Research Administration at Emory Foundation Program

DAY THREE:
Sponsored Projects Administration
Recap Day 1

- Overview of funding opportunities, mechanisms and resources for seeking funding
- Review of elements of a proposal and general routing and proposal submission processes
- ‘Just-in-time’ procedures, award types and processing
- Contracts – negotiation and common terms and conditions
- Components and preparation of budgets
Recap Day 2

- Account Set-up Process
- Expenditure Monitoring – Part I
- Expenditure Monitoring – Part II
- Closeout Process
Office of Management and Budget (OMB)

- Works cooperatively with grant making agencies
- Leads the development of government-wide policy to ensure that grants are managed properly and that Federal dollars are spent in accordance with applicable laws and regulations.
- OMB does not award grants.
Recap Online Modules (OMB) Circulars

- Uniform Guidance (2 CFR 200)
  - Combines the three circulars shown below and five others.

- A-21 Cost Principles for Educational Institutions
  - Direct costs, F&A, unallowable costs, service centers, etc.

- A-110 Administrative Requirements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
  - Reporting and closeout requirements, program income, etc.

- A-133 Audit Requirements for States, Local Governments and Non-Profit Institutions
  - Auditee requirements and responsibilities
Today’s Class

- Laws & Rules of Grants Administration
- Allowability and Consistent Treatment of Costs
- Exercises on allowability and direct charging
- Facilities & Administrative Costs
- Fringe Rates
- Service Centers
- Assets/Equipment
- Effort Reporting
- Reporting
- Resources
Where to Find Laws & Rules of Grants Administration

Read the Notice of Award

- Know terms and conditions
  - Awards under the Federal Demonstration Partnership (FDP)
  - Awards under Federal Expanded Authorities but not FDP
  - Non federal awards
  - Federal contracts (Federal Acquisition Regulations)
Where to Find Laws & Rules of Grants Administration

- Sponsor’s Guidelines or Policies
- University Policies
- For federal awards:
  - Uniform Guidance
  - A21
  - A110
  - Code of Federal Regulations (CFR)
  - Federal Acquisitions Regulations (FAR)
Direct Costs

- Generally should be charged as proposed

- Department is responsible for maintaining documentation for necessity and appropriateness of **direct charges and cost transfers**

- PI is responsible for reviewing and approving all expenditures

- Authority provided under expanded authorities permits rebudgeting of allowable costs (subject to agency’s terms and conditions)
Indirect Costs

- Costs incurred for common or joint objectives.
- Cannot be identified readily or specifically to any sponsored project.
- Also known as F&A, or overhead, costs.
Unallowable Costs

In order to understand the principle of allowability it is important to understand which costs are considered unallowable on sponsored projects as direct costs.

- Advertising, other than for help wanted or for the procurement of goods or services necessary for the performance of the award (e.g., human subjects)
- Alcoholic beverages
- Bad debt expense
- Entertainment, unless specifically provided for in the award
- Fines and penalties
- First class travel
- Goods and services for personal use, such as automobiles
- Housing and personal living expenses for officers
- Internal interest expense
Unallowable Cost (cont.)

- Unallowable direct costs (cont.)
  - Memberships in social, dining or country clubs
  - Alumni activities
  - Commencement and convocation costs
  - Executive and Legislative lobbying
  - Fund raising costs
  - Investment management costs
  - Losses on sponsored agreements
  - General Public Relations costs
  - Costs for prosecuting claims against the Federal government
  - Restricted fund overdrafts
## Consistent Treatment of Costs

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<thead>
<tr>
<th>Direct Cost</th>
<th>Indirect (F&amp;A) Cost</th>
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<tr>
<td>Salaries of Technical Staff</td>
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<td>Office Supplies</td>
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<td>Travel</td>
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<td>Equipment</td>
<td>Postage</td>
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<tr>
<td>Animal &amp; Care Costs</td>
<td>Library Support</td>
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<tr>
<td>Applicable Employee Benefits</td>
<td>Routine Maintenance of Plant/Equipment</td>
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<tr>
<td>Service/Recharge Ctrs</td>
<td>Insurance</td>
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# Consistent Treatment of Costs

<table>
<thead>
<tr>
<th>Unallowable</th>
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<tbody>
<tr>
<td>Entertainment &amp; Alcoholic Beverages</td>
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<tr>
<td>Bad Debts</td>
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<tr>
<td>Fines and Penalties</td>
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<tr>
<td>Honoraria (lecture fee allowed)</td>
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<tr>
<td>Lobbying or Fundraising Costs</td>
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<tr>
<td>Contingency Costs</td>
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Exercise: Allowability Case Studies
F&A
What is F&A?

- F&A rates are the mechanism that is used by Universities to recover the costs incurred to provide facilities and administrative infrastructure for sponsored activities.

- There is NO Profit built into the F&A rates.

- Recovery of cost already expended.
Facilities & Administrative Rates

- F&A (indirect) costs are recovered based on rates

- Rates are developed by Emory in a periodic F&A Cost Proposal
  - Currently, rates are in place through FY19
  - Proposal base year is FY18

- Proposal is submitted to our cognizant agency, Dept. of Health and Human Services (DHHS), for review, negotiation, and approval
Where Does the F&A Rate Come From?

- The source is the total costs of the University as presented in its audited financial statements.

- Adjustments are made to these costs according to OMB Uniform Guidance.

- The costs are then separated into two groups: F&A cost pools and direct cost bases.
F&A Rate

The F&A rate is simply a fraction with the pools as the numerator and the bases as a denominator.

F&A Cost Pools Allocated

Direct Cost Base
Facility and Administrative Cost Pools

- Eight major F&A cost pools
- Facility and Administrative pools
Administrative Cost Pools

- The Admin Cost Pools are:
  - General Administration (President’s Office)
  - Departmental Administration
  - Sponsored Projects Administration (OSP, OGCA)

- Allocated on MTDC base

- The administrative component has been capped by the government at 26%
Facilities Cost Pools

- The Facilities Cost Pools are:
  - Building Depreciation
  - Equipment Depreciation
  - Building Interest
  - Operations & Maintenance
  - Library

- Allocated on square footage basis, except for Library (FTEs)

- No cap imposed on these components
Direct Bases

- Organized Research
- Instruction Departmental Research
- Other Sponsored Activities
- Yerkes National Primate Center
- Other Institutional Activities
F&A Rates

- F&A Rates are applied to the “Base” of the approved award

- For federal awards, this base is generally Modified Total Direct Costs (MTDC)

- MTDC excludes select direct costs such as:
  - Equipment
  - Patient Care
  - Tuition remission
  - On a per subcontract basis, each subcontract whose expenses exceed $25,000
F&A Recovery

- 100 Percent Returned to the School
- Recovery of costs already incurred
- Each school determines how these funds will be allocated
Space and F&A

- Facilities (F) portion of F&A the only place where the rate can increase.

