ACP Implementation Working Group
2.30pm 8th September 2014, Meeting room B06, University House

AGENDA

1. Minutes (paper 1)

2. Matters arising
   a. Triage workflow (paper 2)
   b. Service level agreement (paper 3)
   c. UAT plan (paper 4)
   d. Access for departments/faculties (paper 5)
   e. Costing pro forma (paper 6)

3. Faculty feedback (paper 7)

4. Updated timeline (paper 8)

5. Communication Plans

6. Timetable of meetings
   a. Meeting 3 – 27th October 10am – 12 noon

ACP Implementation Working Group
Minutes of the meeting held on 10th July 2014

Present
Professor Tony McEnery (Chair)
Mr Peter Fielding
Mrs Yvonne Fox
Professor Charlie Lewis
Professor Steven Young

In attendance
Sarah Taylor

14/1 Apologies for absence

Apologies for absence were received from Professor Christine Milligan.

14/2 Introduction from the Chair

The Chair welcomed members to the group and outlined his expectation for the meetings:
- Meeting 1 - set the scene
- Meeting 2 - receive critical feedback from the faculties and consider how best to respond
- Meeting 3 - clear idea of remaining issues and how to move forward
- Meeting 4 - if required

It was noted that if the feedback from the faculties raised significant issues beyond the scope and resource of the Working Group they would need to be referred to relevant senior members of the university and the above timetable would no longer apply.

14/3 Terms of reference

Members received the terms of reference for the ACP implementation Working Group, the minutes from the UMAG meeting where the ACP implementation was discussed and a paper submitted to UPRG in June 2014. The Chair gave a brief summary of the discussion at UMAG and emphasised the importance of over-resourcing the roll out initially to ensure that there are no delays resulting from the new processes. Members accepted the terms of reference.

14/4 Update on ACP implementation progress

Members received a summary of the implementation to date, details of the plan going forward including a time line and a flowchart of the proposed workflow. The Chair requested confirmation that the implementation was keeping to the current timetable. He also stated that any changes to the timeline should be reported to the committee and key items highlighted (those that will cause a significant knock on effect if they are not met on time).

Action: ST/YF

It was noted that most of the workflow replicates the current process and should not cause any issues. It was suggested that a document outlining the current pFACT process would be helpful for comparison. The committee welcomed the proposed pro forma which will allow staff to document their costing

requirements whenever it is convenient for them and then submit to RSO who will prepare the costing. It was explained that Lancaster has recently purchased the forms module for Agresso and whilst it is hoped that this can be used for the pro forma it still needs to be investigated. The Chair requested that a draft pro forma is provided for the next meeting and also noted that it should be itemised on the timeline.

Action: ST/YF

Members were informed that user acceptance testing (UAT) is scheduled to begin in October. The Chair requested that a report is submitted to the next meeting with details of the UAT plan, including any exercises that will be used.

Action: ST/YF

It was suggested that the triage system RSO will use to ensure applications are dealt with in an appropriate order according to the date received and the urgency should be documented. A procedure for extremely urgent (genuinely) last minute applications will also be required. The Research Support Manager commented that this is something RSO already does but would be developed and documented for the next meeting.

