Research Administration Transformation - How ASU Architects for Growth

Huron Research Webinar Series

December 10, 2015

Presenters

Tamara Deuser

MBA, PMP, Associate Vice President of Operations and Chief of Staff to the Senior Vice President of Knowledge Enterprise Development, Arizona State University
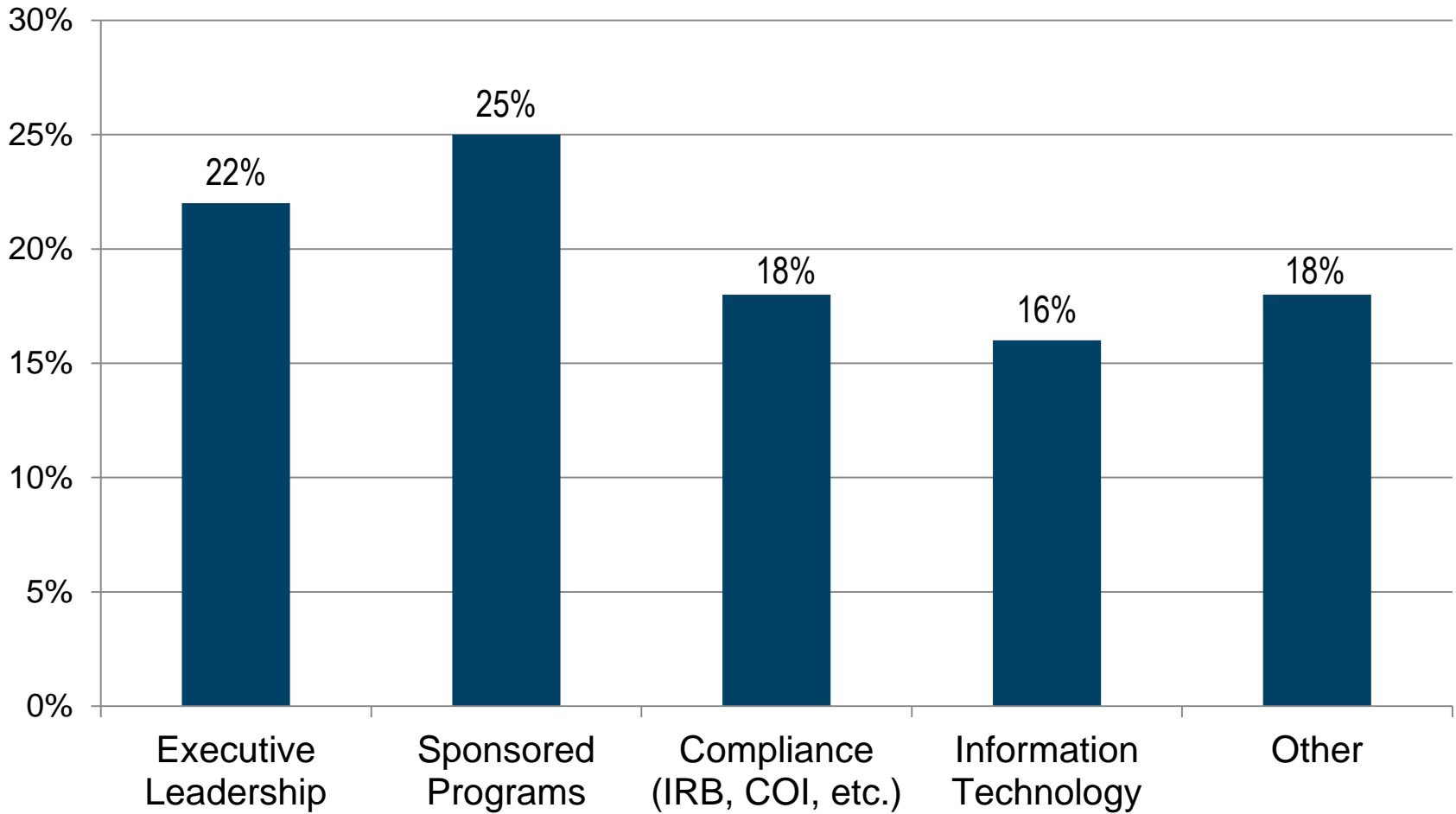
Gary Whitney

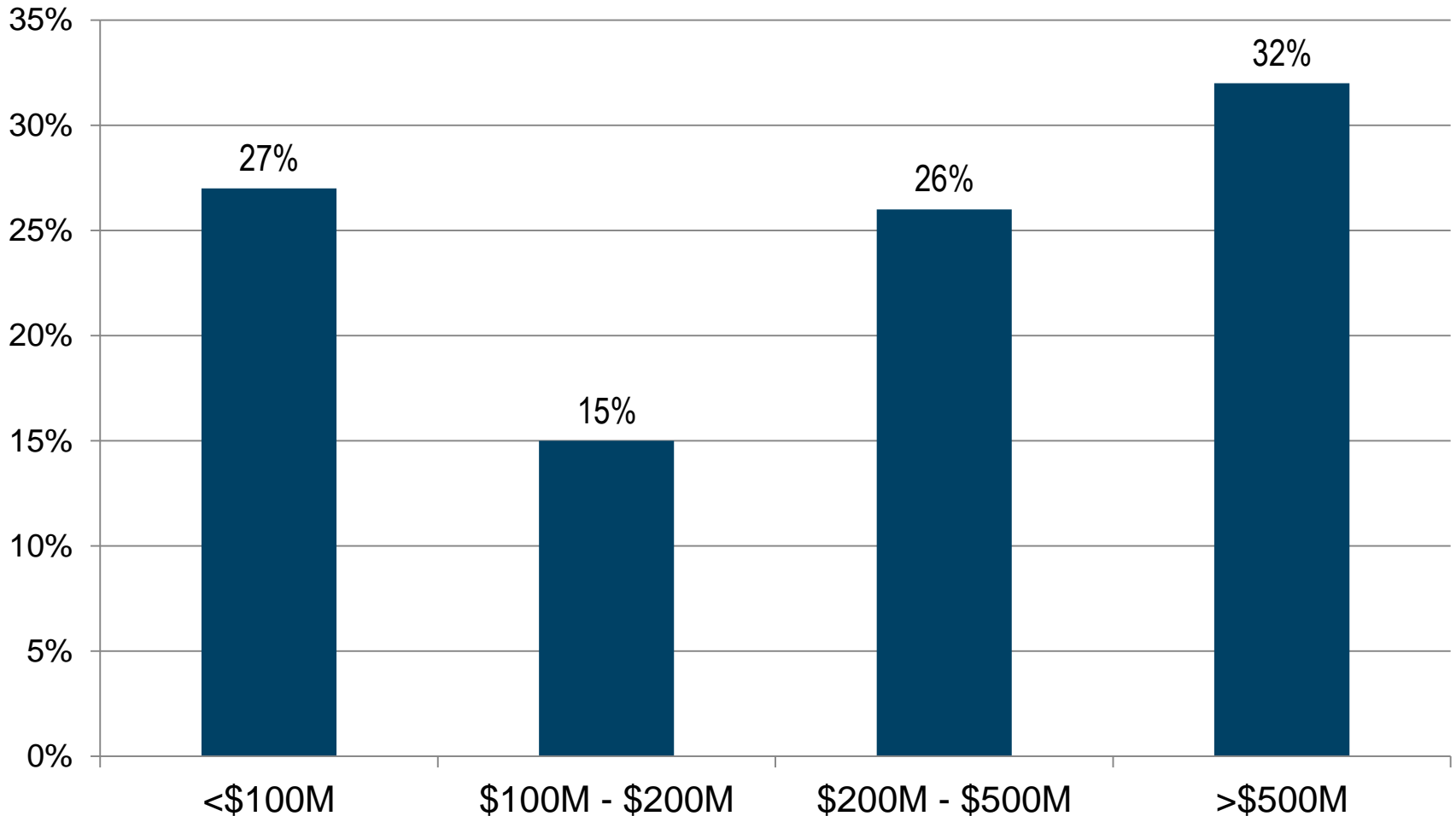Managing Director, Huron Education & Life Sciences

