

# Program Codes and Banner Sponsored Project Codes

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How They are Used at UA in Research  
Institutes & Academic Units

Statewide Office of Cost Analysis

- Tanya Hollis, Director
- Dawn Wall, Accountant
- Krishna Ganapuram, Analyst

2011



# Agenda

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10:00 - 10:05 am	Introduction
10:05 – 10:20 am	Program Code Structure
10:20 – 10:50 am	Program Code Definitions
10:50 – 11:00 am	Break
11:00 – 11:15 am	Program Code Practice
11:15 – 11:30 am	Pre-Award Topics
11:30 – 11:45 am	Post Award Topics
11:45 – 12:00pm	Program Code Review



# Program Codes - Introduction

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- Classifies financial activity for reporting and other management purposes.
- Reflects the actual activity for which the expenditure is incurred or for which revenue is generated.



# Program Codes are used for:

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- Financial Statement Reporting
- Integrated Postsecondary Education Data System (IPEDS) reporting
- Budget Reporting
- Institutional Research
- Facilities & Administrative Cost Rate
- Space Survey

# Program Code Structure

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# Program Codes in Banner

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- Financial transactions are recorded in organization (org) codes which have a default program code attached via FTMORGN table in BFIN
  - Program code attaches to transaction from “birth to death”
    - Corrected errors result in no net impact
- One data entry program code per org code
  - This is a UA decision

# Program Codes in Banner

## FTMORGN - Organization Code Maintenance Form

Organization Code Maintenance FTMORGN (PROD)

Chart of Accounts: B  Active Status  Last Activity Date: 02-FEB-2006

Organization: 61216  Organization Title: FC CLA Anthropology Research

Effective Date: 02-FEB-2006  Termination Date:  Next Change Date:

Data Entry

Financial Manager:

Predecessor Organization: D6ANTH  CLA Anthropology

Default Fund:

**Default Program: 3010RO  FC Cla Other Res**

Default Activity:

Default Location:

Budget Control Organization: D6ANTH  CLA Anthropology

Combination Budget Control

The establishment of default program codes on the org table enables all expenditure transactions to be classified to specific activities for reporting and management purposes.

# Program Codes in Banner

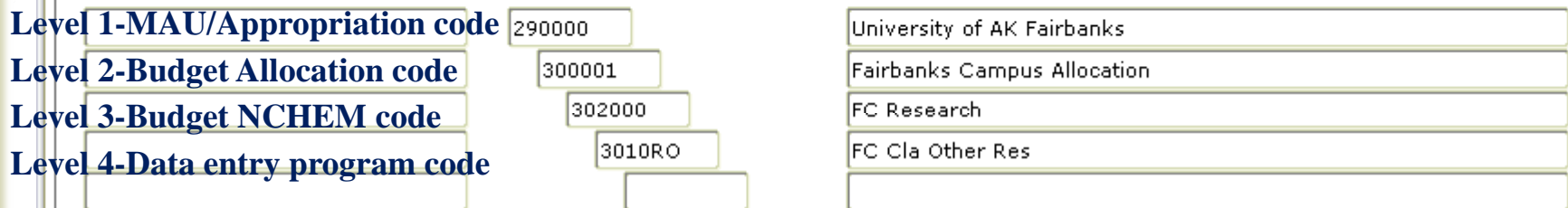
## FTIPRGH - Program Code Hierarchy

Program Hierarchy Query FTIPRGH (PROD)

COA:

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Predecessor Program:  FC Research



**Last two characters of a level 4-data entry program code are ALWAYS alphabetic**  
**Only level 4-data entry program codes are attached to data enterable organization codes**



# Program Code Structure

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- **Level 1 - MAU/Appropriation program code**  
(predecessor program code for the level 2 program code)
  - Dependent on fiscal year appropriations
    - 1<sup>st</sup> - 2<sup>nd</sup> digits - MAU and/or Appropriation.
    - 3<sup>rd</sup> - 4<sup>th</sup> digits - Zero filled
    - 5<sup>th</sup> - 6<sup>th</sup> digits - Normally zero filled, except when UA receives special appropriations these are populated with other characters to identify the funds/authorization



# Program Code Structure

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- **Level 2 - Budget Allocation program code**  
(predecessor program code for the level 3 program code)
  - Defines the distribution of the State Appropriation
    - 1<sup>st</sup> - 2<sup>nd</sup> digits - MAU and/or state appropriation
    - 3<sup>rd</sup> - 4<sup>th</sup> digits - Zero filled
    - 5<sup>rd</sup> - 6<sup>th</sup> digits - Allocation at the highest level, such as program code *300001* - *Fairbanks Campus Allocation*

# Program Code Structure

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- **Level 3 - Budget NCHEM program code** (predecessor program code for the level 4 program code)
  - Classification as defined by the National Center for Higher Education Management Systems (NCHEMS )
    - 1<sup>st</sup> - 2<sup>nd</sup> digits - MAU/Appropriation/Authorization and campus/satellite allocation
    - 3<sup>rd</sup> - 4<sup>th</sup> digits - NCHEM category
      - 10 - Instruction; 20 - Research; 30 - Public Service; 40 - Academic Support; 45 - Library; 50 - Student Services; 55 - Intercollegiate Athletic; 60 - Institutional Support; 70 - Physical Plant; 80 - Scholarships/Financial Aid; 90 - Auxiliary Services; 95 - Debt Service; 0X - Unallocated Appropriations (used primarily by financial services offices)  
For example, restricted fund budget authority not in use
  - 5<sup>rd</sup> - 6<sup>th</sup> digits - Zero filled



# Program Code Structure

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- **Level 4 – Data Entry program code**
  - Classifies the transaction activity for financial statement, IPEDS, budget & institutional research, facilities & administrative costs and space survey
    - 1<sup>st</sup> - 3<sup>rd</sup> digits - MAU/Appropriation, Allocation, and the Budget NCHEM
    - 4<sup>th</sup> digit - Department or other sub-category, numeric & alpha character are used: 0 through 9 and A through Z
    - 5<sup>th</sup> digit - Financial statements and IPEDS
    - 6<sup>th</sup> digit - In conjunction with 5<sup>th</sup> digit, further classifies the transaction activity in accordance with the provisions and cost principles mandated by 2 CFR 220 (formerly the Federal OMB Circular A-21)

# Program Code Definitions

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# NCHEMS Classifications

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- Instruction
- Research
- Public Service
- Academic Support
- Student Services
- Institutional Support
- Operations & Maintenance
- Student Aid
- Auxiliaries



