



# Principal Investigator Grant Budgeting Overview GM\_200



## Course Content



- Introduction
- Unit 1 – IRIS/SAP Overview
- Unit 2 – IRIS Navigation
- Unit 3 – Budgeting
- Unit 4– Tools for the Investigator
- Course Summary

## Course Instructions



- Click **Attachments** (upper right corner)



- Click **QRC Overview Navigation pdf**



- Print the pdf

## Unit 1



# IRIS/SAP Overview

## Unit 1 – IRIS/SAP Overview



- What is SAP R/3?
- IRIS & IRIS Modules
- Grant Access
- Statement of Responsibility

## SAP & IRIS



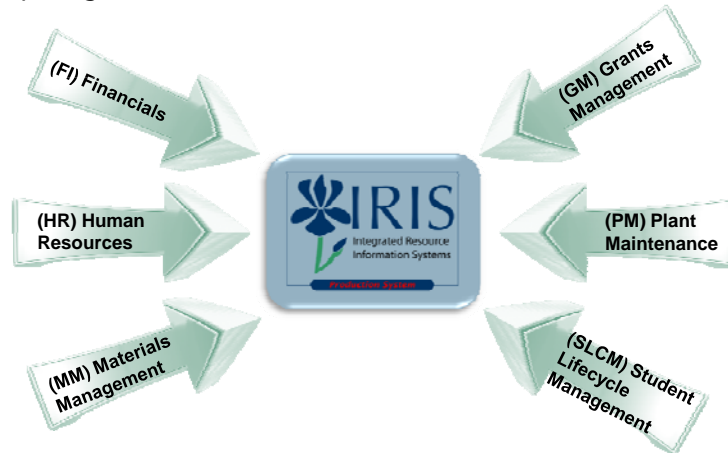
- SAP (Systems, Applications, and Products) is:
  - ♦ The technical name of the software used to manage the business and service processes of the University of Kentucky;
  - ♦ The name of the German-based company that produces the software.
- The SAP software has been configured to meet UK's specific administrative and academic business needs and given the name IRIS, Integrated Resource Information System.



## IRIS Modules



- The main resources, which are individual modules within IRIS but are highly integrated with each other, are:



## Grant Access



- Grant records may be accessed using either **IRIS** or **Business Warehouse (BW) Web Reporting**.
- In order to access Grant records, you need:
  - To complete the FI\_GM\_200 course;
  - To be designated by your college/area as a person with the responsibility to view grant records;
  - To sign a Statement of Responsibility (SOR) form located at <http://www.uky.edu/IRIS>.
- If you do not have access, please work with your business officer to get this access assigned.

## Grant Access



- You must have an active directory (AD/MC) User ID.
  - ♦ Call 7-1 300 to establish one if you do not have one.
  
- You must have the SAPGUI software installed on your computer.
  - ♦ Check with your IT support to have it installed, if it is not currently installed.
  - ♦ If you have authorization, software is available on the **UK Download** web page at <https://download.uky.edu/>
    - Call 7-1300 for assistance with loading, if needed
  
- You must have signed the **Statement of Responsibility**.
  - ♦ <http://myhelp.uky.edu/SOR>

## Statement of Responsibility



- Security for Grants is tied to the functionality.
  
- Completion of the **Statement of Responsibility** is required for those employees who have not yet reviewed and submitted the form.
  
- To sign the Statement of Responsibility (SOR):
  - ♦ Follow the instructions available at:  
[http://www.uky.edu/IRIS/train/SOR\\_Information.html](http://www.uky.edu/IRIS/train/SOR_Information.html).
  
  - ♦ If you have signed the SOR in UK\_100, you do not need to sign it a second time.
  
  - ♦ **REMEMBER!** You must **Confirm Participation** to complete the submission of the form.

## Summary



- What is SAP R/3?
- IRIS & IRIS Modules
- Grant Access
- Statement of Responsibility

## Unit 2



# IRIS & BW Navigation

## Unit 2 – IRIS Navigation



- IRIS SAP & Business Warehouse
- myUK Portal
- IRIS SAP Navigation
- Business Warehouse Navigation

## IRIS SAP & Business Warehouse

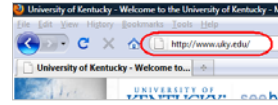


- Grant information can be found in two systems.
  - ♦ **IRIS SAP** contains access to real-time information of grants including master data, budget, and expenses.
  - ♦ **Business Warehouse (BW)** contains reports of budgets, expenses and payroll details current as of the previous business day or last payroll.

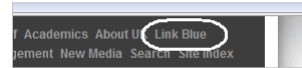
## myUK Portal



- The **myUK** portal provides access to grant screens in **IRIS SAP** and **BW** grant reports
- Log into the **myUK** portal by going to the UK home page at <http://www.uky.edu/>



- ♦ Click **Link Blue**



- ♦ Click **myUK**



## myUK Portal



- ♦ Enter your link blue (AD or MC User ID) **User ID**
- ♦ Enter your password
- ♦ Click on **Sign On**

Use your link blue ID to Sign On to this portal.

User ID

Password

User ID

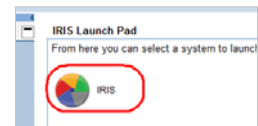
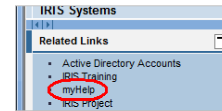
Password



## myUK Portal



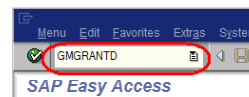
- The **IRIS Launch Pad** contains links to **IRIS** and **BW Web Reporting**
- **IRIS News** is available on the right side of the screen and provides up-to-date IRIS information, such as outages.
- The **myHelp** website link is available on the left side of the screen.
  - ♦ **Note:** This website contains Quick Reference Cards and other aids to help you use the IRIS and BW systems.
- To use the **IRIS SAP** system, click on **IRIS** icon.



## IRIS SAP Navigation



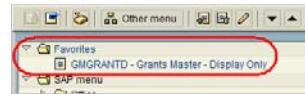
- Transactions can be accessed in one of three ways:
  - ♦ Type the transaction code into the **Command** field,
- OR**
- ♦ Add the transaction code to the **Favorites** folder,
- OR**
- ♦ Click on the transaction in the **SAP Easy Access Menu**.



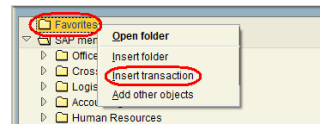
## IRIS Favorites



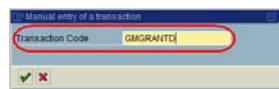
- Using your **Favorites** folder is the recommended way to access transactions.



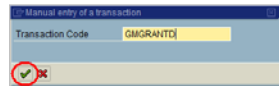
- To add a transaction to **Favorites**, right-click on **Favorites** and select **Insert Transaction**



- ♦ Enter the transaction code
  - PI transaction codes include **GMGRANTD**, **GMBDGTVIEW**, **ZPRIME**, **GMAVCOVRW**, and **S\_ALN\_01000003**.



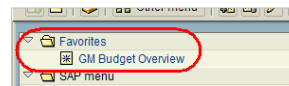
- ♦ Click **Continue**



## IRIS Favorites

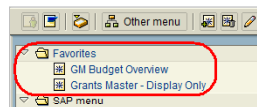


- The transaction is added to **Favorites**.

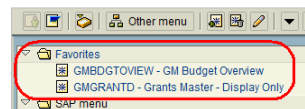


- When using the **Favorites** folder to select your transaction code, it is recommended to turn on your technical names (the transaction codes).

- ♦ Example without transaction code



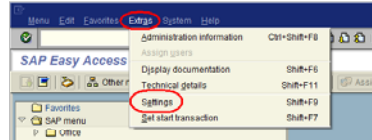
- ♦ Example with transaction code



## IRIS Technical Names



- To display the transaction code in the menu or in the **Favorites** folder, click on **Extras** in the menu and select **Settings**



- Click **Display Technical Names**



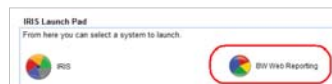
- Click **Continue**



## BW Web Reporting

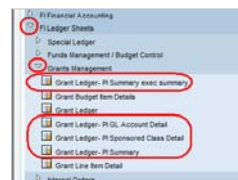


- To view BW Web Reports, click on **BW Web Reporting**



- Grant reports are found typically under **FI Ledger Sheets**.

- Your menu may appear differently than in these screen shots.



- IMPORTANT!** BW only contains the historical data of the June 2005 balances (end of Fiscal Year 2005) and the September YTD (year-to-date) balances (FY 2006).

- Monthly balances and detail information prior to June 2005 are not available for historical periods in BW, but they can be reported using the Data Warehouse.

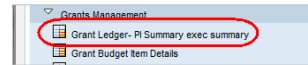
## BW Web Reporting Navigation



- To move through the menu, click on the menu item until you come to the report you want to use.



- Reports are designated by the report icon.
- Click on the report to select it.



- Reports open to the variable screen.
  - Data must be entered into required variables to display the report.



- Required variables are displayed with
  - Asterisk (\*),
  - Required designation (Required),
  - Typically required variables include **Fiscal Period/Year**



## Business Warehouse Navigation



- When adding the period and year, you will be working with the **Fiscal** period/year and not the **Calendar** period/year.

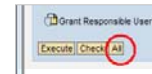
- This means that the first month in the fiscal year is July, **not** January.
- The University's fiscal year runs from July through June each year.
- The fiscal year for July 2010 through June 2011 is **2011**, because we are in the fiscal year 2010-2011, ending June 30<sup>th</sup> of the current fiscal year.
- You can enter a value directly into the **Fiscal Period/Year** as follows:

- |                         |                        |
|-------------------------|------------------------|
| ▪ 001/2011 is Jul 2010  | ▪ 007/2011 is Jan 2011 |
| ▪ 002/2011 is Aug 2010  | ▪ 008/2011 is Feb 2011 |
| ▪ 003/2011 is Sept 2010 | ▪ 009/2011 is Mar 2011 |
| ▪ 004/2011 is Oct 2010  | ▪ 010/2011 is Apr 2011 |
| ▪ 005/2011 is Nov 2010  | ▪ 011/2011 is May 2011 |
| ▪ 006/2011 is Dec 2010  | ▪ 012/2011 is Jun 2011 |

## Variables



- **Note:** If you see the **All** button, you may have personalized your variables previously and some of the variables may be hidden.
  - ♦ Click on **All** to show all of the variables



- Data must be entered using the appropriate syntax or code.
  - ♦ Example: For Fiscal Period/Year (a **Required** field), January 2009 is entered as 007/2009.

