

Thomas Jefferson University

Research Administration Center of Excellence

May Town Hall

May 19th and 21st 2014

For Discussion Purposes Only

Agenda



- **ORA and RACE Role Differentiation**
- **RACE Business Processes: Roles and Responsibilities**
- **RACE and Clinical Operations**
- **Service Level Agreements**
- **Transition Plan**
- **Project Timeline**

ORA & RACE Role Differentiation



How will the responsibilities managed through RACE differ from those in ORA?

ORA/SPAO

- **Compliance:**
 - OMB A-133 Audit coordination
 - Subrecipient Monitoring
 - Federal Financial Reporting
 - Effort Reporting Monitoring
 - Invoicing/AR Monitoring for non-deliverable based invoices
- **Initial Draft of Coverage Analyses**
- **Contract Execution**
- **Expense/Cost Transfer Approvals (Over a certain \$ threshold)**
- **Proposal Submission**

RACE

- **Assistance in Identifying Funding Opportunities**
- **Proposal Development**
- **Sponsored Account Management:**
 - Monthly Account Reconciliation
 - Annual Budget Input (sponsored awards active and projected data)
 - Initiate Cost Transfers on Sponsored Projects
 - Review Effort Reports with PIs
 - Invoicing/AR Monitoring for deliverable based invoices
 - Salary/Expense Approvals
 - Account closeout

Pre-Award Business Processes

Roles and Responsibilities



Process	RACE Responsibilities	Department Responsibilities
Identifying Funding Opportunities	<ul style="list-style-type: none"> • Meets with PI in order to gauge interest in Funding Opportunity Announcements • Collects and distributes targeted funding opportunities from all sources to PIs • Schedules kickoff meeting to initiate proposal development, once PI verifies interest • Confirm approval of Senior Administrator 	PI makes final decision on whether or not to pursue (in coordination with Dept. Chair and scientific priorities)
Proposal Development	<ul style="list-style-type: none"> • Manages Cayuse/ePTF Checklist • Develops budget/budget justification • Complies all administrative components of proposal • Contacts proposed subcontractors to gather required proposal components • Drafts Letter of Intent, if applicable 	Approves cost sharing
Proposal Review and Submission	<ul style="list-style-type: none"> • Completes, reviews, and routes proposal for approval 	Approves proposal

Pre-Award Business Processes

Roles and Responsibilities Continued



Process	RACE Responsibilities	Department Responsibilities
Progress Reports	<ul style="list-style-type: none"> • Completes all administrative questions for PI and inputs information into sponsor required format • Facilitates gathering sponsor required documentation (e.g. Other Support forms) • Completes ePTF and routes for approval 	Approve ePTF for submission
Just In Time Materials	<ul style="list-style-type: none"> • Facilitates completion and collection of updated budget and other support documentation • Facilitates collection of all regulatory approvals • Coordinates submission of materials to ORA/Sponsor 	N/A
Award Acceptance	<ul style="list-style-type: none"> • Reviews award document and budget with PI and Senior Administrator (as applicable) • Contacts Subrecipient to request updated budget (as applicable) • Facilitates collection of all regulatory approvals (if not already completed at JIT) 	Provide input on budget, as necessary

Pre-Award Business Processes

Roles and Responsibilities Continued



Process	RACE Responsibilities	Department Responsibilities
Award Modifications	<ul style="list-style-type: none">• Identifies need for award modification that requires ORA or Sponsor prior approval• Completes internally required forms (e.g. UPAS, ePTF)• In collaboration with PI, drafts letter of request to the Sponsor (if applicable)• Forwards required forms to ORA for review, if applicable	Approval of UPAS (for advance accounts, pre-award costs and cost sharing)

Post-Award Business Processes Roles and Responsibilities



Process	RACE Responsibilities	Department Responsibilities
Monthly Budget Reconciliation	<ul style="list-style-type: none"> • Monitors spend patterns on sponsored accounts by reviewing data from the general ledger on a monthly basis and updating PI on balance and burn rate • Documents data into RACE internal spreadsheet in order to make accurate projections for each grant and PI • Submits Cost Transfers for unallowable expenses 	Manage non-sponsored department accounts
Annual Budget Management	<ul style="list-style-type: none"> • Compiles financial information from current and pending grants in order to accurately project out for the current and upcoming fiscal year (in consultation with PI) • Meets with Sr. Administrator to review grant budget information 	Incorporates information from RACE into annual department budget (including Hyperion data entry)
Salary Distribution	<ul style="list-style-type: none"> • Completes OSD (Online Salary Distribution) Form for salary on 080/081 accounts • Obtains approval for salary distribution 	<ul style="list-style-type: none"> • Approves OSD • Initiates PAR/PAF/SFAR Forms

