Additions for Review (0 documents)	
Correspondence			
Referral			
Date	Description	Action	
Status History		Institute or Center Assignment	
Effective Date	Status Message	Institute or Center	Assignment Date
		CHILD HEALTH AND DEVELOPMENT (Primary)	07/20/2012
Application Information		Study Section	Advisory Council(AC) Information
Award Document Number:	RHD123456A	Scientific Review Group:	ABCD
FSR Accepted Code:	N	Council Meeting Date(YYYY/MM):	2013/00
Snap Indicator Code:	Y		
Impact Score:			
Percentile:			
Early Stage Investigator Eligible:			
New Investigator Eligible:			
Eligible for FFATA Reporting:	Yes		
Reference Letter(s)			
This list shows Reference Letters associated with this particular Grant Application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons			
Contacts			
Administration	Name	Phone	Email
Grants Management Specialist(GMS)	Franklin, Benjamin	301-555-1234	Franklin@email.com
Program Official(PO)	Ross, Betsy	301-555-4567	Ross@email.com
Close			

Figure 55: Status Information with PRAM Link

The Progress Report Additional Materials (PRAM) file opens as a PDF document. The file is formatted to provide an information header section for each PRAM submission followed by the attached documents provided during that submission. If multiple submissions of Agency (R&D Service within VA-ORD) Requested PRAM were completed, the additional materials are separated in the document with the most recent submission displayed first followed by earlier submissions in reverse chronological order. Information in the document can be navigated using the provided bookmarks on the left.

Progress Report Additional Materials FINAL

Grants Management Progress Report Additional Materials

Grant Number:	5K23HD123456-03
PD/PI Name:	Jefferson, Thomas
Project Title:	A New Model for the Delivery of Well-Child Care
PRAM submitted on:	2013-04-08 14:57:02.0
File Uploaded:	Sample Document.pdf
File Uploaded:	Sample2 Doc.pdf

Bookmarks

- Additional Materials requested by IC 2013-04-13 14:57:02.0
 - Sample Document.pdf
 - Sample2 Doc.pdf
- Additional Materials requested by IC 2013-04-09 15:10:04.0
 - Sample3.pdf

Figure 56: PDF of Multiple Submitted PRAM

6 Instructions for RPPR Sections A–H

The instructions in Chapter 6 apply to the following VA-ORD awards: I01 (Merit), I21 (pilot/SPiRE), IP1 (Program Projects), IK1 (Career Development Award [CDA-1]), IK2 (Career Development Award [CDA-2]), IK3 (Nursing Research Initiative (NRI)), and IK6 (Research Career Scientist). At this time, the RPPR is not available for I50 awards (Center of Excellence [CoE], Research Enhancement Award Program [REAP], Center of Innovation [COIN]).

Many of these instructions apply to other awards but there may be exceptions (items that are not applicable, replace, or are in addition) for awards not listed above. Refer to the table in Chapter 7 *Supplemental Instruction for Specific Grant (Award) Types* and follow the appropriate instructions for the applicable activity code of other awards. Activity codes listed in the subchapters of Chapter 7 that are issued under the Streamlined Non-competing Award Process (SNAP) will follow the instructions in Chapter 6 and the applicable subchapter in Chapter 7. The electronic RPPR display is dynamic and shows the appropriate questions and instructions based on the activity code and SNAP status of the award.



VA-ORD award-specific reporting requirements and instructions are denoted by the VA logo displayed to the left of the requirement or instruction, as illustrated here.

Not Applicable to VA-ORD awards next to a particular item indicates that item does not apply to the particular kind of award, and the item can be ignored.

References to *competing application instructions* means the VA Application Guide SF424 (R&R) (<http://vaww.research.va.gov/funding/electronic-submission.cfm>).

Whenever there are significant changes in the project or its direction, PD/PIs are required to obtain prior written approval from the appropriate R&D Service within VA-ORD. The RPPR is not an appropriate vehicle to request such changes. See the awarding R&D Service-specific instructions for submission of these requests.

6.1 Section A – Cover Page

The RPPR Section A. Cover Page includes information about the award, PD/PI, organization, and project/reporting/budget periods. Much of this information is pre-populated from data in eRA systems, but certain fields are editable.

The addresses, emails and phone numbers are pre-populated from the Commons Profile. To update contact information as displayed, go to the Commons Profile and save the changes there.

To select a Signing Official (SO) and Administrative Official (AO), choose a name from the associated drop-down box. The SO and AO may be the same individual. The SO need not be the SO that submits the RPPR.



If there has been an approved change to the Contact PD/PI (Multiple PD/PI awards only), select the **Yes** radio button and enter the Commons ID (user identification) of the new Contact PD/PI in the associated field. The change in Contact PD/PI does not take effect in the RPPR system until VA-ORD accepts the report. The Contact PD/PI must have a PD/PI role in the eRA Commons and must be associated with a VA Medical

Center. *The RPPR is not an appropriate vehicle for a request to change, add, or delete PD/PIs.* All such requests for change must follow guidance appropriate for the specific R&D Service within VA-ORD.

The **Recipient ID** field allows the awardee to record an internal tracking number or identifier for its own use. It is not a mandatory field and the awarding R&D Service within VA-ORD will disregard the information.

A. Cover Page ?

Save Cancel

Grant Information	A.4 Recipient Organization Information
Grant Number: 5K23HD123456-03	Organization Name: PRESIDENTIAL UNIVERSITY
Project Title: A New Model for the Delivery of Well-Child Care	Address: PRESIDENTIAL UNIVERSITY Office of Research Administration 777 University Drive Our Town, MD 98765
A.1 Program Director/Principal Investigator (PD/PI) Information ?	
Name: JEFFERSON, THOMAS	DUNS: 012345678
E-mail: Jefferson@email.com	EIN: 12345678901
Phone: (703) 555-1776	Recipient ID: <input type="text"/>
A.1.a	
Is there a change of contact PD/PI on a multiple-PI award? <input checked="" type="radio"/> N/A <input type="radio"/> Yes <input type="radio"/> No	
If yes, provide the eRA Commons ID of the new contact PD/PI <input type="text"/> ?	
A.1.b Not Applicable	
A.2 Signing Official Information	
Name: <input type="text"/>	Start Date: 07/01/2013
E-mail: <input type="text"/>	End Date: 06/30/2014
Phone: <input type="text"/>	Report Frequency: Annual <input type="text"/>
	Other Frequency: <input type="text"/>
A.3 Administrative Official Information	
Name: <input type="text"/>	
E-mail: <input type="text"/>	
Phone: <input type="text"/>	

Save Cancel A Cover Page | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [F Changes](#) | [G Special Reporting Req](#) | [H Budget](#)

Figure 57: RPPR Section A. Cover Page

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.2 Section B – Accomplishments

The RPPR Section B. Accomplishments allows VA-ORD to assess whether satisfactory progress has been made during the reporting period.

PD/PIs are reminded that whenever there are significant changes in the project or its direction, the awardee is required to obtain prior written approval from the appropriate R&D Service within VA-ORD. The RPPR is not an appropriate vehicle to request such changes. See the awarding R&D Service-specific instructions for submission of these requests.

B.1. What are the major goals of the project?

List the major goals (i.e., Specific Aims; see VA-ORD note below) of the project as stated in the approved application or as approved by VA-ORD. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion.

Generally, the goals will not change from one reporting period to the next. However, if VA-ORD approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the VA-ORD approved application or plan.



Goals are equivalent to *specific aims*. Significant changes in objectives and scope require prior approval of VA-ORD. ***The RPPR is not an appropriate vehicle to request such a change.***

The specific aims must be provided in the initial RPPR. In subsequent RPPRs this section will pre-populate with the aims/goals previously entered, and may be amended by answering **Yes** to question B.1.a.

B.1.a. Have the major goals changed since the initial competing award or previous report?

Select **Yes** if the major goals/specific aims have changed since the initial competing award or previous report, and provide a revised description of major goals/specific aims. ***Remember that written prior approval from the awarding R&D Service within VA-ORD is required for significant changes in the project or its direction. The RPPR is not an appropriate vehicle to request such a change.***

The first year that an RPPR is submitted any revised goals/specific aims should be entered into the text box for B.1. In subsequent years, if the user selects **Yes** the text box under B.1.a. for entering revised major goals will be provided.

