



FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

PMS Project Closeout

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Session Outline

- **GAO Audit Reports**
- **Closeout Parameters**
- **The FCTR**
- **Closeout History**
- **Sample Numbers**
- **Details**
- **Late Report Monitoring**
- **Federal Expiring Funds**



General Accounting Office (GAO)

GAO Reports on Persistent Grant Closeout Issues

- 2008, 2012 <http://www.gao.gov/assets/600/592995.pdf>
- 2016 <http://www.gao.gov/products/GAO-16-362>
- Most recent report found \$994M in 8,832 grants >1 year past end date
- Appears that:
 - Majority of the money is on block grants (e.g., ACF), but many individual accounts not closed in a timely basis
 - Fully disbursed expired accounts dropped from 28,000 to 5,906 with HHS accounts still representing 66%



Closeout Parameters

- UG 200.343 (g) Complete all closeout actions no later than one year after receipt and acceptance
 - 90 days to complete final + 365 = 455 days for closeout
- HHS, in response to the GAO establishes a 270 goal after which a unilateral closeout can be initiated
- NIH updates it's policies and FAQ's to align with HHS (NOT-OD-14-084, etc.)



Closeout – The FCTR

- Federal Cash Transaction Report (FCTR)
- Quarterly report of **Expenditures**
 - Because of the possibility of advance payments, all cash draws are considered advances until the FCTR is filed
 - Due 30 days after the end of each calendar quarter
- HHS operating divisions do not receive real-time data feeds of draws into their systems
- The NSF was able to eliminate the FCTR when they transitioned from pool to individual draws
- The FCTR for HHS is not likely to be eliminated



Closeout – The FCTR - Cont.

- A completed FCTR can be revised 89 times after it has been filed - once per day
 - Some have used this as an opportunity ensure the FFR and the FCTR match
 - Invalidates the concept of the FCTR as of Qtly end date

13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

- Assumptions:
 - **Don't assume that if you don't receive a delinquent report from PMS that you are not delinquent**
 - **Don't assume that old agencies that transitioned away from PMS to others system are closed in PMS**



Closeout – The FCTR - Cont.

Date	Event	Number of Days from Project end date		Award Amount	\$ Expensed in U System	\$ Drawn in PMS System
4/30/2015	Project end date			250,000	200,000	200,000
7/1/2015	4/1-6/30 FCTR Available	62				
7/14/2015	Final Invoice from Subawardee is received	75				
7/29/2015	FFR Due	90			250,000	
7/30/2015	FCTR Completed (actual expense as of 6/30/2015)				200,000	200,000
HHS 90 Day Reporting Threshold						
8/1/2015	Subawardee Paid in U System - See Note 1	93	(18 days after Inv)		50,000	
8/6/2015	PMS, Cash Drawn	98				50,000
8/11/2015	FFR Finalized - See Note 2	103			250,000	250,000
10/1/2015	7/1-9/30 FCTR Available	154				
180 Day Unilateral Closeout Actions Initiated?						
10/30/2015	FCTR Completed (actual expense as of 9/30/2015) *	183				250,000
	*FCTR and FFR now are reconciled					



Closeout History

Closeouts and 120 Days

- The UG say 90 days after the end date
- Complicated research projects, including those with sub-awards to other Universities, routinely need additional time (30 more days) to closeout, i.e. financial, performance, and other reports required
- NSF and NIH adopt electronic payment systems that automatically stop at a set number of days after end date
- RTC agencies had to be sold on the benefits to science and the administrative efficiency's moving to 120 days
- The extra 30 days (per the FDP) reduce administrative burden of having to initiate & track individual requests for extensions



Closeout History Continued

- Within HHS, only NIH allows 120 Days
- Federal and University goals align – timely closeouts!
- HHS has established a closeout committee to recommend solutions



Closeout Background

- MSU's Numbers as of 3/31/16 FCTR


PMS Closeout Summary	# > 270 Days past last FCTR entry	# with equal FCTR & FFR Amounts	# > 820 Days past last FCTR entry
NIH Pooled Accounts	36	14	22
USDA-FS	20	17	4
USGS - <i>Left PMS 2010!</i>	14	3	14
USDA-ARS	11	9	9
USDA-NIFA	10	1	9
USAID	3	0	2
NASA	0	NA	0
Total	94	44	60

- How can you tell if you have delinquent closeouts?



