

ben financials

ben balances

Freeze/Unfreeze Grant (Secured)









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Objectives

Upon completion of this section, you will:

-  have an overview of BEN, BEN Financials and BEN Balances
-  know why the Freeze/Unfreeze Grant responsibility is necessary
-  understand the policies surrounding the Freeze Grant process
-  learn how to access the Freeze/Unfreeze Grant responsibility
-  know the steps for freezing and unfreezing a grant
-  know how to query the results of a freeze and/or unfreeze action in the View Grant Attribute responsibility
-  learn how to query information about the individual who processed a freeze or unfreeze grant action via View User
-  know where to go for assistance when necessary

Overview of BEN

Business Enterprise Network (BEN)

Penn's business and financial management systems which includes

- Web-enabled applications and tools
- Support structure

Desktop Configuration

Consistent with current University standards

http://www.finance.upenn.edu/ben/benfin/desktop_req/

Local Support Providers (LSP's)

<http://www.upenn.edu/computing/view/support/staff.html>

- List of primary computer support assigned by Center and by Department

Access/Security

Penn eForms

<http://www.upenn.edu/computing/da/eforms/>

Important Web Addresses

U@Penn Portal

http://medley.isc-seo.upenn.edu/penn_portal/u@penn.php

- Access to a wide variety of University web sites and information including those listed below

BEN Financials Homepage

<http://benapps.isc-seo.upenn.edu>

- Access to BEN Financials, BEN Deposits, and BEN Reports

Business Enterprise Network

<http://www.finance.upenn.edu/ben>

- News, Calendar, BEN Reps, BEN Knows, Frequently Asked Questions, Support Information, etc.

Financial Training Department Web Page

<http://www.finance.upenn.edu/ftd/>

- Information regarding courses offered, register for training, view the Bottom Line Newsletter, etc.

Audit and Compliance Web Page

<http://www.upenn.edu/audit/>

- Information on controls, compliance mechanisms, and technologies to manage risk as well as providing guidance on the stewardship of University resources

Responsibility Center Management (RCM)

<http://www.finance.upenn.edu/comptroller/rcm/index.shtml>

- Information about BEN Financials Reports, Fund Aggregations & Object Code Aggregations, etc.

Overview of BEN (continued)

Need Help?

Dial 6-HELP (6-4357 or 215/746-4357)

- Enter your two-digit School or Center code
- BEN Helps is available 9:00 a.m. to 5 p.m. Monday through Friday

BEN Knows

<http://www.finance.upenn.edu/benknows/>

- Browse and search for possible solutions to your BEN Financials and BEN Reports questions
- Office of Research Services
<http://upenn.edu/researchservices>
 - Information about the Office of Research Services, including staff contact information, guides for faculty members, and the administration of grants

Penn eForms

Penn eForms are required for entry to most University financial systems. These eForms should be processed promptly to ensure system access following training. If an eForm has not been processed within **two months or more of attending a training course**, you will be required to repeat the course to obtain access.

☞ If you need your BEN Financials password reset call 8-1099.

Why do we have the Freeze/Unfreeze Grant Responsibility?

- Provide a tool that allows school and department grant managers and Research Services to limit activity against grant accounts during the life of the project, the Adjustment Period, and the reporting period.
- Significantly reduce the manual effort and rework involved in the continuous monitoring of grants, both during and after the Adjustment Period, allowing the redirection of effort to more productive grant management activities.
- Improve the accuracy and timeliness of final reports by stabilizing grants after the Account End Date or after the end of the Project Period.
- Provide more effective control of grant activity to ensure that activity after the Account End Date is more likely to be allocable to the grant. This should reduce cost transfers, as well as involuntary cost sharing for transactions which may not be truly allocable to the grant.

