FORMAT FOR USE IN SUBMISSION OF INTERIM AND FINAL RESEARCH PERFORMANCE PROGRESS REPORTS

Background

Effective with publication of this Notice in the Federal Register, agencies will be able to utilize a uniform format for reporting performance progress on Federally-funded research projects and research-related activities. The Research Performance Progress Report (RPPR) directly benefits award recipients by making it easier for them to administer Federal grant and cooperative agreement programs through standardization of the types of information required in performance reports—thereby reducing their administrative effort and costs. The RPPR also will make it easier to compare the outputs, outcomes, etc. of research and research-related programs across the government.

The RPPR resulted from an initiative of the Research Business Models (RBM), an Interagency Working Group of the Social, Behavioral & Economic Research Subcommittee of the Committee on Science (CoS), a committee of the National Science and Technology Council (NSTC). One of the RBM Subcommittee's priority areas is to create greater consistency in the administration of Federal research awards. Given the increasing complexity of interdisciplinary and interagency research, it is important for Federal agencies to manage awards in a similar fashion. The RPPR is to be used by agencies that support research and research-related activities for use in submission of progress reports. It is intended to replace other performance reporting formats currently in use by agencies. The RPPR does not change the performance reporting requirements specified in 2 CFR § 200.

The original version of the RPPR format was implemented by several agencies during FY2013. (Additional information on agency RPPR implementation plans is available at: http://www.nsf.gov/bfa/dias/policy/rppr/index.jsp.) The format was subsequently revised to incorporate lessons learned by agencies during the initial implementation. The approach also was changed from using the format for interim progress reports only, to using the format for both interim and final progress reports.

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. If an agency has an electronic reporting system that can identify the award and the recipient, it is not required to collect the standard institutional information included in the cover page data elements.

Each category in the RPPR is a separate reporting component. Agencies will require award recipients to report on "Accomplishments." As needed, agencies also may use optional components of the format to request additional information. Within a particular component, agencies should direct recipients to complete only those questions that are relevant to the award or agency. If recipients have nothing significant to report during the reporting period on a question or item, they will be asked to state "Nothing to Report."

Agencies will utilize the standard instructions that have been developed for each category, but may provide additional program-specific instructions, but only where necessary to clarify a requirement for a particular program.

Agencies may develop additional agency- or program-specific reporting components and instructions (e.g., the National Institutes of Health may need to collect information on clinical trials in certain types of awards); however, to maintain maximum uniformity, agencies will be instructed to minimize the degree to which they supplement the standard categories. Such agency- or program-specific requirements will require review and clearance by OMB.

In some cases, agencies may require demographic information about significant contributors to this project[1]. In such cases, information should be reported directly from significant contributors, rather than the recipient. The Appendix includes standard instructions that agencies will provide for collection of demographic information from significant contributors. When data is collected from significant contributors, such collection should be made through a system that assures the data is provided directly from only the specific individual and not through a third party. Further, agencies will assure protection of such data following all applicable Federal policies concerning Personal Identifiable Information.

Agencies also may use other OMB-approved reporting formats, if those formats are better suited to the agency's reporting requirements: for example, for research centers/institutes, clinical trials, or fellowship/training awards or in connection to reporting on program performance. Note: Agencies will be required to submit, through the Paperwork Reduction Act, revisions to their currently approved performance progress reporting information collections in order to comply with the uniform RPPR format.

COVER PAGE DATA ELEMENTS

- Federal Agency and Organization Element to Which the Report is Submitted
- Federal Grant or Other Identifying Number Assigned by Agency
- Project Title
- Project Director/Principal Investigator (PD/PI) Name, Title and Contact Information (e-mail address and phone number)
- Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
- Submission Date
- DUNS and EIN Numbers
- Recipient Organization (Name and Address)
- Recipient Identifying Number or Account Number, if any
- Project/Grant Period (Start Date, End Date)
- Reporting Period End Date
- Report Term or Frequency (annual, semi-annual, quarterly, other)
- Final Report? Select Yes or No
- Signature of Submitting Official (signature shall be submitted in accordance with agency-specific instructions)

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[1] A significant contributor is a PD/PI or an individual 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 of effort).

MANDATORY REPORTING CATEGORY

<u>ACCOMPLISHMENTS</u>: What was done? What was learned?

The information provided in this section allows the awarding agency to assess whether satisfactory progress has been made during this reporting period.

INSTRUCTIONS - Accomplishments

The PD/PI is reminded that the recipient organization is required to obtain prior written approval from the awarding agency grants official whenever there are significant changes in the project or its direction. See agency specific instructions for submission of these requests.

