

# Grant Reporting

## • REPORTS REQUIRED BY FUNDING ENTITIES

- Progress Reports (NIH - Annual RPPR)
- Final/Technical Reports (NIH - Final RPPR)
- Financial Reports
- Intellectual Property/Patent Reporting



# Reporting Requirements

- Report deadlines are established by the funding entity and will be listed within the terms and conditions of the contract/agreement.
  - Funding from external entities will include reporting deadlines within the OSP RASS record
    - Report submissions must be recorded within RASS (RASS is the master record holder for sponsored awards)
  - Funding from internal entities (Zweig, Riney Canine, Feline Health, Resident Research, Equipment, Research Program in Animal Health) will be listed within the award letter and funding email notification

# Progress Reports

PI/Unit are responsible for completion and submission of progress reports to Sponsors

- External Awards

- Deliverable dates are based on terms and conditions of contract.
- Dates will be listed within the OSP RASS record.
- If subawards exist, PI must request technical and/or financial reports from the subrecipient (PI is to include subrecipient data/financials in their progress report to the sponsor for the given time frame.)
- Sponsors may have specific reporting forms to be used.
- Any financial information included in reports needs to be verified by SFS prior to submitting. Please allow a grace period to obtain this verification prior to due date
- Reports must be shared with the Sponsor as well the department to be uploaded into RASS with the completed deliverable date (date shared with Sponsor).

- Internal Awards

- Zweig funded awards through December of the current calendar year are required to provide a brief lay summary on progress made during that year. (Due beginning of October).
  - For Zweig projects extending into the new year, Section I of the progress report form/continuation application will be included in the annual report submitted to the New York State Thoroughbred Breeding & Development Fund.
- Progress reports may be required when submitting NCE's dependent on status of the award and how many previous NCE's have been requested.

# Final/Technical Reports

- PI/Unit are responsible for completion and submission of final technical reports to Sponsors.
- External Awards
  - Deliverable dates are based on terms and conditions of contract.
  - If subawards exist, PI must request final technical and financial reports from the subrecipient to be used in overall final reporting and submission into RASS.
  - Sponsors may have specific reporting forms to be used
  - If technical reports are seeking financial information, please be aware that we need to receive SFS's verification on these financials prior to submitting. Please allow a grace period to obtain this verification prior to due date
  - Reports must be shared with the Sponsor as well the department to be uploaded into RASS with the completed deliverable date (date shared with Sponsor).
- Internal Awards
  - Melinda Cirri will share final report template/post award guidelines near the term of the award
    - Department has copies of templates as needed
  - Reports are due 90 days from the date of the award terming (deliverable dates will be listed in Melinda's communication)

## NIH – Annual and Final RPPR (Research Performance Progress Report)

All progress reports for NIH grants must be submitted electronically using the Research Performance Progress Report (RPPR) module in eRA Commons. To create your report see <https://www.era.nih.gov/recipients/submit-reports/rppr.htm>

**Christie Sayre ([cms44@cornell.edu](mailto:cms44@cornell.edu)) will assist the project PI with the completion and submission of the annual and final RPPR reports. Guidelines can be found at [https://grants.nih.gov/sites/default/files/rppr\\_instruction\\_guide.pdf](https://grants.nih.gov/sites/default/files/rppr_instruction_guide.pdf)**

- **Interim/Annual RPPR** (Used to describe a grant's scientific progress, identify significant changes, report on personnel, and describe plans for the subsequent budget period or year.)
- **Final RPPR** (Used as part of the grant closeout process to submit project outcomes in addition to the information submitted on the annual RPPR, except budget and plans for the upcoming year.)

# USDA Technical Reports (Progress and Final reports)

**Financial reports** – Research Office does not generate these; SFS (Sponsored Financial Services) completes/submits the financial reports. The Research Office will send an email to SFS informing them of the pending financial report that needs completion.

