

WCM-Ithaca Intercampus Collaborations

Rapid Process Improvement Opportunity

WCM campuses (WCM): Medical colleges in NYC and Qatar

Ithaca-based campuses (CU-Ithaca): Ithaca, Ag Experiment Station in Geneva, Cornell Tech in NYC

Agenda

1. Why improvements?
2. How we started
3. What are the issues and opportunities?
4. What have we done?
5. What are we working on?
6. What else do you want to know?

Why improvements?

- In a communications study conducted by the Office of the Senior Vice Provost for Research (OVPR) (Ithaca), CU-Ithaca faculty identified removing administrative barriers for collaborative research between Weill Cornell Medicine (WCM) and Ithaca-based campuses (CU-Ithaca) as a high priority need.
- In a 2014 Office of Sponsored Programs (OSP) Roundtable at CU-Ithaca on this topic, research administrators helped to compile a list of issues they face in managing collaborative projects involving Weill.
- Collaborative projects span many CU-Ithaca units: CALS, ENGR, HUMEC, VET. Currently there are about 30 active sponsored projects where CU-Ithaca and WCM are collaborating.
- The campus expects us to work together as one entity. Failure to do so jeopardizes real collaborative opportunities, affects the morale of our staff and frustrates our researchers.

How we started

- Senior leadership at WCM and CU-Ithaca championed the effort and identified a project team
- The team compiled a list of issues that impact collaborative research
 - Items already identified in the OSP Roundtable and the OVPR Internal Communications project
 - Discussions with Center Directors, OSP and Sponsored Financial Services (SFS)
 - Internal process mapping and review with specific case studies
 - Discussions with faculty and administrative staff
 - Explored options, implemented some changes, other changes under discussion

The Project Team

Project Champions:

- Adam Garriga, Chief Administrative Officer for Research, WCM
- Cathy Long, Associate VP for Research Administration, CU-Ithaca

WCM team:

- Aleta Gunsul, Director, Office of Sponsored Research Administration (OSRA)
- Stephen Hunt, Assistant Director, Policy, Compliance and Reporting
- Michelle A. Lewis, Director, Research Administration
- Amy Lane, Assistant Director, Grants and Contracts
- Melissa Paray, Assistant Director, Grants Accounting

CU-Ithaca team:

- Mary-Margaret Klempa, Director, OSP
- Jeffrey Silber, Senior Director, SFS
- Amita Verma, Director, Office of Research Integrity and Assurance (ORIA)

Plus, contributions from many OSP, SFS, OSRA team members

Issues and opportunities

- 1. Effective working relationships**
- 2. Disconnected research administration and financial systems, separate processes**
- 3. Redundant reporting (Single Audit/A-133, FFATA)**
- 4. Document overload and process confusion**
- 5. MOU terms and conditions**
- 6. Invoicing terms**
- 7. Duplicate compliance reviews**
- 8. MOU Process**
- 9. Other concerns: tuition payments, F&A rates, awards from WCM/Qatar**

Effective working relationships

Issue

- Staff don't feel connected to their peers at the other campus
- Lack of communication and lack of understanding of organizational structures impedes speed and quality of issue resolution
- Current intercampus website is outdated and incomplete

Opportunity

- Standing meetings between leadership that facilitate open communication, share practices, issue resolution and continued process improvement
- A meet-and-greet retreat to facilitate relationship building
- A well maintained intercampus website with helpful information

Outcome: Monthly update meetings set up between OSP, OSRA, ORIA and SFS to continue work on current and new initiatives. Website under revision- discussing a plan for continued maintenance. A retreat planned in Ithaca in October 2016; agenda, attendees TBD.



