Research Workday Town Hall
December 7, 2023
Research Workday Town Hall Agenda

December 7, 2023

- Welcome
- Annual Increase
- Academic Enterprise Position Management
- Creating Award Tips in COEUS
- Effort Certification
- Q&A
Annual Increase
Dates for Annual Increase 2024

Annual Salary Increase Process Timeline

- Process opens for review.
- Compensation conducts quality review.
- Dec. 11
- Managers and HCM business managers get reminder.
- Dec. 13
- Managers and HCM business managers have access to review supervisory organization in Workday.
- Dec. 15
- Managers and HCM business managers get reminder.
- Dec. 19
- Managers and HCM business managers get reminder.
- Process closes at 5 p.m.
Dates for Annual Increase 2024

• Non-Exempt (Hourly) Staff
  • Effective: Sunday, December 31
  • Paycheck date: January 19

• Exempt Staff
  • Effective: January 1
  • Paycheck date: February 1

• Take action by 5pm on December 19th
Who is **not** eligible?

- Hire date **after** 11/27/2023
- TempForce, PRN, and Vanderbilt Integrated Partners employees
- Nurse Residents, Interns, and Term Appointments
- Employees covered by VUMC’s Collective Bargaining Agreement
- Annual Evaluation: overall rating of “**Below Expectations**”
- Conflict of Interest **not** completed by June 30, 2023
- Annual Compliance training in the Learning Exchange **not** completed by June 30, 2023
- New Hires (July 1- Nov 27) who have **not** completed all new hire Learning Exchange compliance courses
- Employees on a final Performance Improvement Plan or Disciplinary Action within the last 12 months, prior to Dec 19
- Employees on a written Performance Improvement Plan or Disciplinary Action within the last 12 months prior to Dec 19 are not automatically eligible
Comp Report: VUMC Manager Annual Increase Review

• Search and select the report in Workday

• *Note: Links are also available from the Workday Announcement or WalkMe*
Comp Report: VUMC Manager Annual Increase Review
Comp Report: VUMC Manager Annual Increase Review

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<th>Employee</th>
<th>Supervisory Organization</th>
<th>Supervisory Organization ID</th>
<th>Supervisor Organization Name</th>
<th>Manager</th>
<th>Job Profile</th>
<th>Current FTE</th>
<th>Pay Rate Type</th>
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Academic Enterprise Position Management
Academic Enterprise Position Management

This segment will highlight:
- Approval Workflow
- Tips for Creating a Position
- Submitting an AE Position Approval Request (PAR)
- Guidelines for requesting Fixed Position Exception Requests
- Tips for Creating a Hiring Requisition
- CLC Review and Approval
Academic Enterprise (AE) positions need multiple approvals.

Position Approval

Workday Requisition Approval

Labor and Workforce Management (aka CLC) Approval

Position Approval Workflows

- **New Positions**
  - Create a New Position (WDHR-502)
  - *Workday will generate a position number*

- **Backfills**
  - Use Existing Position Number

- **Reclassifications**
  - Use Existing Position Number

  - Obtain PAR Approval
    - apositionmanagement@vumc.org

  - When creating position requisitions in Workday, the hiring manager should document the approved PAR in the comments. (i.e., The PAR form was approved by the AE Position Management Team on x date.) The department should retain a copy of the approved PAR form.

  - Create a Job Requisition (WDHR-701-Q1)

  - Create a Job Requisition (WDHR-701-Q1)

  - Job Change Action (WDHR-504)
**Tips for creating a new AE position in Workday**

1. Select the Global Navigation menu.
2. Select the Hiring application.
   - **Note:** Select Manage Apps to add the Hiring app if not listed.
3. Select Create Position.
4. Ensure the correct **Supervisory Organization** has auto-populated. Select OK.
5. Complete the required position information and Hiring Restrictions as needed.
   - **Note:** Selecting the appropriate Job Profile will auto-populate other information about the position, including minimum qualifications.
6. Select Submit to create an action item in your Inbox to assign organizations for this position.

Reference: [WDHR-502-Q1 Create New Position](#)
Tips for creating a new AE position in Workday

Change Organization Assignments

1. From your Inbox, select the Assign Organizations action.
2. Ensure the correct Company has auto populated.
   **Note:** Selecting the appropriate Company is important for identifying and assigning the correct pay group and Cost Center.
3. Ensure the correct Cost Center(s) that fund this position automatically populate.
4. Select Submit to route the position request to your one-up manager.

