Training PI's and Research Personnel in Post Award Management

Laura Sheehan
Manager of Research Administration
UCLA Family Medicine

Laura Sheehan

- Manager of Research Administration, Department of Family Medicine, Geffen School of Medicine at UCLA
- 24 years in academic research administration
  - 3 years in Civil/Environmental Engineering research administration at University of Southern California (USC)
  - 10 years in Pediatric Infectious Diseases research and fellowship administration, and divisional financial management at UCLA
  - 11 years in Family Medicine research administration and financial management at UCLA
- Management of approximately $10M in contract and grant funding annually
- Department consistently ranks in top 10 nationwide for federal funding among all Family Medicine Departments

Objectives

- Clarify best practices for training PI's and study personnel in post-award management

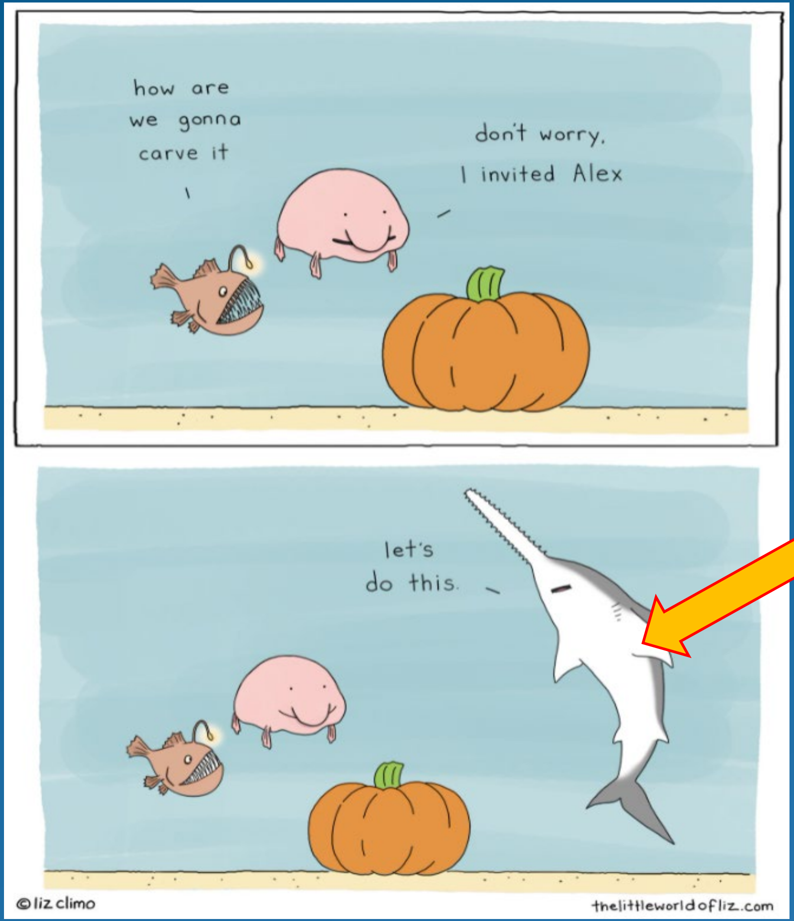
- Provide tools needed to create department-specific training, guides, and fillable forms

Typical Post-Award Training:

Targeted to fund managers/research administrators

- Utilizing Institutional Financial Management Software
- Understanding Fund Manager Responsibilities/ Fund Management Tools
- How to Set Up Awards
- Reconciliation of Funds
- Close-Out Instructions
- How fund numbers/cost centers/GL Strings/financial account units are created
- Running Detail Ledgers/Creating Financial Reports
- Handling Expired Funds
- Making Financial Adjustments/Direct Retros/NPEARs
- Creating Payroll Projections and Payroll Reconciliation
- Indirect Cost Reconciliation
- Understanding Overdraft Reports
- Subaward Set-Up
- Detailed Guidelines on How to Complete Internal Forms
- C&G Relinquishment
- Interdepartmental Recharges

