Achieve High Level Service to Faculty and Increased Compliance through a Shared Service Organization
Federal Funding Decreasing and Volatile
Volume and Complexity of work
  - More proposal submissions
  - More compliance requirements and need for specialized knowledge
Staff in Departments
  - Budget cuts
  - Turnover after lengthy investment in training
  - Knowledge and Skills Inconsistent
  - No back-up during absences
Deadlines are disruptive to ongoing Business Office operations
More Consistent, High Level Service to Faculty
High Quality Service to Faculty and Increased Compliance

**Pre-Award**
- Simplify and demystify the proposal submission process.
- Faculty focus on developing strong and innovative research projects.
- Increase the number and quality of proposal submissions.

**Post Award**
- Provide exceptional award management.
- Ensure awards are compliant with all relevant policies and requirements.
- Reduce administrative burden to faculty to allow more time spent on research.
Creating Faculty Research Management Services

Building on the earlier initiatives from 2005, a Project Team was formed in 2010.

Conducted a detailed *end-to-end* business process analysis for Pre-Award and Post Award through a Partnership with Office of Sponsored Projects.

Separate Pre and Post Award activities,
One organization within Business Operations as an extension of the Department Business Offices.

Partnered with Human Resources

Branding, Deployment Strategy and Growth
**Faculty Research Management Services** provides the faculty facing grants management support that departmental resources typically perform. Office of Sponsored Projects (OSP) provides institutional oversight and approval and act as a source of expertise for FRMS. A strong, collaborative relationship exists between FRMS and OSP.

**FRMS**
- **Faculty Facing**
  - Pre-Award Proposal Development
  - Post Award Financial and Reporting Management

**OSP – Pre Award & Award Management**
- Proposal Review
- Submission
- Signing Authority
- Award Acceptance
- Award Management

**OSP – Financial**
- Financial Reporting
- Policy Compliance
- Institutional Oversight

**Departments and Faculty/PIs**

**Sponsors**
Pre and Post Award teams within Business Operations, with dual report to Provost Office

✓ Establishes a team with specialized skill sets
✓ Core Competencies for all team members
✓ Create collaboration between Pre and Post Award team members
✓ Facilitates knowledge transfer between teams
✓ Enables PI-centric training and skill building activities across teams
✓ Creates a central point of contact to work through systematic issues and changes
**FRMS Organization**

- Partnered with HR to write NEW Job Descriptions

- Portfolio based assignment – Relationship Management
- **Consistent** service with back-up support
- Staff Co-located
- Close proximity to departments

- Monthly Financial reports include **All** PI funds providing comprehensive portfolio view
Pre-Award
- Grant eligibility determination & guidance
- Proposal Development System Expertise
- Budget Development
- Financial and non-financial document preparation
- Tracking PI Current and Pending Support
- Obtain Approvals (PI Status, Cost Sharing)

Post Award
- PI Financial portfolio planning, analysis and management
- Monthly financial review – university policy
- Enter Award and Grant budgets
- Prepare and execute accounting transactions
- Effort fulfillment planning, Reporting review and Follow up
- Coordinate with PI, Department and OSP (NCE’s, progress reports, FSR's)
### Benefit Objectives

#### University:
- Single unit to ensure compliance continuum
- Closely tied to OSP
- Build Strong Interface with Central Offices: Provost, Auditing, Controller

#### Departments:
- Single unit with complete knowledge of the PI’s portfolio
- Departments have a central point of contact and have conduit to Central Offices
- Enables PI-centric focus

#### Pre Award:
- Increased First Past Yield Rate
- Conduit between OSP and PIs/Departments
- Consistent Tracking of PI Current and Pending Support

#### Post Award:
- Less Cost Transfers
- Effort Certification completed on time
- FSRs completed on time
- Identifying potential future funding concerns

#### Routine and ad hoc services available to PIs and Business Offices:
- Accurate, Timely Reporting
- Burn Rate Analysis
- Forecasting
- Effort Fulfillment Planning
Additional Benefits Realized

- Pre-Award vs. Post Award Candidate’s Background
- Technology Implementation
- Focused Training
- Flexibility
- Collective Voice
The growth of the FRMS takes place over time

**Preparation for Wave 1**
- Collaborate with OSP to complete detailed Business Process Review
- Roles and responsibilities determined and Job Descriptions created
- Recruit, Hire, and Train staff for Wave 1
- Standard Operating Procedures created
- Partnership Agreements created

**Stabilization and Preparation for Growth (Wave 1)**
- Unit is operational – Leadership and Staff in place
- Attend Faculty Meetings
- Pre Award begins using New Technology Tools
- Department Integration with initial clients

**Service Expansion (Wave 2)**
- Growth starts with smaller departments
- Large department approach is designed
- Staff Growth including new Post Award Managers
- Team Evolution

**Continued Expansion (Wave 3) Future Opportunities**
- Growth of Client Departments
- More Staff Growth
- Larger Space Needed

**FUTURE OPPORTUNITIES**
- Post Award become Expert with new reporting tools
- Pre-Award and OSP continue to partner – Potential for signature authority
- Medical School modeling organization – Pre Award
1) It matters what you call your organization so your clients know What you do.
Branding

1) It matters what you call your organization

2) Know your Audience
   a) Faculty
   b) Department Staff
Branding

1) It Matters what you call your organization
2) Know your audience
   a) Faculty
   b) Department Staff

3) How will you deliver high quality service?
3

Over extend...

