W301: Where is My Money? Award Set-up and Project Implementation

SRAI 2025 SO/NE Section Meeting
Rio Grande, Puerto Rico
May 7, 2025

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WELCOME AND INTRODUCTIONS

MEET ANGELA AND JOSE

Agenda

❖ Welcome and Introductions

❖ Learning Objectives

❖ Discussion – You have received a notice of award. Now what?

❖ Audience Participation and Questions

Welcome and Introductions

❖ Are you central or department?

❖ Are you

  ❖ pre award

  ❖ post award

  ❖ both pre and post

  ❖ regulatory office (compliance)

  ❖ clinical trial office

  ❖ other?

LEARNING OBJECTIVES

BY THE END OF THIS SESSION:

1. Participants will be able to list at least three processes essential for award set up

2. Participants will be exposed to at least two project management tools that can help with project implementation

3. Participants will be able to reflect on contextual factors at their own institution by using an award set up checklist

CONGRATULATIONS!
YOU HAVE RECEIVED A NOTICE OF AWARD.
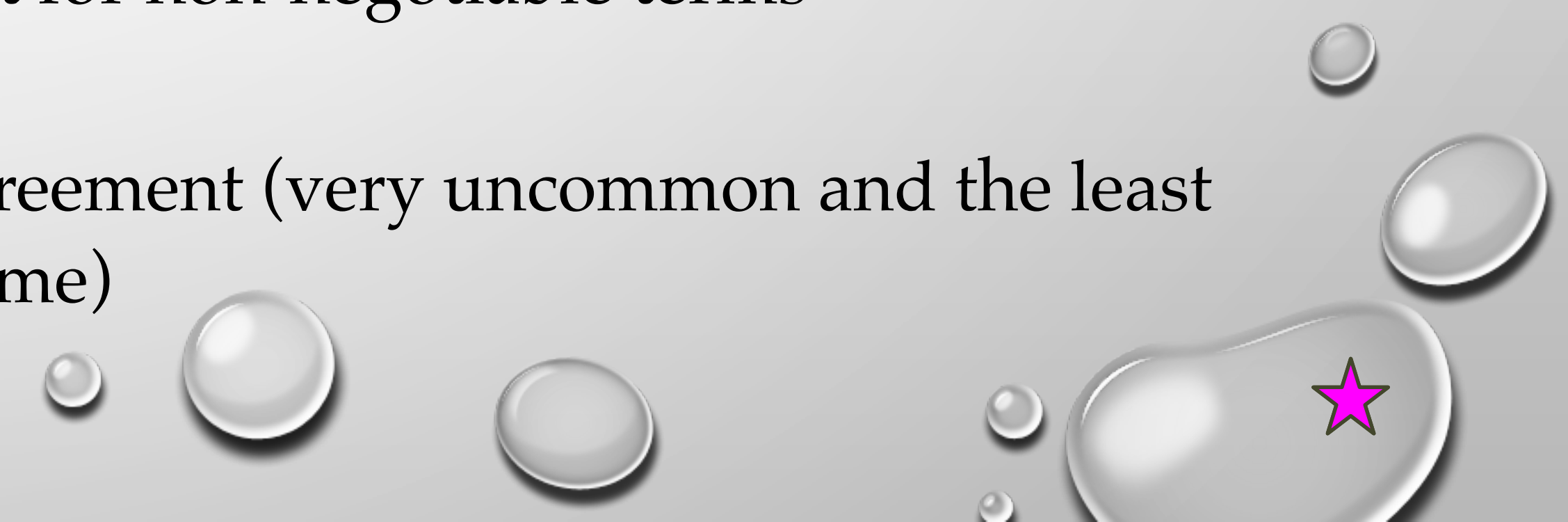# NOW WHAT?

Where do I start? Who do I call?

It depends

❖ PI/Dept receives notice

❖ PI/Dept + Central receives notice

❖ Central only receives the notice

DOES AN AGREEMENT NEED TO BE NEGOTIATED?

