TOOLS FOR POST-AWARD GRANT MANAGEMENT

Using data to better understand and manage your grant portfolio

March 12, 2020

OBJECTIVE

This session will explore reporting tools available to PIs and Administrators to assist with the management of grant funds. Participants will gain insight on how to find, report and understand data collected and generated within NAU business processes, and how to use that information to better understand and manage restricted funds.
NOTICE OF AWARD ACTION

NOTICE OF AWARD ACTION IN PEOPLESOFTH

Date: 02/03/2020  Type of Action: Activation  Contract #: 20.0048
Primary Project ID: 1004159  Speedchart: Q 1004159  Department ID: 2780000
Principal Investigator: Joshua Emery  Dept. Name: Astronomy

Agency Name: NASA  Award Number: 80NSSC20K0291
Project Title: Search for OH/H2O on NEOs

Period of Performance:

<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
<th>Current Budget</th>
<th>Previous Budget</th>
<th>Cumulative Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Activation Outreach

Emery Project 1004159 Budget

<table>
<thead>
<tr>
<th>Account Class</th>
<th>Distributed</th>
<th>Not Distributed</th>
<th>Budget Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>711 - Salary Expense</td>
<td>$40,427.00</td>
<td>$15,823.00</td>
<td>$56,250.00</td>
</tr>
<tr>
<td>Salary &amp; Wages</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>713 - Student Wages</td>
<td></td>
<td>$9,500.00</td>
<td>$9,500.00</td>
</tr>
<tr>
<td>Student Wages</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>714 - Work Study</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>715 - Graduate Assistants</td>
<td></td>
<td>$14,252.00</td>
<td>$14,252.00</td>
</tr>
<tr>
<td>Graduate Payroll</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>720 - Employee Related Expenses</td>
<td>$15,038.00</td>
<td>$17,997.00</td>
<td>$32,835.00</td>
</tr>
<tr>
<td>Fringe</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>730 - Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operations</td>
<td>$650.00</td>
<td></td>
<td>$650.00</td>
</tr>
<tr>
<td>750 - Professional &amp; Outside Services</td>
<td></td>
<td>$1,400.00</td>
<td>$1,400.00</td>
</tr>
<tr>
<td>Consultant Services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Publication Costs</td>
<td></td>
<td></td>
<td>$1,400.00</td>
</tr>
<tr>
<td>Supplies</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
NEW AWARD ACTION OR MODIFICATION

Questions:
– Is Financial Department set correctly?
– Correct Principal Investigator?
– How much funding is available?
– Is the budget distributed as expected?
– Is there a cash cost-share commitment?
– What is the Period of Performance?
– Who is the sponsor?

Answers:
– NAU PI Dashboard
– Enterprise Reporting (ERS)

REPORTING SYSTEMS @ NAU

NAU PI Dashboard: for Principal Investigators
in.nau.edu/osp/ - follow the link in the right column

Office of Sponsored Projects
The Office of Sponsored Projects (OSP) is the university’s centralized office responsible for authorizing extramural funding proposals submitted to sponsors, negotiating with sponsors, and accepting awards. It has the institutional responsibility for ensuring the Arizona Board of Regents (ABOR), the public, and the Federal government that the University has in-place systems and best practices for internal controls and accountability for sponsored project funds awarded to NAU.

The Sponsored Project Lifecycle
OSP has adopted a lifecycle management approach to research administration. This means that teams within our office are organized to manage proposals from submission to completion. See the sponsored project lifecycle for more details.
I’m a Principal Investigator and I want a quick financial summary of my Projects
• (for PIs only)

• Summary of Active Projects
  – Project ID
  – Full and Short Titles
  – Award Type
  – Sponsor Name
  – Start and End Dates
  – Current budget
  – Posted Expenses and Encumbrances
  – Available balance

• Click any Project to see
  – Budget / Expenses / Balance
    • by Account Class
  – Project Team Members
    • Including Fund Manager
    • Click name to send an email

email NAU-OSP@nau.edu for access

Enterprise Reporting (ERS): for all of Campus (with a need to know)
https://in.nau.edu/its/enterprise-reporting/
ENTERPRISE REPORTING (ERS)

COMMON FEATURES OF ERS REPORTS

- **Top Menu:**
  - Export Results
  - Refresh

- **Left Menu:**
  - Navigation Map
    - list of contained report
  - Input Controls
    - limit results
  - User Prompt Input
    - re-run report

- **Report Headers**
  - Project ID
  - PI Name
  - Financial Department ID
  - Chartfield Values
  - Start and End Dates
(Shortcut to) Grant ITD Status of Funds

- Expenses tab (by Account Class)
  - Current Budget
  - Posted Expenses to Date
  - Encumbered Funds
  - Available Balance

- Cost Share Expenses tab (by Fund and Acct Class)
  - Current Budget
  - Posted Expenses to Date
  - Encumbered Funds
  - Available Balance

Grant Status of Funds-Associated Projects

Large or Complicated Award with Multiple Projects
Similar to ITD Status of Funds
Associated by Cayuse/Contract number

- Combined Summary tab
  - Award Level, multiple projects combined

- Associated Projects tab
  - Project Level (by Project ID, Fund Code)
**GRANT SPEEDCHARTS AND FINANCIAL CODE DESCRIPTIONS**

Reference Tool for Posting Transactions: what is the right coding?

