

POST-AWARD ADMINISTRATION FROM A DEPARTMENTAL PERSPECTIVE

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Topics Covered

- ✓ Establishing and monitoring awards from a department perspective:
 - ✓ Notification of award
 - ✓ Award set-up
 - ✓ Award management
 - ✓ Working with the PI, department staff, and other campus departments
 - ✓ Close-out activities
 - ✓ Best practices, helpful tips
 - ✓ Resources



Life Cycle of a Sponsored Project



UCSB Databases

- ORBiT is the Office of Research “Proposal and Award Database”
<https://orbit.research.ucsb.edu/>
- UCSB ESPRESSO is main portal to many Accounting applications: <http://espresso.ucsb.edu/>
 - Online GL
 - Transfer of Soft Funds (TOSF)
 - Transfer of Expense (TOE)
- Data Warehouse has extramural accounting and equipment reports: <http://wh.isc.ucsb.edu/>
- Gateway/Management Console:
<https://gateway.procurement.ucsb.edu>
- UCPath:
<https://ucpath.universityofcalifornia.edu>

Online Resources

- Office of Research website:
<http://www.research.ucsb.edu/>
 - Check out the [C&G Liaison Resources tab](#)
 - C&G Expertise contact list
 - Tools: Resources for Best Practices
- Sign up for the CG-link listserv
- Google Groups C&G liaison listserv
 - Email Hilda Vasquez (vasquez@research.ucsb.edu)
- Liaison Mentor/Mentee Program
- Business & Financial Services
 - Extramural Funds
 - Equipment Management

Tracking Proposals & Awards

Maintain organized filing system for electronic and hard copies



- Pending Proposals Files -
electronic and/or hard copy.
- Denied proposals - electronic
and/or hard copy.
- Awarded proposals files -
electronic and/or hard copy.
 - Project Worksheet/Information Form.
- Dropbox/Google Drive/UCSB
Connect Box, dept. shared
drives, Cayuse.

A few notes before we dive in....

- Each department develops a process in its own unique order based on its Pls, culture and size.
- Procedures change based on changes in administrative units, changes in financial systems, and the availability of online systems.
- This presentation includes procedures currently in place in my department.

Award Notification

PI & Dept Liaison receive email notification from ORBiT that new award/continuation has been set up.

Docs attached to email: Award Synopsis, Accounting allocation, agency award doc



- Review all attachments to ensure understanding of terms and conditions for each award.
- Make note of any compliance requirements/restrictions: does the project involve human subjects, animal subjects, stem cells, etc.
- Reporting requirements and frequency

Award Notification

- In my department, we keep an electronic and paper folder/file for each proposal.
- Once awarded, a paper folder is created. Hard copies of the ORBiT files are added to the award file.
 - We are transitioning over to all electronic files
- Files are kept for years after the award ends or the proposal is denied.



So we received the award notification... where do I begin?

- ✓ Pull proposal file.
- ✓ Print all award documents, including internal documents.
- ✓ Project checklist/project worksheet.
 - ✓ This worksheet is a checklist of set-up and close-out processes for an award.
 - ✓ Keep in award file and include all related forms.



UNIVERSITY OF CALIFORNIA, SANTA BARBARA
OFFICE OF RESEARCH
AWARD SYNOPSIS

Record #	: 20170633	Date	: 07/10/2017
Project #	: 2013PR0740	Dept.	: GEOG
Proposal Submitted	: Cooperative Agreement	Fund #	: 22617
Award Action	: Continuation		

Agency	: UC Center For Water Resources		
Award #	: SA13--1890-01		
Mod #	: 06	Sponsor Code	: 4803
		Site of work	: F: Off-Campus
CFDA Number	: 15.808	Category	: 14

PIs:

#	First Name	Middle Name	Last Name	Home Dept	Title Code	% Time	Eligible	Exception
1	Greg	J.	Husak	GEOG	5 - Assoc Rsrch	50.0	Yes	No
2	Joel	C	Michaelson	GEOG	1 - Professor	8.3	Yes	No

Title: Identification of Seasonal and Decadal Drought through Monitoring and Modeling

FINANCIAL INFORMATION

Award Funds	: 1,378,284	IDC Award	: 276,937	Third Party	: 0
Begin Date	: 06/01/2017	IDC Rate	: 26.00	(formerly Matching Funds)	
End Date	: 02/28/2018	IDC Code	: 10 - MTDC	UC Cash	: 0
				(formerly UC Participation)	
				UC In-kind	: 0
Projected Funds	: 0	RAS Funds	: 0	(formerly Cost Share)	
Funds Thru Date	:	Begin Date	:	Pre-Award Begin Date	:
Funds Obligated	:	End Date	:	Waiver Type	:
To Date	: 6,988,840			Waiver number	:

REPORTS

Final Tech : 04/29/2018

Final Patent : 04/29/2018

Final Equip : 04/29/2018

APPROVALS

Human Subjects	: No	HS Log	:	HS Exp Date(s)	:
Use of Animals	: No	AS Log Number	:	AS Exp Date	:
Use of Stem Cells	: No	SC Log Number	:	AS Exp Date	:
Research Using SSN	: No				

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Proposal Submitted : Cooperative Agreement
Award Action : Continuation

Date : 07/10/2017
Dept. : GEOG
Fund # : 22617

CONDITIONS:

<u>Code</u>	<u>Category</u>	<u>Description</u>
9	General Terms and Conditions	Award includes Federal flow-through funding
16	General Terms and Conditions	2 CFR 220 (OMB Circular A-21)
17	General Terms and Conditions	2 CFR 215 (OMB Circular A-110)
19	General Terms and Conditions	See special award terms and/or agency guidelines.
20	General Terms and Conditions	Federal Funding, Accountability and Transparency Act of 2006 (FFATA) Special Subaward Reporting Applies
24	Equipment Issues	Title to equipment vests in: University.
44(A)	Miscellaneous Budget Issues	Prior sponsor approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10% of the total award. % of total award, if different, noted in remarks.
61	Reporting Requirements	Annual Technical Report/Continuation Request: 1) For NIH awards issued under the Streamlined Non-Competing Award Process (SNAP) the progress report must be submitted electronically through the eRA Commons Research Performance Progress Report (RPPR) module 45 days before the begin date of the next budget period. 2) Progress reports for NIH awards that are not issued under the SNAP are due 60 days before the begin date of the next budget period and must be submitted electronically through the eRA Commons Research Performance Progress Report (RPPR) module. . For Non-NIH awards – Annual Technical Report/Continuation request is due 60 days prior to anniversary date.
69	Reporting Requirements	See award terms for additional reporting requirements.

