



THE UNIVERSITY OF NEW MEXICO

Setting up a Department Grant File

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Organizing UNM Contracts and Grants

This Manual will help you to understand Contracts and Grants at UNM, and will assist you in evaluating the way your department manages Contracts and Grants. If you determine upon evaluation that changes in your department processes need to be implemented, this material will help you decide what changes to make.

The goal of this manual is to make the management of Contracts and Grants more effective for you, your principal investigators, and your department as a whole.

Introduction

About Contracts and Grants

Contracts are legal agreements entered into by UNM and one or more party to provide a good or service in exchange for money. The Contract will spell out what UNM is to provide, when it is to be provided, and other pertinent information.

Grants are awards of money to be used for a specific purpose. Grant money is not a loan or a gift.

At UNM, both Contracts and Grants are tracked in the Contract and Grant Accounting Office (CGAO). The Pre-Award office is responsible for assisting principle investigators (PIs) and their departments in the proposal stage of a contract or grant.

Once the award notification is sent to the CGAO, an index is set up in Banner and all expenditures must be recorded in Banner. These funds are restricted funds. There are specific ways in which these funds may be spent, and the purchases made with these funds must further the scope of work of the contract or grant award.

Departmental Responsibilities

The PI is responsible for overall project management and completion of the statement of work. The PI (or a delegate) is also responsible for initiating and reviewing expenditure documents and reconciling. An efficient way of gathering and tracking contract and grant documents is necessary. Contracts and grants spending must be monitored for appropriateness per the award documents, and for accuracy. Any errors should be corrected monthly. Original source documents must be retained by the department, these are usually time cards, participant records, and technical reports. The CGAO is responsible for retaining any documents processed centrally (e.g. travel vouchers, purchase requisitions).

There is no “one way” to properly organize contract and grant documents. Some basic methods are:

- 1) Have an organizational plan. Select a way to organize your contracts and grants that works for you.

- 2) Keep key documents for each contract or grant readily available as well as other information collected and accumulated for that contract or grant.
- 3) Have an assigned person for each contract or grant who is responsible for:
 - a. Understanding the contract or grant
 - b. Reconciling the contract or grant monthly
 - c. Communicating with the principle investigator (PI) regularly about the contract or grant

You may have different people assigned to complete each of these tasks, but each task will be done for each contract or grant within your department.

Document Collection Systems

Binders. Put all the information concerning a given contract or grant in a binder with tabs dividing the material into sections such as Correspondence, Grant Documents (award document, index notification, cost share documentation, F&A split) agreements, Cost Categories (salaries, supplies, travel, subcontracts, equipment, etc.).

Accordion Folders. Same as above, but use less expensive folders. The categories into which the material is divided generally depends on the contract or grant involved for any document collection system. For instance, if sub awardees are involved, a sub awardee section is included. If cost share is involved, a cost share section is included.

Manila folders. Same as above, but using manila folders and kept in a filing cabinet drawer.

Documents

Generally, a copy of all contract and grant documents are kept by the department. These may include:

Pre Award Documents

Final Proposal

This is what the principal investigator submitted to the awarding agency to obtain the grant. "Final" means this is the one that the grantor accepted. It may have a different budget than the preliminary proposals, especially if the grantor did not award all the money that was requested.

The Internal Budget Worksheet (HSC)

This is an important document. It explains how your department estimated the pricing and translated the budget information to the proposal (bid) document. You may need this if the sponsor wants a breakdown or explanation of cost elements. It will show you what dollar amounts are expected to be spent in each Banner expense account.

Cost Share Commitment Form

If cost share is involved, this document will explain how much cost share is proposed, and where the cost share money is coming from.

F&A Split Agreement

F&A stands for Facilities and Administration. A percentage of the F&A earned is usually returned to departments, and it may be split between several areas within UNM, depending on the grant. This documentation will list which departments are involved, and what the percentage of return will be. Each department tracks the F&A expense to make sure it is correct.

Proposal Data Sheet (PDS) or Proposal Summary

This is an internal document that contains information about the proposal. It is completed by the PI or department administrator, and routed to the appropriate Pre-Award office.

Post Award Documents

Award Notice, Award Modifications, and Pre-Award Transmittal Sheet

The award notice comes from the granting agency and contains the terms and conditions of the award. The Pre-Award office generates a transmittal sheet which summarizes the award and sends the transmittal and a copy of the award to the department and the CGAO. If an award is modified (e.g. period of performance or additional funding), the Pre-Award office generates another transmittal sheet to include the modification.

Notice of Index or Indices

The CGAO will send an email to the department notifying them that an index has been created in Banner. This will be the index used to expense items to the grant via P-Card, requisitions, payroll, DPEZx, and purchase orders. Until an index is set up, you cannot expense items to the grant. You will also receive the Signature Authorization Form with the Index notice. This form delegates signature authority and indicates the over-expenditure index to be used.

Sub Award Contract and Invoices

If one or more sub awards exist, the Pre-Award office will generate a contract to the subcontractor. It contains the terms and conditions of the sub award, the budget, and the statement of work. The subcontractor will submit invoices for payment according to the terms of the award.

Expenditure Documents

These can include copies of DPIS, Journal Vouchers, Purchase Requisitions, stipends, honorariums, internal service invoices, etc.

Reports

Copies of monthly expenditure reports, generated from either Banner or internally, and any reconciliation notes should be filed.

Closeout Process

Once the grant fund is complete, a closeout process occurs. This process will be initiated via workflow. Workflow will generate an email to the account administrator listed for the grant in FRAGRNT. The PI will be copied but will not have access to the closeout documents. Those can only be accessed by the account administrator. This will happen when the grant fund is due to end in 90 days.

