OSRA Updates
RAPID – September 12th 2016
Approval of Financial Transactions
Transaction Approval on Grant Accounts
Review and Approval Responsibility

Transactions on Grant/WBS accounts that require institutional review:

• Petty Cash
• Shopping Carts
• Travel & Expense Reimbursement
• Payment Requisitions
## Transaction Approval on Grant Accounts

<table>
<thead>
<tr>
<th>Transaction</th>
<th>Transition Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Petty Cash</td>
<td>November 2(^{nd}), 2015</td>
</tr>
<tr>
<td>Shopping Carts*</td>
<td>August 1(^{st}), 2016</td>
</tr>
<tr>
<td>Travel &amp; Expense Reimbursement</td>
<td>September 1(^{st}), 2016</td>
</tr>
<tr>
<td>Payment Requisitions</td>
<td>September 12th, 2016</td>
</tr>
</tbody>
</table>

*Limited to relevant expenses

** Recommend separating grant (WBS) orders from other orders to avoid delays
## Transaction Approval on Grant Accounts

<table>
<thead>
<tr>
<th>Transaction</th>
<th>Application</th>
</tr>
</thead>
<tbody>
<tr>
<td>Petty Cash</td>
<td>Listserv</td>
</tr>
<tr>
<td>Shopping Carts</td>
<td>WBG Worklist</td>
</tr>
<tr>
<td>Travel &amp; Expense Reimbursement</td>
<td>WBG eForms Monitor</td>
</tr>
<tr>
<td>Payment Requisitions</td>
<td>WBG eForms Monitor</td>
</tr>
</tbody>
</table>
Transaction Approval on Grant Accounts

• Process managed by the Research & Financial Administrators on the Data Management and Quality Assurance team

• Service level commitment remains 48 hours
  • Often completed < 48 hours

• Ongoing evaluation of process and improvements i.e. via automation and scope of review
OSRA Presentations
Rapid – September 12th 2016
WCM-Ithaca Intercampus Collaborations
How we started

• Senior leadership at WCM and CU-Ithaca championed the effort and identified project team
• The team compiled a list of issues that impact collaborative research, including items:
  • Discussed with Faculty, Center Directors and Administrative Offices at both campuses
  • Emerged from internal process mapping and case studies
  • Identified in the Ithaca Community Roundtable and Internal Communications project
The Project Team

Project Champions:
• Adam Garriga, Chief Administrative Officer for Research, WCM
• Cathy Long, Associate VP for Research Administration, CU-Ithaca

WCM team:
• Aleta Gunsul, Director, Office of Sponsored Research Administration (OSRA)
• Stephen Hunt, Associate Director, OSRA
• Michelle A. Lewis, Director, Research Administration
• Melissa Paray, Assistant Director, Grants Accounting

CU-Ithaca team:
• Mary-Margaret Klempa, Director, Office of Sponsored Programs (OSP)
• Jeffrey Silber, Senior Director, Sponsored Financial Services (SFS)
• Amita Verma, Director, Office of Research Integrity and Assurance (ORIA)
Major Accomplishments

- Enhanced intercampus agreement template to provide clear project information, contacts, and invoicing requirements
- Revised and shared intercampus process maps
- Created and exchanged intercampus contact sheet for administrative services
- Eliminated intercampus Statement of Intent form
- Eliminated intercampus reporting under the Federal Funding Accountability and Transparency Act (FFATA)
- Established monthly meetings between campuses to address ongoing initiatives
Future Initiatives

• Establish an intercampus resources website
• Streamlining compliance reviews and training requirements for IRB and IACUC
• Review intercampus Material Transfer process
• Review Qatar collaborations with Ithaca campus
• Improve knowledge of unique resources available at each location (cores, etc.) broadening use
• Intra-Campus retreat October 31st, & November 1st
User Interface
Branding

Weill Research Gateway (WRG)

Conflicts Management
Sponsored Programs
Human Subjects Management

Proposal Development
Proposal Tracking
Action Items - 18 Items

16-000381 - Sponsored Project
Your action is required
Test
Assigned 39 days ago

16-000328 - Sponsored Project
Your action is required
TEST Meinek, Ari M.
Assigned 53 days ago

Mailbox

<table>
<thead>
<tr>
<th>Select</th>
<th>Proposal Number: 17-000005</th>
<th>Hunt, Stephen</th>
<th>25-Jul-2016 08:08:14 PM</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Select</th>
<th>Proposal Number: 17-000005</th>
<th>Hunt, Stephen</th>
<th>25-Jul-2016 08:08:56 PM</th>
</tr>
</thead>
</table>

