



EMORY
UNIVERSITY

Office of the Senior
Vice President for Research

Changes in Research Grants & Contracts

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Why the changes? (background)

- No or infrequent award reconciliations
- Projections included on financial reports and invoices
- Award closeout backlog
- Increased federal enforcement
- Effort reporting compliance challenges
- Staffing in RGC

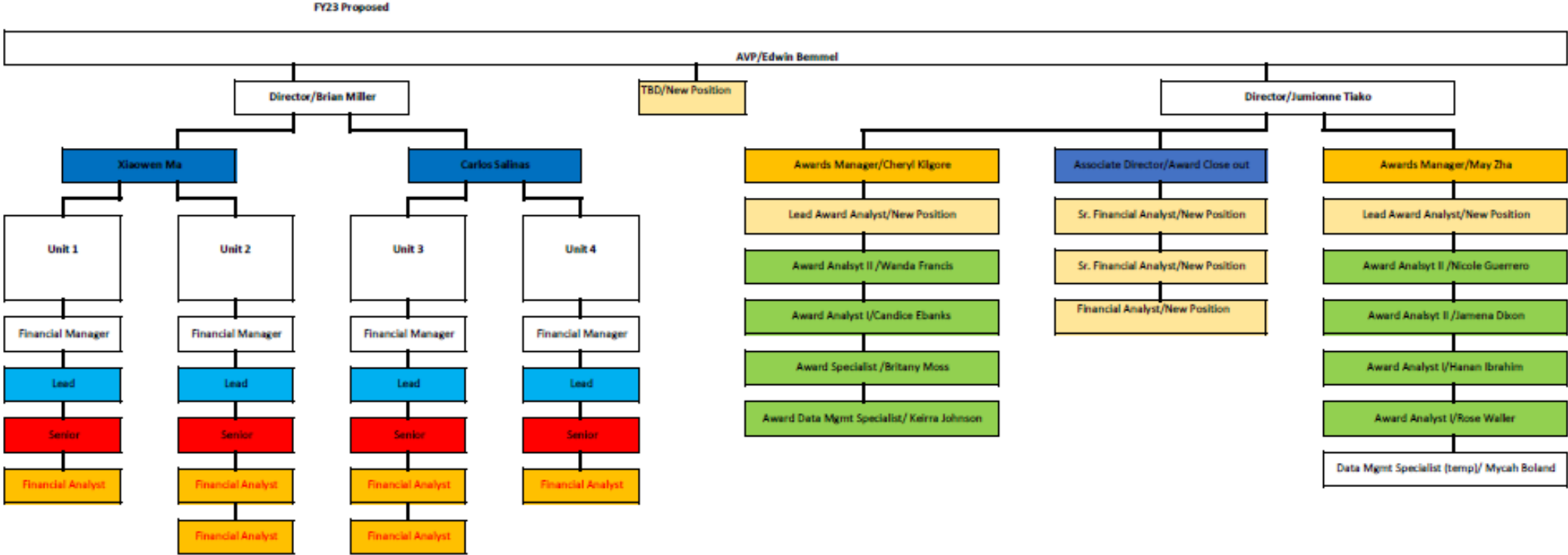


What are the changes?

- RGC organizational structure
- Award Closeout
- Effort



RGC Organizational Structure



Organizational Structure

- Main points:
 - Promoted Brian and Jumionne to Directors
 - 6 new FTE's
 - Creating an Award close out team:
 - Dedicated team to focus on award close out
 - Balanced structure across teams
 - Moving Ops. from a 3 to 4 team portfolio
 - Creating a more vertical structure, allowing for movement and career laddering



Award Closeout

- There are currently over 3,300 expired awards requiring reconciliations and close out
- Significant risk exposure, not only financially (unreimbursed funds, possible audit findings, etc) but this could hurt our reputation as a research institution as well
- This number is significant and we need a well executed plan in order to eventually get this down to zero
- Previous attempts to clean this up were made, but numbers keep creeping back up
- Current plan is to stop the bleeding while continuing to work through the backlog



