Guidance on the Preparation of NIH Research Performance Progress Report

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NIH National Institutes of Health

Office of Extramural Research

Guidance on the Preparation of NIH Research Performance Progress Report

Office of Policy for Extramural Research Administration, OER, NIH

Objectives

- What is the RPPR?
  - When is it due?
  - RPPR Roles and Responsibilities
- Walk Through the RPPR
- After Submission – NIH Review and Requests for Additional Materials
- Q&A

WHAT IS THE RPPR?

National Institutes of Health
Office of Extramural Research

What is the RPPR?

- RPPR is the Research Performance Progress Report
- A federally mandated report format used across all agencies that provide research grants and contracts
- Used to document grantee accomplishments and compliance with the terms of the award
- Describes the scientific progress, identifies significant changes, reports on personnel, and describes plans for subsequent budget period or year (annual reports only)

3 Types of RPPRs

- Annual RPPR – Used to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year. Submitted for all Type 5 non-competing continuations.
- Final RPPR – Used as part of the grant closeout process. Same format as annual RPPR, with the additional of project outcomes and removal of budget and plans for the upcoming year.
- Interim RPPR – Used when submitting a renewal (Type 2) application. If the Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. If the Type 2 is funded, the Interim RPPR will serve as the annual RPPR for the final year of the previous competitive segment. The data elements collected on the Interim RPPR are the same as for the Final RPPR, including project outcomes.

Interim vs. Final RPPR

- An Interim RPPR is submitted when a Renewal (Type 2) application is under consideration

<table>
<tr><th>Competing Renewal Application Status</th><th colspan="2">Action</th></tr>
<tr><td>Not submitting a Competing Renewal application</td><td colspan="2">Submit a Final RPPR no later than 120 days from the project period end date</td></tr>
<tr><td rowspan="3">Submitting a Competing Renewal application</td><td colspan="2">Submit an Interim RPPR no later than 120 days from the project period end date</td></tr>
<tr><td>Funded</td><td>Not Funded</td></tr>
<tr><td>The Interim RPPR is accepted as the annual RPPR</td><td>The Interim RPPR is accepted as the Final RPPR</td></tr>
</table>

When is the RPPR Due?

- Annual
  - Streamlined Non-Competing Award Process (SNAP): Approximately 45 days before start of the next budget period
  - Non-SNAP: Approximately 60 days before the start of next budget period
  - Multi-Year Funded Awards: on or before anniversary date
- Final/Interim: 120 days after the period of performance end date

Use this eRA Search tool to find RPPRs due for your institution within the next 4 months.

RPPR Roles and Responsibilities

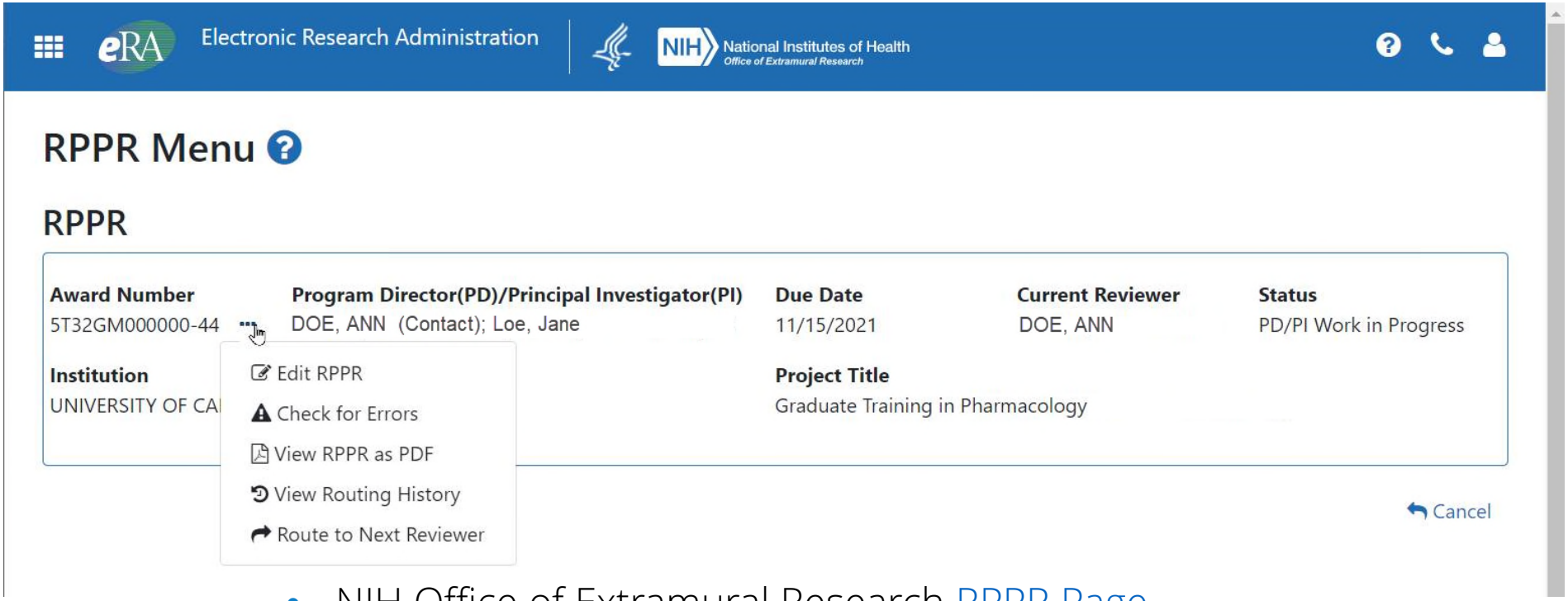
- Project Director/Principal Investigator
  - Initiate and prepare the RPPR
- Authorized Organization Representative (AOR)/Signing Official
  - Submit the RPPR to NIH

