



UFIRST

University of Florida Integrated Research Support Tool

Business Process Definition Project Charter

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Change History

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Document Acceptance

| Name | Signature |
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| David Norton, Vice President for Research | |
| Elias Eldayrie, Chief Information Officer | |
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Executive Summary

Vision

The Office of Research is leading a major project to review and significantly improve the way this office and other central university resources perform and support the business of sponsored research administration across the entire campus. The vision behind this effort is to provide faculty and staff with coordinated and enhanced support in the business of securing and managing sponsored projects. This effort seeks to identify and replace business practices that are inefficient and ineffective. The objective will be to improve systems and processes, as well as assign resources to important and supportive functions.

The ultimate goal is to create a new integrated system, designated as the University of Florida Integrated Research Support Tool (UFIRST), that will redefine research administration processes throughout the proposal and award lifecycle at the University of Florida to efficiently and compliantly route proposals and related documents, collect information, present information to stakeholders for approval, and provide user-friendly systems for tracking and reporting pertinent information.

To fulfill this goal, we have enlisted the assistance of 15 research administrative staff from throughout campus to serve as representatives of and liaisons to their units. Their input and feedback will support us in developing process improvements and system requirements that meet the business needs of units both large and small. By the end of the summer, this team will have laid the groundwork for the Office of Research to begin to identify systems or tools that will best facilitate this strategic vision.

Strategic Business Drivers

Increase in Compliance requirements

Increases in administrative burdens to meet federal and state requirements in support of research require increasingly integrated systems. No longer acceptable is requiring users to know all sponsor and regulatory triggers for compliance. Users should be presented in a single, login-based platform providing point in time information and alerts in support of their entire research portfolio.

Changing support models

Decreasing federal funds and increasing competition are driving changes in funding models to crowdsourcing or increased reliance on inter-disciplinary and inter-institutional collaboration. These changes require administrative systems that are more dynamic and supportive of configurable approvals and inquiries. Faculty and staff must be free to concentrate on research outcomes rather than learning administrative transaction systems. The tools must be integrated to service the portal model presentation of information delivered through web based self-service.

New technology

The business environment and fundamental needs of higher education have changed in the last fifteen years, and the University of Florida has not kept pace with these changes. New systems are designed to be more nimble and extensible, to better meet the dynamic demands of faculty, staff, and sponsors. These systems are also designed to support a move from transaction focused services to self-service access to real-time data and increased automation and dynamism in workflow. In the years since the current University of Florida systems were implemented, both the functionality and technology of software systems have dramatically improved.

Project Objectives

The ultimate goal is to outline processes that most efficiently and compliantly route proposals and related documents, collect information, present information to stakeholders who must provide approval, and allow for tracking and reporting. The overall business review and subsequent technology necessary to implement must ultimately result in:

- Identification and application of best practices through stakeholder engagement to facilitate time savings and create capacity for growth.
 - Increased ease to collect accurate data that can be used for strategic research resource allocation and for identification of compliance requirements and risk mitigation.
 - Dynamic workflow capabilities will ensure only appropriate approvals are requested when needed. Each research project must be treated as unique in both collection of approvals and inquiries to the investigator.
- Intuitive web-based self-service application that is configured to facilitate best practices. Like Amazon.com, a broader user base need not be trained to be effective in using intuitive technology. This single, secure, unified portal must be accessible from anywhere to serve as a common, integrated and personalized starting point to all research services, communications, and business intelligent reporting needs.
- Business intelligence tools to facilitate dashboard and point in time access to critical information. Additional reporting needs facilitated through user friendly reporting, extraction and analysis tools.
- Improved integration and interfaces with other systems, specifically compliance.
- Optimized use of advanced technology with the understanding that meeting needs years in to the future must be considered now.

Ensuring the above objectives are met, the University should see improvements in process flows, information availability and research administration capacity. These improvements would be measured in terms of: decreased review time for proposal routing, decreased award and project set up time, decrease in the number of separate research administration forms, decrease in the time allocated to proposal and award processing and an increase in time spent managing those awards and projects.

