Research Administration:
A New Opportunity for Grants Management

PI Open House | November 18, 2020

UNIVERSITY of ROCHESTER

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, right-click 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.

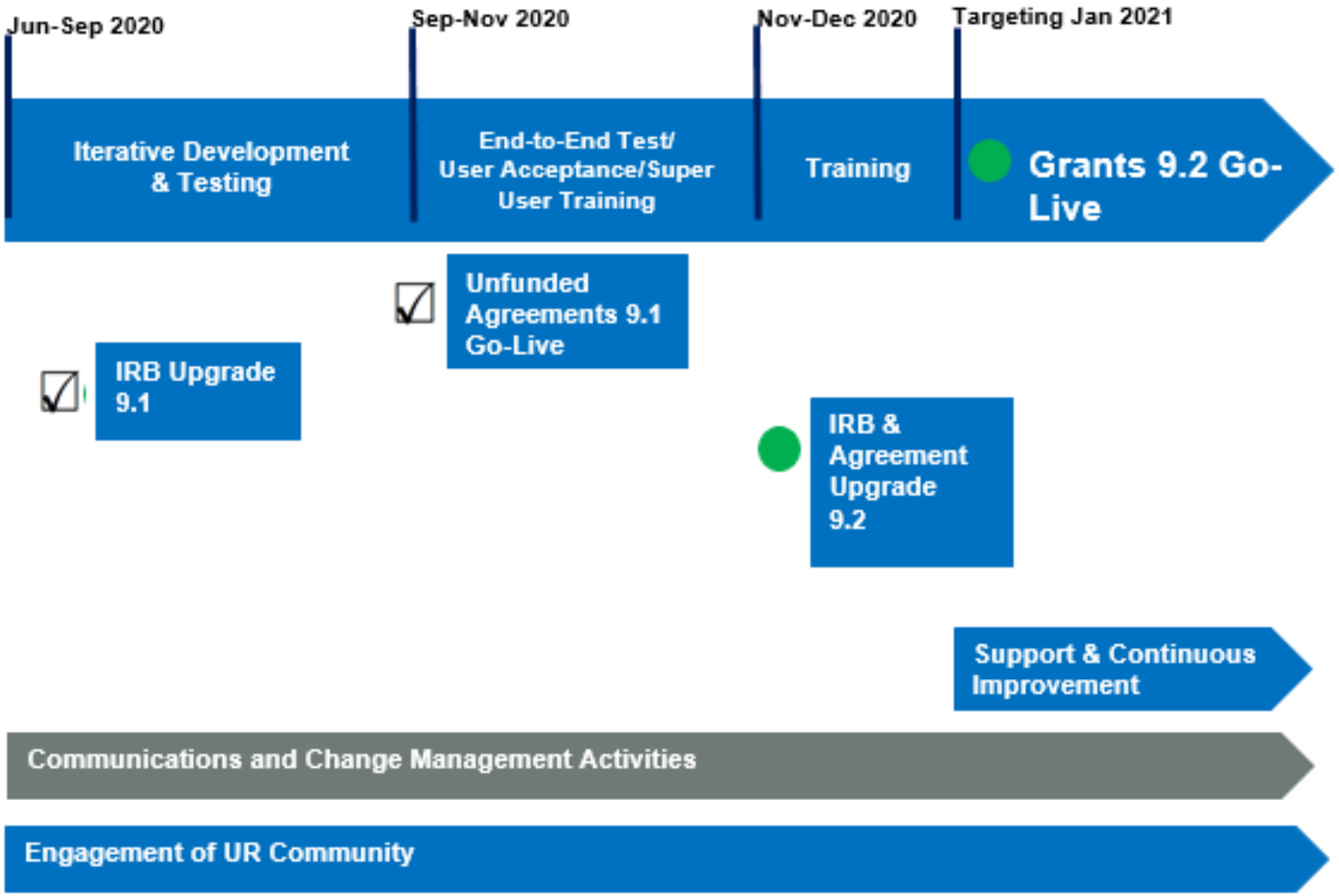
"The environment of a great research university creates great opportunity – not just in the learning itself, but how that learning translates into understanding and action. As president, I will focus on supporting and sustaining research at every level. Because it is through the knowledge derived from 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

