Research Administration Training 10.26.16
Award Setup Procedures

Training Agenda

• Grant Accounting (GA) staff & Financial services website
• Handoff from OSP to Grant Accounting
• Elements of generating a new award
• When is a new project number needed?
• PIN report review
Welcome to Financial Services

Inside.umassmed.edu/financialservices/

- Staff contacts
- Job aids
- Forms & Policies
- Systems login - eCert, Summit, crosswalk, etc.
Handoff from OSP to Grant Accounting

OSP marks proposal as “Final” in PS
Data entered in the proposal gets converted into an Award & Project(s).
OSP emails checklist & supporting docs to GA mailbox. (See attached list)
GA requests speed type from Systems support & populates billing, budget, reporting, F&A, chartstring, salary cap, etc.
The PIN report summarizes the data entered and is emailed to the Dept Admin, OSP & any other staff designated

Handoff from OPS to Grant Accounting

Timing:
• GA turnaround time is 10 business days from the date received by OSP
• Operates on a first in basis, with exceptions for emergencies
• Average timing is typically less than the 10 days, but depends on weekly volume & completeness of data
When is a New Project Number Needed?

A new number is needed for:
✓ New awards or competing renewals
✓ Supplements with different purpose & conditions
✓ Accounts requiring annual financial reporting or invoicing for each budget period (funding amount is not cumulative) - applies to subawards too!

Existing number can be retained for:
☒ Non-competing renewals
☒ Supplements with the same terms, conditions and F&A rate
☒ Account does not require close out at the end of each budget period (Snap)

Setting up Future Projects in Peoplesoft

When the next budget period needs a new project number, GA will setup 120 days prior to the start date and sent PIN to Dept. Admin, along with a closeout checklist for the current year.

If there are multiple projects in the prior year, GA will ask the Dept. Admin to confirm how many care needed, to avoid unnecessary setup.
Review... Review... Review...
Correcting mistakes early helps avoid future problems!

Items for Dept Admin to verify:
• F&A rate/distribution
• PI & Key personnel effort
• Sub Contracts
• Budget (errors caught now don’t require a BRPA)
• Due Dates

Similar Process for Award Modifications

Most common types of Award modifications:
• No cost extension
• Increased funding for next budget period
• Budget changes (BRPA)
• Carryforward approval

OSP will forward any modification (use checklist to ID) to GA mailbox with backup documentation and a new PIN report is created
HANDOUTS
Financial Services

Welcome to Financial Services.

The department of Financial Services supports the Medical School’s mission of achieving national distinction in health sciences education, research and public service. We encourage you to get to know us and would like to take this opportunity to tell you about our services.

Financial Services is committed to timely, accurate and effective processing of financial information.

- We are responsible for the University policies and internal controls for financial and regulatory compliance and ensure the safeguarding of assets.
- We work with our department counterparts to provide timely and accurate financial reporting.
- We place a strong emphasis on the highest level of professional quality customer service to our faculty, staff, students and external customers.

Please look to each of our sub-departments for all of your financial needs. For more detailed information, please visit these individual pages listed below.

- Accounts Payable
- Asset Management
- Budget & Planning
- Bursar
- Financial Aid
- General Accounting
- Grant Accounting and Compliance
- Payroll
- Purchasing
- Systems Support
- Training/The Learning Center
<table>
<thead>
<tr>
<th>Policy Number</th>
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<tr>
<td>05.02.01</td>
<td>Administrative Cost Policy</td>
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<td>Effort Commitments and Salary Charges on Sponsored Projects</td>
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<td>Travel &amp; Business Expense Reimbursement Policy</td>
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<td>05.01.08</td>
<td>Vendor Direct Payment Policy</td>
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**University Policies**

- Policy for the Development and Administration of Grants, Contracts, and Cooperative Agreements for Sponsored Programs (Doc. T94-034)
- Policy on Fraudulent Financial Activities (Doc. T00-051)
- Policy on Student Account Receivable (Doc. T13-091)
- Principles of Employee Conduct (Doc. T96-136)
- University Business Expense Policy (Doc T92-031)
- University Data and Computing Policies and Guidelines
- University Travel Policy (Doc T92-031)
## AWARD SETUP

<table>
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<tr>
<th>Step</th>
<th>PS Page</th>
<th>Navigation</th>
<th>Required Fields</th>
<th>Initial</th>
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</table>
| 1    | Proposal| Grants>Proposal>Maintain Proposal>Proposal Tab | ◆ Proposal / Award Title  
◆ Sponsor (Sponsor ID) | ☐ |
| 2    | Projects| Grants > Proposal > Maintain Proposal > Projects Tab | ◆ Project / Department / Subdivision | ☐ |
| 3    | Budgets | Grants > Proposal > Maintain Proposal > Budget Tab | ◆ Budget Periods / Levels / Amounts | ☐ |
| 4    | F&A Pricing | Grants > Proposal > Maintain Proposal > Budgets Tab (F&A Pricing Setup Link) | ◆ F&A Type / Base / Rate | ☐ |
| 5    | Resources | Grants > Proposal > Maintain Proposal > Resources | ◆ Key Personnel – Based on NOA  
◆ Verify effort matches award  
◆ Subrecipient | ☐ |
| 6    | Location | Grants > Proposal > Maintain Proposal > Location | ◆ Location | ☐ |
| 7    | Certifications | Grants > Proposal > Maintain Proposal > Certifications | ◆ Certification Code & Date  
◆ Indicator  
◆ Certified By  
◆ Approval & Expiration Date  
◆ Docket / Protocol # | ☐ |
| 8    | Cost Sharing | Grants > Proposal > Maintain Proposal > PR Form | ◆ Cost Sharing – F&A  
◆ Cost Sharing – In-Kind Costs | ☐ |

