Learn More: Reporting

November 2019

🐾 **Objectives**

🐾 **Frequent Types of Reports**

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Objectives

- Increased awareness of types of frequently required reports

- Understanding of typical requirements which vary by funding agency

- Best practices

- Tools available

Frequent Types of Reports

- Research Performance Progress Report (RPPR)

- Programmatic/Technical

- Financial - Including Cost Share

- Intellectual Property

- Equipment

- Financial Conflict of Interest

Agency – Specific

National Institutes of Health-Research Performance Progress Report (RPPR)

- Documents grantee's accomplishments and compliance with terms of award
(e.g. Personnel, effort, unobligated balance, publications, regulatory)

- Three types of RPPRs, all of which use the NIH RPPR Instruction Guide

- Only the Principal Investigator (PI) or their PI delegate can initiate RPPRs
  - PI can delegate "Progress Report" to any eRA Commons user in their organization with the Assistant (ASST) role.
  - Delegation provides the ASST with the ability to prepare Annual, Interim and Final RPPRs on behalf of the PI.

National Institutes of Health-Research Performance Progress Report (RPPR)

Type of RPPR	Purpose	Due Date
Annual	Describes a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.	**Streamlined Non-Competing Award Process (SNAP):** 45 days before the next budget period start date. **Non-SNAP:** 60 days before the next budget period start date.
Interim	Use when submitting a **renewal (Type 2)** application. • If the Type 2 is not funded, the Interim RPPR will serve as the Final RPPR for the project. • If the Type 2 is funded, the Interim RPPR will serve as the **annual** RPPR for the final year of the previous competitive segment.	120 days from period of performance end date for the competitive segment
Final	Part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.	120 days from period of performance end date for the competitive segment

Agency – Specific

National Institutes of Health-Research Performance Progress Report (RPPR)

Best Practices

Section D: Participants:

- Provide or update the information for: (1) PIs; and (2) **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.

- Provide the name and identify the role the person played in the project. Indicate the **nearest whole person month** (Calendar, Academic, Summer) that the individual worked on the project.

- A Commons ID is required for all individuals with a postdoctoral, graduate or undergraduate role (NOT-OD-13-097). The Commons ID is also required for individuals supported by a Diversity Supplement.

Agency – Specific

National Institutes of Health-Research Performance Progress Report (RPPR)

Best Practices

Section G.10: Estimated Unobligated Balance:

- 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? If yes, provide the estimated unobligated balance.

Unobligated balance	The amount of funds authorized under a Federal award that the non-Federal entity has not obligated. The amount is computed by subtracting the cumulative amount of the non-Federal entity's unliquidated obligations and expenditures of funds under the Federal award from the cumulative amount of the funds that the Federal awarding agency or pass-through entity authorized the non-Federal entity to obligate.

- NU RES [Unobligated Balance Calculator](#)
- Must include a **detailed explanation** of the circumstances of the unobligated balance and how it will be used in the next budget period.

Agency – Specific

National Institutes of Health-Research Performance Progress Report (RPPR)

Best Practices

Section C: Products *(generated <u>during the reporting period)</u>*

Publications	Must be included in Section C to be
Websites	acknowledged by NIH. If Products are
Technologies/Techniques	described elsewhere in the RPPR (e.g. in
Inventions/Patent Applications/Licenses	the Accomplishments section), the
Resource Sharing	Products will not be acknowledged by NIH.

Agency – Specific

National Science Foundation- Technical Reporting Requirements

Information from these reports is used in annual reports to Congress to demonstrate NSF's performance as mandated by the Government Performance and Results Act (GPRA) of 1993.

