AGENDA

Demo – Contracts Database
Michael Nichols
Director – Contracts
Office of Sponsored Programs

Effort Reporting
James Goff
Manager, Cost Analysis/Data Management

Financial Management
Projects on Hold
Evelyn Balabas
Director - Office of Grants and Contracts Accounting

Inactivating SmartKey’s

Subcontracts
Holly Sommers
Director – Grants
Office of Sponsored Programs

ANNOUNCEMENTS

- Next Meeting: July 21st, 2011
  Woodruff Health Sciences Administration Building (WHSCAB) Auditorium
  1440 Clifton Road N.E. – 1st Floor
  9:30 a.m. – 11:00 a.m.

- Information about ERAZ can be found at: http://www.or.emory.edu/About_Us/ERAZ.cfm

- If you have any comments or suggested topics for future meetings, please email them to eraz@emory.edu.

- Your opinion and thoughts matter. Please complete the survey that will be sent out following this meeting.
Emory University

Effort Compliance
188 Outstanding certifications for SEP-NOV 2009

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Risks of Non-Compliance

- Audit of uncertified effort
  - Risk of extrapolation of sample data
  - Recent case at Duke

- Cost transfer risk
  - 90-day cost transfer deadline
  - More strict enforcement
  - Not dropping certified effort

- Greater costs for department
  - Unmoved costs may have to be absorbed
What can you do?

Check for missing pre-reviewers

- To change assignments for individual(s), click on: [Change Assignments for Individuals]
- To re-assign Department Administrator, click on: [Route a domain to another Administrator]
- To re-assign Cost Transfer Approvers, click on: [Assign Cost Transfer Approvers]

What can you do?

Missing pre-reviewer
What can you do?

Review Comprehensive Status Report
• Effort must be certified 45 days after forms are available
• Delinquent emails sent automatically to department coordinators
• 60/90/120 Day escalating notifications possible
• These could go to Schools, internal audit, etc.

Notifications
• Effort Training is available every quarter
• Next Classes: June 9th & September 13th
• To register, send email with your name and department to Camilah Hicks at cghicks@emory.edu
• For questions please contact James Goff or Rubena Bedi
Research Administration at Emory

Evelyn Balabis
Post Award Financial Administration, OGCA
Financial Management of Sponsored Research

- General Guidelines
  1. Review eNOA – if you find an error notify your OGCA contact right away.
  2. Review and understand your terms and conditions
     1. Are there any restrictions?
     2. Is there cost share?
     3. What requires sponsor approval?
  3. Charge to the appropriate award the first time around
     1. Prevents additional work later – no need to journal
     2. Allocate up front if expense benefits multiple awards
  4. Review Ledgers Monthly
  5. Correct and Journal any errors as soon as possible
  6. Meet and review expenses and budget balances with PI on a regular basis
Putting Projects on HOLD

- When should a request be made to put a Project on HOLD?
  - When the master department of an award needs to prevent further transactions from hitting a particular project
  - When a department needs to prevent further transactions from hitting one of their own projects
  - When a research sponsor submits a ‘stop work order’ on an award or a project within an award

- Link to form: [http://www.ogca.emory.edu/post/forms/index.cfm](http://www.ogca.emory.edu/post/forms/index.cfm)
Putting Projects on HOLD

Departmental Responsibilities

- All applicable feeder systems have been notified of the hold and an alternative source has been provided for future expense
- Any Open PO’s have been updated with new source of funding for future payments
- All RST’s have been processed
- All collaborative departments have been notified of putting the project on Hold
- All appropriate approvals have been obtained based on school level requirements
Putting Projects on Hold

OGCA Responsibilities

- Insure department has met requested requirements
- Review justification
- If approved, the request will be submitted for processing and an email will be sent to requestor as well as the master department
- If rejected, an email will be sent to the requestor with reasons for rejection.
Putting Projects on Hold

- Timetable
  - Once a request is reviewed, approved and submitted for processing the requestor and the master department will receive an email which notifies them of the approval and submission.
  - Allow 2 full business days after you receive the email for the Hold to be put in place.
SmartKey Inactivation

