

POST-AWARD ADMINISTRATION FROM A DEPARTMENTAL PERSPECTIVE

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STAR Program Logistics

- STAR Certificate consists of 11 courses. To obtain a certificate, you must complete all 11 courses within two (2) years.
- For any STAR Program questions: contact Betsy Lazarine and/or Clarissa Cabrera at training@research.ucsb.edu.
- Please complete the STAR Evaluation, which will be emailed to registered participants via the email used in UCLC.

Agenda & Topics Covered

Establishing and monitoring awards from a department perspective:

- Notification of award
- Award acceptance & set-up
- Award management
- Working with the PI, department staff, and other campus departments
- Reporting & close-out activities
- Best practices, helpful tips
- Resources



Sponsored Award Lifecycle



UCSB Databases

ORBIT is the Office of Research "Proposal and Award Database"

<https://orbit.research.ucsb.edu/>

PGM (Projects & Grants Management) one of the tools within the project management ecosystem used for the maintenance of Awards, Projects and associated budgets, demographic details

<http://login-evmh-saasfaprod1.f.a.ocs.oraclecloud.com>

EPM (Enterprise Performance Management) another of the tools within the project management ecosystem that enables budgeting, forecasting, financial modeling, and workforce planning. EPM houses the following business processes: Annual Budget (current year and ongoing), Project Forecasting, Long Range/Strategic Modeling, Core Revenue projections, Workforce Planning (WFP), and Campus Commitments tracking. It will originate budget adjustments and allocation of resources.

Data Warehouse (to be replaced soon with FinHub within Oracle Financial Cloud [OFC]) has extramural accounting and equipment reports: <http://wh.isc.ucsb.edu/>

UCPath (UC Payroll, Academic Personnel, Timekeeping and Human Resources)

<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 Mailing List](#)

Office of Financial Training

- Website: <https://financialtraining.ucsb.edu/trainings>

Business & Financial Services

- Extramural Funds
- Equipment Management

Online Resources

One additional resource from the Office of Financial Training:

- Link:
<https://financialtraining.ucsb.edu/financial-systems-and-processes/sponsored-projects-management>
- Financial Systems and Processes > Sponsored Projects Management

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Sponsored Projects Management

RESOURCES FOR RESEARCH FINANCIAL ANALYSTS

Business Process: Type: Search:

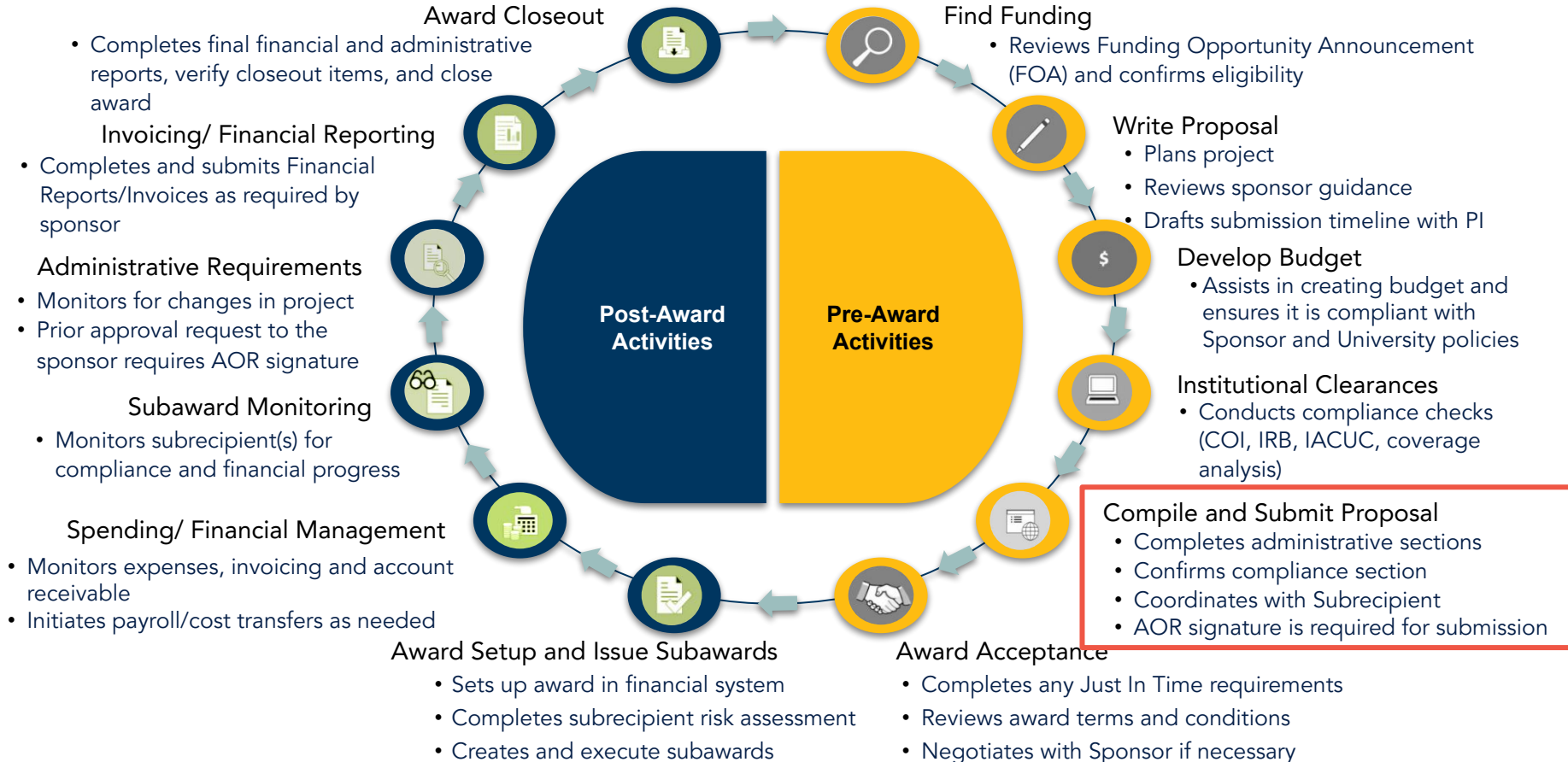
*QRG = Quick Reference Guide

BUSINESS PROCESS/CATEGORY	RESOURCE	TYPE	DESCRIPTION
Applicable to multiple processes	Sponsored Awards: Post Award Forms and Communication	E-Learning	This course focuses on formalizing communication between Research Financial Analysts and Extramural Funds Accounting, with an in-depth look at new ServiceNow forms and Google templates.
Award Acceptance, Setup & Review	Award Acceptance & Setup Checklists for PRAs, RFAs	QRG	
Award Acceptance, Setup & Review	Creating or Modifying a Budget in PGM	QRG	How to create or modify a budget in PGM.

A few notes before we go any further....

- The goal is for processes to be standardized across campus - however, it is understood that departments may need certain processes specialized to its own unique order based on its PIs, culture and size.
- Procedures shift 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.
- Processes are still evolving as we adjust into OFC and PGM

Sponsored Award Lifecycle



Tracking Proposals & Awards

Maintain an organized and consistent 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.
- Consider who needs access -
 - PRA
 - Other RFAs for backup

Award Acceptance vs Award Setup

Award Acceptance = award w/ SPO/TIA for review, negotiations, processing in ORBIT

Setup = award w/ EMF for review, setup in OFC PGM

ORBIT record #: _____		PRA: _____	
OFC award #: _____ (complete once available)		RFA: _____	

Award Acceptance: As award is being negotiated/processed by SPO/TIA
The activities below can be done in parallel with SPO/TIA's award review and negotiations. Some will be required in order for SPO/TIA to complete processing; others can be done strategically during this phase to avoid future delays. NOTE: Completion of the items on this checklist does not mean SPO/TIA can accept or sign the award.

