UTSA.
The University of Texas at San Antonio™

NEW Automated Budget Transfer
Workflow Training

Budget & Financial Planning
Grants, Contracts & Financial Services
July 2020

Presenters

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Overview

1. Change in Process (Current vs. New)

2. Budget Transfer Fund Rules

3. Fund Matrix (new resource)

4. Budget Transfer Worksheet (new tool)

5. Routing for Approval

6. Tracking Approvals through the System

7. Inserting Additional Approvers or Reviewers

8. Adding Attachments

9. Review and Approving

10. Resources and Additional Items to Remember

Go Live!!
Monday
August 3, 2020

Current Process

- Cost Centers
    - Budget transfers entered in PeopleSoft (saved only)
    - Excel Spreadsheet
    - Routing emails with approvals

- Projects
    - Budget transfer request submitted to Post Award for approval
    - Request routed to GCFS for processing in PeopleSoft

- Cost Share
    - Cost share form submitted to GCFS with new award setup
    - GCFS creates Cost Share Cost Center and enters transfer into PeopleSoft

Benefits of Implementing New Process

✓ Automated workflow for review/ approval process !!!!

✓ Verification of allowable transfers between funds

✓ Confirmation of sufficient budget prior to routing transfer

✓ Faster, streamlined process with fewer touchpoints

✓ Ability to track status through approval queue

✓ Automated email notifications

New Automated Process

Step	Description	Cost Center	Project	Cost Share
1	Budget transfer entered in PeopleSoft	Yes	Yes	Yes
2	Saved and routed for department approval	Yes	Yes	Yes
3	Routed for PI approval	No	Yes	Yes
4	Routed for Post Award approval	No	Yes	Yes
5	Routed for GCFS approval	No	Yes	Yes
6	Routed for GCFS posting	No	Yes	No
7	Routed for Budget Office approval and posting	Yes	No	Yes

New Process – Cost Centers

OPE Ledger

- Department Initiator (Level 1) prepares and submits budget transfer

  - Process a Budget Pre-Check before submitting for approval

  - Watch for Error due to Insufficient Funds

  - Watch for Security Error due to fund rules

- College / VP Financial Lead (Level 2) reviews and approves budget transfer

  - Level 2 approver can also submit transfer on behalf of Level 1 initiator

Note: Department Approval is only required on "From" side of transfers

New Process – Cost Centers cont.

OPE Ledger

- Additional Reviewer/ Approver can be inserted by College/ VP Financial Lead

  - Reviewer is not required to take action on the transfer
  - Approver is required to review/approve as part of official routing

- Depending on the funds in the transfer, it may route to Accounting or GCFS

- GCFS will approve to/from transfers involving Cost Share

- Budget transfers with cost centers end in the Budget Office for final review and posting

- Automated email notification when budget transfer is posted

New Process – Projects

GRT_CHILD1 Ledger

- Initiator can be departmental user or Office of Post Award Administration (OPAA)

  - Prepares budget transfer

  - Processes a Budget Pre-Check before submitting for approval

  - Watch for Error due to Insufficient Funds

  - Watch for Security Error due to fund rules

  - Submits for approval

- Approval by:

  - Project Principal Investigator (PI)

  - OPAA

  - Grants Contracts Financial Services (GCFS)

Budget Transfer Journal Requirements

Projects (GRT_CHILD1 Ledger)

- Funds 5100, 5200, 5300, 5400

- You can transfer amounts only between budgets within a single Commitment Control ledger group and business unit combination.

- Only transfers within the same Project and between the same Fund Code are allowed.

- If the Project's budget control option is set to *control,* then a transfer cannot reduce the budget amount below the amount that has already been expended and encumbered on the Project.

- At a minimum, Budget Transfer Worksheet must be attached to journal. Specific situations may require additional documentation.

- Transfers must be entered at the same level as original budget (i.e. G5010 or G4010).

Budget Transfer Journal Requirements, cont.
Cost Share Cost Centers

- The Speedtype cannot be used for Budget transfers involving Cost Share Cost Centers. Each Chartfield needs to be entered.

- The funding Cost Center and Cost Share Cost Center must have the same Fund Code

Budget Transfer Fund Rules

- Transfers between the same fund are allowed
  - (i.e. Fund 2100 to Fund 2100, Fund 5200 to Fund 5200, etc.)