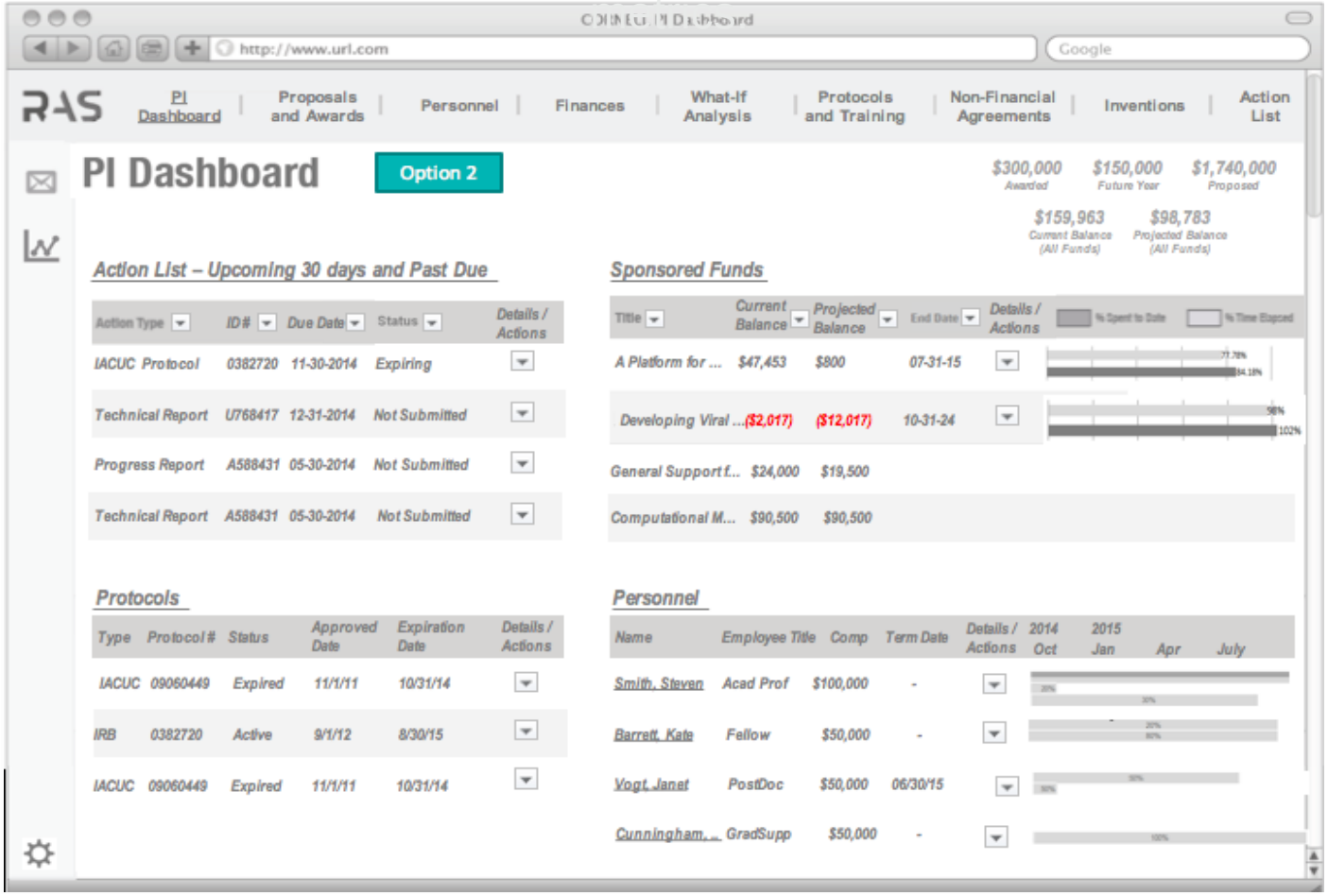
Remarks

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



Sample 1 from Cornell University

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

Reminder: All proposal information must be submitted to ORPA 5 days prior to the deadline!

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

Note:
Use the functionality and features of IORA 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

Note:
Having this data in IORA, a secure system, saves time and effort when calculating budgets

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 non-submitting 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: Notifications will be sent to those who are named on proposals for their awareness

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 sub-award.
- Ability to budget dollars per anticipated need in most cases
- Post-Award communication all in one common place (IORA)

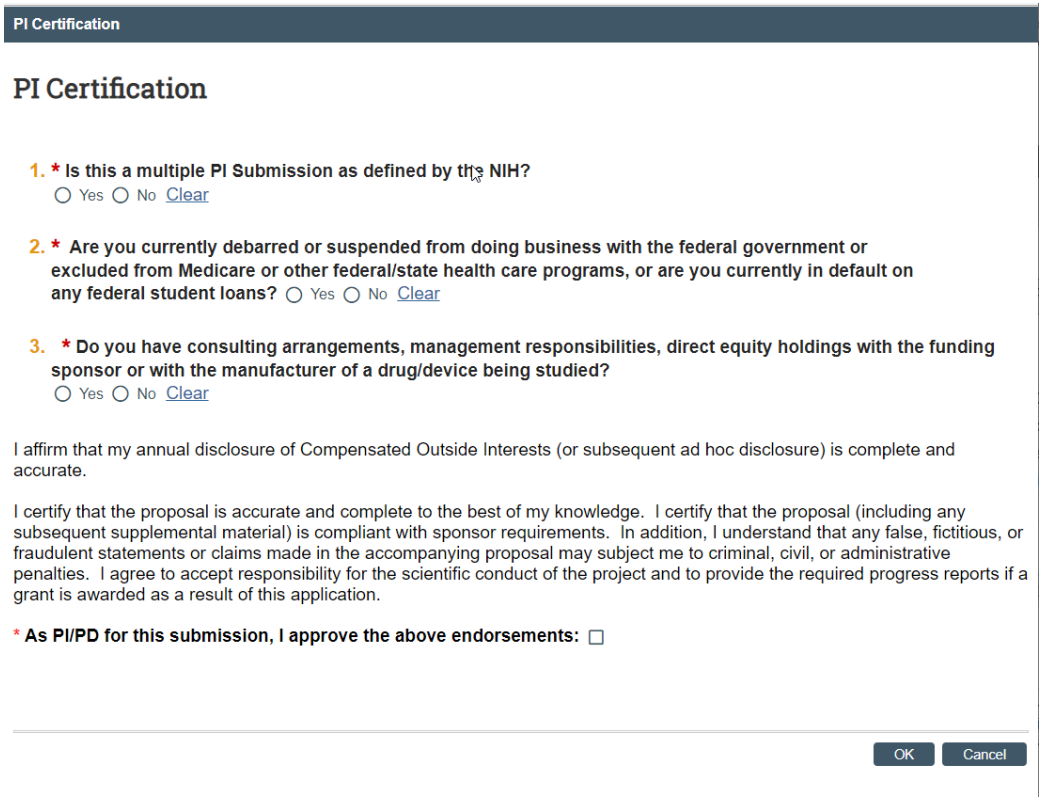
Note:
Everything needed to request a Sub-award is in IORA

