



THE UNIVERSITY  
of NORTH CAROLINA  
at CHAPEL HILL

Office of Sponsored Research

# TOWN HALL

April 1, 2019

## Presenters:

- **David Paul**  
Executive Director
- **Brian Bertlshofer**  
Director, Cost Analysis and Compliance
- **Jenifer Gwaltney**  
Director, Sponsored Projects Accounting
- **Jenn Teixeira**  
Director, Research Administration
- **Amanda Chang**  
Assistant Director, Operations

# Agenda

- Welcome and Updates – David Paul
- OSR Unit Updates & Current Initiatives
  - Cost Analysis and Compliance – Brian Bertlshofer
  - Research Administration – Jenn Teixeira
  - Sponsored Projects Accounting – Jenifer Gwaltney
  - Operations – Amanda Chang
- Q & A



# Welcome, Updates and Initiatives

- Town Hall: Aims & Goals
- PI Eligibility
- Carolina Excellence Initiative
- OSR Career Ladder
- Training Certificate Program
- Symposium
- OSR Campus Survey



# Town Hall: Aims & Goals

- Experience with meetings and suggestions
- Good opportunity to share what we're working on with campus
- Also provides another opportunity to receive feedback
- Plan to continue holding them about 6 months before Symposium



# PI Eligibility

- Previously required Full Time permanent faculty members
- Change will allow:
  - .75-1.0 FTE as automatic eligibility
  - .50-.74 will require the approval of Chair or Center Director
  - Less than .50 will require approval of Dean and Chair/Director and OSR/VCR review
  - Flexibility to approve PI for term of appointment instead of proposal by proposal



# Carolina Excellence Initiative

- University/Provost
- Other central units also involved
  - Award setup (Award received to Project ID setup)
  - Transparency and Communication initiative
  - Financial tools and resources
  - Roles and Responsibilities (in conjunction with other central units)



# OSR Career Ladder

- Growth Opportunities
- Flexibility during hiring (range)



# Training/Certificate Program

- Working to develop more and better training
  - Excited to announce: Access to Stanford's Cardinal Training/Certification program
  - Working on access to Duke's as well
  - Begin to roll out individual modules building towards multi-tiered certification program
- Presented a few trainings on campus
- Recorded and plan to share on website after editing
- NCURA on-line modules reminder