The account administrator will respond to the email that the grant fund is ending (or is being extended). If it is ending, The Fiscal Monitor will receive notification, and will forward the account administrator the closeout documentation.

Once the account administrator has completed the closeout documentation and returned it to the Fiscal Monitor, and the Fiscal Monitor will close the grant fund.

Final Reconciliation

In order for the CGAO to close the grant, a final reconciliation will need to be done. The department will verify that the expenses in Banner are correct throughout the life of the grant. They will return information received via workflow to the CGAO. Once this information is received, the grant will be closed. No more financial activity will be allowed in Banner when the grant has been closed.

Closeout Helps

- Reconcile monthly. When the grant fund closes, you will only have the last month to examine and correct for any irregularities before completing and returning the closeout documentation to the Fiscal Monitor.
- Use Hyperion Report **FRH0005-Closeout Workflow for funds ending on Contracts and Grants**, run by account administrator, to see where your grants are in the closeout process.
- The Department Closeout Checklist (Appendix 2) can be used to help you get through all the steps of closeout successfully.

Shadow System Pros and Cons

A shadow system is a duplicate financial system departments may utilize to track their grants. When used, the shadow system **MUST** be reconciled to Banner monthly. Shadow systems are developed by the department, and may be as simple as an excel worksheet used to list all expenses as

they are incurred, or a more complex access database or excel worksheet with complex formulas and macros.

Positive Aspects:

- Shadow systems can track Payroll encumbrances and all other encumbered items accurately if a well constructed system is used and maintained.
- Shadow systems can be used to develop budget scenarios.
- Shadow systems can be used as a tool when reconciling Banner. If all entries are made accurately to the shadow system, anything in Banner that is not in the shadow system is investigated and corrected and vice versa.
- Shadow systems can be used to produce customized reports.

Negative Aspects:

- Banner does all of the above, with the exception of some advanced payroll encumbrance tracking.
- In order to track payroll encumbrances in a shadow system, a great deal of expertise is required to develop and maintain the system.
- For the most part, shadow systems are duplicate work.

Reconciliation

Reconciling your grant indices is expected to occur monthly. This means someone looks at all the expenses in Banner, using either Banner forms or Hyperion reports, and makes sure all the expenses:

- Are expenses pertaining to the grant. This includes payroll expenses.
- Are allowable on the grant.
- No expenses to your grant are missing.

Reporting

The most common reports available in Hyperion that are used when working with Contracts and Grants are:

Hyperion:

Examples of these reports are in Appendix 1. Note the different layouts and report lengths, depending on what selection criteria is used.

FRH0001 & FRH0002-Grant Ledger Detail and Summary Reports

Note that the detail page (Appendix 1A) is page 5 of 10. This report runs for one month, or inception to date. You cannot run a fiscal year with this report.

The Summary report for the same grant (Appendix 1B) is only 2 pages long. Both reports can be exported or printed.

FRH0003-Contract and Grant Ledger Executive Summary Report

The Executive Summary report is run by organization level. It can be run within an organization by grant, as the example report (Appendix 1C) was. This report shows active grants, inception to date.

FRH0004-F&A Generated by PI

This F&A report by PI shows all the F&A generated for a selected organization level. In the example (Appendix 1D) the organization chosen is 564A.

FRH0005-Closeout Workflow for funds ending on Contracts and Grants

You may also run the Hyperion Closeout Workflow report by organization, PI, or Account Administrator, to see what is outstanding and where it is in the workflow process.

FSH0001-Salary Labor Benefits and Encumbrance Report

The Salary report, FSH0001, will show you the salary breakdown, by employee and by index. It will allow you to reconcile the salary area of your indices.

FSH0002- Labor Distribution Report

The Salary Labor Distribution Report, FSH0002, also adds the percent of the employee's distribution to each index included. This report can be used to make sure the amount of each employee on a grant is correct.

FOP Hierarchy and Index Lookup Report

This report is currently in Hyperion under "Finance". It will be moved to the Production folder in Hyperion soon. This report can be run by index, fund, organization or program code. You are able to look up FOAPAL elements with this report.

When this report is run by organization code, it will give you, in the far left column, the financial Manager's name for that segment of the organization. It will also give you the current operating ledger balance, showing you at a glance what areas are in an over expenditure condition.

Customized Reports:

Many departments customize reports for their monthly meetings with their PIs. Some PIs want all the detail and some want a summary level report. All seem to want to know how much of the grant they have left to spend. In cases where customized reports are used, a section showing projected expenses, such as future payroll expense and F&A expense, is usually included. When all the projected future expenses are included, the amount left is the number the PI wants to see; what he has remaining to spend.

