

Research Workday Town Hall Agenda

September 18, 2025



- Welcome
- Post Award Centralization Update
- Effort Trend Reports
- VU Grants
- Next Steps/ Q&A

Post Award Centralization Update

Post-Award Centralization:
Priority Road Map



- Working Group Created
- Presentation to Chairs & IC Directors

- Job posting for Leader Positions
- Collection of Post-Award Survey Results
- Establish Benchmark FTE Resources
- Review of Post-Award Survey Results with CBOs
- Outline and communicate clear roles and responsibilities with workgroup

- Grant Budgets Created or Amendment Updates
- Outline and Communicate Requirements / Documentation to Support Investigator Financial Reporting (an evolving and on-going effort)
- Evaluate and prioritize reporting needs for proactive central oversight of routine transactions

- Presentation to Departmental/IC & Central Office CBOs
- Presentation in Research Town Hall
- Post-Award FTE Resource Survey Sent to CBOs
- Investigator Financial Reporting Model Case Review

- Identify and Communicate New Unit Leaders
- Redeployment of FTE Resources
- Develop processing tools for cross unit collaboration and visibility workflow

- Provide investigator Portfolio Reports
- Develop Updated Process to Support Better Compliance Regarding Effort Certification Monitoring & Approval
- Establish goals and metrics in collaboration with leadership to monitor performance.

Update on Salary Over the Cap Basis Worktag Enhancement and Reporting Impact

Reporting Impact – Known Issue

Status: The Salary Over the Cap (SOC) Basis worktag enhancement is now **live** and reflected in **August payroll results**. [Summary of SOC Basis Worktag](#)

Issue: SOC lines **do not include the "Grant:" worktag** unless tied to a **VU Grant**.

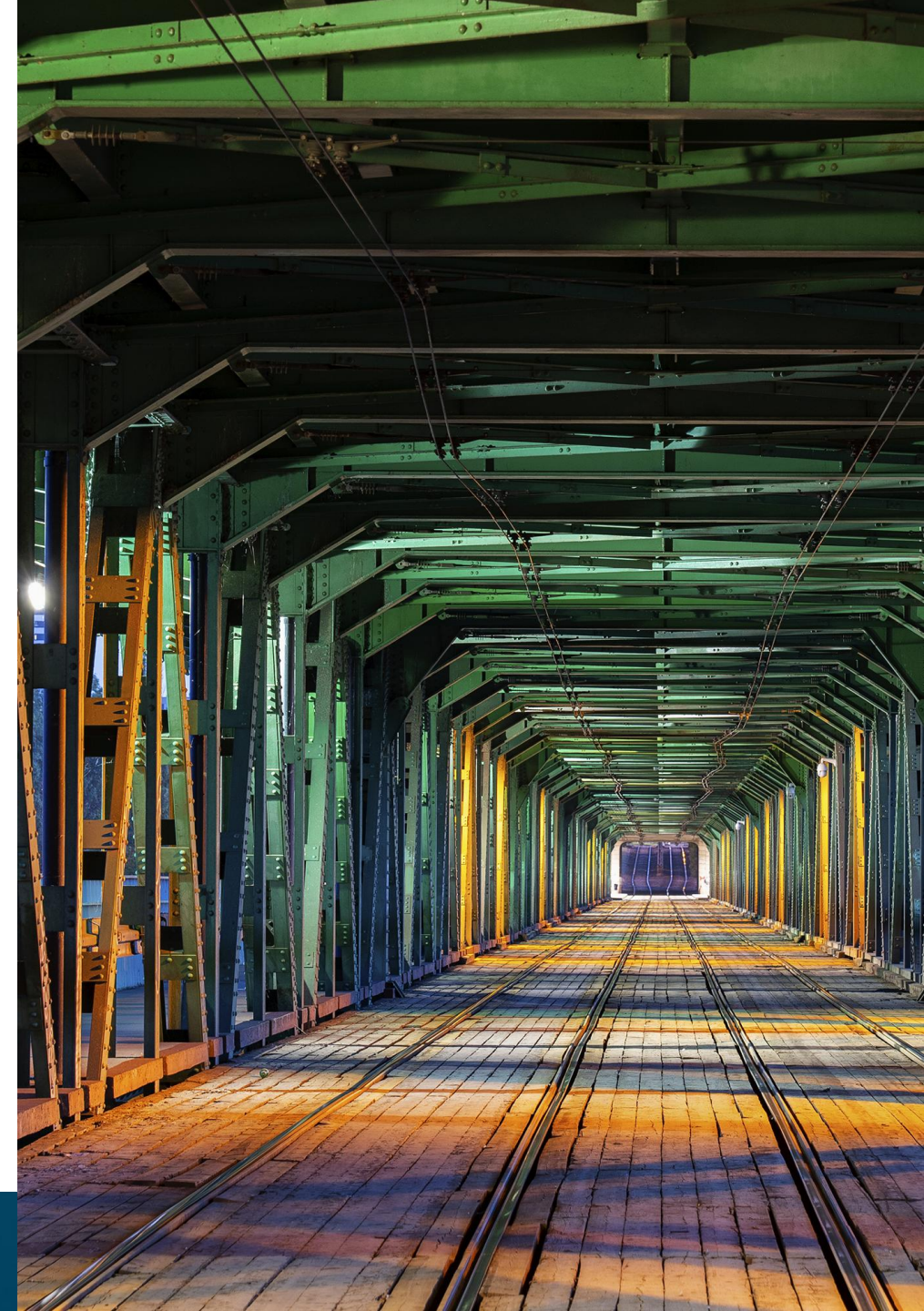
- This affects how SOC lines appear in:
 - **Effort Trend reports**
 - **PI Dashboard Effort Trend**