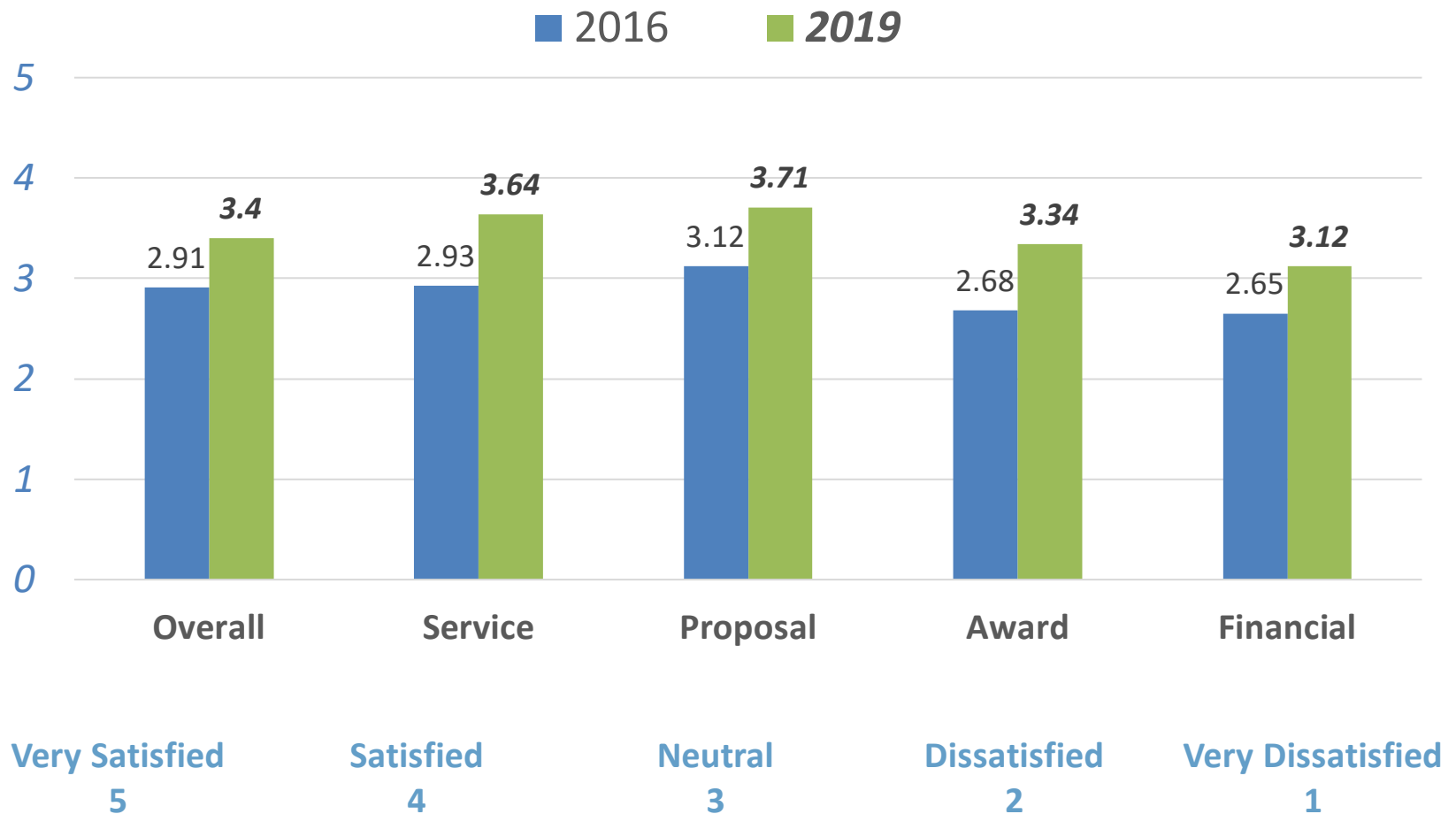


# Symposium

- Preliminary hold for 8/15
- Last year's was really well received: Build upon that
- More intermediate/advanced tracks