# Program Code Definitions

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## □ **Instruction**

- Expenditures for teaching and training, except research training, that are part of an institution's instruction program
  - ID – Clerical and administrative support activities for academic departments, not deans/directors offices
  - IM – Operations and maintenance expenditures for an academic department not covered by the Physical Plant
  - IN – Direct cost expenditures for all teaching activities, except research training (see research program code definition)



# Program Code Definitions

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## □ **Instruction (continued)**

- IR – Departmental research defined in 2 CFR 220 as research and development activities that do not meet the criteria to be considered “separately budgeted and accounted for.”
  - Considered incidental to primary activity occurring in the dept and is included under the instruction function for F&A purposes
- IY – Instruction unit recharge activities
- IZ – Instruction activities unallowable per federal regulations



# Program Code Definitions

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## □ Research

- Expenditures for activities specifically organized to produce research outcomes, whether commissioned by an external agency, or ‘separately budgeted and accounted for’ by UA:
- Separately budgeted and accounted for:
  - Sponsored Projects
  - Matching funds
  - Research in organized research unit
  - Org established to track research activity funded with:
    - Natural resource funds (18XXXX)
    - Initiative funds



# Program Code Definitions

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## □ **Research (continued)**

- The primary activity of an organized research unit meets the definition of research
- Organized research units will not have departmental research
  - RD – Clerical and administrative support activities for organized research units, includes directors
  - RM – Operations and maintenance expenditures for an organized research unit not covered by the Physical Plant
  - RO – Direct cost expenditures for organized research (separately budgeted and accounted for) activities within a non-organized research unit



# Program Code Definitions

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## □ Research (continued)

- RR – Direct cost expenditures for organized research activities within an organized research unit
- RT – Direct cost expenditures for training activities with the primary purpose of training of individuals in research techniques
  - Purpose of funding is training rather than research
  - Utilizes the same facilities as other research activities
- RY – Organized research recharge activities
- RZ – Organized research activities unallowable per federal regulations



# Program Code Definitions

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- **Research (continued)**
  - **UAF Organized Research Units**
    - AFES – Agricultural and Forestry Experimental Station
    - SFOS – School of Fisheries and Ocean Sciences
    - INE – Institute of Northern Engineering
      - MIRL – Mineral Industry Research Laboratory
      - PDL – Petroleum Development Laboratory
    - DPP – Developmental Programs and Projects
    - GI – Geophysical Institute
    - IARC – International Arctic Research Center
    - IAB – Institute of Arctic Biology



# Program Code Definitions

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## □ **Public Service**

- Expenditures for activities established primarily to provide non-instructional services beneficial to individuals and groups external to UA
  - Does not include activities carried out by faculty as part of their tripartite assignment; those activities are classified as instruction or research, consistent with their primary assignment
    - PD – Clerical and administrative support activities for public service units, includes directors
    - PM – Operations and maintenance expenditures for public service not covered by the Physical Plant
    - PS – Direct cost expenditures for public service activities
    - PY – Public service recharge activities
    - PZ – Public service activities unallowable per federal regulations



# Program Code Definitions

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## □ Academic Support

- Expenditures to provide support services for instruction.
  - Includes the retention, preservation, display of educational materials, and galleries
  - Does not include expenditures for dept chairpersons or dept clerical and administrative support
    - AC – Central level academic support activities
    - AL – Libraries used by public, students, staff and faculty
    - AM – Organized museum activities
    - AP – Operations and maintenance expenditures for academic support not covered by the Physical Plant



# Program Code Definitions

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## □ **Academic Support (continued)**

- AS – College level academic support such as academic deans and their staff
- AY – Academic support recharge activities
- AZ – Academic support activities unallowable per federal regulations



# Program Code Definitions

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## □ Student Services

- Funds expended for the administration of student affairs and for services to students
  - SA – Intercollegiate athletics
  - SS – Administration of student affairs and for services to students
  - SY – Student services recharge activities
  - SZ – Student services activities unallowable be federal regulations



# Program Code Definitions

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## □ Institutional Support

- Central executive-level activities concerned with management and long-range planning for the **entire institution/campus**
- Fiscal operations
- General administration and logistical services
- Administrative computing support
- Public relations or development activities



# Program Code Definitions

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## □ **Institutional Support (continued)**

- GA – General and administrative expenditures at the institution/campus level
- GB – Staff benefits expenditures, used with SW org codes only
- GM – Operations & maintenance for institutional support unit, includes security, environmental safety, hazardous waste disposal, insurance relating to property, space management, and central receiving
- GP – Central campus pre-award and post-award offices
- GS – Specific student related general administrative activities, includes costs related to commencement, graduation, and convocation costs
- GY – General and administrative recharge activities
- GZ – General and administrative activities unallowable per federal regulations



# Program Code Definitions

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## □ **Operations and Maintenance**

- Expenditures of current funds for the administration, supervision, operation, maintenance, preservation, and protection of the institution's physical plant
  - OM – Operations and maintenance expenditures include:
    - Janitorial and utility services
    - Repairs and ordinary/normal alterations of buildings, furniture & equipment
    - Care of grounds
    - Maintenance and operation of buildings and other plant facilities
    - Fire protection
  - OY – Operations and maintenance recharge activities
  - OZ – Operations and maintenance activities unallowable per federal regulations



# Program Code Definitions

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## □ Scholarships and Fellowships

- Expenditures for student aid (from restricted or unrestricted current funds) in the form of grants to students resulting from selection by the institution or from an entitlement program
- Includes trainee stipends, prizes, awards, and tuition and fee waivers. Fellowships are grants-in-aid and trainee stipends to graduate students
  - FA – Student aid activities

See the following link to a questionnaire to be used to determine when payments made to students represent compensation for services:

[http://www.alaska.edu/hr/procedures/PDF/personnel.hiring\\_process.student\\_payment\\_questionnaire.pdf](http://www.alaska.edu/hr/procedures/PDF/personnel.hiring_process.student_payment_questionnaire.pdf)

See the following link to a presentation to assist with the determination if it is student employment or scholarship/fellowship:

[http://www.alaska.edu/hr/procedures/PDF/personnel.hiring\\_process.student\\_payment\\_presentation.pdf](http://www.alaska.edu/hr/procedures/PDF/personnel.hiring_process.student_payment_presentation.pdf)



# Program Code Definitions

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## □ **Auxiliary Enterprises**

- Furnishes goods or services to students, faculty, or staff, and charges a fee directly related to, although not necessarily equal to, the cost of the goods or services
- Essentially managed as a self-supporting activity
  - UM – Maintenance and repair expenditures
  - UR – Renewal and replacement expenditures
  - UX – Expenditures and transfers of an auxiliary operation except for certain physical plant costs that must be identified separately for Budget reporting purposes
  - UZ – Auxiliary enterprise activities unallowable per federal regulations



# Program Code Definitions

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## □ Debt Service

- Non-discretionary funding for the retirement of debt obligations
  - DS – Debt service activities

# PRACTICE TEST

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Thinking... thinking... thinking...