Overview of Freeze/Unfreeze Responsibility

General Features

- Grants frozen at FUND level
- Freezing does not affect ability to query or run reports on a grant account
- Freeze status available on standard reports for grants, and on the 138.ORG Frozen Fund List report

Activity Subject to Freeze

- Manual on-line journal entry/encumbrance entry
- New Requisitions or Purchase Orders
- C-Forms
- Feeder system Journals
- Payroll/Salary Management journals

Activity Exempt from Freeze

- Activity initiated by Office of Research Services
- System generated activity (e.g. mass allocations, overhead, revenue recognition)
- Accounts Payable invoice transactions for existing Purchase Orders
- Purchasing transactions related to existing encumbrances (e.g. PO cancellations, PO Finally Close)
- Budget journals
- Transactions 'in progress' before freeze action was taken

Who Can Freeze and Unfreeze?

- During the Project Period
 - Authorized users with access to the RESP ORG of the fund
- During the Adjustment Period
 - Authorized users with access to the RESP ORG of the fund
 - 'Unfreeze' no longer available for New POs
 - New POs can only be unfrozen by extending the Project Period
 - Project period extensions must be handled according to University and sponsor guidelines
- After the Adjustment Period
 - The system automatically freezes any transaction (TX) source not already frozen
 - Research Services will consider requests to 'unfreeze' on a case by case basis

Grant Life Cycle

Project Period

- Period of time between ACCOUNT START and ACCOUNT END dates

Adjustment Period

- Period of up to 60 days after ACCOUNT END date
- Allows for review of project activity
- Adjustments can be made prior to final reporting

Reporting Period

- Period immediately following Adjustment Period
- Research Services prepares to issue final report

Adjustment Period Calculation

When [Submit Final Report] = 90 Days or blank

- And the Account End Date is within first 9 days of a month
 - Adjustment Period End Date (**APED**) is at the end of the next Accounting Period
- And the Account End Date falls after first 9 days of a month
 - APED is at the end of the Period following the next Accounting Period

When [Submit Final Report] = 60 Days

- And the Account End Date is within first 9 days of a month
 - APED is at the end of the same Accounting Period
- And the Account End Date falls after first 9 days of a month
 - APED is at the end of the next Accounting Period

When [Submit Final Report] = 30 Days

- APED = Account End Date + 15 days

Things to Consider Before Freezing

Manual On-Line Journal Entries

- Are there any existing wayward or unallowable transactions outstanding?
- Are all Purchase Orders 'Finally Closed'?
- Is there a deficit/surplus?
- Do any encumbrances have to be removed manually?

C-Forms

- Has Travel/Accounts Payable processed all outstanding forms?
- Any un-reconciled or outstanding travel?
- Are all non-PO sub-contracts paid for?

New Requisitions and POs

- Did you notify all PO Managers/Requisitioners who use the grant?
- Any purchases planned?

Feeder Systems

- Outstanding Purchasing card transactions from any of the Purchasing Card holders who use the grant?
- Notify all Feeders?

Payroll

- Are there outstanding payroll reallocations?
- All payroll distributions updated?

Function Override

- Consider ALL of the above!
- Only Research Services (ORS) can unfreeze fund

General

- Freeze affects all ORGs using fund

Logging on to BEN Financials

From the U@Penn Portal Business Tab (http://medley.isc-seo.upenn.edu/penn_portal/u@penn.php)

- Click on BEN Financials>BEN Financials Homepage or type <http://benapps.isc-seo.upenn.edu/>



These are websites you may want to create a "bookmark" or "favorite" in your web browser

ben BUSINESS ENTERPRISE NETWORK

About BEN Contacts News Related Links

Welcome to the Business Enterprise Network (BEN) site, your gateway to Penn's web-based financial systems and related information and services. Access to the systems is limited to authorized University staff and faculty.

BEN Financials : Core financial system providing purchasing (BEN Buys), payables (BEN Pays), and general ledger (BEN Balances) functions. Before you log on, check for [late-breaking advisories and useful suggestions](#) for using BEN Financials (Last Updated: 02/28/2002).