Agenda

Polling Question #1

What is your primary job function?
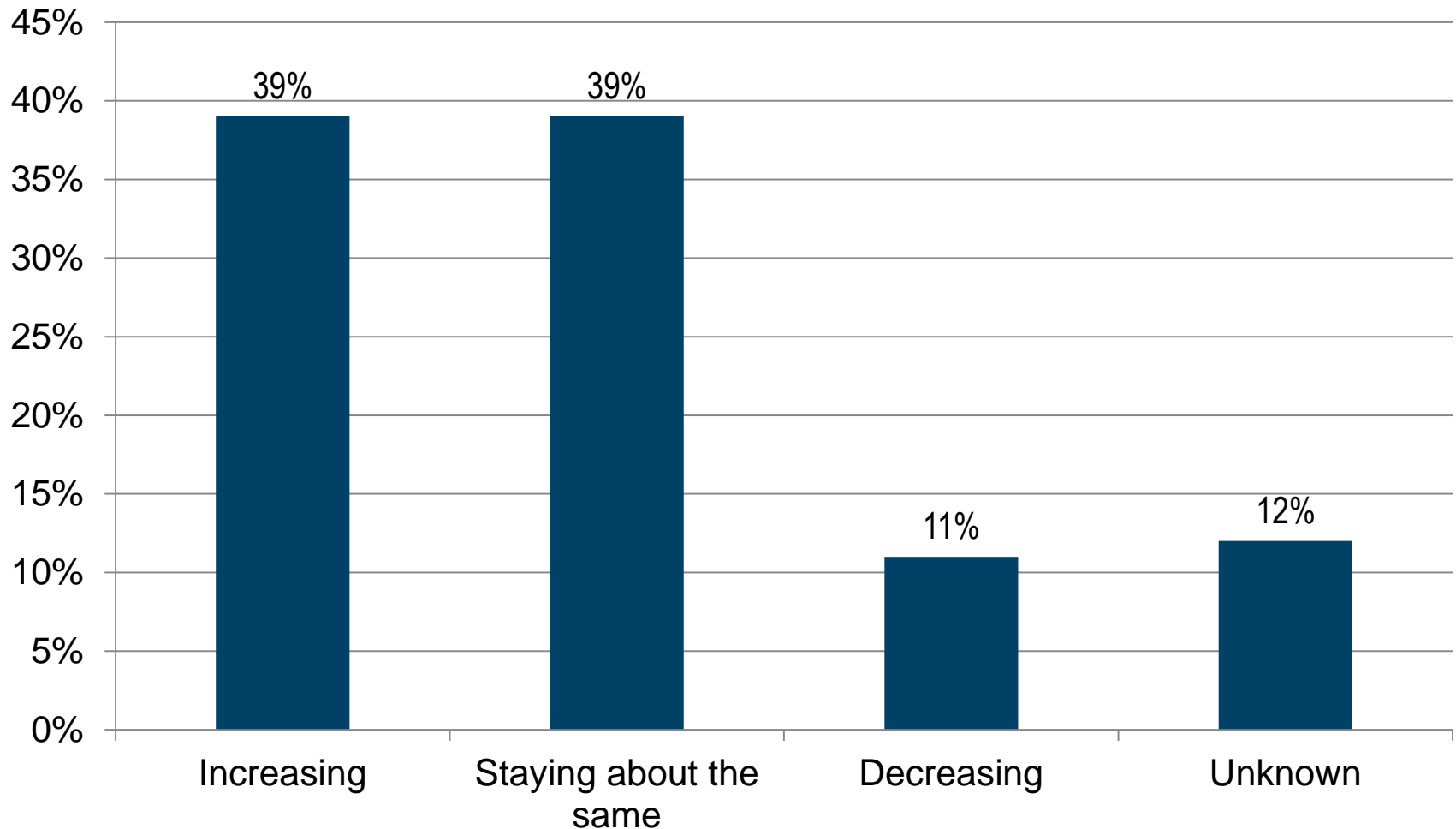
Polling Question #2

What level were your research expenditures last year?

Polling Question #3

What is the trend for Research Funding at your institution?

Category	Percentage
Increasing	39%
Staying about the same	39%
Decreasing	11%
Unknown	12%

Organizations have different levels of acceptable risk!

Risk Tolerant

Risk Neutral

Risk Averse
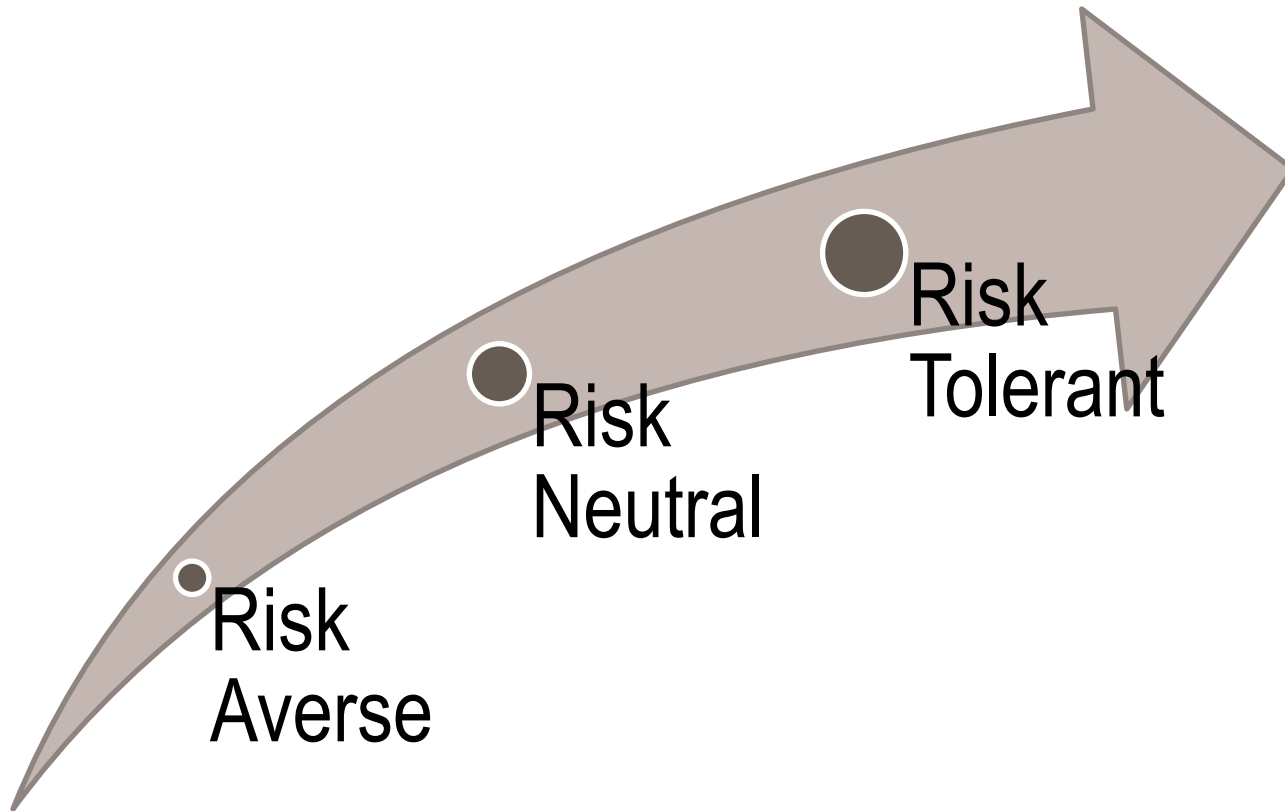
The Evolution of Operations

Tamara Deuser, MBA, PMP

Associate Vice President
Operations
Chief of Staff

Charter

ASU is a comprehensive public research university, measured not by whom it excludes, but by whom it includes and how they succeed; advancing research and discovery of public value; and assuming fundamental responsibility for the economic, social, cultural and overall health of the community it serves.

