Today’s Topics

*NASA Restriction on Funding Activities with the People’s Republic of China – Patti Manheim*

*NIH Research Performance Project Report (RPPR) – Susan Waelder, Cindy Gilbert*
NASA Restriction with PRC

Grant Information Circular (GIC) 12-01 with Assurance of Compliance and Grant Award Provision - Ban on NASA funds used for collaboration with China, any company owned by the People’s Republic of China, or any Chinese-owned company (company incorporated under the laws of the PRC).
NASA Restriction with PRC

Applies to:
- Grants
- Cooperative Agreements
- ROSES 2012 Applications

Does NOT on its face restrict UC researchers who are Chinese from participating in research funded by the award.
NASA Restriction with PRC

OCGA Process:
• Review Scope of Work – Confirm no collaboration or making subaward to Chinese entity.
• Confirm with PI – in writing.
• Restriction in final email with fully executed award.
• Restriction on Synopsis:
  PIs are reminded that per UC policy, Chinese nationals cannot be discriminated against for participation in this project at UCLA. Additionally, PIs are still able to purchase commercial items of supply needed to perform the project from Chinese companies.
NASA Restriction with PRC

OCGA Process:

• **Restriction on Synopsis:**
  - Cannot participate, collaborate, or coordinate bilaterally in any way with China or any Chinese-owned company.
  - At any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.
  - PIs are reminded that per UC policy, Chinese nationals cannot be discriminated against for participation in this project at UCLA.
  - PIs are still able to purchase commercial items of supply needed to perform the project from Chinese companies.
NASA Restriction with PRC – Troubling Language

“In some situations, the restrictions of the Acts may not apply to some Chinese national students, fellows, researchers, faculty, or principal and/or co-principal investigators participating under NASA grants and cooperative agreements provided the individual is not affiliated with the Chinese state to include the Government of the People's Republic of China or entities that are part of or controlled by the Chinese state. However, any situation that involves any participation by Chinese nationals will be reviewed on a case-by-case basis to determine whether restricted funds can be used under the circumstances.”
NASA Restriction with PRC – Troubling Language

• Suggests that there are cases in which the restrictions MAY apply to Chinese national researchers participating in the NASA awards, and that NASA will be seeking information regarding the nationality of people participating in awards in order to do a “case-by-case” assessment.

• That would be a problem with respect to UC’s policy/practice of not releasing individual citizenship information to sponsors.
NASA Restriction with PRC – Troubling Language

- UCOP is continuing review
- Raise to COGR
- Request Higher Education Association to approach NASA directly
RPPR Pilot

- 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 will implement the RPPR electronically through the eRA Commons.
RPPR Pilot

- OMB mandate for federal-wide Research Performance Progress Report (RPPR) to standardize reporting on federally-funded grants and cooperative agreements.
- Electronic submission using NIH eRA Commons.
- Partnering agencies will include FDA, CDC, AHRQ.
- UCLA is one of seven institutions involved in Pilot beginning in April 2012.
RPPR Pilot

- May be used for SNAP and fellowship reporting during initial phase of pilot.
  - Research project grants (R)
  - Institutional Training Grants (T)
  - Research career development awards (K)
  - Individual fellowship awards (F)
- May expand to other mechanisms Summer 2012.
RPPR Pilot

Timeline:

- Preliminary screenshots available now.
- Pilot system goes live April 20, 2012.
- Kick-off Webinar, hosted by NIH, April 26, 2012.
- Reports with due date of May 15, 2012 (July 1, 2012 start date).
- For May 15 reports OCGA will identify and contact potential participants.
- Details for June 15 and July 15 reports pending.
RPPR Pilot

Similarities to eSNAP:

• Report on progress, study results, significance of findings, and significant changes.
• Some information pre-populated from NIH systems.
• Publications in PD/PI’s MyNCBI displayed for easy association with progress report.
• Detailed budget *not* required.
• Compliance information required (human subjects education, inclusion enrollment, embryonic stem cells, etc.).
RPPR Pilot

Differences from eSNAP:

- Separate screens for reporting components:
  - Cover Page
  - Accomplishments
  - Products
  - Participants
  - Impact
  - Changes
  - Special Reporting Requirements
RPPR Pilot

Differences from eSNAP:

• Information entered by
  ▪ Answering questions using checkboxes
  ▪ Text boxes
  ▪ PDF upload
  ▪ Selecting “Nothing to Report”.

