

POST-AWARD ADMINISTRATION GUIDE

Office of Grants & Contracts

Revised - December 2014

Office of Grants & Contracts - Staff



Juan Cisneros III – Director

Julio Medina – Associate Director

Ariana Aguillon – Intermediate Staff Accountant

Julie Barrera – Intermediate Staff Accountant

Topics

- ❑ Mission & Functions
- ❑ Post-Award Process
- ❑ FAMIS/ Canopy
- ❑ Budget
- ❑ Consultant Agreements
- ❑ Reporting Requirements
- ❑ Procurement Card
- ❑ Indirect Costs
- ❑ Time & Effort
- ❑ MAESTRO
- ❑ Project Administration & Monitoring
- ❑ Project Close-Out



Mission and Functions

Mission Statement: Provide management and support in the financial administration of all sponsored projects awarded to Texas A&M International University to help ensure that funds are spent appropriately and that accurate and timely information is provided to the respective sponsor and individuals within the university community.

- Review and approve expenditures
- Review and approve requests for new positions
- Monitor spending
- Submit drawdown requests/ invoices to request reimbursement and process deposits
 - *Only office authorized to submit invoices to grant agency*
- Complete and submit financial reports as required
- Maintain copies of Progress/Performance Reports and other important records in laserfiche

Post-Award Process

- Notice of Award (NOA)
- Office of Grants & Contracts schedules meeting with PI to discuss the following:
 - NOA and other award documents
 - New account application
 - Approved Budget
 - FAMIS/ Canopy
 - Requisition, pro-card process
 - Reporting requirements
 - Billing/ Reimbursement Process
 - Other issues – Independent contracts, cost sharing, time and effort, indirect costs, Maestro



FAMIS/ Canopy

- FAMIS/ Canopy – Approved budget amount reflected in proper budget category
- Carry-Over funds – Typically available for new budget year unless prohibited by sponsor
- ABR Rules
- Budget Report – Budget vs. Actual Expenses
 - Monthly budget report submitted to PI via e-mail. Report reflects the current year budget vs. current year actual expenditures/ available balance. Financial information can be used to monitor spending and keep expenditures at appropriate levels.

FAMIS/ Canopy

Basic FAMIS screens to view financial information (screen shots included on next few slides):

- ❑ Screen 19 – Summary of month and YTD activity
- ❑ Screen 23 – Transaction activity for fiscal year
- ❑ Screen 46 – Transaction activity for specific month
- ❑ Screen 21 – Summary of encumbrances
- ❑ Screen 910 – Document In-Box

- ❑ Canopy – Provides web-based account information
<https://apps2.system.tamus.edu/CanopyTwo/Login.aspx>

019 SL 6 Digit List with Category Totals

10/13/08 09:20

WELCH FOUNDATION CHEMISTRY GRANT-2

FY 2008 CC 16

Screen: Account: 520065 Fiscal Year: 2008

Thru Month: 6_ June FY/PY/IN to Date: FY Zero Balance: N

Resp Person: MANDAL, HARI D Bottom Line Exclusion:

Department: DBIC Flags: D F B C Z G ABR Net Dir BBA:

Map Code: 52000 N N Y R N 002 Unprotected Available:

Obj	Description	Budget	Actual	Encumbrances	Available
0255	Private Contracts &	15000-	15000-		
****	Total Revenue Pool	15000-	15000-		
1100	Salaries Pool	4680			4680
****	Total Salaries Pool	4680			4680
1900	Benefits Pool	1312			1312
****	Total Benefits Pool	1312			1312
4000	Other Expense Pool	9008			9008
****	Total Other Expense	9008			9008

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023 Transaction Inquiry by Account

