



# ABC MEETING

**Date:** Thursday, March 10th

**Time:** 9:00 AM – 12:00 PM

**Location:** Tresidder Union, OAK-459, Laguna Drive

## Agenda

**9:00 – 9:30 Compliance, Ethics and Enterprise Risk**

Sonal Shah, Senior Director, Compliance, Ethics and ERM  
Office of Audit, Compliance and Privacy

**9:30 – 9:45 How the Office of Science Outreach Can Assist You**

Kaye Storm, Director, Office of Science Outreach

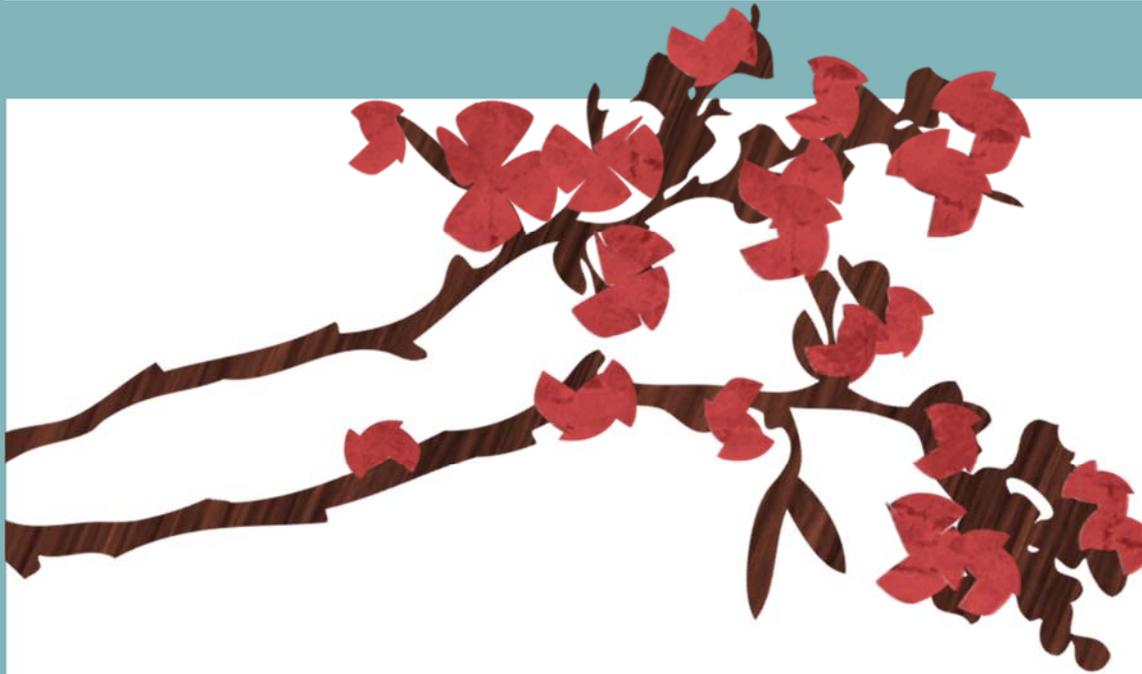
**9:45 - 10:00 Gift Determination and Processing**

Kathleen Thompson, Director RMG & Brandy Kahlig, Director of Development Services

**10:00 - 10:15 Break ☕**

**10:15 – 10:45 News and Updates on CER & PDC**

Ken Schulz, AVP Research Financial Compliance Services (RFCS)



**10:45 – 11:15 SeRA**

SeRA New Look & Feel

SeRA Project Subawards Tab

SeRA My Accounts/My Projects/Upcoming Features

Mich Pane, Tim Leung and John Markley, Office of Sponsored Research

**11:15 – 11:30 OSR Post Award Updates**

Tim Reuter, Director, Post Award Operations, Office of Sponsored Research

**11:30 -11:45 DoResearch and Cardinal Curriculum Updates**

Catalina Verdu-Cano, Sr. Training and Development

Specialist, Dean of Research Office

**Purpose:** Brainstorm what research administration areas need attention and reform, with the goal to develop a prioritized list of potential projects

## Brainstorming guidelines

1. 1 idea per index card
2. As many cards as you want
3. Please write legibly
4. Place cards in the polka-dot box!



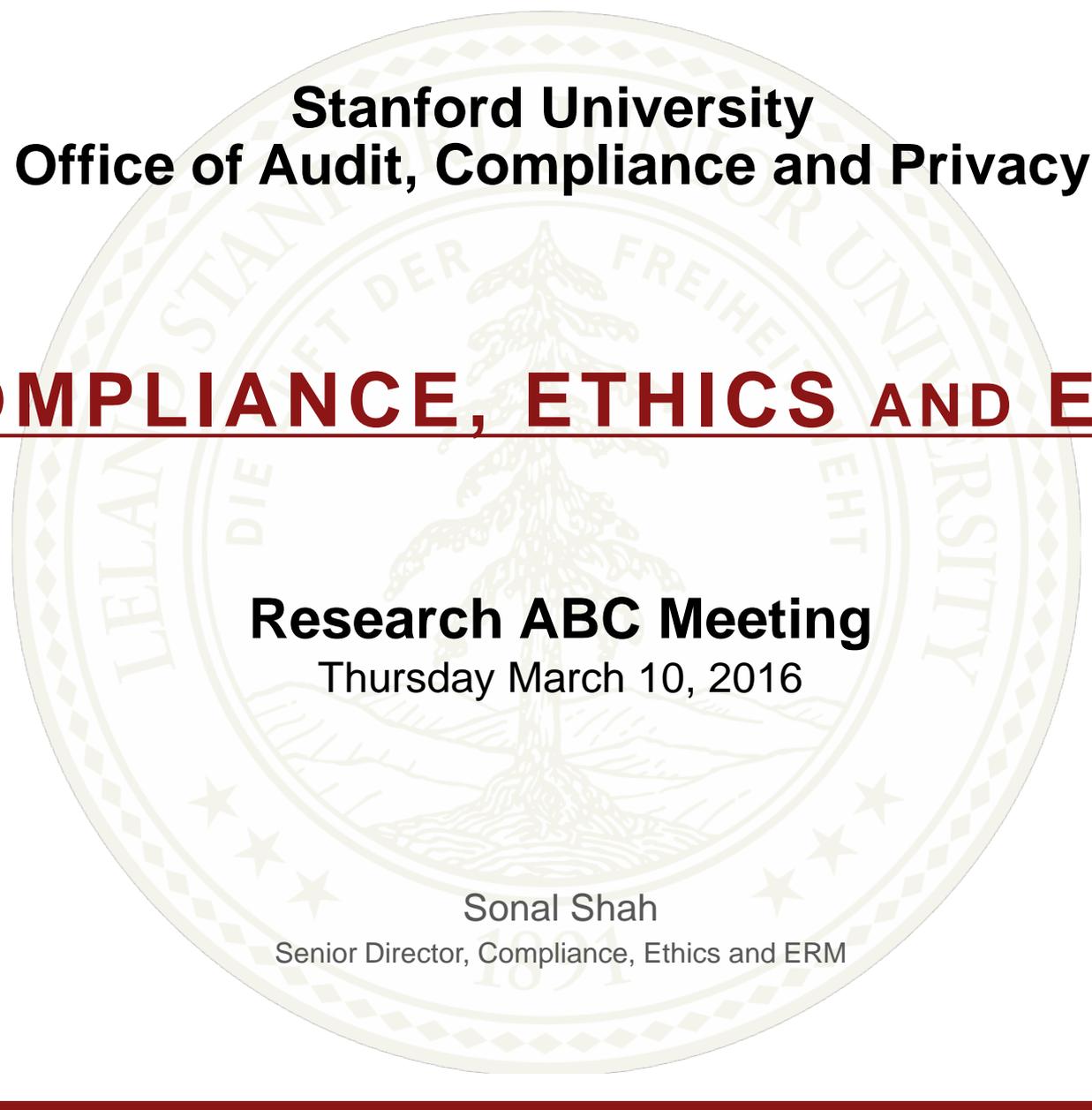
There are no dumb ideas



Don't criticize other people's ideas



No sacred cows



**Stanford University  
Office of Audit, Compliance and Privacy**

**COMPLIANCE, ETHICS AND ERM**

**Research ABC Meeting**

Thursday March 10, 2016

Sonal Shah

Senior Director, Compliance, Ethics and ERM

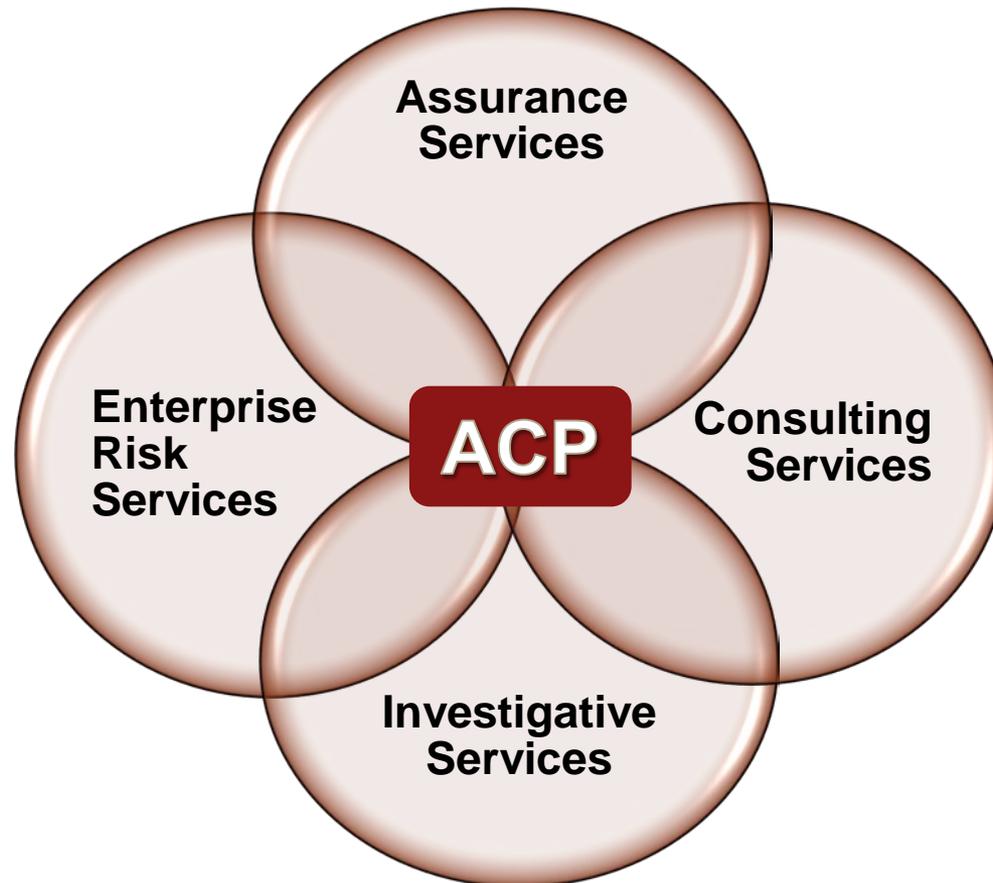


[COMPLIANCE.STANFORD.EDU](https://COMPLIANCE.STANFORD.EDU)

# THE OFFICE OF AUDIT, COMPLIANCE AND PRIVACY (ACP) MISSION

TO PROVIDE INDEPENDENT AND OBJECTIVE  
**ASSURANCE, CONSULTING, INVESTIGATIVE AND**  
**ENTERPRISE RISK SERVICES**

**DESIGNED TO ADD VALUE, IMPROVE OPERATIONS AND MANAGE RISK**



# VISION

## TO BE A VALUED PARTNER AND ADVISOR TO MANAGEMENT, FACULTY AND THE AUDIT, COMPLIANCE AND RISK COMMITTEE

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### ➤ INTERNAL AUDITS

- STANFORD UNIVERSITY (SU) INCL. SCHOOL OF MEDICINE (SOM)
- SLAC NATIONAL ACCELERATOR LABORATORY
- STANFORD MANAGEMENT COMPANY (SMC)
- STANFORD HEALTH CARE (SHC)
- LUCILE PACKARD CHILDREN'S HOSPITAL

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### ➤ COMPLIANCE AND ETHICS, ENTERPRISE RISK MANAGEMENT, INVESTIGATIONS

- STANFORD UNIVERSITY (SU) INCL. SCHOOL OF MEDICINE (SOM)
- SLAC NATIONAL ACCELERATOR LABORATORY
- STANFORD MANAGEMENT COMPANY (SMC)

