

RESEARCH ADVISORY BOARD (RAB)

December 6, 2016

8:30-10am

Medical Sciences Building, Chancellors Conference Room S-118

Attendees: Jane Czech, Pam Den Besten, John Ellis, Clarice Estrada, Vanessa Jacoby, Mounira Kenaani, Georgina Lopez, Wallace Marshall, Teresa Moeller, Suzanne Murphy, Christine Razler, Elizabeth Sinclair, Brian Smith, James Sorensen, Winona Ward

Not here: Chip Chambers, Joanne Engel, MC Gaisbauer, Jennifer Grandis, Xiao Hu, Jim Kiriakis, Gretchen Kiser, Steven Lazarus, Irene McGlynn, Synthia Mellon, Thomas Neylan, Michael Nordberg, Theresa O'Lonegan, Nirao Shah, Matt Springer, Paul Volberding

Guests: Kent Iwamiya, Dan Lowenstein, Greg Macway, Nilo Mia, Joanne Spetz

Nilo Mia, F&A Proposal Data Capture

See PowerPoint presentation attached

- The Facilities & Administrative Rate (F&A) is the mechanism used to reimburse the University for the infrastructure support costs associated with sponsored research and other sponsored projects.
- The Budget and Resource Management Office (BRM) has been working with Capital Planning, the Program Management Office and JLL consultants on building into the space management database (Archibus), the F&A attributes needed to support how space is being utilized per federally defined categories. Archibus tracks the annual campus space profiles for reporting up to UCOP. The federally defined information provides the data to properly assign infrastructure support cost associated with sponsored research and other sponsored projects.
- The joint space management project work group goals are to be achieved with the input of a campus Focus Group to help identify who should be completing the Functional Use Survey and what input is needed from space users/PI's.
 - Goals of group:
 - Agreement on Proposed Design Option
 - Get direction on who will complete the F&A survey
 - Get input on level of contracts & grants support
 - Discuss frequency of F&A survey cycle
 - The F&A survey is conducted to capture allocation statistics for facilities-related costs related to specific federally defined functions. The process of capturing this data at the room level is called "functionalization"
- This is still a work in progress, no decisions have been made, working to ensure all the proper people are involved and providing feedback

Questions/Comments:

- Do we retain all F&A received at UCSF?
 - Yes, can refer to the graph that Dan Lowenstein in the most recent Expresso

Next Steps:

- If important progress and key decisions have been agreed to by the Focus Group, Nilo can provide an update on those decision at the February RAB meeting

Brian Smith & Greg Macway, Research Supply Chain Management Group

- Asked by EVCP Dan Lowenstein to create a Research Supply Chain Management advisory group
- Chemical stores, product purchasing, any areas that we can help faculty in purchases
- Need to know what are the needs, problems, etc.
- Presented at the Lab Managers Group about creating this group & now presenting to RAB
- Would like to have 2 people from Lab Managers Group and 2 from RAB and 2 others to be part of the group
- Supply Chain Management controls BearBuy, Oyster Point and want to work to provide better, more efficient services

Questions/Comments:

- How is this different than what the Cell Culture Facility provides?
 - This is much broader in scope, in it will work to improve supply chain management services on all materials needed for research
- Need to ensure all costs are considered

Next Steps:

- If you are interested in participating, please email Louise Hendrickson
- Brian and Greg will provide an update at a future RAB meeting (February/March)

Winona Ward & Joanne Spetz, OSR Satisfaction Survey Results

See PowerPoint presentation attached

- Sample size for 2016: 3,824
- Overview of process 2013-2016
 - 2013 first-ever evaluation conducted as exploratory research.
 - All staff and faculty surveyed.
 - 2014 evaluation of current users
 - Convenience sample extracted from current database and listservs
 - 2015 evaluation of current users
 - Convenience sample extracted from current database
 - Additional efforts to reach administrative and staff users
 - 2016 evaluation of current users
 - Sample extracted from users from the past year
 - Additional efforts to reach administrative and staff users
 - MSOs and finance directors included
- Provided people a means for venting about concerns (as needed/relevant)
- Top 10 comments
 - Communication (not enough initiative, status updates, follow-up, contact clarity, speed, and overall responsiveness)
 - Lack of knowledge/experience (no “useful” advice is provided, staff does not fully understand processes on a holistic or specific scenario basis)
 - Lack of role clarification for departments/Pis and RMS/GBC (resulting in lack of accountability)
 - Lack of consistency across teams
 - Processes move too slowly
 - Overburdened staff (resulting in turnover)
 - Department differentiation – what goes to RMS vs. GBC?
 - Need for more collaboration between RMS/GBC and departments
 - Issues with system structure (centralization vs. decentralization)
 - Lack of online resources/updated resources
- Beginning stages of the realignment of RMS
 - Working on all the commentary that was provided via the survey
 - Having a retreat in Spring, which will include GBC and CGA

Questions/Comments:

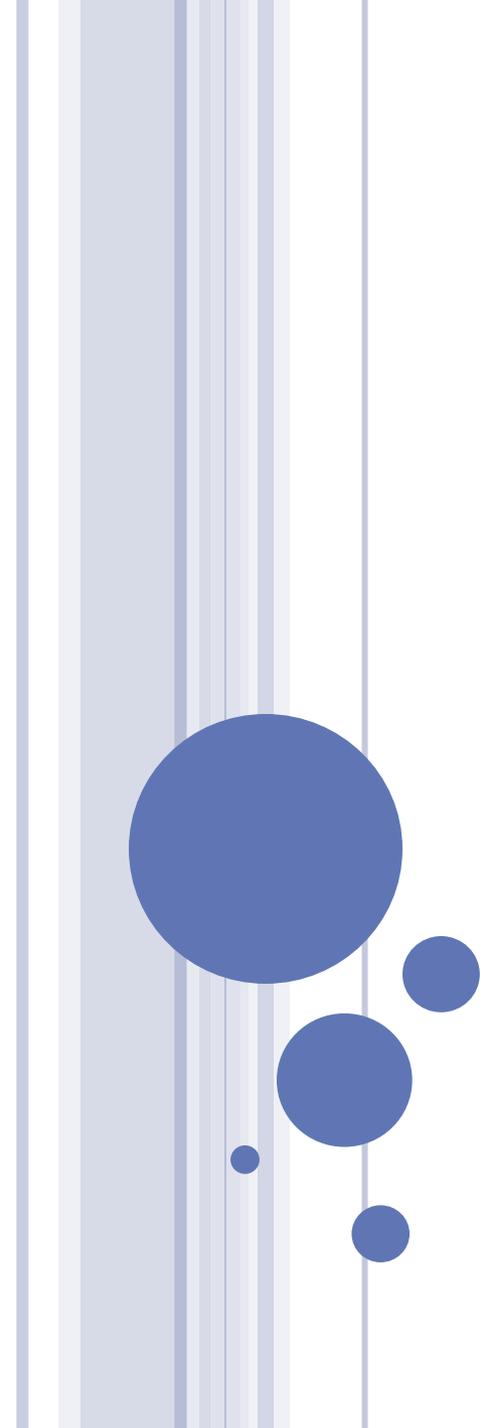
- Inclusion of industry contracts in process and survey?
 - Working on how to have things be more cohesive and elevating contracts that require more complex attention
- RMS Realignment
 - Moving staff into functional areas (vs. split across teams)
 - Operations & Training, Proposals & Awards, Contracts & Awards (which includes Subawards)

Next Steps:

- Winona Ward will provide an update in the Spring on the realignment

Dan Lowenstein, Cell Culture Facility Update

- EVCP Lowenstein presented background and discussed CCF operational issues and closure.



RESEARCH ADVISORY BOARD

OVERVIEW OF SPACE MANAGEMENT PROJECT FUNCTIONAL USE SURVEY PROPOSED DESIGN

December 06, 2016

AGENDA

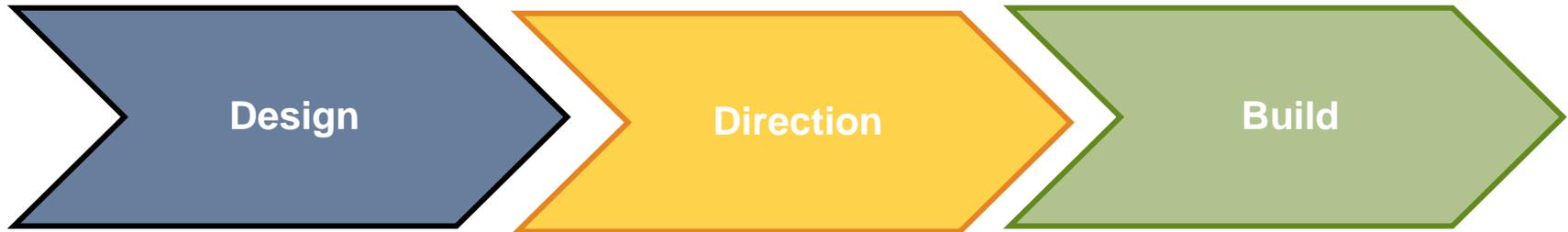
1. **Focus Group – Goals**
2. **Background**
3. **Guiding Principles**
4. **Proposal**
 - **Workflow Recommendation**
 - **Application Look & Feel**
5. **Discussion**
 - **Who should complete the F&A survey?**
 - **What is the survey cycle? (Annual or less often.)**
6. **Next Steps, Timeline**



"You'd be surprised the headaches you can avoid by addressing these four simple questions before beginning a project."



