OSR Updates
UNC Symposium for Research Administration
August 3, 2017
OSR Updates Presenters

- Andy Johns
  Sr. Associate Vice Chancellor for Research
- Jennifer Teixeira
  Director of Research Administration
- Brian Bertlshofer
  Director, Cost Analysis and Compliance
- Lou Harrell
  Director, Sponsored Projects Accounting
Introduction

• Transformation Update
• Executive Director, OSR
• Major Initiatives
• Roles/Responsibilities

Andy Johns
Sr. Associate Vice Chancellor for Research
Research Administration

Agenda

• What’s New in Research Administration
  – Recent Updates

• Coming Soon!
  – Updates scheduled for release in the next couple months

• Future Initiatives

Jennifer Teixiera, CRA
OSR Director of Research Administration
What’s New in Research Administration

• Changes in RAMSeS
  – Revised Proposal Routing Structure
  – New “Award Received” Status

• New Budgeting Tools
  – Facility Use Fee Budget Model
  – Budget Pool vs Detailed Budget

• Organizational Updates
  – New Assistant Directors
  – Office of Industry Contracting
  – Research Administration Transformation
RAMSeS Changes

• Revised Proposal Routing Structure
  – Allows a proposal to route to OSR & SPO immediately after approval by the administrative award department.
  – If the affiliated department does not actively approve or reject the proposal within the required timeframe it no longer holds up review or submission of the proposal to sponsor by OSR.

• New “Award Received” Status
  – OSR communications on receipt of awards are being sent as an automated email from RAMSeS indicating that an award document has been received and that award execution and set-up is underway.
  – When the automated email is sent, a new status of “Award Received” will be visible in the Ramses Status History.
New Budgeting Tools

• Facility Use Fee Budget Model
  – The model repackages our F&A costs in a more recognizable context and identifies components of our F&A rate in terms that are more familiar to our For-Profit partners.
  – Budgeting templates with instructions are available on the OSR website: http://research.unc.edu/sponsored-research/forms/#facilityusefee

• Budget Pool vs. Detailed Budgets
  – The budget pool account code can be used when the sponsor does not require a detailed budget.
  – The decision to use the budget pool code does not circumvent department or college requirements but does place the burden on the department to appropriately allocate proposed expenses.
Organizational Updates

• New Assistant Directors
  – Effective July 10, 2017
    Stacy Barca, Assistant Director of Research Administration
  – Effective August 1, 2017
    Liz Thornberry Moore, Assistant Director of Contracting

• Office of Industry Contracting
  – Hiring of the Assistant Director of Contracting marks new organizational structure which merges OIC into OSR to streamline and strengthen the contract negotiation process for the RA unit.

• Research Administration Transformation
  – Ramped up internal training of all Sponsored Projects Specialist (SPS) to process proposal and award transactions
Changes to lookout for....

• Process Improvement
  – Budget Revisions
• Campus Outreach
  – Swing Office Space
Process Improvement

• Budget Revisions
  – Eliminate submission of requests through InfoPorte and replace with submission of requests through OSR’s ResAdminOSR@unc.edu inbox.
  – Be on the lookout for communication soon that will include budget revision template and instructions on new process.
Outreach to Campus

• **Swing Office Space**
  – Once a month each Team’s Research Administration Manager (RAM) along with a Sponsored Projects Specialist (SPS) and Sub-award Specialist (SAS) will be holding open office hours at different locations on campus, at the School of Medicine, and the Europa Center to answer questions for the departments they serve.
  – Each team can address questions specific to their departments or general inquires and process questions about Research Administration.
  – The goal is to improve customer service, increase outreach, and expand accessibility to campus community.
  – Be on the look out for a communication to campus announcing locations and times for your team.
Future Initiatives

• System Enhancements
  – Single System for Proposals and Agreements
  – Transparency
Future System Enhancements

• Single System for Proposals and Agreements
  – Single entry point for both proposals and agreements (ALICE merger with RAMSeS System)

