Prime What's New & Different

Information Access and Security
Objectives for Today

• Introduce Prime Financial Information Access and Security
• Review key terms and concepts
• Help you understand what’s new and different about Prime Information Access
Prime Key Changes

• A new chart of accounts that improves our reporting capabilities by creating a more detailed and structured hierarchy for financial information
• The standardization of key processes across the university
• The automation of many forms and processes, and the approval of those processes
Prime Portal

• Prime Portal is the Welcome Center for Prime

• Always go to the Portal to start

• In July, the application buttons on the Portal will take you directly into the related application
  • These applications will be under PUAccess – you will only have to log-in once to access any system

• Let’s go to the Portal and review Prime

http://prime.princeton.edu/
Prime Information Access

**What can you do?**
- Requisition Creator
- Journal Creator
- Approver
- Report Viewer

**Who approves it?**
- Departments
- Names
- Dollar Thresholds

**Function**
- Approval & Workflow
- ChartField Access

**System Access**
- Prime Financials
- Prime Marketplace
- Information Warehouse

**What can you do it?**
- Information Access

**Where can you do it?**
- Departments
- Program
- Project
Functions & Systems Security

- **Function**
  - Requisition Creator
  - Journal Creator
  - Approver
  - Report Viewer

- **System Access**
  - Prime Financials
  - Prime Marketplace
  - Information Warehouse

- **Approval & Workflow**
  - Departments
  - Names
  - Dollar Thresholds

- **ChartField Access**
  - Department
  - Program
  - Project

- **Who approves it?**

- **What can you do?**

- **Where can you do it?**

- **Information Access**

- **What can you see?**
Functions and Systems Security

In each department, individuals will be assigned to specific business functions that determine what each individual can do in a system or system(s).

<table>
<thead>
<tr>
<th>Named Individual</th>
<th>Business Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jane Jones</td>
<td>Requisition Creator</td>
</tr>
<tr>
<td></td>
<td>Approver</td>
</tr>
<tr>
<td></td>
<td>Financial Report Viewer</td>
</tr>
<tr>
<td>Johnny Smith</td>
<td>Journal Creator</td>
</tr>
<tr>
<td></td>
<td>Requisition Creator</td>
</tr>
<tr>
<td></td>
<td>Approver</td>
</tr>
<tr>
<td></td>
<td>Financial Report Viewer</td>
</tr>
</tbody>
</table>
Functions Assigned to All

• All faculty and staff will be granted the following functions/capabilities automatically:
  • Shopper
  • Approver
  • Traveler
  • Online Financial Access Request Form
  • Online Program Request Form
Key Function: Financial Manager

• The Financial Manager is the person who has broad responsibilities for day-to-day financial management. Departments may have more than one Financial Manager.

• Financial Manager is a bundled function, meaning several functions are automatically included when Financial Manager is assigned to an individual user. Financial Manager includes the following functions:
  • Shopper
  • Traveler
  • Approver
  • Requisition Creator
  • Receiver
  • Journal Creator
  • Report Viewer
  • Sponsored Research Report Viewer
## A Key Function Assignment: Shoppers & Requisition Creators

<table>
<thead>
<tr>
<th>Type of Department</th>
<th>Prime Marketplace</th>
<th>Prime Financials (PeopleSoft 9.2)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>User completes ChartFields</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Shopper</td>
<td>Requisition Creator</td>
</tr>
<tr>
<td>Small Academic</td>
<td>Faculty, Staff or Student</td>
<td>n/a</td>
</tr>
<tr>
<td>Large Academic</td>
<td>Faculty, Staff or Student</td>
<td>Supervisor, Lab Manager, Principal Investigator</td>
</tr>
<tr>
<td>Distributed Administrative (Facilities)</td>
<td>Faculty, Staff or Student</td>
<td>Foreman, Supervisor</td>
</tr>
<tr>
<td>Centralized Administrative</td>
<td>Faculty, Staff or Student</td>
<td>n/a</td>
</tr>
</tbody>
</table>
ChartField Access

What can you do?
- Requisition Creator
- Journal Creator
- Approver
- Report Viewer

Function

Who approves it?
- Departments
- Names
- Dollar Thresholds

Approval & Workflow

Where can you do it?
- Prime Financials
- Prime Marketplace
- Information Warehouse

