Award Set-Up Procedure

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DESCRIPTION
This procedure outlines the process for setting up a new award. The process begins with the receipt of award documentation from a sponsor and continues through the creation and activation of a new account in FMS. Setting up an award involves the Office of Research and Sponsored Programs, the Principal Investigator, and Fiscal Affairs in various stages.

ROLES AND RESPONSIBILITIES
   Office of Research and Sponsored Programs (ORSP)

- **Associate Vice President for ORSP / ORSP Director / Pre-Award Manger / Post-Award Manager**
  - Receives a copy of the notification of grant award from the sponsor, either in the mail or via email.
  - Reviews and approves the Budget Request Form.

- **Pre-Award Program Coordinator**
  - Logs the award information in Pre-Award DMS upon receipt of the award documentation.
  - Routes award documentation to the ORSP Post-Award Manager.

- **Proposal Specialist**
  - Obtains all the required approvals on the PI Checklist if any such approvals were not obtained during the proposal submission process.

- **Grants Administrator (GA)**
  - Reviews the proposal folder for all necessary approvals and reviews the terms and conditions of the award.
  - Routes sub-contracts for review by the Assistant Director of Procurement if sub-contracts are a part of the award.
  - Assigns the FMS project number for the award, creates a Budget Request Form, and creates an Agreement Form for the project.
  - Meets with the PI to give an orientation regarding the grants administration at SFSU if necessary.

- **Grants Support Coordinator (GSC)**
  - Logs the award information in FMS, distributes Budget Request and Agreement Forms and a copy of the Notice of Grant Award (NGA) to Trust and Special Project Accounting (TSPA) and to the Budget Office to activate the project, and passes to student assistants who create a project folder.

- ORSP provides copies of internal documents to FA and to the Budget Office to transmit information, allowing FA and the Budget Office to proceed to enter the project information in FMS and HRMS.

Fiscal Affairs

- **Fiscal Affairs Accountant I (FAA-I)**
  - Reviews the Budget Request Form created by the GA for completeness.
  - Assigns a Cash Receipt Number for the award.
  - Creates a hard copy award folder for the project.

- **Fiscal Affairs Accountant II (FAA-II)**
  - Populates the reporting and billing schedules for the award in FMS.
  - Reviews selected award information used for billing and reporting for accuracy.

- **Financial Reporting Officer**
  - Activates the project in FMS.

Budget Office

- **Budget Analyst (BA)**
  - Activates all personnel account codes for the project in HRMS.

Academic Department or Responsible Unit

- **Principal Investigator (PI)**
  - Reviews and approves the Budget Request Form and Agreement Form.

PROCEDURES
OFFICE OF RESEARCH AND SPONSORED PROGRAMS (ORSP)
Pre-Award Program Coordinator

1. Stamps the Notice of Grant Award with the date it was received.
2. Matches the Notice of Grant Award with the correct proposal.
   a. Checks the PI Checklist log and FMS.
   b. Confirms information, including the PI, requested funding amount, project title and proposed project period, match the notice of grant award.
3. Sends notification of new award email to PI and copies the e-mail to the Chair, Dean, AVP for ORSP, Pre-Award Manager, Post-Award Manager, responsible GA and GSC.
4. Records the award in the Pre-Award Roster in DMS.
5. Delivers the award and pre-award proposal folder to the GA in Post Award.
6. Files the proposal folder in the "Awarded Files" instead of "Pending Files."

Grants Administrator (GA)

1. Reviews the proposal documentation in order to establish the following requirements have been completed:
   a. PI Checklist has been completed and signed.

b. Confidentiality Form (for new PI's only) has been completed. A copy of the form can be found at:

http://www.sfsu.edu/~ppg/ued/ued04-32.pdf

c. Conflict of Interest Form(s) have been completed for all key personnel. A copy of the California State Disclosure Form and the SFSU disclosure for PHS / NSF awards can be found at:

http://www.sfsu.edu/~orspwww/_compliance/_conflictofinterest/conflictofinterest.html

d. Cost Sharing Form has been completed and approved. (If cost sharing is included in the proposal.)

e. Approval Protocol for any Human and Animal Subjects research has been received (if Human or Animal Subjects are involved in the proposal).

f. BioSafety Approval (if necessary)

2. If any of these approvals are required for the award but the forms are missing from the proposal folder, the GA must contact the PI and have him/her complete the forms and send them to ORSP, prior to activating the award. If a Proposal Routing Slip is incomplete, the GA will contact the Proposal Specialist in the Pre-Award Office to complete the form. All required documents must be received by the GA before an account for the project is created.

3. Reviews the terms and conditions in the Notice of Grant Award and focuses on the following areas:

a. Financial Reporting

b. Technical Reporting

c. Schedule for Invoices (if relevant)

Most Federal Awards have standard conditions that cannot be changed. However, if a non-federal sponsor has requirements that the GA believes are overly burdensome in regards to the administration of the project, the GA in consultation with the Post-Award Manager will contact the sponsor to negotiate more acceptable terms.

4. Reviews the awarded amount and compares it with the amount requested in the proposal. Confirms that the awarded amount is equal to the budgeted amount.

a. If the award amount is significantly more or less than the amount requested in the proposal, the GA contacts the PI and the Proposal Specialist in the Pre-Award Office. The GA will revise the budget when the changes are minor following consultation with the PI.

b. For significant budget revisions, the Proposal Specialist works with the PI to create a revised budget that reflects the award amount and to confirm whether the scope of work proposed can be accomplished given the decrease in funding.

