

Effective Grantsmanship:

The role of leadership in
sponsored award administration & compliance

VA Chapter SRA Meeting
Richmond, Virginia
January 9, 2009

Experience. **Redefined.**TM

Today:

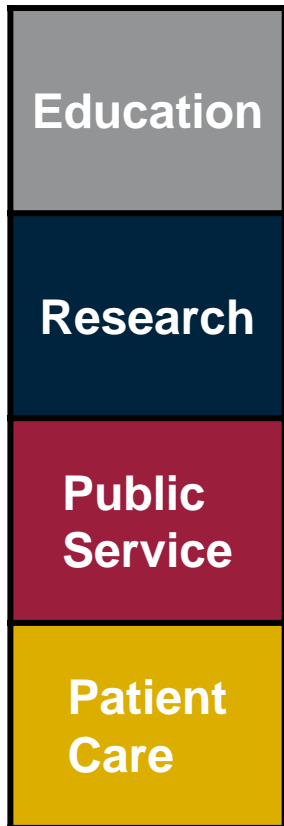
- Effective Management (Leadership) of Sponsored Awards
- Service Leadership & Facilitation
- Strategic Leadership
- Financial Leadership
- Operations Leadership
- Compliance Leadership

Effective Management of Sponsored Awards:

Hypothesis: Might it really be
about “effective leadership”
within the research enterprise?

Managing Sponsored Awards might actually begin within a larger context of leadership for our entire research enterprise:

Our 4-Point Mission



- Education
- Clinical Care
- Prestige
- Recruitment
- Development

Proactively leading the enterprise includes:

- Strategic leadership
- Financial leadership
- Operations leadership
- Compliance leadership
- Service leadership

Service Leadership & Facilitation

The Changing Role of Academic PIs and Research over the past three decades...



1980's

•Increased Independence of Researchers

- Genome Mapping
- Animal Models
- Emergence of the Mouse Model
- Philosophy: "Science for Science's Sake"

•Researchers' role became more "outward-facing"

- Increased role of corporate sponsorship
- Intersection between Industry and Academia
- Philosophy: Research must be "useful" and oriented to practical outcomes

1990's

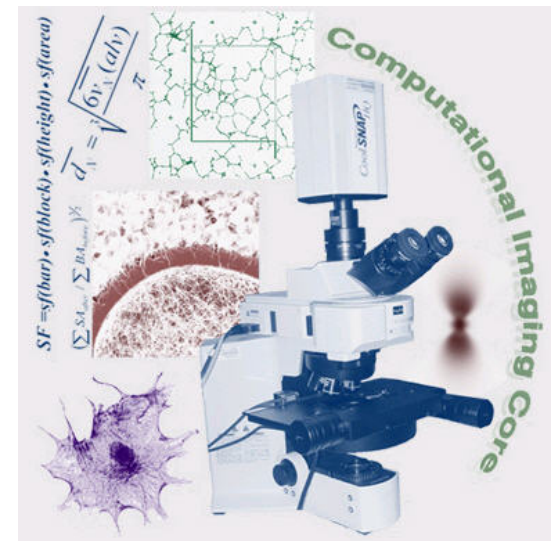
Today

- Increased governmental oversight
- Stricter compliance protocols
- Increased administrative tasks for researchers
- Interdisciplinary scientific cross-collaboration
- More translational "bench to bedside" research

What is multi-disciplinary research?

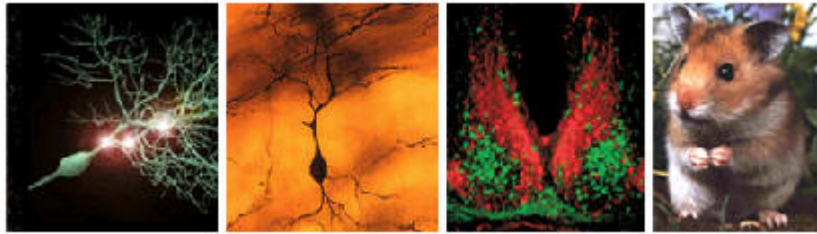
“Multi” & “Inter” make this stuff hard!!...