- If you are unsure of the syntax or code, click on the **Selection** icon to the right of the field.

## Recommended Variable Value Search



Use **any** of the following variables when searching for a grant:

- **Grant** – Enter the account number of the grant

- **Fund** – Enter the account fund number for the grant

- ♦ **Note:** It is recommended to add a fund selection for a sponsor grant fund 0226\* versus cost share fund 001189\*.

## Recommended Variable Value Search



- **Prime Grant**

- ♦ **Note:** Use this variable if you need to view the prime grant with associated scope accounts.
- ♦ **Examples:** Enter the grant either with an asterisk \*304XXXXXXX (you must select the asterisk in the Operator drop-down box) or with the 10 leading zeros 0000000000304XXXXXXX

Prime Grant [Operator] \*3046919800

Prime Grant [Operator] 00000000003046919800

Grant Responsible User ID ADUSERD2

- **Grant Responsible User ID (optional entry)** – Enter the PI's AD/MC User ID in all **CAPS**

## Variable Value Search



- When the list appears, select the desired value or values
- To move through the list, click either **The Next 25 Values** or **The Previous 25 Values**
- After all the values are selected, click **Transfer**.

<input type="checkbox"/>	DATA MANAGEMENT SERV	3046890000
<input checked="" type="checkbox"/>	NURSING MANAGEMENT I	3046903900
<input type="checkbox"/>	SELF-MANAGEMENT IN M	3046966400

MANAGER, ENVIRONMENT 3048085600  
[Transfer] [Close] [Select All] [Deselect All] **The Next 25 Values**

DATA MANAGEMENT ISSU 3049023325  
[Transfer] [Close] [Select All] [Deselect All] **The Previous 25 Values**

KCTR: BEST MANAGEME 3049  
DATA MANAGEMENT ISSU 3049  
**Transfer** [Close] [Select All] [Desele]

## Variable Value Search



- To search for a value using a wildcard
  - Select Wildcard using the Drop-down
  - Enter the partial value using the wildcard (\*)

- Once all required and optional values are entered, click **Execute**.

- The report will display.

Budget Type	Budget Code	Budget Name	Budget Amount	Budget Percent
Operating	00000000	Operating	1,100,000.00	100.00%
Capital	00000000	Capital	0.00	0.00%
Operating	00000000	Operating	1,100,000.00	100.00%

## BW Grant Reports



- BW grant reports may be
  - Filtered
  - Sorted
  - Changed by adding or removing fields
  - Printed directly to your printer
  - Exported to Excel
  - View saved
- More information regarding working with BW Web Reports is available on the *myHelp* website
  - <http://myhelp.uky.edu/rwd/HTML/BW.html>



## Summary



- IRIS SAP & Business Warehouse
- myUK Portal
- IRIS SAP Navigation
- Business Warehouse Navigation

## Unit 3



# Budgeting



## Unit 3 – Budgeting



- Terminology
- Budget Rules
  - ◆ BudRule 9 (Sponsor Unrestricted)
  - ◆ BudRule 5 (Sponsor Restricted)
  - ◆ BudRule 4 (Fed or Fed-Flow-Thru)
  - ◆ BudRule A (Ag Fed Approp)
- BudRule Crosswalk
- Federal Proposal Budget
- Proposal Budgeting

## Terminology



- G/L Account
  - ◆ Code that identifies the specific type of expense (ex. faculty salary is 511011, subawards < \$25K is 530200, etc.)
  - ◆ More information about the chart of accounts is available at <http://www.uky.edu/IRIS/FI/charts.html>
- WBS Element/Grant
  - ◆ The unique number for each grant, i.e. the account number
  - ◆ The first digit of the number will be a 2 or a 3

## Terminology



- Sponsored Class
  - ♦ A single or group of G/L accounts that are used for budgeting, invoices and financial reporting.
  - ♦ It may contain a single G/L account *530200* as in the case of subawards < \$25K or multiple in the case of travel expenses – *530011 and 530012*.
  - ♦ There are two main categories—E for Expenses, and R for Revenue.

Sponsored Classes	Sponsor Class Descriptions	G/L Account Categories
E530200	Sub-Contract Exp <25K	530200 Expenses
R415000	Direct Revenue from Sponsor	415000 Revenues

- ♦ More information on Sponsored Classes is available at <http://www.uky.edu/IRIS/GM/SponsoredClasses.html>.

## Terminology



- Budgeted Sponsored Class
  - ♦ Budgeted sponsored class is used as a single or group of sponsored classes.
  - ♦ Example: Budget Rule 4 for communication sponsored class E531000 will be the budget sponsored class of E530300
    - In a budget rule 4 (Federal or federal flow-thru account), a budget for direct communication expenses would be rolled up within the budget displayed in E530300 Direct Current Expenses.

## Terminology



- Budget Rule
  - ♦ It identifies the template of budgeted sponsored classes used to meet the requirements of different sponsors.
  - ♦ Four templates for grants exist (BudRules 4, 5, 9, and A)- one is used specifically by the College of Agriculture for the federal appropriations (BudRule A).

## BudRule 9 – Sponsor Unrestricted



- Only two cost categories are required when the sponsor does not restrict the institution to certain types of expenses.
- It is primarily used for industry funded fixed price awards.
- Below is a list of Sponsored Classes and budget categories:
  - ♦ E500000 – Direct Expenses
  - ♦ E590020 – Facilities and Administrative (Indirect) costs

## BudRule 5 – Sponsor Restricted



- It is typically used for state agency and foundation sponsors or sponsors who restrict the budget in some way.
- Below is a list of Sponsored Classes and Descriptions that are normally budgeted:
  - ♦ E510000 – All Salary & Benefits
  - ♦ E530010 – Travel – All
  - ♦ E530130 – Consultants
  - ♦ E530170 – Train Participants
  - ♦ E530200 – Sub-contract ≤ \$25K
  - ♦ E530201 – Sub-contract > \$25K
  - ♦ E530300 – Direct Current Expenses
  - ♦ E550000 – Equipment
  - ♦ E590020 – F & A costs

## BudRule 5 – AVC Roll-Up



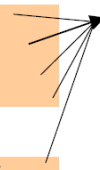
### State and Foundations

#### Budget Rule 5

E510000	All Salary & Benefits
E530010	Travel – All
E530130	Consultants
E530170	Train Participants
E530200	Sub-contract < \$25K
E530201	Sub-contract > \$25K
E530300	Direct Current Expenses
E550000	Equipment
E590020	F&A costs

#### Revised Budget Rule 5

E510000	Direct Expenses
E530200	Sub-contract < \$25K
E530201	Sub-contract > \$25K
E550000	Equipment
E590020	F&A costs



## BudRule 4 – Fed or Fed–flow–thru



- It is used for all federal awards, including flow through – federal funds flowed through another organization.
- Below is a list of Sponsored Classes and descriptions for these budgets:
  - ♦ E511000 – Direct Salaries & Benefits
  - ♦ E513000 – Student Salaries & Benefits
  - ♦ E530011 – Travel – Domestic
  - ♦ E530033 – Travel – Foreign
  - ♦ E530040 – Travel – Student
  - ♦ E530130 – Train Participants
  - ♦ E530200 – Sub–contract ≤ \$25K
  - ♦ E530201 – Sub–contract > \$25K

## BudRule 4 (Continued)



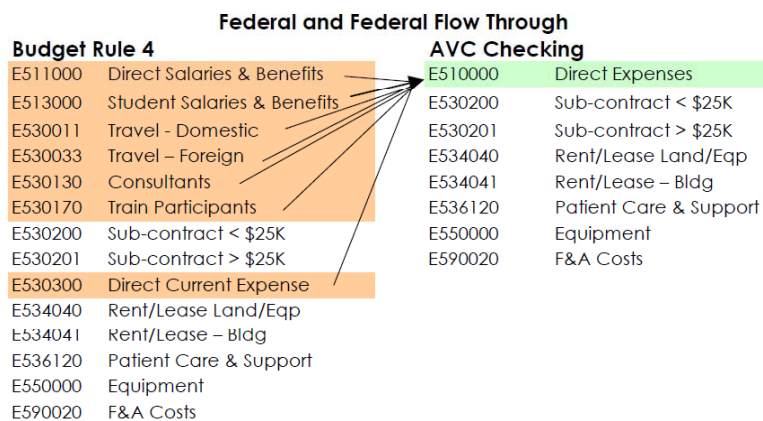
- ♦ E530300 – Direct Current Expense
- ♦ E534040 – Rent/Lease Land/Eqp
- ♦ E334041 – Rent/Lease – Bldg
- ♦ E536120 – Patient Care & Support
- ♦ E537010 – Fellow/Trainee Stipend
- ♦ E537030 – Trainee Tuition/Fees
- ♦ E550000 – Equipment
- ♦ E590020 – F & A Costs

## BudRule 4 (Continued)

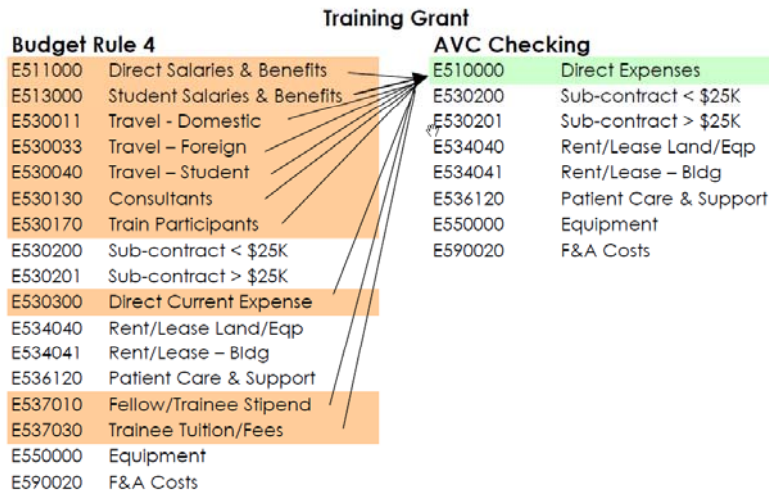


- Examples of normally indirect (CAS) items possible with approval:
  - ♦ E512030 – Secretarial/Clerical Sal & Ben
  - ♦ E540334 – Office Supplies
  - ♦ E530402 – Postage
  - ♦ E531199 – CAS Communication which includes:
    - Work Orders
    - Internet
    - Voice Mail
    - Answering Services
    - Pager Services

## BudRule 4 – AVC Roll-Up



## BudRule 4 Training Grant – AVC Roll-Up



## BudRule A – Ag Fed Approp



- This rule is used for all federal formula land grant programs (i.e. Hatch, Multistate, Smith Lever, etc.).
- It is for Federal Formula Grants in the College of Agriculture only.
- These programs are considered major program projects.
- Some costs that are normally treated as indirect costs (F&A or CAS items) may be directly charged to these programs.
- AVC is not turned on for this classification of grants, therefore there is no AVC rollup.

