National Institute of General Medical Sciences

Research Performance Progress Report (RPPR) Webinar for R25 grants

National Institute of General Medical Sciences, NIH

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Research Performance Progress Report (RPPR)

(https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf)

RPPR

The RPPR is used by grantees to submit progress reports to NIH on their grant awards.

Types of RPPRs

Progress reports document grantee recipient accomplishments and compliance with terms of award. There are three types of RPPRs, all of which use the NIH RPPR Instruction Guide.

- **Annual RPPR** – Use to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.
- **Final RPPR** – Use as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.
- **Interim RPPR** – Use 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.

Submitting the RPPR

Where:

- There is no RPPR form available for download. Submit RPPR data through the eRA Commons.
- The links for each type of RPPR are accessed through the Commons Status tab.
- The Interim RPPR link will also be accessed through the Commons Status tab. It will appear one day after the project segment end date, but before it has moved to closeout.
- The Final RPPR link will become available through the closeout module once the grant is eligible for closeout.

Who:

- Only the PD/PI or their PD/PI delegate can initiate RPPRs.
- For multi-PD/PI grants only the Contact PI or the Contact PD/PI's delegate can initiate the RPPR.
- Signing officials typically submit the annual RPPR, but may delegate preparation (Delegate Progress Report) and submission authority (Delegate Submit) to the PD/PI.
- Signing Officials and PD/PIs are able to submit the Interim and Final RPPRs (no delegation needed).

How:

- Follow the instructions in the RPPR User Guide to submit the RPPR.

Submitting the RPPR

When:

- Annual RPPR Due Dates:

  Streamlined Non-Competing Award Process (SNAP) RPPRs are due approximately 45 days before the next budget period start date.

- Interim and Final RPPR Dues Dates:

  120 days from period of performance end date for the competitive segment

Search this report of pending progress reports due within the next 4 months for an organization by Institutional Profile File (IPF) number.

What:

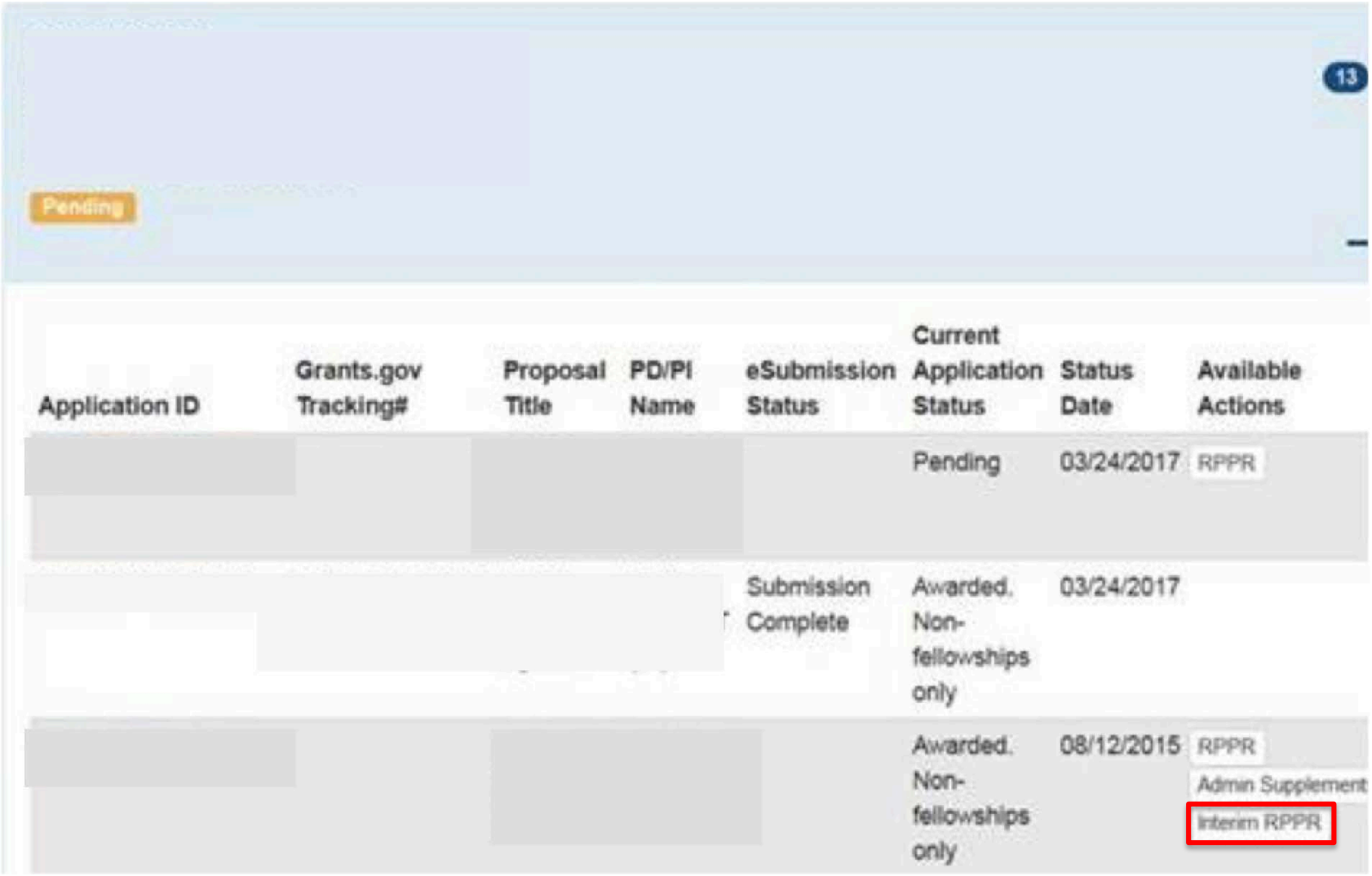
The RPPR requests various types of information, including:

