Sponsored PTA Manager
Early/Extend Transactions
Post Award Administration User Guide

Version 1.1
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Overview

Purpose

The purpose of this guide is to provide post award administrators with instructions on how to process Early/Extend PTA setup requests initiated in PTA Manager (also referred to as SeRA). This document should be used in conjunction with the Oracle Guide to Setting up Projects, Tasks and Awards as it contains more detailed information on how to appropriately fill out required data fields.

Due to the ongoing maturation of this system, the information in this document is subject to change.

Process Flow
Confirming the PTA Configuration, Projects and Tasks

Choose an Early/Extend Transaction from your Account Setup Intake queue.

1. Confirm the Approvals Tab in SeRA to confirm that the following approvals are received prior to processing an early/extended request: If approvals are not complete, return the transaction to the department
   a. From your Dashboard, click on the PTA transaction that is assigned to you
   b. Click on Approval tab. This will show you all users that have reviewed and approved the account setup.
**Engineering* & Humanities and Sciences** (For all schools except SoM):

*Contracts and Subwards*
Dept → PI → IO /CGO → OSR Set-up Intake

*With Industry Sponsored Contracts ONLY*
Dept → PI → IO /ICO → OSR Set-up Intake

*Grants*
Dept → PI → OSR Set-up Intake

**School of Medicine**

*Contracts and Subwards*
Dept → PI → DFA → RMG → SoM Budget Office → IO/CGO → OSR Set-up Intake

*Industry Sponsored Contracts ONLY (excludes clinical trials)*
Dept → PI → DFA → RMG → SoM Budget Office → IO/ICO → OSR Set-up Intake

*Grants*
Dept → PI → DFA → SoM Budget Office → IO/RMG → OSR Set-up Intake

The SoM Budget Office = Debbie Scheuch

*For all early/extend PTA requests initiated by the Independent Labs, the Dean of Research (Ken Merritt /Gayle Campbell) would like to approve all requests immediately following the PI.*

**For all early/extend PTA requests initiated by the departments in H&S approval must also be received from Margaret Fox (Finance Office) immediately following the PI**

2. PTA Configuration (early awards only)
Check PTA Configuration to ensure the appropriate award range was generated. If the inappropriate award range was used, please update the award range when verifying the award details.

---

**Early/Extend Account Request**

<table>
<thead>
<tr>
<th>Award (UAEFF)</th>
<th>Sponsor</th>
<th>Add Project</th>
<th>Remove Award</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Project (TBD)</td>
<td>Testing Module 3 PTA M_430569</td>
<td>Non-Capital Add Task Remove Project</td>
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<tr>
<td></td>
<td>Task10</td>
<td>pp</td>
<td>Sponsor Remove Task</td>
</tr>
</tbody>
</table>

Add Award
3. Award Details

Updating an award, please select the award tab and then click “Edit Award.” Complete the entry of required fields (asterisked fields). Verify the information and update all information as needed for both early and extended awards (e.g. start date, end date, award range, sponsor, allowed cost schedule, etc.).

**Award Range:** If you see that the incorrect award range was pre-selected the corrections can be made by accessing the award tab and clicking on *Edit Award* and change to the appropriate award range. Please note, if you select an award number that has already been assigned, the system will generate an error message when you attempt to save, if this happens please find a new available award range.

**Start and End Dates:** For early awards confirm the dates for extends add 90 days to the end date and close date.

Once complete, Click “Save” to save your changes.
TIPS:

- If the funding source does not appear in drop down menu request a new customer setup from A/R (while waiting a response from A/R, reassign transaction to self noting that A/R has been contacted for new customer setup)
- If your award has an associated costshare, it should show up
- For extends, make sure to update the end date and close date

4. Project Details

Review and update the project details by clicking on the blue project line from the Award tab.
For early awards select the appropriate project template and verify the department filled in the other required fields. If needed, update other fields as necessary. Click Save to save the project information.
5. Task Details

Edit the task by clicking on the blue task number from the Award tab.

Update the task information as needed.

Click Save to save the task information.
NOTE:
There should never be a completion date in the task field unless it is one of the following CIRM Grants and NIH Grants: P, U, T

Submit to Oracle

1. Click the “Submit PTA” tab.
2. Enter comments for accountants, as needed
3. Send to Oracle

4. Go to Oracle, verify that data has transferred correctly, and complete required fields.
5. Submit Oracle record

If there are no errors the transaction will be pushed into Oracle where the Set Up associate will complete the transaction in Oracle. Once the associate ‘submit’s budget’ in Oracle, the transaction will show up in the PTA setup queue where it will be picked up by an Accountant to baseline.
# Accountant Tasks

Review status of transaction from Transaction Home Page, as necessary

## OSR Account Intake
- Click on Transaction ID to assign account setup Action Item to yourself.
- All columns are sortable by clicking on the column name.