## Availability Control Updates



- The AVC update is available online at:  
<http://www.research.uky.edu/ospa/info/docs/avcupdate.pdf>
- Additional changes include the allowance to overspend **Direct Expenses** by either **10%** of the award total or **\$1,000** whichever is **lower**.
- With Position Budget Control, encumbrances for payroll will have errors if the budget is unavailable at the time of the encumbrance.

## Availability Control Updates



- Sponsor specific requirement updates include:
  - ♦ NSF grants have additional requirements for a budget in training participants.
  - ♦ Training grants are excluded from having a specific budget in Trainee Tuition/Fees.
  - ♦ Federal and Federal flow-thru contracts will **not** roll up to Direct Expenses.
- Cost Sharing budget rule updates include:
  - ♦ Budget rule is the same as the grant.
  - ♦ Rule allows overspending by \$1,000 overall.



## BudRule Crosswalk



- When preparing the budgets for entry into the IRIS system, the BudRule Crosswalk can be used to identify the type of expense and which sponsored class budget category will need to be used.
- The information required to use this tool is a description of the expense, the sponsor and whether the sponsor is flowing down federal terms and conditions to UKRF (University of Kentucky Research Foundation).
- If the award has federal terms and conditions flowed down to UKRF, it will most likely be a BudRule 4.

## BudRule Crosswalk



### • Examples

A	B	C	D	E	F	G	H
Budgeted Sponsored Class for Budget Rule	Budgeted Sponsored Class for Budget Rule	Budgeted Sponsored Class for Budget Rule	Sponsored Class	Sponsored Class Description	Direct Expense allowed on grant	G/L Accounts	G/L Account Des.
4	5	9	E530130	Consultants	*	530130	Consult-Sponsor Prog

A	B	C	D	E	F	G	H
Budgeted Sponsored Class for Budget Rule	Budgeted Sponsored Class for Budget Rule	Budgeted Sponsored Class for Budget Rule	Sponsored Class	Sponsored Class Description	Direct Expense allowed on grant	G/L Accounts	G/L Account Des.
4	5	9	E530300	Materials & Supplies	*	540311	Chemicals&Lab Supply

A	B	C	D	E	F	G	H
Budgeted Sponsored Class for Budget Rule	Budgeted Sponsored Class for Budget Rule	Budgeted Sponsored Class for Budget Rule	Sponsored Class	Sponsored Class Description	Direct Expense allowed on grant	G/L Accounts	G/L Account Des.
4	5	9	E530040	Travel-Student		530040	Travel - Student

- The complete BudRule Crosswalk Table is available at: [http://www.research.uky.edu/ospa/info/docs/Spclass\\_with\\_budget\\_rule.xls](http://www.research.uky.edu/ospa/info/docs/Spclass_with_budget_rule.xls).

## BudRule Crosswalk



- Instructions for using the BudRule Crosswalk are available at [http://www.uky.edu/IRIS/GM/brcinstructions\\_5\\_11\\_2005.html](http://www.uky.edu/IRIS/GM/brcinstructions_5_11_2005.html).
- The BudRule Crosswalk Worksheet is available at [http://www.uky.edu/IRIS/GM/BudRule\\_budget\\_worksheet.xls](http://www.uky.edu/IRIS/GM/BudRule_budget_worksheet.xls).
- Once opening the BudRule Crosswalk on the web, the key combination of **CTRL + F** may be used to search the spreadsheet for the specific type of expense.
- You can track the information from the detailed expense on the right to the correct BudRule on the left to build the budget.

## Federal Proposal Budget (includes CAS Items)



- This is the **SF424** form used on NIH applications.
- It is used here to display how items that would normally not be allowed to charge directly to grants due to Cost Accounting Standards (CAS) can be justified.
- These CAS items are identified with an asterisk (\*) on the form and further justification is required.

# Federal Proposal Budget (includes CAS Items)



Close Form    Next    Check Form for Errors    Save    Print Page    About

**RESEARCH & RELATED BUDGET - SECTION A & B, BUDGET PERIOD 1**

\* ORGANIZATIONAL DUNS: 9390178770000  
 \* Budget Type:  Project     Subaward/Consortium  
 Enter name of Organization: University of Kentucky Research  
 \* Start Date: 01/01/2011    \* End Date: 12/31/2011    Budget Period: 1

**A. Senior/Key Person**

Profile	* First Name	Middle Name	* Last Name	Suffix	* Project Role	Base Salary (\$)	Cal. Months	Acad. Months	Sum. Months	* Requested Salary (\$)	* Fringe Benefits (\$)	* Funds Requested (\$)
Dr.	Montgomery		Bennet		DD/PI	139,000.00	9.00	9.00	9.00	139,000.00	8,250.00	147,250.00
Dr.	Senneker	DR	McGee		Medical Officer	80,000.00	9.00	9.00	18.00	8,487.00	1,487.00	93,974.00
Dr.	Haxler		Spock		Science Officer	80,000.00	9.00	9.00	18.00	8,488.00	1,487.00	93,975.00
4.												
5.												
6.												
7.												
8.												
9. Total Funds requested for all Senior Key Persons in the attached file											Total Senior/Key Person	60,433.00

Additional Senior Key Persons:     Add Attachment    Delete Attachment    View Attachment

**B. Other Personnel**

* Number of Personnel	* Project Role	Cal. Months	Acad. Months	Sum. Months	* Requested Salary (\$)	* Fringe Benefits (\$)	* Funds Requested (\$)
1	Post Doctoral Associates	12.00	9.00	9.00	36,000.00	7,800.00	43,800.00
2	Graduate Students	9.00	9.00	9.00	63,000.00	8,800.00	71,800.00
	Undergraduate Students						
	Secretarial/Clerical						
9	Total Number Other Personnel						14,330.00
Total Salary, Wages and Fringe Benefits (A+B)							119,713.00

RESEARCH & RELATED Budget (A-B) (Funds Requested)

OMB Number: 4040-0001  
Expiration Date: 04/30/2008

# Proposal Budgeting - CAS Items (Continued)



Previous    Next    Print Page

**RESEARCH & RELATED BUDGET - SECTION C, D, E, BUDGET PERIOD 1**

\* ORGANIZATIONAL DUNS: 9390178770000  
 \* Budget Type:  Project     Subaward/Consortium  
 Enter name of Organization: University of Kentucky Research  
 \* Start Date: 01/01/2011    \* End Date: 12/31/2011    Budget Period: 1

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment Item	* Funds Requested (\$)
1. Misc. Core	5,000,000.00
2. Transport/Car	5,000,000.00
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11. Total funds requested for all equipment listed in the attached file	
Total Equipment	4,000,000.00

Additional Equipment:     Add Attachment    Delete Attachment    View Attachment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs (incl. Canada, Mexico and U.S. Possessions)	
2. Foreign Travel Costs	10,000,000.00
Total Travel Cost	10,000,000.00

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	
2. Stipends	
3. Travel	
4. Subsistence	
5. Other	
<input type="text"/> Number of Participants/Trainees    Total Participant/Trainee Support Costs	

RESEARCH & RELATED Budget (C-E) (Funds Requested)

OMB Number: 4040-0001  
Expiration Date: 04/30/2008

# Proposal Budgeting - CAS Items (Continued)



RESEARCH & RELATED BUDGET - SECTION F-K, BUDGET PERIOD 1

F. Other Direct Costs

1. Materials and Supplies	Funds Requested (\$)
2. Publication Costs	
3. Consultant Services	
4. ADP/Computer Services	
5. Subawards/Consortium/Contractual Costs	
6. Equipment or Facility Rental/User Fees	
7. Alterations and Renovations	
8. Other 1	
9. Other 2	
10. Other 3	
<b>Total Other Direct Costs</b>	<b>22,182.00</b>

G. Direct Costs

**Total Direct Costs (A thru F)** **24,409,899.00**

H. Indirect Costs

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requester (\$)
1. Indirect Cost - Indirect Charge	66.30	16,194,819.00	10,684,071.00
2.			
3.			
4.			
<b>Total Indirect Costs</b>			<b>10,684,071.00</b>

I. Total Direct and Indirect Costs

**Total Direct and Indirect Institutional Costs (G + H)** **35,093,970.00**

J. Fee

**Funds Requested (\$)**

K. Budget Justification

OMB Number: 4540-0001  
Expiration Date: 04/30/2008

# Proposal Budgeting - CAS Items (Continued)



RESEARCH & RELATED BUDGET - Cumulative Budget

Totals (\$)

