OFFICE OF NAVAL RESEARCH

RESEARCH PERFORMANCE PROGRESS REPORT (RPPR) INSTRUCTIONS

U.S. OFFICE OF NAVAL RESEARCH

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CONTENTS

Preface

Section I. Report Requirements and Information

Reporting Frequency

Distribution of Reports

Security Classification

Presentation of Unclassified Papers at Scientific Meetings

Attribution

Section II. Login Instructions

- 1. Website Logon
- 2. Progress Report Navigation
- 3. Data Entry

Section III. Report Content

Distribution Statement

Accomplishments:

- 1. Major Goals
- 2. Accomplished Under Goals
- 3. Training Opportunities
- 4. Results Dissemination
- 5. Plans for Next Reporting Period
- 6. Honors and Awards
- 7. Regulatory Protocol and Activity Status

Tech Transfer

Participants

Attachments

Students

Products

PREFACE

The Research Performance Progress Report (RPPR) implements the uniform reporting requirement and format for interim research progress reporting developed under the auspices of the National Science and Technology Council, through the Committee on Science and the Research Business Models Subcommittee, and established by the Office of Management and Budget for use by agencies that support research and research-related activities.

Information collected in annual progress reports provides the Office of Naval Research (ONR) with valuable data on grantee accomplishments and is used to report out to stakeholders, justify requests for future funding support, and make strategic, data-driven decisions for future investments. The data collected describe scientific progress, identify significant changes in objectives or directions, report on personnel, and describe plans for the subsequent budget period or year. The intent of the RPPR is to streamline and standardize data collection efforts to increase the efficiency and effectiveness of the progress reporting process. The implementation of the RPPR format at ONR results in benefits to ONR grantees and staff, including a structured and uniform collection of the project's progress for enhanced ONR use, the adoption of a federal-wide data dictionary to increase consistency of implementation across agencies, a common reporting platform between the Army Research Office (ARO) and ONR, automated data entry for publication data with the use of publication identifiers, and automated data retrieval functionality for follow-on reports.

ONR interim Progress Reports will be entered via the ARO website. ARO has updated their pre-existing interim performance reporting website to conform to the RPPR standard and has adapted the website for ONR use. At this point in time, ONR is collecting progress reports through RPPR only for grants.

The required data fields and these "REPORTING INSTRUCTIONS" are designed to comply with the RPPR policy. Successful completion and acceptance of the RPPR effort is contingent upon the technical information provided by each Principal Investigator and compliance with these instructions. Please consult these reporting instructions regularly to meet your reporting requirements throughout the duration of your award. The ONR updates these Reporting Instructions when instructions or formats are modified. You are not required to complete any forms when reports are submitted online via https://extranet.aro.army.mil but ONR provides an optional template for your convenience.

Larry Schuette

Director of Research, Office of Naval Research

SECTION I. Reporting Requirements and Information

Type of Report

- 1. Interim Research Performance Progress Reports (RPPR):
 - a. Requirements: ONR <u>requires</u> annual on-line submission of all Interim RPPRs through the website https://extranet.aro.army.mil/.
 - i. Exceptions to on-line submission will be considered by your program officer on a case by case basis under unusual circumstances. The required information for the rarely approved exception is the same as for the online reports. If granted an exception to on-line submission, a separate SF298 must be submitted for each report, and SF298 Continuation Sheet, as needed.
 - b. Content: An Interim RPPR must provide a current record of accomplishments which ONR may use as a basis for evaluating continued support of the research. The information provided in the report may be used for various purposes, including justifying the agency's budget request to Congress. The report is to cover research supported under grants or cooperative agreements from ONR. Interim RPPRs should be written for the intended audience, which is a program director/manager who is technically conversant with the research program being supported.
 - i. The interim reports should cover the research progress for the current reporting period, which is defined as 12 months prior to the current progress report deadline or from the start of the award if this is a new award.
 - ii. Awards that have ended on 6/15/2017 or before are excused from completing this report and must instead submit their final report in accordance with the official ONR process for submitting final reports.
 - c. Deadline: Reports are due by June 15th, 2017.
 - d. Please refer technical questions regarding issues regarding logon or using the progress reporting website to <u>usarmy.rtp.aro.mbx.extranet@mail.mil</u>. Please direct questions regarding content to your program officer. Please direct questions regarding the requirement for interim Research Performance Progress Reporting to ONR.NCR.03R.list.annualreports@navy.mil

NOTE: If this is a new award (work began less than 6 months prior to June 15th), the Principal Investigator may find it appropriate to report on planned research goals and activities rather than accomplishments.

Distribution of Reports

ONR will make primary distribution of interim to the Defense Technical Information Center (DTIC). DTIC secondarily distributes unclassified and unlimited distribution reports to the National Technical Information Service (NTIS) which provides public access to government-funded scientific information. DTIC distributes limited distribution reports according to the limitations imposed by the sponsoring agency.

ONR may distribute some Distribution A reports via the ONR website.

Security Classification

Research conducted under grants initiated by the U.S. Office of Naval Research is expected to be UNCLASSIFIED. If the Principal Investigator believes the information developed should be CLASSIFIED; he/she will notify the program officer immediately; classified information should not be uploaded via RPPR.