Disconnected systems and processes

Systems and processes across campuses are and will continue to be disconnected and distinct

| Function | Current set up | Comments |
|---------------------|--|--|
| Grants | <ul style="list-style-type: none"> Separate DUNS numbers, NIH institutional profiles, TINs, NSF Org codes, CAGE codes WCM: new vended online system (Qatar has its own). Office of Sponsored Research Administration (<u>OSRA</u>) Ithaca: No electronic system for proposal submission; In house database for post award management, Office of Sponsored Programs (<u>OSP</u>) | <ul style="list-style-type: none"> Each campus responsible for proposals submitted and awards received, as “lead”; as they are treated as separate entities for awarding purposes. The grants management systems are distinct and disconnected, and access to information in one system is limited to individuals on that campus only. |
| Financial Systems | <ul style="list-style-type: none"> WCM: SAP, Grant Accounting Team Ithaca: Quali Financial Systems, Sponsored Financial Services (<u>SFS</u>) | <ul style="list-style-type: none"> The financial systems are distinct and disconnected, and access to information in one system is limited to individuals on that campus only. Cross campus transactions processed independently by each campus. No view only access. |
| Research Compliance | <ul style="list-style-type: none"> IACUC, IRB, IBCs maintain independent federal wide assurances and registrations with the federal and state government and funding agencies; independently responsible for reporting and compliance of projects conducted by their researchers Each campus has unique, separate systems for protocol management and tracking | <ul style="list-style-type: none"> When projects involve human or animal subjects on either campus, each campus’s compliance committee must either review the project, or can defer to the other campus’s committee for oversight. Training and health and safety requirements can be different across campuses; therefore it may not be possible for a researcher from one campus to immediately start work on the other campus |
| CTSC Pilot grants | <ul style="list-style-type: none"> Managed by the CTSC office, not by OSRA, and follow somewhat different procedures for compliance, documentation and indirect cost allocations. | <ul style="list-style-type: none"> CTSC pilot grants involve additional administrative processes for financial and non financial functions |
| Qatar | <ul style="list-style-type: none"> Separate systems Specific rules for in- and out-of-county expenses | <ul style="list-style-type: none"> Qatar campus is separately audited, and at times has different requirements |

Redundant Reporting

Issue

- Each campus sends an annual request for an Single Audit report. This audit report, required of all sub-awardees, is a part of subcontractor risk assessment
- FFATA reporting- required for subawards or subcontracts. Each campus does FFATA reporting on the other

Opportunity

- Since the Single Audit report for Cornell University includes both Ithaca and WCM, there is no separate audit for each campus. Decommission subcontractor profile questionnaire (bilaterally)
- Cornell is a single legal entity; one campus does not issue subawards to the other, even though the administrative mechanism is similar to that of a subaward. Thus FFATA reporting is not required.

Outcome: Single Audit and FFATA reporting have been stopped. Procedures on both campuses are updated to reflect the change.





Document overload/ Process confusion

| Issue | Opportunity |
|---|---|
| <ul style="list-style-type: none">• Unclear process and expectations- Lead campus could get proposals from either the PIs, the PI Department or OSP/OSRA• Statement of Intent to Establish a Subcontract used at each campus• Not a clear point of contact to help resolve issues | <ul style="list-style-type: none">• Standardize proposal submission process: OSP/OSRA will ensure institutional concurrence and submit proposals to the lead campus• Internal routing form (Ithaca's Form 10, WCM's Electronic Routing Form (ERF)) to replace Statement of Intent• GCOs from OSP/OSRA will take the lead in resolving any proposal related issues |

Outcome: New process has been agreed upon and will be followed for new proposals. Intercampus website will be updated to reflect the change



Courtesy notices/communication

| Issue | Opportunity |
|-------------------------------|---|
| Notice of Award Notifications | <ul style="list-style-type: none">• Where possible and appropriate, provide notifications to both campuses upon award receipt for collaborative projects• Collaborating PI/research team is afforded the opportunity to:<ul style="list-style-type: none">○ Set up advance accounts○ Plan resources (e.g. grad students)○ Get started on compliances |

Outcome: OSP and OSRA have agreed to send advance notice to each other, informing them that an award with collaborative work on the other campus has been received and a formal request for MOU will be forthcoming.



