



**The University of Texas at El Paso
Office of Research and Sponsored Project
Handbook / Enchiridion**

Step 2.5: Preparation and Distribution of Notice of Award (NOA)

Purpose: Account set up

Parties Involved: Research Administrators, Principal Investigator, C&G Accounting, C&G Specialist III, Administrative Assistant, Assistant Vice President for Research and Compliance Services

Steps in the Process:

- Download Budget, save to “TOOLS BUDGET” folder on server, and make adjustments to budget as necessary (see Scenarios on following pages)
- Using the award function in the budget tool, the RA will process the award*
 - Gather information regarding award start, end, report date
- After NOA is created, RA will fill out the NOA completely, to include all restrictions, requirements, reporting, billing, etc. See Sample NOA Template. Special attention should be paid to:
 - CFDA number
 - Proposal Type
 - Subcontractor legal name as it appears on subrecipient commitment form
- RA will send the NOA award document and agency award documents to C&G through GART system
 - If NOA contains subaward(s), RA will include the Contract and Grants Specialist III as a GART team member to begin subaward process (See 2.6 Issue Subawards)
 - If award includes cost share, RA must provide cost center number, center owner contact, and written authorization to C&G
 - If funds are deposited by CFR, a note must be included in the NOA instructing the C&G Accountant to transfer the funds to the 26 account upon setup.
- C&G will set-up the award and send documents back to the RA.
- RA routes the NOA according to the distribution list:
 - PI, Co-PIs
 - Dean, Chair, Center Director (if applicable), College Administrative Officer (CAO)
 - Departmental/Center Administrator
 - Director of Compensation in Human Resources -Eva Castellano (if award subject to E-Verify)
 - Vice President for Research
 - Proposal Development Coordinator (Flo Dick)



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- ORSP Accountant (Monica Rosskopf)
- Corporate and Foundation Relations, (grants@utep.edu)
- RA will coordinate an award meeting to get the documents signed by the Principal Investigator within 2 weeks.
 - When cost share is involved, the meeting must include Director of C&G and assigned Accountant.
 - When subcontracts are involved, the meeting must include assigned Specialist and assigned Accountant.
- RA files the signed NOA and all related documents in the “Scanned Proposals” folder on the public drive for filing in Questys within 3 days using naming convention, “226XXXXXXXXA NOA”. RA closes GART item.

Summary Description: To allow research using grant funds to occur and notify all interested parties

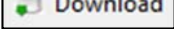


* All supplements should be processed following the steps above. A note must be included on the NOA that references the parent award and proposal number.



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Budget Tool Scenarios

Scenario 1: Allocations / Supplements

- a. Download or locate the updated budget file. 
- b. Verify budget allocation matches the agency authorization for spending
- c. Approve budget once all necessary changes are completed. 
- d. Click "Award/Reject" icon 
- e. Insert Award Information

Scenario 2: Revise Existing Allocations, 90 Day Pre-Award budget, Period of Performance, etc.

- a. Download or locate the updated budget file
- b. Revise the budget as needed for the allocation
- c. Approve the budget once you have completed all necessary changes
- d. Click "Award/Reject" icon
- e. Select the Allocation
- f. Insert Information in the Awards window as provided by the agency.



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.....Insert Information in the Awards window as provided by the agency. If you make a mistake, use this tab as well so you don't end up with duplicate awards.

