WHY ARE WE HERE

Provide SPARCS update

Present recommendations made by the Design Team

Identify next steps

Solicit feedback from high level administrators
SPARCS – GOALS AND OBJECTIVES

Goal: Implement an enterprise Electronic Research Management system to modernize CMU’s research technology and meet business requirements voiced by the campus research community

- Implement critical requirements per module or deployment phase
- Improve transparency and communication of research proposal, award and compliance activity
- Reduce duplicate data entry and paper processing
- Reduce risks that could lead to compliance violations and financial penalties
- Improve research data integrity and reliability
- Deliver project objectives within time, resource and budget constraints
STATUS

Completed GAP Analysis

Finalized Design Tasks
   Functional Grouping
   Task Dependencies
   Resource availability and constraints

Completed Design Task Assignments

Midway through requirements gathering sessions
## FUNDING PROPOSAL – PHASE 1

### DT1: General Information & Other Misc.
- Smartform Review
- Activities
- Notifications
- Operational Reporting
- Roles
- Integrations
- Handling Modifications/Revisions

### DT2: Grants.gov Submissions & Budgeting (includes other budgets)
- Smartform Review
- Activities
- Notifications
- Operational Reporting
- Roles
- Integrations
- Handling Modifications/Revisions

### DT3: Department Review
- Workflow – Data Collection on Approval Process
- Activities
- Notifications
- Operational Reporting
- Roles
- Integrations
- Handling Modifications/Revisions

### DT4: OSP Review
- Review Criteria Identification as function of time
- Process & Timeline
- System Notification based on FP deadline
- Notes, Notifications, & Approvals
- Minimum required information for OSP Review
- Integrations
- Operational Reporting
- Handling Modifications/Revisions

### DT5: Other Dept. Review
- ORIC Consultations
- Ancillary Review/Workflow
- Other departmental Consultations
- Notifications
- Activities
- Roles
- Operational Reporting
# Awards—Phase 1

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<th>DT6: Award Set-up, Award Migration, &amp; Business Process Mapping</th>
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OVERARCHING TASKS

DT9: Sponsors

DT10: Person/Department/Organization integrations – Existing

DT11: Overarching workflows

DT12: Desired integrations
  • Across Click modules

DT13: Strategic/Management Reporting

DT14: Conversion of Active Awards
  • SPA Integration
DESIGN TEAM COMPOSITION

Technical Team

Business Analysts

Subject Matter Experts (OSP + Campus Community + Impacted Departments + Faculty)
## TEAM ASSIGNMENTS — STAGE 1

### Team 1
- SPARCS Core Project Team (BA's, Developers, Testing, Training)
- Krista McGuigan + Kristen Jackson (L)
- Rob Kearns
- Gregory Smith
- Brenda Fink
- Leslie Levine
- Michael Balderson
- Angie Yanez
- Nathan Kotecki

### Team 2
- SPARCS Core Project Team (BA's, Developers, Testing, Training)
- Kristen Jackson + Krista McGuigan (L)
- Amanda Baumann
- Kelly Widmaier
- Monika De Reno
- Keri Baker
- David Casillas
- Dana Chaffin
- Cathy Schaefer
- Judy Coyle
- Tisha Frisoli
- Anissa Greenfield
- Debbie Harvard
- Tim Sager

### Team 3
- SPARCS Core Project Team (BA's, Developers, Testing, Training)
- Kristen Jackson (L)
- Rob Kearns
- Gail Kepple
- Beth Callaway
- Derek Sommer
- John Porco
- Donna Marano
- Linda Feuster
- Rhonda Kloss
- AnnMarie Zanger
- Sharon McCarl
- Diane McCrea

