



MEMORANDUM FOR: NOAA Office of Oceanic and Atmospheric Research Cooperative Institutes

FROM: Gary Matlock, Acting Director
Cooperative Institute Program Office

SUBJECT: Research Performance Progress Reports

DATE: March 18, 2019

Hi Everyone,

Over the past several months I have been experiencing a substantial education about the activities of the Cooperative Institute Program Office (CIPO). Thanks to the efforts of Amy Fritz and Olga Dixon, one of the items about which I have learned is the NOAA requirement to provide an annual comprehensive report to CIPO to capture the activities and results of each project within each Cooperative Institute (CI). This requirement appears to duplicate other recently enacted requirements for reporting imposed upon us by other governmental agencies. So, I am attempting to eliminate the duplication and reduce unnecessary work for us all. The guidance that follows is designed to meet all EXISTING reporting requirements by eliminating the requirement for you to submit an annual project-by-project PDF report to CIPO. The elimination of the requirement to submit the PDF report to us does not prohibit you from developing whatever product you would like, in addition to complying with the guidance that follows, only that you are not required to submit a PDF report to NOAA. The required Research Performance Progress Report (RPPR) will replace the report you've been providing.

CI Program Office recognizes that transition to RPPR might require re-formatting a substantial amount of information for CIs, and some CIs have already started preparing their annual reports. If you have any difficulties or delays with preparing RPPR in accordance with this Guidance document, please contact CIPO Program Officer Olga Dixon at olga.dixon@noaa.gov. CIPO will continue assessing issues related to this transition and might amend this Guidance at a later date. Additionally, for reports submitted in FY2019, CIPO Program Officers will consider requests for an alternative reporting format or extensions to the reporting period (not to exceed 60 days) on a case-by-case basis.

We recognize that the guidance may generate additional questions and some concerns, and we are committed to working with you to address and resolve each of them. We also recognize that a successful transition requires our mutual understanding and reasonable response to impacts of the changes (some of which might not even be yet known). Therefore, we would enjoy the opportunity to discuss any aspect of the guidance below at the upcoming CI Directors' meeting in April, if you like. Thanks, and we look forward to reducing the workload on us all.

This memorandum provides guidance for research performance progress report submissions by Cooperative Institutes **managed by the NOAA Office of Oceanic and Atmospheric Research (OAR)**.

As a requirement of receipt of a Cooperative Institute Agreement, each institution must submit an annual performance progress report. The report must be submitted electronically through Grants Online and must detail progress on all NOAA-funded activities during the preceding award year. The



performance progress report is reviewed and accepted (or returned for revisions) by the CI Program Office (CIPO). The report is a part of the official grant file.

Summary of changes from the 2018 PPR Guidance:

- In response to this government-wide data standardization initiative, Department of Commerce implemented Research Performance Progress Report (RPPR) requirement for research awards, including CI awards. All CI performance reports submitted after October 2018 will have to follow the RPPR template;
- RPPR will have to be submitted for the CI as a whole. CIs are no longer required to include detailed project-by-project reports as a part of their RPPR;
- CI project PIs will continue reporting on their project activities to their NOAA sponsoring offices, and their NOAA sponsors will continue adding their reports to the NOAA Research and Development Database (NRDD). This is not a new requirement, but beginning with 2019 reports, CIs must ensure that all individual project reports have been sent to NOAA sponsors within the reporting period. CIPO will be monitoring the availability of project reports in NRDD.
- Scholarly publications developed under CI awards must be submitted to NOAA Institutional Repository (IR). This is not a new requirement, but beginning with 2019 reports, IR submission will substitute the requirement to include the list of publications into the CI annual report.

Reporting Period and Due Dates for CI Institutional Awards

The initial performance progress report covers the first nine-month period after the award start date. The deadline to submit the report is 30 days after the reporting period ends. This report is a stand-alone report and should not include other projects/awards funded under a separate award. Subsequent performance progress reports cover twelve-month period(s) and are due within 30 days after the end of each reporting period. Submission dates are enforced by the Grants Online system.

Example: If the main institutional award begins on October 1, 2017, then the first performance progress report will cover the period from October 1, 2017 – June 30, 2018. It will be due between July 1 and July 30, 2018 and will become overdue after that. This is a stand-alone report and should only cover projects under the initial performance period. All subsequent performance progress reports will cover the annual periods (i.e. July 1, 2018 – June 30, 2019) and are due within thirty (30) days after the end of each reporting period.

