

**APPEAL OF POSITION CLASSIFICATION FOR EMPLOYEES COVERED  
BY UWOSA COLLECTIVE AGREEMENT  
(Reference Collective Agreement Article 44)  
Attention: Job Evaluation Appeals Committee**

**(A) Contact Information:**

Name of person requesting appeal: Patt Brocksom  
Title: Records Coordinator  
Phone: 84509  
Email: brocksom@uwo.ca  
Department: Research Development & Services

**(B) Position Information:**

Current Incumbent: Patt Brocksom  
Current Classification: SG10  
Classification Being Appealed: SG11  
Date Evaluation Results Letter Received: Sept 16, 2009

**(C) Information Required For Job Evaluation Appeals Committee**

Reason for the appeal:

The reevaluation of this role has been unduly postponed for 6 years, due to changes in senior office personnel, as well as, the impending implementation of the new business system. Throughout this time, this position has assumed an increasing number of additional responsibilities, albeit informally, due to staffing and structural changes within the office. Many of these added tasks involve a high-level of judgment in decision-making to ensure compliance with both institutional policies and over hundreds of granting agency policies. The breadth of knowledge required on current business process, granting agency and university policies, to ensure that the resulting outcomes of these decisions are well-informed and reflective of good business practice is essential to this role, and has been well evidenced by the incumbent. She has also taken on the responsibility to ensure proper stewardship takes place following the activation of grant accounts to maintain compliance with agency requirements. This may not have been properly reflected on the PDQ.

This role has been self directed for the past few years. In fact, the role has also supervised many work-study students and monitored business operations in adherence to office procedures; and cannot be mistaken for an assistive role in any manner. The incumbent has consistently demonstrated strong analytical skills and initiative to ensure the integrity of data in the office database and files. Based on the history of this role, the Director of the unit had been expecting a PDG to be completed for this role.

Supporting Information (Optional):

- The key responsibilities of this role are: to approve and authorize activation of research accounts; to manage the accuracy of the official University research records; to facilitate the flow of information between research services and all other units; and to develop and produce statistical reports on the success of the research enterprise at Western
- Accountable for the integrity of the data within the University Research Administration System, and utilizing high level of judgment to determine the appropriateness of the release of funds to all principal investigators based on external sponsor compliance requirements and risk mitigation.

(D) **Approvals:**

Signature of Person Appealing: *Pat Buckner* Date: *Sept 25, 2009*

***The appellant shall send one copy of the material to Human Resources and one copy to JEAC c/o UWOSA.***

2002/05/27

**UWOSA JOB EVALUATION RECORDING FORM**

**Office Support Plan**

(APPEAL)

**Dept:** Research Development and Services  
**Dept. Num.** 620150  
**Incumbent:** Patt Brocksom  
**Citte Mem.Present:** UWOSA: L. Johnson, J. Millette, M. Parker,  
 ADMIN: L. Brock, C. Bumbacco, C. Zrini

**Job Title:** Grants and Contracts Assist  
**Eval. Date:** November 11, 2009

I	FACTOR	COMMENTS	SUB FACT	DEGREE	PTS	Profile		
						.	=	+
	Job Knowledge	University degree Needs experience in university environment gained through progressive appointments	Educ	4	165			
			Exper.	G				
II	Initiative	Independent work following policies and guidelines		4	55			
III	Complexity/Judgement	Variety of activities		4	35			
IV	Contacts	Exchange of information.. internal primarily, some external		3	45			
V	Errors	Delay possible, visible outside if error		3	45			
VI	Supervision of Others	Work study student	Char.	2	10			
			Scope	A				
VII	Effort/Demands	Strict deadlines, cyclical		2	30			
VIII	Physical Environment	Normal office		1	10			

CLASSIFICATION ASSIGNED

Total Pts: 395

Group: \_\_\_\_\_ Admin. Support

Level: \_\_\_\_\_ Salary Grade 11

Co-Chair Signatures: UWOSA: Mike Parker \_\_\_\_\_

ADMIN: Connie Zrini \_\_\_\_\_

**POSITION DESCRIPTION  
QUESTIONNAIRE**

**THE UNIVERSITY OF WESTERN ONTARIO  
EMPLOYEE RELATIONS**

U.W.O. ID NUMBER

PRESENT INCUMBENT

POSITION IDENTIFICATION

020980

SURNAME

INITIALS

DEPT. NO

P.S. JOB CODE

Brocksom

P.R.

