

## Post-Award Reporting Guidance for INBRE Awards

### ANNUAL REPORTING REQUIREMENTS

NIH requires grantees to submit an annual [Research Performance Progress Report \(RPPR\)](#). The RPPR is the application for the yearly non-competing continuation of an award, also known as a “Type 5” year. The report is due **60 days before the end of your current active budget period. The information reported in the RPPR should be for the most recent budget period** (i.e., only the most recent full year of funding) **only, not cumulative**, and must not duplicate progress narratives or publications from prior reporting periods. Refer to the RPPR Instructional Guide [here](#). Grantees should start working on the RPPR early following these instructions to allow enough time to request guidance from NIH staff and handle technical issues during the submission process promptly. If the report is submitted late, if required information is missing, or if there are inconsistencies in the RPPR, the Type 5 award could be issued late as NIH Staff will need to follow up to obtain the missing or clarifying information. Repetitive failure to submit complete or accurate reports on time can lead to administrative actions. **NIGMS has suggested tables to use as a template for reporting progress. For all suggested tables, we have provided definitions and clarifications for fields that help maintain consistency and ensure that RPPRs submitted are able to clearly articulate outcomes relevant to the INBRE goals. If using suggested tables for reporting, upload each as a separate attachment in Question G.1. Special Reporting Requirements of the Overall Component.**

**Question B.2.** of the Overall Component should provide an overview of the progress and activities of the Network. It should include accomplishments of the Network and its participants as well as details on the completion of the proposed Specific Aims. It is especially important to outline how the Network fulfills the goals of the INBRE program.

- Report on accomplishments from INBRE participants including faculty and students and describe the progress in developing the Network’s scientific and academic workforce.
- Attestations are needed in the narrative uploaded for section B.2 for publications involving co-authors from non-IDeA states and with affiliations at foreign institutions. More information is below with the section on publications.
- Describe the outcomes of INBRE-supported investigators and the growth/development of the Network’s institutions. You may use the suggested Table 1 and upload as an attachment under **Question G.1. Special Reporting Requirements**.

**Question B.3. Competitive Revisions/Administrative Supplements Reporting:** Progress reports on all awarded Administrative Supplements are required for the first year when the supplement was funded. If the research activities continue into the next funding period, reporting must also be done in the following year. Progress must be reported in **Question B.3** and information on scientific accomplishments, impact on the research community (e.g., users of new equipment and related grants submitted/awarded), and student involvement and their scholarly activities enabled by the supplement. If additional space is required, or if outcomes are achieved after the supplement award has expired, you may use the Narrative under **Question B.2.** for reporting. Publications resulting from the supplemental funding must be reported in **Question C.1.**

**Question C. Publications and Other Products:** Only report publications from the current reporting period and not from any other budget period. Do not provide a cumulative list of publications to date. All publications listed under **Question C.1 Publications** in the Overall section of the RPPR must have been directly supported with funds from the IDeA grant and cite the IDeA grant parent award. **Do not** report preprints and limit to actual published work. The following are examples of publications that must cite the parent award:

- Publications resulting from IDeA project support: Developmental Research Projects (RPs), Pilot Projects (PPs), and Supplement Projects (SPs).
- Publications from Core staff (including the PD/PI) are related to the IDeA parent grant for which the author used IDeA effort to do the writing.
- If publications have co-authors from non-IDEA states, the PI should include the following statement in the Narrative for the Accomplishments uploaded to section B.2: *For each publication involving co-authors from non-IDEA states, I affirm that all research activities performed outside the IDEA state were supported entirely by non-IDEA funding, and no IDEA funds or resources were exchanged in those activities.* This needs to be explicitly stated in the RPPR.
- If publications have foreign co-authors, the PI should include the following statement in in the Narrative for the Accomplishments uploaded to section B.2: *For each publication involving foreign co-authors, I affirm that all research activities conducted at foreign sites were supported entirely by non-IDEA funding, that no IDEA funds or resources were used or exchanged, and that no Human Subjects or Vertebrate Animal Research was conducted at the foreign site.* This needs to be explicitly stated in the RPPR.
  - Since IDEA award initiatives do not allow foreign components, no IDEA funding may be used to support human subjects (HS) or vertebrate animal (VA) research at foreign sites or to carry out any of the Specific Aims. As such, no publications involving HS or VA research at foreign sites may cite the parent grant except when the IDEA author’s contribution to the publication is solely intellectual (e.g., data analysis or combining data from individual HS/VA studies where the IDEA author’s data was performed exclusively in an IDEA state).