• Transparency
  – Award Set-up Transparency with internal status updates that create visibility to Campus from receipt of award through negotiation and ending with award set-up
Cost Analysis and Compliance

Agenda

• Effort Reporting and Certification
• Audit and Subrecipient Monitoring
• OSR Pre-Audit
• OSR Post-Audit
• External Audit Support
• Cash Advances

Brian Bertlshofer
OSR Director of Cost Analysis and Compliance
Effort Reporting Policy

Updates

At the discretion of the department, an appropriate proxy may now be assigned for undergraduate students, regardless of employment status in ConnectCarolina.

– We are planning to send a list of undergraduate students with effort statements to each department within the next couple weeks.
– The list may not be comprehensive. If you identify other undergraduate students in your department that you would like to assign a proxy, please send the student’s name/PID along with the proxy name/PID to ecrt_help@unc.edu.
Effort Reporting

Certification Timeline

Monday, August 14, 2017  Pre-Review Begins

Friday, September 1, 2017  Certification Period Begins

Sunday, October 1, 2017  Escalation Period Begins

Monday, October 30, 2017  Certification Period Ends

Wednesday, November 29, 2017  All Effort Certification True-Ups Due in OSR’s Worklist
Effort Reporting

ecrt Training and Questions

We will be offering training for new effort coordinators or those wishing to brush up on ecrt and the effort certification process. More information will be forthcoming on the date/time and location of these sessions.

Questions?

ecrt_help@unc.edu
Audit/Subrecipient Monitoring Team

Functions

Ben Wright – Manager
bwright1@email.unc.edu

Areas of Focus:
– Pre-Audit
– Post-Audit
– Subrecipient Monitoring
– External Audit Support
OSR Pre-Audit Review

*Functions*

Review transactions before posting for allowability (allocable, reasonable, consistently treated) and following policies and procedures:

- Non-Payroll Cost Transfers (Proper Justification and Documentation)
- Subrecipient (Subcontractor) Invoices
- Requisitions
- Cash Advances
OSR Post-Audit Review

Functions

Review transactions *after* posting/payment for allowability and following policies and procedures:

- P-Card Transactions
- High Risk Transactions, such as:
  - Equipment Purchases
  - Supplies – Office
  - Meetings and Amenities
  - Membership Dues/Fees
  - Travel
Subrecipient Monitoring

*Functions*

Oversight of Subrecipients includes:

- Pre-Audit review of subrecipient invoices
- Review of Subrecipient’s Annual Audit/Single Audit Reports – Determine risk to UNC-CH
- Sample audit of subrecipient invoices – Request documentation from subrecipient supporting invoiced amounts
External Audit Support

- Annual Single Audit/Federal Compliance Review
- Audit requests from sponsors
- Other sponsor requests when needed...
Cash Advances on Sponsored Projects

Overview

• Method to utilize unrestricted funds for items such as travel, gift cards, and subject payments.
• Funds advanced to individual or institution then reconciled once spent.
• Unspent funds are returned to UNC-CH and the advance is reconciled as a normal expense.
• Cannot reconcile to sponsored project without documentation.
Cash Advances on Sponsored Projects

Reminders

• Reconciliations must be completed within 60 days of the receipt of the cash advance check.
• For each Project ID there can be no more than two outstanding advances at one time.
• Original receipts are required to reconcile expenses to a sponsored project.
• Please give OSR ample time to receive documentation prior to month-end deadlines.
Sponsored Projects Accounting

Agenda

• Organizational Updates
• Post Award Financial Management
• Closeout

Lou Harrell
OSR Director of Sponsored Projects Accounting
Organizational Updates

*Sponsored Projects Accounting*

- **Assistant Directors**
  - Jen Gwaltney: Assistant Director, Financial Reporting and Cash Management
  - Jim Kelly: Assistant Director, Sponsored Projects Accounting
  - Patrick Amihere: Assistant Director, Financial Quality Control and Business Analytics