• New information includes:
  ▪ Foreign component information
  ▪ Dollars (subawards) spent in foreign countries
  ▪ Organizational affiliation of personnel at foreign sights.
RPPR Pilot

Differences from eSNAP:

-努力在所有人员报告中四舍五入到最近的（向上或向下）整个月人日。
-特殊位置用于报告竞争性修订/行政补充与奖项有关。
-公共访问合规性显示。
-其他支持仅在有变化时需要。
-链接到NOA在报告中。
RPPR Pilot

Advantages in participating:

• Familiarity with the system prior to full implementation.
• Interactivity provides immediate access:
  ▪ MyNCBI – publications
  ▪ eRA Commons - NOA
• Input regarding enhancements prior to full implementation.
• Clear text length recommendations based on guidance from NIH Program Officers.
Navigation bar at the bottom of each screen/section with “Save” button and hyperlinks to other sections/pages.
A. Cover Page

Grant Information

Grant Number: 5R01CA121626-03
Project Title: Cancer Research in Simple Note Abstracting Programs

[Regular, CDA & Ed] A.1 Program Director/Principal Investigator (PD/PI) Information

F] A.1 Fellow Information

Name: Smith, John
E-mail: john.smith@university.edu
Phone: 123-456-7890

[F] Address: 123 Any Street
Your Town MD 21345

Is there a change of contact PD/PI on a multiple-PI award? © N/A © Yes © No
If yes, provide the eRA Commons ID of the new contact PD/PI

Open List of Values (LOV)

A.2 Submitting Official Information

Name: Brown, Jane
E-mail: jane.brown@university.edu
Phone: 123-456-7891

A.3 Administrative Official Information

Name: Brown, Jane
E-mail: jane.brown@university.edu
Phone: 123-456-7891

Fields are pre-populated
B. Accomplishments

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

List the major goals of the project as stated in the approval application or as approved by the agency. If the application lists milestone/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.

☐ (NIH) "Goals" are equivalent to "specific aims." Significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 5.1.2).

List the major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

☐ (NIH) B.1.a Have the major goals changed since the initial competing award or previous report? Yes ☐ No ☐

If yes, list the revised major goals below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

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.
C. Products

☐ C.1 Publications

Enter My NCBI ☐ (?)

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 this award? ☐ Yes ☐ No

If yes, select from the table below to affiliate publications with this progress report. ☐ (?)

<table>
<thead>
<tr>
<th>Associate with this RPPR</th>
<th>NIH Public Access Compliance</th>
<th>Citation</th>
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<tbody>
<tr>
<td>✔</td>
<td>Complete</td>
<td>Metlay JP, Observed association between antidepressant use and pneumonia risk was confounded by comorbidity</td>
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<tr>
<td>✔</td>
<td>In Progress</td>
<td>Hennessy S, Biker WB, Leonard CE, Chittams J, Palumbo CM, Karlwish JH. Yang YX, Lautenbach E, Baine WB, Metlay JP. Observed association between antidepressant use and pneumonia risk was confounded by comorbidity measures. J Clin Epidemiol. 2007 Sep; 60(9): 911-8; PMID:11699607; PMCID: PMC2042508</td>
</tr>
<tr>
<td>✔</td>
<td>Non-Compliant</td>
<td>Merriam NA, Putt ME, Metz DC, Yang YX. Hip fracture risk in patients with a diagnosis of pernicious anaemia. Gastroenterology. 2010 Apr; 138(4): 1330-7; PMID:20026065; PMCID: PMC2954457</td>
</tr>
</tbody>
</table>

Sort Table Above By
☐ Ascending ☐ Descending

Then By
☐ Ascending ☐ Descending

☐ (+) Show publications from My NCBI ☐ (-) Hide publications from My NCBI ☐ (?)
[Regular & CDA] Have inventions, patent applications and/or licenses resulted from the award during this reporting period?  
Yes ☐ No ☐

If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization?  
Yes ☐ No ☐

Reporting of inventions through iEdison is strongly encouraged.

Mechanism-specific questions/instructions
D. Participants

[Regular, CDA & Ed] 0.1 What individuals have worked on the project? [F] 0.1 Not Applicable

[Regular, CDA & Ed] Provide or update the following 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, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort).

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.

[NIH] NIH Instructions

- 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 (salaried)."
- Do not include Other Significant Contributors who are not committing any specified effort.
- Do not report personnel for whom a PHS 2271 Appointment form has been submitted.
- Required fields are marked with an "*".

eRA Commons User ID [?]

*First Name  Middle Name  *Last Name

*Senior/Key Personnel?  ☐  ☐

Last 4 digits of Social Security Number

☐ Yes  ☐ No

DOB (MM/YYYY)

Supplement Support (SS) [?]

☐ Calendar  ☐ Academic  ☐ Summer

* Person Months [?]

Please Select a Role

Other (Project Role)
(NIH) G. Special Reporting Requirements

0.1 Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements

Address any special reporting requirements specified in the award terms and conditions in the [Notice of Award (NoA)] or Funding Opportunity Announcement (FOA).

☐ Nothing to Report
or upload file(s)  Add Attachments

<table>
<thead>
<tr>
<th>Uploaded Files</th>
<th>Action</th>
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<td>File1.pdf</td>
<td>Delete View</td>
</tr>
<tr>
<td>File2.pdf</td>
<td>Delete View</td>
</tr>
</tbody>
</table>


[CDA & F] 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.

[Ed] If required in the FOA for this award, describe the nature of the responsible conduct of research instruction and the extent of participant and faculty involvement. Include a description of any enhancements and/or modifications to the five instructional components (Format, Subject Matter, Faculty Participation, Duration, and Frequency) from the plan described in the competing application. Faculty members who were contributors to formal instruction in responsible conduct of research during the last budget period must be named. Additional detailed guidance on this requirement is found in the competing application instructions.

Link to NOA for Reporting Period
QUESTIONS?