5. Contracts and agreements that require SFSU's signature are processed by a GSC who routes agreements to the Procurement Office and back to the agency for signature. Once an agreement is fully executed, a copy of the signed agreement is returned to the GA. If the award or agreement contains sub-awards/sub-contracts to other institutions, the GA works with the GSC to create a C7 agreement.

6. Assigns the 8 digit FMS number based on the SFSU naming convention.

7. Creates the following forms:

a. Budget Request Form for Trust or Special Account

b. Agreement Form for Trust or Special Account

c. Conflict of Interest (if the proposal folder does not contain one)

8. E-mails the forms to the PI for review and approval.
9. The PI approves the Budget Request and Agreement Forms and returns the (hardcopy) forms to the GA.
10. Routes the Budget Request Form and the Agreement Form to the Post-Award Manager for review and approval.
11. Once the Post-Award Manager approves both forms, the signed forms and the Proposal Folder are routed to the GSC who:
    a. Distributes to PI, FA and the Budget Office to activate the project.
    b. Creates folder.
    c. Creates record in FMS.

Fiscal Affairs Accountant I (FAA-I)
1. FAA-I reviews the Budget Request Form, the Agreement Form, Detailed Budget and the Award Notice.
2. Checks the budget and checks that all numbers are calculated correctly.
3. Checks the IDC calculation, and confirms any exempt categories.
4. Highlights the Project Period on the Budget Request Form.
5. Assigns a unique Cash Receipt Number (CRS) for the Project and enters this number on the Budget Request Form. The FAA-I keeps a list of the CRS numbers that correspond to the different sponsors.

FISCAL AFFAIRS
AVP for Fiscal Affairs
1. Reviews the Budget Request Form and the Agreement Form.
2. Approves the forms and returns them to the FAA.

Fiscal Affairs Accountant I (FAA-I)
▪ Obtains the Budget Request Form and the Agreement Form from the AVP for Fiscal Affairs and forwards the forms to the Financial Reporting Officer to enter the project in FMS.

Financial Reporting Officer
1. Once the Budget Request Form is received from the FAA, sets-up the project in FMS.

    The following fields are entered:
    a. Project (Project Number listed on the Budget Template Form)
    b. Description (Enter the title of the project)
    c. Effective Date
    d. PI
    e. Effective Date (of the Project)
    f. Status (Open)
    g. Start Date
    h. End Date
    i. Active / Inactive (Defaults to Active)

2. Initials the Budget Request Form and inserts the project activation date.
3. Returns the Budget Request Form to the FAA-I.

ORSP

Grants Administrator (GA)
1. In FMS, enters the fixed price/cost reimbursement information into the Project Attributes screens.
2. If the new award is a sub-recipient, enters sub-recipient on the award attribute screen. Also enters if the Prime is a Federal sponsor.

FISCAL AFFAIRS

Fiscal Affairs Accountant I (FAA-I)
1. Enters the Financial Reporting Requirements for the project on Reporting tab.
2. Enters the Billing Schedule for the Project on the Billing tab.
3. Requests the Budget Office to activate the Personnel Account Codes for the project if there are personnel on the project. The FAA copies the GA on this request.

Budget Office
1. Opens HRMS and goes to Account Code Build:
   SFO Self Service > Labor Cost Distribution > Process > Account Code Build
2. Enters Dept # 3080 (for ORSP) and Fund # SG001. Enters the Project Account Number listed on the Budget Request Form issued by FAA-I. Runs this process which opens the project account for personnel.
3. E-mails ORSP to notify that all Account Codes Associated with Personnel categories (Salary and Fringe Benefits) are now open for the project account.

Fiscal Affairs Accountant I (FAA-I)
1. Creates an award folder for the project.
2. Titles the award folder with the project number on the Budget Template Form.
3. Includes the internal budget form, additional documentation and the notice of award.
4. Gives the award folder to Fiscal Affairs Accountant II.

Fiscal Affairs Accountant II (FAA-II)
1. Reviews the Notice of Award in FMS.
2. Confirms that the Financial Reporting Schedules were accurately populated on the award attributes screen.
3. Confirms that the Billing Schedule was accurately populated on the award attributes screen, and confirms that the Billing Schedule includes requirements for electronic drawdown of funds.

ORSP

Grants Administrator
1. For new PI's, the GA schedules a meeting with the PI:
   a. Introduces ORSP staff and discusses roles and responsibilities of each position.
   b. Explains the fiscal management responsibilities of the PI.
   c. Explains the overview of the administrative systems for grants at SFSU.
   d. Provides basic information to PI regarding the financial reporting system.
   e. Discusses the budget in detail.
   f. Completes the FMS Access Request Form for ORSP to enable the PI to run financial

reports. When a new PI is given access to CMS, the GA explains to the PI how to use the tools in CMS and to run financial reports.

    g. Places the PI in contact with ORSP Personnel to discuss how to charge personnel expenses.

2. Sets-up the PI in FMS so that the PI can access and run his/her own General Ledger reports.

ORSP Personnel Specialist
- Follows-up with the PI to resolve any personnel issues such as hiring, reappointments, etc.

RELATED DOCUMENTS
- PI Checklist
- Confidentiality Form
- Conflict of Interest Forms
- Cost Sharing Form