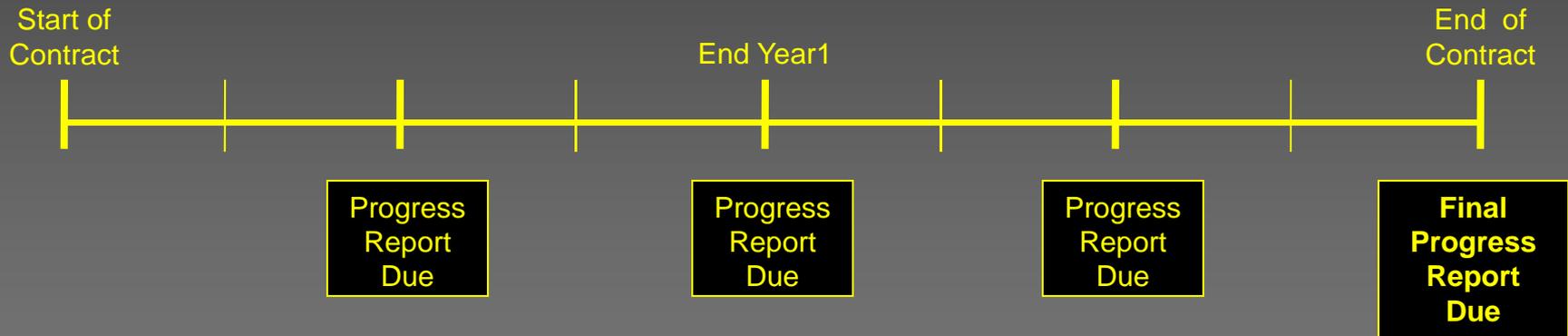


NYS Dept. of Health  
Extramural Grants Administration

Progress Reports

# Progress Report Timeline

## Example: 2 Year Contract Timeline



# Progress Report Requirements

- Periodic Progress Report due no later than 30 days after quarter end or per contract
- Final Progress Report due no later than 60 days after contract end or per contract
- Must be submitted electronically in MS Word
- Must be submitted on currently approved forms
- Publications must be submitted as .pdf files

# Common Progress Report Mistakes

- Insufficient detail provided in Progress Abstract and/or Scientific Progress areas
- Personnel Effort changes not explained
- Changes To Other Support incorrectly reported
- Programs not acknowledged in publications
- IACUC, IRB, and ESCRO, IBC assurances not provided or not up to date

# Why It Matters

- Vouchers can not be paid if Progress Reports are over due, incorrect or incomplete
- Continued funding depends on verifiable progress of each program-publications go to Governor, legislature, general public

# NYS Dept. of Health

## Extramural Grants Administration

### Progress Report Sections for All Contracts

- Section 1-Progress Report
- Section 2-Lay Abstract
- Section 3-Progress
- Section 4-Personnel Effort
- Section 5-Changes To Other Support
- Section 6-Publications
- Section 7-Patents and Licenses
- Section 8-Other Products of the Project
- Section 9-Training and Professional Development

# NYS Dept. of Health Extramural Grants Administration

## Additional Section for NYSTEM Shared Facility Contracts

- Section 10-Summary of Utilization

# Progress Report Form Cover

NYS Department of Health  
Wadsworth Center  
Extramural Grants Administration  
Scientific Research Progress Report Form

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**New York State Stem Cell Science Program ([nystemgrants@wadsworth.org](mailto:nystemgrants@wadsworth.org))**

General Research Projects  
Targeted Induced Pluripotent Stem Cells (iPS) Research Projects  
Targeted Human Embryonic Stem Cell (hESC) Research Projects  
Empire State Stem Cell Scholars: Fellow-to-Faculty Awards in Stem Cell Research

**Spinal Cord Injury Research Program ([scirb@wadsworth.org](mailto:scirb@wadsworth.org))**

CART and IDEA Research Projects  
Program Projects  
Mentored Research Scientist  
Mentored Clinician Scientist

**Breast Cancer Research and Education Program ([hrrsb@wadsworth.org](mailto:hrrsb@wadsworth.org))**

Rowley Research Projects

*Contractors must submit progress reports electronically in MS Word to the appropriate e-mail address above. Please enter the contract number in the subject line of the e-mail. The complete nine-part "Progress Report Form" should be submitted. Indicate "Nothing to Report" on any form where appropriate and insert blank consecutively numbered pages as necessary.*

January 2011

Use current  
version of  
correct form  
on Program  
web sites

# Progress Report Form Instructions

## Scientific Research Progress Report Form Completion Instructions:

The taxpaying public and its representative deserve a periodic assessment of the benefits of their investments. Through this standardized reporting format recipients help provide that assessment and demonstrate the value for State funding of research and education. The Principal Investigator is responsible for providing a well-organized and comprehensive report that includes the activities and progress of all collaborators, subcontractors, consultants and subprojects. Consecutively number all pages of this report, using additional pages as necessary. If there is nothing to report in a section during the reporting period, state "Nothing to Report."

