



# **OE FACULTY PRE-AWARD BASELINE SATISFACTION QUESTIONNAIRE**

**Executive Summary & Detailed  
Summary of the Key Findings**

**October 2011**

# Executive Summary

## EXECUTIVE SUMMARY- PURPOSE

- Initiated in 2010 in response to budget shortfalls, Operational Excellence aims to increase the efficiencies and effectiveness of pre-award research administration services at UCSF by reorganizing the pre-award service delivery process.
- This reorganization unites the decentralized department-based analysts with the centralized analysts within one networked organization: Research Management Services (RMS).

## EXECUTIVE SUMMARY- PURPOSE- CONT.

- The goal for the questionnaire is to closely evaluate and measure changes in the level of faculty satisfaction with baseline pre-award services before (summer 2011) and after (spring 2012) the RMS is implemented and experienced by faculty clients.
- This questionnaire is one of many ways that RMS is being evaluated. For additional performance measurements, see Appendix A.
- Additionally, the responses resulting from this questionnaire will inform the development of the RMS training program to improve service delivery.

# EXECUTIVE SUMMARY- METHODS

- The questionnaire measures baseline levels of Faculty:
  - Satisfaction with and perceptions of pre-award service quality
  - Time spent on pre-award administration
- The questionnaire was developed by:
  - OE Pre-award Implementation Team
  - OE Research Faculty Advisors
  - Claire Brindis, Dr.PH, with the support of Wendy Max, PhD, and Bob Newcomer, PhD, and the OE Faculty Oversight Committee
- The target population was all UCSF Faculty researchers that utilized UCSF pre-award administration services in the last 24 months.

# EXECUTIVE SUMMARY- METHODS- CONT.

- An initial email invitation was sent on 06/20/11 from the Deans of each School (with subsequent reminder invitations including a request from the Academic Senate) with a cover letter that included a link to the web-based questionnaire. The questionnaire closed on 07/15/11.
- Respondents answered 43 close-ended and 3 open-ended questions (some questions were optional or not necessary for all respondents to answer).
- Overall response rate is 33.4% with 617 respondents.
- Of the total respondents, 66% answered at least 1 of the 3 optional, open-ended questions that asked for:
  - Recommendations for improving current pre-award services
  - Other comments in regards to pre-award services
  - Comments about the Chancellor's Operational Excellence Initiative

# EXECUTIVE SUMMARY- KEY FINDINGS

- 82% of respondents are satisfied with their current pre-award services.
- 68% of respondents are satisfied with their current *post*-award services.
- Respondents expressed the importance of the relationship between the PI and the individual providing their pre-award services.
- Respondents expressed the perception that high quality pre-award administrators are important. Two of those qualities are accessibility and responsiveness.
- Many respondents expressed concern that the proposed RMS's model of pre-award service delivery will not improve services.

# EXECUTIVE SUMMARY- KEY FINDINGS- CONT.

## PI TIME SPENT ON PRE-AWARD ACTIVITIES

- 73% spend 4 or less hours **developing biosketches** and feel this is the appropriate amount of time.
- 60% spend 4 or less hours **reading grant application instructions** and feel this is the appropriate amount of time.
- 71% feel they spend the appropriate amount of time **developing budgets**, with time spent on budget development ranging from less than one hour to over 8 hours.
- 22% feel they spend too much time **developing budgets**, with 10% of these respondents spending 8 or more hours.
- 50% spend 4 or less hours on **administrative content and formatting** and feel this is the appropriate amount of time.
- 17% spend 8 or more hours on **administrative content and formatting** and feel they spend too much time.
- About 56% spend 4 or less hours **determining compliance with policies** and feel this is the appropriate amount of time.

# EXECUTIVE SUMMARY- RECOMMENDATIONS

Respondents recommended several areas for improvement of their current pre-award services. The RMS is acting on these suggestions. A few examples include:

Recommendations from the Respondents	Action Item Responses from the OE Implementation Team
Less strict internal department and/or Contracts & Grants Office deadlines	<ul style="list-style-type: none"><li>• RMS requires a final draft of the proposal (less the research plan sections, in most cases, to allow the PI additional time to work on the research plan) 5 business days prior to the sponsor due date in order to begin the institutional review, approval, and submission process. RMS requires that any other departmental internal approval routing process be eliminated or not impact the work of the RMS and PI.</li><li>• The RMS model developed policies to eliminate unnecessary approval routing processes in order to decrease the internal (both departmental and C&amp;G) deadlines. <i>Only</i> the PI, Chair (or Chair's delegate) and the institutional authority signatures are required on all proposals.</li><li>• Dean's signatures have been eliminated for PI status waiver forms, award transfers/relinquishments, and fund advances.</li><li>• The PI is the only required signature for the following pre-award activities: non-competing continuation applications; administrative correspondence such as carry-forward and no-cost extension requests; and amendments to the time period or amount of the agreement at the time of the award.</li></ul>

# EXECUTIVE SUMMARY- RECOMMENDATIONS- CONT.

Recommendations from the Respondents	Action Item Responses from the OE Implementation Team
Improved training	<ul style="list-style-type: none"><li>• A robust RMS training program with certification levels is being developed and implemented.</li><li>• Training program will target budget development and administrative content and formatting to address those areas that faculty feel they currently spend too much time.</li></ul>
Delegated signature authority	<ul style="list-style-type: none"><li>• Authority to approve and submit proposals to sponsors is being delegated upon certification to RMS staff. This delegation brings the institutional authority closer to the PI.</li></ul>
Better awareness of funding opportunities	<ul style="list-style-type: none"><li>• As part of the OE efforts, the Office of Research is currently developing a unit that focuses specifically on identifying extramural funding opportunities for faculty.</li><li>• The RMS training program includes an in-depth module for staff to assist faculty in searching for opportunities via Community of Science (<a href="http://www.cos.com/">http://www.cos.com/</a>) and other sources.</li></ul>

