

Procedure 1304 PR.01**Requesting and Modifying Sponsored Project Accounts**

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Purpose

This Procedure addresses the proper account set-up and maintenance of **sponsored** project awards. In order to better understand this Procedure the reader must have a sufficient understanding of the Chart of Accounts (COA) at Yale. For detailed information regarding Yale's Chart of Accounts, refer to the COA Handbook and [Procedure 1302 PR.01: Overview of Projects and Awards](#). Note that Projects supported solely with University operating sources are called operating projects. Refer to [Procedure 1302 PR.02, Requesting a New Operating Project](#), for more information.

Terminology**Award Number**

The Award number [the "A" in PTAE0] is directly related to a particular funding source and is assigned 6 characters; sponsored awards begin with a letter. The other 4-5 characters are numbers. Awards have attributes that promote the observation of restrictions imposed by the donor or sponsor. Consisting of grants, contracts or other similar agreements entered into by the University and federal or non-federal sponsors, there is generally a one-to-one relationship between sponsored awards and the project period they are funding.

Late Award Spending

The ability to incur expenditures during the period of the anticipated sponsored award but prior to the receipt of the award document (e.g., fully executed contract) but not before the anticipated start date of the sponsored award.

Pre-award Spending

The ability to incur expenditures prior to the start date of an award. Most federal granting agencies and some non-federal sponsors permit such expenses up to 90 days prior to the start date of the grant. In order to receive approval for pre-award spending an At Risk Account Request form must be completed and submitted to the Office of Grant and Contract Administration. It should be noted that all incurred expenses are at the risk of the University and the department requesting the At Risk Account.

Project Number

The Project number [the "P" in PTAE0] enables departments to track work activities from budget set-up through completion of the activity. Each project has a unique 7-digit number that is automatically assigned. The project number is an essential segment in the Chart of Accounts and must be part of all

financial transaction records. The duration of a project may be limited to a specific period or may continue indefinitely if the project represents an ongoing activity.

Project/Award & Project/Organization linkages must be established during the award set-up process. Linkages are used to validate data entry and ensure that only the appropriate project/award and project/organization combinations are available for transaction posting.

Project Cost Sharing Codes

An attribute established in Oracle for sponsored projects that contain cost sharing requirements. This provides a means to track and ensure that cost sharing commitments are met. Consult [Procedure 1306 PR.01](#) – Cost Sharing for more information.

Sponsored Projects

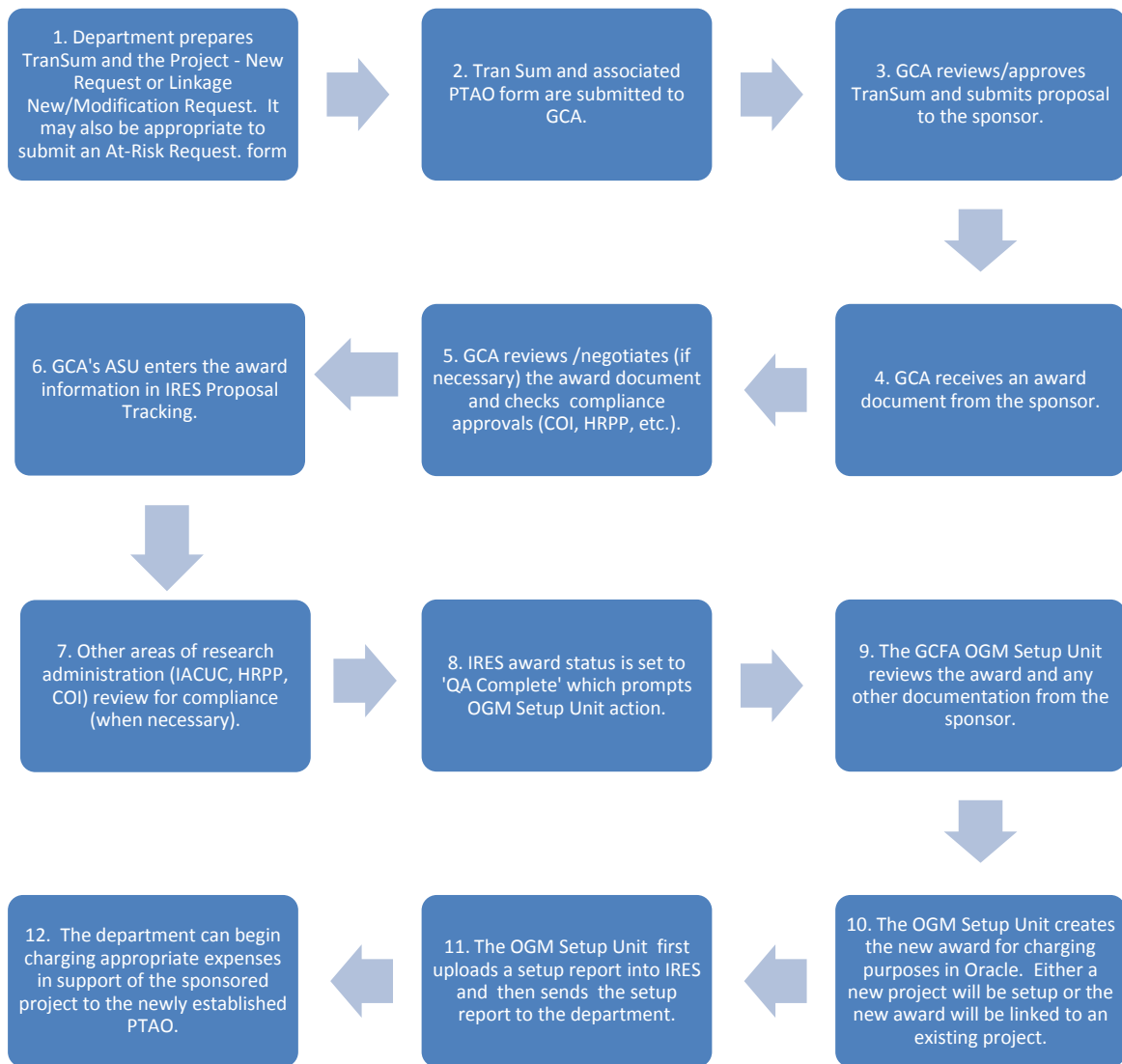
Activities funded by external sponsors via a sponsored award document generally through the execution of a grant, contract, or cooperative agreement.

