Emory Research A to Z
ERAZ

November 20, 2014

School of Nursing Auditorium
Agenda

• FIRA Update
• Project & Awards Closeout Tool (PACT)
• Research Administration Services (RAS) Update
• Global Services
FIRA STATUS AND ROLES & RESPONSIBILITIES

Edie Murphree – Vice President, Finance
# Account Clean-Up Status – FIRA

## Through 11/10/2014

<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>Closed</th>
<th>In Progress</th>
<th>Not Started</th>
</tr>
</thead>
<tbody>
<tr>
<td>RSPH RAS</td>
<td>1,554</td>
<td>990</td>
<td>352</td>
<td>212</td>
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<tr>
<td>SOM: BASIC SCIENCES</td>
<td>1,241</td>
<td>624</td>
<td>347</td>
<td>270</td>
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<tr>
<td>SOM: C&amp;I RAS</td>
<td>699</td>
<td>457</td>
<td>162</td>
<td>80</td>
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<tr>
<td>SOM: PEDS RAS</td>
<td>808</td>
<td>540</td>
<td>145</td>
<td>123</td>
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<tr>
<td>SOM: MEDICINE RAS</td>
<td>1,349</td>
<td>834</td>
<td>388</td>
<td>127</td>
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<tr>
<td>SOM: NEUROLOGY</td>
<td>396</td>
<td>191</td>
<td>91</td>
<td>114</td>
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<tr>
<td>SOM: PSYCHIATRY</td>
<td>487</td>
<td>276</td>
<td>134</td>
<td>77</td>
</tr>
<tr>
<td>YERKES</td>
<td>320</td>
<td>181</td>
<td>78</td>
<td>61</td>
</tr>
<tr>
<td>OTHER</td>
<td>3,684</td>
<td>1,691</td>
<td>796</td>
<td>1,197</td>
</tr>
<tr>
<td><strong>TOTAL PROJECTS</strong>*</td>
<td><strong>10,538</strong></td>
<td><strong>5,784</strong></td>
<td><strong>2,493</strong></td>
<td><strong>2,261</strong></td>
</tr>
</tbody>
</table>

* Expanded scope through 08/31/2013
FIRA Project (cont’d)

• Challenges
  – Competing priorities
    • RAS units are still learning new tasks and processes
    • Budget deficits priority for schools
    • Expanded scope requested
    • OGCA – Compass Upgrade, RAS unit training and loss of experienced staff have drained resources
    • Inadequate staffing – vacancies in central, RAS units and departments
  – New staff
    • Not familiar with old awards
    • Still learning

• Recommendation to focus on highest priorities rather than just RAS units
  • Cash deficits
  • Budget deficits
  • Conversion issues (technical consultant)
  • Expand project population from awards ending before 1/31/2013 to awards ending before 9/01/13
FIRA Team Roles & Responsibilities

– Creation of workbook – analysis of project from reports and file history
  • General Ledger, Project Resource, Trial Balances, FAS data
  • NOA’s, FFR’s from files

– Analyze project and determine issues
  • Technical (conversion, system), OGCA, Department or RAS
  • Notify Department or RAS of analysis results if action needed
  • Adjust Budgets and/or Billing Limits

– Journal Entries
  • Move deficit expenditures to Non Sponsored projects when SK provided by department
  • Make correcting balance sheet / revenue entries
  • Correct F&A

– Invoicing and Collection; FSR revisions
– Process Refunds and Residuals
– Perform Accounts Receivable maintenance

– Award closeout
  • final trial balance
  • project in close status
  • inactivate SK
  • close contract if needed
Department or RAS Unit Roles & Responsibilities

– Overspent award
  • Determine where charges should be moved
  • Move expenses to another sponsored project
  • Provide SK to FIRA when moving expenses to Non Sponsored project

– Underspent award
  • Determine if charges should be moved to award – if no charges can be found, FIRA team reworks FFR and processes refund

– Research files for missing documentation:
  • NOAs, Signed Contracts, Final Invoices, FSRs

– Approve refunds and residuals for processing
using the Projects & Award Closeout Tool (PACT)

