Research Performance Progress Report (RPPR):

MIT OFFICE OF SPONSORED PROGRAMS
Quick Reference

Preparing a Report Using the New RPPR Format

The Office of Management and Budget (OMB) and Office of Science and Technology Policy issued a policy memorandum on April 21, 2010 , mandating that federal agencies implement a federal-wide research performance progress report (RPPR) for submission of required annual or other interim performance reporting on research grant and cooperative agreement awards to standardize recipient reporting on federally-funded research projects.

The RPPR consists of eight components:

A. Cover Page (Mandatory)
B. Accomplishments (Mandatory)
C. Products
D. Participants & Other Collaborating Organizations
E. Impact
F. Changes/Problems
G. Special Reporting Requirements
H. Budget

Agencies have been granted flexibility as to when and how they will implement the RPPR, so not all components will be required by all agencies. The Cover Page and Accomplishments components are mandatory, but other components may be optional depending on the nature of the research and whether the information is relevant to that agency. Also, some agencies may require only certain questions of a given component. Agencies that require submission through electronic formats may pre-populate some of the information if it has already been provided to them in another form.

The following checklist has been developed by OSP, based on the data dictionary issued by OMB in conjunction with the RPPR format, to aid you in preparing components that are required by your agency. **If you have questions about the requirements or implementation timeline for your particular agency, please contact the agency official for your award.**

A. Cover Page – Mandatory for all agencies

- ☐ Federal Agency and Organization Element to Which Report is Submitted
- ☐ Federal Grant or Other Identifying Number Assigned by Agency
- ☐ Project Title
- ☐ PD/PI Name, Title and Contact Information (e-mail address and phone number)
- ☐ Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
- ☐ Submission Date (n/a when submitted online through agency website)
- ☐ DUNS and EIN Numbers
- ☐ Recipient Organization (Name and Address)
- ☐ Recipient Identifying Number or Account Number, if any
- ☐ Project/Grant Period (Start Date, End Date)
- ☐ Reporting Period End Date
- ☐ Report Term or Frequency (annual, semi-annual, quarterly, other)
- ☐ Signature of Submitting Official (signature shall be submitted in accordance with agency specific instructions)

If an agency uses an electronic reporting system, much or all of this information may be pre-populated in the form, however verification of the information may be required.

B. Accomplishments – Mandatory for all agencies

The PI is reminded that the grantee is required to obtain prior written approval from the awarding agency grants official whenever there are significant changes in the project or its direction. See agency specific instructions for submission of these requests.

The following information may be submitted in writing (8000 character limit – approx. 3 pages):

- ☐ What are the major goals and objectives of the project?
- ☐ What was accomplished under these goals?
- ☐ What opportunities for training and professional development has the project provided?
  - Check "Nothing to Report", if applicable
- ☐ How have the results been disseminated to communities of interest?
  - Check "Nothing to Report", if applicable
- ☐ What do you plan to do during the next reporting period to accomplish the goals and objectives?

C. Products – Optional for some agencies

List any products resulting from the project during the reporting period. Some agencies may have existing electronic submission tools for product reporting (e.g., MyNCBI, iEdison, etc.). If you have previously submitted product information using one of these tools, you may be able to upload this information into the report, using the agency's electronic RPPR tool. If there is nothing to report under a particular item, check "Nothing to Report." Possible products include:

Publications, conference papers, and presentations

- ☐ **Journal publications.** List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under "Books or other non-periodical, one-time publications." Identify for each publication:
  - ☐ Author(s);
  - ☐ title;
  - ☐ journal; volume: year; page numbers;
  - ☐ status of publication (published; accepted, awaiting publication; submitted, under review; other);
  - ☐ acknowledgement of federal support (yes/no).
- ☐ **Books or other non-periodical, one-time publications.** Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like. Identify for each one-time publication:
  - ☐ author(s);
  - ☐ title;
  - ☐ editor;
  - ☐ title of collection, if applicable;
  - ☐ bibliographic information;
  - ☐ year;
  - ☐ type of publication (book, thesis or dissertation, other);
  - ☐ status of publication (published; accepted, awaiting publication; submitted, under review; other);
  - ☐ acknowledgement of federal support (yes/no).
- ☐ **Other publications, conference papers and presentations**. Identify any other publications, conference papers and/or presentations not reported above. Specify the status of the publication as noted above.

