

SUPPORTING STATEMENT - PART A

Research Performance Progress Report (RPPR) – 0704-0527

1. Need for the Information Collection

Department of Defense (DoD) grantees are generally required to submit interim and final progress reports and other post-award documents associated with monitoring, oversight, and closeout of an award. However, the various DoD components awarding grants have different reporting requirements, such as frequency and uses of information technology. This submission represents a consolidation of various post-award reporting requirements into a unified data collection. While all interim reports required by DoD components for research activities will share a common Department-established RPPR-based template, initial electronic implementations of RPPR-compliant reporting requirements will be determined on a component-level basis until a DoD-wide electronic reporting system can be established.

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. To assure compliance with 2 CFR 200.301, 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. This report format is used for both the interim and final progress reports.

DoD components are authorized to issue discretionary awards under 10 U.S.C. 2358: Research and development projects. Awards are identified in the Catalogue of Federal Domestic Assistance. Components utilize a project period system to fund awards; i.e., projects that will continue for more than one year are programmatically funded in annual budget period increments. To receive funding in each subsequent budget period, grantees are required to submit an interim progress report which is reviewed by agency program and administrative officials within the framework of: the approved research project, the recommended level of support, progress reported, and the availability of funds.

Implementation of the RPPR, in accordance with the 21 April 2010 memo from OMB/OSTP titled "Policy on Research Performance Progress Report," establishing a uniform format for use in submission of required annual or other interim performance reporting on grant and cooperative agreement awards, will ultimately replace existing collections of this nature. The DoD Implementation Plan, updated in January 2011, is available on the RPPR website.

2. Use of the Information

The RPPR directly benefits award recipients by making it easier for them to administer Federal grant and cooperative agreement programs through standardization of the type of

information required in performance reports and thereby reducing their administrative effort and costs. The RPPR will also make it easier to compare the outputs, outcomes, etc. of research and research-related programs across the government. The final version of the RPPR form to be used by Federal agencies may be viewed at:

<http://www.nsf.gov/bfa/dias/policy/rppr/index.jsp>. Instructions for submission of the report are included in the terms and conditions of the award documents. Criteria for disability are found at <https://www.nsf.gov/bfa/dias/policy/rppr/>.

Information collected from the award recipients as part of the interim progress reports is used by DoD staff to: (a) monitor Federal awards and ensure compliance with applicable terms and conditions of award regulations, policies, and procedures; (b) evaluate progress in accordance with goals, aims, and objectives set forth in competing applications; (c) evaluate grantee plans for the next budget period and any significant changes; (d) manage scientific programs; (e) plan future scientific initiatives; (f) determine funding for the next budget segment; and (g) report to Congress, the public, and other Federal agencies.

Information collected through the final project report is used by DoD staff to: (a) evaluate the work accomplished to determine if the grantee satisfactorily met the objectives of the program; (b) identify any publications, inventions, property disposition, and other required elements to close out the grant in a timely manner; and (c) complete reports to Congress, the public, and other Federal agencies.

The format of the RPPR provides a standardized data set for reporting to be adopted by all DoD components supporting research or research-related activities. Each DoD component determines the grants administration and components may use different methods for collecting the report. These range from an email to the program office to a central address for submitting the forms. The terms of each award will describe how to submit the report. Each DoD component additionally determines the instructions for submissions and how the collection is processed once it is returned by the respondent.

3. Use of Information Technology

With full implementation of the electronic RPPR, all paper progress reports to DoD will be eliminated. Additionally, the electronic RPPR reduces burden on the respondent when submitting the final project report, as goals of the project, personnel, and other data elements are pre-populated based on the initial progress report (with the option to modify these data elements).

4. Non-duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source.

5. Burden on Small Businesses

The procedures for small businesses and other small entities are the same as for other grantees. Interim progress reporting of Small Business Innovation Research/Small Business Technology Transfer (SBIR/STTR) awards will transition to the RPPR with minor adjustments as appropriate. A SBIR/STTR Phase II Final Progress Report format is

provided to facilitate DoD reporting to Congress and the Small Business Administration (SBA) on the commercialization activities of DoD SBIR/STR awards. As such, this information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

6. Less Frequent Collection

Information in the RPPR is collected at crucial points in the post-award process. Interim progress reporting is required in frequencies specified by each DoD component to fund subsequent budget periods and to document payback activities in accordance with legislatively mandated timelines. Close-out documents are required by agencies within 90 days of the end of a project. Thus, it is not possible to collect this information less frequently.

