

Procedure 1304 PR.01 Requesting and Modifying Sponsored Projects

Revision Date: 08/06/08

1 – The Sponsored Award and Project Process	1
COA and Project/Award Background Information	1
Terminology	1
The Proposal Transmittal as Initiating Event	2
Timing of Sponsored Award Set-up	2
Timing of Sponsored Project Set-up	2
Pre-Award Costs or Late Award Notice	3
Set-up of a Subaward	3
Expenditure Type	4
2 - Structure and Request a New Sponsored Project	4
Required and Optional Structural Elements	4
Determine what organizations need budget and viewing privileges	4
Identify key members of a project and its tasks	5
End dates and validation errors	5
Complete the New Sponsored Project Request form	5
Obtain departmental approval	7
Submit the request form	7
Revisions	8
Notifications	8
3 – Perform Other Project Activation Tasks	8
Review a report detailing your project	8
4 - Modify a Sponsored Project	9
Changes that Require No Departmental Action	9
Changes that Require Departmental Action	9

1 – The Sponsored Award and Project Process

COA and Project/Award Background Information

This procedure refers to those projects and awards funded by external sponsors, and assumes an understanding of the Chart of Accounts and of projects and awards as they have been implemented at the University. For detailed information refer to the [COA Handbook](#) and [Procedure 1302 PR.01: Overview of Projects and Awards](#).

Terminology

Awards are components of the grants management system (OGM) that document the funding amounts, terms and conditions of an award from a sponsor.

Projects are components of OGM that identify specific activities to be conducted with funding from one or more awards.

Sponsored projects are projects that involve activities funded by a sponsored award, for example by a grants or contract.

Examples of sponsored awards/projects:

- an NIH grant;
- a sponsored educational program;
- a fellowship;
- a service contract;
- a non-federal clinical trial.

Projects funded wholly by operating sources are operating projects. Refer to Procedure 1302 PR.2, *Requesting a New Operating Project*, for more information.

Tasks are components of OGM used to describe a subset of project activities and costs.

A **Proposal Summary and Certification Form (PSCF)** is a document that summarizes proposal information and provides certifications necessary for approval of the submission of a proposal by Yale to an external sponsor. It is submitted to the Office of Grant and Contract Administration (GCA) with proposal documents.

Pre-Award Spending refers to expenditures that take place prior to the actual start date of an award. Some federal agencies permit such expenses 90 days prior to the grant start date at the University's risk.

Late Award Spending allows the charging of expenses to a sponsored project prior to the receipt of the award document (e.g. Notice of Grant Award, Cooperative Agreement, Clinical Trial, or fully executed Contract) but not before the anticipated start date of the sponsored project.

Sub recipients under Grants and Contracts are contractual agreements between Yale and other institutions or corporations in which the non-Yale entity will perform a substantive portion of the research. Such contracts must be approved by the primary funding source and signed by both parties. See [OMB Circular A-110](#) for federal guidelines regarding sub-recipients.

The Proposal Transmittal as Initiating Event

Generally, the event that formally initiates the sponsored award and project cycle is the submission of a proposal to the appropriate GCA. GCA is responsible for approving and submitting proposals and for the details related to funding from external sponsors. This Office also reviews and accepts the terms and conditions of sponsored awards on behalf of the University.

The [Proposal Summary and Certification Form](#) (PSCF), along with the document award, provide the information necessary to set up an award in OGM. These documents also provide enough information to set up a sponsored project that can be linked to an award so that the department may initiate expenditures against the project.

Award Setup Units (ASU) located within GCA are the only offices authorized to set up or modify awards, projects and tasks related to sponsored projects.

Timing of Sponsored Award Set-up

In the normal course of business, award, project and task(s) will be set up when the University receives and accepts an award from a sponsor. Normally, award notices are sent to GCA offices by a sponsoring agency.

Information required in the setup is derived from the terms and conditions of the award itself, and the information provided by the proposing department in its original submission.

Departments need take no further action to initiate an setup of a sponsored award beyond the initial proposal submission, except in the case of a need to incur pre-award costs or the situation of a late-award notice (see below).

If a notice of award is received directly in the proposing department or by the Principal Investigator, it should be forwarded as soon as possible to GCA

No transactions will be possible against the award until it has been set up and linked to a project in the grants management system (OGM).

