Merging of Department & Central Office Functions:
A New Method of Operation

University of California San Francisco
John Radkowski, Director, Contracts & Grants

Portland State University
Dawn Boatman, Director of Sponsored Projects Administration
Sinnamon Tierney, Asst. Director Departmental Research Administration
Two Approaches to Centralization

Portland State University
Central research office strategy to improve level and quality of support for researchers at the departmental level

University of California San Francisco
Implementation of a clustered model for pre-award services
University of California, San Francisco

Merging of Department and Central Office Functions, a New Method of Operation

*Operational Excellence in Pre-Award Services*

Customer Service ........Teamwork........Collaboration

NCURA 2012 Region VI/VII Spring Meeting - April 2012

John Radkowski – Director, Contracts & Grants
The Chancellor and her Executive Committee initiated an analysis of institutional business efficiencies in early 2010 under the name Operational Excellence (OE).

Following approval of the initial findings of the Operational Excellence program, committees were charged with developing detailed recommendations related to Research Administration, Finance, Human Resources and Information Technology.

The OE Research Work Group was charged with developing an operational model for Pre-Award Research Administration that:

- Ensures Customer Satisfaction
- Is Efficient and Reduces Overall Costs for Pre-award Administration
- Is Accountable to Leadership, and
- Identifies Potential Funding Sources to Support Services
UCSF Workforce Issues

Introducing Operational Excellence ‘OE’
The Chancellor Susan Desmond-Hellmann, MD, MPH

“OE is about making sure that every dollar we spend is in service of our mission (patients and health, discovery, and education) through excellence.”

The end-points OE is striving for:

- **Money**: reduce administrative costs by $48M.
- **Faculty**: minimize administrative burdens to be able to focus on real job
- **Staff**: ensure equitable salary/roles & responsibilities, defined career path, training
- **Systems**: invest in systems to support new way to work
- **Process**: eliminate unnecessary steps, replace with clarity
- **Policies & Procedures**: simplify, align procedures, reduce risk
- **Departments**: ensure excellent service consistently available regardless of size & resources
Departmental staff provide loyal, dedicated service; however, knowledge sharing among RSA’s, back-up and career growth are limited.

Staff duties are fragmented as they are often responsible for multiple operational functions (Pre-award, HR and Finance).Fragmentation results in a lack of expertise, sub-optimal services and increases errors.

An institution-wide lack of training and standards results in: Varying skills, practices and service levels, Inconsistency.

Dated systems and technology present substantial challenges related to efficiency, process and workflow automation.
Pre-Award Workgroup
20 Managers and Subject Matter experts tasked with advising on the following:

• Streamline the process for proposal submission and award set up

• Delegate signature authority based on proposal type

• Develop a comprehensive training and certification program for all research administrators

• Ensure job families and classifications align with the required training and certification levels

• Develop a model for Pre-Award Service Teams

• Develop technology and tools needed to aid efficient and effective service delivery.
INITIAL ORGANIZATIONAL DESIGN CONCEPT

Departments & ORUs: Dept. Mgmt. includes Chairs, Division Heads, and MSOs

Shared Service Teams: A network comprised of teams of Pre-Award Experts providing consistent, streamlined service delivery processes

Specialty Units:
- Contracts & Grants
- Clinical Research Support
- Industry Contracts

Accountability through Performance Measurement

Specialty Units provide the Shared Service Teams with training & certification programs, technology, delegated signature authority, and specialty support and services.
Pre-Award OE Implementation Team formed in February 2011

- Finalized Organizational Design
- Developed roll-out plan
- Refined workload (400-600 proposals per team)
- Generated recruitment plan and posted job descriptions
- Developed Cost and funding model
- Secured space for 10 Service Teams in 5 different building
**ROLL-OUT SCHEDULE**

- Phase 1A – Pilot - rolled out in August 2011. RSC’s train for 50% time for one month prior to go live. Responsible for 12 Departments. Extra RSC’s hired to support transitional departments who lost people to initial recruitment. Phase 1A dissolves in April, and is absorbed into the rest of the model.

- Phase 1A – Serves as a model to test workflow, workload, customer satisfaction etc. Extremely detailed and comprehensive measuring done at 6 months

- Contracts & Grants reorganized in October, 2011 in anticipation of new organizational model.