- There is a shift toward collaborative research involving intersection between different disciplines both intra- and inter-departmentally within an academic or research campus, as well as across institutions and centers
- **Interdisciplinary Centers / Multidisciplinary Programs**
 - Purpose: To provide a central place where interdisciplinary faculty/researchers, in different but overlapping fields or research and study, can conduct research and share knowledge
 - Examples of these kinds of centers:
 - Centers for AIDS Research
 - Centers for Metabolic Bone Disease
 - Comprehensive National Cancer Institutes
 - Centers for Computational Biology & Epidemiology
 - Centers for Predictive Health



Reading: “From Bench to Bedside”: <http://www.nature.com/nature/journal/v424/n6952/full/nj6952-1090a.html>

The Role of Principal Investigators (PIs) in Academic Research – *it's a lot!*



- **Examples of *typical Investigator responsibilities* include:**
 - Managing scientific aspects of the project
 - Managing research personnel
 - Submitting project deliverables
 - Preparing scientific proposals, overseeing budget development, and ensuring that all necessary reviews by compliance committees are completed
 - Coordinating with Administrators to obtain internal approvals required by University policy and sponsoring agency guidelines prior to submitting proposal to sponsoring agency
 - Review and certify effort for self and all other individuals on federally sponsored projects for which PI has first hand knowledge
 - Ensuring protocol for human and animal subjects are in compliance with IRB, HIPAA and/or IACUC regulations
 - The PI maintains ultimate responsibility for the sponsored project in an academic environment

PIs and award administrators must work well together for effective research productivity...

Characteristics of **PIs**:

- Driven
- Passionate
- Productivity and Data-driven
- Goal-Oriented
- Questioning
- Focused on innovation, discovery
- Multi-tasker
- Hands-off leadership, delegator
- **A Paid Questioner...???**

Characteristics of **Administrators**:

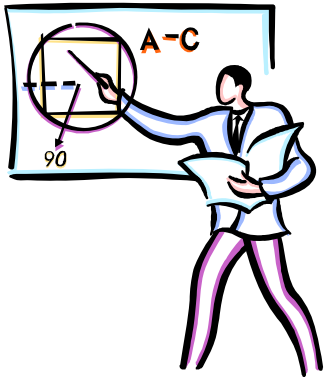
- Service-oriented
- Knowledgeable, rule-driven
- Structured
- Collaborative
- Helpful
- Operational, directive
- Task and detail – oriented

PIs are trained to seek gaps in knowledge, question, pursue solutions and innovate. As administrators, it's our role to facilitate their work in a compliant and helpful way.

The changing role of research faculty and **the productivity paradox:**

– Pressure for increased productivity across four dominant areas:

- Scholarly output (including funding income)
- Instructional productivity: Teaching excellence
- Individualized mentoring role for students
- Academic service to the institution (committee work, external outreach into the community)