- **Accomplishments**
- **Products**
- **Participants and Other Collaborating Organizations**
- **Impact**
- **Changes/Problems (not required for Final or Interim RPPR)**
- **Project Outcomes (only required on Final and Interim RPPR)**

RPPR-Status of Renewal Application

	Renewal Application	
1	Competing Renewal not submitted	Submit a Final-RPPR no later than 120 calendar days from the period of performance end date.
2	Competing Renewal submitted	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is funded, NIH will treat the Interim-RPPR as the annual performance report for the final year of the previous competitive segment.
3	Competing Renewal submitted but not funded	Submit an Interim-RPPR no later than 120 calendar days from the period of performance end date. If the competing renewal is not funded, NIH will treat the Interim-RPPR as the institution's Final-RPPR. To reduce burden NIH will not require recipients to submit an additional Final-RPPR if the renewal application is not funded.

I-RPPR or F-RPPR link



Links to F-RPPR announcements

- https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-022.html
- https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-037.html
- https://www.youtube.com/watch?v=BrA_l_XBNv8
- https://archives.nih.gov/asites/grants/07-19-2016/grants/rppr/rppr_screen_shots.pdf

R25 RPPR

(https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf)

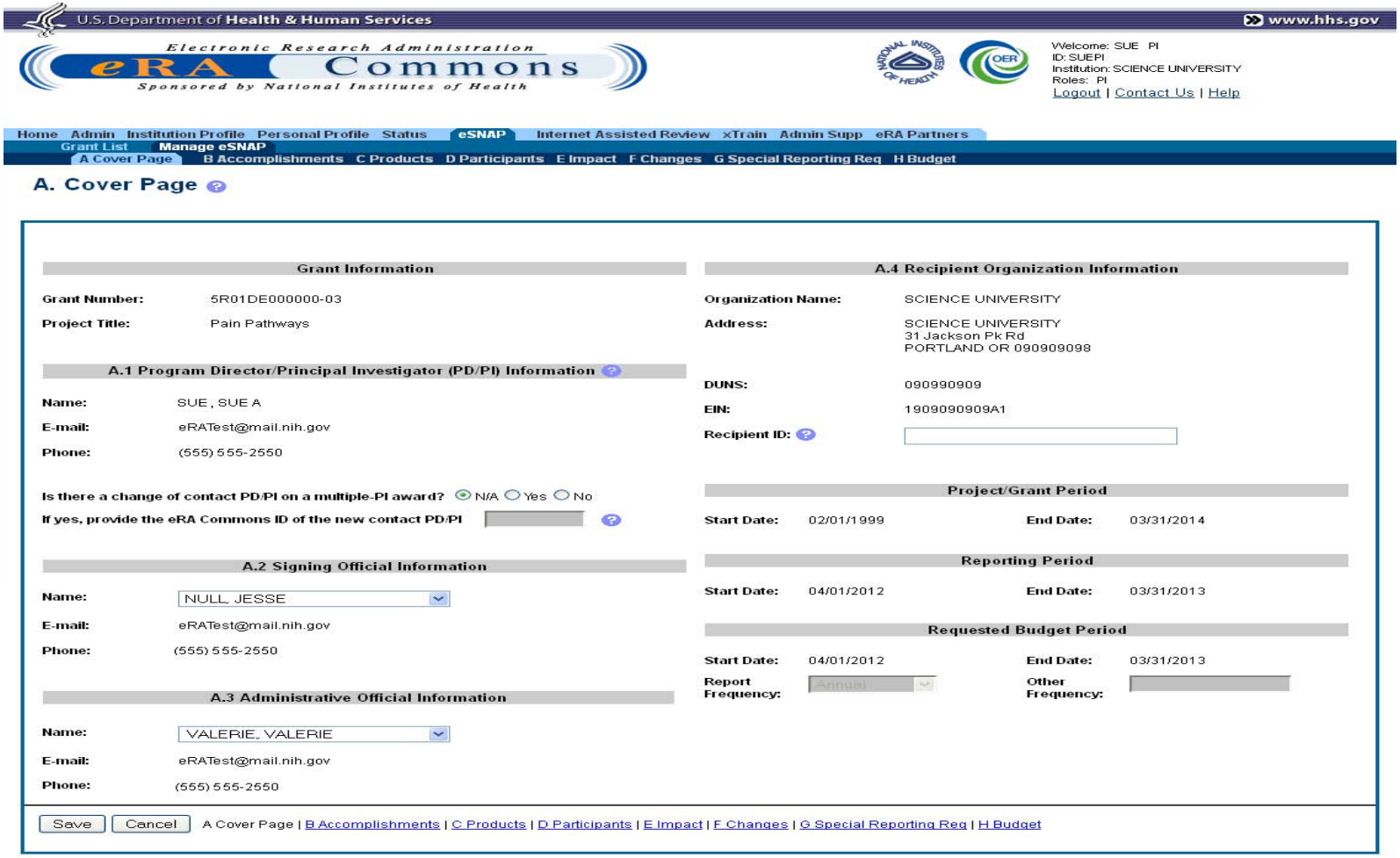
Section 6.0: Instructions for RPPR Sections A–I

Section 7.5: Education RPPRs

RPPR Structure

- A. Cover Page
- B. Accomplishments
- C. Products
- D. Participants
- E. Impact
- F. Changes
- G. Special (NIH) Reporting Requirements
- ~~H. Budget~~ (Not required)
- I. Outcomes (this section is only applicable to the Interim and Final RPPR. See NOT-OD-17-022 and NOT-OD-17-037)