**Question C.4. Inventions, Patent Applications, and/or Licenses:** Report patents and/or inventions as required through [NIST iEdison](#).

**Question C.5. Other Products and Resource Sharing:** If the addition of a new project during the reporting period requires modification of the Data Management and Sharing Plan (DMS Plan), the signing official must submit a revised DMS Plan via Section C.5.c to select “Upload Revised Data Management and Sharing Plan” and follow the provided instructions to complete the required entry. See [NOT-OD-24-175](#), [NOT-OD-24-176](#) and [NOT-GM-24-022](#).

**Question D.1. Overall Participants:** In the summary table under **Question D.1.**, list all participants who have worked on the project for at least 1.0 calendar month in effort during the reporting period. Individuals with multiple roles should report every role that was performed for more than 1.0 calendar month. Use only the following categories:

- PD/PI
- For Trainees, specify as Postdoctoral, Graduate Student, Undergraduate Student, or High School Student
- Consultant (includes EAC, SC and EC members if effort  $\geq$  1 month)

For all other roles, use only the following designations:

- Other – Program Coordinator
- Other – Core Lead
- Other – Mentor
- Other – Preceptor
- Other – Project Leader (indicate as RP, PP, or SP Leader)
- Other – Network Institution Coordinator
- Other – Admin Staff
- Other – Research/Core Staff

Do not create categories other than those listed above. As a reminder, a Commons ID is required for all trainees with a postdoctoral, graduate, or undergraduate role who work on the project for at least one person month or more ([NOT-OD-13-097](#)). While not required, other project personnel are encouraged to have their own Commons ID.

**Question D.2a. Level of Effort:** In accordance with the [NIH Grants Policy Statement](#), reductions in the level of effort by the PD/PI and those key personnel specifically named on the Notice of Award (NoA) require prior approval. This question is used to request effort changes starting in the next budget period. It should not be used to inform NIH of previously

approved reductions in effort or as retroactive changes that should have been submitted as prior approval requests. Select “Yes” if:

- Prior approval is being requested to reduce the level of effort of key personnel by more than 25% or to reduce below the minimum effort required in the NoA effective with the start of the next budget period, or
- The PI is requesting removal of key personnel listed on the NoA effective with the start of the next budget period.

**Question D.2c. Changes in Other Support:** Select “Yes” if there have been changes to other active and pending support for the PD/PI or for senior/key personnel. Upload any changes to other support following the instructions in <https://grants.nih.gov/grants/forms/othersupport.htm>. Senior/key personnel are those who contribute in a substantive and measurable way to the scientific development and execution of the work and must include the PD/PI, Program Coordinator, Bioinformatics Core/Data Science Core Director and anyone else named on the Notice of Award in addition to those personnel identified by the grantee as senior/key personnel. Only include the other support for individuals who have had changes.

**Question F.3.a. Significant Changes to Human Subjects:** Inclusion Enrollment Reports (IERs) must be updated every year in the NIH Human Subjects System (HSS) and completed projects finalized. Add a comment in the appropriate component in **Question F.3.a.** if there are unusual circumstances that affected enrollment (e.g., high or low participant enrollment, recruitment delays, etc.). As a reminder, for INBREs funded after 2019, updates must include data on [Inclusion Across the Lifespan](#). Type 5 awards cannot be made until all issues with human subjects, clinical trials, or HSS data are resolved. See **Human Subjects tips** section below.

**Question G.1. Special Reporting Requirements:** The following attachments corresponding to the Overall Component of the grant should be uploaded onto this section.

- **External Advisory Committee (EAC):** Submit the EAC report as an attachment here. The report must clearly indicate the name, title, and institution of each active EAC member. The EAC evaluation should include an overview of the progress and strengths of the INBRE and its Cores, areas for improvement, the DRP and PP pipeline plans, and approval for all proposed changes to the INBRE organizational structure (including cores and core directors).
- **INBRE Funding Accomplishments:** Grantees should report details on grant applications that were submitted by and awarded to Network participants during the current budget period. See suggested Table 1 that you may use as a template.

