I. PURPOSE

The purpose of this SOP is to outline and describe the process for submitting progress reports and renewals. Many agencies require annual or periodic progress reports to be submitted for research awards that span multiple years. A progress report is often required by sponsors, including National Institutes of Health (NIH), in order to monitor scientific progress, review budgetary information and issue appropriate funding for the next budget period. In many cases, the progress report is considered a non-competing renewal (e.g. non-competing continuation) and does not compete with other proposals for funding. For competing renewal applications (e.g. competing continuation), a full research proposal application is often required by sponsors and a report on scientific progress would be included within the research proposal (For competing renewals, see Research Proposal Application Process SOP # 1002).

II. INTRODUCTION

During the period of an award, most Sponsors require scientific and/or financial progress reports (also referred to as non-competing renewals) that provide a status of the activities undertaken on a project and document the spending that has occurred. Typically, Sponsors require progress reports on an annual basis, often 60-90 days prior to the end of a budget period, but the timing and exact requirements are dependent upon the award mechanism and terms. For some agencies, a progress report is scientific in nature only and would be submitted by the PI directly to the sponsor. For other agencies, budgetary and administrative data is also included in the report and an institutional signature is required. For agencies with these requirements, including NIH, this SOP outlines the process for preparing, routing and submitting a progress report.

The timely processing of a progress report is critical to the proper management of the award. Delays in finalizing the continuations of a project impede the ability to receive funding for the next period to continue scientific research and may strain relationships between collaborators. The time frame for processing a progress report is dependent upon outside factors such as the Sponsor and required documentation. For incoming subcontracts, where Emory is the subrecipient and another institution is the prime institution, the time frame is also dependent upon the responsiveness and requirements of the collaborating institution.

Many sponsors will withhold the next funding allotment pending receipt of a satisfactory progress report or non-competing renewal. **NIH will not typically issue the next Notice of Award (NoA) until the Progress Report is received and approved.**
Note: Some awards require separate interim or annual financial reports in addition to the information reported on progress reports. The financial report is often filed after a budget period has ended, and the process for preparing and completing interim financial reports is outlined in Developing Interim Financial Status Report SOP # 2011.

III. PROCEDURE

1. Determining Progress Reports or Renewals that need to be completed:
   a) Monthly, the Post Award Administrator will run a query in Compass to determine which awards have budget periods that are ending within 90 days of the end of the previous month and of these, determine which require renewal or progress report submission according to sponsor guidelines and award terms and conditions. These non-financial milestones will have been set up previously by the Post Award Administrator as per SOP 2003 Award Set Up using the relevant job aid for milestones.
   b) Upon review of query, Post Award Administrator will contact PI to inform him/her that the submission of a progress report or the completion of a renewal is required.
      i. Post Award Administrator will communicate via email the required information needed from the PI and the deadlines for submission.
      ii. Post Award Administrator will follow up with PI on a weekly basis, at minimum, to obtain status reporting and to provide appropriate feedback materials for PI review and approval.
   c) For NIH awards, the Office of Policy for Extramural Research Administration (OPERA) provides an eRA Commons Progress Reports website http://era.nih.gov/userreports/pr_due.cfm that lists due dates for Progress Reports.
      i. For NIH Progress Reports, the PI and the Office of Sponsored Programs (OSP) will receive an email notification directly from NIH.
      ii. NIH requires that electronic Progress Reports (Research Performance Progress Report (RPPR)) be submitted 45 days in advance of the start of the new budget period and paper Public Health Services (PHS) 2590 forms be submitted 60 days in advance of the start of the new budget period.
      iii. RPPR Progress Reports are submitted for most research awards (R01, R21 etc.). The paper PHS 2590 is generally required for Program Project grants, Cooperative Agreements, and grants supporting clinical trials. See the Progress Report instructions for details and current forms: http://grants.nih.gov/grants/funding/2590/2590.htm
      iv.  
2. Progress Report and Non-Competing Renewal Process:
   Note: OSP reviews and approves Progress Reports within five (5) business days of receipt of completed report in EPEX system and all associated RPPR records in Commons. The expectation is that the report will be received by OSP in a complete state 10 business days in advance of the sponsor due date to allow sufficient time for review.
   a) Post Award Administrator will contact PI (see also step 1b above) outlining the documents required for the progress report and determine timeline and assignment of responsibility for completing necessary components, including uploading to sponsor system such as NIH eRA Commons.
   b) Post Award Administrator will complete non-scientific sections of progress report
   c) Post Award Administrator will assist PI in compiling all documents required for routing in EPEX and ensuring documents are in proper format

