

Guidance on
the Preparation
of NIH Research
Performance
Progress
Report



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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?

What is the RPPR?

- RPPR is the **R**esearch **P**erformance **P**rogress **R**eport
- 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

Competing Renewal Application Status	Action	
Not submitting a Competing Renewal application	Submit a Final RPPR no later than 120 days from the project period end date	
Submitting a Competing Renewal application	Submit an Interim RPPR no later than 120 days from the project period end date	
	Funded	Not Funded
	The Interim RPPR is accepted as the annual RPPR	The Interim RPPR is accepted as the Final RPPR

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

RPPR Menu ?

RPPR

Award Number	Program Director(PD)/Principal Investigator(PI)	Due Date	Current Reviewer	Status
5T32GM000000-44	DOE, ANN (Contact); Loe, Jane	11/15/2021	DOE, ANN	PD/PI Work in Progress
Institution	Project Title			
UNIVERSITY OF CALIFORNIA	Graduate Training in Pharmacology			

- Edit RPPR
- Check for Errors
- View RPPR as PDF
- View Routing History
- Route to Next Reviewer

Cancel

- 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

Home Admin Insulation Promise Personal Promise Status ASSIST Prior Approval RPPR Internet Assisted Review XTrain XHAL Admin Supp ERA Partners Non-Research
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FORM: B. Accomplishments
Questions: B.1 - B.3

Save Cancel

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 below (NIH recommended length is up to 1 page. Limit is 9000 characters or approximately 3 pages.)
1. To test the ability of swine hepatocyte xenografts to improve survival and support key liver functions in monkeys with acute liver failure.
2. To determine whether repeated hepatocyte xenografts improve the outcome of acute hepatic failure.
3. To determine whether swine hepatocyte xenografts evoke immunity potentially hindering subsequent xenografts or allografts.
Total remaining allowed limit is 7631 characters.

B.1.a Have the major goals changed since the initial competing award or previous report? Yes No

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. Include the approaches taken to ensure robust and unbiased results. For most NIH awards the response should not exceed 2 pages.
Upload accomplishments B2.pdf Add Attachment Delete Attachment View Attachment

B.3 Competitive Revisions/Administrative Supplements
For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required? Yes 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 # [text area]
or Revision/Supplement Title [text area]
Total remaining allowed limit is 255 characters.
Describe the specific aims for this Revision/Supplement below (Limit is 700 characters or approximately 1/4 of a page.) [text area]
Total remaining allowed limit is 700 characters.
Describe the accomplishments for this Revision/Supplement below (Limit is 700 characters or approximately 1/4 of a page.) [text area]
Total remaining allowed limit is 700 characters.

Add/New Clear

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- 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

Grant List | Manage RPPR
A Cover Page | B Accomplishments | **C Products** | D Participants | E Impact | **FORM: C. Products** | H Budget | I Outcomes
Questions: C.1 - C.2

C. Products ?

NOTE: Publications that have a gold lock on them in your My NCBI bibliography cannot be removed from the RPPR. To delete a citation with a gold lock, contact the NIHMS help desk through their web form which is accessible at www.nihms.nih.gov. Additional information and instructions are also available at the FAQ found here: ["This award did not support this research."](#)

NIH Manuscript Submission System Status: Available
Save Cancel

C.1 Publications

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication and monograph) during the reporting period resulting directly from this award? Yes No
If yes, select from the table below to affiliate publications with this progress report.
If you need to login to My NCBI account please use this link: [My NCBI ?](#)

All publications associated with this project in My NCBI ?
Nothing to display
 Hide publications from My NCBI

Publications not associated with this project in My NCBI ?
Nothing to display

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.
 A description is only required for awards designed to create or maintain one or more websites. If the website disseminates a product that falls into other product categories, please select the appropriate category(ies) from the pull-down menu (select multiple categories by holding down the Ctrl button while selecting the categories). Limit the response to this reporting period. For awards not designed to create or maintain one or more websites, select Nothing to Report.

Nothing to Report
or list URL(s) for internet site(s) and provide description(s) below (NIH recommended length is up to 1 page. Limit is 2000 characters or approximately 3 pages.)

Audio or video
Data or Databases
Research Material
Educational aids or curricula
Evaluation Instruments
Instruments or equipment
Models
Physical collections
Protocols
Software

NOTHING TO REPORT

Total remaining allowed limit is 2000 characters.

Add/New Clear

Category	Website(s) or other Internet site(s)	Action
Nothing found to display.		

- 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

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D. Participants ?

FORM: D. Participants
Question: D.1

Tips & Notes:
THE FOLLOWING DOES NOT APPLY TO FELLOWSHIPS:
For NIH awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles. Additionally, individuals with these roles on a project are required to complete the following fields in the Commons Personal Profile: Date of Birth, Gender, Ethnicity and Race, Disability, and Citizenship Status. For the Gender, Race and Ethnicity, and Disability fields, one of the acceptable responses is 'Do not wish to provide'. Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree. The profile must also include the name of institution issuing the degree.

