Research Performance Progress Report (RPPR)

A. COVER PAGE

Project Title: Really Important Advance in Cancer Research	
Grant Number: 5R01CA123456-02	**Project/Grant Period:** 04/15/2015 – 03/31/2020
Reporting Period: 04/15/2015 – 03/31/2016	**Requested Budget Period:** 04/15/2016 – 03/31/2017
Reporting Term Frequency: Annual	**Date Submitted:** 03/13/2016
Program Director/Principal Investigator Information: Someone Deserving, PHD **Phone number:** **Email:**	**Recipient Organization:** UNIVERSITY OF PENNSYLVANIA Office of Research Services 3451 Walnut Street Philadelphia, PA 191046205 **DUNS: 042250712** **EIN: 1231352685A1** **RECIPIENT ID: Use current Fund # (ex:5XXXXX)**
Change of Contact PD/PI: N/A	
Administrative Official: ELIZABETH D PELOSO Office of Research Services Philadelphia, PA 19104 **Phone number:** **Email:**	**Signing Official:** CHOOSE ORSS Post Award Contact Philadelphia, PA 19104 **Phone number:** **Email:**
Human Subjects: No	**Vertebrate Animals:** No
hESC: No	**Inventions/Patents:** No

B. ACCOMPLISHMENTS

B.1 WHAT ARE THE MAJOR GOALS OF THE PROJECT?

List the major goals of the project 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 will not change from one reporting period to the next. 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.

Goals are equivalent to specific aims. Significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2).

The specific aims must be provided in the initial RPPR (i.e., first non-competing type 5 submission). In subsequent RPPRs this section will pre-populate with the aims/goals previously entered, and may be amended by answering Yes to question B.1.a.

B.1.a Have the major goals changed since the initial competing award or previous report?

Yes or No
Remember that written prior approval from the awarding agency grants official is required for significant changes in the project or its direction. The RPPR is not an appropriate vehicle to request such a change.

B.2 WHAT WAS ACCOMPLISHED UNDER THESE GOALS?
For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

Goals are equivalent to specific aims. In the response, emphasize the significance of the findings to the scientific field. For most NIH awards the response should not exceed 2 pages

B.3 COMPETITIVE REVISIONS/ADMINISTRATIVE SUPPLEMENTS

For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required?
If yes, identify the Revision(s)/Supplements(s) by grant number (e.g., 3R01CA098765-01S1) or title and describe the specific aims and accomplishments for each Revision/Supplement funded during this reporting period. Include any supplements to promote diversity or re-entry, or other similar supplements to support addition of an individual or a discrete project.
The NoA will indicate any reporting requirements. Be advised that the NoA incorporates requirements of the FOA that may also include reporting requirements.

B.4 WHAT OPPORTUNITIES FOR TRAINING AND PROFESSIONAL DEVELOP HAS THE PROJECT PROVIDED?
If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during the reporting period, select **Nothing to Report**.
Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project.

For all projects reporting graduate students and/or postdoctoral participants in Section D., describe whether your institution has established Individual Development Plans (IDPs) for those participants. Do not include the actual IDP,

instead include information to describe how IDPs are used, if they are used, to help manage the training for those individuals.

B.5 HOW HAVE THE RESULTS BEEN DISSEMINATED TO COMMUNITIES OF INTEREST?

Reporting the routine dissemination of information (e.g., websites, press releases) is not required. For awards not designed to disseminate information to the public or conduct similar outreach activities, a response is not required and the grantee should select **Nothing to Report**. A detailed response is only required for awards or award components that are designed to disseminate information to the public or conduct similar outreach activities. Note that scientific publications and the sharing of research resources will be reported under *Products*.

B.6 WHAT DO YOU PLAN TO DO DURING THE NEXT REPORTING PERIOD TO ACCOMPLISH THE GOALS?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives. Remember that significant changes in objectives and scope require prior approval of the agency.

C. PRODUCTS

C.1 PUBLICATIONS

Are there publications or manuscripts accepted for publication in a journal or other publication (e.g. book, one-time publication, monograph) during the reporting period resulting directly from this award?

