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

- Introduction of new research administrators
  - No new coordinators in attendance

- Research Integrity Update (Susan MacNally)
  - New research certification form in eCompliance
  - 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.
  - Plan to start in early March
  - See slides for more details

- Post Award Updates (Anita Abel)
  - Project monitoring in preparation for conversion
    - Clean up in anticipation of Oracle Financials in the Cloud implementation
    - Due to the Data Integrity project there are still many open awards; teams are working to close these in anticipation of system cut-over
    - Please communicate with your PAS team about projects; you can also expect to hear from your team about closeouts on projects with revenue issues
  - Invoicing to Grants
    - KU Office of Research does all sponsored project invoicing
    - 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
    - Invoicing must be done in the system
  - Committed effort and actual effort
    - 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
    - Voluntary cost share is not committed and is not reflected on effort certifications
- Pre-Award Update (Nancy Biles)
  - Streamlyne Implementation
  - In early stages of implementation at this time
  - Will have business process improvements; will as community feedback on this as implementation progresses
- Oracle in the Cloud Update (Gina Cregg)
  - See attached slides
- Open Forum

Future Grant Coordinators Meeting Dates (<u>Simons Auditorium, 10:30am-12pm</u>):

- May 18, 2017, August 17, 2017, November 16, 2017


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TO FACILITATE
INNOVATION, CREATIVE ACTIVITY,
DISCOVERY AND THE
APPLICATION & DISSEMINATION
OF KNOWLEDGE

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

Current form

- Asks questions about existing disclosures AND
- ALSO allows changes to disclosures (an Update)

New Form

- ONLY asks questions about existing disclosures
- A separate Update Certification is created if needed

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

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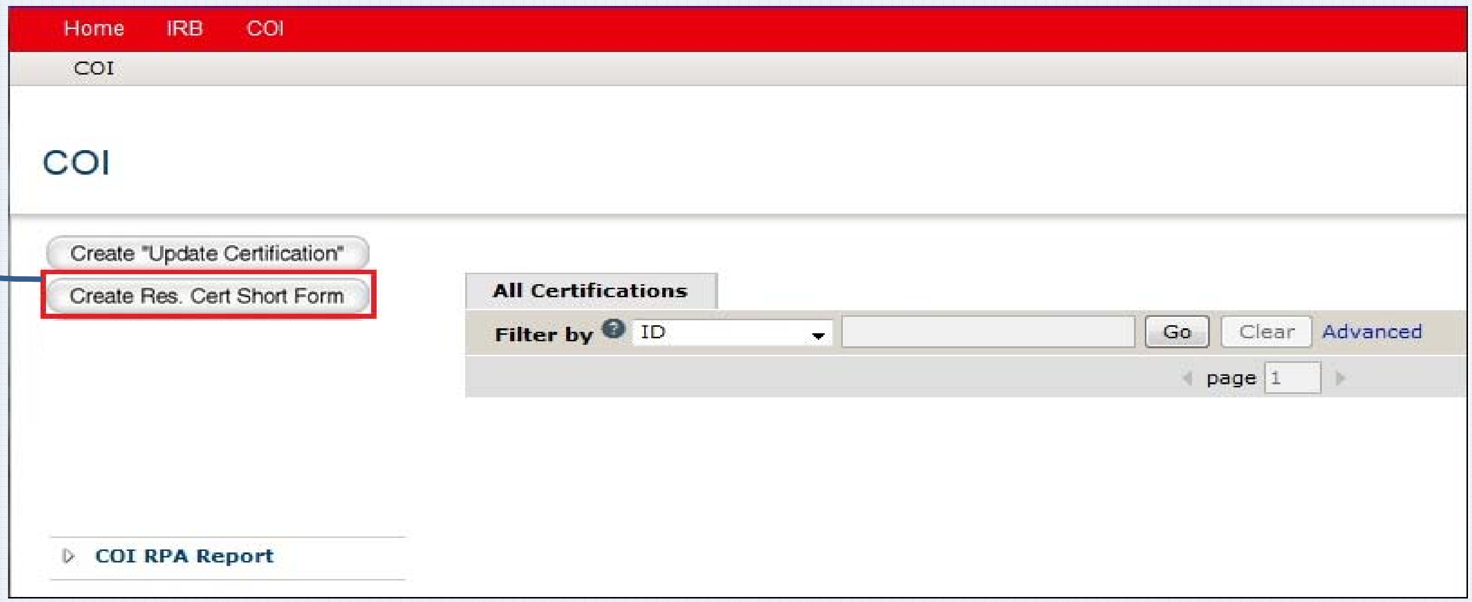
Research Administrator’s View

Issuing the new Research Certification form follows the same process.