NIH - PMS Pooled Accounts

How to generate a list of **pooled** accounts not closed in PMS






Production
1.0.2014.03.U1
User: DPMGATE6J34P
WED 04/27/2016
[Logout](#)

- [Inquiry](#)
 - [Adhoc Grantee Inquiry](#)
 - [Stored Grantee Inquiries](#)
- [Payment](#)
 - [Request for Payment](#)
 - [Payment File Processing](#)
- [Disbursement](#)
 - [View PSC272 Reports](#)
 - [FFR Cash Transaction Report](#)
 - [FFR Interest Income](#)
 - [FFR Financial Status Report](#)
 - [FFR File Transfer](#)
- [My User Info](#)

The Payment Management System

The Division of Payment Management



The Division of Payment Management is within the
Financial Management Service of the
Program Support Center of the
U. S. Department of Health and Human Services

Select Adhoc Grantee Inquiry from the PMS homepage



PMS Pooled Accts - NIH

Select Summary Grant Data from the drop down list

Procedures
1-Click ?
2-Click Open
3-Double Click Name

Screen Help

PMS Adhoc Grantee Inquiry

Inquiry Type:

- Account Balance Data
- Authorization Transactions
- Payment Data
- Summary Grant Data**

[Return To Menu](#)

This report will show what PMS has for Authorized Amount, Last Reported Disbursed Total and the last date the FCTR had activity, i.e. look for old dates



PMS Pooled Accts - NIH

Run the report for your NIH number

Procedures
1-Click ?
2-Click Open
3-Double Click Name

Screen Help

PMS Adhoc Grantee Inquiry

[Return To Menu](#)

Inquiry Type: Summary Grant Data

Save Query: ☒ No ☐ Yes

Inquiry Name:

PIN or	Payee Acct	Document Num	DS
	5355G		

Download into an Excel Spreadsheet, use the Excel Text to Column feature to separate the data



PMS Pooled Accts - NIH

Sort by the DS column

AGY	*****GRANT*****	*****AUTHORIZED****	*****DISBURSED*****	*RPT DISB*	DS
C	U1SM52227A	\$1,766,537.00	\$1,766,537.00	12/31/2003	C
3	U6PE00033A	\$1,934,658.00	\$1,934,658.00	6/30/1991	C
3	U76HP01036A0	\$3,595,902.00	\$3,595,902.00	6/30/2007	C
8	U9AI45955A	\$3,143,444.00	\$3,143,444.00	3/31/2006	C
C	U9SM58974A	\$291,292.12	\$291,292.12	3/31/2013	C
8	UAI045955B	\$2,205,790.59	\$2,205,790.59	12/31/2012	C
8	UAI058542A	\$1,708,540.00	\$1,708,540.00	3/31/2009	C
3	UB4HP19064A0	\$2,163,937.40	\$2,163,937.40	12/31/2015	C
9	UDD000007A	\$3,035,269.00	\$3,035,269.00	12/31/2009	C
9	UDD000498A	\$2,300,000.00	\$2,300,000.00	6/30/2013	C
9	UDP000143A	\$2,539,584.00	\$2,539,584.00		C
8	UES012800A	\$5,079,036.00	\$5,079,036.00	3/31/2014	C
8	UHD040093C	\$3,003,035.00	\$3,003,035.00	9/30/2014	C
8	UHD040093Y	\$214,152.81	\$214,152.81	9/30/2012	C
8	UHD049212A	\$8,500.00	\$8,500.00	9/30/2005	C
8	UNS053380A	\$616,552.99	\$616,552.99	6/30/2014	C
8	UNS053380B	\$214,030.35			
8	RAG041266B	\$315,488.74	\$315,488.74	9/30/2015	E
8	RES003358F	\$984,648.00	\$984,648.00	12/31/2009	E
9	ROH009644A	\$1,849,120.00	\$1,849,120.00	12/31/2015	E
G	90CO095801	\$76,484.00	\$79,289.00	3/31/2005	O

Shows Current Account Status
C = Closed, Other statuses (O, P, E) are still Open.

Last date of submitted FCTR

Last disbursement (expense) total reported on FCTR

Total Award Authorized

Note the absence of a project end date – is it in PMS?



PMS Pooled Accts - NIH

Find Old RPT DISB Dates on accounts not marked “C”

AGY	*****GRANT*****	*****AUTHORIZED****	*****DISBURSED*****	*RPT DISB*	DS
8	FNS061543A	\$25,081.00	\$25,081.75	3/31/2010	O
G	90CO102605	\$250,000.00	\$231,853.00	3/31/2012	O
8	FNS064783A	\$60,507.00	\$60,506.25	9/30/2012	O



.75 off – the Final Expense total reported does not match Authorized Award – A fellowship award final financial is the FCTR. NIH has yet to reduce Authorized Award to match reported expenses. This can only be done by the Grants Management Specialist sending a request to PMS.

8	RDK045686D	\$1,024,808.00	\$1,024,844.00	12/31/2011	P
---	------------	----------------	----------------	------------	---

\$36 difference. On this one, the Authorized Award was reduced to match reported expenses on Final FFR, but we didn't update the last disbursement (expense) total reported on FCTR. It has now been updated.