7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

A 60-Day Federal Register Notice (FRN) for the collection published on Wednesday, February 23, 2022. The 60-Day FRN citation is 87 FR 10178.

No comments were received during the 60-Day Comment Period.

A 30-Day Federal Register Notice for the collection published on Monday, April 25, 2022. The 30-Day FRN citation is 87 FR 24286.

Part B: CONSULTATION

No additional consultation apart from soliciting public comments through the Federal Register was conducted for this submission.

9. Gifts or Payment

No payments or gifts are being offered to respondents as an incentive to participate in the collection.

10. Confidentiality

A Privacy Act Statement is not required for this collection because we are not requesting individuals to furnish personal information for a system of records.

A System of Record Notice (SORN) is not required for this collection because records are not retrievable by PII.

A Privacy Impact Assessment (PIA) is not required for this collection because PII is not being collected electronically.

Records will be kept in accordance with 2 CFR 200, Uniform Administration Requirements, Cost Principles, and Audit Requirements for Federal Awards, as implemented by the Department of Defense. The retention schedule will vary in accordance with the regulation depending on the type of activity, construction or non-construction, and final disposition, such as litigation concerns.

11. Sensitive Questions

No questions considered sensitive are being asked in this collection.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

1) Collection Instrument(s)

Research Performance Progress Report (RPPR)

- a) Number of Respondents: 2,000
- b) Number of Responses Per Respondent: 2
- c) Number of Total Annual Responses: 4,000
- d) Response Time: 6 hours
- e) Respondent Burden Hours: 24,000 hours

2) Total Submission Burden

- a) Total Number of Respondents: 2,000
- b) Total Number of Annual Responses: 4,000
- c) Total Respondent Burden Hours: 24,000 hours

Part B: LABOR COST OF RESPONDENT BURDEN

1) Collection Instrument(s)

Research Performance Progress Report (RPPR)

- a) Number of Total Annual Responses: 4,000
- b) Response Time: 6 hours
- c) Respondent Hourly Wage: \$42.00
- d) Labor Burden per Response: \$252.00
- e) Total Labor Burden: \$1,008,000.00

2) Overall Labor Burden

- a) Total Number of Annual Responses: 4,000
- b) Total Labor Burden: \$1,008,000.00

The respondent hourly wage was determined by using the Bureau of Labor Statistics website: https://www.bls.gov/oes/current/oes_nat.htm.

13. Respondent Costs Other Than Burden Hour Costs

There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

14. Cost to the Federal Government

Part A: LABOR COST TO THE FEDERAL GOVERNMENT

1) Collection Instrument(s)

Research Performance Progress Report (RPPR)

- a) Number of Total Annual Responses: 4,000
- b) Processing Time per Response: 5.5 hours
- c) Hourly Wage of Worker(s) Processing Responses: \$31.91
- d) Cost to Process Each Response: \$175.51
- e) Total Cost to Process Responses: \$702,020.00

2) Overall Labor Burden to the Federal Government

- a) Total Number of Annual Responses: 4,000
- b) Total Labor Burden: \$702,020.00

Part B: OPERATIONAL AND MAINTENANCE COSTS

1) Cost Categories

- a) Equipment: \$0
- b) Printing: \$0
- c) Postage: \$0
- d) Software Purchases: \$0
- e) Licensing Costs: \$0
- f) Other: \$0

2) Total Operational and Maintenance Cost: \$0

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

1) Total Labor Cost to the Federal Government: \$702,020.00

2) Total Operational and Maintenance Costs: \$0

3) Total Cost to the Federal Government: \$702,020.00

15. Reasons for Change in Burden

This is an extension without change of a currently approved collection.

16. Publication of Results

The results of this information collection will not be published.

17. Non-Display of OMB Expiration Date

We are seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument to obviate the need to revise or modify electronic systems solely for date changes; however, the expiration date is noted in all instructions.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.