❖ Agreement negotiation process (unilateral versus bi-lateral agreements)

❖ Central office negotiates terms and conditions

Ex. State governing law, indemnification, confidentiality, publishing restrictions, intellectual property, data management, export controls

❖ Risk assessment for non-negotiable terms

❖ Fail to reach agreement (very uncommon and the least desirable outcome)

WHAT ARE THE PROCEDURES FOR SETTING UP THE AWARD? WHO CAN HELP WITH THIS?

Central office must set up award (accepted by the institution)

What do I need to get to the central office to have them do this?

- ❖ Need to account for changes/updates

- ❖ Compliance, compliance, compliance!

- ❖ Pi- key personnel compliance (conflict of interest, external activities, foreign influence)- irb/iacuc/biosafety

- ❖ Revised budget if needed (it usually is)

WHAT ARE THE PROCEDURES FOR SETTING UP THE AWARD? WHO CAN HELP WITH THIS?

❖ PI/Dept notified when award accepted and set up (financial account number)

❖ Read award conditions and requirements

❖ Read award conditions and requirements (not a typo)

WHO DOES YOUR AWARD FINANCIAL SETUP?

❖Central pre award

❖Central post award

❖Don't know/Not sure

YOU MAY HAVE HEARD THESE QUESTIONS

- *Can I hire project staff now?*

   -Yes, once you have an *account* number, but you must work with HR and HR policies

- *Can I spend now?*

   -Yes, once you have *account* number, but you must work with accounting processes and systems

- *Can I pay my study participants now?*

   -Yes, once you have *account* number, but must work with accounting processes and systems (IRB dependent)

- *How long is all this going to take?*

- *-It depends (there it is again)*

YOU MAY HAVE HEARD THESE QUESTIONS

I NEED TO HIRE NOW/SPEND NOW/PAY PARTICIPANTS NOW BUT DON'T HAVE AN ACCOUNT NUMBER. WHAT DO I DO?

- ❖ See if sponsor allows pre award spending

- ❖ Wait until award is set up by central office

- ❖ Establish an advance (at risk) account
  *Why risk? Award may not materialize
  *If it does not, it will have to be covered from department funds (non-grant funding source)
  *When award is set up, at risk account changes status to active account
  *Have to have basis (justification) for setting up at risk account
  *Department chair and sometimes school approval required

YOU MAY HAVE HEARD THESE QUESTIONS

I HAVE A SUBCONTRACT ON MY PROJECT, CAN I PAY AN INVOICE?

❖ Yes, once have *account* number, but must set up main award first

❖ Department initiates request for subagreement (central office executes agreement with subawardee, ex. FDP template, standard research agreement template)

❖ Must setup subaward agreement and carve out budget for subaward (encumber sub funds)

PROJECT MANAGEMENT TOOLS

DO YOU USE ANY OF THESE MANAGEMENT TOOLS?

-FINANCIAL STATEMENTS FROM ERA SYSTEM?

-SHADOW EXCEL SHEETS YOU CREATE AND MANAGE?

-THIRD PARTY SOFTWARE APPLICATIONS (EX. ASANA, TRELLO, ETC.)

-OTHER (NOT LISTED HERE)

PROJECT MANAGEMENT TOOLS

-AWARD SETUP CHECKLIST

-DASHBOARDS

-REPORTS/FINANCIAL STATEMENTS

-FOR RESEARCH TEAM/DEPARTMENT (PM SOFTWARE: ASANA, TRELLO, EXCEL, ETC.)

-MONTHLY MEETINGS (DEPARTMENT LEVEL)

Project Management Tools - Checklist

Sample New Award Set-Up Checklist

The purpose of this checklist is to assist administrators at the start-up of a new award to:

-*Review the award information for accuracy*

-*Discuss award set-up with the PI/Co-PIs/Research team*

-*Ensure all project accounts (indexes) are established*

-*Ensure all expenses are appropriately allocated and documented.*

Review award notification received from Central (School) Sponsored Programs Office:

_____ Read and review terms and conditions of award notice. Note of any commitments/restrictions that will impact administrative and financial management of the award: effort commitments, budget restrictions, reporting and billing requirements, etc.

_____ Review Sponsored Programs information, notify SP if any award data is inaccurate

_____ Review sponsor awarded budget

_____ Review personnel commitments entered in effort system, ensure Key Personnel commitments are accurate as reflected in the award. Request updates or note changes as needed.

