1. Functional Overview

1.1 Business Need and Goals Statement

Describe business need or function addressed by report/program

An email reminder to be sent 45 days prior to the anticipated begin date is needed to ensure all paperwork for pending protocols is either fully approved or in the process of being approved in anticipation of the University receiving a notice of grant award (NOGA).

1.2 Business Process Impact

Describe any business process(es) that will be changed by report/program

This email reminder is a new process that should prompt the end user to ensure protocol paperwork is approved in a timely manner so that when a NOGA is received it can be processed as efficiently as possible so the end user can begin work as soon as possible.

1.3 Assumptions

Describe business process, personnel action or decision assumptions required for this report/program

It is assumed that a proposal has been submitted using the WISPER routing system. It is also assumed the PI and the WISPER “Campus Contact” are the correct people to receive this proposed email reminder. At such a time as the “Award Setup Contact Table” is completed the email shall go to the PI and the person in the contact list for the associated administering department rather than the “Campus Contact”. It is further assumed that the proposal contains a pending protocol that needs to be approved before an award can be fully commissioned.

1.4 Dependencies

Describe decisions, actions, modifications, configuration or conversions which must be completed prior to completing this report/program or implementing it in a production environment

This email reminder can be implemented using existing WISPER fields however, upon completion of the Award Setup Contact Table this email shall be sent to the PI and the setup person in the table affiliated with the corresponding WISPER field “Administering Dept”.

1.5 Risks

Describe any risks associated with the report/program

The PI may feel burdened by the receipt of administrative email however the benefit of having protocols in place by the receipt of NOGA outweighs the risk, as the result will allow the PI to begin the research project sooner.
The PI and campus contact may not move forward with clearing their protocols. This could result in a longer processing time once the NOGA is received.

1.6 Design Validation Approach

What steps has this design gone through in order to ensure quality?

The text and format of the email reminder will be/has been vetted by a random sample of PIs who typically have proposals involving protocols, including: Professor Mary Behan, School of Veterinary Medicine and Cheryl Deering, CALS.

1.7 Supporting Documentation

What existing documentation can be referenced to gather additional context regarding this report/program and where is it located?

Examples: Fit Gap Documents, Fit Gap Summary and estimation worksheets, output from other workgroups

APR_SP_PhaseIIIAwardSet-upPresentation20090609.pdf – copy attached.
2. Functional Description

2.1 Overview

General Description

Give a brief overview of the report/program and how it will function.

This email will be automatically generated and sent to the proposal PI and campus contact to prompt them to clear pending protocols 45 days before the WISPER field “Begin Date”.

<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Telephone</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stephanie Gray</td>
<td><a href="mailto:sgray@rsp.wisc.edu">sgray@rsp.wisc.edu</a></td>
<td>608-262-0237</td>
<td>RSP</td>
</tr>
<tr>
<td>Aimee Lefkow</td>
<td><a href="mailto:lefkow@hep.wisc.edu">lefkow@hep.wisc.edu</a></td>
<td>608-263-2267</td>
<td>L&amp;S/Physics</td>
</tr>
<tr>
<td>Petra Schroeder</td>
<td><a href="mailto:pschroeder@bascom.wisc.edu">pschroeder@bascom.wisc.edu</a></td>
<td>608-265-4868</td>
<td>Grad School</td>
</tr>
</tbody>
</table>

2.2 Detailed Description

Functional Details

Include in this section all details about how the report or program will work.

Include logic for reports, examples of email text, screen mockups, fields and layout of reports, etc.

Use additional pages if necessary.

