Grant Coordinators Meeting Notes
February 16, 2017
10:30am-12:00pm
Simons Auditorium

• Introduction of new research administrators
  o No new coordinators in attendance

• Research Integrity Update (Susan MacNally)
  o New research certification form in eCompliance
  o This will be a way to manage new disclosures, it will be a 2 step process for those who need to do an update and not just certify no change.
  o Plan to start in early March
  o See slides for more details

• Post Award Updates (Anita Abel)
  o Project monitoring in preparation for conversion
    o Clean up in anticipation of Oracle Financials in the Cloud implementation
    o Due to the Data Integrity project there are still many open awards; teams are working to close these in anticipation of system cut-over
    o Please communicate with your PAS team about projects; you can also expect to hear from your team about closeouts on projects with revenue issues
  o Invoicing to Grants
    o KU Office of Research does all sponsored project invoicing
    o Notice of Award will determine type of project and what type of revenue collection is necessary (Cost Reimbursable, Letter of Credit, or Fixed Price) and if invoicing is required
    o Invoicing must be done in the system
  o Committed effort and actual effort
    o There have been 10 agency audits in the past year; many of these audits have questions related to effort
      ▪ Ask for invoicing, match to budget and payroll and effort certifications.
      ▪ These must match so it is imperative that the effort committed to the project match what is paid and what is certified
    o Voluntary cost share is not committed and is not reflected on effort certifications

• Pre-Award Update (Nancy Biles)
  o Streamlyne Implementation
  o In early stages of implementation at this time
  o Will have business process improvements; will as community feedback on this as implementation progresses

• Oracle in the Cloud Update (Gina Cregg)
  o See attached slides

• Open Forum

Future Grant Coordinators Meeting Dates (Simons Auditorium, 10:30am-12pm):
  o May 18, 2017, August 17, 2017, November 16, 2017
Revised Process for Research COI Certification

This change affects the project-based conflict of interest certification process.

The updated process

• Improves the interface for Investigators.
• Streamlines submission for the majority.
• Helps COI administrators manage new disclosures.
• Requires a new matrix for Research Administrators.
# Current vs. New Research Certification Forms

<table>
<thead>
<tr>
<th>Current form</th>
<th>New Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Asks questions about existing disclosures AND</td>
<td>• ONLY asks questions about existing disclosures</td>
</tr>
<tr>
<td>• ALSO allows changes to disclosures (an Update)</td>
<td>• A separate Update Certification is created if needed</td>
</tr>
</tbody>
</table>

- Splits Update function from Research Cert
- Very few Investigators need to Update
- Resulting 1-page form is easier to complete
Research Administrator’s View

Issuing the new Research Certification form follows the same process.

Select the ‘Create Res. Cert Short Form’ button
Investigator’s View – on login

Initial screen
PI selects “Review and Certify”

“Submit No Changes” is no longer an option.
Investigator’s View – inside the form

1. Project information
2. Investigator’s disclosures, if any
3. Are your disclosures up-to-date?
4. Any disclosures related to project?
Investigator workflow

Note: does not include COI review workflows!

PI receives SRIC email.

PI follows link. Logs in. Selects “Review and Certify.”

Form opens. PI answers 2 questions. Clicks “submit.”

“Up-to-date” = Yes?

yes

PI is done with SRIC!

no

PI follows link, completes and submits Update Cert

Update Cert is created for PI

PI is done with Update!
Investigator’s View – up-to-date

If up-to-date, Investigator is done on submission.

Historically, the great majority of investigators are up-to-date!
Investigator’s View on “Submit” if up to date

Research Cert advances to Admin Review or No Review Required.

PI is done. Disclosures still need a COI proposal review.
### Investigator’s View – key questions

3. **I certify that my disclosures are up to date. (i.e., financial interests (if any) have been updated within 30 days upon acquiring or discovering a new significant financial interest)**
   - [ ] Yes
   - [X] No

   If NOT up-to-date, an “Update Certification” form will be created for the Investigator to complete.

