

**ELECTRONIC RESEARCH ADMINISTRATION (ERA):
UTILIZING A COLLABORATIVE BUY TO NEGOTIATE
AN AFFORDABLE SOLUTION**

by
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Abstract

Collaboration is at the heart of research administration. Research Administrators (RAs) collaborate with faculty, human resources, Institutional Review Boards (IRB), Institutional Animal Care and Use Committees (IACUC), Conflict of Interest (COI) committees, business services, tech transfer offices, intellectual property offices, top university administration, as well as, a myriad of other colleagues - and this only represents the *internal* collaboration. *External* collaborations extend to multidisciplinary partnerships with other institutions, federal agencies, foundations, industry partners, the local community and global society. Thus, it makes sense when there is a need to acquire a much-needed grants management system, RAs would have the skills, capacity, and relationships available to leverage a collaborative purchase. In today's research environment it has become crucial for RAs to "seek out innovative electronic research administrative (eRA) systems to ensure compliance with the ever-increasing regulatory burdens placed on researchers".¹

Electronic Research Administration (eRA) systems cater to large, more established research institutions where pricing is set at levels out of reach for smaller institutions. Because of this cost barrier, many Predominantly Undergraduate Institutions (PUIs) utilize antiquated paper tracking, Excel

¹ (McMillen and Taylor, The Essential Elements of Innovative eRA Systems 2017)

spreadsheets, and inefficient databases to aid project development and grant management; hence, PUIs must be more innovative in finding ways to address the massive needs of research administration. Fortunately, the collaborative field of research administration lends a healthy environment for RAs to innovate and leverage an attainable price point through a collaborative procurement of an eRA system. The basis of this research focuses on perceptions and data gained from a survey conducted among research administrative professionals regarding interest in a collaborative purchase of an eRA system.

The results of the survey show that 48% of survey participants are operating without an eRA system. However, of those not utilizing an eRA system, 61% responded that the price point of consideration would have to be \$10,000 per year or below. Thus, the conclusion of this research confirms the pooling of resources with other institutions, otherwise known as collaborative purchasing, creates a viable option for consideration among both institutions and eRA vendors.

Thesis Advisor: Dr. Jeffrey Kantor, Johns Hopkins University

Definitions

Electronic Research Administration (eRA) – Technology platforms/systems used to improve and enhance grants management. eRA platforms are developed by agencies to facilitate electronic grant submissions and oversight for the benefit of the funder. Conversely, eRA systems are developed or procured by institutions to ease the development, submission, and oversight of grants management. These systems are offered through vendor agreements or institutional built systems. For this research, the term “eRA” refers to systems used by institutions for grant management.

Research Administration – Overall research support for all stakeholders involved in sponsored activity at institutions of higher education, non-profit organizations, and other research organizations.

Research Administrator (RA) – A professional administrator who provides grant development and management support. An RA helps ensure institutional research goals are achieved and funders' regulations are followed.

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Chapter 1. Introduction

1.1 Background

It is a well-known fact that researchers want to spend their time researching, not addressing the mounting administrative tasks required for compliance. In today's research environment it has become crucial for RAs to "seek out innovative electronic research administrative (eRA) systems to ensure compliance with the ever-increasing regulatory burdens placed on researchers".² The field of Research Administration is very complex throughout the lifecycle of a sponsored project. The burden of maintaining a broad knowledge base of the regulatory environment in research administration is not unique to large research institutions. Predominantly Undergraduate Institutions (PUIs) are tasked with maintaining all the same processes and policies for compliance, regardless of the size of their research portfolio. However, with institutions whose missions focus on teaching, less institutional dollars are available for research support - making it even more difficult for small research offices to maximize efficiencies.

Interest in this research evolved because of the author's recent involvement in organizing a collaborative purchase of an eRA system. The idea commenced from a conversation with Directors of Sponsored Programs

² (McMillen and Taylor, The Essential Elements of Innovative eRA Systems 2017)

throughout Utah. Our goal was to leverage our resources to reach a price point necessary for procurement. Vendor response was initially unfavorable, yet, as the discussion broadened, vendors began to be more favorable of a collaborative procurement request. Interestingly, it was the “lower end” systems that were willing to listen and explore options. Eventually, the larger eRA vendors were also willing to further discussions and have since sought collaboration in exploring product development to better serve this market.

1.2 Problem Statement

eRA systems cater to larger, more established research institutions where pricing is set at levels out of reach for smaller institutions. Because of this cost barrier, many PUIs utilize antiquated paper tracking, Excel spreadsheets, and inefficient databases to aid in project development and management. Thus, leaving PUIs to be more innovative in finding ways to address the massive needs of research administration. The collaborative nature of research administration lends a healthy environment for RAs to innovate and leverage an attainable price point through a collaborative procurement of an eRA system. The intent of this thesis is to explore perceptions of collaborative purchasing and to measure viability of a collaborative approach to procurement. Additionally, the research will identify perceived advantages and disadvantages of collaborative buys.

1.3 Research Questions

The purpose of the proposed research is to explore whether a collaborative purchase is a viable option for PUIs looking to procure an electronic Research Administration (eRA) system. The following research objectives will be investigated:

- 1) Would institutions of higher education value/consider a collaborative purchase of an eRA system?
- 2) At what price point would an institution consider purchasing an eRA system?
- 3) Is there value in a collaborative purchase?
- 4) Recognizing the greatly reduced affordability price point for small institutions, are PUIs a viable market for vendors to pursue?

1.4 Objectives

The objectives of this research study are to explore the viability of a collaborative procurement of an eRA system and to establish a valid price point for institutional participation.

1.5 Significance

Institutional pressure to increase extramural funding translates to additional burden on research administrators. Expectations often increase without a parallel budget increase. Administrative burden on Principle

Investigators (PIs) has garnered national attention following the release of the 2014 National Science Board's (NSB) report on "Reducing Investigators' Administrative workload for Federally Funded Research". One of the recommendations included in the report is to increase university efficiency and effectiveness. The report specifically states, "PIs at smaller or less research-intensive institutions may experience an even greater burden from Federal regulations as a result of having fewer administrative resources."³ Thus, the need to increase support and resources for research administration, specifically, the ability to utilize an electronic grants management system, is integral to an institution's strategic priority to increase grant funding.

