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PURPOSE

This chapter presents procedures to be followed when establishing grants, recording grant budgets and requesting billings. It also describes the grant-related reports and procedures and includes typical examples which may be followed. It is not intended to provide users with an overview of the R★STARS grant accounting capabilities nor is it intended to "stand alone" as a guide to using the Grant Billing Subsystem. The R★STARS Reference Manual, Chapter 13, should be reviewed prior to attempting to utilize this subsystem.

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OVERVIEW

The grant accounting and billing capabilities in R★STARS are provided through the use of the R★STARS Grant/Project Subsystem. This subsystem may be utilized to account for grant costs only or may be utilized for its more complex features including budgeting and billing. The flexibility of this subsystem enables each agency to choose the level of complexity required on a grant-by-grant basis.

In Oregon, grants may be established as one of the following types:

- **Federal Grant-Reimbursable (01)** – reimbursed by the federal government.
- **Federal Grant-Advanced (02)** – advanced by the federal government.
- **State Grant (03)** – received from the state.
- **Other Grant (04)** – such as a local grant, a private grant, or a pass through grant.

The system capabilities associated with each of these grant types are the same. These capabilities include:

- Capturing and reporting financial information – expenditures, encumbrances, budgets, billings and receipts – whether or not the grant is defined within R★STARS as billable.
- Calculating and reporting billing transactions.
- Calculating billings using a variety of methods, including actual costs, standard costs per unit and standard percentage rates and clearance patterns.
- Providing budgetary control and cash control over encumbrances and expenditures charged to a grant.
- Limiting the amount of billing transactions to the billable budgets for each grant phase.
- Associating a grant with a project to reduce the number of elements required to be entered on financial transactions.
- Maintaining general ledgers and reporting trial balances and other financial statements by grant phase.
- Enabling the conversion of the R★STARS expenditure object structure to a unique grantor structure for reporting purposes.
- Providing grant related reports which enable evaluation of financial information at a variety of different levels (transaction levels to summary levels) and a variety of different sort sequences.

This chapter provides the procedures to be followed to define the grant accounting and billing methodologies, enter grant budgets and request billings. Prior to attempting to complete any of the grant related system profiles or entering grant budgets, users must first determine which system capabilities are required for each grant. A thorough review of the R★STARS Reference Manual, Chapter 13 is a prerequisite to this step.

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R★STARS includes a "companion" subsystem called Project Billing Subsystem. Many of the grant accounting and billing features are also available for projects. Therefore, much of the information contained in this chapter is also contained in Chapter 13 of this guide and R★STARS Reference Manual, Chapter 12.

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14-1 MAINTENANCE OF THE 29 – GRANT CONTROL PROFILE

The grant cost accumulation and billing processes are controlled by a series of indicators and data elements stored in the **29 – Grant Control Profile**. This profile includes:

- **Grant Identification** – These elements include the Grant Number, Grant Phase, Description, Grant Type, and look-up elements used to reduce coding on grant related transactions. Start and End Dates are included to open and close the grant for posting financial transactions.
- **Indicators** – This segment defines the levels used to post financial information to the **29** profile and includes other posting and control information.
- **Billing Information** – These elements define if, how and when the grant will be billed, along with a Range and Rate which are required for certain Billing Methods.
- **Recovery Information** – The elements in this segment define the recovery transaction which is printed on the billing detail report and generated. Included are the transaction code and classification elements used to record accounts receivable transactions.

Below is the **29** profile screen which is used for on-line profile maintenance.

```

S029 UC: 10 STATE OF OREGON 12/04/12 09:49 AM
LINK TO: GRANT CONTROL PROFILE PROD
AGENCY: GRANT NO/PH: AG CD 1: GRANT TYPE: (SYS-GEN)
TITLE: GEOGRAPHIC CODE:
SGL POST LEVEL IND: LOC NO: LOC AWARD:
EXP POST LEVEL IND: REV POST LEVEL IND: GRANT CTL TYPE IND:
CASH CTL POST IND: CASH CTL TYPE IND: PROJ/PH: AGY CD 2:
SERV DATE CTL IND: GRANT OBJ IND: CONTRACTOR/SFX:
BILLING METHOD: CYCLE: MMDD: 1 2 3 4
OBJECT RANGE - LOW: HIGH: RATE: LOW: HIGH: RATE:
1 2
3 4
5
COMP GLA TO INCLUDE: CLEARANCE PATTERN:
* * * * * RECOVERY SEGMENT * * * * *
CUR DOC/SFX: TC: INDEX: PCA: AY:
COMP/AGY OBJ: FUND: DESC:
MP CODE: AGY CD - 1: 2: 3:
FINAL POST DATE: RTI: SPEC PURGE IND:
STATE MATCH%: STATE MATCH AMT: STATUS CODE: A
EFF START DATE: 12042012 EFF END DATE: LAST PROC DATE:

F1-HELP F3-DEL F5-NXT F6-D47 F9-INT F10-SAVE F11-SAVE/CLR ENTER-INQ CLEAR-EXIT