   For NIH AWARDS
Post Award Administrator will monitor the eRA Commons Progress Report website (http://era.nih.gov/userreports/pr_due.cfm) for NIH awards and e-mail a reminder to the PI for upcoming Progress Reports.

i. PIs and the Post Award Administrators will be notified of any overdue NIH Progress Reports by OSP prior to the end of the current year’s budget period. If necessary, OSP will escalate overdue reports as follows:

<table>
<thead>
<tr>
<th>Monitoring / Escalation of Overdue NIH Progress Reports</th>
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<tbody>
<tr>
<td>90 days prior to the current budget end date</td>
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<tr>
<td>Post Award Administrator notifies the PI</td>
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<tr>
<td>45-60 days prior to the current budget end date</td>
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<tr>
<td>OSP follows up with the PI, Department Administrator and Post Award Administrator</td>
</tr>
<tr>
<td>30 days prior to the current budget end date</td>
</tr>
<tr>
<td>OSP follows up with the PI, Department Administrator, Department Chair, Post Award Administrator and the Director, local RAS</td>
</tr>
<tr>
<td>Budget period end date</td>
</tr>
<tr>
<td>Director, OSP follows up with Vice President for Research Administration and Associate Vice President, RAS</td>
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</table>

ii. The Post Award Administrator will review and monitor the NIH eRA Commons Progress Report website to ensure that NIH progress reports are completed in advance of the due date.

e) Post Award Administrator, in support of the PI, must complete the following or ensure the accuracy of the information included:

i. Post Award Administrator projects the estimated remaining balance and works with the PI to explain if the projected unexpended balance at the end of the budget period will exceed 25% of the total award. If the unexpended balance is projected to be substantial, a justification should be provided even if the expectation is that balance will not exceed 25% at end of the grant year.

ii. Post Award Administrator reviews the PI and other identified Key Personnel (on Notice of Grant Award) effort commitments and actual allocations and reports an effort reduction of 25% or more from the proposed effort. Supporting justification should be included in the report. Other support documents must be updated and reviewed for accuracy. If PI or other key personnel effort has been reduced by 25% or more, prior approval should have been obtained from the NIH Grant Specialist through a letter submitted by OSP. The Post Award Administrator will notify OSP if they identify a reduction of 25% or > that does not have prior approval on file. The Progress Report cannot be approved without including the request to NIH for approval of the effort reduction.

iii. Post Award Administrator confirms that personnel effort allocations are correct prior to submitting the Progress Report.

iv. Post Award Administrator gathers technical and personnel information from subcontract sites and confirms there are no performance issues with the collaborating institutions (subcontractors). PHS 2590 Progress Reports also require subcontractors to submit separate 2590 forms including a line item budget.

v. Post Award Administrator reviews Institutional Review Board (IRB) and Institutional Animal Care and Use Committee (IACUC) protocols to confirm that they are current.
vi. Post Award Administrator verifies with the PI that all publications pertaining to the award, that have not been previously reported, are listed in the report with a Pub Med Central ID (PMCID).

vii. PI verifies that any inventions conceived under the project are included in the report and reported to their Office of Technology Transfer (OTT) licensing official.

viii. For paper PHS 2590 reports, Post Award Administrator completes 2590 Face Page, verifies the information with the PI, and attaches the final copy into EPEX routing as a PDF for OSP signature. The OSP Director will sign and return as a pdf attachment indicating that the progress report has been reviewed and approved.

FOR ALL AWARDS (NIH and Non-NIH awards)

f) Post Award Administrator, in support of the PI, will prepare and submit a complete Progress Report to OSP for all reports that require institutional review and approval by entering and routing as a proposal in EPEX system. (See Research Proposal Application Process SOP # 1002 and Associated Document 2. Job Aid: Entering Continuation Proposal).

g) Post Award Administrator, in support of the PI, initiates and ensures completion of Conflict of Interest Forms for the award and attaches to EPEX record (see Research Proposal Application Process SOP # 1002)

i. OSP will be notified by Conflict of Interest Office in the event that the Conflict of Interest (COI) requirements are not current. Note that Key Personnel identified as responsible for the “design, conduct, or reporting of research” that are not Emory personnel or included on a subcontract must submit a paper COI form. Paper COI is then uploaded to the EPEX record, with any positive COI findings forwarded to the Conflict of Interest Office for creation of deliverable and review.

