Uniform Guidance: PeopleSoft Implementation Experiences from Children's Hospital Los Angeles and the University of Kansas

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Agenda

- Introductions
- About the Presenters
- What is Uniform Guidance?
- Children's Hospital Los Angeles Experience
- The University of Kansas Experience
- Other Opportunities in PeopleSoft
- Questions

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Huron Speakers

Laura Zimmermann
Managing Director

- Over 17 years working with 40+ research-focused higher education and academic medical centers
- Focused on improving operational performance, efficiencies, and compliance through the use of ERP and research administration systems
- Served on 20+ PeopleSoft Grants implementations and upgrades
- Served on 10+ Click Portal research implementations

Celia Gravely
Director

- Over 25 years working with higher education institutions and hospitals
- Focused on providing system functionality and knowledge to end users to improve the experience and create an environment for data integrity
- Served on 12+ PeopleSoft Financials and Grants implementations and upgrades

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Client Speakers

Linda Sadler, University of Kansas Office of Research

- Chief Financial Officer at KU Center for Research, Inc
- Linda has 7 years experience in this particular research financial leadership role, and 12 years total in higher education financial leadership positions
- Prior to higher education, she spent over 25 years in the private sector in various financial and strategic planning leadership positions

Samantha Westcott, Children's Hospital Los Angeles

- Manager of Sponsored Projects Team
- Samantha is experienced with overseeing the sponsored projects, clinical trials and research compliance teams
- She has been involved in activities at NCURA and currently serves as Region VI representative to the board through 2016

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Oracle Speaker

Melanie Stapelman

Product Management Director, Oracle PeopleSoft Grants & Contracts

- Over 17 years working with a variety of types of research institutions including universities, academic medical centers, research hospitals and not for profit organizations
- Working as Product Management Director for the Oracle PeopleSoft Grants & Contracts products for the past four years
- Previously worked as a Director of Office of Research Information Systems for one of the largest public research universities in the US
- Also worked as a consultant focusing on grants suite and financials implementations combined with business process redesign
- Regularly participate in research admin focus groups across a variety of industries and key PeopleSoft implementation partners to gather requirements and validate designs

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Our Services

Higher Education

We deliver the most comprehensive services to the industry and partner with institutions to improve business performance across the enterprise.

Life Sciences

Huron Life Sciences assists the continuum of life sciences organizations that support the life sciences industry.

Healthcare

Huron Healthcare is dedicated to delivering best-in-class revenue enhancement, expense reduction, and clinical transformation solutions, and we're known for our unmatched track record of success.

Legal

Huron Legal provides advisory and business services to assist law departments and law firms to enhance organizational effectiveness and reduce legal spend.

Business Advisory

Huron Business Advisory resolves complex business issues and enhances value.

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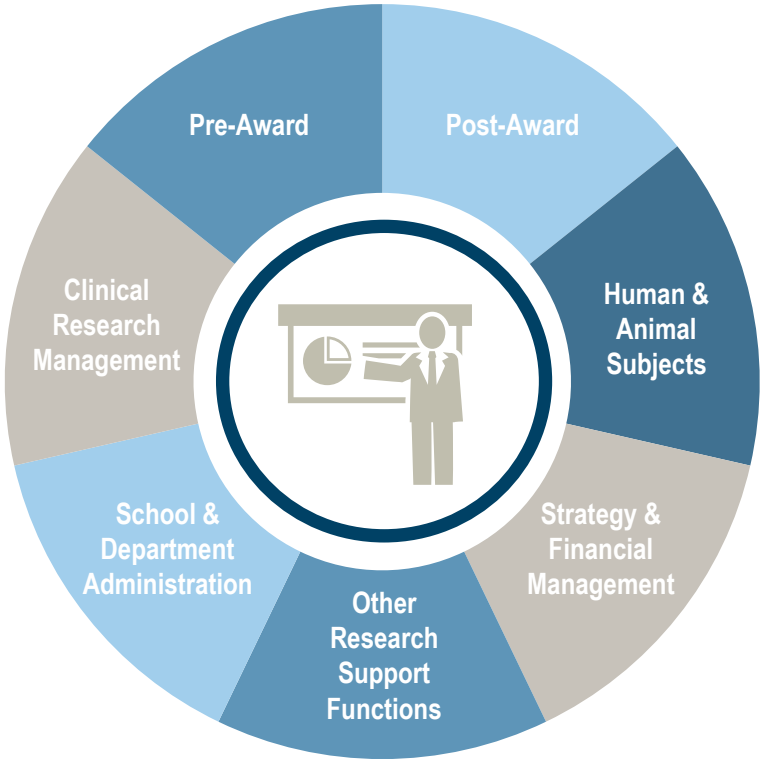
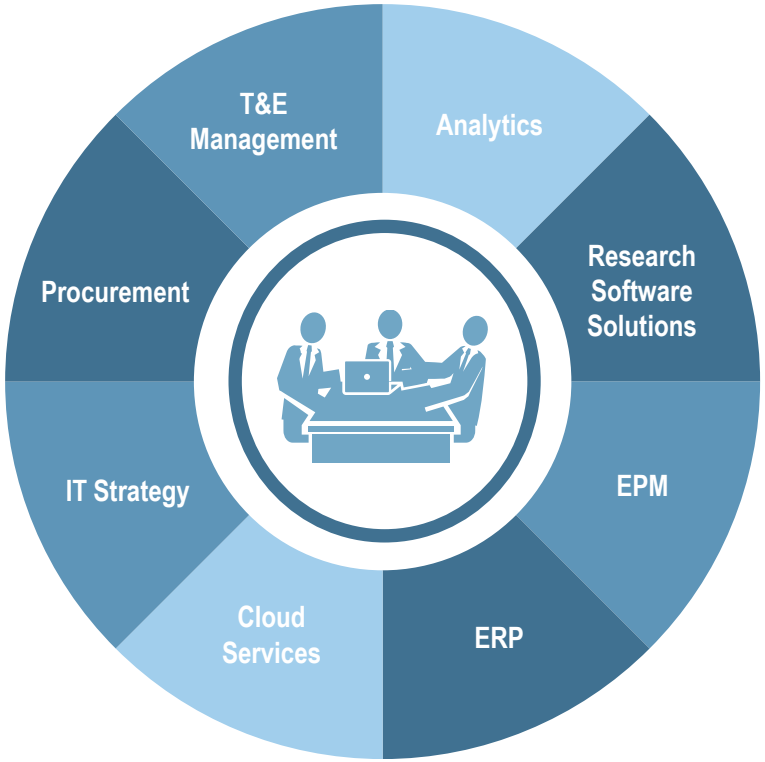
Huron Research and Technology Solutions

Huron has the largest consulting practice **dedicated to the research industry**. We are also the **leading implementer** of research financial and administration systems.

