

PeopleSoft Tools and Best Practices for Financial Management of Sponsored Projects

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The University of Vermont

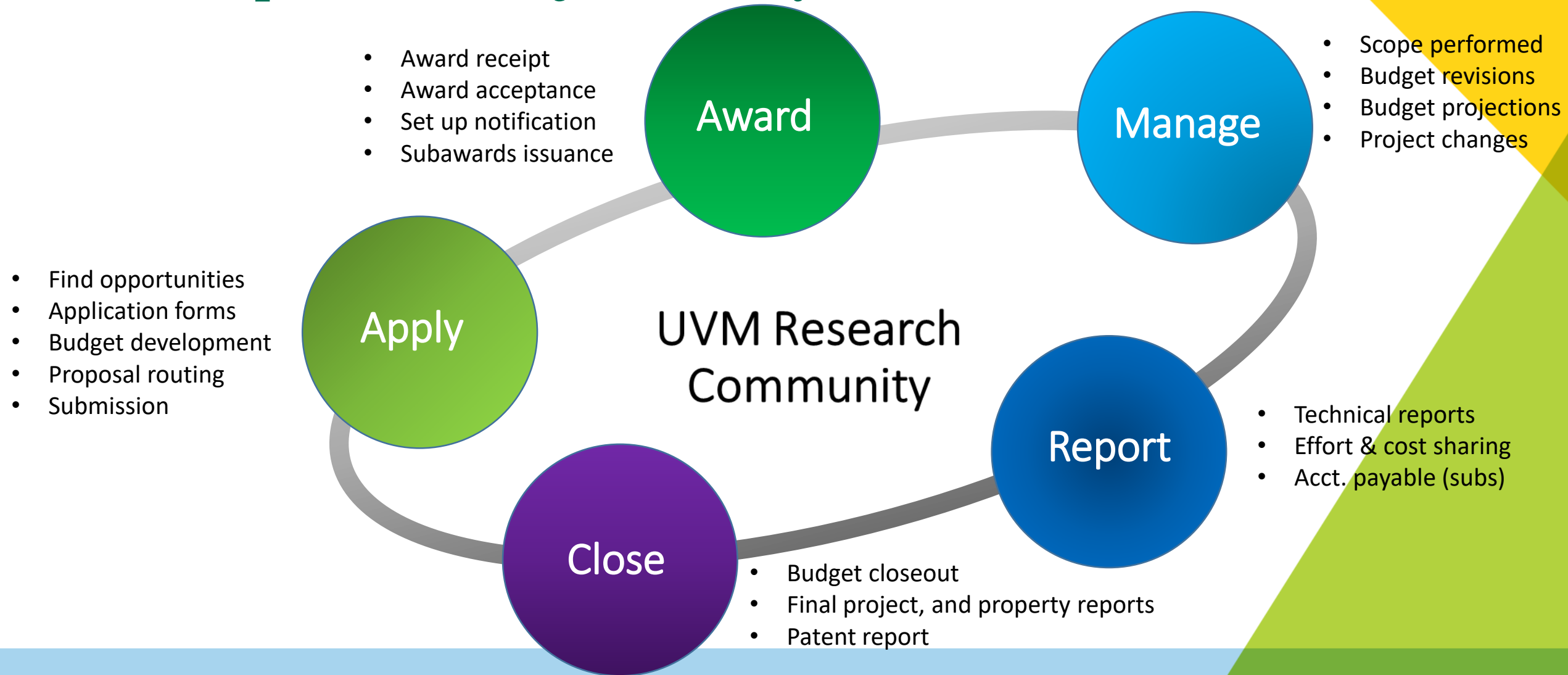
SPA EDU Offerings

Topic	Course	Date	Time
<u>Introduction to Sponsored Project Administration (PDF)</u>	POL012	Sept 10, 2020	10:30AM-12:00PM
<u>Budget Building for Proposal Development (PDF)</u>	POL034	Sept 23, 2020	10:30AM-12:00PM
<u>Out-going Subawards (PDF)</u>	POL010	Oct 14, 2020	10:30AM-12:00PM
<u>Award Transfers From and To Other Institutions (PDF)</u>	POL032	Oct 26, 2020	10:30AM-12:00PM
 <u>PeopleSoft Tools and Best Practices for Financial Management</u>	CPT075	Nov 4, 2020	10:30AM-12:00PM
<u>Sponsored Project Financial Reporting and Closeout</u>	POL024	Dec 2, 2020	10:30AM-12:00PM

Agenda

- Welcome and introductions;
- PeopleSoft tools and best practices:
 - Award receipt / setup;
 - Award / project identification;
 - Award management;
- Discussion and questions;
- Educational resources.