- Some funds have additional requirements -

  - Fund 2115 E&G Special Items
    - Only allowed for "like" programs
    - Examples include SALSI, SBDC

  - Fund 2120 E&G State Pass Thru
    - Only allowed when cost centers are related to same award
    - Department approver should confirm; add to approver comments

Budget Transfer Fund Rules

- Some funds have additional requirements (cont.)

    - Fund 2150 E&G Local Funds
        - Only allowed when cost centers are related to same award
        - Department approver should confirm; add to approver comments

    - Fund 3100 Organized Ed Activity Designated Funds
        - Only allowed for a "like" purpose
        - Examples include Official Occasions, Fees, F&A

Budget Transfer Fund Rules

- Other Fund Rules

  - Transfers between Fund 2100 and Fund 3105 are Allowed for Level 2 Approvers Only; Level 1 can initiate the transfer but Level 2 must submit on behalf of Level 1

  - Auxiliary Funds have more flexibility
    - Funds 4100, 4200, 4300, 4400, 4500, 4600, 4700, 4800
    - Transfers between Auxiliary Funds are allowed
    - Transfers between Fund 3100 and Auxiliary Funds are allowed, when appropriate

Two Levels of Department Users

Level 1 Initiators (OPE/Cost Share and Projects)

- Those with initiator role in PeopleSoft
- Limited access for budget transfer submittals
- Based on fund rules, allowed to submit the majority of budget transfers

Level 2 Approvers (OPE only)

- Broader access than a Level 1 initiator
- Department Approvers are set up as Level 2 approvers
- Certain cross-fund transfers require submittal by a department Level 2 approver
- When Level 2 approver submits transfer on behalf of Level 1 initiator, department approval is automatic

Example of Level 2 Submittal

A department wants to make a transfer from fund 2100 to fund 3105, which requires submittal by Level 2 approver.

- *Processing Steps:*

  1) Transfer is created in PeopleSoft by Level 1 initiator

  2) Error Message stops the transfer from being routed

  3) Level 1 initiator contacts the Level 2 approver in their college/ VP area to review and submit the transfer

  4) Level 2 approver reviews and then submits the budget transfer on behalf of the Level 1 initiator

  5) Automatic approval, since submitted by Level 2 approver

New Tool – Fund Matrix

How to Read the Matrix:

- The vertical list of funds reflect the "From" side of the budget transfer

- The horizontal list of funds reflect the "To" side of the budget transfer

- Find the intersection of the From and To funds to identify the rule

- The color provides the rule –

   - Gray = Transfer between funds is disallowed

   - Green = Transfer between funds is allowed

   - Pink = Transfer between funds is allowed, but can only be submitted by Level 2 Approver

Fund Matrix *(on Budget Office Website)*

Fund Type		Fund	TRANSFER "TO" FUND																							
			2100	2110	2115	2120	2150	3100	3105	3115	3200	4100	4200	4300	4400	4500	4600	4700	4800	5100	5200	5300	5400	5500	5515	5600	5800
E&G		2100	Level 1						Level 2																		
E&G		2110		Level 1																							
E&G		2115			Level 1																						
E&G		2120				Level 1																					
E&G		2150					Level 1																				
Designated Funds		3100						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1					Level 2	Level 2	Level 2	Level 2
Designated Funds		3105	Level 2						Level 1																		
Designated Funds		3115								Level 1																	
Designated Service Ctrs		3200									Level 1																
Auxiliary Funds		4100						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								
Auxiliary Funds		4200						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1						Level 2		
Auxiliary Funds		4300						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								
Auxiliary Funds		4400						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								
Auxiliary Funds		4500						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								
Auxiliary Funds		4600						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								
Auxiliary Funds		4700						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								
Auxiliary Funds		4800						Level 1				Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1	Level 1								

TRANSFER "FROM" FUND

Fund Matrix *(continued)*

Fund Type		Fund	2100	2110	2115	2120	2150	3100	3105	3115	3200	4100	4200	4300	4400	4500	4600	4700	4800	5100	5200	5300	5400	5500	5515	5600	5800
																									TRANSFER "TO" FUND		
Grants & Contracts		5100																		Level 1							
Grants & Contracts		5200																			Level 1						
Grants & Contracts		5300																				Level 1					
Grants & Contracts		5400																					Level 1				
Restricted Gift Funds		5500						Level 2																Level 1	Level 2	Level 2	Level 2
Restricted Gift Funds		5515																						Level 2	Level 1	Level 2	Level 2
Restricted Gift Funds		5600																						Level 2	Level 2	Level 1	Level 2
Restricted Other		5800																						Level 2	Level 2	Level 2	Level 1