Website(s) or other Internet site(s)

List any Internet site(s) that disseminates the results of the research activities. It is not necessary to include the publications already specified above in this section. For each site provide:

- ☐ Title (name of website)
- ☐ URL
- ☐ Short description (8000 character limit)

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 (8000 character limit)

Intellectual Property

- ☐ Inventions
  - ☐ Title (250 character limit)
  - ☐ Invention description (2000 character limit)
  - ☐ Inventors (2000 character limit)
- ☐ Patents
  - ☐ Patent Abstract (2000 character limit)
  - ☐ Patent Title (250 character limit)
  - ☐ Patent Number
  - ☐ Country in which the patent resides
  - ☐ Application date
  - ☐ Application Status (Submitted, Pending or Granted)
  - ☐ Date patent issued
- ☐ Licenses
  - ☐ License Title (250 character limit)
  - ☐ License Status (None, Pending or Licensed)
  - ☐ Application Date
  - ☐ Date Issued
  - ☐ License Assignees (the organization requesting the license)

Other products,

Identify any other significant products that were developed under this project. For each product, provide a description of the product and how it is being shared (8000 character limit). Examples of other products are:

- ☐ Audio or video
- ☐ Databases
- ☐ Data and Research Material (e.g., cell lines, DNA probes, animal models)
- ☐ Educational aids or curricula
- ☐ Evaluation instruments
- ☐ Instruments or equipment
- ☐ Models
- ☐ Physical collections
- ☐ Protocols
- ☐ Software or NetWare
- ☐ Survey Instruments
- ☐ Other (field for product type description – 60 character maximum)

D. Participants & Other Collaborating Organizations – Optional for some agencies

Provide the following information on participants:

What individuals have worked on the project?

Provide the following information for: (1) principal investigator(s)/project director(s) (PIs/PDs); 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 of effort).

- ☐ Name
- ☐ Project Role
- ☐ Person Months Worked (to the nearest whole month)
- ☐ Contribution to the Project (2000 character limit; a "No Change" option will be provided)
- ☐ Funding Support (other than this award – 255 character limit)
- ☐ International Collaboration: Country of collaborator
- ☐ International Travel: Country of travel, duration of stay

What other organizations have been involved as partners?

Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations (foreign or domestic) – that have been involved with the project. If there is nothing significant to report during this reporting period, state "Nothing to Report."

- ☐ Partner Organization Name
- ☐ Partner Location (City, State, Country)
- ☐ Partner Contribution:
  - o Financial Support
  - o In-kind Support
  - o Facilities
  - o Collaborative research
  - o Personnel exchanges
  - o Other
- ☐ Description of Partner Contribution (8000 character limit)

Have other collaborators or contacts been involved?

Describe (8000 character limit) any significant:

- ☐ Collaborations with others within the Institute; especially interdepartmental or interdisciplinary collaborations
- ☐ Collaborations or contact with others outside the organization
- ☐ Collaborations or contacts with others outside the United States or with an international organization
- ☐ Country(ies) of collaborations or contacts

If there is nothing significant to report during this reporting period, check/state "Nothing to Report."

E. Impact – Optional for some agencies

This component will be used to describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period. Describe (8000 character limit) distinctive contributions, major accomplishments, innovations, successes, or any change in practice or behavior that has come about as a result of the project relative to:

- ☐ Development of the principal discipline(s) of the project
- ☐ Development of other disciplines
- ☐ Development of human resources
- ☐ Physical, institutional, and information resources that form infrastructure
- ☐ Technology transfer (include transfer of results to entities in government or industry, adoption of new practices, or instances where research has led to the initiation of a startup company)
- ☐ Society beyond science and technology
- ☐ Foreign Spending
  - o Country where funds were spent
  - o Dollar amount spent in foreign country

F. Changes/Problems – Optional for some agencies

The PI is reminded that the grantee is required to obtain prior written approval from the awarding agency grants official whenever there are significant changes in the project or its direction. See agency specific instructions for submission of these requests.

