



# UC San Diego

## Policy & Procedure Manual

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### CONTRACTS AND GRANTS (RESEARCH)

#### Section: 150-37

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## PROGRESS AND TECHNICAL REPORTS

### I. REFERENCES

- A. Policy and Procedure Manual for Contract and Grant Administration, as revised, Section 28.
- B. UCSD Policy and Procedure Manual 150-0, Office of Contract and Grant Administration Organization Chart.
- C. UCSD Notice, dated 6/30/75, McElroy to Total Academic Staff.

### II. POLICY

A basic tenet of a sponsored research program is that an investigation is not completed until the investigator has reported his/her research findings to the sponsor and to other authorized recipients within the time limitation of the sponsor (usually 90 days after the termination date of the project).

Since all contracts, grants, and other types of agreements are issued in the name of The Regents of the University of California, the terms and conditions of such contracts, grants, and other agreements are formal obligations of The Regents. Principal Investigators and/or Program administrators are in turn obligated to meticulously observe the established terms and conditions of the award document inclusive of report(s) preparation and submission.

#### A. Types of Reports

##### 1. Progress Reports

The reports constitute primarily a synopsis of the current project status and are due at prescribed intervals with limited distribution. Fiscal data is occasionally included.

##### 2. Technical Reports

These reports are prepared when a specific phase of the work has been completed or when important results warranting dissemination are obtained. Otherwise they are issued at regular intervals as specified by the award, but each report is expected to be scientifically complete.

##### a. Annual

These reports are submitted to the sponsor on the anniversary date of the award as a report of the project conducted to date.

b. Final

This report is required at the completion of the sponsored project in accordance with the terms and conditions of the award. It usually includes a summary of the accomplishments, an index of all technical reports issued, and a list of publications resulting from the research. Printing and distribution are regulated by specific instructions.

**B. Report Requirements**

1. As a general rule, the government has unlimited rights to the information in technical reports. Such rights include reproduction and distribution. Information should not be subject to copyrights.
2. There is no standard report clause for all sponsored programs. Therefore, it is important for principal investigators and their staffs to review and understand the specific project reporting requirements. Assistance in this regard is available from the Office of Contract and Grant Administration (OCGA) upon request.
3. Future project awards and funding payments from sponsors are contingent upon compliance with reporting requirements. Timely submission of reports is therefore essential in order for the principal investigator and The Regents to fulfill their obligation.

**III. PROCEDURE**

When an extramural sponsoring agency requires submission of an interim progress report and/or a final technical report (upon termination of a contract or grant), a copy of the Principal Investigator's transmittal letter and a copy of the required technical report shall be forwarded to the Office of Contract and Grant Administration, 204 WC (Q-023). This office will assume the responsibility of assuring that the contract and grant report requirements have been fulfilled and coordinate submission of these reports to the Academic Archives.

**IV. RESPONSIBILITY**

**A. Principal Investigator (PI)**

The PI is responsible for the timely submission of the progress and technical reports required by the terms and conditions of the award.

**B. Office of Contract and Grant Administration (OCGA)**

1. The OCGA is responsible for assurance of compliance with grant or contractual reporting requirements and submission of a copy of each final technical report to the Academic Archives.
2. The OCGA will advise department chairs and deans of reports substantially past due.