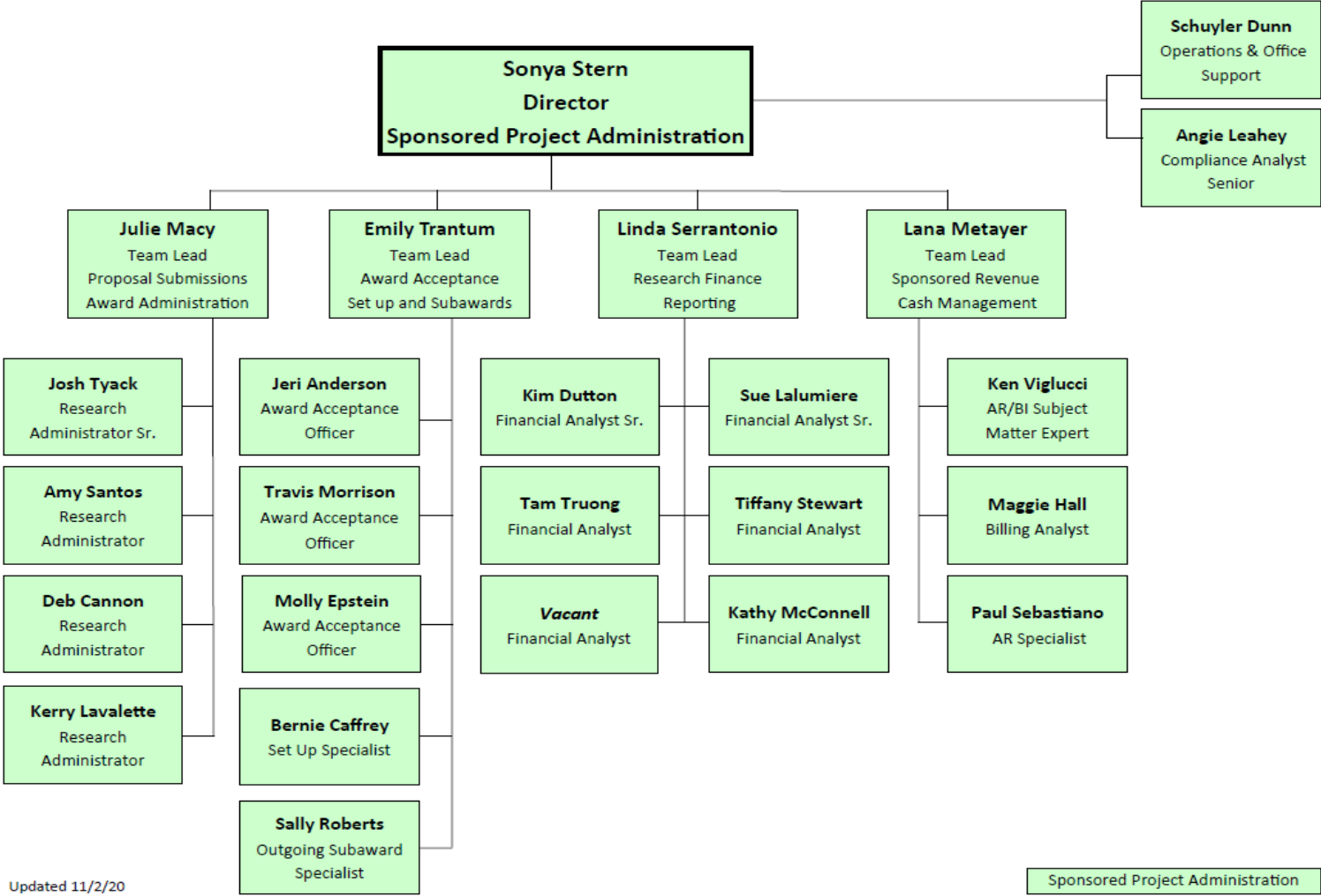
UVM Sponsored Project Life Cycle



UVM Research Community

- **300+** Active Principal Investigators (PIs)
- **100+** Departments with Sponsored Projects from **300+** Sponsors
- **\$180M+** annual volume of awards on **700+/-** award actions
- **300+** subawards issued annually
- Office of Vice President for Research
- Many supporting departments

UVM Sponsored Project Administration Organization



Updated 11/2/20

Sponsored Project Administration

Roles and Responsibilities – Unit Administrators

- A unit administrator (regardless at what level, department, dean's office or serving multiple units) provides financial, human resource, reporting and other administrative support services for Principal Investigators. Unit administrators should have a general understanding of federal and other sponsor policies and regulations, University policies and procedures, and college guidelines as they pertain to University grants and contracts.
- <https://www.uvm.edu/spa/roles-and-responsibilities-academic-unit-administrative-staff>

What are the main goals?

- Award setup:
 - Ensure award is set up correctly;
 - Implement controls / procedures to ensure effective management and reporting throughout project period.
- Award management:
 - Ensure expenses are allowable, allocable, reasonable and consistently charged;
 - Remain within the terms and conditions of the agreement, sponsor and UVM policies and procedures;
 - Ensure all interim reporting is done on time;
 - Assist with issue resolution, back-up documentation collection;
 - Request budget changes and initiate prior approval requests.

Award Receipt / Setup

- Read award document and understand terms and conditions of the agreement.
- Review award setup and contact SPA for questions or corrections.
- Request a sponsored project kick-off meeting for complicated awards.
- Run Closeout Report, Monthly Budget Report and consult PI Portal for comprehensive award and project information.
- Contact / meet with the PI to go over award details and requirements.