If a Department Business Office is unsure whether a specific receipt of funds should be treated as a gift or as a sponsored activity, consult the appropriate GCA Office. Also see [Procedure 1304 PR.02: Distinguishing Between Gifts and Sponsored Awards](#), for general information. If the funds represent a gift rather than a sponsored activity, Funds Management Office should be contacted for assistance.

Timing of Sponsored Project Set-up

At the time that a new sponsored award is created, the ASU will create project(s) and task(s) in the organization specified by the department identified in the PSCF. Departments will be notified of the new

award, project and task numbers once they have been created in the grants management system. The department may begin to process transactions to the project upon receipt of this notification.

Departments may request an alternate arrangement at the time of proposal submission, including the identification of an existing project that the proposal, if successful, will fund. GCA will meet those requests to the extent possible and no further action on the part of the department will be required at award.

A request to modify project and task data elements or structure may be submitted either prior to or after awards and projects have been set up in OGM.

If, after the initial project is set up, the department or investigator requires additional project(s) or tasks to properly manage an agreement, these may be requested by submitting a New Sponsored Project Request form. The addition of projects is only recommended if the addition of a task to the existing project will not satisfy management objectives.

Departments may request the setup of projects whenever there is a business need to do so. Completion of the [New Sponsored Project Request Form](#) is necessary to initiate a project setup.

At the time an award is received and accepted by the GCA, they will notify both the ASU and the department.

The department may at this time:

- Provide to ASU the project number of a project that has been set up in anticipation of funding, and it will be linked to the new award.
- Request a new sponsored project by providing a request form to the ASU indicating where the project should be set up and linked to the new award, or
- Take no additional action, in which case the ASU will, after two working days of receipt of an award, set up a project and link it to the new award.

The ASU will notify the department of the new Award and Project numbers once both have been created in OGM.

A request to modify project and task data elements or structure may be submitted either prior to or after awards and projects have been set up in OGM.

Pre-Award Costs or Late Award Notice

When there is a need to incur costs prior to the start date of an award, or because receipt of a fully executed grant or contract has been delayed (late award notice), a department may initiate a request to set up an award, project and task.

- Under these circumstances a department can request the new project by submitting a [Department Request for Opening an At-Risk Account Form](#) to GCA.
- A [New Sponsored Project Request Form](#) should be completed and attached to the [Department Request for Opening an At-Risk Account Form](#). The ASU will notify the department once the project has been created in the system.
- The proposal provides preliminary information for setting up the award, which will be modified as necessary on receipt of the award notice.

Set-up of a Subaward

When a sub recipient agreement has been fully executed (signed by all parties), GCA will **assign a unique number** for each separate sub-recipient agreement related to an award. [i.e., if there is more than one sub-recipient associated with an award, each sub-recipient will have a separate identifier] These **unique** numbers are held within the University only, and facilitate costing and monitoring objectives; purchase order numbers are not sent to the individual sub-recipients.

The ASU will notify departments of their unique number, associated PTAE0, and sub-recipient agreement, once the number has been assigned.

Invoices from sub recipients are sent to the ASU who will forward all original invoices to departments. Upon receipt of these invoices the following processes must be performed.

- The Principal Investigator must approve the invoice signifying receipt of satisfactory service or equipment.
- Authorize the invoice with the original signature of the authorizer.
- Indicate the appropriate unique number on the invoice face.
- Make and keep copies of all documents.
- Send the original invoice to GCFA, 155 Whitney Avenue, for review.

GCFA reviews the invoice for the following before sending it to Accounts Payable for payment:

- Appropriate authorization
- Appropriate and valid **unique** number
- Appropriate and valid PTAE0
- Amounts and periods of service

Expenditure Type

Expenditure type assigned to each sub recipient invoice should be coded using code type 833411.

2 - Structure and Request a New Sponsored Project

Required and Optional Structural Elements

Every sponsored project must have a designated:

- Start date
- Project owning organization
- Project manager (always the Principal Investigator)
- At least one Task

Linkage to a sponsored award to allow recording of transactions, a project may also have:

- An end date
- Location
- Short name
- Additional Task(s)
- Project administrator(s) and/or internal contact(s)
- Department reporting cluster

Determine what organizations need budget and viewing privileges

Ownership of projects and tasks by a particular organization determines who can have access to budgeting in OFA. Viewing privileges in the data warehouse are based on activity by organization, and by lists of specific projects for which an individual may view everything.

