# Research Administration Presentation

<u>Charge</u>: Review options for reducing cost and increasing performance via consolidation at one campus

<u>Goal:</u> Reduce administrative cost by 20%

August 17, 2016

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## Team Members

- Chris Fallen – Research Assistant Professor, UAF Geophysical Institute
- Bridget Watson
- Bill Schnabel – Director, UAF Institute of Northern Engineering
- Nate Bauer – Publications Manager, UAF International Arctic Research Center
- Larry Hartig – Commissioner, Alaska Dept. of Environmental Conservation
- Helena Wisniewski – Vice Provost, UAA Research and Graduate Studies
- Allison Bidlack – Director, UAS Alaska Coastal Rainforest Center

- Larry Hinzman – UAF Vice Chancellor for Research
- Karen Schmitt – Dean and Vice-Provost for Research, UAS School of Arts and Sciences
- Rosemary Madnick – Executive Director, UAF Office of Grants and Contracts Admin.
- Jeff Welker – Professor and Faculty Member, UAA Environment and Natural Resources Institute
- Donie Bret-Harte – Associate Professor, UAF Institute of Arctic Biology
- Cheryl Wilga –Director, UAA Dept. of Biological Sciences

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# Key Stakeholders

▶ Faculty

▶ Students

▶ Government Funding Agencies

▶ Private Funding Sources

▶ People of Alaska

▶ Community Stakeholders (Business and Economic Development Agencies)

▶ Colleagues in Research Community

▶ Staff

▶ Legislature

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# Context

1. This effort focused on Research Administration at the central, university-wide level of UAF, UAA & UAS.  Research support activities at the institute or department level were not considered.

2. Serial horizontal cuts over several years have resulted in a Research Administration infrastructure that is already stretched thin.

3. Most options presented involve cuts, but also require some amount of reallocation or increased support in combined units.

4. Increased cuts will likely result in decreased research funding overall.  However, cuts to "transactional" functions will likely have a greater financial impact than cuts to "oversight" functions

5. Increased cuts to oversight functions increase the compliance risk for financial, administrative, and regulatory audits.
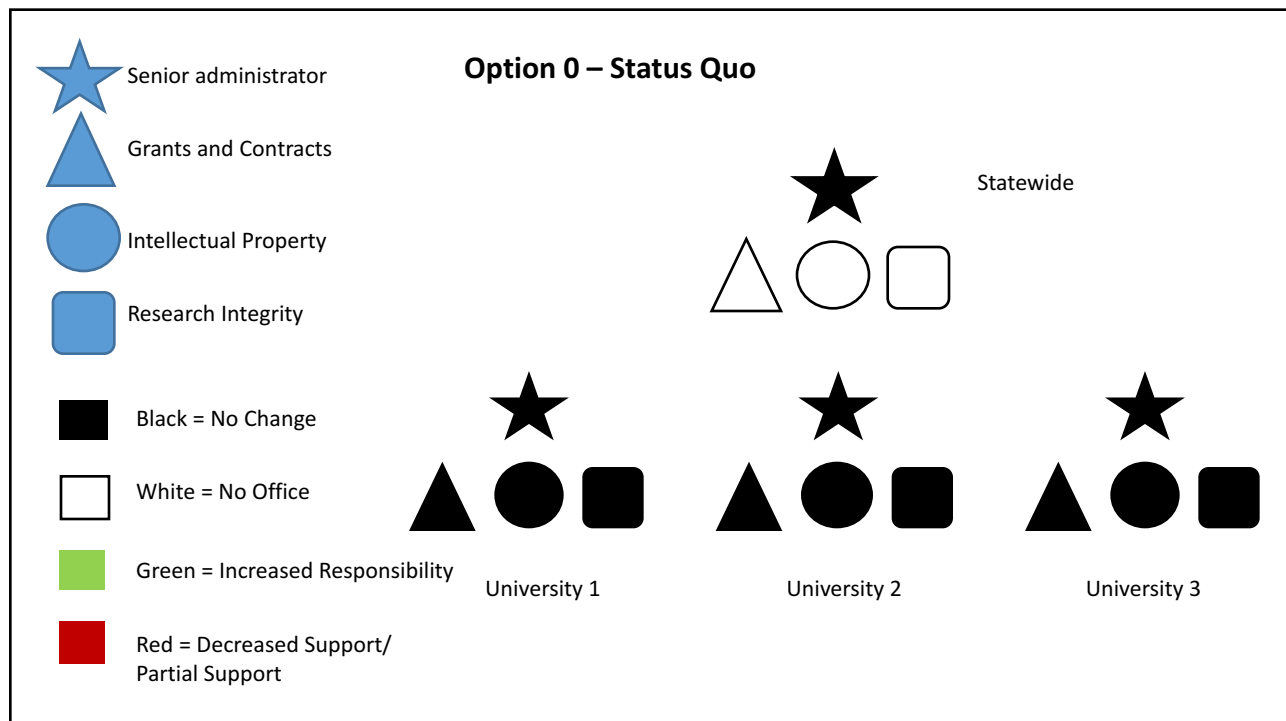
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# Options

▶ 1 – Consolidation at a Single University

▶ 2 – Consolidation of Research Administration Functions (distributed at multiple locations)

▶ 3 – Maintain Existing Structure and Implement Shared Services

▶ 4 – Consolidation of Research Administration Leadership (One University)

▶ 5 – Consolidation of Research Administration Leadership at Statewide and Add a Deputy at UAF

▶ 6 – Consolidation at Statewide

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**Option 0 – Status Quo**

⭐ Senior administrator

🔺 Grants and Contracts

🔵 Intellectual Property

🟦 Research Integrity

⬛ Black = No Change

⬜ White = No Office

🟩 Green = Increased Responsibility

🟥 Red = Decreased Support/ Partial Support
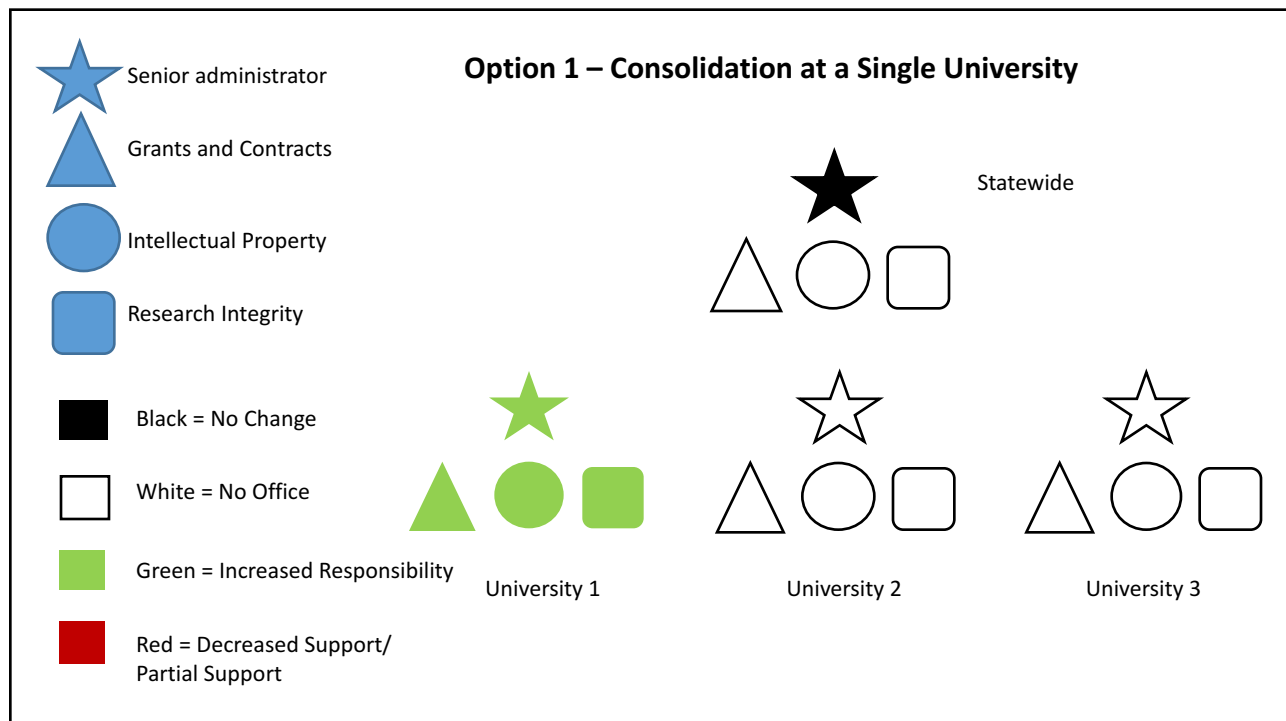
Statewide

