Administer an Award

Once an award is finalized, administration of the funding (post award) is handled by the Controller’s Office and department Research Administrator (RSAs or Post-Award Staff). Post award administration requires tracking and reporting for all the sponsored research funding and milestones.

The Controller’s Office provides several resources for the general management of the Post Award process:

- Contracts & Grants Accounting
- Gifts and Endowments

On this Page...

- Effort Reporting
- Progress Reports
- Modifications to an Award

Effort Reporting

Due to federal regulations on reporting effort commitments in sponsored research, it is critical to keep track of the amount of time faculty spend on sponsored projects.

See the Controller’s Office Effort Reporting page for more information.

Progress Reports

Progress reports are sponsor required reports providing specific information about the activities and accomplishments of a PI during a budget/project period of a grant. Depending on the sponsor, progress reports may contain only narrative information or only financial information, or both, and may be required at varying intervals (e.g., annually, bi-annually, etc.).

- Summary of NIH Policy regarding Senior/Key Personnel and Key Investigator: This chart provides definitions, who designates, requirement, and references for proposals, other support, prior approval and COI.
**Service Expectation:** The PI or Post Award Analyst on behalf of the PI will notify the RSC of upcoming progress reports:

- At least 30 calendar days prior to deadline for standard grants.
- At least 60 calendar days prior to deadline for large grants such as proposals with subcontracts.
- 4-6 months prior to deadline for Program Project Grants (PPG), complex Center, institutional training grants and U grants.

**RSC Responsibilities:**

- For NIH continuations (RPPR), RSC is responsible for updating institution information and completing administrative sections: verifying regulatory requirements with PI, budget and new personnel.
- For non-NIH awards, review the award terms and provide PI and Dept with a timeline and list of responsibilities to complete the progress report.
- Confirm whether prior approvals are needed (e.g. due to change in effort or addition of an international subcontractor).
- Work with PI and department to develop budget as required
- For personnel outside of the department or UCSF, RSC will gather personnel effort data as needed to fulfill reporting requirements.
- Receive effort information from Department. If necessary, format information into Sponsor-specific forms/reports, conveying any specific level of detail required.

**PI Responsibilities:**

- Responsible for scientific portions of the progress report.
- Responsible for reporting reference publications and ensuring publications have PubMed Central Identifiers (PMCID) if required by sponsor.
- PI may serve as main point of contact for personnel outside of the department or UCSF if requested. This entails collaborating with RSC to complete all personnel effort and/or other Sponsor effort reporting.
- Notify RSC if prior approval required. (e.g. due to change in effort or addition of an international subcontractor).

**Department Responsibilities:**

- Notify RSC of upcoming scientific and other progress reports due dates on behalf of PI in accordance with the Service Expectations outlined above.
- Provide and confirm Other Support documentation.
- For NIH awards, confirm whether the unobligated balance comprises 25% or more of the total direct costs.
- Confirm whether anything needs to be re-budgeted.
- For personnel within the department, Department staff will provide information for all personnel effort and/or all other effort reporting required by University or Sponsor.
- Notify RSC if prior approval required. (e.g. due to change in effort or addition of an international subcontractor).

**Determining NIH Progress Report Due Dates:**

NIH has a **query** that will return a list of progress reports that are listed as "due" within the next 4 months.

The IPF number for UCSF is 577508

**Modifications to an Award**

**Administrative Modifications** are changes to an existing award that do not affect the approved budget total or the approved performance period of the award. The changes may be initiated by the Principal Investigator, the department or the Sponsor. Administrative modifications need to be updated in RAS. RMS will ensure that Sponsors? Administrative Requirements have been met (i.e., prior approval requirements per the terms of the award) and compliance requirements (e.g. PI Status, COI, IRB/IACUC approvals, approval of all parties involved) are in place before submitting a request to CGA to update the award in RAS.

Example of Modifications:

- **Carryforward**
- **Change in Key Personnel**
- **Change in the Status of Award PD/PI**
- **No Cost Extension**
- **Re-budget**
- **Placing or Lifting of Restrictions**