502-007-A: Grants & Contracts Reporting Procedure

This procedure implements CSU systemwide policy for Sponsored Programs Administration: Sponsored Programs Reporting and Records Management (ICSUAM #11002.07).

Summary

Sponsors generally require completion and submission of progress/technical reports. It is the responsibility of the PI to review the sponsor's award notice for reporting requirements. Report due dates will vary and reports must be submitted timely as indicated in the award documents.

Examples of reports include: technical, narrative or progress reports; final reports; financial and final financial reports; invention/patent reports; deliverable reports; equipment reports and other reports that may be identified in the award documents.

Reports may require approval of and/or submission by an authorized institutional official. Sponsors may withhold payments on the award and other awards if reporting requirements are not met in compliance with the award terms and conditions.

Process

Programmatic/Progress/Final/Technical Reports

The Principal Investigator ("PI") is responsible for preparing and submitting programmatic reports to document progress achieved to date or upon project completion, in accordance with the sponsor's required due dates. Sponsored Programs Office ("SPO") is responsible for maintaining official project reporting records for all grants and contracts handled by SPO. Failure to submit these reports in a timely manner may result in the sponsor denying payment of invoices and/or may jeopardize future funding from the sponsor.

A monthly report of deliverables due is sent to the PI, department chair and dean. If the PI is delinquent on submission of progress or final reports, SPO will contact the PI to resolve the issue. If the PI is not responsive, SPO will notify the Dean and request assistance. If the delinquency is serious, the Dean and SPO may not allow the PI to submit proposals until all reporting requirements are met in compliance with sponsor/award terms and conditions.

Financial Reports

University Corporation Post-Award Accounting (Corporation), in coordination with the PI, is responsible for preparing and submitting all interim and final financial reports required by the sponsor, within the timeframe required by the sponsor. The PI will assist with any additional financial reporting, such as cost-share documentation that is needed for the financial reports. PIs are required to finalize all expenditures within 45 days of the end of the project period to ensure accurate financial reporting.

Other Reports

SPO, in coordination with the project PI, is responsible for submitting additional forms in accordance with sponsor requirements. These forms may include but are not limited to Statements of Patents/Copyrights and Property forms. Refer to Project Closeout Procedure (#503-011-A) for more information about final reports.

Record Retention

The PI is responsible for maintaining data records in accordance with sponsor regulations. For retention of grant and financial records, refer to the CSU Record Retention Schedule for Sponsored Programs and the University Corporation record retention schedule (go to Links under References section).

Roles & Responsibilities

PI: Responsible for preparation and submission of progress and final reports, including technical, program and other non-financial progress reports. PI is responsible for timely submission of final and progress reports, with SPO approval, when required.

1. If a report is going to be late, the PI must notify the sponsor program officer (or similar representative) and get approval for a late report.
2. Forward email with approval for late report to SPO.
3. Submit report to SPO via email.

Dean (or other administrator): When notified of delinquent reports, Dean or designee is responsible for ensuring that reports are submitted timely in compliance with sponsor requirements, in collaboration with the PI and SPO.

Corporation, Post-Award Admin: Responsible for timely submission of all financial reports – interim and final – in collaboration with the PI and in compliance with sponsor requirements.

SPO: Responsible for monitoring submission and reconciliation of technical/program progress and final reports in collaboration with the PI.

1. SPO will send monthly report of deliverables due to the PI, department chair and dean.
2. SPO will also collaborate with the Dean's office when reports are in danger of being delinquent or may already be delinquent, to ensure compliance with sponsor requirements.

References

For definitions of key words in this procedure, refer to the CSU systemwide Sponsored Programs Definitions Policy (ICSUAM #11001.01).

Links to Regulations and Institutional Policies:
- NIH Records Retention and Access
- NSF Records Retention
- CSU Systemwide Record Retention Web Page
- CSU SP Record Retention Workbook
- University Corporation Record Retention Policy

Guidelines

Refer to system policy for additional resources and business practice links:
https://calstate.policystat.com/policy/6594177/latest/