Reaching New Heights in Research Administration

Tech Talk

Beth Carter
Administrative Systems Management

DUKE UNIVERSITY
2016 Symposium for Research Administrators

Agenda

- Upcoming Technology
- New Technology
- Interim Reports

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Upcoming Technology

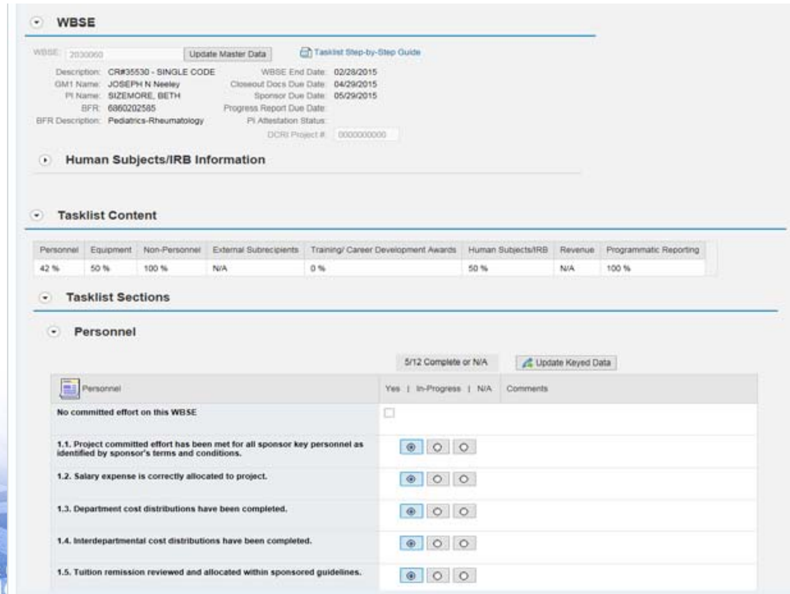
Closeout Technology - Coming Spring/Early Summer 2017
- 3 new Electronic Forms with Workflow
- Imaged Forms with retrieval tools
- New and Improved CONS (ZG51)
- New CONS Emails
- New Operational Reports

Subrecipient Tools
- OSP Database migrated to SAP
- Reports for Departments

Electronic Forms

- Closeout Tasklist
  - Models current Excel Closeout Tasklist
  - Edits in place to minimize issues
  - Workflow – Integrated with CONS
  - Imaged at form completion
  - For Industry projects, will facilitate closing the WBSE

- Closeout Tasklist



WBSE

WBSE: 2030060 | Update Master Data | Tasklist Step-by-Step Guide

Description:	CR#35530 - SINGLE CODE	WBSE End Date:	02/28/2015
GM1 Name:	JOSEPH N Neeley	Closeout Docs Due Date:	04/29/2015
PI Name:	SIZEMORE, BETH	Sponsor Due Date:	05/29/2015
BFR:	6860202585	Progress Report Due Date:	
BFR Description:	Pediatrics-Rheumatology	PI Attestation Status:	
		DCRI Project #:	0000000000

Human Subjects/IRB Information

Tasklist Content

Personnel	Equipment	Non-Personnel	External Subrecipients	Training/ Career Development Awards	Human Subjects/IRB	Revenue	Programmatic Reporting
42 %	50 %	100 %	N/A	0 %	50 %	N/A	100 %

Tasklist Sections

Personnel

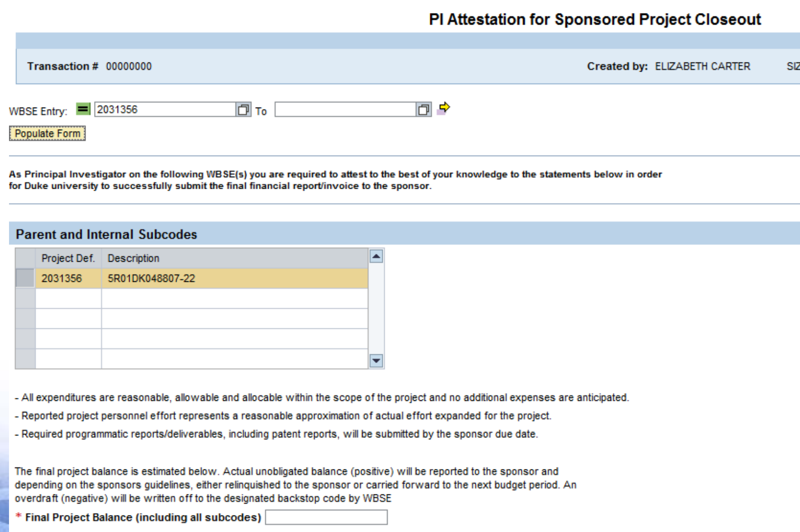
5/12 Complete or N/A | Update Keyed Data