Nicole Cohee: Associate Director, OGCA
Melissa Kuskie: Associate Director, OGCA

ERAZ 11/20/14
Closing Projects vs. Awards

What is Project Closeout?
- Closing of individual projects, tied to an award, that have ended (award can still be ongoing)
- Expenses on ledger match Final FSR and/or Final Invoice
- Project SmartKey inactivation

What is Award Closeout?
- Closing of an award that has ended, including all projects
- Expenses on ledger match Final FSR and/or Final Invoice
- Accounts Receivable - all cash for the award has been collected from the Sponsor
- All projects are ended and all SmartKeys inactivated
- Contract Billing Limit and Budgets are adjusted to Final FSR/Invoice
Closeout Milestones

Why are Closeout Milestones needed?
• To know when closeouts are due.
• To ensure closeouts for sponsored projects are completed.

• Closeout Milestones are located on the FSR Milestone Tab.

Grants > Awards > Award Profile > FSR Milestone Tab
Where do you start?!....

When is an ARRT required to be submitted to OGCA?

• An ARRT is required for all Final FSR/Invoices.
• In the event that a Final FSR/Invoice is not due to the sponsor, an ARRT should be completed before closeout – to confirm final expenditures to the award and confirm any necessary F&A Adjustments. It is then required to be submitted with the closeout packet to OGCA.

When should you begin the closeout of an award?

• Once you have completed the ARRT, you should begin the closeout process.

Here’s what you know:

– Total Expenditure Reported to Sponsor
– Deficit
– Refund/Residual
– Open Encumbrance
Closeout Steps

• Run Closeout Query to determine which awards are due for closeout
  – EU_GM_CLOSEOUT_MILESTONES
• Run the Emory Custom 15 Report
• Populate PACT
• Review, verify and clear:
  • Deficits
  • Refunds/Residuals
  • Encumbrances
  • Budget = Expenses
• Complete the Closeout Checklist
  • Add necessary documentation, including PACT, as attachments
  • Send to appropriate OGCA Team Helpdesk
  • Note: the checklist is not required to be sent to OGCA as part of the Closeout packet.
Closeout Milestones Status

Who is responsible for updating the Closeout Milestones in Compass?

• RAS: Update the Closeout Milestone to “In Progress” in Compass once they begin the closeout process. Once the Closeout packet is submitted to OGCA, the RAS will mark the milestone as “Complete”.

• Departments: OGCA will update the Closeout Milestones to “In Progress” in Compass once they begin the closeout process for the Departments. Once the closeout packet is submitted to OGCA, OGCA will mark the milestone as “Complete”.
Forms and Agreements

OGCA General Forms

ARRT

PACT (Closeout)
- PACT - Projects & Awards Closeout Tool
- Closeout Checklist

Memorandum of Understanding

Technology Transfer: Disclosure Forms & Material Transfer Agreements

Miscellaneous
## Award #: EUOGC015

<table>
<thead>
<tr>
<th>Step #</th>
<th>Description</th>
<th>V or Not Applicable (NA)</th>
<th>Refer to</th>
<th>Record Values/Notes Here for Future Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>RAS/DEPT Deficits (OLTs)</td>
<td></td>
<td>Clear deficit to final reported expenditures to sponsor.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>RAS/DEPT Refunds/Residuals</td>
<td></td>
<td>Check terms and conditions for disposition of unobligated balance. If we are allowed to keep remaining funds, complete the 'Request for Residual Balance Transfer Form'. If the funds need to be returned to the sponsor, complete the 'Request for Refund Form'. Submit the form to the appropriate OGCA Team Help Desk.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>RAS/DEPT Encumbrances</td>
<td></td>
<td>Remove Encumbrances. Any issues contact Emory A/P.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>RAS/DEPT/OGCA Budget = Expense</td>
<td></td>
<td>Does the Expenses on Ledger = the Final Reported Expenditures to Sponsor? If Expenses &gt; Budget = Possible Deficit. Deficit needs to be removed. If Expenses &lt; Budget = Possible Budget Adjustment completed by OGCA.</td>
<td></td>
</tr>
</tbody>
</table>
Closeout Timeline – Final FSR Required

