

# Research and Sponsored Projects Manual (RSP)

## RSP 509–02: Reports and Deliverables from Sponsored Projects

Effective: 1/2/1987

Revised: 11/01/2024

### Purpose

To outline the responsibilities of the principal investigator and the Office for Research and Sponsored Projects Administration (ORSPA) for reports and deliverables required by the funding agency

### Sources

Code of Federal Regulations 2 CFR §200.328 – Monitoring and reporting program performance

Code of Federal Regulations 2 CFR §200.329 – Reporting on real property

Code of Federal Regulations 2 CFR §200.343 – Closeout

Knowledge Enterprise (KE)

Office for Research and Sponsored Projects Administration (ORSPA)

### Policy

#### Principal Investigator (PI) responsibilities

The PI is responsible for the preparation and timely submission of all technical reports and deliverables associated with the sponsored project. This includes periodic technical progress reports, deliverables invoicing technical results, and the final technical report.

PIs must ensure that all reports comply with federal requirements, including those outlined in 2 CFR 200.328, which mandates monitoring and reporting program performance.

The PI is responsible for retaining copies of the following, as applicable:

1. Progress reports
2. Deliverable confirmations
3. Final technical report
4. Submittal letter or e-mail confirmation to the funding agency

The PI is also responsible for maintaining source documents that support transactions recorded in the financial system.

#### Office for Research and Sponsored Projects Administration (ORSPA) responsibilities

ORSPA is authorized to prepare and is responsible for the timely submission of all expenditure reports and invoices to the sponsor. All expenditure reports must be supported by the official ASU file and underlying records. All expenditure reports must comply with 2 CFR 200.343, which outlines closeout requirements, ensuring that all financial, performance and other reports are submitted by the terms and conditions of the federal assistance award.

ORSPA is also responsible for the submission of other non-technical reports, including but not limited to the Patents and Inventions report, Contractor's Release, Contractor's Assignment of Refunds, Rebates and Credits, and the Property Certification or Inventory Report.

**Consequences of noncompliance**

Most funding agencies withhold payments and may not approve subsequent awards to the PI, department, or university if technical deficiencies, such as late and/or inadequate technical reports, occur. Failure to submit past due technical reports after being notified by ORSPA could result in the PI becoming ineligible to serve as PI on sponsored projects.

If sponsored project funding is not received due to nonsubmission of a progress report, required deliverable or an inadequate technical or milestone report, the PI and/or department will be responsible for any deficit due to sponsor nonpayment. Deficits will be processed as outlined in [RSP 509-04](#), "Sponsored Project Agency/Org Deficit/Account Closeout."

**Procedures**

See [WI-EP-110](#), "Submit invoices and reports", for detailed procedures.

**Additional Information**

For definitions of underlined terms, see the [ORSPA Acronyms and glossary](#) webpage.

**Cross-References**

[RSP 509-04](#), "Sponsored Project Agency/Org Deficit/Account Closeout."