18 WD Questions to Address at RARA

October 20, 2015

ACCOUNT SET UP

Q.   INITIALLY BUDGETS WERE NOT ENTERED FOR ALL
       ACCOUNTS. THAT IS IN THE PROCESS OF BEING
       RECTIFIED. HOWEVER, THERE ARE ERRORS.
       WHEN WILL ALL BUDGETS BE ENTERED IN URF
       AND ALL BUDGET ERRORS CORRECTED?

A.   THERE WILL ALWAYS BE ERRORS,
       UNFORTUNATELY. IF YOU FIND ONE PLEASE
       ADVISE YOUR STAFF ACCOUNTANT TO RESOLVE.
       THERE HAVE BEEN DELAYS IN AMENDMENT
       PROCESSING DUE TO STAFF DELINQUENCIES, WE
       ARE WORKING DILIGENTLY TO GET THESE ITEMS
       CAUGHT UP. REMEMBER, NO BUDGETS FOR
       TERMINATED AWARDS AT 12/31/14, NOR CLINICAL
       TRIALS.

SUBCONTRACTS

Q.   CAN THE GR # BE ENTERED ON THE SUBAGREEMENT WHEN OFFICIALLY EXECUTED BY ORPA?

A.   SEVERAL STAFF AT ORPA DO DATA ENTRY AND THEREFORE WE RUN THE RISK OF DUPLICATION OF WORK. THERE ARE ALSO TIMES WHEN ORPA HAS CREATED A NEW SUBCONTRACT FOR A CONTINUING PROJECT AS OPPOSED TO AN AMENDMENT TO THE AGREEMENT. THE INDIRECT RECOVERY BECOMES DIFFICULT TO DETERMINE AS ORPA IS NOT AWARE OF WHAT THE CUMMULATIVE SPEND IS ON THE PROJECT.

SUBCONTRACTS

Q.   WHY ARE INVOICES TO BE DIRECTED TO ORACS? SHOULDN'T THE DEPT RECEIVE THEM FIRST, SO THEY CAN BE REVIEWED AND APPROVED?

A.   INVOICES SHOULD BE DIRECTED TO THE DEPARTMENTS. I AGREE THAT SINCE THEY NEED TO BE SIGNED OFF ON BY THE DEPT THAT THEY SHOULD BE SENT TO THE DEPT INITIALLY.

SUBCONTRACTS

Q.	CAN DEPARTMENTS BE NOTIFIED IF ANY FINAL INVOICES OF SUBAGREEMENTS ARE PENDED FOR PAYMENT?

A.	ORPA HOLDS FINAL SUBAGREEMENT INVOICES UNTIL THE CHECKLIST IS COMPLETE, THEN THEY RELEASE AND I RECORD AND SUBMIT FOR PAYMENT.

SUBCONTRACTS

Q. CAN ORACS SAVE COPIES OF SUBCONTRACT INVOICES (PDF FORMAT) ON THE ORACS NETWORK?

A. THE INVOICE IS SCANNED INTO ONBASE AND THE ONBASE LINK IS ATTACHED TO THE WD TRANSACTION IN AP. **IF THE LINK IS NOT AVAILABLE, THE DOCUMENT MAY BE UNDER THE ATTACHMENTS TAB.

SUBCONTRACTS

Q. WHAT METHOD IS USED BY ORACS TO TRACK/ENSURE UR IS RECEIVING PAYMENT ON INVOICES? IS THERE A REPORT A DEPARTMENT CAN UTILIZE TO VERIFY PAYMENTS RECEIVED?

A. WE REVIEW AR, BOTH BILLED AND UNBILLED, AS A NORMAL PROCESS. WE ALSO REVIEW AR DETAIL AND REACH OUT TO SPONSORS THAT HAVE NOT PAID INVOICES. THIS IS CONSISTENT WITH PRIOR PROCESSES.