### DT9: Sponsors
- Business Analysts
- Technical Team
- Rob Kearns
- David Quinn
- SPA Rep?
- CMT

### DT10: Person/Organization
- Business Analysts
- Technical Team
- CMT

### DT11: Overarching Workflows
- Business Analyst
- Technical Team
- Project Team
- CMT

### DT12: Desired Integrations
- Business Analyst
- Technical Team
- Project Team
- CMT
- Impacted Dept(s)
  - ORIC
  - SPA
  - Etc

### DT13: Overarching reporting requirements
- Business Analysts
- Technical Team
- Rob Kearns
- David Quinn
- Beth Callaway
- CMT
TEAM ASSIGNMENTS — STAGE 1

Team 1

• Review current process and data for funding proposals in SPEX, and recommend changes to solution and process
• Review and recommend solutions for workflow process for OSP Review, Department Review, and related dept. review
• DT1, DT2, DT3, DT4, DT5

Team 2

• Review the current process for completing the SF424 application and budget creation for grants.gov proposal submission
• Review the current processes for budget creation for non grants.gov and non federal submissions
• Review the award set-up, and budget reconciliation process on an award
• DT2, DT3, DT4, DT5, DT6, DT7

Team 3

• Review current process and requirements for award setup with respect to SPA mapping
• Map out current process for the data handoff between OSP and SPA and redesign process
• Review and concur on sponsor setup with SPA
• DT8, DT9, DT10
COMING YEAR ACTIVITIES & MILESTONES

Proposal & Awards Phase 1 Detail Requirements

P&A Module Design

Proposal & Awards Phase 1 Module Development

Core Teams P&A Testing

SPARCS Enhancements & System Updates

IACUC Plan & Design

IACUC Module Development

Testing & Training

IACUC Go-Live

Campus Teams Testing & Training

Phase I Go-Live (10/16)

(30,000 foot view – dates approximate)
RECOMMENDED CHANGES

Issue: Current process requires signature collection from ALL impacted departments

Funding Proposal Workflow changes

- Lead department workflow for approval of funding proposal
  - Individualized by department/college
  - Business Manager/Research Administrator can upload electronic approval from Dean/Department head
- Moving to notification of impacted departments on funding proposal without a hard stop
RECOMMENDED CHANGES

Issue: Business managers submit proposals on behalf of colleges/PI’s
Principal Investigator (PI) sign off on proposal submission
  - PI’s can submit proposals by logging into SPARCS
  - Business Managers can sign-off on behalf of faculty. Approval from faculty can be uploaded electronically.
  - OSP maintains a list of personnel within each department who have the authorization from the Dean/Department head to approve funding proposals on behalf of department/college

Issue: Budgeting approach in SPEX vs SPARCS
Budgeting related changes in SPARCS
  - Detailed budgets are developed outside the system by business managers
  - Summarized budget information will be input into SPARCS
    - Personnel grid – Listing annualized salaries, % effort, overhead and fringe rates, etc.
    - Hourly pay will need to be annualized and input into SPARCS
    - General Costs grid – Listing all other “non-personnel expenditure types”. Expenditure type listed currently in SPEX will be utilized as a starting point to narrow the list
    - Detailed budgets will be uploaded as supporting documentation
RECOMMENDED CHANGES

Issue: Improving award setup turnaround

Award Reconciliation Workflow

- OSP will start the award set-up process based on NOA and hand over the process to department business managers

- Business Managers will reconcile the budget, complete the PT setup, complete funding allocations, complete appropriate compliance related information and hand over the process to impacted departments

- Ancillary Review within the solution will be used to obtain approval from compliance, cost sharing departments, departments providing space, labs, etc.

Issue: Supporting unified reporting across all research systems

Integration with SPA

- Sync up of sponsor and classification for unified reporting

- Set-up of awards and budgets within SPARCS to support automated entry into Oracle
NEXT STEPS

Continue requirements gathering sessions
Detail requirements documentation plan in coordination with technical team
Develop test plans alongside requirements
Commence development of Proposal & Awards customizations
Coordinate User Acceptance Testing with departmental users
Plan training session and communications related to P&A rollout
QUESTIONS