- Space (and its functional classification) is the primary driver of Facilities pools.

- The space survey (FIMS) is the tool used to track:
  - Room number, building, and square footage
  - Who is using the room
  - Projects occurring in the room
  - Functional classification of a room
Space and F&A

- Example: Lab, 900 Square Feet, Whitehead Biomedical Building
  - Coded: 80% Organized Research, 20% Instruction
  - Costs: $2,000 per year for utilities
    - Organized Research F&A Rate: $1,600 ($2,000 x 80%) in the numerator
    - Instruction F&A Rate: $400 ($2,000 x 20%) in the numerator

- Amounts going into the numerator of the F&A Rate are driven by:
  - The percentage of a room coded to research (higher = more in numerator)
  - The age and cost of the building (newer and more expensive = more in numerator)
  - Square Footage of the room (the larger the room, the more it costs)
Space and F&A

- Governmental Motives
  - Lower F&A Rate
  - Reduce space coded to research (lowers numerator)
  - Increase dollars coded to research (raises denominator)

- University Motives
  - Higher F&A Rate
  - Increase space coded to research
  - Reduce dollars coded to research
Space and F&A

Main “Research” Buildings:
• Mathematics and Science Center
• Grace Crum Rollins Building
• Winship Cancer Institute
• Woodruff Memorial Research Building
• Wayne Rollins Research Center
• Whitehead Biomedical Research Building
• Atwood Chemistry Center
• Psychology Building
• Emory Children’s Center
• Claudia Nance Rollins Building
• Emory Clinic Building – B
• New Health Sciences Building
Space and F&A

- Off-Campus Space
- Off-Campus, Adjacent Space
- Leased Space
What are Fringe Rates

- Fringe rates are a mechanism used by the University to recover the costs of fringe benefits for university employees.
- Costs are pooled, and applied to each individual (via their salary dollars) regardless of actual benefits used by each individual employee.
  - Staff member, married with 8 kids, will incur more benefits than single staff member with 0 kids. Same fringe rate applied to both.
  - Pooling mechanism designed to reduce the administrative burden of calculating benefits costs for each unique individual.
Accounting for Fringe Rates

- The fringe rate is applied via an account code in PeopleSoft.

- The rate charged (and account code charged) for fringe is based on the salary account code....which in turn is determined by the job code and other attributes.

- Federal and non-federal sponsored projects pay fringe rates as direct charges.

- Example:
  - Tenured Professor: Salary for July: $1,000 charged to account code 50110.
  - Fringe account code 51914 charged: $247 (this account code automatically carries a 24.7% rate).
Benefit costs for Faculty, Staff, and Post Docs include the following:

- Health Insurance
- Unemployment Insurance
- Workers Compensation
- Pensions (403b)
- Disability Insurance
- Tuition Reimbursement
- Group Life Insurance
- Benefits Administration
- FICA Taxes
Benefit costs for Residents include:

- FICA Taxes
- Health Insurance
- Disability & Life Insurance
- Parking
- Benefits Administration
Part-Time gets these benefits

- FICA Taxes
FY17 Fringe Rates

- Faculty/Staff/Post Docs
  - Federal: 24.70%
  - Nonfederal: 27.25%

- Resident
  - Federal: 14.90%
  - Nonfederal: 20.00%

- Part-Time
  - Federal: 7.65%
  - Nonfederal: 7.65%
Fringe Rate Calculation

- Start with wages from the financial statements
- Break out the wages between the three fringe “groups”
- Wages serve as the denominators for the calculation
- Numerators are the actual fringe costs incurred by that group
- Rates are then calculated for each group.
Fringe Rate Negotiations

- Proposal prepared by the Office of Cost Studies on an annual basis.

- Submitted to the Federal Government by the end of March.

- Typically negotiated during the summer, such that rates are in place for the next fiscal year.

- Carryforward means over (or under) recoveries from two years ago are incorporated into current year rate calculations
  - FY15 under-recovery applied as an expense in FY17 projected figures (which are used to estimate and negotiate FY17 rates).
The Flow of Fringe

Vendor → Emory Controller’s Office → Employees

Grants → Emory Departments
What are Service Centers

- Units which perform specific technical or administrative goods and/or services for the benefit of other units within a reporting unit and charge a fee.

- They include “specialized service facilities,” “recharge centers,” and “core facilities.”

- A business operating within the University at break-even.
Characteristics of Service Centers

- Can you define a measurable unit of output for what you are going to sell?
- Can you easily and accurately measure the amount of a product or service you are providing?
- Can you bill on a regular basis for actual usage?
Calculating the Rate

- High level: Costs/Usage = Rate
- Internal (Emory) users can be charged at or below cost.
- External users can be charged at, below, or above cost.
Costs that go into the rate include:

- Salaries and Wages of faculty/staff working on the center.
- Fringe Benefits
- Supplies and Materials
- Repairs and Maintenance
- Carry-Forward of Surpluses or Deficits
Examples of measurable units

- Labor Hour
- Machine Hour
- Test
- Sequence
Working Capital

- Funds that are accumulated in excess of actual cost in order to fund future operating expenditures/expansion.

- Surplus should not exceed 60 days of working capital.
External Sales

- Centers may charge higher rates to external users, and the profit will be retained by the center.

- This additional income is not used in the carryforward balances but should be recovered in a separate account that can be used to replenish equipment.

- Sales tax will be collected in certain circumstances for some types of sales to external users.

- Unrelated Business Income Tax (UBIT) is a tax charged on external sales that do not meet certain prescribed exemptions.
Administration Issues

- Centers should use the same account for all of their revenue and expenses to aid in reconciliation and documentation.

- Reconciliation should be done at least bi-annually, but ideally every year.
Billing and Receivables

- Usage logs may be used to generate the billing and should track:
  - Account numbers/Customer charged
  - Services performed or products sold
  - The rate charged

- Billing should be in a timely manner and based on actual usage.
Auditor Findings

- User rates set arbitrarily without regard to actual costs.
  - User rates must be supported by cost calculations based on historical costs and service levels.

