WASHINGTON UNIVERSITY IN ST. LOUIS	Office of Sponsored Research Services (OSRS)

eRA Commons: Research Performance Progress Report (RPPR) Procedures

For PI or Designee:

PRIOR TO SUBMISSION → **AN OSRS APPROVED RESEARCH MANAGEMENT SYSTEM PD RECORD IS REQUIRED BY OSRS. ONCE OSRS HAS APPROVED THE PD RECORD, EMAIL OR FAX THE SIGNED PROPOSAL CERTIFICATION (PC) FORM AND APPLICABLE APPROVALS (E.G. IRB OR IACUC) TO YOUR ASSIGNED GRANT ANALYST/RESEARCH GRANTS SPECIALIST.**

Login to eRA Commons: https://public.era.nih.gov/commons/public/login
From the Menu: Choose on RPPR
Choose the appropriate Grant Number
Initiate RPPR

A.	Cover Page
A.2	**Signing Official Information:** Should be Teri Medley's information (same as hard copy PHS 398 or 2590)
A.3	**Administrative Official Information:** Should be Teri Medley's information (same as hard copy PHS 398 or 2590)
A.4	**Recipient Organization Information:** Is auto-populated by Commons. The Recipient ID field is open and for internal purposes. It will populate on the 'Cover Page' of the RPPR – but will not affect its submission to NIH. Can be PD Record number or anything else to assist in identifying the proposal.

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B.	Accomplishments
B. 1	**What are the major goals of the project?** List the major goals of the project as stated in the approved application or as approved by the agency. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion. Generally, the goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the agency approved application or plan. "Goals" are equivalent to "specific aims." Significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2). **List the major goals in the text box provided** (NIH recommended length is up to 1 page. *Limit is 8000 characters or approximately 3 pages*.) *Please be mindful of special characters when copying and pasting into this text box.*
B.1.a	**Have the major goals changed since the initial competing award or previous**

		report? Yes or No **If yes, list the revised major goals below** (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.) *Please be mindful of special characters when copying and pasting into this text box.*
B. 2		**What was accomplished under these goals?** For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments. "Goals" are equivalent to "specific aims." In the response, emphasize the significance of the findings to the scientific field. **Response should not exceed 2 pages.** Upload document and view to ensure it's been uploaded properly.
B. 3		**Competitive Revisions/Administrative Supplement** **For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?** Yes or No *If yes,* identify the Revision(s)/Supplement(s) by grant number (e.g., 3R01CA098765-01S1) or title and describe the specific aims and accomplishments for each Revision/Supplement funded during this reporting period. Include any supplements to promote diversity or re-entry, or other similar supplements to support addition of an individual or a discrete project. **Revision/Supplement # or Revision/Supplement Title to be entered in text box provided.** **Describe the specific aims for this Revision/Supplement in the text box provided** *(Limit is 700 characters or approximately ¼ of a page.)* **Describe the accomplishments for this Revision/Supplement in the text box provided** *(Limit is 700 characters or approximately ¼ of a page.)*
B. 4		**What opportunities for training and professional development has the project provided?** *If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, state "Nothing to Report."* Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. "Training" activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional development" activities result in increased knowledge or skill in one's area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities. For T, F, K, R25, R13, D43 and other awards or award components designed to provide training and professional development opportunities, a response is required. Do not reiterate what is reported under Accomplishments. Limit the response to this reporting period. **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**
B.5		**How have the results been disseminated to communities of interest?**

	Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.
	Reporting the routine dissemination of information (e.g., websites, press releases) is not required. For awards not designed to disseminate information to the public or conduct similar outreach activities, a response is not required and the grantee should select "Nothing to Report". A detailed response is only required for awards or award components that are designed to disseminate information to the public or conduct similar outreach activities. Note that scientific publications and the sharing of research sources will be reported under Products.
	Either check the 'Nothing to Report' box or enter description in the space provided. (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.) ***Please be mindful of special characters when copying and pasting into this text box.***
B.6	**What do you plan to do during the next reporting period to accomplish the goals?**
	Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.
	Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.).
	Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Changes.
	Enter response in the space provided. (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)
	Please be mindful of special characters when copying and pasting into this text box.

