

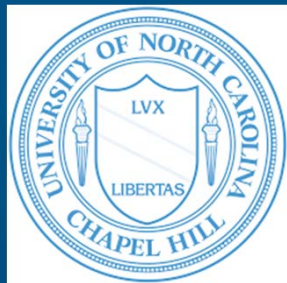
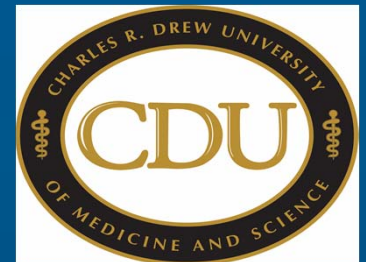


# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

## Faculty-Administrator Collaboration Team(FACT)

FDP Meeting – Jan 2019





# Agenda for FACT Session

- Introductions – 5 min
- Mission and Strategic Issues – 5 min
- Review Year One Projects– 15 min
- Introduce Year Two Projects– 15 min
- Year Two Goals – 5 min
- Open Discussion – 30 min



# Eleven Participating Institutions

FDP Member Organization	Faculty Rep	Admin Rep
Case Western Reserve	Harihara Baskaran	Stephanie Endy
Charles R. Drew University of Medicine and Science	Eva McGhee	Perrilla Johnson-Woodard
College of Charleston	Kelly Shaver	Susan Anderson
Duke University	Adrian Hernandez	Jim Luther
Northeastern University	David Budil	Joan Cyr
Michigan State University	Laura McCabe	JR Haywood
Michigan Tech University	Larry Sutter/Jason Carter	<b><u>Dave Reed</u></b>
U Arkansas Medical Sciences	Steven Post	Suzanne Alstadt
U of North Carolina Chapel Hill	Lori Carter-Edwards	Robin Cyr
University of Texas at Austin	Dean Appling	Renee Gonzales/Courtney Swaney
University of Washington	<b><u>Mark Haselkorn</u></b>	Lynette Arias/Rick Fenger



# FACT Mission and Strategic Issues

- Bring together Faculty and Administrators for dialogue and joint efforts to enhance collaboration for successful institutional and national research strategies, operations and tactics

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- What is a successful institutional research enterprise?
- What collaborative efforts will lead to enhanced institutional success?
- Do successful institutional research programs equate to a successful national research program?



# FACT Initial Thrusts

- Explore the varieties of research administration structures that exist among FDP member organizations
  - *Identify how do faculty and administrators interact on an operational and strategic basis.*
- Collect and inventory challenges and successes in the faculty-administrator relationship
  - *Prioritize key opportunities for analysis and enhancement.*
- Provide recommendations for ways to improve the faculty-administrator relationship
  - *Re-think how we collaboratively do the business of research and research administration.*



# FACT Timeline

Session/Discussion	Date	Session purpose	# inst.
Faculty Engagement Session discussion & Follow up call	9/8/16 9/22/16	<ul style="list-style-type: none"><li>Initial “Faculty Engagement” working group goal &amp; session objectives</li></ul>	0
FACT Session #1	May 2017	<ul style="list-style-type: none"><li>Introduced topic &amp; idea</li><li>3 Faculty/Admin pairs shared general info and structures for their institutions</li><li>Proposed idea and had open discussion</li></ul>	3
FACT Session #2	Sept 2017	<ul style="list-style-type: none"><li>Continued discussion re: idea of this group</li><li>Northeastern shared info &amp; joined group</li></ul>	4
FACT Session #3	Jan 2018	<ul style="list-style-type: none"><li>Formulated written charter</li><li>Added 3 institutions</li><li>Started 2 subprojects: Qualitative &amp; Quantitative</li></ul>	7
FACT Session #4	May 2018	<ul style="list-style-type: none"><li>Shared progress of subprojects &amp; added 2 institutions</li><li>Open discussion</li></ul>	9
FACT Session #5	Sept 2018	<ul style="list-style-type: none"><li>Sharing further progress on subprojects</li><li>Recommendations for next steps</li></ul>	11