# TEST OVER!

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Excellent!

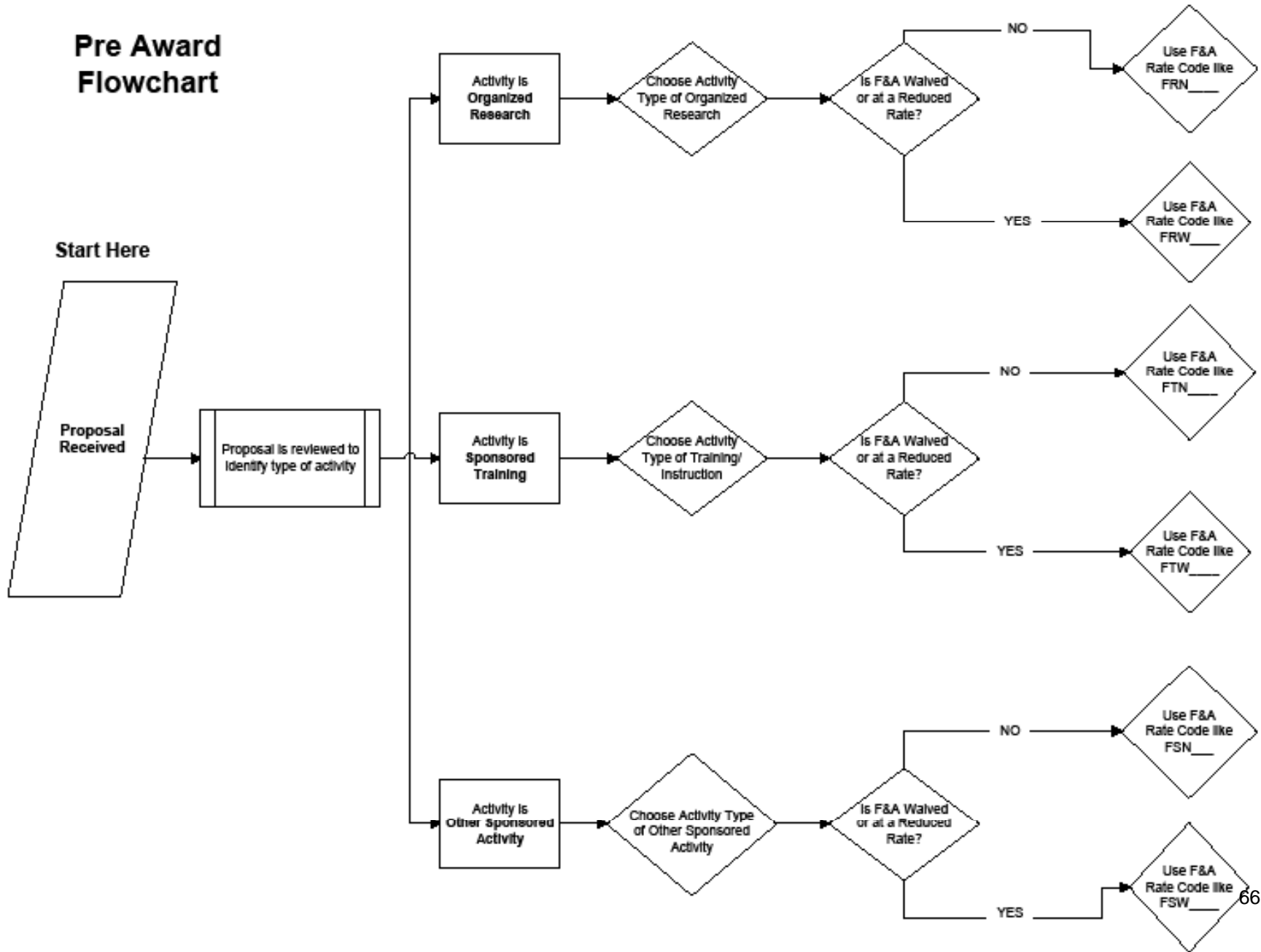


# Pre-Award Topics


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# Pre Award Flowchart

Start Here



# OSP Proposal Routing Form Excerpt

 <p>Office of Sponsored Programs <b>PROPOSAL ROUTING FORM</b> (FORM OSP-001)</p>	<b>THIS BOX IS FOR OSP USE ONLY</b>		<b>Reset Form</b>	
	In: _____	Out: _____	Rush <input type="checkbox"/>	
Submitted: _____		In-Hand <input type="checkbox"/>		
To OGCA: _____		IRT <input type="checkbox"/>		
<b>Version FY2007 – Replaces All Previous Versions</b> <b>Complete the Entire Form Per the Instructions</b> <b>Minimum of five (5) business days for review</b>				
<b>(1) The Basics</b>				
<b>(a) Proposal S000</b> _____				
<b>(b) Sponsor Due Date:</b> _____				
<b>(c) Unit Due Date:</b> _____				
<b>(d) Unit Proposal Number:</b> _____				
<b>(e) Program Guidelines:</b> <input type="checkbox"/> Attached or URL: _____				
<b>(2) Project Background Information</b>				
<b>(a) Title:</b> _____				
<b>(b) Sponsor:</b> _____		<b>(c) Div./Prog.:</b> _____		<b>(d) Start Date:</b> _____
<b>(e) End Date:</b> _____				
<b>(f) Sponsor Type:</b>		<b>(g) Activity Type:</b>		
<input type="checkbox"/> Federal	<input type="checkbox"/> State	<input type="checkbox"/> Organized Research	<input type="checkbox"/> Training/Instruction	
<input type="checkbox"/> University/Inst.	<input type="checkbox"/> Private/Found.	<input type="checkbox"/> Industry/Corporate	<input type="checkbox"/> Other Spons. Activity	
		<input type="checkbox"/> Off-Campus		
<b>(h) Project Type:</b>		<b>(i) Mechanism:</b>		
<input type="checkbox"/> NC	<input type="checkbox"/> NN	<input type="checkbox"/> PP	<input type="checkbox"/> Grant	<input type="checkbox"/> Contract
<input type="checkbox"/> RC	<input type="checkbox"/> RN	<input type="checkbox"/> RV	<input type="checkbox"/> CA	<input type="checkbox"/> RSA
		<input type="checkbox"/> XN	<b>(j) Proposal Format:</b>	
			<input type="checkbox"/> Electronic	
			<input type="checkbox"/> Paper	