Pre Award Administrator (PRA)	Research Financial Analyst (RFA)
Reactive: Reply to SPO/TIA ☐ Provide any requested materials and/or respond to questions from SPO/TIA for agreement review & acceptance Proactive: Award review (if draft available) With the understanding that negotiations may result in changes to terms & conditions: ☐ Review award notification for budget cuts, progress report deadlines, and T&C on award management Proactive: Budget allocation If awarded amount does not align w/ UCSB detailed budget, confer w/ SPO/TIA for any need to address w/ sponsor, or otherwise work w/ PI as needed to: ☐ Create revised spending plan ☐ Share spending plan w/ RFA Proactive: Cost share (if applicable) If applicable: ☐ If award reduced, edit c/s budget; confirm final amounts w/ contributors ☐ Complete Awarded section of PC form ☐ Notify cash contributors of award rec'd For all w/ cost share: ☐ Complete Funded section of CSC form; send completed form to SPO team Proactive: Compliance (as applicable) Work w/ PI to ensure they've completed: ☐ Steps for H/S, A/S, EHS, Stem Cell, & COI ☐ Research Security Training, MFRP ☐ Review list of Key Personnel and ensure ORBIT is accurate, Reminder: All Key Personnel must be UCSB employees.	Proactive: Award review With the understanding that negotiations may result in changes to terms & conditions: ☐ Review award notification for period of performance, budget cuts, restrictions, reporting & invoicing requirements, and T&C on award management ☐ Alert PRA if any concerns about award financial management requirements/restrictions Proactive: Budget allocation ☐ Pull down UCSB Detailed budget, or, in cases where the awarded amount differs, get spending plan from PRA. This will be basis of PGM project budget(s). Proactive: Project breakdown ☐ Finalize desired project listing w/ funding allocations Proactive: Subaward(s) (if applicable) ☐ Ensure subawardee(s) are listed as supplier(s) in Gateway Proactive: Cost share (if applicable) If applicable: ☐ Request Commitment segment value from OR Financial (cash from CP only) ☐ Request fund#s from cash and in-kind contributors (cash and in-kind only) For all w/ cost share: ☐ Complete Accounting section of PC form; notify PRA when this is done

Award Acceptance = award w/ SPO/TIA for review, negotiations, processing in ORBIT
 Setup = award w/ EMF for review, setup in OFC PGM

ORBIT record #: _____		PRA: _____	
OFC award #: _____ (complete once available)		RFA: _____	

Award Setup: As award/projects are being established in OFC PGM
Some of the activities below can be done in parallel with EMF's award review and setup; others can be done once EMF's setup is complete.

Pre Award Administrator (PRA)	Research Financial Analyst (RFA)
As soon as award has been passed from OR/TIA to EMF for setup	
Proactive: Subaward(s) (if applicable) ☐ Prepare, route for signature, and submit Part 8(s) to SPO	
As soon as RFA has been notified that projects have been established in OFC PGM*	
(none)	Proactive: Project-level budgeting ☐ Create and baseline project budget(s) Proactive: Subawards (if applicable) ☐ Prepare and submit Part C to SPO Proactive: Cost share (if applicable) ☐ Notify cash contributors
As soon as RFA has been notified that award/contract has been finalized, activated*	
(none)	Proactive: Award review ☐ Review all award details in OFC ☐ Notify EMF through ServiceNow: ☐ If corrections needed ☐ Any request for additional projects Proactive: Notify PI ☐ Optional step: If budget has not yet been baselined, instruct PI to wait on spending ☐ Once budget has been created, baselined, notify PI that spending can commence (+ any helpful information) Proactive: Cost share (if applicable) ☐ Reconcile GL/PGM report ☐ Initiate UCPath FE changes (in-kind) Proactive: Facilitate forecasting, spending (as applicable) ☐ Establish recharge codes ☐ Facilitate communication between PI and purchasing team, payroll team, etc. ☐ Create forecasts in EPM Project Forecasting as needed

