USC Award Set-up Process: Advanced funding

Current State ("As Is")

DCG
- Review the communication
- Request pre-award spending approval from sponsor
- Review request and request further info (as needed)
- Submit advance funding request form to DCG
- Reviewing regulatory approvals (IRB, CTABB, IACUC) and verifying that they are there
- Establish account with restrictions if regulatory compliance is not in place and notify SPA
- Notify SPA that regulatory compliance requirements have been met.

Research Administrator (designated contacts)
- Review sponsor policies to determine if USC has authorization
- Request that DCG verify authorization for pre-award spending

PI
- Submit request to RA (school or department) to get approval for advance funding
- Approve requesting advance funding

SPA
- Review the request
- Deny
- Place a frozen status on the account to prevent expenses
- Remove the frozen status on the account

School administrators/contacts
- Request that DCG verify authorization for pre-award spending

End/Wait for full award
- Actual award arrives
- Award set up process

Intent to fund / Start work authorization
Line item budget change within a sponsored account - electronic

Current State ("As Is")

**PI**
- Identify the change that needs to be made (from which object code to which object code and dollar amount)
- Review the allowability of the change and whether sponsor and/or DCG approval is required (non-FDP)
- Verify funds availability
- Prepare the request and send to DCG for the budget change approval, including justification (may include informal discussions with sponsor)
- If yes, proceed with budget change through the co-approval process online.
- **Dept Support/Staff/Administration**
  - Reviews requests as needed.
  - Accountant reviews for completeness and correctness (funds available, calculations, allowability) and ask for further info as necessary
  - Accountant processes the request.

**School SBO/Research Administrator**
- Review the request for the budget change.
- Deny if unallowable
- Request further information, if needed.
- Forward the request to the sponsor for review
- Informs the department contacts (requestor) of the sponsor decision
- Reviews request and asks for further information (as needed)
- **Sponsor**
  - Deny request
  - Approve request
  - Expense is transferred to other account

**SPA**
- **DCG**
  - Verify funds availability
  - Accountant reviews for completeness and correctness (funds available, calculations, allowability) and ask for further info as necessary
  - Accountant processes the request.

(Budget change need is identified)
Line item budget change within a sponsored account

Current State ("As Is")

**Dept Support / Administration**
- Identify the change that needs to be made (from which object code to which object code and dollar amount)
- Review the allowability of the change and whether sponsor and/or DCG approval is required (non-FDP)
- Verify funds availability
- Prepare the request and send to DCG for the budget change approval, including justification (may include informal discussions with sponsor)
- If no, end.
- If approved, verify funds availability
- If yes, proceed with budget change and create budget change form with expenditure card and attaching appropriate documentation (sponsor approvals and justifications).
- Route and obtain approvals within school (as needed)
- Submit request with all documentation and approvals to SPA

**SPA**
- Accountant reviews for completeness and correctness (funds available, calculations, allowability) and ask for further info as necessary
- Send to the GL desk to be posted.

**DCG**
- Review the request for the budget change.
- Deny if unallowable
- Request further information, if needed.
- Forward the request to the sponsor for review
- Informs the department contacts (requestor) of the sponsor decision
- Reviews request and asks for further information (as needed)
- Deny request
- Approve request

**Sponsor**
- Budget change need is identified
- Expense is transferred to other account
**Change a PI on a Sponsored Project**

**Current Process “As Is”**

1. **Research Administrator**
   - Identify new PI and any change in scope of work and budget
   - Route and approve the request to change PI
   - Send notification and justification (CV, current/pending, SOW – depending on agency) to DCG
   - Review the request for change in PI
   - Request additional information (if necessary)

2. **DCG**
   - Acknowledge receipt and review request
   - Request additional information (if necessary)
   - Provide financial/accounting information necessary and/or create formal financial report
   - Submit request to the agency
   - Approve request and send approval notice to DCG

3. **SPA**
   - Is request approved?
     - Yes: Approve request and send approval notice to DCG
     - No: Deny request

4. **Sponsor**
   - Budget change process if needed

**PI Change complete**

**PI on the project must change**

**Award termination process**
End of project period approaches

**PI**
- Begins creating paperwork to continue project
- Creates a final report and/or other deliverables

**Research Administrator**
- Sends notification of final report and other deliverables due.
- Identifies any outstanding charges that haven’t been booked, getting outstanding items paid, and closing liens.