Review the award with the Principal Investigator (Co-PIs/Research team as appropriate):

_____ Highlight award terms and conditions for the PI such as: effort commitments, publication restriction, reporting and billing requirements, deadlines, etc.

_____ Review awarded budget with the PI and update internal (working) budget plan as needed

_____ Get PI confirmation of initial effort allocation of all faculty/staff assigned to the project

_____ Review department/university purchasing and ordering procedures

_____ If subawards, work with the PI to finalize budget and develop a statement of work for all planned subawards

_____ If collaborating departments, work with the PI and other collaborating departments to allocate budget subindexes and confirm effort commitments for faculty/staff outside the home department

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❖ Create and adapt a checklist to your context and needs

Work with Grants and Contracts Accounting (Post-award) to establish project indexes:

_____ Contact grants and contracts office (post-award) to ensure an award index is established for project

_____ If subawards or collaborating departments, request all necessary subaward indexes, subproject indexes, and cost share indexes for the project

_____ Provide a detail award budget for grants and contracts office (post-award) to load/post into the financial accounting system and to include budget allocations to subawards/indexes as applicable.

_____ Review all indexes created by grants and contracts office (post-award) to ensure the responsible department is correct, F&A cost recovery allocations are correct, budget load is accurate, etc. (check financial accounting system)

After award has been established in financial accounting system:

_____ Process action forms to add project personnel at the PI approved effort levels

_____ Notify collaborating departments to process action forms of their faculty/staff, confirm effort levels

_____ Begin charging project costs to all indexes, (as applicable)

_____ Submit subaward requests to Central (School) Sponsored Programs Office (as applicable)

_____ Develop a department grant file and financial reconciliation system to ensure grant records and all supporting documentation are stored appropriately

PROJECT MANAGEMENT TOOLS - DASHBOARDS

DashBoard_Sample

	Project Number	Project Title	Sponsor Name	Sponsor Type	Month of X Direct Expenses	Current Direct Expensed	Total Direct Available	Percent Direct Expensed	Total Indirect Charged TD	Total Sponsor Costs	DateProject Starts	DateProject Ends
1	PI Name	Alcaine, JG										
3	PN12345	This that and the other	University of State	College/University	$5,000.00	$9,000.00	$55,264.00	16%	$7,908.00	$79,172.00	10/31/23	10/30/25
4	PN12346	Same thing but different	Angency of the State	State VA	$32,000.00	$93,900.00	$1,739,000.00	5%	$0.00	$1,839,000.00	7/1/23	6/30/25
5	PN12347	Once Again	Department of National Education	Other Federal	$43,500.00	$53,901.00	$1,288,212.00	4%	$511,736.00	$1,899,948.00	8/1/24	7/31/28
6	PN12348	This is the one good one	Department of National Health	Other Federal	$22,500.00	$93,902.00	$1,389,910.00	7%	$110,047.00	$1,799,957.00	8/1/24	7/31/28
7	PN12349	Project to solve this question and record outcomes	Department of the National Health/Institute	Other Federal	$52,320.00	$63,903.00	$1,423,954.00	4%	$366,462.00	$1,990,400.00	8/1/24	7/31/27
8	PN12350	Once Again but a Continuation	Department of National Education	Other Federal	$49,000.00	$93,904.00	$1,623,018.00	6%	$365,346.00	$2,388,000.00	8/1/24	7/31/28
10	*All numbers and columns for demonstration purposes only		Totals		$204,320.00	$408,510.00	$7,519,358.00	5%	$1,361,499.00	$9,996,477.00		

Dashboards, financial statements, or reports may be available from your eRA systems or may be created using Excel, Google sheets, etc.

Share interesting award set-up stories

❖ *SHARE STORY (COME OFF MUTE OR COMMENT IN THE CHAT)*

❖ *EX. - SUBAWARDS, AT RISK ACCOUNTS, TAKING TOO LONG, FOREIGN SUBS, ETC.*

TAKEAWAYS

Collaboration is key

Build a relationship with Central and vice versa

Sample Checklist to use as a guide

THANK YOU

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