Personnel	Yes | In-Progress | N/A	Comments
No committed effort on this WBSE		
1.1. Project committed effort has been met for all sponsor key personnel as identified by sponsor's terms and conditions.		
1.2. Salary expense is correctly allocated to project.		
1.3. Department cost distributions have been completed.		
1.4. Interdepartmental cost distributions have been completed.		
1.5. Tuition remission reviewed and allocated within sponsored guidelines.		

Electronic Forms (continued)

- PI Attestation
  - Modeled after current Excel version
  - Supports single or multiple WBSEs
  - Simple Workflow – PI only approver
  - Workflow integrated with CONS
  - Imaged at form completion

- PI Attestation



PI Attestation for Sponsored Project Closeout

Transaction # 00000000 **Created by:** ELIZABETH CARTER SIZI

WBSE Entry: 2031356 To

Populate Form

As Principal Investigator on the following WBSE(s) you are required to attest to the best of your knowledge to the statements below in order for Duke university to successfully submit the final financial report/invoice to the sponsor.

Parent and Internal Subcodes

Project Def.	Description
2031356	5R01DK048807-22

- All expenditures are reasonable, allowable and allocable within the scope of the project and no additional expenses are anticipated.
- Reported project personnel effort represents a reasonable approximation of actual effort expanded for the project.
- Required programmatic reports/deliverables, including patent reports, will be submitted by the sponsor due date.

The final project balance is estimated below. Actual unobligated balance (positive) will be reported to the sponsor and depending on the sponsors guidelines, either relinquished to the sponsor or carried forward to the next budget period. An overdraft (negative) will be written off to the designated backstop code by WBSE

* **Final Project Balance (including all subcodes)**

Electronic Forms (continued)

- Obligation Worksheet
  - Documents remaining obligations on Training Grants
  - Workflow Integrated with CONS
  - Imaged at form completion
  - Calculates F&A Impact of Obligations
  - Edits to maximize accuracy

- Obligation Worksheet

OBLIGATIONS FOR TRAINING GRANTS

Transaction # 00000000 Created by: 00:00:00

Only trainees appointed in this budget period can be included. Only include expenses that will be paid in the next budget period.

WBSE [Update Master Data] WBSE Description
WBSE for Next Budget period NIH Grant #
Competing Renewal Application is Pending Award Principal Investigator
Budget Period

www.work.duke.edu/project_obligations_report

www.finance.duke.edu/training materials on obligation worksheet

Add Row | Delete Selected

Unique ID	Name	Trainee Type	Appointment From Date	Appointment To Date	Stipend/ Personnel Costs	Tuition	Health Insurance	Travel	Trainee Related Expenses	Total
00000000					0.00	0.00	0.00	0.00	0.00	0.00
00000000					0.00	0.00	0.00	0.00	0.00	0.00
00000000					0.00	0.00	0.00	0.00	0.00	0.00
00000000					0.00	0.00	0.00	0.00	0.00	0.00

Row Descr	Stipend/ Personnel Costs	Tuition	Health Insurance	Travel	Trainee Related Expenses	Total
DIRECT COSTS	0.00	0.00	0.00	0.00	0.00	0.00
THEORETICAL F&A	0.00	0.00	0.00	0.00	0.00	0.00
COST SHARE F&A	0.00	0.00	0.00	0.00	0.00	0.00
ALLOWABLE F&A	0.00	0.00	0.00	0.00	0.00	0.00
TOTAL COSTS	0.00	0.00	0.00	0.00	0.00	0.00

