Goal: The goal is to provide a comprehensive overview of the Award Set-Up process.

Key Players:

Sponsored Projects Administration (SPA)
UCI Applied Innovation Office
Contracts and Grants Accounting (CGA)
Technology, Engineering, and Computing (TEC) Business Center
Principal Investigator (PI)
Reconciler

Process:

In the process below, funding is distinguished between restricted and unrestricted funding. That distinction includes but is not limited to intramural and extramural funding, gifts, etc. Award set-up involves new awards, as well as continuation and supplemental funding awards. It also includes Pre-Award spending requests (RAS) and Subawards.

- <u>Restricted funding</u>
    - <u>New awards, transfers, continuation and supplemental funding</u>
        - SPA/UCI Applied Innovation Office receives the notice of award (NOA) approval by the sponsor.
        - SPA/UCI Applied Innovation Office contacts the TEC Analyst with the following request:
            - UC Account Number: Figure out what type of award (federal, contract, flow through, fellowship, etc.)
            - Organization Code (lowest Org Code):
            - KFS Account for the continuation account:
            - Fiscal Officer (UCInetID):
            - Account Supervisor (UCInetID):
            - Account Manager (PI UCInetID):
            - If cost sharing is required, provide the unrestricted KFS
                - Account where the cost share expenses need to be charged: (Review the proposal documents to determine whether cost share is required and then confirm the funding source, and the account being used for the commitment.
        - The TEC Analyst forwards the above to CGA with the required information.
        - CGA assigns a new fund number in the pre-defined award fund blocks based on the funding agency and the type of award and SPA creates the award synopsis and award document.

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- CGA reviews the terms and conditions of the award and ensures that the award setup is in compliance with all applicable regulations.
- Once TEC receives the notification for the synopsis, they review the award documents to ensure that the award is set up in compliance with all applicable regulations. More specifically:
    - The correct IDC rate is being applied
    - The performance period matches the award documents
    - NCE terms
    - Carry forward terms
    - Travel restrictions
    - Prior approvals
    - Invoicing
    - Report due dates
- The award setup/update is finalized when the expense account is approved by the CGA Manager in KFS, the budget is appropriated through a budget adjustment (BA) and the account shows in the PI report.
- Email PI with the account information, a copy of the NOA and the final budget (please see Appendix A for email sample).
    - Request information on personnel to be covered by the grant and so they are set up in payroll and the Graduate Student Database if necessary.
- TEC Analyst informs the reconciler of the new account so a folder is created (please refer to the filing/retention policy for further details).
- Calendar – Important due dates will be entered in on the TEC Post Award Calendar in Outlook

o <u>Pre-Award Spending Requests (RAS)</u>

- Pre-Award Spending Requests refer to the ability of spending funds in support of a sponsored project prior to receiving the NOA from the sponsor. The RAS's approval is contingent upon the following:
    - An essential need to advance or commit funds prior to the receipt of an award;
    - Certification by the chair/director of the unit responsible for administering the anticipated award, along with the appropriate dean or vice chancellor, that any monetary loss to the campus resulting from the sponsor's failure to make the award, or from costs incurred but disallowed by the sponsor, shall be the responsibility of that unit or school; and
    - Receipt of a firm commitment by an authorized representative of the sponsor to the Office of Research Administration (ORA) that an award is forthcoming.

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  - The PI needs to complete the RAS form explaining the essential need, the amount of funds and the period of time requested for pre-award spending. The PI must also sign and date the RAS; thereby certifying that the level of effort, scope and objectives of the project as proposed or negotiated will not change.
  - The RAS form will then be routed to the Department Chair and the Dean/Vice Chancellor for review and signatures.
  - Once the above signatures are obtained, the RAS form will be routed to SPA for final review and approval.
  - Once approved by SPA, the RAS form is forwarded to CGA for account/fund number assignment and CGA requests for additional information from TEC as needed.
  - *Note:* If the sponsor does not come through with the funding, it is the PI's/Department's responsibility to cover the expenses that have incurred while the RAS was in effect.