If WISPER field “status” = 4-Sent to Sponsor

And

If TODAY minus WISPER field “begin date” = 45

And

(If WISPER Compliance field “toxic” = yes

Or

If WISPER Compliance field “human subjects” = yes

Or
If WISPER Compliance field “vertebrate animals” = yes
Or
If WISPER Compliance field “embryonic stem cells” = yes
Then
Email WISPER field “campus contact” and WISPER field “Contact PI” with:

(Plain Text) Email:
Email from: WISPER@rsp.wisc.edu
SUBJECT LINE: WISPER Pending protocol on [WISPER field “Record ID”] MSNxxxxxx

BODY:  Your pending proposal: [WISPER field “Record ID”] MSNxxxxxx
To: [WISPER field “Sponsor”]
Title: [WISPER field “Long Title”]

Is now 45 days before the _anticipated_ begin date of this project. If you believe this project will be funded, all protocols must be approved and specifically identify this proposal as a source of funding for covered work.

Having protocols approved will speed up the award process allowing you to spend your research dollars soon after the notice of grant award arrives on campus.

If you are aware that this record will not be funded, please forward this email to WISPER@rsp.wisc.edu with such a statement.

Please contact your department administrator or division with any other questions.

To view this record in your WISPER work list, click here:
https://portal.sfs.wisconsin.edu/psp/sfs_1/EMPLOYEE/ERP/c/UW_WP_WISPER.UW_WP_MY_WISPER2.GBL
[shorten this URL if possible]

<table>
<thead>
<tr>
<th>Target Date and Level of Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicate the desired target date for implementation and level of importance</td>
</tr>
<tr>
<td>Target implementation: September 2009</td>
</tr>
<tr>
<td>Level of importance: Medium</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Security Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete if necessary</td>
</tr>
<tr>
<td>Conversion Considerations</td>
</tr>
<tr>
<td>---------------------------</td>
</tr>
<tr>
<td>Complete if necessary</td>
</tr>
</tbody>
</table>
3. Quality Assurance

3.1 Use Cases

A use case concretely explains- by sequentially listing the steps in the business process- how a user accomplishes a goal using one or more features of a system. A use case, commonly, is written as a dialog between the user (what the user is doing) and the system (how the system responds to the user's intention.)

Following is a table-template for a use case. First, identify a user’s goals and key needs and then complete the sections of the use case template. Questions to ask include: Which business objects are of primary concern to this user? Which users do they interact with to accomplish the specific business goals?

For situations that are complex or not understood clearly, a more comprehensive use case should be created. This could include alternate scenarios and/or extensions to the basic business process flow.

<table>
<thead>
<tr>
<th>Use Case Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
</tr>
<tr>
<td>Author/Date</td>
<td></td>
</tr>
<tr>
<td>Brief Description</td>
<td></td>
</tr>
<tr>
<td>Goal</td>
<td></td>
</tr>
<tr>
<td>User/User Role</td>
<td></td>
</tr>
<tr>
<td>Success Condition</td>
<td></td>
</tr>
<tr>
<td>Trigger</td>
<td></td>
</tr>
<tr>
<td>Pre-conditions</td>
<td></td>
</tr>
<tr>
<td>Post-conditions</td>
<td></td>
</tr>
<tr>
<td>Scenarios</td>
<td></td>
</tr>
</tbody>
</table>

3.2 Performance Considerations

Describe any considerations that may affect performance. How many transactions are expected to use the report/program? What ranges of data will reports or process use or generate? Are there timing considerations to take into account?

This program will run daily/nightly. Emails will be sent 7 days/week as criteria are met. No specific time of day is requested. Only one email reminder per WISPER ID/proposal is to be sent, no repetition.
4. Other

4.1 Training Considerations

Describe any training considerations

A statement can/has been added to the Research Admin 101 course to alert end users to this process improvement.

4.2 Glossary

Include a glossary if necessary

APR = Administrative Process Redesign:  http://www.vc.wisc.edu/apr

WISPER = an application to assist in routing, approval, and negotiation of applications and agreements related to extramural funding on the UW campus. WISPER provides the data necessary to record information sufficient for internal tracking and reporting purposes and facilitates the Generation of Awards in the new PeopleSoft Grants system.

Protocol/Compliance = various research activities require approval and oversight by an Institutional Review Board. Before research can commence protocols must be formally approved to ensure the health and safety of researchers and participants.

NOGA = Notice of Grant Award

Award Setup = Process by which UW accepts sponsored research