



Grant Coordinator Meeting

KU Office of Research
August 23, 2018

KU THE UNIVERSITY OF
KANSAS

Proposal Types

PS Proposal Type	SL Proposal Type
Pre-Proposal	New/Pre-Application
Preliminary proposal submission (LOI, NOI, Concept Paper). Follow up full proposal is anticipated.	
New	New/Application
Complete proposal submission. Scope and budget not previously proposed. May be associated with a Pre-Application record.	
Revision	REVISION/Supplement
Significant revision to scope or budget of pending complete proposal submission. Must be associated with a Pending IP#	
Resubmission	Resubmission
Resubmission of a complete proposal submission. Must be associated with a Not Funded IP#	

PS Proposal Type	SL Proposal Type
Competing Continuation	Renewal
Complete proposal submission that continues an awarded and complete or soon to be complete body of work. Must be associated with a Funded IP#.	
Supplement	Revision/SUPPLEMENT
Scope and budget not previously proposed to augment an existing award. Must be associated with a Funded IP#.	
Noncompeting Continuation	Continuation
Progress report submission, or other proposal action required to release out-year funding for an existing multi-year award. Must be associated with a Funded IP#.	





Additional Terms & Definitions

Incremental Funding

When a sponsor makes a multi-year award, but funds are released in segments rather than all at once.

Nesting

When a single award ID contains multiple projects.

Modification

Revision to an existing award/contract resulting in a nested project



Questions to ask

Does this proposal continue an existing body of work?

Has this scope of work, duration, and budget been proposed before?

Has a funding decision been made on the proposed scope of work, duration, and budget?

If awarded, have all years been awarded at once or will the award come in one year at a time?

Will subsequent years be modifications of that award, or a new contract?





Cost Share F&A

When F&A for cost share is required for funds provided by KUCR or departmental funds (918 and 928) – the F&A is collected on Fund 950.

At conversion, F&A rates associated with the sponsor fund were applied to the cost share funds – this was not an intended outcome.

F&A rates corrections are being worked through as we are made aware of them and manual F&A adjustments need to follow accordingly.

Other cost share conversion issues are being worked through by either FMS or by PAS if possible.





Project Owning Organizations

Formerly known as the Administrative (Admin) Unit on the pre FITC Sponsored Project Budget Summary.

This unit is identified by the Principal Investigator at the proposal stage and transfers to the award from Streamlyne.

The cost center or project owning ID identifies the unit that will receive credit for the sponsored award and becomes a portion of the accounting string for the project number.

The number is used when reporting for PI and departmental research for institutional reporting.

If using a newly created cost center for an administrative unit or project ID, it needs to be noted as a Project Owning Organization in the financial system when the cost center is created.



Project Owning Organizations

As part of the accounting string for the project, this number is also used in creating the “combo code” for payroll appointments.

The project number and associated accounting string is provided to the Financial Management System team for uploading to HR/Pay and the General Ledger. This is a nightly task for all awards and project numbers created that day.

The combo codes are created from the details on the budget summary which are pulled from the financial system.

Usually once a budget summary is reviewed is when the potential arises for a new or different project ID which should be by direction of the PI and/or department/research center since it affects research reporting.





Project Owning Organizations

When changing this id, a new project number will need to be created – a request will need to be logged and changed by the set up team. A budget summary will need to be created for the new project number and notification of change on the old project number.

Why a new project number? The new project number will decrease potential for use of incorrect combo code and subsequent RFAs. This is applicable even if no expenses on the project.

Combo Codes can be disabled however this should only be done if all payroll is posted or any potential of additional activity on the combo code has ended.

Use of a deactivated combo code can cause unintended serious payroll system problems.





Exception Process

Due to budgetary controls on projects, the project module (PPM) will not allow a project to be overspent or a cost to post outside project performance period.

OAC does not pull data from the PPM so it can “reflect” an over expenditure.

F&A however will not be reflected for an expense if the project cannot accept the expense.

PAS will work the payroll exceptions and SSCs will be contacted to request either cost transfers or change of funding on procurement transactions to accommodate the over-expenditures or date issues.

Procurement transactions will be provided to PAS by FMS or Fiscal Affairs.





Exceptions

Our goal is to have the correction in place within two weeks of being contacted. If we do not receive correction information within 2 weeks of a request, we will start the process of using default funding (PI 906 account, or Center account if no PI account).

Overspent projects cannot be billed until the expense has cleared.

Currently OAC does not reflect the exceptions or information from PPM but discussions are ongoing with the BIC.



No Cost Extensions

Definition: A No Cost Time Extension (NCE) is a modification to the award extending the time allowed to complete the project. There will be no additional funding requested from the sponsor.

Review the project to determine if the NCE is appropriate:

1. Further work needs to be done on the project, and
2. There is an unspent balance that will be sufficient to cover the work, and
3. NCE is allowable under terms of agreement

Please contact or refer the PI to Post Award Services to begin process with the sponsor to minimize administrative burden for PI.

The Office of Research will be updating forms and processes on website.





Provisionals

When expecting funds but a fully executed contract is not yet available or Notice of Award has not yet arrived, and work needs to continue, please request provisional to establish a project number to charge expenses.

https://research.ku.edu/provisional_awards_procedures

<https://policy.ku.edu/research/provisional-sponsored-project-award-establishment>

Provisionals are encouraged but does require financial support by the department, school or research center.

If needed for payroll keying please provide timelines to assist in prioritization.