Appendices

Appendix 1A- FRH0001 Contract and Grant Ledger Transaction Detail Report

FRH0001		Contract and Grant Ledger Transaction Detail by Index Through The Month of OCT 2010				Run Date/Time: 10/14/10 02:39 PM		
GRANT: 2R422: Advanced High-power Near-infrared								
<u>Transaction</u>			<u>Document</u>				<u>Encumbrances</u>	
<u>Date</u>	<u>Initiator</u>	<u>Transaction Description</u>	<u>ID</u>	<u>Type</u>	<u>Rule Class</u>	<u>Budget</u>	<u>Actuals</u>	<u>/Reservations</u>
Account: 3110 - Books Periodicals Gen								
03/10/2005	MOTERO	Manuals Plus	S0077207	INV	IPNI	0.00	61.97	0.00
Account: 3110 Total:						\$0.00	\$61.97	\$0.00
Account: 3140 - Computer Software Gen								
04/13/2005	MOTERO	Symantec	S0094195	INV	IPNC	0.00	(2.02)	0.00
04/13/2005	MOTERO	Symantec	S0094196	INV	IPNC	0.00	(2.02)	0.00
04/13/2005	MOTERO	Symantec	S0094198	INV	IPNI	0.00	31.97	0.00
Account: 3140 Total:						\$0.00	\$27.93	\$0.00
Account: 3180 - Non Capital Equipment <\$5,001								
06/30/2004	LGULBRAN	324821 - Actuals Converted	JGBD04	JV	ITG	0.00	1,196.00	0.00
Account: 3180 Total:						\$0.00	\$1,196.00	\$0.00
Account: 31K0 - Postage Gen								
09/01/2004	JNIXON	United Parcel Service	I0005048	INV	INNI	0.00	4.81	0.00
09/27/2004	MOTERO	Apollo Instruments Inc	I0021290	INV	INNI	0.00	50.00	0.00
03/30/2005	JNIXON	DHL VS2031	J0027536	JV	JE2	0.00	103.00	0.00
Account: 31K0 Total:						\$0.00	\$157.81	\$0.00
Account: 3800 - In State Travel Gen								
06/30/2004	LGULBRAN	324821 - Actuals Converted	JGBD04	JV	ITG	0.00	5,059.54	0.00
06/30/2004	JOKEEFE	324821 - Budgets Converted	JBDM17	JV	ITB	5,325.00	0.00	0.00
Account: 3800 Total:						\$5,325.00	\$5,059.54	\$0.00
Account: 3820 - Out Of State Travel Gen								
11/30/2004	JLILLIE	Mocofanescu, Anca	I0045621	INV	INNI	0.00	1,321.14	0.00
12/13/2004	JLILLIE	Jain, Ravinder K.	I0050213	INV	INNI	0.00	1,706.90	0.00
06/01/2005	JLILLIE	Jain, Ravinder K.	I0088064	INV	INNI	0.00	2,180.11	0.00
10/01/2005	JNIXON	DPI0088064/TV/Jain/OFCINFOED/Mar 0	J0054170	JV	JE2	0.00	(2,180.11)	0.00
Account: 3820 Total:						\$0.00	\$3,028.04	\$0.00
Account: 3840 - Foreign Travel Gen								
06/30/2004	LGULBRAN	324821 - Actuals Converted	JGBD04	JV	ITG	0.00	3,448.87	0.00
06/30/2004	JOKEEFE	324821 - Budgets Converted	JBDM17	JV	ITB	1,800.00	0.00	0.00
Account: 3840 Total:						\$1,800.00	\$3,448.87	\$0.00
Account: 4000 - Student Tuition Fee Expense Gen								
11/23/2004	FINANCEAPPWORX	MOCOFANESCU,ANCA FALL04 000357	SA000257	JV	JFR	0.00	513.75	0.00

Appendix 1B-FRH0002 Contract and Grant Ledger Summary Report

FRH0002		Contract and Grant Ledger Summary Through The Month of OCT 2010			Run Date/Time: 10/14/10 03:02 PM		
GRANT: 2R422: Advanced High-power Near-infrared							
<u>Account Code: Description</u>	<u>Budget Including Revisions</u>	<u>Current Month Actual</u>	<u>FYTD Actual</u>	<u>Project Inception to Date</u>	<u>Encumbrances /Reservations</u>	<u>Available Balance</u>	<u>Percent % of Budget</u>
Revenue							
0410 - Federal Grants Contracts Gen	\$328,301.00	\$0.00	\$0.00	\$328,301.00	\$0.00	(\$0.00)	-0.00
RevenueTotal:	\$328,301.00	\$0.00	\$0.00	\$328,301.00	\$0.00	(\$0.00)	-0.00
Expenses							
2000 - Faculty Salary Detail Gen	\$25,535.00	\$0.00	\$0.00	\$35,305.36	\$0.00	(\$9,770.36)	-38.26
2020 - Administrative Professional Gen	\$0.00	\$0.00	\$0.00	\$7,051.72	\$0.00	(\$7,051.72)	0.00
2040 - Technician Salary Detail Gen	\$10,000.00	\$0.00	\$0.00	\$2,948.54	\$0.00	\$7,051.46	70.51
20A0 - Ga Ta Ra Pa Salaries Gen	\$22,140.00	\$0.00	\$0.00	\$11,587.12	\$0.00	\$10,552.88	47.66
20F0 - Housestaff Postdoc Salaries Gen	\$84,675.00	\$0.00	\$0.00	\$90,198.26	\$0.00	(\$5,523.26)	-6.52
21E0 - Tuition Waivers Gen	\$3,624.00	\$0.00	\$0.00	\$1,841.60	\$0.00	\$1,782.40	49.18
21J0 - Other Staff Benefits Gen	\$21,451.00	\$0.00	\$0.00	\$17,247.75	\$0.00	\$4,203.25	19.59
21S0 - Ra Pa Tuition Compensatio Gen	\$0.00	\$0.00	\$0.00	\$513.75	\$0.00	(\$513.75)	0.00
3100 - Office Supplies General	\$7,550.00	\$0.00	\$0.00	\$11,330.95	\$0.00	(\$3,780.95)	-50.08
3110 - Books Periodicals Gen	\$0.00	\$0.00	\$0.00	\$61.97	\$0.00	(\$61.97)	0.00
3140 - Computer Software Gen	\$0.00	\$0.00	\$0.00	\$27.93	\$0.00	(\$27.93)	0.00
3180 - Non Capital Equipment <\$5,001	\$0.00	\$0.00	\$0.00	\$1,196.00	\$0.00	(\$1,196.00)	0.00
31K0 - Postage Gen	\$0.00	\$0.00	\$0.00	\$157.81	\$0.00	(\$157.81)	0.00
3800 - In State Travel Gen	\$5,325.00	\$0.00	\$0.00	\$5,059.54	\$0.00	\$265.46	4.99
3820 - Out Of State Travel Gen	\$0.00	\$0.00	\$0.00	\$3,028.04	\$0.00	(\$3,028.04)	0.00
3840 - Foreign Travel Gen	\$1,800.00	\$0.00	\$0.00	\$3,448.87	\$0.00	(\$1,648.87)	-91.60
4000 - Student Tuition Fee Expense Gen	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	0.00
49Z0 - Other Research Costs Gen	\$0.00	\$0.00	\$0.00	\$2,838.68	\$0.00	(\$2,838.68)	0.00
63A0 - Conference Fees Gen	\$0.00	\$0.00	\$0.00	\$865.00	\$0.00	(\$865.00)	0.00
63L0 - Typesetting Printing Gen	\$2,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$2,000.00	100.00
70D0 - Equipment Repairs Maintenance Gen	\$0.00	\$0.00	\$0.00	\$696.28	\$0.00	(\$696.28)	0.00
8600 - Loss On Sponsored Project Gen	\$0.00	\$0.00	\$0.00	(\$22.16)	\$0.00	\$22.16	0.00
89Z0 - F and A Expense Gen	\$92,051.00	\$0.00	\$0.00	\$97,702.50	\$0.00	(\$5,651.50)	-6.14
9000 - Equipment/Furniture >\$5,000	\$0.00	\$0.00	\$0.00	\$13,215.49	\$0.00	(\$13,215.49)	0.00
9040 - Equipment Non Unm Titled Gen	\$52,150.00	\$0.00	\$0.00	\$22,000.00	\$0.00	\$30,150.00	57.81
ExpensesTotal:	\$328,301.00	\$0.00	\$0.00	\$328,301.00	(\$0.00)	(\$0.00)	-0.00

