

# Post Award Initiatives



#### Effort Reporting Improvements

Simplified "Non-Sponsored Funding" section no longer need to allocate between Instructional/Non-Sponsored Research, Administrative, or Sabbatical categories.

Separate "Total Effort %" section - easier to determine whether the Sponsored Funding plus Non-Sponsored Funding percentages total to 100%.

Certification screen will only appear once if "Select All" button is used.

New "Select All" and "Deselect All" buttons provide more flexibility - still able to certify each row individually, but can now select or deselect all rows with one click.

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#### Challenges Identified

- PS Grants sub-modules 2003-04 initial set up issues.
- Hardware inadequate, due to age and data volume, causing extremely slow processing times.
- Staffing:
- Turnover since 2008, 25 Financial Services departures including 8 in Contract and Grant Accounting, out of total staff of 70.
- Capabilities long-term administrative staff without experience in PeopleSoft type environment; limited training.
- Accuracy and timeliness of financial reports.
- Biggest risk exposure unbilled receivables, resolving over-expended grants.

### Post Award Enhancement Initiative History

- Initiated January 2009 and Chaired by Lynne Schaefer
- Ultimate goal to enhance post award administration and systems functionality.
- Post Award Steering Committee (PASC) formulated February, 2009 with strong mix of academic and administrative representation.
- Brought in Jay Morley as consultant, former CBO at Cornell, President of NACUBO
- PASC orientation to Building Organizational Capacity model by J. Morley
- Improve timeliness, accuracy, compliance, business processes, and administrative systems.



# 90 Day Cost Transfer Policy Excerpt

 This policy applies to all University departments with active awards. Positions with responsibilities relative to this policy include:

- Principal Investigators
- Department Administrators/ Business Managers
- Contracts & Grants Accounting personnel



http://www.umbc.edu/FinancialServices/Grants/UMBC Cost Transfer Procedures.doc



#### Areas of Focus

 Membership split into three workgroups to focus on identified highest priorities.

- WorkGroups
- Compliance (Co-Chairs: Dean Drake & David Gleason)
- Administrative Systems (Chair: Tammy Ross)
- Billing & Reporting Timeliness and Accuracy (Chair: Ben Lowenthal)





#### 90 Day Cost Transfer Policy Excerpt

• Cost transfers must be done within 90 days of the error or within prescribed terms & conditions after the end date of a grant in accordance with:

• A. NIH Grants Policy Statement terms and conditions which govern NIH grant awards • <a href="http://grants.nih.gov/grants/policy/nihgps\_2010/index.htm">http://grants.nih.gov/grants/policy/nihgps\_2010/index.htm</a>

• B. OMB 2 CFR Part 220 which determines costs applicable to research and development, training and other

• <a href="http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\_a21.pdf">http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\_a21.pdf</a>

• C. OMB 2 CFR Part 215 which establishes standard administrative requirements for federal grants and

• <a href="http://www.whitehouse.gov/omb/circulars">http://www.whitehouse.gov/omb/circulars</a> a110/

• D. OMB Circular A - 133 which details standards for obtaining consistency and uniformity for the audit of

Faculty/Pls

Business Managers

Research Administrators

States, local governments, and non-profit organizations

• <a href="http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\_a122.pdf">http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\_a122.pdf</a>

• If the current UMBC Policy is not followed resulting in a deficit on a closed project/grant, Contracts & Grants Accounting will transfer the deficit to the associated departmental budget or DRIF account. Extenuating circumstances allowing an extension are discussed in Procedures for Cost Transfers.

**Policy Outreach & Communication** 

90 Day Expense Transfer Policy

Required per OMB A-21, A-110, A-133

Communication Plan continuing in Fall

Insights/ VPs & Deans in the Summer

Strict enforcement since 10/1/2011

#### Actions Taken



 Steering committee composed of faculty PI's and staff; monthly meetings. 3 workgroups formed (Administrative Systems, Billing/Reporting, Compliance).

This resulted in a more focused effort, better coordination and communication, and consensus

prioritization of issues and needs. System improvements:

 External PS experts were brought in to identify PS initial set up problems and areas where short term improvements could be made.

Minor improvements in system performance occurred.

Upgrade to PS Finance 9.x has been deferred to due to budget reductions and staffing challenges; now rescheduled for 2014. Hardware:

– \$300,000 upgrade completed in May 2011 resulting in marked system performance improvements. Staffing:

 New 14 module training regimen developed for business administrative staff responsible for administering grants in departments and centers. 40 individuals trained to date.

Additional staffing in central office – 2 new FT regular positions, 1 contingent, + temporary outside help.

Backlog Reduction Effort:

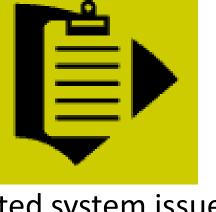
Mandatory overtime Sept. – Dec. 2010. Reduced invoicing backlog by 40%.