Weill Research Gateway

The Weill Research Gateway (WRG) is an online portal for research administrative tools used by faculty and staff at the institution. Currently in its initial stages, WRG will soon host a number of applications to support research, such as eIRB and Electronic Routing Form (ERF).
Functionality
Key Features and Functionality

## Proposal Development (PD)
- Electronic Routing Form (ERF)
- Paper Routing Forms
- Grants.gov Adobe Packages
- Contracts Intake Tool
- Manual Salary Verification

## Proposal Tracking (PT)
- Coeus
- OCTATrax
- Account Create Tracking in JIRA
- Manual SAP Account Creation
- Manual Budget Uploads
Key Features and Functionality

One intake portal for sponsored research
• Grants, MTAs, SRAs, DUAs, Service Agreements, BioPharma, Confidentiality

Unique template for each document/instrument
• Adaptable, all inclusive interface
• Instrument specific tabs and uploads

Central research portal for routing and approvals
• Eliminates ERF and all paper routing forms
• Accessible on and off campus, from mobile devices
Key Features and Functionality

Automation
- Clear, streamlined & automated routing
- Reporting, deliverables/reminders and batch communications

System to system functionality
- Eliminates Adobe packages for Grants.gov opportunities
- Built in system validations prior to submission
- Better visibility and application tracking

Dynamic budget
- Auto-calculates fringe, salary, and IDC
- Salary release and feed
System Notifications

From: Prof. Sysadmin, Infoed
To: Loughlin, Gerald M. - PEDIATRICS
    Peralte, Jeffrey - INFORMATION TECHNOLOGIES AND SERVICES

Subject: APPROVAL REQUIRED - Proposal 16-000374, Submitted by Dr. Lyden, Deadline: 07-Sep-2016

A proposal in the Weill Research Gateway (WRG) requires your approval.

Principal Investigator: Dr. David C Lyden
Sponsor: National Institutes of Health
Proposal Title: Hostiuk, Veronika s2s 06/07/2016 OSRA UAT
Proposal Number: 16-000374

Submission Deadline: 07-Sep-2016

Click Reviewer Dashboard to review the proposal.

Instructions for completing this process are available: [insert URL to training documentation].

For assistance or inquiries, contact the appropriate central research administration office:
Office of Sponsored Research Administration (OSRA): grantsandcontracts@med.cornell.edu
Joint Clinical Trials Office (JCTO): jctocontracts@med.cornell.edu
Qatar Research Office (QRO): dmw2005@qatar-med.cornell.edu

For technical assistance, contact ITS: WRG-Support@med.cornell.edu

Attachments:

![Proposal Attachment](16-000374.jpg)

For Review
Proposal
Proposed InfoEd Timeline

2015
- Q3 Jan-Mar
- Q4 Apr-Jun
- Q1 Jul-Sept
- Q2 Oct-Dec

Install
- ESA & Genius
- COI Implementation

2016
- Q3 Jan-Mar
- Q4 Apr-Jun
- Q1 Jul-Sept
- Q2 Oct-Dec

PD Implementation

2017
- Q3 Jan-Mar
- Q4 Apr-Jun
- Q1 Jul-Sept
- Q2 Oct-Dec

HS (includes CSEC) Implementation
- CT Phase 1 Implementation
- CT Phase 2 Implementation
- Dynamic Modules Implementation
- EHS Implementation

2018
- Q3 Jan-Mar
- Q4 Apr-Jun
- Q1 Jul-Sept
- Q2 Oct-Dec

Module Implementation
- Module Go-Live
- Subsequent Release

Key:
- Today
- Completed

Glossary
- ESA: Enterprise Staging Area
- EHS: Environmental Health & Safety
- Genius: Profiles
- PD: Proposal Development
- PT: Proposal Tracking
- COI: Conflicts of Interest
- HS: Human Subjects
- CSEC: Clinical Study Evaluation Committee
- CT: Clinical Trials

NOTE: Should OnCore be selected instead of InfoEd CT the impact to timeline is currently unknown & requires additional analysis.
Sponsored Programs Approach

- Charter
- Approvals

Medical

- Requirements
- Analysis
- Design
- Configuration & Coding
- Testing

- Closure report
- Lessons learned feedback into program
Approach – 12 Project Components

- Intake
- Review and Submission
- PT Workflow
- Migration of Data
- Negotiation/Subawards
- Execution/Awarding
- Reporting
- Connection to Conflicts Module
- Connection to SAP
- Integration of Document Management System
- Integration of Data Warehouse
- Integration of Encompass (IACUC)
## Progress Report