Demonstrate leadership in academic excellence and accessibility

Maintain the fundamental principle of accessibility to all students qualified to study at a research university

Maintain university accessibility to match Arizona's socioeconomic diversity

Improve freshmen persistence to 90%

Enhance university graduation rate to 75%-80% and 25,000 graduates

Enhance quality while reducing the cost of a degree

Enroll 100,000 online and distance education degree seeking students

Enhance linkages with community colleges so as to expand baccalaureate degree production to national leadership levels

Enhance measured student development and individual student learning to national leadership levels

Establish national standing in academic quality and impact of colleges and schools in every field

Attain national standing in academic quality for each college & school (top 5-10% for each college)

Attain national standing in the learning value added to our graduates in each college & school

Become the leading university academically (faculty, discovery, research, creativity) in at least one department or school within each college/school

Establish ASU as a global center for interdisciplinary research, discovery and development by 2020

Become a leading global center for interdisciplinary scholarship discovery and development

Become a leading American center for discovery and scholarship in the social sciences, arts and humanities

Enhance research competitiveness to more than $700 million in annual research expenditures

Augment regional economic competitiveness through research and discovery and value-added programs

Enhance our local impact and social embeddedness

Provide Arizona with an interactive network of teaching, learning and discovery resources that reflects the scope of ASU's comprehensive knowledge enterprise

Develop solutions to real-life challenges (Ex: Reducing the Urban Heath Index and improving long-term air quality in metropolitan Phoenix)

Increase the number of qualified K-12 teachers by 25% and develop a tool for teachers and administrators to evaluate educational performance and outcomes

Establish, with Mayo Clinic, innovative health solutions pathways capable of educating 200 million people about health care; engaging 20 million people in online health care delivery; and enhancing treatment for 2 million patients

Growing Research at ASU

Faculty-driven · Center-driven · University-driven
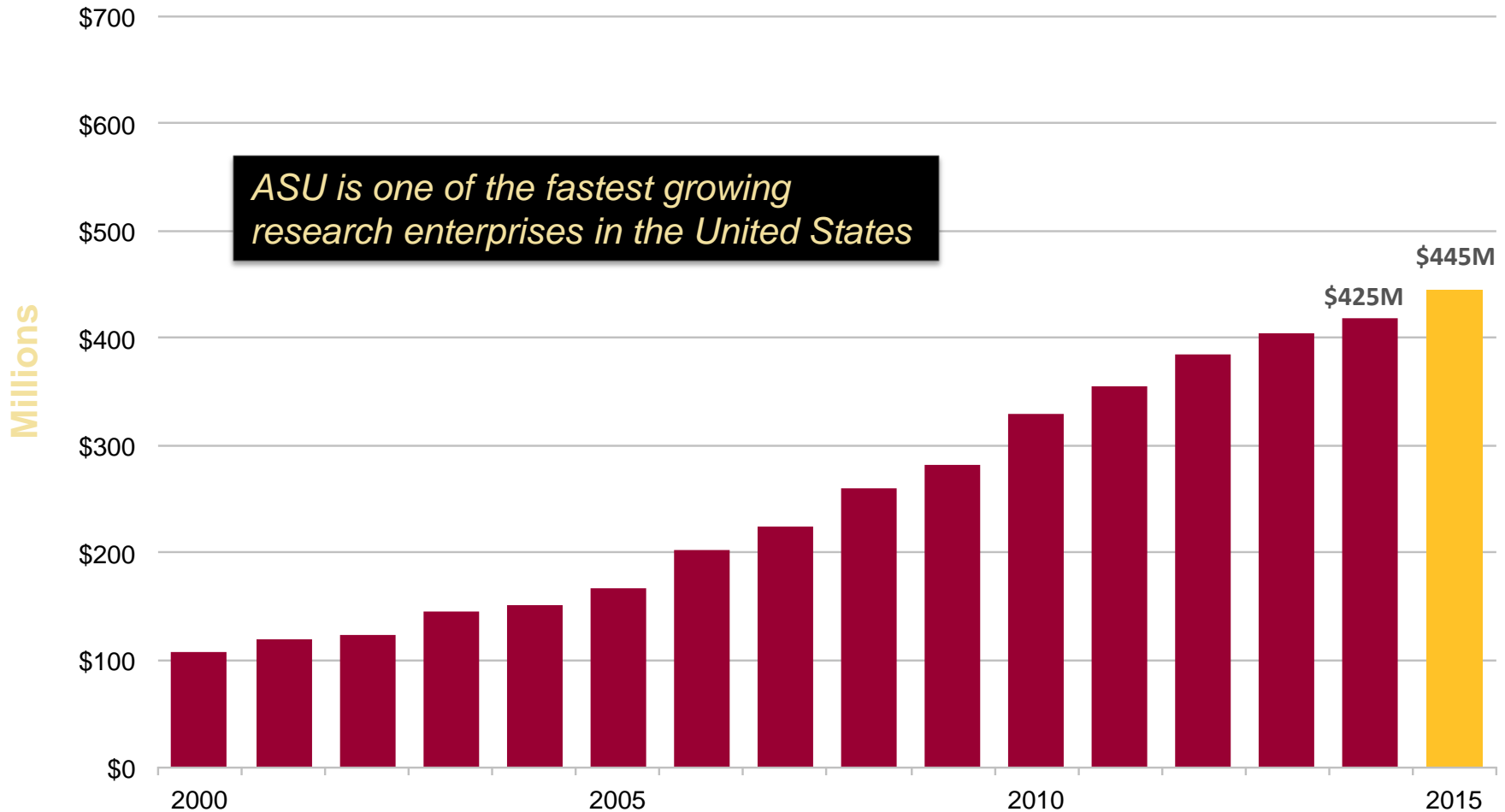
- System breakdown

- Unstructured service model evolution

- Culture of scalable enterprise

- Human capital management

New Organizational Identity

- **Operational excellence**
- **Reduction of faculty burden**
- **Competitive advantage for ASU researchers**

Polling Question #4

What is your biggest research challenge?

COMPLIANCE AS A SERVICE

Vision

Provide best-in-class service in support of ASU's rapidly growing knowledge enterprise.

Mission

By providing outstanding and innovative services and support, give ASU faculty and staff a competitive advantage in securing and successfully managing external funding for University research and sponsored activities.

