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PROGRESS, FINAL AND NCE REPORT SUBMISSION

The Office of Sponsored Research Services must provide institutional approval for CDI progress and final reports with the exception of Faculty Scholar awards. For all non-Faculty Scholar progress reports, the Face Page requires the signature of an institutional official. NCE progress reports do not require OSRS approval, however, NCE requests do.

Progress reports, NCE requests/progress reports and final progress reports must be submitted via the CDI's grant submission system at <http://www.childrensdiscovery-application.org/login.php>. Upon submission of your last progress report your award will move to "Final Report or No Cost Extension" within the CDI grant submission system. Choose the link applicable to the status of your project and complete required components by the due dates provided.

PROGRESS, FINAL AND NCE REPORT STANDARD DUE DATES

Progress reports are due 60 days prior to the start of the next budget period.

NCE progress reports are to be submitted with the NCE request. NCE progress reports and requests are due 60 days prior to the project's end date.

Final progress reports are due no later than 90 days after the project's end date.

Progress report due dates can be found on the award letter. The Children's Discovery Institute will endeavor to remind PIs of report due dates. However, the responsibility for timely submission of reports lies with the award recipient.

Type of Progress Report	General Deadline	Deadlines for Awards with 2/1 Award Activation Dates	Deadlines for Awards with 7/1 Award Activation Dates
Progress Report	60 days prior to the start of the next budget period	December 1* 5:00 p.m. CST	May 1* 5:00 p.m. CST
Final Progress Report	90 days after the project's end date	April 30* 5:00 p.m. CST	September 30* 5:00 p.m. CST
NCE Progress Report	60 days prior to project's end date	December 1* 5:00 p.m. CST	May 1* 5:00 p.m. CST

* If a deadline falls on a weekend or a University holiday, then the deadline will be moved to the next business day. Example: December 1, 2012 is a Saturday. The deadline for Progress Reports due December 1st would be moved to the next business day, Monday, December 3, 2012. Deadlines are subject to change.

CONTACTS

Please direct all inquiries to cdi@kids.wustl.edu.

- **Administrator:** Tim Butts, Email: cdi@kids.wustl.edu
- **Scientific Director:** Mary Dinauer, M.D., Ph.D., Email: cdi@kids.wustl.edu
- **Executive Director:** Gary Silverman, M.D., Ph.D., Email: cdi@kids.wustl.edu

All CDI forms, instructions, and policies may be found at the following URL:
<http://www.childrensdiscovery.org/content/formsandinstructions.htm>.

APPLICATION TYPES

- New: an application that is being submitted for the first time.
- Renewal: a renewal of an application that was previously or is currently funded. Renewals of existing CDI awards will be considered in rare circumstances if the research proposed endeavors to answer questions of great importance to child health and to significantly further the work outlined in the initial award. The CDI will fund no more than one renewal per project. Faculty Recruitment/Scholar Awards and Postdoctoral Fellowships are not eligible for renewals.
- Resubmission: a revised or amended version of an application that was previously submitted to the agency.
- Continuation: progress report of funded award.

GRANT SUBMISSION STATUS DEFINITIONS

- LOI - In Progress: applicant initiated a Letter of Intent, but the LOI is incomplete.
- LOI - Pending: applicant submitted a Letter of Intent for agency review.
- LOI - Not Invited: applicant was not invited to submit a full proposal.
- Proposal - In Progress: applicant was invited to submit a full proposal. The proposal has not been submitted for agency review.
- Proposal - Pending: applicant submitted a proposal for agency review.
- Proposal - Not Funded: applicant's proposal was not funded.
- Awarded - Grant: applicant's proposal was funded. Grant will remain in this status until the final year of the project. At that time, its status will change to "Final Report or No Cost Extension Request/Progress Report."
- Final Report or No Cost Extension Request/Progress Report: awardee has completed the progress report phase and needs to initiate and upload applicable documents for either a Final Report or No Cost Extension Request/Progress Report.
- No Cost Extension Request/Progress Report in Progress: awardee initiated a No Cost Extension Request/Progress Report, but has not yet been submitted to agency for review.
- No Cost Extension Request/Progress Report Pending: awardee submitted a No Cost Extension Request/Progress Report for agency review.
- No Cost Extension Request/Progress Report Approved: The No Cost Extension Request/Progress Report has been reviewed and approved by agency.
- Final Reports: awarded grant is in the final year of the project.
- Grant Cycle Complete: final report for awarded grant has been accepted.

