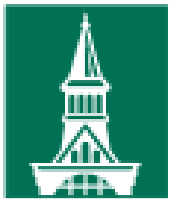


Sponsored Project Closeout Tools

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Sponsored Project Administration



The University of Vermont

Agenda

- ▶ Award closeout process, roles and responsibilities;
- ▶ Award closeout timeline;
- ▶ Closing rules;
- ▶ Award closeout tools;
- ▶ A bit of technical information.

General Information

- ▶ FY19 sponsored projects awarded - \$144 million;
- ▶ FY19 sponsored expenditures - \$135 million;
- ▶ Biggest funder - NIH;
- ▶ Federal funds account for over 80% of total sponsored funds;
- ▶ Sponsored Project Administration - central combined pre- and post-award office;
- ▶ PeopleTools 8.56, 9.2, PUM 30

Award Closeout Process

- ▶ Award closeout process is a shared responsibility of
 - ▶ Principal Investigators (PIs);
 - ▶ Department research administrators;
 - ▶ Sponsored Project Administration (SPA);
- ▶ Closeout preparation begins 90 days prior to award expiration;
- ▶ Closeout ends 120 days after final financial report submission.

Award Closeout Roles and Responsibilities

- ▶ **Principal Investigator**
 - ▶ Overall fiscal and programmatic responsibility;
 - ▶ Final technical reports preparation and submission;
 - ▶ Confirms final expenses and personnel effort.
- ▶ **Department Research Administrator**
 - ▶ Assists PI with ensuring that all costs, including cost share, have been accurately charged and confirms that all project costs are final.
- ▶ **SPA Financial Analyst**
 - ▶ Reviews all costs and follows up with the PI and / or department staff for questions, back-up, expense justification where necessary;
 - ▶ Prepares and submits final financial report to sponsors.
 - ▶ Completes closeout steps and closes award and project in PeopleSoft.

Award Closeout Timeline

- ▶ 90 days prior to end date - PI and department administrator meet to discuss the project, confirm if an extension would be needed, review expenses, personnel effort, cost share and remaining balance.
- ▶ 45 days prior to end date - SPA office is contacted to request a No Cost Extension if needed.
- ▶ 30 days after project end date or sooner - all expenses have been charged to the project.
- ▶ 30 days prior to final financial reporting due date - SPA Financial Analyst begins final review and report preparation.
- ▶ Once final financial report has been submitted, project is “soft-closed” in PeopleSoft.
- ▶ 120 days after final financial report submission, award is “hard-closed” in PeopleSoft.

“Soft-close” versus “Hard-close”

▶ Soft-close:

- ▶ Occurs at the time of the final financial report preparation;
- ▶ SPA financial analyst changes project status from “open” to “closed” once all expenses have been posted and closes the budget in Commitment Control.
- ▶ Any new expenses will be prevented from posting when a project status is “closed.”
- ▶ Billing and revenue plans remain open so as to allow final billing to occur and final receivables to be collected and applied.
- ▶ Award and contract remain open.

“Soft-close” versus “Hard-close”

▶ Hard-close:

- ▶ Occurs 120 days after the final financial reporting due date;
- ▶ Final check to make sure system expenses match final financial report;
- ▶ All purchase orders, requisitions, travel authorizations, etc. have been closed;
- ▶ No outstanding receivables remain;
- ▶ All necessary billing and utilization has been completed, and no unbilled AR or deferred revenue remains;
- ▶ Recognized revenue is correct;
- ▶ All projects associated with the award are in “closed” status and budgets are closed in Commitment Control;
- ▶ Award and contract statuses are changed to “closed;”
- ▶ Billing and revenue plans get completed.

Award Closeout Tools

- ▶ Automated award expiration notifications to PIs;
- ▶ PI Portal;
- ▶ PeopleSoft queries showing award and project expiration dates as well as the reporting deadlines;
- ▶ Closeout Report;
- ▶ Sponsored Project Balances report.

Award Expiration Notifications

- ▶ Automatically sent to the primary award PI 90, 45 and 1 day prior to award expiration;
- ▶ Automatically added at the time of award setup to the Award Milestones page;
- ▶ Provide generic instructions to PIs on how to prepare for the closeout.