Reference: [WDHR-502-Q1 Create New Position](#)
Tips for creating a new AE position in Workday

Assign Costing Allocation for Create Position

- Important step to ensure appropriate funding sources are charged
- Options for Grant, Gift, Project, Program, Cost Center, Assignee
- **Required fields** are Fund (FD); Operating Entity; Distribution %
Position Approval

- Review the PAR Guidelines
- Workday position numbers are required; obtain before submitting the PAR form.

Submit the PAR form to aepositionmanagement@vumc.org
- Approvals typically <1 week

PARs are not required for the following:

- 100% externally funded (gift, grant, or contract). Residual contract funds do not qualify as external funding.
- Non-faculty Professional Staff with Privileges (PSPs), e.g. VMG Nurse Practitioners, Physician Assistants, other Advanced Practice Providers
- Student Workers

Reference: https://www.vumc.org/oor/research-administration
AE Position Approval
Exception Request

Most positions paid from institutional funds* require additional documentation. For Administrative Positions:

• Indicate if position is required to meet regulatory requirements and/or if patient-facing
• Department/division organizational chart, showing the position in context
• Summarize department/division financial position YTD, and forecast for full FY, showing impact of the position. What is the current operating margin? How does the current operating margin compare to the budget?
• Summarize volume of work assigned to the unit and the span of control. Include any available benchmark data that demonstrates increased growth or complexity of work the area.
• Describe risks of not filling the position
Tips for creating a new AE hiring requisition in Workday

Create a Job Requisition

From your homepage:

1. Select View All Apps.
2. Select Recruiting.
3. Select Start Job Requisition.
4. A Supervisory Organization will be automatically populated. Ensure the appropriate Supervisory Organization is selected, then select if the job will add or replace a worker.
5. Indicate the number of job openings, input the Job Profile, and Job Title.
6. Select Job Location, and then select New Employee

Reference: WDHR-701-Q1 Create a Job Requisition
Tips for creating a new AE hiring requisition in Workday

1. Choose the correct cost center for the position.
2. Choose the correct option: New or Replacement.
3. Add the justification for this job.
4. Select the company and cost center funding the position.
5. Select a worker start date, recruiting instructions, and a primary location for the job posting.
6. Select an option for why you are creating this job, and then type in the justification for the job.
7. Once you have verified all inputs and selections, you are ready to select Submit.

Reference: WDHR-701-Q1 Create a Job Requisition
Tips for creating a new AE hiring requisition in Workday: Completing the Justification field

**Grant, Gift or Active Contract Funded Positions**
- Affirmation statement that the position is 100% externally funded (grant, gift or active contract).
- Funding distribution (include worktag numbers and percentage per worktag).
- Indicate date of HR approval and name of HR Business Partner.

**VMG/APP Positions**
- Funding distribution (include worktag numbers and percentage per worktag).
- Indicate whether this is a billing provider
- Funding distribution (include worktag numbers and percentage per worktag).
- Indicate whether the specific FTE is in the current FY budget.
- BFT number for the position, and indicate status of pro forma

**All other AE Positions**
- Date of AE PAR approval
- Funding distribution (include worktag numbers and percentage per worktag).
- Indicate date of HR approval and name of HR Business Partner.
Labor and Workforce Management (aka CLC) Review and Approval

• Requisitions should be submitted in Workday by 5pm on Friday to make the review agenda
  • NOTE: WD hiring requisitions that are missing a position number, required justification information, or where the position number does not match the approved PAR will be sent back for revision.

• Meets every Tuesday
• Attended by executive and entity leaders across VUMC
• Every fixed position and most variable positions are reviewed. Anyone can comment on any position

• Once approved, the CLC admin team will mark positions approved in Workday - typically by Thursday morning

Operating Entity (OE)
Cost Center
Position justification

Most commonly questioned for AE research positions
**Where is my position in process?**

Type Req # in the WD Search Field: **R-14169**

Click the link in Search Results:

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<th>Due Date</th>
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Glossary and Resources

**Institutional Operating Entities (OE):**
- VUAE Academic Departments Research & Administration (OEAcad_RA)
- VUAE Academic Departments Cores & Contracts (OEAcad_CC)
- VUAE Academic Departments Education (OEAcad_Edu)
- VUAE Clinical Departments Grants & Gifts (OEAcad_GG)
- VUAE Clinical Departments Research & Administration (OEClin_RA)
- VUAE Clinical Departments Research & Administration VMG (OEClin_VM)

**AE:** Academic Enterprise

**PAR:** Position Approval Request

**CLC:** Formerly Central Labor Committee. Now the Labor & Workforce Management Committee

**Fixed Position:** non-patient facing/revenue generating position. Examples: administrative assistant, research assistant, clinical translational research coordinator