WHAT ARE OUR GOALS?



- Agreement on Proposed Design Option**
- Get direction on who will complete the F&A survey**
- Get input on level of contracts & grants support**
- Discuss frequency of F&A survey cycle**

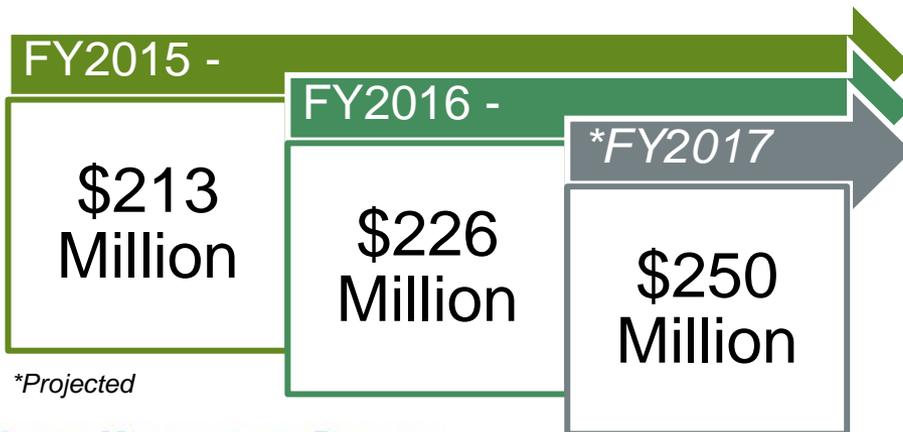
BACKGROUND

Importance of F&A Space Survey and Functionalization

WHAT IS F&A COST RECOVERY?

- The Facilities & Administrative Rate is the mechanism used to reimburse the University for the infrastructure support costs associated with sponsored research and other sponsored projects.
- The F&A rate is essentially an overhead rate. It is calculated as a percentage of overhead associated with, an allocable to, sponsored research and other activities, divided by the direct costs of sponsored research and other activities.

$$\frac{\text{Allocable F\&A Costs}}{\text{Applicable Modified Total Direct Costs}} = \text{F\&A Rate}$$



*Projected



WHAT IS AN F&A SPACE SURVEY?

- The F&A survey is conducted to capture allocation statistics for facilities-related costs related to specific federally defined functions. The process of capturing this data at the room level is called “functionalization”.
 - Departmental knowledge is needed to functionalize specific room use types: “Research” (Room Use Code 210), “Research Office” (211) “Research Lab Service” (225), “Research Office Service” (226), “Academic Office (310), “Other Off” (320), and “Office Service” (335)
- Facilities costs are critical to the F&A rate since recovery on the administrative portion is limited by a federally imposed cap.
 - Facilities-related costs includes building and equipment depreciation, interest, operations and maintenance costs and library costs.
 - Detail is especially important to maintain or increase campus F&A rate(s).
- Campus space metrics gathered by the F&A space survey are closely reviewed by federal negotiators.

FUNCTIONAL USE SURVEY: GUIDING PRINCIPLES

As we build a system to support UCSF's F&A data needs, what are the key qualities of this system?



PROPOSAL

Changes to the Space Update Form are required to support
Functionalization in Archibus

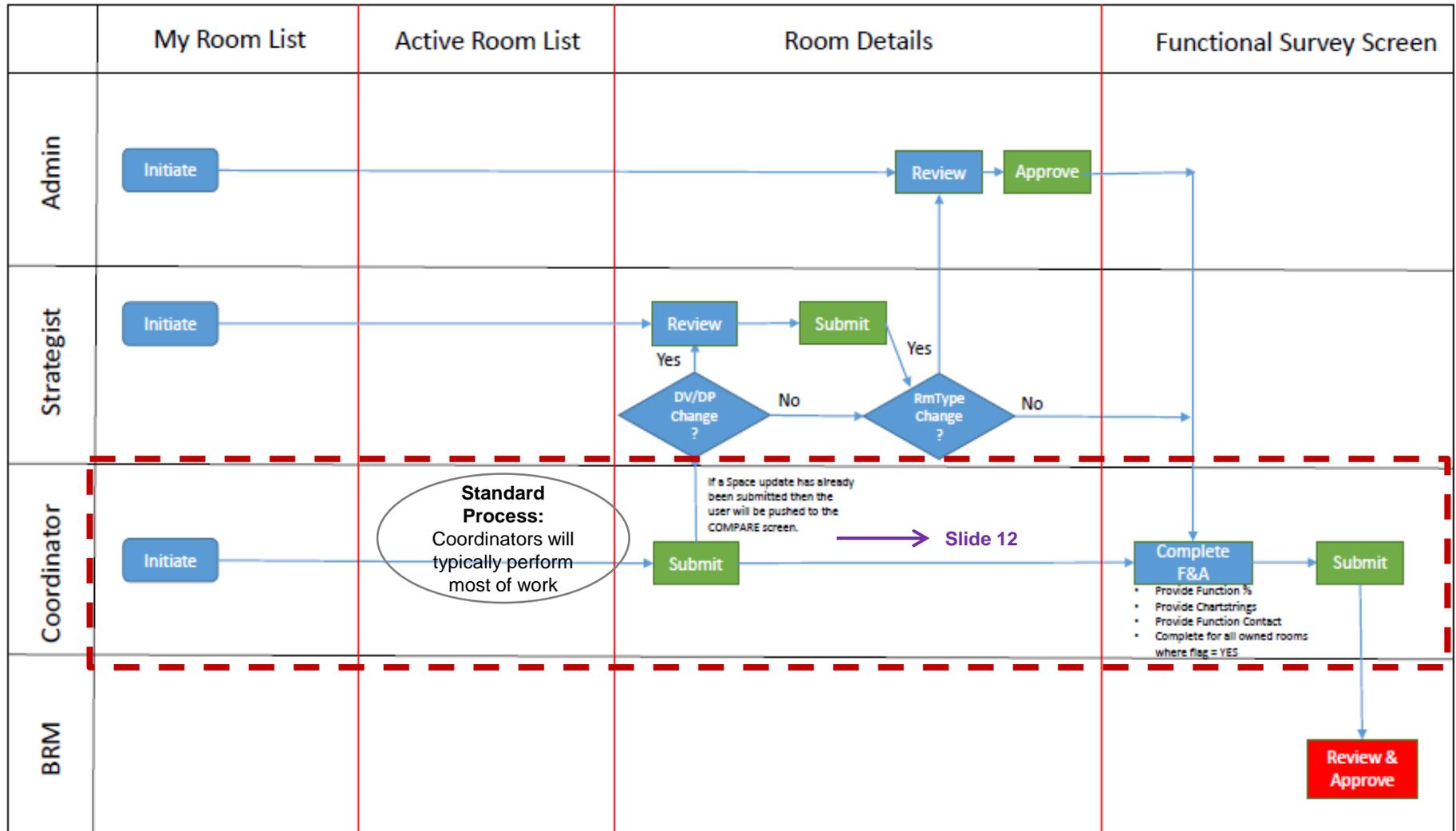
WORKFLOW OPTIONS

DECISION POINT

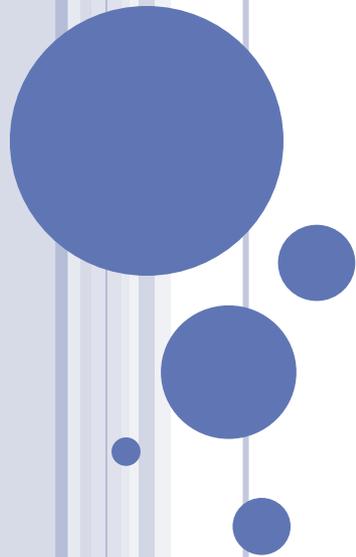
The F&A design workgroup and business partners from JLL identified three options for a future state workflow in Archibus. **The team is recommending a design based on Option 3**, which combines the space update and the F&A process. (♦ represents a change to current state)

| Impact On | Option 1 | Option 2 | Option 3 |
|-----------------|---|--|--|
| Process | <ul style="list-style-type: none"> • Leave current process as is ♦ F&A survey “tacked on” after space survey process is complete | <ul style="list-style-type: none"> • Leave current process ♦ F&A survey “tacked on” after space survey process is complete | <ul style="list-style-type: none"> ♦ Space update and F&A survey performed as one process/workflow |
| People | <ul style="list-style-type: none"> ♦ Split Rooms - Locks users out of split rooms when space update requests are submitted by a coordinator that shares the room | <ul style="list-style-type: none"> ♦ Identify single coordinator per room | <ul style="list-style-type: none"> ▪ Access and updates will be “unlocked” for all rooms assigned to a coordinator. (No one gets locked out.) |
| Comments | <ul style="list-style-type: none"> ✓ Coordinators need to work room twice – <ol style="list-style-type: none"> 1. Space Survey 2. F&A Survey ✓ Very complex workflow | <ul style="list-style-type: none"> ✓ Coordinators touching rooms twice ✓ Requires increased intra-department communication (greater burden on one coordinator) | <ul style="list-style-type: none"> ✓ Simple process! ✓ Need to discuss “unlocked” (security considerations) |

OPTION 3: PROCESS FLOW FOR SPACE UPDATES AND FUNCTIONALIZATION



OPERATIONAL QUESTIONS



F&A SURVEY: CYCLE

Recommendation for F&A Survey:

- Base year
 - A base year is the fiscal year from which a formal F&A proposal is developed
- Non-base years
 - Detail will be used to trend use, support projections, bolster calculations and inform space use analysis.
 - Modified requirements will be considered, for example, while functionalization % will be required, chartstrings may not.
- In non-base years and/or when extraordinary situations exist, there may be an option to skip a Non-base year for the survey.