```

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14-2 MAINTENANCE OF OTHER GRANT-RELATED PROFILES

The Grant Subsystem utilizes seven other profiles in R★STARS: the **D47 – Grant Number Description Profile**, the **D28 – Grantor Profile**, the **D35 – Grant Type Profile**, the **D40 – Grant Category Profile**, the **92 – Grant/Project Billing Request Profile**, the **D48 – Grant Object Profile**, the **17 – Object Clearance Patterns Profile** and the **18 – Clearance Patterns Profile**. The functions of these profiles are described below. The input coding instructions can be found in Chapters 5 and 6 of this manual.

GRANT NUMBER PROFILE

The **D47** profile establishes the agency defined Grant Number and the associated title for grant reporting purposes. Budgeting by grant phase is determined through this profile.

Example:

SD47 UC: 10	STATE OF OREGON	12/04/12 10:34 AM
LINK TO:	GRANT NUMBER PROFILE	PROD
AGENCY: 599 (MUST BE IN D02 AGENCY PROFILE)		
GRANT NUMBER: B30130 TITLE: HOMELESS CHILDREN		
FISCAL YEAR END: 0630 DESC:		
GRANT PH BUDGET LEVEL IND: Y (Y OR N - CONTROL BUDGETS AT PHASE LEVEL)		
AGY BUD GRANT LEVEL IND: 2 (0=NO GRANT, 1=GRANT, 2=GRANT/PHASE)		
GRANTOR ID: 00000216580000 CATEGORY: 84.196 GRANT TYPE: 01		
ADDRESS 1: FOB-6, ROOM 3083		
ADDRESS 2: 400 MARYLAND AVE SW		
ADDRESS 3:		
CITY: WASHINGTON		STATE: DC ZIP CODE: 20202
AWARD DATE: 07012012	AWARD CONTRACT NO: S196A010038	
STATE APPL ID:	LOC REF NO: J955	
MANAGER: MAGGIE SMITH		
APPLICATION STATUS:	DUE DATE:	FINAL DECISION DATE:
GRANTORS GRANT NO:		
EFF START DATE: 12042012		STATUS CODE: A
EFF END DATE:	LAST PROC DATE: 12042012	
F1-HELP F3-DEL F5-NEXT F6-29 F9-INT F10-SAVE F11-SAVE/CLR ENTER-INQ CLEAR-EXIT		

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GRANTOR PROFILE

The **D28** profile defines the grantor ID and the associated name and address for grant reporting purposes. This is an agency defined profile. Grantors also need to be established in the **51 – Vendor Mail Code Profile** and the **52 – Statewide Vendor Profile** for billable grants.

Example:

SD28 UC: 10	STATE OF OREGON	07/25/08 10:29 AM
LINK TO:	GRANTOR PROFILE	NOTE: N PROD
<p>AGENCY: 599 (MUST BE IN D02 AGENCY PROFILE) ID: 00000216580000</p> <p>NAME: U.S. DEPARTMENT OF EDUCATION</p> <p>ADDRESS 1: 400 MARYLAND AVENUE SW ADDRESS 2: MAIL STOP 6331-ROOM 3100 ADDRESS 3:</p> <p>CITY: WASHINGTON STATE: DC ZIP CODE: 20202</p> <p>EFF START DATE: 08171994 EFF END DATE: Z06 RECORD SUCCESSFULLY RECALLED</p> <p>F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT</p>		
	STATUS CODE: A	LAST PROC DATE: 07051995

GRANT TYPE PROFILE

The **D35** profile is centrally maintained. It defines the Grant type and associates a title, effective start date and effective end date.

Example:

SD35 UC: 10	STATE OF OREGON	07/25/08 10:30 AM
LINK TO:	GRANT TYPE PROFILE	PROD
<p>GRANT TYPE: 01</p> <p>TITLE: FEDERAL GRANT - REIMBURSABLE</p> <p>EFF START DATE: 01271994 EFF END DATE: Z06 RECORD SUCCESSFULLY RECALLED</p> <p>F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT</p>		
	STATUS CODE: A	LAST PROC DATE: 01271994

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GRANT CATEGORY PROFILE

The **D40** profile defines the Grant Category, typically the Catalog of Federal Direct Assistance (CFDA) number, and the associated title used for grant reporting purposes. This profile is centrally maintained.