Research Enterprise Solutions



Technology Solutions



Our clients include:

- More than **90** of the top **100** research universities
- **9** of the top **10** largest healthcare systems
- **8** of the top **10** largest Children's hospitals

- From **7.5** to version **9.2**, Huron played a crucial role in the design of the PeopleSoft Grants suite
- Led PeopleSoft Grants projects at over **10** research institutions with **>$350M** annual research

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University of Kansas & Oracle

Overview

- Founded in 1854
- Enrollment: 27,983
- Faculty: 2,806
- Total Operating/Non-Oper. Revenue: $1,193M
- Research Revenue: $289M

Oracle Environment

- PeopleSoft FSCM release 9.0
  - Full suite of grants modules and all supply chain modules
- PeopleSoft HCM release 9.1
- PeopleSoft Campus Solutions release 9.0
- Oracle Tools 8.5.3

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Children's Hospital Los Angeles & Oracle

Overview

- Non-profit institution founded in 1901
- Provided pediatric healthcare to over 107K children each year
- More than 700 clinical experts and staff
- International team of 100 researchers and physicians

Oracle Environment

- PeopleSoft FSCM release 9.0
- PeopleSoft HCM release 9.0
- PeopleSoft Interaction Hub release 9.1
- Oracle Tools 8.5.4

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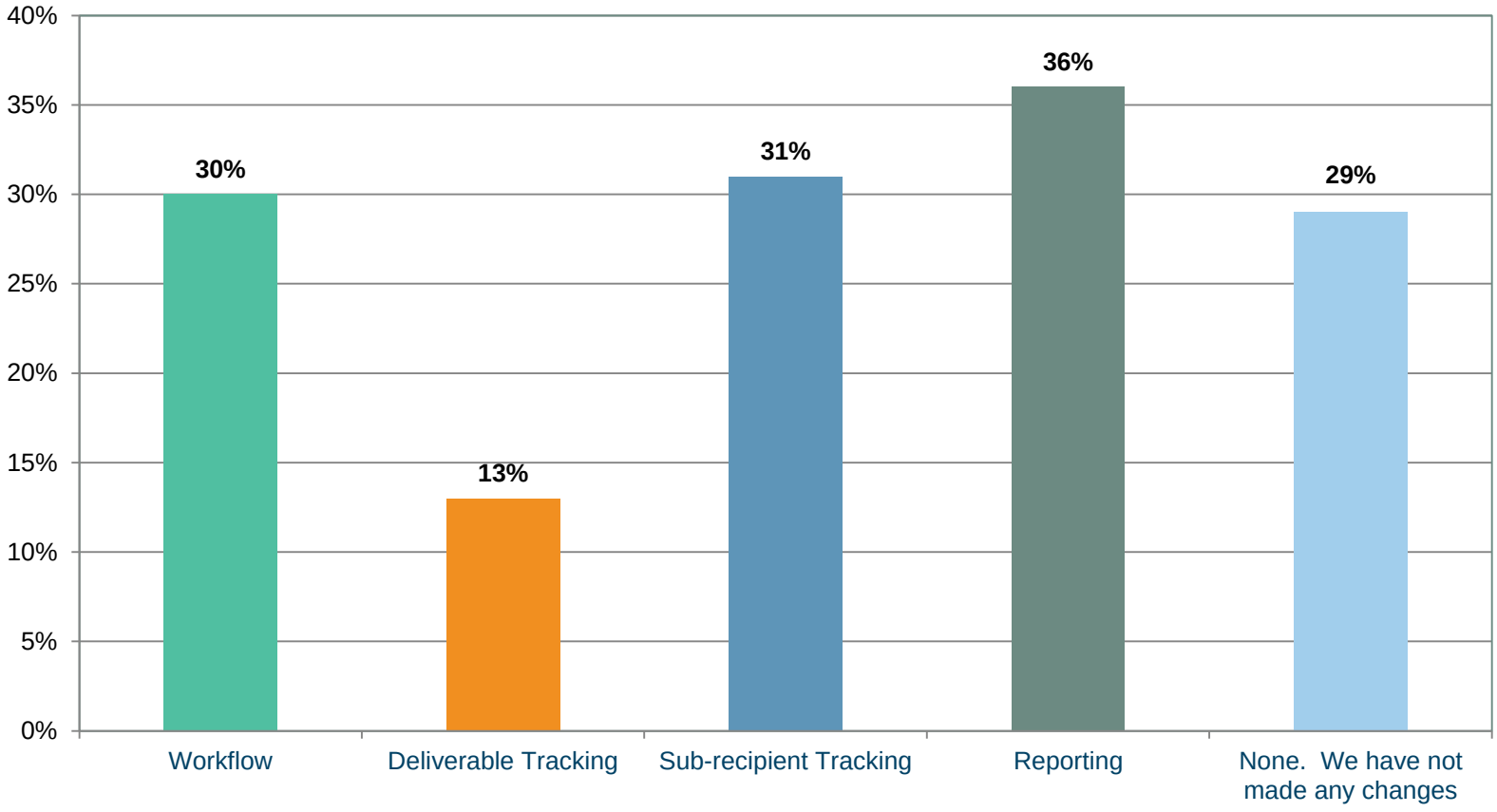
Interactive Question Results 1

Which business area(s) has your institution made system changes in order to better manage Uniform Guidance requirements?



Source: Results of poll during live webinar

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What is Uniform Guidance?

What is it?

