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From: Villalobos, Marcel A - (marcel)
Sent: Wednesday, June 9, 2021 6:57 PM
To: Villalobos, Marcel A - (marcel)
Subject: June 9 UArizona Research Administration Forum: "Sponsored Projects Award/Account Setup and Tracking" - Video and Materials
Attachments: Sponsored Projects Account Setup and Tracking.pptx

Hello UA Research Administrator Colleagues,

Thank you for registering for the forum! Please feel free to share this content email with your colleagues and researchers.

- Attached are the slides, and here is a box link to a condensed 15 minute video presentation:
<https://arizona.box.com/s/h4kfcgz4k2j8f7c0e0y53z1ozjxww23y>
- These are direct links to sponsored project tracking tools that we reviewed:
 - [UAccess Analytics - Research - Negotiation Log](#)
 - Contract Status Report: This tool is used to track contracts in process within SPCS contracting (Non-UAHS agreements).
 - Award Setup Status Report: This tool is used to track UAccess award/account setup status after SPCS postaward receives the award from either SPCS or UAHS contracting; or if the award is a directly awarded unilateral grant that does not require contracting involvement.
 - If you are unable to access this dashboard, please request UAccess Analytics Research provisioning at www.uaccess.arizona.edu or contact me with questions.
 - [UAHS Contract Status Report](#)
 - This tool is used to track contracts in process within UAHS contracting. After UAHS contracting completes the contract, please use the above mentioned Award Status Report to track UAccess award/account setup.
 - UA NetID is required to access, please contact UAHS research administration with questions.
- If you are interested in personalized training for your unit covering this topic or other postaward topics, please contact me.

I wish you all a safe start to the summer!

Marcel Villalobos
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[Sponsored Projects & Contracting Services](#)
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Sponsored Projects Postaward – Award/Account Intake and Setup

UArizona Research Administrator Forum 6/9/2021

Marcel Villalobos, Assistant Director Postaward

Agenda

- Agreement types and how that affects intake and review
- UAccess Research and UAccess Financials award/account establishment and notifications
- Timelines and tracking
- Common holdups- how we can partner to improve turnaround

Gift

- **Gifts** are a voluntary transfer of items of value from a person or organization where no material amount of goods or services are expected.
- A gift will generally be motivated by charitable intent and is irrevocable.
- Financially managed by postaward, but not routed or otherwise treated like sponsored accounts (5xxxxxx account range)

Sponsored Project

- **Sponsored Agreements/Projects** are agreements for funds received from federal, state or other governmental agencies, or private organization provided on a contractual or grant basis. The funds must be used for a specific purpose.
- Common indicators
 - Reports, return of funds, property terms, F&A, IP and publication, audit, period of performance
- Proposal is routed and project is managed in UAR/UAF as a SPCS account (3xxxxxx or 4xxxxxx range)

Grant

- **Grant (Unilateral):** A grant or sub-grant is an award of financial assistance for research, instruction, or other sponsored activity.
- Awarded on competitive basis to recipients responding to a sponsor's program announcement. A grant award instrument is used when the principal objective is to accomplish a public purpose.
 - Ex. Research Grants from federal agencies such as the NSF, NIH, or NASA
- Generally does not require contracting acceptance.
- Acceptance and subsequent project changes are managed by SPCS postaward and department.

Contract

- **Contract (Bilateral):** A contract is an award for a prescribed or defined project with a designated period for a specific amount with defined deliverables.
 - Ex. NASA or DOD contract for deliverables. Industry contracts for services or deliverables.
- Negotiated and accepted via SPCS or UAHS contracting.
 - Then sent to postaward for award/account establishment.
- Changes generally require contracting involvement.

Award Intake – Grant (Unilateral)

- Electronically delivered to SPCS front desk at sponsor@arizona.edu via email from sponsor, or forwarded from PI/dept.
- SPCS front desk will log in UAccess Research with a Negotiation Tracking Number (NLID) that is emailed to PI and Department along with copy of award.
- Package sent to SPCS Postaward for award/account setup. Track it with the Award Setup Status dashboard.
- Confirmation emails sent to PI/dept upon award/account setup.

Award Intake – Contract (Bilateral)

- First negotiated with either SPCS or UAHS Contracting.
- After contract is fully executed, package sent to SPCS Postaward for award/account setup.
- Contracting updates
 - UAHS contracting –UAHS contract status report
 - SPCS contracting –SPCS contract status dashboard
- Postaward updates
 - After we receive the fully executed package – SPCS award setup status dashboard

Teams

Paul Sandoval – Director, Postaward

Marcel Villalobos – Assistant Director, Postaward

Tara Gonzales – Senior Manager, Financial Compliance Team

Team 1 | Manager – Ashley Taylor

College of Architecture, Planning & Landscape Architecture; Eller College of Management; College of Education; James E. Rogers College of Law; College of Optical Sciences; Graduate College; Honors College; Outreach College; Office for Research & Discovery; UA South

Team 2 | Manager – Yohana Orduno

College of Science; College of Letters, Arts and Science; College of Fine Arts; College of Humanities; College of Social and Behavioral Sciences

Team 3 | Manager – Carmen Raffensparger

College of Medicine - Tucson; College of Medicine - Phoenix; College of Nursing; College of Pharmacy; Mel & Enid Zuckerman College of Public Health

