Patti Manheim, Director
April 11, 2013
Today’s Topics

*NIH Research Performance Project Report (RPPR) Update* – Patti Manheim

*NIH Public Access Policy Reporting Requirements* – Patti Manheim and Lisa Federer, Research Informationist, UCLA Biomedical Library

*Routing Progress Reports to OCGA* – Kim Duiker, Assistant Director, OCGA

*Introductions, Goals and Objectives* – Heather Winters, Assistant Director OCGA
NIH RPPR Update

- Progress reports are required annually to document grantee accomplishments and compliance with terms of award. They describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.
- The Office of Management and Budget (OMB) has mandated that federal agencies implement a federal-wide research performance progress report (RPPR) for submission of required annual or other interim performance reporting on grants and cooperative agreement awards to standardize recipient reporting on federally-funded research projects.
NIH RPPR Update

• UCLA was one of seven institutions involved in Pilot beginning in April 2012.
• OMB mandate for federal-wide Research Performance Progress Report (RPPR) to standardize reporting on federally-funded grants and cooperative agreements.
• Replaces the current eSNAP.
  ▪ Will eventually replace paper submissions for training and complex mechanisms.
  ▪ Timeframe TBD due to development of 424 Budget component in RPPR module.
• Electronic submission using NIH eRA Commons.
  ▪ Currently resides in the Commons under the eSNAP tab.
  ▪ eSNAP tab will be renamed shortly to RPPR.
NIH RPPR Update

• Submission of RPPR required for all SNAP and Fellowship progress reports for non-competing awards with start dates on or after July 1, 2013.
  ▪ Report due dates:
    • May 15, 2013 for SNAP eligible,
    • May 1, 2013 for Fellowships.

• CAUTION:
  ▪ Until sometime in July 2013 both the RPPR and eSNAP options are available in the Commons regardless of project start date.
  ▪ The system will not prevent users from starting an eSNAP format report based on start date.
  ▪ No clear guidance from NIH about consequences of submitting eSNAP format for progress reports for non-competing awards with start dates on or after July 1, 2013.
  ▪ If a report is started as eSNAP and needs to be changed to RPPR, contact the Commons Help Desk.
NIH RPPR Update

Resources:
- NIH RPPR Site: http://grants.nih.gov/grants/rppr/
- Your OCGA Grants and Cooperative Agreements Team http://www.research.ucla.edu/ocga/GrantsAssignments.htm
- Cindy Gilbert, OCGA eRA Coordinator: cgilbert@research.ucla.edu 310-267-4814
NIH Public Access Policy Reporting Requirements

Background

The NIH Public Access Policy:

• Ensures that the public has access to the published results of NIH funded research.

• Requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication.

• Requires that publications are accessible to the public on PubMed Central no later than 12 months after publication.
NIH Public Access Policy Reporting Requirements

Applicability

Any manuscript that:

- Is peer-reviewed and arises from:
  - Any direct funding from an NIH grant or cooperative agreement active in Fiscal Year 2008 or beyond, or;
  - Any direct funding from an NIH contract signed on or after April 7, 2008, or;
  - Any direct funding from the NIH Intramural Program, or;
  - An NIH employee

- And, is accepted for publication in a journal on or after April 7, 2008.

- It does not apply to:
  - poster presentations,
  - abstracts, or
  - non-peer-reviewed publications.
NIH Public Access Policy Reporting Requirements

Compliance

- Any application, proposal or reports must include PMC identification number (PMCID) or NIH manuscript number (NIHMSID) in:
  - Biosketches,
  - References Cited,
  - Progress Report Publication List.

For non-competing continuation grant awards with start date of July 1, 2013 or later:

- NIH will delay processing of awards for non-compliance.
  - Previously compliance review was somewhat informal.
  - Now a compliance group appears to be handling the review in a more formal fashion; i.e., e-mail communication from a central e-mail box at NIH.
NIH Public Access Policy Reporting Requirements

- OCGA review of applications and reports only looks for *complete absence* of PMCID numbers.
- Authors are responsible for posting applicable publications in PubMed Central.
- PI’s are responsible for using MyNCBI to enter papers into progress reports.
  - Associated electronically using RPPR.
  - Included in 2590 (paper applications) using My NCBI generated PDF report.
- Reminder: PubMed Central (full text version of manuscripts) is different than PubMed (abstracts only).
NIH Public Access Policy Reporting Requirements

Resources:


• UCLA Library NIH Public Access Policy Site: http://guides.library.ucla.edu/.nih

• UCLA Librarian, Lisa Federer: lmfederer@library.ucla.edu
Complying with the NIH Public Access Policy