University 1

University 2

University 3

# Option 1 – Consolidation at a Single University

A fully integrated research leadership and administration office at a single University that serves the entire system. This would be under a single senior research administrator for all Universities

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**Option 1 – Consolidation at a Single University**

Senior administrator

Grants and Contracts

Intellectual Property

Research Integrity

Black = No Change

White = No Office

Green = Increased Responsibility

Red = Decreased Support/ Partial Support

Statewide

University 1

University 2

University 3

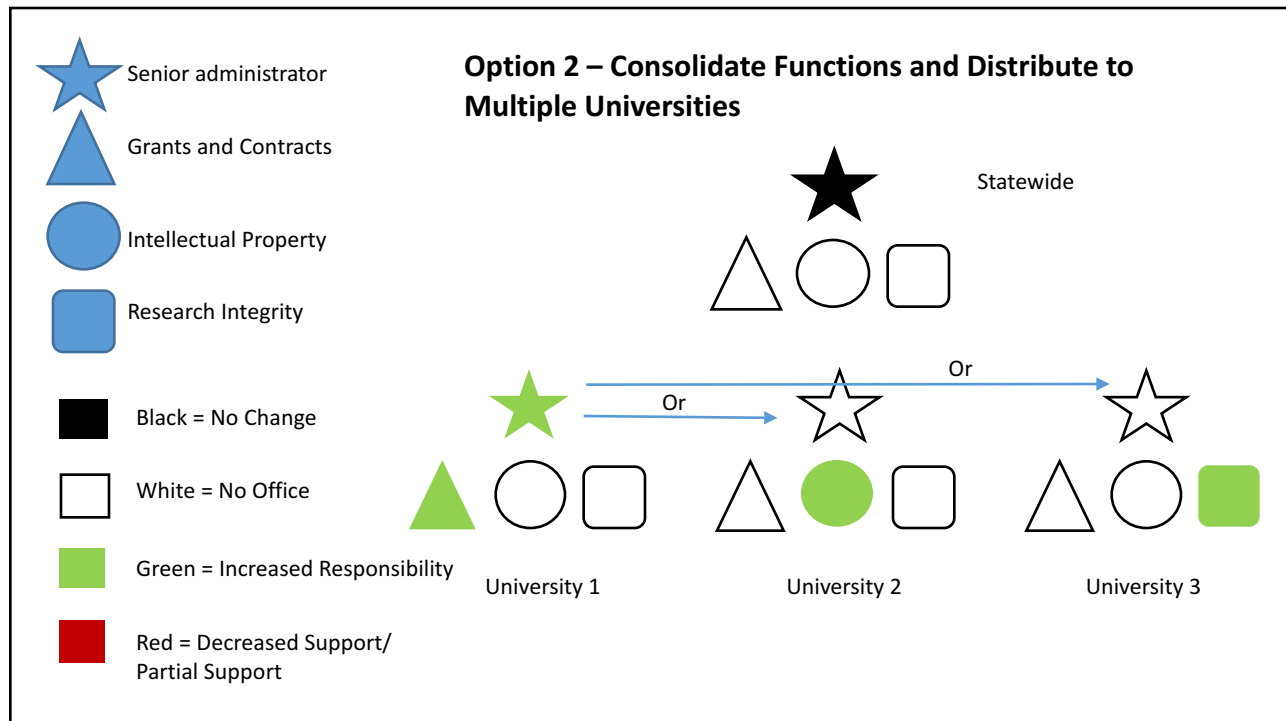## Pros and Cons of Option 1 - Consolidation

### Pros

1. Pooling of expertise would improve quality and consistency
2. Consistency of common procedures, systems and internal controls
3. Higher potential cost savings
4. Could promote collaboration and best practices across Universities

### Cons

1. Decreases face to face interactions for researchers
2. Loss of skill sets at a given University
3. Increased processing time
4. Staff resistance to moving
5. Higher risk of compliance issues due to lags and lapses in communication from projects to administration

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## Option 2 – Consolidation of Research Administration Functions (distributed at multiple locations)

A fully integrated research administration office that includes grants and contracts, regulatory and ethics compliance as well as innovation and commercialization. Each research administration function would be centralized but at different Universities vs. in one location. Each University would have one designated core function. This would be under a single senior research administrator serving all Universities. All would report up into a single office. Location to be determined.

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## Option 2 – Consolidate Functions and Distribute to Multiple Universities

Senior administrator

Grants and Contracts

Intellectual Property

Research Integrity

Black = No Change

White = No Office

Green = Increased Responsibility

Red = Decreased Support/ Partial Support

Statewide

Or

Or

University 1          University 2          University 3
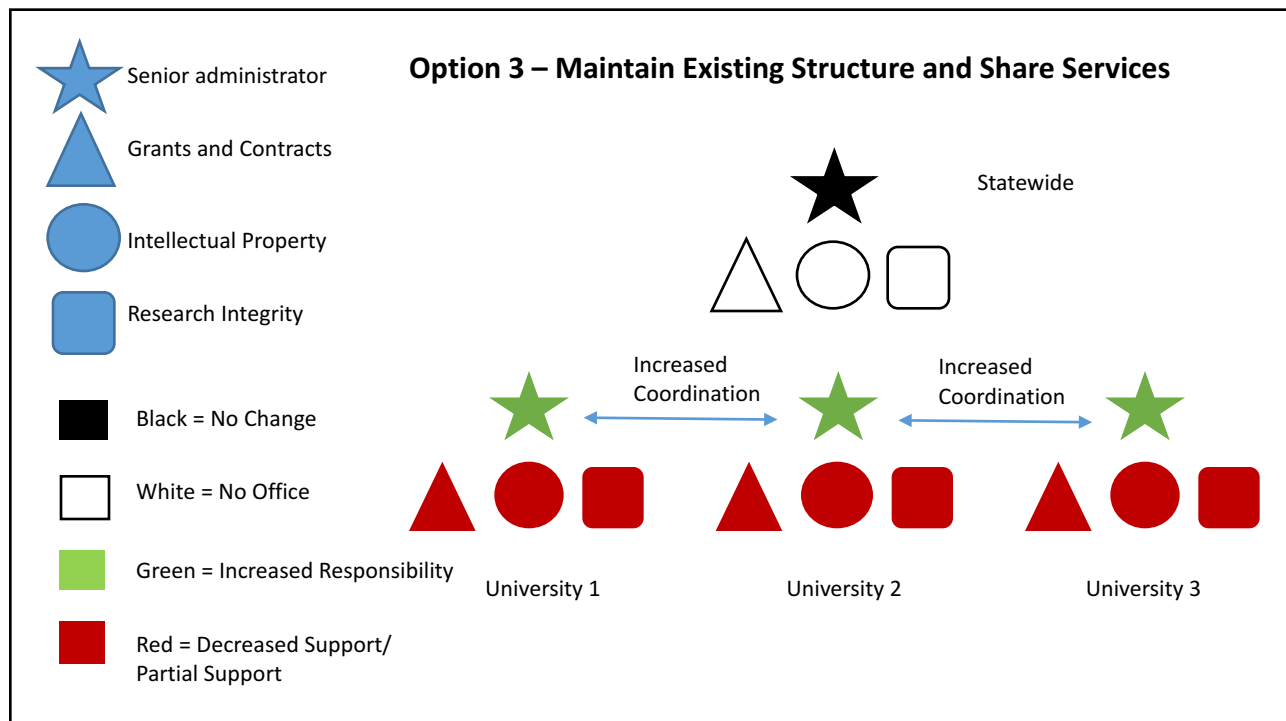
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# Pros and Cons of Option 2