Example:

```

SD40 UC: 10 STATE OF OREGON 07/25/08 10:31 AM
LINK TO: GRANT CATEGORY PROFILE PROD

GRANT CAT: 84.196 TITLE: EDUCATION FOR HOMELESS CHILDREN AND YOUTH
PREVIOUS GRANT CAT: 84.196

STATUS CODE: A
EFF START DATE: 12311996 EFF END DATE: LAST PROC DATE: 03031997
Z06 RECORD SUCCESSFULLY RECALLED

F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT

```

GRANT/PROJECT BILLING REQUEST PROFILE

The **92** profile provides the ability to generate detailed billing reports (proof lists) for grants and projects and generate billing transactions for projects which are not scheduled to be billed on specific dates (billing schedules are defined in the **29** profile and **27 – Project Control Profile**). One **92** profile record is set up for each agency.

Example:

```

S092 UC: 10 STATE OF OREGON 07/25/08 10:31 AM
LINK TO: GRANT/PROJECT BILLING REQUEST PROD

AGENCY: 599
PERIOD: CM (CM=CUR MONTH, PM=PRIOR MONTH)
BILLING CYCLE 1 TRANS IND: (P=PROOF LIST, G=GENERATE TRANS)
BILLING CYCLE 2 FROM DATE TO DATE TRANS FROM DATE TO DATE TRANS
SELECTION MMDD MMDD IND MMDD MMDD IND
          1 0507 0507 P 4 0428 0428 P
          2 0514 0514 P 5
          3 0421 0421 P 6

GRANTS TO EXCLUDE
  1 2 3 4 5
PROJECTS TO EXCLUDE
  1 2 3 4 5
GRANTS TO INCLUDE
  1 2 3 4 5
PROJECTS TO INCLUDE
  1 2 3 4 5
Z06 RECORD SUCCESSFULLY RECALLED

F1-HELP F3-DELETE F9-INTERUPT F10-SAVE F11-SAVE/CLEAR ENTER-INQUIRE CLEAR-EXIT

```

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GRANT OBJECT PROFILE

The **D48** Profile is an optional profile which provides the ability to report R★STARS expenditure object classifications according to a unique grant object coding scheme. Ranges of Comptroller and Agency Objects are established in the profile that look up a specific grant object. The following example illustrates the look up if only the Comptroller Object is coded in the profile.

R★STARS Comptroller Expenditure Object	Grant Object	Description
0300 to 1105	010000	Revenue
1800 to 1884	020000	Transfers
9001 to 9001	070000	Statistical Data

Example:

```

SD48 UC: 10 STATE OF OREGON 07/25/08 10:35 AM
LINK TO: GRANT OBJECT PROFILE PROD

          AGENCY: 599 (MUST BE IN D02 AGENCY PROFILE)

GRANT NUMBER: 001003 (MUST BE IN D47 GRANT NO PROFILE)

COBJ - FROM: 0300 TO: 1105

AOBJ - FROM: 0301 TO: 1105

GRANT OBJECT: 010000

          TITLE: REVENUE

                                     STATUS CODE: A
EFF START DATE: 08221997 EFF END DATE: LAST PROC DATE: 08221997
Z07 NEXT RECORD SUCCESSFULLY READ

F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT

```

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OBJECT CLEARANCE PATTERNS PROFILE

The **17** profile defines clearance patterns for grant drawdown calculations. It allows patterns to be associated with a grant, Agency Code 1 and/or object within a grant. Agency Code 1 is an optional key to the profile, and is used to make tasks more specific within a certain Grant.

Example:

```

S017 UC: 10 STATE OF OREGON 07/25/08 10:52 AM
LINK TO: OBJECT CLEARANCE PATTERNS PROFILE PROD

AGENCY: 599
GRANT/PHASE: 122050 96
AGENCY CODE 1: 1002
OBJECT RANGE FROM: 7283
OBJECT RANGE TO: 7284
CLEARANCE PATTERN: ES11

STATUS CODE: A
EFF START DATE: 04241995 EFF END DATE: LAST PROC DATE: 12201995
Z26 RECORD NOT FOUND - NEXT RECORD RECALLED

F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT

```

CLEARANCE PATTERNS PROFILE

The **18** profile defines clearance patterns for grant drawdown calculations. It defines the days and percentages for the various clearance patterns used by the State.