Section A, Senior/Key Person **85,419.00**

Section B, Other Personnel **85,200.00**

Total Number Other Personnel **3**

Total Salary, Wages and Fringe Benefits (A-B) **1,197,719.00**

Section C, Equipment **9,000,000.00**

Section D, Travel **10,000,000.00**

1. Domestic

2. Foreign **10,000,000.00**

Section E, Participants/Trainees Support Costs

1. Tuition/Fees/Health Insurance

2. Stipends

3. Travel

4. Subsistence

5. Other

6. Number of Participants/Trainees

Section F, Other Direct Costs **22,182.00**

1. Materials and Supplies **47,556.00**

2. Publication Costs

3. Consultant Services **100,000.00**

4. ADP/Computer Services **35,624.00**

5. Subawards/Consortium/Contractual Costs **39,000.00**

6. Equipment or Facility Rental/User Fees

7. Alterations and Renovations

8. Other 1 **19,000.00**

9. Other 2

10. Other 3

Section G, Direct Costs (A thru F) **14,409,899.00**

Section H, Indirect Costs **10,684,071.00**

Section I, Total Direct and Indirect Costs (G + H) **25,093,970.00**

Section J, Fee

OMB Number: 4540-0001  
Expiration Date: 04/30/2008

## Proposal Budgeting – Sample CAS Justification

- These are sample budget justifications for CAS items.
- The key is to tie the purpose of the expense to the programmatic goals of the project.
  - ♦ Secretary – Due to the nature of this program project, extensive administrative coordination will be required. This is consistent with Project Aim #2. There will be monthly meetings held to share data collected from each program site (approximately 35 sites) which requires collecting the information, developing training materials and arranging for meeting facilities, travel and other associated costs.
  - ♦ Computer – a computer will be 100% dedicated to this project to collect and store data from each program site. A new statistical software is being developed to run the analysis of this data. The technical software will require extensive memory and time to process the information making it necessary to dedicate a computer for this project.

## Proposal Budgeting – Sample CAS Justification

- ♦ Office Supplies – items such as binders, envelopes, glossy paper inserts and tab dividers will be needed to prepare the training packets for each program site.
- ♦ Postage – self-addressed envelopes will be given to the sites to return data collected from respondents in their area.
- ♦ These costs are normally treated as an indirect cost at the University of Kentucky. However, due to the requirements of this project, university policy allows this cost to be requested and justified as a direct cost.

## Summary



- Terminology
- Budget Rules
  - ♦ BudRule 9 (Sponsor Unrestricted)
  - ♦ BudRule 5 (Sponsor Restricted)
  - ♦ BudRule 4 (Fed or Fed-Flow-Thru)
  - ♦ BudRule A (Ag Fed Approp)
- BudRule Crosswalk
- Federal Proposal Budget
- Proposal Budgeting

## Unit 4



# Tools for the Investigator

## Unit 4 – Tools for the Investigator



- Availability Control
- IRIS Transactions
  - ♦ GMGRANTD
  - ♦ ZPRIME
  - ♦ GMAVCOVRW
  - ♦ S\_ALN\_01000003
- BW Reports
  - ♦ Grant Ledger – PI Summary Exec Summary
  - ♦ Grant Ledger – PI Summary
  - ♦ Grant Ledger – PI Sponsored Class Detail
  - ♦ Grant Ledger – PI GL Account Detail
  - ♦ BW Reports – Drill Downs
- Other Tools

## Availability Control



- Availability Control is a mechanism within SAP, which can be seen on GM AVC Overview (GMAVCOVRW), that ensures compliance with grant budgeting policies within the system.
- It is used to restrict overspending of the award in total and to prevent expenses in unbudgeted categories when restricted by the sponsor.
- It creates pro-active management of budgets to limit under-utilization of external funding.
- It ensures compliance with OMB circulars for federal and federal flow-thru projects.

## GMGRANTD

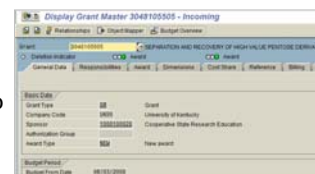
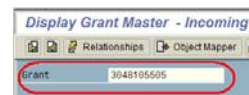
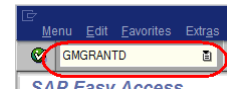


- Use **GMGRANTD** to display all details for a grant including:
  - ♦ Budget dates
  - ♦ Person(s) responsible for the grant including OSPA/SPA contact information
  - ♦ Award tab with Bud rule
  - ♦ Reporting requirements
  - ♦ Cost Share information
- Any questions about information displayed on the grant may be addressed to the individuals listed as the RA (Research Administrator), FA (Financial Administrator), or CGO (College Grants Officer) on the **Grant Responsibility** tab.

## GMGRANTD



- Log into the IRIS system and access **GMGRANTD**:
  - ♦ Type **GMGRANTD** in the **Command** field
- OR**
- ♦ Click on it in your **Favorites** folder
- ♦ Enter the grant number in the **Grant** field
- ♦ Press **Enter**
  - **Note:** Press **Enter** each time you enter a new account number in the **Grant** field to pull up the master data for the grant.





## GMGRANTD



- (Optional) To search by the PI's name:

- Click **Possible Entries**

- In the **Name** field, enter the PI's name (last name then first name in ALL CAPS)

- You may use a wildcard (\*) for searching, such as **KNUTSON\***

- Click **Continue**

- When the list of grants appear, double-click on the appropriate grant to select it.

Grant	Internal Reference	External Reference	FUND	Grant Name	Description
00000000	00000000	00000000	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000001	00000001	00000001	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000002	00000002	00000002	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000003	00000003	00000003	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000004	00000004	00000004	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000005	00000005	00000005	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000006	00000006	00000006	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000007	00000007	00000007	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000008	00000008	00000008	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000009	00000009	00000009	0000	KNUTSON BARBARA	KNUTSON BARBARA
00000010	00000010	00000010	0000	KNUTSON BARBARA	KNUTSON BARBARA

## GMGRANTD – General Data Tab



- Grant Type**

- It describes the award instrument or some identifying element of the grant.

- Grant types are most commonly

- AG – Agreement
- CA – COOP Agreement
- CB – Cash Basis Project
- CO – Contract
- GR – Grant
- H0 – Human Clinical Trials, Phase 1 or 2
- HC – Human Clinical Trials, Phase 3 or 4
- PO – Purchase Order
- SG – Subgrant

## GMGRANTD – General Data Tab



- Sponsor
- Award Type

Basic Data		
Grant Type	GR	Grant
Company Code	0000	University of Kentucky
Sponsor	100150020	Cooperative State Research Education
Authorization Group		
Award Type	NSI	New award

- ♦ It identifies if this is a new award, non-competing segment, competing segment, etc.

Budget Period	
Budget From Date	06/03/2008
Budget To Date	06/02/2011

- Budget Period

- ♦ It details the dates within which all expenses must be incurred.
- ♦ The period incurred for this purpose would indicate receipt and use of purchases within this period of time.
- ♦ Items encumbered but not yet received are not allowed to remain on grant as they could not have been used to benefit the project outside of those dates.

## GMGRANTD – General Data Tab



- Description

- ♦ The name of the project as indicated on the internal approval form (IAF).

Description	
Name	KNUTSON BARBARA
Description	SEPARATION AND RECOVERY OF HIGH VALUE PENTOSE DERIVATIVES FROM CELLULOSIC BIOM...

- Grant Value

- ♦ The value indicates the total awarded amount for the budget period indicated.

Currency and Conversion Factors		
Grant Currency	USD	United States Dollar
Grant Value	999,964.00	

## GMGRANTD – Award Tab



- Budget Rule
  - ♦ The rule determines how the budget is controlled in the system.

The screenshot shows the 'Award' tab in the GMGRANTD system. The 'Account Info' section is visible, with the 'Budget Rule' field highlighted by a red circle. The value '4' is entered in this field. Other fields like 'Deletion Indicator' and 'Award' are also visible at the top.

- Previous Number (if applicable)

The screenshot shows the 'Previous Number' field in the GMGRANTD system. The field is highlighted by a red circle, and a dropdown menu is open, showing a list of previous numbers.

## GMGRANTD – Award Tab



- ARRA Flag
  - ♦ If checked, the flag indicates that this grant contains funds received from the American Recovery and Reinvestment Act (Stimulus money).
- Award Received Flag
  - ♦ If checked, the flag indicates that the fully signed agreement has been received.

The screenshot shows the 'Funding Category Code' section in the GMGRANTD system. The 'ARRA' checkbox is highlighted by a red circle. Other checkboxes include 'Capital Account Asset Flag', 'Award Received', 'Transferred In', 'Valid For Payroll', and 'E-Verify'.

The screenshot shows the 'Funding Category Code' section in the GMGRANTD system. The 'Award Received' checkbox is highlighted by a red circle. Other checkboxes include 'Capital Account Asset Flag', 'Transferred In', 'Valid For Payroll', 'ARRA', and 'E-Verify'.

## GMGRANTD – Responsibilities Tab



- The tab should contain the IDs of all individuals in the Office of Sponsored Projects Administration (OSPA) and Sponsored Projects Accounting (SPA) that administer the grant.

Res.	Description	Type	Object type	ID	Name	Valid from	Valid to
AA	Administrative Assistant - OS	US	User	ISMAS02	Patricia S Mason	06/03/2008	12/31/9999
CGO	College Grants Officer	US	User	JHARD02	Jason J Hardin	06/03/2008	12/31/9999
FA	Financial Administrator - SPA	US	User	MATCH2	Misty Atchison	01/01/1990	12/31/9999
PI	Principal Investigator	US	User	BKMT2	Barbara Knutson	01/01/1990	12/31/9999
RA	Research Administrator - OS	US	User	KRCALN2	Kalie R Riley	06/03/2008	12/31/9999

## GMGRANTD – Responsibilities Tab



- It also should contain the PI, Co-investigator, College Grant officer, and business officials in the department and college that may need to be notified about issues concerning this project.
- The OSPA individual RA and the SPA individual FA should also be notified about issues concerning their project.

## GMGRANTD – Cost Share Tab



- This tab details the type and dollar amount of cost share committed for this project.
- Information should be verified to determine that cost sharing expenses are also being recorded as required by the awarded agreement.

