THE GRANT LIFE CYCLE

Pre-award
- Application submission
- Budget development and approval

Funded!

Post-award
- Contract execution
- Revisions
- Scientific or progress reporting

Grants Accounting
- Budget spending
- Fiscal reporting
Pre-award
PROJECT BUDGET

• Know and understand all budget requirements and forms (Read Instructions/Guidelines!)
  • Funding Agency
  • Office of Grants and Contracts

• Internal Requirements:
  • Budget, Justification, Cost Sharing form, and Application Certification are due 2 weeks prior to application deadline
  • Completed and final applications due 3 business days ahead of deadline

http://www.siumed.edu/adr/grants/process/grant-submission-process-forms.html
WHO SHOULD BE ON YOUR TEAM?

- Principal Investigator (Program Director)
- Other Clinicians or Scientists
- Clinical Research Coordinator or Project Manager
- Statistician
- Fiscal Officer
- Others?
• Communicate with faculty and staff in all participating departments:
  • Co-investigators
  • Fiscal Officers
  • Department Chairs (must approve budget)
  • Statistician (CCR) statistics@siumed.edu
  • Study Coordinators (CCR, SCI)
SUBAWARD PERSONNEL

• Subrecipient Commitment Agreement Form
  [Link: http://www.siumed.edu/adr/grants/forms/subrecipient-commitment-form.html]
  - Budget will be affected
  - Due with budget materials, two weeks in advance
  - Involves critical subaward information needed for the application

• Contact Grants Office as soon as possible to begin completing this document: grants@siumed.edu
INTERNAL PROCESS & FORMS

Grants & Contracts: http://www.siumed.edu/adr/grants

• Excel Budget Template 1-5 years, sample, and formulas
  http://www.siumed.edu/adr/grants/forms/excel-budget-template.html

• Word Budget Justification
  http://www.siumed.edu/adr/grants/forms/word-budget-justification.html
I can include raises for individuals in grant budgets. True or False

- **FALSE**: Mandatory to use current salary bases
  - Against federal regulations to increase salaries based on grant funding
  - Additionally, individuals must use the current and approved fringe benefit rates
The current fringe benefit rate for all personnel is 58.3%.

True or False

• **FALSE**: Employee status determines fringe rate.
  • Full Time/Part Time
  • Retired/Emeritus
  • Extra Help
  • Postdoc Fellow
  • Graduate Student
I can be more than 100% grant funded. True or False

• **FALSE**: No individual can be >100% committed.
  • Department fiscal officers are responsible for tracking each individuals’ awarded FTE percentages.
  • Awarded FTE includes funded and in-kind commitments
  • >100% committed is an auditable finding

• Waiver Request for Voluntary Cost Sharing:
  [http://www.siumed.edu/adr/grants/forms/waiver-request-voluntary-cost-sharing.html](http://www.siumed.edu/adr/grants/forms/waiver-request-voluntary-cost-sharing.html)
Sample Scenario: Lab tech, Fred, will spend 2 days each week (40% FTE) on a project. The application includes 30% of Fred’s time in the budget.

- How much of Fred’s time is cost shared or in-kind?
  
  10% is requested in-kind

- Who is responsible for paying the cost shared amount (salary and fringes)?
  
  Fred’s Department

- Who must approve Fred’s cost shared percentage?
  
  Fred’s Department Chair
I am buying an electronic piece of equipment for $3,000. I should include this item in Equipment. 

True or False

• FALSE: All items under $5,000; e.g., equipment that costs <$5,000 = Supply/Commodity

I only include animals in supplies and their per diem in another line item.

True or False

• FALSE: Include animals and per diem and shipping in the Supply/Commodity category
Equipment is included in the Modified Total Direct Cost calculation to determine the Indirect Cost amount.

True or False

• **FALSE**: Equipment does **not** generate Indirect Costs
TRAVEL

• Who is going where and why?
• When applicable, follow program announcement requirements to attend agency meetings

• Consider the following when calculating and justifying:
  • Transportation (airfare, mileage reimbursement, parking, etc.)
  • Hotel accommodations
  • Per diem
  • Team meetings with out of state collaborators
CONTRACTUAL EXPENSES

• Core Facilities
  • Flow Cytometry
  • DLAM
  • Research Imaging Core
  • Molecular Core

• Publications
  • Cost of Open Access

• Subawards <$20,000 total
CONSORTIUM / SUBAWARDS

• Subrecipient (subaward) documents
• Federal application requirements
• Cost implications on award limit:
  • Total Costs: (primary and subaward direct and indirect costs)
  • Total Direct Costs: (primary direct costs + subaward direct and indirect costs)
  • Total Direct Costs less Consortium F&A: (all primary direct costs + subaward direct costs)
QUESTIONS?

• Website: [https://www.siumed.edu/adr/grants/process/grant-submission-process-forms.html](https://www.siumed.edu/adr/grants/process/grant-submission-process-forms.html)

• E-mail: grants@siumed.edu
Post-award
ADVANCE ACCOUNT REQUEST

• Purpose
  • To set up an expenditure account.

• Do we really need one?
  • It is advisable to submit an AAR to ADR. There may be a delay between receipt of the award notice and the account being established by Grants Accounting, upon receipt of a completed Grant & Contract Award Acceptance form from ADR.

• What happens if the grant does not get awarded?
  • The department will be responsible for covering the expenditures.
PROCESS AWARD DOCUMENTS

- Who negotiates and processes the Agreements/Research Contracts?
  - ADR Office of Grants and Contracts

- Who signs the award documents?
  - The Interim Associate Dean for Research has the authority to execute award documents. In his absence, ADR secures a signature from Dr. Kruse or the Associate Provost for Finance and Administration.

