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Purpose

This QuickCard outlines the standing operating procedure (SOP) for NU-RES Research Administration (RA) in monitoring overdue programmatic reports that are submitted directly to the funding agency by the Principal Investigator (i.e., progress reports that do not require institution signature).

The majority of external funding agencies require the submission of interim, annual and/or final programmatic reports. These reports allow the funding agency to monitor the performance and progress of the funded project. Progress reports also provide an opportunity for the NU Principal Investigator (PI) to identify any potential problems, highlight accomplishments, and list publications arising from the project. Failure to provide progress reports in a timely manner may jeopardize future award funding.

Definitions

Annual Progress Report: Generally, an annual progress report is required to be submitted using the standardized Research Performance Progress Report (RPPR) ¹.

Interim and Final Progress Reports²: Requirements vary by sponsor; the deadlines and content of scientific and technical reports are usually detailed in the notice of award or in the agency's guidance. Report due dates are often tied to the release of interim or final payments. Interim and Final Progress Reports typically include a summary of the project or activity to date or throughout the funding period, achievements of the project or activity, publications, and a discussion of overall successes and issues experienced in conducting the project or project activities.

National Science Foundation (NSF) Project Outcomes Report: A report written for new and existing awards, specifically for the public, that provides insight into the outcomes of NSF-funded research.

Overdue Progress Report: Generally, a report becomes overdue the day after the due date of that report.

¹ Research Performance Progress Report (RPPR) [Agency Implementation Plans](#)

² Please also refer to the NU-RES Closeout Quick SOP [here](#).

Monitoring by NU-RES and Tracking of Overdue Reports

NU-RES monitors (verifies and tracks) the submission of programmatic reports that are submitted directly by the PI based on tracking information received in one of two ways:

1. **NSF Awards:** NU-RES runs a monthly report from NSF's Research.gov, which lists programmatic reports due within ninety (90) days or that are overdue. This report ("NSF Programmatic Reports Due By" Report) includes those programmatic reports due at any point in time from ninety (90) days prior to their due date and includes past due reports (those with a status of "overdue").
 - a. The NSF Programmatic Reports Due By report is sorted by college and sent to the College Department Administrators by the Grant Management Administrator (GMA). College Administrators work directly with the PIs to submit the reports in advance of the due date or to submit overdue reports as soon thereafter as possible.
 - b. If a report has not been submitted at least 15 days prior to its due date or in cases where reports are past due (e.g., NU-RES receives the email notice from NSF that a report is overdue), the transaction will be logged on the NU-RES RA tracking log and assigned to the relevant Grant & Agreement Officer (GO) in NU-RES. The GMA performs initial intake as follows:
 1. Assigns U#
 2. Sends an acknowledgement/notice email to PI/Dept Administrator.
2. **Awards from all other funding agencies:** A funding agency may send an email to NU-RES indicating that a programmatic report is overdue. The overdue report transaction will be logged on the tracking log and assigned to the relevant Grant & Agreement Officer (GO) in NU-RES. The GMA performs initial intake as follows:
 1. Assigns U#
 2. Sends an acknowledgement/notice email to PI/Department Administrator.

Follow-Up and Escalation Process

Upon receipt of the tracking number and email from the NU-RES GMA, the GO assigned to the College is responsible for communicating with the PI and College Department Administrator and request they provide the overdue report as soon as possible.

NSF Awards: The GMA will continue to send monthly reports to the Department Administrator at intervals of ninety (90), forty-five (45) and fifteen (15) days prior to the report's due date. At the 15- day interval, the GO will follow up with the PI, Department Administrator, and copy the College's Associate Dean for Research (ADR).

Awards from all other Funding Agencies: The GO will continue to follow up with the PI and Department Administrator, and cc: NU-RES@northeastern.edu from the date of receipt of the email from the funding agency until the matter is resolved to the satisfaction of the funding agency.

Escalation Process

If the programmatic report has not been submitted to funding agency within 2 weeks of the GO following up with the PI and Department Administrator, the GO will escalate the record to the Associate Director. The Associate Director will follow up with the ADR, the PI and Department Administrator, and cc: NU-RES@northeastern.edu and GO, reiterating the importance of submitting the overdue report.

Reports overdue by 30 or more days will be reported to the Vice Provost for Research Administration (VPRA) or their designee. The VPRA will then communicate with the ADR, PI and Department Administrator. The VPRA will request that the PI and Department Administrator provide an email confirmation of report submission to NU-RES@northeastern.edu and GO.

Completion of Transaction

Once the report has been submitted, the GMA will close the overdue report transaction on the NU-RES tracking log.

SOP for Overdue Programmatic Reports Submitted Directly by Principal Investigator

Appendix 1: Reporting Timelines* by Sponsor for Reports Submitted Directly by the PI

Agency	Annual Progress Report	Final Progress Report	Project Outcomes Report	Overdue Progress Report
NSF	Due during the 90 days prior to the end date of the current budget period.	Due no later than 120 days following the end date of the award.	Due no later than 120 days following the end date of the award.	<ul style="list-style-type: none"> Annual Reports become Overdue at the end of the budget period (i.e., the day after the 90-day period ends). Final Progress Reports become Overdue on day 121 following the end date of the award. Project Outcomes Reports become Overdue on day 121 following the end date of the award.
Air Force Office of Scientific Research (AFOSR)	Due on the anniversary of the effective date.	Must include completed SF298. Due 90 days after performance period end date.	N/A	Reports become overdue the day following the due date.
Army Research Office (ARO) and Army Research Laboratory (ARL)	May vary, but generally due annually, within 30 days after July 31.	Due within 90 days after performance period end date.	N/A	Reports become overdue the day following the due date.
Department of Energy (DOE) Office of Science	Annual RPPR due 90 days prior to the next increment, submitted by PI via DOE/PAMS system	Due 90 days after final expiration, submitted by PI via DOE/ PAMS system	N/A	Reports become overdue the day following the due date.

*The timelines above are general. Be sure to review the reporting requirements of a specific Notice of Award to determine actual reporting timelines.