REMARKS:
Costs charged to the award between the dates of 6/1/2017 - 6/27/2017 may not exceed \$98,000.

Condition code 69 = see section D.2 of the prime award for progress reports.

Condition code 19 = see sections D.5 Publications, E.3 Payment, E.4 Substantial Involvement, F.2 and F.3 in the prime agreement.

APPROVAL	:	Melissa Waver	AWARD DATE	:	06/28/2017
PHONE	:	893-5089	OTHER ACTION	:	
			OTHER ACTION DATE	:	
			NO COST EXTENSION DATE	:	

Carbon Copy:

<u>Description</u>	<u>Name</u>	<u>Email</u>
Equipment Management	Diana Mina	Diana.Mina@bfs.ucsb.edu
Equipment Management	Vaughn Boyle	vaughn.boyle@bfs.ucsb.edu
Equipment Management	Lynn Corrigan	Lynn.Corrigan@bfs.ucsb.edu
Equipment Management	Jason Gonzalez	Jason.Gonzalez@bfs.ucsb.edu
Department Liaison	Mo Lovegreen	mo@geog.ucsb.edu
Department Liaison	Bernadette Weinberg	weinberg@geog.ucsb.edu
Department Liaison	Linda Flegal	flegal@hfa.ucsb.edu
Department Liaison	Alycia Lewis	alycia.lewis@geog.ucsb.edu
Department Liaison	Lauren Kerr	laurenkerr@ucsb.edu
Primary PI	Greg Husak	husak@geog.ucsb.edu

EXPLANATION OF CODES LISTED IN "CONDITIONS" FIELD EFFECTIVE (12/03/2018)

If a code number and/or letter appears in the "CONDITIONS" field on the Award Synopsis, then the condition specified below applies to this award. Please note that the codes listed on the Award Synopsis are not intended to be exhaustive. Principal Investigators and Administering Units are also responsible for reviewing the applicable award terms and conditions. If you have any questions, please do not hesitate to contact your Sponsored Projects or Industry Contracts Team.

GENERAL TERMS AND CONDITIONS

8	Uniform Guidance 2 CFR, Part 200
9	Award includes Federal flow through funding
10	Research Terms and Conditions, and the appropriate Agency Specific Requirements (see: http://www.nsf.gov/bfa/direct/policy/rtc/finlex.jsp).
11	Federal Demonstration Partnership, and the appropriate Agency Specific Requirements (see www.thefslp.org).
12	UC Program. See program guidelines and award document.
14	FAR Clause 52.216-7 Alternate II is included in award terms. See FAR Subpart 31.3. The allowability of costs is determined in accordance with the OMB Uniform Guidance at 2 CFR part 200, subpart E appendix III, in effect on the date of the contract.
15	EDGAR (see http://www.ed.gov/policy/fund/req/edgarReq/edgar.html).
16	2 CFR 220 (OMB Circular A-21)
17	2 CFR 215 (OMB Circular A-110)
18	Federal Acquisition Regulations ("FAR"), and the appropriate Agency FAR Supplements (see https://acquisition.gov/browse/far).
19	See special award terms and/or sponsor guidelines.
20	Federal Funding, Accountability and Transparency Act of 2006 (FFATA) Special Subaward Reporting Applies

EQUIPMENT ISSUES

21	General Purpose Equipment, not in the approved budget, requires the prior written approval of the sponsor if the amount exceeds \$5,000.
22	Special Purpose Equipment, not in the approved budget, requires the prior written approval of the sponsor if the amount exceeds \$5,000.
23	Equipment not in the approved budget requires the prior written approval of the sponsor if the amount exceeds \$5,000.
24	Title to equipment vests in: University.
25	Title to equipment vests in: Government. <i>Note: Equipment must be used exclusively for the conduct of the research project.</i>
26	Title to equipment vests in: See award document and/or Synopsis comments.
27	DIPEC prior approval is required for all equipment purchases over \$10,000 (and Computer Equipment over \$25,000). Form DD1419 must be completed and sent, via Office of Research, to the federal administering agency.
28	If PI wishes to purchase General Purpose Equipment not in the approved budget, the Purchase Requisition must contain assurance from the PI that the equipment will be used primarily or exclusively in the conduct of the research.
29	No equipment allowed on the project.

TRAVEL ISSUES

31	Foreign Travel not in the approved budget requires the prior written approval of the sponsor.
32	Foreign Travel requires prior written approval of the sponsor regardless of its inclusion in the approved budget.
34	Domestic Travel not in the approved budget requires the prior written approval of the sponsor.
35	All Travel requires prior written approval, regardless of its inclusion in the approved budget.

MISCELLANEOUS BUDGET ISSUES

40	Carry forward of funds requires prior approval.
41	Project contributions are cumulative.
42	Salary payments to any individual, excluding benefits, may not exceed a rate of \$15,800 per month. Effective for budget periods beginning 01/07/18. For additional guidance, see NIH Notice: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-137.html .
43	All rebudgeting requires prior approval of the agency.
44	Prior sponsor approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10% of the total award. % of total award, if different, noted in remarks.
(A)	
44	Prior sponsor approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers exceeds 10% of the line item. % of the line item, if different, noted in remarks.
(B)	
45	Prior sponsor approval is required for transfers of funds among direct cost categories and between direct and indirect cost categories when the cumulative amount of such transfers exceeds the greater of \$10,000 or 5% of the total project budget last approved. Amount and % of total project budget, if different, noted in remarks.
46	Limitation of Funds/Costs: Admin. Unit must notify Agency when it believes that expenditures to date will exceed, in next 60 days, 75% of either, total funds obligated to date (if contract is not fully-funded) or total estimated cost (if contract is fully-funded). No. of days and % of funds, if different, noted in the Remarks.
47	Graduate Students may not receive over \$50,004/year (including tuition, fees and benefits). Effective for budget periods beginning October 1, 2018 (FY 2019). For additional guidance, see NIH Notice: https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-036.html .
48	Award includes change in indirect cost rate.
49	Award payment is made in foreign currency. Fluctuations in the exchange rate may require adjustments to the US dollar amount awarded.

