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!

Think big! Be bold!

There are no dumb ideas
Don’t criticize other people’s ideas
No sacred cows
COMPLIANCE, ETHICS AND ERM

Research ABC Meeting
Thursday March 10, 2016

Sonal Shah
Senior Director, Compliance, Ethics and ERM
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

- **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

- **COMPLIANCE AND ETHICS, ENTERPRISE RISK MANAGEMENT, INVESTIGATIONS**
  - Stanford University (SU) incl. School of Medicine (SOM)
  - SLAC National Accelerator Laboratory
  - Stanford Management Company (SMC)

- **PRIVACY**
  - Stanford University (SU) incl. School of Medicine (SOM)
  - SLAC National Accelerator Laboratory
  - Stanford Management Company (SMC)
Enterprise Risk Management
ENTERPRISE RISK MANAGEMENT Process

Phase 1
Identification

Phase 2
Assessment

Phase 3
Mitigation

Phase 4
Communication & Monitoring

Owner(s)
ENTERPRISE RISK MANAGEMENT (ERM)

Stanford University - Categories of Risk

- Healthcare
- Strategic
- Students
- Research
- Campus/Operational
- Financial
An Effective Compliance and Ethics Program
COMPLIANCE AND ETHICS PROGRAM
A Brief Overview

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)
SAFEGUARDING AGAINST FRAUD, WASTE AND ABUSE

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)

FAraud

Intentionally, knowingly and willfully attempting to execute a scheme to falsely obtain payment from a federal, state or other governmental organization.

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.

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
ABUSE

IMPROPER BEHAVIOR OR BILLING PRACTICES THAT CREATE UNNECESSARY COSTS.

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 COST 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.

Opportunity
Ability to carry out misappropriation of cash or organizational assets.

Pressure
Motivation or incentive to commit fraud.

FRAUD
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 COMMUNITY MEMBER OR HIS/HER FAMILY AND FRIENDS.
CONFLICT OF INTEREST

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

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.
Compliance and Ethics Helpline
COMPLIANCE AND ETHICS HELPLINE

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

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

Compliance and Ethics Helpline
› Phone: 650-721-2667
› Email: compliance@stanford.edu
› Web Form (anonymous): helpline.stanford.edu
QUESTIONS AND COMMENTS

Office of Audit, Compliance and Privacy
650-725-0074
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

BRANDYKAHLIG
DIRECTOR, DEVELOPMENT SERVICES

Stanford University
<table>
<thead>
<tr>
<th>Role</th>
<th>Names</th>
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<tr>
<td><strong>Dean of Research</strong></td>
<td>Sara Bible, Patti McCabe, Ken Merritt</td>
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<td><strong>OSR and RMG</strong></td>
<td>Russell Brewer, Mich Pane, Kathleen Thompson</td>
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<tr>
<td><strong>Research Financial Compliance &amp; Support</strong></td>
<td>Ken Schulz</td>
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<tr>
<td><strong>Office of Development</strong></td>
<td>Kathy Veit, Howie Pearson, Carol Kersten, Joy Morimoto, Brooke Groves-Anderson, Joyce Lee</td>
</tr>
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</table>
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

- 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.
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)

✓ 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

- 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

- 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 Transmittal Workflow

<table>
<thead>
<tr>
<th>Task</th>
<th>Person</th>
<th>Role</th>
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<tbody>
<tr>
<td>Gift Transmittal Initiator</td>
<td>Knoth, Lucy M.</td>
<td>Gift Initiator</td>
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<td>Complete Transmittal Form</td>
<td>Nishimura, Cyn.</td>
<td>Gift User</td>
</tr>
<tr>
<td>Designate Gift or Sponsored</td>
<td>Nousi, Janet</td>
<td>Donor</td>
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<td>Approve/Reject Transmittal</td>
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<td>Assign Stewardship Officer</td>
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<td>Complete Stewardship Form</td>
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<td>Post Gift to Fiduciary</td>
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*Notes: If the total gift amount is $200,000 or above, then an approver at the school/unit level is required. Otherwise, an approver from either the department or IOR/OSR level is required.*
Questions
ABC Research Group

Annual Payroll Distribution Certification
Consolidated Expenditure Reporting
COMING ATTRACTIONS

Ken Schulz
Research Financial Compliance & Services
Annual Payroll Distribution Certification

**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

Total Recipients 1,600
Total Responses 480
Response Rate 30%
Individual comments 551
CER User Acceptance Testing
Preparing for a successful transition

After a lot of weeks of testing:

562 Participants

From 26 Budget Units

Representing 96 Different Jobs

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

Research Administration
Over 200 Participants
Over 1,000 User Days of Testing
Over 25,000 Testing Queries
CER Top 3 Concerns and Challenges
Survey Results and Action Plans

