

Welcome to the Tri-University Research Administration Conference.

Your session will begin shortly. While you wait, please review the following reminders:

Zoom Troubleshooting

Issues with Audio

Turn off headset/computer speakers and call in by phone for audio

General Issues

Log off and log back in using SSO

Technical Support

Call 480-965-9065 Ext 1.

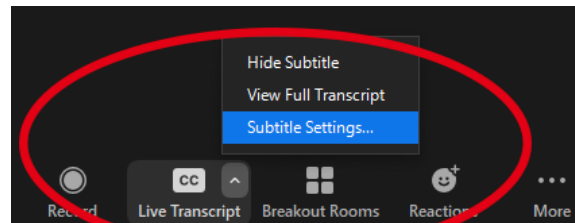
About this Session

Recording

Today's session is being recorded and will be made available for later viewing

Closed Captioning

The Closed Caption/Live Transcript feature has been enabled. You can show/hide the CC via your meetings controls located at the bottom of your screen.



We'd Love Your Feedback!

To help us plan next year's Tri-University Research Administration Conference, we would love to get your feedback.

If you want to provide feedback for the presenters of today's session, make sure to complete the survey you will receive via email at the end of the day.



Research Project Performance Reports (RPPRs)

Sarah Clarke, Office of the Senior Vice President for Health Sciences, University of Arizona

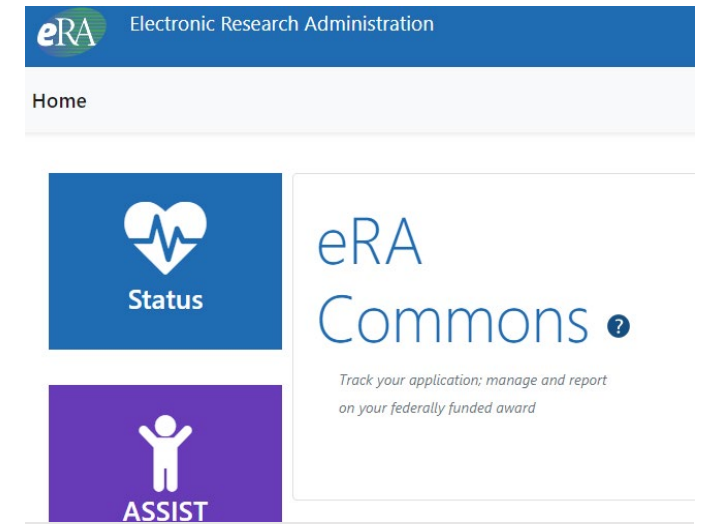
Ready...

The RPPR is used by grantees to submit progress reports to NIH on their grant awards.

<https://grants.nih.gov/grants/rppr/index.htm>


FINAL
ANNUAL
INTERIM

SO
PD/PI
+
PD/PI DELEGATE (ASST)



1ST (BUDGET REQUIRED)
15TH+ (SNAP)
MYF (ANNIVERSARY DATE)

Get set...

 Department of Health and Human Services National Institutes of Health NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES		Notice of Award FAIN# R01 [REDACTED] Federal Award Date [REDACTED]
Recipient Information		
1. Recipient Name UNIVERSITY OF ARIZONA 888 N EUCLID AVE RM 510 TUCSON, AZ 85719		
2. Congressional District of Recipient 03		
3. Payment System Identifier (ID) 1742652689A1		
4. Employer Identification Number (EIN) 742652689		
5. Data Universal Numbering System (DUNS) 806345617		
6. Recipient's Unique Entity Identifier		
7. Project Director or Principal Investigator [REDACTED]		
Federal Award Information		
11. Award Number SRO [REDACTED]		
12. Unique Federal Award Identification Number (FAIN) R01AI107117		
13. Statutory Authority 42 USC 241 42 CFR 52		
14. Federal Award Project Title [REDACTED]		
15. Assistance Listing Number 93.855		
16. Assistance Listing Program Title Allergy and Infectious Diseases Research		
17. Award Action Type Non-Competing Continuation		
18. Is the Award R&D? Yes		

Original Funding Opportunity Announcement (FOA)

- Reporting Requirements

A. COVER PAGE	
Project Title: [REDACTED]	
Grant Number: SRO: [REDACTED]	Project/Grant Period: [REDACTED]
Reporting Period: [REDACTED]	Requested Budget Period: [REDACTED]
Report Term Frequency: Annual	Date Submitted: [REDACTED]
Program Director/Principal Investigator Information: [REDACTED] Phone number: [REDACTED] Email: [REDACTED]	
Recipient Organization: UNIVERSITY OF ARIZONA UNIVERSITY OF ARIZONA PO BOX 210158, Room 510 TUCSON, AZ 857210158 DUNS: 806345617 EIN: 1742652689A1 RECIPIENT ID:	
Change of Contact PD/PI: N/A	
Administrative Official: PAUL SANDOVAL UNIVERSITY OF ARIZONA P O Box 3308 TUCSON, AZ 85722 Phone number: 5206266000 Email: sandovar@email.arizona.edu	Signing Official: RACHEL RICE 888 N Euclid Ave Rm 510 Tucson, AZ 85719 Phone number: 5206266000 Email: rachelrice@email.arizona.edu

Most recent Notice of Award (NOA)

- Named Senior/Key Personnel
- SNAP participation
- Special Reporting Requirements
- Supplements

NIH Research Project Grant (Parent R01 Clinical Trial Not Allowed)

Activity Code
R01 Research Project Grant

Announcement Type
Reissue of PA-19-056

- Related Notices**
- See [Notices of Special Interest](#) associated with this funding opportunity
 - November 13, 2020** - NOSI: Academy of Finland (AKA) – National Institutes of Health (NIH) Partnership Program. See Notice [NOT-OD-21-021](#).
 - October 5, 2020** - Consolidated Notice on NIMH Clinical Trials Policies. See Notice [NOT-MH-20-105](#).
 - September 24, 2020** - Notice of Change to NIEHS target FOAs for NOT-HL-20-768. See Notice [NOT-HL-20-015](#).
 - August 26, 2020** - Notice of Correction to Eligibility in NIH Funding Opportunity Announcements. See Notice [NOT-OD-20-171](#).
 - August 26, 2020** - Notice of NIGMS Participation in NOT-ES-20-018. See Notice [NOT-GM-20-046](#).

Funding Opportunity Announcement (FOA) Number

Most recent RPPR or funded application (if requesting Year 2 funding)

- Senior/Key Personnel and Effort Committed
- Human Subjects/Vertebrate Animals Involvement
- Performance Sites/Foreign Involvement
- Anticipated Budget
- Specific Aims

Go!



Section A: Cover Page

- Project Title: Ensure congruency among the RPPR, the NOA, and the institutional record.
- Administrative and Signing Officials: Ensure they are correct for your institution.
- Reporting Period: Ensure the data your investigators are providing are for this period only!
 - NCEs – All but the personnel table (Section D) should reflect the full period.

Section B: Accomplishments

- B.1: Goals
 - When requesting Year 2, pull AIMS from funded application.
- B.3: Supplements
 - Must complete all fields to save.
 - If diversity supplement, the individual should also be included in the personnel table (Section D).
- B.4: Training
 - Required if listing any of the following in the personnel table (Section D):
 - Undergraduates
 - Graduate students
 - Post-doctoral students

Still going...