For Archibus Users:

- Pro:** Survey may be an easier lift if performed more often because process and terms are more familiar. Data is more current for reporting purposes.
- Con:** Annual Survey may be an additional workload burden.

WHAT REPORTS WILL USERS NEED TO HELP THEM COMPLETE THE F&A SURVEY?

Comprehensive
Reporting

- Status Reports
- Completion Reports
- What else?

WHO FUNCTIONALIZES THE ROOM?

Roles

Coordinators
/ Strategist

Others?

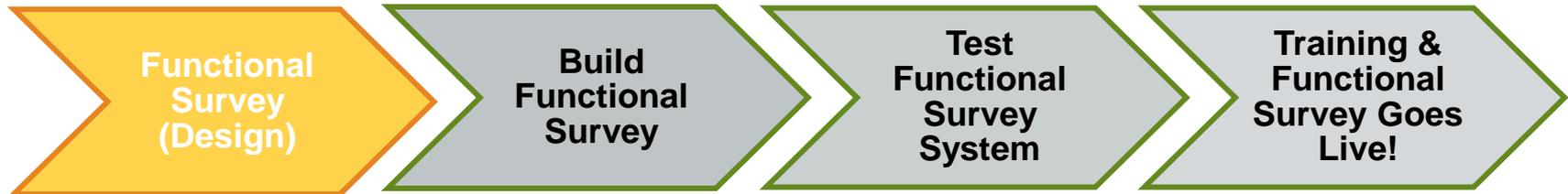
The person who completes the F&A survey:

- Must have a working knowledge of the functional use of their assigned rooms (explain that training will be provided).
- Must have knowledge of contracts & grants and Principal Investigator(s) activity.
- Must be able to gather accurate chartstrings for their assigned rooms.
- Must work with coordinators who share room access to ensure consistency and accuracy.

CAN WE FUNCTIONALIZE ALL CONTRACTS AND GRANTS FOR A PI IN A ROOM?

- There is a request from Senior Leadership (Chancellor's Cabinet) to locate contracts and grants where they are occurring.
 - The request is for the building level – the room level is preferred.
- We are in the early stages to evaluate what is needed to meet the request, however, it has become clear that there are large overlaps that could be leveraged during the F&A project
 - Contract and Grant information will need to be functionalized for the room
 - Can every contract and grant for a PI in the room be assigned versus a representative sample? Will this cause substantial burden on the departments?

NEXT STEPS & PROJECT TIMELINE



1. Focus group comments incorporated into business requirements
2. JLL Finalizes Solutions Design Document with Level of Effort.
3. UCSF reviews and approves project document.
4. **Establish project timeline.**
 - Build
 - UAT
 - Training
 - Go-Live

Questions

University of California
San Francisco



Philip R. Lee Institute
for Health Policy Studies
School of Medicine

Office of Sponsored Research Online Satisfaction Survey

Ginachukwu Amah, BA
Jackie Miller, BA
Joanne Spetz, PhD

December, 2016

Key Findings

2016 Sample and Respondents

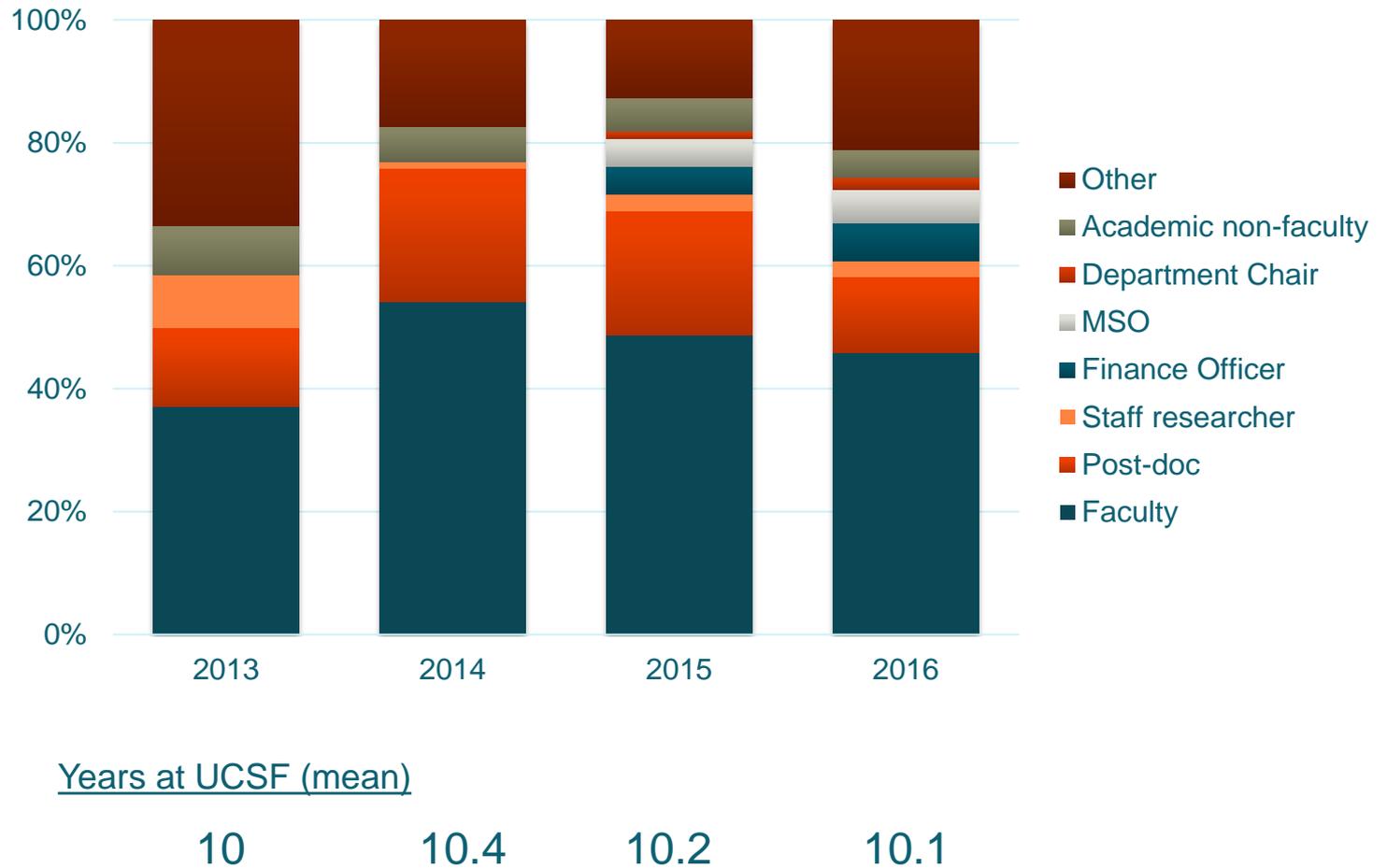
- Sample size 3,824
- Who responded?

| | |
|----------------------|------------|
| Department Chair | 13 |
| Faculty | 316 |
| Academic non-faculty | 31 |
| Post-doctoral | 85 |
| Staff researcher | 18 |
| MSO | 38 |
| Finance Officer | 42 |
| Other | 146 |
| Total | 689 |

