

AGENDA  
**ABC Meeting**  
May 6, 2013  
9:00 am – 12:00 pm  
Li Ka Shing Berg Hall

**9:00 – 9:25** *Open Skies Agreement*

*Liz Ibrahem*

Travel and Reimbursements Manager

Financial Management Services

*Robbi Mees*

Client Relations Manager

Client Advocacy & Education, Financial Management Services

**9:25 – 9:45** *Computing Resources*

*Ruth Marinshaw*

Chief Technology Officer

Research Computing

**9:45 – 10:00** *SeRA updates*

*Marla Kravatz*

Manager, SeRA Support and Communications

**10:00 – 10:15** *Break*

**10:15 – 11:15** *New Payroll Distribution Certification System*

*Sara Bible*

Associate Vice Provost for Research

Vice Provost & Dean of Research

*Ken Schulz*

Associate Vice President

Research financial Compliance & Services

# Fly America Act *Open Skies Exception*

ABC Research Group Meeting  
May 6, 2013

# Agenda

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1. What are “Open Skies” agreements?
2. Benefits
3. Compliance
4. Related resources on Gateway to Financial Activities website

# What are Open Skies Agreements?

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- Biggest exception to the Fly America Act:

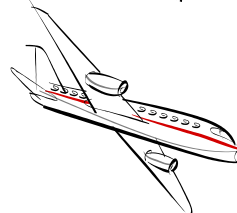
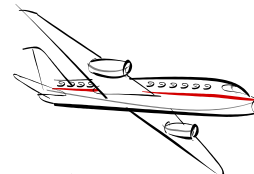
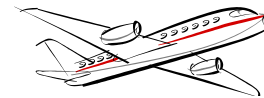
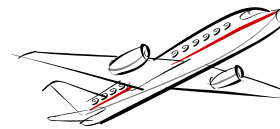
Generally, federally funded air travel must be on a U.S. flag carrier or code sharing carrier

- “Open Skies” are transportation agreements between U.S. and
  - ◆ European Union Countries (plus Norway & Iceland)
  - ◆ Switzerland
  - ◆ Australia
  - ◆ Japan
- That allow US federally-funded travel on EU, Swiss, Australian, and Japanese airlines when certain conditions are met

# Benefits of Open Skies Agreements

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- Spurs competition
- Potential access to lower fares
- Adds new routes / schedules
- Bottom line: more choices!



# Compliance

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- Open Skies Agreements Do Not apply when travel is funded by the Secretary of Defense or the Secretary of a military department
  
- For Switzerland, Australia and Japan:
  - ◆ No “City-Pair Contract” can exist between the origin and destination cities
  
- For foreign air carrier costs to be allowable, traveler must submit certification, including:
  - ◆ Traveler’s name
  - ◆ Date of travel
  - ◆ Origin and destination
  - ◆ Detailed itinerary, name of carrier, flight number for each leg
  - ◆ Statement regarding use of Open Skies Agreement

# Resources on Gateway to Financial Activities website

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- General Requirement of the Fly America Act
  - ◆ list of U.S. Flag Air Carriers and Code Share Alliances
  
- Open Skies Exceptions
  - ◆ Links to GSA explanation of Open Skies Agreement and documents
  - ◆ List of current EU member countries
  - ◆ Interactive guidance based on your destination
  
- Additional Exceptions
  
- Documentation of Compliance
  - ◆ Certification of Exception to Fly America Act Form
  
- Getting help
  - ◆ Contact the Financial Support Center

# Online Resources

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Visit [http://fingate.stanford.edu/staff/travel/policy\\_notes/fly\\_america\\_act.html](http://fingate.stanford.edu/staff/travel/policy_notes/fly_america_act.html)



# Questions?

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eRA

UPDATE

MARLA KRAVATZ  
MANAGER, SERA SUPPORT AND  
COMMUNICATIONS

May 6, 2013

# Overview of Components



- PDRF (Proposal Development and Routing Form)
- Proposals and Awards
- Sponsored PTA Manager
- Subawards
- ARC (Award Reporting and Closeout)