Topics that will be of relevance for PI's and Research Staff



This is probably you

NIH GRANTS POLICY STATEMENT

PD/PIs are members of the recipient team responsible for ensuring compliance with the financial and administrative aspects of the award. They work closely with designated officials within the recipient organization to create and maintain necessary documentation, including both technical and administrative reports; prepare justifications; appropriately acknowledge Federal support of research findings in publications, announcements, news programs, and other media; and ensure compliance with other Federal and organizational requirements. NIH encourages PD/PIs to maintain contact with the NIH PO with respect to the scientific aspects of the project and the GMO/GMS concerning the business and administrative aspects of the award. The NIH staff contacts list includes contact information for NIH grants management and program staff at each **IC**.

Give Your Team the Tools They Need

- Training so they understand WHAT tools they need and WHY they need them
- Skill building: HOW to use those tools (e.g. accounting basics, reading ledgers, etc.)
- Written guidelines/How-To's that they can refer to again and again
- Fillable Forms to simplify and standardize common procedures
- Teach them where to go if they have questions

PI and Research Personnel Investment

Image from icanhascheezburger.com

What do principal investigators care about?

PI and Research Personnel Investment

Image from icanhascheezburger.com

Carrot

- Research will run more smoothly
- Ensures funds are spent in full; better able to obtain additional funding
- Gives them more control

Stick

- Out of compliance with institutional, sponsor, and/or governmental policies
- Potential loss of funding
- The dreaded A-word

Determine Format

- Completely new, or piggy-back onto existing infrastructure?
- Mandatory for all? Required for new/junior personnel only? One-time vs. Annual?
- How to make materials available at all times (e.g. post to website, shared folder)
- Different training for PIs vs. other research personnel?
- Coordinate with similar departments/divisions?
- How to keep personnel updated of changes, revised guidance, reminders

Determine Content

- No single right answer
- Write down questions received, scour through old inquiries, look for recurrent themes, commonly-needed information, frequent problem areas
- Reach out to neighboring departments/central admin for their training material, don't reinvent the wheel

Major areas to cover:

- Who are the players, what are their roles?
- Life of an award (proposal to close-out)
- What is expected of them
- Understanding common documents (contracts, notices of awards, ledgers/financial reports, purchase request forms, etc.)
- Importance of regular meetings with finance team
- How to manage common scenarios (e.g. pre-award spending, managing subawards, re-budgeting, annual reporting, closing an award)
- Where to go for more information/questions

Who are the players?

For example….

ORCA

Office of the Vice Chancellor for Research & Creative Activities

ORA	TDG	REO	RPC
Office of Research Administration	Technology Development Group	Research Enhancement Office	Research Policy & Compliance
Manages most of the alphabet soup: OCGA, EFM, OHRPP, ORIS, ORDM, and OBFS	Manages Industry (for profit) sponsored research, MTAs, patents, inventions, royalties, etc.	Limited submissions, funding opportunities newsletters and resources, UCLA Grand Challenges, etc.	Animal Research, Conflicts of Interest, Biosafety, Dual Use Review, Export Control, etc.

ORA
Office of Research Administration

OCGA
Office of Contract and Grant Administration

OHRPP
Office of Human Research Protection Programs

EFM
Extramural Fund Management

ORIS
Office of Research Information Systems

ORDM
Office of Research Data Management

OBFS
Office of Business and Financial Services

Make a Reference Sheet

- Contact information (names, departments, emails, phone numbers, websites)
- Concise summary of what that person/dept is responsible for (based on common inquiries)
- Encourage people to print and hang near their computer, or save file on their desktop for easy reference
- Post to website/shared folders/Box/Google Drive

Name	Department	Phone	Email/Website	Area
Bob Hipaa	Office of Human Subject Protection	555-867-5309	bhippa@edu	IRB questions
Sho Mi Damoney	Office of Financial Affairs	555-123-4567	SMDamoney@edu	Questions about financial reports, transfers of funds
	Support Team; Contract & Grant Office	800-888-8888	www.oco.edu/NIHOS_guidance	Questions about NIH Other Support, Biosketches, and Progress Reports

Life of an Award

From notice of award to closing of award

TIP: Focus on big picture. Give overview and explain where they fall within that landscape.

