Odette Binder  
*Operations and Events Coordinator*  
Department of Sociology

Gary Cormier  
*Senior Director of HR Consulting*  
Human Resources

Sarah Elwell  
*Director of Research Operations for Science and Engineering*  
Division of Science

Alex Ferguson  
*Manger of Equipment Operations*  
Department of Athletics

A. Maryorie Grande  
*Administrative Coordinator*  
Department of Earth and Planetary Sciences

Nancy Hegarty  
*Assistant Director for Sponsored Research*  
Department of Molecular and Cellular Biology

Peggy Herlihy  
*Department Administrator*  
Department of Astronomy

Garth McCavana  
*Dean for Student Affairs*  
Graduate School of Arts and Sciences

Erika McDonald  
*Associate Registrar of Academic Planning*  
Registrar's Office

Michael Paterno  
*Senior Facilities Manager*  
Department of Chemistry and Chemical Biology

Hector Ruben Paz Nadal  
*Executive Chef Manager*  
Dumbarton Oaks

Rosaline Rabi Salifu  
*Program Manager*  
Center for African Studies

Clayton Scoble  
*Multimedia Specialist*  
Harvard College Library

Amy Thompson  
*Director of Media and Technology Services*  
Media & Technology Services
Welcome, Introductions and Budget Updates

Mary Ann Bradley  
Associate Dean, FAS Administrative Operations

Jay Herlihy  
Associate Dean, FAS Office of Finance
<table>
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<td><strong>Welcome, Introductions and Budget Updates</strong></td>
<td>Mary Ann Bradley, Jay Herlihy</td>
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<td><strong>Allston Update</strong></td>
<td>Marika Reuling, Leslie Schaffer</td>
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<td><strong>Closing / Q &amp; A Session</strong></td>
<td>Mary Ann Bradley</td>
</tr>
</tbody>
</table>
Welcome New FAS ORG

PAST

Visual & Environmental Studies

PRESENT

Art, Film, and Visual Studies
WELCOME TO ALLSTON

1. Context
2. Mobility
3. Institutional Projects
4. Amenities & Programs
5. The Future

May 23, 2019
FAS Administrators’ Town Hall
1 CONTEXT
Harvard Context

CONTEXT

SOLDIERS FIELD
ATHLETIC AREA

HARVARD
BUSINESS SCHOOL

HARVARD
HOUSING

FUTURE
ERC

FUTURE
I-90 PROJECT

BARRY’S
CORNER

SEC

CONTEXT
Transformation

Western Avenue is becoming a place for people, creativity and innovation

1990’s  2013  2017
Making Headlines

The Boston Globe

Wednesday, February 20, 2019

Where’s the next Kendall Square?

Developers in and around Boston and Cambridge are vying to create lucrative life-sciences districts.

Overflow demand

Developers hope to capitalize on the popularity of Kendall Square by attracting life science and tech companies to other areas in and around Boston.

Western Avenue, Allston (really)

Boston’s latest hot new neighborhood:

New development is rising along the once-ragtag stretch, leaving some dreaming of cashing in and others worried about change.

Charlesview Residences

- ADDRESS: 370-420 Western Ave.
  Includes townhomes in back on Edinboro and Holton streets.
- USES: 249 rental units, 15,000 square feet of retail, 10,000 square feet for community center.
- COMPLETED: June 2013.
- DEVELOPER: Charlesview Inc. and The Community Builders.
2 MOBILITY
Transit Context

- **SHUTTLES**
  - Allston Express
  - Barry’s Corner
  - M2

- **MBTA BUS**
  - 70 & 70A
  - 86
  - 64
  - 66

- **MBTA SUBWAY**
  - Red Line

- **COMMUTER RAIL**
  - Worcester-Framingham Line

MOBILITY
Trip Planning Resources / Tools

Shuttle Tracker
- Web or App

Evening Van Service
- App

Transit Screens
- Within Buildings

Future
- Science & Engineering Complex
- i-Lab

Existing
- Smith Campus Center,
- 784 Memorial Dr,
- Currier House, Continuum, etc.
Pedestrian Realm

Today

Opening of SEC

- Future Connection
- Secondary Connection
- Primary Connection
- New Pedestrian Connection at Time of SEC Opening
- Impenetrable Area
New Emergency “Blue” Phones
SEC & 114 Western Ave

Existing Emergency “Blue” Phones
Pedestrian System

- Generous sidewalks and paths
- High quality materials
- Accessible/smooth pedestrian zone, brick within edge zones
- New street trees, porous pavers, enlarged tree pits
- Dual-height LED lighting for safety
Evolution of Bike Network

Today

- Facilities on North Harvard and Western Avenue
- Separated facilities where possible
- Proximate to Riverfront paths

Opening of SEC

- Facilities on North Harvard and Western Avenue
- Separated facilities where possible
- Proximate to Riverfront paths
BARRY’S CORNER EXPRESS
to/from Harvard Square

ALLSTON EXPRESS
Clockwise Campus Loop

SEC/114 STOP
Potential Route Option
Site Access - Pedestrians

- Harvard Square via North Harvard Street
- John Weeks Bridge via Harvard Business School (HBS) campus
- Generous Sidewalks, All Streets

