OFFICE OF RESEARCH ADMINISTRATION

FY20 ANNUAL REPORT

EMORY UNIVERSITY

Letter from VP for Research Administration

Robert Nobles, DrPH, MPH, CIP
*Vice President for
Research Administration*

Dear colleagues,

In a year of change and uncertainty, the Office of Research Administration (ORA) remained vigilant and proactive in our support for the Emory University research enterprise. We continued to accelerate our approach to providing excellent service and technical expertise in proposal development, sponsored programs administration, and compliance requirements.

As we entered this fiscal year, our commitment was to improve quality, timeliness and collaboration with our partners in research community. We have worked tirelessly to build trust by being accountable, transparent, and consistent in our communications. In a year of change, we focused on getting measurably better in everything we do.

Fast Tracking Pandemic-Related Research
With the arrival of a worldwide public health crisis, our departments and units mobilized to meet the challenge by adapting workflow and support for faculty, staff and researchers. The ORA team moved with determination and agility to prioritize the review of COVID-19 research while ensuring that other research operations continued seamlessly. Some of the highlights include:
• fast-tracking reviews of more than 200 studies;
• working on the front lines of establishing safety standards within our research spaces;
• developing methods of response and disinfection when a COVID positive case is identified;
• engaging in process improvement activities for our offices that touch research proposals & awards (RAS, OSP, RGC, OTT, and OCR);
• and improving our research compliance coverage and support.

I'm immensely proud of the ORA team for their hard work, flexibility, and resilience during this year of uncertainty and extraordinary change.

Envisioning a new Strategic Roadmap
Despite the upheaval caused by the pandemic, we kept continuous improvement a priority. We defined what kind of team we want to be, articulated the quality standards we'll uphold, and recommitted to continuous collaboration, communication, and accountability. The ORA Strategic Plan, which includes a new ORA mission, vision, and values, aligns with Emory's institutional mission and clarifies our ways of working for our people. We've been thoughtful and intentional in launching the One ORA initiative, a multifaceted program to create a workplace environment that attracts and retains top talent.

These efforts are underpinned with actionable metrics. With input from faculty, clinicians and research administrators, ORA developed a process to identify and report on metrics that matter most to researchers. These priorities now document our performance. Established KPIs monitor our results in the areas of quality, timeliness, and volume of research administrative work.

Driving Continuous Improvement
Despite social distancing, ORA doubled down on accelerating actions related to strategic improvement. Recent work with McKinsey and Huron yielded more than 160 recommendations for efficiencies across ORA and our cross-functional partners. These ranged from simple changes to cross-office policy overhauls. Through FY20, more than 30 of the recommendations were implemented, a true accomplishment when dealing with the acute impact of COVID-19 on our campus. We made progress in:
• enhancing and streamlining our IT infrastructure;
• committing resources to resolve backlogs related to closing out awards;
• improving efficiency, training and transparency in the nine RAS units;
• optimizing award closeout procedures; and
• reducing study amendments by improving investigator education

The newly established Office of Strategic Operations is charged with tracking implementation of the balance of the consultant recommendations. It will drive process change, cross-functional continuous improvement efforts, and support strategic ORA initiatives focused on people, quality, and timeliness.

Reaching New Milestones
Emory's reputation as an institution that can deliver impactful results is evidenced by research investment. For FY20, the University earned $831 million in research funding—a new record—with increases in Federal and non-Federal funding. More than 10 percent of total awards were for COVID-19 research. Emory ranked third in NIH COVID-19 funding among U.S. universities—and ranked first among universities in the state of Georgia. We are extremely pleased with the milestones and ongoing growth of Emory's research activities; which includes our ability to provide the infrastructure and service to meet our profound progress.
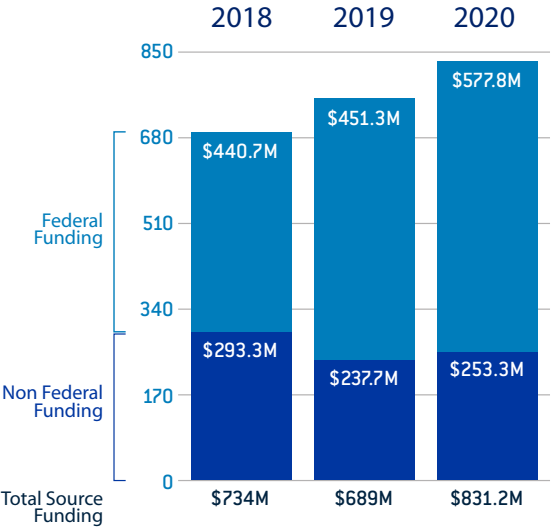
Strengthening Research Success
As a university, we measure ourselves against the best. As a unit, ORA strives to be the best in the nation and provide results-driven value to the research enterprise. We are appreciative of those who've partnered with us and provided thoughtful feedback as we journey to continuous improvement. Every day, we're committed to supporting your success.
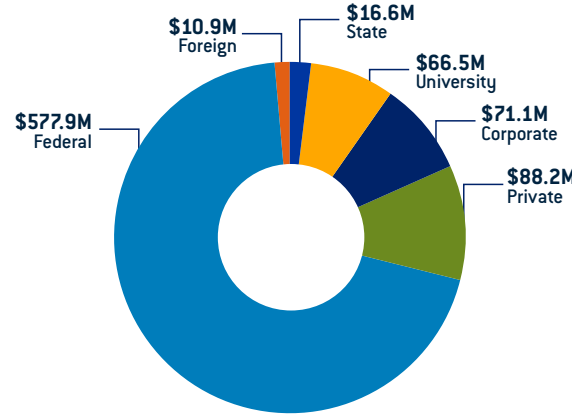
Respectfully,

[signature]

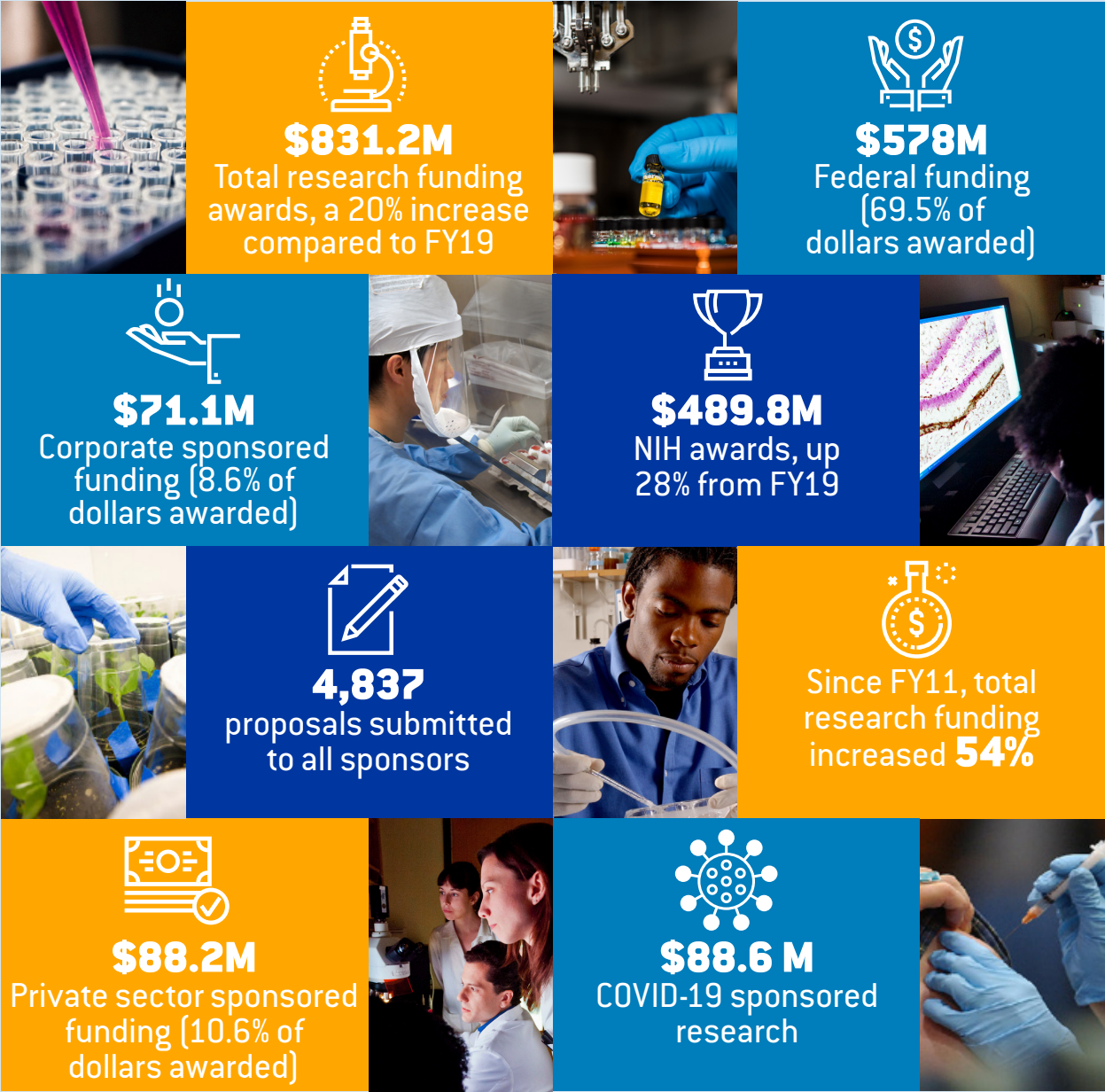ROBERT NOBLES, DRPH, MPH, CIP
Vice President for Research Administration

