



OFFICE OF SPONSORED PROGRAMS

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Guidance on NIH Research Performance Progress Report (RPPR)

Purpose

The purpose of this documentation is to provide clarification and guidance on the NIH RPPR process. NIH began implementing the Federal-wide Research Performance Progress Report (RPPR) in the Fall of 2012. NIH now requires use of the RPPR module in eRA Commons to submit **all** annual progress reports. As you may already know, the progress report is where the PI reports his accomplishments on the award. The RPPR was initiated to promote consistency across federal agencies and in e-commons. Some agencies may have their own requirements, please adhere to specific agency terms and conditions of the award. Please note, the areas below are highlighted to assist the Principal Investigator and Research to Administrators provide the necessary requirements but are not inclusive of all the RPPR's requirements.

NIH Annual RPPR Due Date

"The due date of the annual progress report for awards issued under the SNAP (Streamlined Noncompeting Award Process) provisions is the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the award is not issued under SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1). If the due date falls on a weekend or federal holiday, the due date is automatically extended to the next business day. Occasionally the Notice of Award (NoA) will indicate a different due date which will supersede these dates. Grantees should consult the NoA to determine when SNAP procedures apply."

Final FFR, RPPR & Final Invention Statement and Certification

Please note, submission deadlines for the Final Federal Financial Report, Final Progress Report, and Final Invention Statement and Certification requires that all final reports be submitted within 120 calendar days of the end of the period of performance. This change applies to any projects with a period of performance end date on or after October 1, 2014; for projects with a project period end date prior to that date, the original 90-day deadline still applies

NOTE: Before you begin with the initiation of the RPPR in e-commons, please ensure that all participants have an e-commons user ID and that the e-commons profiles are updated accordingly.

A. Cover Page Self Explanatory.

B. Accomplishments

NIH requires up to two pages of accomplishments exclusive of graphs and charts. NIH requires a substantial accomplishment even if the period of performance is less than one year. Please note, publications are considered part of the accomplishments.

RPPR and the NIH Public Access Policy

One significant change that comes with the RPPR process is automatic screening for compliance with the [NIH public access policy](#). This policy requires that manuscripts resulting from NIH funding be deposited with the PubMed Central archive. PIs will need to use [My NCBI](#) to enter papers onto progress reports. Publications and manuscripts listed in your progress report and falling under the NIH Public Access policy must include the PubMed Central reference number. NIH will not award non-competing continuation awards when the RPPR publications are not in compliance with the Public Access Policy.

C. Products Self Explanatory.

D. Participants

"The RPPR Section D. allows the agency to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations."

Senior Key Personnel Effort

"Senior/key personnel are defined as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not a salary is requested." NIH specifically requires measurable effort for PD/PI.

- The PD/PI effort should be listed on the Participant's Section D, whether it's is less than 1.0 calendar month.
- Effort should be rounded to the nearest calendar months. For example if PI/PD is less than 0.4 Calendar month it should be round to "0" or if its 2.5 calendar months, it should be rounded to "3" calendar months. Please note, rounding to "0" is allowable. This is different from the instructions we've received from NIH in the past. NIH may require additional verification on measurable effort after the RPPR has been submitted.
- The Effort reported on the personnel page is retrospective while the effort reported on the Other Support is prospective. The Senior Key Personnel effort needs to match what was certified on e-cert. Please note, you are reporting on actual effort on the Senior Key Personnel effort spent on the current year.
- Other Senior Key Personnel who effort is less than 1.0 calendar month does not need to be listed on the Personnel page.

Bio Sketch – Senior Key Personnel

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-032.html>

If you have new Senior Key personnel please submit a new Bio Sketch. Please note, that there is a new Bio Sketch format as of May 2015 (see link above for new Bio Sketch format)

Other Support

Please note, if there is a change on the Senior Key Personnel's Other Support, NIH requires an updated other support with **active** awards listed only. Please note, this is a change to what we used to submit to NIH. In addition, NIH wants to know what changed in the Other Support (see below.)

Excerpt from RPPR Guidance

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?

If yes, upload **active** other support for senior/key personnel whose support has changed and indicate what the change has been. List the award for which the progress report is being submitted and include the effort that will be devoted in the next reporting period.

Select **Yes** only if active support has changed for the PD/PI(s) or senior/key personnel.