System Delegations

Type (Name)	By	To	What it does
Progress Report	SO, AA, AO	PI on behalf of a PI	Enables the delegated PI to work on progress reports of another PI – includes Interim and Final RPPR, and HSS requests
Progress Report	PI	User within Institution with ASST or AO role	Enables the authorized user to work on progress reports for the PI – includes Interim and Final RPPR, and HSS requests
Submit	SO	PI	Enables the PI to submit RPPR and MYPR reports – now needed for PI if they are to submit Interim RPPR, Final RPPR, and HSS Data

WALK THROUGH THE RPPR

National Institutes of Health
Office of Extramural Research



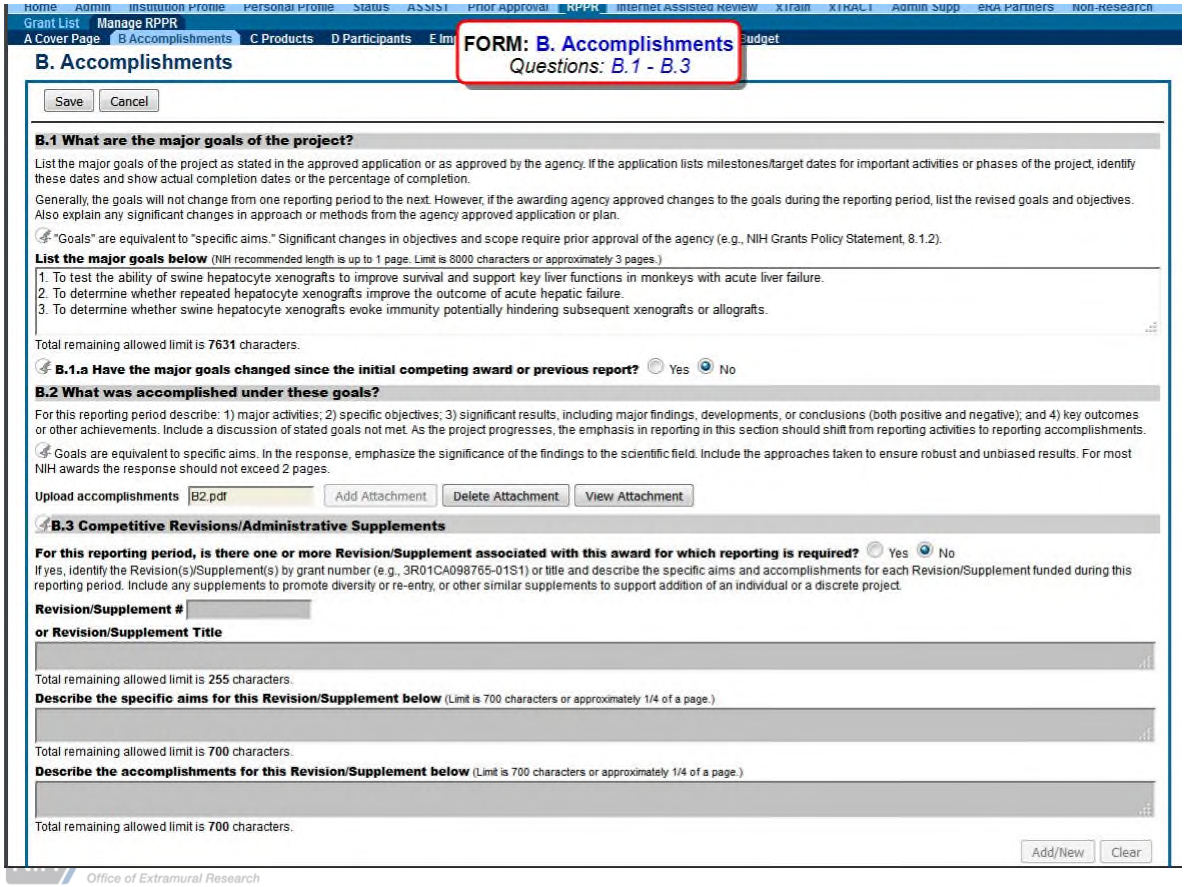
- NIH Office of Extramural Research RPPR Page
- Includes RPPR Instructions, Online Help, and other resources
- **Reminder:** the RPPR is not the appropriate place to request prior approval for award changes such as change in PD/PI, change in scope, etc.

