

SECTION 1: THE OFFICE OF SPONSORED PROGRAMS

1. WHY DOES THE OFFICE OF SPONSORED PROGRAMS EXIST?

a. Pre-Award and Post-Award Administration

The administration of sponsored projects at Duke consists of both pre-award and post-award administration. Pre-Award administration is performed by two pre-award offices: the Office of Research Support (684-3030) for Departments with Org Units of 04xx xxx xxx through 60xx xxx xxx; and the Office of Grants and Contracts (684-5175) for Departments with Org Units of 68xx xxx xxx.

The pre-award offices provide assistance from the proposal stage through Duke's acceptance of the award. Furthermore, the pre-award offices are also involved if an action has the potential of amending or modifying the award document. Appendix 1 - PRE AND POST-AWARD INVOLVEMENT provides a list of possible actions and describes both the pre-award and post-award involvement for each action.

b. Mission of the Office of Sponsored Programs (OSP)

OSP exists to perform the post-award administration of sponsored projects by preparing financial and other non-scientific reports to Sponsors on sponsored projects, monitoring for compliance with Sponsor and Duke requirements, assuring reimbursement of project expenditures, providing training and support to departmental administrators, coordinating award documentation and approval processes with two pre-award offices and other Duke service departments, and answering questions and providing information to Sponsors and Duke personnel in a prompt, accurate and cordial fashion.

OSP performs these duties and responsibilities in order that it may safeguard project funds, maximize Duke's cash flow position, maintain good relations with Sponsors and Duke personnel, and be viewed by Principal investigators and Departmental Administrators as facilitating the progress of the sponsored project.

APPENDIX 1: PRE AND POST-AWARD INVOLVEMENT

ITEM	PRE-AWARD OFFICE	OFFICE OF SPONSORED PROGRAMS
NEGOTIATIONS	Negotiates Awards & Modifications	
PRE-AWARD COSTS	Approves Department's written requests and negotiates amount included in Award document	Assigns Cost Object with Accounting Systems & Procedures; notifies Department & Pre-Award Office
AWARD DOCUMENT	Reviews, negotiates, and accepts Award documents	Reviews Award document for items affecting all financial aspects, including allowability, billings, and reporting
REQUESTING A COST OBJECT	Provides necessary documentation and requests that Cost Object be established, assigns department responsible for the project	Reviews documentation for completeness, assigns Cost Object and Org Unit; sends request to Accounting Systems & Procedures to activate Cost Object
INVESTMENT OF FUNDS		If required in Award document , makes arrangements with the Endowment/Investment Office to automatically invest funds
DEPOSITS	Reviews deposits for unbilled payments	Determines Cost Object, G/L Account, and reviews for appropriateness
PROGRAM INCOME	Reviews at proposal stage	Determines amount to report to Sponsor as indicated in the General Ledger
COST TRANSFER ONLY PAYROLL FORM		Processes Cost Transfer Only Forms; assists Departments with filling out cost-sharing payroll forms
EFFORT CERTIFICATION		Distributes "Periodic Notices" every quarter; distributes and collects Effort Certifications at fiscal year end
PURCHASE REQUISITION		Reviews and approves Purchase Requisitions for capital equipment purchases (excluding 36X & 39X Cost Objects)
CONSULTANT REQUEST	Reviews and approves consultant requests	
JOURNAL VOUCHER		Reviews Journal Vouchers for 3XX funds codes, excluding 39x Cost Objects
REBUDGETING OF FUNDS	Reviews and approves Rebudgeting Forms and also countersigns requests requiring Sponsor's approval; notifies OSP of approval	Reviews and approves Rebudgeting Forms and enters revised award information in R/3 ITD Plan
PRIOR APPROVAL	Reviews and approves requests and also countersigns requests requiring Sponsor's approval; notifies OSP of approval	Revises financial records, as needed
NO-COST EXTENSION	Reviews and approves requests, and also countersigns requests requiring Sponsor's approval; notifies OSP of approval	Revises financial records, as needed

