How A Shared Service Organization Provides High Level Service to Faculty

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SRAI
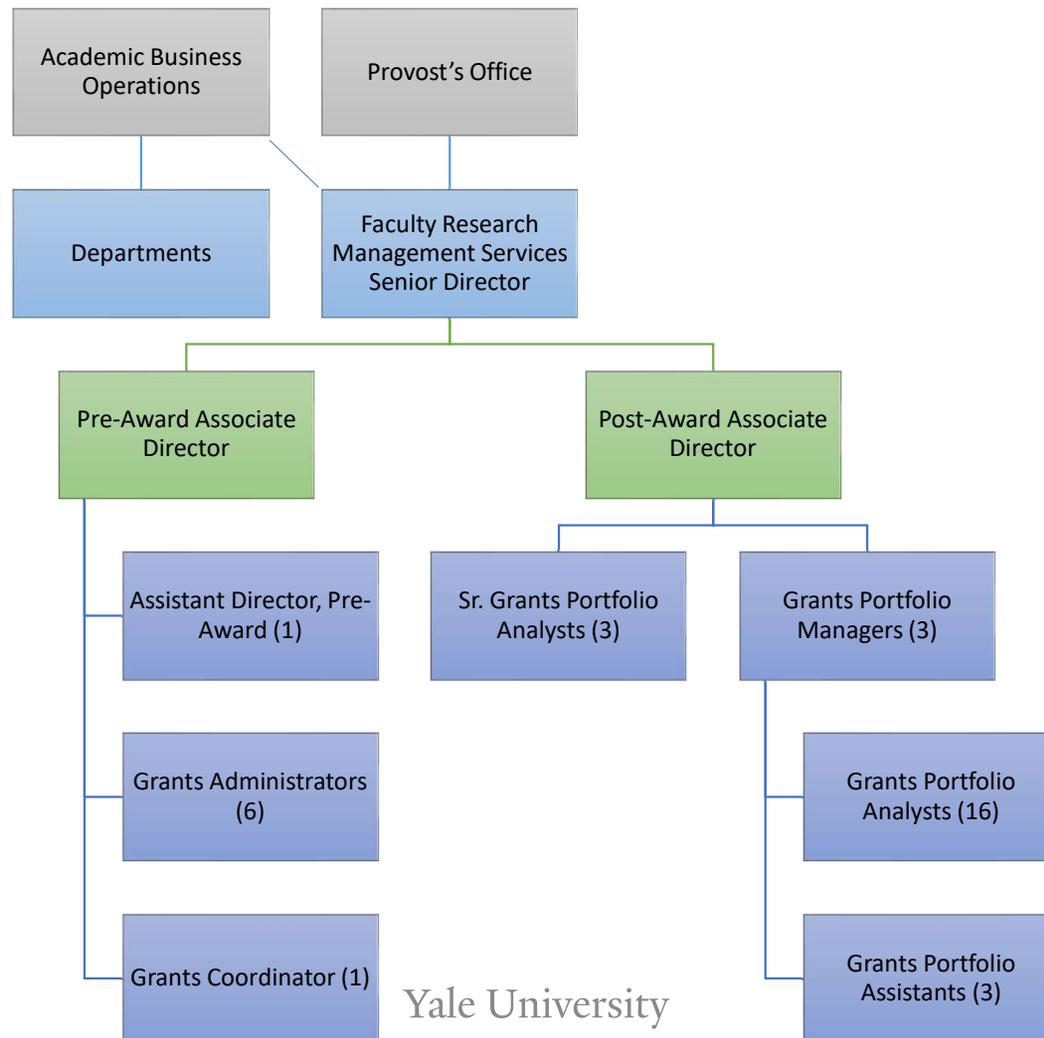Annual Meeting 2024
Chicago, IL