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

Report links:
- EXP 275
- EXP 276
- EXP 277
- EXP 278
- EXP 281
- EXP 285
- BGT 211

NEW
- e.g. PI Burn Rate
- Actual to Actual

NEW
- EXP 279
- EXP 279A
- EXP 280

NEW
- EXP 281

NEW
- EXP 285

NEW
- EXP 281

NEW
- BGT 211

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

Utilizing RM3

- RM3 279 Expenditure Transaction Detail Report
- RM3 285 Expenditure Monthly Detail Statement

Utilizing OBI

- OBI Expenditure Details Report
- OBI Expenditure Balance Report

Sponsored
Required
Monthly Expenditure Review & Reconciliation
RM3 149 Quarterly Expenditure Review & Certification

Non-Sponsored
Best-Practice
Monthly Expenditure Review & Reconciliation

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

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)

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How you will be supported
Authority and Access

- **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

**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

- 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

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
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

Sponsored Expenditures

Office of Sponsored Research
- Dora Brown
- Marie Mui
- Russell Brewer (advisor)

Research Financial Compliance & Services
- Marilou Hemenway
- Dale Lin
- Alex Ochoa
- Ken Schulz (advisor)

Dean of Research
- Patti McCabe
- Ken Merritt
- Sara Bible (advisor)

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
“That's all Folks!”
SeRA & OSR Update

ABC Meeting March 10, 2016
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
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

Project Summary

SPO #8689
William J. Nelson
Biology Department
Agreement Number: R01 GM035527
Sponsor: National Institutes of Health
Agreement type: Grant

**Summary**

- **Title**: Topogenesis of Na/K-ATPase in Polarized MDCK Epithelial Cells
- **Keyword**: Topogenesis of Na+K+ ATPa
- **Start Date**: 07/01/1990
- **Funded To Date**: 03/31/2016

**Segments**

<table>
<thead>
<tr>
<th>Award Segment ID</th>
<th>Sequence Number</th>
<th>Segment Type</th>
<th>Start Date</th>
<th>End Date</th>
<th>Budget Amount</th>
<th>Funded To Date</th>
<th>Funding Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>S1</td>
<td>1</td>
<td>New</td>
<td>07/01/1990</td>
<td>03/31/1995</td>
<td>$1,188,251.00</td>
<td>$1,188,251.00</td>
<td>Fully Funded</td>
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<td>2</td>
<td>Renew</td>
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<td>03/31/2003</td>
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<td>Renew</td>
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<td>03/31/2007</td>
<td>$2,176,851.00</td>
<td>$2,176,851.00</td>
<td>Fully Funded</td>
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<tr>
<td>S5</td>
<td>5</td>
<td></td>
<td>04/01/2007</td>
<td>03/31/2008</td>
<td>$555,226.00</td>
<td>$555,226.00</td>
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</table>
## Project Subawards Tab

### ICDDR BANGLADESH

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<thead>
<tr>
<th>Amendment #</th>
<th>Committed Amount</th>
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<th>Requisition #</th>
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<tbody>
<tr>
<td>New</td>
<td>$0.00</td>
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<td></td>
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<tr>
<td>New</td>
<td>$168,314.00</td>
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<td>2</td>
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<td>$98,941.00</td>
<td>3885511 Pending</td>
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**Total:** $168,314.00 $98,941.00

### COLORADO SCHOOL OF MINES

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**Total:** $291,761.00 $0.00

Released November 21, 2015
Click to view the **SeRA PO Details** (i.e. Subaward). Data is pushed from iProcurement and expanded in the SeRA system.
Project Subawards Tab

Click to go to the iProcurement Requisition and PO Query page.
Project Subawards Tab

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

Released
April 12, 2014
**Filter** Attachments by Project Management Category
Project Comments

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

Title: Topogenesis of NA/K-ATPase in Polarized MDCK Epithelial Cells
Keyword: Topogenesis of Na+K+ ATPa
Start Date: 07/01/1990  Total Project Estimated Cost: $14,786,228.00
Funded To Date: 03/31/2016  Total Project Funded To Date: $13,859,049.00

Segments

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<tr>
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<th>Segment Type</th>
<th>Start Date</th>
<th>End Date</th>
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<td></td>
<td>04/01/2007</td>
<td>03/31/2008</td>
<td>$555,226.00</td>
<td>$555,226.00</td>
<td>Fully Funded</td>
</tr>
</tbody>
</table>
Released
March 25, 2015
Project Comments

Filter for Non-Central Office Comments only
Tools for Portfolio Management
I’m all about that data