# Overview in NCURA Magazine



## Enhancing Faculty-Administrator Collaboration to Achieve Institutional Research Goals

By Mark Haselkorn

The Federal Demonstration Partnership (FDP) is a cooperative effort among 10 federal agencies and 154 universities and nonprofits with the aim of improving the national research enterprise. Over the past two years, FDP has fostered a unique initiative that is working to better understand and enhance the role of faculty-administrator collaboration in achieving a successful institutional research program. This initiative, the Faculty Administrator Collaboration Team (FACT), is leveraging FDP's unique membership and mission to achieve this goal. FDP is one of the few organizations where both faculty and administrators attend together as representatives of their organizations, but even at FDP these two groups rarely connect systematically. FACT brings together faculty and administrator teams to explore their current relationships and collaborative efforts in support of the research goals of their individual organizations, and the national research enterprise overall.

Current FACT institutions provide a diverse mix of academic research enterprises. The eleven participating institutions are: Case Western Reserve University, Charles R. Drew University of Medicine and Science, College of Charleston, Duke University, Northeastern University, Michigan State University, Michigan Technological University, University of Arkansas

for Medical Sciences, University of North Carolina at Chapel Hill, University of Texas at Austin, and the University of Washington. Each FACT institutional member is represented by a faculty and administrator "pair."

FACT teams are studying the wide varieties of structures by which faculty and administration interact on both an operational and strategic

level. Why do these structures exist and how do they affect the success of institutional research programs? Are they primarily historical structures that may no longer provide optimal support, or are they more sophisticated and creative structures that complement and take full advantage of dynamic institutional and national goals, organizations, and cultures?

FACT began with preliminary quantitative and qualitative studies of institutional research structures and their impact on the quality of faculty-administrator collaboration. Qualitative interviews and quantitative data-gathering were used to explore institutional factors such as:

- Research strategies, goals and priorities
- Policies and practices
- Measures of success
- Pre award development
- Post award management
- Relation between proposal output and faculty-administrator size and makeup

Early findings and impressions include:

- Institutional factors are widely diverse
- Meaningful, comparable quantitative data are extremely challenging to gather
- Both faculty and administrators feel disconnected from their institution's research priorities and goals
- Both faculty and administrators desire more training, although they learn about policies and practices in different ways
- Faculty and administrators differ on perceptions of how their institution measures success of the research program, with



**"Meaningful, comparable quantitative data are extremely challenging to gather."**

researchers especially unclear

- Proposal submission is a primary area of faculty-administrator collaboration; identification of research opportunities less so
- Faculty are less focused on post award management than administrators
- Faculty tend to see themselves as doing, and want more help managing
- There is great variability in perceptions of faculty-administrator collaboration, ranging from excellent to poor
- Administrators consistently see faculty-administrator collaboration as absolutely critical; faculty consider collaboration important, but less so

FACT will be following up this preliminary work with a more in-depth analysis of the faculty-administrator collaborative process of grant development from inception to submission. We will continue with further analysis of post-

submission collaborative processes in a second phase. This will include how faculty and administrator collaboration impacts related FDP issues, such as reducing administrative burden, faculty workload, and regulatory barriers to research. There will be a preliminary FACT report to FDP in December 2018 and a final report December 2019.

The success of the national research effort depends upon the success of the various institutional research programs. FACT is bringing together faculty and administrators for dialogue and joint efforts to enhance their collaboration, which is essential to that success. ■



Mark Haselkorn, PhD is Professor, Human Centered Design and Engineering at the University of Washington. He serves as co-chair of the FDP FACT subcommittee. He can be reached at [markh@uw.edu](mailto:markh@uw.edu)

## Navigating Regulatory Change Optimizing F&A Reimbursement



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# Year One Projects

- Two companion studies
  - One Qualitative/One Quantitative
- What are faculty/staff perceptions on institutional:
  - Research strategies, goals and priorities
  - Policies and practices
  - Measures of success
  - Pre-award development
  - Post-award management
  - Quality of Faculty-Administrator collaboration
- What can quantitative measures of institutional research environments tell us about these perceptions?