09/17/07 09:38

TAMIU FRENCH FILM FESTIVAL

FY 2007 CC 16

Screen: Account: **500110** Ref: **2** Direct/Indirect: **D**Bank Option: **N**

Sbcd	TC	Ref 2	Date	Description	Amount	I	BatRef	Offset	Acct
0253	062	0000000	02/20	RCPT 74601 2/15/07	3,150.00-		CODJ08	000200	1610
1510	064	0001664	07/20	BIWEEKLY PAYROLL	500.00		PAYB04	011150	2400
1920	049	0001664	07/20	BIWEEKLY PAYROLL -	38.25	D	PAYB10		
1945	049	0001664	07/20	BIWEEKLY PAYROLL -	1.50	D	PAYB10		
1950	049	0001664	07/20	BIWEEKLY PAYROLL -	0.50	D	PAYB10		
1960	049	0001664	07/20	BIWEEKLY PAYROLL -	30.00	D	PAYB10		
4010	061	S009779	03/23	STORES	95.00		PURS01	299997	4010
4010	061	S009903	04/23	STORES	78.53		PURS01	299997	4010
4010	061	S010037	05/24	STORES	15.00		PURS01	299997	4010
5453	054	R703083	06/11	PAYMENT FOR TECH.S	500.00	D	1246MJ		
5453	054	R703083	06/19	PAYMENT FOR TECH.S	500.00-	C	1489KC		
5453	055	P702784	06/19	JOHN C*PENA	500.00	D	1489KC		
5617	054	R702377	04/12	PAYMENT FOR LAREDO	670.80	D	1246MJ		
5617	054	R702377	05/14	PAYMENT FOR LAREDO	670.80-	C	1489KC		

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046 Transactions for a Month by Reference Number 2 or 4

09/17/07 09:43

SUMMER CAMP 2007

FY 2007 CC 16

Screen: Account: 420098 Month: 8_ Search On Ref: 2 Ref Nbr:

Display Ref: 2 Bank Option: N

Sbcd	TC	Ref 2	Date	Description	Amount	I	BatRef	Offset	Acct
1945	049	0004242	08/03	BIWEEKLY PAYROLL -	0.49	D	PAYB10		
1950	049	0004242	08/03	BIWEEKLY PAYROLL -	0.16	D	PAYB10		
1715	064	0004278	08/17	BIWEEKLY PAYROLL	162.26		PAYB04	011150	2400
1945	049	0004278	08/17	BIWEEKLY PAYROLL -	0.49	D	PAYB10		
1950	049	0004278	08/17	BIWEEKLY PAYROLL -	0.16	D	PAYB10		
1715	064	0004314	08/31	BIWEEKLY PAYROLL	29.89		PAYB04	011150	2400
1945	049	0004314	08/31	BIWEEKLY PAYROLL -	0.09	D	PAYB10		
1950	049	0004314	08/31	BIWEEKLY PAYROLL -	0.03	D	PAYB10		
3410	068	1210472	08/02	ADVANTAGE RENT-A-C	37.10	P	PVP331	042001	2100
3410	068	1210473	08/02	ADVANTAGE RENT-A-C	37.10	P	PVP331	042001	2100
3410	068	1210474	08/02	ADVANTAGE RENT-A-C	37.10	P	PVP331	042001	2100
3410	068	1210475	08/02	ADVANTAGE RENT-A-C	37.10	P	PVP331	042001	2100
6374	068	1210608	08/06	TEXAS A&M INTERNAT	130.00	F	PVP333	042001	2100
6374	068	1210616	08/07	TEXAS A&M INTERNAT	800.00		PRVR07	042001	2100

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021 OC File List

09/17/07 15:24

TEXAS REGIONAL COLLABORATIVE FOR EX

FY 2007 CC 16

Screen: Account: 500101 Ref:

Thru Month: 5 May Include Completed(Y/N): N

Department: DEED Resp Person: GONZALEZ, HUMBERTO R Flags: D F B C Z G ABR
N N N N N Y 002

Obj	Ref	Date	Description	Original	Liquidated	Adjustments	Current
1105	SAL0001	0901	SALARY ENCUMBRAN	15000		12500-	2500
1605	LNGB001	0901	LONGEVITY ENCUMB	60		50-	10
1906	BENB001	0901	BENEFIT ENCUMBRA	2287		1906-	381
3011	L701171	0524	JP MORGAN CHASE	295			295
3125	L701171	0524	JP MORGAN CHASE	30			30
5765	P702472	0517	NCAR SCIENCE STO	1480			1480
6369	P702467	0517	SCIENCE KIT & BO	20800			20800

* Account Total 39951 0 14456- 25495

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Sample Budget Detail & Summary Worksheet