**Section 1:** Complete the information requested. For contracts with subprojects, please include required information for each subproject; ensure each subproject is identified.

**Section 2, Lay Abstract:** Using lay language, briefly summarize the progress toward completion of the specific aims that has been made since the beginning of the contract. This text will be made public to demonstrate the success of the program. Use of previously submitted abstracts, including the one from the application, is not acceptable. Please be sure to define abbreviations. **DO NOT EXCEED 300 WORDS.** Use this format: Introduction/Background; Progress Toward Specific Aims; Future Directions; and Impact.

**Section 3, Progress:** Include a statement of each aim, followed by a detailed account of progress made toward its accomplishment during the reporting period. Include data to support findings. Include a discussion of stated aims not yet addressed. Describe briefly what you plan to do during the next reporting period to accomplish the aims. Describe any significant problems encountered that jeopardize the successful completion of the aims. Explain the implications of the problems encountered and the anticipated/planned solutions and/or adjustments. The PI is reminded that prior approval is required whenever there are significant changes in the project or its direction. If applicable, explain:

- The reason for eliminating or changing an original aim
- The relevance of any proposed modified or new specific aim(s) to the project's mission and research priorities
- Progress toward achievement of new or modified aims that were previously approved.

**Section 4, Personnel Effort:** List all personnel devoting effort to the project, including support personnel. Indicate the percentage of effort for all personnel as most recently reported. For any changes related to key personnel, prior approval is required. Describe any changes in role. Indicate date of change. The principal investigator must maintain at least the minimum percentage of effort indicated in the RFA.

**Section 5, Other Support:** Repeating the format shown, provide information on all sources of support for all key personnel. Total percentage of effort cannot exceed 100% for any individual from all active sources. Also report on all sources of funding received by the institution as a result of this award. If there has not been a change since the report was last submitted, please indicate "No Change."

**Section 6, Publications:** Research results must be disseminated and made easily available to the research community and the lay public in compliance with the terms of the contract (Appendix A-2). Using the format shown, provide a complete citation for each manuscript published during the reporting period. Indicate whether NYSYSTEM, SCIRB or HRSB funding contributed to the publication. If yes, attach a portable document format (.pdf) file, including all items in press or published (do not include those "in preparation" or "submitted"). Also indicate whether NYSYSTEM, SCIRB or HRSB funding is acknowledged in the publication.

**Section 7, Patents and Licenses:** Provide a list of all invention disclosures made, patents applied for or issued, or licenses issued during the reporting period that were developed, in whole or in part, with funds from this contract. Indicate the title of the disclosure, patent or license and the term for which the patent or license is in effect. NY investigators should also provide the NY Case Number, and

Please refer to instruction pages when filling out each section

Follow format requested and provide complete information

# Section 1- Progress Report

Include:

- Name of PI & grant or contract official
- Name of Institution
- Program Type-HRSB, SCIRB, NYSTEM
- Contract Number
- Report Number or Final Report
- Time period contract & report covers

# Section 1

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 1

## Scientific Research Progress Report

The Principal Investigator is responsible for providing a well-organized and comprehensive reporting that includes the activities and progress of all collaborators, subcontractors, consultants and subprojects. For contracts with subprojects, please include required information for each subproject; ensure each subproject is identified. Consecutively number all pages of this report, using additional pages as necessary. If there is nothing to report in a section during the reporting period, state "Nothing to Report."

Complete the information requested. For contracts with subprojects, please include required information for each subproject; ensure each subproject is identified.