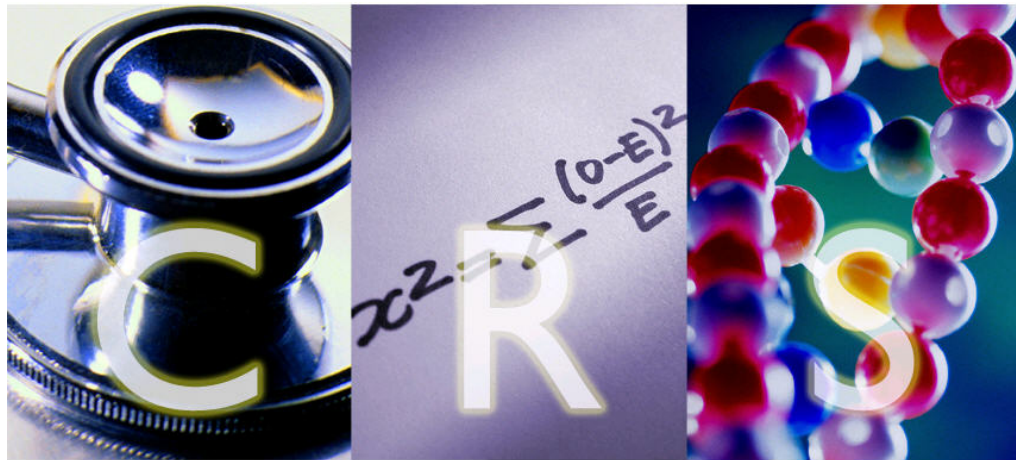


PI: “Feels like they’re keeping score now”!!

An increase in administrative burden for Academic Researchers... a negative trend??

– How to ease the burden?

- Scientists say they could save more time with additional administrative support
- Larger labs solve the problem by using post-docs/lab technicians to handle these administrative duties (but aren't these roles filled by scientists, who should be conducting *science* too...?)
- Scientists hope that the federal government will amend its grant-making system



Reading: Federal Demonstration Partnership; Kean, Sam: Scientists Spend Nearly Half Their Time on Administrative Tasks, Survey Finds; The Chronicle of Higher Education, Volume 52, Issue 45, Page A23 ; 7/14/06: <http://chronicle.com/weekly/v52/i45/45a02301.htm>

So, what does all this mean...?

- **The role of Academic Research and Research Investigators is changing and always will be changing**
- **The lives of PIs will only become more challenging in the years ahead**
- **As Award Administrators, we have a role in facilitating their work to relieve them of administrative burdens to ensure the focus can remain on the research, science, and innovative discovery**
- **The world of discovery and advancement is exciting, PIs appreciate being at the forefront of it, and we as Award Administrators are proud to serve them in that role....**

Strategic Leadership

Strategy in its purest sense:

“Strategy is a combination of the goals for which the organization is striving and the means by which it is seeking to get there. It is about competitive position, differentiating yourself in the eyes of the customer, and adding value through a mix of activities different from those used by competitors.”

- Michael Porter, Harvard Business School

Tying Strategies to Missions and Goals

- Keep in mind the goals and mission of the institution relative to the research enterprise
- Strategy should be complementary to overall institutional goals

Institution	Overall Institution Mission	Research Strategy
University of Michigan	<p>“The mission of the University is to generate and disseminate knowledge in the public interest. The University also has had a longstanding tradition of conducting research aimed at enhancing human life and the human condition.”</p>	<ul style="list-style-type: none"> • “Nurture excellent research, scholarship, and creative activity by our faculty, staff and students; • Promote the integration of the research, education, and service missions of the university; • Facilitate the sharing of knowledge and expertise with the larger society; • Promote responsibility in the conduct and administration of these activities.”