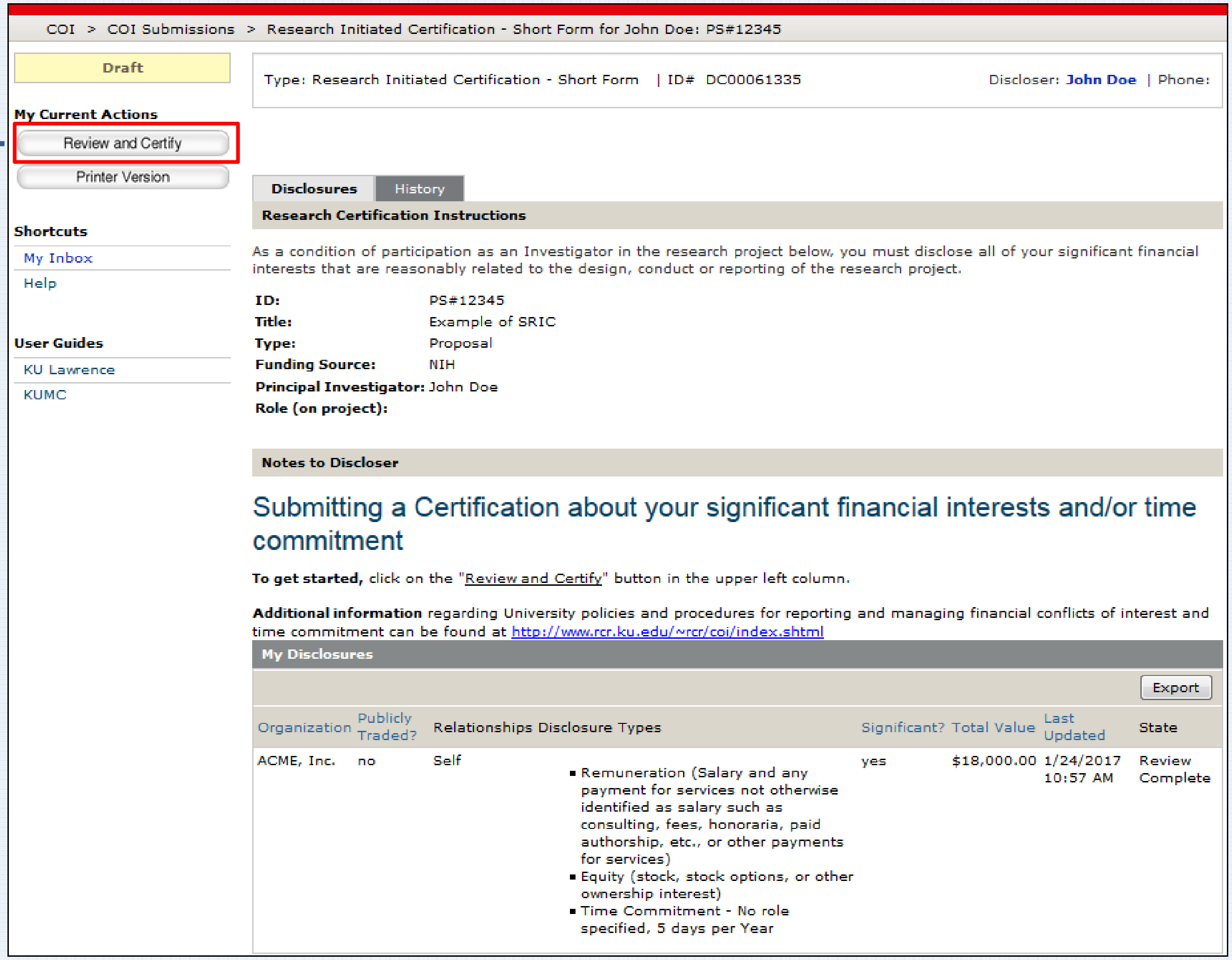
Select the ‘Create Res. Cert Short Form’ button



Investigator’s View – on login

Initial screen PI selects “Review and Certify”

“Submit No Changes” is no longer an option.