<b>(4) Ethics and Regulatory Compliance</b> Check if the project involves any of the following:		<b>(5) Budget Information</b> Any matching/cost sharing (M/CS) <b>requires</b> completion of the <a href="#">M/CS Form</a>	
<b>(a)</b> <input type="checkbox"/> Use of Vertebrates?	<b>IACUC#</b>	<b>(a)</b> F&A Rate Percentage: _____%	
<b>(b)</b> <input type="checkbox"/> Research on Human Subjects?	<b>IRB#</b>	<b>(b)</b> Indirect Cost Rate Code: _____	
<b>(c)</b> <input type="checkbox"/> Use of Radiation, Lasers, or Significant Chemical Hazards?		<b>(c)</b> Distribution Code: _____	
<b>(d)</b> <input type="checkbox"/> Use of Biohazards?	<b>LBC#</b>	<b>(d)</b> Modified TDC (MTDC) \$ _____	
<b>(e)</b> <input type="checkbox"/> Potential for Tech. Transfer, Patent, Copyright, Trademark, or Licensing?		<b>(e)</b> Total Direct Costs (TDC) \$ _____	
<b>(f)</b> <input type="checkbox"/> Material Transfer Agreements?		<b>(f)</b> F&A Cost Recovery \$ _____ 0	
<b>(g)</b> <input type="checkbox"/> Potential for Program Income?		<b>(g) Total Sponsor Request</b> \$ _____ 0	
<b>(h)</b> <input type="checkbox"/> Conflicts of Interest?		<b>(h)</b> M/CS UAF \$ _____	
<b>(i)</b> <input type="checkbox"/> Research Restrictions?		<b>(i)</b> M/CS Third Party \$ _____	
<b>(j)</b> <input type="checkbox"/> Import or Export of Data, Goods, or Services?	<b>ITSC#</b>	<b>(j) M/CS Total</b> \$ _____ 0	
<b>(k)</b> <input type="checkbox"/> Confidential or Classified Information?	<b>ITSC#</b>		
<b>(6) Project Space Requirements</b> A "Yes" answer on either of these items <b>requires</b> completion of the <a href="#">Space Request Form</a> and consultation with Facilities Services or Campus and Space Planning for budgeting and approval as necessary. Attach any relevant documentation received from Facilities Services or Campus and Space Planning to the proposal.			



# Consistency in Classification

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- FRAPROP
  - Category code
    - 1 Instruction
    - 2 Applied Research
    - 3 Basic Research
    - 4 Public Service
    - 5 Academic Support
    - 6 Student Services
    - 7 Institutional Support
    - 8 Scholarship/Fellowship

# FRAPROP: Proposal Maintenance

Proposal Maintenance FRAPROP (PROD)

Proposal Code: S00008959  Proposal Text Exists

Main | Proposal Agency | Location | Cost Code | Personnel | User Defined Data

Chart of Accounts: B Responsible Organization: D6ESCR

Long Title: Resilience and Vulnerability in a Rapidly Changing North: The Integration of Physical, Biological and Social Processes  
Title: Resilience and Vulnerability in a R

Agency: FNSF001 National Science Foundation  
Principal Investigator ID: 30058275 Schweitzer, Peter P.  
Amount Requested: 9,000,000.00  Pass Through Indicator

Original Date: 06-OCT-2006 Due Date: 06-OCT-2006 Submit Date: 06-OCT-2006  
Status: A Awarded  
Alternate Description:  
Project Start Date: 01-JUL-2007 Project End Date: 30-JUN-2010 Status Date: 13-JUL-2007  
Budget Start Date: 01-JUL-2007 Budget End Date: 30-JUN-2010 Grant: 141848  
Related Proposal: Expected Date:  
Probability Rate: < >

Proposal Type: NC New Competitive  
Category: 3 Basic Research  
Sub Category:  
CFDA Number: 47.076 Dept/Unit # EPSCOR

# FRAPROP: Category Detail Tab

System Data List FOQSDLV (PROD)

Chart of Account:  Entity: FRBPROP Attribute: CATEGORY

Option1	Option2	Level	Data	Long Title	Status	Effective Date
1				Instruction	A	01-JUL-1979
2				Applied Research	A	01 JUL 1979
3				Basic Research	A	01-JUL-1979
4				Public Service	A	01-JUL-1979
5				Academic Support	A	01-JUL-1979
6				Student Services	A	01-JUL-1979
7				Institutional Support	A	01-JUL-1979
8				Scholarship/Fellowship	A	01-JUL-1979



# Consistency in Classification

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## □ FRAPROP

### ■ F&A rate code

- FRN – UAF Research Negotiated
- FRW – UAF Research Waived (other than Negotiated)
- FSN – UAF OSA Negotiated
- FSW – UAF OSA Waived (other than Negotiated)
- FTN – UAF Sponsored Training Negotiated
- FTW – UAF Sponsored Training Waived (other than Negotiated)
- FAN – UAF ARSC Negotiated
- FFN – UAF Poker Flat Negotiated
- etc.