- Phase 1B - Rolled out January 17, 2012 – 2 Teams

- Phase 2 – Goes live on April 18, 2012 – 4 Teams

- Phase 3 - August 2012 - 4 Teams
RMS / C&G Services

- **Scope of RMS Services**
  - Pre-Award and sponsor correspondence
  - Each team supports 400 to 600 proposal submissions annually
  - Close collaboration with department Post-Award analysts, MSOs and Division Managers

- **Scope of C&G Services**
  - Award negotiation and acceptance
  - Issuance of subawards
  - Training, certification and signature delegation
  - Policy coordination, technology and infrastructure
Office of Sponsored Research

Organization after full implementation
RMS Teams include RSCs & Associate RSCs who will be assigned to departments
# Delegated Authority – Certification Levels

<table>
<thead>
<tr>
<th>Certification Level &amp; Proposal Types</th>
<th>Proposal Development</th>
<th>Approve and Submit Proposals on Institution’s behalf</th>
<th>Accept Awards on Institution’s behalf</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cert A: Federal Grants R’s, K’s, F’s, and all sponsor correspondence</td>
<td>RSC</td>
<td>RSC or Team Manager</td>
<td>Contracts &amp; Grants Office</td>
</tr>
<tr>
<td>Cert B: Federal Grants P’s, U’s, T’s, CDC, HRSA, DoD</td>
<td>RSC</td>
<td>RSC or Team Manager</td>
<td>Contracts &amp; Grants Office</td>
</tr>
<tr>
<td>Cert C: All non-profit grants, fellowships and contracts, incoming subcontracts, international Grants, Fellowships and Contracts, CIRM, State Contracts (RFP only)</td>
<td>RSC</td>
<td>RSC or Team Manager</td>
<td>Contracts &amp; Grants Office</td>
</tr>
</tbody>
</table>

**Federal Contracts**
- RSC [notifies C&G for proposal development advisement ASAP]
- Contracts & Grants Office
- Contracts & Grants Office

**After-the-Facts**
- RSC prepares OSR form and supporting documents
- N/A
- Contracts & Grants Office

**State Contracts: Sole Source**
- Department collaborates directly with Contracts & Grants Office
- N/A
- Contracts & Grants Office

**County, City contracts**
- Department collaborates directly with Contracts & Grants Office [RSC participates as needed]
- Contracts & Grants Office
- Contracts & Grants Office

**MTA request forms**
- PI works directly with Industry Contracts Office
- Industry Contracts Division*
- Industry Contracts Division*

**Industry Contracts including industry sponsored clinical trials**
- RSC prepares budget, administrative documents, OSR form, and Industry Contracts negotiates contract
- Industry Contracts Division*
- Industry Contracts Division*

**SBIR/STTR**
- RSC and Industry Contracts Division generate letter
- Industry Contracts Division*
- Industry Contracts Division*

* For Diabetes Center, Microbiology & Immunology and Dermatology, these proposal types are routed to the BRU for approval and award acceptance until April 2013.

** For ATFs in these categories, RSCs will generate OSR form until August 2012 when C&G will begin generating the OSR forms.
RMS Immersion Training

- Day 1: Welcome/Our Organization/Operational Structure/Who We Serve
- Day 2: Core Competencies/Behavioral Styles
- Day 4: Roles & Responsibilities Part I: Your New Role/Sig Authority/JITs
- Day 5: Common OIG Findings, Proposal Prep Basics
- Day 7: Policies Part II: Human/Animal Subjects, CoS Funding Opportunities
- Day 8: Proposal Prep: VAMC, State, City/County, COI
- Day 9: Proposal Prep: Clinical Trials, Industry Contracts
- Day 10: Proposal Prep: International, Export Control, Sub-Awards
- Day 11: Roles & Responsibilities Part II/Post-Award Basics Part I
- Day 12: Post-Award Basics Part II: Award Setup, Billing, Financial Reporting
- Day 13: Budget Development: WebLinks, Modular/Complex Budgets, Gifts
- Day 14: Technology: NIH Scoring, Proposal Express, eCommons, Cayuse
- Day 15: Working with Departments (Mgrs., Post-Award Analysts, Others) and Faculty
- Day 16: Communication, Team Model Workshop, Customer Service
Cost Savings and Service Levels