Post Award Restructure

Project Prefix	Assigned
DED	Joanne Eden
FED	Tracie Watkins
FND/NFP	Michael Blocker
FOR/IND/INS	Jun Fu
KAN (LSI, SW, AAI, EDU)/STE/SKS	Aletha Beard
KAN (Other)	Betty Scheetz
NIH	Shelley Gehrke
NSF	Matt Dollar
UNI	Jennifer Tomes
Email; backup	Linda Bruce
Email pas@ku.edu for all questions/inquiries	
Please include prefix/project number in email subject line (if applicable)	





Post Award

Questions?



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Reporting Updates

Clarification of OAC Source

- 'Gross and Fringe' has payroll expenses originating in HR Pay/G&F
- 'Financials' has the same payroll entries from HR Pay/G&F interfaced into the GL in FITC
- Both sources all contain non-payroll expenses and also any payroll expense that does not originate in HR Pay (e.g. 640s, old GTA Health Insurance, etc.)
- Please use “Financials” source when compiling financial data for project review or reporting

Views in OAC

- Drill-down access is determined by access in FITC
- Post Award staff do not have access to P2P or Concur, so have no drill down access
- When invoicing or reporting needs supporting documentation, PAS staff may reach out for assistance in obtaining these documents





Reporting Updates

OAC Known Issues

- Project Owning Organization: FITC bug does not allow the project-owning unit to consistently update if changed after project is set-up, which causes the "Project Org ID" field to not display correctly in OAC . Budget Summary should be used to reference the correct project-owning organization.
- Dates on analysis: when exporting to the "Excel 2007+" selection, date fields may change to display 1 day earlier. The work around is to export the data as a "CSV" formatted file.
- Transaction dates: Research Management dashboard of OAC is based on GL, which uses accounting date. All invoicing in PPM/Grants module is based on expenditure item date, which may not match the accounting date
- Accounts Receivable Information: Office of Research and BIC are working on AR report that will show invoice aging and invoice/AR history.



System Reminder: Expenditure Item Date

Expenditure Item Date must be updated 3 places in the P2P for it to correctly interface with the PPM (grants) module:

1. On the Invoice line:

Update the Budget Date

Budgetary Control				
Accounting Date	Prorate Across All Item Lines	* Budget Date	Status	
08/14/2018	<input type="checkbox"/>	08/13/2018	Not attempted	

System Reminder: Expenditure Item Date

2. On Manage Distributions:
 - 2a. Update Budget Date

The screenshot shows the 'Manage Distributions' window with the following data:

Line	Distribution	Type	Amount	Budget Date	Status	Validation	Accounting	Number	Line	Schedule	Distribution
1	1	Item	10,526.25	08/13/2018	Not attempted	Needs revalidation	Unprocessed				

Summary statistics:

- Distributions Total Amount: 10,526.25
- Remaining Amount: 0.00
- Line Amount: 10,526.25

Buttons: Save and Close, Cancel

- 2b. Update Expenditure Item Date

The screenshot shows the 'Manage Distributions' window with the following data:

Line	Distribution	Type	Amount	Task Number	Expenditure Item Date	Expenditure Type	Expenditure Organization	Contract Number	Funding Source	Details
1	1	Item	10,526.25	1	08/13/2018	538010-RE	2930000-BC			

Summary statistics:

- Distributions Total Amount: 10,526.25
- Remaining Amount: 0.00
- Line Amount: 10,526.25

Buttons: Save and Close, Cancel



NSF OIG Audit Update

6 compliance findings—have to strengthen administration and management controls and processes around:

- Expenditures
 - near the end of an award (90 days)
 - allocation of split funded costs
 - travel costs
 - participant support
 - promotional items and advertising costs
- Document retention
- Funding requests
- Pre-award spending





RA 101 Schedule

Planned Date	Planned Topic	Planned Presenter
Thursday, September 20, 2018	Research Admin & Research Administration Systems	Alicia Reed
Thursday, October 18, 2018	Compliances-RI (COI, humans (single IRB, clinical trials, GDPR), animals)	Research Integrity
Thursday, November 15, 2018	Export Control & EHS	Export Control/EHS
Thursday, January 17, 2019	Financial Compliances (Subawards and Purchasing)	Fiscal/PAS
Thursday, February 21, 2019	Award Actions (Scope of Work Changes-carryforward, NCE, budget adjustments)	Post Award
Thursday, March 21, 2019	Cost Share	Pre-Award/Post Award
Thursday, April 18, 2019	Effort	Post Award
Thursday, May 16, 2019	Balancing Customer Service and Compliance	Research Administration





Chart Field 1 (CF1) Best Practices

- Takes ~3 business days for CF1 to be established; **plan accordingly** when combo codes are needed for immediate payroll keying.
- CF1 will not be automatically set up if a unit is planning to always use CF1 for projects; will need to **utilize combo code request form** (Funding Setup Request Form)
- **Only 1 CF1 per combo code**, so caution must be utilized when planning what to track with CF1 on projects Vs. department/Center/School tracking needs
- **Budgeteers and project administrators must agree** Strategic Naming (Ex: students, using their first/last name, etc.--set up correlation for long term use)





CF1 Use on Sponsored Projects

FITC Cost Tracking

- FITC PPM can accept CF1, but transactions to associate F&A with the project cannot have CF1
- F&A amount in GL and the revenue recognition in GL will not have the CF1 affiliation

FITC Project Management

FITC cannot track sponsored project credit at the CF1 level

eCRT

eCRT system, used to report effort across campus, cannot do so at CF1 level.

Retro-active Funding Adjustments

- No RFAs to adjust only the CF1 will be processed.
- RFAs with combo codes will not work with CF1 prior to 5/20/18





Reminders & Questions

Procurement Micro-Purchase Increase

Threshold increased to \$10,000 for sponsored projects
Must provide 3 quotes

Next Grant Coordinator Meeting: November 8, 2018

Questions?

Any additional questions: email amreed@ku.edu





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