Research Administration: A New Opportunity for Grants Management



PI Open House | November 18, 2020



Welcome!

- Feel free to turn on your video cameras
- All lines are muted
- The meeting will be recorded and shared
- Please ask questions in the Chat, use the raise hand function in Zoom, or wait until Q&A portion and unmute yourself
- If we don't get to your question, we will follow up after the meeting
- If you don't see your name in the Zoom, rightclick next to your phone number to add it.



Agenda



- Introductions Gunta Liders
- IORA Overview Rick Waugh
- Remarks Steve Dewhurst
- Engagement/Testimonials Gunta Liders
- What's Changing Gunta Liders
- Go-Live Activities Brenda Kavanaugh
- Demonstration Anthony Beckman, Jennifer Carlson
- Questions & Answers



IORA Overview

Rick Waugh,

Vice Provost for Research & Project Executive Sponsor



Current State: Key Themes & Challenges



- 1. Widespread manual entry and, at times, duplication of effort within research systems to capture, verify, and accurately report on data.
- 2. Multiple systems and processes are used across the university to accomplish similar functions, resulting in a lack of consistency across departments and colleges.
- 3. Many research systems do not adequately mirror business processes or contain needed functionality, which is currently mitigated by use of paper forms and routing.
- 4. Inability to see the "whole picture."
- 5. IT support for many research systems is spread thin or 'single-threaded,' creating risk in continuing operations and future UR growth.

If we do not make a change and modernize our systems and automate our processes, **the opportunities** for funding, growth and positive impact **will be limited**.



Introducing IORA, our Integrated Online Research Administration system

IORA INTEGRATED ONLINE RESEARCH ADMINISTRATION

The IORA system already contains Click IRB and Unfunded Agreements. **Grants and Funded Agreements** will be added January 2021. Integrated Online Research Administration (IORA)

New System for Grants & Agreements Coming January 2021

Research is a priority.

"The environment of a great research university creates great opportunity – not just in the learning itself, but how that learning translates into understanding and action. As president, I will focus on supporting and sustaining research at every level. Because it is through the knowledge derived from research that we fulfill our mission to make the world ever better." – Sarah Mangelsdorf, President, University of Rochester, Inaugural Address

The University of Rochester is one of the country's top-tier research universities, submitting close to 1,700 grant applications and receiving over \$410 million in grant funding in fiscal year 2019. This critical funding is pursued to foster innovation, advancements in science and to benefit human kind.

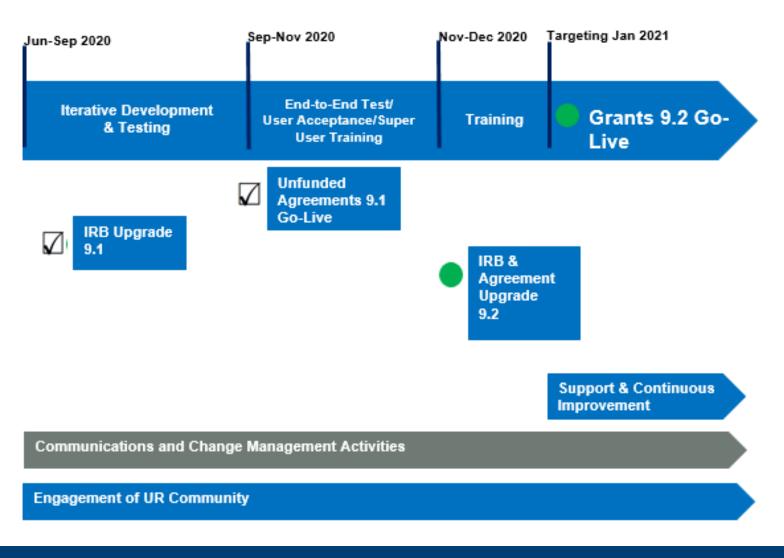
Current limitations.



Website: www.rochester.edu/iora-project/grants/



Timeline: IORA Implementation





What are the Expected Benefits?