Action Taken: A ticket was submitted on **September 2** to correct this reporting issue.

Payroll Impact: **No impact** — payroll is processing **correctly** for these entries.

Interim Recommendation:

- Use the **Pro Forma Effort Certification report**
- Report type: **7.1.25 to 9.30.25**
- Purpose: To view **August effort** for individuals subject to the **salary cap**



Pro Forma Effort Certification

Link: [Effort Pro Forma Report Guide](#)

Effort Certification Reviewers (role in Workday) can run the 'Pro Forma Effort Certification' by person (see the prompts in the screenshot).

Grant Managers (role in Workday) can run the 'Pro Forma Effort Certification' by GR worktags within your purview (follow the guide linked above).

Pro Forma Effort Certification

Costed Organizations

Worker Organization Assignments

Effort Certification Type * Federally Funded 7.1.25-9.30.25

Population Selection

☐ Use Effort Certification Type's Population

☒ Specify Employees ENTER EMPLOYEE(S) HERE

Effort Certification Start Date * 07/01/2025

Effort Certification End Date * 09/30/2025

Include Payroll Obligations ☐

Cancel OK

Background Process

Pro Forma Effort Certification Process

...

Process	Pro Forma Effort Certification Process
Request Name	Pro Forma Effort Certification Process
Status	Initiated
Current Processing Time (hh:mm:ss)	00:00:00
Average Processing Time (hh:mm:ss)	00:00:00

Refresh

- Pro Forma Effort Certification Process
- Process Info
- Messages (0)
- Child Processes (0)

Effort Certification Type	Federally Funded 7.1.25-9.30.25
Effort Certification Start Date	07/01/2025
Effort Certification End Date	09/30/2025
Include Payroll Obligations	No
Count of Pro Forma Effort Certifications	0

Population Selection

- ☐ Use Effort Certification Type's Population
- ☒ Workers

View Pro Forma Effort Certifications

Effort Certification Type Federally Funded 7.1.25-9.30.25

Effort Certification Start Date 07/01/2025

Effort Certification End Date 09/30/2025

Include Payroll Obligations ☐

Population Selection

- ☐ Use Effort Certification Type's Population
- ☒ Workers

1 item

Worker	Cost Center from Worker Organization Assignments	Pro Forma Effort Certification
	CC03020 Pediatrics - Infectious Diseases Div - CD Clin Research Admin	Pro Forma Effort Certification for for 07/01/2025 - 09/30/2025

View Pro Forma Effort Certifications

Effort Certification Type Federally Funded 7.1.25-9.30.25

Effort Certification Start Date 07/01/2025

Effort Certification End Date 09/30/2025

Include Payroll Obligations ☐

Population Selection

- ☐ Use Effort Certification Type's Population
- ☒ Workers

1 item

Worker	Cost Center from Worker Organization Assignments	Pro Forma Effort Certification
	CC03020 Pediatrics - Infectious Diseases Div - CD Clin Research Admin	Pro Forma Effort Certification for for 07/01/2025 - 09/30/2025