Resolving Open PMS Account Issues – Pooled

- The FCTR needs to be updated to match the Final FFR in eRA Commons (or paper SF-425).

AGY	*****GRANT*****	*****AUTHORIZED****	*****DISBURSED*****	*RPT DISB*	DS
8	RDK045686D	\$1,024,808.00	\$1,024,844.00	12/31/2011	P



Disbursed total on FCTR

FEDERAL FINANCIAL REPORT				
1. Federal Agency and Organizational Element to Which Report is Submitted NATIONAL INSTITUTE OF DIABETES AND DIGESTIVE AND KIDNEY DISEASES		2. Federal Grant or Other Identifying Number Assigned by Federal Agency 5R01DK045686-15		
3. Recipient Organization (Name and complete address, including Zip code) MICHIGAN STATE UNIVERSITY MICHIGAN STATE UNIVERSITY 301 Administration Bldg EAST LANSING MI 48824				
4a. DUNS Number 193247145	4b. EIN 1386005984A1	5. Recipient Account Number or Identifying Number RC060557	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input checked="" type="checkbox"/> Final	7. Basis of Accounting <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual
8. Project/Grant Period From: (Month, Day, Year) 08/01/1994		To: (Month, Day, Year) 08/31/2012		9. Reporting Period End Date (Month, Day, Year) 08/31/2012
10. Transactions (Use lines a-c for single or multiple grant reporting)			Cumulative	
Federal Cash (To report multiple grants, also use FFR Attachment):				
a. Cash Receipts			0.00	
b. Cash Disbursements			0.00	
c. Cash on Hand (line a minus b)			0.00	
(Use lines d-h for single grant reporting)				
Federal Expenditures and Unobligated Balance:				
d. Total Federal funds authorized			1,024,844.00	
e. Federal share of expenditures			1,024,808.00	
f. Federal share of unliquidated obligations			0.00	
g. Total Federal share (sum of lines e and f)			1,024,808.00	
h. Unobligated balance of Federal funds (line d minus g)			36.00	



Final Expense Total on FFR



Resolving Open PMS Account Issues

- Select Prepare/Certify

**Federal Cash Transaction Report
Current Report Screen**

Current Report Period Listing
Payee Account Contains: B2490P1
Status: ALL REPORT STATUSES

Return To Menu

Screen Help

Action Payee End Date Due Date Submit Date Status

→ **Prepare/Certify** B2490P1 31-MAR-2016 30-APR-2016 C (Delinquent)

View
Print
Subscribe
See Workflow

- Select Report Disbursements

Federal Cash Transaction Report

Save Certify Report Disbursements Cancel

Return To Menu

Screen Help

FEDERAL FINANCIAL REPORT (Prescribed by OMB A-102 and A-110)

1. Federal Agency and Organizational Element to Which Report is Submitted 2. Federal Grant or Other Identifying Number

3. Recipient Organization (Name and complete address including Zip code)

MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING
EAST LANSING, MI, 488241046

4a. DUNS Number 4b. EIN 5. Recipient Account Number or Identifying Number 6a. Report Frequency 6b. Report Type 7. Basis of Accounting

053343976 1386005984D3 Quarterly Interim Report Cash

8. Project/Grant Period(month,day,year) 9. Reporting Period End Date(month,day,year)

From: To: 03/31/2016

10. Transactions (Use lines a-c for single or multiple grant reporting) Cumulative

Federal Cash (To report multiple grants, also use Report Disbursements):

a. Cash Receipts	-507,240.84
b. Cash Disbursements	1,868.57
c. Cash on Hand (line a minus b)	0.00

(Use lines d-o for single grant reporting)

Federal Expenditures and Unobligated Balance:

d. Total Federal funds authorized	
e. Federal share of expenditures	
f. Federal share of unliquidated obligations	
g. Total Federal share (sum of lines e and f)	
h. Unobligated balance of Federal funds (line d minus g)	

Recipient Share:



Resolving Open PMS Account Issues

- Most Old Awards will be under the “Report Inactive Grants” Drop Down
- Select Award that needs updating

Federal Financial Report Attachment

Continue | Remove Inactive Grants | Save | Remove Inactive | Cancel

Under Construction

1. Federal Agency and Organization Element to Which Report is Submitted (Box 1 on Page 1)

2. Recipient Organization (Box 3 on Page 1)

MICHIGAN STATE UNIVERSITY
101 ADMINISTRATION BUILDING
EAST LANSING, MI 488241046

3a. DUNS Number
05343976

3b. EIN
13000505403

4. Reporting Period End Date (month/day/year)
03/31/2016

Page 2 of 2

Grant Number—Auth Amount—Disb Amount

Report Inactive Grants

5. List information below for each grant covered by this report. Use additional pages if more space required. Inactive grants are denoted with an asterisk and highlighted in blue.