Awards

ORSP number: 20110183

Award/Reject information

Proposal: Awarded Rejected

Award date: 1/6/2011

Award start: 3/1/2012 | Award end: 1/31/2013 | Final report date: 3/30/2013

Award code: Contract | Award type: Research | Anticipated total award amount: 236,147

Click button to save changes | **Upload award info**

Search

Current allocations

ID	ORSP Number	Award number	Account number	Allocation	Amount	Start	End	Amendm	Incremer	Task ord	Sub PI
2311	20110183	428650	26351093	1/6/2011	236147	1/5/2011	9/30/2011		False	25	
2953	20110183	428650	26351179	5/30/2012	134569	3/1/2012	1/31/2013	04	False	TO 25	
3329	20110183	428650	26351179	2/22/2013	50000	3/1/2012 4:1	1/31/2013 4:17:06		False		

Account number: 26-3511-79 | **Update** | **Delete** | Amount currently allocated: 420,716

Add/Edit allocations

New allocation | Edit existing allocation

Sub Title: _____

Sub PI: (NONE)

Year	Allocated	Agency	UTEP	Allocate
1	<input checked="" type="checkbox"/>	20,000	0	<input checked="" type="checkbox"/>

Allocation date: 2/22/2013 | Allocation type: Revised

Award number: 428650 | Account number: 26-3511-79

Allocation start: 3/1/2012 | Allocation end: 1/31/2013

Amendment number: 06 | Task order: _____

Allocation amount: 20,000 | **Update allocation** | **Cancel**



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Scenario 3: Allocate Budgets that are not saved with an ORSP #

When do you use this? **Agency issues partial allocations and you need to create a budget for part of the year**

The screenshot shows the 'Awards' software interface. A red arrow points to the 'ORSP number' input field. The 'Award/Reject information' section includes fields for 'Award/Reject date', 'Award start', 'Award end', 'Award code', and 'Award type'. The 'Current allocations' section is empty. The 'Add/Edit allocations' section has tabs for 'New allocation' and 'Edit existing allocation'. Below these tabs is a table with columns 'Year', 'Allocated', 'Agency', 'UTEP', and 'Allocate'. The table contains two rows of data. To the right of the table are fields for 'Allocation date', 'Allocation type', 'Award number', 'Account number', 'Allocation start', 'Allocation end', 'Amendment number', and 'Task order'. At the bottom, there is an 'Allocation amount' field and 'Allocate' and 'Cancel' buttons.

Year	Allocated	Agency	UTEP	Allocate
1	<input type="checkbox"/>	24,996	0	<input type="checkbox"/>
2	<input type="checkbox"/>	25,004	0	<input type="checkbox"/>



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Scenario 4: Changing the account number

- a. Insert the account number in the designated box and click update.

The screenshot shows the 'Awards' application window. At the top, there's a 'Proposal' section with 'Awarded' selected. Below that is a table of 'Current allocations' with one row: ID 2793, ORSP Number 20110593, Award number UTEP 11-S567-001, Account number 0, Allocation 12/13/2011, Amount 25000, Start 1/1/2011, End 1/1/2011, Amendment False, Task order, Sub PI, and Sub Title. Below the table, there are 'Update' and 'Delete' buttons. A red arrow points to the 'Account number' input field in the 'Add/Edit allocations' section, which is currently empty. The 'Amount currently allocate' is 25,000. The 'Add/Edit allocations' section also includes a 'New allocation' tab, a 'Sub Title' field, a 'Sub PI' dropdown (set to NONE), a table with columns 'Year', 'Allocated', 'Agency', 'UTEP', and 'Allocate', and fields for 'Allocation date', 'Award number', 'Allocation start', 'Allocation end', 'Allocation type', 'Account number', 'Amendment number', and 'Task order'. The 'Allocate' and 'Cancel' buttons are at the bottom right.

ID	ORSP Number	Award number	Account number	Allocation	Amount	Start	End	Amendment	Increment	Task order	Sub PI	Sub Title
2793	20110593	UTEP 11-S567-001	0	12/13/2011	25000	1/1/2011	1/1/2011	False				



To:
C&G
 Accountant: Contracts and Grants Accounting
Research
 Administrator:
 Date:

ORSP/Award Id:	
Project Id:	
CFDA # & Title:	

PI Name:		Dept:		Subdivision:		Part:	
Co-PI Name:		Dept:		Subdivision:		Part:	
Co-PI Name:		Dept:		Subdivision:		Part:	
Co-PI Name:		Dept:		Subdivision:		Part:	
Co-PI Name:		Dept:		Subdivision:		Part:	