Appendix 1C-FRH0003 Contract and Grant Ledger Executive Summary Report

FRH0003		Contract and Grant Ledger Executive Summary by Grant						Run Date/Time: 10/14/10 03:21 PM		
Through The Month of OCT 2010										
For Grant Organization Level 5: 564A										
Agency	Grant Title	PI	Grant	Budget Including Revisions	Project Inception to Date	Encumbrances/Reservations	Available Balance	Percent of Budget	Project End Date	
National Institutes of Health	ARRA-Evaluation of a CCR5	Chackerian	3R88Z	\$1,000,000.00	\$430,124.25	\$102,185.67	\$467,690.08	53.23	08/31/11	
Gates (Bill and Melinda) Founda	A VLP-Based Phage Display	Chackerian	3R83B	\$100,000.00	\$79,217.04	\$7,403.32	\$13,379.64	86.62	10/31/10	
National Institutes of Health	A VLP-based Platform for Va	Chackerian	3RA83	\$300,167.00	\$3,225.32	\$30,145.48	\$266,796.20	11.12	07/31/14	
National Institute of Allergy and I	Autography in Tuberculosis	Deretic	3R50R	\$1,455,115.00	\$1,361,410.13	\$37,178.16	\$56,526.71	96.12	11/30/11	
National Institutes of Health	ARRA-Autophagy and Crohn	Deretic	3R87N	\$500,000.00	\$264,721.45	\$16,174.33	\$219,104.22	56.18	08/31/11	
National Institutes of Health	Pattern Recognition and Re	Deretic	3R84M	\$875,575.00	\$387,161.93	\$136,960.83	\$351,452.24	59.86	05/31/14	
Crohns & Colitis Foundation of A	Crohn's Disease and Autoph	Deretic	3R70X	\$288,646.00	\$172,886.52	\$45,769.37	\$69,990.11	75.75	06/30/11	
The Foundation for AIDS Resear	Autophagy and Intracellular I	Deretic	3R73Q	\$120,000.00	\$114,951.90	-\$0.00	\$5,048.10	95.79	01/31/10	
Cystic Fibrosis Foundation	Furin and Cystic Fibrosis	Deretic	3R67F	\$112,245.00	\$112,226.35	\$0.00	\$18.65	99.98	03/31/10	
National Institutes of Health	Polony Sequencing the Hum	Edwards	3R59A	\$900,000.00	\$898,967.85	\$794.69	\$237.46	99.97	07/31/11	
National Institutes of Health	Sequencing Chr 6 in Melanc	Edwards	3R75P	\$371,250.00	\$372,566.44	\$570.91	(\$1,887.35)	100.51	08/31/10	
National Human Genome Rese	Polony Sequencing and the	Edwards	3RA71	\$1,047,823.00	\$32,796.40	\$148,829.78	\$866,196.82	17.33	06/30/13	
National Institutes of Health	ARRA-C-Reactive Protein R	Mold	3R88R	\$414,063.00	\$185,505.45	\$59,572.93	\$168,984.62	59.19	08/31/11	
National Cancer Institute	Regulation Of V-myb & C-m	Ness	3R029	\$1,141,027.00	\$980,539.06	\$32,158.07	\$128,329.87	88.75	07/31/11	
National Institute of General Mec	Genetic Analysis Of Cell Cyc	Osley	3R164	\$1,346,625.00	\$1,133,749.73	\$54,913.21	\$157,962.06	88.27	03/31/11	
National Cancer Institute	Chromatin Regulation of Do	Osley	3R36Z	\$1,300,370.00	\$1,117,345.94	\$34,458.11	\$148,565.95	88.58	01/31/11	
National Institutes of Health	ARRA-Genetic Analysis of H	Osley	3R86W	\$164,450.00	\$90,096.15	\$28,218.50	\$46,135.35	71.95	03/31/11	
National Institutes of Health	Deregulated Wnt Signaling i	Osley	3R85K	\$53,810.00	\$43,926.39	\$0.00	\$9,883.61	81.63	11/30/10	
University of Wisconsin	Identification and Preclinical	Ozbun	3R67G	\$65,000.00	\$57,076.69	\$0.00	\$7,923.31	87.81	08/31/10	
American Cancer Society Inc	Nitric Oxide & Tobacco As C	Ozbun	3R24T	\$718,000.00	\$699,980.07	\$0.00	\$18,019.93	97.49	06/30/10	
National Institutes of Health	Entry of Oncogenic HPVs int	Ozbun	3R77M	\$622,500.00	\$527,707.76	\$47,099.20	\$47,693.04	92.34	11/30/13	
The Susan G Komen Breast Cai	Human Papillomaviruses: C	Ozbun	3R44R	\$145,802.00	\$145,766.79	\$2,440.00	(\$2,404.79)	101.65	04/30/10	
National Institutes of Health	Hantavirus RNA Encapsidat	Panganiban	3R71U	\$1,121,250.00	\$875,754.41	\$82,465.79	\$163,029.80	85.46	05/31/13	
National Institutes of Health	Bacteriophage MS2 Virus-Li	Peabody	3R73D	\$982,123.00	\$664,185.56	\$102,301.47	\$215,635.97	78.04	05/31/12	
National Science Foundation	ARRA-Interactions in Yeast	Ruby	3R85H	\$723,443.00	\$203,345.10	\$41,358.36	\$478,739.54	33.82	08/31/12	
National Science Foundation	EAgar: Shifting the Spliceos	Ruby	3R92F	\$30,000.00	\$26,632.64	\$1,621.51	\$1,745.85	94.18	01/31/11	