<table>
<thead>
<tr>
<th>Trans ID</th>
<th>Action Item</th>
<th>Process Type</th>
<th>SPO#</th>
<th>PI</th>
<th>Sponsor</th>
<th>Department (Org)</th>
<th>Previous OSR Assignee</th>
<th>Received</th>
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<tbody>
<tr>
<td>PT4546289</td>
<td>PTA Baselined in Oracle</td>
<td>Account Setup - New</td>
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<td>Padilla, Anahid M.</td>
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</table>
1. Obtain record from intake queue
2. Go to Oracle and verify all information correct in Oracle; update as necessary
3. Baseline in Oracle
4. The task should clear from your dashboard and no further action will be required*

*All transactions should clear within 24 hours, if you are seeing transactions that have not cleared please do the following two things: 1. Check to see if a NOA has been issued with the correct changes, 2. Submit a HelpSU to SeRA to remove the transaction from your dashboard (HelpSU: Administrative Applications → SeRA)
Other Functions

Reassigning a Record to a Post-Award Recipient

There may be times when you need to reassign work to a post-award colleague (setup associate → accountant; accountant → setup associate) or to request that an account setup be corrected (budget, IDC, Funding Source Award Number, etc). To do this, use the following steps:

1. Click Reassign Task.
2. Select the appropriate person.
3. Enter comments explaining why record is being reassigned.
4. Click Reassign.

When this function is used, the system will also send an email notification to the recipient. Within the email there will be a link that will take him/her directly to the record. It is important to note that reassigning a task does NOT change the status. This means if the status indicates that an award is in Oracle PTA Setup it will remain the same. In order to show a status change has occurred (i.e., moving...
an item from “setup” to “department review/correction”), you will need to use the “Send Back to Department” feature below.

**Please Note:** If a task is reassigned from an accountant to the Setup Associate corrections will need to be made in Oracle. To do this, the associate will open the award in oracle and make the necessary changes. If the associate is making changes to the budget, go to the award budget screen, click on the *Rework* button on the record so the budget will be sent to the accountant for baseline. At this point, SeRA will NOT know a change has been made. The Associate will then need to go back into SeRA and reassign the task back to the Accountant with a comment specifying that the requested change(s) have been made and the record is ready for baseline review. The Accountant will also receive a system generated email notification.

**Returning a Record to a Department**

There may be times when a record needs to be returned to the department for additional information or corrections. To do this, use the following steps:

1. Access the record you want to return.
2. Using the left hand menu (noted below), select the appropriate entity.
3. A comments box will appear allowing you to select the appropriate person and to describe the issue preventing the PTA setup.
4. Click Reassign.
An email notification will be sent to the recipient.
Frequently Asked Questions

Oracle relate questions:

1. *Why don’t I see an issue date on the installment line in Oracle after a transaction has passed through SeRA?* Because this field does not drive any other functions. In Oracle it is no longer necessary to populate.

2. *If changes are made to a record in Oracle, will this immediately be reflected in SeRA?* Manual changes in Oracle will only be reflected in SeRA when a subsequent amendment to that agreement is processed via SeRA.

3. *As follow-up to question #3, will these changes be reflected on the Notice of Award?* Currently, No. The NOA will only include information that was originally entered into SeRA at the PTA setup stage. In these cases, the Accountant must send an email to the department with copies of the 216 and 180 ReportMart documents to ensure accurate PTA information is received.

4. *If I receive an error message that my transaction does not balance is there a general rule of thumb?* Yes.

   Funded amount on the AAN = sum of the values of the awards on the PTA configuration (excluding cost share) = sum of values for each project within each award on the PTA configuration = sum of the values allocated to each task on the Budget screens

5. *Can I make an update to a budget after it has been submitted in Oracle but not baselined?* Yes. After accessing the record in Oracle you can click on the *Rework* button on the Award Budgets screen. This will allow you to make the necessary updates. Once completed, the record can be resubmitted and baselined.

6. *How are the billing and revenue rules populated in Oracle?* These rules are based on the default values associated with the award template selected in SeRA

7. *How can one tell if the appropriate approvals have been received?*
   a. From your Dashboard, click on the PTA transaction that is assigned to you
   b. From the Left Hand Navigation Menu, click on Transaction Home.
i. This will show you all users that have reviewed and approved the account setup.

8. **How can one determine the guarantee amounts and PTA entered in SeRA is accurately reflected in Oracle?**
   a. From your Dashboard, click on the PTA transaction that is assigned to you
   b. From the Left Hand Navigation Menu, click on **View PTA Details**.
   c. This will download the PDF file of the Setup Details and under the **References** section, you can cross check the guarantee amounts with what is in Oracle

**References**

<table>
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<tr>
<th>Reference</th>
<th>Value</th>
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