Additional PIs in file

Submitted thru:						
Agency/Sponsor:						
Flow Down Sponsor:						
Sponsor Category:						
Project Title:						
Sponsor Award #:		Amend #:		Prime Contract #:		

Funding type:	Contract <input type="checkbox"/> or Grant <input type="checkbox"/>	Fund Code:		Function:	
THECB and R&D:		THECB Special Interest:			
NSF S&E:		NSF NON S&E:			

Date of Award:		Total Anticipated Project Amount:	
Award Start Date:		Award End Date:	Current Project Amount:
Project Start Date:		Project End Date:	Total Funds Allocated to Date:

PeopleSoft Budget Table					
G6010	Faculty Salaries Academic (FAC_SALARY_L6)		G6170	Domestic Travel (TRV_DOMESTIC L6)	
G6020	Faculty Salaries Summer (FAC_SUMMER_L6)		G6180	Foreign Travel (TRVL_FOREIGN L6)	
G6030	Staff Salaries (STAFF_SALARY L6)		G6190	Participant Expenses (PART_EXPENSE L6)	
G6040	Student Salaries (STDNT_SALARY_L6)		G6200	Participant Travel (PART_TRAVEL L6 - NON F&A)	
G6050	Fringe Benefits (BENEFIT L6)		G6210	Scholarships/Fellowships (SCHOL_FELLOW L6)	
G6080	Capital Equipment (EQUIP_CAPITL L6)		G6220	Tuition & Fees (TUITION_FEES L6)	
G6100	Consultants (CONSULTANTS L6)		G6230	Subcontracts < \$25k (SUBK < 25K L6)	
G6120	Administrative Expenses (ADMIN_EXP L6)		G6240	Subcontracts > \$25k (SUBK > 25K L6)	
G6140	Other Direct Costs (OTHER_DIRECT L6)				
G6145	Workshop/Seminar (WRKSH_SEMINR L6)				
G6150	Rent & Leases (RENT & LEASE L6)			TOTAL DIRECT COSTS	
			G6250	INDIRECT COST RATE: % F&A Base:	
				TOTAL COSTS	

Cost Share Commitments

Cost share funds expires on August 31 of each year. Cost Share budget must be fully spent within the fiscal year as no carryover of funds is allowed in cost centers. Any unmet cost share in a given year will then need to be re-budgeted and paid out of the next year's cost share account.

Contribution/Matching: PERSONNEL

Name/Title or Classification	Cost Center #	Period of Time	Percent	Salaries & Wages	Fringe	Total

[Additional Cost-Share Personnel, see Cost-Share Budget Summary]

Contribution/Matching: OTHER (Non-Personnel)

Budget Account Description	Cost Center #	Amount

[Additional Cost-Share Other, see Cost-Share Budget Summary]

Subcontracts

- Not Applicable
- Review and sign invoices in **colored** ink. Send signed invoice to subcontracts@utep.edu to initiate payment process.

Full Name of Subcontract Vendor in Miner Mail	Amount of Current Allocation

Additional Subcontracts in file (add check box) Subject to FFATA reporting FAIN number, if known (add field)

Financial Requirements

Billing Contact (Email & Phone):

Invoicing Type

- Cost Reimbursable-Monthly
- Cost Reimbursable –Quarterly
- Cost Reimbursable –LOCs (drawdown)
- Cost Reimbursable –On Demand
- Prepaid (all funds received upfront)
- Fixed –Scheduled Invoice/Payment (provide schedule below):
- Fixed-Fully Burdened Rate/Hybrid

Submission Mechanism for Invoicing

- Not Applicable Email(s) Website Hard Copy

Details:

Invoicing Requirements

- Invoice prepared by C&G Accounting (please summarize below and reference page(s) in Agreement)

Details:

- Department prepares timesheets to be verified by C&G. Timesheet must be signed by the PI and include:
1. Project number
 2. Task order number
 3. Names, number of hours worked, and hourly rates of Faculty, Staff and Students

- Other financial Requirements

Details:

Disposition of Residual Funds:

- Not Applicable (Cost-Reimbursable)
- Residual funds must be returned to the agency
- Residual funds, not to exceed 25% of total direct costs awarded, will be transferred to a project assigned by Contract and Grant Accounting subject to the same F&A Costs as the original project. Any portion of the residual balance exceeding 25% of the total award amount will no longer be available to the PI after the grant period ends.

Financial Reports

Report Type:	<input type="text" value="-Select Report Type-"/>	Deadline:	<input type="text"/>
Submission Mechanism:	<input checked="" type="radio"/> Email(s) <input type="radio"/> Website <input type="radio"/> Hard Copy		
Details:	<input type="text" value="http://orsp.utep.edu"/>		
<input checked="" type="checkbox"/> Special Requirements:	<input type="text"/>		

Report Type:	<input type="text" value="-Select Report Type-"/>	Deadline:	<input type="text"/>
Submission Mechanism:	<input checked="" type="radio"/> Email(s) <input type="radio"/> Website <input type="radio"/> Hard Copy		
Details:	<input type="text"/>		

Special Requirements:

Report Type:

-Select Report Type- ▼

Deadline:

Submission Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Report Type:

-Select Report Type- ▼

Deadline:

Submission Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Report Type:

-Select Report Type- ▼

Deadline:

Submission Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Award Restriction and Requirements

Unallowable Expenses

Standard Agency Restrictions:

-Select Sponsor-



Special restrictions, including for non-standard agencies:

Please note web links may change at any time and are not always up to date.

Budget Transfers

- No transfers allowed
- Transfers restricted [] % of total award amount
- Cannot transfer out of participant support
- Other:

- No restrictions as long as within scope of project.

All transfers must include a brief justification for the change. If your transfer does not fit within one of the restrictions above, contact ORSP to see if agency approval is possible.

Acknowledgement of award support

Details:

- No requirements

Travel

- Domestic Travel
- Foreign Travel (see [Subject to Fly America Act](#))
- Special Travel Requirements (see Prior Approvals):

Participant and Employment Eligibility

- Standard Human Resource Requirements
- Non-Standard Human Resource Requirements:

Other restriction on participant eligibility:

Export Control Regulations

- Not Applicable
- Applicable, contact Export Control Officer

Information Disclosure Restrictions

- Not Applicable
- If Yes, provide details:

Title to Equipment	<input checked="" type="radio"/> Ownership vests with UTEP <input type="radio"/> Ownership vest with the funding agency (Disposition of title): <div style="border: 1px solid gray; height: 40px; width: 100%; margin-top: 5px;"></div>
Other restrictions not listed above:	<div style="border: 1px solid gray; height: 40px; width: 100%; margin-top: 5px;"></div>

ORSP and Agency Prior Approval Requirements	
These changes must be submitted to ORSP well in advance of the agency deadline for review and submission.	
Agency Approval Authority (email & phone)	
Change of PI	<i>Usually requires written justification and biosketch/current & pending support of new PI.</i>
Carryover of funds	<input type="radio"/> Automatic <input checked="" type="radio"/> Not Automatic – <i>Contact your RA to find out what is required</i>
No-Cost Extension	<i>Requires notification and/or written justification at least 45 days in advance of end date to ORSP.</i>
Budget Transfers	<i>If prior approval is required, work with ORSP on written justification and revised budget.</i>
Other prior approvals (such as change in scope of work)	