- Budgeting ability for a task is limited to the organization that owns the task. If a task owning organization has not been explicitly defined, the project owning organization is applied to the task in determining OFA permissions.
- If a project belonging to one organization has tasks that are assigned to a different organization, the project-owning organization can only write budget lines in OFA for the tasks owned by it directly.
- The project-owning organization can view all data and transactions for the whole project independent of organization, as long as the project is listed separately and discretely as an access project when data warehouse permissions are set up.

Requesting and Modifying a Sponsored Project

- An organization that owns a task within a project belonging to a different organization can view only the data and transactions of its own task, unless it is explicitly granted full project-viewing privileges by the project-owner.

In OFA...	...can write budget lines and see actual balances for:	
Organization	Tasks it owns	Tasks owned by other orgs
Project-owning org	Yes	No
Task-owning org	Yes	No

In Data Warehouse...	... can view data for:	
Organization	Projects and Tasks it Charges To	All Activity for All Tasks of Projects Listed Separately for Access
Access org	Yes	No
Access project	No	Yes

Identify key members of a project and its tasks

Every project must have a project manager. For sponsored projects this is the Principal Investigator/Project Director.

A task manager can be designated for a specific task within the project if needed.

A department can use the names of project and task managers to structure Data Warehouse reports of project and task activities for departmental oversight and planning purposes, e.g., a report showing all projects or tasks on which Professor Smith is the project manager.

Assign other key members to a project (for instance, a project administrator or an internal contact) if it is appropriate to the project's needs.

More than one project administrator or internal contact can be named if needed.

End dates and validation errors

The University's financial systems perform validations to ensure that the project, task and award are all open and linked as of the transaction date.

Transactions will not pass validation if the project is closed, the award is closed, or the award is not linked to the project.

Complete the New Sponsored Project Request form

If you need to request a new sponsored project based on the circumstances described in this procedure, use the [New Sponsored Project Request Form](#).

This form collects the information necessary to create a project in the system.

Complete all required sections of the form. Omitting any information not marked as optional on the form could result in your request being denied or delayed.

Note: for YSM only - Get a request number.

- Go to the [Transaction Control Number Generator](#).
- Get a 6-digit transaction control number.
- Enter it in the Request Number field at the top of the form.

- YSM ASU uses this number to track the request in their system log.

General Project Data	Explanation
Project name	Project name must be unique across the University.
Pre Award Date	The date on which the project starts.
End Date (optional)	Official ending date of the project. NOTE: Be cautious about entering end dates, as validations may be affected by this action. UGCA prefers to leave end dates open so that the award end date is used by default.
Project Description	A brief description of the primary purpose of the project.

Project Descriptive Flexfields	
Project Owning Org	The University organization that is financially responsible for the project: enter the 6-digit ORG code and the name. <ul style="list-style-type: none"> • Only the award-owning organization can request a new project and linkage to its award.
Project Short Name (optional)	A unique 7-character name that can be used in column headers for departmental reporting purposes.
Location of Project (optional)	Building and room number (or street address if not on campus) of the project's center of operations.
Department Reporting Cluster (optional)	A free-form field a department can use to define optional parameters it finds useful for its own reporting purposes Note: YSM departments use this field to designate Dean's office commitment.
Key Members	
Project Manager	The Principal Investigator who is responsible for the award and project. <ul style="list-style-type: none"> • Every project must have a project manager, usually the PI/PD. • Select the name of the PI (e.g. "Elizabeth," not "Betsy") from the pull down list, including title and middle initial.
Other key members (optional)	Individuals who will function as project administrator or internal contact. <ul style="list-style-type: none"> • A project may designate more than one individual for each role if desired, but the Data Warehouse will store only one name for each role. • Enter the full, formal name (e.g. "Elizabeth," not "Betsy"), including title and middle initial.