Presentation of Unclassified Papers at Scientific Meetings

Results from basic research agreements (grants) sponsored by the U.S. Office of Naval Research may be published or presented without a request for approval for public release.

Attribution

DFARS clause 252.235-7010 requires Research and Development (R&D) grantees to acknowledge the
Government's support in the publication of any material based on or developed under their grants in
the following terms: "This material is based upon research supported by, or in part by, the U. S. Office of
Naval Research under award number"

SECTION II: System Login

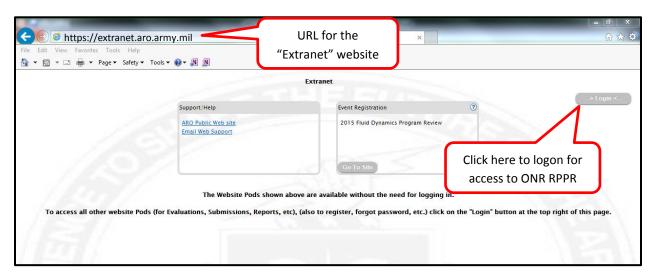
1. Website Logon

a. Accessing the Extranet

The Army Research Office (ARO) has a business portal website called "Extranet". The ONR RPPR submission site is included as a part of ARO's extranet.

The Extranet website is located at: https://extranet.aro.army.mil

See the graphic below for an initial view with documenting notes...



b. First Time Logon

When you first access the extranet site, your account and username will have already been established. Your username is your work email address as provided on the cover page of your proposal. If your email address has changed since you submitted your proposal, this email address may be out of date.

The first time you access the extranet site, you will need to establish a password for your logon account.

If you have used the ARO website in the past, you already have an account in which case you will be prompted to enter in your password or create a new password using the 'forgot password' tab.

If you have any issues with your first time logon (activation), you can email ARO support at usarmy.rtp.aro.mbx.extranet@mail.mil

See the graphic below (notice you should be on the "Register" tab...)

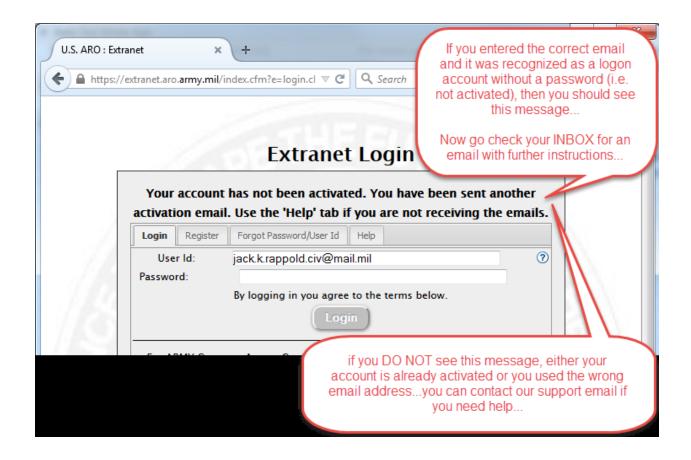
Extranet Login Ensure you are on the "Register" tab Register Forgot Password/Oser 10 Help Login Enter user id to see if you are in the database. * For NON CAC Holders. If you have a CAC, just use the CAC Login button On the Login tab to register. User Id: Enter your email address here... YOU ARE ACCESSING A U.S. GO DRMATION Click the "Check PROVIDED USE ONLY. User ID" button By using this IS (which include to this IS), you consent to the following conditions: The USG routinely intercepts and monitors communications on this IS for purposes including, but not limited to, penetration testing, COMSEC monitoring, network operations and defense, personnel misconduct (PM), law enforcement (LE), and counterintelligence (CI) investigations. At any time, the USG may inspect and seize data stored on this IS. Communications using, or data stored on, this IS are not private, are subject

or CI investigative searching or monitoring of the content of privileged communications, or work product, related to personal representation or services by attorneys, psychotherapists, or clergy, and their assistants. Such communications and work product are private and confidential.

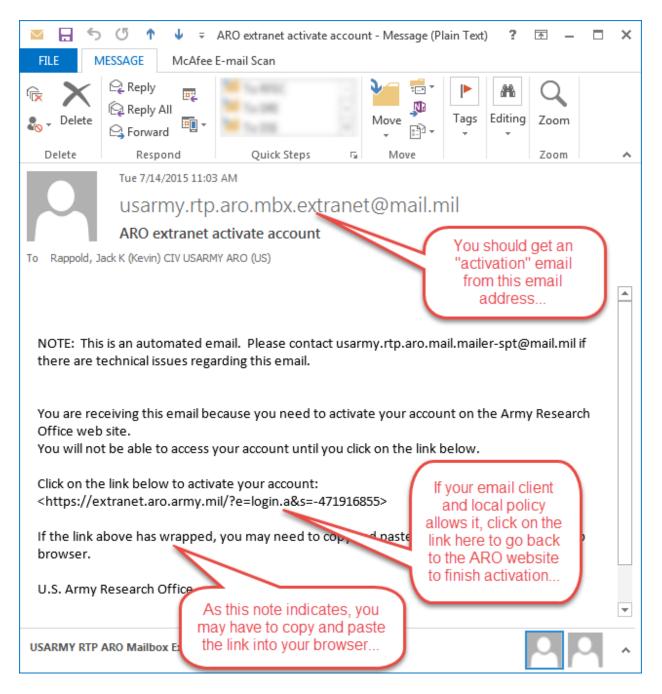
to routine monitoring, interception, and search, and may be disclosed or used for any USG-authorized purpose.

