(NIH) PROGRESS REPORTS (RPPRS)

The Research Performance Progress Report (RPPR) is the tool used by NIH grantees to report on project progress, documenting both achievements and adherence to the terms of the award. There are three types of RPPRs: Annual, Final, and Interim, each guided by the NIH RPPR Instruction Guide. Submission of all RPPRs is managed through eRA Commons, with no downloadable form available. For ongoing projects, links to the Annual and Interim RPPRs can be accessed via the Commons Status tab. There are typically compliance and administrative steps generated at your organization for each progress report.

QUESTIONS TO ASK YOUR MANAGER

Who are the designated signature officials at our organization?

Who are the designated administrative officials in our organization?

What are our internal compliance review processes for Conflict of Interest (COI)?

Where do we verify the IACUC/IRB and other required compliance documents?

Is there an internal tracking system for entering and managing RPPRs, such as Huron, Cayuse, etc.?

QUESTIONS TO ASK YOUR PI

Will there be any change in effort for this project in the coming year?

Are there any updates on the subawardees, such as continuations, additions, or subtractions?

PD/PI ROLE

In most organizations, the Principal Investigator (PI) is tasked with **initiating the progress report in commons,** inputting scientific details, updating compliance documents such as IACUC/IRB, maintaining their other support information, and providing updates on data, publications, and other research products.

RA ROLE

Reviews the RPPR for compliance, updates the All Personnel Report, confirms effort, contacts subcontracts for documentation, and calculates and reports on budgetary carryover as detailed on page 3. They ensure all RPPR requirements are met before validating and submitting to the signature official.

SIGNATURE OFFICIAL

The signature official is the only person authorized to submit the RPPR to the NIH.

TYPES OF RPPRS

Annual RPPR: Describes a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.

Final RPPR: Used 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: Used for submitting a renewal If the Type 2 is not funded, the Interim RPPR becomes the Final RPPR. If funded, it serves as the annual RPPR for the last year of the previous segment.

BEFORE TAKING ANY ACTION, ALWAYS CONSULT WITH YOUR MANAGER OR SUPERVISOR TO ALIGN WITH YOUR INSTITUTION'S SPECIFIC PROCESSES AND POLICIES.

(NIH) PROGRESS REPORTS (RPPRS)

OVERVIEW

Section A. Cover Page	Identify the title of the project, subproject, or activity.
Section B. Accomplishments	This is typically up to your PI to fill in, but verify **Section B.3** covers any supplements and ensure **Section B.4** includes IDPs for Post Docs or Grad Students, and for T32s, add automated *Trainee Diversity and Research Training Tables from xTRACT*.
Section C. Products	Ensure PI has linked Commons and MyNCBI accounts. How to link. Notify PI of any Noncompliant pubs.
Section D. Participants	Besides PD/PI, and Key Personnel, report only those who have worked 1CM or more. Do not round anyone else up to 1 CM. **D.2.a.** Ensure no named Key Personnel have reduced their effort by more than 25% without prior approval **D.2.c.** upload other support pages for any senior/key personnel who have new/completed support in past year. **D.2.b.** upload biosketch/other support for any new senior/key personnel
Section E. Impact	**E4.** Document the expenditure amount per country for all first-tier subawards to foreign entities.
Section F. Changes	Upload attachments for any changes to Humans/Vertebrate Animals/Biohazards/Select Agents
Section G. Special Reporting Requirements	**G.1:** Address any special reporting requirements from NOA or FOA; for T32s, include information on trainees using childcare. **G.2/G.3:** For K and F awards, upload Responsible Conduct of Research and ensure any Mentor/Sponsor statements are signed. **G.4.b:** Use the HSS link to check if PI has updated Inclusion Enrollment tables; edits reflect only after SO submission. **G.8:** List all project performance sites, including institutional and consortium locations. **G.10:** Respond to questions about Unobligated Balance.
Section H. Budget	Applicable only to Non-SNAP grants • Use SF424 budget, except T32s use PHS 398 Training Budget. • T32s must detail full tuition in the budget; post formula amounts can be in the justification. • Enter total consortium cost in line F.5 for individual consortium budgets. • Use PHS 2590 form page 3 for budget justifications if no significant changes. • For P's and U's, list subcontracts under the institution's budget as consortia, not separate components.
Section I. Outcomes	For Interim and Final RPPRs only: Inform the PI that the report should be written in layman's terms and will be publicly accessible.