Example:

```

S018 UC: 10 STATE OF OREGON 07/25/08 10:53 AM
LINK TO: CLEARANCE PATTERNS PROFILE PROD

CLEARANCE PATTERN: ES11 TITLE: EST CLR-AFS REFUGEE ADMN PMT SYS 93.566

DAYS/%: 01 008 02 018 03 019 04 017 05 010 06 005 07 004 08 002 09 002 10 001
DAYS/%: 22 014
DAYS/%:
DAYS/%:
DAYS/%:
DAYS/%:
DAYS/%:
DAYS/%:
DAYS/%:
DAYS/%:

STATUS CODE: A
EFF START DATE: 09201994 EFF END DATE: LAST PROC DATE: 10241995
Z06 RECORD SUCCESSFULLY RECALLED

F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT

```

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14-3 ENTRY OF GRANT BUDGETS

The use of grant budgets is an optional feature of R★STARS. **29** profile (discussed in Section 14-1) contains indicators which define whether billable and/or expendable budgets will be used.

When grant expendable or billable budgets are utilized, the budgets must be entered as standard financial transactions of R★STARS. These budgets are entered using transaction codes established specifically for this purpose. Billable and expendable budgets require separate transactions.

Once the grant budgets are established, they may be adjusted (increased or decreased) at any time by entering adjustment transactions into the system in the same manner as the original budgets were entered. Normally, decrease adjustments are entered with the Reverse Code set to 'R'.

Many levels of budgets are available for grants. Appropriations, agency budgets, allotments and financial plans are discussed in the R★STARS Reference Manual, Chapter 6, "Budgeting". In addition to these, billable budgets and expendable budgets may also be recorded and controlled. These optional budgets may be recorded at the grant, phase, Agency Code 1 levels, fund and/or object levels. Billable and expendable budgets are discussed below.

BILLABLE BUDGETS

Billable budgets may be entered at the grant, phase level, Agency Code 1 level and/or by Expenditure Object and/or fund within a grant or phase. These budgets serve to limit the amount of the billing transaction calculated. Billable budgets may be used not only to limit the amount of the charge but to limit the types of expenditures billed and or tasks (i.e., Agency Code 1). In this way, only specified expenditure object codes and/or tasks would be billed even though other costs may be charged to the grant.

It should be noted that if the billable budget is selected and no budget is entered, billing transactions will not be reported.

Billable budgets, if utilized, must be entered at the same level as the Expenditure Posting Level Indicator in the **29** profile and must be entered for the appropriate Objects. In addition, billable budgets must be entered with Agency Code 1 if Agency Code 1 is present in the key to the **29** profile. Unless these rules are followed, expenditures will not be billed.

Revenue, expenditure reimbursement and accounts receivable transactions may be limited to the billable budget amount if certain billing methods are chosen. The Grant/Project Billing Subsystem calculates the total cumulative-to-date expenditures, deducts previously billed amounts and compares the result to the billable budget. The billing is then reported for an amount up to the billable budget amount.

Users should monitor billable budgets to ensure that they are reasonable and that the appropriate amount of billing transactions are being generated.

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In summary, a budget must be recorded for each expenditure record established in the Grant Table which is to be billed.

EXPENDABLE BUDGETS

The second type of grant budgets, expendable budgets, may be recorded to limit the amount of expenditures charged to the grant. When expenditure transactions are entered against a grant, the available balance of the expendable budget is compared to the amount of the expenditure.

Like billable budgets, expendable budgets may be recorded at the grant, phase level, or Agency Code 1 level and/or object level within a grant or phase. By entering expendable budgets at a level below grant or phase (i.e., Agency Code 1), the types of expenditures charged against a grant may be controlled. For example, if fatal control is selected for an expendable budget for Services and Supplies, only Services and Supplies expenditures may be charged to the grant.

Expendable budgets must be recorded using the same rules as those described above for billable budgets. That is, expendable budgets must be entered at the same level as the Expenditure Posting Level Indicator in the **29** profile and must be entered for the appropriate objects. In addition, expendable budgets must be entered with Agency Code 1 if Agency Code 1 is present in the key to the **29** profile.

Encumbrance and expenditure transactions are controlled against the grant expendable budget if this option is chosen. If the Grant Control Type Indicator in the **29** profile is set to '1', encumbrance and expenditure transactions which exceed the expendable budget will fall to the Error File. If set to '2', these transactions will post to the financial files (including the Project Financial Table) and a warning message will be issued. If set to '0', these transactions will post to the financial tables and will not be evidenced by an error message.

The Budgetary Transaction Entry screen and coding instructions are covered in Chapter 3.

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14-4 ENTRY OF SUBGRANTEE FINANCIAL ACTIVITY

R★STARS provides the ability to track financial activity for subgrants. To utilize these features, subgrants must be established in the **31 – Subgrantee Control Profile**. The profile screen and form follows this section. In order to track subgrantees it's important to understand that special transactions posting to subgrantees must be entered in R★STARS.