RESEARCH FUNDING THREE YEAR SNAPSHOT

	2018	2019	2020
Federal Funding	$440.7M	$451.3M	$577.8M
Non Federal Funding	$293.3M	$237.7M	$253.3M
Total Source Funding	$734M	$689M	$831.2M

SOURCES OF RESEARCH FUNDING FY20

$577.9M Federal
$10.9M Foreign
$16.6M State
$66.5M University
$71.1M Corporate
$88.2M Private

FY20 Research Funding Results

$831.2M
Total research funding awards, a 20% increase compared to FY19

$578M
Federal funding (69.5% of dollars awarded)

$71.1M
Corporate sponsored funding (8.6% of dollars awarded)

$489.8M
NIH awards, up 28% from FY19

4,837
proposals submitted to all sponsors

Since FY11, total research funding increased **54%**

$88.2M
Private sector sponsored funding (10.6% of dollars awarded)

$88.6 M
COVID-19 sponsored research

FY20 Top Award Funding

School/ College	Award Amount	% Total Dollars Awarded in FY19
School of Medicine	$565.2M	68.0%
Rollins School of Public Health	$110.8M	13.3%
Yerkes National Primate Research Center	$88.4M	10.6%
Emory College	$41.8M	5.0%
Nell Hodgson Woodruff School of Nursing	$15.3M	1.84%

$783.3
Total funding in the Woodruff Health Sciences Center, representing 94.2% of FY20 awards

1,488
Subcontracts issued by the University on research grants and contracts during FY20

The ORA Strategic Plan

During FY20, our leadership embarked on a process to develop and implement the Office of Research Administration Strategic Plan: *Strengthening our Foundation for Research Success.*

The strategic plan is designed to ensure that ORA's activities are aligned with organizational values of delivering quality service and streamlining operations within Emory's research enterprise. This 18-month blueprint defines our goals, leverages our assets, and bridges both with tactical targets to implement our mission. To ensure effective fulfillment, individual units have committed to execute detailed strategic plans in support of the larger vision.

Working in tandem with our strategic plan implementation is a defined set of mission metrics. These key performance indicators will enable ORA units to evaluate and evolve our service to the Emory research community.

A New Mission and Vision for ORA

We began the strategic plan with thoughtful consideration of our mission, vision, and values. These will guide our decision-making, actions, and accountability to the Emory research enterprise. They support Emory's institutional mission and illuminate how we work for our people.

Our Mission is to provide collaborative administrative support, efficient systems, and technical expertise to facilitate scholarship, research, and discovery within the Emory community from inception through application and dissemination.

The Mission is supported by three Vision Statements focus on our aspirations and support for the University Research enterprise:

• Build a robust and resilient infrastructure

• Pursue and reach operational efficiency

• Recruit and develop a strong and supported workforce

Additionally, everything we do will be underpinned by collaboration, transparency and communication.

Mission Metrics Foster Accountability

Through the Mission Metrics initiative, which is the ORA's internal quality monitoring program, we will ensure that our strategic priorities and accomplishments are transparent to the research community. We've reached out to faculty and researchers to gain their insight into distinguishing the operational metrics of most importance to them. Collaborative feedback became the basis for our reporting.Quarterly updates chart our progress against the plan and identify areas for continuous quality improvement.

Values that Guide our Actions
Our values provide a framework that help shape the way we work.
Integrity | Responsibility | Knowledge
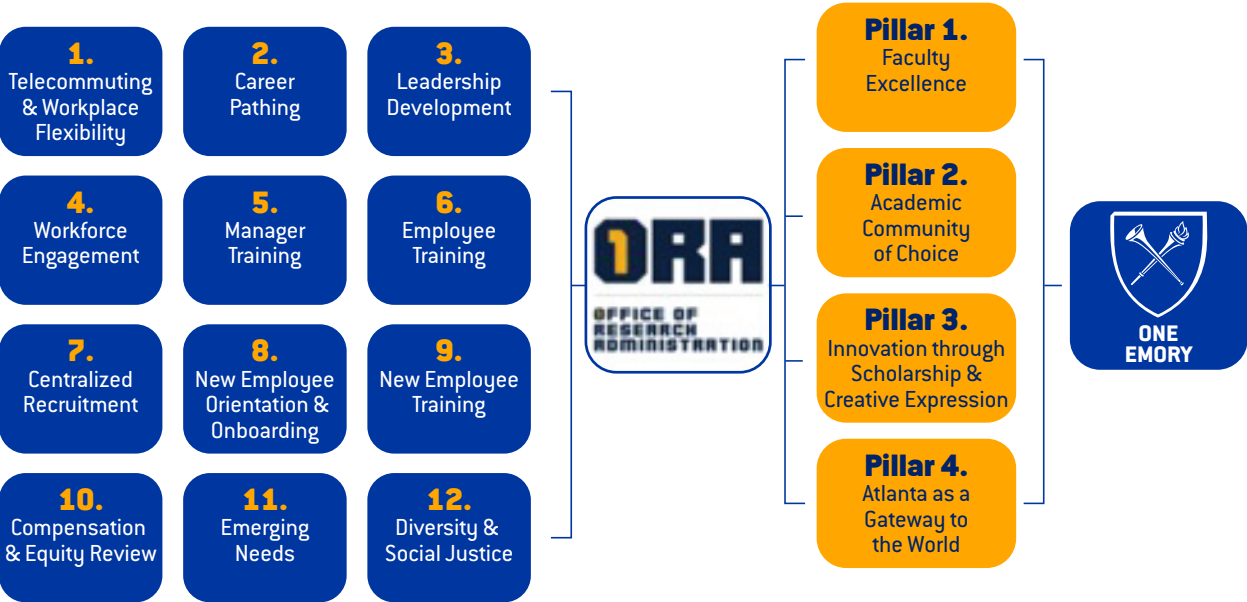*Teamwork | Achievement*

One ORA: Evolving our Talent and Culture

In order to attract, develop, engage, and retain top talent, ORA must be a great place to work. During FY20, we initiated a comprehensive project to align ORA with the One Emory Plan and create a roadmap for improved people practices.

The One ORA initiative will ensure employees understand what success means for their role, the behaviors we expect and celebrate, how career paths work, and how we support a workplace culture of communication and transparency.

It consists of 12 integrated workstreams that will address flexibility at work, engagement, compensation training, recruiting diversity and social justice, and emerging needs. Employee representatives from across the units are engaged in developing, implementing, monitoring, and reporting key milestones of the project.

1. Telecommuting & Workplace Flexibility

2. Career Pathing

3. Leadership Development

4. Workforce Engagement

5. Manager Training

6. Employee Training

7. Centralized Recruitment

8. New Employee Orientation & Onboarding

9. New Employee Training

10. Compensation & Equity Review

11. Emerging Needs

12. Diversity & Social Justice

ORA — OFFICE OF RESEARCH ADMINISTRATION

Pillar 1. Faculty Excellence

Pillar 2. Academic Community of Choice

Pillar 3. Innovation through Scholarship & Creative Expression

Pillar 4. Atlanta as a Gateway to the World

ONE EMORY

Conflict of Interest Office

The Conflict of Interest Review Office provides oversight, systemic safeguards, and regulatory expertise in managing individual and institutional financial interests that could impact research and scholarly activities. In doing so, we support Emory investigators and scholars in maintaining integrity in their research efforts.

Achievements

The COI team continued work on the IT Business Plan to update and enhance the eCOI software program to improve COI and research staff efficiency. In December 2019, we implemented a renewal for the Proposal Financial Interest Reports for ongoing research. This change saves research administrators valuable time through automation by utilizing a database that keeps all of the forms together throughout the life of a research grant or contract for auditors and quality analysts.

In partnership with the School of Medicine Faculty Affairs Office, the office engaged in a SOM-wide effort to present training at faculty meetings in every department. This initiative was launched to educate investigators about compliance with COI management plans. We reached all SOM departments to communicate about the appropriate disclosure of conflicts commitment, other support, and foreign components when applying for or reporting on federal grants. Additionally, trainings covered appropriate disclosure of financial interests and external activities.

Efficiency and Performance Initiatives

- Obtained approvals to purchase the Huron COI system were obtained in August 2020.

- In partnership with the EBI team, the office is creating a prototype report that will track faculty members' full commitment and effort in a single report. This will ensure proper disclosures under the federal agencies' new requirements.