- Prepare salary distributions.

Award Receipt / Setup

- PeopleSoft Award Setup Notification
 - Sent by SPA once an award has been set up, modified, put on an advance account, etc.;
 - Provides basic award information;
 - If applicable, includes award notice.

Award Receipt / Setup

- Award Profile page: Main Menu > Grants > Awards > Award Profile
 - Award tab – Basic demographic information:
 - ✓ Award title
 - ✓ Sponsor's award ID / Award reference number
 - ✓ Award PI
 - ✓ Award sponsor
 - ✓ Award period
 - ✓ Associated project number
 - ✓ CFDA number = federal / federal flow-through
 - ✓ Award purpose

Award Receipt / Setup

- Award Profile page: Main Menu > Grants > Awards > Award Profile
 - Funding tab – total sponsored budget;
 - Milestones tab – financial reporting information;
 - Additional Information link – cost share summary, third party cost share;
 - Attachments link – signed invoices and financial reports;
 - Grant administrator link – assigned financial analyst;
 - Supplemental Data link – prime sponsor (if UVM is a subawardee).

Award Receipt / Setup

- Combination Code Table: HR > Main Menu > Set Up HCM > Common Definitions > Chartfield Configuration > Combination Code Table
 - Combination (Combo) Codes represent chartstrings in PeopleSoft HR system;
 - Search by PeopleSoft project ID and include history;
 - Automatically created for approximately 20 specific accounts twice per day once a salary line has been set up on any given sponsored project;
 - Deans Offices will set up any missing combo codes;
 - Combo Codes User Guide: <https://www.uvm.edu/sites/default/files/Division-of-Finance/UserGuides/combocodes.pdf>.

Award Identification

- UV_PI_AWARDS query:
 - Includes all awards ever set up in PeopleSoft – demographic information;
- UV_GM_AWARD_DEMO_INFO query:
 - Includes all projects ever set up in PeopleSoft – demographic information;
- UV_GM_FINDINGAWDTHRUREFAWD query:
 - Allows to look up PeopleSoft award number by specifying sponsor's award reference ID.