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AREAS TO MAKE NOTE OF

SECTION D. PARTICPANTS

We are required to list all individuals contributing effort to the project during the current reporting period. Effort calculations should reflect the average effort for the entire reporting period, posted retroactive effort, and projected future effort. List effort for all personnel who worked at least one person-month, down to one decimal place, and ensuring all PD/PIs have measurable effort recorded. (Page 90 on the RPPR Guide) There is a free worksheet on Patreon to help you calculate the reported effort.

SECTION G4B. HUMAN SUBJECTS

The human subjects component involves several complex steps, including a ClinicalTrials.gov section that must align with the RPPR details. Typically RAs do not complete this part; investigators can encounter challenges due to its complexity. Use my free guide to guide investigators through this process, though they are responsible for filling it out themselves. RAs and SOs cannot view the details within the ASSIST space, and cannot resolve errors but we can check for them.

SECTION H. BUDGET REPORTING

Streamlined Non-Competing Award Process (SNAP): This streamlined process modifies annual progress reports, Notices of Award (NOAs), and financial reports. *Unobligated balances under 25% are automatically carried over without prior approval.* NIH award notices indicate if a grant is SNAP-eligible. More information on SNAP is available here.

Non-streamlined Non-Competing Award Process (Non-SNAP): This process is not streamlined and does not follow SNAP provisions, typically requiring a detailed budget in the RPPR module of eRA Commons. The NOA will spell out what type of progress report is needed.

G.10 ESTIMATED UNOBLIGATED BALANCE

The "total approved budget" used as the basis for the carryforward amount consists of the **current fiscal year's award authorization plus any approved carryover from prior years. All expenses to date are deducted from that budget and then we determine if it exceeds 25%.** If the unobligated balance is less than 25% of the total approved budget, check "No." If it exceeds this threshold, check "Yes" and prepare a narrative justification for the carryover excess.

- Contact subawardees to determine their unobligated balances.
- Analyze financial reports for expenses incurred to date and outstanding obligations, including encumbered salaries and expected invoices.

SUPPORTING LINKS

- Research Performance Progress Report (RPPR)
- NIH NOT-OD-17-074 on Reporting
- RPPR Guide (PDF)
- How to Initiate a Progress Report (PI ONLY)
- Search for Progress report by IPF Number
- Find your IPF Number (requires commons login)
- Patreon Link for Template Emails to Sendout

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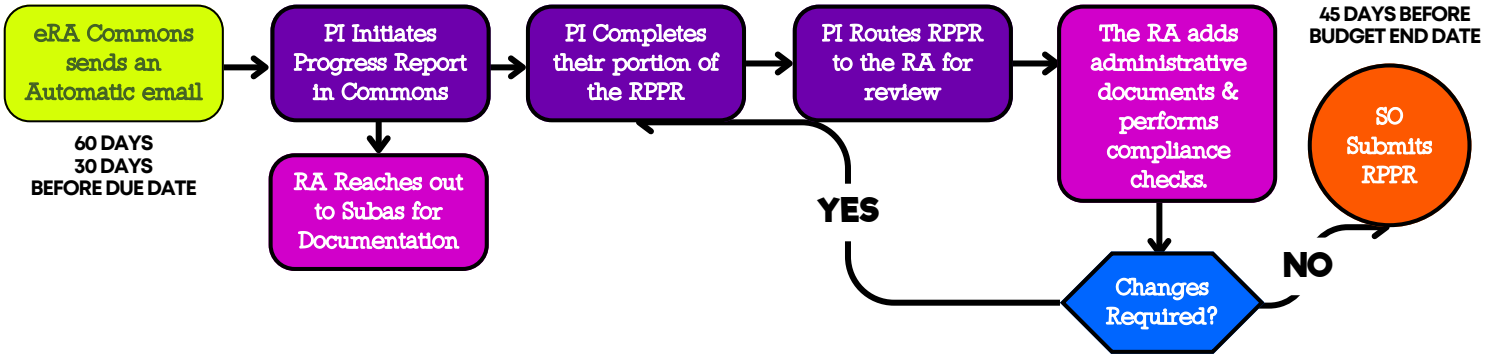
GENERAL WORKFLOW