TYPE OF CONTRACT

51	Cost-Reimbursement Contract
52	Fixed-Price Contract
53	Other type of Contract - See remarks
54	Invoicing is required. See contract for invoicing information, amount(s) and due date(s).
55	Invoicing is required. Sponsor is to be billed in arrears as costs are incurred. See contract for invoicing information and frequency.

OR
Condition
Codes:
available
in ORBIT
(most
recent
version
also
included
with
handouts

Condition Codes

General Terms and Conditions

- Includes federal regulations and agency-specific requirements
 - Uniform Guidance
 - Research Terms and Conditions
 - FAR

Equipment Issues

- Includes equipment-specific guidance:
 - Equipment allowed or not allowed
 - Prior approval requirements
 - Who owns the equipment

Travel Issues

- Includes travel-specific guidance:
 - Travel allowed or not allowed
 - Prior approval requirements

Condition Codes

Miscellaneous Budget Issues

- Carry forward, rebudgeting, project contributions
- Transfer of funds between direct cost category restrictions
- Salary caps
- Limitation of funds/cost
- Change in IDC
- Foreign currency

Type of Contract

- includes invoicing requirements

Reporting Requirements

- only technical reports
- “see award terms for additional reporting requirements”

Condition Codes

Sponsor Specific Terms & Conditions

- Federal/Fed flow-through: reduction in time for senior personnel
- NSF

Intellectual Property Issues

- Patent provisions
- Isolated research

Other Award Requirements

- Examples:
 - small business subcontracting plan
 - COI
 - e-verify
 - Responsible Conduct of Research
 - special procurement terms

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
ACCOUNTING AND FINANCIAL SERVICES
EXTRAMURAL FUND ACCOUNTING

TO : Greg J. Husak
DEPT: GEOG

REPORT DATE: 07/10/2017
RECORD NO : 20170633

The University has received an Award which names you as the Principal Investigator:

AGENCY: UC Center For Water Resources
NUMBER: SA13--1890-01
AMOUNT: 1,378,284
EFFECTIVE DATES: 06/01/2017 - 02/28/2018

Expenditures or commitments are not allowed prior to the effective date shown above without prior authorization. The award has been allocated to the following sub-accounts. These allocations together with the related expenditures will appear on the GL060, General Ledger of Expenditures.

	<u>SUB-ACCOUNT NAME</u>	<u>ACCOUNT NUMBERS</u>	<u>AMOUNT</u>
CR:	General Assistance	8- 444032-22617 -2	375,049
	Employee Benefits	8- 444032-22617 -6	184,421
	GSHIP/GSFR 5,716		
	Supplies & Expense	8- 444032-22617 -3	483,111
	Equipment & Facilities	8- 444032-22617 -4	0
	Travel	8- 444032-22617 -5	28,277
		8- 444032-22617 -7	0
	Unallocated-Frozen	8- 444032-22617 -8	0
	Overhead Rate J 26.00 % MTC	8- 444032-22617 -Y	276,937
	Subaward	8- 444032-22617 -7	30,489
	Stipends	8- -22617 -5	0
	Tuition & Fees	8- -22617 -7	0
		8- -22617 -	0
		8- -22617 -	0
		8- -22617 -	0
		8- -22617 -	0
		8- -22617 -	0
		8- -22617 -	0
		8- -22617 -	0
		8- -22617 -	0
DR:	TOTAL AWARDED	8- 119850 -22617 -0	1,378,284

Responsibility for adherence to the terms (including expiration date) of a contract or grant and budget control in the expenditure of the funds provided, rests with the Principal Investigator. It is also the obligation of the Principal Investigator to obtain funds to cover any expenditures which are deemed unacceptable under the terms of the contract or grant, and to cover expenditures which are in excess of amounts appropriated by the agency.

Third Party (Formally Matching Funds):	0	UC Cash (formally UC Participation):	0
UC In-kind (Formally Cost Share):	0	Non-Cash:	0

Final Accounting Remarks:

Preparer's Remarks:

UNIVERSITY
OF
CALIFORNIA

UC Multiple Campus Award No.: SA13-1890-01, Amendment No. 06

Date issued: 06/27/2017

(Extramural Funds)

Purpose: This Amendment adds Year 4 funds in the amount of \$1,378,284 for the Budget Period of 6/1/17 through 2/28/18 and authorizes pre-agreement costs not to exceed \$98,000 for the period of 6/1/17 through the date the modification was issued.

University of California, UC ANR (Prime Campus)	University of California, UCSB (Participating Campus)
P.I.: Doug Parker	PI: Greg Husak
Department: California Water Institute for Water Resources	Department: Geography
Authorized Official: Kathleen. P. Nolan, J.D., Director, Contracts and Grants	Authorized Official: Cora Diaz, Director, Sponsored Projects (UCSB)
Email Address: ocg@ucanr.edu	Email Address: diaz@research.ucsb.edu
Prime Award Information	
Prime Award No: G14AC00042	Project Title: Identification of Seasonal and Decadal Drought through Monitoring and Modelling
FAIN: G14AC00042	
Campus Sponsor Code: 6774	
Funding Source: USGS Sponsor Code: 4190	
Prime Fund Number: 27185 Fund Block: 01- Federal;	
<input checked="" type="checkbox"/> The Fund Source is partially or entirely federal	
CFDA No: 15.808	
Participating Campus Information	
Amount Awarded this Action: \$1,378,284	Total Amount Awarded: \$6,988,840
Budget Period Year 4: June 01, 2017 – February 28, 2018	Performance Period: February 1, 2014 – February 28, 2018
Pre-Agreement Costs For Budget Period 4 are authorized by USGS for the period of 6/1/17 to the date the modification was issued and not to exceed \$98,000.	
Cost Share Amount this Action: \$0	Total Cost Share Amount: \$0
Reporting Requirements	
<input checked="" type="checkbox"/> Annually (To Doug Parker - no later than 60 days after the close of budget period)	<input checked="" type="checkbox"/> Final Technical Report (due 60 days after end date)
<input checked="" type="checkbox"/> Patent Report	<input checked="" type="checkbox"/> Equipment Inventory Report (60 days after end date)
<input checked="" type="checkbox"/> Final Inter-campus Request for Reimbursement Due: on or before 60 days after end date	<input checked="" type="checkbox"/> Other: UCSB shall provide separate accounting/invoices for the supplemental funding portion so funds can be drawn down in ASAP appropriately.
<input checked="" type="checkbox"/> FFATA Reporting If this MCA is Federally funded, as per UCOP guidance (see RPAC Memo No 14-03), the Participating Campus is required to provide the Prime Campus authorized official all applicable reporting information for any subaward (under prime Federal grants), or subcontract and vendor agreement (under prime Federal contracts), meeting the FFATA threshold of \$25,000 or more. All such reporting	