Bianca Cawthorne, Brand & Innovation Consultant
Staffing

- New Job Descriptions
- Subject Matter Expertise
- Core Competencies*
  - Customer Service
  - Problem Solving
  - Teamwork
  - Professionalism
  - Professional Development

* Appendix
Department Integration

- **Begin Partnership through Relationship Management**
  - Meet with Department Administrative Leadership
  - Meet with Academic Leadership (Chair or Dean)
  - Achieve Faculty Buy-in
    - Partner with Chair for support
    - Attend faculty meeting
  - Get Department Staff on board
    - Encourage staff to keep an open mind
    - Expect some resistance and *anxiety*
Transition the work

- Plan mapping of employees where applicable
- FRMS and Business Office staff meeting
  - Share Information about:
    - research
    - sponsors
    - faculty personalities
- Use the Partnership Agreement to clearly define roles and responsibilities

Create social atmosphere – food eases tension
Department Integration – Lessons Learned

- **Business Readiness Checklist**
  - ✓ Technical Activities
    - System Access
    - File Share
  - ✓ Functional Operations
    - Contact information for Faculty and Staff
    - Monthly meeting Schedule
    - Create Timeline to Manage Expectations
  - ✓ Emotional Management
    - More Anxiety
- **Strategies for Success**
  - Pre-Award is a logical first step
  - Success breeds confidence and strengthens relationships
  - Post Award – *Take it slow*
  - Proximal location is optimal
  - Staff Assignments – Primary and Secondary
    - Subject Matter Expertise
    - Responsive with Excellent Customer Service Skills
  - This collaborative effort requires Excellent Communication and Mutual Support
Department Integration

- **Challenges**
  - Resistance to change
  - Anxiety over loss of control
  - Relationship Management
  - Enforcing compliance

- **Benefits**
  - Focused expertise
  - Depth of staff
  - Expanded resources
  - Confidence in quality and timeliness
  - Time for other tasks means better overall service to faculty
Anticipate Faculty Apprehension

**Concerns:**
- Proximity of FRMS Staff to PIs/Departments
- Consistency of staff as related to PI Portfolio
- Transfer of knowledge from department to FRMS
- One stop shopping for ALL matters

**Responses:**
- Offices are located across the street from the majority of science departments
- Assign staff to PI Portfolio, cross train staff and have SOPs
- Gain credibility through interactions
- We can’t solve all problems but work jointly with department staff
Appendix

Details of Core Competencies
Core Competency: Customer Service

- Provide high quality service to internal and external clients
  - Pre-Award - Ability to consistently provide superior proposal development support
  - Post Award – Ability to provide excellent award management support

- Respond to client inquiries in a positive and timely manner

- Communicate effectively to ensure client satisfaction and comprehension of recommendations

- Will often go beyond what is expected
Core Competency: Problem Solving

- Analytical and problem solving skills and the ability to respond well under pressure.
- Able to thrive in a deadline driven environment with shifting priorities and a variety of tasks and effectively:
  - Identify the nature of a situation and evaluate based on applicable policies & procedures, as well as, sponsor and state & federal regulations
  - Research, analyze, and reconcile complex issues
  - Utilize all available resources for problem resolution
  - Understand and apply Sponsor, department, and university policies and procedures
  - When resolving issues, ability to cite sponsor rules and regulations with the reference links to web pages or attaching documents
Core Competency: Teamwork

- Consistently demonstrate commitment to team and University’s goals and missions

- Participate as a contributing member of the team environment

- Coordinate efforts with OSP to effectively and efficiently serve clients

- Work effectively, cooperatively, and respectfully with clients and colleagues

- Demonstrates ability and willingness to assist other team members
Core Competency: Professionalism

- Display **commitment to honorable behavior** in all business dealings
- Display **professional demeanor** when interacting with colleagues and customers
- Complete responsibilities with **competence and consistency**
- Communicate in a **clear, positive, and confident** manner to clients and colleagues free from personal opinions of Yale policies/procedures.
- Communicate clearly with both written and oral communication
- Maintain a professional demeanor even when communicating information that may not be well received
- Display sensitivity to colleagues and customers in business dealings
- Demonstrate ability to **effectively respond to the challenges** and opportunities posed by the complexity of research administration
Core Competency: Professional Development

- Participate in training meetings, events and university offered classes, as well as, attending external conferences when budgetary means permit

- Proactive in submitting ideas for process improvements

- Volunteer for committees, special projects and assignments, as available