Appendix 1D-FRH0004 F&A Generated by PI Report

FRH0004

F&A Generated by PI

Report Run Date: 10/14/10 03:34 PM

* This amount reflects total F&A generated, not the amount returned to your unit :(

For The Period Of: JAN 2009 Through DEC 2009

<u>Agency Name</u>	<u>Grant ID</u>	<u>Index Code</u>	<u>Index Title</u>	<u>Total Activity</u>
Alzheimer's Association	3R30U	564138	330U0 Vaccines Against Amyloid	\$0.00
American Cancer Society Inc	3R24T	564233	3R24T-Nitric Oxide & Tobacco as Cof	\$22,860.01
Crohns & Colitis Foundation of America Inc	3R70X	564285	370X1 Autophagy and Crohn's Disease	\$2,776.37
Crohns & Colitis Foundation of America Inc	3R70X	564316	370X2 Autophagy in Crohn's Disease	\$0.00
Crohns & Colitis Foundation of America Inc	3R70X	564264	370X0-HR Crohn's Disease and Autoph	\$5,660.62
Cystic Fibrosis Foundation	3R22R	564244	322R2-Increased TGF-beta in CF	(\$195.42)
Cystic Fibrosis Foundation	3R67F	564262	367F0-Furin and Cystic Fibrosis	\$1,531.70
Cystic Fibrosis Foundation	3R67F	564282	367F1-Furin and Cystic Fibrosis	\$5,418.20
Department of Defense	3R64A	564259	364A0-Computational Modeling	(\$1,819.06)
Glaxo Foundation	3R08H	564133	457371-GLAXO WELLCOME-General Activ	\$246.03
Glaxo Smith Kline	3R35Z	564146	33520-Clinical Trial - Phase III	\$80.00
Glaxo Smith Kline	3R35Z	564149	33520-Clinical Trial Phase III	\$50,102.46
Glaxo Smith Kline	3R63R	564258	363R0-Clinical Trial Agreement	\$672.48
Glaxo Smith Kline	3R15Y	564093	315Y0 Clinical Trial Phase III	\$0.00
Glaxo Smith Kline	3R15Y	564192	430851-Clinical Trial Phase III	\$34,218.24
Glaxo Smith Kline	3R47X	564172	347X0 Clinical Trial Phase III b	\$7,480.25
Glaxo Smith Kline	3R14B	564132	416441-GLAXOSMITHKLIN-General Activ	\$250.25
Merck & Company Inc	3R55P	564241	355P0 Clinical Trial	\$0.00
Merck & Company Inc	3R55O	564242	355O0 Clinical Trial	\$0.00
Merck & Company Inc	3R513	564098	431921-MERCK & CO INC	(\$8,233.20)
Merck & Company Inc	3R510	564097	431821-MERCK & CO INC	\$6,353.62
National Cancer Institute	3R36Z	564147	33620 - Chromatin Regulation of Do	\$0.00
National Cancer Institute	3R36Z	564148	33620-Chromatin Regulation of Dou	\$80,377.39
National Cancer Institute	3R10U	564141	310U0 DSB Repair, Recombination	(\$840.51)
National Cancer Institute	3R10U	564188	416641 DHHS/PHS/NIH/NCI	\$21,985.43
National Cancer Institute	3R243	564086	413302-DHHS/PHS/NIH/NCI	(\$391.24)
National Cancer Institute	3R243	564112	413301-DHHS/PHS/NIH/N-Crosswalk Uni	\$0.00
National Cancer Institute	3R212	564081	412278-DHHS/PHS/NIH/NCI	\$0.00
National Cancer Institute	3R212	564080	412277-DHHS/PHS/NIH/NCI	\$0.00
National Cancer Institute	3R252	564087	413512-DHHS/PHS/NIH/NCI	\$0.00
National Cancer Institute	3R29M	564134	329M0 Myb Protein Specificity in	\$65,775.02
National Cancer Institute	3R029	564168	30292 HR-Regulation of the v-Myb	\$87,173.76
National Cancer Institute	3R029	564311	30293 Regulation of v-Myb Oncoprote	\$0.00
National Cancer Institute	3R11F	564186	416771 DHHS/PHS/NIH/NCI	\$0.00
National Institute of Allergy and Infectious Disease	3R50R	564177	350R0 - Autophagy in Tuberculosis	\$123,545.94
National Institute of Allergy and Infectious Disease	3R40W	564153	340W0 HR-Induction of Autoantibod	\$43,811.99
National Institute of Allergy and Infectious Disease	3R25L	564235	3R25L-Innate Immunity and Bacterial	\$51,405.43
National Institute of Allergy and Infectious Disease	3R075	564072	403843-DHHS/PHS/NIH/NIH/NCI	(\$852.14)
National Institute of Allergy and Infectious Disease	3R074	564108	3R074 Mechanism of M. tuberculosis	\$67,858.44
National Institute of Allergy and Infectious Disease	3R074	564174	30742-SerioDeHaro Supplement	\$6,944.79
National Institute of Allergy and Infectious Disease	3R073	564070	403822-DHHS/PHS/NIH/NIH/NCI	\$25,106.56
National Institute of General Medical Sciences	3R164	564181	31641-Genetic Analysis of H2B	\$108,758.84
National Institutes of Health	3R87N	564294	ARRA-387N0-Autophagy and Crohn's Di	\$9,881.69