COI > COI Submissions > Research Initiated Certification - Short Form for John Doe: PS#12345

Draft

My Current Actions

Review and Certify

Printer Version

Shortcuts

My Inbox

Help

User Guides

KU Lawrence

KUMC

Type: Research Initiated Certification - Short Form | ID# DC00061335 Discloser: **John Doe** | Phone:

Disclosures History

Research Certification Instructions

As a condition of participation as an Investigator in the research project below, you must disclose all of your significant financial interests that are reasonably related to the design, conduct or reporting of the research project.

ID:	PS#12345
Title:	Example of SRIC
Type:	Proposal
Funding Source:	NIH
Principal Investigator:	John Doe
Role (on project):	

Notes to Discloser

Submitting a Certification about your significant financial interests and/or time commitment

To get started, click on the "Review and Certify" button in the upper left column.

Additional information regarding University policies and procedures for reporting and managing financial conflicts of interest and time commitment can be found at http://www.rcr.ku.edu/~rcr/coi/index.shtml

My Disclosures

Export

Organization	Publicly Traded?	Relationships	Disclosure Types	Significant?	Total Value	Last Updated	State
ACME, Inc.	no	Self	• Remuneration (Salary and any payment for services not otherwise identified as salary such as consulting, fees, honoraria, paid authorship, etc., or other payments for services) • Equity (stock, stock options, or other ownership interest) • Time Commitment - No role specified, 5 days per Year	yes	$18,000.00	1/24/2017 10:57 AM	Review Complete

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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?

Research Initiated Certification - Short Form for John Doe : Research Information

Questions specific to research initiated certifications.

1. Research Project Information

ID:	PS#12345
Title:	Example of SRIC
Type:	Proposal
Funding Source:	NIH
Principal Investigator:	John Doe
Discloser's Role on Project:	

2. Reference: My Financial Disclosures:

Disclosures Under Review:

Organization	State	Disclosure Type(s)	Total Value
There are no items to display			

Disclosures Previously Submitted:

Organization	State	Disclosure Type(s)	Total Value
ACME, Inc.	Review Complete	▪ **Remuneration (Salary and any payment for services not otherwise identified as salary such as consulting, fees, honoraria, paid authorship, etc., or other payments for services)** ▪ **Equity (stock, stock options, or other ownership interest)** ▪ **Time Commitment - No role specified, 5 days per Year**	$18,000.00

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
- No

Clear

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

Clear

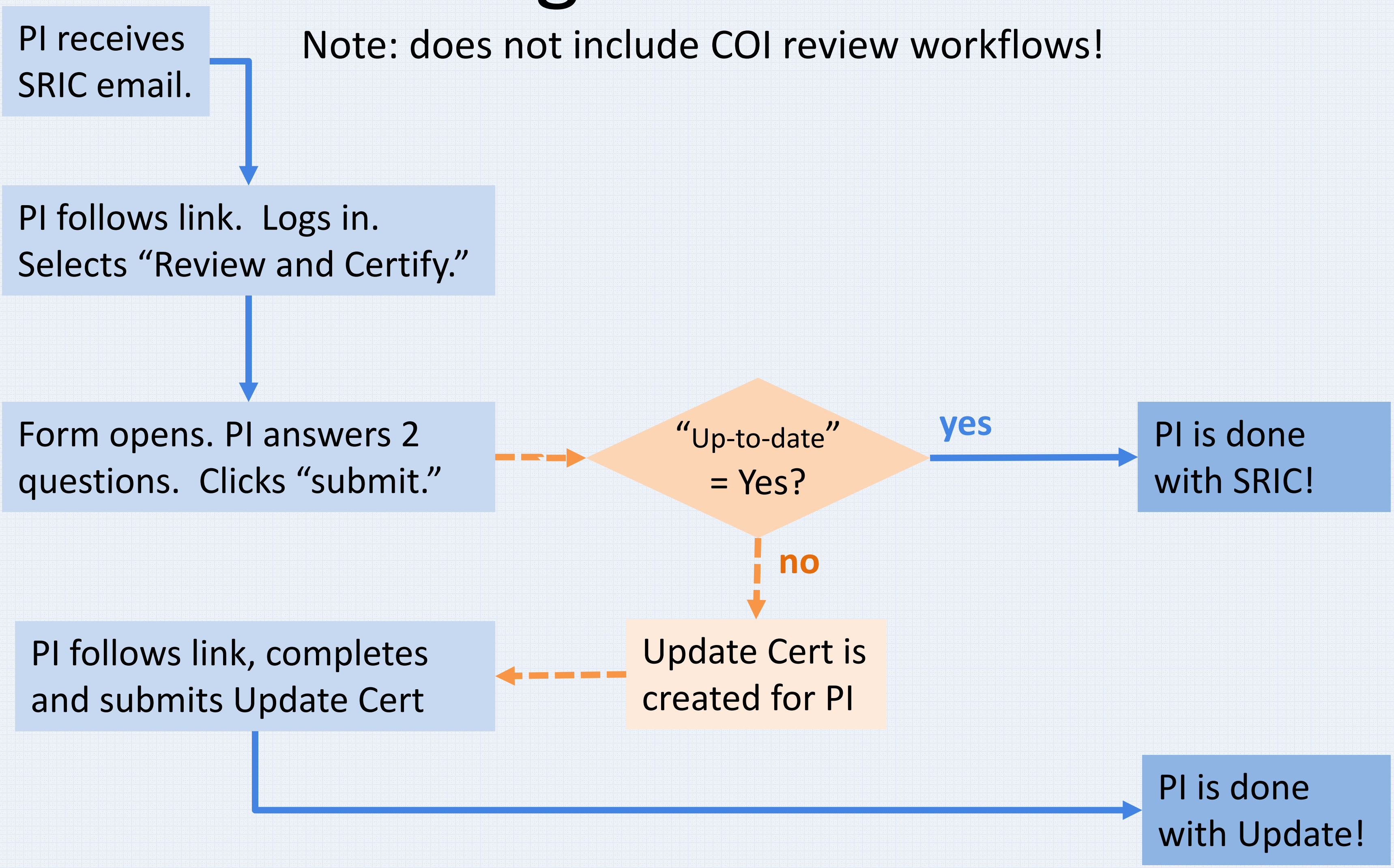
If yes, please explain the relationship:

ACME staff that I consult will be involved on this research project.

<< Back | Save | Exit | Hide/Show Errors | Print... | Jump To: Research Information | Submit

Investigator workflow

Note: does not include COI review workflows!



Investigator's View – up-to-date

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
- ( ) No

Clear

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

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

Clear

If yes, please explain the relationship:

ACME staff that I consult will be involved on this research project.

Historically, the great majority of investigators are up-to-date!

<< Back

Save | Exit | Hide/Show Errors | Print... | Jump To:

Research Information

Submit

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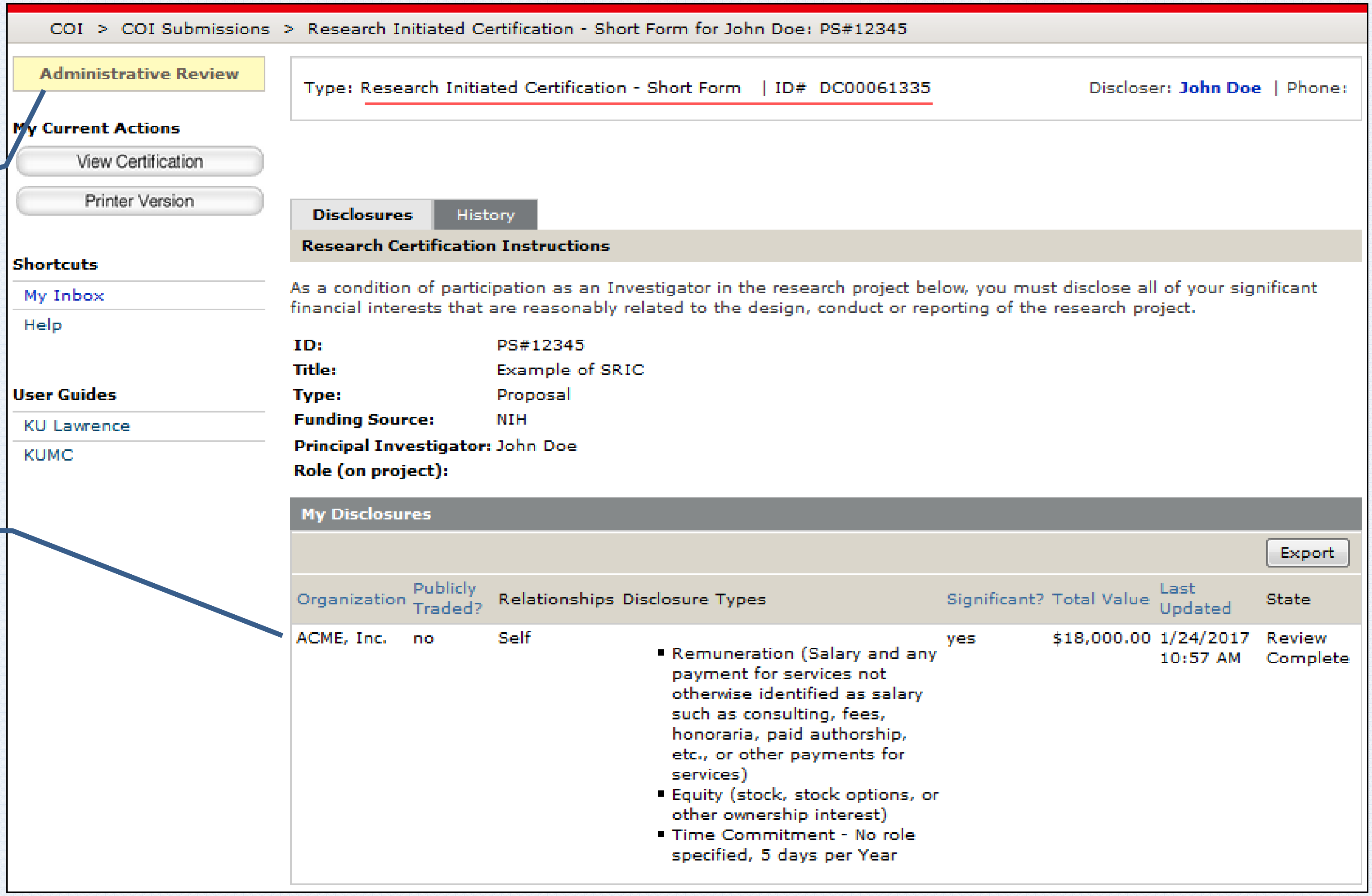
Investigator's View on "Submit" if up to date