Preliminary Timeline

June 2013

- Define project team and project governance structure
- Complete Executive Summary and Charter including Communication Plan and Scope
- Schedule demos, requirements sessions, steering meetings, advisor sessions & town hall forums
- Create Agendas for requirement sessions
- Create faculty survey

July-August 2013

- Hold peer walk through/demos
- Hold requirement sessions
- Finalize proposed revised business processes

September –October 2013

- Executive Sponsor approval of processes

- Perform PeopleSoft fit gap
- Determine process implementation plan

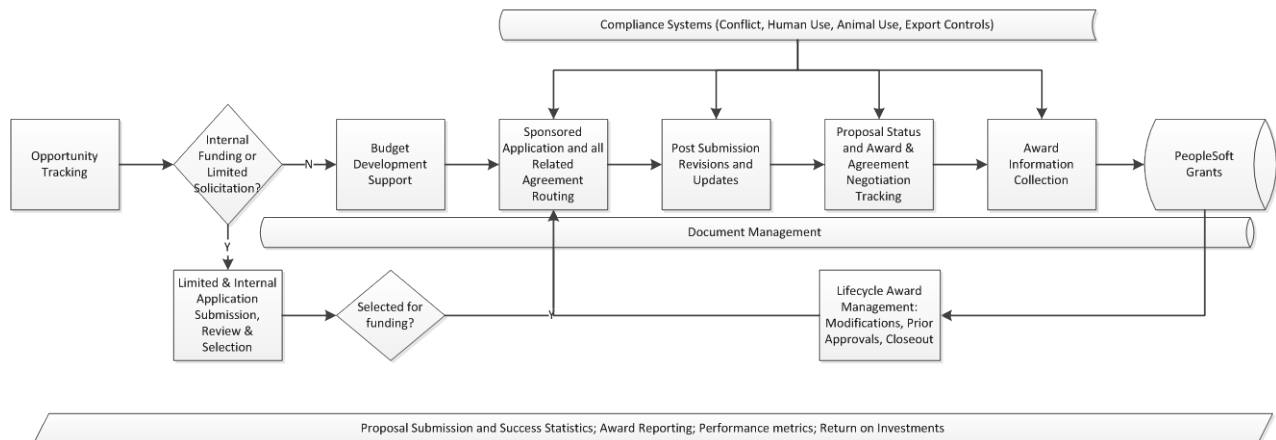
Scope

Project scope is used to define what major functions and interfaces will and will not be included in the project. The scope does not include a listing of functional or technical requirements.

In Scope

- Development of proposal budgets
- Routing of internal & limited applications in addition to external applications and agreements
- Collection of post-submission documentation, revisions, and updates
- Tracking of proposal status and agreement or award negotiations
- Collection of award information (including commitments and terms)
- Document management
- Integration of award and project data into PeopleSoft accounting
- Interfaces with compliance data systems
- Reporting requirements
- Security requirements

Scope Visualization



Critical Success Factors

The following factors are critical for success:

- Clear and realistic goals
- Executive leadership and commitment including allocation and protection of resources
- Effective communication
- Active engagement of all stakeholders
- Business process owner commitment to implement common systems and processes
- Risk management

Risk Summary

Risks are events that could have an impact on the project and require an action. Project risk affects any or all of the major aspects of the project: scope, schedule, resources, and quality. The most significant project

risks requiring executive attention at this phase of the project are summarized here:

1. **Scheduling conflicts:** Given the time commitments necessary for the core team and the relatively short notice, there is a risk that the best possible contributors will not be fully available or available at all. There is a risk that the core team will not have the time to dedicate towards the requirement sessions and demos.
2. **Executive Support:** The University of Florida has named Executive Project Sponsors. These executives need to be visible in championing the project to the university community. This reinforces their support for the project, and continues to demonstrate that the project is real, ongoing and has priority within the highest levels of leadership.
3. **Communication from core team outward:** Because this is a first time effort for most of the core team, there is a risk that communication to the units they represent will not be sufficient. We need to ensure that they have this open communication in order to improve the results of the requirements gathering sessions.
4. **RFP responses:** In order to make a buy vs. build decision we must do a fit gap with PeopleSoft, send RFPs to vendors and have quotes for a full buy decision. Given that we have a short time period to accomplish this they must all be done at the same time. We will need to be sure to fully analyze all paths to make the best decision for cost, time and quality of product.

