# Monitoring Controls Over Grants Management

## Purpose
This document should be utilized by campus and RF central office staff responsible for Grants Management as a guideline for developing monitoring and review procedures.

Note: This document includes only key processes and is not an inclusive listing of controls to be created. It provides high-level guidance for managers to assist in developing monitoring controls.

## Award Establishment/Maintenance
**Monitoring Controls:**

Quality reviews and monitoring should be performed over award, project and budget set up and maintenance activities.

The table below describes basic monitoring functions to be performed:

| Monitoring Function | Purpose | Frequency | Recommended Report | Business Area/Responsibility |
|---|---|---|---|---|
| Review awards where cash received is greater than budget. | Identify all sponsored awards where cash is greater than budget to determine if a budget or cash adjustment is needed. | Weekly or Bi-weekly depending on volume | 650REPORTING.GA_Cash in Excess of Budget Report | Discoverer – Grants Aggregate (GABA) |
| Review cash driven awards where budget is greater than cash. | Identify all sponsored awards that have a billing cycle of cash driven where the budget is greater than cash received to determine if a budget adjustment is needed. | Monthly | 650REPORTING. GA_OSPS Budget Greater Than Cash | Discoverer – Grants Aggregate (GABA) |
| Follow-up on At Risk awards. | Review all awards with an award status of "At Risk" to determine status of award notice. Perform necessary follow-up action (i.e., contact sponsor, follow up with campus or department, etc.) | Monthly | 650REPORTING. GI_At-Risk Report Grants Financial Area | Discoverer – Grants Information (GIBA) |
| Review invalid Catalog of Domestic Assistance (CFDA) program numbers. | Identify federal and federal-flow-through awards with incomplete or inactive Catalog of Domestic Assistance (CFDA) program numbers. Obtain valid CFDA numbers and enter into the Oracle Grants Management system. These numbers are used for audit purposes and federal reporting. | Quarterly | RF Report of Incomplete/Inactive CFDA Numbers for the Current Fiscal Year | Oracle – Grants |

| Review awards/projects with direct costs in excess of budget. | Identify sponsored awards where actual direct cost expenditures exceed the amount budgeted. Take appropriate action (i.e, transfer costs, budget adjustment, etc.) | Monthly | RF Direct Cost Over Budget Report 650REPORTING.GA_Task Level Overexpenditures per Award | Oracle – Grants Discoverer- Grants Aggregate (GABA) |
|---|---|---|---|---|
| Review awards/projects terming in 60 days. | Review awards/projects that will term in 60 days, awards with installments that term in 60 days and automatic renewal awards. Work with campus or department to determine necessary actions (i.e., extend term date, terminate payroll, cancel PO's, etc.) | Monthly | RF Awards and Installments Terminating in 60 Days Report 650REPORTING.GI_Awards Projects Term List By Date Parameter 650REPORTING.GA OSPS Automatic Renewal Report | Oracle – Grants Discoverer – Grants Information (GIBA) Discoverer – Grants Aggregate (GABA) |
| Review awards/projects terming with active payroll. | Review awards that are terminating with active employees and take appropriate administrative action (i.e., extend or renew award, end date or transfer labor schedules, etc…) | Bi-weekly | RF Awards/Projects Terminating with Active Employees | Oracle – Grants |
| Review new awards established. | Review coding of new awards for errors. For example: invalid CFDA #'s, ORG not matching on project/task/award, proper NACUBO classification, etc… | Monthly | 650REPORTING.GI_Check Award Type_Purpose and Sponsor | Discoverer – Grants Information (GIBA) |
| Review burden exceptions. | Identify any award, project, task that has not had indirect cost applied and the reason for the error. | Monthly | RF Custom Burdening Error Report | Oracle – Grants |
| Review payroll encumbrance exceptions and shortages. | Identify employees that were not fully encumbered due to either a data exception or a lack of funds so appropriate administrative action can be taken (i.e. adjust labor schedules, increase budget, transfer expenditures, etc.) | Bi-weekly | RF Payroll Encumbrance Shortage and Exception Report | Oracle – Grants |
| Review reports due or past due. | Identify all reports that are due or past due to ensure timely submission of reports or request extensions as needed. This includes and is not limited to technical, financial, property, and patent reports. | Monthly | RF Reports Due Report | Oracle – Grants |
| Review records eligible for destruction. | Identify awards that meet the eligibility criteria for file destruction according to the record retention policy.. Purge files as appropriate. | Annually | 650REPORTING.GI_Record Services File Purge Destruction Report for Closure Range 650REPORTING.GI_Record Services File Purge Destruction Report for Closure Range by PI | Discoverer – Grants Information (GIBA) |

Additional reports to use for monitoring:
- Grant Summary – Identifies all expenditure activity on an award for a specific period of time.
- Salary Summary – Shows a summarization of employee and fellowship payments for a requested period of time.
- Monthly Summary Report (MAS) (MPS) (MTS) - Shows a summarization of all monthly expenditures and encumbrances

## Central Office Reporting
Reports used for monitoring activities performed by Central Office:

| Monitoring Function | Purpose | Frequency | Recommended Report | Business Area/Responsibility |
|---|---|---|---|---|
| Review subrecipients expending $500,000 or more in a fiscal year. | Obtain certification letter from non-profit subrecipients that an audit was conducted in compliance with OMB Circular A-133, when a subrecipient has expended $500,000 or more in a fiscal year to comply with OMB Circular A-133 audit requirement. (Central Office function) | Annually | RF Subrecipients | Oracle – Grants |
| Review foreign funding sources. | Identify all foreign funding received during the fiscal year. A report is submitted annually to NYS Education Department of foreign funding $100,000 or greater and semi-annually to US Department of Education of foreign funding $250,000 or greater. (Central Office Function) | Semi-Annually | RF Foreign Funding Report | Oracle – Grants |

## Change History
- **January 17, 2006** - Changed name of "RF Quarterly Report of Invalid CFDA Numbers" to "RF Report of Incomplete/Inactive CFDA Numbers for the Current Fiscal Year."
- **November 15, 2004** - Revised to reflect new Discoverer report names and business areas.
- **October 6, 2004** - Revised to add monitoring tables and remove unnecessary information.

### Feedback
Was this document clear and easy to follow? Please send your feedback to webfeedback@rfsuny.org.