Award ID 000033086 Award Title TEST Title

Reference Award Number

Award PI

Primary Project PI

Milestones

General Detail

	*Milestone Type▲	Report Assignee	Assignee	*Milestone Code	Due Date	Milestone Status
<input type="checkbox"/>	1 0_DAY	<input type="text" value=""/>		0_DAYS	08/31/2023	NEW
<input type="checkbox"/>	2 45DAY	<input type="text" value=""/>		45_DAYS	08/31/2023	NEW
<input type="checkbox"/>	3 90DAY	<input type="text" value=""/>		90_DAYS	08/31/2023	NEW

PI Portal

- ▶ Customized data warehouse pages showing up-to-date budget, encumbrance and expense (summary and detail) information on a selected sponsored project or award;
- ▶ Used throughout the grant management phase and at closeout primarily by department administrators and PIs.

Closeout Report

- ▶ Comprehensive report that shows various details for a selected award or project.
- ▶ Report can be run for a single project or single award.
- ▶ Used for sponsored and non-sponsored projects throughout financial management phase and at close-out by department research administrators and SPA post-award staff.
- ▶ Available in a PDF format only.
- ▶ The purpose of the report is to view all project and award related information in one place.
- ▶ Expense information is available as summary only.

Closeout Report - Demographics

- ▶ PeopleSoft award and project IDs, title and reference numbers;
- ▶ Sponsoring institution, PI, award and project start and end dates;
- ▶ SPA Financial Analyst assigned to the award;
- ▶ Contract type, F&A rate and base, total award billing limit.

Report ID: FSRPT024.SQR

PeopleSoft GL
UVM CLOSEOUT REPORT

Award ID: 000028155	PI: ██████████	Sponsor: National Oceanic Atmospheric A	Ref Award: TEST Ref ID
F&A Rate Info: OFXT-BASEA- 22.30		Grant Start/End Dates: 01-FEB-2014 - 31-AUG-2019	GCA Contact: ██████████
Project Selected: 032359 TEST PROJ TITLE		Project Start/End Dates: 01-FEB-2014 - 31-AUG-2019	
CA Status: ACTIVE, CA Type: LOC, B101-PRG Hold: N R101- PRG Hold: N Billing Limit: 1,750,000.00			

Closeout Report - Budget, Expenses, Encumbrances

- ▶ Total budget and total expenses, including break-down between sponsored and cost share chartstrings.
- ▶ Total expenses by analysis type, including billable (BIL), billed (BLD), and over-the-limit (OLT) rows.
- ▶ Encumbrance and pre-encumbrance totals by PeopleSoft budgetary and expense accounts. This section will include salary encumbrances by person if any exist.

Closeout Report - Budget, Expenses, Encumbrances

1A. QUICK BUDGET to ACTUALS SUMMARY (From Commitment Control)

Expense Budget:	182,231.71	
Recognized Revenue:	34,838.63	
Collected Revenue:	0.00	
Pre-Encumbrance:	2,500.00	
Encumbrance:	12,650.00	
Expenses:	151,985.59	
Budget - Expense - Encumbrance - Pre-Encumbrance		15,096.12

1A1. COST SHARE SUMMARY - From Commitment Control (SP_CHILD1, SP_CHILD2, AG RELATED only)

	Budget	PreEncumbrance	Encumbrance	Expenses	Remaining
22 57000 100 100005 422 032359 0000 0000 0000	13,782.00	0.00	0.00	0.00	13,782.00

1A2. SPONSORED SUMMARY - From Commitment Control (SP_CHILD1, SP_CHILD2, AG RELATED only)

	Budget	PreEncumbrance	Encumbrance	Expenses	Remaining
22 57000 300 201001 421 032359 0000 0000 0000	168,449.71	2,500.00	12,650.00	151,985.59	1,314.12

1B. Quick PROJ_RESOURCE Summary By Chartstring (Expense Accounts Only, no budget or commitments)

ACT Actual Cost	22 57000 300 201001 421 032359 0000 0000 0000	138,037.11
BLD Billed Amount	22 57000 300 201001 421 032359 0000 0000 0000	151,985.59
GLE GL Expense	22 57000 300 201001 421 032359 0000 0000 0000	2,288.21
SFA Sponsor F&A	22 57000 300 201001 421 032359 0000 0000 0000	11,660.27
WFA Waived F&A	22 57000 300 201001 421 032359 0000 0000 0000	-3,294.16

1C. Encumbrance/Pre-Encumbrance Totals By Chartstring

DETAIL_ENC 61207 22 57000 300 201001 421 032359 0000 0000 0000	12,650.00
DETAIL_PRE 65007 22 57000 300 201001 421 032359 0000 0000 0000	2,500.00
SPCHD2_ENC F6120 22 57000 300 201001 421 032359 0000 0000 0000	12,650.00
SPCHD2_PRE F6500 22 57000 300 201001 421 032359 0000 0000 0000	2,500.00

Closeout Report - Ledger Differences Comparison

- Shows differences between General Ledger, Commitment Control and Proj_Resource table. Differences hopefully explained by later sections.