Award Administration

- Salary distributions / retros;
- Budget checking errors;
- Rebudgeting;
- Expense review;
- Journal entries.

Award Management: HR

- Job Data: HR Module > Main Menu > Workforce Administration > Job Information > Job Data
 - Provides useful employee information: FTE, department, employment terms, salary, etc.;
 - Search by first, last name, emplID, etc., and check “Include History” to see records all the way back to hire date;
 - Multiple record numbers = multiple appointments;
 - Important tabs:
 - ✓ Work Location: effective date, status;
 - ✓ Job Information: job code, FTE;
 - Common Paymaster – UVMMC appointment;
 - ✓ Compensation: comp rate, frequency.

Award Management: HR

- Department Budget Table:
 - HR > Main Menu > Set Up HCM > Product Related > Commitment Accounting > Budget Info > Dept Budget Table
 - Search by empl ID and fiscal year;
 - Includes history of distribution changes and dates the changes were entered;
 - Effective Date – the start date of the distribution;
 - Date Entered – the date when the update was made;
 - Combo Code Description tab contains link to the actual chartstring of each combination code.

Award Management: HR

- Helpful HR queries and reports:
 - UV_PAY_ERN_DIST query – HR history for any given period of time, run by project ID, empl ID, account number, etc.;
 - UV_FY_ENCUMBRANCES query – remaining encumbrances by person for any given fiscal year;
 - UV_RC_CF_USE_BY_COMBOCODE query – combo codes for any given project ID;
 - UV_DIST_PAST_PROJECT_END_DATE query – salary distributions past the end date of a sponsored project;
 - UV_TL_PAYABLE_TIME_DETAIL query – hourly staff payment detail;
 - GL_HR_ACCNTG_LN query – run in the Finance Module and includes salary information by person along with GL accounting dates.

Award Management: Budget Checking Errors

- All sponsored transactions are budget checked prior to posting;
- Budget checking occurs in the Commitment Control (KK) ledger of PeopleSoft;
- All budget checking errors must be resolved by the department.
- Review budget checking errors:
 - Main Menu > Commitment Control > Review Budget Check Exceptions;
 - Select transaction type and enter transaction number (e.g., journal entry ID, voucher number, expense report number, etc.);
 - UV_GM_KK_ERRORS_ALL query – returns all budget checking errors, sort by your department ID.

Award Management: Budget Checking Errors

- Resolve budget checking errors:
 - No Budget Exists – review transaction and correct the chartstring (if wrong); contact SPA FA if a new budget line must be added to the existing project;
 - Budget Date out of Bounds – contact FA to override, must submit documentation showing that transaction had been incurred prior to project’s end date;
 - Budget is Closed – contact FA to re-open budget if appropriate;
 - Exceeds Budget tolerance – contact FA to override; additional funding must be in process of acceptance and setup in order for the error to be overridden.
- Errors cannot be overridden once an award has been closed out and final financial report has been submitted to sponsor.

Award Management: Rebudgeting and Expense Review

- All rebudget requests must be submitted to Financial Analysts via UVMClick:
 - Provide brief description for the change needed, include rebudgeting form;
 - FA will help determine if a prior approval from the sponsor will be required;
 - In certain situations, actual rebudgeting is not necessary – the FA will simply open a new budget category at \$0.00.
 - Fill out the Direct Cost Justification Form if necessary and submit along with the rebudget request.

Award Management: Rebudgeting and Expense Review

- Review project budget and expenses in PeopleSoft:
 - PI Portal;
 - Monthly Budget Report;
 - Closeout Report;
 - Budgets Overview page (clinical trial payments detail);
 - Queries: UV_GCA_PROJ_RESOURCE and UV_GCA_PROJ_RES_EXP_BY_CONTRAC.

Award Management: PI Portal

- Data warehouse showing demographic, up-to-date budget, encumbrance and expense (summary and detail) information on a selected sponsored project or award;
- Search engine;
- PI landing page configured based on Project Manager role;
- Cost share:
 - Budgeted cost share only;
 - Does not include waived F&A or third party match.
- [Additional information and user guide.](#)

Award Management: PI Portal

- PI landing page – available to the Project Manager upon logging into PeopleSoft.