Once the Subgrantee codes are established, the following subgrantee financial information may be recorded in R★STARS:

- Subgrantee contracts
- Disbursements to subgrantees
- Subgrantee expenditures

The entry of subgrantee financial activity is described below. Input coding instructions for financial transactions are included in Chapter 3.

RECORDING SUBGRANTEE CONTRACTS

Subgrantee contracts, also known as allocations, are recorded as a commitment against the grant and as an expendable budget against the subgrant. Data entry input coding instructions are discussed in Chapter 3.

RECORDING DISBURSEMENTS TO SUBGRANTEES

Disbursements to subgrantees may be recorded as advances or reimbursements. In either case they are recorded against both the subgrant (as an advance) and against the grant (as an expenditure).

RECORDING SUBGRANTEE EXPENDITURES

Expenditures made by subgrantees are not expenditures of the governmental entity. Therefore, these amounts are recorded as memorandum entries in R★STARS for reporting purposes only. Subgrantee expenditures are recorded against the subgrant only – not against the grant.

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Example:

```

S031 UC: 10 STATE OF OREGON 06/01/07 04:49 PM
LINK TO: SUBGRANTEE CONTROL PROFILE NOTE: N PROD

AGENCY: 599 SUBGRANTEE ID: 1936002131
NAME: CENTER FOR HUMAN DEVELOPMENT
ADDR 1: CENTER FOR HUMAN DEVELOPM
ADDR 2: COMM SAFTY NET
ADDR 3: 1100 "K" AVE
CITY: LA GRANDE STATE: OR ZIP CD: 97850

CONTACT: STEPHEN STILLS
PHONE NO: 541 404 8888 SUBGRANTEE TYPE: 5 GRANT NO/PH: 1519077 08

COMPLIANCE AUDIT DATE: COMPLIANCE AUDIT STATUS:
REPORT DATES:
LOCAL MATCH %: .00000 LOCAL MATCH AMT: 0000000000.00 AGY CD 1:

EFF START DATE: 08142001 EFF END DATE: STATUS CODE: A
LAST PROC DATE: 08142001
Z06 RECORD SUCCESSFULLY RECALLED

F1-HELP F3-DEL F5-NEXT F9-INT F10-SAVE F11-SAVE/CLEAR ENTER-INQ CLEAR-EXIT

```

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14-5 REPORTING AND INQUIRY

The grant-related reporting capabilities of R★STARS include on-line inquiry, system-generated reports and user-requested reports. These capabilities provide a full range of financial information for both reimbursable and non-reimbursable grants. The following paragraphs describe the on-line inquiries and hard copy reports available.

ON-LINE INQUIRY

The primary source of on-line financial information for grants is available through the Grant Record Inquiry screen. The **66 – Grant Financial Inquiry Screen** provides access to record and financial inquiries to the Grant Table. The key to this table is Agency, Grant, Phase, Agency Code 1, Appropriated Fund or Fund and Comptroller Object or Agency Object and Grant Object. The level of information maintained in this table is defined in the **29** profile indicators. Detail procedures for using the on-line inquiry features are provided in Chapter 3.

Example:

S066	UC: 10	STATE OF OREGON	06/01/07	04:53 PM	
LINK TO:		GRANT FINANCIAL INQUIRY		PROD	
AGENCY: 599	GRANT NO/PH: 151907 08	AGY CD-1:			
FUND:	COMP AGY/OBJ: 1162	GRANT OBJECT:			
TITLE: C.A.P.T.A.					
GRANT CAT: 93.590 COMMUNITY BASED CHILD ABUSE PREVENTION GRANTS					
GRANTOR ID: 935900					
GRANTOR NAME: CHILD ABUSE PREV & TREATMENT					
GRANT TYPE: 01					
INQ TYPE: MC (MA, YA, MY, YY, MC, YC) DETAIL/SUMMARY: D					
INQ YEAR: 07 INQ MONTH: 12 EXPEND BUDGET BALANCE: .00					
BT	TITLE	AMOUNT	BT	TITLE	AMOUNT
12	CASH REVEN	201,442.00			
F1-HELP F2-DOC INQ F5-NEXT F9-INTERRUPT ENTER-INQUIRE CLEAR-EXIT					

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The **67 – Grant Transaction Inquiry Screen** provides an on-line mechanism for viewing grant related financial information at the detail level by Balance Type. This screen accesses data in the Accounting Event or Inactive Accounting Event Tables by Agency, Grant, Phase, Agency Code 1, Balance Type and Record Type. Another discussion of this screen can be found in Chapter 3.