Method	Valid From	Valid To	Grant	Cost Center	Freq	Reporta...	Description	Amount Proposed	Amount Spent
FES				1013617948	ANNL				

## GMGRANTD – Payment Tab



- This tab provides the detail of the account if it is a prime grant, a scope grant, or a prime with scopes grant.
- Prime/Scope/Prime with Scopes is the indicator of what type each project is.

Method	Begin Date	End Date	Comment	Amount	Grant FY variant
03	06/31/2008	06/31/2011			

- Example one is a prime grant in which no scopes are associated with this project.

## GMGRANTD - Payment Tab



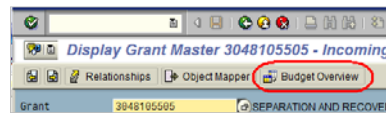
- Prime Grant is a prime account tied to each project.
- If the indicator is 2 scope grant, then the prime grant will be the main grant associated with that scope project(s).

The screenshot shows the 'Payment' tab in the IRIS system. The 'Sponsor Address' section includes fields for Customer (1995290168), Name (KY Cabinet for Health and Family), Address (275 East Main Street, 4E-E), City State Zip (Frankfort, KY, 40621), and Email. The 'Payment' section shows Agreement Type (CR), Agreement Description (COST REIMBURSEMENT), Prime/Scope/Prime with Scopes (2), Prime Grant (3048107442), and Prime Scope Accumulator. The 'Method of Payment' table has one entry with Method 01, Begin Date 07/01/2010, and End Date 06/30/2011.

## Grant Budget Overview - GMGRANTD



- To access an overview of the grant's budget, click **Budget Overview**



- The **GM Budget Overview** screen will display.

The screenshot shows the 'GM Budget Overview' screen with a table of budget data. The table has columns for Fund/Program/Class/Time/Inst, Op. Class, Descr., Op. Descr., Actuals, Cmts, and gPFund/Inst/Fund. The data is organized into a tree structure under 'Fund Funds'.

Fund/Program/Class/Time/Inst	Op. Class	Descr.	Op. Descr.	Actuals	Cmts	gPFund/Inst/Fund
External Funds	1995 529 00	787 889 87	1 232 038 03	0.00		
Federal Sponsor	1995 529 00	787 889 87	1 232 038 03	0.00	0220000000	
Expense	895 964 00	320 792 05	678 171 35	0.00	0220000000	
Chern Nat Eng Res SP	895 964 00	320 792 05	678 171 35	0.00	0220000000	
Released	895 964 00	320 792 05	678 171 35	0.00	0220000000	
Revenue	895 964 00	447 097 32	652 866 98	0.00	0220000000	
Chern Nat Eng Res SP	895 964 00	447 097 32	652 866 98	0.00	0220000000	
Released	895 964 00	447 097 32	652 866 98	0.00	0220000000	

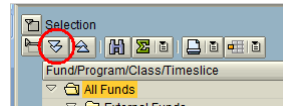
## Grant Budget Overview – GMGRANTD



- Click **All Funds** to highlight

Fund/Program/Class/TimeSlice	Sp. Class	Desc.	Sp. Direct	Actuals
All Funds			1,999,928.00	744,596.00
External Funds			1,999,928.00	744,596.00
Federal Sponsor			1,999,928.00	744,596.00
Expense			999,954.00	320,792.65

- Click the **Double Drop-Down** button to display budget



- The screen will display the sponsored class number, actual name, and the budgeted amount in that sponsored class.

Fund/Program/Class/TimeSlice	Sp. Class	Desc.	Actuals	Budgeted
External Funds			1,999,928.00	744,596.00
Federal Sponsor			1,999,928.00	744,596.00
Expense			999,954.00	320,792.65

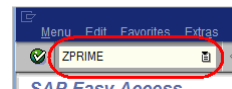
## ZPRIME



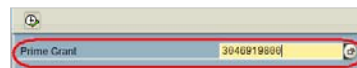
- **ZPRIME** allows users to look up the scope projects associated with the prime grant.
- **ZPRIME** is similar to screen 045 previously used in FRS.

Use the following steps to access **ZPRIME**:

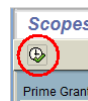
- Type **ZPRIME** in the Command field



- Enter the prime grant number (WBS element) in the Prime Grant field



- Click **Execute**



## ZPRIME



- The results will be displayed.

Grant	Department	PI	Description
3046919000	BT110	HOFFMAN DORIS	TRAINING RESOURCE CENTER: RESOURCE PARENT TRAINING AND MENTORING PROGRAMS
3047277700	BT110	HOFFMAN DORIS	TRAINING RESOURCE CENTER: RESOURCE PARENT TRAINING AND MENTORING PROGRAM
3047277800	BT110	HOFFMAN DORIS	TRAINING RESOURCE CENTER: RESOURCE PARENT TRAINING AND MENTORING PROGRAM

## ZPRIME



- Note:** Use the following steps to copy and paste the account numbers from the **ZPRIME** screen into the **Grant** field on the other transaction screens to use as a variant, such as the **GMAVCOVRW** transaction.

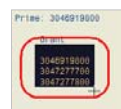
- View the scopes for the prime grant using **ZPRIME**



- On the **ZPRIME Scopes for Prime Grant** screen, hold down **Ctrl** and tap **Y** (your cursor should look like a crosshair)



- Use your mouse to highlight the associated scope projects





## ZPRIME

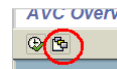


- ◆ Hold down **Ctrl** and tap **C** (this step will copy the account numbers to the clipboard)

- ◆ Go to the transaction
  - **Note:** **GMAVCOVRW** is used in this example.



- ◆ Select the **UKDefault** variant



- ◆ In the **Grant** field, click on **Multiple Selection**



## ZPRIME



- ◆ Click **Clipboard** to paste the account numbers



- ◆ Click **Execute**



- ◆ **Note:** The first account number will display in the **Grant** field, and the **Multiple Selection** icon will now display with a green bar on it.



## GMAVCOVRW

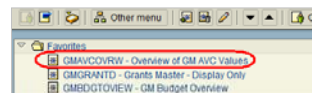
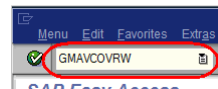


- Use **GMAVCOVRW** to check your account's overall real-time balance and the balance in each budgeted sponsored class.
- It is recommended to save the transaction to your **Favorites** folder.
- Lightning bolts show if the item is over-budget.
- The transaction shows sponsored classes by number only, no text descriptions.

## GMAVCOVRW



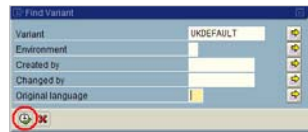
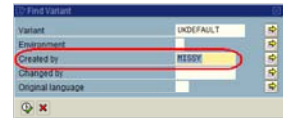
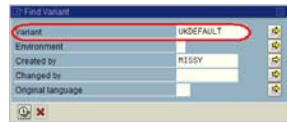
- Log into the **IRIS** system
- Access **GMAVCOVRW** in one of two ways:
  - ♦ Type **GMAVCOVRW** into the **Command** field
  - OR**
  - ♦ Click on it in your **Favorites** folder



## GMAVCOVRW



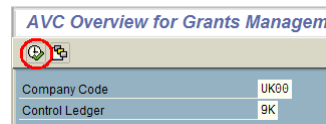
- Click **Get Variant**
- Type **UKDefault** in the **Variant** field
  - ♦ **UKDefault** will show all expenses
- **Note:** Delete your User ID, if it appears in the **Created By** field.
- Click **Execute**



## GMAVCOVRW



- Enter the account number in the **Grant** field
- Click **Execute**
- Click on the first line under the **Grant/Fund/Sp. Prog/Sp. Class** column heading to highlight the line



GM AVC Overview Report for Ledger 9K

Company Code UK00  
 Grant 00000000003048105505  
 Fund Multiple V  
 Sponsored Program All Values  
 Sponsored Class Multiple Values  
 Time Interval Overall Time Period

GrantFundSp. Prog./Sp. Class	Consumable Bdg.	Consumed Amt.	Available Amt.	Deficit
00000000003048105505	999,964.00	553,914.80	446,049.20	
022000000000	999,964.00	553,914.80	446,049.20	

## GMAVCOVRW



- Click **Expand Subtree(s)** prime and/or prime with scopes

GrantFund/Sp	Prog/Sp	Class	Consumable Bldg
0000000000	3248	105505	999,964.00
0226000000			999,964.00

- If the budget on the PADR does not match the budget in IRIS, contact your RA and/or CGO.

- ♦ If AVC control is in play, be sure to verify the budget with either IRIS transaction S\_ALN\_01000003 or BW reports to get an accurate accounting.

Consumable Bldg	Consumed amt	Available amt	Budget amt
999,964.00	999,964.00	0.00	999,964.00
999,964.00	999,964.00	0.00	999,964.00
428,789.00	154,254.00	274,534.00	
25,000.00	25,000.00	0.00	
475,000.00	169,789.00	305,211.00	
165,000.00	165,000.00	0.00	
161,158.00	16,807.17	144,350.83	

## GMAVCOVRW



- **Note:** If there is a red lightning bolt on the report, this is an issue that most likely requires a re-budget.

4,684.41
4,684.41
3,562.14
279.00
0.00
4,684.41

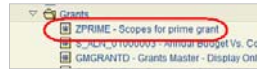
- ♦ Please contact your RA (OSPA) and FA (SPA) about these items to determine a course of action to correct it.

## GMAVCOVRW



- **Remember:** You can use the following steps to copy and paste the account numbers from the **ZPRIME** screen into the **Grant** field on the **GMAVCOVRW** screen to run the AVC Overview for the scopes for a prime grant.

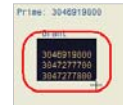
- ♦ View the scopes for the prime grant using **ZPRIME**



- ♦ On the **ZPRIME Scopes for Prime Grant** screen, hold down **Ctrl** and tap **Y** (your cursor should look like a crosshair)



- ♦ Use your mouse to highlight the associated scope projects



## GMAVCOVRW



- ♦ Hold down **Ctrl** and tap **C**

- ♦ Go to the **GMAVCOVRW** transaction



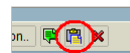
- ♦ Select the **UKDefault** variant



- ♦ In the **Grant** field, click on **Multiple Selection**



- ♦ Click **Clipboard** to paste the account numbers



## GMAVCOVRW



- Click **Execute**



- Note:** The first account number will display in the **Grant** field, and the **Multiple Selection** icon will now display with a green bar on it.



