Award Set-Up

UCLA DEPARTMENT OF MEDICINE
OFFICE OF RESEARCH ADMINISTRATION
ZOOM TRAINING

This session will *not* be recorded, but this PowerPoint can be found at [https://medschool.ucla.edu/research/researcher-resources/administrative-support/department-medicine-office-research-administration/fund-management-training](https://medschool.ucla.edu/research/researcher-resources/administrative-support/department-medicine-office-research-administration/fund-management-training)
Your thoughts matter! Share them!

PLEASE FEEL ENCOURAGED TO UNMUTE YOURSELVES (PREFERRED!) TO ASK QUESTIONS AND/OR PARTICIPATE IN THE DISCUSSIONS, USE THE CHAT FEATURE, OR EMOTE UNDER THE REACTIONS ICON ON THE BOTTOM OF YOUR ZOOM SCREEN TO ENHANCE YOUR LEARNING EXPERIENCE. 😊
What is **Award Set-Up**?

- The official start of the post-award phase

- Various steps necessary to properly set up a project once the award has been fully executed by a UCLA Central Office such as OCGA

- Otherwise known as: fund or project set up, new award/fund/account

- “What do I do after a proposal has been chosen for funding?”
How to tell if a project is being funded?

- NIH: Official JIT request
- Notification received from Sponsor (to PI or Central Office)
- New Award Snapshot created by UCLA Central Office (OCGA)
- Transfer of funds processed
- New fund number shows up in FPM/web report list of funds
NIH Just-in-Time (JIT) Request (Class #18)

• Procedure that allows certain elements of an application to be submitted later in the application process; after review when the application is under consideration for funding.

• JIT request is made via email to the PI & OCGA.
Notifications from Sponsor and/or OCGA

• Sponsor award letters/emails
  • Often times these notifications go directly to PI/OCGA
  • NIH: eRA Commons Quick Queries – UCLA = 577505

• Award Snapshot email from OCGA
Transfer of Funds (TOF)

- Example of new award TOF processed by ORDM

- Example of linked Investigator TOF processed by another Department
New Fund Number in Financial System

• DGSOM’s **Financial Projection Module** (FPM) via Jump Server

• Campus’s **Online Financial Systems**
1) Create shared drive folder for new award under PI’s folder
2) Review/Save Snapshot/Notice of Award (NOA)
3) Enter due dates to calendar
4) Review/Save TOF
5) Compare proposal budget, NOA & TOF
6) Update internal Excel budget*
7) Notify PI & obtain approvals
* If applicable

8) Transfer funds (TOF)
9) Create recharge ID*
10) Set-up subawards*
11) Update FPM
12) Add to account list
13) Funding entry update & direct retros in UCPath
14) Create financial statement batch & add payroll projection in FPM

***Checklist***
Create shared drive folder for new award under PI’s folder

- Best practice is to save all files in an electronic shared drive to facilitate collaboration and cross coverage
  - List award subfolder under PI’s named
  - Naming convention: Fund Number – Short Name, ex. 29715 – Athero R01
- Subfolders
  - Award Snapshot/Notice of Award
  - Transfer of Funds
  - Animal/Human Subject Approvals*
  - Subawards*
  - Pre-Award/Proposal
  - Progress Reports
  - Just-In-Time*
  - Other Folders as Needed

Helpful hint: Recommend using consistent naming conventions for all folders, subfolders & documents

* if applicable
Review/ Save Award Snapshot

• Award Snapshot is Campus’s standard template award summary
• Locate the Snapshot in the ORA Online Resource Center Post-Award tab
• The Sponsor’s Notice of Award (NOA) is attached at the end of the Snapshot
• Compare Award Snapshot with NOA to ensure they both reflect identical information, i.e. dates, $, etc.
  • If not, contact Central Office (i.e. OCGA) to revise Snapshot
• Read Sponsor’s NOA carefully to familiarize yourself with terms & conditions, highlighting important/non-standard restrictions
• Print to PDF & save a copy of all Snapshots into shared drive
Enter due dates to calendar

- Set up calendar reminders for yourself for important dates
  - Technical/Financial Progress Report
  - No Cost Extensions and/or Renewals
  - Final Reports
- These dates can be found in Snapshot/NOA/Sponsor guidelines
- Make sure you set alerts ~1 month prior to due dates to allow sufficient time to complete/submit on time
Review/ Save Transfer of Funds (TOF)

- Locate the TOF in the Post-Audit Notification (PAN) system
- Review TOF processed by Office of Research Data Management (ORDM) to ensure both direct (sub 08) & indirect (sub 9H) amounts received match the NOA
- Print to PDF & save a copy of all TOFs into shared drive
- This helps easily track funds allocated into and transferred out of the fund
Compare $ amounts: Proposal Budget, NOA & TOF

• Determine if NOA includes budget cuts by comparing with proposal budget
  • If so, were the cuts made “across the board”, i.e. 10% cut overall, or made to a specific category?
• Are the indirect/facilities & administrative (F&A) costs calculated correctly?
  • If not, you may need to process a TOF between DC/IDC
• Save proposal budget in an easily locatable location on the shared drive, you will be accessing it a lot!
Update internal Excel budget, as needed

• **NEVER save over the original proposal budget.** If changes need to be made to the budget, create a new worksheet/workbook. Always keep original proposal budget intact for reference purposes!