- What is a Grant and Contract Award Acceptance (GCAA) form? Who prepares it?
  - This form is completed by ADR upon receipt of an award. It is a 3-page in-house document that summarizes information about the award. It is forwarded to Grants Accounting for final completion.
Before Execution

• Does the PI prepare a document on their own?
  • No, the PI works with ADR Grants and Contracts Office.

• Are there templates available? If so, where are they located?
  • Yes, [www.siumed.edu/adr/grants](http://www.siumed.edu/adr/grants) Subcontract Process

• When are they drafted?
  • Close to confirmation of receipt of an award notice or upon receipt of the award.

• What is the role of ADR Office?
  • ADR is the processor/liaison and works with Legal to prepare an acceptable legal document. ADR also negotiates terms of the subcontract with the vendor.
Executing the Subcontract/award and Beyond

• How long does it take to process one from development through execution?
  • Allow 4-6 weeks

• Who is authorized to sign a subcontract/award?
  • Final execution is by the Interim Associate Dean for Research. The PI and Department Chair may also need to sign the contract.

• What happens if it needs to be changed after execution?
  • Contact grants@siumed.edu to negotiate all revisions to the legal document.

• What if SIUSOM is the subcontracted party?
  • ADR, as liaison, reviews, completes and processes the documents. The Interim Associate Dean for Research also signs these documents.
CONTRACT STATUS

• Very important to continually communicate throughout the negotiation and execution process
  • ADR Office of Grants and Contracts
  • Department/Division Fiscal Officers
  • PIs
  • Funding Agencies
  • Subaward sites
    • Primary award sites, if SIUSOM is subaward
REVISIONS

• Can revisions be made to the award/contract?
  • What types of changes are allowable?
    • This information is defined in the award/contract.
  • Does the PI or Fiscal Officer just change on their own?
    • No, the ADR Grants and Contracts Office is the liaison in requesting revisions.

• Is approval for the revisions needed by someone else?
  • It is defined in the award/contract, if prior approval is required by the awarding agency.

• Who initiates this process?
  • The PI contacts grants@siumed.edu to request a revision.

• Who negotiates the revision?
  • The ADR Office of Grants and Contracts

• When should this be done?
  • Before any changes are implemented.

• What information is needed?
  • The specifics of the change, such as the budget, time extension, justification for changes, etc.

• What is a Grants Accounting Change Request (GACR) form and where is it sent?
  • This is completed and forward to grants@siumed.edu upon approval of a revision. This form is also completed when in-house budget changes are necessary.
REPORTING

- There may be technical and/or financial reporting required; it is stated in the award/contract conditions/requirements.
  - Type and frequency of reports and due dates vary. This information will be in the notice of award or contract.
- Who submits the reports?
  - The PI submits the report, in most cases, and sends a copy of the report to grants@siumed.edu for filing
  - The ADR Grants and Contracts Office Authorized Representative may be required to review and submit the report, after the PI has completed (for example, NIH)
  - Grants Accounting submits financial reports
- Who needs a copy of the submitted report and why?
  - The ADR Grants and Contracts Office and Grants Accounting must receive a copy of all reports for the grant file. This ensure compliance with award conditions.
Grants Accounting
Grants Accounting

ga@siumed.edu

Kris Barnett
545-8848
pbarnett2@siumed.edu
AGENDA

• Uniform Guidance
• Grants Accounting Responsibilities
• Grants Accounting Resources
UNIFORM GUIDANCE

• As of 12/26/14 the federal government issued revised guidelines. They are commonly referred to as Uniform Guidance. We have provided a handout titled “PI Quick Guide to Uniform Guidance” to touch on some of the major changes with regard to federal awards.

• The “PI Quick Guide to Uniform Guidance” only brings your attention to some of the major changes. You should review the Uniform Guidance 2 CFR 200 and be aware there have been many other changes. These changes may affect your application and/or award because certain expenses are now allowable whereas other things like award modifications are more restrictive. Please contact ADR or Grants Accounting when you have specific concerns or questions.
• Administrative/Clerical Salary costs; In the past only “major projects” were allowed to have clerical salaries included in the award. With UG salaries can now be included IF they meet the criteria listed in UG. We have summarized this criteria on the “PI Quick Guide to Uniform Guidance” handout. This is a major difference from prior years.

• Computers; in the past you generally could not purchase computers unless they served a specific purpose and had prior NIH approval. With UG, computing devices under $5,000.00 may be considered supplies as opposed to equipment IF they meet the criteria summarized on the “PI Quick Guide to Uniform Guidance” handout.

• Lastly, please review UG section 200.308 Award Modifications which lists numerous instances where you need to seek prior approval from the sponsor. We have listed some of the most common award modification changes in the “PI Quick Guide to Uniform Guidance” handout.
## SIU School of Medicine

### PI Quick Guide to Uniform Guidance

The U.S. Office of Management and Budget (OMB) issued the **Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards**, commonly referred to as Uniform Guidance (UG) to supersede OMB Circulars A-21, A-110, and A-133. The full text of these policies and guidelines can be found in 2 CFR 200. This Quick Guide provides an overview of major changes in the UG affecting proposal budgets, subawards and charging of direct costs.

The UG applies to all new federal funding received after December 26, 2014, the effective date for the regulations.

