Sponsored Projects and Workday Setup: Frequently Asked Questions

As you are aware, the implementation of Workday Financials impacted the overall business processes for Financial Management of Sponsored Projects across the University. One of the largest impacts was to the setup of Awards and Grants, or “accounts”, in the financial system.

In an effort to demystify the new process as well as communicate what hasn’t changed, the Office of Sponsored Projects has compiled the following Frequently Asked Questions (FAQs), to assist the community. The FAQs can also be viewed on the OSP website in the Financial Management section, Sponsor Projects and Workday Setup: Frequently Asked Questions. We will continue to add to the FAQs, and update the community, as new items arise.

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1. **What hasn’t changed with the implementation of Workday in the award setup process?**

**Award Review, negotiation and acceptance**
When an award is received in OSP, the documentation (notice of award, fully executed contract or grant agreement, etc.) is reviewed by the OSP Award or Contract Manager for sponsor terms and conditions. If further negotiation is required, the OSP Award or Contract Manager will contact the PI and Department Business Office to notify them of the negotiation and delay in processing of the setup. If no negotiation is required, the OSP Award or Contract Manager will process the award for setup.

Once the award or contract has been reviewed, the expected time for the receipt of an account can vary. In our busiest time of year, volume can impact the process. OSP is committed to staff accordingly to address the additional volume in anticipation of the increased volume. We are evaluating the impact of the new business processes and systems. OSP is striving to process setups as quickly as possible.

Please be aware that At Risk Requests, No Cost Extensions and Clinical Trial setups (including protocol renewal and account extensions) are prioritized for setup. The anticipated turnaround for these types of accounts have historically been two to three business days.

**At-Risk Request process**
Both At-Risk and Pre-Award requests can be made by using one simple form. Once the At-Risk Request form is completed, please forward it, along with any supporting documentation, to your OSP Award or Contract Manager via your assigned GCAT with a copy to your Award or Contract Manager. Once it is logged to the Award or Contract Manager, they will review and act on the request accordingly. If the At Risk is for a new award, please submit a Workday Award Setup Webform for the financial setup as well.

**No-Cost Extension request process**
Depending on your award, certain requirements must be met before a no cost extension may be requested. Please refer to the no cost extension portion of the OSP Webpage for more information.

**IRES Proposal Tracking Setup process**
The OSP Coordinator in the IRES Setup team reviews for the completion of any relevant compliance requirements, then enters the award into the IRES Proposal Tracking system and completes the setup in IRES Proposal Tracking.

**Compliance review process**
When a sponsored award is received and processed for setup, a compliance review is completed to ensure an account is not set up until all regulatory requirements are met. If there is a requirement that is outstanding, the setup will be placed on a regulatory hold in IRES PT and the Department Business Office and PI are informed of the hold and the required actions to be taken.

2. **Which regulatory holds can delay the setup of an award?**

Setups can be delayed for any one or more of the following reasons:

- Expired or Missing Financial Disclosure for Key Personnel
• Transactional Review requirement for Key Personnel to be conducted by the COI Office (Conflicts identified by the COI Office can further delay the setup if a Management Plan is required)
• Pending Protocols for Animal or Human Subjects
• Incomplete requirements of training by responsible Personnel (this includes Introduction to Sponsored Projects for the Award PI as well as the completion of the Patent Policy Acknowledgement Agreement (PPAA) for all Key Personnel)

3. Where can I find out if my award has a regulatory hold?

When an award is placed on hold for any of the above reasons, the IRES Setup team will send a communication to the Department Business Office and the Principal Investigator indicating the Award is on “hold” and why. IRES users may find information about the status of their award setup or specific hold by opening the IRES record in PT View, navigating to the Activity Log section on the left side of the screen, and reviewing any “Open” activity log items. The activity log will explain the status of a hold, or identify that the hold has been lifted (activity closed).

4. How do I know my account is setup in Workday?

Once an account is completed by the OSP Accountant in Workday, whomever has the role of Award Analyst or Grant Manager in the Business Office will be notified in their Workday notifications. The notification will include a link to the Workday Award which will then identify the active Grant(s) for charging.

The Principal Investigator is not notified of the setup of an Award or Grant by Workday or OSP. Notifications in Workday are only configured to be sent to those with the role of Award Analyst or Grant Manager. It is up to the Business Office to communicate the completion of the setup to the Principal Investigator.

