

Maximus Higher Education

How Can Maximus Help With Your Sponsored Programs Operational Needs?

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Introductions

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Agenda

- Maximus Background Information
- Maximus Grants Management Solutions
- Overview of Research Administration Staffing Challenges
- Case Studies
- Q&A

Maximus Higher Education Practice

Organization and structure

- Established in 1985
- Headquartered in Northbrook, IL, with multiple satellite offices across the country

Consulting services

- F&A proposal assistance, Space Survey, Negotiations
- Fringe benefit rate proposals
- Reviews of service/recharge centers
- Moveable and Fixed Asset Inventory
- Sponsored Programs/Grants Management

Software Solutions

- Comprehensive Rate Information System (CRIS®) used by 250 institutions (90 of top 100)
- WebSpace® — Space Inventory and Survey System used by over 80 institutions
- Effort Reporting System®

38+

Years of Experience

30

Full-time consulting and IT staff

250+

Colleges and universities served

Maximus Grants Management Services

■ Policies and Procedures Compliance Review

- Review Pre-Award and Post Award Policies in High-Risk Areas
- Option: update existing policies and SOPs and create new ones if needed

Status	Policy	Recommended updates	Reference
<p>Policy requires updates for one or more of the following reasons: does not reference OMB, does not specify roles and responsibilities, or lacks key information.</p> <p>Policy requires updates e.g., OMB requirements, does not specify roles and responsibilities, or lacks information.</p> <p>No recommended changes</p>			
	Allowable Costs and Activities - Cost Principles Policy	Add clear definitions and examples of direct and indirect costs and those that that can be both e.g., Admin salaries. Link for "Chart of Allowable and Unallowable Costs does not work."	The OMB Uniform Guidance (§200.420 through §200.475) Cost Principles
	Capital Equipment	Develop policy on classification, safeguarding, <u>depreciating</u> and retiring equipment.	OMB 200.313 Equipment
	Cost Sharing	Missing guidance on reduction of effort. Combine with Cost Share Guidelines. Include in policy approvals for proposals <u>which</u> require too much cost sharing.	https://www.ecfr.gov/Cost Sharing
	Cost Transfers	Add the procedure for <u>processing cost</u> transfers that require multiple reviews and approvals. Assign responsibility for approving cost transfers over 90 days.	http://www.ecfr.gov/Cost Transfers

Risk Scorecard

Maximus Grants Management Services

- Organizational Review and Change Management
 - Goal Alignment vs Mission
 - Structure/Staffing levels vs Mission
 - Business Processes vs Mission
 - Technology vs Mission
 - Staff Training

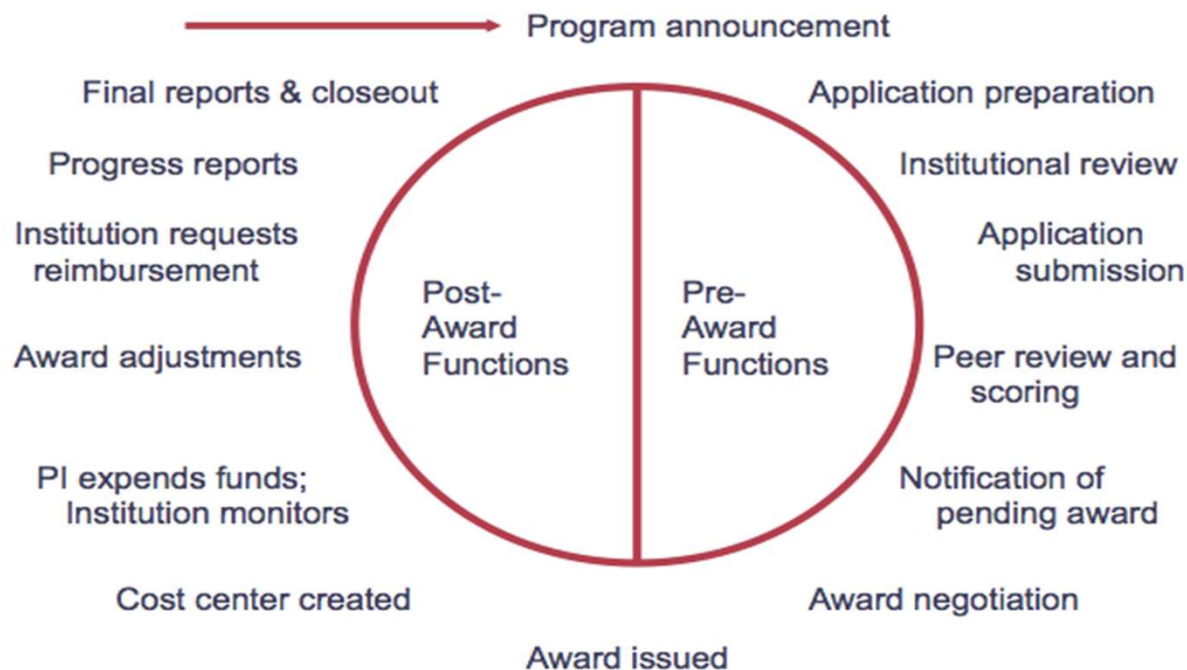
Deliverables: Final Report of Findings/Recommendations