RPPR Outline

- RPPR sections (Annual)
  A. Cover Page
  B. Accomplishments
  C. Products
  D. Participants
  E. Impact
  F. Changes
  G. Special Reporting
  H. Budget (non-SNAP)

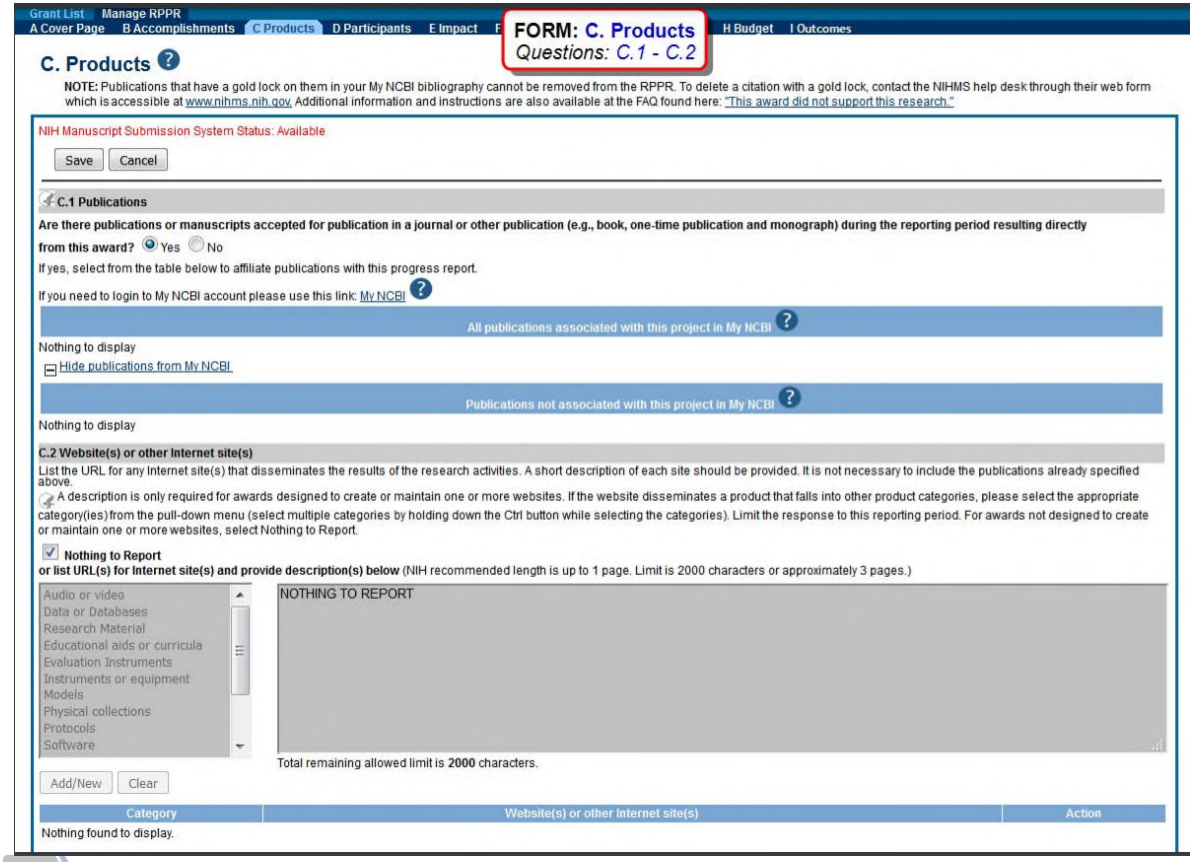
- RPPR sections (Interim & Final)
  A. Cover Page
  B. Accomplishments
  C. Products
  D. Participants (only section D.1)
  E. Impact
  G. Special Reporting
  I. Outcomes
- *Note:* Final RPPRs do not include budget or planned changes for the coming year.

