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

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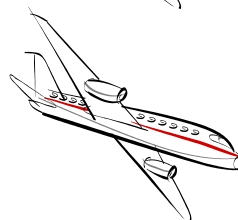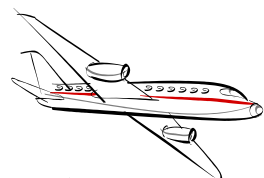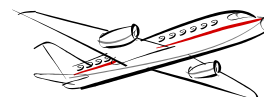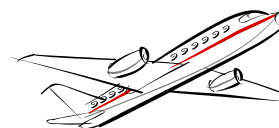
# What are Open Skies Agreements?

- 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

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

# Compliance

- Open Skies Agreements <u>Do Not</u> 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

- **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



**Visit http://fingate.stanford.edu/staff/travel/policy_notes/fly_america_act.html**

# Questions?

# SeRA

## 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 Administration

**All Research Administration Offices**
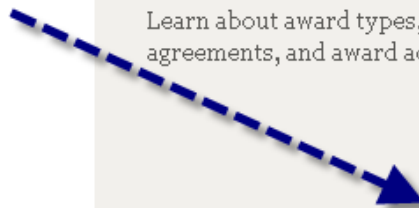Find help in your School, Independent Lab, Institute or Center.

**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**
Lean 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

- 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.
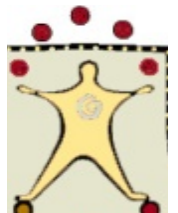
# Overview of the Change