No Cost Extensions (NCE) allow CIs an additional year to complete work under the main institutional award. NOAA will not fund any new projects during the NCE year, but CIs may continue expending remaining funds on approved amendments to the institutional award. The annual performance progress reports will include information on all projects performed during the one-year extension period.

The final performance report must be submitted within 90 days after the award end date.

Transition to Research Performance Progress Report (RPPR) format

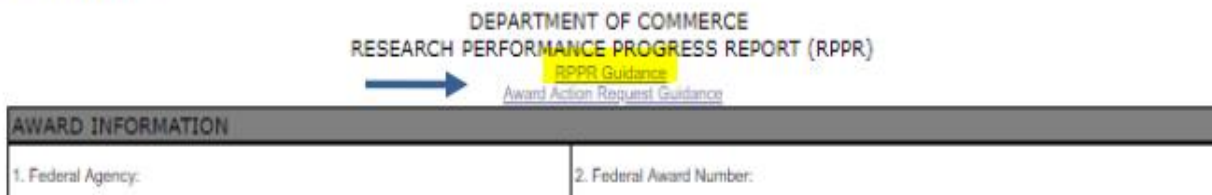
Given the increasing complexity of interdisciplinary and interagency research, it is important for Federal agencies to manage awards in a similar fashion. Beginning in FY2013, Federal agencies started implementing the new reporting format for research award - Research Performance Progress Report (RPPR). The RPPR does not change the performance reporting requirements specified in 2 CFR § 200.

In response to this government-wide data standardization initiative, Department of Commerce implemented RPPR requirement for research awards. All research recipients, including CIs, must complete the RPPR directly in Grants Online. In October 2018, Grants Online reporting fields have been modified to reflect the RPPR requirement.

Additional information about this policy change is available at http://www.osec.doc.gov/oam/grants_management/policy/ and Grants Online RPPR Guidance is available at https://www.corporateservices.noaa.gov/grantsonline/Documents/RPPR_Guide.pdf.

General instructions on completing the RPPR are accessible from the top of the Grants Online reporting, as well as from the beginning of each section of the report.

 **Attachments:**



Research Performance Progress Report (RPPR) Guidelines for CIs

The purpose of this document is to supplement the general RPPR Guidance as it applies to NOAA Cooperative Institutes.

Annual RPPR for CI institutional awards will report on the **CI as a whole** and its core activities, including all education and outreach activities. When reading the report questions and NOAA-wide guidance, the word “project” should be interpreted as a “cooperative institute”, not specific projects within the CI.

Example: “Project Title” should be entered as the institutional CI award title;

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

should be interpreted as “What opportunities for training and professional development has the CI provided?”

Additional CI-wide information can be uploaded into Grants Online as an attachment to RPPR (See the *RPPR Appendices Guidance* below). Select individual projects can be highlighted in RPPR as appropriate, but detailed project-by-project reports should not be submitted via RPPR in Grants Online. PIs of individual projects should submit their detailed reports to NOAA sponsors for each project, so that each sponsor would add the project reports to the NOAA Research and Development Database (NRDD).

RPPRs submitted in Grants Online should contain:

- An **introductory section** with information about the award and the recipient organization. Questions 1-23 of RPPR should be pre-populated by Grants Online.
- Questions 24-28: **Accomplishments**. Comment boxes #24 – 27 are required and the first report will always be blank. Subsequent reports will be pre-populated with the information from the previous report and have a limit of 4,000 characters. Comment box #28 is required but will not be pre-populated in subsequent reports. This section should include:

- General description of the CI and its core activities, including education and outreach activities;
- Summary of important research activities and results.
- Questions 29-32: **Products**. This section should summarize information about main publications, technologies, or other products created by the CI under this award during current reporting period.

In accordance with the Specific Award Condition “Handling of Environmental Data or Peer-Reviewed Publications”, scholarly publications developed under CI Cooperative Agreements must be submitted to NOAA Institutional Repository (See the Specific Award Condition Report in your Grants Online Grant File for details of this requirement). Please refer to the NOAA IR Frequently Asked Questions at <https://library.noaa.gov/Research-Tools/IR/IR-FAQs> for instructions on how to submit publications as a batch and for other information.