B. Accomplishments

B.1 What are the major goals of the project?

List the major goals of the project as stated in the approved application or as approved by the agency. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion.

Generally, the goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the agency approved application or plan.

 "Goals" are equivalent to "specific aims." Significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2).

List the major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.

B.1.a Have the major goals changed since the initial competing award or previous report? Yes No

If yes, list the revised major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.

Figure 58: RPPR Section B. Accomplishments – Question B1

B.2. What was accomplished under these goals?

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.



Goals are equivalent to *specific aims*. In the response, emphasize the significance of the findings to the scientific field. For projects that involve the recruitment of human subjects, include one of the four following statements regarding the status of recruitment: a. not yet recruiting; b. recruiting; c. no longer recruiting (i.e., recruitment goal has not been met); or d. recruitment completed (i.e., recruitment goal has been met). In addition, include the total projected enrollment to date and total actual enrollment to date. The response should not exceed 2 pages. **Remember that written prior approval from the awarding R&D Service within VA-ORD is required for significant changes in the project and its direction. The RPPR is not an appropriate vehicle to request such changes.**

B.3. Competitive Revisions/Administrative Supplements

For this reporting period, is there one or more Revisions/Supplements associated with this award for which reporting is required?



VA-ORD does not accept electronic submission of competing supplemental applications (now known as “Revision” applications), which would request additional

support for expansion of an existing project’s scope or research protocol. **Answer “No” to this question, and click “OK” – this will remove any text entered inadvertently in B.3. text boxes.**

B.2 What was accomplished under these goals?

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

☞ “Goals” are equivalent to “specific aims.” In the response, emphasize the significance of the findings to the scientific field.

☞ Response should not exceed 2 pages.

Upload accomplishments

B.3 Competitive Revisions/Administrative Supplements

For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required? Yes No

If yes, identify the Revision(s)/Supplement(s) by grant number (e.g., 3R01CA098765-01S1) or title and describe the specific aims and accomplishments for each Revision/Supplement funded during this reporting period. Include any supplements to promote diversity or re-entry, or other similar supplements to support addition of an individual or a discrete project.

Revision/Supplement #

or Revision/Supplement Title

Total remaining allowed limit is 255 characters.

Describe the specific aims for this Revision/Supplement below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

Describe the accomplishments for this Revision/Supplement below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

No items found.

Revision/Supplement #	Revision/Supplement Title	Specific Aims	Accomplishments	Action
Nothing found to display.				

Figure 59: RPPR Section B. Accomplishments – Questions B2 & B3

B.4. What opportunities for training and professional development has the project provided?

If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during the reporting period, select **Nothing to Report**.

Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. *Training* activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. *Professional development* activities result in increased knowledge or skill in one’s area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.



For IK1 (CDA-1), IK2 (CDA-2), IK3 (NRI), IK6 (RCS), and IP1 (Program Projects) awards or award components designed to provide training and professional development opportunities, a response is required. Do not reiterate what is reported under Accomplishments. Limit the response to this reporting period and upload a PDF attachment. **See Chapter 7 Supplemental Instructions for Specific Grant (Award) Types for additional information.**

B.4 What opportunities for training and professional development has the project provided?

If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. "Training" activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional development" activities result in increased knowledge or skill in one's area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.

For all projects reporting graduate student and/or postdoctoral participants in Section D, Participant, grantees are encouraged to describe the use of Individual Development Plans (IDPs) for those participants. A Do not include the actual IDP; instead include information to document that IDPs are used to help manage the training for those individuals.

For T, F, K, R25, R13, D43 and other awards or award components designed to provide training and professional development opportunities, a response is required. Do not reiterate what is reported under Accomplishments. Limit the response to this reporting period.

Nothing to Report
or upload description

Figure 60: RPPR Section B. Accomplishments – Question B4

B.5. How have results been disseminated to communities of interest?

Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.



Note that scientific publications and the sharing of research resources will be reported under Section C. Products.

B.5 How have the results been disseminated to communities of interest?

Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.

Reporting the routine dissemination of information (e.g., websites, press releases) is not required. For awards not designed to disseminate information to the public or conduct similar outreach activities, a response is not required and the grantee should select "Nothing to Report". A detailed response is only required for awards or award components that are designed to disseminate information to the public or conduct similar outreach activities. Note that scientific publications and the sharing of research sources will be reported under Products.

Nothing to Report

or enter response below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.

Figure 61: RPPR Section B. Accomplishments – Question B5

B.6. What do you plan to do for the next reporting period to accomplish the goals?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.



Remember that significant changes in objectives and scope require prior approval by the awarding R&D Service within VA-ORD. Please consult with the appropriate R&D Service within VA-ORD for its requirements on this issue. VA-ORD's recommended length is one page or less; maximum length is 8000 characters or approximately three pages.

Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Section F. Changes.

Figure 62: RPPR Section B. Accomplishments – Question B6

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.3 Section C – Products

The RPPR Section C. Products allows agencies to assess and report both publications and other products to Congress, communities of interest, and the public.

C.1. Publications



Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph) during the reporting period resulting directly from the award?

PD/PIs are required to report all publications that arise from their VA-ORD award in this section. Publications listed in other parts of the RPPR will not be tracked as award products. If there are publications to report select **Yes** and ensure that the **Associate with this RPPR** box is checked as appropriate. If there are no publications to report select **No**. The tables draw information from the PD/PI's My NCBI account. PD/PIs can log in to their My NCBI account via the **My NCBI** link at the top of the C.1 screen. PD/PIs that do not have a My NCBI account can create one by simply logging in to My NCBI with their eRA Commons credentials, which will automatically create a My NCBI account. Any changes made to a My Bibliography collection will be reflected in the RPPR once the screen is refreshed (i.e., by clicking the **Save** button). For more information on My NCBI, see:

[Get Started with My NCBI: Access My NCBI, Register, and Sign In](#)
[Edit Your My Bibliography Settings \(Add a Delegate\)](#)

The first table, **All Publications Associated with this Project in My NCBI**, lists all publications that are in the PD/PI's My Bibliography collection, are associated with this award, and have not been reported in previous electronic progress reports for this award.

The first column **Associate with this RPPR** is automatically checked. Leaving the box checked upon submission associates the publication with this progress report, results in the publication being displayed in RePORT (Research Portfolio Online Reporting Tool), and makes the award-publication association in My NCBI permanent and the association will be reported in PubMed.

Unchecking the box disassociates the publication with this progress report and, upon submission of the RPPR to VA-ORD, removes the award-publication association in My NCBI.



For VA-ORD awards, the second column, NIH Public Access Compliance, is not applicable and therefore, the status displayed will be “**N/A: Not NIH Funded**”.

Note that the publication data in these tables is dynamic until the progress report is submitted to the VA-ORD. Any change to the data occurring in PubMed, PubMed Central, the PD/PI's My Bibliography account, or in the compliance status of a publication will refresh upon saving the C.1 Products section, or opening the RPPR in another session. When the progress report is submitted to VA-ORD, the publication data is frozen in the progress report.

The second table, **Publications not associated with this project in MyNCBI**, lists all other publications that are in the PD/PI's My Bibliography collection but do not have an association with this award. Checking **Associate with this RPPR** box will associate a publication with the award both in the progress report and in My NCBI. Refreshing this screen (i.e., clicking the **Save** button) will also move the newly associated publications from this table to the first table. Similarly, publications disassociated in the first table will appear in this table when the screen is refreshed.

The final table, **Publications previously reported for this project**, lists publications reported in a previous electronic progress report for this award. Awardees are responsible for ensuring that these publications comply with the VA Public Access policy (see [VHA Handbook 1200.19](#)) even if they were provisionally compliant (listed as *in Progress*) when previously reported.