Research Cert advances to Admin Review or No Review Required.

PI is done. Disclosures still need a COI proposal review.



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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
- No

Clear

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

Clear

If yes, please explain the relationship:

ACME staff that I consult will be involved on this research project.

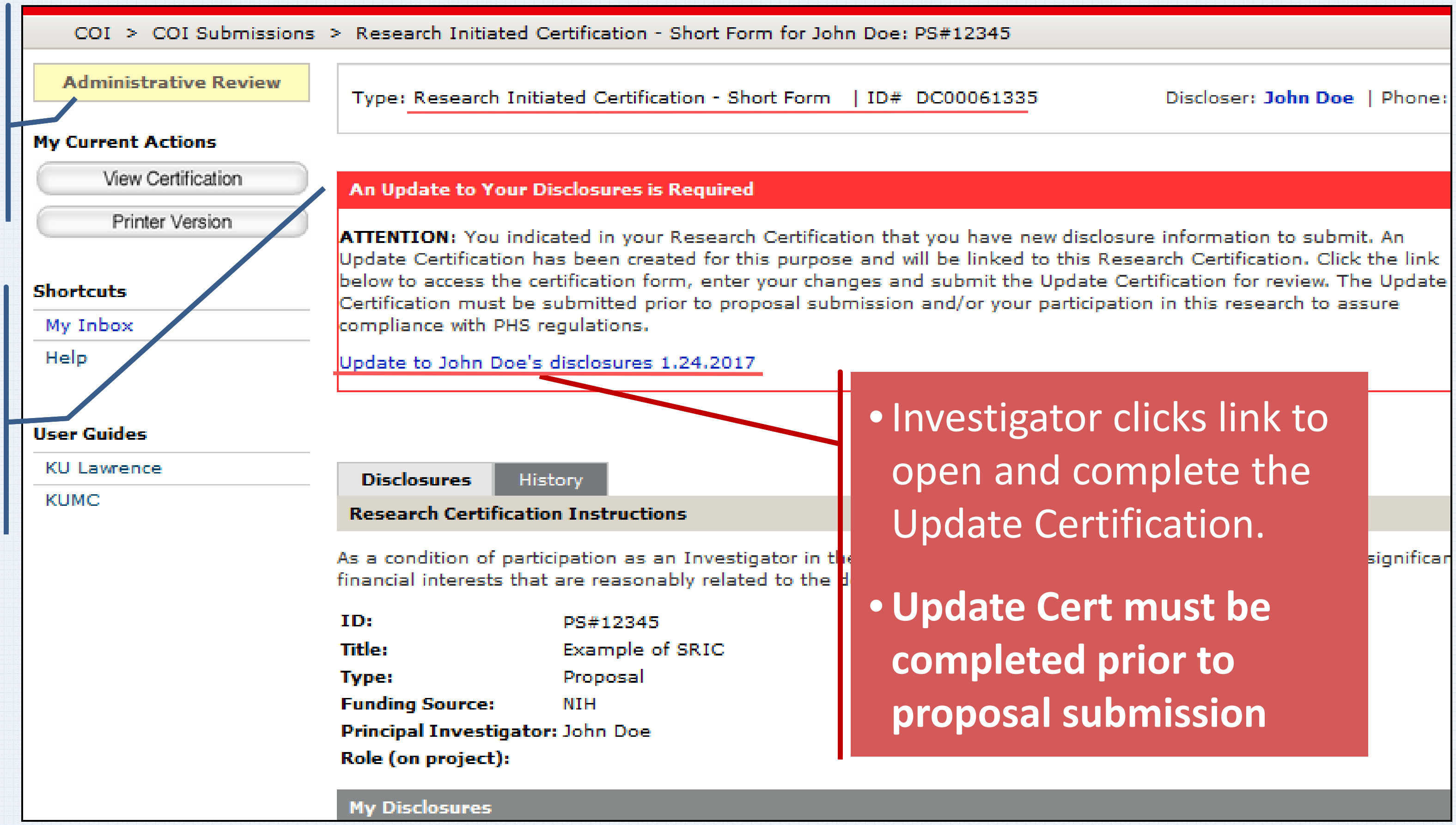
PHS requirement: disclosures must be up-to-date at time of submission