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

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

# 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
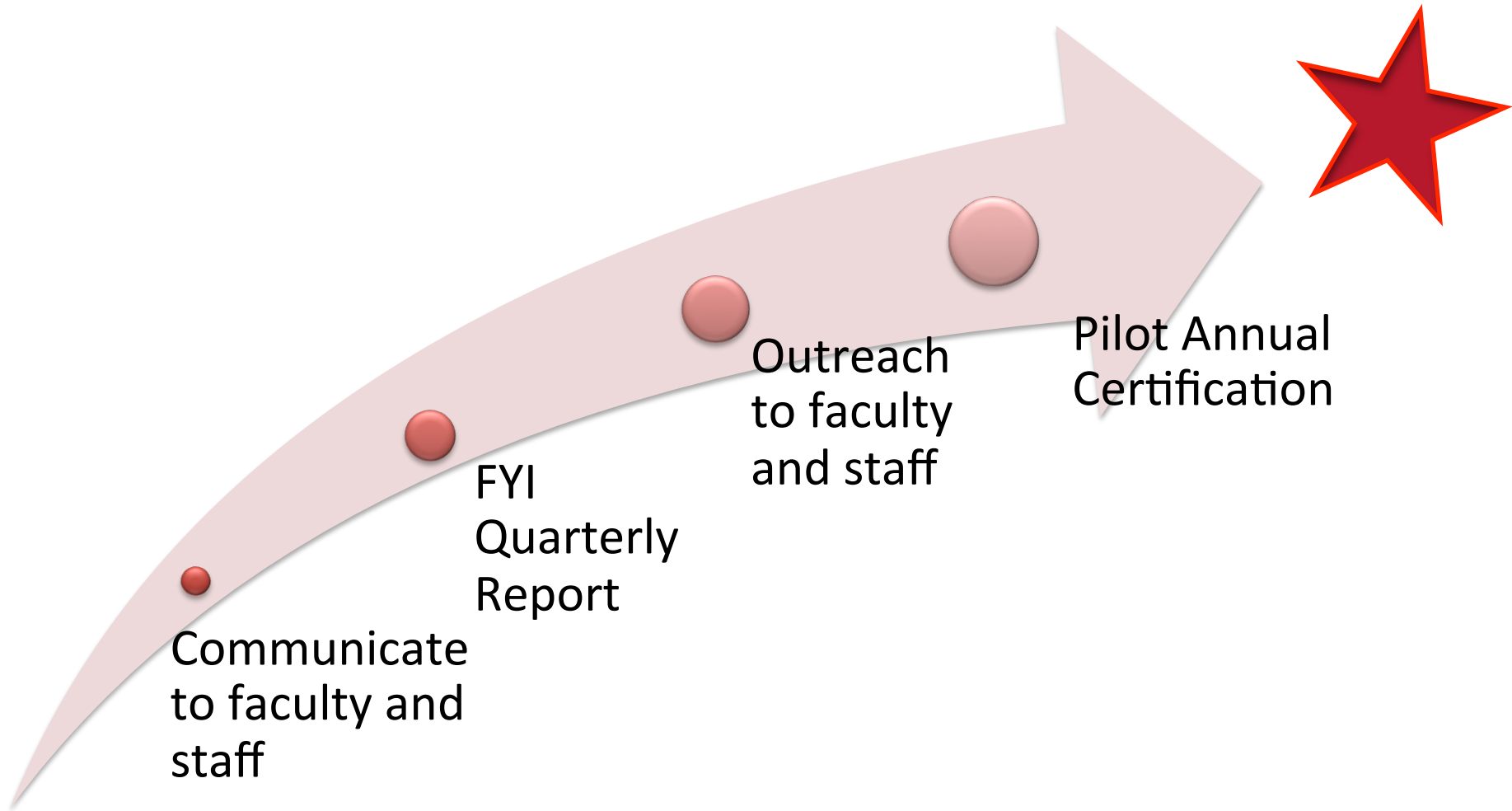


Communicate to faculty and staff

FYI Quarterly Report

Outreach to faculty and staff

Pilot Annual Certification

# FYI Quarterly Report

**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 (%) |
|---|---|---|---|---|---|---|---|---|---|
| **Fake, David Leigh** | Social Science Research Asst | | | | | | | | |
| Sponsored Activities | 1118038-208-PACBZ | Black, Lewis W. | Person, Julie | NATIONAL INSTITUTES OF HEALTH LOC | Phase 1Peptide Vaccination | Phase 1 | 8-RCA-1484912 | 8,565 | 74% |
| | 1154631-100-UAEGG | Chamberlain, Lisa | Lindberg, Margaret J. | AMERICAN ACADEMY OF PEDIATRICS | Safety First:head Start parents advocating | AAP Safety First | 107933 | 1,667 | 14% |
| | | | | | | | **Subtotal Sponsored** | **10,232** | **88%** |
| Non-Sponsored Charges | 1044442-102-KASYD | CHAIR | Donnellan, Brian A. | STANFORD GENERIC NOT BILLED | Machen, Harry Lyon Institute | MachenHarry Lyon Ins | KASYD | 1,450 | 12% |
| | | | | | | | **Subtotal Non-Sponsored** | **1,450** | **12%** |
| | | | | | | | **TOTAL** | **11,682** | **100%** |
| **Norris, Steven** | Sr. Research Associate | | | | | | | | |
| Sponsored Activities | 1118038-208-PABIZ | Black, Lewis W. | Person, Julie | NATIONAL INSTITUTES OF HEALTH LOC | UL1STANFORD CENTER FOR CLINICAIYR5 Special Projects | | 8-URR025744A | 6,083 | 54% |
| | | | | | | | **Subtotal Sponsored** | **6,083** | **54%** |
| Over the Salary Cap Charge | 1128406-100-AABKS | DIRECTOR | Person, Julie | STANFORD GENERIC NOT BILLED | Medicine Genl Fd OB | Spectrum to CTSA | AABKS | 1,000 | 9% |
| | | | | | | | **Subtotal Over the Salary Cap Charges** | **1,000** | **9%** |
| Non-Sponsored Charges | 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% |
| | | | | | | | **Subtotal Non-Sponsored** | **4,200** | **37%** |
| | | | | | | | **TOTAL** | **11,283** | **100%** |
| **Takahashi, Sarah** | Sr Res Scientist-Basic LS | | | | | | | | |
| Sponsored Activities | 1159471-100-PCCUP | Black, Lewis W. | Alcazar, Luis | MAYO CLINIC | The Human Mucosal Immune Response | Mayo Clinic - 108938 | 5U01AI089859-03 | 5,776 | 62% |
| | | | | | | | **Subtotal Sponsored** | **5,776** | **62%** |
| Non-Sponsored Charges | 1048990-101-KAUWR | Black, Lewis W. | Alcazar, Luis | STANFORD GENERIC NOT BILLED | Grant, Joseph D Professorship | Grant Prfshp-Greenbe | KAUWR | 3,500 | 38% |
| | | | | | | | **Subtotal Non-Sponsored** | **3,500** | **38%** |
| | | | | | | | **TOTAL** | **9,276** | **100%** |

