Award Set-Up

UCLA DEPARTMENT OF MEDICINE
OFFICE OF RESEARCH ADMINISTRATION
ZOOM 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?”

- **Discussion Point (KC#1):** What are the various types of funding?
  - Do all types of funding require “award set-up“??
Knowledge Check #1
How to tell if a project is being funded?

• NIH: Official Just-in-Time (JIT) request
• Notification received from Sponsor (to PI or Central Office)
• New Award Snapshot created by UCLA Central Office (OCGA)
• Transfer of funds (TOF) 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.
- Difference between Generic & Official JIT request
Notifications from Sponsor and/or OCGA

• Sponsor award letters/emails, i.e. notice of award (NOA)
  • Often times these notifications go directly to PI/OCGA
  • NIH: eRA Commons Quick Queries – UCLA = 577505
    • Hint & Tip: Bookmark above link & include “577505” in bookmark title so you’ll always remember UCLA’s IPF #
    • Hint & Tip: Ask PI to provide you with “Status” access to their eRA Commons profile to have direct access to NOAs

• UCLA Award Snapshot email from OCGA (see next slide)
Notifications from Sponsor and/or OCGA

- **Award Snapshot** emails from OCGA will be sent to the PI and person noted on the EPASS.
  - Email #1: Notification of Award Transaction In Process
  - Email #2: Notification of Award Action
- Snapshot includes the Sponsor’s official Notice of Award (NOA).
Transfer of Funds (TOF) PAN Notification

• Example of new award TOF processed by ORDM

• Example of linked Investigator TOF processed by another Department
Transfer of Funds (TOF) PAN Notification

- You can look up TOFs in the **PAN selection** module at any time.
New Fund Number in Financial System

- DGSOM’s **Financial Projection Module** (FPM) via Jump Server
  - How to **add new Internal PI** to drop down list

- Campus’s **Online Financial Systems**

![Image of online financial systems interface]
Knowledge Check #2
*General Order of Steps to Set-Up New Award*

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

***Checklist***  * If applicable*
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. 30304 – R21 Aging
- Subfolders examples:
  - Approvals* - Animal/Human Subject
  - Award Snapshot/Notice of Award (NOA)
  - Just-In-Time (JIT)*
  - Pre-Award/Proposal
  - Progress Reports (RPPR, for NIH)
  - Subawards*
  - Transfer of Funds (TOFs)
  - Other Folders as Needed

Hint & Tip: Recommend using consistent naming conventions for all folders, subfolders & documents

* if applicable
Knowledge Check #3

Discussion Point: Why those documents?
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 into Outlook 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: Snapshot (Sec VI)/NOA/Sponsor guidelines
- Make sure you set alerts ~1 month prior to due dates to allow sufficient time to complete/submit on time

*Section VI: Deliverables*

As you prepare the required reporting/deliverables to the Sponsor for this project keep in mind that it may contain patentable information. The TDG Technology Transfer Officers are ready to meet or speak with you to discuss your pending work and you are encouraged to report potential inventions at any and all stages of your research. Invention disclosures can be submitted to [http://tdg.ucla.edu/submit-invention-report](http://tdg.ucla.edu/submit-invention-report) and upon receipt TDG will be in touch with you to discuss your work. Note that filing a technical report without consulting TDG may jeopardize UCLA's ability to secure a patent to protect your work.

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<th>Frequency</th>
<th>Type</th>
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<tr>
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<td>Annual</td>
<td>Progress Report</td>
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Knowledge Check #4
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, if allowed by Sponsor
- 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, budget cut/funded below proposed amount

• Categories that may need to be updated: *Archived/Old Rates*
  • 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 slide 24)
  • 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
Update PI’s Other Support

• 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 after proposal has been submitted and update after it has been funded.

<table>
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<th>Project/Proposal Title</th>
<th>Role of the extracellular matrix in regulating kidney fibrosis</th>
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<td>Major Goals</td>
<td>The goal of this proposal is to understand how the Col V in the extracellular matrix regulates kidney fibrosis.</td>
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<td>Status of Support</td>
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<td>Project Number</td>
<td>R01</td>
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<tr>
<td>Name of PI/PI</td>
<td>Deb, Arjun</td>
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<td>Source of Support</td>
<td>NIH - National Institutes of Health</td>
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<td>Primary Place of Performance</td>
<td>University of California, Los Angeles</td>
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<td>Project/Proposal Support Start Date</td>
<td>9/1/2023</td>
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<td>Project/Proposal Support End Date</td>
<td>8/31/2028</td>
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<td>Total Project Award Amount (including Indirect Costs)</td>
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<td></td>
<td>2028</td>
<td>0.6</td>
<td>0</td>
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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 Sponsor & 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.
- Hint & Tip:
  - Draft TOF using Summary by Sub
  - Double check TOF next business day to ensure expected results hit the ledger
Knowledge Check #5
Create recharge ID

- Recharge IDs are a 4 digit alpha-numeric shorthand for a FAU
  - 1:1 relationship between FAU (4-441357-JB-23480-03) & assigned recharge ID (TV13)
- 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***, aka consortium
- Can only set up subawards that have been approved by the Sponsor in the NOA

*Subaward set up has changed with the roll out of BruinBuy Plus*
Update Financial Projection Module (FPM) (Class # 5)

- **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.
- In order to display FPM data in financial statements (summary by sub report), must run Excel statements in the Jump Server (cannot use desktop Excel)
Add to account list

• If you keep an internal/personal account list, make sure to add this new funding source

• Some suggestions of important pieces of info you may want to include on the account list:

<table>
<thead>
<tr>
<th>PI Name</th>
<th>Recharge ID</th>
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<tr>
<td>Fund Short Name</td>
<td>PATS #</td>
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<tr>
<td>FAU</td>
<td>Key Personnel % Efforts</td>
</tr>
<tr>
<td>Dates (budget/project dates, deliverables due)</td>
<td>Notes</td>
</tr>
</tbody>
</table>

• Notify Departmental BruinBuy Preparers/Purchasers and/or PI’s lab manager(s) of new funding source/recharge ID, as needed

  • *Hint & Tip:* 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 #7-9b Lab)

• 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)/salary cost transfers (SCT) 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 & 5b Lab)

- 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
    • So you are aware of your PI’s effort, can process the TOF & spend accordingly
  • Award Snapshot/NOA
    • So you are aware of the Sponsor’s award terms & conditions and complete your PI’s OS
  • 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 7 question anonymous survey to help us improve your training experience. Thank you!