Award/MOU Terms and Conditions

| Issue | Opportunity |
|---|--|
| <ul style="list-style-type: none">• Awards included additional terms not required by sponsor- e.g. approval for carryover (even when sponsor allows auto-carry forward)• Redaction of certain terms in the agreement from sponsor• Some grants from WCM (particularly CTSC Pilot grants) do not include full indirect costs for CU-Ithaca | <ul style="list-style-type: none">• No institution-imposed MOU terms. Only those required by sponsor guidelines, law or policy• Full, Notice of Award or agreement to accompany each MOU• Full IDC for non-CTSC Pilot awards. <i>Working on CTSC awards.</i> |

Outcome: Each campus has agreed. MOU has been revised accordingly and being used on both campuses. Started discussions for CTSC awards



Invoicing Terms and Conditions

| Issue | Opportunity |
|--|---|
| <ul style="list-style-type: none">• Unclear invoicing instructions• Receivables and payables delayed, causing complications for year end reporting and PI review of funds remaining | <ul style="list-style-type: none">• Standard invoicing procedures established for each campus• Agreed to invoice no less frequently than quarterly |

Outcome: Each campus has agreed. MOU has been revised accordingly and being used on both campuses.



Duplicate Compliance Reviews

Issue

- Lead campus may ask for confirmation of IRB, IACUC, COI compliances for work done at the other campus (approved protocols, authorization agreements)
- For CTSC grants, CU-Ithaca researchers have to complete a separate disclosure form

Opportunity

- Each campus will send their internal routing form to indicate if compliances are required
- Except for NIH funded awards for human and animal use and NSF funded for animal funded, no compliance checks will be required from the other campus
- Still working on CTSC requirements

Outcome: Compliance requirements are reduced, however some work remains to remove redundant reporting for COI



MOU process

| Issue | Opportunity |
|--|--|
| <ul style="list-style-type: none">• MOUs sent unsigned to each campus• New MOUs issued with each year funding increment, necessitating a new OSP record and account number at CU-Ithaca | <ul style="list-style-type: none">• Prime campus will sign MOU prior to distribution• Funding increments will be handled via an amendment to the MOU; new MOU not required. At CU-Ithaca, this will be processed as an amendment. |

Outcome: Each campus has agreed. Procedures have been revised accordingly and being followed on both campuses.



MOU template needs improvement

Issue

Insufficient or unclear information in the MOU sent at the award stage

Opportunity

- Intercampus working group revised template
- **Enhancements**
 - Include clear invoicing terms
 - Include report and invoice due dates/schedule
 - Includes anticipated and obligated dates and dollars
 - List contacts for each agreement and/or include links to updated process and contact information on campus website
 - Maintain current information (e.g., PI, budget, prime award information, project period)

Outcome: Each campus has agreed. MOU has been revised accordingly and being used on both campuses



Comparing MOU templates- previous

Memorandum of Understanding

Collaborations Involving Co-Investigators from Cornell University's Ithaca-based Campuses (Ithaca) and Weill Cornell Medical College (WCRC)

Sponsoring Agency:

Sponsor Award:

FAIN #:

CFDA NO.: #XX.XXX- CFDA Title:

AWARD ISSUE DATE:

Project Title:

Principal Investigators:

WCRC:

Ithaca:

Period of Performance:

Award Type: UG-GRANT (subject to Uniform Guidance); EXHIBIT C

Scope of Work: EXHIBIT A

Budget: EXHIBIT B; \$

Invoicing Requirements:

When WCRC is administering office: Upon execution of this Memorandum, WCRC shall initiate a Purchase Order (using the subcode 7980).

Ithaca campus will invoice WCRC quarterly. All Invoices will be submitted to the WCRC contact identified on the Purchase Order.

The final invoice must be submitted no later than 45 days following the termination date of the award.