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C.	**Products**
C.1	**Publications**

		Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, monograph) during the reporting period resulting directly from this award? Yes or No
C.2		**Website(s) or other Internet site(s)** List the URL for any Internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above. For awards not designed to create or maintain one or more websites select "Nothing to Report". A description is only required for awards designed to create or maintain one or more websites. Limit the response to this reporting period. **Either check the 'Nothing to Report' box or enter description in the space provided.** (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.) ***Please be mindful of special characters when copying and pasting into this text box.***
C.3		**Technologies or Techniques** Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared. Limit the response to this reporting period. **Either check the 'Nothing to Report' box or enter description in the space provided.** (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.) ***Please be mindful of special characters when copying and pasting into this text box.***
C.4		**Inventions, patent applications and/or licenses** **Have inventions, patent applications and/or licenses resulted from the award during this reporting period?** Yes or No **If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization?** Yes or No Reporting of inventions through iEdison is strongly encouraged.
C.5		**Other products and resource sharing.**
C.5.a		**Other products** Identify any other significant products that were developed under this project. Describe the product and how it is available to be shared with the research community. Do not repeat information provided above. Limit the response to this reporting period. Examples of other products are: audio or video products; data and research material (e.g., cell lines, DNA probes, animal models); databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware. **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**
C.5.b		**Other resource sharing** If the initial research plan addressed, or the terms of award require, a formal plan for sharing final research data, model organisms, Genome Wide Association Studies data, or other such project-specific data, describe the progress in implementing that plan. For sharing model

organisms, include information on the number of requests received and number of requests fulfilled during this reporting period. If the sharing plan is fully implemented, provide a final statement on data sharing.

Either check the 'Nothing to Report' box or upload description in the space provided for upload.

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D.	**Participants**
D.1	**What individuals have worked on this project?**
	Provide OR UPDATE the following information FOR: (1) program director(s)/principal investigator(s) (PDs/PIs); AND (2) EACH person who has worked AT LEAST one person MONTH per YEAR ON the project during the reporting period, regardless OF the source OF compensation (a person MONTH equals approximately 160 hours OR 8.3% OF annualized effort).
	Provide the name AND identify the ROLE the person played IN the project. Indicate the nearest whole person MONTH (Calendar, Academic, Summer) that the individual worked ON the project. Show the most senior ROLE IN which the person has worked ON the project FOR ANY significant LENGTH OF TIME. FOR example, IF an undergraduate student graduates, enters graduate school, AND continues TO WORK ON the project, show that person AS a graduate student.
	Instructions
	• An individual's Commons user ID may be used to partially populate his or her information.
	• A Commons ID is required for all individuals with a postdoctoral role.
	• Individuals with a [postdoctoral-like role](#) should be identified as "Postdoctoral (scholar, fellow, or other postdoctoral position)."
	• Do not include Other Significant Contributors who are not committing any specified measurable effort to this project.
	• Do not report personnel for whom a PHS 2271 Appointment form has been submitted through xTRAIN.
	• Required fields are marked with an *.
D.2	**Personnel Updates**
D.2.a	**Level of Effort**
	Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort from what was approved by the agency for the PD/PI(s) or other senior/key personnel designated in the Notice of Award, or (2) a reduction in the level of effort below the minimum amount of effort required by the Notice of Award?
	Yes or No

	Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once agency approval has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level. Selecting "yes" constitutes a prior approval request to the agency and the issuance of a subsequent year of funding constitutes agency approval of the request.
	If yes, provide an explanation in the space provided. (Limit is 700 characters or approximately 1/4 of a page.) ***Please be mindful of special characters when copying and pasting into this text box.***
D.2.b	**New Senior/Key Personnel** Are there, or will there be, new senior/key personnel? Yes or No Senior/key personnel are those identified by the grantee institution as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not salaries are requested. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement. **If New Senior/Key Personnel, upload the biosketches in the space provided.**
D.2.c	**Changes in Other Support** **Has there been a change in the active other support of senior/key personnel since the last reporting period?** Yes or No **If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been.**
D.2.d	**New Other Significant Contributors** **Are there, or will there be, new other significant contributors?** Yes or No Other significant contributors are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. **If yes, upload biosketches for all new other significant contributors in the space provided.**
D.2.e	**Multiple-PI (MPI) PI Leadership Plan** **Will there be a change in the MPI Leadership Plan for the next budget period?** N/A, Yes or No **NOTE:** Change in status of PD/PI requires prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.6). **If yes, upload a revised MPI Leadership Plan that includes a description of the change(s).**