<table>
<thead>
<tr>
<th><strong>Administrative / Clerical Salary Costs</strong></th>
<th><strong>Administrative and clerical salaries (in certain circumstances) can be included on competitive proposal budgets.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicable Uniform Guidance sections:</td>
<td>The salaries of administrative and clerical staff should normally be treated as indirect (F&amp;A) costs. Under Uniform Guidance, direct charging of these costs may be appropriate if all of the following conditions are met:</td>
</tr>
<tr>
<td>200.113</td>
<td>• Administrative or clerical services are integral to a project or activity;</td>
</tr>
<tr>
<td>200.430</td>
<td>• Individuals involved can be specifically identified with the project or activity;</td>
</tr>
<tr>
<td></td>
<td>• Such costs are explicitly included in the budget or have prior written approval of the federal awarding agency; and</td>
</tr>
<tr>
<td></td>
<td>• The costs are not also recovered as indirect costs.</td>
</tr>
</tbody>
</table>

If all of these requirements are met, the PI must include justification of the proposed costs in the grant application. For National Institutes of Health (NIH) modular grants that do not require line-item budgets, the justification for the inclusion of administrative and clerical salaries should be included in the Personnel Justification.

<table>
<thead>
<tr>
<th><strong>Computing Devices (under $5,000 unit cost)</strong></th>
<th><strong>Computing devices can be included on competitive proposal budgets.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicable Uniform Guidance sections:</td>
<td>Computing devices under $5,000 per unit may be directly charged to the project or activity under the following circumstances:</td>
</tr>
<tr>
<td>200.33</td>
<td>• The computing devices are essential* and allocable to the project in that they are necessary to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or peripherals) for printing, transmitting, receiving, or storing electronic information.</td>
</tr>
<tr>
<td>200.48</td>
<td>• The project does not have reasonable access to other devices or equipment that can achieve the same purpose; devices may not be purchased for reasons of convenience or preference.</td>
</tr>
<tr>
<td>200.49</td>
<td>• Equipment means tangible property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds $5,000.</td>
</tr>
<tr>
<td>200.453C</td>
<td>*PIs are responsible for determining whether the device is “essential” and to what extent the cost of the device is allocable to the sponsored project.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Visa Costs</strong></th>
<th><strong>Short-term travel visa costs can be included on competitive proposal budgets.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicable Uniform Guidance sections:</td>
<td>Since short-term visas are issued for a specific period and purpose, they can be clearly identified as directly benefiting work performed on a federal award and can be directly charged. Typically these visas allow employees and students to conduct field research or attend meetings in foreign locations. For these costs to be directly charged to a federal award, they must be:</td>
</tr>
<tr>
<td>200.463D</td>
<td>• Critical and necessary to the project.</td>
</tr>
<tr>
<td></td>
<td>• Allowable by the Agency.</td>
</tr>
</tbody>
</table>

Long-term visa costs, such as "J" or "H1B" visas, are not allowable as direct charges.
| Subrecipient vs. Vendor | **The pass-through entity is responsible for making the determination of “subrecipient” or “vendor”:**  
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td><strong>Applicable Uniform Guidance sections:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>200.22</td>
<td>200.24</td>
<td>200.53</td>
</tr>
<tr>
<td><strong>PI cannot negotiate with a funder and/or subrecipient organization without ADR Office involvement. Agreements that arise from discussions in which ADR has not been a party may not be compliant with regulatory requirements and may not be accepted by the University. Also, never give work to a contractor or subrecipient who expects payment unless an approved agreement is in place.</strong></td>
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</table>

| F&A on Subawards | **The subrecipient’s negotiated facilities and administrative (F&A) rate, or a de minimis rate, must be used for all subawards included in competitive proposals.**  
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<thead>
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<tbody>
<tr>
<td><strong>Applicable Uniform Guidance sections:</strong></td>
<td>200.311</td>
<td></td>
</tr>
<tr>
<td><strong>if a federal program has published a statutory F&amp;A cap, that rate must be used by PIU and all of its subrecipients (if applicable).</strong></td>
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</tr>
<tr>
<td><strong>For all other federal programs, if a subrecipient has a federally negotiated F&amp;A rate, it must be used.</strong></td>
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</tr>
<tr>
<td><strong>If the entity does not have a negotiated F&amp;A rate, a 10% de minimis F&amp;A rate must be used instead, or the University (ADRFA or OSPFA) may negotiate an F&amp;A rate with the subrecipient.</strong></td>
<td></td>
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</tr>
<tr>
<td><strong>PI may not negotiate or agree to lower rates with subrecipients.</strong></td>
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</tr>
</tbody>
</table>

| Award Modifications | **The UG provides very specific guidance on when prior approval is required for changes in project scope, budget, key personnel and other changes.**  
<table>
<thead>
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</thead>
<tbody>
<tr>
<td><strong>Applicable Uniform Guidance sections:</strong></td>
<td>200.306</td>
<td></td>
</tr>
<tr>
<td><strong>Change in the scope or the objective of the project or program (even if there is no associated budget revision).</strong></td>
<td></td>
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<tr>
<td><strong>Change in a key person specified in the application or the award.</strong></td>
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<tr>
<td><strong>The disengagement from the project for more than three months, or a 25% reduction in time devoted to the project by the PI.</strong></td>
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<td></td>
</tr>
<tr>
<td><strong>Unless described in the application and funded in the approved award, the subawarding, transferring or contracting of any work.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Changes in the amount of approved cost-sharing or matching provided by the non-Federal entity.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Equipment purchases, unless included in the proposal and the approved budget.</strong></td>
<td></td>
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</tbody>
</table>

