

Service Center Model for Supporting Research Administration

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Agenda

Overview & History

Model Tenets

Inventory of Activities

Organization and Service Model

Governance Model

Service Level Agreement

Tools

Cost Model

Lessons Learned & Challenges

Questions?

Model Tenets

Partnership and collaboration were the cornerstone for the customer service provided to the Centers & Institutes

- Focus on needs of PIs and Centers
- Redesign processes and practices
- Consistent tools and trainings
- Single point of contact
- Ensure job satisfaction

Identify In-Scope Activities

Pre-Award Activities:

Submission Assistance

- New, non compete, supplement, and renewal applications
- Organization of Proposal packet
- Budget & justification development
- Award notifications and updates

Post-Award Activities:

Sponsored Award Oversight

- Award balance monitoring
- Effort reporting
- Cost share agreements
- Burn rate, percent unobligated, and forecasting

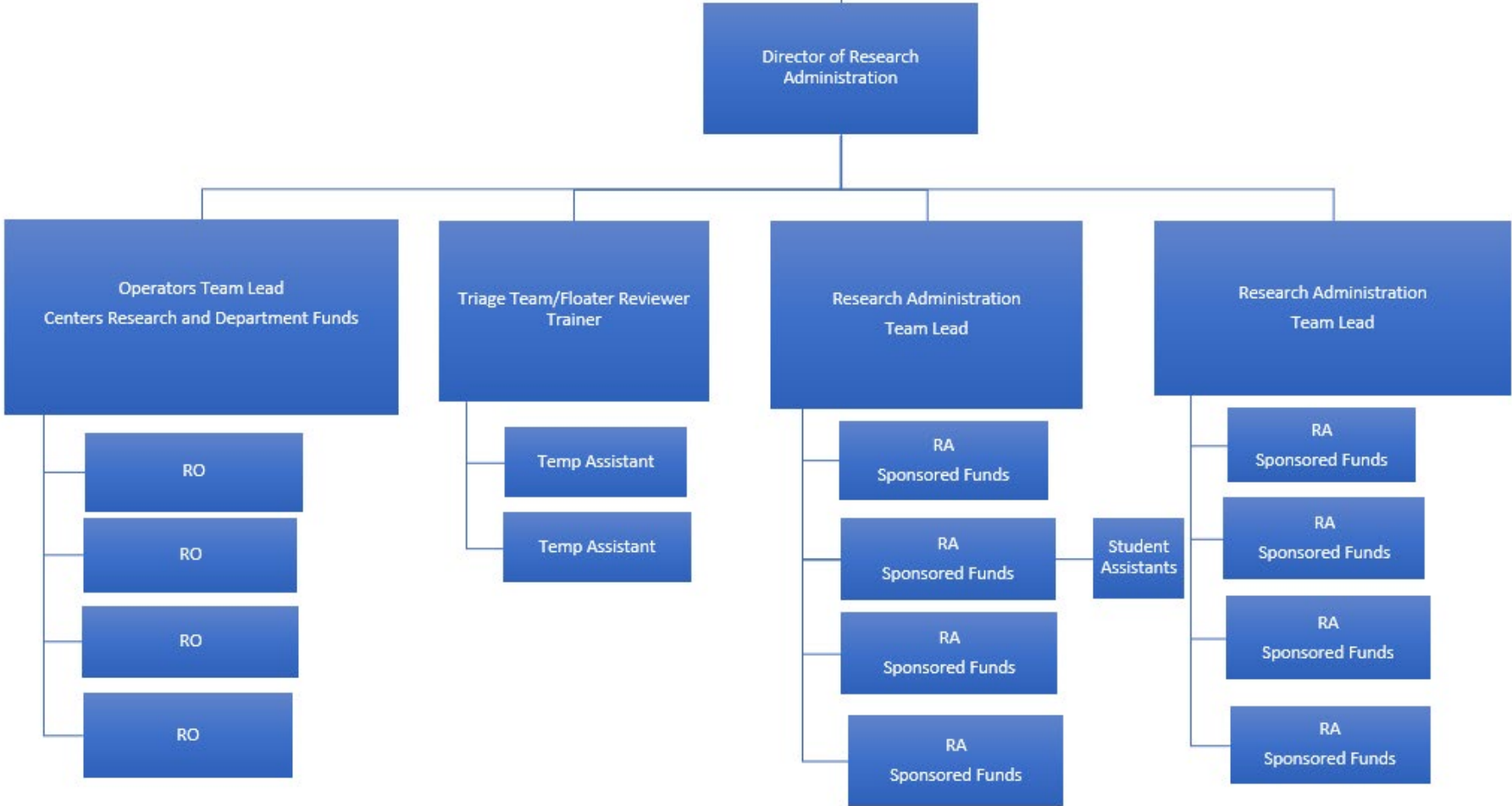
Sponsored Award Administration

- Fund/source setup, SIP submission
- No-cost extensions, budget revisions & prior approvals
- Award closeout

Finance and Accounting

- Purchases, invoices, and reimbursements
- Travel support
- Salary source changes

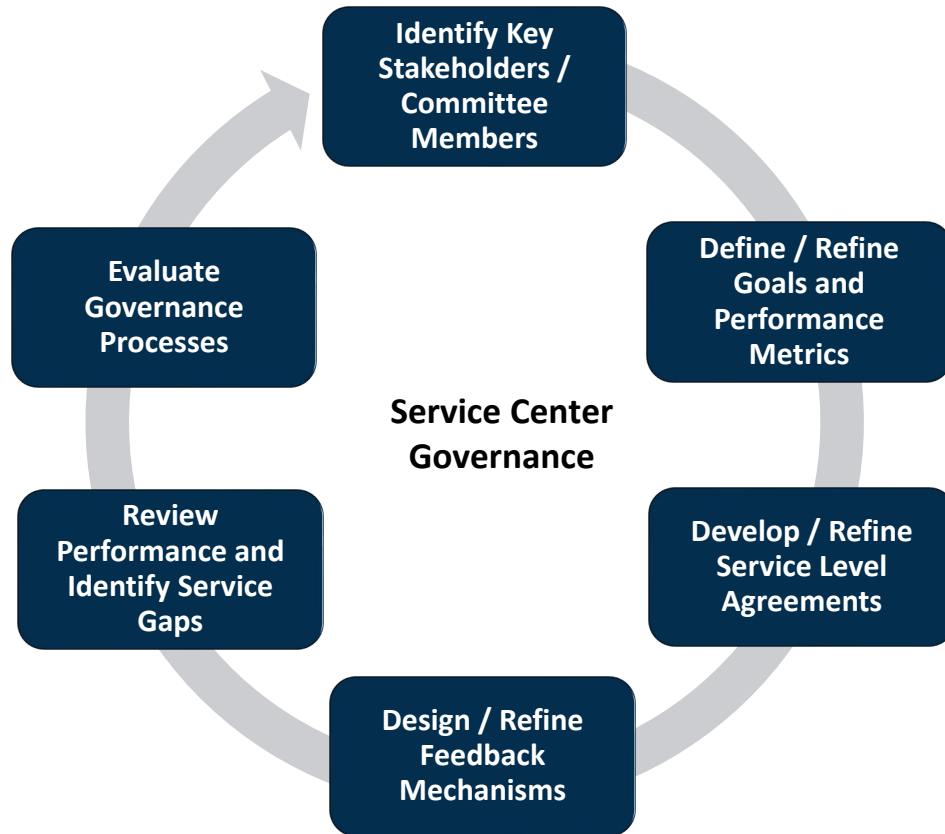
Organization Model



Service Model



Governance Model



Service Center Governance Committee Charge

- Develop and review multi-year operational and service-level goals
- Review compliance with Service Level Agreements (SLAs)
- Review progress of Key Performance Indicators (KPIs)
- Review customer satisfaction feedback
- Support an environment of continuous process improvement
- Support resolution of customer service gaps