³ (National Science Board 2014)

Chapter 2: Review of the Literature

2.1 eRA in Research Administration

It is important to note and understand the different contexts of eRA systems in research administration. Research sponsors, including the federal government, have moved from paper application to online application and award management to improve security and ease of use. For example, the National Institutes of Health (NIH) utilizes the term “Electronic Research Administration (eRA)” to define the system used by the agency to interface with applicant organizations. Furthermore, eRA Commons is the official NIH system where applicants must create an account to access the portals for submission and communicate information relating to research funding.⁴ The National Science Foundation (NSF) recently implemented updates to FastLane and Research.gov, the agency’s interactive real-time systems to conduct business online.⁵ The increased expectation to utilize these resources demands a response from Institutions of Higher Education’s (IHEs) to utilize some form of institutional eRA system as well. The use of the term “eRA” in this research study refers to systems implemented at the institutional level for institutional purposes, not the eRA systems used by sponsors.

⁴ (National Science Board 2014)

⁵ (National Science Foundation 2018)

Research Administration is complex and ever evolving. Demands on administrators to fulfill difficult tasks often “cause frustration at a minimum and results in circumvention of crucial steps at the worst”.⁶ Current regulatory burdens coupled with constant demands to increase compliance monitoring adds further burden to insufficient budgets allocated to research administration. The last two decades have brought significant expansion of administrative obligations to comply with federal grant management. Therefore, various electronic Research Administration (eRA) systems are often sought to improve efficiency. These innovative systems are integral in helping RAs offer compliance and research support.⁷ The overall purpose of eRA platforms is to enhance the research administrator’s ability to manage the life cycle of sponsored programs while offering transparency for faculty and departmental support personnel.⁸

The necessity to lessen administrative burden is not a new topic. The Federal Demonstration Partnership (FDP) first surveyed faculty in 1990 to assess effectiveness of the then newly negotiated “expanded authorities”. This led the FDP to conduct its first Faculty Workload survey in 2005 which reported a key finding that 42% of researcher time is spent on administrative tasks rather than actual research.⁹ A follow up report was conducted in 2012 which paralleled the

⁶ (McMillen and Taylor, The Essential Elements of Innovative eRA Systems 2017)

⁷ (McMillen and Taylor, The Essential Elements of Innovative eRA Systems 2017)

⁸ (University of Colorado-Boulder 2015)

⁹ (Decker, et al. 2007)

earlier finding that an average of 42% of researcher time is spent meeting administrative requirements. Furthermore, the 2012 study revealed that “Researchers estimated that additional administrative assistance could reduce their time spent on administrative responsibilities by 27%”.¹⁰ Another survey is being conducted in early 2018. These surveys shed light on the need for additional support provided from RAs.

With tight budgets and heavy workloads, time available in the day of an RA is very limited and budgets aren’t allowing for additional personnel hires. Thus, the hope is to gain greater efficiencies through use of electronic systems. Higher education institutions (HEIs), especially PUIs, must maximize limited funding available to support research administration. Historically, eRA systems focused on efficiency to service researchers and facilitate compliance; however, more recently administrators are probed for “strategic insights to help guide broader institutional strategy”.¹¹

Deloitte Consulting LLP reviewed public data to identify the many different systems in use for research administration in higher education. The findings of the study revealed nearly 20 different systems were used in addition to institutional homegrown systems within the 159 institutions sampled.

¹⁰ (Schneider, et al. 2014)

¹¹ (Saas and Kemp 2017)

However, it is important to note that Deloitte utilized the 2014 National Science Foundation's Higher Education Research and Development (HERD) survey to select survey participants. Deloitte reported that 85% of the sampled institutions spent more than \$100 million in research expenditures.¹² Thus, the information represented systems used by research intensive institutions, rather than PUIs focused on a teaching mission. The funding available for research support is likely much higher in institutions that focus on research. However, no matter the mission or size of the institution, the same regulatory burden and management oversights exist, creating a need for eRA systems in all types of institutions.

Of the 20 systems identified, over 61% of IHEs sampled used only five of the available systems for pre-award processes: "Kuali's Coeus (20%), eVision's Cayuse (19%), InfoEd (11%), Oracle's PeopleSoft (6%), and Huron's Click (5%). The remaining institutions have either built their own systems (8%) or still rely on manual processes (13%). Post-award systems used were Oracle's PeopleSoft (26%), Ellucian's Banner (19%), Kuali's Coeus (14%), Workday (4%), Oracle EBS (4%), SAP (3%) and homegrown systems (3%)."¹³ Oracle and Ellucian own the market share for post-award because those systems are Enterprise Resource Planning (ERP) solutions which allows post-award management to be run

¹² (Saas and Kemp 2017)

¹³ (Saas and Kemp 2017)

through the same system as general ledger activities. Since these types of systems are not specific to research administration and don't integrate well, research administration management is challenged to identify other sources that better meet operational needs.¹⁴

2.2 Collaborative Procurement

Collaboration is certainly a buzz word in the world of research administration. Researchers collaborate internally on multidisciplinary projects, externally with other institutions, with industry both locally and globally, and a myriad of other innovative partnerships. Collaboration is at the heart of research administration as relationships are built and maintained to enhance compliance, increase research opportunities, and provide a solid support to decrease administrative burden. Collaborative purchasing is not a new concept, yet, it has gained momentum over the last twenty years, especially in Europe.

Collaborative purchasing is "a means to deliver greater efficiencies through combined purchasing power, and with public bodies under pressure to deliver more for less, collaborative procurement has become embedded in the procurement process."¹⁵ In short, collaborative purchasing provides a way for

¹⁴ (Saas and Kemp 2017)

¹⁵ (Delta eSourcing 2017)

organizations to produce efficiencies, mitigate risk, and save money - particularly in smaller organizations.