Automated Budgeting	Automated calculations for budget accuracy and better management of grant finances.
Administrative Efficiency	Moving from a paper process to an automated and efficient workflow frees up individuals' time to assist with strategic planning and future projections.
Reputational Excellence	Providing state-of-the-art system resources helps retain and attract prominent investigators, grants, and studies.
Data and Analytics	More robust reporting capabilities enables more informed decisions to engage in strategic activities such as identifying sponsorship opportunities and exploiting competitive advantages. Metrics will help gauge operational effectiveness and areas of opportunity.
Improved Collaboration	Online end-to-end visibility to process flow promotes transparency, collaboration, communication, efficiency, and effectiveness within the system (rather than on paper and in email). Mobile-friendly, automated status emails and reminders.

Facilitating the Process:

- Streamlined sign-offs
- Comprehensive document storage
 - Program announcement
 - Proposal documents
 - Notice of Award
 - Correspondence
 - Agreements (all types)
- Notifications to PI and Department Admin
 - Modifications
 - No-cost extensions
 - Alerts for action required, status changes
- More transparency
- Customizable search and reporting
- Availability of metrics



Remarks

Steve Dewhurst,

Vice Dean for Research, SMD/Associate Vice President for Health Sciences Research



The Future: Ability to See "The Big Picture"

Eventually, a PI Portal will allow researchers to review standard research

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Engagement

Gunta Liders, Associate VP for Research Administration Office of Research and Project Administration



Department Engagement

Primary users of IORA will be Department Administrators and faculty who do not utilize administrative support

- Research Administration Modernization Committee (RAMC) formed
 - 75-100 senior department administrators
 - Have provided valuable information back to the team on department approvers, training needs, etc.
- Super Users
 - 30+ Department Administrators from both UR and URMC volunteered to help with testing, business process decisions, training, communications to faculty/depts
 - Meet weekly to demonstrate functionality in IORA and discuss/workshop
- Principal Investigators/Faculty
 - MEDSAC, CDC, RPC
 - ORPA-L, Research Connections, PI Event
- Community, Central Offices
 - ORACS, Dean's Office, Finance, HR and other central offices involved throughout



Feedback so far:

"It was great to see the system, it looks very user friendly. I am confident that I could successfully utilize the system."

- Training attendee

"IORA was great – really intuitive, easy to use. Looking forward to the grants module!"



⁻ UR Department Administrator

Thanks to your department administrators who have been great partners in helping to make IORA beneficial to the research community, especially during these challenging times!







Key Changes

Gunta Liders, Associate VP for Research Administration Office of Research and Project Administration



Key Change: No Paper Sign-off Form

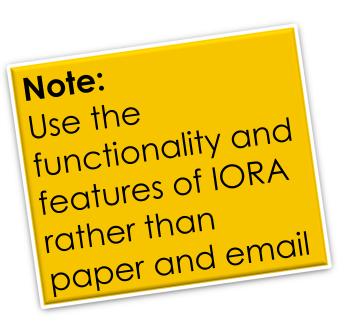
- When comparing IORA to our current processes, think of the smart form questions within IORA as simply replacing our current paper sign-off form. It's the same information (and in some cases, less!), but it will be in IORA
- IORA replaces COEUS and is the source of record for proposals, awards, and agreements





Key Change: Use IORA for Correspondence

- Funding Proposal, Award and Agreement information is in IORA
- IORA will send information via email notifications when your action or awareness is needed
- Use IORA to view and track information rather than paper and email

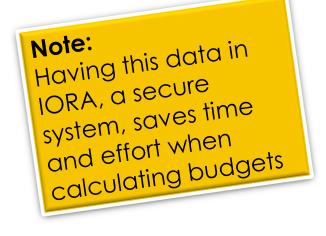




Key Change: Salary Data in IORA

- Leadership agreed to salary and fringe inclusion in IORA for budgeting purposes
- Only CLASP-certified administrators (or minimal number of faculty with no administrative support) will be able to view base salary information
- Notifications will be sent to those who are named on proposals for their awareness

- Working with HR on developing feed for salary and fringe data
- Work with Huron on auditing considerations (abandoned proposals, selecting multiple faculty names, etc.)
- Operationalize the audit process





Key Change: Approvals in IORA

Current State	Decision	Future State
University Proposal Sign- Off Form currently requires up to 8 categories of approvals, dependent upon resource utilization	Leadership agreed that after-the-fact reporting for <u>non-submitting</u> Department Chairs would suffice and agreed that this would be beneficial	Single monthly report of all proposals in the pipeline that utilize resources or their faculty's effort, rather than approving the proposal during sign-off
Note: Notificat will be sent to who are name proposals for t awareness	ed on	



Key Change: Awards & Sub-Awards

- Paper Notice of Award (NOA) is replaced by Award details in IORA
- For sub-awards, answer questions in IORA and upload any supporting documentation (such as a SOW). No longer need to send a set of documents to ORPA to prepare subaward.
- Ability to budget dollars per anticipated need in most cases
- Post-Award communication all in one common place (IORA)

Note: Everything needed to request a Sub-award is in IORA



Reminder: PI Certification Required

PI certification **is required in IORA** in order for ORPA to submit a funding proposal.

