Reaching New Heights
in Research Administration

It's the Final Countdown: Project Closeout in OSP

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DUKE UNIVERSITY
2016 Symposium for Research Administrators

It's the Final Countdown: Session Objectives

- Understand OSP's role in the closeout process
- Understand interactions with partnering offices
- Understand how OSP manages their workload toward successful closeout
- Know where to look and how information in SAP Master Data can inform you about project closeout
- Understand and interact with key communication points in the process
- Identify opportunities for enhanced efficiencies in the process

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OSP's Roles in Closeout

OSP is at 'home base' as the final set of eyes on financial information to our sponsors. Therefore, we act to ensure:

- Accurate information, in the format required by the sponsor is provided,
- Financial invoices/reports are provided in a timely fashion,
- Cash has been received/posted or is recognized as an AR item,
- Compliance with Duke and Sponsor specific terms and conditions are met,
- WBSE closeout occurs as quickly as is possible,
- The institutional certifications on financial forms and reports represent consistent costing practices.

OSP's Partners in Closeout

- Department Grant Managers/Administrators and PIs
- Implementation Teams (I-Teams)
- Treasury Billing Services (TBS)
  - Distribution/Submission
  - Accounts Receivable
  - CLSD status for 29X and 39X WBSEs
- Research Costing and Compliance (RCC)
- Accounts Payable (AP)
- Pre-Award Offices (ORA and ORS)
- Sponsors

OSP's Workload Management

- Not always first in – first out
  - Can't move forward without <u>all</u> closeout documents
  - Early receipt of closeout documents
- Prioritization happens daily
- Financial Impact and Risk
  - OSP Management Tool
  - Knowledge of Sponsor Requirements and Relationships
- Sponsor Due Dates

SAP/Master Data-How it Can Inform You about Closeout

Key Master Data Fields (CJ08)

- Liaison – Main Point of Contact for Award Management questions/challenges
  - Billing Section (A, B, C, D and G)
- CC Backstop/WBS Backstop
- Federal Prime Grant #/Sponsor Name

Sponsored Programs Customer Fields			
Project Definition	2035698	Parent	2035698
Project Period Dates	Begin: 08/15/2016 End: 07/31/2019	Issue Date	08/05/2016
Dept. Administrator	456945 REBECCA L HAUSMANN	SPS Number	224078 PreAward Office ORA
Grant Manager 1	381724 RACHEL V KOZINK	Contract ID	
Person Responsible (PI) #2		CC Backstop 4016512 WBS Backstop	
Dept. Project Name			
OSP Liaison	276487 LEIGH ANNE STEVENSON-PE... PO Number		
Required Reporting Fields			
Fund Code - Long Text	INNOVATIVE SMARTPHONE APPLICATION FOR QUITTING SMOKING AMONG SERIOUSLY MENTALLY ILL		
Subrecipient Number			
CFDA Number	93.279	DUNS#	
Federal Prime Grant Number	4R00DA037276-03	Fed Prime Sponsor Name	DHHS, PHS, NIH, NIDA
Letter of Credit Attribute	YP LOC Key RDA037276B		Prev. Pooled
BFR Code	6860203075	Rebudget Class	I
Billing Section	D	Expedited	N

SAP/Master Data-How it Can Inform You about Closeout

Key Master Data Fields (CJ08)

- Contractual Agreement
- Carryfwd Allow
- Funding Basis
- Rebudget Class

Required Reporting Fields			
Fund Code - Long Text	INNOVATIVE SMARTPHONE APPLICATION FOR QUITTING SMOKING AMONG SERIOUSLY MENTALLY ILL		
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BFR Code	6860203075	Rebudget Class	I
Billing Section	D	Expedited	N

Award Details

Plan [Y] Total Award 248,952.00   Funding Basis CRE Capit/Deliv Max Amt [ ]
Carryfwd Allow [Y] Contract [N] SBSP [N] ProgInc [N] Inv Req [ ] ARRA NO   Foreign Currency [ ]
AR Email 1 [ ]
AR Email 2 [ ]   AR Email 3 [ ]

F & A Calculation Fields

Calc F & A [Y]   Approp Code M-0001-1-G   Dist Code 2   Multiple IDC [ ]
Theoretical F & A Cost Percentage 59.000   Allowable F & A % 59.000
Theoretical Cost Element Group SPIDC02   Allowable CE Group SPIDC02
Departmental Discretionary Fund 1 [ ]   Fund 1 Percentage [ ]
Departmental Discretionary Fund 2 [ ]   Fund 2 Percentage [ ]