Pro Forma Effort Certification for for 07/01/2025 - 09/30/2025

Created On

09/09/2025 12:30:01.687 PM

Aggregate

Details

Positions

17 items

Effort Award	Sponsor Award Reference Number	Sponsor	Effort Grant	Ledger Type	07/01/2025 - 07/31/2025 (US Monthly)		08/01/2025 - 08/31/2025 (US Monthly)		09/01/2025 - 09/30/2025 (US Monthly)		Total Certified Amount Estimated	Total Certified Percentage Estimated
					Effort Certification Amount Estimated	Effort Certification Percent Estimated	Effort Certification Amount Estimated	Effort Certification Percent Estimated	Effort Certification Amount Estimated	Effort Certification Percent Estimated		
AWD001853: Genetic and Structural Basis for Virus Neutralizat 09/16/2019 (version 0)	VUMC78931(75N93019 C00074)	National Institute of Allergy and Infectious Diseases	GR019663 Crowe,James E; VUMC7893 1(75N93019C00074) (2024-08-08) Human monoclonal antibodies for novel H5N1 viruses	Actuals		10.00%		10.00%		0.00%		6.67%
AWD004271: Human Monoclonal Antibodies for Encephalitic Alpha 07/20/2022 (version 0)	5R01AI172156-04	National Institute of Allergy and Infectious Diseases	GR013211 4042011351:Crowe,James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20)	Actuals		7.50%		8.00%		8.00%		7.83%
AWD007536: Rapid Ecosystem for Agnostic Antibody Discovery (R 08/18/2023 (version 0)	VUMC114422(W911SR 2390017)	U.S. Army Contracting Command - Aberdeen Proving Ground	GR016932 Crowe,James E; Rapid Ecosystem for Agnostic Antibody DiscoverY (REAADY) VUMC114422(W9 11SR230017) (2023-08-18)	Actuals		10.00%		10.00%		10.00%		10.00%
AWD008253: Antibody-based Protection against Flaviviruses (02 03/14/2024 (version 0)	VUMC122099(U01AI07 3755)	Washington University	GR018903 Crowe Jr,James E; Antibody-based Protection against Flaviviruses V UMC122099(U01AI073755) (2024-03-14)	Actuals		3.00%		3.00%		3.00%		3.00%
AWD008526: Paramyxoviridae and Bunyavirales Vaccines and Anti 08/01/2024 (version 0)	VUMC127987(1U19AI1 81930)	University of Texas Medical Branch at Galveston	GR019580 Crowe,James E; Paramyxoviridae and Bunyavirales Vaccines and Antibodies Cen VUMC (2024-03-01)	Actuals		11.00%		11.00%		11.00%		11.00%
AWD008575: Bunyavirus and Picornavirus Pandemic Pathogen Prep 08/20/2024 (version 0)	1U19AI181979-01	National Institute of Allergy and Infectious Diseases	GR019693 Crowe,James E; Bunyavirus and Picornavirus Pandemic Pathogen Preparedness (1U19AI181979-01) Admin Core A	Actuals		5.00%		4.00%		4.00%		4.33%

Click here to sort

07/01/2025 - 07/31/2025 (US Monthly)

08/01/2025 - 08/31/2025 (US Monthly)

09/01/2025 - 09/30/2025 (US Monthly)

Effort Certification Lines

Effort Period 07/01/2025 - 07/31/2025 (US Monthly)