• Reason you may need to update internal Excel budget = modular budgets

• Categories that may need to be updated:
  • Salary Rate
  • Composite Benefit Rate (CBR)
  • Technology Infrastructure Fee (TIF) Rate
  • General, Auto, Employee & Liability Insurance (GAEL) Rate
  • Indirect/F&A Cost Rate
  • Budget cut categories
Notify PI award has been processed

• Always run the awarded budget by the PI to review & approve
• Notify the PI of any:
  • Budget cuts
  • Special restrictions or requirements
• Obtain PI’s approval prior to:
  • Processing TOF to allocate funds between subs (see next slide)
  • Updating UCPath to add new grant FAU to funding distribution for PI and any lab staff
  • Transferring funds to a linked Co-I’s account/cost center
  • Setting up any subawards
• Add new award to PI’s Other Support (OS) document
  • Ask PI for goal since all other OS information can be found on the Snapshot & PI approved budget (Best practice: provide OS information to all Co-Is!)
Transfer funds to appropriate subs & Co-Is

• Funds received by ORDM are always processed into Sub 08 (unallocated) for direct costs (DC) and Sub 9H for indirect costs (IDC)
• It is the FM’s responsibility to allocate funds via TOF processed within the Online Financial System
  • Use the PI approved budget to appropriately allocate within PI’s subs
  • Contact the Co-I’s FM to obtain Co-I’s account/cost center to transfer funds to linked PIs
    • Make sure to ask your EFM accountant to link the Co-I’s acct/cost center to your PI’s fund by forwarding the transfer in the TOF system. This only needs to be requested once.
• Helpful hints:
  • Draft TOF using Summary by Sub
  • Double check TOF next business day to ensure expected results hit the ledger
Create recharge ID

• Recharge IDs are a 4 digit alpha-numeric shorthand for a FAU
• Required by certain recharge units on campus in order to process payment
• Only set up if PI requires services from these specialized recharge units
  • If you are not sure whether a PI needs ones, ask!
  • Better to NOT set up, if can be avoided
  • Once recharge ID is set up, CANNOT be deleted/closed!
• Use recharge ID self-service portal to set up new ID
Set-up subawards (Classes #24-25)

- If a portion of the work will be taking place at another Institution, will need to set up a subaward.
- Can only set up subawards that have been approved by the Sponsor in the NOA.

### Section IV: Training Grant Approved Slots/Subawards Approved in the Award

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### SECTION IV – ES Special Terms and Conditions – 1R01ES029395-01

**CONSORTIUM:**
This award includes funds awarded for consortium activity with the following institutions: University of Southern California $86,402 ($52,365 Direct Costs + $34,037 Facilities and Administrative costs).

Consortia are to be established and administered as described in the current NIH Grants Policy Statement (NIH GPS).
Update Financial Projection Module (FPM) (Class #5-6)

- **FPM** is accessed via the **DGSOM Jump Server**
- **Enter data** such as:
  - Internal PI & Fund Title (aka “short” name – see next slide)
  - Fund Manager
  - Account Owner Comments – due dates, key personnel effort, restrictions, etc.
- **Useful to display data in financial statements (summary by sub report) run in the Jump Server**
Add to account list

- If you keep an internal/personal account list, make sure to add this new funding source
- Notify Departmental BruinBuy Preparers/Purchasers and/or PI’s lab manager(s) of new funding source/recharge ID, as needed
  - Helpful hint: Create a grant short name (agreed upon with PI), and provide to BruinBuy preparer and lab staff, so that short name can be used on the order forms
Funding Entry Update in UCPath (Classes #7-9)

• Update funding within UCPath for all PI approved personnel within your Department so personnel start being paid on project

• Typically use budget period start date on Snapshot/NOA as the Funding Effective Date (staff) & Begin Date (faculty)

• Suggest updating MCOP funding using effort % (not % pay) for contract & grant funds so % effort reflected in payroll = budgeted effort = effort reporting system

• Process any necessary direct retros (DRs) to add funding for past pay periods
  • If using NIH’s 90-day pre-spending allowance, submit request to EFM to update UCPath start date
Create financial statement batch (Class #5)

• Create/Run all financial statements within the DGSOM Jump Server to include all FPM data
• In preparation for ledger closing after 1st month’s end
  • Create/Save financial statement batch
  • Add manual payroll projections within FPM
What if my PI is the Co-I (linked PI)?

• Follow same steps as above except you may not have access to all requirement documents thus...
• Request copies of the following from the primary/home department FM
  • Final budget for your PI’s portion
  • Award Snapshot/NOA
  • 1-2 sentence description of the overall goal of the project, for Other Support purposes
Survey Link

http://goo.gl/forms/C3gdjsL5y1

We appreciate if you would take a few moments to complete a short 5 question anonymous survey to help us improve your training experience. Thank you!