NEW Automated Budget Transfer Workflow Training

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

Budget and Financial Planning

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

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<th>Description</th>
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<th>Project</th>
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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)

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Budget and Financial Planning
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<tr>
<td>Restricted Gift Funds</td>
<td>5515</td>
<td>Level 2</td>
<td>Level 1</td>
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<tr>
<td>Restricted Gift Funds</td>
<td>5600</td>
<td>Level 2</td>
<td>Level 1</td>
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<tr>
<td>Restricted Other</td>
<td>5800</td>
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</tbody>
</table>
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:

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

Third, search for Project ID:

Finally, note F&A Base and F&A Rate:
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 aids with ensuring proper calculations or adjustments when the transfer of funds impacts F&A.
# Budget Transfer Worksheet

**Step 2: Complete Worksheet**

<table>
<thead>
<tr>
<th>Header:</th>
<th>Incorrect!</th>
<th>Correct!</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request Date: 7/18/2020</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project ID: 1000002301</td>
<td></td>
<td></td>
</tr>
<tr>
<td>F&amp;A Base: PSPTR</td>
<td></td>
<td></td>
</tr>
<tr>
<td>F&amp;A Rate: 47.00%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completed by: River Song</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Extension: x 1234</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Budget Lines:

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

**Net Budget Transfer (should equal to zero):**

$3 | $ -
Budget Transfer Worksheet

Step 2: Complete Worksheet

Justification:

Is this re-budgeting request due to a change in scope?  No

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

Adding large attachments can take some time to upload, therefore, it is advisable to save the transaction before adding large attachments.
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

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.

```
Approval Flow

Grants Funds Approver

Unit UTSA1, ID 0000445863, Date 2020-07-18, Line 1: Pending
- Pending
  - Hongjie Xie
    - IKK-All Project Managers
- Not Routed
  - Multiple Approvers
    - KIC-Grants Central Office

Unit UTSA1, ID 0000445863, Date 2020-07-18, Line 2: Pending
- Pending
  - Hongjie Xie
    - IKK-All Project Managers
- Not Routed
  - Multiple Approvers
    - KIC-Grants Central Office

Unit UTSA1, ID 0000445863, Date 2020-07-18, Line 3: Pending
- Pending
  - Hongjie Xie
    - IKK-All Project Managers
- Not Routed
  - Multiple Approvers
    - KIC-Grants Central Office

Grants Accounting Approver

Unit UTSA1, ID 0000445863, Date 2020-07-18: Awaiting Further Approvals
- Not Routed
  - Multiple Approvers
    - Grant Accountant Level 1

Grants Contracts Financial Services
```
Adding Additional Approvers or Reviewers

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

[Image of Approval Chain screen showing the ability to add additional approvers or reviewers.]
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

---

### Lines

<table>
<thead>
<tr>
<th>Select</th>
<th>Line</th>
<th>Amount</th>
<th>Account/Project</th>
<th>Fund Code</th>
<th>Department</th>
<th>Cost Center</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>-10.00</td>
<td>A4000</td>
<td>3105</td>
<td>ASC006 - COS BIOLOGY</td>
<td>DSV036 - BIC DR HYONG-GON LEE STARTUP</td>
<td>200</td>
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<tr>
<td></td>
<td>2</td>
<td>10.00</td>
<td>A4000</td>
<td>3105</td>
<td>ASC006 - COS BIOLOGY</td>
<td>DSV036 - BIC SAVELLI STARTUP</td>
<td>200</td>
</tr>
</tbody>
</table>

---

Budget and Financial Planning
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/
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