OFFICE OF THE VICE-PRESIDENT - RESEARCH
2010
Project Charter
(Version 12)

PROJECT: The Research Administration Improvement & Systems Enhancement (RAISE) Project

PROJECT #: numerous enhancements

PROJECT MANAGER: Patrick Boal

University of Toronto
June 4, 2010
Amended April 13, 2011

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Version Control

Version	Date	Author	Summary (include section or page number)
1	April 1, 2010	Patrick Boal / Nadia Saracoglu	This document was based on needs gathering by NS & discussions between PB and NS.
2 to 4	April 9, 2010	OVPR	Includes revisions throughout document based OVPR requirements.
5	April 12, 2010	Patrick Boal	Added version control, some formatting changes.
5.1	April 20, 2010	Nadia Saracoglu	Revised sub-project descriptions in appendix.
5.2	April 27, 2010	Judith Chadwick	Various edits in track changes.
5.3	May 5, 2010	Nadia Saracoglu	Added items 26 to 31 to Group One initiatives in Appendix 1.
5.4	May 6, 2010	Nadia Saracoglu	Added item 32 to Group One initiatives. Updated priorities.
5.5	May 11, 2010	Nadia Saracoglu	Added items 10, 34 & 35 to Group One as suggested by other team members.
6	May 20, 2010	Judith Chadwick	Final Edits
7	June 2, 2010	Nadia Saracoglu	Group One item 15 moved up to item 10 to reflect increased urgency for completion of item's 1st step (clean up historical overdrafts)
8 & 9	June 3 & 4, 2010	Nadia Saracoglu	Final edits from PLG group made to items 8, 14 & 23, Group One, and 5, Group Two

10	June 21, 2010	Nadia Saracoglu	Fund Closeout, Research Revenue Cleanup, and Link to EHS projects moved up in priority (now top three).
11	April 11, 2011	Nadia Saracoglu	Group One and Two priorities changed. Current Status updated by project.
12	April 13, 2011	Nadia Saracoglu	Priorities 7, 8, 9 proposed.

Project Overview Section A

Project Title: Research Administration Improvement & Systems Enhancement (RAISE)

Project Period: 1 May 2010 – 30 April 2012

Project Sponsors:

Judith Chadwick, Assistant Vice-President Research Services	Tel. #:	416-978-5129
Elizabeth DiDonato, Executive Director, Research Oversight & Compliance	Tel. #.	416-978-2387
Peter Lewis, Acting Assistant Vice-President, Innovations & Partnerships	Tel. #.	416-946-8524

Project Manager: Patrick Boal Tel #: 416-978-2803

Project Objective Section B

Initiative Purpose:

The Office of the Vice-President Research (OVPR) seeks to firmly establish the University of Toronto as *the* best practice institution in Canada in the administration of research. In addition to a qualified and dedicated staff, this will require state-of-the-art tools and processes to ensure the effective, efficient, complete, accurate and transparent management of research activities that is harmonized across OVPR units and with partner offices in the academic divisions and other vice-presidential portfolios. A number of opportunities to enhance business processes through the application of appropriate technology are already identified in Appendix 1. Collectively these enhancements are referred to as the RAISE Project, with each individual enhancement referred to as a sub-project.

For implementation purposes, these enhancements may be divided into two groups.

- Group One enhancements are sub-projects of a smaller scale where the goals can be met using existing, in-house systems and technology. Based on initial estimates of resource requirements, these sub-projects have work estimates (on the technical side) of 3-days to 3-weeks. (Please note that this estimate is for work effort, not duration.)

- Group Two enhancements are sub-projects of a larger size where the goals can be met using a combination of existing technology and new approaches.

An analysis of the work required – taken into context with the OVPR prioritization – suggests that a two-pronged approach will allow OVPR and EASI to take advantage of this grouping. Some controlled evolution and reprioritization of these opportunities and groupings may occur as the project proceeds. Guiding considerations for identifying and prioritizing enhancements include: efficiency, expediency, ease of implementation, ease of use, accountability & transparency, positive impact on the research community, availability of resources, dependencies on other projects/offices.