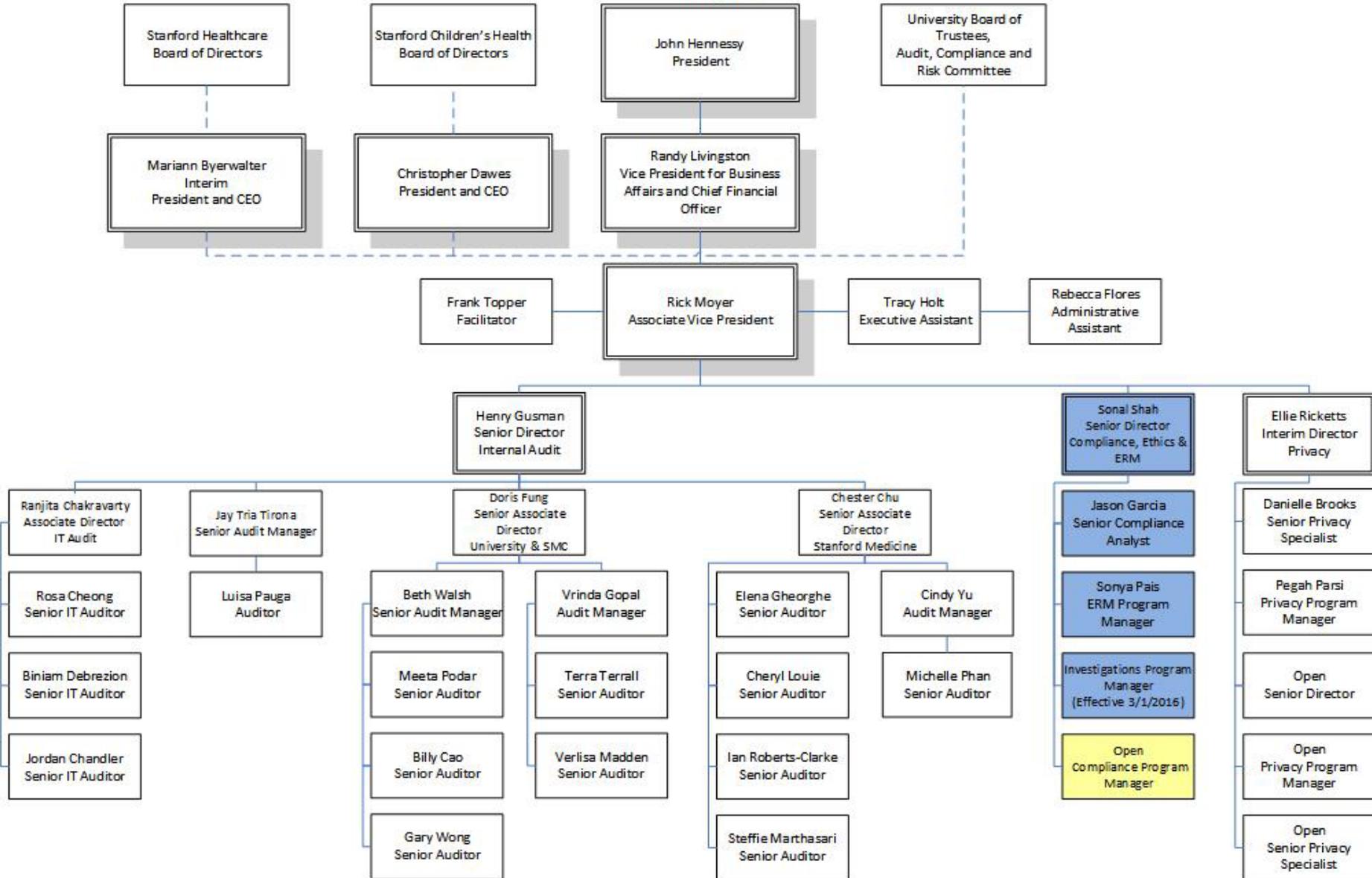
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### ➤ PRIVACY

- STANFORD UNIVERSITY (SU) INCL. SCHOOL OF MEDICINE (SOM)
- SLAC NATIONAL ACCELERATOR LABORATORY
- STANFORD MANAGEMENT COMPANY (SMC)

**Stanford University**  
Office of Audit, Compliance and Privacy

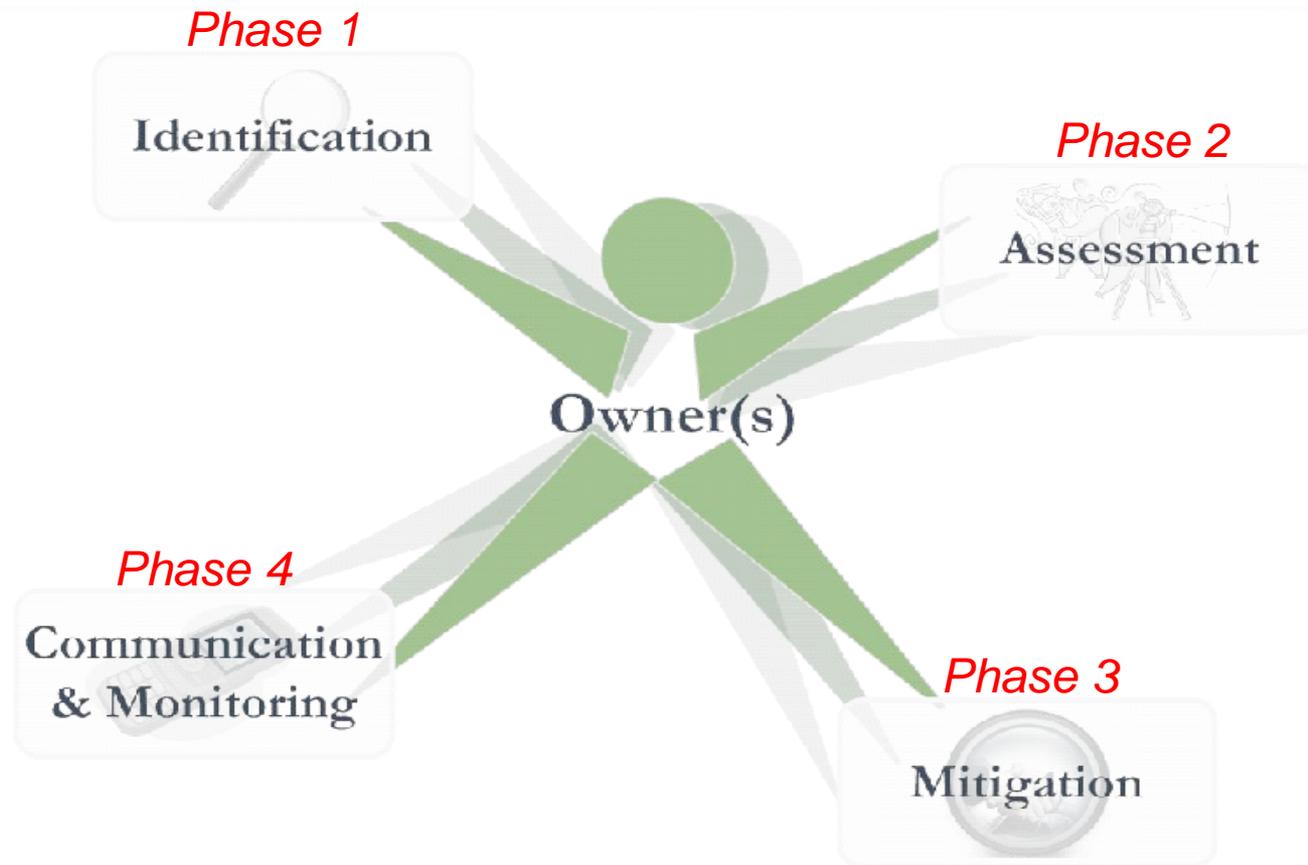
January 2016



# Enterprise Risk Management



# ENTERPRISE RISK MANAGEMENT Process



# ENTERPRISE RISK MANAGEMENT (ERM)

## Stanford University - Categories of Risk

- Healthcare
- Strategic
- Students
- Research
- Campus/Operational
- Financial

The background features a large, light green watermark of the Stanford University seal. The seal is circular and contains a tree in the center, with the text 'LELANI STANFORD JUNIOR UNIVERSITY' around the top, '1891' at the bottom, and 'DIESE DER FREIHEIT' on either side of the tree.

# An Effective Compliance and Ethics Program

# COMPLIANCE AND ETHICS PROGRAM

## A Brief Overview

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1. STANDARDS AND PROCEDURES
2. GOVERNANCE, ORGANIZATION AND REPORTING
3. ONLY HIRE PERSONNEL WHO HAVE ENGAGED IN APPROPRIATE CONDUCT
4. TRAINING AND EDUCATION
5. MONITORING AND AUDITING
6. CONSISTENT ENFORCEMENT AND DISCIPLINE
7. RESPONDING TO NON-COMPLIANCE AND  
MODIFYING THE PROGRAM AS NECESSARY



# FRAUD, WASTE and ABUSE (FWA)

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# SAFEGUARDING AGAINST FRAUD, WASTE AND ABUSE

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**WE STRIVE TO ENSURE THAT THE FUNDS ENTRUSTED TO US ARE USED RESPONSIBLY, AND FOR THEIR INTENDED PURPOSE.**

**WE ASK ALL STANFORD COMMUNITY MEMBERS TO ACT IN A FISCALLY CONSCIENTIOUS MANNER.**

## **FOR...**

- Research
- Education and learning
- Patient care
- Various causes and activities

## **OUR FUNDING IS PROVIDED BY...**

- Governmental and private sponsors
- Students
- Patients and insurers
- Donors

## **MEMBERS OF THE STANFORD COMMUNITY**

**FACULTY, STAFF, STUDENTS, CONSULTANTS, VENDORS, CONTRACTORS AND VOLUNTEERS**

# FRAUD, WASTE and ABUSE (FWA)

## FRAUD

**INTENTIONALLY, KNOWINGLY AND WILLFULLY ATTEMPTING TO EXECUTE A SCHEME TO FALSELY OBTAIN PAYMENT FROM A FEDERAL, STATE OR OTHER GOVERNMENTAL ORGANIZATION.**

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HOW DOES IT APPLY TO MEMBERS OF THE STANFORD COMMUNITY?

**KNOWINGLY PERPETRATING A SCHEME TO DEFRAUD A GOVERNMENTAL AGENCY OR STANFORD UNIVERSITY OR ANY OF ITS AFFILIATES.**

MERRIAM-WEBSTER'S DICTIONARY:

“TO DEPRIVE OF SOMETHING BY DECEPTION OR FRAUD  
“CHEAT, SHORT-CHANGE, SWINDLE, FLEECE, SKIN,  
BLEED, HUSTLE, VICTIMIZE, ETC.”



# FRAUD, WASTE and ABUSE (FWA), contd.... WASTE

**SPENDING THAT CAN BE ELIMINATED WITHOUT REDUCING QUALITY OF THE SERVICE OR PRODUCT.**

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HOW DOES IT APPLY TO MEMBERS OF THE STANFORD COMMUNITY?

**CARELESSLY USING GOVERNMENTAL RESOURCES OR THE RESOURCES OF STANFORD UNIVERSITY OR ANY OF ITS AFFILIATES.**

MERRIAM-WEBSTER'S DICTIONARY:

“TO DAMAGE OR DESTROY GRADUALLY AND PROGRESS

“TO SPEND OR USE CARELESSLY OR USELESSLY: SQUA



# FRAUD, WASTE and ABUSE (FWA), contd....

## ABUSE

**IMPROPER BEHAVIOR OR BILLING PRACTICES THAT CREATE UNNECESSARY COSTS.**

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HOW DOES IT APPLY TO MEMBERS OF THE STANFORD COMMUNITY?

**IMPROPERLY USING GOVERNMENTAL RESOURCES OR THE RESOURCES OF STANFORD UNIVERSITY OR ANY OF ITS AFFILIATES SO AS TO RAISE THE COSTS OF SERVICE OR PRODUCT.**



MERRIAM-WEBSTER'S DICTIONARY:

“CORRUPT PRACTICE”

“INCORRECT OR IMPROPER USE: MISUSE”

“TO USE SO AS TO DAMAGE: MISTREAT”

“TO USE TO EXCESS”

# FRAUD TRIANGLE

## Rationalization

Justification of dishonest actions.

# FRAUD

## Opportunity

Ability to carry out misappropriation of cash or organizational assets.

## Pressure

Motivation or incentive to commit fraud.

The background of the slide features a large, light-colored watermark of the Stanford University seal. The seal is circular and contains the text "LELAND STANFORD JUNIOR UNIVERSITY" around the top edge and "1891" at the bottom. In the center of the seal is a redwood tree with a landscape below it.

# Conflict of Interest and Conflict of Commitment

# CONFLICT OF INTEREST

ADMINISTRATIVE GUIDE 1.5.2 – STAFF POLICY ON CONFLICT OF COMMITMENT AND INTEREST

**STANFORD FACULTY AND STAFF OWE THEIR PRIMARY PROFESSIONAL ALLEGIANCE TO THE UNIVERSITY.**

ALL OF THE ACTIVITIES UNDERTAKEN SHOULD BE PERFORMED WITH THE BEST INTERESTS OF STANFORD, OUR SPONSORS, OUR STUDENTS, OUR DONORS AND OUR PATIENTS IN MIND.

**OUR RESEARCH SHOULD BE CONDUCTED WITH INTEGRITY.**

THERE SHOULD BE **NO ACTUAL OR PERCEIVED PERSONAL GAIN** FOR THE STANFORD FACULTY AND STAFF AND FRIENDS.



# CONFLICT OF INTEREST

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## THE FOLLOWING ACTIONS ON THE PART OF STAFF MEMBERS ARE PROHIBITED:

- Participation in **negotiating/approval of business transactions** in which the individual, or an immediate family member has a Significant Financial Interest or an employment or consulting arrangement.
- Acceptance of **unsolicited gifts** exceeding \$50 in value, OR **solicited gifts** in any amount, OR special favors from organizations or individuals with which the University does OR may conduct business.
- **Use of University resources**, except in a purely incidental way, for purposes other than the performance of the individual's University employment.

