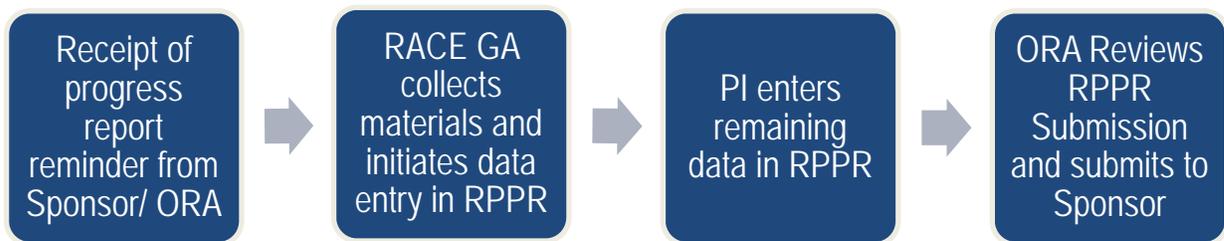


Title of SOP: Non-Competing Continuation (also known as Progress Reports)	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

I. PI Road Map



II. Description and Purpose

Some sponsors require the PI submit a new proposal for each year of the project, even though all years were included in the original proposal. These non-competing continuation proposals (or progress reports) are not subject to competitive review. The purpose of this procedure is to provide guidelines by which these non-competitive proposals (also known as progress reports) are prepared and submitted to the sponsor. The goal of this procedure is to ensure all materials are submitted accurately and in a timely manner.

III. Definitions – See Full Research Administration Glossary

IV. Roles and Responsibilities

Personnel	Responsibility
PI	<ul style="list-style-type: none"> a. Enters all scientific information into RPPR b. Confirms all publications are linked in compliance with the NIH Public Access policy c. Confirms all information has been entered to RACE GA so they may begin routing RPPR
RACE Grants Administrator	<ul style="list-style-type: none"> a. Completes all administrative questions for PI and inputs information into RPPR b. Follows-up on gathering Other Support documents from PI and all Key Personnel, as required by the sponsor c. Completes budget and routes for approvals
ORA	<ul style="list-style-type: none"> a. Runs a report for all progress reports due and sends it to the RACE team mailbox on a monthly basis b. Reviews, approves, and submits RPPR to the sponsor

V. Procedure

- A. ORA will run a report for all progress reports due on a monthly basis and send to each RACE Team via e-mail.



Thomas Jefferson University
Research Administration Center of Excellence
Standard Operating Procedure

Title of SOP: Non-Competing Continuation (also known as Progress Reports)	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

- B. 30 days prior to the due date for an electronic submission (or 45 days prior to the due date for a paper submission), the RACE GA will begin gathering the materials required for the submission of the progress report.
 - C. For paper progress report submissions, the RACE GA will e-mail all materials to ORA for final approval. The detailed process below reflects the NIH RPPR process. The steps may slightly differ depending on sponsor requirements.
 - D. The RACE GA will complete all administrative questions for PI inside the RPPR system.
 - E. The PI will enter the scientific information and confirm routing can begin. It is also the PI's responsibility to link and cite all publications in compliance with the NIH Public Access Policy. Please reference Appendix A for a helpful tool in explaining to the PI which portions of the report they must complete.
 - F. The RACE GA will continue to follow-up with the PI until the RPPR has been appropriately routed to ORA.
 - G. The RACE GA will confirm that the approved protocols are still in place and active. For IACUC, the GA will need to coordinate with ORA to confirm the protocol is still active.
 - a. When verifying active protocols, RACE will also verify appropriate CITI certificates for human subjects training as well.
 - H. The RACE GA will then complete the budget and continue routing for approvals.
 - I. ORA will review all progress report materials. Once approved, they will submit through RPPR.
- VI. Enabling Tools/ Technology**
- A. Research Performance Progress Report (RPPR), which is a module of eRA Commons
 - B. RACE Mailbox (Outlook)
- VII. Reporting**
- A. Report of upcoming progress reports due
- VIII. Appendix**
- A. List of instructions for those fields that must be completed by the PI
 - 1. These instructions are basic and to be used as a guide. RACE Grants Administrators must apply critical thinking in order to make sure requirements are followed, especially when involving technology.
 - B. NIH RPPR Instructions for K Awards
- IX. References**
- A. RPPR Definitions and Instructions: <https://grants.nih.gov/grants/rppr/>
 - B. NIH Public Access Policy: <https://publicaccess.nih.gov/>



Thomas Jefferson University
Research Administration Center of Excellence
Standard Operating Procedure

Title of SOP: Non-Competing Continuation (also known as Progress Reports)	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

Appendix A: List of instructions for those fields that must be completed by the PI:

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

Page Limit: NIH recommended length is up to one page. Limit is 8000 characters or approximately 3 pages. This will be copied and pasted in the RPPR. Pictures, graphs, special formatting, etc. will not paste.

