Utilizing Research Funds: A Guide to Finance at York

Angela Zeno, Paula Perri, Rachelle Marfa-Surco, Francesca Abbruzzese, Gillane A. Parkinson

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Land Acknowledgement

As this meeting is virtual and we are not all gathered in the same space, I recognize that this land acknowledgment might not be for the territory that you are currently on. We ask that if this is the case, you take the responsibility to acknowledge the traditional territory you are on and the current treaty holders. As a member of the York University community, I recognize that many Indigenous Nations have longstanding relationships with the territories upon which York University campuses are located that precede the establishment of York University. York University acknowledges its presence on the traditional territory of many Indigenous Nations. The area known as Tkaronto has been care taken by the Anishinabek Nation, the Haudenosaunee Confederacy, and the Huron-Wendat. It is now home to many First Nation, Inuit and Métis communities. We acknowledge the current treaty holders, the Mississaugas of the Credit First Nation. This territory is subject of the Dish with One Spoon Wampum Belt Covenant, an agreement to peaceably share and care for the Great Lakes region.

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Getting Started

Departments & Contacts

FINANCE DIVISION

> **Research Accounting**
> - Angela Zeno, Associate Director
> - Francesca Abbruzzese, Assistant Manager
> - Gillane Parkinson, Senior Research Financial Analyst

> **Financial Reporting**

> **Strategic Procurement Services**

UNIVERSITY SERVICES CENTRE (USC)

> **General Accounting (includes Expense Desk)**
> - Paula Perri, Manager

> **Accounts Payable**
> - Rohit Kumar, Manager

> **Procurement Operations (Procure to Pay)**
> - Rachelle Marfa-Surco, Manager

Note: Both departments are central. Faculties also have Faculty-level financial support.

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Getting Started

Support Pathways

FACULTY RESEARCH ADMINISTRATOR *(contacts at end, under "Resources")*

> First point of contact

> Trained on finance supports

> Can facilitate contact with finance personnel, when needed

CENTRAL FINANCE

> Second point of contact

> Provide guidance to Faculty Research Administrator and additional support to researchers

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Getting Started

Important Resources

🔗 <u>FINANCE WEBSITE</u>

❯ Finance forms (research participant logs, cost centre requisition, wire drafts, etc.)
❯ Finance resources (chart of accounts, important dates, benefit rates, etc.)
❯ Service manuals (how to create a journal, steps for getting reimbursed, etc.)
❯ Policies (gift acceptance, procurement of goods and services, etc.)
❯ Research grant support (spending research funds, financial reporting to agencies, etc.)

🔗 <u>YU LINK</u>

❯ Research and academic resources (funding opportunities, research forms, ethics procedures, etc.)
❯ Payroll forms (ETFs, honoraria, payroll schedules, etc.)

🔗 <u>YU LEARN</u>

❯ Training modules (Concur, Sm@rtBuy, eReports, etc.)

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RESEARCH
ACCOUNTING

Research Accounting

What We Do

> Set up cost centres for PIs

> Collect cash from agencies and deposit funds to cost centres

> Provide information and training on York's and granting agencies' policies

> Liaise with funding agencies on behalf of PIs for interpretation of guidelines

> Review research expenses for fund 400 and fund 500 for compliance and eligibility

> Review and process research journals

> Prepare all financial reports for PI's approval and submit to granting agencies

> Coordinate agency audits

> Assist PIs with grant application budgets

> Work closely with VPRI units to resolve issues with respect to research grants

> Co-ordinate the research year-end, including preparing financial reports

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Research Accounting

Honoraria

What is an honorarium and when is it used?

> An honorarium is a small payment up to $500 made in recognition of voluntary participation in a program or activity to individuals who are not employees of York University. Honoraria should not be viewed as a payment for service. The payment is a flat nominal amount and must not appear as compensation for work performed.

> Examples include guest lectures, ceremonies, a special classroom lecture or short series of such lectures, workshops, educational events etc.