# 2018 Quantitative Assessment

- Purpose Statement

- Comparative quantitative analysis of institutional research structures and related data can shine a light on how faculty-administrator collaborations work at an institution

- Goal

- Assess data across a range of FDP member organizations of various types and sizes
- Determine if review & analysis of certain targeted sets of data can inform recommendations or additional projects to enhance faculty and administrator collaboration, and
- Determine whether such benchmarking could provide context for FDP Faculty Workload Survey results, both FDP wide and at the institutional level



# 2018 Quantitative Assessment

- Lessons learned:
  - Data requirements need clearer definitions so information is more complete and comparable among institutions
  - Some variables reflect institutional characteristics (centralized vs decentralized) that may correlate with results from the Faculty Workload Survey
  - Some variables are better suited to benchmarking (comparison to a best practice or healthy situation) than others



# 2018 Qualitative Assessment

Number of interviews	25
Number of researchers (all faculty, but need not be)	8
Number of administrators	14
Number of people with both roles	3
Number of institutions covered	6
Gender preference distribution	F=14; M=11
Years in profession:	<10=4; 10-15=13; 16-20=2; 21-25=2; >25=4
Org. home:	Dept.=13; Central=7; College=2; Inst=1; Dep/Inst=2



# Initial Qualitative Impressions

## Both Faculty and Administrators:

- Feel disconnected from institutional research priorities and strategies
- Desire more training
- Learn about policies and practices in different ways
- Feel that there is insufficient internal institutional support
- Have differing perceptions of how their institution measures success of the research program
- Identify pre-award development as a primary area of collaboration

## Faculty:

- Are less focused on post-award management than administrators
- See themselves as *doing* and want more help *managing*

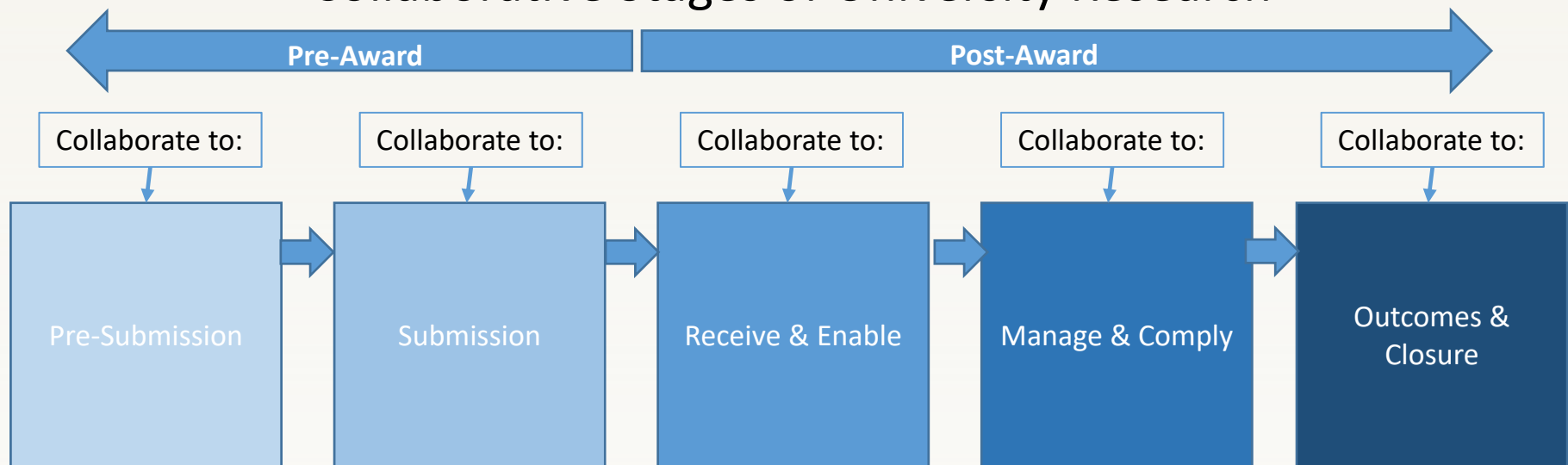
## Administrators:

- See F-A collaboration as critical; faculty less so



# 2019 Project Plans

## Collaborative Stages of University Research



What are the collaborative components within each stage?

