



# FEDERAL DEMONSTRATION PARTNERSHIP

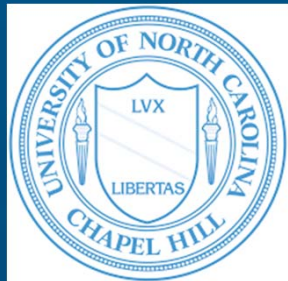
Redefining the Government & University Research Partnership



## Faculty-Administrator Collaboration Team (FACT)



FDP Meeting – May 2018





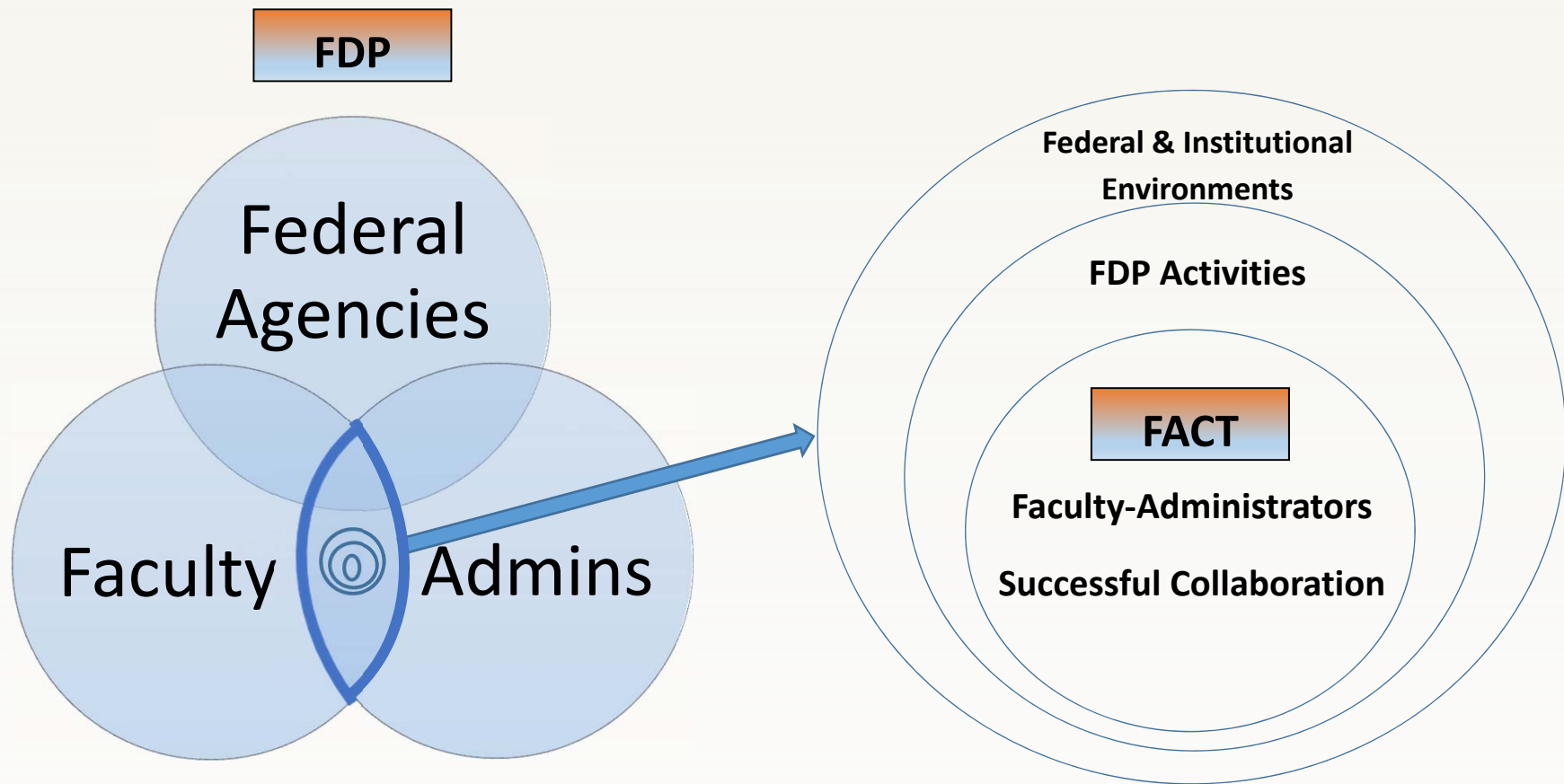
# Agenda for FACT Session

- Brief overview – to orient any newcomers
- Brief summary of work to date
- Initial FACT projects
  - Quantitative Analysis
  - Qualitative Analysis
- The relationship of FACT to other FDP activities
- Open discussion – Looking Ahead



