

I-Team: Research Management

May 31, 2018

3Q PROGRESS REPORT

During the period January 2018 - March 31, 2018, the I-Team focused on its short-term mandates. As delineated below, the team moved forward on the two identified research management application/tools: Priority One (RF) and ePAWS; drafted research compliance personnel job descriptions, developed a research administration & management roles/responsibility matrix; as well as communicating regularly with stakeholders, particularly faculty.

I. Tools & Resources

- Implementing Priority One BA software, which will replace cumbersome spreadsheets currently used to monitor the financial status of grants. The software also has projection capability which will enable grants administrators to more effectively manage their grants. User acceptance testing is currently underway and will occur through mid-June. Training sessions with the full user group are underway and user defined reports are under development with the software company. Deployment is on track for late June.
- Conducting the Discovery Phase for the expanded electronic Proposal Award Workflow System (ePAWS) Phase 1, which concluded successfully in March 2018, and drafting the Master Services Agreement/Scope of Work with EPAM Solutions, Inc. for Phase 1 of the ePAWS software application. Discovery Phase also allowed the University to incorporate dovetail applications, Agreement Contract Tracker (ACT) and an electronic Conflicts Disclosure (eCD) in Phase 1's SoW (Updates and feedback opportunities for the ePAWS product are available on line at: <http://www.northeastern.edu/research/raf/2018/02/epaws-feedback/>.) Requirements gathering by the University's ITS Business Manager and Business Analyst working in conjunction with Research Finance commenced, this information will be used to scope Phase 2 of the ePAWS project. See Appendix A
- Processing job requests for the Director, Research Integrity Education & Training and Award Acceptance/RC Coordinator (funding provided by discretionary SVPR funds). Note: these requests were denied and will be re-processed contingent on availability of FY19 new initiative funding.

II. Communication - Stakeholder & Faculty Engagement

- Art Kramer, who leads the I-Team, conducted several information sessions, including Town Halls for faculty, in January 2018. The I-Team also engaged in regular communication with faculty representatives on the Faculty Senate Research and ITS subcommittees.

- *RA eNews & Notes* published a brief overview of the I-Team in the Winter (January 2018) issue. On January 19, 2018, the I-Team conducted a live survey event for college administrators that identified opportunities for process improvements and further training in managing research awards. College research administrators are also routinely provided updates about I-Team initiatives via the ADR meetings and RA hosted Lunch & Learn sessions.
- The I-Team drafted a detailed roles and responsibilities matrix (by research administration, finance, compliance functional actions) and solicited input from College administrators.

III. Retiring the I-Team and Future Recommendations

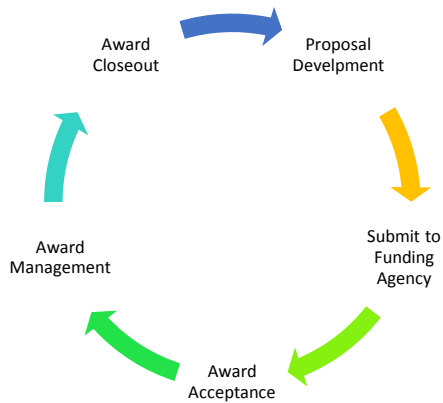
The I-Team is pleased that its concerted efforts have resulted in substantial progress towards its immediate mandate to improve efficiency and transparency in the management of research. Looking forward, the I-Team will draft recommendations for long-term initiatives that are integral to a first-class research support infrastructure; with the recommendation that these be tasked to qualified working groups. Our recommendations will focus on the following areas:

- A Strategic Plan for Research Management;
- Funding Models to Support a University-wide, Optimal Research Infrastructure;
- Organizational Models: Central/College/Shared Research Management Services; and
- Administrator's Professional Development & Certification Curriculum; Training Programs for Investigators.

ePAWS Phase I

electronic Proposal Award Workflow System

Phase I of the ePAWS software application project will replace the current Coeus proposal/award database, enhance the current ePAWS routing form and automate the submission and review process for non-financial transactions that require institutional approval.