Grantee	Grant Num	Rec Acct Num	Authorized	Prior Cans. Disb. Amt	Case Federal Cash Disb
07WRAG0007	01-3804		102,196.00	100,327.43	102,196.00
G10AC00129	01-3820		554,928.00	317,533.57	91,500.00
TOTAL (Should correspond to the amount on Line 10b on Page 1)				298,105.01	

User Code: 070
Payee Account: 05400P1
JPM Rep Name: Hayvette Robinson
Phone Number: 501-462-4030

Payee Bank Statement
According to the Payment Reduction Act, as amended, no person is required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0047. Public reporting burden for this collection of information is estimated to average 1 hour (30 minutes per response), including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing this collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0047), Washington, DC 20503.

Standard Form: 425A- Revised 5/20/2016

Federal Financial Report Attachment

Continue | Report Single Grant | Save | Remove Inactive | Cancel

Under Construction

1. Federal Agency and Organization Element to Which Report is Submitted (Box 1 on Page 1)

2. Recipient Organization (Box 3 on Page 1)

MICHIGAN STATE UNIVERSITY
101 ADMINISTRATION BUILDING
EAST LANSING, MI 488241046

3a. DUNS Number
05343976

3b. EIN
13000505403

4. Reporting Period End Date (month/day/year)
03/31/2016

Page 2 of 2

Grant Number—Auth Amount—Disb Amount

Report Inactive Grants

5. List information below for each grant covered by this report. Use additional pages if more space required. Inactive grants are denoted with an asterisk and highlighted in blue.

Grantee	Grant Num	Rec Acct Num	Authorized	Prior Cans. Disb. Amt	Case Federal Cash Disb
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G10AC00129	01-3820		554,928.00	317,533.57	91,500.00
TOTAL (Should correspond to the amount on Line 10b on Page 1)				298,105.01	

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Standard Form: 425A- Revised 5/20/2016

Update disbursement amount to match Final FFR



PMS Pooled Accts - NIH

Errors can occur when attempting to update inactive accounts

Federal Financial Report Attachment

Screen Help ?

[Return To Menu](#)

Continue Report Single Grant Save Remove Inactive Cancel

Under Construction ...

1. Federal Agency and Organization Element to Which Report is Submitted (Box 1 on Page 1)

2. Recipient Organization (Box 3 on Page 1)

MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING

Reporting Period End Date
month/day/year
11/2016

Page 2 of 2

Number—Auth. Amount—Disb. Amount

More space required. Inactive grants are denoted with an asterisk "*" and highlighted in Blue.

5. List information by

Sel One	Grant Num	Rec Acct Num	Authorized	Prior Cum. Disb. Amt	Cum Federal Cash Disb
<input type="radio"/>	* 07WRAG0007	61-3804		102,196.00	100,327.43
<input type="radio"/>	* G10AC00129	61-3820		554,928.00	317,533.57

Message from webpage

MSG#2021 - Disbursements cannot be posted to a canceled document.
(07WRAG0007)
AND
MSG#2028 - Disbursement amount at the time the document was cancelled is greater than the Net Disbursement amount or the Cumulative Cash Disbursement amount as reported in 272.
(G10AC00129)

OK

MSG#2021 –
“Disbursements cannot be posted to a canceled document.” To fix this, contact your GMS and your PMS DPM Rep to request that the grant/award be adjusted to the correct amount. The DPM Rep can be found at the bottom of the FCTR Front Page.

User Code	F23A
Payee Account	5325G
DPM Rep Name	Raynette Robinson
Phone Number	301-492-4938

DPM Rep and Phone number. This is the bottom of the Federal Cash Transaction Report.



PMS Pooled Accts - NIH

- When the FFR and the FCTR align – Notify the Grants Management Specialist (GMS)
- Contact the NIH Office of Financial Management (OFM):
 - If the FFR is approved by OFM and the FCTR have the same numbers
 - Request that OFM send a “Code 059” (and de-obligate any unobligated funds, if applicable) to DPM/PMS
- The GMS needs to communicate with the Financial Management Office to get the account closed in PMS
- Your GMS contact information is on the Award Document



PMS Individual Accts: Non-NIH

- To begin, find out which accounts need adjustment. To do this, download the Account List in Payment Management System (PMS).