- Group One enhancements include sub-projects which are ready to begin now. In some cases business specifications are already complete, in others, specifications are under construction. Technical development work can begin on these sub-projects as soon as resources are available. (EASI has some of the resources with the necessary skill sets for these sub-projects in house now (which may need to be supplemented with contract staff). Additionally, as these are smaller sub-projects, work may commence based on a detailed System Change Request alone.)

- Group Two enhancements have only been defined at a high level. These larger sub-projects will require individual project charter documents, project plans, and detailed business specifications -- they will need to follow a formal project methodology. However, as these sub-projects are ready for project initiation and business analysis, work can also begin as soon as resources are available. Development work on these projects will not begin until business specifications are completed for Group 2 subprojects 1, 3 and 4.

In short, Group One and Two sub-projects can proceed in parallel, with Group One sub-projects coming on-line relatively quickly and Group Two sub-projects receiving the necessary forethought and analysis.

Project Scope / deliverables:

At a high-level, work can be broken out into 2 categories of deliverables Group One and Group Two – as discussed above. See Appendix 1.

Measurable Success indicators:

1. The number of forms & processes that are streamlined and/or automated (reduction in touch points)
2. Reduction in person-hours required to accomplish specific administrative tasks
3. Accountability improvements

Strategy / Tools to be used:

The key tools for this proposal include, but are not limited to, the following:

- RIS in ECC 6.0
- SAP R/3 ECC 6.0 ABAP programming.
- SAP NetWeaver Portal (the web interface).
- IXOS (Livelink) to facilitate document scanning and attachment.
- Composite Application Framework Design Tools (Visual Composer and / or Java programming) to facilitate on-line approvals.
- Composite Application Framework Workflow (Guided Procedures or BPM / BPR) to facilitate on-line approvals.
- Other toolsets available and appropriate.

Stakeholders:

The key stakeholders in this project are:

- OVPR (VPR and staff)
- Faculty (Academic Administrators & Principal Investigators)
- Divisional Business Officers
- Enterprise Applications and Solutions Integration, Office of the CIO
- Other central service departments involved in research administration
- External partners including affiliated institutions, other universities, sponsors

Roles and Responsibilities

See organizational chart, Appendix 2.

Structure of the project

a) Project Leadership Group (PLG)

- Judith Chadwick, AVP-RSO, OVPR
- Elizabeth DiDonato, ED-ROCO, OVPR
- Peter Lewis, Acting AVP-IPO, OVPR
- Cathy Eberts, Director, Solutions Development, EASI, CIO

Duties and Responsibilities of the PLG

i) Define project objectives and deliverables that support business goals
ii) Provide project oversight
iii) Determine, review and approve project scope, prioritization
iv) Review and approve project milestones, approaches and solutions by phase
v) Define, approve, and uphold implementation policies, standards and processes
vi) Review policy issues and make decisions or recommend specific action as appropriate
vii) Approve project budget
viii) Ensure commitment of human resources
ix) Meet bi-weekly or as necessary with the Project Manager to review and assess project status
x) Review and approve change requests that impact scope, functionality, prioritization and approach
xi) Trouble-shoot on specific issues brought forward by the Project Manager
xii) Ensure coordination and alignment between project and OVPR strategic directions and operations
xiii) Communicate with stakeholders/research community in order to promote buy-in for change (e.g., change management, cultural change, etc.)