# CONFLICT OF COMMITMENT

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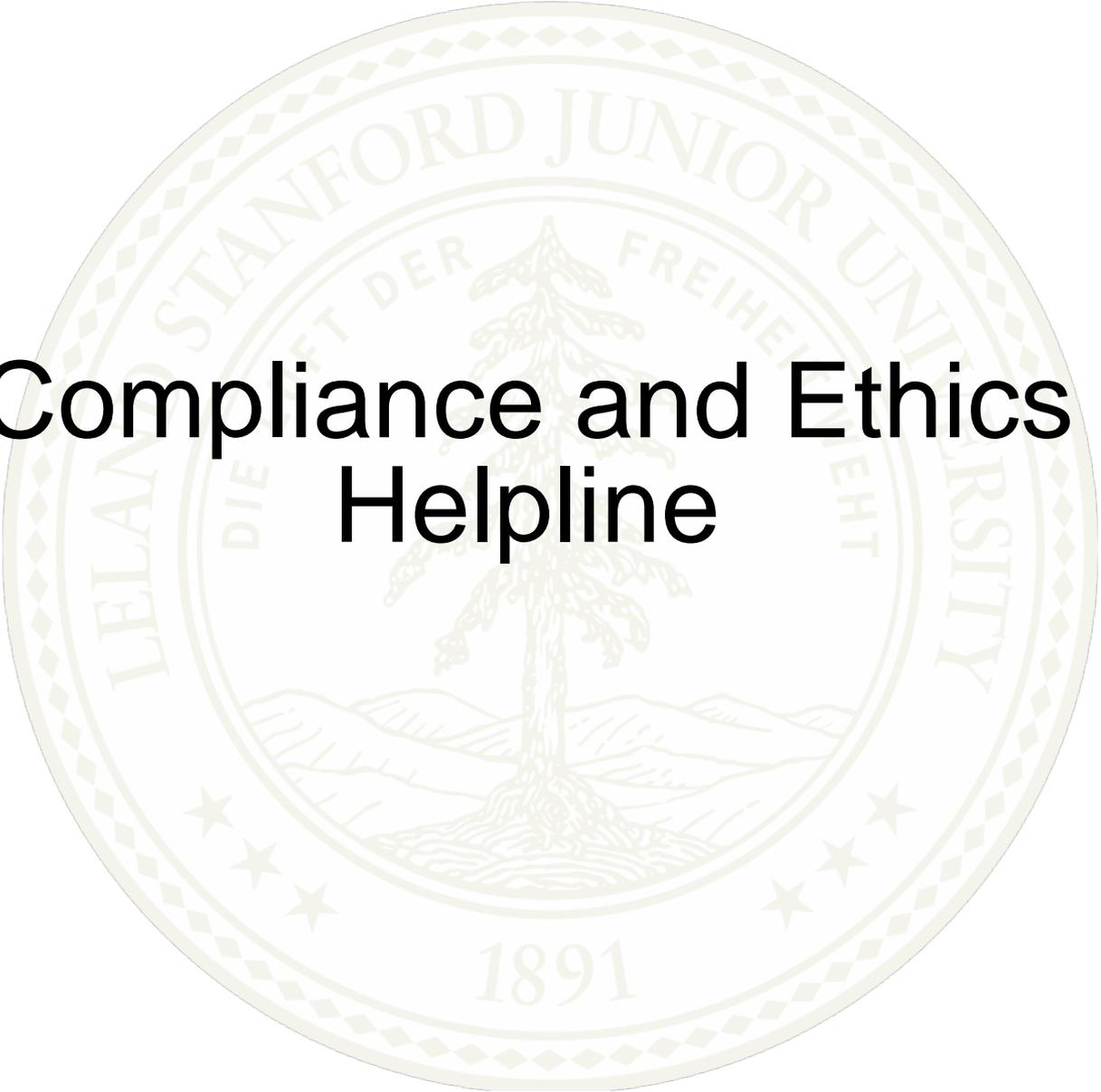
AGAIN, AS WE KNOW, STANFORD FACULTY AND STAFF OWE THEIR PRIMARY PROFESSIONAL ALLEGIANCE TO THE UNIVERSITY.

**A CONFLICT OF COMMITMENT CAN ARISE WHEN PERSONS ATTEMPT TO BALANCE THEIR RESPONSIBILITIES TO THE UNIVERSITY WITH THEIR EXTERNAL ACTIVITIES**

E.G., CONSULTING, SPEAKING ENGAGEMENTS, PUBLIC SERVICE, ETC.

**A CONFLICT OF COMMITMENT USUALLY INVOLVES ISSUES OF TIME ALLOCATION.**



The background features a large, light-colored watermark of the Stanford University seal. The seal is circular and contains the text "LELANO STANFORD JUNIOR UNIVERSITY" around the top, "DIE FREIHEIT DER FREIHEIT" in the center, and "1891" at the bottom. In the center of the seal is a tree on a hill.

# Compliance and Ethics Helpline

# COMPLIANCE AND ETHICS HELPLINE

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## If You See Something, Say Something!

### REPORT CONCERNS TO:

- Supervisor or manager
- Human Resources representative
- Research Compliance Office
- Environmental Health & Safety
- Office of the General Counsel
- Office of the Ombuds
- Office of Audit, Compliance and Privacy

### Compliance and Ethics Helpline

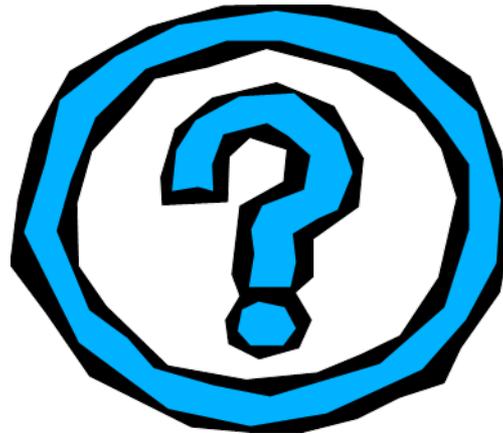


- › Phone: 650-721-2667
- › Email: [compliance@stanford.edu](mailto:compliance@stanford.edu)
- › Web Form (anonymous): [helpline.stanford.edu](http://helpline.stanford.edu)

**INDIVIDUALS WHO REPORT CONCERNS IN GOOD FAITH  
WILL NOT BE SUBJECT TO RETALIATION**



# QUESTIONS AND COMMENTS



Office of Audit, Compliance and  
Privacy

650-725-0074

[acp.stanford.edu](http://acp.stanford.edu)

# Office of Science Outreach

## Resources for Faculty

Developing proposals

Programs to tap into

Facilitating partnerships & collaborations

## Resources for Public

Programs & resources for K-12 teachers & students

Public lectures & events

Programs & opportunities for SU students



*Portal to all things science outreach*

## The Office of Science Outreach helps PIs...

- Develop the Broader Impacts component of a grant proposal
- Present a lecture about their research for a lay audience
- Host a science teacher or HS student during the summer
- Create web-based science games or lessons for kids
- Create demos or exhibits for large community events
- Develop a long-term partnership with a local school or museum
- Act as a “science mentor” or “guest lecturer” for a local teacher or classroom
- Teach a continuing studies course for the general public

*HS science teacher Saum Zargar studied how to more efficiently cool off an overheated person in the lab of H. Craig Heller, through the Stanford Research Program for Teachers.*



# Contact the OSO

Kaye Storm, Director  
kstorm@stanford.edu  
650.724.4332

Maiken Bruhis, Asst. Director  
mbruhis@stanford.edu  
650.725.8144

Check out the faculty resources here:  
<http://oso.stanford.edu/resources/faculty>



*Professor Jennifer Dionne & students  
at the Bay Area Science Fair. Over  
20,000 people attended!*

# Gift Determination and Processing

**KATHLEEN THOMPSON**  
**DIRECTOR, RESEARCH MANAGEMENT GROUP**

**BRANDY KAHLIG**  
**DIRECTOR, DEVELOPMENT SERVICES**



# Working Group Formed to Review Gift vs. Sponsored Project Policy & Process

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## **Dean of Research**

Sara Bible

Patti McCabe

Ken Merritt, Manager

## **OSR and RMG**

Russell Brewer

Mich Pane, Director

Kathleen Thompson

## **Research Financial Compliance & Support**

Ken Schulz

## **Office of Development**

Kathy Veit

Howie Pearson

Carol Kersten

Joy Morimoto

Brooke Groves-Anderson

Joyce Lee



# Working Group Formed to Review Gift vs. Sponsored Project Policy & Process

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A series of meetings were held with the goal of developing.....

- ✓ a more consistent approach
- ✓ based on a smoother and quicker determination process
- ✓ resulting in proper classification



# Group Challenges

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- We reviewed a number of awards using the current determination process; we struggled for consensus on the classification of gift vs. sponsored project
- As a result, we determined the current determination process needed to be reevaluated
- A sub-group was formed to develop recommendations for revisions to policy and process



# New Approach to Determination

## Proposal Commitments

Broad research focus described vs. Detailed scope of work or specific line of inquiry

## Award Terms

Are there requirements for deliverables, rights to intellectual property, control of publications, or other questionable terms

## Proper Classification

## Reporting Requirements

Requirement for a general report on disposition of funds and general description of progress  
vs.  
Detailed line-item financial report  
And detailed technical report of results

# Updates to Definition of Gift (RPH 13.1)

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- ✓ Policy now clarifies that a proposal/request can be submitted to a potential donor
- ✓ The determination process now focuses on the terms of the award
- ✓ Period of performance and return of unspent funds are no longer (by themselves) an indication that funding must be accepted as a sponsored project



# Conditions of Gift Award Template

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- Recommended for gifts from donors, including “industry” sponsors. Establishes mutual understanding:
  - Intellectual property or data will be retained by Stanford
  - Stanford will provide acknowledgement of funding in publications
  - Infrastructure fee of 8% will be applied



# GTS Updates and Enhancements

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- Three new features in GT
  - Return to initiator available to OSR/RMG officers
  - Ability for OSR/RMG officers to attach documents in GT at any point
  - New questionnaire will be included



# GTS Updates and Enhancements

- Gift Transmittals Home
- Gift Transmittal Form <<
- New Gift**
- Back to Search Results
- RMG/OSR Setup
- Annual Award Setup
- Stewardship Report Setup
- Ship Setup
- Authority Check

## Gift Transmittal Form

Transmittal Id: GT107042 Original Source: Manually-entered  
Transmittal Amount (\$): 6,686,876.00 Total Gift Amount (\$): 6,686,876.00  
Gift Type: Gift Postmarked Date: 03/07/2016  
Transmittal Status : **Rejected** Received Date: 03/07/2016  
Donor(s): Denis & Roberta Wong Foundation (Primary Donor)

Gift Transmittal Form

Workflow

### \* View Attachments

Test for gift upload2.pdf

### DEPOSIT GIFT IN NEW OR EXISTING ACCOUNT

\* Existing Fund

For a complete list of values, enter "%%%"

Award Owning Org AAHH - Hoover House Operations Org Code Hierarchy  
\* Fund AABTT - Hoover House Operations Fund Authorization

Transmittal Total (\$): 6,686,876.00

Transmittal has a Non-Gift portion

Transmittal Gift Amount (\$): 6,686,876.00

Anonymity  None  Publications  Gift Amount

### \* GIFT OR SPONSORED PROJECT SCREENING

#### Donor/Sponsor Type

- Yes  No Donor/Sponsor is a branch of a federal, state, or local government?  
 Yes  No Donor/Sponsor is a foreign government or primarily funded by a foreign government?

#### Award Terms

- Yes  No Donor/Sponsor requires deliverables (e.g. equipment, records, detailed research results, study data)?  
 Yes  No Donor/Sponsor requests ownership of intellectual property (e.g. licenses, copyrights, royalties)?  
 Yes  No Donor/Sponsor requests control of publications?  
 Yes  No Other questionable terms (e.g. indemnification, hold harmless, confidentiality, arbitration)?

### \* FACULTY INFORMATION



# GTS Updates and Enhancements

**Gift Transmittals Home**

Gift Transmittal Workflow «

**New Gift**

Back to Search Results

RMG/OSR Setup

Annual Award Setup

Stewardship Report Setup

Ship Setup

Authority Check

## Gift Transmittal Workflow

Transmittal Id: **GT107043**      Original Source: Manually-entered

Transmittal Amount (\$): 40,000.00      Total Gift Amount (\$): 40,000.00

Gift Type: Gift      Postmarked Date: 03/07/2016

Transmittal Status : In Review      Received Date: 03/07/2016

Proposed Donor(s): Denis & Roberta Wong Foundation (Primary Donor)

Gift Transmittal Form
Workflow

Transmittal Total received by Development Services

Reference Number  Reference Number Added On :

Note: If the total gift amount is \$20000 or above, then an approver at the school/unit level is required. Otherwise, an approver from either the department or school/unit level is required.

Compare to PG on amount only

Add	Remove	Reassign	Person	Role	Task	Action	Action Date	Comments
			Kohlmeier, Lucy H.	Gift Initiator	Gift Transmittal Initiator	Completed	03/07/16	
			Kohlmeier, Lucy H.	Gift User	Complete Transmittal Form and Assign Approvers	Completed	03/07/16	Test for RMG/OSR Approvers in workflow
		Reassign	Kahllig, Brandy N.	RMG/OSR Officer	Designate Gift or Sponsored	In Progress		
Add		Reassign	Kouvelas, Janet	School/Unit Approver	Approve/Reject Transmittal			
				Development Services	Assign Stewardship Officer			
				OOD Fundraiser	Complete Stewardship Form			
				Development Services	Post Gift to Fund			

Receipt Number

[Validate Donors](#)

Transmittals Currently Linked to GT107043

None



# Questions

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# ABC Research Group

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*Annual Payroll Distribution Certification*

**Consolidated Expenditure Reporting**

**COMING ATTRACTIONS**

*Ken Schulz*

*Research Financial Compliance & Services*

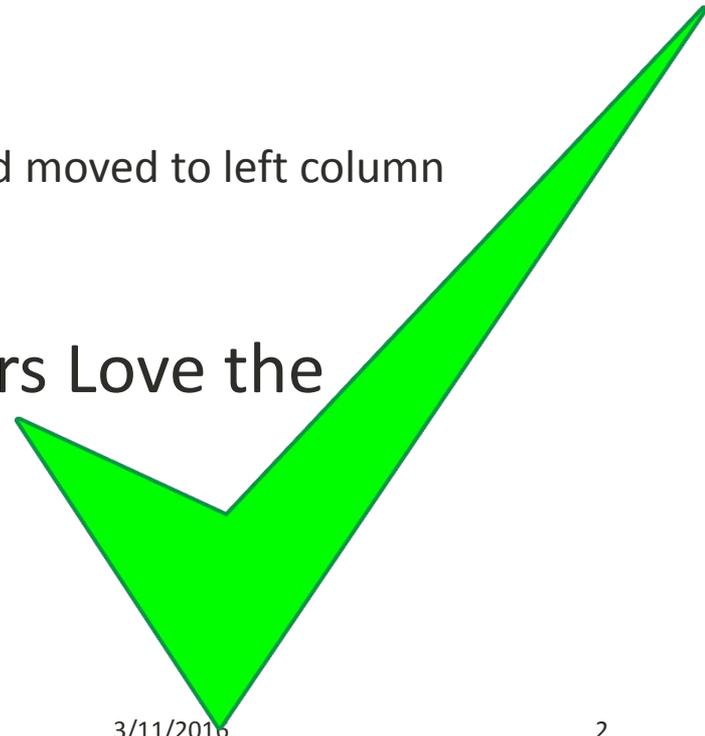
# *Annual Payroll Distribution Certification*

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## ENHANCEMENTS

- Ability to select past years
- A series of new reports is available under the new reports tab
- Overseers can reassign task manager
- A new look and feel that integrates with SeRA beginning 3/14
  - ◆ New colors
  - ◆ New fonts
  - ◆ Top line with: Home, Reports, Help, Change Period moved to left column
- Certifiers begin Certifying March 21
  - ◆ 4 orgs complete!!!
  - ◆ Several more are over 50% complete!
  - ◆ The rest of you: GET REVIEWING

Certifiers Love the





Preparing for the  
transition....