## EXECUTIVE SUMMARY- RECOMMENDATIONS- CONT.

- RMS needs to maintain the high level satisfaction in a more efficient way. Because the service satisfaction bar is high, expectations of the RMS model are high. However, budget shortfalls cannot be denied, and we need to maintain the current level of satisfaction in a more cost effective way.
- Satisfaction with current pre-award service quality shows that we know how to deliver good services and what services to maintain. The best practices currently in place at UCSF significantly influenced the RMS model for delivering excellent support to the faculty. Extensive participation by groups of UCSF managers, staff, the OE Research Workgroup and the guidance of the Faculty Oversight Committee were instrumental in the final implementation plan.

# Detailed Summary of the Key Findings

# EXECUTIVE SUMMARY- WHO RESPONDED?- CONT.

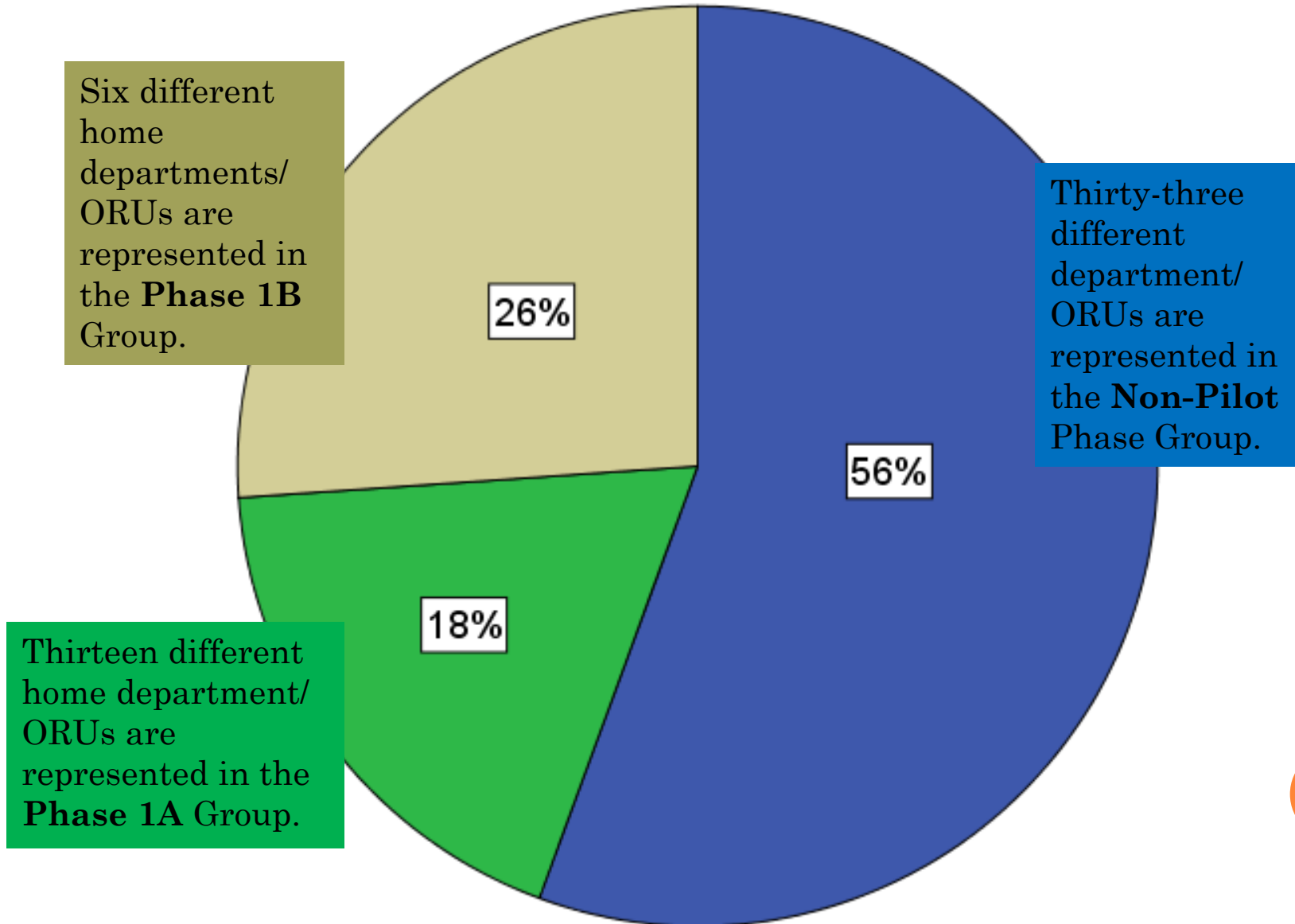
## SAMPLE SIZE AND RESPONSE RATE

Departments and ORUs participating in the first two roll-out "pilot" phases (Phase 1A and Phase 1B) of the RMS will be formally evaluated on performance and impact in an effort to make improvements to the RMS model prior to roll out of subsequent phases. The distribution of response rate overall and for each of the evaluative phases are as follows:

<b>Groups:</b>	<b>Overall</b>	<b>Phase 1A</b>	<b>Phase 1B</b>	<b>Non-Pilot Phases</b>
<b>Target Population:</b> (# of Faculty that received a request to participate in the questionnaire and were valid respondents)	1,848	240	555	1,053
<b>Sample Size:</b>	<b>617</b>	<b>113</b>	<b>161</b>	<b>343</b>
<b>Response Rate:</b>	33.39%	49.1%	29.0%	32.6%
<b>Confidence Level:</b>	95%	95%	95%	95%
<b>Margin of Error:</b>	+/- 3.2%	+/- 6.7%	+/- 6.5%	+/- 4.4%