2.3 Effective Collaborations

Value added benefits of collaboration include: networking, communication, coordination, cooperation and leadership.¹⁶ The networking and communication opportunities will increase mutual understanding through meaningful discussions between the collaborating parties. Strengths of collaborators will be identified and utilized to maximize benefits of the coordinating efforts. As identified by Thomas Spencer and David Ngo in their *Creative Collaboration Conversations* article, “collaborations begin and end with conversations”. Furthermore, they state, “Internal collaborations across groups in local institutions are quickly becoming the norm.”¹⁷ All partners will gain cooperation and share in the gain of efficiency toward common goals. Finally, collaboration enhances leadership through recognizing the value of individual strengths and the “greater collective effort”.¹⁸ Managing collaborations may not be simple, but the benefits of effective partnerships certainly are worth the effort.

Collaborations are about “sustaining the shared passion” that brings people together.¹⁹ While this article referred to research collaborations, the

¹⁶ (Rafkin and Gray 2017)

¹⁷ (Spencer and Ngo 2016)

¹⁸ (Rafkin and Gray 2017)

¹⁹ (Browngoetz, Carey and Aleshire 2016)

information was directly relatable to any type of collaboration. Effective collaborations begin with an assessment of resources. It is best to openly discuss up front who has what to dedicate to the collaboration. These resources may include individual and institutional strengths, as well as pertinent relationships that may prove helpful.

Each collaborator has their own unique schedule; however, the collaboration needs to adhere to a timeline agreed upon by the group. It may be best to work backwards through the deadline process starting with the end target date and setting appropriate intermittent milestones. Strong collaborations are always built on effective communication. Collaborators are encouraged to create a communication plan with a “mission control” point person to organize and track meetings. Collaborators need to be ready and willing to recognize and offer personal expertise. “Good collaboration starts with shared inspiration.”²⁰ Deloitte Consulting advocates for each collaborator to, “make sure your voice is at the table and your vision is heard”.²¹ Yet, also be willing to listen and learn from the expertise of others.

²⁰ (Browngoetz, Carey and Aleshire 2016)

²¹ (Saas and Kemp 2017)

Chapter 3: Research Methodology, Data Analysis, and Discussion

3.1 Methodology

3.1.1 Author Experience - This research addresses the common barrier small institutions face in developing a solid foundation of resources for research administration – the lack of an eRA system.

3.1.2 Survey – The primary source of data for this research was gleaned from a survey conducted to study the current usage of eRA systems among higher education institutions across the nation. The first three questions collected the name of the institution (optional response), the type of institution (required response), and the primary mission of the institution (required response). The purpose of this line of questioning was to examine eRA usage among the differing missions and institution types.

The next set of questions asked whether the institution currently uses an eRA system (required response). The remaining questions were all optional responses. For those using a system, the survey collected data on which systems were chosen, the yearly cost, and if a collaborative purchase was considered. For respondents who do not have a current eRA system, the questions identified a price point at which a collaborative purchase would be seriously considered. Lastly, the responder is asked to describe in an open-ended format why the institution did not pursue a collaborative purchase.

The survey was distributed through the Collaborate NCURA Community listserv, with a focus on the PUI community of RAs. The survey was also distributed through the Research Administration Discussion List (ResAdm-L) listserv. The PUI community was targeted because it represents institutions most likely in need of an eRA system. The ResAdm-L listserv was chosen to reach a broad national audience. The research and survey were approved through the Johns Hopkins Institutional Review Board (HIRB). The survey questions are listed in Addendum A and the HIRB approval letter is provided in Addendum B.

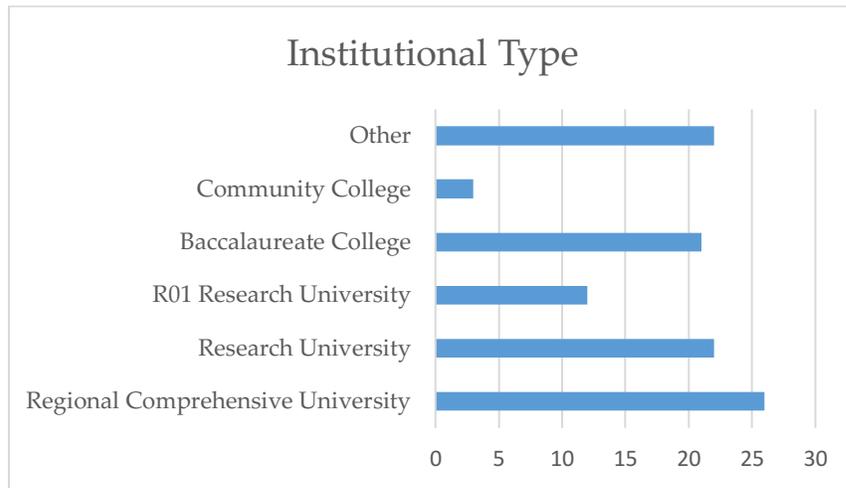
3.2 Data Analysis

3.2.1 Survey Data - A survey was conducted to research the current usage of eRA systems among higher education institutions across the nation. There were 106 responses to the survey with a good mix of institution types. The following is a summary of the data collected from the survey:

Question #1 – This question was optional and asked for the name of the responding institution.

Questions #2 – This question asked for the type of institution. This was a multiple-choice question with an “other” optional response. 106 responses

Figure 1

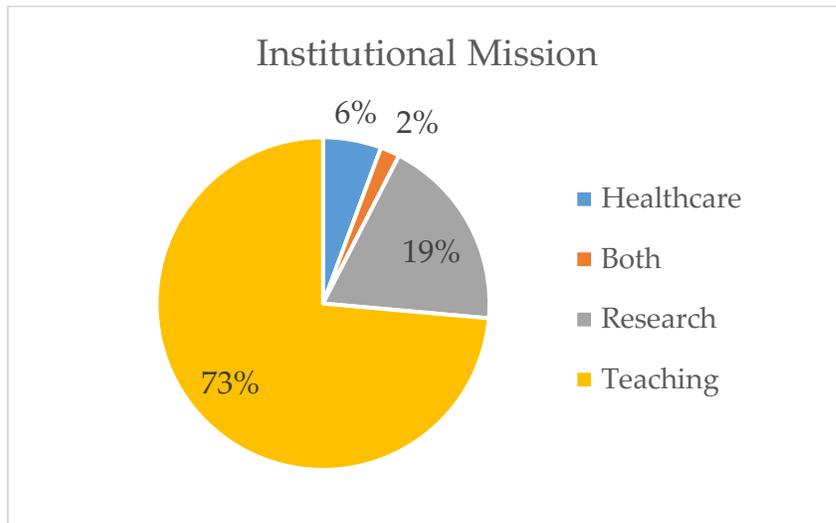


The breakdown of institutional type of survey participants is as follows:

- 26 Regional Comprehensive Universities,
- 22 Research Universities,
- 12 R01 Research Universities,
- 21 Baccalaureate Colleges,
- 3 Community Colleges, and
- 22 remaining were other various types of institutions.

