POST-AWARD ADMINISTRATION FROM A DEPARTMENTAL PERSPECTIVE

Alycia Lewis, CRA
Department of Geography
Tel: 805.893.4980
Email: alycia@geog.ucsb.edu
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

- **Pre-Award**
  - Development
  - Submission
  - Agency Review

- **Notice of Award**

- **Post-Award**
  - Set-up
  - Management
  - Reports
  - Close-out
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

  - 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](mailto: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 PIs, 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  

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<th>Record #</th>
<th>: 20170633</th>
<th>Date</th>
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<tbody>
<tr>
<td>Project #</td>
<td>: 2013PR0740</td>
<td>Dept.</td>
<td>: GEOG</td>
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<td>Proposal Submitted</td>
<td>: Cooperative Agreement</td>
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<td>: 22617</td>
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<td>Award Action</td>
<td>: Continuation</td>
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<td>: UC Center For Water Resources</td>
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<td>Mod #</td>
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<td>Sponsor Code</td>
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<td>CFDA Number</td>
<td>: 15.808</td>
<td>Site of work</td>
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| Mod # | : 06 | Sponsor Code | : 4803 |
| CFDA Number | : 15.808 | Site of work | : F: Off-Campus |

### PIs:

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<tr>
<td>1</td>
<td>Greg</td>
<td>J.</td>
<td>Husak</td>
<td>GEOG</td>
<td>5 - Assoc Rsrch</td>
<td>50.0</td>
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<tr>
<td>2</td>
<td>Joel</td>
<td>C.</td>
<td>Michaelsen</td>
<td>GEOG</td>
<td>1 - Professor</td>
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<td>Yes</td>
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---

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

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**FINANCIAL INFORMATION**

| Award Funds  | : 1,378,284 | IDC Award | : 276,937 |
| Begin Date   | : 06/01/2017 | IDC Rate | : 26.00 |
| End Date     | : 02/28/2018 | IDC Code | : 10 - MTDC |
| Projected Funds | : 0 | Third Party | : 0 |
| Funds Thru Date | | (formerly Matching Funds) | |
| Funds Obligated To Date | : 6,988,840 |

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**UC SANTA BARBARA**
### REPORTS

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### APPROVALS

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<td>HS Log</td>
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<td>No</td>
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<td>AS Exp Date</td>
</tr>
<tr>
<td>Use of Stem Cells</td>
<td>No</td>
<td>SC Log Number</td>
<td>AS Exp Date</td>
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<tr>
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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

CONDITIONS:

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

<table>
<thead>
<tr>
<th>Description</th>
<th>Name</th>
<th>Email</th>
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<tbody>
<tr>
<td>Equipment Management</td>
<td>Diana Mina</td>
<td><a href="mailto:Diana.Mina@bfs.ucsb.edu">Diana.Mina@bfs.ucsb.edu</a></td>
</tr>
<tr>
<td>Equipment Management</td>
<td>Vaughn Boyle</td>
<td><a href="mailto:vaughn.boyle@bfs.ucsb.edu">vaughn.boyle@bfs.ucsb.edu</a></td>
</tr>
<tr>
<td>Equipment Management</td>
<td>Lynn Corrigan</td>
<td><a href="mailto:Lynn.Corrigan@bfs.ucsb.edu">Lynn.Corrigan@bfs.ucsb.edu</a></td>
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<td>Equipment Management</td>
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<td><a href="mailto:Jason.Gonzalez@bfs.ucsb.edu">Jason.Gonzalez@bfs.ucsb.edu</a></td>
</tr>
<tr>
<td>Department Liaison</td>
<td>Mo Lovegreen</td>
<td><a href="mailto:mo@geog.ucsb.edu">mo@geog.ucsb.edu</a></td>
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<tr>
<td>Department Liaison</td>
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<tr>
<td>Department Liaison</td>
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<tr>
<td>Department Liaison</td>
<td>Alycia Lewis</td>
<td><a href="mailto:alycia.lewis@geog.ucsb.edu">alycia.lewis@geog.ucsb.edu</a></td>
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<tr>
<td>Department Liaison</td>
<td>Lauren Kerr</td>
<td><a href="mailto:laurenkerr@ucsb.edu">laurenkerr@ucsb.edu</a></td>
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<tr>
<td>Primary PI</td>
<td>Greg Husak</td>
<td><a href="mailto:husak@geog.ucsb.edu">husak@geog.ucsb.edu</a></td>
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</table>
EXPLANATION OF CODES LISTED IN “CONDITIONS” FIELD EFFECTIVE (3/20/2010)

If a code number and/or letter appears in the “CONDITIONS” field on the Award Synopsys then the condition specified below applies to this award. Please note that the codes listed on the Award Synopsys are not intended to be exhaustive. Principal Investigators and Administrating 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 Indirect Costs Team.

