Internal presenter notes (Cook and Everette)

Keep the Wheel Turning: Why Everyone Needs to be on the Same Page and How to Get them There

Slide1: Introductions of Us and Course

This session will discuss examples and issues regarding not following processes, policies and procedures, and how each situation could have been different. Additionally, this session will provide insight and suggestions on how to encourage those who may unintentionally create chaos and want to do things right, and how to effectively work with those who never will.

Faculty, administrators, accountants and so many more rely on each other to keep the research wheel turning. When one spoke is out of place, it can create stress, irritation, missed opportunities and even mistakes. It is important that everyone make an effort to follow timelines, guidelines and policies, but that is easier said than done.

Slide 2: Big Wheel Keep on Turning

- The Research Wheel has a lot of spokes and must keep turning every day.

Slide 3: Spokes on the Research Wheel

- Give an example of part of the research wheel (Sponsored Projects Office, Accounting Office). **Audience participations**-ask for other examples
    - Sponsored Projects Office
    - Accounting Office
    - Faculty
    - Department Administrators
    - Procurement
    - FCOI
    - IRB/IACUC
    - Export Control
- Bottom line-it's always turning,

Slide 4: Race Car vs. Snails Pace, Broken

Audience Participation Slide

Examples of when things move quickly/efficiently

- Information is provided efficiently
- Emails are read quickly
- Action occurs in a timely manner

Examples of when things get slowed down

- Lack of information (having to "drag" the information out of people)
- Email overload (should you pick up the phone?)
- Last minute submissions
- Is change needed so that the wheel can keep spinning?

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Slide 5: Why? (Back to Learning Objectives)

Learning objectives: 1) Understand the most common area(s) that individuals fail to follow sponsored project policies and how to encourage them to do so and 2) create information and formal procedures to assist with individuals who consistently operate outside of the rules

- Knowledge (lack of)
- Communication Issues
- Time Constraints
- Insufficient Mentoring
- Not Enough Help/Administrative Burden
- Mindset

Slide 6: Common Faculty/PI Challenges (and who it affects)

- Submitting proposals without going through Sponsored Projects Office
- Negotiating F&A and other budgetary items
    - Did they calculate for fringe…correctly?
    - Was Indirect Cost Included?
    - Are there subawards?
    - What about stipends?
- Negotiating contractual terms and conditions
    - Were there T/C included in the RFP that needed exceptions?
- Notifying SP Office at last minute
    - What type of review do the proposals/awards get?

Slide 7: Things to Consider on Faculty/PI

- Connections with sponsors – sometimes discussions and ideas are generated during meetings or seminars and commitments are made without thinking of policies/procedures/etc. Also, some faculty are very protective of their relationships with sponsors.
- Institutional faculty requirements – not only are PI's speaking with agencies and trying to get connections for research opportunities, but they also have classes with lots of students that may need a lot of help. And don't forget they also have requirements to meet in order to get their promotions or tenure
- Institutional research requirements – then, on top of all of the sponsor and faculty responsibilities are all the requirements for sponsored projects

Slide 8: Faculty/PI Solutions

- Develop a relationship with faculty and departments
- Provide training options where needed
- Remember you are there to help-try to make things as easy as possible (for everyone, including yourself)

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Slide 9: Sponsored Project Office: Proposal Team

Challenges

- Not getting a proposal submitted
- Missing a requirement
- Battling with the PI/Department

Considerations

- Juggling multiple deadlines
- Working with multiple faculty members
- Keeping up with internal and external policies that seem to change monthly
- Reviewing multiple FRPs and communicating with agencies on questions

Solutions

- Lots of interaction with PI
- Communication with Subawardees (receiving or giving)
- Keeping up with all the internal policies and who to contact for what
- RFP guidelines – reaching out to agencies with questions
- Team Work

Slide 10: Sponsored Projects Office: Contracting Team

Challenges

- Delay at getting contract out
- Missing important term/condition
- Compliance
- Subaward

Considerations

- Delays from Sponsors
- Lack of knowledge regarding what terms institution can accept
- Multiple contracts pending
- Negotiation in general

Solutions

- Know agencies and their roles/requirements; communication with agencies during negotiation
    - Does your contracting office work with specific agencies, or how does your office split up the contract reviews?
- Play nice; even if it just to their face ;)
- Communicating with PI's to make sure the information in the agreement is correct and attainable for the PI

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- Know internal and federal/state policies and if the university can agree to the agreement requirements

Slide 11: Sponsored Project Office: Post Award Team

Challenges

- Delay in setting up accounts
- Untimely invoicing
- Late reporting

Considerations

- When was the information provided to the team?
- Were there several moving parts? Award budget, Agency changes, Flow through, etc.
- Response time from faculty or other offices
- Turnover – how familiar is the team with the post award process and all the requirements?