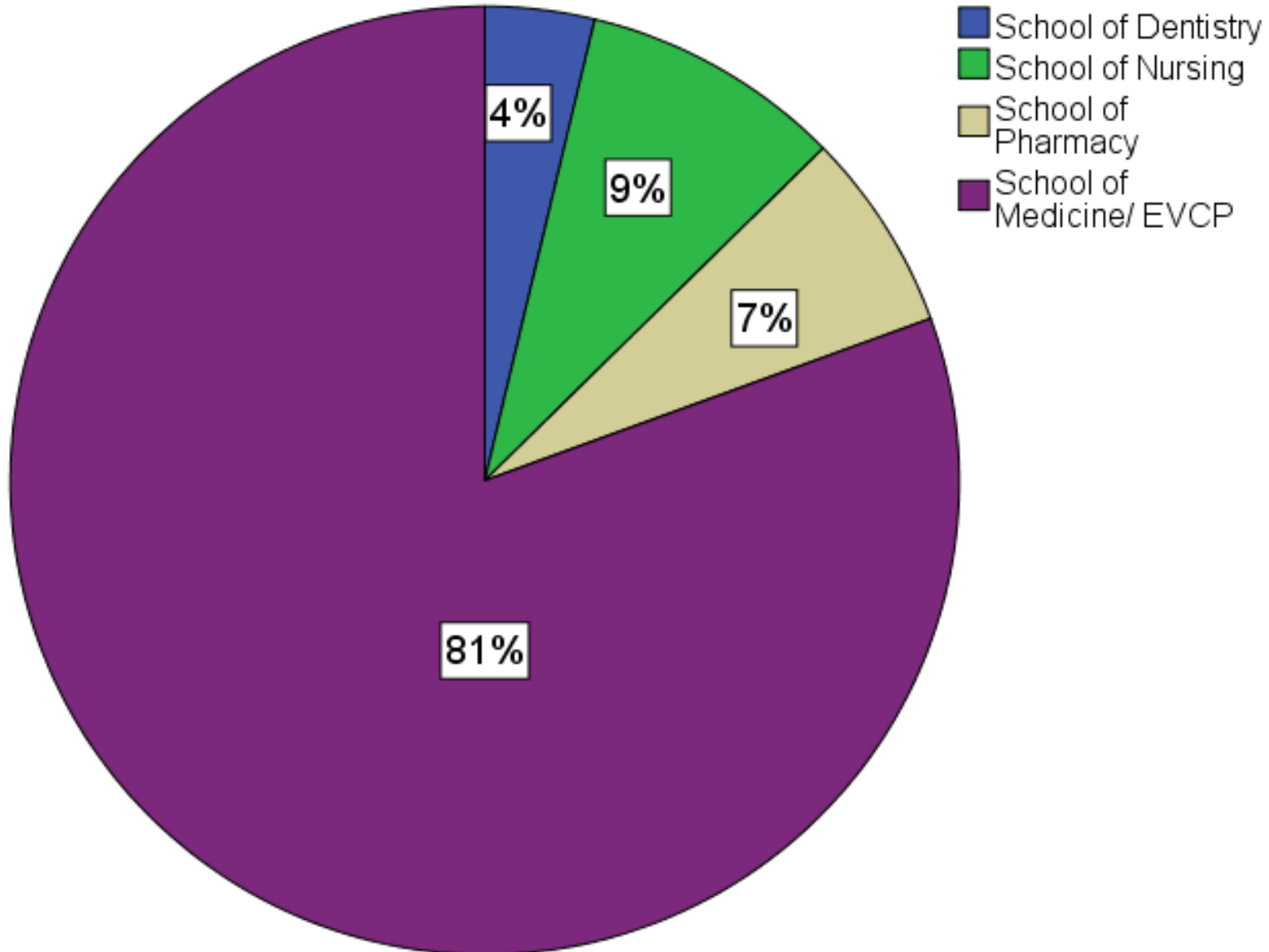
# KEY FINDINGS- WHO RESPONDED?