31 items

Effort Grant	Payroll Periods	Costing Company	Worktags		Original Amount	Original Percent	Change Reason	Certified Amount Estimated
			Payroll	Costing				
				Center for Antibody Therapeutics - AE Acad Research Admin - Crowe Cost Share				
GR013211 4042011351:Crowe, James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20)	07/01/2025 - 07/31/2025 (US Monthly)	Vanderbilt University Medical Center	<div>Job Profile: 2120 - Professor</div> <div>Salary Over The Cap Basis: GR013211 4042011351:Crowe, James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20)</div> <div>Salary Over the Cap Type: NIH Level II Salary Cap</div>	<div>CARTS: CTRIS Research - Internal Funding - Special Allocation</div> <div>Cost Center: CC03159 Vanderbilt Center for Antibody Therapeutics - AE Acad Research Admin</div> <div>Fund: FD001 General Fund</div> <div>Grant: GR013211 4042011351: Crowe,James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20)</div> <div>Program: PG003097 Vanderbilt Center for Antibody Therapeutics - AE Acad Research Admin - Crowe Cost Share</div>		3.7045%		
GR013211 4042011351:Crowe, James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20)	07/01/2025 - 07/31/2025 (US Monthly)	Vanderbilt University Medical Center	<div>Job Profile: 2120 - Professor</div>	<div>CARTS: CTRFG Research - Federal - Grant</div> <div>Cost Center: CC03158 Vanderbilt Center for Antibody Therapeutics - AE Acad Grants</div>		3.7955%		

- Click here to sort
- 07/01/2025 - 07/31/2025 (US Monthly)
 - 08/01/2025 - 08/31/2025 (US Monthly)
 - 09/01/2025 - 09/30/2025 (US Monthly)

Effort Certification Lines

Effort Period 08/01/2025 - 08/31/2025 (US Monthly)

31 items

[icon] [icon] [icon] [icon] [icon] [icon]

Effort Grant	Payroll Periods	Costing Company	Worktags		Original Amount	Original Percent	Change Reason	Certified Amount Estimate
			Payroll	Costing				
			Pandemic Pathogen Preparedness (1U19AI181979-01); RP4 Bunyaviruses Salary Over the Cap Type: NIH Level II Salary Cap	Program: PG003097 Vanderbilt Center for Antibody Therapeutics - AE Acad Research Admin - Crowe Cost Share				
GR013211 4042011351:Crowe, James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20)	08/01/2025 - 08/31/2025 (US Monthly)	Vanderbilt University Medical Center	Job Profile: 2120 - Professor Salary Over The Cap Basis: GR013211 4042011351:Crowe, James E; Human Monoclonal Antibodies for Encephalitic Alphaviruses 5R01AI172156-04 (2022-07-20) Salary Over the Cap Type: NIH Level II Salary Cap	CARTS: CTRIS Research - Internal Funding - Special Allocation Cost Center: CC03159 Vanderbilt Center for Antibody Therapeutics - AE Acad Research Admin Fund: FD001 General Fund Program: PG003097 Vanderbilt Center for Antibody Therapeutics - AE Acad Research Admin - Crowe Cost Share		3.9514%		
GR019663 Crowe,James E; VU MC78931(75N93019C00074) (2024-08-08) Human monoclonal antibodies for novel H5N1 viruses	08/01/2025 - 08/31/2025 (US Monthly)	Vanderbilt University Medical Center	Job Profile: 2120 - Professor Salary Over The Cap Basis: GR019663 Crowe,James E; VU	CARTS: CTRIS Research - Internal Funding - Special Allocation Cost Center: CC03159 Vanderbilt Center for Antibody Therapeutics - AE Acad Research Admin Fund: FD001 General Fund		4.9393%		

Effort Certification View – Prior to July 2025

04/01/2025 - 04/30/2025 (US Monthly)	Effort Period 06/01/2025 - 06/30/2025 (US Monthly)							
05/01/2025 - 05/31/2025 (US Monthly)	6 of 20 items							
06/01/2025 - 06/30/2025 (US Monthly)								
			Worktags		Original Amount	Original Percent	Change Reason	Certified Amount Estimated
Effort Grant	Payroll Periods	Costing Company	Payroll	Costing				
GR019253 CODA: COvid and Diabetes Assessment 5U01DK137533-02 (2024-07-01)	06/01/2025 - 06/30/2025 (US Monthly)	Vanderbilt University Medical Center	Employee: Job Profile: 2120 - Professor Position: Professor Salary Over the Cap Type: NIH Level II Salary Cap	CARTS: CTAAC Administrative - Administrative - Academic Cost Center: CC02879 Medicine - Internal Medicine Div - CD Clin Research Admin Fund: FD001 General Fund Grant: GR019253 CODA: COvid and Diabetes Assessment 5U01DK137533-02 (2024-07-01) Program: PG000896 MED Internal Medicine DIV - CD Clin Research Admin - Suite B (3043650002)		8.6944%		
GR019814 Roumie,Christianne L; RAPID-LHS 5P30HS029767-02 (2025-01-01) : Admin	06/01/2025 - 06/30/2025 (US Monthly)	Vanderbilt University Medical Center	Employee: Job Profile: 2120 - Professor Position: Professor Salary Over the Cap Type: NIH Level II Salary Cap	CARTS: CTRRD Research - Restricted - Department Cost Center: CC03146 Vanderbilt Institute for Medicine and Public Health - AE Acad Grants Gifts Fund: FD001 General Fund Grant: GR019814 Roumie,Christianne L; RAPID-LHS 5P30HS029767-02 (2025-01-01) : Admin Program: PG003526 PG003526 GR005305 4040018339 INGRAM CHAIR IN INTEGRATIVE MEDICINE		2.8981%		