**DCG**
- Notification sent out indicating end of budget period
- Reviews balance status (based on termination date) for preparing the financial report
- Reviews receivables and checks status
- Creates the financial report and submits to the agency and scans to COA

**SPA**
- Receives and reviews final report and/or other deliverables and reviews proposal for continuation
- Requests further information

**Sponsor**
- Generate a new notice of award

**Phase**
- End of project period approaches
- Creates the financial report and submits to the agency and scans to COA
- Reviews receivables and checks status
- Creates the financial report and submits to the agency and scans to COA
- Receives and reviews final report and/or other deliverables and reviews proposal for continuation
- Requests further information
- Generate a new notice of award

**Submit proposal to the sponsor**
- Provides further information requested
- Submit proposal to the sponsor
- Verifies the budget and/or provides modifications
- Request advance funding (if needed)
- Informs department and requests budget
- Create the new account with the next budget and generate the NOA and sends the NOA to the Dept/PI

**Verify the budget and/or provides modifications**
- Request advance funding (if needed)
- Informs department and requests budget
- Create the new account with the next budget and generate the NOA and sends the NOA to the Dept/PI

**End of project period approaches**
- Creates a final report and/or other deliverables
- Submits the competing continuation proposal for approval and routing
- Identifies any outstanding charges that haven’t been booked, getting outstanding items paid, and closing liens.
- Sends notification of final report and other deliverables due.
- Notification sent out indicating end of budget period
- Reviews balance status (based on termination date) for preparing the financial report
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- Creates the financial report and submits to the agency and scans to COA
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- Requests further information
- Generate a new notice of award
Run a report on all closing accounts to determine whether equipment has been purchased.

If no equipment, generate an email to PI to verify that no equipment was purchased and verify account is closing.

If there is equipment, review who has title and where it is located, inventory ID, etc. Print report and verify equipment location and condition and update system.

Provide a monthly report for accounts with equipment that are closing.

Generate a letter to the sponsor indicating a "negative report" (no equipment and send copy to DCG.

Generate title letter (USC-owned, sponsor-owned – requesting title for university) with copy of equipment report.

Notify the PI to verify the equipment information.

Generate title letter (USC-owned, sponsor-owned – requesting title for university) with copy of equipment report.

Submit letter to sponsor and copy DCG.

Work with PI to relinquish equipment and send it to indicated location.

Verifies that no equipment was purchased.

Verifying the info on the equipment report.

Work with the technician to verify the equipment location and condition.

Account ending.

Review letter and respond to request for title.
Post-notice discussions and negotiation with sponsor

- Notice of Award arrives from Sponsor
- Review the NOA from the sponsor
- Identify concern about achieving originally proposed research plan due to cut in funding, scope of work, timeframe
- Contacting any internal USC groups for review (as needed based on the type of issue)
- Create counter-proposal based on review and feedback from internal entities
- Submit counter-proposal to the sponsor and continue dialog until agreement is reached
- Review the counter-proposal and continue dialog until agreement is reached
- Generate the updated NOA and submitting to contacts listed

- PI
  - Send NOA to DCG (if they have not already received a copy)
  - Review the NOA from the sponsor
  - Create PI sign-off form

- DCG
  - Create counter-proposal based on review and feedback from internal entities
  - Submit counter-proposal to the sponsor and continue dialog until agreement is reached
  - Generate the updated NOA and submitting to contacts listed

- Sponsor
  - Review changes to intellectual property, revenue sharing
  - Review liability questions