Example: This timeline is based on a typical NIH Award. (90 Day Report Period)

- **Award End Date:** 6/30/13
- **FSR Due Date:** 9/30/13
- **Close Out Due Date:** 12/30/13

- **60 Days**
  - RAS/Department

- **30 Days**
  - OGCA

- **30 Days**
  - RAS/Department

- **60 Days**
  - OGCA
Closeout Timeline – Final Invoice Required

Example: This timeline is based on a typical 30 Day FINAL Invoice Due.

- Award End Date: 6/30/13
- 30 Days
- RAS/Department
- OGCA
- Close Out Due Date: 11/30/13
- 15 Days / 15 Days
- RAS/Dept & OGCA
- 30 Days
- RAS/Department
- 60 Days
- OGCA
Closeout Timeline – No FSR/Final Invoice Required

Example: This timeline is based on an award with no FSR/Final Invoice due.

<table>
<thead>
<tr>
<th>Award End Date</th>
<th>Close Out Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>6/30/13</td>
<td>9/30/13</td>
</tr>
<tr>
<td>7/30/13</td>
<td>8/30/13</td>
</tr>
</tbody>
</table>

30 Days
RAS/Department

60 Days
OGCA

An ARRT is required as part of the Closeout packet.
Things you should know...

Where do I submit the Residual/Refund form?
• The form is located in the SAM Kiosk.

Where do I submit the closeout packet?
• All closeout packets should be submitted to the appropriate OGCA Team Helpdesk.

Do I need to submit an Inactivate SmartKey form with the closeout packet?
• No, you do not need to complete or submit the Inactivate SmartKey form. This will be completed by OGCA once all columns in PACT are at $0.00.

How will I know when the Award is closed?
• OGCA will notify the RAS/Department via email once the SmartKey has been inactivated.
Useful Links

- OGCA Website – [http://www.ogca.emory.edu](http://www.ogca.emory.edu)
- OSP Website – [http://www.osp.emory.edu](http://www.osp.emory.edu)
- Emory University Policies (All Finance Related Policies) - [http://policies.emory.edu](http://policies.emory.edu)
- FORMS  [http://www.ogca.emory.edu/forms/index.html](http://www.ogca.emory.edu/forms/index.html)  >> Closeout
  - PACT
  - Closeout Checklist Form
- OGCA Team Helpdesk - [http://www.ogca.emory.edu/about/departmentlist.html](http://www.ogca.emory.edu/about/departmentlist.html)
Are there any questions?
Todd Bruce – Assistant Director, Operations
Shared Service Centers

RAS UPDATES
RAS Communication Channels

- **RAS Website**
  - Audience: faculty, research administration community, public-facing
  - Goals: provide PIs information on the RAS units serving them
  - Site is live: [http://ras.emory.edu](http://ras.emory.edu)

- **RAS Blackboard**
  - Audience: RAS Unit & Central Ops staff
  - Goals: official communication of news, policy changes, new processes, etc.; repository for SOPs, Job Aids, Org Charts, etc.
  - Invite required: [https://classes.emory.edu/webapps/portal/frameset.jsp](https://classes.emory.edu/webapps/portal/frameset.jsp)

- **Transform Research Administration Website**
  - Audience: Emory community – faculty and staff not yet served by RAS
  - Goals: provide background, context, and progress updates on TRA initiative
  - Live through RAS unit implementations: [http://tra.emory.edu](http://tra.emory.edu), requires NETID
RAS Website – Rollout

- Site is live: http://ras.emory.edu

- Soft launch through October 2014:
  - Strategic Advisory Board
  - ERAZ
  - ORA Newsletter
  - Blackboard
  - RAS directors & staff

- Feedback or technical issues contact: ras.centraloperations@emory.edu
RAS Implementations Update

• RAS Basic Science
  – Director: Debbie Duke
  – Launch: December 10th
  – Location: Health Sciences Library

