**Research Performance Progress Report (RPPR) Checklist**

**IRES Record #: PI:**

**OSP Reviewer: Dept:**

**Corrections Req’d. (Y/N)? If Yes, how many?**

(# of items on checklist that required corrections)

**Name of department Administrator who completed the RPPR**

**Section B: Accomplishments**

* + B.1.a Have the major goals changed since the initial competing award or previous report?
    - If answered “yes” verify that the written approval was obtained from the GMS/GMO and that the approval has been uploaded into the Proposal Tracking (PT) record.

**Section D: Participants**

* + Verify [compliance requirements](http://grants.yale.edu/proposals/proposal-compliance) for newly added personnel[[1]](#footnote-1) have been completed as appropriate:
    - Sponsored Projects Administration Training for Faculty (PIs and multiple PIs)
    - Conflict of Interest (all individuals identified by the PI as responsible for the design, conduct or reporting of research)
    - Patent Policy Acknowledgment & Agreement (all named individuals)
    - Veterans Administration Memorandum of Understanding (all individuals identified by the department administration as having a joint appointment with Yale and the VA)
  + Review the effort for all key personnel named on the Notice of Award (NOA)[[2]](#footnote-2).
    - If the effort was reduced by 25% or more, verify this reduction was approved by the awarding agency (either as a prior approval request or as part of the RPPR from the previous year)
    - D.2.a If an explanation of a reduction in effort for the *previous* year is in included, ensure that the prior approval letter was submitted to NIH with approval and signed off by OSP and is included in the IRES record or the statement of an effort reduction for the subsequent year of funding was included in the last RPPR.
  + D.2.e Request to change from a Multiple Principal Investigator (MPI) to a single PI or from a single PI to MPI (if requesting)
    - Not included in the RPPR as it must be submitted separately as a prior approval request.

**Section G: Special Reporting Requirements**

* + G.1 Review NOA to identify any terms and conditions that should be addressed in the RPPR and verify that any required additional information is included.
    - Examples may include identifying if research with a Highly Pathogenic Agent or Select Agent has been performed or is planned to be performed under the grant or including a copy of Advisory Committee Meetings.
  + G.9 All [foreign components](https://grants.nih.gov/grants/policy/nihgps/HTML5/section_16/16_grants_to_foreign_institutions__international_organizations__and_domestic_grants_with_f) are included.
    - If there is evidence of a foreign component, ensure that an export control review was conducted by the Director of Export Controls. If not previously conducted in the original application or previous progress report, ensure that a review is done and the Director of Export Controls has approved.

**Please note:**

* + Reporting of participant support costs and foreign collaboration or activity, to include foreign travel, should be closely monitored

1. For more information see [Policy 1310: Principal Investigator Eligibility Requirements on Sponsored Projects](https://your.yale.edu/policies-procedures/policies/1310-principal-investigator-eligibility-requirements-sponsored-projects), the [Yale Conflict of Interest (COI) webpage](http://yale.edu/coi) and [Guide 1411 GD.01: Memorandum of Understanding Requirements: Faculty with Both a Veterans Administration Medical Center and Yale University Joint Appointment](https://your.yale.edu/policies-procedures/guides/1411-gd01-va-memorandum-understanding-requirements) [↑](#footnote-ref-1)
2. For more information see the [NIH Grants Policy Statement](https://grants.nih.gov/policy/nihgps/index.htm) and [NSF RPPR](https://www.nsf.gov/bfa/dias/policy/rppr/) [↑](#footnote-ref-2)