BEN Reports : System for retrieving financial and sponsored project information from the Data Warehouse in predefined formats; includes links to other applications such as GRAM and Position Inventory.

Send Comments & Inquiries about this site to askben@pebox.upenn.edu
Copyright © 2002 University of Pennsylvania All Rights Reserved
File Last Updated: Thursday February 28, 2002

Check here for important system availability messages

- Click on **Ben Financials**

ben financials

PENN

User Name

Password

Connect

- Enter your application **User Name** and **Password**
- Click on [**Connect**] or press [**Enter**]

BEN Financials Homepage

The screenshot shows the 'E-Business Suite Home' page. At the top right, there are links for 'Logout', 'Preferences', and 'Help'. Below the header is a list of responsibilities on the left and a message on the right. The responsibilities list includes: Budget Entry (Secured), Freeze Grant (Secured), Freeze/Unfreeze Grant (Secured), GL Inquiry (Secured), GL Reporting (Secured), Journal Entry - General, PO Manager, Requisitioner, and User Preferences. The message on the right says: 'Please click on a responsibility link to display the list of available applications.' At the bottom of the page, there is a copyright notice: 'Copyright 2000-2004 Oracle Corporation. All rights reserved.' and a 'Privacy Statement' link.

- Select the desired Responsibility, in this case either
 - **Freeze Grant (Secured)**
 - **Freeze/Unfreeze Grant (Secured)**

This screenshot shows the same 'E-Business Suite Home' page, but with the 'Freeze Grant (Secured)' responsibility selected. The 'Freeze Grant (Secured)' link in the list is highlighted in blue. To the right of this link, a sub-menu is displayed with three options: 'Freeze Grant', 'View Grant Attributes', and 'View User'. The rest of the page, including the header, footer, and other links, remains the same as in the previous screenshot.

View Grant Attributes

All GL users have access to View Grant Attributes. View Grant Attributes allows users to view grant funds (5xxxxx) and their corresponding attributes. The same information is available via the COA Segment Values menu option. The only difference between the two, aside from the visual format, is that View Grant Attributes allows you to see the Freeze Status and the Freeze Action History. View Grant Attributes is a view-only screen; to modify the freeze status of any category, you will need either the Freeze Grant or the Freeze/Unfreeze Grant Responsibility.

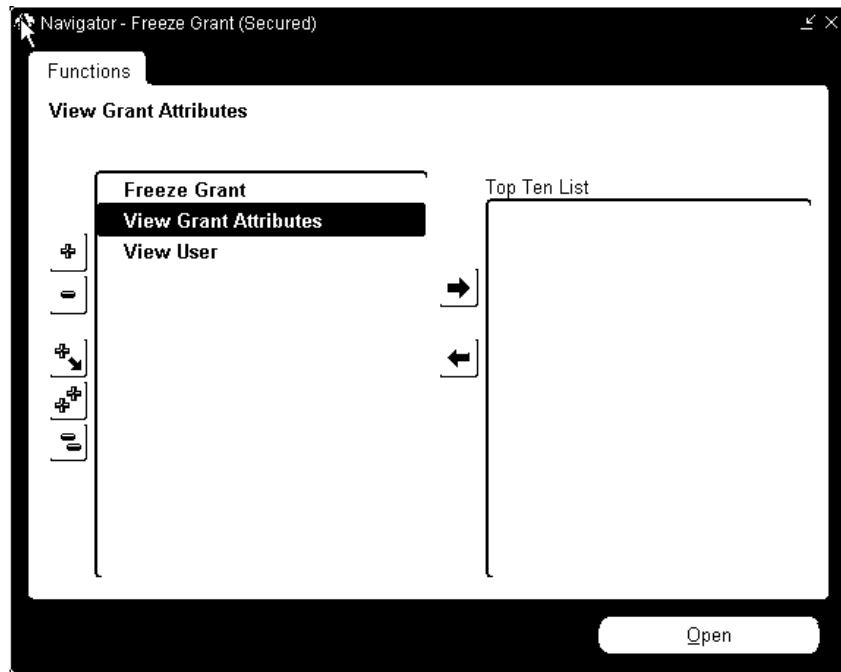
For those who manage Grant Funds, the information here is the same information in the GL Inquiry (Secured) Responsibility COA Inquiry>View Grant Attributes navigation path. This information should match the information found on the AIS (Account Information Sheet). If there are any discrepancies, contact your accountant in the Office of Research Services (ORS), a list of whom can be found at:

<http://www.upenn.edu/researchservices/contacts.html>

- Click on **View Grant Attributes** from either the BEN Financials Homepage or the Navigator

The Navigator window appears on the screen. To change a navigation path within a responsibility, invoke the Navigator by

- Closing all forms or
- Clicking on the 'Show Navigator' icon on the toolbar



View Grant Attributes (continued)

Fund Info Window

- Type in **Fund** number in the pop-up box



In the Freeze Grant or Freeze/Unfreeze Grant responsibility, the List of Values (LOV) will only list those funds users have access to by virtue of the Responsible ORG of the Fund.

- Click on [**Find**]

- Fund Info Window** reflects information found in COA Inquiry for grant fund attributes
- Should match data found on Account Information Sheet (A.I.S.)
- Contact the Office of Research Services if there are any discrepancies



Days to Submit Final Report, this drives the Adjustment Period End Date

- Click on [**Freeze Status**]

View Grant Attributes (continued)

Freeze Status Window

Fund Info

The screenshot shows a software window titled "View Grant Attributes". At the top is a menu bar with "File", "Edit", "View", "Folder", "Tools", "Window", and "Help". Below the menu bar is a toolbar with various icons. The main content area is divided into several sections:

- Fund Information:** Fund Enabled Resp Org
- Dates:** Account Start Date Report Frequency Code Current Budget End Date Adjustment Period End Date Account End Date Next Fin Report Due Days to Submit Final Report Final Report Submitted
- Transaction Source:** Transaction Source Manual JEs C-FORMs New POs Feeders Payroll
- Status:** Status Date
- Freeze Date:** Refreeze Date
- Actions:** **CHOOSE ACTION**
- Buttons:**

Freeze Categories/Transaction Sources

If a category is 'frozen', no transactions within that category may hit that fund

- Categories frozen automatically after **Account End Date**
 - New Purchase Orders/Requisitions
 - No New POs or Requisitions should be created after Account End Date
- Categories frozen automatically after **Adjustment Period End Date (APED)**
 - Manual Journal Entries
 - C-forms
 - Feeder Journal Entries
 - Payroll
- Function Override
 - Freezes all categories (including Payroll)
 - Turns fund over to Office of Research Services before APED
- Click on **[Action History]**

View Grant Attributes (continued)

Action History Window

File Edit View Folder Tools Window Help

View Grant Attributes

Fund Enabled Resp Org

Record No	Transaction Source	<input checked="" type="checkbox"/> . Manual JEs	<input checked="" type="checkbox"/> . C-FORMs	<input checked="" type="checkbox"/> . New POs	<input checked="" type="checkbox"/> . Feeders	<input checked="" type="checkbox"/> . Payroll
2		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
01-JAN-2000 20:06	Status Dt	<input type="text" value="01-JAN-2000"/>	<input type="text" value="01-JAN-2000"/>	<input type="text" value="31-OCT-1999"/>	<input type="text" value="01-JAN-2000"/>	<input type="text" value="01-JAN-2000"/>
Auto Freeze - Freeze All Sou	Refreeze Dt	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
GLADMIN	Function Override	<input type="checkbox"/>				
	Account End	<input type="text" value="31-OCT-1999"/>	Rpt Days <input type="text" value="90"/>	Adj Pd End <input type="text" value="31-DEC-1999"/>	Comments <input type="text" value="Fund is in the Reporting P..."/>	
1	Transaction Source	<input type="checkbox"/> . Manual JEs	<input type="checkbox"/> . C-FORMs	<input checked="" type="checkbox"/> . New POs	<input type="checkbox"/> . Feeders	<input type="checkbox"/> . Payroll
31-OCT-1999 20:46	Status Dt	<input type="text"/>	<input type="text"/>	<input type="text" value="31-OCT-1999"/>	<input type="text"/>	<input type="text"/>
Auto Freeze - Freeze PO	Refreeze Dt	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
GLADMIN	Function Override	<input type="checkbox"/>				
	Account End	<input type="text" value="31-OCT-1999"/>	Rpt Days <input type="text" value="90"/>	Adj Pd End <input type="text" value="31-DEC-1999"/>	Comments <input type="text" value="Fund is in the Adjustment ..."/>	