Samples in survey data analyses 2013 - 2016

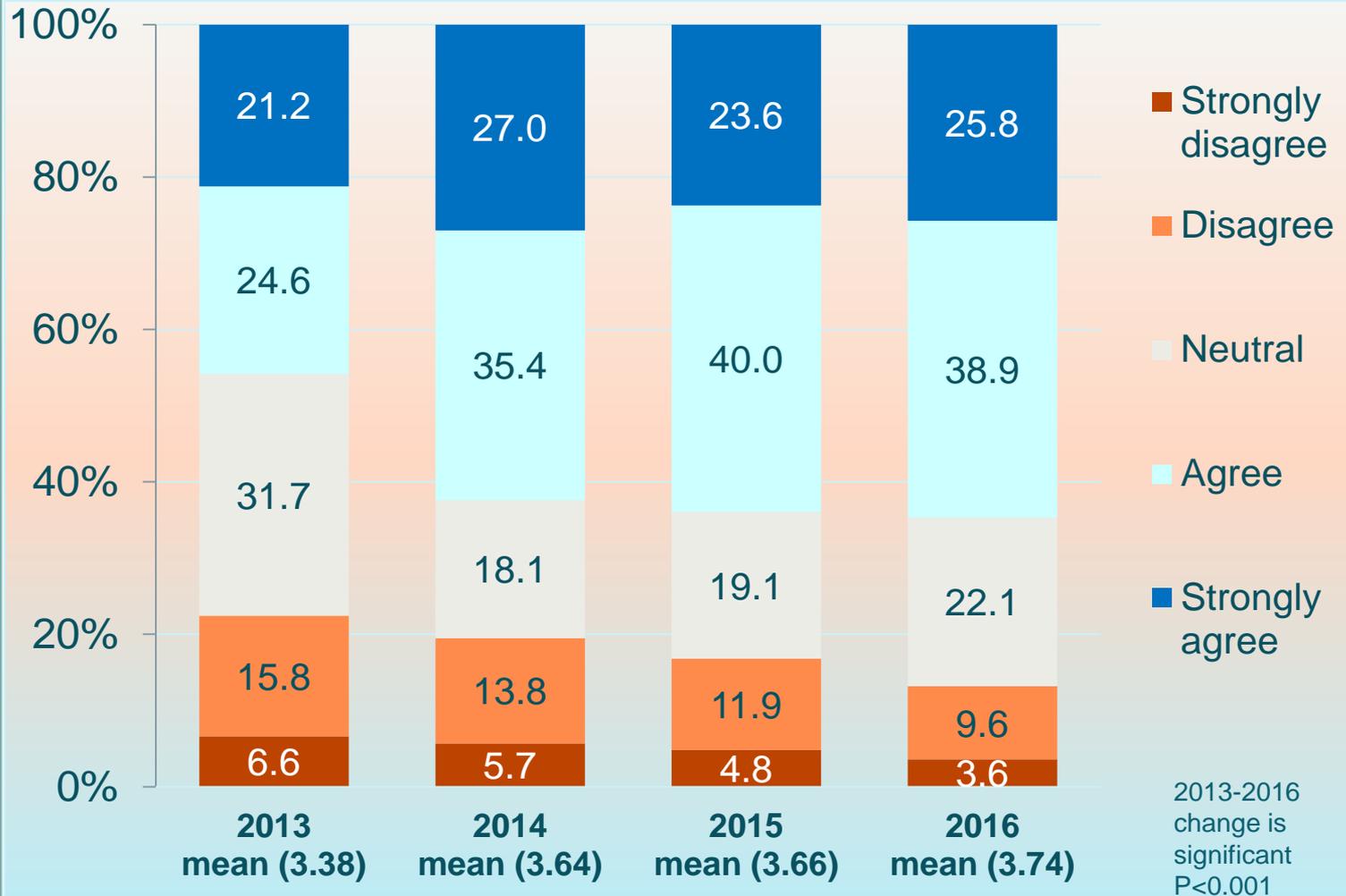
- **2013 first-ever evaluation conducted as exploratory research.**
 - All staff and faculty surveyed.
- **2014 evaluation of current users**
 - Convenience sample extracted from current database and listservs
- **2015 evaluation of current users**
 - Convenience sample extracted from current database
 - Additional efforts to reach administrative and staff users
- **2016 evaluation of current users**
 - Sample extracted from users from the past year
 - Additional efforts to reach administrative and staff users
 - MSOs and finance directors included

Survey Respondents 2013-2016

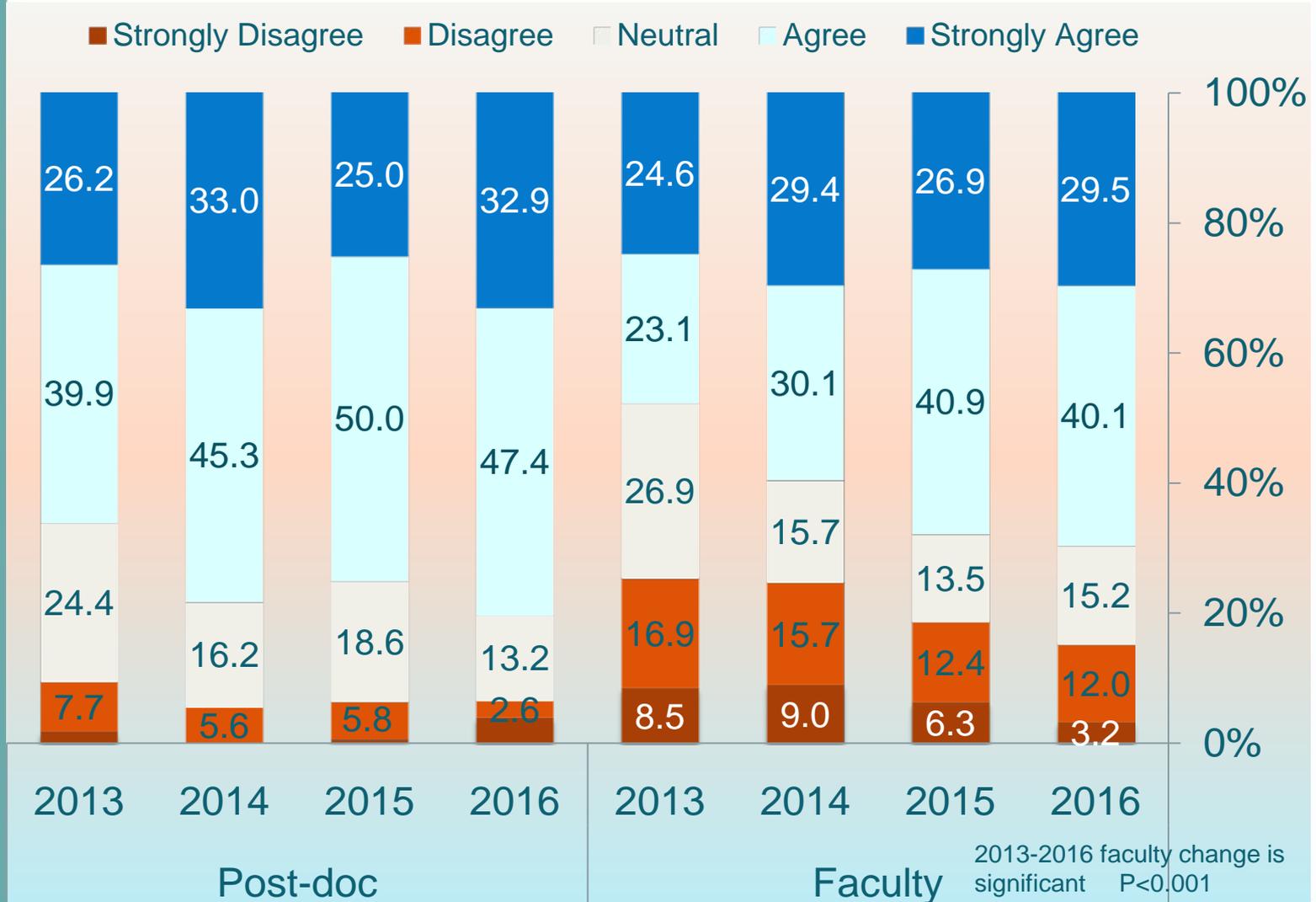


Overall satisfaction by year

Q5- I'm satisfied with my current pre-award services.