# FRAPROP: Cost Code Tab

Proposal Maintenance FRAPROP 8.4.0.4UA (PROD)

Proposal Code: S00008959  Proposal Text Exists

Main Proposal Agency Location **Cost Code** Personnel User Defined Data

Chart of Accounts: B

Indirect Cost Basis: 2MTDC Modified Total Direct Eff. FY02

Indirect Cost Rate Code: FRN475 UAF Research Neg. 47.5%

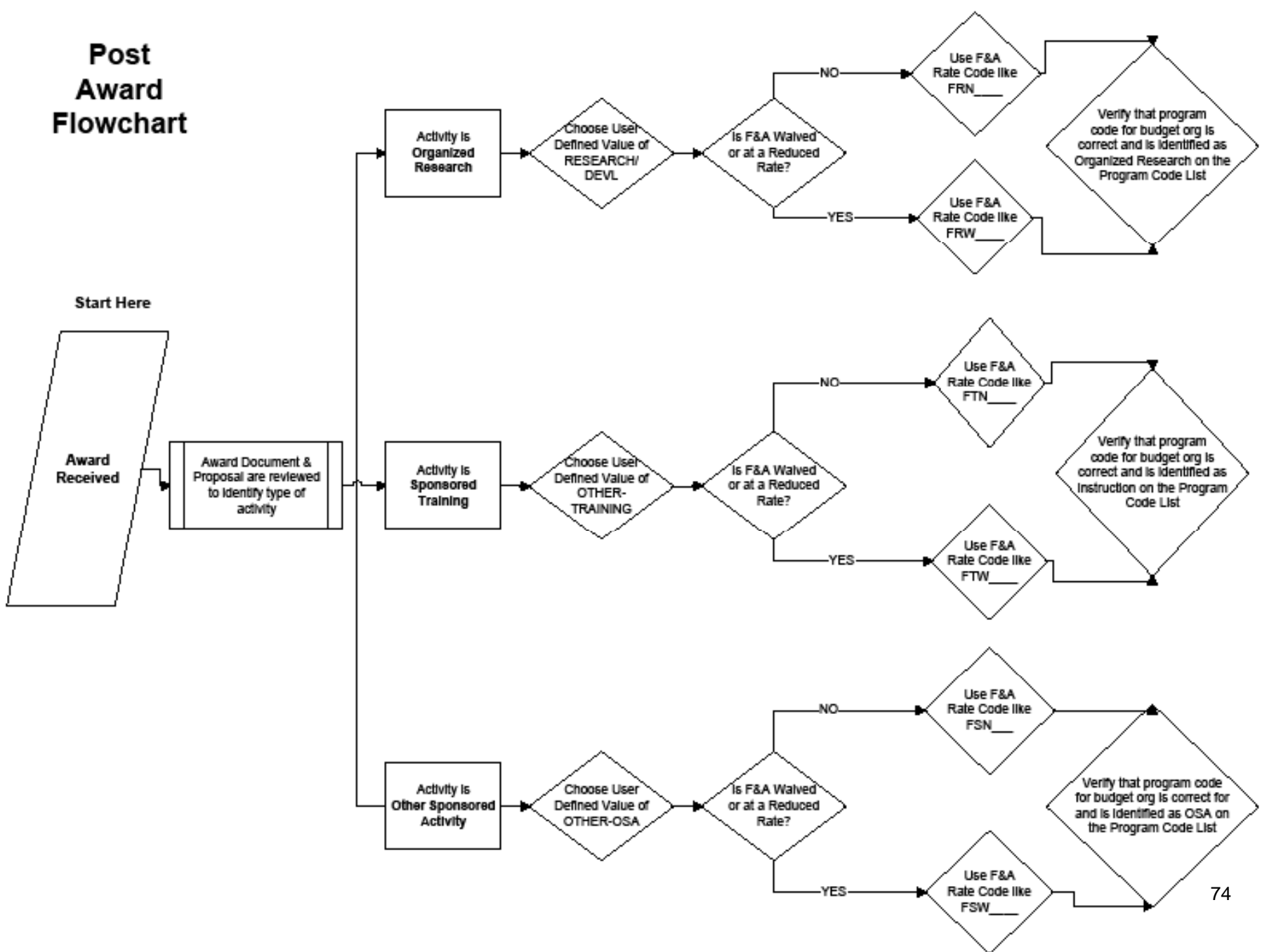
Indirect Cost Charge Account Code: 7811 Restricted charge 7811

Indirect Cost Distribute To Code: FEPS01 UAF EPSCoR Dist 48.9%

# Post Award Topics

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# Post Award Flowchart





# Consistency in Classification

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## □ FRAGRNT

- Indirect (F&A) rate code
  - FRN – UAF Research Negotiated
  - FRW – UAF Research Waived (other than Negotiated)
  - FSN – UAF OSA Negotiated
  - FSW – UAF OSA Waived (other than Negotiated)
  - FTN – UAF Sponsored Training Negotiated
  - FTW – UAF Sponsored Training Waived (other than Negotiated)
  - etc.
- User defined data
  - A-133 codes
    - Research/Development
    - Financial Aid
    - Other Sponsored Activities

# BRF – Grant Setup

## BUDGET REQUEST FORM - GRANT SETUP

FRAGRNT

Grant No: \_\_\_\_\_ Proposal No: \_\_\_\_\_ D Level Org: \_\_\_\_\_

Short Title: \_\_\_\_\_

Agency Code: \_\_\_\_\_ Agency Name: \_\_\_\_\_

Primary PI ID: \_\_\_\_\_ Name: \_\_\_\_\_

Project Period Start Date: \_\_\_\_\_ Project End Date: \_\_\_\_\_

Status Code: A Status Date: \_\_\_\_\_ (Same as start date of award)

Funding:	Current (Fiscal Yr)	Cumulative (To Date)	Maximum (Total Award)
Amounts:			

Related Grant: \_\_\_\_\_ Grant Type: \_\_\_\_\_ Category: \_\_\_\_\_

Equipment Code: \_\_\_\_\_ CFDA: \_\_\_\_\_

Sponsor ID: \_\_\_\_\_

### Grant Agency Information

Address Type: \_\_\_\_\_ Address Sequence No: \_\_\_\_\_

### Grant Location:

Location Code: \_\_\_\_\_ On/Off Campus: \_\_\_\_\_

### F&A Cost Codes

Indicate ORG for indirect Cost Dist. (complete for all BRF for this project): \_\_\_\_\_

Indirect Cost Basis

Rate Code: \_\_\_\_\_ Percentage: \_\_\_\_\_ IDC Waiver: \_\_\_\_\_

Charge Code: 7811 Distribution Code: \_\_\_\_\_

### Personnel Information

Co-PI ID: \_\_\_\_\_ Name: \_\_\_\_\_

Co-PI ID: \_\_\_\_\_ Name: \_\_\_\_\_

Fiscal Off. ID(006): \_\_\_\_\_ Name: \_\_\_\_\_

G&C Tech ID(007): \_\_\_\_\_ Name: \_\_\_\_\_

ID: \_\_\_\_\_ Name: \_\_\_\_\_

Bill Signer ID(011): \_\_\_\_\_ Name: \_\_\_\_\_

Address Type: \_\_\_\_\_ Address Seq: \_\_\_\_\_ Phone Type: \_\_\_\_\_ Phone Seq: \_\_\_\_\_ Bill Type: \_\_\_\_\_