# Preliminary Survey Comparison

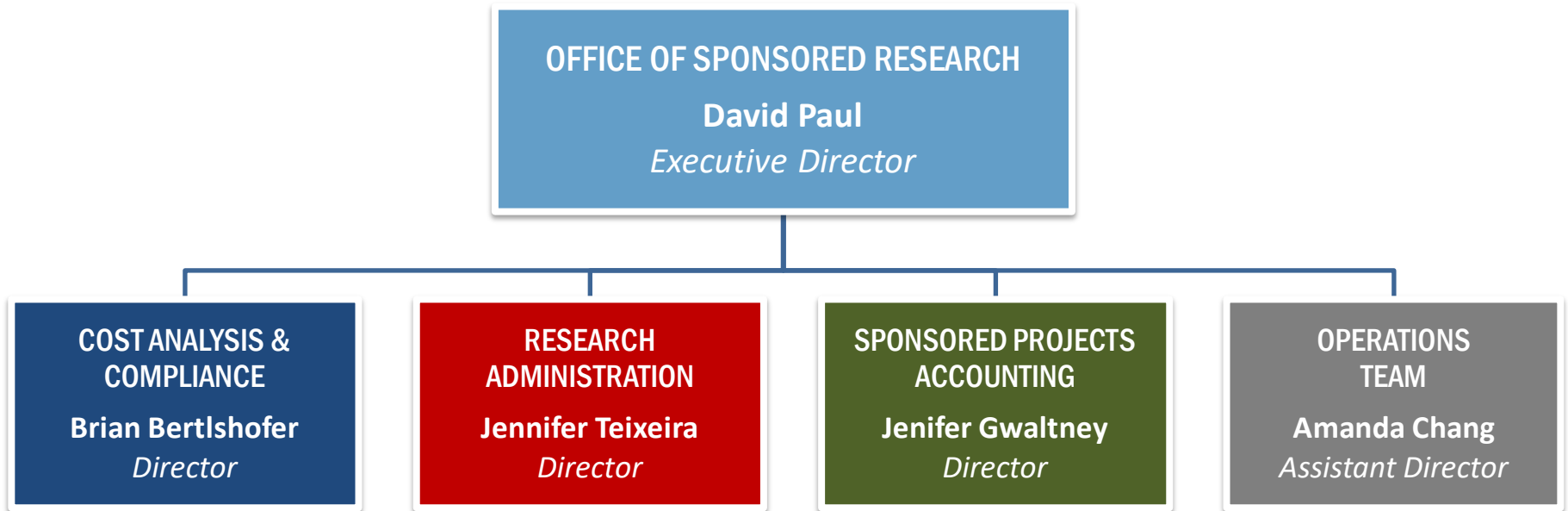


# OSR Campus Satisfaction Survey

- Preliminary results show positive trend compared to 2016
- Still need to improve
- Provides a baseline to help us get to where we want to be
- Goal is to be THE Flagship OSR office others want to copy



# OSR Business Units



# COST ANALYSIS & COMPLIANCE

*Director*

**Brian Bertlshofer**

Cost Accting/Central Effort  
Manager  
**Thomas Avant**

Cost Analyst  
Jasper Fleming

Cost Analyst  
JR Pike

Effort Coordinator  
Eartha Bridges-Riley

Effort Coordinator  
Valeshia Brown

PAR Technician  
Ryan Saunders

Assistant Director  
Audit & Financial Compliance  
**Ben Wright**

Post-Award Financial Analyst  
Tracey Lemming

Post-Award Financial Analyst  
Mahdi Altamimi

Post-Award Financial Analyst  
Tamesha Robertson

Post-Award Financial Analyst  
Sherrell Alston

Pre-Award Technician  
Sydney Barbieri

Pre-Award Technician  
Shari Elliott

Pre-Award Technician  
Darryl Harris



# Cost Analysis & Compliance

## *Teams and Functions*

### **Audit and Financial Compliance**

- **Pre- and Post- Audit Review**

- **Pre-Audit:** Review transactions for allowability *before* posting
- **Post-Audit:** Review transactions for allowability *after* posting/payment

*Please let OSR know if you are having any issues with Pre-Audit process for certain sponsored award transactions.*

- **Subrecipient Monitoring**

- Review of Subrecipient's Annual Audit/Single Audit Reports
- Pre-Audit review and sample audit of subrecipient invoices

- **Sponsor Audit Support**

- Annual Single Audit/Federal Compliance
- Audit requests from sponsors



# Cost Analysis & Compliance

## *Teams and Functions*

### **Cost Accounting and Central Effort Administration**

- **Cost Accounting**

- Preparation and negotiation of the Facilities and Administrative (F&A) cost rate proposal
- Review and approve all recharge center rate proposals
- Cost Accounting Disclosure Statement (DS-2)
- Other cost analysis projects such as Fringe rate development for sponsored research proposals

- **Effort Reporting**

- Review and approve all ePARs impacting sponsored research activity
- Monitors effort certification process on sponsored research activity



# Cost Analysis & Compliance

## *Functions, Updates and Initiatives*

- **FY2019 Facilities & Administrative (F&A) Rate Proposal**
  - Space Survey – Summer 2019
- **Effort Certification: For Period July to December 2018**
  - Escalation Period Starts Today
- **Research Service Centers (RSCs)**
  - Catch-Up and Two Year/Eight Quarter Process
- **NSF Office of Inspector General (OIG) Audit**
  - Audit Time Period: 10/1/2015 to 9/30/2018
- **P-Card Purchases**
  - Documentation necessary for Sponsored Award activity





# Cost Analysis & Compliance

## *Facilities & Administrative Rate Proposal*

- Beginning process to develop the next F&A rate proposal based on FY2019 financial data.
- Process includes converting the UNC-CH data in the F&A software from FRS to PeopleSoft (CC).
- Space Survey – Summer 2019: OSR will perform a space survey on laboratory and related support space in academic departments with high research volume. Survey to begin July/August after FY2019 year-end.