For example….

Department

If sponsor sends notification of award to the PI, they should forward it to Laura so she can submit it to OCGA/TDG.

PI perf… f work and works with… itor spending.

…ares invoices and/or financial …ased on deliverable categories …nd due dates in PAMS. …ts/process payments. Conducts closing of fund at the end of the …ard (in conjunction with Dept).

OCGA/TDG

Receives award notice and negotiates terms/conditions with the sponsor. Executes award. Comple… Award Data Coding Shee… …its to

ORDM

Takes info from ADCS and i… PAMS and Financial System. A… number, links expenses account… generates Award Snapshot

What is Expected of Them

For example….

Responsibilities of PIs and their teams:

- Acquisition of appropriate approvals (e.g. IRB, human/animal subjects, biohazardous materials, etc.) and licenses
- Scientific/technical conduct and reporting
- Fiscal and programmatic management of the project
- Understand and comply with all guidelines, restrictions, terms, and conditions
- Ensure that appropriated funds are allocated into applicable budget categories
- Review and approve financial transactions
- Conduct monthly reconciliation, make necessary adjustments

Key Points/Takeaways

- Make it Engaging
- KISS – Keep It Simple, Stupid
- Repetition

For example….

Monthly Meetings with Fund Manager

Are they actually required?

Notices from ORA Reports (portal@research.ucla.edu)

- Sent automatically at 90-, 60-, and 30-day mark prior to budget period end date
- If you've been meeting monthly with your Fund Manager
- If you have NOT been meeting monthly with your Fund Manager

Monthly Meetings with Fund Manager

Provide Specifics Where Needed

For example….

Monthly Meetings with Fund Manager

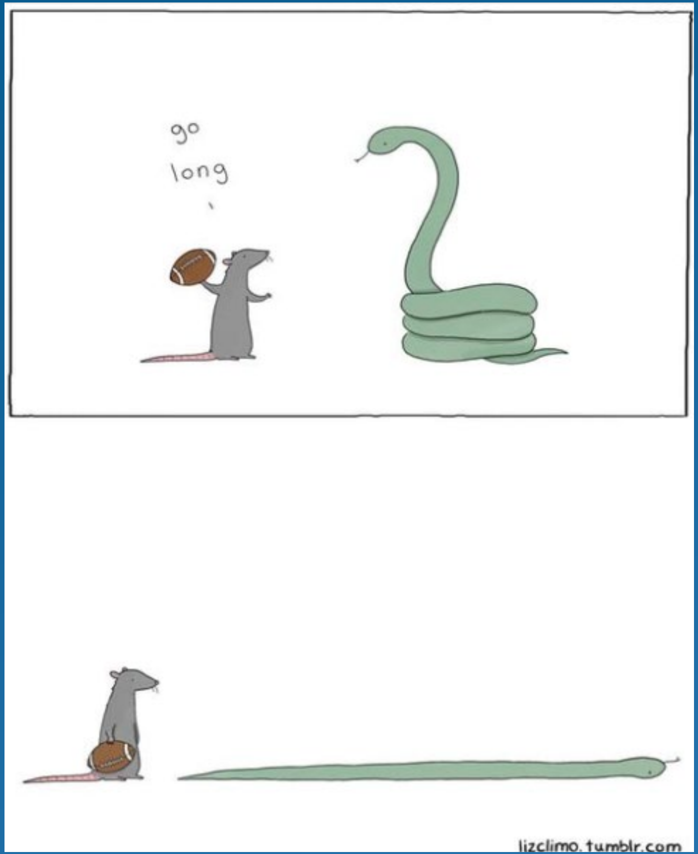
- **First meeting**
  - Review budget
  - Review Notice of Award
  - Discuss any changes
  - Discuss timing of anticipated expenses
  - Approve/initiate transfers and subaward set-ups, etc.

