

NEW AWARD SET UP

Revised August 08, 2019

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
 Office of Contract and Grant Administration

STEPS TO SETTING UP AN AWARD

STEPS	NOTES
<p>1. Create Shared Drive Folder for New Award</p> <ul style="list-style-type: none"> • Award subfolder should be listed under PI folder • Fund Name should be “Fund Number – Grant Short Name”, e.g. “29715 – Athero R01” 	<p>* Create subfolders for:</p> <ol style="list-style-type: none"> a. Award Snapshot / Notice of Award b. Transfer of Funds c. Cost Transfers d. IACUC / IRB Approvals* e. Subawards* f. Pre-Award - with final Budget clearly marked g. Progress Reports h. Other folders as needed
<p>2. File copy of TOF</p>	<p>* Documentation should be filed in a shared drive (electronic), to act as backup documentation when reconciling ledgers, or in case of an audit</p>
<p>3. Review & File Award Snapshot / Notice of Award</p>	<p>* 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?</p>
<p>4. Mark Due Dates in Outlook Calendar for all sponsor required Reports</p>	<p>* 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.</p>
<p>5. Flag & File Final Approved Budget</p>	<p>* 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.</p>
<p>6. Check budget figures to ensure correct amount was allocated to direct (sub 08) & indirect costs (9H). Also, check that the appropriate F&A rate was assigned to the fund.</p>	
<p>7. Notify PI award has been processed</p>	<p>* Remind PI of any non-standard restrictions. * Review final budget with PI, and obtain approval to process TOF to UCLA Co-Is.**</p>
<p>8. Allocate Funds from Sub 08 into the various budget categories/subs based on Sponsor approved budget</p>	<p>* 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)”</p>

<p>9. Process TOF to Co-Is**</p>	<p>* Be sure to cc EFM 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.**</p>
<p>10. Review budgeted personnel with PI, and obtain approval to add new FAU to funding distributions on UCPATH.</p>	<p>* 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.</p>
<p>11. Inform lab purchasing coordinator and BruinBuy preparer of new FAU.</p>	<p>* Assign a short name to the award e.g. "Leprosy R01", for inclusion on order forms.</p>
<p>12. Set up Purchase Requisitions for Subawards*</p>	<p>* Factor any sponsor budget cuts in total amount to subawardee.**</p>
<p>13. Request Recharge ID Set Up**</p>	<p>* 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.</p>
<p>14. Add to Division Account List**</p>	
<p>15. Assign appropriate fund manager & add short name from step 11 under "Internal Fund Title" in FPM</p>	<p>* See DOM Fund Manager Manual Chapter "FPM – How to Designate the Fund Manager"</p>

** If applicable