Research Workday Town Hall
December 7, 2023

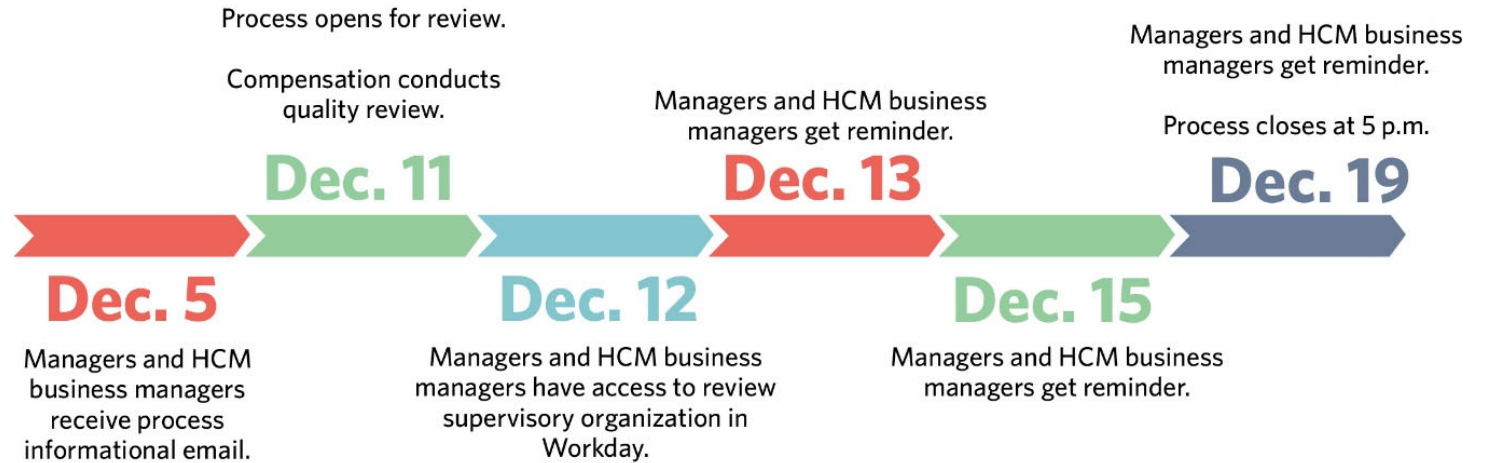# Research Workday Town Hall Agenda

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 get reminder.

Process closes at 5 p.m.

Dec. 19

Dec. 5

Managers and HCM business managers receive process informational email.

Dec. 12

Managers and HCM business managers have access to review supervisory organization in Workday.

Dec. 15

Managers and HCM business managers get reminder.

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 **<u>not</u>** 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 **<u>not</u>** completed by June 30, 2023
- Annual Compliance training in the Learning Exchange **<u>not</u>** completed by June 30, 2023
- New Hires (July 1- Nov 27) who have **<u>not</u>** 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
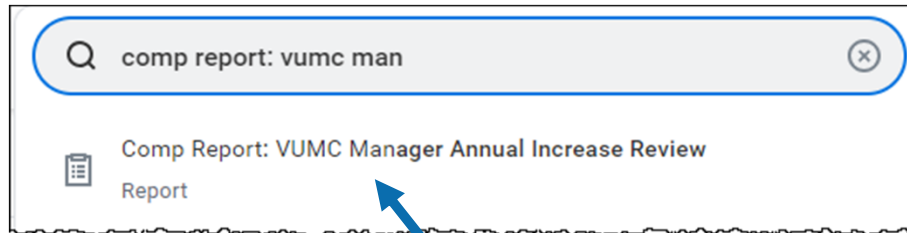
- *Note: Links are also available from the Workday Announcement or WalkMe*