- User bills don’t carry sufficient detail to identify the services provided.

- Surplus/deficit from prior year not taken into account

- Cost calculations not on file, or didn’t match website.

- Service center mechanism used to charge indirect costs.
Asset Management

- Types/Definitions
- Manage Equipment transactions
  - Acquisitions Disposal
    - Financial management
    - Physical management
Moveable Equipment

- Moveable and life >1 year
- Cost is $5,000-unit/system
  - **Fabricated Equipment**- Assembled from individual parts that operate as one unit.
  - **Integrated System**- Treated as a system if the use of each item is interdependent of the other and non-functional without all items combined.
- Barcoded “**Property of Emory University**”
Fixed Equipment

- Fixed- Installed into the building
- Any cost
- Life is > 1 year
- Not barcoded
Cost of Equipment

- Cost includes:
  - Purchase price
  - Discount
  - Shipping & handling
  - Installation

- Cost excludes:
  - Maintenance & warranty costs
  - License fee’s
Moveable Equipment (Federal Funded)

Circular A-110/UG

- (a) Title to equipment acquired by a recipient with Federal funds shall vest in the recipient, subject to conditions of this section.

- (b) The recipient shall not use equipment acquired with Federal funds to provide services to non-Federal outside organizations for a fee that is less than private companies charge for equivalent services, unless specifically authorized by Federal statute, for as long as the Federal Government retains an interest in the equipment.

- (c) The recipient shall use the equipment in the project or program for which it was acquired as long as needed, whether or not the project or program continues to be supported by Federal funds and shall not encumber the property without approval of the Federal awarding agency. When no longer needed for the original project or program, the recipient shall use the equipment in connection with its other federally-sponsored activities, in the following order of priority: (i) Activities sponsored by the Federal awarding agency which funded the original project, then (ii) activities sponsored by other Federal awarding agencies.

- (d) During the time that equipment is used on the project or program for which it was acquired, the recipient shall make it available for use on other projects or programs if such other use will not interfere with the work on the project or program for which the equipment was originally acquired. First preference for such other use shall be given to other projects or programs sponsored by the Federal awarding agency that financed the equipment; second preference shall be given to projects or programs sponsored by other Federal awarding agencies. If the equipment is owned by the Federal Government, use on other activities not sponsored by the Federal Government shall be permissible if authorized by the Federal awarding agency. User charges shall be treated as program income.
Accounting for Purchased Equipment

- Capital account codes used in Emory Express
  - Account 75200-Cap Purch-Moveable
  - Account 75210-Cap Purch-Vehicles
  - Account 75220-Cap Purch-Fixed
  - Account 75225-Cap Purch-Non-Title
Managing Equipment - Financial

- **Financial Transactions (75XXX)**
  - Prepare Journal Entry Record in Asset Module
    - **Reclassify** into/out of capital equipment account
    - **Transfers** in/out of sponsored project

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![Journal Entry Detail Report]

<table>
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<tr>
<th>Description</th>
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<th>Reversal Date</th>
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**Foreign Currency**: USD

**Rate Type**: ORRNT

**Effective Date**: 2012-06-18

**Exchange Rate**: 1

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<th>Line</th>
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<th>Dept</th>
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**Totals**

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<th>Business Unit</th>
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<td>EMUNV</td>
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<td>$19,691.67</td>
<td>$19,691.67</td>
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</table>

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Managing Equipment - Physical

- Physical Inventory - Every 2 years

http://www.ogca.emory.edu/Cost_Studies/equipment.cfm

**Reporting Changes to Equipment Records:**

Changes to Equipment Records apply in the following situations:

- Equipment is sent to surplus
- Requesting to surplus non-title equipment
- Equipment was sold
- Equipment was transferred to another institution
- Equipment was moved to another location
- Equipment was traded-in or exchanged
- Equipment is being loaned to another department/institution
- Equipment is lost/stolen or obsolete.

Please use the change/disposal form to communicate any changes in status of equipment prior to their next inventory. This information will be routed to the Property Management office, and a confirmation notice will be emailed to the requestor.

**Communication is**
Disposing Moveable Equipment

- Surplus Property – University/Hospital equip ONLY
  - Campus Services – Work Request
    - [http://www.campserv.emory.edu/facilities_management/exterior_services/surplus.html](http://www.campserv.emory.edu/facilities_management/exterior_services/surplus.html)

**e-surplus TRANSFER FORMS**

*Note:* This form is for capital equipment transfer only. If items are not capital equipment please contact Customer Service to submit a work order by Phone 404-727-7463, Fax - 404-727-2172 or web-request (on-line) Campus Services – Work Request.

- **University**
  - If items are capital equipment (valued at $4,999+) notify Grants and Contracts’ Inventory Control Office of any Emory equipment status changes. Providing this information will delete these items from your departments’ Asset List on the Property Management System Inventory Report maintained by Grants and Contracts.

- **Hospital**
  - If items are capital equipment (valued at $2,000+) notify the Finance Accounting Office of any Emory equipment status changes. Providing this information will delete these items from your department’s Asset List on the Property Management System Inventory Report maintained by the Finance Department.

*Note:* Please note that departments who transfer items to Campus Services’ Surplus Property Inventory receive NO REVENUE for their property. If items are currently under a maintenance contract, please be certain that you terminate the contract.

[Continue ...]
Non-title Equipment

- State/Federal equipment
  - Barcode dictates ownership
    - UGA, GSU, GRA, GT, CDC, VA, etc..
  - **Every** University has their own procedures
  - **DO NOT** use Surplus Property at Emory

- **Contact us**
  - email
  - Change/Disposal form
EFFORT CERTIFICATION
Outline

- What is effort certification?
- Why do we certify effort?
- OMB Circulars
- Effort Commitments
- Institutional Base Salary (IBS)
- Cost Sharing
- Salary Caps
- Cost Transfers
- Roles
- Effort certification at Emory
- Best Practices
- Red Flag Issues
What is effort certification?

- Method to ensure that salary being paid from an award aligns with the work being done on the award
- A way to show that time committed to a project is actually performed as committed
What is effort certification?

- Effort is usually expressed as a percentage

- Certification forms will normally show the payroll percent along with the effort percent

- These forms are then either signed (on paper) or certified electronically (if an effort system is being used)
Why do we certify effort?