- The COI Office developed a corrective action plan that was accepted by the Office of Compliance. A follow-up audit will take place in summer 2021 to determine compliance with the plan.

New Review Committee Co-Chair

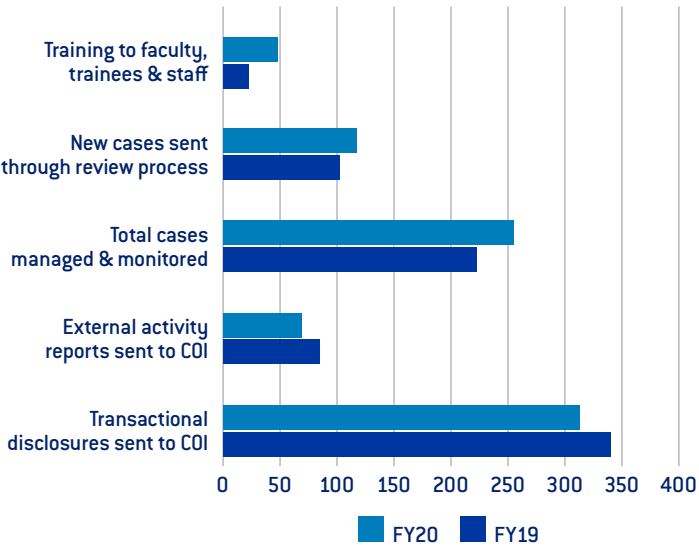In February 2020, Dr. Elizabeth Krupinski, Vice Chair for Research, Radiology & Imaging Sciences, was appointed as Co-Chair the COI Review Committee. Dr. Krupinski is the first woman to hold this leadership role.

2021 GOALS

- Implement Huron System and train faculty and staff on its use.
- Adapt to new Federal regulatory/policy changes.
- Conduct international engagement survey.

KEY METRICS

(Bar chart comparing FY20 and FY19)

- Training to faculty, trainees & staff
- New cases sent through review process
- Total cases managed & monitored
- External activity reports sent to COI
- Transactional disclosures sent to COI

X-axis: 0, 50, 100, 150, 200, 250, 300, 350, 400

Legend: FY20, FY19

Environmental Health and Safety Office

The Environmental Health and Safety Office (EHSO) is responsible for protecting and preserving the health and safety of Emory's faculty, staff, students and visitors. This is accomplished by six organizational units: Environmental Compliance, Occupational Safety and Industrial Hygiene, Radiation Safety, Research Safety, Yerkes Primate Center Safety, and Training and Outreach. EHSO supports the research, education, campus services and healthcare communities.

Efficiency and Performance Initiatives

- EHSAssist software for radioactive materials (RAM) management was launched to better support Emory's community of RAM users that includes both University and Healthcare applications.

- The low-level radioactive waste (LLRW) program was revised to eliminate unnecessary transportation of RAM. Benefits from this process improvement included reduction of regulatory burden by minimizing the number and frequency of DOT and NRC regulated shipments by 40-50-%; reduction of RAM disposal costs; and a 75% reduction in staff time.

- The Radiation Safety Committee reduced time of applications and amendments for the human use of radioactive materials by 11.6%.

COVID-19 Responsiveness

- EHSO staff contributed expertise and experience in infection control and occupational health and safety to support the entire Emory Community throughout the COVID-19 pandemic while balancing 'normal' operations. Some key deliverables are noted on the dashboard on the next page. As a result of these efforts, EHSO has developed stronger relationships with business units and schools.

- The staff led the effort and opened the Yerkes ABSL-3 nonhuman primate facility for COVID-19 research in two months. This involved training 30 individuals, securing PPE, and confirming facility operations. The department also participated in the preparation and clearance of five BSL-3 lab suites to conduct COVID research.

- COVID-19 research demands have revealed the need for consistent high containment laboratory management across the institution.

Achievements

- Continued support that provides high containment laboratory management and safe operations, which directly benefit RADx projects.

- EHSO facilitated the on-time implementation of a new EPA Pharmaceutical disposal regulation. This regulation primarily impacts Healthcare and required collaboration between University and Healthcare stakeholders.

2021 GOALS

- Implement an EHSO enterprise software solution to integrate all programs and provide single interface for EHSO and customer groups.
- Develop a comprehensive EHSO communication strategy and develop clearly defined service level agreements.
- Create an EHSO advisory committee to provide voice and guidance from our research community.

Key COVID Support Metrics

2,500
return to campus consultations

25
COVID-specific guidance documents

1,700
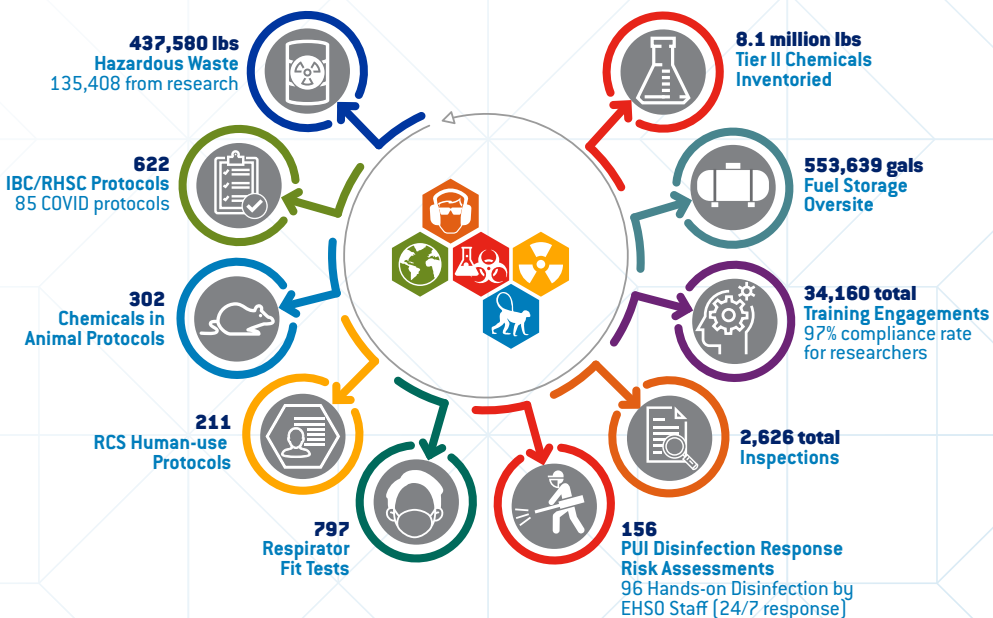support hours to committees

17,578
training engagements

96
hands-on disinfection responses to Person Under Investigation (PUI) spaces

85
COVID research proposals reviewed

EHSO BY THE NUMBERS

437,580 lbs Hazardous Waste 135,408 from research

8.1 million lbs Tier II Chemicals Inventoried

622 IBC/RHSC Protocols 85 COVID protocols

553,639 gals Fuel Storage Oversite

302 Chemicals in Animal Protocols

34,160 total Training Engagements 97% compliance rate for researchers

211 RCS Human-use Protocols

2,626 total Inspections

797 Respirator Fit Tests

156 PUI Disinfection Response Risk Assessments 96 Hands-on Disinfection by EHSO Staff (24/7 response)

Institutional Animal Care and Use Committee

The IACUC office has the responsibility of ensuring the proper care, use, and humane treatment of animals used in research, teaching, and testing. They provide technical and administrative support, along with regulatory expertise, to researchers across campus. Additionally, they coordinate the activities and functions of the IACUC committee, which is comprised of faculty scientists, veterinarians, community members and non-scientists. Their collective activities ensure that investigators can fulfill their obligation to plan and conduct animal experiments with the highest scientific, humane, and ethical principles.

Efficiency and Performance Initiatives

IACUC presented the new Protocol Review and Approval Task Force recommendations, which included six opportunities for improvement and twenty specific recommendations. By FY20 close, fourteen were completed as recommended, three are considered addressed after COVID-19 related revision, and three are ongoing.

Altered the practice of requiring investigators to allocate and justify animal numbers by individual funding sources for those species not covered under the Animal Welfare Act or funded through DOD. This reduced burden on DAR business operations units and streamlined efficiencies in IACUC protocols.

Completed the eIACUC system upgrades that streamline protocol review, increasing transparency and efficiency, and providing extensive guidance and training for the research community.

Developed extensive guidance to the research community for protocol submission and review.

Developed a systematic approach to mine metric data from eIACUC and utilized the data to create custom reporting metrics for protocol review and approval.

Administrative amendment review times dropped almost in half, from an average of 2.9 days in 2019 to 1.6 days in 2020, despite a 47.3% increase in the number of submissions. This is significant as a measure of IACUC office staff turnaround efficiency.

COVID Responsiveness

Transitioned federally required semi-annual site inspections from "on-site" to virtual due to the COVID pandemic. This allowed us to maintain federal compliance while practicing social distancing and reducing the impact of inspections on staff.