How do I submit an honorarium payment for processing?

> Complete either the standard Honorarium Form or the Community Honorarium Form dependent on the nature of the honorarium payment. Both forms are found on YU Link and include instructions.

What is the Community Honorarium Form?

> This is a new form available for honorarium payments up to $500 to First Nations, Métis, and Inuit Individuals.

> These payments are considered 'Gifts', a long-established cultural practice in many Indigenous cultures.

> PIs can take out advances though Concur and provide cash as honorarium for those that qualify under the Community Honorarium Form.

> The advance is cleared through Concur with documentation on the honorarium providing names, amount, purpose etc.

Note: If the individual is conducting research with the PI, then they do not qualify for an honorarium. Instead, complete the Research Participant Log.

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Research Accounting

eReports

› eReports is the University's Enterprise Reporting System used to access various financial and human resources related reports.

› The system allows you to retrieve financial information and reports of your cost centres, such as:

- Transaction Detail reports of any research-related expenses
- Statements of Operation by research year
- Budgets vs. Actuals reports

› Journal Entries are created to transfer funds between cost centres (see Journal Entries Manual)

› Training is available on YU Learn and more information can be found on the Finance website

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Research Accounting

QUESTIONS?

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UNIVERSITY
SERVICES CENTRE
(USC)

USC – Expense Desk (Concur), General Accounting

What We Do

> Review travel/expense claims to ensure:
> - accuracy (dates and amounts claimed match receipts)
> - required documentation provided
> - compliance with funding agency & university policies and procedures (i.e., are expenses eligible and within allowable limits)

> Communicate with faculty to clarify or obtain missing documentation on claims

> Pay requests for travel advances

> Provide training on the automated expense system "Concur" and Travel Visa Card (directly linked to the automated expense system)
> - More details on the Travel Visa Card can be found on the Procurement Services website.

Note: Concur training and familiarization with policies/procedures before incurring expenses is highly recommended. **Please do not pay individuals personally and expect to be reimbursed.** In rare circumstances, it maybe allowed. Please consult with Research Accounting or General Accounting for guidance.

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USC – Expense Desk (Concur), General Accounting

Claiming Research Expenses

> **Expenses charged to research grants must:**

- Relate directly to the research for which the funds were awarded

- Be economical

- Not result in personal gain

> **For hospitality, the amounts claimed must be reasonable and provide the following**

- Purpose of hospitality

- Name and affiliation of the attendees

- All claims must be approved by a Dean or Chair regardless of who travels

  Note: Hospitality among fellow employees is not eligible

> **Claims must be submitted within the following time limits:**

- PER maximum 15 months from receipt date

- External grants 15 months from receipt date unless grant expires earlier

- Internal grants including start up – 6 months from receipt date

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USC – Accounts Payable

What We Do

> Review invoices for compliance and process payments to vendors
- External vendors send invoices directly to vendorinvoices@yorku.ca
  - Non-PO invoices processed through SmartBuy
  - PO invoices follow the process noted on the back of the PO's
- Internally generated payments require a Payment Requisition Form sent to vendorinvoices@yorku.ca
  - Examples include non-resident payments, sponsorships initiated by department, student refunds, etc.
- For paying international individuals or vendors (outside Canada and the US) submit the Request for Wire/Draft Form with the non-resident form and/or invoice (if provided)to hrhelp@yorku.ca

> Review and approve Independent Contract Questionnaires (ICQs)

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USC

Hiring & Paying Employees/Vendors

Hiring Research Staff

❯ Contact your Faculty Research Administrator or the HR representative in the Dean's Office for assistance. To hire Graduate Students, contact your departmental Graduate Program Assistant.

Note: Statutory benefits will be charged to your research account (e.g., CPP,EI, etc.).

Paying Employees

❯ Paid via Payroll with Employee Transaction Form (ETF) available through YULink Forms & Documents. Visit YU link for information on how to hire research staff.