If a previously active grant has terminated and/or if a previously pending grant is now active, submit complete Other Support information using the suggested format and instructions found at http://grants.nih.gov/grants/funding/2590/Non-competing_othersupport.docx. Explain this information so it is clear what has changed from the previous submission.

[Please note, that you would annotate the changes in section D.2.c of the RPPR.]

Submission of other support information is not necessary if support is pending or for changes in the level of effort for active support reported previously.

Other support information should be submitted only for the PD/PI and for those individuals considered by the grantee to be key to the project for whom there has been a change in other support. Senior/key personnel are defined as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not a salary is requested. Do not include other support information for Other Significant Contributors; e.g., those that may contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the project.

Statement on Individual Development Plan

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-093.html>

“For all projects reporting graduate students and/or postdoctoral participants in Section D., describe whether your institution has established Individual Development Plans (IDPs) for those participants. Do not include the actual IDP, instead include information to describe how IDPs are used, if they are used, to help manage the training for those individuals.”

NIH annual progress reports received on/after October 1, 2014 must include a section to describe how individual development plans (IDPs) are used to identify and promote the career goals of graduate students and postdoctoral researchers associated with the award. Please note, this was optional last fiscal year, but this year it's required.

E. Impact – Self Explanatory.

F. Changes – Self Explanatory.

G. Special Reporting Requirements – Self Explanatory.

http://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf

H. Budget - *[Applicable to non-SNAP awards only.]*

Internal Process

All RPPR's are to be processed through eRA Commons. Once it is checked for errors and validated, it will need to be routed to OSP. OSP is responsible for reviewing and addressing any component that may not be in compliance in accordance to the RPPR guidelines. Please make sure that all approval and regulatory approvals are in compliance and up-to-date. The RPPR will not be submitted until all these areas of the RPPR are in compliance with RPPR guidance and internal policies and procedures.

Final Steps

- Perform the '**Check for Errors**' function to determine what areas of the report may require correction prior to submission. This can be performed by anyone with access to the RPPR at any time during the process. NIH will not permit submission of the RPPR until all errors are corrected.
- **Route to the 'Signing Official'** (OSP) once all errors have been corrected and the PI/PD is satisfied the RPPR is final. **Note:** that only the PI/PD can route to Signing Official, not a delegate.
- OSP will review the RPPR to ensure that all sections are complete and error free, and either **Submit the RPPR** or go back to the PI/PD with questions or clarifications prior to submission.

Prior Approvals

"The RPPR may not be used for prior approval requests, with the exception of requesting prior approval for a reduction in the level of effort of the PD/PI or other senior/key personnel named in the Notice of Award under D.2 of the RPPR. All other prior approval requests must be submitted to OSP for submission to the Grants Management Officer of the awarding component in accord with the Grants Policy Statement, 8.1.2."

Prior approvals must be sought during the current period of the award at the time of the change and/or before the RPPR is submitted. Please note, the following prior approvals are required but are not limited to:

- Change of Scope
- Effort reduction of 25% or more for Senior Key Personnel
- Changes of Senior Key Personnel
- Senior Key Personnel absence of more than three months on the project
- Significant changes within budget categories. "As a guideline, significant rebudgeting occurs when the cumulative amount of transfers among direct cost categories for the current budget period exceeds 25 percent of the total amount awarded..."

RPPR Resources and FAQs

- [NIH Research Performance Progress Report \(RPPR\)](#): includes an archive of the RPPR Training for Grantees webinar and related slides, the RPPR Instruction Guide, screen shots of the R01-like RPPR, and a description of how the RPPR differs from eSNAP
- [NIH RPPR Instruction Guide](#)
- [NIH RPPR Frequently Asked Questions](#)

Please Note:

The RPPR also may not be used for non-SNAP performance progress reports or final progress reports at this time. NIH is currently working on implementation of the RPPR for non-SNAP awards and will keep grantees informed through the [NIH Guide for Grants and Contracts](#). The NIH Final Progress Report Instructions are posted on the NIH [Forms and Applications](#) site under Grant Closeout.

There is no form page for the final progress report and grantees are strongly encouraged to submit the final progress report electronically through the eRA Commons. If uploaded through the Commons all documents must be combined into a single PDF. Please contact OSP for additional information and/or guidance regarding the format for the final progress report.