Who are the stakeholders in each collaborative component?

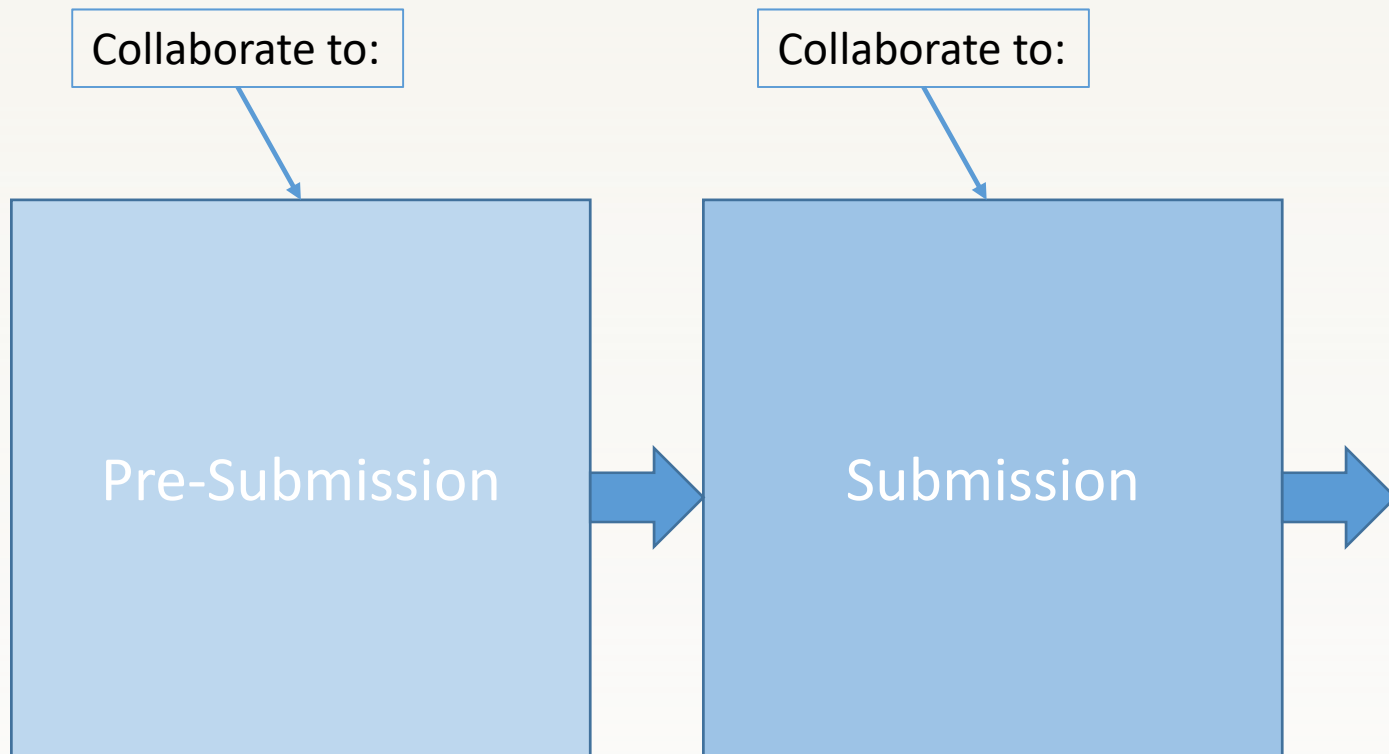
Who is the primary “owner” of each stage?