Comp Report: VUMC Manager Annual Increase Review

Comp Report: VUMC Manager Annual Increase Review

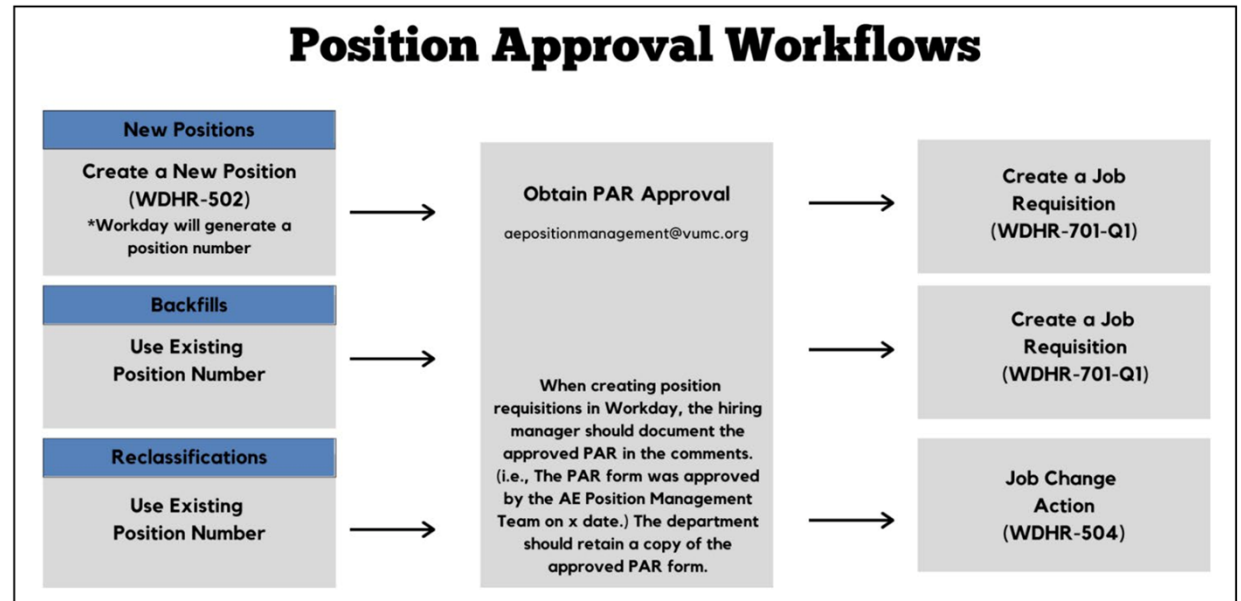| Employee	Supervisory Organization	Supervisory Organization ID	Supervisory Organization Name	Manager	Job Profile	Current FTE	Pay Rate Type	Grade	Current Pay Amount	Increase Percent	Increase Amount	New Pay Amount	Annual Increase Notes	Effective Date	Performance Rating	Last Completed Performance Review	LMS Non-Compliance	Conflict of Interest Non-Compliance	Perf Plan/Disciplinary Action	Manager Notes
Employee 1 (0987251)	VUMC Sample Sup Org (SA12345678)	SA12345678	VUMC Sample Sup Org	Manager 01 (0252879)	4496 - Cashier	100.00%	Hourly	X21	17.70	3.75%	$0.66	$18.36		12/31/2023	Fully Meets Expectations	Annual Employee Performance Evaluation Template: Employee 1				
Employee 2 (0924680)	VUMC Sample Sup Org (SA12345678)	SA12345678	VUMC Sample Sup Org	Manager 01 (0252879)	4496 - Cashier	100.00%	Hourly	X21	15.50	0.00%	$0.00	$15.50		12/31/2023					Disciplinary Action - Written/Final: Employee 2	
Employee 3 (0197654)	VUMC Sample Sup Org (SA12345678)	SA12345678	VUMC Sample Sup Org	Manager 01 (0252879)	3635 - Dietician	100.00%	Salary	29	46,300.00	3.75%	$1,736.25	$48,036.25		1/1/2024	Fully Meets Expectations	Annual Employee Performance Evaluation Template:Employee 3				
Employee 4 (0160078)	VUMC Sample Sup Org (SA12345678)	SA12345678	VUMC Sample Sup Org	Manager 01 (0252879)	8590 - Retail Service	100.00%	Hourly	X20	16.38	0.00%	$0.00	$16.38		12/31/2023	Fully Meets Expectations	Annual Employee Performance Evaluation Template: Employee 4		Y		
Employee 5 (0188762)	VUMC Sample Sup Org (SA12345678)	SA12345678	VUMC Sample Sup Org	Manager 01 (0252879)	8590 - Retail Service	100.00%	Hourly	X20	16.52	3.75%	$0.62	$17.14		12/31/2023	Fully Meets Expectations	Annual Employee Performance Evaluation Template: Employee 5				

