

NIH RPPR Checklist

Section A. Cover Page

- Most information should load in from eRA Commons including the Award Number, PI name, Title and reporting dates.
- Administrative Official & Signing Official
Make sure that the contact person listed on the RPPR is your current [Post Award Specialist](#).

Section B. Accomplishments

- B.1 Major Goals of the Project
For the first RPPR, the approved specific aims from the funded proposal should be listed here. This information will then load automatically in subsequent RPPR's.
- B.1a Have the majors goals changed since the initial competing award or previous report?
NOTE: The scope of work cannot be changed without prior approval from the sponsor.
- B.2 What was accomplished under the goals?
PI to enter updates. Be sure to describe how your research ensures scientific rigor and reproducibility. If there are milestones/target dates for important activities; identify completion or status.
- B.3 Competitive Revisions/ Administrative Supplements
If a competitive revision or administrative supplement was awarded in the reporting period (or is still active in the reporting period), an update on the progress of the supplement activities is required here. Please also review the supplement Notice of Award (NOA) for any other reporting requirements.
- B.4 What opportunities for training and professional development has the project provided.
If post docs or graduate students are listed in section D as participating on the project in the reporting period, a statement as to whether an individual development plan (IDP) was used should be stated here. If one was not used,

simply state that SBU does not require the use of [IDP's per current institutional policy](#).

- B.5 How have the results been disseminated to communities of interest?
PI to enter updates as needed.
- B.6 What do you plan to do during the next reporting period to accomplish the goals
PI to enter updates. Be sure to describe how your research will ensure scientific rigor and reproducibility.

Section C. Products

- C.1 Publications
If there are publications to report, select "Yes" and ensure that they are associated with this RPPR. The table draws information from the PD/PI's My NCBI account. See [Manage publications](#).
- C.2 Websites or Other Internet Sites
PI to update as needed.
- C.3 Technologies or Techniques
PI to update as needed.
- C.4 Inventions, Patent applications, and/or Licenses
Please consult with SBU's IPP office to determine if anything needs to be reported.
- C.5 Other Products and Resource Sharing
Please review the special terms & conditions of the last NOA to determine if an update is required in the annual RPPR. NIH recipients subject to the 2023 NIH Data Management and Sharing Policy must report activities related to their approved Data Management and Sharing (DMS) Plan in C.5.c. Data Management and Sharing. These recipients must only report on activities related to a Resource

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Sharing Plan in C.5.b when applicable (i.e., sharing model organisms or research tools). If there is a significant change in the DMS Plan, institutional approval must be obtained before uploading to the RPPR. Please consult with your Post Award specialist for guidance.

Section D. Participants

Name all personnel who participated on the project, (including those that are not key/senior personnel) regardless if they were paid or not from the grant. All PIs and key personnel named in the NOA must maintain effort at the approved level. Other key personnel named in the funded proposal should have measurable effort. All key personnel, post docs, graduate students and undergrads who are listed as participants, must have an eRA Commons ID to list in this section. Do not include Other Significant Contributors who are not committing any measurable effort to this project.

- D.1 What Individuals have worked on the project?

Please enter **ALL** personnel that worked on the project for at least one month regardless if they were paid or unpaid from the grant. It is recommended that effort be entered for all key personnel even if effort is less than one month. The system allows for an entry of up to one decimal place.

- D.2 Personnel Updates

- D.2a Changes in Effort

If effort will be reduced by 25% or more for personnel named in the NOA for the upcoming budget period, prior SBU & sponsor approval is required. NOTE: Effort reductions are cumulative.

SBU approval is obtained via a myResearch award modification ([AMR](#)).

- D.2b New Senior/Key Personnel
An AMR is required to add any new key personnel to the project. A current NIH formatted Biosketch and Other Support is needed in the RPPR for any proposed new key personnel.
- D.2c Changes in Other Support
If active support has changed for any of the key personnel since the JIT or last RPPR submission, a revised other support is required. Please review the NIH instructions for preparing [other support](#). Other support documents must be signed digitally and then all the pdf 's [flattened](#) before combining into one PDF for upload to D2C.
- D.2d New Other Significant Contributors (OSC)
A current NIH formatted Biosketch and Other Support is needed in the RPPR for any proposed new OSC's.
- D.2e Multi-PI (MPI) Leadership Plan
Provide an update if there has been a change in the MPI plan (applies only to MPI awards).