VU Endowed Chairs and Funds (VU Grants)

Best Practices for VU Endowed Chairs and Funds (VU Grants)

NEW SHAREPOINT SITE

[VU Endowed Chairs and Funds \(VU Grants\)](#)

Site Contents:

- VU Utilization Guidelines (Previously available in IRIS)
- Spending Best Practices (New)

If you need assistance, please
email lynn.r.capps@vumc.org



VU Endowed Chairs and Funds (VU Grants) FY25 Update

Thank you for the FY25 results!

Category	# Awards	\$ Awarded	\$ Spent	\$ Unspent
Faculty Chairs and Professorships Faculty Career Development Awards	177	\$27,751,677	\$27,715,905	35,772
Research Funds	106	4,162,027	4,151,866	10,161
General Guidelines	84	5,130,654	5,088,089	42,566
Fellowship and Resident Education Funds	56	2,199,331	2,162,573	36,759
Lectureships	50	785,900	675,380	110,521
Prizes and Awards	13	169,973	122,081	47,892
Total	486	\$40,199,563	\$39,915,892	\$283,671



Department Chairs/CBOs/Other Dept Admin reviewed and signed-off prior to Cecelia Moore and Dr. Balser approving the annual report submitted to VU.

If you need assistance, please email lynn.r.capps@vumc.org

VU Endowed Chairs and Funds (VU Grants) FY25 Update

FY26 is now underway!

Category	# Awards	\$ Awarded
Faculty Chairs and Professorships Faculty Career Development Awards	178	\$27,324,311
Research Funds	106	4,082,644
General Guidelines	84	5,057,382
Fellowship and Resident Education Funds	56	2,151,422
Lectureships	50	794,321
Prizes and Awards	13	105,058
Total	487	\$39,579,722

Reminder: VUMC Leadership expects 100% usage AND that funds are used in accordance with the Grant requirements.



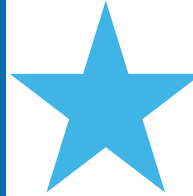
If you need assistance, please email lynn.r.capps@vumc.org

Best Practices for VU Endowed Chairs and Funds (VU Grants)

Donor Usage Requirement

When making plans to utilize these awards:

- **The donor usage notes in Workday should be the primary guidance source.**
 - For Chairs or Research Funds, if there isn't a Workday note, proceed with using the VU Utilization Guidelines.
- The VU Utilization Guidelines should be the secondary guidance source.



If a situation comes up that prevents usage based on the primary donor requirements, please provide Finance with an email explaining the situation, along with a detailed alternate usage plan.

- VUMC Finance will review and send to VU for their approval or additional guidance.
- Alternate usage plans should be approved by VU prior to the close of the fiscal year, to avoid interpretation conflicts during the final audit process.

If you need assistance, please email lynn.r.capps@vumc.org

Best Practices for VU Endowed Chairs and Funds (VU Grants)

Usage / Allowability

- *Primary Guidance:* **Donor agreement**
 - The VU summarized usage notes in Workday on the Award Overview Notes tab
- *Secondary Guidance:* **Vanderbilt University Endowment Distribution Utilization Guidelines**
 - Follow ALL General Guidelines (Section IV.)
 - Then refer to the permissible expenditures by fund types/Utilization Category (Purpose Code field in Workday)

Monitoring Report: For spending balances, use Workday Report: CR RG VU Grant Remaining Balance – Grant Org Level

Best Practices for VU Endowed Chairs and Funds (VU Grants)

Workday Award Setup and Maintenance

- *New Awards:* VU Grant awards are created by Finance.
- *Existing Award Maintenance:* Award changes are completed by Finance.
 - VU may adjust the award amounts during the year. Finance reconciles the award line amounts to VU each month and makes updates to always agree with VU.
 - Finance will review requests to update the Principal Investigator, as needed for CORES processing.
- Requests in COEUS or PEER are not needed for VU Grants.
- Questions about award setup can be directed to Lynn Capps or Lori Hanley.

