

## **Department of Defense Research Performance Progress Reports**

The public reporting burden for this collection of information is estimated to average 6 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Information Management Division, whs.mc-alex.esd.mbx.dd-dod-information-collections@mail.mil (0704-0527). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

### **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.

DoD Component		Federal Award Identification Number (FAIN)	
Project Title			
Project Director/Principal Investigator Name		Title	
E-mail		Phone	
Submission Date		Recipient Unique Identifier No.	
Recipient Organization			
Address			
Recipient Identifying Number or Account Number (If applicable)			
Period of Performance Start Date	Period of Performance End Date	Reporting Period End Date	
Report Term/Frequency (annual, semi-annual, quarterly, other)		Is this the Final Report? Yes or No	
Submitting Official		Title	
E-mail		Phone	
Signature (electronic signature acceptable)		Date	

## **MANDATORY REPORTING CATEGORY**

### **ACCOMPLISHMENTS:** *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.

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.

### **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."

### **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.

**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.

### **PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS:** *Who has been involved?*

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

### **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.

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:

Organization Name:

Location of Organization: (if foreign location list country)

Partner's contribution to the project (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.

DoD uses 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.

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:

**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

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, including using the SF424 R&R budget forms.

**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.

**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

**Ethnicity:**

Hispanic or Latino

Not-Hispanic or not-Latino

**Race** (select one or more):

American Indian or Alaska Native

Asian

Black or African American

Native Hawaiian or other Pacific Islander

White

**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).