- Subawards
  - A subaward is a formal written agreement made between UCI and another legal entity (subrecipient) to perform an intellectually significant portion of the scope of work (SOW) under a UCI sponsored project.
  - Once a prime award is fully executed by SPA, a Subaward Request Form (SFR) should be completed and routed to SPA.
  - Based on the information provided in the SRF, SPA will draft a subaward for the subrecipient.
  - Negotiation of the subaward terms may be necessary and may require UCI PI involvement. Upon final agreement between UCI and the subrecipient, SPA will obtain a partially executed agreement from the subrecipient.
  - Before the subaward can be signed by UCI, a requisition (REQ) must be initiated in the Kuali Financial System (KFS) by the department financial administrator and a purchase order (PO) finalized.

- Cost Share commitments
  - Please refer to the cost share commitment guide

- Sales and Services agreement
  - Please refer to the Sales and Services agreement guide

- Inter-governmental Personnel Act (IPA) Agreements:
  - An IPA agreement allow a UCI employee to provide services to a governmental agency.

- IPA agreements/awards do not go through SPA for award set-up. Instead, agreements go directly to Contracts and Grants Accounting for setup.
- CGA will request account setup information, assign a UC Fund, and create the KFS Account.
- Please refer to the IPA guide for information on award management.

- Unrestricted Funding

  Common unrestricted funding include POP awards, Vice Chancellor of Research Seed Awards and compensation for services rendered, i.e. UCInspire; as well as Setup. As of July 1, 2019 all intramural funding must be assigned to an FS account starting with 41XXXX which falls under the category of "INST-DEPARTMENT RESEARCH".

  Below are the necessary steps to set up the account:

  - Create a KS account:
    - The award notification should provide a five digit "fs fund" number that you will use to "link" to your PI's FS account number. For example most Innovation Pop awards are funded from fs fund #19954, so you would link this fund number to your PI's account starting with 41XXXX.
    - Side note "INST-DEPARTMENT RESEARCH" is the umbrella category for University and Department support of research i.e.
      - Setup
      - bridge funding,
      - cost-share that is not associated with organized research (see RESR-44),
      - seed funding,
      - training grants,
      - gifts that very broadly support faculty research,
      - equipment to support research activities that is not charged to a grant,
      - other research projects or support that does not involve a specific budget.
  - Create a KFS account:
    (https://accounting.uci.edu/support/fiscalofficers/coa/create-account.html - Copied 10/03/2019)

Getting Started

Logging Into KFS	1. Log in to ZotPortal with your UCInetID and password. 2. Select the Faculty & Staff tab and then the Finances/KFS tab.

Account Lookup	1. In the KFS Lookups & Requests portlet, expand the Chart of Accounts section and click the "Account" link. 2. Look up an appropriate account to copy according to the guidelines described in the sections above. Compliance with these guidelines is mandatory. 3. In the left column labeled Actions, select copy. (You must have the Chart of Accounts Maintenance User Role in KSAMS to copy accounts.) On the resulting screen, complete each tab as follows below.

Account Maintenance Tab

Edit Description	1. Enter a brief description of the account maintenance document, e.g. "Create a new KFS account."
Edit Explanation Field	1. This step is required even though there isn't an asterisk. 2. Use this box to describe the purpose, changes, and what the desired HEFC fund would be. 3. If this is a new HEFC for your organization, please include the AGC, UAS, ARC, and HDC codes from the Budget Office. 4. The Chart Manager will use this information to setup the UC Account and HEFC after the document is submitted. 5. If you have a preferred UC Account, please indicate what you would like the UC Account to be here.
Enter Chart Code	1. Select the Chart Code, or search for it from the Chart lookup by pressing the magnifying glass icon: o IR - Campus o MC - Medical Center
Do Not Change Account Number	1. The Account Number will be completed automatically with the KFS Document Number, located above.

	2. Do not change this number. 3. The system will assign the KFS account number at the end of the process.
Enter Account Name	• The Account Name must begin with the six-digit UC Account number and five-digit Fund (Control Account) number. The name should be written in all caps. • The naming convention is UC Account-UC Fund School/Department PI Last Name. Example: "412841-19900 ENG/CEE SOROOSHIAN" • If the new UC Account number is not known, enter only the information you know and enter x's to hold space for the UC Account and Fund. • Example: "41xxxx-19900 ENG/CEE SOROOSHIAN"
Enter Organization Code	1. Enter the KFS Organization Code (at the lowest level) where this account will be mapped in the General Ledger. 2. This is not hierarchical, for example if you create an account at the 7xxx level, and you have orgs that reports to that org below it in 6xxx, it should be mapped to 6xxx. 3. KFS Organization Codes Used by TEC for Faculty Accounts: 7338 MAE, 7336 EECS, 7352 CEE, 7354, BME, 7672 CBE, 7674 MSE
Enter Account Effective Date	1. For the Account Effective Date, enter the date this account will start.
Sub-Fund Group Code	1. Sub-Fund Group Code should be correct if you selected the correct Fund to begin with. 2. If you are using a different Fund than what you copied, please find and enter the correct SFG from another account with that Fund.)