**Suggested Table 1: Funding Accomplishments.** If an application is submitted and funded in the same budget period, report it only once, under # New/Renewal Awards Funded.

**Table 1A:** Enter the number of grant applications that were submitted in the current budget period, the number that were funded, and the dollar amount (total costs) of the awards.

**Table 1B:** Enter the number of grant applications that were submitted or awarded, and the total awarded amount for the following program participants: Developmental Research Project Leaders (RPLs), Pilot Project Leaders (PPLs), Supplement Project Leaders (SPLs), Core Staff (include the PD/PI in this tally), and Others associated with the Network. Only include Project Leads who have been supported during the grant’s current 5-year period of performance.

Table 1A: Funding Accomplishments for Lead and Partner Institutions				
	NIH	Federal, non-NIH	Non-Federal Sources	Total
# Applications Submitted				
# New/Renewal Awards Funded				

Total Award Costs (entire period of performance)				
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Table 1B: INBRE Funding Accomplishments by Role for This Reporting Period					
<i>Breakdown of Table 1A by Role</i>	RPLs	PPLs	SPLs	Core Staff	Others
# Applications Submitted					
# New/Renewal Awards Funded					
Total Award Costs* (entire period of performance)					

Note:

- \* Report total award costs from the New/Renewal Awards (not applications).
- This is Return-On-Investment (ROI) – only count awards once and do not include on future RPPRs. You can report applications more than once only if they reapplied.
  - o Do not include the IDeA parent grant.
  - o Do include supplements to the IDeA parent grant.
- If funded as Multi-PI, Co-PI, Collaborator or subawardee, report the portion for the INBRE investigator and not the total award.
- Table 1C can include anyone who held these roles during the current 5-year period of performance.
- When reporting funding for Core Staff, it should only be reported if it is related to IDeA support. For example, equipment grants.
- “Other” Category encompasses those that benefitted from the grant, but not as a project lead. Examples could be recipients of core service awards/vouchers.

Section G.1. of the Overall Component is also where attachments related to other components must be uploaded. The suggested tables for other components include:

- **Student Participation in Research and their Outcomes:** See suggested Table 2 for reporting on Administrative Core activities.
- **Education and Outreach Activities:** See suggested Table 3 for reporting on these activities, which are managed by the Administrative Core. Details should be provided in the Narrative (Section B.2) of the most appropriate Core.
- **Core Use:** See suggested Table 4 that may be used for all Cores except the Administrative Core. The first Core will be Table 4, the next Core will be Table 5, etc.

**Question G.8. Project/Performance Sites:** If there are changes to the participating institutions of the INBRE Network, edit as appropriate.

**Question G.10. Estimated Unobligated Balance:**

The grantee must indicate whether the estimated unobligated balance (including any authorized prior-year carryover) at the end of the current budget year is expected to be greater than 25% of the current year’s total approved budget. The total approved budget equals the current fiscal year award authorization plus any approved carryover of funds from a prior year(s). The numerator equals the total amount available for carryover and the denominator equals the current year’s total approved budget. If the answer to the question is “yes”, the grantee must provide the estimated unobligated balance, an explanation for the unobligated balance, and outline plans for its expenditure in the new budget year. INBRE awards do not have automatic carryover. This question cannot be used as a prior approval request for carryover. NIGMS staff will assess the available unobligated balance for each individual award based on the most recently approved FFR in addition to any estimated unobligated balance reported in G.10 of the RPPR. Note that the FFR reports the *actual* unobligated balance

that has accumulated since the start of the grant’s five-year cycle and not the estimated balance reported in the RPPR. Funds awarded may be reduced or offset as necessary in cases where the award has had a history of large unobligated balances that have accumulated, per the [NIH Grants Policy Statement](#).

