Closeout Project Update

January 29, 2015
ORA Quarterly Meeting

Laura Jensen

Agenda

The Goal: Clean Close
Current Project Workstreams
New Tech Tools & Reporting Enhancements
Master Data Additions
Closeout Tasklist: Modifications & Demonstration
The Vision of the Future: Clean Close for Sponsored Projects

What Does Clean Close Mean?

BY THE SPONSOR DRIVEN CLOSEOUT DEADLINE, ALL PROJECT RELATED ALLOWABLE ALLOCABLE AND REASONABLE EXPENSES ARE POSTED TO THE PROJECT WBSE BEFORE SUBMITTING REQUIRED CLOSEOUT DOCUMENTATION TO OSP.

As an institution, Duke has identified essential policies, processes, and technology tool improvements to enable research administrators to achieve this vision.

The Pathway to Clean Close

Remove barriers, reducing time (and frustration) for issue resolution
Enables more proactive award management

Update policies for clear guidance, reducing time in seeking direction
Allows greater understanding of expectations

Modify business processes to streamline and standardize activity
Enables greater efficiency and easier collaborations

Enhance reporting and technology
Provides transparency and facilitate more timely transactions

Submit documentation that is final and ready to report
Meet deadlines, reduce financial risk, and closeout once!
# Project Workstreams

## Immediate
- Interdepartmental Payroll Policy/Escalation – (November-January)
- NCE Submission Process – (November – February)
- NCE Submission Policy – (December - February)
- Peer Invoicing – (November – February)
- Internal Billing Service Center GAP Updated – (November – December)

## Spring
- Clean Close: Life of Project Requirements (Financial) – (January– March)
- Clean Close: Closeout Tools – (April - June)
- Payroll Access Technical Solution – (January - June)
- Tuition Remission – (January - September)
- Internal Billing: Housing/Auxiliaries/Stores Billing/Special Events & Conference Services, MAESTRO Billing; Service Center Billing – (January – August),
- Life of Grant Programmatic - Policy/Guidance – (January – March)
- Revised FFR Policy – (January – March),
- FFR Electronic Form – (January – March), Cost Transfer Policy – (January – March)

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# Tech Tools & Reporting Enhancements

- New Duke@Work Reports
- WBSE Status Warnings
- Master Data Additions and Other Report Additions
- Closeout Tasklist Modifications
New Duke@Work Reports

Projects Approaching End Date Report
(Use in place of ZF110)
- Identifies projects ending in the next 3 months
- Drilldown to Project Obligations Report

Project Obligations Report
- Identifies existing & future dated cost distributions
- Identifies outstanding purchase orders

New Duke@Work Reports

Available through the Duke@Work portal
- Duke@Work→Grants Management→Sponsored Research Reporting (includes MyResearch reports for Grant Manager)
- There are no security limits or ownership rules currently set for this report.
- If you have access to the Grants Management tab, you can run these reports for any open project or group of projects.
WBS Element Warning Messages

These messages will be triggered when the funding sources recorded in the applicable tools have end dates.

<table>
<thead>
<tr>
<th>Type of Expense</th>
<th>WARNING!</th>
</tr>
</thead>
<tbody>
<tr>
<td>iForm: Hire, Transfer, Cost Distribution, Manual Salary Cost Transfer, and Supplement iForms</td>
<td>Project has ended. Confirm effort falls within the project period!</td>
</tr>
<tr>
<td>Electronic A/P Check Request &amp; POs/Requisitions</td>
<td>Project has ended. Confirm costs incurred before end date!</td>
</tr>
<tr>
<td>Online Travel</td>
<td>The following WBS elements are final or ended! (WBS element will be listed)</td>
</tr>
<tr>
<td>Purchase Orders</td>
<td>Project has ended. Confirm expense incurred within project period!</td>
</tr>
</tbody>
</table>

Master Data Additions

New Backstop Fields

- Either Cost Center OR WBSE
- Backstop code will be used primarily for write-offs at closeout
- Backstop code will default based on associated BFR
- Department modifications possible
- Only 391/291xxxx codes are eligible to be backstop codes
- No limits on cost centers that are allowed

OSP Liaison ID and Name
ZF600 Report Additions

**Respons. Unit**: Interprets ZG53 status- Assigns fund code to OSP or department

Fund Programmatic Class from FM (**Class Val – to be Progm Atr**): Identifies the mission of a code

Letter of Credit Attribute (**Crdt Atr – to be LOC Atr**): Identifies NIH pooled vs. subaccounts

Sponsor Final Due Date and OSP Due Date

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**Fund Programmatic Class**:  
*Progm Atr* Field Values

- **SNC**: Spon Rsch Non-Clinical
- **SDC**: Coordinating Center Clin Resch
- **Sci**: DAAS Ext Fund HS Rsch-IRB
- **SCE**: DAAS Ext Fund HS Rsch-IRB Exmt
### Letter of Credit Attribute: LOC Atr Field Values

<table>
<thead>
<tr>
<th>N0: Not on LOC</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1: PreAward Status</td>
</tr>
<tr>
<td>N2: No FCOI release – New</td>
</tr>
<tr>
<td>N3: No FCOI rel-Existing</td>
</tr>
<tr>
<td>N4: “Manual” LOC process</td>
</tr>
<tr>
<td>N5: Temporary</td>
</tr>
<tr>
<td>YG: LOC, FCOI OK, “G”</td>
</tr>
<tr>
<td>YP: LOC, FCOI OK, “P”</td>
</tr>
</tbody>
</table>

### Sponsor Final Due Date and OSP Due Date Additions

- ZF600
- Projects Approaching End Date Report
- Project Obligations Report
Key Features of the Closeout Tasklist

- Detailed Worklist to Assist in the Closeout Process
- Populate data fields with WBSE entry
- Tasklist Status Bar
- Section collapsibility using N/A Checkbox
- Electronic Signature Option
- Separate Tab for PI Attestation

SOM Implementation Team

The Implementation Team will provide support to departments easing the transition to a new clean close environment.

Laura Jensen, Team Lead
Ebony Montgomery, Communications
Blake Perrault
Darrell Queen

Email Communication
Address: SOMImplementation@duke.edu
Subject Line, CLOSEOUT PROJECT: Subject
Questions?