Financial Leadership

Financial Leadership

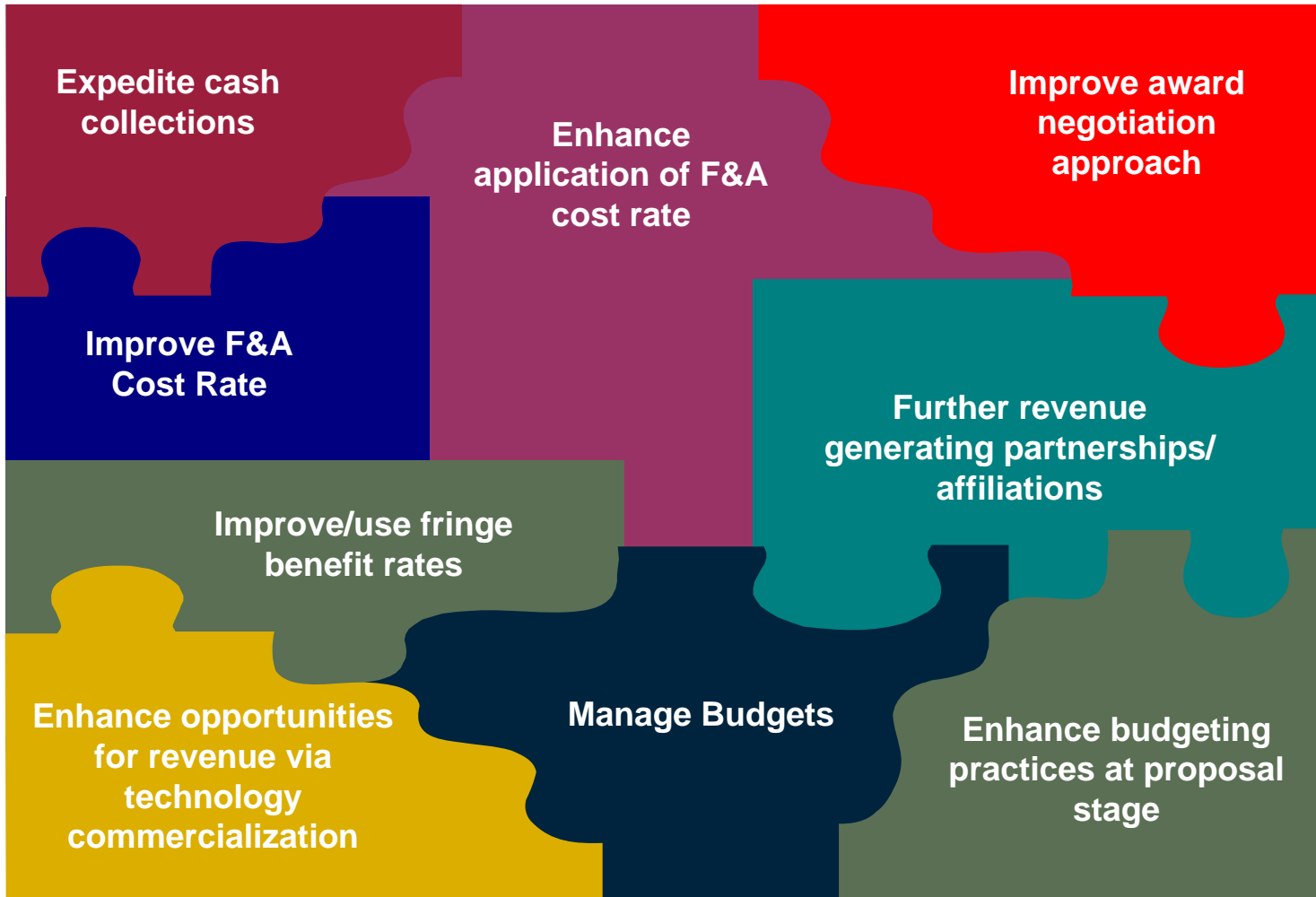


Effectively managing financial resources may be the most important aspect of research administration today...

