

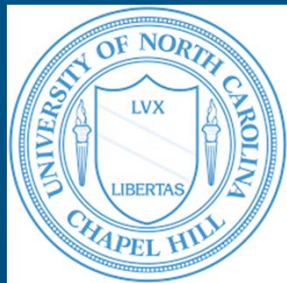
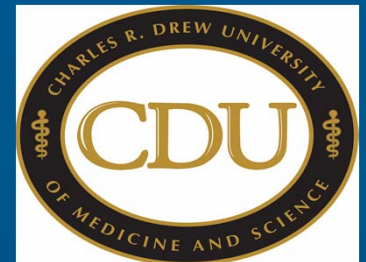


FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

Faculty-Administrator Collaboration Team(FACT)

FDP Meeting – Sept 2019





Agenda – FACT Two Year Report

- Introduction – 10 min
- Year One Issues and Analyses – 10 min
- Year Two and Process Study – 15 min
- Conclusions & Recommendations – 15 min
- Moving Forward – 5 min
- Open Discussion – 20 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	<u>Dave Reed</u>
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	Courtney Swaney
University of Washington	<u>Mark Haselkorn</u>	Lynette Arias/Rick Fenger



Why FACT?

*To streamline the administration of federally sponsored research and **foster collaboration to enhance the national research enterprise** while maintaining high standards of stewardship and accountability.*

From the FDP Strategic Plan
Our emphasis



Why Focus on Faculty-Administrator?

When faculty and administrators are not on the same team, workload burden is increased for both.

If faculty focus solely on research practice and ignore the complexities of research administration and management, overhead is increased for administrators.

If administrators view themselves as umpires and gatekeepers rather than as members of a common research team, overhead is increased for faculty.

Research programs benefit from faculty and administrators working together as contributing members of a team with a common goal: a successful research program.



FACT Mission and Questions

- Bring together faculty and administrators to enhance collaboration for successful institutional and national research strategies

- What is a successful institutional research enterprise?
- How do researchers and research administrators collaborate for institutional success?
- Do successful institutional research programs equate to a successful national research program?



FACT Stated Goals

- Leverage the unique opportunity provided by FDP meetings, where faculty and administrators attend together
- Initiate collaborative projects to advance efforts to achieve cross-institutional research goals
- Explore the faculty-administrator collaboration as a vital element in the work at FDP member organizations
- Utilize the wide variety of administrative structures within FDP member organizations to inform best practices discussions and future projects within the FACT Initiative