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.
Demystifying Data
Freed Data?!
Portfolio Management

My Projects

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

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<thead>
<tr>
<th>ID#</th>
<th>Transaction Type</th>
<th>Activity</th>
<th>Sponsor</th>
<th>SPO #</th>
<th>Title</th>
<th>Sponsor Award#</th>
<th>Date Initiated</th>
<th># of Days Assigned</th>
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<tr>
<td>PR641215</td>
<td>Proposal - New</td>
<td>Approve CSF form (OSF)</td>
<td>National Science Foundation</td>
<td>122849</td>
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<td>[NONE]</td>
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<td>PR622722</td>
<td>Proposal - New</td>
<td>Prepare CSF form</td>
<td>National Institutes of Health (NIH)</td>
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<td>Studying Deer Antler Genes For Accelerat</td>
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Download to Excel

Current Sponsored Research Profile

<table>
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<tr>
<th>Type</th>
<th>Award #s</th>
<th>Current Balance</th>
<th>Prior Year's Avg. Mo. Spend</th>
<th>Estimated Months Remaining</th>
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</thead>
<tbody>
<tr>
<td>Research</td>
<td>13</td>
<td>$2,318,815.48</td>
<td>$99,095.00</td>
<td>23</td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
<td>$25,612.00</td>
<td>$1,282.00</td>
<td>20</td>
</tr>
</tbody>
</table>

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
## Active Awarded Projects

<table>
<thead>
<tr>
<th>SPO#</th>
<th>Sponsor</th>
<th>Title</th>
<th>Sponsor Award #</th>
<th>Start Date</th>
<th>End Date</th>
<th>Total Estimated</th>
<th>Total Funded</th>
<th>Total Anticipated</th>
</tr>
</thead>
<tbody>
<tr>
<td>121572</td>
<td>University of California, Berkeley</td>
<td>TEST ONLY PROPOSAL AND AWARD: Test of New Proposal and Award, Change to new Data center</td>
<td>11121</td>
<td>09/30/2015</td>
<td>09/29/2019</td>
<td>$63,200.00</td>
<td>$32,000.00</td>
<td>$31,200.00</td>
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<td>121333</td>
<td>University of California, Berkeley</td>
<td>TEST ONLY PROPOSAL AND AWARD: Test of new Mu Build 8BM PR616800</td>
<td>1</td>
<td>07/25/2015</td>
<td>07/24/2019</td>
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<td>$306,208.00</td>
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<td>120742</td>
<td>University of California, Berkeley</td>
<td>TEST ONLY PROPOSAL PROJECT: LAMBDA TEST: PR609882</td>
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<td>05/30/2015</td>
<td>05/29/2019</td>
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<td>$10,000.00</td>
<td>$30,125.00</td>
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</table>

## Activities In Progress by Others

<table>
<thead>
<tr>
<th>ID#</th>
<th>Sponsor</th>
<th>SPO#</th>
<th>Title</th>
<th>Sponsor Award #</th>
<th>Transaction Type</th>
<th>Date Initiated</th>
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<tbody>
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<td>PTA618664</td>
<td>University of California, Berkeley</td>
<td>121572</td>
<td>TEST ONLY PROPOSAL AND AWARD: Test of New Proposal</td>
<td>11121</td>
<td>Account Setup - New</td>
<td>08/15/2015</td>
<td>Judith Clutter</td>
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<tr>
<td>PTA604235</td>
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<td>120072</td>
<td>TEST ONLY PROPOSAL: TEST FOR KAPPA RELEASE</td>
<td>TEST1</td>
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<td>03/25/2015</td>
<td>Judith Clutter</td>
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<td>AW604224</td>
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<td>TEST ONLY PROPOSAL: KAPPA INITIAL RELEASE</td>
<td>111231</td>
<td>Award - Amendment</td>
<td>03/25/2015</td>
<td>Amitabh Bhari</td>
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</table>

Download to Excel
## Portfolio Management

### Upcoming Enhancements

#### PI Training Certification
- **PI Training Certification (DOR-0680)**
- **Completion Date:** 11/12/2002

#### PHS COI Training Certification
- **PHS COI Training Certification (COI-PROG-0001)**
- **Expiration Date:** 07/12/2006