# What is FACT?

## Faculty - Administrator Collaboration Team





# Motivation for FACT

- FDP perhaps the only ongoing meeting where large numbers of research Faculty & Administrators attend
- Faculty & Administrators rarely formally engage at FDP
- There is demonstrated interest and need -- originated in faculty engagement and grew
- Faculty & Administrator collaboration is a key to successful institutional research programs, and therefore to the national research effort
- No other FDP activity is looking at this specific key collaboration



# Background of FACT

- Small group convened to discuss concept
- Started with university pairs – Faculty & Administrator
- Evolved into larger and more focused work group
- Engaged in regular calls and actions
  - Articulate mission and vision
  - Develop a Fact Sheet on FDP [FACT Webpage](#)
  - Communication with Executive Committee
  - Plan and initiate startup projects
- Could expand to include federal partners



# FACT Mission

- To explore the wide varieties of research administration structures existing among the FDP member organizations related to how faculty and administrators interact on an operational and strategic basis.
- To collect and inventory challenges and successes associated with the faculty-administrator relationship and prioritize key opportunities for analysis and enhancement.
- To provide recommendations for ways to improve the faculty-administrator relationship



# Who we are

## Founding members and co-chairs

| FDP Member Organization                     | Faculty Rep                        | Admin Rep                         |
|---|------------------------------------|-----------------------------------|
| College of Charleston                       | <b>Kelly Shaver</b>                | <b>Susan Anderson</b>             |
| Duke University                             | Adrian Hernandez                   | Jim Luther                        |
| Northeastern University                     | David Budil                        | Joan Cyr                          |
| Michigan State University                   | Laura McCabe                       | JR Haywood                        |
| Michigan Technological University           | <b>Larry Sutter</b> / Jason Carter | <b><u>Dave Reed</u></b>           |
| University of Arkansas for Medical Sciences | Steven Post                        | Suzanne Alstadt                   |
| University of North Carolina at 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>       | <b>Lynette Arias</b> /Rick Fenger |



# Activities since last meeting

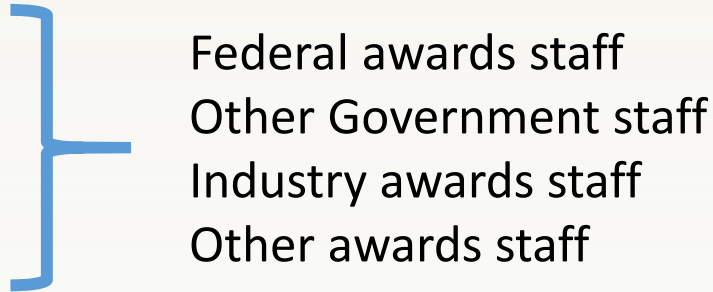
- Expanded working group
- Developed a charter
- Executive Committee endorsement
- Initiated website
- Established Communication and Marketing Subgroup
- Initiated two pilot projects to better understand the Faculty & Administrator collaboration
  - Quantitative – by the numbers
  - Qualitative – by experiences





# Quantitative Assessment - Matrix

- Demographic information
  - Principal Investigators / Co-PI's
  - Expenditures (NSF HERD Survey)
  - Awards
  - Proposals
  - Awards Staffing
  - Proposals Staffing
- Employees by F&A cost pools
  - Dollars allocated to Research / Average Fully Loaded Comp
- Compliance area
  - Human Subjects Studies, Animal Studies, Export Controls, Controlled Substances/Narcotics, Select Agents





