

Closeout Project: Final Stretch to Clean Close

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Agenda

- Where We've Been
- What's New
- Where We're Going
- Automation



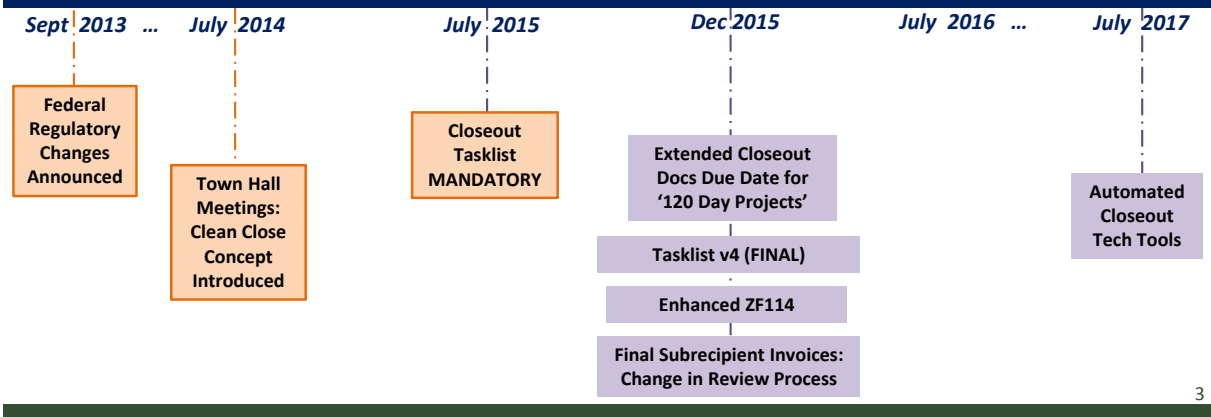
Closeout Project: Where We've Been

- Barriers Addressed:**
- ✓ RSSA, formerly OSA
 - ✓ Parent/Child Project Management
 - ✓ Internal Billing
 - ✓ Late Final Peer Invoices
 - ✓ Tuition Remission
 - ✓ Payroll Access including Cross Org Unit Management

Barrier Resolution and Tech Tools Rollout

- Short-Term Tools Go Live:**
- ✓ Projects Approaching End Date Report
 - ✓ Project Obligations Report
 - ✓ Payroll Access Tools and Reports
 - ✓ Workflow Status Reports by Cost Object
 - ✓ No Cost Extension Request Form (*projected early 2016*)
 - ✓ PO Closer (*projected early 2016*)

**Clean Close:
Policy &
Phase I Tech**



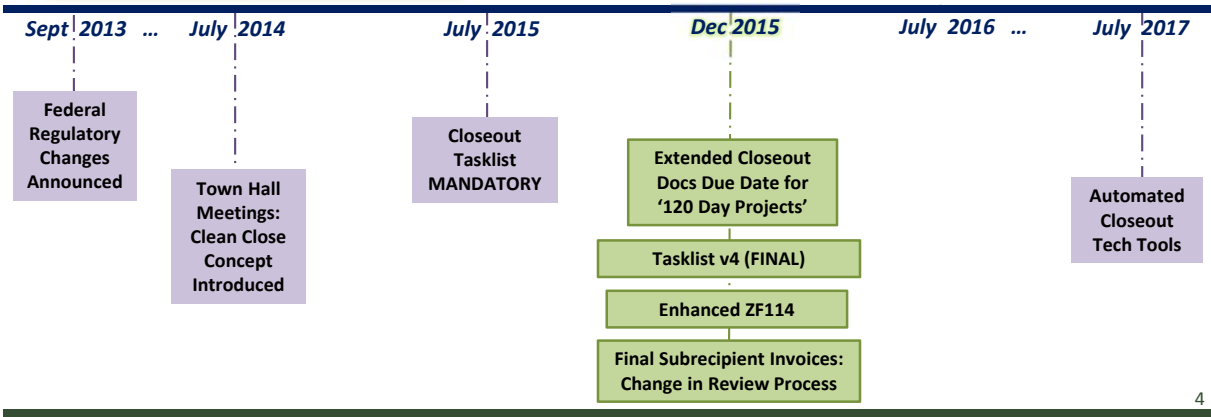
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What's New: Tasklist/PI Attestation v4