4. **Are your current disclosures and/or updated disclosures related to this research project? (e.g., do you have a financial interest in the sponsor or manufacturer of the study drug)**
   - [ ] Yes
   - [ ] No

   **If yes, please explain the relationship:**
   
   ACME staff that I consult will be involved on this research project.

**PHS requirement: disclosures must be up-to-date at time of submission**
Investigator’s View on “Submit” if NOT up to date

Research Cert advances to Admin Review

A separate Update Certification is required

- Investigator clicks link to open and complete the Update Certification.
- Update Cert must be completed prior to proposal submission.
<table>
<thead>
<tr>
<th>SRIC</th>
<th>Update</th>
<th>What it means</th>
<th>RPA – what to do</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SRIC Update**
- What it means
- RPA – what to do

**DRAFT**
- SRIC
- NOT submitted
- Prod Investigator
- No Review Required
- Update – up to date
- No COI issues
- Done and cleared

**Admin Review**
- SRIC
- Update
- Disclosures
- Send hits to COI@ku.edu
Research Administrator Lookup

Annual is complete. Research Cert in DRAFT!

<table>
<thead>
<tr>
<th>Created Date</th>
<th>ID</th>
<th>Disclosure Certification</th>
<th>Discloser First Name</th>
<th>Discloser Last Name</th>
<th>Date Submitted</th>
<th>Department</th>
<th>State</th>
<th>Organizations With SFI</th>
<th>Associated Update Cert ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/24/2017</td>
<td>DC000061333</td>
<td>Annual Disclosure Certification for John Doe FY2017</td>
<td>John</td>
<td>Doe</td>
<td>1/24/2017</td>
<td>University of Kansas</td>
<td>Review Complete</td>
<td>ACME, Inc.</td>
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<td>John</td>
<td>Doe</td>
<td></td>
<td>University of Kansas</td>
<td>Draft</td>
<td>ACME, Inc.</td>
<td></td>
</tr>
</tbody>
</table>

**PI:** NOT done!

**ResAdmin:** Prod PI!
Research Administrator Lookup
Annual is complete. Research Cert is submitted. No Update Cert.

PI: Done.

ResAdmin: Check proposal for disclosures. Forward to COI if match found.
Research Administrator Lookup

Annual complete. Research Cert submitted. Update Cert in DRAFT!

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<td>1/24/2017</td>
<td>DC00061337</td>
<td>Update to John Doe's disclosures 1.24.2017</td>
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<td>Doe</td>
<td>1/24/2017</td>
<td>University of Kansas</td>
<td>Draft</td>
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<td>University of Kansas</td>
<td>Review Complete</td>
<td>ACME, Inc.</td>
<td>DC00061337</td>
</tr>
</tbody>
</table>

PI: NOT done!

ResAdmin: Prod PI! Contact COI for review.
Research Administrator Lookup


PI: Done!

ResAdmin: Search proposal for disclosures. Contact COI for review.
SRIC start date : March 1

• Questions?
  – Bob Szrot, 4-3319
  – Susan MacNally, 4-4148
  – coi@ku.edu
Invoicing on Grants

The Notice of Award is the official document that authorizes the establishment of the account in the institutional financial system. The Sponsored Project Budget Summary is the notification to stakeholders that the funds have been awarded and are available to spend. The Office of Research submits invoices and other required financial reports to sponsors for sponsored research on behalf of KUCR.

Financial Types of Awards

Cost Reimbursable – CRB

Fixed Price

Letter of Credit (LOC)

Cost Reimbursable – most awards are this type. This means there are periodic invoices (monthly, quarterly, etc.) sent to sponsors that represent actual expenses charged to the award. These expenses are billed using the PS Grants Billing system. What is billed is what is posted in the financial system. If it’s not in the financial system, the expense does not exist for the purposes of billing.