What it takes…

- People

- Processes

- Systems

- Core organizational values

- Risk tolerance

Organizational Transformation

The Kübler-Ross change curve

Denial
Disbelief; looking for evidence that it isn't true

Shock
Surprise or shock at the event

Frustration
Recognition that things are different; sometimes angry

Depression
Low mood; lacking in energy

Experiment
Initial engagement with the new situation

Decision
Learning how to work in the new situation; feeling more positive

Integration
Changes integrated; a renewed individual

Morale and competence

Time

21

People

- Role clarification

- Professional development path

- Creation of a research staff pipeline

- Organizational structure

- Management training/mentoring
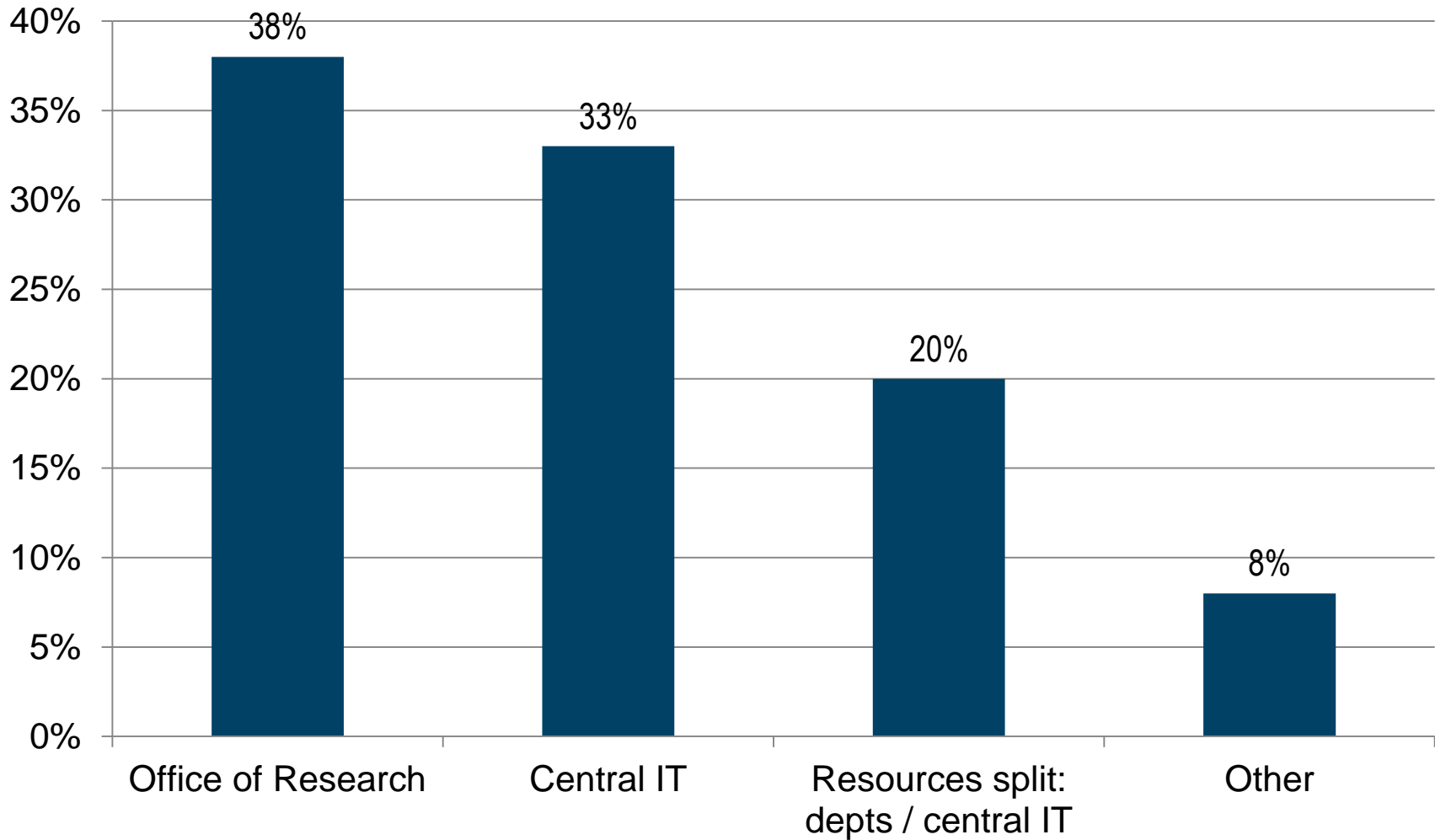
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Sean Dudley
Director
Research Technology

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Director
Project Management Office

Allyson Ross
Director
Operations, Human Resources

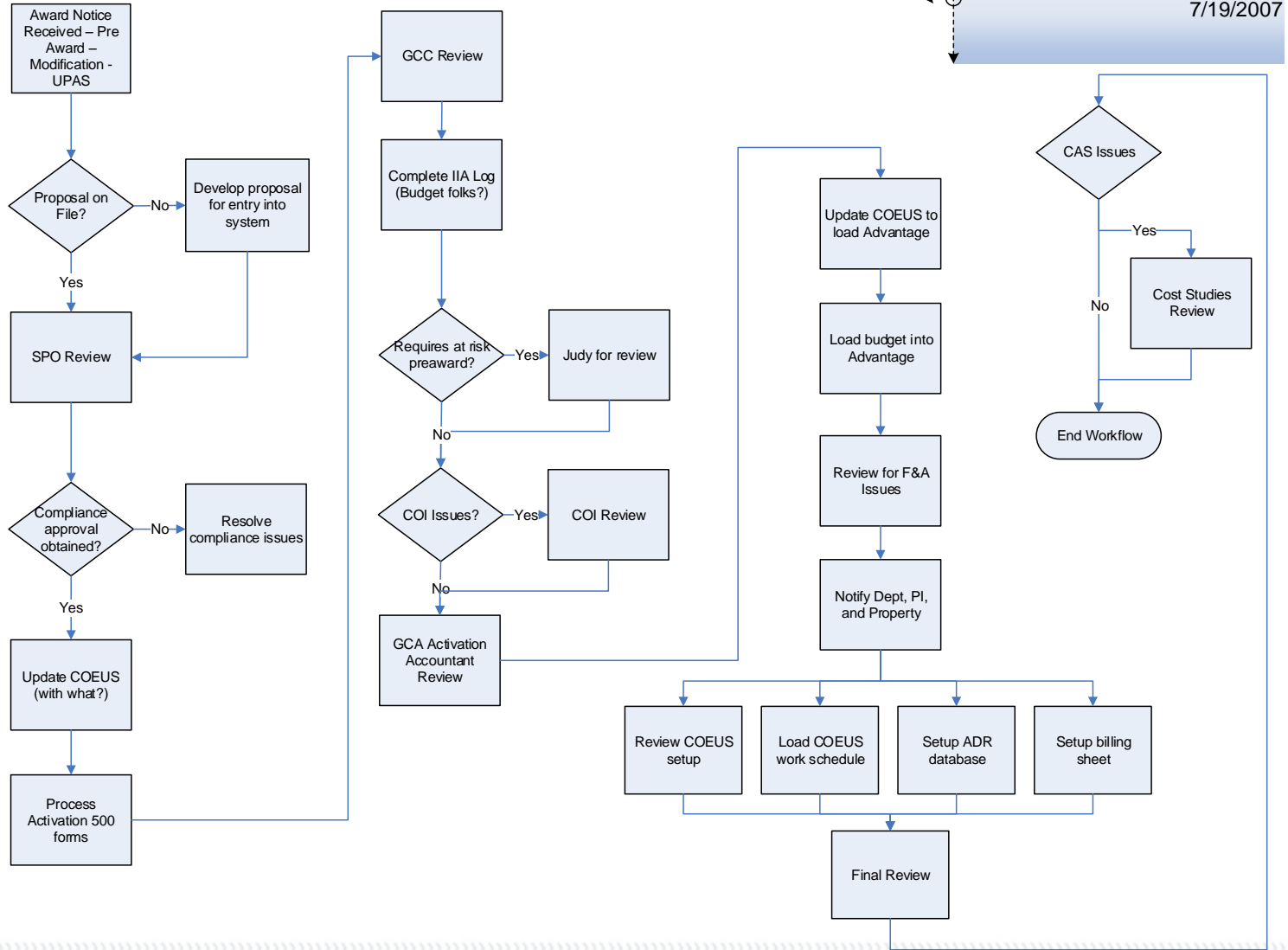# Polling Question #5

Where does your Research IT team report?