Transmittal Summary (TranSum)

The document that accompanies a proposal summarizing proposal information and provides certifications necessary for approval of the submission of the proposal by Yale to an external sponsor. This form along with the proposal is submitted to the Office of Grant and Contract Administration (GCA).

Sponsored Project Account Workflow and Set-up

There are several steps and processes that occur in both the IRES Proposal Tracking and the Oracle Grants Management (OGM) module of the Oracle e-Business Suite prior, during and after sponsored project account set-up. The following workflow illustration is provided.



Step 1: TranSum, Set-up Form and/or At-Risk Request (Department)

New Sponsored Project Request

A request for a new sponsored project can be accomplished by completing and submitting [1302.FR.11 Project – New Request](#) form with the TranSum.

Linkage New/Modification Request

When appropriate, the Linkage New/Modification Request form [1302.FR.10](#) can accompany the TranSum. (i.e., for use in linking cost-share and over-the-cap awards via the Project number)

Pre-Award Costs or At-Risk Requests

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

- Under these circumstances a department can request the new account by submitting form [1304 FR.01 At-Risk Account Request](#) to GCA.
- GCA will review the request and approve the setup of an At-Risk account.
- GCA ASU will review any compliance requirements (when necessary) and enter the At-Risk account into IRES Proposal Tracking.
- The OGM Set-up Unit will notify the department once the account has been created in Oracle.

- The proposal provides preliminary information for setting up the award which will be modified as necessary upon receipt of the sponsored project agreement.

Step 2: TranSum to GCA (Department)

For completion of the Transmittal form (TranSum), departments should reference the instructions provided at the following URL: <http://www.yale.edu/ppdev/forms/gc/1304FR03-TranSum-Instruction-Form.pdf>

Step 3: GCA TranSum Review and Sponsor Submission (GCA)

For information about TranSum review and submission of proposals to sponsoring agencies, review the following URL: http://www.yale.edu/grants/proposal_dev/index.html

Steps 4 & 5: GCA Receipt and Review of Award Document & Compliance Review

Upon receipt of the award document, GCA will review the terms and conditions, and other general information. Proper set-up is reliant upon information in the terms and conditions, sponsor's funding announcement, and the proposal with supporting documentation.

Steps 6, 7 & 8: ASU Entry into IRES and IRES Status Update

Once steps 4 and 5 are complete, GCA will enter the award into IRES Proposal Tracking. Note that if necessary, compliance offices such as the Human Research Protections Program (HRPP), Institutional Animal Care and Use Committee (IACUC), and/or Conflict of Interest (COI) may be consulted in determining the appropriateness of setting up an award. The status in IRES is set to 'QA Complete' which will prompt set-up of the award in the Oracle Grants Management system (OGM) by the OGM Set-up Unit.