Example:

S067 UC: 10	STATE OF OREGON	06/01/07 04:58 PM			
LINK TO:	GRANT TRANSACTION INQUIRY	PROD			
AGY: 599	GRANT NO: 151907	C.A.P.T.A.			
GRANT PH:		AGY CD-1:			
EFF DATE RANGE:	TO 060107	BALANCE TYPE: 12			
FUND:		COMP/AGY OBJ:			
		REC TYPE: A			
		GRANT OBJECT:			
CUR DOC/SFX/CLASS	VEND NO/MC	VEND NAME	TC	TRANS AMT	R
REF DOC/SFX/CLASS	INDEX PCA	AY FUND COBJ AOBJ GOBJ	PROJ/PH	AGY CD-2	
NO RECORD FOUND					
F1-HELP	F8-NEXT PAGE	F9-INTERRUPT	ENTER-INQUIRE	CLEAR-EXIT	

SYSTEM-GENERATED REPORTS

The DAFR4041 Grant Billings Detail Report is generated automatically each time the Grant Subsystem is run, both during the month for grants scheduled for non-month-end billing and at month-end. (For non-month-end billings, this report is generated only when requested through the **92** profile.) This report displays the recovery transactions calculated by the system.

The DAFR4061 Letter of Credit Transaction Detail Control Report is generated automatically each time a Grant Subsystem is run. This report displays the accounts receivable detail generated by Grant Billing methods 7 & 8.

The DAFR4062 Letter of Credit Transaction Generation Control Report is generated automatically each time a Grant Subsystem is run. This report displays the total CMIA transactions read and IN transactions written.

The DAFR4063 Letter of Credit Transaction Generation Control Report is generated automatically each time a Grant Subsystem is run. This report displays the total CMIA transactions read, IN transactions written, agencies processed, and IT transactions read.

USER-REQUESTABLE PROFILE REPORTS

Except for the Grant/Project Billings Detail Report, all grant related reports are user requestable. Agencies must specifically request these reports by following the procedures outlined in Chapter 11.

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14-6 GRANT EXAMPLES

This section presents a number of examples which illustrate varying levels of complexity in using the Grant Subsystem. Completed forms are included to display profile entries. A brief description of the examples follows.

EXAMPLE 1

Agency 101 will receive a federal grant to fund community training programs. All costs for these programs will be incurred internally; no contractors will be involved. The agency will not require billing detail reports because the grant will be received in equal annual installments. The report of grant revenues and expenditures will be used to support the program costs. No budgets will be recorded.

The **D47** and **29** profile screens shown below are used to establish the grant. This is the simplest use of the Grant Billing Subsystem.

Example 1a

SD47 UC: 10	STATE OF OREGON	12/04/12 10:34 AM
LINK TO:	GRANT NUMBER PROFILE	PROD
<p>AGENCY: 101 (MUST BE IN D02 AGENCY PROFILE) GRANT NUMBER: 123456 TITLE: COMMUNITY TRAINING PROGRAMS FISCAL YEAR END: 0930 DESC: TRAINING WITHIN THE COMMUNITY GRANT PH BUDGET LEVEL IND: Y (Y OR N - CONTROL BUDGETS AT PHASE LEVEL) AGY BUD GRANT LEVEL IND: 0 (0=NO GRANT, 1=GRANT, 2=GRANT/PHASE) GRANTOR ID: 11112222333344 CATEGORY: 43.002 GRANT TYPE: 01 ADDRESS 1: 1234 ACCOUNTING WAY ADDRESS 2: SUITE 1000 ADDRESS 3: CITY: WASHINGTON STATE: DC ZIP CODE: 20036 1000 AWARD DATE: 07012012 AWARD CONTRACT NO: 12341234123412341234 STATE APPL ID: LOC REF NO: J955 MANAGER: MAGGIE SMITH APPLICATION STATUS: DUE DATE: FINAL DECISION DATE: GRANTORS GRANT NO: EFF START DATE: 12042012 EFF END DATE: STATUS CODE: A LAST PROC DATE: 12042012</p>		
F1-HELP F3-DEL F5-NEXT F6-29 F9-INT F10-SAVE F11-SAVE/CLR ENTER-INQ CLEAR-EXIT		