PI Portal

My Active Sponsored Projects & Recently Expired (for 120 days post expiration date)

Data is refreshed nightly. Expenses in progress, such as PurCard purchases, may not be reflected.

To download to Excel, click the Full Query Results link at the bottom of this page.


Project Manger	PS Project	PS Award	Title	Sponsor	Sponsor Award ID	Start Date	End Date	Budget	Open Encumbrance thru 6/30	Expenditures to Date	Direct Remaining	F+A Remaining	Total Amount Remaining	PI Portal Search
Bongard,Joshua C.	029765	000028095	Is Evolvability Driven by Emergent Modularity? Biomimeti	Vassar College	NSF134.A	01/01/2014	12/31/2018	461,783.00	.00	456,720.96	3,320.20	1,741.84	5,062.04	PI Portal Search
Bongard,Joshua C.	032174	000030468	Morphological Plasticity for the Design, Control, and De	US Department of the Army/DOD	W911NF-16-1-0304	05/01/2016	04/30/2019	400,000.00	.00	394,134.01	4,302.85	1,563.14	5,865.99	PI Portal Search
Bongard,Joshua C.	035603	000033125	EFRI C3 SoRo: Programmable Skins for Moldable Robots	Yale University	GR104715 (CON-80001519)	10/01/2018	09/30/2019	119,998.00	13,923.30	29,637.79	46,264.19	30,172.72	76,436.91	PI Portal Search
Bongard,Joshua C.	034524	000032410	Somatic Computation via Bioelectricity for Novel	Tufts University	DOD060	02/01/2018	01/31/2020	123,087.00	5,823.75	61,014.28	35,128.71	21,120.26	56,248.97	PI Portal Search
Bongard,Joshua C.	034900	000033319	To lower barriers to large-scale research computing	The Alfred P. Sloan Foundation	G-2018-10075	06/01/2018	05/31/2021	683,273.00	46,808.61	125,750.91	484,834.66	25,878.82	510,713.48	PI Portal Search

[Full Query Results](#)

Award Management: PI Portal


- PI Portal Search engine: Main Menu > Grants > PI Portal

Favorites | Main Menu > Grants > PI Portal Home | Worklist


 The University of Vermont
PeopleSoft Finance 9.2

Sponsored Summary


PI Portal: Sponsored Project Search


PS Project # 


Project Manager (Last,First or Partial)

PS Award ID 


Award PI (Last,First or Partial)


Department 

College 

Sponsor Name 

Sponsor Award ID (or Partial)

Start Date Greater than or = 

End Date Less than or = 

Project Status

All

Active and Expired up to 120 days ago

Award Management: Project Monthly Budget Report

- Main Menu > UVM Reports > Budget Reports > Monthly Budget Rpt – Projects
- Review monthly for budget vs. actuals, encumbrances, possible unallowable expenses;
- Most useful for multi-project awards;
- Information comes from the General Ledger:
 - Transactions that were budget-checked but not posted will not be included;
 - SPA financial reports and invoices will reconcile to PMBR;
- Detail report – individual transactions (must be run for individual fiscal year);
- Summary report – includes budget and expenses from project start date, serves as back-up for journal entries;
- [Comprehensive user guide - Monthly Budget Report](#) (pages 11 – 25):

Award Management: Project Monthly Budget Report

Projects Monthly Budget Report

Run Control ID MONBUDREP Report Manager Process Monitor

Language

Required Parameters

*Fiscal Year *Period From July to *Period To June

Output Options

Transaction Detail in XLS Transaction Detail in PDF Include Closed Projects?
 Financial Data in XLS Include Payroll Detail End Date Between and
 Non-Sponsored at Detail Level? Include PO Summary

Projects Personalize | Find | First 1 of 1 Last

Project	Description	Include Net Assets
1 <input type="text"/>		<input type="checkbox"/>