**Individual Components – General Information: Components should auto-populate.** In the component title, verify/edit the component type, subproject number, and last name of the lead individual on that component. In the rare event that a component does not exist, you will need to create one, **but do not create separate components for the projects supported by the Developmental Research Program (RPs or PPs) or any administrative supplements (SPs) – these do not get reported as individual components.** To create new Cores, use the format and examples below:

- Component name #####-LeadLastName
- “Genomics Core 5678-Jones”

**Administrative Core (AC):** Grantees must report on the administrative activities of the Network. The Administrative Core Narrative (**Question B.2**) should detail the progress in accomplishing the proposed Specific Aims of the Network, including the scientific and career development goals of RPLs and PPLs, Student Research Program and its outcomes, the research resources made available to Network investigators and students, science curricula enhancement, any outreach activities such as symposia, workshops, seminar series and retreats, and an overall evaluation and plan for improvement in subsequent years. You may also include any testimonials and qualitative description of the impact of the program and information on students who remained in STEM fields, if known. See suggested Tables 2 and 3 to provide specifics on student participation and the education/outreach activities conducted during this budget period and their outcomes. Upload each table as a separate attachment in **Question G.1. Special Reporting Requirements** of the **Overall Component**.

**Suggested Table 2. Student Participation in Research and Outcomes.**

**Table 2A: Student Participation in Mentored Research Experiences.** Include students in mentored-research experiences who were supported by INBRE during this reporting period and only include a student once. Do not include students who only participated in INBRE-supported webinars, conferences or workshops; these should be reported separately – see Suggested Table 3.

**Table 2B: Undergraduate Students Participating in Other Research and Research-Related Experiences.** This table reports students who are engaging in specific research experiences through Course-based Undergraduate Research Experiences (CUREs) across the Network and/or presenting their research at local and national meetings.

**Table 2C: Outcomes of Undergraduate Students Participating in Research.** This table should report numbers of undergraduates completing degrees and moving on to next steps in this budget year only – the period the RPPR covers.

Table 2A. Student Participation in <i>Mentored</i> Research Experiences*			
Students	# in summer research experience	# in academic year research experience	# of unique students (removing duplicates from summer and academic year experiences)
Graduate			
Undergraduate			
High School			

Table 2B. Student Participation in Research –Related Activities		
Activity	# of students	# of activities (i.e.,

	participating in activity	CUREs, presentations)
<b>Course-based Undergraduate Research Experiences (CUREs)</b>	# of students who participated in CUREs	# of CUREs
<b>Presentations</b>	# of students who participated in presentations	# of presentations

<b>Table 2C: Outcomes of Undergraduate Students Participating in Research</b>	
1a. Total number of INBRE-supported undergraduates <u>who completed an Associate's degree or similar degree in this budget period</u>	
1b. Of the students above: Number who transitioned into Bachelor's degree programs	
2a. Total number of INBRE-supported undergraduates <u>who completed a Bachelor's degree or similar degree in this budget period</u>	
2b. Of the students above: Number who transitioned to biomedical graduate or health professional schools	
3. Of all the students above who completed degrees and are not enrolled in further degree-granting programs at this time:	
3a. Number who are working in a research-focused position in a STEM-related field	
3b. Number who are working in a non-research related position in a STEM-related field	

**Note:**

*Table 2A should NOT include students who only participated in webinars, conferences or workshops. \*If a student participated in both a summer program and an academic-year program, they should be counted only once.*

*Table 2B If a student participated in a summer program and in a CURE program, they should be counted in both tables.*

*Table 2C If a student completed a degree at the undergraduate level (Associate's or Bachelor's) and is not currently enrolled in a further degree-granting program, include them in the final two rows collecting current career outcomes.*

**Suggested Table 3: Education and Outreach Activities:** Include any education or outreach activities conducted during the current reporting period. Indicate the type of activity such as symposia, seminars, workshops, webinars, conferences, and retreats. List the core or institution that led/offered the activity, the delivery method (I=In-person, V=Virtual, or H=Hybrid), and the # of participants by role.