Information about products that do not fall under the requirements of this Specific Award Condition, such as websites or non-scholarly publications, can be entered into the RPPR form or uploaded as an attachment to RPPR.

Project-specific information on technologies, techniques, inventions, etc. should also be reported by project PIs to their NOAA sponsors so that it would be added to NRDD.

Please indicate in this section that information about products have been reported to NOAA Institutional Repository. This indication will incorporate your IR submission into RPPR by reference.
- Questions 33-36: **Participants and Other Collaborating Organizations**.
 - Questions 33 and 34: List CI Directors and other senior personnel and describe any changes in senior personnel.
 - Question 35: List CI subawardees, consortia members, and other major partners
 - Question 36: Describe any significant collaborators not listed under ##33-35. If there is nothing to report in this item, click on “Nothing to Report”.

Please attach the CI Employee Support table (as an Excel spreadsheet) – see the *RPPR Appendices Guidance* section below for details.
- Questions 37-44: **Impact**. Complete this section, highlighting the CI impact on NOAA Strategic Goals and addressing the CI’s proposed research themes. For question 39 – Impact on development of human resources – include information on postdocs and students supported by the CI and its subawardees, as well as on employees and students that were hired by NOAA within the last year. This information can be included into the CI Employee Support appendix.
- Questions 45-49: **Changes/Problems**. In accordance with the provisions of the CI Cooperative Agreement award, CIs are required to obtain prior written approval from NOAA Grants Management Division for any significant changes to CI projects. Please refer to the award document for a list of changes that require prior approval.

When answering Question 46, list all projects within the CI that were extended beyond their originally scheduled project end date, address reasons for the delays and plans to resolve them.
- Question 50: **Outcomes**. Describe cumulative outcomes of CI activities over the reporting period. When submitting the final report on a CI award, provide a summary of the CI 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 or confidential information, nor trade secrets; and
 - Includes up to six images (images are optional).

RPPR Appendices Guidance

The following files should be attached as appendices to RPPR:

(1) LIST OF PROJECTS

Excel spreadsheet with all award and amendment numbers relating to projects performed during the reporting period.

Example for reporting the projects:

Amendment #	Project Title	Project Start Date	Project End Date	CI Lead PI	NOAA Sponsor	Project Report Provided to NOAA sponsor (Yes/No)	If No, please provide explanation

(2) PRODUCTS

A complete list of scholarly publications must be reported to NOAA Institutional Repository (IR). This appendix may not be used as a substitute to the IR submission.

In this attachment, please provide the total count of publications for this reporting period and previous periods categorized by NOAA lead author, Institute (or subgrantee) lead author, and other lead author and whether it was peer-reviewed and non peer-reviewed (including presentations)

Example for showing the total number of publications:

	2013	2014	2015
CI Lead Author	# Peer Reviewed	# Peer Reviewed	# Peer Reviewed
	# Non-Peer Reviewed	# Non-Peer Reviewed	# Non-Peer Reviewed
NOAA Lead Author			
Other Lead Author			

If not already reported in RPPR, please also include a list of technologies or techniques, inventions, patent applications or licenses, and other products developed under this award during the reporting period.

(3) CI EMPLOYEE SUPPORT TABLE

Please provide information on:

- the total number of employees by job title and terminal degree that receive at least 50% support from NOAA, postdocs and visiting scientists;
- total number of undergraduate and graduate students receiving any level of support;
- number of employees (including postdocs and visiting scientists) that received less than 50% annual salary support;

- for Institutes that award subcontracts, please obtain only information on the number of supported postdocs and students from your subgrantees.
- the number of employees/students that receive 100% of their funding from an OAR laboratory and/or are located within that laboratory;
- the number of employees/students that were hired by NOAA within the last year.

Example for showing the total number of employees:

Personnel				
Category	Number	B.S.	M.S.	Ph.D.
Research Scientist	5	0	2	3
Visiting Scientist	3	0	0	3
Postdoctoral Fellow	3	0	0	3
Research Support Staff	20	15	5	0
Administrative	3	3	0	0
Total (≥ 50% support)	34	18	7	9
Undergraduate Students	8			
Graduate Students	6	5	1	
Employees that receive < 50% NOAA Funding (not including students)	24	10	4	2
Located at Lab (include name of lab)	29-AOML, 6-SEFSC			
Obtained NOAA employment within the last year	1			