# What's New

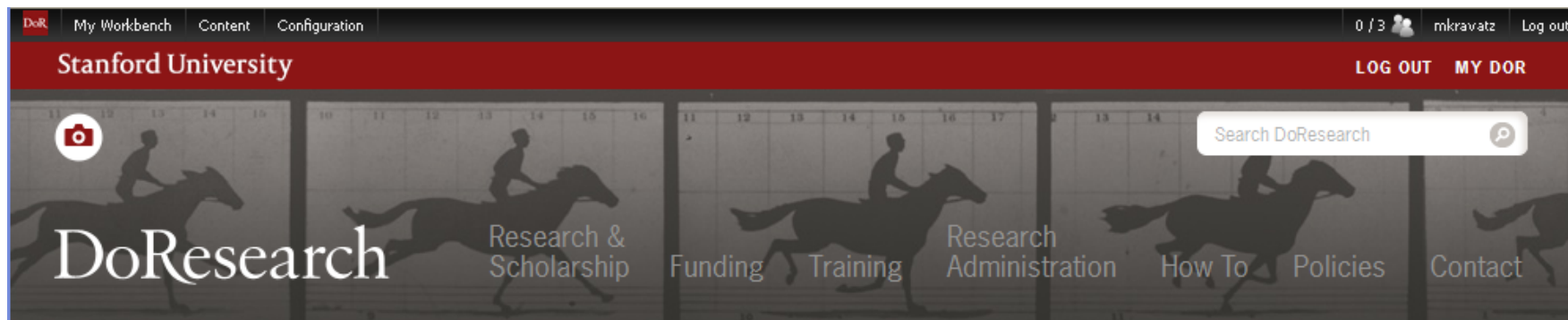
- Sponsored PTA Manager
  - New PTA Setup released February through March
  - Early/extend released March
  - Amendments released April
- DoResearch
  - Documentation
  - Release Updates
- SeRANaDe – “SeRA News and Debuts”
  - Our revitalized newsletter
- New SeRA Team



# Sponsored PTA Manager

- Eliminates OSR paper forms for early/extend requests
- Creates an online routing and approval process
- Allows real-time status lookup of PTA setup transactions
- Includes PTA information on the Notice of Award

# DoResearch.stanford.edu



## Research & Scholarship

### About Proposals

Best practices and processes required by Stanford and sponsors.

### Clinical Research

Learn more about clinical research including clinical trials.

### Computing to Support Research

Computing resources in support of your research and scholarship.

[VIEW ALL](#)



### Funding

Search Grants.gov, Pivot and internal funding opportunities.



### Contact

Find the right person to answer your question.

## Research Administration

### All Research Administration Offices

Find help in your School, Independent Lab, Institute or Center.

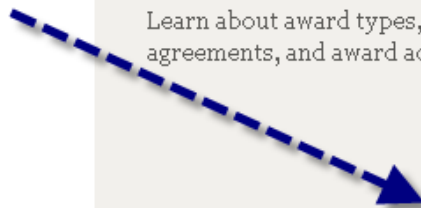
### Allocation of Expense

Learn how to allocate expense and setup an allocation PTA.

### Award Terms & Conditions

Learn about award types, negotiating award agreements, and award acceptance.

[VIEW ALL](#)



# Research Administration

## All Research Administration Offices

Find help in your School, Independent Lab, Institute or Center.

## Allocation of Expense

Learn how to allocate expense and setup an allocation PTA.

## Award Terms & Conditions

Learn about award types, negotiating award agreements, and award acceptance.

## Charging for Administrative and Technical Expenses

Learn when you can charge administrative expenses to a sponsored project.

## Charging for Administrative and Technical Expenses Implementation Guidelines

Helpful guidance including FAQs and decision trees.

## Cost Sharing Implementation Guidelines

Helpful FAQs and decision trees.