 Consultants on board to assist in backlog clean-up. Financial Aid clean-up complete. Remaining projects clean-up underway with targeted completion date of December 2012.

### Actions Taken

(2011-12)





#### • Completed a holistic assessment of grant and contract ledger data and related system issues.

- Successfully completed technical work to update project accounting and billing lines in the Grants sub-ledger module. Upwards of 16,000 lines of data have been corrected clearing the way for reconciliation and updated project billings.
- Concentrated effort in the Financial Aid fund (1263) has led to complete reconciliation of Fund 1263 as of fiscal year end 2012.
- Team of grant accountants is on site to assist in clean-up of remaining restricted funds (Fund 1253). Target for completion is December 2012.
- Working with consultants to redesign key sponsored project business processes to improve timely expenditure monitoring, accurate financial reporting, and compliance with sponsor requirements.
- Policy Development Continued outreach and communication regarding 90-day expense transfer policy and export control policy. Detailed project accounting is now transferring to the general ledger as of July 1, 2012. This greatly
- Mandatory PI Training has been developed and is in place for all new faculty beginning in FY13.

enhances our ability to reconcile Contract and Grant accounts receivable and deferred revenue.

## What Remains to be Done? Short-Term Goals



Leadership commitment and engagement to move forward

> Establish a governance structure to ensure cohesive, comprehensive management of research life cycle

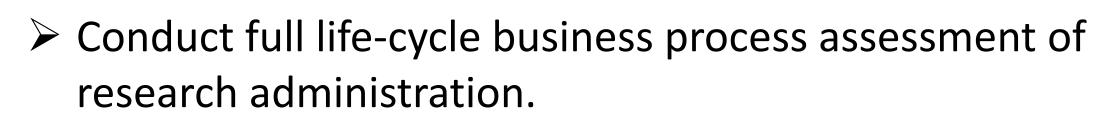
➤ To assess and recommend next steps — i.e., shared services, training, data accuracy and availability

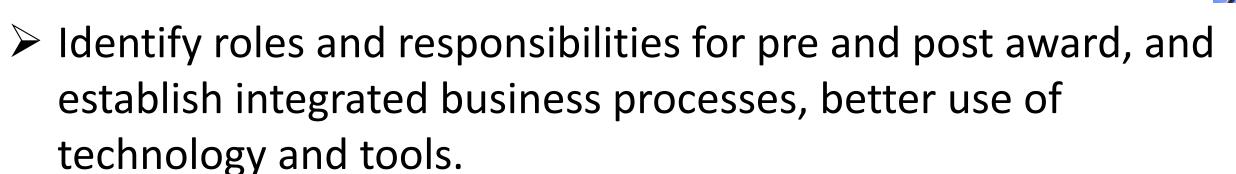
To develop cohesive vision

> To oversee implementation of recommendations



### What Remains to be Done? Mid-Term Goals





- Improve research reporting using I-Strategy and PeopleSoft to meet needs of all stakeholders.
- > Determine skill sets needed to properly administer research across the life-cycle, and match that to individuals in these roles. Establish new business center oriented organizational structure.
- > Require training and specific skill set requirements, and process for new hires.



#### PASC Members

Tina Stanger, Acting Director, Office of Sponsored Programs

Carlo DiClemente, Professor, Psychology

Danita Eichenlaub, Associate Director, JCET/GEST

 David Gleason, General Counsel/AVP for Research Benjamin Lowenthal, Associate Vice President for Financial Services

Chuck Bieberich, Professor, Biology

Julie Ross, Professor and Chair, Chemical and Biochemical Engineering

Tammy Ross, Director, Contract & Grant Accounting

• Janie Stevenson, Assistant Dean, College of Natural and Mathematical Sciences

Jack Suess, Vice President for Information Technology

 Geoff Summers, Vice President for Research Dean Drake, Assistant Vice President for Research

Jay Morley, Consultant

Jean Donohue, Administrative Support

**Total Travel** 

**Total Motor Vehicles** 

Total Supplies

Total Contractual Service

### Future Grants iStrategy Report

Home > REX Finance myUMBC Reports > Department Report Summary Export 🗗 🎒 Find | Next | Select a format YTD Actual YTD Open Pre Encumb Balance Available **Total Communication** 

#### Principal Investigator Training

Uses UMBC Blackboard Includes hyperlinks to additional resources Easy to read text Short 1-2 page modules

Only a few hours to complete

**CURRENT MODULES** 

Introduction to PI Responsibilities

. Responsible Conduct in Research

. Cost Principles for Educational Institutions

. Award Terms and Conditions

. Financial Management

Indirect Costs — Admin Salaries & Other Clerical Expenses

. Committed Effort and Salaries

. Documenting Allocability

. Monitoring Project Spending

Equipment Purchase and Control

**Export Controls** 

. Project Closeout