# The Matrix

| Categories / Questions  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
|---|-----------|------------------|---------------|--------------|----------------|-----------------|---------------|---------------|---------------|---------------|---------------|----------------|----------------|-------------|
|   |           | Medical Colleges | Other         |              |                | School of Med   | Other         | School of Med | Other         | School of Med | Other         |                | School of Med  | Other       |
| <b>PRINCIPAL INVESTIGATORS / CO-PI'S</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Total # of Full-Time Tenure/Tenure Track Faculty</b>   | 465       |                  |               | 337          | 777            | 540             | 1,301         | 786           | 857           |               |               |                | 414            | 1,236       |
| # Full-Time Tenure/Tenure Track Faculty submitting proposals as PI or co-PI   | 81        | 94               | 903           | 249          | 558            |                 |               | 576           | 385           | 26            | 767           | 192            | 345            | 953         |
| # Full-Time Tenure/Tenure Track Faculty on active projects as PI or co-PI   | 91        | 78               | 733           | 234          | 473            |                 |               | 514           | 433           | 9             | 468           | 137            | 293            | 846         |
| <b>Total # of Full-Time Non Tenure Track</b>  | 47        |                  |               | 205          | 656            | 1,152           | 597           | 1,416         | 780           |               |               |                | 1,435          | 1,210       |
| # Full-Time Non Tenure Track submitting proposals as PI or co-PI  | 7         | 88               | 489           | 141          | 120            |                 |               | 438           | 185           | 23            | 332           | 101            | 1,172          | 915         |
| # Full-Time non tenure track on active projects as PI or co-PI  | 11        | 76               | 384           | 158          | 63             |                 |               | 323           | 279           | 31            | 157           | 51             | 977            | 761         |
| <b>PROPOSALS</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Please list the # of Proposals</b>   |           |                  |               | 7            |                |                 |               |               |               |               |               |                |                |             |
| Total proposals submitted in last FY  | 120       | 436              | 3267          | 872          | 1296           | 2,820           | 2,644         | 4,165         | 1296          | 88            | 3445          | 638            | 3,709          | 3,917       |
| U.S. Federal proposals submitted in last FY   | 70        | 266              | 1659          | 531          | 649            | 1,188           | 1,181         | 2,140         | 835           | 31            | 1684          | 452            | 2,410          | 2,836       |
| Other Government (including foreign) proposals submitted in last FY   | 14        | 20               | 246           | 31           | 47             | 36              | 138           | 16            | 10            | 21            | 344           | 21             | 66             | 78          |
| Industry(domestic and foreign) Clinical Trials  | 0         | 15               | 1             | 0            | N/A            |                 |               |               |               | 0             | 0             | 0              | 199            | 2           |
| Industry(domestic and foreign) Sponsored Research Agreements  | 0         | 25               | 492           | 200          | 179            |                 |               |               |               | 1             | 348           | 18             | 206            | 210         |
| Other Non-Govt/Non-Industry (domestic and foreign) awards received in last FY   | 36        | 110              | 869           | 110          | 421            | 1,596           | 1,325         | 2,009         | 451           | 35            | 1069          | 147            | 828            | 571         |
| <b>PROPOSALS STAFFING - CENTRAL ADMINISTRATION (PRE AWARD)</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Please list the # of staff supporting Proposals in the last FY for the following categories for submissions with budgets reviewed/approved; does not include Letters of Intent, etc.</b> |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| Total # of staff supporting proposals submitted in last FY  | 3.5       |                  | 13            | 7            | 20             |                 | 53            |               |               | 15            |               | 4              | 20             | 32          |
| # staff supporting U.S. Federal proposals received in last FY   |           |                  |               | 5            |                |                 |               |               |               | 11            |               |                | 9              | 13          |
| # staff supporting Other Government (including foreign) proposals received in last FY   |           |                  |               |              |                |                 |               |               |               | 11            |               |                | 1              | 3           |