Note: The "TRANSFER 'FROM' FUND" label appears vertically along the left side of the Fund column.
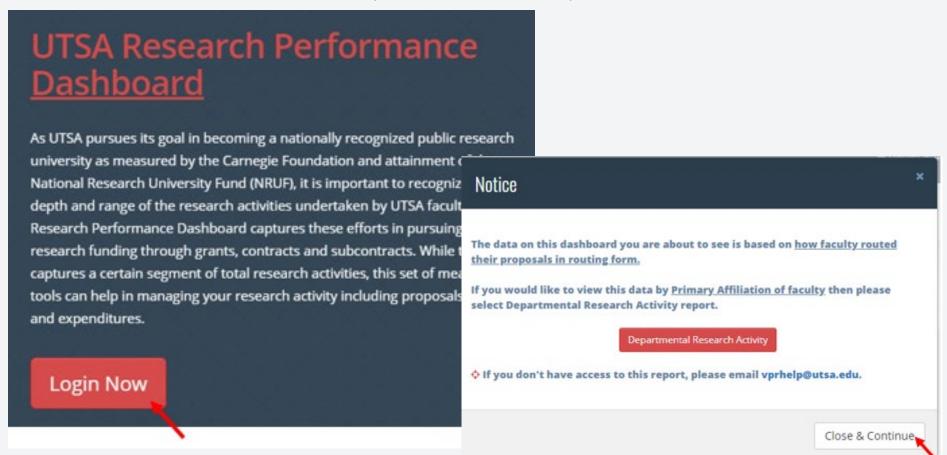
New Tool – Budget Transfer Worksheet

Purpose: To ensure that the funds being transferred correctly account for F&A

- Step 1: Determine the appropriate F&A Rate and F&A Base for the Project.

- Step 2: Complete the Budget Transfer Worksheet.

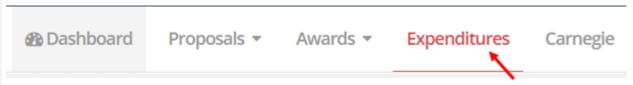- Step 3: Attach completed worksheet to Budget Journal.

Budget Transfer Worksheet
Step 1: Determine F&A Rate and Base.

https://comal.it.utsa.edu/dashboard/

(VPN connection required)

Budget Transfer Worksheet
Step 1: Determine F&A Rate and Base.

First, click on "Expenditures" link:

Dashboard	Proposals ▾	Awards ▾	Expenditures	Carnegie

Second, click on "F&A Look-up Tool" link at the bottom of the Expenditures Page:

College level Expenditures	Center & Institutes (F&A Eligible Ones)	F&A Look-up Tool	Pr

Third, search for Project ID:

Search ProjectID: All

1000002301

🔍 1000002301

⬛ 1000002301

Finally, note F&A Base and F&A Rate:

Project PI name	ProjectID	Funded FA Rate Effective Date	Funded FA Rate	Funded FA Base	Project Start Date	Project End Date	Award Description
Xie,Hongjie	1000002301	9/1/2017	47.00	PSPTR	4/30/2018	4/29/2021	Impacts of cloud-lead coupling on the surface energy budget of the Arctic sea ice-atmosphere system - Subaward 10046284-TX; PO#U000135958

Budget Transfer Worksheet (Step 2)
Step 2: Complete Worksheet

http://research.utsa.edu/research-funding/financial-management-tools-for-sponsored-projects/

Financial Management Tools for Sponsored Projects

Grants Budget and Expense Account Crosswalk

F&A Rate & Base Look Up

Budget Transfers

Budget Transfers

The Budget Transfer Worksheet (Job Aid) is a tool used for:

- entering amounts to be re-budgeted on sponsored projects and to document the justification for re-budgeting
- defining what budget accounts are excluded from F&A (indirect costs) depending on the F&A base type
- it aides with ensuring proper calculations or adjustments when the transfer of funds impacts F&A.