Section B – Accomplishments



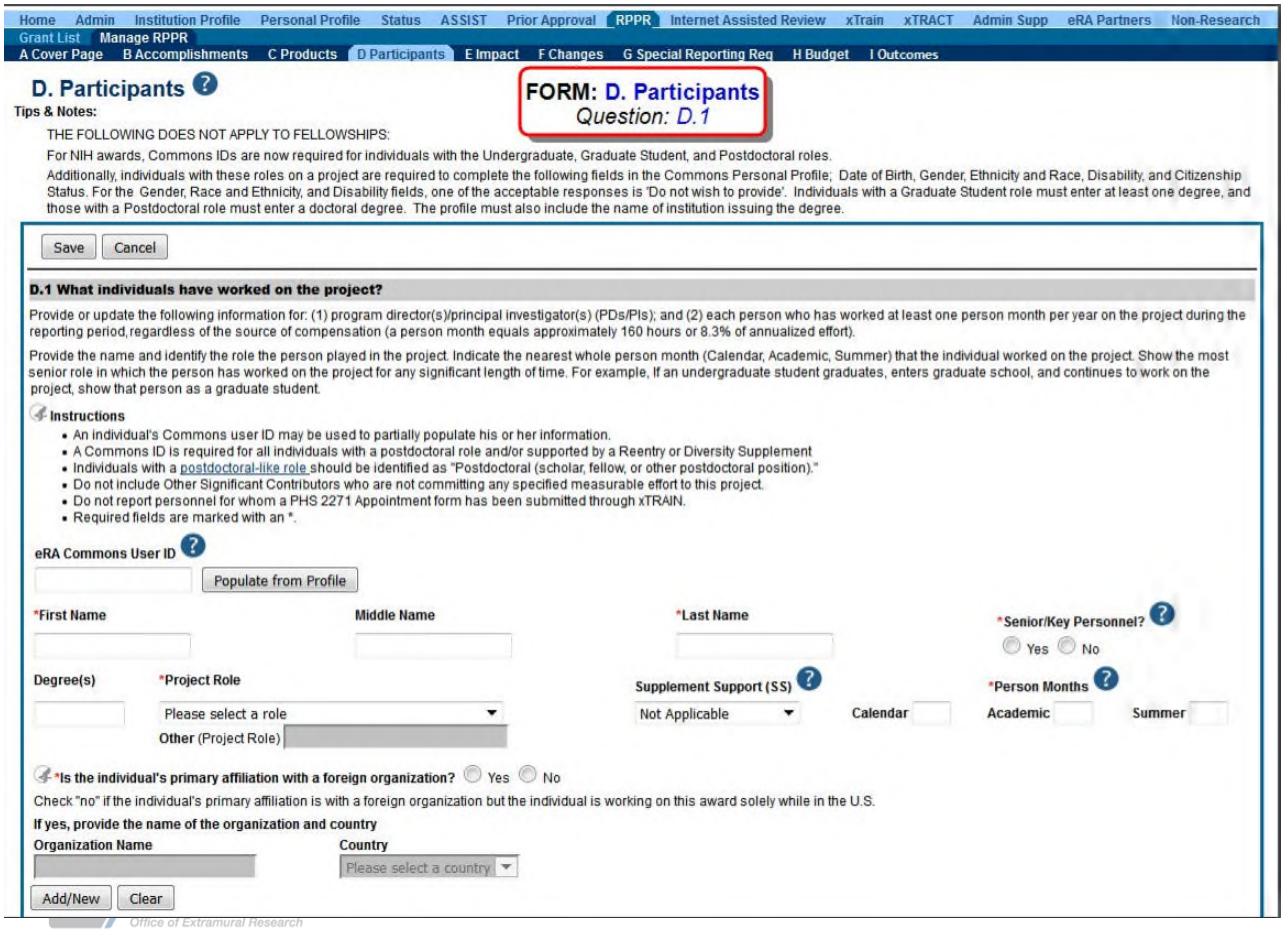
- This section allows the agency to assess whether satisfactory progress has been made during the reporting period.
- List the major goals (e.g. specific aims) and provide updates on each, as well as plans for the upcoming year.
- NOTE: Accomplishments for supplements are captured in B.3 but the NOA may include additional reporting requirements. For example, COVID supplements require additional reporting in G.1.

Section C – Products



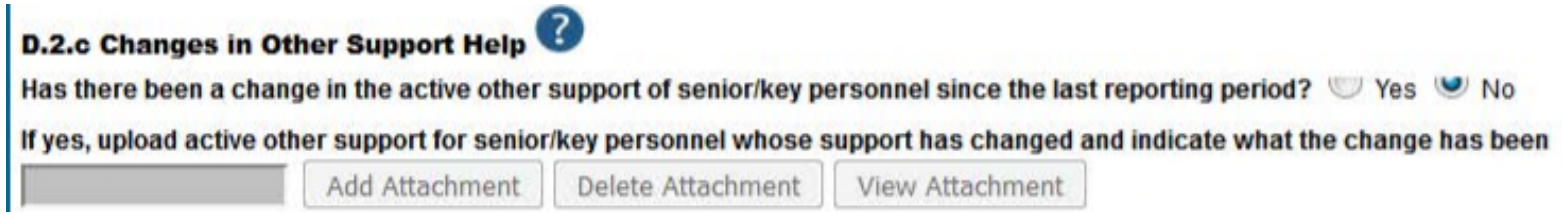
- This section allows agencies to assess and report both publications and other products to Congress, communities of interest, and the public.
- This includes publications, websites, technologies, inventions, and other products.

Section D – Participants



- Highlights who has worked on the project and planned changes for the upcoming year.
- Report planned changes in effort, new senior/key personnel, and updates to active Other Support.