This outline represents the typical flow of an RPPR. **Variations may occur based on your organization's** internal systems used to monitor compliance, calculate budgets and financials, and review and submit documents. While some organizations use paper, others employ online systems that manage all compliance requirements and generate progress reports at the push of a button.



COMPLIANCE RED FLAGS

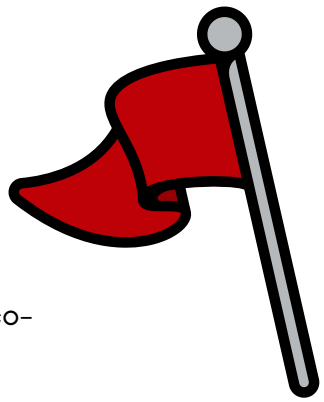
REDUCTION IN SALARY AND EFFORT

Key personnel cannot reduce their effort on an NIH project by more than 25% without prior NIH approval. Before submitting any RPPR, confirm the committed effort for all key personnel and calculate the current effort against that information to ensure the reduction does not exceed the allowable limit. For a spreadsheet to assist with this calculation, download the resource on Patreon.

FOREIGN COMPONENTS

Applicants and awardees must disclose "all resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and whether they are based at the institution the researcher identifies for the current grant. Foreign components must be disclosed in a proposal as a Foreign Justification in the R&R Other Project Information Form.

FOREIGN COMPONENTS – SIGNIFICANT ACTIVITIES



- Activities that ARE considered significant are:
  - Involvement of Human or Animal Subjects
  - Extensive Foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities
- Activities that MAY BE considered significant are:
  - Collaborations with investigators at a foreign site anticipated to result in co-authorship;
  - Use of facilities or instrumentation at a foreign site; or
  - Receipt of financial support or resources from a foreign entity.
- ·FCOI Resources: How and When to Report Chart

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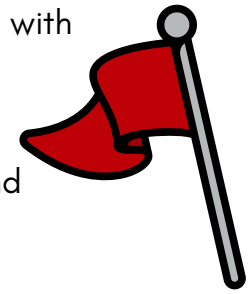
(NIH)

OTHER SUPPORT CHECKLIST

- [ ] Confirm with the PI the that they are aware of the deadline of the progress report
- [ ] Ensure that COI disclosures/training and patent agreement for all Senior/Key Personnel are up to date
- [ ] Obtain current IRB/IACUC approval, if applicable
- [ ] Obtained budget carryforward and all personnel report from the subawardees
- [ ] Complete a financial analysis to confirm the carryforward amount (including subawardee information) and saved it in an auditable location?
- [ ] Created a budget for your internal office that matches the amount expected for the coming year per the most recent NOA
- [ ] Has the Investigator attached the appropriate Other Support Documentation with digital signatures?*
  - something foreign involvement



- [ ] Analyze the effort of all individuals involved in this project, paid or unpaid, and calculate their average effort for the reporting period. Enter this information into Section D: Participants.
  - Effort for Senior/Key Personnel named in the NOA should not have decreased 25% or more from the last approved level without prior approval from NIH
- [ ] The PI has completed the Human Subjects component in ASSIST. If this section is required but incomplete, it will display as an error. Note that research administrators and SOs cannot access this information.
- [ ] NOA has been reviewed for special conditions related to this RPPR and all of those have been met and accounted for in the RPPR
- [ ] Ran a validation check in commons to ensure that there are no warnings and/or errors

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