The report may be submitted with noncompliant publications; however the system will generate an automated email to the PD/PI (with copy (cc) to the Administrative Official and Signing Official) requesting that the awardee provide evidence of compliance or an explanation (e.g., the sole author has passed away before s/he was able to process the manuscript for posting to PubMed Central) by a specified due date two weeks prior to the next budget start date. The awardee must respond either via an email to the appropriate Scientific Portfolio Manager (SPM), or may respond via the Progress Report Additional Materials (**PRAM**) link found on the eRA Commons Status page. The **PRAM** link provides a text box in which the awardee may respond through the eRA Commons. The awardee will be able to view the PRAM in the grant (award) folder.

Publications listed in other parts of a progress report are not captured electronically. They will not be included in this table, and may not be listed as resulting from this award in RePORT.

C.1 Publications

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph) during the reporting period resulting directly from this award? Yes No

If yes, select from the table below to affiliate publications with this progress report.
If you need to login to My NCBI account please use this link: [My NCBI](#)

All publications associated with this project in My NCBI

One item found.

Associate with this RPPR	NIH Public Access Compliance	Citation
<input checked="" type="checkbox"/>	Complete	Jefferson, Thomas. An assessment of environmental factors on public health. Health Publ. 2011 Nov; 21 (11): 201-231. PubMed PMID: 12345678; PubMed Central PMCID: PMC1234567

Sort Table Above By: Date Of Publication Ascending Descending
Then By: Author Ascending Descending

Hide publications from My NCBI

Publications not associated with this project in My NCBI

One item found.

Associate with this RPPR	NIH Public Access Compliance	Citation
<input type="checkbox"/>	Complete	Jefferson, Thomas. Study of Child Health & Development in the United States. Health Publ. 2011 Nov; 21 (11): 201-231. PubMed PMID: 12341234; PubMed Central PMCID: PMC11111111

Sort Table Above By: Date Of Publication Ascending Descending
Then By: Author Ascending Descending

Publications previously reported for this project

20 items found, displaying all items.

NIH Public Access Compliance	Citation
Complete	Jefferson, Thomas. Declaration of Children's Health and Development Needs. Health Publ. 2011 Nov; 21 (11): 201-231. PubMed PMID: 22222222; PubMed Central PMCID: PMC1212121

Figure 63: RPPR Section C. Products – Question C1

C.2. Web site(s) or other Internet site(s)

List the URL for any Internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above.



Most VA-ORD awards are not designed to create or maintain Web sites, in which case, a response is not required and an awardee should select **Nothing to Report**. However, if the project includes the creation or maintenance of a Web site(s) or other Internet site(s) designed to disseminate information to communities of interest, then a description is required.

C.3. Technologies or techniques

Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared. Examples include, but are not limited to tool kits, clinical decision aids, and mobile applications.



Limit the response to this reporting period.

C.2 Website(s) or other Internet site(s)
 List the URL for any Internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above.

 For awards not designed to create or maintain one or more websites select "Nothing to Report". A description is only required for awards designed to create or maintain one or more websites. Limit the response to this reporting period.

Nothing to Report
 or list URL(s) for Internet site(s) and provide description(s) below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.

C.3 Technologies or techniques
 Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared.  Limit the response to this reporting period.

Nothing to Report
 or identify and describe technologies or techniques below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Total remaining allowed limit is 8000 characters.

Figure 64: RPPR Section C. Products – Questions C2 & C3

C.4. Inventions, patent applications and/or licenses

Have inventions, patent applications and/or licenses resulted from the award during this reporting period?



If yes to the first question, also answer yes to the second question - ***has this information been previously provided to the official responsible for patent matters at VA-ORD?***

VA-ORD does not use iEdison, therefore reporting of inventions through this system is not needed. Refer to the VA Technology Transfer Program, including information on invention disclosures or Model and Master Cooperative Research and Development agreements, at the following site:

http://www.research.va.gov/programs/tech_transfer/contacts.cfm.

C.5. Other products and resources

C.5.a. Other products

Identify any other significant products that were developed under this project. Upload a PDF attachment describing such products.



Describe the product(s) and how it is available to be shared with the research community and/or Veterans. Do not repeat information provided above. Limit the response to this reporting period.

Examples of other products are: conference abstracts and presentations (list citations only); audio or video products; data and research material (e.g., cell lines, DNA probes, animal models, survey instruments); databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware. If no products were developed under this project, select **Nothing to Report**.

C.5.b. Resource Sharing



If the initial research plan addressed, or the terms of award require, a formal plan for sharing final research data, model organisms, Genome Wide Association Studies data, or other such project-specific data, describe the progress in implementing that plan. For sharing model organisms, include information on the number of requests received and

number of requests fulfilled during this reporting period. If the sharing plan is fully implemented, provide a final statement on data sharing. Upload a PDF attachment of the plan for sharing research data. If no dissemination plan, select **Nothing to Report**.

Figure 65: RPPR Section C. Products – Questions C4 & C5

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.4 Section D – Participants

The RPPR Section D – Participants allows VA-ORD to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations.

D.1. What individuals have worked on the project?



Provide or update the information for: (1) program director(s)/principal investigator(s) (PDs/Pis); 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 the compensation.

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 VA-ORD awards:

Required fields are marked with a **RED asterisk (*)**.

Do not include Other Significant Contributors (OSCs) who are not committing any specified measurable effort to this project.

eRA Commons User ID: Entering the User ID allows selection of “Populate from Profile” which will partially populate the individual’s information. Those with an Administrator role in the eRA Commons may search for user IDs by following the instructions at:

<http://era.nih.gov/commons/commons-help/1001.htm>



Senior/Key Personnel are defined as the PD/PI *and other individuals* who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries or compensation are requested under the award.

Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Senior/Key Personnel. Consultants and those with a postdoctoral role should also be included if they meet the definition of Senior/Key Personnel. Senior/Key Personnel must devote measurable effort to the project whether or not salaries or compensation are requested – “zero percent” effort or “as needed” are not acceptable levels for those designated as Senior/Key Personnel.

Last 4 digits of Social Security number and Month/Year of birth: The provision of the partial Social Security number and month/year of birth are voluntary.

Project Role: PD/PI names and information from their Commons Profile(s) will be prepopulated. To update the PD/PI information as displayed, go to the Commons Profile and save the changes there. For all other personnel, select from a dropdown menu of the following options:

- **Co-Investigator**
- **Faculty**
- **Postdoctoral (scholar, fellow or other postdoctoral position)**
- **Technician**
- **Staff Scientist (doctoral level)**
- **Statistician**
- **Graduate Student (research assistant) – No salary allowed for VA-ORD awards**
- **Non-Student Research Assistant**
- **Undergraduate Student – No salary allowed for VA-ORD awards**
- **High School Student – No salary allowed for VA-ORD awards**
- **Consultant**
- **Other (specify)**

Supplement Support: If personnel are supported by a Reentry or Diversity Supplement indicate type of supplement in this field. Supplemental support is not applicable for VA-ORD.



Person Months: The metric for expressing the effort (amount of time) devoted to a specific project. The effort is based on the type of appointment of the individual with the organization; e.g., calendar year, academic year, and/or summer term; and the organization's definition of such.

Include (1) the PD/PI regardless of effort devoted to the project, 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.

Round to the nearest whole person month that the individual worked on the project. For example, if the individual worked 2.25 person months, indicate 2 person months. If the individual worked 4.7 person months, indicate 5 person months. If the PD/PI worked 0.5 to 1 person month, round up to 1 person month. If the PD/PI worked 0.1 to 0.4 person month, round down to 0 (zero).

Hours per 40 hour work week spent on the project	Calendar Months Effort	Percent Effort (based on 40 Hour Work Week)
1	0.3	2.5
5	1.5	12.5
10	3.0	25.0
15	4.5	37.5
20	6.0	50.0
25	7.5	62.5
30	9.0	75.0
35	10.5	87.5
40	12.0	100.0



Joint University and Department of Veterans Affairs (VA) Appointments.