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

→ Obtain PAR Approval

aepositionmanagement@vumc.org

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

Backfills

Use Existing Position Number

→

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)

Reclassifications

Use Existing Position Number

→

→ Job Change Action (WDHR-504)

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Tips for creating a new AE position in Workday

CREATE A NEW POSITION

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.

Choose correct Supervisory Organization

Choose correct option for your position

Tips for creating a new AE position in Workday

Change Organization Assignments

CHANGE ORGANIZATION ASSIGNMENTS FOR WORKERS

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.

Inbox

Actions | Archive

Viewing: All | Sort By: Ne

1 Assign Organizations: Create Position: Representative
8 minute(s) ago - Due 05/26/2022; Effe 07/01/2022

Organizations

Company

Company * 2
Vanderbilt University Medical Center

Cost Center

Cost Center * 3
CC01484 MCA Parking Garage

4 **Submit**

Choose correct cost center for position

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 %

Event Details

Event   Costing Allocation for Create Position: P00108961 Administrative Officer

Effective Date   12/13/2023

Include Existing Allocations

From   12/13/2023   To   MM/DD/YYYY   (Refresh Costing Allocation Data)

Costing Allocation Details

Costing Allocation Level ***** Position Restriction

Copy Costing Allocation ☐

Start Date ***** 12/13/2023

End Date MM/DD/YYYY

> **Costing Allocation Attachments**

1 item

Default (As of Start Date)	Required with no Default (Must have Costing Override)	Costing Company	Grant	Gift	Project
CARTS: CTHM Research - Internal Funding - Miscellaneous Unrestricted Company: Vanderbilt University Medical Center Cost Center: CC01383 Office of Research - Office of Research Div - GA Acad					

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

Position number:
FTE of position:
Circle the type of position: Clinical | Research | Educational

(1) Check the box next to the Position Request Type

☐ Backfill Request
Current Position Title & Job Code
Vacancy Date

☐ Reclassification Request
Current Position Title & Job Code
Employee Name
Vacancy Date
Proposed Title & Job Code

☐ New Position Request
Proposed Title & Job Code

☐ TempForce Request
Proposed Title & Job Code
Duration of need for temp position (up to 6 months)

(2) HR Business Partner Support (required for new, reclassifications, TempForce, or term positions)
Do you have documented support from your HR buiness partner for this position request?   ☐ Yes/No/Not applicable
HR Business Partner Name
Date of HR Approval

(3) Funding Proposal
I agree that this action is essential for business needs and have confirmed that funds are available to fully support the position for at least ☐ year(s)

Cost Center or Worktag Number(s), Name(s) & %

External Support (circle all that apply)
Grant | Contract | VA IPA | Gift | Endowment | VU Funded   %
*Core facility funds   %
*Institutional, department-based, non-Core facility, non-APS   %
*Institutional, hospital/clinic-based   %
*APS commitment to: (list name)   %
If new faculty recruit attach offer letter and funding grid
**Residual contract funds   %
**Institutional, non APS   %
Total   0   %

A) Does the funding plan includes support from other operating units?   ☐ Yes/No
If yes, have you documented authorization for those center numbers from the appropriate CBO or entity leader (hospital/clinics)?   ☐ Yes/No/Not applicable
B) Is this FTE budgeted? (n/a for positions funded by external support)   ☐ Yes/No/Not applicable
If not budgeted, indicate the impact to budget/margin.

(4) Comments/Justifications
Executive summary of responsibilities and need for the position.

Signature, Chief Business Officer for Department   Date
Executive Approval:
Printed/Typed Name, Chief Business Officer
Department Name

AE Position Approval
Exception Requests

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

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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**

Choose correct Supervisory Organization

Tips for creating a new AE hiring requisition in Workday

Choose correct cost center for position

Choose correct option: New or Replacement

Justification – Most important field!