Project Code _____
Account Name _____
Account Number _____
Lead PI _____
Co-PI's _____
Agency (Fed flow-through) _____
Project Dates _____

Award type	Cost reimbursement	Fixed-price	UG?
Grant			
Contract			
Coop. Agmt.			
Gift			

Award Set-up

- 1) New award email to PI: _____
- 2) Email to financial team: _____
- 3) Signature authorization: _____
- 4) Purchasing authorization: _____
- 5) Set-up in Gateway: _____
- 6) Set-up in GUS: _____
- 7) Add personnel: _____

Dept. Recharge Accounts to set up/close:

	Recharge Assigned	Date Requested	Date Received		Close-Date Requested	Close-Date Confirmed
Biology						
Chemistry*						
Physics						
Phone/FAX						
Central Stores						

* Please note: For Chemistry recharges, attach list of users.

Project Notes: _____

Award set-up

- ✓ Review Award Synopsis, Accounting Summary and Agency Award Documents
- ✓ Review synopsis for dates, names, titles, type of action, compliance info, cost share obligations, etc.
- ✓ Identify reporting requirements and budget restrictions as well as any other agency requirements outlined in the award documents.
- ✓ Compare allocations from your detailed budget to extramural accounting set up of award. Report discrepancies in synopsis/accounting allocation from your own information to appropriate unit **immediately**.
- ✓ Make sure that if subagreements & participant support are allocated in sub 7 together that you track the expenses subject to overhead appropriately.
- ✓ If the award contains subagreements, compile the final paperwork to establish a subagreement.

Quiz

Type your answer in the chat.

One of your PI's recently received a new NSF award. After reviewing the award documents, you notice an error in the accounting allocation: funds for international travel were mistakenly allocated to the wrong sub. Is it too late to have the error fixed?



QUESTIONS? Please use the chat feature.

Award set-up

Establish a project code and cost center, if applicable

- Geography assigns internal project codes for all awards and cost centers, if needed.
 - Internal project code established for all new awards using established naming scheme.
 - Ex. HGNSF1 = PI: Husak, G.; Agency: NSF; Project #1
 - If the project contains multiple PI's, creating a cost center may be helpful.
- Cost centers have the same account-fund; link multiple project codes together for accounting purposes.

Project Codes vs. Cost Centers (example)

Cost Center (NSF1)
\$6M award
444032-12345



Project Codes

PINSF1 (PI #1)
\$2M
444032-12345

PINSF2 (PI #2)
\$2M
444032-12345

PINSF3 (PI #3)
\$2M
444032-12345

Award set-up

- Keep your internal department folders consistent in how they are labeled and what information is contained in the file.
 - “Tab” the final detailed budget so it can be easily found.
- Consider using divided or partition folders to help organize project files:
 - all OR, EMF Accounting and Agency generated docs are in the first section
 - middle sections include all submission requests to OR/Agency and reports and/or subcontracts
 - all pre-award docs are in the last section.
- Project worksheet and copies of email authorization and signature authorization are kept in the file.

Award set-up

- ✓PI email notification of new award.
- ✓Prepare signature authorization form/email.
- ✓Set up project code and purchasing authorizations in the Gateway Management console.
- ✓Personnel. Start as early as possible.
- ✓Update your award tracking system.



Signature authorization/cancellation is established by submitting this pdf form

<http://www.bfs.ucsb.edu/forms>

SANTA BARBARA CAMPUS SIGNATURE AUTHORIZATION OR CANCELLATION		INSTRUCTIONS: Complete this Signature Authorization Form to document the signature(s) of employee(s) designated to approve specified transactions (such as a travel expense voucher). An employee who is designated signature authorization should not be assigned responsibility for verifying charges appearing in the General Ledger. A cancellation form shall be submitted as soon as possible after a designated employee is no longer responsible for approving transactions. The Signature Authorization Form is also to be used to record the signature of a Department Head. A cancellation form shall be submitted as soon as possible after a Department Head ceases to serve as the Department Head.				
U242-8 (1/13) 71485-140						
1. NAME (Last/First/Middle Initial)		2. ACTION (check appropriate box below) Authorization <input type="checkbox"/> Cancellation <input type="checkbox"/>		3. Effective Date (mm/dd/yyyy)		
4. Payroll Title		5. Mail Code		6. Preparer & ext.		
7. Owner Dept (4 letter code)						
ACCOUNT COVERED BY THIS AUTHORIZATION	8.	ACCOUNT NAME	LOC	ACCOUNT	FUND	SUB
9. Signature Specimen - Use this signature on all University documents _____						
10. Department Transactions	<input type="checkbox"/> Purchase Requisitions <input type="checkbox"/> Payroll <input type="checkbox"/> Travel Documents (advances & expense vouchers) <input type="checkbox"/> Invoices & Recharges					
	<input type="checkbox"/> Staff Personnel Transactions <input type="checkbox"/> All Department Business <input type="checkbox"/> Other... Specify _____					
Department Head Signature (below) _____						
Print Dept. Head Name & Date (above) _____						
RETN: ACCOUNTING 1 YEAR AFTER CANCELLATION/OTHER COPIES UNTIL CANCELLED. *Original to Accounting						

PI Notification & Authorization

Dear Professor,

We received documentation that your award from (AGENCY NAME), entitled “(FULL PROPOSAL TITLE),” has arrived on campus. Could you please provide me with the following information so I can proceed with our internal account setup?

