SLAC Sponsored Research Policies

ABC Research Meeting

Russell Brewer

Akhil Chhabra

Kari Horwath

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SLAC NATIONAL ACCELERATOR LABORATORY

Agenda

- SLAC Grants and Contracts System

- Sponsored Research Policies Overview

- Challenges / Pitfalls

- Clearing a SLAC Proposal to Stanford

- Movement of Funds from Stanford to SLAC

- Bridge Funding

The Purpose of the SLAC Grants and Contract Management System

Allows SLAC to propose through Stanford or directly to sponsor

- **Requirements to maintain Grants and Contract Authority:**
  - Must be on a 100% reimbursable basis (full cost recovery)
  - Must pertains to the mission of the laboratory
  - Must not conflict or interfere with DOE program objectives
  - Must not directly compete with the US private sector
  - Must not create a potential future burden on DOE resources

Sponsored Research Policies

Stanford and SLAC

- **Stanford Research Policy Handbook:** A collection of policies, guidelines and general information related to the research enterprise at Stanford.

SLAC Only

- **Policy on Conduct of Research:** Provides clarification regarding roles, responsibilities, requirements and training on the conduct of research at SLAC.
- **Conflict of Commitment and Interest**
- **Third Party Activity Review Policy:** (aka TARC Policy) Provides requirements for the review of proposed new activities between SLAC National Accelerator Laboratory and foreign or domestic third-parties, regardless of whether funding into the Laboratory is involved.
- **External Entity and Proposal Policy (under review):** (Replacing TARC Policy) Establishes SLAC requirements for all proposals and external entity activity including: review requirements, risk assessment, clearance and tracking.
- **Stanford Research Funding Through SLAC (under review):** Guidance on when sponsored research proposals are submitted through Stanford rather than submitted directly to the sponsor by SLAC.

Challenges / Pitfalls

- Principal Investigator (PI) Status
  - Joint Appointments
  - PI Waiver Process
  - Required Training

- Foreign Collaborators

- Export Control Review

- Sponsors
  - Reporting requirements
  - Flow down terms and conditions

Clearing a SLAC Proposal to Stanford

SLAC Home Department Approval Confirms:
- Alignment with mission, resources and strategy

SLAC Central TARC Approval Confirms:
- Institutional alignment
- Reasonable and/or Mitigated Risk
  - Foreign Component/Export Control
  - Sponsor "Risk to Do Business With"

SLAC Proposal Advancement Office Approval Confirms:

- Documentation Meets Proposal Requirements
- Budget is reasonable and the correct rates are applied

SLAC Approval in SU SERA System Provides:
- SU Record of SLAC's approval
- Confirmation that SLAC has disclosed that the Lab-Directed Research and Development rate will be applied.
- Ensure that the above steps have been completed

