ABC Meeting

October 14, 2015

ABC Research Meeting: University Conflicts of Interest Program

Mary Lee, Director, University COI Program

Dean of Research Office

November 14, 2015

Quick Hits

- COI Program Overview
  - School COI Program Managers
  - Research-related COI
- Gifts COI Criteria will change
- COI reviews for SeRA transactions

School COI Program Managers

Graduate School of Business
Olena Sushko / Claudia Morgan / Prof. Glen Carroll

School of Earth Sciences
Sue Crutcher / Amy Balsom / Prof. Stephan Graham

Graduate School of Education
Tanya Chamberlain / Priscilla Fiden / Stephen Olsen

School of Engineering
Christine Eichar / Prof. Jennifer Widom

School of Law
Amy Applebaum / Prof. Mark Kelman

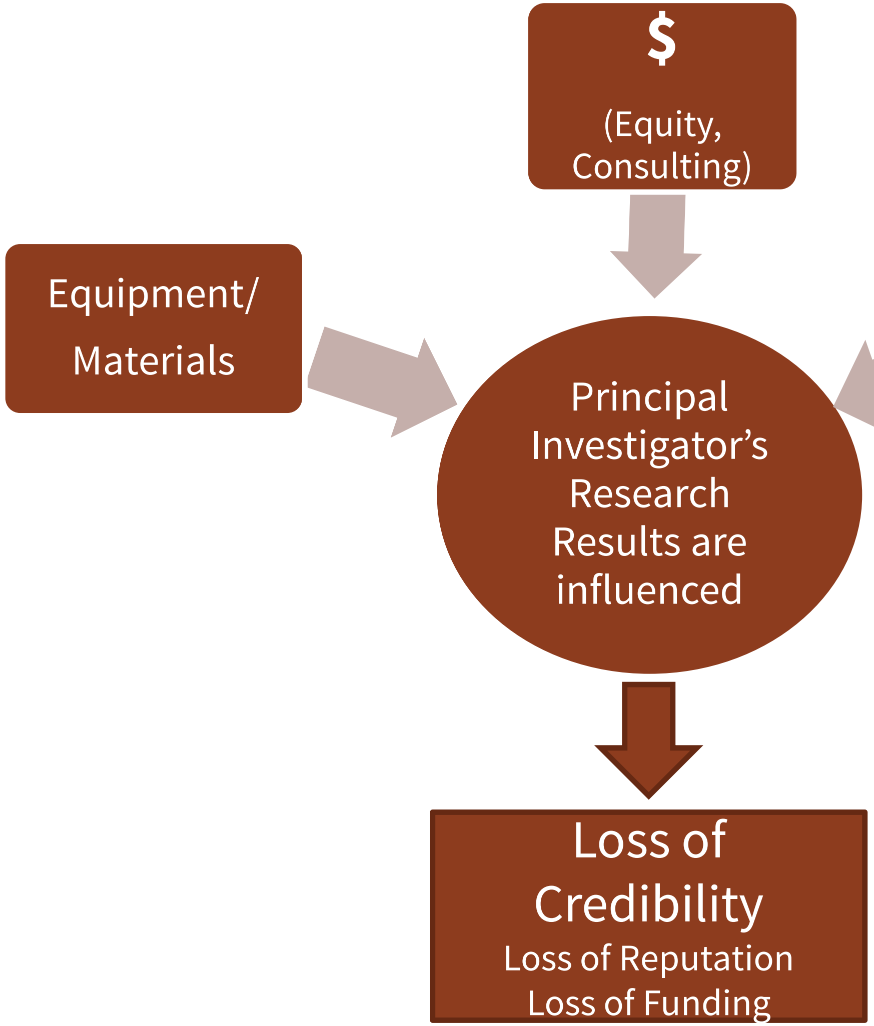
School of Humanities & Sciences
Martha Langill / Ellie Maldonado

- Social Sciences – Prof. Ellen Markman
- Natural Sciences – Prof. Ralph Cohen
- Humanities & Arts – Prof. Deborah Satz

School of Medicine
Shannon Shankle / Barbara Flynn / Dr. Harry Greenberg

SLAC National Accelerator Laboratory
Amy Rutherford / Stephen Porter, Esq. / Prof. David MacFarlane

Loss of Credibility in University Research Results



Question: Does the COI have the potential to affect the ***design, conduct or reporting*** of the research?

New COI Review Criteria for Gifts!

	CURRENT	NEW (Target Date 11/21/2015)
Dollar Threshold for Review	$1,000 and above	$50,000 and above
Purpose	Gift is for Research, Teaching, or Scholarship	Gift is for Research (in whole or in part)
Recipient	* Individual Faculty Member's COI will be reviewed. * Program, Department, School, University "head" must still complete the form.	Individual Faculty Member's COI will be reviewed.
Donor	For-Profit, Non-Profit, Individual, Estate	For-Profit only