Appendix 1E- FRH0005 Closeout Workflow for Funds Ending on C&G Report

FRH0005

10/15/10 09:01 AM

Waiting for AA to Respond to Recon

Fund Code	Grant Code	Index Code	Org Code	Duration	PI	AA	FM
3R63H0	3R63H	523517	523K03	91	Peter Jensen	Patricia Montano	Nancy Abeyta

Total Script(x):uncaught

Appendix 1F- FSH0001-Salary Labor Benfits and Encumbrance Report

Fund: 3U0044		Salary Labor Benefits and Encumbrance by Index										Report Run Date/Time: 10/29/10 01:00 PM	
Orgn: 258B		For the month of September, FY2010											
Prog: P131		Index: 258000 - Unrestricted Acct HSC Admin											
Actv: GNACTV													
Included Months: September													
Pay Trans ID	Trans Code	Trans Date	Labor	Fringe FICA (2110, 2120)	Fringe Retirement (2140)	Fringe Insurance (2160)	Fringe UE-Comp (2180)	Fringe WC-Comp (21A0)	Prof Liability (21C0)	Fringe Other (21J0)	Total Fringe	FYTD Salary Encumbrance	
Index: 258000 - 2020													
		09/10/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	41,356.09	
		09/25/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	(1,606.06)	
		09/30/09	1,606.06	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Subtotal:			\$1,606.06	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$39,750.03	
		09/25/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	(5,806.63)	
		09/30/09	5,806.63	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Subtotal:			\$5,806.63	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	(\$5,806.63)	
		09/25/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	(7,146.91)	
		09/30/09	7,146.91	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Subtotal:			\$7,146.91	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	(\$7,146.91)	
		09/25/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	(3,057.45)	
		09/30/09	3,057.45	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Subtotal: -			\$3,057.45	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	(\$3,057.45)	
		09/25/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	(1,240.29)	
		09/30/09	1,240.22	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
Subtotal:			\$1,240.22	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	(\$1,240.29)	
		09/25/09	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	(3,577.08)	
		09/30/09	3,577.08	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	

X

Appendix 1G- FSH0002-Labor Distribution Report

FSH0002

Active Labor Distribution by Organization

997B0 Pediatrics General Administration

Banner Id	Employee Name	Index Code	Account Code	Position	Suffix	Position Title	Hiring Org	Dist %	FTE %	Job Start Date	Job End Date	Labor Dist Start Date	Labor Dist End Date
		997252	2000	FY0254	00	Clinician Ed-Assoc Prof	523F	6.76	100	08/17/2010	11/24/2010	11/01/2010	12/31/2099
		997252	2000	FY0254	00	Clinician Ed-Assoc Prof	523F	6.76	100	08/17/2010	11/24/2010	10/01/2010	10/31/2010
		997252	2000	FY0254	00	Clinician Ed-Assoc Prof	523F	6.76	100	11/25/2010	12/31/2099	11/01/2010	12/31/2099
		997252	2000	FY0254	00	Clinician Ed-Assoc Prof	523F	6.76	100	11/25/2010	12/31/2099	10/01/2010	10/31/2010
		997256	20F0	RP0001	00	Resident Physician III	400C	8.49	100	07/01/2010	06/30/2011	07/01/2010	12/31/2099
		997715	2020	S01298	00	Counselor/Social Worker	997O2	40	100	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997590	2020	OC0745	00	Professional Consult/ Technical	997B	100	25	01/05/2010	12/31/2099	07/01/2010	12/31/2099
		997252	2000	FY0374	00	Clinician Ed - Professor	997B	24	100	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997000	2000	FY0374	00	Clinician Ed - Professor	997B	64	100	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997712	2000	FY0374	00	Clinician Ed - Professor	997B	12	100	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997590	2020	S00913	00	Sr Med Practice Specialist	997B	100	100	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997590	2040	S01644	00	User Support Analyst 3	483A	100	100	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997813	2005	FY1236	U2	Clinician Ed-Assist Prof	997F	100	100	10/01/2010	10/31/2010	07/01/2010	12/31/2099
		997590	2020	S01223	00	Operations Specialist	997B	100	75	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997590	2060	S05297	00	Office Assistant	997B	100	56	08/19/2010	12/31/2099	08/19/2010	12/31/2099
		997256	20F0	RP0001	00	Resident Physician III	400C	8.49	100	07/01/2010	06/30/2011	07/01/2010	12/31/2099
		997590	2020	S04015	00	Accountant 1	997B	4.76	100	07/01/2010	12/31/2099	09/01/2010	12/31/2099
		997256	20F0	RP0001	00	Resident Physician III	400C	16.99	100	07/01/2010	06/30/2011	07/01/2010	12/31/2099
		997252	2000	FTW060	00	Visiting Professor	997B	35.54	25	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997000	2000	FTW060	00	Visiting Professor	997B	64.46	25	07/01/2010	12/31/2099	07/01/2010	12/31/2099
		997256	20F0	RP0001	00	Resident Physician III	400C	8.49	100	07/01/2010	06/30/2011	07/01/2010	12/31/2099