Section C: Products

C.1: Publications

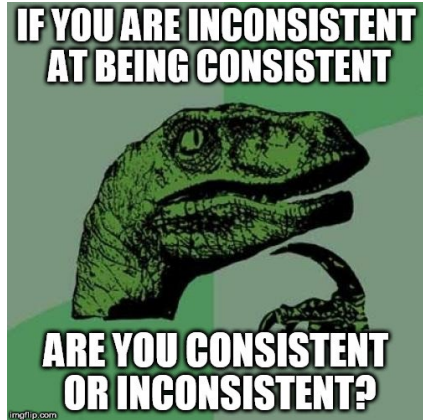
- Must be Reported if:
 - Directly resulting from the funds provided in this award
 - Accepted for publication during the reporting period
- Must be compliant with the NIH Public Access Policy
 - May take up to eight weeks
- Must be linked to the RPPR through the PI's MyNHLBI bibliography



Section D.1: Participants Table

- Individuals must be reported **ONLY** if at least one complete person month of effort was provided.
 - Effort listed in whole months
 - Funding source of effort is irrelevant
- eRA Commons accounts are required for all students
 - Undergraduates
 - Graduate Students
 - Post-doctoral Researchers

Keep going...



Section D.2: Participants Con't

- Change in S/K Personnel Effort
 - Only applies to S/K P listed on the NOA
 - Only applies if effort is decreasing more than 25% of the originally listed effort
- Changes in Other Support
 - Applies to all PI-designated S/K P
 - Only applies to support awarded or closed out during the reporting period
 - Excludes pending
 - Must note application under review

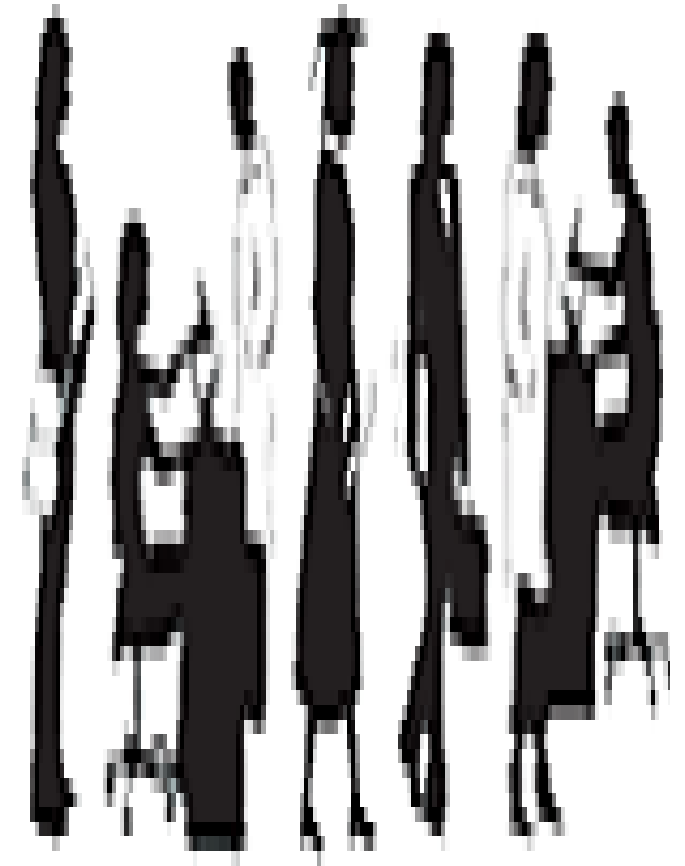
Section F: Changes

- F.2: Actual or anticipated delays
 - Reserved for significant challenges that affect the accomplishment of the project's Aims.
 - Consider including if carryforward balance (Section G.10) is greater than 25%.

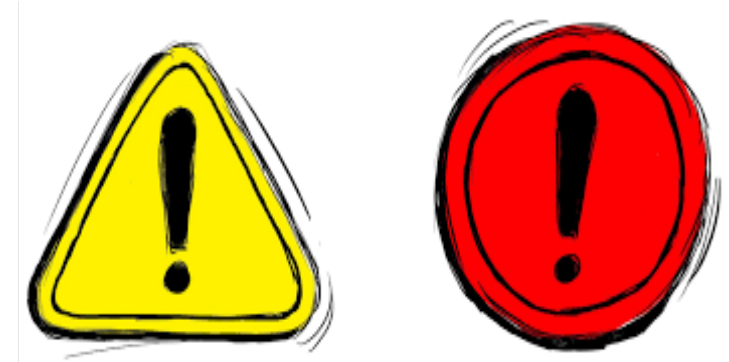
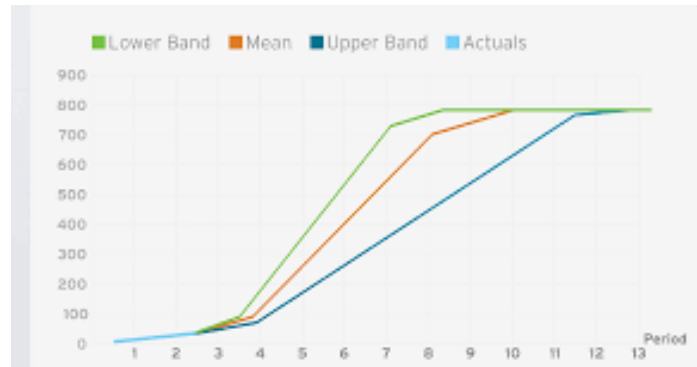
It's a long way...

Section G: Special Reporting Requirements

- Re-check NOA and FOA.
- For diversity supplements, some I/Cs require a CareerTrac Report



Section G: Special Reporting Requirements HUMAN SUBJECTS



Reporting now housed
in ASSIST!

- If requesting Year 3 or later, the ASSIST Post-Submission HSCT form will need to be updated to “Work in Progress” to edit.

Clinical Trials Are
Special

- RPPRs now include an additional % enrollment timeline that must be completed.

Errors/Warnings are
Persistent

- Will not clear in eRA Commons until the HSCT post-submission form is submitted in ASSIST.



Section G: ESTIMATED UNOBLIGATED BALANCE

To Calculate:

- If requesting Years 3+:
 - Add carryforward amount from previous year to the awarded amount for the reporting period.
 - Add estimated final expenses to the actual expenses of the reporting period.
 - Divide the first by the last.
- If requesting Year 2, disregard the carryforward inclusion.
- Err on conservative side!



Section G: Estimated Unobligated Balance

When the answer is YES

G.10.b: Explanation for UOB

Examples:

- Year 1 awarded full budget, but budget period was less than 12 months.
- Delay in hiring staff hindered scientific progress, so expenses were less than expected.
- Departure of staff
- Approved equipment not purchased when expected due to vendor delays

G.10.c: Description of how the Carryforward funds will be spent

- Provide direct/indirect cost breakdown.
- Provide general explanation of how the funds will be spent (must not duplicate originally predicted spending)

When the NOA required approval for carryforward, the annual financial report will be submitted following the end of the reporting period and a formal prior approval request must be submitted.