2. WHO IS THE OFFICE OF SPONSORED PROGRAMS?

The Office of Sponsored Programs (OSP) has a staff of 21 people (Appendix 2 - ORGANIZATIONAL CHART). Appendix 3 - DEPARTMENTAL ASSIGNMENTS provides a quick reference when deciding who at OSP can best assist you with your questions or concerns. Appendix 4 – OSP DIRECTORY, provides direct dial telephone numbers and email addresses for all the staff of OSP. Below is a general summary of each section's responsibility.

a. Cost Objects & Special Reports Section: Primarily responsible for processing requests to set up new Cost Objects and modifying existing Cost Objects (changes in project period, Org Unit, Principal Investigator, etc.); depositing revenue to proper Cost Objects; and, drawing funds, preparing and submitting reports for Cost Objects paid through a payment system established by the Sponsor (e.g., NIH - Payment Management System). The Cost Objects section can be reached by dialing either 684-2215 or 684-5442.

b. Billing Sections: Primarily responsible for preparing and submitting required billings and/or financial reports. All three sections are familiar with all aspects of post-award administration. They deal with the same Sponsors and they encounter the same types of questions. The only thing that separates them is that each section is responsible for different Duke departments. Even though each Billing section is capable of answering your questions, we prefer that you direct your project-related questions to the section responsible for your department. Appendix 3 - DEPARTMENTAL ASSIGNMENTS lists each Billing Section and provides a breakdown by Org Unit and function and the name of the person to contact.

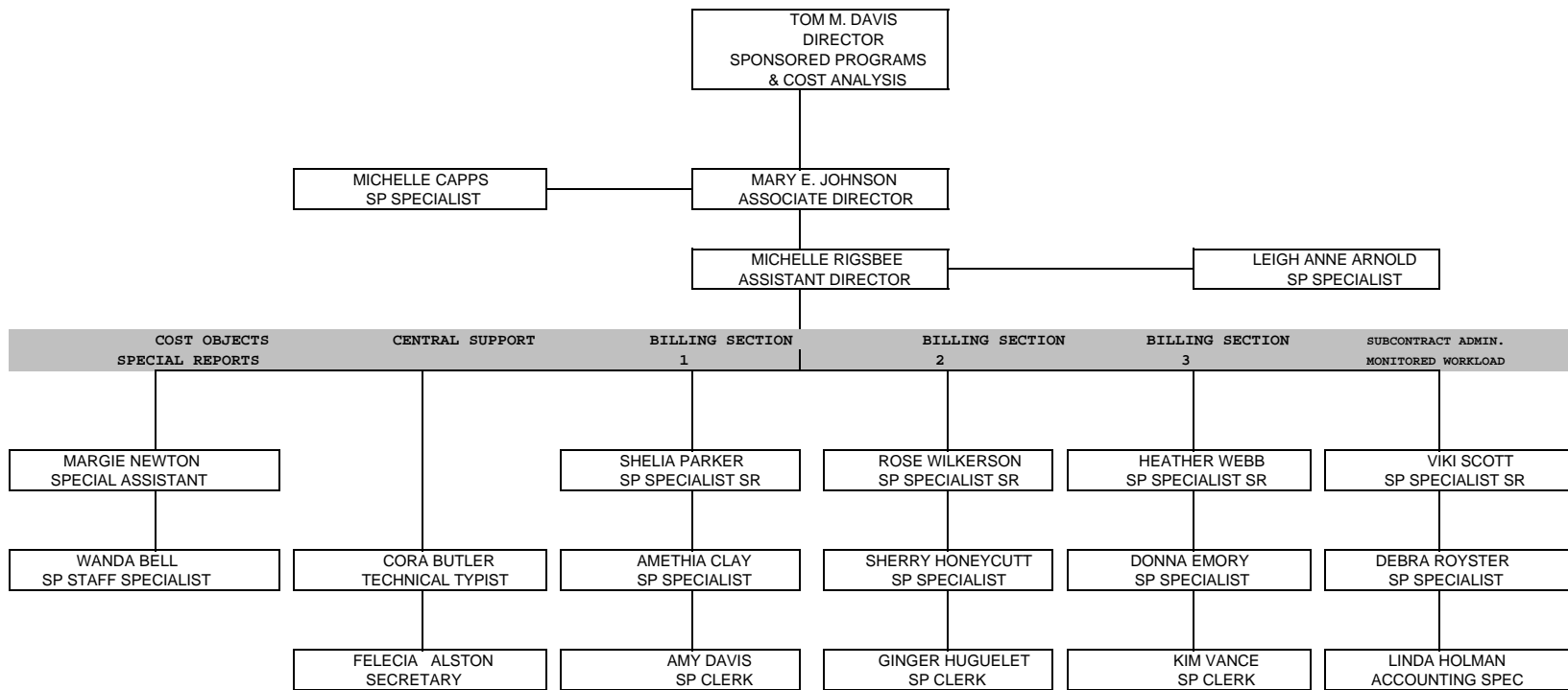
c. Subcontract Administration/Monitored Workload Section. Primarily responsible for reviewing and processing invoices submitted by Subcontractors for reimbursement, assisting Departments in administering Subcontracts awarded by Duke to other entities, and monitoring for compliance with the Prime Sponsor's requirements as they relate to Subcontracts.