*RM3 to OBI*

# Outreach/Change Management Activities

## Survey Results and Action Items

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Total Recipients **1,600**

**All** Business  
Units

**480** Total Responses

Response Rate **30%**

**551** Individual comments

# CER User Acceptance Testing

Preparing for a successful transition

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After a lot of weeks of testing:

**562** Participants

From **26** Budget Units

Representing **96** Different Jobs

Research Administration

Over 200 Participants

Over 1,000 User Days of Testing

Over 25,000 Testing Queries

**2,358**\* User Days in the System Testing

\* That's over 9 years!

over **90,000** queries run  
by participants

and over **130,000** queries in total

**175** Logged enhancements  
by UAT testers

Already Implemented **94**

# CER Top 3 Concerns and Challenges

## Survey Results and Action Plans

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### 1. System Performance – *Proactive and contingency planning underway*



- Will not go-live unless performance is equal or better than RM3

### 2. User Interface & Usability – *UAT Distributed User Feedback incorporated into design prior to go-live*



- Significantly simplified interfaces
- Legacy versions of reports to ease transitions
- Revised and intuitive report names

### 3. Support when you need it – *Partnering with FSC on short-term augmentation with project team resources; long-term tiered strategy*



- Financial Support Center
- Real-time training resources
- RM3 to OBI report mappings
- Task based reports mapping
- BU information and outreach sessions

# CER Preview

THE FOLLOWING **PREVIEW** HAS BEEN APPROVED FOR  
**RESEARCH ADMINISTRATION REPORT USERS**

**WARNING**

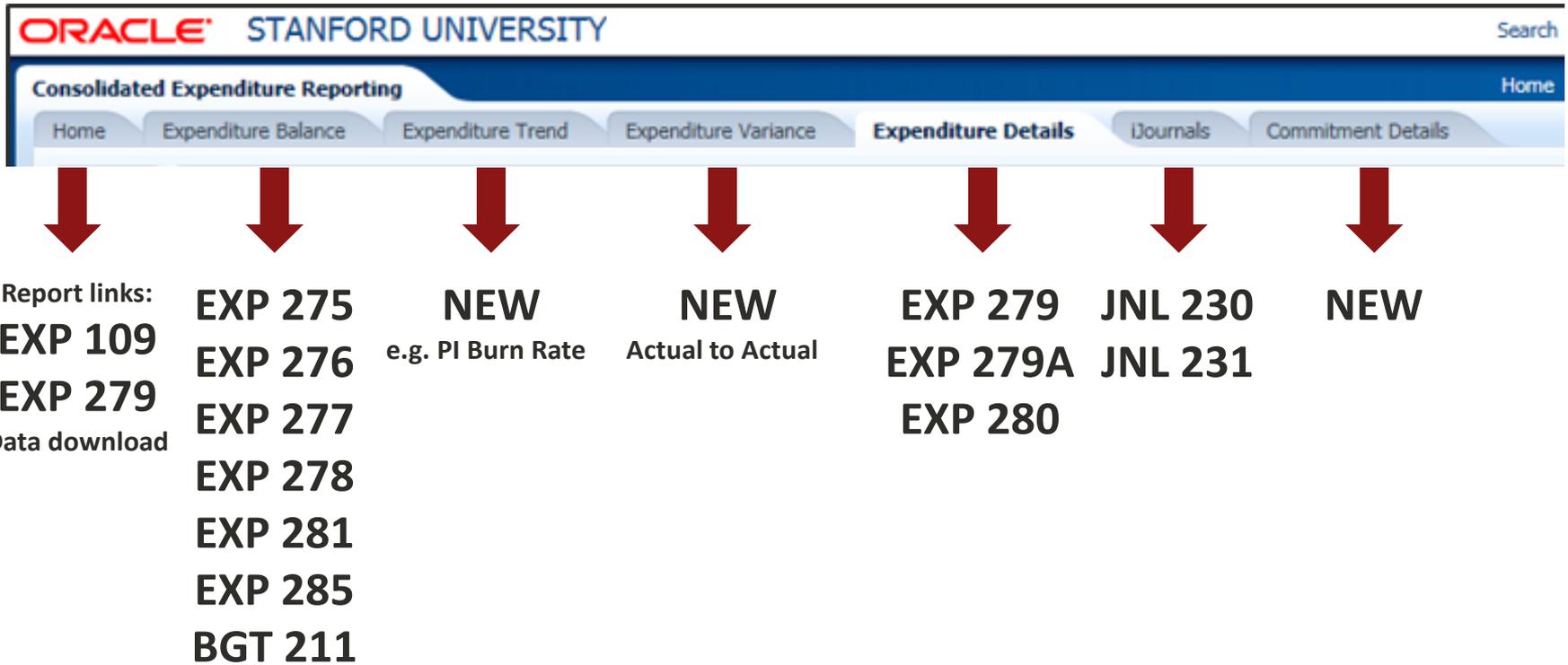
THE FOLLOWING SLIDES MAY NOT BE SUITABLE FOR SOME ADMINISTRATORS

ACCORDINGLY,

VIEWER DISCRETION IS ADVISED

# RM3 Reports Included in the Scope of CER

**\*RM3 reports shown below will not be retired until sometime after YEC FY2016**

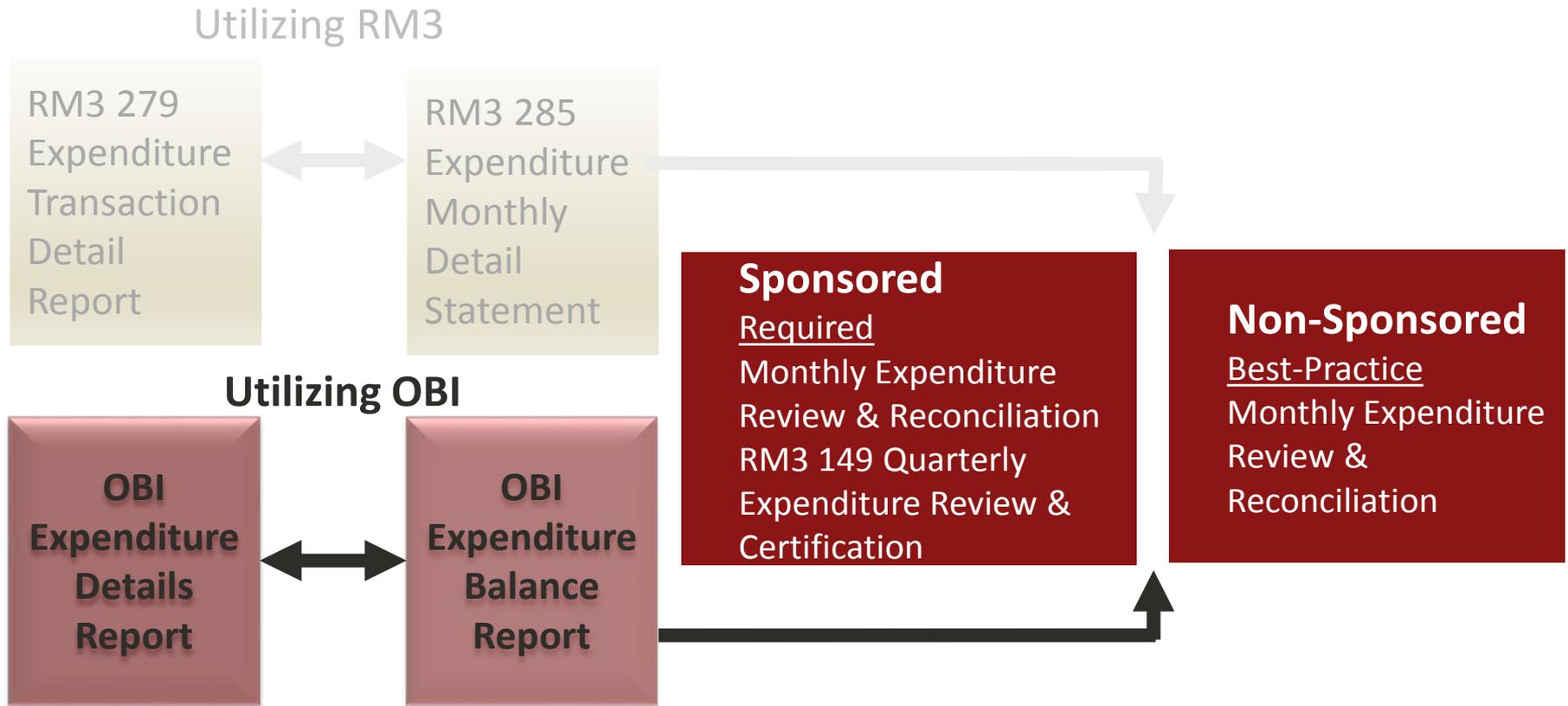


**Drill down to transaction details formerly found in:**

**LABOR 168, LABOR 169, LABOR 170, LABOR 172, LABOR 173, LABOR 247, IOU 265, IOU 266, IOU 267, IOU 269, IOU 268, PCARD 187, TCARD 301, JNL 230, JNL 231**

# How Will Your Business Be Affected by CER?

## Expenditure Detail Review Process



**Advantages:** Additional reporting views and interactive features to support richer analysis:

- Variance and Trend reporting
- Drill-down to iJournal details, Payroll and Labor Management and Expense Request Details (based on Authority Model)
- Customization capabilities

# How Will Your Business Be Affected by CER?

## What Won't be Delivered in this Rollout

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### Post CER

**Electronic delivery of FIN\_EXP\_285 Expenditure Detail Report**

Delivery of Pushed RM3 285 continues

We will work with Campus to Determine if a delivered expenditure statement is still needed after rollout

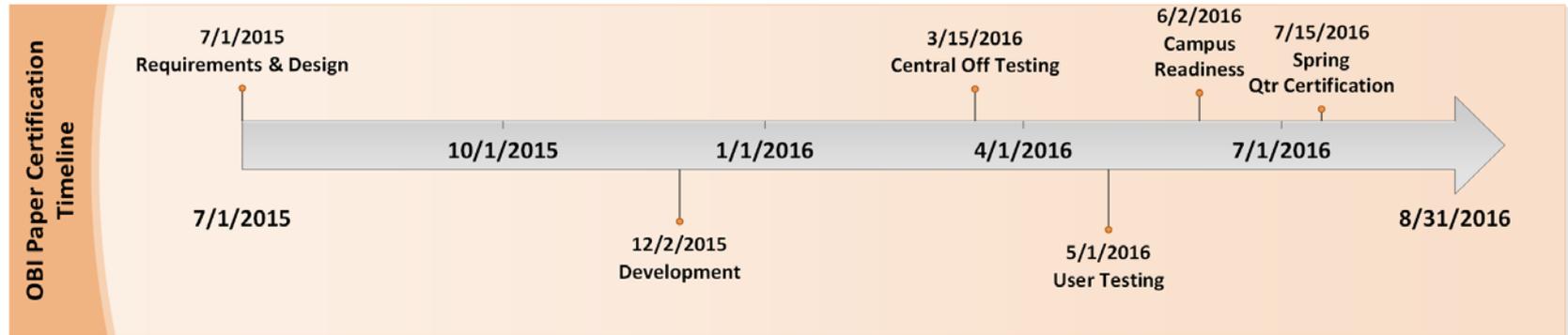
FIN\_CAP\_107\_Mo\_Detail\_Statement

FIN\_OSR\_179\_Exp\_Award

### Included in Expenditure Certification Project

FIN\_EXP\_149 Quarterly Expenditure Review and Certification  
(Delivery in both RM3 and later by OBI)

# Future Vision of Certification Process



## AUTOMATED QUARTERLY EXPENDITURE CERTIFICATION PROJECT TIMELINE (OFFICIAL NAME PENDING)

2016	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2017	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Planning													Development												
Requirements													QA Test												
Core reqmts													UAT Test												
SME reqmts													Readiness												
Faculty reqmts													Pilot Rollout												
Schools input													Campus Rollout												
Func. Design																									
Tech Design																									
Development																									



**How you will be supported**

# Authority and Access

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- Initial CER Release:
  - ◆ Users of RM3 reports will automatically be granted OBI CER authority based on the scope of their RM3 authority (now is a good time to clean up existing RM3 authority)
  - ◆ Training will be required for **new OBI users** before access is granted (FIN-0340: Intro to OBI Financial Reporting)
  
- Post Release:
  - ◆ Schools and departments will be responsible for granting authority to new users and monitoring/updating authority
  - ◆ Training will be required before access is granted (FIN-0340: Intro to OBI Financial Reporting)

# Learning Path for New Dashboard Users

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## Required training

FIN-0340:  
Intro to OBI  
Financial  
Reporting

Obtain  
Dashboard  
Access

## Business Process Focused Courses

FIN-0160  
Reviewing &  
Reconciling  
Expenditures

FIN-XXXX  
Variance  
Analysis  
(summer 2016)

FIN-XXXX  
Burn Rate  
Analysis  
(summer 2016)

# Support Resources

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- Post-implementation Q&A sessions
  - ◆ Starting April, schedule to be announced
- Trained Specialists in the Financial Support Center
- Friday Open Labs
  - ◆ Every Friday, 9:00 – 12:00, Birch Lab
- Fingate online resources



## ■ Your Colleagues



# Fingate Support Resources

SU Home Search Fingate   Contact Us

FINANCIAL SYSTEMS OBI FINANCIAL REPORTING



[Fingate Financial Reporting Tools](#) > [OBI Financial Reporting](#) > About OBI Financial Reporting

Staff Financial Home

OBI News

About OBI Reporting

Access

Training

How To...