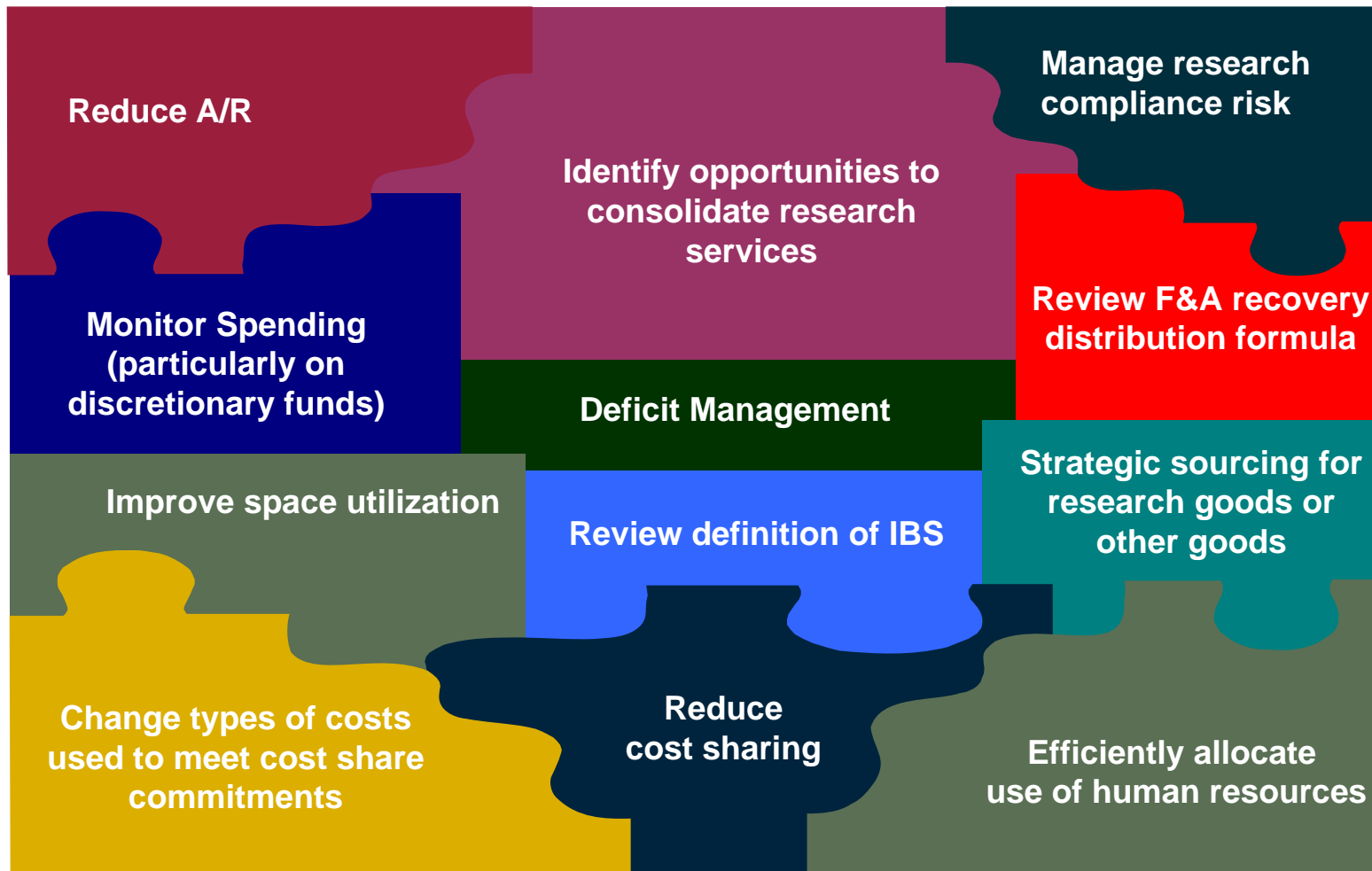
Our Financial Leadership for Award Activities fundamentally involves two distinct actions:

1. Increasing Revenues
2. Decreasing Costs

Opportunities for Increasing Revenues...



...and, Opportunities for Decreasing Costs



Operations Leadership

Operations Leadership – one definition...

The administrative structure and operational support activities provided to Researchers including core facilities, space management, shared services, recruitment, etc.

Operations Leadership

The operations function of a Research Enterprise includes both the central research administration offices of the Institution as well as the administrative support at the departmental level. Three important factors related to operations include:

STRUCTURE

Separate functions within operations include pre-award, post-award and compliance management activities. Institutions will handle the structure of these activities differently.

RESOURCES

Availability of core facilities, specialized equipment, unique facilities/space and dedicated administrative support.