Monthly Meetings with Fund Manager

- **Regular Monthly Meetings**
  - Review financial reports (aka FR’s, GL)
  - Ensure that all recorded expenses are allowable, applicable, complete
  - Determine if adjustments need to be made
  - Review encumbered items
  - Monitor spending rate

Are sister departments/subawards performing as expected? Are they spending down/invoicing? Is the project making progress as expected? If not, is carryforward/NCE necessary/allowed? Is the effort being charged for personnel accurate? Does it need to change in the upcoming months? Is that charge applicable? Are there any applicable charges missing? Why is that item still encumbered?

Avoid Jargon



Or better yet…

explain it

Common Documents

- Show actual documents wherever possible
- Be sure to remove confidential/private information
- Walk through them piece by piece
- Emphasize important/key areas

For example….

Financial Reports

Sum of Funds

UCLA
Department: Family Medicine
PI: PICARD, JEAN-LUC
Fund Manager: GRANGER, HERMIONE
Date: 10/18/2021

August 2021 Summary of Funds

Fund Title	Fund Grouping	Account	CC	Fund	Fund End Date	Approp. ITD (08/21)	Expenses ITD (08/21)	Approp.	Exp.	EML	Future Exp./Adj.	Projected Balance	Rchg Id No
CA/DHCS 18-9322 CLAUS 09/22 26%	C&G - State	621435	JP	18282	09/29/22	184,793	95,479	416	422	0	95,549	(6,240)	
NIH U01DA012345 PICARD 4/20 56%/26%	C&G - NIH	441435	JP	29006	04/30/23	107,286	3,947	0	2,400	0	0	100,939	
NIH U01DA012345 PICARD 4/20 56%/26%	C&G - NIH	441435	J1	29006	04/30/23	14,931	14,551	0	1,876	0	0	(1,496)	
NIH U01DA012345 PICARD 4/20 56%/26%	C&G - NIH	441435	J2	29006	04/30/23	57,072	27,127	3,321	0	16,093	0	17,173	
RAS NIH P30MH058012 PICARD 1/21 54% 26%	C&G - NIH	441435	JP	29263	10/31/21	43,000	38,987	0	0	0	0	4,013	
UCLA FDN/UNITED FEDERATION OF PLANETS	Gifts	441435	JP	54468	09/09/25	23,171	2,821	0	824	514	0	19,013	
VULCAN INC. PO17001899:03 PICARD 26%	C&G - Private	441435	JP	57478	11/30/21	243,389	252,578	21,581	0	0	0	12,392	VU34
TOTAL DIRECT COST						673,641	435,489	25,317	5,521	16,607	95,549	145,793	

Common Scenarios

- Depends on your institution/department and audience
- Coordinate with your team and major players to get an idea of FAQ
- Examples:
  - What to do if funds are delayed?
  - What if I have to re-budget?
  - How do I manage subawards?
  - What if I need an extension/supplement?
- Present as “What If” scenario:
  - Before training: to get them in the right head space and to demonstrate they may need to pay attention to the answer
  - After training: for content retention