Reports

Status & Updates

Contacts

## About OBI Financial Reporting

### What Is OBI?

OBI stands for Oracle Business Intelligence – a suite of reporting and analysis tools in an easy to use interface. Through the implementation of OBI, we are evolving financial reporting to a whole new level by delivering the right tool to the right people with the right skill level:

- **Report Viewer authority:** Pre-defined and interactive reports for administrative and financial staff
- **Intermediate Ad Hoc authority:** Robust and dynamic ad hoc analyses for budget officers and experienced financial analysts

### Why Use OBI?

- **Cross Application Reporting**  
Report on PeopleSoft and Oracle Financials data from a single user interface

### Launch Systems:

Oracle (ofweb)

[Browser Requirements](#)

### Resources:

- » [Quick Start Guide](#)
- » [Predefined Report List](#)
- » [RM3 to OBI Crosswalks & OBI Task Mapping](#)
- » [Data Definitions Search](#)
- » [OBI Authority Model](#)
- » [Confidentiality Agreement](#)

### Learn about Systems:

CMS

# Staying Informed

---

- Watch for OBI email communications
- Read OBI News online

## What's New with OBI?

---

Monday December 7, 2015 | [Archived News](#)

### OBI: Expenditure Reporting Steps Up

We are nearing a major milestone in the efforts to improve financial reporting at Stanford through the Evolve Financial Reporting (EFR) program. The program's tool, [Oracle Business Intelligence \(OBI\)](#), makes data easier to use, understand, and interpret. EFR is enabling university staff to respond to information requests more rapidly, and with confidence in the results.

So far, the EFR program has delivered Payroll and Labor Management reporting and Expense Requests and Stanford Credit Card reporting.

**What's Next:** Consolidated Expenditure Reporting (CER) will be released in March 2016. CER will include new and powerful reporting and analysis capabilities, designed in collaboration with people from across the university. It will cover expenditure statement-reporting that now is delivered through reports such as the **ReportMart3 279** and **285**. (Here's the full list of [affected RM3 reports](#). Note that the RM3 reports won't be retired until after year-end close.)

We'll have more information in the coming weeks and months about the March rollout of CER. Past issues of OBI News can be found in the [News Archives](#).

---

### Campus Outreach



Financial Management Services (FMS) has conducted individual outreach sessions with **more than two dozen business units** across campus. These meetings have provided unit finance leaders with information about the **capabilities** of the new tool, staff **usage analyses** of OBI and the in-scope RM3 reports, the implementation **timeline**, and how **unit change agents** and **change sponsors** can drive a successful transition. [...read more](#)

---

### Plenty of Training Ahead



Users who are new to OBI will be required to take the online course [Introduction to OBI Financial Reporting](#) in STARS. This course recently was updated, so it's valuable not only for new users, but also for anyone who wants to learn more or just get reacquainted with the tool's many useful features. This course is available now. [...read more](#)

---

### Support You Can Count On



With the implementation of CER, users will find numerous resources to ensure their successful transition to the new tool—just as in the previous phases. There will be campus QA sessions soon after the March release, and a weekly lab where knowledgeable staff help you to optimize your experience with OBI reporting. [...read more](#)

# Change Management Team

Partnering across Business Affairs and DoR

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*Financial Management Services*

**University IT**

*You & Your  
Colleagues*

# Change Management Plan

## Communications, Training and Support

---

### **Communications:**

- Business unit needs assessment information sessions
- Updates and information to RM3 report users

### **Training:**

- Modularized training modules by business process
- Unit-specific training and outreach upon request

### **Self-service support:**

- Quick-start guide
- RM3 to OBI crosswalks
- Task mapping crosswalks
- Report overviews
- How-to instructions and demos
- And more ...

### **On-demand support:**

- Financial Support Center
- Friday open labs
- School and Department SMEs

The background consists of several concentric circles. The innermost circle is a dark green. The next ring out is a lighter green. The third ring is a yellowish-green. The outermost ring is a medium green. The text is written in a white, cursive script across the center of these circles.

“That’s all Folks!”

# SeRA & OSR Update

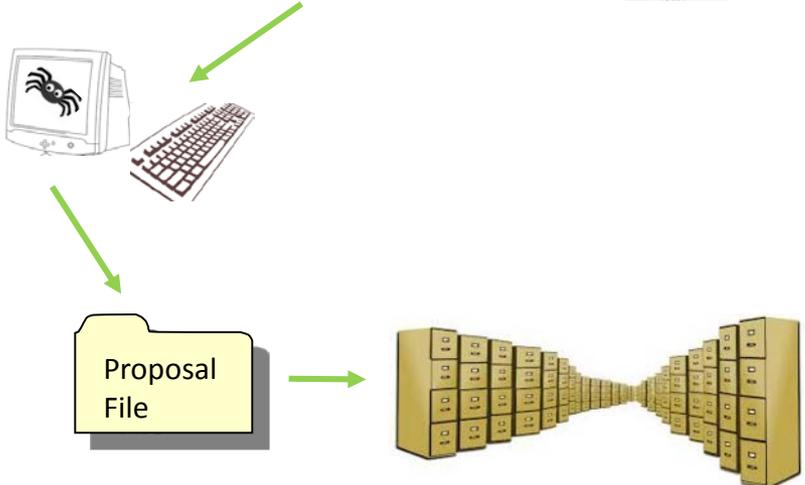
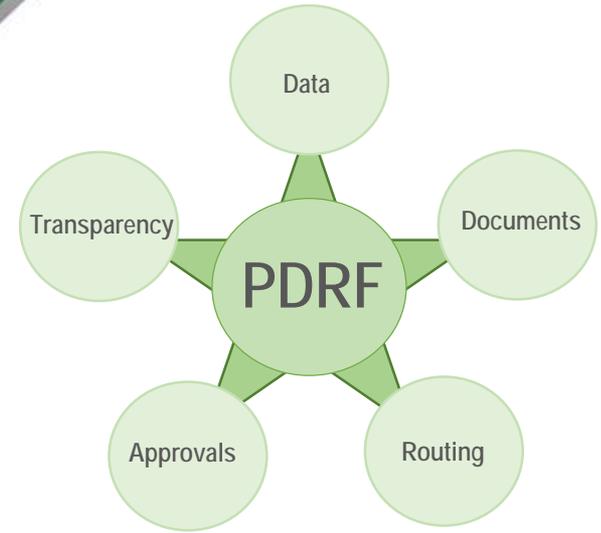
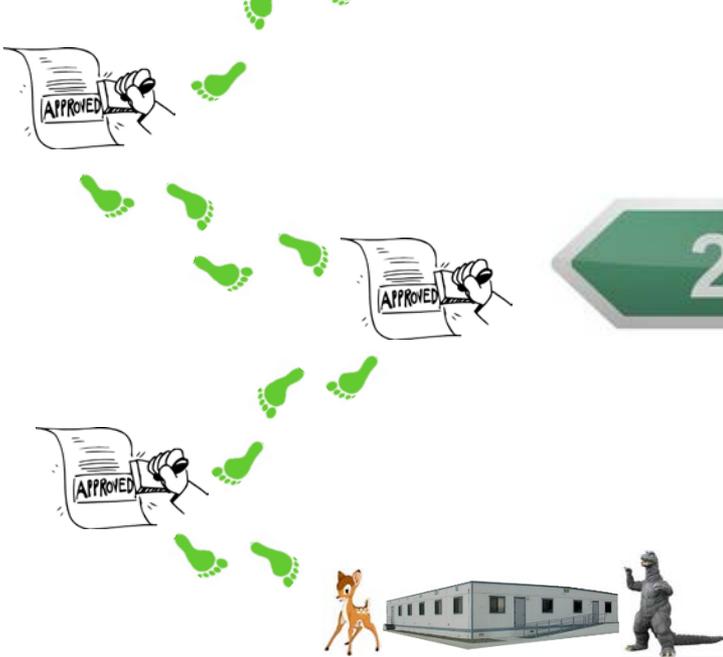
ABC Meeting March 10, 2016





# Proposal Processing

SeRA PDRF Released  
In January 2010



25,000 PDRFs have been processed through SeRA supporting over 4000 Principal Investigators and Fellows





# Award Processing

# 2011

SeRA Notice of Award Released In February 2011



29,000 Notices of Award have been issued through SeRA supporting nearly 3000 Principal Investigators



# It's been 6 years.....

## And SeRA is getting a face lift

The new SeRA will be released on March 12, 2016

Release previews and post-release parties will be held to present the new look and feel with interactive demos.

Campus Release Events @ Clark Center - Room S360

- ✓ March 1 – 2:30 to 4:30 pm
- ✓ March 7 – 2:30 to 4:30 pm
- March 16 – 9:00 to 11:00 am
- March 24 – 9:00 to 11:00 am

There will be giveaways, raffle drawings, and on-site help!



# Transaction Processing

Reduce Duplicate Entry

Improve Process Transparency, Provide Real-Time Status

Some examples:

- Carry over fields from one PDRF to the next within the same project
- Push project level data to account setup transactions
- New OSR Request Form at the project level records date of submission by the administrator, shows who has it and for how long

## OSR Request Form

### Request Details

Transaction ID: DEP634935  
Assigned to: Julian, Shereda  
Status: In Progress

### Request Type

Select Request | No-Cost Extension Request

*Provide details about your request in the Request Notes field below.*

### Transaction Routing History

Action Item	Status	Assignee	Assigned	Completed	Comments	Reassign
Initiate Request	Completed	Lauren Nicholson	03/03/2016 12:02 PM	03/03/2016 12:04 PM		
Process Request	Reassigned	OSR Proposal Queue	03/03/2016 12:04 PM	03/03/2016 01:24 PM		
Process Request	Reassigned	Flora Hsu	03/03/2016 01:24 PM	03/03/2016 01:25 PM		
Process Request	In Progress	Shereda Julian	03/03/2016 01:25 PM			<a href="#">Reassign</a>



# Transaction Processing

Reduce Duplicate Entry

Improve Process Transparency, Provide Real-Time Status

# Tools For Project/Portfolio Management

Bring Existing Data to Together in a project/portfolio management context



# Tools for Project Management



# Project Subawards Tab

Stanford University | SeRA Search: SPO #

Home  
SPO-8689  
**Project Summary**  
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eCertification  
IDC Waivers  
Cayuse 424  
User Guides  
Help Request(HelpSU)

## Project Summary

**SPO #8689**  
William J Nelson  
Biology Department

Agreement Number: R01 GM035527  
Agreement type: Grant

Sponsor: National Institutes of Health

Summary Proposals Awards **Subawards** Other Transactions

### Project Summary

[View Latest NOA](#)

**Title** Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells

**Keyword** Topogenesis of Na+K+ ATPa

<b>Start Date</b>	07/01/1990	<b>Total Project Estimated Cost</b>	\$14,786,228.00
<b>Funded To Date</b>	03/31/2016	<b>Total Project Funded To Date</b>	\$13,959,049.00

### Segments

1 - 12

Award Segment	Sequence Number	Segment Type	Start Date	End Date	Budget Amount	Funded To Date	Funding Status
<a href="#">S1</a>	1	New	07/01/1990	03/31/1995	\$ 1,188,251.00	\$ 1,188,251.00	Fully Funded
<a href="#">S2</a>	2	Renew	04/01/1995	03/31/1999	\$ 1,573,551.00	\$ 1,573,551.00	Fully Funded
<a href="#">S3</a>	3	Renew	04/01/1999	03/31/2003	\$ 1,921,229.00	\$ 1,921,229.00	Fully Funded
<a href="#">S4</a>	4	Renew	04/07/2003	03/31/2007	\$ 2,176,851.00	\$ 2,176,851.00	Fully Funded
<a href="#">S5</a>	5	Renew	04/01/2007	03/31/2008	\$ 555,226.00	\$ 555,226.00	Fully Funded



# Project Subawards Tab

## Subawards

Amendment #	Committed Amount	Pending Amount	Requisition #
<b>ICDDR BANGLADESH PO# 60879655</b> ( <a href="#">View Invoice and Payments</a> )			
New	\$0.00	-	<a href="#">3677098</a>
New	\$168,314.00	-	<a href="#">3616692</a>
1	\$0.00	-	<a href="#">3825990</a>
2	-	\$98,941.00	<a href="#">3865511</a> <i>Pending</i>
	<b>\$168,314.00</b>	<b>\$98,941.00</b>	

## COLORADO SCHOOL OF MINES PO# 60220828

 ([View Invoice and Payments](#))

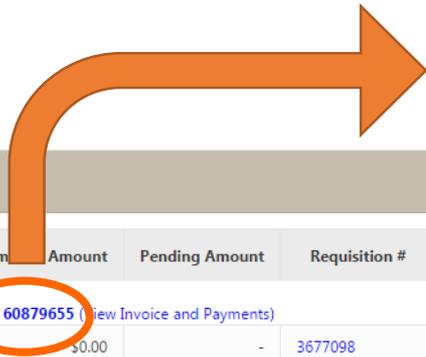
Amendment #	Committed Amount	Pending Amount	Requisition #
New	\$115,664.00	-	<a href="#">3152671</a>
1	-\$14,150.00	-	<a href="#">3196626</a>
2	\$0.00	-	<a href="#">3328691</a>
3	\$80,217.00	-	<a href="#">3377292</a>
4	\$26,739.00	-	<a href="#">3646114</a>
5	\$83,291.00	-	<a href="#">3647874</a>
	<b>\$291,761.00</b>	<b>\$0.00</b>	

Released  
November 21, 2015



# Project Subawards Tab

Click to view the **SeRA PO Details** (i.e. Subaward). Data is pushed from iProcurement and expanded in the SeRA system.