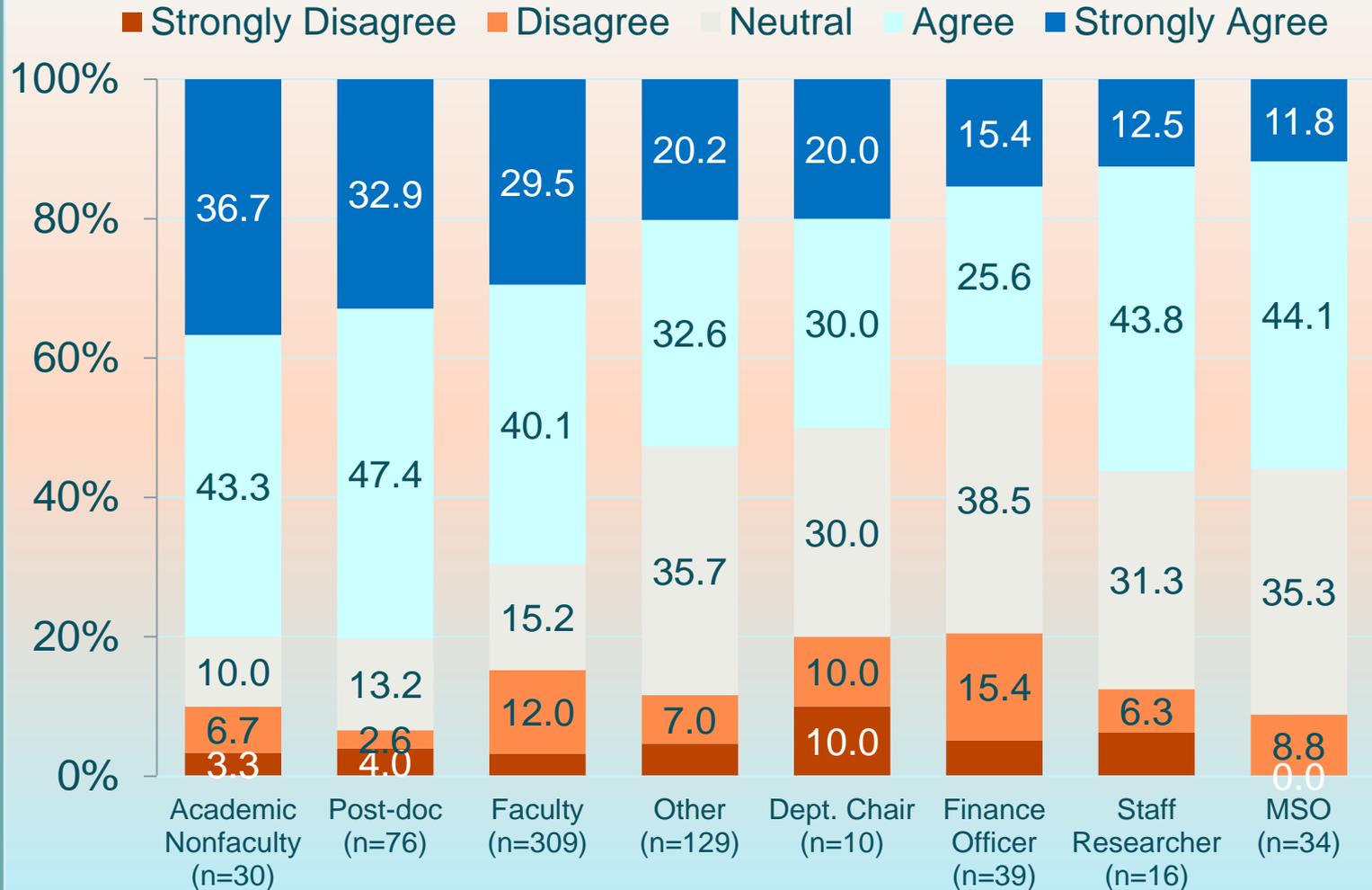


Overall satisfaction by role and year (Faculty and Post-doc only)

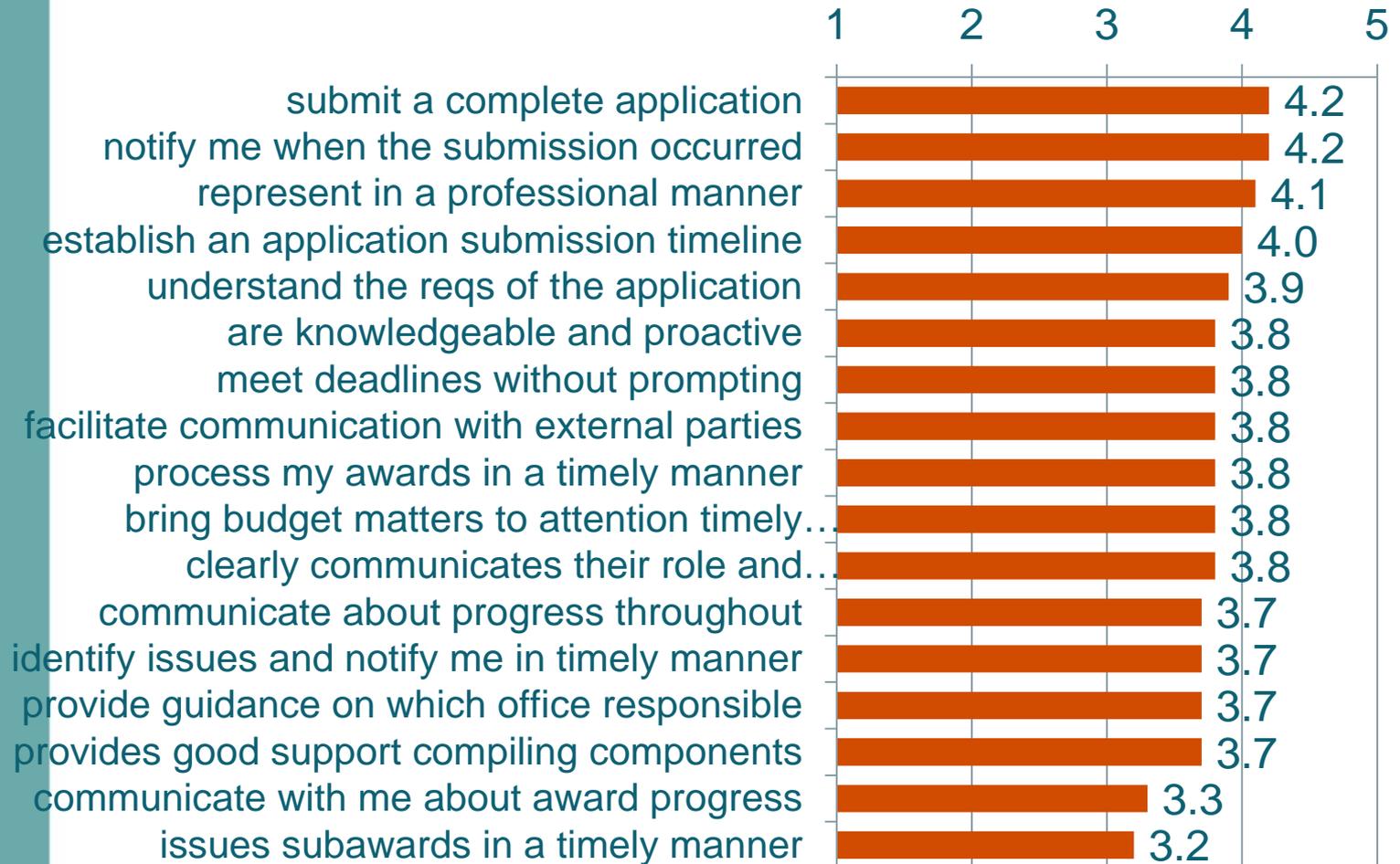


Overall satisfaction by role – 2016

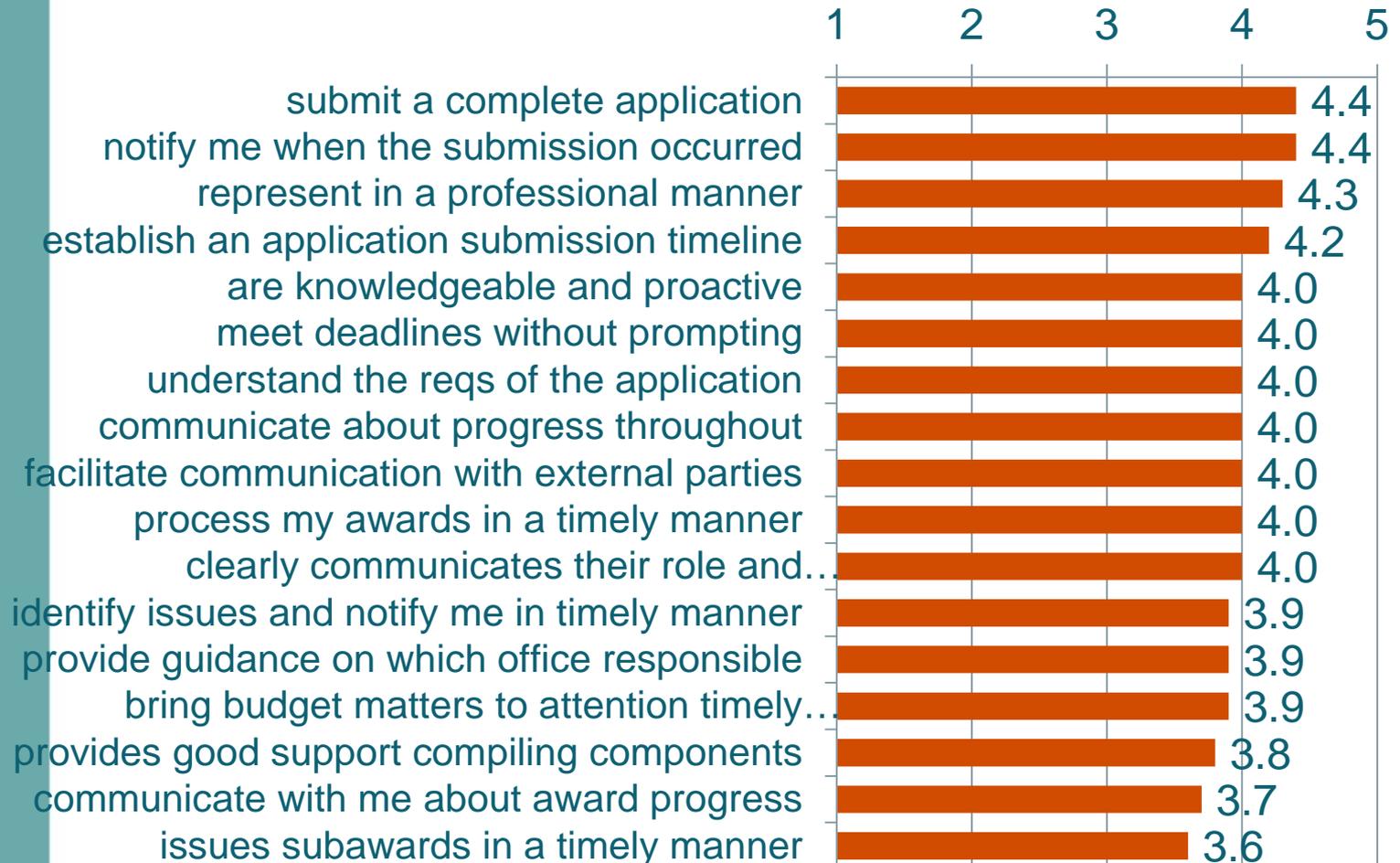
Q5- I'm satisfied with my current pre-award services