When Ithaca campus is administering office: WCRC will issue an invoice to Ithaca campus quarterly and send to:

Department of XXXX
Cornell University
Ithaca, NY 14853
Phone: 607-255-XXXX
Email: XXXX@cornell.edu

- No Award title
- No indication about lead campus
- FAIN and CFDA Title not needed
- No indication of anticipated amount or period
- No indication of obligated amount
- Invoicing instructions are unclear and call for a PO
- Signatures do not include name or title or contact information
- No indication if sponsor allows auto-carryforward

Comparing MOU templates- new page 1

Grant and Contract Collaboration Involving Co-Investigators
from Weill Cornell Medicine and Cornell's Ithaca Campus Units

Award Title:

Administering Office for this award

- Weill Cornell Medicine (WCM)
 Cornell Ithaca- Campus Units (CU-ITH)

Sponsoring Agency:

Sponsor Award # and CFDA NO. if applicable:

Amendment Number (if applicable): [Click here to enter text.](#)

Project Title: [Click here to enter text.](#)

Principal Investigators: **WCM:** [Click here to enter text.](#)
CU-ITH: [Click here to enter text.](#)

Anticipated Project Period: From [Click here to enter a date.](#) To [Click here to enter a date.](#)

Anticipated Total Amount: \$ [Click here to enter text.](#)

Period of Performance: From [Click here to enter a date.](#) To [Click here to enter a date.](#)

Obligated Budget for this period: \$ [Click here to enter text.](#)

Total Obligated to Date: \$ [Click here to enter text.](#)

Scope of Work/Budget: Attachment A

Notice of Award: Attachment B

Carryover Authority: Automatic
 Requires Prior Approval as per Award Terms

- Award title
- Lead campus is identified
- FAIN CFDA Title removed
- Allows for an amendment to an MOU
- Anticipated amount and period
- Obligated amount
- Fillable form, easier to use
- Indicates if sponsor allows auto-carryforward

Comparing MOU templates- new page 2

Invoicing Requirements:

Click here to enter text. [Collaborating Campus] **will invoice** Click here to enter text.
 [Administering campus] **no less frequently than quarterly, and no more frequently than monthly and send via e-mail to contact below.**

The final invoice must be submitted no later than sixty (60) days following the termination date of the award.

Your signature on this award indicates acceptance of all Terms and Conditions as outlined in Attachment B of this MOU.

- Clear invoicing instructions

| Signatures and Date | Office of Sponsored Research Administration FOR WEILL CORNELL MEDICINE | Office of Sponsored Program FOR ITHACA CAMPUS UNITS |
|--|---|--|
| Contact Information for Grants officers | | |
| Name | Click here to enter text. | Click here to enter text. |
| Email address | Click here to enter text. | Click here to enter text. |
| Phone number | Click here to enter text. | Click here to enter text. |
| Signatures | | |
| Send invoices to | FOR WEILL CORNELL MEDICINE | FOR ITHACA CAMPUS UNITS |
| Name | Melissa Paray | Click here to enter text. |
| Email address | subaward-invoices@med.cornell.edu | Click here to enter text. |
| Phone Number | 646-962-8290 | Click here to enter text. |