- Design corresponds to Automated Closeout Tools version to be delivered 2017
- Updated guidance docs will be available
 - Quick Reference
 - FAQs
 - Step by Step
- Tasklist – minor changes
 - Additional categories and guidance for Human Subjects/IRB section
 - New section for programmatic reporting
 - Minor language clarifications to specific questions based on user feedback
 - Estimated unobligated balance
 - Removal of request box for review of final report or invoice prior to submission



What's New: Tasklist/PI Attestation v4

- PI Attestation - additions
 - “Required programmatic reports/deliverables, including patent reports, will be submitted by the sponsor due date.”
 - “For cost reimbursable projects, the final unobligated balance, estimated below, will be relinquished to the sponsor.”
 - GM to provide estimate of Project Unobligated Balance (including all subcodes)



What's New: 120-Day Deadlines

- Some key federal agencies have recently extended their final reporting due dates from 90 to 120 days
- Duke and other research institutions advocated for this extension – primarily to accommodate complex and international projects
- While this extra time will be beneficial for the institution, the work we have done on removing barriers to closeout should make the extension unnecessary for standard projects



What's New: 120-Day Deadlines

- For federal projects with 120-day sponsor due date, internal deadlines will be extended to 70 days
 - Primarily affects NIH, NSF, and DOD grants
 - – No change to subawards – still 60-day final invoice deadline, with 45-day internal deadline
- **'Closeout Docs Due Date' will be updated to reflect new internal deadlines**
- Institutional decision to submit final invoices/reports when ready, not holding for extended sponsor due date



What's New: Enhanced ZF114

- Communication tool to OSP on what transactions after project end date are allowable and allocable to support submission of a compliant final financial report/invoice
- Enhanced ZF114 simplifies the communication: everything listed on the report has been reviewed by the GM and is either allowable or corrected before submission
- For those already achieving Clean Close (ledger is accurate at time of Closeout docs submission) = LESS WORK



What's New: Enhanced ZF114

- By submission of the report, GM is communicating that everything listed on the report has either already been corrected or is allowable on the project and should be included in the final report to sponsor
- Transactions that appear on the ledger and are not addressed on the ZF114 are assumed to be unallowable.
 - For projects ≥ 90 days sponsor due date, 5-day resolution window for confirmation with department
 - For project < 90 days sponsor due date (e.g. subawards), no resolution window due to compressed processing window



What's New: Enhanced ZF114

- No more “allowable” and “unallowable” columns
- All unallowable transactions are corrected on the ledger prior to submitting ZF114 and Tasklist
- Any correcting entries still in workflow can be manually added, must include Doc #
- Exceptional anticipated expenses can also be manually added (for now)
- Must submit as Excel file



What's New: Enhanced ZF114

- Visit the poster and live demo during the breaks today for details on how to run and complete the new report
- Additional resources are available
 - Video
 - Quick Reference Guide
 - Step-by-Step



What's New: Change in Final Subrecipient Invoice Processing

- OSP will adjust final subrecipient invoice review process to submit check request for grant manager approval without requiring PI Attestation
- Grant managers will adhere to local business process decision regarding how to validate PI approval
- Additional information will be provided in November to business manager and grant manager community



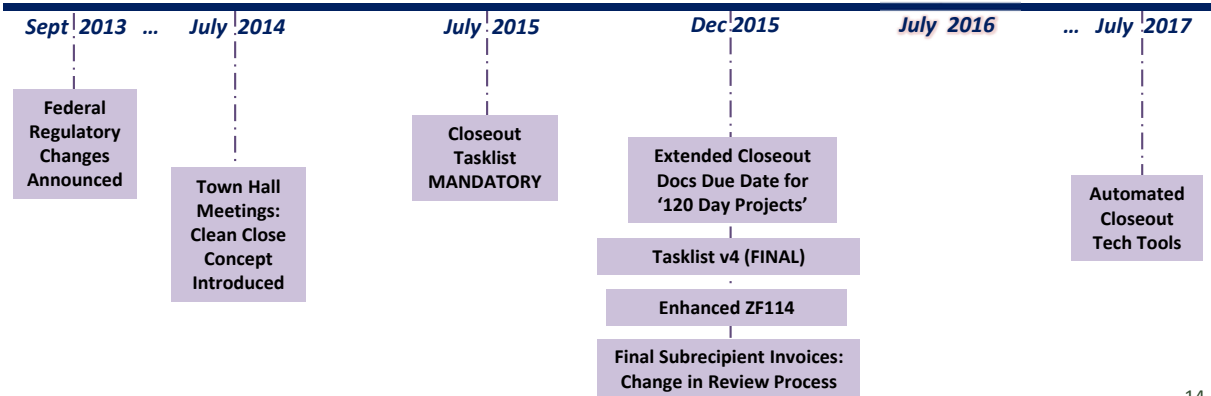
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Closeout Project: Where We're Going