Post-Award Business Processes

Roles and Responsibilities Continued



Process	RACE Responsibilities	Department Responsibilities
Effort Reporting	<ul style="list-style-type: none"> • Reviews effort reports for accuracy • Notifies the certifier when the effort reports are ready for certification 	Certifies effort reports in compliance with federal and TJU regulations
Interim Financial Reporting	<ul style="list-style-type: none"> • Reviews financial report for accuracy • Verifies carryforward amount 	N/A
Cost Transfers	<ul style="list-style-type: none"> • Reviews expenses on sponsored accounts on a monthly basis and identifies expenses that must be transferred in accordance with the Sponsor, ORA and TJU policies. • Prepares Cost Transfer form and completes > 90 day justification, if necessary • Routes Cost Transfer form for approval 	<ul style="list-style-type: none"> • Receives cost transfers that credit Department accounts for information purposes only • Approves cost transfers that debit Department accounts

Post-Award Business Processes

Roles and Responsibilities Continued



Process	RACE Responsibilities	Department Responsibilities
Closeout	<ul style="list-style-type: none"> • Confirms grant closing • Notifies all authorized purchasers that account is ending • Reviews purchasing commitments • Review reoccurring charges and ensures cancellation for subsequent month • Follow-up on final invoice from subcontractors, consultants and other vendors 	Processes termination paperwork as necessary
Subrecipient Invoicing	<ul style="list-style-type: none"> • Reviews invoices according to the Subrecipient Invoice Review checklist • Once approved, routes to PI for approval and AP for payment • Monitors accounts to ensure payment is posted 	PI approves invoice for payment and completes quarterly certification

What about Purchasing?

Our goal as part of RACE is to expedite the purchasing process. We are working on a final solution and will report the details of this solution at the June Town Hall meetings on 6/10 and 6/12.

RACE and Clinical Operations



How is RACE incorporating clinical research operations?

RACE will support some basic business operations for clinical trials (e.g. budget development, account reconciliation, account closeouts). The specifics of each business process is being developed by the Clinical Operations Working Group that will begin meeting on 5/20. We will have detailed roles and responsibilities to share at our June Town Hall meetings.

Phased Implementation

Which departments will be in each phase of RACE?

Phase 1: August 1 st Implementation	Phase 2: October 1 st Implementation
Computational Medicine	Anesthesiology
Dermatology	Center for Integrative Medicine
Family & Community Medicine	Emergency Medicine
Health Professions	Farber Institute and Neuroscience
Kimmel Cancer Center	Hospital Grants**
Cancer Biology	JSPH
Medical Oncology	Microbiology and Immunology
Medicine	Biochemistry and Molecular Biology
Nursing	Molecular Pharmacology and Biostatistics
Pathology, Anatomy and Cell Biology	Neurology
Pharmacy	Neurosurgery
Physiology	OBGYN
Radiation Oncology	Orthopaedic Surgery
	Otolaryngology
	Pediatrics
	Psychiatry
	Radiology
	Rehabilitation Medicine
	Surgery
	Urology

** Hospital Grants will be in phase 2, with the exception of those being managed by Family & Community Medicine

Transition Plan

Meeting Timeframe	Meeting Purpose	RACE Participants	Other TJU Participants
June	<ul style="list-style-type: none">Review Service Level Agreement and Performance Metrics	<ul style="list-style-type: none">RACE DirectorRACE Team Lead	<ul style="list-style-type: none">Department Senior Administrator
July	<ul style="list-style-type: none">Transition Active/Pending Awards to the Team LeadDiscuss all files with the Grants Administrator	<ul style="list-style-type: none">RACE Team LeadRACE Grants Administrator	<ul style="list-style-type: none">Department Grant Administrator

June and July Proposal Submission cycles will not be effected by RACE. Department grant administrators will provide support until the August 1st RACE Go Live for Phase I departments and until the October 1st RACE Go Live for Phase II departments.

Service Level Agreement



What is the Service Level Agreement?

There will be a contractual understanding between the personnel in RACE and the personnel in the departments regarding the level of support provided to faculty as well as the level of communication the department can expect. Each Service Level Agreement will include:

- RACE mission, guiding principles, goals, structure
- RACE hours of operation, expectations for response (e.g. timeliness), and a detailed list of services provided by RACE
- Performance measures to track effectiveness
- Escalation procedures for when expectations are not met
- Roles and responsibilities matrix for both pre-award and post-award services

The Service Level Agreement will be reviewed and discussed between the RACE Director, the Sr. Administrator and the Dept. Chair in June for Phase I departments.

Project Timeline

Key Dates



What is the timeline for the implementation of RACE?

Milestone	Target Date(s)
RACE Working Group Meetings (including clinical)	March 19 – June 6
Director Interviews Completed	May 14
Team Lead Positions Posted	April 21
Interview Team Lead Candidates	May 15 - May 20
Scientific Writer Position Posted	April 21
Grants Administrator Positions Posted	May 23
June Town Hall Meetings	June 10 and June 12
Training Kick-Off	Early July
RACE Phase I Teams Go-Live	Early August
RACE Phase II Teams Go-Live	Early October



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