- What were the major goals and objectives of this project?
- What was accomplished under these goals?
- What opportunities for training and professional development has the project provided?
- How were the results disseminated to communities of interest?
- What do you plan to do during the next reporting period to accomplish the goals and objectives?

  State “Nothing to Report” if this is the final report.

What were 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, including the scientific or technological objectives of this effort. Describe the proposed technical approach to obtain those goals. If the application listed 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 and are unlikely to change during the final reporting period. 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.

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 to completion, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

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

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.”

Describe opportunities provided for training and professional development to anyone who worked on the project or anyone who was involved in the activities supported by the project for this reporting period. "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.

How were the results disseminated to communities of interest?

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

Describe how the results were disseminated to communities of interest for this reporting period. Include any outreach activities that were undertaken to reach members of communities who are not usually aware of these project activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.

What do 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."

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

OPTIONAL CATEGORIES

PRODUCTS: What has the project produced?

Agencies evaluate what the products demonstrate about the excellence and significance of the project 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.

INSTRUCTIONS - Products

List any products resulting from the project during this 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, models, educational aids or curricula, instruments or equipment, research material, interventions (e.g., clinical or educational), or new business creation.

  If there is nothing to report under a particular item, state “Nothing to Report.”

Publications, conference papers, and presentations

Report 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:

- **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 from this project (yes/no).

- **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 (e.g., book, thesis or dissertation); status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support from this project (yes/no).

- **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.

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.

Technologies or techniques

Identify technologies or techniques that resulted from the research activities. Describe the technologies or techniques that were shared.

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.

Other products

Identify any other significant products that were developed under this project. Describe the product and how it was shared. Examples of other products are:

- data or databases;
- physical collections;
- audio or video products;
- software;
- 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.

<u>PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS</u>: Who has been involved?

Agencies need to know who worked on the project to gauge and report performance in promoting partnerships and collaborations.

INSTRUCTIONS - Participants & Other Collaborating Organizations

Provide the following information on participants & other collaborating organizations during this reporting period:

- What individuals have worked on this project?
- Has there been a change in the active other support of the PD/PI(s) or senior/key personnel since the last reporting period?
- What other organizations have been involved as partners?
- Have other collaborators or contacts been involved?

What individuals have worked on this project?

Provide the following information for: (1) PDs/PIs; and (2) each person who worked, and was funded by the project, during this reporting period. 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.

- <u>Provide the name and identify the role the person played in this project</u>. 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.

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)

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.”

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:

Name:	Mary Smith
Total Number of Months:	5.5
Project Role:	Graduate Student
Researcher Identifier:	1234567
Contribution to Project:	Ms. Smith has performed work in the area of combined error-control and constrained coding.

State, U.S. territory, and/or country of residence:	Michigan, U.S.A.
Collaborated with individual in foreign country:	Yes
Country(ies) of foreign collaborator:	China
Travelled to foreign country:	Yes
If traveled to foreign country(ies), duration of stay:	5 months

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

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

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. The awarding agency may require prior written approval if a change in active other support significantly impacts the effort on this award.

What other organizations have been involved as partners?

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

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 were involved with the project. Partner organizations may have provided financial or in-kind support, supplied facilities or equipment, collaborated in the project, exchanged personnel, or otherwise contributed.

Provide the following information for each partnership:

<u>Organization Name:</u>

<u>Location of Organization: (if foreign location list country)</u>

<u>Partner's contribution to the project</u> (identify one or more)

- Financial support;
- In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
- Facilities (e.g., project staff use the partner's facilities for project activities);

- Collaboration (e.g., partner's staff work with project staff on the project);
- Personnel exchanges (e.g., project staff and/or partner's staff use each other's facilities, work at each other's site) and
- Other.

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

Have other collaborators or contacts been involved?

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

Some significant collaborators or contacts within your organization may not be covered by "What people worked on the project?" Likewise, some significant collaborators or contacts outside your organization may not be covered under "What other organizations were involved as partners?" For example, describe any significant:

- collaborations with others within your organization, especially interdepartmental or interdisciplinary collaborations;
- collaborations or contact with others outside your organization; and
- collaborations or contacts with others outside the U.S. or with an international organization.

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

It is likely that many PDs/PIs will have no other collaborators or contacts to report.

IMPACT: What was the impact of the project? How has it contributed?

Over the years, the base of knowledge, techniques, people, and infrastructure created from research and research-related programs 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 support that assessment.

Agencies use this information to assess how their research and research-related programs:

- increase the body of knowledge and techniques;
- enlarge the pool of people trained to develop 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.