The Case for Change

- Staff in Departments
- 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

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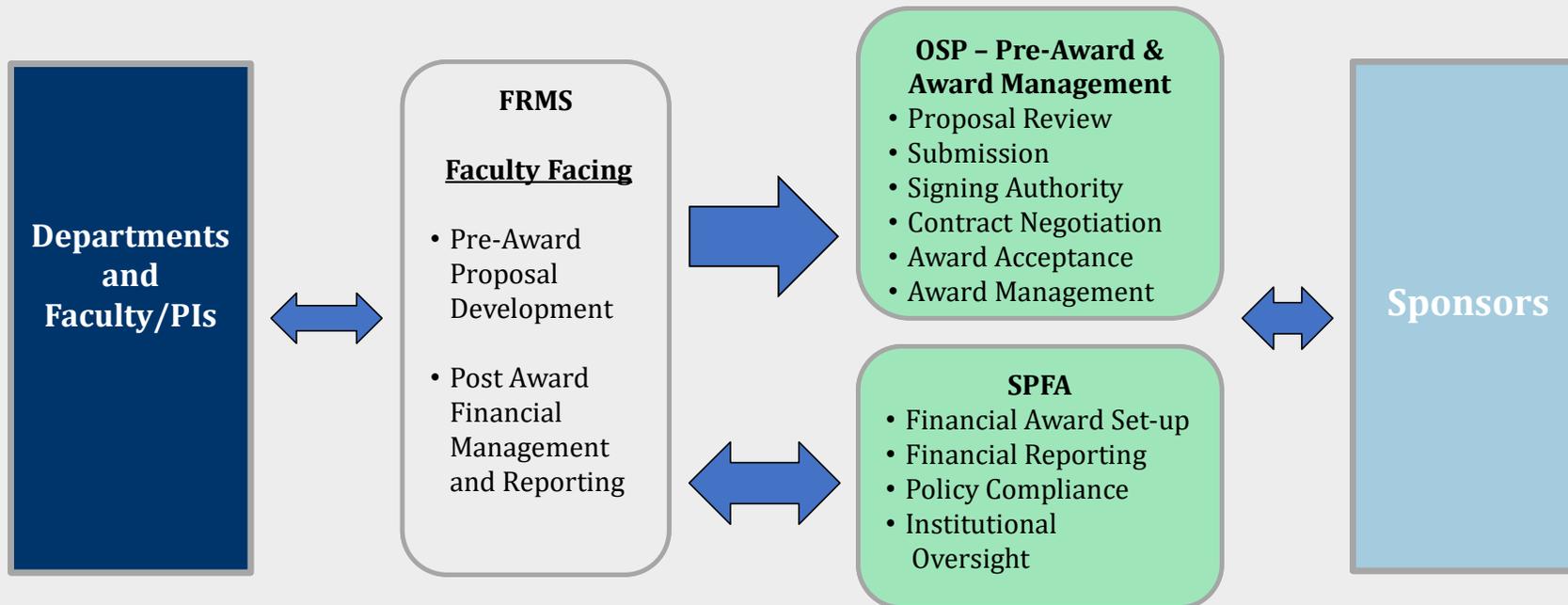
Creating Faculty Research Management Services

A Project Team was formed in 2010

→

Conducted a detailed end-to-end business process analysis for Pre-Award and Post Award with a consulting firm

→

Separate Pre and Post-Award Activities. One organization within Academic Business Operations

Partnered with Human Resources

→

Branding – an extension of the business office, not a centralized shared service organization

→

Development Strategy and Growth

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Organization Chart

Academic Business Operations

Provost's Office

Departments

Faculty Research Management Services Senior Director

Pre-Award Associate Director

Post-Award Associate Director

Assistant Director, Pre-Award (1)

Sr. Grants Portfolio Analysts (3)

Grants Portfolio Managers (3)

Grants Administrators (6)

Grants Portfolio Analysts (16)

Grants Coordinator (1)

Grants Portfolio Assistants (3)

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Institutional Roles and Relationship

Departments and Faculty/PIs

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Faculty Facing

- Pre-Award Proposal Development

- Post Award Financial Management and Reporting

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

SPFA
- Financial Award Set-up
- Financial Reporting
- Policy Compliance
- Institutional Oversight

Sponsors

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Partnership Agreements

Pre-Award	Post-Award
• Grant eligibility determination & Guidance	• PI Financial portfolio planning, analysis and management
• Proposal Development System Expertise	• Monthly financial review – university policy
• Budget Development	• Enter Award and Grant budgets
• Financial and non-financial document preparation	• Prepare and execute journals
• Tracking PI Current and Pending Support	• Effort fulfillment planning, Effort Report review and Follow-up
• Obtain Approvals (PI Status, Cost Sharing)	• Coordinate with PI, Department and SPFA (NCE's, progress reports, FSR's)
	• Purchasing transactions live in the department

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Pre-Award Support

Proposal Development

- PI initiates contact (sends specific Request For Proposal/Guidelines)

- FRMS reviews guidelines

- FRMS develops basic checklist with timeline

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Sample Basic Checklist

Below is a basic checklist for your NSF Linguistics (PD 98-1311) proposal, due on January 15, 2025. Detailed guidance is at: https://new.nsf.gov/funding/opportunities/linguistics . Kindly send your documentation to me in final form by 1/9, so this can be reviewed and routed to OSP before submission.

Please advise (as soon as possible)
- **Project title**:
- **Project period**: start date and duration, i.e. 7/1/25 start for 3 years?
- **Regulatory form** (attached): complete and return to me
- **Budget** – let me know what you would like to include so I may draft a version for your review
- Other Key Personnel? If yes, please advise details
- International activities? If yes, provide details
- Collaborative Proposal? If yes, advise contact details, so I may reach out to them.