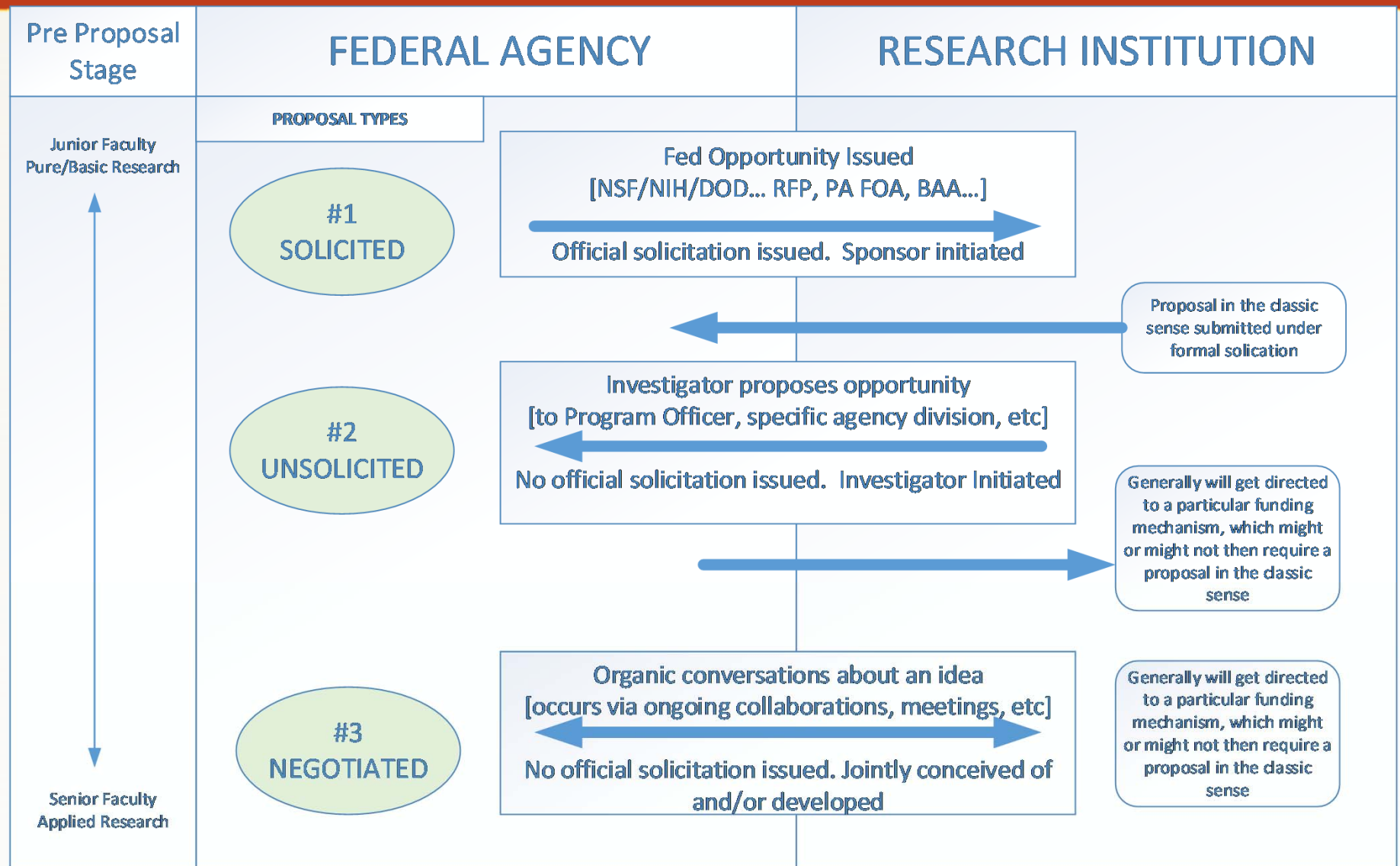


FACT Initial Thrusts

- 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.*



Different Types and Processes





Year One Issues and Analyses

- 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

- 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



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*

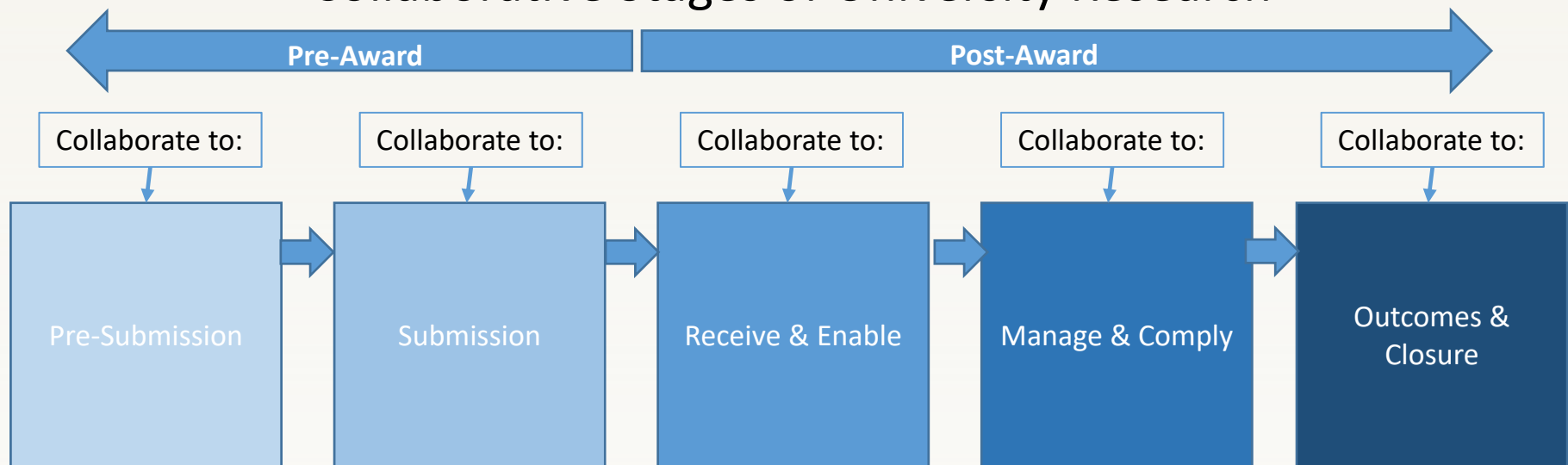
Administrators:

- See Faculty-Administrator collaboration as critical; faculty less so



Year Two and Process Study

Collaborative Stages of University Research



What are the collaborative components within each stage?

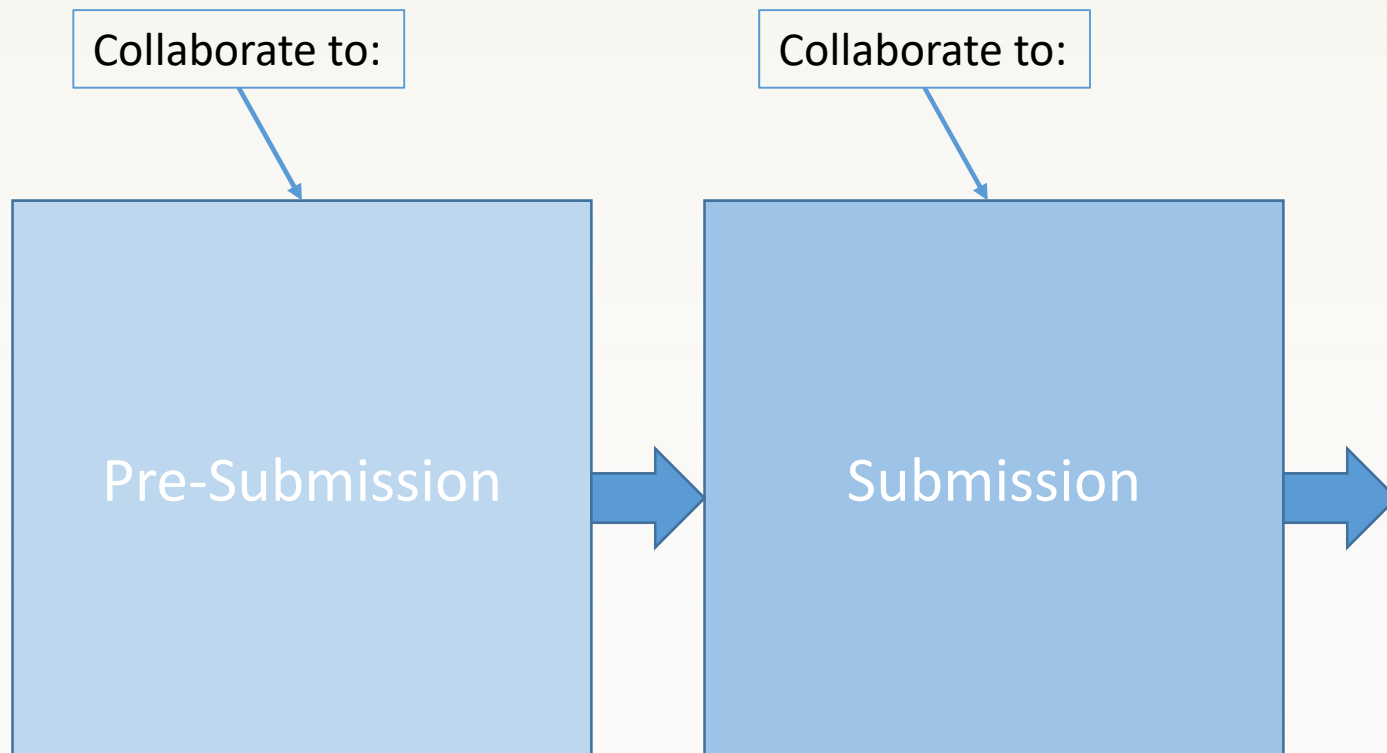
Who are the stakeholders in each collaborative component?