XI

Appendix 2-Department Closeout Checklist

Grant/Contract _____ Principal Investigator _____

Fund _____ Dept. Closer _____

Index _____ Completed (sign & date) _____

End Date _____ Reviewed (sign & date) _____

Initial When Completed	Date When Completed	Item	Comments
		Is the Grant or contract closing?	
		Is the Fund closing?	
		If the fund (but not the grant or contract) is closing, is the new fund/index set up?	
		All recurring charges are moved off the grant/contract with the correct effective date (including Telecom/ITS).	
		All expenses are correct grant/contract charges. Any incorrect charges have been moved off.	
		No correct grant/contract charges are missing. Any missing charges have been moved	

		into the correct grant fund.	
		All encumbrances are at zero.	
		The PI has confirmed that all Progress reports have been turned in.	
		All other required documents have been completed (list under comments).	
		The Reconciliation Form has been completed and sent to Contract and Grant Accounting Office.	
		(HSC only) direct expenses match Banner direct expenses.	
		Confirm the grant/contract or fund has been closed by the Core Office.	

Appendix 3A-HSC Contract & Grant Checklist
 (Used by HSC Campus Fiscal Monitors to Close a Grant or Fund)

FINAL BANNER FUND CHECK-OFF LIST

Award No:	_____	PI:	_____
Fund Code:	_____	Agency:	_____
Index:	_____	Sponsor Award #:	_____
Award Period:	_____	Cost Reimbursement:	YES or NO
Amount Authorized:	_____	FROE:	_____
Gain or (Loss):	_____	F&A Rate:	_____

Initials	Date	
_____	_____	1 Final Financial Reconciliation Memo certified and returned from Department
_____	_____	2 Costs verified, including charges posted to fund BEFORE budget period start date (documentation attached).
_____	_____	3 Costs verified, including charges posted to fund AFTER budget period end date (documentation attached).
_____	_____	4 Unallowed costs such as p-cards, telecom charges have been moved.
_____	_____	5 Outstanding commitments cleared
_____	_____	6 FRAAREV balance equal to zero, FRABDCN no unbilled items
_____	_____	7 FRIGITD balance equal to zero
_____	_____	8 FGITBSR A0CC, Unbilled A/R, Billed A/R, Unapplied Payments and Def Rev equal to zero
_____	_____	9 Do Not Remove A242/A243 or 04X0 from FTMFUND
_____	_____	10 Cost Share commitment verified (3rd party cost share documented)
_____	_____	11 Equipment and loaned equipment verified according to Agency requirements
_____	_____	12 Subcontractor closeout completed per UBPP 2470.7
_____	_____	13 Tuition Verified
_____	_____	14 If multiple funds and carryforward applies, reflect in current year fund budget
_____	_____	15 Are previous award years' balances at zero? If not, research and resolve
_____	_____	16 Final F&A and revenue verification completed (include calculator tape)
_____	_____	17 If award has a gain, review terms of the award--if necessary, request refund check
_____	_____	18 Final adjustments submitted: JVs for F&A, revenue, A/R, transfers of gain, loss or refund
_____	_____	19 Notification to department of gain or loss per UBPP 2485
_____	_____	20 Final reports completed and submitted, if required (FSR, Patent, Property, etc). Copy in file
_____	_____	21 Complete LOC Final Report Form and have LOC final expenditures verified (272)
_____	_____	22 Check for associated files: Subcontracts (Cost Share closed separately), Billings, Documents
_____	_____	23 Signature authorization sheet(s) pulled and placed at front of file
_____	_____	24 Check all folders for loose papers and misfiles; everything in order and in correct folder
_____	_____	25 FTMFUND--Verify termination date and Expend date are date of closing entry or before
_____	_____	26 FTMFUND--change fund title to (sample) FROE: \$X,XXX.XX; 10/24/07
_____	_____	27 FRAGRNT--change the status code to "C" for closed if all funds have been closed out
_____	_____	28 HSC only UBIT: if AAMC code=T and Program code=P17R, copy contract/protocol send to Taxation
_____	_____	29 File to CGAO Accounting Manager/Accounting Supervisor for review and signature

 Fiscal Monitor Signature

 CGAO Final Reviewer

 Date

 Date

Revised
 10/15/2009

**APPENDIX 4A– Main Campus Closeout Reconciliation Sheet
University of New Mexico**

Contract & Grant Accounting

MSC01 1245

Phone: 277-4721 Fax: 277-8567

Contract & Grant Closeout Reconciliation

Grant Code: _____
Fund Code: _____
Index Number: _____
Funding Agency: _____
End Date: _____
Principal Investigator: _____

According to our records, the above referenced grant has ended. **Please complete, sign, and return this Contract &**

Grant Closeout Reconciliation by _____. If you do not

respond by this date, Contract & Grant Accounting will proceed with closing the above grant/fund/index

OMB Circular A-110, Sec. D.71 requires Federal Funds to be closed within 90 days of their Budget Period End

Date. Please take this opportunity to assist Contract & Grant Accounting. If you have any questions regarding

this form please contact your Fiscal Monitor at the above phone number.