INSTRUCTIONS - Impact

This component is 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 start-up company)
- society beyond science and technology; or
- foreign countries.

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

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

Describe how findings, results, 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 in the principal disciplinary field(s) of the project. Summarize using language that a lay audience can understand (e.g., *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).

What was the impact on other disciplines?

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

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.

What was the impact on the development of human resources?

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

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;
- provided scholarships; or
- provided exposure to science and technology for practitioners, teachers, young people, or other members of the public?

What was the impact on teaching and educational experiences?

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

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?

What was the impact on physical, institutional, and information resources that form infrastructure?

If there is nothing significant to report during this reporting period, state "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.

What was the impact on technology transfer?

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

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.

What was the impact on society beyond science and technology?

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

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.

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) for this reporting period. If more than one foreign country was involved, identify the distribution of funding 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.

CHANGES/PROBLEMS

The PD/PI is reminded that the recipient organization is required to obtain prior written approval from the awarding agency grants official whenever there are significant changes in the project or its direction. See agency specific instructions for submission of these requests. 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 had a significant impact on expenditures.
- Significant changes in use or care of human subjects, vertebrate animals, biohazards, and/or select agents.
- Change of primary performance site location from that originally proposed.

INSTRUCTIONS - Changes/Problems

If not previously reported in writing to the agency through other mechanisms, provide the following additional information or state, "Nothing to Report," if applicable:

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 agency.

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.

Changes that had a significant impact on expenditures

Describe changes during the reporting period that may have had a significant impact on expenditures, for example, delays in hiring staff or favorable developments that enable meeting objectives at less cost than anticipated.

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 (or equivalent) and reported to the agency? Also specify the applicable Institutional Review Board/Institutional Animal Care and Use Committee approval dates.

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.

SPECIAL REPORTING REQUIREMENTS

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

BUDGETARY INFORMATION

This component will be used to collect budgetary data from the recipient organization. The information will be used in conducting periodic administrative/budgetary reviews. One of the following budgetary formats, as identified by the agency, will be used to submit this information.

*Please note that these budgetary forms are identical to those included in the SF 424 R&R forms family, as implemented by Grants.gov. As these forms are updated in Grants.gov, these budget forms will change accordingly.

Research & Related Budget

RESEARCH & RELATED BUDGET - Budget Period 1

Delete Period

OMB Number: 4040-0001
Expiration Date: 6/30/2016

ORGANIZATIONAL DUNS: Enter name of Organization:

Budget Type: Project Subaward/Consortium Budget Period: 1 Start Date: End Date:

A. Senior/Key Person

Prefix	First	Middle	Last	Suffix	Base Salary ($)	Months Cal.	Months Acad.	Months Sum.	Requested Salary ($)	Fringe Benefits ($)	Funds Requested ($)

Project Role: PD/PI

Add Additional Key Person

Additional Senior Key Persons: Add Attachment Delete Attachment View Attachment

Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

B. Other Personnel

Number of Personnel	Project Role	Months Cal.	Months Acad.	Months Sum.	Requested Salary ($)	Fringe Benefits ($)	Funds Requested ($)
	Post Doctoral Associates						
	Graduate Students						
	Undergraduate Students						
	Secretarial/Clerical						

Add Additional Other Personnel

Total Number Other Personnel

Total Other Personnel

Total Salary, Wages and Fringe Benefits (A+B)

C. Equipment Description

List items and dollar amount for each item exceeding $5,000

Equipment item	Funds Requested ($)

Add Additional Equipment

Additional Equipment: Add Attachment Delete Attachment View Attachment

Total funds requested for all equipment listed in the attached file

Total Equipment

D. Travel

	Funds Requested ($)
1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)	
2. Foreign Travel Costs	
Total Travel Cost	

E. Participant/Trainee Support Costs

	Funds Requested ($)
1. Tuition/Fees/Health Insurance	
2. Stipends	
3. Travel	
4. Subsistence	
5. Other	

Number of Participants/Trainees

Total Participant/Trainee Support Costs

F. Other Direct Costs

		Funds Requested ($)
1.	Materials and Supplies	
2.	Publication Costs	
3.	Consultant Services	
4.	ADP/Computer Services	
5.	Subawards/Consortium/Contractual Costs	
6.	Equipment or Facility Rental/User Fees	
7.	Alterations and Renovations	
8.		
9.		
10.		
	Total Other Direct Costs	

G. Direct Costs

	Funds Requested ($)
Total Direct Costs (A thru F)	

H. Indirect Costs

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base ($)	Funds Requested ($)
X			

