Contract & Grant Management

Here Principal Investigators (PI) and researchers will find a general guide to Contract & Grant management. For further detailed information, the PI should contact his/her assigned fund manager.

- Proposal Preparation
- Post-Award Management
- Related Links

Proposal Preparation

The major steps involved in submitting a proposal are:

- Reviewing the Request for Proposal (RFP)/Sponsor guidelines
- Developing a scope of work
- Identifying key personnel
- Identifying subcontracts/consortia (if applicable)
- Determining necessary resources
- Preparing budget and budget justification
- Completing agency and internal forms
- Obtaining necessary approvals
- Reviewing and submitting proposal

**Step 1:** The PI should notify his/her assigned fund manager as soon as he/she is aware of an upcoming proposal deadline or **at minimum 3 weeks prior to the proposal deadline.** This will also ensure that OCGA’s deadline of 5 business days prior to submission is met. The PI should email the assigned fund manager to provide the following basic information:

  a) Program Announcements/Requests for Proposal/Sponsor Guidelines  
  b) Sponsor Due Date  
  c) Fund limitation/Target dollar amount (if not specified in the Sponsor’s guidelines)  
  d) Project duration (Start & End dates)  
  e) Preliminary budget details (can be listed via email): i.e. Personnel (title, level, % time), Travel (estimated mileage, conferences), Supplies/Other ($ amount for project supplies, subject payments, equipment, computer related expenses)  
  f) Project Title (if known)  
  g) Subcontract/Consortium information (if applicable) and Subcontract contact (i.e. Fund manager)

**Step 2:** The fund manager will prepare an internal draft budget consistent with the sponsor’s budget categories and will forward it to the PI **within 1 week** of notification. The fund manager and PI will then work closely to finalize the budget.

**Step 3:** Once the budget and project title have been finalized, the fund manager will initiate the applicable internal forms for PI signature. Some forms also require signatures from all key


personnel on the project and/or from the Associate Dean. All necessary signatures on applicable forms are needed prior to OCGA review.

a) **EPASS** (formerly known as the Goldenrod) – The Extramural Proposal Approval and Submission form is an internal campus form used for review and approval of extramurally funded proposals. This form requires the signatures of the PI, any Co-PIs (if applicable), and the Associate Dean.

b) **eDGE** - (formerly known as the paper 740 Form) – The Electronic Disclosure Gateway is an internal campus system used to document Conflict of Financial Interests Disclosures related to Sponsored Projects, for federal or state programs. This disclosure requires the electronic submission/approval of the PI, and all key personnel via his/her BOL login account. [https://coi.research.ucla.edu/](https://coi.research.ucla.edu/)

c) **700-U & 700-U Addendum** – Statement of Economic Interest for Non-governmental Entity. This form requires the signatures of the PI, and all key personnel.

d) **NIH/PHS PI Signature Form** – NIH requires that PI signature be obtained prior to submission and retained at OCGA to be made available to NIH upon request.

**Step 4:** It is the PI’s responsibility to provide fund managers with all the required scientific/technical components for submission. A list of required components will be provided by the fund manager. Complete/final proposals along with all signed internal forms are due to OCGA for review at least 5 working days prior to the sponsor’s deadline.

Therefore, proposal attachments are due to fund managers no later than 7 business days prior to the sponsor’s deadline. This will ensure that the fund manager has enough time to compile the proposal for mail/email submissions and/or if applicable, to upload attachments for online grant submissions.

*Subcontracts/Consortia: There are special instructions and internal forms required if proposals include subcontracts/consortia. Please discuss this with your fund manager as all sponsors may have different requirements. In general, Sub-recipients are required to submit a detailed budget, justification, Scope of Work, and Sub-recipient Commitment form to the fund manager, which will be included with the internal documents submitted to OCGA and if applicable, may be included with the actual proposal submission.*

**Step 5:** A final PDF version of the proposal will be emailed to the PI. The PI must approve the final version before it is submitted by OCGA for review.

**Step 6:** Once the review is complete and there are no further comments/changes, OCGA will submit the proposal. For all NIH, NSF, and most online submissions, only OCGA is authorized to press the “submit” button.
Post-Award Management

Award Life Cycle

It is important for each individual to understand his/her role in managing an award.

Award Set-Up (EFM/OCGA)

Once a notice of award is issued by the sponsor, OCGA/EFM will process the award and assign a fund number. The process includes:

- Enter and update basic award data in InfoEd
- Record terms and conditions
- Establish fund number and allocate funds
- Communicate information to PI and Department (via PAN and Award Synopsis)

Spending on an award cannot begin until the above have been accomplished (unless an E-RAS has been approved).