The tale of two reorganizations…

Processes

- Business process documentation

- Distributed model implementation
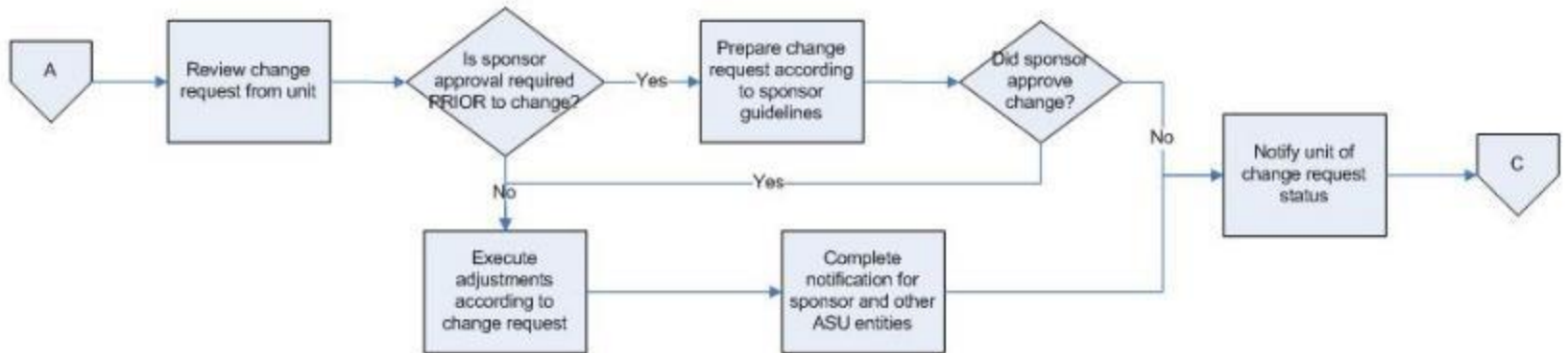
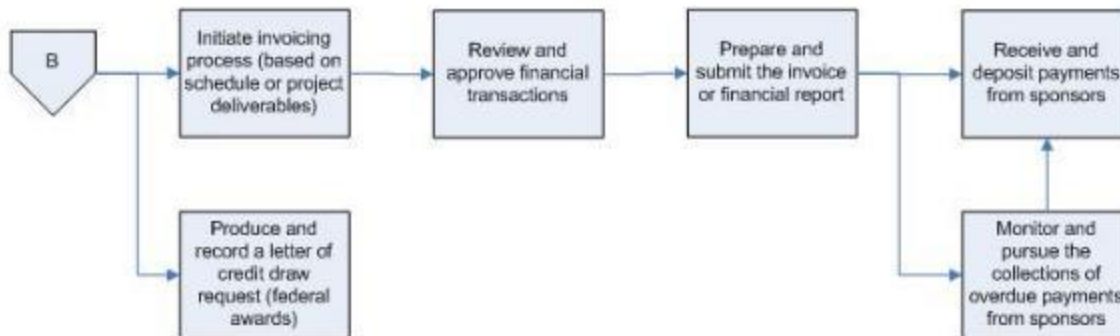- Change management board (CMB)

- ISO philosophy

Process Development

Award Setup

7/19/2007

Award Notice Received – Pre Award – Modification - UPAS

Proposal on File? → No → Develop proposal for entry into system

Yes

SPO Review

Compliance approval obtained? → No → Resolve compliance issues

Yes

Update COEUS (with what?)

Process Activation 500 forms

GCC Review

Complete IIA Log (Budget folks?)

Requires at risk preaward? → Yes → Judy for review

No

COI Issues? → Yes → COI Review

No

GCA Activation Accountant Review

Update COEUS to load Advantage

Load budget into Advantage

Review for F&A Issues

Notify Dept, PI, and Property

Review COEUS setup

Load COEUS work schedule

Setup ADR database

Setup billing sheet

Final Review

CAS Issues

Yes

No → Cost Studies Review

End Workflow

Process Development

Execute Project (ORSPA)
9/18/2007

Change Management

A → Review change request from unit → Is sponsor approval required PRIOR to change? —Yes→ Prepare change request according to sponsor guidelines → Did sponsor approve change? —No→ Notify unit of change request status → C

Is sponsor approval required PRIOR to change? —No→ Execute adjustments according to change request → Complete notification for sponsor and other ASU entities

Did sponsor approve change? —Yes→

Invoicing and Financial Reporting

B → Initiate invoicing process (based on schedule or project deliverables) → Review and approve financial transactions → Prepare and submit the invoice or financial report → Receive and deposit payments from sponsors

Produce and record a letter of credit draw request (federal awards)

Monitor and pursue the collections of overdue payments from sponsors

Process Development

Process Development

Initiate project — WI-EP-10

Letter of credit draw — WI-EP-30

Cost share funding — WI-EP-45

Account monitoring — WI-EP-60

Account monitoring — WI-EP-70

Submit invoice — WI-EP-110

Monitor and pursue collections — WI-EP-40
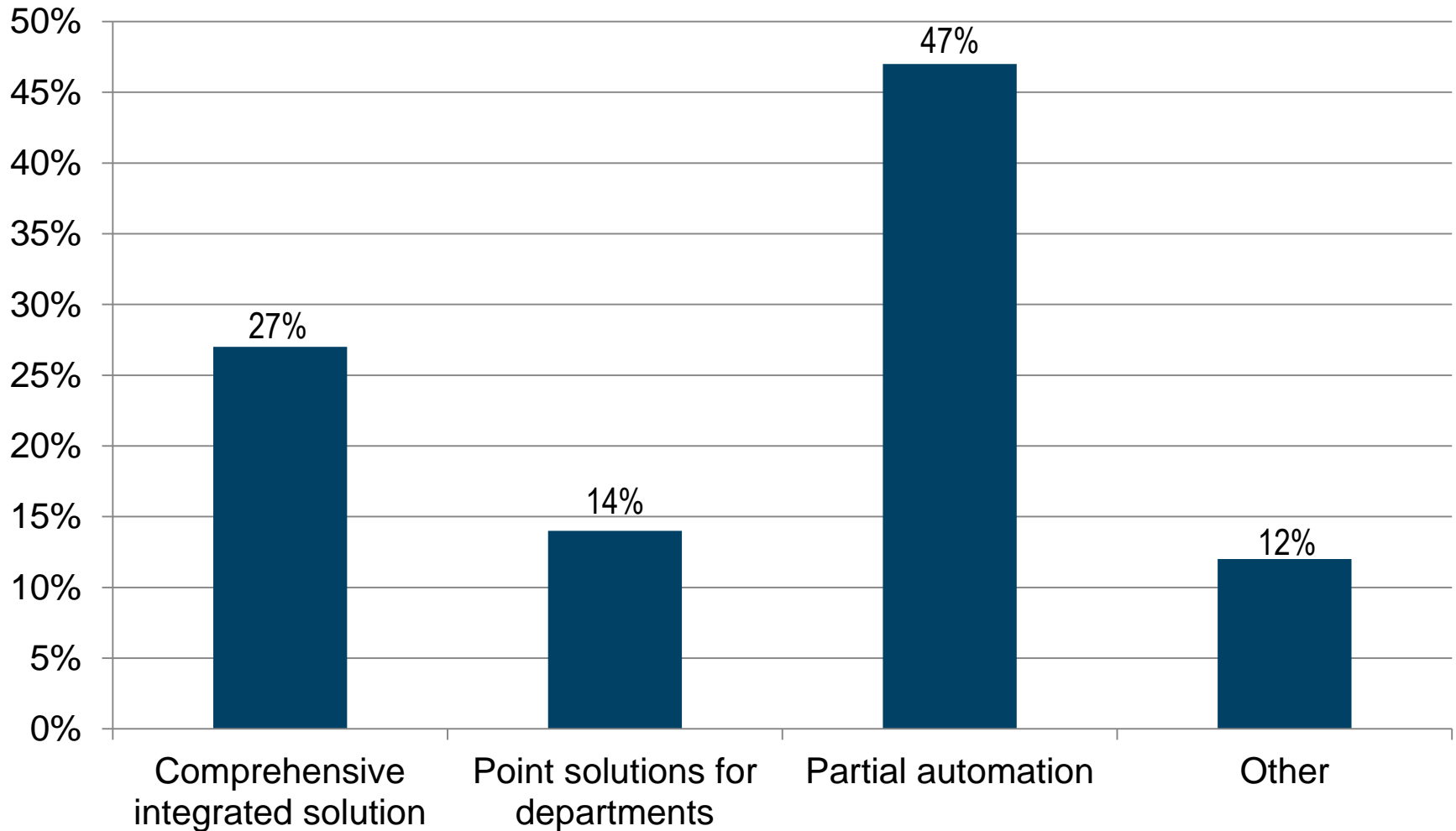
Manage change — WI-EP-130

Review change request & prepare package — WI-EP-140

Systems

- Metrics
  - Drive performance and automation
- Enterprise Research Administration system
  - Failed attempts
  - Interim solutions
  - Current implementation