53 HOME DEPARTMENT/ORUs ARE REPRESENTED BY THE DISTRIBUTION OF 617 RESPONDENTS.



# KEY FINDINGS- WHO RESPONDED?

DISTRIBUTION OF 617 RESPONDENTS BY CONTROL POINT



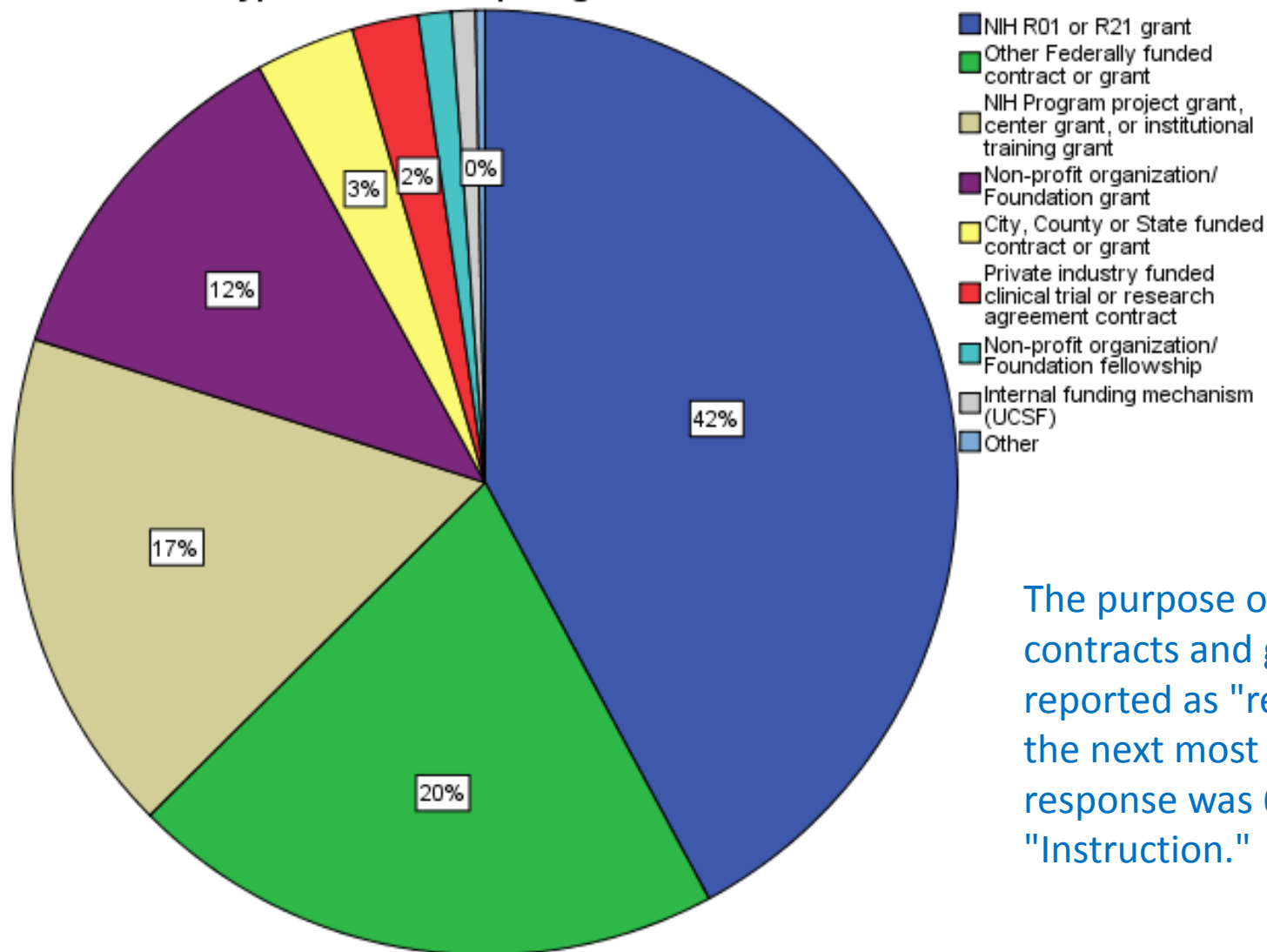
## KEY FINDINGS- WHO RESPONDED?

- Respondents receive pre-award services from 51 different departments/ORUs
  - The top five respondent departments/ORUs are Medicine, Pediatrics, CVRI, Psychiatry and Radiology.
- 44% of respondents' Research Services Analysts (RSAs) provide a pre-award only service delivery model; 56% of respondents' RSAs provide a combination pre-award *and* post-award service delivery model.
- About 10% of respondents do *not* receive pre-award services from their “home” department.
- 50% of all respondents have been a UCSF faculty member for 9 years or less. This reflects the overall UCSF faculty profile.
- 50% of all respondents submitted 2.5 or fewer proposals per year

# KEY FINDINGS- WHO RESPONDED?

DISTRIBUTION OF THE MOST COMPLEX TYPE OF CONTRACT OR GRANT PROPOSAL THAT WAS SUBMITTED BY RESPONDENTS IN THE LAST 24 MONTHS

Type of most complex grant or contract in last 24 mths



The purpose of 87% of these contracts and grants was reported as "research," and the next most frequent response was 6% for "Instruction."

# KEY FINDINGS- RSA QUALITY SCALE

Respondents answered 10 questions about their perception of the qualities of their RSA. An RSA Quality Scale was developed by adding together responses to all 10 questions:

My primary Pre-Award Services Administrator is...