CLINICAL TRIALS

Q.   WHEN ARE CLINICAL TRIAL BUDGETS TO BE
        ENTERED INTO URF?

A.   NON-FEDERAL CLINICAL TRIALS ARE INCREASED
        AT THE AWARD AND LINE AMOUNT WHEN CASH IS
        RECEIVED. PREVIOUSLY THE BUDGET WAS
        LOADED IN FRS AS A MEANS TO GET AR AND
        SUBSEQUENTLY APPLY CASH RECEIVED TO THAT
        AR. IN URF WE GET AR WHEN THE INVOICE FOR
        THE CASH RECEIVED IS GENERATED SINCE BOTH
        THEE ARE NOT ON THE GRANT/AWARD YOU WILL
        SEE REVENUE FOR THE AR GENERATED.

        * SEE URF0983 (AWD AMT) AND CD391 (REVENUE)

JOURNAL ENTRIES

Q.   SMD HAS COMMUNICATED THAT PII IS NOT TO BE INCLUDED ON JOURNAL ENTRIES. CAN PII BE IN URF? IF NOT, CAN THE DEPARTMENT WRITE A COMMENT THAT BACKUP WITH PII IS MAINTAINED WITHIN THE DEPARTMENT FOR ORACS TO PROCESS THE JOURNAL ENTRY? IF YES, CAN ORACS INFORM SMD?

A.   A NAME, A SOC # (LAST 4 DIGITS), OR A HUMAN SUBJECT NUMBER (SUPPORTED BY CROSS REF IN DEPT) ARE ACCEPTABLE. PLEASE DON'T INCLUDE 2 OF THESE! CROSS REF SHOULD BE A PROCESS TESTED BY OUA.

JOURNAL ENTRIES

Q.   WHAT IS/ARE BEST PRACTICE(S) FOR THE
        SUBMISSION OF JOURNAL ENTRIES TO ENSURE
        THEY ARE PROCESSED BEFORE THE CURRENT
        MONTH-END?

A.   FOUR ITEMS TO BE AWARE OF :

        1.)   TIMING, WHY SUBMIT TODAY WHAT CAN BE
                SUBMITTED TOMORROW OR NEXT MONTH?
        2.)   MULTI-LINE ENTRIES SIMPLY TAKE
                LONGER!
        3.)   YOU MEAN OTHER PEOPLE SUBMIT
                ENTRIES? (PIG THROUGH THE PYTHON)
        4.)   BUDGET DATE/ADEQUATE SUPPORT/SPEND
                CATEGORY.

JOURNAL ENTRIES

Q.   IS THERE A PERSON TO CONTACT / PROCESS TO FOLLOW TO ESCALATE A PROBLEMATIC, TIME SENSITIVE CORRECTING JOURNAL ENTRY?

A.   PLEASE REACH OUT TO YOUR DIVISIONAL FINANCE OFFICE, THEY ARE VERY INTUNED TO WHAT IS IN THE QUE AND CAN ADDRESS TIME SENSITIVE JOURNALS.

CLOSEOUT

Q.   HOW WILL ORACS HANDLE CLOSEOUTS WHEN NO REPORT IS DUE? IS THE PROCESS TO BE THE SAME? WILL THEY BE DEFERRED UNTIL THERE IS TIME TO CLOSE THEM?

A.   NO REPORT DUE CLOSEOUTS DO BECOME NON-PRIORITY WHEN CONSIDERING CURRENT WORKLOAD THAT INCLUDES FEDERAL REPORTS DUE, BILLING, AND CASH COLLECTION EFFORTS.

NOTE: STAFFING IN ORACS WAS DEPLETED IN JAN –JULY, HOWEVER WE HAVE RECENTLY ADDED STAFF AND WILL CONTINUE TO DO SO TO BECOME MORE CURRENT.

CLOSEOUT

Q.   WHAT HAPPENS WHEN THERE IS A SURPLUS (WHICH CAN BE KEPT) OR A DEFICIT – DOES THE DEPARTMENT NEED TO SIMPLY PROVIDE AN OFFSET ACCOUNT NUMBER FOR THE CASH TRANSFER? IF SO, AT WHAT TIME POINT SHOULD THIS BE DONE?

A.   DEFICITS, PROVIDE AN FAO TO TRANSFER THE OVERSPEND, WE USE SC55025 – TRANSFERS DIRECT DEFICIT WRITEOFF.
SURPLUSES, SAME DEAL, INDIRECT ASSIGNED TO DEANS OFFICE AND BALANCE TO UNRESTRICTED FAO, WE USE RC10700 - SPONSORED AWARDS REVENUE.

