Welcome to Non-Financial Federal Sponsor Reporting and eRPM Manage Deliverables

The webinar will begin shortly.

Please mute your microphone and turn off your video.

Please use Chat to ask questions. Questions will be answered at the end of the presentation.
Today’s Presenters

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College of Engineering

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Government Sponsors
Office of Research & Sponsored Projects
Agenda

- Common Non-Financial Reports
- Importance of Reporting Compliance for Federal Sponsors
- NSF Project Report (RPPR format)
- NIH RPPR Process Overview
- Federal Project Closeout and eRPM Manage Deliverables

The webinar recording, slides and Q&A document will be available on the Navigate Webinars: Past Sessions webpage in a few days.
Sponsor Reporting

- External sponsors provide the majority of funding to U-M in support of the institution’s research enterprise.

- Many sponsors require reports at intervals over the life of a project and/or at project closeout that describe how the money was used and what was achieved in the conduct of the research.

- Some sponsors may also require other “deliverables,” such as a product (e.g., hardware or software), data analysis, surveys, etc.
Many sponsors require an annual and final Progress / Technical Report. These reports update the sponsor about scientific progress, significant changes, personnel, and plans for the subsequent budget period.

*Progress / Technical Reports are sometimes referred to as Research Performance Progress Reports (RPPRs), Project Reports, Scientific Reports.*
Patent / Invention Report

● Many sponsors require the PI and university to report any inventions, discoveries, or other novel commercial developments that were a result of the funded project.

● Some sponsors may require reports even if there is no intellectual property (IP), invention, etc.

The PI submits a written description of the discovery or invention (disclosure report) to U-M Innovation Partnerships.

The sponsor may require interim and/or final patent / invention reports.

Submission method varies by sponsor.
Property Report*

- A Property Report provides an accounting and disposition of equipment purchased with sponsored funds.
- Some sponsors require a report even if there is no property or equipment associated with award (a “negative report”). For example:
  - Department of Defense
  - Department of Energy
  - NASA

*Property Reports are sometimes referred to as Equipment Reports; Inventory Reports.
Reporting Compliance

PIs and the university have an obligation to comply with sponsor reporting requirements.

Compliance means more than submitting a report by the deadline. It also means:

- Timely submission of reports throughout the project lifecycle.
- Inclusion of all information required by the sponsor.
- Submission of the report by the authorized submitter.
- Submission of the report using the required method.
Compliance Best Practice: Read the Award

- A first and critical step in understanding how to comply with the sponsor's reporting requirements is to read the award to identify all reporting requirements *for the specific project*.

- Don’t simply rely on previous experience with the sponsor and assume reporting requirements will always be the same.
### Sponsor Consequences for Non-Compliance - Examples

#### Potential Financial Consequences
- Suspension of payments for costs on the project
- Suspension of payments on other U-M projects funded by the sponsor
- Inability to invoice for cost reimbursable / fixed price projects that are on a payment schedule
- Change in the payment method
- Termination of the project
- Withholding new awards institution-wide

#### Potential Non-Financial Consequences
- Closer monitoring by the sponsor
- Delay in review and processing of proposals
- Termination of the project
- Withholding new awards institution-wide
- Audit findings
The final project report for the award referenced above is now OVERDUE. Please login to Research.gov to prepare and submit the final project report as soon as possible…

Failure to submit timely reports will **delay NSF review and processing** of pending proposals and **processing of additional funding and administrative actions** for all identified PIs/PDs and co-PIs/co-PDs on this award.”
The above referenced grant ended on [date]....

Failure to submit timely and accurate closeout documents may affect future funding to the organization. NIH may apply enforcement actions to institutions that fail to correct recurring reporting problems....

The immediate submission of these reports is imperative. In the absence of acceptable final reports, NIH may need to unilaterally close the award as action of last resort.
According to our records, the following reports are now delinquent…. Please take action to submit the delinquent reports at the designated address and as specified in the subject award.

If you do not achieve compliance or provide us with satisfactory assurances of the initiation of action intended to achieve compliance within thirty (30) calendar days of the date of this notice, **we intend to withhold payment, or invoke any of the other remedies** available in 10 CFR 600 or 2 CFR Part 200, as appropriate.
Federal Uniform Research Performance Progress Report (RPPR) Overview
The RPPR is a uniform format for reporting performance progress on federally-funded research projects and research-related activities.

Each federal agency decides which components of the uniform RPPR will be required.

- The Cover Page and Accomplishments components are mandatory for all agencies.