PAYMENT MANAGEMENT SYSTEM

Production
1.0.2014.03.U1
User: DPMGATE6J34P
WED 04/27/2016
Logout

[Inquiry](#)
[Adhoc Grantee Inquiry](#)
[Stored Grantee Inquiries](#)
[Payment](#)
[Request for Payment](#)
[Payment File Processing](#)
[Disbursement](#)
[View PSC272 Reports](#)
[FFR Cash Transaction Report](#)
[FFR Interest Income](#)
[FFR Financial Status Report](#)
[FFR File Transfer](#)
[My User Info](#)

The Payment Management System
The Division of Payment Management

DPM  **PSC** 

The Division of Payment Management is within the
Financial Management Service of the
Program Support Center of the
U. S. Department of Health and Human Services

- Select Payment File Processing from the PMS homepage



PMS Individual Accts: Non-NIH

- Select Download Payment Data Template and hit Continue

Payment File Processing

Screen Help ?

[Return To Menu](#)

☒ Download Payment Data Template
☐ Upload Payment Request File
☐ Request Payment from Upload
☐ Remove Upload Payment Data

Continue Cancel

- Select All Accounts then click Download – this list is all Accounts in PMS for your Login ID.

Download Payment Data Template

Screen Help ?

[Return To Menu](#)

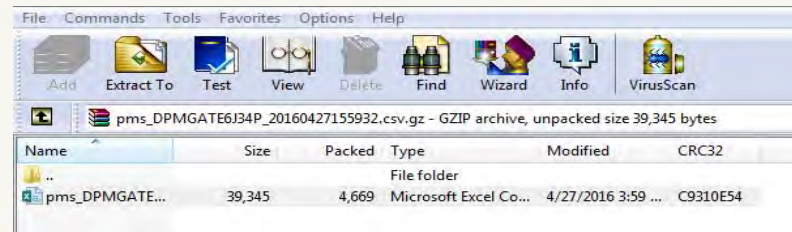
☒ 2V06P ☒ 4K20P ☒ 5325B ☒ 5325G
☒ 5326P ☒ 6J34P ☒ 6W54P ☒ 78A2P
☒ 9H18P ☒ A6128P1 ☒ A6173P1 ☒ B2490P1
☒ C6920P1

Download **Select All** Deselect All Cancel



PMS Individual Accts: Non-NIH

- The report downloads and needs to be unzipped.



- The report has a list of account numbers and award subaccount numbers for reference. It also has a list of funds, expired and available for draw, currently in PMS.



PMS Individual Accts: Non-NIH

- For closeout purposes a “Document Summary of Auth, Disb & Charged-Adv Amounts report” needs to be run.
- The DPM Rep/PMS Liaison has to run the report for you. (It is similar to the Summary Grant Data report that is under the Ad Hoc option, but the “Document Summary of Auth, Disb & Charged-Adv Amounts” report has an additional column that tracks total draw/advances from an account.)
- Request the report by Account number. Active accounts with non-closed awards are listed in the report previously downloaded.



PMS Individual Accts: Non-NIH

- The next slide is an example of the report received from PMS.
- This account was for USGS awards in PMS – all USGS awards transitioned to the ASAP system on 10/29/2010. We were unaware of this account number and list of non-closed accounts until we started this reconciliation process due to the NIH/PMS issues we were made aware of.
- The report shows many large balances unresolved in the Payment Management System. All funds were transferred to ASAP, however the accounts were not closed out and remain “open” in PMS.



PMS Individual Accts: Non-NIH

- To Close an award out, all 3 columns of the Document Summary of Auth, Disb & Charged-Adv Amounts report need to be equal.