| Project Closeout | **On most federal awards final performance reports and fiscal reports are required to be submitted no later than 90 days after the period of performance end date.**  
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td><strong>Applicable Uniform Guidance sections:</strong></td>
<td>200.343</td>
<td>200.461</td>
</tr>
<tr>
<td><strong>The non-federal entity must liquidate all obligations incurred under the federal award no later than 90 calendar days after end date of the period of performance.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Cost transfers must be completed before the final financial report is due.</strong></td>
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</tr>
<tr>
<td><strong>Publication costs can be charged during the closeout period.</strong></td>
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</tr>
<tr>
<td><strong>NIH grant reports are due within 120 days after project end date.</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Procurement | **Procurement Standards (Sections 200.317-200.326) become effective July 1, 2018.**  
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td><strong>Applicable Uniform Guidance sections:</strong></td>
<td>200.317 – 200.326</td>
<td></td>
</tr>
</tbody>
</table>
YOU HAVE RECEIVED A GRANT OR NOTICE OF AWARD

• Grants Accounting will:
  • Establish a BP
  • Forward the completed Grant and Contract Award Acceptance (GCAA) with Notice of Award to PI & Department
  • Annually request Cost Sharing/Match proof of spending (this includes voluntary & in-voluntary match included in the proposal)
  • Do financial reporting and/or invoicing
  • Review end dates and check the need to re-budget
  • Approve correction forms
  • Monitor clinical trials & residual funds
  • Close the account
ESTABLISHING A BUDGET PURPOSE (BP)

There are 2 ways to establish a BP:

1. **Advance Account Request (AAR)**
   - To be filled out by the department and approved by ADR before being sent to GA

2. **Departmental Account/Signature Authority Request**
   - Form will be sent to FO for signatures by GA after GCAA is received
ADVANCE ACCOUNT REQUEST FORM (AAR)

- **Form:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0100S_1115_F_Advance_Acct_Request.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0100S_1115_F_Advance_Acct_Request.pdf)

- **Instructions:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0100S_1115_I_Advance_Acct_Request.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0100S_1115_I_Advance_Acct_Request.pdf)
ADVANCE ACCOUNT REQUEST
SIU SCHOOL OF MEDICINE

From: Your Name
Date of Request: 
To: Associate Dean for Research and Faculty Affairs, MC 5610

Grant/Contract Title: 
Title – space is limited in AIS please use key words

Sponsoring Agency: 
Funder: 
Budget Period: Start: - End: 

Principal Investigator: 
Unit Name: 
Unit where grant will fiscally operate: 

Reason for Advance Account Request. Also, if Account is being established outside of PI academic department, indicate reason:
Enter the reason(s) the AAR is needed, i.e. to allow spending for pending award notice:

Proposed Budget

<table>
<thead>
<tr>
<th>Line Item</th>
<th>AIS Object</th>
<th>Requested Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>4169</td>
<td></td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>5689</td>
<td></td>
</tr>
<tr>
<td>Consultant Costs</td>
<td>5029</td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td>4499</td>
<td></td>
</tr>
<tr>
<td>Commodities</td>
<td>4699</td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td>4399</td>
<td>Enter the proposed budget</td>
</tr>
<tr>
<td>Contractual Services</td>
<td>4890</td>
<td></td>
</tr>
<tr>
<td>Operation of Automobiles</td>
<td>5199</td>
<td></td>
</tr>
<tr>
<td>Trainee Costs &amp; Stipends</td>
<td>5799</td>
<td></td>
</tr>
<tr>
<td>Telecommunications</td>
<td>5399</td>
<td></td>
</tr>
</tbody>
</table>

Total Direct Costs: 9799
Total Indirect Costs: Indirect Cost Rate: IDC Rate: 

Budget Total: 

I understand that in the event this award does not materialize within six months of the date the department is notified of the account number, Grants Accounting is authorized to transfer any costs incurred to Budget Purpose and this account will be closed.

PI Name: 
Fiscal Officer Name: 
Chair Name: 

PI Signature: Date: 
Fiscal Officer Signature: Date: 
Chair Signature: Date: 

Signatures:

Below this line for ADRFA and Grants Accounting Use Only

Type of Award: [ ] Clinical [ ] Other [ ] Research [ ] Training [ ] Institutional
SCRiHS No.: 
The sponsoring agency has been contacted and the award is forthcoming. The budget is approved.

ADRFA Signature: Date: 
Budget Purpose Assigned: Date: Dept. Notified: Date: ADB Setup Complete: Date:

Grants Accounting Signature: Date: 

FAGM-3100S: 
11/15

Clear 
Print
DEPARTMENTAL ACCOUNT/SIGNATURE AUTHORITY REQUEST FORM

- **Form:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/SP_0600S_0911_F_Departmental_Acct_Signature_Auth_Request.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/SP_0600S_0911_F_Departmental_Acct_Signature_Auth_Request.pdf)

- **Instructions:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/SP_0600S_0911_I_Departmental_Acct_Signature_Auth_Request.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/SP_0600S_0911_I_Departmental_Acct_Signature_Auth_Request.pdf)
When Grants Accounting receives a GCAA and there was not an Advance Account Request GA will fill out this form and forward to the Fiscal Officer for Signatures on Page 2.
GRANT & CONTRACT AWARD ACCEPTANCE (GCAA)

• The GCAA is the document the FO can refer to for quick reference on reporting, spending restrictions, budget, etc.

