RPPR = Research Performance Progress Report

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RPPR = Research Performance Progress Report

- RPPR resulted from an initiative of the Research Business Models (RBM) Subcommittee of the Committee on Science (CoS), a committee of the National Science and Technology Council (NSTC).
- Research Business Models Subcommittee effort, began 2004
Given the increasing complexity of interdisciplinary and interagency research, it is important for Federal agencies to manage awards in a similar fashion.

Created to give greater consistency in the administration of Federal research awards.

Upon implementation, the RPPR will be used by agencies that support research and research-related activities for use in submission of interim progress reports.

It is intended to replace other interim performance reporting formats currently in use by agencies.
Estimated numbers of annual progress reports, hours per report, and total annual burden hours by agency*

<table>
<thead>
<tr>
<th>Department/agency name</th>
<th>Number of annual progress reports</th>
<th>Number of annual burden hours</th>
<th>Total annual burden hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>DHHS (including NIH)</td>
<td>37,900</td>
<td>14,862</td>
<td>563,275</td>
</tr>
<tr>
<td>DHS</td>
<td>411</td>
<td>12</td>
<td>4,932</td>
</tr>
<tr>
<td>DoC/NIST</td>
<td>100</td>
<td>4</td>
<td>400</td>
</tr>
<tr>
<td>DoC/NOAA</td>
<td>1,105</td>
<td>2</td>
<td>2,210</td>
</tr>
<tr>
<td>DoD</td>
<td>11,000</td>
<td>6</td>
<td>66,000</td>
</tr>
<tr>
<td>DoE</td>
<td>16,000</td>
<td>5</td>
<td>80,000</td>
</tr>
<tr>
<td>DoEd/IES</td>
<td>500</td>
<td>16</td>
<td>8,000</td>
</tr>
<tr>
<td>EPA</td>
<td>150</td>
<td>4</td>
<td>600</td>
</tr>
<tr>
<td>NASA</td>
<td>4,000</td>
<td>4</td>
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<tr>
<td>NEH</td>
<td>55</td>
<td>2</td>
<td>1,100</td>
</tr>
<tr>
<td>NSF</td>
<td>28,030</td>
<td>5</td>
<td>140,150</td>
</tr>
<tr>
<td>USDA/NIFA</td>
<td>12,658</td>
<td>2.7</td>
<td>34,177</td>
</tr>
<tr>
<td>Totals</td>
<td>116,404</td>
<td>6.6</td>
<td>916,844</td>
</tr>
</tbody>
</table>

*Taken from the Federal Register /Vol. 75, No. 8/Wednesday, January 13, 2010
RPPR benefits...

- Reduces administrative burden and costs
- Eases comparison of outcomes across agencies
- The RPPR does not change the performance reporting requirements specified in 2 CFR part 215 (OMB Circular A–110) and the Common Rule implementing OMB Circular A–102.
RPPR implementation


- OMB RPPR Final Format
  - Issued April 2010 directive to agencies to implement an electronic standard interim research progress reporting tool.

- Each of the 26 Federal Agencies can create the roll out strategy and plan that works best for them. Agencies with existing electronic systems are implementing these for RPPR rollouts, others are using fillable PDFs that can be uploaded.
Each category in the RPPR is a separate reporting component.

Agency customization is possible with RPPR with Office of Management and Budget pre-approval.

Agencies will direct recipients to report on the one mandatory component (“Accomplishments”), and may also direct them to report on optional components, as appropriate.

Some agencies have lobbied for the use of other OMB approved formats, (i.e. Performance Progress Reports) if it is better suited to their requirements.
### What about NSF?

#### Detailed Timeline and Activities

<table>
<thead>
<tr>
<th>October 2012</th>
<th>November 2012</th>
<th>February 2013</th>
<th>March 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pilot Phase 1</strong></td>
<td><strong>Pilot Phase 2</strong></td>
<td><strong>Full FastLane FREEZE</strong></td>
<td><strong>Full Operations</strong></td>
</tr>
<tr>
<td>6 Pilot Institutions</td>
<td>Expand to 25 additional Pilot institutions</td>
<td>Institute NSF-wide freeze on new project reporting in FastLane</td>
<td>All institutions migrated to Research.gov</td>
</tr>
</tbody>
</table>

- **October 2012**
  - Communication with affected PIs and Institutions
  - FastLane freeze for 6 pilot institutions
  - POs approve all pending FastLane project reports for 6 pilot institutions
  - Overdue dates will be extended to 3/15 for all reports due between 9/15-12/3

