PeopleSoft Tools and Best Practices for Financial Management of Sponsored Projects

Presented by Lana Metayer
Team Lead, Sponsored Revenue and Cash Management, SPA
November 6, 2019
## SPA EDU Offerings

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Open Labs

- Tuesday, 12/3/19 1:30-3:30PM, Waterman 427A
- Tuesday, 12/6/19 1:30-3:30PM, Waterman 427A
- Tuesday, 12/10/19 1:30-3:30PM, Waterman 427A
- To sign up, email Linda.Serrantonio@uvm.edu
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

- Award receipt
- Award acceptance
- Set up notification
- Subawards issuance

Apply

• Find opportunities
• Application forms
• Budget development
• Proposal routing
• Submission

Award

• Scope performed
• Budget revisions
• Budget projections
• Project changes

Manage

• Technical reports
• Effort & cost sharing
• Acct. payable (subs)

Report

• Budget closeout
• Final project, and property reports
• Patent report

Close

UVM Research Community
UVM Research Community

- 300+ Active Principal Investigators (PIs)
- 100+ Departments with Sponsored Projects from 300+ Sponsors
- $140M+ annual volume of awards on 700+/− award actions
- 300+ subawards issued annually
- Office of Vice President for Research
- Many supporting departments
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](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

• 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, budget worksheet and PeopleSoft chartstring report;

• Contact your FA to be added to setup notifications for your department.
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 – InfoEd number (for CON awards), cost share summary, third party cost share;
  ➢ Attachments link – Signed invoices and financial reports;
  ➢ Grant administrator link – Assigned financial analyst.
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;
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:
  
  ➢ Provide brief description for the change needed;
  
  ➢ 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_RESRESOURCE 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.
Award Management: PI Portal

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

Report Request Parameters

Projects Business Unit: GCA01

Project:
Award ID

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

Include Payroll Encumbrance Information By Person

Project or Chartstring Option

By Project/Award
By Chartstring

Run
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**: BUDOVERRIDE
- **Description**

**Amount Criteria**

**Budget Type**

- **Business Unit**: UVN201
- **Ledger Group/Set**: Ledger Group
- **Ledger Group**: SP_REV

**Time Span**

- **Type of Calendar**: Detail Budget Period

**Budget Criteria**

- **Select**
- **Ledger Group**: SP_REV
- **Calendar ID**: 16
- **From Budget Period**: 1
- **To Budget Period**: 1
- **Include Adjustment Period(s)**: 
- **Include Closing Adjustments**:

**ChartField Criteria**

- **ChartField**: PC Bus Unit
- **ChartField From Value**: %
- **ChartField To**: %

- **Project**: 035067
- **Activity**: %

**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 SPA Director 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.
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.
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.
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

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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
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/
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/](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](https://www.youtube.com/user/nihgrants).
QUESTIONS