FINQUERY Repository Reports

Grant Monitor

Grant Monitor is a series of reports that alert the user of funds which may need attention, i.e., overdrafts, discrepancies between PBIL/PBUD and Budget, unallowable charges, NIH noncompeting continuations which are due, potential problems with clinical trial cash, clinical trials which may have residual balances, receivables, funds where AISs may need to be updated because the sponsor sends out one notice for multiyear awards, or funds sponsored by the federal government which may have problems with cash draw-down.

The reports are:

**PBIL/PBUD/Budget** - Generally, it is expected that PBIL, PBUD and Budget will all be equal. Several flags appear when these are not:

- **AdvCheck** - appears when PBIL is null (PBIL should not appear if the fund is an advance) or does not equal PBUD. This alerts the user that PBIL, PBUD and Budget are not equal because the fund may be an advance account.
- **Discrepancy Alert** - appears when PBIL, PBUD and Budget are not equal. The user then should investigate the fund to determine why a discrepancy occurs.

**Expenditure Concerns** - This is a report which flags funds which appear to be significantly underspent. Funds (excluding clinical trials) are flagged when today's date is 60 days greater than the account start and actual expenses divided by expected expenses (PBIL/#days between account start and current budget end * #days between account start and today) is less than 40%.

**Closeout Current** - These are current funds needing to be closed and disabled (account end is greater than today-60 and <= today+90).

**Closeout All** - This is a list of all funds who have ended before today which need to be closed and disabled.

**Funds Freezing** - This is a list of funds freezing in the next 90 days from today

**NCC Due** - This flags NIH funds where noncompeting continuations are due. Funds are selected whose current budget end is greater than or equal to today's date plus 122 days (approximately 4 months). In order to cover all NIH funds (including those such as U's where account end is set equal to the current period end even though there may be other years due), all possible due dates are returned. When the noncompeting continuation is due at NIH, a flag will appear for those funds where current budget end=account end noting that a "NCC may not be due." Otherwise the flag reads "NCC Probably Due." When the current budget end is less than today and does not equal the account end, the flag reads "Award Due?", reminding the user that an expected award has not yet been received. Note that this flag will not recognize as possibly overdue funds where the current budget end=account end.

**NCC Due Subs** - Subcontracts may or may not require that noncompeting continuations be submitted to the sponsor. This report provides information when noncompeting continuations for subcontracts may be due based on the NIH deadlines (since that is the chief funder in the SOM). Funds are selected where the sponsor is not UPENN Federal and the Federal Flay = "Y". There is not way to determine which of these funds is ultimately funded by NIH. Funds are flagged whose current budget end is greater than or equal to today's date plus 4 months. In order to cover all NIH funds (including those such as U's where account end is set equal to the current budget end even though there may be other years due), all possible due dates are returned. When the noncompeting continuation is due at NIH, a flag will appear for those funds where current budget end=account end noting that a "NCC may not be due." Otherwise the flag reads "NCC Probably due." When the current budget end is less than today and does not equal the account end the flag reads "Award Due?", reminding the user that an expected award has
T32 Noncompeting Continuations Due – Provides information when noncompeting continuations for NIH training grants (T32) may be due. T32 due dates vary by institute. The due date is based on information gathered from previous and current submissions. Because T32s are set up for one year only, the report cannot distinguish between an account end date which is one that is in the middle of a funding cycle and one that is at the end, though it does try to flag accounts which need to be checked because of unusual start/end dates (e.g., more than 1 year) to see if a noncompeting continuation is really due. This report is not gospel and should not be treated as such. Gospel can be found at http://era.nih.gov/userreports/pr_due.cfm. If no date is showing in the column titled "possible due date", it is because we didn't have any info on that particular institute's due dates at the time the report was written. Please alert ORSS so the report can be updated.

Awards Due - Some sponsors, such as the Army and the AHA, send out only an initial award notice for all years of a grant and do not send out a yearly update. Since there is no trigger, often these awards are not updated in the system, i.e., PBIL/PBUD are not increased, the end date is not adjusted, and an AIS is not issued for the next year's funding. The flag "Award Due?" appears when the current budget end is less than today's date plus 60 days and the current budget end <> account end and account end is greater than today's date. Note that the list of sponsors may not be as comprehensive as we would like.

Revenue Check - When a fund is not overspent, generally Revenue should equal the Sum of Grant Expenditures. Several flags appear:

- Advance?--appears when PBIL is null and PBUD is greater and Sum Grant Expenditures and revenue is null.
- REVCHECK--appears when PBIL/PBUD are greater than Sum Grant Expenditures, but revenue is greater than Sum Grant Expenditures. This will often mean that there is interest income or income which is incorrectly coded (such as refunds for purchases)
- Unallowable?-- appears when PBIL/PBUD are greater than Sum Grant Expenditures, but revenue is less than Sum Grant Expenditures. This usually means that there is an unallowable object code (such as 5214 Entertainment) which should not be charged to a grant.

Overdraft All - Flags appear when Sum Grant Expenditures is greater than PBIL/PBUD. Flags are:

- Overdraft Check-This appears when account end=correct end suggesting there is no noncompeting continuation which may cover the overdraft
- Overdraft-CT?-This appears when account end=correct end and the sponsor is an industry. The user should check to see if any more money will be received from the sponsor.
- Possible NCC?-This appears when account end<>correct end suggesting there is a noncompeting continuation which may cover the overdraft
- Possible Writeoff?-This appears when the account end=correct end, cash =PBIL and the difference between PBIL and Sum Grant Expenditures is less than -$10.00. This suggests that it may be possible for the deficit to be written off.

Overdraft Active - This is the same as Overdraft All except that it reports overdrafts for funds where the account end is greater than today.

Overdraft Expired - This is the same as Overdraft All except that it reports overdrafts for funds where the account end is less than today.

Federal Cash - For most federal grants, cash is drawn down automatically from the federal government so that if Expenses are less than PBIL, Expenses should equal Cash Received. This report flags any case where this is not so.

CT Cash - Generally, for clinical trials PBIL/PBUD should equal Cash Received (+-$5.00) since PBIL/PBUD are updated as integers as cash is received. This report uses the flag
"CheckCASH" when these items are not equal. Note that this report is for all for-profit sponsors since there is no way to isolate clinical trials so SRAs may be included in the report.

**CTResid Bal** - This looks at all funds with an account end less than today where PBIL=PBUD=Cash (+$5.00) and expenses are less than PBIL. The flag "Residual Balance?" calls attention to those funds which may have a residual balance and need to be closed. The flag "Resid-Chk Cash" appears when Cash <>PBIL/PBUD and expenses are less than PBIL. Cash should be investigated before any attempt is made to closeout the fund. Note that this report is for all forprofit sponsors since there is no way to isolate clinical trials so SRAs may be included in the report.

**Receivables** - This report returns only those funds where receivables exist.

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