## Effort for Faculty and Staff

Better understand effort allocation.

## Electronic Proposal Submission

Learn the mechanics of e-submit and Grants.gov.

## Infrastructure

Better understand the Infrastructure charge, its application and procedures.

## Proposal Preparation and Submission

Learn about proposal components, budget basics, rates, and institutional facts.

## PTA Initiation and Setup

Set up PTA, early PTA, cost sharing and subawards.

## Rates

Find F&A & Fringe Benefit Rates as well as Non-sponsored receivable rates.

## Routing and Institutional Review

School specific guide for preparing and routing proposals for submission.

## Salary Caps

Learn about Salary caps and how to administer the NIH salary cap.

## Receivables/Cash Management (RCM)

Need an address to send a payment for a sponsored project, or need help with a clinical trial billing? Look no further.

## Stanford Electronic Research Administration (SeRA)

Get an in-depth view of how SeRA handles PDRFs, awards, and PTA setup.



# Stanford Electronic Research Administration (SeRA)

The Stanford Electronic Research Administration System (SeRA) is an enterprise-wide system which supports research administration at Stanford. SeRA tracks the various stages of the sponsored project lifecycle and is the institutional system of record for sponsored projects.

The major components of SeRA:

1. **Proposing:** The **Proposal Development and Routing Form** is used to collect and document information and approvals required to submit a sponsored project proposal.

It is also used to set up internal University research awards. OSR requires a completed PDRF and attachments, after the funding organization issues the award, to set up a PTA. (This replaces the SU-42 beginning April 2013.)

2. **Award Processing:** The award processing module tracks intake, negotiation, and acceptance of awards.
3. **Financial Account Setup:** The Sponsored PTA Manager enables the online creation, extension and amendment of PTAs for sponsored projects.

[CLICK HERE FOR OUR LATEST NEWSLETTER](#)

[SeRA News and Updates](#)

[Learn about the Proposal Development Routing Form \(PDRF\)](#)

[Learn About Award Processing](#)

[Learn About the Sponsored PTA Manager](#)

[LOG IN TO SeRA](#)

## Sponsored Research (OSR)

[More About OSR](#)

[Post-Award Operations](#)

[Pre-Award Operations](#)

[Stanford Electronic Research Administration \(SeRA\)](#)

[Learn About Award Processing](#)

[Learn About the Sponsored PTA Manager](#)

[Learn about the Proposal Development Routing Form \(PDRF\)](#)

[SeRA News and Updates](#)





## SeRAnade - SeRA news and debuts

Issue #1 - May 2, 2013

Welcome to the debut issue of the revitalized SeRA Newsletter!

The SeRA team will use this forum to announce releases, communicate tips and tricks, and keep you informed of upcoming activity. The information will be segregated out by audience: departments (D), central office (CO), or both (B). Look for more content and “style” in upcoming issues.

# New Team

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- Pam Baer – Program Manager
- Leads:
  - Marla Kravatz, Support and Communications
  - Erina James, Business Analysis
  - Amit Bihari, Quality Assurance
  - Bhavana Tirukovalluri, Development

# What's Coming

*Smaller, more frequent releases (Agile)*

- Award Reporting and Closeout (ARC) - spring
- Improved Tracking of Subawards - spring
- Enhancements – this summer and beyond
  - More flexibility in changing PIs and OSFs
  - Direct access to SeRA Dashboard
  - Improvements to Sponsored PTA Manager
  - Looking at school-based Approvals
  - General usability

# Training and Documentation

- Weekly drop-in support sessions in May
  - May 7, 14, 21, 28
  - Encina Commons 124
  - See DoResearch/SeRA News or SeRANaDe for schedule
- Bootcamps for Budget Entry
  - May 9, 10, 13, 16
  - Various locations
  - See DoResearch/SeRA News or SeRANaDe for schedule
- All documentation and release information available on DoResearch

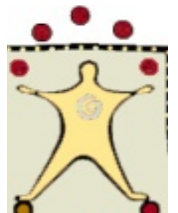


# Annual Payroll Distribution Review and Certification

ABCs in Research Meeting May 6, 2013

# Payroll Distribution Certification is a Regulatory Requirement

100% Payroll Distribution Certification is the formal confirmation of the reasonableness of the distribution of payroll charges to sponsored awards.