Question #3 - What is the primary mission of your institution? This was a multiple-choice question with options of Teaching, Research, Both, or Other). 106 responses

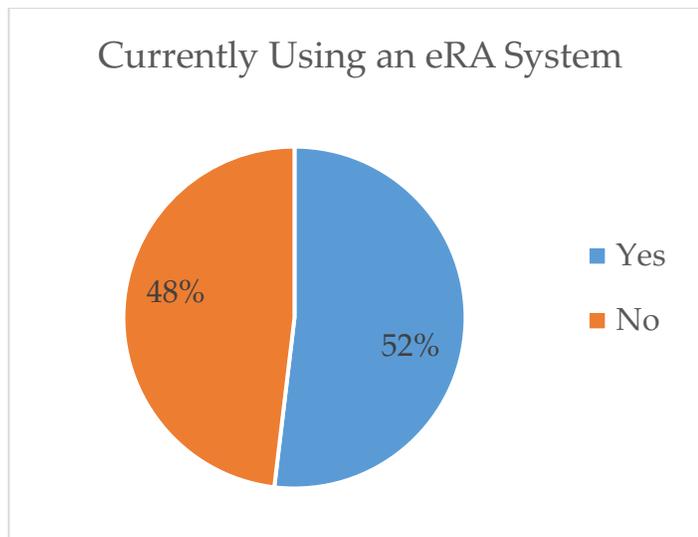
Figure 2



- 74% represented institutions with a teaching mission,
- 19% had research missions,
- 6% had a combined teaching and research mission, and
- 2% were from the healthcare institutions.

Question #4 - Do you currently utilize an institutional eRA (grants management) system? (Yes/No) 106 responses

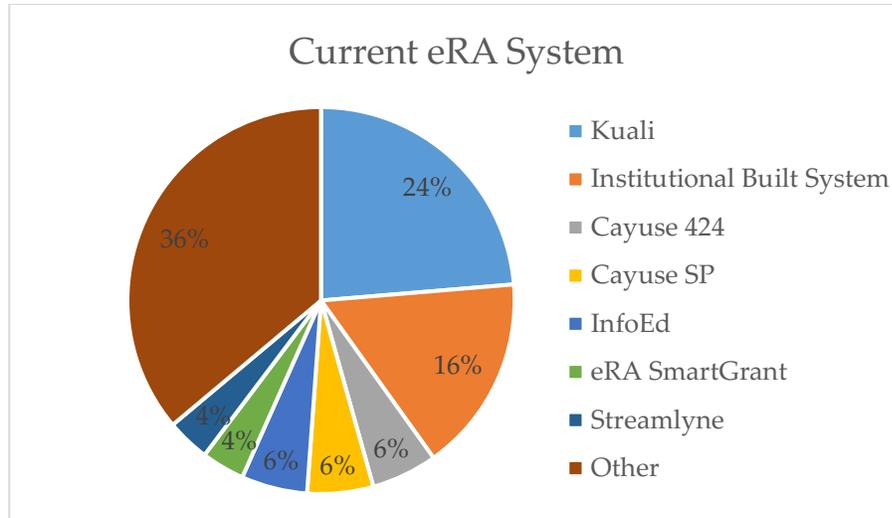
Figure 3



- 51.9% Yes, 48.1% No

Question #5 – If using an eRA system, which system do you use? 55 responses

Figure 4



- 36% Other -
- 24% Quali
- 16% Institutional Built System
- 6% each for Cayuse 424 and Cayuse SP
- 3% each for InfoEd, eRA SmartGrant, and Streamlyne

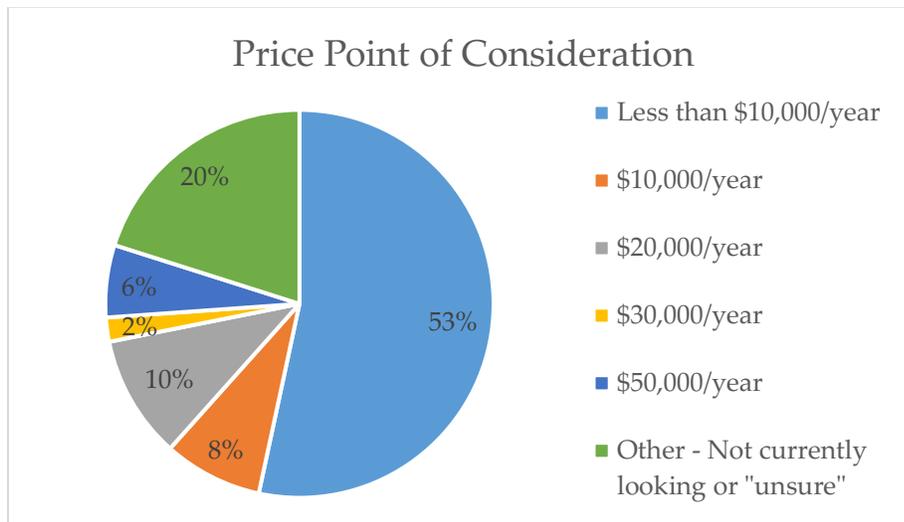
Question #6 – What is the approximate cost of the eRA system you utilize? This question did not provide sufficient data to be included in the research.