b) Project Manager – Patrick Boal

Duties and Responsibilities of the Project Manager

The role of the Project Manager is to implement the project according to specifications agreed to with the PLG, including the following functions:

i) Plan, execute, and finalize project and sub-projects according to deadlines and within budget
ii) Coordinate the efforts of team members and third-party contractors or consultants in order to deliver sub-projects according to plan
iii) Effectively communicate project expectations to team members in a timely and clear fashion.
iv) Liaise with project stakeholders as required for project implementation.
v) Plan and schedule project timelines, milestones and costs using appropriate tools
vi) Provide updates to the PLG of executed performance and completion in comparison to the project plan and budget, and forecasts of milestone completion and costs on a regular basis.
vii) Ensure timeliness of milestones and deliverables and that the program stays within scope and budget
viii) Determine the frequency and content of status reports from the project team, analyze results, and troubleshoot problem areas.
ix) Ensure timely resolution of issues affecting program success, raising issues to the PLG as necessary
x) Propose project success criteria and use these as a basis for reporting to the PLG throughout project life cycle.
xi) Estimate the resources and participants needed to achieve project goals.
xii) Determine and assess need for additional staff and/or consultants and, upon PLG approval, make the appropriate recruitments if necessary during project cycle.
xiii) Develop full-scale project plans and associated communications for project team, and draft project progress/milestone achievement communications for release through PLG.

xiv) Supervise project staff; delegate tasks and responsibilities as appropriate
xv) Identify and resolve issues and conflicts within the project team.
xvi) Identify and manage project dependencies and critical path.
xvii) Develop and deliver progress reports, proposals, requirements documentation, and presentations.
xviii) Proactively manage changes in project scope, identify potential crises, and devise contingency plans in consultation with the PLG
xix) Coach, mentor, motivate and supervise project team members and contractors, and influence them to take positive action and accountability for their assigned work.
xx) Oversee quality control throughout the project life cycle

Resourcing

See organizational chart, Appendix 2.

Immediately define positions and recruit. Positions to be filled as soon as possible after May 1.

a) EASI resources to be assigned
   i) Project Manager(outside project budget)
   ii) Programmers (outside project budget)
   iii) Staffing backfill for programmers (within project budget)
   iv) Solutions Architect as required (outside project budget)
   v) UTBI resources and Data Architect as required (outside project budget)
   vi) Project Leadership (outside project budget)
b) OVPR resources to assigned
   i) Business Analysts (within project budget)
   ii) staffing backfill (outside project budget)
   iii) Project leadership (outside project budget)
   iv) OVPR staff time for process analysis and testing (outside project budget)
   v) Website development for communication (outside project budget)
c) Security – ESS (outside project budget)
d) Consulting help as necessary for larger Group Two projects - this will need to be defining on a sub-project-by-sub-project basis (within project budget)

Constraints:

- Funding
- Staff resources (other projects)
- Availability of knowledgeable consultants (if required)

Assumptions/Risks

a) OVPR staff resources will be made available as required for interviews, testing, workshops, documentation creation and training.
b) EASI staff resources will be made available as required for technical installations and support, programming, testing and workshops.
c) The content and relative priority of subprojects identified in Appendix 1 will evolve under the supervision of the Project Manager, with material changes subject to approval by the Project Leadership Group
d) Strong support from U of T senior management will be available.
e) An empowered and dedicated trained resource team will be assigned.
f) Resistance to change will be managed at the departmental level.
g) Escalation process for project issues will be in place.
h) Knowledge transfer from RS project team members to End Users must be successful.
i) Timely decision making.

Approvals Section D

We, the undersigned, have reviewed and approved the project charter described above as representing our/my needs completely and fairly.

