Changes in Post-Award Grant Management

Wendy Harris
Director of Budget and Resource Planning
May 7, 2015
Uniform Guidance

- Consolidation of Federal grant guidelines
  - Goals:
    - Eliminate duplicate and conflicting guidance
    - Increase accountability
    - Encourage efficient use of resources by limiting allowability
    - Strengthen oversight
    - Tighten regulation on waste, fraud, and abuse
Uniform Guidance

- Effects new awards and increments after 12/26/14
  - Campus currently DOES NOT have authority to rebudget or approve no-cost extensions
  - DOES NOT pertain to foundation grants, but will influence them
What are allowable costs?

- **Necessary** = required to complete the project
- **Reasonable** = a prudent person would buy at that price
- **Allowable** = clearly mentioned in terms and conditions as approved expenses
- **Allocable** = cost assigned in reasonable proportion to the benefit to the project
- **Consistently treated** = like expenses always treated the same
What does this mean to me?

- **Computers:**
  - In budget
  - Essential for project
  - Above and beyond that provided by department
  - Not for convenience
What does this mean to me?

- **Adequate documentation:**
  - Who, where, why, when, benefit to project
  - Appropriate distribution of expenses
  - *NOT to grant ending soonest*
  - *NOT to grant with most funds*
  - *DO charge to grant(s) most effected by expense*
  - *Presenting a seminar is NOT a benefit to your project, but collaboration is*
What does this mean to me?

- **Travel for you/visitors/students:**
  - US Air Carriers
  - Proof of cost of direct flight, printed the day ticket originally purchased
  - Reasonable travel dates (ie. one day on either side of a conference)
What does this mean to me?

- Proper reflection of effort
  - summer appointments limited to 95% on grant to allow for non-grant activities
  - 80%/80%/40%; 90%/90%/20%
  - Definition of Institutional Based Salary
  - Students should be appointed on grant at time of travel
Audits

- UIUC has had 110 audits in the last 2.5 years
  - NSF, DOE, DOJ and internal
  - 25-30 open now
  - Mathematics about to have one by NSA
Audits

- Questionable:
  - Pre-award expenses
  - Charges within last 90 days of project
  - Travel:
    - Direct route?
    - Economical?
    - Proper allocation?
  - Burn rate
  - Cost transfers
Other key changes

- Financial changes approved by financial officer, NOT program officer
- Participant support hard to rebudget
- Subawards have same guidelines
- Conferences must now address “dependent care resources” in budget and on website
- NSF proposals will go through automatic compliance check before submission, so “Check Proposal” before “Forward to SPO”
Use the Business Office Website

- Info for travelers
- What happens if receipts are late
- Reimbursement form
- Visitor hotel form
- Visitor parking
- Event planning
- Using Fastlane
- Research Board RAs
- Proposal due dates
- Current rates
- Per diem rates
PI responsibilities

- Read agreements
- Report leaves, sabbaticals, extended trips (i.e. MSRI)
- Report a change in scope
- Properly use funds
- Provide sufficient documentation
PI responsibilities

- Review statements
- Request transfers within 60 days of initial expense
- Watch burn rate
- Request no-cost extension
PI responsibilities

- Review and approve semi-annual confirmations
- Conflict of interest/commitment
- Report of non University activities
- Statement of economic interest (and supplement)
### Reporting: monthly reports

- See: “How do I read my account statements”?