Common misconceptions

• Most journals do not automatically submit articles to PubMed Central
• There are often steps the PI must complete in the NIHMS to finish the process
• PIs are responsible for all articles that cite their grant, even if they are not a co-author
• Articles with an embargo period still must be submitted to PMC immediately
How to Determine Compliance

Using MyNCBI My Bibliography

• Must link MyNCBI account with eRA account
• Red, yellow, or green dots indicate compliance status
• Can generate a PDF compliance report
• Limitation: does not include non-compliant articles for which the PI is not listed as an author
• For more help, see http://www.ncbi.nlm.nih.gov/books/NBK53595/
How to Determine Compliance

Search by Grant Number in PubMed

• Enter the full grant number (eg R01 AA234567) followed by [gr] into the PubMed search box

• Articles in PMC will be labeled in results list

• Includes articles by any author, not just PI

• Limited to already published articles

Socioeconomic status in association with metabolic syndrome and coronary heart disease risk.
Kim JY, Kim SH, Cho YJ.
PMID: 23560212 [PubMed] Free PMC Article Related citations
If You are Not in Compliance

- Check NIHMS to see if any submissions are pending
- Ask corresponding authors to address non-compliant articles
- Do not assume you can upload; you may be violating copyright agreement
- SHERPA/RoMEO: information about publishers’/journals’ copyright policies http://www.sherpa.ac.uk/romeo/
- If in doubt, contact publisher
Routing PHS Progress Reports to OCGA

- Necessary to comply with PHS FCOI regulations of August 24, 2012.
- Create consistency within OCGA and the campus research community.
- Avoid unnecessary delays in award receipt and set-up.
# Routing PHS Progress Reports to OCGA

<table>
<thead>
<tr>
<th>Paper Progress Report Submission (PHS 2590)</th>
<th>Electronic Progress Report Submission (RPPR/eSNAP)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What is needed?</strong></td>
<td><strong>What is needed?</strong></td>
</tr>
<tr>
<td>• Complete copy of process report</td>
<td>• PDF copy submitted progress report</td>
</tr>
<tr>
<td>• EPASS</td>
<td>• Page 3 completed for all UCLA investigators</td>
</tr>
<tr>
<td>• Sections 1 through 4 only</td>
<td></td>
</tr>
<tr>
<td>• Leave <em>Proposal Type</em> blank</td>
<td></td>
</tr>
<tr>
<td>• Page 3 completed for all UCLA investigators</td>
<td></td>
</tr>
<tr>
<td>• Signed by <em>all</em> PD/PIs</td>
<td></td>
</tr>
<tr>
<td><strong>When is it needed?</strong></td>
<td><strong>When is it needed?</strong></td>
</tr>
<tr>
<td>• Five business days before it needs to be mailed</td>
<td>• Five days prior to submission</td>
</tr>
</tbody>
</table>
Routing PHS Progress Reports to OCGA

Resources:

• RPC Federal Financial Disclosure Matrix

• List of PHS Agencies
  http://ora.research.ucla.edu/RPC/Documents/PHS_Agency_List.pdf

• Guide Notice NOT-OD-06-058, regarding collection of PI signatures

• EPASS form and instructions
  http://www.research.ucla.edu/ocga/forms.htm
HEATHER WINTERS, Assistant Director

- Responsible for the day-to-day oversight, administration and direct supervision of the OCGA Contract Team - Senior Contract & Grant Officers, Contract & Grant Officers and Contract Specialists.

- With Heather’s tenure at Oregon Health & Science University and OCGA, she brings extensive experience and enthusiasm to this new leadership role.
New OCGA Assistant Director - Goals and Objectives

Participate in current OCGA initiatives and process enhancements

• All roles in the reorganization have now been put in place
• Full utilization of the ‘new’ PATS system
• Streamlining proposal process and continue expediting award process
New OCGA Assistant Director - Goals and Objectives

Staff development

- Develop internal training programs and external training workshops
- Develop a repository of resources and tools to assist with complex contract negotiations
- Recruit and train new officers as needed
- Weekly meetings and mentoring of junior and new staff
- Standardize roles and responsibilities for all OCGA teams
New OCGA Assistant Director - Goals and Objectives

Continue to improve customer service and development of campus/sponsor relationships

- Standardize procedures and processes
- Improved communications by promoting regular meetings between officers and departments
- Website redesign – resources and tools
New OCGA Assistant Director – Contact Information

Heather Winters, Assistant Director
Office of Contract & Grant Administration (OCGA)
MC 951406
11000 Kinross Ave., Suite 211
Los Angeles, CA 90095-1406
Ph: 310.794.0196
Email: heather.winters@research.ucla.edu
http://www.research.ucla.edu/ocga/