

**NOVA SOUTHEASTERN UNIVERSITY
OFFICE OF SPONSORED PROGRAMS
POLICIES AND PROCEDURES**

REPORTING / PAYMENT

PROGRESS REPORTS

EFFECTIVE 12-01-08, REVISED 12-26-2014

POLICY #41

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PURPOSE:

To establish the policies and procedures on completing all progress reports required by the sponsored award and to designate the appropriate individuals for handling of these responsibilities.

DEFINITIONS:

Progress Reports: Periodic (monthly, quarterly, or annual) reports submitted by the award recipient to the sponsor so the sponsor can assess progress of the project against stated objectives and determine whether to continue funding for the project when multiple budget periods are involved. It includes but is not limited to the submission of program results, data, statistics, benchmarks, milestones, projections, and other requirements that are not related to financial reporting as required by sponsor.

POLICY:

The university will comply with the sponsor's progress reporting requirements as specified by either sponsor regulations or award terms and conditions. These responsibilities rests with the Principal Investigator/Project Director (PI/PD) of the sponsored project. Copies of Progress Reports will be sent to the Office of Sponsored Programs (OSP) and placed in the OSP's official award file (refer to OSP Policy No. 26 – *Official Award File and Record Retention*).

REFERENCES:

- OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200, <https://federalregister.gov/a/2013-30465>
- OMB Federal Awarding Agency Regulatory Implementation of Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, <https://www.federalregister.gov/articles/2014/12/19/2014-28697/federal-awarding-agency-regulatory-implementation-of-office-of-management-and-budgets-uniform>
- NIH Grants Policy Statement, <http://grants.nih.gov/grants/policy/policy.htm#gps>
- NSF Proposal and Award Policies and Procedures Guide, <http://www.nsf.gov/bfa/dias/policy/>
- HHS Grants Policy Statement, <http://www.hhs.gov/grants/grants/policies-regulations/index.html>
- Federal Acquisition Regulations (FAR), Title 48 C.F.R.
- NSU Financial Operations Accounting and Financial Policies and Procedures – Finance Policy No. 127.9 – *Billing and Financial Reporting*, <http://www.nova.edu/fop/forms/policies.pdf>

PROCEDURES:

1. The PI/PD must review the award's terms and conditions at the onset of the award to ensure his/her full understanding of terms and conditions and related the sponsor's reporting requirements. The OSP can assist the PI/PD in obtaining additional clarification from the sponsor where necessary.

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2. The PI/PI is responsible for completing all interim and final progress reports in accordance with sponsor requirements and submitting reports by the sponsor's established deadline. Timely report submission is critical; failure to submit timely progress reports may adversely affect the collection of payments, continued and future funding, and might result non-compliance and audit findings.
3. The PI/PI is expected to meet established reporting deadlines. However, if a PI/PI anticipates that a report will be delayed due to unavoidable circumstances, the PI/PI must notify the OSP immediately, prior to the deadline, to ensure sufficient time to notify the sponsor and to request an extension for report filing, where possible.
4. If the required report was not submitted on time or PI/PI has not notified OSP of a delay on a timely bases, the OSP will notify the university's senior management (i.e., the PI/PI's Dean, Vice President for Research and Technology Transfer..
5. Depending on sponsor requirements, the PI/PI may submit progress reports directly to the sponsor with a copy to the OSP, or the Authorized Institutional Official in the OSP (or designee) can submit progress reports to sponsor on behalf of the PI/PI. This is often the case when sponsors use electronic submission systems for transmitting progress reports (refer to OSP Policy No. 10 – *Electronic Research Administration*).
6. In the case when progress reports must be submitted with periodic financial report, PI/PI will send progress report to the Contracts and Grants Accounting Department (CGA) and CGA will submit periodic and final billings or financial reports along with the progress report. (refer to NSU Financial Operations Accounting and Financial Policies and Procedures – Policy No. 127.9 – *Billing and Financial Reporting*).
7. The PI/PI is responsible for providing a copy of the progress report (including any revision) to the OSP on a timely basis to maintain in the OSP's official award file.