### Preparing for a RPPR Submission

<table>
<thead>
<tr>
<th>Task</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review current NoA</td>
<td></td>
</tr>
<tr>
<td>Review most current budget and expenditure information. Determine unobligated balance in order to respond to 2590 questions.</td>
<td></td>
</tr>
<tr>
<td>Review last eSNAP if applicable</td>
<td></td>
</tr>
<tr>
<td>Generate Other Support information for senior/key personnel.</td>
<td></td>
</tr>
<tr>
<td>If applicable, review IRB approval and ensure that approval is current.</td>
<td></td>
</tr>
<tr>
<td>If applicable, review IACUC approval and ensure that approval is current.</td>
<td></td>
</tr>
<tr>
<td>Determine if any new individuals are being added to the project and whether or not they are responsible for the conduct, design, or reporting of the research.</td>
<td>All newly added responsible individuals must have a current COI disclosure on file with the COI Office. The COI Office must be informed of all newly added responsible individuals.</td>
</tr>
</tbody>
</table>

### Logging into eRA Commons

<table>
<thead>
<tr>
<th>Task</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Logging Into eRA Commons</td>
<td>- Enter the following website: <a href="https://commons.era.nih.gov/commons">https://commons.era.nih.gov/commons</a></td>
</tr>
<tr>
<td></td>
<td>- Enter your username and password. If you have forgotten your user name, please contact Tracy Coston at <a href="mailto:tracey.coston@yale.edu">tracey.coston@yale.edu</a> or call Tracy at x5-6033. When you log in, please change your password.</td>
</tr>
<tr>
<td></td>
<td>If you remember your user name, but have forgotten your password, click on Forgot Password and enter your username and email address. You will be emailed a new password.</td>
</tr>
</tbody>
</table>
- The RPPR will require a DUNS number (04-320-7562)
- Congressional district (CT-003). All this information is available on the GCA website: [http://www.yale.edu/grants/proposal_dev/facts.html](http://www.yale.edu/grants/proposal_dev/facts.html)

- Once logged in, click on the RPPR tab.
- Click on the hyperlink for the desired grant number on the Manage RPPR screen.
- Click on the Initiate button (at the bottom of the page) to start the process.
- Once the RPPR is Initiated, a message will appear stating, “The RPPR has been successfully initiated.”

### Section A – Cover Page

- Note that information is self-populated from the Commons Profile. Some fields are editable.
- Changes to contact information must be completed and saved in the Commons Profile.

### Section B – Accomplishments

- 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 agency grants official 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 should be entered into the text box for B.1. In subsequent years, if the PI selects Yes the text box under B.1.a for entering revised major goals will be provided.

- What was accomplished under these goals?
  - Goals are equivalent to specific aims. In the response, emphasize the significance of the...
findings to the scientific field. For most NIH awards the response should not exceed 2 pages.

For the period of the RPPR, 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.

<table>
<thead>
<tr>
<th>For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?</th>
</tr>
</thead>
</table>
| If yes, identify the Revision(s)/Supplements(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.

The NoA will indicate any reporting requirements. Be advised that the NoA incorporates requirements of the FOA that may also include reporting requirements. |

<table>
<thead>
<tr>
<th>What opportunities for training and professional development has the project provided?</th>
</tr>
</thead>
</table>
| Indicate “Nothing to Report” only if the research is not intended to provide training and professional development opportunities or there is nothing significant to report during the reporting period.

If there is something 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 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.

<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>What do you plan to do for the next reporting period to accomplish the goals?</td>
<td>Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.</td>
</tr>
<tr>
<td>REMEMBER that significant changes in objectives and scope require prior approval of the NIH.</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
</tbody>
</table>

### Section C – Products

<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
</table>
| 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 NIH 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 you need assistance, please contact Denise Hersey of the Medical Library at:  
• X5-6251  
• Denise.hersey@yale.edu |
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 C.1. 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 they make to 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, visit: Get Started with My NCBI: Access My NCBI, Register, and Sign In

Edit Your My Bibliography Settings (Add a Delegate)

<table>
<thead>
<tr>
<th>Website(s) or other internet site(s).</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technologies or techniques.</td>
<td>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.</td>
</tr>
<tr>
<td>Have inventions, patent applications and/or licenses resulted from the award during this reporting period? If yes, has this information been previously provided to the PHS or to the official responsible for Reporting of inventions through iEdison is strongly encouraged.</td>
<td></td>
</tr>
</tbody>
</table>