Reminder: PI Certification Required

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

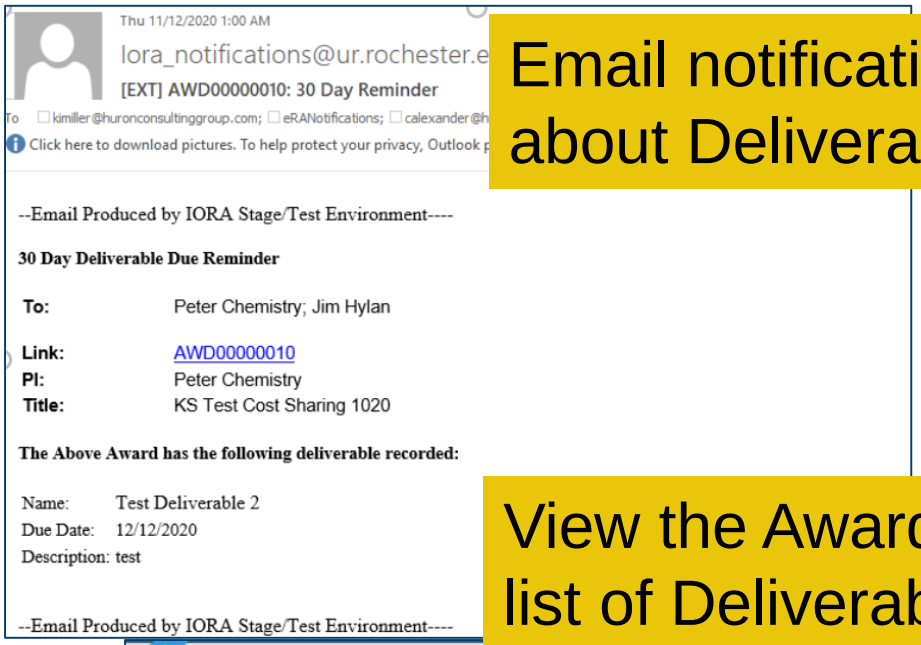
The certification is critical as it is the PI's acknowledgement that:

- 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



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



Thu 11/12/2020 1:00 AM
lora_notifications@ur.rochester.e
[EXT] AWD00000010: 30 Day Reminder
To kimiller@huronconsultinggroup.com; eRANotifications; calexander@h
Click here to download pictures. To help protect your privacy, Outlook p

--Email Produced by IORA Stage/Test Environment----

30 Day Deliverable Due Reminder

To: Peter Chemistry; Jim Hylan

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

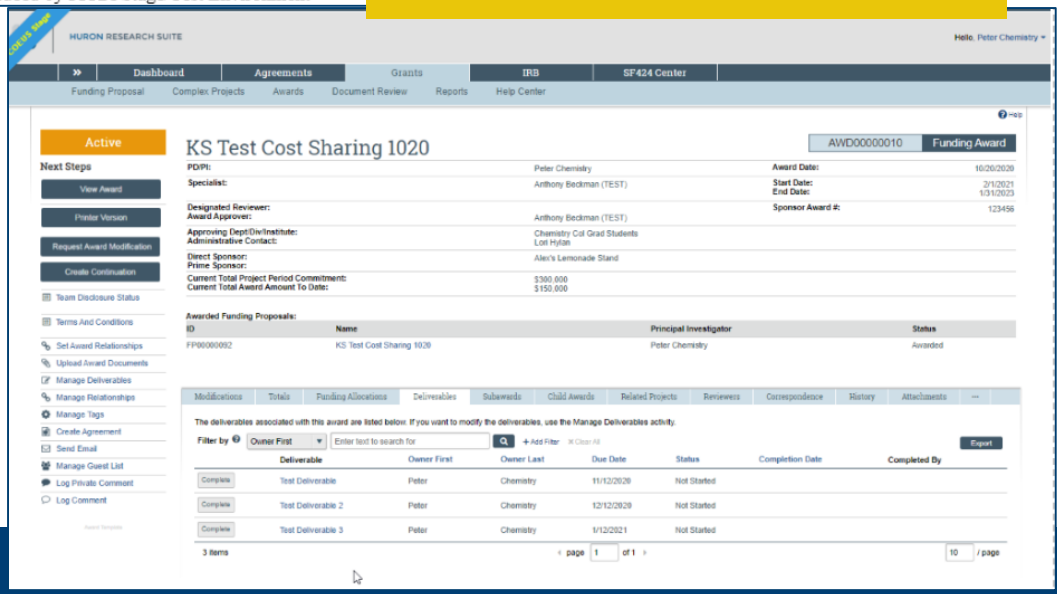
The Above Award has the following deliverable recorded:

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

--Email Produced by IORA Stage/Test Environment----

Email notifications about Deliverables

View the Award for list of Deliverables



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: https://www.rochester.edu/iora-project/iora-training-grants/