Save Cancel

D.1 What individuals have worked on the 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 and/or supported by a Reentry or Diversity Supplement
- 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 *.

eRA Commons User ID ?
Populate from Profile

*First Name Middle Name *Last Name *Senior/Key Personnel? ?
Yes No

Degree(s) *Project Role Supplement Support (SS) ? Calendar Academic Summer
Please select a role
Other (Project Role) Not Applicable

*Is the individual's primary affiliation with a foreign organization? Yes No
Check "no" if the individual's primary affiliation is with a foreign organization but the individual is working on this award solely while in the U.S.

If yes, provide the name of the organization and country
Organization Name Country
Please select a country

Add/New Clear

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- 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

D.2.c Changes in Other Support Help

Has there been a change in the active other support of senior/key personnel since the last reporting period? Yes No

If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been

Add Attachment

Delete Attachment

View Attachment

- 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.	

Section E – Impact

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E. Impact ?

Save Cancel

E.1 Not Applicable

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".

Nothing to Report
or describe impact on physical, institutional, or information resources below (NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)

NOTHING TO REPORT

Total remaining allowed limit is 7983 characters.

E.3 Not Applicable

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.

Nothing to Report(zero dollars)

or provide the following for each foreign country: Dollar Amount Country

Add/New Clear

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- 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

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

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

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

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

The screenshot shows the 'G. Special Reporting Requirements' section of the RPPR system. At the top, there is a navigation bar with tabs for 'Home', 'Admin', 'Institution Profile', 'Personal Profile', 'Status', 'ASSIST', 'Prior Approval', 'RPPR', 'Internet Assisted Review', 'Xtrain', 'XTRAC', 'Admin Supp', 'eKA Partners', and 'Non-Resea'. Below this is a sub-navigation bar with tabs for 'Grant List', 'Manage RPPR', 'A Cover Page', 'B Accomplishments', 'C Products', 'D Participants', 'E Impact', 'F Changes', 'G Special Reporting Req', 'H Budget', and 'I Outcomes'. The main content area is titled 'G. Special Reporting Requirements' and includes a 'Save' and 'Cancel' button. The first section is 'G.1 Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements', which asks the user to address special reporting requirements specified in the award terms and conditions in the 'Notice of Award (NoA)' or Funding Opportunity Announcement (FOA). It includes a checkbox for 'Nothing to Report' and an 'Add Attachment' button. The second section is 'G.2 Not Applicable'. The third section is 'G.3 Not Applicable'. The fourth section is 'G.4 Human Subjects', which includes a link to 'Human Subjects' and a note: 'Please click on the Human Subjects link below to update the Human Subjects and Clinical Trials Information Form(s) for this project, including the inclusion enrollment report(s). Be sure to submit updates before submitting the RPPR. Click here for complete instructions about this requirement.'

- 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)

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H. Budget ?

Please click the Save button before leaving this page. Otherwise, all changes will be lost.

Save Cancel

H.1 Budget Form

To complete the detailed budget for this award, follow the instructions in the SF424 (R&R) Application Guide for NIH and other PHS Agencies, Section I, 4.7 Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g. total rebudgeting greater than 25 percent of the total award amount for this budget period).

Select a budget to add from the dropdown list:

Please select a budget type Add Budget

Budget Type	Funds Requested	Action
SF424 Research and Related Budget	\$0.00	Edit Delete

H.1 Budget Form

For awards with subaward/consortium budgets, the grantee may select up to 30 subaward budgets. To complete a detailed budget for a subaward/consortium, follow the detailed SF242 (R&R) Application Guide for NIH and other PHS Agencies, Section I, 4.8 Special Instructions for Preparing Applications with a Subaward/Consortium.

Select a subaward budget to add from the dropdown list:

Please select a budget type

Budget Type	Subaward	Organization	Funds Requested	Action
-------------	----------	--------------	-----------------	--------

Nothing found to display

Save Cancel [A Cover Page](#) | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [F Changes](#) | [G Special Reporting Req](#) | [H Budget](#) | [I Outcomes](#)

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

Section I – Outcomes (Interim/Final Only)

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I. Outcomes ?

For NIH Section I. Outcomes will be made **publicly available**, thus allowing recipients to provide the general public with a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment. For NIH awards the length should not exceed half a page. In addition, for the interim or final RPPR the summary of outcomes or findings of the award must be written in the following format:

- Is written for the general public in clear, concise, and comprehensible language;
- Is suitable for dissemination to the general public, as the information may be available electronically;
- Does not include proprietary, confidential information or trade secrets

Please refer to the following link for samples of acceptable project outcomes: https://grants.nih.gov/grants/rppr/sample_project_outcomes_RPPR.htm

Save Cancel

I.1 What were the outcomes of the award?

(NIH recommended length is up to 1/2 page. Limit is 8000 characters or approximately 3 pages.)

Information in Outcomes will be publically available. It should be written as a high level and in plain language.

Total remaining allowed limit is 8000 characters.

Save Cancel [A Cover Page](#) | [B Accomplishments](#) | [C Products](#) | [D Participants](#) | [E Impact](#) | [G Special Reporting Req](#) | **I Outcomes**



AFTER RPPR SUBMISSION

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