- Objective is to improve service level, and reduce cost, while providing a career ladder for employees.
- Phase 1A surveys indicate 83% PI’s satisfied with service. (Up from 77% prior to implementation.)
- Annual cost of “status-quo” model (RMS and C&G) is $16.1M
- 2013 Budget is $14.3M.
- Cost savings of an additional $1.8M projected by FY 2015, after full roll-out and deployment of new e-proposal, salesforce technology solutions.
Feedback at 6 months from Phase 1A Pilot group

**BEFORE RMS implementation**

- **High Satisfaction***: 77.7%
- **Neutral****: 14.3%
- **Low Satisfaction***: 8.0%

Phase 1A Faculty only Pre-award Baseline Questionnaire
Summer '11
(114 respondents; 48% response rate)

**AFTER RMS implementation**

- **High Satisfaction***: 83.3%
- **Neutral****: 11.9%
- **Low Satisfaction***: 4.8%

Phase 1A How's My Driving? quick survey ++
Faculty that submitted proposals, Oct '11-Feb '12
(42 respondents; 31% response rate)

Notes:
*High satisfaction responses = "Strongly agree"/"Agree" OR "Excellent"/"Satisfactory"
**Neutral satisfaction responses = "Neither agree nor disagree" OR "Inconsistent"
***Low satisfaction responses = "Strongly disagree"/"Disagree" OR "Unacceptable"
++ This data represents a quick quality improvement effort to uncover early indicators of Phase 1A client experience. The theoretical margin of error is 12.5%, plus or minus, 95% of the time.
Questions about the presentation?

Please contact John Radkowski – john.radkowski@ucsf.edu
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Website References:  www.ucsf.edu
officeofresearch.ucsf.edu
http://or.ucsf.edu/cg/cg.html
http://officeofresearch.ucsf.edu/rms
operational excellence.ucsf.edu
Centralizing Departmental Research Administration

Don’t let a good crisis go to waste

Why we did it
What we wanted to do
How we were able to do it
What we did (big picture and the details)
How we did it
Where we are now
What we are doing next

Dawn Boatman, Director of Sponsored Projects Administration

Sinnamon Tierney, Assistant Director Departmental Research Administration

NCURA 2012 Region VI/VII Spring Meeting
April 2012
Three Rules of Work

1. Out of clutter find *simplicity*
2. From discord find *harmony*
3. In the middle of difficulty lies *opportunity*

-Albert Einstein
Why we did it

Clutter, Discord, Difficulty

- Rapid rise in level of sponsored projects activity
- Goal to further increase sponsored projects activity
- Culture and infrastructure reflective of time when activity was low and research was not a major focus of the institution
- Limited understanding of sponsored projects regulations across campus
- Increased focus on regulatory requirements by central administration
- Departmental Research Administration concept and position not recognized
What we wanted to do

Simplicity

- Offer accessible, individualized assistance to PIs
- Ensure consistent levels of support among the various units across campus
How we were able to do it

*Opportunity*

- Changes in Central Research Administration leadership
- Financial Crisis in College with highest level of research activity
- Changes in College Leadership
What we did – big picture

Harmony

- Central research administration made departmental research administration a priority
  - Created a central office position responsible for departmental research administration
  - Secured funding for departmental research administrator positions
  - Developed strategy for educating individuals performing research administration functions
What We Did – *the details*

- Recognized critical need in College of Liberal Arts and Sciences
- Developed a model
- Secured buy-in and support for model
- Initiated collaborative process with central office and college to implement a new structure for departmental research administration
1 DRA part-time pre- & post for 33% of CLAS Research CHE

DRA – part-time for 3% of CLAS Research PSY (Pre-award only)

1 staff, part-time in the Dean’s Office, finance background, no research administration experience for 9% of CLAS Research INT, OCD, SPHR, WGSS, INR, ANT, SOC, ECN, HST, BST, PSY (post-award only), Other

1 full-time pre- & post, no research admin background for 1% of CLAS research MTH

1 DRA full-time pre- & post, no research admin background for 3% of CLAS Research LIN

Science Support Office
4 staff full-time (different jobs) no research administration background
For 51% of CLAS Research BIO, ESM, PHY, CSE, GLG, GEO
College of Liberal Arts & Sciences (CLAS) Departmental Research Support Services (DRSS)

