

GUIDE TO FEDERAL AGENCY REPORTING REQUIREMENTS

Washington University in St. Louis

Office of the Vice Chancellor for Research

GENERAL GUIDANCE AND DEFINITIONS FOR FEDERAL SPONSORED PROJECT REPORTING 3

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Please note:

- All guidelines listed are general; specific terms are stated in individual awards.
- One should always refer to the specific terms and conditions of the award and its governing regulations.
- Terms of the Federal Demonstration Partnership IV apply (<http://www.thefdp.org/>).
- To report corrections or suggestions, please contact the Research Office’s Funding Resources Coordinator (935-4119 or frankn@wustl.edu).

GENERAL GUIDANCE AND DEFINITIONS FOR FEDERAL SPONSORED PROJECT REPORTING

In order to comply with the Government Performance and Results Act of 1993 ([GPRA](#)), the federal government requires certain reports from contract and grant recipients during and after work has been performed utilizing federal funds. The following lists describe generally, what type of report must be sent, by whom, to whom and by when. Because every program and award can have different timelines and reporting criteria, it is very important to read the deadlines and milestones in an award and calendar these deadlines in advance to ensure that award requirements are met.

Interim or Annual Technical Reports are progress reports related to scientific conduct and technical progress or interim outcomes related to a project. They cover a defined period of time that is shorter than the overall project timeframe. These can be required monthly, quarterly, annual, or within other timeframes depending on the requirements of an award. Faculty should follow any applicable sponsor requirements and guidelines to report about the activities that have occurred so far, report and explain significant deviations from the originally proposed scope of work, if any, and, provide some explanation about work elements that remain to be completed. *Failure to send these reports in a timely manner often result in the next year's additional increment of funding to be delayed and can also result in significant audit findings.*

Final Technical Reports are reports that summarize all work completed for the entire duration of a project. Since Final Reports are designed to summarize an entire project, interim or annual reports are not sufficient to satisfy the Final Technical Report requirements. On research grants and contracts, theses or dissertation papers are generally not sufficient to satisfy the final project report deliverable unless this was explicitly agreed upon in the original award document. Sometimes, both an annual/interim and a final technical report may be due at the end of a project and although this feels redundant to many faculty, turning in a final report will not be sufficient to satisfy the annual or interim reporting requirement. Late or missing final technical reports can trigger project-based audits, system-wide audit findings, and can also result in the University not being able to obtain payment of final invoices. *Late reports can also result in a sponsor refusing to accept proposals from the PI with a late report and can also prevent other faculty from submitting to that sponsor even if they were not primarily responsible for the report.* So, timely final technical reports are extremely important.

Intellectual Property/Patent Reports let a sponsor know what new patentable ideas may have resulted from the science and activities performed using their funding in whole or in part. It is important for an inventor to promptly disclose to the **Office of Technology Management (OTM)** as soon as they know if a new patentable idea arises during a research study and to work with OTM to protect the intellectual property before sending a public report with enabling information regarding findings. OTM will then file information in a federal electronic system related to the new discovery. Thereafter, federal law requires the University to manage the property in specific ways. Federal agencies want a summary at the end of a project telling them all of the patentable activity that was conducted. Some agencies, especially department of defense and NASA, require you to file this report *even if you did not have any patentable outcomes from your project.* Thus, you must file a negative report in order to satisfy

the award requirements. Failure to file this report can result in audit findings, delays or prohibitions in proposal acceptance or award related actions.

Property and Equipment Inventory Reports are a summary of equipment items that were purchased with funding provided by a sponsoring agency or provided directly to the University by the sponsoring agency. The University defines equipment as a tangible, nonexpendable item that has a useful life of more than one year and an acquisition cost of \$5,000 or more. It is important to know whether your award requires this kind of report and if so, how the award defines such items. SPA will retrieve equipment data from the University's Property System and complete the report in a timely manner (typically, 90 days from the grant/project period end date). The PI and/or the department will be contacted, as necessary, regarding any additional information needed for the report, and then it will be submitted by SPA. Please reference the University's Government Property – Policies and Procedures document for additional information related to this issue, see http://www.spa.wustl.edu/adminpol/propertypol_0204rev.pdf.