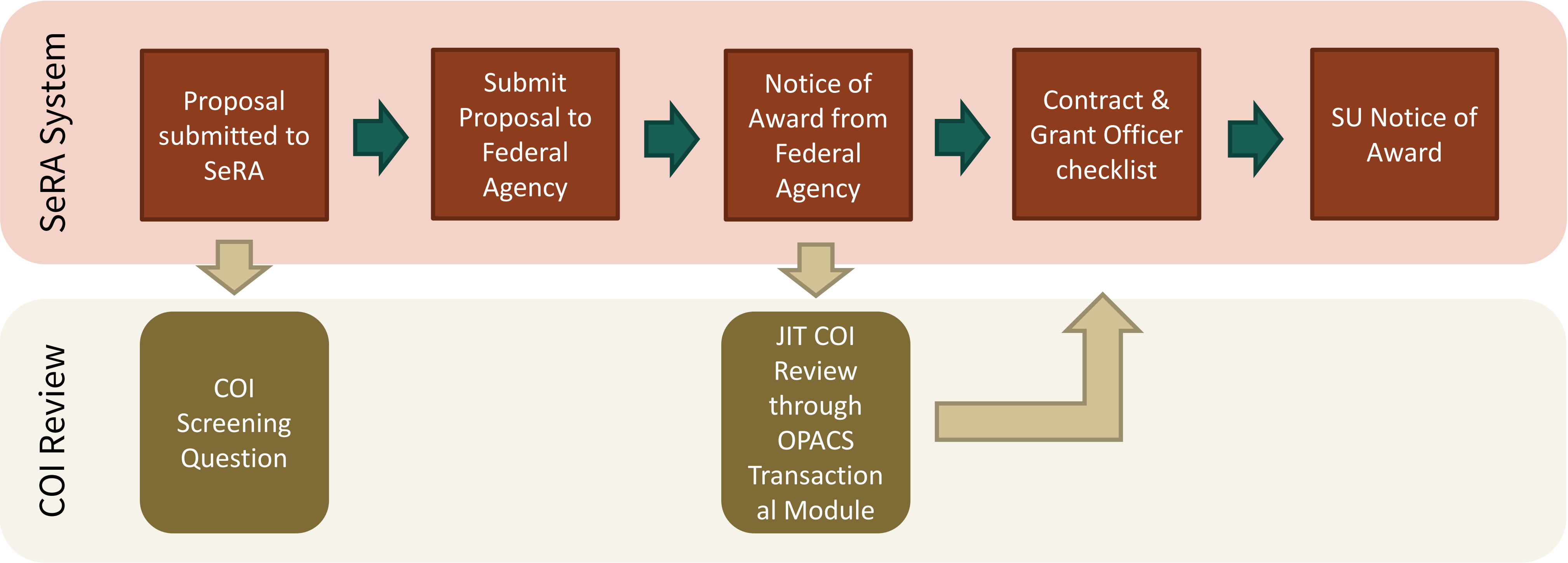
Gift Stats

Year	Total gifts	> $1k	> $50k	For-Profit	Named Faculty
2013	32,340	9,958	1,302	157	109
2014	34,388	13,093	1,816	150	104
2015*	8,535	3,935	784	81	66

* *Indicates the volume of gifts received by Stanford as of July 2015.*

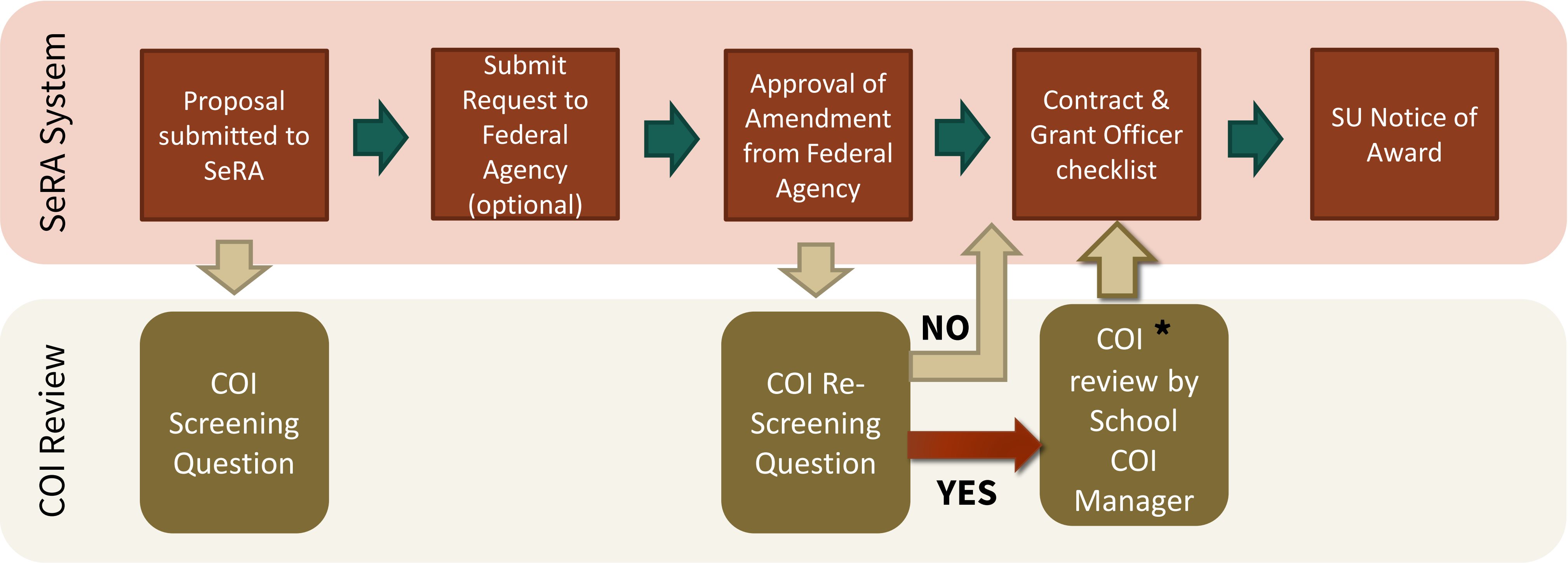
SeRA & OPACS Process Flow Map – Proposal to New Award