Action: YF

14/5 ACP system demonstration

Members were given a very brief demonstration of the system.
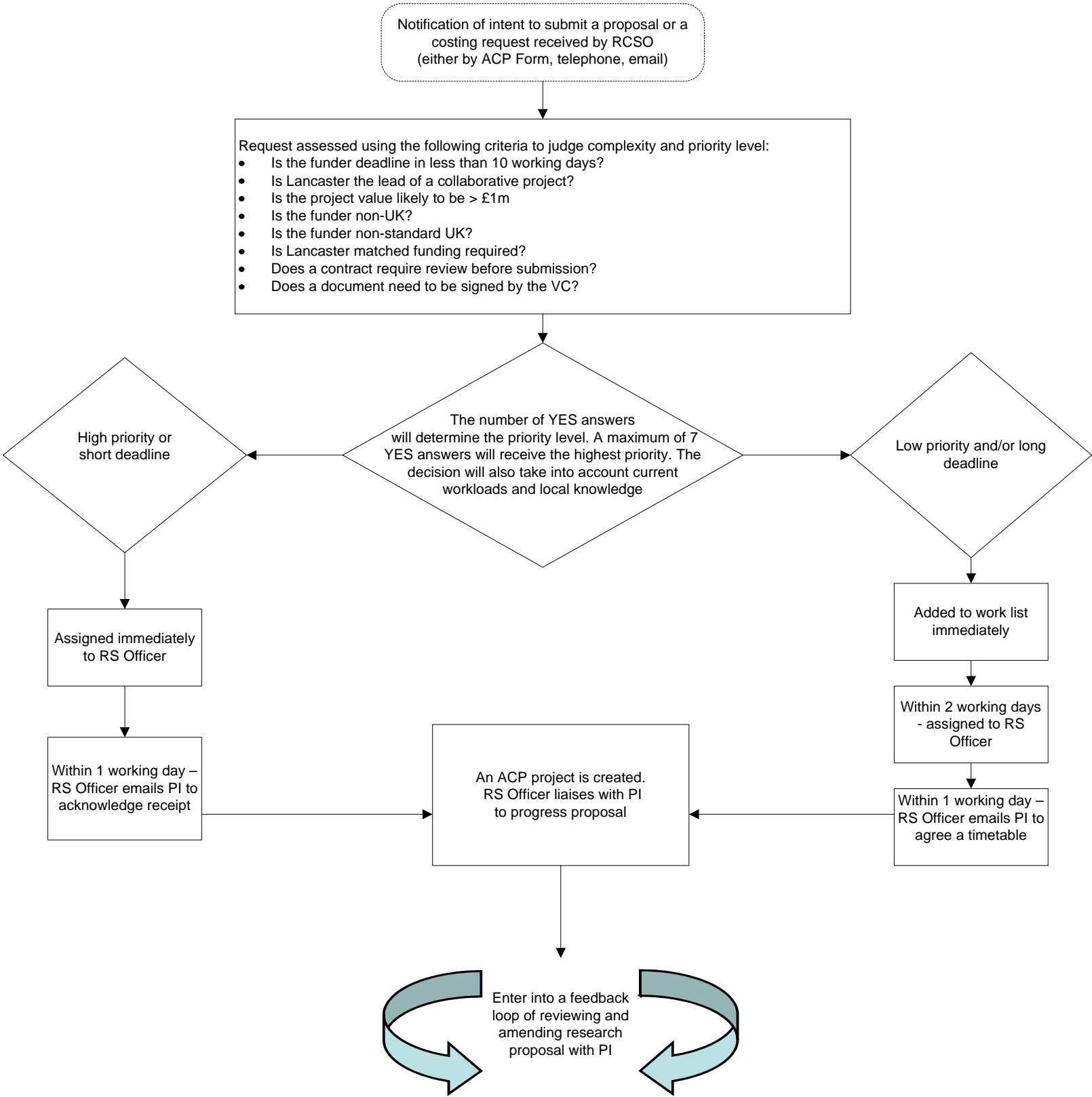
14/6 Next steps

It was agreed that the faculty representatives will raise awareness of the implementation and gather as much feedback as possible for the next meeting. The Research Support Manager agreed to prepare a shortened version of the paper submitted to UPRG for general circulation. In addition, an announcement will be submitted to LU Text with details of the faculty representatives.

Action: All

14/7 Next meetings

It was anticipated that the next meeting will take place in early September with the third meeting in October.