Almost there...

Section H: Budget

- Only required of non-SNAP awards.
- Always due on the 1st of the month
- Match total costs to the projected total costs for that year on the NOA.



Tri-University
Research
Administration
Conference



Finished!





Prior Approval Requests for NIH Awards

Tara Jenkins & Mirna Hodzic Mun, Office for Research & Sponsored Projects Administration,
Arizona State University

Outline

- Resources
- Common Post-Award Change Requests
- First No-Cost Extensions
- Subsequent No-Cost Extensions
- Carryover Requests
- Change of PD/PI Requests
- Preparing & Submitting Prior Approval Requests

Resources

Terms/Conditions and Policies

- Original notice of award (NOA)*
- Latest NOA
- Funding Opportunity Announcement (FOA)
- [NIH Grants Policy Statement](#)
- [Prior Approval Matrix](#)
- [Notice # NOT-OD-06-054](#)

**For specific requirements, contact assigned Grants Management Specialist (GMS) listed in NOA.*

Process & Training

- NIH Guidance on [Seeking Prior Approval](#)
- NIH Guidance on [Submitting NCEs](#)
- [eRA Commons User Guide](#)
- [eRA Commons Tutorials](#)
- [eRA Commons Additional Training](#)
- Handout #1 – Common post-award change types
- Handout #2 – No-cost extension justification examples

Common Post-Award Change Requests

Grantee-authorized/Sponsor Approval Waived	Sponsor Approval Required
One-time no-cost extension (NCE) without additional funds for up to 12 months for a final budget period ¹	Additional NCEs, extension longer than 12 months, late submission of initial NCE, or NCEs for awards without expanded authority/with restrictions
Rebudgeting participant support funds into other categories ²	Change in scope
Rebudgeting among other direct cost categories and between direct and indirect cost categories ²	Change in Principal Investigator (PI)/Program Director (PD) or other senior/key personnel and their status
Establishing new subaward ³	Transferring award to another institution
Incurring pre-award costs < 90 days before start date of new or competing continuation/renewal award ⁴	Incurring pre-award costs > 90 days
Carryover of unobligated balance ⁵	
Incurring capital expenditures ⁶	

¹Unless award is not under expanded authority or NOA/FOA otherwise prohibits.

²Unless change in scope or NOA/FOA otherwise prohibits.

³Unless change in scope, subrecipient is foreign or NOA/FOA otherwise prohibits.

⁴Certain restrictions apply to training grants or fellowships. See Grants Policy Statement.

⁵Unless terms of NOA/FOA prohibit. Automatic carryover does not apply to certain awards. See Handout #1.

⁶Waived for general purpose equipment only and if no change in scope and NOA/FOA otherwise does not prohibit.

First No-Cost Extensions (NCEs)

An extension of a budget period/project period to complete the original scope of work without additional funds, for awards for which the closeout process has not begun.

Under expanded authority, grantee-authorized*:

- One-time extension, maximum of 12 months
- Available within 90 days before current project end date**
- Incomplete scope of work & funds available

**Awards without expanded authority/with restrictions → sponsor approval is required.*

***Late requests require prior approval.*

Subsequent No-Cost Extensions (NCEs)

- Subsequent NCEs →
- NCEs greater than 12 months →
- Late initial NCEs →
- Restricted NCEs* →

Prior approval is required!

**Award is not under expanded authority or NOA/FOA otherwise prohibits grantee-authorized NCEs.*

Preparing & Submitting NCE Requests

Secure PI/MPI Approval,
Justification & Needed
Documentation

Submit via eRA
Commons

Receive Notification
Confirming, or Obtain
Revised NOA for,
Authorized Extension

Preparing & Submitting NCE Requests

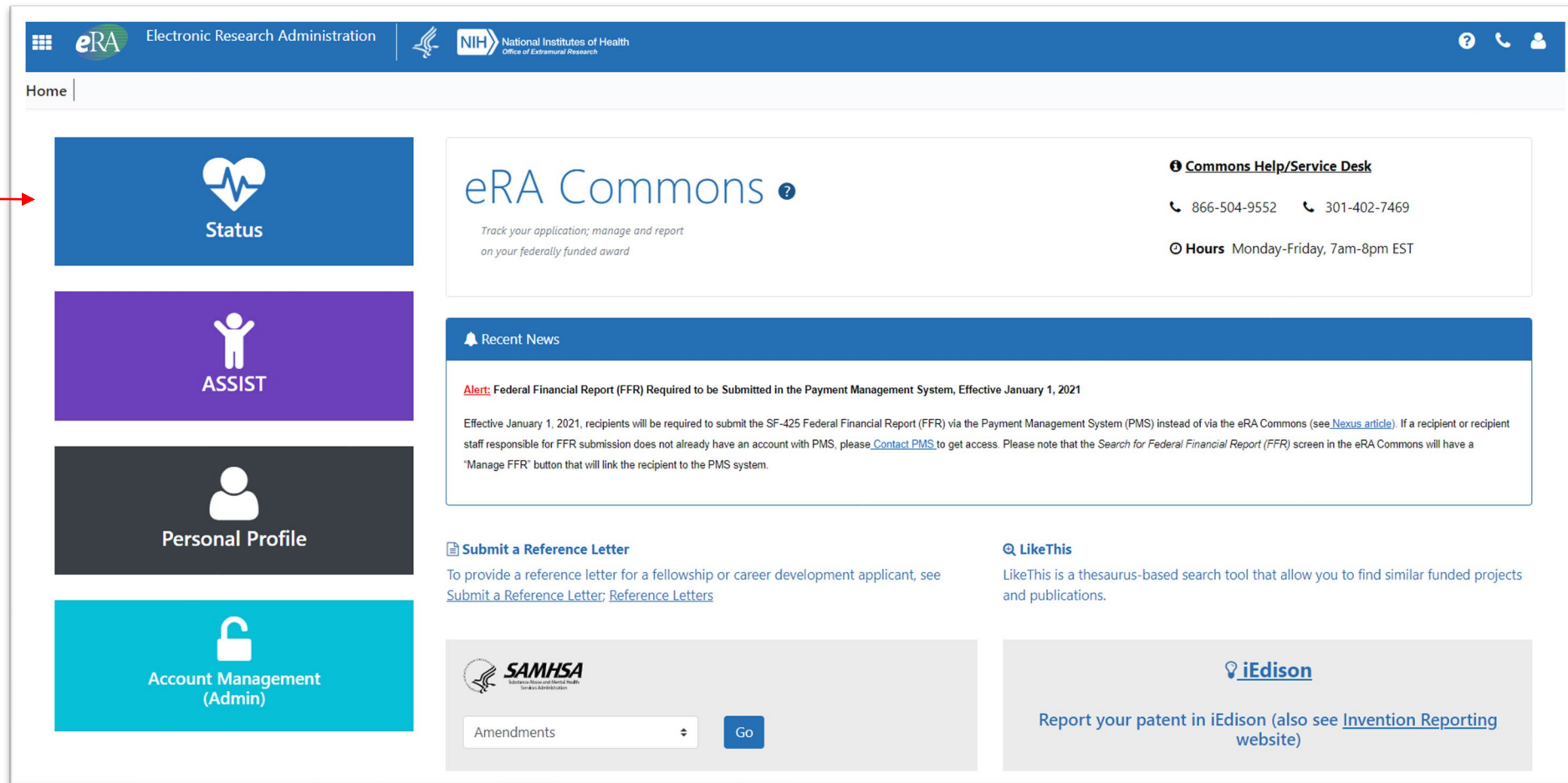
Grantee-authorized Initial NCEs

- PI/MPI approval
- Internal Justification: **remaining** project activities from **original** scope of work, explanation of **delay** in project completion, & unobligated **balance available**/plan for use of unspent funds.
- Signing Official (SO) submits notification in eRA Commons via **Status** module, within **90 days before** current project end date.
- E-mail notification sent to NIH, SO and PI → new end date **automatically authorized**.