- Cross Walks
- Science & Engineering Complex
- Courtyard
- Playground
- Child Care
- Multi-Use Path
- Future Greenway Connection

GETTING AROUND CAMPUS
Site Access – Vehicular & Shuttle

- SCIENCE & ENGINEERING COMPLEX
- SHUTTLE PICK-UP
- LOADING DOCK
- CHILD CARE
- BUILDING ENTRANCE
- SHUTTLE STOP
- HARVARD VEHICULAR PARKING (NON CONSTRUCTION)

- 1 ZIP CAR
- 2 ZIP CARS

Motorcycle Parking

HARVARD VEHICULAR PARKING (NON CONSTRUCTION)

LOADING DOCK

SHUTTLE PICK-UP

CHILD CARE

CHILD DROP OFF

BUILDING ENTRANCE

SHUTTLE STOP

HARVARD VEHICULAR PARKING (NON CONSTRUCTION)
Site Access - Bicycles (570 Parking Spaces)

Future Greenway Connection

Bike Path / Cycle Track
Bike Racks (~160)
Bike Parking Covered/Secure (~410)
Flex Parking (Strollers, Etc)
Building Entrance

SCIENCE & ENGINEERING COMPLEX

Interior Double Decker Racks
3 HARVARD INSTITUTIONAL PROJECTS

HBS Klarman  ArtLab  District Energy Facility  Soldiers Field Park
Active - Institutional Master Plan Projects

1. Art Lab
   - Recently Completed

2. Science & Engineering Complex
   - Construction underway
   - Anticipated opening 2020

3. 114 Western Avenue
   - Renovation underway
   - SFP childcare Jan 2020 (temp)
   - Staff summer 2020

4. District Energy Facility
   - Construction underway
   - Anticipated to be operational in mid-2019

5. Klarman Hall / Common & Pavilion
   - Recently completed

6. Soldiers Field Park Phase 1-2
   - Recently completed

7. Soldiers Field Park Phase 3
   - Phase 3 underway
     Aug 2018 – Nov 2019
   - Phase 4 to follow
     Nov 2019 – Aug 2020

Institutional Projects
4 AMENITIES & PROGRAMS
Spotlight: Zone 3

http://www.zone3westernave.com/
Spotlight: Ed Portal

https://edportal.harvard.edu/

Events
Harvard Faculty Lectures
Art & Music Performances,
Economic Development & Workforce Workshops

Opportunities to connect with the Allston Brighton community.
Several existing SEAS partnerships & collaborators (Pia Sorenson, Kathryn Hollar)
Example: Science & Cooking

Grad students turn Ed Portal into a lab to shed light on ingredients in action
Spotlight: Ceramics

https://ofa.fas.harvard.edu/ceramics

Courses for public and Harvard
Registration begins April 17 for Summer 2019: May 28 - August 10

Exhibitions in Gallery 224

Show and Sale – December & May
Upcoming May 9-12
Spotlight: Arts First (May 2 - 5)

https://ofa.fas.harvard.edu/arts/allston

2019 Allston Events

Friday - May 3
Boston Ballet Panel - Klarman Hall
Mentoring Showcase - Harvard Ed Portal
Art in Print Gallery Show + Reception - Zone 3

Saturday - May 4
Ice Cream Social - iLab
Western Ave Arts Walk - depart from Ed Portal
Gallery 224 Ceramic Demos - Ceramics
Bauhaus Exhibition Reception - Ed Portal + ArtLab
Drinking and Drawing - Zone 3

ON POINTE
TRANSFORMING BOSTON BALLET IN MODERN TIMES

FRIDAY, MAY 3 2019
1:30 – 3:00 PM
KLARMAN HALL
HARVARD BUSINESS SCHOOL

Join us for a panel discussion to peek behind the curtain with the masterminds setting strategy for Boston Ballet's future and gain insights into what it takes to lead an arts organization in a rapidly changing world.

PANELISTS: Artistic Director Miles Radford, Executive Director Alanna "Mae" Holmes (MBA 2017), Dean of Staff, King Man-Hoi (MBA 2010), and Chairman of the Board of Trustees Alexei Menelev (MBA 1982)

MEDITATIONS: Harvard Business School Professor Michael B. Useem
Discussion and social welcomed by Henry Prizker

Harvard community and friends of art welcome.
Registration required: https://onpointe.eventbrite.com
Spotlight: Harvard Innovation Labs

https://innovationlabs.harvard.edu/

The Harvard Innovation Labs are a vibrant, cross-disciplinary ecosystem in which the Harvard community explores innovation and entrepreneurship including public events and engagement opportunities for innovators and entrepreneurs from across Greater Boston.

70–100
Harvard ventures in residence at any given time

159
Experts-in-Residence hold regular office hours to mentor and advise Harvard student entrepreneurs

1,200
community partner-sponsored events held at the i-lab*

7,000
events have been held*

* AS OF SUMMER, 2018
AMENITIES & PROGRAMS

Spotlight: Harvard Athletics & Recreation

https://www.gocrimson.com
https://recreation.gocrimson.com

- **Sporting Events**

- **Facilities**
  Gymnasiums, Tennis, Squash, Pool, Stadium, Basketball, Tracks, Fields, Ice Rink, Boathouses

- **Space Rentals**

- **Fitness Programs**
  Stadium Masters, Triathlon Training, etc.