Who is the primary “owner” of each stage?



2019 Project Plans

- Processes varied between different institutions, and were too complex to examine simultaneously.
- Agreement to start with a focus on **pre-award phase**.





Pre-award Stage

Pre-submission to Submission Processes

- Identify Opportunity
- Recruit Team
- Draft Proposal
- Regulatory Approval
- Budget
- Internal Needs
- Meet Deadline



Pre-award Stage

Overarching **Process Questions:**

- What activities fall within each process?
- Who collaborates in these activities?
- When does each activity begin and end?
- How much effort is involved in each activity?
- How automated is the activity?



Pre-award Stage

Pre-submission to Submission Processes

- Identify Opportunity
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- • Regulatory Approval
- Budget
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As with the Stages, it was noted that these processes varied between different institutions, and were too complex to examine simultaneously. Thus, it was agreed to focus on 3 of the processes.



Regulatory Approvals

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

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



Internal Needs

How are institutional commitments for research projects handled?

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



Meet Deadlines

How are institution deadlines set and enforced?

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

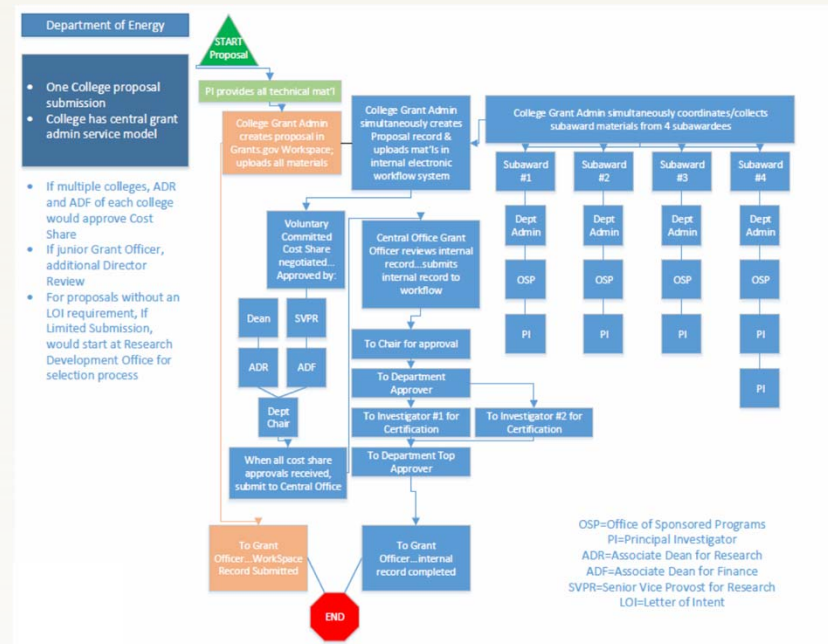
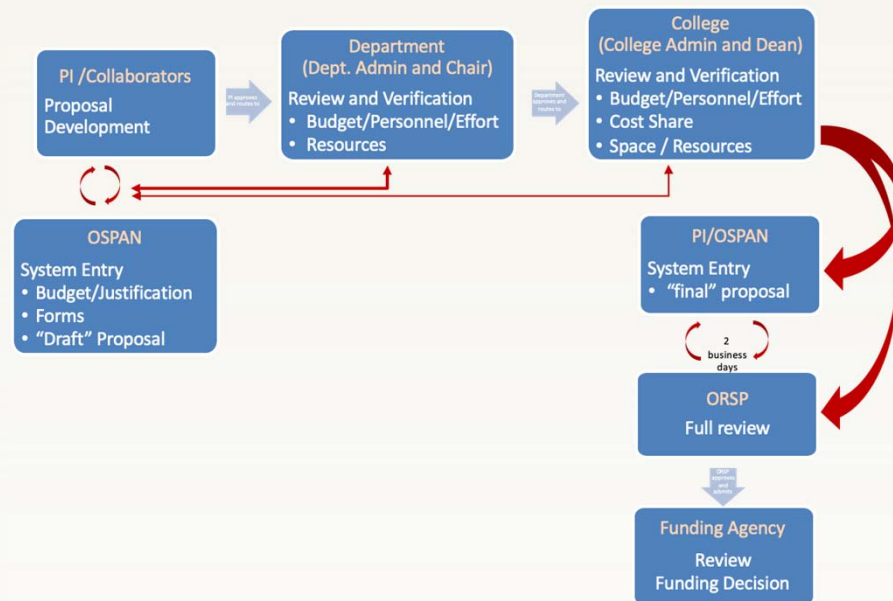