	Signature	Date
Judith Chadwick, Assistant Vice-President Research Services		
Elizabeth DiDonato, Executive Director, Research Oversight & Compliance		
Peter Lewis, Acting Assistant Vice-President, Innovations & Partnerships		
Graham Kemp, Director, EASI		

Appendix 1

Group One initiatives (Open Items):

As of 13 April 2011

Ref no.	Project Name	Description	Priority	Current Status
1	Automation of Fund Closeout	i.) Clean up historical negative net balances (revenues < expenditures) in closed research funds by moving overdraft in cfcX/fundY to cfcX. ii.) Automate processes related to fund closeout after the end date and submission of final report to sponsor (including transfer of negative balances using tool in i.)	1	Phase 1.1 – complete Phase 1.2 – specs in development Phase 2 – specs in development Phase 3 – not yet started
2	Payroll postings to expired Funds	Redirect payroll posting to an alternative account (possibly PI CFC and "special Fund") instead of extending end date of a Fund when the payroll program tries to post to a Fund on which the end date has passed.	2	Final QA testing underway.
3	Link EHS and RIS	Populate RIS with EHS Biosafety Permit # administered by OEHS. Note: PIs should be able to flag activities with Controlled Goods (add link to the government website to the Blue Form and a develop corresponding EH&S notification process which may be EH&S printing off the forms on a periodic basis).	3	QA testing underway
4	Ethics - Human Protocol renewal	iii. Automate four reminder/notification letters related to human protocol Expiry Date (30 days before expiry, 14 days before expiry, on date of expiry, 10 days after expiry (closure)).	4	QA testing underway
5	Ethics - Human Protocol renewal	iv. Automate freezing of spending on research funds linked to expired protocol (setting NoPo in FIS).	HOLD	ON HOLD until better data quality for links between Funds and Ethics protocols exists. For now we'll use the report in i. to identify candidates and confirm before setting NoPo manually. *(Suggest a work screen, based on "I" above until this can be automated entirely.)*

Ref no.	Project Name	Description	Priority	Current Status
6	Ethics - Human Protocol Approval	Automate creation and email distribution of Approval, Admin Review and Amendment letters for human protocols, and for funded research, letters only distributed upon matching of Ethics protocol to Fund number by PI and input into AMS (to ensure correct link between protocol and Fund number)	5	QA testing underway
7	Ethics - Animal Protocol - Automate Letters	Automate creation and email distribution of two letters to PI related to animal protocol (approval and notice of upcoming expiry) subject to linking of funded research as described in item 5.	6	Draft specs completed
8	Automation of monthly OH postings	Automate monthly postings of Overhead actuals to research funds.	7	Not yet assigned
9	Cash Receipts	Automate cash receipts (Tri-Council). Enable the automatic posting of revenues into individual research Funds based on notification from sponsor.	8	Specs to be created.
10	Research Revenue Clean Up	Clean up missing Revenues in NSERC and CIHR grants (historical).	9	Specs to be created.
11	Sub Grant Disbursement	Automate processes related to administering subgrants from UofT to other institutions (cheque requisition of a subgrantee payment, generation of installment statement for subgrantee, incorporation of controls on release of payment, etc.)	10	High level change request submitted to EASI – full specs required.
12	Check for Active FReDs with outstanding Ethics approval and missing NoPosting status	Create a report to identify active FReDs that i.) are linked to non-approved Human or Animal Protocols or Biosafety Permits or have the "Ethics protocol required" flag checked, AND ii) no NoPost exists on the Fund. This is to identify cases that might require funds to be frozen. Include a feature to mark as reviewed to avoid repeat investigations of the same cases.		Specs to be created.
13	Enhance Number of Financial Reports	Enhance a number of Financial Reports in FIS to enable access to additional data for research accounting and facilitate periodic financial reporting		a. One report enhanced and in AMS b. Specs to be developed for other reports
14	Funded Research Digest Notification	Automate email notification of FReD creation or revision (email sent to PI, BO, Research Accountant) and enable FReD to be saved as a PDF.		Specs in development
15	MROL - certify sponsor report	Add feature on MROL to enable PIs to certify sponsor report at grant year end and project end or as required by research or contract.		Initial requirements collected

