**RESEARCH PERFORMANCE PROGRESS REPORT**

**Standard Cover Page Data Elements and Reporting Categories**

The standard cover page data elements shown below, as well as mandatory and optional components comprise the complete research performance progress report format. Each category in the RPPR is a separate reporting component. Each component is marked to indicate if it is optional or mandatory. Mandatory components must be addressed in each report, optional are at your discretion. For Optional components, if you have nothing significant to report during the reporting period on a question or item, state “Nothing to Report,” if there are reportable items, please submit according to the instructions for each section.

**1. COVER PAGE DATA ELEMENTS: Mandatory**

a. Federal Agency and Organization Element to Which Report is Submitted

b. Federal Grant or Other Identifying Number Assigned by Agency

c. Project Title

d. PD/PI Name, Title and Contact Information (e-mail address and phone number)

e. Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI

f. Submission Date

g. DUNS Number

h. Recipient Organization (Name and Address)

i. Project/Grant Period (Start Date, End Date)

j. Reporting Period End Date

k. Report Term or Frequency (annual, semi-annual, quarterly, final, other)

l. Signature of Submitting Official (electronic signatures (i.e., Adobe Acrobat) are acceptable)

**2. ACCOMPLISHMENTS: Mandatory**

**What was done? What was learned?**

The information provided in this section allows the agency to assess whether satisfactory

progress has been made during the reporting period. The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer.

**a. What are the major goals and objectives of this project?**

List the major goals of the project as stated in the approved application or as approved by the agency. Describe the proposed technical approach to obtain those goals. 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.

**b. What was accomplished under these goals?**

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results or key outcomes, including major findings, developments, or conclusions (both positive and negative); and/or 4) 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.

**c. What opportunities for training and professional development has the project provided?**

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.

If the project was not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, state “Nothing to Report.”

**d. 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.

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**e. What do you plan to do during the next reporting period to accomplish the goals and objectives?**

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

If there are no changes to the agency-approved application or plan for this project or if this is the final report, state “Nothing to Report.”

**3. PRODUCTS: Optional**

**What has the project produced?**

Publications are the characteristic product of research. Agencies evaluate what the publications demonstrate about the excellence and significance of the research and the efficacy with which the results are being communicated to colleagues, potential users, and the public, not the number of publications. Many projects (though not all) develop significant products other than publications. Agencies assess and report both publications and other products to Congress, communities of interest, and the public.

List any products resulting from the project during the reporting period. Examples of products

include: publications, conference papers, and presentations; website(s) or other Internet site(s);

technologies or techniques; inventions, patent applications, and/or licenses; and other products, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments or equipment, research material, interventions (e.g., clinical or educational), new business creation or any other public release of information related to the project.

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**a. Publications, conference papers, and presentations**

Report only the major publication(s) resulting from the work under this award. There is no restriction on the number. However, Agencies are interested in only those publications that most reflect the work under this award in the following categories:

**i. Journal publications.** List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under “Books or other non-periodical, one-time publications.”

Identify for each publication: Author(s); title; journal; volume: year; page numbers; status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no). Also see instructions under **B. Scientific/Technical Reporting** regarding the submission of accepted manuscripts and other STI as appropriate.

**ii. Books or other non-periodical, one-time publications.** Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like.

Identify for each one-time publication: author(s); title; editor; title of collection, if

applicable; bibliographic information; year; type of publication (book, thesis or

dissertation, other); status of publication (published; accepted, awaiting publication;

submitted, under review; other); acknowledgement of federal support (yes/no).

**iii. Other publications, conference papers and presentations**. Identify any other publications, conference papers and/or presentations not reported above. Specify the status of the publication as noted above.

**b. 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 in this section.

**c. 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.

**d. Inventions, patent applications, and/or licenses**

Identify inventions, patent applications with date, and/or licenses that have resulted from the

research. Submission of this information as part of an interim or final Research Performance Progress Report is not a substitute for any other invention reporting required under the terms and conditions of an award.

**e. Other products**

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

product and how it is being shared. Examples of other products are: Data or databases; Physical collections; Audio or video products; Software or NetWare; Models; Educational aids or curricula; Instruments or equipment; Research material (e.g., germplasm, cell lines, DNA probes, animal models); Interventions (e.g clinical, educational); new business creation; and Other.

**4. PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS: Optional**

**Who has been involved?**

Agencies need to know who has worked on the project to gauge and report performance in

promoting partnerships and collaborations. The following information on participants and other collaborating organizations during this reporting period must be provided:

**a. What individuals have worked on the project?**

Provide the following information for: (1) Project director(s)/Principal investigator(s) (PDs/PIs);

and (2) each person who has worked, and was funded by the project, 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 of effort). Please note that such reporting does not constitute a formal institutional report of effort on the project, but rather is used by agency program staff to evaluate the progress of the project during a given reporting period.