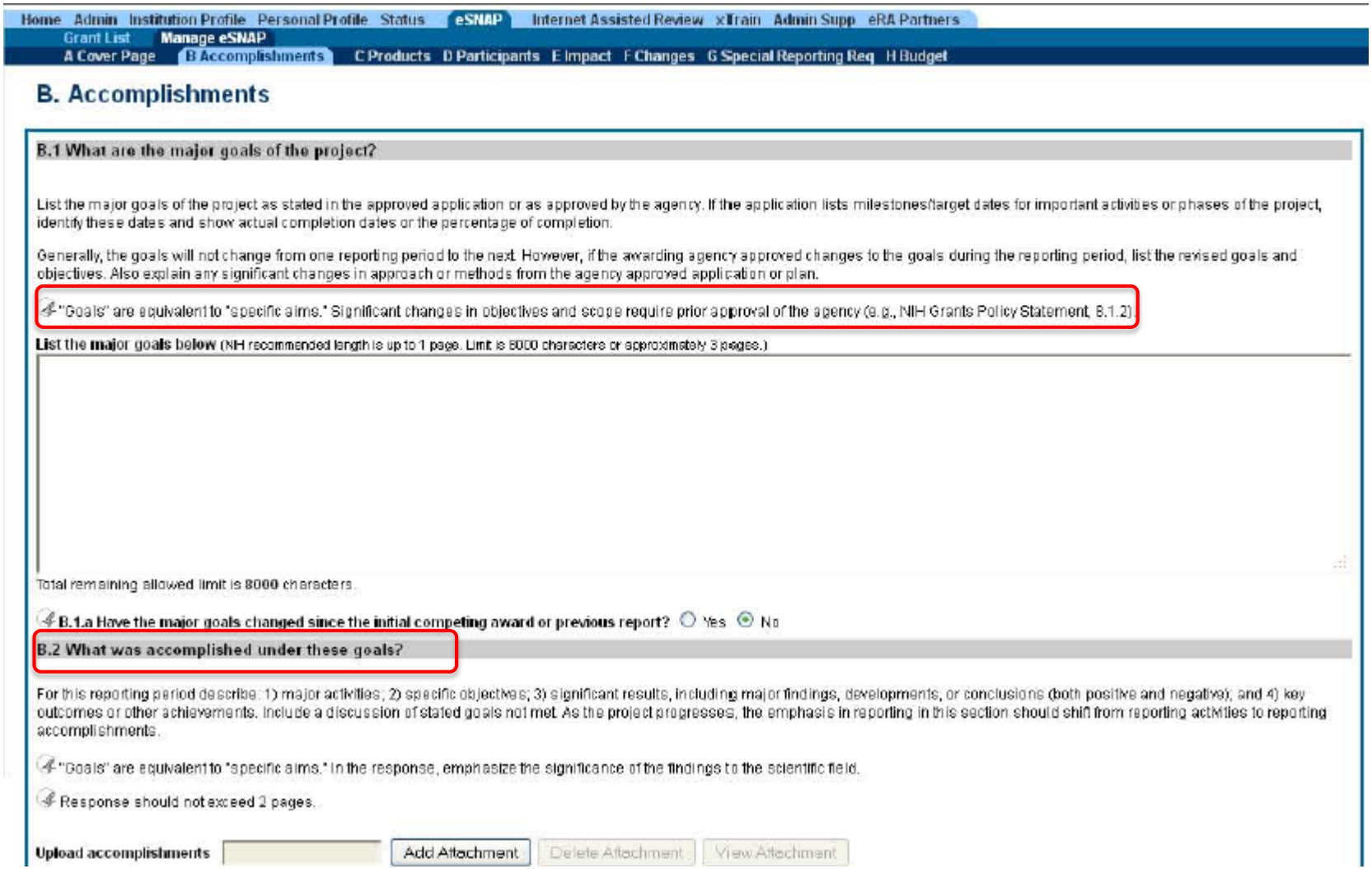
Section A – Cover page - mostly prepopulated



Section B – Accomplishments

- B.1 What are major goals of the project?
  - B.1.a Have the major goals changed since the initial competing award or previous report?
- B.2 What was accomplished under these goals?
- B.3 Competitive revisions/administrative supplements - ***Not applicable***
- B.4 What opportunities for training and professional development has the project provided?
- B.5 How have the results been disseminated to communities of interest?
- B.6 What do you plan to do during the next reporting period to accomplish the goals?

Section B – Accomplishments (cont.)



Section B – Accomplishments (cont.)

B.1 What are the major goals of the project?

- B.1 “Major goals” is RPPR-speak for NIH Specific Aims
  - The specific aims must be provided in the first RPPR (i.e., first non-competing continuation (type 5) submission).
  - In subsequent RPPRs this section will pre-populate with the aims/goals previously entered.
  - B.1.a Have the major goals changed since the initial competing award or previous report?
    - Changes in goals or aims require NIH prior approval - do not submit the changes as part of RPPR without NIH prior approval
    - Changes in milestones is not a change in goals

Section B – Accomplishments (cont.)

- **B.2 What was accomplished under these goals?**
  - Describe major activities
  - List specific objectives and milestones
  - Under each specific objective, describe significant results, including major findings, developments, or conclusions (both positive and negative)
  - Key outcomes or other achievements
  - Include information on number of participants graduated/appointed (“we trained 5 students, 3 graduated, 4 participated in summer research training...”)
  - Include a discussion of stated goals not met.

Section B – Accomplishments (Cont.)

- **B.4 What opportunities for training and professional development has the project provided**? Answer question B.4 as per RPPR instructions (section 7.5). Only one document can be uploaded.