*Notification of this stage will come at the same time
 Award Acceptance = award w/ SPO/TIA for review, negotiations, processing in ORBIT
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Award Acceptance vs Award Setup

Here is the link for these checklists:

<https://docs.google.com/document/d/1sxhFLwnYn8i-PhfwAdFmoeBvYSXqGU5KDK17GT2MhMY/copy?tab=t.0>

*Note that you will be prompted to make a copy of this document.

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Sponsored Projects Management

RESOURCES FOR RESEARCH FINANCIAL ANALYSTS

Business Process: Type: Search:

*QRG = Quick Reference Guide

BUSINESS PROCESS/CATEGORY	RESOURCE	TYPE	DESCRIPTION
Award Acceptance, Setup & Review	Award Acceptance & Setup Checklists for PRAs, RFAs	QRG	
Award Acceptance, Setup & Review	Creating or Modifying a Budget in PGM	QRG	How to create or modify a budget in PGM.
Award Acceptance, Setup & Review	Criteria for Additional Projects on an Award	QRG	

Sponsored Award Lifecycle



Start: Award Received Notification

PI, PRA, and RFA receive email notification from ORBiT that new award/continuation has been received by UCSB.

Check ORBiT for draft/initial version of award has been uploaded.



- Review draft award in ORBiT
- Alert SPO if any concerns about terms & conditions
- If award amount differs from proposed, work with PI to create a spending plan (PRA)
- Complete other items noted on the [Award Acceptance checklist](#)

Award Acceptance

Award Acceptance Checklist

ORBIT record #: _____	PRA: _____
OFC award #: _____ (complete once available)	RFA: _____

Award Acceptance: As award is being negotiated/processed by SPO/TIA
The activities below can be done in parallel with SPO/TIA's award review and negotiations. Some will be required in order for SPO/TIA to complete processing; others can be done strategically during this phase to avoid future delays. NOTE: Completion of the items on this checklist does not mean SPO/TIA can accept or sign the award.

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Reactive: Reply to SPO/TIA ☐ Provide any requested materials and/or respond to questions from SPO/ TIA for agreement review & acceptance Proactive: Award review (if draft available) With the understanding that negotiations may result in changes to terms & conditions: ☐ Review award notification for budget cuts, progress report deadlines, and T&C on award management Proactive: Budget allocation If awarded amount does not align w/ UCSB detailed budget, confer w/ SPO/TIA for any need to address w/ sponsor, or otherwise work w/ PI as needed to: ☐ Create revised spending plan ☐ Share spending plan w/ RFA Proactive: Cost share (if applicable) If applicable: ☐ If award reduced, edit c/s budget; confirm final amounts w/ contributors ☐ Complete Awarded section of PC form ☐ Notify cash contributors of award rec'd For all w/ cost share: ☐ Complete Funded section of CSC form; send completed form to SPO team Proactive: Compliance (as applicable) Work w/ PI to ensure they've completed: ☐ Steps for H/S, A/S, EHS, Stem Cell, & COI ☐ Research Security Training, MSTRP ☐ Review list of Key Personnel and ensure ORBIT is accurate. Reminder: All Key Personnel must be UCSB employees.	Proactive: Award review With the understanding that negotiations may result in changes to terms & conditions: ☐ Review award notification for period of performance, budget cuts, restrictions, reporting & invoicing requirements, and T&C on award management ☐ Alert PRA if any concerns about award financial management requirements/restrictions Proactive: Budget allocation ☐ Pull down UCSB Detailed budget, or, in cases where the awarded amount differs, get spending plan from PRA. This will be basis of PGM project budget(s). Proactive: Project breakdown ☐ Finalize desired project listing w/ funding allocations Proactive: Subaward(s) (if applicable) ☐ Ensure subawardee(s) are listed as supplier(s) in Gateway Proactive: Cost share (if applicable) If applicable: ☐ Request Commitment segment value from OR Financial (cash from CP only) ☐ Request fund#s from cash and in-kind contributors (cash and in-kind only) For all w/ cost share: ☐ Complete Accounting section of PC form; notify PRA when this is done