Amendment #	Comm	Amount	Pending Amount	Requisition #
ICDDR BANGLADESH	<a href="#">PO# 60879655</a> (New Invoice and Payments)			
New		\$0.00	-	<a href="#">3677098</a>
New		\$168,314.00	-	<a href="#">3616692</a>
1		\$0.00	-	<a href="#">3825990</a>
2		-	\$98,941.00	<a href="#">3865511</a> Pending
		\$168,314.00	\$98,941.00	

1 - 4

STANFORD UNIVERSITY | RESEARCH ADMINISTRATION SUBRECIPIENT MONITORING

---

Processing | Monitoring | Administration

Subawards Home > Subaward

[Back to SeRA](#)

**Subrecipient Name** [ICDDR BANGLADESH](#)

International Subrecipient Y

**Sub Award Transaction** SUB60879655

PO Number 60879655

**Subaward Number** 60879655-110941

PO Amount \$267.

**SPO** [110941](#)

Sponsor The World

Prime Sponsor

Agreement Type Contract

Agreement Number 7168903

Agreement Amount \$267

PI Name Stephen

---

Transactions

PO Attachments

[Create Manual Transaction](#)

	Transaction Status	Transaction Number	Amendment Number	Transaction Type	Sub Award Start Date	Sub Award End Date	Amount Funded	Requisition Number	PI
<a href="#">Edit</a>	Active	20241	<a href="#">2</a>	Time and Money	01-JAN-16	31-DEC-16	\$98	3865511	Sak Hos
<a href="#">Edit</a>	Finalized	19141	<a href="#">1</a>	No Cost Extension	01-JAN-15	31-DEC-15	\$0.00	3825990	Lea Uni
<a href="#">Edit</a>	Finalized	14141	<a href="#">New</a>	Multipurpose	01-JAN-15	30-SEP-15	\$0.00	3677098	Lea Uni
<a href="#">Edit</a>	Finalized	12763	<a href="#">New</a>	Time and Money	01-JAN-15	30-SEP-15	\$168	3616692	Lea Uni



# Project Subawards Tab

Click to go to the  
iProcurement Requisition and  
PO Query page.

Subawards			
Amendment #	Committed Amount	Pending Amount	Requisition #
ICDDR BANGLADESH PO# 6087965 <a href="#">(View Invoice and Payments)</a>			
New	\$0.00	-	3677098
New	\$168,314.00	-	3616692
1	\$0.00	-	3825990
2	-	\$98,941.00	3865511 <i>Pending</i>
	<b>\$168,314.00</b>	<b>\$98,941.00</b>	

1 - 4

**STANFORD UNIVERSITY** | Requisition and Purchase Orders Query

[Start a New Search](#) [Back to Previous Page](#)

### PO Details

**PO Number:** 6087965  
**PO Authorization:** REQUIRES REAPPROVAL  
**Buyer:** Register, Laura (303) 838-2163 fss-wfm-for-dev@mail

**PO Date:** 08-APR-2015  
**Enabled:** Yes  
**Description:** K; SPO 110941; Am 1

**PO Status:** OPEN  
**Cancelled:** No

Supplier	Ship To
536182 ICDDR BANGLADESH 68 Shaheed Tajuddin Ahmed Sarani Mohakhali Dhaka, 1212. BD	WOODS INSTITUTE, Y2E2 BLDG STANFORD UNIV YANG & YAMAZAKI 473 VIA ORTEGA Stanford, CA 94305

Requester	Delivery Date	FOB	Terms
Email: fss-wfm-for-dev@mailman.stanford.edu	26-JAN-15	Destination	NET 30

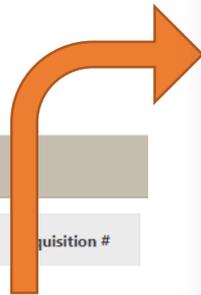
### PO Line Details

No.	Item Description
1.1.1	3616692; Establish subcontract with ICDDR,B for Chlorinator (UBCTX) project



# Project Subawards Tab

Click to view the SeRA subawards transaction page where you can view status, assignee and notes.



Subawards				
Amendment #	Committed Amount	Pending Amount	Requisition #	
ICDDR BANGLADESH PO# 60879655 (View Invoice and Payments)				
New	\$0.00	-	3677098	
New	\$168,314.00	-	3616692	
1	\$0.00	-	3825990	
2	-	\$98,941.00	3865511 Pending	
	\$168,314.00	\$98,941.00		

1 - 4

STANFORD UNIVERSITY | RESEARCH ADMINISTRATION SUBRECIPIENT MONITORING

---

Processing | Monitoring | Administration

Subawards Home > Subaward > Transaction Details

[Back to SeRA](#)

Subrecipient Name [ICDDR BANGLADESH](#) SPO [110941](#)  
 International Subrecipient Y Sponsor The World  
 Sub Award Transaction SUB60879655 Prime Sponsor  
 PO Number [60879655](#) Agreement Type Contract  
 Subaward Number 60879655-110941 Agreement Number 7168903  
 PI Name Stephen

---

Transaction Details | Attachments | Risk Assessment Template | Routing History

Transaction Number: 20241  
 Change Order Type: Time and Money  
 Amendment Number: 2  
 Sub Award Start Date: 01-JAN-16  
 Sub Award End Date: 31-DEC-16  
 Amount Funded: \$98  
 Requisition Number: 3865511  
 Project Name: Impact of low-cost in-line Chlorin  
 Stanford Contact Name: Henry  
 Stanford Contact Phone: 650-725

PHS(FCOI)  Yes  No

Time At Stanford	Time At Subrecipient	Total
0	97	97

1 - 1

Transaction State: Active  
 Subrecipient PI: Sakhawat Hossain  
 Subrecipient Admin Contact: John D. Clemens  
 Phone:   
 Email:   
 Is work performed at subrecipient's location?  Yes  No  
 Stanford Department:   
 Stanford Contact Email:

Assigned To: Muzzio, Natalie M.  
 Transaction Status: In Negotiation  
 Requisition Type: Change Order -Subaward  
 Risk Level: Low

---

**Add Contract Attribute**

Contract Attributes	Comments	Creation Date	Last Update Date	Updated By	Delete
<a href="#">Edit</a> Cost Reimbursable	-	03-DEC-2015 11:14:00	03-DEC-2015 11:14:00	-	

1 - 1

---

**Add Action Items**

Action Item	Action Date	Assigned To	Comments	Assigned Days	Creation Date	Last Update Date	Last Updated By
<a href="#">Edit</a> PO Received	03-DEC-15	-	-	0	03-DEC-2015 11:14:00	03-DEC-2015 11:14:00	Chan, Angel C.



# Project Attachments

Stanford University | SeRA Search: SPO #

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Subawards  
eCertification  
IDC Waivers  
Cayuse 424  
User Guides  
Help Request(HelpSU)

## Project Summary

**SPO #8689**  
William J Nelson  
Biology Department

Agreement Number: R01 GM035527  
Agreement type: Grant

Sponsor: National Institutes of Health

Summary Proposals Awards Subawards Other Transactions

### Project Summary

[View Latest NOA](#)

**Title** Topogenesis of Na/K-ATPASE in Polarized MDCK Epithelial Cells

**Keyword** Topogenesis of Na+K+ ATPa

<b>Start Date</b>	07/01/1990	<b>Total Project Estimated Cost</b>	\$14,786,228.00
<b>Funded To Date</b>	03/31/2016	<b>Total Project Funded To Date</b>	\$13,959,049.00

### Segments

1 - 12

Award Segment	Sequence Number	Segment Type	Start Date	End Date	Budget Amount	Funded To Date	Funding Status
<a href="#">S1</a>	1	New	07/01/1990	03/31/1995	\$ 1,188,251.00	\$ 1,188,251.00	Fully Funded
<a href="#">S2</a>	2	Renew	04/01/1995	03/31/1999	\$ 1,573,551.00	\$ 1,573,551.00	Fully Funded
<a href="#">S3</a>	3	Renew	04/01/1999	03/31/2003	\$ 1,921,229.00	\$ 1,921,229.00	Fully Funded
<a href="#">S4</a>	4	Renew	04/07/2003	03/31/2007	\$ 2,176,851.00	\$ 2,176,851.00	Fully Funded
<a href="#">S5</a>	5	Renew	04/01/2007	03/31/2008	\$ 555,226.00	\$ 555,226.00	Fully Funded



# Project Attachments

Stanford University | SeRA Search: SPO #

Home | SPO-8689 | Project Summary | **Attachments** | Personnel Summary | Project Comments | Project History

**Attachments**

**SPO #8689**  
William J Nelson  
Biology Department

Agreement Number: R01 GM03527  
Agreement type: Grant

Sponsor: National Institutes of Health

**Add New Attachment**

**Project Attachments**

Category	Subcategory	Proposal Identifier	Segment Identifier	Filename	File Tags	Rev	Updated On	Updated By	Linked Trx's	Edit	Remove	Link
Waiver	IDC	-	12	Test Document.docx		1	02/19/2016 01:54 PM	Pane, Michiko Taniguchi	1			
Agreements & NOAs	Agreement - Amendment	-	12	AGRMNT-A31-8689.pdf		1	03/24/2015 09:03 AM	Corvo, Cristina	1			
Proposal Documents	Proposal - Non-Competing Continuation	P31	-	Re-submission confirmation-8689-20150212.msg		1	02/12/2015 12:39 PM	Loredo, Robert	1			

Released  
April 12, 2014

Add Attachment

**Category** \* -- select one --

**Sub Category** \*  
-- select one --  
Agreements & NOAs  
Clinical Trial Documents  
Compliance Document  
Detailed Budget & Justification  
Non-Financial Report  
Notification / Request  
Pre-Agreement  
**Project Management**

**File Location** \*

**File Tag(s)**

Add Attachment

**Category** \* Project Management

**Sub Category** \*  
-- select one --  
-- select one --

**File Location** \*  
Closeout Documents  
Cost Sharing Budget  
Cost Sharing Commitment/Funding Info  
Dept Financial Reports  
General Correspondence  
Other  
Other Agreements  
PTA Budget Allocation Information  
PTA Set-Up Information  
Payment Requests/Notifications  
Sponsor Guidelines

**File Tag(s)**



# Project Attachments

Project Attachments

Q v Go Rows All Actions v

Category	Subcategory	Proposal Identifier	Segment Identifier	Filename	File Tags	Rev #	Updated On	Updated By	Linked Trx's	Edit	Remove	Link
Project Management	Closeout Documents	-	-	Test Document.docx	Department Attachment	1	03/08/2016 09:10 AM	Nelson, William J	0			
Waiver	IDC	-	12	Test Document.docx		1	02/19/2016 01:54 PM	Pane, Michiko Taniguchi	1			
Agreements & NOAs	Agreement - Amendment	-	12	AGRMNT-A31-8689.pdf		1	03/24/2015 09:03 AM	Corvo, Cristina	1			

## Filter Attachments by Project Management Category

Project Attachments

Q v Go

Category Subcategory

- Information
- Documents
- Detailed Budget & Justification
- Non-Financial Report
- Notification / Request
- Project Management**
- Proposal Documents

Filter...

Project Attachments

Q v Go Rows All Actions v

Category = 'Project Management'

Category	Subcategory	Proposal Identifier	Segment Identifier	Filename	File Tags	Rev #	Updated On	Updated By
Project Management	PTA Set-Up Information	-	-	Test Document.pdf	Task breakout details	1	03/08/2016 09:12 AM	Nelson, William J
Project Management	Closeout Documents	-	-	Test Document.docx	Department Attachment	1	03/08/2016 09:10 AM	Nelson, William J

1 - 2



# Project Comments

Stanford University | SeRA Search: SPO #

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## Project Summary

**SPO #8689**  
William J Nelson  
Biology Department

Agreement Number: R01 GM035527  
Agreement type: Grant

Sponsor: National Institutes of Health

Summary Proposals Awards Subawards Other Transactions

### Project Summary

[View Latest NOA](#)

**Title** Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells

**Keyword** Topogenesis of Na+K+ ATPa

<b>Start Date</b>	07/01/1990	<b>Total Project Estimated Cost</b>	\$14,786,228.00
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# Project Comments

Stanford University | SeRA Search: SPO #

Home **SPO-8689**

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Project Comments  
Project History

Reports  
Subawards  
eCertification  
IDC Waivers

## Project Comments

**SPO #8689**  
William J Nelson  
Biology Department

Agreement Number: R01 GM035527  
Agreement type: Grant

Sponsor: National Institutes of Health

### Project Comments

\* Includes Project-level Comments from completed transactions.

Q Go Actions Add Comment

Comments	Name	Central Office	Last Update Date	Transaction ID	Identifier	Private	Edit	Archive
this comment was added from NOT 629436 Sponsor Notification No Cost Extension	Michiko Taniguchi Pane	Y	02/19/2016	-	-	-	-	✖

1 - 1

Released  
March 25, 2015

Add/Edit Comments

Comment \*

Submit



# Project Comments

## Project Comments

SPO #8689

William J Nelson  
Biology Department

Agreement Number: R01 GM035527  
Agreement type: Grant

Sponsor: National Institutes of Health

### Project Comments

\* Includes Project-level Comments from completed transactions.

Comments	Name	Central Office	Last Update Date	Transaction ID	Identifier	Private	Edit	Archive
Cost sharing is required at 10% total funded amount annually. See PTA 123456-100-WAABC	Mary Grace Tecson	N	03/08/2016	-	-	-		
IMPORTANT - include personnel effort reduction in the next progress report!	William J Nelson	N	03/08/2016	-	-	-	-	
this comment was added from NOT 629436 Sponsor Notification No Cost Extension	Michiko Taniguchi Pane	Y	02/19/2016	-	-	-	-	

## Filter for Non-Central Office Comments only

Name	Central Office	Last Update Date
Mary Grace Tecson		
William J Nelson	Filter...	
Michiko Taniguchi Pane	N	Y

Comments	Name	Central Office
Cost sharing is required at 10% total funded amount annually. See PTA 123456-100-WAABC	Mary Grace Tecson	N
IMPORTANT - include personnel effort reduction in the next progress report!	William J Nelson	N



# Tools for Portfolio Management



# I'm all about that data



Neil deGrasse Tyson 

@neiltyson



Following

Because you know I'm all about that data, 'bout that data. No trouble. I'm all about that data, 'bout that data. No trouble.

