Present: Alice Chin, Joanne Dang, Hung Dao, Christianmichael Dutton, Elizabeth Flora, Raymond Fong, Estrella Garcia, Olive Giovannetti, Lynne Ha, Nancy Huynh, Kathy Judd, Susan Lau, Vicky Lee, Kellie Leung, Lily Luu, Rashaan Lyons, Herman Ma, Wendy Ng, Eric Ormsby, Lan Pham, William Rypcinski, Suzanne Sutton, Susana Szeto, Paula Tarr, Yvette Villicana, Pat Wirattigowit, Eric Wu

Phase IA

Sam Yee, Phase IA Team Manager shared with us how the implementation of the team went and how the team has been working together. The implementation went well, going live on August 15th. The team has been processing a healthy volume of proposals for the four schools it represents, and Sam has been signing proposals as an Institutional Official. She described that there were some challenges in the beginning, but none they couldn’t quickly resolve through collaboration with C&G and the client departments. For example, The Bridge was expected to be an interim electronic solution for the team to use prior to eProposal but there were issues with the functionality of the program. As a result, the team did not have additional system tools like they thought they would have.

Enabling cross coverage is a major focus of the team. The Research Services Coordinators (RSCs) are assigned to specific departments but can be reassigned specific proposals or PIs during peak times.

- The team utilizes a shared server with common filing naming convention.
- Team members share templates they were using in their previous roles to augment best practices.
- A point-based metric system regulates the assignment of workload to differentiate the complexity of proposals. Logged and maintained in an Excel workbook, the relative volume of work for each RSC is regularly monitored to enable reassignment, when needed. The metric was designed by one of the subcommittees of the OE Pre-Award Workgroup and is now being tested for usability by Phase IA.
- Team members have universal access in RAS and Weblinks.

All team members (team manager, RSCs, and associate RSCs) went through the month-long training together. The training emphasized both soft and technical skills such as negotiating (relationships), working in a team, how to prepare clinical trials, etc.

When Sam was asked how she likes being in her new role compared to her previous job, she responded that she is more efficient because she is doing only pre-award. She no longer needs to toggle between pre-award and post-award or ramp up on how to do pre-award when she hadn’t done it for awhile. Being part of a large team has also been an advantage in terms of back-up and asking for advice.
**Research Services Management (RSM)**

Marge O’Halloran, Director of RSM presented on the overall structure and described the implementation plan for Phase IB, which is when DOM is scheduled to join (please see attached slides). Phase IB will be comprised of three teams. DOM will make up two of these teams: one located at SFGH and the other at Laurel Heights.

The recruitment for the rest of RSCs is occurring right now. A panel of two team managers, one departmental representative, and a faculty member(s) will interview candidates. There will be 5 interview panels, each interviewing candidates to fill two teams. The selection process hopes to recruit 18-24 RSC and 6 associate RSC positions for the three IB teams.

The team managers for Phase IB will begin October 17th with a go live of December 5th. The interviews and selection process for the team managers have already occurred.

RSCs will eventually become certified to sign for 80% of the proposal volume on campus. The other 20%, which is comprised of State, City, and federal contracts, non-profit proposals with non-standard terms and conditions, and industry contracts will continue to be signed by Office of Sponsored Research. In addition, pre-award for State and City Contracts will continue to reside in the departments and will not be handled by the RSM. RSCs are expected to be certified for at least the first tiered proposals.

Salary for RSCs will start at the equivalent Analyst IV level, which is a wide range. There is no fixed salary, and no one who joins RSM will suffer a salary decrease if they currently have a higher classification. The ultimate goal will be to move all RSCs toward equitable salary. RSCs who join with a higher salary will still be eligible for an increase through certification. They are anticipating a $3K increase in salary for each certification level approved.

**Announcements**

The opening for the RSC and Associate RSC positions close on September 16th. Anyone who may be thinking of applying should do so by 12 pm. Kathy Judd at SFGH hosted mock interview sessions on Monday, September 19th to prepare for interviews. Anyone who could not make this date but is interested in having a mock interview session with Kathy or Suzanne can contact them directly.

Everyone was asked to think about how they would like to see post-award infrastructure support and resources provided by the Department and how they would like the RSA Monthly Meeting restructured to meet post-award needs after December 5th. We will discuss this topic at a subsequent meeting.

**Future Topics of Discussion**

- Other Support Pages
- System control for $25K IDC calculation on subawards
- University tracking of foreign advances

**Upcoming RSA Meetings**

October 20, 2011 from 8:30-10:00 am in LH 263 (Wendy)
November 17, 2011 from 8:30-10:00 am in LH 263 (Kathy)
Holiday Party on December 15, 2011 from 8:30-10:00 in TBD
January 19, 2012 from 8:30-10:00 am in LH 376 (Suzanne)
February 16, 2012 from 8:30-10:00 am in LH 376 (TBD)
March 15, 2012 from 8:30-10:00 am in LH 376 (Wendy)
April 19, 2012 from 8:30-10:00 am in LH 376 (Kathy)
May 17, 2012 from 8:30-10:00 am in LH 376 (TBD)
Staff Retreat on June 21, 2012 from 8:30-4:00 pm in TBD
What’s in the Toolkit

- What is Research Management Services?
- Phase IA
- What is Phase IB?
- Recruitment, Hiring and Transition
- Working with The Department
- Training & Certification
- Q&A
What Is Research Management Services (RMS)?
Welcome to Research Management Services!