- Federal requirement that effort is certified
- Certification provides a “receipt” that validates work was performed in accordance with the charges and the work was performed as promised
- Additionally, the certification process helps the university ensure that costs are:
  - Allowable
  - Allocable
  - Accurate
Uniform Guidance

• Applicable to awards received after 26 DEC 2014
• §200.430.h.8
  – Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated
  – Reasonably reflect the total activity for which the employee is compensated, not exceeding 100% of compensated activities
  – Support the distribution of the employee's salary among specific activities
  – records may reflect categories of activities expressed as a percentage distribution of total activities
Uniform Guidance

Uniform Guidance

- New circular no longer has examples of acceptable systems of documentation
- No mention of documentation periods
- No mention of who must verify, simply states that records must “accurately reflect the work performed”
Institutional Base Salary (IBS)

- Discussed in section §200.430.h.2 of the new Uniform Guidance
- “IBS is defined as the annual compensation paid by an IHE for an individual's appointment, whether that individual's time is spent on research, instruction, administration, or other activities. IBS excludes any income that an individual earns outside of duties performed for the IHE.”
Institutional Base Salary (IBS)

- Basis for calculating percentages
- Regular salary payments
  - Exclude supplemental payments or bonus pay
- Does not include externally compensated payments
  - Consulting work done outside the university
- Each university may vary slightly in IBS makeup
Consulting, VA, & Other Externally Compensated Activities

Non-Sponsored Project University Activities (Teaching, Administration, Committee Service, Clinical Activities, Writing New Proposals, etc.)

Sponsored Projects Activities

Industry Grant  
NSF Grant  
NIH Grant  

Total University Effort
Effort Commitments

• When a proposal is submitted, effort is committed for key personnel
• The amount of commitment that is on the final award needs to be met
• For federal awards, this committed amount should not be reduced by 25% or more without agency approval (§200.308.c.3)
• Effort certification process should allow you to compare committed effort to payroll percentages
• Important to compare total effort to avoid over-commitments or effort overlap
Effort Commitments

- Example of effort overlap

Award #1 (50%)
Award #2 (10%)
Award #3 (30%)
Award #4 (30%)

90% 120%
Expressed As a Percentage

\[
\text{Time spent on one particular activity} \quad \frac{1}{\text{Time spent on all activities for which an individual is compensated by their IBS}} = \times \% \\
\]

Sponsored Agreements: Research, Training, Other Sponsored Activities
Non Sponsored Activities: Teaching, Instructional, Department Research, Administration, Public and Community Service, Clinical

This is the basis for projecting effort or certifying effort. This is what constitutes 100% effort.
Effort Percent

- 100% Effort = Total Time Estimated for all university activities, i.e., only those activities compensated by the Institutional Base Salary
- Excluded from effort reporting is any compensation received from sources other than the Institution
- 100% Effort ≠ 40 hours ≠ 60 hours ≠ 10 hours, etc.
- No fixed work week
Cost Sharing

• Cost-share is the portion of any work performed on an award that is not paid for by the agency
• It may be voluntary or required
• Effort process must have a way to record amount of cost-share on an award
• Example
  – Committed 30% effort on an award
  – During review you see only 10% of salary on award
  – If the 30% work performed, either cost transfer or cost share
• The PHS salary cap usually requires some amount of cost-share
Salary Caps

• Maximum amount that can be paid from an award is determined by the federal executive pay scale – Executive Level II

% time on award \times \text{Salary Cap Amount} = \text{Maximum pay on that award}
Salary Caps

• Applies to all PHS agencies *(except *)
  – National Institutes of Health (NIH)
  – Agency for Healthcare and Research Quality (AHRQ)
  – Centers for Disease Control and Prevention (CDC)
  – Health Resources and Services Administration (HRSA)
  – Substance Abuse and Mental Health Services Administration (SAMHSA)
  – Administration for Children and Families (ACF)
  – Administration on Children, Youth, and Families (ACYF)
  – Administration on Aging (AoA)
  – Agency for Toxic Substances and Disease Registry (ATSDR)
  – Centers for Medicare and Medicaid Services
  – Food and Drug Administration (FDA)*
  – Indian Health Service (IHS)*
• Currently set at $185,100
Salary Caps

- **Example**
  - Annual PI salary: **190,000**
  - Effort Level: **10%** (actual, not committed or paid)
  - Award Issue Date: FEB 11, 2016 (latest cap started 1/10/16)
  - CDC award (PHS agency)
  - Cap to use: Executive Level II - **185,100** (new cap)
  - Capped amount for effort period: **92,550** (185,100 ÷ 2)
  - Maximum pay for effort period: **9,250** (10% effort x 92,550)
  - If pay on this award exceeds $9,250, the excess will need to be moved off or the percent of time on the award would need to be higher with cost-share.
Cost Transfers

- During review of effort, corrections are often needed in the form of cost transfers.
- Any changes made after effort records are created need to update effort forms.
- Aim to correct HR distribution records so that payroll hits correctly moving forward.
- Items to consider:
  - Over-reduction of committed effort (>=25%)
  - Moving costs that have already been reported
  - Moving costs past internal deadlines
K Awards

- NIH K awards have special effort requirements
  - Effort percentage listed is minimum requirement, usually 75%
  - Cannot be reduced (25% rule does not apply)
  - All effort does not need to be shown on K award, can include other federal research
  - Most K awards will require that the remaining effort (25%) be devoted to pursuits consistent with the goals of the K award (developing an independent researcher)
Roles

• Emory has the following roles for effort certification:
  – Central Administrator
    • Create effort forms
    • Monitor compliance rates
    • Assist with issues
    • Produce reports
  – Division Head (School)
    • Reviews compliance at the school level
    • Runs school-level reports
    • Able to re-assign within the school (OU)
  – Department Administrator
    • Reviews compliance at the department level
    • Runs department-level reports
    • Able to re-assign within the department
Roles

- Pre-Reviewer
  - Someone closer to the activity
  - Understands the accounting
  - Familiar with grants in department/unit
  - Perform cost transfers, salary cap adjustments, overall review

- Certifier
  - Person performing work on grant
  - Main concern should be do the percent match how I worked
  - Review form and certify
Effort Certification at Emory

• Approximately 4,600 forms in a given period
• Certify all employees paid on sponsored projects every 6 months
• Use a web-based effort certification system
• Effort system used for certifying effort & recording cost-share
• Any salary cost transfers are done in custom page of financial system and update effort forms
• Cost transfer deadlines is 90 days after the end of the effort period
• All forms must be certified 90 days after end of reporting period
Best Practices