☐ No obligations exist for this WBSE
☐ Trainees with obligations exist that are external to Duke

Calculate

Imaging

- Forms imaged
  - Closeout Tasklist
  - PI Attestation
  - Obligation Worksheet
- Available on Duke@Work Image Retrieval Tool
- Images display approval history

Enhanced CONS

- Managed at the Award Level (Parent)
- Displays closeout status for all subcodes on single screen
- Status updated automatically as forms move through workflow
- Nightly updates of final financial report completion
- Tracking of No Cost Extensions and Pending Subaward Renewals – turns off CONS emails
- New CONS Emails – new schedule and new content

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5 New Reports – Duke@WORK

- CONS Report
  - Displays status of closeout documents
  - Includes status of Final Financial Report submissions
  - Answers
    - Status of closeout documents, identify late documents
    - Information on date of final financial report completion
  - Selection by BFR, Project, GM
- Late Activity
  - Displays financial document postings following submission of closeout tasklist
  - Answers
    - Quantity and Dollar Volume of late financial postings
    - What expense categories have highest issues
  - Selection by BFR, WBSE, GM

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Reporting (cont'd)

- Timeliness of Closeout Documents
  - Displays various date data points to show timeliness of submission of individual closeout documents
  - Answers
    - How well departments are submitting closeout docs in a timely manner
  - Selection by BFR, WBSE, GM
- Timeliness of Final Financial Reports
  - Displays data around the submission of Final Financial Reports submitted to Sponsor by OSP
  - Answers
    - How often are we late submitting financial reports to sponsors
    - For late reports, indicators as to whether closeout doc timeliness and complications of number of subcodes
    - Are there sponsors that get more revisions than others
  - Selection by BFR, Project, GM

Reporting (cont'd)

- Financial Report Revision
  - Displays data on Revisions of Financial Reports submitted by OSP to Sponsors
  - Answers
    - Which sponsors are getting revisions
    - How often we're revising financial reports and for what dollar amounts
  - Selection by BFR, Project, GM

Subrecipient Tools and Reporting

- Tools
  - Provides OSP the ability to manage external subawards and their invoices within SAP
  - Provides departments visibility into subaward/invoice details and final invoice status via reports
- Subaward Report
  - Displays info specific to external subawards including terms & conditions
  - Includes drilldown to view plan details by budget category/cost element group
  - Selection by BFR, WBSE, Parent, GM, or PI
- Invoice Report
  - Displays external subrecipient invoice and AP Check Request details
  - Includes drilldown to view expenses by budget category/cost element group
  - Selection by BFR, WBSE, Parent, GM, or PI

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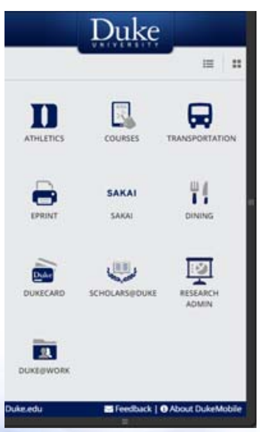
New Technology Released



Mobile Apps – Duke Mobile

Grant Balances for PI and GM

- Current and projected balances for Sponsored Research WBSE
- Employees currently funded by project
- Master Data information

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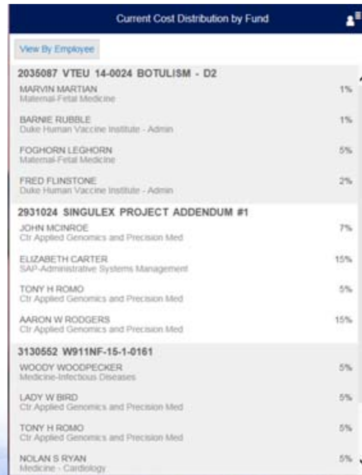
New Technology Released

Sponsored Research Cost Distributions for PI and GM

- Current Cost Distributions for Employees funded on Sponsored Research WBSE



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Short Term Solutions

2 Interim Reports (will be replaced with Closeout Tools Rollout)

- Located on Grants Management Tab on Duke@Work
  - Late Activity Report
  - Timeliness of Closeout Documents

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Questions?