• For a detailed explanation of the GCAA go to:
  http://intranet.siumed.edu/finandadmin/fa/OTC_docs/ganavigatinggrants.pdf
GRANTS & CONTRACT AWARD ACCEPTANCE FORM (GCAA)

- **Form:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/GM_0400S_0712_F_Grant_Contract_Award_Acceptance.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/GM_0400S_0712_F_Grant_Contract_Award_Acceptance.pdf)

- **Instructions:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/GM_0400S_0712_I_Grant_Contract_Award_Acceptance.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/GM_0400S_0712_I_Grant_Contract_Award_Acceptance.pdf)
GCAA will be completed by ADR & GA once the executed Notice of Award is received
SPENDING DURING THE AWARD BUDGET PERIOD

• Is the expenditure appropriate for the award?

  • Award Notice/Agreement, Grant Budget and Agency Guidelines are used to determine propriety of expenditures

  • Grant spending must adhere to agency guidelines, be consistent with University policies, and abide by Uniform Guidance

  • PI & FO are responsible for proprietary review of spending

  • FO can contact GA with questions about spending propriety not covered by the guidelines
FINANCIAL REPORTING

• GA will follow grant guidelines for financial reporting.

• The ultimate responsibility for proper spending rests with the PI and the FO, however GA will review expenditures for propriety when doing the fiscal reports and contact the FO with any concerns.
GRANT ACCOUNTING CHANGE REQUEST (GACR)

• There are several purposes for this form:
  1. Re-budget between lines
  2. No-cost extension
  3. Increase/decrease of budget during current year of funding
  4. PI change

• Where do I send my GACR?
  • Email completed form to grants@siumed.edu
  • ADR approval is needed prior to GA making changes in AIS
GRANTS ACCOUNTING CHANGE REQUEST FORM (GACR)

- Form:
  - [http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0200S_0415_F_Grants_Accounting_Change_Request.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0200S_0415_F_Grants_Accounting_Change_Request.pdf)

- Instructions:
  - [http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0200S_0415_I_Grants_Accounting_Change_Request.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0200S_0415_I_Grants_Accounting_Change_Request.pdf)
GRANTS ACCOUNTING CHANGE REQUEST
SIU SCHOOL OF MEDICINE

- **To**: ADRIA, Mail Code 9616
- **Date**: Date of Request
- **Name of Person making request**
- **Unit**: Unit Name
- **Budget Purpose**
- **Current Budget Dates**

**Check appropriate Box**
- CLEARLY STATE REASON FOR CHANGE

<table>
<thead>
<tr>
<th>Change Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Reallocation*</td>
</tr>
<tr>
<td>Other Action Requested (Budget reallocation not applicable)*</td>
</tr>
</tbody>
</table>

*Attach letter to sponsoring agency or prior approval from them is required; a scanned document is preferred.

(if change requested is for budget reallocation, complete the following section.)

<table>
<thead>
<tr>
<th>Object/Description</th>
<th>Amount Decrease</th>
<th>Amount Increase</th>
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</thead>
<tbody>
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</tbody>
</table>

**TOTAL**

**Reason/Justification**

**CLARLY STATE REASON FOR CHANGE**

Check appropriate box - signatures lines will appear

---

Grants Accounting: 

Dean's Institutional Prior Approval Needed:  

Jerry Knise, Dean and Provost for
Brad Colwel, Interim Chancellor
Southern Illinois University Carbondale

FACUA 020915  
04/15

[Send Form] [Clear] [Print]
You have several ways to correct grant spending:

1. Expenditure Correction
2. Transfer Voucher (only in special circumstances)
3. Retroactive Account Adjustment (RAA)

Please remember BP’s from 520000 through 569999 are in the grant series. This includes your Department Residual Accounts

*Don’t forget Page 2 Cost Transfer Justification, signatures & backup documents*
CORRECTION FORMS

• Expenditure Correction
  • Form:
    • http://intranet.siumed.edu/forms/fna/forms/fa/GL_0400S_0512_F_Expenditure_Correction.pdf
  • Instructions:
    • http://intranet.siumed.edu/forms/fna/forms/fa/GL_0400S_0512_I_Expenditure_Correction.pdf

• Transfer Voucher
  • Form:
    • http://intranet.siumed.edu/forms/fna/forms/fa/GL_0200S_0512_F_Transfer_Voucher.pdf
  • Instructions:
    • http://intranet.siumed.edu/forms/fna/forms/fa/GL_0200S_0512_I_Transfer_Voucher.pdf

• Retroactive Account Adjustment (RAA)
  • Form:
    • http://intranet.siumed.edu/forms/fna/forms/fa/PY_0120S_0512_F_AIS_HRMS_Faculty_Staff_Retroactive_Account_Adjustment.pdf
  • Instructions:
    • http://intranet.siumed.edu/forms/fna/forms/fa/PY_0120S_0512_I_AIS_HRMS_Faculty_Staff_Retroactive_Account_Adjustment.pdf
EXPENDITURE CORRECTION
SIU SCHOOL OF MEDICINE

Please complete the following information, attach any supporting documentation and forward to the Accounting Office at mail code 9608. If you have any questions, please call Accounting.

Special Note: Per the State’s Fiscal Control and Internal Auditing Control checklists, "vouchers are permitted to be charged only against the program to which they relate and not charged against the program most able to bear the cost."

GENERAL INSTRUCTIONS
1. A Fiscal Officer must sign for both the correct account and incorrect account.
2. The original form and supporting documentation must be returned to Accounting.