<< Back | Save | Exit | Hide/Show Errors | Print... | Jump To: Research Information | Submit

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**

Research Administrator Lookup View

Action Table

SRIC	Update	What it means	RPA – what to do

Research Administrator Lookup

Annual is complete.   Research Cert in DRAFT!

COI RPA Report

Filter by: Discloser Last Na — Doe | Go | Clear | Basic | Export

and: Discloser First Na — John

and: Created Date —

Add Another Row

Created Date	ID	Disclosure Certification	Discloser First Name	Discloser Last Name	Date Submitted	COI Training Date	Department	State	Organizations With SFI	Associated Update Cert ID
1/24/2017 10:07 AM	DC00061333	Annual Disclosure Certification for John Doe FY2017	John	Doe	1/24/2017		University of Kansas	Review Complete	ACME, Inc.	
1/24/2017 11:01 AM	DC00061335	Research Initiated Certification - Short Form for John Doe: PS#12345	John	Doe			University of Kansas	Draft	ACME, Inc.	

2 items   page 1 of 1   10 / page

PI: NOT done!

ResAdmin: Prod PI !

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Research Administrator Lookup

Annual is complete. Research Cert is submitted. No Update Cert.

COI RPA Report

Filter by: Discloser Last Na: Doe | Go | Clear | Basic | Export

and: Discloser First Na: John

and: Created Date:

Add Another Row

Created Date	ID	Disclosure Certification	Discloser First Name	Discloser Last Name	Date Submitted	COI Training Date	Department	State	Organizations With SFI	Associated Update Cert ID
1/24/2017 10:07 AM	DC00061333	Annual Disclosure Certification for John Doe FY2017	John	Doe	1/24/2017		University of Kansas	Review Complete	ACME, Inc.	
1/24/2017 11:01 AM	DC00061335	Research Initiated Certification - Short Form for John Doe: PS#12345	John	Doe	1/24/2017		University of Kansas	Administrative Review	ACME, Inc.	

2 items · page 1 of 1 · 10 / page

PI: Done.

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

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Research Administrator Lookup

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

COI RPA Report

Filter by: Discloser Last Name — Doe
and: Discloser First Name — John
and: Created Date —

Go | Clear | Basic | Export | Add Another Row

Created Date	ID	Disclosure Certification	Discloser First Name	Discloser Last Name	Date Submitted	COI Training Date	Department	State	Organizations With SFI	Associated Update Cert ID
1/24/2017 1:55 PM	DC00061335	Research Initiated Certification - Short Form for John Doe: PS#12345	John	Doe	1/24/2017		University of Kansas	Administrative Review	ACME, Inc.	DC00061337
1/24/2017 1:57 PM	DC00061337	Update to John Doe's disclosures 1.24.2017	John	Doe			University of Kansas	Draft	ACME, Inc.	
1/24/2017 10:07 AM	DC00061333	Annual Disclosure Certification for John Doe FY2017	John	Doe	1/24/2017		University of Kansas	Review Complete	ACME, Inc.	