System Access

ChartField Access
- Department
- Program
- Project
Refresher: Chart of Accounts Building Blocks

A chartstring is a combination of ChartFields.
ChartFields record distinct categories of financial information.
## Refresher: Complete ChartField Order

<table>
<thead>
<tr>
<th>ChartField</th>
<th>Business Unit</th>
<th>Department</th>
<th>Fund</th>
<th>Account</th>
<th>Program</th>
<th>Site</th>
<th>Function (Derived)</th>
<th>PC BU</th>
<th>Project</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Default</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Required for All Transactions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Optional (Conditional)</td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Required for Capital or Sponsored Project</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th># of Characters</th>
<th>5</th>
<th>5</th>
<th>5</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>2</th>
<th>5</th>
<th>8</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type</td>
<td>Alpha</td>
<td>Numeric</td>
<td>Alpha-Numeric</td>
<td>Numeric</td>
<td>Alpha Numeric</td>
<td>Numeric</td>
<td>Numeric</td>
<td>Alpha</td>
<td>Numeric</td>
<td>Numeric</td>
</tr>
<tr>
<td>Value</td>
<td>XXXXX</td>
<td>#####</td>
<td>X#####</td>
<td>####</td>
<td>XX###</td>
<td>#######</td>
<td>##</td>
<td>XXXXX</td>
<td>#######</td>
<td>###</td>
</tr>
</tbody>
</table>
ChartField Access: What Can You See?

• Three ChartFields are used to manage what users can see in the Information Warehouse:

1. **Department** – For the specified five-digit department, the user can see the Account, Fund, Program and Project income and expenses.

2. **Program** – For explicitly secured Programs, the specified owners can view all financial information for the Program.
   - Example: For a Faculty Program, only those explicitly assigned to the Program will be able to view the information.

3. **Project** – For each Sponsored Project, the PI and the department contacts (Financial Manager and NOA Recipient) on the primary Project can view all projects under an award, while the PI(s) and the department contacts on the non-primary projects can view that specific project.
Department is key to determining what information a user can see

- Department is the primary ChartField for determining what information a user can see in the Information Warehouse.

- Users with specific Department security will see all sponsored and non-sponsored financial activity for that department.
# Department Financial Hierarchy

<table>
<thead>
<tr>
<th>Level</th>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>All Departments</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Non Princeton/President-Provost-EVP</td>
<td>Distinguishes external entities from Princeton entities</td>
</tr>
<tr>
<td>3</td>
<td>VP Region</td>
<td>Represents a Vice President or Dean region</td>
</tr>
<tr>
<td>4</td>
<td>Area</td>
<td>Organizes academic Departments by subject area, administrative Departments into Operating and Non-operating areas.</td>
</tr>
<tr>
<td>5</td>
<td>Organization</td>
<td>The equivalent of today’s 3-digit Department, in most cases.</td>
</tr>
<tr>
<td>6</td>
<td>Group</td>
<td>Represents a set of departments that perform related functions or report to the same manager. Note: A Group would be created within an Organization only as needed.</td>
</tr>
<tr>
<td>7</td>
<td>Department</td>
<td>The transactional level Department in PeopleSoft. This is the most granular level of Department where transactions occur. Note: A Department may not have a dedicated manager. For a small organization, Levels 5-7 may be the same.</td>
</tr>
</tbody>
</table>
Sample Department Financial Hierarchy

Organization

Group

Department

Department of Gardening

Gardening

23600-GDN-Garden
23602-GDN-Dept Administration
23604-GDN-Undergraduate

Gardening – Operations

23605-GDN-Greenhouse
23607-GDN-Stockroom
23608-GDN-Facilities

Gardening-Recharge Centers

23609-GDN-Soil Shop (RC)
23610-GDN-Instrument Shop (RC)
23611-GDN-Seed Shop (RC)
Prime Information Access: Programs

- The Department and financial reporting Program will secure information access.
- Certain roles will have access to all departmental financial information, including financial reporting Programs.
- Financial reporting Program security will be provisioned to individuals as requested.

Department A
- Conference 1
- Faculty Member

Department B
- Seminar
- Faculty Member

Inter-Departmental Program
Interdisciplinary Faculty Member
Salary Security

• Like today, individual salary data will only be available to those with the appropriate Labor Accounting reporting access.

• Access to individual salary data will still go through Labor Accounting and be secured by staff class, Department, and Program.