# Cost Analysis & Compliance

## *Effort Certification Period*

- **July to December 2018**

- Escalation to Effort Coordinators – List of effort statements not certified provided April 1, 2019
  - Approximately 90% of required effort statements have been completed
- Escalation to Department Chairs/Directors – Monday, April 15, 2019
- Thank you to everyone involved in effort reporting for making the process more efficient each time we complete an effort certification period.



# Cost Analysis & Compliance

## *Research Service Centers (RSCs)*

- Currently reviewing RSC proposals as part of the development of a new RSC rate review process.
- Each RSC will be assigned to one quarter in a Two Year/Eight Quarter Process.
- OSR will contact the RSC personnel two months prior to the RSC's review quarter asking for a rate proposal and other necessary documentation.
- Plan is to complete RSC rate review before end of assigned quarter keeping each RSC within the required two-year review process.



# Cost Analysis & Compliance

## *NSF Office of Inspector General (OIG) Audit*

- NSF Audit Time Period: 10/1/2015 to 9/30/2018
- Currently preparing financial transactional data for NSF; they will then select sample transactions (April 2019).
- OSR will need departmental help to collect appropriate documentation for each selected sample item.



# Cost Analysis & Compliance

## *Purchasing Card (P-Card) Purchases Update*

- Recent information regarding P-Card transactions has noted that receipt/documentation is no longer necessary to be upload to the transaction.
- Documentation is still necessary for sponsored award activity – please attach documentation to transaction.