Count of outstanding awards by RAS Unit/cash balance

Count of Contract Num	Column Labels					Grand Total
Row Labels	NEG BAL >GRT than (\$500)	NEG BAL>LESS than (\$500)	POS BAL<LESS than \$500	POS BAL>GRT than \$500	ZERO CASH BAL (blank)	Grand Total
Non RAS	2	1	2	5	2	12
RAS_ABOSS	103	40	58	205	82	488
RAS_BSCI	43	25	40	53	83	244
RAS_CAPS	47	28	42	65	81	263
RAS_CI	172	20	29	200	47	468
RAS_DOM	129	48	69	142	120	508
RAS_EPC	40	15	16	24	29	124
RAS_HHS	41	12	29	70	60	212
RAS_PEDS	124	35	47	165	116	487
RAS_SPH	123	39	69	131	141	503
(blank)						
Grand Total	824	263	401	1,060	761	3,309



Total cash of awards expired as of 8/31/22 by RAS unit and cash balance

Sum of Cash Balance	Column Labels					Grand Total
Row Labels	NEG BAL >GRT than (\$500)	NEG BAL >LESS than (\$500)	POS BAL <LESS than \$500	POS BAL >GRT than \$500	ZERO CASH BAL (blank)	Grand Total
Non RAS	(29,358.57)	(40.35)	260.43	71,969.10	-	42,830.61
RAS_ABOSS	(2,099,320.19)	(2,677.76)	4,100.12	4,308,771.52	-	2,210,873.69
RAS_BSCI	(1,178,932.02)	(3,684.02)	3,584.89	969,553.81	0.00	(209,477.34)
RAS_CAPS	(551,171.86)	(1,559.79)	4,765.34	1,310,204.25	-	762,237.94
RAS_CI	(3,766,253.58)	(1,008.88)	1,980.66	6,796,670.68	-	3,031,388.88
RAS_DOM	(3,567,575.41)	(3,499.60)	4,126.50	4,282,039.79	0.00	715,091.28
RAS_EPC	(1,589,532.35)	(938.43)	878.43	396,466.38	0.00	(1,193,125.96)
RAS_HHS	(1,005,490.20)	(1,313.47)	2,669.64	1,151,070.56	-	146,936.53
RAS_PEDS	(2,956,367.46)	(4,064.92)	3,694.60	2,135,439.08	0.00	(821,298.70)
RAS_SPH (blank)	(1,851,761.76)	(4,316.71)	3,303.13	1,894,623.04	-	41,847.69
Grand Total	(18,595,763.39)	(23,103.93)	29,363.73	23,316,808.20	0.01	4,727,304.62