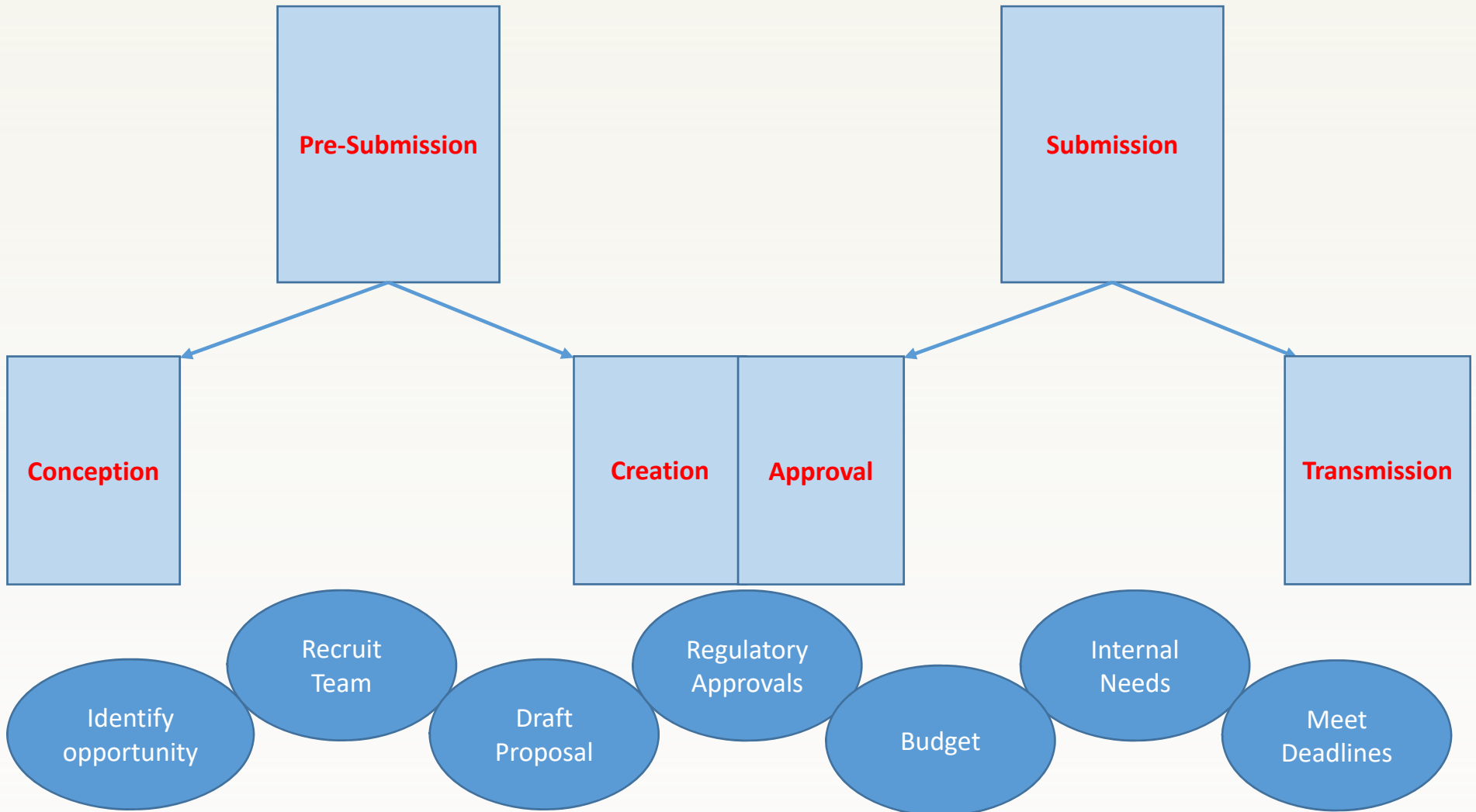
# 2019 Project Plans

Start with a focus on pre-award phases





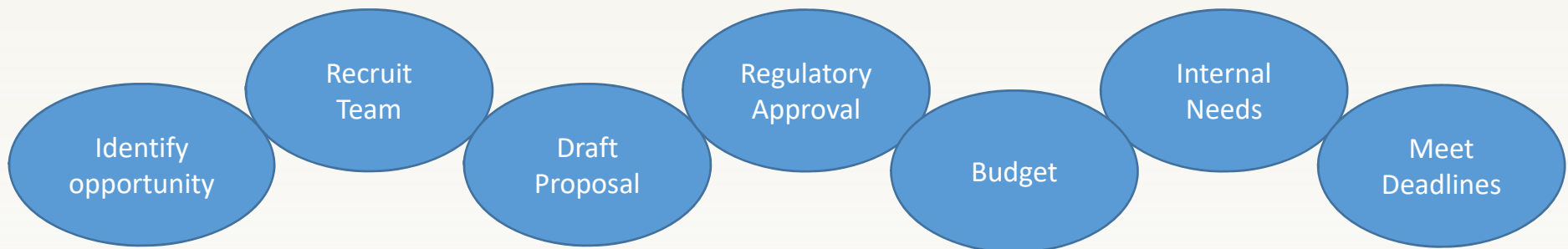
# 2019 Project Plans





# 2019 Project Plans

How collaborative are these processes?



## Overarching Process Questions

1. What activities fall within each process?
2. Who collaborates in these activities?
3. When does each activity begin and end?
4. How much effort is involved in each activity?
5. How automated is the activity?



# 2019 Project Plans

How collaborative are these processes?

Regulatory  
Approvals

Where do institutional approvals come in the process and who handles them?

Internal  
Needs

How are institutional commitments for research projects handled?

Meet  
Deadlines

How are institutional deadlines set and enforced?



# Regulatory Approvals

Where do institutional approvals come in the process and who handles it?

1. What, if any, regulatory approvals are required at your institution prior to submitting a proposal?
2. Who identifies that an approval is required?
3. How are requests for approvals submitted, and by whom?
4. How long does the approval process take?





# Internal Needs

How are institutional commitments for research projects handled?

1. Who identifies the need? (funding agency i.e., required, PI, Dept Chair, Program leader, other)
2. Once identified, how does request get submitted (by whom-to whom)?
3. Who has final “approval” authority at your institution?
4. How long does approval process take?



# Meet Deadlines

How are institutional deadlines set and enforced?

1. What internal deadlines does your institutional require?
2. To what extent are internal deadlines set by “policies” and/or “procedures”?
3. To what extent are internal deadlines enforced? Who enforces them?
4. Are “exceptions” allowed? If so what is the process for requesting an exception?



# Regulatory Approvals UAMS

How collaborative are these processes at UAMS?