Calendar months for VA investigators must be based on the VA 40-hr workweek (e.g., a 5/8th VA appointment = 25 hrs/week = 7.5 calendar months). If an individual has multiple appointments their combined effort may exceed 12 calendar months (from the combination of multiple appointments). In all cases, **an individual’s combined total professional effort must meet a test of reasonableness.**

Person months reported on the RPPR are intentionally rounded to the nearest whole number to provide for generalized reporting consistent across Federal agencies that support research activities. Although it is possible to report 0 (zero) person month for the PD/PI on the RPPR if the PD/PI worked 0.1 to 0.4 person month, a PD/PI must have measurable effort. Change in Level of Effort for the PD/PI(s) and other senior key/personnel designated in the VA-ORD Notice of Intent to Award or Funding Letter is reported under D.2.a below.



Is the individual’s primary affiliation with a foreign organization?

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.

D. Participants ?

Tips & Notes:

THE FOLLOWING DOES NOT APPLY TO FELLOWSHIPS.

In the near future, Commons IDs will be required for individuals with the Undergraduate role. Completion of a Commons Personal Profile for these individuals is strongly encouraged now.

In addition, individuals with Undergraduate, Graduate Student, and Postdoctoral roles on a project will be required to complete the following fields in the Commons Personal Profile: Birthdate, Gender, Race/Ethnicity, U.S. Citizenship Status, and Country of Citizenship, or indicate that they do not wish to respond. 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. Completion of these data fields is strongly encouraged now.

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) (PDs/PIs); 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 8.3% 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 Reentry or Diversity Supplement. The Commons ID is strongly encouraged, but currently optional, for all other project personnel.
- Individuals with a postdoctoral-like 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 PHS 2271 Appointment form has been submitted through xTRAIN.
- Required fields are marked with an *.

eRA Commons User ID ?

Populate from Profile

*First Name Middle Name *Last Name

*Senior/Key Personnel? ? Yes No

Last 4 digits of Social Security Number DoB (MM/YYYY)

Degree(s) *Project Role

Supplement Support (SS) ? *Person Months ?

Other (Project Role)

Calendar Academic Summer

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

Add/New Clear

List of Participants													
Commons ID	S/K	Name	SSN	DOB	Degree(s)	Role	Person Months			Foreign Affiliation		SS	Action
							Cal	Aca	Sum	Org	Country		
WRITERJANE	Y	AUSTEN, JANE	1234	02/1959	AB,MD	PD/PI	10	0	0			Not Applicable	Edit
WSHAKESPEARE	Y	Shakespeare, William	4567	08/1962	MD	PD/PI	5	0	0			Not Applicable	Edit

Figure 66: RPPR Section D. Participants – Question D1

D.2. Personnel Updates

D.2.a. Level of effort



Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort from what was approved by VA-ORD for the PD/PI(s) or other senior/key personnel designated in the VA-ORD Notice of Intent to Award or Funding Letter?

Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once approval by the awarding R&D Service within VA-ORD has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level.



A request for approval must be submitted directly to the awarding R&D Service within VA-ORD. Selecting **Yes** does not constitute a request for VA-ORD to approve this reduction. **The RPPR is not an appropriate vehicle to request such a change.** In any case, an explanation in the box below is required.

EXAMPLE: Reduction from 40% effort to 30% effort equals a 25% reduction.

D.2.b. New senior/key personnel

Are there, or will there be, new senior/key personnel?

Senior/Key personnel are those identified by the VA Medical Center as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not salaries are requested. Typically these individuals have doctoral or other professional degrees, although individuals at the Masters or Baccalaureate level may be considered senior/key personnel if the involvement meets this definition. Consultants may be considered senior/key personnel if they meet this definition.

If yes, upload biosketches and other support for all new senior/key personnel.

Follow the biosketch instructions in the competing application guide (VA Application Guide SF424 R&R) and provide active other support for all new senior/key personnel. Combine all biosketches and other support into a single PDF and upload as an attachment.

The screenshot shows a web form interface for RPPR Section D.2.a and D.2.b. Section D.2.a, titled 'Level of Effort', asks if there will be a reduction of 25% or more in the level of effort. It includes radio buttons for 'Yes' and 'No', a detailed explanation of the 25% threshold, and a text area for providing an explanation if 'Yes' is selected. Section D.2.b, titled 'New Senior/Key Personnel', asks if there are or will be new senior/key personnel, with radio buttons for 'Yes' and 'No'. It includes a definition of senior/key personnel and a text area for providing an explanation if 'Yes' is selected. At the bottom, there are buttons for 'Add Attachment', 'Delete Attachment', and 'View Attachment'.

Figure 67: RPPR Section D. Participants – Questions D2a & D2b

D.2.c. Changes in other support

Has there been a change in the active other support of senior/key personnel since the last reporting period?

If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been. List the award for which the progress report is being submitted and include the effort that will be devoted in the next reporting period.

Select **Yes** only if active support has changed for the PD/PI(s) or senior/key personnel.

If a previously active award has terminated and/or if a previously pending award is now active, submit complete Other Support information. Upload a PDF attachment and annotate this information so it is clear what has changed from the previous submission. The changes must be

marked in the text of the application by bracketing, indenting, or change of typography. A vertical bar drawn in the margin may be used as long as changes in text are also indicated by bracketing, indenting or change of typography. Do not underline or shade the changes. Deleted information should be described but not marked as deletions.

Other support information should be submitted only for the PD/PI and for those individuals considered by the awardee to be key to the project for which there has been a change in other support. Senior/key personnel are defined as the PD/PI *and other individuals* who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries or compensation are requested under the award. Do not include other support information for Other Significant Contributors (OSCs); e.g., those that may contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the project.

D.2.d. New other significant contributors

Are there, or will there be, new other significant contributors?

OSCs are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project.

If yes, upload biosketches for all new other significant contributors.

D.2.e. Will there be a change in the MPI Leadership Plan for the next budget period?



Any change in the Multiple PD/PI Leadership Plan requires prior approval by the awarding R&D Service within VA-ORD. ***The RPPR is not an appropriate vehicle to request such a change.***

If yes, upload a revised MPI Leadership Plan that includes a description of the change(s).

All multiple PD/PI awards have a Leadership Plan that describes the roles and areas of responsibility of the named PD/PIs, the process for making decisions concerning scientific directions, allocation of resources, disputes that may arise, and other information related to the management of the proposed team science project. If there has been any change in the governance and/or organizational structure of the Leadership Plan, provide a description, including communication plans and procedures for resolving conflicts, and any changes to the administrative, technical, and scientific responsibilities of the PD/PIs. If the progress report includes a change in the contact PD/PI (*Cover Page, A.1.*) address this change and the impact, if any, the change has on the administrative, technical, and scientific responsibilities of the PD/PIs. A request to change from a multiple PD/PI model to a single PD/PI model, or a change in the number or makeup of the PD/PIs on a multiple PD/PI award, requires prior approval from the awarding R&D Service within VA-ORD. ***The progress report is not the appropriate vehicle to request such a change.***

D.2.c Changes in Other Support ?

Has there been a change in the active other support of senior/key personnel since the last reporting period? Yes No

If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been

D.2.d New Other Significant Contributors

Are there, or will there be, new other significant contributors? Yes No

Other significant contributors are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project.

If yes, upload biosketches for all new other significant contributors

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

Will there be a change in the MPI Leadership Plan for the next budget period? N/A Yes No

Change in status of PD/PI requires prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.6).

If yes, upload a revised MPI Leadership Plan that includes a description of the change(s)

Figure 68: RPPR Section D. Participants – Questions D2c – D2e

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.5 Section E – Impact

The RPPR Section E. Impact will be used to describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period.

E.1. Not Applicable for VA-ORD awards.

E.2. What is the impact on physical, institutional, or information resources that form infrastructure?

Describe ways, if any, in which the project made an impact, or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including:

- physical resources (such as facilities, laboratories, or instruments);
- institutional resources (such as establishment or sustenance of societies or organizations); or
- information resources, electronic means for accessing such resources or for scientific communication, or the like.



In addition, this section should describe the perceived impact of the project (anticipated or observed) on Veterans (e.g., improved quality of care, better outcomes), the VA health care system (e.g., improved management, lower costs) and/or the general public. Also, describe implications for other areas of research or practice such as clinical applications or policy.

