Setting Up Award

Account setup

Account numbers are issued by ORA, Post Award, upon receipt of the original award document or when an approved request for an advance account is received.

ORA, Post Award will obtain key information from the award (funding source, award type, billing and reporting requirements, revenue recognition method, etc) to properly setup the account. Federal and state awards may need a Catalog of Federal Domestic Assistance (CFDA) or Catalog of State Financial Assistance (CSFA) number and, when not provided in the award notification, proper due diligence is required to obtain this information or confirm whether the CFDA or CSFA number is required.

ORA, Post Award, creates account numbers in the following manner:

- Collect the appropriate documentation, including the proposals, awards, modifications, certifications, correspondence, internal forms, or other documents applicable to the award.
- Create the award account(s) by creating/updating/maintaining the attributes in both the SPM and FRS.
- Create the initial budget within SPM for new and continued awards.

If applicable, after-the-fact proposal documents will be processed by the Principal Investigator and forwarded to ORA, Pre-Award. These documents include:

- a completed proposal transmittal sheet and any other applicable internal forms, including the PCRF)
- an award notice (and check, if included);
- copies of correspondence with sponsor; and description of project and statement of work (if not included with the above).
- Account numbers are released by the Award Setup team and are relayed to the Principal Investigator and appropriate personnel in the department. If applicable, all personnel on the project will have to complete the required Conflict of Interest (COI) certification prior to the account information being released to the PI.

Advance Account

If the PI has a need to start the work prior to receiving the Notice of Award or executed award document, an advance account number can be issued by ORA by following the steps below:

- Complete an “Advance Account Form” –see https://umshare.miami.edu/web/wda/researchadministration/Form/Pre-
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Based on an associated proposal. If the proposal was not previously submitted, the form should accompany the proposal and the PCRF-L.

- Form must be signed by both the principal investigator (PI) of the anticipated award and the Chair/Dean or designee of the department that owns the university departmental account being used to guarantee the charges.

- Submit the completed form to ORA at mra@med.miami.edu

- ORA, Strategic Initiatives will review, approve if appropriate and forward to ORA, Post Award who will create the Advance Account.

- COI clearance is required prior to creating the advance account.

- The PI and designee will be notified via email when the account has been established.

Advance accounts should typically be setup to cover a brief period between anticipation and receipt of an award and should normally not be in advance status for an extended period of time. The status of advance accounts will be monitored by ORA, Post Award on a monthly basis.

- The typical life cycle of Advance Accounts should not exceed 90 days. If the award notice is not received within the 90 days, or if grant/contract is not actively being negotiated by ORA, the sponsored account will be frozen and all expenditures and commitments will be transferred to the guaranteed account listed in the form.

- If the proposed grant/contract is still actively being negotiated, the life cycle of the advance account may exceed ninety days based on a case by case review and approval from ORA, post award leadership.

- If the negotiations have reached an impasse, the advance account will be frozen and no new charges can be incurred pending favorable resolution of the impasse.

- If negotiations on the proposed grant/contract have terminated, or there is written or verbal evidence that the award will not be funded, then ORA will advise the Principal Investigator and the department administrator that the account will be closed and all expenditures be transferred to the account provided on the Advance Account form by ORA.

Budget Allocations

Once the account has been created, and upon receipt and acceptance of the award document the Award Administration team will setup the budget. The budget period and the amounts are determined by the sponsor. All budgets are setup consistently based on the award document/contract:
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- Budgets on multi-year awards are released, based on the award document and budget (i.e., incremental funding, additional funding, etc. are released consistent with the amount and related period indicated in the award/contract).
- For clinical trials with payments based on case reporting, the budget is setup on a cash basis, which means that the budget is released incrementally based on the cash received. When cash is received, the budget is increased.

- Award Administration is responsible for the distribution of the budget into the proper categories. A Budget Control Sheet is prepared by Award Administration and distributed to the department. A copy is placed in the award folder OnBase.

- Award Administration is also responsible for redistributing all changes to the original budget as requested by the PI and subject to the sponsor’s guidelines.

- Rebudgeting is processed if the sponsor requires this.

  The PI/designee should work with ORA to determine rebudgeting requirements and

  process the IPAR if applicable.

- Based on the submitted IPAR, ORA will either approve/disapprove the rebudgeting request or submit this to the sponsor for approval.

- Once approved, ORA will update FRS to reflect the approved budget changes.