03/18/14a.ath 6
<table>
<thead>
<tr>
<th><strong>patent matters at the grantee organization?</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other products</strong></td>
<td>Identify any other significant products that were developed under this project. Describe the product and how it is available to be shared with the research community. Do not repeat information provided above. Limit the response to this reporting period. Examples of other products are: audio or video products; data and research material (e.g., cell lines, DNA probes, animal models); databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware.</td>
</tr>
<tr>
<td><strong>Resource Sharing</strong></td>
<td>PD/PIs and grantee organizations are expected to make the results and accomplishments of their activities available to the research community and to the public at large. For additional information on NIH Sharing Policies and Related Guidance on NIH-Funded Research Resources, see <a href="http://grants.nih.gov/grants/sharing.htm">http://grants.nih.gov/grants/sharing.htm</a>. 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.</td>
</tr>
</tbody>
</table>

### Section D – Participants

| **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.

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.

- 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
- 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 *

**Senior/key personnel** are defined as the PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition.

**Last 4 digits of SS# and Month/Year of birth:** The provision of the partial Social Security number and month/year of birth are voluntary, and the information is used only for program management purposes.

**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)
- Non-Student Research Assistant
- Undergraduate Student
- High School Student
- Consultant
- Other (specify)

**Supplement Support:** If personnel are supported by a Reentry or Diversity Supplement indicate type of supplement in this field.

**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. For instance, some institutions define the academic year as a 9-month appointment while others define it as a 10-month appointment.

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).

To calculate person months, multiply the percentage of effort associated with the project by the number of months of the appointment. For example:

- 25% of a 9 month academic year appointment equals 2.25 (academic year) person months (.25 x 9 = 2.25). Round down to 2.
| Is the individual’s primary affiliation with a foreign organization? | \( \text{Check Yes if the individual’s primary affiliation is with a foreign organization but the individual is working on this award solely while in the U.S. (Could occur if there is a visiting faculty member working on the award.)} \)  
If Yes, provide the name of the organization and country. |
| --- | --- |
| 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 the agency for the PD/PI(s) or other senior/key personnel designated in the Notice of Award, or (2) a reduction in level of effort below the minimum amount of effort required | \( \text{Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once agency approval has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level. Selecting Yes constitutes a prior approval request to the agency and the issuance of a subsequent year of funding constitutes agency approval of the request.} \)  
**IMPORTANT:** The progress report cannot be used as the vehicle to inform the sponsor of a reduction of effort > 25% that has already occurred for any individual named in the award document. A separate letter must be written to the sponsor explaining the reduction and why prior approval was not received. All letters require the approval/signature of GCA. |

- 90% of a 12 month calendar appointment equals 10.8 (calendar year) person months \( (.90 \times 12 = 10.8) \). Round up to 11.
- 35% of a 3 month summer term appointment equals 1.05 (summer) person months \( (.35 \times 3 = 1.05) \). Round down to 1.
- If the regular pay schedule of an institution is a 9 month academic year and the PD/PI will devote 9 academic months at 30% time/effort and 3 months summer term at 30% time/effort, then 3 academic months \( (.30 \times 9 = 2.7, \text{round up to 3}) \), and 1 summer month \( (.30 \times 3 = .9, \text{round up to 1}) \) should be reported.