Uniform Guidance (UG) is the new rule book for federally funded sponsored projects administration

Biggest change in Federal regulations in 50 years

Effective date is December 26, 2014 for new awards made on or after this date

UG replaces previous OMB circulars and streamlines the federal government's guidance on:

- Administrative requirements
- Cost principles
- Audit requirements for federal awards

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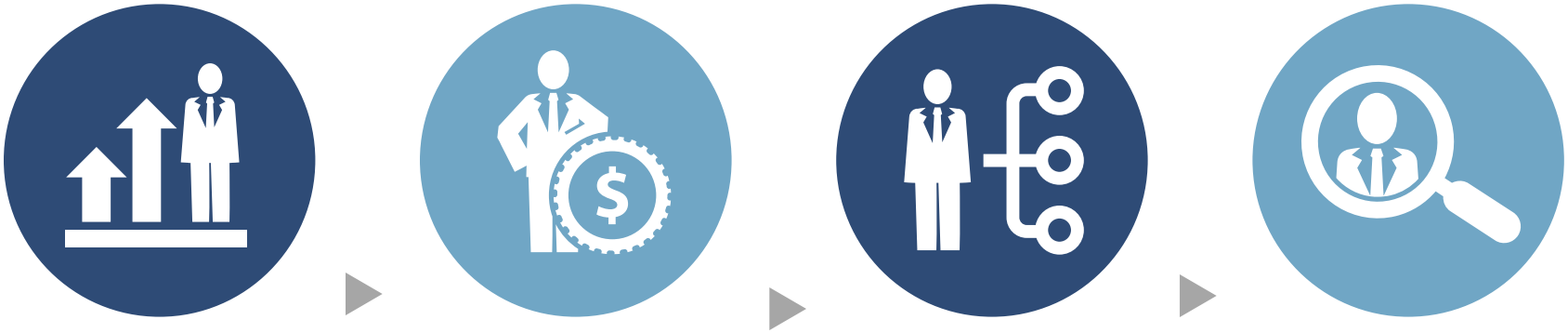
What it does



- Eliminates duplicative and conflicting guidance
- Focuses on performance over compliance for accountability
- Encourages efficient use of IT and shared services
- Provides for consistent and transparent treatment of costs
- Limits allowable costs to make the best use of Federal Resources
- Sets standard business processes using data definitions
- Encourages non-Federal entities to have family-friendly policies
- Strengthens oversight
- Targets audit requirements to risk of waste, fraud and abuse

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Key Differences

- Direct charging of administrative salaries
- PI Disengagement
- Computing Devices
- Purchasing
- Cost Sharing
- Subcontracting
- Equipment
- Travel
- Facilities and Administration
- Effort Reporting

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Potential ERP Impacts

Use of your enterprise system may change to allow

functionality for internal controls and reporting

required by UG

Additional pre-award information is required now to justify some costs in the proposal

Cost share management is changing and may require additional configuration

Additional reports or queries may be required to confirm adherence to the guidance requirements

Tracking and **management of sub awards** is enhanced and may require system updates to review and report appropriately

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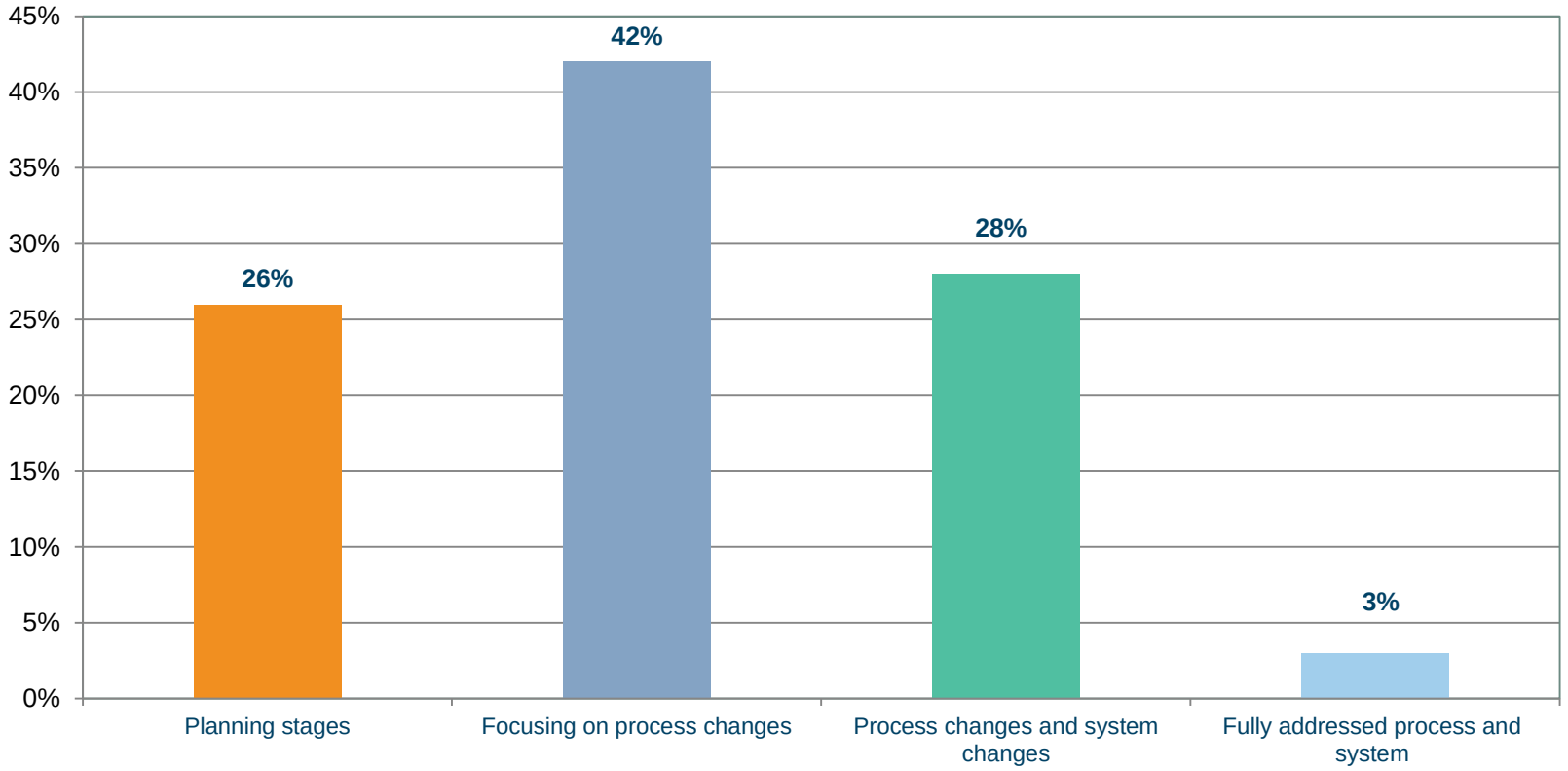
Interactive Question Results 2

Has your institution operationalized changes to meet the Uniform Guidance requirements?