h) Post Award Administrator will monitor proposal approval workflow in EPEX, including OSP approval; follow-up if an approver has not approved quickly; respond to questions from approvers, review changes with PI, and make adjustments, as necessary.

i) The progress report will be reviewed and approved by the appropriate signing authority within OSP, within 5 days of receipt of the completed report.

i. If the progress report is an NIH electronic submission, OSP will submit NIH RPPR Progress Reports via eRA Commons.

ii. If the Progress Report is an NIH paper submission, the Face Page will be signed and returned to the Post-Award Specialist once the report is approved. The Post Award Administrator should send the original signed report to the NIH.

iii. For non-NIH progress reports, OSP will review submission guidelines and submit to sponsor when required or notify Post Award Administrator when report is approved and indicate if Post Award Administrator or PI needs to submit to sponsor.

j) OSP follows up with the PI, Post Award Administrator and DA when contacted by the NIH Grants Management Specialist or other sponsor representatives for additional information or clarification required prior to receiving the next Notice of Award from sponsor.

k) The Post-Award Administrator will update the relevant non-financial milestone on the Milestone page, as per the referenced job-aid, when a set of actions are completed.

Note: NIH Program Project Awards and similar complex awards: The Post Award Administrator will meet with the PI/Program Director and other internal project related Post Award Administrator to review and
resolve any issues prior to preparation of the Progress Report. (See Complex Award Management – Post Award SOP #2001)

If sponsor requires reporting of monthly expenditures in progress report, the reported expenditures need to match the invoices submitted to sponsor during the budget period.

3. **Receipt of Award and Updating the Award Fund**
   a) The method of receipt for a renewal award is dependent upon the Sponsor and award type. Funding for future years is generally dependent on the receipt of a satisfactory technical progress report.

4. **Award Receipt and Distribution**
   a) This procedure is covered in the Award Notification from OSP SOP (See Award Notification from OSP SOP # 1007).

IV. **ROLES AND RESPONSIBILITIES**

**Principal Investigator (PI)**

- Provides information for progress reports, including scientific and technical information, and reviews progress reports
- Keeps annual COI reports current through the Conflict of Interest Office
- Keeps compliance approvals current as appropriate, including IRB and IACUC

**Post Award Administrator**

- Identifies awards with budget periods that are ending within 90 days, and notifies PI of those requiring progress reports or renewals
- Prepares and submits a complete progress report to OSP, in support of the PI, for all reports that require institutional review and approval
- Monitors timely preparation of the progress report and deadlines and ensures timely submission to the NIH Commons RPPR website and / or on the PHS 2590 forms, or other sponsor specified format, as required by the award terms
- Gathers technical and personnel information from subcontract sites, if applicable, and confirms if there are any issues with collaborating institutions
- Reviews IRB and IACUC protocols with PI, if applicable, to confirm they are current

**Office of Sponsored Programs (OSP)**

- Reviews and approves progress reports
- Submits progress reports to sponsor, when required, or notifies Post Award Administrator and PI when progress report is approved and ready for submission to sponsor

******************************************************************************************END OF SOP**********************************************************************************
# Progress Reports and Renewals Process Checklist

This checklist is a supporting document for SOP #2012, Progress Reports and Renewals. The steps outlined below are a list of the procedures. Please review the SOP prior to completing this checklist for further information and clarification on this process.

<table>
<thead>
<tr>
<th>Award #:</th>
<th>Total Number of Projects (w/in Dept):</th>
<th>Due Date:</th>
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<tr>
<td>______</td>
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<tr>
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<td>Total Number of Projects (w/in Dept):</td>
<td>Due Date:</td>
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<td>______</td>
<td>(Outside of Department):</td>
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<tr>
<th>Step #</th>
<th>Description</th>
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<th>Refer to</th>
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<tbody>
<tr>
<td>1.</td>
<td>POST-AWARD ADMINISTRATOR (RAS): Consult latest monthly query to determine awards that require a Progress Report within the next 90 days.</td>
<td></td>
<td>How to run a query in Compass: <a href="http://compass.emory.edu/training/Compass%20Reference%20Guide/FlashHelp/Compass_Online_Reference_Guide.htm">http://compass.emory.edu/training/Compass%20Reference%20Guide/FlashHelp/Compass_Online_Reference_Guide.htm</a></td>
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</table>
*For other awards* – [EU_GM_PRGRPT_MILESTONE_STATUS query in Compass](http://compass.emory.edu/training/Compass%20Reference%20Guide/FlashHelp/Compass_Online_Reference_Guide.htm) |  |  | |
| 2.     | POST: Put Progress Reports due dates on Tracking Tool. |  |  | |
| 3.     | POST: At least 30 days before the due date, in person or via e-mail, notify PI of Progress Report due dates, and request initiation of report via agency system Research Performance Progress Report (RPPR) in electronic Research Administration(eRA) Commons for NIH. |  | Reference Material Section:  
• PI Meeting Checklist | |