This IS includes security measures (e.g., authentication and access controls) to protect USG interests--not for your personal benefit or privacy.

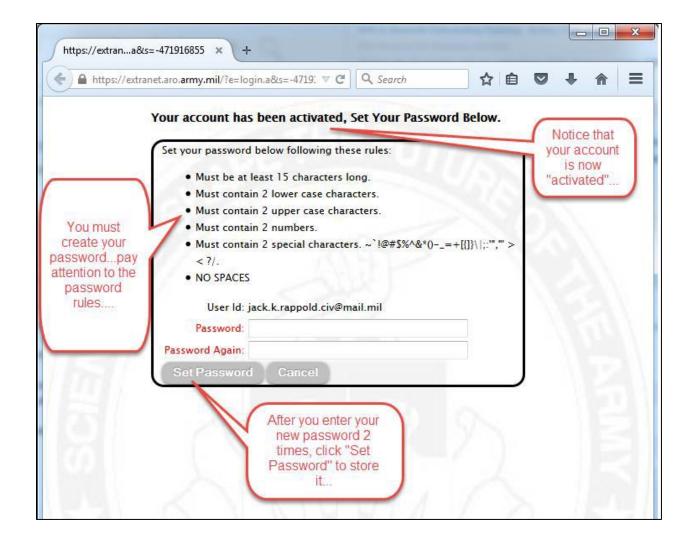
<<Back to Star

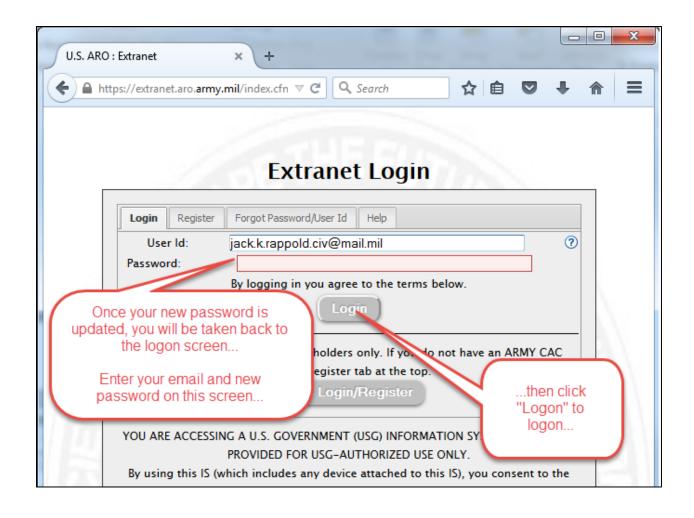


You should receive an email message similar to the one shown below. Click on the link in the email or copy and paste the link into your browser.



Once you go to the link in the email, you should get the screen below:





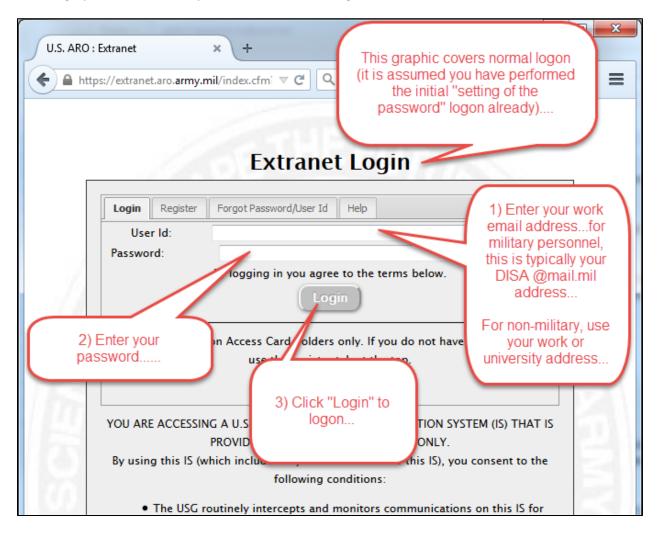
c. Normal Logons

When you access the site, your logon account will have already been established and should be your email address as provided on the cover page of your proposal to ONR.

If you have any issues with your logon, you can email ARO support at

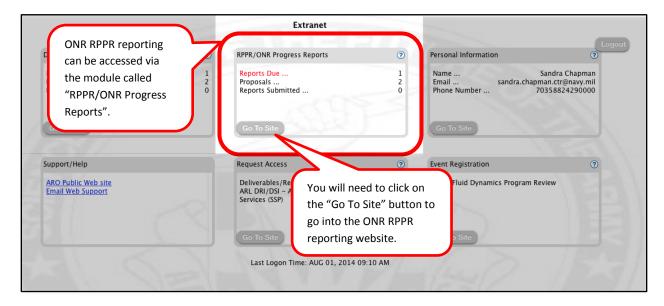
usarmy.rtp.aro.mbx.extranet@mail.mil

See the graphic below (notice you should be on the "Login" tab...)