• Review effort while you still recall how you spent your time
• Work closely with faculty to understand what projects are ending and new ones starting up
• Update HR distribution records as quickly as possible to avoid cost-transfers
• When documenting comments with the effort, keep in mind that they may be audited
• Keep track of faculty commitments to avoid running out of available time
Red Flag Issues

• Late effort reports
• Effort certified by someone without first-hand knowledge of the work performed
• Percentage left outside of sponsored project % not credibly sufficient to cover teaching, clinical, administrative or other university work.
Red Flag Issues

• Many post certification revisions
• Significant data inconsistency between effort report and other documentation such as:
  – Clinical time reports
  – Outside activity forms
  – Other support forms
  – Leave reports
Red Flag Issues

• Cost Transfers
  • Red flag to auditors as an indicator of how well sponsored programs are being managed
    – Could signal lack of adequate controls
    – A significant volume of cost transfers may call into question the appropriateness of charging practices
    – Adverse Salary adjustments for a previously certified effort period questions the reliability of the certification process
  • Must be well documented as to why and how the error occurred
Effort Reporting System (ERS)

- Cost-share recorded in the CS column
- Salary cap icon will indicate possible over-the-cap situation
- Drill down on payroll to see details
- RST’s done in RST page
Retroactive Salary Transfers (RSTs)

- RSTs entered through custom page in Compass
- Enter EMPLID and date range then SEARCH
- Select payroll line you would like to move
Retroactive Salary Transfers (RSTs)

- Choose SK where charges are being moved
- Enter amount being moved (balance shown)
- Enter justification and attachment (save/submit)
GRANT REPORTING
Grants Reporting

Reporting Home

Grants reporting at Emory is made up of various reports and queries found across multiple systems. Most reports can be found in the Emory Business Intelligence (EBI) tools. If you do not yet have access to EBI, you will need to take the online Business Intelligence Navigation course in Emory Learning Management (eLMIS). To help you determine which report will provide the needed data, refer to our Reporting Guide or click on a report below for more information.

Key Grants Reports in EBI

- Award Analysis Report
- Budget Transaction Detail Report
- Budgeted Position Summary & Detail Report
- Encumbrance Transaction Detail Report
- Labor Transaction Detail Report
- Revenue & Expense Transaction Detail Report
- Sponsored Projects Financial Trend Report
- Sponsored Research Financial Summary Report

Other Reports

- Grants Quick View Pages
- Awards Manager Page
- Grant Queries
- iVision Reports
- A-133 Audit Reports
# Grants Reporting

## Reporting Guide

Refer to the guide below for help in finding grants-related information in our current reports:

<table>
<thead>
<tr>
<th>Data Needed</th>
<th>Report Type</th>
<th>Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Available</td>
<td>EBI</td>
<td>Budget Transaction Detail Report</td>
</tr>
<tr>
<td>Transaction Details</td>
<td>EBI</td>
<td>Revenue &amp; Expense Transaction Detail Report</td>
</tr>
<tr>
<td>Cash Received</td>
<td>Query</td>
<td>EU_GM_CASH_FOR_A_CONTRACT</td>
</tr>
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<td>Cash Balance</td>
<td>EBI</td>
<td>In Progress</td>
</tr>
<tr>
<td>Employees Paid From Projects</td>
<td>EBI</td>
<td>Labor Transaction Detail Report</td>
</tr>
<tr>
<td>Award Data For a PI</td>
<td>EBI</td>
<td>Award Analysis Report (Awards Tab)</td>
</tr>
<tr>
<td>Expense Data For a PI</td>
<td>EBI</td>
<td>Award Analysis Report (Expenses Tab)</td>
</tr>
<tr>
<td>PI Committed Effort</td>
<td>Quick View</td>
<td>Quick View PI Page</td>
</tr>
<tr>
<td>Burn Rate</td>
<td>Quick View</td>
<td>Quick View Project Page</td>
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</tbody>
</table>
Grants Reporting

• Emory Business Intelligence (EBI)
• nVision Reports
• Custom Reports
• Queries
• Grants Quick View
• Contract Manager
Grants Reporting
Emory Business Intelligence (EBI)
Grants Reporting (EBI)
Award Analysis Report – Awards (Graphs)

Several types of graphs available for awards
### Grants Reporting (EBI)

#### Budgeted Position Report (SPP)

Expenditure data by account with budget available.
Grants Reporting (EBI)
Budget Transaction Detail Report

Allows you to view all the budget transactions for a given department, award, project, PI.
Grants Reporting (EBI)

Encumbrance Transaction Detail Report

Allows you to view subcontracts, the total amount contracted, and the amount spent.
Grants Reporting (EBI)
Revenue & Expense Transaction Detail Report

<table>
<thead>
<tr>
<th>Serial #</th>
<th>Account</th>
<th>Department</th>
<th>Project</th>
<th>Fund Code</th>
<th>Program</th>
<th>Event</th>
<th>Journal Id</th>
<th>Journal Date</th>
<th>Accounting Period</th>
<th>Fiscal Year</th>
<th>Journal Created by</th>
<th>Journal Line Desc</th>
<th>Journal Line Ref</th>
<th>Expense Report Traveler</th>
<th>Vendor Desc</th>
<th>PO ID</th>
<th>Voucher Id</th>
<th>Invoice Num</th>
<th>Monetary Amount ($)</th>
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<tbody>
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<td>0000034385</td>
<td>53300-</td>
<td>Supplies - Lab/Technical</td>
<td>725500- SOM: Microbiology/Immunology</td>
<td>0006251-</td>
<td>T Cell Affinity for Myelin Con</td>
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<td>0000 AP00467276</td>
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</table>

Allows you to view individual transactions for a project, dept, award, PI, etc.
Grants Reporting (EBI)
Labor Transaction Detail Report

Select either Pay Date Range or Post Date Range:
- Fund Group
- Pay Date
  - Between [ ]
- Fund
- Post Date
  - Between [ ]
- Smartkey
  - (All Column Value)

* Indicates Required Prompt

Advanced Prompts:
- * Account Tree
  - AOCCTRLL_UP
- Account Group
  - (All Column Value)
- Account
  - (All Column Value)
- * Department Tree
  - DEPTDIST
- Fund Tree
  - FUND_BIDW
- Fund Group
  - (All Column Value)
- Fund Code & Desc
  - (All Column Value)
- Earnings Code
  - (All Column Value)
- Source ID
  - (All Column Values)
- Event
  - (All Column Value)
- Program
  - (All Column Value)

