

DRAFT FORMAT

RESEARCH PERFORMANCE PROGRESS REPORT

Background

Many Federal agencies have their own forms or formats that recipients must use to report progress on activities supported by research grants. While agencies use different formats and different language to request information on progress, they usually collect similar information. These variations increase the administrative effort and costs for recipients of Federal awards and make it difficult to compare research programs across the government. Development of standard reporting categories will facilitate the development of a common electronic solution for collecting the information in lieu of collecting it through the numerous agency-unique reporting forms or systems currently used by Federal agencies.

This proposal is an initiative of the Research Business Models (RBM) Subcommittee of the Committee on Science (CoS), a Committee of the National Science and Technology Council (NSTC), and is part of the implementation of the Federal Financial Assistance Management Improvement Act of 1999 (Public Law 106-107). Consistent with the purposes of that Act, the objective of this initiative is to establish a uniform format for reporting performance on Federally-funded research projects. This proposed policy establishes a reporting format for progress reports only. The RBM Subcommittee will consider a format or formats for final reports after the progress report policy is issued. Agencies may use other OMB approved reporting formats for research centers/institutes, clinical trials, or fellowship/training awards.

To initiate this exercise, the RBM Subcommittee reviewed the formats currently used by Federal agencies for reporting performance on research grants and decided to use the National Science Foundation's (NSF) reporting categories as a starting point for designing a standard format, because these categories have been used successfully by hundreds of NSF research programs. The proposed format does not change the performance reporting requirements in OMB Circulars A-102 and A-110; it merely provides additional clarification and instructions and a standard format for collecting the information.

Proposed Standard Cover Page Data Elements and Reporting Categories

The OSTP and OMB propose to issue a policy to establish standard, government-wide categories for performance progress reporting on Federal grants and cooperative agreements awarded under research programs. The standard cover page data elements shown below, as well as mandatory and optional categories for performance progress reporting on grants and cooperative agreements awarded under research programs 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 of the categories specified below is a separate reporting component. Federal agencies will direct recipients to report on the mandatory categories and may direct them also to report on the optional categories, as appropriate. Recipients will not be required or expected to report on each of the questions or items listed under a particular category. They will be advised to state “None” or “Nothing to report” if they have nothing significant to report.

Agencies will utilize the standard instructions that have been developed for each category, but may provide additional program-specific instructions necessary to clarify a requirement for a particular program. For example, the Environmental Protection Agency (EPA) is required to collect information on environmental impacts; so EPA can direct recipients to report on the research’s benefit to the environment or human health under the following reporting question: “How has the project contributed to society beyond science and technology?”

Agencies also may develop additional agency- or program-specific reporting categories 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.

COVER PAGE DATA ELEMENTS

- Federal Agency and Organization Element to Which Report is Submitted
- Federal Grant or Other Identifying Number Assigned by Agency
- Project Title
- Name of Submitter (PD/PI)
- 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)

MANDATORY REPORTING CATEGORIES

ACCOMPLISHMENTS: What was done? What was learned?

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

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

INSTRUCTIONS – Accomplishments

What are the major goals and objectives of the activity?

List the major goals and objectives of the activity as stated in the approved application or as approved by the agency. 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 and objectives will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals and objectives during the reporting period, list the revised goals and objectives.

What was accomplished under these goals?

For this reporting period describe: 1) major activities; 2) significant results, including major findings, developments, or conclusions; and 3) key outcomes or other achievements. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

What opportunities for training and development has the project provided?

(If the research is not intended to provide training opportunities or there is nothing significant to report during this reporting period, state “None.”)

Describe opportunities for training and development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project (e.g., undergraduate or graduate students, post-doctoral fellows, college faculty, K-12 teachers). Include participation in conferences, workshops, and seminars not listed under major activities.

How have the results been disseminated to communities of interest?

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

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.

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 effort, state “No change.”)

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives and explain significant changes in approach or methods from the agency-approved application or plan.

CHANGES/PROBLEMS/SPECIAL REPORTING REQUIREMENTS¹

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 the rate of expenditure.
- Significant changes in use or care of animals, human subjects, and/or biohazards.
- Special reporting requirements specified in award terms and conditions.

INSTRUCTIONS – Changes/Problems/Special Reporting Requirements

Provide the following information or state “None.”

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 have a significant impact on the rate of expenditure

Describe changes during the reporting period that may have a significant impact on the rate of expenditure, 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 animals, human subjects, and/or biohazards

Describe significant deviations, unexpected outcomes, or changes in approved protocols for the use or care of animals, human subjects, and/or biohazards during the reporting period. If required, were these changes approved by the institution and reported to the agency?

Special reporting requirements specified in award terms and conditions

¹The decision regarding whether the Changes/Problems/Special Reporting Requirements category should be mandatory or optional has not yet been finalized, and the RPPR Working Group is particularly interested in receiving feedback from the community on this aspect of the proposed format.

OPTIONAL CATEGORIES

PRODUCTS/OUTCOMES: What has the project produced?

