

Performance Management and Reporting Procedure	Procedure Number	11.2.2.3P
	Effective Date	November 28, 2017

1.0 PURPOSE

In accordance with Management and Oversight Authority Policy 11.1 and Sponsored Awards Policy 11.2, the purpose of this document is to provide procedures on performance management and reporting for all sponsored awards received by the College.

2.0 REVISION HISTORY

Adopted on: 11/28/17

Revised on 04/20/23, 08/04/26

3.0 DEFINITIONS

- A. *Performance Period* – Every agreement will have specified beginning and ending dates. All project effort and expenditures must be incurred or encumbered during this period. If expenditures fall outside this period, they cannot be reimbursed or used as cost sharing. In some cases, pre-award costs may be pre-approved in writing by the awarding agency.
- B. *Project Manager/Principal Investigator* – Individual designated by the College to manage the sponsored award.
- C. *Sponsored Award* – A sponsored award is the transfer of money or property from an external funder that requires performance of specific duties. The funding relationship usually reflects a joint partnership in setting/meeting project goals. Most governmental funding will be for the purpose of conducting a sponsored award. The funding mechanisms used to meet this purpose can include memoranda of understanding, grants, contracts, cooperative agreements, and other legally binding means of transfer.

4.0 PROCEDURES

- A. Award Project Management
 - 1) During the Post-Award Approval and Acceptance process (see Procedure 11.2.2.1P), the Director of Sponsored Awards Services will consult with the Project Manager/Principal Investigator (PM/PI) to ensure that the scope of work is understood, and the award performance objectives can be met.
- B. Performance Reports
 - 1) The PM/PI is responsible for meeting performance objectives and complying with reporting requirements.
 - 2) The Director of Sponsored Awards Services will provide assistance to the PM/PI in determining, tracking, and reporting of award deliverables and required performance measures.
- C. Confidentiality and Privacy
 - 1) To comply with FERPA, HIPAA, privacy laws and regulations, 2 CFR 200.303, and best practices, the College deems it necessary to take all reasonable measures to safeguard protected personally

identifiable information and other information that is considered sensitive. It is the responsibility of the PM/PI to review reports that contain personally identifiable information (PII) on employees, students, or others. If sensitive information is identified within the report, the PM/PI must ensure redaction or verify usage and security of the submission system, prior to submission.

- 2) If a request is made for information to be released to any party other than the funder, the PM/PI must work with the Director of Sponsored Awards Services, the Director of Institutional Research and the College's Public Records Officer in Marketing & Communications prior to release.

D. Timeline and/or Outcomes Not Meeting Performance Plan

- 1) If significant developments, such as problems, delays, adverse or favorable circumstances arise between scheduled performance reporting dates, the PM/PI must inform the Sponsored Awards Services Office, who will subsequently notify the sponsor.

E. Record Retention

- 1) Following award closeout, all supporting documentation and award records shall be maintained and stored securely by the PM/PI and the Sponsored Awards Services Office, with access limited to authorized personnel. Paper and electronic records shall be retained in accordance with Records Retention Policy 9.5, Records Retention Procedure 9.5P, and any applicable sponsor requirements. If retention requirements differ, the most restrictive requirement applies.