- **Outings**
  Kayaking Trips, Brooklyn Boulders, etc.

- **Swim Classes**

- **Wintersession Programming**

- **Kids Club, Camps, Birthday Parties**
Allston is full of possibilities for creativity and invention
The potential is demonstrated in public spaces that are alive.
Where to...

---KEY---

Harvard Facility OR Tenant

Non-Harvard

*In Process
get coffee

- Pavement
- Blackbird
- Dunkin’
- Starbucks
- iLab
- SEC
- Swissbakers
- Chao Center
- Spangler Center
get coffee
eat

+ food trucks (various locations)

- Casa Cana
- Pavement
- Article 21
- Ariana
- Big Daddy’s Pizza & Subs
- Blackbird
- McDonald’s
- Shabu Shabu
- Starbucks
- Our Father’s Deli
- Zone 3
- Dunkin’
- SEC
- Swissbakers
- 210*
- Sandwich Schlepper*
- Scullers Jazz Club
- Boathouse 400
- Spangler Center
- iLab

AMENITIES & PROGRAMS
eat

AMENITIES & PROGRAMS
run errands

+ many more non-Harvard

Mahoney’s Garden Center

Charles River Community Health
+ pharmacy
+ vision

Petco

Star Market
+ pharmacy

Rockland Trust

Trader Joe’s ATM*

Flint Cleaners

COOP Post Office ATM
HU Credit Union
Bank of America

AMENITIES & PROGRAMS
run errands
exercise
enjoy the outdoors

- Charles River Canoe & Kayak
- Beer Garden @ Zone 3
- Walls on Western Arts Walk
- Smith Field
- Athletic Area
- ArtYard
- SEC Courtyard
- Rena Park
- Ray Mellone Park
- HBS Campus
- Charles River Reservation
- Athletic Area
- Grove
- Charles River Reservation
- Charles River Canoe & Kayak
- Smith Field
- ArtYard
- SEC Courtyard
- Rena Park
- Ray Mellone Park
- HBS Campus

AMENITIES & PROGRAMS
enjoy the outdoors
attend an event

AMENITIES & PROGRAMS

Harvard University
attend an event
find family events, childcare, schools
“Harvard’s planned Enterprise Research Campus will comprise a vibrant and exciting urban district focusing on research, entrepreneurship and innovation.”

- ERC Framework Plan (2018)
Long-Term Framework
Performance Management

Chris Ciotti
Associate Dean, FAS Human Resources
Timeframe

• Performance management began in October of 2018 and will close on July 31, 2019. The last part of the cycle, the summary conversation, kicked off last month.

What Should Managers and Staff Be Doing?

• Reflect on previous conversations and prepare for final summary conversation (review priorities for the year, reflect on past conversations, familiarize yourself with the performance rating definitions)

• Have a summary conversation (discuss highlights and key themes from the year, review outcomes, and talk through what the performance rating means)

• Document your summary conversation in PeopleSoft (record a brief summary, managers enter a performance rating and click “complete annual”)
Updates For This Year

Same as FY18

• Staff should set goals/priorities in the “priorities” tab. Most staff set their FY19 priorities last fall

• Ongoing conversations throughout the year between managers and staff

• Final summary conversation (formerly known as the annual review)

New for FY19

• Changes to performance form: Substantial changes made to the PeopleSoft form to simplify and streamline it, with tabs across the top of the form for easier navigation. Form now built into PeopleSoft instead of a separate Word document that is uploaded

• Ratings: Due to the Massachusetts Equal Pay Act (MEPA), managers need to assign performance ratings
FY19 Performance Management Resources

Check out this year’s resources including:

- Podcast on spot coaching, a fresh approach to in-the-moment performance coaching *NEW*
- Compassionate Directness - Lynda.com course
- FAQs, many on the PeopleSoft form itself
- Webinars on topics like “Why ongoing performance conversations matter,” “Practical tips for coaching conversations,” and “When performance conversations are challenging”
- MEPA resources, including webinars and guides *NEW*

https://hr.fas.harvard.edu/resources-managers-and-staff
The salary review program applies to all benefits-eligible, exempt staff and non-HUCTW, non-exempt staff hired before April 1, 2019. It does not apply to HUCTW staff members whose salary increases are contractually specified.

1. Employees who meet acceptable performance levels:
   - **3% increase to base salary.** Assessed by their managers as having “Exceptional Impact” or “Full/Consistent Impact” performance.

2. Employees new to their role:
   - **1.5% increase to base salary.** Employees who have been in their roles 12 months or less will be assessed by their manager as “Learning/Building.” (Managers can make an exception if, in their judgment, the employee is truly performing at a “Full/Consistent Impact” or “Exceptional Impact” level. In this case, the employee would be appropriately assessed, and s/he will receive a 3.0% increase.)