Budget Transfer Worksheet
Step 2: Complete Worksheet

Header:

Request Date:	7/18/2020	Completed by:	River Song
Project ID:	1000002301		
F&A Base:	PSPTR	Extension:	x 1234
F&A Rate:	47.00%		

Budget Lines:

		Incorrect!	Correct!
G4010/G5010	Salary	$ 6	$ 4
G4020/G5030	Fringe Benefits	$ -	$ -
G4030/G5040	Alterations and Renovations	$ -	$ -
G4040/G5050	Equipment Fabrication	$ -	$ -
G4050/G5060	Equipment Capital (Note: Minimum $5,000 per item)	$ -	$ -
G4060/G5070	Curation (Center for Archaeological Research Only)	$ -	$ -
G4070/G5080	Consultant Services	$ -	$ -
G4080/G5090	Office Services (Center for Archaeological Research Only)	$ -	$ -
G4081/G5100	Administrative Expense	$ -	$ -
G4082/G5105	STEM Tuition	$ -	$ -
G4090/G5110	Other Direct Costs	$ -	$ -
G5115	Mileage Expense (Center for Archaeological Research Only)	$ -	$ -
G5116	Workshop-Seminar Costs	$ -	$ -
G4100/G5120	Rent and Off Site Leases	$ -	$ -
G4105/G5125	Equipment Rental	$ -	$ -
G4110/G5130	Domestic Travel	$ -	$ -
G4120/G5140	Foreign Travel	$ -	$ -
G4130/G5150	Participant Expenses	$ -	$ -
G4140/G5160	Scholarships & Fellowships	$ (6)	$ (6)
G5155	Participant Travel	$ -	$ -
G4150/G5170	Tuition & Fees	$ -	$ -
G4160/G5180	Subaward < $25k	$ -	$ -
G4170/G5190	Subaward > $25K	$ -	$ -
G4180/G5200	F&A	$ 3	$ 2
Net Budget Transfer (should equal to zero):		**$ 3**	**$ -**

Grants Contracts Financial Services

Budget Transfer Worksheet
Step 2: Complete Worksheet

Justification:

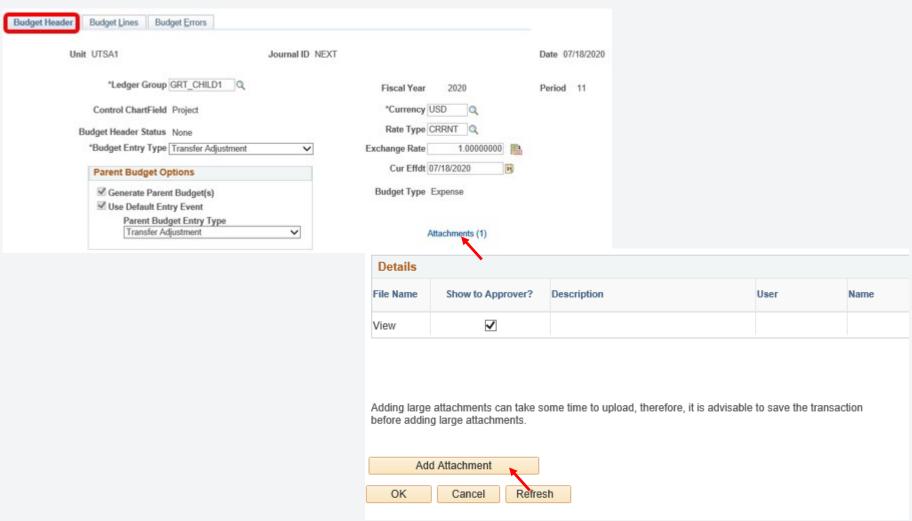**Is this re-budgeting request due to a change in scope?** <u>No</u>

Justification:

To reallocate funds per the PI's request. Sponsor allows re-budgeting within 25% of original budget as long as there is no change in scope.

Note: If the budget transfer is related to a change in the scope of the project, you will need to attach documentation verifying that prior approval of the budget transfer has been granted by the sponsor.