FORMAT SPECIFICATIONS

- Form Pages: CDI form pages can be found at <http://www.childrensdiscovery.org/content/formsandinstructions.htm>.
- Format: documents should be single-spaced with one-half inch margins and Arial font size 11.
- Headers and Footers: Headers and footers should not be entered.
- File Format: All documents must be converted into Portable Document Format (PDF) prior to submission.
- Page Limits: page limits do not apply to other components of the progress report not listed below.
 - The Updated Project Summary is limited to 200 words.
 - Biosketches submitted for new key personnel are limited to 5 pages per investigator.
 - The Progress Report (including the graphic) should not exceed 3 pages.

KEY PERSONNEL AND PERSONNEL CLASSIFICATIONS

The CDI Grants Policies state: "Key personnel are defined as individuals who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries are requested. For an individual to qualify as a key person, he/she should generally hold a faculty title and their contribution to the project should be vital. Without his/her expertise, the project would not be able to continue."

Mentors of fellowship applicants should be listed as key personnel

Key personnel are required to have measurable effort unless the primary aim of the proposal is to purchase equipment or the key person is a mentor to a fellowship applicant. The associated salary/fringes of the key personnel's effort may be cost shared. CDI salaries are not subject to the NIH salary cap.

Personnel Classifications:

- **Principal Investigator:** effort required, key personnel. Principal Investigator(s) is/are the individual(s) who have assumed responsibility for directing the project supported by the grant. Multiple individuals may be designated as PIs provided they share the responsibility for leading and directing the project, both intellectually and logistically. Each PD/PI is responsible and accountable for the proper conduct of the project or program including the submission of all required reports. The presence of more than one identified PI on an application or award diminishes neither the responsibility nor the accountability of any individual PI. Fellowship applicants should be listed as the PIs of fellowship proposals. Scholar candidates should be listed as the PIs of Faculty Recruitment/Scholar applications.
- **Co-Principal Investigator:** effort required, key personnel. See definition of Principal Investigator. Note requirements for Multiple PI proposals.
- **Co-Investigator:** effort required, typically key personnel. Co-Investigators are involved with the PD/PI in the scientific development or execution of the project, but are not responsible for the leadership or direction of it.
- **Collaborator:** no effort, not key personnel. Collaborators contribute to the scientific development or execution of the project, but do not commit any measurable effort to it.
- **Consultant:** no effort, not key personnel. Consultants are non-WU employees who provide professional advice or services for a fee.
- **Mentor:** no effort, key personnel. Mentors provide the space, resources, and guidance necessary to enable fellows to complete their research project.

PROGRESS, FINAL AND NCE REPORT REQUIRED DOCUMENTS BY FUNDING MECHANISM

Progress Report Components	Core Large Initiatives (LI)	Educational Initiatives (EI)	Faculty Recruitment/Scholar Awards (FR)	Interdisciplinary Research Initiatives (II)	Large-Scale Interdisciplinary Research Initiatives (LI)	Postdoctoral Fellowships (F)
Online Questionnaire	X	X	X	X	X	X
Face Page	X	X	X OSRS approval not required.	X	X	X
Updated Project Summary	X	X	X	X	X	X
Detailed Budget for Next Budget Year	X	X		X	X	X
Budget Justification and Total Project Costs	X	X		X	X	X
Faculty Scholar Budget Utilization for the Current Budget Period			X			
Faculty Scholar Budget Plans for the Next Budget Period			X			
Biosketches of All New Key Personnel (required if "yes" to new personnel)	X	X		X	X	X
Progress Report	X	X	X	X	X	X
Core Users	X					
Human Subjects (required if "yes" to human subjects)	X			X	X	X
Vertebrate Animals (required if "yes" to vertebrate animals)	X			X	X	X
Grants, Publications, Abstracts, Presentations and Inventions Form	X	X	X	X	X	X

Final Progress Report Components	Core Large Initiatives (LI)	Educational Initiatives (EI)	Faculty Recruitment/Scholar Awards (FR)	Interdisciplinary Research Initiatives (II)	Large-Scale Interdisciplinary Research Initiatives (LI)	Postdoctoral Fellowships (F)
Updated Project Summary	X	X	X	X	X	X
Progress Report	X	X	X	X	X	X
Core Users	X					
Grants, Publications, Abstracts, Presentations and Inventions Form	X	X	X	X	X	X

