

**RESEARCH GRANT and FELLOWSHIP
REPORTING REQUIREMENTS**

Reports	Type of Grant	Deadline	Related Payment
1st Report of Expenditures (ROE) and 1st Progress Report	Research Grant	Last day of 7 th month	Second payment
	Fellowship Grant	Last day of 13 th month	
2nd ROE	Research Grant	Last day of 10 th month	Third payment
	Fellowship Grant	Last day of 19 th month	
Final ROE, Final Progress Report and Post-Award Information Form	All grants	90 days following end of performance period	Final payment

ACCOUNTING RECORDS AND FINANCIAL REPORTS

The recipient institution is responsible for the use of funds to support the project described in the grant application, and for maintaining records and supporting documentation consistent with accounting practices generally accepted in the United States of America (GAAP). If requested by amfAR, these records must be made available, at reasonable times, for inspection by amfAR staff or representatives.

Reports of expenditures (ROEs) must be made on forms provided by amfAR and must conform to the accompanying instructions. All figures must be reported in whole U.S. dollars. A financial officer who is authorized to do so on behalf of the grantee institution must certify expenditure reports.

Three ROEs are required for each grant or fellowship (See *Figure 1* above). The first, reporting on the first half of the performance period, is due at the end of the 7th month for one-year grants, or at the end of the 13th month for fellowships. The second, reporting on the third quarter of the performance period, is due no later than the last day of the end of the 10th month for one-year grants, or the 19th month for fellowships. The third and final ROE, reporting on the final quarter, is due no later than 90 days following the end of the performance period. Expenditure reporting requirements and deadlines for extended grants will be delineated in extension approval documents.

The Foundation is not responsible for

- expenditures which exceed the total amount of the grant or fellowship
- expenditures made before the starting date of the performance period
- obligations incurred after the period of performance has ended
- expenditures greater than the \$3,000 per-line threshold allowed for budget modifications without prior amfAR approval (applicable to budget lines other than travel)
- any unapproved costs for travel.

PROGRESS REPORTS

All grantees must submit interim and final (*i.e.*, end-of-performance-period) progress reports. Interim progress reports are to be submitted on forms provided by the Foundation; final reports must conform to the format outlined below.

The interim report, on amfAR-provided forms, is due at the end of the 7th month for one-year grants, or the end of the 13th month for fellowships. The interim report should highlight significant findings in the first half of the performance period as well as discuss any issues that have necessitated the change of time frames or specific aims outlined in the approved research plan. Grant recipients are encouraged to contact amfAR program staff with informal reports of significant developments as they occur. Amended reporting deadlines for extended grants will be stipulated in extension approval documents.

For **all** research grants and fellowships, a final report on research accomplishments, including peer-language and lay-language abstracts (200 words each) and a post-award information form, must be submitted to the Foundation no later than 90 days following the end of the performance period. The progress report should be in narrative form, a maximum of five single-spaced pages long, and sufficiently comprehensive to describe work completed during the funding period and indicate the significance of the research findings. Reprints of published materials may **not** substitute for the final progress report on amfAR-funded studies.

A final report should include the following:

1. At the top of page one or on a cover page:
 - amfAR grant identification number
 - title of project
 - name of grantee institution
 - name, degree, and title of principal investigator
 - name, degree, and title of mentor (if grant is a fellowship)
 - period of performance
2. Within the three-to-five-page narrative section:
 - summarize specific aims as recorded in the original request for funding
 - outline the experimental plan used to approach project's aims
 - explain any deviations from the original aims
 - present major findings during the period of performance
 - discuss directions for future related research
3. On the post-award information form (sent to all grantees and fellows), which must be attached to the final narrative report:
 - list credited publications and manuscripts-in-preparation,¹ which are based on the amfAR-funded project
 - list all applications for funding by other agencies that are based on amfAR-funded findings
 - include any other comments related to the impact of amfAR funding on research plans

⁸ Investigators should attach copies of the listed publications, as required by the amfAR publications policy. (See Section III.N.2). Reports on unpublished research, such as manuscripts, are considered confidential information.

- fellows are requested to discuss the impact of amfAR funding on career development including anticipated short and long-term career plans

FORMS

Contact the grants administrator identified in the notice of award or send an e-mail to grants@amfar.org to obtain report forms.

FAILURE TO SUBMIT REQUIRED REPORTS

Failure to comply with the terms and conditions under which a grant or fellowship has been awarded can result in the suspension of a scheduled payment and, when justified, in the termination or eventual rescission of the grant. Among those terms and conditions is the mandatory submission of a report – a progress report, a report of expenditures, or both – by a deadline specified in this policy document (see Sections III.H, “Payments...”; III.I, “Accounting Records and Financial Reports”; III.J, “Progress Reports”). Should either the grantee institution or the principal investigator (or fellow) fail to meet a stated deadline, the payment scheduled to follow that deadline is suspended.

The grantee institution and the investigator thereafter receive written notification of the missed deadline and payment suspension and, at the same time, a revised submission deadline, which represents a last chance to file the mandated report(s). If reports are not submitted by the revised deadline, both the institution and the investigator (or fellow) are considered in violation of the terms and conditions, and the grant or fellowship is terminated effective the date of the deadline. The grantee institution shall then be allowed thirty days in which to submit a final progress report and a report of expenditures disbursed, which shall be the basis for a final payment (if due).