- USC Stevens

- General Counsel
  - Review liability questions

- Notify of Award arrives from Sponsor

- Award set-up process
Prepare, Submit, and Execute a No-Cost Extension

**Current Process “As Is”**

**Dept Support Staff**
- Send reminder to PI about submitting a no-cost extension request
- Review for documentation to support the request (regulatory approvals, etc.)
- Ask for additional information

**DCG**
- Drafts the budget justification
- Hold for regulatory requirements (check iStar)
- Endorse approvals
- Submit no-cost extension notification to the agency (copy PI and designated admin)

**SPA**
- SPA sends out notice of end of account at 30 days prior (may want to change to 90, 60, 30)
- Determine the status and balance of account and/or creating a financial report (if approval comes in late)

**Subaward**
- Request a no-cost extension along with supporting documentation
- Why to you need it? How much money is left? How long do you need the extension to be?

**Sponsor**
- Acknowledge receipt and approve request

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- Drafts a letter requesting the extension
- Request is forwarded to DCG
- Rescind request – verify by sending communication
- Prepare change order sent to Purchasing to change the PO for sub
- Generate an update NDA and update account in AIS
- Send out updated NDA
- Initiate an amendment to the sub agreement
- Determine the status and balance of account and/or creating a financial report (if approval comes in late)
- Hold for regulatory requirements (check iStar)
- Submit no-cost extension notification to the agency (copy PI and designated admin)
- Endorse approvals
- Drafts the budget justification
- Review for documentation to support the request (regulatory approvals, etc.)
- Ask for additional information
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- Is extension requested through agency system?
- Initiate the no-cost extension in the agency system (depending on agency)
- Prepare, Submit, and Execute a No-Cost Extension

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Non-competing continuation under FDP and SNAP

**Phase: End of budget period approaches**

- **PI**
  - Begins creating paperwork to continue project into subsequent period.
  - Creates a progress report and/or other deliverables.
  - Submits deliverables to sponsor system (SNAP).

- **Research Administrator**
  - Sends notification of progress report and other deliverables due.
  - Reviews balance over 25% (of the original budget) and informs PI.
  - Identifying any outstanding charges that haven’t been booked.

- **DG**
  - Approves the final review and submission of progress report.

- **SPA**
  - Reviews balance status (based on termination date).
  - Receives and reviews progress report and/or other deliverables.

- **Sponsor**
  - Requests further information, as needed.
  - Generates next year’s award notice (release funding).
  - Provides further information, as needed.
  - Informs department and requests budget.
  - Reviews for balance over 25% (of the original budget) and informs PI.
  - Identifies any outstanding charges that haven’t been booked.
  - Approves the final review and submission of progress report.
  - Generates next year’s award notice (release funding).
  - Requests advance funding (if needed).
  - Generate next year’s award notice (release funding).
  - Informs department and requests budget.
  - Reviews balance status (based on termination date).
  - Receives and reviews progress report and/or other deliverables.
  - Requests further information, as needed.
  - Generates next year’s award notice (release funding).
  - Informs department and requests budget.

**End of budget period approaches**
Non-competing continuation under FDP

**Phase**

**PI**
- Begins creating paperwork to continue project into subsequent period.
- Sends notification of progress report and other deliverables due.

**Research Administrator**
- Reviews balance status (based on termination date).
- Reviews balance over 25% (of the original budget) and informs PI.
- Identifying any outstanding charges that haven’t been booked and closing liens.
- Approves the final submission of progress report.
- Receives and reviews progress report and/or other deliverables.
- Requests further information, if necessary.
- Generates next year’s award notice (release funding).

**DCG**
- Provides and prepares budget for next budget period.
- Informs department and requests budget.
- Request advance funding (if needed).
- Work with PI/Dept to determine the actual unspent money in previous period’s account.

**SPA**
- Generates next year’s award notice (release funding).
- Request carry forward from previous budget period’s account.
- Provide further information.
- Informs department and requests budget.
- Create the new account with the next budget and generate the NOA to the Dept/PI.