- **SPA Managers** (teams divided by sponsors)
  - DHHS (NIH, HRSA, CDC)
  - Other Federal
  - Non Federal Billing
  - State of NC and non-federal Reporting
Post Award Financial Management

Active Award Management (*Depts and OSR*)

Billing Sponsors (*OSR*)

Final Reporting / Invoice (*OSR*)

Closeout (*Depts and OSR*)
Closeout Process

Prior to the Project End Date

- 90 Days
  - RAMSeS Automatic Notification
  - RAMSeS Automatic Notification
  - RAMSeS Automatic Notification

Departmental Tasks
1. Receives Notifications
2. Reviews spending on project
3. Requests No Cost Extension, if needed

After the Project End Date

- 0-60 Days
  - Tasks
  - Department
    - Review Expenses
    - Removes Overruns
    - Prepares Technical Report
  - OSR
    - Reviews Expenses
    - Removes Overruns if Department has not
    - Submit Final Financial Report / Final Invoice

- 61-90 Days
  - Tasks
  - Department
    - Review Expenses
    - Removes Overruns
  - OSR
    - Reviews Expenses
    - Removes Overruns if Department has not
    - Submit Final Financial Report / Final Invoice

End Date of the Project
# Financial Reporting to Sponsors

## Required Reports at Closeout

<table>
<thead>
<tr>
<th>Report</th>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>Final Technical Scientific Report</td>
<td>Principal Investigator</td>
</tr>
<tr>
<td>Invention Statement</td>
<td>PI, OSR, OCED</td>
</tr>
<tr>
<td>Final Financial Report</td>
<td>OSR</td>
</tr>
</tbody>
</table>

## Optional Reports at Closeout

<table>
<thead>
<tr>
<th>Report</th>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment or Property Reporting</td>
<td>Department and OSR</td>
</tr>
<tr>
<td>List of Publications</td>
<td>PI</td>
</tr>
</tbody>
</table>
Sample Reminder of Closeout at 45d

Date: 10/7/2016  PS Project ID: 5103315  End Date: 11/20/2016  Sponsor: University of Wisconsin at Madison
Project Title: Mechanisms of cell migration on aligned matrices  PI: Klaus Hahn
Dept: Pharmacology  PS Project ID Manager: Edward Gill Jr, Patty Holloway, Tangi Covington, Andrew Hou
CC Closeout Submitters: Patty Holloway, Tangi Covington  CC Closeout Approvers: Edward Gill Jr, Patty Holloway

This Closeout reminder notification has been automatically generated as a result of a routine review of RAMSeS PS Project ID records. The above-referenced PS Project ID has 45 days remaining before its current end date of 11/20/2016.

As mentioned in the initial closeout notification sent 45 days ago, OSR has requested that you review your project carefully during the next 45 days. A checklist to help facilitate the project closeout process is appended below. All expenditures must be valid, supportable charges to the project and will need to be processed, and outstanding obligations cleared, by the end date. Please ensure that you do not overspend or incur expenses past the end of the project. Necessary corrections should be made as soon as possible. Cost transfers received at OSR more than 60 days after the Project End Date will only be considered in rare instances due to financial reporting requirements.

IMPORTANT: As a reminder, it is the responsibility of the prime PS Project ID department to ensure timely closeout of all associated sub-PS Project IDs, including those where the administering department is different from the prime’s. Also, it is imperative that subrecipients are actively engaged by you and/or your team during the closeout timeline to ensure invoices are submitted and processed in a timely manner.

Also as a reminder, one Closeout submission record has been generated in RAMSeS and may be accessed by Closeout Submitters in the Prime department via the "Closeout Submissions" inbox on the RAMSeS Award dashboard. Submission of this Closeout record is required no later than 60 days from the end date, and certifies that all expenditures have been posted to ConnectCarolina for the prime PS Project ID, and all subs. The Closeout submission record must be submitted even if your PS Project ID won’t be closing out at this time. (If no closeout is needed, follow instructions on the Closeout submission record indicating the reason.) NOTE: Submissions are no longer required for each individual PS Project ID/Sub.
Dept Tasks Prior to Project End Date

- **No Cost Extension**: If needed, PI should request an NCE at least 30 days prior to end date, or earlier if required by the sponsor.