2019 Plans

- At the January 2019 meeting there was discussion regarding understanding the process flow at different institutions.
- As a result, five FACT institutions created process diagrams for the pre-submission to submission stages of a typical grant proposal (NIH or NSF).
- These diagrams were presented and discussed in groups at the May FDP meeting. The groups were tasked with the following:



Workflow process diagrams



- Discuss similarities and differences between the models
- Relate these models to experiences at their home institutions
- Discuss the faculty/administrator collaboration that happens at each step
- Note how these steps might relate to the national research “agenda”



Summary

- Observed similarities and differences.
- Drivers of the differences included:
 - Whether resources are centralized or departmental
 - Amount of turnover in administrative offices
 - Type of institution (public/private)
 - Automation, both positive and negative effects
 - Type and nature of the award
 - Whether the process was “business as usual” or something unusual or new



Conclusions

- Faculty and administrators can jointly analyze grants management process to identify:
 - Process gaps and pain points
 - Best practices for research administration
- Many business process complexities stem from diverse faculty and research administrators' roles and goals
- There is significant institutional overhead and administrative burden generated outside federal requirements



Conclusions (2)

- FACT institutional policy and infrastructure discussion can illuminate the Faculty Workload Survey findings.
- FACT analyses and the Faculty Workload Survey can be used jointly to:
 1. Better understand faculty and administrators' experiences
 2. Identify pain points
 3. Develop best practices and institutional strategies.



Implications

- Faculty-Administrator and Administrator-Administrator collaboration essential but complex and difficult
- Bi-directional understanding and training of research roles and responsibilities can make a difference
- Fostering a collaborative culture is as important as SOWs and administrative procedures



Recommendations

- Open FACT to any FDP institution with a faculty and administrator “pair.”
- Continue analysis of collaborative research processes.
- Develop a set of general, bi-directional guidelines supporting FDP faculty-administrator collaboration.
- Create a faculty and administrator *award orientation briefing*.



Next Steps

- Develop metrics of success in faculty-administrative collaborations
- Produce substantive resources for mutual benefit
- Synthesize quantitative and process information



Moving Forward within FDP

- Final Report and Wrap up?
- Emerging Topic?
- Ongoing Initiative/Study?
- Working Group?
- Subcommittee?
- Coordinating Body?



Open Discussion