Labor Transaction Detail Report
Pay Date Range is: 06/01/2014, 06/30/2014 Post Date Range is:
Date run: 6/30/2014

Account Summary

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<tr>
<th>Account</th>
<th>Employee ID</th>
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<th>Charge Department</th>
<th>Fund</th>
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<th>Source ID</th>
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<th>Hours</th>
<th>Earnings Amount ($)</th>
<th>Fringe Amount ($)</th>
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Emory University Research Administration
Grants Reporting (EBI)
Sponsored Research Financial Summary

<table>
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<tr>
<th>Award</th>
<th>Contract Type</th>
<th>Award Begin Date</th>
<th>Award End Date</th>
<th>11000-Claim on Internal Cash</th>
<th>11330-Research Participant Payment Fund</th>
<th>14660-A/R-Unbilled Sponsored Research</th>
<th>Other Assets</th>
<th>25700-Deferred Revenue Sponsored Research</th>
<th>Other Liabilities</th>
<th>LTD Budget ($)</th>
<th>LTD Encumbrance ($)</th>
<th>LTD Expense ($)</th>
<th>LTD Available Balance ($)</th>
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<td>-</td>
<td>01/01/1975</td>
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</tbody>
</table>

Shows both cash balance and budget available. Can drill-down to project.
Grants Reporting (EBI)
Sponsored Research Financial Summary

<table>
<thead>
<tr>
<th>Award</th>
<th>Operating Unit</th>
<th>Department</th>
<th>Project</th>
<th>Project Begin Date</th>
<th>Project End Date</th>
<th>11100-Claim on Internal Cash</th>
<th>11330-Research Participant Payment Fund</th>
<th>14650-A/R -Unbilled Derived Sponsored Research</th>
<th>Other Assets</th>
<th>Other Liabilities</th>
<th>LTD Budget ($)</th>
<th>LTD Encumbrance ($)</th>
<th>LTD Expense ($)</th>
<th>LTD Available Balance ($) Favorable / (Unfavorable)</th>
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<tr>
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<td>B31000-ECAS: Biology</td>
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Grand Total: 0.00 291.83 0.00 0.00 0.00 0.00 1,321,917.39 388.33 1,266,037.01 55,492.05

Drilling down on an award shows details by project.
Grants Reporting (EBI)
Sponsored Projects Financial Trend

| Type          | Category | Direct Costs | Account | Account Desc                | Employee ID | Employee Name     | Jobcode         | 1. LTD BUDGET ($) | 2. LTD EXPENSES ($) | 3. LTD ENCUMBRANCE ($) | LTD Available Balance ($) |
|---------------|----------|--------------|---------|-----------------------------|-------------|-------------------|------------------|-------------------|-----------------------|----------------------------|
| Salary Expense|          | 50350        | Sal - Post-Doctoral           | 0390010      | Lobb, Collin J      | Post Doctoral Fellow | 0.00             | (400.00)          | (200.00)              | (200.00)                  | (200.00)                   | (430.00)                   | 0.00                     | (1,630.00)               |
| Fringe        |          | 51914        | Benefits - Fringe Pool Exp    | 0390010      | Lobb, Collin J      | Post Doctoral Fellow | 0.00             | (56.40)           | (49.20)               | (56.40)                  | (49.20)                    | (56.40)                    | 0.00                     | (400.98)                |
| Supplies      |          | 53210        | Supplies - Computer Exp       |              |                          |                  | 0.00             | 0.00              | 0.00                  | 0.00                    | 0.00                       | 0.00                       | 4,024.04                | 4,024.04                 |
| Supplies      |          | 53300        | Supplies - Lab/Technical      |              |                          |                  | 0.00             | 0.00              | 0.00                  | 0.00                    | 0.00                       | 0.00                       | 4,024.04                | 4,024.04                 |
| Other Expense |          | 58130        | BDG-Other Expense            |              |                          |                  | 156,498.00       | 0.00              | 0.00                  | 0.00                    | 0.00                       | 0.00                       | 156,498.00              | 156,498.00               |
| Other Expense |          |              |                                   |              |                          |                  | 156,498.00       | 0.00              | 0.00                  | 0.00                    | 0.00                       | 0.00                       | 156,498.00              | 156,491.06               |

Expenses across periods, can include labor details
Grants Queries

• Many queries available, sometimes can be confusing
Grants Quick View

Simple, quick, pages by:

- PI
- Award
- Project
## PI Summary 0353347 Vaccarino, Laura V

<table>
<thead>
<tr>
<th>View Award</th>
<th>Award No.</th>
<th>Reference No.</th>
<th>Sponsor</th>
<th>Title</th>
<th>Awarded Amount</th>
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<th>End Date</th>
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<td>POSTTRAUMATIC STRESS DISORDER AND CARDIOVASCULAR DISEASE</td>
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<td>View Award</td>
<td>0000001422</td>
<td>5K24HL07750605</td>
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<td>MIND-BODY INTERACTION (24-HL077506_</td>
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<td>1R21HL093665-02</td>
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<td>426,250.00</td>
<td>04/15/2009</td>
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## Grants Quick View

### Proposals – PI Page

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<th>Proposal No.</th>
<th>Sponsor</th>
<th>Title</th>
<th>Type</th>
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<th>Proposal Status</th>
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<td>Mental Stress and Myocardial Ischemia After MI: Sex Differences and Mechanisms</td>
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<td>Stress Reduction with Meditation and Vascular Function in Obese African Americans</td>
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<td>Continuation</td>
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<td>Submitted</td>
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<tr>
<td>View Proposal</td>
<td>0000015508</td>
<td>NIH NATL INSTITUTE OF HEALTH</td>
<td>Mental Stress and Myocardial Ischemia After MI: Sex Differences and Mechanisms</td>
<td>New-Resubmission</td>
<td>07/05/2011</td>
<td>Submitted</td>
</tr>
</tbody>
</table>
## Committed Effort - PI Page