#### FY15 Expenses for July 2014

<table>
<thead>
<tr>
<th>Description</th>
<th>Date</th>
<th>Type of expense</th>
<th>Amount</th>
<th>Doc No.</th>
<th>Pay Per Start</th>
<th>Pay Per End</th>
<th>Employee Name</th>
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<td>GPCV: UPS*122A569V049787566</td>
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### Monthly Reporting

**Account Name:**

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<th>Account</th>
<th>Description</th>
<th>Permanent Budget</th>
<th>Temporary Budget</th>
<th>Current Budget</th>
<th>Current Month</th>
<th>YTD Balance</th>
<th>YTD %</th>
<th>Budget (YTD)</th>
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**Budget: Total spent on services this month**

**Total spent this month**

**Total spent this fiscal year (July to June)**

**Total left to spend**

**Report Date:** Period 1 = July

**Report for Gifts, Awards, Research Board, Startup**
Reporting: DMI Proposal Data System

Summary by Proposal College/Department
Submitted during the fiscal year(s): FY2016
Codes for colleges & departments included: 1-257
Codes for sponsor types & sponsors included: ALL

<table>
<thead>
<tr>
<th>Code</th>
<th>Dept Name</th>
<th>Proposals</th>
<th>Awards</th>
<th>Still Pending</th>
<th>Denied</th>
<th>Withdrawn</th>
<th>Closed</th>
<th>Direct</th>
<th>Indir</th>
<th>Total</th>
<th>Initial*</th>
<th>$ Awarded</th>
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<td>7</td>
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<td>5430419</td>
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<td>(Duplicates removed)</td>
<td>71</td>
<td>7</td>
<td>54</td>
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<td>0</td>
<td>0</td>
<td>3766576</td>
<td>1672843</td>
<td>5430419</td>
<td>19734012</td>
<td>427811</td>
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</table>

Proposal Details -- By Proposal Date and Proposal Number

<table>
<thead>
<tr>
<th>Proposal Date</th>
<th>UI/ERA Proposal #</th>
<th>Status</th>
<th>Title</th>
<th>Primary Dept Code</th>
<th>Primary Dept Name</th>
<th>Secondary Dept(s)</th>
<th>Principal Investigator</th>
<th>PI Dept Code</th>
<th>PI Dept Name</th>
<th>Co-Principal Investigator(s) (org code in parenthesis)</th>
<th>Sponsor Type</th>
<th>Sponsor</th>
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</thead>
<tbody>
<tr>
<td>4/7/2015</td>
<td>2015-05332</td>
<td>PN</td>
<td>Active Learning Center: University of Illinois Mathematics</td>
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<td>Ahlgren, Scott David</td>
<td>1-KV-257</td>
<td>Mathematics</td>
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<td>Commercial (Domestic)-L</td>
<td>Steelcase Education</td>
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</tbody>
</table>

- Manually entered by Grants and Contracts
- Does not accurately reflect co-PI role
- Figures are received to date, not full award
Reporting: START myResearch Portal

- [https://myresearch.uillinois.edu/piPortal/](https://myresearch.uillinois.edu/piPortal/)
  - 3 minute demo available

Available actions:
- See proposals; mark as unfunded
- See award details and documents
- See expenditure summary and details
- Create Current and Pending report
- Give others access
START myResearch: Homepage

Friday, February 06, 2015

myResearch Portfolio

- Pending Proposals: 6
- Pending Negotiations: 1
- Active Awards: 6
- Closed Awards: 14
- Non-Funded Proposals: 14
- Other Agreements: 0
START myResearch: Pending