| # staff supporting Industry (domestic and foreign) Clinical Trial proposals received in last FY   |           |                  |               |              |                |                 |               |               |               | 0             |               |                | 1              | 0           |
| # of staff supporting Industry (domestic and foreign) Sponsored Research Agreement proposals received in last FY  |           |                  |               | 2            |                |                 |               |               |               | 4             |               |                | 6              | 9           |
| # staff supporting Non-Govt /Non-Industry (including Foreign) proposals received in last FY   |           |                  |               |              |                |                 |               |               |               | 11            |               |                | 3              | 7           |
| <b>AWARDS</b>   |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Please list the # of awards received in the last FY for the following categories, including incremental funding</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| Total # of Awards received in last FY   | 107       | 527              | 2105          | 592          | 654            | 3,992           | 1,695         | 2,372         | 546           | 40            | 3434          | 287            | 2,443          | 2,730       |
| U.S. Federal awards received in last FY   | 44        | 170              | 902           | 325          | 266            | 758             | 681           | 1,321         | 281           | 9             | 989           | 170            | 1,643          | 1,969       |
| Other Government (including foreign) awards received in last FY   | 22        | 13               | 196           | 20           | 24             | 39              | 115           | 12            | 20            | 19            | 332           | 17             | 33             | 215         |
| Industry (domestic and foreign) Clinical Trials   | 0         | 207              | 1             | 0            | N/A            |                 |               |               |               | 0             | 0             | 26             | 179            | 1           |
| Industry (domestic and foreign) Sponsored Research Agreements   | 0         | 52               | 291           | 190          | 97             |                 |               |               |               | 1             | 715           | 10             | 125            | 147         |
| Other Non-Govt/Non-Industry (including foreign) awards received in last FY  | 41        | 85               | 715           | 57           | 267            | 3,195           | 899           | 1,039         | 245           | 11            | 1398          | 64             | 461            | 398         |
| <b>AWARDS STAFFING - CENTRAL ADMINISTRATION (POST AWARD)</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Please list the # of staff supporting Awards expenditure review/invoicing/reports, etc)</b>  |           |                  |               |              |                |                 | 27            |               |               |               |               |                |                |             |
| Total # of staff supporting Awards in last FY   | 3         |                  | 31            | 5            | 10             |                 |               |               |               | 24            |               | 4              |                |             |
| # staff supporting U.S. Federal awards received in last FY  |           |                  |               |              |                |                 | 16            |               |               | 15            |               |                | 27             | 33          |
| # staff supporting Other Government (including foreign) awards received in last FY  |           |                  |               |              |                |                 |               |               |               | 5             |               |                | 15             | 71          |
| # staff supporting Industry (domestic and foreign) Clinical Trial awards received in last FY  |           |                  |               |              |                |                 |               |               |               | 0             |               |                | 11             | 1           |
| # of staff supporting Industry (domestic and foreign) Sponsored Research Agreement Awards received in last FY   |           |                  |               |              |                |                 |               |               |               | 5             |               |                | 22             | 23          |
| # staff supporting Non-Govt /Non-Industry (including foreign) awards received in last FY  |           |                  |               |              |                |                 | 12            |               |               | 5             |               |                | 43             | 46          |
| <b>EXPENDITURES</b>   |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Total Sponsored Projects Expenditures in last FY (NSF HERD Survey)</b>   | \$7.7 mil | \$56M            | \$55.4M       | \$71.6 mil   | \$ 142,349,000 | \$1.045 Billion |               | \$1,055,778   | \$1,985,078   | \$511,528,588 | \$79,291,298  | \$ 625,966,657 | \$ 660,745,311 |             |