Financial Reports involve a report on how the sponsor's funds were expended. The Federal sponsoring agencies utilize a standard report format which is called the Financial Status Report (FSR or SF 269). In general, the grantee is required to submit a financial report on an annual and/or project period basis. The PI/department should work in conjunction with SPA to resolve remaining financial issues so that the project's expenses are finalized in the University's accounting system (FIS). SPA is responsible for completing and submitting the report to the sponsor in a timely manner (typically, 90 days from the grant/project period end date).

WASHINGTON UNIVERSITY IN ST. LOUIS REPORTING OFFICE CONTACTS

Research Office (“RO”)	Phone: (314) 935-5889 Fax (314) 935-5862 E-mail: resoffice@msnotes.wustl.edu Campus Box 1054 One Brookings Drive St. Louis MO 63130-4899 <i>Physical Location:</i> 276 North Skinker Bldg., Ste. 220
Grants and Contracts (“G&C”)	Phone: (314) 747-4134 Fax (314) 362-0315 E-mail: G&C@msnotes.wustl.edu Campus Box 8018 660 South Euclid Avenue St. Louis, MO 63110-1093 <i>Physical Location:</i> 22 N. Euclid Avenue
Sponsored Projects Accounting (“SPA”)	Phone: (314) 935-7089 Fax (314) 935-4609 E-mail: jgindhart@wustl.edu Campus Box 1034 700 Rosedale Avenue St. Louis, MO 63112-1408
Office of Technology Management (“OTM”)	Phone: (314) 747-0920 Fax (314) 362-5872 E-mail: bjcastanho@wustl.edu Campus Box 8013 660 South Euclid Avenue St. Louis, MO 63110 <i>Physical Location:</i> 724 South Euclid Avenue, Ste. 2259
Purchasing	Phone: (314) 935-5649 Fax (314) 935-4395 E-mail: Alan_Kuebler@wustl.edu Campus Box 1069 700 Rosedale Avenue St. Louis, MO 63112

Department of Defense: AFOSR (Air Force Office of Scientific Research)

<http://www.wpafb.af.mil/library/factsheets/factsheet.asp?id=9450>

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>SF 298</i></p> <p>For grants issued on or after 8/2/2006, Performance Reports are due on the anniversary date of the effective date of the award. Click here for grants issued prior to 8/2/2006.</p> <ul style="list-style-type: none"> • Send to mailto:technicalreports@afosr.af.mil and to the AFOSR Program Manager at his or her e-mail address as listed in Block 15 of the award document cover sheet. See instructions.
<p>Final (Prepared and sent by PI)</p>	<p><i>SF 298</i></p> <p>Due 90 days after the expiration of the agreement. See instructions.</p>
<p>Inventions/Patents (Initiated by PI – signed by RO or G&C sent out as negotiated with PI)</p>	<p><i>DD Form 882</i></p> <p>Due within 90 days of completion or termination of this agreement. Reports shall be submitted as stated in the award. (Generally, negative reports are required).</p>
<p>Property/Equipment/ Inventory (Prepared and sent by SPA)</p>	<p>No prescribed form; must contain data listed in OMB Circular A-110 Subpart C, Section .34(f). Use generic university letterhead for most grants.</p> <p>Final Property Report generally due at the end of the period performance, usually 60 to 90 days thereafter. Negative reports not required.</p> <ul style="list-style-type: none"> • Copy to ONR regional office*
<p>Financial Status (sent by SPA)</p>	<p><i>SF 269</i> <i>SF 272</i></p>

<<< as of 01/2008 >>>

*ONR Chicago Regional Office
230 South Dearborn Street
Room 380
Chicago, IL 60604-1595

Department of Defense: ARO (Army Research Office)
<http://www.aro.army.mil/forms/forms2.htm#fm18>

Technical/Progress/ Performance (Prepared and sent by PI)	<i>SF 298</i> Due annually, within 30 days after July 31. • Electronic. See instructions
Final (Prepared and sent by PI)	<i>SF 298</i> Due within 90 days of agreement expiration. • Original + 2 copies to U.S. Army Research Office or Electronic
Inventions/Patents (Initiated by PI – signed by RO or G&C sent out as negotiated with PI)	<i>DD Form 882</i> Due within 90 days of completion or termination of this agreement. Reports shall be submitted as stated in the award. • Copy to U.S. Army Research Office
Property/Equipment/ Inventory (Prepared and Submitted by SPA)	No prescribed form; must contain data listed in OMB Circular A-110 Subpart C, Section .34(f) . Use generic university letterhead for most grants. Final Property Report generally due at the end of the period performance, usually 60 to 90 days thereafter. Negative reports not required. • Copy to ONR regional office*
Financial Status (sent by SPA)	<i>SF 269</i> <i>SF 272</i>