Team 4 | Manager - Jeni Dukes

College of Agriculture and Life Sciences; College of Engineering

Department Directory:

<https://rgw.arizona.edu/directory/sponsored-projects-contracting-services>

Postaward Responsibilities



Create financial award/account in UAccess Research & Financials



Review of award terms and conditions



Preparation of invoices and financial reports



Aged accounts receivable



Cash management



Account closeout and interaction with sponsoring agencies and university personnel



Financial Compliance – audit, effort reporting, cost sharing, property management, subaward monitoring

Home Tools 3027130 Award D... x

1 / 399 75.5%

Bookmarks

- Mod 01S2R
- Mod 01S2
- NCE to 3/31/2020
- Backstop to 6/30/19
- Mod 01S1
 - Policy Guide
 - Restrictions
 - Unallowable costs
 - Milestones
- Mod 01R
 - T&C's
 - Restrictions
 - Multiple PI's/Key Pers.
- Lead Unit Change
 - IP
- Mod 1R
 - Budget
 - IP
- Admin
- New
 - Restriction
 - Policy Guide
 - Prior Approval
 - MPI + Key Personnel
 - Food/Meals
 - Budget Justif

63539 3

PI Name Kraft, Monica Unit 6815 Negotiator: BC Negotiation ID _____
Funding Proposal (IP)
Prop Dev Doc

NEW ACCOUNT SET-UP/MODIFICATION CHECKLIST
master/project/prime

Parent Account: 3027130 Spon Awd ID: 1OT2OD026549-01 REVISED Version 21

SPS Comments: Mod 01 REVISED: NCE to 03/31/22 (Obl)

Master agreement, PSA, NASA or other restrictions, governing law, risk mgmt.
 COI: 3/22/21 BC Other: _____

1, 2, 3 or 4 Page? SSN? Bank info?
 AZ Choice Confidential, e-Verify FAR 52.222-54, COVID-19, Redact _____

Fund Accountant Initials/Date CR 3/24/21 Anticipated Dates 04/01/18 - 03/31/23

Account Reference Sheet CR Anticipated Amount \$0.00 / \$39,999,175.00

UAF Account Set-Up/Modified 17536031-07 Obligation Dates 04/01/18 - 03/31/22

UAR Negotiation Modified /Closed CR Obligated Amount \$0.00 / \$39,999,175.00

Post Award UAR Update -- F&A Rate/Base/Campus 53.5 / MTDC / ON

UAF Proposal ID 177249 CFDA 93.310 Sponsor NIH

UAF Proposal Set-up/Modified 17536309 *****

UAF Award Set-up/Modified 17536310 Revenue Object Code 0300 Source of Funds 109

UAF Customer Set-up (for Non-LOC) --

Budget Load Ref/Date -- Budget Load Log N/A

Billing Information LOC 51 Billing Log N/A

Carry Forward Approval Automatic Payment Log N/A

Financial Reports F/90 SF 425 Financial Report Log Yes

Invention Reports F/90 HHS 568 Patent Log N/A

Cost Sharing Salary Cap

E-Verify Notification F&A Adjustment Log Interest Remittance


Quality Assurance Self-review of All Fields Complete Review Complete Initials/Date _____

Rev 10/17/18




Postaward Turnaround Times

- Start to finish – a Contract (Bilateral) will take longer than a Grant (Bilateral) because of the contracting process.
- From the time postaward receives either a contract or grant, turnaround time is 1-3 weeks for award/account setup in UAR/UAF.



How do I track account setup?

- Contract negotiation
 - SPCS Contracting – Contract Status dashboard in Analytics - Research – Negotiation Log
 - UAHS Contracting - <https://research.uahs.arizona.edu/facilitites-and-resources>
 - Unilateral agreements and contracts after they are fully executed and delivered to postaward
 - Award Setup Status dashboard in Analytics - Research – Negotiation Log
 - Demonstration
- 

Access to dashboards

- UAccess Provisioning Tool -
“UAccess Analytics” as the System
and “Research” as the Subject Area
- UAHS Contract Status Dashboard -
netid

Partnering to improve turnaround

- Status inquiries
 - Please bookmark and check the SPCS Negotiation dashboards and for UAHS contracts – UAHS contract status report.
- Email inquires
 - Please provide UA account number/NLID/proposal number
- Triaging
 - First in first out
 - Only COVID-19 projects or those with truly time sensitive payment issues will be expedited

Partnering to improve turnaround

- **Conflict of Interest**

- COI review is completed for all active Federal and Sub-Federal National Science Foundation (CFDA 47.###) and Health and Human Service (CFDA 93.###) awards except for PHS Phase I STTR/SBIR Projects (PHS regulations specifically exempt).
- Soon review will be required for all active Federal and Sub-Federal projects!
- New awards and modifications must be held from processing if identified COI Investigators are not COI compliant - “COI Hold”

Partnering to improve turnaround

- Proposals
 - Missing proposal for new award or modification.
 - Proposal routed for an administrative change, without coordinating contract/postaward involvement to modify existing contract/grant.

Invitation for Campus-SPCS Postaward Partnership



EMAIL/AGENT NOTIFICATIONS THROUGH
AWARD/ACCOUNT SETUP PROCESS



UPDATE BACKSTOP FORM TO EASE
UNDERSTANDING AND PROCESSING