- **Role-based Dashboards**
- **Automated Workflows**
- **Virtual File Cabinet**
- **Integrated Training/Tool Tips**
- **Email Notifications**
- **Standard & Ad Hoc Reports**

- **Agreement & Contract Negotiation Tracker and Terms & Conditions Checklist**
- *Enhanced routing, Institutional Approvals, Faculty Certifications & Assurances*
- **Proposal Budget Templates**
- **JIT (IRB/IACUC/Other Research Support)**
- **Award Obligation Acceptance/Account Setup**
- **Verification of relevant Regulatory Compliance Issues (fCOI, RCR, Export Controls, etc.)**
- **Advance/At-Risk Accounts**
- **Rebudgeting Requests**
- **Carryover Requests**
- **No-Cost Extensions**
- **Misc.: University Prior Approvals (e.g., Relinquishing Statements)**
- **Subaward Checklists & Templates, Invoice Review/Approval**
- **Reporting Triggers**
- **Close-Outs**
- **fCOI Reporting**
- **Standard and Ad-Hoc Reports**
- **Onboarding Questionnaire/Transfers**
- **At-A-Glance and Insight (KPIs) reports for central and college administration**

January 2018 →
Contract w/Developer

March 2018 →
Discovery/Development/Programming

September 2018 →
Pilot

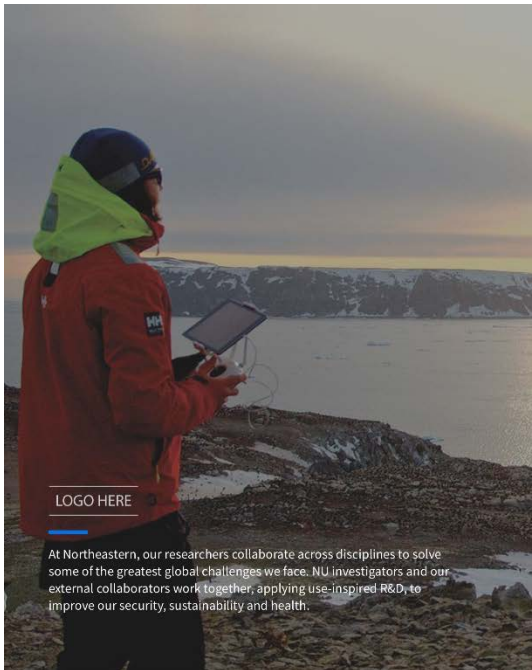
December 2018
Production Version

ePAWS Phase I

electronic Proposal Award Workflow System

Milestones (as of May 2018)

- ✓ **December 2017** Funding Authorization
- ✓ **January 2018** EPAM's Letter of Agreement for Discovery approved by NU OGC; edits w/EPAM's contract team; binder prep, identify stakeholders (RA, RF, CRI, OGC, College Associate Deans for Administration, Finance, Research and administrators; IRB/IACUC/IBC/fCOI/COI)/; EPAM recommends Microsoft.NET; ITS recruiting NU PM/BA.
- ✓ **February 2018** NU signs Discovery Phase contract with EPAM, engagement starts 2/19/18; EPAM team on site late February/early March; Outreach to internal stakeholders.
- ✓ **March 2018 Discovery Phase:**
 - Background Review (off-site)
 - 2-week On-Site (EPAM PM/Technical Lead and BA)
- ✓ **April 2018 Master Services Agreement & Scope of Work - Negotiated**
- ✓ **May 2018 Contract Executed and Development Begins**



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ePAWS Phase II

electronic Proposal Award Workflow System

In April 2018, ITS dedicated resources (Project Manager and Business Analyst) began working with Research Finance to define Phase II requirements. It is anticipated that discussions with EPAM regarding the Phase II build will be conducted after Phase I's Pilot (early Fall 2018).