Section D – Participants



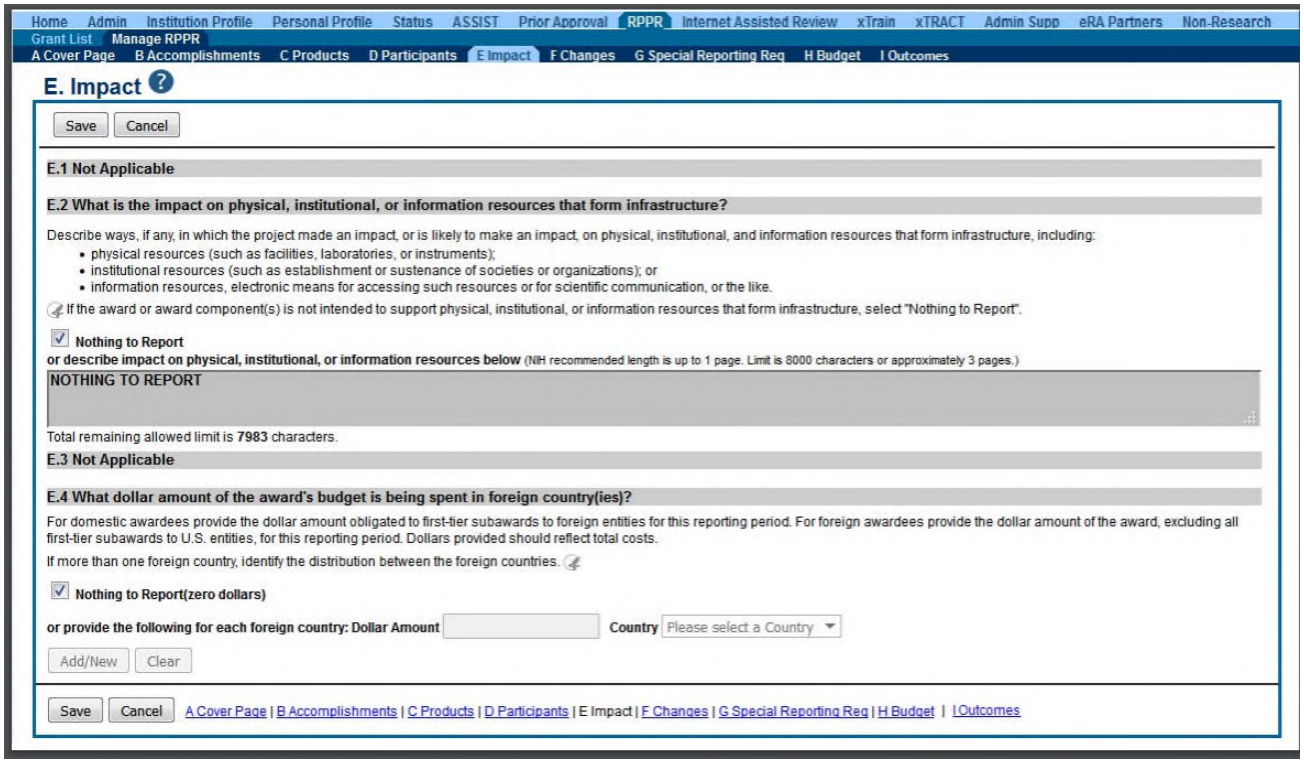
- If there have been changes in active support for the PD/PI or other senior/key personnel since the last RPPR, update Other Support must be uploaded.
- Use the updated Other Support Format Page and Instructions.
- Provide the level of actual effort in person months for the current budget period and indicate the proposed level effort for each remaining budget period.
- Must include an electronic signature.
- Supporting documentation must be provided for any new foreign resources.

Other Support – Required Disclosures

Type of Activity	Annual Project Reports
Professional preparation (e.g., educational degrees)	
Organizational Affiliations and Appointments	
Academic, professional or institutional appointments, whether or not remuneration is received, and whether full-time, part-time, or voluntary	
All projects currently under consideration from whatever source, and all ongoing projects, irrespective of whether support is provided through the proposing organization, another organization or directly to the individual, and regardless of whether or not they have monetary value (e.g., even if the support received is in-kind such as office/laboratory space, equipment, supplies, or employees.)	X
Current or pending participation in, or applications to, programs sponsored by foreign governments, instrumentalities, or entities, including foreign government-sponsored talent recruitment programs.	
In-kind contributions not intended for use on the project/proposal being proposed.	X
Visiting Scholars in Labs funded by an external entity	
Students and postdoctoral researchers funded by an external entity	X
Consulting that falls outside of an individual's appointment; separate from institution's agreement.	X
Travel supported/paid by an external entity to perform research activities with an associated time commitment	X
Certification by the individual that the information disclosed is accurate, current, and complete (e.g., signature of the researcher).	X
Supporting Documentation (e.g., contracts, grants, other agreements)	
Significant Financial Interests: Disclosure Not Required in Other Support. See NIH FCOI Policy NIH GPS 4.1.10. Disclosures must be made in FCOI module.	