Ref no.	Project Name	Description	Priority	Current Status
16	Original Sponsor Reporting	Enable recording of information related to the original sponsor of a subgrant/subcontract (e.g., if we get funding directly from McMaster University as a subgrant from Ministry of Health (the original sponsor), allow us to record info on both McMaster and Ministry of Health).		Testing underway
17	RIS Datamart	Add RIS application and award information to RIS Datamart, the RIS subset of data within the AMS Data warehouse (a repository of information from several databases at UofT).		Development nearly complete. Some data quality to be cleaned up by grants/contracts teams (orphan budgets) and further testing required
18	Automation of NoPo carryforward	Automate copying NoPosting status (NoPo) from the old fiscal year to the new fiscal year on Funds at fiscal year end (table FMAPSTAT)		Specs submitted to EASI.
19	Modify Employee Info Report	Fix bugs and add info to Employee Info Report to assist teams with checking PI eligibility for applying for or receiving research funding. (report ZHMR164)		Initial specs collected from Fred Zhu and team
20	Royalties	Automate calculation of royalty payouts as part of review of entire work flow.		Specs to be created.
21	Modify budget reconstruct selection screen	Modify selection screen for the Budget Reconstruct transaction in FIS (ZFTU102) to prevent accidental run of more than 100/(TBD) Funds (which prevents other users from postings revenues, expenses, or budgets to any account in FIS).		Requirements collected
22	Modify Monthly Employee Extract program	Modify the logic in the monthly program that extracts personnel records from HRIS and loads it into RIS so that it includes status-only personnel.		Initial specs collected
23	Attach PDF to Fund Master	Attached PDF of award agreements/contracts and subcontract agreements to FUND		This will be an early-delivered component of item 7, above
24	Blue Form changes	Update Blue Form for controlled goods, including Biohazard and lab location, and construction/renovation with a view to link into other central applications in the future		Specs to be created.
25	Add logic to Customer number field on Funded Research Digest (FReD)	Add logic to "FReD>create" transaction so that the MRI and CRC FReDs fill in with their alternate customer number (can be mapped by program number). Currently user has to remember to change it manually and often forgets so we do an annual check using the databrowser before grant year end and fiscal year end. Alternative would be to create a data quality report that would periodically identify the FReDs with the wrong customer number.		Specs to be created.

Ref no.	Project Name	Description	Priority	Current Status
26	Number of small modifications to the RIS Application and Award reports	1. Add Competition deadline date, Amount requested, and Division & Program number to Apps by Sponsor and Apps by Location 2. Add a field for Country to selection screen of Apps and Awards by Location (this will look at country code of customer address KNA1 and allow us to identify funding by country) 3. Fix grant start and end dates on Award reports when report run with Pro-rated amounts - currently they show as 00.00.0000		Initial specs collected
27	Add Cost Centre number to Fund Reconciliation Report zftr074	Add the Cost Centre number to the Fund Reconciliation Report zftr074 (report and download) to provide all info necessary for Research Accountant to post revenue adjustments. Currently this is added manually or by linking data from other reports using an Access query. The Cost Centre number can be found in table ZZRAD field ZZRCOSTCTR.		Specs to be created.
28	Interest Revenue Posting – Automated Monthly	Automate posting of EFIP interest revenue and expense calculation on restricted funds on a monthly basis (currently posted only annually).		Specs to be created.
29	Add OH check to Funded Research Digest (FReD)	Add a check to the FReD to ensure that Fund with an Overhead budget category have the OH classification code. This should be mandatory.		Specs to be created.
30	Data Quality Checks	Develop number of on-line and nightly data quality checks within all areas of RIS and FM budgets to ensure data that are being used to automate processes are correct.		Specs in development.