If not previously reported in writing, provide the following additional information (8000 character limit), if applicable:

- ☐ Changes in approach and reasons for change.
- ☐ Actual or anticipated problems or delays and actions or plans to resolve them.
- ☐ Changes that have a significant impact on expenditures.
- ☐ Significant changes in use or care of animals, human subjects, and/or biohazards.

If, for any item, there is nothing significant to report during this reporting period, state "Nothing to Report."

G. Special Reporting Requirements – Optional for some agencies

Respond to any special reporting requirements specified in the award terms and conditions, as well as any award specific reporting requirements.

Agencies may also use this section to gather data which is specific to the type of research that they fund. For example, NIH may require information regarding human subjects, stem cell research, and clinical trials. Please see the RPPR instructional guides for your reporting agency for agency-specific requirements.

H. Budgetary Information – Not implemented at this time

While this will eventually be a required section of the RPPR format, neither NIH nor NSF have implemented this component to date. When implemented, this section will be used to collect budgetary data using a format similar to that of the SF 424 R&R forms family, as implemented by Grants.gov. The information will be used in conducting periodic administrative/budgetary reviews. OSP and the agencies will provide more information on the implementation of this section as it becomes available.

Demographic Information for Significant Contributors – Optional for some agencies

Agencies may require that recipients provide demographic data about significant contributors for a variety of purposes, including to:

- Gauge whether programs and other opportunities are fairly reaching and benefiting everyone regardless of demographic category;
- Ensure that those in under-represented groups have the same knowledge of and access to programs, meetings, vacancies, and other research and educational opportunities as everyone else;
- Gauge and report performance in promoting partnerships and collaborations;
- Assess involvement of international investigators or students in work the agencies support;
- Track the evolution of changing science, technology, engineering and mathematics (STEM) fields at different points in the pipeline (e.g., medicine and law demographics have recently changed dramatically);
- Raise investigator and agency staff awareness of the involvement of under-represented groups in research;
- Encourage the development of creative approaches for tapping into the full spectrum of talent of the STEM workforce;
- Respond to external requests for data of this nature from a variety of sources, including NAS, Congress, etc.; and
- Respond to legislatively-required analysis of workforce dynamics. Legislation requires at least one agency to routinely estimate scientific workforce needs. This analysis is accomplished through reviewing demographic data submitted for the existing workforce.

Demographic data (i.e., gender, ethnicity, race, and disability status) should be provided directly by significant contributors, with the understanding that submission of such data is voluntary. There are no adverse consequences if the data are not provided. Confidentiality of demographic data will be in accordance with agency's policy and practices for complying with the requirements of the Privacy Act.

Additional Resources

- Research Performance Progress Report (RPPR) – hosted by NSF, provides general background and information about the RPPR, agency implementation plans and links to informative documents.
- NIH Research Performance Progress Report (RPPR) – provides details about the NIH implementation of the RPPR on eRA Commons, with links to detailed instructions and other training resources.
- Research.gov Project Reports – provides details about the NSF implementation of the RPPR on Research.gov (replaces FastLane), with links to detailed instructions and other training resources.
- NIH eRA Commons Help Desk:

  Web: http://era.nih.gov/help/
  Toll-free: 1-866-504-9552
  Phone: 301-402-7469
  TTY: 301-451-5939
  Hours: Mon-Fri, 7a.m. to 8 p.m. Eastern Time (Except for Federal holidays)
  E-mail: GrantsPolicy@od.nih.gov

- NSF Research.gov Help Desk:

  Web: Research.gov Help System
  Toll-free: 1-800-381-1532
  Hours: Mon-Fri, 7a.m. to 9 p.m. Eastern Time (Except for Federal holidays)
  E-mail: rgov@nsf.gov