2021 GOALS
- Reorganize the IACUC office structure to develop senior leadership and to provide greater service level experience to the research community.
- Implement recommendations from the IACUC working group on protocol review consistency.
- Increase campus presence by re-instituting physical.
- Increase campus presence by re-instituting physical Site-Inspections, readiness rounds, and Post-Approval Monitoring programs. These activities foster positive interactions between the IACUC and the research community and provide opportunities for communication and collaboration.

IACUC PROTOCOL REVIEW TIMES REPRESENTED AS AVERAGE CALENDAR DAYS IN REVIEW

■ FY19 ■ FY20   * Represents the average number of calendar days with the designated group during review
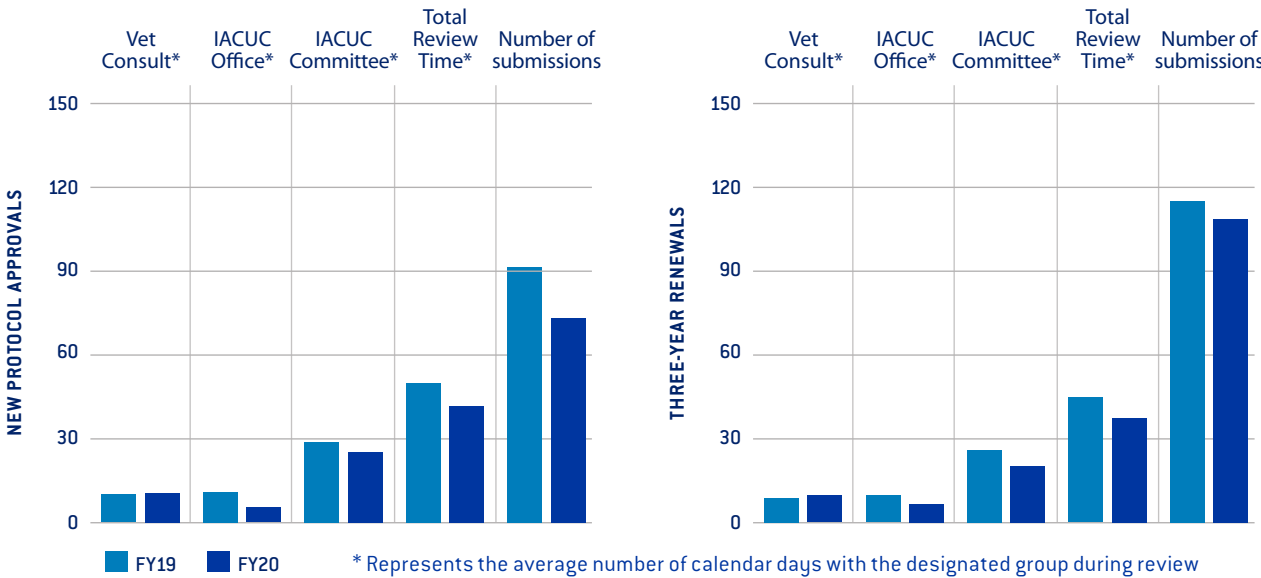
41.8 DAYS
New Protocol Review
Average time reduced by 16% in FY20

37.3 DAYS
Three-Year Renewals
Average time reduced by 17% in FY20

Institutional Review Board

The IRB facilitates ethical and compliant human subjects research. Along with supporting the university's ethics review committee, they are the central component of Emory's multi-tiered Human Research Protection Program. They maintain a toolbox of documents designed to aid researchers in preparing submissions and project implementation.

Efficiency and Performance Initiatives

Our Reliance Team developed a process and tools for Emory University to serve as the single IRB for multisite studies and began piloting them with a multisite study. We also expanded our Reliance Team to accommodate the increase in studies reviewed by external IRB's.

New eIRB System

The implementation of the new eIRB system migrated all active studies from the legacy system. To accompany the system change, we updated most of our SOPs, checklists, guidance, and instructions, and provided outreach and training. The new system integrates most CITI training data, saving time during IRB administrative review. Additionally, the smart forms are also shorter, and review forms have been eliminated for IRB members. Required protocol templates (optional in our old system) increase the likelihood of complete submissions.

COVID Responsiveness

At the start of the pandemic, the IRB had to rapidly create guidelines for temporarily holds on research, for when and how to submit safety-related procedure changes, and later, for resuming in-person research visits safely. The guidelines were designed to ensure compliance during this unprecedented situation, but also to avoid unnecessary burden on research teams and IRB staff.

As a partner in the Rapid Response Team, the IRB helped expedite central or local IRB approval for those studies that were designated as Rapid Response clinical trials.
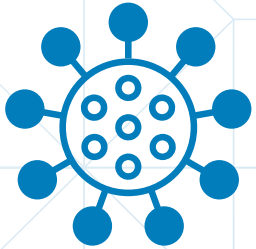
2021 GOALS

- Seek AAHRPP reaccreditation based on the Revised Common Rule, which prevents us from repurposing prior years' successful applications.
- In accordance with the Belmont Report principle of justice, the IRB will work to enhance its role in promoting diversity in research participation.
- Successfully serve as single IRB for multiple multisite investigator-initiated studies; we will also finalize a cost model to make it practicable to do at a larger scale.
- Continue to fine tune eIRB system to improve overall product.
- Create habits and routines that support our staff, lift morale, and continue training and development while working remotely.

NEW STUDIES

Legend: COVID New Studies | Non-COVID New Studies | Total New | Linear (Total New)

MODIFICATIONS

Legend: COVID Mods | Non-COVID Mods | Total Mods | Linear (Total Mods)
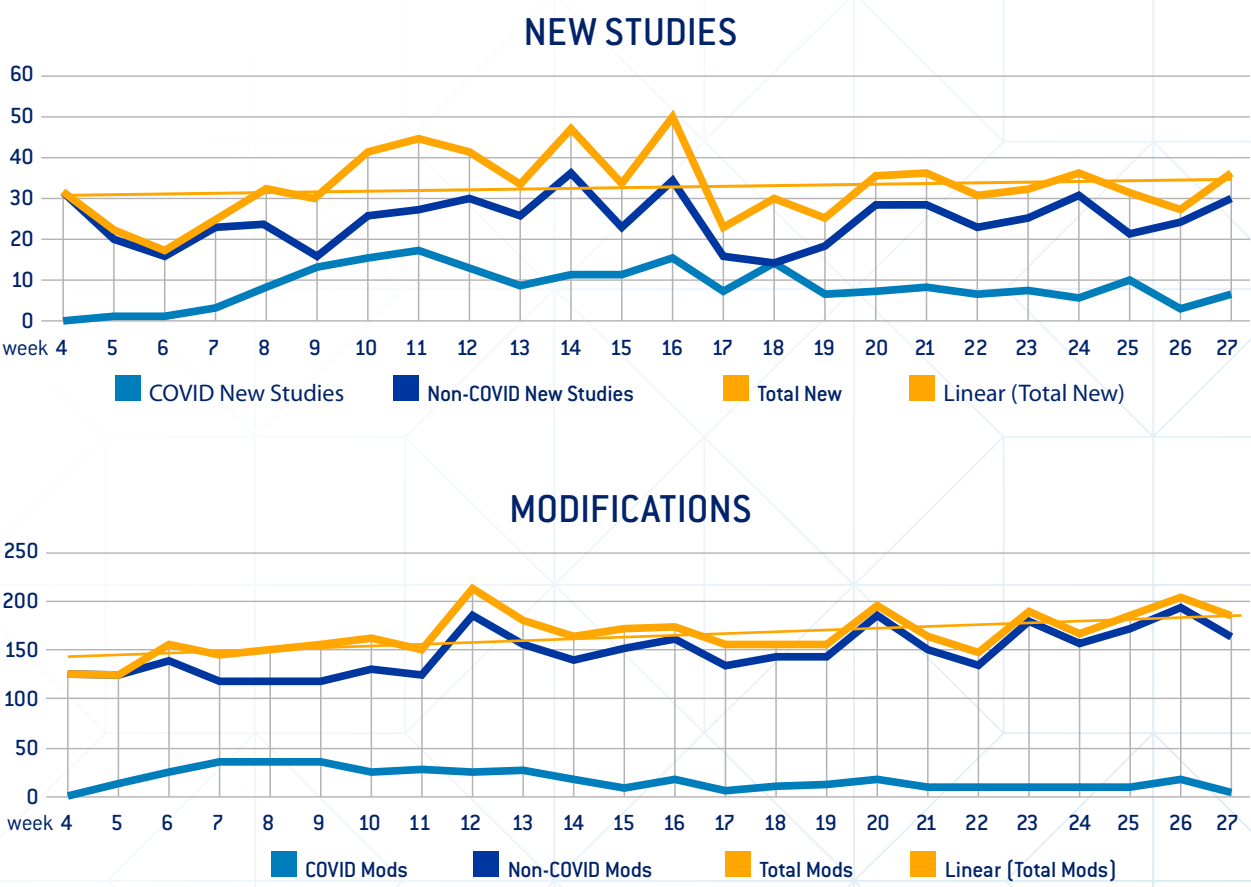
177
Reviewed and approved COVID-19 related studies

50
Modifications adding COVID-19 aims to existing studies

Office for Clinical Research

The Office for Clinical Research (OCR) contributes to many operational aspects of conducting clinical research at Emory. Their roles include research staff trainings, clinical trial invoicing, pre-award activities, and maintenance of updated study data in a variety of internal and external systems. In these workstreams, they cross boundaries to meet the needs of researchers through service excellence.