Resource

- [Research Performance Progress Report (RPPR)](NSF Website)
## RPPR Components

<table>
<thead>
<tr>
<th>Component</th>
<th>General Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A</strong> - Cover Page</td>
<td>Information about the award, principal investigator (PI), institution, and reporting/budget periods.</td>
</tr>
<tr>
<td><strong>B</strong> - Accomplishments</td>
<td>Progress made from past activity period and goals for the upcoming period.</td>
</tr>
<tr>
<td><strong>C</strong> - Products</td>
<td>Outcomes or products (e.g., publications; technologies or techniques) that resulted from the research activities.</td>
</tr>
<tr>
<td><strong>D</strong> - Participants</td>
<td>Name, role, effort of all personnel that worked on the project during the reporting period. This section also asks about collaborators, including foreign collaborators.</td>
</tr>
<tr>
<td><strong>E</strong> - Impact</td>
<td>Used to describe ways in which the project work, findings, and products have had an impact during the reporting period.</td>
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</table>

*Mandatory for all agencies.*
## RPPR Components (continued)

<table>
<thead>
<tr>
<th>Component</th>
<th>General Description</th>
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</thead>
<tbody>
<tr>
<td><strong>F - Changes</strong></td>
<td>Used to report changes to the project (e.g., challenges or delays encountered during the reporting period and plans to resolve them; significant changes to human subjects, vertebrate animals, biohazards, and/or select agents).</td>
</tr>
<tr>
<td><strong>G - Special Reporting Requirements</strong></td>
<td>Used to address agency-specific award terms and conditions, as well as any award specific reporting requirements.</td>
</tr>
<tr>
<td><strong>H - Budgetary Information</strong></td>
<td>Applicable to non-SNAP awards only.</td>
</tr>
<tr>
<td><strong>I - Outcomes</strong></td>
<td>Concise summary of the outcomes or findings of the award, written for the general public in clear and comprehensible language, without including any proprietary, confidential information or trade secrets.</td>
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# RPPR Overview

## Types of RPPRs

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td><strong>Annual</strong></td>
<td>Used to describe a project’s scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.</td>
</tr>
<tr>
<td><strong>Final</strong></td>
<td>Used as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.</td>
</tr>
<tr>
<td><strong>Interim</strong></td>
<td>Used to update the progress of a project any time during or before the award period ends. Requirements vary by sponsor.</td>
</tr>
</tbody>
</table>
RPPR Overview

RPPR Preparation and Submission

- RPPRs are prepared by the PI (or their delegate).
- Some federal agencies such as NSF, DoE, and the Department of Defense (DoD) accept reports directly from the PI in their systems.
- NIH requires that an Institutional Signing Official (i.e., ORSP staff) submit the RPPR through eRA Commons.
RPPR Overview

Typical Information and Materials Needed

- Research Administrators (RAs) assisting in the preparation of the RPPR typically need to gather the following information in advance:
  - Report due date and consequences for late submission
  - Who worked on the project and how much effort
  - What was accomplished or what still needs to be completed
  - Other Support updates, if required
NSF Project Report Overview
NSF Project Reports

- NSF project reports are fully consistent with the federal-wide standard RPPR.

- The following components comprise NSF project reports:
  - Accomplishments
  - Products
  - Participants/Organizations
  - Impact
  - Changes/Problems
  - Special Requirement (if applicable)

Resources

- NSF Research Performance Progress Report (RPPR) Screenshots and Instructions (PDF)
- Format for Use in Submission of Interim and Final Research Performance Progress Reports (NSF Website)
- NSF PAPPG (2023) Section VII-D (NSF Website)
Active Other Support

- If there has been a change in the active other support of the PI(s)/Co-PI(s) since the last reporting period, the PIs/Co-PIs must upload their most up-to-date Current and Pending Support (C&P) document using SciENcv (the required format beginning October 23, 2023).

- C&P support documents not in an NSF-approved format will trigger a compliance error preventing document upload and submission of the annual or final project report.

Resource

- NSF Revised Research Performance Progress Report (RPPR) (ORSP Website)
NSF RPPR Participants Section

Foreign Travel Information

- Indicate if each participant has travelled internationally for this award.
- If Yes, the foreign country(ies) should be identified, as well as the duration of stay (days, months, years).
NSF Project Reports (continued)

- Only PIs and Co-PIs can create, edit and submit project reports in Research.gov.
  - Sponsored projects office staff (i.e., ORSP) and administrative users with read-only access can view project reports.
- All submitted annual and final reports must be approved by an NSF Program Officer to meet the submission requirements.
- Overdue technical reports will hold up yearly increments or new funding for anyone on the project team.