❯ If an individual has been an employee or student at York in the previous 6 months, they must be paid via Payroll. If it's deemed an employer/employee relationship and other staff at York perform similar work, chances are the person is to be paid via Payroll.

Canadian Vendors

❯ Before contracting with an individual that you wish to pay via an invoice, complete the Independent Contractor Questionnaire in order to determine if individual is to be paid via Payroll or Accounts Payable. Email completed questionnaire to Paula Perri (vendorinvoices@yorku.ca) with 'Contractor Questionnaire' in the subject line.

Payments to Non-Residents

❯ Paid using the Non-Resident Payment Form on the YULink Forms & Documents page and the Request for Wire/Draft form for international and Payment Requisition form for US residents.

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USC – Expense Desk & Accounts Payable

QUESTIONS?

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USC – Procurement Operations

What We Do

> Facilitates purchase of goods and services for the community
- Issues purchase orders (PO), ensures goods and services are procured in a fair and transparent environment, aligned with university policies and external legislation
- Manages Procure to Pay systems and processes (Sm@rtBuy)
- Improves the order/pay process by utilizing technology

> Maintains vendor and contract database

> Manages York's credit card program (PCard and Corporate Card)

> Provides training and tools to the community in order to purchase more effectively and efficiently

> Minimizes and manages risk and liability for the university

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What is Sm@rtBuy?

> York's on-line procurement system that streamlines purchasing, allowing significant time savings for purchasing routine items

> Web Based marketplace which provides an easy-to-use shopping style cart environment for York Faculty and Staff. Similar experience to online shopping

> Allows Catalogue and non-Catalogue purchases from York's preferred suppliers

> Allows Shoppers to browse and compare products from the most current supplier Catalogue that reflects pre-negotiated pricing

> Provides greater transparency and visibility to your Requisitions, Purchase Orders and Invoices

> Provides automated routing and approval process (per Signing Authority Register)

| Log in to Sm@rtBuy | → | Build Cart | → | Approve Cart | → | Submit Order |

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USC – Procure to Pay (Sm@rtBuy)

Upcoming Enhancements

1. Digitize PR to PO:

> Digitalization of the following forms in Sm@rtBuy – Live as of March 11, 2024) *new!*

>> Purchasing Requisition Form

>> Change Order form

>> Limited Tendering and Non-Application form

> Automated approval workflow consistent with Signing Authority Register

- *Purchase Requisition*

- *Change Order/Change Request*

- *Invoice approvals – applies to invoices ≥ $25,000*

> Receipt of Goods and Services

2. Invoice Digital Capture & Supplier Management (Fall 2024)

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USC – Procure to Pay (Sm@rtBuy)

Credit Card Program

Purchasing Card (PCard)

> Facilitates purchase and payment of goods and services required to conduct university business

> For low dollar value purchases, typically below $25,000 (purchases ≥$25,000 require a PO)

Travel and Expense Card (T&E Card)

> For travel-related purposes only (e.g., meals, airfare, car rental, hotel accommodations, conference/seminar registration fees, etc.)

> Integrated with Concur for reconciliation

> Card must be used in accordance with the card guidelines and university expense and hospitality policies and procedures

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USC – Procure to Pay (Sm@rtBuy)

QUESTIONS?

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Resources
& Contacts

Contacts – Faculty-Level Post Award Administration

Note: Your faculty-level support should be the first point of contact

> **Arts, Media, Performance & Design**
- Sally Youwon Han, Executive Officer: shan2022@yorku.ca
- Aimée Mitchell, Research Officer: aimee19@yorku.ca

> **Education**
- Andrea Torre, Executive Officer: atorre@edu.yorku.ca
- Brenda Fernandes, Financial Officer: bfernandes@edu.yorku.ca
- Grace Li, Budget and Research Administrator: gli@edu.yorku.ca
- Dafna Knittel-Keren, Research Officer: dkeren@edu.yorku.ca

