CFDA (Catalog for Federal Domestic Assistance)

CFDA is the federal sponsor funding classification of the research opportunity. It is typically identified in program announcements and award notices. It is applicable only to federal awards and federal flow-through, and is required by OMB Circular A-133 on the Schedule of Expenditures of Federal awards.

Use this process flow to create and maintain CFDA (Catalog for Federal Domestic Assistance) detail that you can use for proposals, awards, and sponsors.

CFDA numbers will be used by both Sponsored Projects and the Agriculture Experiment Station.

CFDA Maintenance in PeopleSoft

The delivered CFDA page in PeopleSoft will be used to maintain the following CFDA data:
- Effective Date
- Effective Status
- Agency ID
- Program Title
- Short Description

Navigation: Setup Financials/Supply Chain | Product Related | Grants | CFDA

CFDA Database

A custom database will be used to maintain additional details pertaining to CFDA data. This database will be used to maintain the following CFDA data:
- Agency Name
- Sub-Agency Name
- Program Name (long)
Level 2 – Proposed To Be – Grants Maintenance: Department Maintenance

**Process Initiator**
The initiator for this business process will vary.
COA Maintenance can result in new or recently inactivated Department IDs. The HCM Interface will add and update employee records, which may necessitate updates to the department contacts that have been established.

**Preparer (SPA)**
The initiator for this business process will vary.
COA Maintenance can result in new or recently inactivated Department IDs. The HCM Interface will add and update employee records, which may necessitate updates to the department contacts that have been established.

**Initiator**

**Department Maintenance**
Use this process to establish and update the department name, major subdivision, address and attributes. This process is also used to establish department contacts.

**Department Profile**
Display grants information on the colleges, departments, divisions, and other defined units for the institution.
Select the Major Subdivision, Institution, and SPO to associate with the Department. You cannot modify department ChartField information on the Grants pages. The fields appearing on this page come from the Department table. You establish the display information on this page when you design the department ChartField. You must change these fields on the Design ChartFields pages within the PeopleSoft Financials system.

**Department Address**
Establish the primary department location for the grants administration process at the institution.
Select the location, and then enter the email address and URL for the department.
Select a primary department location for the grants administration process. You establish individual locations on the Location Definition page. Phone and mailing address information is supplied by default from the location table.

**Department Attributes**
Select the data elements that appear on sponsored forms and reports.
Select an attribute type from the list. Values might include Cage Code, Congressional District, Equipment Threshold, and National Science Foundation Organization Code.
These data elements appear on sponsored forms and reports. Institutions define their own sets of relevant attributes (such as DUNS+4) on the Attribute Type control page. You can also enter attributes at the institution level on the Institution Attributes page.
Enter a numeric or alphabetic value, or use a combination of numbers and letters.

**Department Contacts**
Enter contact information about the individuals who are associated with a specific department. The institution uses this information for proposal and award processing.
Select an employee ID for the department contact, enter all the contact information (job code, location, and email), and select an approval authority level for each contact.
You may designate multiple employees as contacts. Each employee may also have multiple official types (such as department head, representative, and payee), and multiple phone numbers.

**Narrative/Comments**
Use this process to establish and update the department name, major subdivision, address and attributes. This process is also used to establish department contacts.

**Navigation**
Grants | Departments | General Information
Grants | Departments | General Information
Grants | Departments | General Information
Grants | Departments | Contacts
### F&A Maintenance

F&A is synonymous with indirect costs or overhead. Some examples of F&A categories include travel, subcontractors, rent, salaries, and so on.

Facilities can be defined as depreciation and use allowances, interest on debt that is associated with certain buildings, equipment and capital improvements, operation and maintenance expenses, and library expenses.

Administration is defined as general administration and general expense, departmental administration, sponsored projects administration, and student administration and services.

This process includes the maintenance of the F&A Tree, F&A Options, F&A Offsets, F&A Bases, F&A Rate Types and F&A Rates for Sponsors and the University.