Polling Question #6

What best describes the state of your research admin systems?
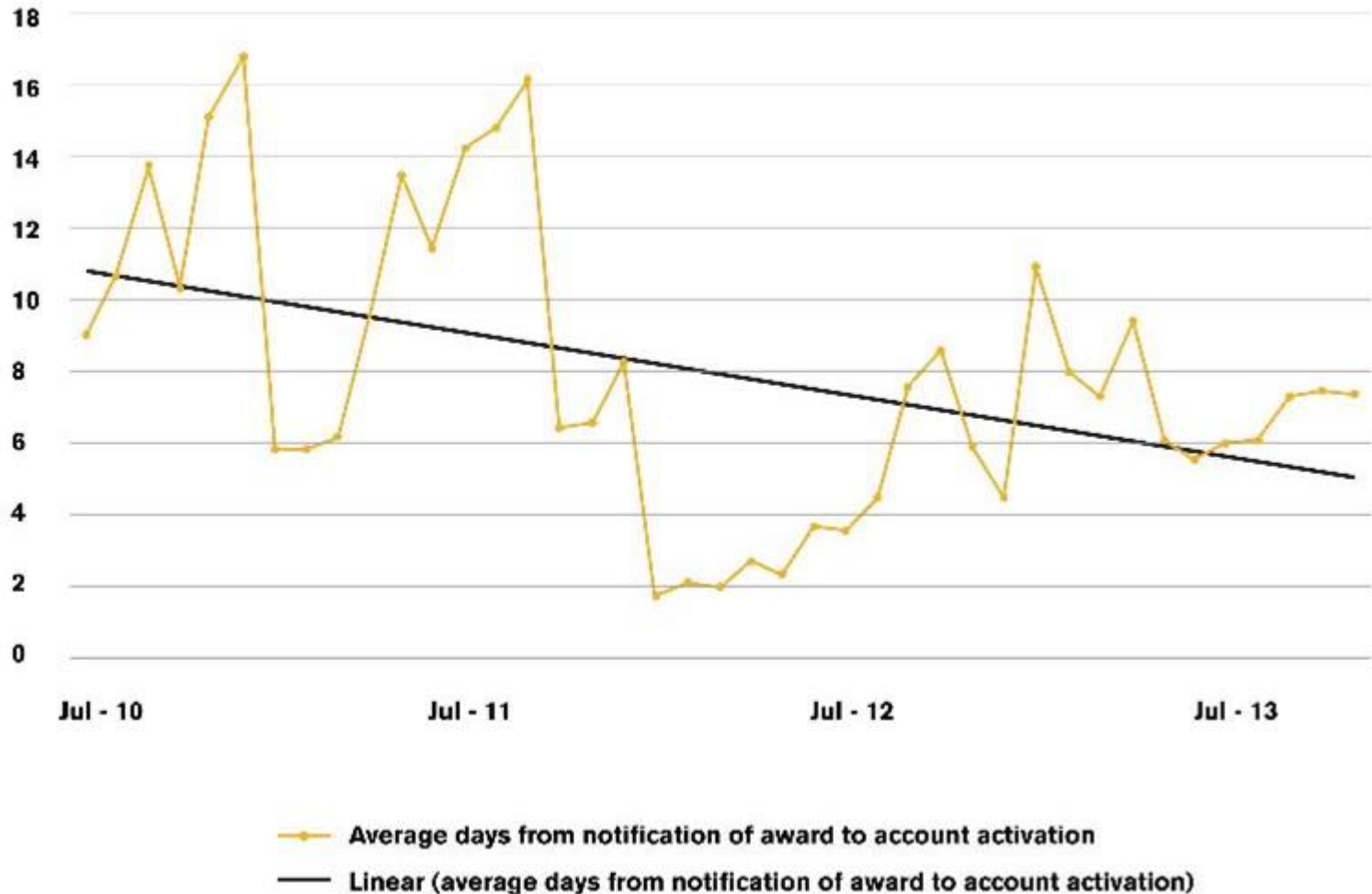
Operational Excellence

Days to Contract Execution
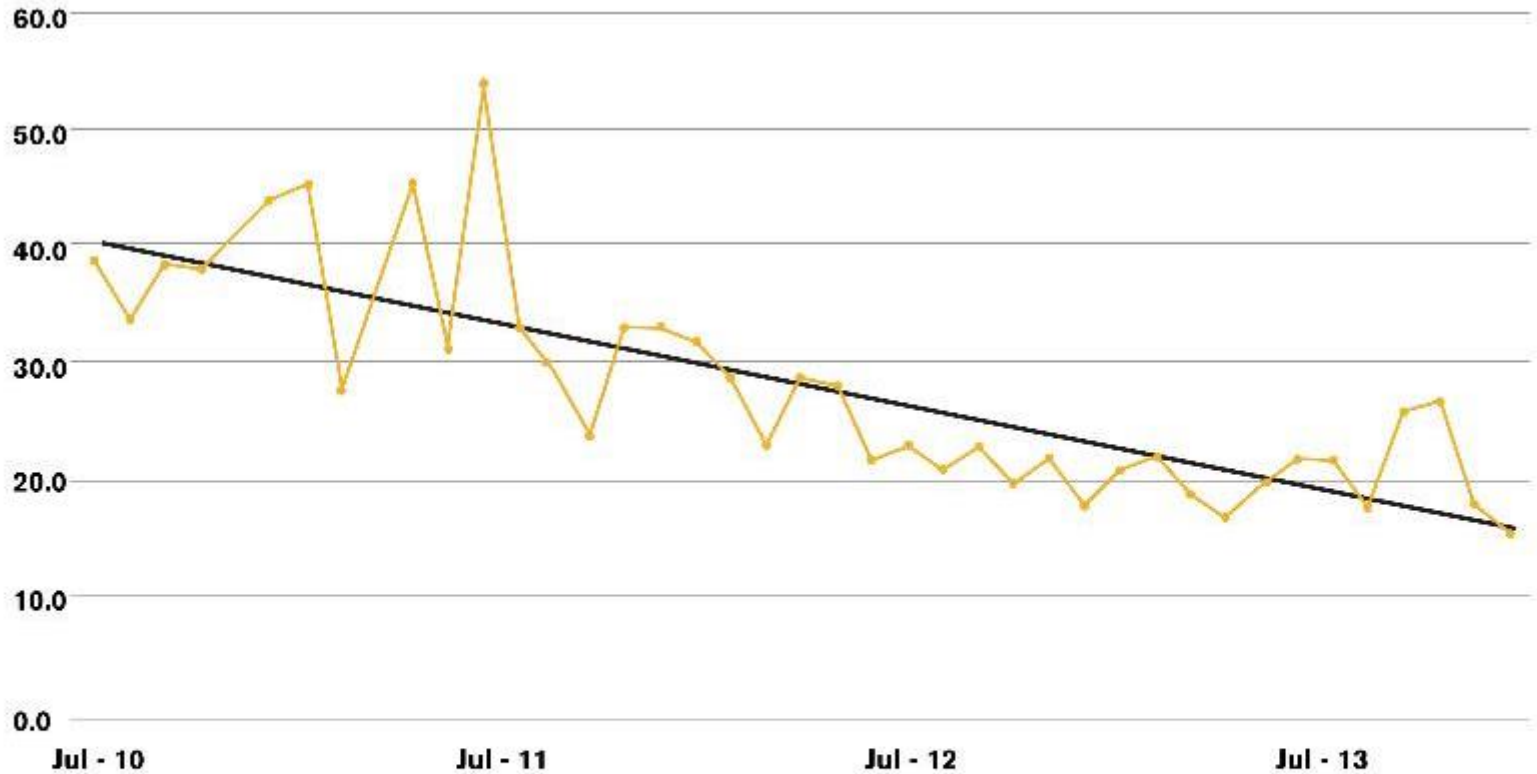
Average days from beginning of negotiation to fully executed agreement

