

Document Type: Policy

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Subject: Overdue Reports Policy

ORGS Office: Office of Sponsored Programs

CMU Partner Office (if applicable): Office of Sponsored Programs

Originator & Original Date: Anne Kea and Sarah Hall – 2/27/2024

Annual Final Approval: <List Title only>

Applicable Area: Post Award

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Purpose:

To establish the standard guidelines for the management of overdue reports, and the parties that must be included in related communications, depending on the tardiness of the report(s).

General Background Information:

- Timely submission of required reports is necessary to remain compliant with sponsor guidelines. Failure to comply with reporting requirements may result in the sponsor, and/or Central Michigan University (CMU), restricting an account, delaying funds, or denying future funding.

Narrative/Details

Direct Federally Funded Projects

1. For annual/progress reports, because OSP, for the most part, has access to sponsor systems for direct federally funded projects, and Post Award personnel are able to monitor the due dates of the majority of reporting requirements.
 - A. If OSP has access to the reporting system, a reminder will be emailed to the PI, Grant Accountant, and applicable departmental support approximately one month in advance.
 - B. If the due date passes, and the report has not been submitted, a second reminder will be emailed with the department Chair and ORGS Executive Director (ED) copied in as well.
 - C. If, two weeks after the second reminder has been sent, the report still remains overdue, a third and final reminder will be emailed with the college Dean and ORGS Vice President for Research and Innovation (VPRI) copied in as well.
 - D. If, two weeks after the third reminder has been sent, the report remains overdue, the grant account

will be locked and no expenses will be able to be charged until the report is submitted.

2. For final reports, because OSP, for the most part, has access to sponsor systems for direct federally funded projects, and Post Award personnel are able to monitor the due dates of the majority of reporting requirements.
 - A. If OSP has access to the reporting system, a reminder will be emailed to the PI, Grant Accountant, and applicable departmental support approximately 90 days in advance.
 - B. OSP will also email an additional reminder approximately one month in advance of the due date, which will include the department Chair and ORGS ED.
 - C. If the due date passes, and the report has not been submitted, an additional reminder will be emailed with the college Dean and ORGS VPRI included. At this point, it will be up to the sponsor and/or CMU Senior Leadership as to how the non-compliance will be managed.

All Other Funding Types

1. For annual/progress reports, because OSP, for the most part, does not have access to sponsor submission systems, Post Award is not able to directly monitor the due dates of the majority of reporting requirements.
 - A. Once OSP becomes aware that a report is overdue, a reminder will be emailed to the PI, Grant Accountant, the department Chair, and ORGS Executive Director (ED).
 - B. If, two weeks after the initial email has been sent, the report still remains overdue, a final reminder will be emailed with the college Dean and ORGS Vice President for Research and Innovation (VPRI) copied in as well.
 - C. If, two weeks after the second reminder has been sent, the report remains overdue, the grant account will be locked and no expenses will be able to be charged until the report is submitted.
2. For final reports, because OSP, for the most part, does not have access to sponsor submission systems, Post Award is not able to directly monitor the due dates of the majority of reporting requirements.
 - A. Once OSP becomes aware that a report is overdue, a reminder will be emailed to the PI, Grant Accountant, the department Chair, and ORGS Executive Director (ED).
 - B. If, two weeks after the initial email has been sent, the report still remains overdue, a final reminder will be emailed with the college Dean and ORGS Vice President for Research and Innovation (VPRI) copied in as well. At this point, it will be up to the sponsor and/or CMU Senior Leadership as to how the non-compliance will be managed.