# RESEARCH ADMINISTRATION

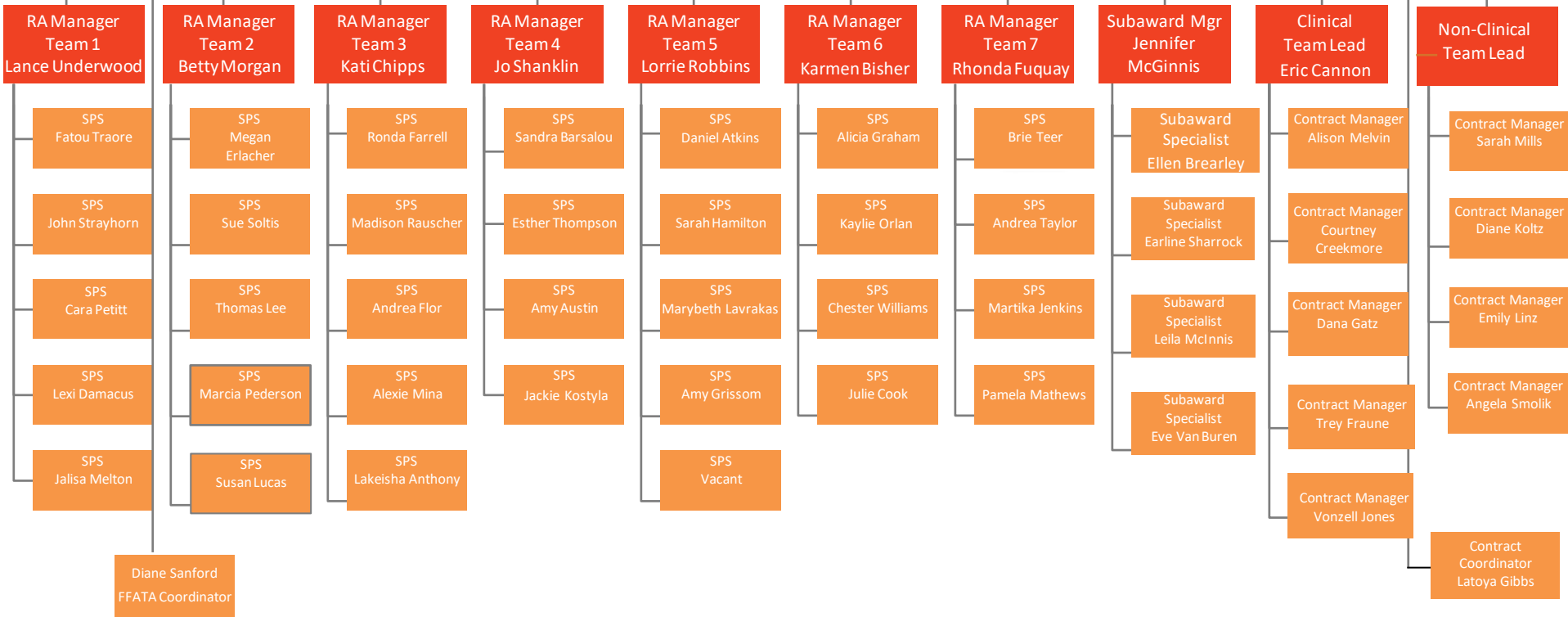
Director

Jennifer Teixeira

Assistant Director - RA  
Brian Collier

Assistant Director - RA  
Stacy Barca

Assistant Director - IC  
Liz Moore



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Jenn Teixeira  
Director

# Research Administration

## *Teams and Functions*

### **Research Administration Teams 1-7**

- Proposal Review & Submission
- Award Negotiation, Compliance Review, Risk Analysis, Award Acceptance, and Set-up
- Central Office Award Administration: Including but not limited to Award Modifications, Prior Approval Requests, Budget Revisions

### **Outgoing Subaward Team**

- Documentation and Drafting, Subrecipient Risk Analysis, Agreement Negotiation and Execution

### **Industry Contract Team**

- Contract Negotiation for Industry Clinical Trial Agreements including PI Initiated, Subsite Agreements, Industry Standard Research Agreements, Data Use Agreements, Confidentiality Agreements, Core Recharge Agreements, and Master Agreements



# Research Administration

## *Updates and Initiatives*

- **Industry Contracting Team**
  - Moved to Giles Horney Building
- **Continued Training & Outreach**
  - Department & College Focused Training
  - Internal Training
- **Single Submission Project**
  - Systems to be included: RAMSeS, ALICE, CRMS, RAM Tracker, and link to new ORD system in development
- **Subaward Portal**
  - Streamline Process, System Triggers, Increased Transparency
- **RAM Tracker Transparency**
  - Additional Functionality





# Research Administration

## *Updates and Initiatives*

- **Industry Contracting Team**

- Re-structuring of Industry Contracting team began in 2017 when the team was moved into the Research Administration unit in OSR.
- At the beginning of this year the Industry Contracting team was co-located with the Research Administration teams in the Giles Horney Building.
- This move is intended to help increase collaboration and cross training between the Research Administration unit.



# Research Administration

## *Updates and Initiatives*

- **Continued Training & Outreach**
  - Internal Training
    - We continue to provide internal lifecycle training to the Research Administration staff to help them better serve the campus community.
  - Department & College Focused Training
    - We have expanded our training efforts to include more department, school, and college level trainings focused on the needs of the campus unit.
    - These have included: RAM Tracker Transparency, Post-Award Management of Grants and Contracts, and coming soon a training on the Lifecycle of Research Administration including the departments roles & responsibilities
    - We are working to record these trainings and have them available for you on the OSR website: <https://research.unc.edu/sponsored-research/train/#trnLibrary>
    - We encourage you to review what is available and reach out to your SPS or RA Manager if you are interested in more specialized training for your unit.



# Research Administration

## *Updates and Initiatives*

- **Single Submission Project**

- The project will combine the following systems: RAMSeS, ALICE, CRMS, RAM Tracker, and link to a new ORD system in development for limited submissions
- It will allow for more ability to link records and pre-populate data from these records to reduce duplication of data entry. Including linking records that historically have not been in the same system.
- The system will include more smart logic to reduce data entry that is unnecessary based on the type of request you are submitting.



# Research Administration

## *Updates and Initiatives*

- **Subaward Portal**

- The initiative will streamline the subaward process by allowing the departments more control of initiating a subaward and reducing the number of handoffs.
- It will include additional system triggers, both auto generated emails to the PI and department as well as to Research Administration staff when an action can be taken to reduce the overall time of handoffs.
- The portal includes additional transparency in RAM tracker to allow PI's and departments to see where each subaward is in the process.