620150  
620100

34611

**BASIC POSITION INFORMATION**

DEPT. NAME Research Western

SECTION NAME Research Development & Services

LOCATION 5150 Support Services Bldg

WORK WEEK HRS. 35

SUPERVISOR SURNAME Sinai INITIAL D. PHONE 83406

**FOR SALARY ADMINISTRATION USE**

CLASS'N GRANTS + CONTRACTS ASST

CLASS'D 09109 EFFECT 09109 (SG "11")  
Date Date

ANALYST Shup

- 1) PLEASE LIST AND DESCRIBE YOUR MAJOR DUTIES WITH AN APPROXIMATE ANNUAL PERCENTAGE OF TIME SPENT ON EACH. USE SPECIFIC TERMINOLOGY PERTINENT TO THIS POSITION; PROVIDE EXAMPLES (E.G. TESTS, PROCEDURES, ETC.) AND CLARIFY YOUR INVOLVEMENT IN EACH DUTY (RE. SUPERVISE IT, DO IT, PARTICIPATE IN IT, ETC.)

NO.	MAJOR DUTIES	%
-----	--------------	---

This role is accountable for the analysis, acceptance, activation and continued maintenance of funded research grants and contracts in the Peoplesoft Grants Management System. The award details drive the Peoplesoft Financial System thus a high degree of accuracy is required to verify all necessary documentation prior to the activation of research accounts in accordance with the guidelines of external sponsors and University policies. The role is responsible to "Accept" all account set-ups "Moved" through the Grants Management System by other members of the unit. Any identified errors are reported back to the Managers for correction and/or the identification of additional training requirements. (70%)

The incumbent will also provide statistical details of the research enterprise, to proactively meet the needs of the research community by designing queries and reports. (20%)

This role will manage the laserfiche electronic document management system and will be responsible for the analysis, recording and maintenance of electronic documents contained therein. This system will house the official documents related to the research enterprise. (28%)

This position is critical to the Risk Management process within the unit. This role will provide assurance that all requirements are in place (i.e. certification, contracts, agreements, etc) prior to accounts being activated. Official documentation is recorded, filed and securely available for informational and audit purposes. Accurate recording of all aspects of research funding; i.e requests for funding and funding received; for statistical and planning purposes.

This role is responsible for the following:

New Research Applications processed annually	1,800 – 2,000+
Active Research Records	5500+
Active Funding Agencies on file	600+
Programs actively Providing Funding	1120+
Active Investigators on file	1,600 +

NO.	OTHER DUTIES (less than 10%)
-----	------------------------------

This role will provide back-up support to the Data & Systems Specialist to ensure that all Sponsor/Program/Competition

AUG 07 2009

data within the PeopleSoft Grants Management module is up to date and accurate. This role will also provide back up on peoplesoft security, access into the Grants Management system and confirmation of eligibility.

The incumbent is a member of the Systems Advisory Team (consisting of the Peoplesoft Functional Specialist, Data & Systems Specialist, Communications and Training Coordinator).

This role will liaise with external sponsors regarding confirmation of applications received and continued eligibility of currently funded investigators.

2) PLEASE COMPLETE THE FOLLOWING TABLE CONCERNING STAFF MEMBERS WHO REPORT **DIRECTLY AND FORMALLY** TO YOU.

Classification/Rank (E.g. Clerk I)	RF/RP Pos'n No.	For CW or TM Staff-employed		Responsible for (e.g. filing records...)
		From (month)	To (month)	
Work Study Student				Data entry, filing, archiving

3) PLEASE CHECK THE SUPERVISORY DUTIES WHICH YOU PERFORM **REGULARLY**.

- N/a
- Training and guidance for new employees
  - Work distribution and/or verification of results
  - Performance review and salary recommendations
  - Hiring and firing; please describe the degree of your involvement:

4. IF YOU **COMPOSE** (originate) WRITTEN MATERIAL, PLEASE COMPLETE THE FOLLOWING TABLE:

Type of Composition	Method of Composition	Brief Description of Content
Correspondence: <input checked="" type="checkbox"/>	X_____ Complete Composition	Standard e-mails, letters requesting info or clarifying issues
	_____ Partial composition with general direction (verbal or written)	
	X_____ Prescribed format	Forms completion for internal or external use; template email
Reports: <input checked="" type="checkbox"/>	x_____ Complete composition	Queries for internal or external use on research results, statistical analysis
	_____ Partial composition ...	
	_____ Prescribed format	
Other: <input type="checkbox"/>	_____ Complete composition	
	_____ Partial composition ...	
	_____ Prescribed format	

5) WHAT ARE THE **MINIMUM** SKILLS, EDUCATION, SPECIAL TRAINING AND/OR EXPERIENCE **REQUIRED** TO PERFORM SUCCESSFULLY THE DUTIES OF THIS POSITION?