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E.	Impact
E.1	**Only applicable for the following Education Awards: D42, K30, R13, R25, RL5, T14, T36, U13 and U2R.** **What is the impact on the development of human resources?** Describe how the project made an impact or is likely to make an impact on human resource development in science, engineering, and technology. For example, how has the project: 1) provided opportunities for research and teaching in the relevant fields; 2) improved the performance, skills, or attitudes of members of underrepresented groups that will improve their access to or retention in research, teaching, or other related professions; 3) developed and disseminated new educational materials or provided scholarships; or 4) provided exposure to science and technology for practitioners, teachers, young people, or other members of the public?
E.2	**What is the impact on physical, institutional, or information resources that form infrastructure?** Describe ways, if any, in which the project made an impact, or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including: • physical resources (such as facilities, laboratories, or instruments); • institutional resources (such as establishment or sustenance of societies or organizations); or • information resources, electronic means for accessing such resources or for scientific communication, or the like. If the award or award component(s) is not intended to support physical, institutional, or information resources that form infrastructure, select "Nothing to Report". **Either check the 'Nothing to Report' box or enter description in the space provided.** (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)***Please be mindful of special characters when copying and pasting into this text box.***
E.3	**Only applicable for the following SBIR/STTR awards: R41, R42, R34, R44, U43, and U44).** **What is the impact on technology transfer?** Describe ways in which the project made an impact, or is likely to make an impact, on commercial technology or public use, including: • transfer of results to entities in government or industry; • instances where the research has led to the initiation of a start-up company; or • adoption of new practices.
E.3.a	**Only applicable for the following SBIR/STTR awards: R41, R42, R34, R44, U43, and U44).** **Commercialization Activities.** Report on the status of commercialization activities resulting from the award: Nothing to report or select one or more of the following: • Sales = $_____ • Licensing revenue = $_____

	• 3rd Party investment since award start (Non-federal) = $_____ • Sale of company • Sale of technology rights • Company merger related to product • Joint venture agreement • Marketing/Distribution agreement(s) • Manufacturing agreement(s) • R&D agreements • Customer alliance(s) • Other _____ [60 character limit]
E.3.b	**Only applicable for the following SBIR/STTR awards: R41, R42, R34, R44, U43, and U44).** **FDA Interactions** Report on interactions with the Food and Drug Administration during the reporting period related to the technology that is the subject of the award: • Not applicable to this technology or select one or more of the following: • Discussion with FDA not initiated • Discussion with the FDA initiated o Approval in Progress o Applied for approval o Review ongoing o In human clinical trials o Other_____ o Approval Granted: Type _____ o Not approved
E.4	**What dollar amount of the award's budget is being spent in foreign country(ies)?** For domestic awardees provide the dollar amount obligated to first-tier subawards to foreign entities for this reporting period. For foreign awardees provide the dollar amount of the award, excluding all first-tier subawards to U.S. entities, for this reporting period. Dollars provided should reflect total costs. If more than one foreign country, identify the distribution between the foreign countries. **Either check the 'Nothing to Report' box, or provide the amount spent in a foreign country and identify which country.**

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F.	**Changes**
F.1	**Only applicable for the following Education Awards: D42, K30, R13, R25, RL5, T14, T36, U13 and U2R.**