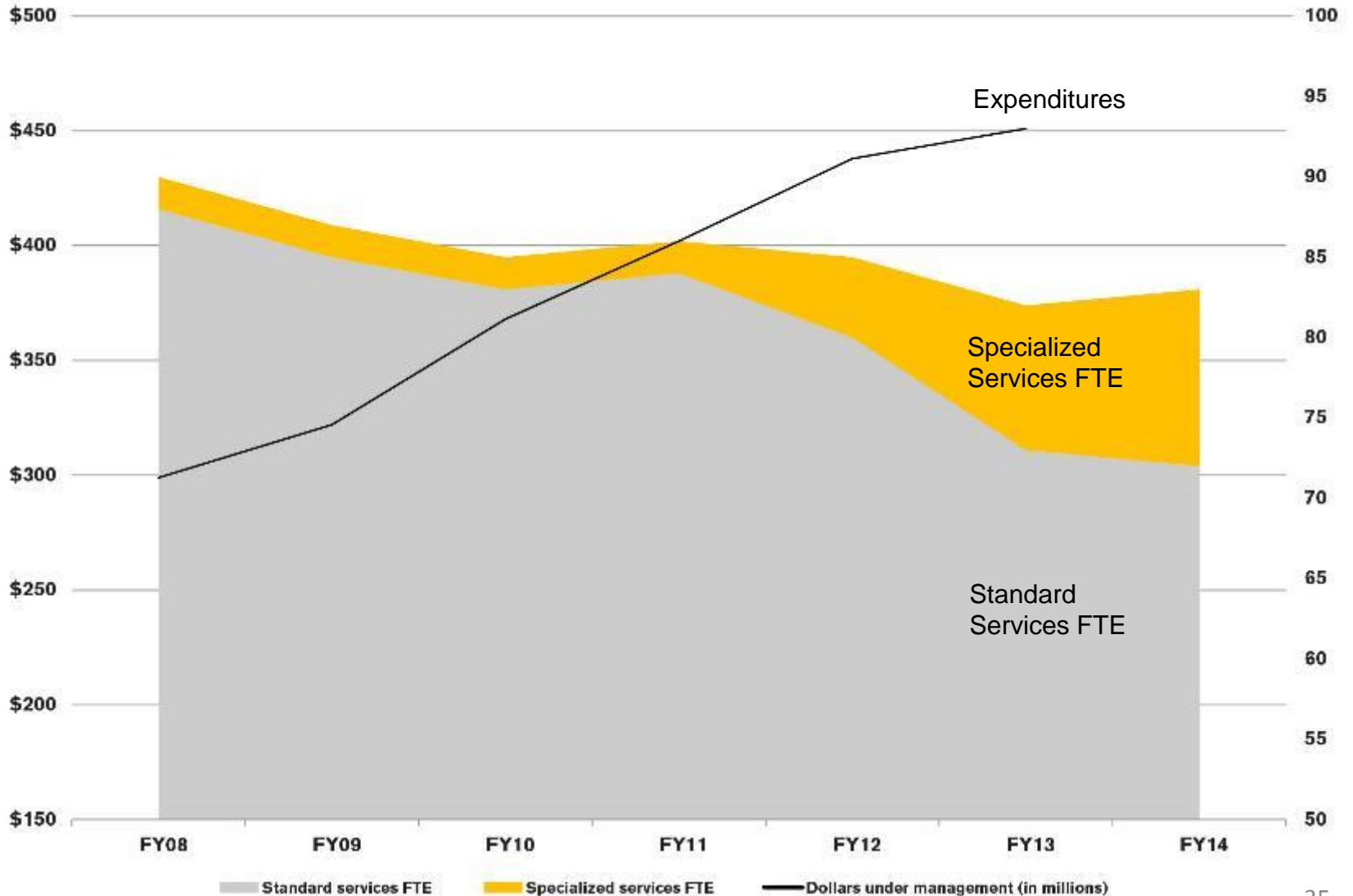Linear (average days from beginning of negotiation to fully executed agreement)
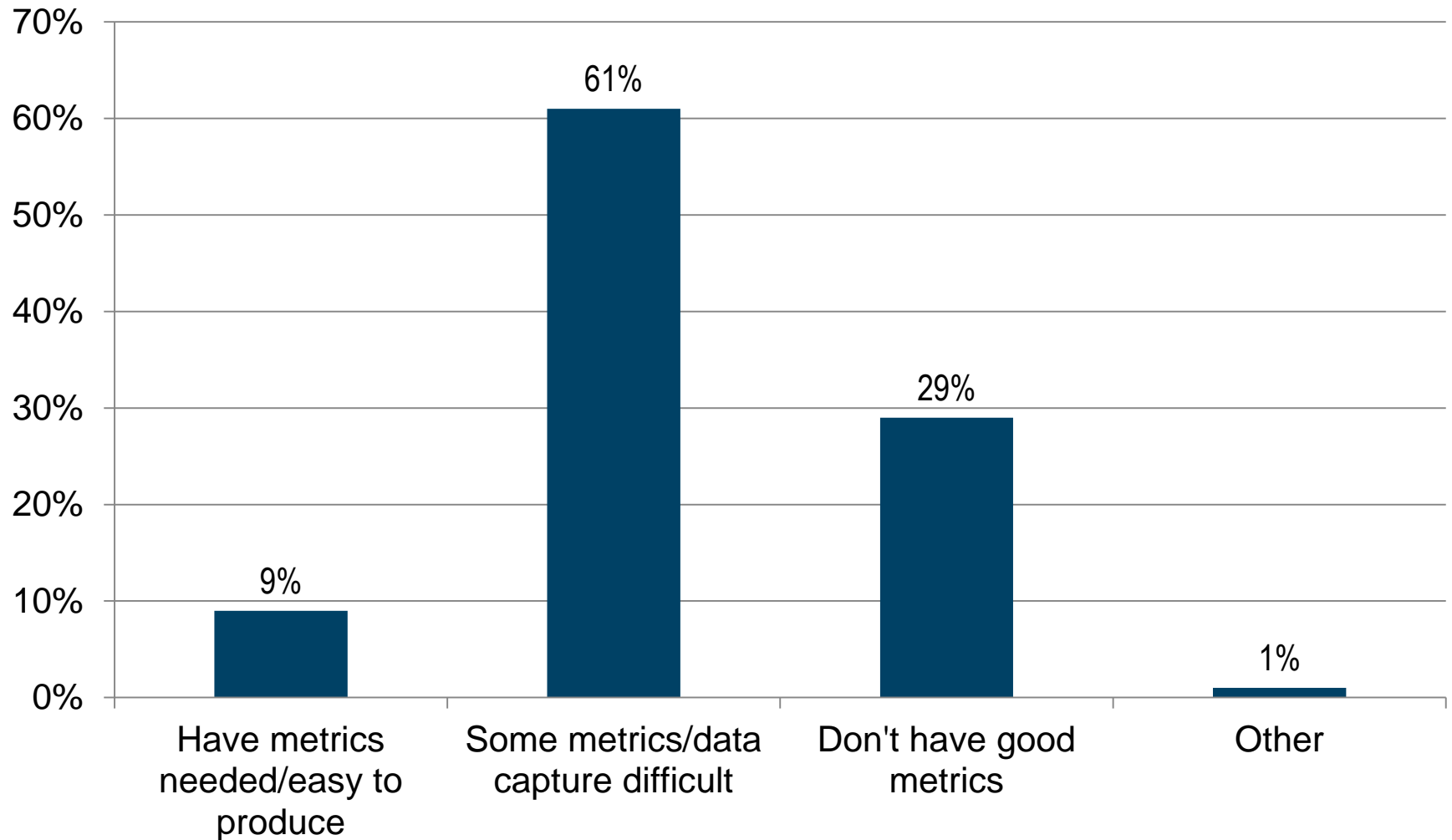
Operational Excellence

Days to Account Activation

Average days from notification of award to account activation

Linear (average days from notification of award to account activation)

Efficient Resource Utilization

Research and Other Sponsored Projects Expenditures and FTE

Expenditures

Specialized Services FTE

Standard Services FTE

Standard services FTE   Specialized services FTE   Dollars under management (in millions)

Polling Question #7

What is the status of metrics in your research organization?