| <b>EMPLOYEES BY F&amp;A COST POOLS</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Please list the total dollars allocated to Organized Research for the following pools:</b>   |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| O & Operations & Maintenance  |           |                  | \$ 4,689,993  | \$2,159,723  |                |                 | \$62,075,344  |               | \$18,234,586  |               | \$25,846,121  |                | \$5,598,698    | 21,312,096  |
| G & General Administration  |           |                  | \$ 16,331,423 | \$2,649,879  |                |                 | \$24,184,624  |               | \$9,312,350   |               | \$28,848,077  |                | \$5,849,093    | 16,037,453  |
| SPA Sponsored Projects Administration   |           |                  | \$ 11,163,224 | \$2,442,394  |                |                 | \$14,633,172  |               | \$20,603,428  |               | \$10,104,134  |                | \$2,117,350    | 16,466,066  |
| Libri/Library   |           |                  | \$ 1,488,738  | \$247,154    |                |                 | \$7,466,383   |               | \$4,191,292   |               | \$5,007,258   |                | \$564,820      | 2,764,151   |
| DA Departmental Administration  |           |                  | \$ 29,778,625 | \$2,990,183  |                |                 | \$60,986,680  |               | \$73,506,262  |               | \$52,455,754  |                | \$6,481,019    | 100,492,290 |
| <b>TOTAL</b>  |           |                  | \$ 63,452,002 | \$10,489,333 |                |                 | \$169,346,203 |               | \$125,847,918 |               | \$122,261,344 |                | \$20,610,980   | 157,072,056 |
| <b>What is the average fully loaded salary/benefit amount for employees included in the above cost pools?</b>   |           |                  | \$ 46,826     | \$85,000     |                |                 | \$46,313      |               | \$85,000      |               | \$92,802      |                | \$29,624       | 85,747      |
| <b>Utilizing the above information, please list the approximate # of employees included in each of the cost pools listed above:</b>   |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| O & Operations & Maintenance  |           |                  | 100           | 25           |                |                 | 1611          |               | 215           |               | 230           |                | 1,171          | 249         |
| G & General Administration  |           |                  | 349           | 31           |                |                 | 837           |               | 110           |               | 176           |                | 1,244          | 187         |
| SPA Sponsored Projects Administration   |           |                  | 238           | 29           |                |                 | 181           |               | 242           |               | 90            |                | 124            | 192         |
| Libri/Library   |           |                  | 32            | 3            |                |                 | 357           |               | 49            |               | 19            |                | 126            | 32          |
| DA Departmental Administration  |           |                  | 636           | 35           |                |                 | 1027          |               | 865           |               | 298           |                | 1,180          | 1172        |
| <b>TOTAL</b>  |           |                  | 1355          | 123          |                |                 | 4013          |               | 1,481         |               | 813           |                | 3,844          | 1832        |
| <b>COMPLIANCE AREAS</b>   |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| <b>Please indicate the approx extent of the following areas at your organizations (High, Med, Low or None)</b>  |           |                  |               |              |                |                 |               |               |               |               |               |                |                |             |
| Human subjects studies  | Low       |                  | High          | Low          | med            | High            | Med           |               |               | High          |               | High           |                | High        |
| Animal studies  | Low       |                  | Med           | Low          | low            | High            | Med           |               |               | Med           |               | Med            |                | High        |
| Export Controls   | Low       |                  | Med           | Low          | low            | High            | Low           |               |               | Med           |               | Low            |                | High        |
| Controlled substances/narcotics   | Low       |                  | Med           | Low          | Low            | High            | Low           |               |               | Low           |               | High           |                | High        |
| Select agents   | Low       |                  | None          | Low          | none           | High            | None          |               |               | Low           |               | None           |                | High        |