- **Use IORA for Funding Proposals, Agreements and IRB beginning January 11**

Demonstration

Anthony Beckman, Associate Director, ORPA

Jennifer Carlson, Research Administrator, ORPA

Q&A

Backup

Workflow: Approval Process

Funding Proposal → Department Approval → Ancillary Review → PI Certification → ORPA Review & Validation → Submission

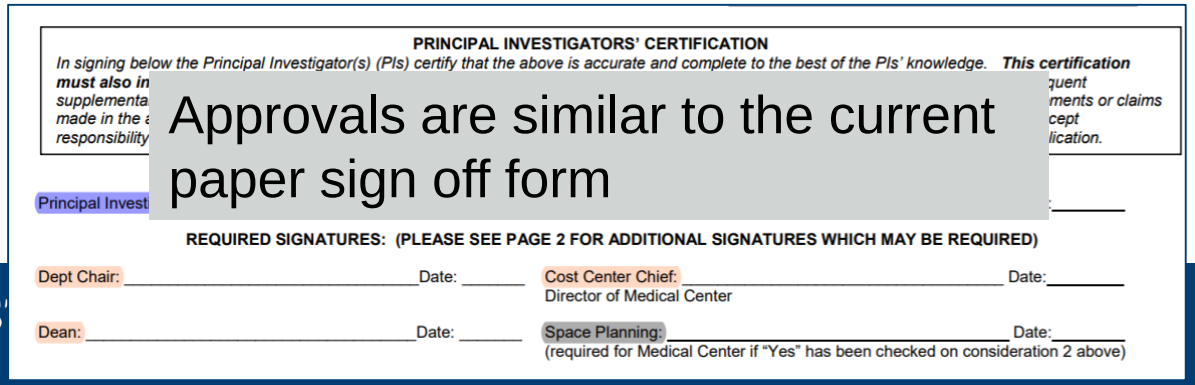
- Departmental approval is required in IORA (could be cost center chief, division chief or center director)
- Separate PI certification is also required in IORA
- Approvers will receive emails from IORA requesting review and action

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

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.


PRINCIPAL INVESTIGATORS' CERTIFICATION

In signing below the Principal Investigator(s) (PIs) certify that the above is accurate and complete to the best of the PIs' knowledge. ***This certification must also in*** *supplementa made in the a responsibility*

quent ments or claims cept lication.

Principal Invest

REQUIRED SIGNATURES: (PLEASE SEE PAGE 2 FOR ADDITIONAL SIGNATURES WHICH MAY BE REQUIRED)

Dept Chair: _____ Date: _____

Cost Center Chief: _____ Date: _____
Director of Medical Center

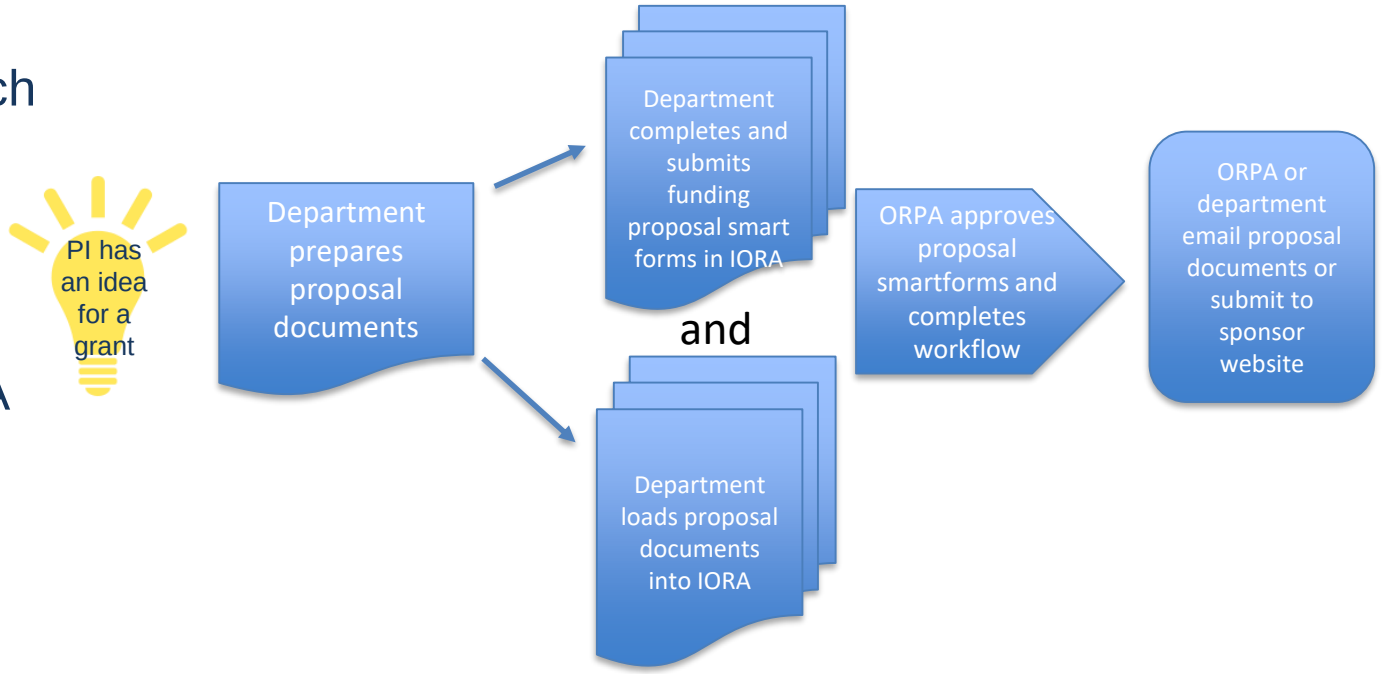
Dean: _____ Date: _____

Space Planning: _____ Date: _____
(required for Medical Center if "Yes" has been checked on consideration 2 above)