Sponsored-approved NCEs

- PI/MPI approval
- SO **confirms required documentation** with awarding Institute/Center (IC) → progress report, budget, and justification. Need unobligated balance, confirmation of PI's "measurable" effort, and protocol approval date (e.g., IRB, IACUC).
- SO submits request via **Prior Approval** Module, **within 90 days** of current project end date or **before closeout** (within 270 days after project end date, or unilateral closeout).
- E-mail notification sent to NIH, SO and PI → if approved, **revised NOA issued**.

Submission Process – NCEs in Status Module



The screenshot displays the eRA Commons website interface. At the top, the header includes the eRA logo and 'Electronic Research Administration' on the left, and the NIH logo and 'National Institutes of Health Office of Extramural Research' on the right. A navigation bar below the header shows 'Home'.

The main content area is divided into several sections:

- Left Sidebar:** A vertical stack of four buttons: 'Status' (blue with a heart icon), 'ASSIST' (purple with a person icon), 'Personal Profile' (dark grey with a person icon), and 'Account Management (Admin)' (cyan with a lock icon). A red arrow points to the 'Status' button.
- eRA Commons:** A large white box with the title 'eRA Commons' and a subtitle 'Track your application; manage and report on your federally funded award'. To the right of this box is a 'Commons Help/Service Desk' section with contact information: phone numbers 866-504-9552 and 301-402-7469, and hours 'Monday-Friday, 7am-8pm EST'.
- Recent News:** A blue header with a bell icon. Below it is an alert: 'Alert: Federal Financial Report (FFR) Required to be Submitted in the Payment Management System, Effective January 1, 2021'. The text below the alert states: 'Effective January 1, 2021, recipients will be required to submit the SF-425 Federal Financial Report (FFR) via the Payment Management System (PMS) instead of via the eRA Commons (see [Nexus article](#)). If a recipient or recipient staff responsible for FFR submission does not already have an account with PMS, please [Contact PMS](#) to get access. Please note that the *Search for Federal Financial Report (FFR)* screen in the eRA Commons will have a "Manage FFR" button that will link the recipient to the PMS system.'
- Submit a Reference Letter:** A section with a document icon, titled 'Submit a Reference Letter'. The text below reads: 'To provide a reference letter for a fellowship or career development applicant, see [Submit a Reference Letter](#); [Reference Letters](#)'.
- LikeThis:** A section with a magnifying glass icon, titled 'LikeThis'. The text below reads: 'LikeThis is a thesaurus-based search tool that allow you to find similar funded projects and publications.'
- Bottom Section:** Two grey boxes. The left one features the SAMHSA logo and a search bar with 'Amendments' and a 'Go' button. The right one features the iEdison logo and the text 'Report your patent in iEdison (also see [Invention Reporting website](#))'.

Submission Process – NCEs in Status Module

U.S. Department of Health & Human Services www.hhs.gov

eRA Commons
A program of the National Institutes of Health

NIH OER

Welcome: Mirna Mun
ID: MHMUN1
Institution: ARIZONA STATE UNIVERSITY-TEMPE CAMPUS
Roles: SO FSR
[Logout](#) | [Contact Us](#) | [Help](#)

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Status ?

- General Search
- Just In Time
- Pending Progress Report
- Recently Awarded
- Recent/Pending eSubmissions
- Closeout
- Change of Institution
- Pending Human Subjects Action
- Re-assign Award
- Non-Research Continuations
- ESI Eligibility

General Search

Award Number	Type	Activity Code	Institution Code	Serial Num.	Support Yr.	Suffix
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Accession Number	<input type="text"/>					
Grants.gov Tracking #	<input type="text"/>					
PI Name	Last			First		
	<input type="text"/>			<input type="text"/>		
Application Status	All <input type="text"/>					
Eligible for FFATA Reporting	<input type="checkbox"/>					
Budget Start Date	From <input type="text"/>		To <input type="text"/>			
	(MM/DD/YYYY)		(MM/DD/YYYY)			
Budget End Date	From <input type="text"/>		To <input type="text"/>			
	(MM/DD/YYYY)		(MM/DD/YYYY)			
Organization Hierarchy	School					
	ALL <input type="text"/>					
	Division		Department			
ALL <input type="text"/>		ALL <input type="text"/>				
<input type="button" value="Search"/> <input type="button" value="Clear"/>						

GENERAL SEARCH TIP:
Due to an addition for Multi-PI searches a search on PI Last name may take more time than it did previously. To mitigate this, when performing a General Search query using the PI Last and First Name parameter fields, incorporate into your search as many search fields as possible for the General Search Hit List result to return in a timely manner

Submission Process – NCEs in Status Module

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Status Result - General Search ?

>>If your application was not awarded, please do not use the MYPR link in the Action column to submit a Progress Report for Multi-Year Award.<<

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI awards.

Application/Award ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
1R01GM118772-01	GRANT11929791	Molecular mechanisms of secondary active transporters	BECKSTEIN, OLIVER	Awarded. Non-fellowships only	07/01/2016	Yes	Show All Prior Errors	Transmittal Sheet
5R01GM118772-02		Molecular mechanisms of secondary active transporters	BECKSTEIN, OLIVER	Awarded. Non-fellowships only	04/01/2017	Yes		RPPR
5R01GM118772-03		Molecular mechanisms of secondary active transporters	BECKSTEIN, OLIVER	Awarded. Non-fellowships only	04/01/2018	Yes		RPPR
5R01GM118772-05		Molecular mechanisms of secondary active transporters	BECKSTEIN, OLIVER	Awarded. Non-fellowships only	04/01/2020	Yes		RPPR Extension
5R01GM118772-04		Molecular mechanisms of secondary active transporters	BECKSTEIN, OLIVER	Awarded. Non-fellowships only	04/01/2019	Yes		RPPR

1- 5 of 5 1

Submission Process – NCEs in Status Module

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Extension ?

System Information Message

All systems are currently available.

This Award is eligible to be extended for up to 1 year. Note that only a SO has the ability to perform a project extension and that you may do this only once through the Commons.

Application Information	
Award Number:	7K01DK109119-05
PI Name:	Beeman, Scott Charles
Proposal Title:	MR ADIPOSE-O2 QUANTIFICATION AND THE HYPOXIA-DRIVEN INSULIN RESISTANCE HYPOTHESIS

To extend the period, select the number of months for which you would like to extend the project period for this award.