New Award



SeRA & OPACS Process Flow Map – Award Amendment

Award Amendment



* If your transaction is paused for COI review, please ask your PI to complete the COI questionnaire at http://opacsprd.stanford.edu/. Until that is completed, the School COI Manager cannot see the SeRA transaction in her OPACS dashboard!

Any Questions?

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marylee@Stanford.edu

OR

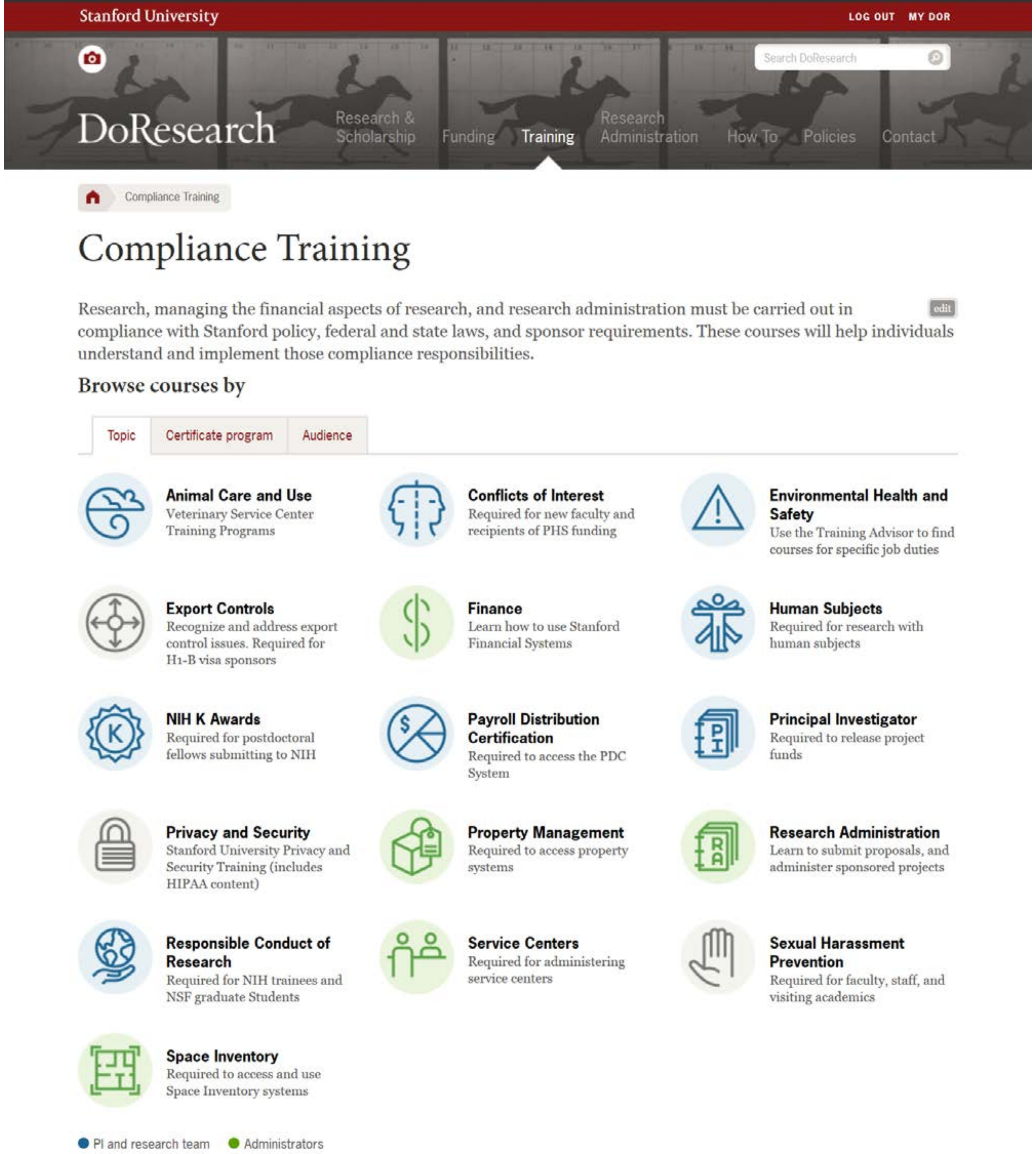
School Program Manager
Go to the DoResearch web site
Search “COI School Contacts”

Cardinal Curriculum new look, new registration
new content, new workshop

Let’s take a peek!