Budget Transfer Worksheet

Step 3: Attach worksheet to budget journal

Funds Not Included in New Automated Process

- Excludes the following funds
  - Funds 7xxx
  - Funds 9xxx

- Should follow current process
  - Create and save transfer in PeopleSoft
  - Route email approval to Budget Office
  - Budget Office will review, approve and post

- Possible future enhancement to process

Routing for Approval

- All Funds except for 5100 – 5400

  - New Electronic Approval Routing

  - College/VP Financial Leads set up as Department Approvers

  - Transfers route for department approval prior to routing to the Budget Office for approval and posting

  - Cost share transfers will also route to PIs, Post Award, and GCFS

  - Funds 5500-5800 will also route to Accounting Office
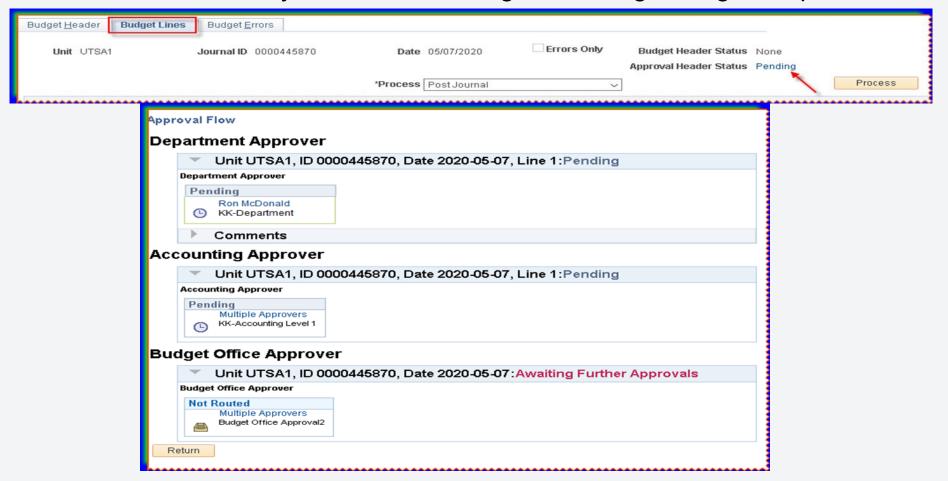
- Funds 5100 – 5400 route to PIs, Post Award, and GCFS
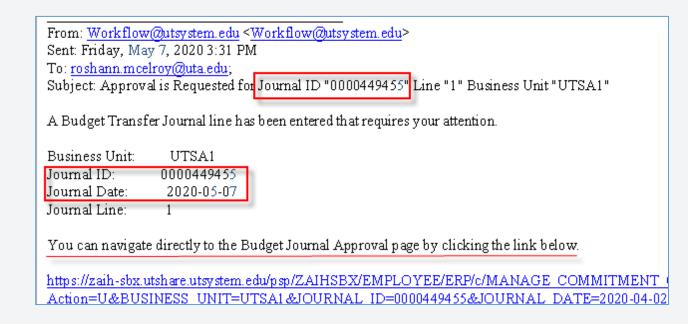
Budget Pre-Check and Submit Journal

Approval Queue (OPE)

- New Functionality allows for tracking the routing through PeopleSoft

Automated Email Notifications

- To approvers when they have a pending transfer *(see example)*
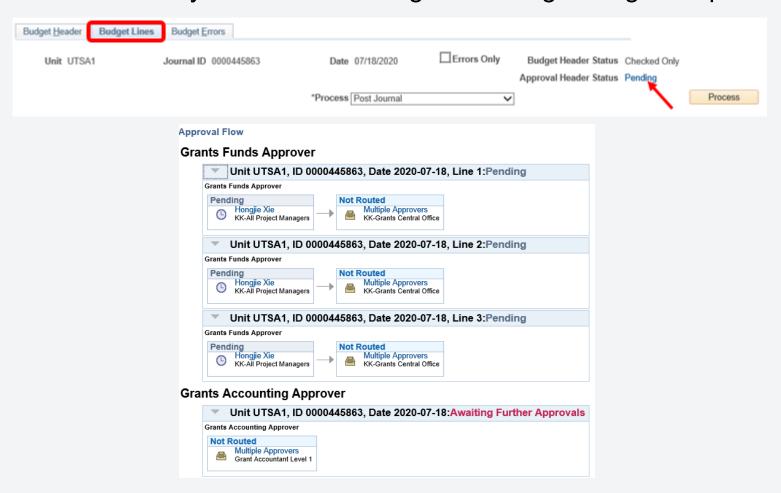
- To initiators when the budget transfer has posted

From: Workflow@utsystem.edu <Workflow@utsystem.edu>
Sent: Friday, May 7, 2020 3:31 PM
To: roshann.mcelroy@uta.edu;
Subject: Approval is Requested for Journal ID "0000449455" Line "1" Business Unit "UTSA1"

A Budget Transfer Journal line has been entered that requires your attention.