# Overview of the Change

## Annual Payroll Distribution Requirement:

A person with firsthand knowledge must review and certify the 100% payroll distribution of each employee with salary charged in whole or in part to a sponsored project.

FYI Quarterly Report

Provides Support

<b>Black, Bonnie</b>		
Activity	Payroll Distribution \$	Payroll Distribution %
<b>Sponsored Activities</b>		
Grant A	20,000	10%
Grant B	20,000	10%
Grant C	20,000	10%
<b>Subtotal Sponsored Activities</b>	<b>60,000</b>	<b>30%</b>
Over the salary cap charges	12,000	6%
<b>Subtotal over the Salary Cap Charges</b>	<b>12,000</b>	<b>6%</b>
<b>Non-Sponsored Charges</b>		
Teaching	60,000	30%
Administration	8,000	4%
University Research	40,000	20%
Cost Sharing	20,000	10%
<b>Subtotal Non-Sponsored Charges</b>	<b>128,000</b>	<b>64%</b>
<b><u>Total</u></b>	<b><u>200,000</u></b>	<b><u>100%</u></b>



# How It Looks in eCertification

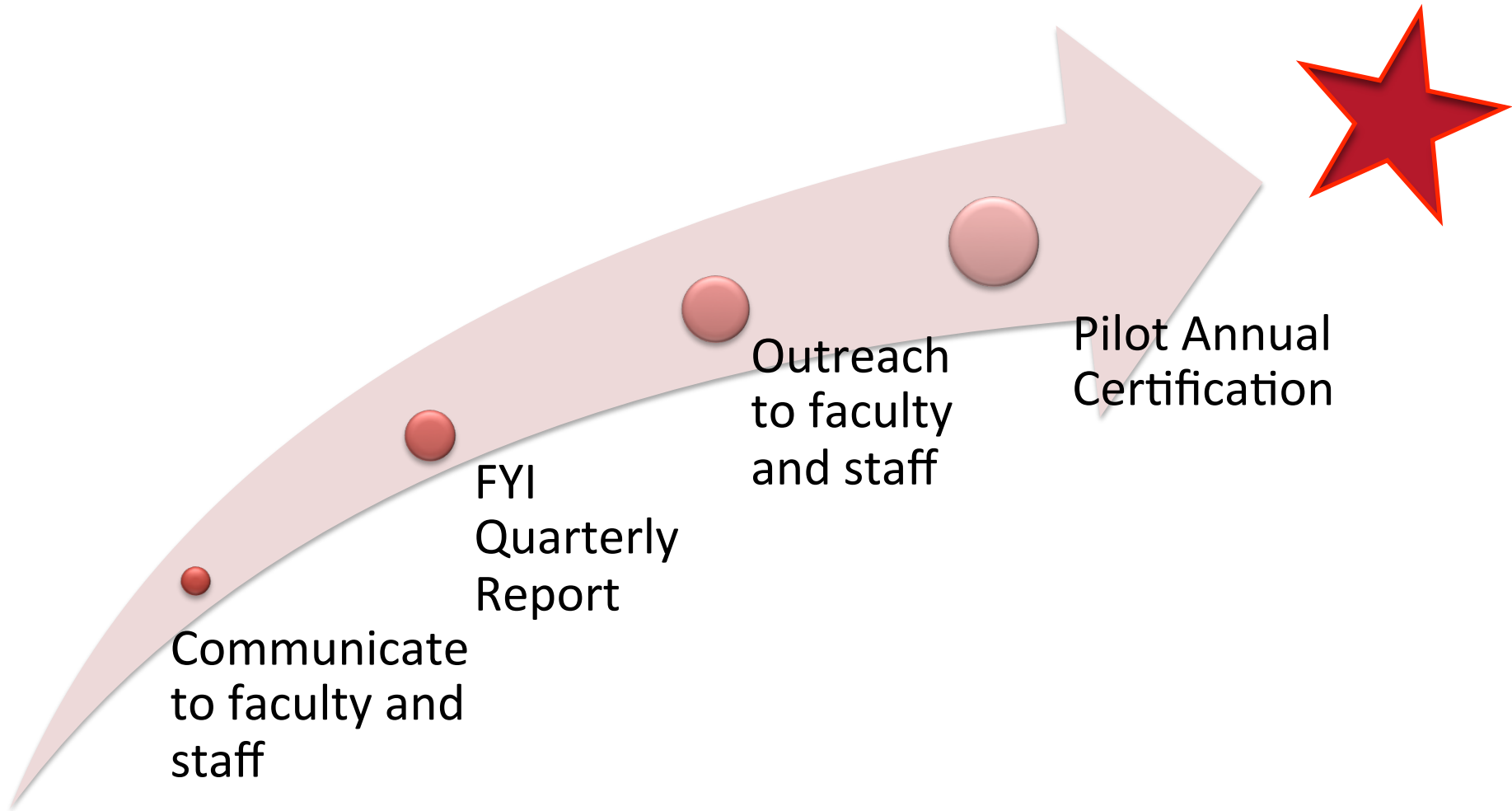
- Displays each employee's 100% payroll distribution
- Shows non-sponsored rolled up
  - Drill down to display all
- If the PI cannot certify because he/she does not have firsthand knowledge, he/she can re-assign an employee to the appropriate person.