SAP/Master Data-How it Can Inform You about Closeout

Closeout Notification System (CONS)
- ZG53
  - REC1 – Closeout Documents received by OSP
  - COMP – Final review complete, pending Sponsor Report

Project   3034526   5R01-HL-096978-05 PARENT

Requirements		Status		
Checklist	☑	Completion Status	Complete	
PI Attestation	☑	Parent	Y	
Obligation Worksheet	☐	Subcodes	Y	
		Sponsor Report Submitted	Y 09/30/2016 WEBBH	

Status Summary

Type	Status	Status Date
ZF114	NRQ	07/01/2016
CHECKLIST	COMP	09/30/2016
PIATTEST	COMP	09/30/2016

Close-out Document History

| Type	Status	Status Date	Nar
CHECKLIST	Billing section review complete - document _	09/30/2016	ARNO
CHECKLIST	General review - document accepted, submi_	08/09/2016	LK
CHECKLIST	Received Document - pending general review	08/09/2016	LK
CHECKLIST	Documentation Required	09/01/2009	THOM

Subcodes

Project	Complete
2030289	Y
2031119	Y
2031268	Y
2030290	Y

SAP/Master Data-How it Can Inform You about Closeout
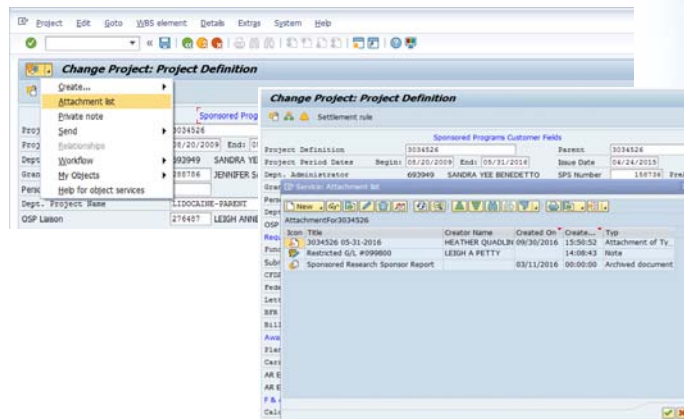
Attachments of Invoices / Reports
- ZFR1E – Drill into revenue to see invoices
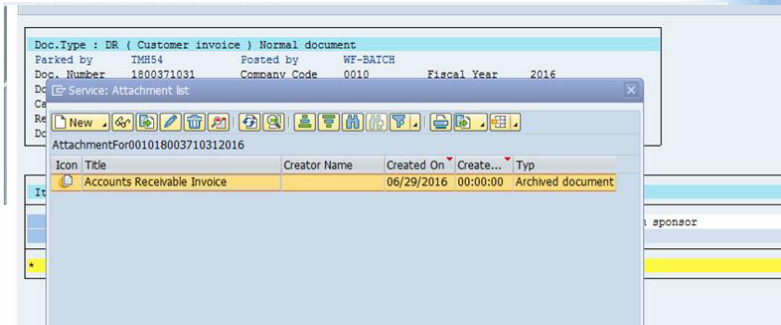
SAP/Master Data-How it Can Inform You about Closeout

Attachments of Invoices / Reports
- CJ08 – Click on 'Services for Objects' for Sponsor Final

Specific Analytical Steps In Closeout

Financial and Compliance Analytics:
- Run ZFR1AN – overall financial health of the code (expense and revenue)
- Review the Tasklist – looking at comments
- Payroll charges after the project end date
- Assessment of Reviewable GLs:
  - Assessment of CAS expenses
  - Assessment of Equipment costs
  - Assessment of Cost Sharing Commitments
- Review status of any Subrecipient final invoices
- Review for open commitments
- Assessment of F&A/indirect expenses
- Assessment of Carryforward, Restrictions, Obligated Expenses and Unliquidated Balances
- Movement of project from REL to CLSD status

OSP's Key Communications During Closeout

At closeout, often time is of the essence…..OSP communications can come from the Billing Section, Liaison Team and/or leadership and be in the form of:

- Email
- Phone Call
- QuickParts

Opportunities for
Efficiency During Closeout

- Payroll after Project End Date
- Subrecipient's Final Invoice
- Cost Sharing
  - Salary (non-NIH cap)
  - Non-salary
- Equipment
  - Plan vs. Expense
  - Proper Use of GLs
  - Equipment Screening Form
- Obligation Worksheets

It's The Final Countdown:
Project Closeout in OSP

Thank You for Coming –
Here's to Reaching New Heights Together!