Source of funds:

Check One  Breast Cancer Research [hrcb@wadsworth.org](mailto:hrcb@wadsworth.org)  Spinal Cord Injury Research [scrib@wadsworth.org](mailto:scrib@wadsworth.org)  NYS Stem Cell Research [nystemorans@wadsworth.org](mailto:nystemorans@wadsworth.org)

CONTRACT NO. \_\_\_\_\_ CONTRACT START DATE & END DATE \_\_\_\_\_

SEMI-ANNUAL PROGRESS REPORT  OR FINAL REPORT

REPORTING PERIOD: \_\_\_\_\_ to \_\_\_\_\_ DATE OF SUBMISSION: \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

PRINCIPAL INVESTIGATOR: \_\_\_\_\_

INSTITUTION: \_\_\_\_\_ ADDRESS: \_\_\_\_\_

TELEPHONE: \_\_\_\_\_ FAX: \_\_\_\_\_

E-MAIL: \_\_\_\_\_ WEBSITE: \_\_\_\_\_

CONTRACTS AND GRANTS OFFICIAL

NAME/TITLE: \_\_\_\_\_ TELEPHONE: \_\_\_\_\_

ADDRESS: \_\_\_\_\_ FAX: \_\_\_\_\_

E-MAIL: \_\_\_\_\_

**ASSURANCES:** By submission of this document the Principal Investigator and the Institution certifies that the statements in this report are true, complete and accurate to the best of their knowledge.

NOTE: SIGNATURES NOT REQUIRED

# Section 1 Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 1

## Scientific Research Progress Report

The Principal Investigator is responsible for providing a well-organized and comprehensive reporting that **includes the activities and progress of all collaborators, subcontractors, consultants and subprojects**. For contracts with subprojects, please include required information for each subproject; ensure each subproject is identified. Consecutively number all pages of this report, using additional pages as necessary. If there is nothing to report in a section during the reporting period, state “Nothing to Report.”

Complete the information requested. For contracts with subprojects, please include required information for each subproject; ensure each subproject is identified.

# Section 2- Lay Abstract

- Summary of progress covering the entire contract to date
- Use “lay language”
- Not a “Copy and Paste” of previous Abstract
- Progress Abstract information used for Annual Reports and other program publications

# Section 2-Lay Abstract

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 2

Scientific Research

Progress Report

LAY ABSTRACT

Using lay language, briefly summarize the progress toward completion of the specific aims that has been made since the beginning of the contract. This text will be made public to demonstrate the success of the program. Using copies of previously submitted abstracts, including the one from the application, is not acceptable. Please be sure to define abbreviations. **DO NOT EXCEED 300 WORDS.** Use this format: Introduction/Background; Progress Toward Specific Aims; Future Directions; and Impact.

- Address items as directed in instructions
- Do Not Exceed 300 Words

# Section 3- Progress

- In depth accounting of each stated aim
- Elimination or modifications to stated aims must be explained
- Justification of new aim to project required
- Description of progress on new aims
- Accounting of significant problems that jeopardize project and planned solutions

# Section 3-Progress Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 3

**Scientific Research**

**Progress Report**

**PROGRESS**

Include a statement of each aim, followed by a detailed account of progress made toward its accomplishment during the reporting period. Include data to support findings. Include a discussion of stated aims not yet addressed. Describe briefly what you plan to do during the next reporting period to accomplish the aims. Describe any significant problems encountered that jeopardize the successful completion of the aims. Explain the implications of the problems encountered and the anticipated/planned solutions and/or adjustments. **The PI is reminded that prior approval is required whenever there are significant changes in the project or its direction.** If applicable, explain:

- The reason for eliminating or changing an original aim
- The relevance of any proposed modified or new specific aim(s) to the project's mission and research priorities
- Progress toward achievement of new or modified aims that were previously approved.

**Read Instructions Carefully!**

Reporting requirements are specific to the type of contract.

**Include Data** to support stated findings (charts, graphs, pictures, and text)

# Section 4- Personnel Effort

- List all personnel funded by award-including support staff
- Indicate % Effort of all “Key” personnel as approved when project was funded
- Describe all changes to % Effort and date of change
- Note: PIs must maintain minimum % Effort as indicated in the RFA

# Section 4-Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 4

**Scientific Research  
Progress Report**

**PERSONNEL EFFORT**

List all personnel devoting effort to the project, including support personnel. Indicate the percentage of effort for all personnel as most recently reported. For any changes to key personnel, prior approval is required. Describe any changes in role. Indicate date of change. The principal investigator must maintain at least the minimum percentage of effort indicated in the RFA.