Awards (Sponsored Projects Only) Personalize | Find | First 1 of 1 Last

Award	Description	Award PI
1 <input type="text"/>		

Principal Investigator (Sponsored Projects Only) Personalize | Find | First 1 of 1 Last

PI Id	Name	Inclu. Co-PI Awards
1 <input type="text"/>		<input type="checkbox"/>

Awarded Department (Sponsored Projects Only) Personalize | Find | First 1 of 1 Last

Department	Description
1 <input type="text"/>	

Award Management: Closeout Report

- Closeout Report: Main Menu > UVM Reports > Closeout Report
 - Comprehensive snapshot of award's demographic information, project budget, expenses, cost share, encumbrances by name, pending transactions, budget checking errors, open POs, etc.;
 - Salary is encumbered through the end of the current fiscal year only;
 - Run by project ID or award number at least quarterly;
 - [Comprehensive user guide – Closeout Report](#) (pages 26 – 39)

Award Management: Closeout Report

UVM Closeout Report

Run Control ID Closeout Report Manager Process Monitor Run

Report Request Parameters

Projects
Business Unit:

Project:

Award ID:

Project or Chartstring Option
 By Project/Award By Chartstring

Check to Include F and A Errors and F and A Not Calculated

Include Payroll Encumbrance Information By Person

Award Management: Budgets Overview

- Budgets Overview: Main Menu > Commitment Control > Review Budget Activities > Budgets Overview
 - Most useful to get payments / revenue detail information for budget bump or program income projects;
 - ✓ Budget Bump projects – fixed rate projects where sponsor pays a fixed rate per the number of agreed upon units (e.g. per patient enrolled, per blood or tissue sample, etc.).
 - ✓ Program Income projects – generate income from research related activities (e.g. conference registration fees on a conference grant).
 - Budget equals the amount of payments received.
 - View payments in the Budgets Overview page – recognized revenue, which can be drilled down to see individual payments or journals.
 - Must set up a run control to create the report.

Award Management: Budgets Overview

Budget Inquiry Criteria

Budget Overview

Inquiry BUOVERV

Description



Amount Criteria

Ledger/Activity Log Integrity

Act Log Internal Integrity

Budget Type

*Business Unit

Ledger Group/Set

Ledger Group

View Stat Code Budgets

Display Chart

Sponsored Projects Revenue

Time Span

*Type of Calendar

Budget Criteria

Personalize | Find | View All | |

First 1 of 1 Last

Select	Ledger Group	Calendar ID	From Budget Period	To Budget Period	Include Adjustment Period(s)	Include Closing Adjustments
<input checked="" type="checkbox"/>	SP_REV	1B	<input type="text" value="1"/>	<input type="text" value="1"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

ChartField Criteria

ChartField	ChartField From Value	ChartField To	Info	ChartField Value Set	Update/Add
PC Bus Unit	<input type="text" value="%"/>	<input type="text" value="%"/>		<input type="text"/>	Update/Add
Project	<input type="text" value="035067"/>	<input type="text" value="035067"/>		<input type="text"/>	Update/Add
Activity	<input type="text" value="%"/>	<input type="text" value="%"/>		<input type="text"/>	Update/Add

Budget Status

- Open
- Closed
- Hold

Award Management: Expense Queries

- UV_GCA_PROJ_RESOURCE and UV_GCA_PROJ_RES_EXP_BY_CONTRAC:
 - Shows expense information only (no budgets or encumbrances);
 - Used by SPA Financial Analysts to prepare all financial reports;
 - UV_GCA_PROJ_RESOURCE – run by project ID;
 - UV_GCA_PROJ_RES_EXP_BY_CONTRAC – run by project or award ID.

Award Management: Journal Entries

- Main Menu > General Ledger > Journals > Journal Entry > Create/Update Journal Entries;
- [Journal Entries - User Guide](#);
- Must have valid (V / V) status prior to being reviewed by SPA;
- [Cost transfer form for non-payroll transactions](#);
- PDF of Monthly Budget Report (detail) showing the original transaction(s) must be attached;
- UV_GL_NOT_POSTED_JRNLS_BY_DEPT query – journals that have not yet posted along with their status;
- All SPA journals are reviewed and approved by Financial Analysts and posted by a Team Lead;
- Late Cost Transfers must be approved by the PI prior to posting.

