ECTU Central Office WPD_OP_W1: Processing Payment Requests and Reconciliation of Study Transactions

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Document Revision History		
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1.0	10 Sep 2019	Initial Creation
2.0	21 Jan 2022	Minor administrative updates throughout. Moved to v3.0 of WPD Template. Minor update made to section 2.3.3 following original issue date 07 Jan 2022, effective date remains 21 Jan 2022.

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1. INTRODUCTION

This Working Practice Document (WPD) provides guidance on the payment of invoices and expenses from a study budget and the ongoing regular reconciliation of the study budget within WebFirst. This WPD should be used primarily by the Trial Manager or designee who is responsible for budgetary oversight and ECTU Administration staff who process invoices, EITs and expenses on behalf of the unit. The ECTU Trial Manager or designee is only required to monitor and reconcile the portion of a study budget that is allocated to ECTU.

2. INSTRUCTIONS and GUIDANCE

In order for an expense payment to be made from a study budget, a payment request must be made from the supplier/service provider in the form of an invoice or an expense form. The supplier should state on the invoice the sort code and account number for the payment by bank transfer along with the name of the payee, the amount to be paid and the currency. An Electronic Internal Transfer (eIT) should be used for providers within the University of Edinburgh.

2.1 Processing Invoices, eITs and expense forms for payment

Once a payment request has been received from a supplier/service provider for payment, the following steps should be followed to ensure that it is paid from the correct study budget:

2.1.1   The Trial Manager or designee will confirm the study acronym, cost centre, job code and account code where the payment is to be made from. Confirmation can be by email to the ECTU Administrator or by annotation of the invoices, EITs or expense forms.

2.1.2   The ECTU Administrator will enter the coded invoice/EIT/expense form into the Finance Process Manager (FPM) before submitting for approval by ECTU management and then payment by accounts payable. If the supplier is not already on FPM, they will need to be added before the payment transaction can be created. The ECTU Administrator will arrange for the supplier to be added to the FPM system.

2.1.3   The ECTU Administrator will write the FPM number onto the invoice/eIT/expense form.

2.1.4   Paper-based manual payment requests are no longer accepted by Accounts Payable. All payments to external suppliers are made by electronic transfer through FPM.

2.1.5   The ECTU administrator will place processed invoices/EITs/expense forms at the front of the finance folder for each study.

2.1.6   Some invoices/EITs are for costs that are split over several grants (e.g. teleconference costs, photocopying, and taxis). In this case a photocopy of the invoice/EIT is filed by the ECTU Administrator in the finance folders of all the relevant studies.

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2.1.7   Invoices from some supplies (e.g. Banner Group Ltd) are not routinely filed because they are paid from a large university wide Purchase Order. Details of any specific order can be printed and filed upon request to the ECTU administrator.

2.1.8   Salary costs that are categorised in the research grant award as 'Directly incurred staff costs' and 'Indirect costs' are not usually filed. Salary payments are usually processed within the finance department. The Business Manager will provide HR with details of which salary is to be deducted from each grant and if required will update HR with any salary change requests.

2.1.9   Some research grants will have study costs allocated to job codes not managed by ECTU. Invoices that are to be paid from non-ECTU job codes should be forwarded to the department managing that job code. These invoices do not need to be filed in ECTU.

2.2 Finance folder filing structure

2.2.1   When a new study is allocated an R number(s) the ECTU administration team will set up a study-specific finance folder(s). The folder is divided as follows:

Front		Unreconciled invoices/EITs/expenses
1	**Budget**	Latest budget from WebFirst Monthly WebFirst Reconciliation Transactions
2	**Invoices**	Invoices
3	**EITs/POs**	EITs and Purchase Orders
4	**Expenses**	Expenses from eExpenses Casual payment vouchers for expenses incurred by persons with no access to eExpenses
5	**Transactions**	Statements WebFirst journal transactions

2.3 WebFirst Reconciliation

2.3.1   The Trial Manager or designee is responsible for reconciliation of the WebFirst transactions with the invoices/EITs/expenses received. A WebFirst Login can be obtained online from the Finance Department (see link in Section 3).

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2.3.2 At regular intervals the Trial Manager or designee will print the transactions from WebFirst in order to reconcile the transactions. It is recommended the report is run monthly as soon as possible after the accounting period has been finalised by finance. This means that all transactions for that month have been processed and any outstanding transactions will not appear until the following month.

2.3.3 Once the transaction for an invoice/EIT/expense has appeared in WebFirst the Trial Manager or designee should ensure that the document is filed in the appropriate section of the folder with the other processed payments. The order of filing is by date of invoice, not the date of transaction.

2.3.4 All directly incurred non-staff transactions appearing in WebFirst, except for Banner Group Ltd, should have a corresponding invoice/EIT/expense. If any invoice/EIT/expense forms are missing first ask the ECTU Administrator for these documents because there may be a backlog with filing. If the missing document cannot be located request the ECTU Administrator to print a copy from FPM or to request from the finance department. Invoices that are generated from POs are processed directly by the UoE finance department and do not go through FPM.

2.3.5 The Trial Manager or designee will follow up with finance on any invoices/EITs/expenses which have been sent for payment but do not have a corresponding transaction in WebFirst. The ECTU administrator has access to view details of each transaction in FPM.

2.3.6 Invoices which have not yet been processed or are being queried should not be filed in chronological order with the processed payments, but should remain at the front of the folder until the transaction is correct.

2.4 Monitoring a study budget

2.4.1 The Trial Manager or designee is responsible for having oversight of the study budget. The account balances can be monitored using the 'Actual Expenditure plus all eCommitments (New) (151)' report in WebFirst.

2.4.2 The Chief Investigator, ECTU operational management and the Research Development Team should be kept up to date about any projected shortfall in budget so that necessary actions can be taken in time to prevent a negative impact on the study.

2.4.3 The Trial Manager or designee should monitor the spend on salaries and keep their Line Manager and/or Business Manager informed of any significant over or under spend on salaries. Staff costs may need to be moved to/from different studies throughout the period of the grant to ensure no over/under spend at the reconciliation reporting periods. The Business Team may require input from the Trial Manager to assist with assigning salary costs to a study.

3. RELEVANT DOCUMENTS AND REFERENCES

Individuals must first be approved in eAuthorisations in order to access FPM, eIT and WebFirst. This can be requested by emailing fisusers@ed.ac.uk
Requests to have specific R codes added to an individual's eAuthorisation record should be made to the Usher finance team manager.

Accounts Payable Forms
www.ed.ac.uk/finance/about/sections/accounts-payable/ap-forms

Finance Process Manager (FPM)
www.ed.ac.uk/finance/finance-training-hub/finance-systems/finance-process-manager

Electronic Internal Transfers (eIT)
www.ed.ac.uk/finance/finance-training-hub/finance-systems/eit

WebFirst
www.ed.ac.uk/finance/about/sections/sas/user-guides/webfirst

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