# Research Administration

## *Updates and Initiatives*

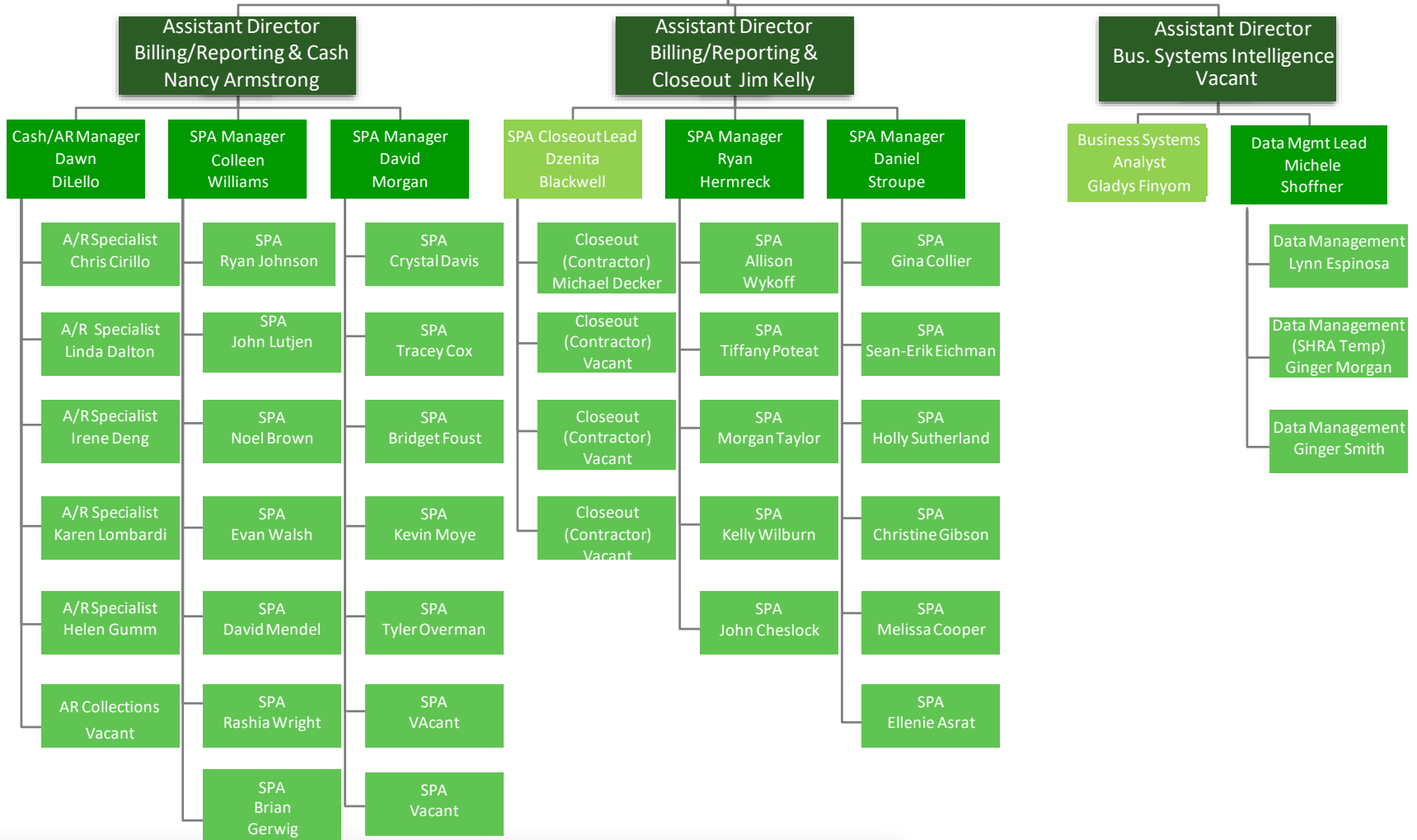
- **RAM Tracker Transparency**
  - The system is being overhauled to allow ease of use on mobile devices such as iPad and iPhone.
  - We are currently working to create an administrative view for departments so you can search for RAM trackers by department rather than having to go into each record.
  - This new functionality will allow you to search by department and filter your results as well as export into excel.