TEXAS A&M INTERNATIONAL UNIVERSITY										
LEP IV #501028		Questions: Please Call Extension 2373								
Grant Period 09/01/06 - 7/31/07										
FISCAL YEAR 2007										
Source: FAMIS Screen 19 - F11										
CODE	CATEGORY	SubCode	2007 Jan	2007 Feb	2007 March	2007 April	2007 May	2007 June	2007 July	ALL YEAR
R	REVENUES	0264								-13,510.46
S	Sal-Teaching Pool	1410								0.00
S	Sal-Support Staff	1510	1,333.34	1,333.34	1,333.34	-1,333.34	2,333.34	2,333.34	7,916.66	16,583.36
S	Sal-Support Staff	1515								0.00
										Salaries/ Wages
S	Wages - Professional	1715								0.00
S	Wages - Classified	1720								16,616.36
S	Lump Sum Termination	1770								0.00
S	Longevity Pay	1610	2.00	2.00	2.00	-2.00	6.00	6.00	15.00	33.00
B	Employee Insurance	1910	84.25	84.25	84.25	-84.25	157.06	157.06	512.32	1,079.19
B	FICA Contributions	1920	98.21	98.21	98.20	-98.20	173.80	173.82	585.52	1,227.77
B	Worker's Comp	1945	4.01	4.01	4.01	-4.01	7.02	7.02	23.80	49.87
B	Unemployment Comp	1950	1.34	1.34	1.34	-1.34	2.35	2.35	7.93	16.65
M	Supplies - Office Gen	4010		201.49						201.49
M	Computer Consumables	4020		95.87						286.58
M	Computer Parts/ Supplie	4090								0.00
M	Fabrics & Linens	4080								0.00
M	Furnishings & Equipm	4085		84.42						84.42
M	Visiting Speakers	5436			5,000.00					5,000.00
M	Machinery & Equipment	5512								0.00
M	Postal Services	5655		35.73						35.73
T	Tvl-In-Public Trans.	3010								60.00
T	Tvl-In-Public Trans.	3011						19.90		19.90
T	Tvl-In-Mileage	3016						453.99		535.34
T	Tvl-In-Incidental Ex	3025						101.80		159.54
T	Tvl-In-Meals & Lodg	3030						901.33		1,961.89
T	Employee Training - Reg	5215								550.00
ME	Food Purchases	6339								0.00
ME	Ent/Business Meals	6340								0.00
Total Direct Costs			1,523.15	1,940.66	6,523.14	-1,523.14	2,679.57	4,156.61	9,061.23	27,884.73

TEXAS A&M INTERNATIONAL UNIVERSITY						
Sample Grant #420000 Year 2 of 5						
Grant Period: October 01, 2009 - September 30, 2014						
Budget Period: October 1, 2010 - September 30, 2011						
PERIOD COVERED: October 1, 2010 - March 31, 2011						
CODE	CATEGORY	YEAR 2 BUDGET	YEAR 1 ROLLOVER	ACTUAL EXPENSES	ENCUMBRANCES	FUNDS AVAILABLE
S	PERSONNEL	9,000.00	0.00	0.00	0.00	9,000.00
B	FRINGE BENEFITS	873.00	0.00	0.00	0.00	873.00
T	TRAVEL	3,500.00	3,535.00	0.00	0.00	7,035.00
C	CONTRACTUAL	1,000.00	0.00	0.00	0.00	1,000.00
S	SUPPLIES	1,270.00	0.00	0.00	0.00	1,270.00
TOTAL DIRECT		15,643.00	3,535.00	0.00	0.00	19,178.00
I	INDIRECT COSTS - 52% (Based on salaries/ wages)	4,680.00	0.00	0.00	0.00	4,680.00
S	STIPENDS-SCHOLARSHIPS	25,000.00	0.00	25,000.00	0.00	0.00
SP	STIPENDS-PRINCIPALS	5,000.00	0.00	0.00	0.00	5,000.00
GRAND TOTAL		50,323.00	3,535.00	25,000.00	0.00	28,858.00
Percent of year expired----->				50.00%		
% of Current Yr Budget		100.00%	7.02%	49.68%	0.00%	57.35%
% of Current/Carryover Budge		93.44%	6.56%	46.42%	0.00%	53.58%

Budget

□ Personnel

- HR - Submit request for new position in TAMIU Works using new project account
- Financial Aid – Submit memo request with appropriate signatures (Chair, Dean, Provost, OGAC) and Student Personnel Requisition form to Liza Valdez. Include position type, paying account and project period. Establish profile in Dusty Works and once approved, create job posting.

□ Supplies

- Utilize pro-card to purchase general office supplies.
- Cleaning supplies (pledge, wipes, hand sanitizers) are unallowable
- Requisition for reimbursement of supplies from sponsored program account should not include sales tax (non-reimbursable). Sales tax must be reimbursed through an alternate account. Tax-exempt form is available on Business Office web-site.



