



**College of Medicine
Research Administration Meeting
Agenda
June 8, 2016**



Agenda

Announcements

Financial Conflict of Interest

Research DA meeting documentation

Reminder of student travel

Procurement and Procard edit forms

SRAS staff to receive PBC training in July

General Reporting Update

Stark

Delegated Signature Authority for Grants

Anderson

Cost Share

Anderson



Delegated Signature Authority

Written delegation of signature authority is required in order to comply with AR 8:3

<http://www.uky.edu/regs/files/ar/ar8-3.pdf>



Delegated Signature Authority

DELEGATION OF SIGNING AUTHORITY FOR GRANT ACCOUNTS¹ (WBS ELEMENTS)

To Whom It May Concern:

By means of this letter, I, _____ (PI/Delegating Official), delegate the authority herein described to _____ (the Delegate), on the following terms and conditions:

- The Delegate may sign, on my behalf, for expenses/income EXPENSES related to my Research (PI will initial by each one that delegate has authority to sign)

____ DAVs/PRD's	____ Purchasing Requisitions/SRM	____ Procards
____ Travel Voucher	____ JV's (less than 90 days old)	____ SAG's
____ SPV	____ Check/Cash Transmittal's	
- Grant, Account # _____

- The effective date of this delegation is _____ and shall run until _____, or until revoked by the PI/delegating official or his/her direct supervisor.
- The authority delegated is not subject to sub-delegation without my prior and express written consent.
- The Delegate is fully aware of the intent, scope, and forecasted activities of my research project, and as such, will be able to verify that the nature of any expense being approved is required to carry out the research as laid out in the original award.
- This signed form must reside in the departmental grant file for auditing purposes.
- The PI is ultimately responsible for the expenses charged to the grant account and the detailed ledgers must be reviewed by the PI monthly. (Roles and Responsibilities www.uky.edu/EVPFA/Controller/files/BPM/E-1-3.pdf)
- The Delegate who will have signature authority must be a regular employee of the University (*students are not allowed to be delegated this authority*)

Signature (Delegating Official)

PI Name _____ Date: _____

PI Responsibility Statement: *I understand and acknowledge that I am still responsible for the expenses that charge to my grant and it is my responsibility to routinely review my accounts for accuracy.*

Acknowledged and agreed:

Signature [Delegate] _____

Name and Title _____ Date _____

Optional/Suggested:

Signature [Dean/Chair/Director] _____

Name and Title _____ Date _____

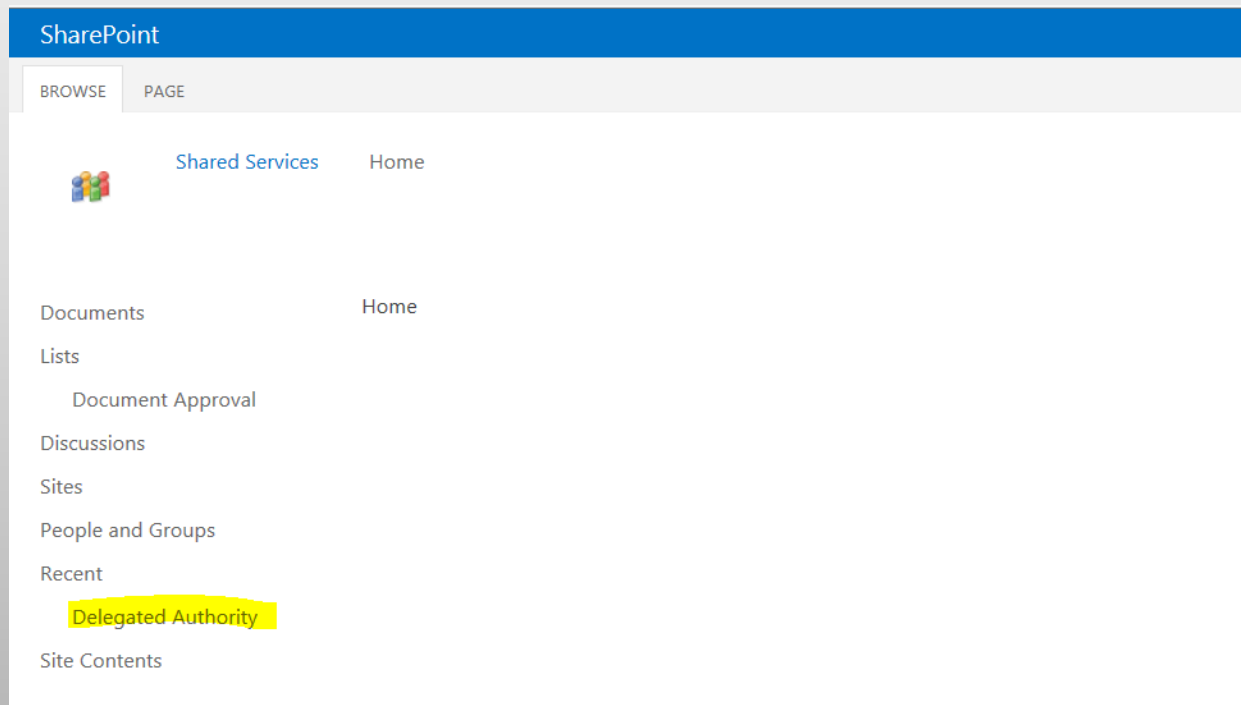
¹ Written delegation of signature authority is required in order to comply with AR 8:3 <http://www.uky.edu/regs/files/ar/ar8-3.pdf>