# Firsthand Knowledge that the Work Was Performed

1. For large grants with multiple PIs, reassign employees to the PI who has firsthand knowledge that the work was performed.
2. For employee types working on many projects such as glassware washers, reassign to the supervisor who has firsthand knowledge that the work was performed.

# Demonstrate Prototype

# Transition to Annual Certification



# FYI Quarterly Report

Run Date: 9-APR-2013 3:31PM  
Principal Investigator: Lewis, Black W.

STANFORD UNIVERSITY  
FYI QUARTERLY PAYROLL DISTRIBUTION REVIEW REPORT  
Period: JAN 1, 2013 to MAR 31, 2013

**SAMPLE REPORT**

"In using this report, I agree to comply with all applicable federal and state privacy laws and University policies concerning confidential personal and financial data; and I understand that a breach of this agreement can be cause for disciplinary action, up to and including termination of employment."

**Lewis, Black W.**

PTA Number	PI/Task Owner	Task Manager	Funding Source	Award Name	Task Name	Funding Source Number	Payroll Distribution (\$)	Payroll Distribution (%)	
<b>Fake, David Leigh Social Science Research Asst</b>									
<u>Sponsored Activities</u>	118038-208-PACBZ	Black, Lewis W.	Person, Julie	NATIONAL INSTITUTES OF HEALTH LOC	Phase 1 Peptide Vaccination	Phase 1	8-RC A-1484912	8,565	74%
	1154631-100-UAE GG	Chamberlain, Lisa	Lindberg, Margaret J.	AMERICAN ACADEMY OF PEDIATRICS	Safety Firsthead Start parents advocating AAP Safety First		107933	1,667	14%
							<b>Subtotal Sponsored</b>	<b>10,232</b>	<b>88%</b>
<u>Non-Sponsored Charges</u>	1044442-102-KASYD	CHAIR	Donnellan, Brian A.	STANFORD GENERIC NOT BILLED	Machen, Harry Lyon Institute	MachenHarry Lyon Ins	KASYD	1,450	12%
							<b>Subtotal Non-Sponsored</b>	<b>1,450</b>	<b>12%</b>
							<b>TOTAL</b>	<b>11,682</b>	<b>100%</b>