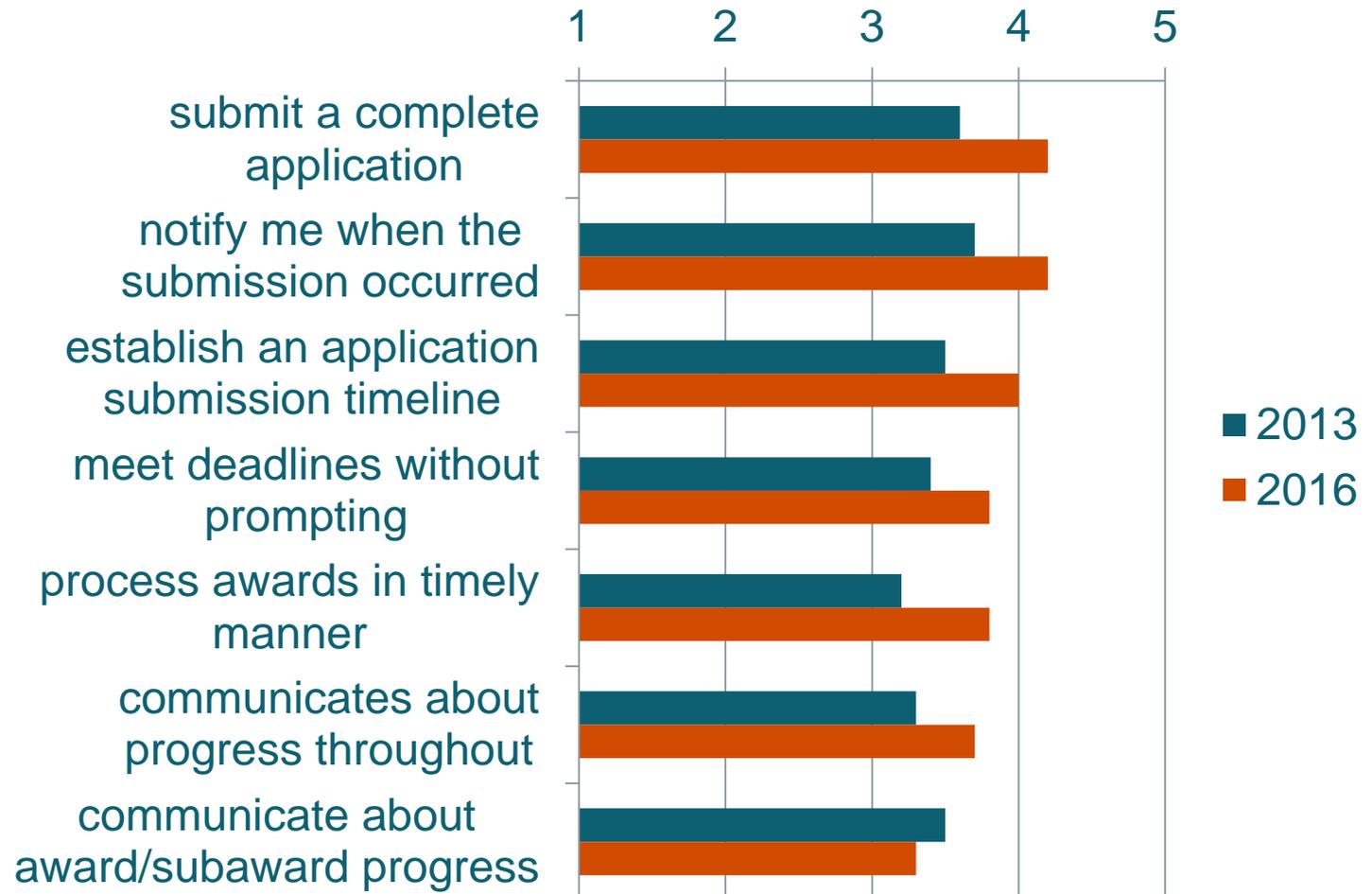
“RMS staff... (all respondents)”



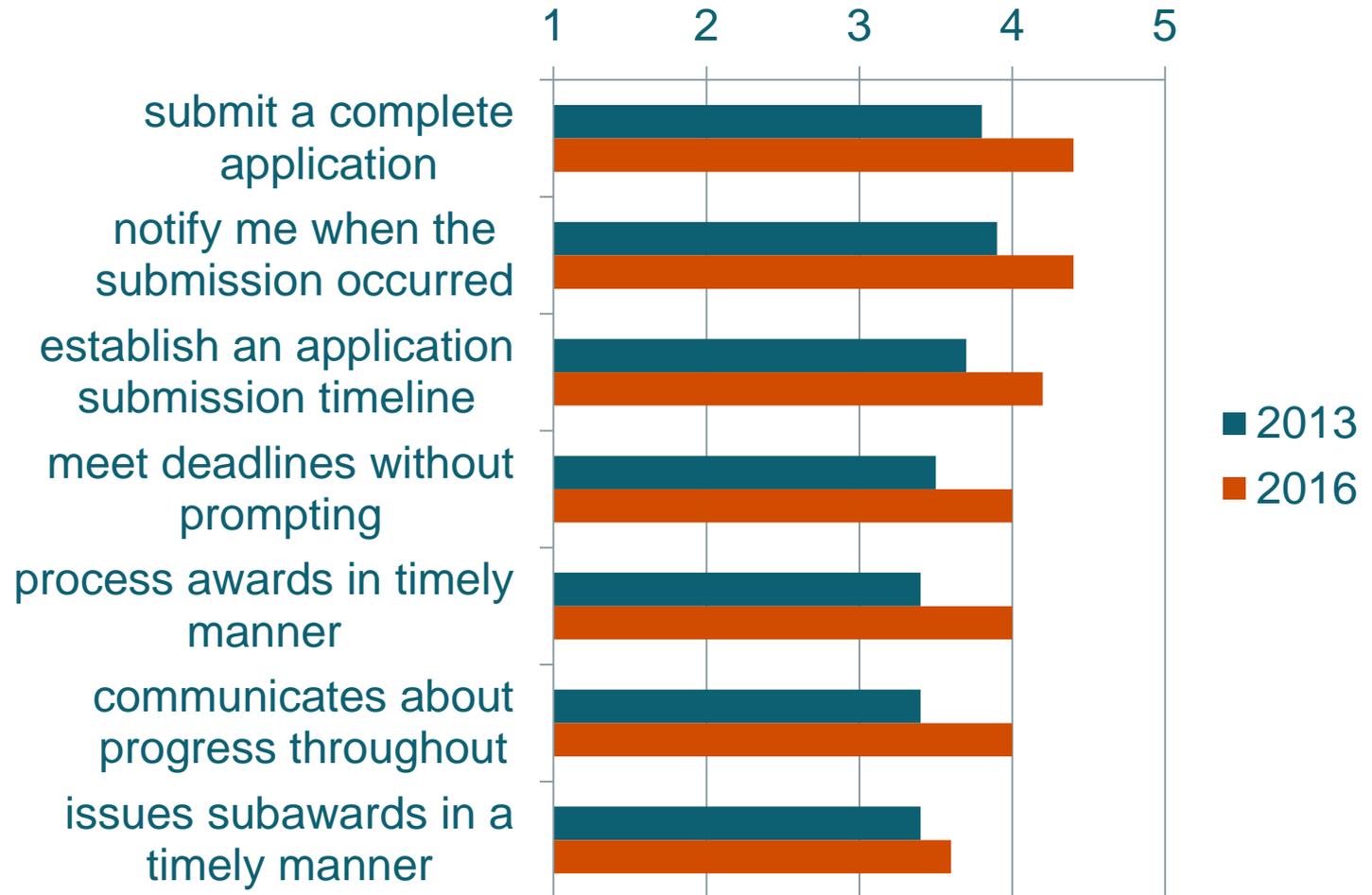
RMS staff... (faculty & post-docs)