3. Employees who are not meeting acceptable performance levels:
   - **No increase to base salary.** Assessed by their managers as “Needs Improvement.” Staff members who receive no increase may be part of a formal or informal progressive discipline process or currently on a performance improvement plan.
Looking ahead: FY20 Performance Management

Will Stay the Same for FY20

- University-wide approach to performance management
- Setting priorities at the beginning of the year
- Continuing coaching conversations throughout the year
- PeopleSoft form with tabs at top, and part of Peoplesoft
- Performance ratings

New or Different for FY20

- Full Compliment of Resources and training for Spot Coaching
Harvard Policy for the Safety and Protection of Minors

https://youthprotection.harvard.edu/

Jennifer Shephard
FAS TSO for Academic Units
jmsheph@fas.harvard.edu
Minors Policy - Contacts

FAS Tub Sponsoring Officers (TSOs)
Jennifer Shephard | Academic Depts & Labs
Duane Reeves | Athletics
Varsha Ghosh | College & PBH
Rob Neugeboren | DCE
Ann Marie Acker | HR

Youth Protection Officer
Eliza Brown, youthprotection@harvard.edu

Lab Safety
Mary Corrigan, lab_safety@harvard.edu
Minors Policy - Highlights

• Compliance with guidelines for interacting with minors
  o reporting suspected abuse or neglect

• Registration of youth programs, including internships

• Risk mitigation
  o “minors in labs” (hazardous environments)
  o program administrator training
  o screening and training of “responsible adults”

• Obtaining agreements from lessee organizations
Examples (representative, not all-inclusive) of FAS Academic Youth Programs

- Job shadowing
- Internships (paid/unpaid)
- Visits and tours
- Classes for kids
- Mentoring programs
1. Remind unit faculty and staff of Minors Policy

2. Poll the unit regarding presence of minors

3. Ensure programs are registered; contact Jennifer with questions about best practices

Jennifer Shephard
617-495-7906, jmsheph@fas.harvard.edu
https://youthprotection.harvard.edu/
Two-Step Verification for Office 365

FAS Admin Town Hall
May 23, 2019

Presented by: Christian Hamer
Agenda

- Problem-Solution
- Timeline
- User Experience
- Conclusion
**The Problem: Hacked Email Accounts**

**Impacts:**
- In the past six months, over 230 email accounts were compromised by cyber criminals. In most cases, the goal was to get money through various scams.
  - Up to 34 accounts detected as compromised in a single day
  - Initiated $250,000 in fraudulent wire transfers
  - Exposed sensitive data
  - Loss of personal credibility/reputation

**Causes:**
- Phishing (made more effective when using compromised accounts)
- Password re-use
The Internet isn't safe, but you have the power to make it much safer. Your small actions can make a big difference for your security, both at home and at Harvard.

---

**Click Wisely**

Click only links and files that are expected, and only from people you trust.

---

**Apply Updates**

Set your software to auto-update. Install updates, and restart if needed.

---

**Use Strong Passwords**

Create passwords that are unique and hard to guess. Use 2-step verification where it is available.

---

**Know Your Data**

Follow the policy to secure sensitive data. If you don't need it, delete it!
The Solution: Two-Step Verification

Bring the same protection you enjoy for HarvardKey to your email account.

Minimal Impact:

<table>
<thead>
<tr>
<th>If you use:</th>
<th>You will need to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Microsoft applications on</td>
<td>Do nothing, and you will notice the occasional Duo prompt with the same ability</td>
</tr>
<tr>
<td>computer or tablet/phone</td>
<td>to “remember me for 30 days”</td>
</tr>
<tr>
<td>Mac Mail on computer</td>
<td>Disconnect then reconnect your email account to reset, or use Microsoft Outlook</td>
</tr>
<tr>
<td>Another email program on</td>
<td>Use Microsoft Outlook</td>
</tr>
<tr>
<td>computer</td>
<td></td>
</tr>
<tr>
<td>iPhone/iPad email</td>
<td>Disconnect then reconnect your email account to reset, or use the Outlook app</td>
</tr>
<tr>
<td>Android email</td>
<td>Use the Outlook app</td>
</tr>
</tbody>
</table>
The Timing: 2SV for Office 365 Rollout Strategy

Phase 1: High Risk
- Aug 2018
- Mandatory for:
  1) Finance
  2) School Leadership
  3) OGC
  4) HR
  5) IT
- Enabled by HUIT and School IT technicians

Phase 2: Self-service
- June 2019
- User Self-service, supported by awareness campaign.
- Activated by default for all New Hires beginning May 22

Phase 3: Activated*
- Sep 2019
- Activated on back-end during rolling implementation.
- *Users can opt-out (in advance)
- Follow a cadence like original two-step rollout for HarvardKey.
Office 365 Two-Step

Computer/Phone Requirements
• Accessing Office 365 with HarvardKey login
  – Generally excludes HBS, HMS, HSDM
• Must have claimed HarvardKey and setup Two-Step Verification
• Must be using supported client software
  – Microsoft Office 2016 preferred
  – Microsoft Outlook for mobile preferred
  – Other native Microsoft mobile apps such as Teams, Skype, etc.
  – Native Apple Mail and Calendaring
    • Apple iOS 11.0 or greater
    • Apple Mojave 10.14 or greater

• KB0014339  What is Two-Step Verification for Office 365?
• KB0014232  Two-step verification for Office 365 (O365) FAQs

https://huit.harvard.edu/twostep
User Experience

• Users will have the option to the user to Activate the service or to Opt-out of the two-step for Office 365.