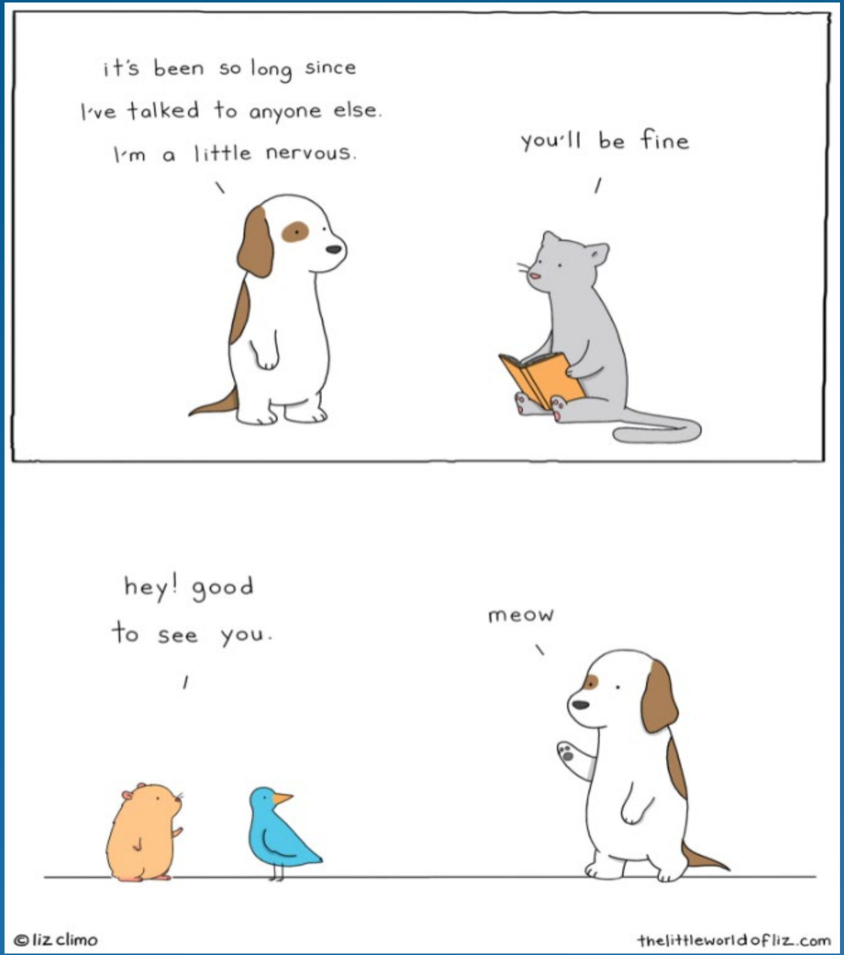
For example….

Re-Budgeting

When does re-budgeting require prior approval from the sponsor?

A. When the change is greater than 10%
B. When the change is greater than 25%
C. It depends on the sponsor and the terms of the agreement
D. It is always required

When prior approval is required, you will likely need to submit a revised detailed budget, budget justification, and Scope of Work (or ensure no changes in scope).


it's been so long since
I've talked to anyone else.
I'm a little nervous.
you'll be fine
hey! good
to see you.
meow
©liz climo
thelittleworldofliz.com

Refer for Further Training

- Work with your team
- Institutional resources (e.g. training by Central Admin, Human Resources, fellow departments)
- External Resources (e.g. LinkedIn Learning, Khan Academy, SRA, etc.)

Give Your Team the Tools They Need

- Training so they understand WHAT tools they need and WHY they need them
- Skill building: HOW to use those tools (e.g. accounting basics, reading ledgers, etc.)
- Written guidelines/How-To's that they can refer to again and again
- Fillable Forms to simplify and standardize common procedures
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Creating Materials

- Easy to follow
- Tailored to specific needs
- Links to additional information in order to KISS
- Three main types:
  - Detailed Guidelines
  - Decision Tree Checklists
  - Fillable Forms

Detailed Guidelines

- To teach people policies on broad topics
- Intended to serve as reference material
- Good for conveying large amounts of information or multiple topics
- Can contain links to further information, but should be fairly comprehensive
- Easy to follow/find information needed (e.g. Table of Contents)
- If you have more than 3 of these, you're probably doing it wrong

Decision Tree Checklist

- To guide people through specific scenarios
- Intended to be utilized each time that scenario arises
- Good for conveying complicated information on a single topic
- Can contain links to further information, but should be fairly comprehensive
- Easy to follow/find information needed (e.g. decision tree)
- If you have more than 3 of these, you probably work at an institution with lots of red tape

Fillable Form

- To instigate an action
- Intended to be utilized each time that scenario arises
- Good for gathering specific information
- Can contain links to further information, but should be fairly comprehensive
- Easy to follow/find information needed (e.g. clear instructions)
- If you have more than 3 of these, you probably work at an institution with lots of red tape

UCLA

Detailed Guideline

Decision Tree Checklist

Fillable Form

Mileage Record Report

Updated 1/10/2023

Traveler: ____________________ **E-mail:** ____________________

Address: ____________________ **Phone:** ____________________

If the Payee is a Guest, please select preferred method of payment:

Check ☐ Zelle ☐ If Zelle, is Zelle account linked to: ☐phone or ☐email

Reporting Period: ____________________

Mileage should be submitted at least monthly; expenses more than 3 months old may not be paid

Business Justification: ____________________

Date	From Location	To Location	Purpose	Distance (1-way)	Roundtrip?	Total Estimated Mileage
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
					☐	0.0
Add rows as needed						

Travel Accounting will automatically calculate mileage based on To/From Location, so the total amount paid may vary from what you enter on this form

Estimated Total Miles 0.0

Estimated Total due @ ______ cents/mile: ______

(check here for latest rate and enter rate above)

Account	CC	Fund	Project	Fund Name	Amount	%
Add rows as needed				Total	$0.00	0%

Balance (should be zero): $0.00

I ______0______ hereby certify that I carry the minimum required auto liability insurance as requested by the University

Traveler Signature: ____________________ Date: ____________

Authorized by: ____________________ Date: ____________

Fund Manager Approval: ____________________ Date: ____________

Detailed Guideline

Decision Tree Checklist

Fillable Form

Independent Contractor/Consultant Checklist

UCLA Department of Family Medicine

1. Basic/Financial Information

Requester Name:		**Email:**	
Contractor/Consultant Name:		**Email:**	
City and State (or country) where services will be provided/performed:			
Justification (business purpose):			

Account	CC	Fund	Project (optional)	Object	Fund Name	Amount (or)	%

Add lines if needed

2. Are you are requesting payment to a non-individual (e.g. community clinic)?

☐ **No** Skip to #3 and then complete the remainder of this form

☐ **Yes** Provide *only* the following items:

- ☐ Scope of Work (SOW)
- ☐ Proposal Budget Justification (if being paid from a contract/grant source)
- ☐ Insurance or Insurance Waiver (refer to Insurance section in #3 below and select the appropriate response)
- ☐ Answer Item #6 on this form and attach all required documents
- ☐ This checklist, with only the following sections completed: #1, #2, Insurance item in #3, #6, #11, and #12

3. If you are requesting payment to an individual, please be sure to review and complete the rest of this Checklist in its entirety. The following forms are required:

☐ We have completed and attached the **Independent Contractor Pre-Hire Worksheet**	This is a UCLA Purchasing form that determines the type of working relationship between the employer and the vendor. Be sure to sign as the "Person who Prepared this Form."
☐ We have completed and attached the **UCLA Purchasing Independent Contractor/ Consultant Form**	This is a UCLA Purchasing form that gathers information about the scope of work/type of service, performance dates, etc.
☐ We have attached the **Resume/CV**	
☐ We have attached the **Scope of Work**	This duplicates some information gathered on the UCLA Purchasing Form, but we are required to upload the SOW as a separate document.

4. Is this being paid from a contract or grant?

☐ **No** Skip to #6. (The Purchaser should add a note on the Requisition so that Purchasing knows that the proposal/budget justification attachment is inapplicable.)

☐ **Yes** Please attach a **copy of the proposal** or the **budget justification**. We recommend highlighting the relevant section of the budget justification, especially if vendor is not listed by name

DEPARTMENT OF FAMILY MEDICINE

RESEARCH UNIT

PURCHASING GUIDE

TABLE OF CONTENTS

ORDERING COMPUTERS/IT EQUIPMENT

1. Determine your needs by discussing your planned purchase with you
2. Contact DGIT to create a ticket (or email dgitsupport@mednet.ucla.e purchase, determine the best item for purchase, and obtain a quote.
3. Once a request is placed, a dedicated IT technician will review the or the appropriate vendor, and return that quote to you.
4. You should then complete the Purchase Order Request Form, clarifyi justification, along with any other required information.
5. Submit both the PO Request Form and the Quote to your Authorizer
6. Once the Authorizer has signed off, please submit everything to the F
   a. For CBAM employees: Jenn will submit everything after she s
   b. For non-CBAM employees: your PI will likely want you to obta you will be responsible for submitting everything to the Fund attach the quote to your PO Request Form.
7. The Fund Manager will review the request and, if it does not need to information, will approve and submit it to the Purchaser for processir
8. The Purchaser will then create the PO and communicate that PO to th
9. The item will be delivered to DGIT so that it can be verified and install

