



# Departmental Administrative Policy and Procedure

**Subject:** Sponsored Project Progress and Technical Reports

**Number:** UW DAP 9-3.3

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## I. PURPOSE

To outline the expectations and requirements of the University regarding the submission of Progress or Technical Reports to award sponsors and provide notice of the potential corrective actions the University may impose for failure to comply with reporting requirements.

## II. DEFINITIONS

**Authorized Organizational Representative (AOR):** A designated individual, usually within federally sponsored awards, who is authorized to act in certain ways on behalf of an organization.

**Principal Investigator (PI):** The primary individual responsible for the overall conduct of the research or sponsored project, ensuring compliance with all sponsor terms and conditions, scopes of work, applicable laws, and University policies and procedures.

**Progress and/or Technical Reports:** Reports that provide performance information to sponsors regarding the results associated with financial assistance or contractual agreements awarded to the University by describing scientific progress, identifying significant changes, reporting on personnel and any travel activity and describing plans for the subsequent budget period or year.

## III. POLICY

Sponsored awards generally require Progress or Technical Reports in order to document accomplishments and compliance with award terms. The University requires that all Progress or Technical Reports are submitted to sponsors per deadlines outlined in the award conditions or federal regulations. Completing the mandated Progress and Technical Reports and ensuring any reporting required of others working on the award are submitted by the specified deadlines is the responsibility of every PI. Past due reports place the University's funding at risk and could create critical compliance issues.

Any questions regarding the reporting process for a specific award can be directed to the Office of Pre-Award Services (Pre-Award) or the Office of Sponsored Programs (OSP). Both departments will make every effort to assist PIs with meeting reporting requirements.

## **IV. PROCEDURES**

### **A. Submission Procedures.**

- 1.** PIs are responsible for understanding the terms and conditions of their awards including the expectations for submitting Progress and Technical Reports. Federal regulations and many awards also specify the required formatting and how to submit Progress and Technical Reports. Compliance with these requirements is the sole responsibility of the PI on the award.
- 2.** Some awards may specify that the AOR should sign or submit the Progress or Technical Reports. If this is a requirement of the award, it is the PI's responsibility to submit the information needed to the AOR. This information must be submitted five (5) business days prior to the reporting deadline.
- 3.** Some awards may specify that Progress or Technical Reports be submitted in conjunction with financial reporting information. If this is a requirement of the award, the financial information reported must come from OSP. It is the PI's responsibility to request the necessary financial information from their Post-Award Specialist at least five (5) business days prior to the reporting deadline.

### **B. Delinquency Notice**

- 1.** If Pre-Award becomes aware that a PI has not submitted Progress or Technical Reports on time, they will send a delinquency notice to the PI and the PI's Department Chair/Head or Director. The notice will stipulate a specific date that the delinquent Progress or Technical Report must be submitted to the sponsor. All delinquent Progress and Technical Reports must be submitted to Pre-Award as well.
- 2.** If an AOR receives notice from the sponsor that a PI has Progress or Technical Reports which are delinquent by two (2) months or more, Pre-Award will issue a delinquency notice with a compliance deadline of no longer than five (5) days to the PI and copy the PI's Department Chair/Head or Director. Upon receipt of the notice by the PI's Department Chair/Head or Director, initial corrective action may be taken.
- 3.** Pre-Award will only send a maximum of three (3) delinquency notices for overdue Progress or Technical Reports. Failure of a PI to meet the deadline designated in the final delinquency notice may result in corrective action by the University per Section V below.

**C. Record Retention.**

1. ROAMWyo (Cayuse) is the official repository for all documents related to each award granted to PIs at the University. All award documents, including Progress and Technical Reports, must be retained in ROAMWyo for the retention period specified by each individual award. Once the Progress and Technical Reports are within ROAMWyo, the PI and the department are no longer required to retain the documents for the period specified by the award and University record retention policy.
2. PIs must upload copies of the Progress or Technical Reports to the ROAMWyo Award Form. They may send a copy of their Progress and Technical Reports to [projrpts@uwyo.edu](mailto:projrpts@uwyo.edu) as well. If any Progress or Technical Reports are required by the sponsor to be submitted in a web-based form, a screenprint/shot must be uploaded to ROAMWyo or sent to [projrpts@uwyo.edu](mailto:projrpts@uwyo.edu) as proof of their submission.

**D. Departure of PI.** PIs who are leaving the University for any reason must complete all Progress and Technical Reports prior to their last official working day at the University. Exiting PIs with courtesy appointments are expected to meet reporting obligations for ongoing awards throughout the lifecycle of the award, including all final reports.

**V. CORRECTIVE ACTION**

Past due Progress or Technical Reports place the University's future funding at risk and create a critical compliance issue which could result in negative actions against the University such as, but not limited to, a loss of federal funding, termination of awards, withholding of future awards, and costly audits of the University. In order to mitigate potential financial and other risks to the University, any Progress or Technical Reports overdue to the sponsor require immediate attention to avoid potential penalties.

- A. Initial Action.** Pre-Award will notify a PI's relevant Department Chair/Head and Dean of any Progress or Technical Reports that are past due by two (2) months or more. Department Chair/Heads and Deans may impose any of the following potential repercussions:
1. Withhold setup of new awards in which the individual is either a PI or a co-PI;
  2. Withhold submission of new proposals by the PI, including being a co-PI on a new proposal;
  3. Not process any incoming requests (such as a no-cost extension) in which the individual is either a PI or a co-PI;
  4. Remove the PI's eligibility to serve as a PI on future proposals; and
  5. Other potential consequences related to [UW Regulation 2-7: Procedures for Reappointment, Tenure, Promotion and Fixed-Term](#) and the University Employee Handbook.

- B. Escalated Action:** If a PI has multiple delinquent Progress or Technical Reports, any given Progress or Technical Report is more than six (6) months past due, or a sponsor requests immediate action by the University, the University may take additional corrective employment action as outlined in the University Employee Handbook.
  
- C. Indirect Costs Distributions.** To mitigate potential financial risk to the University, all indirect cost distributions for PI awards will be retained centrally until all outstanding Progress and Technical Reports have been submitted to and accepted by the sponsor. The retained funds will be used to address any financial impact to the University as a result of the delinquent reports. Once all delinquent reports are appropriately submitted, the Directors of Pre-Award and OSP will together determine what funds, if any, will be released to the PI. Each award will be reviewed on an individual basis.
  
- D. Exceptions.** The University recognizes extenuating circumstances can arise. PIs should immediately report to the Directors of Pre-Award and OSP any concerns of delinquent reporting before the deadline has passed. The Directors of Pre-Award and OSP will review these situations on a case-by-case basis to determine if an exception applies.

**Responsible Division/Unit:** Office of Budget and Finance and the Research and Economic Development Division

**Source:** [2 CFR 200.329\(c\)\(1\)](#)

**Links:** <http://www.uwyo.edu/regs-policies>

**Associated Regulations, Policies, and Forms:** [UW Code of Ethical Conduct](#)

**Approved:** 4/13/2026