**Variable Position:** patient facing/revenue generating role. Examples: nurse, X-ray technician, pharmacist

**APP:** Advanced Practice Provider

Questions? Contact:
- s.meyn@vumc.org
- aepositionmanagement@vumc.org

Office of Research resource page:
https://www.vumc.org/oor/research-administration
Coming Soon

- Recruiting and Onboarding Sessions
- New HR Town Halls
Tips for Workday Award Setup Process
Defining My Terms

"AWD Number" -- Workday Award Number
"GR Number" -- Workday Grant Worktag number
"CC Number" -- Workday Cost Center number of the department
The "Lead Unit" selection in Coeus & PEER

The OSP Awards team selects the Workday Cost Center (CC) based on the Lead Unit in Coeus or PEER.

- When working with OSP on Coeus proposal development, make sure the Grants Manager and Specialist knows which unit (CC) will be managing any resulting award.
- When a contract request is submitted in PEER, choose the unit based on whichever CC needs to manage the resulting contract.

Funded projects with multiple components are likely to have multiple Workday award lines/grant tags. Departments can request different PIs for each grant tag. However, the workday cost center (CC) will follow the overall project lead unit and other units will need to request access to the grant tags they need from the project lead unit.
The "Lead Unit" selection in Coeus

- In Coeus, the Workday Cost Center (CC) is displayed in parenthesis next to the unit selection for Proposal Development.
- If the CC is missing (n/a), OSP is not aware of the appropriate CC number. Contact OSP to map the unit to a CC in Workday.
The "Lead Unit" selection in PEER

- In PEER, the Workday Cost Center (CC) is displayed next to the search choice for Unit/Department.
- If the CC is missing (n/a), OSP is not aware of the appropriate CC number – PEER receives this data from Coeus.
Additional Tips

• If you desire **access to a Grant Tag** that is not in your unit (CC), you will need to request permissions from the managing unit.
  ➢ OSP cannot grant permissions and won't create a new grant tag in your unit for such purposes.

• If an investigator leaves VUMC, they are immediately deactivated in Workday and **access to iLab** will be removed.
  ➢ Contact OSP as soon as possible with a temporary replacement investigator until the sponsor approves an official change. Use the PEER Workday Action request.

• OSP will supply the Workday AWD number in communications and when we close PEER tickets. Use this number to look for new Grant Tags or other requested modifications. You may not receive automatic communication from Workday regarding your change. **We are working to improve this!**
Finding your AWD in Workday

- Expand your search if necessary
Finding your AWD in Workday

- Go to the Award Lines tab
Effort Certification Update and Reminders
Effort Certification Status Update

- Certified: 34%
- In Progress: 63%
- Submitted: 2%
- Other: 65%
- Error: 1%
**Effort Certification Roles* and Responsibilities**

- **Effort Certification Reviewer**
  - Perform Administrative Review of Effort Certification
    - Submit with no changes
    - Change Effort

- **Effort Certifier**
  - Changes Needed, Return to Reviewer
  - Certify Certification Complete
    - Certify
      - Changes Needed, Return to Reviewer

- **Grant Manager***
  - Approve
    - Changes Needed, Return to Reviewer

- **Payroll Costing Initiator**
  - Complete PAA

*These are Workday Roles, not job titles/descriptions.*
- **Effort Certification Status Report** to find certifications in workflow.
- Follow the **Administrative Review Checklist**
- Prepare your Certifiers for what they are receiving. Share the **Effort Certification for Certifiers Quick Guide** and enter **comments** as recommended:
  --- If no change – comment that you have reviewed and no change is needed. Help your certifiers understand what they are receiving.
  --- If change – Include attachment that clearly reflects what has changed and for what periods and a comment that mentions the attachment with a brief description of the changes. This attachment continues on in workflow attached to the PAA.

- **Certifier**
  - Look for **comments** and attachments for understanding how your effort appears in Workday.
  - **Effort Certification for Certifiers Quick Guide**
  - If your effort is not correct, reach out to your department administrator to discuss.
  - You have the ability to “**Send Back**” your certification to your Effort Certification Reviewer in Workday for **corrections**.
Grant Manager

-Any required changes should have already been communicated to the Effort Certification Reviewer during the Administrative Review step.

-Look for comments and attachments that will guide you in understanding what changes have been made in the certification record.

-If you identify that the Effort is incorrect, please communicate the needed changes to the Effort Certification Reviewer. You will be required to “Send Back” to the Effort Certification Reviewer.