The base type on which F&A is awarded is typically Modified Total Direct Costs (MTDC). The base is significant in that it identifies the direct costs on which F&A can be charged.

For the F&A process to function properly in Grants, the following items must be maintained:

- F&A options
- F&A rate types
- F&A budget items
- F&A bases
- F&A tree
- F&A rates

### F&A Options

Use this page to define standard F&A information that is used by the F&A process.

Establish the expense account that is to be used when F&A lines are created. All the other ChartField values on the F&A lines are inherited from the original transaction line.

Establish the distribution code, which defines the F&A Offset account that is to be used in F&A processing. This should be a revenue account.

Establish the journal template, which will feed the F&A accounting entries from Grants to General Ledger.

Define the SET and Tree Name associated with the F&A Tree to be used when calculating F&A expenses.

Also use this page to determine whether or not to calculate Waive and Cost Shared F&A. These calculated expenses are optional and are stored only within the Project Resource table. System will automatically calculate Sponsor F&A, as those transactions will be fed to the General Ledger and used in sponsored invoices and reports.

### F&A Offsets

Use this page to identify the offsetting ChartField values that should be used in creating the F&A account (OA, or revenue) lines associated with the F&A transaction processing. An F&A offset must be established for each department that will be included in the F&A Distribution for a sponsored project.

At the project level, users identify the department to share in the F&A distribution and the percentage share associated with each department.

Establish the journal template, which will feed the F&A offsets to the F&A tree which is used during F&A processing.

### Budget Items

Use this page to define the budget items by entering a description and assigning default chartfields (i.e. the appropriate budgetary only account).

Budget items provide a way of identifying and grouping transactions and are used for reviewing an award's budget costs for a given period. The system makes the budget items' values when creating proposal and award budgets. These budget items are later assigned to F&A rates in order to calculate F&A for proposal budgets.

Navigation: Setup Financials/Supply Chain | Product Related | Grants | Budget Items

### F&A Rates

Use this page to create the F&A rate types that will be used during F&A processing. Define all types of F&A rates that University has negotiated with its sponsoring agencies. These might include Organized Research On Campus, Organized Research Off Campus, or others as defined by the institution.

These F&A rate types will be associated with sponsors, institutions, proposals, or awards.

### Budget Items

Use this page to define the budget items by entering a description and assigning default chartfields (i.e. the appropriate budgetary only account).

Budget items provide a way of identifying and grouping transactions and are used for reviewing an award's budget costs for a given period. The system makes the budget items' values when creating proposal and award budgets. These budget items are later assigned to F&A rates in order to calculate F&A for proposal budgets.

Navigation: Setup Financials/Supply Chain | Product Related | Grants | Budget Items

### F&A Bases

Use this page to define the F&A bases that will be used to calculate F&A for sponsored projects. The bases are later used to build the F&A tree which is used during F&A processing.

For each base, enter an effective date, and effective status. Each base can have one or many budget item for which the F&A base rate applies. The system uses the budget items associated with a particular base to calculate the budgeted F&A amount for proposal budgets.

Navigation: Setup Financials/Supply Chain | Product Related | Grants | Budget Items

### Institutional F&A Rates

The rate value of the F&A tree is to calculate F&A expenses based on actual expenses that post to the accounts that are identified on the tree. This F&A process is run as a part of the nightly batch process. The tree needs to be defined with rates that represent each base type that is being used, including:

- TDC (Total Direct Costs)
- MTDC (Modified Total Direct Costs)

The base node values assigned on the tree must also be the same base node values that have been defined. If the value does not match, the system cannot find the base node to use to calculate F&A, and the F&A process will not function correctly.

The University currently has 23 F&A bases defined within the GM_FA_BASE tree.

Navigation: Tree Manager | Tree Manager

### Sponsor F&A Rates

Use this page to establish institution F&A rates, which are negotiated with a federal cognizant agency. The rate is the amount or percentage that the University can recoup for overhead expenditures that you incur as a result of sponsored research.

The rates that are defined here serve as defaults that the system uses during the budgeting phase of proposal preparation.