This section is also responsible for answering questions regarding awards from non-Government Sponsors which do not require financial reports (39X Cost Object series).

In addition, this Section is responsible for maintaining, distributing and collecting the Faculty/Staff Effort Certification Reports. They process payroll forms that affect only payroll changes for past periods, such as the Cost Transfer Only payroll form. This section also reviews and corrects salary and wage G/L Accounts that are improperly used.

d. Central Support Section: Primarily responsible for providing clerical support including, distributing all the mail received by OSP, directing telephone calls received through the Office's main number, directing incoming traffic, mailing reports/billings, and maintaining an efficient filing system for the Office.

OFFICE OF SPONSORED PROGRAMS



APPENDIX 3: DEPARTMENT ASSIGNMENTS

DEPARTMENT ASSIGNMENTS OFFICE OF SPONSORED PROGRAMS

705 Broad Street, Box 90491, Lower Level, Room 01, Durham, North Carolina 27708-0491

Telephone 919-684-5442 Fax 919-684-8377

BFR CODE	OSP	CONTACTS	
All Org Units <small>(Except 36X & 39X)</small>	Supervisor <small>(VIKI SCOTT)</small>	Specialist Purchase Requisitions	Clerk Journal Vouchers
04XX XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
08XX XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
1XXX XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
4XXX XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
5XXX XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
600X XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
601X XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
602X XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
603X XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
604X XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
605X XXX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
6064 1XX XXX	SHELIA PARKER	Amethia Clay	Amy Davis
6064 2XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6064 3XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6064 4XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6072 XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
608X XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6820 XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6840 XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 0XX XXX	HEATHER WEBB	Donna Emory	Kim Vance
6860 1XX XXX	HEATHER WEBB	Donna Emory	Kim Vance
6860 200 XXX	HEATHER WEBB	Donna Emory	Kim Vance
6860 201 XXX	HEATHER WEBB	Donna Emory	Kim Vance
6860 202 XXX	HEATHER WEBB	Donna Emory	Kim Vance
6860 203 XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 204 XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 205 XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 206 XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 207 XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 3XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 5XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 6XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 7XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
6860 8XX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
7XXX XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
8XXX XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet
9XXX XXX XXX	ROSE WILKERSON	Sherry Honeycutt	Ginger Huguélet

SUBJECT	CONTACT
Account Code Requests	Wanda Bell/Margie Newton (684-2215)
Audits	Mary Johnson
Billings & Reports	See above for Supervisor
Duke Endowment Awards	Viki Scott
Effort Certifications	Debra Royster/Linda Holman/Viki Scott
Indirect Costs Rates	See above for Supervisor
Journal Vouchers	See above for Clerk
Monitored Workload	Debra Royster/Linda Holman/Viki Scott
Overdrafts	See above for Supervisor
Payments to Duke	Wanda Bell/Margie Newton
Purchase Requisitions	See above for Specialist
Subcontract Payments	Viki Scott
Transfer Only Payroll Forms	Debra Royster/Linda Holman/Viki Scott

APPENDIX 4: OSP DIRECTORY

OSP DIRECTORY

Department Number 684-5442
Fax Number 684-8377
705 Broad Street, Lower Level, Room 01
Box 90491