GIFT CARDS – HUMAN SUBJECT PARTICIPANTS

Full and updated guidelines regarding human subject payments are available on the Finance website, but this is a quick starter guide:

1. **IRB approval is required** before submitting a request for disbursement/payment for study participants.
2. Your **team must be in compliance with** BUS-49 (Policy for Cash and Cash Equivalent Received), UCLA Policy 361 (Cash Handling and Security), and UCLA Safe Requirements (if storing cash/gift cards). If you are requesting e-gift cards, then things are much simpler.
3. You must **keep track of payments made to each participant** (even if the form of payment is a gift card).
   a. If a participant receives $600 or more within the calendar year, you must collect their W-9 form.
   b. A complete list of participants who received $600 or more, their payment totals, and their W-9s must be submitted to Accounts Payable by December 20 of each calendar year. We are not allowed to email W-9s due to security concerns, and they will only accept mailed version if they are sent via courier. Therefore, please work with Valencia to arrange for Mail Document and Distribution Services (MDSS) to deliver. You must complete the packet (list, amounts paid, and the accompanying W-9s) and then provide the FAU/recharge to Valencia so that she can place the internal order for delivery and charge the FAU accordingly. (If you have any questions about this process, you can reach out to Michelle Vides in Accounts Payable at mvides@finance.ucla.edu).
   c. AP will then make sure that a 1099 is issued to each participant who was paid $600 or more during the calendar year.
   d. If the participants were paid via check request, then Accounting will handle 1099 disbursement automatically. If they were paid via cash, gift card, or e-gift card, then you are responsible for making sure AP has the list, totals, and W-9s for all participants that meet the $600 payment threshold.
4. If you are going to request gift cards or e-code (e-gift cards), please review the Gift Card Guide. We recommend that you utilize preferred gift cards. This will make ordering much faster and will allow you the option to return unused cards, plus there is no shipping/processing fee. As of Jan 2020, the list of preferred cards is as follows:

PREFERRED GIFT CARDS

Card Type	Denominations	Shipping/Processing Fee
Amazon	$15, $25, $50, $75, $150, $250	N/A
Target	$5, $10, $15, $20, $25, $30, $75, $100, $150, $200, $240, $250, $325, $400	N/A

5. To request cash, gift cards, or e-codes, you must **download and complete the correct form** from Box.

Revised 9/2/20 (LWS)

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Detailed Guideline

Tips

- Don’t reinvent the wheel
- Determine who your audience is
- Refer to institutional/sponsor policies to make sure you are in compliance
- Refer to institutional/sponsor policies to make sure you are gathering all required information
- Beta test materials with team members on both sides of the form (the people filling in the forms AND the people extracting data from submitted forms)
- Regularly assess existing documents for improvements/updates (include revision dates or version numbers for fillable forms)

Be Accessible

- All materials, including training materials, should be accessible even if you are not in the office
  - Post on your department's website
  - Upload to a shared drive/folder/Box
  - Email
  - Have hard copies in a central location
- They should be easy to find (e.g. navigable from main website)
- Include contact information

For example….

UCLA Health

For Patients & Families | Conditions We Treat | Why Choos

Home > Departments > Family Medicine > Research

FAMILY MEDICINE

Research

Family Medicine

- About Us +
- Education +
- For Patients
- Our Clinicians
- Research –
  - Center for Behavioral and Addiction Medicine
  - For Family Medicine Research Unit Employees
  - Multi-Campus Research Day Committee

The UCLA Department of Family Medicine Research Progra
research groups in the country committed to improving the
partnership with ethnically diverse communities.