This page captures the following information specific to the Institution's F&A rates:

- Agreement ID and Description

The other calculation method is up to the University ever establish a "Same as Institution" checkbox to denote that all sponsors use the same rates as the institution.

Therefore, there will be no rate types defined for the sponsors. However, the University may wish to track sponsor-specific rates at a later date.

Because the University is using the "Same as Institution" checkbox, the University is using an established rate method. This default calculation method is established at the Business Unit level and can be overridden at the project level.

The other calculation method is to use the "Sponsor minus Funded", which can be used should the University ever establish sponsor-specific F&A rates.

Navigation: Grants | Sponsor F&A Rates

### General F&A Maintenance

Use this page to establish new Department IDs and/or Account values, which may impact various steps within the F&A Maintenance process.

During Manage Awards, a proposal may be awarded with the requirement that F&A be calculated using either a rate or base that is currently supported. This may also impact various steps within the F&A Maintenance process.
**Preparer (SPA)**

The initiator for this business process will vary.
- During Preparing Proposals, SPA will verify PI Eligibility using data maintained by the RCR/FIRST office. This process will identify whether or not PI Maintenance in PeopleSoft is needed.

**HCM Interface**

The HCM Interface loads employee data from HCM into Financials. This includes adding new employees and processing employee updates. The employee must have already been added via this interface prior to any PI Maintenance processing.

**Update Professional Data**

The primary purpose of this page is to flag a professional as being PI Eligible. This distinction makes the employee available for selection from the prompt used for PIs within the Proposal and Award Profile.

**Narrative / Comments**

- **PI Maintenance**
  - Professional profile information is critical to the proposal preparation process and supports both the pre-award and the post-award functions of Grants administration.
  - **Professional Data**
    - Enter professional personal information for new or existing employees.
    - The professional information comes to Grants from the Human Capital Management (HCM) system. Grants enables users to add new records for convenience and to cover those situations in which the proposal must be completed or submitted immediately and the University cannot wait for the next data feed. Grants users will not add new employees or assign them employee IDs.
    - Any data that is entered or modified here is not reflected in the HCM and is subject to be overridden by data interfaced from the HCM system.
    - Navigation: Grants | Professionals | Professional Data
  - **Job Data**
    - This page stores basic information about an employee's current job.
    - Most job data comes from an interface with the human resources database, so you don't have to set it up again in Grants.
    - For the employees information that came over to the financials system from HR, the Annual Rate, Monthly Rate, Hourly Rate, Currency, Compensation Frequency, and Compensation Rate are not fields that can be edited.
    - Navigation: Grants | Professionals | Professional Data | Job and Employment Data
  - **Employment Data**
    - Enter all the employee's employment information.
    - Nearly all employment data comes from an interface with the human resources database, so you don't have to set it up again in Grants.
    - Navigation: Grants | Professionals | Professional Data | Job and Employment Data

**Process Initiator**

The process will include identifying whether or not PI Maintenance in PeopleSoft is needed.

**Auto Batch Process**

- The primary purpose of this page is to flag a professional as being PI Eligible. This distinction makes the employee available for selection from the prompt used for PIs within the Proposal and Award Profile.

**Phase Items**

- Phase2\Grants, Projects, Contracts ...
- Phase 2...\Process...
- Grants Maintenance_Final_2007_05_15.vsd

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Sponsors need to be added to PeopleSoft will be identified during the Preparing Proposals process (based on the EGMS prompt for current Sponsors).

Customer Maintenance
This process refers to the ongoing effort to maintain customer information in PeopleSoft, including the addition of new customers. It is expected that the creation of a new vendor will result in the appropriate notification to the requesting unit (i.e., an email to confirm that vendor was added). This process is owned by the AR/Billing team.

NOTE: Currently, SPA sends request for Customer Maintenance through Financial Forms Nirvana (FFN) to establish new customers. It is expected that a similar request form will be developed using BPEL to facilitate customer maintenance in PeopleSoft.