Steps 9, 10 & 11: GCFA OGM Set-up Unit Review

The GCFA OGM Set-up Unit will review the award and any other documentation received from the sponsor. GCFA also reviews departmental requests or other supplemental documentation when received in advance from the department. Such documents may include a new project or project modification request forms (see below Section "Requesting Additional Projects and Tasks), and cost sharing approval with the associated non-sponsored account for the cost sharing linkages. The new award is then created and either a new project is set-up or the new award is linked to an existing project. For more information about cost sharing, refer to [Procedure 1306 PR.01 – Cost Sharing](#).

Once the award and projects have been established in OGM and linked for use with an Organization [the 'O' in PTAE0], the OGM Set-up Unit will enter the Project, Task and Award numbers and upload a set-up report into IRES Proposal Tracking. The set-up report will be electronically distributed to the respective department based on a list of recipients previously identified by the departmental administrator and maintained within GCFA,

Step 12: Receipt of New Account and Set-up Package (Department)

Once the account has been established, the department can begin charging expenditures in accordance with the sponsor's terms and conditions and University policy on allowability and allocability. It is important that a review of the account set-up is done to verify the Project/Award, Project/Organization linkages and addition of Tasks was complete in accordance with what was requested.

In addition, the Project Manager and Task Manager fields should be reviewed in conjunction with financial statement distribution. Note that the Principal Investigator is by default the Project and Task Manager except when the department requests otherwise (e.g., for program projects).

If charging salary to the sponsored project, labor schedules must be established coincident with start of the project effort. Refer to Procedure [1315 PR.01 – Labor Distribution](#) for labor scheduling assistance.

Requesting Additional Projects and Tasks

Prior to or once the initial account set-up has occurred, if additional Projects or changes/modifications are required for management of the award activities, use the [Project – New Request form 1302 FR.11](#). If additional Tasks are needed on an existing sponsored project, use the [Task Worksheet form 1302 FR.08](#). If additional Project/Organization or Project/Award linkages are identified, use the [Linkage New/Modification Request form 1302 FR.10](#). These forms are submitted to COA@yale.edu and routed to GCFA for modifications and changes to sponsored awards. Additional information on chart of accounts maintenance is available here: <http://business.yale.edu/ppdev/PTAEOMaintenance>.

Responsible Offices

Department – For purposes of account set-up, departments are responsible for submitting the TranSum, determining an appropriate source of funds to support cost sharing, requesting a new or modifying a linkage to an existing sponsored project, determining if an At-Risk Account is necessary, and submitting all associated account set-up information to GCA in a timely manner. The Department should also confirm, via the OGM Set-up Report, that all appropriate set-ups are complete and take action on labor schedules when applicable.

Office of Grant and Contract Administration (GCA) Award Set-up Unit (ASU) – GCA and the ASU are responsible for steps 3 through 8 of the above workflow, with assistance from other compliance offices such as COI, IACUC, and HRPP..

Office of Grant and Contract Financial Administration (GCFA) – The GCFA OGM Set-up Unit is responsible for steps 9 through 11 of the above workflow.

Chart of Accounts (COA) Support Services – COA Support Services reviews requests for additional sponsored projects, tasks and associated account linkages after initial set-up has occurred. COA Support Services will forward sponsored project requests to the GCFA OGM Set-up Unit after assessment of the information provided.

Additional Information

Information required for the proper set-up of a sponsored agreement is obtained from the terms and conditions of the sponsored agreement itself, sponsor’s funding announcement and the proposal with accompanying documentation.

- If a Department Business Office is unsure whether the specific receipt of funds should be treated as a gift or as a sponsored activity, consult with GCA. (See [Procedure 1304 PR.02: Distinguishing Between Gifts and Sponsored Awards](#) for further assistance.)
- 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 or the ASU.
- If a PI receives any changes in reporting requirements directly from the sponsor, those changes must be communicated to GCA and GCFA.

Contacts

Subject	Responsible Office	Contact Information
Proposals/TranSum Completion	GCA GCA Team	(203) 785-4689 www.yale.edu/grants/contacts/index.html
IRES Award Set-up	GCA – ASU	(203) 785-4689 ires.award@yale.edu
Conflict of Interest	COI	(203) 785-4255 conflicts@yale.edu
Human Subjects Protocols	HRPP	(203) 785-4688 hrpp@yale.edu

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Subject	Responsible Office	Contact Information
Animal Protocols	IACUC	(203) 785-5992 IACUC@yale.edu
OGM Set-up	GCFA – OGM Set-up Unit	(203) 785-3630 ogmsetup@yale.edu
Addition of Projects/Tasks and/or Project/Award or Project/ Organization linkages	Chart of Accounts (COA)	coa@yale.edu

The official version of this information will only be maintained in an on-line web format. Please make certain to review the material on-line prior to placing reliance on a dated printed version.