Governance Role

Governance of Service Centers provide the following:

- Accountability
- Client input
- Service gap identification
- Transparency
- Identify areas for continuous improvement
- Identify areas to prioritize investments

Necessary Inputs for Successful Governance:

- Committee comprised of clients and providers
- Consistent meetings/reviews
- Customer Satisfaction Surveys

Service Level Agreement Overview

Service Level Agreement (SLA) represent an agreed upon expectation of services for the client and provider, key components include:

- Roles and responsibilities
- Defined activities and deliverables
- Requirements and expectations
- Performance measures

This is very similar to OSP's PACT Agreement with departments – just between research administrators and departments/PIs they serve.

SLA Example

Research Administration Service Center - Service Level Partnership Agreement

Research Administration: Pre-Award, Post-Award and Financial Management

Research Administration Service Center (RASC) Responsibilities and Client (Center/Institute/Department) Responsibilities

Service Description:

Develop Proposal - This includes funding solicitation review, submission timeline development and maintenance, preparation/organization of proposal packet, coordinate and complete submission requirements, budget development, review application terms and conditions, submission to OSR/Sponsor and award notifications/updates.

Respond to Pre Award Notifications Requests - This includes response to sponsor to follow up information and compliance follow up activities.

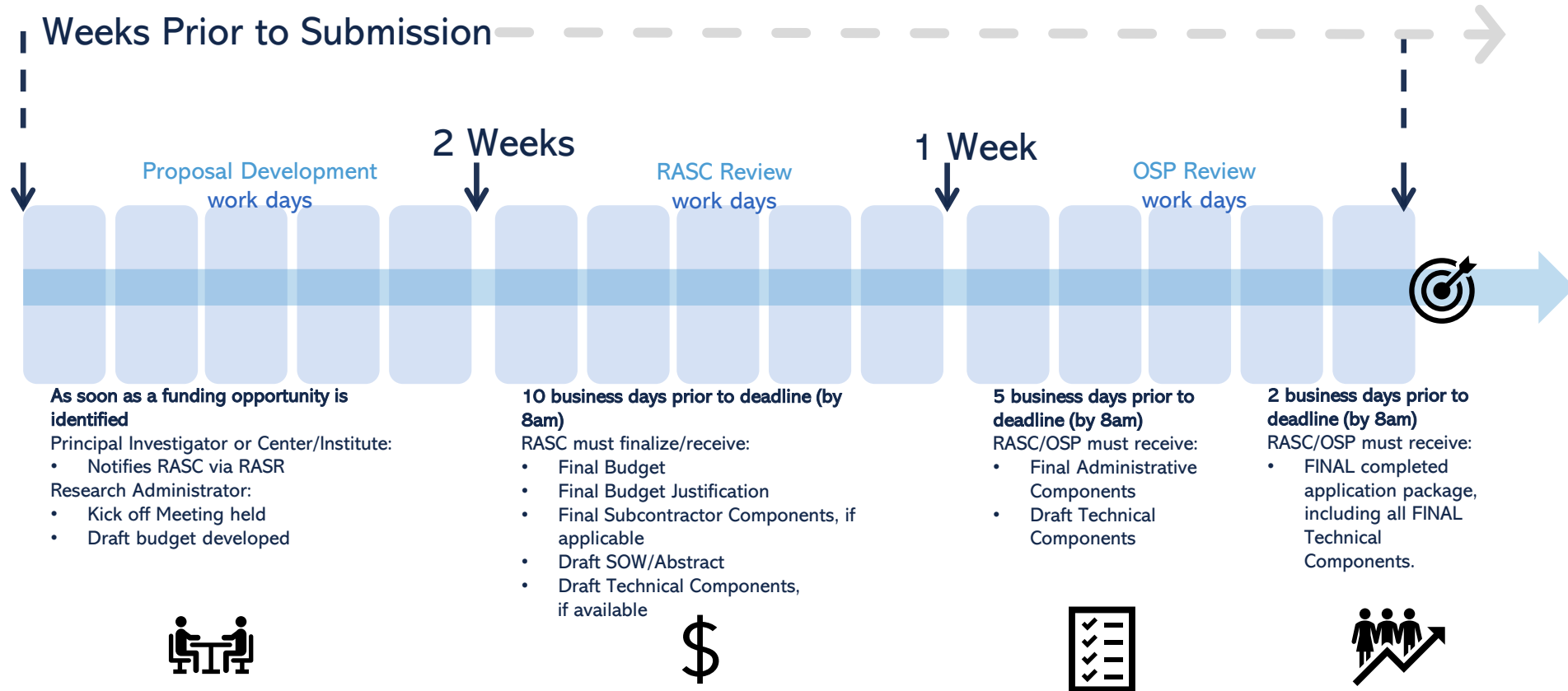
Post-Award and Financial Management - This includes communication and approval of financial needs/transactions, sponsor prior approvals, processing financial transactions, effort reporting, monitoring available balances, and award closeout.