• Once Activated, the user has the option to deactivate two-step verification.
Office 365

User Login Experience

• Provides the familiar DUO user experience after the Office 365 login.
• Login will fail for non-supported clients
• Supports fresh desktop software installation

Remember Device Option is complex

• Web browser option to select ‘30 day’
• Desktop and mobile clients use credential caching that result in a very infrequent Login or DUO prompts
Two-step verification for Office 365 is coming!

• Effective the evening of May 22, all new users are now provisioned with two-step verification for Office 365 enabled by default
  • They will have the option to disable in HarvardKey self-service

• Also effective the evening of May 22, all non-activated users have the option to enable two-step verification displayed in HarvardKey self-service
  • To be clear, no changes were made to the status of these users
  • Users who have already been activated will see no change at this time

• This Fall, we will begin to require two-step verification for Office 365

• **Sign up now to apply this important protection to your account!**

• Expect to see a campaign to support this starting next month

[https://huit.harvard.edu/twostep](https://huit.harvard.edu/twostep)
Thank You
Administrative Systems Update
Research Portal Update

Stephanie Nasson
FAS Administrative Operations

Simone Alpen
Associate Director, Administrative Technology Services
HUIT
Mark your calendars!

- **Year End Review Session**
  - June 6th from 10:00 a.m. to Noon, Forum Room @ Lamont Library - No signup necessary
  - Fixed Assets Mass Additions cleared by July 10th
  - Last day for Journals for all – July 17th
  - Outlook calendar, checklist

- **June training offerings:**
  - OBI/HART reporting (with new Copy & Paste demo)
  - General Ledger w/TLX macro
  - Spectra Drop in sessions
  - Chart of Accounts, Concur and more!

- **Summer Training Survey**
  - July & August offerings?
  - Please visit [adminops.fas.harvard.edu](http://adminops.fas.harvard.edu) for additional information
Important Reminders

• **Supplier Portal Update**
  • Go live is scheduled for **June 3rd**, Last day for VRF is **May 28th**
  • Admin Ops - ASAP will continue to offer training in June
  • Job aids and videos to be made available as additional training resources – please join the Buy2Pay group!
  • Please register via the Harvard Training Portal

• **Onboarding Checklist**
  • [https://adminops.fas.harvard.edu/onboarding-toolkit](https://adminops.fas.harvard.edu/onboarding-toolkit)
  • Updated to include PeopleSoft onboarding tile
  • Includes workflow diagram & new employee welcome letter template
  • Feedback welcomed
Important Reminders

• **Aurora Support Resources**
  
  • For how-to questions, contact the Administrative Systems Assistance Program (ASAP) at fasasap@fas.harvard.edu
  
  • For specific questions regarding a faculty or research appointment, please contact Faculty Affairs or refer to the FAS Appointment and Promotion Handbook [https://academic-appointments.fas.harvard.edu/](https://academic-appointments.fas.harvard.edu/)
  
  • For system access, contact the Applications Security (AppSec) Group appsec@fas.harvard.edu
  
  • For technical support, email aurora@fas.harvard.edu
Important Reminders

• **Person Of Interest Request (POI)** – New workflow coming soon
  • Department Administrators and Executive Directors will now be notified by HUIT when POI requests are submitted by someone other than the lead administrator identified in Aurora.
  • DAs and EDs will now be the final approver to ensure safety, security and compliance requirements are met as well as appropriate access rights are reviewed.
  • More information will be shared in June!
Important Reminders

- **iLab Update**
  - Several FAS core facilities will be transitioning to iLab Operations Software to streamline the reservation and billing process.
  - The Harvard Center for Biological Imaging (HCBI) and animal per diem billing at the Office of Animal Resources will begin using iLab on July 1, 2019.
  - Information for PI's, financial administrators, and researchers who use HCBI and OAR facility services will receive instructions for iLab access and use via email.
  - Please contact Shanna deBlieck, Assistant Director of Science Operations, at shanna_deblieck@harvard.edu or 4-5433 for more information.
Overview: Research Administration and Compliance Portal Project

- The project will take a programmatic approach and deliver a collection of projects tied together in service to the research community

- **Main objectives**
  - Improving faculty experience
  - Enhancing compliance
  - Reduction of administration burden

- Three-year ITCRB investment spanning a variety of compliance areas

- High impact and benefit to the research administration and compliance community
Based on the following factors, a researcher’s systems use will increase:
- Dual appointments
- Multi-disciplinary
- Human subjects
- Animal subjects

Downside of current, stovepipe implementation:
- Lack of consistent, cohesive user experience
- Multiple log ins
- Lack of ability to report across research compliance areas effectively
- Multiple data exchanges and integrations
- Challenging to maintain
- Multiple systems contracts University-wide
Research Administration and Compliance Project
Proposed Future State

University-Wide Compliance Site
Single point of access with partial unified “to do”

Huron-Click Portal
Shared Person Organization and Project Data
Huron-hosted

Integration Across Systems
Selected relevant project, finance, and compliance integration data (ex. via API or Harvard Data Warehouse)

*One or more components not yet in use at Harvard or by existing Research Administration and Compliance systems.
### Active Project Tracks