Triage flowchart to assess Research Proposal costing requests

Notification of intent to submit a proposal or a
costing request received by RCSO
(either by ACP Form, telephone, email)

Request assessed using the following criteria to judge complexity and priority level:
- Is the funder deadline in less than 10 working days?
- Is Lancaster the lead of a collaborative project?
- Is the project value likely to be > £1m
- Is the funder non-UK?
- Is the funder non-standard UK?
- Is Lancaster matched funding required?
- Does a contract require review before submission?
- Does a document need to be signed by the VC?

High priority or
short deadline

The number of YES answers
will determine the priority level. A maximum of 7
YES answers will receive the highest priority. The
decision will also take into account current
workloads and local knowledge

Low priority and/or long
deadline

Assigned immediately
to RS Officer

Added to work list
immediately

Within 1 working day –
RS Officer emails PI to
acknowledge receipt

An ACP project is created.
RS Officer liaises with PI
to progress proposal

Within 2 working days
- assigned to RS
Officer

Within 1 working day –
RS Officer emails PI to
agree a timetable

Enter into a feedback
loop of reviewing and
amending research
proposal with PI

Research Application Procedure

RESEARCH AND CONTRACT SUPPORT OFFICE

Service level agreement

This Service Level Agreement sets out the services provided by the Research and Contract Support Office, which is part of Research & Enterprise Services (RES).

Our primary function is to administer all the research grants and contracts and some externally funded non-research projects for the University. Our key contacts are Principal Investigators, faculty and departmental administrators.

Key objectives

- Providing support to academic staff in the preparation and costing of research applications for external funds.
- Providing advice and guidance on the terms and conditions and call requirements of researcher funders.
- Ensuring that grant and contract applications are institutionally approved prior to submission.
- Reviewing and negotiation of research contracts and research related agreements
- Supporting the financial administration of research projects i.e. setting up internal research codes on Agresso, raising invoices, submitting financial claims or statements to funders and closing of research grants and contracts.
- Organisation and preparation for internal and external grant audits
- Maintaining accurate records of research grants and contracts and providing information on external research funding.
- Providing support and guidance on the above to academic members of staff.
- Preparation for the Research Excellence Framework

Type of request/trigger	Key Outputs	Service Delivery targets
Receive notification of intent to submit a proposal from Principal or Co-investigator	Step 1 - Acknowledge receipt to PI/CI	Within 1 working day for high priority bids Within 2 working days for other bids
	Step 2 - Contact PI/CI to agree a timetable for preparing the submission to funder	Within 2 working days
	Step 3 – RCSO will work with PI/CI to agreed timetable, preparing costings and providing other support as appropriate	To agreed timetable
	Step 4 - Costing checked to proposal and final approvals sought once department/faculty approvals are in place ***Required: receipt of proposal document from PI/CI**	Within 2 working days of status change to 'RCSO review and final approvals' level in ACP*
Receive notification of contract for review	Step 1 -Review of financial aspects of research contracts prior to forwarding to Contract Officer for review	Forward to Contract Officer within 3 working days of receipt of draft contract (unless this is a high priority application)
	Step 2 – Receipt of contract terms and condition for review from Research Support Officer	Acknowledgement to PI/CI within 1 working day

	Step 3 – Review of contract and comments and/or acceptance of terms sent to 3rd party	Within 7 working days
Receive new award letter	Setting up of new Agresso codes (all 7000 codes (research) and some 6000 (projects)) ***Required: receipt of all necessary documentation in RCSO**	As required, within 5 working days*
Staff form/Stonefish request received	Financial Approval of staff appointments on 7000 codes	Approval within 5 working days of receipt or request for further information made to PI/department
Milestone/claim date reached	Invoices and financial claims prepared and sent to external funders as per grant/contract terms and conditions	Within 10 working days of deadline/milestone as required by the contract/grant terms and conditions.
Audit request received	Preparation of documentation required for grant/contract audits and arrangement of audits	As required

To achieve our targets we need the following from Principal Investigators and departmental/faculty staff:

- Notification of intent to submit an application to a call deadline at least 6 weeks prior to the deadline (or earlier for large complex collaborative bids e.g. EU)
- Receive completed applications for funding for final checking at least 5 working days before they have to be submitted to the funder
- Academic staff/ departmental administrators to be prepared to provide additional information requested to enable us to provide itemised lists of expenditure if required by funders and to have information ready for project audits.
- Academic staff to keep timesheets for all European Commission funded projects and timesheets for all RCUK funded grants as appropriate and for any other grants if required by the funder. Timesheets should be completed monthly, signed off and forwarded to RCSO if requested.
- Meetings to be arranged for any query that may take more than 15 minutes.
- One days notice for any meeting required.
- Feedback from academic members of staff on the status and progress of applications and awarded contracts.
- Academics to be aware of the University's Financial Regulations, Expenses manual procedures and the Ethics Code of Practice.

Customer comments and complaints

Complaints will be treated seriously and every effort will be made to resolve them. Customers are invited to contact RCSO directly at any time with comments and suggestions about the service received.

Contact: Yvonne Fox, Head of Research and Contracts Support, y.fox@lancaster.ac.uk

PAPER 4

ACP USER ACCEPTANCE TESTING

Phase 1 - RSO testing - ongoing

Including:
- Creating wide range of costings
- Accuracy of costings
- Visual appearance of screens (including PI views)
- Workflow

Phase 2 - Informal end user testing - planned for 29th September - 10th October

Demonstrate the software to a range of staff from different departments and faculties and invite comments which can feed into final stage of updating the software set up.

Phase 3 - Formal user acceptance testing - planned for 3rd-14th November

- Range of staff from different departments and faculties
- One or two testers at a time
- Prior to each testing session RSO will set up a variety of costings (one of which may be an existing or planned project chosen by the tester)
- The session will begin with the tester logging in to the Agresso Test system and receiving basic training.
- The tester will be given time to view the prepared costings and run submission reports
- RSO will submit one of the costings to workflow so that the tester receives it as a task
- The tester will be given training on workflow and some of the other functionality
- The tester will be given time to test the workflow and other functionality
- The format for the session will be steered according to the role of the tester (PI, HoD, admin etc) to ensure they are shown and test the aspects of the software that are relevant to their role.
- A feedback form will be provided for the tester to complete during the testing session.

PAPER 5

ACP ACCESS AT DEPARTMENT AND FACULTY LEVEL

Investigator access

Agresso/ACP access	All staff on lecturer or professor grades will be set up as Agresso users (where they are not already) and given access to ACP at the point it goes live
	Staff on other grades who are known to be PIs will be set up as Agresso users (where they are not already) and given access to ACP at the point it goes live
	Staff on other grades who wish to submit an application as PI/CoI will be given access if they have the support of their HoD (this is the same procedure as for pFACT))
	New appointments on lecturer or professor grades will be set up as Agresso users and given access to ACP
ACP project and costing access	PIs and CoIs will be able to view general project information and costings for their own department where they are named on the project
	PIs will be able to view and edit the governance checklist for the project
ACP reports access	PIs and CoIs will be able to view submission reports with costing data for the entire project where they are named on the project (i.e. including costing data for all departments involved)
	PIs and CoIs will have access to a limited number of management reports for projects where they are involved
ACP workflow access	PIs and the lead CoI for each department will receive workflow tasks allowing them to approve their costing or return it to RSO for editing
	The HoD will be set up as a substitute for the PI in workflow

HoD access

Agresso/ACP access	All HoDs will have access to ACP at the point it goes live
ACP project and costing access	HoDs will be able to view all costings for their department at all stages (draft, submitted, awards etc)
ACP reports access	HoDs will be able to view project summary reports for all projects where their department is involved
	HoDs will have access to management reports with data for their department
ACP workflow access	HoDs will receive workflow tasks allowing them to approve costings for their department or return them to RSO for editing
	HoDs define their workflow substitutes themselves, as is currently the case. Substitutes apply to all Agresso tasks.