Source: Results of poll during live webinar

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Children's Hospital Los Angeles Implementation Experience

Approach

Leading through Partnership

- Formed partnerships:
  - Identified Key Stakeholders
  - Determined mutual needs
  - Created a vision of the end goal to meet needs
  - Set a path to achieve the goal
  - Communicated the Shared Values to keep success in mind and reduce or eliminate politics
  - Stayed focused on the partnership

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Challenges and Solutions

Challenges

- Maintaining Focus within Competing Interests of Large Organization
- Ensuring that Uniform Guidance was Considered alongside 45 CFR and other **HOSPITAL** regulations
- Limited Resources

Solutions

- Establish communication tools to share information and ensure it flows freely
- Define structure, procedures, goals, schedule, roles and responsibilities
- Assess compatibility and make changes to reduce potential conflict
- Plan not only for the end goal, but also for the communications, training and delivery of the goal for the rest of the long term relationship
- Preserve and nurture the created partnership to continue beyond the task into a long term relationship
- Seek feedback from with and outside the partnership
- Consider the changes as an opportunity to consider a new way of doing business

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Challenges and Improvements

There are opportunities to update system functionality to allow for reporting, etc., to monitor and review guideline-specific data

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PeopleSoft Changes

- Implemented **PeopleSoft Milestones** to track the final reports
- Upgrading Financial System from 9.0 to 9.2
- Implementing **Billing and Receivables modules,** once upgrade is complete to provide better tracking of invoices and cash for sponsor reports
- Reviewed system-delivered **workflow** to track approvals in the system for transactions requiring review

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University of Kansas Implementation Experience

Approach

Established a **steering leadership committee** to direct efforts, co-chaired by head of research administration & chief financial officer

- Formed collaborative UG committee to identify and oversee policy changes; included representative stakeholders from across functional areas, both campuses
- Reviewed and updated in systematic manner all policies that were affected by UG – formed/assigned subgroups that reported back to main UG committee for approval
- Developed central UG matrix which listed each subject area to be examined, summarized status on: gap analysis, policy decisions, adjustments required, development, training, groups and dates assigned; maintained status
- Focused heavily on internal control points during policy/process review/updates

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Approach

Developed/implemented **communication plan** for appropriate phases of activity, including:

- Established dedicated area of research website focused on communications re UG
- Developed Quick Tips Overview Guide, checklist and provided background and reference documents
- Held “Thursday Research Topics” training sessions for grant administrator community;
- Made presentations to budget officers, financial officers, and other stakeholder group across campus
- Sent email news releases as well as communications in research newsletter
- Efforts still ongoing to reach everyone affected…

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Challenges

Reaching all affected parties with communications

Bandwidth to absorb change with many activities associated with strategic planning, ongoing as part of KU “Changing for Excellence” administrative process initiatives

In midst of PeopleSoft Accounts Receivable/Billing module implementation

Massive number of policies/areas impacted, necessary to consider

Inertia/resistance to change, in central as well as across department offices

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PeopleSoft Changes

- Review Participant Support budget category and update F&A bases and trees for proposal and award calculation for indirect costs (F&A)
- Use Issue Date on Award Modification to identify funds received after effective date of UG implementation
- Establish query to identify subrecipient invoices and track to ensure payment within 30 day time limit
- Lower credit card transaction limit to $3000 to allow for new guidelines for review of purchases over the new limit
- Create milestone monitoring for closeout report tracking and subrecipient tracking

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Additional Opportunities in PeopleSoft

Other Opportunities

- Purchasing
- Billing
- Accounts Payable
- Receivables
- Assets
- Grants
- Travel and Expense
- General Ledger/ Commitment Control
- Project Costing
- HR/HCM/Payroll

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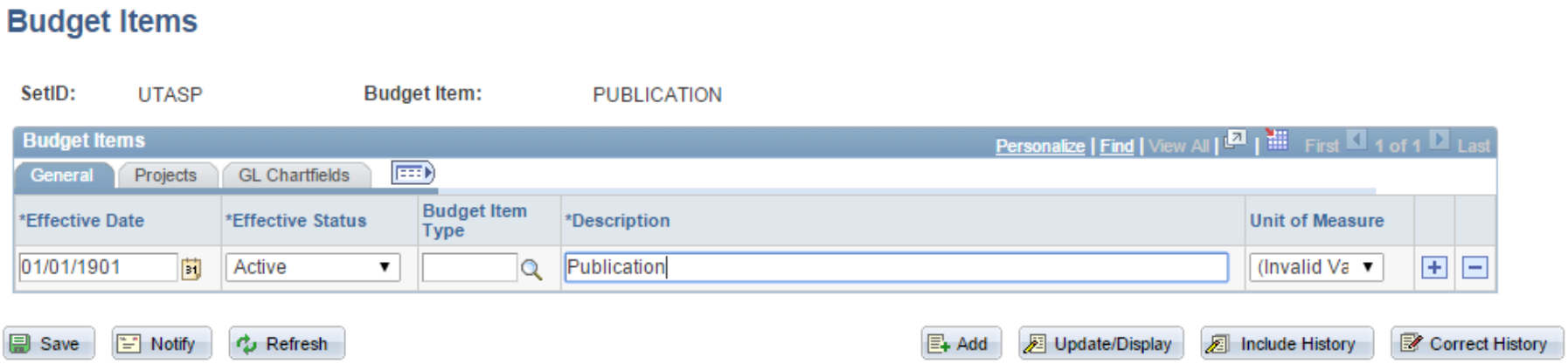
Additional Opportunities Publication Costs