## Pros

1. Takes advantage of strengths that exist at each University
2. Each University would have a role in Research Administration
3. Less faculty resistance versus Option 1
4. Maintains potential for alumni giving as alumni can identify with campus strengths

## Cons

1. Potential duplication at the campus level creating shadow systems and processes
2. Harder to coordinate across offices vs. Option 1
3. Chains of command become complex and potentially conflicting, e.g. multiple reporting relationships
4. Cost cutting authority at each University level could compromise the centralized function

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# Option 3:  Maintain Existing Structure and Implement Shared Services

This option involves sharing of staff for non-contracted services as well as sharing contracted services in the areas of external legal, software, regulatory compliance, coordination of strategy and efforts to secure grants and acquire funding.  Current location of services would be maintained. Insertion of overall coordination function to manage workloads across the Universities

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## Option 3 – Maintain Existing Structure and Share Services

Legend:
- ★ Senior administrator
- ▲ Grants and Contracts
- ● Intellectual Property
- ▢ Research Integrity
- ■ Black = No Change
- ☐ White = No Office
- ▇ Green = Increased Responsibility
- ▇ Red = Decreased Support/ Partial Support

Statewide

Increased Coordination

University 1      University 2      University 3
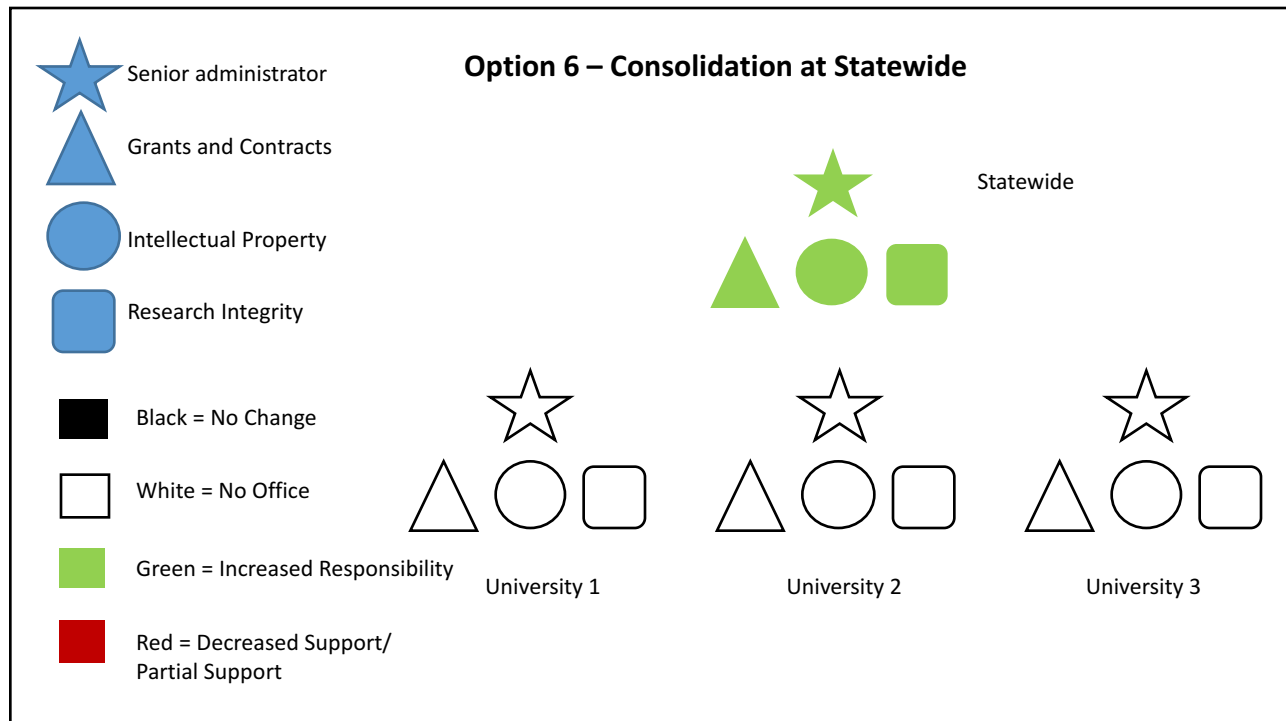
## Pros and Cons of Option 3

### Pros

1. Minimizes risk of resistance to change

### Cons

1. Less cost saving potential. Unlikely to reach goal
2. Potential conflict of interest, i.e. loyalty to serve "my" University faculty vs. others
3. Chains of command become complex and potentially conflicting, e.g. multiple reporting relationships. More pronounced than Option 2
4. More resistant to successful continuous quality improvement than other options
5. Investment in the new coordination function would be an ongoing cost

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## Option 6: Consolidation at Statewide

A fully integrated research leadership and administration office at statewide that serves the entire system. The would be under a single senior research administrator for all Universities

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**Option 6 – Consolidation at Statewide**

Senior administrator

Grants and Contracts

Intellectual Property

Research Integrity

Black = No Change

White = No Office

Green = Increased Responsibility

Red = Decreased Support/
Partial Support

Statewide

University 1          University 2          University 3

# Pros and Cons of Option 6

## Pros

1. Has the possibility of being viewed as more fair than Option 1

## Cons

1. Risk of research administration being less responsive to campus where the research is conducted
2. Loss of skill sets at all Universities
3. UA Statewide has limited experience in research administration
4. Does not respond to committee's charge

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## Further Analysis Needed

1. Some proposal opportunities only allow one submission per University. Would we be allowed submissions from more than one campus under this option?

2. What impact does centralized administration have upon oversight/compliance?

3. Does the 20% reduction goal apply to GF only or GF plus ICR funding?

4. A staffing analysis is required to evaluate cost savings through staff reductions at non-host campuses?

5. A staffing analysis is required to evaluate the additional investment needed at host campus to cover research administration needs for all three campuses?

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## Q & A

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# Research Administration Report

Charge: Review options for reducing cost and increasing performance via consolidation at one campus

Goal: Reduce administrative cost by 20%

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# Key Stakeholders

▶ Faculty

▶ Students

▶ Government Funding Agencies

▶ Private Funding Sources

▶ People of Alaska

▶ Community Stakeholders (Business and Economic Development Agencies)