Achievements

The Pre-Award team negotiated non-federal budgets with median 21% higher than the sponsor's initial offer for 318 studies totaling a difference of $16,290,456 if target enrollment met.

ClinicalTrials.gov listed a total of 1,069 study records (298 active) under Emory as the sponsor. OCR initiated registration for 74 studies, updated 527 study records, addressed 31 QA Review Comments, updated records for 51 amendments, and entered results for 29 studies.

The Invoicing team statistics show a 36% decrease in total number of research subjects and a 14% decrease in total number of research visits from FY19 to FY20. However, there was a 38% increase in total payments received for that same time period with $40,618,420 payments received and reconciled in FY20.

COVID Responsiveness

Since March, the CRSS team facilitated 28 COVID-19 studies through the Rapid Response Team (RRT)

with a median of 11 days from RRT activation until an executed CTA. To date, 492 subjects enrolled for COVID studies facilitated by RRT.

Additionally, the Pre-Award team completed 23 PRAs and 10 budgets for COVID-19 studies processed through RRT with a median of 3 days from RRT activation until OCR completed. This resulted in reviewing 6.7% more Pre-Award studies in FY20, as compared to FY19, with a 12.2% increase in PRAs while decreasing time to completion by a median of 8.6%.

The Education team quickly converted classroom courses to on-line via Zoom, noting a 3% increase in the number of students. We increased the number of monthly course offerings to accommodate new hires for COVID studies, and instituted special COVID precautions (CDC/EHSO/AHA) to continue offering our AHA BLS course with the utmost protection of our instructors and learners.

The ClinicalTrials.gov team verified recruitment suspension (due to COVID-19) for 190 actively recruiting studies. The FDA/NIH requires updates to ClinicalTrials.gov within 30 days.
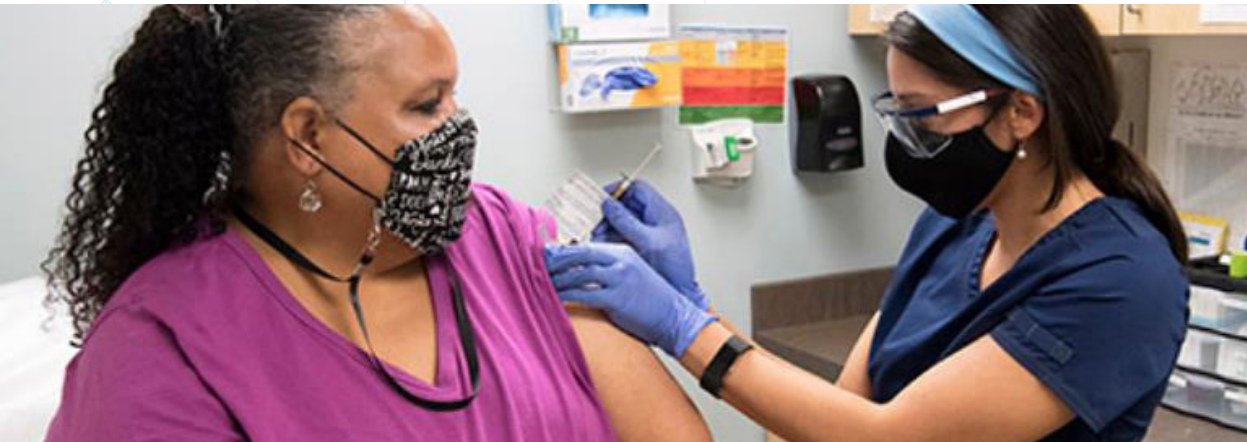
2021 GOALS

- Continue to perform high quality PRAs and decrease the turnaround time to complete PRAs/budgets to 30 days in FY21.
- Implement Clinical Trials Automated System from BPMS into SalesForce with an Investigator Dashboard displaying pre-award approval status across ORA departments for each clinical trial.
- Communicate & educate the impact of clinical trials with no/low enrollment. Develop clinical research feasibility tools to assist departments without processes for clinical trial feasibility review. Establish monthly departmental reports on no/low clinical trials.
- Facilitate the implementation of OnCore or other CTMS in collaboration with Research IT & LITS: develop RFP.
- Implement an intermediate level Financial Management & Research Billing Compliance course to inform study teams about the financial management of a grant account and research billing compliance at Emory.

Key COVID Support Metrics

433
studies in ERMS and PowerTrials

10,065
research subjects

9, 654
consent documents

355
Clinical Research Key Points

255
IDS Drug Data Sheets

615
PRAs

43%
increase in Help Desk inquiries

Office of Sponsored Programs

The Office of Sponsored Programs supports University researchers with proposals, non-industry contracts and awards for Federal grants, foundation grants, corporate grants, government contracts (Federal, State and local), incoming subcontracts under above Grants and/or contracts, and outgoing subcontracts on above awards.

Achievements

Record research funding
- Supported Emory University's new record year for both sponsored awards — $831M — and sponsored proposal funding, $1.45B.

Efficiency and Performance Initiatives
- Reduced average award setup time for OSP processing of grants by one day, from an average of 6 days to 5 days.

- Reduced subaward processing times from FY2019, including reducing OSP processing time from an average of 33 days in FY19 to an average of 19 days in FY20. The overall subaward processing time was reduced from an average of 76 days in FY19 to an average of 44 days in FY20.

- Continued process transformation work streams and identified Champions for each of the five work streams.

- Updated the eGTS and eCTS to include the Compass Award Setup Request number as a reportable field in each grant and contract award record. This will allow for updated reporting in EBI to document timeframe from award receipt in OSP to NOA completion.

- Completed a redesign of the Subaward Request pages in order to make it easier for RAS to convey the information necessary for a subaward to be issued; eliminate the need to gather information outside the system); and allow for more streamlined handling of requests that require additional information and enhance tracking requests within OSP.

**COVID Responsiveness support**
The department engaged in several COVID-19 related Rapid Response Projects which include:

- RADx program for Dr. Wilbur Lam; this project involved rapid turnaround of subawards for rapid evaluation of COVID-19 diagnostics. OSP collaborated closely with the Emory project team and other partners to implement rapid turnaround of contract negotiation and execution. Some subawards were executed in a one-day timeframe.

- Developed new service model to support CoVPN institutions' participation in Operation Warp Speed studies. Involved the drafting of Non-monetary Agreements between Emory and CoVPN partners participating in COVID-19 vaccine trials and performing this contracting function for participating sites.

2021 GOALS
- Prioritization and completion of remaining workstream initiatives from the McKinsey and Huron transformation recommendations.
- Provide the full award setup processing time metrics from EBI in partnership with OSP will work with RGC and the EBI team.
- Finalize the realignment of the payment processes for foreign subawards to mirror those for domestic subawards. Significant progress has been made on this initiative. It remains a goal to finalize these efforts to better streamline the payment process and allow for foreign subawards to be encumbered on sponsored awards.