Example of Impact Section:

By examining the patterns, barriers, and influences on ambulatory care use by women Veterans with different levels of physical and/or mental health disease burden, the VA may better understand the physical and mental health care needs of women Veterans in

ways that will contribute toward identifying potential health care system gaps and approaches for enhancing VA's ability to meet these needs.

If the award or award component(s) is not intended to support physical, institutional, or information resources that form infrastructure, select **Nothing to Report**.

E.3. Not Applicable for VA-ORD awards.

E.4. What dollar amount of the award's budget is being spent in foreign country(ies)?



Provide the dollar amount obligated for this reporting period. Dollars provided should reflect total costs. If more than one foreign country, identify the distribution between the foreign countries.

Select the **Add/New** button to add the data to the table.

Figure 69: RPPR Section E. Impact – Questions E1 through E4

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.6 Section F – Changes

The RPPR Section F. addresses Changes.



Awardees are reminded that significant changes in objectives and scope require prior approval by the awarding R&D Service within VA-ORD. **The RPPR is not an appropriate vehicle to request such changes.**

F.1. Not Applicable for VA-ORD awards.

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), focusing primarily on their resolution.

Figure 70: RPPR Section F. Changes – Questions F1 & F2

F.3. Significant changes to human subjects, vertebrate animals, biohazards, and/or select agents



Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards and/or select agents during this reporting period. Remember that significant changes in objectives and scope may require prior approval of the awarding R&D Service within VA-ORD. Please consult with the appropriate R&D Service within VA-ORD for its requirements on this issue. 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 differ and provide a new or revised Protection of Human Subjects Section as described in the competing application instructions (VA Application Guide SF424 R&R).

F.3.b. Vertebrate Animals

If there have been 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 site(s) where animals will be used, etc.



For VA-ORD awards, information about approved changes in protocols for use of vertebrate animals is required in the progress report. Note that any request to make a significant change in a protocol for the use of vertebrate animals must first be approved by the local IACUC of Record before the change may be implemented. ***Remember that any significant overall change in a project or its direction requires prior written approval from the awarding R&D Service within VA-ORD. The RPPR is not an appropriate vehicle to request such changes.***

F.3.c. Biohazards

If the use of biohazards is or will be different from that in the previous submission, provide a description and explanation of the difference(s).

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 (VA Application Guide SF424 R&R).

U.S. Select Agent Registry information:

<http://www.selectagents.gov/Select%20Agents%20and%20Toxins.html>

F.3 Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents

Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards, and/or select agents during this reporting period.

Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.). 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 differ 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 site(s) where 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 Animal 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/Select%20Agents%20and%20Toxins.html>

No Change
or upload description of change

Figure 71: RPPR Section F. Changes – Question F3

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.7 Section G – Special Reporting Requirements

The RPPR Section G - Special Reporting Requirements address VA-ORD-specific award terms and conditions, as well as any award specific reporting requirements.

G.1. Special Notice of Award Terms and Funding Opportunity Announcement (FOA)/Request for Applications (RFA) Reporting Requirements



Not applicable for VA-ORD awards. Select Nothing to Report.

G.2. Responsible Conduct of Research



Not Applicable for most VA-ORD awards. See Chapter 7 Supplemental Instructions.

G.3. Mentor’s Report



Not Applicable for most VA-ORD awards. See Chapter 7 Supplemental Instructions.

G. Special Reporting Requirements

G.1 Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements

Address any special reporting requirements specified in the award terms and conditions in the [Notice of Award \(NoA\)](#) or Funding Opportunity Announcement (FOA).

Nothing to Report
or upload file(s)

G.2 Not Applicable

G.3 Not Applicable

Figure 72: RPPR Section G. Special Reporting Requirements – Questions G1 through G3

G.4. Human Subjects

G.4.a. Does the project involve human subjects?



If activities involving human subjects are planned at any time during the next budget period at the VA Medical Center or at any other project/performance site or collaborating institution, select **Yes**. Select **Yes** even if the project is exempt from the Federal Policy for the Protection of Human Subjects (“Common Rule”) and does not require Institutional Review Board (IRB) approval. Select **No** if activities involving human subjects are not planned at any time during the next budget period.

VA-ORD policy on research involving human subjects, including definitions, can be found in the [VHA Handbook 1200.05](#) Requirements for the Protection of Human Subjects in Research.

Is the research exempt from Federal regulations on Human Subjects protections?



An IRB must determine if your research activity is exempt from IRB review and approval. If changes have been made to approved protocols, including inclusion and exclusion criteria, the IRB may need to reevaluate your exemption status.

Does this project involve a clinical trial?



Not applicable unless the answer to G.4.a. is **Yes**. VA-ORD currently uses a definition for clinical trials that is similar to that used by the International Committee of Medical Journal Editors (ICMJE) and the World Health Organization. This definition is “any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes.” If your study meets this definition, then it needs to be registered in order to meet VA-ORD and ICMJE requirements.

Clinical trials are used to determine whether new biomedical or behavioral interventions are safe, efficacious, and effective. Behavioral human subjects research involving an intervention to modify behavior (diet, physical activity, cognitive therapy, etc.) fits this definition of a clinical trial. (See also <http://clinicaltrials.gov/>).

Human subjects research to develop or evaluate clinical laboratory tests (e.g. imaging or molecular diagnostic tests) might be considered to be a clinical trial if the test will be used for medical decision making for the subject or the test itself imposes more than minimal risk for subjects.

Biomedical clinical trials of experimental drug, treatment, device or behavioral intervention may proceed through four phases:

Phase I clinical trials test a new biomedical intervention in a small group of people (e.g., 20-80) for the first time to evaluate safety (e.g., to determine a safe dosage range and to identify side effects).

Phase II clinical trials study the biomedical or behavioral intervention in a larger group of people (several hundred) to determine efficacy and to further evaluate its safety.

Phase III studies investigate the efficacy of the biomedical or behavioral intervention in large groups of human subjects (from several hundred to several thousand) by comparing the intervention to other standard or experimental interventions as well as to monitor adverse effects, and to collect information that will allow the intervention to be used safely.

Phase IV studies are conducted after the intervention has been marketed. These studies are designed to monitor effectiveness of the approved intervention in the general population and to collect information about any adverse effects associated with widespread use.

If yes, is this a NIH defined Phase III Clinical Trial?



For VA-ORD awards, if this is a Phase I, II or III clinical investigation, Select “Yes”.

G.4.b. Inclusion enrollment data.



Unless otherwise notified by the program official, reporting the cumulative enrollment is required for research involving recruitment of human subjects. All studies involving human subject data (even if previously collected) must report the distribution of human subjects by sex/gender, race, and ethnicity (if available).

If there are details or concerns related to your inclusion enrollment progress or if the enrollment data does not reflect the targeted enrollment by race, ethnicity, and/or sex/gender, the reasons for this should be addressed in Section F.3.a. of the RPPR.

Update the inclusion enrollment with the total cumulative enrollment data collected to-date. Awardees can access the inclusion enrollment record(s) in Section G.4.b. by clicking the “Inclusion” link. The link will be available when inclusion monitoring is required.

Awardees may have more than one inclusion enrollment report. If new clinical studies have started and planned enrollment was not previously provided, create a new Planned Enrollment record in the Inclusion Management System. See Figure 74 below.

Refer to the section of this guide titled [Editing Inclusion Enrollment Data](#) for more information.

Guidance for Collecting and Reporting Inclusion Data: Below are instructions for how to collect and report data on the basis of sex/gender, race, and ethnicity with additional guidance for handling subpopulations, non-U.S. populations, and changes to planned enrollment data.

Standards for Collecting Data from Study Participants: The [Office of Management and Budget \(OMB\) Directive No. 15](#) defines minimum standards for maintaining, collecting and presenting data on ethnicity and race for all Federal reporting purposes. The categories in this classification are social-political constructs and should not be interpreted as being anthropological in nature. The standards were revised in 1997 and now include two ethnic categories: Hispanic or Latino, and Not Hispanic or Latino. There are five racial categories: American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, and White. Reports of data on ethnicity and race should use these categories. The definitions below apply for the ethnic and racial categories.