- Publication Costs prior to closeout



- Steps for Managing Publication Costs at Award's End:
- Create Publication Budget Item
- Release budget in this Budget Item

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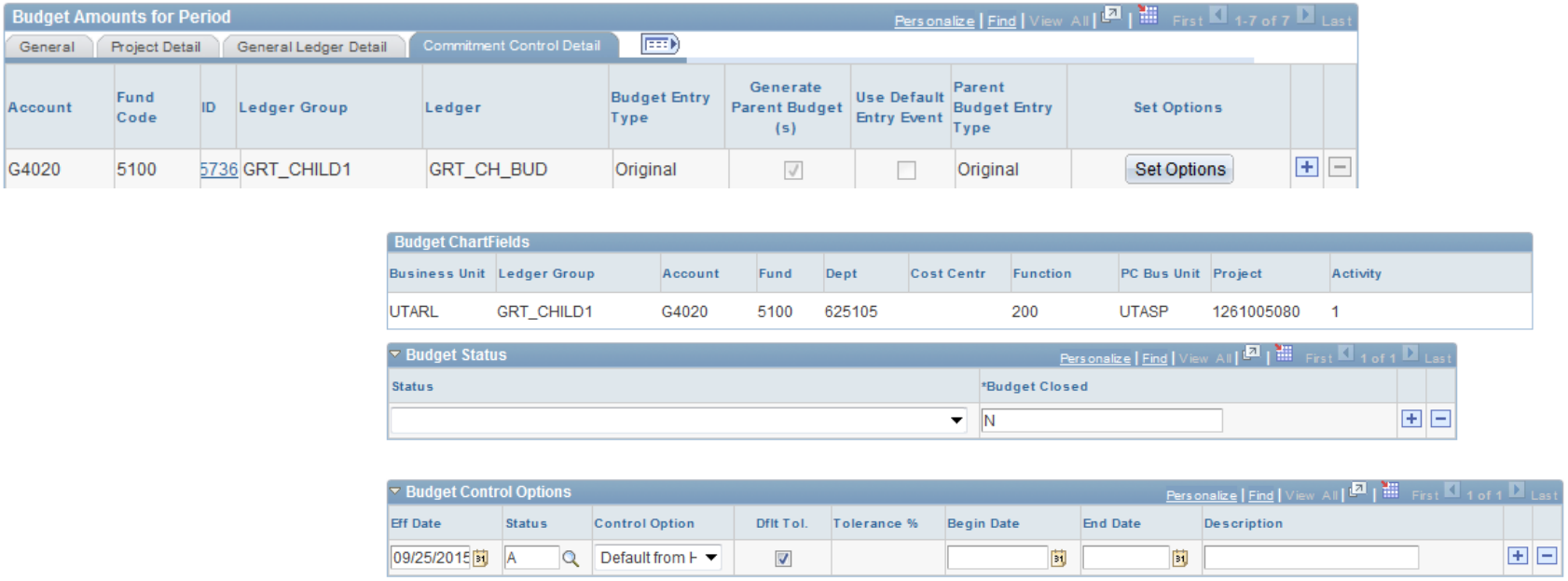
Publication Costs continued:

- Publication Costs prior to closeout continued:



Steps for Managing Publication Costs at Award's End continued:

- At Awards end manage budget line Set Options for Commitment Control management based on closeout policies OR
- Confirm end date in Commitment Control will allow expenditures past the award end date, if not extend end date in KK

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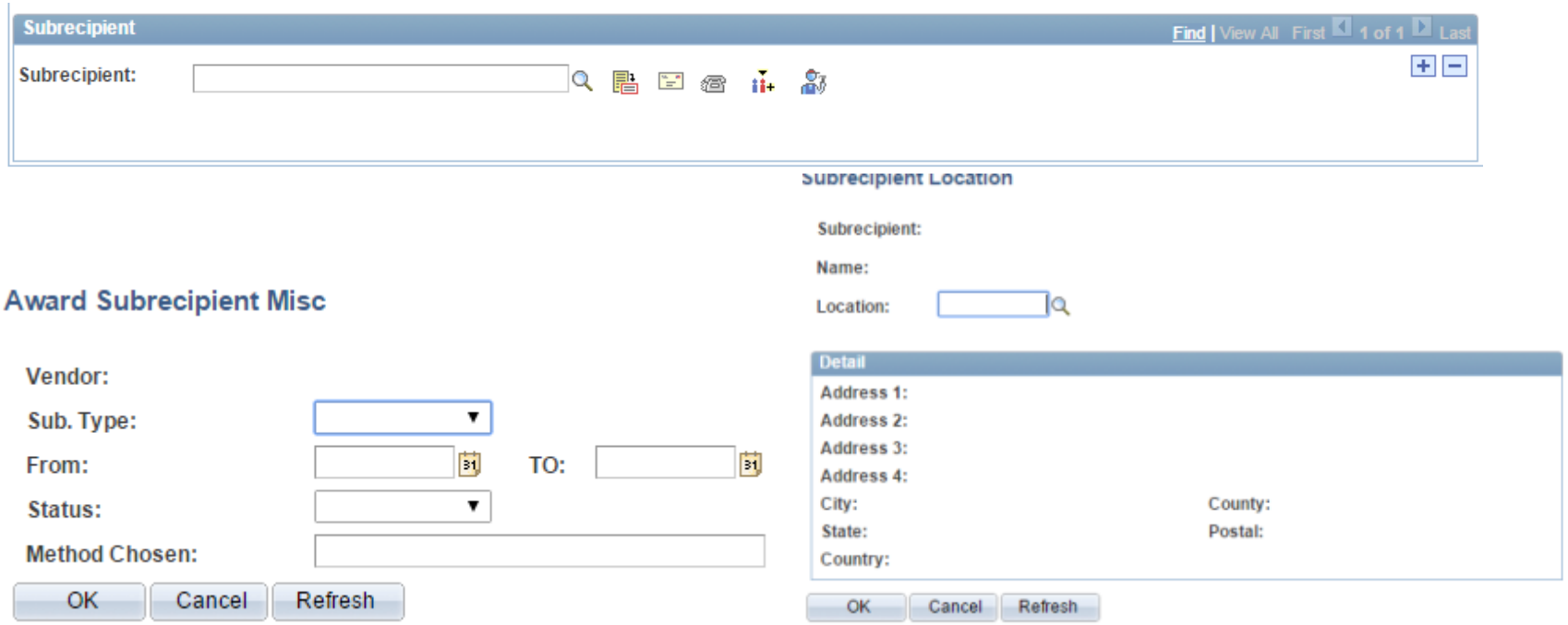
Additional Opportunities - Sub-recipients 9.1