If changes need to be made, please process the appropriate Legacy Redistribution Forms or Labor Redistributions

(PZAREDS) for any salary expenses and/or journal vouchers for other expenses in Banner Finance. If necessary,

please submit any 90-Day memos with the closeout reconciliation.

Please list any charges not yet recorded in Banner (FRIGITD) in Column A.

Please list any items that have been transferred out and not yet recorded in Banner (FRIGITD) in Column B.

(A)

Additional Charges In

1. _____

(B)

Additional Charges Out

1. _____

- 2. _____
- 3. _____
- 4. _____
- 5. _____

- 2. _____
- 3. _____
- 4. _____
- 5. _____

Also, required for the closeout are any items checked below:

- _____ Documentation for cost share (in-kind, third party matching, etc)
- _____ PI certification/documentation required by agency
- _____ PO modification to cancel or transfer outstanding open commitments
- _____ Other: _____

If applicable, transfer residual balance / loss to Banner Index: _____

Prepared By: _____ Date: _____

As PI, I certify that all expenditures reported above are for appropriate purposes and in accordance with the sponsored agreement. On cost reimbursement indices, this will be the final invoice amount. No further changes are authorized by the department other than those referenced above.

PI Certification: _____ Date: _____

APPENDIX 4B- HSC Campus Closeout Reconciliation Sheet

CONTRACT OR GRANT CLOSE-OUT RECONCILIATION			
RETURN TO FSD BY:			
Return to: MSC09 5225		Total Budget:	
Grant Code:			
Fund Code:		FRS account #	
Index Code:			
End Date:		Expanded Authority? (check if yes)	<input type="checkbox"/>
Funding Agency:			
Principal Investigator:			
Dept Account Administrator:			
Department:			

This section completed by Department

Date of FRIGITD Screenshot: _____ Attach copy of Banner screen FRIGITD ("Grant Inception To Date").

(Examples; use what's on FRIGITD)	A	B	C	D
Acct Code Description	Project Year-to-Date Amounts as of	Adjustments (Additions / Subtractions)	Final Total of Expenses	Explanation of Adjustments
2000 Faculty Salaries			\$ -	
2020 Admin Salaries			\$ -	
2040 Technician Salaries			\$ -	
20A0 GA TA RA PA Sal			\$ -	
20F0 Housestaff Salaries			\$ -	
20J0 Student Salaries			\$ -	
20L0 Federal Work Study			\$ -	
20P0 Temporary Salaries			\$ -	
21E0 Tuition Waiver			\$ -	
21J0 Other Benefits			\$ -	
3100 Office Supplies			\$ -	
3150 Computer Supplies			\$ -	
3180 Noncapital Equipment			\$ -	
31K0 Postage General			\$ -	
31M0 Recruitment Expense			\$ -	
3800 Travel			\$ -	
4600 Animal Expenses			\$ -	
4640 Participant Incentives			\$ -	
50E0 Lab/Medical Supplies			\$ -	
55Z0 Other Patient Exp			\$ -	
63C0 Copying			\$ -	
70D0 Equipment Rental			\$ -	
8060 Other Operating Costs			\$ -	
9000 Equipment - Furniture			\$ -	
9020 Equipment - Computer			\$ -	
89Z0 F&A			\$ -	Verified by HSC FSD
TOTAL	0.00	0.00	0.00	

If applicable, transfer residual balance/loss to Banner Index: _____

The reconciliation must be returned and the charges moved on/off the Fund by the due date specified above. The due date is 60 days after the Budget Period End Date of the Fund, unless agency requirements are more stringent. OMB Circular A-110, Sec. D.71 requires Federal Funds to be closed within 90 days of their Budget Period End Date.

Prepared By: _____
Dept Account Administrator Date:

As PI, I certify that all deliverables are met and all expenditures reported above are for appropriate purposes and in accordance with the agreements set forth in the application and award documents. On Cost Reimbursement indices, this will be the final invoice amount. No further changes are authorized by the department than shown above.

Certified: _____
Principal Investigator Date:

Revised
January 8, 2009

APPENDIX 5– Signature Authorization Sheet

Signature Authorization

Please submit TYPED form to Appropriate Accounting Office

Index: _____

Fund: _____

Index Description: _____

Org. Code & Name: _____

Program: _____

Date: _____

Activity: _____

Responsible Person/ or PI: _____

UNM ID: _____ Telephone: _____

Index Administrator: _____

UNM ID: _____ Telephone: _____

The following individuals are authorized to sign on the above index for the documents specified:

Names(s) of Individuals Authorized to Approve Documents	Signature	Title	UNM ID	All HR Documents*	Internal PRs	Non Travel DPEZ	Petty Cash	P-Card forms

* Separate UNM Signature form is required for time sheets.

RESTRICTED INDICES ONLY AWARD NO: _____

This contract or grant is governed by policies and procedures of the University of New Mexico, Awarding Agency, and the OMB Circulars A-21 and A-110.

The accountant assigned to this index is _____. It is recommended that a meeting be scheduled to answer questions regarding proper accounting and reporting. Overexpenditures to this index will be charged to the departmental IDC index or _____ (indicate Unrestricted Index #) as necessary.

Expenditure documents will not be processed until this FULLY completed and signed original authorization is received.

More information on University Policies may be obtained from the UNM Faculty Handbook available at the Office of the University Secretary, Scholes Hall Rm 101, 277-4664; and the University Business Policies and Procedures Manual (Big Red) available in your department administrative office. Agency Guidelines are available from the team assigned to your account, at appropriate Accounting Office.

As P.I. for this accounting string, I am aware of and agree with the department’s electronic approval queue. In my long term absence or illness the Department Chair or Dean may also sign.

I understand that although the above are authorized to sign for this index in my absence, as Dean, Director, Principal Investigator or other Responsible Person, I am ultimately responsible for my transactions.

Signature

Date