Institution Procedures to Assist Investigators with Timely Project Reporting

Notifications

The following procedure has been developed by the Controller's Office and Grant and Contract Services (GCS), in consultation with the Department Administrators to ensure that reports are submitted on time and in compliance with award terms and conditions. The notifications are intended to assist the PI with meeting deadlines but do not absolve them from knowing the reporting requirements and deadlines for their own projects.

- Award Terms & Conditions

    Each award received by WHOI comes with specified Terms and Conditions (T&C) that include requirements for Technical and Financial reports. The number and frequency of the reports and the due dates vary greatly from one Funding Agency to the next but all are legal requirements. The most likely frequencies are Final only, annual (progress), quarterly, and monthly.

    A copy of the Award with its T&C and an Award Notice (Yellow Sheet) are sent to the Department Office with additional copies for each PI. It is the responsibility of the Department Office to see that the PIs receive this information and are familiar with all T&C of the award. When actual paper copies of the T&C are not provided with the award document by the funding agency, web links to them are listed on the Award Notice.

    GCS reads the T&C for each award and enters the reporting and other deliverables requirements in the Deliverables Module of the WHOIgrants program. A brief listing of these appears on the Award Notice. Reports generated by the Deliverables module are available in a variety of formats so that Department Offices can see what is required and when it is due.

- Progress Reports

    Interim or Annual Technical reports are progress reports related to scientific conduct and technical progress or outcomes. Many funding agencies require progress reports to be submitted periodically during the life of the project. These may be required annually, quarterly, monthly or in other timeframes detailed in the award document. Some agencies (like NSF and NOAA) will alert the PI via email of a report that is coming due or that is overdue, but many agencies do not provide this service. A report is considered Overdue when it is not submitted prior to the due date established by the T&C.

- Final Reports

    Final Technical Reports summarize all work completed for the entire duration of a project and thus interim or annual reports are not sufficient to satisfy the Final Report Requirements. Sometimes both an annual/interim and a final technical report may be due at the end of project. This may seem redundant, but turning in the final report will not be sufficient to satisfy the annual or interim reporting requirement.

- Timely Reporting

    Each Department Administrator should run the monthly reports that are available on the WHOIgrants Portal. Department Administrators are also responsible for marking when Deliverables are submitted so that the reports are accurate. The first report lists all deliverables that are coming due in the next 90 days. This information should be provided to the PI. The second report lists all deliverables that are coming due in the next 30 days. At this point, the PI may need serious encouragement to get the report submitted before it is overdue. The Department Administrator is responsible for ensuring that the PI receives notice and reminders.

- Overdue Reports

    The WHOIgrants Portal for Deliverables also provides a report of all deliverables that are Overdue. GCS will run this report monthly by Department. A copy will be sent to the Department Administrator and to the Director of Research. The Director of Research Office will contact the PI about the overdue report requesting explanation for <u>why</u> the report is overdue and when submission is anticipated. GCS and the Department Administrator should be copied on the PI's reply. This will be filed for possible justification at the time of audit.

SUMMARY

Report	Description	Responsible Party
Award Terms & Conditions (T&C)	Included in the Award Document and summarized in the Deliverable Module and printed on Award Document	GCS input to WHOIgrants Department Administrator and PI read and understand
Progress Report	Interim or progress reports submitted periodically during the life of the project. Frequency defined in T&C	PI submit on or before the due date. Department Administrator provide timely reminders to PI
Final Report	Summarizes the entire results or accomplishments of the project. Generally due 90 days after the project expiration or as detailed in T&C	PI submit on or before the due date. Department Administrator provide timely reminders to PI
Overdue Report	Required report not yet submitted after the due date has passed.	PI must explain the lateness to the Director of Research, Department Administrator and GCS.

Other Considerations

- Rejected reports and reports which are not yet accepted by the sponsor do <u>not</u> fulfill reporting requirements. Reports should be submitted with sufficient time for approval process and/or making requested changes before they are overdue.

- When a No Cost Extension request is granted, the due date for the Final Report is delayed but an annual (or interim) report will now be due on the anniversary date (previous expiration date).

- In cases of discrepancy between the information posted in an administrative tool (such as Fastlane) and the terms and conditions, the terms and conditions prevail. Auditors do not necessarily have access to the administrative systems and will determine compliance based on terms and conditions of the award and proof of report submission/approval.

- Grant & Contract Services maintains the official file for awards and audit purposes. Therefore, except for reports submitted via Fastlane and Grants.gov where they may obtain the information online, GCS requires copies of transmittal letters and reports submitted to sponsors. PDF versions of the documents should be emailed to the Grant Administrator responsible for the particular funding agency.