Fixed Price – this type of award is generally milestone or deliverables based. These deliverables are generally identified in the contract. Invoicing requires communication with the PI on when the deliverables have been met so invoices can be submitted. These are not to be confused with Fixed Schedule (CRB that is billed on a fixed schedule for fixed amount with last invoice reflecting the actual amounts spend on the project).

Letter of Credit (LOC) – are generally for federal awards where use of an electronic system identified by the sponsor for drawing down funds to be sent to an authorized bank account. These are a type of Cost Reimbursable award so expenses need to be reflected in the financial system for appropriate billing.

Structure

Based on terms of award or contract the project is identified in the financial system as CRB, Fixed or LOC.

Post Award Team 5 prepares and submits invoices and LOC draws – invoices are system generated creating an Invoice (open item).

Fiscal Affairs receives the funds and applies to the open item (Invoice).

Payments are reflected in the Revenue column of the DEMIS report.

Reference

2 CFR 200.302 Financial Management; 2 CFR 200.305 Payment
Committed Effort vs. Actual Effort

Proposed

PI commits effort at the proposal stage – considerations at proposal stage are the PI’s Current and Pending awards. It is general expectation that the salary will be appointed in the same manner as the committed effort.

Awarded

When it’s time to spend the dollars –

- Verify with the PI if the committed effort is still the same.
- If it is, the PI should expect to see on his effort report a similar percentage of effort.
- If the effort the PI plans to expend on the project changes from the committed, the percentages appointed need to follow what the PI plans to do (actual).

Concerns

- If the pay does not follow the actual work, the effort report percentages will not reflect the accurate effort.

The Effort Report is for the PI to officially certify that work was done on the award and the pay accurately represents this effort. If it does not accurately report the effort, the PI should not sign it.

Audit Trails

- The sponsor may want to look at detail of specific invoices or draw amounts.
- This would include payroll and we would have to send them the voucher details.
- This leads to questions of how the pay was determined.
- This leads to copies of PAFS.
- Which leads to copies of Effort Reports.

Scenario: If all of the budget for 10% commitment for 3 months was put on one or two pay periods fully funding those pay periods, the sponsor could ask for details of what work was provided for all of the pay –meanwhile PI says “but I spent all year working on the project” – the pay does not then accurately reflect the work.

Goal

- Pay should accurately reflect effort so the effort reports are accurate and work reflects the percentage funding. The pay is about the work done – not available budget.
Grants Coordinators Meeting

February 16, 2017

Slides from Campus Finance Officers Meeting - January 6, 2017
Financial Systems Transformation (FST)

What is it?

- Implementation of four financials related systems
  - Oracle Financials in the Cloud (FITC)
  - Oracle Planning & Budgeting Cloud Services (PBCS)
  - Oracle Business Intelligence Cloud Services (BICS)
  - Concur Expenses – NEW
  - Vivantech – StreamLyne – pre-award
FST – Why Now?

• FITC
  • Current system (PeopleSoft version 9.0) is no longer supported
  • New system is Oracle’s latest focus for financial systems
    • Cloud Based vs. On Premise
    • Simplification of ongoing system maintenance
  • Establishment of SSCs is going to aid in this transition
    • Project Team participation
    • Training of financial specialists with immediate supervisors with financials experience

• Concur (Travel Expenses & P-Card)
  • Current system (PeopleSoft) is inefficient and not transparent to travelers
  • Travel is a major pain point for campus
  • Concur is a best in class travel management tool
FST – Why Now?