FIVE YEAR SPONSORED FUNDING GROWTH

Legend: FYTD Inderect, FYTD Direct, FYTD Total
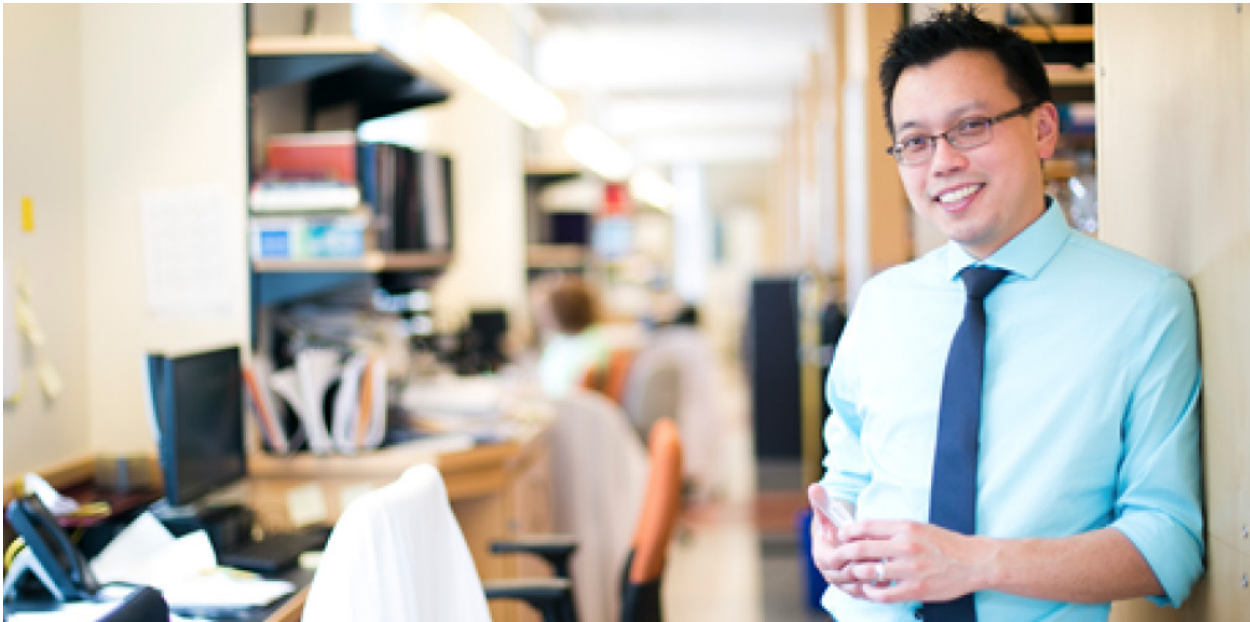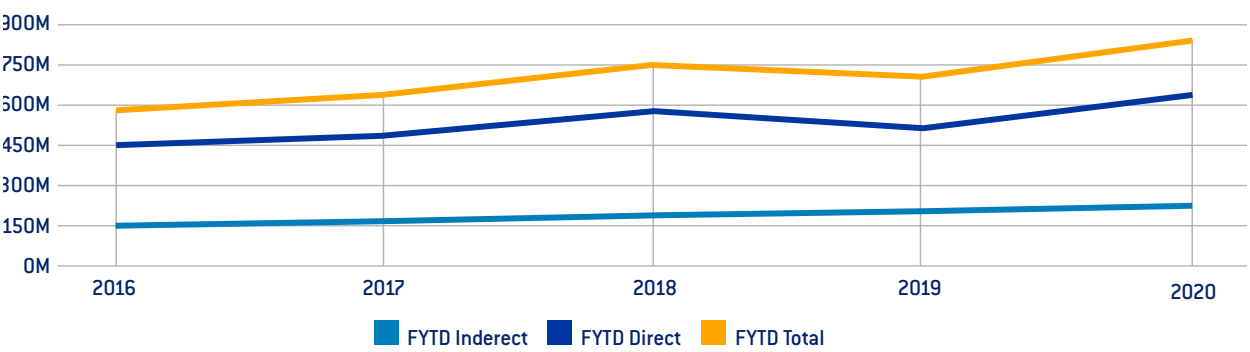
Office of Strategy, Operations and Training

The Office of Strategy, Operations, and Training for the Emory Office of Research Administration (ORA) facilitates the Vice President for Research Administration's efforts to operationalize strategy across the award lifecycle, develop and implement ORA training, coordinates stakeholder communication, and develops synergies across units to ensure integration, transparency, and efficiency.

The training office is expected to officially launch during the fall of 2021, while the "Dragon Team" is responsible for cross-functional continuous improvement throughout areas that impact research administration business functions and has been an existing asset for ORA. The Dragon Team's process improvement initiatives seek to address faculty concerns within the ORA, Finance, and IT departments, as well as other relevant operational needs. The team manages ongoing projects, conducts trainings to build operational efficiencies, and evaluates implementation strategies.
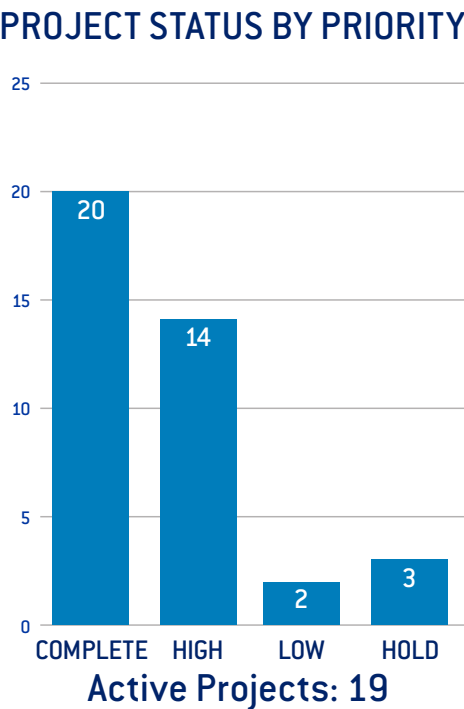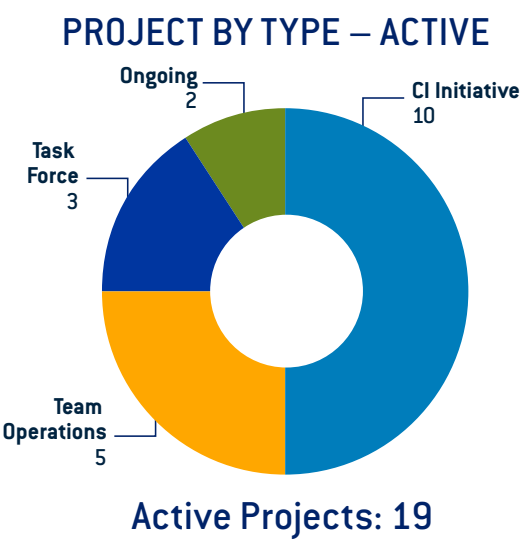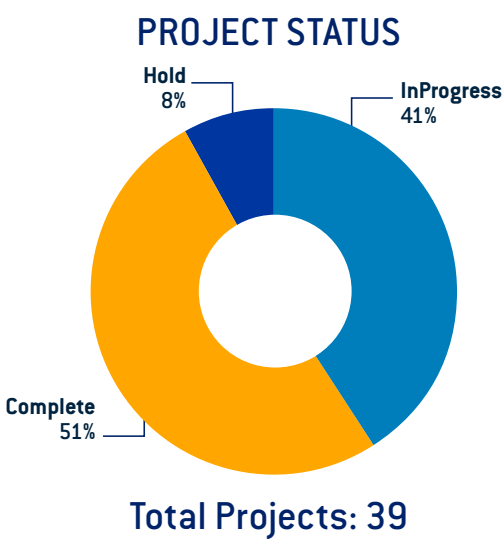
- Provided Process Improvement Boot Camps to train research administration staff members on process improvement methodologies.
- Received Green Belt Six Sigma Certified for all Dragon Team staff members.
- Coordinated training for Senior Leaders on White Belt Six Sigma Processes.
- Created and maintained surveys for annual feedback and ongoing faculty feedback to provide a "pipeline" for feedback and input into continuous improvement of research administration.

Achievements:

- Managed over 30 Process Improvement Initiatives over a fiscal year.

2021 GOALS

- Continue to provide education and training opportunities for research administration on Lean Six Sigma methodologies.
- Lead process improvement initiatives to improve Award Lifecycle for research administration.
- Increase the utilization of metrics to guide efforts to improve effectiveness and efficiencies or processes, systems, and personnel.
- Improve communication and marketing of process improvement initiatives for the Office of Research Administration.

PROJECT STATUS

Hold 8%
InProgress 41%
Complete 51%

Total Projects: 39

PROJECT BY TYPE – ACTIVE

Ongoing 2
CI Initiative 10
Task Force 3
Team Operations 5

Active Projects: 19

PROJECT STATUS BY PRIORITY

COMPLETE	HIGH	LOW	HOLD
20	14	2	3

Active Projects: 19
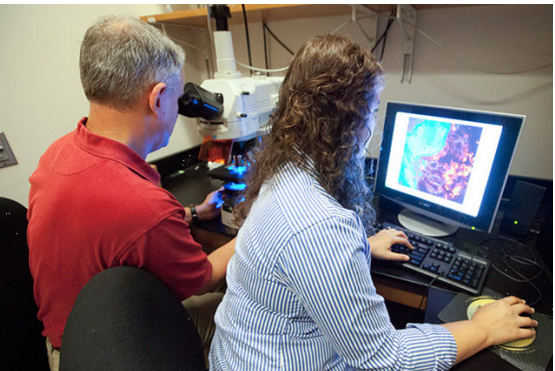
Office Technology Transfer

Office of Technology Transfer (OTT): The OTT works collaboratively with the Emory community and industry to build and nurture partnerships that effectively move ideas from lab to the marketplace for the benefit of society.

Efficiency and Performance Initiatives

Following a review of the workflow and turnaround times for materials transfer and data use agreements, a six-month plan was initiated to reduce the backlog of these agreements. Through the diversion of resources from technology licensing, the team is on track to reduce the backlog by the end of calendar year 2020.

Expanded the functionality of our Minuet database to reduce redundancy into our patent database, enabling auto-population into Minuet without double data entry.