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 all projects reporting graduate student and/or postdoctoral participants in Section D. Participant, grantees are encouraged to describe the use of Individual Development Plans (IDPs) for those participants.A Do not include the actual IDP; instead include information to document that IDPs are used to help manage the training for those individuals.

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.

☐ Nothing to Report

or upload description B.4.pdf | Add Attachment | Delete Attachment | View Attachment

- Submit a completed **Trainee Diversity Report** covering individuals supported by the award during the **reporting period (past 1 year)**. Data must match Sample Format Table 1 and xTrain appointments. https://grants.nih.gov/grants/funding/2590/traineediversity.pdf

Section B – Accomplishments (Cont.)

Section B4 (continued):

- **Describe how Individual Development Plans (IDPs**) for graduate students were used in this reporting period to help manage the training and career development of participants (do not include actual IDPs).

- **A brief paragraph for each participant** supported by the award describing activities and progress during the reporting period. Include the following information for each trainee/scholar, as applicable:

  - Degrees working toward or held
  - Mentor(s)
  - Description of the trainee/scholar's research project and progress
  - Coursework (graduate students)
  - Conference presentations
  - A description of the trainee/scholar's role in any planned or published papers resulting from research conducted while supported by this award (e.g., designed or conducted experiment, analyzed data, drafted paper).
  - Fellowships or other support
  - Workshops attended
  - Career development activities This description should be sufficient to allow evaluation of the appointees' progress towards the goals of the training grant.

- **Only one document can be uploaded under section B.4. Combine all the information into a single file before uploading.**

Student participant description (example)

Section B4 (continued):

Student participants appointed to the program in the past reporting year

Example:

Jane Smith completed the requirements for the BS in chemistry in June 2017. Her research on the design and synthesis of medicinal compounds, was directed by her mentor Dr. xxx xxxxx, Professor of Chemistry. Her research was presented in three on-campus venues, Society for Advancement of Chicanos and Native Americans in Science, and/or at the Annual Biomedical Research Conference for Minority Students in Seattle in November of 2015. She was listed as a coauthor in one of the publications. Ms. Smith attended various workshops such as xxx. She graduated magna cum laude and was inducted into the xxx Honor Society. She is currently in the PhD program in pharmacological sciences at the University of Chicago.

Section B – Accomplishments (Cont.)

- **B.5 How have 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 resources will be reported under Products.

Section B – Accomplishments (Cont.)

- **B.6 What do you plan to do for 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. Add details beyond “continuing proposed activities”.
  - Include challenges and strategies to address challenges.
  - Include plans for any modification based on the findings of your internal evaluations.

Section C – Products

The RPPR section C. Products allows agencies to assess and report both publications and other products to Congress, communities of interest, and the public. ***Limit the response to this reporting period.***

- C.1 Publications
- C.2 Website(s) or Internet Site(s)
- C.3 Technologies of Techniques
- C.4 Inventions, patent applications and/or licenses
- C.5 Other products and resources
  - C.5.a Other products
  - C.5.b Resource Sharing

Section C – Products (Cont.)

C.1 Publications

- The My NCBI compliance report generated by RPPR must be used to report publications and demonstrate compliance with the NIH Public Access policy.
- All publications must be entered into the PD/PI's My NCBI account using the bibliography management tool My Bibliography. The publications will then automatically appear in the RPPR under C.1. It is not possible to manually add publications in C.1.
- Awards will be placed on hold until grantees have demonstrated compliance for all publications
- Include only publications that acknowledge your R25 grant support in C.1.
- Ensure that the publications are compliant with the NIH Access Policy. https://publicaccess.nih.gov/policy.htm; https://publicaccess.nih.gov/communications.htm

Section C – Products (Cont.)

C.1 Publications (Reporting student publications in RPPR)

- Trainers submit student publications to NIH PubMed Central manuscript archive and provide the full citations and PMCIDs to the PD (or designee).
- PD or designee creates a My Bibliography account for their program using My NCBI and affiliates publications with the award.
- PI or designee runs the My Bibliography compliance check “off line” **before** starting RPPR. (just to check...)
- RPPR will prepopulate with the Public Access Compliance Report.