- Project SpeedKeys (SpeedCharts)
- Acct Class-Acct Code Roll Up
  - Shows associations in PeopleSoft Grants Module
    - Differs from State / Local associations
- Fund Codes
- Item Category and Acct Codes
  - Shows associations

**GRANT MONTHLY INCEPTION TO DATE SUMMARY**

Monthly Reconciliation of Posted Expenses

A Status of Funds Report

- Similar to ITD Status of Funds with additional breakout
  - Accounting Period expense summary – “Current Month”
  - Fiscal Year to Date expense summary – “YTD Actual Expense”
  - Expense summary thru previous Fiscal Year
  - Fiscal Year to date expenses – thru the accounting period input
**GRANT TRANSACTIONS / GRANT TRANSACTION STATE AND LOCAL**

Transaction Details for reconciliation / close-out preparation

- **Cash Expenses tab**
  - Each posted transaction, by Account Code
  - Use Input Controls to limit results
    - Account Class
    - Account Code
    - Fiscal Year, Accounting Period
    - Commonly allowed/disallowed
  - Use this report to support IDT journal transfers

- **Vendor PO History tab**
  - Transaction Details by Vendor
    - if paid by RQ/PO/RC process
  - Very useful for Projects with one or more sub-awards

**COMMONLY DIS-ALLOWED ACCOUNT CODES**

<table>
<thead>
<tr>
<th>Account Code</th>
<th>Account Description</th>
<th>Account Code</th>
<th>Account Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>730100</td>
<td>Office Supplies</td>
<td>740000</td>
<td>Other Insurance</td>
</tr>
<tr>
<td>730190</td>
<td>Staples Office Supplies PCard</td>
<td>740110</td>
<td>Utilities Electric</td>
</tr>
<tr>
<td>730110</td>
<td>Other Material and Supplies</td>
<td>740120</td>
<td>Utilities Gas</td>
</tr>
<tr>
<td>730300</td>
<td>Maint &amp; Repair Supplies</td>
<td>740130</td>
<td>Utilities Water</td>
</tr>
<tr>
<td>730301</td>
<td>Maint &amp; Repairs/sup - grounds</td>
<td>745100</td>
<td>Other Telecommunications</td>
</tr>
<tr>
<td>730302</td>
<td>Maint &amp; Repairs/sup - Bldgs</td>
<td>750110</td>
<td>Advertising</td>
</tr>
<tr>
<td>730390</td>
<td>Licenses</td>
<td>750140</td>
<td>Legal Services</td>
</tr>
<tr>
<td>738100</td>
<td>Other Furn &amp; Equip Non Cap</td>
<td>755100</td>
<td>Rentals/Lease Bldgs/Office/Room</td>
</tr>
<tr>
<td>738101</td>
<td>Office Furniture Non Cap</td>
<td>759100</td>
<td>Business Meals/foods</td>
</tr>
<tr>
<td>738108</td>
<td>Wireless Equipment Non Cap</td>
<td>759120</td>
<td>Dues and Subscriptions</td>
</tr>
<tr>
<td>738109</td>
<td>Telecom Equip Non Cap</td>
<td>780200</td>
<td>Buildings</td>
</tr>
<tr>
<td></td>
<td></td>
<td>780300</td>
<td>Other Furniture &amp; Equipment</td>
</tr>
</tbody>
</table>
GRANT TRANSACTIONS WITH PERSONNEL SUMMARY

Summary of Payroll Costs by Project

- Personnel by Month (Accounting Period)
- Personnel by FY (Fiscal Year)
- Personnel by PP (Pay Period)
- Non-personnel Cash Expenses

*Payroll Transfers (IPTs) can muddy the results

IDC DISTRIBUTION SETTINGS & IDC REVENUE

Indirect Cost Recovery, how does that work?

- IDC Distribution Settings
  - Use input prompts to focus the search
    - Project
    - PI
    - Project Department
    - Contract (Cayuse) Number

- IDC Revenue
  - Results of those settings
    - By Distributed-to Department ID
    - By PI
GRANT PROJECT SUMMARY

Snapshot of Projects by Department / PI / Sponsor

- Summary of All Projects
  - Principal Investigator
  - Department ID
  - Sponsor
  - End Date

WHO IS MY OSP CONTACT?

Questions specific to my grants / portfolio
- Contact your Fund Manager: in.nau.edu/osp – Getting Started – Who is my OSP Contact?
NAU Office of Sponsored Projects
Science Annex (bldg. 20), fourth floor
website: nau.edu/osp/
email: NAU-OSP@nau.edu
Phone: 928 523-4880