Question #7 – If not currently using an eRA system, why not? This was a multiple-choice question with the option for an open ended response. 51 responses

Question #8 - Since you are not currently using an eRA system, what is the highest price point where you would seriously consider procuring a system?

49 responses

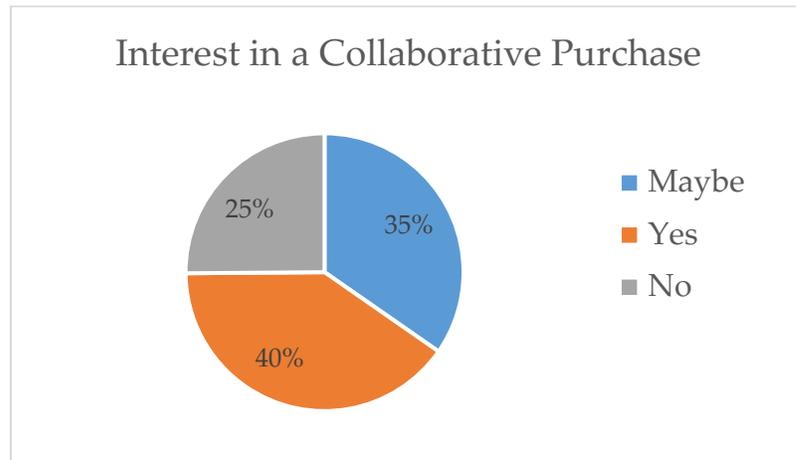
Figure 5



- **53%, Less than \$10,000/year**
- **20% Unsure**
- **10%, \$20,000/year**
- **6%, \$50,000/year**
- **5%, \$10,000/year**
- **2%, \$30,000/year**

Question #9 Would you be interested in a collaborative procurement where two or more institutions agree to purchase like systems to leverage a group discount? 105 responses

Figure 6



Question #10 Have you already considered a collaborative procurement of an eRA system? 105 responses

- 87% No
- 13% Yes

Question #11 If yes, did you pursue the purchase?

- Of the 98 responses, only 5 have pursued a collaborative purchase

Question #12 If you did not pursue the collaborative purchase, why not? This was an open-ended question which garnered 39 unique responses.

3.3 Discussion of Data Results & Analysis

3.3.1 Survey Analysis

The information gathered from the survey provided solid data, having garnered 106 responses from a good representation of institutional types. The NCURA and RESADM_L listservs provided access to the type of audience

sought for the research, reflected by the answer to Question #2 - 73% of responders represent institutions with a teaching mission. These institutions are the type that will likely benefit the most from a collaborative purchase. A key fact from this survey was that nearly half (48%) of responders do not currently have an eRA system in use at their institution. This presents a definite viable market for vendors to pursue and suggests a prime environment for institutional collaboration for procurement of an eRA system.

Of those who do currently have a system, it was not surprising to see that the leaders in eRA, Quali and Cayuse, enjoy the lion's share of the market of those included in this survey. However, 16% of institutions reported they are still using a homegrown system. Of interest is the 36% that responded "other". Further research is needed to determine the make-up of this category.

The question regarding cost of current system was not useful since most responders did not have sufficient knowledge to answer correctly. Thus, no findings will be analyzed regarding average cost of currently used systems.

Also, of interest in the survey are the responses from those who do not currently use an eRA system. 47% of responders identified "not enough funding" as the reason for not having a system. Another 14% reported "insufficient operational and/or technical support". However, 38% of responders provided reasons in the open-ended section of the question with an emphasis on

insufficient support from upper administration. Specific responses are provided in Addendum C.

Of interest to vendors is the fact that 73% of responders said they would be interested in a collaborative procurement if the institution's price point were \$10,000 or less. A collaborative buy with multiple participating institutions will increase the collaborative price point into an attainable range. Again, this seems to be a very viable market for a lower end configurable system, especially when 65% of 105 responders said they would be interested in a collaborative procurement.

Collaborative purchases are not a new idea, but it does not seem to have been heavily used in the eRA environment. Only 5 of 98 responders have pursued a collaborative purchase, and most of these were tied to a system wide procurement. The final question of the survey queried the reason behind not participating in a collaborative purchase. This was strictly an open-ended question. The responses were varied but there was a consistent theme regarding awareness with answers such as:

- "I did not think of it as an option."
- "Never thought of it."
- "Was not aware this was an option."
- "No partner available."

Several responses also cited the need for customization due to specific institutional processes. Concerns were shared regarding alignment of

collaborator needs. While this research did not present enough data to accurately define a successful collaboration and how to achieve that success, the data does present a hesitation of collaboration from several institutions due to incongruent institutional needs and processes.

The digital world we live in allows for collaborations of institutions that are further apart in physical proximity. Institutions that are seemingly unrelated but have like needs may prove to be an untapped collaborative resource for smaller institutions focused on a teaching mission but advancing in research. These open-ended responses do not represent consistent data, but they do represent the concerns/barriers that must be addressed to pursue a collaborative purchase. Further research is needed to explore innovative approaches for collaboration. A complete list of these open-ended responses can be found in Addendum C.

Chapter 4: Conclusions & Recommendations

4.1 Research Conclusions

The lack of access to an eRA system is a common barrier for institutions with minimal resources who desire to build an externally funded portfolio. Research administration offices at smaller institutions are often short in personnel and budget necessary to manage the regulatory environment of external funding. Whether an institution has \$2 million or \$2 billion in research expenditures, the same regulatory knowledge and oversight is required. Thus, the need for electronic support systems to enhance automated practices is essential for small offices of research administration to grow their institutional research funding.

4.1.1 Key Findings & Future Research Recommendations

Question 1) - Would institutions of higher education value/consider a collaborative purchase of an eRA system? The key finding of this research was that 48% of institutions are not currently utilizing an eRA system. Of that group, 40% would consider a collaborative purchase and an additional 35% would “maybe” consider a collaborative purchase.

Question 2) - At what price point would an institution consider purchasing an eRA system? The research revealed that 61% would consider a collaborative purchase if the price point was \$10,000 or under. This price point

indicates a need to leverage resources for procurement. For example, if three institutions each bring \$10,000 to the table, will the new \$30,000 price point prove worthy of eRA vendor offerings? Target price points for institutional collaborations that meet eRA vendor profit margins will require additional research.