NCE Progress Report Components	Core Large Initiatives (LI)	Educational Initiatives (EI)	Faculty Recruitment/Scholar Awards (FR)	Interdisciplinary Research Initiatives (II)	Large-Scale Interdisciplinary Research Initiatives (LI)	Postdoctoral Fellowships (F)
Updated Project Summary	X	X	N/A	X	X	X
Progress Report	X	X	N/A	X	X	X
Core Users	X		N/A			
Grants, Publications, Abstracts, Presentations and Inventions Form	X	X	N/A	X	X	X

PROGRESS, FINAL AND NCE REPORT COMPONENTS AND INSTRUCTIONS

See page 3 for the submission mechanisms and due dates for progress, final and NCE reports.

See page 6 for the applicable components of progress, final and NCE reports.

A. Accessing and Updating the Progress Report:

1. Log onto the CDI website (<http://www.childrensdiscovery-application.org/login.php>). Your active CDI projects will appear under the Progress Reports (Awarded Grants) or the Final Reports (Awarded Grants) headings.
2. Click the "continue" link below the title to move forward.
3. Select the year of the next budget period.
4. Click "Continue with Progress Report" button.
5. To make changes to a section, users may click on the appropriate section in the navigation menu at the top of the page. Note that changes will be saved as users update each section.

B. Online Questionnaire: enter applicable information; verify that the data on the Face Page corresponds with the information entered in this section.

1. New Key Personnel: select "yes" if any new key personnel were added in the current budget year or if any are anticipated to be added in the coming budget year. Note that a biosketch is required to be uploaded for each new key person.
2. Human Subjects: select "yes" if human subjects are involved. Note the Human Subjects requirements.
3. Vertebrate Animals: select "yes" if vertebrate animals are involved. Note the Vertebrate Animals requirements.
4. Click "Add Questionnaire and Continue."

C. Face Page (with the exception of Faculty Scholar Awards, all CDI continuations must route for OSRS approval and signature): complete all fields of the CDI Face Page and obtain the appropriate signatures. The original document should be scanned and converted to PDF. Enter the dates of the project period at the top of the form.

1. Check Continuation.
2. Do not complete for progress reports.
3. Select appropriate Center(s). Center is indicated in Grant ID; see Grants Policies for more information.
4. Select appropriate mechanism.
5. Do not complete for progress reports.
6. Enter approved project title.
7. For multiple PI applications, please list the contact PI (defined as the PI responsible for communication between the PIs and the CDI) in this section. The person listed in item 7 should sign as the PI.
8. Check the appropriate box for item 8. Please indicate if the project's use of human subjects has changed by clicking "Change." Please provide IRB approval number and approval date for item 8a.
9. Check the appropriate box for item 9. Please indicate if the project's use of animal subjects has changed by clicking "Change." Please provide IACUC approval number and approval date for item 9a.
10. Enter the dates of the next budget period in these fields.
11. Enter approved Facilities & Administrative (F&A)/ Indirect Costs (IDC) rate. If the F&A/IDC rate of the grant is 20% and there is equipment budgeted (10% F&A/IDC rate), please only list the primary F&A/IDC rate of 20%.

12. Enter the direct and total (direct + indirect) costs requested for the next budget period. Costs requested for the next budget period should mirror what was awarded.
13. Do not complete for progress reports.
14. List key personnel and their roles on the project. The PI or contact PI should be listed first, followed by the other PIs in alpha order (for multiple PI projects), and then the other key personnel in alpha order. Use a continuation page if necessary. For item 14a, check the appropriate box. If the project's multiple PI status or leadership plan has or will change, check "Change."
15. List performance sites of all Subrecipient institutions.
16. For multiple PI projects, the contact PI is the only PI signature required. Please also obtain signature from the PI's Department Chair and Institutional Official. For Faculty Recruitment/Scholar awards, only the PI and Dept Chair signatures are needed for progress report submission.

D. **Updated Project Summary:** limit to no more than 200 words. Use the Project Summary Page to provide a brief description of the *cumulative progress* made on the project. In the description, include what impact this progress has had or will have on the treatment, prevention, or cure of the pediatric diseases targeted by your CDI Center. Language should be able to be understood by a lay audience. Do not write in the first person. This summary *MAY* be posted on the CDI's website. It may also be used in press releases, as well as the CDI newsletter (which is distributed to donors), and other CDI-related PR. Do not include proprietary or confidential information in the project summary.

