

Office of Research
Guideline 6
NIH Electronic Research Performance Progress Report
(RPPR) Guidance
WASHINGTON STATE UNIVERSITY
Revised May 2017

This Guideline provides guidance on the routing and review of the National Institutes of Health (NIH) [Research Performance Progress Report \(RPPR\)](#) through the Office of Research Support & Operations (ORSO). It also provides agency resources for Washington State University (WSU) faculty required to use the NIH Electronic [RPPR](#) Module in eRA Commons.

Background

Progress reports are required annually to document grant recipient accomplishments and compliance with the terms of the award. Recipients describe scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period in these annual reports.

Grant recipients are required to use the eRA Commons RPPR Module for submitting Streamlined Noncompeting Award Process (SNAP) and Fellowship progress reports for awards (See NIH Guide Notices [NOT-OD-13-061](#) and [NOT-OD-13-035](#)).

Noncompliance

Failure to meet these reporting requirements may adversely affect future funding to WSU or awards to the same Project Director/Principal Investigator (PD/PI) and may subject WSU to additional sanctions.

ORSO RPPR Routing and Review Procedures

The RPPR is initiated and completed by the lead PD/PI in eRA Commons. **The reported budget/effort information should be reviewed with the lead PD/PI's departmental research administrator before routing to ORSO.** Once the RPPR has been finished, the PD/PI will route it to ORSO in eRA Commons for final review and submission to the agency. The RPPR is due to the sponsor 45 - 60 days prior to the budget start date.

Once routed to ORSO, the RPPR is reviewed for the following:

- Confirming project/budget period to be reported.
- Verifying upcoming project/budget period.
- Ensuring that all required answers have been provided, as needed.
- Verifying reported effort*, by reviewing:
 - Months of effort being reported
 - Effort committed at proposal stage in the Personnel Justification
 - Months of effort paid out on the grant to date (*using info from Data Warehouse*)

- Checking for reduction in effort of the PD/PI **or** other senior/key personnel specifically named in the Notice of Award (NoA) by 25% or more, corroborate that the change was previously approved by the agency.
- Verifying that no duplicate places of performance have been listed.

*ORSO compares the payroll records, in the WSU accounting system, to what is being reported in the RPPR to ensure that each are consistent. NIH requires each person who has worked at least one person-month, within the budget period, to be listed in the RPPR, regardless of the source of compensation. WSU will only submit an RPPR if the payroll records and RPPR reported effort are consistent, except as noted below. If the information is not consistent, ORSO will work with the unit to reconcile the difference. This may require a level of cost-sharing.

For PD/PI and Senior/Key Personnel specifically named in Notice of Award:

- RPPR reported effort should align with proposed effort submitted in the application. Voluntary cost share will need to be tracked for effort not paid directly by the grant funds. As noted above, significant changes to effort need prior approval from the agency.

For all other Senior/Key Personnel:

- RPPR reported effort will reflect what has been paid by grant funds or otherwise documented. Voluntary cost share will need to be tracked for effort not paid directly by the grant funds.

Other Personnel:

- For **Other Personnel** RPPR Reported Effort may occasionally include effort not paid directly with grant funds. However, in those circumstances, the following language must be added to the end of section B.1 of the RPPR: *“In this budget period, [a portion of] the contributed effort for [Butch Cougar] is being reported as “uncommitted cost share” towards this project.”* Uncommitted cost share will not be tracked by WSU.
 - Except in unusual situations individuals with Fellowships are limited to reporting not more than 2 months of effort.
 - Individuals working under a Training grant will not have their effort reported on the RPPR as it is already reported via the NIH 2271 form. Their involvement in the project can be referenced in the body of the progress report section of the RPPR.
 - Effort charged on another sponsored project should not be reported on this RPPR.
 - The maximum amount of effort allowed for Graduate level students is 50% FTE or 6 person months – a note can be added to the end of B.1 stating that those 6 months have been spread out over the full budget period if desired.

Faculty should work with their research administrators on the personnel effort portion of the RPPR prior to routing to ORSO.

** An image of the final submitted report will be located in the database under the TO AGENCY, PROP/CONT log with the application box checked.

Quick Tips for Submitting a Successful RPPR

1. **Start early** – complete and route to ORSO **at least a week** in advance of the due date.
2. Check for warnings/errors. Have you fixed all required elements?
3. Any non-compliant Publications? If so, can they be fixed before submission?
4. Work with your Research Administrator to confirm effort that has been paid out.
5. Report only those individuals that have worked equivalent of 1 person-month or more on the project (*those with over .5 months, round up*).
6. Confirm the effort promised at the proposal stage (in the Personnel Justification).
 - If reduced funding – was an effort reduction communicated to agency?
7. Has the effort been reduced for the PD/PI or other senior/key personnel specifically named in the Notice of Award (NoA) by 25% or more?
 - If so, was prior approval requested and provided by the agency?
8. Do Places of Performance have the correct address listed? Please remove any duplicates.

Publication Submission:

Publications in the RPPR are linked to the My NCBI My Bibliography feature (<https://www.ncbi.nlm.nih.gov/books/NBK53595/>). When the My Bibliography feature is linked with an eRA Commons account, all publications listed in your My Bibliography are automatically fed into each RPPR that is initiated. The PI will then select which publications to associate with the award for which the RPPR is being completed. Some journals automatically add papers resulting from NIH funding into the PMC system. However, publications can also be added to the My Bibliography feature through PubMed or manual upload.

For additional information related to uploading Publications into My NCBI for inclusion in the RPPR follow this link: <https://publicaccess.nih.gov/communications.htm>

Agency Resources

You may access current information and guidelines related to RPPR submission at: <https://grants.nih.gov/grants/rppr/index.htm>

For general questions about using the eRA Commons, the preferred method of contact is the eRA Service Desk: <https://grants.nih.gov/support/index.html>

IMPORTANT NEW ACTION:

NIH Implementation of **Final** Research Performance Progress Reports

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-022.html>

https://era.nih.gov/erahelp/commons/Commons/status/closeout/Final_RPPR.htm