<b>Norris, Steven Sr. Research Associate</b>									
<u>Sponsored Activities</u>	118038-208-PABIZ	Black, Lewis W.	Person, Julie	NATIONAL INSTITUTES OF HEALTH LOC	UL1STANFORD CENTER FOR CLINICALYR5 Special Projects		8-URR025744A	6,083	54%
							<b>Subtotal Sponsored</b>	<b>6,083</b>	<b>54%</b>
<u>Over the Salary Cap Charge</u>	1128406-100-AABKS	DIRECTOR	Person, Julie	STANFORD GENERIC NOT BILLED	Medicine Genl Fd OB	Spectrum to CTSA	AABKS	1,000	9%
							<b>Subtotal Over the Salary Cap Charges</b>	<b>1,000</b>	<b>9%</b>
<u>Non-Sponsored Charges</u>	1128406-100-AABKS	DIRECTOR	Person, Julie	STANFORD GENERIC NOT BILLED	Medicine Genl Fd OB	Spectrum to CTSA	AABKS	1,400	12%
	1027328-2-AABSD	Hamilton, Neil R.	Vasquez, Andrew	STANFORD GENERIC NOT BILLED	VP UE Admin & Management Operations	Salary- VP UE	SWR 12-MAY-05	1,400	12%
	1130692-707-WADYL	Black, Lewis W.	Person, Julie	STANFORD GENERIC NOT BILLED	Committed Cost Sharing for Award PABIZ Norris		Cost Share	1,400	12%
							<b>Subtotal Non-Sponsored</b>	<b>4,200</b>	<b>37%</b>
							<b>TOTAL</b>	<b>11,283</b>	<b>100%</b>

<b>Takahashi, Sarah Sr Res Scientist-Basic LS</b>									
<u>Sponsored Activities</u>	1159471-100-PCCU	Black, Lewis W.	Alcazar, Luis	MAYO CLINIC	The Human Mucosal Immune Response	Mayo Clinic - 108938	SU01A1089859-03	5,776	62%
							<b>Subtotal Sponsored</b>	<b>5,776</b>	<b>62%</b>
<u>Non-Sponsored Charges</u>	1048990-101-KAUWR	Black, Lewis W.	Alcazar, Luis	STANFORD GENERIC NOT BILLED	Grant, Joseph D Professorship	Grant P rfs hp-Greenbe KA UWR		3,500	38%
							<b>Subtotal Non-Sponsored</b>	<b>3,500</b>	<b>38%</b>
							<b>TOTAL</b>	<b>9,276</b>	<b>100%</b>

**Note**

This is an FYI report and requires no certification.

Employees who charge 100% to non-sponsored PTAs are excluded from this report.

Faculty members will receive their own individual report and are excluded from this report.

Starting winter of 2014 100% Payroll distribution certification for all sponsored and non-sponsored activities will be required and available online via "eCertification" application.

# The FYI Quarterly Report Provides Support

- View employee's 100% payroll distribution in \$ and as a % of total salary.
- Use the report to:
  - Get familiar with 100% payroll distribution display
  - Identify required LD adjustments
  - Edit task names to make them more meaningful