The certification is critical as it is the PI's acknowledgement that:

- the PI is not debarred and does not have any conflict of interest,
- the proposal is accurate and truthful
- the proposal is ready to be submitted

PI Certificatio	
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As PI/PD for this s	ubmission, I approve the above endorsements: \Box

Cancel

Technical Reports / Deliverables

- IORA provides the functionality to capture due dates for **Deliverables and Technical Reports**
- We are exploring how to best implement and report on these features

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30 Day Deliverable Due Reminder

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Link:	AWD00000010
Pl:	Peter Chemistry
Title:	KS Test Cost Sharing 1020

The Above Award has the following deliverable recorded:

-Email Produced by IORA Stage/Test Environment

Test Deliverable 2 Name: Due Date: 12/12/2020 Description: test

View the Award for list of Deliverables

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Go-Live Activities

Brenda Kavanaugh, Associate Director, ORPA



Go-Live Activities

- Freeze on new Awards and Award modification mid-December go-live
 - Please send Awards and Award Modifications into ORPA before mid-December or hold until after go-live
 - Freeze does not apply to Proposals only new Awards and Award modifications
 - Proposals will continue to be entered into COEUS until go-live
 - COGNOS data will still be available during this freeze period
- Surveyed senior department administrators (RAMC) for planned proposal submissions in January – March timeframe
- Training: December and January
 - If you will be creating a funding proposal in IORA, you must complete 4 short videos and acknowledge the UR Code of Conduct in MyPath (30 minutes max)
 - Asking that only those who are submitting proposals January March attend live (Zoom) training; more events coming
 - Videos, reference guides are available
 - Visit: <u>https://www.rochester.edu/iora-project/iora-training-grants/</u>
- Use IORA for Funding Proposals, Agreements and IRB beginning January 11

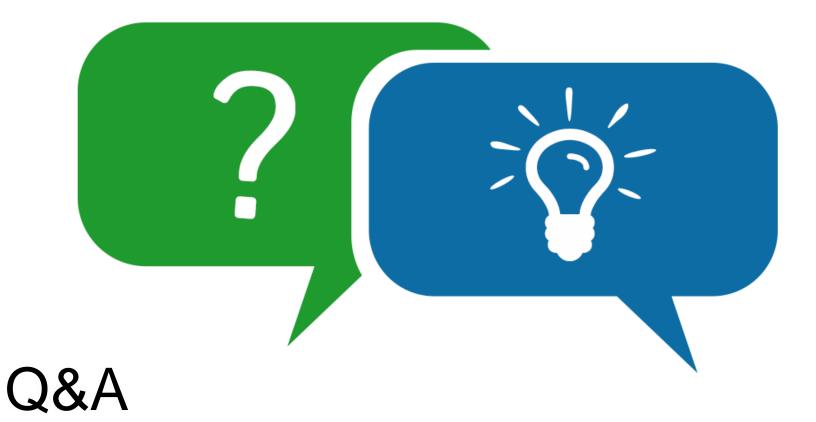
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Demonstration

Anthony Beckman, Associate Director, ORPA Jennifer Carlson, Research Administrator, ORPA











Workflow: Approval Process

Funding Proposal Department Approval

Ancillary Review PI Certification ORPA Review & Validation

Submission

- Departmental approval is required in IORA (could be cost center chief, division chief or center director)
- Separate PI certification is also required in IORA
- Approvers will receive emails from IORA requesting review and action

Note: Though not required, assigning an **alternate approver** in IORA is recommended in case the primary approver is not available.

THES

What if there is only one level of approval in a department? It

is not a requirement to have two levels of approval so the Department Chairs approval will be sufficient unless there is an ancillary review needed (for animal, human, cost share, etc.)

What if the PI is also the Department Chair?

The PI can approve their own proposal, but an additional ancillary review with the Dean's Office is also required.