DoResearch

browse for a course, a certification program or an audience



View and filter all courses

Add Filters: Topics + | Certificate Programs + | Audience +

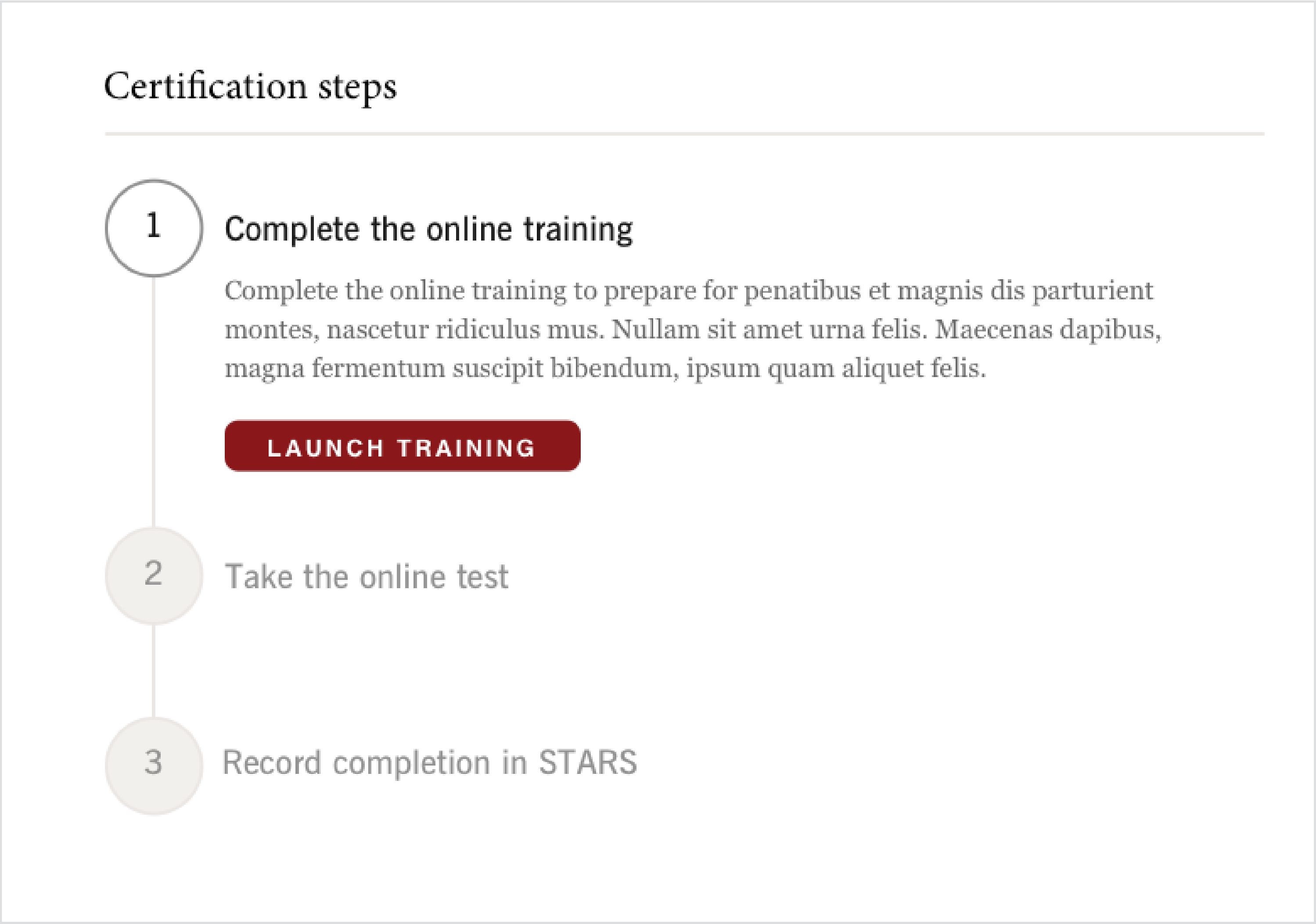
Name	Number
NIH K Award Grants.gov	
Animal Care and Use Training Program	VSC-PROG-0001
Protection of Human Research Subjects	CITI
Conflicts of Interest Certification	COI-PROG-0001
PI Training: Stewardship and Compliance for Principal Investigators	DOR-0680
Understanding Cost Policy	DOR-1101
Overview of Research and the Regulatory Environment	DOR-1102
Proposal and Budget Preparation	DOR-1120
Award Process	DOR-1121
Subawards	DOR-1122
NIH A Guided Tour	DOR-1123
Overview of Stanford University Service Center Policies & Practices	DOR-1125
Managing Sponsored Projects	DOR-1126