Approvals are similar to the current paper sign off form

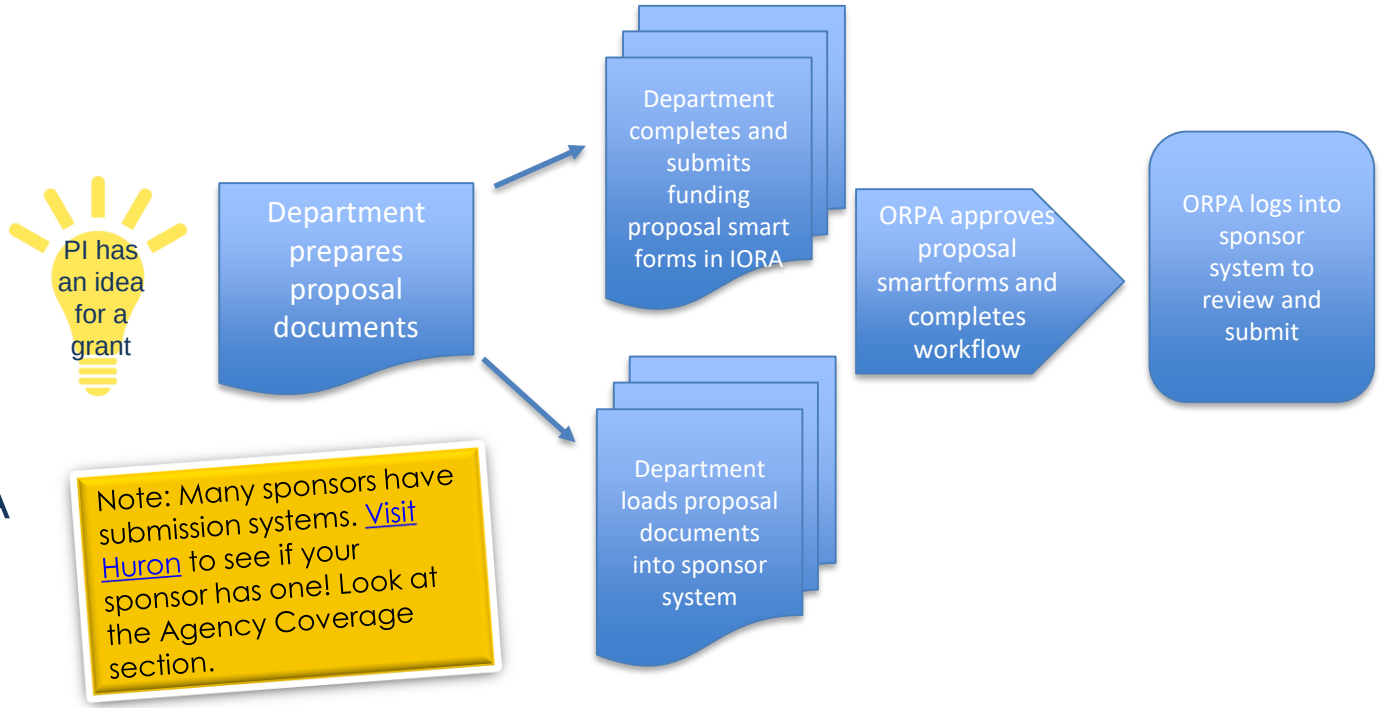
Types of Funding Proposals:
Submission is via email or non-standard system (subawards, small foundation)

If there is no third party repository such as ASSIST, AHA, etc., all proposal documents should be included with smartforms in IORA Grants for review, storage and reporting purposes.