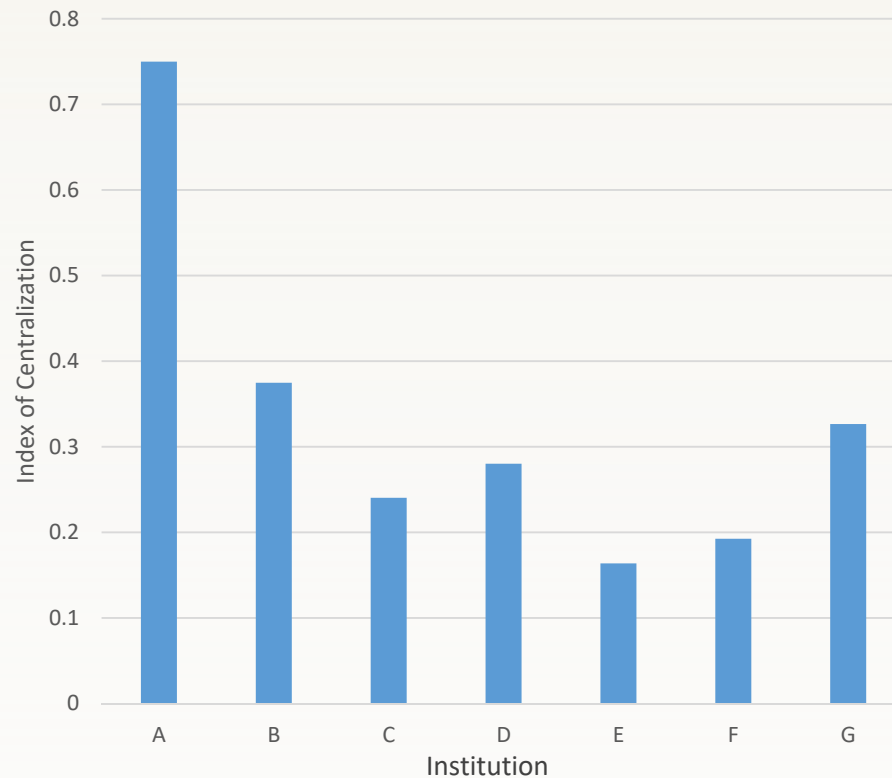
# The Matrix

| Categories / Questions  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
|---|-----------|------------------|-------|------------|------------|---------------|------------|---------------|------------|---------------|-------|-----|---------------|--------------------|
|   |           | Medical Colleges | Other |            |            | School of Med | Other      | School of Med | Other      | School of Med | Other |     | School of Med | Other              |
| <b>PRINCIPAL INVESTIGATORS / CO-PI'S</b>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total # of Full-Time Tenure/Tenure Track Faculty  | 465       |                  |       | 337        | 777        | 540           | 1,301      | 786           | 857        |               |       |     | 414           | 1,236              |
| # Full-Time Tenure/Tenure Track Faculty submitting proposals as PI or co-PI   | 81        | 94               | 903   | 249        | 558        |               |            | 576           | 385        | 26            | 767   | 192 | 345           | 953                |
| # Full-Time Tenure/Tenure Track Faculty on active projects as PI or co-PI   |           | 78               | 733   | 234        | 473        |               |            | 514           | 433        | 9             | 468   | 137 | 293           | 846                |
| <b>Total # of Full-Time Non Tenure Track</b>  | <b>47</b> |                  |       | <b>205</b> | <b>656</b> | <b>1,152</b>  | <b>597</b> | <b>1,416</b>  | <b>180</b> |               |       |     | <b>1,435</b>  | <b>1,210</b>       |
| # Full-Time Non Tenure Track submitting proposals as PI or co-PI  |           |                  |       |            |            |               |            |               |            |               |       |     | 72            | 915                |
| # Full-Time Non Tenure Track on active projects as PI or co-PI  |           |                  |       |            |            |               |            |               |            |               |       |     | 7             | 761                |
| <b>PROPOSALS</b>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| <i>Please list the # of Proposals</i>   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total proposals submitted in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| U.S. Federal proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     | 19            | 3,917              |
| Other Government (including foreign) proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     | 0             | 2,836              |
| Industry(domestic and foreign) Clinical Trials  |           |                  |       |            |            |               |            |               |            |               |       |     | 46            | 78                 |
| Industry(domestic and foreign) Sponsored Research Agreements  |           |                  |       |            |            |               |            |               |            |               |       |     | 9             | 2                  |
| Other Non-Govt/Non-Industry (domestic and foreign) awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     | 6             | 210                |
| <b>PROPOSALS STAFFING - CENTRAL ADMINISTRATION (PRE AWARD)</b>  |           |                  |       |            |            |               |            |               |            |               |       |     | <b>8</b>      | <b>571</b>         |
| <i>Please list the # of staff supporting Proposals in the last FY for the following categories for submission reviewed/approved; does not include Letters of Intent, etc.</i>               |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total # of staff supporting proposals submitted in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| # staff supporting U.S. Federal proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 32                 |
| # staff supporting Other Government (including foreign) proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 13                 |
| # staff supporting Industry (domestic and foreign) Clinical Trial proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 3                  |
| # staff supporting Industry (domestic and foreign) Sponsored Research Agreement proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 0                  |
| # staff supporting Non-Govt /Non-Industry (including Foreign) proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 9                  |
| <b>AWARDS</b>   |           |                  |       |            |            |               |            |               |            |               |       |     |               | <b>7</b>           |
| <i>Please list the # of awards received in the last FY for the following categories, including incremental</i>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total # of Awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| U.S. Federal awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 3                  |
| Other Government (including foreign) awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 3                  |
| Industry (domestic and foreign) Clinical Trials   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 9                  |
| Industry (domestic and foreign) Sponsored Research Agreements   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 1                  |
| Other Non-Govt/Non-Industry (including foreign) awards received in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 5                  |
| <b>AWARDS STAFFING - CENTRAL ADMINISTRATION (POST AWARD)</b>  |           |                  |       |            |            |               |            |               |            |               |       |     | <b>1</b>      | <b>398</b>         |
| <i>Please list the # of staff supporting Awards expenditure review/invoicing/reports, etc)</i>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total # of staff supporting Awards in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| # staff supporting U.S. Federal awards received in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 33                 |
| # staff supporting Other Government (including foreign) awards received in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 71                 |
| # staff supporting Industry (domestic and foreign) Clinical Trial awards received in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 1                  |