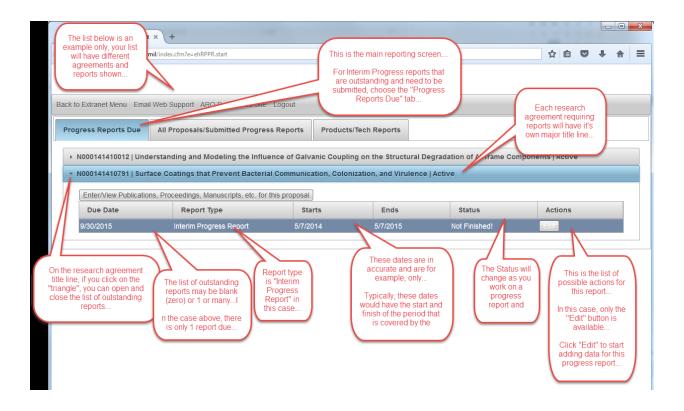
2. Progress Report Navigation

Once you successfully logon the system (see **Accessing the Extranet**), you should access the "RPPR/ONR Progress Reports" pod by clicking the "Go to Site" button (see below):



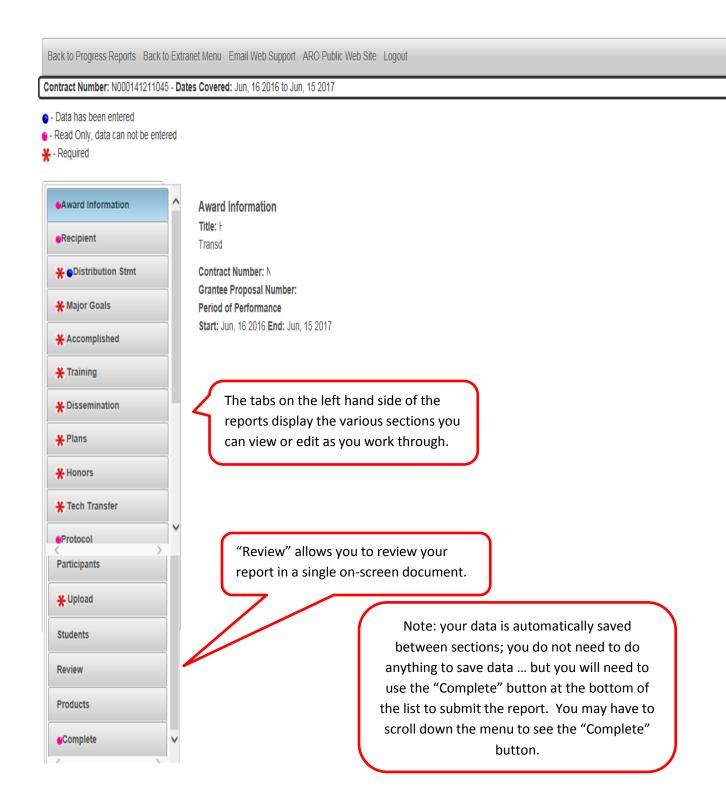
You should now see the screen below which lists each award number for which an interim progress report is due. Each award can be expanded to show the list of outstanding progress reports.

This screen will list all ONR interim progress reports that are due for which you are the Principal Investigator. ONR award numbers all begin with N00014 (the award number shown here is an example). Click on the triangle to open or close a report. Start and end dates refer to the reporting period (usually the 12 months preceding the award due date), not to the start and end of your award. "Status" will remain as "not finished" until the report is fully completed. Click on "edit" under "actions" to access your report and begin entering data.



3. Data Entry

Once you have logged onto the site and have accessed the RPPR section (see **Reports Requiring Submission**), and once you have clicked "Edit" on a particular progress report, you will see a screen similar to below:



Clicking "Complete" is required. Once you click the "Complete" button, you will have finished that progress report and cannot edit the report.

4. Reporting an Issue

Should you encounter an issue during your use of this website, please send

- 1) Your name
- 2) The award number of the report you are having issues with
- 3) Which section of data you are having problems with
- 4) A description of the problem

To: usarmy.rtp.aro.mbx.extranet@mail.mil

If your question is in reference to the content of your report, please contact your program officer.

SECTION III: Report Content

Award Information

This section contains the basic award information we have on record for this award. This information was pre-populated with ONR data. If you see an error in this information, please notify your Program Officer at ONR.

Recipient

This section contains information we have on record for the award recipient and the profile for the individual submitting the report. This entry was pre-populated with ONR award data and data associated with the submitter's account. If you see an error in this information, please notify your Program Officer at ONR.

Distribution Statement

Select between:

- DISTRIBUTION A. Approved for public release: distribution unlimited.
- DISTRIBUTION B. Distribution authorized to U.S. Government Agencies (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- DISTRIBUTION C. Distribution authorized to U.S. Government Agencies and their contractors. (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- DISTRIBUTION D. Distribution authorized to Department of Defense and U.S. DoD contractors only (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- DISTRIBUTION E. Distribution authorized to DoD components only (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- DISTRIBUTION F. Further dissemination only as directed by (controlling office) (date of determination) or higher DoD authority.