**Sponsor**
- End of budget period approaches.
- Receives and reviews progress report and/or other deliverables.
- Requests further information, if necessary.
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- Create the financial report and submits to the agency and scans to COA.
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Non-payroll expense transfers for Sponsored Projects

**Current State ("As Is")**

**Expense occurred**
- Object code corrections

**PI**
- Charge is identified as needing to be moved to another account
- Create the non-personnel expense transfer form
- Attach supporting documentation (explanation)
- Obtain appropriate approvals
- Send package to SPA

**Dept Support Staff**
- Provides additional information
- Participate in discussions about rejection of expense transfer request

**School SBO**
- Confirm the basic required information is included
- Send back to department for more information (if needed)
- If the account is terminated, the transfer goes to the accountant to review
- Substantive review of expense transfer
- Request review of allowability by Equipment Management (if needed)
- Determination is made to reject the expense transfer
- Determine it has to be moved to a non-sponsored account
- Authorize expense transfer to the requested sponsored account

**SPA**
- Log the expense transfer request
- Goes to SPA administration desk, who does the journal voucher (aka journal entry)

**Equipment Management**
- Review (rubber stamp) of expense transfer
- Participate in discussions about rejection of expense transfer request
- Request review of allowability by Equipment Management (if needed)
- Consult with other (ad-hoc) groups for review of the request
Expense occurred

Object code corrections

Payroll expense transfers for Sponsored Projects

Current State ("As Is")

Expense occurred

Charge is identified (from ASR review and/or payroll certification review) as needing to be moved to another account

Create the personnel expense transfer form

Attach supporting documentation (explanation)

Obtain appropriate approvals (as needed)

Assure or create an appropriate earnings line for the transfer to occur and signs approval of transfer (home department coordinator).

If the account is not active, send a request to SPA to activate the account (24 lag time to update the Payroll system for overnight refresh)

Send package to Payroll

Provides additional information

Participate in discussions about rejection of expense transfer request

Accountant reviews the request and activates the account

Log the expense transfer requests in the batch (from excel sheet)

Confirm the basic required information is included

Substantive review of expense transfer (includes review of changes to object codes)

Review effort certification system to see if certification has already been done.

Send back to department for more information (if needed)

If rejected, send it back to the home department (listed contact) or if not allowable, put Dean's account on it and send back to Payroll (discussion with dept)

Process the transfer: Transfer is done in the Payroll system for current fiscal year expenses; JV in the GL is done for prior fiscal year expenses

If account is not active, then send request to SPA to activate the account (24 hour lag time for system to refresh)

Expense is transferred to other account

Verify earn line

Log the expense transfer (in excel sheet)

Batch expense transfers together and send to SPA

Assure or create an appropriate earnings line for the transfer to occur and signs approval of transfer (home department coordinator).

If the account is not active, send a request to SPA to activate the account (24 lag time to update the Payroll system for overnight refresh)

Send package to Payroll

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If account is not active, then send request to SPA to activate the account (24 hour lag time for system to refresh)

Expense is transferred to other account
USC Award Set-up Process: Simple “perfect world” award after negotiations

Current State (“As Is”)

**DCG**
- Review the file
  - Contact RA and PI, including request for add’l info if needed (e.g. revised budget, protocols)
- Enter award in CAFÉ
- Automatic transfer to DCG Account Establishment team
- Acct Est reviews info and enters account info into AIS to create it (funding may not be available depending on requirements)
- Acct Est team generates the NOA and sends email notification
- Acct Est team distributes the NOA to SPA, Equip Mgt, Dean’s Office, PI (Dept), DCG, file copy

**Research Administrator (designated contacts)**
- Review information from DCG
- Send info requested and updates to budget (when needed)
- New PAR created for review (depends on school policy and nature of changes)
- Send updated PAR to DCG (unit specific in terms of who sends it)

**PI**
- Review the NOA

**School administrators/contacts**
- Review/approval of updated PAR (school specific)

**End**

Award received from the agency