

## **GRANT REPORTING GUIDELINES**

The Andrew W. Mellon Foundation

The Foundation requires that narrative and financial reports be submitted together on a schedule established in the Foundation's award letter, or as modified in subsequent correspondence. When preparing reports, grantees should review the Foundation's [Grantmaking Policies](#), which are also available from Foundation staff. The financial accounting (including interest earned) should be specific to the grant; any other Foundation grants should be reported on separately.

If unusual circumstances arise that may occasion delays, please promptly inform Foundation staff. The Foundation reserves the right to suspend and require the return of funds for delinquent or unsatisfactory reporting.

All reports should be submitted through the Foundation's grantee portal, Fluxx. Please enter the report details on the Report form provided and upload attachments as necessary.

Please do not hesitate to contact Foundation staff with any questions regarding these guidelines or use of the grantee portal.

### **Reporting Components**

In grant reporting, grantees are expected to describe and evaluate the activities undertaken and to account for the use of grant funds during the reporting period.

The narrative portion of the report should include the following:

- a. progress made toward the expected outcomes of the grant and any other significant accomplishments;
- b. any setbacks or challenges to the progress of the grant activities;
- c. significant changes to organizational leadership, management, or grant management staff since the last report;
- d. lessons learned by your organization from the grant-funded activities (final reports only);
- e. plans and/or goals for the upcoming reporting period or, in the case of the final report, for the period subsequent to the grant;
- f. a description of any recent evaluations related to the grant;
- g. a list or description of any publications, news articles, or other materials related to the grant;
- h. a narrative explanation of any significant variances between proposed spending and actual spending in each category. Please also provide an explanation if investment income had been anticipated but not earned. If investment income had not been anticipated, please explain why;
- i. if an administrator other than the principal investigator submits the report through the portal, please upload a cover letter from the principal investigator indicating that he or she has reviewed and approved the report; and
- j. if any supporting materials are provided, please explain any publication and/or reproduction limitations, including any associated copyrights.

The financial accounting should include:

- a. the original amount of the grant, interest income earned, and the current remaining balance;
- b. the full project budget as originally proposed, or as agreed to in an approved modification;
- c. expenditures for the reporting period using the same expense categories set forth in the proposal budget or as agreed to in an approved modification; and
- d. confirmation of review by an individual with institutional responsibility for financial reporting, including the review date.

For grants awarded prior to April 2018, financial reports should be prepared on the same Budget and Financial Report template submitted with the proposal or the approved Revised Budget and Financial Report template (if applicable).

Please note that a grantee who believes that a change of grant terms is needed should correspond with Foundation staff about the proposed modification prior to submitting a report. Grantees should consult the Foundation's [Grant Modifications](#) policies for further instructions on requesting modifications of grant terms.

## **ADDITIONAL GUIDELINES**

### **Grants with Intellectual Property**

Grantees are expected to describe the intellectual property created pursuant to the terms of the proposal and intellectual property agreement, and whether and how any software and/or digitized content has been made publicly available.

When preparing the final report, grantees should include any codes, licenses, or related technologies developed during the grant term, or explain where and how the Foundation may obtain them.

The Foundation's [Intellectual Property Policy](#) is available on the Foundation's website and from Foundation staff.

### **Collaborative Grants**

Grantees should report on the activities and expenditures of all collaborating organizations.

### **Grants to Non-US Institutions**

Non-US institutions should report on expenditures in the same currency used to prepare the original budget.

### **Endowment Grants**

Grantees that have been awarded endowments should report on the use of endowment funds and investment performance in the Foundation's grantee portal. The completed financial report should include confirmation of review by an individual with institutional responsibility for financial reporting and the review date.

If income from the endowment has declined during the reporting period or is not sufficient to cover budgeted expenditures, the report should describe how the organization is managing this shortfall in available grant funds.

Grantees with endowments of less than \$100 million should also provide, at the end of each of the three fiscal years subsequent to the grant award, the following:

- a. a summary of the actions taken by its investment committee during each fiscal year and a list of the members who attended the committee meetings; and
- b. a report on investment performance for the past one, three, five, and ten years.

### **Matching Grants**

Grantees should describe progress toward meeting the matching conditions of the grant. For instructions on requesting the release or payment of matching funds, grantees should consult the Foundation's guidelines on [Matching Grants](#).

### **Grants for Cash Reserves**

When reporting on grants for cash reserves, grantees should describe whether the organization utilized the awarded reserve funds during the reporting period, and, if so, for what purpose. A detailed list of activities supported by reserve funds is not necessary. The financial accounting of how reserve funds were used should be uploaded to the grantee portal and submitted with the narrative report. The

accounting should include: total fund amounts at the beginning and end of the reporting period; withdrawals, repayments, and additions to the fund during that period; and the schedule of any outstanding repayments.