<table>
<thead>
<tr>
<th>View Project</th>
<th>Project</th>
<th>Title</th>
<th>End Date</th>
<th>Committed Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Project</td>
<td>00002883</td>
<td>CAREGIVER STRESS: INTERVENTIO</td>
<td>07/31/2014</td>
<td>1 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00011451</td>
<td>NEURAL CIRCUITS IN WOMEN WITH</td>
<td>04/30/2012</td>
<td>5 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00008112</td>
<td>Decelerated Biological Aging</td>
<td>03/31/2012</td>
<td>0 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00003455</td>
<td>COMPARISON OF DEPRESSION INTER</td>
<td>07/31/2012</td>
<td>10 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00003429</td>
<td>Proj 1 - MENTAL STRESS ISCHEMI</td>
<td>05/31/2015</td>
<td>20 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00002052</td>
<td>MIND BODY INTERACTIONS IN CARD</td>
<td>05/31/2014</td>
<td>35 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00000217</td>
<td>MECHANISMS LINKING DEPRESSION</td>
<td>07/31/2012</td>
<td>10 %</td>
</tr>
<tr>
<td>View Project</td>
<td>G5426800</td>
<td>SEX DIFFERENCES IN MYOCARDIAL</td>
<td>03/31/2012</td>
<td>5 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00011293</td>
<td>Mechanism Linking Depression</td>
<td>07/31/2012</td>
<td>8 %</td>
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<tr>
<td>View Project</td>
<td>00017845</td>
<td>NEURAL CIRCUITS IN WOMEN WITH</td>
<td>04/30/2012</td>
<td>5 %</td>
</tr>
<tr>
<td>View Project</td>
<td>00019602</td>
<td>Mind-Body Interactions in Card</td>
<td>05/31/2012</td>
<td>0 %</td>
</tr>
</tbody>
</table>

**Total Committed Effort:** 99 %
# Grants Quick View

## Award Page

**Award Summary**

<table>
<thead>
<tr>
<th>Title:</th>
<th>MIND BODY INTERACTIONS IN CARDIOVASCULAR DISEASE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ref Award No:</td>
<td>5K24HL077506-08</td>
</tr>
<tr>
<td>Principal Investigator:</td>
<td>Vaccarino, Laura V</td>
</tr>
<tr>
<td>Sponsor:</td>
<td>NIH NATL INSTITUTE OF HEALTH</td>
</tr>
<tr>
<td>Purpose:</td>
<td>RSRCH</td>
</tr>
<tr>
<td>Award Status:</td>
<td>ACTIVE</td>
</tr>
</tbody>
</table>

**Start Date:** 09/01/2009  
**End Date:** 05/31/2014  
**Awarded Amount:** 906,836.00  
**Direct:** 500,537.00  
**Indirect:** 40,043.00  
**Balances as of:** 02/29/2012

### Balances

<table>
<thead>
<tr>
<th>View Project</th>
<th>Project</th>
<th>Status</th>
<th>Title</th>
<th>Budget</th>
<th>Expenses</th>
<th>Encumbrances</th>
<th>Available Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>View Project</td>
<td>00002052</td>
<td>Open</td>
<td>MIND BODY INTERACTIONS IN CARD</td>
<td>533,805.00</td>
<td>400,072.71</td>
<td>0.00</td>
<td>133,732.29</td>
</tr>
<tr>
<td>View Project</td>
<td>00010846</td>
<td>Closed</td>
<td>MIND BODY INTERACTIONS IN CARD</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>View Project</td>
<td>00019602</td>
<td>Open</td>
<td>Mind-Body Interactions in Card</td>
<td>6,775.00</td>
<td>4,243.95</td>
<td>0.00</td>
<td>2,531.05</td>
</tr>
</tbody>
</table>

**Award Totals:**  
540,580.00  
404,316.66  
0.00   
136,263.34

[Go to PI View]
<table>
<thead>
<tr>
<th>Account</th>
<th>Description</th>
<th>Budget</th>
<th>Expenses</th>
<th>Encumbrances</th>
<th>Available</th>
</tr>
</thead>
<tbody>
<tr>
<td>50050</td>
<td>BDG-Salary Expense</td>
<td>345,351.00</td>
<td>0.00</td>
<td>0.00</td>
<td>345,351.00</td>
</tr>
<tr>
<td>50110</td>
<td>Sal - Faculty-Tenured</td>
<td>0.00</td>
<td>192,951.65</td>
<td>0.00</td>
<td>-192,951.65</td>
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<tr>
<td>50120</td>
<td>Sal - Faculty-Nontenured</td>
<td>0.00</td>
<td>10,343.50</td>
<td>0.00</td>
<td>-10,343.50</td>
</tr>
<tr>
<td>50230</td>
<td>Sal - Grad Student FICA Exmpt</td>
<td>0.00</td>
<td>15,675.63</td>
<td>0.00</td>
<td>-15,675.63</td>
</tr>
<tr>
<td>50240</td>
<td>Sal - Work Study FICA Exmpt</td>
<td>0.00</td>
<td>181.37</td>
<td>0.00</td>
<td>-181.37</td>
</tr>
<tr>
<td>50310</td>
<td>Sal - Prof Nonfaculty</td>
<td>0.00</td>
<td>55,606.05</td>
<td>0.00</td>
<td>-55,606.05</td>
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<tr>
<td>50360</td>
<td>Overtime Pay</td>
<td>0.00</td>
<td>9.37</td>
<td>0.00</td>
<td>-9.37</td>
</tr>
<tr>
<td>51800</td>
<td>Student Wages</td>
<td>83,464.00</td>
<td>0.00</td>
<td>0.00</td>
<td>83,464.00</td>
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<tr>
<td>51914</td>
<td>Benefits - Fringe Pool Exp</td>
<td>0.00</td>
<td>64,650.61</td>
<td>0.00</td>
<td>-64,650.61</td>
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<tr>
<td>52622</td>
<td>Med Illus-Graph Design</td>
<td>0.00</td>
<td>56.25</td>
<td>0.00</td>
<td>-56.25</td>
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<tr>
<td>52910</td>
<td>Purch Svs Exp - Interco</td>
<td>0.00</td>
<td>73.62</td>
<td>0.00</td>
<td>-73.62</td>
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<tr>
<td>53000</td>
<td>BDG-Supplies</td>
<td>18,400.00</td>
<td>0.00</td>
<td>0.00</td>
<td>18,400.00</td>
</tr>
<tr>
<td>53300</td>
<td>Supplies - Lab/Technical</td>
<td>0.00</td>
<td>4,708.25</td>
<td>0.00</td>
<td>-4,708.25</td>
</tr>
</tbody>
</table>
Grants Quick View