Ethnic Categories:

Hispanic or Latino: A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term, “Spanish origin,” can be used in addition to “Hispanic or Latino”.

Not Hispanic or Latino**Racial Categories:**

American Indian or Alaska Native: A person having origins in any of the original peoples of North, Central, or South America and maintains tribal affiliation or community.

Asian: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

Black or African American: A person having origins in any of the black racial groups of Africa. Terms such as “Haitian” or “Negro” can be used in addition to “Black or African American.”

Native Hawaiian or Other Pacific Islander: A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

White: A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Reporting Data on Race and Ethnicity: Use the above standards and definitions for race and ethnicity to allow comparisons to other Federal databases, especially the Census and National health databases. Federal agencies shall not present data on detailed categories if doing so would compromise data quality or confidentiality standards.

When collecting data on ethnicity and race, as well as sex/gender, use the categories listed to obtain the data from individuals on the basis of self-identification. Participants should be asked to identify their ethnicity and their race. OMB recommends collecting this information using two separate questions, with ethnicity information collected first followed by race, with the option to select more than one racial designation (http://www.whitehouse.gov/omb/fedreg_directive_15). **The NIH inclusion enrollment format is not designed for use as a data collection instrument.** Collect the data using instruments prepared for the study and use the information to complete the inclusion enrollment form(s). Study participants who self-identify with more than one of the racial categories should be reported in the aggregate in the "More Than One Race" category.



Additional Required Information: If total number of human subjects recruited includes non-Veterans, upload a separate inclusion enrollment form with data indicating what percentage (%) of enrolled subjects are Veterans.

Collecting and Reporting Data on Subpopulations: Each ethnic/racial group contains subpopulations that are delimited by geographic origins, national origins, and/or cultural differences. It is recognized that there are different ways of defining and reporting racial and ethnic subpopulation data. The subpopulation to which an individual is assigned depends on self-reporting of specific origins and/or cultural heritage. Attention to subpopulations also applies to individuals who self-identify with more than one ethnicity or race. These ethnic/racial combinations may have biomedical, behavioral, and/or social-cultural implications related to the scientific question under study. The collection of greater detail is encouraged, e.g., on ethnic/racial subpopulations; however, any collection that uses more detail needs to be organized in such a way that the additional categories can be aggregated into OMB categories for reporting data on ethnicity, race, and more than one race. Investigators who have data on subpopulations are encouraged to provide that information in the Comments field of the Inclusion Enrollment Report and/or in the text of their progress report.

Collecting and Reporting Data on Non-U.S. Populations: If conducting clinical research outside of the United States, design culturally sensitive and appropriate data collection instruments that allow participants to self-identify their ethnic and/or racial affiliation in a way that is meaningful in the cultural and scientific contexts of the study. However, investigators will need to use OMB-defined categories for reporting sex/gender, race and ethnicity to VA-ORD (see definitions for each ethnic and racial category above), which will allow for completion of the inclusion enrollment form(s). Since OMB categories reference world-based geographic origin, this should facilitate completion of the form(s).



VA-ORD requires permission by the Chief Research and Development Officer (CRADO) for the use of non-U.S. subjects or biological samples in VA funded research. Enrollment of participants at non-U.S. sites should be reported to VA-ORD on a separate inclusion enrollment form from that for reporting participants at U.S. sites, even if they are part of the same study. For additional guidance related to this topic, please refer to [VHA Handbook 1200.05](#), 56. International Research.

Changes to Planned Enrollment: If there are changes from the planned enrollment originally approved for funding, contact the awarding R&D Service within VA-ORD to discuss updating/revising the planned enrollment, then address the change in Section F.3.a. of the RPPR, and revise the existing Planned Enrollment for that study by clicking the Inclusion link to update the record in the Inclusion Management System.

Reporting Data on Clinical Trials: If conducting a Clinical Trial, report on the cumulative enrollment (as described above) and indicate in Section F.3.a. if any data analysis has begun for the trial. If analysis has begun or data have been published, report any progress made in evaluating potential differences on the basis of sex/gender, racial, and/or ethnicity.



In addition, and if applicable, upload a copy of the most recently approved minutes from the Data Monitoring Committee (DMC) and Institutional Review Board (IRB) of record.

G.4.c. ClinicalTrials.gov

Does this project include one or more applicable clinical trials that must be registered in ClinicalTrials.gov under FDAAA?



VA-ORD clinical trials will continue to be registered and updated using the ART system. For more information, please see the following sites:

Registration of Clinical Trials

http://www.research.va.gov/resources/ORD_Admin/clinical_trials/

Cooperative Clinical Trial Award (CCTA) Program

<http://www.research.va.gov/services/csrd/ccta.cfm>

VA Cooperative Studies Program (CSP)

<http://www.research.va.gov/programs/csp/>

If yes, provide the ClinicalTrials.gov identifier, NCT number (e.g., NCT00654321), for those trials.

See FAQ [When must an applicable clinical trial be registered?](#) If the grant (award) number was entered into [ClinicalTrials.gov](#), the ClinicalTrials.gov identifier (NCT number) may be readily identified by using the ClinicalTrials.gov [Advanced Search](#) and entering the grant (award) number in the *Study IDs* field.

Select the **Add/New** button to add the data to the table.

G.4 Human Subjects

G.4.a Does the project involve human subjects? Yes No

Is the research exempt from Federal regulations? Yes No
If yes, check appropriate exemption number(s).
 E1 E2 E3 E4 E5 E6

Does this project involve a clinical trial? Yes No
If yes, is this an NIH-defined Phase III Clinical Trial? Yes No

G.4.b Inclusion Enrollment Data

Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race. [Click here](#) for complete instructions about this requirement.

Inclusion Enrollment Report

Please click on the link below to view and update inclusion data records associated with this award.

[Inclusion](#)

G.4.c ClinicalTrials.gov

Does this project include one or more applicable clinical trials that must be registered in ClinicalTrials.gov under FDAAA?
 Yes No

If yes, provide the ClinicalTrials.gov identifier, NCT number (e.g., NCT00654321) for those trials.

NCT number

Clinical Trials ID	Action
NCT01234567	Edit Delete

Figure 73: RPPR Section G. Special Reporting Requirements – Question G4

G.5. Human Subjects Education Requirement

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research?



For VA-ORD awards, this refers to personnel newly involved during the current reporting period.

If yes, provide the following:

- names of individuals,
- title of the human subjects education program completed by each individual, and
- a one-sentence description of the program.

G.6. Human Embryonic Stem Cell(s)

Does this project involve human embryonic stem cells?

Only hESC lines listed as approved in the [NIH Registry](#) may be used in VA-ORD funded research.

If yes, identify the hESC Registration number(s) from the NIH Registry.

If there is a change in the use of hESCs provide an explanation.

G.7. Vertebrate Animals

Does this project involve vertebrate animals?



See [VHA Handbook 1200.07](#), Use of Animals in Research, for specific VA-ORD requirements and accreditation information.

G.5 Human Subjects Education Requirement

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research?
 Yes No

If yes, provide the following in the text box below (Limit is 1300 characters or approximately 1/2 of a page.)

- names of individuals,
- title of the education program completed by each individual, and
- a one sentence description of the program

Total remaining allowed limit is 1300 characters.

G.6 Human Embryonic Stem Cells (hESCs)

Does this project involve human embryonic stem cells? Yes No

Only hESC lines listed as approved in the NIH [Registry](#) may be used in NIH funded research.

If yes, identify the hESC Registration number(s) from the NIH Registry

If there is a change in the use of hESCs provide an explanation below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

G.7 Vertebrate Animals

Does the project involve vertebrate animals? Yes No

Figure 74: RPPR Section G. Special Reporting Requirements – Questions G5 through G7

G.8. Project/Performance Sites

If there are changes to the project/performance site(s) displayed, edit as appropriate.



For VA-ORD awards, one of the sites indicated must be identified as the Primary Performance Site. If including a new Project/Performance Site where either human subjects or vertebrate animals will be involved, address the change under Section **F.3.a** or **F.3.b**.

Select the **Add/New** button to add the data to the table.