**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 .1 to .4 person month, a PD/PI must have measurable effort.
<table>
<thead>
<tr>
<th><strong>by the Notice of Award?</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Are there, or will there be, new senior/key personnel?</strong></td>
</tr>
<tr>
<td>Senior/key personnel are those identified by the grantee institution 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.</td>
</tr>
<tr>
<td><strong>If yes, upload biosketches and other support for all new senior/key personnel.</strong></td>
</tr>
<tr>
<td>Follow the biosketch instructions in the competing application guide and provide active other support for all new senior/key personnel. Combine all biosketches and other support into a single PDF.</td>
</tr>
<tr>
<td><strong>Has there been a change in the active other support of senior/key personnel since the last reporting period?</strong></td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>Select <strong>Yes</strong> only if active support has changed for the PD/PI(s) or senior/key personnel.</td>
</tr>
<tr>
<td>If a previously active grant has terminated and/or if a previously pending grant is now active, submit complete Other Support information using the suggested format and instructions found at <a href="http://grants.nih.gov/grants/funding/2590/2590othersupport.doc">http://grants.nih.gov/grants/funding/2590/2590othersupport.doc</a>. Annotate this information so it is clear what has changed from the previous submission.</td>
</tr>
<tr>
<td>Submission of other support information is not necessary if support is pending or for changes in the level of effort for active support reported previously.</td>
</tr>
<tr>
<td>Other support information should be submitted only for the PD/PI and for those individuals considered by the grantee to be key to the project for whom there has been a change in other support. Senior/key personnel are defined as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not a salary is requested. Do not include other support information for Other Significant Contributors; e.g., those that may contribute to the scientific</td>
</tr>
</tbody>
</table>
development or execution of the project, but are not committing any specified measurable effort to the project.

| ☐ Are there, or will there be, new other significant contributors? | 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. |

| ☐ Will there a change in the MPI Leadership Plan for the next budget period? | Change in status of PD/PI requires prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.6). In accord with the NIH GPS, 9.5, revision of the Leadership Plan during the project period may be accomplished through a joint decision of the PD/PIs and reported in the RPPR. Prior approval of a change in the MPI Leadership Plan is not required.  
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 the prior approval of the GMO. The progress report is not the appropriate vehicle to request such a change. |

---

### 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.

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


| What dollar amount of the award’s budget is being spent in foreign country(ies)? | For domestic awardees provide the dollar amount obligated to first-tier subawards to foreign entities for this reporting period. For foreign awardees provide the dollar amount of the award, excluding all first-tier subawards to U.S. entities, for this reporting period.  Dollars provided should reflect total costs.

**If more than one foreign country identify the distribution between the foreign countries.**

Report only cumulative first-tier subawards dollars by country. Do not report foreign travel, purchases, etc., unless part of a first-tier subaward to a foreign country. |

| Section F – Changes |


| Actual or anticipated challenges or delays and actions or plans to resolve them. | Describe challenges or delays encountered during the reporting period and actions or plans to resolve them.

Describe only significant challenges that may impede the research (e.g., accrual of patients, hiring of personnel, need for resources or research tools) and emphasize their resolution. |
### 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.

<table>
<thead>
<tr>
<th>Key</th>
<th>Description</th>
</tr>
</thead>
</table>
| ✔️  | **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. |
| ✔️  | **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. |
| ✔️  | **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). |
| ✔️  | **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. |
# Section G – Special Reporting Requirements

<table>
<thead>
<tr>
<th>Does the project involve human subjects?</th>
<th></th>
</tr>
</thead>
</table>
| **Select “Yes”** if activities involving human subjects, **whether or not exempt** from the Federal regulations for the protection of human subjects, are planned at any time during the budget period, either at Yale or at any other performance site or collaborating institution.  

**Select “No”** if activities involving human subjects are not planned at any time during the proposed budget period.  

Policy on research involving human subjects, including definitions, can be found in the NIH Grants Policy Statement or in the competing application instructions.  

**Research that is exempt:**  
If the activities are designated to be exempt from the regulations, insert the exemption number corresponding to the exemption category.  

**Research that is not exempt:**  
If the planned activities involving human subjects are not exempt, complete the remaining sections. Since Yale has an approved Human Subjects Assurance on file the Assurance number will be listed. Indicate if there has been a full Institutional Review Board (IRB) review for the proposed activities.  