<table>
<thead>
<tr>
<th>Track</th>
<th>What is it?</th>
<th>Stage / Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreements – Data Use Agreements</td>
<td>New application designed to support the request, negotiation, and signing of Data Use Agreements (DUAs).</td>
<td>• Live as of December ‘18</td>
</tr>
<tr>
<td>Data Safety &amp; Security</td>
<td>New application intended to support tracking, monitoring, and compliance requirements for research data sets.</td>
<td>• Requirements gathering and design in progress • Summer/Fall 2019 go live</td>
</tr>
<tr>
<td>Conflict of Interest (COI)</td>
<td>Consolidation of several COI systems into a single application. Likely to combine COI and outside activities processes.</td>
<td>• Summer 2019 – planning • Late FY20/early FY21 – potential go live</td>
</tr>
<tr>
<td>Central Portal &amp; Data Integrations</td>
<td>A central web portal to provide access and deep integration across research admin and compliance systems.</td>
<td>• Initial iteration launched 12/10/18 • Deep linking between GMAS and research compliance modules (example: ESTR-IRB)</td>
</tr>
</tbody>
</table>
Current “Portal” View

Below is a representation of phase 1 of the integrated portal. As of 12/10/2018, users can access dua.harvard.edu (with HarvardKey) and get:

- Tabs for Agreements and ESTR-IRB
- Shared “in-box” for Agreements and ESTR-IRB
- Links to all systems in the research administration and compliance domain
Questions?

Project Director: simone_alpen@harvard.edu
High-Level Summary of Revised Independent Contractor Policy

FAS Town Hall

Karen Kittredge, Manager Policy and Business Process, Policy Office, Office of the Controller
Polly Scannell, Deputy Director, Office of Labor & Employee Relations

FAS Town Hall 5/23/19
Key New Elements

• Effective date of Revised Policy – July 1, 2019

• Revised Policy clearly sets forth legal test for appropriate IC classification

• Mandates that review and approval of IC classification must occur before IC is retained, any services are rendered, and/or payment made
  • Presumption of employee status unless 3-part Massachusetts IC test is met
  • A worker or department’s preference is not relevant to the classification determination

• Clarifies roles and responsibilities for local hiring department or unit, HR and accounts payable approvers; specifies required documentation, review process, and approval steps needed before any services are performed

• Clarifies that compliance is the obligation of the local department or unit

• Revised IC Questionnaire reflects Massachusetts law and is easier to complete and analyze

• Identifies lower risk engagements as exceptions to IC Questionnaire requirement (but must still comply with the law)
Three-Part Legal Test Requirements

• Under Massachusetts law, every individual receiving payment for services to the University is **considered to be an employee** of the University unless all of the factors in the 3-part Massachusetts legal IC test are satisfied
  • Massachusetts IC test is among most restrictive – more restrictive than IRS test with the familiar “20 questions” analysis

• The Massachusetts IC 3-part test (all 3 prongs must be met)
  Part 1: The worker must be free from Harvard’s control and direction in connection with the performance of the service, both under a contract for the performance of the service and in fact
  Part 2: The service performed by the worker must be outside the usual course of Harvard’s business, and not a regular and continuous part of business operations
  Part 3: The worker must be customarily engaged in an independently established trade, occupation, profession, or business of the same type as the service being performed for Harvard

Mass. Gen. Laws Ch. 149, sec. 148B
When to Complete an Independent Contractor Questionnaire (ICQ)

- An independent contractor questionnaire (ICQ) must be completed regardless of where the work is being completed (including those performing work inside and outside of Massachusetts) and prior to engaging the individual to start work.
  - For work outside of the U.S., Harvard must follow the rules and regulations based on the country in which the work is taking place. These provisions may be different than MA law and are occasionally more stringent (Europe) or entail tax withholdings on payments to contractors. The local school or unit’s HR office will work with Global Support Services (GSS) to determine international IC status.

- An ICQ is required for the following engaged to perform a service for Harvard
  - An individual engaged to perform a service for Harvard (see exceptions)
  - Single-Employee Limited Liability Company (LLC), Unincorporated or Incorporated Company
    - An ICQ is required when a company is a single-employee company (even if it subcontracts additional workers)
  - Third-Party Entity that Act as Freelancer Marketplace (W2 no ICQ)
    - If the third-party entity does not go through a formal classification process but rather acts as a freelancer marketplace (an intermediary which advertises and coordinates individuals selling their services such as freelancer.com or TaskRabbit) an ICQ must be completed
University Independent Contractor Questionnaire (ICQ) Exceptions Process
See FAS specific exception processes on the following slides

Under limited circumstances, the formal completion of an ICQ is not required
• The local department or unit must still confirm that the classification satisfies the three-part legal test
• A written contract is still required
• The local department or unit must provide the accounts payable approver with a written exception attestation form or statement of why an ICQ is not required

1) Guest Speaker or Guest Lecturer receiving an honorarium or speaking fee for a one-time speaking engagement (performers/musicians also fall into this category). This exception cannot be used for individuals teaching or co-teaching a substantial portion of a course, those listed as instructors in the course catalog, or those who hold a Harvard appointment for their teaching role

2) Single, Short-Term Engagements for Less than $3,000 - An ICQ is not required if the engagement satisfies the three-part Independent Contractor test; the engagement will last no longer than three months (90 calendar days); AND total payments to the IC will not exceed $3,000

Individual schools and units may have more restrictive policies or internal processes; contract your tub human resources or finance department for more information.