- RSP: Research & Strategic Strategic Partnerships
- CLAS: Deans Office
- CLAS-DRSS: Manager
  - 4 DRAs: Departmental Research Administrators
  - 3 SATS: Sponsored Award Transaction Specialists
- 31 Depts/Units: Chairs/Directors, Faculty/PI/PD
Manager CLAS DRSS
Oversees CLAS Research Administration Functions
Liaison to CLAS Dean’s Office & RSP
ESM, IGERT, PHL, Misc./New Departments

DRA
CHE, PHY, GGR,
COM, WLL

DRA
PSY, LIN, INT, BIO
OCD, SPHR, WGSS, INR, LAS

DRA, PIx
LIN: PI, PSY: PI
CHE: PI

DRA
CSE, ANT, SOC,
MTH, ECN, HST, BST, GLG

SAT Payables
SAT HR
SAT Front Desk, Procurement, Travel
How We Did It

- Seven-Person CLAS-DRSS Team
  - Assigned portfolios/PIs
  - Staff brings various strengths
  - Coverage when staff is out/vacation
  - Co-located in the same office
  - Added support staff/student worker
- Implemented Shared Drive
- Developed Workflow (DRSS & College Dept. Staff)
- Defined Roles & Responsibilities
- Streamlining Processes
- RSP Delegated Signature Authority
## CLAS-DRSS
### General Support – Quick Glance

<table>
<thead>
<tr>
<th>Pre-Award</th>
<th>Post Award</th>
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<tbody>
<tr>
<td><strong>Budget Review &amp; Preparation, Including review of budget justification</strong></td>
<td>Monitor, Reconcile &amp; Forecast Budget. Meet with Faculty as needed</td>
</tr>
<tr>
<td>Assist securing internal approval (via PIAF (Proposal internal Approval Form) prior to submitting a proposal)</td>
<td>Human Resources: all sponsored award hiring, including recruitment and appointment, letters, wage agreements, labor distribution</td>
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<tr>
<td>Assist with collaborators and other institutions on proposal documents</td>
<td>Journal Vouchers/Cost Transfers to move expenditures in error off award</td>
</tr>
<tr>
<td>Gather Letters of Intent (LOI)/Willing Letters</td>
<td>Purchasing &amp; Personal Services Contracts</td>
</tr>
<tr>
<td>Advise/Assist with gaining institution approvals for cost share, reduced/waived indirect costs, etc.</td>
<td>Review &amp; Approving Invoices for project that are Allowable, Allocable, Reasonable &amp; Consistent</td>
</tr>
<tr>
<td>Assist with electronic proposal preparation</td>
<td>Monitor cost share, assist with research incentives, advise and adhere to all research compliance areas</td>
</tr>
<tr>
<td>Assist with OPAS (Organizational Prior Approval for Spending), to establish and index to spend on award prior to official award notification</td>
<td>Grant Closeout (accounting to prevent cost overruns/under-spending)</td>
</tr>
<tr>
<td>Subcontract Initiation</td>
<td>Quarterly Effort Reporting</td>
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Where We Are Now

Update on the Changes Less Than a Year Later

- Improved Communication
- Easier to Implement New Policies & Procedures
- Consistent Practices
- Accountability
- Improved Support (for most PIs)
- Engaged DRAs
What We Are Doing Next?
2012-2013 Initiatives

**Improving support for PIs campus-wide!!!**

- Communication with other colleges/divisions to inventory research administration support and discuss needs

- Work with deans to improve coordination of centralized and distributed research administrative functions and staffing across the university

- Work on development and implementation of campus-wide research administration training program

- Streamline the administrative aspects of the research process to maximize the satisfaction and productivity of PIs while safeguarding the interests of our sponsors

- Clarification of roles and responsibilities for PIs, DRAs, and central research administrators across campus
What’s Next?, continued…

- College of Urban & Public Affairs
- Maseeh College of Engineering & Computer Science
- School of Social Work
- School of Education
- School of Fine & Performing Arts
- School of Business Administration
- College of Liberal Arts & Sciences (FALL 2011)
Tips & Advice

• Change Can Be Good!
• Provide Excellent Customer Service to PIs
• Make Good Hires
• Provide Processional Development Opportunities
• Try Not to Get Discouraged…
• Don’t Let a Good Crisis Go To Waste
• Remember Our Purpose
• Don’t Let a Good Crisis Go To Waste
Questions about the presentation?

Portland State University
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