1 2 3 Next

search for a course, a certification program or an audience

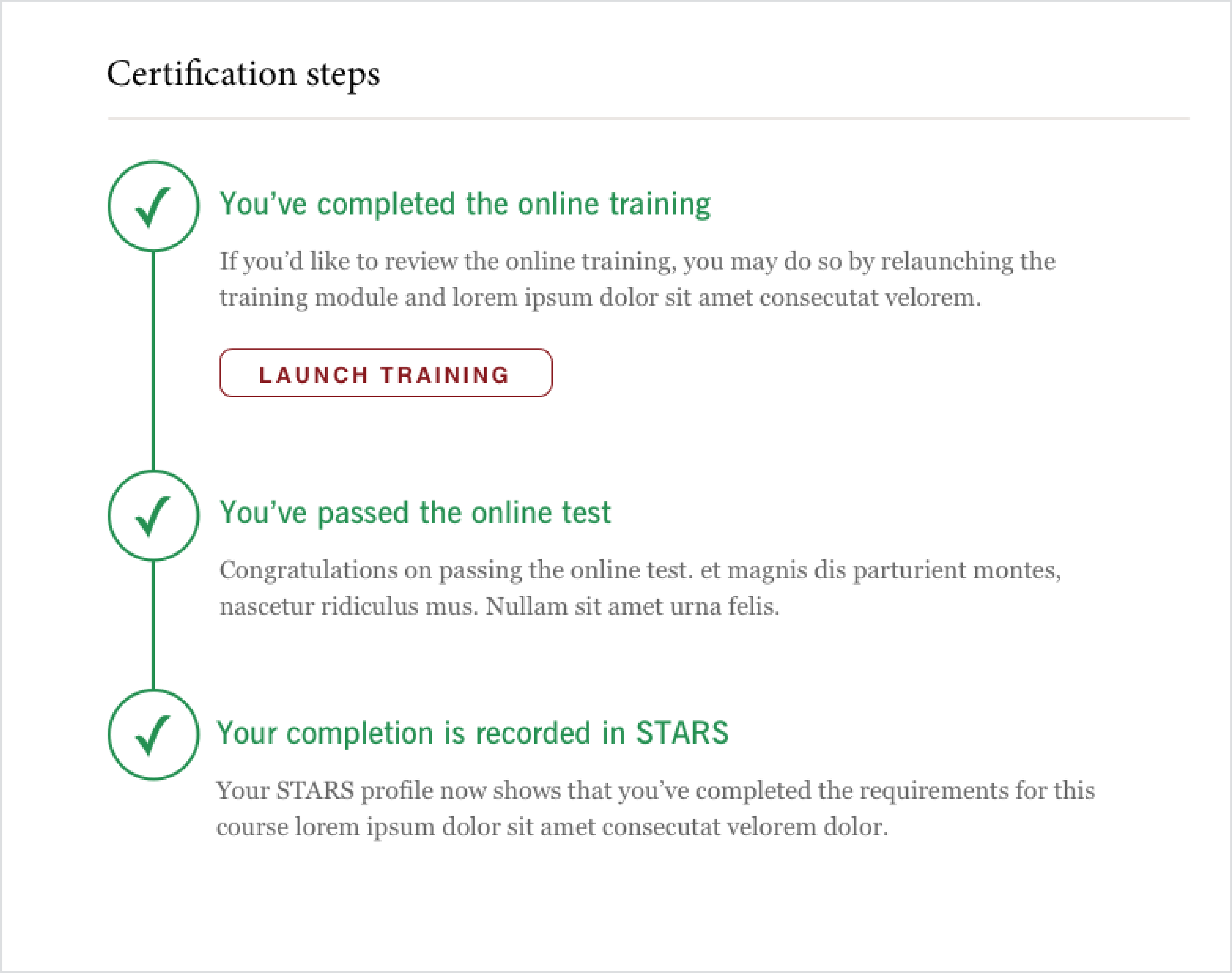
DoResearch UX

- When user first visits course page, only first step is available
- Clicking “launch training” button provides one-click access to training materials for logged-in user
- If user is not logged-in, they will be redirected to log in screen before being granted access to training material



DoResearch UX

- User records completion and diagram updates accordingly
- Training action remains available for future reference, but test and completion action buttons won’t appear
- Data for PI Training is sent to SeRA and shows up in the PDRF



Cardinal Curriculum

- All online classes have been updated
- All online classes will have a monthly companion workshop

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Streamlined solutions. Stellar support.

Business Expenditure Processing Review

Administrators Building Competencies in Research (ABC Meeting)

Sandip Darji, Senior Director of Business Process and Metrics Analysis

October 14, 2015

Agenda

1. Project overview and recommendations

2. Changes for campus on November 2, 2015

3. Guidance from the University Cabinet

4. Next steps

Overview: Internal Review Findings

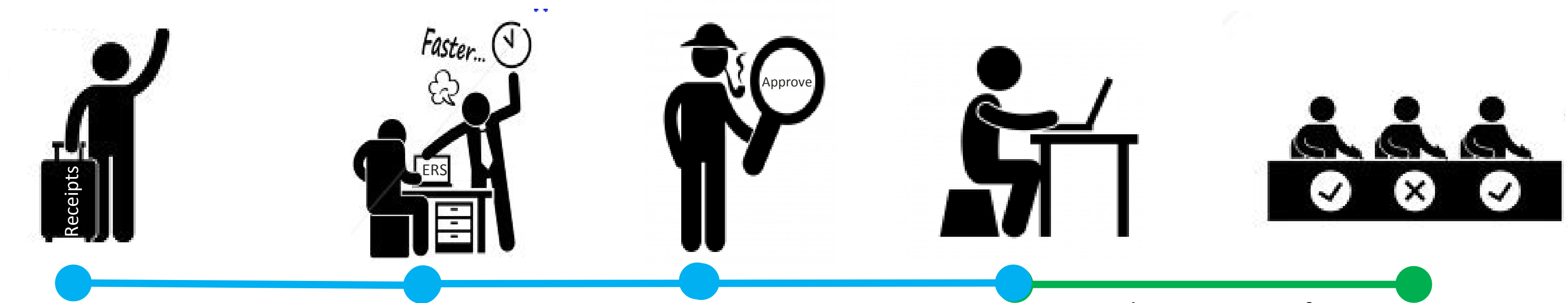
Problem: Analysis shows we are not as diligent as we should be in adhering to policy and documenting and reviewing expense transactions