| # of staff supporting Industry (domestic and foreign) Sponsored Research Agreement Awards   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 23                 |
| # staff supporting Non-Govt /Non-Industry (including foreign) awards received in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 46                 |
| <b>EXPENDITURES</b>   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| <b>Total Sponsored Projects Expenditures in last FY (NSF HERD Survey)</b>   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| U.S. Federal proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 7                  |
| Other Government (including foreign) proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | \$ 660,745,311     |
| Industry(domestic and foreign) Clinical Trials  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Industry(domestic and foreign) Sponsored Research Agreements  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 21,312,096         |
| Other Non-Govt/Non-Industry (domestic and foreign) awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 16,037,453         |
| <b>EMPLOYEES BY F&amp;A COST POOLS</b>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| <i>Please list the total dollars allocated to Organized Research for the following pools:</i>   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| O & Operations & Maintenance  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| G & General Administration  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| SPA Sponsored Projects Administration   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 16,466,066         |
| Libri Library   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 2,764,151          |
| DA Departmental Administration  |           |                  |       |            |            |               |            |               |            |               |       |     |               | 100,492,290        |
| <b>TOTAL</b>  |           |                  |       |            |            |               |            |               |            |               |       |     |               | <b>157,072,056</b> |
| <i>What is the average fully loaded salary/benefit amount for employees included in the above cost pools?</i>   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| U.S. Federal proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Other Government (including foreign) proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Industry(domestic and foreign) Clinical Trials  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Industry(domestic and foreign) Sponsored Research Agreements  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Other Non-Govt/Non-Industry (domestic and foreign) awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 85,747             |
| <b>PROPOSALS STAFFING - CENTRAL ADMINISTRATION (PRE AWARD)</b>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| <i>Please list the # of Proposals</i>   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total proposals submitted in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| U.S. Federal proposals submitted in last FY   | 120       | 436              | 3267  |            |            |               |            |               |            |               |       |     |               |                    |
| Other Government (including foreign) proposals submitted in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Industry(domestic and foreign) Clinical Trials  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Industry(domestic and foreign) Sponsored Research Agreements  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Other Non-Govt/Non-Industry (domestic and foreign) awards received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| <b>PROPOSALS STAFFING - CENTRAL ADMINISTRATION (PRE AWARD)</b>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| <i>Please list the # of staff supporting Proposals in the last FY for the following categories for submissions with budgets reviewed/approved; does not include Letters of Intent, etc.</i> |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Total # of staff supporting proposals submitted in last FY  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| # staff supporting U.S. Federal proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 249                |
| # staff supporting Other Government (including foreign) proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 187                |
| # staff supporting Industry (domestic and foreign) Clinical Trial proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 192                |
| # of staff supporting Industry (domestic and foreign) Sponsored Research Agreement Awards   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 32                 |
| # staff supporting Non-Govt /Non-Industry (including Foreign) proposals received in last FY   |           |                  |       |            |            |               |            |               |            |               |       |     |               | 1172               |
| <b>COMPLIANCE AREAS</b>   |           |                  |       |            |            |               |            |               |            |               |       |     |               | <b>1832</b>        |
| <i>Please indicate the approx extent of the following areas at your organizations (High, Med, Low or None)</i>  |           |                  |       |            |            |               |            |               |            |               |       |     |               |                    |
| Human subjects studies  | Low       |                  | High  | Low        | med        | High          | Med        |               |            |               |       |     | High          | High               |
| Animal studies  | Low       |                  | Med   | Low        | low        | High          | Med        |               |            |               |       |     | Med           | High               |
| Export Controls   | Low       |                  | Med   | Low        | low        | High          | Low        |               |            |               |       |     | Med           | High               |
| Controlled substances/narcotics   | Low       |                  | Med   | Low        | Low        | High          | Low        |               |            |               |       |     | High          | High               |
| Select agents   | Low       |                  | None  | Low        | none       | High          | None       |               |            |               |       |     | Low           | High               |