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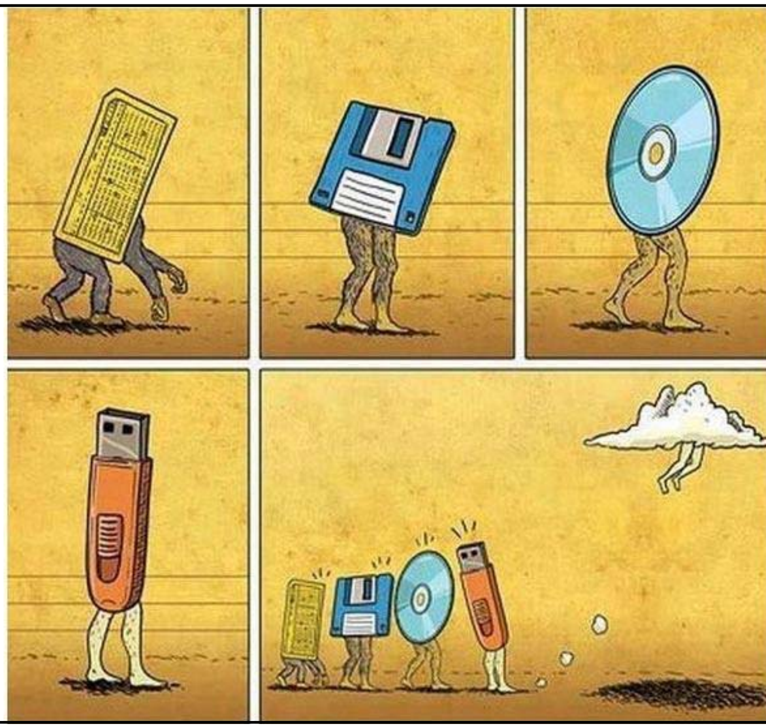


Research Administrator Portal
a campus-wide partnership

Steering Committee | Advisory Group | Working Groups | Development Team

Business | ORI

Senior Level Champions
across campus

what is the
Research Administrator Portal?

a *technology solution*
designed to bring people and information
together in one place at the unit level
to make managing research
less burdensome and *more* effective

…from concept (*idea*)

…to close-out (*archiving*)

IDEA · PROPOSAL SUBMISSION AWARD · CLOSEOUT · ARCHIVING

what is the
Research Administrator Portal?

Unit research administrators can use this tool to…

access project information

collaborate with peers

manage workload

execute various tasks

IDEA · PROPOSAL SUBMISSION AWARD · CLOSEOUT · ARCHIVING

what is the
Research Administrator Portal?

Goals of the project

- Replace Paper-based Systems and Email-based Processes
- Reduce or Eliminate Duplicate Data Entry
- Replace Redundant Shadow Systems
- Increase Transparency
- Improve Reporting & Analytical Capabilities

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

what is the
Research Administrator Portal?

a *single point of entry* workspace that *facilitates*:

consistent processes across various business units and streamlined workflow between and among them

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

what is the
Research Administrator Portal?

a *single point of entry* workspace that *supports*:

management of and visibility into daily tasks; and oversight into team’s workload

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

what is the
Research Administrator Portal?

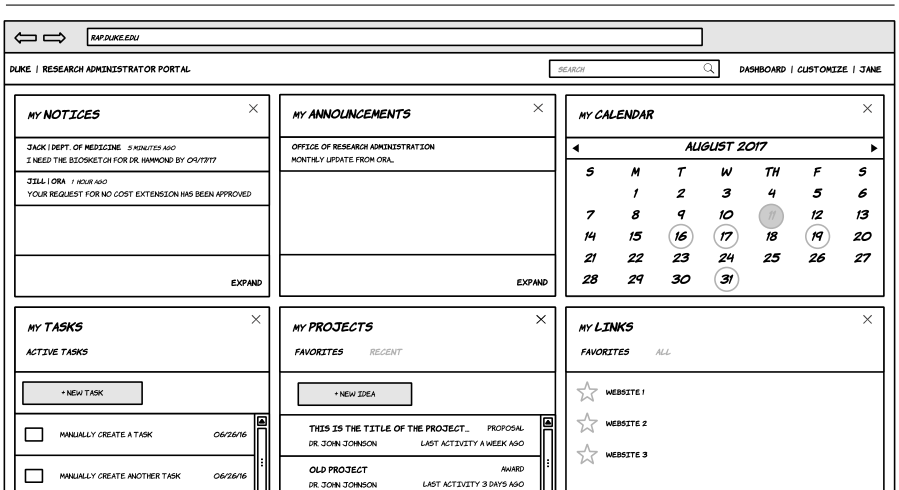
a *single point of entry* workspace that *provides*:

an integrated, aggregate view of information & data that resides in multiple disparate systems across Duke

