

## GUIDELINES FOR TRACKING AND FOLLOW-UP ON REPORTING REQUIREMENTS

Effective July 1, 2000

Tracking and follow-up of reporting requirements in grants and contracts is an important service to our Principal Investigators and an important part of our stewardship responsibility to our sponsors. The following guidelines are provided to clarify responsibilities related to tracking and follow-up on reporting requirements.

### Tracking Reporting Requirements

Reporting requirements vary from project to project, which makes tracking of these requirements difficult. Changes have now been made to the Sponsored Program Tracking System (SPTS) that will allow all reporting requirements for a particular award to be tracked. The SPTS system will work well for reporting requirement intervals of semi-annually or greater. More frequent reporting requirements will need to be reviewed and addressed by the Sponsored Program Services (SPS) Account Manager on a case by case basis.

#### ❖ New Awards

At the receipt of a new award, the SPS Account Manager should review all reporting requirements and assure that those requirements are appropriately documented for tracking purposes. Reporting requirements vary in frequency and type and therefore some judgement should be applied to each individual situation to determine the most effective way to track the reporting requirements. The following guidelines are not intended to be all-inclusive, but rather used as examples for when to use the SPTS system to track reporting requirements:

1. *Financial Reports to be submitted with billings* – The SPS Account Manager should inform the SPS Accounts Receivable Administrator of the reporting requirements and mutually agree on the method for assuring the financial reports are completed. Tracking this reporting requirement within SPTS is not recommended if the reports are sent more frequently than semi-annually.
2. *Quarterly Financial Reports for letter of credit accounts (NSF, NIH)* – The SPS Account Manager should assure that the reports are being submitted on a timely basis. Since reporting is done for all accounts on a single report for these sponsors, tracking this reporting requirement by account within SPTS is not necessary.
3. *Quarterly/Monthly Technical Reports* – When the frequency of technical reports required is more often than semi-annually, the SPS Account Manager should make sure the PI is aware of the requirements and agree on a follow-up process to assure the reports are being submitted. Depending on what has been agreed to, entry of the reporting requirements into SPTS may or may not be necessary. If SPTS is not used, documentation of how the reporting requirements will be met

must be a part of the project file and regular follow-up must occur. Technical reporting requirements should be provided to the Principal Investigator and business office via email when the new account number is communicated.

4. *Other Reporting Requirements* – In general, all other reporting requirements should be entered into SPTS at the time of a new award.

#### ❖ Supplements/Extensions

The SPS Account Manager should review all supplements and extensions received for existing projects and evaluate what, if any, impact those changes have on the reporting requirements. The SPS Account Manager is responsible for assuring that any changes to those reporting requirements are appropriately documented and changes entered into SPTS if necessary.

#### Follow-up on Reporting Requirements

A standard query (SPS Reports Due and Overdue) is available in the repository catalog. This query will be run each month by the SPS Systems Staff and distributed to all SPS Account Managers, the Secretary for the Office of Research Administration, the Assistant Vice President for Research and the Assistant/Associate Directors. The report will identify all financial, patent, and property reports due within the next 30 days and all technical reports due within the next 60 days and past due. Responsibility for completion and follow-up on these reporting requirements is as follows:

#### ❖ Financial, and Property Reports

SPS Account Managers will assure that all financial and property reports are completed on or before the respective due dates. They are also responsible for assuring that SPTS is updated with the submission dates of those reports.

#### ❖ Technical Reports

The Secretary for the Office of Research Administration (currently Reatha Walls) will be responsible for notifying Principal Investigators of upcoming technical report due dates. Principal Investigators will be notified in writing or by email of upcoming report deadlines 45-60 days prior to the deadline. Reatha will follow-up again with the PI one week prior to the deadline if there is no evidence that a report has been submitted. If a required technical report is not submitted on or before the due date, Reatha should follow-up again at 30 days past the due date with a copy to the Department Head and Business Manager. Technical Reports over 60 days past due should be communicated to the Assistant Vice President for Research and Associate Director of SPA for follow-up with the PI, Department Head, and/or Dean. Templates for the communications to come from The Secretary for the Office of Research Administration are attached.

A copy of the cover page of the report, an email notice from the PI, or verbal notification from the PI that a technical report has been submitted will provide the necessary notice that a technical report has been submitted. (Note: ONR requires a copy of the cover page of the technical reports before final payment is made. Therefore, for DOD and NASA awards administered by ONR, we will require a copy of the cover page as the only acceptable notification that a technical report has been submitted.) The Secretary for the Office of Research Administration is responsible for assuring that SPTS is updated to reflect when a technical report is submitted.

❖ Patent Reports

The Secretary for the Office of Research Administration will assure that all patent reports are completed on or before the due date. This individual is also responsible for assuring that SPTS is updated with the submission date of the report.

❖ Monitoring

SPS Account Managers are responsible for monitoring the processes described above to assure that the proper steps are being taken to follow-up on reporting requirements in accordance with these guidelines.