**i. Provide the name and identify the role the person played in this project**.

Indicate the total number of months (including partial months) (Calendar, Academic, Summer) that the individual worked on this project. Using the project roles identified below, select the most senior role in which the person worked on the project for any significant length of time. For example, if an undergraduate student graduated, entered graduate school, and continued to work on the project, show that person as a graduate student, preferably explaining the change in involvement.

**ii. Project Roles**:

PD/PI

Co PD/PI

Faculty

Community College Faculty

Technical School Faculty

K-12 Teacher

Postdoctoral (scholar, fellow or other postdoctoral position)

Other Professional

Technician

Staff Scientist (doctoral level)

Statistician

Graduate Student (research assistant)

Non-Student Research Assistant

Undergraduate Student

Technical School Student

High School Student

Consultant

Research Experience for Undergraduates (REU) Participant

Other (specify)

**iii. Describe briefly how this person contributed to this project**.

If information is unchanged from a previous progress report, provide the name only and indicate “no change.”

**iv. Identify the person’s state, U.S. territory, and/or country of residence.**

**State whether this person has collaborated internationally**.

If the participant was U.S.-based, state whether this person collaborated internationally with an individual located in a foreign country, and specify whether the person traveled to the foreign country as part of that collaboration, and, if so, what the duration of stay was. The foreign country(ies) should be identified.

If the participant was not U.S.-based, state whether this person traveled to the U.S. or another country as part of a collaboration, and, if so, what the duration of stay was. The destination country should be identified.

*Example*:

**1. Name**: Mary Smith

**2. Total Number of Months**: 5.5

**3. Project Role**: Graduate Student

**4. Researcher Identifier**: 1234567

**5. Contribution to Project**: Ms. Smith has performed work in the area of combined error-control and constrained coding.

**6. State, U.S. territory, and/or country of residence**: Michigan, U.S.A.

**7. Collaborated with individual in foreign country**: Yes

**8. Country(ies) of foreign collaborator**: China

**9. Travelled to foreign country**: Yes

**10. If traveled to foreign country(ies), duration of stay**: 5 months

**b. Has there been a change in the active other support of the PD/PI(s) or senior/key personnel since the last reporting period?**

Describe active other support for the PD/PI(s) or senior/key personnel whose support has changed and what the change has been (e.g., a previously active grant that has closed, a previously pending grant that is now active). Active other support includes all financial resources, whether Federal, non-Federal, commercial or organizational, available in direct support of an individual’s research endeavors, including, but not limited to, research grants, cooperative agreements, contracts, or organizational awards, (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations). Annotate this information so it is clear what has changed from the previous submission. Other support does not include prizes or gifts.

Submission of active other support information is not necessary for pending changes or for changes in the level of effort for active support reported previously. DOE requires prior written approval if a change in active other support significantly impacts the effort on this award.

If there is nothing significant to report during this reporting period or no change from the previous reporting period, state “Nothing to Report.”

**c. What other organizations have been involved as partners?**

Describe partner organizations – academic institutions, other nonprofits, industrial or

commercial firms, state or local governments, schools or school systems, or other organizations

(foreign or domestic) – that have been involved with the project. Partner organizations may

provide financial or in-kind support, supply facilities or equipment, collaborate in the research,

exchange personnel, or otherwise contribute.

Provide the following information for each partnership:

1. Organization Name:

2. Location of Organization: (if foreign location list country)

3. Partner’s contribution to the project: (identify one or more)

i. Financial support;

ii. In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);

iii. Facilities (e.g., project staff use the partner’s facilities for project activities);

iv. Collaborative research (e.g., partner’s staff work with project staff on the project);

v. Personnel exchanges (e.g., project staff and/or partner’s staff use each other’s facilities, work at each other’s site).

vi. Other

4. More detail on partner and contribution (foreign or domestic).

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**d. Have other collaborators or contacts been involved?**

Some significant collaborators or contacts within the recipient’s organization may not be

covered by “What people have worked on the project?” Likewise, some significant collaborators or contacts outside the recipient’s organization may not be covered under “What other organizations have been involved as partners?”

For example, describe any significant:

1. collaborations with others within the recipient’s organization, especially interdepartmental or interdisciplinary collaborations;

2. collaborations or contact with others outside the organization; and

3. collaborations or contacts with others outside the United States or with an international organization.

Identify the state(s), U.S. territory(ies), or country(ies) of collaborations or contacts.

It is likely that many recipients will have no other collaborators or contacts to report.

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**5. IMPACT: Optional**

**What is the impact of the project? How has it contributed?**

Over the years, this base of knowledge, techniques, people, and infrastructure is drawn upon

again and again for application to commercial technology and the economy, to health and

safety, to cost-efficient environmental protection, to the solution of social problems, to numerous other aspects of the public welfare, and to other fields of endeavor.