COVID Responsiveness Support

OTT staff prioritized efforts to identify, market, and transfer COVID-19 technologies to industry so that new products and services could be deployed to address the pandemic. Through this effort, 46 different technologies were identified and marketed to industry. The team also executed 105 agreements supporting Emory's research efforts in this important area, including several license agreements.

Innovation Milestones

Despite the pandemic, and challenging economic climate, several Emory startup companies experienced significant achievements in FY20.

- Meissa Vaccines closed a $30M Series A financing and received FDA clearance for their IND application for RSV.

- Aligos Therapeutics closed a $125M Series B financing and dosed their first subject in a Phase I study.

- The FDA granted Neurostar Advanced Therapy System breakthrough device designation to treat bipolar depression.

2021 GOALS
- The primary goal for OTT is to address process improvements, changes, and best practices arising from an external review of the office.
- The office will work closely with the Innovation Task Force to develop and harmonize the innovation ecosystem at Emory. Emory's ecosystem continues to grow to address opportunities and challenges surrounding innovation.
- Complete the Patricia/Minuet integration project and launch a new agreement portal that will facilitate workflow for MTAs and DUAs. Additionally, a project to automatically import contact information for faculty into the Minuet database from existing Emory data.

NUMBER OF INVENTION DISCLOSURES
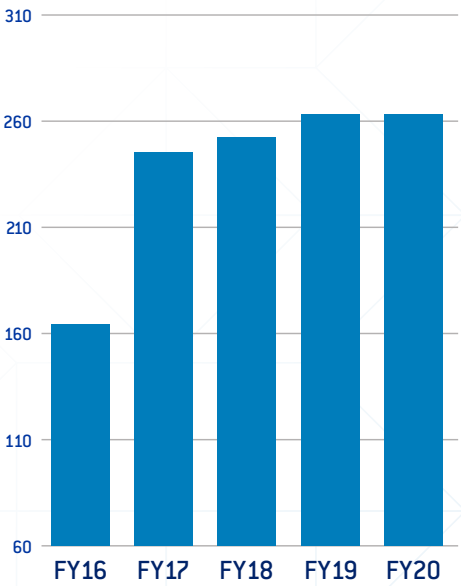
CORPORATE FUNDING
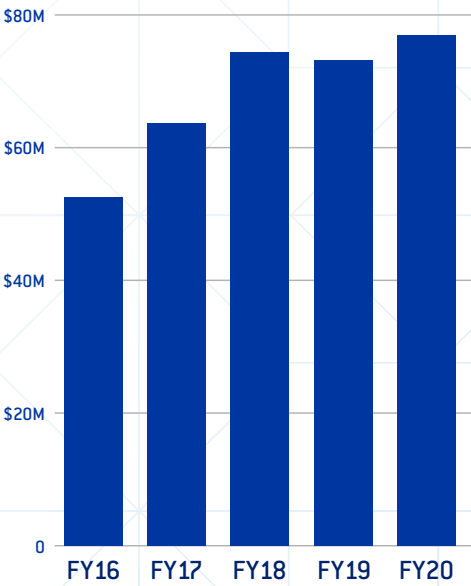
ORA Information Technology

Research Administration Information Technology (ORAIT): ORA-IT serves as a technology facilitator, intermediary, and project liaison on behalf of ORA departments with various third-party vendors and the University's central IT division (LITS). Staff works in close collaboration with ORA units to understand and enhance IT infrastructure and processes and maximize service delivery.

IACUC Knowledge Management Solution

ORA-IT partnered with IACUC to develop and implement a knowledge management and delivery solution for the Emory research community that reduces turnaround times on research submission approvals. Significant process improvements include:

- Scalable method of improved information delivery for all ORA teams. Information organization tools empowering researchers to jump instantly to the information they need instead of laboriously searching.

- Single knowledge location to document IACUC business knowledge and processes, behind Emory security, with multi-tiered permissions for end-users and administrators of the system.

- Increased standardization , ease of use, and a built-in user feedback mechanism for on-going solution improvement.

Compliance Training Feed

To support the University's focus on full compliance with federal rules and regulation affecting research, ORA-IT delivered further enhancements to the Completed Compliance Training Feed. The update permits training data from ELMS, CITI, and AALAS to be merged with Emory identity data. The merged data is then imported into eIACUC and Enterprise Data Warehouse for compliance training monitoring.

COVID-19 Responsiveness

- Collaborated with HR in the COVID-19 Return to Campus training to co-produce five videos and on-line training audio voiceovers.

- Provided a web framework for EHSO's COVID-19 return to work guidelines for campus.

- To support electronic document signing during the remote working environment, ORA-IT implemented DocuSign for ORA. This proactive step helped to simplify and speed business processes.

Technology and System Support

- ORA-IT and LITS helped the IRB achieve a huge undertaking by implementing a new eIRB system, and migrating all active studies from the legacy system to Huron's Cloud to receive product updates and enhanced functionality.

- EHSO Assist Radiation Safety web module was implemented to manage the radiation safety program and help ensure regulatory compliance.

2021 GOALS

- Develop and follow five-year IT Roadmap Plan.
- Strive to ensure operational efficiency by having Huron solutions on the same portal version thus providing a seamless user experience such as page-level and question-level help.

ORA TECHNOLOGY ROADMAP (FY2021–FY2024)
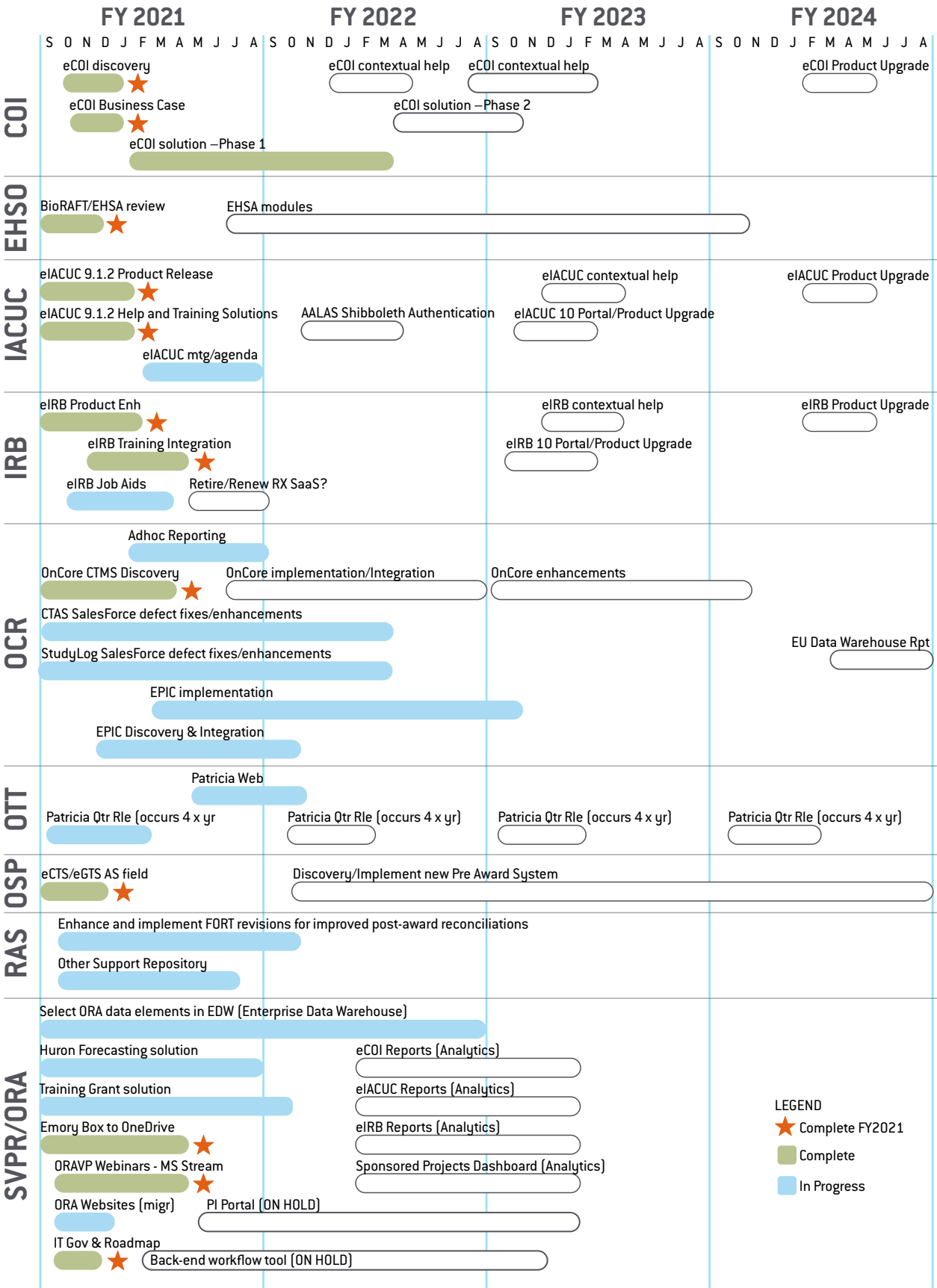
Research Administration Services

Research Administration Services supports Emory's research goals through providing best-in-class delivery of research administrative support to Principal Investigators, departments and the University.

