RPPR PROGRESS REPORT QUESTIONS
Revised February 27, 2017

PI NAME: _____ **AWARD #:** _____

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 *(NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.) Only required for 1st RPPR. Future reports will include data from previous year.*

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.

Response should not exceed 2 pages. Upload attachment.

B.3 Competitive Revisions/Administrative Supplements: ___ Applicable ___ Not Applicable

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.

Describe the specific aims for this Revision/Supplement *(Limit is 700 characters or approximately 1/4 of a page.)*

Describe the accomplishments for this Revision/Supplement *(Limit is 700 characters or approximately 1/4 of a page.)*

B.4 What opportunities for training and professional development has the project provided?

☐ **Nothing to Report**

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.

If something to report, upload attachment.

B.5 How have the results been disseminated to communities of interest? ☐ **Nothing to Report**

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 sources will be reported under Products.

Enter response *(NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)*

B.6 What do you plan to do during 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.

Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased. Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.).

Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Changes.

Enter response *(NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)*

C. Products

C.1 Publications

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication, 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

C.2 Website(s) or other Internet site(s) ☐ Nothing to Report

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.

For awards not designed to create or maintain one or more websites select "Nothing to Report". A description is only required for awards designed to create or maintain one or more websites. Limit the response to this reporting period.

List URL(s) for Internet site(s) and provide description(s) below *(NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)*

C.3 Technologies or techniques ☐ Nothing to Report

Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared.

If the technology or technique 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 categories). If the product(s) has been reported or shared through a publication, please include the full reference and/or PubMed ID in the product description.

Limit the response to this reporting period.

Identify and describe technologies or techniques below *(NIH recommended length is up to 1 page. Limit is 8000 characters or approximately 3 pages.)*

C.4 Inventions, patent applications, and/or licenses

Have inventions, patent applications and/or licenses resulted from the award during this reporting period? ○ **Yes** ○ **No**

If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization? ○ **Yes** ○ **No**

Reporting of inventions through iEdison is strongly encouraged.

C.5 Other products and resource sharing

☐ **Nothing to Report**

Identify any other significant products that were developed under this project.

PD/PIs are required to report all products that arise from their NIH award in Section C. If there are other products to report not covered in Sections C1-C3, enter a description for the product and choose the appropriate product category(ies) from the pull down menu (select multiple categories by holding down the Ctrl button while selecting the categories). If there is more than one product to report, select "add product" to create a workspace to report an additional product. Limit the response to this reporting period.

If something to report, upload attachment.

(NIH recommended length is up to 1 page. Limit is 2000 characters or approximately 3 pages)

E. Impact

E.2 What is the impact on physical, institutional, or information resources that form infrastructure? ☐ **Nothing to Report**

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".

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.)*

F. Changes

F.2 Actual or anticipated challenges or delays and actions or plans to resolve them

☐ **Nothing to Report**

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.

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.)*

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 ☐ **No Change**

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.

Upload description of change

F.3.b Vertebrate Animals ☐ **No Change**

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.

Upload description of change

F.3.c Biohazards ☐ **No Change**

If the use of biohazards is or will be different from the previous submission, provide a description and explanation of the difference(s).

Upload description of change

F.3.d Select Agents ☐ **No Change**

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 explanation. If studies involving Select Agents are planned and were not part of the originally proposed research design, provide a description of the proposed use, possession, transfer, and research location as described in the competing application instructions.

U.S. Select Agent Registry information: http://www.selectagents.gov/SelectAgentsandToxins.html

Upload description of change

G. Special Reporting Requirements

G.2 Responsible Conduct of Research *(For K Awards)* ☐ No Applicable

Describe the responsible conduct of research instruction received (or instruction given as a course director, discussion leaders, etc., in the case of senior fellows or senior career awardees) by formal and/or informal means, during this reporting prior. If instruction or participation as a course director/discussion leaders occurred in a prior budget period, note the dates of occurrence. Any activities undertaken to individualize instruction appropriate to career stage should be discussed. Address the five components: Format, Subject Matter, Faculty Participation, Duration, and Frequency. Additional detailed guidance on this requirement is found in the competing application instructions.

G.3 Mentor's Report *(For K Awards)* ☐ Not Applicable

For mentored K awards, provide a letter signed by the mentor, in PDF format, assessing the awardee's progress and performance during this reporting period, both in research and in terms of development into an independent investigator in the area of the award. Include information on the availability of support for the candidate's research project during the next budget segment. For applicable career transition awards (e.g. K22, K99), the mentor should describe the awardee's efforts to transition into a permanent research position and the sponsor's contributions to that process. If required to submit letters from more than one mentor, letters should be assembled in one PDF file. For non-mentored K awards, select "Not Applicable."

ADMINISTRATIVE TYPE QUESTIONS FOR FUND MANAGER

D. Participants

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.

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.

D.2 Personnel Updates

D.2.a Level of Effort

Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort from what was approved by the agency for the PD/PI(s) or other senior/key personnel

designated in the Notice of Award, or (2) a reduction in the level of effort below the minimum amount of effort required by the Notice of Award? ○ **Yes** ○ **No**

Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once agency approval has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level. Selecting "yes" constitutes a prior approval request to the agency and the issuance of a subsequent year of funding constitutes agency approval of the request.