Add Additional Indirect Cost

Total Indirect Costs

Cognizant Federal Agency
(Agency Name, POC Name, and POC Phone Number)

I. Total Direct and Indirect Costs

	Funds Requested ($)
Total Direct and Indirect Institutional Costs (G + H)	

J. Fee

Funds Requested ($)

K. Budget Justification

(Only attach one file.) Add Attachment Delete Attachment View Attachment

Add Period

RESEARCH & RELATED BUDGET - Cumulative Budget

		Totals ($)
Section A, Senior/Key Person		
Section B, Other Personnel		
Total Number Other Personnel		
Total Salary, Wages and Fringe Benefits (A+B)		
Section C, Equipment		
Section D, Travel		
1. Domestic		
2. Foreign		
Section E, Participant/Trainee Support Costs		
1. Tuition/Fees/Health Insurance		
2. Stipends		
3. Travel		
4. Subsistence		
5. Other		
6. Number of Participants/Trainees		
Section F, Other Direct Costs		
1. Materials and Supplies		
2. Publication Costs		
3. Consultant Services		
4. ADP/Computer Services		
5. Subawards/Consortium/Contractual Costs		
6. Equipment or Facility Rental/User Fees		
7. Alterations and Renovations		
8. Other 1		
9. Other 2		
10. Other 3		
Section G, Direct Costs (A thru F)		
Section H, Indirect Costs		
Section I, Total Direct and Indirect Costs (G + H)		
Section J, Fee		

Research & Related Budget (Total Federal/Non-Federal Funds)

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION A, BUDGET PERIOD 1

OMB Number: 4040-0001
Expiration Date: 6/30/2016

*** ORGANIZATIONAL DUNS:**

*** Budget Type:** ☐ Project ☐ Subaward/Consortium

Enter name of Organization:

*** Start Date:** *** End Date:** *** Budget Period:** 1

A. Senior/Key Person

1. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role: PD/PI

Base Salary ($) | Cal. Months | Acad. Months | Sum. Months | * Req. Salary ($) | * Fringe Ben. ($) | * Total (Sal & FB) (Fed + Non-Fed)($) | * Federal ($) | * Non- Federal ($)

2. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($) | Cal. Months | Acad. Months | Sum. Months | * Req. Salary ($) | * Fringe Ben. ($) | * Total (Sal & FB) (Fed + Non-Fed)($) | * Federal ($) | * Non- Federal ($)

3. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($) | Cal. Months | Acad. Months | Sum. Months | * Req. Salary ($) | * Fringe Ben. ($) | * Total (Sal & FB) (Fed + Non-Fed)($) | * Federal ($) | * Non- Federal ($)

4. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($) | Cal. Months | Acad. Months | Sum. Months | * Req. Salary ($) | * Fringe Ben. ($) | * Total (Sal & FB) (Fed + Non-Fed)($) | * Federal ($) | * Non- Federal ($)

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION A, BUDGET PERIOD 1

*** ORGANIZATIONAL DUNS:**

*** Budget Type:** ☐ Project ☐ Subaward/Consortium

Enter name of Organization:

*** Start Date:** *** End Date:** **Budget Period** 1

A. Senior/Key Person (continued)

5. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary ($)	* Fringe Ben. ($)	* Total (Sal & FB) (Fed + Non-Fed)($)	* Federal ($)	* Non- Federal ($)

6. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary ($)	* Fringe Ben. ($)	* Total (Sal & FB) (Fed + Non-Fed)($)	* Federal ($)	* Non- Federal ($)

7. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary ($)	* Fringe Ben. ($)	* Total (Sal & FB) (Fed + Non-Fed)($)	* Federal ($)	* Non- Federal ($)

8. Prefix | * First Name | Middle Name | * Last Name | Suffix

* Project Role

Base Salary ($)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary ($)	* Fringe Ben. ($)	* Total (Sal & FB) (Fed + Non-Fed)($)	* Federal ($)	* Non- Federal ($)

9. Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

*** Additional Senior Key Persons:** Add Attachment | Delete Attachment | View Attachment

RESEARCH & RELATED Budget {A} (Total Fed + Non-Fed)

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION B, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS:

* Budget Type: Project Subaward/Consortium

Enter name of Organization:

* Start Date: * End Date: Budget Period 1

B. Other Personnel

* Number of Personnel	* Project Role	Cal. Months	Acad. Months	Sum. Months	* Req. Salary ($)	* Fringe Ben. ($)	* Total (Sal & FB) (Fed + Non-Fed) ($)	* Federal ($)	* Non- Federal ($)
	Post Doctoral Associates								
	Graduate Students								
	Undergraduate Students								
	Secretarial/Clerical								
	Total Number Other Personnel					Total Other Personnel			
						Total Salary, Wages and Fringe Benefits (A + B)			