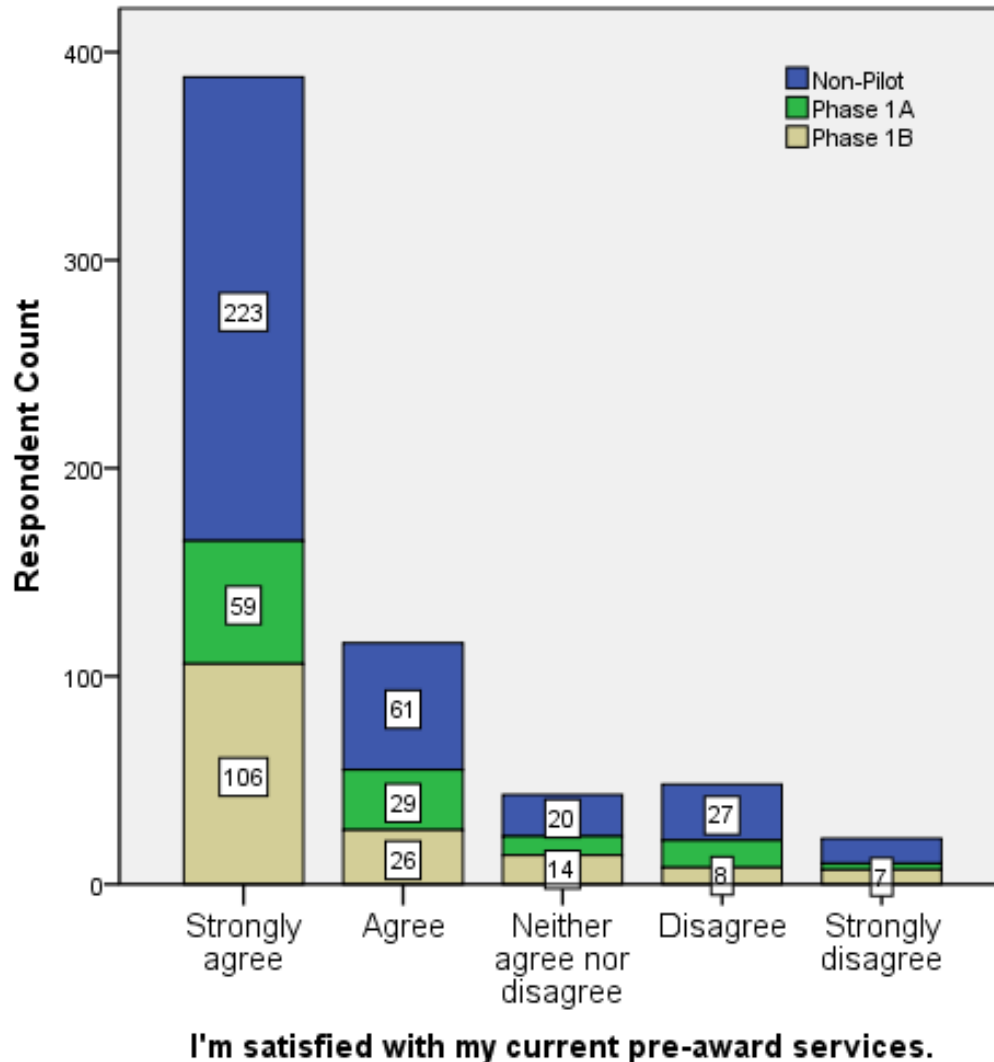
1. **Helpful** to me in meeting deadlines for completing admin sections of proposals
2. **Resourceful** in obtaining accurate info about policies and instructions
3. **Attentive** to my grant administration and application needs
4. **Timely in responding** to my queries
5. **Reliable**
6. **Produces high quality** proposals with me
7. Can always be **trusted**
8. **Utilizes my time efficiently**
9. **Provides me with information about upcoming deadlines** for progress reports
10. Supports the **actual preparation and submission** of proposals

76% of respondents rate their RSA as High quality (1 - 2 on the RSA Quality Scale).

The RSA Quality Scale has good internal consistency with a Cronbach's alpha coefficient of .975.

# KEY FINDINGS-

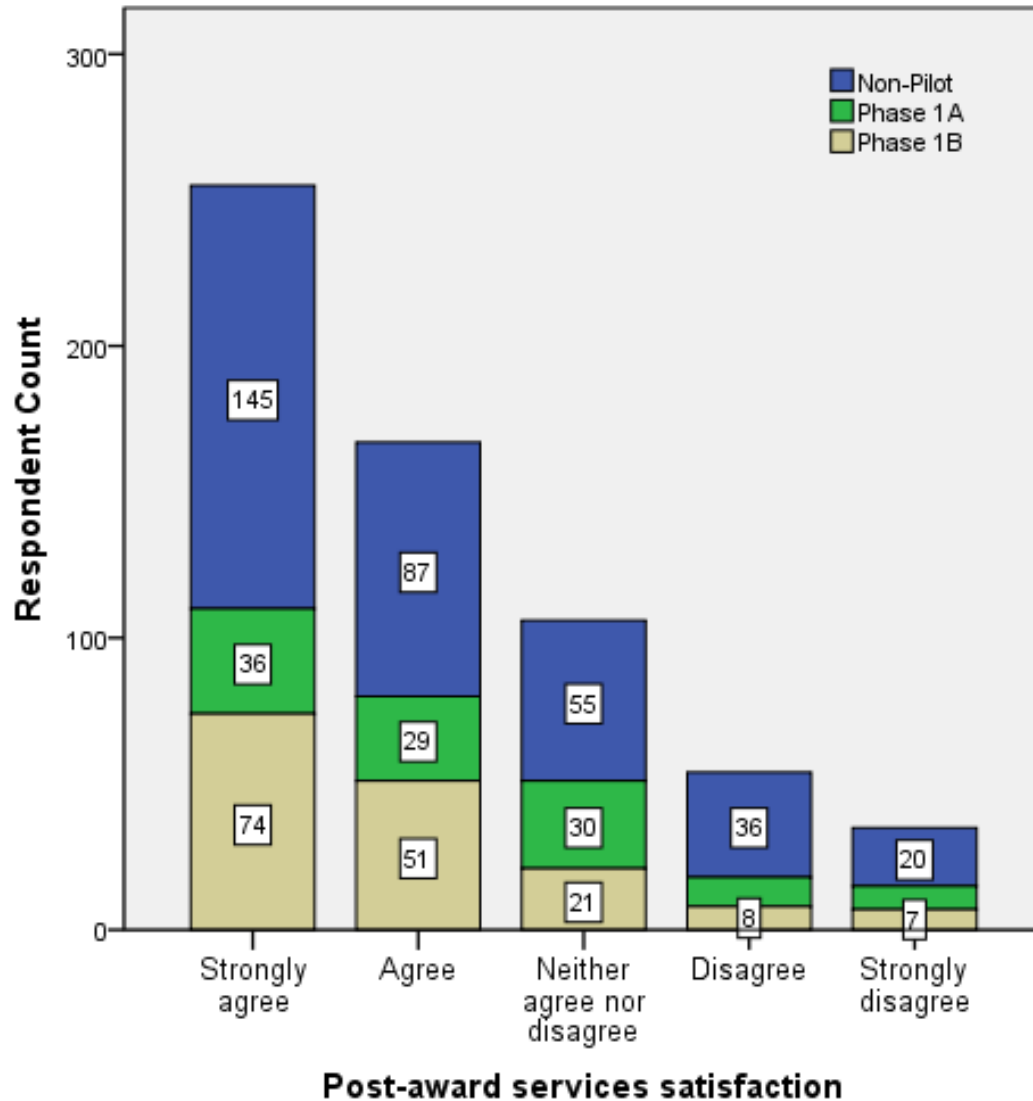
## SATISFACTION WITH PRE-AWARD SERVICES



- Respondents were asked to rate their agreement on a 5-point scale, from “Strongly Agree” to “Strongly Disagree,” with the following statement: “Overall I’m satisfied with my pre-award services.”
- Overall, 82% of respondents are satisfied with their current pre-award services (Strongly Agree or Agree).

