AUBURN UNIVERSITY

Research Admin in an e-Environment

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AU Sponsored Programs
Advisory Network
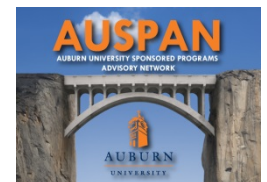June 17, 2013

e-Environment

e-Certs: April '11 (Q2 2011)

e-SWTs: FY 2012

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

# Effort Certifications

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
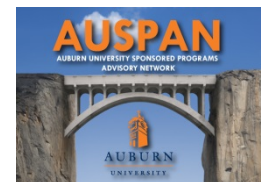
Salary Wage Transfers

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.
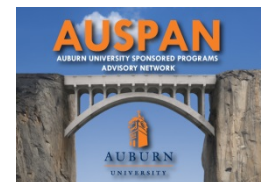
Salary Wage Transfers

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.
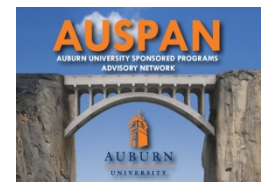
Challenges/Risks

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.
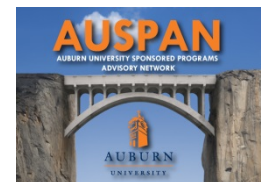
Challenges/Risks

## e-SWTs

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

- Risk Tolerance
  - Mitigate vs. Eliminate
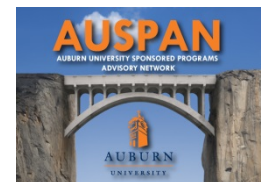
eDECs

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%
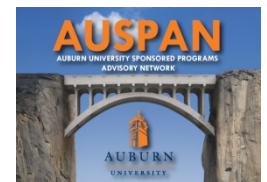- Number of documents rejected more than once this year : 102
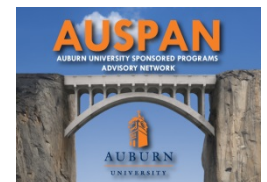
eDECs

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

Cost Transfers

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.
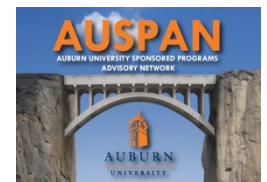
Cost Transfers

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"
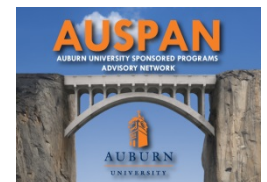
Questions?

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