The Incumbent must be a university graduate with a focus on records management and business administrative studies. In addition, the individual should have three to five years office work experience preferably in a database capacity.

The Incumbent must possess excellent oral and written communication, interpersonal and organizational skills and must

be able to establish positive and proactive interactions with administrative staff and faculty. A solid understanding of the University and wider affiliate community, i.e. RRI, LHSC, is required.

General skill requirements:

- Excellent organization and time management skills
- Strong analytical and problem solving skills leading to decision making
- Excellent data entry and retrieval skills
- Knowledge of report design
- Accuracy and attention to detail
- Strong communication skills
- Ability to work in interruptive environment
- Ability to process large volumes within tight time constraints
- Mature and astute judgment
- Diplomacy and tact

Specialized Knowledge:

- Understanding of the University Environment including structure, hierarchy, priorities, relationships
- Research Environment (Funding, compliance standards, risk management practices, legal regulations)
- Government legislation as appropriate and required
- Records Management Principles and Practices
- Sponsor Agency guidelines (Federal, Provincial, Foreign Government, Foundations, Associations, Corporations)
- Records and file indexing and structure
- Database architecture
- Report writing
- Peoplesoft systems
- Laserfiche electronic document management system
- Microsoft products

---

PLEASE DESCRIBE THE **NATURE AND FREQUENCY** OF THE SUPERVISION YOU RECEIVE.

It is expected that the incumbent will work with no direct supervision and be able to determine when issues or problems require advice or resolution from another level. Due to the nature of the work it is anticipated that there would be regular interaction with the System & Data Specialist, the Pre-Awards Grant Facilitator and the Contract Research Team.

---

7) WHAT TYPES OF PROBLEMS OR INQUIRIES ARE YOU EXPECTED TO DEAL WITH ON YOUR OWN?

The Incumbent is expected to respond to any inquires on the status of existing research accounts or pending applications for funding. The Incumbent will answer questions on the eligibility of faculty members or departments to hold research accounts. The Incumbent will process requests for data from external or internal clients, and determine if request is valid prior to proceeding. The Incumbent will resolve problems regarding access to and use of the ROLA system.

---

8) WHAT TYPES OF PROBLEMS OR INQUIRIES MUST BE REFERRED TO ANOTHER SOURCE FOR SOLUTION?

Non-standard inquiries regarding internal research policies, overhead exemptions, and significant changes to existing accounts must be referred to the appropriate manager.

Enquiries regarding account expenditures are to be referred to Research Accounting.

---

9) WHAT ACTIVITIES DO YOU PLAN OR ORGANIZE? PLEASE INDICATE THE LENGTH OF TIME INVOLVED (e.g. daily planning of assigned work, monthly ...)

---

Daily planning and prioritizing of own workload includes:

- Monitoring of workflow items within the Peoplesoft Grants Management System to ensure timely activation of research accounts.
- Follow up on outstanding items from other units to ensure requirements are met prior to activating new accounts.
- Monitoring of outstanding proposals in the Grants System to maintain the integrity of the data.
- Classification and indexing of document types for the Laserfiche Electronic Document Management System
- Preparation of documents for filing

10) PLEASE COMPLETE THE FOLLOWING TABLE CONCERNING YOUR **MOST IMPORTANT** CONTACTS (in person, by telephone, or in writing). PLEASE EXCLUDE CONTACTS WITH YOUR SUPERVISOR AND YOUR SUBORDINATES. INCLUDE GROUPS AS WELL AS INDIVIDUALS.

CONTACT'S TITLE (e.g. Purchasing Agents)	LOCATION (inside outside) dept dept	FREQUENCY (dly wkly mthly)	PURPOSE OF THE COMMUNICATION (e.g. to provide information concerning...)
Research Accounting (Financial Officers and Assistants)	outside dept.	Daily	account set up and updates
Departmental Contacts (Administrative Staff)	outside dept.	Daily	report requests; status of accounts
Faculty Members	outside dept.	As req'd	assistance with ROLA, requirements for the release of funds
Research Western staff (all levels)	inside dept.	Daily	processes, new information, status of applications
External Agencies	outside	As req'd	eligibility inquires, award inquiries

THIS COMPLETED QUESTIONNAIRE IS AN ACCURATE DESCRIPTION OF THE WORK BEING PERFORMED.

Staff Member:

Present Classification SG 10 Signature [Signature] Date Aug 4/09

Supervisor:

Signature [Signature] Date Aug 4/09