	Changes in approach and reasons for change Describe changes for the next budget period. Include, as appropriate, the role of external advisory committees, significant new content, procedures or experiences, and indicate how these aid in strengthening and realizing the objectives and goals of the award.	
F.2	**Actual or anticipated challenges or delays and actions or plans to resolve them** Describe challenges or delays encountered during the reporting period and actions or plans to resolve them. Describe only significant challenges that may impede the research (e.g., accrual of patients, hiring of personnel, need for resources or research tools) and emphasize their resolution **Either check the 'Nothing to Report' box, or describe challenges or delays and plans to resolve them in the space provided.** (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.) ***Please be mindful of special characters when copying and pasting into this text box.***	
F.3	**Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents**	
F.3.a	**Human Subjects** If human subject protocols are or will be different from the previous submission, include a description and explanation of how the protocols differ and provide a new or revised Protection of Human Subjects Section as described in the competing application instructions. **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**	
F.3.b	**Vertebrate Animals** If there are or will be significant changes to the uses of vertebrate animals from the previous submission, provide a description of the changes. Examples of changes considered to be significant include, but are not limited to, changing animal species, changing from noninvasive to invasive procedures, new project/performance site(s) where animals will be used, etc. If studies involving live vertebrate animals are planned and were not part of the originally proposed research design, provide a new or revised Vertebrate Animal Section as described in the competing application instructions. **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**	
F.3.c	**Biohazards** If the use of biohazards is or will be different from the previous submission, provide a description and explanation of the difference(s). **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**	
F.3.d	**Select Agents** If the possession, use, or transfer of Select Agents is or will be different from that proposed in the previous submission, including any change in the select agent research location and/or the required level of biocontainment, provide a description and explanation of the differences. If the use of Select Agents was proposed in the previous submission but has not been approved by regulatory authorities, provide an explanation. If studies involving Select Agents are planned and were not part of the originally proposed research design, provide a description of the proposed use, possession, transfer, and research location as described in the competing application instructions.	

	U.S. Select Agent Registry information: http://www.selectagents.gov/Select%20Agents%20and%20Toxins.html **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**

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G.	**Special Reporting Requirements**
G.1	**Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements** Address any special reporting requirements specified in the award terms and conditions in the Notice of Award (NoA) or Funding Opportunity Announcement (FOA). **Either check the 'Nothing to Report' box or upload description in the space provided for upload.**
G.2	**Only applicable for Individual Career Development Awards, Fellowship Awards, and Education Awards: K01, K02, K05, K06, K08, K18, K22, K23, K24, K25, K26, K99, KL1, F05, F30, F31, F32, F33, F34, F37, D42, K30, R13, R25, RL5, T14, T36, U13 and U2R.** **Responsible Conduct of Research (for award types listed above)** If required in the FOA for this award, describe the nature of the responsible conduct of research instruction and the extent of participant and faculty involvement. Include a description of any enhancements and/or modifications to the five instructional components (Format, Subject Matter, Faculty Participation, Duration, and Frequency) from the plan described in the competing application. Faculty members who were contributors to formal instruction in responsible conduct of research during the last budget period must be named. Additional detailed guidance on this requirement is found in the competing application instructions.
G.3.	**Only applicable for Individual Career Development Awards and Fellowship Awards: K01, K02, K05, K06, K08, K18, K22, K23, K24, K25, K26, K99, KL1, F05, F30, F31, F32, F33, F34 and F37.** **Mentor's Report (K awards)** For **mentored K awards**, provide a letter signed by the mentor, in PDF format, assessing the awardee's progress and performance during this reporting period, both in research and in terms of development into an independent investigator in the area of the award. Include information on the availability of support for the candidate's research project during the next budget segment. For applicable career transition awards (e.g., K22, K99), the mentor should describe the awardee's efforts to transition into a permanent research position and the sponsor's contributions to that process. If required to submit letters from more than one mentor, letters should be assembled in one PDF file. For non-mentored K awards, select "Not Applicable." **Sponsor Comments (F awards)** Provide a letter signed by the sponsor, in PDF format, assessing the quality of the research

	training (including academic work) and research progress made by the Fellow during this reporting period.
G.4	**Human Subjects**
G.4.a	**Does the project involve human subjects?** Yes or No

Is the research exempt from Federal regulations? Yes or No
If yes, check the appropriate exemption number(s): E1; E2; E3; E4; E5 or E6