- Most recent action appears first
- Freeze actions recognized immediately by BEN Financials after being saved, **except payroll**
- To view comments, place cursor in "Comments" field and click on **Edit>Edit Field** (or **Ctrl-E**)

*Can't query fund here, must click on **[Back]***

Entering a New Query

- A new query must begin in either the **Fund Info** or the **Freeze Status** window
- Click on the **Flashlight icon** or **View> Find** or **View>Query By Example>Enter** or **F11**
- Type in Fund number
- Click on **[Find]** or **View>Query by Example>Run** or **[Ctrl] F11**

Freeze/Unfreeze Grant Transaction Source Information

Freeze Actions

- **Freeze All**
 - Freeze all categories, including payroll
 - Categories **can** be 'unfrozen' separately
- **Set Function Override**
 - Freeze all categories, including payroll
 - User **CAN NOT** 'unfreeze' - (can only be 'unfrozen' by Research Services)
- **Independent Transaction Sources**
 - Freeze C-form, Freeze Feeders, Freeze Manual JE, Freeze Payroll, Freeze PO

Freeze Implications

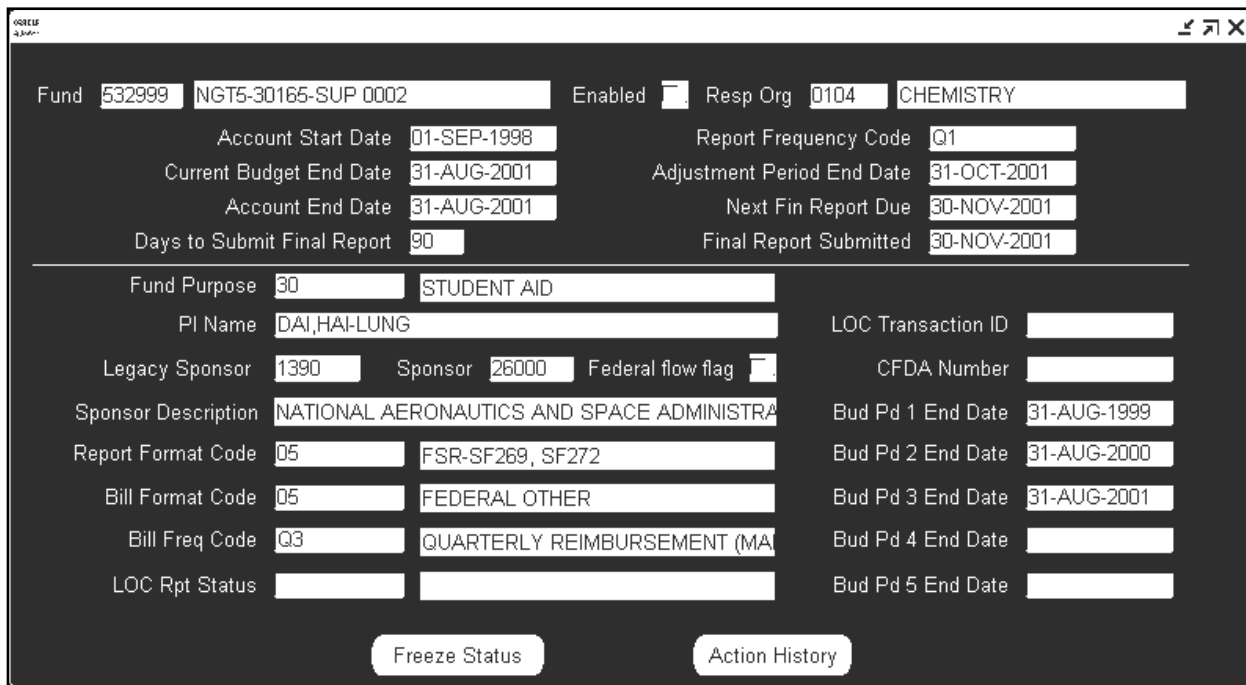
- **Online Activity Freeze (Manual JEs, New POs, C-Forms)**
 - Prevents transactions from being created; error message received
 - Accounts Payable to reject all C-forms with frozen funds to School/Center via Markview
- **Feeder System Freeze (includes Purchasing Card)**
 - Diverts transactions to ORG level suspense account
 - Frozen fund suspense can be found in object code 9599
 - Frozen fund **payroll** remains in object code 9501
- **Payroll Transaction Freeze**
 - Will **not** prevent individuals from being paid
 - Within the payroll system, you will not be able to:
 - Enter new distribution using frozen fund
 - Pay from existing distributions using frozen fund (suspense will result)
 - Reallocate to/from a frozen fund