▶ Colleagues in Research Community

▶ Staff

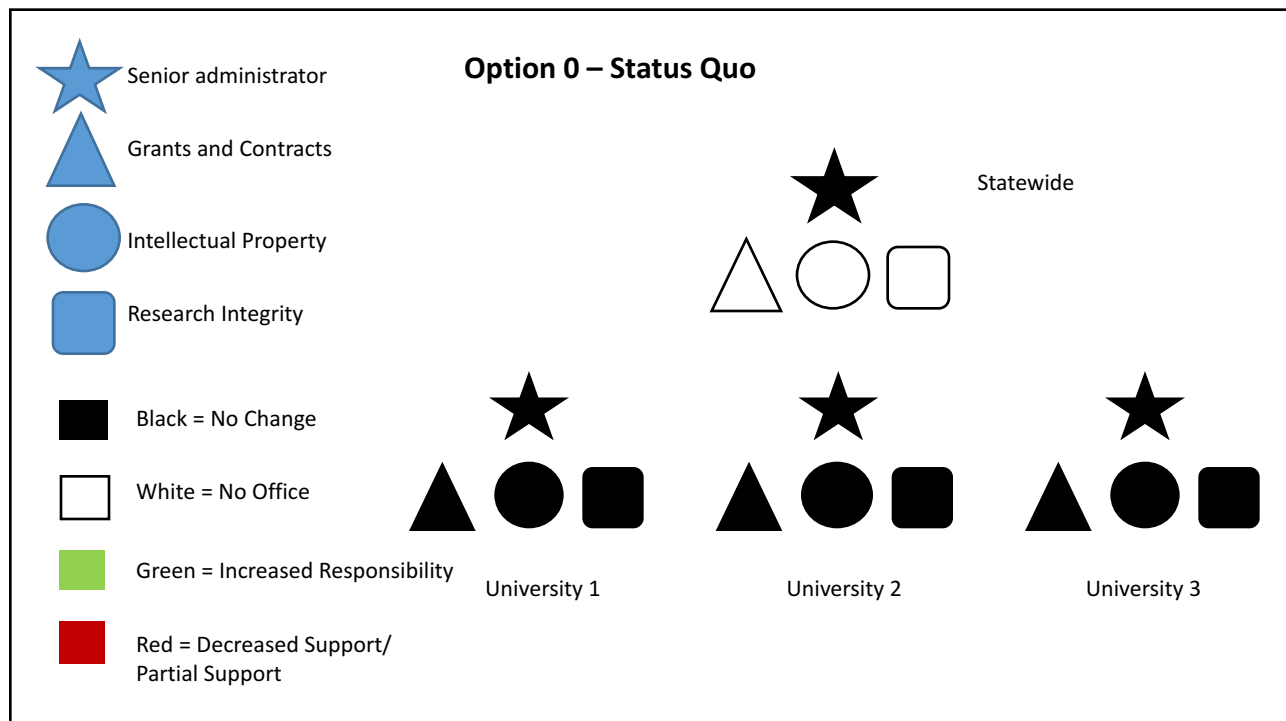▶ Legislature

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# Context

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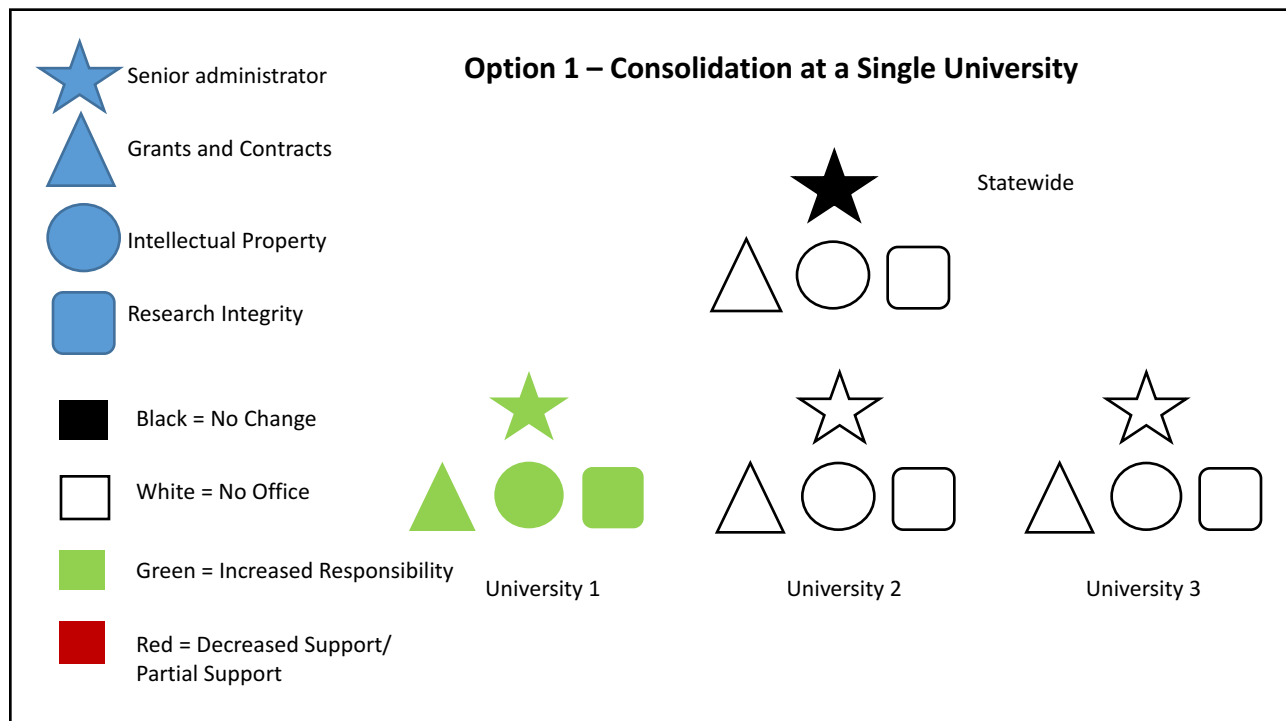
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# Options

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▶ 5 – Consolidation of Research Administration Leadership at Statewide and Add a Deputy at UAF

▶ 6 – Consolidation at Statewide

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**Option 0 – Status Quo**

★ Senior administrator

▲ Grants and Contracts

● Intellectual Property

▢ Research Integrity

■ Black = No Change

□ White = No Office

🟩 Green = Increased Responsibility

🟥 Red = Decreased Support/
Partial Support

Statewide

University 1        University 2        University 3

# Option 1 – Consolidation at a Single University

A fully integrated research leadership and administration office at a single University that serves the entire system. This would be under a single senior research administrator for all Universities

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**Option 1 – Consolidation at a Single University**

Senior administrator

Grants and Contracts

Intellectual Property

Research Integrity

Black = No Change

White = No Office

Green = Increased Responsibility

Red = Decreased Support/
Partial Support

Statewide

University 1

University 2

University 3

# Option 1 - Key Change Elements

1. All three functions (research integrity/compliance, grants and contracts, innovation/commercialization) would be consolidated and co-located, reporting up to a single office

2. Staffing and workloads for affected positions would need to be analyzed to determine exact staffing changes. Would eliminate vice-chancellor for research and two vice-provosts for research. Need to designate or establish a senior administrator for research and potentially a deputy to manage the centralized function

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# Pros and Cons of Option 1 - Consolidation

## Pros

1. Pooling of expertise would improve quality and consistency
2. Consistency of common procedures, systems and internal controls
3. Likely to save costs, be more efficient
4. Could promote collaboration across Universities
5. Dissemination of best practices is streamlined
6. Better succession planning and resistance to impacts of turnover

## Cons

1. Decreases face to face interactions for researchers
2. Decreased personal contact access for undergrad and graduate students
3. Loss of skill sets at a given University
4. Increased processing time
5. Staff resistance to moving
6. Potential for perception that those at Universities not hosting the central function are not being treated fairly because of conflicts of commitment
7. Resistance to moving to a single method/process

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## Pros and Cons of Option 1 - Consolidation

### Pros

7. Increases access for UAS to full array of research admin services

8. Facilitates continuous improvement

9. Facilitates management of peaks and valleys of workload from the three Universities

10. Space savings but need for additional space/renovation to accommodate central function

### Cons

8. Higher risk of compliance issues due to lags and lapses in communication from projects to administration

9. Decreased physical access and potentially timeliness for faculty.  Highly subject to quality of implementation

10. Potential increased travel cost to assure compliance

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## Further Analysis Needed

1. Some proposal opportunities only allow one submission per University.  Would we be allowed submissions from more than one campus under this option?

