Learn More: Reporting

November 2019
Objectives

Frequent Types of Reports

Agency Specific

Best Practices

Resources
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)

<table>
<thead>
<tr>
<th>Type of RPPR</th>
<th>Purpose</th>
<th>Due Date</th>
</tr>
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<tbody>
<tr>
<td>Annual</td>
<td>Describes a grant’s scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.</td>
<td>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.</td>
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| 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.
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.

- 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 during the reporting period)*

Publications Must be included in Section C to be acknowledged by NIH. If Products are described elsewhere in the RPPR (e.g. in the Accomplishments section), the Products will not be acknowledged by NIH.

Websites

Technologies/Techniques

Inventions/Patent Applications/Licenses

Resource Sharing
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. 09/01/19 - 08/31/19 - Project Outcomes Report

## Annual Project Report Year 1

| Report Due Process | 09/01/17
<table>
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<tr>
<td><strong>When is the first report due reminder email sent?</strong></td>
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| Report Due Process | 09/01/18
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## Final Project Report

| Report Overdue Process | 08/31/19
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<td><strong>When does the report become overdue?</strong></td>
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<td><strong>When is the first report overdue reminder email sent?</strong></td>
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</table>

## Project Outcomes Report

| Report Overdue Process | 12/30/19
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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

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<td>Annual</td>
<td>• 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.</td>
<td>90 days prior to the end of the current budget period</td>
</tr>
<tr>
<td>Final</td>
<td>• 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.</td>
<td>120 days following the end date of the grant</td>
</tr>
<tr>
<td>Project Outcomes Report for the General Public (POR)</td>
<td>• Serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project.</td>
<td>120 days following end date of the grant.</td>
</tr>
</tbody>
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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:** FFR 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- **Mandatory** 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 grant
## Intellectual Property Reports

### National Institutes of Health

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<tr>
<th>Type of Report</th>
<th>Description</th>
<th>Due Date</th>
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<tr>
<td>Invention Disclosure</td>
<td>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.</td>
<td>Ongoing; Report to NIH within 2 months of the inventor’s disclosure to the recipient organization (NU).</td>
</tr>
<tr>
<td></td>
<td>CRI submits to NIH via iEdison</td>
<td></td>
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<tr>
<td>Annual Invention Statement</td>
<td>Requirement to indicate any inventions made during the previous budget period in Section C of the Research Performance Progress Report (RPPR).</td>
<td>Streamlined Non-Competing Award Process (SNAP): 45 days before the next budget period start date.</td>
</tr>
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<td></td>
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<td>Non-SNAP: 60 days before the next budget period start date.</td>
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<tr>
<td>Final Invention Statement and Certification</td>
<td>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).</td>
<td>Within 120 days after the project period (competitive segment) ends.</td>
</tr>
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## Intellectual Property Reports

### National Science Foundation

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<td>Invention Disclosure</td>
<td>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.</td>
<td>Ongoing; Report to NSF within 2 months of the inventor’s disclosure to the recipient organization (NU).</td>
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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

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<th>Responsible Party</th>
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| 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**

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<tr>
<td>“Investigators”</td>
<td>Must report SFI$^1$</td>
<td>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.</td>
</tr>
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<td></td>
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<td>Sponsored Travel= disclose to NU within 30 days following reimbursement or within 30 days of completion of the trip.</td>
</tr>
<tr>
<td>NU RES Administration</td>
<td>Submits FCOI reports to NSF</td>
<td>Prior to the expenditure of funds and within a reasonable period any subsequently identified FCOI.</td>
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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