We have a wide array of expertis issues including:

- Care and prevention of chronic diseases (diabetes, canc
- Mental and behavioral health
- HIV care and prevention
- Adolescent and women's health
- Health and health care for under served and ethnically c
- Medical education and its linkage to under served comn
- Addressing disparities and minority health
- Communication in health care settings

https://www.uclahealth.org/departments/family-medicine

FAMILY MEDICINE

For Family Medicine Research Unit Employees

Research

- Center for Behavioral and Addiction Medicine
- For Family Medicine Research Unit Employees
- Multi-Campus Research Day Committee
- Research Day
- Research Faculty
- UCLA Sports Medicine Program

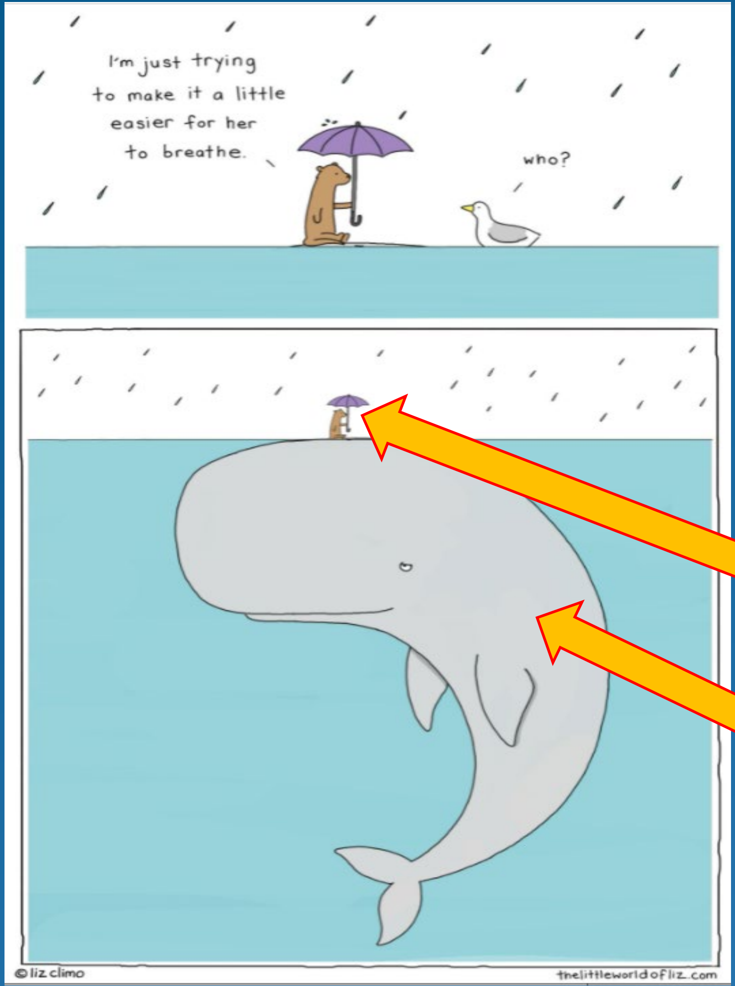
Here are some commonly needed documents/forms for Department of Familiy Medicine Research Unit employees. If you have any questions or do not see the form you require, please contact Laura Sheehan, Manager of Research Administration at LSheehan@mednet.ucla.edu.

TRAINING/HOW-TO GUIDES:

- Information Sheet for New Fam Med Oppenheimer Suite Employees
- Travel/Entertainment/Food Reimbursement Request Guide
- Purchasing Guide
- Accounting Policies/Training
- Post Award Training
- Effort Reporting Guide

PURCHASING/FINANCIAL FORMS:

- Check Request Form (Family Medicine)
- Debarment and Anti Lobby Certificate
- Foreign Wire Transfer Requests (Fam Med Res Unit)
- Independent Contractor/Consultant Checklist
- Mileage Form (Fam Med Res Unit)
- Ordering from At Your Service Catering
- Purchase Order Request Form (Fam Med Res Unit)



This is you

This is your Research Team

Thank You

My email is: Lsheehan@mednet.ucla.edu