Presentations to Senior Administration and Board of Trustees

Assistance with Implementation of Recommendations

Maximus Grants Management Services

- Interim Staffing for full cycle of Pre and Post Award Operations
 - proposal development, review, and submission
 - award management, billing/invoicing, collections
 - project closeout



Maximus Grants Management Services

- Effort Reporting Compliance and Web based Solution
 - 40 research institutions (Boston College went live in Sept)
- Live Training Solutions for Research and Sponsored Programs
- Tech Transfer, Export Control, IRB, IACUC Review
 - Interim Staffing/ Retainer
 - Review of organization, staffing, policies, and procedures

Current Research Administration Staffing Challenges

- Academic Research Institutions are facing major staffing challenges in this pre-covid work environment.
- Not all staffing challenges require a full - time solution.
- Staffing challenges can be tackled with short- term assistance from subject matter experts.

Current Research Administration Staffing Challenges

- FMLA - Medical leave
 - Short term
 - Long term
- Understaffing
 - Hiring
- Turnovers
 - Retention
- High peak proposal deadlines
- High peak financial reporting deadlines

Case Studies

Demonstration of how Maximus assisted institutions by providing grants management solutions

Case Study #1

Need: Turnover and Understaffing in Pre award and Post Award areas – backlog

Solution: Implemented PI Transfers and follow ups (NIH); focal person for institution; Backlog for expired projects; Close Outs; FFR's and accounts receivable and collections

Case Study #2

Need: Turnover in Preaward area – backlog of notice of award

Solution: Sole Contact for Notice of Award and Setup in Grants Mgmt system; Transitioned to Post Award

Case Study #3 - Sponsored Program Assessment

The Objectives:

- Make best practice recommendations to enhance the existing infrastructure.
- Ensure effective compliance with regulatory requirements.
- Enhance customer service support to the researchers.

The Focus:

- *Organizational Structure/Personnel*
- *Compliance - Policies and Procedures*
- *Technology*

Scope of Work

Organization/ People	Policies and Procedures/Compliance	Technology
<ul style="list-style-type: none"> • Organizational structure and reporting relationships. • Job descriptions including reporting relationships. • Roles and responsibilities and volume of workload for each of the functions. • Training needs for personnel. 	<ul style="list-style-type: none"> • Institutional Policies and Procedures. • Office of Sponsored Programs (OSP) and Sponsored Programs Accounting (SPA) Policies and Procedures with respect to OMB Uniform Guidance. • Forms and Templates to assist researchers with pursuing and applying for funding. 	<ul style="list-style-type: none"> • The InfoEd system and documentation. • The Workday system and documentation. • Website and Intranet including FAQs and templates. • Financial reporting including data and metrics.

Scope of Work

Interviews	Document Review
<ul style="list-style-type: none">• University Leadership, Office of General Counsel.• Deans, Chairs, Faculty and Administrators from the colleges.• Central Administrators in the Pre- and Post-Award Offices.• Personnel in Compliance, Finance, Procurement, Human Resources, Information Technology, Foundation and Corporate Philanthropy, and Corporate Relations.	<ul style="list-style-type: none">• Strategic plans and growth opportunities.• Job descriptions including reporting relationships.• Business processes and workflows• Policies and procedures.• Training programs for personnel.

Case Study #4 - Sponsored Program Assessment

Project Deliverables

- Build the narrative for the business process
 - PI portal website
 - Establish common definitions
- Document Roles & Responsibilities
 - Central offices
 - Colleges and schools
- Workflow/ Flowcharts
 - Update InfoEd flowcharts for Drexel
 - Review with Key Stakeholders
- Training

Case Study #2 – Process Narrative

Proposal Preparation

Principal Investigators (PI) and Research Administrators (Admin) will create a proposal record in InfoEd. The proposal must meet the requirements outlined in the application instructions included applicable rules and regulations. The Office of Sponsored Programs uses this information to track upcoming proposals based on deadlines entered in the system and balance workload appropriately among staff. OSP will determine institutional eligibility to submit based on guidance in the solicitation.