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Example 1b

```

SO29 UC: 10 STATE OF OREGON 12/04/12 09:49 AM
LINK TO: GRANT CONTROL PROFILE PROD
AGENCY: 101 GRANT NO/PH: 123456 13 AG CD 1: GRANT TYPE: 01 (SYS-GEN)
TITLE: COMMUNITY TRAINING - 13 GEOGRAPHIC CODE:
SGL POST LEVEL IND: 2 LOC NO: LOC AWARD:
EXP POST LEVEL IND: 3 REV POST LEVEL IND: 1 GRANT CTL TYPE IND: 1
CASH CTL POST IND: N CASH CTL TYPE IND: 0 PROJ/PH: AGY CD 2:
SERV DATE CTL IND: N GRANT OBJ IND: C CONTRACTOR/SFX:
BILLING METHOD: 0 CYCLE: 0 MMDD: 1 2 3 4
OBJECT RANGE - LOW: HIGH: RATE: LOW: HIGH: RATE:
1 00000.0000 2 00000.0000
3 00000.0000 4 00000.0000
5 CLEARANCE PATTERN:
COMP GLA TO INCLUDE:
* * * * * RECOVERY SEGMENT * * * * *
CUR DOC/SFX: TC: INDEX: PCA: AY:
COMP/AGY OBJ: FUND: DESC:
MP CODE: AGY CD - 1: 2: 3:
FINAL POST DATE: RTI: SPEC PURGE IND:
STATE MATCH%: .90000 STATE MATCH AMT: 00000800000.00 STATUS CODE: A
EFF START DATE: 12042012 EFF END DATE: LAST PROC DATE: 12042012

F1-HELP F3-DEL F5-NXT F6-D47 F9-INT F10-SAVE F11-SAVE/CLR ENTER-INQ CLEAR-EXIT

```

EXAMPLE 2

Agency 101 will receive state reimbursement for 90% of its actual costs in implementing a new automated system for tracking welfare payments. The Federal Government will fund the remaining 10%. There is a cap on the grant for Fiscal Year 2008 in the amount of \$720,000. Therefore, total expenditures may not exceed \$800,000 (90% state, 10% local).

To support preparing claims to the Federal Government, Agency 101 has completed the **D47, 29** and **92** profiles as displayed below. Note that the grant is billable each week as indicated in the **29** profile and that the **92** profile has been set up to request the billing detail reports for the first week.

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Example 2a

```

SD47 UC: 10 STATE OF OREGON 12/04/12 10:34 AM
LINK TO: GRANT NUMBER PROFILE PROD

AGENCY: 101 (MUST BE IN D02 AGENCY PROFILE)
GRANT NUMBER: 225100 TITLE: COMMUNITY TRAINING PROGRAMS
FISCAL YEAR END: 0930 DESC: TRAINING WITHIN THE COMMUNITY
GRANT PH BUDGET LEVEL IND: Y (Y OR N - CONTROL BUDGETS AT PHASE LEVEL)
AGY BUD GRANT LEVEL IND: 0 (0=NO GRANT, 1=GRANT, 2=GRANT/PHASE)
GRANTOR ID: 10000 CATEGORY: 16.550 GRANT TYPE: 01
ADDRESS 1: 1234 ACCOUNTING WAY
ADDRESS 2: SUITE 1000
ADDRESS 3:
CITY: WASHINGTON STATE: DC ZIP CODE: 20032 1000
AWARD DATE: 08012012 AWARD CONTRACT NO: 10000
STATE APPL ID: LOC REF NO: J955
MANAGER: FREDDY KRUEGER
APPLICATION STATUS: 1 DUE DATE: 04082013 FINAL DECISION DATE: 04152013
GRANTORS GRANT NO:

EFF START DATE: 12042012 EFF END DATE: STATUS CODE: A
LAST PROC DATE: 12042012

F1-HELP F3-DEL F5-NEXT F6-29 F9-INT F10-SAVE F11-SAVE/CLR ENTER-INQ CLEAR-EXIT

```

Example 2b

```

S029 UC: 10 STATE OF OREGON 12/04/12 09:49 AM
LINK TO: GRANT CONTROL PROFILE PROD
AGENCY: 101 GRANT NO/PH: 225100 13 AG CD 1: GRANT TYPE: 01 (SYS-GEN)
TITLE: AUTOMATED SYSTEM DEVELOPMENT GEOGRAPHIC CODE:
SGL POST LEVEL IND: 0 LOC NO: LOC AWARD:
EXP POST LEVEL IND: 0 REV POST LEVEL IND: 0 GRANT CTL TYPE IND: 1
CASH CTL POST IND: N CASH CTL TYPE IND: 0 PROJ/PH: AGY CD 2:
SERV DATE CTL IND: N GRANT OBJ IND: CONTRACTOR/SFX:
BILLING METHOD: 0 CYCLE: 0 MMDD: 1 07 2 14 3 21 4 28
OBJECT RANGE - LOW: HIGH: RATE: LOW: HIGH: RATE:
1 00000.0000 2 00000.0000
3 00000.0000 4 00000.0000
5 00000.0000 CLEARANCE PATTERN:

COMP GLA TO INCLUDE:
* * * * * RECOVERY SEGMENT * * * * *
CUR DOC/SFX: TC: INDEX: PCA: AY:
COMP/AGY OBJ: FUND: DESC:
MP CODE: AGY CD - 1: 2: 3:
FINAL POST DATE: RTI: SPEC PURGE IND:
STATE MATCH%: .90000 STATE MATCH AMT: 00000800000.00 STATUS CODE: A
EFF START DATE: 12042012 EFF END DATE: LAST PROC DATE: 12042012

F1-HELP F3-DEL F5-NXT F6-D47 F9-INT F10-SAVE F11-SAVE/CLR ENTER-INQ CLEAR-EXIT