5. How do I find an Award or Grant in Workday?

There are many ways to search in Workday. If you have a Workday Award Number, you can type it into the Search field on the Workday screen.
You can type in the name of the Grant into the Search Screen and Workday will return results that match your search.

You can search by Grant Number in the same way.

Once you have located the Grant and opened it, you can then click on the number next to the word “Usages” in the middle of the screen and Workday will open a screen with the Workday Award number the Grant is associated with.
If you are searching for a converted Award that has an OGM Sponsored Award Number, you can search in Workday by typing “AWD” in front of the existing OGM award number (for example P00416 = “AWDP00416”). Additionally, converted Grants will carry the former PTAO (i.e. 1098124-1-A11115-707103) as part of the name of the grant.

Alternatively, without that information, you can utilize the “Find Awards and Grants – Yale” report in Workday. Type “Find Awards and Grants – Yale” in the Search field and you will be presented with a number of options you can search by. You can search by PI, by Sponsor, by cost center, even by IRES Proposal #. The more information you have the more refined your search.

If you notice that a Workday Award does not have the IRES Proposal ID populated, please contact your OSP Accountant to add the number. This identifier should always be populated in Workday.

6. How do I find out the status of an Award setup in IRES or Workday?

Department Business Offices users may find information about the status of their award setup utilizing the IRES Proposal ID number.

Within Workday
- Run “Find Awards and Grants Report – Yale” (follow the instructions above under FAQ #5 “How do I find an Award or Grant in Workday?”)
  - If you enter the IRES Proposal ID into the Workday report and you do not receive any results, navigate to IRES to continue your search. Open IRES enter the IRES Proposal ID in the Search screen, click “Locate”
Within IRES Proposal Tracking (PT)

- Open IRES PT, enter the IRES Proposal ID in the Search screen, click “Locate”
- Within the results, hover over the IRES number and click on the PT View icon
- Navigate to the Activity Log section on the left side of the IRES screen – click on the Activity Log folder
- Review any “Open” activity log items. (Open logs are filtered to appear on the top of the list of activities)
  - Open logs might be to your Award or Contract Manager and should indicate what the current pending action is.
  - Open logs can also identify the setup has been logged to the OSP Coordinator to process the setup in IRES.
  - The log can also indicate if an award is “On Hold” (see FAQ #2 & 3 above for further information.)
  - Once an award is completed in IRES PT, an activity is closed and the comments field will show a date and “In Review” which indicates it has completed the QA process in IRES (i.e. 10/19/17 – In Review)
  - The OSP Award Coordinator then sends a notification to the Accountant out of the Communications Tab in IRES with the Award Notice, Webform and any other relevant information to setup the account in Workday.

If you are still unable to identify the status of your award setup, please contact your OSP Award or Contract Manager for further information. If you do not know your point of contact in OSP, please view our Sponsored Projects Contacts page.

7. What does OSP need to set up an account for a sponsored award in Workday?

The requirement for collaboration with the department evolved out of the Service Group (which included representation of approximately 20 people from business offices across campus). The reason for the recommendation was to minimize rework, ensure a new account was set up correctly and in the manner that would facilitate accurate reporting and award management. To do so, it was determined the department business offices would need to be involved in identifying the initial structure of the account.

Additionally, names for Awards and Grants in Workday need to make sense to PIs and business offices since these are what show up on reports in Workday (Effort Reports, Portfolio Reports, etc.) and are searchable in Workday.

To capture the information required, the Workday Webform was created and can be found on the Workday Award Setup Webform page of our website.

Upon submission of the Webform, it is automatically sent to OSP and is then uploaded into the corresponding IRES record. The Webform is provided to the OSP Accountant when they are setting up the Award and Grants in Workday Financial.
8. Rather than holding up award setups while waiting for a form from the business offices, can the awards be set up as described in IRES Proposal Development, and if a department needs changes, they can use the webform at that point?

Though it might be expected that new proposals submitted in FY’18 would have the correct information in IRES PD to facilitate the accurate setup in IRES, the business office representatives in the service group admitted that in some departments, those that submit the proposal are different than those that manage the award when it is funded. Given this, the Cost Center may not be accurate, or other pieces of information may not be how the PI will want to manage the award once received. If the cost center is inaccurate, for example, the setup, once completed, may not be distributed to the correct individuals as it is based on roles associated with the cost center entered at setup. Additionally, the names for the Award as well as the Grant, or multiple Grants are also required and need to be unique. Finally, the department may want the structure of award to be different than what can be provided for in the IRES record at time of proposal. Without input from the department, there is a likelihood of much rework after the initial setup has been completed if the data in the record is inaccurate or incomplete.