<table>
<thead>
<tr>
<th>Component</th>
<th>Current Status</th>
<th>% Complete (Current)</th>
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</thead>
<tbody>
<tr>
<td>1. Intake</td>
<td>In Progress (Development)</td>
<td>80%</td>
</tr>
<tr>
<td>2. Review and Submission</td>
<td>In Progress (Development)</td>
<td>80%</td>
</tr>
<tr>
<td>3. PT Workflow</td>
<td>In Progress (Development)</td>
<td>50%</td>
</tr>
<tr>
<td>4. Migration of Data</td>
<td>In Progress (Analysis)</td>
<td>30%</td>
</tr>
<tr>
<td>5. Negotiation/Subawards</td>
<td>In Progress (Development)</td>
<td>30%</td>
</tr>
<tr>
<td>6. Execution/Awarding</td>
<td>In Progress (Analysis)</td>
<td>10%</td>
</tr>
<tr>
<td>7. Reporting</td>
<td>In Progress (Analysis)</td>
<td>25%</td>
</tr>
<tr>
<td>8. Connection to COI</td>
<td>In Progress (Development)</td>
<td>45%</td>
</tr>
<tr>
<td>9. Connection to SAP</td>
<td>In Progress (Analysis)</td>
<td>25%</td>
</tr>
<tr>
<td>10. Integration of DMS</td>
<td>On Hold</td>
<td>7%</td>
</tr>
<tr>
<td>11. Integration of DW</td>
<td>In Progress (Analysis)</td>
<td>10%</td>
</tr>
<tr>
<td>12. Integration of Encompass</td>
<td>In Progress (Analysis)</td>
<td>30%</td>
</tr>
</tbody>
</table>
# Work Groups

<table>
<thead>
<tr>
<th>Work Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>PT Workflow and System Communications</td>
</tr>
<tr>
<td>Contracts Workflow</td>
</tr>
<tr>
<td>Qatar Workflow Variations</td>
</tr>
<tr>
<td>JCTO Workflow Variations</td>
</tr>
<tr>
<td>SAP Integration</td>
</tr>
<tr>
<td>Reporting</td>
</tr>
<tr>
<td>enCCoMPass Integration</td>
</tr>
<tr>
<td>Data Migration</td>
</tr>
<tr>
<td>PD Functionality and Routing Testing</td>
</tr>
<tr>
<td>WRG Testing</td>
</tr>
<tr>
<td>WRG Training</td>
</tr>
<tr>
<td>Focus Group Planning</td>
</tr>
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</table>
User Engagement
Focus Groups and User Acceptance Testing

Photo: Mohammad Mansour (OSRA) and Holly Fan (PMO) facilitating Shefali Shah (Department of Pathology) through an S2S Submission
User Engagement Approach

Focus Groups

• System presentation and demonstration highlighting key features and functionality
• Participants called upon to react to functionality and provide critical feedback
• Comments documented in session and via survey
User Engagement Approach

User Acceptance Testing Cases

- Hands on testing of proposal development module
- Participants guided through scenarios by OSRA, RAC-ITS and PMO
- Participants called upon to react to functionality and provide critical feedback
- Comments documented in session and via survey
User Acceptance Testing
Format

- Business Analyst
  RAC-ITS/PMO

- Departmental User

- Grant/Contract Specialist
  OSRA

WRG Test Case
June Focus Group & UAT

Photo: Jeff Peralte (RAC-ITS) and Liz Manning (OSRA) guide Monica Prabudoss (Department of Medicine) through an S2S submission simulating live conditions in WRG-SP Dev.
User Acceptance Testing Content

Hands on proposal development:

<table>
<thead>
<tr>
<th>Instrument</th>
<th>Cases</th>
</tr>
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<tbody>
<tr>
<td>System to System Grant</td>
<td>5</td>
</tr>
<tr>
<td>Non-S2S Grant</td>
<td>3</td>
</tr>
<tr>
<td>Material Transfer Agreement</td>
<td>2</td>
</tr>
<tr>
<td>Sponsored Research Agreement</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total Cases:</strong></td>
<td><strong>13</strong></td>
</tr>
</tbody>
</table>
# Session Feedback

<table>
<thead>
<tr>
<th>Category</th>
<th>Occurrence</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Configuration</td>
<td>35</td>
<td>Clearer action item messages</td>
</tr>
<tr>
<td>Culture Change</td>
<td>7</td>
<td>Using system budget</td>
</tr>
<tr>
<td>InfoEd Technical Concern</td>
<td>36</td>
<td>Save and Complete</td>
</tr>
<tr>
<td>Policy</td>
<td>11</td>
<td>Delegate authority</td>
</tr>
<tr>
<td>Positive Feedback</td>
<td>29</td>
<td>Streamlined process, transparency</td>
</tr>
<tr>
<td>Question</td>
<td>69</td>
<td>Will the budget auto calculate fringe benefits?</td>
</tr>
</tbody>
</table>
August UAT