NAME	% OF EFFORT LAST REPORTED	CURRENT % OF EFFORT	KEY or SUPPORT PERSONNEL	FUNDED or NOT FUNDED BY THIS AWARD	DESCRIBE ROLE OR NEW ROLE	DATE OF CHANGE

**PI must maintain minimum % Effort required by RFA**

# Section 5- Other Support

- Complete only if there has been a change since last report
- Use reporting format requested on page
- Use extra pages as needed
- Note: Total Percent Effort can not exceed 100% for any individual from all Active sources

# Section 5-Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 5

**Scientific Research**

**Progress Report**

**OTHER SUPPORT**

Repeating the format shown, provide information on all sources of support for all key personnel. Total percentage of effort cannot exceed 100% for any individual from all active sources. Also report on all sources of funding received by the the institution as a result of this award. If there has not been a change since the report was last submitted, please indicate "No Change."

NAME OF PI OR KEY PERSONNEL \_\_\_\_\_

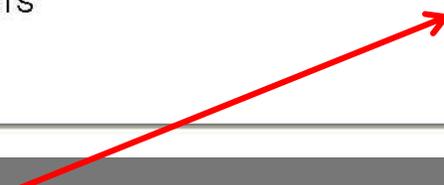
THIS NYS-FUNDED CONTRACT CONTRIBUTED TO THE REQUEST FOR THIS OTHER SUPPORT  YES  NO

ACTIVE or  PENDING FUNDING

GRANT/CONTRACT NUMBER (PI NAME)  
SOURCE  
TITLE OF PROJECT (OR SUBPROJECT)  
THE MAJOR GOALS OF THIS PROJECT ARE...

DATES OF ACTIVE/PENDING AWARD  
ANNUAL DIRECT COSTS

PERCENT EFFORT



**Total % Effort can not exceed 100% for any individual  
from all Active funding sources**

# Section 6- Publications

- Complete only if activity in requested areas
- Include only items “in press”
- Include .pdf attachments with Progress Report
- Publications information used for Annual Reports and other program publications
- Note: Publications must acknowledge program support

# Section 6-Form

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 6

Scientific Research

Progress Report

PUBLICATIONS

Research results must be disseminated and made easily available to the research community and the lay public in compliance with the terms of the contract (Appendix A-2). Using the format shown, provide a complete citation for each manuscript published during the reporting period. Indicate whether NYSTEM, SCIRB or HRSB funding contributed to the publication. If yes, attach a portable document format (.pdf) file, including all items in press or published (do not include those "in preparation" or "submitted"). Also indicate whether NYSTEM, SCIRB or HRSB funding is acknowledged in the publication.

Publication Type	NYSTEM, SCIRB or HRSB Funding	
	Contributed (yes/no) If yes, attach .pdf file	Acknowledged (yes/no)
<b>JOURNAL ARTICLES</b> Example: Mouse M, Duck D, Fudd E, LePew P. "Effect of Combining Disney and Looney Tunes Characters." Nature. 2009; 45(3):318-324.		
<b>CHAPTERS</b> Example: Ella C and Charming P. "The Biomechanics of Glass Slippers." Chapter: Deciphering Magical Phenomena: A Multidisciplinary Perspective, pp. 10-18. New York, New York, 2009.		
<b>MEETING ABSTRACTS</b> Example: Staph B and Coli E. "The Journey of a Germ." Meeting abstract, 3rd Annual Meeting of the Society For The War Against Disease. Washington, D.C., November 15-19, 2008.		
<b>OTHER PRESENTATIONS</b> Example: Astro N. "Expanding the Frontiers of Space." Presentation, Smithsonian Institute, Air and Space Museum. Washington, D.C., February 20, 2009.		

# Section 6-Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 6

**Scientific Research**

**Progress Report**

**PUBLICATIONS**

Research results must be disseminated and made easily available to the research community and the lay public in compliance with the terms of the contract (Appendix A-2). Using the format shown, provide a complete citation for each manuscript **published during the reporting period**. Indicate whether NYSTEM, SCIRB or HRSB funding contributed to the publication. If yes, attach a portable document format (.pdf) file, including all items in press or published (do not include those “in preparation” or “submitted”). Also indicate whether NYSTEM, SCIRB or HRSB funding is acknowledged in the publication.

Publication Type	NYSTEM, SCIRB or HRSB Funding	
	Contributed (yes/no) if yes, attach .pdf file	Acknowledged (yes/no)
<b>JOURNAL ARTICLES</b> Example: Mouse M, Duck D, Fudd E, LePew P. “Effect of Combining Disney and Looney Tunes Characters.” Nature. 2009; 45(3):318-324.		