2. Research compliance questions associated with administering research centrally

3. Does the 20% reduction goal apply to GF only or GF plus ICR funding?

4. A staffing analysis is required to evaluate cost savings through reduced people

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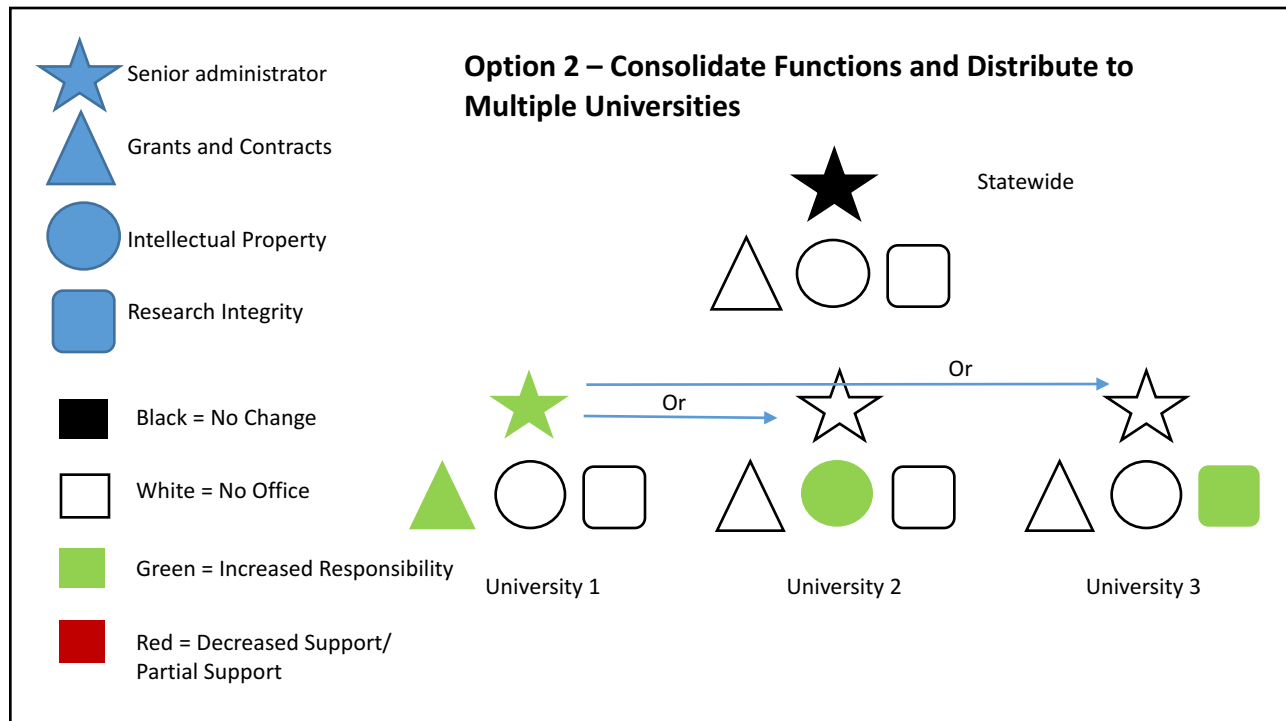
## Other Opportunities for Change

1. Consolidate software licensing
2. Incentivizing and reward proposal development and success
3. Seeking more master agreements
4. Investing in proposal development and training
5. Research summit to foster collaboration and interdisciplinary research
6. Inventory existing facilities and examine benefits and costs

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## Option 2 – Consolidation of Research Administration Functions (distributed at multiple locations)

A fully integrated research administration office that includes grants and contracts, regulatory and ethics compliance as well as innovation and commercialization. Each research administration function would be centralized but at different Universities vs. in one location. Each University would have one designated core function. This would be under a single senior research administrator serving all Universities. All would report up into a single office. Location to be determined.

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Option 2 – Consolidate Functions and Distribute to Multiple Universities

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# Option 2 – Key Change Elements

1. Each of three functions would be consolidated at one of the three campuses but reporting up to a single office within the system
2. Each function would be under a senior research administrator at each of the three campuses
3. Staffing and workloads at the three universities would have to be analyzed to determine exact staffing changes as positions are dissimilar across universities
4. Campuses now use same software but with separate contracts. These would be re-examined in an effort to consolidate/reduce costs
5. Space changes would await staffing analysis
6. Cost savings would await staffing analysis. Streamlined and consistent procedures and internal controls.
7. ICR would be redistributed

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## Pros and Cons of Option 2 – Consolidate & Distribute

### Pros

1. Takes advantage of strengths that exist at each University
2. Each University would have a role in Research Administration
3. Less faculty resistance versus Option 1
4. Facilitates continuous improvement and utilization of best practices
5. Pooling of expertise
6. Facilitates management of peaks and valleys of workload from the three Universities

### Cons

1. Decreases face to face interactions for researchers
2. Loss of skill sets at a given University
3. Increased processing time
4. Staff resistance to moving
5. Potential for perception that those at Universities not hosting the central function are not being treated fairly because of conflicts of commitment
6. Resistance to moving to a single method/process

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## Pros and Cons of Option 2

### Pros

7. Increases access for UAS to full array of research admin services
8. Maintains potential for alumni giving as alumni can identify with campus strengths

### Cons

7. Higher risk of compliance issues due to lags and lapses in communication from projects to administration
8. Potential duplication at the campus level creating shadow systems and processes
9. Harder to coordinate across offices vs. Option 1
10. Chains of command become complex and potentially conflicting, e.g. multiple reporting relationships
11. Cost cutting authority at each University level could compromise the centralized function
12. Additional investment required in travel of administrators and communication changes

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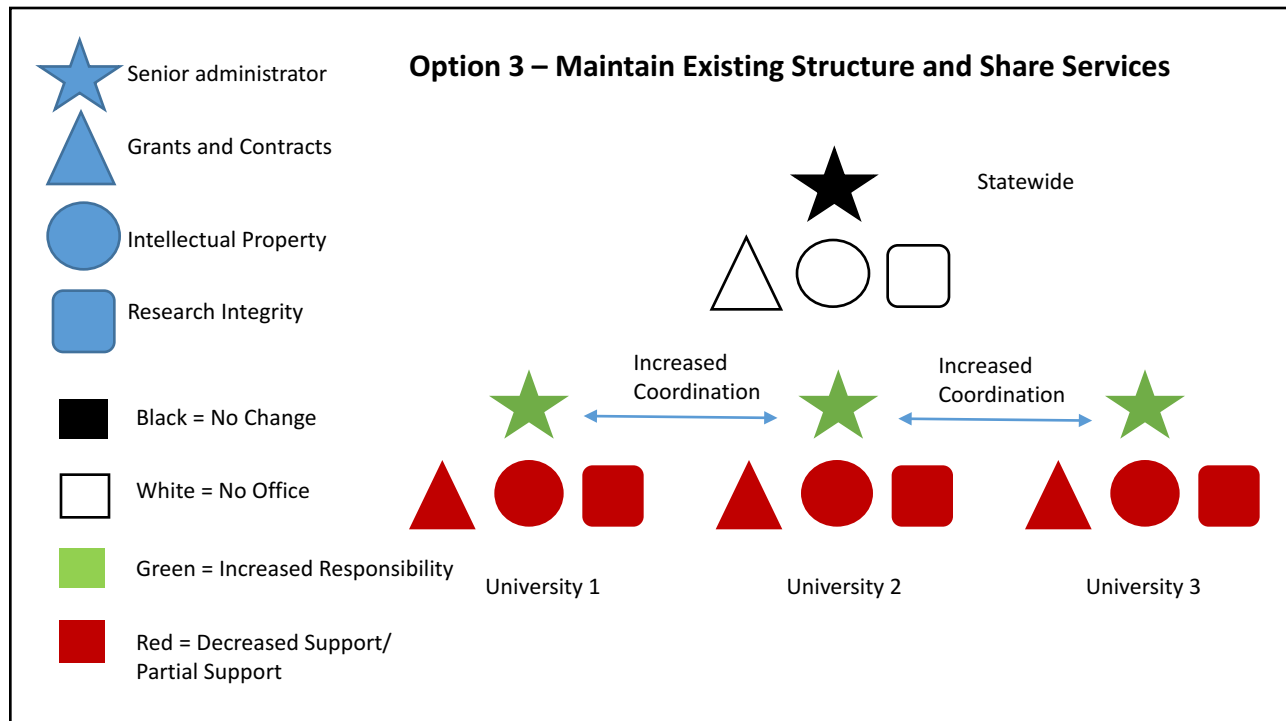*Many Traditions One Alaska*

## Further Analysis Needed

1. How will the centralized infrastructure interface with department-level research?
2. How to manage through multiple University hierarchies to get a centralized, coordinated function. Can you get there with an extra layer in chain of command?