• RAS Yerkes
  – Formed working group
  – Initial conversations with leadership

• Federal Contracts
  – Identified operating structure

• RAS Surgery & Psych-Neuro
  – Target launch: April 2015
RAS Units Update

• Monthly Reporting
  – Management Reports
  – Deficit Tracker
  – Effort: pre-review and certifications

• PI Satisfaction Surveys
  – Pre award (monthly)
  – Post award (bi-annual)

• KPI Dashboard
  – Operational effectiveness
  – Process Governance
  – Customer Satisfaction
  – Financial (volume)
INTRODUCTION TO GLOBAL SERVICES

Chris Rapalje – Program Director
Office of International Affairs
Agenda – Introduction to Global Services

- Background
- Mission
- Global Solutions Team
- Issue Tracking System
- Global Program Support Website
- Working with Business Units
- Next Steps
Background

- The Office of International Affairs (OIA) asked Business Practice Improvement (BPI) to examine ways that Emory could better support faculty and staff involved in global work.

- BPI, in turn, researched and analyzed:
  - Emory’s strengths and opportunities for improvement in this area
  - How other universities support global work

- Based on this, BPI recommended:
  - Establishing a Global Services function within OIA
  - Forming a Global Solutions Team
  - Creating a logging and tracking process for global issues
  - Using the Global Program Support website to provide information on international work
  - Working with relevant business units to address processes that can create challenges for global activity
The mission of Global Services is to provide education, guidance, assistance, and networking to support the outbound and inbound international work of Emory’s faculty and staff in an engaged, responsive manner, driven by an attitude of customer service and an adherence to Emory policies.
Global Solutions Team (GST)

The **Core GST** includes representatives from:
- Office of General Counsel (OGC)
- Office of Quality and Risk (OQR)
- Human Resources (HR)
- University Travel
- Cash and Debt Management
- Finance – Tax
- Finance – Payment Services
- Office of Sponsored Programs (OSP) – Grants
- Office of Grants and Contracts Administration (OGCA)
- Office of Research Compliance (ORC)

The **Supplemental GST** includes representatives from:
- Payroll
- Institutional Review Board (IRB)
- Office of Sponsored Programs (OSP) - Contracts
- Real Estate Services
- Environmental Health and Safety Office
- Information Technology (IT)
- International Student and Scholar Services (ISSS)
- Internal Audit/Administrative Compliance (IA/AC)
- Faculty, as applicable
- Department Administrators, as applicable

Global Services maintains regular contact with GST members to drive issue resolution. GS and GST meet monthly to facilitate a collaborative approach to issue resolution and a broader awareness of Emory’s international activity.
Issue Tracking System

• Developed in REDCap by OIA (Thanks to Kevin Kelly!)

• Accomplishes multiple objectives:
  – Tracks issues and questions received, preventing them from falling through the cracks
  – Creates a record of these issues and questions, supporting improved institutional memory
  – Provides data on geographic areas of activity, helping develop a more complete picture of Emory’s global presence
  – Includes a built-in mechanism for customer feedback
Global Program Support Website

• Launched through a collaborative effort between OIA and the Emory Global Health Institute (EGHI)
• Provides guidance and answers for many of the questions that global work can involve
• Is a way for GS to communicate new information (such as the recently-issued *Guidelines for Travel to Countries Affected by Ebola Virus Disease*)
• [global.emory.edu/support/](http://global.emory.edu/support/)
Working with Business Units

• We have begun addressing a number of challenges in our existing processes.

• To date, these have focused primarily on processes around paying and reimbursing foreign nationals.

• Other areas of focus include, for example, enhanced international travel assistance, better guest lodging options at Emory, and easier access to funds while traveling.
Next Steps

• Contact Global Services with any questions or issues you have related to global work.
  – christine.rapalje@emory.edu
  – 404.727.9127

• Help spread the word to your colleagues, encouraging them to contact Global Services if they need assistance with international work.

• Consult the Global Program Support site.

• Provide feedback on the GS effort and any ideas you may have on how we can make the processes around global activity more efficient, systematic, and supportive.
ANY QUESTIONS