# SPONSORED PROJECTS ACCOUNTING

*Director*

**Jenifer Gwaltney**



# Sponsored Projects Accounting

## *Teams and Functions*

### **Sponsored Projects Accounting**

- Responsible for all billing and financial reporting for contracts, grants and cooperative agreements, award closeouts and assists cash management with accounts receivable.

### **Cash Management**

- Cash Management processes (posts) all payments received, AR collections, sponsor refunds and LOC draws.

### **Financial Quality Control and Data Management**

- Provides functional and technical support for OSR. They are our Peoplesoft experts! Data management sets up awards in RAMSeS and Peoplesoft.



# Sponsored Projects Accounting

## *Updates and Initiatives*

- **Team Introductions**
- **Data Clean-Up from Conversion**
- **Accounts Receivables**
- **Closeouts**





# Sponsored Projects Accounting

## *Updates and Initiatives*

- **Team Introductions**

- **Team 1 & 3**

- Responsible for reporting and billing for our Federal sponsors. This includes indirect Federal awards.

- **Team 2 & 4**

- Responsible for reporting and billing our non-Federal sponsors. This includes foundations, for-profit and not-for-profit entities as well as North Carolina state agencies.

- **Cash Team**

- Responsible for processing and posting payments received from all sponsors.
- AR Collections
- Refunds



# Sponsored Projects Accounting

## *Updates and Initiatives*

- **Data Clean-Up from Conversion**
  - Working on data clean-up in ConnectCarolina to correct issues that occurred from conversion to Peoplesoft and after.
  - Questions on billing or reporting issues should be reported to the SPA assigned to your award or may be reported to [OSRBilling@unc.edu](mailto:OSRBilling@unc.edu)
  - All other ConnectCarolina data questions/issues concerning contracts and grants may be directed to [OSRHelp@unc.edu](mailto:OSRHelp@unc.edu)



# Sponsored Projects Accounting

## *Updates and Initiatives*

- **Accounts Receivables**

- Data clean-up effort for AR reflected in ConnectCarolina
  - Working to identify and correct misapplied payments and AR created by incorrect billing events.
- Cash Management team and SPA working together to improve AR collections.
- Collection process may involve PI and department in collection efforts.
- Questions may be directed to [OSRBilling@unc.edu](mailto:OSRBilling@unc.edu)



# Sponsored Projects Accounting

## *Updates and Initiatives*

- **Closeouts**

- Developed a clear process with Closeout and SPA team on closeout legacy awards (prior to FY17) and to stay current on closeout of all awards.
- Began closing out Clinical Trials





# Operations

## *Teams and Functions*

- **OSR Central Inbox Support**
  - ResAdminOSR – general research admin & “when in doubt”
  - OSRBilling – billing, invoicing, reporting
  - OSRHelp – ConnectCarolina overrides, expedited support
- **Document Management**
- **Training**
- **Communications**
  - Website, RASG and ResInfo communications, and newsletters



# Operations

## *Updates and Initiatives*

- **Carolina Excellence: [Roles & Responsibilities](#)**
- **Other Support Tool**
- **Symposium in August 2019**
- **[Website Guidance Resources](#)**
- **Suggestions for website resources/updates:**  
[OSRCommunications@unc.edu](mailto:OSRCommunications@unc.edu)  
[research.unc.edu/sponsored-research/website-feedback](https://research.unc.edu/sponsored-research/website-feedback)



# Operations

## *Updates and Initiatives*

- **Carolina Excellence: Roles & Responsibilities**





# Operations

*Updates and Initiatives*

- **Other Support Tool**



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Amanda Chang  
*Assistant Director*

# Operations

## *Updates and Initiatives*

- **Symposium in August 2019**



# Operations

## *Updates and Initiatives*

- **Website Guidance Resources**



# Q & A



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