### Active Awarded Projects

<table>
<thead>
<tr>
<th>SP0#</th>
<th>Sponsor</th>
<th>Title</th>
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<th>End Date</th>
<th>Total Estimated</th>
<th>Total Funded</th>
<th>Total Anticipated</th>
<th>Total Remaining</th>
<th>NCX Due</th>
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<tbody>
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<td>Human Frontier Science Program Organization</td>
<td>Probing Mechano-Transduction by Cell-Cell Junctions at the Nano- and Micro-Scale</td>
<td>RGP0040/2012</td>
<td>10/01/2012</td>
<td>03/31/2016</td>
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<td>$0.00</td>
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<tr>
<td>8689</td>
<td>National Institutes of Health</td>
<td>Topogenesis of Na/K-ATPASE in Polarized MDCK Epithelial Cells</td>
<td>SRF01GM03552731</td>
<td>07/01/1990</td>
<td>03/31/2018</td>
<td>$26,132,540.00</td>
<td>$21,980,178.00</td>
<td>$4,152,362.00</td>
<td>$143,067.34</td>
<td></td>
</tr>
</tbody>
</table>

### Current Sponsored Research Profile

#### Recent Activity (Past 18 months)
- 0 Proposals Submitted as PI
- 10 Proposals Submitted as Non-PI
- 0 New Awards Received

#### Active Protocols

<table>
<thead>
<tr>
<th>Type</th>
<th>Award #s</th>
<th>Current Balance</th>
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<td>$25,612.00</td>
<td>$1,282.00</td>
<td>20</td>
</tr>
</tbody>
</table>

#### 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 Accounts Apex 5 Default View

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.
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 from 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
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.
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.
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 10th, 2016

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

- Enhanced search functionality within DoResearch
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

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<td>Rates</td>
<td>FY16 Fringe benefits and indirect costs rates</td>
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<td>Clinical Research</td>
<td>Research &amp; Scholarship</td>
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<td>How to prepare a cost transfer.</td>
<td>How To</td>
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<tr>
<td>Pl Training: Stewardship and Compliance for Principal Investigators</td>
<td>Training</td>
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<td></td>
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</table>

My Funding Opportunities

Cyber-Physical Systems (CPS)
Category: Science and Technology and other Research and Development  | Agency: National Science Foundation  | Posted 3 years 2 months ago
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
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

<table>
<thead>
<tr>
<th>Topic</th>
<th>Certificate program</th>
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<tr>
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<td>Veterinary Service</td>
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<td>Care Training Programs</td>
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<td>Required for new faculty and</td>
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<td>Environmental Health</td>
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<td>and Safety</td>
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<td>Use the Training Advisor to find</td>
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<td>courses for specific job duties</td>
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<td>Natural Institutes of</td>
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<td>Health (NIH)</td>
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<td>Find all NIH training</td>
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<td>NIH NRSA</td>
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<td>Grants.gov training for</td>
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<td>those submitting a NIH NRSA F</td>
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<td>Required to access the PDC</td>
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<td>System</td>
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<td>NIH K Awards</td>
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<td>Required for postdoctoral</td>
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<td>fellows submitting to NIH</td>
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<td>Privacy and Security</td>
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<td>Stanford University</td>
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<td>Privacy and Security</td>
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<td>Training (includes HIPAA content)</td>
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<td>Property Management</td>
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<td>Required to access property systems</td>
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<td>Research Administration</td>
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<td>Learn to submit proposals, and administer sponsored projects</td>
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<tr>
<td>Responsible Conduct of Research</td>
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<tr>
<td>Required for NIH trainees and NSF</td>
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<td>graduate Students</td>
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<td>Service Centers</td>
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<td>Required for administering service centers</td>
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<td>Sexual Harassment</td>
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<tr>
<td>Prevention</td>
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<tr>
<td>Required for faculty, staff, and visiting academics</td>
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<tr>
<td>Space Inventory</td>
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<tr>
<td>Required to access and use space inventory systems</td>
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### Training Updates

- **Visual summary in every online course**

#### Proposal and Budget Preparation

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<tr>
<th>Intended audience</th>
<th>Time to complete</th>
<th>Prerequisites</th>
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<tr>
<td>Administrators</td>
<td>4 hours</td>
<td>DOR-1101, DOR-1102</td>
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<td><strong>Certificate program</strong></td>
<td><strong>Hands-on workshop</strong></td>
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<td>Cardinal Curriculum Level 2</td>
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</table>

**Audit the course**
- View material

**Course contact**
- **Verea-Cano, Catalina**
  - (650) 725-9830
  - cverduca@stanford.edu
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

<table>
<thead>
<tr>
<th>Name</th>
<th>Sunet Id</th>
<th>Cert Date</th>
<th>Status</th>
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<tbody>
<tr>
<td>Michael J Rosenfeld</td>
<td>mrosenfe</td>
<td>09/18/2000</td>
<td>Completed</td>
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</table>

Verified PI Training completed: ✔ Yes

doreserach.stanford.edu
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

[Image of DoResearch website showing 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
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- Christina Stimmel
- Dell Sy
- Miguel de los Santos
- Mary Grace Tecson