Cost Information

Select a company *

7

Select a cost center *

Why are you creating this job? *

× New Position > New

9

What is the justification for this job?

When would you like this worker to start? *

○ As soon as possible

○ Select Date   MM / DD / YYYY

8

What recruiting instruction do you have for this job?

Recruit Internally and Externally ▼

Select a primary location to post this job *

× Portland, TN ···

Select additional locations to post this job

7. Select the **Company** and **Cost Center** funding the position.

8. Select a **Worker Start Date**, **Recruiting Instructions**, and a **Primary Location** for the job posting.

9. Select an option for **why you are creating this job,** and then type in the **justification for the job**.

10. Once you have verified all inputs and selections, you are now ready to select **Submit**.

10   Submit   Save for Later

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

Operating Entity (OE) Cost Center Position justification	Most commonly questioned for AE research positions

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

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Where is my position in process?

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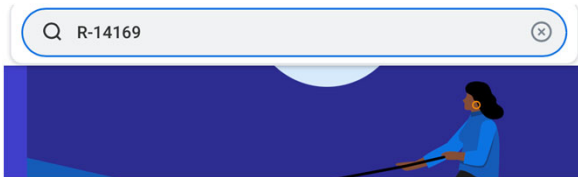
🔍 R-14169 ⊗

Click the link in Search Results:

Search Results 1 items

All of Workday

R-14169 Associate Program Manager (Open)   Job Requisition

Details   **Process**

Process History 11 items

Process	Step	Status	Completed On	Due Date	Person (Up to 5)	All Persons	For	Comment
Job Requisition	Job Requisition	Step Completed	11/29/2023 02:46:21 PM	12/03/2023	Kim Plemmons (0042215)	1		
Job Requisition	Create Position	Not Required		12/03/2023		0		
Job Requisition	Approval by HCM Business Manager or Manager's Manager	Approved	11/29/2023 04:04:17 PM		Kathleen Lowe (0058272) (HCM Business Manager)	1		
Job Requisition	Consolidated Approval by Divisional Approver (Supervisory)	Not Required		12/03/2023		0		
Job Requisition	Consolidated Approval by Divisional Approver (Operating Entity)	Approved	12/03/2023 10:04:06 PM		Susan Meyn (0042580) (Divisional Approver (Operating Entity))	1		Susan Meyn: Approved to move forward for CLC review.
Job Requisition	To Do: CLC Approval of Job Requisition	Manually Advanced	12/05/2023 02:31:53 PM		Valerie Napier (0053605) (Finance/CLC)	1	Belinda Rister (0133740)	Valerie Napier: This business process was manually advanced from the Advance Business Process transaction.
							Bryan Clements (0211419)	
							Judith Cox (0060319)	
							Nathaniel Wilson (0139678)	
Job Requisition	Assign Roles	Completed	12/06/2023 03:00:36 PM	12/07/2023		0		
Job Requisition	Post Job	In Progress		12/08/2023	Don Hulsey (0144159) (Primary Recruiter)	1		

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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_VMG)