2A. Commitment Control vs. Actuals Ledger Comparison for Expense Accounts

OU Dept	Fnd Source	Fct	Project	Prgm	Ppse	Ppty	KK Amt	Ledger Amt	Difference
22 57000 100 100005 312 031948 0000 0000 0000							22,291.05	22,291.05	0.00
22 57000 300 201001 311 031948 0000 0000 0000							45,474.10	45,474.10	0.00
22 57000 311 410247 312 031948 0000 0888 0000							3,000.00	3,000.00	0.00
22 57000 320 300263 312 031948 0000 0000 0000							3,000.00	3,000.00	0.00

2B. PROJ_RESOURCE vs. Actuals Ledger Comparison for Expense Accounts + Listing of Ledger Revenue

Acct	OU Dept	Fnd Source	Fct	Project	Prgm	Ppse	Ppty	PROJ_RESOURCE AMT	Ledger Amt	Difference
11010 22 57000 300 201001 000 031948 0000 0000 0000									0.00	
11075 22 57000 300 201001 000 031948 0000 0000 0000									0.00	
42001 22 57000 300 201001 105 031948 0000 0000 0000									-45,474.10	
44312 22 57000 311 410247 131 031948 0000 0000 0000									-3,000.00	
50100 22 57000 100 100005 312 031948 0000 0000 0000							15,351.53	15,351.53		0.00
50100 22 57000 300 201001 311 031948 0000 0000 0000							960.55	960.55		0.00
50300 22 57000 100 100005 312 031948 0000 0000 0000							156.12	156.12		0.00
52000 22 57000 300 201001 311 031948 0000 0000 0000							14,903.24	14,903.24		0.00
59910 22 57000 100 100005 312 031948 0000 0000 0000							6,783.40	6,783.40		0.00
59910 22 57000 300 201001 311 031948 0000 0000 0000							6,941.68	6,941.68		0.00
60071 22 57000 300 201001 311 031948 0000 0000 0000							179.56	179.56		0.00
60201 22 57000 300 201001 311 031948 0000 0000 0000							429.85	429.85		0.00
60501 22 57000 300 201001 311 031948 0000 0000 0000							359.60	359.60		0.00

Closeout Report - Revenue and AR

- ▶ Billed and unbilled AR balances
- ▶ Deferred revenue balance
- ▶ Recognized revenue total

Acct	OU	Dept	Fnd	Source	Fct	Project	Prgm	Ppse	Ppty	PROJ_RESOURCE AMT	Ledger Amt
11010	11	51070	300	201012	000	034458	0000	0000	0000		0.00
11075	11	51070	300	201012	000	034458	0000	0000	0000		4,607.43
21615	11	51070	300	201012	000	034458	0000	0000	0000		-17,264.79
42001	11	51070	300	201012	105	034458	0000	0000	0000		-19,792.64

Closeout Report - Other Information

- ▶ Net asset balances information;
- ▶ Cost collection and GL journal generation;
- ▶ Journal entries;
- ▶ Expense reports and travel authorizations;
- ▶ Purchase orders and requisitions;
- ▶ Unpaid vouchers;
- ▶ Budget checking errors;
- ▶ Transactions outside project date range;
- ▶ Financial reporting milestones;
- ▶ Cost share notes;
- ▶ Pending payroll retros, etc.

Closeout Report - Other Information

2BA. Net Assets

OU Dept	End Source Fct	Project	Prgm	Ppse	Ppty	Ledger Amt
01 00001 100 000100	032359	0000	0000	0000		-11,660.27

3A. All AP Costs Collected for Project.

3B. All EX Costs Collected for Project.

3E. All GL Costs Collected for Project.

3E1. All GL Costs Collected for Project (for AR Jrnls).

3F. All journal generation for transactions related to the selected parameters is complete.

4A. Actuals Journals That Are not Posted

P065481-51 1	02-AUG-2019	V None	[REDACTED]	UNIVER OF GA706-542-6655	07/18/2019	60509 22 57000 300 201001 311 034615 0000 0000 0000	300.00
P065481-51 2	02-AUG-2019	V None	[REDACTED]	DELTA AIR 0062380231445	07/19/2019	60501 22 57000 300 201001 311 034615 0000 0000 0000	366.00
Total:							666.00

4A1. All Budget Journals/Transfers are posted for the selected parameters.

4B. All Expense Rpts for this Project are completed.

