

# **INFR6.2**

## **Enhancing/Expanding SRLs Reporting Requirements**

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# Reporting Requirements for SRL awards

## Time-based reports

From your project start date, a **semi-annual progress report** is due at the end of the second quarter of each project year and asks you to report progress against your milestones.

An **annual progress report** also includes administrative sections such as personnel effort, IP disclosures, etc.

These reports have set due dates as indicated in your Notice of Award.

## Achievement-based reports

**Operational Milestone (OM) reports** are due for each OM period. OM periods are defined by the actual achievement date of the activities described by the milestone, so can vary in length unpredictably.

These reports *do not* have set due dates, and are initiated by the PD.

INFR6.2 Awards have TWO tracks of Operational Milestones that run concurrently:

- Core Operations\* Milestones (COM)
- Course/Training Milestones (CTM)

\* Note the similarity of 'operational' and 'operations', they are 2 distinct terms

- Operational: achievement-based
- Operations: activities to execute the functions of the SRL core.

# What is an Operational Milestone (OM)?

An OM is an objective measure of success as outlined in your Notice of Award.

an OM is “due” when it is achieved, which may vary from the original date listed in the Notice of Award

Once an OM is reported as complete, no further reporting is required for that Milestone

Successful achievement triggers the next disbursement of funding\*

Deficit spending not allowed, but balance carries forward automatically

\*This is different from, e.g., DISC0 or DISC2 awards, where disbursements are triggered by CIRM approval of semi-annual and annual progress reports.

# What are Core Operations and Course/Training Milestones?

For the Shared Resources Labs, we have two tracks of Operational Milestones, one for Core Operations Milestones (COM) and one for Course/Training Milestones (CTM), running concurrently.

The anticipated date of achievement for the milestones are the same for each pair: COM#1 and CTM#1, COM#2 and CTM#2, etc

However, having two separate tracks of OMs for Core Operations and for Courses/Training allows you to report achievement of one independently from the other, if their achievement becomes asynchronous.

# What if I have two OMs to report in close proximity?

If you anticipate two milestones to be achieved within a few weeks of each other (COM#1 and CTM#1, for instance), you can report both on a single OM report. CIRM will then remove the extra report and combine the related financial reports into one.

Conversely, if a significant gap exists between achievement of two milestones (COM#1 and CTM#1, for instance), you can report each separately to ensure timely disbursement of funds for the next milestone period.

# Why does the OM # not match the COM and CTM titles?

Our online milestone reporting module displays a single list of OMs with sequential numbering because, for most programs, OMs are in a single track

For this unique SRL program, we have retrofitted this system to fit a two-track design:

- OM#1 = Core Operations Milestone #1
- OM#2 = Course/Training Milestone #1
- OM#3 = Core Operations Milestone #2
- OM#4 = Course/Training Milestone #2
- Etc.

# Required information for each Report

In any report, you are reporting cumulative progress against all milestones.

Completed milestones must be initially reported in an OM report, not in a semi-annual or annual progress report.

For any “In Progress” milestones in the report, you will have to enter something in the “Progress”, “Issues”, and “Plans” sections. Additionally, please indicate the current estimated completion date (whether it remains on the original timeline or not).

For any “Not Started” milestones, you will only have to enter an estimated completion date and something in the “Plans” section.

# Why is there so much duplicate reporting?

Since every progress and OM report contains the same 'scientific reporting against milestones' section, in the case that they are substantially the same you may copy and paste the same text in both reports or indicate "see x report submitted on x date" on the later report to minimize administrative overhead.

We utilize the special "Operational Milestone" reports because milestones can be achieved at any time, and successful achievement of a milestone results in an immediate disbursement of funds to continue the project activities. This program has two tracks of milestones; thus, an abundance of reports may be required. In some cases, you may have to delay the submission of a semi-annual or annual progress report until CIRM has approved the submitted operational milestone report



# How do I know when to submit a report?

Time-based reporting requirements (semi-annual and annual progress reports) will appear in the “Action Items Needing Your Attention” section of our Grants Management Portal (<https://grants.cirm.ca.gov>) 60 days prior to the due date listed in your notice of award.

Achievement-based reporting requirements (OMs) will not appear automatically. They are “due” when the success criteria have been achieved, so it is the responsibility of each awardee to initiate the OM report as soon as an Operational Milestone has been met.

# How do I submit an Operational Milestone Report?

To submit an Operational Milestone report, the PD or their delegate logs into CIRM's Grants Management System (<https://grants.cirm.ca.gov>), navigates to "Your Awards", and then starts the OM report from their list of reporting requirements in the appropriate grant listing.

After completing the OM report according to the instructions and submitting, the Authorized Organizational Official (AOO) assigned to the award will be asked by email to provide a secondary submission for institutional concurrence.

After CIRM approval, the next project disbursement will be released by CIRM in our next pay cycle.

# Submitting Other Reports

Semi-annual progress reports can be submitted by the PD or their delegate without secondary submission by the AOO.

Annual Progress reports, because they contain administrative sections in addition to milestone progress, do require a secondary submission by the AOO.

All financial reports are submitted by the Financial Authorized Organizational Official (FAOO) and are viewable by the PD and AOO.

# Financial Reports

Time-based financial reports are due every 6 months.

OM Financial Reports are due approximately 60 days after the OM is achieved. They do not appear in the requirements queue until the OM period has been established by submission of an OM report.

If two Operational Milestones are submitted together, CIRM will also combine them into a single financial report.

CIRM-Funded Expenditures may not exceed cumulative disbursements in each OM period.

Direct costs and Facilities are reported separately

Cumulative Co-funding is reported in each financial report.

Operational Milestone Financial Summary (section currently incomplete)

Total CIRM Payments Received To Date	Amounts Through Apr 02 2019
<b>Total CIRM Payments Received To Date</b>	\$ 0
CIRM Cumulative Total Expenditure	Amounts Through Apr 02 2019
CIRM Cumulative Direct Project Expenditure	0
CIRM Cumulative Facilities Expenditure	0
CIRM Cumulative Indirect Expenditure	0
<b>CIRM Cumulative Total Expenditure</b>	\$ 0
Total CIRM Balance To Date	Amounts Through Apr 02 2019
<b>Total CIRM Balance To Date</b>	\$ 0
Awardee Cumulative Project Expenditure	Amounts Through Apr 02 2019
Co-Funded Cumulative Expenditure (Enter zero if not applicable.)	0
Contingency Expenditure Not Previously Anticipated or Budgeted	0
<b>Awardee Cumulative Project Expenditure</b>	\$ 0



# Thank You

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