Project Governance

Executive Project Sponsors

Provides project vision and direction. Determines the ability of the organization to support planned changes in terms of financial, human and technical resources and ultimately allocates such resources. Approves and accepts all project related contracts and deliverables. Aids in the resolution of high-priority issues

| Name | Title and Area |
|-------------------|-----------------------------|
| David Norton, PhD | Vice President for Research |
| Elias Eldayrie | Chief Information Officer |
| Matthew Fajack | Chief Financial Officer |

Executive Steering Committee

Monitors the alignment of the overall project to university needs. Make all decisions affecting cost, scope and timeline. Resolves high-priority issues. Secures resources to conduct the project. Monitors high-level project status. Communicates with other groups to champion ongoing project support and sponsorship.

| Name | Title and Area |
|------------------|--|
| Stephanie Gray | Director, Division of Sponsored Programs |
| Brad Staats | Assistant Vice President, Contract & Grants |
| Irene Cooke | Assistant Vice President, Research Compliance |
| Sobha Jaishankar | Assistant Vice President, Research Program Development |
| Dave Gruber | Senior Director, Enterprise Systems |
| Andrea Burne | Assistant Dean, Public Health & Health Professions |

Research Deans

The Associate Deans for Research have unique capacity to represent their faculty as well as the particular administrative, compliance and reporting needs of their College. These individuals will provide critical insight and review of the project, ensuring the project is aligned with strategic needs of all units and the

defined processes service the faculty and senior research leadership effectively.

| Name | College |
|------------------|--------------------------------------|
| John Hayes | Agriculture and Life Sciences |
| Ata Sarajedini | Liberal Arts and Sciences |
| Robert Burne | Dentistry |
| Peggy Carr | Design, Construction and Planning |
| Thomasenia Adams | Education |
| Jennifer Curtis | Engineering |
| Margaret Mertz | Fine Arts |
| Doug Jones | Florida Museum of Natural History |
| James Cauraugh | Health and Human Performance |
| Debbie Treise | Journalism and Communications |
| Sharon Rush | Law |
| Stephen Sugrue | Medicine |
| Alan Berger | Medicine - Jacksonville |
| Jennifer Elder | Nursing |
| Bill Millard | Pharmacy |
| Linda Cottler | Public Health and Health Professions |
| Ammon Peck | Veterinary Medicine |

Project Manager

Develops and coordinates the project plan and the carrying out of all activities including leading the project team. Establishes and monitors controls to ensure the quality and timeliness of deliverables. Ensures adherence to the Communication Plan. Identifies and manages project risks. Monitors project scope and expectations.

| Name | Title and Area |
|----------------|-------------------------------------|
| Rasha Elmallah | Project Manager, Office of Research |

Core Team

Understands and represents their unit's needs to both end-users and management. Uses that knowledge to improve business processes and come to collective determination of institutional best practices.

Contributes to business process design including identifying data requirements, application interface, configuration, security and reporting.

| Name | Title and Area |
|----------------------|---|
| Stephanie Gray | Director, Division of Sponsored Programs |
| Shell Romano | Division of Sponsored Programs, Proposals |
| Dee Dee Carver | Division of Sponsored Programs, Proposals |
| Julia Lednicky | Division of Sponsored Programs, Awards |
| Sandra Smith | College of Medicine |
| Karen Pastos | College of Medicine |
| Kristi Cromwell-Cain | Cardiovascular Sciences (College of Medicine) |
| Sarah Kazlauskas | Pathology (College of Medicine) |
| Kelley Gentry | College of Engineering |
| Jan Machnik | Mechanical & Aerospace Engineering (College of Engineering) |
| Nancy Wilkinson | Institute for Food and Agricultural Sciences |

| | |
|------------------|--|
| Adrienne Fagan | Fifield Hub (Institute for Food and Agricultural Sciences) |
| Dorothea Roebuck | College of Health & Human Performance |
| Tonia Lambert | College of Public Health & Health Professions |
| Nita Fahm | Geological Sciences (College of Liberal Arts & Sciences) |

Advisors

Each of these groups currently serves the University in advisory capacities. Involving them throughout the planning phase will ensure the project is aligned with strategic needs of all units and the defined processes service the faculty and senior research leadership effectively.

| | |
|---------------------------------------|---|
| Faculty Advisors | Mark Heft, Chair, Faculty Senate Mirka Koro-Ljungberg, Chair, Faculty Senate Council on Research & Scholarship Neil Rowland, Chair, Psychology Azra Bihorac, Anesthesiology, SCORS member David Hahn, Mechanical & Aerospace Engineering, SCORS member Pradeep Kumar, Physics, SCORS member Paul Mueller, Geology, SCORS member Others TBD |
| Training & Organizational Development | |

Subject Matter Experts (SME)

SMEs or Functional Users provide unique knowledge of specific areas of the business. SMEs join the project as ad hoc advisors in specific work areas to ensure accurate business process definition, requirements gathered, and configuration of the system.