- **November 2012**
  - Communication with affected PIs and Institutions
  - FastLane freeze for 25 additional pilot institutions
  - POs approve pending FastLane project reports for 25 pilot institutions
  - Due dates extended to 1/21 for all reports due 12/4-1/21 with overdue date of 4/30

- **February 2013**
  - Provide regular reports to Divisions with status of pending reports
  - POs approve all pending FastLane project reports by March 15
  - Overdue dates will be extended by 45 days for reports overdue between 1/31-3/31 and by 30 days for reports overdue between 4/1 -4/30

- **March 2013**
  - Turn off FastLane and migrate all users to Research.gov
  - Resume regular project report review and approval activities

Released 1/16/13
NIH?

NIH RPPR TIMELINE

- RPPR Pilot Opens to 7 CWG Institutions
- All FDP institutions given early access to RPPR module
- All NIH grantees given access to RPPR module
  - Use of RPPR is OPTIONAL
  - Progress Report Additional Materials (PRAM) functionality available
- NIH mandates use of RPPR for all SNAP and F awards

**Timeline:**

- **APRIL 2012**
- **JUNE 2012**
- **AUGUST 2012**
- **OCTOBER 2012**
- **JANUARY 2013**
- **MARCH 2013**

RPPR for non SNAP awards TBD

Released 10/12

[University of Minnesota]

Driven to Discover
Sections of a RPPR

A. Cover Page
B. Accomplishments
C. Products
D. Participants
E. Impact
F. Changes
G. Special Reporting Requirements

Standard sections that can be customized for agency’s need. Accomplishments section questions are mandatory.
Using NIH’s system as the model to review the new form set

- Projected as one of the biggest users of this new form set.
- It has been available for use by the University of Minnesota community since 8/12 as part of the Federal Demonstration Partnership pilot.
- Takes the place of existing electronic form set called eSNAP which has been mandatory since 2009.
- Extensive support documentation can be found on their webpage: [http://grants.nih.gov/grants/rppr/](http://grants.nih.gov/grants/rppr/)
What NIH users find with RPPR

- Structured collection of data
- Rich text editor, *(NOTE: still can not use scientific characters)*
- PDF upload to support images, charts, and other complex graphics
- Use of MyNCBI to add publications to report (more to come on MyNCBI)
- Special reporting requirements are controlled by solicitation
Flexibility of RPPR allows for form to be customized for different award mechanisms

<table>
<thead>
<tr>
<th>7 Types of RPPR: Examples of Differences</th>
</tr>
</thead>
</table>
| **R01-like** | • Standard RPG  
|              | • Basis for development of other types |
| **Individual CDA** | • Mentor report  
|            | • RCR reporting |
| **Training** | • Trainee Diversity Report  
|              | • RCR reporting  
|              | • Tables 12A/B & program statistics, if applicable |
| **Fellowship** | • Sponsor comments  
|              | • RCR reporting |
| **Education** | • No reporting on technology or invention products, resource sharing, impact on infrastructure, tech transfer |
| (e.g., R13, R15, T36) | |
| **SBIR/STTR** | • Report on technology transfer, product development status, and commercialization plan |
| **Complex** | • Parent reporting similar to R01-like  
|              | • Project/core (s) reporting on accomplishments, technologies, products, resource sharing, publications, hESCs, human subjects |
A. Cover Page section

Most of the data fields flow over personal profile in the eRA Commons.
B. Accomplishments

Includes these sections

- Major Goals of the project
- Have the major goals changed since initial concept?
- What was accomplished under these goals?
- Is it there a revision or supplement?
  Follow up questions if yes
- Space to upload accomplishments and professional development opportunities
- Opportunity for training and professional development
- Have results been disseminated to community?
- Plans for next reporting period
RPPR is customizable by the agency

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 if you 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. 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).**

An example where NIH has added the PHS icon in with their instructions to give the user guidance in completing this question in the section.
C. Products

Includes these sections

- Publications
- Associated websites/URLs
- Technologies or techniques that resulted from the research
- Inventions, patents, applications and/or licenses
- Other products and resource sharing
D. Participants

Includes these sections

- Who has worked on this project?
- Personnel updates
- Changes in other support
- New Other Significant Contributors
- Multi-PI Leadership Plan
E. Impact

Includes these sections

- What is the impact on physical, institutional or information resources that form infrastructure?
- What dollar amount of the award’s budget is being spent in foreign countries?
### F. Changes