1. Employee information for any person to be paid on these funds:
 - a. Full Name
 - b. Type of Appointment (post-doc, GSR, etc.)
 - c. Start date
 - d. Salary level (if different from current salary level)
 - e. Academic Department (if not GEOG)
 - f. Department currently employing this person (if not GEOG)

The employee information will be sent to our Personnel Coordinator (add contact details).

2. Names of individuals who you authorize to spend on this account.
We will allow these individuals to independently place low value purchase orders for amounts under \$500 unless you instruct us to do otherwise.

3. Recharge accounts you will need for this project:
 - a. Physics
 - b. Chemistry
 - c. Biology
 - d. Other (please indicate)

After you have submitted the information requested above, I will begin requesting accounts, etc. I will send you a subsequent email as soon as all of the accounts have been established.

Please feel free to contact me if you have any questions.

Kind regards,
Alycia

PI responds to award notification email

- PERSONNEL: Identifies individuals who should be supported on the project.
- RECHARGES: Identifies which departmental recharges he/she wants established.
- PURCHASING AUTHORIZATION: Identifies individuals allowed to spend on project and their spending limits.
- Provides Nickname for project.

Establish Department Recharge Accounts

- On-campus recharge facilities
- Based on PI response to new award notification, you will know if PI needs Biology, Chemistry, Physics and other departmental recharge numbers established.
- Contact each department to find out what their procedure for setting up a recharge account is.

**Update your systems with
purchasing authorization info,
recharge numbers, who receives
financial statements, reporting
requirements, etc.**

Setting Up Subagreements

- OR teaches an entire class on subagreements.
- Subaward Officer Daniela Gallardo.
 - <https://www.research.ucsb.edu/subawards>
- Multi-Campus Awards are subcontracts between UC campuses. The funds are transferred directly to the other UC campuses by Extramural Accounting and your total allocations are reduced accordingly.

Project Contributions

- This can be actual dollars given to the PI as UC Cash/Participation, in-kind including faculty salaries, other awards that can be used as Cost Sharing, or matching funds from a third party.
- Other awards used as cost share may be administered in other departments.
- Matching funds must be used within the project period of performance.
- Coordinate with OR and/or other departments.

Final PI Award Notification Email

- ✓ Provide the PI with the project code, recharge account numbers and authorized users for the new award.
- ✓ Reiterate any restrictions (reallocation, travel, equipment) for the award (keep in mind that he/she will not remember).
- ✓ Let PI know reporting requirements especially for awards that are funded incrementally.
- ✓ Provide the link to your Department website:
<http://geog.ucsb.edu/>

Dear Professor:

Here is the account information you will need to begin spending your NSF-DMR funds:

Geography Project Code: ABNS01
Account Name: NSF-DMR
Account Number: 8-444032-xxxxx-3
Physics Recharge Acct: C3
Chemistry Recharge Acct: ABNS01
Biology Recharge Acct: ABNS01

Authorized Users: Researcher 1, Researcher 2

Please visit the Geography Department's website for more information regarding purchasing and travel reimbursements. All forms are available online at the following website:

<http://geog.ucsb.edu/geography-services/>

All purchase orders must be submitted via the Gateway Procurement system:

<https://gateway.procurement.ucsb.edu/Login.aspx>

For questions, please contact Patricia Halloran: x4998; patricia.halloran@geog.ucsb.edu

(Indicate if there are specific agency restrictions on this account in this e-mail. For instance, you may mention that the agency requires prior approval for all equipment purchases not specified in the proposal budget).

Please feel free to contact myself or anyone in the Geography Research Office if you have any questions.

Best regards,
Alycia

Provide the award information to the appropriate administrative staff

- Depending on your departmental set up, this can be done different ways: email, hard copy, staff meetings.
 - Forward budget to personnel analyst.
- Update your shadow systems. In Geography, we use the GUS database to manage our awards (purchasing, payroll, etc.)
- Update departmental grants list.

Departmental Grants List

- Particularly important if you do not use GUS
- A list of current/active awards in department.
- Can be generated in GUS or department can create their own.
- This list is how staff know which project codes are active, account-fund string, valid recharges codes, etc.

Departmental Grants List

Project Codes List

3/1/16 - 1 -

Proj	Agency Num or Title	PI(s)	Funding	NickName	Notes
Account-Fund	Low Value Numbers - Blanket Numbers				
013CD	SB130095	Lopez-Carr	3/1/13-2/28/16	PIMSA	
444032-49643	Low-Value PO:				
013CD2	SB130095	Lopez-Carr	3/1/13-2/28/16	PIMSA SUPP	
444032-53106					
015MKJ	14-3	Marter-Kenyon, Swe...	12/30/14-12/30/16	SWG fellowship	
784132-58389-3					
020DUT	NNX08AU73H	Dunne, Kamal	9/1/08-6/30/16	Karmal Fellowship	
784132-23236	Low-Value PO:				
021RD	14-081	Roberts	1/14/14-1/13/16 [1]	Drought	
444032-59790					
024RD	483K534	Roberts	6/15/13-6/14/16	U Wisc.	
444032-59847	Low-Value PO:				
025RD	NNX12AP08G	Roberts	10/3/12-12/31/16	HyspIRI	
444032-23267	LV(-3): 017984 Low-Value PO: 017984				
026RD	SR/00/307	Roberts, MCFADDEN	8/1/14-9/30/18	KULeuven	Sub 3 expense restrictions
444032-59399					
028RD	EF-1241531	Roberts	2/15/13-1/31/16	NSF-OSU	
444032-22066	LV(-3): 018153 Low-Value PO: 018153				
030CLV	NNX13AN12H	CARVALHO, Cannon	9/1/13-8/31/16	Cannon/NASA	
784132-23221	Low-Value PO:				
046CK	IIP-1338902	Clarke	7/1/14-8/31/18	I/UCRC Center	
444032-22114	Low-Value PO:				
057GMF 15-16	S1579	Goodchild	7/1/12-6/30/14	MRPI	
444032-19911	LV(-3): 015296 Low-Value PO: 015296				
100OPP 15-16	N/A	Lewis	7/1/15-6/30/16	GOR Opportunity	
444032-07427	LV(-3): 016920 LV(-3): 006093 100MS: 016920				

AND I WOULD HAVE GOTTEN AWAY WITH IT

A close-up of Dracula from Disney's 'The Hunchback of Notre Dame'. He has green skin, yellow eyes, and a dark red cape. He is looking directly at the viewer with a menacing, slightly angry expression. His hands are visible, with long, sharp fingernails, and he is holding a small object between his fingers. The background is dark and moody, with some rocky structures visible.