Question 3) - Is there value in a collaborative purchase? As the literature detailed, small institutions will benefit from access to an eRA system. Since 48% of Offices of Research Administration currently do not utilize an eRA system and 75% of survey participants are willing to explore the option of collaborative procurement, the data suggests definite merit for collaborative purchases. However, further research is required to determine the value add of eRA systems for the institutions.

Question 4) - Recognizing the greatly reduced affordability price point for small institutions, are PUIs a viable market for vendors to pursue? The data reflects 48% of the market is currently not in contract with an eRA provider, representing a viable market. However, more research is needed to establish a price point that is achievable by institutions through collaborative pooling of resources, as well as, whether that price point is viable for vendors to pursue.

Further research is needed to address other factors of viability, including, how the climate of research administration at an institution will drive the

viability of a collaborative purchase. Additionally, further research could include a study on the possible correlation between customization and configuration. It is suspected that the more customized demands an institution desires from an eRA system will be a factor that determines cohesiveness of a collaboration.

Ultimately, this research study presents a compelling argument for addressing the gap of eRA system access through collaborative purchase options. As Henry Ford often stated, "If everyone moves forward together, then success takes care of itself."

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Addendum A – Survey Questions

electronic Research Administration (eRA) Survey Questions

By completing this survey or questionnaire, you are consenting to be in this research study. Your participation is voluntary and you can stop at any time.

*Required

1. **Name of Institution**

2. **Type of Institution ***

Mark only one oval.

- Community College
- Baccalaureate College
- Regional Comprehensive University
- Research University
- R01 Research University
- Other: _____

3. **What is the primary mission of your institution? ***

Mark only one oval.

- Teaching
- Research
- Other: _____

4. **Do you currently utilize an institutional eRA (grants management) system? ***

Mark only one oval.

- Yes *Skip to question 5.*
- No *Skip to question 7.*

Currently Using an eRA System

Which eRA (electronic Research Administration) system do you use?

5. *Mark only one oval.*

- Cayuse 424
- Cayuse SP
- Kualii
- eRA Software Solutions - SmartGrant
- Grant Navigator
- Institutional Built System
- Other: _____

6. **What is the approximate yearly cost of the eRA system(s) you utilize?**

Skip to question 9.

Not Currently Using an eRA System

7. **If not using an eRA system, why not?**

Mark only one oval.

- Not enough funding
- Insufficient technical support
- Insufficient operational support
- Other: _____

8. **Since you are not currently using an eRA system, what is the highest price point where you would seriously consider procuring a system?**

Mark only one oval.

- Less than \$10,000/year
- \$10,000/year
- \$20,000/year
- \$30,000/year
- \$50,000/year
- &75,000/year
- \$100,000+/year
- Other: _____

Interest in a Collaborative Buy

9. **Would you be interested in a collaborative procurement where two or more institutions agree to purchase like systems to leverage a group discount?**

Mark only one oval.

- Yes
- No
- Maybe

10. **Have you already considered a collaborative procurement of an eRA system?**

Mark only one oval.

- Yes
- No

11. **If yes, did you pursue the purchase?**

Mark only one oval.

- Yes
- No
- N/A

12. **If you have pursued a collaborative purchase, may I contact you to discuss further? Please provide contact information, if desired**

13. **If you did not pursue the collaborative purchase, why not?**

Skip to "Thank you for your time today. Please feel free to contact me with any further questions or concerns. Conquer On! Sylvia Bradshaw, (435) 673-5133, sbradsh4@jhu.edu."

Thank you for your time today. Please feel free to contact me with any further questions or concerns. Conquer On! Sylvia Bradshaw, (435) 673-5133, sbradsh4@jhu.edu

Addendum B – HIRB Approvals



Homewood Institutional Review Board

3400 N. Charles Street
Wyman Park Building, Suite N468
Baltimore MD 21218-2685
410-516-6580
<http://homewoodirb.jhu.edu/>

Michael McCloskey, PhD
IRB Chair

Date: February 28, 2018

PI Name: Jeffrey Kantor

Study #: HIRB00007060

Study Name: Electronic Research Administration (eRA) in the Predominantly Undergraduate Institution (PUT): Utilizing a Collaborative Buy to Negotiate an Affordable Solution for eRA Grants Management Software at Predominantly Undergraduate Institutions

Date of Review: 2/28/2018

Date of Approval: 2/28/2018

Expiration Date: 2/28/2021

The above referenced study has been *approved*.

Review Type:	Exempt
Funding Agency:	Not funded
Grant or Contract Number:	
International Sites:	No
Maximum number of participants:	100
Vulnerable populations:	None
Consent process:	Survey/questionnaire consent
Assent Process:	

Please keep in mind that it is your responsibility to inform the HIRB of any adverse consequences to participants that occur in the course of the study, as well as any complaints from participants regarding the research. In conducting this research, you are required to follow the requirements listed

in the *HIRB Policies and Procedures Manual*.

Approved Documents:

Recruiting Materials:
Email Script

Study Team Members:
Sylvia Bradshaw

APPROVAL IS GRANTED UNDER THE TERMS OF **FWA00005834** FEDERAL-WIDE ASSURANCE OF COMPLIANCE WITH DHHS
REGULATIONS FOR PROTECTION OF HUMAN RESEARCH SUBJECTS

Email Script for eRA Survey Request

Greetings fellow Research Administrators,

I have recently been involved in a collaborative purchase to acquire a grants management system and have learned a great deal from the experience. Thus, I have also chosen this topic for my research study to meet the thesis requirements for my Masters of Research Administration through Johns Hopkins University. The title of my research is:

Electronic Research Administration (eRA) in the Predominantly Undergraduate Institution (PUI): Utilizing a Collaborative Buy to Negotiate an Affordable Solution for eRA Grants Management Software at Predominantly Undergraduate Institutions