4C. There are no Travel Authorizations in progress for the selected parameters.

4D. There are no Requisitions in progress for the selected parameters.

4E. Purchase Orders in Progress

BU	PO/Line/Sched/Dist	Hold?	PO Status	BCM Line Status	Descr	Chartstring	
UVM01	0000171466/1/1/2		04-JUL-2019 N	Dispatched V	Open	[REDACTED]	60201 22 57000 300 201001 421 034615 0000 0000 0000
Total:							7,500.00
							7,500.00

4F. All Vouchers are completed for the selected parameters.

4F1. There are no unpaid vouchers for this project.

Closing Rules

- ▶ Soft-close rules:
 - ▶ System expenses match final financial report;
 - ▶ There are no differences between ledgers;
 - ▶ No pending transactions and no transactions in error status.
- ▶ Hard-close rules:
 - ▶ All soft-close rules apply;
 - ▶ All billing has been completed and there are no remaining balances in unbilled AR and deferred revenue accounts;
 - ▶ Recognized revenue is correct;
 - ▶ No net asset balance remaining;
 - ▶ No open purchase orders, requisitions, travel authorizations, unpaid vouchers, etc.;
 - ▶ All receivables have been paid and applied.

Sponsored Project Balances Report

- ▶ Provides high-level overview of all sponsored projects;
- ▶ Allows to perform analysis on a larger scale (as opposed to on an award level only as is the case with the Closeout Report);
- ▶ Includes the following information:
 - ▶ PeopleSoft award and project IDs with start and end dates;
 - ▶ Award and project statuses;
 - ▶ Total amounts in:
 - ▶ Billable rows (BILs);
 - ▶ Billed rows (BLDs);
 - ▶ Over-the-limit rows (OLTs);
 - ▶ Net asset balances;
 - ▶ AR and deferred revenue balances;
 - ▶ Recognized revenue total;
 - ▶ Ledger difference balances.

Sample Code from Closeout Report

```
begin-procedure AllForProject

  do QuickBudgetSummary

  if $IsAGrant = 'Y'
    do QuickCostShareSummary
    if $CostShrExists = 'Y'
      do QuickNonCostShareSummary
    end-if
  end-if

  do QuickSummary
  do EncumbranceTotals

  do KK-Vs-Ledger
  do KK-Vs-Ledger-Only-in-KK
  do PROJ_RESOURCE-Vs-ACTUALS
  do NetAssets
  do GetJustifiedDirectCostNotes

  if $IsAGrant = 'Y'
    do FandA-Abend-Issues
  end-if

  !Review Cost Collection
  do Cost-Collection-Review-AP
  do Cost-Collection-Review-EX
  !do Cost-Collection-Review-PO      !UVM isn't interfacing in PO or Req Information anymore so these sections will not be called.
  !do Cost-Collection-Review-REQ    ! Susan Skalka 6.30.2008
  do Cost-Collection-Review-GL
  do Cost-Collection-Review-GL-AR
  do JGen-Status

  !List Transactions in Process (not in PROJ_RESOURCE)
  do GL-Journals-Not-Posted
  do BudgJE-Transfer-Not-Posted
  do EX-Sheets-In-Progress
  do Travel_Auths-In-Progress
  do Reqs-In-Progress
  do Outstanding-Reqs
  do POs-In-Progress
  do Outstanding-POs
  do Vouchers-In-Progress
  do PrepaysEtc
  do UnpaidVouchers
  do UncashedChecks

  if $IsAGrant = 'Y'

    do IncorrectAnalysisTypeUsage
```

Sample Code from Closeout Report, continued

```
if $ShowFA = 'Y'  
  do F-and-A-Not-Calculated  
  do Get-GM_FA-Errors  
end-if  
end-if  
  
!List Various Types of Errors  
do StuckInAcctgLine  
do Payroll-Suspense-Errors  
do Payroll-KK-Errors  
do Payroll-Past-End-Date  
  
do List-Budget-Check-Errors  
  
if $IsAGrant = 'Y'  
  do Get-Milestones  
  do Get-CostShareNotes  
end-if  
  
do List-PurCard-Defaults  
do DistChgRqstInProgress  
  
end-procedure
```

Note: the report can also be run for a chart string.