RETWEETS

5,318

LIKES

9,483



4:54 PM - 21 Oct 2015



# Demystifying Data



# Freed Data?!



# Portfolio Management

## My Projects

Faculty View

[My Projects](#) [Pipeline](#) [Proposals](#) [My Accounts](#)

### Action Items

2 items need your attention (Click on the ID# to take action)

ID#	Transaction Type	Activity	Sponsor	SPO #	Title	Sponsor Award#	Date Initiated	# of Days Assigned
<a href="#">PR641215</a>	Proposal - New	Approve OSF form (OSF)	National Science Foundation	122849	Sara Test	[NONE]	02/19/2016	19
<a href="#">PR622721</a>	Proposal - New	Prepare OSF form	National Institutes of Health (NIH)	122209	Studying Deer Antler Genes For Accelerat	[NONE]	02/05/2016	33

[Download to Excel](#)

### Current Sponsored Research Profile

Type ⓘ	Award #s	Current Balance ⓘ	Prior Year's Avg. Mo. Spend ⓘ	Estimated Months Remaining
Research	13	\$2,318,815.48	\$99,095.00	23
Other	1	\$25,612.00	\$1,282.00	20

#### Recent Activity(Past 18 months) ⓘ

0 Proposals Submitted as PI  
10 Proposals Submitted as Non-PI  
0 New Awards Received

Click on the **My Accounts** tab to see detailed financial information about your awards



# Portfolio Management

My Projects

*Faculty View, continued*

[My Projects](#) [Pipeline](#) [Proposals](#) [My Accounts](#)

▼ **Active Awarded Projects**

SPO# ⌵	Sponsor	Title	Sponsor Award #	Start Date	End Date	Total Estimated	Total Funded	Total Anticipated
121572	University of California, Berkeley	TEST ONLY PROPOSAL AND AWARD: Test of New Proposal and Award, Change to new Data center	11121	09/30/2015	09/29/2019	\$63,200.00	\$32,000.00	\$31,200.00
121333	University of California, Berkeley	TEST ONLY PROPOSAL AND AWARD Test of new Mu Build 8am PR616800	1	07/25/2015	07/24/2019	\$316,208.00	\$10,000.00	\$306,208.00
120742	University of California, Berkeley	TEST ONLY PROPOSAL PROJECT . LAMBDA TEST: PR609882	1	05/30/2015	05/29/2019	\$40,125.00	\$10,000.00	\$30,125.00
120072	University of California, Berkeley	TEST ONLY PROPOSAL: TEST FOR KAPPA RELEASE	TEST1	03/25/2015	03/25/2015	\$10,000.00	\$10,000.00	\$107,045.00

▼ **Activities In Progress by Others**

ID#	Sponsor	SPO# ⌵	Title	Sponsor Award #	Transaction Type	Date Initiated	Assigned To
PTA618664	University of California, Berkeley	121572	TEST ONLY PROPOSAL AND AWARD: Test of New Proposal	11121	Account Setup - New	08/15/2015	Judith Clutter
PTA604325	University of California, Berkeley	120072	TEST ONLY PROPOSAL: TEST FOR KAPPA RELEASE	TEST1	Account Setup - New	03/25/2015	Judith Clutter
AW604324	University of California, Berkeley	119085	TEST ONLY PROPOSAL: KAPPA INITIAL RELEASE	111231	Award - Amendment	03/25/2015	Amitabh Bihari

[Download to Excel](#)



# Portfolio Management

My Projects

Upcoming Enhancements

My Projects Pipeline Proposals My Accounts

## Active Awarded Projects

SPO# ↓	Sponsor	Title	Sponsor Award #	Start Date	End Date	Total Estimated	Total Funded	Total Anticipated	Total Remaining	NCX Due
104782	Human Frontier Science Program Organization	Probing Mechano-Transduction by Cell-Cell Junctions at the Nano- and Micro-Scale	RGP0040/2012	10/01/2012	03/31/2016	\$305,000.00	\$305,000.00	\$0.00	\$0.00	
8689	National Institutes of Health	Topogenesis of NA/K-ATPASE in Polarized MDCK Epithelial Cells	5R01GM03552731	07/01/1990	03/31/2018	\$26,132,540.00	\$21,980,178.00	\$4,152,362.00	\$143,067.34	

[Download to Excel](#)

## Current Sponsored Research Profile

Type ⓘ	Award #s	Current Balance ⓘ	Prior Year's Avg. Mo. Spend ⓘ	Estimated Months Remaining
Research	13	\$2,318,815.48	\$99,095.00	23
Other	1	\$25,612.00	\$1,282.00	20

### Recent Activity(Past 18 months) ⓘ

0 Proposals Submitted as PI  
 10 Proposals Submitted as Non-PI  
 0 New Awards Received

### Active Protocols

	IRB	APLAC	SCRO
Protocol Director	4	1	0
Investigator	2	0	0

### Training Status

PI Training Certification (DOR-0680)  
 Completion Date: 11/12/2002  
 PHS COI Training Certification (COI-PROG-0001)  
 Expiration Date: 07/12/2006

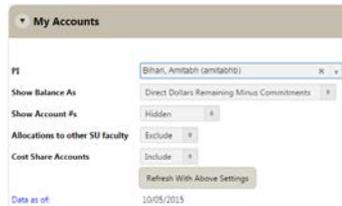
Click on the **My Accounts** tab to see detailed financial information about your awards



# Portfolio Management

## My Accounts

[My Projects](#) [Pipeline](#) [Proposals](#) [My Accounts](#)



My Accounts

PI: Bihar, Amritah (amitahb) x

Show Balance As: Direct Dollars Remaining Minus Commitments

Show Account #s: Hidden

Allocations to other SU faculty: Exclude

Cost Share Accounts: Include

Refresh With Above Settings

Data as of: 10/05/2015

My Accounts Apex 5 Default View



My Accounts

PI: Bihar, Amritah (amitahb) x

Show Balance As: Direct Dollars Remaining Minus Commitments

Show Account #s: Hidden

Allocations to other SU faculty: Exclude

Cost Share Accounts: Include

Refresh With Above Settings

Data as of: 10/05/2015

My Accounts Apex 5

# What Matters to YOU is Important to Us!

## Ideas? Suggestions?

### Contact Us!

John Markley (markley1@Stanford.edu)

Tim Leung (tnleung@Stanford.edu)

Mich Pane (michiko@Stanford.edu)

Available for Staff/Faculty Meetings



# OSR Post Award Update

ABC Meeting, Thursday March 10, 2016

# Topics

- Payment of Subaward Invoices
- OSR will no longer extend end dates to allow for payment of invoices
- OSR Request Form in SeRA
- Return PTA Setups with incomplete information
- NIH Subaccounts
- Simons Foundation Awards

# Payment of Subaward Invoices

- OSR met with Accounts Payable (AP) and Administrative Services (AS) in November
  - AS Identified coding error that restricted the number of days for sub-award invoice to be paid in a small window of time after the Award/Task end date.
- New timing – Allows invoice to be uploaded to be paid up to 90 days after award/task end date.
- It is the departments responsibility to obtain invoices from subs and we remind departments that the PI's signature on each invoice is required to certify that he/she approves payment with the appropriate statement.

# PTA Setups

- Our goal is to setup all new awards, modifications, etc. within 5 days of receiving AAN
- We monitor this weekly to identify issues and resolve them to complete the setup
- On some occasions, we receive incomplete information, e.g. missing detailed budget when multiple tasks are requested.
- We will return those incomplete transactions to department for completing all required information and then re-route to OSR.
- We believe this will increase our consistency, identify issues delaying setup for OSR and departments to improve overall timeliness.

# OSR Request Form

- Should be used to request fro Post Award:
  - This form can be accessed on the dashboard under “Start a Transaction
  - New Task, Budget Allocations, New Cost Sharing Award/Task
  - New Fabrication Project/Task, New Program Income PTA
  - Modify existing PTA attributes (except PTA Manager roles, Org code changes)
  - Block or unblock specific Expenditure Types – Department must complete and attach the form *Request to Make Expenditure Type(s) Chargeable/Non-Chargeable*

# NIH Subaccounts

- To facilitate timely submission of transitional Federal Financial Reports (TFFR) for the Pooled Account and carry-forward of unspent balance to Subaccounts, please
  - Timely update existing Purchase Orders, Payroll, Graduate Financial System (GFS) records, etc. to the NEW Subaccount PTA
  - If PTA under Pooled Account is overspent department must move costs to New Subaccount PTA by individually transactions.
- Refer to OSR document of "NIH Awards Transition to Payment Management System (PMS) Subaccounts" discussed at the OSR Brown Bag in September 2015. A copy will be attached to these slides when placed on the SOM website.

# Simons Foundation Awards

- Unique and time consuming Terms and Conditions (Ts & Cs)
  - Annual and Final Financial Statements for all grants or fellowships are due 60 days following the end of each funding year, end date of grant or fellowship or within 60 days of termination.
  - Financial Statements are due 60 days following the end of the funding year even if the grantee or fellow submitted a CRF or NCE
  - A No-Cost Extension (NCE) request is due 30 days prior to the end date of the funding year.
  - Unspent balance > \$50K requires a formal Carry Forward Request (CFR) must be submitted 30 days prior to end date of funding year and signed by the designated institutional signing official.
  - A Carry Forward Request (CFR) includes questions from the Renewal Progress Report so no Progress Report is required.

# Simons Foundation Awards

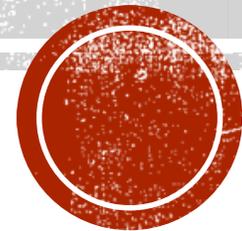
- Unique and time consuming Terms and Conditions (Ts & Cs) continued
  - Financial reports must list specific names of personnel (Not TBN), their role on the project, Base Salary, Effort %, Fringe Benefits, if hourly employee provide hourly rate and hours worked.
  - A formal written request and approval is required for a change in key personnel (dedicate 25% or more time) or change in percent effort of key personnel by 25% or more of their originally allocated effort.
  - Travel costs limited to \$2K per year per individual and must include a description of the purpose.
  - Animal Costs - Detailed Cost Itemization – 25 cages at 2 mice/cage at \$1/ day for 365 days
  - Detailed itemization for all supplies purchased, e.g. Glassware \$1K, Reagents \$2.5K, Chemicals \$4K
  - A detailed financial report is required from all subawardees and must be submitted

# Thank You

- Have a nice Day!!!!
- And as Truman would say – if I do not see you later, good afternoon, good evening and good night!

# **DORESEARCH WEBSITE AND TRAINING UPDATES**

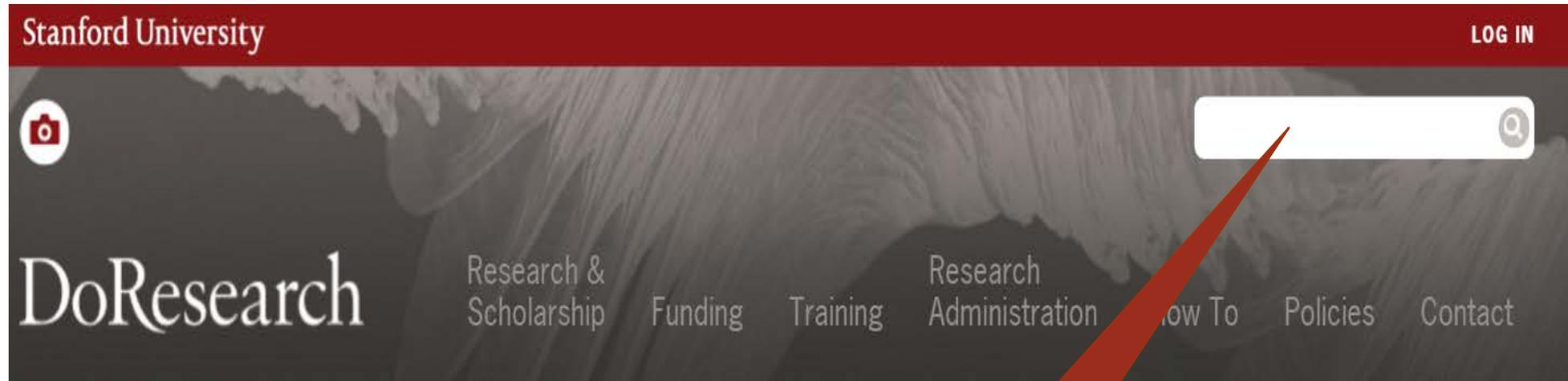
ABC Meeting  
March 10<sup>th</sup>, 2016



Catalina Verdu-Cano  
Senior Training and Development Specialist  
Dean of Research Office

# DORESEARCH UPDATES

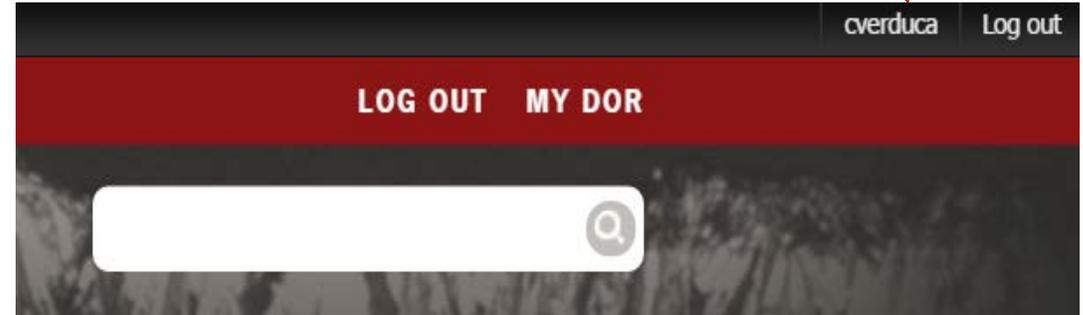
- Enhanced search functionality within DoResearch



