

## Sponsored Project Reporting Guidance and Delinquent Report Notification

Research Sponsors have become increasingly stringent about the timeliness of deliverables which is a key mechanism of financial accountability and stewardship. The guidelines described below are intended to help ensure compliance with sponsors' award terms and conditions and preserve Brown's good standing, payments, and future funding.

Deliverables due at a project's end date vary by sponsor and by agency, responsibilities are identified below for the most frequent type of reports:

- A **technical/scientific/progress report** (i.e., annual and/ or final) – Principal Investigator (PI)
- A **final financial report** – Office of Sponsored Projects (OSP) after PI/ Department Administrator (DA) review
- A **final invoice or a request for a final funds draw** (for our Letter of Credit sponsors) - OSP
- An **invention/patent report** – PI/DA, OSP verifies positive reports and submits
- A **property/equipment inventory** report – PI/ DA completes, OSP submits
- A **cost-share report**, or validation of any cost-sharing on the main financial report – PI/ DA, OSP verifies and submits
- Other **non-financial reports** (e.g., assignment and release form) – PI/ DA as needed, OSP

Principal Investigators (PIs) are required to understand and comply with the technical/programmatic reporting requirements of their awards, which involves becoming familiar with reporting formats, templates, and any online submission portals. OSP is available to help you understand the terms and conditions of your award, including report due dates and processes. Our complete guidance on closing out an award is [here](#) and [here](#).

### Notification and Escalation

**1st Notice** - When reports are **coming due or recently overdue**, including initial close-out requests, OSP will forward the request to the PI and DA. OSP will provide guidance, as applicable, for completing the request and any relevant information provided by the sponsor.

**2nd Notice** - At the first **follow-up request** from the sponsor or when reports are delinquent, OSP will forward the request to the PI, DA and copy the department chair/center/institute/ library director. In cases where a PI departs Brown University without completion of final deliverables, the department/center/institute or library remains responsible for submission of all reports and for responding to audit questions should they arise.

**3rd Notice** - With **further follow-up requests or when the University is being warned of punitive/corrective agency actions**, OSP will forward the request as outlined in 2nd Notice and copy the Vice President for Research and Associate Vice President for Research. Seriously delinquent report requests and potential adverse sponsor actions may also be shared with Deans and the Provost.

At this stage, the University may exercise its own remedies and corrective actions.