Delegated Signature Authority

<https://medicine.ukhc.org/services/default.aspx>

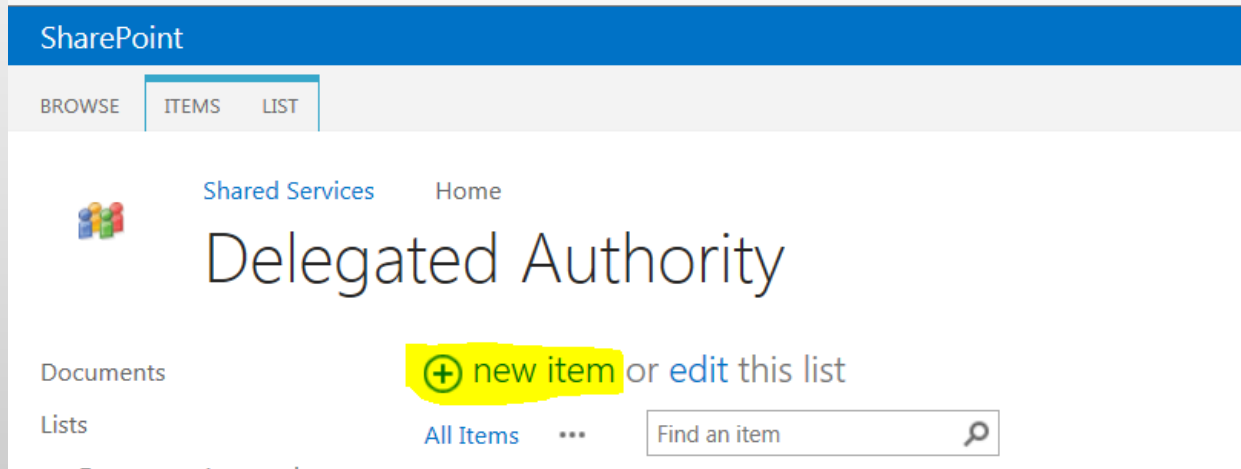
To the left of the screen, click on “Delegated Authority.”





Delegated Signature Authority

At the next screen, click on the “+ new item” option near the top.