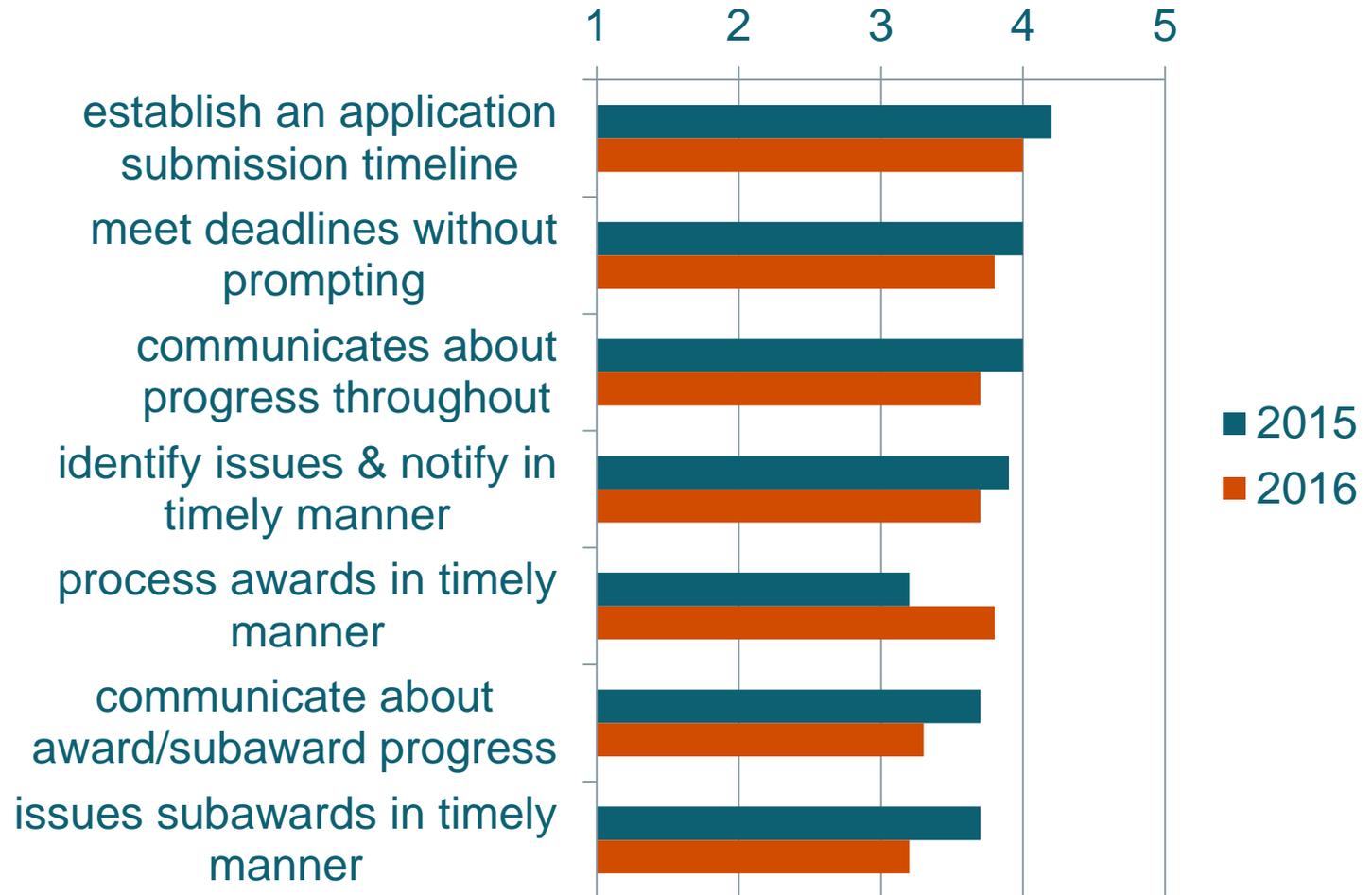
Significant RMS changes 2013-2016 (all respondents)



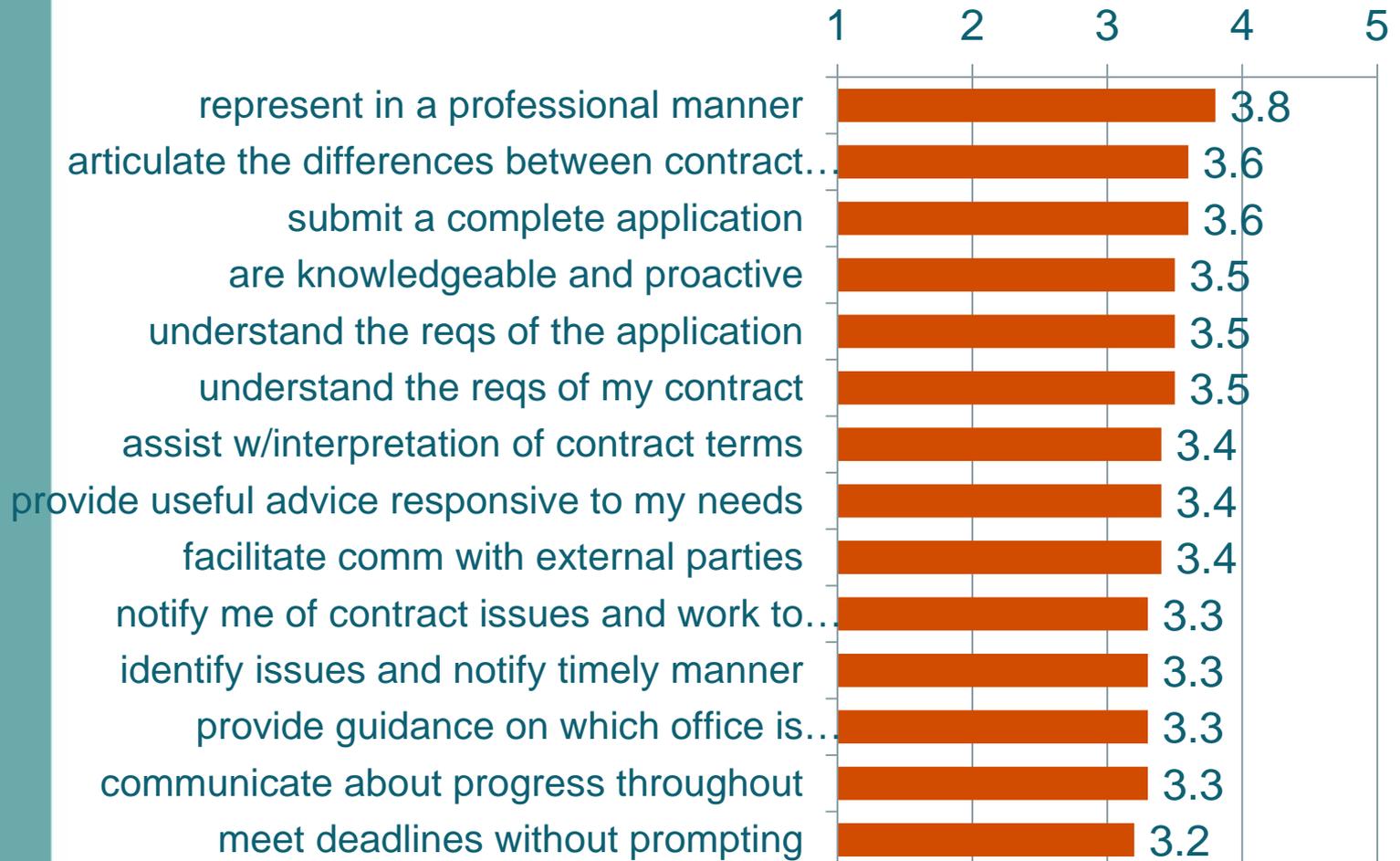
Significant RMS changes 2013-2016 (faculty & post-docs)



Significant RMS changes 2015-2016 (all respondents)