- Subrecipient prompt pay, 30 days from receipt of invoice options:
  - Use system delivered opportunity to track subrecipient purchase orders in Award pages
  - Create query to track receipt of subrecipient invoices and pay dates
  - Create milestone in Award Milestone functionality to record receipt of invoice and set payment due date for milestone



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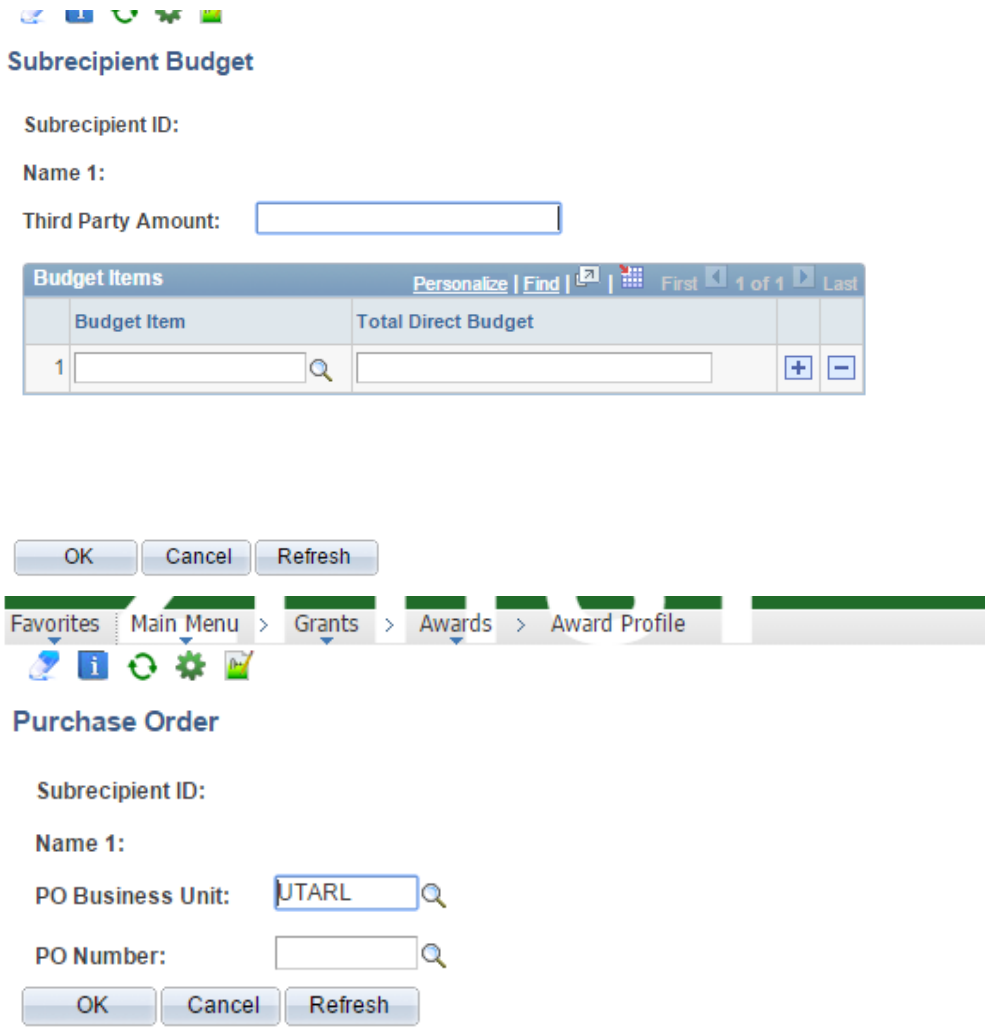
Additional Opportunities - Sub-recipients 9.1



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Additional Opportunities Award Modifications

TRACKING ADDITIONAL FUNDING SUBJECT TO UNIFORM GUIDANCE

Grants → Awards → Award Profile → Award Modifications Tab

Award Modifications Personalize | Find | First 1-2 of 2 Last

Reference Award Number	*Period	Issue Date	*Begin Date	*End Date	Amount	Comment	Period
THEBCE#09881-400	1	1/21/2012	02/01/2012	05/30/2015	194826.00	Comment	
UG-THEBCE#09881-400	2		05/31/2015	05/30/2018	100000.00	Comment	