Delegated Signature Authority

The next screen will appear like this:

1. The Delegate may sign, on my behalf, for expenses related to my Research including DAVs/PRD's, Purchasing Requisitions/SRM, and Procards.
2. The authority delegated is not subject to sub-delegation without my prior and express written consent.
3. The Delegate is fully aware of the intent, scope, and forecasted activities of my research project, and as such, will be able to verify that the nature of any expense being approved is required to carry out the research as laid out in the original award.
4. The PI is ultimately responsible for the expenses charged to the grant account and the detailed ledgers must be reviewed by the PI monthly. (Roles and Responsibilities www.uky.edu/EVPFA/Controller/files/BPM/E-1-3.pdf)
5. The Delegate who will have signature authority must be a regular employee of the University (**students are not allowed to be delegated this authority**)

Delegate
Enter in the delegate.

Account Numbers *

PI/Delegating Official

- This form may be completed by anyone – either the PI or someone the PI instructs to complete it on his/her behalf.
- The PI must have read and be familiar with the responsibilities and expectations regarding this delegation as explained on the form.
- One entry/form must be created for each individual to whom the PI would like to delegate purchasing authority.



Delegated Signature Authority

Delegate

Enter in the delegate.

If just the name is typed and spelled correctly, provided they're Outlook, it will find the email for the individual. Options may pop up, if more than one is available and the correct one must be selected.

All grant accounts/WBS number for whom the PI has authority to delegate can be provided in this box.

Account Numbers

This is an open text box. These grant account/WBS numbers are not verified in any way in the system when entered on this form. You can enter one after another in a row with a space between each one or in a list. No punctuation between each is needed.



Delegated Signature Authority

The PI for the stated grant accounts/WBS numbers should be entered here (even if they've completed the form for themselves):

PI/Delegating Official

This field works the same as the “Delegate” field – it finds the person names in the system, and options may appear from which one will need to be selected.

Once the form is complete, click the Save button:

Save



Delegated Signature Authority

Once the request is submitted, the PI will receive the following email:

From: sharept@email.uky.edu
To: [Stark, Susan M](#)
Subject: Approval Required for Delegation of Signing Authority
Date: Wednesday, March 09, 2016 11:57:28 AM

Workflow Notification

Stark, Susan M has been submitted for delegation of your accounts.
Account Numbers: 3040000000
[Review Request](#)



Delegated Signature Authority

The email will be addressed to the PI. The name in the text/message section of the email will be to whom delegation is being assigned.

Upon clicking the active link, Review Request, in the email, the details can be seen of the delegation being assigned -- to which person and for which grant accounts/WBS numbers. There will be an option for the PI to Approve or Reject the delegation and provide any comments.

Request approval

Use this page to approve or reject submissions. Note that rejecting an item does not delete it. [Learn about requiring approval.](#)

Stark, Susan M has been submitted for delegation of your accounts.

1. The Delegate may sign, on my behalf, for expenses/income related to my Research for DAVs/RDS's, Purchasing Requisitions/SRM, and Procards.
2. The authority delegated is not subject to sub-delegation without my prior and express written consent.
3. The PI is ultimately responsible for the expenses charged to the grant account and the detailed ledgers must be reviewed by the PI monthly. ([Roles and Responsibilities](#))
4. The Delegate who will have signature authority must be a regular employee of the University (students are not allowed to be delegated this authority)
5. Should the delegate's employment status or authority change during the fiscal year, the PI will contact their Administrator to end the delegated signature authority.

Status

Approve / reject the item.

Approved

Rejected

Comment

Use this field to enter any comments about why the item was approved or rejected.

OK Cancel

Any comments provided here will be viewable via the table generated at the conclusion of the process via a link in the Delegated Authority column item.



Delegated Signature Authority

Once the PI approves, then the Delegate will receive an email, asking that they accept the delegation. The email will look like this:

From: sharept@email.uky.edu
To: [Stark, Susan M](#)
Subject: Acceptance Required
Date: Wednesday, March 09, 2016 12:03:41 PM

Workflow Notification

Acceptance required for Delegation of Signing Authority from Stark, Susan M
Account Numbers: 3040000000
[Review Request](#)



Delegated Signature Authority

The email will be addressed to the Delegate. The name in the text/message section of the email will be the PI's.