• Aggregated labor costs for a particular chartstring will be viewable in the warehouse based on the ChartField combinations of staff class, Department, Program, and Project.
Refresher: Sponsored Research Accounting Future

- **Award** – A contractual agreement that forms the basis of billing. All projects roll-up to the Award. Each Award must have at least one project and one activity.

- **Project** – The ChartField that provides the structure for Activities.

- **Activity** – The task breakdown by year and F&A rates assignable at this level. Activity helps manage Carry Forward Restrictions and annual financial reporting.

Every Award has at least one Project, and every Project has at least one Activity. Projects roll-up to Awards, Activities roll-up to Projects.
Sponsored Project Security

- **Notice of Award (NOA) Recipients & Financial Managers.** The NOA Recipients and Financial Managers of a given department will have access to all projects within the department.
  - Additionally, if any of those projects are the primary project of the award, they will have access to **ALL** projects within the given award.

- **Department Security.** Any user with Department security will have access to all activity within the given department, including activity for any sponsored projects managed within the department.

- If an individual is not a Financial Manager but should have access to run Sponsored Research Reports, the individual must be given the Sponsored Research Report Viewer function.
Sponsored Project Security

• **Project Team and Role.** Every sponsored project will have a project team, with named individuals and associated roles. These roles include:

  • **Primary PI** - Access to ALL projects within the given award.
  
  • **Project PIs (PIs on non-primary projects such as co-PIs*, Multi-Investigators or a Project Director/Manager)** – Can only see their specific project(s)

  • **Reporting** - Access to their specific project only

  • Users who need access but don’t have a team role will submit a security form for the specific Project ID.

*If the Primary Project has a co-PI, that co-PI will not automatically get access to the Primary Project. Access will need to be requested by the home department of the Primary PI to ORPA.
Sponsored Project Security

Award: Chemistry

Project 1 – Chemistry, PI: Smith
NOA & Financial Manager (Chemistry)
PI Smith (Primary PI)

Project 2 - Physics, PI: Johnson
NOA & Financial Manager (Chemistry)
NOA & Financial Manager (Physics)
PI Smith (Primary PI), PI Johnson

Project 3 – MolBio, PI: Sullivan
NOA & Financial Manager (Chemistry)
NOA & Financial Manager (MolBio)
PI Smith (Primary PI), PI Sullivan
Center-Managed Projects

• If a sponsored project is managed outside the “home” department of the PI, e.g., by a center like PRISM, the Financial Managers and NOA Recipients of the center and the home department will have access to the project.

• If the project is the primary project, they will also have access to all projects under the Award.
Approval, Thresholds, and Workflow

**What can you do?**

**Function**
- Requisition Creator
- Journal Creator
- Approver
- Report Viewer

**System Access**
- Prime Financials
- Prime Marketplace
- Information Warehouse

**Who approves it?**

**Approval & Workflow**
- Departments
- Names
- Dollar Thresholds

**ChartField Access**
- Department
- Program
- Project

**Where can you do it?**

**Information Access**
About Approval, Workflow & Thresholds

• Ensures appropriate segregation of duties and applies internal controls.

• Standard dollar thresholds apply across all transactions.

• Approval is driven by the Department ChartField.
  • Approval routing is not driven by Fund or Program.

• Approvers may approve multiple types of financial transactions.

• Worklists enable Approvers to manage their work.
About Workflow Routing

• Workflow is used to manage the routing of financial and non-financial transactions.
  • Example of a financial transaction: Create Requisition.
  • Example of a non-financial transaction: Request a New Program ChartField.

• Each Transaction routing is determined by the:
  1. Type of transaction.
  2. Department ChartField on the transaction.
  3. Approval Threshold of the user who creates the transaction.
Worklists are used in several systems to manage approval queues