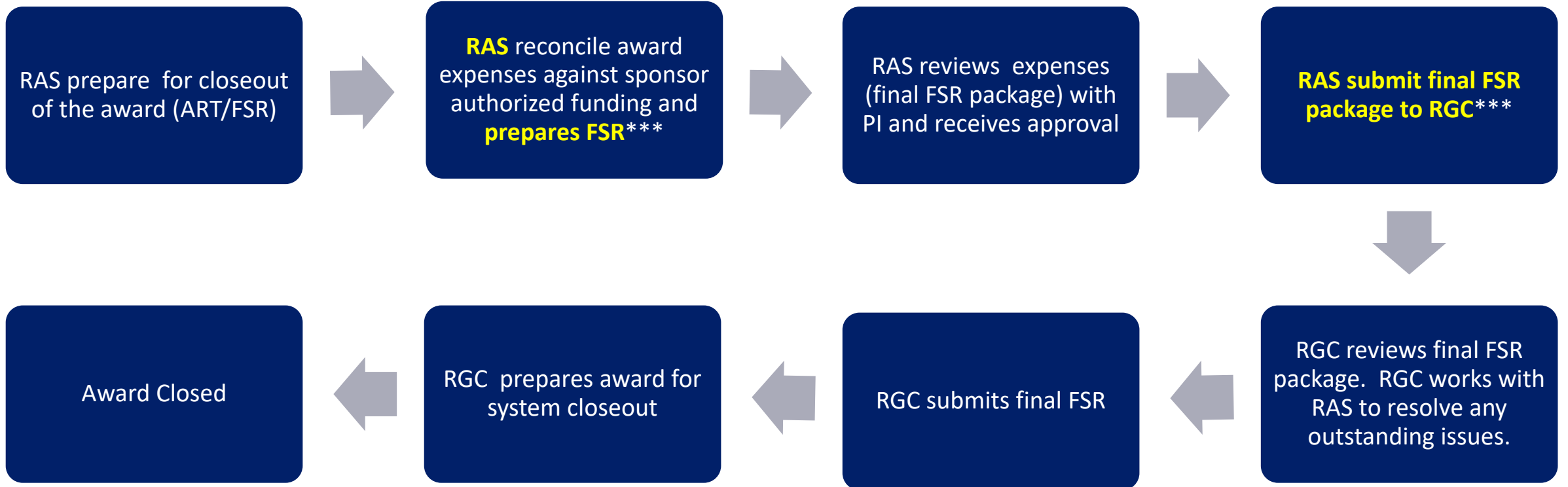


Requirements

- All awards to be reconciled bi-monthly but no less than quarterly
- Reconciled awards to be shared with PI's quarterly
- Relaunching of the PI dashboard
- FSR's and invoices must be based on general ledger activity: no projections
- A small number of exceptions can be requested by completing an exemption form
- Transactions must all be fully posted to allow sufficient time for draw downs and billing



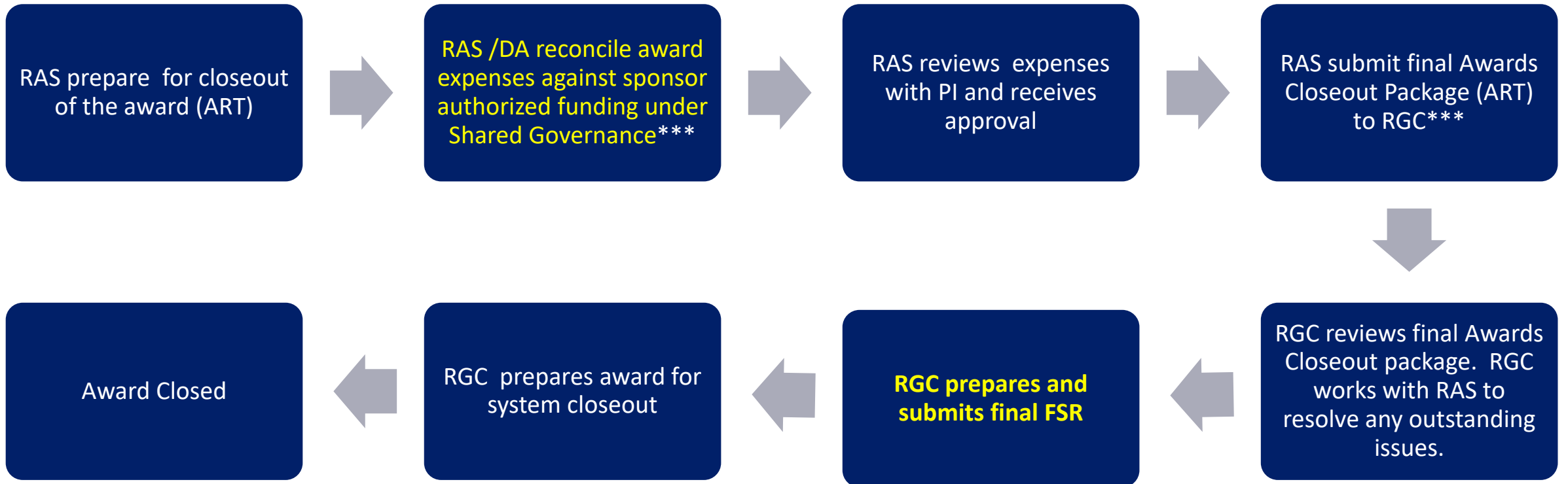
Financial Award Closeout Process (Awards Ending through 11/30/2022)



*****NOTE: Reconciliations include ensuring all related expenditures are appropriately posted to the award and that future recurring expenditures and commitments have been properly closed out. No projections should be included in final reconciliations. However, if in rare circumstances, if there are projections for posting, an Exemption Request Form must be submitted with the Closeout Package.**



Financial Award Closeout Process (Awards Ending 12/01/22 or later)



*****NOTE: Reconciliations include ensuring all related expenditures are appropriately posted to the award and that future recurring expenditures and commitments have been properly closed out. No projections should be included in final reconciliations. However, if in rare circumstances, if there are projections for posting, an Exemption Request Form must be submitted with the Closeout Package.**



Effort Reporting

- Emory's effort policy provides two 6-month effort periods
 - 9/1-2/28
 - 3/1-8/31
- Effort must be certified within 90-days of the effort period to certify
- This period includes over 6,700 effort reports to be certified
- Significant amount of effort reports that are past due (over 2,500 as of December 2022)



Effort Reporting

- RGC partnering to:
 - Clean up backlog
 - Identify areas in critical need for enhancement
 - Reviewing best practices



Questions?