Award Acceptance = award w/ SPO/TIA for review, negotiations, processing in ORBIT
 Setup = award w/ EMF for review, setup in OFC PGM

Award Accepted Notification (+ORBiT synopsis)

PI, PRA, and RFA receive email notification from ORBiT that new award/continuation has been accepted by SPO/TIA and passed to EMF for setup.

Docs attached to email: ORBiT Award Synopsis and Agency Award document



- 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 have transitioned to a fully electronic system for each proposal.
- Keep your internal department folders consistent in how they are labeled and what information is contained in the file.
- Once awarded, certain proposal-stage files (typically the budget and OR Final) are copied or moved to the award file along with the ORBiT documents.
- 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 and reference the proposal file.
- Print/Save all award documents, including internal documents.
- Utilize the Award Acceptance & Setup Checklists for PRAs, RFAs
 - Keep in award file and include all related forms.



ORBiT Award Synopsis

UNIVERSITY OF CALIFORNIA, SANTA BARBARA OFFICE OF RESEARCH AWARD SYNOPSIS

ORBiT Record #	: 20240851	Date	: 7/02/2025
ORBiT Project #	: 2024PR0546	Dept.	: GEOG
ORBiT Master Agreement #	:	FRU	:
Sponsor Award #	: SB250191	Award Action	: New
PGM Award #	: 103044	Mod #	:

SPONSOR INFORMATION

Sponsor	: Santa Barbara County Association of Governments		
Sponsor Code	: VRCY	Sponsor Category	: 3 - OTHER, INTER, NON-GOV ORG
Prime Sponsor	: Cal Department Of Transportation		
Prime Sponsor Code	: 6681	Prime Sponsor Category	: 2 - STATE OF CALIFORNIA

AWARD INFORMATION

Award Type	: Contract	Award Purpose	: Basic Research
CFDA #	:	Full Cost Recovery Code	: R - Organized Research
SBIR/STTR	: No	Site of work	: N: On-Campus

PIs

#	First Name	Middle Name	Last Name	Path ID	% Time	Eligible	Exception
1	Trisalyn	Anna-Lisa	Nelson	10461903	5.0	Yes	No

KEY PERSONNEL

#	First Name	Middle Name	Last Name	Path ID	% Time	Eligible	Exception
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TITLE: Santa Barbara County AI Bike Mapping and Wayfinding Project

ORBiT Award Synopsis

FINANCIAL INFORMATION

Award Funds	:	\$270,000	IDC	:	\$46,925	RAS Funds	:	\$0
Begin Date	:	6/26/2025	IDC Rate	:	35.00	RAS Begin Date	:	
End Date	:	5/31/2027	IDC Code	:	10 - MTDC	RAS End Date	:	
Pre-Award Date	:	11/1/2024	Waiver Type	:		UC Cash	:	\$0
Projected Funds	:	\$0	Waiver Number	:		UC In-kind	:	\$6,189
Funds Thru Date	:					Third Party Contribution	:	\$0
Funds Obligated To Date	:	\$0						

REPORTS

Final Tech	:	
Final Patent	:	
Final Equipment	:	

ORBiT Award Synopsis

UNIVERSITY OF CALIFORNIA, SANTA BARBARA OFFICE OF RESEARCH AWARD SYNOPSIS

APPROVALS

Human Subjects Use	: No	HS Log Number(s)	:	HS Expiration Date(s)	:
Animal Subjects Use	: No	AS Log Number	:	AS Expiration Date	:
Stem Cell Use	: No	SC Log Number	:	SC Expiration Date	:

CONDITIONS

<u>Code</u>	<u>Category</u>	<u>Description</u>
19	General Terms and Conditions	See special award terms and/or agency guidelines.
69	Reporting Requirements	See award terms for additional reporting requirements.