How to Freeze a Grant Fund

If you have Freeze Grant (Secured) or Freeze/Unfreeze Grant (Secured) Responsibilities, you have the ability to freeze a grant prior to the Adjustment Period End Date (APED). Grants can be frozen/unfrozen to prevent activity from any one or more of the following:

- On-line journal entry/encumbrance entry
- New Purchase Orders/Requisitions
- C-Forms
- Feeder journals
- Payroll/Salary Management journals

FUND Info Window



The screenshot shows a software window titled "FUND" with the following fields and values:

Fund	532999	NGT5-30165-SUP 0002	Enabled	<input type="checkbox"/>	Resp Org	0104	CHEMISTRY		
Account Start Date	01-SEP-1998		Report Frequency Code	Q1					
Current Budget End Date	31-AUG-2001		Adjustment Period End Date	31-OCT-2001					
Account End Date	31-AUG-2001		Next Fin Report Due	30-NOV-2001					
Days to Submit Final Report	90		Final Report Submitted	30-NOV-2001					
Fund Purpose	30	STUDENT AID							
PI Name	DAI,HA-LUNG						LOC Transaction ID		
Legacy Sponsor	1390	Sponsor	26000	Federal flow flag	<input type="checkbox"/>			CFDA Number	
Sponsor Description	NATIONAL AERONAUTICS AND SPACE ADMINISTRA						Bud Pd 1 End Date	31-AUG-1999	
Report Format Code	05	FSR-SF269, SF272						Bud Pd 2 End Date	31-AUG-2000
Bill Format Code	05	FEDERAL OTHER						Bud Pd 3 End Date	31-AUG-2001
Bill Freq Code	Q3	QUARTERLY REIMBURSEMENT (MA						Bud Pd 4 End Date	
LOC Rpt Status								Bud Pd 5 End Date	

Buttons at the bottom: Freeze Status, Action History

- Select either **Freeze Grant (Secured)** or **Freeze/Unfreeze Grant (Secured)** responsibility depending on your profile
 - Each end-user will only have access to one of these responsibilities
 - Research Services will have access to RS: Freeze/Unfreeze Grant (not secured)
- Type Fund number in the 'Fund' field
- Press **[Find]**
- Click on **[Freeze Status]**

How to Freeze a Grant Fund (continued)