- Tell me again why we're making all these changes?!?
- **Clean Close – timely and effective closeout**
 - All allowable activity is posted to the ledger and Tasklist, PI Attestation, and ZF114 are submitted to closeoutdocs@duke.edu by the Closeout Docs Due Date
- How close are we?



Moving to Clean Close

- Implementation Teams have begun tracking the two key elements in Clean Close
- Does ZF114 Report Any Anticipated Expenses Not Yet On the Ledger?
 - Most ZF114 come in without anticipated expenses
 - Small % of those do still ultimately incur late expenses
- Are Submissions On Time?
 - Nearly 40% of submissions are late
 - An area for attention



Moving to Clean Close

- Duke's Clean Close Policy: **July 2016**
- How we get from here to there
 - Proactive award management
 - Communication
 - Continued support from Implementation Teams
 - Reach out now if your area has particular questions or challenges
 - Many tools to address identified barriers are now in place – use them!



Clean Close Policy Effective July 2016

- Management Center approval needed for allowing any transaction posting after Closeout Docs are submitted
 - Anticipated expenses and items in workflow no longer accepted on the ZF114
- Formalized process for requesting and approving revised final reports
- New GAPS and Best Practices to come



Phase I Tech Tools Available July 2016

- Transfer Off/On
 - Once Tasklist is submitted for a WBSE, most transactions will be automatically transferred off on a nightly basis to the WBSE backstop code
 - GMs will receive an automated email to notify when this happens
 - JV workflow through Management Centers will be required to transfer any allowable expense back on the WBSE



Phase I Tech Tools Available July 2016

- New iForms workflow
 - All iForms that involve a change to a WBSE more than 30 days after project end date will be routed to the WBSE's GM1/2 in addition to standard iForm workflow
 - Opportunity to catch late, erroneous payroll actions *before* they hit the ledger



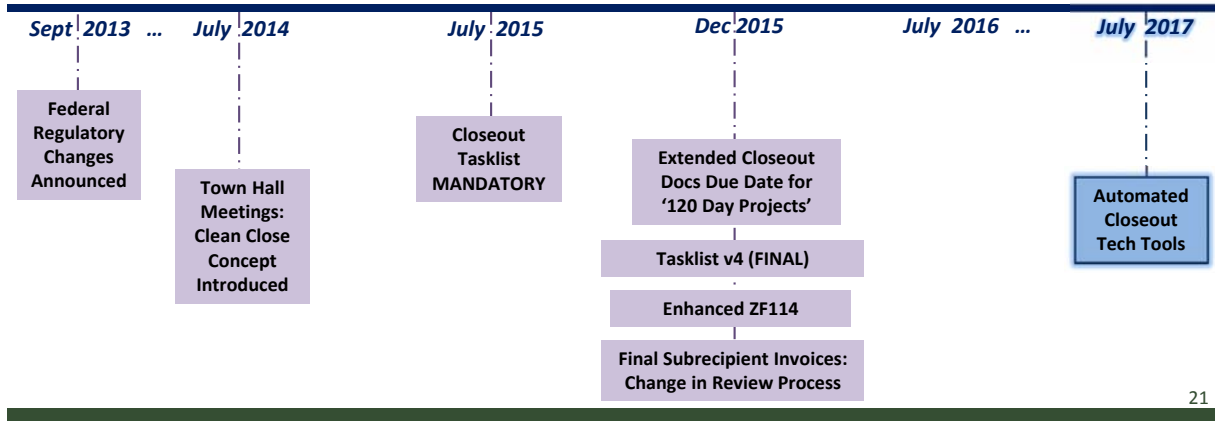
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Automation of Closeout

- Automated Closeout Tech Tools anticipated July 2017
 - Automated Closeout Docs in Duke@Work
 - New CONS tracking system and reporting
 - Tool for revisions to closeout documents
 - Duke@Work Reports

Next Up: Tech Talk

2015
Symposium for
Research Administrators