Customer Maintenance will be handled by a centralized user group.

Review Customer Information
Use this page to verify that customer information that was specified when requesting the new customer. In particular, verify that the Grants Management checkbox is selected. This distinction makes the sponsor available for selection from the prompt used for Sponsors within the Proposal and Award Profile.

Navigation: Grants | Sponsors | General Information

Update Sponsor Details
Use this page to maintain sponsor-specific billing information about a sponsor, including:
- Cost of Living Percentage
- F&A Base
- Sponsor Salary Cap
- Letter of Credit (LOC) flag
- LOC Sponsor
- LOC ID

Navigation: Grants | Sponsors | General Information

Update Sponsor Attributes
Use this page to establish a control record that enables users to define all necessary and possibly unique attribute types that are related to the institution.

Navigation: Grants | Sponsors | General Information

Sponsor Contacts
Use this page to associate contacts with specific Sponsors.

Navigation: Grants | Sponsors | Contact Information

Sponsor F&A Rates
Use this page to assign multiple F&A rate types and rate percentages to a sponsor.

For conversion, the University has elected to use the "Same as Institution" checkbox to denote that all sponsors use the same rates as the institution. Therefore, there will be no rate types defined for the sponsors. However, the University may wish to track sponsor-specific rates at a later date.

NOTE: This page is also included in the F&A Maintenance process.

Navigation: Grants | Sponsors | Facilities Admin Rates
Subrecipient Maintenance

Subrecipients receive pass-through funds under a primary award. In the PeopleSoft environment, they are treated similarly to vendors or suppliers. Subrecipient records and pages support the grants application process. During the pre-award phase of a proposal, users can enter subrecipient or vendor information into the subrecipient tables.

Note. When establishing a subrecipient in PeopleSoft, users must enter data in two places: First, the user must define the initial subrecipient information using the Vendor pages (select Vendors, Vendor Information, Add/Update, Vendor). After establishing this initial information via the Vendor Maintenance process, the user needs to complete the Grants-specific data using the Grants Subrecipient pages. Vendors must exist in PeopleSoft before they can be updated within the Grants Subrecipient pages.

Vendor Maintenance

This process refers to the ongoing effort to maintain vendor information in PeopleSoft, including the addition of new vendors. It is expected that the creation of a new vendor will result in the appropriate notification to the requesting unit (i.e., an email to confirm that vendor was added). This process is owned by the Procurement team.

NOTE: Currently, SPA sends request for Vendor Maintenance through Financial Forms Nirvana (FFN) to establish new subrecipients. A similar request form will be developed using BPEL to facilitate vendor maintenance in PeopleSoft. Vendor Maintenance will be handled by a centralized user group.

Subrecipient Information

This page stores Subrecipient-specific information that is not part of the Vendor record. The PID, Vendor, Name 2, ShortName, Classification, and Vendor Status appear by default on the page. Use this page to maintain identifying information for the subrecipient who receives funds under a primary award.

Select an institution type, such as Corporation, Federal Institution, or University Hospital.

Check the "Subject to A133 Compliance" to denote that the Subrecipient is subject to A133 audits. Circular No. A-133, which is issued by the Office of Management and Budget, sets forth standards for obtaining consistency and uniformity among federal agencies for the audit of states, local governments, and nonprofit organizations expending federal awards.

Subrecipient Certifications

This page provides a central data storage location for all relevant Subrecipient-specific certifications. Users can enter multiple certifications for each Subrecipient. Relevant comments and additional verification of the certifications can be added here.

Subrecipient Attributes

Attributes can be used to track anything the university needs to track for a Subrecipient that is not available via a delivered field. Attribute types are user-defined. Select the appropriate Subrecipient attribute type and enter the associated value. Repeat as necessary to capture all possible attributes for the Subrecipient.

Vendor Summar summary information about a vendor, including who created the vendor, when the record was last modified and by whom. Grants users will not have the ability to update any of the information, as the page is display only.