**IF IT WASN'T FOR YOU MEDDLING
RESEARCH ADMINISTRATORS**

Roles & Responsibilities during the life of an award

- Award is made to the University NOT the PI
- PI is ultimately responsible for all aspects of the project (OR data sheet).
- A research administrator's main responsibility is to help mitigate risk and advocate for the PI.
- Department assists PI with financial and administrative management of the award to ensure PI is in compliance with University and agency policies.
- Collaborative process both within the department and across campus.

Working with the PI & Project Personnel

- Managing the day-to-day transactions
- Monthly reconciliation and “forensic” accounting
 - Check-in meetings
- Report coordination
- Research compliance issues
- Working with administrative staff, research personnel and other departments

Day-to-day transactions

- ✓ Personnel: researchers, grad students, summer salary, undergrads, technicians, other research staff.
 - ✓ Working with other departments, Academic Personnel, Human Resources, Grad Division.
 - ✓ Navigating UC Path and Kronos; Graduate Division financial portal.
 - ✓ Personnel Projections.
 - ✓ Effort Reporting.
- ✓ Purchasing/Procurement:
 - ✓ Purchase orders via Gateway or Flexcard.
 - ✓ Direct vs. F&A expense. Justification to support expense.
 - ✓ Computer purchases: allowable? Equipment or supplies?
 - ✓ Is a Form A needed?
 - ✓ Small Business Subcontracting Plan, if applicable.
- ✓ Equipment & Fabrications:
 - ✓ Allowable? Is prior approval needed?
 - ✓ Who retains title?
 - ✓ Property ID tag and maintaining inventory.
 - ✓ Add-ons, upgrades, replacement parts and repairs
- ✓ Review transactions frequently: allocable, allowable, and reasonable?

Day-to-day transactions

- ✓ Travel: domestic and foreign
 - ✓ Any restrictions?
 - ✓ Is prior approval required?
 - ✓ Advances vs. TEV's
 - ✓ U.S. Flag Carrier
- ✓ Subawards:
 - ✓ Are subrecipients submitting invoices?
 - ✓ Did the PI review/approve invoice?
 - ✓ Allocating additional funds after funds are received at UCSB (if applicable)
 - ✓ Monitoring funding.
- ✓ Participant support:
 - ✓ Were costs budgeted in the proposal budgeting?
 - ✓ Rebudgeting restrictions?
- ✓ Review transactions frequently: allocable, allowable, and reasonable?

Day-to-day transactions

- ✓ Other Direct Costs:
 - ✓ On-campus recharges
 - ✓ Publication costs
 - ✓ Payments to human subjects participants
 - ✓ Professional Services Agreements/Consulting
 - ✓ Any other services? Unexpected expenses?
 - ✓ Form A needed?

- ✓ Review transactions frequently: allocable, allowable, and reasonable?

Quiz

Type your answer in the chat.

True or False:

The only time you will review grant award documents is at the initial award stage, when you are setting the award up.

Account Review

- ✓ Financial Management – a daily process:
 - Prior approval requests, if necessary. Coordinate with SPO and/or other depts.
 - Timely reconciliation
 - Forensic accounting: researching problems and fixing errors in a timely manner.
 - Ensuring records are accurate and appropriate back-up documentation is on-file. Being “audit-ready.”
 - Cost transfers
 - Providing regular financial reports to PI's
 - Monitoring spending rates
 - Rebudgeting allocations between direct costs categories & obtaining appropriate approvals, if necessary.
 - Cost Share/Matching funds



Account Review

- ✓ Disseminate financial info to PI regularly
 - PI's are responsible for reviewing the information for accuracy and notifying department of any errors.
 - Schedule one-on-one check-in meetings.



Reporting

- ✓ Agency technical/patent/financial/property reports; frequency; mode of transmission; recipients.
 - ✓ Some federal agencies require online report submission so plan ahead.
- ✓ Invoicing
 - ✓ Working with Accounting to ensure proper documentation is submitted in accordance with the invoicing terms.
 - ✓ Some agencies require back-up docs.
- ✓ Annual Project Contribution Reports