Skip To Next Tab	1. You may safely disregard the rest of the fields in the Account Maintenance Tab and move on to the Account Responsibility Tab.

Account Responsibility Tab

Change Those Responsible For Account	1. Under the Account Responsibility tab, you can change the UCInetIDs of the Fiscal Officer, Account Supervisor, or the Account Manager. 2. Remember that the Fiscal Officer cannot be the same as the Account Supervisor.
Skip To Next Tab	1. After you have updated the first three rows (Fiscal Officer, Account Supervisor, and Account Manager) as needed, you may safely disregard the rest of the fields in this tab.

Guidelines and Purpose Tab

Enter Brief Description	1. Under the Guidelines & Purpose, provide a brief description of the purpose of the account in the Account Purpose text field.
That's it!	1. You may safely disregard all other fields in this tab.

All Remaining Tabs

Skip Remaining Tabs	1. You may safely disregard the rest of the tabs. 2. This information will be completed by the Chart Manager or another node in the workflow.

Note: As these accounts are not C&G accounts, they will not automatically appear on the PI reports nor will they appear on the ABO reporting system. Once the account is in "PI REPORT" (usually on the sixth working day of the succeeding month) you will need to look up the account in PI Report and add the PI's first name and last name to the "Co-PI" section in order for the account to appear under the PI's profile. See section on PI Reports for more information.

For more information on the Account number structure, i.e. 40, 41, 44 etc please refer to:
http://accounting.uci.edu/support/fiscalofficers/coa/higheredfunctioncode.html

Appendix A: Email sent to PI

Hi [PI],

Congratulations on the new [sponsor/nickname] award- the account is now set up and you can begin to use it.

Award#:
Account/Fund:
Project Period:
Total Funding:

Attached is the award notice and budget. Please review and let me know if you have any questions.
You budgeted for about [list personnel and time]. Is there any personnel you want to start on this account? If so, please let me know who you want to charge, at what %, and for what dates.

[OPTIONAL: note unusual terms, ask about other setup issues as needed (like subawards, cost share, etc.)]

Thank you,

[TEC Analyst]

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Appendix B: Awards Set Up checklist

Account Setup Checklist-quick steps

PI: ________________________________ *Sponsor/award #: ________________________________*
Award notice received: _______________

☐ Respond to SPA email for account setup- Forward account setup information to C&G Accounting.

☐Request account information for cost share commitments- if known in time, submit this information in SPA email for account setup, otherwise setup subaccounts after

- *☐Document expectations and contacts in PI report and elsewhere as needed*
- *☐Review plan for use of cost share (specific uses, personnel, academic year time, etc) with PI*
  - *☐Set up academic year cost share*
  - *☐Set up cost share report in system (put in amount)*

☐ Download and review NOA, synopsis- highlight relevant information, note unusual conditions

☐ New KFS account: *Date:*

☐ Check for correct information in account setup against NOA/synopsis

- *IDC Rate:*
- *Amounts*
- *Dates*
- *Award type*

☐ Email PI (use template)

- *Inform account #, dates, any unusual terms/information*
- *Request information for any personnel*
- *Remind of basic budget information*
- *Explain any cost share requirements, request information as needed*

☐ Add account to chart of account (or whatever list maintained for review, highlight as new)
☐ Add new electronic file folder in PI folder- active accounts/awards file
☐ Inform Reconciler of new account, request folder set up
☐ Request any additional accounts needed (for Co-I, participant support, other costs that might need to be separately tracked)
☐ Set up new personnel (based on PI reply to request)
☐ Set up subawards
☐ Set up reminders for important dates (ending, reporting, incremental funding, milestone funding)