Resource

- About Project Reports (Research.gov Website)
Annual Project Report

- Required for all standard and continuing grants and cooperative agreements.
- Unless otherwise specified in the award, annual project reports are due no later than 90 days prior to the end of the current budget period.
- Failure to submit timely reports will delay processing of additional funding and administrative actions, including, but not limited to, no cost extensions.
Final Project Report

- Required for all standard and continuing grants, cooperative agreements, and fellowships.

- The final report is the last annual report of the project and should be written specifically for the most recently completed budget period.

- Unless otherwise specified in the award, the final project report must be submitted no later than 120 days following the end date of the award.
NSF Project Report Due Dates

Interim Project Report

- Not required but sometimes used to provide an update on the progress of a project.
  - May be monthly, quarterly, or another interval noted in the award.
- It is in *addition to* - not a replacement for - an annual or final report.
- Submitted via email to the NSF Program Officer.
Project Outcomes Report

- A summary report (limited to 800 words) about the nature and outcomes of the project, written for a public audience.

- Submitted in Research.gov.

- Due no later than 120 days following the end date of the award.

Resource

- Project Outcomes Report
RA Best Practices for NSF Project Reports
NSF RA Best Practices

Remind PIs to Reach Out

- Remind PIs that they can feel free to reach out to you if they have questions about information to be entered into Research.gov or need assistance with submitting the report.
Send Reminder Emails About Report Due Dates

- Although the PI receives prompts from Research.gov that a report will be due, offer to send them reminder emails at least 30 days prior to the report due date.
NSF RA Best Practices

Review the Project Report (RPPR) Format with PI

- For PIs new to completing a Project Report (RPPR), offer to walk them through it.
- Share the NSF reference documents to assist them:
  - NSF Research Performance Progress Report (RPPR) Screenshots and Instructions
  - Format for Use in Submission of Interim and Final Research Performance Progress Reports
  - NSF PAPPG (2023) Section VII-D
Participants Section - Project Personnel

- Send the PI a list of all people who have received support from the project.
  - Remind the PI there might be individuals who are working on the project but not receiving support that you (RA) are not aware of - so it’s very important that the PI reviews and updates the list as needed.
NSF RA Best Practices

Participants Section - Calculate Person Months

- Offer to help with calculating the number of person months for each person who has worked at least one person month per year on the project during the reporting period.
- Use whole numbers (round up or down)
Calculate Person Months - Resources

Effort and Cal Months by Project Grant with Temps (BusinessObjects Query)

Effort Calendar Months Conversion Table (Excel File)
Participants Section - Current & Pending Support

- Offer to assist PIs with updating their C&P support, if needed.
- Each PI/Co-PI will need to follow these steps to obtain their certified C&P:
  - Log-in to SciENcv
  - Make sure their C&P support is up to date (including any in-kind support)
  - Download a certified PDF of their C&P
  - Upload the certified PDFs into the Participants section of the report
NSF RA Best Practices

Impact Section - Foreign Expenditures

- Offer to help with calculating any foreign expenditures during the reporting period.
  - Include consultant agreements with foreign individuals and first-tier subawards to foreign organizations only.
  - No other budget categories should be included.
NIH RPPRs Process Overview
NIH RPPR Process Overview

NIH RPPR Resources

- The resources shown here provide instructions and information for preparing and submitting NIH RPPRs.

- The PI can initiate the RPPR process in eRA Commons, but ORSP must actually submit the completed report to NIH.

- In this webinar, we review the U-M process for submitting RPPRs to NIH.

<table>
<thead>
<tr>
<th>NIH RPPR Resources</th>
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</thead>
<tbody>
<tr>
<td>NIH RPPR Instruction Guide (PDF)</td>
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<tr>
<td>Research Performance Progress Report (RPPR) (NIH Website)</td>
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<tr>
<td>Research Performance Progress Reports (RPPR) (eRA Commons Website)</td>
</tr>
<tr>
<td>RPPRs at U-M (ORSP Website)</td>
</tr>
</tbody>
</table>
ORSP posts a comment on the award record (AWD) in eRPM to the PI and RA with instructions and a due date (AWD) 45-60 days before the report deadline.

The instructions indicate which ORSP administrative staff member (not a PR) the RPPR should be routed to in eRA Commons and eRPM.