Navigation: Grants | Subrecipients | General Information

Vendor Maintenance

Use this page to view summary information about a vendor, including who created the vendor, when the record was last modified and by whom. Grants users will not have the ability to update any of the information, as the page is display only.

Navigation: Grants | Subrecipients | General Information

Vendor Details

Review Vendor Summary Information

Add/Update Subrecipient Information

Add/Update Subrecipient Certifications

Add/Update Subrecipient Attributes

Stop
**Invoice Form Maintenance**

This process maintains the custom invoice formats. This includes routine updates to the invoice trees as well as managing the process to add new invoice formats.

**Submit Invoice Form Request**

The SFR Analyst must submit a request to the SFR Super User to create the new invoice form. This form will be used by the Finalize and Print process to generate the physical invoice.

**Invoice Form Design**

This process includes the design efforts associated with developing the custom invoice form. If the new form requires a change to the data extraction process, then the SFR Super User must submit a development request to OIT. Otherwise, SFR should be able to create and implement the new form without any technical intervention.

**Invoice Trees**

Custom trees will be defined to facilitate invoice and reporting for Sponsored Projects. Each custom invoice and report format will be linked to a custom tree definition. The tree defines the specific categories and expenses (i.e., accounts) associated with the invoice or report lines. There are 52 trees defined to correspond to each of the custom invoice and report formats.

**Invoice Form ID**

Create a new layout format or review existing layout formats. Enter the status, description and short description. Also use this page to assign a tree to the invoice form.

**NOTE:** The invoice form ID must exist and be in an active status in order for it to be available to add to new bill plans or to finalize existing invoices.

**Navigate:** Setup Financials/Supply Chain | Product Related | Billing | Setup Invoice Options | Invoice Formatting Options
Level 2 – Proposed To Be – Grants Maintenance: Report Form Maintenance

**Process Initiator**
The initiator for this business process will vary.

- **COA Maintenance**: Can result in new or recently inactivated Accounts.
- **Manage Awards**: During either Manage Awards, Modify Awards, or Managing Financial Reporting, it will be determined that the Sponsor demands a specific report format that must be developed. The Notice of Award may stipulate these requirements and/or the Sponsor may reject the University’s standard report format in favor of its own.

**Report Form Maintenance**
This process maintains the custom report formats. This includes routine updates to the report trees as well as managing the process to add new report formats.

**Submit Report Form Request**
The SFR Analyst must submit a request to the SFR Super User to create the new invoice form. This form will be used by the Finalize and Print process to generate the physical invoice.

**Report Form Design**
This process includes the design efforts associated with developing the custom report form. If the new form requires a change to the data extraction process, then the SFR Super User must submit a development request to OIT. Otherwise, SFR should be able to create and implement the new form without any technical intervention.

**Report Trees**
Custom trees will be defined to facilitate invoice and reporting for Sponsored Projects. Each custom invoice and report format will be linked to a custom tree definition. The tree defines the specific categories and expenses (i.e. accounts) associated with the invoice or report lines. There are 52 trees defined to correspond to each of the custom invoice and report formats.

**Navigation**
Tree Manager | Tree Manager

**Report Form ID**
Create a new layout format or review existing layout formats. Enter the status, description and short description. Also use this page to assign a tree to the invoice form.

NOTE: The report form ID must exist and be in an active status in order for it to be available to add to new report plans or to finalize existing reports.

Navigation: Set Up Financials/Supply Chain | Product Related | Contracts | UM Report Formatting Options

**Sample Diagram**

- **Start**
  - **New Form Needed?**
    - **Yes**
      - Submit Report Form Request
    - **No**
      - Continue with existing forms

- **Tree Changes Needed?**
  - **Yes**
    - Add/Update Report Trees
  - **No**
    - Continue with existing trees

- **Report Form Design**
  - **New Form**
    - Create a new layout format or review existing layout formats.
  - **Add/Update Report Form ID**
    - Enter the status, description and short description.
    - Assign a tree to the invoice form.

- **Report Form Request**
  - **Report Form ID**
    - **Stop**
      - Process complete.