Last Name	First Name	Direct Number	E-Mail Address
Alston	Felecia	668-5859	felecia.alston@duke.edu
Arnold	LeighAnne	668-5864	leighanne.arnold@duke.edu
Bell	Wanda	684-2215	wanda.bell@duke.edu
Butler	Cora	668-5858	cora.butler@duke.edu
Capps	Michelle	668-5852	michelle.capps@duke.edu
Clay	Amethia	668-5863	amethia.clay@duke.edu
Davis	Amy	668-5867	amy.davis@duke.edu
Davis	Tom	668-5850	thomas.davis@duke.edu
Emory	Donna	668-5866	donna.emory@duke.edu
Holman	Linda	668-5862	linda.holman@duke.edu
Honeycutt	Sherry	668-5869	sherry.honeycutt@duke.edu
Huguelet	Ginger	668-5865	ginger.huguelet@duke.edu
Johnson	Mary	668-5851	mary.johnson@duke.edu
Newton	Margie	668-5853	margie.newton@duke.edu
Parker	Shelia	668-5868	shelia.parker@duke.edu
Rigsbee	Michelle	668-5856	michelle.rigsbee@duke.edu
Royster	Debra	668-5861	debra.mclaurin@duke.edu
Scott	Viki	668-5854	viki.scott@duke.edu
Vance	Kim	681-0379	kimberly.vance@duke.edu
Webb	Heather	668-5857	heather.webb@duke.edu
Wilkerson	Rose	668-5855	rose.wilkerson@duke.edu

3. WHAT DOES THE OFFICE OF SPONSORED PROGRAMS DO?

The Office of Sponsored Programs (OSP) primarily performs the following three main functions:

a. Billing and Cash Collections

OSP maintains detailed financial records for all projects with Cost Objects that begin with the number 3 (3XX-XXXX). Detailed financial records include invoices issued, cash received, and balances due by Cost Object. There were approximately 13,340 sponsored projects Cost Objects at June 30, 2003. OSP also prepares and submits, in a timely manner and in accordance with Sponsor specific requirements, project invoices, financial reports, property reports, and patent reports. Approximately 650 invoices and/or financial reports were prepared and submitted each month during Fiscal Year 2003. In addition, OSP is responsible for distributing the cash receipts and submitting reports for projects funded through a Sponsor-established payment system. Approximately 20 cash draws are made each month.

b. Record Keeping and Audit Resolutions

OSP is responsible for maintaining files adequate for financial audit resolutions and for serving as liaison and negotiator when financial audits are conducted. OSP deals with Internal, External, Independent, and Regulatory Auditors on a routine basis. OSP averages two institutional audits and two individual project audits each year. Institutional audits may include a series of projects (e.g., research projects) and/or a Duke system (e.g., Property System). During an institutional audit Duke's internal controls and procedures are reviewed. This type of audit usually has a three to four month turn-around time. That is, it takes about three to four months for Duke to officially know the outcome of the audit, and what, if anything, it is required to do to respond to any audit recommendations or findings. An individual project audit takes approximately one to two months to complete.

c. Monitoring for Compliance

The third main function is that of monitoring for compliance in order to assure that sponsored projects are administered in accordance with both Duke and Sponsor guidelines and procedures. In order to accomplish this task, the OSP staff keeps up-to-date on any changes involving either external or internal policies and procedures.

During Fiscal Year 2003, OSP processed an average of 600 Transfer Only Payroll forms per month. Approximately 6,800 effort certifications were distributed and monitored at June 30, 2003. In addition, all capital equipment purchases that involve sponsored projects (except 36X and 39X Cost Objects) are reviewed for compliance and approved by OSP staff.

Since "non-compliance" may mean a future audit disallowance, OSP takes monitoring for compliance very seriously. On the other hand, we also understand a Principal Investigator's frustration with "red tape".

Therefore, OSP constantly strives to monitor for compliance in a way that is of the greatest benefit to Duke while staying within the legal framework imposed upon Duke and its Departments. So, if you have an extenuating circumstance, give the OSP staff a call, and they will be glad to assist you in any way they can.