If reports are not submitted by the 30-day deadline, the grant will be rescinded and all payments previously made on the grant or fellowship must be returned to the Foundation. Failure to return payments will result in legal action to enforce the provision. Furthermore, in the absence of a final progress report, the Foundation will refer to such grants or fellowships in all documents, internal and external, by using the following (or a similar) statement: *No scientific progress by the investigator was reported for this award.*

Please be aware that once a grant has been rescinded, the submission of reports will not reinstate the grant or final payment. However, submission of an approved final progress report will (1) remove the “no progress” disclaimer, (2) allow the grantee institution to retain all funds issued to date, and (3) release any pending legal action.

Sample report forms follow.

Research Grant Interim Report

Grant ID:
Institution:
Principal Investigator:
Project Title:
Period Covered:

1. In 1-2 pages (400 words minimum), discuss research activities completed during this period. Where possible, describe research tools/techniques developed and summarize findings or preliminary analyses. Relate work accomplished to specific aims as stated in the application.

2. Note any developments that may result in deviations from the specific aims outlined in the grant application or for the time necessary for completion of the funded project. (Requests for extension must be submitted separately from this report.)

3. List papers published, under review, or in press, manuscripts in preparation and abstracts or posters presented that are based upon research funded by this grant.

4. List any conferences you've attended during this period, highlighting those at which you've made presentations related to the research funded by this fellowship grant.

5. Please include any other comments or information relevant to the funded project or the impact of this funding.

Reports are to be submitted as an e-mail attachment to grants@amfar.org. See award documents for reporting deadlines.

Fellowship Grant Interim Report

Grant ID:
Institution:
Principal Investigator:
Project Title:
Period Covered:

1. In 1 – 2 pages (400 words minimum), discuss research activities completed during this period. Where possible, describe research tools/techniques developed and summarize findings or preliminary analyses. Relate work accomplished to specific aims as stated in the application.

2. Note any developments that may result in deviations from the specific aims outlined in the grant application or for the time necessary for completion of the funded project. (Requests for extension must be submitted separately from this report.)

3. List papers published, under review, or in press, manuscripts in preparation and abstracts or posters presented that are based upon research funded by this grant.

4. List any new skills or techniques learned during this period.

5. List any conferences you've attended during this period, highlighting those at which you've made presentations related to the research funded by this fellowship grant.

6. Please include any other comments or information relevant to the funded project or the impact of this funding.

Reports are to be submitted as an e-mail attachment to grants@amfar.org. See award documents for reporting deadlines.

POST AWARD INFORMATION FORM

This form must be submitted along with the final progress report within 90 days following the end date of the grant's period of performance.

Grant ID:		Period of Performance:		to	
Project Title:					
Principal Investigator					
First Name:		Last Name:		Degree:	

Other Funding		
Did you use the data from your amfAR Grant or Fellowship to apply funding from other agencies?	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>

If yes, please list all submitted applications below:

Agency	Agency Application ID Number	Status (award, pending, not awarded)	Period of Performance	Total Award
		Click to select from list		
		Click to select from list		
		Click to select from list		
		Click to select from list		

Credited Publications (list below and attach reprints, please)

Manuscripts (list below and attach copies, please)

Additional Comments: Did amfAR funding have other, less tangible, positive impacts on your AIDS-related research or career objectives?

(Please attach continuation pages as necessary)

amfAR, THE FOUNDATION FOR AIDS RESEARCH
REPORT OF EXPENDITURES for RESEARCH GRANTS and FELLOWSHIPS

amfAR Grant #		Institution ID #		Report	
Recipient Institution					
Principal Investigator					
Period of Performance	From	To	Period Covered		
			From	To	

	I	II	III	IV	V	VI
Budget Item	Budgeted Amount	Expenditures First Report	Expenditures Second Report	Expenditures Final Report	Total Expenditures To Date	Balance Remaining
Salaries and Fringe Benefits					\$0	\$0
Consultants					\$0	\$0
Supplies and Materials					\$0	\$0
Equipment					\$0	\$0
Travel Costs					\$0	\$0
Other Direct Costs					\$0	\$0
Total Direct Costs	\$0	\$0	\$0	\$0	\$0	\$0
Indirect Costs	\$0	\$0	\$0	\$0	\$0	\$0
GRAND TOTAL	\$0	\$0	\$0	\$0	\$0	\$0

First Payment	Second Payment	Third Payment	Payments to Date
			\$ -

Payment Due

Attach any explanations deemed necessary

Certification: I certify that this report is correct and complete to the best of my knowledge and that the outlays and unliquidated balances are for the purposes set forth in the award documents

Name of person certifying this report	Title	Phone	e-mail

Signature of person certifying report	Date

INSTRUCTIONS

Enter the requested information only in those areas that are NOT shaded

Please contact the grants management office at 1.212.806.1696, if you have problems working with this spreadsheet

BOTH ELECTRONIC AND HARD COPIES OF THE ROE ARE TO BE SUBMITTED.

1. Please provide the ID/account number used by the institution for this grant.
2. Below the word "REPORT," enter "1" if this is the first interim report, "2" if it is the second, or "FINAL" if this is the final report
3. Below the words "from" and "to," enter the start and end dates of the period covered by this report
4. In columns II, III, and IV enter the total of expenditures for each line item during the current period
5. In the corresponding box, enter the amount of each payment received to date.
6. Type the name, title and phone number of the person certifying the report. This report must be certified by an individual authorized to sign on behalf of the grantee institution.
7. The report is to be submitted both as an e-mail attachment and signed hard copy.

Send the completed report as an Excel spreadsheet to grants@amfar.org.

A hard copy of the report, signed by an authorized institution official must be sent to
Grants Administrator, amfAR, 120 Wall Street, 13th Floor, New York, NY 10005-3908 USA