If there are publications to report; select **Yes.** PD/PIs are required to report all publications that arise from their NIH award in this section. Publications listed in other parts of the RPPR will not be tracked as award products. The tables draw information from the PD/PI's My NCBI account.
Generally, it takes weeks to bring publications into compliance; PD/PIs are advised to do so as soon as possible to ensure their award is renewed in a timely manner

Publications Reported for this Reporting Period (SAMPLE)

NIH Public Access Compliance	Citation
PMC Journal – in process	Deserving S,. Breakthrough: Really Important Cancer Discovery, Clin Cancer Res. 2015 Apr 15. PubMed PMID: 99999999.

C.2 WEBSITE(S) OR OTHER INTERNET SITE(S)

For awards not designed to create or maintain one or more websites, select Nothing to Report. A description is only required for awards designed to create or maintain one or more websites. Limit the response to this reporting period.

C.3 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. Limit the response to this reporting period.

C.4 INVENTIONS, PATENT APPLICATIONS, AND/OR LICENSES

Have inventions, patent applications and/or licenses resulted from the award during the reporting period? If yes, has this information been previously provided to the PHS or the official responsible for patent matters at the grantee organization?

Reporting of inventions through iEdison is strongly encouraged.

C.5 OTHER PRODUCTS AND RESOURCE SHARING

C.5.a Other products

Describe the product and how it is available to be shared with the research community. Do not repeat information provided above. Limit the response to this reporting period. Examples of other products are: audio or video products; data and research material (e.g., cell lines, DNA probes, animal models); databases; educational aids or curricula; instruments or equipment; models; protocols; and software or netware.

C.5.b Resource sharing

PD/PIs and recipient organizations are expected to make the results and accomplishments of their activities available to the research community and to the public at large. For additional information on NIH Sharing Policies and Related Guidance on NIH-Funded Research Resources see http://grants.nih.gov/grants/sharing.htm.

D. PARTICIPANTS

D.1 WHAT INDIVIDUALS HAVE WORKED ON THE PROJECT?

Provide information for each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation. An individual's eRA Commons user ID may be used to partially populate the information. A Commons ID is required for all individuals with a postdoctoral, graduate or undergraduate role. It is also required for individuals supported by a Reentry or Diversity Supplement.

Commons ID	S/K	Name	SSN	DOB	Degree(s)	Role	Cal	Aca	Sum	Foreign Org	Country	SS
SDESERVING	Y	DESERVING, SOMEONE	XXXX	MM/YYYY	BA, PHD	PD/PI	10	0	0			NA
IASSIST	N	ASSIST, INGRID	XXXX	MM/YYYY	BS/MS	Grad Student (research assistant)	5					NA

Glossary of acronyms:

S/K – Senior/Key
DOB – Date of Birth
Cal – Person Months (Calendar)
Aca – Person Months (Academic)
Sum – Person Months (Summer)
Foreign Org – Foreign Organization Affiliation
SS – Supplement Support
RE – Reentry Supplement
DI – Diversity Supplement
OT – Other
NA – Not Applicable

D.2 PERSONNEL UPDATES

D.2.a Level of Effort

Will there be, in the next budget period, either (1) a reduction of 25% or more in the level of effort from what was approved by the agency for the PD/PI(s) or other senior/key personnel designated in the Notice of Award, or (2) a reduction in the level of effort below the minimum amount of effort required by the Notice of Award?

Reductions are cumulative, i.e., the 25% threshold may be reached by two or more successive reductions that total 25% or more. Once agency approval has been given for a significant change in the level of effort, then all subsequent reductions are measured against the approved adjusted level. Selecting Yes constitutes a prior approval request to the agency and the issuance of a subsequent year of funding constitutes agency approval of the request

D.2.b New Senior/Key Personnel

Are there, or will there be, new senior/key personnel?

If yes, upload biosketches and other support for all new senior/key personnel.

D.2.c Changes in Other Support

Has there been a change in the active other support of senior/key personnel since the last reporting period?

Select **Yes** only if active support has changed for the PD/PI(s) or senior/key personnel. If yes, upload active other support for senior/key personnel whose support has changed and indicate what the change has been. List the award for which the progress report is being submitted and include the effort that will be devoted in the next reporting period.

If a previously active grant has terminated and/or if a previously pending grant is now active, submit complete Other Support information using the suggested format and instructions found at http://grants.nih.gov/grants/funding/2590/Non-competing_othersupport.docx. Annotate this information so it is clear what has changed from the previous submission.

Submission of other support information is not necessary if support is pending or for changes in the level of effort for active support reported previously.

D.2.d New Other Significant Contributors

Are there, or will there be, new other significant contributors?