# KEY FINDINGS-

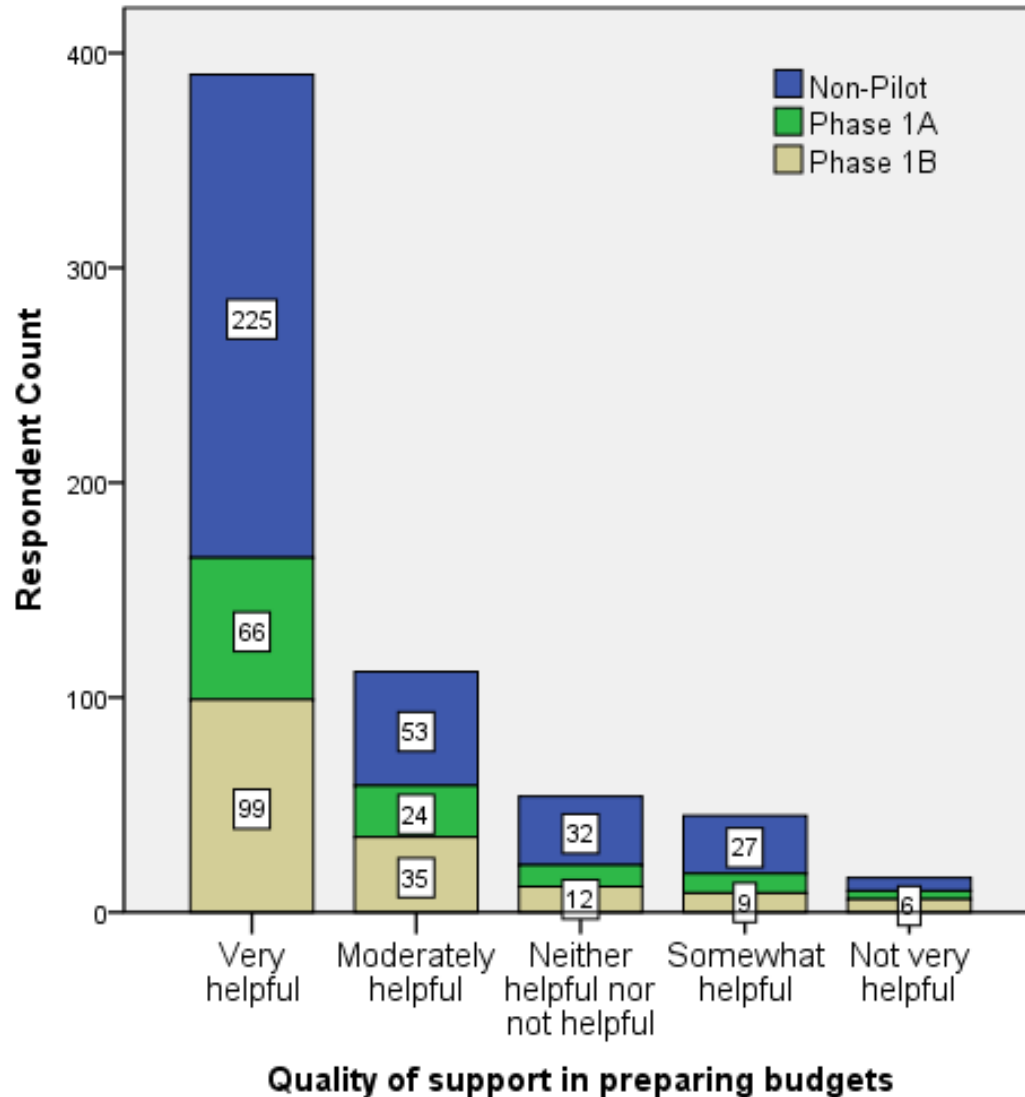
## SATISFACTION WITH *POST-AWARD* SERVICES



Overall, 68% of respondents are satisfied with their current *post-award* services (Strongly Agree or Agree).

