

DELINQUENT AND NON-DELINQUENT TECHNICAL REPORT PROCESSES

	CALS	COD	EDU	ENG	CHASS	COM	CNR	PAMS	COT	CVM
Does your college proactively remind PIs of upcoming due dates for progress and final tech reports?	No	no	Yes	Yes	Yes, at new award meetings and at closeout	yes, but only if I know about the upcoming dates myself. At present I don't have a system for tracking these dates.	Not of the dates, but we do remind them that a final report is due. This is done at 90,60 and 30 days before project end	New award, post award reviews reporting schedule. Notification delegated to the departments	No.	Yes
Does your college have a standard SOP for handling delinquent technical reports?	No	no	No	Yes	no	No	No	Informal, make use of data base and SPARCS notification	No.	NO
How does your college differentiate between delinquent and non-delinquent technical report notices?	We don't	no	We Don't	Normal technical reports are the ones we follow up on. Delinquent reports are the ones we are reminded of by SPARCS.		We haven't had any delinquent technical report notices since I've been here.	I don't know what this means	Do not have specific mechanism for delinquent vs nondelinquent	To my knowledge, we only receive notices on delinquent technical reports.	use the word delinquent
Do you require PIs to send you copies of both interim and final technical reports?	Request final only	no	Only Final	We only require copies of the final technical reports. Interim reports are optional.	no, though we accept them and do mention it at the beginning	There is not a set requirement, but they usually do this anyway.	yes, we request copies and upload them in RADAR	Yes	No.	No
What is your process when you receive a notice of an overdue tech report?	e-mail PI and cc department head requesting status of report. Request copy of report and transmittal	contact PI	Contact PI and Dept Head	We immediately notify the PI with a cc to the departmental contact and SPARCS.	Contact PI and find out if the problem is technical. Offer help and follow through.	Haven't received one yet.	Usually we send an email to the PI with copy to the Dept Head	Immediately email PI, if they have submitted request copy and upload to RADAR	Contact the PI and request that the report be submitted ASAP.	Communicate with PI
Do you check RADAR progress journal to see any updates on status of overdue reports?	No	no	No	Yes, the person responsible for this checks RADAR on a regular bases.	No	No	yes	Yes	Yes.	No
Is your reporting data handled via an electronic system? If so, what is it?	No	no	No	Yes. We have our own internal database for tracking our technical reports.	No.	No	no	Post award database, email	No.	no
Who do you communicate with - PI and/or PI's dept.?	both	PI	Both	Both	Both	Pis - haven't needed to go to Dept. Heads yet.	Both	PI first	PI.	Both
Do you communicate via in person, phone or email?	e-mail first then phone if necessary	both	E-mail	Email only to have a documented record of the effort put forth.	All three, however, we do document with email.	All three	all	All, email first	Usually via phone and/or email.	email

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How often will you follow up after receiving a notice about an overdue report?	Will follow-up until PI indicates report has been sent. We don't always receive a copy of the report as we	frequently until its completed	15 days and 30 Days	Until the issue is resolved or we have to turn it over to the Dean's office.	It depends on the circumstances. Some instances warrant more frequently than others.	Hasn't happened yet.	It depends upon the reason given for the late report	Weekly	Daily, until the report is submitted or PI provides a firm submittal date.	2- 3 weeks
How many times do you follow up with PI before resorting to more firm measures and/or enlisting help of Dean, Assoc. Dean, etc.?	2-3 times	I resolve without requesting the dean's assistance	2 Times	Twice	Depends on the circumstances and responsiveness of PI. At least 2-3 times	Haven't had to yet.	I usually let the Assoc Dean know after the first time, but it depends on the reason it is late.	two times	Three.	once
Is your Dept. Head notified if any overdue report notice is received? If not, at what point would you get Dept. Head involved?	Yes. Department Head is notified when first delinquent tech report request is received from SPARCS	no	Yes	The DH is involved after we attempt twice.	The Dept Head is notified if we do not receive immediate response from the PI.	If I had discussed this with the PI twice and still had no action I would then take it up with his/her dept. head.	He is copying on emails to the PIs from the beginning	After 2nd email message	No. I only contact the Dept Head, if I cannot resolve the issue w/PI.	yes
Any suggestions for handling "difficult" PIs?	No	lot of patience & persistence	No	N/A	Usually they respond only to people who outrank them. Time for the big	I haven't had this situation here, but in-person visits have		Make sure PI is aware technical reporting is PI responsibility and	No.	
Does your college have one single point of contact that SPARCS should contact, or are there several contacts?	One contact-Director of College Research Administration	yes	One contact	Yes, the Post Award Officer with a cc to the Director.	The Director of College Research Administration serves as the point of contact.	Yes, me	Director is first contact with Assoc Dean next	Xiaolin Wang, post award, Carlos Rivera, Business office, Rory Loycano, pre-award	Yes, Kina Jordan.	one
Do you require the PI to send you a copy of overdue tech reports when submitting?	We request copy but don't require it because the SPARCS policy doesn't "require" it.	no	No	Yes	Yes.	I would want to know about it.	yes	Yes	Yes.	yes
Does CRO upload technical reports to RADAR or does PI do it?	CRO only	PI	We don't load in RADAR	The College does.	The CRO submits to Debbie Hunt, as requested. If Debbie would prefer that I upload, I will do so.	CRO does it.	CRO does	CRO	CRO	CRO
What technical reports do you upload in RADAR?	Finals	none	None	Final technical reports	None	Only final technical reports.	all that we receive, interim and final	CRO uploads all reports received.	All, that I am aware of.	Final
What do you do when PI leaves - specifically about submitting technical reports?	Communicate with the PI that a tech report will be needed prior to leaving. Usually also communicate this to	no occurrence	Work closely with PI to ensure this is done prior to leaving	Work with the PI if possible at the new institution and also with the dept head of the department.	We try to obtain reports before PI departs-- otherwise, discussion about reporting, PI contact information, etc., are	Haven't had this situation.	We try to contact the PI to get the report	Require info before they leave, if already departed, department contacts PI for info	If there are co-PIs remaining within Textiles, contact them first and request the report. If not, contact lead PI's Dept Head and request that	have contact info for PI - still work with PI

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If there is a Co-I from another college, do you contact that college, about their PI's portion of tech report?	No, PI's communicate directly.	na	No, the PI's do this	That is the responsibility of the Lead PI.	No.	I would leave this up to our PI since presumably they would be working together on the project.	No, we let the PI do that	No, only lead PI. Remind lead PI to incorporate co-Pis information in report	I would contact the lead PI's Dept. Head first. I would contact the 'other college' co-PI if Textiles' Dept. Head requested that I do so.	No
What are your suggestions for helpful ways to improve process for the institution?	SOP needs to be revised to include statement that the university requires at least final tech reports be submitted to the CRO	chronic failure of PI to complete report may result in a sanction by NCSU	Tracking Database	Have a system in place tied to financials/RADAR.		Don't have anything at this point since this hasn't been a big issue for COM.		University level tracking system	Only contact CRO when reports are delinquent.	
Are monthly summaries sent out helpful, to colleges that have overdue reports?	yes	no	Yes	Yes	YES	I would think so.	yes	Yes, basis for followup	Yes.	yes
Would you be interested in a university-maintained technical reporting database?	Yes, very much so.	yes	Yes!!!!	Yes	Maybe	yes, mainly as a tool for helping me track and remind PI's of upcoming deadlines.	yes	Yes	Yes.	no