List any products/outcomes resulting from the project during the reporting period:

- Publications, conference papers, and presentations
- Web site(s) or other Internet site(s)
- Networks and collaborations
- Technologies or techniques
- Inventions, patent applications, and/or licenses
- Other products/outcomes, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments, or equipment

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/outcomes other than publications. Agencies assess and report both publications and other products/outcomes to Congress, communities of interest, and the public.

INSTRUCTIONS – Products/Outcomes

Report any products/outcomes that have been developed during the reporting period. If there is nothing to report under a particular item, state “None.”

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:

- **Journal publications.** List articles or papers appearing in scientific, technical, or professional journals. Include any 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).

- **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).

- **Conference papers and presentations.** Identify any conference papers and/or presentations not reported above.

Web site(s) or other Internet site(s)

List the URL for any Internet site(s) that disseminates the results of the research activities.

Networks and collaborations

Identify any networks and/or collaborations fostered by the research activities.

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.

Inventions, patent applications, and/or licenses

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

Other products/outcomes

Identify any other significant products/outcomes that were developed under this project. Describe the product/outcome and how it is being shared. Examples of other products/outcomes are:

- Data or databases
- Physical collections
- Audio or video products
- Software or NetWare
- Models
- Educational aids or curricula
- Instruments or equipment
- Other

PARTICIPANTS: Who has been involved?

If a person has contributed significantly to the project during the reporting period, provide name, role in project, and major activities performed. In addition, provide information about partners and collaborators. Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations. Please provide demographic data (i.e., gender, ethnicity, race, and disability) for persons who have contributed significantly to the project. 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 the agency's policy and practices for complying with the requirements of the Privacy Act. Agencies use demographic data for statistical purposes, primarily to help:

- Gauge whether our programs and other opportunities are fairly reaching and benefiting everyone regardless of demographic category;
- 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;
- Gauge and report performance in promoting partnerships and collaborations;
- Assess involvement of international investigators or students in work we support;
- 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);
- Raise investigator and agency staff awareness of the involvement of under-represented groups in research;
- Encourage the development of creative approaches for tapping into the full spectrum of talent of the STEM workforce;
- Respond to external requests for data of this nature from a variety of sources, including NAS, Congress, etc.; and
- 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.

Provide the following information on participants:

- What individuals have worked on the project?
- What other organizations have been involved as partners?
- Have other collaborators or contacts been involved?

INSTRUCTIONS - Participants

What individuals have worked on the project?

Provide the following information for: (1) principal investigator(s)/project director(s) (PIs/PDs); and (2) each person who has worked at least one person month per year on the project during the reporting period and received salary, wages, a stipend, or other support from the agency (a person month equals approximately 160 hours of effort):

- Provide the name and identify the role the person played in the project. Indicate the nearest whole person month that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student, preferably explaining the change in involvement.
- Describe how this person participated in the project and with what funding support (the funding information is not required, but welcomed).

Example:

Name:	Mary Smith
Project Role:	Graduate Student
Nearest person month worked:	5
Contribution to Project:	Ms. Smith has performed work in the area of combined error-control and constrained coding.
Funding Support:	This award

- Demographic Information and last 4 digits of the social security number (not required, but encouraged). For those agencies that do not have electronic systems, provide the demographic information as an attachment rather than including it in the body of the report.

Use the following definitions to provide demographic information:

Gender: Male
Female

Ethnicity: Hispanic or Latino
Not-Hispanic or not-Latino

Race (select one or more): American Indian or Alaskan Native
Asian
Black or African American
Native Hawaiian or other Pacific Islander
White

Disability Status: Hearing Impairment
(select one or more): Visual Impairment
Mobility/Orthopedic Impairment
Other
None

Example:

<u>Name</u>	<u>Gender</u>	<u>Ethnicity</u>	<u>Race</u>	<u>Disability</u>	<u>SS#(last 4 digits)</u>
Mary Smith	Female	Not-Hispanic	Black	None	1234

What other organizations have been involved as partners?

(If there is nothing significant to report during this reporting period, state “None.”)

Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations – 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:

Organization Name

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)
- Collaborative research (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)

More detail on partner and contribution (optional, but valued).

Have other collaborators or contacts been involved?

(If there is nothing significant to report during this reporting period, state “None.”)

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:

- collaborations with others within the recipient’s organization – especially interdepartmental or interdisciplinary collaborations;
- non-formal collaborations or contact with others outside the organization; and
- non-formal collaborations or contacts with others outside the United States.

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

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

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;
- 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); and
- society beyond science and technology.

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.

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.

INSTRUCTIONS - Impact

What is 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 “None.”)

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 and/or pedagogical methods in the principal disciplinary field(s) of the project. Summarize using language that an intelligent 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” that corresponds with a single academic department (i.e., physics rather than nuclear physics).

What is the impact on other disciplines?

(If there is nothing significant to report during this reporting period, state “None.”)

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 is the impact on the development of human resources?

(If there is nothing significant to report during this reporting period, state “None.”)

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

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

(If there is nothing significant to report during this reporting period, state “None.”)

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 is the impact on technology transfer?

(If there is nothing significant to report during this reporting period, state “None.”)

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 is the impact on society beyond science and technology?

(If there is nothing significant to report during this reporting period, state “None.”)

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.