If yes, provide an explanation below *(Limit is 700 characters or approximately 1/4 of a page.)*

D.2.b New Senior/Key Personnel

Are there, or will there be, new senior/key personnel? ○ **Yes** ○ **No**

Senior/key personnel are those identified by the grantee institution as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not salaries are requested. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants may be considered senior/key personnel if they meet this definition. "Zero percent" effort or "as needed" is not an acceptable level of involvement for senior/key personnel.

If yes, upload biosketches and other support for all new senior/key personnel

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? ○ **Yes** ○ **No**

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

D.2.d New Other Significant Contributors

Are there, or will there be, new other significant contributors? ○ **Yes** ○ **No**

Other significant contributors are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project.

If yes, upload biosketches for all new other significant contributors

D.2.e Multi-PI (MPI) Leadership Plan

Will there be a change in the MPI Leadership Plan for the next budget period?

○ **N/A** ○ **Yes** ○ **No**

Change in status of PD/PI requires prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.6).

If yes, upload a revised MPI Leadership Plan that includes a description of the change(s)

E. Impact

E.4 What dollar amount of the award's budget is being spent in foreign country(ies)?

☐ **Nothing to Report (zero dollars)**

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.

Provide the following for each foreign country: Dollar Amount_____   Country_____

G. Special Reporting Requirements

G.1 Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements   ☐ **No Change**

Address any special reporting requirements specified in the award terms and conditions in the Notice of Award (NoA) or Funding Opportunity Announcement (FOA).

Upload file(s)

G.4 Human Subjects

G.4.a Does the project involve human subjects?   ○ **Yes** ○ **No**

Is the research exempt from Federal regulations?   ○ **Yes** ○ **No**   If yes, check appropriate exemption number(s). E1☐   E2☐   E3☐   E4☐   E5☐   E6☐

Does this project involve a clinical trial?   ○ **Yes** ○ **No**

   If yes, is this an NIH-defined Phase III Clinical Trial?   ○ **Yes** ○ **No**

G.4.b Inclusion Enrollment Data

Please review the box below to determine if this project meets the definition of clinical research and requires the reporting of cumulative enrollment of subjects and the distribution of sex/gender, ethnicity and race. Click here (https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf) for complete instructions about this requirement. Please contact the NIH Program Official at with any questions.

G.4.c ClinicalTrials.gov

Does this project include one or more applicable clinical trials that must be registered in ClinicalTrials.gov under FDAAA? ○ **Yes** ○ **No**

If yes, provide the ClinicalTrials.gov identifier, NCT number (e.g., NCT00654321) for those trials.

G.5 Human Subjects Education Requirement

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research? ○ **Yes** ○ **No**

If yes, provide the following in the text box below *(Limit is 1300 characters or approximately 1/2 of a page.)*

- names of individuals,
- title of the education program completed by each individual, and
- a one sentence description of the program

G.6 Human Embryonic Stem Cells (hESCs)

Does this project involve human embryonic stem cells? ○ **Yes** ○ **No**

Only hESC lines listed as approved in the NIH Registry may be used in NIH funded research.

If yes, identify the hESC Registration number(s) from the NIH Registry

If there is a change in the use of hESCs provide an explanation below *(Limit is 700 characters or approximately 1/4 of a page.)*

G.7 Vertebrate Animals

Does the project involve vertebrate animals? ○ **Yes** ○ **No**

G.8 Project/Performance Sites

If there are changes to the project/performance site(s) displayed below, edit as appropriate.

G.9 Foreign Component ☐ **No Foreign Component**

"Foreign component" is defined as significant scientific activity that was performed outside of the United States, either by the grantee or by a researcher employed by a foreign organization, whether or not grant funds were expended. The following grant-related activities are significant and must be reported:

- involvement of human subjects or research with live vertebrate animals;
- extensive foreign travel by grantee project staff to collect data, or conduct surveys or sampling activities; or
- any grantee activity that may have an impact on U.S. foreign policy.

 Examples of other grant-related activities that may be 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.

Foreign travel for consultation does not meet the definition of foreign component.

Provide the organization name, country, and description of each foreign component

Organization Name_____   Country   Please select a country

Description of Foreign Component *(Limit is 700 characters or approximately 1/4 of a page.)*

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? ○ **Yes** ○ **No**

The "total approved budget" equals the current fiscal year award authorization plus any approved carryover of funds from a prior year(s). The numerator equals the total amount available for carryover and the denominator equals the current year's total approved budget.

If yes, provide the estimated unobligated balance.

Estimated Unobligated Balance$_____

AHRQ Special Instructions

G.10.b Provide an explanation for unobligated balance below *(Limit is 700 characters or approximately 1/4 of a page.)*

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 *(Limit is 1300 characters or approximately 1/2 of a page.)*

G.11 Program Income

Is program income anticipated during the next budget period? ○ **Yes** ○ **No**

If yes, use the format below to reflect the amount and source(s)

Anticipated Amount $_____   Source(s) _____

G.12 F&A Costs

Is there a change in performance sites that will affect F&A costs? ◯ **Yes** ◯ **No**

If yes, provide an explanation below *(Limit is 1300 characters or approximately 1/2 of a page.)*