Other significant contributors are individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. **If yes, upload biosketches for all new other significant contributors.**

D.2.e Multi-PI (MPI) Leadership Plan

Will there be a change in the MPI Leadership Plan for the next budget period?

Revision of the Leadership Plan during the project period may be accomplished through a joint decision of the PD/PIs and reported in the RPPR. Prior approval of a change in the *MPI Leadership Plan* is not required.

Change in status of PD/PI requires prior approval of the agency, including a request to change from a multiple PD/PI model to a single PD/PI model or a change in the number or makeup of the PD/PIs on a multiple PD/PI award. The RPPR is not the appropriate vehicle to request such a change.

E. IMPACT

E.1 WHAT IS THE IMPACT ON THE DEVELOPMENT OF HUMAN RESOURCES?

Not applicable for most awards. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) Supplemental Instructions for specific instructions related to Activity Codes.

E.2 WHAT IS THE IMPACT ON PHYSICAL, INSTITUTIONAL, OR INFORMATION RESOURCES THAT FORM INFRASTRUCTURE?

Describe ways the project made an impact on the aforementioned resources such as facilities, laboratories, establishment of societies, electronic means for accessing resources for scientific communication etc.

If the award or award component(s) is not intended to support physical, institutional, or information resources that form infrastructure, select **Nothing to Report**.

E.3 WHAT IS THE IMPACT ON TECHNOLOGY TRANSFER?

Not applicable for most awards. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) Supplemental Instructions for specific instructions related to Activity Codes.

E.4 WHAT DOLLAR AMOUNT OF THE AWARD'S BUDGET IS BEING SPENT IN FOREIGN COUNTRY(IES)?
For domestic awardees provide the dollar amount obligated to first-tier subawards to foreign entities for this reporting period. For foreign awardees provide the dollar amount of the award, excluding all first-tier subawards to U.S. entities, for this reporting period. Dollars provided should reflect total costs.

If more than one foreign country identify the distribution between the foreign countries. Report only cumulative first-tier subaward dollars by country. Do not report foreign travel, purchases, etc., unless part of a first-tier subaward to a foreign country.

F. CHANGES

F.1 CHANGES IN APPROACH AND REASONS FOR CHANGE
Not applicable for most awards. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) Supplemental Instructions for specific instructions related to Activity Codes.
Recipients are reminded that significant changes in objectives and scope require prior approval of the agency.

F.2 ACTUAL OR ANTICIPATED CHALLENGES OR DELAYS AND ACTIONS OR PLANS TO RESOLVE THEM
Describe only significant challenges that may impede the research (e.g., accrual of patients, hiring of personnel, need for resources or research tools) and emphasize their resolution.

F.3 SIGNIFICANT CHANGES TO HUMAN SUBJECTS, VERTEBRATE ANIMALS, BIOHAZARDS, AND/OR SELECT AGENTS
Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards and/or select agents during this reporting period. Remember that significant changes in objectives and scope require prior approval of the agency.

F.3.a Human Subjects
If human subject studies are or will be different from the previous submission, include a description and explanation of how the studies differ and provide new or revised Protection of Human Subjects Section and Inclusion of Women, Minorities, and Children sections as described in the competing application instructions. Additional or modified inclusion enrollment reports may also be necessary and should be provided by clicking the HSS link in Section G.4.b of the RPPR to make necessary updates in the Human Subjects System (HSS).

F.3.b Vertebrate Animals
If there are or will be significant changes to the uses of vertebrate animals from the previous submission, provide a description of the changes. Examples of changes considered to be significant include, but are not limited to, changing animal species, changing from noninvasive to invasive procedures, new project/performance site(s) where animals will be used, etc. If studies involving live vertebrate animals are planned and were not part of the originally proposed research design, provide a new or revised Vertebrate Animal Section as described in the competing application instructions.

F.3.c Biohazards
Describe any changes from the previous submission.

F.3 d Select Agents
If the possession, use, or transfer of Select Agents is or will be different from that proposed in the previous submission, including any change in the select agent research location and/or the required level of biocontainment, provide a description and explanation of the differences. If the use of Select Agents was proposed in the previous submission but has not been approved by regulatory authorities, provide an explanation. If studies involving Select Agents are planned and were not part of the originally proposed research design, provide a description of the proposed use, possession, transfer, and research location as described in the competing application instructions.