### Department

Prepared by: \_\_\_\_\_ Phone \_\_\_\_\_ Date \_\_\_\_\_

Rpt Signer ID: \_\_\_\_\_ Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address Type: \_\_\_\_\_ Address Seq: \_\_\_\_\_ Phone Type: \_\_\_\_\_ Phone Seq: \_\_\_\_\_ Rpt Type: \_\_\_\_\_

### Grant Billing Information

PMS Code: \_\_\_\_\_ Undistributed C/R: Acct: \_\_\_\_\_ Billing Add Type: \_\_\_\_\_

Sequence No: \_\_\_\_\_ Invoice No: \_\_\_\_\_ 1034 BFRM Ext: \_\_\_\_\_

Bill Min if not Reached: \_\_\_\_\_

### Defined Field Codes

Other-Training	<input type="checkbox"/>	Multi-Fund	<input type="checkbox"/>	M/CS Required	<input type="checkbox"/>	ARRA Funds	<input type="checkbox"/>
Other-OSA	<input type="checkbox"/>	Multi-Activity	<input type="checkbox"/>	M/CS from 3rd Party	<input type="checkbox"/>	Expanded Authority	<input type="checkbox"/>
Research / Devel.	<input type="checkbox"/>	Multi Campus	<input type="checkbox"/>	F&A Waived for M/CS	<input type="checkbox"/>	E-Verify	<input type="checkbox"/>
Fin Aid	<input type="checkbox"/>	Major Program	<input type="checkbox"/>	Program Income	<input type="checkbox"/>	Restr. Publ	<input type="checkbox"/>
	<input type="checkbox"/>	CESU	<input type="checkbox"/>	Assumption of Liability	<input type="checkbox"/>	Fixed Price	<input type="checkbox"/>

### Pass Thru Agency Information: to be entered in lines 998 & 999 of FOATEXT

Agency Name: \_\_\_\_\_

Pass Thru Award No.: \_\_\_\_\_ Percentage: \_\_\_\_\_

### Match/Cost Share Information

Matching:  Cost Share:  Total Required M/CS: \_\_\_\_\_

ORG: \_\_\_\_\_ FUND: \_\_\_\_\_ AMOUNT: \_\_\_\_\_

ORG: \_\_\_\_\_ FUND: \_\_\_\_\_ AMOUNT: \_\_\_\_\_

### Match-Link Info (FGC2FIN) To From

Grant Code: \_\_\_\_\_ Match Fund Code: \_\_\_\_\_

FRAEVGA

Event Code: \_\_\_\_\_ Bill \_\_\_\_\_ Date To: \_\_\_\_\_

Frequency: \_\_\_\_\_ Period To: \_\_\_\_\_

Payment Method Type: \_\_\_\_\_ Bill Format: \_\_\_\_\_

Default Resp. User ID: \_\_\_\_\_

### Additional Information to Facilitate Grant Setup:

\_\_\_\_\_

OGCA Reviewed by \_\_\_\_\_ Phone \_\_\_\_\_ Date \_\_\_\_\_ 76

# FRAGRNT: Grant Maintenance

Grant Maintenance FRAGRNT (PROD)

Grant: G00004184 Proposal: S00008959  Grant Text Exists

Main Grant Agency Location Cost Code Personnel Billing User Defined Data Effort Reporting

Chart of Accounts: B Responsible Organization: D6ESCR FC Central EPSCoR Program

Long Title: Resilience and Vulnerability in a Rapidly Changing North: The Integration of Physical, Biological and Social Processes

Title: EPSCoR Phase III- Resilience

Agency: FNSF001 National Science Foundation

Principal Investigator ID: 30058275 Schweitzer, Peter P.

Project Start Date: 01-JUL-2007 Project End Date: 30-JUN-2011

Termination Date: Expenditure End Date:

Status: A Active  Pass Through Indicator

Alternate Description: Status Date: 25-JUL-2007

Current Amount: 1,500,000.00 Cumulative Amount: 10,500,000.00 Maximum Amount: 10,500,000.00

Total Recipient Share:

Related Grant:

Grant Type: G Grant

Category: F Federal

Equipment Code: FU Fed Funded/Univ Owned

CFDA Number: 47.076 Sponsor ID: OIA-0701898

Enter Chart of Accounts; LIST is available

Record: 1/1 ... List of Valu... <OSC>

# FRAGRNT: Cost Code Tab

Grant Maintenance FRAGRNT (PROD)

Grant: G00004184 Proposal: S00008959  Grant Text Exists

Main Grant Agency Location **Cost Code** Personnel Billing User Defined Data Effort Reporting

Chart of Accounts: B

Indirect Cost Basis:	3MTDC	Modified Total Direct Eff. FY02
Indirect Cost Rate Code:	FRN475	UAF Research Neg. 47.5%
Indirect Cost Charge Account Code:	7811	Restricted charge 7811
Indirect Cost Distribute To Code:	FEPS11	UAF EPSCoR 48.9%-Phase3

# FRAGRNT: User Defined Data Tab

Grant Maintenance FRAGRNT (PROD)

Grant: G00004184 Proposal: S00008959  Grant Text Exists

Main Grant Agency Location Cost Code Personnel Billing **User Defined Data** Effort Reporting

Multiple Selection	Literal	Value
MAJOR-PROG	GRANT	Major program
MATCH	GRANT	Agency requires M/C'S on grant
MULTI-ACTIVITY	GRANT	Grant has multiple activities
MULTI-CAMPUS	GRANT	Grant involves multiple campuses
MULTI-FUND	GRANT	Grant has multiple funds
RESEARCH/DEVL	GRANT	Research/Development



# Consistency in Classification

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## □ FRMFUND

### ■ F&A rate code

- FRN – UAF Research Negotiated
- FRW – UAF Research Waived (other than Negotiated)
- FSN – UAF OSA Negotiated
- FSW – UAF OSA Waived (other than Negotiated)
- FTN – UAF Sponsored Training Negotiated
- FTW – UAF Sponsored Training Waived (other than Negotiated)
- FAN – UAF ARSC Negotiated
- FFN – UAF Poker Flat Negotiated
- etc.