CLOSEOUT

Q.   HOW IS TIMELINESS OF CORRECTIONS/ENTRY
       PROCESSING BEING ADDRESSED? AT TIMES
       ACHIEVING ALL NEEDED CORRECTIONS IS BEYOND
       THE DIRECT CONTROL OF THE DEPARTMENT AND
       THE CORRECTIONS MIGHT NOT OCCUR BY THE
       DATE ORACS REPORTS THE AMOUNTS.

A.   CLOSEOUTS NEED TO BE REPORTED ANYWHERE
       BETWEEN 30-120 DAYS. REPORTING BY ORACS IS
       DONE VIA WD. THE MORAL OF THE STORY IS PLAN
       AHEAD, MAKE SURE EXPENSES ARE ON/OFF
       GRANTS IN WD. IF WE REPORT AN EXPENSE
       AND BILL THE SPONSOR AND THE EXPENSE
       DOESN'T MATERIALIZE, YOU DON'T GET THE
       EXCESS CASH AND WE HAVE A PROBLEM.

CLOSEOUT

Q.   UNDER WHAT CIRCUMSTANCES WILL REVISED
       FSR'S (NIH) BE PROCESSED?

A.   THIS SHOULD BE A RARE EVENT. DOING SO IS A
       DIRECT INDICATOR TO OUR SPONSORS THAT WE
       WAIT TO CLEAN EVERYTHING UP AFTER THE
       PROJECT IS OVER.

       **THIS IS A WARNING SIGN OF INTERNAL CONTROL
       PROBLEMS IN AN ORGANIZATION.

CLOSEOUT

Q.   WHAT REPORT DOES ORACS USE TO PERFORM
THE FINAL REPORTING OF AWARDS?

A.   -AWARD BUDGETARY BALANCE SUMMARY
-OUT OF AWARD LINE PERIOD ACTIVITY SUMMARY
-MANAGER FINANCIAL REPORT/FINANCIAL STMT

Q.   CAN WRITTEN STEPS FOR THE CLOSEOUT PROCESS
BE WRITTEN AND BE PLACED ON ORACS' WEBSITE?

A.   SEE ORPA-L FOR ROE REPLACEMENT
PROCESS/NEXT SLIDE.

6 Closeout Steps for Success

ORACS Process

1. Send Notification of impending report due date to Department Administrator (via Term Report and Closeout email from staff)

2. Run Financial Statement through the end date of award

3. Run Transaction Detail Report from the end date through today

4. Verify budget date on all outstanding transactions (should be within budget period)

5. Report to Sponsor From the Financial Statement

6. Prepare Journal Entry for Deficit or Surplus if applicable

Department Process

1. Verify award is actually ending (Expiring Term Report URF0973)

2. Run Manger Financial Report and Award Budgetary Balance Summary (URF0987) through the end date

3. Run Transaction Detail Report from the end date through today

4. Run the Out of Award Line Period Activity Summary Report

5. Provide back up for charges with incorrect budget dates and/or prepare Journal Entry to move unallowable expenses

6. Report to ORACS Manager Financial Statement is accurate and provide FAO for deficit or surplus if applicable

CLOSEOUT

Q.   WHY ARE EMAILS RECEIVED TO CLOSEOUT A PROJECT IF THERE ARE ADDITIONAL YEARS IN THE PROJECT PERIOD WITHOUT THE NEED TO ESTABLISH A NEW ACCOUNT NUMBER?

A.   THE CLOSEOUT NOTIFICATION IS DRIVEN OFF THE END PERIOD OF THE AWARD, IF THAT HAS NOT BEEN "STRETCHED" OUT FOR THE NEXT YEAR AWARDED, THEN IT WILL BE ON THE CLOSOUT REPORT. IT'S ALL ABOUT THE TIMING.

GENERAL COMMUNICATION

Q.   CAN ORACS ACCOUNTANTS PROVIDE PI NAME AND SPONSOR ON EMAILS – NOT JUST THE GR5?

A.   I WILL ASK THEM TO INCLUDE PI.

   **SEARCHING FOR THIS INFORMATION IS LINKED VIA WD (TRY TO COPY/PASTE THE GRANT NUMBER INTO THE SEARCH FIELD TO GET THIS INFORMATION).