<table>
<thead>
<tr>
<th>System</th>
<th>Worklist Manages Approvals for:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prime Financials</td>
<td>• Requisitions</td>
</tr>
<tr>
<td>(PeopleSoft 9.2)</td>
<td>• Non-PO Payment requests</td>
</tr>
<tr>
<td></td>
<td>• Sponsored Research Subaward Invoice Approvals</td>
</tr>
<tr>
<td></td>
<td>• Fund Assignment Journals (I.I.)</td>
</tr>
<tr>
<td></td>
<td>• Online Correction Journals (I.I.)</td>
</tr>
<tr>
<td></td>
<td>• Cost Transfer Journals (I.I.)</td>
</tr>
<tr>
<td>Labor Accounting</td>
<td>• Pending distributions</td>
</tr>
<tr>
<td></td>
<td>• Salary distributions &amp; payments</td>
</tr>
<tr>
<td></td>
<td>• Salary cost transfers</td>
</tr>
<tr>
<td></td>
<td>• Graduate Student payments</td>
</tr>
<tr>
<td>Concur</td>
<td>• Departmental Purchasing Card reconciliation</td>
</tr>
<tr>
<td></td>
<td>• Travel and Expense Card reconciliation</td>
</tr>
<tr>
<td></td>
<td>• Expense Report approval</td>
</tr>
</tbody>
</table>
## Dollar Approval Thresholds

Standard approval thresholds for financial transactions.

<table>
<thead>
<tr>
<th>Approval Threshold</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Threshold 1</td>
<td>$0.01 - $2,499.99</td>
</tr>
<tr>
<td>Threshold 2</td>
<td>$2,500.00 - $4,999.99</td>
</tr>
<tr>
<td>Threshold 3</td>
<td>$5,000.00 - $24,999.99</td>
</tr>
<tr>
<td>Threshold 4</td>
<td>$25,000 and greater</td>
</tr>
</tbody>
</table>
Prime Approval Basics

• Transactions are approved only by the Approver at that threshold.
• Approvers will only see transactions in their worklist that fall in the range of the threshold to which they are assigned.
• If a user is an Approver at a given threshold, transactions they create themselves within that dollar range will approve automatically, and will not require additional departmental approvals.
• Routing for transactions charged to multiple departments is based on the **total** dollar amount of the entire transaction.
• Multiple designated Approvers will receive the same items in their worklist. Once a transaction is reviewed by one person, it will automatically be removed from the other Approvers’ worklists.
Additional Workflow Routing may apply

• Requisitions >$5,000 route to Purchasing for approval.

• Certain categories route to Environmental Health & Safety (EHS) for approval.

• Travel & Expense Reports may route to named supervisors for approval.

• Sponsored Research cost transfers >90 days and subcontract payments route for approval.
Additional Workflow for Sponsored Research

• Routing for Subcontract Payments:
  1. ORPA Approval
  2. PI or Designee Approval - designated by ORPA at subaward setup

• Routing for Cost Transfers >90 days (salary & non-salary):
  1. Department Approval
  2. Project PI Approval (cannot be delegated)
  3. SRA Approval
  • Above does not occur if transfer is happening across projects within an award

• As the Approvers for Cost Transfers, PIs will be required to access the Prime Journal Page to approve cost transfers.
Approver Set Up Considerations

• All users will be granted the Approver function. This allows for the addition of an ad-hoc reviewer on any transaction when needed.

• Approvers can be defined at any level of the financial hierarchy. This includes Organization, Group, or Department. e.g. Chemistry, Recharge Centers, Gas.

• In general, larger departments should have at least two Approvers at every threshold.

• Each department will need to determine their processes for managing worklists and approvals.
## Example Approval Setup

<table>
<thead>
<tr>
<th>Organization</th>
<th>Group</th>
<th>Department</th>
<th>Approval Thresholds</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Threshold 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>$.01 - $2,499.99</td>
</tr>
</tbody>
</table>

### Department of Gardening

<table>
<thead>
<tr>
<th></th>
<th>Approval for Operations (3)</th>
<th>Gardening - Recharge Centers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gardening</td>
<td>John</td>
<td>23609-GDN-Soil Shop (RC)</td>
</tr>
<tr>
<td></td>
<td>Bob</td>
<td>23610-GDN-Instrument Shop (RC)</td>
</tr>
<tr>
<td></td>
<td>Sally</td>
<td>23611-GDN-Seed Shop (RC)</td>
</tr>
<tr>
<td></td>
<td>Mary</td>
<td></td>
</tr>
</tbody>
</table>

Threshold assignments at the Organization level route ALL corresponding transactions to user worklists.

### Gardening

<table>
<thead>
<tr>
<th>Department</th>
<th>Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>23600-GDN-Garden</td>
<td>John</td>
</tr>
<tr>
<td>23602-GDN-Dept Administration</td>
<td>Stan</td>
</tr>
<tr>
<td>23604-GDN-Undergraduate</td>
<td></td>
</tr>
</tbody>
</table>

After Stan approves a transaction, it disappears from John’s worklist.