*** SEARCH PARAMETERS *****
ACC: B2490P1

*****Organization Name*****

B2490P1 B2490 1386005984D3 193247145 MICHIGAN

HHS-REG: 05 STATE: MI PMT: ACH STOP: Y MAN-REV: Y 272: File GROUP: F70 USER: VNK6RR

AGY*	*****GRANT*****	*****AUTHORIZED*****	*****DISBURSED*****	*****CHG-ADV*****	*RPT DISB*	RS	DS
W	G09AC00161	85,339.00	73,633.35	60,250.00	12/31/2010	I	P
W	G09AP00153	48,914.25	27,802.39	28,500.00	03/31/2011	I	P
W	G10AC00129	554,928.00	317,533.57	91,500.00	03/31/2011	I	P
W	G10AC00334	145,631.00	42,591.94	.00	03/31/2011	I	P
W	G10AC00435	161,000.00	28,168.79	.00	03/31/2011	I	P
W	G10AC00442	121,471.00	.00	.00	03/31/2011	I	P
W	G10AP00153	105,000.00	.00	.00	03/31/2011	I	P
W	02ERAG0097	75,000.00	73,637.74	73,637.74	03/31/2009	I	P
W	02112HS001	349,124.00	349,124.00	349,124.00	03/31/2009	C	C
W	02112HS002	258,611.00	258,611.00	258,611.00	03/31/2010	C	C
W	02112HS010	322,846.53	322,846.53	278,902.00	12/31/2010	I	P
W	04HQGR0105	453,000.00	453,000.00	453,000.00	06/30/2006	C	C
W	05HQAG0063	9,154.70	9,154.70	9,154.70	06/30/2008	C	C
W	05HQGR0170	59,740.33	59,740.33	59,740.33	03/31/2009	C	C
W	05HQGR0172	224,089.59	224,089.59	224,089.59	12/31/2009	C	C
W	06HQGR0092	461,675.00	461,675.00	368,205.34	03/31/2011	I	P
W	07ERAG0070	25,000.00	16,540.77	16,540.77	03/31/2009	I	P
W	07HQAG0102	22,389.20	22,389.20	22,389.20	06/30/2008	C	C
W	07HQAG0154	93,475.42	93,475.42	93,475.42	06/30/2009	C	C
W	07HQGR0003	149,000.00	149,000.00	149,000.00	03/31/2009	C	C
W	07HQGR0141	23,934.09	23,934.09	23,934.09	06/30/2008	C	C
W	07WRAG0007	102,196.00	100,327.43	102,196.00	06/30/2010	I	P
W	08WRGR0006	276,092.00	276,092.00	276,092.00	06/30/2010	C	C
W	7150HS0004	139,907.00	139,907.00	114,890.00	03/31/2011	I	P
W	7150HS0005	247,798.00	246,153.28	211,955.10	03/31/2011	I	P

Total Award Authorized

Last disbursement
(expense) total reported on
FCTR

Total Funds Drawn from
PMS

	*****AUTHORIZED*****	*****DISBURSED*****	*****CHG-ADV*****	HIIS:	
TOTAL:	4,515,316.11	3,769,428.12	3,262,187.28	HIIS:	25
OPEN & CLOSED:	4,515,316.11	3,769,428.12	3,262,187.28	CT:	25
OPEN:	2,596,705.78	1,850,817.79	1,343,576.95	CT:	14
CLOSED:	1,918,610.33	1,918,610.33	1,918,610.33	CT:	11



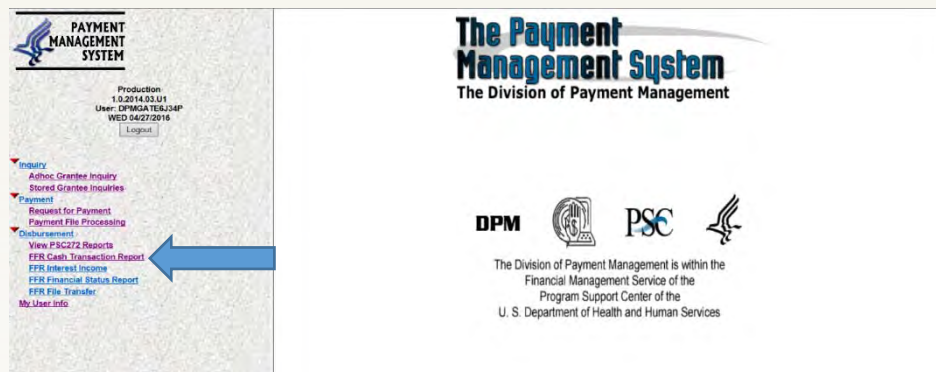
PMS Individual Accts: Non-NIH

- For an account to be closed, reported totals must match:
 - The final expenditure total reported on the submitted Final Federal Financial Report (FFR, SF-425) must match the final disbursed total on the FCTR in PMS.
 - For PMS to close the account the disbursed total must match the total drawn and the total authorized.
- If the initial closeout is balanced, it causes the award record to be removed from the FCTR. However, if adjustments are made to the FFR after the initial submission, the FCTR in the Payment Management System must be updated. There is a time lag between the initial submission clearing the award from the FCTR, and the award record reappearing in the FCTR due to adjustments.
- Old awards have differing figures in the Disbursed/Authorized/Chg-Adv Report columns due to the situation noted above.



PMS Individual Accts: Non-NIH

- Access the FCTR



- Search Account Number



PMS Individual Accts: Non-NIH

- Select Prepare/Certify

Federal Cash Transaction Report
Current Report Screen

Current Report Period Listing
Payee Account Contains B2490P1
Status: ALL REPORT STATUSES

Return To Menu

Action	Payee	End Date	Due Date	Submit Date	Status
Prepare/Certify	B2490P1	31-MAR-2016	30-APR-2016		C (Delinquent)

- Select Report Disbursements

Federal Cash Transaction Report

Save Certify Report Disbursements Cancel

Return To Menu

FEDERAL FINANCIAL REPORT (Prescribed by OMB A-102 and A-110)