Note:

- Most reports on research supported by a grant will be "Distribution unlimited, approved for public release." Consult your Program Officer if you need clarification or guidance selecting a Distribution Statement.
- Please do not include proprietary information in your interim progress report.
- Whether or not it is a final report has no bearing on inclusion or identification of proprietary information.
- The fact that the award is from DoD (Navy) does not mean that the information or results are proprietary or classified (unless explicitly stated in the award document).

Screen Shot example:



Interim Research Progress

The following sections are required:

- 1. Major Goals: Describe the major goals and objectives of the project.
- 2. Accomplished: Describe accomplishments toward achieving these goals.
- 3. Training: Describe opportunities for training and professional development under the award.
- 4. Dissemination: List means of dissemination of results and impact to communities of interest.
- 5. Plans: Describe research plans for the next reporting period.
- 6. Honors: List honors or awards were received under this project in this reporting period.
- 7. Technology Transfer: List technology transfer activities such as patent applications, inventions, licenses or interactions with DoD laboratories or agencies.
- 8. Upload: One attachment (PDF) must be uploaded. This attachment may contain figures, images, graphs etc. that cannot be included in the text descriptions.

Text to Enter or Copy and Paste from the Template

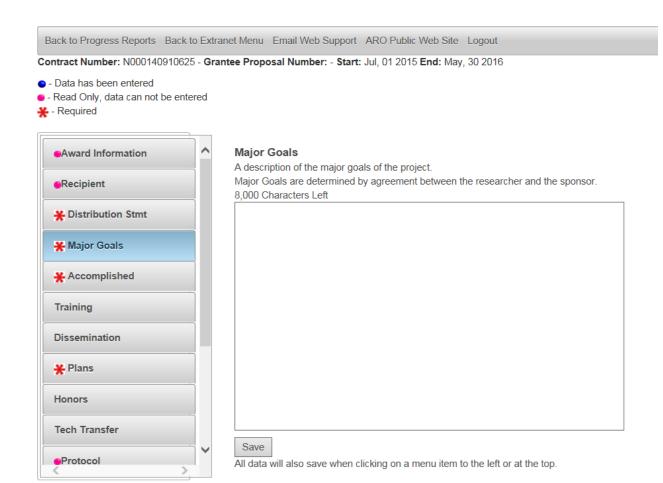
On the RPPR website, each of the following text fields has an 8000 character limit. Text over the 8000 character limit will be truncated. Spaces are included in the character count.

1. Major Goals (required): What are the major goals of the project?

List the major goals of the project as stated in the approved proposal or as approved by the agency. Include the scientific or technological objectives of this effort. Describe the proposed technical approach to achieve those goals. If the proposal listed milestones/target dates for important activities or phases, identify these dates and indicate 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 proposal or plan.

Example screen shot:



2. Accomplished (required): What was accomplished toward these goals (you must provide information for at least one of the 4 categories below)?

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 any stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting results and impacts.

3. Training (required): What opportunities for training and professional development 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 this reporting period, please check "Nothing to Report".

Describe the opportunities for training and professional development provided to anyone who worked on the project. "Training" activities include those activities in which individuals with advanced professional skills and experience assist others in learning new skills or attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional

development" activities that result in increased knowledge or skill in one's area of expertise may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.

4. Dissemination (required): How were the results disseminated to communities of interest?

If there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe how the results of the project have been disseminated to communities of interest during the reporting period (e.g., publications, presentations, web sites, blogs, media interviews). Include 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 and technology.

<u>5. Plans (required):</u> What are your research and publication plans during the next reporting period to further progress towards achieving the goals?

Describe what the PD/PI plans to do during the next reporting period to accomplish the goals and objectives of the project.

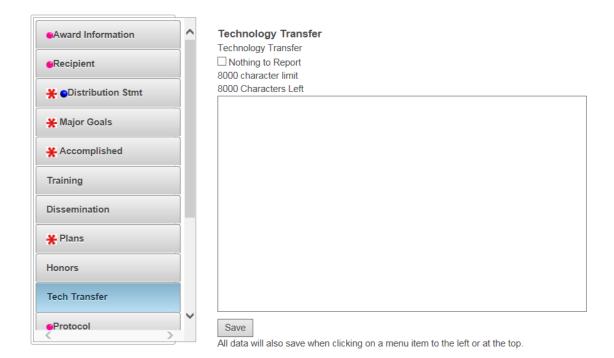
<u>6. Honors (required):</u> What honors or awards were received under this project in this reporting period?

List any honors or awards and identify the member of the research team who received it during the reporting period or note "Nothing to Report".

Technology Transfer (required)

Please list technology transfer activities including patent applications (include patent number, title, applicant name(s), and application date and status), inventions, licenses (include license title, application date and status). Please describe interactions with Navy laboratories or other DoD Agencies. Describe any commercialization efforts.

Screen Shot example:



Protocol

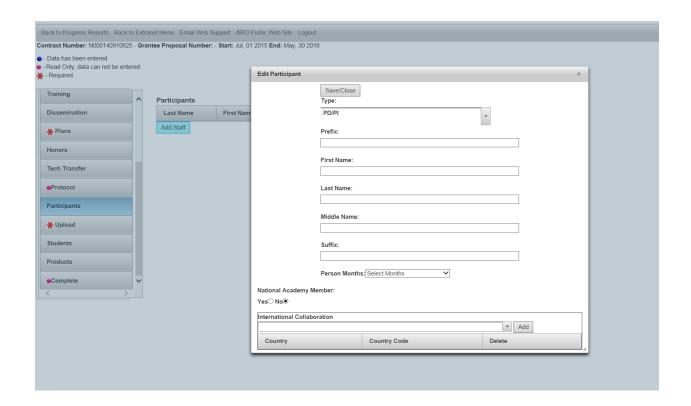
This section is pre-populated; you should not have to enter any text here.