- Only Principal Investigators (PIs) and co-PIs can create, edit and submit project reports via Research.gov

- NU RES staff and administrative users with read-only access can view project reports
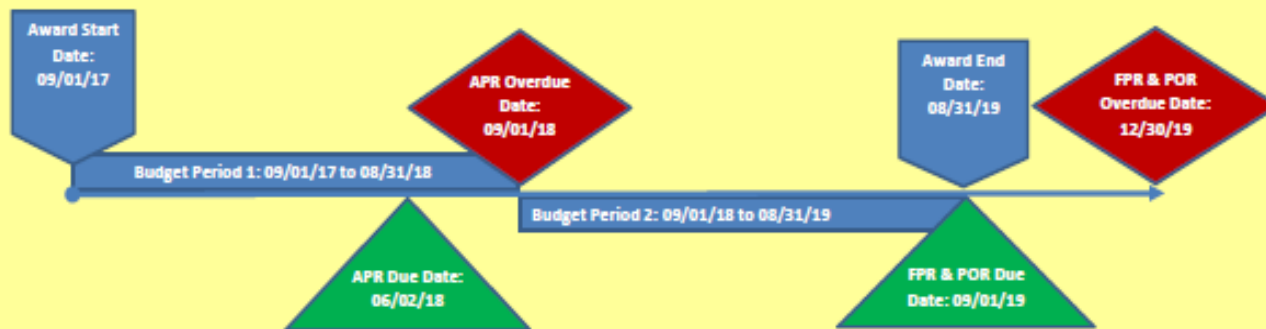
NSF Project Reports and Reminder Email Schedule

(*Updated October 2017*)

Project Report Example:

NSF award starts on 09/01/17 and ends on 08/31/19

Three reporting periods:
1. 09/01/17- 08/31/18 - Annual Project Report
2. 09/01/18- 08/31/19 - Final Project Report
3. 09/01/17 - 08/31/19 - Project Outcomes Report

Award Start Date: 09/01/17

APR Overdue Date: 09/01/18

Award End Date: 08/31/19

FPR & POR Overdue Date: 12/30/19

Budget Period 1: 09/01/17 to 08/31/18

Budget Period 2: 09/01/18 to 08/31/19

APR Due Date: 06/02/18

FPR & POR Due Date: 09/01/19

	Annual Project Report Year 1	**Final Project Report**	**Project Outcomes Report**
Report Due Process			
When is the first report due reminder email sent?	90 days prior to the end of the budget period. In our example, the first report due reminder email is sent on 06/02/18.	In our example, the first report due reminder email is sent on 09/01/19.	In our example, the first report due reminder email is sent on 09/01/19.
Who receives the report due reminder emails?	Principal Investigator (PI), all co-PIs, and all Sponsored Project Offices (SPO) associated with the award	PI, all co-PIs, and all SPOs associated with the award	PI, all co-PIs, and all SPOs associated with the award. The cognizant NSF Program Officer (PO) is copied on the email.
How often are report due reminder emails sent?	Annual project reports should be submitted electronically no later than 90 days prior to the end of the current budget period, to allow adequate time for the PO to review and approve the report. Reminder emails are sent at beginning of 90, 60, and 30 days until the end of the current budget period. In our example, reminders are sent on 06/02/18, 07/02/18, and 08/01/18, as long as the report is not submitted.	The final project report should be submitted electronically no later than 120 days following the end date of the grant. Reminder emails are sent beginning the day after the expiration of the grant and on the 30th, 60th, and 90th days thereafter. In our example, reminder emails are sent on 09/01/19, 9/30/19, 10/30/19, and 11/29/19, as long as the report is not submitted.	The project outcomes report for the general public should be submitted electronically no later than 120 days following the end date of the grant. Reminder emails are sent beginning the day after the expiration of the grant and on the 31st day and 61st day thereafter. In our example, reminder emails are sent on 09/01/19, 10/01/19, and 10/31/19.
Report Overdue Process			
When does the report become overdue?	Annual project reports should be submitted no later than 90 days prior to the end of the current budget period, to allow adequate time for the PO to review and approve the report. The report becomes overdue on 09/01/18, in our example.	The final project report should be submitted electronically no later than 120 days following the end date of the grant. For the reporting period 09/01/18 - 08/31/19 in our example, the report becomes overdue on 12/30/19.	The project outcomes report for the general public should be submitted electronically no later than 120 days following the end date of the grant. For the reporting period 09/01/18 - 08/31/19 in our example, the report becomes overdue on 12/30/19.
When is the first report overdue reminder email sent?	The first report overdue reminder email is sent on 09/01/18, in our example.	The first report overdue notice email is sent on 12/30/19, in our example.	The first report overdue notice email is sent on 12/30/19, in our example.

