



Principal Investigator (PI) Compliance

A Guide for Elements and Principal Investigator Teams



How well is the Principal Investigator (PI) performing on the research project?

Has the PI submitted Annual Performance Reports on time?

Completed the Data Submission using the agreed upon format by the due date?

Is the PI on target to deliver the Final Performance Report and other reporting to close out the award on time?



Compliance is Delivering On Time

- Funded PIs and their Institution will be evaluated by the following two criteria:
 - Did the PI create and sign the RDSA by the due date?**
 - Did the PI submit data as agreed upon in the RDSA?**
- The Research Data Submission Agreement (RDSA) lists the data products to be submitted to the LSDA and the timeframe in which they should be submitted.
- A compliance score is based upon these milestones:
 - Completing the RDSA on time.
 - Identifying the Responsible Repository correctly.
 - Submitting annual performance reports on time.
 - Completing data submissions to the NASA or Public Repository on time using the agreed format.
 - Completing data validation and acceptance process with the LSDA Archivist and Funding Element on time.

Due dates are important milestones used for compliance checks!

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(Compliance is Delivering On Time – Continued)

- A PI is defined as non-compliant if they are late by one or more days for a deliverable.
- Non-compliance can impact a PI's status to receive future awards.
- Read the "RDSA" and "Escalations" training sheets.
- Those with access to the JSC network can read the detailed [LSDA Research Data Submission Blank Book](#) Work Instruction in the [HHP Hall Document Library](#).



Submit Annual Performance Reports On Time

- Performance reports are submitted **annually** to coincide with Period of Performance (POP) Start and are required before the Program Officers can release second and third year funding.
- The PI and the Authorized Organizational Representative (AOR) will get a reminder email from NSSC.
- The PI should submit the annual performance reports to these three entities and report at the annual HRP Investigators Workshop:
 - NSSC-Grant-Report@mail.nasa.gov
 - [HRP Grants Technical Officer](#)
 - [Task Book](#)
- Annual performance reports should include the following and a review by the funding Element:
 - Title of the grant and Grant number.
 - Name of the principal investigator.
 - Dates covered by the report, and grant year (Y1, Y2, etc.).
 - Name and address of the recipient's institution.
 - Technical accomplishments and discoveries from the study.

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- Significant HRP Mission Deliverables and if the research helps close a gap.



Plan Adequate Time for Data Delivery

- The Archivist requires adequate time to complete their task of reviewing, providing feedback for cleanup, cataloguing, and archiving your data correctly per RDSA instructions.
- Plan to submit your data no later than the agreed 60 days prior to POP End in the agreed format.
- You will receive reminders at -120, -90, and -60 days prior to POP End that your research is due. *Read the “RDSA” training sheet.*
- Need more time? Check with the GTO for any required approvals.
- Recipients can request a No-Cost Extension (NCE) for extra time using this link: [Grant/Cooperative Agreement No-Cost Extension Request | NASA](#).
- Read the “Administrative Changes and Supplements to Grants” training sheet for more information about NCEs.

A PI is defined as non-compliant if they miss a due date by one or more days.

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Award Closeout Has a Due Date

- The project doesn't end with delivering the science to the Archivist and Funding Element per the RDSA and SOW.
- The PI is responsible for a Final Performance Report as well as any other technical deliverables called out in the Proposal (e.g. software, hardware).
- Closeout activities for supporting documentation, as required, must be completed within 120 days after POP End.
- Read the “Award Closeout Activities” training sheet or contact the HRP Grants Technical Officer jsc-sa-grants@mail.nasa.gov.



Non-Compliance and Escalations

- A PI is defined as non-compliant if they are late by one or more days.
- Data delivered inconsistent with the agreed upon format specified in the RDSA is non-compliant.
- The compliance status will be changed to compliant after the PI settles outstanding work.
- Repeat offenders will be referred to HRP program management.
- PI and Recipient non-compliance may affect their ability to obtain future awards.