Project End Date: 3/31/2021

Extend: * 12

This will extend the project to 3/31/2022

Extend Project Date Cancel

Submission Process – NCEs in Status Module

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Extension

Application Information	
Award Number:	7K01DK109119-05
PI Name:	Beeman, Scott Charles
Proposal Title:	MR ADIPOSE-O2 QUANTIFICATION AND THE HYPOXIA-DRIVEN INSULIN RESISTANCE HYPOTHESIS

You have selected to extend the period of performance of this award by **12 months**.

By notifying the awarding Agency of this one-time extension of the period of performance, you certify that the extension is not: 1) being exercised merely for the purpose of using unobligated balance, 2) prohibited by the terms and conditions of the Federal award, or 3) requesting additional Federal funds. Further, it does not involve any change in the approved objectives or scope of the project.

Submission Process – NCEs in Status Module



Fri 2/19/2021 9:51 PM

era-notify@mail.nih.gov

Project Extension Submitted for Grant: K01DK109119-05 to the NIH.

o Mirna Mun; Scott Beeman

A Project Extension Request was completed by Signing Official: Mun, Mirna Hodzic for grant application: K01DK109119-05 associated with Principal Investigator Beeman, Scott Charles using the NIH Commons. The new project end date for this grant is: 03/31/2022 ←

This new date will now be reflected in the Application Detail section of Commons.

If you have any questions about this email, please contact Mirna Hodzic Mun at Mirna.Hodzic@asu.edu, who initiated this action.

For any further questions about this email, call the eRA Service Desk at 1-866-504-9552 or refer to <http://grants.nih.gov/support> for additional methods of contact. Please access Commons at <http://public.era.nih.gov/commons/>.

For more information please visit <http://era.nih.gov/>

Submission Process – NCEs in Prior Approval Module

U.S. Department of Health & Human Services | NIH | National Institutes of Health | Office of Extramural Research | Mirna Mun | Help | Contact Us | Logout

eRA Electronic Research Administration
A program of the National Institutes of Health

Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | **Prior Approval** | RPPR | FFR | xTrain | xTRACT | Admin Supp | eRA Partners | Non-Research

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

- Select a request type
- No Cost Extension Request**
- Other Request
- Withdrawal Request
- Carryover Request
- Change of PD/PI Request

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

Submission Process – NCEs in Prior Approval Module

Prior Approval Request No Cost Extension ⓘ

The following grants are eligible for a No Cost Extension. Please select one grant and click the Initiate button to get started.

Search Grant Number

Search PI

Show entries

Grant Number	Project Title	PI Name	Budget Period End Date
<input type="radio"/> 5R01CA182901-05	Effects of Meditative Movement (Qigong/Tai Chi Easy) on Fatigued Breast Cancer Survivors	Larkey, Linda K	04/30/2021
<input type="radio"/> 5R01HL128785-04	Computer-Aided Diagnosis of Pulmonary Embolism	Liang, Jianming	04/30/2021
<input type="radio"/> 5R03AI133397-02	Differentiation of Mutant Virus Particles	HAYES, MARK A	04/30/2021
<input type="radio"/> 2RF1AG037637-07	Molecular interplay between A β , tau and mTOR: Mechanisms of neurodegeneration	Oddo, Salvatore	03/31/2021
<input checked="" type="radio"/> 5R01AI117011-04	Tracking Evolution and Spread of Viral Genomes by Geospatial Observation Error	SCOTCH, MATTHEW	03/31/2021
<input type="radio"/> 5R01AI113725-04	Real-time Detection of Active TB in HIV Exposed Children on CustomizedNanotrap	LABAER, JOSHUA	12/31/2020
<input type="radio"/> 5R01AI080607-11	Studies in Poxvirus Host Range Genes and Tropism	McFadden, Grant	11/30/2020
<input type="radio"/> 5R01HD079520-05	Social and Genetic Contributions to Children's Sleep, Health, and Functioning	Lemery-Chalfant, Kathryn	11/30/2020
<input type="radio"/> 5R01CA140657-10	Modeling Neoplastic Progression in Barrett's Esophagus	MALEY, CARLO	08/31/2020
<input type="radio"/> 1U01EB021980-01	A personal exposure and response monitoring system for pediatric asthma study	TAO, NONGJIAN	08/31/2020

Showing 1 to 10 of 16 entries

Submission Process – NCEs in Prior Approval Module

Application Information

PD/PI User ID MSCOTCH	Name of PD/PI SCOTCH, MATTHEW	Grants Management Specialist Hoek, ASHLEY ALI ashley.hoek@nih.gov 240-747-7515	Program Official Brown, Liliana L. liliana.brown@nih.gov 301-495-1884
Form # Type Act IC Serial# Year Suffix SRQ1A117011-04	Application Title Tracking Evolution and Spread of Viral Genomes by Geospatial Observation Error		
Institution ARIZONA STATE UNIVERSITY-TEMPE CAMPUS	Budget Period 04/01/2019 - 03/31/2021	Project Period 04/01/2018 - 03/31/2021	

Request Detail

Request ID: 15307

Number of Months:

Proposed Budget Period End Date:

Proposed Project Period End Date:

Amount of Unobligated Balance:

Does PI Maintain Measurable Effort?:

Progress Report

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

Budget Document

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

Justification Document

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

Cancel View History Save Delete St

Submission Process – NCEs in Prior Approval Module

The screenshot displays two overlapping UI elements. On the left is a 'Confirmation' dialog box with the text 'Are you sure you wish to submit to Agency?' and 'No' and 'Yes' buttons. On the right is a 'Prior Approval Request' section with a success message: 'Success: No Cost Extension request has been successfully submitted to Agency'.

Confirmation

Are you sure you wish to submit to Agency?

No Yes

Prior Approval Request No Cost Extension ?

☑ Success: No Cost Extension request has been successfully submitted to Agency

Submission Process – NCEs in Prior Approval Module

The screenshot displays the eRA (Electronic Research Administration) interface for the Prior Approval module. At the top, the navigation bar includes the U.S. Department of Health & Human Services, NIH, and Office of Extramural Research logos, along with user information for Mirna Mun and links for Help, Contact Us, and Logout. The eRA logo and text "Electronic Research Administration, A program of the National Institutes of Health" are prominently displayed. Below this, a horizontal menu contains various options: Home, Admin, Institution Profile, Personal Profile, Status, ASSIST, Prior Approval (highlighted), RPPR, FFR, xTrain, xTRACT, Admin Supp, eRA Partners, and Non-Research.

The main content area is titled "Prior Approval" with a help icon. It is divided into two primary sections:

- Initiate a Prior Approval Request:** This section prompts the user to "Select the type of request you wish to initiate." It features a dropdown menu labeled "Request type:" with the placeholder text "Select a request type" and a "Go" button.
- Existing Prior Approval Requests:** This section provides instructions: "To view Prior Approvals pending SO review, please select List My Requests." and "To search for Prior Approval requests from your institution please select Search for Request." Below these instructions are two buttons: "List my Requests" and "Search for Requests". Red arrows point to these buttons from the left and right sides of the page.