Unit routes the RPPR in eRA Commons to the person specified in ORSP’s posted comment instructions (administrative staff), and uploads the necessary documents in eRPM two weeks prior to the sponsor due date to ensure time for any back-and-forth edits, questions, and answers.

Unit posts a comment in the Award record (AWD) to the person specified in ORSP’s instructions (administrative staff) letting them know the RPPR is ready for review.
Example of ORSP Posted Comment with Due Date and Instructions

Post a Comment

REQUESTING RPPR – DUE TO ORSP 4/17/2023 Please find attached the instructions and guidelines for completing and routing your RPPR to PATTI WILLIAMS for submission to NIH. When it’s ready to submit in the eRA Commons, please be sure to route to me.

Email Recipients:
- PI Name
- RA Name

Instructions for Preparing and Routing Your RPPR.pdf
KeyPersonnelForm.pdf
ORSP Reviews NIH Annual RPPRs for...

- System-generated Errors/Warnings
- Effort reductions during reporting period that require prior sponsor approval
- **Other Support documents for compliance:**
  - Not overcommitted
  - No expired Active support
  - No zero effort listed on Active support (Exceptions: mentor or consultant roles)
  - In-Kind Section
  - Overlap Statement
  - Signed using NIH-approved method of signature
NIH Annual RPPR Review

Common Issues

● Annual RPPR routed to the wrong OSRP staff in eRA Commons and/or eRPM
  ○ Refer to Posted Comment Instructions
  ○ Ensure that both steps are completed: routed in Commons AND posted comment to the correct ORSP staff

● Missing required attachments with Posted Comment
  ○ Updated U-M Investigator Annual Reporting doc
  ○ Signed Multiple PI statement(s) (if applicable)

● Section D.1 Participants: Effort Reductions during reporting period that require prior sponsor approval
  ○ A prior approval effort reduction requires the appropriate ACR and a request submitted to the sponsor. ORSP will not submit without these steps taken.
Common Issues (continued)

- **Late RPPR submission** to ORSP
  - The ORSP deadline ensures time for our staff to review and send back for changes.

- **Contact** [eRA Commons Help Desk](https://eracommons.org/helpdesk) (not ORSP) for technical issues.

- Late Interim RPPRs and Multi-Year Funded (MYF) Annual RPPRs
  - Interim RPPRs are due 120 days from Project Period End Date ([NOT-OD-17-037](https://grants.nih.gov/grants/policy/nih-directives/NOT-OD-17-037))
  - MYF RPPRs are due annually on or before the anniversary of the budget/project period start date of the award.
  - PTs do not receive reminders, but they are still a term of the award
<table>
<thead>
<tr>
<th>RPPR Type</th>
<th>Reminder?</th>
<th>Who Submits? (i.e. Who to route to in Commons)</th>
<th>How to request submission?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual RPPR</td>
<td>Yes, via Posted Comment</td>
<td>ORSP Administrative Staff</td>
<td>Posted Comment to Assigned Admin Staff</td>
</tr>
<tr>
<td>Annual RPPR for MYF Awards</td>
<td>No</td>
<td>ORSP Administrative Staff</td>
<td>Posted Comment to Admin Staff on the record</td>
</tr>
<tr>
<td>Interim RPPR</td>
<td>No</td>
<td>ORSP Project Rep</td>
<td>Request ORSP Action (Other Action ACR)</td>
</tr>
<tr>
<td>Final RPPR (and Final Invention Statement)</td>
<td>Yes, via email from NIH</td>
<td>ORSP Project Rep</td>
<td>Request ORSP Action (Other Action ACR)</td>
</tr>
<tr>
<td>PRAM/FRAM</td>
<td>Yes, via email from NIH</td>
<td>ORSP Project Rep</td>
<td>Request ORSP Action (Other Action ACR)</td>
</tr>
</tbody>
</table>
eRPM Manage Deliverables
eRPM Manage Deliverables

Background

- eRPM Manage Deliverables is designed to:
  - Promote institutional compliance with terms and conditions of federal award agreements
  - Reduce institutional risk and potential loss of federal funding
  - Improve the timeliness and transparency of the project closeout process

For detailed information, access the Federal Project Closeout and eRPM Deliverables materials available in Canvas.
eRPM Manage Deliverables

Federal Project Closeout and eRPM Deliverables

- eRPM Manage Deliverables functionality is used by ORSP on **federally** sponsored projects to remind project teams of the due date for the following required deliverables:
  - **Final** Progress/Technical Report
  - **Final** Hardware/Software: Anything other than a report
    - Hardware: physical, durable components or equipment
    - Software: program or operating information used by a computer
Email Reminders

- Email reminders are sent to PIs (including Sponsor PI, if applicable), Primary Post-Award Contact, Additional Post-Award Contact at:
  - 60, 30, and 5 days prior to the deliverable due date; and
  - 7, 14, 21, and 28 days past the deliverable due date; or
  - Until the project team performs the “Complete” action on the deliverable.