Budget

□ Travel

- Travel advance – Submit request to Business Office at least 5 business days prior to trip.
- Meals – Original itemized receipts required by Business Office if not charged to travel advance card. Receipts not required if travel advance is not requested. Tips are non-reimbursable.
- Foreign travel – Requires President's approval and Risk Assessment
Reference BO web-site for guidelines: <http://www.tamtu.edu/adminis/comptroller/Travel.shtml>
- Export Controls – Contact Dr. Kilburn x3221 for specific procedures

□ Equipment

- Corresponds to items with value \$5,000 or greater
- Maintain equipment inventory form
- Controlled items – Tagged and inventoried annually by the Receiving Dept if value is \$300 or greater

Budget

□ Participant Costs

- Utilize appropriate expense codes (6365 – 6374)
- Participant travel – Travel advance card issued to employee for participant expenses
- Utilize Loaner Agreement for laptops/ i-pads issued to students

□ Contractual

- Independent Contractor Agreement – Third parties (non-employees)
- Service Contract Agreement – Employees
- Forms available on Budget Office web-site: <http://www.tamtu.edu/adminis/payroll/forms.shtml>
Completed/signed agreements reviewed by Budget Office
- Foreign nationals as Independent Contractors – Contact Budget Office
- Foreign nationals on Service Contract – Contact Budget Office



Consultant Agreements

Service Contract (Employee)



TEXAS A&M INTERNATIONAL UNIVERSITY
A Member of The Texas A&M University System

Service Contract Agreement (Employees)

IT IS HEREBY AGREED THAT I, _____, for the period from _____ to _____, will provide the following services:

It is understood that this contract is for services during the above period and does not represent continuing employment with TAMIU. Contract for services shall not exceed \$ _____.

Signature of Employee _____ Date _____ UIN # _____

Mailing address:

Street: _____ City: _____ State: _____ Zip: _____

Dean/Director _____ Date _____

Appropriate V.P. _____ Date _____

Director of Budget, Payroll & Fiscal Analysis _____ Date _____

Preparer's Name: _____ Account #: _____

Date Check Needed: _____

- OGAC reviews:
 - Work to be performed & dates of service
 - Compensation
 - Payment schedule
 - Account #

- Submit prior to start of work
- Payments to Administrators/ Staff – include log of hours
- Checklist not required
- Supporting documentation required

Consultant Agreements

Independent Contractor (Third Party)



TEXAS A&M INTERNATIONAL UNIVERSITY
A Member of The Texas A&M University System

Independent Contractor Agreement

IT IS HEREBY AGREED THAT I, _____, for the period from _____ to _____, will provide the following services:

It is understood that this contract is for services during the above period and does not represent continuing employment with TAMIU. Contract for services and travel expenses shall not exceed \$ _____.

Signature of Contractor _____ Date _____ Social Security # or VID # _____

Mailing address:

Street: _____ City: _____ State: _____ Zip: _____

My signature below signifies that the independent contractor listed above has not been employed by the Texas A&M System or any of its members within the past 12 months. Furthermore, this contract complies with System regulation 25.99.03, "Contracting for External Consultants and Professional Services."

Dean/Director _____ Date _____

Appropriate V.P. _____ Date _____

Director of Budget, Payroll & Fiscal Analysis _____ Date _____

Preparer's Name: _____ Account #: _____

Date Check Needed: _____

(Revised 09/14/09)

- OGAC reviews:
 - Work to be performed & dates of service
 - Compensation
 - Payment schedule
 - Account #
- Submit prior to start of work
- Requires electronic document
- TAMU System Regulation 25.99.03 – Contractor must disclose when employed by state agency within previous two years
- Supporting documentation required

Reporting Requirements

- Review NOA or award agreement for specific due dates, reporting template and submission procedures (e-mail, on-line web-site, mail).
- Programmatic Reports – PI responsible for completing and submitting to agency as required. If financial information is required, please request information from Office of Grants & Contracts at least 5 business days prior to due date. Provide copy to OGAC upon submission.
- Financial Reports – Completed and prepared by Office of Grants & Contracts.