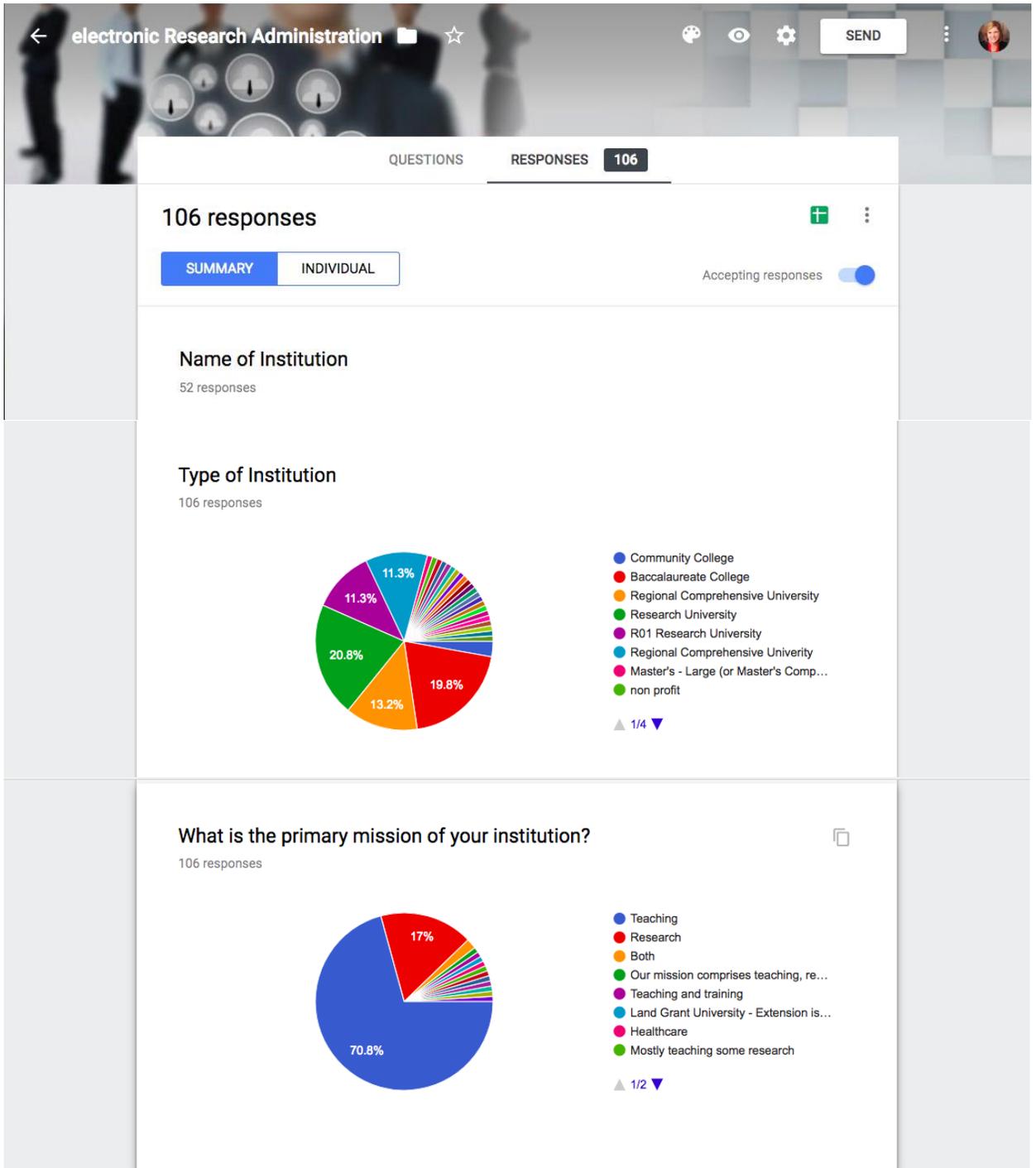
I am asking for your participation in a **short** survey (5-10 minutes) regarding your institutional grants management system in order to determine the viability of a collaborative purchase. Identities of participants will be kept anonymous. I thank you in advance for responding to the survey and wish you all a productive week of research administration!

Should you have any questions, please feel free to reach out to me, Sylvia Bradshaw, at (435) 879-4720, bradshaw@dixie.edu or to the PI, Dr. Jeffrey Kantor, at jkantor3@jhu.edu.

Conquer On,

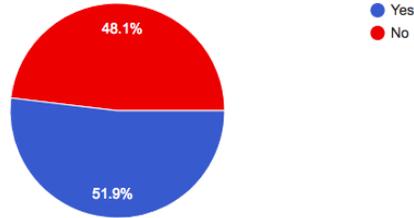
Sylvia Bradshaw

Addendum C – Survey Results



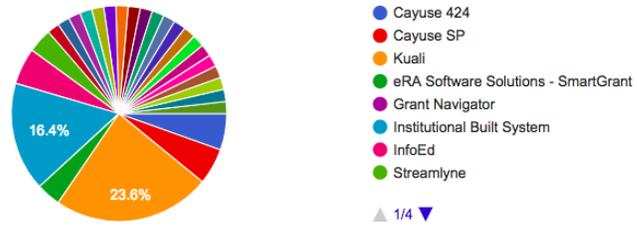
Do you currently utilize an institutional eRA (grants management) system?

106 responses



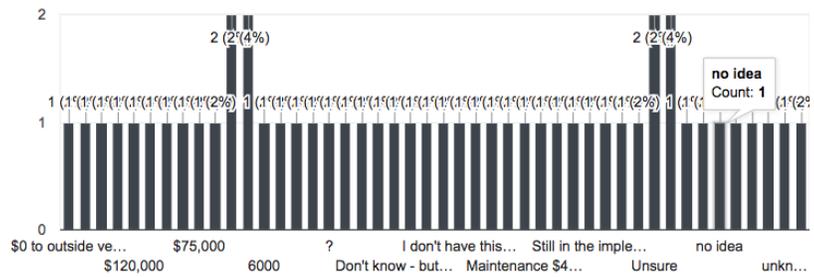
Currently Using an eRA System

55 responses



What is the approximate yearly cost of the eRA system(s) you utilize?