Guiding Principles

In order to ensure that the project meets goals, the project team should commit to certain foundational principles. A common understanding of these principles will guide the team to ensure that all decisions are made from the same principles. Frequent reminders of these principles should ensure that the project team remains committed to the project outcomes.

- We will foster strong stakeholder participation.
- We will treat information as a strategic asset, electronically captured only once at its point of origin, and shared across the institution and tools. A common source of data will be used to make data based decisions.
- For every research-related process, we will determine a campus wide best practice focused on meeting customer needs in the most efficient and automated way. We will strive to have common processes for common functions across the entire institution.
- Faculty and staff should have easy, well supported electronic access to the data and information necessary to perform and manage university functions. We will implement easy to use management reporting processes and technologies (business intelligence).

Balancing Work and Personal Time

The project team will be stressed over the life of the project. The team must be sensitive to work style

preferences and other work and personal obligations. The team commits to take each other's obligations into account while honestly accepting only the objectives and tasks they can reasonably meet. Honor your commitments at work and at home. Respect everyone's time by starting and ending meetings on time. If you must be late or you cannot meet a deadline, raise the issue early. In addition, there will need to be moments of lightness and fun. These moments are acceptable and desirable.

Team Conflict

Given the large amount of time the team will be spending together, it is expected that conflicts of both personality and perspective will arise. We expect the team to be open and explicit about issues that are happening – to deal directly and honestly with others. Through this honesty, we can ensure that all perspectives are heard and the project outcomes remain the primary focus. If there is conflict, forgive and move ahead. If conflict is disturbing team success, escalate to Project Manager (or to the Executive Steering Committee if the conflict is with Project Manager).

Accountability

Team members should not commit to something they cannot deliver. Anyone may bring up questions about the project, requirements, or processes without fear of shame or attack. The entire team is accountable for mutual success. If you believe someone is not contributing, deal with it honestly and directly. Escalate to the Project Manager if needed.

Organizational Change Management

Throughout the requirements gathering and business process redefinition, changes will be identified that will impact individuals and departments, habits and culture. Change must be carefully managed to ensure that the outcome is positive. UF should plan for, and develop a support structure for the changes identified. Experts within the University at change management should be identified in this planning phase.

Project Communication

Project Team communication serves several key goals: education, obtaining buy-in, and providing information to those individuals impacted by changes to policies and practices. The project is a vast and complicated process that impacts an organization and the participants in a variety of ways throughout its duration and at its conclusion.

Milestones

| Milestone | Exec Sponsors | Exec Steering | Research Deans | Advisory Teams | DSP Leadership | Core Team | Campus /SME |
|------------------------------------|---------------|---------------|----------------|----------------|----------------|-----------|-------------|
| Project Team Selection | | | Solicit help | | Solicit help | X | |
| Project Team Identified | | X | X | | X | 1-on-1 | |
| Final Charter | X | X | X | X | X | Email | |
| Final Draft Agendas | | X | X | | X | Email | |
| Faculty Survey | X | | | X | | Notice | Email |
| Demos | | Invited | Invited | Invited | Invited | Invited | |
| Week 1 Processes Documented | | Meeting | Email | | Meeting | X | |
| Week 2 Processes Documented | | Meeting | Email | | Meeting | X | |
| Week 3 Processes Documented | | Meeting | Email | | Meeting | X | |

| | | | | | | | |
|---------------------------------------|---------|---------|---------|-------|---------|---|--|
| Week 4 Processes Documented | | Meeting | Email | | Meeting | X | |
| Final draft processes | | Email | Email | | Email | X | |
| Final processes | Meeting | Meeting | Meeting | Email | Meeting | X | |
| PeopleSoft Fit-Gap complete | Email | Meeting | Email | | Meeting | X | |
| Change implementation planning | X | X | Notice | | Email | | |