ACTION SPECIFIC REMARKS

AWARD REMARKS

CC 19: Award is effective on date of final execution, but award allows for pre-award spending starting 11/1/2024.

APPROVAL	: Kelly Nyesha Green Musselman	Award Date	:	6/30/2025
Phone	:	Other Action	:	
		Other Action Date	:	
		No Cost Extension Date	:	

CARBON COPY

<u>Description</u>	<u>Name</u>	<u>Email</u>
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Sponsored Award Lifecycle



Award Setup

Award Setup Checklist

ORBIT record #:	PRA:
OFC award #:	RFA:
(complete once available)	

Award Setup: As award/projects are being established in OFC PGM
Some of the activities below can be done in parallel with EMF's award review and setup; others can be done once EMF's setup is complete.

Pre Award Administrator (PRA)	Research Financial Analyst (RFA)
As soon as award has been passed from OR/TIA to EMF for setup	
Proactive: Subaward(s) (if applicable) ☐ Prepare, route for signature, and submit Part B(s) to SPO	
As soon as RFA has been notified that projects have been established in OFC PGM*	
(none)	Proactive: Project-level budgeting ☐ Create and baseline project budget(s) Proactive: Subawards (if applicable) ☐ Prepare and submit Part C to SPO Proactive: Cost share (if applicable) ☐ Notify cash contributors
As soon as RFA has been notified that award/contract has been finalized, activated*	
(none)	Proactive: Award review ☐ Review all award details in OFC ☐ Notify EMF through ServiceNow: ☐ If corrections needed ☐ Any request for additional projects Proactive: Notify PI ☐ Optional step: If budget has not yet been baselined, instruct PI to wait on spending ☐ Once budget has been created, baselined, notify PI that spending can commence (+ any helpful information) Proactive: Cost share (if applicable) ☐ Reconcile GL/PGM report ☐ Initiate UCPath FE changes (in-kind) Proactive: Facilitate forecasting, spending (as applicable) ☐ Establish recharge codes ☐ Facilitate communication between PI and purchasing team, payroll team, etc. ☐ Create forecasts in EPM Project Forecasting as needed

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Setup = award w/ EMF for review, setup in OFC PGM

EMF Award Synopsis

- Reply ASAP to let PI know to hold spending
- Baseline your budget
- Then Notify PI