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
or
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 <u>Lead Unit</u> 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
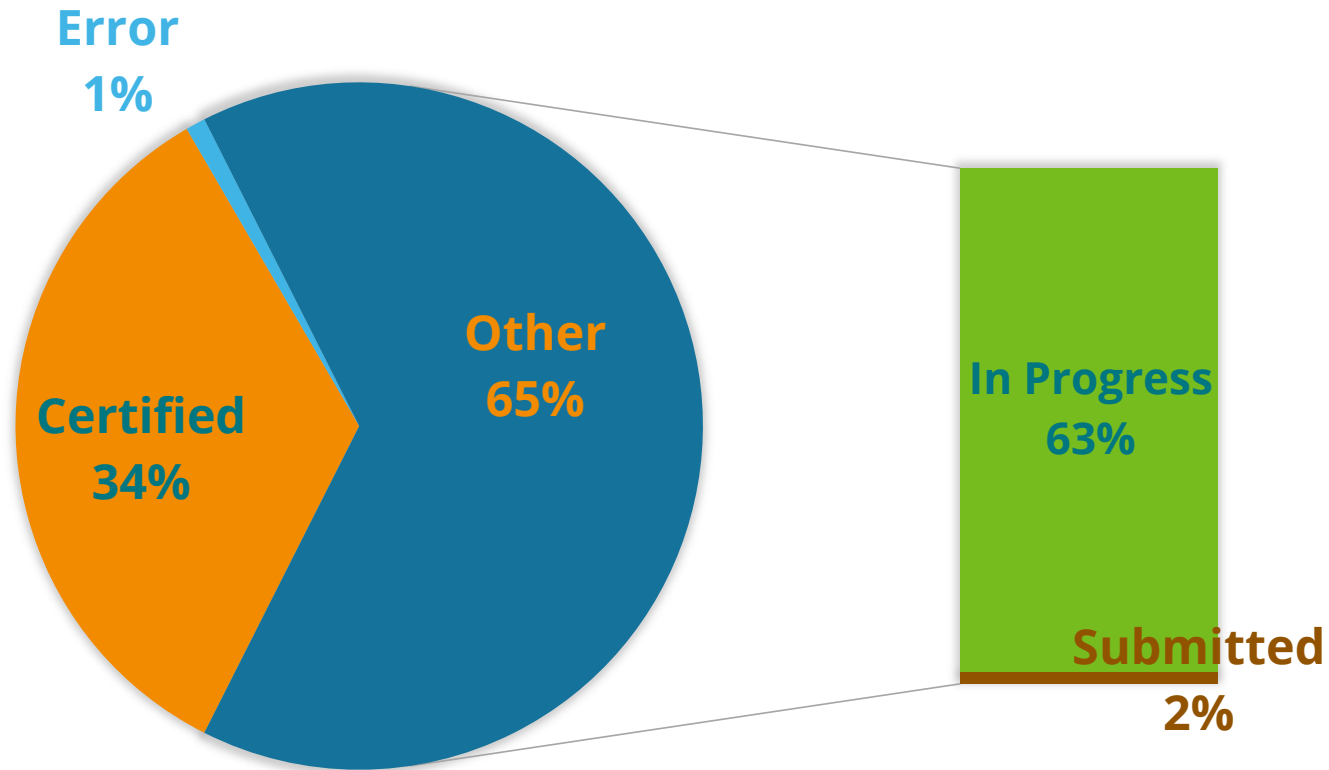
EFFORT CERTIFICATION ROLES* AND RESPONSIBILITIES