U.S. Select Agent Registry information: http://www.selectagents.gov

G. SPECIAL REPORTING REQUIREMENTS

G.1 SPECIAL NOTICE OF AWARD TERMS AND FUNDING OPPORTUNITIES ANNOUNCEMENT REPORTING REQUIREMENTS

Address any special reporting requirements specified in the award terms and conditions in the Notice of Award (NoA) or Funding Opportunity Announcement (FOA).

G.2 RESPONSIBLE CONDUCT OF RESEARCH

Not applicable for most awards. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) Supplemental Instructions for specific instructions related to Activity Codes.

G.3 MENTOR'S REPORT OR SPONSOR COMMENTS

Not applicable for most awards. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) Supplemental Instructions for specific instructions related to Activity Codes.

G.4 HUMAN SUBJECTS

G.4.a Does the project involve human subjects?

If activities involving human subjects are planned at any time during the next budget period at the grantee organization or at any other project/performance site or collaborating institution, select **Yes**. Select Yes even if the project is exempt from the Regulations for the Protection of Human Subjects. Select **No** if activities involving human subjects are not planned at any time during the next budget period.

Policy on research involving human subjects, including definitions, can be found in the NIH Grants Policy Statement or in the competing application instructions. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) for detailed reporting instructions.

G.4.b Inclusion enrollment data

If conducting NIH-defined clinical research, reporting the cumulative enrollment of subjects and the distribution by sex/gender, race, and ethnicity is required. Make updates with HSS link. See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) for detailed reporting instructions.

G.4.c ClinicalTrials.gov.

Does this project include one or more applicable clinical trials that must be registered in ClinicalTrials.gov under FDAAA?

If yes, provide the ClinicalTrials.gov identifier, NCT number (e.g., NCT00654321) for those trials.

G.5 HUMAN SUBJECTS EDUCATION REQUIREMENT

Are there personnel on this project who are or will be newly involved in the design or conduct of human subjects research?

If yes, provide the name of the individual, the title of the human subjects education program and a one-sentence description of the program.

G.6 HUMAN EMBRYONIC STEM CELLS (HESCS)

Does this project involve human embryonic stem cells?

Only hESC lines listed as approved in the **NIH Registry** (http://grants.nih.gov/stem_cells/registry/current.htm?sort=rnd) may be used in NIH funded research.

G.7 VERTEBRATE ANIMALS

Does this project involve vertebrate animals?

G.8 PROJECT/PERFORMANCE SITES

If there are changes to the project/performance site(s) displayed, edit as appropriate.

See the RPPR Instruction Guide (http://grants.nih.gov/grants/rppr/index.htm) for detailed reporting instructions.

Organization Name:	DUNS	Congressional District	Address
Primary: University of Pennsylvania	042250712	PA-003	Use address where research is conducted (i.e. lab, etc) include subsites

G.9 FOREIGN COMPONENT

Provide the organization name, country, and description of each foreign component.

G.10 ESTIMATED UNOBLIGATED BALANCE

G.10.a Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total approved budget?

G.10.b Provide an explanation for unobligated balance.

G.10.c If authorized to carryover the balance, provide a general description of how it is anticipated that the funds will be spent. To determine carryover authorization, see the Notice of Award.

Recipients not authorized to carryover unobligated balances automatically must submit a prior approval request to the awarding IC.

G.11 PROGRAM INCOME

Is program income anticipated during the next budget period?

If yes, provide the amount and source(s).

Program Income is defined as gross income earned by the grantee organization, a consortium participant, or a contractor under the grant that is directly generated by the grant-supported project or activity or earned as a result of the award.

G.12 F&A COSTS [applicable to SNAP awards only]

Is there a change in performance sites that will affect F&A costs?

If yes, provide an explanation.

H. BUDGET [APPLICABLE TO NON-SNAP AWARDS ONLY]

H.1 BUDGET FORM

Select the SF424 Research and Related Budget from the drop down menu and follow the instructions for completing the form in the SF424 Application Guide for NIH (http://grants.nih.gov/grants/forms.htm)

H.2 SUBAWARD BUDGET FORM

For awards with subaward/consortium budgets, select the SF424 Research and Related Budget Subaward Budget and follow the instructions for Preparing Applications with a Subaward/Consortium in the SF424 Application Guide for NIH (http://grants.nih.gov/grants/forms.htm)