• PBCS
  • Current system (NIBS) is a bolt-on to PeopleSoft that cannot be replicated in new system
  • Campus need for more efficient scenario planning tool(s) that can perform “what if” scenarios and analysis

• BICS
  • Current reporting infrastructure (DEMIS, BudCast, Shadow Systems, etc.) is not sustainable on a long-term basis with new systems (FITC, Concur, PBCS)
  • Campus need for broader reporting that crosses campus ERP systems by breaking down current data silos as well as has ability to present data in multiple visual formats (long-term goal)
## FST – System Roadmap

<table>
<thead>
<tr>
<th>Content Area</th>
<th>Process</th>
<th>System(s) used prior to FST</th>
<th>System(s) used after FST</th>
<th>Implementation Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Travel</strong></td>
<td>Authorizations</td>
<td>PeopleSoft</td>
<td>Concur Expense</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Expense Reports</td>
<td>PeopleSoft</td>
<td>Concur Expense</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Reservations</td>
<td>External 3&lt;sup&gt;rd&lt;/sup&gt; Party (e.g. Expedia; airline, hotel, or conference website)</td>
<td>External 3&lt;sup&gt;rd&lt;/sup&gt; Party (e.g. Expedia; airline, hotel, or conference website)</td>
<td>TBD (After July 1&lt;sup&gt;st&lt;/sup&gt;)</td>
</tr>
<tr>
<td><strong>Purchasing</strong></td>
<td>Purchasing Card Reconciliation</td>
<td>PeopleSoft</td>
<td>Concur Expense</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Shopping for Supplies, Equipment, etc.</td>
<td>KUPPS</td>
<td>FITC</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Check Requests (after the fact invoices)</td>
<td>KUPPS/ImageNow</td>
<td>FITC</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Supplier/Vendor Additions &amp; Changes</td>
<td>Web-form</td>
<td>TBD</td>
<td>TBD</td>
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<tr>
<td><strong>Accounts Receivable</strong></td>
<td>Invoicing and receivable tracking for goods &amp; services produced by departments beyond tuition &amp; fees and sponsored research</td>
<td>Shadow System</td>
<td>FITC</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Department deposit for cash payments received</td>
<td>PeopleSoft/Shadow System</td>
<td>FITC</td>
<td>July 1, 2017</td>
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</tbody>
</table>
# FST – System Roadmap (cont.)

<table>
<thead>
<tr>
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<th>System(s) used after FST</th>
<th>Implementation Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grants Admin</strong></td>
<td>Proposal Tracking and Submission</td>
<td>PeopleSoft/Cayuse424</td>
<td>FITC/Viventech</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Award Tracking &amp; Administration</td>
<td>PeopleSoft</td>
<td>FITC</td>
<td>July 1, 2017</td>
</tr>
<tr>
<td></td>
<td>Invoicing and receivable tracking for sponsored research</td>
<td>PeopleSoft</td>
<td>FITC</td>
<td>July 1, 2017</td>
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<tr>
<td><strong>Budgeting</strong></td>
<td>Budget Preparation</td>
<td>BCP Access DB</td>
<td>PBCS</td>
<td>February 2017</td>
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<td>Budget Transfers</td>
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<td>Scenario Planning</td>
<td>BudCast/Shadow System</td>
<td>PBCS</td>
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<td>Salary Forecasting</td>
<td>DEMIS/BudCast</td>
<td>PBCS/BICS</td>
<td>July 1, 2017</td>
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<td><strong>Reporting</strong></td>
<td>Budget Reports</td>
<td>DEMIS/BudCast</td>
<td>PBCS/BICS</td>
<td>July 1, 2017</td>
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<td></td>
<td>Grant Reports</td>
<td>DEMIS/BudCast</td>
<td>BICS</td>
<td>July 1, 2017</td>
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</tbody>
</table>
FST – PBCS Budget Collection Milestones

• UAT – Complete!