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## Option 3: Maintain Existing Structure and Implement Shared Services

This option involves sharing of staff for non-contracted services as well as sharing contracted services in the areas of external legal, software, regulatory compliance, coordination of strategy and efforts to secure grants and acquire funding. Current location of services would be maintained. Insertion of overall coordination function to manage workloads across the Universities

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## Option 3 – Maintain Existing Structure and Share Services

Senior administrator

Grants and Contracts

Intellectual Property

Research Integrity

Black = No Change

White = No Office

Green = Increased Responsibility

Red = Decreased Support/
Partial Support

Statewide

Increased Coordination

Increased Coordination

University 1

University 2

University 3

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# Option 3 – Key Change Elements

1. Potential re-allocation and reduction across core functions based on staffing analysis
2. Consolidate software use and costs
3. Need to implement workload coordination function across the three Universities

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## Pros and Cons of Option 3 – Shared Services

### Pros

1. Minimizes risk of resistance to change
2. Facilitates sharing of expertise, best practices

### Cons

1. Less cost saving potential. Unlikely to reach goal
2. Potential conflict of interest, i.e. loyalty to serve "my" University faculty vs. others
3. Chains of command become complex and potentially conflicting, e.g. multiple reporting relationships. More pronounced than Option 2
4. More resistant to successful continuous quality improvement than other options
5. Investment in the new coordination function would be an ongoing cost

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## Option 4: Consolidation of Research Administration Leadership (one University)

Collapse the three Vice-Chancellor/Vice-Provost positions into a single senior research administrator at one of the three Universities. Include adequate authority commensurate with responsibilities.

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**Option 4 – Consolidation of Research Administration Leadership**

Senior administrator

Grants and Contracts

Intellectual Property

Research Integrity

Black = No Change

White = No Office

Green = Increased Responsibility

Red = Decreased Support/ Partial Support

Statewide

University 1

University 2

University 3

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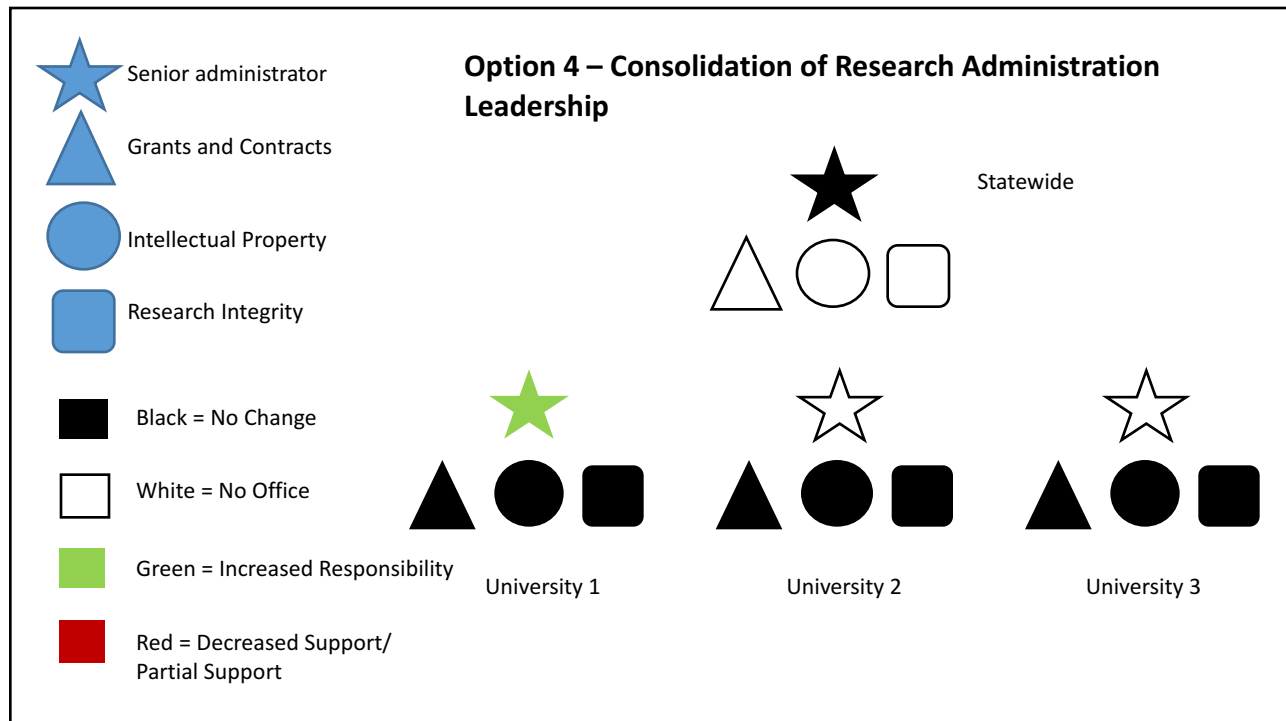
# Option 4 – Key Change Elements

1. The existing Vice-Chancellor/Vice-Provost positions are now dissimilar and a functional analysis of the three positions would need to be completed before implementing this option and knowing its impact on staffing

2. Requires a redistribution of ICR

3. Marketing of UA research capabilities would be centralized which could result in being more effective but may require additional staff help

4. Impact on costs could be minimal to substantial depending upon how it is implemented. Potential for higher travel cost relative to Option 1

5. Front-end investment would have to be determined

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## Pros and Cons of Option 4 - Consolidation

### Pros

1. Ease of implementation
2. Increases options for leveraging resources across the University system
3. Coordination among research units should be easier
4. Facilitates promotion of entire University system research capabilities

### Cons

1. Not likely to reach cost saving goal
2. Diminishes faculty access to decision makers
3. Coordination/collaboration is dependent upon relationships across campuses below the Vice-Chancellor/Vice-Provost level. It will be harder.
4. Increased travel costs
5. Employee resistance
6. Because of load associated with management of UAF research, there may not be sufficient bandwidth under this option to effectively

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## Pros and Cons of Option 4 - Consolidation

### Pros

### Cons

7. Manage statewide or inadequate UAF management
8. Because of inadequate bandwidth, could diminish possibilities of implementing effective continuous quality improvement

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# Option 5: Consolidation of Research Administration Leadership at Statewide and Add a Deputy at UAF

Collapse the three Vice-Chancellor/Vice-Provost positions into a senior research administrator at UA-SW. This would be an addition to existing UA Statewide V-P for Academic Affairs and Research. Add a deputy research administrator at UAF to handle excess workload

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**Option 5 – Consolidation of Research Administration Leadership at Statewide + Deputy at One University**

Legend:
- Senior administrator (star)
- Grants and Contracts (triangle)
- Intellectual Property (circle)
- Research Integrity (rounded square)
- Black = No Change
- White = No Office
- Green = Increased Responsibility
- Red = Decreased Support/Partial Support

Statewide

University 1    University 2    University 3

# Option 5 – Key Change Elements

▶ The positions to be consolidated are now dissimilar and a functional analysis of the three positions would need to be completed

▶ Addition of a position at UAF

▶ Investment in increased communication and travel costs

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# Pros and Cons of Option 5 – Consolidation at One University

## Pros

1. See Pros for Option 4
2. Reduces risk associated with inadequate bandwidth under Option 4
3. Better assures UAA and UAS get served
4. Improves ability to implement effective continuous quality improvement
5. More effective research marketing effort relative to Option 4
6. Allow deputy to focus on needs of UAS and frees up senior admin leadership to focus on system