E. **Detailed Budget for Next Budget Year** (*not applicable for Faculty Recruitment/Scholar Awards*): use the detailed budget page to enter the proposed costs by category for the next budget year. The salary/effort requirements of all personnel on the project, including non-key personnel, should be included. If salary support is not requested for certain personnel, then the salaries of those individuals need not be listed

1. Refer to the CDI Grants Policies for further guidance on acceptable/ unacceptable budget items, indirect cost rates, key personnel, and equipment. Also, see the Key Personnel and Personnel Classifications section above.
2. Costs and dates for the next budget period should mirror what was awarded.

For multiple PI grants, provide one detailed budget. This budget should reflect the combined costs, regardless of how the money is to be distributed amongst the PIs.

If the project includes a subaward agreement, include the subrecipient's budget after the primary institution's budget.

Grantees should consult the CDI Grants Policies for instructions on how to request rebudgeting after the continuation budget has been approved.

F. **Budget Justification and Total Project Costs** (*not applicable for Faculty Recruitment/Scholar Awards*): use the applicable form page. To enter information in embedded Excel table, double click on the table (Excel table version requires Word 2007 or later; use the Word table version if unable to open the table). List direct and indirect cost amounts for the next budget period in the appropriate budget year column.

In the justification, account for the use of funds in each category listed on the detailed budget for the next year of the project. For the personnel category, justify the roles and list effort requirements (in percentages) of all personnel on the grant, including non-key personnel.

Provide an explanation for those line items and amounts that represent a significant change from previously recommended levels. If there will be a change in the level of effort devoted to the project from what was approved in the competing application for the PI or other Key Personnel, provide a justification of the reduction for those individuals.

For multiple PI grants, provide one budget justification. The budget justification should account for the use of funds in each category, regardless of how the money is to be distributed amongst the PIs.

If the project includes a subaward agreement, include the subrecipient's budget justification after the primary institution's budget justification.

- G. Faculty Scholar Budget Utilization for the Current Budget Period** (*required for Faculty Recruitment/Scholar Awards only*): use the Continuation page to provide a brief narrative describing how funds were and are being used during the current year. Provide a breakdown of the approximate dollars utilized for each category: personnel, equipment, supplies and other expenses, and travel.
- H. Faculty Scholar Budget Plans for the Next Budget Period** (*required for Faculty Recruitment/Scholar Awards only*): use the Continuation page to provide a brief narrative describing how funds will be utilized in the coming year. Provide a breakdown of the dollars you anticipate spending on each of the following categories: personnel, equipment, supplies and other expenses, and travel.
- I. NIH Biosketches of All NEW Key Personnel** (*required if "new key personnel" is checked "Yes" on the online questionnaire. Not applicable for Faculty Recruitment/Scholar Awards.*): provide NIH biosketches with personal statement for all NEW key personnel. A sample NIH biosketch can be found on the CDI website. Instructions for the biosketch appear on the biosketch form page. Biosketches of new personnel should appear in alphabetical order.
- J. Progress Report:** use the Progress Report form page. The progress report should not exceed 3 pages (including the color graphic). The Progress Report should be a brief presentation of the accomplishments of the research project during the reporting period in language understandable to a general biomedical scientist who is not a specialist in the project's research field.
1. Progress Report Form Page
 - a. Progress Report for Year ___ of Project: in the blank field, enter the year (1, 2, etc.) of the project for which the progress report is being provided.
 - b. Period Covered By This Report: enter current budget period (i.e. period for which the progress report is being provided).
 - c. Title of Project: title should match what was provided on the face page.
 2. Specific Aims
 - a. List the approved specific aims of the project. If the investigators are proposing modified aims, also provide the revised aims and the reason for the modification.
 - b. For Faculty Recruitment/Scholar Awards, list the goals of your research as stated in your proposal.
 3. Accomplishments and Plans
 - a. For this reporting period, describe the progress made towards your project milestones and goals for this year as stated on your project milestones timetable. Include major activities, significant results (positive and negative), and key outcomes and other achievements.

