Outline for Interim and Final Research Performance Progress Reports

Part I: WPO Reporting Requirements

WPO-specific reporting requirements include project information required by your WPO funding program:

● What was the project’s Readiness Level (RL) at the start of the project? For definitions of RLs, see NOAA’s Readiness Levels [webpage](https://orta.research.noaa.gov/support/readiness-levels/).

● What is the project’s current RL, and how was the RL determined?

If the project has increased in RL during the past 6 months, explain what occurred to justify the increase. If your project has sub-components at different RLs and are advancing at different speeds, report RLs for each component separately, but also include a best-estimate, project-total RL. If any part of your project has transitioned to National Weather Service or other operations (RL 9), then include information about its transition (including the specific operational entity). Partial transitions are also important.

● What are the starting, current, and ending Readiness Levels (RL) of the project (See Appendix B)? If the project has increased in RL during the past 6 months, explain what occurred to justify the increase. If your project has sub-components at different RLs and are advancing at different speeds, report RLs for each component separately, but also include a best-estimate, project-total RL.

● Use the table below to report your Readiness Levels in the right column.

##### 

##### **Readiness Levels Table**

|  |  |
| --- | --- |
| Starting readiness level of your project: | RL |
| Current readiness level of your project: | RL |
| Justification for the current readiness level: |  |
| Change in readiness levels since the last reporting period: | RL |
| Proposed ending readiness level of your project: | RL |

● If any part of your project has transitioned to National Weather Service or other operations (RL 9), then include information about its transition below (including the specific operational entity). Partial transitions are also important.

**The following questions are for research-to-operations-related projects only:**

**For any project intending to involve a NOAA testbed** evaluation or otherwise utilize NOAA testbed resources:

● Include a Testbed Test Plan for testbed projects only (if new or if updated after the initial submission; your NOAA Federal Program Officer will provide separate instructions on required content). There is no need to include this plan if there have been no changes since the last time it was previously submitted.

● Report whether the project has been approved for testbed testing (only if it is a NOAA testbed project).

● Provide a summary of testbed-related collaborations, activities, and outcomes (if it is a testbed project and is not reported elsewhere).

**For any project requiring a transition plan**, as determined by your Program Manager:

● Report on activities related to transitions to NWS operations, or transitions to uses outside NOAA (commercial, etc.) in the preceding six months (if not reported elsewhere).

● Report the status of your transition plan. Is the transition plan complete, incomplete, or in revision?

● Report on any transitions to NOAA, if anything.

**The following question pertains to all projects:**

● How has the project addressed or promoted Diversity and Inclusion (D&I) during the most recent reporting period? Report on any D&I activities and initiatives.

### Budget Information

Describe any major budget anomalies or deviations from the original planned budget expenditure plan and the associated reasons.

● Is the project on budget?

● List the current fiscal year’s award budget and the amount currently obligated or spent.

Part II: ERA RPPR Template

This outline is an abridged version of the fillable-form template for the RPPR. The lettered questions are from eRA Commons, with additional information for your response written in blue text. For more detailed instructions and guidance, please refer to page 78–116 of the eRA Instructions [available here](https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). PIs may use the outline to write reports following these Instructions. Responses should be copied into the RPPR form in eRA Commons.

Tips for entering your responses into eRA:

* Remember to save all your changes before leaving each page.
* Remember all files must be flattened PDF files for successful submission. This ensures that PDFs cannot be edited following submission. Instructions for flattening PDFs

# A. Cover Page

eRA section pre-populated with data from the award file.

# 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.

**List the major goals below:**

#### 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)

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. Include the approaches taken to ensure robust and unbiased results. For most awards the response should not exceed 2 pages.

**Please enter your response below:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

### B.3 Competitive Revisions/Administrative Supplements

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.

### 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, select "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. 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

**Please enter response below:**

Note: In eRA, you can upload Description and Diversity Report, as applicable.

There is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

### B.5 How have the 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 sources will be reported under Products.

* Nothing to Report

**Please enter response below:**

### 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.

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.

**Please enter response below:**

# 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, or preprint) during the reporting period resulting directly from this award?

* Yes
* No

### C.2 Website(s) or other 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. It is not necessary to include the publications already specified above.

A description is only required for awards designed to create or maintain one or more websites. If the website disseminates a product that 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 the categories). Limit the response to this reporting period.

* Nothing to Report

**Please list URL(s) for internet site(s) and provide description(s) below:**

Note: In eRA, there is a button for you to add new Web/Internet Site entries

### C.3 Technologies or techniques

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 the 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.