<<< as of 01/2008 >>>

*ONR Chicago Regional Office
230 South Dearborn Street
Room 380
Chicago, IL 60604-159

Department of Defense: ONR (Office of Naval Research)

<http://www.onr.navy.mil/02/terms.htm> and <http://www.onr.navy.mil/02/024/forms.asp>

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>SF 298</i></p> <p>Performance reports due as stated in Box 31 (usually annually)</p> <ul style="list-style-type: none"> • 1 copy to Technical Representative, Block 21 • 1 copy to Administrative Office, Block 23a • 1 copy to Patent Office, Block 26a • 1 copy to Defense Technical Information Center • 1 copy to Naval Research Labs (Washington DC)
<p>Final (Prepared and sent by PI)</p>	<p><i>SF 298</i></p> <p><i>Generally due 60 to 90 days after the period of performance has expired; refer to specific terms and conditions.</i></p> <ul style="list-style-type: none"> • 1 copy to Block 21 • 1 copy to Defense Technical Information Center • 1 copy to Naval Research Labs, Washington DC • 1 copy transmittal letter only to Block 23a
<p>Inventions/Patents (Initiated by PI – signed by RO or G&C sent out as negotiated with PI)</p>	<p><i>DD Form 882</i></p> <p>Generally due at the end of the period of performance.</p> <ul style="list-style-type: none"> • Original to Block #26a Patent Office <p>(Negative Reports are usually required)</p>
<p>Property/Equipment/ Inventory (Prepared and Submitted by SPA)</p>	<p><i>For contract awards, DD Form 1662; No other prescribed forms; must contain data listed in OMB Circular A-110 Subpart C, Section .34(f)</i></p> <p>Generally due at the end of the period of performance, usually 60 to 90 days thereafter. Negative reports not required.</p> <ul style="list-style-type: none"> • Copy to Office of Naval Research regional office*
<p>Financial Status (sent by SPA)</p>	<p><i>SF 269 or SF 272</i></p> <p>Generally due at the end of the period of performance.</p> <ul style="list-style-type: none"> • Copy to Administrative Office, Block 23a

<<< as of 1/2008 >>>

*ONR Chicago Regional Office
230 South Dearborn Street
Room 380
Chicago, IL 60604-1595

DHHS (Department of Health & Human Services, Non-NIH)

<http://www.hhs.gov/forms/publicuse.html> and
http://www.hhs.gov/grantsnet/docs/HHSGPS_107.doc

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>No prescribed form</i>; Program Progress reporting instructions included with award</p> <p>Annual: Due 90 days after the close of the budget period Quarterly & Semi-annual: Due 30 days after reporting period</p> <ul style="list-style-type: none"> • Original to Grants Management Specialist • 2 copies to Project Officer
<p>Final (Prepared and sent by PI)</p>	<p><i>No prescribed form</i>; instructions included with award</p> <p>Due 90 calendar days after award expiration or termination.</p> <ul style="list-style-type: none"> • Original + 2 copies to DHHS Washington DC
<p>Inventions/Patents (Initiated by PI – signed by RO or G&C sent as per agency requirement)</p>	<p>HHS 568</p> <p>Due 90 days following award expiration</p> <ul style="list-style-type: none"> • Original + 1 copy to awarding component that funded grant <p>https://s-edison.info.nih.gov/iEdison/</p>
<p>Property/Equipment/ Inventory</p>	
<p>Financial Status (sent by SPA)</p>	<p><i>SF 269</i></p> <p>Due 90 calendar days after the close of the budget period for annual and final reports. See Notice of Award for more frequently than annual reports.</p> <ul style="list-style-type: none"> • Original + 2 copies to DHHS in Washington DC