1. Federal Agency and Organizational Element to Which Report is Submitted
MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING
EAST LANSING, MI. 488241048

2. Federal Grant or Other Identifying Number
053343676 1386005984D3

3. Recipient Organization (Name and complete address including Zip code)
MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING
EAST LANSING, MI. 488241048

4a. DUNS Number
053343676

4b. EIN
1386005984D3

5a. Report Frequency
Quarterly

5b. Report Type
Interim Report

5c. Basis of Accounting
Cash

6. Reporting Period (Month, day, year)
From: 03/31/2016 To: 03/31/2016

7. Transactions
(Use lines a-c for single or multiple grant reporting)

Federal Cash (To report multiple grants, also use Report Disbursements):

a. Cash Receipts	b. Cash Disbursements	c. Cash on Hand (line a minus b)
-507,240.84	1,866.57	0.00

(Use lines d-h for single grant reporting)

Federal Expenditures and Unobligated Balance:

d. Total Federal funds authorized	e. Federal share of expenditures	f. Federal share of unobligated obligations	g. Total Federal share (sum of lines e and f)	h. Unobligated balance of Federal funds (line d minus g)

Recipient Share:



PMS Individual Accts: Non-NIH

- Most Old Awards will be under the “Report Inactive Grants” Drop Down
- Select Award that needs updating

Federal Financial Report Attachment

Continue | Discard | Single | Save | Remove Inactive | Cancel

Under Construction

1. Federal Agency and Organization Element to Which Report is Submitted (Box 1 on Page 1)

2. Recipient Organization (Box 3 on Page 1)

MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING
EAST LANSING, MI 488241046

3a. DUNS Number: 233343676

3b. EIN: 13000059403

4. Reporting Period End Date (month/day/year): 03/31/2016

Page 2 of 3

Report Inactive Grants

Grant Number—Auth Amount—Disb Amount

Grant Num	Auth	Disb	Auth Amount	Disb Amount
07WRAG0007	61-3804	102,196.00	100,327.43	102,196.00
G10AC00129	61-3620	554,928.00	317,533.57	61,500.00
TOTAL (Should correspond to the amount on Line 10b on Page 1)				244,195.00

Payee's Bank Statement

According to the Payment Reduction Act, as amended, no payments are required to report for a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0548-0061. Public reporting burden for this collection of information is estimated to average 1 hour (30 minutes per response), including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0548-0061), Washington, DC 20503.

Standard Form: R2A - Revised 6/20/2016

Federal Financial Report Attachment

Continue | Discard | Single | Save | Remove Inactive | Cancel

Under Construction

1. Federal Agency and Organization Element to Which Report is Submitted (Box 1 on Page 1)

2. Recipient Organization (Box 3 on Page 1)

MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING
EAST LANSING, MI 488241046

3a. DUNS Number: 233343676

3b. EIN: 13000059403

4. Reporting Period End Date (month/day/year): 03/31/2016

Page 2 of 3

Report Inactive Grants

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Standard Form: R2A - Revised 6/20/2016

- Update disbursement amount to match Final FFR



PMS Individual Accts: Non-NIH

- Errors can occur when attempting to update old, inactive accounts.

Federal Financial Report Attachment

Continue Report Single Grant Save Remove Inactive Cancel

Under Construction

1. Federal Agency and Organization Element to Which Report is Submitted (Box 1 on Page 1)

2. Recipient Organization (Box 3 on Page 1)

MICHIGAN STATE UNIVERSITY
301 ADMINISTRATION BUILDING
EAST LANSING, MI, 488241046

1/2016 Page 2 of 2

Auth. Amount—Disp. Amount

More space required. Inactive grants are denoted with an asterisk * and highlighted in blue.

Grnt Num	Fed/Abstr Num	Authorized	Prior Cum. Disb. Am	Cum Federal Cash Disb
* 07WRAG0007	61-3804	102,196.00	100,327.43	102,196.00
* G10AC00129	61-3820	554,928.00	317,533.57	91,500.00

MSG#2021 – “Disbursements cannot be posted to a canceled document.” To fix this, contact your GMS and PMS DPM Rep and request that the grant/award be adjusted to the correct amount. The DPM Rep can be found at the bottom of the FCTR Front Page.

User Code F23A
Payee Account 5325G
DPM Rep Name Raynette Robinson
Phone Number 301-492-4938

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0060), Washington, DC 20503

Standard Form 425 - Revised 6/28/2010
OMB Approval Number 0348-0061
Expiration Date 10/31/2011

Print Report Disbursements Certify Cancel

DPM Rep and Phone number. This is the bottom of the Federal Cash Transaction Report.