Agency – Specific

Consequences of Delinquent Reports

NSF: Failure to submit timely reports will delay NSF review and processing of pending proposals for all identified PIs and coPIs on this award. It will also delay processing of administrative actions, including, but not limited to, no cost extensions. In the case of continuing grants, failure to submit timely reports may delay processing of funding increments.

NIH Closeout: Failure to submit timely and accurate closeout documents may affect future funding **to the organization and/or the named Principal Investigator.** NIH may also impose sanctions that could include, but are not limited to, corrective actions, removal of authorities, and/or delay or withholding of further awards.

National Science Foundation- Technical Reporting Requirements

Type of Report	Purpose	Due Date
Annual	• Address progress in all activities of the project, including any activities intended to address the Broader Impacts criterion. • Not cumulative and should be written specifically for the most recently completed budget period.	90 days prior to the end of the current budget period
Final	• Address progress in all activities of the project, including any activities intended to address the Broader Impacts criterion. • Not cumulative; it is the last annual report of the project and should be written specifically for the most recently completed budget period. • By submitting the final project report, the PI is confirming that the scope of work for the project has been completed and that no further research activities (including a no-cost extension, supplemental funding, or transfer of the grant) are needed.	120 days following the end date of the grant
Project Outcomes Report for the General Public (POR)	• Serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project.	120 days following end date of the grant.

Financial Reports

National Institutes of Health-Federal Financial Report (FFR)

- Prepared and submitted by NU RES – Research Finance

- SF 425 Form used to submit financial information about individual grant awards.
- Cash transaction data is reported on a **quarterly basis** directly to the Payment Management System (PMS).

- **Non-SNAP Awards: F**FR required after within 90 days after the end of each budget period end date

- **SNAP Awards:** only FFR submitted is the Final FFR

- **Final FFR:** Due within 120 days after the end of the competitive segment.

Financial Reports

National Science Foundation

- During the life of an award, NU RES- Research Finance requests payment from NSF electronically through ACM$.

- NSF does not require grantees to submit FFRs for each award for purposes of final award accountability. NSF procedures have been designed to extract the final financial data from the entries in ACM$.

- NSF will financially close awards 120 days after the award end date and the award will be removed from the ACM$ payment screen for active awards. Any remaining funds that exceed the final payment amount will be deobligated from the award so the net award balance will equal total payments.

Financial Reports

National Science Foundation- <u>Mandatory</u> Cost Share Report

- Must be documented and reported to NSF on an annual and final basis

- Certified and submitted by the AOR (NU RES)

- **Annual Reports Due**: 90 days prior to the end of the current budget period

- **Final Reports Due**: 120 days following the end date of the of the grant

Intellectual Property Reports

National Institutes of Health

Type of Report	Description	Due Date
Invention Disclosure	No single format for disclosing the invention to NIH. However, the disclosure must include: • Detailed technical description; • The names of all inventors; title of the Subject Invention; all federal funding agreement numbers; date of disclosure of the Subject Invention from the researcher or inventor to the Recipient; and • Whether a manuscript describing the invention was submitted, accepted and/or published. CRI submits to NIH via iEdison	Ongoing; Report to NIH within 2 months of the inventor's disclosure to the recipient organization (NU).
Annual Invention Statement	Requirement to indicate any inventions made during the previous budget period in Section C of the Research Performance Progress Report (RPPR).	**Streamlined Non-Competing Award Process (SNAP):** 45 days before the next budget period start date. **Non-SNAP:** 60 days before the next budget period start date.
Final Invention Statement and Certification	NU RES submits to the NIH awarding IC CGMO through the **eRA Closeout Module** a summary of all inventions made during the entire term of each grant award (RES Admin submits Form HHS 568), as well as in iEdison (submitted by CRI).	Within 120 days after the project period (competitive segment) ends.