What if there are multiple divisional levels within a department?

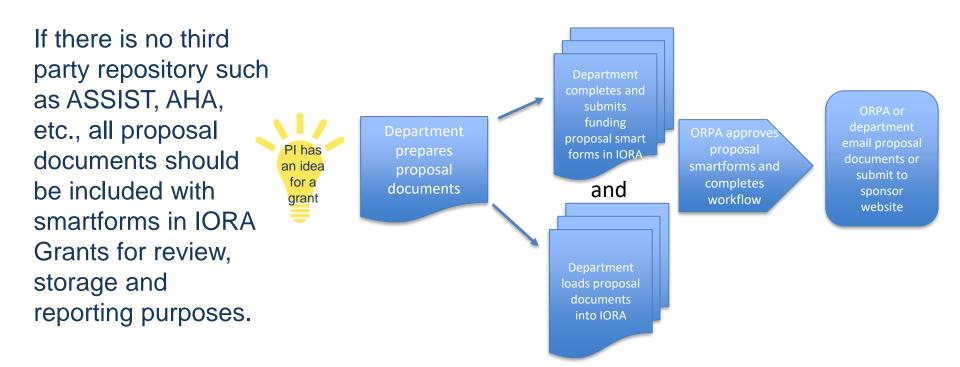
The Level 1 approver could be the cost center chief, division chief, or center director. Level 2 would then be the Department Chair.

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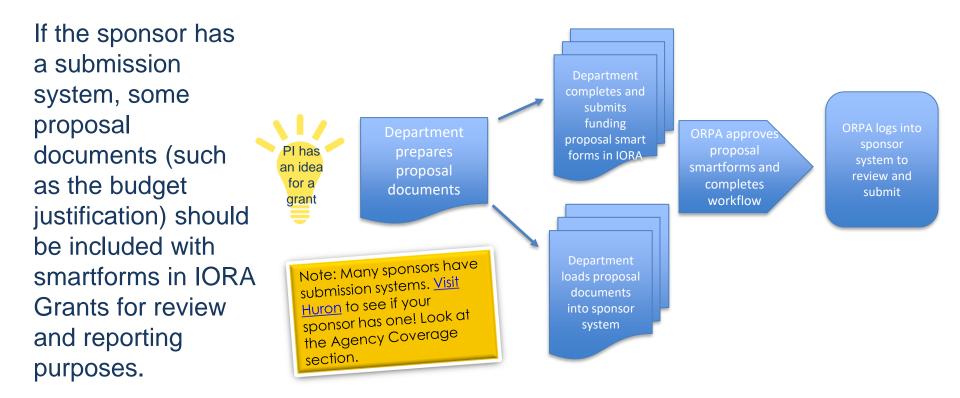
Types of Funding Proposals:

Submission is via email or non-standard system (subawards, small foundation)

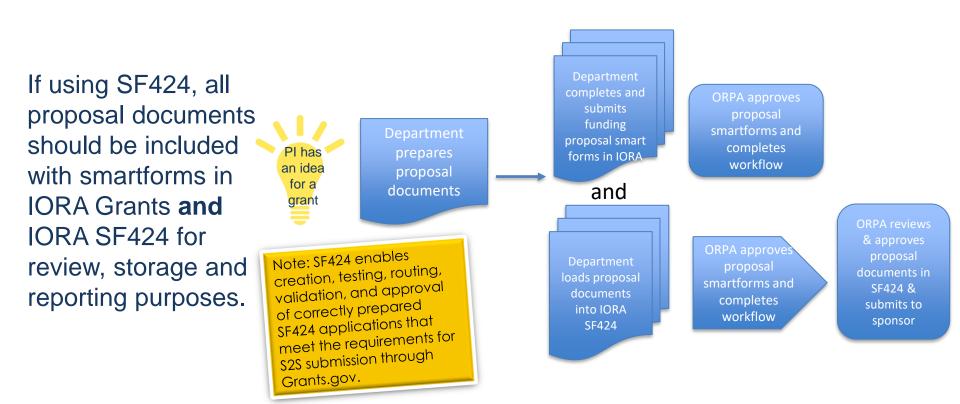


Types of Funding Proposals:

Submission is via sponsor system (NIH ASSIST, NSF, AHA, Proposal Central, etc.)



Types of Funding Proposals: Submission is via IORA System-to-System (S2S) Using SF424



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Agreements

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