PMS Individual Accts: Non-NIH

- Once the FCTR has been completed and disbursed amounts match expenditures on the Final FFR/SF-425, the next step is to contact the Grants Management Specialist (GMS) for each adjusted award.
- To close out an award or reduce the authorized amount of an award in PMS, a request has to be submitted by the GMS at the awarding agency. Make sure the amount being adjusted in PMS is the correct amount based on final reports. Communication with the GMS is crucial, especially on old awards, as they may not be familiar with them.
- Your GMS contact information can be found in the Award Document.



- 14 still not closed accounts 😊

USGS now uses ASAP, Jeff to look into issues related to these accounts



Late Report Monitoring

- NIH and NSF systems (eRA Commons & Research.gov) provide institutional visibility to the status of late final reports
 - NIH lists ALL reports (Financial, Program, Inventions)
 - NSF lists Program (Financial not required)
- Commons lists grants with outstanding reports in the Status module, under Closeout -> Requires Closeout
 - Also can monitor for grants in Unilateral Closeout



eRA Commons Reports

U.S. Department of Health & Human Services

eRA Commons
A program of the National Institutes of Health

NIH

Home Admin Institution Profile Personal Profile **Status** RPPR FFR xTrain xTRACT FCOI Admin Supp eRA Partners

Status

[General Search](#)
[Just In Time](#)
[Pending Progress Report](#)
[Recently Awarded](#)
[Recent/Pending eSubmissions](#)
➔ [Closeout](#)
[Change of Institution](#)
[Pending Inclusion Action](#)
[Re-assign Grant](#)

Closeout

Grant Number	Type	Activity Code	Institution Code	Serial Num.	Support Yr.	Suffix
PI Name	Last		First			
Project End Date	From			To		(MM/DD/YYYY)
Closeout Status	All					
Organization Hierarchy	School					
	ALL					
	Division					
ALL						
<div><div>Requires FFR / FSR</div><div>Requires Final Progress Report</div><div>Requires Final Invention Statement</div><div>Requires FRAM</div></div> <div>OR condition. Grants will be returned by this query if any of the associated checked fields have not been received</div>						

Search Clear



eRA Commons Reports

- NIH also provides FFR status via the FFR module
- Selecting Late and Rejected tells grantees what's in their court for action

The screenshot shows the Electronic Research Administration (eRA) interface, a program of the National Institutes of Health. The top navigation bar includes links for Home, Admin, Institution Profile, Personal Profile, Status, RPPR, FFR, xTrain, and xTRACT. The main heading is "Search for Federal Financial Report (FFR)". Below this, the organization is set to "DUKE UNIVERSITY". The search filters include "Activity" (set to "Activity"), "IC" (set to "All"), and "Status" (set to "Late, Rejected", which is circled in red). There are also fields for "Due Date Start" and "Due Date". At the bottom right, there is a link to "Or select a Quick Search".



NSF Late Reports



Welcome Nate Martinez-Wayman | [Logout \(Home\)](#) | [My Profile](#) | [Contact](#) | [Help](#) | [About](#)

[My Desktop](#)

[Prepare & Submit
Proposals](#)

[Awards & Reporting](#)

[Manage Financials](#)

[Administration](#)

- Via Research.gov, grantees can access list of projects with overdue or approaching final progress reports

[Reports Due](#)

[Reports Due < 12 Months](#)

[Report Search](#)

[All Awards](#)

Search for an Award's Project Report (s):

Search by any of the following criteria.

Organization Name:

Award Number:

Award Title:

Award Status: ☐ Active ☐ Closed

PI/Co-PI Last Name:

Managing Division Abbreviation:

The Managing Division Abbreviation can be found in the award letter, in the same section as the award ID.

Report Type: ☒ Required

OR ☐ Interim (IPR)

☐ Annual (APR)

☒ Final (FPR)

☒ Project Outcomes (POR)

Search Type: ☒ Project reports

☒ Due

☐ Under Review

☐ Approved

[Search](#)



Federal Expiring Funds

- Authorized funds expire after 5 federal fiscal years; agencies must return unobligated funds to the US Treasury
- NSF provides emails to institutional officials during the FFY, detailing grants, amounts & dates
- NIH/OFM provides letters to institutions
- Grantees can request data reports (listed on next screen) from their Payment Management System liaison, include your Payee ID, to identify expiring funds on active LOC documents

https://www.dpm.psc.gov/contacts/university_non-profit.aspx



PMS Data Reports

- *Auth Trans* – Excel version of all authorized transactions; matches to PMS Adhoc Inquiry “Authorization Transactions”
- *Document Summary of Auth, Disb & Charged-Adv Amounts* – Excel version of Authorized (awarded), Disbursed (reported on quarterly FCTR), Charged-Advanced (drawn); similar to PMS Adhoc Inquiry “Summary Grant Data” but includes amount drawn