- Anticipated challenges or delays and actions or plans to solve them
- Significant changes to human subjects, vertebrate animals, biohazards, and/or select agents
G. Special Reporting Requirements

- Special Notice of Award Terms and Funding Opportunity
- Human Subjects (Does project include, inclusion enrollment data)
- Clinical Trial
- Human Subjects Education Requirement
- Human Embryonic Stem Cells (hESCs)
- Vertebrate Animals
- Project/Performance Sites
- Foreign Components
- Estimated Unobligated Balance
- Program Income
- F&A Costs
**H. Budget**

Will access the SF 424 R&R format for those agencies that require a budget as part of submission. *Not applicable for the NIH RPPR.*
The look of the finished RPPR is much like a SF 424 R&R in the eRA Commons

<table>
<thead>
<tr>
<th>Project Title: Integrating Quality Control: Studies of CHIP in Age-related Neurodegeneration</th>
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</thead>
<tbody>
<tr>
<td>Grant Number: 5R01AG034228-04</td>
</tr>
<tr>
<td>Project/Grant Period: 09/15/2013 - 09/30/2014</td>
</tr>
<tr>
<td>Reporting Period: 08/01/2011 - 07/31/2012</td>
</tr>
<tr>
<td>Requested Budget Period: 08/01/2012 - 07/31/2013</td>
</tr>
<tr>
<td>Report Term Frequency: Annual</td>
</tr>
<tr>
<td>Date Submitted:</td>
</tr>
<tr>
<td>Program Director/Principal Investigator Information:</td>
</tr>
<tr>
<td>HENRY L PAULSON, BS MD PHD</td>
</tr>
<tr>
<td>Phone number: 734-615-5632</td>
</tr>
<tr>
<td>Email: <a href="mailto:eRATest@mail.nih.gov">eRATest@mail.nih.gov</a></td>
</tr>
<tr>
<td>Recipient Organization:</td>
</tr>
<tr>
<td>UNIVERSITY OF MICHIGAN AT ANN ARBOR</td>
</tr>
<tr>
<td>3003 SOUTH STATE STREET</td>
</tr>
<tr>
<td>1040 Wolverine Tower</td>
</tr>
<tr>
<td>ANN ARBOR, MI 481091274</td>
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<tr>
<td>DUNS: 073133571</td>
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<tr>
<td>EIN: 1386006309A1</td>
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<tr>
<td>RECIPIENT ID: D34521</td>
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<tr>
<td>Change of Contact PD/PI: N/A</td>
</tr>
<tr>
<td>Administrative Official:</td>
</tr>
<tr>
<td>COLLEEN L VOGLER</td>
</tr>
<tr>
<td>University of Michigan DRDA</td>
</tr>
<tr>
<td>3003 S. State St., Room 1040</td>
</tr>
<tr>
<td>ANN ARBOR, MI 481091274</td>
</tr>
<tr>
<td>Phone number: 7347647246</td>
</tr>
<tr>
<td>Email: <a href="mailto:kittayph@od.nih.gov">kittayph@od.nih.gov</a></td>
</tr>
<tr>
<td>Signing Official:</td>
</tr>
<tr>
<td>LAURA CIFOR</td>
</tr>
<tr>
<td>UNIVERSITY OF MICHIGAN</td>
</tr>
<tr>
<td>1036 Wolverine Tower</td>
</tr>
<tr>
<td>3003 South State Street</td>
</tr>
<tr>
<td>ANN ARBOR, MI 481091274</td>
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<tr>
<td>Phone number: 734-764-7234</td>
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<tr>
<td>Email: <a href="mailto:kittayph@od.nih.gov">kittayph@od.nih.gov</a></td>
</tr>
<tr>
<td>Human Subjects: Yes</td>
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<tr>
<td>HS Exempt: No</td>
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<tr>
<td>Exemption Number: FWA Number: FWA00004969</td>
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<tr>
<td>Phase III Clinical Trial: Yes</td>
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<td>Vertebrate Animals: Yes</td>
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<td>Assurance Number: A3114-01</td>
</tr>
<tr>
<td>hESC: Yes</td>
</tr>
<tr>
<td>Inventions/ Patents: Yes</td>
</tr>
<tr>
<td>If yes, previously reported: Yes</td>
</tr>
</tbody>
</table>
Communications to PIs/Support Staff

- We sent an e-mail to all NIH-supported researchers in Pediatrics (PIs, Co-Is, Sub PIs, Sub Co-Is, Fellows) briefly describing new procedures (RPPR, NCBI, NIHPA policy)

- The e-mail provided options for getting set up in MyNCBI during the next month (come to us, we come to you, send instructions, etc.)
Communications to PIs/Support Staff

- Six weeks prior to RPPR due date, we contact the PI and provide a pre-filled RPPR worksheet.