Award & Award Project Synopsis Wireframe						
University of California Santa Barbara						
OFCE/PGM Award Synopsis						
OFCE Award Number	102193	Action Type	NEW			
Date Award Executed	06/23/2025	RAS	N			
Date Synopsis Generated	07/16/2025	Guaranteed Source of Funding				
General Information						
PI Name	Zay Zhou	Award-Own Organization	CNSI Projects			
Primary Location	On-campus, Other	EMF Accountant				
Sponsor Information						
Primary Sponsor Name	NATIONAL SCIENCE FOUNDATION					
Primary Sponsor Code	C-5400	Primary Sponsor Category	US FEDERAL GOVERNMENT AGENCY			
Flow-Through Sponsor Name						
Flow-Through Sponsor Number			Flow-Through Sponsor Category			
Award Details						
Award Name	2516386 TRANSLATION POTENTIAL OF AN INTERACTIVE SOCIALBOT FOR REMINISCENCE THERAPY					
OFCE Award Number	102193	Award Type	02 - Federal Grants			
Sponsor Award Number	2516386	Award Purpose	9: Other			
Award Start Date	05/15/2025	Burden Structure (IDC Base)	B TDC			
Award End Date	10/31/2025	Burden Multiplier (IDC Rate)	0.26			
Pre-Award Start Date		Total Sponsored Funding	50,000.00			
Award Close Date	01/29/2026	Total Committed Cost Share				
Project Details						
Project Type	Project Number	Project Name	Project Owning Org	Project PI	Project Manager	Project Analyst
		XYNSF1 - I-Corps: Translation Potential of an Interactive SocialBot for Reminiscence Therapy				
Sponsored	E004641		CNSI Projects		Zay Zhou	Delmy Kirkeeng
Project Financials						
Project Number	Start Date	End Date	Burden Structure (IDC Base)	Multiplier (IDC Base)	Funding Source	Funding Allocation*
E004641	05/15/2025	10/31/2025	B TDC	0.26	NATIONAL SCIENCE FOUNDATION-C-5400	50,000.00
Sponsored Subtotal						50,000.00
Project Contribution (Cost Share) Subtotal						0.00
Total Allocated Funding						50,000.00
*Must create and baseline project budget(s) in order to spend						
CCOA Strings*						
Entity	Fund	FRU	CCOA Purpose	CCOA Program	Project	CCOA Campus Commitment
1811	20001	4006002	44		E004641	
*If incurring costs for in-kind academic year salary, may need to use different FRU value (faculty home department)						
NOTABLE TERMS, CONDITIONS & ADDITIONAL INFORMATION						
Award Personnel			References			
Role	Name		Type/Name	Reference Value		
Principal Investigator	Zay Zhou		Orbit Project Number	2025PR0550		
Key Personnel	Maria Zhukova					
Terms & Conditions						
Category	Name	Description	Operator	Value		
Reporting	FFATA	Federal Funding, Accountability and Transparency Act of 2006 (FFATA) Special Subaward Reporting Applies				
Deliverables						
Name	Responsible Party Type	Responsible Party Name	Due Date			

Award Terms & Conditions (formerly Condition Codes)

UC SANTA BARBARA

1

Details

2

Projects

3

Funding

View Award Details ⓘ
100245 - 2043202 CAREER: MODELI...

Business Unit

UCSB Central BFS BU

Legal Entity

UC Santa Barbara Campus

Primary Sponsor

NATIONAL SCIENCE FOUNDATION ⓘ

Principal Investigator

Somayeh Dodge

General

Financial

Compliance

Personnel

Terms and Conditions ⓘ

View ▾

* Category	* Name	Description	Operator	Value
Reporting	FFATA	Federal Funding, Accountability and Transparency Act of 2006 (FFATA) Special Subaward Reporting Applies		

Certifications ⓘ

View ▾

Certification	Expedited
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Sponsor Award Document

- Varies widely between sponsors
- Details to lookout for:
 - UCSB PI & Co-PIs
 - Award Number
 - Period of Performance
 - Award Amount
 - Prior Approval requirements
 - Administrative contacts
 - Scope of work
 - Reporting requirements
 - Other award limitations and requirements

Award Review

- Review Award Synopsis 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**.
- If the award contains subagreements, compile the final paperwork to establish a subagreement.

Award Review

- PI email notification of new award.
- Personnel. Start as early as possible.
- EPM Project Forecasting
- If possible, Baseline Budget in PGM
 - If not - instruct PI to wait on spending



PI Notification & Authorization

PI Award Notification & Request - 1

From John Huber <jhuber@ucsb.edu> ▾

To

PI Award Notification & Request - 1

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:
 - Full Name
 - Type of Appointment (post-doc, GSR, etc.)
 - Start date
 - Salary level (if different from current salary level)
 - Academic Department (if not GEOG)
 - Department currently employing this person (if not GEOG)
 - The employee information will be sent to our Personnel Coordinator (add contact details).
2. Names of the 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:
 - Physics
 - Chemistry
 - Biology
 - 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,
John

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.
- 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.

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 / Cost Share

- Please see the training course: ***Sponsored Awards: Managing Cost Share***
- Cost Share 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.