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<tr>
<td>4.</td>
<td><strong>PRINCIPAL INVESTIGATOR (PI):</strong> Create Progress Report via Agency System/forms (e.g. for NIH, initiates RPPR forms in eRA Commons). Please note that after creating the Progress Report, the PI should work on updating forms with appropriate information: publications, specific aims and goals, etc. The required information is outlined in agency guidelines.</td>
<td></td>
<td>Job Aids Section: <strong>RPPR in eRA Commons</strong>&lt;br&gt;<strong>RPPR Guide:</strong> <a href="http://grants.nih.gov/grants/RPPR/rppr_instruction_guide.pdf">http://grants.nih.gov/grants/RPPR/rppr_instruction_guide.pdf</a></td>
<td></td>
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<td>5.</td>
<td><strong>POST:</strong> Review previous electronic Notice of Award (eNOAs), previous year’s budget, progress reports (if applicable), and Interunit Collaboration Agreements (ICAs) (if applicable).</td>
<td></td>
<td>Previous:&lt;br&gt;- eNOAs&lt;br&gt;- Progress Reports&lt;br&gt;- Year’s budget&lt;br&gt;- ICAs</td>
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<td>6.</td>
<td><strong>POST:</strong> Review financial information* to determine projected balance. *This will need to include evaluating carryover balances.</td>
<td></td>
<td>Reference Material Section:&lt;br&gt;- Conversion Chart for Effort&lt;br&gt;- ICA</td>
<td></td>
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<td>7.</td>
<td><strong>POST:</strong> Confirm effort* and key personnel** on the award. *Effort should be calculated by calendar month, for the budget year **If key personnel on the award are from other schools, units, or Departments, must complete new ICA. This should also calculate salary projects.</td>
<td></td>
<td></td>
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<tr>
<td>8.</td>
<td><strong>POST:</strong> Communicate information to PI and confirm status of agency report.</td>
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<tr>
<td>9.a.</td>
<td><strong>PI:</strong> Include financial justification/information in agency forms for progress reporting.</td>
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<tr>
<td>9.b.</td>
<td>Provide an update to Post-Award Administrator.</td>
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</table>
| 10.    | POST: At least three weeks prior to due date, create new electronic Conflict of Interest (eCOI) form and EPEX* record.  
*Will need to indicate effort in the EPEX record as COMMITTED effort over the next 12 months, unless changed by the PI or the agency. | Job Aids Section:  
• eCOI Job Aid  
Conflict of Interest Information Page: http://coi.emory.edu/eCOI/index.html | |
| 11.a.  | PI: With all key personnel, certify within eCOI system. |  | |
| 11.b.  | Review final forms with Post-Award Administrator, and provide final packet (e.g. for NIH, PDF packet of RPPR). |  | |
| 12.    | POST: Review final progress report forms, and combine with additional proposal requirements (e.g. eNOA, revised budget, etc.). |  | |
| 13.    | POST: Enter additional information into EPEX (completing all pages) and upload final information (e.g. PI report, eNOA, Budget*, etc.) into EPEX.  
*Please note that if you change effort in the budget, make a note in EPEX, and ensure EPEX and the internal budget match. | Reference Materials Section:  
• Internal Budget Instructions and Example  
Job Aids Section:  
• Creating a Proposal in EPEX | |
| 14.    | PI: Finalize Progress Report within agency system if necessary. For NIH, route to Office of Sponsored Programs (OSP) representative in ERA commons. |  | |
| 15.    | POST: Save and route proposal for review* and approval, and update Tracker appropriately.  
*Proposal follows standard routing. |  | |
<p>| 16.    | PI: Certify within EPEX. |  | |</p>
<table>
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</tr>
</thead>
</table>
| 17.    | **POST**: Monitor progress within EPEX system and ensure timely submission*.  
*To be coordinated with Central Offices and other relevant groups. | NA          |          |                                             |
| 18.    | **DEPT/SCHOOL**: Review and approve as appropriate within EPEX. |              |          |                                             |
| 19.    | **OSP**: Review and approve within EPEX.  
Submit progress report to agency. |              |          |                                             |