Achievements

Maintain and Improve RAS Operations
- Completed review and revision of all RAS standard operating procedures (SOPs). Developed project plans for future phases to include review and maintenance of RAS job aids (JAs), development of clinical trials SOPs and JAs, and development of PEDS RAS JAs.

- Developed and launched formal internal RAS communication plan to improve transparency. Adopted "Slack" across all RAS units (All RAS Slack) to improve communication, troubleshoot pre- and post-award issues in "real time," track and escalate issues quickly.

Enhance and Update HR Management Policies and Procedures
- Reviewed and revised all RAS Job Descriptions. Revised RAS competencies to align with job descriptions and new leader competencies.

- Formalized and launched RAS orientation, onboarding, and training program.

- Assessed and developed RAS talent through LEAP coach training, Master Mentor training, and RAS LEADS. These programs identify and prepare leaders for future success.

- Piloted standard RAS leader finalist interview model to establish consistency and rigor across RAS Units.

Strengthen RAS service culture and stakeholder engagement
Developed RAS vision and Core Values and Value statements to provide a framework for strategy and align actions and behaviors.

Developed RAS Strategic Plan in alignment with ORA priorities and planning guidance.

Efficiency and Performance Initiatives
- Launched RAS "Navigators." Secured approval to proceed with finalist interviews for four Navigator positions in August 2020 (PEDS, C&I, Yerkes, and RAS Central).

- Refined RAS dual reporting for Human Resource functions and launched new model.

- Supported review and initiated implementation of Huron recommendations related to complex awards (initial "kick off meetings"), award setup and award closeout.


2021 GOALS
- Continue implementation of process improvement initiatives including expenditure monitoring, job aid standardization, standardize the RPPR process, quality assurance process for pre- and post-award work/portfolios.
- Launch SOPs RAS-wide in FY21, including recordings of SOP Boot Campus to support just in time onboarding of new staff and/or performance improvement of current staff.
- Foster cross-functional collaboration with ORA offices, build engagement, enhance training and mentoring for RAS team members, and formalize stakeholder communications plan.
- Continue review and implementation of Huron recommendations in collaboration with stakeholders including award setup and award closeout.

PROPOSAL VOLUME COMPARISONS FY19 TO FY20 BY RAS UNIT

FY19 Proposals   FY20 Proposals

AWARD VOLUME COMPARISONS FY19 TO FY20 BY RAS UNIT

FY19 Proposals   FY20 Proposals
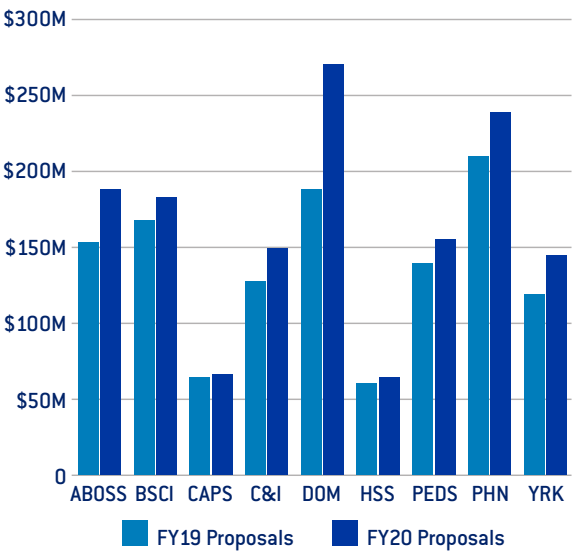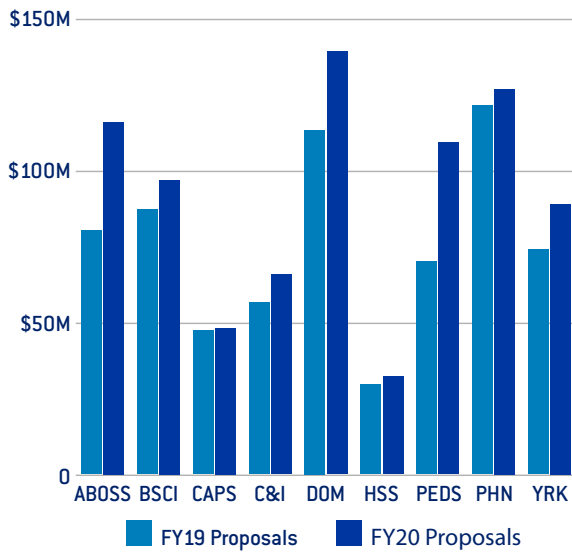
Research Grants and Contracts

Research, Grants and Contracts (RGC) is responsible for central oversight and expertise related to post-award financial services of sponsored projects, including ensuring that invoicing, financial reporting to sponsors, and financial compliance are maintained in partnership with the schools and units.

Efficiency and Performance Initiatives

- Defined institutional closeout process, including automated closeout process, and developed key polices related to award closeout. The office closed more than 1,700 awards in COMPASS in FY 20.

- Improved communications and collaboration for complex awards through kick off meetings with RAS/OSP/OTT.

- Collaborated with OSP, OTT, RAS, and other partners to review and prioritize recommendations on process improvements related to Award Setup, Accounts Receivable Monitoring, Expense Monitoring, and Award Closeout.

- Improved Post Award Setup cycle time, averaging under four business days, while processing over 4,900 award setups.

- Implemented automated notification of Provisional Award Number creations.

## Communication and Engagement

- Implemented a virtual onboarding process for new hires.

- Expanded utilization of MS Teams, resulting in a reduction in email, a forum for tracking discussion of issues, and faster communication with staff.

2021 GOALS

- Implementation of RPA to reduce time spend on manual process.
- Completion of Huron recommendations in partnership with OSP, OTT, RAS.
- Review and improvement of the schedule pay contract invoicing process.
- Continuation of servant leadership culture, including a monthly training program.
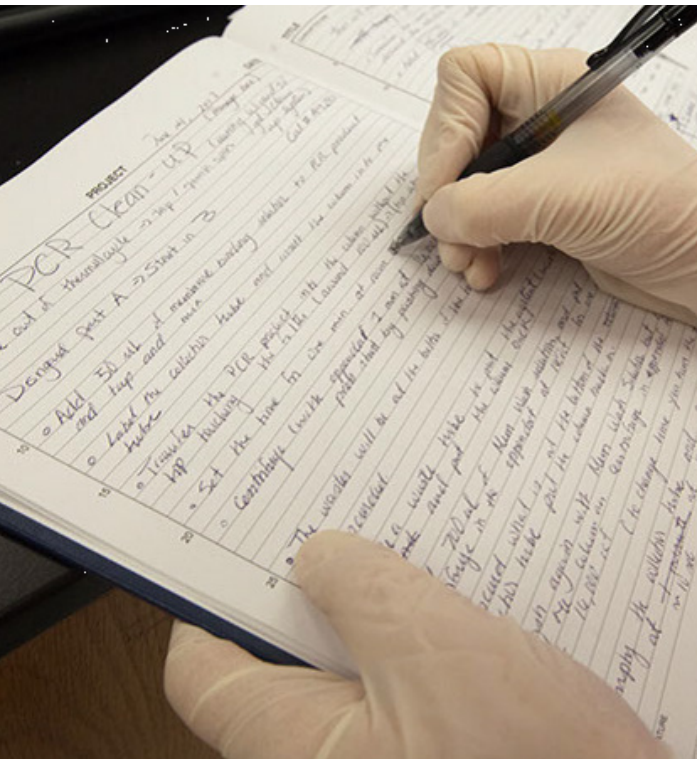
SPONSORED AWARD EXPENDITURES TREND

Directs ■ F&A
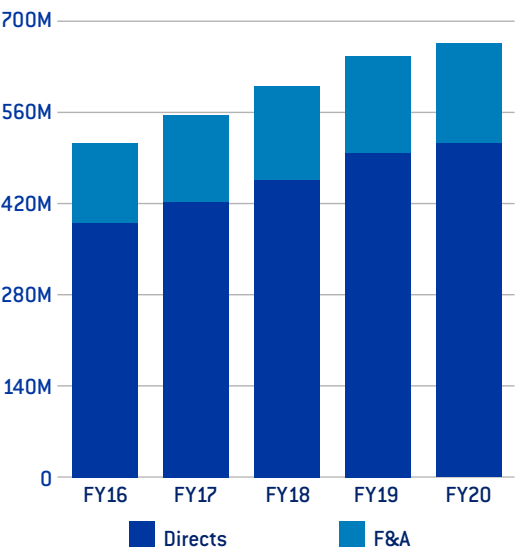
RGC AWARD SETUP CYCLE TIME IN BUSINESS DAYS FY2020