- Email reminders stop once the Manage Deliverables activity is completed or 28 days past the deliverable due date, whichever is earlier.
  - ORSP continues to notify schools/colleges of overdue reports until completed
eRPM Manage Deliverables

ORSP Responsibilities

- Creates the final deliverable(s) in eRPM for federally sponsored projects, based on agreement terms.
  - Assigns to Project Team
  - Enters Due Date
- Submits final non-financial deliverables when required by the sponsor (e.g., NIH).
- Closes out the AWD record in eRPM when deliverables have been submitted to sponsor.
eRPM Manage Deliverables

Project Team Responsibilities

- PI prepares final deliverables and submits them to the required party/ies per the award agreement (sponsor or ORSP).

- Post-award contact marks deliverable(s) complete using “Project Team Manage Deliverables” activity in eRPM.
  - Enters the date project team submitted deliverable to the required party.
  - Enters the name of the project team member who submitted the deliverable to the required party.
My PI submitted the final report to the sponsor. How do I get the automated deliverable email reminders from eRPM to stop?

Use the “Project Team Manage Deliverables” activity to mark the deliverable(s) complete.
Does ORSP need us to upload a copy of the final report when marking the deliverable complete?

This is not required at this time, but you are welcome to do so if you would like to include it on the record. There is an upload field provided in the “Project Team Manage Deliverables” activity.

We recommend keeping a record in your own files.
This project has not ended, but we keep getting email reminders that the final deliverable is due. We are expecting the next increment of funding for this subaward. Can we just delete the deliverable in eRPM?*

*Most common when we are a subrecipient of a University direct sponsor on a federal prime award.

Do not delete deliverables created by ORSP from eRPM. You are receiving email reminders because the Project End Date currently listed in eRPM is triggering the email reminder based on the due date. This will be resolved once the next Amendment is received and the Project End Date is extended.

Email reminders cease 28 days past the deliverable due date.
Why am I getting deliverable emails? The direct sponsor will submit the RPPR to the federal sponsor, not my PI.*
*Most common when we are a subrecipient of a University direct sponsor on a federal prime award.

ORSP adds deliverables for the final progress/technical report and/or final hardware/software when required by the direct sponsor if they are noted as a term in the Award.

Always check the terms of your award document to see details.
FDP Template Subrecipient Terms Example

Attachment 4
Reporting and Prior Approval Terms

Subaward Number:

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

Technical Reports:

☐ Monthly technical/progress reports will be submitted to the PTE’s [Administrative Contact] within 15 days of the end of the month.

☐ Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE’s [Administrative Contact].

☐ Annual technical/progress reports will be submitted within 60 days prior to the end of each budget period to the PTE’s [Administrative Contact]. Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.

☐ A Final technical/progress report will be submitted to the PTE’s [Administrative Contact] within 60 days of the end of the Project Period or after termination of this award, whichever comes first.

☐ Technical/progress reports on the project as may be required by PTE’s [Administrative Contact] in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.
Are there any federally funded projects excluded from using Deliverables?

VA Interagency Personnel Agreements (IPAs) and any other agreements that do not require a final deliverable as part of their terms are excluded from eRPM Manage Deliverables.
Should I delete the Deliverable if I think it’s been added in error?

Do not delete deliverables created by ORSP from eRPM. Double-check your award terms first and then Request ORSP Action on the AWD record to contact your Project Representative if you believe we have added a deliverable in error.
Can we use the eRPM Deliverables function for annual reports or final deliverables for other sponsors?

Yes - but check first with your unit for guidance on the use of deliverables created by project teams!

- ORSP will only add deliverables for the final progress/technical report and/or final hardware or software for federally-sponsored projects, which should never be deleted.
- Project teams may use the function (if approved by their unit) for any other projects and deliverables to utilize the system-automated email reminders and log.
Questions?
Thank you!

Your Feedback is Important!
Please complete the webinar evaluation survey you will receive via email.

Contact the Navigate Team with questions and comments
navigate-research@umich.edu