GENERAL TERMS AND CONDITIONS

8 Uniform Guidance 2 C.F.R. Part 200
9 Award includes Federal flow through funding
10 Research Terms and Conditions, and the appropriate Agency Specific Requirements (see http://www.hcf.state.ny.us/biosearch/index.jsp for further guidance).
11 Federal Demonstration Partnership, and the appropriate Agency Specific Requirements (see www.fdpinfo.gov for further guidance).
12 UC Program. See program guidelines and award document.
14 FAR Clauses 52.216-7 OR 52.216-2 are included in award terms. See FAR Subpart 52.2. The allowability of costs is determined in accordance with the OMB Uniform Guidance at 2 C.F.R. part 200, subpart E, appendix III, as it existed on the date of the contract.
15 ECCAR (see http://www.cdpd.org/policy/funding/proc regulations/procar.html)
16 2 C.F.R. 220 (OMB Circular A-110)
17 2 C.F.R. 315 (OMB Circular A-110)
18 Federal Acquisition Regulations (“FAR”), and the appropriate Agency FAR Supplements (see http://acquisition.gov/browse/for)
19 See special award terms and/or sponsor guidelines.
20 Federal Funding, Accountability and Transparency Act of 2006 (FFATA) Special Award Reporting Applies.

EQUIPMENT ISSUES

21 General Purpose Equipment, net in the approved budget requires the prior written approval of the sponsor if the amount exceeds $5,000.
22 Special Purpose Equipment, net 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. Note: Equipment must be used exclusively for the conduct of the research project.
26 Title to equipment vests in See award document and/or Sponsor comments.
27 DEPEQ prior approval is required for all equipment purchased over $10,000 (and Computer Equipment over $75,000). Form I4031A must be completed and sent via Office of Research, to the Federal administration agency.
28 If PIs wishes to purchase General Purpose Equipment not in the approved budget, the purchase requisition must contain a note from the PI that the equipment will be used exclusively for 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 the prior written approval of the sponsor regardless of its inclusion in the approved budget.
33 Domestic Travel not in the approved budget requires the prior written approval of the sponsor.
34 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 $15,000 per month. Effective for budget periods beginning 01/0/7/18. For additional guidance, see NIH Notice: http://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-177.html
43 All rebudgeting requires prior approval of the agency.
44 Prior approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds (A) 10% of the total award, % of total award, if different, noted in remarks.
46 Prior approval is required for transfers of funds between direct cost categories when the cumulative amount of transfers exceeds (a) 10% of the line item, % of line item, if different, noted in remarks.
46 Limitation of Funds Date: Admin. Unit must notify Agency when it believes that expenditures to date will exceed, in next 60 days, 25% of either, total funds available to date (if contract is not fully-funded) or total estimated cost (if contract is fully-funded). For of days and % of funds, if different, noted in the remarks.
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 to be billed in acres as costs are incurred. See contract for invoicing information and frequency.
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
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 GL064 General Ledger of Expenditures.

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<thead>
<tr>
<th>SUB ACCOUNT NAME</th>
<th>ACCOUNT NAME</th>
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<td>Employee Benefits</td>
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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:

Tyler Clark, Manager  
Extramural Fund Accounting

Please direct Accounting questions pertaining to this award to: Pam Cabrera x8338
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.