# Centralization

- The ratio of central (SPA) and department (DA) personnel cost pools provides an index of administrative centralization





# Level of Support

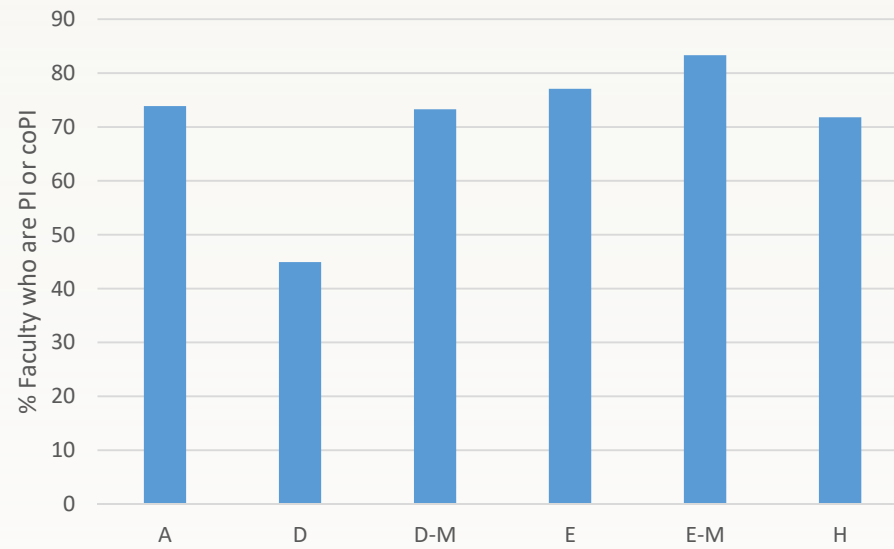
- The ratio of institutional research expenditures to departmental personnel FTE (approximated by F&A departmental personnel cost pool divided by average staff salary)
- This provides an indicator of the level of departmental support for research, which may be related to the post-award burden in the Faculty Workload Survey.





# Benchmarking

- The percentage of faculty who are active PIs or co-PIs during a fiscal year provides basic benchmarking information that is currently not nationally available.





# Quantitative Assessment - Matrix

- Observations
  - Significant variability
  - Impacted by economies of scale, institutional culture, award portfolio type, technology infrastructure, etc.
- Next steps
  - Develop metrics for further comparison
  - Further analysis
    - Demographics, F&A FTE data, Compliance Area
    - Qualitative
  - Harmonize with institutional results from Faculty Workload Survey



# Qualitative Assessment

- Script for Semi-Structured Interviews Completed
  - Opening text
  - Demographic Data
  - Faculty – Administrator Collaboration
    - Mission
    - Policies
    - Procedures
  - Development/Pre-award
  - Post-award management
  - Wrap up
- Pilot project
  - Goal: interview 2 faculty/2 administrators at each of the 9 FACT work group institutions (36 total)
- Test pilot script (7 interviews conducted by May 12, 2018)





# Preliminary feedback

## Mission

### Faculty

- Excellent scholarship
- Address societal need
- Fit educational mission
- Mostly determined by administration

### Administration

- Excellent scholarship
- Address societal need
- Fit institutional strengths
- External recognition

## Policies

### Faculty

- Consult administrator as-needed
- Limited role in setting: faculty committees, individual conversations

### Administration

- Perceived confusion between institution/federal policy
- Need for increased faculty/departmental training
- Federal policies in background but find as needed (departmental)



# Preliminary feedback--continued

## **Procedures (Development/Pre-Award)**

### **Faculty**

- PIs primarily responsible for finding leads
- “Concierge” model—1 stop
- Personal relationship and engagement of RA important

### **Administration**

- Hard to get PI feedback on identified opportunities
- Faculty unaware of procedures
- Employ “tough love” to get faculty attention

## **Procedures (Post-award management)**

### **Faculty**

- Financial management/reporting software inadequate
- Compliance is a bottleneck

### **Administration**

- Financial management/reporting software inadequate
- Transparency is key to good post-award management
- Need better compliance training for PIs and departmental staff



# Modifications of Interview Script?

- Expand for “dual-role” faculty/administrators
  - Significant numbers found
  - How do they resolve conflicting faculty/administration objectives?
  - How desirable is it for faculty to “rotate” through administrative roles?
- Software tools
  - Most desirable or needed features?
  - How can software best facilitate faculty-administration collaboration?
- Suggestions?



# Aligning with FDP

- FDP: More efficient, productive and impactful research
- FACT: More successful F-A working relationship to achieve more successful institutional research enterprises
- Within FDP context and complementary to other FDP activities, FACT focuses on the diversity of:
  - Institutional structures for F-A collaborations
  - Institutional definitions of research enterprise success
  - Conditions for and examples of F-A collaboration successes
  - Examples of frequent challenges to F-A collaboration
- Following initial qualitative and quantitative review of member institutions, FACT will host ongoing discussions with FDP and develop future FACT projects that support FDP goals



# Questions, Comments & Discussion



We are listening