3 items   page 1 of 1   10 / page

PI: NOT done!

ResAdmin: **Prod PI !** Contact COI for review.

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Research Administrator Lookup

Annual complete. Research Cert submitted. Update Cert submitted.

COI RPA Report

Filter by: Discloser Last Name = Doe; and Discloser First Name = John; and Created Date
Go | Clear | Basic | Export
Add Another Row

Created Date	ID	Disclosure Certification	Discloser First Name	Discloser Last Name	Date Submitted	COI Training Date	Department	State	Organizations With SFI	Associated Update Cert ID
1/24/2017 1:55 PM	DC00061335	Research Initiated Certification - Short Form for John Doe: PS#12345	John	Doe	1/24/2017		University of Kansas	Administrative Review	ACME, Inc.	DC00061337
1/24/2017 1:57 PM	DC00061337	Update to John Doe's disclosures 1.24.2017	John	Doe	1/24/2017		University of Kansas	Administrative Review	ACME, Inc.	
1/24/2017 10:07 AM	DC00061333	Annual Disclosure Certification for John Doe FY2017	John	Doe	1/24/2017		University of Kansas	Review Complete	ACME, Inc.	

3 items | page 1 of 1 | 10 / page

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

Grant Coordinator Meeting 2/16/17

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 <u>officially certify that work was done on the award and the pay accurately represents this effort</u>. 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

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

FST – System Roadmap (cont.)

Content Area	Process	System(s) used prior to FST	System(s) used after FST	Implementation Timing
Grants Admin	Proposal Tracking and Submission	PeopleSoft/Cayuse424	FITC/Viventech	July 1, 2017
	Award Tracking & Administration	PeopleSoft	FITC	July 1, 2017
	Invoicing and receivable tracking for sponsored research	PeopleSoft	FITC	July 1, 2017
Budgeting	Budget Preparation	BCP Access DB	PBCS	February 2017
	Budget Transfers	PeopleSoft	FITC	July 1, 2017
	Scenario Planning	BudCast/Shadow System	PBCS	July 1, 2017
	Salary Forecasting	DEMIS/BudCast	PBCS/BICS	July 1, 2017
Reporting	Budget Reports	DEMIS/BudCast	PBCS/BICS	July 1, 2017
	Grant Reports	DEMIS/BudCast	BICS	July 1, 2017

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)
    - **ExpenseItPro** (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

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

FST – Procurement (P2P)

What's NOT Changing:

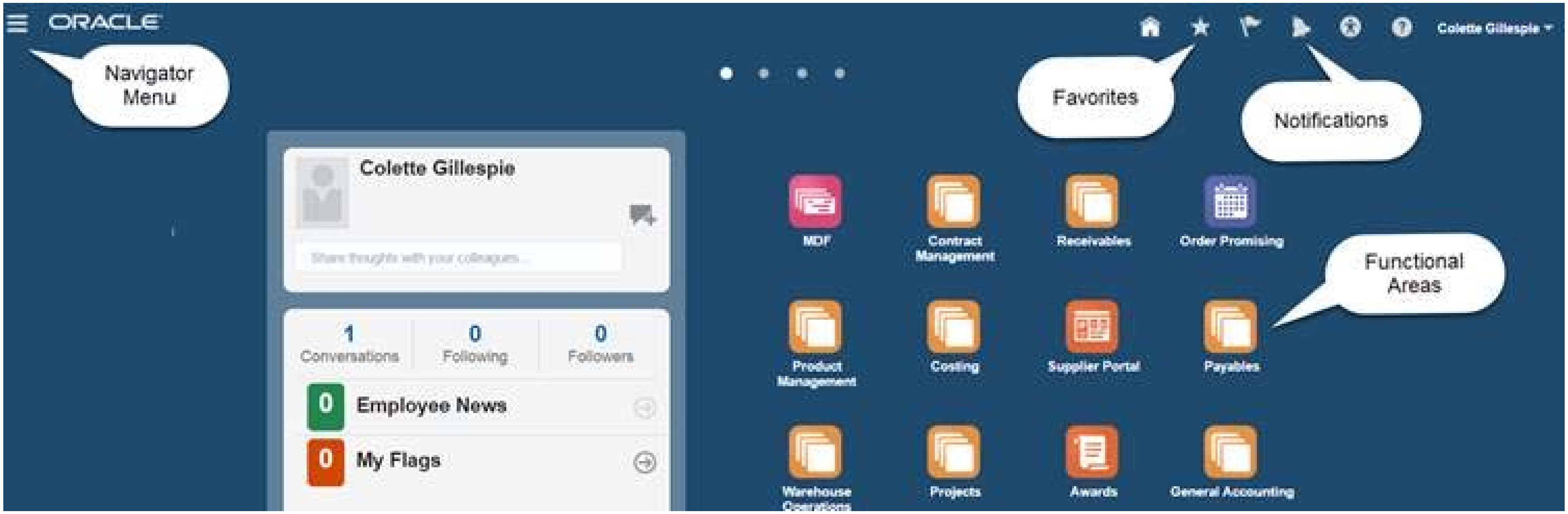
- PO Purchases
  - Punch Out Catalogs
  - Hosted Catalogs
- Check Requests (Invoices) for non-PO purchases