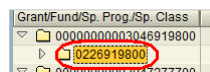
- Click **Execute**



## GMAVCOVRW



- To view more details, click on the subtree to highlight it



- Click **Expand Subtree**



- The details will be displayed.

Grant/Fund/Sp. Prog./Sp. Class	Consumable Bdg'l	Consumed Amt.	Available Amt.	Deficit Ind.
00000000003046919800	392,154.00	385,937.69	5,216.31	
0226919800	392,154.00	385,937.69	5,216.31	
Overall Programs	392,154.00	385,937.69	5,216.31	
E510000	175,015.00	145,712.17	29,302.83	
E512000	0.00	37,861.50	37,861.50-	1
E512010	59,976.00	43,487.66	16,488.34	
E512030	61,825.00	68,782.31	6,857.31-	1
E530200	25,000.00	25,000.00	0.00	
E530201	25,000.00	25,000.00	0.00	
E530402	12,025.00	8,897.75	3,127.25	
E531199	1,200.00	568.66	631.34	
E535024	2,966.00	2,965.59	0.41	
E560020	29,047.00	28,662.05	384.95	

## S\_ALN\_01000003 Report



- Use **S\_ALN\_01000003** to display the budget, commitment, and actual expenses by detailed line item.
- There are several ways to display the report including at a grant level, which organizes the transactions by posting date from earliest to the most recent.
- If the selection by sponsored class is selected, the transactions are grouped according to the sponsored class categories (not budgeted sponsored class categories) and no overall total is displayed at the bottom of the report.

## S\_ALN\_01000003 Report

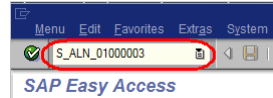


- At the very bottom of the report, this option shows the remaining balance.
- It provides the ability to drill down to the detailed document that was posted if there is a need to review the individuals who parked and/or posted the transaction to the system.
- Shows the following for each expenditure:
  - ♦ Date of expenditure
  - ♦ G/L account
  - ♦ Sponsored Class
  - ♦ Document Reference

## S\_ALN\_01000003 Report

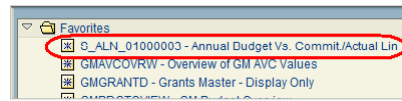


- Log into the IRIS system
- Access S\_ALN\_01000003 in one of two ways:
  - ♦ Type **S\_ALN\_01000003** into the **Command** field



**OR**

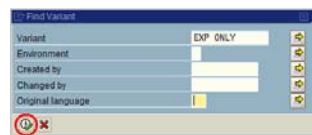
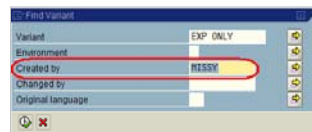
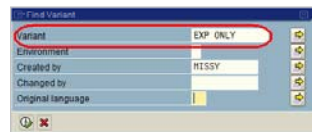
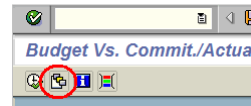
- ♦ Click on it in your **Favorites** folder



## S\_ALN\_01000003 Report



- Click **Get Variant**
- Type **EXP ONLY** in the **Variant** field
  - ♦ **EXP ONLY** will show all expenses
- **Note:** Delete your User ID, if it appears in the **Created By** field
- Click **Execute**





## S\_ALN\_01000003 Report



- Enter the account number

- Choose one of the following Report Extractions:

- ♦ **By Grant** - to view a grand total for the grant
- ♦ **By Grant/Fund/Prog/Class** - to find specific sponsored class line items or view subtotals for sponsored classes

## S\_ALN\_01000003 Report



- Click **Execute**

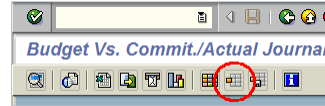
- **By Grant** displays a grand total for the grant

Account	Balance	Commitment	Actual	Balance	Commitment	Actual	Balance	Commitment	Actual	
07010010	06300010	E51300	Student Salary	513110	8402143203	0.00	1,251.45	0.00	387,027.43	0220000000
07010010	06300010	E51300	Student Salary	513010	8402143032	0.00	1,153.84	0.00	388,181.24	0220000000
07010010	06300010	E52000	Student Benefits	520411	8402145511	0.00	54.14	0.00	388,245.38	0220000000
07010010	06300010	E522000	Staff Benefits	520730	8402148335	0.00	24.45	0.00	388,899.93	0220000000
						999,954.00	556,945.11	54,748.38	388,268.53	

## S\_ALN\_01000003 Report



- You can change the layout by clicking **Select Layout**.



- Double-click on the preferred layout

- Note:** The default layout will be designated by a green checkmark.

Layout	Layout description	Default setting
UNRCAFDEF	UK's Budget/Commitment/Actual Def.	
UNRSPATODD1	ALN layout	<input checked="" type="checkbox"/>

Layout	Layout description	Default setting
MONTHLY	UK's Budget/Commitment/Actual Def.	
PAGE	Page's Budget Screen	
PSR LAYOUT	COLLIGATE	
BLNGRANL	UK's Budget/Commitment/Actual Def.	
SHORT LAY	Short Layout	
PSR LAYOUT	SR Account layout with Invoices	
SR_BUD_G	FRG 5023 with a entered date	
STATE LAYOUT	State Monitoring View	
SLAYOUT	UK's Budget/Commitment/Actual Def.	
UNRCAFDEF	UK's Budget/Commitment/Actual Def.	
UNRSPATODD1	ALN layout	<input checked="" type="checkbox"/>

- The new layout will display.

## S\_ALN\_01000003 Report



- By Grant/Fund/Prog/Class displays the budgeted amounts versus the commitments and actual expenses.

- Subtotals appear at the bottom of each sponsored class.

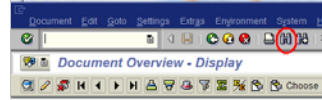
- You can drill down for more info by clicking on the Reference Document (**RefDocumnt**) for a specific line item.

Description	GL Acc	RefDocument	Budget Amt	Invoice	Open Rema
tract + \$25K	530201	4800002232	0.00	0.00	6,025.50
tract + \$25K	530201	5105884701	0.00	8,025.60	0.00
g & Supplies	540324	7702564004	0.00	0.00	66.96
g & Supplies	540324	7702564004	0.00	0.00	66.96
netts	520730	19599	0.00	2.26	0.00

## S\_ALN\_01000003 Report



- To find your expense, click **Find**
- Enter the Grant number and click **Find**
- When the list of hits appears, click on the grant number on the first item
  - Note:** The first column in this example shows the line item number in the Procard document displayed on the following slide.



Line Item	Account	Amount	Grant
1	540324 Gases	66.96	3048105506 1013817943

## S\_ALN\_01000003 Report



- The grant number for the first item in the **Find** list will show a highlight.

Item	Account	Account Short Desc.	Amount	Cyrc Ctr	HEI A/c	Funds Ctr	Fund	Text	Assignment	Auth	Drpr	Grant
1	540340	Procure Purchases	1,375.81	1012004030	1012004030	0011020100	SCOTT GROSS	23100212	0101	0101	0101	0101
2	540324	Gases	489.14	1012004030	3049023240	1013810114	0220000000	SCOTT GROSS	08	0201	0201	3049023240
3	540324	Gases	4.19	1012004030	1012004030	0011020100	SCOTT GROSS	0kazaki	0101	0101	0101	0101
4	540324	Gases	166.30	1012004030	3048105715	1022001031	0220000000	SCOTT GROSS	Katika	0201	0201	3048105715
5	540324	Gases	16.75	1012004030	3048103212	1013816480	0220000000	SCOTT GROSS	Anderson	0201	0201	3048103212
6	540324	Gases	25.12	1012004030	3048102200	1013816200	0220000000	SCOTT GROSS	Ray	0201	0201	3048102200
7	540324	Gases	33.49	1012004030	3048103300	1013817273	0220000000	SCOTT GROSS	Barkis	0201	0201	3048103300
8	540324	Gases	66.96	1012004030	3048105506	1013817943	0220000000	SCOTT GROSS	Khurston	0201	0201	3048105506
9	540324	Gases	107.80	1012004030	3048105021	1013817912	0220000000	SCOTT GROSS	Hill	0201	0201	3048105021
10	540324	Gases	36.96	1012004030	3048105021	1013817912	0220000000	SCOTT GROSS	Hill	0201	0201	3048105021
11	540324	Gases	275.69	1012004030	3048105021	1013817912	0220000000	SCOTT GROSS	Barka	0201	0201	3048105021
12	540324	Gases	46.04	1012004030	3049023386	1222001250	0220000000	SCOTT GROSS	Ozuluwa	0201	0201	3049023386
13	540324	Gases	12.46	1012004030	3049023597	1222001248	0220000000	SCOTT GROSS	ETlal	0201	0201	3049023597
14	540324	Gases	81.87	1012004030	1012004030	0011020100	SCOTT GROSS	UGL	0101	0101	0101	0101
15	540324	Gases	42.37	1012115330	1012115330	0011092100	SCOTT GROSS	Cheng	0201	0201	0201	0201
*	540324		0.00									

- Note:** Your expense may be one line item along with several others within the reference document. Using the **Find** function is a quick way to search for your information.

## Business Warehouse Reports

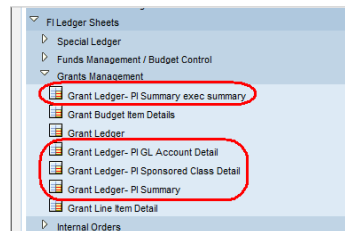


- There are four Business Warehouse report options for PI ledgers
  - Exec Summary, G/L Account Detail, Sponsored Class Detail, or Summary.
- All options have the ability to drill down to more granular levels including a detailed report of individuals and amounts paid from the Grant, and detail expense information including vendor names.
- It is recommended to use Lifecycle selection criteria to exclude closing (I5617) and closed (I5618) grants when running BW reports.