- Assess organization's tolerance for risk

- Blue rules vs. red rules*

- Have a defendable position

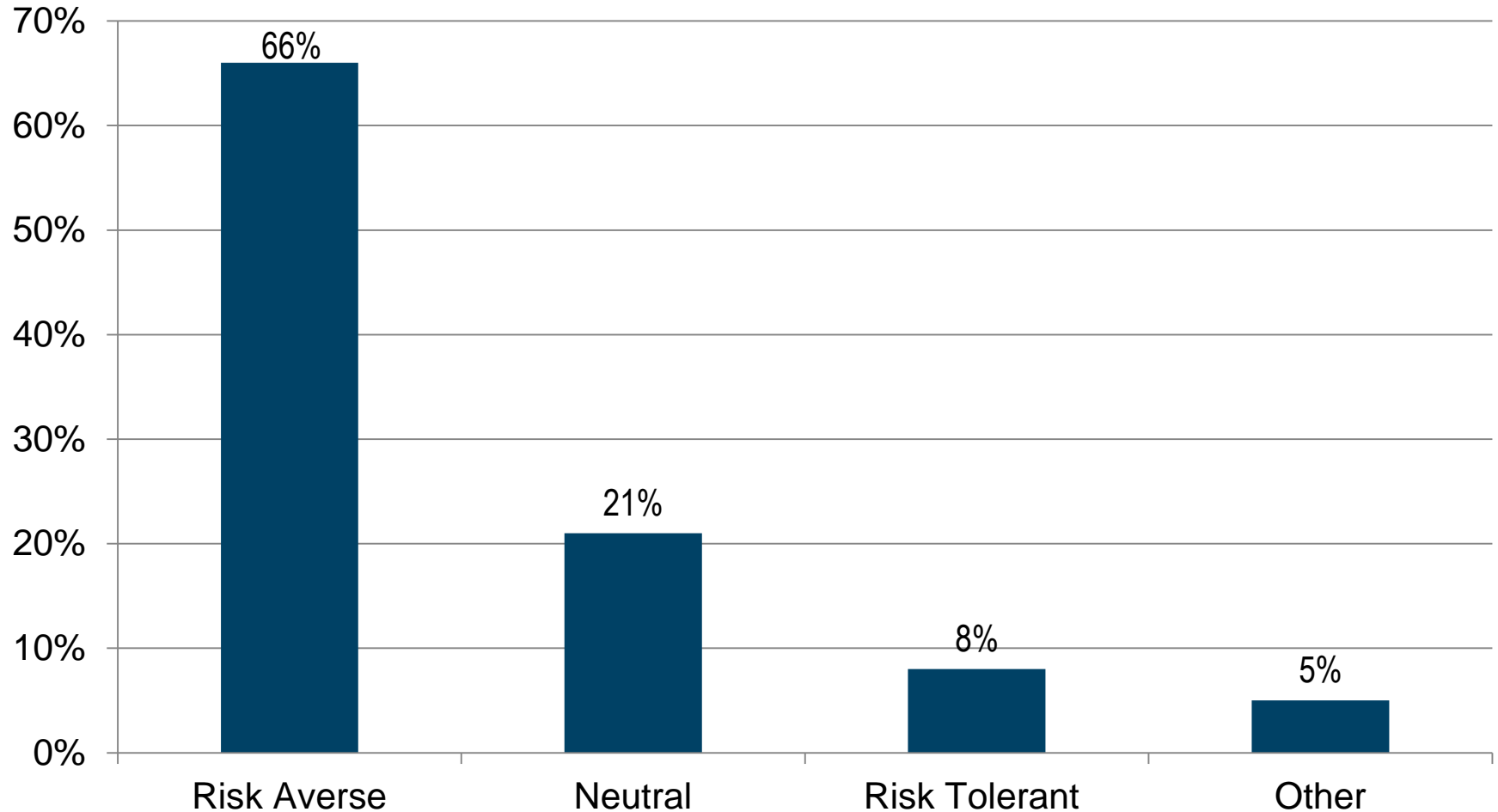- Execute in good faith

- Consider impact of not taking risk

*"Delivering Knock Your Socks Off Service", Performance Research Associates
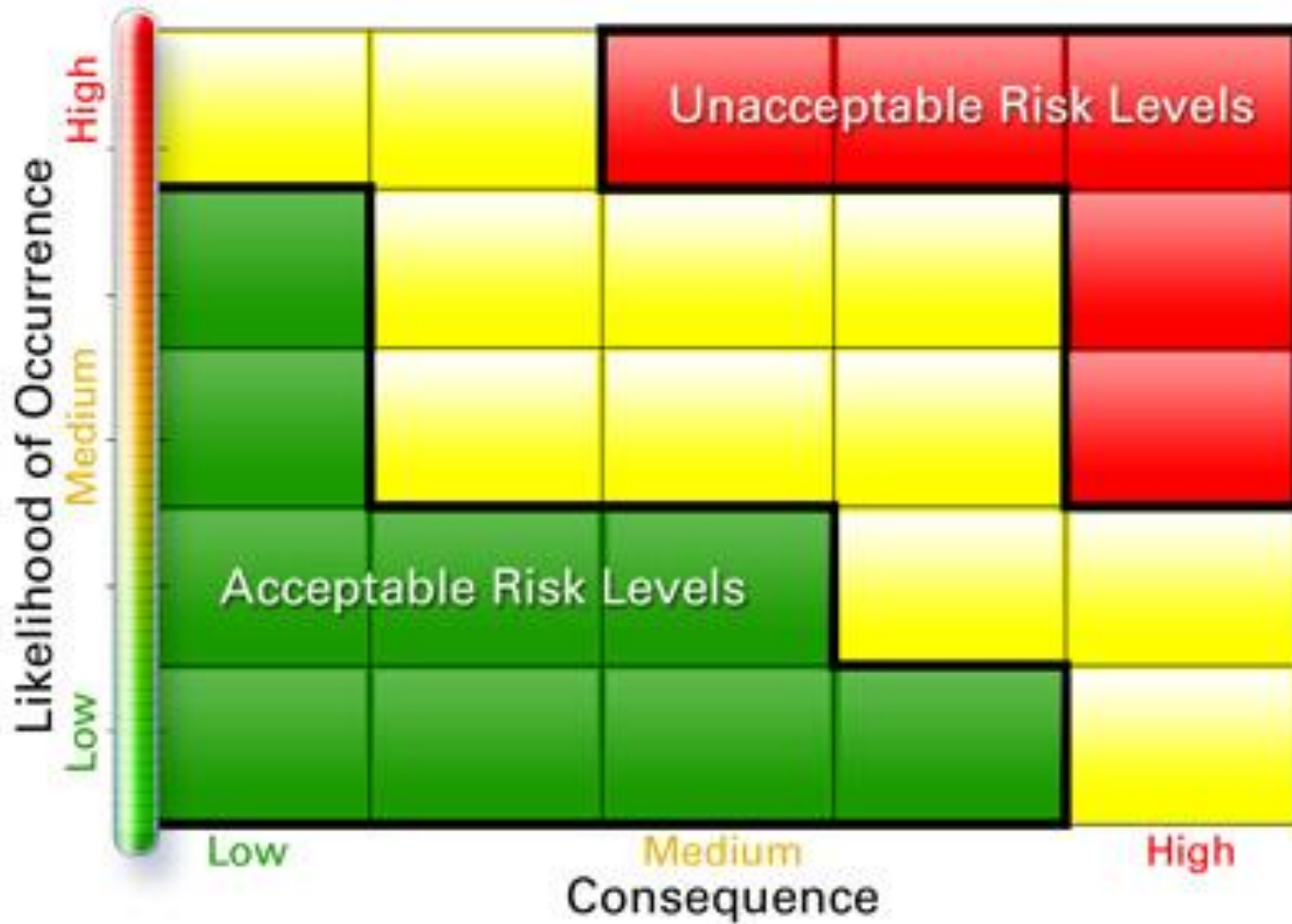
Risk Tolerance

*billiondollargraphics.com

Polling Question #8

How would you characterize your organization's risk tolerance?

- Approach to system documentation
  - Early and often
  - Difficult to recreate after the fact

- Address special cases as special
  - Follow the 80/20 rule

- Always consider the investigator
  - Navigation
  - Notifications
  - Budgeting

- Design Reviews
  - Design team
  - Training
  - Development
  - Analytics
  - Management
  - Other stakeholders

The products of a knowledge enterprise are people, ideas and solutions.

Questions and Discussion

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