RUTGERS

Research & Sponsored Programs Procedure

SUBMISSION OF TECHNICAL NARRATIVE PROGRESS REPORTS

1. Overview

Most sponsors require annual, interim and/or final technical **progress reports** to be submitted to report accomplished objectives and deliverables, as well as outline the research efforts to be performed in the subsequent years (if required). The Research and Sponsored Programs Grant Specialist is responsible for reviewing and submitting progress reports to the sponsor on behalf of the Principal Investigator (PI) only when the submission must be performed by an Authorized Official for the University. PIs are encouraged to begin routing their reports at **least ten (10) business days prior to the expected due date of report submission**. The responsibilities of the various University offices involved in the preparation and submission of Progress Reports can be found in the "Office for Research Roles and Responsibilities Matrix." Progress reports, although not submitted via RAPSS, must still follow the Research and Sponsored Programs 5/2 day submission policy.

2. Purpose

Outline expectations and procedures for submitting an interim and/or final technical progress reports to the Sponsor.

3. Who Must Comply

Principal Investigators (PI)
Project Personnel/Staff
Department Personnel
School/Institute/Center leadership
Research Financial Services
Research and Sponsored Programs (RSP)
Office for Research

4. Definitions

AOR: Authorized Organization Representative (RSP Staff)
DHHS: Department of Health and Human Services (sponsoring agency)
NOA: Notice of Award
RPPR: Research Performance Progress Report
Sponsor: Awarding agency (Direct Funder)
SNAP: Streamlined Non-Competing Award Process.

5. Procedure

A. DHHS Research Performance Progress Reports (RPPRs)

A Research Performance Progress Report (RPPR) is an annually required report to document grantee accomplishments and compliance with the terms of a DHHS award. An RPPR is mandatory for all SNAP, non-SNAP and Fellowship DHHS awards.

All DHHS RPPRs must be submitted by the AOR on behalf of the PI and the Institution.

National Institutes of Health (NIH) RPPRs are initiated and completed in **eRA Commons** by the PI (contact PI, if multiple PI's). Please note that a detailed budget is not required (unless specified), information is prefilled from eRA Commons, where possible, and all NIH compliance and policy questions must be answered. Upon successful completion of the RPPR, the PI must route the report to the RSP Grant Specialist for review. If amenable, the Grant Specialist will submit the RPPR on behalf of the PI and the institution. For more information regarding the RPPR, see http://grants.nih.gov/grants/rppr/.

A.1   Types of NIH RPPRs:

Annual RPPR – This report provides a description of an award's scientific progress, identifies significant changes, reports on personnel effort, and describes plans for the subsequent budget period or year.

Interim RPPR – This report is required when submitting a renewal (Type 2) application. If the Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. If the Type 2 is funded, the Interim RPPR will serve as the annual RPPR for the final year of the previous competitive segment. The data elements collected on the Interim RPPR are the same as for the Final RPPR, including project outcomes.

Final RPPR – This report is part of the award closeout process and provides information on the project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.

Annual and Final RPPRs must be routed via era Commons and submitted to NIH by the RSP Grants Specialist.

A.1.1 Annual NIH RPPR Due Dates:

- *Streamlined Non-Competing Award Process (SNAP)* RPPRs are due approximately 45 days before the next budget period start date.
- *Non-SNAP* RPPRs are due approximately 60 days before the next budget period start date.
- *Multi-year funded (MYF)* RPPRs are due annually on or before the anniversary of the budget/project period start date of the award.

The exact start date for a specific award may be found on the award's Notice of Award (NOA), as well as under the specific award's "Status" in the eRA Commons. Designation of SNAP/Non-SNAP/MYF is also found in the Notice of Award.

A.1.2 Interim and Final NIH RPPR Due Dates:

- 120 days from period of performance end date for the competitive segment

B.   NSF Progress Reports

The National Science Foundation (NSF) requires that all progress reports be submitted via Research.gov by the Principal PI or Co-Principal PI. Research.gov is the modernization of FastLane. Information on NSF Progress Reports can be found here.

B.1   Annual, Interim and Final Reports

- ***Annual*** project reports are required for all standard and continuing grants and cooperative agreements. The PI must submit this report no later than 90 days prior to the end of the current budget period.

- ***Interim*** project reports are not required and are used to update the progress of a project any time during or before the award period expires

- ***Final*** reports are required for all standard and continuing grants, cooperative agreements, and fellowships. The PI is encouraged to submit this report 90 days after the expiration date of the award. If the report is not submitted within 120 days of the expiration date, it will appear as overdue in Research.gov and notification will be sent out by the Sponsor.

All submitted annual and final reports must be approved by an NSF Program Officer to meet the submission requirements.

B.2   Project Outcome Reports

Project Outcomes Report is a report written for new and existing awards, specifically for the public, that provides insight into the outcomes of NSF-funded research. Project Outcome Reports can be viewed through Research Spending & Results search service. This report consists of two (2) to three (3) paragraphs and is written for the general public. Project Outcome Reports are not reviewed or approved by NSF

For further information regarding Progress Reports, please refer to Research.gov Project Report Starting Guide and Research.gov Project Reports FAQs.

C. Other non-Federal Sponsors:

Some non-Federal sponsors have their own portals via which either the PI and/or RSP must submit Annual, Interim or Final reports. Please review sponsor guidelines to determine the submission requirements and notify RSP Grant Specialist if authorized representative is required to initiate or submit (ex. NJ SAGE).

Many non-federal sponsors require Annual, Interim or Final progress reports, but do not have dedicated systems for submission. Therefore, these reports are forwarded to the sponsor by the PI via e-mail. **Please make sure to copy your RSP Grant Specialist on the submission of these reports and upload a copy to the RAPSS system, so they are part of the University Official Record.**

Please Note: RSP Grant Specialist should be notified, if Sponsor requires additional feedback or explanation for items contained in any Progress Report (Federal or Non-Federal).

6. Roles and Responsibilities

Department Personnel	• Supports the PI in the review of a sponsored program technical progress report. Confirms estimated balances (if required) and effort reporting and provides approval.
Principal Investigators	• Reviews award notice for specific terms and conditions regarding interim and final progress reporting.
	• Develops interim or final progress report in sponsor required format.
	• Routes the required interim or final technical narrative report to RSP Specialist (if required by the Sponsor)
	• Completes Attestation that information is true and complete.

Research and Sponsored Programs (only if submission is required by the Sponsor)	• Reviews interim or final progress report for completeness and compliance with sponsor guidelines. • Submits interim or final progress report to the Sponsor. • Documents submission in the University RAPSS System as an Award Modification Draft (Update Funding Proposal). Holds Draft Modification until Award notification is received. Once NOA received, processes to Award setup.
Award Set-Up Team	• Reviews Award Modification for completeness and accuracy. • Processes to Post Award for Research Financial Services Oracle Account update.

7. Resources
   a. Research & Sponsored Programs Website: https://research.rutgers.edu/rsp
   b. NIH RPPR Guide: https://grants.nih.gov/grants/rppr/index.htm
   c. NSF RPPR Guide: https://www.nsf.gov/bfa/dias/policy/rppr/index.jsp