The primary focus of Research Management Services (RMS) is the success of UCSF’s Principal Investigators. As their advocate, we provide comprehensive and expert pre-award administrative services to all researchers at UCSF. Through teamwork and collaboration, our prompt, accurate and responsive support enables faculty to focus on their research. Each RMS team has institutional signature authority, facilitating prompt submission of proposals on the PI’s behalf. RMS collaborates closely with the PI, his/her department and our Sponsors to ensure an effective and productive partnership.
Our Roles

- Research Management Services Director
- Team Manager
- Research Services Coordinators (RSCs)
- Associate RSCs
Director Responsibilities

- Reports to Associate Vice Chancellor for Research

- Responsibilities:
  - Manage Research Management Services Teams
  - Develop and implement:
    - Policy
    - Process
    - Training
    - Compliance
  - Oversee fiscal operations
  - Ensure excellent service and strong advocacy for the Chair and Department
  - Liaison with UCSF deans and departments to ensure consistent approach to sponsored projects policy & procedures across campus

- The Director and Team Manager Provide:
  - Vision
  - Leadership
  - Accountability
Team Manager Responsibilities

- Reports to and works closely with the Director to interpret performance and metrics data
- Works closely with Director of Training to identify areas of training in need of review, development and reinforcement

Responsibilities:
- Provide key operational leadership to RSCs and Associate RSCs
- Supervise:
  - Team workload
  - Productivity
  - Quality of service
  - Policy and process interpretation / implementation
RSC Responsibilities

- The RSC reports to the Team Manager and partners with faculty and department staff.
- The RSC will be UCSF’s sponsored projects institutional representative for faculty, and will be the primary contact for external sponsors and C&G.
- Direct and manage proposal process to ensure timely, compliant and accurate submissions, including:
  - Budget development
  - Interpretation of sponsor requirements
  - Institutional review and signature (upon certification)
  - Backup for each other as team members
- Each Research Management Services Team will support an annual volume of approximately 400-600 proposal submissions and 130-140 award acceptances.
Associate RSC Responsibilities

- Supervised by the Team Manager
- Gather information and follow up on proposal materials with Principal Investigators (PIs), project collaborators and subcontractors:
  - Biosketches
  - Other support
  - Effort and salary information
  - Initial preparation of applications
  - Compile final documents

- The Associate RSC will assist with:
  - Developing preliminary proposal budget information
  - Monitoring awards
  - Proposal milestones
  - Drafting correspondence
    - NCEs
    - Carry-forwards
    - Other post-award correspondence as assigned by RSC
OE Pre-Award Implementation Timeline

Aug 2011 – Dec 2011

Recruitment

- Post all positions 8/15
- Interview & select Team Managers 8/9, 9/9
- Interview and select RSCs and Assoc RSCs 9/19 – 10/14

Training

- Phase I Team Managers start 10/17
- Training for Phase I 10/28 – 11/18

Pre-Award Phases

- Phase IA begins 8/15
- Phase IB begins 12/5
- Phase II begins 4/16
- Phase III begins 8/13
- Phase IA ends for evaluation on 2/15
- Phase IB (DoM) ends for evaluation on 6/5

Evaluation

- Write up evaluation

Jan 2012 – May 2012

- Phase II Team Managers start 3/8
- Training for Phase II 3/15 – 4/13

June 2012 – Sep 2012

- Phase III team managers start 7/9
- Training for Phase III 7/16 – 8/10

Note: Dates are target dates

Customer Service ……..Teamwork……..Collaboration
What Phase IA Looks Like?

- 1 Team Manager, 11 RSCs and 2 Associate RSCs
- Providing services to Phase IA departments (12 departments) and “consultant” support to departments in need of pre-award help
- Scope
  - Pre-Award and sponsor correspondence
  - Team supports 400 to 600 proposal submissions annually
  - Close collaboration with department Post-Award analysts and MSOs
- Located at Laurel Heights
- Team was in training for 4 weeks (July 15- Aug 12)
- Began providing services on August 15
What Phase IB Looks Like

- **Staff**
  - One RMS Director
  - Three Teams
    - 3 Team Managers
    - 6-8 Research Service Coordinators (RSCs) per team
    - 2 Associate RSCs per team
    - 1 Team at Parnassus, 1 Team at Laurel Heights and 1 Team at SFGH

- **Scope**
  - 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

- **Technology**
  - Same tools used today

- **Authority**
  - Signature authority for most proposals and awards not requiring negotiation delegated to Phase IB teams
What Phase 1B Looks Like - Continued