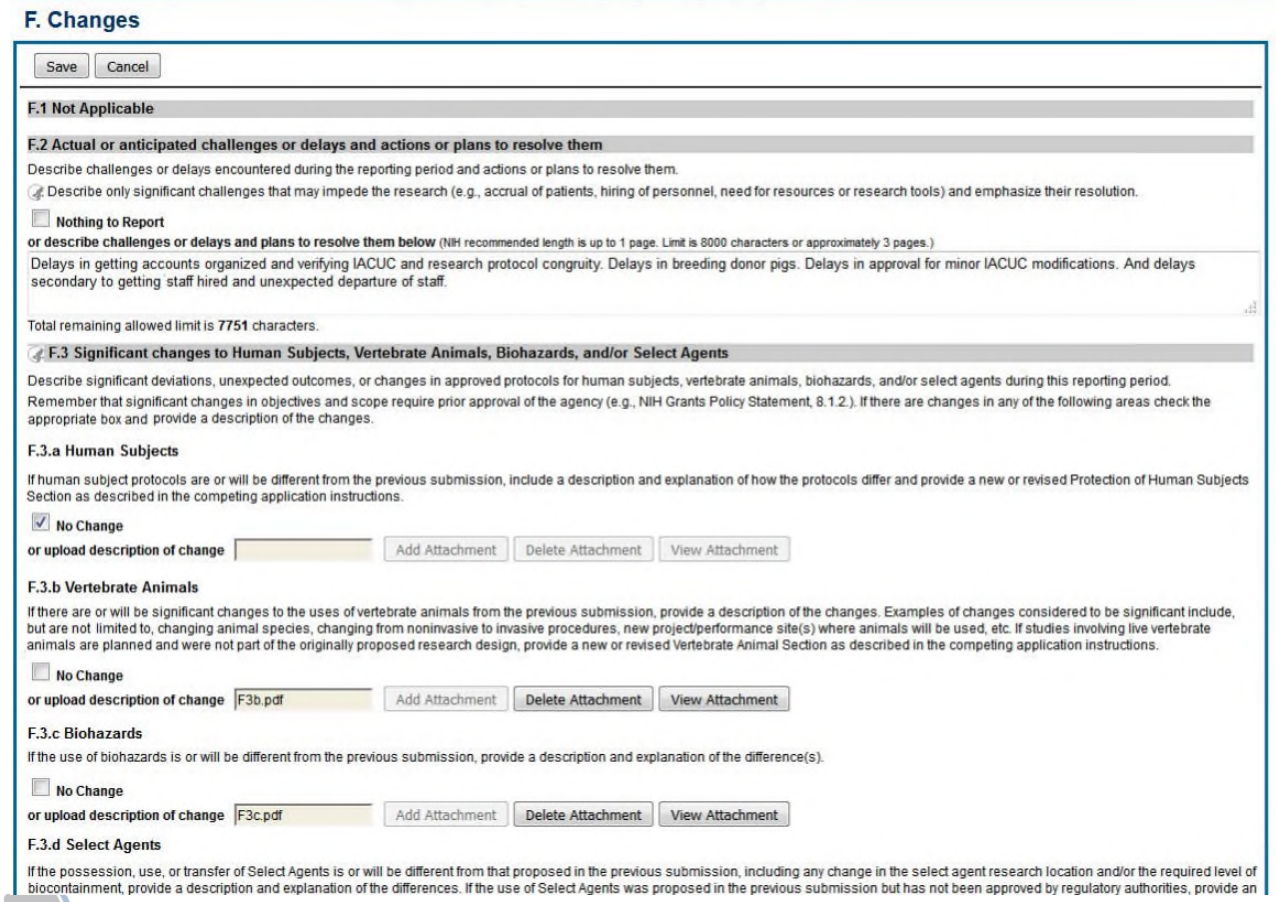
https://grants.nih.gov/grants/forms/NIH-Disclosures-Table.pdf

Section E – Impact



- Describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period.
- Report on dollar amounts spent in foreign country(ies).

Section F – Changes



F. Changes

Save Cancel

F.1 Not Applicable

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.

Nothing to Report

or describe challenges or delays and plans to resolve them below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

Delays in getting accounts organized and verifying IACUC and research protocol congruity. Delays in breeding donor pigs. Delays in approval for minor IACUC modifications. And delays secondary to getting staff hired and unexpected departure of staff.

Total remaining allowed limit is 7751 characters.

F.3 Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents

Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards, and/or select agents during this reporting period.

Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.). If there are changes in any of the following areas check the appropriate box and provide a description of the changes.

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.

No Change

or upload description of change Add Attachment Delete Attachment View Attachment

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.

No Change

or upload description of change F3b.pdf Add Attachment Delete Attachment View Attachment

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).

No Change

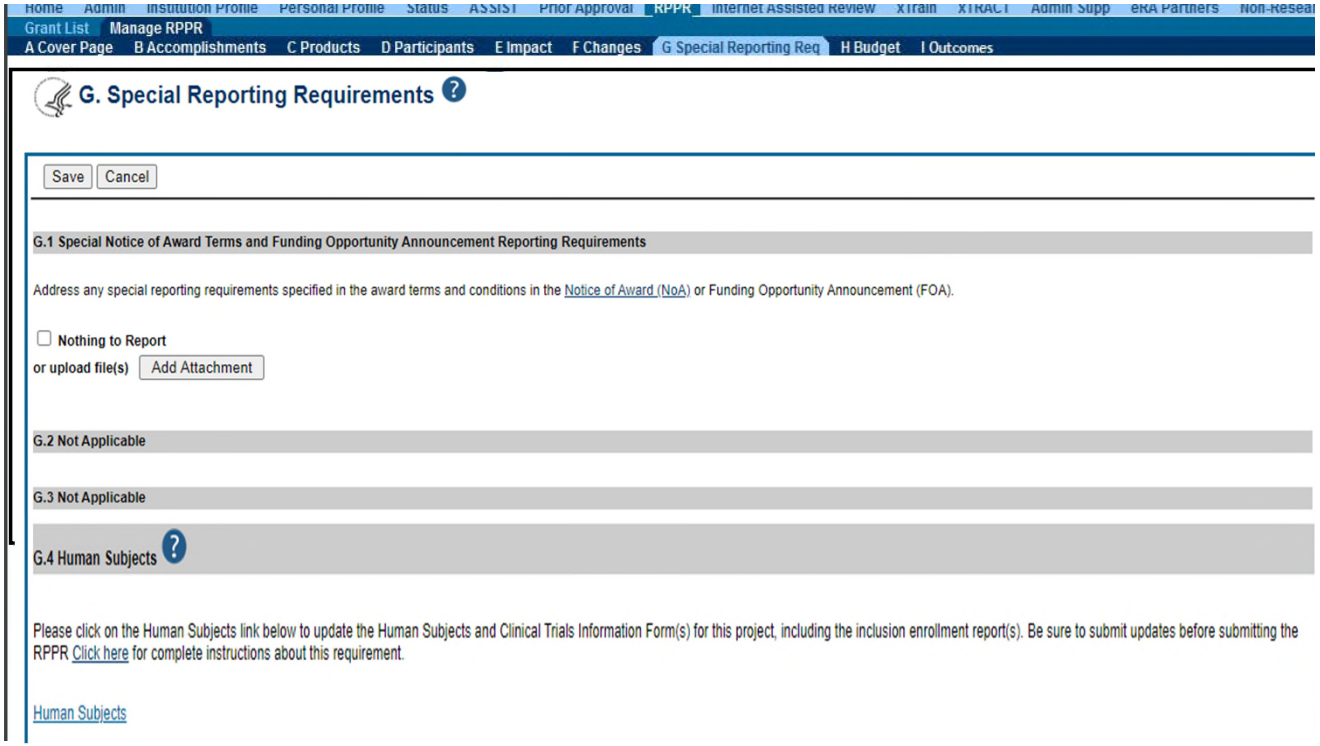
or upload description of change F3c.pdf Add Attachment Delete Attachment View Attachment