### Pending Proposals for Nohra Mateus-Pinilla

<table>
<thead>
<tr>
<th>Institution #</th>
<th>Title</th>
<th>Primary Sponsor</th>
<th>Start Date</th>
<th>End Date</th>
<th>Requested Amount</th>
<th>Role</th>
<th>Mark as Non-Funded</th>
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<tbody>
<tr>
<td>2014-05650</td>
<td>Acute Phase Proteins as Health Sentinels in Box Turtles (Terrapene Carolina)</td>
<td>IL Dept of Natural Resources (Office of Rsnc Conservation)</td>
<td>07/01/2014</td>
<td>06/30/2015</td>
<td>$10,175.00</td>
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<tr>
<td>2014-05656</td>
<td>A Non-Invasive Approach for Biological Sampling of Dieldrin: Establishing Baseline Date from the Des Plaines and Vermillion Rivers in Illinois</td>
<td>IL Dept of Natural Resources (Office of Rsnc Conservation)</td>
<td>07/01/2014</td>
<td>06/30/2015</td>
<td>$9,521.00</td>
<td>Principal Investigator</td>
<td>Mark as Non-Funded</td>
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<tr>
<td>2014-00134</td>
<td>An Innovative and Humane GPS Device for the Study of River Otters</td>
<td>Jewel (Illinois) Fdn</td>
<td>12/01/2013</td>
<td>11/30/2014</td>
<td>$16,029.00</td>
<td>Principal Investigator</td>
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<td>2013-04290</td>
<td>Non-Invasive Individual Identification of the North American River Otter (Lontra Canadensis)</td>
<td>River Otter Alliance</td>
<td>03/01/2013</td>
<td>02/28/2014</td>
<td>$996.00</td>
<td>Principal Investigator</td>
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<td>2012-05428</td>
<td>An Innovative Tool for Individual Identification of the North American River Otter</td>
<td>Animal Welfare Inst</td>
<td>07/01/2012</td>
<td>06/30/2013</td>
<td>$9,926.00</td>
<td>Principal Investigator</td>
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<tr>
<td>2012-05378</td>
<td>Understanding WNS Transmission Through Genetic Characterization of Uninfected Illinois Bat Populations</td>
<td>Bat Conservation Intl Inc</td>
<td>07/01/2012</td>
<td>06/30/2013</td>
<td>$24,696.00</td>
<td>Co-PI/PI</td>
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</tbody>
</table>
Friday, February 06, 2015

Statement of Proposal

Institution #
2014-00134

Sponsor Information
Barbour (Bernice) Fdn

Proposed Terms
12/01/2013 to 11/30/2014
$16,029.00

Title
An Innovative and Humane GPS Device for the Study of River Otters

Project Investigators
Nohra Mateus-Pinilla : Principal Investigator : IL Natural History Survey-U
Samantha Carpenter : Co-PD/PI : IL Natural History Survey-U

Proposal Documentation (Show)
## Active Awards for Nohra Mateus-Pinilla

<table>
<thead>
<tr>
<th>Institution #</th>
<th>Title</th>
<th>Primary Sponsor</th>
<th>Award Start Date</th>
<th>Award End Date</th>
<th>Expected Total Funding</th>
<th>Award Date</th>
<th>Role</th>
<th>Account Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013-05219</td>
<td>WILDLIFE AND CHRONIC WASTING DISEASE SURVEILLANCE - Segment 9 (FY14)</td>
<td>IL Dept of Natural Resources (IDNR)</td>
<td>07/01/2013</td>
<td>06/30/2014</td>
<td>$317,000.00</td>
<td>07/11/2013</td>
<td>Principal Investigator</td>
<td>View</td>
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<tr>
<td>2012-04771</td>
<td>Wildlife and Chronic Wasting Disease Surveillance - Supplement Segment 8 (FY13)</td>
<td>IL Dept of Natural Resources (IDNR)</td>
<td>07/01/2012</td>
<td>06/30/2013</td>
<td>$317,000.00</td>
<td>07/16/2012</td>
<td>Principal Investigator</td>
<td>View</td>
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<tr>
<td>2011-06595</td>
<td>White Nose Syndrome &amp; Illinois Bat Hibernacula</td>
<td>IL Dept of Natural Resources (IDNR)</td>
<td>09/01/2011</td>
<td>07/31/2015</td>
<td>$114,706.00</td>
<td>10/14/2011</td>
<td>Co-PD/PI</td>
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<tr>
<td>2012-00605</td>
<td>Fatty Acid Signatures to Determine River Otter (Lontra Canadensis) Diet as a Tool for Management</td>
<td>IL Dept of Natural Resources (IDNR)</td>
<td>09/01/2011</td>
<td>08/31/2013</td>
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<td>2011-06598</td>
<td>White Nose Syndrome &amp; Illinois Bat Populations: Biology &amp; Monitoring</td>
<td>IL Dept of Natural Resources (IDNR)</td>
<td>08/01/2011</td>
<td>07/31/2014</td>
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<td>10/25/2011</td>
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<td>2008-02394</td>
<td>Genetics and geography of chronic wasting disease in white tailed deer in Illinois and Wisconsin</td>
<td>US Geological Survey (USGS)</td>
<td>02/01/2008</td>
<td>01/31/2014</td>
<td>$40,000.00</td>
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</table>
# Statement of Award