Upon clicking the active link, Review Request, in the email, the details can be seen of the delegation being assigned -- to which person and for which grant accounts/WBS numbers. There will be an option for the Delegate to Approve or Reject Acceptance of the delegation and provide any comments.

Request acceptance

Use this page to approve or reject submissions. Note that rejecting an item does not delete it. [Learn about requiring approval.](#)

Approval

Acceptance required for Delegation of Signing Authority from Stark, Susan M

1. The Delegate may sign, on my behalf, for expenses/income related to my Research for DAVs/RDS's, Purchasing Requisitions/SRM, and Procards.
2. The authority delegated is not subject to sub-delegation without my prior and express written consent.
3. The PI is ultimately responsible for the expenses charged to the grant account and the detailed ledgers must be reviewed by the PI monthly. ([Roles and Responsibilities](#))
4. The Delegate who will have signature authority must be a regular employee of the University (students are not allowed to be delegated this authority)
5. Should the delegate's employment status or authority change during the fiscal year, the PI will contact their Administrator to end the delegated signature authority.

Status

Approve / reject the item.

Approved

Rejected

Comment

Use this field to enter any comments about why the item was approved or rejected.

Any comments provided here will be viewable via the table generated at the conclusion of the process via a link in the Delegated Authority column item.



Delegated Signature Authority

The Delegate must accept the delegation to complete the process.

Upon completion of this process, entry into a summary table will occur which will provide details of the grant account/WBS numbers, PIs, and Delegates. It will also include the date the delegation was completed, and a default end date, based on the College's annual process for delegation updates.

The Post Award staff in the SRAS and the IBU will use this table as a source for determining who is allowed to ask that charges be assessed to particular grants.

Account Numbers	PI/Delegating Official	Delegate	Delegated Authority	PI Approval Date	End Date
3040000000	Bridenbecker, April D	Silvestri, Brenda	Completed	1/27/2016	10/30/2016
3040000000	Bridenbecker, April D	Roussos, Tanisha	Completed	1/27/2016	10/30/2016
3040000000	Elliott, Julia A	Bridenbecker, April D	Completed	1/27/2016	10/30/2016
3040000000	Elliott, Julia A	Silvestri, Brenda	Completed	1/27/2016	10/30/2016

Comments provided by either a PI or a Delegate during the process can be viewed by clicking in the hyperlink on the item in the Delegated Authority column, and then clicking on the Request Approval or Request Acceptance hyperlinks that appear at the next screen.



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Stark

Delegated Signature Authority for Grants

Anderson

Cost Share

Anderson



Cost Share Policy

II. Policy

A. The University will only provide cost sharing when required by the sponsor or in exceptional situations when the institution determines that such a contribution is necessary to ensure the success of a competitive proposal. Negative consequences of cost sharing include, but are not limited to, the following:

1. Tracking and documenting cost sharing is an administrative burden.
2. Unfulfilled cost sharing commitments or lack of documentation may result in expenditures not being reimbursed by the sponsor.
3. Cost sharing dollars in the aggregate have a negative impact on the University's Facilities and Administrative (F&A) cost rate: the higher the amount of cost sharing, the lower the resulting F&A rate.



Cost Share Policy

II. Policy

B. When cost sharing is mandated by the sponsor, it must be committed only to the extent necessary to meet the specific requirements. Principal investigators and departments may not include voluntary cost sharing commitments in a proposal without the prior approvals described in Section V.A.

V. Procedures

A. Proposal submission and cost sharing approval

1. Document all cost sharing included in a proposal on the Internal Approval Form (IAF).
2. Attach a copy of the regulations or guidelines requiring the cost sharing to the IAF if the program has mandatory cost sharing.
3. If there is third-party cost sharing, submit a written letter of commitment outlining the cost sharing from an authorized representative of the third party to OSPA along with the proposal.
4. All cost sharing must be reviewed and approved by the unit providing the resources and by the College's Associate Dean for Research. Approval is indicated by signing the Internal Approval Form (IAF). The signed form should then be forwarded to OSPA prior to proposal submission.
5. Voluntary cost sharing that is 25% or more of the total proposed budget must also be reviewed and approved by the Director of OSPA. NOTE: resources and facilities available at the University that are listed in a resources statement in a proposal are not considered cost sharing.