<table>
<thead>
<tr>
<th>Amount of Invoice</th>
<th>Invoice Number</th>
<th>Invoice Date</th>
<th>Date</th>
<th>Trans No. (Acct Use Only)</th>
</tr>
</thead>
</table>

Description of Transaction/Note to Accounting

Does this expenditure correction involve a grant? [ ] Yes [ ] No

Correct Account

ACCOUNTING FLEXFIELD

<table>
<thead>
<tr>
<th>Line No. (Acct Use Only)</th>
<th>Fiscal Officer Signature</th>
<th>Budget Purpose Name</th>
<th>Budget Purpose No.</th>
<th>Dept Act 1</th>
<th>Dept Act 2</th>
<th>Nat Account (Acct Use Only)</th>
<th>Object</th>
<th>SOF (Acct Use Only)</th>
<th>FY</th>
<th>Dollar Amount</th>
</tr>
</thead>
</table>

Incorrect Account

ACCOUNTING FLEXFIELD

<table>
<thead>
<tr>
<th>Line No. (Acct Use Only)</th>
<th>Fiscal Officer Signature (If applicable)</th>
<th>Budget Purpose Name</th>
<th>Budget Purpose No.</th>
<th>Dept Act 1</th>
<th>Dept Act 2</th>
<th>Nat Account (Acct Use Only)</th>
<th>Object</th>
<th>SOF (Acct Use Only)</th>
<th>FY</th>
<th>Dollar Amount</th>
</tr>
</thead>
</table>
COST TRANSFER JUSTIFICATION FOR SPONSORED PROJECTS
SIU SCHOOL OF MEDICINE

To be attached to any Payroll Retroactive Account Adjustment, Expenditure Correction or Transfer Voucher involving one or more grant accounts. Documentation justifying this change is required.

A. Reason for the Transfer (Check One)

☐ Clerical Error (Explain in Section E)
☐ Reallocations (Explain in Section E)
☐ Related Projects (Explain in Section D)

☐ Use of Incorrect Object Code (Explain in Section E)
☐ New Award
☐ Other (Explain in Section E)

B. Additional Justification Required (Mark Yes or No)

☐ Yes ☐ No Is the grant (or grants) involved in the correction/transfer overspent?

☐ Yes ☐ No Does the transfer involve subcontracts?

☐ Yes ☐ No Is the grant (or grants) involved in the correction/transfer past its end date?

☐ Yes ☐ No Does the transfer involve equipment?

If the answer is yes to any of the above, provide justification in Section E, explaining the propriety of the Budget Purpose to be charged.

C. Timing of Cost Transfer (Mark Yes or No)

☐ Yes ☐ No Is this a transfer of charges recorded in AIS more than 90 days prior to the date of this requested transfer? (If the answer is yes, provide justification in Section E.)

D. Transfer of Costs That Directly Benefit Multiple Interrelated Projects (Check One)

☐ Costs are being transferred between benefiting interrelated Federal projects of the same principal investigator. (Explain relatedness of projects in Section E.)

☐ Costs are being transferred between interrelated Federal projects of different principal investigators. (Explain relatedness of projects in Section E.)

☐ Costs are being transferred between interrelated non-Federal projects. (Explain relatedness of projects in Section E.)

E. Remarks/Explanations/Justifications


F. Certification That the Charges Are Correct and Appropriate

Principal Investigator (Always Required) ____________________________ Date __________
Fiscal Officer (Always Required) ____________________________ Date __________
Department Chairs (If > 90 days in Section C) ____________________________ Date __________

Approval: Grants Accounting ____________________________ Date __________
Please complete the following information, attach any supporting documentation and forward to the Accounting Office at mail code 9608. If you have any questions, please call Accounting.

Special Note: For the State's Fiscal Control and Internal Auditing Control checklists, "vouchers are permitted to be charged only against the program to which they relate and not charged against the program most able to bear the cost."

GENERAL INSTRUCTIONS
1. A Fiscal Officer must sign for both the disbursing account and receiving account.
2. The original form and supporting documentation must be returned to Accounting.

<table>
<thead>
<tr>
<th>Dollar Amount of Transfer</th>
<th>Date</th>
<th>Trans No. (Acct Use Only)</th>
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</thead>
</table>

<table>
<thead>
<tr>
<th>Description of Transaction/Note to Accounting</th>
<th>Does this transfer involve a grant?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>

Was this payment to or on behalf of a U.S. Citizen or Permanent Resident?  Yes  No  
(If No, the payment must be processed on a Contractual Service Voucher.)

### Disbursing Account

<table>
<thead>
<tr>
<th>Line No. (Acct Use Only)</th>
<th>Fiscal Officer Signature</th>
<th>Budget Purpose Name</th>
<th>Budget Purpose No.</th>
<th>Dept Act 1</th>
<th>Dept Act 2</th>
<th>Nat Account (Acct Use Only)</th>
<th>Obj</th>
<th>SOF (Acct Use Only)</th>
<th>FY</th>
<th>Dollar Amount</th>
</tr>
</thead>
</table>

### Receiving Account

<table>
<thead>
<tr>
<th>Line No. (Acct Use Only)</th>
<th>Fiscal Officer Signature</th>
<th>Budget Purpose Name</th>
<th>Budget Purpose No.</th>
<th>Dept Act 1</th>
<th>Dept Act 2</th>
<th>Nat Account (Acct Use Only)</th>
<th>Obj</th>
<th>SOF (Acct Use Only)</th>
<th>FY</th>
<th>Dollar Amount</th>
</tr>
</thead>
</table>
COST TRANSFER JUSTIFICATION FOR SPONSORED PROJECTS
SIU SCHOOL OF MEDICINE

To be attached to any Payroll Retroactive Account Adjustment. Expenditure Correction or Transfer Voucher involving one or more grant accounts. Documentation justifying this change is required.