Submission Process – NCEs in Prior Approval Module

U.S. Department of Health & Human Services | NIH | National Institutes of Health | Office of Extramural Research | Mirna Mun | Help | Contact Us | Logout

eRA Electronic Research Administration
A program of the National Institutes of Health

Home | Admin | Institution Profile | Personal Profile | Status | ASSIST | **Prior Approval** | RPPR | FFR | xTrain | xTRACT | Admin Supp | eRA Partners | Non-Research

Search Prior Approval Requests ?

« Back to Prior Approval

Request ID **Request Type** **Request Status** **PI Lookup (by Last Name, First Name)**

Activity Code **IC** **Serial** **Submission Date Range: From** **Submission Date Range: To**

Show entries

Request ID	Request Type	PI Name	Request Status	Application ID	Project Title	Actions
12510	No Cost Extension	Hogue, Ian	Submitted to Agency	5K22A1123159-02	Molecular and Cellular Mechanisms of Herpes Simplex Transport and Egress Pathway in Neurons	View History View PDF
10094	No Cost Extension	Rege, Kaushal	Submitted to Agency	5R01EB020690-04	Photothermal Nanocomposites for Tissue Repair	View History View PDF

Submission Process – NCEs in Prior Approval Module

SECTION IV – AI SPECIFIC AWARD CONDITIONS – 5K22AI123159-02 REVISED

Clinical Trial Indicator: No

Page 5 of 6

Version: 200 - 11/17/2020 12:25 PM | Generated on: 12/1/2020 12:01 AM

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

REVISED AWARD: This revised Notice of Award (NoA) is issued to extend the **02** year in accordance with letter of **11/12/20** from **Jeremy Stewart / Arizona State University**. The grantee institution is responsible for ensuring that all necessary human subjects and/or vertebrate animal reviews are performed as required during the extension period. **Failure to comply with this requirement can result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action.**

Carryover of an Unobligated Balance

Carryover is when unobligated funds remain at the end of any budget period that the grantee would like to use in the next budget period. These funds may be used to cover allowable costs of the next budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.

Under expanded authority, grantee-authorized:*

- Carry over unobligated funds into the next budget period without prior approval.
- Carry over unobligated funds from one competitive segment to another without prior approval.

Awards without expanded authority → sponsor approval is required:

- Centers (P50, P60, P30, other), cooperative agreements (U), Kirschstein-NRSA institutional research training grants (T), non-Fast Track Phase I SBIR and STTR awards (R43 and R41), clinical trials (regardless of activity code), awards to individuals, and any award with a restricting special term or condition in the NoA.

Reminder: At the end of five years, unused funds are cancelled and returned to the US Treasury. This may limit the availability of funds for carryover.

****If unobligated balance is greater than 25% of total approved budget, recipient must provide explanation, and indicate plans for expenditure within the current budget year to GMS. For awards that require annual FFRs, regardless of percentage, amount to be carried over must be specified under item 12, "Remarks."***

Preparing & Submitting Carryover Requests

Secure PI/MPI Approval
& Needed
Documentation

Submit via eRA
Commons

Receive Notification
Confirming, or Obtain
Revised NOA for,
Authorized Carryover

Preparing & Submitting Carryover Requests

Grantee-authorized

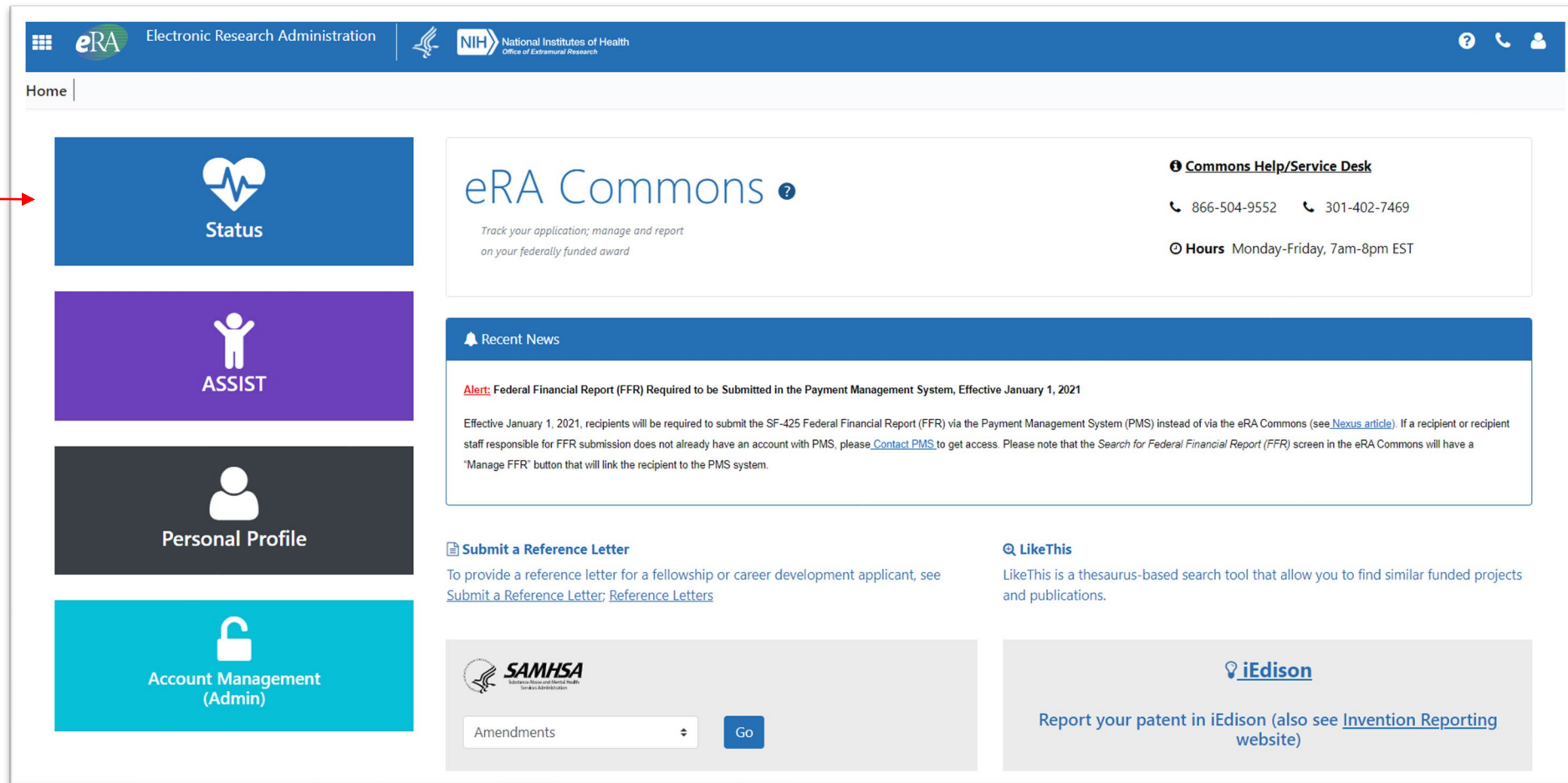
- No Action*

**For awards that require annual FFRs, regardless of percentage, the amount to be carried over must be specified under item 12, "Remarks". If unobligated balance is greater than 25% of total approved budget, provide an explanation and indicate plans for expenditure of those funds within the current budget year to GMS.*

Sponsor-approved

- PI/MPI approval
- SO **confirms required documentation** with awarding Institute/Center (IC) → unobligated balance, detailed budget, scientific justification, explanation for carryover, any other documents requested.
- SO submits request via **Prior Approval** Module.
- E-mail notification sent to NIH, SO and PI → if approved, **revised NOA issued.**

Submission Process – Carryover Request in Prior Approval Module



The screenshot displays the eRA Commons website interface. At the top, the header includes the eRA logo, "Electronic Research Administration", the NIH logo, and "National Institutes of Health Office of Extramural Research". A navigation bar shows "Home" and utility icons for help, search, and user profile.