<b>Table 3. Educational and Outreach Activities</b>				
Activity Type	Activity provider (Core or Institution)	Delivery Method (I, V, H)	# of Faculty/Staff Participants	# of Student Participants

<i>Add rows as needed</i>				

**Other Cores:** Each Core must be reported as an individual component. A scientific core Narrative (**Question B.2**) is expected to contain core-specific information and must not be duplicative of reporting included in other components. It should include a description of the annual userbase, methods employed to increase the numbers of users, any fee structures in use, support from other entities (other IDeA programs, other grants, or organizational support, expansions/reductions in services offered, and personnel changes, if any). For each Core except the Administrative Core, you may use the suggested Core Table template (Table 4) to report the number of users, services/technology provided, and whether core use led to grant submissions, coursework, and/or publications. Number the tables sequentially and indicate the name of the Core. PIs should encourage core users to cite the grant number in their publications and report those under **Question C.1 Publications** in the **Overall component**.

**Suggested Table 4: Core Use.** Complete this table for each Core except the Admin Core. The first Core listed will be Table 4, the next will be Table 5, etc. Enter the data indicated for each Project that made use of Core services. Provide the type of user, the name of the project, the technology/instrumentation/service used, the number of individual users per project, the number of student users, and whether core use contributed to a grant application, coursework, or a publication listed in Overall Question C.1; an example for the last column is 2G, 1C, 2P. Note that all grantees must cite any grants funded with Health and Human Services (HHS) money that supported their work in their publications and presentations.

**Core Name** \_\_\_\_\_

Table 4. Core User and Type: RP or PP lab, Other Network User, External User. A User may be listed more than once if different projects were supported.	Project Name	Technology, instruments, or services used	Number of individual users per project	Number of student users (all levels)	Number that contributed to grant applications (G), Courses (C), or publications (P) listed in Overall C.1.
<i>Add rows as needed</i>					
<b>Total Projects</b>		<b>Total Users</b>			

**Developmental Research Project Program (DRPP):** An individual component report for the DRPP as a whole must be provided, and should include the number of applications received, number of RPs or PPs funded, number of projects completed over the budget year, and the distribution across the Network’s institutions. INBRE PIs should not create separate components to report on individual RPs and PPs. Instead, progress for RPs and PPs should be reported in the **Narrative (Question B.2)** of the **DRPP component**. For each individual RP and PP, list the name of the Project Lead (indicate RP or PP), institution, the start date of the project, whether the work is “ONGOING” or has “ENDED AS OF MM/DD/YYYY,” and include a 2-4 paragraph summary of the project, including any accomplishments or issues, and any outcomes to date.

Note: You may continue to report new outcomes for RPs and PPs even after their research funding has ended. Publications unrelated to INBRE may be listed under each progress report if it demonstrates RPL/PPL research. Reporting the progress for a PP funded entirely with non-INBRE funds (i.e., institutional funds) is not required but may be included. The RPPR cannot be used to request new RP or PP projects. Those requests must be sent in as separate prior approval requests.

**Note about Interim/Final RPPR:**

An Interim or Final RPPR must be submitted **within 120 days after the end of the project period**. The information reported in the Interim/Final RPPR should pertain only to the final year and no-cost extension period (if applicable) and must not duplicate progress narratives or publications from prior reporting periods. Please refer to the [Interim RPPR](#) instructional

guide. The Interim/Final RPPR report does not include separate sections for cores or individual projects. Reporting for both the cores and projects should all be provided in the “Overall Section”. A key component of the Interim RPPR is the Project Outcomes summary, which provides information on the cumulative outcomes or findings of the project. These outcomes are **made public through NIH RePORTER**. Additional information can be found [here](#).

**Prior Approval Requests for all research projects and pilot projects:**

These requests must be submitted separately from the RPPR.

**1) Tips for RPs and PPs that do not involve Human Subjects (HS) or Vertebrate Animals (VA) research:**

Prior approval is no longer required for projects that do not involve HS or VA research, however official notification must be submitted to NIGMS staff with appropriate documentation at least 14 calendar days prior to the planned project start date. For additional information and instructions, please see:

<https://www.nigms.nih.gov/Research/DRCB/IDeA/Pages/inbre-pilot-projects.aspx>

**2) Tips for RPs, PPs, and/or Cores with Human Subjects (HS) or Clinical Trial (CT) research:**

**A. HSS Data:** Study Records and Inclusion Enrollment Reports (IERs) must be entered into HSS as part of the DRP and PP prior approval request.