A. Reason for the Transfer (Check One)

☐ Clerical Error (Explain in Section E)  ☐ Use of Incorrect Object Code (Explain in Section E)
☐ Reallocation of Costs (Explain in Section E)  ☐ New Award
☐ Related Projects (Explain in Section D)  ☐ Other (Explain in Section E)

B. Additional Justification Required (Mark Yes or No)

☐ Yes ☐ No  Is the grant (or grants) involved in the correction/transfer overspent?
☐ Yes ☐ No  Does the transfer involve subcontracts?
☐ Yes ☐ No  Is the grant (or grants) involved in the correction/transfer past its end date?
☐ Yes ☐ No  Does the transfer involve equipment?

If the answer is yes to any of the above, provide justification in Section E, explaining the propriety of the Budget Purpose to be charged.

C. Timing of Cost Transfer (Mark Yes or No)

☐ Yes ☐ No  Is this a transfer of charges recorded in AIS more than 90 days prior to the date of this requested transfer? (If the answer is yes, provide justification in Section E.)

D. Transfer of Costs That Directly Benefit Multiple Interrelated Projects (Check One)

☐ Costs are being transferred between benefiting interrelated Federal projects of the same principal investigator. (Explain relatedness of projects in Section E.)
☐ Costs are being transferred between interrelated Federal projects of different principal investigators. (Explain relatedness of projects in Section E.)
☐ Costs are being transferred between interrelated non-Federal projects. (Explain relatedness of projects in Section E.)

E. Remarks/Explanations/Justifications


F. Certification That the Charges Are Correct and Appropriate

Principal Investigator (Always Required) ______________________________ Date __________
Fiscal Officer (Always Required) ______________________________ Date __________
Department Chair(s) (If > 90 days in Section C) ______________________________ Date __________
Approval: Grants Accounting __________________________________________ Date __________

GL-0200S
05/12
AIS HRMS FACULTY/STAFF RETROACTIVE ACCOUNT ADJUSTMENT (RAA)
SIU SCHOOL OF MEDICINE
- An AIS Coating Form must be attached indicating the account(s) to be charged -

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Middle Name</th>
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</thead>
<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>HRMS Employee ID Number</th>
<th>Payroll Type</th>
<th>Department (Organization)</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

**Does this RAA involve a grant?**
- Yes
- No

**FROM Account(s) Total**

<table>
<thead>
<tr>
<th>Effective Dates:</th>
<th>Beginning</th>
<th>Ending</th>
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</thead>
<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Type of Adjustment</th>
<th>Fund</th>
<th>Unit</th>
<th>Budget Purpose</th>
<th>Dept Activity 1</th>
<th>Dept Activity 2</th>
<th>Function</th>
<th>Natural Account</th>
<th>Object</th>
<th>Source of Funds</th>
<th>Funding Fiscal Year</th>
<th>Inst Activity</th>
<th>Future Use</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>X</td>
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<td>FROM Account(s) Total</td>
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</tbody>
</table>

**TO Account(s) Total**

<table>
<thead>
<tr>
<th>Type of Adjustment</th>
<th>Fund</th>
<th>Unit</th>
<th>Budget Purpose</th>
<th>Dept Activity 1</th>
<th>Dept Activity 2</th>
<th>Function</th>
<th>Natural Account</th>
<th>Object</th>
<th>Source of Funds</th>
<th>Funding Fiscal Year</th>
<th>Inst Activity</th>
<th>Future Use</th>
<th>Amount</th>
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<td>TO Account(s) Total</td>
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</tbody>
</table>

Error: Summation of the subtotals in the "From Section" and "To Section" should equal 0. Please correct.

**Comments:**

<table>
<thead>
<tr>
<th>Fiscal Officer Signature</th>
<th>Date</th>
<th>Other Administrative Approval</th>
<th>Date</th>
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<tbody>
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<table>
<thead>
<tr>
<th>Completed by (if other than Fiscal Officer)</th>
<th>Phone Number</th>
<th>E-Mail Address</th>
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<tbody>
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</table>

*Do not write below this line. Reserved for Payroll use only.*

Entered By: ____________________________

PY-0120S
05/12

Page 1 of 2
COST TRANSFER JUSTIFICATION FOR SPONSORED PROJECTS
SIU SCHOOL OF MEDICINE

To be attached to any Payroll Retrospective Account Adjustment, Expenditure Correction or Transfer Voucher involving one or more grant accounts. Documentation justifying this change is required.

A. Reason for the Transfer (Check One)

- [ ] Clerical Error (Explain in Section E)
- [ ] Reallocations of Costs (Explain in Section E)
- [ ] Related Projects (Explain in Section D)
- [ ] Use of Incorrect Object Code (Explain in Section E)
- [ ] New Award
- [ ] Other (Explain in Section E)

B. Additional Justification Required (Mark Yes or No)

- [ ] Yes  [ ] No  Is the grant (or grants) involved in the correction/transfer overspent?
- [ ] Yes  [ ] No  Does the transfer involve subcontracts?
- [ ] Yes  [ ] No  Is the grant (or grants) involved in the correction/transfer past its end date?
- [ ] Yes  [ ] No  Does the transfer involve equipment?