- Unallowable, unallocable, or unreasonable expenditures passing review:
  - Reimbursement for personal expenses
  - First/Business class air travel
  - Excessive food costs
  - Alcohol
  - Allocation of equipment expense
- Inadequate supporting documentation
- Inaccurate per diem calculations

Goal: Develop and implement solutions that better ensure compliance with university and regulatory requirements while providing distributed units with an efficient way to manage transactions.

Overview: project recommendations

Payee | **Preparer** | **Approver** | **T&R Auditor** | **OSR & RFCS Reviews**



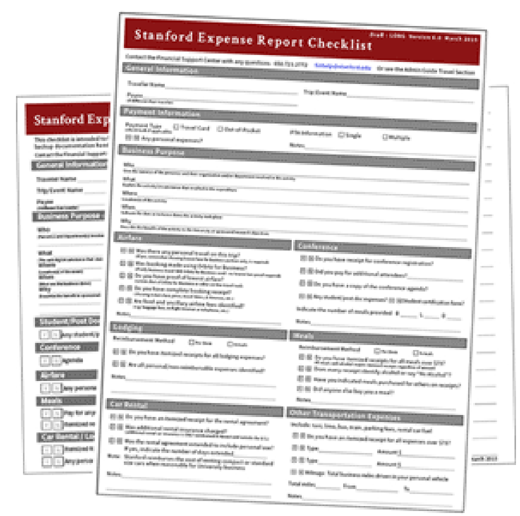
- Agreed upon criteria for review
- Doubled staff (added 4 FTE)
- Post quality audits, feedback, and coaching

- 100% review of sponsored transactions at closeout for selected agencies
- Feedback and coaching

Recommendations for these roles around
process
people
policy
training
systems/reporting

Travel packet and expense report checklist

- Purpose
  - Facilitate handoff of materials between payee and preparer
  - Create compliant transactions
- Over 13,000 travel packets have been distributed since May 2015
- How to get them?
  - Travel Packet: Contact Financial Support Center
  - Preparer Checklist: PDF available on Fingate

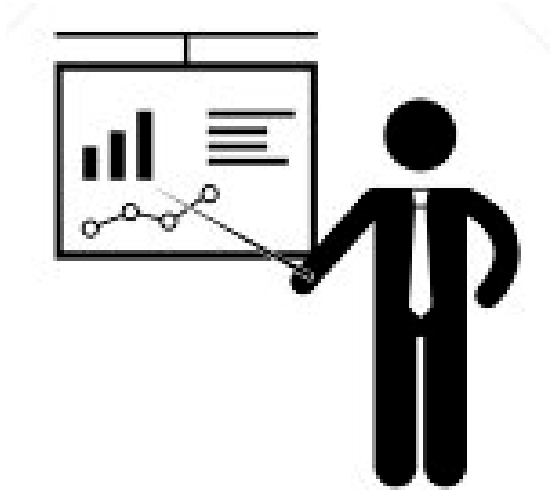


Changes coming November 2, 2015

Three drivers for Business Expenditures/ Expense Requests changes

User feedback

Audits



Analytics

Expense Requests and Admin Guide changes

Driver	Description	Feature / Function
	Administrative Guide (sections 3.2.1, 5.4.1, 5.4.2, 5.4.3, 5.4.4)	Emphasized intent and good judgment Organized sections and reworded language Separated procedure from policy and move to Fingate (reduces length by 40%)
	Full View enhancements	Line numbering sequencing Show details button Per Diem/mileage calculations Attachment icon by the line number Link to attachment window where transaction level attachments can be accessed
	Consistent line numbering and order	Review page, Confirmation page and Full View group and number lines consistently Lines grouped by Expense Source, i.e. TCard, Cash, Per Diem, Personal, etc.
	Line Level Attachments	Requirement to attach Airfare, Lodging, Conference Agenda back-up at line level
	System Controls and Spend Management	Requirement to enter in new fields: • number of attendees for business meals • number of days for lodging and rental car • Air travel – booking method and airline name • lodging – location and hotel name • explanation of high cost (when prompted by warning messages)
	Reject Codes	Approvers select and make note of reject reasons Preparers see notes

Change management activities for 11/2 go live

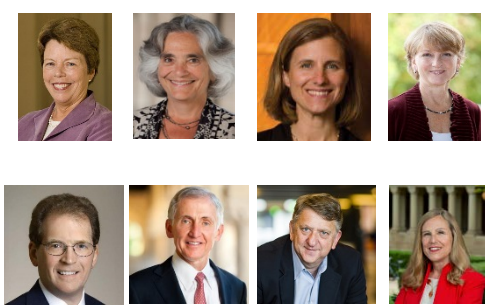
- Getting the following audiences ready:

Campus Users	Senior Management	Central Support
September UAT (27 approvers and preparers representing seven budget units)	Project Steering Committee reviews of admin guide (See appendix for list of Steering Committee members)	Joint training for Financial Support Center specialists and T&R auditors
ABC meeting on 10/14	Executive communication of changes from CFO Randy Livingston	T&R auditors prepped to handle, as exceptions, in progress transactions during cutover
Financial Management Forum on 10/21		
Targeted user emails		
News bulletins and updated content on Fingate		
Updated user training (FIN-400 and FIN-103)		
Post Go live campus roadshows (if needed)		

Cabinet guidance

Summary of guidance


(Absent from
May meeting)



Policy will remain "lowest available" economy fare, while allowing for ancillary add-ons (e.g., convenient seating, direct route, wifi)

- Changes included in admin guide revisions for 11/2

New university policy on reviews and escalations

- All transactions outside of stated guidelines will be escalated to respective Dean's Office for appropriateness review/approval
- Met with 12 budget units to date: reviewed proposed process, meals data, and identified escalation point of contact
- Targeting December rollout

Next steps

1. Implement Administrative Guide and system changes on November 2, 2015
2. Implement escalation process (target December)
3. Implement remaining recommendations in progress
   - Require FIN-103 Approving Financial Transactions training for all financial approvers (January/February 2016)
     - FIN-400 Traveling for Stanford training course will be a prerequisite
   - Traveling for Stanford alternative training for payees (target TBD)

Appendix

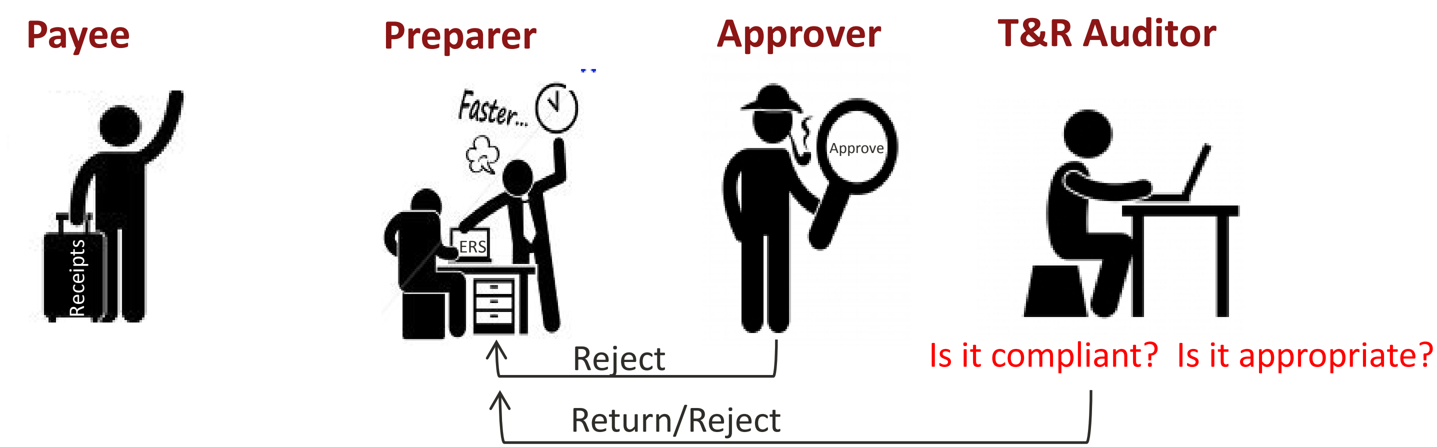
Project sponsorship and steering committee

Sponsor	Budget Unit
Russell Brewer	Office of Sponsored Research
Susan Calandra	Financial Management Services
Rick Moyer	Office of Audit Compliance and Privacy
Ken Schulz	Research Financial Compliance and Services

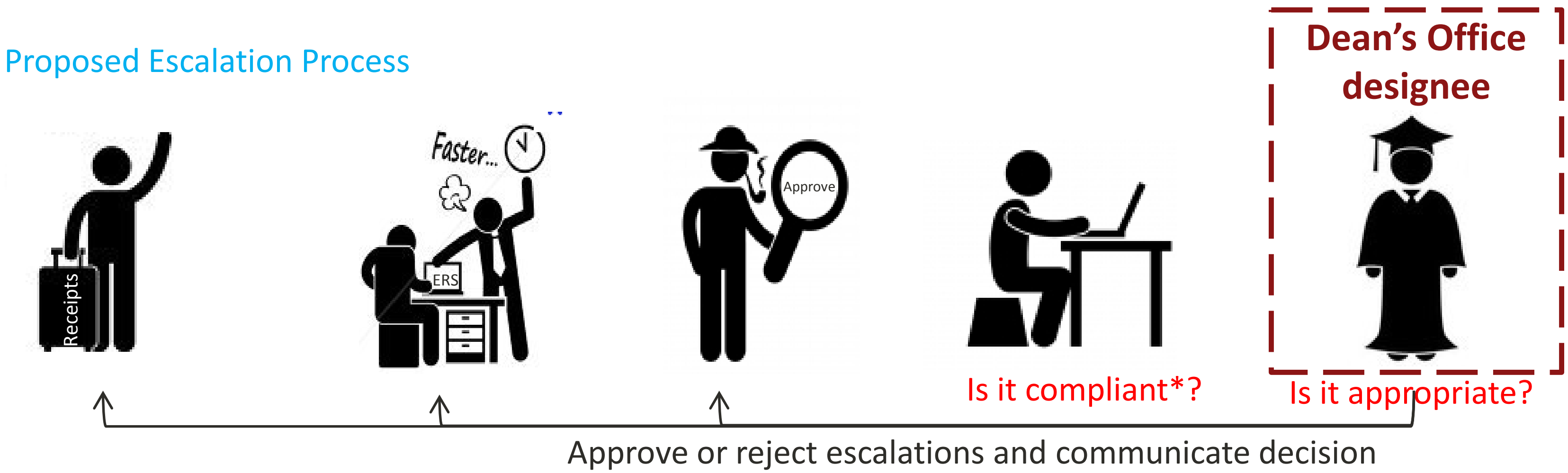
Member	Budget Unit
Jeanne Berent	Office of Development
Sara Bible	Dean of Research
Scott Calvert	School of Engineering
Adam Daniel	School of Humanities and Sciences
Peter Hoenig	Residential and Dining Enterprises
Rhonda Marsh	Office of the President and Provost
Sam Zelch	School of Medicine