Responsibilities	RASC	C&I/Dept
Pre-Award		
1. New, Non-Competing Continuation, Supplement, and Other Applications		
1a. Process		
Communicate pre-award needs to the RASC via RASR; RASR request should be approved by Center Liaison/Leadership		X
Maintain timeline and communicate deadline reminders		X
Review application timeline, checklists, and responsibility matrix as it relates to PI and RASC responsibilities		X
Coordinate documents in accordance with RASC guidance and sponsor terms		X
Review application terms and conditions	X	X
Initiate and Submit IPF in RAMSeS	X	
RASC approve IPF	X	
Initiate Sponsor portal record (Cayuse, Fastlane, etc.)	X	
Review guidance from OSR on PI eligibility and proposal guidelines	X	X
RASC peer/manager review proposal packet	X	
Submit proposal packets to OSR	X	
Monitor for routing to ensure proposal is submitted	X	
1b. Auditing / Monitoring / Other		
Document formatting		X
Check for formatting and version control		X
Validate if PI meets criteria for identified applications		X
Contact RASC regarding the withdrawal of an application		X
Contact OSR regarding the withdrawal of an application	X	
Regularly review guidance from Sponsor on policy updates	X	X

SLA Example (continued)

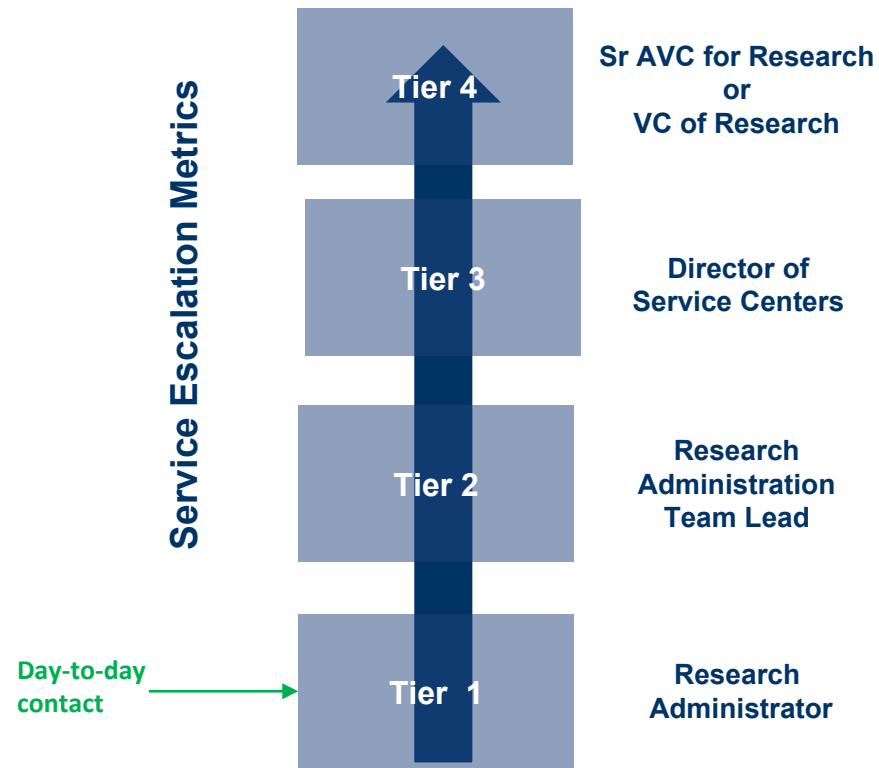
Service Level Measure	Current Period	YTD	Target (Business Days / % Completion)	
% of Proposals Submitted on Time to RASC per AVC of Shared Services Guidelines			100%	X
% of Proposals Submitted on Time to OSR			75%	X
% of Proposals Submitted on Time to Sponsor			100%	X
% Completion of RASC Satisfaction Survey			85%	X
Client Satisfaction - Pre-Award Support			85%	X
PI / Director / Unit Designee will notify RASC before proposal deadline, once funding source identified			30 Days	X
PI / Director / Unit Designee will notify RASC of budget requirements			30 Days	X
RASC will provide all final proposal and budget elements received to review with PI, prior to deadline			10 Days	X
RASC to submit proposal to OSR for review and submission to agency, prior to deadline			5 Days	X
RASC will provide budget revisions when requested from OSR			3 Days	X
RASC will coordinate with PI / Director / Unit Designee on submission of sponsor prior approvals			3 Days	X
RASC will provide reports comparing current state against budget			Monthly	X