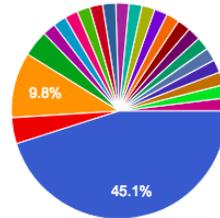
50 responses



Not Currently Using an eRA System

If not using an eRA system, why not?

51 responses

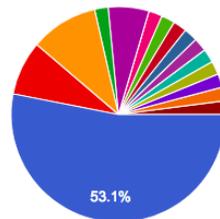


- Not enough funding
- Insufficient technical support
- Insufficient operational support
- Cost prohibitive
- Not enough funding in combination...
- insufficient support for research ent...
- currently exploring, but expensive is...
- not sure

▲ 1/3 ▼

Since you are not currently using an eRA system, what is the highest price point where you would seriously consider procuring a system?

49 responses



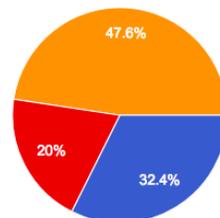
- Less than \$10,000/year
- \$10,000/year
- \$20,000/year
- \$30,000/year
- \$50,000/year
- &75,000/year
- \$100,000+/year
- Astate is not looking into procuring...

▲ 1/2 ▼

Interest in a Collaborative Buy

Would you be interested in a collaborative procurement where two or more institutions agree to purchase like systems to leverage a group discount?

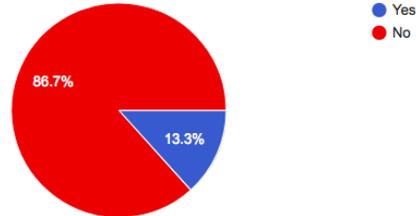
105 responses



- Yes
- No
- Maybe

Have you already considered a collaborative procurement of an eRA system?

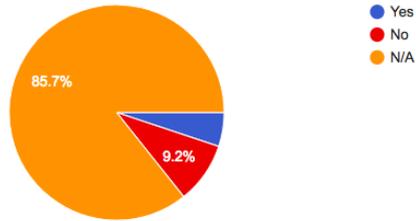
105 responses



If yes, did you pursue the purchase?



98 responses



If you have pursued a collaborative purchase, may I contact you to discuss further? Please provide contact information, if desired

19 responses

n/a (3)

Sure. Teri Herberger, ttherberger@salisbury.edu

I really had nothing to do with it.

Purchased with other colleges within our consortium (7 colleges and 1 service organization)

I am not eligible to make these decisions

Not Applicable.

No. I was not part of any negotiations.

Middlebury is part of Green Mountain Consortium (us, St. Michael's and Champlain Colleges in Vermont) that is in the process of implementing a collaborative purchase of Raiser's Edge for Advancement and an Oracle ERP for Finance and HR. I'm not the contact but if this is of any interest I can put you in touch. Franci Farnsworth farnswor@middlebury.edu

Karen Wilson, we are in the process of doing this with you

The CUNY is beta testing COEUS at three of the larger research campuses. We eventually hope to have access to this system.

If you did not pursue the collaborative purchase, why not?

42 responses

N/A (3)

The cost was still prohibitively high for my institution.

We are just now looking at systems

I don't have this information

the ERP system was changed by our institution, only with some persuasion did they purchase the grants module.

n/a

Never thought of it!

my answers are deceiving. I am in a large state university system. RFPs are being prepared as we speak. we are hoping to get a price break.

Didn't feel it a possibility at this stage.

Not sure how a collaborative purchase would work.

Cost

Was not aware it was an option.

Our Campus needs were too complex - needed to keep the requirements as simple as possible.

We purchased it for our "system" and the larger systems within our state use systems that do not fit our approach.

Lack of funds

Not that far along yet in establishing our infrastructure. And not enough proposal submissions yet. Also would need to identify institutions with which to collaborate

We don't have sufficient external funding to warrant this purchase; most of our grants come with only an 8% F&A rate.

Never thought of it

We need to preview, consider cost, consider savings - then if new leadership decides against this system, where do the pieces fall.

in-house IT so no need/funds available to pursue other systems

Our eRA systems are highly customized to our institution

Not Applicable.

I don't think we gave a collaborative purchase any thought.

Not able to make it work with our institutional policies

still under consideration

Unsure. Was not involved in the negotiation

The concept of a collaborative purchase was not an option when we made our eRA software solutions decisions.

I did not think of it as an option.

It may be in the works in the future. We are making due in the interim with an Access database created by our IT department.

Not enough budget dollars

It was difficult to get consensus on requirements between two different institutions.

inadequate interest from collaborators

University has invested heavily in the WorkDay platform

Hi Sylvia, This purchase was initiated before I moved here. I do know they initially began to implement Quali but found it would not meet their needs. They since moved to this option from Novelution. - Corey Burger

our program is too young and we are going through a GL conversion right now

No partner available

I didn't know this was possible.

No other institution is associated with us. We are a private institution.

Our research enterprise is already fairly vast; it seemed an added complication

Unclear how that would work and feasibility in terms of software restrictions, payment procedures, etc.

Not Applicable.

I don't think we gave a collaborative purchase any thought.

Not able to make it work with our institutional policies

Thank you for your time today. Please feel free to contact me with any further questions or concerns. Conquer On! Sylvia Bradshaw, (435) 673-5133, sbradsh4@jhu.edu

Sylvia Ann Bradshaw – Curriculum Vitae



Sylvia Bradshaw received her bachelor's degree in Accounting from Dixie State University and her Master of Science in Research Administration from Johns Hopkins University, specializing in Program & Financial Management in Sponsored Programs. Sylvia is happiest when she is learning and serving others - both of which are solid requisites for a career in Research Administration.

Sylvia was born in Moab, Utah and raised in the red rocks of Southern Utah, otherwise known as "Utah's Dixie". She is the Director of Sponsored Programs at Dixie State University. Sylvia's service includes a vast array of professional and religious committees and councils at local, state, and national levels. However, her greatest joy is the service within the walls of her own home with her family. She is married and enjoys her 5 adult children, daughter-in-law, granddaughter, foster child, and the myriad of others who have immensely enriched her life.