# KEY FINDINGS-

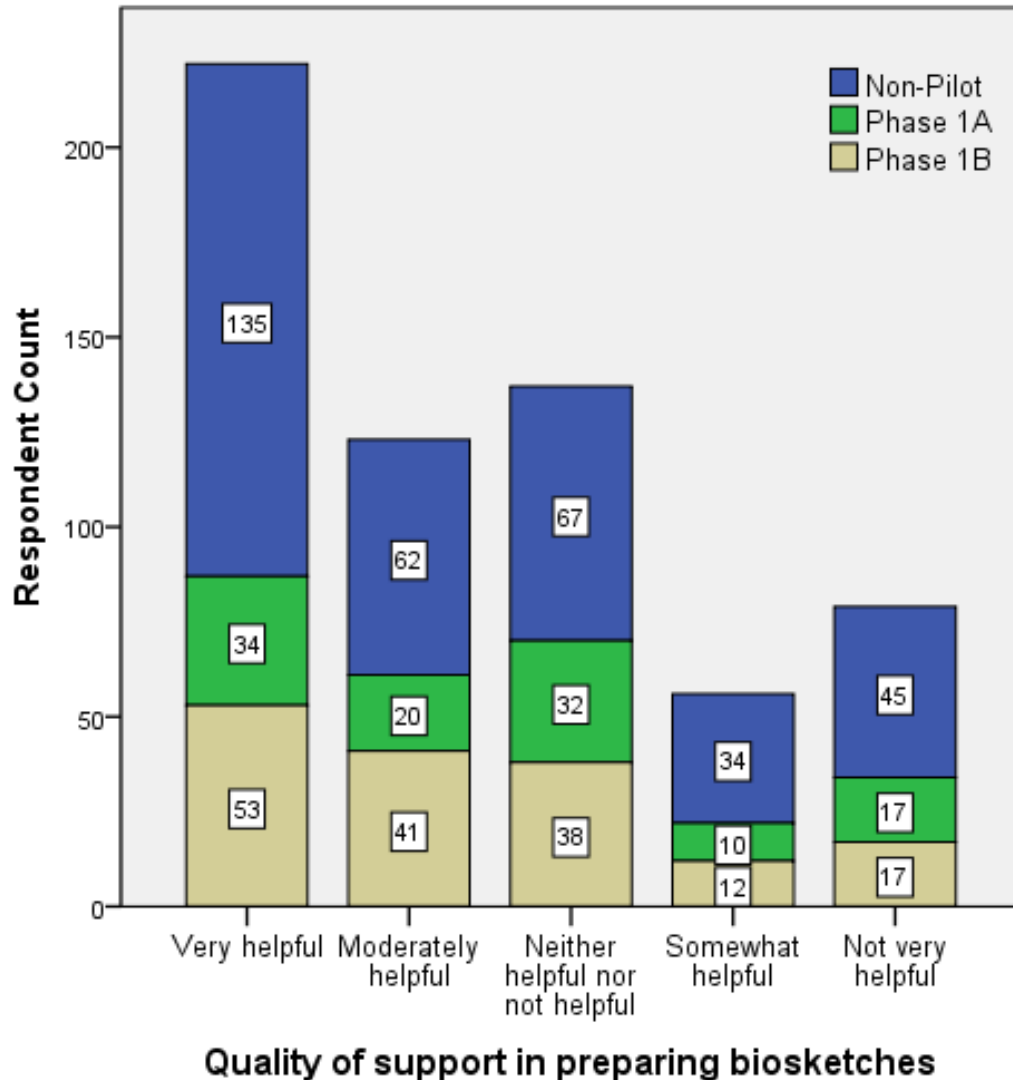
## QUALITY OF SUPPORT YOU CURRENTLY RECEIVE IN PREPARING BUDGETS:



Overall, 63% of respondents feel they receive "very helpful" support in preparing budgets.

# KEY FINDINGS-

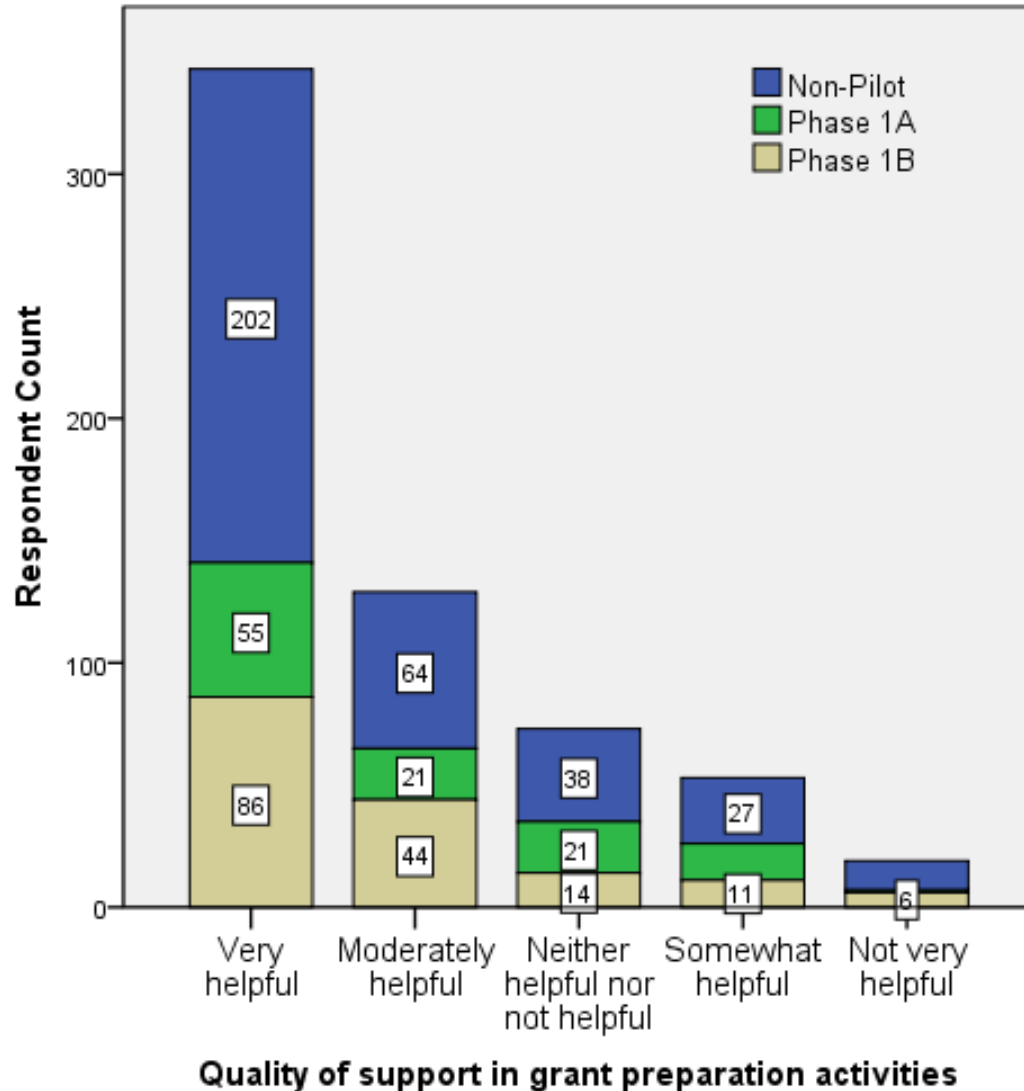
## QUALITY OF SUPPORT YOU CURRENTLY RECEIVE IN PREPARING BIOSKETCHES:



Overall, 36% of respondents feel they receive "very helpful" support in preparing biosketches.

# KEY FINDINGS-

## QUALITY OF SUPPORT YOU CURRENTLY RECEIVE IN RELATED GRANT PREPARATION ACTIVITIES:



**Overall, 56% of respondents feel they receive "very helpful" support in related grant preparation activities.**

# APPENDIX A: PERFORMANCE MEASUREMENT PLAN FOR THE RESEARCH MANAGEMENT SERVICES (RMS)

## **Phase IA and IB Evaluation measures (Six –month period)**

Baseline data will be collected before the Phase IA and IB start dates and will be compared to data collected during and after the 6-month evaluation periods. Sources of data include a combination of interviews and surveys with department managers and staff, system-derived data, and faculty questionnaire data.

- Faculty's satisfaction with pre-award services and service quality obtained by the Faculty Pre-award Baseline (and Post-test) Satisfaction Questionnaire
- Department Managers' overall satisfaction with the pre-award services obtained by Qualitative Focus Group Interviews
- Research Services Coordinators (RSC), Associate RSC, and Team Managers' experience and satisfaction with workload, structure, training program, and new processes obtained by a survey instrument
- Number of proposals developed by RSC annually and quarterly
- Accuracy of proposal complexity scoring methodology (developed by a committee of SMEs to aid in workload distribution)
- Manageable RSC to PI ratio
- Average cost per Proposal
- Quality of work measured by the accuracy of proposals (quality audits of proposals)
- Increase in participants' knowledge and skills as a result of the training program

# APPENDIX A: PERFORMANCE MEASUREMENT PLAN FOR THE RESEARCH MANAGEMENT SERVICES (RMS)- CONT.

## **On-going Training Program Evaluation**

Using the Kirkpatrick learning evaluation model.

- Participant Reaction: Participant's reaction to various components of the program such as instructor, topics, presentation style, schedule, materials, class size, other strengths/weaknesses.
- Participant Learning: Self-reported increase in level of knowledge or skills related to learning objectives of the program after the training program compared to before the program.
- Participant Behavior: Observed application of training program learning modules knowledge and or skills.
- Participant Results: Quality of work is defined by the accuracy of proposals developed by trained RSCs.

# APPENDIX A: PERFORMANCE MEASUREMENT PLAN FOR THE RESEARCH MANAGEMENT SERVICES (RMS)- CONT.

## **On-going Performance Measurement Plan**

The metrics used to measure the success of the RMS are based on the goals and objectives of the organization. Developing metrics is an on-going, iterative process.

**Goal: Customer Service: For all Principal Investigators to be provided with high quality pre-award services.**

- PI satisfaction of service quality and experience with RMS

**Goal: RMS Workload: For the organization's structure, policies, processes and information technology systems to empower personnel to deliver highly efficient and consistently reliable research administration services.**

- Number of proposals developed per RSC annually and quarterly
- Annual number of proposals submitted. Quarterly number of proposals submitted
- Number of workload scores per RSC annually
- RSC to PI ratio

**Goal: Accountability to customers**

- Departments/ORUs representation on the RMS Advisory Board
- Regular Advisory Board meetings.
- Pre-Award Activity Report submitted to Department Manager

**Goal: Service Level Agreement (SLA) Metrics**

- Cycle times: # of days to communicate proposal development task list/information to faculty by RSC, # of days for Faculty to notify RSC of intent to submit a proposal, # of days to respond to PI-initiated general inquires/communications, # of days to review, approve and sign-off on proposals (for RSC, PI, Chair by proposal types: Federal, private, clinical trials), # days to accept awards, # of days to respond to JIT and other sponsor correspondence needs

**Goal: Financial efficiency**

- Cost per proposal

# APPENDIX B: SUMMARY RESULTS OF PHASE 1A BASELINE DATA

The 12 departments participating in Phase 1A provided data in Summer 2011 about their pre-award service delivery process and structure.

	Phase 1A Baseline Avg Cost per Proposal	Phase 1A Baseline RSA Productivity Rate (Avg annual proposals per FTE)	Phase 1A Baseline RSA Proposals plus "proposal activities" Productivity Rate	Phase 1A Baseline RSA MTA Productivity Rate	Phase 1A Baseline Faculty to RSA ratio	Phase 1A Baseline Active Research Faculty to RSA ratio	Phase 1A Baseline Active PI (Faculty and non-Faculty) to RSA ratio
Average	\$ 2,425	58	75	8	53	26	46
Min	\$ 831	17	32	0	7	7	11
Max	\$ 5,820	120	140	44	217	72	151

	Baseline Phase I Number of days for internal approval routing prior to the Contracts & Grants 5- day deadline	Baseline Phase I Annual Proposal Volume
Average	7	42
Min	0	12
Max	15	75