Training Recommendations

submitted by the
Campus-wide Collaborative Training Committee (CCTC)

June 11, 2018
Campus Collaborative Training Committee (CCTC)
Recommendations
October 2016 THRU May 2018

Committee Objectives:
The Campus Collaborative Training Committee (CCTC) was created in October 2016 in direct response to proposal recommendations from the Workday Sponsored Awards Management Service Group (see Addendum I, Availability and Effectiveness of Training for Staff Service Improvement Proposal). The CCTC membership is comprised of campus-wide department and central representatives. Core objectives of the CCTC include: identify department business office level training needs, create consistency, implement and incorporate into the OSP’s existing training program.

Organization and Management:
The CCTC executive sponsorship includes:
- Carrie Capezzone, Associate Dean of Finance, YSM and Business Operations Leadership Team (BOLT)
- Tracy Guarnieri, Compliance Officer, Office of Research Administration
- Cynthia Kane, Director, Office of Sponsored Projects Business Operations
- Lisa Mosley, Executive Director, Office of Sponsored Projects

Committee Membership as of (06/11/18):
Reporting to our executive sponsors, the CCTC is comprised of a core group of research administration and education specialists to coordinate training efforts for department business offices and the research administration community at Yale. The Committee is co-chaired by a departmental administrator and a representative from central administration.

Co-Chairs: Hannah Carroll (Lead Administrator for Astronomy and Physics) Tracy Coston (OSP Business Operations, Communications & Training)

Members:
Pam Buonocore (Geology & Geophysics) Darlene Jones (FES)
Michele Deschino (Internal Med Pre Award) Andrea Lozano (OSP Award Management)
Jacky Fields (FRMS Pre Award) Keith McGibbon (YSM Finance)
Kathy Fisher (YSPH) Michele Montana (FRMS Post Award)
Kathi Goodfriend (OSP Training) Erlyn Neri (Neuroscience)
Natalie Speranza (Internal Med Post Award)

Scope of the Committee
The scope of the CCTC’s work will be to:
- Identify issues, opportunities and projects where the CCTC can work together to satisfy respective training needs and further interests.
  - Identification of local level training needs and create consistency amongst departments
- Jointly develop recommendations to enhance university-wide training offerings.
### Overview of CCTC Recommendations

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1) PORTFOLIO MANAGEMENT

Objective: The purpose of this class is to provide department research administrators the guidelines and resources needed to ensure compliance and be better equipped to handle challenging issues related to post award management.

Audience: Intermediate level, experience working on post award management

Format: Instructor-led class with department SMEs as presenters. SMEs would present information for their areas of expertise, so there would be different instructors throughout the session.

Owned by: Business Operations. OSP to assist with content development.

Topics covered in class:

- What is portfolio management?
- Financial Reporting
  - Review commonly used reports
  - How to run reports
  - Interpreting reports
  - Pivot Tables
  - Projections: when will money run out, burn rates
- Non-Financial Reporting
  - Overview of different required sponsor reports
    - Examples: annual reports, patent reports, equipment reports, PI reports, etc.
- New Award Checklist
  - People, grad student, postdoc
  - Allocation method
  - PSAs
  - Delegation of authority
  - Enter budget into Workday
  - Terms, conditions, restrictions
  - JIT, review compliance issues, webform, at risk, etc.
  - Subaward setup and review
  - Cost sharing
- Meeting with PI
  - Checklist of things to consider when meeting with PI
- Labor Management
  - Prior approvals
  - Commitments
  - Effort: financial planning, adjustments
  - Reporting
  - Personnel report
- Closeout
  - NCE
  - FSRs
- Who to contact with questions: OSP, RA, Department, FRMS, Purchasing, Compliance...
2) PROPOSAL PREPARATION

Objective: This training would provide an in-depth review of proposal preparation from the department perspective, rather than the OSP perspective; and would provide supplemental, in-depth information on topics that are not covered in Intro to SPA.

Audience: Department staff working with Sponsored Awards, who have completed Intro to SPA and have been working with proposals for 3 months or more.

Format: Instructor-led class with department SMEs as presenters. SMEs would present information for their areas of expertise, so there would be different instructors throughout the session. Discussions involving real-world scenarios would be encouraged.

Owned by: Business Operations. OSP to assist with content development.