DOE (Department of Energy)
http://www.nsf.gov/home/grants/grants_fdp.htm

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>Web-based; DOE Form 241.3</i></p> <p>See "Federal Assistance Reporting Checklist" for individual terms of award. Progress reports due via E-link: https://www.osti.gov/elink/forms.jsp</p>
<p>Final (Prepared and sent by PI)</p>	<p><i>Web-based; DOE F 241.3</i></p> <p>Due within 90 days after the final project period ends or the award is terminated. • Submit via E-Link (https://www.osti.gov/elink/241-3.jsp)</p>
<p>Inventions/Patents (Initiated by PI – signed by RO or G&C sent out as negotiated with PI)</p>	<p>See "Federal Assistance Reporting Checklist*" for individual terms of award.</p>
<p>Property/Equipment/ Inventory (Prepared and Submitted by SPA)</p>	<p>See "Federal Assistance Reporting Checklist*" for individual terms of award.</p>
<p>Financial Status (sent by SPA)</p>	<p><i>SF 272*</i></p> <p>Due within 15 days following the end of each funding quarter. • Submitted to Chicago Operations Office, Financial Services Group</p> <p><i>SF 269*</i></p> <p>Due no later than 30 days after the end of each specified reporting period for quarterly and semi-annual reports, and 90 calendar days for annual and final reports.</p>

* http://management.energy.gov/business_doe/business_forms.htm

EPA (Environmental Protection Agency)
<http://es.epa.gov/ncer/guidance/tscs99.html>

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>No prescribed form.</i></p> <p>Due within 90 days of the end of each reporting period. <ul style="list-style-type: none"> • Submit to EPA project Officer </p>
<p>Final (Prepared and sent by PI)</p>	<p><i>No prescribed form</i></p> <p>Must include Executive Summary. Due 90 calendar days after the expiration of the project period. <ul style="list-style-type: none"> • Submit to EPA project Officer </p>
<p>Inventions/Patents (Disclosed by PI, reported through OTM)</p>	<p>Web Based; Interagency Edison (http://www.iedison.gov/)</p>
<p>Property/Equipment/ Inventory (SPA)</p>	
<p>Financial Status (sent by SPA)</p>	<p><i>SF 272</i></p> <p><i>SF 269</i></p> <p>Due within 90 days after the end of this budget period to the following address: U.S. Environmental Protection Agency Las Vegas Financial Management Center P.O. Box 98515 Las Vegas, Nevada 89193-8515 http://es.epa.gov/ncer/publications/terms/fdp_epa05.pdf http://www.whitehouse.gov/omb/grants/grants_forms.html</p>

NASA (National Aeronautics and Space Administration)

<http://ec.msfc.nasa.gov/hq/grcover.htm>

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>No prescribed form; must include §1260.22 & 1250.151(d)</i></p> <p>Progress Reports due 60 days before anniversary of grant.</p> <ul style="list-style-type: none"> • Original to Technical Officer • Copy to NASA Grant Officer with notice to AGO/ONR that report was sent • Copy to NASA Center for AeroSpace Information (CASI)
<p>Final (Prepared and sent by PI)</p>	<p><i>No prescribed form; must include §1260.22 & 1250.151(d)</i></p> <p>Summary of Research due 90 days after expiration date.</p> <ul style="list-style-type: none"> • Copy to CASI • Copy to Technical Officer • Copy to Administrative Grant Officer (AGO) / ONR • Copy to NASA Grant Officer
<p>Inventions/Patents (Initiated by PI – signed by RO or G&C sent out as negotiated with PI)</p>	<p><i>NASA Form 1679 Disclosure of Invention and New Technology (Including Software); must address §1260.28</i> http://invention.nasa.gov/</p> <p>Interim reports are due every 12 months from the date of the award. Final reports are due prior to closeout.</p>
<p>Property/Equipment/ Inventory (Prepared and Submitted by SPA)</p>	<p><i>No prescribed form; must include data listed in §1260.27(b)</i></p> <p>Annual Inventory Report, to be received no later than October 15 of each year. Negative responses are not required.</p> <p>A Final Inventory Report is due no later than 60 days after the expiration date of the grant. Negative responses are required.</p>
<p>Financial Status (sent by SPA)</p>	<p><i>SF 272</i> Due electronically within 15 working days following the end of each Federal Fiscal quarter (i.e., December 31, March 31, June 30, and September 30).</p> <ul style="list-style-type: none"> • Department of Health and Human Services’ Payment Management System (DHHS/PMS) <p>Final in paper form due within 90 calendar days after the expiration date of the grant.</p> <ul style="list-style-type: none"> • Financial Management Office (FMO)