* Nothing to Report

**Please list URL(s) for internet site(s) and provide description(s) below:**

Note: In eRA, there is a button for you to add new Technology/Technique entries

### 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

### C.5 Other products and resource sharing

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

PD/PIs are required to report all products that arise from their award in section C. If there are other products to report not covered in Sections C1–C4, 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.

* Nothing to Report

**Please list URL(s) for internet site(s) and provide description(s) below:**

Note: In eRA, there is a button for you to add new Product/Resource entries

### D. Participants

The following applies to all awards, except fellowships:

* For awards, Commons IDs are now required for individuals with the Undergraduate, Graduate Student, and Postdoctoral roles. Commons IDs can be created by going to the eRA Commons Home Page and Creating an Account or by contacting the signing official of their
* organization.
* Individuals with these roles on a project are required to complete their Commons Personal Profile.
* Individuals with a Graduate Student role must enter at least one degree, and those with a Postdoctoral role must enter a doctoral degree.

Degrees can be entered under the individual's Personal Profile found after they log into Commons.

### 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.

**Please complete the table below:**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name | Commons ID | S/K | Degree(s) | Role | Calendar | Academic | Summer | Org | Foreign Country |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |

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

D.2.b New Senior/Key Personnel

Are there, or will there be, new senior/key personnel?

* Yes
* No

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

D.2.d New Other Significant Contributors

Are there, or will there be, new other significant contributors?

* Yes
* No

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

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

* Yes
* No
* N/A

# E. Impact

### E.1 Not Applicable

### E.2 What is the impact on physical, institutional, or information resources that form infrastructure?

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".

* Nothing to Report

**Please describe impact on physical, institutional, or information resources below:**

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### E.3 Not Applicable

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

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.

* Nothing to Report (zero dollars)

**If more than one foreign country, identify the distribution between the foreign countries:**

# F. Changes

### F.1 Not Applicable

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

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.

* Nothing to Report

**Please describe challenges or delays and plans to resolve them below:**

### 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. 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

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.

* Nothing to Report

**Please upload/provide description of change:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

#### F.3.b Vertebrate Animals

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.

* Nothing to Report

**Please upload/provide description of change:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

#### F.3.c Biohazards

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

* Nothing to Report

**If yes, enter response below:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

#### F.3.d Select Agents

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

* Nothing to Report

**Please upload/provide description of change:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

# G. Special Reporting Requirements

### G.1 Special Notice of Award Terms and Funding Opportunity Announcement Reporting Requirements

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

* Nothing to Report

**Please upload supporting document or provide description below:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

### G.2 Not Applicable

### G.3 Not Applicable

### G.4 Human Subjects

#### G.4.a Does the project involve human subjects?

* Yes
* No
* Is the research exempt from Federal regulations?
* Yes
* No
* Does this project involve a clinical trial?
* Yes
* No

#### G.4.b Inclusion Enrollment Data

Inclusion Enrollment Report

If inclusion enrollment reporting is required, download and complete the Cumulative Enrollment Report, and upload it in Section G.4.b. If inclusion enrollment reporting is not required, select "Nothing to Report."

* Nothing to Report

**If yes, enter response below:**

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB

#### 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

### 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

### G.6 Human Embryonic Stem Cells (hESCs)

Does this project involve human embryonic stem cells?

* Yes
* No

### 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.

Note: In eRA, this table may auto-populate. Please edit as needed.

|  |  |  |  |
| --- | --- | --- | --- |
| Organization Names | UEI | Congressional District | Address |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

### G.9 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 awardee project staff to collect data, or conduct surveys or sampling activities; or any awardee activity that may have an impact on U.S. foreign policy.

Examples of other award-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.

* No foreign component

**Please provide the organization name, country, and description of each foreign component:**

### 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

### 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)**

### 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:**

### G.13 Not Applicable

# H. Budget

### H1. Budget Form

To complete the detailed budget for this award, follow the instructions in the SF424 (R&R) Application Guide, Section I, 4.7 Budget Component, sections A-K. The budget justification should be uploaded as item K, and must include detailed justification for those line items and amounts that represent a significant change from previously recommended levels (e.g., total rebudget greater than 25 percent of the total award amount for this budget period).

Note: In eRA, there is a box that allows you to select/add budget.

### H2. Subaward Budget Form

# I. Outcomes

### I.1 What were the outcomes of the award?

To be filled out at the end of the award period.

# J. Misc. Documents

### J.1 Other Documents

Please upload any additional attachments needed for your award that do not have a specific upload field in another section of the RPPR.

Note: In eRA, there is a box to upload files. Maximum of 1, .pdf file. Maximum file size: 6 MB