Review Solicitation

- Review Different Types of Proposals
  - Research
  - Career Awards
  - Fellowships
  - Dissertation Grants
  - Equipment
  - Travel/Conference
  - Subawards (Incoming)
  - Other
    - Service
    - Institutional
    - Other Types (e.g. Library)

- PI Eligibility
  - Sponsor PI eligibility
  - Yale PI Eligibility
    - PI Status form
    - Postdocs
    - Students (Grad & UGS)
    - Emeritus faculty

- Cost Sharing
  - Types of Cost Sharing
    - Mandatory
    - Voluntary
    - In-Kind
    - Involuntary (not committed)
  - Where do funds come from
  - Who authorizes cost sharing
  - Cost sharing budgets (spreadsheet examples)
    - PI Effort: cost share or direct charge
  - Where do cost sharing funds come from
  - Non-federal grant cost sharing
  - Cost share Form

Subawards (Outgoing)

- OSP Subrecipient class is predominately post award, need this to reflect Pre Award
- Required documentation
- Indirect Costs
- Subaward vs Fee for Service - Procurement

Checklists

- Review solicitation and create checklist for PI
- Highlight proposal document requirements

Budgeting

- Budget Template Examples
  - Standard
  - Cost Sharing
  - DARPA
  - Program Projects

- Personnel:
  - What salary to use: F/T, P/T, 9/9, 9/12
  - Summer, Academic, Calendar
  - Joint appointments (VA)
  - PD roles vs. Sponsor roles
  - Other personnel
    - PDA’s
    - Graduate Students
    - Undergraduate Students
    - C&T’s
    - M&P’s

- Tuition
- DC/IDC – MTDC/TDC

- Other Costs
  - Publication fees
  - ISPs
  - Equipment Maintenance
  - Single IRB

Continued →
• Animals and human subjects (overview of PI Process
• Participant Support Costs
• Clinical Trials
  o Review how to budget for clinical trials

PD FAQs:
• Roles
• Routing
• Parent-Child records
• Cost-sharing in budget

Review these topics in detail:
• Current & Pending Support (overview)
• Data Management Plan (overview)
• Bio sketch (formats)
• Facilities & Other Resources
  o Imbedded cost sharing
• Budget Justification
3) ROUND TABLE DISCUSSIONS

Objective: The objective for these sessions would be: 1) to network and establish relationships with colleagues who share similar challenges, 2) to encourage participants to share relevant information and experiences in order to provide information, advice and successful solutions to challenges, 3) to promote consistency across campus in the way departments effectively handle various situations.

Audience: All research administrators
Format: Round table discussions held quarterly
Owned by: Business Operations. OSP to assist with finding table moderators (SMEs)

Business Operations to assign two Round Table Lead Coordinators (representing YSM and Central campus) to coordinate all aspects of these meetings. (similar structure as BOCM meetings.)

Round table discussions:
- Room layout: approx. 10 tables with 10-12 seats per table, (CSS Cohen Auditorium, Engineering Teal Classroom, SOM Beinecke Room, etc.)
- Each table would be labeled with a different topic (topic list below)
- A table moderator (topic SME) would be at each table
- A moderator, someone knowledgeable on the table’s topic (SME), would be at each table
  - Moderators would be responsible for keeping the conversation going if conversations lagged
  - Moderators would keep everyone on topic, and insure information shared was accurate
- Participants would sit at the table (topic) of their choice,
  - Participants would share experiences, knowledge and ask questions.
  - Participants could move to other tables at any time if they want

Round Table Coordinators will:
- Determine topics
  - Communicate with depts to determine relevant topics for future meetings
- Find topic experts within OSP and depts to act as table moderators
- Coordinate all aspects of these events, (schedule table moderators, logistics, registrations, communications, invitations, etc.)

Suggested Round Table Topics:

| Training grants | IRES PD |
| VA/MOU’s | International subcontracts |
| 9/9 | Subawards |
| Participant Support Costs |  |
| Cost Sharing |  |
|  | Workday Supplier contracts, end dates, invoice processing |
|  | International subcontracts |
|  | Advanced payments |
| Advanced Budgeting |  |
|  | How to create budgets: |
|  |  |
|  | How to find information needed: fringe, overhead, salary increases, tuition, over-the-cap, graduate student stipend, etc. |
|  |  |
|  | Travel costs |
|  | Excel tips |
| FSRs |  |
|  | Audit findings: audits issues at Yale and other universities |
|  |  |
|  |  |
|  |  |
4) EFFORT REPORTING and EFFORT CERTIFICATION

Objective: To provide research administrators with case studies and examples that represent common effort reporting and effort certification scenarios, including calculation examples. Case studies should be developed from the department’s perspective.