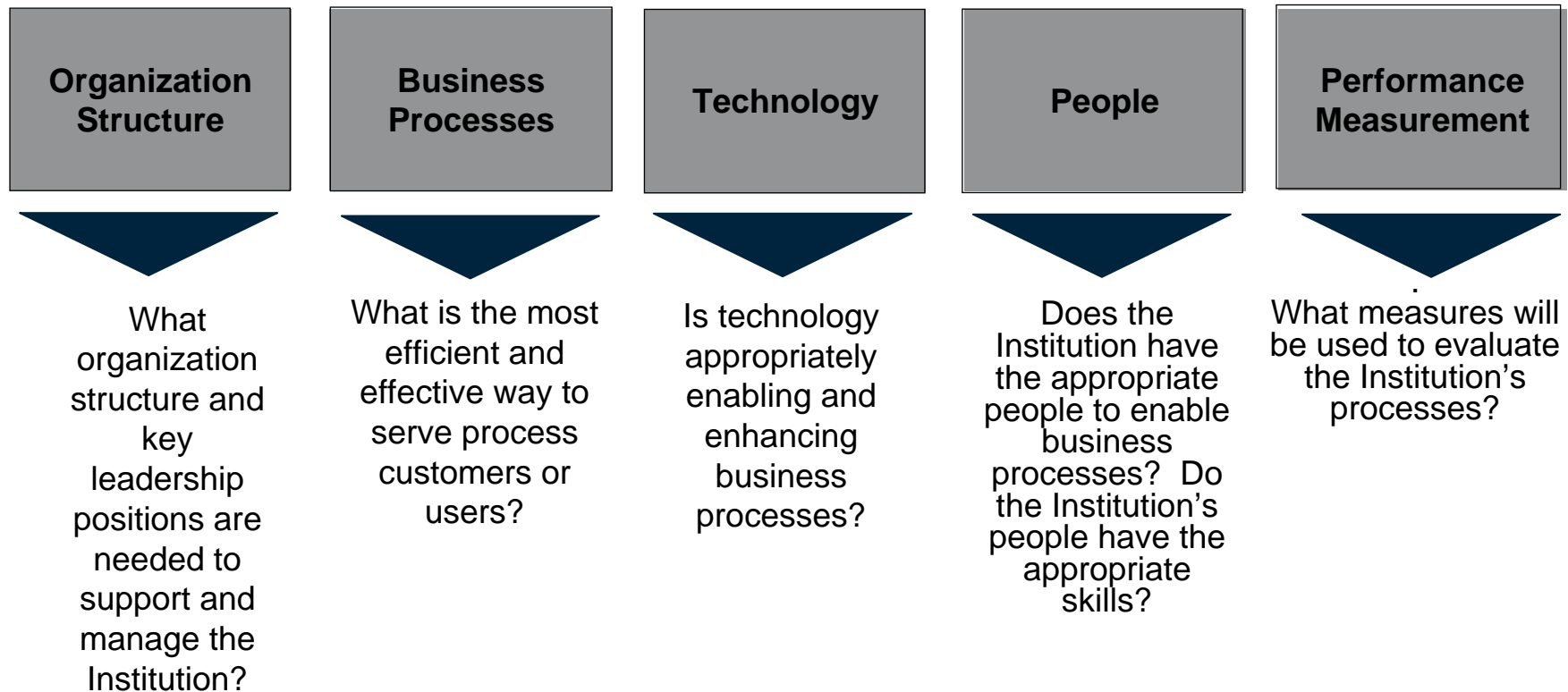
APPLICATION

Management of resources along with optimal cost recovery.

An efficient operational function results in increased benefits derived from current resources, future grant funding, and continual investment

Operations Leadership: An integration of moving parts, for sure...

The Parts:



Compliance Leadership

Compliance Leadership

When implementing and managing compliance infrastructures (research & fiscal), it is absolutely critical to keep in mind the spirit of the regulations and the goal of conducting science – it's about facilitation, not policing.



So, what makes up the compliance landscape?