Proj	PI(s)	Report Type	Recipient	Due	Completed	Note
013CD	Lopez-Carr	Final	UC Berkeley - PIMSA	3/31/16	00/00/00	Final Report Due 3/31/16
015MKJ	Marter-Kenyon, Sw	Final	Society of Women Geog	12/30/16	00/00/00	
020DUT	Dunne, Kamal	Final	National Aeronautics & S	9/30/16	00/00/00	
021RD	Roberts	Final	Univ of New Hampshire	4/7/17	00/00/00	
025RD	Roberts	Final Patent	National Aeronautics & S	3/31/17	00/00/00	
025RD	Roberts	Final	National Aeronautics & S	3/31/17	00/00/00	
028RD	Roberts	Final	National Science Founde	4/29/16	00/00/00	
150BB	Bookhagen, Chadwi	Final	National Science Founde	11/29/17	00/00/00	
240HG	Husak	Final	National Aeronautics & S	9/23/16	00/00/00	
250HG	Husak, Michaelsen	Annual	UC Center for Water Res	3/30/16	00/00/00	
250HG	Husak, Michaelsen	Final	UC Center for Water Res	3/30/19	00/00/00	
295HG	Husak	Final	National Aeronautics & S	4/16/17	00/00/00	
295HG	Husak	Final Patent	National Aeronautics & S	4/16/17	00/00/00	
299HG	Husak	Final	University of Utah	12/20/15	00/00/00	Final Technical Report Due 12/20/15
379FC	Funk, Husak	Annual	National Aeronautics & S	10/15/15	00/00/00	Annual Inventory Report Due 10/15 each year
379FC	Funk, Husak	Final	National Aeronautics & S	10/31/16	00/00/00	Final Technical, Final Patent, and Final Equipment Reports
513GK	Goulias	Final	UCB - UCCONNECT	11/30/16	00/00/00	
CSNIH1	Cassels	Annual	National Institute of Hez	5/15/16	00/00/00	via eRA Commons.
CSNIH1	Cassels	Final Patent	National Institute of Hez	10/28/17	00/00/00	
CSNIH1	Cassels	Final	National Institute of Hez	10/28/17	00/00/00	
GD734/15-16	Janowicz, Lovegree	Progress	UCSB EVC	5/31/16	00/00/00	Report sent to Chancellor's Committee on IV, via Toby Laz
JKNSF1	Janowicz	Annual	National Science Founde	6/1/16	00/00/00	
JKNSF1	Janowicz	Final	National Science Founde	11/29/17	00/00/00	
RDBSF1	Roberts	Annual	U.S.-Israel Binational Sc	10/1/16	00/00/00	
RDJPL1	Roberts	Final Patent	Jet Propulsion Lab	5/31/16	00/00/00	
RDJPL1	Roberts	Final	Jet Propulsion Lab	12/31/16	00/00/00	
RDNAS1	Roberts, Meerdink	Final	National Aeronautics & S	11/30/16	00/00/00	
RDNAS1	Roberts, Meerdink	Final Patent	National Aeronautics & S	11/30/16	00/00/00	
SHNAS1	Shukla, Funk, Husak	Annual	National Aeronautics & S	3/27/16	00/00/00	Annual reports due 60 days prior to anniversary date.
SHNAS1	Shukla, Funk, Husak	Final	National Aeronautics & S	8/23/19	00/00/00	

Research Compliance Issues

- Foreign involvement
- COI
- Change in project personnel effort
- Protected data
- Human and/or animal subjects
- Stem cell
- EH&S
- Foreign sponsor/collaborations

** Office of Research website is your best resource for the latest guidance in these areas.

Communication & Teamwork

- PI and research team
- Departmental administrative staff
- Other departments
- Central departments

Regular communication and teamwork are absolutely essential to ensuring post-award management success!



Utilize your resources

- C&G liaison resources page on the OR website
 - Lots of links to a ton of helpful information.
- Other department liaisons
- UCSB C&G Google groups
- C&G Expertise contact list
- SPO Team & EMF staff
- Refresher STAR courses and other campus courses
- Agency websites/listservs

Helpful post-award tips

- Check financial transactions for compliance and allowability on a daily/weekly basis.
- Check your award documents frequently.
- Ensure that your shadow systems are up-to-date.
- Keep close-out requirements in mind during:
 - Managing transactions for the project
 - Responding to project changes
 - Reporting and invoicing



Helpful post-award tips

- Talk to your PIs – ask them how their research is going.
 - Keep in mind they will like forget certain award requirements so you will need to remind them (more frequently than not!)
- Documentation is key
- “Expect the unexpected”
- Communicate!



Adapting to CHANGE during the life of an award

- Processes and procedures can change due to changes in business practices on campus or at funding agencies.
 - NSF PAPPG is revised annually
 - OMB Uniform Guidance eff. 12/26/14
 - COVID-19 pandemic
- New systems may be introduced during the award period:
 - Timekeeping (Kronos)
 - UCPath
 - Agency systems
 - UCSB Financial system
- Review/update internal processes to ensure compliance with UC and Federal policies.



Department Close-out Process: Preparations

- Award closeout is more than simply the expiration of a project so start early
- Must be a **collaborative** effort to ensure **success**



- Develop a process/timeline that works for your department and PIs.
 - We begin the closeout process 6 months prior to the end date.

Department Close-out Process: Preparations

- 6-month review:
 - Award: spending rate, reports, outstanding liens, personnel, object codes
 - Verify validity
 - Contact PI and make a closeout plan about how remaining funds will be spent.
 - Possibility of no-cost extension?
 - Review Hot List (more on next slide)
 - Project Contributions
 - Subagreements/multi-campus awards
 - Check spending & invoices; work with PI to send reminders, as needed



HOT LIST

A GUS-generated list of awards that will end within 6 months (or whatever time period you choose.)

- ✓Generate and review on a monthly basis.
- ✓List generated by award end date so awards that require an annual report to trigger the next increment of funding show up on the list and PIs can be notified.

Why bother with this type of tracking?

1. Ensures compliance with applicable policies.

- ✓UCSB Closeout (Dept & Accounting) must be completed in 60/120 days.
 - ✓Dept. Closeout to be completed no later than **2 weeks** prior to agency deadline.
- There are exceptions (NSF-45 days).

2. Avoid overdrafts.

3. Ensures appropriate spending.

4. Workload planning and management.

- ✓Initiate closeout review at 6 months and then again at 3 months prior to award end date and finally at the 1 month mark.

To help avoid being this person →



Hot List - Projects Ending

End Date: 8/31/16

End Date Type: Award End

Printed: 3/1/16 15:04:50

End Date	Proj	PI(s)	Account-Fund	Balance	Next Inc	Agency	Notes
March 2016							
3/31/16	510GK	Goulias	444032-18336	43,043.47	None.	UCCONNET - UCB - UC	
April 2016							
4/30/16	670CR	Church	444032-18333	10,172.84	None.	UCTC - UC Transportat	
June 2016							
6/14/16	024RD	Roberts	444032-59847	31,609.90	None.	UWis - Univ of Wiscons	
6/23/16	240HG	Husak	444032-23218	33,568.52	None.	NASA - National Aeron	
6/30/16	020DUT	Dunne, Kamal	784132-23236	0.00	None.	NASA-Fel - National Ae	
6/30/16	497GK	Goulias	784132-22836	337.00	None.	UCTC - UC Transportat	
6/30/16	498GK	Goulias	784232-22836	5,000.00	None.	UCTC - UC Transportat	
6/30/16	CSNIH1	Cassels	444032-23718	28,158.40	7/1/16	NIH - National Institut	
6/30/16	SHUCSD	Shukla	444032-22567	26,303.39	None.	UCSD - UC San Diego	
August 2016							
8/24/16	379FC	Funk, Husak	444032-23229	11,617.32	None.	NASA - National Aeron	IDC at 53% & 53.5%
8/31/16	030CLV	CARVALHO, Cannon	784132-23221	0.00	None.	NASA - National Aeron	
8/31/16	RDBSF1	Roberts	444032-20982	6,471.25	None.	U.S.-Israel Binational S	
8/31/16	RDNAS1	Roberts, Meerdink	784132-23239	0.00	None.	NASA-Fel - National Ae	