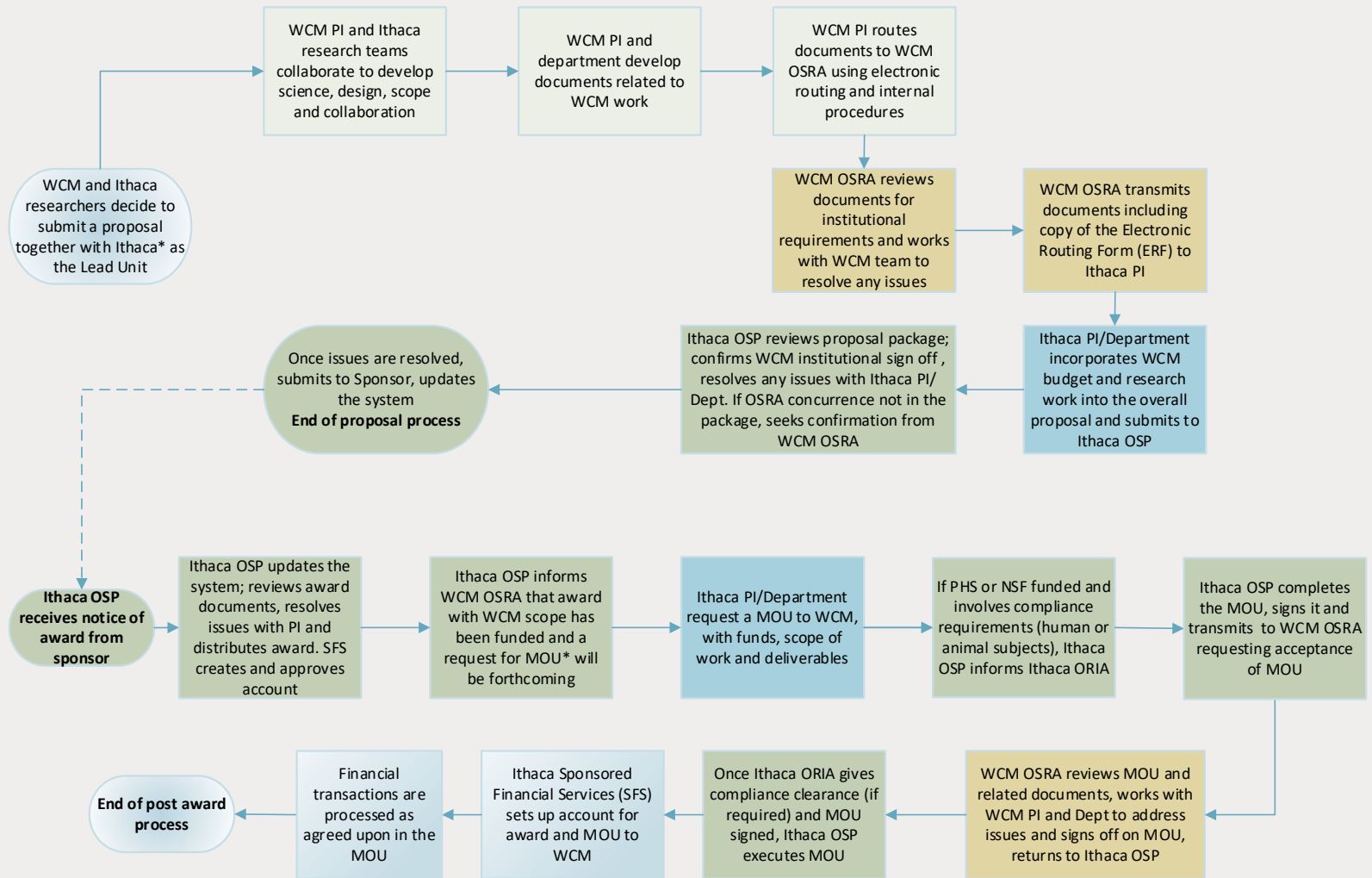
- Signatures have names, titles and contact information

More information on intercampus collaborations can be found at <http://weill.cornell.edu/intercampus/>

Implications of changes to the MOU

- Easy to use form, unnecessary information removed, essential information added
- Automatic carry over allowed unless prohibited by the prime sponsor
- No allowance for institutionally-imposed additional terms and conditions
- No allowance for redacted NOA
- Invoicing expectations clearly stated
- Contact information for involved individuals included, to help resolve issues