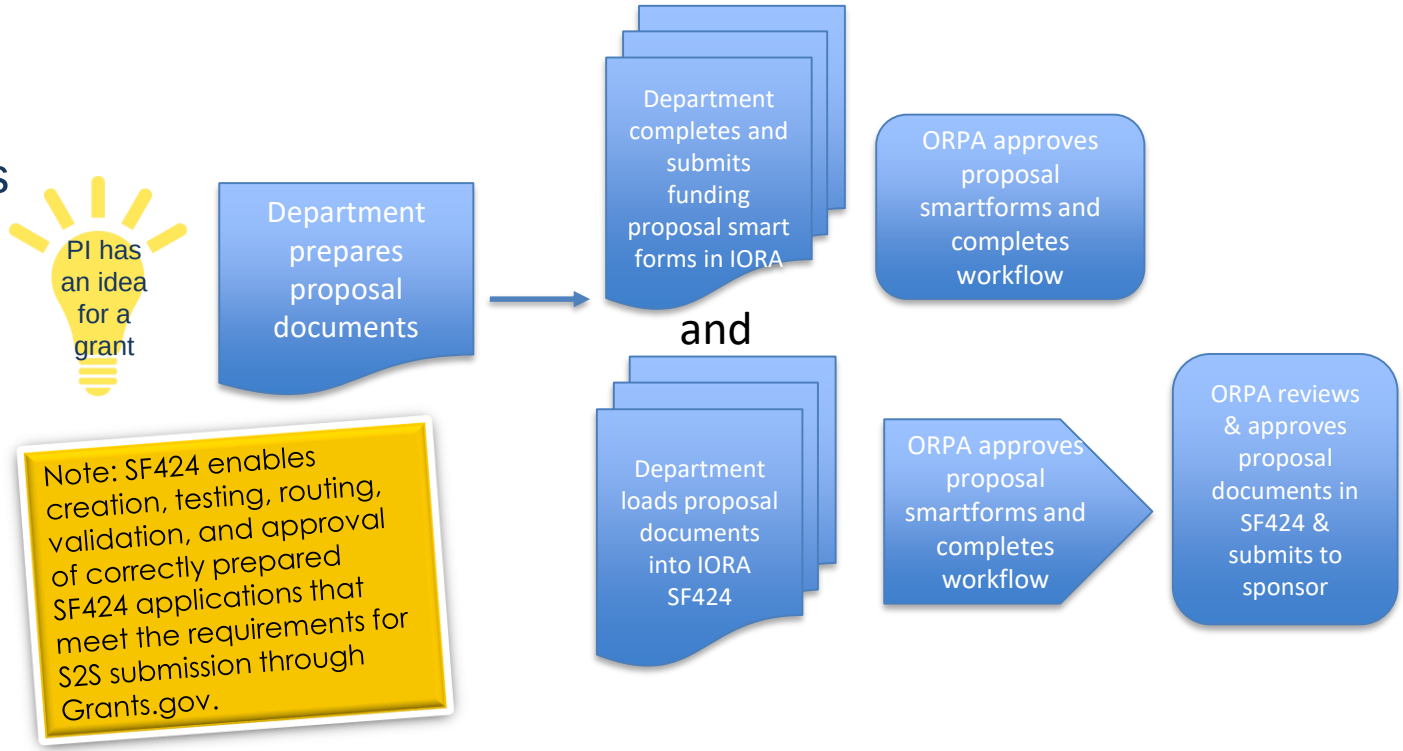
Types of Funding Proposals:
Submission is via sponsor system (NIH ASSIST, NSF, AHA, Proposal Central, etc.)

If the sponsor has a submission system, some proposal documents (such as the budget justification) should be included with smartforms in IORA Grants for review and reporting purposes.

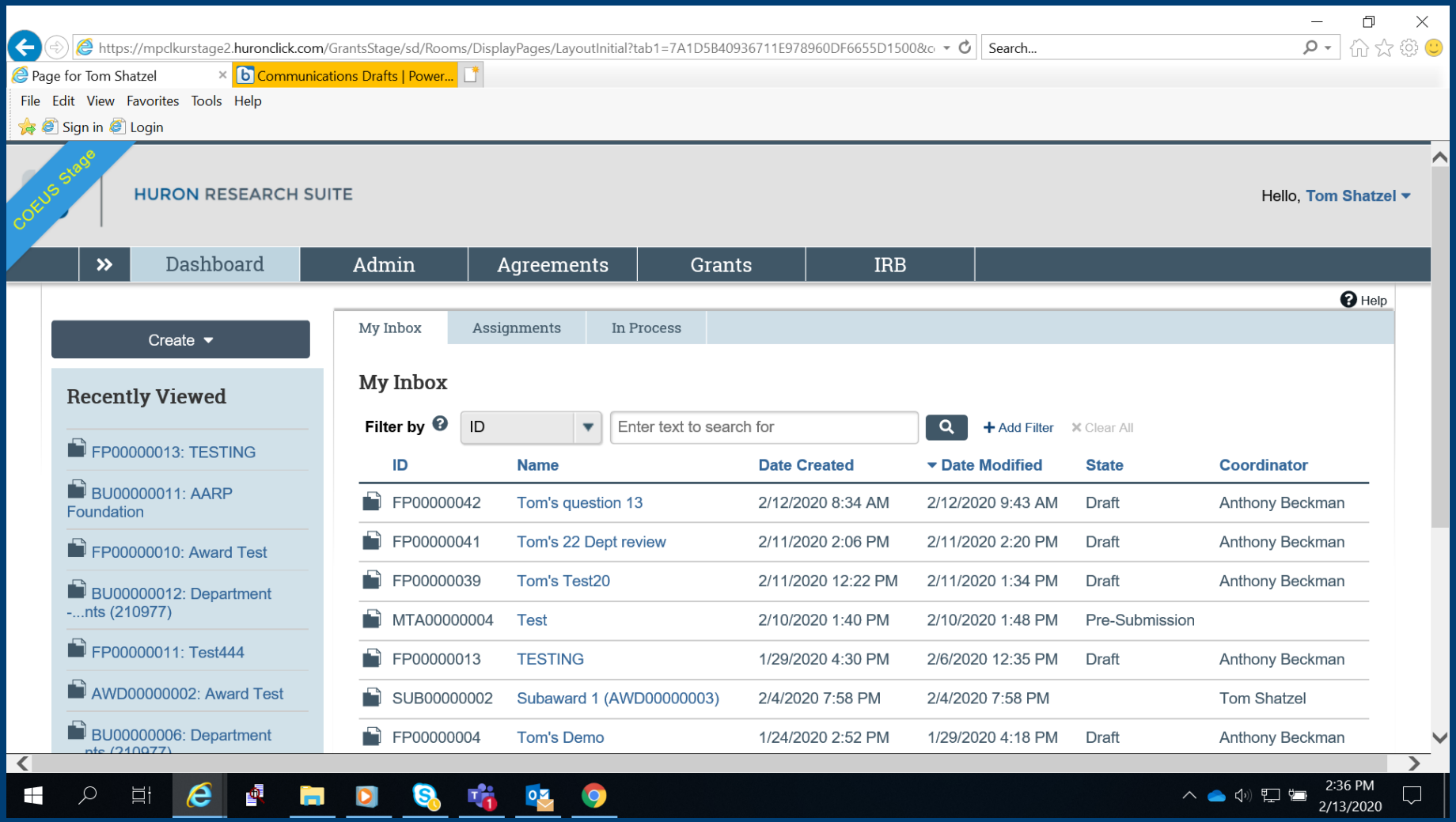


Types of Funding Proposals:
Submission is via IORA System-to-System (S2S) Using SF424