Freeze Status Window

- Click on '**Choose Action**' drop down arrow
- Select from one of the following (the list of values will have one or more of these options available based on where you are in the grant life cycle and what the current freeze status of the fund is):
 - **Freeze All**
 - **Freeze CFORM**
 - **Freeze Feeders**
 - **Freeze Manual JE**
 - **Freeze PO**
 - **Freeze Payroll**
 - **Set Function Override**
- Type a brief explanation in Comments field
 - Click on **Edit>Edit field** to view entire Comments field
- Click on **[Save]** to complete action
- Checkmarks in transaction source denotes 'Frozen'
- Note changes to actions; 'Unfreeze' actions now available if you have Freeze/Unfreeze Grant Responsibility
- Click **[Action History]**
 - Dates, times, user ID, and comments available for all transactions



See the section on 'View User' for how to find more information on the user ID

How to Freeze a Grant Fund (continued)

If you have the Freeze/Unfreeze Grant (Secured) Responsibility, you have the ability to 'unfreeze' a frozen grant fund with the following guidelines:

- During the Project Period
 - Authorized users with access to the RESP ORG of the fund
- During the Adjustment Period
 - Authorized users with access to the RESP ORG of the fund
 - 'Unfreeze' no longer available for New POs
 - New POs/Requisitions can only be created by extending the Project Period
 - Project period extensions must be handled according to University and sponsor guidelines
- After the Adjustment Period
 - The system automatically freezes any transaction (TX) sources not already frozen
 - Research Services will consider requests to 'unfreeze' on a case by case basis

Unfreeze Request to the Office of Research Services (ORS)

- Requests accepted via e-mail to the ORS Responsible Accountant with a cc to the ORS Responsible Assistant Director
- Each request must specify
 - Individual transactions needed (manual journal entry, purchase, etc.)
 - Particular 'Transaction Source' to be 'Unfrozen'
 - Anticipated time frame for 'Unfreeze'
 - Reason for delay in adjusting the account
- Requests must be consistent with University and sponsor policies for
 - Allowability
 - Allocability
 - Reasonableness
- All appropriate documentation should be sent to Office of Research Services

Steps for Unfreezing a Grant Fund

- Follow the same steps for 'Freezing a Grant Fund' however, in the 'Choose Action' drop down box, select from one of the 'Unfreeze' options.

More on Freeze/Unfreeze Grants

- Tool for more effective grant management
- Will not prevent grant deficits
- Not a substitute for appropriate management through the life of a grant
- Communication and cooperative effort is key
- Attempt to increase sponsor compliance
- Once Reporting Period reached, Office of Research Services assumes grant is ready for reporting to sponsor

View User

To assist end-users in identifying the creator of general ledger transactions, an inquiry screen is available called "View User". This inquiry screen is included in the following responsibilities:

- Freeze Grant (Secured)
- Freeze/Unfreeze Grant (Secured)
- GL Inquiry (Secured)
- Journal Entry – General
- PO Manager

The screen will provide you with information available from the user database, including departmental address, e-mail address and whether or not the creator is still an active user of BEN Financials.

To use this screen, you will need to have the user ID of the individual who created the transaction in question.

- From the Freeze Grant responsibilities, the user ID appears in the **[Action History]** screen
- From the GL Inquiry responsibility, the user ID is found using the **Help>Record History** menu path.

- Type in the user name
- Click on **[Find]**



You can also type a portion of the user name and use the '%' as a wildcard

Revision History

Date	Page Number(s)	Topic
August 22, 2003	12 & 16	Addition of Penn ERA 5-digit Sponsor Code
December 2, 2003	5	Research Services and BEN Knows website information
December 2, 2003	19	Freeze Payroll Information
December 5, 2003	18	Update Unfreeze Request e-mail information
January 25, 2005	Various	BEN 11.5.9 Upgrade – including addition of U@Penn website
February 10, 2006 (BAM)	11-12	New Navigation screens
January 27, 2009 (BAM)	5	Logon Access Form information
March 1, 2012 (BAM)	4 – 5	Penn eForm information