Participants

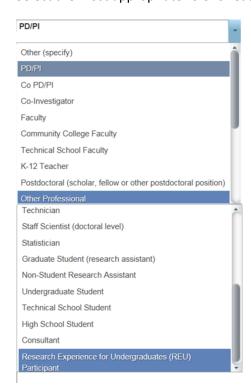
Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations. Information must be filled out for PI(s), Co-PI(s) and Participants in order to successfully complete and submit the report. Include information on students.

- 1. First Name:
- 2. Middle Name:
- 3. Last Name:
- 4. Most senior project roleSelect One
- 5. Nearest person month worked on this award (a person month equals approximately 160 hours of effort, regardless of funding source):
- Country(ies) of foreign collaborator:If not US based, identify the country of this participant on this project.

Screen Shot example:



Select the most appropriate role for each participant from the pull down list.



Upload Attachment

ONR requires the information in the report to be supplemented with one (only one) attachment to allow for content such as figures (with captions), images, graphs, equations, etc. that cannot be included in the text descriptions in the accomplishments section of the report (include figure captions that adequately describe the referenced images). Please take care to properly label the material provided in the attachment so that the program officer can reference the material included. Be sure to embed unique fonts or your PDF may not display as intended on other systems. Only one file can be attached to your report (publications are separate attachments in the products section). Append multiple files together into one document before uploading. If you upload a new file, the previous file will be overwritten. Select the browse button to select a file to upload. The upload only accepts Adobe Acrobat 8 and above PDF files.

You must upload an attachment.

Review

The review button assembles all the data that you have entered into a single on-screen document for you to review your entries. Text can still be edited after "review".

Students

Please enter in the number of students for each of the following categories: "Number Science, Technology, Engineering and Mathematics (STEM) participants" and "Number of participants that received a STEM degree".

The data entered here should cover the reporting period of one year.

Products

PUBLICATIONS

Final "published" or "awaiting publication" peer-reviewed publications are to be uploaded as part of the Interim RPPR when possible.

Each category of publication should identify any associated data, software, other supplementary material and their appropriate identifiers. The PI should include and discuss in the Products section the goals associated with data management and access and note any significant changes in them, as well as specific plans for dissemination of data, software and other digital research products. When the PI reports any of these items, please include all available identifiers and how these products can be accessed or shared.

You and your institution are responsible for assuring that any publication including World Wide Web pages developed under or based on ONR support of your project includes an acknowledgment of that support in the following terms:

"This material is based upon research supported by the Office of Naval Research under Award Number (ONR Award Number)."

Report only those publications that reflect the research under this award in the following categories:

<u>Journal publications</u>. List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed 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 that is 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, year, volume number and page numbers.

<u>Books or other non-periodical, one-time publications.</u> 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, and type of publication (book, thesis, dissertation, or other).

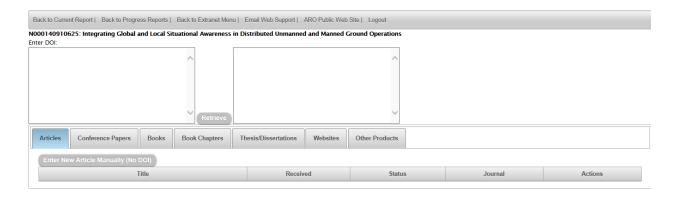
<u>Other publications, conference papers and presentations.</u> Identify any other publications, conference papers and/or presentations not reported above, including those that are "non-reviewed".

For each of the above publication types, specify the status of publication (published, accepted and awaiting publication, submitted and under review or other), acknowledgement of federal support (yes/no) and peer reviewed (yes/no).

When on the products tab, select the "Enter/View Publication, Proceedings, Manuscripts, etc. for this proposal"

Enter/View Publications, Proceedings, Manuscripts, etc. for this proposal

You will then be directed to the products menu as shown below:

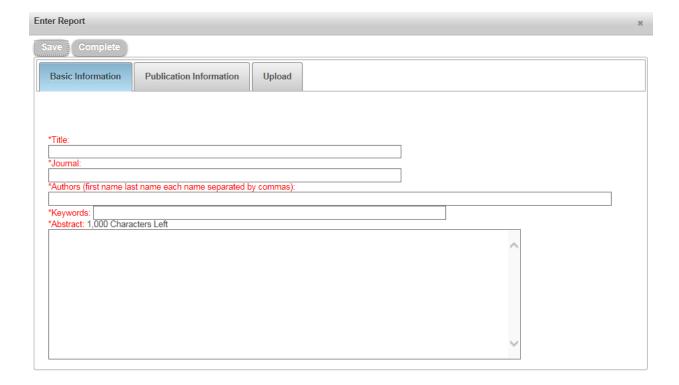


Publications that are "published" or "awaiting publication" must be uploaded either by supplying the DOI or uploading a PDF. Certain publication reference information (article title, authors, journal, date, volume, issue) may be automatically entered using a DOI. However, other required information such as abstract are not automatically entered so please fill in all other fields that have not been pre-populated as your records will not be 'completed' until all fields are entered in.