The taxpaying public and its representatives deserve a periodic assessment to show them how

the investments they make benefit the nation. Through this reporting format, and especially this section, recipients provide that assessment and make the case for Federal funding of research and education.

Agencies use this information to assess how their research programs: increase the body of knowledge and techniques; enlarge the pool of people trained to develop that knowledge and techniques or put it to use; and improve the physical, institutional, and information resources that enable those people to get their training and perform their functions.

This component will be used to describe ways in which the work, findings, and specific products

of the project have had an impact during this reporting period. Describe distinctive contributions, major accomplishments, innovations, successes, or any change in practice or behavior that has come about as a result of the project relative to: the development of the principal discipline(s) of the project; other disciplines; the development of human resources; teaching and educational experiences; physical, institutional, and information resources that form infrastructure; technology transfer (include transfer of results to entities in government or industry, adoption of new practices, or instances where research has led to the initiation of a startup company); society beyond science and technology; or foreign countries.

**a. What was the impact on the development of the principal discipline(s) of the project?**

Describe how findings, results, and techniques that were developed or extended, or other products from the project made an impact or are likely to make an impact on the base of knowledge, theory, and research and/or pedagogical methods in the principal disciplinary field(s) of the project. Summarize using language that a lay audience can understand (*Scientific American* style). How the field or discipline is defined is not as important as covering the impact the work has had on knowledge and technique. Make the best distinction possible, for example, by using a “field” or “discipline”, if appropriate, that corresponds with a single academic department (i.e., physics rather than nuclear physics).

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**b. What was the impact on other disciplines?**

Describe how the findings, results, or techniques that were developed or improved, or other

products from the project made an impact or are likely to make an impact on other disciplines.

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**c. What was the impact on the development of human resources?**

Describe how the project made an impact or is likely to make an impact on human resource

development in science, engineering, and technology. For example, how has the project:

provided opportunities for research and teaching in the relevant fields; improved the performance, skills, or attitudes of members of underrepresented groups that will improve their access to or retention in research, teaching, or other related professions; developed and disseminated new educational materials;provided scholarships; or provided exposure to science and technology for practitioners, teachers, young people, or other members of the public?

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**d. What was the impact on teaching and educational experiences?**

Describe how the project made an impact or is likely to make an impact on teaching and educational experiences. For example, has the project: developed and disseminated new educational materials; led to ideas for new approaches to course design or pedagogical methods; or developed online resources that will be useful for teachers and students and other school staff?

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**e. What was the impact on physical, institutional, and 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 there is nothing significant to report during this reporting period, state “Nothing to Report.”

**f. What was the impact on technology transfer?**

Describe ways in which the project made an impact, or is likely to make an impact, on commercial technology or public use, including: transfer of results to entities in government or industry; instances where the research has led to the initiation of a start-up company; or

adoption of new practices.

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**g. What was the impact on society beyond science and technology?**

Describe how results from the project made an impact, or are likely to make an impact, beyond

the bounds of science, engineering, and the academic world on areas such as: improving public knowledge, attitudes, skills, and abilities; changing behavior, practices, decision making, policies (including regulatory policies), or social actions; or improving social, economic, civic, or environmental conditions.

If there is nothing significant to report during this reporting period, state “Nothing to Report.”

**h. What percentage of the award’s budget was spent in foreign country(ies)?**

Describe what percentage of the award’s budget was spent in foreign country(ies). If more than one foreign country is involved, identify the distribution between the foreign countries.

U.S.-based recipients should provide the percentage of the budget spent in the foreign country(ies) and/or, if applicable, the percentage of the budget obligated to foreign entities as first-tier subawards.

Recipients that are not U.S.-based should provide the percentage of the direct award received, excluding all first-tier subawards to U.S. entities. If applicable, provide separately the percentage of the budget obligated to non-U.S. entities as first-tier subawards.

**6. CHANGES/PROBLEMS: Optional**

The PD/PI is reminded that the grantee is required to obtain prior written approval from the

Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer. If not previously reported in writing, provide the following additional information, if applicable: Changes in approach and reasons for change; Actual or anticipated problems or delays and actions or plans to resolve them; Changes that have a significant impact on expenditures; Significant changes in use or care of animals, human subjects, and/or biohazards.

**a. Changes in approach and reasons for change**

Describe any changes in approach during the reporting period and reasons for these changes.

Remember that significant changes in objectives and scope require prior approval of the

Contracting Officer.

**b. Actual or anticipated problems or delays and actions or plans to resolve them**

Describe problems or delays encountered during the reporting period and actions or plans to

resolve them.

**c. Changes that have a significant impact on expenditures**

Describe changes during the reporting period that may have a significant impact on expenditures, for example, delays in hiring staff or favorable developments that enable meeting

objectives at less cost than anticipated.