RASC will meet with PI / Director / Unit Designee to go over financial reports comparing current state against budget			Quarterly	X
PI / Director / Unit Designee will communicate need for ad hoc reports in advance			3 Days	X
RASC will develop ad-hoc reports requested from PI / Director / Unit Designee			3 Days	X
RASC/RA will review and approve appropriate vouchers, journal entries (JE), purchase orders (PO), independent contractors (IC), cash advances (CA), travel and etc... requests submitted in RASR			3 Days	X

SLA Example: Proposal Deadlines



SLA Escalation Process

If PI is Not Receiving Adequate Service from Research Administrator



Tools

Post-Award:

- RASR – Workflow
- SEP – Personnel effort
- Reports

Pre-Award:

- Budget templates
- Justification templates
- Checklists

Communication:

- OneDrive
- Teams

Institutional:

- RAM Tracker
- Infoporte
- RAMReports

Onboarding & Training

Onboarding:

- Have equipment ready
- Team of trainers
- Establish a documented plan
- Provide resources

Training:

- Refreshers
- Recorded trainings
- SOPs & process documentation
- Bi-weekly Team meetings
- 1-on-1 meetings with Team Leads

Cost Model

- Data Collection
 - Determine measurable activities
- Personnel Determination
 - What is a reasonable workload
- Expense Calculation
 - Costs of all service center personnel and non-personnel
- Cost Allocation
 - Percent of the whole

Issues and Potential Risks

- Timely conversion to standardized project reporting system
- Timely conversion to standardized salary/effort tool
- Training
- Workload assessment and distribution
- Process redesign

Lessons Learned

- Client resistance
- Loss of personal relationship concerns
- Physical location/own space
- Transparency in cost determination
- Onboarding of client after Team Lead is hired
- Ensure proper classification/position for transferred personnel
- Maintain equity for transferred personnel
- Methods to assess workload among similar positions
- Create clear career path for employees
- Additional time needed to train/on-board new employees and clients

Questions?



Will there be any support for billing for Cores? One issue across all the Cores we work with is challenges in invoicing, tracking, and receiving of payments.





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