# BRF – Fund Setup & Budget Input

## BUDGET REQUEST FORM - FUND SETUP & BUDGET INPUT

Chart of Accounts: **B** Status: Active

Grant No: \_\_\_\_\_ Proposal No: \_\_\_\_\_ (Note in comments if different from proposal attached to grant)

Fund Code: \_\_\_\_\_

Short Title: \_\_\_\_\_

Project Start Date: _____	Term Date: _____	Exp. End Date: _____
Data Entry: <b>Y</b>	Fund Type: _____	Predecessor Fund: _____
Financial Mgr UA ID / Name: _____		
Researcher UA ID / Name: _____		
Unbilled AR Acct: _____	Revenue Acct: _____	Bank: _____ Cash: _____
Default Org Code: _____	Program Code: (for reference only) _____	

### F&A Cost Codes: (FRMFUND)

Default F&A Codes from Grant? \_\_\_\_\_

Indirect Cost Basis: \_\_\_\_\_

Rate Code: \_\_\_\_\_ Percentage: \_\_\_\_\_ IDC Waiver: \_\_\_\_\_

Charge Code: 7811 Distribution Code: \_\_\_\_\_

### Billing Information:

Billing AR Account Code: \_\_\_\_\_

Comments:

Department Prepared by: \_\_\_\_\_ Phone \_\_\_\_\_ Date \_\_\_\_\_

Department Name: \_\_\_\_\_

Budget Code: \_\_\_\_\_ Budget Description: \_\_\_\_\_

Fiscal Year: \_\_\_\_\_ Budget Type: \_\_\_\_\_ Transaction Date: \_\_\_\_\_ (Enter only if different than input)

### Accounting Component:

COA	FUND	ORG	PROGRAM
<b>B</b>			
	Increase Amt.	Decrease Amt.	Total Project
1001 Salaries	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
1970 Benefits	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
2001 Travel	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
2301 Foreign Travel	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
3001 Services	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
3100 Services - No F&A	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
4001 Supplies	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
5001 Equipment	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
6001 Student Aid	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
7001 F&A %- <input type="text"/>	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
8001 Other Expenses	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
8003 Assumption	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
<input type="checkbox"/> Revenue	<input type="text"/>	< <input type="text"/> >	<input type="text"/>
<b>TOTALS</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Budget JV Number	Date Budget Input	Date Form Input/Updated	
		FTMFUND	
		FRMFUND	

OGCA Reviewed by: \_\_\_\_\_ Phone \_\_\_\_\_ Date \_\_\_\_\_

# FTMFUND: Fund Code Maintenance

Fund Code Maintenance FTMFUND (PROD)

Chart of Accounts: B  Active Status Last Activity Date: 09-AUG-2010

Grant: G00004184 EPSCoR Phase III- Resilience

Proposal: S00008959 Resilience and Vulnerability in a R

Fund: 334351 Title: EPSCoR Phase III - Resilinc: Hoover

Effective Date: 09-AUG-2010 Termination Date: 15-AUG-2011 Next Change Date:

Expenditure End Date: 30-AUG-2011  Data Entry

Fund Type: F2 UA - Fairbanks -- Restricted

Predecessor Fund: 33313E EPSCOR3 SOCIAL SCIENCE

Financial Manager: 30004134 Chapman, Debra A.

Researcher ID/Name: 30058275 Schweitzer, Peter P.

Unbilled AR Account: 0325 Unexpended Grant Authorization

Revenue Account: 9355 Federal Grant & Contracts Rev

Bank: FC FNBA CHECKING FOR FAIRBANKS MAU

Cash Receipt Bank Code: FD FNBA DEPOSITORY FOR FAIRBANKS CAMP

Capitalization Fund Indicator: Cap Different or No Cap

Capitalization Equity Account:

Capitalization Fund:

Multiple Fund Balance Indicator: (None)

Restriction Indicator: (None)

Defaults: Organization: 61216 Program: Activity: Location:

Chart of Accounts; Press LIST for valid values. Press Edit for Navigate To.

Record: 1/? ... List of Valu... <OSC>

# FRMFUND:

## Research Accounting Fund Maintenance

Research Accounting Fund Maintenance FRMFUND (PROD)

Chart of Accounts:

Effective Date:  Termination Date:  Next Change Date:   
Budget Period Start Date:  Budget Period End Date:

**Stimulus Funds**

**Cost Codes**

Indirect Cost Basis:    
**Indirect Cost Rate Code:**    
Indirect Cost Charge Account Code:    
Indirect Cost Distribute To Code:    
Cost Share Basis:   
Cost Share Rate Code:   
Cost Share Credit Account Code:   
Cost Share Distribute From Code:

**Billing Information**

Billed Accounts Receivable:  Grants Receivable  
Cash Receipt Bank Code:  Retainage Accounts Receivable:   
Revenue Account:  Retainage Amount:   
Unbilled Accounts Receivable:  Retainage Percent:

Enter Chart of Accounts. Record: 1/1 ... List of Valu... <OSC>

# Program Code Review

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# Accurate Program Code Accounting

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- Consistency from year-to-year
- Same “sheet of music” for everyone
- Required by CAS
- When users classify costs results are:
  - More accurate information
  - Avoid “Butrovich classification”
- Corrections are painful



# Program Code Review

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- Responsibility for correct program code use resides with the MAU
  - MAU to review activity on a monthly basis
    - Establish new orgs as needed
    - Initiate clean-up of errors
      - Move budget and expenditures
  - SW review activity on quarterly basis
    - FY11 2<sup>nd</sup> quarter program code review was disseminated to the MAU's last Thursday, February 10<sup>th</sup>



# UAF Program Code Review

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- Campus/MAU Review
  - UAF Financial Services
    - Unrestricted funds
    - Program code mismatches
  - UAF Office of Grant & Contract Administration
    - Restricted funds
    - Matching funds
    - Reviews BRF's for correct coding



# Statewide Program Code Review

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- Statewide Program Code Review from Cost Analysis & Fund Accounting
  - Year-to-date activity
    - All fund-org-program code combinations
    - Errors
      - Program code mismatches
      - Org/Fund mismatches
    - Potential errors
      - Fund title, department, fund type, org title, program code, indirect cost code, A-133 category code
  - Communicates with MAU central personnel



# Common problems

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- Organization codes
  - Non-descriptive titles
    - SFOS Recovery **vs.** SFOS Instruction
  - Titles inconsistent with the program code
  - Mismatches
    - Org/program code
    - Org/fund
  - Use of financial aid account codes
    - FA orgs use only 6105 thru 6118 and 6221 thru 6405
    - Non-FA org use 6210 and 6211



