

## Financial Reporting

The goal of the ORA's financial reporting services is to provide Principal Investigators and department administrators with quality support services and financial compliance guidance along with effective stewardship of sponsored awards.

Most sponsors require financial reporting to determine the use of sponsored funds on either a monthly, quarterly, annual or other reporting basis. ORA's Fiscal Service's team is responsible for ensuring that the deadlines for financial reporting are met and that we are in compliance with the federal, state, sponsor specific and/or the University's policies and procedures depending on the type of award. The University shall submit timely financial reports to the sponsors of research and other scholarly activity that:

- Accurately reflect the actual use of sponsored funds as recorded in the financial records of the University
- Ensure that all reports are in compliance with the sponsor's terms and conditions

At the conclusion of the award, after the financial report is filed with the sponsor, and all financial obligations are satisfied, the Grant/Contract Accountant is responsible for closing the award within the University's financial system. Go here for more on [Financial Reporting](#).

## Progress/Technical Reporting

### Overview

Technical progress reports are often mandated by sponsors. The PI (Principal Investigator) and department administrators should consult each award's terms and conditions to confirm specific reporting requirements.

### 1. Preparation and Submission Timeline

*Applicable for reports requiring AOR (Authorized Organizational Representative) approval*

- **Annual or Interim Reports (Federal):** PIs must submit technical reports to ORA at least *5 business days* before the sponsor's deadline.
- **Final Technical Reports:** Final reports should be submitted to ORA at least *5 business days* before the deadline to allow time for review.

**Note:** Reports received with less than five business days for review may not be processed by ORA before the due date.

### 2. Federal-Wide Research Performance Progress Reports (RPPR)

- The PI is responsible for preparing RPPRs according to agency-specific guidelines. Refer to the **Federal Research Terms and Conditions** and [Federal Agency Specific RTCs](#) for detailed requirements.

### 3. Agency-Specific Submission Requirements

#### Agency-Specific Reporting Summary

Agency	Submission Website/Email	Reporting Frequency	Responsible for Submission
<b>National Science Foundation (NSF)</b>	<a href="http://Research.gov">Research.gov</a>	Annual, Final, Outcomes	PI prepares and submits to sponsor; ORA reviews if needed.
<b>National Institutes of Health (NIH)</b>	<a href="#">eRA Commons Portal</a>	Annual, Final	PI prepares and submits to ORA; ORA reviews and submits to sponsor.
<b>Department of Energy (DOE)</b>	Dependent on award, refer to Notice of Award	Annual, Quarterly, Final	PI prepares; see Notice of Award for contact and submission
<b>Department of Justice (DOJ)</b>	ora@maine.edu	Semiannual, Final	PI prepares and submits to ORA; ORA reviews and submits to sponsor.
<b>National Aeronautics and Space Administration (NASA)</b>	Emailed - See Notice of Award for email contact	Annual, Final	PI prepares and submits to Program Officer, CC to ORA.
<b>National Endowment for the Humanities (NEH)</b>	ora@maine.edu	Annual, Final	PI prepares and submits to ORA; ORA reviews and submits to sponsor.
<b>National Oceanic and Atmospheric Administration (NOAA)</b>	<a href="#">eRA Commons Portal</a>	Annual, Final	PI prepares and submits to ORA; ORA reviews and submits to sponsor.
<b>Department of Agriculture (USDA)</b>	<a href="#">NIFA Portal</a>	Annual, Final	PI prepares and submits to sponsor.
<b>Non-Federal Sponsor</b>	Dependent on award, refer to Notice of Award	Based on award terms	PI prepares and submits to sponsor, or sends to ORA for approval if required by the award terms.

#### 4. ORA Review and Submission to Sponsor

- ORA will review progress reports within 5 business days of receipt and communicate any necessary revisions.
- Upon approval, ORA will submit the report to the sponsor and notify the PI of submission.

## Contact Information

For any report containing financial information or for guidance on sponsor-specific requirements, contact ORA at ora@maine.edu.

*These timelines are designed to ensure compliant and timely reporting, supporting the effective administration of sponsored awards.*

## Principal Investigator and ORA Responsibilities

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### Principal Investigator (PI) Responsibilities

1. **Review of Award Requirements**
  - Review each award's terms and conditions to confirm reporting requirements, including deadlines and submission guidelines.
2. **Preparation of Progress/Technical Reports**
  - Prepare technical and progress reports, following specific agency requirements:
    - **Federal-Wide RPPR:** Prepare reports according to agency guidelines, referring to Federal Research Terms and Conditions and Agency Specific RTCs.
    - **Agency-Specific:** Prepare reports according to agency-specific submission protocols (e.g., NSF, NIH, DOE).
3. **Submission Timeline Compliance**
  - Submit all technical reports to ORA at least **5 business days** before the sponsor's deadline if ORA review and approval are required.
  - For final technical reports, ensure submission to ORA 5 days before the deadline to allow time for review.
4. **Direct Submissions and ORA Copies**
  - For agencies like NASA and NEH, submit reports directly to the Program Officer and copy ORA at ora@maine.edu.
  - For non-federal sponsors, submit purely technical reports directly to the sponsor with a copy to ORA. If financial details are included, submit first to ORA for review.

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### Office of Research Administration (ORA) Responsibilities

1. **Review of Reports**
  - Review all submitted reports requiring AOR approval within **5 business days** of receipt, ensuring compliance with award terms and conditions.
  - Communicate necessary changes to the PI if any adjustments are needed for compliance.
2. **Submission to Sponsor**
  - Upon review and approval, ORA will:

- Submit technical reports to the sponsor for federal agencies (e.g., NIH, DOE, DOJ, NOAA).
  - Notify the PI once the report is submitted.
- 3. **Agency-Specific Support**
  - Provide guidance on agency-specific submission requirements, including specific submission platforms (e.g., Research.gov for NSF, NIH guidelines) and any required procedural details outlined in the award.
- 4. **Financial Review**
  - For reports that include financial information, review submissions to ensure they meet sponsor-specific financial requirements and confirm they are accurate before submission.
- 5. **Support and Communication**
  - Act as a point of contact for sponsor-related guidance and reporting questions, and provide oversight to facilitate timely and compliant submission practices across all sponsored awards.