Department administrators

Agresso/ACP access	HoDs will be contacted before ACP goes live and asked to confirm those departmental staff who should be hiven access to ACP
	Departmental staff can be given access to ACP at a later date on written request from the HoD (this is the same procedure as for pFACT))
ACP project and costing access	Nominated departmental staff will be able to view all costings for their department at all stages (draft, submitted, awards etc)
ACP reports access	Nominated departmental staff will be able to view project summary reports for all projects where their department is involved
	Nominated departmental staff will have access to management reports with data for their department
ACP workflow access	None

Faculty administrator

Agresso/ACP access	Faculty administrators will have access to ACP at the point it goes live
ACP project and costing access	Faculty administrators will be able to view all costings for all departments in their faculty at all stages (draft, submitted, awards etc)
ACP reports access	Faculty administrators will be able to view project summary reports for all projects where their faculty is involved
	Faculty administrators will have access to management reports with data for their faculty
ACP workflow access	Faculty administrators will receive workflow tasks allowing them to approve costings for their faculty (once thay have been signed off by the Dean) or return them to RSO for editing

Research Project Costing Request

Project title

Costing form example project

Short title

EXAMPLE

Proposal type*

Single stage

Funder

EPSRC

Funder Scheme

Responsive

Fixed funder deadline?*

No

Deadline

Deadline notes

Would like to submit by 17th September

Proposed start date

01/04/2015

Duration

36 months

Multi-institution bid?*

No

Lancaster lead?*

LU matched funding required?*

No

Notes

Lead department

Archaeology

PI name	**Time commitment (FTE, hours/week etc)**	**Duration***
Professor 1	5 hours/wk	Full project duration

PI time commitment notes

Other staff in lead department

Name	Role*	Time commitment	Duration*
Dr 1	Col	2 hours/wk	Full
RA 1	PDRA	100%	Other
Technician 1	Tech	20%	Other

Name	Role*	Time commitment	Duration*

Other staff (lead department) notes

RA and technician first 2 years only

Lead department non-staff costs - please provide consolidated costs by category. For complex cases it may be easier to discuss with RCSO.

Select item*	Total cost	Notes
Consumables	2000	

Select item*	Total cost	Notes
Travel	3000	

Select item*	Total cost	Notes
Other non-staff costs	1500	

Select item*	Total cost	Notes
Subcontracting	5000	sample analysis

Select item*	Total cost	Notes

Select item*	Total cost	Notes

Select item*	Total cost	Notes

General notes

Department 2

Art

Co-investigator name | **Time commitment (FTE, hours/week etc)** | **Duration***

Dr 2 | 2 hours/wk | Full project duration

Co-investigator time commitment notes

Other staff in department 2

Name | Role* | Time commitment | Duration*

Name | Role* | Time commitment | Duration*

Name | Role* | Time commitment | Duration*

Other staff (department 2) notes

Department 2 non-staff costs

Select item* | Total cost | Notes

Travel | 500 |

Select item* | Total cost | Notes

Select item* | Total cost | Notes

Select item* | Total cost | Notes

Select item* | Total cost | Notes

Select item* | Total cost | Notes

Select item* | Total cost | Notes

(further continuation pages for additional departments as required)

Department 2

An

Co-investigator name	Time commitment (FTE, hours/week etc)	Duration*
Dr 2	2 hours/wk	Full project duration

Co-investigator time commitment notes

[ ]

Other staff in department 2

Name	Role*	Time commitment	Duration*
Name	Role*	Time commitment	Duration*
Name	Role*	Time commitment	Duration*

Other staff (department 2) notes

[ ]

Department 2 non-staff costs

Select item*	Total cost	Notes
Travel	500	
Select item*	Total cost	Notes
Select item*	Total cost	Notes
Select item*	Total cost	Notes
Select item*	Total cost	Notes
Select item*	Total cost	Notes
Select item*	Total cost	Notes

(further continuation pages for additional departments as required)