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

- Describe challenges or delays and plans to address them (e.g., COVID or other delays).
- Note changes to Human Subjects, Vertebrate Animals, Biohazards and/or Select Agents.
- Reminder – changes in scope require NIH prior approval!

Section G – Special Reporting Requirements

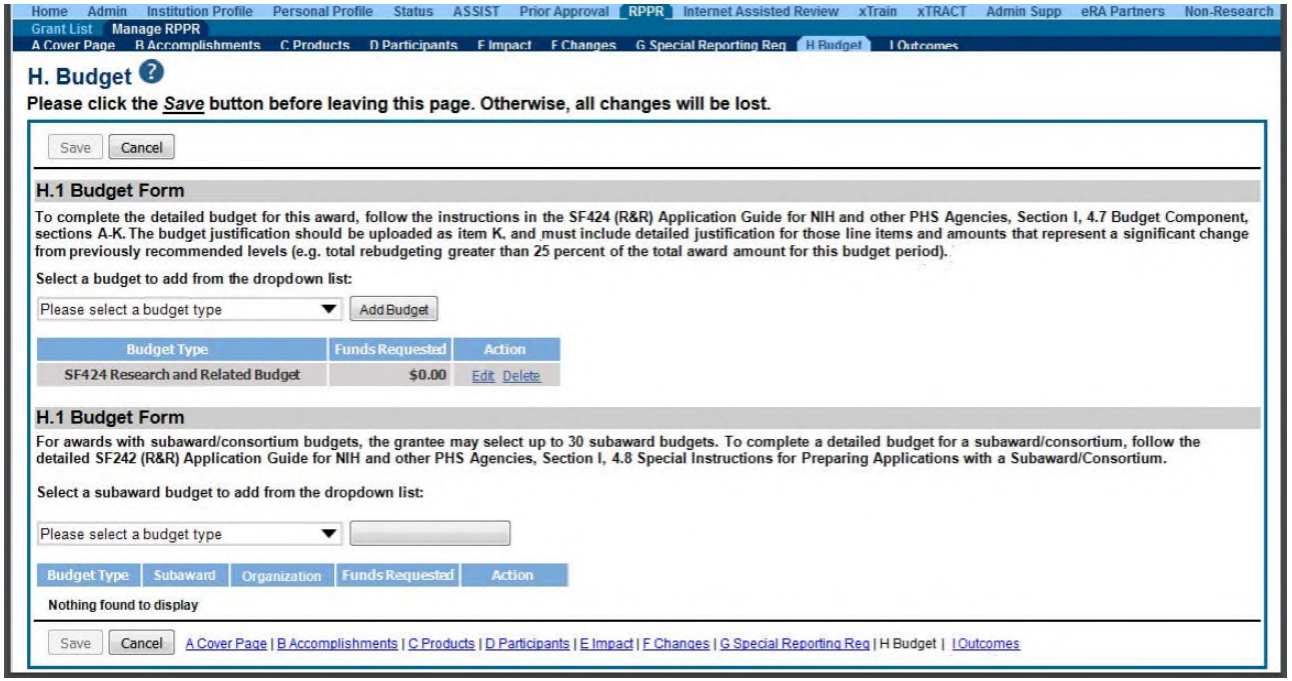


- Address any special reporting requirements from the Notice of Award. For example, COVID supplements require progress reporting in G.1
- Human Subjects and Clinical Trials information must be updated in the Human Subjects System (HSS).
- Report on foreign components.
- Provide information on estimated unobligated balance and program income.