If you need assistance, please email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

Workday Award Screens – Overview/Summary Tab

AWD001587: JOE C. DAVIS FOUNDATION SCHOLARSHIP IN THE MAMA LE 04/30/2016 (version 0)

Sponsor Award Reference Number

GE_102236

Sponsor Direct Cost / Sponsor Facilities And Administration

300,240.83 / 0.00

Award Contract Dates

05/01/2016 - 06/30/2026

Sponsor

Vanderbilt University

Overview

Award Lines

Budget

Award Tasks

Billing & Receivables

Additional Data

Additional Reports

Set Up & History

Summary

Sponsor

Funding Details

NSF Code Allocation

Notes

Attachments

Company

Vanderbilt University Medical Center

Name

JOE C. DAVIS FOUNDATION SCHOLARSHIP IN THE MAMA LERE HEARING SCHOOL

Description

(empty)

Award Lifecycle Status

Active

Sponsor Award Reference Number

GE_102236

Award Date

04/30/2016

Award Signed Date

04/30/2016

Award Type

VU Grant

Purpose Code

VU Grant - General Guidelines

VU Grant - Programs

Award Status

Approved

Version

0

Version Status

Award In Effect

4 items

Billing Schedule	Schedule Status
BILLSCH_AWD001587_IMPL_CR	Approved
BILLSCH_AWD001587_VUG_FY2024_CR	Approved
BILLSCH_AWD001587_VUG_FY2025_CR	Approved
BILLSCH_AWD001587_VUG_FY2026_CR	Approved

Federal Award Id Number

(empty)

Assistance Listing

(empty)

Assistance Listing Description

(empty)

COEUS ID

VU Grant

Organizations for Award

Cost Center: CC01893 Hearing & Speech - CD Acad Grants Gifts

Award Group

(empty)

Award Contract Owner

Clint Brown (0066475)

If you need assistance, please email lynn.r.capps@vumc.org

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Best Practices for VU Endowed Chairs and Funds (VU Grants)

Workday Award Screens – Overview/Notes Tab

AWD001587: JOE C. DAVIS FOUNDATION SCHOLARSHIP IN THE MAMA LE 04/30/2016 (version 0) 



Sponsor Award Reference Number	GE_102236	Sponsor Direct Cost / Sponsor Facilities And Administration	300,240.83 / 0.00	Award Contract Dates	05/01/2016 - 06/30/2026
Sponsor	Vanderbilt University				

Overview Award Lines Budget Award Tasks Billing & Receivables Additional Data Additional Reports Set Up & History

Summary Sponsor Funding Details NSF Code Allocation **Notes** Attachments

Award Notes 1 item



Notes

VU VIRG Note: 10/2/2009: Joe C. Davis Foundation Scholarship in the Mama Lere Hearing School In June 2008, the Joe C. Davis Foundation Scholarship in the Mama Lere Hearing School was established. The Endowment will provide support on an annual need- basis in the Vanderbilt Bill Wilkerson Center Mama Lere Hearing School. Source: File in the Treasurer's Office. VU Purpose: In FY2008, the Joe C. Davis Foundation established the Joe C. Davis Foundation Scholarship in the Mama Lere Hearing School. The donor established the fund to support an annual need-based scholarship(s) to a student(s) of the Mama Lere Hearing School at the Vanderbilt Bill Wilkerson Center for Otolaryngology and Communication Sciences at the School of Medicine. Per VU 8/29/2025: Support is for an annual need-based scholarship. The scholarship recipient(s) will be a need-based student(s) of the Mama Lere Hearing School. Use of funds outside of recipient scholarships requires prior approval from VU. Per VU 9/8/2025: Joe C. Davis Foundation Scholarship in the Mama Lere Hearing School: The express restriction in the attached GA (under the heading "Restrictions") make clear that the proceeds must be used for scholarship(s) for "need-based student(s) of the Mama Lere Hearing School." This restriction does not extend to "scholarship support" in the form of "salary and fringes" to an employee, nor are the fund's proceeds allowed to be used "to help lower the expense of the hearing school."