UVM Closeout Report

Run Control ID ELEVATE

Report Manager Process Monitor

Run

Report Request Parameters

Projects

Business Unit:

Project or Chartstring Option

By Project/Award By Chartstring

Project: VERMONT COMMUNITY FOUNDATION

Award ID

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

Report Request Parameters

Budget Period

Operating Unit

Department

Fund Code

Source

Function

Program Code

Purpose

Property

Project or Chartstring Option

By Project/Award By Chartstring

Sponsored Project Balances Report

- ▶ This report uses an array with the project id as the index;
- ▶ A series of procedures gather the various balances and populate the array;
- ▶ Finally the data is written out to a .csv file;
- ▶ The procedures are:
 - ▶ do GetProjResAmts
 - ▶ do GetLedgerAmts_RevExp
 - ▶ do GetLedgerAmts_NetAsset
 - ▶ do GetKKExp
 - ▶ do UnpaidVouchers
 - ▶ do GetFromArray

UVM PI Portal

- ▶ We created our own PI portal that has various components, is specific to UVM's commitment control and grants setup and is easy to use.
- ▶ All PIs dynamically are assigned a role that makes it so a Pagelet appears when they first log in, displaying their active and recently expired projects.
- ▶ From here, the PI can drill into more information about their projects.
- ▶ Nightly, an sqs runs that populates the tables that store the data needed for the portal. This makes the pages load quickly.
- ▶ Administrators can also access the more detailed pages to quickly find information about a project.
- ▶ See https://www.uvm.edu/sites/default/files/Sponsored-Project-Administration/PI_Portal_Visual_Job_Aid.pdf for more information.

Milestone Notification Customizations

- ▶ Default in the Due Date and Days Prior when the 90, 45 or 0 day notifications are selected on the Milestone page.
- ▶ Customizations to set the subject and message so that they include more information and UVM specific information about the Closeout process.
- ▶ Customization to the GM_MILE_NOTI_DUE1 activity so that the From Address is SPA@uvm.edu.

Award Closeout - Helpful Documents

- ▶ [Financial Closeout of Sponsored Projects Procedure](#)
- ▶ Comprehensive [Closeout Report Manual](#) - pages 26-39

SQL

- ▶ Query that shows reporting milestones due dates and type:

```
SELECT A.CONTRACT_NUM, G.NAME1, K.CONTRACT_TYPE, E.REF_AWD_NUMBER, E.NAME, E.DEPTID, B.DESCR, C.ATTR_CODE,
A.MILESTONE_ID, A.MILESTONE_TYPE, A.MILESTONE_CODE, TO_CHAR(A.DUE_DT,'YYYY-MM-DD'), A.GM_MLST_PRI, E.PURPOSE,
A.ASSIGNED_TO_EMPLID, A.MILESTONE_STAT, TO_CHAR(A.COMPLETION_DATE,'YYYY-MM-DD'), A.EMPLID_RELATED,
A.DESCR254_MIXED, K.CA_STATUS, D.NAME, TO_CHAR(A.DRAW_DT,'YYYY-MM-DD'), TO_CHAR(E.END_DT,'YYYY-MM-DD'), E.CFDA,
F.PROJECT_ID, TO_CHAR(SYSDATE,'YYYY-MM-DD')
FROM PS_GM_AWD_MILE A, PS_GM_AWARD E, PS_CUSTOMER G, PS_CA_CONTR_HDR K, PS_UV_DEPT_TBL_VW B, PS_GM_AWD_ATTR
C, PS_PERSONAL_DATA D, PS_GM_AWD_MILE_PRJ F
WHERE ( A.CONTRACT_NUM = E.CONTRACT_NUM
AND G.CUST_ID = E.CUST_ID
AND K.CONTRACT_NUM = A.CONTRACT_NUM
AND B.DEPTID(+) = E.DEPTID
AND E.DEPTID LIKE :2
AND E.CONTRACT_NUM = C.CONTRACT_NUM(+)
AND C.ATTR_CODE(+) <> 'CONVERSION'
AND A.CONTRACT_NUM LIKE :3
AND A.DUE_DT BETWEEN TO_DATE(:4,'YYYY-MM-DD') AND TO_DATE(:5,'YYYY-MM-DD')
AND (( E.AWARD_STATUS = 'CLS'
AND E.END_DT <= sysdate)
OR E.AWARD_STATUS <> 'CLS')
AND A.ASSIGNED_TO_EMPLID = D.EMPLID(+)
AND A.MILESTONE_TYPE LIKE :6
AND A.MILESTONE_STAT LIKE :7
AND A.MILESTONE_TYPE NOT IN ('0_DAY','45DAY','90DAY')
AND A.CONTRACT_NUM = F.CONTRACT_NUM(+)
AND A.MILESTONE_ID = F.MILESTONE_ID(+))
ORDER BY 12
```

Questions