B.2 What was accomplished under these goals? (Provide as a separate PDF document. This will be uploaded.)

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.

Page Limit: 2 pages (Provide as a separate PDF document to upload in eRA Commons.)

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.

Page Limit: NIH recommended length is up to one page. Limit is 8000 characters or approximately 3 pages. This will be copied and pasted in the RPPR. Pictures, graphs, special formatting, etc. will not paste.

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? Yes No

PD/ PIs are required to report all publications that arise from their NIH award in this section, and ensure that all publications are in compliance with the NIH Public Access Policy. Publications that fall under the Public Access Policy and are non-compliant still must be reported. Generally, publications can be brought into compliance within 10 business days; PD/ PIs are advised to do so as soon as possible to ensure their award is renewed in a timely manner.

Any Publication that does not have a PMID (not PMCID) or has an NIHMSID that is older than 3 months is OUT OF COMPLIANCE. Continuations will not be awarded until all publications are in compliance.

F.2 Actual or anticipated challenges or delays and actions or plans to resolve them



Thomas Jefferson University
Research Administration Center of Excellence
Standard Operating Procedure

Title of SOP: Non-Competing Continuation (also known as Progress Reports)	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

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.

Page Limit: NIH recommends one page. Limit is 8000 characters or approximately 3 pages. IF THERE ARE NONE, CHECK NOTHING TO REPORT

Appendix B: NIH RPPR Instructions for K Awards

NIH RESEARCH PERFORMANCE PROGRESS REPORT (RPPR) K AWARD

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

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., K05 and K24), 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.

Page Limit: NIH recommends one page. Limit is 8000 characters or approximately 3 pages. This will be copied and pasted in the RPPR. Pictures, graphs, special formatting, etc. will not paste.

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 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.

Page Limit: NIH recommends one page. Limit is 8000 characters or approximately 3 pages. This will be copied and pasted in the RPPR. Pictures, graphs, special formatting, etc. will not paste.

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.

Page Limit: 2 pages (Provide as a separate PDF document to upload in eRA Commons.)

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



Thomas Jefferson University
Research Administration Center of Excellence
Standard Operating Procedure

Title of SOP: Non-Competing Continuation (also known as Progress Reports)	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

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.

Page Limit: 2 pages (Provide as a separate PDF document to upload in eRA Commons.)

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 grant support. Recipients of transition awards (e.g., K22, K99) should report on progress in identifying an independent research position. Additionally, awardees charged with mentoring others (e.g., K05, K24) should provide information describing planned mentoring activities and proposed mentees (e.g., backgrounds, interests, professional levels, etc.) sufficient to evaluate the quality of the mentoring.

Page Limit: NIH recommends one page. Limit is 8000 characters or approximately 3 pages. This will be copied and pasted in the RPPR. Pictures, graphs, special formatting, etc. will not paste.

C.1 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, and ensure that all publications are in compliance with the NIH Public Access Policy. Publications that fall under the Public Access Policy and are non-compliant still must be reported. Generally, publications can be brought into compliance within 10 business days; PD/ PIs are advised to do so as soon as possible to ensure their award is renewed in a timely manner.

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) and emphasize their resolution. If there are no challenges or delays, check Nothing to Report.

Page Limit: NIH recommends one page. Limit is 8000 characters or approximately 3 pages. This will be copied and pasted in the RPPR. Pictures, graphs, special formatting, etc. will not paste.

G.2 Responsible Conduct of Research



Thomas Jefferson University
Research Administration Center of Excellence
Standard Operating Procedure

Title of SOP: Non-Competing Continuation (also known as Progress Reports)	Effective Date:
	Version Number: 2
Approved By:	Last Updated: September 2019

Describe the responsible conduct of research instruction received (or instruction given as a course director, discussion leader, etc., in the case of senior fellows or senior career awardees) 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.

Page Limit: 2 pages (Provide as a separate PDF document to upload in eRA Commons.)

G.3 Mentor's Report

For mentored K awards, provide a letter signed by the mentor, 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. For applicable career transition awards (e.g., K22, K99), the mentor should describe the awardee's efforts to transition into a permanent research position and the sponsor's contributions to that process. If required to submit letters from more than one mentor, letters should be assembled in one PDF file. For non-mentored K awards, select "Not Applicable."

Page Limit: 2 pages (Provide as a separate PDF document to upload in eRA Commons.)

* *Goals refer to Specific Aims.*