Tasks		
Use standard task or Use tasks listed on attached task worksheet	Check "Use standard task" if you are not providing any specific task details. In all other cases:	
	Central Campus ASU	YSM AUS
	1. Check "Use task below." 2. Enter task details for one task: <ul style="list-style-type: none"> • Task number and name • Task-owning organization number and name (can be different from project-owning org.) • Task description • Task manager (optional) • Task departmental attribute (optional: a free-form field a department can use to define optional parameters it finds useful for its own reporting purposes) • Start date • End date (optional: leave blank unless there is a compelling reason to specify) • Location of task (optional) 3. If requesting more than one task, check "Additional tasks on task worksheet" and enter the total number of tasks requested.	1. Check "Use tasks listed on attached task worksheet." 2. Complete the task worksheet, providing complete information about each task that is being set up for the project. Use more than one worksheet if necessary. 3. Attach the task worksheet(s) to the New Sponsored Project Request form. 4. Enter the total number of tasks being requested in the space provided
Award Linkage Request		
Award number	Indicate the award number to be linked to this project. [YSM requesters may alternately indicate the YSM proposal number for an anticipated award]	

Obtain departmental approval

The preparer, if different from the departmental approver, must send the completed New Project Request form via email to the designated departmental approver.

Use "Request for a New Sponsored Project" as the subject of the email message.

Submit the request form

The approver must submit the completed, approved request form to the appropriate ASU, as is appropriate for the department's location. The preferred method for submission is as an email attachment directly from the approver.

- Send Central Campus submissions to:
grants@yale.edu
- Send School of Medicine submissions to:
ysmam@yale.edu

Revisions

If you are notified that the request needs additional information or revision:

- Provide the additional data by telephone or make the appropriate changes to the form, if requested.
- Resubmit the form for approval, if necessary.

Notifications

When a decision has been made on the request for a new project the department approver will be notified by email.

If...	Then...
The request is approved	<ul style="list-style-type: none"> • You will be notified of the approval and given the project number. You will also be referred to a Data Warehouse report you can access that contains the project details. • You can now budget the project in OFA. • Transactions can now be recorded to the project (assuming that the project has been linked to an award).
The request is rejected	<ul style="list-style-type: none"> • The ASU will notify you of a problem with your request • You may revise the request and resubmit it, if appropriate. <p>Avoid common mistakes by:</p> <ul style="list-style-type: none"> • Filling out the form clearly, completely and correctly. • Determining if the action you have taken is the best way to proceed (e.g. consider whether adding a new task to an existing project might be more appropriate than creating a new project).

3 – Perform Other Project Activation Tasks

Review a report detailing your project

Review the information provided to you in the Data Warehouse report containing the details of your project as it has been set up.

- Verify that the project is consistent with what you requested.
- Review and verify the correctness of any changes made to your request.

Notify the office that set up the project immediately if you find discrepancies or have questions.

Take note of the project and task numbers for further activity.

Schedule labor, if applicable

You may need to schedule labor or make changes to existing labor schedules that you want to associate with this project.

If, for costing purposes, you determine that all or part of an employee's salary or wages should be charged to this new project, you will need to modify the labor schedule for that employee.

Refer to [Procedure 1315 PR.01: Labor Distribution](#) for information and instructions on entering or modifying a labor schedule

You should schedule labor as soon as project, task and award information is known or available. Prompt action will help avoid the need for labor adjustments.

4 - Modify a Sponsored Project

Changes that Require No Departmental Action

Changes to a sponsored award are requested of the sponsor by the University, sometimes at the request of a department or principal investigator. Upon receiving notification from the sponsor of a change to an award, ASU will make any necessary changes to the corresponding award and project and will notify the department.

EXAMPLES:

- Receipt of a new installment of funds.
- Extension of the project end date ("no cost extension").
- Change of Principal Investigator.

The department does not need to take any further action in these cases.

Changes in burden schedules and sponsor-mandated changes in terms and conditions will be entered by the GCA offices as received from the sponsor or as required by Yale agreements with the federal government.

Changes that Require Departmental Action

1. Changes in key personnel must be communicated to GCA or the ASU as appropriate.
If the department or Principal Investigator is informed of new technical or administrative personnel at a sponsoring institution or agency, this should be communicated to GCA as appropriate so that the new information can be entered into OGM.
2. Changes in reporting requirements must be communicated to the GCA office.

The official version of this information will only be maintained in an on-line web format. Any and all printed copies of this material are dated as of the print date. Please make certain to review the material on-line prior to placing reliance on a dated printed version.