Section G.4 – Human Subjects System

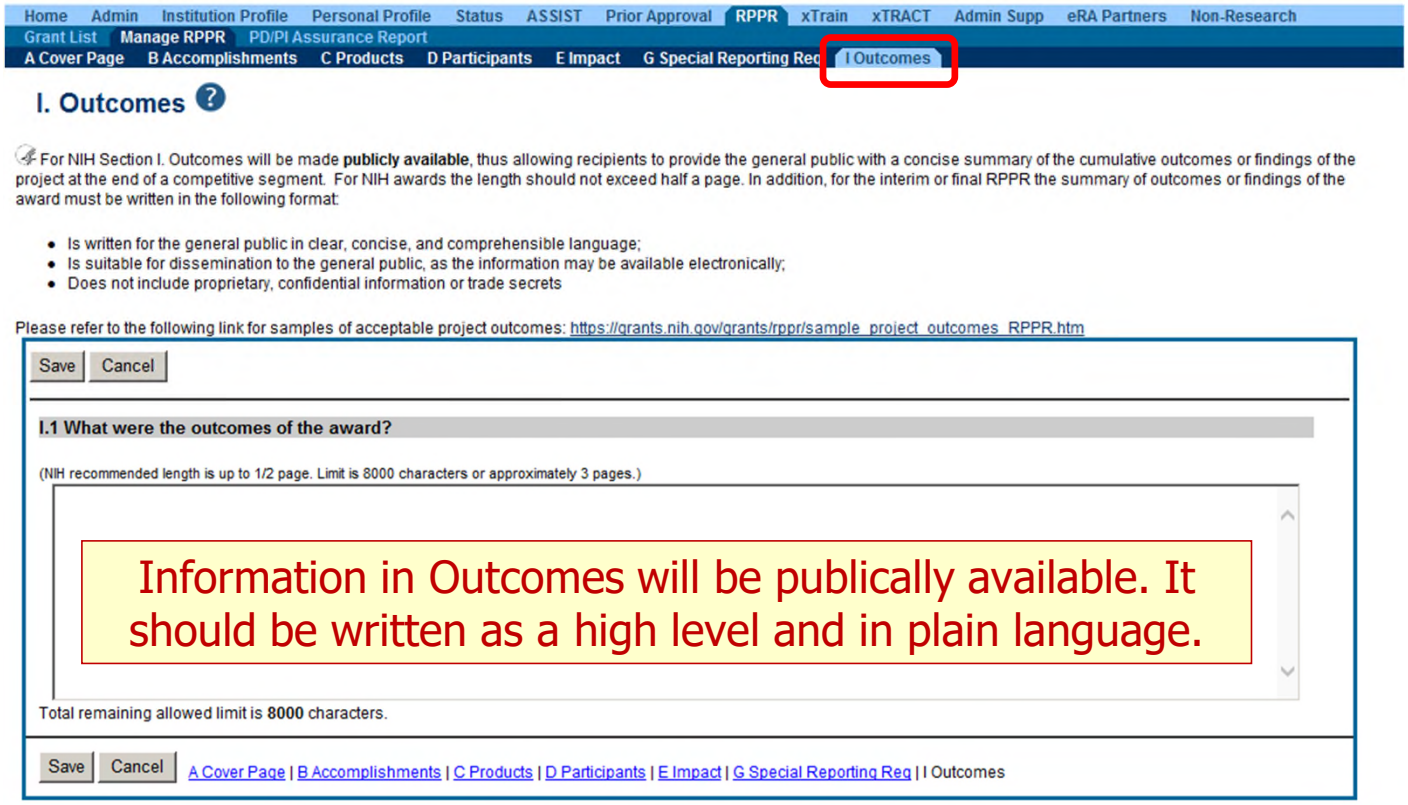
- HSS is the electronic system to manage human subjects and clinical trials information.
- Allows PD/PIs and SOs to access and update all the HS and CT data associated with their grants in one place.
  - update participant information
  - enrollment information
  - inform NIH of ClinicalTrials.gov registration
  - and revise other human subjects-related information as necessary, just-in-time for award or after a grant award is made.
- If CT registration or results reporting is due but is not updated in HSS, validations will prevent RPPR submission.

Section H – Budget (Non-SNAP Only)



- Use the SF-424 Budget form and follow the instructions in the Application Guide.

Section I – Outcomes (Interim/Final Only)



AFTER RPPR SUBMISSION

National Institutes of Health
Office of Extramural Research

After Submission – NIH Review

- NIH staff (Program and Grants Management) review the RPPR to assess scientific progress and review compliance with the terms and conditions of award.
- NIH program or grants management staff may require additional information to evaluate the project for continued funding.
- The Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, route, and submit information to agency following the submission of an RPPR.
  - Public Access (PA) PRAM - Generated automatically after an RPPR is submitted with publications that are not compliant with Public Access Policy
  - Agency Requested PRAM – Only available if requested by the Grants Management Specialist (GMS)
- PD/PI can enter the PRAM but can only submit it if they are delegated with Submit Progress Report authority. Otherwise, only the SO can submit the PRAM to Agency.

RPPR Resources

- eRA RPPR Resources (Online help, instruction guide, FAQs, Training, etc.): https://era.nih.gov/help-tutorials/rppr
- RPPR Who Can Do What? (PDF): https://era.nih.gov/sites/default/files/RPPRs-Who-Does-What.pdf (Updated Sept 2018)
- eRA Commons Roles & Privileges at a Glance (PDF): https://era.nih.gov/files/RolesPrivileges.pdf (Updated Aug 2018)
- eRA Submit Reports webpage: https://era.nih.gov/grantees/submit-reports

Got questions?

Policy Questions: grantspolicy@nih.gov

Form or System Questions: OPERAsystemspolicy@nih.gov

Q&A

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