## USDA NIFA (REEport)

- Annual / Final Progress Reports will need to be submitted through CRO GCO.
- PI will need to sign-in into the REEport system.
- Completing the report:
  - PI adds/updates report information to all the required fields in REEport.
  - PI will need participant effort to input into the system from their department Finance Manager (Theresa Lagasse). Compare what was done in the initial budget or the previous progress report.
- Once PI completes the online report:
  - PI clicks the submit button.
  - PI must contact their CRO GCO to review and finalize the submission. CRO does not receive any notifications from REEport letting them know that the PI's portion has been submitted.
- Final Submission to USDA from CRO GCO:
  - The CRO GCO will send the final report to the PI/RC.
  - The CRO office adds the final report and marks off the deliverable in RASS.

## USDA APHIS (EzFedGrants)

- APHIS awards will submit progress reports through [ezFedGrants](#).
- Access to the EzFedGrants system is limited to the PI and Research Office.
- The progress report is sent directly to the PI as a template document from USDA APHIS.
  - PI will need participant effort to list within the report from their department Finance Manager (Theresa Lagasse). The PI sends CRO the finalized progress report.
- The CRO will fill out the online report information, review the progress report, upload the report, and submit.
- Once submitted, CRO will send out an email to the PI and cc the department that it was submitted. Marking off the deliverable in RASS.

# Financial Reports

- Reports submitted to Sponsor by SFS (Sponsored Financial Services)
- If subawards exist, PI must obtain final financial report from subrecipient for submission into RASS prior to SFS submitting final financial report (please share with the department any final financial reports from subawards).
- Process
  - All general ledger activity is required to be completed 30 days prior to final report due date
  - SFS will provide a high general review of award activity (pre/post award transactions, generally indirect expenses, fabricated equipment not capitalized, federal unallowable, budget restrictions, and cost share)
  - SFS will contact department for confirmation of review, closeout actions or with any questions
  - Upon department's confirmation of award closure, SFS will submit final financial deliverables
    - Submissions of final invoice/financial report
    - Closeout forms

# Intellectual Property/Patent Reporting

- CTL (Cornell's Center for Technology Licensing)
- PI shall work with CTL to make sure all disclosures are made.
  - Report to CTL as early as possible with appropriate detail
    - Include the sponsor award number and OSP #
    - Provide sufficient detail to convey understanding of the disclosure, including:
      - The nature, purpose, and operation of the invention
      - The physical, chemical, biological, or electrical characteristics of the invention
      - A technical description of the invention
- OSP requests information from CTL 45-60 days after the term date of the project (earlier if required by sponsor).
  - Information received from CTL is reported by OSP to the sponsor by:
    - Entering the data in online systems
    - Completing and submitting sponsor forms
    - Sending forms to SFS to submit as required
    - Filing negative patent reports when there are no inventions
    - If Cornell is a subrecipient, submit IP reports to the sponsor that directly funds Cornell's award



# Reporting Reminders and Notifications

- Congratulations emails will be distributed once an award is received. Email will contain notes on the reporting requirements and corresponding dates.
- Calendar reminders will be added to PI's calendar for all reporting deadlines.
  - Calendar reminders will be 1-month in advance from the date in which the report is due
- Reminders via email will be sent 2-weeks prior to the report due date, if the report has not already been submitted (Email to typically come from Kelly Lewis).
- Please note, for internal awards (Zweig, Riney Canine and Feline Health, Resident Research, Equipment, and Research in Animal Health) you may receive additional communications/reminders from Melinda Cirri.
- If/when an extension is granted, calendar reminders will be adjusted as necessary to update the reporting deadlines.

\*\*Please be sure to include Christie Sayre on reporting submissions. Christie will provide backup coverage/assistance with reporting as needed.

# Questions/Concerns

Kelly Lewis ([kll85@cornell.edu](mailto:kll85@cornell.edu))

Theresa Lagasse ([tap58@cornell.edu](mailto:tap58@cornell.edu))

Christie Sayre ([cms44@cornell.edu](mailto:cms44@cornell.edu))