If using SF424, all proposal documents should be included with smartforms in IORA Grants **and** IORA SF424 for review, storage and reporting purposes.



Your Inbox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Search...
Page for Tom Shatzel
Communications Drafts | Power...
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Hello, Tom Shatzel
Dashboard
Admin
Agreements
Grants
IRB
Help
Create
Recently Viewed
FP00000013: TESTING
BU00000011: AARP Foundation
FP00000010: Award Test
BU00000012: Department -...nts (210977)
FP00000011: Test444
AWD00000002: Award Test
BU00000006: Department
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In Process
My Inbox
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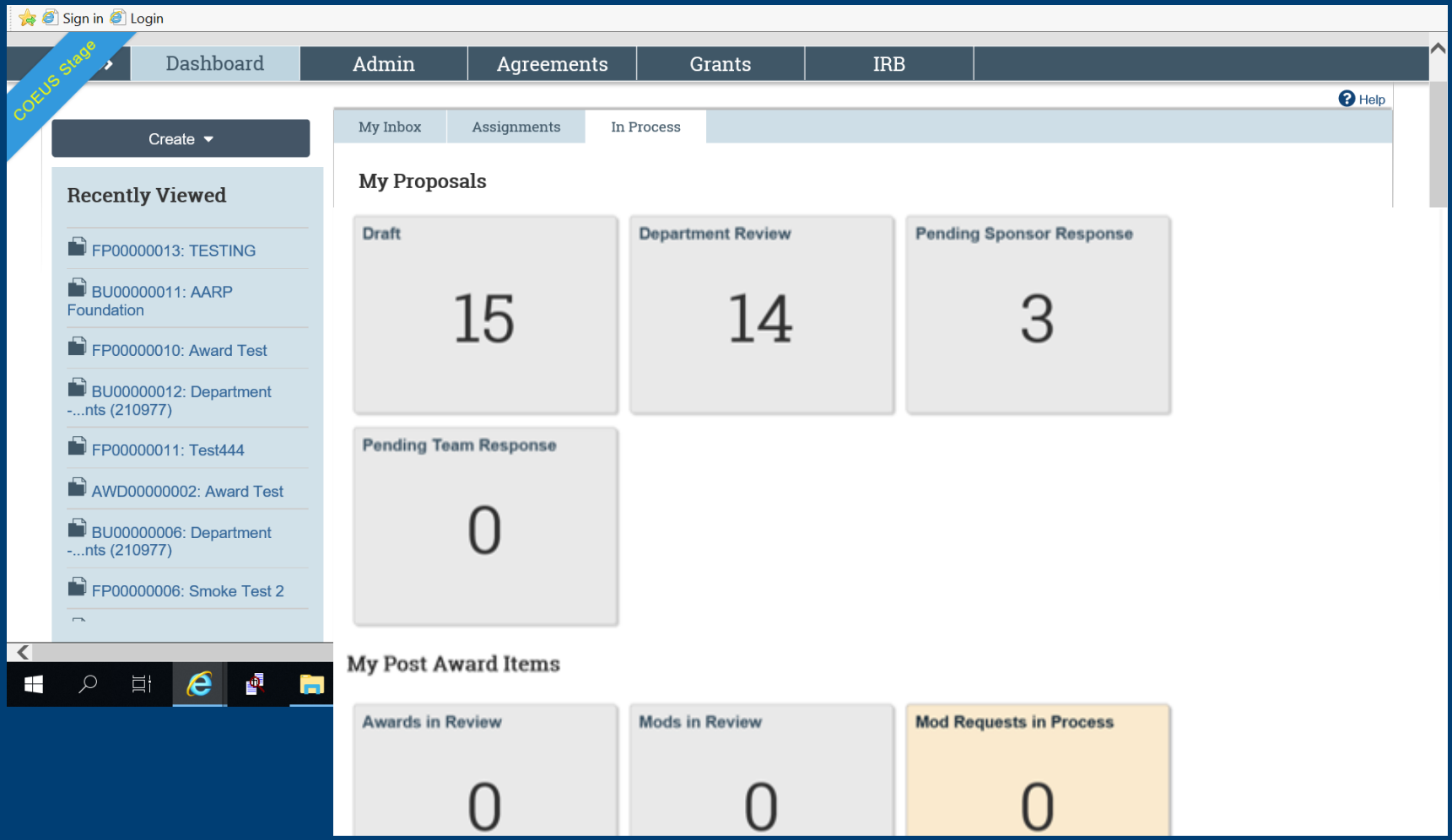
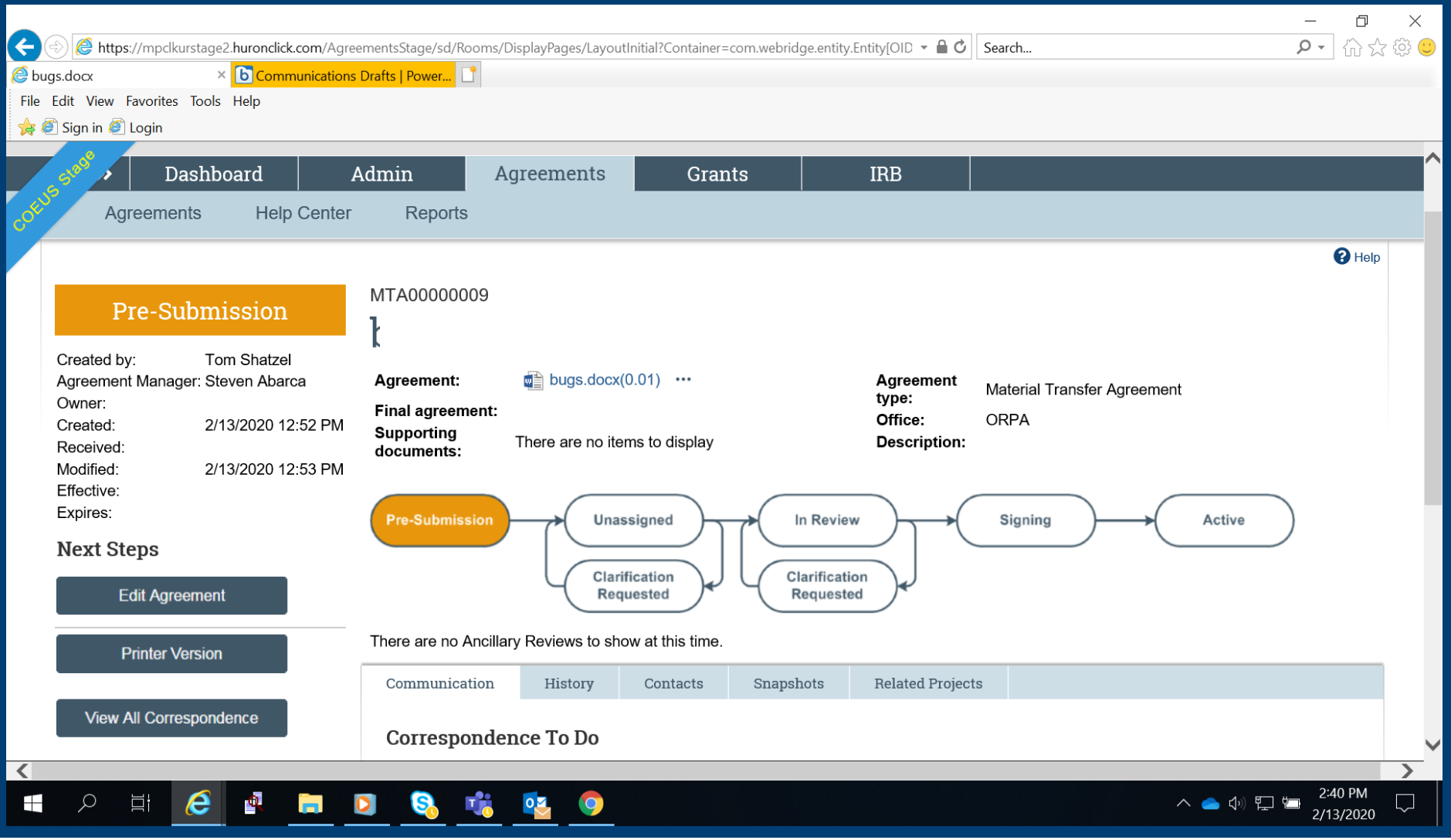
ID
Enter text to search for
+ Add Filter
Clear All
ID
Name
Date Created
Date Modified
State
Coordinator
FP00000042 Tom's question 13 2/12/2020 8:34 AM 2/12/2020 9:43 AM Draft Anthony Beckman
FP00000041 Tom's 22 Dept review 2/11/2020 2:06 PM 2/11/2020 2:20 PM Draft Anthony Beckman
FP00000039 Tom's Test20 2/11/2020 12:22 PM 2/11/2020 1:34 PM Draft Anthony Beckman
MTA00000004 Test 2/10/2020 1:40 PM 2/10/2020 1:48 PM Pre-Submission
FP00000013 TESTING 1/29/2020 4:30 PM 2/6/2020 12:35 PM Draft Anthony Beckman
SUB00000002 Subaward 1 (AWD00000003) 2/4/2020 7:58 PM 2/4/2020 7:58 PM Tom Shatzel
FP00000004 Tom's Demo 1/24/2020 2:52 PM 1/29/2020 4:18 PM Draft Anthony Beckman
2:36 PM
2/13/2020

Your Dashboard



Agreements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Reports
Help
Pre-Submission
Created by: Tom Shatzel
Agreement Manager: Steven Abarca
Owner:
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Effective:
Expires:
Next Steps
Edit Agreement
Printer Version
View All Correspondence
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Agreement: bugs.docx(0.01)
Final agreement:
Supporting documents: There are no items to display
Agreement type: Material Transfer Agreement
Office: ORPA
Description:
Pre-Submission
Unassigned
In Review
Signing
Active
Clarification Requested
Clarification Requested
There are no Ancillary Reviews to show at this time.
Communication
History
Contacts
Snapshots
Related Projects
Correspondence To Do
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