Group One initiatives (Closed Items):

As of 13 April 2011

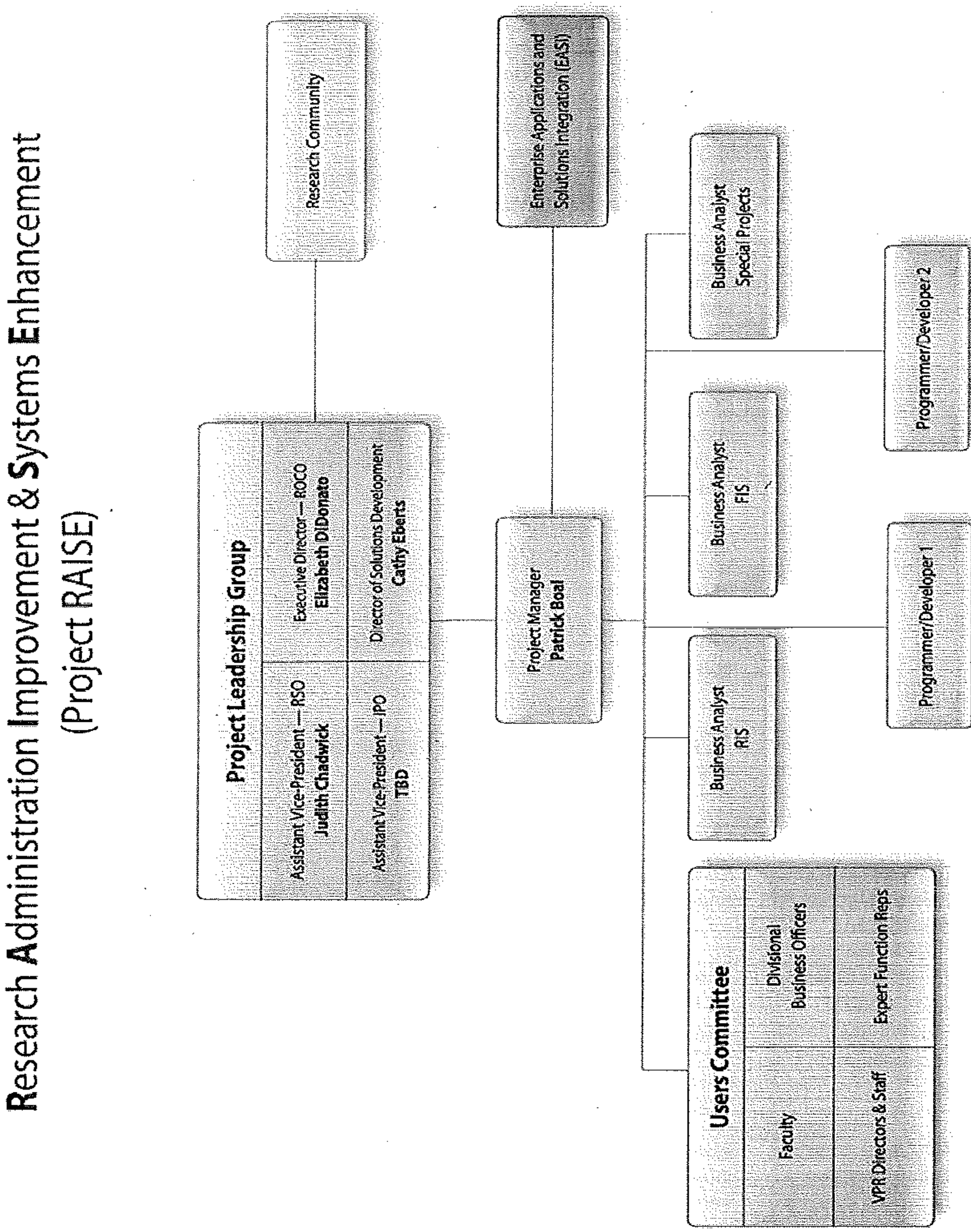
Ref no.	Project Name	Description	Priority	Current Status
1	Ethics - Human Protocol renewal	i. Develop report to identify active research funding/FReDs linked to human protocols that have expired. This will enable us to identify grants on which we need to freeze access to funds (set NoPo).	complete	COMPLETE and in AMS.
2	Ethics - Human Protocol renewal	ii. Enhance human protocol data entry process 1. Develop two nightly jobs to automatically update status of human protocols (to expired or closed, as appropriate), and 2. add several on-line checks to improve data quality on fields that will trigger emails to PIs.	complete	1. READY for deployment - Nightly jobs complete and in AMS (March 2, 2010) – will be activated when automated letters and enhanced data quality are live 2. COMPLETE and in AMS - On-line validations.