Escalation sequence of events

Current Process (communication to originator/preparer only)



Proposed Escalation Process



*Compliant = checking for documentation, appropriate accounting, presence of business purpose, etc.

Budget unit points of contact

School/Budget Unit	Escalation Contact
Dean of Research	Sr. Associate Dean
Department of Athletics	TBD - Pending data review
Graduate School of Business	Designee
Graduate School of Education	Sr. Associate Dean (for now)
Land Buildings and Real Estate	TBD - Pending data review
Law School	Sr. Associate Dean
Office of the President and Provost	Designee
School of Earth, Energy and Environmental Sciences	Sr. Associate Dean
School of Engineering	Sr. Associate Dean or Designee
School of Humanities and Sciences	Sr. Associate Dean
School of Medicine	DFAs and Controller
Student Affairs	TBD - Pending data review
Vice Provost of Graduate Education	Director of Finance
Vice Provost for Undergraduate Education	TBD - Meeting on 10/12

Stanford | Office of Sponsored Research

OSR Initiatives

ABC Meeting

October 14, 2015

What we are up to…..

- Town hall meetings with schools and departments
  - We heard you!
- A hard look at the current PTA set up process
- Continuous review of cycle times for award negotiation and account set up
- How to leverage SeRA-its not just for transactions
  - Example: My Accounts dashboard for faculty
- Offering the OSR Seminar series on topical items

Joint Initiatives…..

- OSR and RMG
  - ✓ PDRF Redesign
  - ✓ How we use the SeRA system
- OSR, RMG, and DoR
  - ✓ Develop a boot camp training program for department administrators to supplement Cardinal Curriculum.
- Regular meetings with RMG and ERA to better define roles and responsibilities

But we want to do more….

- ❑ What if we step back and look at the entire process?
- ❑ Strategic thinking about specific aspects of research administration through
  - ✓ Focus groups
  - ✓ Brown bags
- ❑ With our partner groups, map the entire sponsored project lifecycle to find areas of focus.

Chart of Accounts Changes Starting Sept. 1, 2015

OFFICE OF THE VICE PROVOST AND DEAN OF RESEARCH

&

OFFICE OF RESEARCH FINANCIAL COMPLIANCE AND SERVICES

PRESENTED BY JESSE CHARLTON, DIRECTOR, RAPC AND CAROL COOK, SENIOR ANALYST, CMA

What is changing in the Chart of Accounts?

- **Eleven general/special purpose and data storage/non-data storage expenditure types are being discontinued and are;**

- **Replaced by four new and two existing expenditure types**

Why change the Chart of Accounts?

- **To simplify the Chart of Accounts**
- **To achieve consistency with federal rules**

Federal Uniform Guidance and OMB Circular A-21

- **General and special purpose identifications pertain to capital equipment**
- **Non-capital equipment are supplies**
- **Computing devices below $5K are considered supplies chargeable to federal awards if <u>essential and allocable</u>, but not solely dedicated to the performance of the award**

COA Expenditure Type Change Highlights
(no changes were made to capital equipment ETs)

- **Data storage and computer supplies ETs are consolidated into one new “computing devices” ET**
- **New ET created for lab/scientific non-capital equipment**
- **General purpose and non-data storage ETs are replaced by generic supplies, rent, and repair ETs**

Transitioning to Replacement ETs

- **9/1/15 - Use replacement ETs for all new business. Discontinued ETs used in existing business already in process will not be affected.**
- **11/1/15 - Discontinued ETs will be blocked from all new business in purchasing systems.**
- **3/1/16 – Procurement initiates outreach program to address existing business in discontinued ETs.**
- **9/1/16 - All business must be conducted in the replacement ETs. Discontinued ETs will be end-dated as of 8/31/16.**

Detail

- **Bulletin: Consolidating Select Expenditure Types**
- **Replacement & Discontinued ETs with Definitions**

Resources

- **Oracle Expenditure Type Query Tool**
- **Bulletin: Expenditure Type & Object Code Updates**
- **DoResearch for discussions of Uniform Guidance Topics**