* Burn Rate, SK, & Team – Project Page*

**Burn Rates**

- **Monthly Budgeted Burn Rate**: 9,365.00
- **Actual Monthly Burn Rate**
  - **Salary**: 9,158.92
  - **Equipment**: 0.00
  - **Other**: 4,176.84
  - **Totals**: 13,335.76
- **Actual / Budgeted**: 142%

* Total Budget divided by # of months

**Smartkey(s)**

<table>
<thead>
<tr>
<th>SmartKey</th>
<th>Eff Date</th>
<th>Fund</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>0000023352</td>
<td>01/01/1901</td>
<td>5200</td>
<td>Active</td>
</tr>
<tr>
<td>0000028662</td>
<td>01/01/1901</td>
<td>5200</td>
<td>Active</td>
</tr>
</tbody>
</table>

**Project Team**

<table>
<thead>
<tr>
<th>Project Team Members</th>
<th>Role</th>
<th>Committed Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vaccarino,Laura V</td>
<td>Principal Investigator</td>
<td>35 %</td>
</tr>
</tbody>
</table>
### Contract Manager Page

#### Contract Manager

<table>
<thead>
<tr>
<th>Contract</th>
<th>000020003</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>2011-003 ENDEAVOR - Randomized, Open-label, Phase 3 Study of Carfilzomib Plus Dexta</td>
</tr>
<tr>
<td>Status</td>
<td>ACTIVE</td>
</tr>
<tr>
<td>Sponsor</td>
<td>ONYX PHARMACEUTICALS</td>
</tr>
<tr>
<td>PI</td>
<td>Hefner Jr., Leonard T</td>
</tr>
</tbody>
</table>

#### Milestone Status

End Date: 10/17/2016

#### Balances [Pro Resource]

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>End Date</th>
<th>Budget</th>
<th>Expense</th>
<th>Encumbrance</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>00026694</td>
<td>OPEN</td>
<td>10/17/2016</td>
<td>13,815.00</td>
<td>13,920.54</td>
<td>0.00</td>
<td>-105.54</td>
</tr>
</tbody>
</table>

**Totals**

- Budget: 13,815.00
- Expense: 13,920.54
- Encumbrance: 0.00
- Balance: -105.54

#### Limits

- Billing Limit: 13,815.00
- Awarded Amount: 13,815.00

#### Bill Plans

<table>
<thead>
<tr>
<th>Billing Plan ID</th>
<th>Invoice Form</th>
<th>Cycle ID</th>
<th>Billing Status</th>
<th>Personalize</th>
<th>Find</th>
<th>View All</th>
<th>$1</th>
<th>Page</th>
<th>First</th>
<th>1 of 3</th>
<th>Last</th>
</tr>
</thead>
<tbody>
<tr>
<td>B101</td>
<td>NOPRINT</td>
<td></td>
<td>In Progress</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>B102</td>
<td>EUSTDEVENT</td>
<td></td>
<td>Completed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>B103</td>
<td>EUSTDEVENT</td>
<td></td>
<td>Completed</td>
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<td></td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

**Totals**: 13,815.00

#### Billing Summary

- Cost Reimbursable:
  - View Billed Amount: 155.65
  - View Billed Amount: 13,519.67
  - View Over Limit: 245.22
  - View Prepaid Utilization (Billing): 13,519.67

**Invoice Status**

- Entry Type: IN
  - Item Status: Closed
  - Original Item Amount: 13,815.00
  - Item Balance: 0.00

**Oldest Item(s)**

- Entry Type: IN
  - Item
  - Balance

**Cash Receipts**

- Cash Applied: 13,815.00
### Balance Sheet (GL)

**Balances as of: 10/09/2014**

<table>
<thead>
<tr>
<th>Account</th>
<th>Description</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>11000</td>
<td>Claim On Internal Cash</td>
<td>-105.54</td>
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<tr>
<td>14660</td>
<td>A/R - Unbilled Sponsored Rsrch</td>
<td>155.65</td>
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</table>

**Total Assets**

<table>
<thead>
<tr>
<th>Account</th>
<th>Description</th>
<th>Balance</th>
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</thead>
<tbody>
<tr>
<td>25700</td>
<td>Def Rev - Sponsored Research</td>
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**Total Liabilities**

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>-245.22</td>
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### Project Budgets

<table>
<thead>
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<th>Project</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
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<td>Original</td>
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<td>0.00</td>
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<tr>
<td>Original</td>
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</tr>
<tr>
<td>Supplement</td>
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<td>13,815.00</td>
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<tr>
<td>Supplement</td>
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<td>13,815.00</td>
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**Total**

<table>
<thead>
<tr>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>13,815.00</td>
</tr>
</tbody>
</table>
# Contract Manager Page

## Contract Details

- **Contract:** 0000020008
- **Title:** 2011-003 ENDEAVOR - Randomized, Open-label, Phase 3 Study of Carfilzomib Plus Dexamethasone
- **Status:** ACTIVE
- **Sponsor:** ONYX PHARMACEUTICALS
- **PI:** Heffner Jr., Leonard T
- **End Date:** 10/17/2016
- **Contract Type:** CLINICAL_TRIAL
- **Billing Specialist:** Christina Cowart
- **Billing Authority:** Margaret Matkins

## Milestone Status

### FSR Milestones

<table>
<thead>
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<th>Code</th>
<th>Status Date</th>
<th>Status Date</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compass Closeout</td>
<td>Compass Closeout Zero Balance</td>
<td>09/06/2014</td>
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<td>11/16/2016</td>
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</table>

### Invoice Milestones (final or not complete)

<table>
<thead>
<tr>
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<th>Begin Date</th>
<th>End Date</th>
<th>Due Date</th>
<th>Invoice</th>
<th>Invoice Date</th>
<th>Amount</th>
<th>Final Bill</th>
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### Other Milestones

<table>
<thead>
<tr>
<th>Cycle ID</th>
<th>Type</th>
<th>Code</th>
<th>Status</th>
<th>Due Date</th>
</tr>
</thead>
</table>
References

- OSP - www.osp.emory.edu
- OGCA - www.ogca.emory.edu
Keeping Up to Date on Research Administration

- Research Administration Newsletter
  http://www.ogca.emory.edu/communication/newsletter/index.cfm

- RAE Educational Series
  http://www.ogca.emory.edu/communication/training/index.cfm

- NCURA
  www.ncura.edu

- SRA
  www.srainternational.org