**Institution #**  
2013-05219

**Sponsor Information**  
IL Dept of Natural Resources (IDNR)

**Proposed Terms**  
07/01/2013 to 06/30/2014  
$317,000.00

**Title**  
WILDLIFE AND CHRONIC WASTING DISEASE SURVEILLANCE - Segment 9 (FY14)

**Project Investigators**  
Jan Novakofski : Co-PD/PI : Animal Sciences-U  
Nohra Mateus-Pinilla : Principal Investigator : IL Natural History Survey-U

**Award Documentation**  
>Show

**Agreements**  
>Show

View Active Award Summary through Fiscal Year: FY14

## Active Award Summary

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<tr>
<th>Authorized to Date:</th>
<th>$317,000.00</th>
<th>% Expended:</th>
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<th>Begin:</th>
<th>07/01/2013</th>
<th>Grant Code:</th>
<th>D6601</th>
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<tbody>
<tr>
<td>Expenditures:</td>
<td>$319,439.35</td>
<td>% Expended + Encumbered:</td>
<td>104%</td>
<td>End:</td>
<td>06/30/2014</td>
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<tr>
<td>Encumbered:</td>
<td>$11,720.14</td>
<td>% Time Elapsed:</td>
<td>100%</td>
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<td>Balance:</td>
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</table>

**Funds In Use**  
>Show

Payroll Transactions: [Link]
### Active Award Summary

- **Authorized to Date:** $317,000.00
- **% Expended:** 101%
- **Begin:** 07/01/2013
- **Grant Code:** D6601
- **Expenditures:** $319,439.35
- **% Expended + Encumbered:** 104%
- **End:** 06/30/2014
- **Encumbered:** $11,720.14
- **Balance:** ($14,159.49)
- **% Time Elapsed:** 100%

### Funds In Use (Show)

*Show Grant Payment Summary (Show)*

Fringe rates for the Urbana-Champaign, Chicago, and Springfield campuses are available on the OBFS web site at [http://www.obfs.uillinois.edu/government-costing/rate-schedules/](http://www.obfs.uillinois.edu/government-costing/rate-schedules/).

<table>
<thead>
<tr>
<th>Line Description</th>
<th>Budget</th>
<th>Expenditures</th>
<th>Encumbrances</th>
<th>Balance</th>
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<tbody>
<tr>
<td>Salaries and Wages</td>
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<tr>
<td>Faculty and Other Professionals</td>
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<td>Equipment</td>
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## START myResearch: Detailed expenses

### Materials and Supplies Transactions

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<th>C-FOAP</th>
<th>Activity Date</th>
<th>Description</th>
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<th>Amount</th>
<th>Document Number</th>
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<td>1-595056-375002-124000-191100</td>
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<td>Abcam Incorporated</td>
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<td>Abcam Incorporated</td>
<td>06/26/2014</td>
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<td>Fisher Scientific Company LLC</td>
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</table>

Showing 1 to 10 of 149 entries. 

**All transactions associated with the selected category.**
START myResearch

- Campus project with open source software
- Future:
  - dashboard showing reports, compliance documents
  - Connection to MyDisclosure for Report of Non-University Activities and Conflict of Interest forms
  - Connection to MyFi (access to financial summaries for non-grant funds)
Key Bits to Remember

- Is it reasonable? Necessary? Allocable?
- Document: who, what, where, why, benefit
- Keep detailed backup for the trip taken AND a “direct” version of the trip
- Know what you promised to do, and when
- Review your expenses and catch my errors
- When in doubt, ask!