Intellectual Property Reports

National Science Foundation

Type of Report	Description	Due Date
Invention Disclosure	Disclosure must include: • Detailed technical description; • The names of all inventors; title of the Subject Invention; all federal funding agreement numbers; date of disclosure of the Subject Invention from the researcher or inventor to the Recipient; and • Whether a manuscript describing the invention was submitted, accepted and/or published. CRI submits to NSF via iEdison	Ongoing; Report to NSF within 2 months of the inventor's disclosure to the recipient organization (NU).
Annual Invention Statement	Requirement to indicate any inventions made during the previous budget period the Research Performance Progress Report (RPPR).	90 days prior to the end of the current budget period
Final Invention Statement and Certification	Requirement to indicate any inventions made during the previous budget period the Research Performance Progress Report (RPPR). CRI submits to NSF via iEdison	120 days following end date of the grant.

Equipment

Equipment = original acquisition cost of $5,000+ and a useful life of 1 year+

Standards for managing, tracking and disposing of equipment furnished by federal agency described in 2 CFR 200.310-316

Title to equipment vests with NU subject to the following conditions:

(1) Use the equipment for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project.

(2) Not encumber the property without approval of the Federal awarding agency or pass-through entity.

(3) Use and dispose of the property in accordance with 1 & 2 above.

Equipment

Property records must be maintained that include:

- a description of the property;
- a serial number or other identification number;
- the source of funding for the property (including the FAIN);
- who holds title;
- the acquisition date;
- and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired;
- the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

A physical inventory of the property must be conducted, and the results reconciled with the property records at least once **every two years.**

Financial Conflict of Interest Reports

National Institutes of Health

45 CFR Part 50, Subpart F[1]

Responsible Party	Action	Due Date
PIs and any Senior/Key Personnel responsible for the design, conduct or reporting of a research project (regardless of compensation) ("Investigators")	Must report SFI or Sponsored Travel[2]	Disclose to NU annually; and within 30 days following the date on which the SFI is acquired or arises. Sponsored Travel= disclose to NU within 30 days following reimbursement or within 30 days of completion of the trip.
NU RES Administration	Submits FCOI reports to the PHS Awarding Component regarding all financial conflicts of interest of NU and NU's subrecipient Investigators	Prior to the expenditure of funds and within 60 days of any subsequently identified FCOI.

[1] PHS FCOI Policy also applies to these foundations
[2] NU Policy on Financial Conflict of Interest Related to Research

Financial Conflict of Interest Reports

National Science Foundation

NSF PAPPG Chapter IX

Responsible Party	Action	Due Date
"Investigators" (PI, Co-PI, and any other person identified on the proposed project responsible for the design, conduct or reporting of research/prpoject)	Must report SFI[1]	Disclose to NU at the time of proposal and updated annually; and within 30 days following the date on which the SFI is acquired or arises. Sponsored Travel= disclose to NU within 30 days following reimbursement or within 30 days of completion of the trip.
NU RES Administration	Submits FCOI reports to NSF	Prior to the expenditure of funds and within a reasonable period any subsequently identified FCOI.

[1] NSF PAPPG Chapter IX(A)((2)

Best Practices

- Review award notices in full to understand reporting and other requirements
- Meet with PIs often to review reportable data (e.g. effort, costs)
- Be proactive! Consider creating a schedule of reports per each award...

For example, NIH "Pending Progress Reports" query [tool](#) will return a list of progress reports that are listed as "due" within the next 4 months for a selected grantee institution. To find an institution, you must enter the complete IPF number. NU's IPF # is 6116101.

Note that any record showing as Yes to "SNAP" is actually due on the 15th of the month instead of the 1st as shown in the query results.

Resources

NSF "About Project Reports": FAQs, templates, guides

NIH RPPR How To and Instructions

NIH "Pending Progress Reports" query tool

NU RES Unobligated Balance Calculator

Questions? We're here to help!
Contact your colleagues in NU RES or
NU-RES@northeastern.edu