# Common problems

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- Restricted Funds
  - Inconsistency with:
    - Program code
    - Indirect cost code
    - F&A rate
    - A-133 category
  - Insufficient information on the grant and/or fund titles to review
  - Charging administrative support costs without a CAS Exemption form on file at OGCA



# Common problems

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- Unrestricted Funds
  - Non-organized research unit using 'RO' type program code for departmental research
    - Should use 'IR' program code
    - Acceptable for Non-organized research unit to use 'RO' only for transferring restricted fund over-runs (account code 8661) and disallowed costs (account code 8651)



# Program Code and F&A Implications

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- FY12 F&A Base Year
  - Data must be accounted for accurately
  - Affects F&A rates
  - FY12 data will be used to calculate FY14-FY16 rates

# Program Codes in Banner

	ORGN CODE	ORGN CODE TITLE	DEFAULT PROGRAM CODE	DLEVEL	DLEVEL ORGN TITLE	STRUC CODE	STRUC CODE TITLE
1	61240	FC CLA Social Work Research	3010RO	D6SWK	CLA Social Work	2A2d010	UAF College of Liberal Arts
2	61201	FC CLA Music Research	3010RO	D6MUS	CLA Music	2A2d010	UAF College of Liberal Arts
3	61204	FC CLA Journalism /Broadcast Researc	3010RO	D6JB	CLA Journalism /Broadcasting	2A2d010	UAF College of Liberal Arts
4	61236	FC CLA Political Science Research	3010RO	D6PS	CLA Political Science	2A2d010	UAF College of Liberal Arts
5	61099	FC CLA Art Alaska Native Art Ctr	3010RO	D6ART	CLA Art	2A2d010	UAF College of Liberal Arts
6	61245	FC CLA CXCS Research	3010RO	D6CXCS	CLA CXCS Ctr Cross-Cultural Studies	2A2d010	UAF College of Liberal Arts
7	61233	FC CLA Northern Studies Research	3010RO	D6NORS	CLA Northern Studies	2A2d010	UAF College of Liberal Arts
8	61009	FC CLA Restricted Funds	3010RO	D6LAD	CLA Instr General	2A2d010	UAF College of Liberal Arts
9	61203	FC CLA Theatre Research	3010RO	D6THR	CLA Theatre	2A2d010	UAF College of Liberal Arts
10	61244	FC CLA Justice Research	3010RO	D6JUST	CLA Justice	2A2d010	UAF College of Liberal Arts
11	61206	FC CLA English Research	3010RO	D6ENGL	CLA English	2A2d010	UAF College of Liberal Arts
12	61216	FC CLA Anthropology Research	3010RO	D6ANTH	CLA Anthropology	2A2d010	UAF College of Liberal Arts
13	61217	FC CLA Sociology Research	3010RO	D6SOC	CLA Sociology	2A2d010	UAF College of Liberal Arts
14	61218	FC CLA Linguistics Research	3010RO	D6LING	CLA Linguistics	2A2d010	UAF College of Liberal Arts
15	61235	FC CLA History Research	3010RO	D6HIST	CLA History	2A2d010	UAF College of Liberal Arts
16	61238	FC CLA Psychology Research	3010RO	D6PSY	CLA Psychology	2A2d010	UAF College of Liberal Arts
17	61215	FC CLA Foreign Lang Research	3010RO	D6FLL	CLA Foreign Languages & Literatures	2A2d010	UAF College of Liberal Arts
18	61214	FC CLA AK Native Studies Research	3010RO	D6ANS	CLA Alaska Native Studies	2A2d010	UAF College of Liberal Arts
19	61020	FC CLA Anth Beringian	3010RO	D6ANTH	CLA Anthropology	2A2d010	UAF College of Liberal Arts
20	61222	FC CLA Dean's Office Research	3010RO	D6CLAD	CLA Dean	2A2d010	UAF College of Liberal Arts

# Program Codes in Banner

Executive Summary FGIBDSR (PROD)

**Chart:** B  
**Fiscal Year:** 11  
**Index:**

Query Specific Account  
 Include Revenue Accounts  
**Commit Type:** Both

**Organization:**  
**Fund:**  
**Program:** 3010RO FC Cla Other Res  
**Account:**  
**Account Type:**  
**Activity:**  
**Location:**

Account	Type	Title	Adjusted Budget	YTD Activity	Commitments	Available Balance
4011	E	Teaching Supplies	0.00	199.99	0.00	-199.99
4013	E	Medical & Safety Supplies	0.00	1,019.12	0.00	-1,019.12
4015	E	Program/Project Supplies	0.00	3,132.64	0.00	-3,132.64
4075	E	Field Camp Supplies	0.00	402.73	0.00	-402.73
4078	E	Field Camp Food	0.00	2,963.64	0.00	-2,963.64
4221	E	Printed Subscriptions	0.00	43.59	0.00	-43.59
6001	E	Student Aid Budget	45,900.00	0.00	0.00	45,900.00
6210	E	Grad Assistantship Waiver	0.00	18,657.00	0.00	-18,657.00
7001	E	IC Recovery Budget Only	0.00	0.00	0.00	0.00
7811	E	Indirect Costs	0.00	156,091.39	0.00	-156,091.39
8001	E	Miscellaneous Expenditure	0.00	0.00	0.00	0.00
8003	E	Budget Assumptions	0.00	0.00	0.00	0.00
<b>Net Total:</b>			1,602,172.00	586,220.39	16,416.69	999,534.92



# Primary UAF Campus Contacts

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- UAF Financial Services
  - Phillip Harrington, Interim Director, 474-5866
- UAF OGCA
  - Maggie Griscavage, Director, 474-6446
- UAF OSP
  - Andrew Parkerson-Gray, Director, 474-1851



# Primary Statewide Contacts

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## □ Cost Analysis

- Tanya Hollis, Director, 450-8069
- Briana Walters, Assistant Manager, 450-8077
- Dawn Wall, Accountant, 450-8076
- Krishna Ganapuram, Analyst, 450-8119

## □ Fund Accounting

- Karin Baldwin, Director, 450-8063
- Michelle Wood, Accountant, 450-8066
- Cinnamon Williams, Accountant, 450-8073

# Thanks for Attending!!!

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- Please complete your evaluation sheets.