Movement of Funds to SLAC From DOE

SLAC

~92%
of
SLAC's
Funding

Department of Energy

Stanford University
Manages SLAC
via
DOE Contract No.
DE-AC02-76SF00515

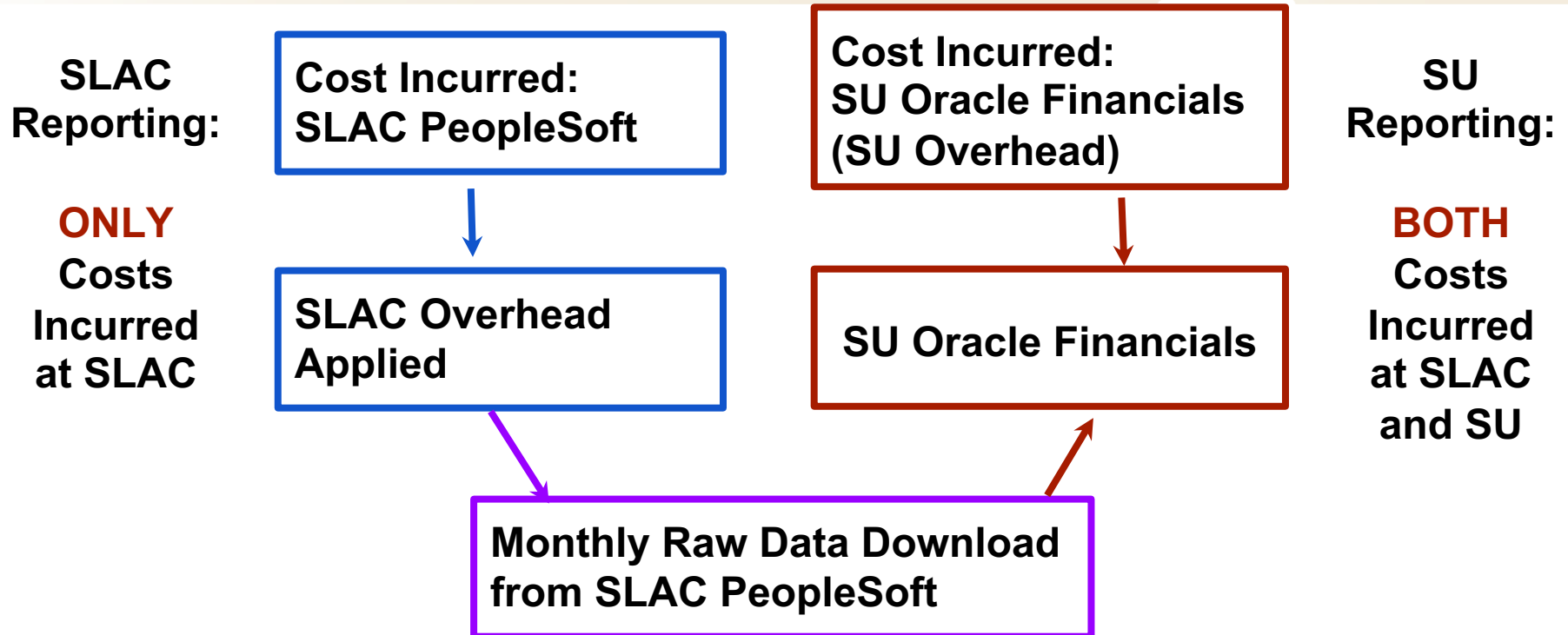**Sponsor Agreement**

SLAC National
Accelerator Laboratory

Movement of Funds from Stanford to SLAC - Contracts

SLAC

Stanford University
Manages SLAC
via
DOE Contract No.
DE-AC02-76SF00515

Stanford University

SU/Sponsor
Project Agreement

Third Party Sponsor

SU/SLAC Project
Agreement

SLAC Participation
Requires:

1. **SU/SLAC Project Agreement**

1. **SU/DOE Agreement Modification**

1. **Terms & Conditions Compatibility**

Movement of Funds from Stanford to SLAC - Financial Differences

- **SLAC and Stanford Have Separate Financial Systems, Payroll Processes and Terminology.**

SLAC	Stanford
Project-Activity (PA)	Project-Task-Award (PTA)
General Ledger (GL) Account	Expenditure Type
Timesheet (completed each payroll)	Labor Distribution Schedule
Fiscal Year = Oct-Sep	Fiscal Year = Sep-Aug
Overhead & Program Support	Facilities & Administrative (F&A)
PeopleSoft	Oracle Financials

Movement of Funds from Stanford to SLAC - Costing & Reporting

SLAC Reporting:

ONLY Costs Incurred at SLAC

Cost Incurred: SLAC PeopleSoft

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SLAC Overhead Applied

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Monthly Raw Data Download from SLAC PeopleSoft

Cost Incurred: SU Oracle Financials (SU Overhead)

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SU Oracle Financials

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SU Reporting:

BOTH Costs Incurred at SLAC and SU

1. Cost incurred at SLAC
2. SLAC Overhead Applied (in some circumstances)
3. Cost data dump form SLAC PeopleSoft sent to Stanford on a monthly basis (4th of the month AFTER SLAC monthly close)
4. Costs uploaded into SU Oracle BEFORE monthly close, no SU Overhead Applied.