**Human Subject Education:**  
Enter the human subject education information if there are new senior/key personnel that are involved in human subject research. Include a description of the education completed in the protection of human subjects. |
| **Is the research exempt from federal regulations?** | Not applicable unless the answer to G.4.a. is Yes. If all of the proposed human subjects research meet the criteria for one or more of the exemptions from the requirements in the DHHS regulations (45 CFR 46.101(b)), Yes should be selected, and the appropriate exemption number(s) checked. The six categories of research exempt from the DHHS human subject regulations appear in Part III of the competing application instructions, under Definitions, Human Subjects. If in doubt, consult with the Office for Human Research Protections (OHRP), Department of Health and Human Services, or the NIH Office of Extramural Research, Office of Extramural Programs at OEPMailbox@mail.nih.gov. Note that if the proposed research involves only the use of human data or biological specimens, first determine whether the research involves human subjects. The exemptions do not apply if the research does not involve human subjects. For help determining whether research that involves the use of human data or biological specimens is human subjects research, refer to the NIH Research Involving Human Subjects website. |
| **Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research?** | 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. |
| **Does this project involve human embryonic stem cells?** | 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. |
| Does this project involve vertebrate animals? | Select “No” if activities involving animal subjects are not planned at any time during the proposed budget period.  
Select “Yes” if activities involving animal subjects are planned at any time during the budget period, either at the applicant organization or at any other performance site or collaborating institution. |
|---|---|
| If there are changes to the project/performance site(s) displayed on the screen, edit as appropriate. | Note that one of the sites indicated must be the 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 F.3.a or F.3.b.  
If a Project/Performance Site is engaged in research involving human subjects, Yale is responsible for ensuring that the Project/Performance Site operates under an appropriate Federal Wide Assurance for the protection of human subjects and complies with [45 CFR Part 46](http://www.hhs.gov/ohraria/cfda/45cfrpart46.html) and other NIH human subject related policies described in Part II of the competing application instructions and the [NIH Grants Policy Statement](http://grants.nih.gov/grants/policy/grants-policy-statement.html).  
For research involving live vertebrate animals, the grantee organization must ensure that all Project/Performance Sites hold OLAW-approved Assurances. If the grantee organization does not have an animal program or facilities and the animal work will be conducted at an institution with an Assurance, the grantee must obtain an Assurance from OLAW prior to the involvement of vertebrate animals. |
| 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 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; |
| **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?** | ✓ 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. |

| **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.** | 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. |

| **Since awards under SNAP permit carryover, provide a general description of how it is anticipated that the funds will be spent.** | 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. |

| **To confirm carryover authorization, review the Notice of Award.** | To confirm carryover authorization, review the Notice of Award. |

| **Is program income anticipated during the proposed period for which support is requested?** | If yes, provide the amount and source(s). Program Income is defined as gross income earned by the grantee organization, a consortium participant, or a contractor under the grant that is directly generated by the grant-supported project or activity or earned as a result of the award. Program income includes, but is not limited to, income from fees for services performed; charges for the use or rental of real property, equipment or supplies acquired under the grant; the sale of commodities or items fabricated under an award; charges for research resources; registration fees for grant-supported conferences, and license fees and royalties on patents and copyrights. Program income from license fees and royalties from |

| | |
copyrighted material, patents, and inventions is exempt from reporting requirements unless otherwise specified in the terms and conditions of award.

<table>
<thead>
<tr>
<th>☐</th>
<th>Is there a change in performance sites that will affect F&amp;A costs?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>If yes, provide an explanation.</td>
</tr>
</tbody>
</table>

---

**PI/PD Submit the RPPR to Agency**

<table>
<thead>
<tr>
<th>☐</th>
<th>Prior to the PI/PD’s submission of the RPPR to the NIH, the PI/PD must to ensure that the correct information and attachments are provided.</th>
</tr>
</thead>
</table>
| | Completed and validated RPPRs in a status of **Work in Progress** can be submitted to the Agency for acceptance. PD/Pis may submit RPPRs only for SNAP awards and if Yale (GCA) has delegated submit authority to the PI/PD by the SO in GCA.  

**Note**: A PD/PI with Progress Report authority cannot submit a non-SNAP or F RPPR. |

To submit the RPPR to agency:  

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

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.  

- Select the **I Agree** button to sign off on the certification.
Note: The list of Assurances, and Certifications, and other Policies that apply to progress reports submitted to NIH and other PHS agencies is found listed below are explained in Part III: Policies, Assurances, Definitions, and Other Information. Applicants and grantees must comply with a number of additional public policy requirements. Refer to the NIH Grants Policy Statement [http://grants.nih.gov/grants/policy/policy.htm] for additional 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 Notice of Award and Funding Opportunity Announcement Reporting Requirements.

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.

- 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.

GCA Monitoring

PI/PDs should be aware that GCA can determine which progress reports are due through the website located at: [http://era.nih.gov/commons/quick_queries/index.cfm#progress], and will 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 directly to the PD/PI prior to due date.