Photo: Left – Mariah Jaffe (RAC-ITS) and Kelsi Welter (OSRA) guide Lauren Sosa (Collaborative, Administration, Finance and Support (CAFS) through an S2S submission simulating live conditions in WRG Dev. Right – Group photo.
### User Acceptance Testing

#### Content

**Hands on proposal development:**

<table>
<thead>
<tr>
<th>Instrument</th>
<th>Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>System to System Grant</td>
<td>13</td>
</tr>
<tr>
<td>Non-S2S Grant</td>
<td>6</td>
</tr>
<tr>
<td>Material Transfer Agreement</td>
<td>5</td>
</tr>
<tr>
<td>Sponsored Research Agreement</td>
<td>7</td>
</tr>
<tr>
<td><strong>Total Cases:</strong></td>
<td><strong>31</strong></td>
</tr>
</tbody>
</table>
Session Feedback

• Enthusiastic environment in all four sessions
• Many users stated it was intuitive and user friendly
• Positive comments regarding the budget format, auto calculations, overall ease of use
• Noted marked improvement over the first iteration and especially over the ERF
• Discovered additional configuration changes and minor bugs to address prior to go-live
• General excitement, several administrators asked if we could go live before the targeted release date
### Session Feedback Summary

<table>
<thead>
<tr>
<th>Category</th>
<th># reported in June</th>
<th># reported in August</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Configuration</td>
<td>35</td>
<td>42</td>
<td>Additional on-screen instructions</td>
</tr>
<tr>
<td>Culture Change</td>
<td>7</td>
<td>4</td>
<td>Routing prior to submission</td>
</tr>
<tr>
<td>InfoEd Technical Concern</td>
<td>36</td>
<td>49</td>
<td>“Done” button closes record</td>
</tr>
<tr>
<td>Policy</td>
<td>11</td>
<td>3</td>
<td>Inflating year one base salary</td>
</tr>
<tr>
<td>Positive Feedback</td>
<td>29</td>
<td>49</td>
<td>Intuitive and user friendly</td>
</tr>
<tr>
<td>Question</td>
<td>69</td>
<td>106</td>
<td>Can we go-live earlier?</td>
</tr>
<tr>
<td>Known Issues</td>
<td>N/A</td>
<td>11</td>
<td>Congressional District doesn’t feed for the Subaward sites</td>
</tr>
<tr>
<td>Total Reported:</td>
<td>187</td>
<td>264</td>
<td></td>
</tr>
</tbody>
</table>
Next Steps from August

• Reconfigure where appropriate for third iteration
• Continue work with training team to strategize addressing culture changes and other concerns
• Continue work on project components
• September technical onsite with InfoEd to focus on Data Warehouse, reporting and integrations
• September UAT to focus on Proposal Tracking (PT) workflows related:
  • Pre-Funding/JIT
  • Award in Process
  • Progress Reports
  • Extension with & without Funds
# User Engagement Milestones

<table>
<thead>
<tr>
<th>Week Of</th>
<th>Topic</th>
<th>Audience</th>
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<tbody>
<tr>
<td>June 7th</td>
<td>PD Focus Group &amp; UAT</td>
<td>Departments</td>
</tr>
<tr>
<td>July 28th</td>
<td>PD Focus Group &amp; UAT</td>
<td>Qatar Research Office</td>
</tr>
<tr>
<td>August 11th &amp; 12th</td>
<td>PD Focus Group &amp; UAT</td>
<td>Departments</td>
</tr>
<tr>
<td>September 12th</td>
<td>RAPID Update</td>
<td>Research Community</td>
</tr>
<tr>
<td>September 19th</td>
<td>PT Workflow</td>
<td>Departments &amp; Qatar</td>
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<tr>
<td>October 10th</td>
<td>PD &amp; PT UAT</td>
<td>Departments &amp; Qatar</td>
</tr>
<tr>
<td>October 17th</td>
<td>Town Hall/PD Focus Group</td>
<td>Faculty</td>
</tr>
<tr>
<td>November 14th</td>
<td>RAPID Update</td>
<td>Research Community</td>
</tr>
<tr>
<td>November 14th</td>
<td>PD &amp; PT Wrap-up</td>
<td>Departments, Qatar &amp; Faculty</td>
</tr>
<tr>
<td>December 1st</td>
<td>Front-end Development Completed</td>
<td>N/A</td>
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