PIs and Admins (“designees”) access InfoEd using their Single Sign-on (SSO) credentials. PI information is automatically populated in InfoEd based on the SSO credentials used. For non-federal funding, OSP determines individual and institutional eligibility to submit based on guidance in the solicitation.

The PI will be responsible for initiating the proposal in InfoEd. The PI will enter basic information and then answer some questions on the pre-award checklist. Once the checklist is completed, this will notify other units as necessary e.g., OGC, Risk Management. Then the Admin will have access to enter all other information into InfoEd. PIs and/or Admins will start by gathering the information below. The PI can “Create a New Proposal” or “Copy from an existing proposal”. The PI can select from SPIN, Grants.gov or setup a proposal manually. The following information must be completed for each new proposal.

1. PI name and Department
2. Proposal Type
3. Sponsor
4. Solicitation
5. Proposal Title
6. Project Start and End dates
7. Deadline Date

Case Study #4 - RACI

PROPOSAL DEVELOPMENT & SUBMISSION																	
LEGEND																	
<p>R - Responsible: Those who do the work to complete the task. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required</p> <p>A - Accountable (also approver or final approving authority): The one ultimately answerable for the correct and thorough completion of the deliverable or task, the one who ensures the prerequisites of the task are met. In other words, an accountable must sign off (approve) work that responsible provides. There should be only one accountable specified for each task or deliverable.</p> <p>C - Consulted: Those whose opinions are sought, typically subject matter experts and with whom there is two-way communication.</p> <p>I - Informed: Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.</p>																	
Tasks	ORI-EV P	OSP- Exec Director	Compliance (includes IRB, IBC and IACUC)	OPS/ Finance- Director	Strategic Initiatives - AVP	Applied Innovation- VP	PI	College - ADR	Dept Admin	FCR- Exec Director	RAS- Exec Director	Privacy - Director	Tax- Director	Procur- ement	OGC- Assoc General Counsel	Risk Mgmt.	HR- Bus Partner
Funding Opportunities																	
Provide InfoED SPIN database for identifying opportunities	A						I	R	I								
Maintain listing of internal funding programs- website	A						I	R	I								
Provide philanthropic and foundation funding opportunities to faculty.							I			R/A							
Compile resources to facilitate grant writing and proposal development	A						I	R	I								
Preparation																	
Maintain InfoEd Sponsored Programs System	R	A															
Institutional authority for acceptability of sponsor requirements	R	A	C					R	R						C	C	
Prepare proposal that meets requirements outlined in the application instructions, including applicable rules and regulations.	I	A					R	C	A	C							
Prepare scientific/ technical narrative: Review Solicitation Rqts	I	C					R		A								
Determine whether award is a gift or grant		A					C		I	C	R		C				
Create and populate InfoEd record.							A		R								
Provide unit-level information needed for completion of sponsor-required certifications and assurances		I					A		R					C	C	C	
Verify compliance with and provide signed certifications and assurances		R					A		C		C	C	C	C	C	C	

Case Study #5 Training

Training modules were developed for the following topics:

- Research Administration
- Research Administration Compliance
- Proposals
- Non-Financial Post Award Management
- Award Setup
- Financial Post Award Management
- Contracts and Agreements

Case Study #5 Training

Award Setup - Defines and details the award setup process and procedures for the proper management of funds secured from sponsors.

Advance Accounts

- Key elements of the Notice of Award
- Award process @ Your School
- Compliance documentation (IACUC, IRB approvals)
- Developing a plan to manage the award
- Key Sponsor Requirements- NIH, NSF, NASA, Gates Foundation, RWJF, etc.

Grants and Contracts - Explores the agreement types executed in sponsored programs and defines the different obligations that each entail.

- Grants
- Contracts
- Sponsored Research Agreements
- Subawards and subcontracts (including subrecipient monitoring)
- Non-funded agreements
- Data use agreements
- Clinical Trials
- Material Transfer Agreements, Service agreements, Consulting agreements

Conclusion

- Maximus Consultants bring a wealth of knowledge and experience to meet critical short term or long term staffing needs
- Maximus Consultants support provide valuable extension to your current team, quickly integrate to help continuity, maintain compliance and relieve to the current organizational structure.
- For current Maximus clients, it is easy to add on services through existing contracts to expedite access to meet your needs.



Questions

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THANK YOU FOR ATTENDING!