EFFORT CERTIFICATION REVIEWER

EFFORT CERTIFIER

GRANT MANAGER*

PAYROLL COSTING INITIATOR

Perform Administrative Review of Effort Certification

Submit with no changes

Change Effort

Changes Needed, Return to Reviewer

Certify Certification Complete

Certify

Changes Needed, Return to Reviewer

Approve

Changes Needed, Return to Reviewer

Complete PAA
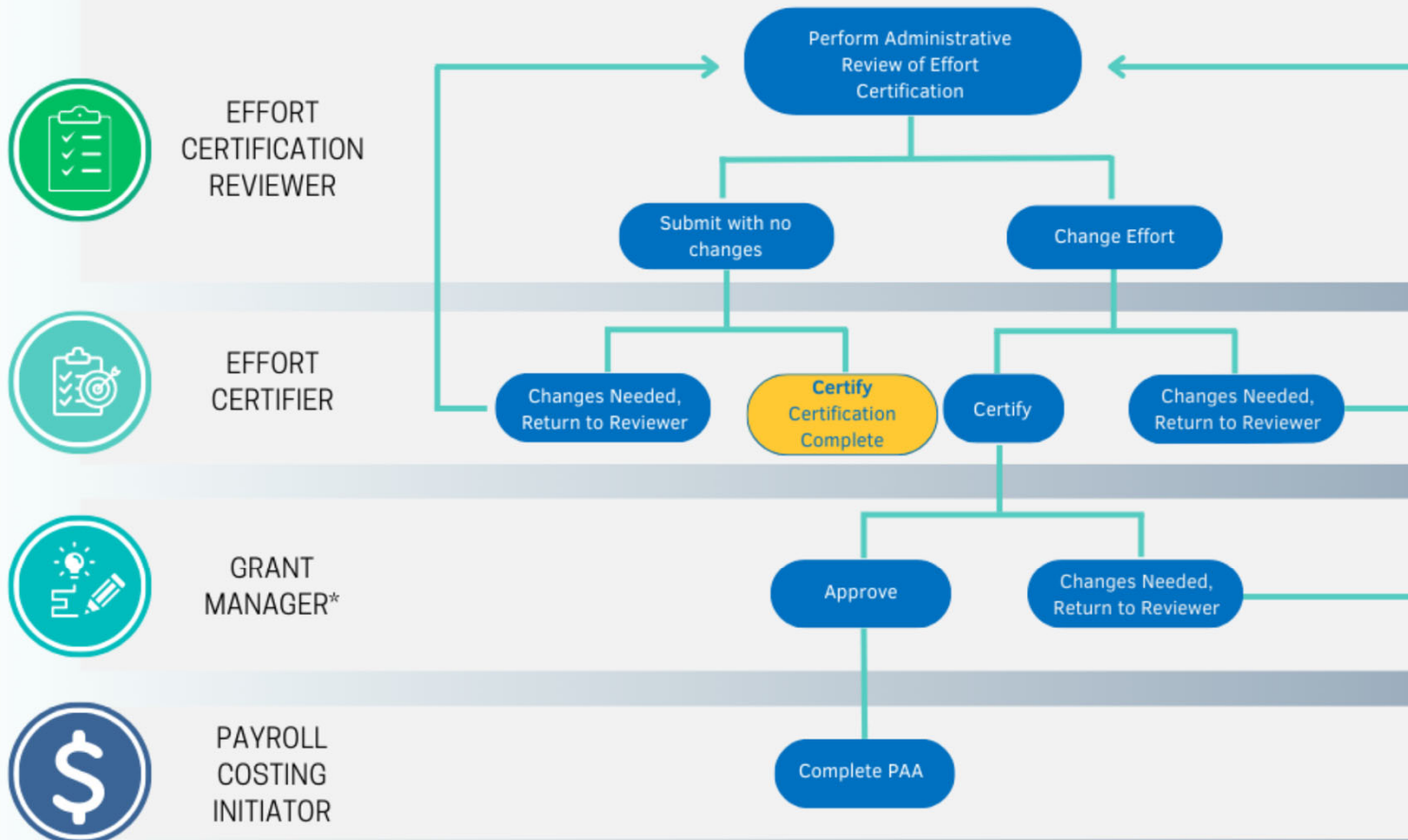
*These are Workday Roles, not job titles/descriptions.

Effort Reviewer

-**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.**

Compliance – Federal Regulations and Institutional Practices

Effort Reporting and Certification in Workday

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

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).

myworkday

Institutional practice and expectation:

Regular effort conversations on a monthly, no less than quarterly, basis for all individuals with federal funding sources.

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

COST TRANSFER MEMO

Date:

To: Paula Yarbrough, Associate Director
Department of Finance

Revised Policy at
• http://www.vanderbilt.edu/ocga/vupolicies/costtranfers/costtransfer.pdf

Template at
• https://dof.mc.vanderbilt.edu/are/Files/CostTransfer.dotx

From:

Subject: Cost Transfer Memo

Is this memo for a transfer TO 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

I 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:

Complete Questionnaire

'I 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.' for Payroll Accounting Adjustment: - 10/01/2023 - 10/31/2023

Cost Transfer Justification

Please provide cost transfer justification by providing response 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? (Required)

Why should the charge(s) be transferred to the proposed receiving project (How does the project benefit? (Required)

Why are the charges allowable and allocable based upon the terms and conditions of the receiving project? (Required)

What type of corrective action has been put into place to prevent future need for cost transfers of this type? (Required)

Are you complete with all changes for this reporting period? (Required)

○ Yes
○ No

Submit   Save for Later   Cancel

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

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

Next Research Town Hall: January 11