<table>
<thead>
<tr>
<th>University of California, UC ANR (Prime Campus)</th>
<th>University of California, UCSB (Participating Campus)</th>
</tr>
</thead>
<tbody>
<tr>
<td>P.I.: Doug Parker</td>
<td>PI: Greg Husak</td>
</tr>
<tr>
<td>Department: California Water Institute for Water Resources</td>
<td>Department: Geography</td>
</tr>
<tr>
<td>Authorized Official: Kathleen. P. Nolan, J.D.</td>
<td>Authorized Official: Cora Diaz, Director, Sponsored Projects (UCSB)</td>
</tr>
<tr>
<td>Director, Contracts and Grants</td>
<td></td>
</tr>
<tr>
<td>Email Address: <a href="mailto:ccc@ucanr.edu">ccc@ucanr.edu</a></td>
<td>Email Address: <a href="mailto:diaz@research.ucsb.edu">diaz@research.ucsb.edu</a></td>
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Prime Award Information

Prime Award No: G14AC00042
FAIN: G14AC00042
Campus Sponsor Code: 6774
Funding Source: USGS Sponsor Code: 4190
Prime Fund Number: 27185 Fund Block: 01-Federal

[x] 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

[x] Annually (To Doug Parker - no later than 60 days after the close of budget period)
[x] Final Technical Report (due 60 days after end date)
[x] Patent Report
[x] Equipment Inventory Report (60 days after end date)
[x] Final Intercampus Request for Reimbursement
Due: on or before 60 days after end date
[x] 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 information must be provided to UCSB within 30 days after the end of each reporting period.

OR STAR Class #8

ITA BARBARA
## Project Worksheet

### Project Code

### Account Name

### Account Number

### Lead PI

### Co-PI's

### Agency (Fed flow-through)

### Project Dates

<table>
<thead>
<tr>
<th>Award type</th>
<th>Cost reimbursement</th>
<th>Fixed-price</th>
<th>UG?</th>
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<td>Gift</td>
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</table>

### 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:

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<th>Date Received</th>
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* Please note: For Chemistry recharges, attach list of users.

### Project Notes:

_________________________

_________________________

_________________________

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_________________________
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

<table>
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<tbody>
<tr>
<td>SIGNATURE AUTHORIZATION</td>
</tr>
<tr>
<td>OR CANCELLATION</td>
</tr>
</tbody>
</table>

1. NAME (Last/First/Middle initials)
2. ACTION (check appropriate box below)
   - Authorization
   - Cancellation
3. Effective Date (mm/dd/yyyy)
4. Payroll Title
5. Mail Code
6. Preparer & ext.
7. Owner Dept (4 letter code)

<table>
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<tr>
<th>ACCOUNT NAME</th>
<th>LOC</th>
<th>ACCOUNT</th>
<th>FUND</th>
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</table>

9. Signature Specimen
   - Use this signature on all University documents

10. Department Transactions
    - Purchase Requisitions
    - Payroll
    - Travel Documents (advance & expense vouchers)
    - Invoices & Recharges
    - Staff Personnel Transactions
    - All Department Business
    - Other: Specify

Department Head Signature (below)

Print Dept. Head Name & Date (above)

RETAIN: ACCOUNTING 1 YEAR AFTER CANCELLATION. OTHER COPIES UNTIL CANCELLED.

*Original to Accounting
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](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 (reallocate, 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/](http://geog.ucsb.edu/geography-services/)

All purchase orders must be submitted via the Gateway Procurement system: [https://gateway.procurement.ucsb.edu/Login.aspx](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

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<tr>
<th>Proj</th>
<th>Account-Fund</th>
<th>Agency Num or Title</th>
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<th>Funding</th>
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OR STAR Class #8
AND I WOULD HAVE GOTTEN AWAY WITH IT

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
• OR only tracks final reports (award synopsis).
• Create a system that works for you and your PI’s
• Reports can be tracked in GUS and dates will display on GUS financial reports as well as online GUS
  • Monthly quarterly, annual, and final technical reports
  • Annual and final patent reports.
• Agencies are starting to withhold funding if final reports are overdue. (tech, patent, property, etc.)
  • This may not only jeopardize the PI’s funding but potentially other awards/proposals at UCSB.
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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!
WHAT DO YOU MEAN I CAN'T?

MY PROGRAM MANAGER SAID IT WOULD BE OK!
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

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<th>Proj</th>
<th>PI(s)</th>
<th>Account-Fund</th>
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<td>444032-18336</td>
<td>43,043.47</td>
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| 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 Wiscon:                     |
|           | 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 Aæ                     |
|           | 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 Institute                   |
|           | 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                    |
|             | 8/31/16 | RDNAS1 | Roberts, Meerdink| 784132-23239 | 0.00      | None.          | NASA-Fel - National Aæ                     |
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)
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.)

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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 (Membership/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: ____________________________

OR STAR Class #8
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 Accx:
5) Adjusted to actual verified and done:

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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](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