## Business Warehouse Reports



- Grant Ledgers for PIs include:
  - ♦ Grant Ledger – PI Summary Exec Summary (high level roll-up)
  - ♦ Grant Ledger – PI GL Account Detail
  - ♦ Grant Ledger – PI Sponsored Class Detail
  - ♦ Grant Ledger – PI Summary



## Grant Ledger – PI Summary Exec Summary

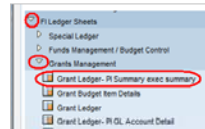


- This report is useful for providing a high level roll-up summary report.
- It has the option of being run by the PI AD/MC User ID and allows the user to run a report showing all grants for a specific PI.
- The report shows the “bottom line” of the grant by category.
- It is recommended to add fund selection for a sponsor (sponsor = 0226\*) versus cost sharing (cost sharing = 001189\*) funds report.

## Grant Ledger – PI Summary Exec Summary



- Log onto BW Web Reporting
- Access FI Ledger Sheets → Grants Management → Grant Ledger – PI Summary Exec Summary



- Enter the required variables



- **Reminder:** The University accounting uses the Fiscal year instead of the calendar year.

- Some variables have defaulted values



## Grant Ledger - PI Summary Exec Summary



- To pull up all the grants for a specific PI, enter the PI's AD/MC User ID in ALL CAPS in the **Grant Responsible User ID** field

- To exclude lifecycles I5617 and I5618 (closed grants):

- In the **Operator** drop-down for **LifeCycle Status**, select **Not Equal To**

- Make sure **I5617** is in the field

- Click on **Insert Row**

- Select the **Not Equal To** operator

- Type **I5618** in the **LifeCycle Status** field

## Grant Ledger - PI Summary Exec Summary



- Click **Execute**

- The report showing PI's grants will display.

Grant	Budget	% Available
00000000	\$ 1,000,000.00	100.00%
00000001	\$ 1,000,000.00	100.00%
00000002	\$ 1,000,000.00	100.00%
00000003	\$ 1,000,000.00	100.00%
00000004	\$ 1,000,000.00	100.00%
00000005	\$ 1,000,000.00	100.00%
00000006	\$ 1,000,000.00	100.00%
00000007	\$ 1,000,000.00	100.00%
00000008	\$ 1,000,000.00	100.00%
00000009	\$ 1,000,000.00	100.00%
00000010	\$ 1,000,000.00	100.00%
00000011	\$ 1,000,000.00	100.00%
00000012	\$ 1,000,000.00	100.00%
00000013	\$ 1,000,000.00	100.00%
00000014	\$ 1,000,000.00	100.00%
00000015	\$ 1,000,000.00	100.00%
00000016	\$ 1,000,000.00	100.00%
00000017	\$ 1,000,000.00	100.00%
00000018	\$ 1,000,000.00	100.00%
00000019	\$ 1,000,000.00	100.00%
00000020	\$ 1,000,000.00	100.00%
00000021	\$ 1,000,000.00	100.00%
00000022	\$ 1,000,000.00	100.00%
00000023	\$ 1,000,000.00	100.00%
00000024	\$ 1,000,000.00	100.00%
00000025	\$ 1,000,000.00	100.00%
00000026	\$ 1,000,000.00	100.00%
00000027	\$ 1,000,000.00	100.00%
00000028	\$ 1,000,000.00	100.00%
00000029	\$ 1,000,000.00	100.00%
00000030	\$ 1,000,000.00	100.00%
00000031	\$ 1,000,000.00	100.00%
00000032	\$ 1,000,000.00	100.00%
00000033	\$ 1,000,000.00	100.00%
00000034	\$ 1,000,000.00	100.00%
00000035	\$ 1,000,000.00	100.00%
00000036	\$ 1,000,000.00	100.00%
00000037	\$ 1,000,000.00	100.00%
00000038	\$ 1,000,000.00	100.00%
00000039	\$ 1,000,000.00	100.00%
00000040	\$ 1,000,000.00	100.00%
00000041	\$ 1,000,000.00	100.00%
00000042	\$ 1,000,000.00	100.00%
00000043	\$ 1,000,000.00	100.00%
00000044	\$ 1,000,000.00	100.00%
00000045	\$ 1,000,000.00	100.00%
00000046	\$ 1,000,000.00	100.00%
00000047	\$ 1,000,000.00	100.00%
00000048	\$ 1,000,000.00	100.00%
00000049	\$ 1,000,000.00	100.00%
00000050	\$ 1,000,000.00	100.00%

## Grant Ledger – PI Summary

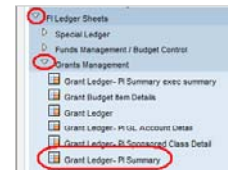


- This report is useful to providing a summary report for a specific grant.
- It is recommended to add fund selection for sponsor versus cost sharing funds report.
  - ♦ Follow the steps in the previous report to add the fund selection.

## Grant Ledger – PI Summary



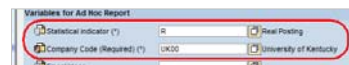
- Log onto BW Web Reporting
- Access **FI Ledger Sheets** → **Grants Management** → **Grant Ledger – PI Summary**



- Enter the required variable
  - ♦ **Reminder:** University accounting uses the fiscal year instead of calendar year.



- Some variables have defaulted values



## Grant Ledger - PI Summary



- Some variable fields are defaulted on the PI Summary ledger, such as **G/L Account** and **Sponsored classes**

The screenshot shows the 'Grant Ledger - PI Summary' form. The 'G/L Account' field is set to 'UK00/Not assigned To 0000999999' and the 'Sponsored Class' field is set to 'L999999'. Both fields are circled in red. Other fields include 'Fiscal Period/Year (Required) (\*)', 'Business Area', 'Sponsored Program', and 'Funds Center'.

- Enter the account number in the **Grant** field

The screenshot shows the 'Grant' field in the form, which is set to '3048105505'. The field is circled in red.

- Click the **Execute** button

The screenshot shows the 'Execute' button in the form, which is circled in red. Other buttons visible are 'Discipline', 'Check', and 'All'.

## Grant Ledger - PI Summary



- Displays the summary for a grant

The screenshot shows the 'Grant Ledger - PI Summary' table. The table displays a summary for a grant, including columns for 'Grant', 'G/L project from date', 'G/L project to date', 'Unreleased Budget', 'Released Budget', 'Current Expense', 'Fiscal Expense', 'Cumulative Expense', 'Commitments', 'Period', 'Acrisked', and 'N/A'. The table is filtered by 'Grant' and shows a summary for '3048105505 - SEPARATION AND RECOV'.

Grant	G/L project from date	G/L project to date	Unreleased Budget	Released Budget	Current Expense	Fiscal Expense	Cumulative Expense	Commitments	Period	Acrisked	N/A
3048105505 - SEPARATION AND RECOV	9/6/2011		\$ 999,364.00	\$ 999,364.00	\$ 7,961.72	\$ 111,214.99	\$ 427,748.39	\$ 126,039.05	\$ 0.00	\$ 445,309.60	44.5
Direct Salary & Bene.			\$ 54,748.00	\$ 54,748.00	\$ 986.00	\$ 62,442.41	\$ 40,248.37	\$ 2,879.95		\$ 11,219.68	20.4
Student Salary & Bene.			\$ 708,023.00	\$ 708,023.00	\$ 4,240.37	\$ 27,216.59	\$ 100,981.65	\$ 0.00	\$ 229,461.32	100.0	0.0
Sub-contract - \$23K			\$ 23,000.00	\$ 23,000.00	\$ 0.00	\$ 16,745.17	\$ 23,000.00	\$ 0.00	\$ 0.00	\$ 0.00	0.0
Sub-contract - \$23K			\$ 170,000.00	\$ 170,000.00	\$ 11,245.90	\$ 11,245.90	\$ 94,329.10	\$ 0.00	\$ 69,234.90	38.0	0.0
Direct Current Expn			\$ 64,253.00	\$ 44,020.00	\$ 179.76	\$ 2,965.70	\$ 11,233.73	\$ 0.00	\$ 32,064.27	74.5	0.0
Equipment			\$ 190,027.00	\$ 0.00	\$ 0.00	\$ 160,396.05	\$ 28,630.95	\$ 0.00	\$ 0.00	\$ 0.00	0.0
Computing Hardware			\$ 190,397.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.0
F&B Costs			\$ 190,543.00	\$ 181,138.00	\$ 2,438.99	\$ 30,814.10	\$ 78,472.02	\$ 0.00	\$ 102,663.96	54.4	0.0



## Grant Ledger – PI Sponsored Class Detail



- This report displays the details for each sponsored class.
- It is recommended to add fund selection for a sponsor versus cost sharing funds report.

## Grant Ledger – PI Sponsored Class Detail



- Log onto BW Web Reporting
- Access FI Ledger Sheets → Grants Management → Grant Ledger – PI Sponsored Class Detail



- Enter the required variables
  - ♦ **Reminder:** University accounting uses the fiscal year instead of calendar year.

- Some variables have defaulted values

## Grant Ledger – PI Sponsored Class Detail



- Enter the account number in the **Grant** field

- Click **Execute**

- Details will display

Account	Amount	Date
1048105505	10000.00	10/01/10
1048105505	20000.00	10/01/10
1048105505	30000.00	10/01/10
1048105505	40000.00	10/01/10
1048105505	50000.00	10/01/10
1048105505	60000.00	10/01/10
1048105505	70000.00	10/01/10
1048105505	80000.00	10/01/10
1048105505	90000.00	10/01/10
1048105505	100000.00	10/01/10

## Grant Ledger – PI Sponsored Class Detail



- **Note:** To get a “truer” available balance, add fund selection variable for a sponsor versus cost sharing funds report

- ♦ If you have already run the report, click **Variable Screen** to return to the variable screen

- ♦ In the **Operator** drop-down box for the **Fund** variable, select **Asterisk**

## Grant Ledger – PI Sponsored Class Detail



- ◆ In the **Fund** field, type **001189\*** (which is the cost share fund; enter **0226\*** for the grant fund)

Funds Center = [ ]  
Fund = 00001189\* [ ]  
Discipline = [ ]

- **Note:** This entry will pull up the fund for most grants.