Procurement Card

- Pro-Card
 - OGAC will also review/approve purchases/ expenditures
 - Catering and snacks – Maintain signature log of attendees, purpose of meal/meeting and agenda and include with pro-card statement when used to pay for catering/snacks
 - Business Meals – Generally unallowable
<http://www.tamtu.edu/adminis/comptroller/AccountsPayable.shtml>
 - Pro-Card purchasing guidelines:
<http://www.tamtu.edu/adminis/purchasing/purchasingcard.shtml>

Indirect Costs

- Facilities & Administrative Costs recovered from award
- Rate approved by Dept. of Health & Human Services – current rate is 39% of MTDC and valid Sept 2012 – August 2016
- PI receives 10% of indirect cost amount
- IDC funds processed monthly and recorded to PI's IDC account
- Funds may be used as normal operating expenses to support program or dept: personnel, supplies/ materials, software, books, consultants, travel, food. IDC funds from research awards should support research initiatives.
- Unallowable items include: door prizes, gifts, alcohol, purchase of personal items

Time & Effort

- Time and effort reporting is a process mandated by the federal government to verify that direct labor charges (salaries and wages) on federally sponsored projects are reasonable and reflect actual work performed.
- Additional information, including “how to” videos” for certifying your documents and your employee’s documents, can be found at: <https://apps4.system.tamus.edu/Help/TimeAndEffort/overview/home/>
- Training module is also available in TrainTraq (course # 2111113) but it is not required

Time & Effort

- Certification process – Bi-weekly vs. Monthly employees
- Certification for Bi-Weekly Employees
 - Utilizes Time-Traq system
 - Certification provided by approving manager
 - Frequency – Certification step is completed during bi-weekly pay period process once timesheet is approved
- Certification for Monthly Employees
 - Utilizes Time and Effort module accessible through Single Sign-On screen. Log-in at <https://sso.tamus.edu/Logon> and then select Time and Effort option to view and certify documents.
 - Certification completed by PI eligible employees
 - Frequency – Reports are generated semi-annually (mid-July and mid-January, based on calendar year). Certification should be completed within 45 days after document is “open.”

MAESTRO

- Sponsored program management system under development by TAMU
- Includes pre-award, post-award and compliance components
- Pre-Award module implemented September 2013 and is used to track all new grant proposals
- Post-Award module
 - Implementation completed December 2014
 - Used to manage sponsored projects awarded to University. Includes project information, negotiations, terms and conditions, deliverables, indirect costs, billing, cost sharing
 - Financial expenditures and payroll activity are available
 - Link <https://maestro.tamus.edu>

Project Administration & Monitoring

- New Uniform Guidance (2 CFR 200) includes revised cost principles for federal awards made on or after December 26, 2014. Principles should be considered in budget preparation process and for post-award management.
- Expenditures – Contact OGAC for questionable items (OMB Circular A-21 and respective agency's guidelines)
- Effort should be made to expend grant funds in a timely manner.
- Budget Amendments - Requires review from OGAC prior to submission
- Requests (reallocation, extension, etc.) should be submitted to agency well before the program end date.
 - Extension – complete unfinished activities; no change in scope of work; not merely to use unexpended funds
- Prior Approval required for change in scope, change in key personnel, additional funds

Project Administration & Monitoring

- Cost Sharing/Matching - PI responsible for ensuring commitments are met (documentation required)
- Expense Object Codes
 - Quick reference guide available at:
<http://www.tamtu.edu/adminis/comptroler/AccountsPayable.shtml>
 - Independent Contractor Travel – Codes 5695 – 5698 no longer available. Use code 5699 to identify contractor travel.
- Program Income/ Revenue
- Records Retention – Maintain project records for a period of three years after submission of final report(s). Instructions/forms to help manage the records retention and destruction process are available on Public Relations web-site: http://www.tamtu.edu/newsinfo/office/records_forms.shtml
- Annual Director's Meeting – Provide OGAC with pertinent financial information upon return

Project Close-Out

- Notice of project close-out sent 30-90 days prior to end date.
- Review budget for available funds – possibility for extension
- Services and travel must occur prior to end date. Stockpiling of supplies is unallowable.
- Ensure all contracts, travel and invoices are submitted for payment (requisitions). Review open encumbrances and delete those which are not valid.
- Contact Human Resources for procedures separation of employment on grant-funded positions.
- For recurring charges (phone, fax, internet), provide updated account to respective department.
- Equipment/ inventoried items – Ownership resides with university. Need agency approval to transfer to external entities.
- Ensure cost share/matching commitments are met and have been documented.
- Final Performance Report submitted to grant agency with a copy to OGAC. Final Financial Report (other close-out documents) prepared and submitted by OGAC.

Questions



Office of Grants & Contracts

Location: KL-332

Staff:

Juan Cisneros III x 2373

Julio Medina x 2376

Ariana Aguillon x 2370

Julie Barrera x 2372

Web-page:

<http://www.tamtu.edu/adminis/grants/index.shtml>