Starting Work In Advance Of Funding

Similar to Stanford Early PTA process, SLAC has a **Bridge Funding procedure** for starting work in advance of funding.

Criteria
- Non-federal sponsored projects or
- User agreements

Purpose
- Cover advance funding requirements required by DOE contract
- Use should be limited and temporary

Benefit
- Allows start / continuation of research despite funds delay

SLAC Bridge Funding Procedure

Sponsor agreement in place – DOE approval

Delay in funding from sponsor despite best efforts

PI & Business Office complete Bridge Funding request

Once fully approved, funds are bridged from SLAC's SU funds

SLAC PA created & costs may then be incurred

Bridge reimbursed to SLAC's SU funds once sponsor pays

PI and ALD assume risk in case award does not materialize (Dept Admin funds)
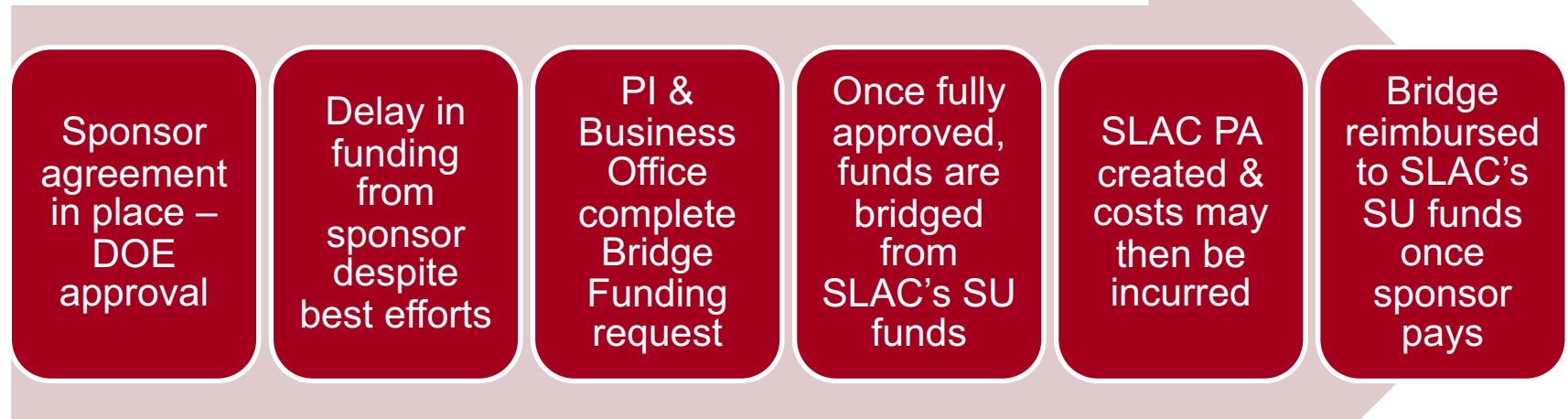
SLAC Bridge Funding Request Form

- Form should be completed by SLAC Business Office
- Show sponsor, PA, reason for delay in funding & bridge funds required
- Signed by PI and ALD
- Final approval by SLAC CFO

SLAC Bridge Funding Procedure - Requirements

Requirements

- Formal sponsor agreement in place
- DOE approval required
- Efforts to obtain sponsor funds exhausted
- SLAC Bridge Funds Request form completed & approved

Caveats

- Not intended to replace appropriate funds management, i.e. sponsor funds should be always be pursued as a primary approach
- Stanford bridge funds are limited

Questions

SLAC Proposal Advancement Office: paoteam@slac.stanford.edu

SLAC Accounting Office: accounting@slac.stanford.edu