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION C, D, & E, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS:

* Budget Type: ☐ Project ☐ Subaward/Consortium

Enter name of Organization:

* Start Date: * End Date: Budget Period 1

C. Equipment Description

List items and dollar amount for each item exceeding $5,000

	* Equipment item	* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.	Total funds requested for all equipment listed in the attached file			
	Total Equipment			

* Additional Equipment: Add Attachment Delete Attachment View Attachment

D. Travel

		* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
1.	Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)			
2.	Foreign Travel Costs			
	Total Travel Costs			

E. Participant/Trainee Support Costs

		* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
1.	Tuition/Fees/Health Insurance			
2.	Stipends			
3.	Travel			
4.	Subsistence			
5.	Other			
	Number of Participants/Trainees Total Participant/Trainee Support Costs			

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION F-G, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS:

* Budget Type: ☐ Project ☐ Subaward/Consortium

Enter name of Organization:

* Start Date: * End Date: Budget Period 1

F. Other Direct Costs

	* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
1. Materials and Supplies			
2. Publication Costs			
3. Consultant Services			
4. ADP/Computer Services			
5. Subawards/Consortium/Contractual Costs			
6. Equipment or Facility Rental/User Fees			
7. Alterations and Renovations			
8.			
9.			
10.			
Total Other Direct Costs			

G. Direct Costs

	* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
Total Direct Costs (A thru F)			

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION H-K, BUDGET PERIOD 1

*** ORGANIZATIONAL DUNS:**

*** Budget Type:** ☐ Project ☐ Subaward/Consortium

Enter name of Organization:

*** Start Date:** *** End Date:** **Budget Period** 1

H. Indirect Costs

	* Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base ($)	* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
1.						
2.						
3.						
4.						
			Total Indirect Costs			

Cognizant Agency (Agency Name, POC Name, and Phone Number)

I. Total Direct and Indirect Costs

	* Federal ($)	* Non-Federal ($)	* Total (Fed + Non-Fed) ($)
Total Direct and Indirect Costs (G + H)			

J. Fee

Federal ($)

K. * Budget Justification Add Attachment Delete Attachment View Attachment (Only attach one file.)

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - Cumulative Budget

	Total Federal ($)	Total Non-Federal ($)	Totals ($)
Section A, Senior/Key Person			
Section B, Other Personnel			
Total Number Other Personnel			
Total Salary, Wages and Fringe Benefits (A + B)			
Section C, Equipment			
Section D, Travel			
1. Domestic			
2. Foreign			
Section E, Participant/Trainee Support Costs			
1. Tuition/Fees/Health Insurance			
2. Stipends			
3. Travel			
4. Subsistence			
5. Other			
6. Number of Participants/Trainees			
Section F, Other Direct Costs			
1. Materials and Supplies			
2. Publication Costs			
3. Consultant Services			
4. ADP/Computer Services			
5. Subawards/Consortium/Contractual Costs			
6. Equipment or Facility Rental/User Fees			
7. Alterations and Renovations			
8. Other 1			
9. Other 2			
10. Other 3			
Section G, Direct Costs (A thru F)			
Section H, Indirect Costs			
Section I, Total Direct and Indirect Costs (G + H)			
Section J, Fee			

PROJECT OUTCOMES: What were the outcomes of the award?

Agencies use this information 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.

INSTRUCTIONS – Project Outcomes

This component is used 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:

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

Appendix

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).

Privacy Act Statement

Authorities: Federal Financial Assistance Management Improvement Act of 1999 (Pub. L. 106-107); 2 CFR Section 200.328

Purpose: Provision of contact information on principal investigator allows contact if needed. Contact information, roles, and state/U.S. territory/country of major collaborators allows Commerce to gauge performance in building partnerships. Demographic information for major participants allows Commerce to gauge whether our programs are reaching everyone regardless of demographic category and whether under-represented groups have equal access to programs, meetings and trainings.

Routine Uses: Disclosure of this information is permitted under the Privacy Act of 1974 (5 U.S.C.Section 552a) to be shared among Department staff for work-related purposes. Disclosure of this information is also subject to all of the published routine uses as identified in the Privacy Act System of Records Notices DEPT-2 and GSA/GOVT-9.

Disclosure: This information is required of grant recipients, with the exception of the demographic information. If the required information is not provided, Commerce's ability to determine the grant program's progress will be impeded.