- **Budget Revision**: 90-30 days before end date, department reviews expenses and see if a budget revision is needed.

- **Cash Advances**: All cash advances should be reconciled by the department within 60 days of advance.

- **Cost Share**: Department confirms Cost Share is met and recorded.

- **Review Expenses**: Department reviews final expenses to determine allowability and removes any unallowable expenses or expenses over award limit.
Closeout Actions in RAMSeS

Closeout submission records are automatically generated by RAMSeS, and may be accessed by [departmental Closeout Submitters only] via the RAMSeS Award dashboard, Closeout Submissions inbox. If you have been designated as a Closeout Submitter for your department, and believe a Closeout is due on a PS Project ID for which no Closeout record is listed, please click the link below for additional information.

If you are unable to locate a Closeout Submission record using the 'Search By' feature below, click here for information.

Filter By: Unsubmitted OR Search By: 

Below is a list of unsubmitted Closeout Submission records for departments for which you are designated as a Closeout Submitter in [Backbone].
See [Backbone] for a complete listing of roles in your department.

<table>
<thead>
<tr>
<th>Closeout No.</th>
<th>PS Project ID</th>
<th>Status</th>
<th>Submitter</th>
<th>Closeout Type</th>
<th>Certified Date</th>
<th>Submission Date</th>
<th>PI</th>
<th>Department</th>
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<td>Extension Expected</td>
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<td>00/00/0000</td>
<td>Linda Adair</td>
<td>Carolina Population Center</td>
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<td>Carolina Population Center</td>
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<td>00/00/0000</td>
<td>Penny Gordon-Larsen</td>
<td>Carolina Population Center</td>
</tr>
</tbody>
</table>
Closeout Checklist via RAMSeS

1. **Have you determined what your future expenditures will be?**
   - Do you have enough remaining funds to meet these expenditures?
   - Do you have personnel being paid from this project that need to be reallocated to other efforts?
   - Have you considered the related charges of employee benefits and F&A costs?
   - Have you considered recent charges not yet recorded on the ConnectCarolina reports?
   - If your project is in its terminal year, do you require a no-cost extension? Do you need a Project Financial Guarantee set up for your new award? If your award is from DHHS, will there be a positive balance which is available for carryover? If so and the amount is over 25 percent of your current award, please mention the estimated balance in your continuation/renewal application form. If your award does not authorize carryover, please contact OSR at resadminosr@unc.edu for instructions on applying for agency approval of carryover.

2. **Have you reviewed all previous ConnectCarolina reports for errors?**
   - Are the charges valid and supportable?
   - Are any charges missing which should be reflected in the project?
   - Any correction should be initiated as soon as possible. Due to financial reporting requirements, cost transfers received at OSR 60 days after the Project End Date will only be considered in rare instances.

3. **Have you overspent or anticipate that you may overspend a restricted budget?**
Tasks in ConnectCarolina for Closeout

• Closeout Checklist must be submitted within 60 days after the end of the project.
• The Department must follow-up on expenses that should be reported or invoiced (i.e. outstanding sub award invoice).
• The Department must follow-up on expenses that should be reported or invoiced (i.e. outstanding sub award invoice).
• If during day 61-90 after award end, the department fails to remove unallowable expenses or expenses over award limit, OSR will remove them and so inform the department.
Closeout Actions in RAMSeS
OSR Responsibilities for Closeout

Days 61-90 (or 120*) after award end date

• Collaborate with Department
• Prepare and Submit Final Financial Report
• Prepare Final Invoices
• Submit Final Invention Statement
• Assure all Payments received from Sponsor
• Close projects in ConnectCarolina

*NIH policy guidelines permit 120 days to complete closeout