Documents (name files as listed below, by the internal deadline)
1. **Project Summary**: 1 pg max; Three separate section headers, each on its own line:
   a. Overview
   b. Intellectual Merit
   c. Broader impacts
2. **Project Description**: 15 pg max.; no URLs; Include the following sections:
   a. separate section labeled "Broader Impacts"
   b. Results of prior NSF support; 5 pg max for this section
3. **References Cited**:
4. **Budget**: draft attached for your review
5. **Budget Justification**: 5 pg max, I will send you a draft once your budget is finalized
6. **Facilities, Equipment and Other Resources**:
7. **Data Management Plan**: 2 pg max
8. **Biographical sketch**: no page limit – for all key personnel, in NSF-approved format
   a. Create and maintain in SciENcv; PI certification required
9. **Current and Pending Support**: for all key personnel, in NSF-approved format
   a. Create and maintain in SciENcv; PI certification required
   b. If you would like help with your CPS, add me as a delegate in SciENcv
10. **Synergistic Activities** – 1 pg max; for all key personnel; A list of up to five distinct examples
11. **Collaborators and Other Affiliations** (COA form attached): for all key personnel
12. **List of Suggested Reviewers** – optional; provide name, institution, email address
13. **List of Reviewers Not To Include** – optional; provide name, institution, email address
14. **Mentoring Plan**: 1 pg max – if you have a PDA or graduate student in your budget
15. **Letters of Collaboration** (if applicable): must conform to NSF-approved verbiage
16. **Plan for Safe and Inclusive Working Environments** (if applicable) – template attached

Format Guidance
- Page Numbers: no page numbers allowed when submitting through Research.gov
- Fonts: Arial (not Arial Narrow), Courier New, or Palatino Linotype at 10 points or larger; Times New Roman at 11 points or larger; or Computer Modern family of fonts at 11 points or larger.
- No more than six lines of text within a vertical space of one inch.
- Margins, in all directions, must be at least an inch. No info may appear in the margins.
- Paper size must be no larger than standard letter paper size (8 ½" by 11").

Please let me know if you have any questions.

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Proposal Development – Continued

- Develop Budget with PI

    - Once finalized, provide budget justification template

- Prepare coversheet, if applicable

- Prepare Current & Pending Support

- Prepare internal forms

    - cost share approvals, F&A waiver requests, etc.

- Create proposal record in Yale's internal grant submission portal

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Submission Process

- Review Documents (Sponsor Requirements)

- Upload to Yale's internal and sponsor portals

- Route to Office of Sponsored Projects (OSP)

  - Internal Approvals (PI, Inter Dept./School)

  - FRMS serves as mediator between PI and OSP

- Submission To Sponsor

After Submission Sponsor Requests

- Revised Budgets

- Additional Justifications/Information

- Post Submission Materials (Publications)

- Just-In-Time (JIT) Requests

Additional Support/Services

- Incoming Faculty
    - Introductions
    - Training requirements
    - Transfers in
    - Yale's policies and procedures

- Research Performance Progress Reports (RPPRs)
    - At FRMS, the pre-award Project Coordinator provides RPPR support to faculty

How we do the work

- Internal budget excel sheet
- Shared folders
- Checklist management
- Pre-award database
- Coordination of back-up coverage
- Encouraging a culture of questioning
- Reminders on level of service expectations

Post-Award Support

Post-Award Support – New Award

<u>Central Office (OSP) Functions</u>

- Notice Of Award Received from Sponsor
- Central Award Set-up

<u>FRMS Functions</u>

- Contact PI – Set up a meeting and discuss the award
  - Award Set-up Details
  - Terms and Conditions
  - Effort of PI and Key personnel and Project Personnel
  - Procurement requirements/needs/policy
  - Award is set up

<u>Data Entry</u>

- Budget Entry
- Personnel Costing Allocations

Post-Award – Ongoing Support

- Monthly Financial Review of all PI Funding sources (Sponsored, Gifts, University)
  - Allowability and Allocability
  - Burn Rate
  - Personnel Commitments and Payments
  - Non-Labor commitments (i.e.: equipment, extensive travel, tuition remission)
  - Cost Share Tracking and Fulfillment
  - Sub-Award Monitoring (invoicing, allowability)
- Adjustments will be made if needed

Sample Cover Sheet

Account Summary for August 2023

Sponsored Accounts:

Sponsor Award #	Award #	Agency	Grant #	Program	Project	Cost Center	Project Name	Award Start Date	Award End Date	Current Installment End Date	IDC Rate	Funding through current installment end date	Total expenses to date	Total Cost Actual Current balance	Commitments through current installment end date	Projected ending Direct Cost Balance with Commitments
AST-1751763	AWD0001129	NSF	GR102315	PG00032	PJ000001	CC0501	CAREER NCE	3/1/2018	2/29/2024	2/29/2024	26.0%	460,949	407,615	53,334	40,287	10,354
100733720	AWD0001412	UCSD	GR114458	PG00032	PJ000001	CC0501	Simons Obs Yrs 5-8	9/1/2021	4/30/2024	8/31/2023	20.0%	1,156,612	736,371	420,241	164,997	212,704
AST-2006911	AWD0004938	NSF	GR110204	PG00032	PJ000001	CC0501	Cosmology with CHIME	8/1/2020	8/31/2023	8/31/2023	67.5%	283,179	211,698	71,481	58,153	7,957

Non-Sponsored Accounts:

YD/ GE #	Program	Project	Cost Center	Description	Account balance as of 07/01/23	Funding added to date	Actual exps charged to date	Actual Account Balance	Funding commitments	Expense commitments	Projected remaining balance after commitments
GE016142	PG00032	PJ000001	CC1504	Faculty Support	2,885	115		3,000			3,000
YD000259	PG00032	PJ000001	CC0501	Retention funds	0		28,492	(28,492)	500,000		471,508

Comments:

Pending Applications:
02/01/23 UPENN/NSF $494,135
09/01/23 NSF CHIME competing renewal $307,595
This cover sheet provides a high level summary of monthly activity. Please be sure to thoroughly review the accompanying pages.

AWD0001129 - NSF CAREER:
Rebudgeting for expenses benefitting the research project within the original proposed scope of work is allowed without NSF prior approval.
BH Foto purchase charged in August but a commitment for that vendor/amount is still showing, balance may be understated. DBO checking into it.
AWD0001412 - UCSD Simons:
Reallocation of funds between budget categories requires prior approval.
New installment funding added and award end date corrected above to 4/30/24

Labor Commitment Summary:

Personnel	Award, YD or Gift #	Sponsor Name	Grant #	Award End Date	Position	Labor Schedule Begins	Labor Schedule Ends	Effort committed to Sponsor	Effort Scheduled	Comments	Tuition/ CRF per Semester
PI Effort	AWD0001129	NSF CAREER	GR102315	02/29/24	PI	06/01/23	08/31/23	NCE	1 sm	orig effort commitment fulfilled	
	AWD0001412	UCSD	GR114458	04/30/24		06/01/23	08/31/23	1 sm	1 sm	.33 sm Jun; .33 sm Jul; .34 sm Aug	
Name 2	AWD0001412	UCSD	GR114458	08/31/24	GS - 4	06/01/22	08/31/23		100.00%		$11,725
Name 3	AWD0001412	UCSD	GR114458	08/31/24	ARS	09/01/21	06/30/23		100.00%	will change to 95% 7/1/23	

Post-Award – Ongoing Support

- Preparation of Sponsor Financial Reports – Interim/Final

- Effort Report Tracking and Pre-Review for Certification

- Portfolio Projections

- PI turnover

- No Cost Extension Requests

- Carryover Requests

- Audit Assistance

- Closeout of Awards

Post-Award – Ongoing Support

- Meetings
  - PI
  - Business Office
  - Ad Hoc with other University Offices:
    - Office of Sponsored Projects and Sponsored Projects Financial Administration
    - Controller
    - Development
    - Yale Ventures (IP and commercialization opportunities)
    - Provost and Dean's
    - Other Department Business Offices for interdepartmental collaborations

Benefits of FRMS

University	Faculty	Departments	Staff

• Increased Compliance
• Close relationships with central offices (OSP, Controller, Auditing, Provost)
• Pre-Award:
  • Fewer errors on submissions
• Post-Award:
  • Fewer Cost Transfers
  • Timely Effort Certification
  • Timely FSRs
	• Full View of Portfolio Funding
	• Reduced Administrative Burden
	• Dedicated Pre and post-award staff with expertise in Sponsored Research
	• Strong Business Office Relationships
	• Backup support/Burst Capacity
	• Effort Fulfillment Planning
		• Complete knowledge of PIs' portfolios
		• Subject Matter Experts
		• Burst Capacity
		• Knowledge of Current & Pending support
		• Timely Reporting
		• Forecasting/Burn Rate Analysis
		• Identification of Funding Concerns
			• Clear delineation of duties
			• Time to spend on analysis with department responsible for procurement
			• Backup support
			• Subject Matter and Sponsor expertise
			• Mentorship Opportunities
			• Support of Research Administration continuing education

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Questions?