If you need assistance, please email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

Lectureships

- Plan the logistics **early**.
 - These events need to occur in time for **expenses to process and post for the current fiscal year.**
 - Promotions and materials should appropriately recognize the donor in print, online and during event introductory remarks.
 - If multiple lectureship endowments have the same donor restrictions, these endowments may be used together to support one event.
 - In these cases, the event should be "co-branded" with both named lectureships equally recognized.

FY25 Questions from VU's Review:

When/who was the Lecture(er) this year? Please provide information on how these charges to the fund support the lecture and/or a complementary purpose.

If you need assistance, please email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

FY25 Questions from VU's Review:

Who was the named fellow/direct recipient for FY25? Please provide information on the \$x expenses of Restaurants and Catering and how they relate to the fund restriction.

Please provide information on how (3 names) support the residency program.

Please provide information on how the expenses charged to the fund supported medical student research.

Fellowship and Resident Education Funds:

- Spending should be prioritized for the direct recipient(s), per the donor usage requirements.
 - Excess spending for programmatic support of the resident or fellowship program should only occur after all support to the direct recipient(s) has been fully exhausted.

If you need assistance, please email lynn.r.capps@vumc.org

Best Practices for VU Endowed Chairs and Funds (VU Grants)

FY25 Questions from VU's Review:

Who was the visiting professor in FY25? How did the charges incurred on the project support the donor restriction?

Broadly describe how the \$x legal expenses supported the endowed chair.

Please provide information on the \$x in Repairs and Maintenance.

Vacant Chairs:

- **Make sure steps are taking place with Faculty Affairs to fill vacant chairs.**
 - These Chairs are setup in WD with Award ID's and \$0 Award Line Amounts.
- **If an awarded Chair becomes vacant during the year, please let VUMC Finance know the departure date of the Chair holder.** This information must be reported to VU.

If you need assistance, please email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

General Spending:

Timing:

- Spend as soon as possible! Spending the full Workday Award Line Amounts can occur any time during the current fiscal year.
- Don't wait until year-end to put allowable expenses on VU Grants.
 - VU commented in a previous audit that some expenses reviewed were appropriate but were not charged to the VU Grant in a timely manner.
 - Allowable expenses should be recorded monthly, to ensure timely billing and reduce the likelihood of errors caused by last-minute fiscal year-end processing.
- Spending should only be for current fiscal year transactions.
 - Prior years have been certified by VUMC leadership, audited, and closed, so additional transactions or corrections from a prior year are not appropriate.
 - Only original expenses for the current fiscal year are allowable.
 - Credit transactions from a prior fiscal year are not allowable. Charges from prior years have been paid by VU and can't be removed.

If you need assistance, please
email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

General Spending (Continued):

Red Flags:

- Spending must comply with the donor's usage purpose and VU's Utilization Guidelines.
 - Awarded funds should not be utilized for department social activities (i.e. retirement parties, holiday parties, sympathy gifts, staff/faculty gifts, alcohol, etc.). Further, promotional/team engagement expenses are not expected expenses, within the Utilization Guidelines.
 - Alcohol, entertainment (staff social activities) or gift expenses should be consistent with VU's travel and entertainment policy, which specifies that these items should be recorded to an unrestricted funding source, which is not a VU Grant.
 - Alcohol or other expenses in this category should only be charged when documentation from the donor exists that specifically states these to be allowable (i.e., as part of an arranged dinner combined with a speaking event on a Lectureship fund). If applicable, this documentation should be included in Workday, as part of the transaction support.

If you need assistance, please
email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

General Spending (Continued):

Reminders:

- Direct expenses that meet the donor usage requirements should be the only activity applied to these awards. VU Grant awards should not be used as temporary funding sources.
- Non-salary costs should have a detailed business purpose and appropriate supporting documentation in Workday. Ensuring appropriate support when the transaction occurs can help prevent follow-up questions.
- Spending should not use miscellaneous expense accounts and lump entries should be avoided.
 - **VU requires annual reporting by natural class account**, so non-salary expenses moved to a VU Grant with a manual journal entry must use the original general ledger account and appropriate supporting documentation should include the original account and transaction date. These entries and supporting documentation should be completed like an original transaction and able to stand alone.
- New For FY26: Effective August 1, 2025, **VU Grant GR** work tags **can be used** in Payroll Costing Allocations (PCA) to directly charge salary over the cap. The **VU Grant PG** work tags are **no longer needed** and should not be used.