Cost Share Procedures

V. Procedures

C. Documenting cost sharing

Documentation is the responsibility of the department/unit designated as the responsible unit on the grant/WBS element.

1. Posting expenses

a. All allowable expenses to be recorded as committed cost sharing must be recorded using the grant/WBS element and the cost sharing fund. The cost sharing funds will be assigned as follows:

0011890000 Fiscal Affairs & Information Technology

0011890100 Research Cost Sharing Fund

0011890200 Medical Center Cost Sharing Fund

0011890300 Provost Cost Sharing Fund

0011890500 Administration Cost Sharing Fund

0011890600 WUKY Cost Sharing Fund

b. The fund must be entered manually on all cost sharing documents. If the fund is not entered, the expense will post to the sponsor fund, causing the sponsor to be billed for the expenses.

<http://www.uky.edu/EVPFA/Controller/files/BPM/E-50-2.pdf>



Cost Share Procedures

D. Funding cost sharing

1. Cost sharing commitments must be funded no less than quarterly.
2. The principal investigator and department administering the grant/WBS element are responsible for transferring funds from departmental non-sponsored sources into the cost sharing fund through the JV transfer process.
 - a. The JV will debit the source of cost sharing and credit the grant and cost sharing fund.
 - b. JVs may be processed up to the recorded cost sharing commitment.
 - c. Actual expenditures must not exceed the funded amount at the end of a fiscal year.
 - d. Funding JV entries

Salaries	750510	DR	Cost Center
Benefits	750515	DR	Cost Center
Current Exp	750520	DR	Cost Center

Salaries	740510	CR	Grant/ WBS & Cost Sharing Fund
Benefits	740515	CR	Grant/ WBS & Cost Sharing Fund
Current Exp	740520	CR	Grant/ WBS & Cost Sharing Fund

3. Cost sharing committed by a source other than the department (i.e. Vice President for Research) must be funded by that unit using the JV procedure mentioned above.
4. If the grant/WBS element continues beyond the current fiscal year end, budgeted balances and any positive cash balance in the cost sharing fund will automatically be carried forward.



Cost Share Commitment

Cost Sharing Information Form

Date: <u>October, 24, 2013</u>	PI: <u> </u>	Fund: <u>0011890300</u>
Account: <u>3048 </u>	UKRF/MIS #: <u> </u>	
Title: <u>SI2-SSI Collaborative Research: AComputational Materials Data and Design Environment</u>		
Sponsor: <u>National Science Foundation</u>		

The above referenced account has a cost sharing obligation which must be documented in accordance with University of Kentucky Cost Sharing Guidelines. Cost sharing was either committed in the proposed budget or is a result of the actual award totaling less than the proposed budget. Details are outlined below.

- This sponsored project includes a requirement to report cost sharing directly to the sponsor.
- Faculty effort is committed as cost sharing and must be documented through the Faculty Effort System.

Sponsored Project Accounting Reporting Details
 F & A Rate: 48.5 % Base: 4 Func. Area 0220 Is Off Campus: N Budget Rule: 4

PROPOSED COST SHARING COMMITMENT

Completed by Office of Sponsored Projects Administration (OSPA)

Method	Budget Detail	Percent	Year	Amount	Matching Funds
Facilities & Administration	F&A on cost share effort			\$0.00	
Faculty Effort System	Finkle 1% effort per year	1.00		\$7,593.00	
Direct: \$7,593.00		Total:		\$7,593.00	

OSPA Research Administrator: Patsy J. Wood Phone: 257-4526
 Email

Remarks: Cost share is total for all years.
 Cost share is PI 1% effort per year. Total = \$7,593
 and unrecovered F&A on cost shared effort