• Training & Go-Live starting January 31st
  • Budget users will be e-mailed the specifics to enroll
  • Formal Classroom style training 1st week
  • 1:1 Lab style training 2nd week
  • Training will be in live/production environment
FST – BICS Milestones

• Requirements Finalization (January)
• Data Mapping from DEMIS and FITC (January – February)
• Mock 1: Conversion/Integration and Initial Proof of Concepts (February – March)
• Mock 2 (April – May)
• User Acceptance Testing (June)
• Go-Live (July)
• Training (July)
FST – Concur Milestones

• Purchased **Concur Expense** software for Travel Authorizations, Travel & Expense reimbursement processing and PCard reconciliation
  • Additional Features
    • **TripLink** (loading travel booked from many sites)
    • **ExpensItPro** (ability to snap a photo of a receipt) for T&E
    • **Risk Messaging** (provides the ability to locate and communicate with KU travelers)

• Project Team Established (January)
  • First priority – Complete workbook provided by Concur Implementation Team

• Go-Live (July)
FST – FITC Milestones

• Conference Room Pilot 2 (CRP2) (February)
  • Participants – Project Team Working Groups
  • CRP2 will test revised configurations as well as select conversions & interfaces

• User Acceptance Testing (April)
  • Participants – Project Team Working Groups plus select future power users
  • UAT will re-test configurations plus all conversions & interfaces

• Training (May / June)
  • Participants – All future users of FITC system
    • Different levels of training depending upon usage of system (e.g. transactional entry vs. workflow approval)
FST – General Ledger Structure

What’s NOT Changing:

- Fund
- Secondary ARSP
- Appropriation
- Cost Center
- Chart Field 1
- Project
- KUEA Reimbursable Account
- Program Code (Tuition Breakout)
FST – General Ledger Structure

Changes:

• Account – Minor change in numbering
  • Revenues – Will start with 4xxxxx instead of 2xxxxx
  • Expenses – Will start with 5xxxxx instead of 1xxxxx
  • Balance Sheet Accounts – Assets (1xxxxx), Liabilities (2xxxxx) & Net Assets (3xxxxx)
• Primary ARSP – Minor changes in numbering

NOTE: Users will be given mapping handout of account changes during training
## FST – FITC Module Overview

<table>
<thead>
<tr>
<th>FITC Modules:</th>
<th>Primary Users:</th>
<th>Project Team Facilitator</th>
<th>Project Team Lead</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Ledger</td>
<td>Central Offices</td>
<td>Danita Robinson, FACC</td>
<td>John Mulvihill, FMS</td>
</tr>
<tr>
<td>Procurement (P2P)</td>
<td>SSCs, Department Approvers, Central Offices</td>
<td>Rick Beattie, Procurement</td>
<td>Judy Hamner, FMS</td>
</tr>
<tr>
<td>AR &amp; Billing (DARBI)</td>
<td>SSCs, Department Approvers, Central Offices</td>
<td>Deb Carter, CAO SSC</td>
<td>Matt Quijas, FMS</td>
</tr>
<tr>
<td>Grants</td>
<td>SSCs, PIs, Research Unit Staff, Office of Research</td>
<td>Alicia Reed, Office of Research</td>
<td>Michelle Swisher, FMS</td>
</tr>
<tr>
<td>Assets</td>
<td>Equipment Coordinators, Central Offices</td>
<td>Jeff Hunter, FRS</td>
<td>Colette Gillespie &amp; Matt Lawrence, FMS</td>
</tr>
</tbody>
</table>
FST – Procurement (P2P)

What’s NOT Changing:
• PO Purchases
  • Punch Out Catalogs
  • Hosted Catalogs
• Check Requests (Invoices) for non-PO purchases

Changes:
• One system (FITC) vs. Three systems (KUPPS, PS & ImageNow)
FST – FITC Navigation Overview

Payables Landing Page:
FST – FITC Navigation Overview

Payables Invoices:
FST – Feedback / Question Opportunities

• Project Website – fst.ku.edu
  • Project Updates
  • FAQs
  • Online Feedback Tool

• CFO Meetings

• Project Team Facilitators & Leads
  • fst@ku.edu – project e-mail that is monitored by project team

• FMS Leadership
  • PBCS (MaryAnn); FITC (Katrina); Concur (Rick); BICS (Nick); StreamLyne (Alicia)