- When should a request be made to inactivate a SmartKey?
  - When an award / project ends and all transactions are complete and ready for close
  - When a SmartKey is set up in error

- Link to Form:
  [http://www.ogca.emory.edu/post/forms/index.cfm](http://www.ogca.emory.edu/post/forms/index.cfm)
SmartKey Inactivation

- **Departmental Responsibility**
  - All charges are appropriate and there are no items in suspense related to this SmartKey
  - All applicable feeder systems have been notified and a new source has been provided for future expense
  - Any PO’s have been updated
  - All RST’s have been fully processed
  - All collaborative departments have been notified of smartKey inactivation
  - All appropriate approvals have been obtained based on school level requirements
SmartKey Inactivation

- **OGCA Responsibility**
  - Insure all departmental requirements have been met
  - Review for unallowable and restricted costs
  - Insure that all allowable costs have been billed
  - Insure all cash received from sponsor
  - Review F&AC
  - If approved, the request will be submitted for processing and an email will be sent to requestor as well as the master department
  - If rejected, an email will be sent to the requestor with reasons for rejection.
SmartKey Inactivation

- Timetable
  - Please keep in mind that the OGCA review process, billing and collection of outstanding payments will occur prior to submission of SmartKey inactivation – delays can occur.
  - Once a request is reviewed, approved and submitted for processing an email will be sent to the requestor and master department notifying them of the approval.

  - Please allow 2 full business days after that email is received for inactivation of the SmartKey to be completed.
Financial Management of Sponsored Research

Questions?
Proposal
• Documents Needed by PI and OSP at the proposal stage in order to include a subaward in a grant or contract application

Set-up
• Process to follow to allow OSP to establish a subaward or subcontract on a grant or contract

Management
• Oversight processes needed throughout the life of the award

Closeout
• Process to ensure appropriate completion of all work
Proposal

- Statement of Work
- Biosketches for Key Personnel
- Budget
- Resources (to include in prime proposal)
- Performance Site Information
- Letter of Intent or Face Page – must be signed by authorized official of the participating institution
Set-up

- OSP award must be active to establish a subaward to another site. Emory University cannot issue a subaward in the absence of an award.
- Request to initiate a Subaward must be submitted through OSP's online Sub Request system. This system captures data needed for the subaward to be issued.
- A detailed budget and statement of work should be attached. The statement of work should be detailed enough to allow the PI and university to measure performance against the objectives expected of the subrecipient.
- The Sub Request System authorizes OSP to issue a Purchase Order which will encumber the subaward funds against the Project Smart Key provided in the request.
- Requestor must identify a “Receiver” in the Sub Request system. This individual will be responsible for processing invoice payments to Subcontractor per the below.
Management

- PI and departmental support staff are responsible for ensuring appropriate performance by the Subawardee and for processing payments under the Subaward, which includes:
  - The “Receiver” designated in the Sub Request System is responsible for reviewing invoices and confirming with the PI that the work is progressing adequately. The actual invoice from the Subawardee may be viewed in WebOptix.
  - Once confirmation is received, the "Receiver" must “receive” the invoice in the Emory Express system to allow for payment to the Subawardee. The Receiver may do either a "Quantity" or "Cost" receipt, but the chosen method must be used for all receipts on a given PO.
  - Invoices must be appropriately budgeted and expensed to the 77600 (<$25,000) and 77610 (>=$25,000) account codes for each Subaward.
  - OSP subcontract templates now require invoices to be submitted electronically (as PDF attachments) to invoices@emory.edu with a copy to the Receiver. This will help give the Receiver advance notice that an invoice is being submitted for processing.
Closeout

- The PI and department must ensure that all invoices for the Subaward have been received and paid.
- As with ongoing invoice payment, the receiver should confirm with the PI that all work was completed satisfactorily and that all required data, documents, or other deliverables have been received from the Subawardee prior to "receiving" the final invoice for payment in the Emory Express system.