- b. Summarize plans to accomplish the remaining project goals and objectives in the next period of support. Include any important modifications to previously approved plans.
 - c. Describe progress in obtaining non-CDI extramural support for this project.
 - d. For Faculty Recruitment/Scholar Awards, describe the progress of your research program.
 - e. For Core Large Initiatives, describe how this resource enhanced the CDI and/or WU community.
 4. Impact and Significance
 - a. Explain the significance of the findings to the scientific field and their potential impact on children's health.
 - b. For Core Large Initiatives, explain how this resource has encouraged new discoveries in children's health and what the potential impact of those discoveries will be.
 5. Color Graphic
 - a. Include at least one color graphic illustrating a key element of the project. Acceptable graphics include photographs, microscope images, graphs, etc. Note that these graphics may be used on the CDI website and in other CDI PR.
- K. **Core Users** (*required for Core Large Initiatives only*): use the Core Users form unless the Core Users form does not allow the PI to sufficiently showcase who used the Core and how. In the event the Core Users form is insufficient, PIs are welcome to present the information in another format suitable to the Core. List the users who have utilized the core during the current project period (cumulative list of all users to date, not just the past year), their department, and their actual usage of the Core. If a user is a member of a PI's lab, please list the PI only. Provide actual use of the core. The Core PI is free to decide how to best calculate proportional use (dollars, core service units, etc.). PIs may utilize the Core Service Units or Core Service Dollars column to auto-calculate usage based on core service dollars utilized. PIs need not complete information for both Units and Dollars columns (one column is sufficient). Usage percentages should add up to 100%.
- L. **Human Subjects** (*required if human subjects is checked "Yes." Not applicable for Educational Initiatives and Faculty Recruitment/Scholar Awards*): use the Continuation Page to briefly describe any changes made to study's protocol(s) if applicable. Upload the HRPO approval.
- M. **Vertebrate Animals** (*required if vertebrate animals is checked "Yes." Not applicable for Educational Initiatives and Faculty Recruitment/Scholar Awards*): use the Continuation Page to briefly describe any changes made to study's protocol(s) if applicable. Upload the ASC approval.
- N. **Grants, Publications, Abstracts, Presentations and Inventions**: use the Grants, Publications, Abstracts, Presentations and Inventions Form Page. Provide a cumulative, comprehensive list for each section, with any updates to a prior report in red. The list should include **ALL** grants, publications, abstracts, presentations and inventions resulting from this CDI project to date, not just for the past year. If the CDI project is a renewal, include products of original and renewal funding. Faculty Scholars should include all grants, publications, abstracts, presentations and inventions received since the receipt of their CDI funding. Core Large Initiatives should list grants, publications, abstracts, presentations and inventions that have been made possible by the use of the core. This will require the Core PI to request this information from each of the Core users.
1. Grants: provide the agency/mechanism, title, project period, total costs (includes direct and indirect costs) requested/awarded for the project period, and status (pending, funded,

completed, not funded) of all grants resulting directly from this CDI Award. Please DO NOT include subsequent support received from CDI (if applicable).

2. **Publications and Papers Submitted:** list the complete citation (author(s), title, journal or book, volume, page number, year) of all publications and papers resulting directly from this grant (i.e. CDI should be listed in the grant support section of the publication). Directly following citation or manuscript information, indicate the status of the paper (published, accepted for publication, submitted, or in review).
3. **Abstracts:** include the status (published/presented or submitted). Abstract should acknowledge CDI support if possible.
4. **Presentations at National/International Meetings:** include title of presentation, name of national/international meeting, and where/when the presentation took place. Presentations should acknowledge CDI support if possible.
5. **Inventions:** provide the title, name of the inventor(s), date reported, and identification number (disclosure number, patent application serial number, or patent number). Note: If no inventions have been made, insert the word "NONE".
 - a. All inventions are to be reported to the CDI on the Inventions/Patent Report form. If there are inventions to report and this form has not been previously submitted, please complete the form and submit it to cdi@kids.wustl.edu as soon as possible.

- O. **Progress Report Submission:** once all applicable documents have been uploaded, click "Continue to Submit Progress Report." Then click "Submit Progress Report for Year _" after verifying that all sections have been completed and uploaded successfully.

If the submission was successful, the user will be redirected to the home page of the grants application system. They will be able to view the submitted progress report by clicking "view" below the grant's title. When the new page opens, the user can scroll down to the section on progress reports to view what has been submitted. The user will also receive a confirmation email.