Cost Share Funding

Automatic Funding Program

- Departments have the opportunity to participate in the automatic funding program for cost share expenses charged to a sponsored project (WBS elements 304XXXXXX) on the cost share fund (0011890X00).
- Department provides a single cost center which will automatically be charged for any expenses posted to the cost share fund(s) for projects with the respective department listed as the responsible unit in SAP. The program is run monthly, typically the 3rd business day after calendar month end, and as needed at fiscal year end.
- If/when a department begins participating in the automatic funding and there is a project with cost share expenses from other areas, the program will charge only the cost center for the responsible unit. However the funding can be transferred between departments as needed. The instructions received from General Accounting for such entries are:

The departments will need to use the 75 GL accounts on both sides of the transactions between the cost centers. Also, they need to put the grants that are involved in each of the transactions in the assignment fields.



Cost Share Reporting

- Since July, 2007, any cost share created will use WBS element and cost share fund to both post charges and fund the account.
- The BW report grants ledger can be used to restrict your grant and cost share fund to view both expenditures and funding.
- The S_ALN_01000003 can also be used with the CS BALANCE (both expenditures and funding) or CS EXP ONLY (expenditures only) variants to view cost share information.



Cost Share Reporting

The screenshot shows the navigation menu of the IRIS (Integrated Resource Information System) application. The menu is titled 'User Favorites and Roles' and includes a 'Welcome' section for 'Tina Navis'. The main navigation area is divided into several categories: 'Favorites', 'FI Financial Accounting', 'FI Ledger Sheets', and 'Grants Management'. Under 'FI Ledger Sheets', the 'Special Ledger' option is highlighted with a red arrow. Under 'Grants Management', the 'Grant Ledger- PI Summary' option is highlighted with a red line and a red circle.

- ▼ User Favorites and Roles
 - ◀ Welcome
 - ◀ Tina Navis
 - ▶ Favorites
 - ▶ FI Financial Accounting
 - ▼ FI Ledger Sheets
 - ▶ Special Ledger
 - ▶ Funds Management / Budget Control
 - ▼ Grants Management
 - 📄 Grant Ledger- PI Summary exec summary
 - 📄 Grant Budget Item Details
 - 📄 Grant Ledger
 - 📄 Grant Ledger- PI GL Account Detail
 - 📄 Grant Ledger- PI Sponsored Class Detail
 - 📄 Grant Ledger- PI Summary
 - 📄 Grant Line Item Detail



Cost Share Reporting

Variables for Ad Hoc Report

Statistical indicator (*)	R	Real Posting	
Fiscal Year			
Fiscal Period/Year (Required) (*)	003/2009	SEP 2009	←
Company Code (Required) (*)	UK00	University of Kentucky	
G/L Account	#	UK00/Not assigned	To 0000999999 UK00/0000999999
Business Area	=		Include ▼ Insert Row
Functional Area	=		Include ▼ Insert Row
Fund Department	=		Include ▼ Insert Row
Prime Grant	=		Include ▼ Insert Row
Grant	=	3048103613 OFFICE OF TECHNOLOGY	← Include ▼ Insert Row
Grant Responsibility type	=		Include ▼ Insert Row
Grant Sponsor	=		Include ▼ Insert Row
Sponsored Program	=		Include ▼ Insert Row
Sponsored Class	=		← Include ▼ Insert Row
Funds Center	=		Include ▼ Insert Row
Fund	*	001189*	← Include ▼ Insert Row
Discipline	=		Include ▼ Insert Row