The left sidebar contains four main navigation buttons: "Status" (blue with a heart icon), "ASSIST" (purple with a person icon), "Personal Profile" (dark grey with a person icon), and "Account Management (Admin)" (cyan with a lock icon). A red arrow points to the "Status" button.


The main content area features the "eRA Commons" title with a subtitle: "Track your application; manage and report on your federally funded award". To the right, there is a "Commons Help/Service Desk" section with contact information: phone numbers 866-504-9552 and 301-402-7469, and hours: Monday-Friday, 7am-8pm EST.



Below this is a "Recent News" section with an alert: "Alert: Federal Financial Report (FFR) Required to be Submitted in the Payment Management System, Effective January 1, 2021". The text explains that recipients must submit the SF-425 FFR via the PMS system starting January 1, 2021, and provides instructions for those without PMS accounts.

At the bottom, there are two promotional boxes. The left one is for "Submit a Reference Letter" with a link to "Submit a Reference Letter; Reference Letters". The right one is for "LikeThis" search tool. Below these are two more boxes: one for "AMENDMENTS" with a dropdown menu and a "Go" button, and another for "iEdison" with a link to "Report your patent in iEdison (also see Invention Reporting website)".

Submission Process – Carryover Request in Prior Approval Module

U.S. Department of Health & Human Services

 Commons
A program of the National Institutes of Health

  We ID: Inst Rol Lo

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners

Status ?

- General Search
- Just In Time
- [Pending Progress Report](#)
- [Recently Awarded](#)
- [Recent/Pending eSubmissions](#)
- [Closeout](#)
- [Change of Institution](#)
- [Pending Human Subjects Action](#)
- [Re-assign Award](#)
- [Non-Research Continuations](#)
- [ESI Eligibility](#)

General Search						
Award Number	Type	Activity Code	Institution Code	Serial Num.	Support Yr.	Suffix
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Accession Number	<input type="text"/>					
Grants.gov Tracking #	<input type="text"/>					
PI Name	Last		First			
	<input type="text"/>		<input type="text"/>			
Application Status	All <input type="button" value="v"/>					
Eligible for FFATA Reporting	<input type="checkbox"/>					
Budget Start Date	From <input type="text" value="02/26/2020"/> <input type="button" value="calendar"/>		To <input type="text" value="08/26/2021"/> <input type="button" value="calendar"/> (MM/DD/YYYY)			
Budget End Date	From <input type="text"/> <input type="button" value="calendar"/>		To <input type="text"/> <input type="button" value="calendar"/> (MM/DD/YYYY)			
Organization Hierarchy	School					
	ALL <input type="button" value="v"/>					
	Division		Department			
ALL <input type="button" value="v"/>		ALL <input type="button" value="v"/>				
<input type="button" value="Search"/> <input type="button" value="Clear"/>						

Submission Process – Carryover Request in Prior Approval Module

U.S. Department of Health & Human Services | NIH National Institutes of Health | Office of Extramural Research | Tara Jenkins

eRA Electronic Research Administration
A program of the National Institutes of Health

Home Admin Institution Profile Personal Profile Status ASSIST **Prior Approval** RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval ?

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

Request type:

- Select a request type
- No Cost Extension Request
- Other Request
- Withdrawal Request
- Carryover Request**
- Change of PD/PI Request

Existing Prior Approval Requests

To view Prior Approvals pending SO review, please select List My Requests.

To search for Prior Approval requests from your institution please select Search for Request.

Submission Process – Carryover Request in Prior Approval Module

Prior Approval Request Carryover - Available Grants

The following grants are eligible for a Carryover. Please select one grant and click the Initiate button to get started.

Search Grant Number

Search PI

Clear Search Search

Show 10 entries

Grant Number	Project Title	PI Name	Budget Period End Date
<input type="radio"/> 5UH3CA211415-04	Rapid Point of Care Detection of HPV-Associated Malignancies	Anderson, Karen S.	08/31/2021
<input type="radio"/> 5U54CA217376-03	Arizona Cancer and Evolution Center (ACE)	MALEY, CARLO	03/31/2021
<input type="radio"/> 5U01CA221235-03	Sequencing Glycosaminoglycans using Recognition Tunneling Nanopores	Wang, Xu	07/31/2021
<input type="radio"/> 5U01CA214201-05	Novel approaches to study immune responses to post translational modifications for cancer detection	LABAER, JOSHUA	08/31/2021
<input type="radio"/> 5U01CA197902-05	Investigation of Biomarkers for Sugars Intake - A Controlled Feeding Study	Tasevska, Natasha	08/30/2021
<input type="radio"/> 5U01AI148319-02	Rapid Low-Cost Paper-based Biodosimetry that reveals individual organ injuries	LABAER, JOSHUA	01/31/2022
<input type="radio"/> 5U01AG081835-03	Identification of the genetic and transcriptomic networks of cognitive and neuropathological resilience to Alzheimer's Disease associated viruses	Readhead, Benjamin	04/30/2021
<input type="radio"/> 5T32DA039772-05	Research training in drug abuse/HIV prevention: closing the research-practice gap	CHASSIN, LAURIE A	06/30/2021
<input type="radio"/> 5R01HL139120-04	Salad bars and students' fruit and vegetable consumption: A group-randomized trial with objective assessments	Bruening, Meredith M	06/30/2021
<input type="radio"/> 5R01HL138999-04	Apolipoprotein-C Proteoforms in Dyslipidemia and Cardiovascular Disease	Reaven, Peter D	06/30/2021

Showing 1 to 10 of 13 entries

Previous 1 2 Next

Cancel Initiate Carryover

Submission Process – Carryover Request in Prior Approval Module

Prior Approval Request Carryover - Modify Request

All fields and documents are required, unless otherwise specified

Application Information			
PD/PI User ID CHASSIN	Name of PD/PI CHASSIN, LAURIE A	Grants Management Specialist Hallas, Garin R hallasg@mail.nih.gov 301-427-4507	Program Official Sims, Belinda E. belinda.sims@nih.gov 301-435-7155
Grant# Type Act IC Serial# Year Suffix 5T32DA039772-05		Application Title Research training in drug abuse/HIV prevention: closing the research-practice gap	
Institution ARIZONA STATE UNIVERSITY-TEMPE CAMPUS		Budget Period 07/01/2019 - 06/30/2021	Project Period 07/01/2015 - 06/30/2021

Request Detail
Request ID: 15509
Amount of Funds to be Carried Over <input type="text" value="Unobligated Funds"/>

Explanation of Unobligated Balance		
<input type="button" value="Upload"/>	Drag up to 1 file(s) here to upload.	
File Name	Date Created	Action
No documents provided		

Detailed Budget		
<input type="button" value="Upload"/>	Drag up to 1 file(s) here to upload.	
File Name	Date Created	Action
No documents provided		

Scientific Justification		
<input type="button" value="Upload"/>	Drag up to 1 file(s) here to upload.	
File Name	Date Created	Action
No documents provided		

Change of PD/PI

When it is necessary to change (remove or add) a program director/principal investigator (PD/PI) on a grant, due to a number of scenarios.