Solutions

- Communication! – PI, Departments, Agencies, Pre-award Team
- Must communicate with Agencies for clarification on terms and conditions, invoicing, addressing discrepancies
- Communication with PIs for money moves, expense allowances, close out
- **Know the proposal and contracting process in order to answer questions (this is actually true to everyone)**
- **Team Work!! – Are your budget entry people talking with your invoicing people?**

Slide 12: Challenges from Other Offices (the slide says Department Challenge; I think it should be changed to Offices)

- Colleges/Departments
- Commercialization Office
- Compliance Offices (HRPP, IACUC, Export Control)
- General Council
- Institutional Advancement (Gift Office)
- Procurement
- And so many others

Slide 13: Overall Solutions

Goes back to the But, why slide from the beginning.

Slide 14: Training and Messaging Out

- Get the office name out there
- Provide training where needed
- Use mass email sparingly

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Slide 15: Effective Communication

- Again, get yourself out there – What is the situation and what is the best communication style?
- Reach out directly through IM or email – maybe removing others from the email chain
- Finally, pick up the phone
- In-person PI meetings

Slide 16: Reducing Burden

- Remember everyone is busy even though WE don't always see it
- Customer Services is our primary responsibility (we are all people and should treat each other respectively, even if we don't get it back in return 100%)
- Streamline internal requirements – Is there a better way?

Slide 17: (Mindset) you can lead a horse to water…

You can provide all the support possible, but

Slide 18: But sometimes…

Example: "you can't make me" is still the answer

Slide 19: So what do you do?

- Next what we do with those that will not comply?
    - Remember you CANNOT make someone do something – It is your job to explain what is needed and enforce the consequences that are outlined in the office/university procedures if the request/requirement is not met
        - 1. **Maintain your rationality.** If you lose your cool you will get into a power struggle which is a no win situation. The more frustrated and irrational you become, the more the noncompliant person's "button pushing" game is succeeding.
        - **2. Place responsibility where it belongs.** Take the burden of responsibility off of your shoulders. Toss it back to the noncompliant individual. For example: When confronted by the statement, "I'd like to see you make me do it," let the individual know that you can't make him do anything. Rather, explain to him that he/she makes the choice. You are there only to issue the directive and outline and enforce the consequences.
        - **3. Explain the directive.** Often we assume the individual knows why a directive is issued. At times, this is not the case. Give the person the benefit of the doubt and clarify why you are issuing the directive.
        - **4. Set reasonable limits.** Noncompliance is a limit testing game. The individual is testing how far they can go. If unreasonable limits or consequences are issued, the person will know you cannot enforce them. Take a minute to think before giving consequences.
        - **5. Be prepared to enforce your limits.** If you impose limits, be prepared to enforce them. Example: submitting timely, regardless of faculty member. Limit setting does not have to take the form of a "you better or else" ultimatum.

Every coin has two sides. Similarly, the individual's compliance has a positive consequence. There is no need for you to pass judgment. Be as objective as possible when explaining the choices.
(Internet https://www.crisisprevention.com/Blog/October-2010/Managing-the-Noncompliant-Person)

Slide 20: Change is not easy

Slide 21: And what do you not do

- Tattling (tattling v. reporting)
- Example: Lost check ~
- Tattling: Amy, my department admin sent a check to your office through campus mail and now no one knows where it is. Your office lost my check and I will not be able to complete my work because we don't have the funds and now I won't get tenure, and it is completely your office's fault.
  Reporting: Amy, my department admin sent a check to ORS, but no one seems to know where it is. I am concerned because I know we had a check and it was sent to ORS at MS1035. Is there a way to track down the check and is there a better way for my office to handle checks when we receive them?

Slide 22: and what else do you not do

- Not accepting responsibility for mistakes – but don't forget, don't let all the blame be put on you if it shouldn't be.

Slide 23: and finally

- Don't believe that the way you see things is the only perspective

Just because you don't see a solution doesn't mean it isn't there, sometimes you just need to look at it in different direction. Frog vs 5 painted people