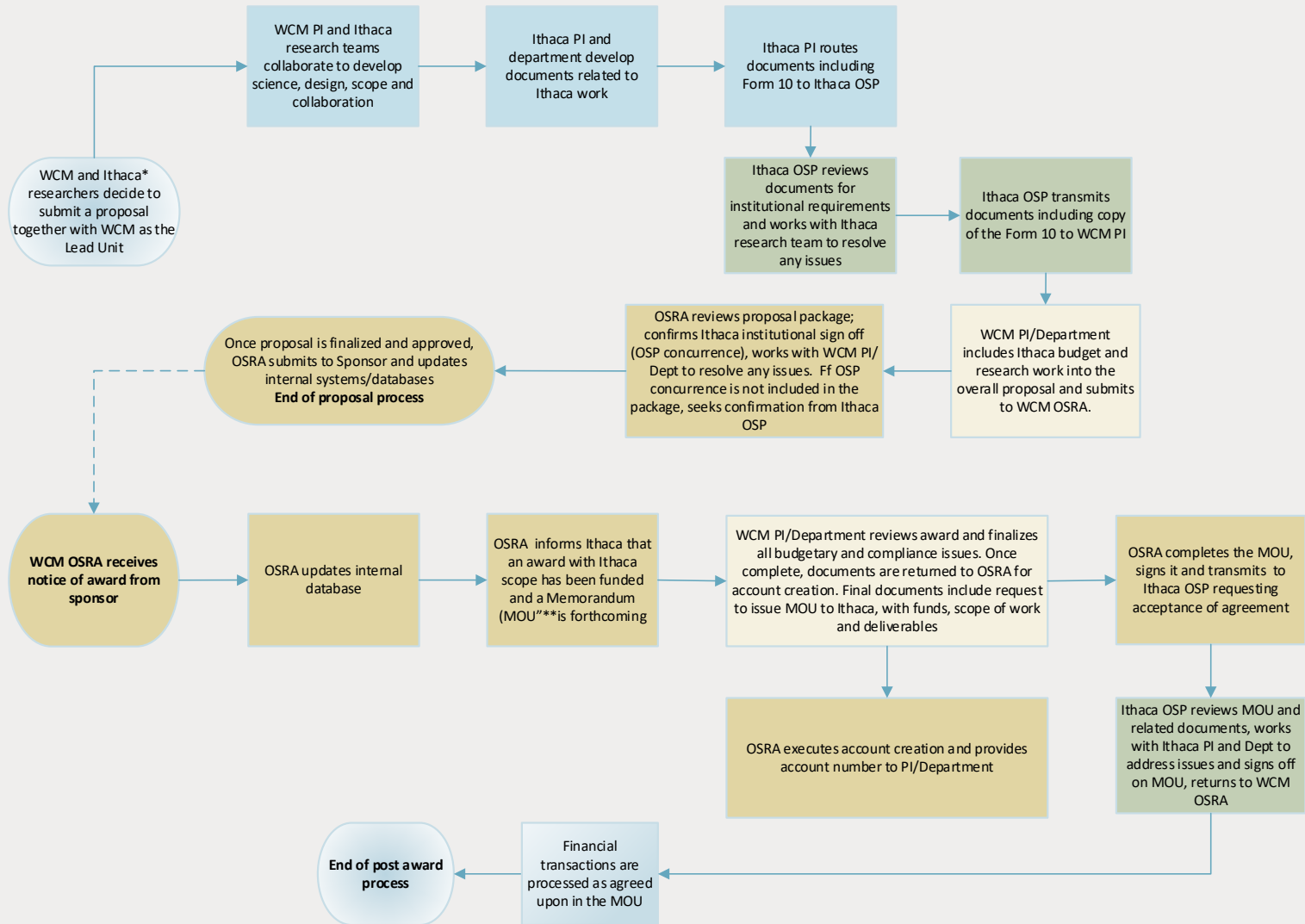
Proposal Submission and Post Award management of WCM/CU-Ithaca Projects: Ithaca as Lead



*includes Ithaca, NYC Tech campus and Geneva experimental station

** Since Cornell is one legal entity, the intercampus collaboration does not constitute a subaward; however the administrative process for managing the collaboration is processed like a subaward for ease of research and financial tracking

Proposal Submission and Post Award management of WCM/Ithaca Sponsored Projects: WCM as Lead



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Still working on...



- F&A rates for CTSC awards
- Processes related to awards from Qatar
- Streamlining compliance reviews and training requirements for IRB and IACUC
- Student tuition issues
- Material transfer related issues
- Website revisions and maintenance

Questions/Comments?

Questions/Comments?

- “I just wanted to point out that our Qatar Campus has an independent Sponsored Research Office and Finance team that are tasked with managing our complex relationship with the Qatar National Research Foundation (QNRF). As a sponsor, QNRF’s policies are quite unique and often at odds with our normal business processes. We are dedicated to ensuring smooth facilitation of Qatar projects and documents with both the Ithaca and Qatar administrative teams.” - *Stephen*