If the answer is yes to any of the above, provide justification in Section E, explaining the propriety of the Budget Purpose to be charged.

C. Timing of Cost Transfer (Mark Yes or No)

- [ ] Yes  [ ] No  Is this a transfer of charges recorded in AIS more than 90 days prior to the date of this requested transfer? (If the answer is yes, provide justification in Section E.)

D. Transfer of Costs That Directly Benefit Multiple Interrelated Projects (Check One)

- [ ] Costs are being transferred between benefitting interrelated Federal projects of the same principal investigator. (Explain relatedness of projects in Section E.)
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E. Remarks/Explanations/Justifications


F. Certification That the Charges Are Correct and Appropriate

<table>
<thead>
<tr>
<th>Principal Investigator (Always Required)</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fiscal Officer (Always Required)</td>
<td>Date</td>
</tr>
<tr>
<td>Department Chairs (If &gt; 90 days in Section C)</td>
<td>Date</td>
</tr>
<tr>
<td>Approval: Grants Accounting</td>
<td>Date</td>
</tr>
</tbody>
</table>

GL-0200S 05/12
GRANT FUNDED CLINICAL TRIALS

• Reporting is done by the Department but GA will periodically review spending for propriety

• GA will watch for the SCRIHS end date when doing their monthly account reviews

• When SCRIHS end date has been reached GA will notify the FO the account is now in “residual status”
CLOSING A GRANT ACCOUNT

• GA will notify the FO that the grant period has ended and we need to start closing.

• GA will send AIS and expenditure detail to the FO with a request to remove any encumbrances (Complete a PO Revision to Purchasing).

• FO will review the detail expenditure report and fill out FAER Form and return it to GA.

• When all expenses and revenues have posted and the final report has been submitted GA will close the account.

• All spending and adjustments must be done in 90 days after the grant end date or expenses will not be allowed (30 days for P-card transactions, 45 days for RAA’s)

• Vacation payouts are not allowed on grants.
FINAL AGENCY EXPENDITURE REPORT FORM (FAER)

- **Form:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0300S_1117_F_Final_Agency_Expenditure_Report.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0300S_1117_F_Final_Agency_Expenditure_Report.pdf)

- **Instructions:**
  - [http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0300S_1117_I_Final_Agency_Expenditure_Report.pdf](http://intranet.siumed.edu/forms/fna/forms/fa/FAGM_0300S_1117_I_Final_Agency_Expenditure_Report.pdf)
### Section A: Account Summary Information

<table>
<thead>
<tr>
<th>Budget Purpose Number</th>
<th>Account Title</th>
<th>Account Ending Date</th>
</tr>
</thead>
<tbody>
<tr>
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<table>
<thead>
<tr>
<th>Agency</th>
<th>Principal Investigator</th>
<th>Unit</th>
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<tbody>
<tr>
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</table>

### Section B: Expenditure Information Section

**NOTES**

<table>
<thead>
<tr>
<th>Line Item</th>
<th>Description</th>
<th>Date of Service or Date Expense Incurred</th>
<th>Amount</th>
<th>Transaction Type</th>
<th>Expenditure being transferred to/from another account? If yes, list account from which the expenditure is being transferred.</th>
<th>Expected Payment Month</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<td>Direct Costs</td>
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<td>14</td>
<td>Indirect Costs</td>
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<tr>
<td>15</td>
<td>Total Costs</td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Fiscal Officer Signature**

Date

**Legend**

a) If agency requires detailed description or FTE, use this column.
b) If agency requires voucher or document number, use this column.
GRANTS ACCOUNTING RESOURCES

- **ADR – Email & Home Page**
  - grants@siumed.edu
  - www.siumed.edu/adr/grants

- **Grants Accounting - Email & Home Page**
  - ga@siumed.edu
  - http://intranet.siumed.edu/finandadmin/fa/ga_home.htm

- **Uniform Guidance**
  - http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

- **Grants Accounting Forms**
  - http://intranet.siumed.edu/forms/fna/faffforms.html#grantaccounting
    - Advance Account Request (AAR)
    - Grant and Contract Award Acceptance (GCAA)
    - Grant Accounting Change Request (GACR)
    - Final Agency Expenditure Report Form (FAER)
    - Residual Funds Budget Request

- **Accounting Forms**
  - http://intranet.siumed.edu/forms/fna/faffforms.html#acctg
  - Departmental Account/Signature Authority Request
  - Transfer Voucher
  - Expenditure Correction

- **Payroll Forms**
  - http://intranet.siumed.edu/forms/fna/faffforms.html#py0120s
  - AIS HRMS Faculty/Staff Retroactive Account Adjustment (RAA)

- **Grants Accounting Contacts By Unit**
  - http://intranet.siumed.edu/finandadmin/fa/OTC_docs/ga30512departmentalresponsibilitycontacts.pdf
ACRONYMS

• AAR  Advance Account Request
• ADR  Associate Dean for Research
• BP   Budget Purpose
• FAER Final Agency Expenditure Report
• FO   Fiscal Officer
• GA   Grants Accounting
• GACR Grants Accounting Change Request
• NoA  Notice of Award
• PI   Principal Investigator
• PO   Purchase Order
• RAA  AIS HRMS Faculty/Staff Retroactive Account Adjustment (RAA)
• SCRIHS Springfield Committee for Research Involving Human Subjects
• UG   Uniform Guidance
Questions?

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Thank you!