NIH (National Institutes of Health)

http://grants1.nih.gov/grants/policy/nihgps_2003/index.htm

<http://grants.nih.gov/grants/forms.htm>

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>PHS 2590</i></p> <p>***See individual Notice of Grant Award for terms*** Report due dates for the next 4 months can be checked on http://era.nih.gov/userreports/pr_due.cfm • Original and two copies submitted to awarding component's grants management office (GMO)</p>
<p>Final (Prepared and sent by PI)</p>	<p>Final progress report (see Grants Policy Statement p. 139) due 90 calendar days after the expiration or termination of the award.</p>
<p>Inventions/Patents (Initiated by PI – signed by RO or G&C sent electronically via central office approval)</p>	<p>HHS 568</p> <p>Due within 90 days after the project period (competitive segment) ends. • Submit to the NIH awarding office GMO Refer to 37 CFR Part 401; available on the Interagency Edison site: https://s-edison.info.nih.gov/iEdison/</p>
<p>Property/Equipment/ Inventory</p>	<p>Not applicable</p>
<p>Financial Status (sent by SPA)</p>	<p><i>SF 269</i></p> <p>Due annually 90 days after close of budget period. May be submitted electronically via https://commons.era.nih.gov/commons/. SNAP awards require quarterly <i>SF 272</i> reports, submitted to the Payment Management System no later than 90 days after the end of each competitive segment. http://www.whitehouse.gov/omb/grants/grants_forms.html</p>

Also see: [NIH New Centralized Processing Center](#)

NSF (National Science Foundation)

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=aag

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>Web Based via FastLane:</i> https://www.fastlane.nsf.gov/fastlane.jsp</p> <p>Annual: unless otherwise specified in the grant, due at least 90 days prior to the end of the current budget period. Final: due within 90 days following expiration of the grant.</p>
<p>Final (Prepared and sent by PI)</p>	<p><i>Web Based via FastLane</i></p> <p>Due 90 days following grant expiration</p>
<p>Inventions/Patents (Disclosed by PI, reported by OTM)</p>	<p><i>Web Based via Interagency Edison:</i> https://s-edison.info.nih.gov/iEdison/</p>
<p>Property/Equipment/ Inventory (Prepared and Submitted by SPA)</p>	<p>In the rare instances where NSF grants might involve the acquisition of real property and unless otherwise specified in the grant document, the real property standards of 2 CFR 215.32 are applicable to such NSF grants. http://www.access.gpo.gov/nara/cfr/waisidx_05/2cfr215_05.html</p>
<p>Financial Status (sent by SPA)</p>	<p><i>Web Based via FastLane</i></p> <p>Grants will be financially closed based on final costs reported on the Federal Cash Transaction Report (FCTR) one full quarter after the expiration of the grant.</p>

USDA (United States Department of Agriculture)
http://www.nsf.gov/awards/managing/fed_dem_part.jsp
<http://www.csrees.usda.gov/business/awards/awardterms.html>

<p>Technical/Progress/ Performance (Prepared and sent by PI)</p>	<p><i>Web-based</i> http://cwf.uvm.edu/cris/</p>
<p>Final (Prepared and sent by PI)</p>	<p><i>Web-based; Form AD-421 "Accomplishments Report"</i> See Reporting Schedule for CRIS Reports: http://cris.csrees.usda.gov/reports.html</p>
<p>Inventions/Patents (Prepared and submitted by PI in final technical report)</p>	<p><i>Web Based; Interagency Edison (http://www.iedison.gov/)</i> Disclose anything not previously reported to Interagency Edison in Final Report</p>
<p>Property/Equipment/ Inventory (Prepared and Submitted by SPA)</p>	<p>Generally not applicable</p>
<p>Financial Status (sent by SPA)</p>	<p><i>AD-419 "Financial Expenditure and Staff Support"</i> http://cwf.uvm.edu/cris/request07.doc See Reporting Schedule for CRIS Reports: http://cris.csrees.usda.gov/reports.html <i>SF 272</i> Due no later than 45 working days following the end of each quarter. <i>SF 269</i> Due 90 days after end of award • Original + 2 copies to Funds Management Branch http://www.whitehouse.gov/omb/grants/grants_forms.html</p>