Closeout Notification



- Dept receives notification of upcoming closeout from Accounting.
- If you are not using GUS, you can use the “Extramural Close Out Report” in the data warehouse to help with closeout preparations.
- Coordinate final reporting requirements with PI (and SPO if institutional approval is needed).
 - Keep a hard copy in the award file. Award files are kept for 6 years after the award ends, unless otherwise specified in the award.
- Prepare financial close-out memo for Accounting (available at <http://www.bfs.ucsb.edu/forms>)

To: _____
 Extramural Funds Accounting
 From: _____
 Dept: _____

RE: CLOSE MEMO

Agency Name: _____
 Agency Number: _____
 Principal Investigator: _____
 Account/Fund #: _____
 Account/Fund End Date: _____

I have determined the following adjustments:

(PLEASE ATTACH COPIES OF DOCUMENTATION FOR OUTSTANDING CHARGES.)

Description	Sub 2	Sub 3	Sub 4	Sub 5	Sub 6	Sub 7	Sub Y	Total
Expenses:								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
								0.00
Total	0.00	0.00	0.00	0.00	0.00	0.00	0.00	* 0.00

Prior to closing an award, a justification is required explaining the exception to Circular A-21 for the following object codes: 4100-4490; Communication, Postage, Delivery (exclude 4101, 4125, 4450, 4460, 4470). Also, justification is needed for 5505 (Transfer Copy); 6050 (Reproduction & Photocopy); 7220 (Memberships/Subs); 7224 (Temporary Services); 7225 (Permits-Taxes-Fees); 8015 (Reproduction/Copy Supplies); 8070 (General Office Supplies); 8140 (Office Supplies). If the object codes listed above are not appropriate or immaterial, please indicate the object codes and amounts to be transferred from this project.

Total unspent balance: \$ _____ from general ledger dated: _____
 Less outstanding costs: \$ 0.00 (*Should be the same amount.)
 Total amount \$ 0.00 to be returned to the agency.

I have reviewed the above grant/contract and certify all expenditures are appropriate and allowable.

Prepared by _____ ext: _____
 Principal Investigator _____ date: _____
 (signature)

Project Worksheet: Closeout



- ✓ Personnel
- ✓ Project code and purchasing authorizations deactivated in GMC.
- ✓ Departmental recharge accounts closed.
- ✓ Prepare signature authorization form to cancel the signature authorization.
- ✓ Update internal logs if applicable.
- ✓ Update GUS if applicable.

PROJECT WORKSHEET

Award Closeout

Six months prior to end date:

- 1) Review balances and verify liens: _____
- 2) Consult PI about remaining funds: _____

Two months prior to end date:

- 1) Review balances and verify liens: _____
- 2) Consult PI about remaining funds: _____
- 3) Possible no-cost extension: _____

After end date:

- 1) Close all purchasing & recharge no.: _____
- 2) Signature authorization canceled: _____
- 3) Close-out memo sent to Accounting: _____
- 4) Revised close-out memo sent to Acct: _____
- 5) Adjusted to actual verified and done: _____

Final Report	Due Date	Date Submitted to Agency	Method of Submission	Hard copy in File
Technical				
Patent				
Equipment				

Closeout Notes: _____

Closeout of Project Contributions

- Matching funds must be used within the project period of performance.
- Keep in mind other awards used as cost share may be administered in other departments.
- Final Project Contribution report.
- Any other agency requirements?

Closeout of Subagreements/MCAs

- Prepare and start as early as possible!
- Make sure you have received all required reports prior to the agency reporting deadlines. Subaward terms usually require subs to submit their final reports to UCSB **30 days prior to the agency reporting deadline.**
 - For subagreements make sure you get the final invoice marked as “Final Invoice.”
- Complete the OR Subaward Close-out Certification. OR forms can be found at:
<https://www.research.ucsb.edu/subawards>
- MCA's can be monitored through data warehouse reports but the reports only provide total dollars spent; no detail by subs or object codes.

Final Reports

- **Don't forget the final reports are typically due 60 to 120 days after end date of award.**
- Submit them on time! Some agencies will not pay the final invoice until all final reports have been submitted or Accounting may not be able to draw down funds.
- Make note of submission method – some agencies require online submission of reports so plan ahead.
- SPO no longer requires a copy of the final technical report (unless institutional certification is required) but their office does require confirmation of submission.
 - ✓ They are a great resource too, and always willing to help!

Final Reports

- Retain copies in your dept (electronic and/or hard copy)
 - <http://recordsretention.ucop.edu>
 - “Record Retention – Best Practices for Departments” tool on the C&G Liaison Resources page.
- **Coordination:** Keep in mind that some final reports may be handled by another department (Equipment Management, Accounting)



Closing Remarks

- ✓ Take the time to review your awards
- ✓ Keep abreast of University, Federal, and State regulations
- ✓ Stay organized and be flexible
- ✓ Maintain clear documentation for future reference
- ✓ Prepare for the unexpected
- ✓ Use your resources:
 - ✓ Coworkers, C&G liaisons, SPO Team, OR, EMF Accounting, Equipment Management
 - ✓ Bookmark C&G Liaison Resources [website](#) (more content coming soon!)
 - ✓ Professional development workshops/meetings
 - ✓ University and agency websites
- ✓ Communication is key!

Questions? Please use the chat feature



UC SANTA BARBARA



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