

Alternatives to Effort

Cohort Conference Call Agenda and Minutes

July 19, 2016

3.00 p.m. EST – 4.00 p.m. EST

Dial-In: 877-820-7831

Passcode: 701813

Attendees:

Lisa Mosley
Jeremy Forsberg
David Ngo
Stephanie Endy
Jerry Fife
Kerri Byrd
Toni D'Agostino
Debbie Shaver
Jessica Smith
Greg Crouch
Lynda Wolter
Kevin Dial
Susan Morgan
Fran Visconti
Lisa Nichols
Zach Belton
Kelly McKinney
Becky Rogers
Allison Ramos
Missy Peloso
Josh Rosenberg
Mary-Ellen Fortini
Steve Martin
Charla Campbell
Kim Small
David Hagen
Robin Lewis
Elizabeth Adams
Manuela Dokie

Institution:

Arizona State University
University of Texas-Arlington
University of Texas SW Med Ctr
Case Western Reserve University
Northern Arizona University
Northern Arizona University
University of Texas Medical Branch
University of Idaho
Arkansas Tech
Arkansas Tech
University of Chicago
Southern Illinois University - Edwardsville
Southern Illinois University – Edwardsville
Boston College
COGR
Huron Consulting Group
University of Texas - Dallas
Georgia Southern University
Chapman University
University of Pennsylvania
Emory University
Santa Clara University
Indiana University
University of West Georgia
Washington State University
University of Minnesota
Georgia College & State University
University of Virginia
University of Texas-El Paso

Agenda

1. OMB and OIG webinars (<https://cfo.gov/2016/07/05/july-2016-uniform-guidance-promising-practices-in-implementation>) (Lisa)
2. Survey results (Lisa)
3. Updating of UTSW documents online (David)
4. Highlights of Internal Control Framework (Jeremy)
5. Draft Model Policy for reliance on internal controls (Lisa)
6. Next Steps (All – Draft Policy for Payroll Confirmation/Certification)

Summary

- The webinar series posted by CFO was highlighted for cohort members. Suggested cohort members view as it is an opportunity to gain direct insight into OMB's perspective of the audit reports for the FDP Payroll Certification Pilots.
- Lisa Mosley provided an overview of the preliminary data collected from the cohort survey. Results of this survey will be posted by end of August 2016.
- David Ngo provided an overview of the implementation guidance docs that were prepared at UTSW. They are on schedule to transition away from effort reporting starting 9/1/2016. He agreed to share the cost analysis with the cohort that UTSW performed.
- Jeremy Forsberg walked through the Policy Matrix with a focus on the internal controls framework tab. Thanks to cohort members and consulting firm partners for their comments! The internal controls framework received very positive feedback. Steve Martin (IU) challenged the concept that PI approval for initial allocation of payroll is even required by UG. While it isn't required specifically by the UG, some institutions require 'account manager' approval to allocate payroll. It was suggested that the project team review the framework to differentiate a UG requirement and a best practice recommendation.
- There was a conversation surrounding how to best manage the **administrative** requirement of tracking when a PI's effort is reduced by more than 25%. The project team, and several cohort members, maintained that the administrative requirement is separate than the financial requirements and should be managed by a separate process. Because the reduction of effort by more than 25% requires **prior** approval, an after-the-fact process would still not satisfy this requirement.

Action items:

- Update IC framework to differentiate a UG requirement and a best practice.
- Share initial survey results.
- Draft model policy for Payroll Review (certification/confirmation) by project.
- Develop and distribute final survey related to alternatives to effort.
- Schedule next call/follow up meeting – TBD.