Audience Participation - FAQs

- **Question 1:** You are processing a purchase order for research subjects under participant support budget line (F6101) and receive a no budget exists error. What do you do to determine your action needed?
- **Answer 1:** First you should review your award document and budget to determine if they should be participants or research subjects. If they are actually research subjects, you would contact purchasing to correct the account to research subject payments. If they should be participants, then you need to contact your FA to add the participants budget line if appropriate.

Audience Participation - FAQs

- **Question 2:** You are processing an expense report and receive a budget date out of bounds errors on one of the sponsored projects lines. What do you do?
- **Answer 2:** You would confirm the expense was incurred within the project period. If it was, you would contact your FA to have the error overridden. If the expense was incurred after the end date of the project, you will need to allocate it to a different unrestricted budget.

Audience Participation - FAQs

- **Question 3:** You are trying to determine if one of your projects requires a direct cost justification form to be completed on normally indirect costs. Where can you quickly find this information?
- **Answer 3:** You can go to PeopleSoft Award Profile page: Main Menu > Grants > Awards > Award Profile. If there is a CFDA number listed and the purpose is research, instruction or public service, a DCJF is required.

Audience Participation - FAQs

- **Question 4:** You are trying to confirm when financial reports are due on one of your projects. Where can you find all financial reports due for a particular project?
- **Answer 4:** You can go to PeopleSoft Award Profile page: Main Menu > Grants > Awards > Award Profile. Then click on the milestone tab. This will list all financial reports and due dates for this award.

PS Finance Reports and Pages Summary

	Award Profile	PI Portal	Monthly Budget Report	Closeout Report	Budgets Overview
Demographic Info	x	x		x	
Sponsored Budget Total	x	x	x	x	x
Sponsored Budget Summary		x	x		x
Costshare Budget		x	x	x	x
Reporting Milestones	x			x	
FA Assignment	x			x	
Reports / Invoices	x	x			
Expenses Total		x	x	x	x
Expenses Summary		x	x	x	x
Expenses Detail		x	x		x
Multiple Projects View	x		x	x	
Clinical Trials Revenue Totals		x	x	x	x
Clinical Trials Revenue Details					x
HR Distribution Info		x			
Budget Errors				x	
Pending Transactions (not in GL)				x	x
Encumbrance Info		x	x	x	x
F&A Rate		x		x	
Distributions Past End Date		x		x	
Open P.O.s and Requisitions				x	

Educational Resources Available - NCURA

The National Council of University Research Administrators (NCURA) strives to make advances in the field of research administration through professional development, the sharing of knowledge, and by fostering a sense of community via multiple venues:

<https://onlinelearning.ncura.edu/> Tutorials, on-line publications, magazine, industry news are available to NCURA members

<http://www.ncura.edu/travelingworkshops/Home.aspx> These workshops are taught by experienced leaders in the areas of compliance, department research administration, global research management, post-award administration and pre-award administration; the expertise depends on the workshop.

<https://onlinelearning.ncura.edu/free-resources> Education available to the public at no cost, NCURA membership is not required

Educational Resources Available - RACC

Research Administrators Certification Council (RACC) is an independent non-profit organization composed of active certified research administrators whose role is to certify that an individual, through experience and testing, has the fundamental knowledge necessary to be a professional research or sponsored programs administrator.

<http://www.cra-cert.org/>

Educational Resources Available – Federal

Federal Demonstration Partnership (FDP) is a cooperative initiative among 10 federal agencies and 154 institutional recipients of federal funds and is a program convened by the Government-University-Industry Research Roundtable of the National Academies. Its purpose is to reduce the administrative burdens associated with research grants and contracts. Many institutions utilize FDP's templates, including one for outgoing subawards <http://thefdp.org/default/subaward-forms/>

National Institute of Health publishes YouTube videos which cover all sorts of information relevant to NIH grants <https://www.youtube.com/user/nihgrants>

QUESTIONS