G.8 Project/Performance Sites

If there are changes to the project/performance site(s) displayed below, edit as appropriate. [?](#)

*Required field(s)

*Organization Name

*DUNS or DUNS+4

*Address 1

Address 2

*City

*State

Province

County

*Country

*Zip Code

*Congressional District (e.g. MD-08 for Maryland, 8th District)

*Is this the primary Project/Performance Site? Yes No

Project/Performance Sites				
Organization Names	DUNS	Congressional District	Address	Action
Primary: PRESIDENTIAL UNIVERSITY	012345678-0000	30	PRESIDENTIAL UNIVERSITY Office of Research Administration, 7777 University Drive, Our Town, MD 98765	Edit Delete
CENTRAL MEDICAL CENTER	012312312-0000	90	CENTRAL MEDICAL CENTER, 4444 Circular Center Drive, Cincinnati, OH 55555	Edit Delete

Figure 75: RPPR Section G. Special Reporting Requirements – Question G8

G.9. Foreign Component

Provide the organization name, country, and description of each foreign component.

Foreign component is defined as significant scientific activity that was performed outside of the United States, either by the awardee or by a researcher employed by a foreign organization, whether or not award funds were expended. The following award-related activities are significant and must be reported:

- involvement of human subjects or research with live vertebrate animals;
- extensive foreign travel by awardee project staff to collect data, or conduct surveys or sampling activities; or
- any awardee activity that may have an impact on U.S. foreign policy.

Examples of other award-related activities that *may* be significant are:

- collaborations with investigators at a foreign site anticipated to result in co-authorship;
- use of facilities or instrumentation at a foreign site; or
- receipt of financial support or resources from a foreign entity.

Foreign travel for consultation does not meet the definition of foreign component.



Although having a Foreign Component is unlikely for VA-ORD funded research, any foreign activity within a project with prior CRADO approval should report under G.9.

Select the **Add/New** button to add the data to the table.

G.9 Foreign Component

"Foreign component" is defined as significant scientific activity that was performed outside of the United States, either by the grantee or by a researcher employed by a foreign organization, whether or not grant funds were expended. The following grant-related activities are significant and must be reported:

- involvement of human subjects or research with live vertebrate animals;
- extensive foreign travel by grantee project staff to collect data, or conduct surveys or sampling activities; or
- any grantee activity that may have an impact on U.S. foreign policy.

Examples of other grant-related activities that may be significant are:

- collaborations with investigators at a foreign site anticipated to result in co-authorship;
- use of facilities or instrumentation at a foreign site; or
- receipt of financial support or resources from a foreign entity.

Foreign travel for consultation does not meet the definition of foreign component.

No foreign component

or provide the organization name, country, and description of each foreign component

Organization Name Country

Description of Foreign Component (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

Figure 76: RPPR Section G. Special Reporting Requirements – Question G9

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?



For VA-ORD awards, if an estimated unobligated balance that will be greater than **2%** of the current fiscal year’s total approved budget is expected, you must inform the specific R&D Service within VA-ORD. Your local R&D or Finance Office should have this financial information.

If yes, provide the estimated unobligated balance.

G.10.b. Provide an explanation for unobligated balance.



In addition to providing an explanation in this progress report, if there is an expected unobligated balance that requires a redistribution of funds, you must contact the specific R&D Service within VA-ORD.

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 Intent to Award or Funding Letter.



For VA-ORD awardees, carryover at the facility is only authorized by VA-ORD Finance.

G.11. Program Income



Not applicable for VA-ORD awards. VA-ORD awardees enter “\$0” for this field on the VA SF424 (R&R) application, therefore, the answer to this question must be “No.”

G.12. F&A Costs



Not applicable for VA-ORD awards. Facilities and administrative (F&A) costs, formerly known as indirect costs and overhead related to facilities operations and general administration, are not covered by VA-ORD award funds. Therefore, the answer to this question must be “No.”

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? Yes No

The "total approved budget" equals the current fiscal year award authorization plus any approved carryover of funds from a prior year(s). The numerator equals the total amount available for carryover and the denominator equals the current year's total approved budget.

If yes, provide the estimated unobligated balance.

G.10.b Provide an explanation for unobligated balance below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is 700 characters.

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](#) (Limit is 1300 characters or approximately 1/2 of a page.)

Total remaining allowed limit is 1300 characters.

G.11 Program Income

Is program income anticipated during the next budget period? Yes No

If yes, use the format below to reflect the amount and source(s)

Anticipated Amount	Source(s)
<input type="text"/>	<input type="text"/>

G.12 F&A Costs

Is there a change in performance sites that will affect F&A costs? Yes No

If yes, provide an explanation below (Limit is 1300 characters or approximately 1/2 of a page.)

Total remaining allowed limit is 1300 characters.

Figure 77: RPPR Section G. Special Reporting Requirements – Questions G10 through G12

NOTE: It is important to click the SAVE button in the navigation bar before leaving a screen (section) in order to retain data entered on that screen.

6.8 Section H – Budget



Not applicable for VA-ORD awards.

7 Supplemental Instructions for Specific Grant Award Types

The *RPPR Instructions* in Chapter 6, Sections A–H, apply to the following awards: I01 (merit) and I21 (pilot/SPiRE). For all other awards, see Table 1 below and applicable supplemental instructions for specific award types that either replace or are in addition to the [Instructions for RPPR Sections A–H](#).

Table 1: Applicable Supplemental Instructions

Applicable Supplemental Instructions	Award Activity Codes
7.1 Career Development Awards (CDA1 and CDA2) and Nursing Research Initiative Awards (NRI)	IK1, IK2 and IK3
7.2 Research Career Scientist Awards	IK6
7.3 Centers of Excellence (COEs), Centers of Innovation (COINs), and Research Enhancement Award Programs (REAPs)	I50
7.4 Program Projects	IP1

7.1 VA-ORD Career Development Award (CDA1 and CDA2) and Nursing Research Initiative (NRI) Award RPPRs

For VA-ORD Career Development Awards and Nursing Research Initiative Awards (i.e., IK1, IK2 and IK3) follow the [Instructions for RPPR Sections A–H](#) in Chapter 6, with the exceptions noted below:

B.4. What opportunities for training and professional development has the project provided?

Describe activities such as teaching, clinical care, professional consultation, service on advisory groups, and administrative activities. Indicate percent of time spent in each of these activities and the relationship to the awardee's research career development.

In addition, provide a description of the awardee's participation in training activities during this period, including formal courses, seminars, data sessions, laboratory meetings, journal clubs, lecture series, etc. Describe basic content as well as frequency of training activities. Identify any variation from that proposed in the awardee's application; explain the reason for the change. Include recommendations for enhancing or improving the training program, if applicable.

Provide a description of the awardee's interactions with mentors, to include frequency, duration, and nature of interactions. Provide examples of the ways in which these interactions were critical to a project or career plan (e.g., resolving a research problem, data generation, establish collaboration, etc.). Identify any variation from the mentor/trainee relationship proposed in the awardee's application, and, if applicable, any changes in the mentor's obligations which could

impact on the trainee. Include recommendations for enhancing or improving the mentor-trainee relationship.

B.6. What do you plan to do for the next reporting period to accomplish the goals?

Provide a timeline for the activities planned for the next year, including plans to apply for subsequent award support.

C.2. Website(s) or other internet site(s) – Not applicable for this VA-ORD award.

C.3. Technologies or techniques – Not applicable for this VA-ORD award.

E.2. What is the impact on physical, institutional, or information resources that form infrastructure? - Not applicable for this VA-ORD award.

G.1. Special Notice of Award Terms and Funding Opportunity Announcement (FOA)/Request for Application (RFA) Reporting Requirements – Not applicable for this VA-ORD award.

G.2. Responsible Conduct of Research

Describe the responsible conduct of research instruction received (or instruction given as a course director, discussion leader, etc.) by formal and/or informal means, during this reporting period. If instruction or participation as a course director/discussion leader occurred in a prior budget period, note the dates of occurrence. Any activities undertaken to individualize instruction appropriate to career stage should be discussed. Address the five components: Format, Subject Matter, Faculty Participation, Duration, and Frequency. Additional detailed guidance on this requirement is found in the competing application instructions (VA Application Guide SF424 R&R).