Total Award Amount: 194826.00

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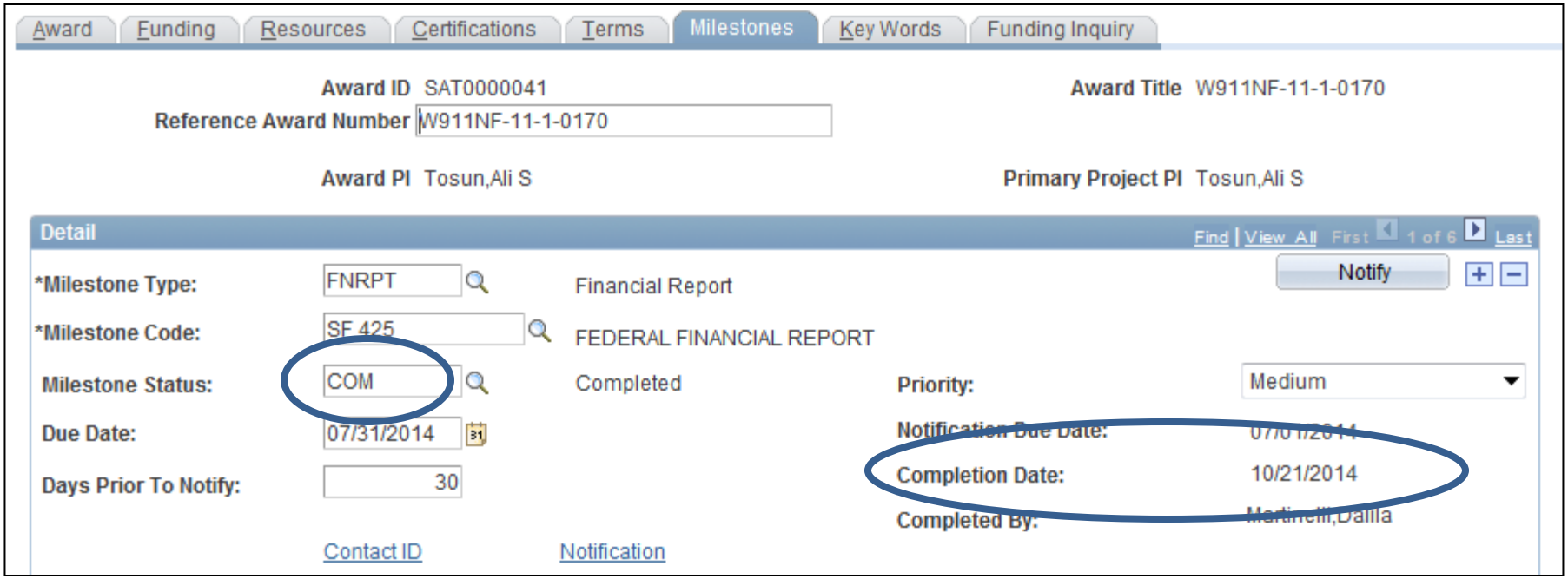
Additional Opportunities Milestone Tracking

TRACK COMPLETION DATE

Grants → Awards → Award Profile → Milestone Tab



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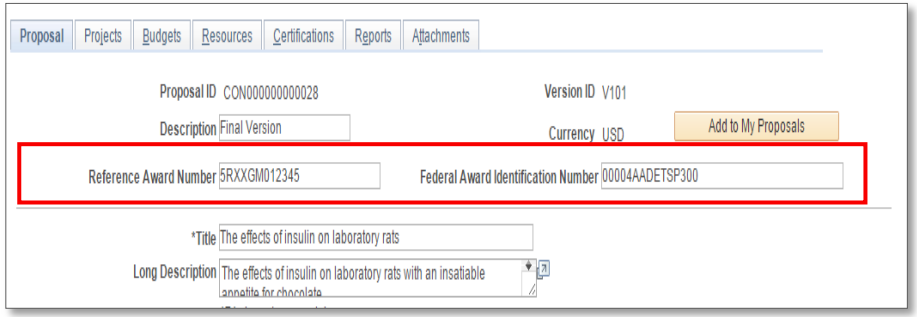
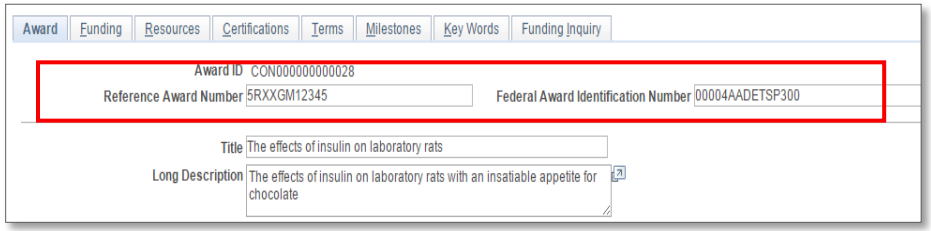
New Fields to Support Federal Reporting Requirements

Federal Award Identification Number (FAIN)

- Added Federal Award Identification Number and Reference Award Number to Proposal header
- Added Federal Award Identification Number to Award Profile
- Populated from proposal during award generation (if populated)





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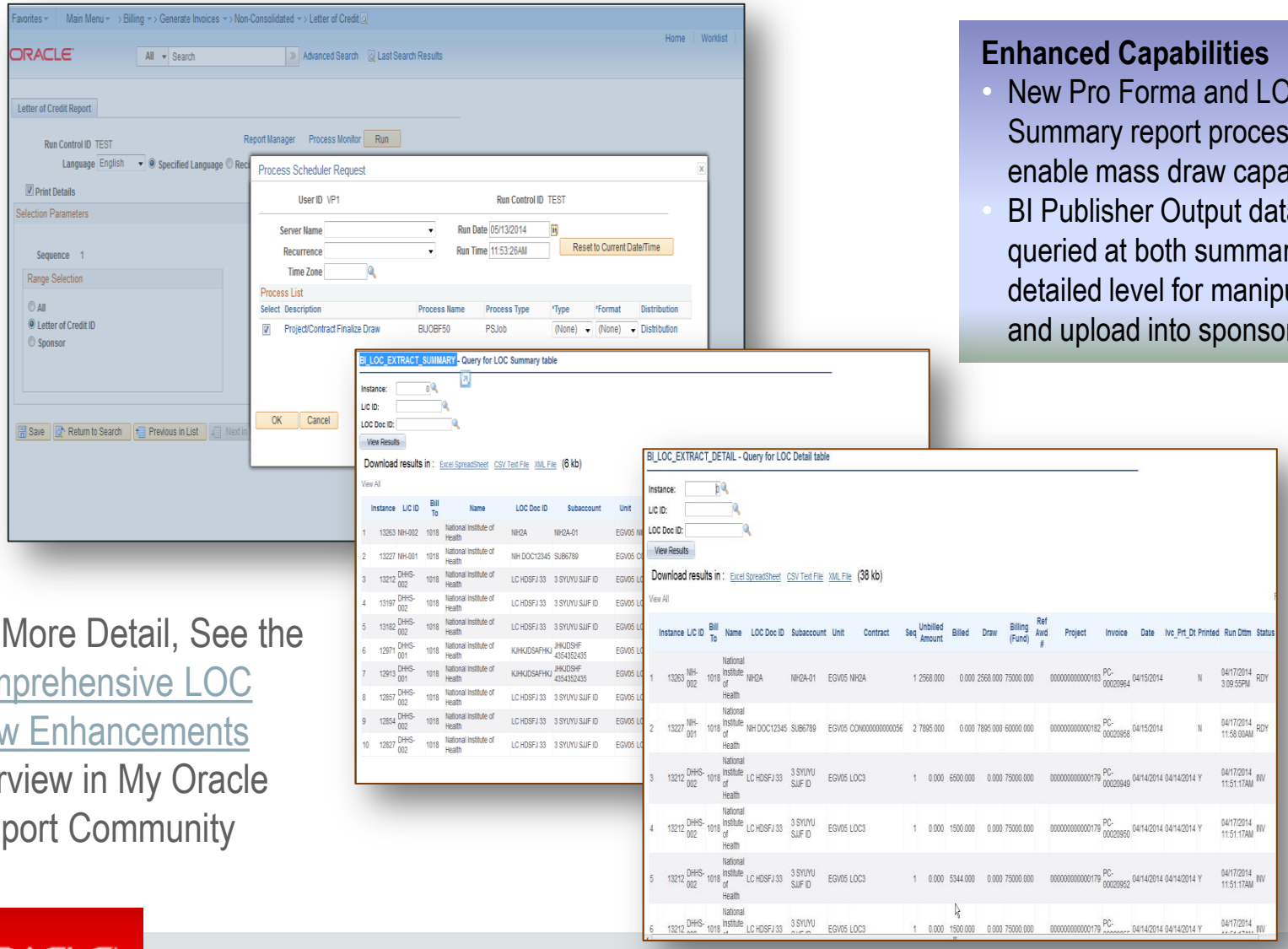
New Functionality to Support Letter of Credit Draw Changes