Payroll Costing Initiator

-If corrections are made as part of the effort certification process, ALL Payroll Costing Initiators (security role on cost center) receive an inbox item AFTER the certifier certifies and the grant manager(s) approve.

-This inbox item is the PAA. The Payroll Costing Initiator OPENS the pre-filled PAA and reviews it to ensure the changes are what they were expecting and compares it to the supporting documentation to make sure the dollars agree. Then it goes through normal PAA steps, complete the questionnaire, grant manager, cost center manager approvals, Finance approvals. **DO NOT CANCEL THE PAA**

-If you change effort to this period after certification is complete, the person's effort will need to go through the review process and be **recertified**.
Administrative Review Checklist for Effort Certification

- Is effort correct for each period?
  → Look at the Aggregate Tab
  → Run the Effort Trend Report

- Is your PCA current and correct?
  → Please stop and look at the PCA
  → Run RPT144 and see what is the current payroll costing allocation, check the end dates. If you can’t see all the GR end dates, use the Current PCA file saved in Drive.

- Is the person over the Salary Cap?
  → Run the effort trend - Is the effort reflected correctly with the cap for each period?
  → Check the worktags. Salary over the Cap should have at least two different lines – the dollars that can be charged to the award and separately the dollars that are over the cap that should include the GR, the funding source, and the salary cap worktag.

- Are all pay components (e.g. reg, PTO, Sick, etc.) correct and appropriate?
  → If the Details tab is difficult to follow, run CR Fin - Labor Detail by Fiscal Period for the month you are reviewing.

- If cost share (e.g. k- award), confirm correct cost share worktag and Fund 5.
- If Faculty, confirm not 100% on Sponsored Projects in total unless they have an exception to the 98% sponsored funding cap.

- Did you add effort back to an expired grant worktag?
  → You must include comment as to why you are adding effort back to the expired grant worktag (what makes it appropriate, are you working with OSP to extend, etc.)

- Terminated employees?
  → Will route to all PIs for person’s effort. Add Comment that mentions which PI is certifying for specific awards/GRs to expedite the review process.

- Did you enter a comment?
  → If no change – include comment that specifies that you have reviewed and no change is necessary. Help your certifiers understand what they are receiving.

  → If change – You must include attachment that clearly reflects what has changed and for what periods AND a comment that mentions the attachment and a brief description of the changes with details. This information continues on in workflow to the PAA.
In accepting a federally-sponsored grant or contract, VUMC agrees to abide by certain federal rules and regulations regarding the use of the funds.

VUMC Effort Reporting and Certification Policy excerpt:
VUMC maintains systems and procedures documenting the distribution of activity to individual sponsored agreements in compliance with federal regulations as defined by 2 CFR Part 200. Any individual who performed work on a federally funded project or the project’s principal investigator must certify their effort, unless in their absence, this task is reassigned to a designee who must have suitable means of verification of the distribution of effort.

Acceptance of federal funding by VUMC requires the institution to adhere to the effort reporting requirements prescribed by UG Standards for Documentation of Personnel Expenses in 2 CFR Part 200.430 (i).
NIH GRANTS POLICY STATEMENT

7.5 Cost Transfers, Overruns, and Accelerated and Delayed Expenditures

Cost transfers to NIH grants by recipients, consortium participants, or contractors under grants that represent corrections of clerical or bookkeeping errors should be accomplished within 90 days of when the error was discovered. **The transfers must be supported by documentation that fully explains how the error occurred and a certification of the correctness of the new charge by a responsible organizational official of the recipient, consortium participant, or contractor. An explanation merely stating that the transfer was made "to correct error" or "to transfer to correct project" is not sufficient. Transfers of costs from one project to another or from one competitive segment to the next solely to cover cost overruns are not allowable.**

Recipients must maintain documentation of cost transfers, pursuant to 2 CFR Part 200.337 and 45 CFR Part 75.364, and must make it available for audit or other review (see Administrative Requirements-Monitoring-Record Retention and Access). The recipient should have systems in place to detect such errors within a reasonable time frame; untimely discovery of errors could be an indication of poor internal controls. Frequent errors in recording costs may indicate the need for accounting system improvements, enhanced internal controls, or both. If such errors occur, recipients are encouraged to evaluate the need for improvements and to make whatever improvements are deemed necessary to prevent reoccurrence. NIH also may require a recipient to take corrective action by imposing additional terms and conditions on an award(s).