- See contract for specific language to acknowledge programs
- Include .pdf files of all publications cited

# Section 7- Patents and Licenses

- Complete as instructed only if activity in requested areas
- Provide description of invention, potential importance, and efforts or plans for commercialization
- Note: Do not submit confidential information

# Section 7-Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 7

**Scientific Research**

**Progress Report**

**PATENTS AND LICENSES**

Provide a list of all invention disclosures made, patents applied for or issued, or licenses issued **during the reporting period** that were developed, in whole or in part, with funds from this contract. Indicate the title of the disclosure, patent or license and the term for which the patent or license is in effect. NY investigators should also provide the NY Case Number, and investigators at other institutions should provide reference information such as internal case docket numbers together with other available information that has been made public, if any (e.g. other identifier numbers and date of the filing). Describe the invention and its potential importance. Do not submit confidential information in this description; it may be made public to demonstrate the success of the program. Provide a copy of the executed disclosures or agreements (e.g., invention disclosures, patent filings, licenses) marked “Proprietary/Confidential.”

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# Section 8- Other Products of the Project

- Complete as instructed only if activity in requested areas
- Provide information as appropriate



# Section 8-Detail

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 8

**Scientific Research**

**Progress Report**

**OTHER PRODUCTS OF THE PROJECT**

List and describe any other products resulting from the project. These may include:

- Websites or other internet products
- Technologies or techniques
- Databases, software
- Curricula, educational aids, audio or video products
- Research Material (e.g. cell lines, probes, animal models, assays)
- Other

Indicate how these products are being shared/made available.

---

**Remember:** Indicate how products are being shared

## Section 8-Detail

In the table below, list all requests for research materials/resources developed under the contract. Provide a copy of the executed disclosures or agreements (e.g., material transfer, collaboration, confidentiality/non-disclosure) used for sharing such products marked "Proprietary/Confidential."

Material/Resource Requested	Requestor Name	Requesting Institution	Date of Request	Date Provided

Financial and proprietary terms may be redacted, providing that the remaining text clearly: identifies the subject invention/discovery/material/method/technology, etc.; identifies the parties to the agreement such that they can be contacted if necessary; and allows DOH to verify that the terms of the agreement conform to contract requirements with regard to the state's rights, etc.

# Section 9- Training and Professional Development

- Complete as instructed only if activity in requested areas
- Provide information as appropriate

# Section 9

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 9

**Scientific Research**

**Progress Report**

**TRAINING & PROFESSIONAL DEVELOPMENT**

Describe opportunities for training and professional development provided to those who worked on the project or were involved in activities supported by the project. Training activities may include courses or one-on-one mentoring. Professional development activities result in increased knowledge or skill in an individual's area of expertise, e.g. workshops, seminars that are not listed elsewhere in the report.

*For awards that specifically require mentoring and career development activities, this Section must be completed by the mentor and specifically address the career development plan included in the contract.*

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For NYSTEM Shared Facility  
Contracts

Section 10-  
Summary of Utilization

# Section 10- Summary of Utilization

- Complete as instructed only if activity in requested areas
- Provide information as appropriate

# Section 10-Summary of Utilization

NYS Department of Health – Wadsworth Center – Extramural Grants Administration

Section 10

**Shared Facilities**

**Progress Report**

**SUMMARY OF UTILIZATION**

Estimate the percentage of stem cell related usage of the facility or resource. \_\_\_%

Describe steps taken toward accomplishing the self-sustaining status of the facility or resource by the end of the contract period.

---

Discuss any issues, concerns and possible solutions with regard to capacity, utilization or sustainability.

---

At least 50% of facility usage must be for stem cell related projects

# Section 10-Summary of Utilization

Complete the Summary of Utilization table by PI and Institution, including (add rows/pages as necessary):

- Equipment, facility or resource name
- PI name
- PI institution
- Quantity of use as identified by an appropriate unit of measure for that instrument, facility or resource (e.g., number of tests, number of samples, number of runs, minutes or hours).

Equipment/Facility/Resource	PI Name	PI Institution	Quantity and Unit of Measure

# NYS Dept. of Health Extramural Grants Administration

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[nystemgrants@wadsworth.org](mailto:nystemgrants@wadsworth.org)