

Post Award Process for ANR PI's

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Agenda:

- Post Award Process Stakeholders
- Roles and Responsibilities
- Creating Expense Account - Timeline
- Subaward Monitoring
- Cost Transfers and Direct Retros
- High Risk Transfers

Post Award Process Stakeholders

- Principal Investigator (PI)
- Sponsoring Agencies (Federal, State, Local gov, Private)
- ANR Contracts and Grants Office (OCG)
- Contracts and Grants Accounting (CGA)
- Business Operations Center (BOC)

Roles and Responsibilities

ANR Office of Contracts and Grants (OCG)

- Distribute awards (Good News Letters)
- Distribute Subawards to project collaborators
- Review and approve requests to establish an advance account
- Provide guidance and assistance on policy and agreement terms interpretation
- As required, approve and submit post-award requests for prior approval to sponsors
 - Re-budget (LISR)
 - Changes to Scope of Work (SOW)
 - PI Change
 - No Cost Extensions
- Monitor contract and grant close out

Roles and Responsibilities

Principal Investigator (PI)

- Manage and control project funds
- Authorize expenses (ensuring the allowability, allocability, and reasonableness of all expenditures, only costs which benefit the project may be charged to the project)
- Review ledgers monthly
- When applicable, certify personnel effort and approve cost-share reports
- Request re-budgets, changes to the SOW
- Request No Cost Extensions
- Monitor subawardee(s), including approving invoice(s)
- Prepare and Submit all technical reports as specified on the agreement

Roles and Responsibilities

Business Operations Center (BOC)

- Create expenditure account(s) and notify PI
- Process and approve financial transactions:
Purchases, Sub-awardee invoice payments, and Travel expenses
- Process and approve funding transactions (FCRs, DRs, ASCR) and employee Data Change and Position Management Forms
- Assist PI with policy interpretation
- Provide PI award financial status as requested
- Create cost share reports
- Assist with close out of account(s)
- Assist CGA, OCG, and ANR Financial Services during desk reviews and audits
- Monitor effort commitments and Annual Effort Report certifications

Roles and Responsibilities

Contracts and Grants Accounting (CGA)

- Create the fund once award is executed
- Approve expense account
- Prepare and submit financial reports to the sponsoring agencies
- Prepare and submit invoices to the sponsoring agencies and letter-of-credit drawdowns
- Perform collection activities
- Coordinate effort reporting process
- Perform post-audit reviews of financial transactions
- Coordinate financial close out of the award

Creating the Expense Account

OCG

- Sends Good News Letter to PI, BOC and CGA

CGA

- Creates award fund number (5-7 business days)
- Automated email from CGA to PI and BOC Fiscal Officer or REC/Statewide Business Manager

BOC

- Set up expense account (1-2 business days)
- Full approvals(1-2 business days)

Timeline

GNL to Active account – it can take from 7 to 11 business days depending on the workload of the various stakeholders on the process. Contact your Business Partner or Business Manager to inquire about the account.

Subaward Monitoring

PI

- Monitor sub-award performance to ensure compliance with award terms and conditions and satisfactory performance of the sub-recipient's portion of the project
- Review technical performance reports or other specified deliverables on a timely basis
- Coordinate with Subawardee cost share reporting if required by the agreement
- Invoice review and approval
- Coordinate with OCG subaward extensions

BOC

- Process invoices

CGA

- Set up NPA/POs in Kualu Financial System
- Review invoice payment requests for PI authorization

Cost Transfers

- Movement of an expense from one account to another
- Closely scrutinized by auditors if transferring to a sponsored program account
- Must be rare and not a regular practice
- Provide full explanation and justification for the transfer
- Two types:
 - Payroll – Direct Retros
 - Based on actual labor efforts
 - Cost Transfers (Non-Payroll)
 - Supplies, Travel, Other Direct Costs (ODC)

High Risk Transfers

- What are they?
 - Transfers to federal or federal flow through being done after 120 days after the original transaction pay period end date
 - Transfers to a federal or federal flow through fund that ended more than 90 days in the past
- Process
 - Send fully completed and signed Cost Transfer (Non-Payroll) and DR forms to BOC
 - BOC sends to CGA efa@ucdavis.edu for approval
 - If approved Payroll transfers will be processed by BOC and Non-Payroll by CGA.
- Justification

A full explanation should include the unavoidable circumstances outside the control of the department that did not allow the transfers to be done
- Impacts on invoicing/reporting

Resources

UC ANR Contracts and Grants

Awards Management:

[https://ucanr.edu/sites/anrstaff/Administration/Business_Operations/Contracts -
_Grants/Award_Management/](https://ucanr.edu/sites/anrstaff/Administration/Business_Operations/Contracts_-_Grants/Award_Management/)

Fiscal Oversight:

[https://ucanr.edu/sites/anrstaff/Administration/Business_Operations/Contracts -
_Grants/Award_Management/Fiscal_Oversight/](https://ucanr.edu/sites/anrstaff/Administration/Business_Operations/Contracts_-_Grants/Award_Management/Fiscal_Oversight/)

UC Davis Contracts and Grants Accounting

PI Ledger Review:

<https://financeandbusiness.ucdavis.edu/finance/contracts-grants-accounting/procedures/pi-ledger>

Cost Transfers:

<https://financeandbusiness.ucdavis.edu/finance/contracts-grants-accounting/policies/cost-transfer>

Subaward Monitoring:

<https://financeandbusiness.ucdavis.edu/finance/contracts-grants-accounting/policies/sub-recipient>

Guide to Research Compliance:

https://research.ucdavis.edu/wp-content/uploads/UCDavis_Guide_to_Research_Compliance_-20132.pdf

Questions?