If you need assistance, please email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)



General Spending (Continued):

Deficits:

- VU and VUMC do not allow overspending on these awards. Please establish controls to prevent spending over the award amount, as VUMC can't bill VU for reimbursement of the overspending.
 - The CR RG VU Grant Remaining Balance – Grant Org Level report provides Commitments, Obligations and Remaining Balance after Encumbrances, which helps departments monitor remaining balances or potential deficits.
 - Note: Finance processes use the Remaining Balance based on actual expenses. Please ensure commitments and obligations are clearing as expected.
 - Consider charging some allowable non-salary expense to the VU Grants.
 - Payroll Accounting Adjustments (PAAs) can be avoided for small amounts.
 - Manual journals can be processed more quickly to meet year-end deadlines.

If you need assistance, please email lynn.r.capps@vumc.org

Best Practices for VU Endowed Chairs and Funds (VU Grants)

VU Annual Review (Each August):

Purpose:

- The purpose of Vanderbilt's annual review is to ensure that the funds granted to VUMC are being used in accordance with the directions of Vanderbilt, and ultimately our donors.
- Stewardship of these funds is of shared importance to Vanderbilt and VUMC, not only to ensure compliance, but also to support our continued philanthropic efforts.

Expected Result From VU To VUMC Leadership:

- Our review of the FYXX report pursuant to the Master Endowment and Grant Agreement (MEGA) found that funds were used in accordance with the Grant requirements.

If you need assistance, please
email lynn.r.capps@vumc.org



Best Practices for VU Endowed Chairs and Funds (VU Grants)

Timeline (Each Fiscal Year):

Date	Description
July – June	Departments should ensure monthly, allowable expenses are posted and non-salary costs have a detailed business purpose and appropriate supporting documentation in Workday.
July, Year-End Close	Departments should ensure all final allowable expenses for June are posted and non-salary costs have a detailed business purpose and appropriate supporting documentation in Workday. All expenses for the fiscal year should be reviewed again by departments, while there is time to make additions or corrections, before the year-end processing deadline.
By June 30th	Finance will add the next fiscal year's award lines in Workday, while the current fiscal year is being closed, to allow for the new year's transactions to continue posting without interruption. These award lines will have the current fiscal year's award amounts as placeholders, which will be updated early August, once VU provides the final award amounts.
July 20	Provide VU Grant <75% unspent explanations to VUMC Finance.
July 20	Annual Expenditure Report due to VUMC Finance, including responsible AO and CBO certifications. These are due to VU with VUMC CEO AND CFO approvals by 7/31.
August 1 - 31	VU audit of Annual Expenditure Report underway. Please be available to provide additional support or explanations to VU's questions. Immediate responses are needed, as required by the MEGA.
August 1 - 8	VU will provide final award amounts for new fiscal year. These amounts will be updated in Workday, prior to the completion of July's close.
August 15	Annual Impact Statements due to VU.
Sept 1	Ensure plans for the new fiscal year's VU Grant spending are finalized. Ensure Payroll Costing Allocations (PCA's) are entered into Workday.
Oct 31	VU provides award increase amounts resulting from reinvesting unused prior fiscal year funds (done after additional units are purchased in September).
Dec 31	VU provides projected award amounts for the next fiscal year for budgeting purposes. Award file also includes the annual update to market values.



If you need assistance, please email lynn.r.capps@vumc.org



FY2025 IS COMPLETE AND RESULTED IN A RECORD YEAR OF SPENDING! THANK YOU!!

FY2026 IS UNDERWAY.

- Plan and start spending now, to achieve 100% allowable usage by 6/30/2026.
- Contact Lynn Capps for assistance.

Reminder

If you or your team member needs to be added to the Research Town Hall distribution list, please reach out to Tabitha Huck.

tabitha.m.huck@vumc.org



Questions?

Next Research Town Hall: October 16th