See FAS specific Independent Contractor Questionnaire Exception Processes
FAS Independent Contractor Questionnaire (ICQ) Exception Process

FAS requires a completed independent contractor questionnaire (ICQ) regardless of dollar amount or length of service with the exception of those who qualify as a guest speakers or guest lecturer (see next slide)

• Hiring departments should contact their HR Consultant for preliminary advice.
• If necessary based on HR Consultant guidance, send a completed ICQ to ic-request@fas.harvard.edu
• Submit as detailed information as possible including detailed scope of work/duties, length of service, amount to be paid, etc.
• A draft contract must also be submitted in order to help HR classify the engagement correctly
• HR will classify the individual and return the completed ICQ to the hiring department

FAS wide information sessions will be offered starting June 15, 2019. More information will follow shortly.
FAS Independent Contractor Questionnaire (ICQ) Exception Process

A completed IC questionnaire is not required for a guest speaker or guest lecturer receiving an honorarium or speaking fee for a one-time speaking engagement (performers/musicians also fall into this category). This exception cannot be used for individuals teaching or co-teaching a substantial portion of a course, those listed as instructors in the course catalog, or those who hold a Harvard appointment for their teaching role.

Examples include: Guest speaker or guest lecturer
    Guest panelist
    Guest performer, musician, entertainer

Guest speaker or guest lecturers meeting the exception criteria require a contract or agreement/confirmation letter, but do not need to be classified by HR.

• Departments processing these payments must submit the FAS Guest Speaker Exception Attestation Form to their local department payment approver
Where Policy Does Not Apply and an Independent Contractor Questionnaire (ICQ) is not Required

• The Policy does not apply and an ICQ is not required for the following performing services for Harvard

  • Suppliers/vendors with more than one employee whose personnel are classified as employees (e.g., Cambridge Landscaping, Randstad)

  • Human Subject Payments (See Human Subject Payments Policy)

  • When the University is contracting with a third-party entity (e.g., managed services provider, temp agency, payrolling service, IT staffing firm) to obtain personnel who are classified by those firms as employees or contractors to perform services

    • Schools and departments enrolled in the Contingent Workforce Managed Services Program (Fieldglass/Yoh) or who use the suppliers managed in the Yoh Managed Service Program meet the IC classification requirements of a managed services provider
FAS Hiring Department or Unit and Department Approver Responsibilities

Local Hiring Department or Unit Responsibilities

• Determine if the IC Policy applies and initiate any required procedures, including contact with HR consultant and completion of ICQ.
• Obtain proper review and approval before contract is signed and before any services are performed.
• If not using a Harvard contract template, be sure that any IC contract contains the following language:
  [Consultant/Contractor/Vendor] shall be an independent contractor, free from Harvard’s direction and control, and not an agent or employee of Harvard. See OGC or SP website for contract templates or contact adminops-procurement@fas.harvard.edu if not using a Harvard template or other contract questions.
• Follow local school or unit’s internal contract review and signature guidelines.
• Collect required documentation to set individual up as a supplier vendor if required.

After services have been completed the Department AP preparer and approver must:

• Confirm ICQ and contract have been completed and are on file.
• Review and prepare invoice for payment.
  Use appropriate object code for the service completed.
  Include with invoice any additional required documentation (e.g., Exception Attestation Form or attestation form billing code 8692). Some schools or units may require ICQ and contracts be submitted with invoice, others may store them at the local level.
• If the department approver does not receive or have evidence of the above required documentation, the payment cannot be processed.
FAS CONTACTS

• Questions around the ICQ and Classification Process:
  • FAS HR Guidance and Materials can be found at: https://hr.fas.harvard.edu/pages/independent-contractors-0 or email ic-request@fas.harvard.edu
  • FAS HR will consult with the Office of Labor & Employee Relations, Office of the General Counsel, and Global Support Services as needed

• Contract Guidance
  • Contract templates, guidance and a contract checklist may be found on the Strategic Procurement or Office of General Counsel’s website
  • Contact adminops-procurement@fas.harvard.edu for guidance if not using a Harvard template or other contract questions

• Policy Guidance and Materials
  • Contact adminops-procurement@fas.harvard.edu for general guidance. FAS HR or Finance may also consult with Financial Policy Office (financialpolicy@harvard.edu) Office of Labor & Employee Relations
  • Additional materials can be found at the Financial Policy website or Human Resources Policies website
  • A chart showing options to process payments for those that do not meet the IC test and are classified as employees as well as FAQs will be available by 7/1/19 on the above websites
Appendices

Responsibilities for Compliance
Exception Attestation Form
IC Process Workflow
IC Process for Guest Speakers or Lecturers
Responsibilities for Compliance

Local Hiring Department or Unit
• Determine if the IC Policy applies and initiate any required procedures, including completion of ICQ
• Obtain proper review and approval before contract is signed and before any services are performed