Since the reminder/request for the webform is sent at the time the award notice or fully executed contract is received by OSP, there should be enough time for the webform to be submitted by the department business office while the award is being reviewed in OSP prior to setup.

However, if the webform is not received in OSP by the time the setup is being processed in IRES, the OSP Coordinator will request the form again. The setup team reviews outstanding setups on a weekly basis and will review those that have not been received within five business days of the original request. If there is still no response from the department, it will be escalated to OSP leadership.

9. When do I need to complete a Workday Webform?

The Workday Webform is required for new award setups, and Amendments where changes to the account structure need to be made, as well as for the financial setup of an initial At-Risk Account (Please be aware that this form does not replace the At-Risk Request form or process. See “What hasn’t changed in the setup process” above in item #1 for further information.)

The Workday Webform can be found on the Resources page of the OSP website.

10. What information is provided on the Workday Webform?

The fields and definitions of the Webform that inform the accurate setup in Workday include:

- **Principal Investigator** – The Award Principal Investigator. The PI is a role assigned as part of the setup process in Workday. This information on the form is also used to verify the data corresponds to the IRES PT record and the Award Notice.
- **IRES Proposal ID** – The eight digit, hyphenated number identified in IRES related to the proposal. (i.e. 18-001234) This information is required to ensure the setup documentation is uploaded into the correct IRES record and included on the Award Header in Workday setup.
- **Sponsor** – Award Sponsor
• **Award Name** – Unique name chosen by the PI/Business Office. The name is entered into the Workday Award Header and will print on reports generated out of Workday including Effort Certification. This should be a name that is recognizable to the PI and the department. It does not have to match the name on the Award Notice.

• **Cost Center** – Award Owning Cost Center.

• **Preaward** – Is Preaward allowed and required on the award? This informs the setup of the Award Schedule in Workday identifying the preaward start date prior to the period of performance for the Sponsored Award.

• **Award Analyst** – Role in the department business office. If the Award Analyst in the department is different than the Grant Manager assigned to the Grants, the population of this role in the setup in Workday allows for the Award Analyst to receive notifications and generate reports. If the Grant Manager is also the Award Analyst, this field does not need to be populated. The Grant Manager role includes the same access as the Award Analyst role.

• **Award Structure** – Provides the structure for Award Lines in Workday which includes Grant name, funding for the current budget period, cost center, Assignee, subrecipient (if applicable). Allows for different Grants for outgoing subawards, Multiple PIs or Program/Project Awards, Supplemental funding, etc. The department can determine the structure of the Award as long as it adheres to the terms of the award notice from the Sponsor (for example, total funding of the combined grant lines does not exceed the sponsor funding, or a Subaward is part of the approved budget).
  
  o If there are multiple Grants on an Award, each Grant must have a unique name.

PLEASE NOTE: Occasionally, a Principal Investigator identified as the Assignee on the Workday Webform, may not be set up in Workday as an Assignee. OSP cannot assign the “Assignee” as it is a Worktag which must be added by the Chart of Accounts (COA) office. The setup of the award can continue, but the Assignee will remain blank until setup by COA.

Please utilize the Workday COA Assignee Forms to process the request for a new Assignee. The form and instructions for requesting a new Assignee can be found [here](#).

If OSP is unable to populate the Assignee worktag in Workday, your OSP Accountant will reach out to the Department Business Office (DBO) to submit the request to the COA office. Once completed, the DBO should notify their OSP Accountant when it is completed. The process is usually done within the same business day. Please be aware that the Award/Grant can continue to be setup in Workday without the Assignee, but the missing Assignee is required for charging and reporting, so it needs to be addressed as a priority.

11. What is the process if we need more grant lines than are available on the form? Should we submit two forms? Will this cause confusion at award set up time if there are multiple forms?

If there are more grant lines required than the Webform allows, the DBO should submit an additional form(s). On the additional form(s), please include information in the comments field for more information about the setup. Include the number of webforms being submitted and if it is #1, 2, etc. For example: This is Webform #1 of 2 forms – This is Webform #2 of 2 forms.
12. How do I know the OSP has received the webform for award setup?