Does this project involve a clinical trial? Yes or No
If yes, is this an NIH defined Phase III Clinical Trial? Yes or No |
| **G.4.b** | **Inclusion Enrollment Data**
Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race. Follow the 'click here' link provided for complete instructions about this requirement. Please contact the NIH Program Official Adam Smith at eRADemo@mail.nih.gov with any questions. |
| **G.4.c** | **ClinicalTrials.gov**

Does this project include one or more applicable clinical trials that must be registered in ClicialTrials.gov under FDAAA? Yes or No

If yes, add the ClinicalTrials.gov identifier, NCT number (e.g. NCT000654321) for those trials in the box provided. |
| **G.5** | **Human Subjects Education Requirement**

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research? Yes or No

If yes, provide the following in the text box (Limit is 1300 characters or approximately ½ of a page):
- Name(s) of individual(s)
- Title of the education program completed by each individual, and
- A one sentence description of the program |
| **G.6** | **Human Embryonic Stem Cells (hESCs)**

Does this project involve human embryonic stem cells? Yes or No
Only hESC lines listed as approved in the NIH Registry may be used in NIH funded research.

If yes, identify the hESC Registration number(s) from the NIH Registry in the box provided.

If there is a change in the use of hESCs, provide an explanation in the text box (Limit is 700 characters or approximately ¼ of a page)*****Please be mindful of special characters when copying and pasting into this text box.***** |
| **G.7** | **Vertebrate Animals**

Does this project involve vertebrate animals? Yes or No |
| **G.8** | **Project/Performance Sites**

If there are changes to the project/performance site(s) displayed on the screen, edit as appropriate:
Required fields are as follows:
Organization Name |

		DUNS or DUNS+4 *Address 1* *Address2 (if applicable)* *City* *State* *Province* *County* *Country* *Zip Code* *Congressional District* (e.g. MO-03 for Missouri, 3rd District) **Is this the primary Project/Performance site?** Yes or No ***There should be a Project/Performance Site listed – if not, add providing the information in the fields above***
G.9		**Foreign Component**
		"Foreign component" is defined as significant scientific activity that was performed outside of the United States, either by the grantee or by a researcher employed by a foreign organization, whether or not grant funds were expended. The following grant-related activities are significant and must be reported: • involvement of human subjects or research with live vertebrate animals; • extensive foreign travel by grantee project staff to collect data, or conduct surveys or sampling activities; or • any grantee activity that may have an impact on U.S. foreign policy. Examples of other grant-related activities that *may* be significant are: • collaborations with investigators at a foreign site anticipated to result in co-authorship; • use of facilities or instrumentation at a foreign site; or • receipt of financial support or resources from a foreign entity. Foreign travel for consultation does not meet the definition of foreign component. **Check the No foreign component box → or provide the organization name, country, and description of each foreign component is the spaces provided.** The description of the foreign component is limited to 700 characters, or approximately ¼ of a page. ****Please be mindful of special characters when copying and pasting into this text box.****
G.10		**Estimated Unobligated Balance**
G.10.a		**Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total approved budget?** Yes or No 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 yes, provide the estimated unobligated balance in the box provided
G.10.b		**Provide an explanation for the unobligated balance in the text box** (Limit is 700 characters or approximately ¼ page) *****Do not add information that indicates funding has been 'saved' for a specific purpose. Reasoning behind an unobligated balance should reflect an issue with hiring staff or perhaps a late start date on the initial NoA.*****
G.10.c		**If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent in the text box. See the NoA for**

	carryover determination (e.g. Carryover requires/does not require Grants Management prior approval) (Limit for the explanation is 1300 characters or approximately ½ page) **Please be mindful of special characters when copying and pasting into this text box.***
G.11	**Program Income** Is program income anticipated during the next budget period? Yes or No If yes, use the text boxes provided to reflect the amount and the source(s).
G.12	**F&A Costs** Is there a change in performance sites that will affect the F&A costs? Yes or No If yes, provide an explanation in the text box (Limit is 1300 characters or approximately ½ page). **Please be mindful of special characters when copying and pasting into this text box.***

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H	**Budget → Not Applicable at this time**