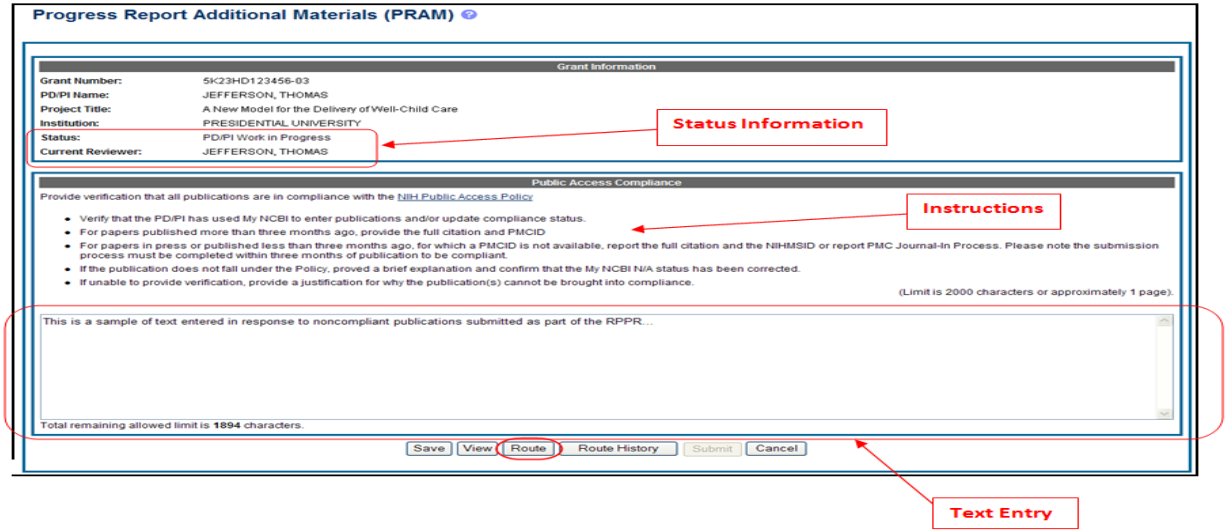
Section C – Products (Cont.)

Important websites

- http://www.ncbi.nlm.nih.gov/books/NBK53595/#mybibliography How-to's for MyBibliography, affiliating papers to awards and running to Public Access Policy compliance check outside of RPPR. Don't miss the videos!!
- http://www.ncbi.nlm.nih.gov/pmc/ NIH PubMed Central manuscript archive
- https://grants.nih.gov/grants/rppr/faqs.htm Frequently asked questions

If corrections are needed, use PRAM

The Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, and submit information in response to the automated notification sent when an NIH grantee organization submits an RPPR with non-compliant publications. Using the PRAM feature, grantees can upload and submit a My NCBI PDF report demonstrating that previously non-compliant publications reported on the RPPR are now compliant.



Section C – Products (cont.)

- C.2 Website(s) or 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. Do not include the publications listed in Section C.1. Limit the response to this reporting period.
- C.3 Technologies of Techniques
  - Identify technologies or techniques that have resulted from the grant activities. Describe the technologies or techniques and how they are being shared. Limit the response to this reporting period.
- C.4 Inventions, patent applications and/or licenses
  - List any inventions reported through iEdison.

Section C – Products (cont.)

- C.5 Other products and resources
  - C.5.a Other products
    - Identify any other significant products that were developed under this project. Check RPPR instructions Section 6.0 for product categories.
  - C.5.b Resource Sharing
    - Describe how the resources developed are made available to the research community and to the public at large.

Section D – Participants

- **D.1 What individuals worked on this project?**
- Provide or update the information for:
  - Program director(s)/principal investigator(s) (PDs/PIs); and
  - 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.
  - Do NOT include students appointed by form 2271 Appointment form (xTrain)!

Section D – Participants (cont.)

