



## Technical and Financial Reporting Policy

Responsible Offices: Office of Sponsored Projects (OSP), Schools, Colleges (or Departments or Centers), Controller's Office, Office of Provost.

Uniform Guidance: OMB Uniform Guidance, #200.327-329

### Purpose

This document sets forth the guidelines for the submission of technical and financial reports on sponsored projects at Seattle University. The technical and financial reports on sponsored projects refer to all types of reports that may be requested by the sponsor and/or required in the award terms and conditions (including contract agreements) made to the institution. The technical report may refer to a progress report (or interim report or performance report), program outcome report, and/or final report.

Timely submission of reports is the responsibility of the PI. A late submission of report may cause suspension of grant funding from the sponsor and damage the reputation of the principal investigator and Seattle University.

### Federal Policy Statement [Summary of Uniform Guidance #200.327-329]

*Financial Report:* The information MUST be collected with the frequency required by the terms and conditions of the federal award, but no less frequently than annually nor more frequently than quarterly except in unusual circumstances.

*Technical Report:* The non-federal entity is responsible for oversight of the operations of the award supported activities to assure compliance with applicable Federal requirements and performance expectations are being achieved.

- The non-federal entity MUST submit performance reports at the interval required by the federal awarding agency or pass-through entity to best inform improvements in program outcomes and productivity. The intervals MUST be no less frequent than annually nor more frequently than quarterly except in unusual circumstances. For example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes. Annual reports must be due 90 calendar days after the reporting period; quarterly or semiannual reports must be due 30 calendar days after the reporting period. Alternatively, the Federal awarding agency or pass-through entity may require annual reports before the anniversary dates of multiple year Federal awards. The final performance report will be due 90 calendar days after the period of performance end date. If a justified request is submitted by a non-Federal entity, the Federal agency may extend the due date for any performance report.
- The non-federal entity MUST submit performance report using OMB-approved government wide standard information collections when providing performance information. The report will



contain brief information on the following unless other collections are provided by OMB: 1) the comparison of actual accomplishments to the objectives of the federal award established for the period; 2) The reasons why established goals were not met, if appropriate; and 3) additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

- Significant developments. The non-federal entity MUST inform the federal awarding agency or pass-through entity as soon as the following types of condition become known: 1) problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the federal award; 2) favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.
- The federal awarding agency may make site visits as warranted by program needs.
- The federal awarding agency may waive any performance report required by this part if not needed.
- Reporting on real property. (Please see #200.329)

#### **Internal Preparation, Review and Submission Procedures**

These reporting procedures at Seattle University apply to both federal and private sponsors.

- (1) When a sponsored project award is executed, OSP will highlight the major reporting requirements and due dates on the “Award Notification to Principal Investigators” form which is signed by the Principal Investigator/Project Director (PI), acknowledging their responsibilities.
- (2) A copy of the form will be provided by OSP to relevant groups including PI(s) (and Co-PI), budget manager(s), grant accountant, Corporate Foundation Relations (CFR) and other project staff when applicable.
- (3) The PI is fully responsible for ensuring that all reports are prepared and submitted according to sponsor guidelines and due dates. OSP may also provide courtesy report reminders to the PI and relevant groups through Outlook calendar notifications and/or e-mails approximately 6 weeks prior to the due date.
- (4) If OSP is made aware that the report(s) is overdue, the OSP will send a warning notice to the PI and budget manager (and/or Dean or Associate Dean) as well as provide any necessary assistance to resolve any technical issues related to the delay. The PI MUST take appropriate action to promptly submit the report. The university may temporarily suspend spending on the grant account until the report is submitted and accepted by the sponsor
- (5) When the sponsor requires that both technical and financial portions be combined, the PI is responsible for preparing the technical portions of the report. The financial portion will be prepared based on information provided by the grant accountant in the Controller’s office.



- (6) OSP will provide guidance and interpretation of the sponsor's reporting guidelines, compile institutional data, and may assist with resolving technical issues related to registration in sponsor submission systems. CFR may also provide assistance with private sponsors.
- (7) The PI is required to forward the final draft of the report to OSP no later than 5 business days prior to the sponsor's due date for internal review when AOR signatures/certifications are required.
- (8) Once OSP review and AOR approval is complete, the report may be submitted by the PI. If it is a private sponsor, CFR may provide assistance with the submission of report. For federal agencies and some private sponsors, the grant accountant in the Controller's Office may be responsible for submitting the financial report.
- (9) A copy of the report and any resulting sponsor acknowledgement, approval and correspondence should be forwarded to OSP for institutional records.