```

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Example 2c

S092 UC: 10	STATE OF OREGON				07/25/08 12:22 PM		
LINK TO:	GRANT/PROJECT BILLING REQUEST				PROD		
AGENCY: 101							
PERIOD: CM (CM=CUR MONTH, PM=PRIOR MONTH)							
BILLING CYCLE SELECTION	FROM DATE MMDD	TO DATE MMDD	TRANS IND	FROM DATE MMDD	TO DATE MMDD	TRANS IND	
1	0701	0731	G	4			
2				5			
3				6			
GRANTS TO EXCLUDE							
1	2	3		4	5		
PROJECTS TO EXCLUDE							
1	2	3		4	5		
GRANTS TO INCLUDE							
1 225100 08	2	3		4	5		
PROJECTS TO INCLUDE							
1	2	3		4	5		
F1-HELP F3-DELETE F9-INTERUPT F10-SAVE F11-SAVE/CLEAR ENTER-INQUIRE CLEAR-EXIT							

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14-7 CASH MANAGEMENT IMPROVEMENT ACT (CMIA) PROCESSING

The 1990 Cash Management Improvement Act (CMIA) is related to the methods used by the Treasury Department to disburse federal assistance funds to the state. CMIA typically affects final approved expenditures charged to a grant which has an automatic billing method and which is subject to CMIA. It may also involve other costs, such as indirect allocations. The CMIA process determines the CMIA due date, which is the date the State Treasurer can draw down funds without incurring interest liabilities, and sets up a receivable for the money owed to the State by the Federal Government. The due date is based on clearance patterns defined in the **18** profile . If the transaction is a direct deposit or wire transfer, the CMIA due date is equal to the payment due date plus one.

More specifically, after the nightly payment processing cycle, but before the Input, Edit & Update (IEU) process, the IT file is accessed to determine which records are final approved cash expenditures or other general ledger accounts charged to a grant. It further identifies which of those grant expenditures have billing methods set to 'automatic' (7) or (8) on the **29** profile.

Billing Method (7) bills the total expenditures while Billing Method (8) bills total expenditures times an indirect rate that has been set on the **29** profile. With Billing Method (8), certain object ranges can be excluded.

The system may look up the Clearance Pattern on the **29** profile. The clearance pattern, if entered, must be in the **18** profile . The Clearance Patterns are used to determine how the Grant drawdown will be performed (e.g.; %), and what date . The CMIA Due Date then becomes the Estimated Days Clearance plus the Payment Due Date.

The Clearance Pattern can be entered on the **29** profile or on the **17** profile . If a Clearance Pattern is not found on the **29** profile, the system will look up the Grant Number, Phase, Agency Code 1, and Object Range from the billable transaction. If not found, the system will make its search less specific until it can find a match. The Agency Code 1 Indicator is located on the **29** profile and **17** profile , and is used to make tasks more specific within a certain grant number and phase. With the **17** profile , Clearance Patterns can be entered for a series of object ranges for a given Grant. If a Clearance Pattern is entered on the **17** profile , it must exist on the **18** profile . With the **18** profile , a Clearance Pattern can be entered using Estimated Days Clearance, Average Days Clearance or any other pattern type supported by the days and percentage concept. If Clearance Patterns are entered for a Grant on the **17** profile the Clearance Pattern field should not be entered for this grant in the **29** profile. If the transaction is a direct deposit or wire transfer, the CMIA Due Date is equal to the Payment Due Date.

An accounts receivable transaction, using the CMIA Due Date, is generated to indicate an amount due from the Federal Government using the coding block values found in the Recovery Segment of the **29** profile. On the **29** profile the CMIA accounts receivable transaction code must be specified.

The system may generate a cash receipt transaction for the agency. The transaction code on the accounts receivable transaction is used to look up the Generate Transaction Code and Document

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Type from the **28A and 28B Transaction Code Profiles**. The transactions are then posted in the Batch IEU cycle the following night.

DAFR7870 Letter of Credit Drawdown can be generated that lists the outstanding accounts receivable documents for which receipts have not been posted. This report will be used to review past due receivables and to prepare Letter Of Credit (LOC) requests. On the **29** profile, the LOC Number is entered. The LOC Number is an informational data field. It is used for reporting purposes only.