**d. Significant changes in use or care of human subjects, vertebrate animals, biohazards, and/or select agents**

Describe significant deviations, unexpected outcomes, or changes in approved protocols for the

use or care of human subjects, vertebrate animals, biohazards and/or select agents during the reporting period. If required, were these changes approved by the applicable institution committee and reported to the agency? Also specify the applicable Institutional Review Board/Institutional Animal Care and Use Committee approval dates.

**e. Change of primary performance site location from that originally proposed**

Identify any change to the primary performance site location identified in the proposal, as

originally submitted.

**7. SPECIAL REPORTING REQUIREMENTS: Mandatory**

Respond to any special reporting requirements specified in the award terms and conditions, as well as any award specific reporting requirements.

**8. BUDGETARY INFORMATION: Mandatory**

This component will be used to collect budgetary data from the recipient organization. The

information will be used in conducting periodic administrative/budgetary reviews. Budgetary data identified and required by the Contracting Officer should be submitted in an Excel spreadsheet format.

**9. PROJECT OUTCOMES: Optional**

**What were the outcomes of the award?**

This information is used at the completion of the award to ascertain the cumulative outcomes or findings of a project. Describe project outcomes specifically for the public to provide insight into the outcomes of Federally-funded research, education, and other activities. Agencies may make this information available to the public in an electronic format.

**Project Outcomes**

The recipient is to provide information regarding the cumulative outcomes or findings of the project. For the final RPPR for the project, provide a concise summary of the outcomes or findings of the award (no more than 8,000 characters) that:

1. is written for the general public (non-technical audiences) in clear, concise, and comprehensible language;
2. is suitable for dissemination to the general public, as the information may be available electronically;
3. does not include proprietary, confidential information or trade secrets; and
4. includes up to six images (images are optional).

Please note that this reporting of project outcomes does not constitute a formal dissemination of scientific and technical information (STI) but rather is used by agency program staff to publicize project results, outcomes or findings.

To ensure the public access to the results of federally funded research notify DOE Office of Scientific and Technical Information about the published results so the information will be made publicly accessible and discoverable through DOE web-based products. Access to and archival of DOE-funded STI are managed by the (OSTI). For information about OSTI see <http://www.osti.gov>.

For more information on STI submittals, see <http://www.osti.gov/stip/submittal>.

**Appendix for RPPR**

**DEMOGRAPHIC INFORMATION FOR SIGNIFICANT CONTRIBUTORS**

Agencies may require that recipients provide demographic data about significant contributors for a variety of purposes, including the following:

* to gauge whether our programs and other opportunities are fairly reaching and benefiting everyone regardless of demographic category;
* to ensure that those in under-represented groups have the same knowledge of and access to programs, meetings, vacancies, and other research and educational opportunities as everyone else;
* to gauge and report performance in promoting partnerships and collaborations;
* to assess involvement of international investigators or students in work we support;
* to track the evolution of changing science, technology, engineering and mathematics (STEM) fields at different points in the pipeline (e.g., medicine and law demographics have recently changed dramatically);
* to raise investigator and agency staff awareness of the involvement of under-represented groups in research;
* to encourage the development of creative approaches for tapping into the full spectrum of talent of the STEM workforce;
* to respond to external requests for data of this nature from a variety of sources, including the National Academies, Congress, etc.; and
* to respond to legislatively-required analysis of workforce dynamics. Legislation requires at least one agency to routinely estimate scientific workforce needs. This analysis is accomplished through reviewing demographic data submitted for the existing workforce.

Demographic data (i.e., gender, ethnicity, race, and disability status) should be provided directly by significant contributors, with the understanding that submission of such data is voluntary. There are no adverse consequences if the data are not provided. Confidentiality of demographic data will be in accordance with agency’s policy and practices for complying with the requirements of the Privacy Act.

**Gender:** Male

Female

Do not wish to provide

**Ethnicity:** Hispanic or Latina/o

Not-Hispanic or not-Latina/o

Do not wish to provide

**Race** (select one or more): American Indian or Alaska Native

Asian

Black or African American

Native Hawaiian or other Pacific Islander

White

Do not wish to provide

**Disability Status:**

Yes (check yes if any of the following apply to you)

* Deaf or serious difficulty hearing
* Blind or serious difficulty seeing even when wearing glasses
* Serious difficulty walking or climbing stairs
* Other serious disability related to a physical, mental, or emotional condition.

No

Do not wish to provide

This measure is designed as a binary measure; it encompasses all self-reported disabilities. Please do not use it to report the number of individuals who have different types of disabilities (e.g., hearing impairments).

Note: This construct is not designed to be used at an individual-level (i.e., it should not be used for determining accommodation needs or disability status for particular individuals associated with the project).