If Martha or Sally approve a purchase of $5K or greater, it automatically routes to the F&T Purchasing Department for an additional approval.

### Gardening – Operations (3)

<table>
<thead>
<tr>
<th>Department</th>
<th>Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>23605-GDN-Greenhouse</td>
<td></td>
</tr>
<tr>
<td>23607-GDN-Stockroom</td>
<td>Martha</td>
</tr>
<tr>
<td>23608-GDN-Facilities</td>
<td></td>
</tr>
</tbody>
</table>

Since there is no one with Threshold 1 Approval in this Group, all Approval for Operations appears on John’s worklist only.

### Gardening-Recharge Centers

<table>
<thead>
<tr>
<th>Department</th>
<th>Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>23609-GDN-Soil Shop (RC)</td>
<td>Frank</td>
</tr>
<tr>
<td>23610-GDN-Instrument Shop (RC)</td>
<td>Peter</td>
</tr>
<tr>
<td>23611-GDN-Seed Shop (RC)</td>
<td>Nancy</td>
</tr>
</tbody>
</table>

Peter only sees transactions within his Threshold in his worklist. He does not see the transactions in Frank’s worklist.

Nancy can approve any financial transaction for the Instrument Shop, including Requisitions and Journals.
More information about Approval, Worklists and Thresholds

• We will offer an Approval and Worklist course.

• Information is available on our website:
  • https://finance.princeton.edu/how-to/prime-information-trainin/information-access/approval-workflow-thresho/index.xml
All Together Now

What can you do?

Function
- Requisition Creator
- Journal Creator
- Approver
- Report Viewer

System Access
- Prime Financials
- Prime Marketplace
- Information Warehouse

Who approves it?

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ChartField Access
- Department
- Program
- Project

Information Access

Where can you do it?

What can you see?

36
Next Steps: User Data Collection

• We will ask Prime Department Contacts from each department to complete a User Data Collection effort during lab sessions.

• During each lab session, we will define Prime Information Access for all system users.

• User Data Collection Labs – Register

• User Data Collection Preparation materials are available on our website
  • https://finance.princeton.edu/how-to/prime-information-trainin/information-access/user-data-collection-prep/
A Quick Reference Card is available

<table>
<thead>
<tr>
<th>Recommended Access</th>
<th>Department Chair</th>
<th>Individual Faculty/PI</th>
<th>Department Manager/ Business Manager</th>
<th>Grants Manager</th>
<th>Assistant Grants Manager</th>
<th>Faculty Assistant</th>
<th>Admin. Assistant</th>
<th>Purchasing or Operations Manager</th>
<th>Purchasing Staff</th>
<th>Receiver</th>
<th>Lab or Rcharge Ctr Mgr</th>
<th>Undergrad Administrator</th>
<th>Graduate Administrator</th>
<th>SCAD/DCS</th>
<th>Students / Post Docs</th>
<th>DCU</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Pre-Assigned</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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</tr>
<tr>
<td>+ Dept. Can Add</td>
<td></td>
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</tr>
</tbody>
</table>

**FUNCTIONS**

- Shopper
- Traveler
- Approver
- Financial Manager**
- Report Viewer
- Sponsored Research
- Requisition Creator
- Journal Creator
- Travel Arranger
- Expense Delegate
- Departmental Purchasing Cardholder

<table>
<thead>
<tr>
<th>CHARTFIELDS</th>
<th>All Departments</th>
<th>All Programs</th>
<th>Specific Departments</th>
<th>Person-Specific Program</th>
<th>Other Specific Program(s)</th>
<th>Shared Programs w/ Other Units</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**APPROVER THRESHOLDS** - Choose the highest appropriate threshold to manage workflow most effectively

- None
- 1 ($0.01 - $2,499.99)
- 2 ($2,500.00 - $4,999.99)
- 3 ($5,000.00 - $24,999.99)
- 4 ($25,000 and greater)

**For Central Offices including, Provost, Graduate School, DOF, Facilities, Development and others an additional Information Access Reference Guide is available.**

Additional Information

- **Portal:** [http://prime.princeton.edu/](http://prime.princeton.edu/)
- **Email:** prime@princeton.edu
Questions?

Thank you!