NEW AWARD SET UP
Revised December 31, 2022

WHEN TO SET UP AN AWARD

A **Transfer of Funds (TOF)** received via the PAN system is a good indication that a new award set up may be required.

Credit TOFs usually reflect new monies/appropriations that are allocated into a fund by either UCLA ORA Office of Research Data Managements (ORDM) (e.g. new/continuation/renewal award), or other Departments (e.g. linked Co-Is).

Here is an example of a TOF for a new award processed by ORDM:

Prepared By: BROWN, STEVEN L.		Effective Date:	07/01/2019	Type Entry	14		Wip No: 2414693

Phone: 3107942841   **Trans No:** 010017   **Dept:** 4 -3092 -OFFICE OF RESEARCH DATA MANAGEMENT

Explanation: INSTITUTION: 20184229 SPONSOR:NIH-NIAID PI:ROBERT L MODLIN AWARD:R01AI022553 TYPE:NEW BUDGET PERIOD 7/1/2019-6/30/2020 F&A:(MTDC) 56% AMOUNT:$680,666

Loc	Account	CC	Fund	Project	Sub	Source	Description	Temp Debit	Temp Credit
4	229000		31130		20		APPROPRIATE FUNDS	680,666.00	
4	441345	RL	31130		08		APPROPRIATE FUNDS		482,991.00
4	441345	RL	31130		9H		APPROPRIATE FUNDS		197,675.00
							Total	680,666.00	680,666.00

Another indicator may be the **Notification of Award (NOA) Transaction in Process** email from OCGA. OCGA will send an email to the PI whenever a new Notice of Award is received, and in process. This email precedes the ORDM TOF. Receipt of this email is also a good time to assure OCGA has all of the documentation (e.g. EPASS, PI Exception, IRB or IACUC approvals, COI, etc) in order to process the award.

Here is an example of an **NOA Transaction in Process** email:

From: ORA Reports <DoNotReply@research.ucla.edu>
Date: April 10, 2019 at 4:15:17 AM EDT
To: <jbruin@mednet.ucla.edu>, <closing@mednet.ucla.edu>
Cc: <PATSRecords@research.ucla.edu>, <awards@research.ucla.edu>
Subject: OCGA Award Transaction In Process: New from NIH-NIAID National Institute of Allergy and Infectious Diseases [2R01AI022553-35] for Bruin, Joseph (UCLA PATS Record Number: 20184229)

Notification of Award Transaction In Process

Dear Dr. Bruin

The Office of Contract and Grant Administration (OCGA) is in receipt of an award transaction for the following project:
Sponsor name: NIH-NIAID National Institute of Allergy and Infectious Diseases
Action: New
Project Title: Molecular Analysis of Host Immune Response in Leprosy
Award Amount This Action: $680,666

Acceptance of this award transaction is in process. However, if there is funding provided in this award you should not incur expenditures nor act on this award until you receive official notification that the award has been finalized and a fund number established or a Request for Advance Spending (RAS) account has been setup.

All compliance requirements must be confirmed before the agreement can be accepted, including any of the following:

Completed EPASS, PI exception, F&A exception
IRB or IACUC approval
Approval if significant budget or scope changes
COI disclosures

This agreement has been assigned to Perez, Samuel (sperez@research.ucla.edu) if you have any questions in the interim.

Thank you,
OCGA Award Intake Team

STEPS TO SETTING UP AN AWARD (Award Set-Up Checklist)

STEPS	NOTES

1. Create Shared Drive Folder for New Award
 • Award subfolder should be listed under PI folder
 • Fund Name should be "Fund Number – Grant Short Name", e.g. "29715 – Athero R01"
	* Create subfolders for:
	   a. Award Snapshot / Notice of Award
	   b. Transfer of Funds
	   c. Pre-Award / Proposal - with final Budget clearly marked
	   d. Progress Reports
	   e. Cost Transfers
	   f. Correspondences
	   g. IACUC / IRB Approvals*
	   h. Subawards*
	   i. Just-In-Time (JIT)*
	   j. Supplements*
	   k. Other folders as needed

2. Review & File Award Snapshot / Notice of Award	* Assure info on Sponsor's Notice of Award is correct & matches OCGA's Award Snapshot. * Highlight any non-standard restrictions. * Determine if sponsor included budget cuts. If so, were they across the board or category specific?
3. Add due dates in Outlook Calendar for all Sponsor required reports	* It is a good idea to use your Outlook calendar with reminders. * Reports include: Progress Reports, Competitive Renewals, Fiscal Reports, NCTE, Invoices, etc. * Be sure to set reminders early enough so that the reports can be completed prior to the due date.
4. File copy of appropriation TOF PDF from PAN System	* Documentation should be filed in an electronic shared drive, to act as backup documentation when reconciling ledgers, or in case of an audit * Compare TOF amounts with NOA to confirm they match
5. Flag & File Final Approved Budget	* Review Notice of Award against final budget. Determine if sponsor included budget cuts. If so, were they across the board or category specific? * If you are the linked Acct-CC (i.e. Co-I) request a copy of the budget and Award Snapshot from the primary fund manager.
6. Compare proposal budget, NOA & TOF for congruency	* Check budget figures to ensure correct amount was allocated to direct (sub 08) & indirect costs (9H). * Check that the appropriate F&A rate was assigned to the fund. * Update internal Excel budget as necessary*

7. Notify PI award has been processed	* Remind PI of any non-standard restrictions. * Review final budget with PI, and obtain approval to process TOF to UCLA Co-Is.* * Review budgeted personnel with PI, and obtain approval to add new FAU to funding distributions on UCPath.
8. Update PI's Other Support/Current & Pending Support	* Add new funding details to PI's OS * Provide information to Co-I's
9. Allocate Funds from Sub 08 into the various budget categories/subs based on Sponsor approved budget	* Modular budgets – Allocate funds based on the internal detailed budget. Funds should never stay entirely in Sub 08. See DOM Fund Manager Manual Chapter "TOFs - How to Process a Transfer of Funds (TOF)"
10. Process TOF to Co-Is*	* Be sure to cc EFM (or General Accounting, depending in fund type) on TOF to request linkage of the Co-I's Acct-CC to your fund. Factor any sponsor budget cuts in TOFs to Co-Is.*
11. Request Recharge ID Set Up*	* Complete Recharge ID Request Form online. * Only needed if grant includes use of DLAM, Mail & Document Services, Catering, & Medical Center Services (laundry & catering) & Faculty Center.
12. Set up Purchase Requisitions for Subawards*	* Factor any sponsor budget cuts in total amount to subawardee.*
13. Assign appropriate fund manager & add short name from step 11 under "Internal Fund Title" in FPM	* See DOM Fund Manager Manual Chapter "FPM – How to Designate the Fund Manager"
14. Add to Account List*	
15. Inform lab purchasing coordinator and BruinBuy preparer of new FAU.	* Assign a short name to the award e.g. "Leprosy R01", for inclusion on order forms.
16. Process UCPath Transactions based on Step 7 approvals	* Process Funding Entry Updates within UCPath * Process Direct Retros (DRs).* If using NIH 90-day pre-spending allowance, submit request to EFM to update UCPath to accept DRs for time periods that are prior to the official budget.
17. Create financial batch template for new fund	* See DOM Fund Manager Manual Chapter "Financial Statements"
18. Add payroll projections in FPM	* Projections based on step 16 * See DOM Fund Manager Manual Chapter "Financial Statements Payroll Projections"

If applicable