# The Future

## Expenditure Statements by project

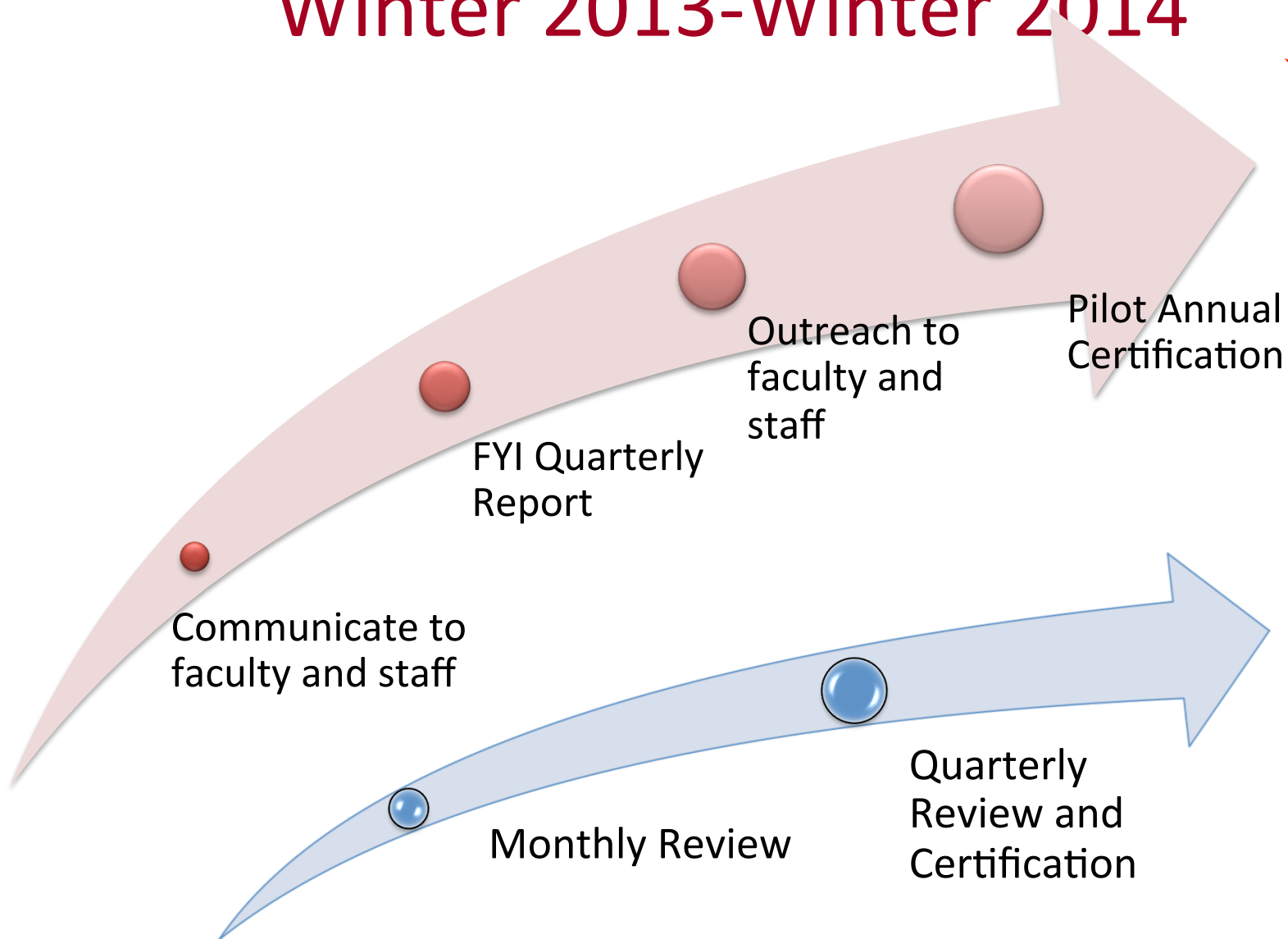
- Monthly Review of the 285 report
- PI Quarterly review and certification of the 149 Report

## 100% Payroll Distribution

- Annual review and certification

# This Year At a Glance

## Winter 2013-Winter 2014

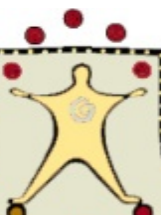




# Thank You

To our subject matter experts representing:

- Earth Sciences
- Engineering
- Education
- Humanities and Sciences
- Libraries
- Medicine
- DoR – Independent Labs, Institutes and Centers



# Contact Us

Sara Bible, Associate Vice Provost for Research  
Office of the Vice Provost and Dean of Research  
[sbible@stanford.edu](mailto:sbible@stanford.edu)

Ken Schulz, Associate Vice President  
Research Financial Compliance & Services  
[kschulz@stanford.edu](mailto:kschulz@stanford.edu)