COMPLY WITH HHS SUBACCOUNT DRAW REQUIREMENTS



Enhanced Capabilities

- New Pro Forma and LOC Summary report processes enable mass draw capabilities
- BI Publisher Output data can be queried at both summary and detailed level for manipulation and upload into sponsor systems

For More Detail, See the Comprehensive LOC Draw Enhancements overview in My Oracle Support Community

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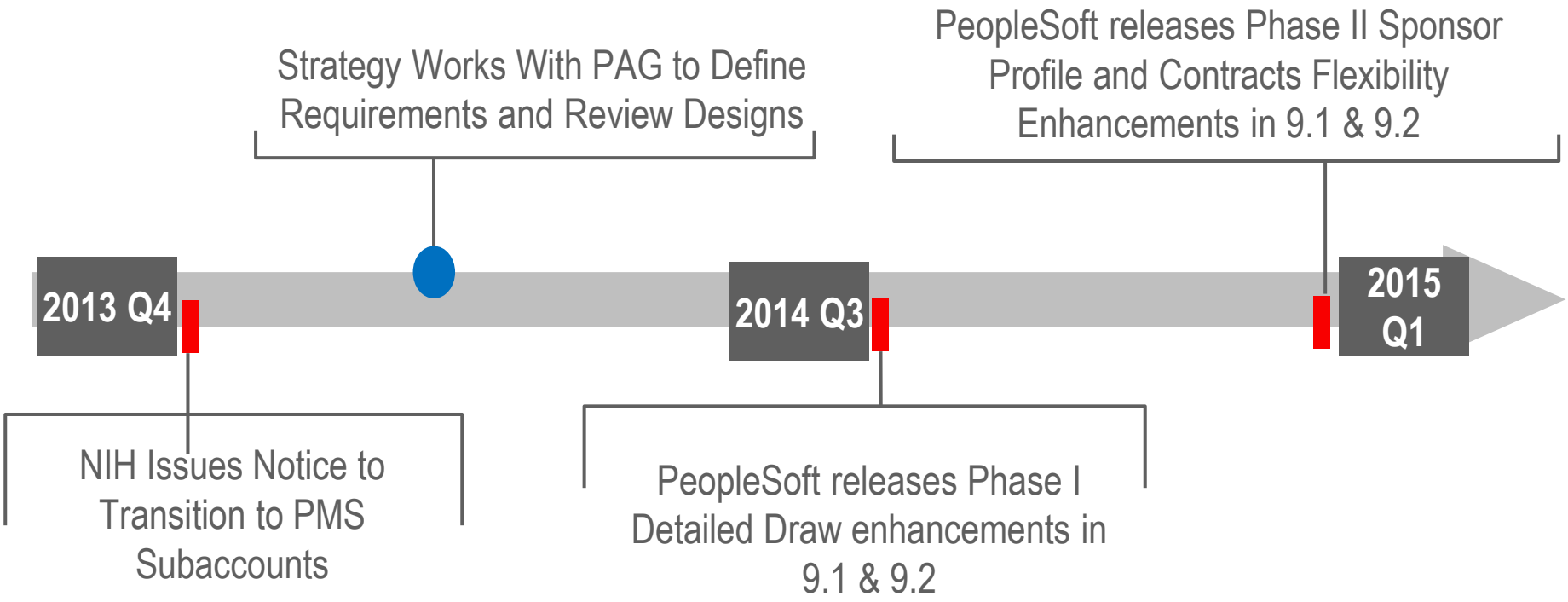
Lifecycle of an Enhancement to Meet Federal Requirement

DHHS/NIH MOVE TO SUBACCOUNT DRAWS



We were only able to respond this quickly through the help of You, our Customers!

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Other Huron Uniform Guidance Resources

OMB Uniform Guidance: Hot Topics

OMB Uniform Guidance: New and Updated Frequently Asked Questions

OMB Uniform Guidance: Major Changes and Impacts

OMB Uniform Guidance: Impact on Sub-recipient Monitoring and Management

Proposed OMB Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards

Webinars

Huron Webinar: The Uniform Guidance: An Overview of the Changes

Huron Webinar: How to Meet the Uniform Guidance New Standards of Documentation for Confirming Compensation Charges

Huron Webinar: How to Meet the OMB Requirements for Effort Confirmation and Automate Reporting

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Questions?