- Always requires prior approval from NIH.
- Submit requests electronically using the Prior Approval > Change of PD/PI feature in eRA Commons.
- Only the signing official (SO) can initiate and submit the Change of PD/PI request.
- Requests can only be made for a grant year that is currently awarded, and within the budget period.

Preparing & Submitting PI Change Requests

```
graph LR; A[Secure PI/MPI Approval & Needed Documentation] --> B[Submit via eRA Commons]; B --> C[Receive Notification Confirming or Obtain Revised NOA]
```

Secure PI/MPI Approval
& Needed
Documentation

Submit via eRA
Commons

Receive Notification
Confirming or Obtain
Revised NOA

Preparing & Submitting PI Change Requests


Grantee-authorized

- Not applicable - always requires sponsor approval


Sponsor-approved


- PI/MPI approval
- SO **confirms required documentation** with awarding Institute/Center (IC) → Names to be removed/added, Level of Effort, Effective Date, Justification, Biosketch, any other documents requested.
- SO submits request via **Prior Approval** Module.
- E-mail notification sent to NIH, SO and PI → if approved, **revised NOA issued**.


Submission Process – PI Change in Prior Approval Module




Status


ASSIST


Personal Profile


Account Management
(Admin)

eRA Commons

Track your application; manage and report on your federally funded award

Commons Help/Service Desk
866-504-9552 301-402-7469
Hours Monday-Friday, 7am-8pm EST

Recent News

Alert: Federal Financial Report (FFR) Required to be Submitted in the Payment Management System, Effective January 1, 2021


Effective January 1, 2021, recipients will be required to submit the SF-425 Federal Financial Report (FFR) via the Payment Management System (PMS) instead of via the eRA Commons (see [Nexus article](#)). If a recipient or recipient staff responsible for FFR submission does not already have an account with PMS, please [Contact PMS](#) to get access. Please note that the *Search for Federal Financial Report (FFR)* screen in the eRA Commons will have a "Manage FFR" button that will link the recipient to the PMS system.



Submit a Reference Letter

To provide a reference letter for a fellowship or career development applicant, see [Submit a Reference Letter](#); [Reference Letters](#)

LikeThis

LikeThis is a thesaurus-based search tool that allow you to find similar funded projects and publications.

 **SAMHSA**
Substance Abuse and Mental Health Services Administration


Amendments  



 **iEdison**

Report your patent in iEdison (also see [Invention Reporting website](#))

Submission Process – PI Change in Prior Approval Module

U.S. Department of Health & Human Services

 Commons
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  We ID: Inst Rol Log

Home Admin Institution Profile Personal Profile **Status** ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners

Status ?

- General Search
- Just In Time
- [Pending Progress Report](#)
- [Recently Awarded](#)
- [Recent/Pending eSubmissions](#)
- [Closeout](#)
- [Change of Institution](#)
- [Pending Human Subjects Action](#)
- [Re-assign Award](#)
- [Non-Research Continuations](#)
- [ESI Eligibility](#)

General Search						
Award Number	Type	Activity Code	Institution Code	Serial Num.	Support Yr.	Suffix
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Accession Number	<input type="text"/>					
Grants.gov Tracking #	<input type="text"/>					
PI Name	Last		First			
	<input type="text"/>		<input type="text"/>			
Application Status	All <input type="button" value="v"/>					
Eligible for FFATA Reporting	<input type="checkbox"/>					
Budget Start Date	From <input type="text" value="02/26/2020"/> <input type="button" value="calendar"/>		To <input type="text" value="08/26/2021"/> <input type="button" value="calendar"/> (MM/DD/YYYY)			
Budget End Date	From <input type="text"/> <input type="button" value="calendar"/>		To <input type="text"/> <input type="button" value="calendar"/> (MM/DD/YYYY)			
Organization Hierarchy	School					
	ALL <input type="button" value="v"/>					
	Division			Department		
ALL <input type="button" value="v"/>			ALL <input type="button" value="v"/>			
<input type="button" value="Search"/> <input type="button" value="Clear"/>						

Submission Process – PI Change in Prior Approval Module

U.S. Department of Health & Human Services | NIH | National Institutes of Health | Office of Extramural Research | Tara J.

eRA Electronic Research Administration
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Home Admin Institution Profile Personal Profile Status ASSIST **Prior Approval** RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval ?

Initiate a Prior Approval Request

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Request type:

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- Other Request
- Withdrawal Request
- Carryover Request
- Change of PD/PI Request**

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Submission Process – PI Change in Prior Approval Module

Home Admin Institution Profile Personal Profile Status ASSIST Prior Approval RPPR FFR xTrain xTRACT Admin Supp eRA Partners Non-Research

Prior Approval Request Change of PI/PI - Modify Request

All fields and documents are required, unless otherwise specified

Application Information

PD/PI User ID SALVATORECCDD	Name of PD/PI Odds, Salvatore	Grants Management Specialist Whitefield, Mitchel whitefieldm@od.nih.gov 301-435-0969	Program Officer Dibattista, AMANDA amanda.dibattista@nih.gov 301-496-9350
Grant Type And IC Serial Year Suffix TRF1AG063454-01	Application Title mTOR at the crossroad between aging and Alzheimer's disease		Project Period 04/15/2019 - 03/31/2024
Institution ARIZONA STATE UNIVERSITY-TEMPE CAMPUS	Budget Period 04/15/2019 - 03/31/2024		

Request Detail

Request ID: 15504

PD/PI Assigned to Current Grant Year

PD/PI Name Odds, Salvatore	PD/PI ID SALVATORECCDD
--------------------------------------	----------------------------------

PD/PI Name Last name, First name	PD/PI ID	Contact PD/PI <input type="checkbox"/>	Level of Effort in Percent Months Calendar <input type="checkbox"/>	Academic <input type="checkbox"/>	Summer <input type="checkbox"/>
--	-----------------	--	---	---	---

Bio Sketch **Other support**

PD/PI Name	PD/PI ID	Contact PD/PI	Cal	Aoa	Sum	Bio Sketch	Other support	Action
Odds, Salvatore	SALVATORECCDD	Y						Modify Delete

Effective Date
mm/dd/yyyy

Justification Document

Drag up to 1 file(s) here to upload.

File Name	Date Created	Action
No documents provided		

Cancel View History Save Delete **Submit**



Tri-University
Research
Administration
Conference



thank
you!

Questions?