G.3. Mentor's Report

For mentored awards, provide a letter signed by each of the mentors and Associate Chief of Staff/Research (ACOS/R), in PDF format, assessing the awardee's progress and performance during this reporting period, both in research and in terms of development into an independent investigator in the area of the award. Include information on the availability of support for the candidate's research project during the next budget segment. If required to submit letters from more than one mentor, letters should be assembled in one PDF file.

In addition, letters from an awardee's mentor(s) should contain the following information: 1) any changes from the application in the distribution of the mentors' time in research, patient care, teaching and administration. If there are no changes, the letter should so state; 2) any changes from the application in the mentor's current obligations, including the number of residents, fellows and other trainees who the mentor is currently supervising as well as projected trainees (if there are no changes, the letter should so state); 3) a description of the mentor's interactions with the awardee during the performance period, including the awardee's role in the mentor's research program, the mentor's role in the awardee's research program, formal training experiences completed, the percentage of the mentor's time devoted to the awardee, and the nature and quality of the interactions with the awardee; 4) an assessment of the progress the awardee has made in accomplishing the research objectives of the award; and 5) whether the awardee is compliant with VA-ORD policies as stated in [VHA Handbook 1200.19](#) Presentation of Research Results.

In addition, the letter from the ACOS/R should include a summary of the ACOS/R's observations about the performance of the awardee and recommendations to enhance the program.

7.2 VA-ORD Research Career Scientist (RCS) Award RPPRs

For VA-ORD Research Career Scientist Awards (i.e., IK6) follow the [Instructions for RPPR Sections A–H](#) in Chapter 6, with the exceptions noted below:

B.4. What opportunities for training and professional development has the project provided?

Describe activities such as teaching, clinical care, professional consultation, service on advisory groups, and administrative activities. Indicate percent of time spent in each of these activities and the relationship to the awardee's research career development. For awards that include a requirement to mentor others (e.g., IK6), indicate the percent of time devoted to mentoring activities, individuals mentored during the reporting period, the frequency and kinds of mentoring, financial and other support provided to mentees, and the productivity of the mentoring relationship.

B.6. What do you plan to do for the next reporting period to accomplish the goals? - Not applicable for this VA-ORD award.

7.3 VA Rehabilitation Research and Development Service (RR&D) Centers of Excellence (CoEs) and Research Enhancement Award Programs (REAPs) RPPRs

For Rehabilitation Research and Development (RR&D) Service Centers of Excellence (CoEs) and Research Enhancement Award Program (REAPs) Awards (i.e., I50), submission of progress reports using the RPPR is not available at this time.

7.4 VA Health Services Research and Development Service (HSR&D) Centers of Innovation (COINs) RPPRs

For Health Services Research and Development (HSR&D) Service Centers of Innovation (COINs) Awards (i.e., I50), submission of progress reports using the RPPR is not available at this time.

7.5 VA-ORD Program Project RPPRs

For Program Projects (i.e., IP1) follow the [Instructions for RPPR Sections A–H](#) in Chapter 6, with the exceptions noted below:

B.1. What are the major goals of the project?

List the major goals and/or focus areas of the overall award as stated in the approved application or as approved by VA-ORD. Emphasize the synergy, collaboration and integration of major activities of the award. Report the major goals and/or focus areas specific to a component under

that component. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion.

Generally, the goals will not change from one reporting period to the next. However, if VA-ORD approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the VA-ORD approved application or plan.

B.2. What was accomplished under these goals?

For this reporting period describe for the overall award: 1) major activities; 2) significant results, including major findings, developments, or conclusions (both positive and negative), and 3) key outcomes or other achievements. Include a discussion of stated goals not met. Report the accomplishments of an individual component under that component. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

B.3. Competitive Revisions/Administrative Supplements

For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?

For this reporting period, is there one or more Revision(s) associated with this award or a component under this award for which reporting is required? Yes/No

If yes, identify the Revision(s) by grant number (e.g., 1I50BX123456-01) or title and describe the specific aims for each Revision. If the Revision is associated with a specific component, identify the component. Include any supplements to promote or enhance diversity and re-entry, or other similar supplements to support addition of an individual or a discrete project.

B.5. How have the results been disseminated to communities of interest?

Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.

Reporting the routine dissemination of information (e.g., Web sites, press releases) is not required. If the overall award is not designed to disseminate information to the public or conduct similar outreach activities, select “Nothing to Report.” If there are individual components designed to disseminate information or conduct outreach activities, report those activities under that component. Note that scientific publications and the sharing of research resources will be reported under Products.

B.6. What do you plan to do during the next reporting period to accomplish the goals?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives of the overall award. Report goals and objectives of individual components under that component.

C.5. Other products and resource sharing

C.5.a. Other Products

Identify any other significant products that were developed under the overall award. Report other products and resources resulting from an individual component under that component.

C.5.b. Resource Sharing

If the initial research plan addressed, or the terms of award require, a formal plan for sharing final research data, model organisms, or Genome Wide Association Studies data, or other such project specific data, describe the progress in implementing that plan. For sharing model organisms, include information on the number of requests received and number of requests fulfilled during this reporting period. If the sharing plan is fully implemented, provide a final statement on data sharing. Report resource sharing for an individual component under that component.

D.1. What individuals have worked on the project?

Provide the following information for: 1) program director(s)/principal investigator(s) (PDs/PIs); 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 8.3% of annualized effort). Specify the component(s) on which the individual worked in the appropriate text box. This personnel information is for the entire project.

D.2. Personnel

D.2.a.-e. Personnel questions (D.2.a.-e.) apply to entire project.

D.2.b. New Senior/Key Personnel

If yes, provide biosketches and other support for all new senior/key personnel and identify the component(s) on which the individuals worked or will work.

D.2.d. New Other Significant Contributors (OSC)

If yes, provide biosketches for all new other significant contributors and identify the component(s) on which the individual worked or will work.

F.3. Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents

If there are changes in any of the following areas check the appropriate box and provide a description of the changes. If applicable, report the change under the relevant component.

G.4.c. ClinicalTrials.gov

If yes, provide the ClinicalTrials.gov identifier, NCT number (e.g., NCT00654321) for those trials. Associate the number with the relevant component, if applicable.

8 Assurances/Certifications

The list of Assurances, and Certifications, and other Policies that apply to progress reports submitted to VA-ORD is found listed below are explained in [Part III: Policies, Assurances, Definitions, and Other Information](#).

The policies, assurances and certifications listed below in [Part III](#) may or may not be applicable to the project, program, or type of applicant organization. If unable to certify compliance, provide an explanation and upload it in G.1 Special VA-ORD Notice of Intent to Award or Funding Letter and Funding Opportunity Announcement (FOA)/Request for Application (RFA) Reporting Requirements.

Submission of the RPPR to VA-ORD includes the following certification:

In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies that the grantee organization [*VA Medical Center*] is in compliance with the terms and conditions specified in the Notice of Award and Grants Policy Statement [*VA-ORD Notice of Intent to Award or Funding Letter*] and verifies the accuracy and validity of all administrative, fiscal, and scientific information in the progress report. The SO (or PD/PI with delegated authority) further certifies that the grantee organization [*VA Medical Center*] will be accountable for the appropriate use of any funds awarded and for the performance of the grant- (award-)supported project or activities resulting from the progress report. Deliberate withholding, falsification, or misrepresentation of information could result in administrative actions such as withdrawal of a progress report, suspension and/or termination of an award, debarment of individuals, as well as possible criminal penalties. The grantee institution [*VA Medical Center*] may be liable for the reimbursement of funds associated with any inappropriate or fraudulent conduct of the project activity.

9 Government Use of Information Under the Privacy Act

Privacy Act Statement. VA-ORD maintains application and award records as part of a system of records as defined by the Privacy Act: [VA Handbook 6300.5 Procedures for Establishing & Managing Privacy Act Systems of Records](#) (http://www1.va.gov/vapubs/viewPublication.asp?Pub_ID=489&FType=2).