**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

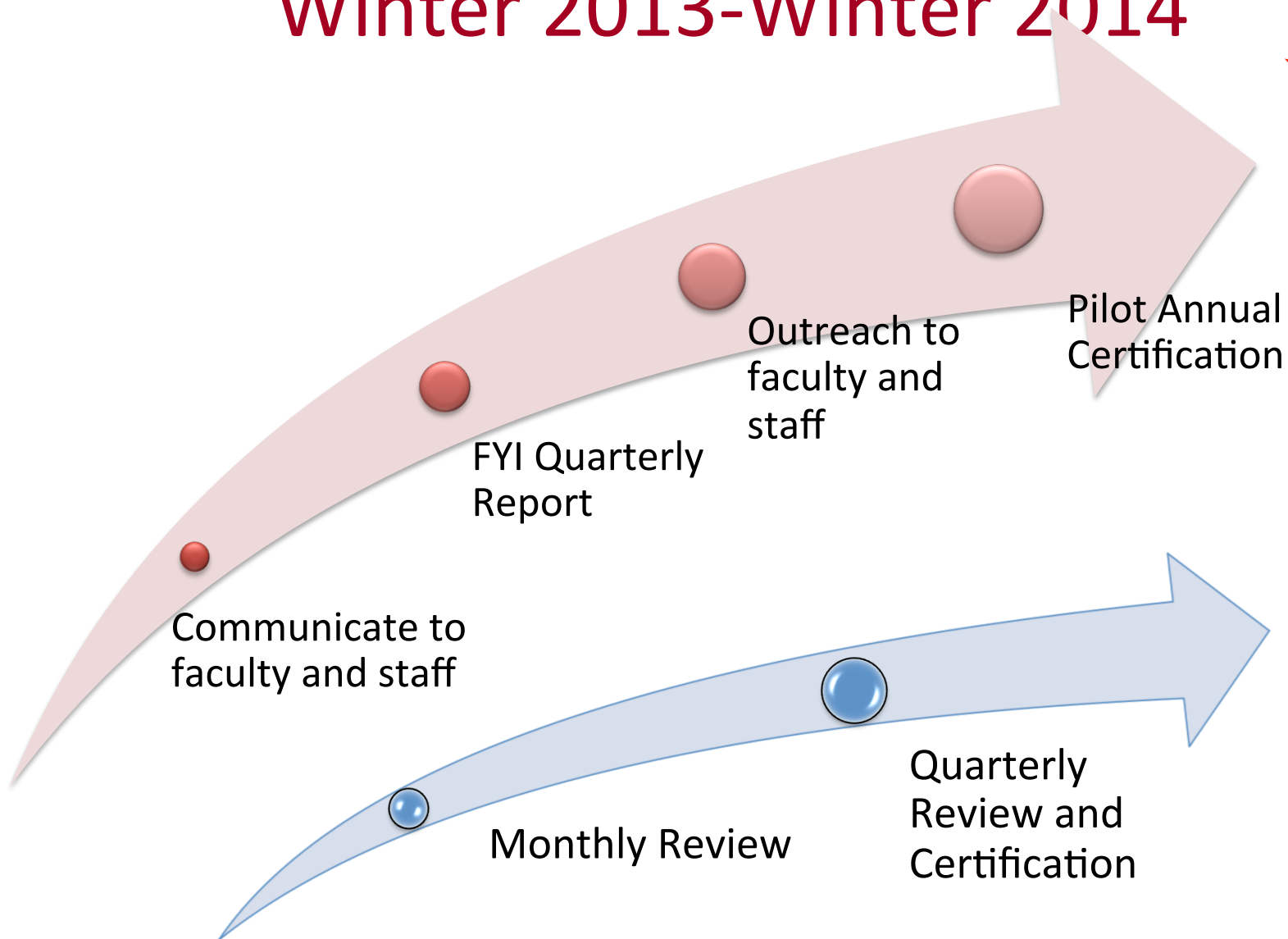Expenditure Statements by project

- 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

Pilot Annual Certification

Outreach to faculty and staff

FYI Quarterly Report

Communicate to faculty and staff

Monthly Review

Quarterly Review and Certification

# Thank You

To our subject matter experts representing:

- Earth Sciences

- Engineering

- Education

- Humanities and Sciences

- Libraries

- Medicine

- DoR – Independent Labs, Institutes and Centers
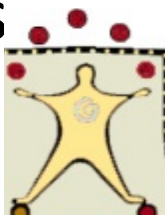
# Contact Us

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)