Ref no.	Project Name	Description	Priority	Current Status
3	Fix bug in PI Monthly Review report	Some data (CFCs and Funds) are missing from "Status of PI Monthly Report Review by PI" report (ZFTR101).	complete	COMPLETE and in AMS
4	Fix CFC report on Overview of Research Funding screen in My Research On Line (MROL)	Fix revenues on CFC report - currently show with wrong sign	complete	COMPLETE and in AMS
5	Modify "New PI CFC match to MROL User ID" report (ZFTR094)	Report ZFTR094, which matches CFCs to and AMS user ID for the purpose of adding to MROL authorizations, needs to be modified slightly to identify if AMS user has MROL or just Employee Self Serve (ESS) account.	complete	COMPLETE and in AMS
6	Enhance Number of Financial Reports	a. Optimize ZFTR017F - CFC/Fund Balances Report	complete	COMPLETE and in AMS

Group Two initiatives (Open Items):

Ref no.	Project Name	Description	Priority	Current Status
1	Electronic Submission of RIS Application Attachment	Enable electronic submission and workflow (online electronic approvals) of the RIS Application Attachment form (previously known as Blue Form and GRIP Form) through a user-friendly web interface.	1	Bob Dirstein - specs complete - local approval secured - presentations to divisions underway
2	Ethics - Human Protocol On-line Submission	Enable Human Protocol Submission Forms to be submitted on-line with electronic workflow (online electronic approvals) and auto-creation of RIS record.	2	Bob Dirstein - draft specs complete
3	Ethics - Animal Protocol On-line Submission	Enable Animal Use Protocol Form to be submitted on-line with electronic workflow and auto-creation of RIS record.	3	Bob Dirstein - flow charts in development
4	Automate Upload of award results	Automate creation of FReDs, Funds, Budgets etc. for new and continuing award installments based on the notification of awards from a sponsor (beginning with Tri-council awards)	4	Not yet assigned - discussions with sponsor may be paired with discussions regarding electronic transfer of revenue data, Group 1
5	Document Imaging	Enable attachment of external documents (e.g., agreement, fuller budget details) to FReD (or Fund) - viewable in RIS and eventually MROL (including addressing confidentiality considerations).		Not yet assigned - may be one of the components of solution for Subgrant Disbursement project listed above (link to Fund Master)
6	Enable Biosafety certficates/system access to RIS Application Attachment	To enable information capture through RIS Application Attachment		
7	Create link re Energy Use via RIS Application Attachment	To support researcher awareness of energy demands in research		
8	Separate Masters and Doctoral student payments on financial reports	Enable payments to be tracked separately for Masters and Doctoral Students so that they can be reported separately on the Tricouncil Year end report - ZFTR045. This will affect other reports (e.g., PI monthly in R/3 and MROL).		New G/Ls have been created but need to be tested. Change requests for financial reports need to be written.
9	MROL Enhancements 2010	Add several enhancements to MROL, including an alerts or communications section.		Not yet assigned
10	Several changes to Research Cube March 2010	a. Counts disappear when grant year dimension is changed to fiscal year. b. Need to change way in which the count of awards by grant start date is calculated.		Item a. is complete and in production.

Appendix 2



Research Administration Improvement & Systems Enhancement
(Project RAISE)
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Enterprise Applications and Solutions Integration (EASI)
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Programmer/Developer 2
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Faculty
Divisional
Business Officers
VPR Directors & Staff
Expert Function Reps