## Cons

1. Reduces risks of a number of the cons in Option 4
2. Reduces cost savings relative to Option 4

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# Option 6: Consolidation at Statewide

A fully integrated research leadership and administration office at statewide that serves the entire system. The would be under a single senior research administrator for all Universities

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**Option 6 – Consolidation at Statewide**

★ Senior administrator

▲ Grants and Contracts

● Intellectual Property

▢ Research Integrity

■ Black = No Change

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Partial Support

Statewide

University 1    University 2    University 3
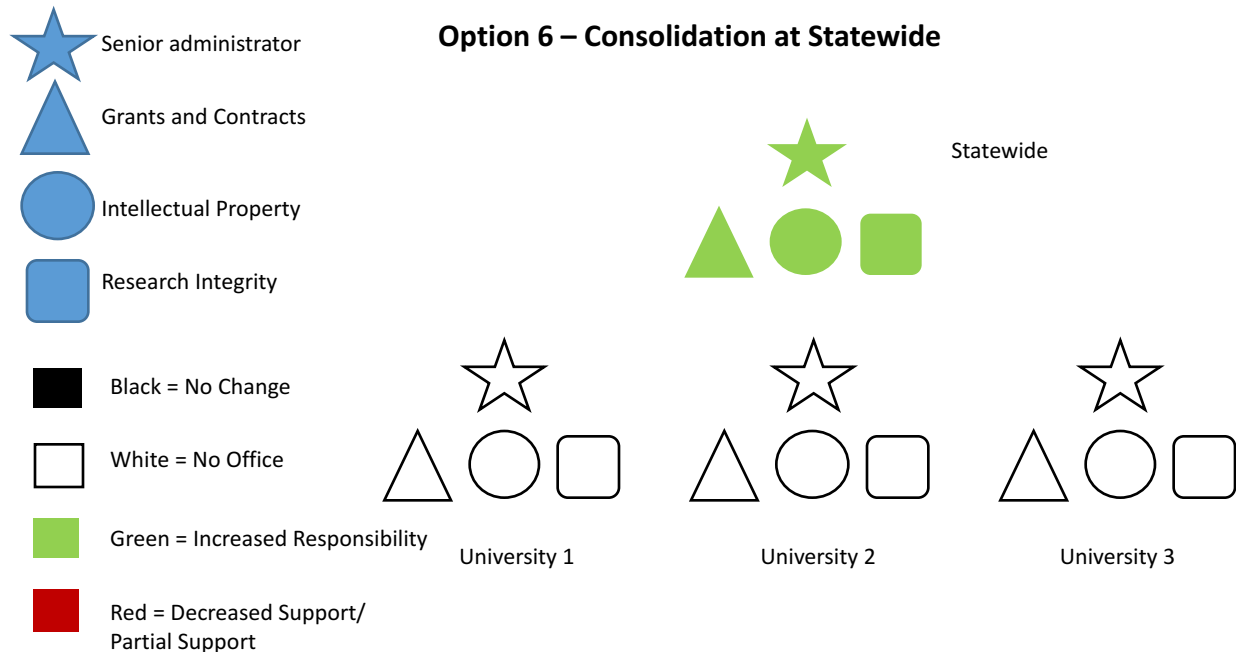
## Option 6 – Key Change Elements

1. All three functions (research integrity/compliance, grants and contracts, innovation/commercialization) would be consolidated and co-located, reporting up to a single office

2. Exact staffing changes would have to await staffing, duplication and workload analysis of the existing offices at the three Universities.  Again, different classification/job titles at the Universities necessitate this analysis.

3. Eliminate vice-chancellor for research and two vice-provosts for research.  Need to designate or establish a vice-president for research and potentially a deputy to manage the centralized function

4. Move to a single contract for each software product

5. Space savings at two campuses.  Statewide function would require additional space/renovation to accommodate larger office

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## Option 6 – Key Change Elements

6. Administrative costs would be reduced subject to staffing analysis

7. Streamlined and consistent procedures and internal controls would be facilitated.  Requires redistribution of ICR

8. Financial and administrative compliance cost could potentially be minimized.  Potential additional cost for traveling should compliance issues arise

9. Would require investment in travel and communication effort

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## Pros and Cons of Option 6 – Consolidation at Statewide

### Pros

1. Has the possibility of being viewed as more fair than Option 1
2. Pooling of expertise would improve quality and consistency
3. Consistency of common procedures, systems and internal controls
4. Likely to save costs, be more efficient
5. Could promote collaboration across the Universities
6. Dissemination of best practices is streamlined

### Cons

1. Risk of research administration being less responsive to campus where the research is conducted
2. Decreases face to face interactions for researchers
3. Loss of skill sets at a given University
4. Increased processing time
5. Staff resistance to moving
6. UA Statewide has limited experience in research administration

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## Pros and Cons of Option 6 – Consolidation at Statewide

### Pros

7. Better succession planning and resistance to impacts of turnover
8. Increases access for UAS to full array of research admin services
9. Facilitates continuous improvement
10. Facilitates management of peaks and valleys of workload from the three Universities

### Cons

7. Potential for perception that those at Universities not hosting the central function are not being treated fairly because of conflicts
8. Resistance to moving to a single method/process
9. Higher risk of compliance issues due to lags and lapses in communication from projects to administration
10. Does not respond to committee's charge

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# Addendum

► Peer Institutions Summary – UPDATED as of 71916.pdf

► Research Administration Staffing and Funding UAF-UAA-UAS 7.19.16 final

► Google Drive: See Additional Resources Folder

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External Environmental Factors & Growing Trends Impacting Research Administration:
- Growing and evolving institutional portfolio for extramural funding
- Increased complexity in federal and other sponsor requirements
- Focus on interdisciplinary and 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

Key Factors to Consider for Optimum Research Administration Structure:
- Commitment of institution's leadership to invest to improve the environment and serve as "champions" of change initiatives (academically and operationally)
- Institution's intended areas of focus and specializations in research (ex. bench, clinical, translational, centers/institutes)
- Effective mechanisms/technology for internal financial and administrative controls across organizational units
- How to best optimize the flow of information within and between central administration, academic/research units and sponsors
- What has proved effective (or ineffective) in the past
- How to capitalize on the institution's strengths and improve areas needing attention

## Compare and Contrast of Structures: *Typical University Models*

| | **Structure A**<br>Fully Integrated | **Structure B**<br>Separate Pre and Post-award reporting | **Structure C**<br>Pre and Post-award through same function |
|---|---|---|---|
| **Description** | Fully integrated sponsored programs function covering the lifecycle of awards under single team leader reporting to either the Academic/Research or Finance side | •Separate pre-award reports through the Academic/Research side<br>•Separate post-award reports through Finance function | • Pre-award and post-award report through same function |
| **Strengths** | • Integrates central research administration<br>• Provides seamless management of grants throughout the lifecycle | • Traditional structure, well understood in higher education<br>• Oversight by areas that are closely aligned with primary functions<br>• Ensures appropriate financial controls and compliance | • Enables increased communication<br>• Less possibility for duplication of efforts<br>• Strong academic/operations leadership that may enhance efficiency and coordination with other functions |
| **Weaknesses** | • Cultural barrier to implementation due to historically separate offices<br>• Requires team leads with both pre and post award skillset | • Potential gaps in communication<br>• Potential duplication of efforts<br>• Potential confusion on who controls research operations | • Oversight of an individual that may have numerous priorities, which can be in conflict |