- **D.2 Personnel updates**
  - D.2.a Level of Effort
    - Reduction effort of key personnel (listed on the NoA) by >25 % requires NIH prior approval
  - D.2.b New Senior/Key Personnel - requires NIH prior approval
  - D.2.c Changes in other support (upload information)
  - D.2.d New other significant contributors (upload biosketches-NIH format)
  - D.2.e Multi-PI (MPI) Leadership Plan - requires NIH prior approval

NIH prior approval is required before including the information in the RPPR

Section E – Impact

- **E.1 What is the impact on the development of human resources (optional)?**
  - Answer question E.1 as per RPPR instructions Section 7.5.
  - Describe how the project made an impact on human resource development.
  - Good location to include institutional impact of the program and commitment to the program.
- E.2 What is the impact on infrastructure? ***Not Applicable.***
- E.3 What is the impact on technology transfer? ***Not Applicable.***
- E.4 What dollar amount of the award's budget is being spent in foreign countries? ***Not Applicable.***

Section F – Changes

The RPPR Section F addresses Changes. Grantees are reminded that significant changes in objectives and scope require prior approval of the agency.

- **F.1 Changes in approach and reasons for change:** Describe changes in the program for the next budget period, including changes in training faculty. The role of external advisory committees, significant new training content, procedures or experiences, and indicate how these aid in strengthening and realizing the objectives and goals of the program.
- F.2 Actual or anticipated challenges or delays and actions or plans to resolve them.
- F.3 Significant changes to human subjects, vertebrate animals, biohazards, and/or select agents.
  - F.3.a Human Subjects
  - F.3.b Vertebrate Animals
  - F.3.c Biohazards
  - F.3 d Select Agents

Section G – Special Reporting Requirements

- **G.1 – Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements**

  Attach Data tables 8A and/or 8D to this section (multiple PDFs)

  - Data Table 8A: Predoctoral Program Outcomes (for the last 15 years or since the beginning of the grant), as applicable. Required only if you have Ph.D. students.
  - Data Table 8D: Undergraduate Program Outcomes (for the last 15 years or since the beginning of the grant), as applicable. Required only if you have undergrad students.

  NIH Data tables: https://grants.nih.gov/grants/forms/data-tables.htm

  Do not modify the tables. Upload these tables in Section G1 of the RPPR.

Section G – Special Reporting Requirements (cont.)

- **G.2 – Responsible Conduct of Research**
  - 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.
- G.3 Mentors report or sponsor comments - ***Not Applicable.***

Section G – Special Reporting Requirements (cont.)

- G.4 Human subjects- *if applicable*
  - G.4.a Does the project involve human subjects?
  - G.4.b Inclusion enrollment data
  - G.4.c ClinicalTrials.gov
- G.5 Human subjects education requirement-*if applicable*
- G.6 Human embryonic stem cells?-*if applicable*
- G.7 Vertebrate animals involved?-*if applicable*
- **G.8 Project/performance sites-required**
- G.9 Foreign component-*if applicable*

Section G – Special Reporting Requirements (cont.)

- **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? If yes, provide the estimated unobligated balance.
  - G.10.b Provide an explanation for unobligated balance.
  - G.10.c If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent. To determine carryover authorization, see the Notice of Award.
- G.11 Program income - ***Not Applicable.***
- G.12 F&A costs - ***Not Applicable.***

Section I - Outcomes (for interim and final RPPR)

This component is used to provide information regarding the cumulative outcomes or findings of the project

- 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
- Outcomes will be made publicly available
- Provide a concise summary of the cumulative outcomes or findings of the project at the end of a competitive segment
- The length of outcomes information should not exceed half a page

Tips and tricks

- RPPR checks for errors prior to submission; user cannot submit with errors

- Warning indicates publications non-compliant with Public Access Policy

NIH policy updates

- Appendix materials
  - There is a change in appendix policy. Effective for due dates on or after January 25, 2017, most appendix materials for NIH applications will no longer be allowed.
  - **Applications will be withdrawn and not reviewed if they are submitted with appendix materials that are not specifically listed in NOT-OD-16-129.**
  - Under the new policy, almost nothing is allowed as appendix material unless specifically requested in the funding opportunity announcement (FOA).

NIH policy updates

- Forms E
  - New NIH "FORMS-E" Grant Application Forms and Instructions Coming for Due Dates **On or After January 25, 2018**
    https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-062.html

xTrain for Student Appointments

- All IMSD participants must have an appointment form (PHS 2271) submitted through the eRA Commons to xTrain before they may receive their compensation
- If participants cannot continue in the grant program for the full appointment period an amended appointment must be submitted to xTrain with the correct appointment period

xTrain Web Page - application guide, quick reference sheets, FAQs, training materials:
https://era.nih.gov/services_for_applicants/other/xTrain.cfm