Collaborators: PI, Dept Chairs, Deans, COI committee, COI staff

1. What, if any, regulatory approvals are required at your institution prior to submitting a proposal? *Only COI is required and this is done electronically via mandatory annual disclosures*
2. Who identifies that an approval is required? *PI identifies need for approvals*
3. How are requests for approvals submitted, and by whom? *PI submits at JIT*
4. How long does approval process take? *Varies*



# Internal Needs UAMS

How collaborative are these processes at UAMS?

Collaborators: PI, Dept Chairs, Deans, VCR/VPR, Chancellor/Pres

1. Who identifies the need? *Agency and PI*
2. Once identified, how does request get submitted? *PI initiates request via Dept Chair*
3. Who has final “approval” authority at your institution? *Dean, VCR, or Chancellor*
4. How long does approval process take? *Good question...*



# Meet Deadlines UAMS

How collaborative are these processes at UAMS?

Collaborators: PI, Dept Chair, Dean, Grants Admins

1. What internal deadlines does your institutional require?  
*Budgetary review 14 days in advance*
2. To what extent are internal deadlines set by “policies” and/or “procedures”? *Institutional policy states draft due to ORSP 7 business days before deadline, final due 2 business days.*
3. To what extent are internal deadlines enforced? Who enforces them? *Central admin office (ORSP) is charged with enforcing deadlines, but with rare exceptions are not expected to enforce.*
4. Are “exceptions” allowed? If so what is the process for requesting an exception? *Process is outlined in institutional policy, but is not usually followed.*





# Goals for Year Two of FACT

- Complete collaborative processes study
- Produce FACT Phase One Report, to include:
  - Conclusions from the Year One and Year Two studies
  - Recommendation as to whether or not FACT should continue
  - If recommendation to continue:
    - Proposed Structure
    - Desired Goals
    - Methods



# Open Discussion