- The worksheet identifies which questions the PI is responsible for and which will be completed by support staff/accountant.

- The PI will return the worksheet with text to paste into text boxes and PDF attachments to upload to the RPPR, etc.
Communications to PIs/Support Staff

- Shared a table (found in on-line resource section associated with this presentation) that compares the sections of the RPPR to an eSNAP. This table reviews the new, eliminated and modified questions. Tabular form is a great way to share the documentation quickly with faculty and staff.
Departmental Perspective: Pediatrics

PIs should be most aware of these changes

- Format of response; new ways to communicate results
  - Textbox (does not allow for formatting)
  - PDF Attachment
  - Checkbox (e.g., Nothing to Report)
  - Yes/No

- Scientific narrative, now split among several sections

- MyNCBI/MyBibliography

- Sharing plan
Departmental Perspective: Pediatrics

Support staff should be most aware of these changes

- Personnel calendar months (whole numbers)
- Key personnel % effort changes and approval (for next year)
- Adding annotation of changes in Other Support to top of actual Other Support
Departmental Perspective: Pediatrics

- No summary provided of which sections are completed (or not); still a check for errors button
- PIs may want to include more or less than is necessary
- Foreign component (if applicable)
- MyNCBI
- Irritating warnings
Suggestions for department staff working on NIH RPPRs

- PIs delegate My Bibliography access to multiple staff; avoid sharing of Commons passwords.
- Department prepares a calendar of all RPPR due dates in next year (prime and subawards)
- Grants staff complete as much of the RPPR about six weeks before due date and identify any issues, especially non-compliant publications
Departmental Perspective: Pediatrics

- Grants staff provide a comprehensive or customized worksheet and assures everyone knows their responsibilities (see Peds worksheet in on-line resource section associated with this presentation)

- Grants staff assure PI reviews compiled RPPR prior to PI routing to SPA

- PI (not staff as PI) logs in to Commons and routes to SPA
**SPA Process**

“Business as Usual”

- Was SPA review required previously?
- Internal processes remain unchanged
- If sponsor changes submission requirements, we will review them and determine submission process
SPA Process-NIH

- NIH rolled out RPPR in the ERA Commons
  - Link in eSNAP to RPPR
  - Continue to route to GA in SPA for review with PRF, budget info.
  - E-mail to proposal@umn.edu when ready for SPA
“Other” Agency Implementation Plans

- NSF
  - PI submits reports in research.gov
  - replaces NSF’s annual and interim project reporting capabilities which currently reside in the FastLane System

- NEH
  - will implement the RPPR in an electronic format that will be available to grantees via the agency's electronic grant management system, "eGMS"
“Other” Agency Implementation Plans

- USDA
  - Forest Service-2 stages-updates to current reporting systems anticipated
    - Stage one 09/13
    - Stage two 09/14
  - initially they will email electronic forms for completion, eventually reporting will be done in Research Information Tracking System (RITS)
  - NIFA-RPPR will roll out in their “REEport” electronic system 09/13

- DOJ
  - Implemented pdf report through GMS system
“Other” Agency Implementation Plans

- EPA
  - initial implementation in paper format
  - award doc will contain guidance on submission process

- DOE
  - Implemented through EERE (DOE program reporting site)
  - RPPR reporting noted in award document
  - Pdf upload by PI

- NASA
  - Pending January 2014
“Other” Agency Implementation Plans

- Department of Commerce
  - adopt the use of the RPPR in research related awards no later than October 1, 2013.
  - implementation will be in electronic format

- Department of Homeland Security
  - DHS developing an electronic PDF document downloaded from their website.
  - The file submission may be sent electronically or by paper to DHS awarding offices for annual or other interim progress reports, as provided in the award
“Other” Agency Implementation Plans

- Department of Education
  - All reports are submitted in the G5 system.
  - Completed pdf to SPA GA for confirmation of expenditures and signature.
  - GA sends to PI for submission in G5

- DOD
  - Interim reports will share a common RPPR-based template
  - Interim reporting submission guidelines until a DOD-wide electronic reporting system can be established
  - Anticipated implementation date January 2014