> **Environmental & Urban Change**
- Paul Elliott, Executive Officer: pelliott@yorku.ca
- Rhoda Reyes, Research Officer: rreyes@yorku.ca

> **Glendon**
- Patrick Banville, Executive Officer: patrick.banville@glendon.yorku.ca
- Ornella Raad, Finance Officer: oraad@glendon.yorku.ca
- Prisca Ng How Tseung, Research Officer: ngprisca@glendon.yorku.ca

> **Health**
- Shabnam Nikfar, Research Operations Manager: nikfars@yorku.ca
- Charles Taylor, Post-Award Administrator: taydarce@yorku.ca

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Contacts – Faculty-Level Post Award Administration (cont'd)

› **Engineering**
- Paul Battistuzzi, Executive Officer: pbattist@yorku.ca
- Kim Tran, Financial Officer: kim.tran@lassonde.yorku.ca
- Lan Zhang, Financial Coordinator: lan.zhang@lassonde.yorku.ca

› **Liberal Arts & Professional Studies**
- David Cuff, Director, Strategic Research and Partnerships: dcuff@yorku.ca
- Rodolfo Arata, Senior Financial Officer: rarata@yorku.ca
- Helen Papacharalambous, Faculty Research Administrator: helen910@yorku.ca
- Sujan Arulnesan, Faculty Research Administrator: saruln@yorku.ca
- Aya Javid, Budget Assistant: ajavid@yorku.ca

› **Osgoode**
- Jasun Fox, Executive Officer: jfox@osgoode.yorku.ca
- Laurie Cormack, Research Officer: researchofficer@osgoode.yorku.ca
- Christine Omuodo-Kouassi, Operations Manager: comuodo@osgoode.yorku.ca
- Sujivany Rajaratnam, Faculty Research Administrator: srajaratnam@osgoode.yorku.ca (maternity leave)

› **Schulich**
- Cindy Zhuang, Financial Officer: czhuang@schulich.yorku.ca
- Franca Giovannoni, Financial Coordinator: francagg@yorku.ca

› **Science**
- Helen McLellan, Executive Officer: helenm@yorku.ca
- Wendy Booth, Senior Financial Officer: wbooth@yorku.ca
- Jin Min Mao, Faculty Research Administrator: jmao15@yorku.ca
- Jervis Sequeira, Faculty Research Administrator: jervis19@yorku.ca

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Contacts – Central Finance

› Research Accounting – Questions: resacct@yorku.ca
› Research Accounting – Journals: resjrnls@yorku.ca

› Sm@rtBuy – smartbuy@yorku.ca
› Accounts Payable – Questions: acctpay@yorku.ca
› Accounts Payable – Submit for Invoice Payment: vendorinvoices@yorku.ca
› HR & Payroll – hrhelp@yorku.ca
› Expense Desk – expdesk@yorku.ca

› Procurement – purchase@yorku.ca

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Resources – Policies and Procedures

Reimbursement of Expenses:

- Procedure
- Standard Practices
- Meal Rates
- Quick Tips
- Approval Matrix

Hospitality

- Procedure

Procurement

- Procedure

Risk Management

- Renting Vehicles
- Other SOPs

Tri-Agency Financial Administration

- Guide on Financial Administration

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Resources – Forms

- YU Link Forms
  - Community Honorarium Form
  - Honorarium Form
  - Non-Resident Payment Form
  - Employee Transaction Form (ETF)
- Payment Requisition Form
- Request for Wire/Draft Form
- Independent Contractor Questionnaire
- Research Participant Log
- Journal Template & Journal Entries Manual
- Expense claim forms for an international visitor:
  - Itemization Documents
  - Expense Claim Form
  - Request for Wire/Draft Form

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Resources – Other Links

- [Travel and Expense Card](#)
- [YU Learn](#) - register for courses such as:
    - Procure to Pay
    - Concur
    - eReports for Researchers
- [Faculty of Graduate Studies](#)
- [Hiring/Paying Research Staff](#)
- [Honoraria Expenses](#)

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