SAP SABA RCT OESO SES eCRT Buy@Duke COI eIRB SPS CoreResearch@Duke

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

RAP DASHBOARD



CUSTOMIZE YOUR DASHBOARD

MAKE SURE THE INFORMATION AND TOOLS YOU NEED ARE ALWAYS WITHIN REACH

*my*PROJECTS

the place to go to manage projects throughout the project lifecycle, from proposal development through close-out

What might this be able to do?

- View research-related information by project
- Display related SPS records and WBSE in one place
- Manage project-related tasks together with the project
- Assist with proposal development happening before or outside SPS

IDEA — PROPOSAL SUBMISSION AWARD — CLOSEOUT — ARCHIVING

*my*CALENDAR

a monthly, daily, yearly view of all RAP items -
such as tasks, deadlines, events

What might this be able to do?

- View due dates and deadlines for my projects and RAP tasks in a calendar view
- View other general dates and deadlines (like internal payroll deadlines, NIH due dates)

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

*my*NOTICES

the place to go for various system notifications that alert you that
something has happened or requires your action

What might this be able to do?

- Display notifications when important things happen in RAP and other Duke systems (i.e. SPS status updated, RAP task completed, WBSE has been created for your project)
- Display reminders for upcoming due dates and deadlines (i.e. upcoming closeout, ORA/ORS due date for proposal in SPS)

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

*my*ANNOUNCEMENTS

where you receive listserv communication about things like policy changes, process updates, event reminders

What might this be able to do?

- Receive information that is currently coming to you in listservs
- Manage that information by adding it to your calendar or flagging it as a favorite

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

*my*TASKS

an itemized list of all action items - viewable by type, due date, project, etc.

What might this be able to do?

- Create tasks and/or requests for other research admins, central offices, and yourself
- Manage tasks assigned to you in one place
- Get transparency into the status of your outstanding requests

IDEA PROPOSAL SUBMISSION AWARD CLOSEOUT ARCHIVING

*my*LINKS

a place to keep all of your frequently visited sites, links to applications and sponsor systems, etc.

What might this be able to do?

- View a list of frequently-visited links to research administration sites and systems
- Add and view my own links
- Add my "favorites" for quick access

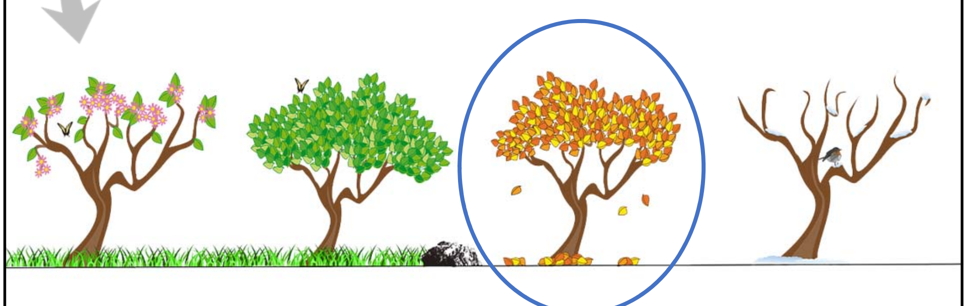
IDEA — PROPOSAL SUBMISSION AWARD — CLOSEOUT — ARCHIVING

When will the project be complete?

Timeline for completion is **18-24 months from project initiation.**

Initial release is expected by **Spring 2018.**

Features will be released **iteratively.**



Where can I find the latest information?

Updates in various meetings

Email updates
coming soon!

RAP Website
coming soon!

Questions?

Comments?

Feedback?