## AWARD ACTIONS

- ◆ Continuation / Modification – Additional Budget Period (Time & Funds)
- ◆ Continuation / Modification – New Project for Additional Time & Funds  
  (Financial Report Required Annually or Subcontract where Prime Award requires Financial Reporting)
- ◆ Modification to existing Budget Period / Project  
  [Addition] [Modification]
- ◆ No Cost Extension – Additional Time
- ◆ Restricted Supplement – New Project
- ◆ Unrestricted Supplement – Additional Funds
- ◆ Sponsor Approved Carryforward
- ◆ Restrictions: Lifted / Imposed
- ◆ Transitional Award: Type 4
- ◆ RTF Distribution:  
  [Standard] [Non-Standard (if checked provide distribution below)]
- ◆ Other:

OSP PS Signoff: ________________________________ Initial-DB Review: ________________________________

OSP DB Signoff: ________________________________ Date: ________________________________
**Items Included with Checklist for Award Notices Sent to Grant Accounting**

| Office of Sponsored Programs | Award notices, checklists, and supporting documentation scanned to Grant Accounting for processing. |

**Responsibilities**

**Sponsored Programs Administrators I:** All non-competing Renewal awards/carry forward/Revisions/Amendments to Agreements and Contracts

**Sponsored Programs Administrators II:** All new awards/multi project awards/Supplemental Funding/Institutional Transfers/new Agreements and Contracts/NAPSAR requests

Review information on Checklist and verify that the information is completed correctly. Utilize the Comments box for any additional instructions for Grant Accounting.

**SPA I & II:**
Prepare Checklist based on information from award notice.
Scan the following to Grant Accounting and cc: RFSPeoplesoft:
1. Checklist
2. Award Notice/Agreement
3. Supporting internal documents including:
   a. Proposal Routing Form/Annual Progress Report Form
   b. Budgets and budget justifications
   c. PHS 398 form, if applicable
   d. Copies of Subaward documents submitted with the proposal
   e. Protocol letters
   f. Any additional administrative forms, sent with proposal or progress report
      i.e Prior approval request documentation

**Identifying Key Personnel**
Refer to NoA for listed Key Personnel
Update PeopleSoft to reflect only Key Personnel listed.
Indicate “Other” for non-key per NoA list.

If the award is from a foundation or non-profit organization, make sure that the Distribute to Development box is checked and cc: charitablegrants@umassmed.edu

**Related Documents:** OSP Checklis
### Award Information

**Business Unit:** UMGOR
**Award Principal Investigator:** [Redacted]
**Award:** 000000001
**Research Resource for Complex Physiologic Signals**

**Ref. Award Number:** [Redacted]
**Sponsor Name:** BIDMC/NIH 5 R01 GM[Redacted]
**AwardPurpose:** Basic Research
**CFDA #:** 93.859
**Award Dates:** 07/01/2015-06/30/2019
**Total Award Amount:** $167,500.00
**Total Obligated Award Amount:** $167,500.00
**Total Projected Award Amount:** $167,500.00

**Additional Information:**
- **Flow Through:** YES
- **Primary Sponsor:** NIH-NATL INST OF GENERAL MEDICAL
- **Salary Cap:** $185,100.00
- **Pre-Award Spending:** Required By Sponsor
- **Guaranteed Source of Funding:** Approved By
- **Approval Date:** [Redacted]
- **Source:** [Redacted]

**Award Milestones:**
- **Milestone Type:** Milestone Code
- **Due Date:** [Redacted]

### Project Details

**Project ID:** S676000000
**Research Resource for Complex**
**Department:** [Redacted]
**Project Period:** 07/01/2016-06/30/2017
**Project PI:** [Redacted]
**Grant Accountant:** Costa, Heather M

**F&A Details:**
- **Effective Date:** 07/01/2014
- **Rate:** 67.50%
- **Base:** MTDC
- **Federal Modified Total Direct**

**Milestones:**
- **Milestone Type:** Milestone Code
- **Due Date:** [Redacted]
- **Project ID:** [Redacted]

### Budget Details

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### Project Team

- **Employee Name:** Costa, Heather M
- **Project Role:** Principal Investigator
- **Effort%:** 5.00%
- **Start Date:** 07/01/2016
- **End Date:** 06/30/2017

### Certifications

- **Certification Code:** [Redacted]
- **Certification Date:** [Redacted]
- **Certified By:** [Redacted]
- **Approval Date:** [Redacted]
- **Expiration Date:** [Redacted]
- **Docket Number:** [Redacted]
- **Exemption Number:** [Redacted]

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