Execute Check



Cost Share Reporting

GM project from date	GM project to date	Sponsored Class		G/L Account		Fund	Current Expense	Fiscal YTD Expense	Cumulative PTD Expense	Available Balance (Released)
07/01/2007	06/30/2008	E512011	Exec/Mgr/Admin Sala	0000512011	Executive - Regular	0011890300		\$ (143.16)	\$ 34,137.29	\$ (34,137.29)
				0000512012	Executive-Nproductv	0011890300		\$ 143.16	\$ 858.96	\$ (858.96)
				0000512021	Prof Salaries - Mont	0011890300			\$ 4,020.40	\$ (4,020.40)
				0000512022	Admini-Nproductive	0011890300			\$ 1,706.04	\$ (1,706.04)
				Result						\$ 0.00
		E522000	Staff Benefits	0000520720	MFB - Staff	0011890300			\$ 1,506.72	\$ (1,506.72)
		E522011	Exec/Mgr/Admin Bene	0000520103	EHC-Exec/Managerial	0011890300			\$ 1,603.50	\$ (1,603.50)
				0000520104	EHC-Prof Admin	0011890300			\$ 365.00	\$ (365.00)
				0000520203	ELI-Exec/Managerial	0011890300			\$ 32.49	\$ (32.49)
				0000520204	ELI-Prof Admin	0011890300			\$ 6.59	\$ (6.59)
				0000520303	FS-Exec/Managerial	0011890300			\$ 12.84	\$ (12.84)
				0000520304	FS-Prof Admin	0011890300			\$ 2.74	\$ (2.74)
				0000520403	FICA-Exec/Managerial	0011890300			\$ 2,550.87	\$ (2,550.87)
				0000520404	FICA-Prof Admin	0011890300			\$ 411.93	\$ (411.93)
				0000520503	Retmt-Exec/Manageria	0011890300			\$ 3,631.62	\$ (3,631.62)
				0000520504	Retmt-Prof Admin	0011890300			\$ 702.64	\$ (702.64)
				Result						
		R619999	Mand CS - Personnel	0000740510	Tr fm CS - Salary	0011890300			\$ (45,715.81)	\$ 45,715.81
				0000740515	Tr fm CS-Benefit	0011890300			\$ (5,833.82)	\$ 5,833.82
				Result						\$ (51,549.63)
		Result						\$ 0.00	\$ 0.00	\$ 0.00



Cost Share Reporting

T Code S_ALN_01000003

Budget Vs. Commit./Actual Journal

Options

- Company Code
- Grant
- Grant Group
- Sponsored Program
- Sponsored Class
- Fund **→**
- Sponsor
- Funding Date
- Passthrough Consolidation

Budget

Budget Version

- Subtotal per Time Slice
- Show Payments
- Show All Sponsored Classes
- Show Validity Periods

Report Currency

Report currency

Conversion Date

Exchange Rate Type

Report Extractor

- By Grant
- By Grant/Fund/Prog
- By Grant/Fund/Prog/Class

ABAP Variant Directory of Program BFGMAB30

Variant Catalog for Program BFGMAB30

Variant name	Short Description	Environment	Protect	Changed by	Last Changed
CPST EXPENSE	Exclude R799999 + Revenue	A	X		
CPST GRANTS	CPST Grants (Direct Costs)	A	X		
CS BALANCE	Cost Share Expense/Funding/Bud	A	X		
CS EXP ONLY	Cost Share Expense and Budget	A	X		
CS REV	CS Fund and Revenue	A	X		
CV ENHANC 10	CVRC enhancement 2010	A	X	DROCKE	02/13/2009
DAUGHERTY PPG	Daugherty PPG accounts	A	X		
DAUGHERTY INB	Daugherty PPG accounts	A	X		
DIR EXP ONLY	Exc R799999+Rev+RS+R/A	A	X		
DIRECT EXP-CC	Exclude R799999,Revenue,F&A	A	X		
DIRECT EXP-EE	Exclude R799999,Revenue,F&A	A	X		
DIRECT EXP-RH	Exclude R799999,Revenue,F&A	A	X		
DIRECT EXP-PSY	Christie's Grants	A	X		
DIRECTEXP ONLY	Exclude R799999 + I30999	A	X		
DIREXPONLY	DirExp only excludes F&A	A	X		
DRECT EXP	Exc R799999+Rev+F&A	A	X		
DRECT EXP PSY	Exc R799999+Rev+F&A	A	X		
E HSL REPORTS	Exclude R799999 + Revenue	A	X		



Cost Share

For more details related to cost share, please refer to the following link:

http://myhelp.uky.edu/rwd/HTML/GM/FI_GM_320_v5.pdf

Cost Share presentation by Paige Brown,
Sponsored Projects Accounting



Questions?