Products entered will be listed on the menu page. The system only allows a product to be entered once and will be listed on that project report. A product cannot be referenced in more than one award. You may have to refresh your browser after uploading your publication.

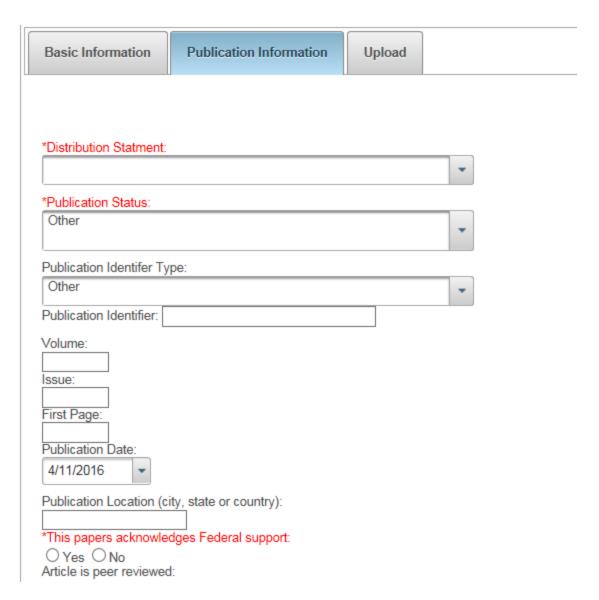
1. Publications

- a. Under Report Basic Information Tab:
 - i. Article Title
 - ii. Journal
 - iii. Authors (first name last name with multiple authors separated by comma)
 - iv. Keywords
 - v. Abstract

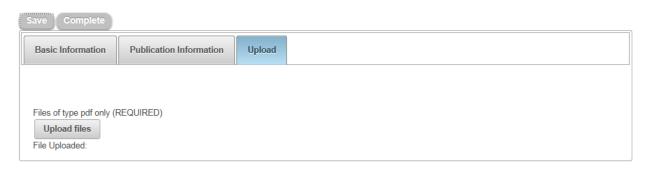


b. Under Publication Information Tab:

- i. Distribution Statement: Text (200 characters) describing whether distribution should be restricted
- ii. Publication Status (choice of: published, awaiting publication, accepted, under review, submitted, or other)
- Publication Identifier Type: A code that identifies what kind of unique identifier is associated with the publication (drop down selection between DOI, ISBN, ISSN, or Other)
- iv. Publication Identifier: The unique identifier for the publication
- v. Volume
- vi. Issue
- vii. First Page Number
- viii. Publication Date
- ix. Publication Location: The city and country where article was published
- x. Acknowledgement of Federal Support? (Yes/No)
- xi. Peer Reviewed? (Yes/No)



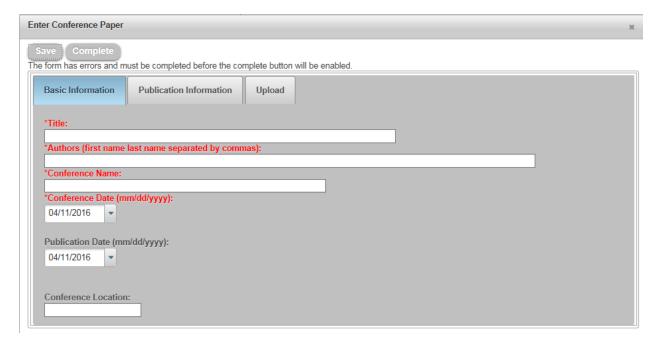
You only have to upload publications that have the status "published" or "awaiting publication", not for, "under review", "submitted" or "other". You may have to refresh your browser after "upload".



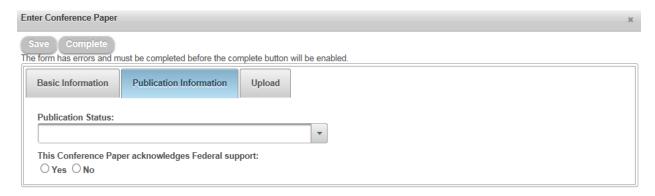
2. Conference Paper

- a. Under Report Basic Information Tab:
 - i. Title

- ii. Authors (first name last name with multiple authors separated by comma)
- iii. Conference Name
- iv. Conference Date
- v. Publication Date
- vi. Conference Location: The city and country where conference was held



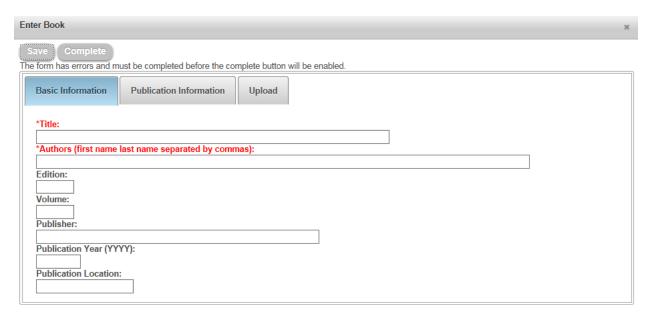
- b. Under Publication Information Tab:
 - i. Publication Status (choice of: published, awaiting publication, accepted, under review, submitted, or other)
 - ii. Publication Identifier Type
 - iii. Publication Identifier
 - iv. Acknowledgement of Federal Support? (Yes/No)