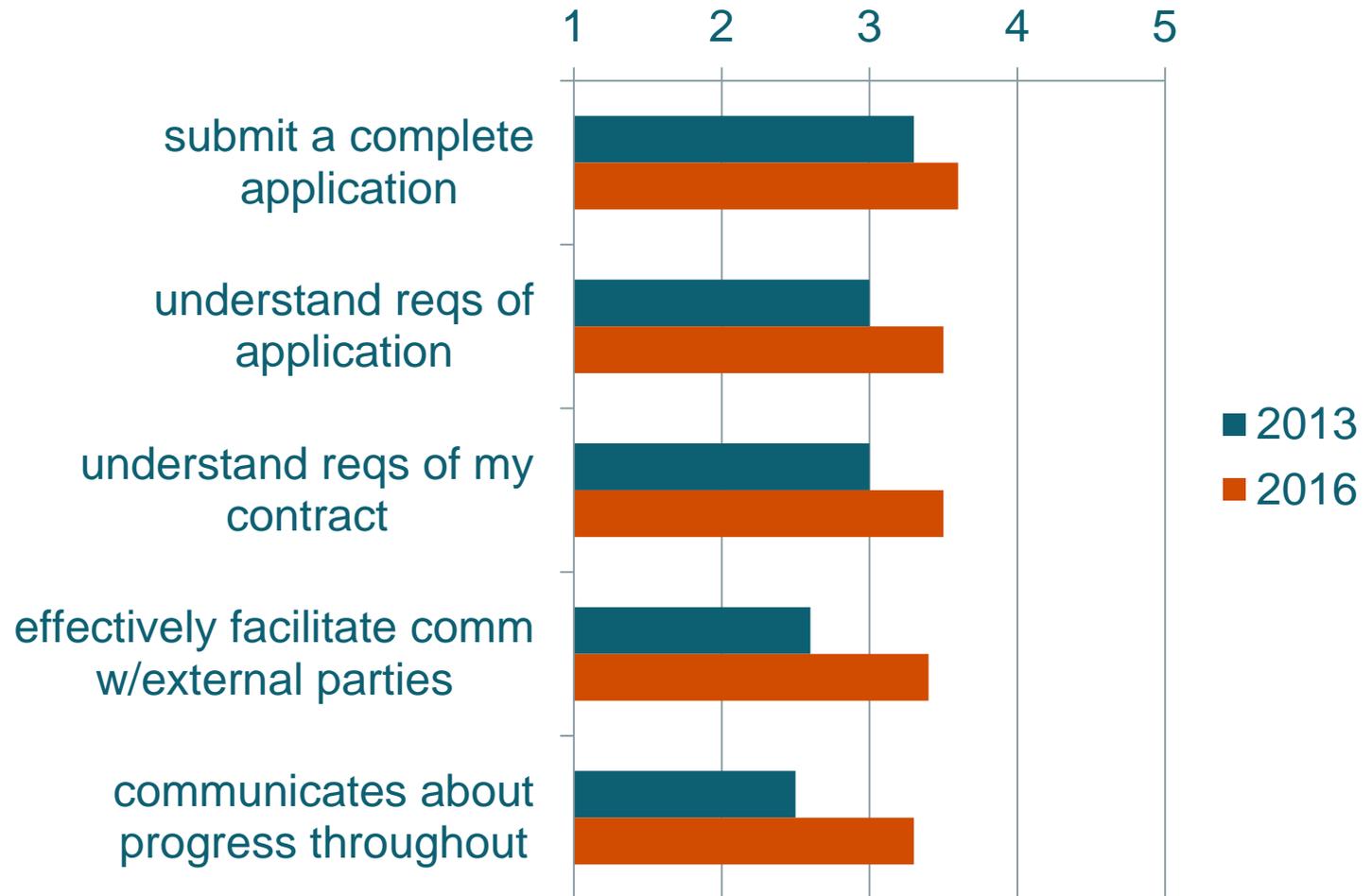
GBC staff... (all respondents)



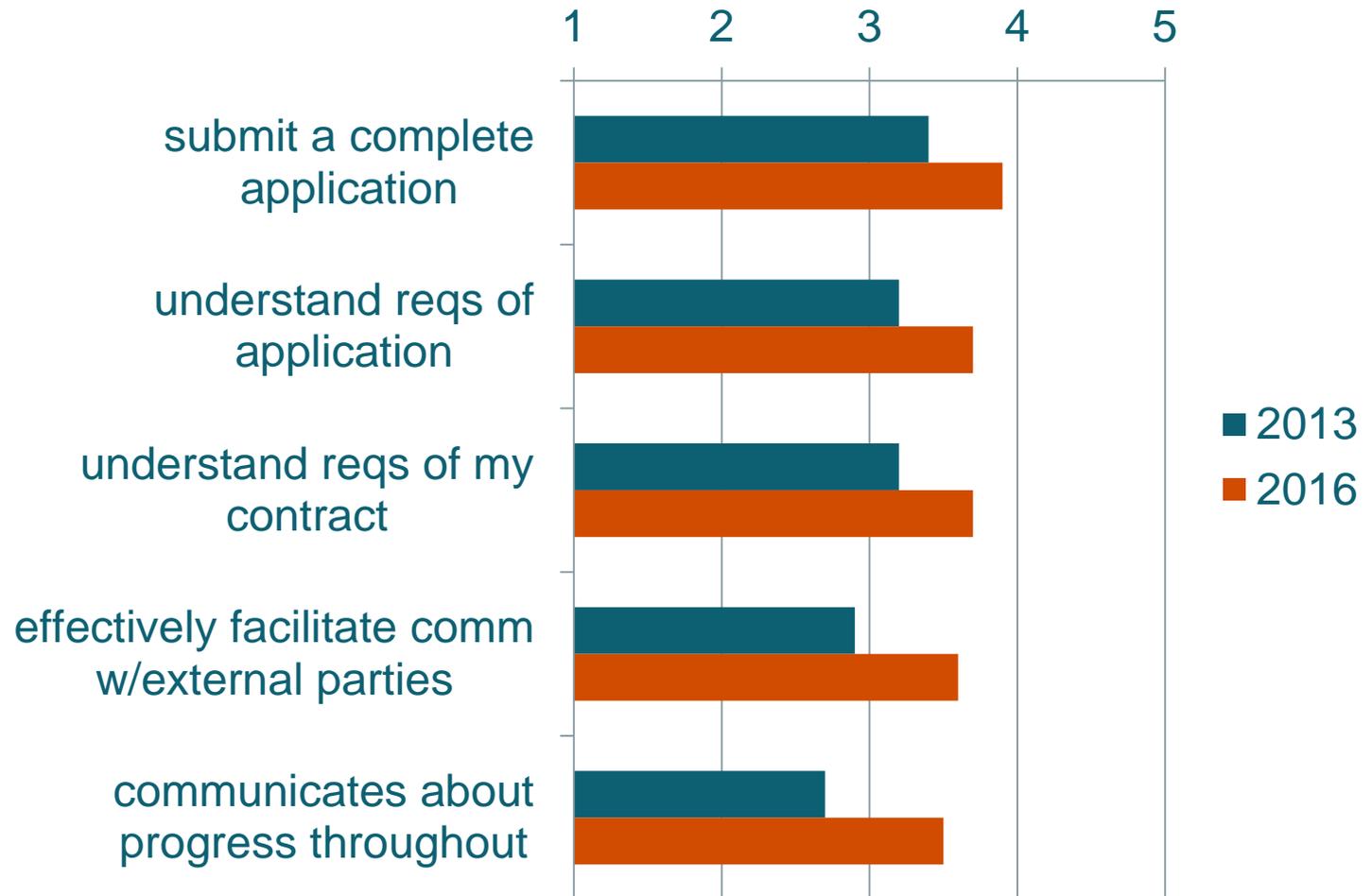
GBC staff... (faculty & post-docs)



Significant GBC changes 2013-2016 (all respondents)



Significant GBC changes 2013-2016 (faculty & post-docs)



Top 10 comments

- **Communication (not enough initiative, status updates, follow-up, contact clarity, speed, and overall responsiveness)**
- **Lack of knowledge/experience (no “useful” advice is provided, staff does not fully understand processes on a holistic or specific scenario basis)**
- **Lack of role clarification for departments/PIs and RMS/GBC (resulting in lack of accountability)**
- **Lack of consistency across teams**

Top 10 comments

- **Processes move too slowly**
- **Overburdened staff (resulting in turnover)**
- **Department differentiation – what goes to RMS vs. GBC?**
- **Need for more collaboration between RMS/GBC and departments**
- **Issues with system structure (centralization vs. decentralization)**
- **Lack of online resources/updated resources**

OSR Staff Top 10 Concerns

- **eProposal (appeared to be the main reason/hub for lack of system integration)**
- **Overall lack of consistency across teams (whether it's processes/workflows, team management, team collaboration, personnel, etc.)**
- **Need for more training (at the start of hire and ongoing)**
- **Workload/Burnout/Staff Retention**
- **Need for adapting staffing structure**

OSR Staff Top 10 Concerns

- **Appreciation for their own staff members (hardworking, talented, good collaborators)**
- **Lack of collaboration/time spent with departments/PIs**
- **Accountability (for staff and PIs)**
- **Clarity in department differentiation/responsibilities (between RMS and GBC)**
- **Leadership (esp. in regards to transparency)**