Final PI Award Notification Email

- Provide the PI with the chart string (POETAF), recharge instructions for the new award.
- Reiterate any restrictions (reallocation, travel, equipment) for the award (keep in mind that they 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/>

PI Award Details Notification - 2

From John Huber <jhuber@ucsb.edu> ▾

To |

PI Award Details Notification - 2

Dear Professor,

Here is the account information you will need to begin spending you **(ENTER AWARD IDENTIFIER "NSF-DMR")** funds:

Geography Project code: ABNS01

Account Name: NSF-DMR

Account Number: 1811-20001-2408002-00-000-E001609

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: <https://www.geog.ucsb.edu/services>

All purchase orders must be submitted via the Gateway Procurement system: <https://gateway.procurement.ucsb.edu/>

For questions, please contact Bella Grinsberg: x4998; purchasing@geog.ucsb.edu

(Indicate if there are specific agency restrictions in this email. For instance, you may mention:

- **Any prior approvals for equipment purchases not included in the budget**
- **Travel restrictions**
- **Point to the PI Dashboard in OFC)**

Please feel free to contact myself or any of the other staff if you have any questions.

Best Regards,

John

Roles & Responsibilities during the life of an award

- Awards are made to the University and **NOT** to the PI
- PI is ultimately responsible for all aspects of the project (OR data sheet).
- The RFA'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
- Check-in Meetings to discuss Monthly reconciliation and “forensic” accounting
- 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.

Review transactions frequently: allocable, allowable, and reasonable?

Day-to-day transactions

- Equipment & Fabrications:
 - Allowable? Is prior approval needed?
 - Who retains title?
 - Property ID tag and maintaining inventory.
 - Add-ons, upgrades, replacement parts and repairs
- 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.

**Review transactions
frequently: allocable,
allowable, and
reasonable?**

Day-to-day transactions

- Participant support:
 - Were costs budgeted in the proposal budgeting?
 - Re-budgeting restrictions?
- Other Direct Costs:
 - On-campus recharges
 - Publication costs
 - Payments to human subjects participants
 - Professional Services Agreements/Consulting
 - Any other services? Unexpected expenses?

Review transactions frequently: allocable, allowable, and reasonable?

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
 - Monitoring spending rates
 - Rebudgeting allocations between direct costs categories & obtaining appropriate approvals, if necessary.
 - Cost Share/Matching funds



Account Review

- Discuss 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.



Tracking Deliverables:

- OR only tracks final reports (award synopsis)
- Create a system that works for you and your PI's - work with the PI to utilize the Faculty/PI Dashboard
- 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.

Research Compliance Issues

Be aware of and monitor for any:

- Foreign involvement
- Conflict of Interest (COI)
- Change in project personnel effort
- Protected data
- Human and/or animal subjects
- Stem cell
- Environmental Health & Safety (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 RFAs/PRA's
- 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.
- 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 likely 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:
 - Oracle Financial Cloud - PGM / EPM
 - Timekeeping (Kronos)
 - UCPath
 - Agency systems
- Review/update internal processes to ensure compliance with UC and Federal policies.



Department Close-out Process: Preparations

- Please see the training course: ***Sponsored Awards: Managing Cost Share***
- 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.:
 - 6-Month: NCE? Spend Plan?
 - 3-Month: Are we still on track as planned?
 - 1-Month: Final expenses expected?
- Subawards / MCAs - are they on track with spending/invoicing?
 - Last invoice must be marked as 'Final'
- Cost Share - Matching funds must be used within the project period of performance.



Final Reports

- **Don't forget the final reports are typically due to the sponsor 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 department (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)

Wrapping Up

- 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
- Remember your resources:
 - Coworkers, RFAs & PRAs, SPO Team, OR, EMF Accounting, Equipment Management
 - Bookmark C&G Liaison Resources [website](#)
 - Professional development workshops/meetings
 - University and agency websites

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