PI Technical Reporting Requirements	
Program Officer Contact (Email & Phone):	
Report Type:	<div style="border: 1px solid gray; padding: 2px;"> -Select Report Type- Deadline: </div>
Submission Mechanism:	<input checked="" type="radio"/> Email(s) <input type="radio"/> Website <input type="radio"/> Hard Copy
	<i>Details:</i> http://orsp.utepe.du <div style="border: 1px solid gray; height: 30px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Special Requirements: <div style="border: 1px solid gray; height: 40px; width: 100%; margin-top: 5px;"></div>

Report Type:

-Select Report Type-

Deadline:

Submission
Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Report Type:

-Select Report Type-

Deadline:

Submission
Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Report Type:

-Select Report Type-

Deadline:

Submission
Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Report Type:

-Select Report Type-

Deadline:

Submission
Mechanism:

Email(s) Website Hard Copy

Details:

Special Requirements:

Closeout Requirements

- Required reports are described with more detail under PI and Financial Reporting
- Send copy of reports to closeouts@utep.edu (copy of technical reports only upon request)

Closeout Deadline:

Submission Mechanism: Email(s) Website Hard Copy

Details:

Cost Sharing Report

Final Financial Report

Final Invoice

Property Report

Final Invention/Patent Report

Final Technical Report

Requires closeout with ONR

(add check box) [Subrecipient Release Form](#)

Other reports (see below):

Other requirements to be provided here!

By signing this Notice of Award, Principal Investigator or Project Director (PI/PD) certifies that:

- Is responsible for the **programmatic management** of a sponsored project and conducts the project to meet goals and objectives while adhering to agency guidelines and university policies and procedures.
- Is responsible for the overall **financial management** of a project, reconciles project accounts against "statement of account" issued on a monthly basis, signs any required expenditure requests (electronic, hardcopy, etc.), and insures that all expenditures are directly related to the project.
- Is responsible for **subrecipient monitoring** to ensure that programmatically and financially the sub recipient is meeting project goals and objectives while adhering to agency regulations. Is responsible for reviewing, approving and signing invoices from the sub recipient in a timely manner.
- Is responsible for communicating with **Human Resource Services (HRS)** if the hiring of any personnel on their contract or grant is anticipated/expected and will not place personnel into a work environment unless all appropriate authorizations are in place and processes have been completed.
- Is responsible for the oversight of **cost share requirements** that were committed at time of proposal (either as a mandatory or voluntary commitment). PI/PD assures that he/she is responsible for the verification/certification that cost share commitments have been met.
- Is responsible to comply with **personnel effort reporting**, where the PI/PD ensures that personnel on a project have performed at the level of effort committed to the agency. UTEP uses **ECRT (Effort Certification Reporting Technology)** for semi-annual certification. PI/PD may go to: https://ecrt.mdanderson.org/ecrt_shared/initWelcome.do to begin the certification process and/or go through the ORSP website at: research.utep.edu for policies, training material and access assistance.
- PI is responsible to insure that **all** research faculty/staff and students involved in a sponsored project must complete the **Responsible Conduct in Research (RCR)** training offered through the Collaborative Institutional Training Initiative's website (CITI). Participants can access the training material directly at www.citiprogram.org or through UTEP's website at research.utep.edu.
- Assures that at any time during the project period, any perceived or real **conflict of interest (COI)** is disclosed to UTEP's Office of Institutional Compliance for appropriate disposition and management. For UTEP's policies and processes regarding COI go to: research.utep.edu

- Is responsible to follow University policies for **Intellectual Property, Human Subjects, Animal Care and Use, and Institutional Biosafety** if applicable to the project.
- Is responsible to obtain clear **reporting requirements** from agency documents, ORSP administrator, and/or award documents and submit all required reports on a **timely basis**.
- Delegate signature authority in cases of extended absence when delegation of signature is required for this project. If delegation of signature is required, such delegation will be a peer of the PI/PD.

Name and Department of Authorized Delegate (Co-PI or PI's report to):

- Delegates administrative approvals to a project manager, but does not relieve PI of his/her responsibilities for the award:

PI/PD Signature		ORSP Signature	
Date:		Date:	