The GMO monitors recipient expenditure rates under individual grants within each budget period and within the overall project period. The funding that NIH provides for each budget period is based on an assessment of the effort to be performed during that period and the recipient's associated budget, including the availability of unobligated balances. Although NIH allows recipients certain flexibilities with respect to rebudgeting (see Administrative Requirements-Changes In Project and Budget), NIH expects the rate and types of expenditures to be consistent with the approved project and budget and may question or restrict expenditures that appear inconsistent with these expectations.

The GMO may review recipient cash drawdowns to determine whether they indicate any pattern of accelerated or delayed expenditures. Expenditure patterns are of particular concern because they may indicate a deficiency in the recipient's financial management system or internal controls. Accelerated or delayed expenditures may result in a recipient's inability to complete the approved project within the approved budget and period of performance. In these situations, the GMO may seek additional information from the recipient and may make any necessary and appropriate adjustments.
Cost Transfer Justification and Support

Although it feels like everything has changed, compliance remains the same...

Cost Transfer Memo Template has been replaced with the Cost Transfer Questionnaire in Workday

| Date: | [Date] |
| To: | Paula Yarbrough, Associate Director |
| From: | Department of Finance |
| Subject: | Cost Transfer Memo |

Is this memo for a transfer of a federally sponsored grant or contract? [ ]

Date or date range covered by transfer: [ ]

Centers affected: From Center(s): [ ]

To Center(s): [ ]

Is supporting documentation attached? [ ]

Why was this expense originally charged to the project from which it is now being transferred? [ ]

Why should the charge(s) be transferred to the proposed receiving project (i.e., how does the project benefit)? [ ]

Why are the charges allowable and allocable based on the terms and conditions of the receiving project? [ ]

Does transfer exceed 90 days [YES or NO]? [ ]

If yes, what corrective action has been put in place to prevent future need for cost transfers of this type? [ ]

If yes, what are the extenuating circumstances for this late cost transfer? [ ]

Certification Statement

1 certify that the cost transferred is an appropriate expenditure for the sponsored grant/contract charged and that the expenditure complies with the terms and restrictions governing that sponsored grant or contract.

Department Administrator Signature: [ ]

Cost Transfer Justification:

Please provide cost transfer justification by providing responses to the questions below. When submitting this questionnaire, you are attesting to your certification that the cost transferred is an appropriate expenditure for the sponsored grant/contract charged and that the expenditure complies with the terms and restrictions governing that sponsored grant or contract.

- Why were these expenses originally charged to the cost center from which they are now being transferred? [ ]
- Why should the charge(s) be transferred to the proposed receiving project (how does the project benefit)? [ ]
- Why are the charges allowable and allocable based upon the terms and conditions of the receiving project? [ ]
- What type of corrective action has been put in place to prevent future need for cost transfers of this type? [ ]

Are you complete with all changes for this reporting period? [ ]

- Yes [ ]
- No [ ]
Cost Transfer Justification and Support
Best Practices

• Use good business communication etiquette:
  • State the facts
  • Cross-reference attachments or related documents (establishes that more information exists)
  • Not the time for blame or shame (remember, this is not a performance review or a system evaluation, this is a cost transfer)
  • If attaching an email, review the entire stream for relevance
  • Responses should be complete and not leave the reader asking who, what, when, why, or how
  • Responses should be written so that an ordinary person not familiar with the details of the project could understand the situation
Cost Transfer Justification and Support
EXAMPLE of WHAT NOT TO DO

- Insufficient cost transfer documentation will be returned
- Workday issue as the only reason is not sufficient documentation, please explain the issue
- NA is only an appropriate if the changes are not a “cost transfer”
- Make sure what you are doing is what you are explaining,
- If your Payroll Costing Initiator doesn't “know” research, you don't get a pass, we don't get a pass, auditors will not accept that as a reason for lack of documentation

<table>
<thead>
<tr>
<th>Question</th>
<th>Answers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why were these expenses originally charged to the cost center from which they are now being transferred?</td>
<td>already doing the work on this project, just moving to appropriate and new worktag</td>
</tr>
<tr>
<td>Why should the charge(s) be transferred to the proposed receiving project (How does the project benefit?)</td>
<td>already doing the allowed work</td>
</tr>
<tr>
<td>Why are the charges allowable and allocable based upon the terms and conditions of the receiving project?</td>
<td>NA</td>
</tr>
<tr>
<td>What type of corrective action has been put into place to prevent future need for cost transfers of this type?</td>
<td>NA</td>
</tr>
<tr>
<td>Are you complete with all changes for this reporting period?</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Next Research Town Hall: January 11