Upon receipt of the webform, OSP uploads it as an Attachment to the applicable IRES record as specified on the webform. Once the webform has been uploaded in IRES, OSP sends an acknowledgement of receipt via email to the requestor. If you have submitted a webform and you do not receive an acknowledgement within 24 hours, please contact Tracy Coston at tracy.coston@yale.edu.

13. I submitted a Workday Webform for my PI’s Award at the time we submitted our JIT materials to the NIH. Why is OSP asking me again when the notice of award is received?

The notification that is sent to you from OSP when Award Notices are received are standard emails to inform Business Offices and the PIs that the notice is in our office and being processed for review by your Award or Contract Manager. In this email, the reminder about the Webform requirement is just that, a reminder. It is not to indicate the form had not already been received by OSP, but rather to remind those that may not have provided the form in advance.

14. If I have already submitted a Workday Webform, why is OSP asking me for a PPG Spreadsheet?

Essentially, the two forms provide different information for different systems.

- The PPG Spreadsheet is used for the setup in IRES Proposal Tracking. This information separates a split between different PIs, projects and/or Cost Centers
- The PPG Spreadsheet requires the breakout of Direct and Indirect costs by budget period
- The Workday Webform is used to separate each Grant by Total Cost
- The Workday Webform provided additional information not captured by the PPG Spreadsheet

A PPG spreadsheet would be necessary if

- You proposed and were awarded funding that is for a program-project grant, thereby being required by the Sponsor through the mechanism of the funding
- If a portion of the award is being managed by another PI or project manager and the budget is being distributed by the PI specifically for each project

If you have already submitted a PPG Spreadsheet, we still need a Workday Webform if this is a new award.

OSP is evaluating the ability to integrate this information between the two systems, but that integration though identified in strategic planning, is not imminent.

15. I have noticed that the Award name in Workday includes the date that the award notice was received by Yale which is causing a lot of confusion as this date is not relevant to the administration of the award. How do I get this fixed?

Once an Award is created in Workday, the award date and version of the award is added by the system onto the end of the Award name. For example: AWD0000123: PI Special Award 06/30/17 (version 0). This is system generated and cannot be either deleted or altered by OSP. However, we are escalating to the Workday System team to identify if there is a way to remove these fields from populating in the title.
16. What if my Award and Grant(s) are already setup, but I need to make a correction or add an additional Grant line?

Contact your OSP Accountant for any corrections to existing Awards/Grants or to add additional grant lines outside of a Sponsor issued amendment. If you do not know your Accountant, you can look them up on the sponsored projects contacts page.

17. How has the process of setup an outgoing subaward changed in OSP?

The Subaward Management System (SMS) did not directly integrate with the OGM Award. In Workday, subawards are setup and managed as part of the overall Award in the form of a unique Award Line and Grant.

If the award is new:

- The Department Business Office should utilize the Workday Webform to identify each subaward as a separate Grant including the name of the Subrecipient and the funding amount to the Subrecipient.
- The OSP Accountant will set up the new award and grant lines for the subawards based on the information on the Workday Webform. In general, if subaward information is not included on the webform and should have been, grant lines for anticipated subawards will not be set up by the Accountant.
- If the award is new but subaward information was not included on the Webform, nor the Sponsor’s award notice, or if the subaward is after the fact, grant lines for subawards will be set up by the OSP Specialist when the subaward is processed. At this time, a new webform is not required for the creation of a grant after the fact.
- The inclusion of a grant line for the subaward is for the financial setup and is separate from subaward negotiations. However, please be aware that without a grant number, the subaward document is incomplete and cannot be submitted to the subrecipient for signature.

Converted outgoing subawards (from SMS):

- Were converted with a Grant number that begins with “GK”.
- Newly created Grants for outgoing subawards will begin with “GR”.
- New Grants created in Workday will include the name beginning with “SubK and the Subrecipient name followed by the Grant name identified in the Workday Webform (i.e. “SubK – Columbia...”).

As part of the Subaward setup process, a Supplier Contract must be created for each subaward grant line. The Supplier Contract is the mechanism used to pay subaward invoices. The total dollar amount of the Supplier Contract will be equal to the funding amount(s) obligated on the Subaward Agreement(s).