Fiscal Areas

- Close Outs
- Cost transfers
- Cost sharing
- Direct charging practices
- Effort reporting
- NIH salary cap
- Overdrafts
- Pre-authorized spending authority
- Program income
- Recharge centers
- Unallowable costs

Research Areas

- Animal subject protections (IACUC)
- Clinical trials
- Conflicts of interest
- Environmental health & safety
- Human subject protections (IRB)
- Invention disclosure & reporting
- Other support
- Scientific overlap
- Scientific misconduct
- Sub-awardee monitoring

Emerging Trends Impacting Designs for Compliance

- Increased complexity in federal and other sponsor requirements
 - Historic increases of sponsored research funding not being matched by increases in research administration to manage this increased funding
 - Focus on collaborative research, which involves coordinating research administration needs between various departments and centers
- Sponsors' increased expectations of high accountability by research institutions
 - Increased federal audit activities at higher education institutions
 - A change in the skills required for a research administrator, especially as sponsors expand electronic reporting initiatives and institutions invest in new systems
 - Increasing vacancies in research administration positions, due to the need for specialists in many areas (and increased competition to hire these resources)
- Increased focus on enhanced “customer service” models to support faculty

Research universities continue to face significant challenges in adapting the research support model to optimize service and compliance.

Elements of Effective Compliance Programs

The NIH OIG* considers the following eight elements necessary when designing comprehensive compliance programs.

8 Elements

- **Policies and Procedures:** Implementing written policies and procedures that foster an institutional commitment to stewardship and compliance
- **Roles and responsibilities:** Defining roles and responsibilities across the institution and assigning oversight responsibility
- **Compliance Leadership:** Designating a compliance officer and compliance oversight committees
- **Training:** Conducting effective training and education
- **Communication:** Developing effective lines of communication
- **Monitoring:** Conducting internal monitoring, quality review, auditing, and assurance **“Line of Action”**
- **Enforcement:** Enforcing standards through well-publicized disciplinary guidelines
- **Corrective Response:** Responding promptly to detected problems, undertaking corrective action, and reporting to the appropriate agencies

How Higher Education Institutes Should Respond

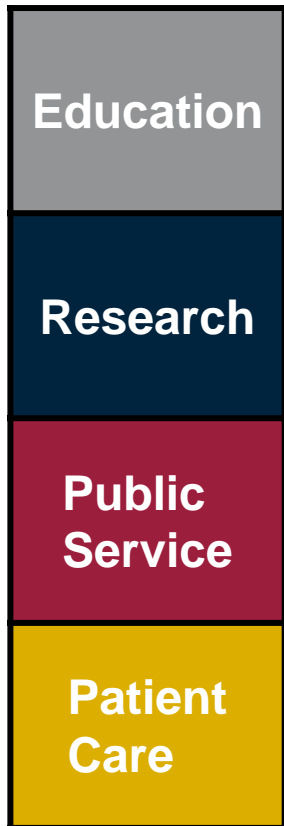
- Explicit written policies, institutional codes of ethics and conduct
- Adequate institutional and Board-level oversight of the compliance function
- Designation of a responsible institutional official with appropriate authority and expertise
- Adoption of adequate procedures, resources, and systems to permit compliance
- Maintenance of a process to allow anonymous reporting of alleged non-compliance
- Protection of employees who file reports
- Regular monitoring and quality review audits to test compliance
- Mechanisms to enforce rules and discipline rule violators, take corrective action and communicate results

Benefits of an Effective Compliance Program

- A proactive approach to creating a compliance program will allow an institution to manage its compliance risk without imposing unnecessary constraints on the institution's operations
- Strong compliance programs benefit research institutions by reducing the risk of significant non-compliance
- Compliance programs reduce the negative impact of having non-compliance discovered by regulators or funding agencies
- The accountability, clarity, and information requirements of a strong compliance program are often beneficial in terms of institutional management

Summary & Conclusion: Back to our Mission and Aspirations for Pre-, Post-, and Compliance Success:

Our 4-Point Mission



- Education
- Clinical Care
- Prestige
- Recruitment
- Development

Proactively leading the enterprise includes:

- Strategic leadership
- Financial leadership
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