Changes:

- One system (FITC) vs. Three systems (KUPPS, PS & ImageNow)

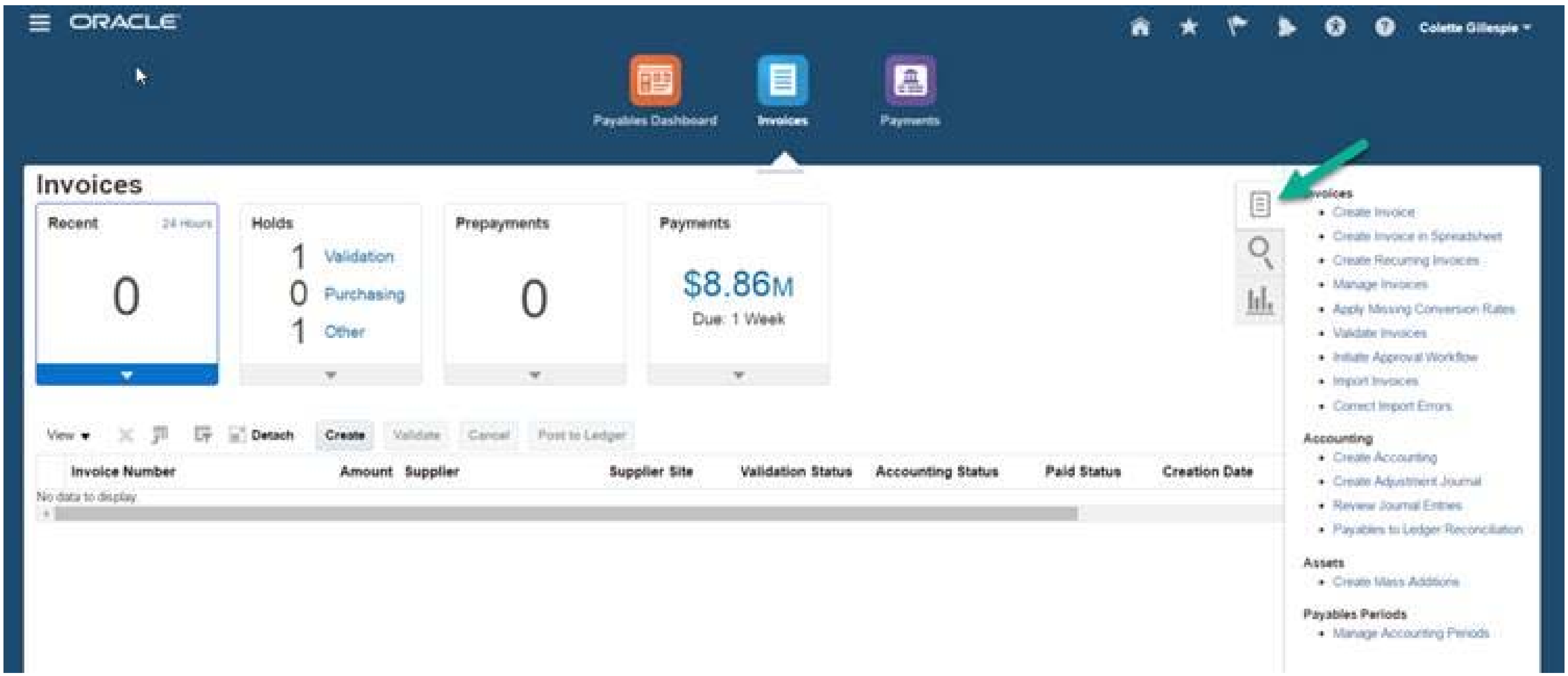
FST – FITC Navigation Overview

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)