Research Admin in an e-Environment

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e-Environment

e-Certs: April ‘11 (Q2 2011)

e-SWTs: FY 2012

e-JVs: DECs, CRGs, & CR05s
  FY 2009 (limited)
  FY 2012
Highlights/Lowlights:

• 24,520 certifications done to date.
  99.24% total completion
  99.32% sponsored project completion

• 619 certification corrections.
  242 during the certification period
  377 outside the certification period ~ recertifications

• SWT occurred within certification period opposed to outside certification period by a ratio of 2:1
Salary Wage Transfers

Highlights/Lowlights:

• Approx. 2,000 transfers involved sponsored funds.

• 163 transactions debited sponsored funds where the credit fund was overdrawn or expired.
  • 52 unique funds.

• 131 transactions debited sponsored funds where the debit fund was expired.
  • 13 unique funds.
Salary Wage Transfers

Highlights/Lowlights:

• 62 transactions debited sponsored funds during the last 30 days of award.
  • 13 unique funds.

• 112 transactions debited sponsored funds where the original transaction older than 90 days.
  • 63 unique funds.
Challenges/Risks

e-Cert

- Who certifies the effort?
  - Understanding of the system/process.
  - Suitable means of verification.
- Does the system/process work as it was intended?
  - Labor Management vs. Confirmation
  - System integrity
- 100% effort on sponsored funds.
Challenges/Risks

e-SWTs

• High number of transfers
  • Adequate control environment
  • Root Causes
    • Processes
    • Technology
    • Culture

• Risk Tolerance
  • Mitigate vs. Eliminate
Fiscal year to date

- Number of Transactions this year: 1202
- Average processing time in days this year: 16.8
- Average processing time in days this month for CANDGDEC: 16.1
- Number of Rejects this year: 366
- Reject Rate this year: 30%
- Number of documents rejected more than once this year: 102
eDECs

Common reasons for return

• Incorrect Description
• Complete copy of supporting documentation not attached
• Answers to Sponsored questions 1-3 are incomplete
• Sent to wrong queue

Journal Voucher Training
Reminders

- In the event cost transfers become necessary, the general deadline for processing such transfers TO sponsored FOAPs is no later than 90 days after expenditure was incurred.

- Cost transfers TO sponsored FOAPs after this period are generally not allowed, but may be permitted under extenuating circumstances.

- Cost transfers FROM sponsored FOAPs to unrestricted FOAPs will be processed regardless of when the expenditure was incurred.

- All cost transfers involving sponsored FOAPs are to be approved by Contracts and Grants Accounting.
Reminders

• Review financial reports monthly to facilitate timely discovery and correction of errors

• Provide an adequate explanation of how the error occurred and how the project receiving the transfer was determined to be the correct one.
  • *Explanations such as “to correct error” or “to transfer to correct project” are insufficient.*

• Avoid transfers which “spend down the award” or involve transfers from over-expended FOAPs to FOAPs with large balances, simply because “that’s where the money is”
Questions?

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