# DORESEARCH UPDATES



SU  
Authentication

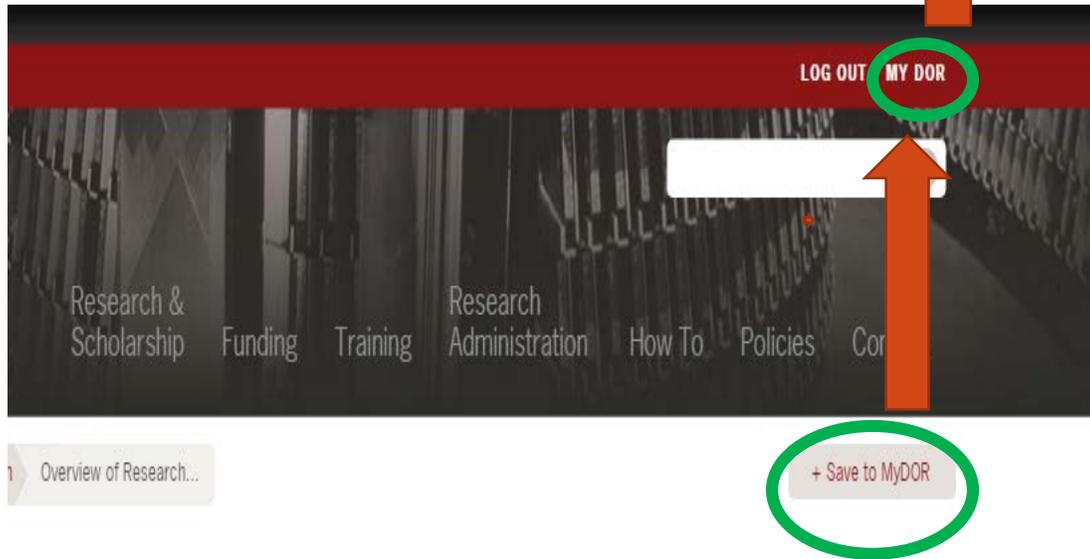


- Logging into the website allows you to:
  - Access password protected documents
  - Save your progress in any of our online courses
  - Use MyDOR



# DORESEARCH UPDATES

## ■ My DOR



### My DoR My Links

Edit all links

Remove links

Personalize descriptions

<input type="checkbox"/>	Links ▲	Description ⇅		
<input type="checkbox"/>	Rates	FY16 Fringe benefits and indirect costs rates	Edit	Delete
<input type="checkbox"/>	Clinical Research	Research & Scholarship	Edit	Delete
<input type="checkbox"/>	How to prepare a cost transfer.	How To	Edit	Delete
<input type="checkbox"/>	PI Training: Stewardship and Compliance for Principal Investigators	Training	Edit	Delete

### My Funding Opportunities

#### Cyber-Physical Systems (CPS)

Forget

Category: Science and Technology and other Research and Development | Agency: National Science Foundation | Posted 3 years 2 months ago

rch and the Regulatory Environment: Companion

ERATE

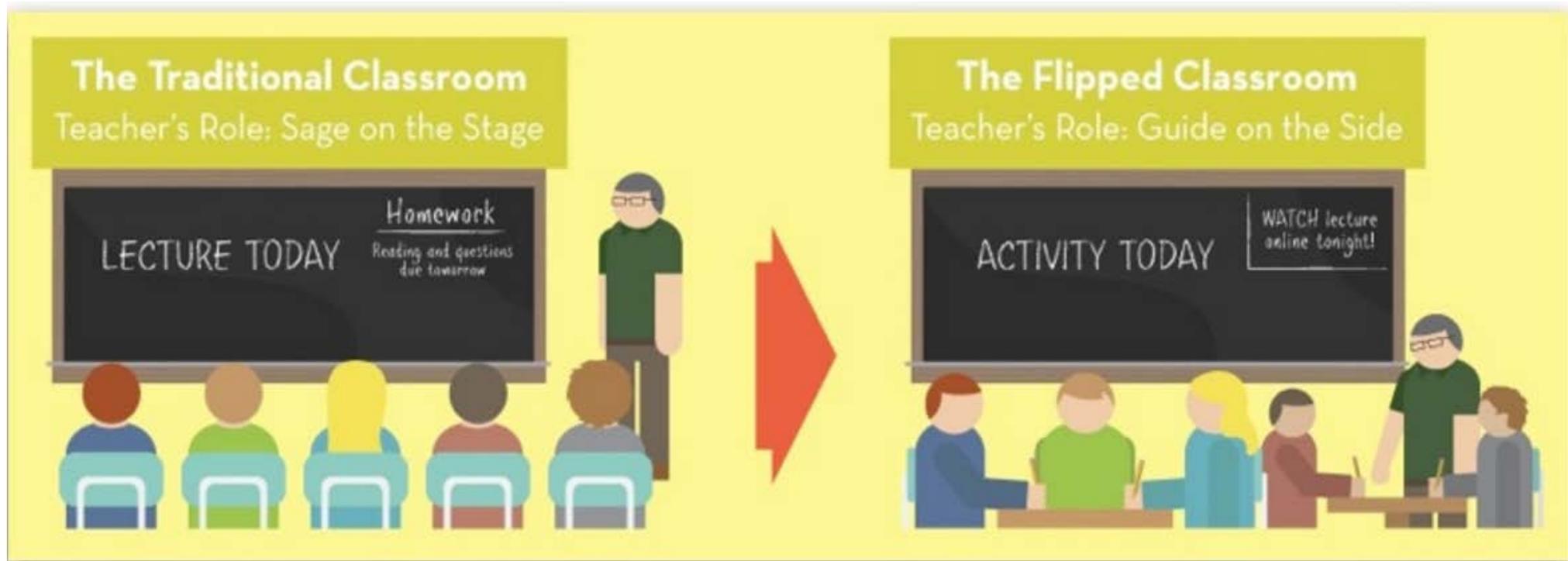


# TRAINING UPDATES



# TRAINING UPDATES

- Implementation of flipped classroom model for Cardinal Curriculum Courses



# TRAINING UPDATES

## STEP 1: Online Course

- Content in HTML format = easy to update and available 24/7
- Created and updated by subject matter experts
- Courses are broken down into thematic modules and learner-centric
- Learners can pace themselves throughout the course material
- Self Assessment Quizzes, Check for Understanding Quizzes and a Final Test help learner's validate their knowledge

## STEP 2: Companion Workshop

- Available monthly for most Cardinal Curriculum courses
- Learner attends once they have completed online material and final test
- Facilitated by subject matter experts
- Pre-assignments for some of the workshops
- Hands-on activities, real life scenarios including use of Stanford's and/or sponsor's systems as needed to solve and complete tasks



# TRAINING UPDATES

DoResearch

Research & Scholarship

Funding

Training

Research Administration

How To

Policies

Contact

Compliance Training

## Compliance Training

Research, managing the financial aspects of research, and research administration must be carried out in compliance with Stanford policy, federal and state laws, sponsor requirements and the award terms and conditions. These courses will help individuals understand and implement those compliance responsibilities.

### Browse courses by

Topic

Certificate program

Audience



**Animal Care and Use**  
Veterinary Service Center  
Training Programs



**Conflicts of Interest**  
Required for new faculty and  
recipients of PHS funding



**Environmental Health and  
Safety**  
Use the Training Advisor to find  
courses for specific job duties



**Export Controls**  
Recognize and address export  
control issues. Required for H1-  
B visa sponsors



**Finance**  
Learn how to use Stanford  
Financial Systems



**Human Subjects**  
Required for research with  
human subjects



**International Activities**



**National Institutes of  
Health (NIH)**  
Find all NIH training



**NIH K Awards**  
Required for postdoctoral  
fellows submitting to NIH



**NIH NRSA**  
Grants.gov training for those  
submitting a NIH NRSA F  
proposal



**Payroll Distribution  
Certification**  
Required to access the PDC  
System



**PIship**  
Required to release project  
funds



**Privacy and Security**  
Stanford University Privacy and  
Security Training (includes  
HIPAA content)



**Property Management**  
Required to access property  
systems



**Research Administration**  
Learn to submit proposals, and  
administer sponsored projects



**Responsible Conduct of  
Research**  
Required for NIH trainees and  
NSF graduate Students



**Service Centers**  
Required for administering  
service centers



**Sexual Harassment  
Prevention**  
Required for faculty, staff, and  
visiting academics



**Space Inventory**  
Required to access and use  
Space Inventory systems



# TRAINING UPDATES

- Visual summary in every online course

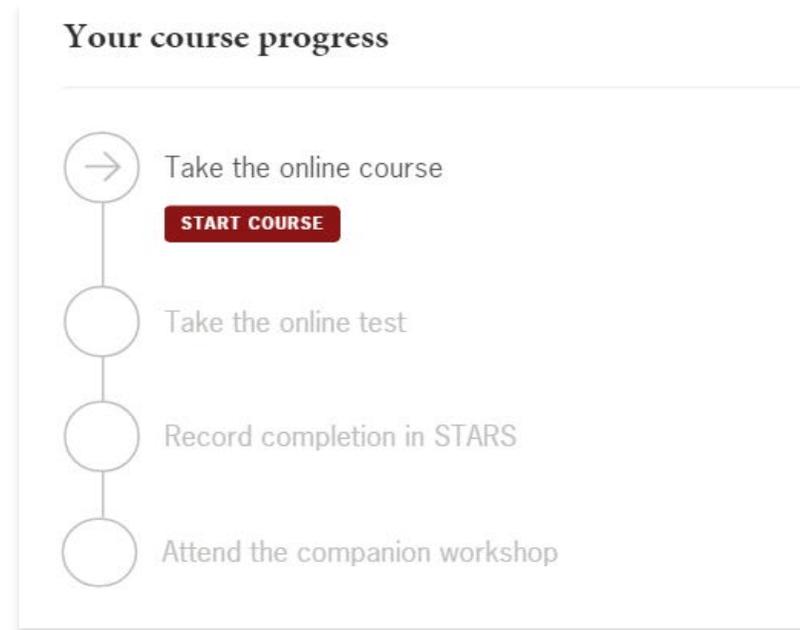
## Proposal and Budget Preparation

 <b>Intended audience</b> Administrators	 <b>Time to complete</b> 4 hours	 <b>Course contact</b> Verdu-Cano, Catalina (650) 725-9830 <a href="mailto:cverduca@stanford.edu">cverduca@stanford.edu</a>
 <b>Certificate program</b> Cardinal Curriculum Level 2 DoR-Prog-2002	 <b>Hands-on workshop</b> Yes	
 <b>Audit the course</b> <a href="#">View material</a>	 <b>Prerequisites</b> DOR-1101, DOR-1102	



# TRAINING UPDATES

- *One Click* initiative
  - Learners can register, view their progress and take the final test for any Cardinal Curriculum online course and companion workshop within the DoResearch website without having to go to STARS.



# TRAINING UPDATES

- *One Click* initiative
  - This streamlined experience includes PI training for faculty.
  - Completion data for PI Training automatically feeds into SeRA and can be seen in the PDRF.

## Training

Data retrieved from STARS

### PI Training Certification

[PI Training](#) must be completed prior to issuing the Notice of Award

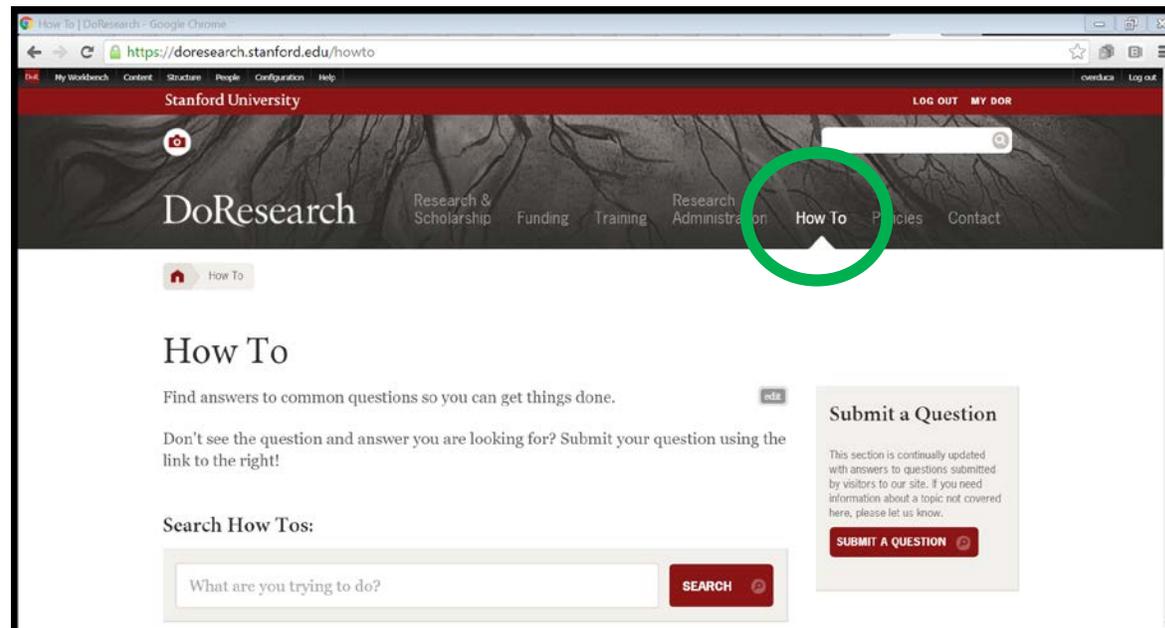
Name	Sunet Id	Cert Date	Status
Michael J Rosenfeld	mrosenfe	09/18/2000	Completed

Verified PI Training completed:  Yes



# TRAINING: IN THE HORIZON

- Ongoing Updates to the Training Ecosystem
  - Partnership among OSR, RMG and DOR to bring on demand training to research administrators
  - Content is being developed in DoResearch under the How To section



# THANK YOU FOR YOUR CONTRIBUTIONS

- Sonia Barragan
- Jesse Charlton
- Sean Collins
- Carol Cook
- Margery Corbett
- Margarita Duenas
- Tony Duong
- Brian del Bono
- Linh Dinh
- Steve Eisner
- Miguel Hernandez
- Pam Jahnke
- Martha Langill
- Mary Lee
- Tim Leung
- Lisa Lowy
- Donna Mahood
- Ken Merritt
- Natalie Muzzio
- Dymphna Nagar
- Michiko Pane
- Nicole Pobuta
- Gary Podesta
- Debra Porzio
- Pat Ramirez
- Laura Register
- Christina Stimmel
- Dell Sy
- Miguel de los Santos
- Mary Grace Tecson