18. When does the Subaward team begin processing subaward documents?

Your Sponsored Project Specialist on the Subaward Team begins their process once the Workday Award is established.
19. What do I do if a subrecipient entity is not set up as a Supplier in Workday?

If the subrecipient is not set up as a Supplier in Workday, the OSP accountant would be unable to complete the grant line. In the Spend Categories/Hierarchies field in the setup, the OSP Accountant must select Subaward Expense (SC217). This designation triggers a notification to OSP to Create Subrecipient so that a Grant line for the Subrecipient can be created. At that time, the OSP Accountant would contact the department business office to create the Supplier Request.

The department business office must Create a Supplier Request in Workday for subrecipients just as they do for all other suppliers. This is a business office task whether it is for a procurement or a subrecipient.

There is a significant amount of work that is done in OSP before a subaward agreement can be created, so the effort of setting up the supplier in Workday undertaken by the department business office is done in parallel with the preliminary work OSP is doing to process the subaward.

If the department business office is uncertain as to whether the subrecipient is set up as a supplier in Workday, they would need to query Workday by running the “Find Subrecipients” report.

20. Why are there Grants without awards?

Orphaned grants were used to support the General Ledger conversion for closed awards with four years of financial charges prior to 6/30/17. If an award was not closed in Oracle, it converted to an award and a grant with all associated charges. There was no intention for new charges to be allowed on closed Oracle Awards.

Additional information from the COA Website:

The PTAEO-to-Workday-COA Conversion does not necessarily determine what segments you will use starting July 2017. In some cases, your historical conversion and the way you use the Workday COA starting July 2017 will be the same. However, the Conversion mappings are designed for historical financial information only. In areas where the University or individual units are changing/transforming their chart of accounts, business offices will need to provide a guide for users that may not be “straight out of” the Conversion Tools. Example:

- Unit has one Org today for a whole department. It is unable to use PTAO to split by section/specialty.
- In Workday, it will have three Cost Centers for each section/specialty in the department.
- The conversion may put all historical transactions for this Org to one Cost Center.

Starting July 1, 2017, users will be able to select from any of the three Cost Centers to represent the section/specialty.

Per COA websection

What PTAEOs are subject to “conversion” and included in the results of these tools?

The Workday Financials team will be converting four years of historical information into Workday (FY14 – FY17) and two years of budget data (FY16 – FY17). This includes only the net impact of transactions, not the transactions themselves. We are mapping to the Workday Chart of Accounts all the PTAO combinations required to support this conversion.

Per Workday Grant Mapping Overview
PTAOs Used for Cost Share – Historical Conversion Only
Each PTAO used to capture cost shared costs in Oracle was mapped in Workday to a Grant number. However, these Grants were not assigned to a Workday Award because after July 1, 2017 a Grant will capture all costs funded by sponsor or Yale as described above in Usage in Workday.

Workday Grants that capture historical cost share are identified on the mapping tools as those that are mapped from an Oracle non-sponsored Award with linkage to a sponsored Project.

If there is a Grant that is currently not attached to an Award and you believe it should be, please contact osp.financial@yale.edu providing the Grant number as well as the Award number it should be linked to. OSP will review your request with the conversion team and get back to you with any questions or request for further information. Once the appropriate action is identified, we will either link the Grant as you have requested or contact you to discuss why we are unable to do so.

Contact Information for Award setup in IRES and Workday Financials:

Financial Support Center:  For questions about financial inquiries, transactions, and reporting, including: accounting, budgeting, Chart of Accounts (COA), expenses, Express Shipping, financial roles, grants costing, purchasing and accounts payable, suppliers, and other Workday Finance questions. Please be aware that the FSC will escalate and route any specific grant questions they are unable to answer to the OSP.  Learn more about the FSC.

Hours: Monday - Friday, 8:30 a.m. to 5 p.m.
Call: 203-432-5394
Email: sharedservices@yale.edu
Submit an Inquiry

IRES PT setups:  For inquiries or to provide information regarding a compliance requirement that is holding up the setup of an award in IRES PT, contact ires.awards@yale.edu

Office of Sponsored Projects:  For questions regarding the setup of an Award or Grant in Workday, please follow the guidance above in each FAQ as it relates to a specific step in the setup process. If you are uncertain who to contact, send your inquiry to osp.financial@yale.edu

IRES PD or PT System issues:  To report issues related to the performance of IRES Proposal Development or Proposal Tracking, contact ires@yale.edu