Business Unit: UTSA1
Journal ID: 0000449455
Journal Date: 2020-05-07
Journal Line: 1

You can navigate directly to the Budget Journal Approval page by clicking the link below.

https://zaih-sbx.utshare.utsystem.edu/psp/ZAIHSBX/EMPLOYEE/ERP/c/MANAGE_COMMITMENT_
Action=U&BUSINESS_UNIT=UTSA1&JOURNAL_ID=0000449455&JOURNAL_DATE=2020-04-02

Approver has three ways to access pending budget transfers:

1. Click on link in the automated email to go directly to transfer
2. In PeopleSoft, navigate to Employee Self Service > Financial Approvals tile to view a list of all pending approvals
3. In PeopleSoft, click on Notifications Flag to view all pending approvals
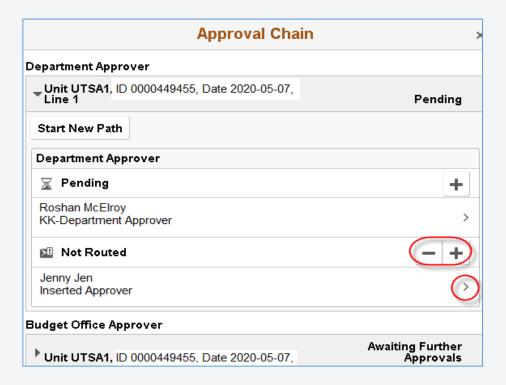
Approval Queue (Grants)

New Functionality allows for tracking the routing through PeopleSoft

Adding Additional Approvers or Reviewers

New Functionality allows for inserting additional approvers or reviewers on the Approval Chain screen
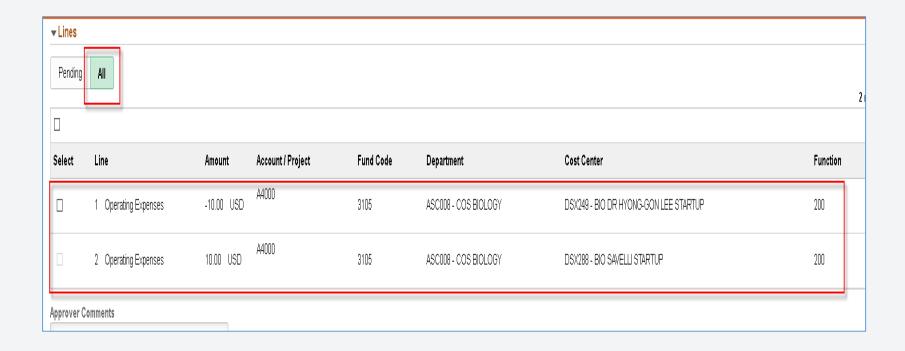
Adding Attachments

- Additional documentation can be added to transfer

- Sponsored projects budget transfer worksheet is required

- Cost share commitment form is required (if applicable)

Approvals / Review

- Required approval on the reduction line of a transfer ("From" side)
- Review full budget transfer journal by clicking on the tab labeled "All"
- If click the "Pending" tab, will only show the line that requires approval

Approvals / Review cont.

Approval Options (All require comments, except Approval)

1. Approve

2. Deny

3. Pushback (return)

4. Hold

Training Materials / Resources

- PowerPoint Presentation

- Training Materials for Cost Centers:

    - Step-by-Step User Guide
      https://www.utsa.edu/financialaffairs/budget/training.cfm

    - Fund Matrix Tool
      https://www.utsa.edu/financialaffairs/budget/training.cfm

- Training Materials for Projects:

    - Budget Transfer Job Aid and Worksheet:
      http://research.utsa.edu/research-funding/financial-management-tools-for-sponsored-projects/

    - UTSA Research Performance Dashboard:
      https://comal.it.utsa.edu/dashboard/

Go Live!!
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Wrap Up

- Schedule Work Sessions
  - Communications coming soon for dates/times
  - Bring transfers to get assistance
  - Bring questions

- Contact Information
  - Budget@utsa.edu
  - gcfs@utsa.edu

utsa.edu