Local HR Office
• Review proposed IC engagements, including signing ICQ, and approve engagement as IC if three-part test is satisfied
• Ensure that departments are familiar with, and receive training regarding, IC policy requirements

Local Department or Unit’s Accounts Payable Approver
• Ensure that required documentation that supports IC classification is completed before a vendor is created in AP system or payment issued (signed contract, approved ICQ or written statement of why not required, and an invoice)

Individual schools and units may have more restrictive policies or internal processes; contract your tub human resources or finance department for more information

See IC Process Workflow
FAS Guest Speaker Exception Attestation Form

The Independent Contractor Policy allows for an exception when hosting a guest speaker, guest lecturer, performer, panelist, etc. receiving an honorarium or speaking fee for a one-time speaking engagement. (An honorarium is a payment provided as a token of appreciation for participation in an activity or event, rather than payment as a contractual obligation for services rendered.)

This exception cannot be used for individuals teaching or co-teaching a substantial portion of a course, those listed as instructors in the course catalog, or those who hold a Harvard appointment for their teaching role.

If an audio or video recording will be made of the event, the speaker must sign a consent form, which may be found on the DGSC’s Model Documents website.

This form is required and must be attached to the payment request in HCOM upon submission to your approver.

If you need additional information about the Independent Contractor Policy and FAS processes please refer to the FAS HR Website: https://hr.fas.harvard.edu/pages/independent-contractors-

Guest Speaker or Guest Lecturer

Name of Speaker/Presenter (Individual or Entity): ____________________________________________

Event Name: ____________________________________________

Event Description: ____________________________________________

Event Date: ____________________________________________

Event Location: ____________________________________________

Total Amount to be Paid: ____________________________________________

Attestation: I have read the exemptions above and certify that the engagement of services by the designated worker satisfy one of the above exemptions necessary to designate the service provider as an independent contractor/consultant.

Signature: ____________________________________________ FAS Dept: _______________________

Print Name: ____________________________________________ Date: _______________________

FAS Guest Speaker Exception Attestation Form
Independent Contract (IC) Process

I wish to engage an individual (including a single-employee business operating under a business like an LLC or 5th party entity that does not follow a formal classification process to provide a service.

*If this is a guest speaker, please go to page 2. If this is a human subject payment, then see Human Subject Payment Policy.

Does the individual currently have an active appointment at Harvard?

**YES**

Not an IC. HR and department will determine appropriate next steps and appropriate payroll type.

**NO**

Contact HR for preliminary discussion and to determine if an Independent Contractor Questionnaire (ICQ) is required for the engagement. ICQ is required unless the engagement is a one-time engagement for less than 3 months and $3,000.

Is ICQ required?

**YES**

Complete the ICQ and forward to HR for review & approval.

HR reviews ICQ to determine if the individual can be classified as an IC.

Is Individual classified as an IC?

**YES**

Department or Unit executes contract before services are performed. When services have been performed and invoice(s) received, Department confirms ICQ completed or submits Exception Attestation Form, contract, and invoice to the department/unit’s accounts payable (AP) approver.

**NO**

One-time engagement must still satisfy 3-part test in IC Policy, and Department or Unit must attest in writing that engagement satisfies test. See sample ICQ Exception Attestation Form.

Does the engagement meet the 3-part test and qualify as IC?

**YES**

AP approvers must make sure an ICQ or attestation, and contract have been completed and signed before processing payments. Both the ICQ and contract must be kept on file.

**NO**

Payment Process (see App. C – Finance & Approval Process for additional information).

- If the IC will need system access to resources, review the Policy on Person of Interest (POI) to set the them up (POI).
- Payments must be processed through the AP system; services cannot be paid out-of-pocket, or by using a University Corporate or PCard.
- Department reviews invoices and receipts for appropriateness and per the contract agreement.
- Use the appropriate object code when processing payments.
Independent Contractor (IC) Process for Guest Speakers or Lecturers*

Rev: 06/01/2019

Is the individual a guest speaker or guest lecturer (i.e., performing a one-time speaking engagement)?

YES

IC Questionnaire does not need to be completed. Complete appropriate Model Speaker Engagement or Consent Form. Use appropriate object code (8690 or 8692) to comply with MA Performers Tax Requirements

NO

Is the presentation being recorded?

Complete the Model Speaker Engagement Form-No Recording

YES

Complete the Model Speaker Consent Form-Audio/Video Recordings

*Guest speakers and lecturers do not require an ICQ when the payment is an honorarium provided as a token of appreciation (thank you) for participation in an activity or event where no fee is legally required and not as a contractual obligation to pay for services rendered. If the speaker determines or negotiates the payment amount, schools and units must follow the IC Policy or ICQ Exception Attestation Process. Be sure a foreign individual’s visa status allows payments prior to offering an honoraria.

Examples would be a nominal payment and not required on an on-going basis and include:

- One-time lecture - Any individual teaching or co-teaching a substantial portion of a course, listed as an instructor in the course catalog or who holds a Harvard appointment cannot be classified as an IC.
- Guest speaker at an educational event, workshop, conference or other similar function.
- Panelist for a workshop or conference.
- Performing artist (though these are more commonly payment for services and must follow the IC Policy or ICQ Exception Attestation Process).