- When initially entering HSS data for non-trials, use descriptive titles like “PPL Last Name-Project Title” and/or a comment so that it is easy to identify the DRPL, PPL, or in rare cases, the Core that is associated with the study record.
- Make sure HSS Study Records for clinical trials include only aims related to the trial and use the name that will be submitted to [clinicaltrials.gov](http://clinicaltrials.gov) (do not use the PPL or DRPL name in the title). Instead, indicate the name of the DRPL/PPL in the comment section.
- With the exception of the DRPL or PPL name, the Study Record title and the Project Title should match the IRB protocol title or other IRB documentation.
- Study Records for new PPs should be entered under the appropriate administering component: all RP and PP records are entered under DRPP core component, and all supplements are entered under the Administrative Core component.
- If the approval is an amendment to an existing protocol with a different title and/or investigator, the project package must include documentation from the IRB indicating that the IRB approval covers the proposed project.
- To edit a Study Record or IER in HSS, its status must first be changed from “Submitted” to “Work in Progress” by the Signing Official or designated alternate. Then click the Edit Study button and open the tab with the name HSCT Post Submission. You will be able to edit responses to the HS/CT Questions, delete an attachment, and upload a new one. The SO (or alternate) will then need to submit the revised record for the changes to be visible to the NIH. Program staff are alerted by email when a change has been submitted by the SO.

**B. IRB Approvals:** Applicants must submit a formal [IRB approval or exemption determination letter](#) for any project involving human subjects. It must be an active IRB approval. Pending or expired approvals are not acceptable. IRB approvals can be swiftly reviewed if the letters include:

- The Study Lead's name
- Study Title and HSS Study Record number
- The NIH HS Research Exemption Code (not the review category code), if applicable
- A statement that the study is a clinical trial, if applicable.

**C. Common issues with RPs and PPs that include human subjects (HS) research or clinical trial research:**

- Missing HS-related information and/or inclusion enrollment data that is included in the narrative of the proposal but not entered into HSS. Refer to eRA HSS training resources [here](#).
- Reports with enrollment data that have not been updated or finalized or that do not align with the research narrative provided in the RPPR or existing HS records (e.g., enrollment that exceeds planned enrollment by more than 25%, a planned enrollment for a secondary analysis, planned/actual enrollment = zero).

- Reports of HS activity on a grant that is not approved for HS work and/or is specifically restricted from HS work due to missing IRB or similar documentation.
- Not including AOR assurance of human subjects education certification, which is required for all personnel involved in the study for both non-exempt and [exempt applications](#).
- Not including a current [Good Clinical Practice \(GCP\) certification](#) for all personnel involved in a clinical trial.
- Incorrect answers to the Human Subjects and Clinical Trials (HSCT) Information Form. Refer to the [G.500 - PHS Human Subjects and Clinical Trials Information](#) guidelines and the “[HSCT Tips for PIs](#)” attachment.
- Discrepancies between the HSS study record and any related clinical trials reported on ClinicalTrials.gov. Update ClinicalTrials.gov first and then sync the HSS study record to that data. Keep on top of important reporting due dates and deadlines (i.e., study start date, study primary completion date, study final completion date, and results due date).
- If you experience the loss of study records in HSS, the AOR or PI should try to 'Restore Previous Version' first to refresh the study record data. If this still does not bring the studies back, then you will need to reach out to the HSS helpdesk to request it be addressed. **Do not add a duplicate study record.**

### 3) **Tips for RPs, PPs, and/or Cores with vertebrate animal (VA) research:**

Note: RPs/PPs cannot be approved until all vertebrate animal issues are resolved.

- A. **IACUC Approvals** must be active. Pending or expired approvals are not acceptable. Institutions must also have an active Animal Welfare Assurance on file with the Office of Laboratory Animal Welfare.
  - Project titles should match the IACUC protocol title or other IACUC documentation.
- B. If the approval is an amendment to an existing protocol with a different title and/or investigator and the relationship between the proposed project and the approved IACUC is unclear, the project package must include documentation that the IACUC approval covers the proposed project.
- C. The Vertebrate Animal Section (VAS) must be included in the application. See [Vertebrate Animals Section](#) and [Worksheet for Applications Involving Animals](#).