It is important that the PI and fund manager read and understand the terms of the award and take note of all progress/final report deadlines.

Electronic Request for Authorization to Spend Funds Prior to Receipt of Award (E-RAS)

A RAS is a request made by the PI to establish an account/fund number for an extramurally funded project prior to receipt of actual award from the sponsor. If the sponsor allows the university to incur pre-award costs, and when the following conditions are met, OCGA can authorize pre-award spending. OCGA confirmation of the conditions below is recorded on the E-RAS form:

- There is a confirmed, pending commitment by the funding agency
- There is an essential need to advance or commit the funds prior to receipt of the award
Other funding is available to cover the expense if there is an unanticipated delay in the start date or the agency fails to make the anticipated award.

*Please speak to your fund manager to request an E-RAS. Such requests must be approved by the Business Office Manager and Associate Dean.*

**Perform Work (PI/Department)**

The PI must perform the work according to the proposed scope of the project and spend according to the sponsor-approved budget. This may include working closely with your fund manager and Department to carry out the following activities:

- Hire project personnel
- Purchase of equipment and supplies
- Issue subawards and hire consultants
- Incur expenditures

**Monitor Project and Manage Funds (PI/Fund Manager/EFM)**

The PI, Fund Manager and EFM should work together to ensure that the project is appropriately monitored and financially managed throughout the life cycle of the award.

- Review terms and conditions of award (PI/FM/EFM)
- Reallocate funds to appropriate subs according to budget (FM/EFM)
- Reconcile ledgers (FM)
- Preparing reports and projections based on ledgers (FM)
- Rebudget/TOF (FM)
- Timely notification of changes in project personnel and expenditures (PI)
- Process expense transfers in a timely manner (FM)
- Obtain approvals (if necessary)-(PI/FM/OCGA)
- Submit technical progress reports and final reports to the Sponsor (PI)
- Submit financial reports and invoices to the sponsor (FM/EFM)

**Items that require prior Sponsor approval may include:**

- Re-budgeting
- Carry Forwards
- No-cost time extensions
- Supplements
- New subawards

**Key Players**

Many offices and individuals can be involved in the life cycle of an award. Key players include, but are not limited to:

- UC Office of the President
• UCLA Central Administrative Offices
• OCGA (Office of Contract & Grant Administration)
• EFM (Extramural Fund Management)
• OIP (Office of Intellectual Property & Industry Sponsored Research)
• OPRS (Office for the Protection of Research Subjects)
• EHS (Environment Health and Safety)
• Audit and Advisory Services
• Equipment Management
• Gift Services
• Graduate Division
• Purchasing and Accounts Payable
• Risk Management
• Department Administration
• Chair/Dean
• PI – a faculty member or researcher who is authorized under UCLA policy 900 to serve as the scientific leader or director of a project. Duties of the PI include defining and completing the scope of work, assuring scientific and financial integrity, preparing technical and scientific reports, and adhering to University policies as well as to award terms and conditions.
• Fund Manager – the administrative support team who assists the PI with fiscal and administrative management of the award including purchasing, processing reimbursements, preparing reports/budgets, preparing proposal, and closing out the award.
• Collaborators/Subawardees
• Sponsor

**Close-Out Award (PI/Fund Manager/EFM)**

The PI, Fund manager and EFM work closely to coordinate preparation and submission of the final reports. Projects are considered completed or “closed out” after the sponsor receives and approves all reports required by the terms and conditions of the award. Most common close-out reports are:

• Technical (PI is responsible)
• Financial (EFM/FM is responsible)
• Patent/Invention (OIPA and/or PI responsible)

**Related Links**

• [UCLA’s Office of Contract and Grant Administration (OCGA)](http://ocga.ucla.edu)
• [UCLA Office of Research Administration (ORA)](http://ora.ucla.edu)
• [Office of the Human Research Protection Program (OHRPP)](http://ohrpp.ucla.edu)
• [Office Intellectual Property (OIPA)](http://opi.ucla.edu)
• [Office of Extramural Fund Management (EFM)](http://efm.ucla.edu)
• [General Accounting](http://generalaccounting.ucla.edu)
• [National Institute of Health (NIH)](http://nih.gov)
• [National Science Foundation (NSF)](http://nsf.gov)