## The following peer institutions were surveyed regarding research administration functions: *spreadsheet attached*

| **Institutions** | |
|---|---|
| *See attached spreadsheet* | |

## Observations from Peer Institution Survey:

| Institution | UAF | UAA | UAS |
|---|---|---|---|
| **Who does the office report to? (e.g. Vice President for Administrative Services, Vice President for Research, Provost, etc.)** | Vice President for Research/Vice Chancellor for Research = 84% Vice Provost equivalent=16% | Vice President for Research/Vice Chancellor for Research = 60% Vice Provost or equivalent 40% | Vice Provost for Research 50% Vice President for Administrative Services 50% |
| **NSF HERD Data (FY14** | $ 142,577.62 | $ 9,773.25 | $ 1,510.00 |
| **# of FTE** | 17.10 | 7 | 3.25 |
| **Structure Type:** | Integrated/Combined 61% Separate 23% Other 16% | 60% Integrated/combined 40% Separate (pre and post reporting to different structures) | Integrated/Combined 50% Other 50% |
| **What is your Institution's financial system? (e.g. Banner, PeopleSoft)** | Banner 70% People Soft 15% Oracle 7.5% Advantage 7.5 % | Banner 40% People Soft 20% SAP 20% Datatel 20% | Banner 100% |
| **COMPLIANCE** | | | |
| **Who does the office report to? (e.g. Vice President for Administrative Services, Vice President for Research, Provost, etc.)** | Vice President for Research/Vice Chancellor for Research = 84% Vice Provost equivalent=16% | Vice President for Research/Vice Chancellor for Research = 60% Vice Provost or equivalent 40% | Vice Provost for Research %100 |
| **# of FTE** | 9.6 | 2.85 | N/A |
| **COMMERCIALIZATION** | | | |
| **Who does the office report to? (e.g. Vice President for Administrative Services, Vice President for Research, Provost, etc.)** | Vice President for Research/Vice Chancellor for Research = 77% Vice Provost equivalent=15% Other %8 | 40 % NA 20% Vice President 40%  Vice Provost | Vice Provost for Research (1 response) |
| **# of FTE** | 6.7 | 1.9 (2 offices average) | 0 |

**Potential Models:**

| | Regional/Satellite | Single Service | Service Pod | Functional |
|---|---|---|---|---|
| **Description** | Limited staffing at sites and reporting up to a single unit | All research administration functions report up through a single office | Service pods consist of pre, post, other, strategically located on campuses | Designated core research administration functions are handled by lead campuses |
| **Strengths** | • More face to face interaction<br>• Well positioned for location specific circumstances | • Pooling of expertise to a single location<br>• Consistency in usage of common policies, procedures, systems, and internal controls<br>• Optimal flow of information | • Cross coverage of support<br>• Knowledge transfer between staff<br>• Increased response time to potential issues | • Less redundancy<br>• Process and systems are streamlined |
| **Weaknesses** | • Potential process inefficiencies where there are mismatched skillsets<br>• Potential duplication of efforts | • Less face to face interaction | • Potential duplication of efforts<br>• Potential slower decision making | • Less service oriented and more transactional<br>• Less flow of information, functions are siloed |
| **PI/Unit Impact** | • Convenience | • One stop service unit | • Streamlined team approach | Additional coordination on specific functions handled |

| UA Strategic Pathways - Research Administration (RA) | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **Primary/Central Research Administration** | | | | | | | | | | |

| UA Primary/Central Research Administration Offices | FTE Snapshot as of April 2016* | State Appropriation (General Funds) | Indirect Cost Recovery (ICR)** | Other Sources & Intra-Agency Transfers | FY17 Total Continuation Budget*** | Award Management (1) | Regulatory Compliance (2) | Research & Economic Development (3) | Research Oversight (4) | NOTES |
|---|---|---|---|---|---|---|---|---|---|---|
| **UAF** | | | | | | | | | | |
| Office of Grant & Contract Management (OGCA) | 11.0 | $ 448,200 | $ 712,300 | $ 30,000 | $ 1,190,500 | X | | | | Incl. sponsored award mgmt & annual InfoEd software renewal |
| Office of Research Integrity (ORI) | 2.4 | $ - | $ 356,500 | $ - | $ 356,500 | | X | | | |
| Intellectual Property and Commercialization | 1.8 | $ 335,800 | $ - | $ - | $ 335,800 | | | X | | |
| Vice Chancellor for Research | 4.3 | $ 705,800 | $ 98,500 | $ - | $ 804,300 | | | | X | |
| **UAF TOTAL** | 19.5 | $ 1,489,800 | $ 1,167,300 | $ 30,000 | $ 2,687,100 | | | | | |
| **UAA** | | | | | | | | | | |
| Office of Sponsored Programs | 7.0 | $ - | $ 945,477 | $ - | $ 945,477 | 7.0 | | | | |
| Office of Research Integrity and Compliance | 1.4 | $ 156,510 | | | $ 156,510 | | 1.4 | | | |
| Office of Technology and Commercialization | 0.0 | $ 117,000 | | | $ 117,000 | | | 0.0 | | The VPRGS does UAA commercializtion with some time from ORGS staff, see FTE -line 16. |
| Vice Provost for Research and Graduate Studies | 3.4 | $ 657,048 | $ 53,023 | | $ 710,071 | 0.3 | 0.95 | 0.85 | 1.3 | |
| | | | | | $ - | | | | | |
| | | | | | $ - | | | | | |
| | | | | | $ - | | | | | |
| **UAA TOTAL** | 11.8 | $ 930,558 | $ 998,500 | $ - | $ 1,929,058 | | | | | |
| **UAS** | | | | | | | | | | |
| Office of Grants & Contracts | 2.2 | $ 42,607 | $ 162,008 | | $ 204,615 | X | X | | | Grants & Contracts; includes sponsored program award management |
| Vice Provost for Research and Sponsored Programs | 1.1 | $ 59,506 | $ 99,526 | | $ 159,032 | | X | | X | VPRSP is .1 FTE workload of the Dean of Arts & Sciences; includes 1.0 proposal coordination; and partnership with UAF for IACUC/IRB services |
| | | | | | $ - | | | | | |
| **UAS TOTAL** | 3.3 | $ 102,100 | $ 261,500 | $ - | $ 363,600 | | | | | |
| **STATEWIDE** | | | | | | | | | | |
| Statewide Office of Cost Analysis | | | | | $ - | | X | | | |
| List other offices, if applicable | | | | | $ - | | | | | |
| List other offices, if applicable | | | | | $ - | | | | | |
| **STATEWIDE TOTAL** | 0.0 | $ - | $ - | $ - | $ - | | | | | |
| **GRAND TOTAL** | 34.6 | $ 2,522,458 | $ 2,427,300 | $ 30,000 | $ 4,979,758 | | | | | |

*FY17 Continuation Budget Figures as of July 2016* — **Research Administration (RA) Role**

(1) Award Management includes grant and contract management functions for research and other sponsored activities (Training, proposal review/submission, award acceptance/negotiation, award management/monitoring, effort certification, federal financial reporting, closeouts).

(2) Regulatory Compliance includes Office of Research Integrity and performs regulatory review/compliance (including IACUC, IRB, IBC, export controls)UAA ITAR/EAR is handled by the VPRGS.

(3) Research and Economic Development includes Intellectual Property/Commercialization and coordinates property protections and commercialization (including patents and licenses); potentially revenue generating

(4) Research Oversight includes Vice Chancellor or Vice Provost levels, and oversees campus-wide research and sponsored activity development, match agreements, facilitates external relationships and provides strategic guidance for institutes/major research programs. May include other central offices related to F&A rate development and audit negotiations. Also initiates, coordinates and helps to acquire funding.

**NOTES**

* FTE snapshot includes Regular/Term and Extended Temp Regular positions (excludes Vacancy & non-extended Temporary) as of Spring 2016 (April Banner freeze). FTEs listed here may/may not match FY17 positions budgeted at continuation time (July 2016, FY17). Some offices may have reduced FTE counts between April/July 2016.

** Budgeted ICR represents an area where less reliance on state appropriations (General Funds) already exists.

*** FY17 Total Continuation Budget reflects current budgets which were reduced from FY16 levels as a result of state budget reductions. These figures represent grand totals by department and are not isolated to research administration activities only (i.e. some offices may perform work outside of research administration).