

<b>University of Kentucky</b> College of Medicine Sponsored Research Administrative Services	Identification M-SRAS 008 Version 2		Contact: SRAS Manager
Standard Operating Procedure	Date Effective:	2/8/2016	Page 1 of 3
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## Submission of the Annual Progress Report/Non-competing Renewal to Health Resources and Services Administration (HRSA)

**Purpose:** The purpose of this operating procedure is to clarify and define the roles of the Principal Investigator (PI), Department Administrator (DA), and the Sponsored Research Administrative Services (SRAS) Grant Proposal Specialist (GPS) and Grant Analyst (GA) with regard to submitting an Annual Progress Report/Non-competing Renewal to the Health Resources and Services Administration (HRSA).

**Introduction:** Grants and contracts for sponsored projects represent a contractual obligation between the sponsor and the University for the performance of a specific activity through which the sponsor is entitled to receive some consideration or benefits. The contractual obligation is normally documented by a proposal and award combination, contract, or a written memorandum of agreement. The University assumes full legal responsibility for complying with all requirements imposed by the sponsor upon acceptance of grants and contracts for sponsored projects, including a requirement for a report of expenditures or a provision for an audit. In turn, the College of Medicine must ensure its faculty members are in compliance with all University and sponsor requirements.

Very often, HRSA requires the grantees institution to provide an annual progress report. This procedure explains the process for the online submission of that report through the HRSA Electronic Handbook, or EHB.

**Procedure:**

1. The PI will alert the GPS if he or she has received a notice that an annual progress report is due. The OSPA (Office of Sponsored Projects Administration) Research Administrator (RA) should cc: the GPS, the DA, and the programmatic staff person for the PI on any notices received regarding a due date for a programmatic report. The GPS will keep OSPA informed as to the appropriate distribution contacts for each department. Typically, no effort reporting or unobligated balance is required to be provided in HRSA progress reports. If there are special reporting requirements, the GPS will consult with the Grant Analyst (GA).

In most cases, these reports to HRSA will require substantial involvement of the program coordinator or other project staff. There will be some assistance available for administrative

and financial items from the GPS. In some cases, there may be no GPS involvement, unless an eIAF is required due to specific circumstances, such as a 25% or more budget change.

In instances where the GPS can provide assistance in completing institutional information, the PI should grant OSPA's Authorized Organization Representative (AOR) access and the GPS will thereby gain access to the progress report in EHB.

The GPS will coordinate with the DA on the level of involvement the DA will have in the progress report submission process. This SOP assumes that the DA is involved in the review and approval of the progress report and any revised budgets.

2. The PI must complete the following sections of the report:
  - a. Performance narrative/progress report
  - b. Budget narrative and justification
  - c. Other required project or science-related attachments depending on the conditions of the award—staffing plan, work plan, etc.
3. The GPS will complete the following sections of the report, as needed:
  - a. Cover page or administrative items as appropriate
  - b. Budget, with PI and DA input.
4. The GPS will alert the PI when he or she has completed the above-referenced items within the report and provide the PI an opportunity to review the complete report.
5. Once the PI approves, the GPS will alert the RA in OSPA that the report is ready for submission. If the report includes any financial information, the DA will be provided an opportunity to review and approve the report prior to submission.
6. Note that the PI or RA can submit the report in EHB.
7. If the RA is submitting the report, the GPS will confirm submission to HRSA, if possible, and alert the PI and DA according to the sponsor's system of confirming submission and receipt.

#### **Roles and Responsibilities:**

**Principal Investigator (PI)** is responsible for:

1. Alerting the GPS that a report is due.
2. Delegating access to GPS to complete administrative and/or financial sections.
3. Completing performance narrative/progress report, budget narrative and justification, and other required project or science-related attachments depending on the conditions of the award – staffing plan, work plan, etc.
4. Reviewing final report and providing approval before submission.

**Department Administrator (DA)** is responsible for:

1. Alerting the GPS that a report is due, if they're aware of the deadline and have been delegated by the PI to alert the GPS.
2. Delegating access to GPS to complete administrative and/or financial sections, if they've been

delegated access by the PI.

3. Reviewing financial information in the final report and providing approval before submission.

**Sponsored Research Administrative Services (SRAS) staff** is responsible for:

1. Initiating the eIAF; following eIAF SOP as for regular, full proposal, if there has been a change warranting a new eIAF.
2. Completing the Cover page or administrative items as appropriate, and the budget, with PI and DA input.
3. Coordinating submission to sponsor with RA in OSPA, if necessary.
4. Alerting PI and the DA once RA confirms successful submission.

### **Abbreviations**

AOR—Authorized Organization Representative

DA—Department Administrator

EHB—Electronic Handbook (HRSA’s online application and grant reporting system)

eIAF—electronic Internal Approval Form

GA—Grants Analyst (in SRAS)

HRSA—The Health Resources and Services Administration

GPS—Grants Proposal Specialist (located in Sponsored Research Administrative Services)

NIH—National Institutes of Health

OSPA—Office of Sponsored Projects Administration (located in the Vice President for Research Office)

PI—Principal Investigator

SRAS—Sponsored Research Administrative Services