- ◆ In the **Include/Exclude** box, select **Exclude**

Include [ ]  
Exclude [ ]

- ◆ Click **Execute**

Execute [ ]  
Check [ ]  
All [ ]

## Grant Ledger – PI GL Account Detail

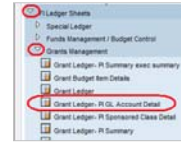


- This report displays the details for each G/L account.
- It is recommended to add fund selection for sponsor versus cost sharing funds report.
  - ◆ Follow the steps in the previous report to add the fund selection.

## Grant Ledger - PI GL Account Detail



- Log onto BW Web Reporting
- Access **FI Ledger Sheets** → **Grants Management** → **Grant Ledger - PI GL Account Detail**



- Enter the required variables
  - ♦ **Reminder:** University accounting uses the fiscal year instead of calendar year.

- Some variables have defaulted values

## Grant Ledger - PI GL Account Detail



- Enter the account number in the **Grant** field

- Click the **Execute** button

## Grant Ledger - PI GL Account Detail



- Displays G/L Account details

Grant Ledger - PI GL Account Detail

Last Data Update: 06/02/2010 00:17:25

Save Views | Variable Screen | Exceptions and Conditions | Comments | Export to Microsoft Excel | Export to CSV | Print (Portrait) | Print (Landscape) | Show Repeated Totals

Rows	Grant	GM project from date	GM project to date	Unreleased Budget	Released Budget	Current Expense	Fiscal YTD Expense	Cumulative PTD Expense	Comments PTD	Parked Documents	Available Balance	% Released
Budget Class	004819505	SEPARATION AND RECOV	06/03/2008	06/02/2011	\$ 969,964.00	\$ 969,964.00	\$ 7,961.72	\$ 111,514.98	\$ 427,743.35	\$ 126,830.65	\$ 0.00	\$ 445,386.60
GL Account					\$ 54,748.00	\$ 54,748.00	\$ 996.60	\$ 12,443.45	\$ 40,848.37	\$ 2,679.96	\$ 0.00	\$ 11,219.88
Grant					\$ 54,748.00	\$ 54,748.00					\$ 0.00	\$ 54,748.00
Sponsored Class	E511000	Direct Salary & Bene			\$ 54,748.00	\$ 54,748.00					\$ 0.00	\$ 54,748.00
Columns											\$ 0.00	\$ 54,748.00
GM Released Budget, Commitments & Expenditures	E511011	Faculty Salary				\$ 639.34	\$ 9,575.54	\$ 32,585.76	\$ 2,125.65		\$ 0.00	\$ 34,711.41
Free Characteristics	000011011	Faculty-FT Regular				\$ 588.74	\$ 3,630.67	\$ 10,553.63	\$ 2,125.65		\$ 0.00	\$ 12,679.28
Business area	000011012	Faculty-FT temporary				\$ 19.60	\$ 205.87	\$ 639.90			\$ 0.00	\$ 855.77
Commitment item	000011311	Temp Faculty					\$ 5,436.50	\$ 21,422.23			\$ 0.00	\$ 21,422.23
Company code	E522000	Staff Benefits				\$ 186.49	\$ 1,377.13	\$ 3,558.02			\$ 0.00	\$ 3,558.02
Cost Center	000020010	Empl Life Insurance				\$ 1.82	\$ 13.44	\$ 30.72			\$ 0.00	\$ 30.72
Discipline	000020015	FCA				\$ 141.13	\$ 987.62	\$ 2,488.66			\$ 0.00	\$ 2,488.66
Fiscal year/period	000020730	MFB - Other				\$ 43.44	\$ 375.77	\$ 1,041.24			\$ 0.00	\$ 1,041.24
Functional area	E522010	Faculty Benefits				\$ 170.37	\$ 1,490.70	\$ 4,704.59	\$ 554.30		\$ 0.00	\$ 5,258.89
Fund	000020188	Empl Faculty				\$ 32.29	\$ 600.60	\$ 925.44			\$ 0.00	\$ 925.94
Fund Type	000020300	ELL Faculty				\$ 0.66	\$ 4.27	\$ 11.53	\$ 2.15		\$ 0.00	\$ 13.68
Funds Center	000020300	FS Faculty				\$ 0.04	\$ 0.22	\$ 0.58			\$ 0.00	\$ 0.58
GM Value Type	000020400	FCA Faculty				\$ 48.03	\$ 500.83	\$ 1,829.59	\$ 162.00		\$ 0.00	\$ 1,991.59
Grant Department	000020500	Retired Faculty				\$ 68.73	\$ 433.87	\$ 1,179.38	\$ 212.55		\$ 0.00	\$ 1,391.94
Grant Sponsor	000020710	MFB - Faculty				\$ 23.02	\$ 344.74	\$ 1,150.10	\$ 78.50		\$ 0.00	\$ 1,228.60
Include in LSGS		Student Salary & Ben			\$ 330,823.00	\$ 330,823.00	\$ 4,345.37	\$ 37,510.59	\$ 100,561.66	\$ 0.00	\$ 0.00	\$ 229,461.32
Print Grant	E513000	Student Salary & Ben			\$ 330,823.00	\$ 330,823.00					\$ 0.00	\$ 330,823.00
Responsible User ID		UK/Not assigned			\$ 330,823.00	\$ 330,823.00					\$ 0.00	\$ 330,823.00
Sponsored Program	E513000	Student Salary				\$ 4,345.37	\$ 36,900.74	\$ 97,950.74			\$ 0.00	\$ 97,950.74
WBS Resp. Cost Ctr	000013110	Stud-NonWork Study			\$ 230.00	\$ 6,083.60	\$ 14,189.20				\$ 0.00	\$ 14,189.20
	000013510	Research Assistants			\$ 2,240.37	\$ 17,692.14	\$ 50,904.35				\$ 0.00	\$ 50,904.35

## BW Reports - Drill Downs



- You can drill down in most BW reports to display more information such as sponsored class detail, G/L account detail, and vendor/payroll information.
- To add objects from the **Free Characteristics** area, click on either **Drill Down** or **Drill Across**
- On reports containing hierarchies, click on the **Expand/Collapse** icon to display or hide details.

Free Characteristics

Business area	[Expand/Collapse]	[Drill Down]	[Drill Across]
Commitment item	[Expand/Collapse]	[Drill Down]	[Drill Across]
Company code	[Expand/Collapse]	[Drill Down]	[Drill Across]
Cost Center	[Expand/Collapse]	[Drill Down]	[Drill Across]
Discipline	[Expand/Collapse]	[Drill Down]	[Drill Across]

Sub-contract > \$25K

Direct Current Expen	[Expand/Collapse]
E530100	Direct Current Expen
E530400	Materials & Supplies
0000530401	Freight/Com Transpor
0000540311	Chemicals/Lab Supply
0000540324	Classes
0000630305	Environmental Charge
E537110	Graduate RA tuition

## BW Reports – Drill Downs



- Some details may be available by linking to another report.

- To display this information, right-click on a line item in the data field to display the context menu such as direct current expense.

.70	\$ 11,223.70		
		Back	
		Back to Start	
.42	\$ 6,288.00	Goto	
.00	\$ 19.90	Export as ...	
.00	\$ 3,291.00	Properties	
.42	\$ 1,347.20	Key Figure Definition	
	\$ 1,627.60	Query Properties	
.25	\$ 4,931.60	Enhanced Menu	
.03	\$ 6.00		

- Select **Goto >** and then one of the reports that are listed.

\$ 64,253.00	\$ 44,628.00	\$ 179.70	\$ 2,955.70	\$ 11,223.70	
\$ 64,253.00	\$ 44,628.00				
					Back
					Back to Start
					Goto
					Export as ...
					Properties
					Key Figure Definition
					Query Properties
					Enhanced Menu
	\$ 1.76	\$ 6.03	\$ 6.00		

## BW Reports – Drill Downs



- When the variable screen for the new report displays, the values will be transferred from the original report.

- You can just click **Execute** to run the report.

- For more information about running BW reports, refer to the BEX\_300 course material on the *myHelp* website.

## Grant Information Websites



- Office of Sponsored Projects Administration
  - ♦ <http://www.research.uky.edu/ospa/>
- Sponsored Projects Accounting
  - ♦ <http://www.uky.edu/EVPFA/Controller/sponsor.htm>
- IRIS Grants Management website
  - ♦ <http://www.uky.edu/IRIS/GM/>
- IRIS Principal Investigators website
  - ♦ <http://www.uky.edu/IRIS/GM/piresources.html>
- myHelp website
  - ♦ <http://myhelp.uky.edu/rwd/HTML/GM.html>

## Grant Listservs



- An announcement listserv is available for principal investigators.
  - ♦ <http://lsv.uky.edu/archives/iris-gmnews.html>
- A two-way discussion listserv for announcements and sharing of information is available.
  - ♦ <http://lsv.uky.edu/archives/IRIS-GMDiscussion.html>
- You may sign up at <http://www.uky.edu/IRIS/contacts>.

## Summary

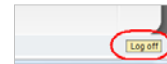


- Availability Control
- IRIS Transactions
  - ♦ GMGRANTD
  - ♦ ZPRIME
  - ♦ GMAVCOVRW
  - ♦ S\_ALN\_01000003
- BW Reports
  - ♦ Grant Ledger – PI Summary Exec Summary
  - ♦ Grant Ledger – PI Summary
  - ♦ Grant Ledger – PI Sponsored Class Detail
  - ♦ Grant Ledger – PI GL Account Detail
  - ♦ BW Reports – Drill Downs
- Other Tools

## Course Completion Instructions



- Click **Logoff** (lower right corner)
  - ♦ **Note:** You can print the **QRC Course Completion** by clicking on **Attachments**



- When the WBT window closes, it should go back to your original browser window
- Scroll down the page until you see the **Confirm Participation** section
  - ♦ Please be patient, since it may take a few seconds for the screen to refresh



- To complete the course, click **Confirm Participation**