Section E. Impact

- E.1 What is the Impact on the Development of Human Resources
Not applicable for most awards.
- E.2 What is the Impact on Physical, Institutional, or Information Resources that form Infrastructure
If the award is not intended to support these resources, please select "nothing to report". If it does, provide an update.
- E.3 What is the Impact on Technology Transfer
Applicable for SBIR/STTR awards only.
- E.4 What dollar amount of the award's budget is being spent in a foreign country? Provide the dollar amount (in total costs) obligated to first-tier

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subawards to foreign entities for this reporting period.

Section F. Changes

- F.1 Changes in approach and reasons for change
Not applicable for most awards.
- F.2 Actual or anticipated challenges or delays and actions or plans to resolve them
PI to update as needed.
- F.3 Significant changes to human subjects, vertebrate animals, biohazards, and/or select agents
- F.3a Human Subjects
If there are changes in the human subject work, please provide a description & explanation. If the changes involve a change in scope, prior sponsor approval is needed.
- F.3b Vertebrate Animals
If there are changes in the use of animals, please provide a description & explanation. If the changes involve a change in scope, prior sponsor approval is needed.
- F.3c Biohazards
If there are changes in the use of biohazards, please provide a description & explanation. If the changes involve a change in scope, prior sponsor approval is needed.
- F.3d Select Agents
If there are changes in the use of select agents, please provide a description & explanation. If the changes involve a change in scope, prior sponsor approval is needed

Section G. Special Reporting Requirements

- G.1 Special notice of award terms and funding opportunities announcement reporting requirements.
Please review the specific terms and conditions section of the NOA and/or the FOA to determine if an answer is required here.
- G.2 Responsible Conduct of Research
Required for certain awards such as NRSA's or other training type grants.
- G.3 Mentor's report or sponsor comments
Required for certain awards such as NRSA's or other training type grants.
- G.4 Human Subjects
Updates to the HS enrollment must be done via the human subjects link in this section or next to the application # in the status screen. This will bring you to the [post submission ASSIST](#) where the actual enrollment information at the time of the RPPR is entered. The status of the ASSIST may need to be updated from "submitted" to "work in progress" in order to edit the enrollment information. Once the information is updated, save and then update the status to "ready for submission" and alert your Post Award Specialist so they can submit and link it to the draft RPPR.
- G.5 Human subjects education requirement
Provide the name of newly involved personnel and the title of the HS education program they've completed with a one line description of the program.
- G.6 Human embryonic stem cells (HESCS)
PI to update if applicable.
- G.7 Vertebrate Animals
If the project involves the use of animals, answer yes.
- G.8 Project/Performance Sites
Be sure that the primary site is listed as State University New York Stony Brook and that the RF of SUNY is also listed.

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Both have the same UEI and congressional district. Please also list any subaward sites along with their UEI and district #. Duplicate entries can be deleted.

- G.9 Foreign Component
PI to update if applicable.
“A Foreign component is defined as significant scientific activity that was performed outside of the USA, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds were expended”. “Foreign travel for consultation does not meet the definition of foreign component”.

G.10 Estimated unobligated balance

- G.10a “Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year’s total approved budget?”
If you have questions regarding your unobligated balance (including associated indirect costs that may be encumbered in RF Report Center) please contact your OGM Sponsored Award Analyst. To find your SAA please check our [website](#).

Note: The NIH will check their payment management system to confirm the answer in this section. Only those costs that have been expensed appear in their system (not the encumbered amount).

- G.11 Program Income
Not applicable in most awards.
- G.12 F&A Costs
PI to update if applicable. Note that an AMR is needed for institutional approval for any change in performance sites.

Section H. Budget

- H.1 Budget (**Only Applicable to Non-SNAP Awards such as cooperative agreements**)
If a rebudget is needed for the next budget period, this will require a myResearch AMR before it can be included in the RPPR submission.
- H.2 Subaward Budget Form
If a subaward is part of the award then a [subaward budget form](#) along with a justification are required.

If there is a change in the subaward or subaward budget that falls outside of our budgeting flexibilities, then a myResearch AMR is required.

Section I. Outcomes

(only required on Final and Interim RPPR)

- I.1 What were the outcomes of the award?
Provide a concise summary of the outcomes or findings of the award.

Final Steps

- Check the RPPR for errors and then alert the Post Award Specialist that the draft is ready for review. Once it has been cleared by the Post Award Specialist, they will ask that you ‘route to next reviewer’.

Routing instructions can be found [here](#).

FOR AOR/SO: COI TE to be done at RPPR draft review