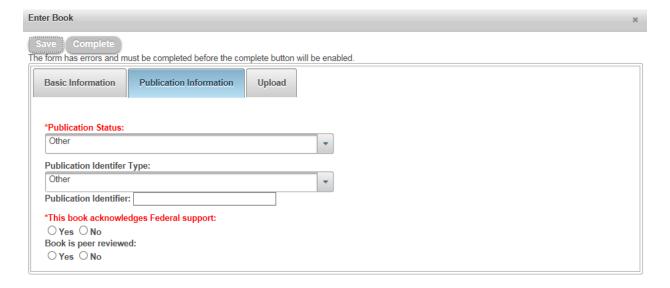
3. Book

- a. Under Publication Information Tab:
 - i. Title
 - ii. Authors (first name last name with multiple authors separated by comma)

- iii. Edition
- iv. Volume
- v. Publisher
- vi. Publication Year
- vii. Publication Location: The city and country where book was published
- viii. Publication Status: (choice of: published, awaiting publication, accepted, under review, submitted, or other)

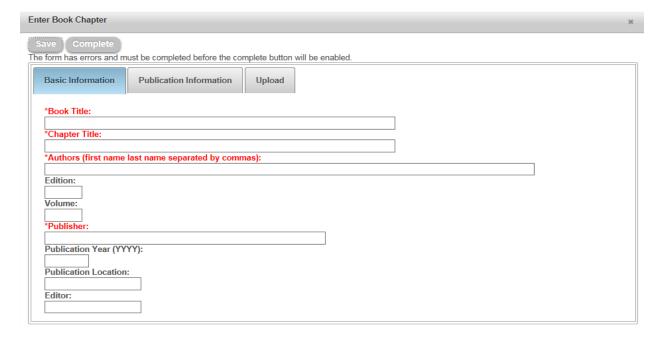


- b. Under Report Basic Information Tab:
 - i. Publication Identifier Type
 - ii. Publication Identifier
 - iii. Acknowledgement of Federal Support? (Yes/No)



4. Book Chapter

- a. Under Report Basic Information Tab:
 - i. Book Title
 - ii. Chapter Title
 - iii. Authors (first name last name with multiple authors separated by comma)
 - iv. Edition
 - v. Volume
 - vi. Publisher
 - vii. Publication Year
 - viii. Publication Location
 - ix. Editor



- b. Under Publication Information Tab:
 - i. Publication Status: (choice of: published, awaiting publication, accepted, under review, submitted, or other)
 - ii. Publication Identifier Type
 - iii. Publication Identifier
 - iv. Acknowledgement of Federal Support? (Yes/No)



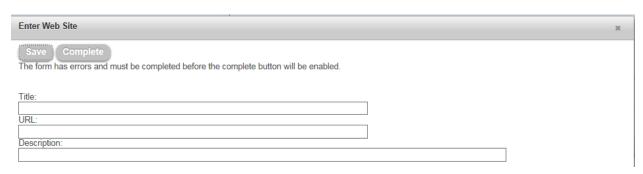
5. Thesis

- a. Title
- b. Institution
- c. Authors (first name last name with multiple authors separated by comma)
- d. Completion Date: The date dissertation was completed
- e. Acknowledgement of Federal Support? (Yes/No)

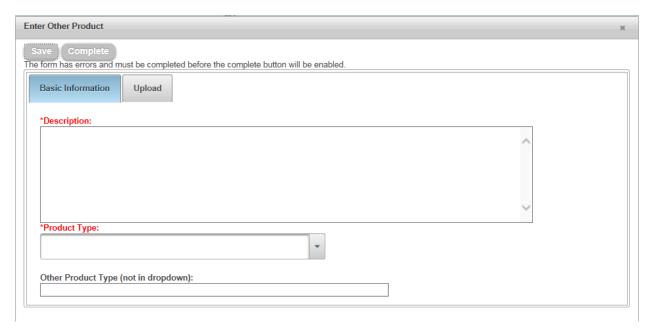


6. Website

- a. Title
- b. URL
- c. Description (8000) Characters



- 7. Other Products: Identify any other significant products that were developed under this project. Describe the product and how it is being shared.
 - a. Description
 - b. Product Type (drop-down: audio or video, databases, data and research material, educational aids or curricula, evaluation instruments, instruments or equipment, models, physical collections, protocols, software or NetWare, survey instruments, other).
 - c. Other Product Type (not in drop-down).



Complete

You must click the "Complete" button to finish and submit your report. You might have to scroll down the menu bar to see the "Complete" button. You cannot edit your report after it has been "completed".

Support:

Please refer technical questions regarding issues using the progress reporting website to usarmy.rtp.aro.mbx.extranet@mail.mil

Please direct questions regarding content to your program officer.

Please direct questions regarding the requirement for interim Research Performance Progress Report to onr.ncr.03R.list.annualreports@navy.mil

Thank you for your participation!

End of Reporting Instructions