Audience: Intermediate-Advanced level
Format: Instructor-led class with SME presenter.
Owned by: Business Operations. OSP to assist with content development.

Create case studies, examples and exercises for each of the below items:

- Check-in with Jessica Gray to find out if there are additional scenarios that reflect common questions she receives from depts.

1. How are we audited on effort? What is reasonable effort on an award?
   - Is effort an average over 6 months?
   - What is the reasonable percentage? Can it be within a few percentage points?
   - Am I certifying the exact amount or is there some leeway?

2. Proactively planning effort: real-life conversations on what’s proposed, and how to fulfill.
   - Examples include: 18-month budget and funding split between 12-month and 6-month installments.
   - What if awarded installment doesn’t equal proposed installment?
   - No cost extensions: how do you cover your effort in an NCE?

3. When is it required to fulfill effort for personnel who are included in the budget?
   - Who is considered senior/key personnel?
   - How do you determine when a change of effort is required for certain personnel?
     - Exceptions for certain sponsors?

4. When there is a revised budget, what real effort is committed?
   - If budget is reduced is effort also reduced?
   - Where in IRES do you find the current/revised budget?

5. Can one procure on an award on which one has no effort?
   - How are we audited – is there a connection between effort and procurement?

6. Cost share and PI’s minimal effort interpretation.
   - How to handle proposals that don’t allow effort.

7. OSP effort issues with subcontracts and outside institutions.
   - Do all subcontractor awards need effort? What if subcontractor doesn’t require effort?

8. Issues with excessive labor spending at end of an award, and examples of what OSP has encountered.
   - How does the sponsor react to changes in effort across the life of the award? Does it trigger questions regarding legitimate expenses?

9. Include Excel spreadsheets, tips on explaining effort, including 9/9 effort.
   - Examples include: calculating effort on truncated installments.

10. Include case studies that represent each of the above scenarios.
5) SHARED RESOURCES and DOCUMENTS

Objective: To provide research administrators with a single website (jump page) that would provide links to award-related resources, guidance and help.

Audience: All levels
Format: Website jump page to sponsored award resources
Owned by: Business Operations

Create a website with relevant links for those working with Sponsored Awards, a central repository with shared information to provide guidance for depts.

- Provide links to existing information and websites
- Evaluate documents currently used by individual departments and make available for all departments
- Create new templates, documents, and checklists that can be shared among all departments

Replicate the layout style used on the It’s Your Yale existing jump pages: https://your.yale.edu/all-yale-links

- Possible website location:
  - On the IYY All-Links website https://your.yale.edu/all-yale-links,
  - Create a section for Research Administration Resources
  - On the Business Operations website
  - On the OSP website

Examples of resources to be created include:

- Create Templates:
  - Training template will be extremely helpful for departments to refer to when it is mapped against the life cycle of an award.
  - Create templates for awards management
    - prior approval requests

- New Hires & Onboarding
  - Orientation of new personnel should include meeting with contacts within the department and OSP.
  - Conduct a meet and greet within first 90 days of employment.

- Develop ‘How To’ guides for departments
  - Create quick reference guides for topics mentioned in the other recommendations
  - Create checklists for common processes used in departments, examples such as:
    - Items to review when meeting with PIs
    - Onboarding new employees
    - Award personnel management
6) NETWORKING GROUPS

Objective: To promote better working relationships between OSP and departments. To get to know the people you work with remotely (via email and phone).

Audience: All Research Administrators and OSP staff
Format: Informal, relaxed setting.
Owned by: Business Operations

• Setup program that schedules regular “meet and greet” sessions between depts and OSP contacts for the purpose of developing good working relationships.
• Project would be monitored by Lead Administrators and Operations Managers to ensure meet and greets happen on a regular basis (similar to how BOCM meetings are organized).
  o Add task to LA and OM annual performance goals
  o Possible examples:
    ▪ 2 times a year: networking event
    ▪ Schedule new department staff to visit OSP at 25SP
    ▪ Get together lunches
• Start each session with a short, fun, interactive ice-breaker exercise (approx. 15 minutes) to get people relaxed, talking, and feeling comfortable