- **Training and Certification Program**
  - Training to begin end of October - 50% time
  - Staff will become eligible for certification after Phase 1B begins

- **Ongoing Performance Measurement**
  - Qualitative Faculty surveys, RSC surveys and MSO interviews
  - “Hard metrics” on workload, customer service level agreements, structure, and financial efficiencies
  - Separate but equally robust evaluation plan for the RSC training program

- **Phase 1B Target Start Date**
  - December 5, 2011
Phase IB Participating Departments

- Dermatology
- Diabetes Center
- Lab Medicine
- Medicine
- Microbiology
- Pathology
Recruitment & Hiring Updates

- Team Manager interviews began August 30th
- RSC interviews due to start week of September 19th
- RMS will work closely with Phase IB Departments to understand department research portfolio, PI needs and staffing
- Hiring decisions will be made by RMS Director
- Phase IB staff will begin training in late October 50% time and work in current department 50% time
Department Role

- Partner with RMS and Team Managers to ensure a smooth transition
- Liaison with Faculty in your department
- Inform implementation team about research portfolio, Faculty and other department-specific information
- Review Service Level Agreement
- Re-organize work that remains in the department, if necessary
- Work collaboratively with RMS
- Provide ongoing feedback and input
RMS / Project Team Role during the Transition

- Meet with department to understand research portfolio, Faculty, and any internal approval processes
- Determine number of RSCs required
- Interview and hire staff for Phases IB, II and III
- Provide checklists and other tools to manage the transfer of paper and electronic files
- Track performance measures
- Ensure appropriate access and roles for systems
RMS Points of Intersection/Coordination with MSOs & Post-Award Analysts

- Initial Budget
- Award Set-Up
  - DPA
  - Department Code
  - Revise Budget
- Set up Subcontracts
- Progress Report
- Competitive Renewal
- Supplements
- No Cost Extensions
- Close Outs
  - Federal Financial Reports (FFR)
Training Schedule for Phase IB

- Friday Oct 28: Welcome/Our Organization/Operational Structure/ Job Overview
- Monday Oct 31: Team Building - Team A
- Tuesday Nov 1: Team Building - Team B
- Wednesday Nov 2: Policies Part I
- Thursday Nov 3: Policies Part II
- Friday Nov 4: Roles & Responsibilities Part I: Proposals
- Monday Nov 7: COS Funding Opportunities/Proposal Prep Basics
- Tuesday Nov 8: Proposal Prep: Rs, Non-Competing Continuations, Sub-Awards
- Wednesday Nov 9: Proposal Prep: VAMC, State, City/County
- Friday Nov 11: HOLIDAY
- Monday Nov 14: Proposal Prep: Clinical Trials, Industry Contracts, Gifts
- Tuesday Nov 15: Roles & Responsibilities Part II: Awards & Sub-Awards
- Wednesday Nov 16: Proposal Prep: Post-Award Basics/EMF
- Thursday Nov 17: Working with Departments & PIs
- Friday Nov 18: Technology: NIH Scoring, Proposal Express, eCommons, Cayuse
### 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, P’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: Non profit grant and incoming subcontracts with standard terms and conditions, Non profit fellowships, CIRM</td>
<td>RSC</td>
<td>RSC or Team Manager</td>
<td>RSC or Team Manager</td>
</tr>
<tr>
<td>State contracts</td>
<td>Department collaborates with Contracts &amp; Grants Office [RSC participates as needed]</td>
<td>Contracts &amp; Grants Office</td>
<td>Contracts &amp; Grants Office</td>
</tr>
<tr>
<td>County, City contracts</td>
<td>Department collaborates with Contracts &amp; Grants Office [RSC participates as needed]</td>
<td>Contracts &amp; Grants Office</td>
<td>Contracts &amp; Grants Office</td>
</tr>
<tr>
<td>MTA request forms</td>
<td>PI works directly with Industry Contracts Office</td>
<td>Industry Contracts Division*</td>
<td>Industry Contracts Division*</td>
</tr>
<tr>
<td>Industry Contracts including industry sponsored clinical trials</td>
<td>RSC prepares budget, administrative documents, OSR form, and Industry Contracts negotiates contract</td>
<td>Industry Contracts Division*</td>
<td>Industry Contracts Division*</td>
</tr>
<tr>
<td>SBIR/STTR</td>
<td>RSC and Industry Contracts Division generate letter</td>
<td>Industry Contracts Division*</td>
<td>Industry Contracts Division*</td>
</tr>
</tbody>
</table>

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

Customer Service ......... Teamwork ......... Collaboration
RSC Workload Scoring Methodology

- Developed by OE Workgroup to better understand proposal workload volume across campus that accounts for variance in complexity of proposal types

- 6-month pilot period to test:
  - Accuracy of scores applied to each proposal type
  - Usefulness in equitably distributing work among and across teams