Charge: Examine the policies by which grant management is established and determine why the administrative response to faculty concerns is perceived as decreasing.

Problem Statement: Faculty concerns stem from an apparent non-transparency or limited awareness of the grants management process.

Overview: Policies, which are reflective of current internal and external regulations, are aimed at preventing loss of research funding. However, rigid adherence to policies often results in processing delays and subsequent faculty frustration. Some policies and procedures are appropriate for one department but can negatively impact other divisions/departments. For example, NIH project life cycle, including billing, is different than the cycles imposed to engineering researchers. A project sponsored by a corporation may last for less than a year and the schedule of reporting/billing may be not be favorable for a grant completed in a shorter time period.

The first step in approaching these issues would be to clearly articulate interactions between UKRF, OSPA and SPA regarding who enforces which policies and how these units interact with faculty both directly and through intermediaries.

Strengths: OSPA Director & VP for Research expressed desire to collaborate with faculty to improve processes. Current projects to improve the grants management process include 1) centralizing shared services, 2) improving the use of technology and 3) root cause analyses of delays in account set-up, reimbursements, etc.

Weaknesses: Dissemination of policy or regulatory changes could be more efficient. Specific policies that warrant review include length of grant management cycle, cost sharing, billing, timely processing of new awards, distribution of effort issues, account closure, impress cash funds, travel reimbursement, payments to students and research subjects, use of/reimbursement for technology, assessed environmental charges that are not part of the negotiated overhead and discrepancies between fiscal year and cut off dates for grant purchases. Organizational issues include inconsistent communication between OSPA and SPA, the lack of decision-makers in OSPA, and basing the management of the university's research infrastructure within the individual colleges rather than under the purview of the V.P for Research. Relevant grants management policies are listed in Table 1 along with the date of each policy's next review.

Opportunity: Collaborative relationship between faculty and administrators. Administrative Process Improvement, which will initially target travel, purchasing and payroll, will provide an opportunity to improve the grants management process. The VP of Research has expressed the need for research faculty to become active partners with research administrators. The committee has also provided contact information for all Associate Deans/Directors of Research (Table 2).

Current projects

Centralized sharing services: Individuals with enhanced expertise in specific transactions (i.e., domestic or international travel) will be available in multiple locations to improve efficiency. Ten colleges are currently involved in the development of centralized services and the preliminary targets include travel, payroll and purchasing.

Improvement in use of technology: These include direct deposit for reimbursements, electronic signature for grants, and electronic approval forms routed to all appropriate departments simultaneously.

<u>Root cause analyses of delays in account set-up, reimbursements, etc</u>: Collaborative effort between Offices of VP of Research, OSPA and SPA to determine the most frequent cause of delays in grants management process. A significant percentage of delays have been found to be investigator-related.

Threat: Faculty have expressed concerns that these processes and policies are not only vague to faculty but to administrators as well. A major concern is that a rigid set of rules/procedures may not be appropriate for different constituencies at UK.

Recommendation: The subcommittee recommends that the charge be extended through the next academic year as a top priority and that options be explored to provide opportunities for research faculty to become active partners with research administration.

Table 1 Grants Management Policies

Policy	Review Date
Cost Sharing http://www.uky.edu/EVPFA/Controller/files/BPM/Append2.pdf http://www.uky.edu/EVPFA/Controller/BPMappendix3.htm http://www.uky.edu/EVPFA/Controller/files/BPM/Append4.pdf	N/A
E-2-5 Imprest Cash Funds http://www.uky.edu/EVPFA/Controller/files/BPM/E-2-5.pdf	July 1, 2011
E-5-1 Travel Reimbursement http://www.uky.edu/EVPFA/Controller/files/BPM/E-5-1.pdf	January 1, 2015
Cellular Policy Implementation http://www.uky.edu/EVPFA/Controller/files/sponsor/UKCellPolicySponsor.pdf	N/A
E-7-14 Payments to students http://www.uky.edu/EVPFA/Controller/files/BPM/E-7-14.pdf	October 1, 2013
B-7.1 Computer & Computer Related Equipment http://www.uky.edu/EVPFA/Controller/files/BPM/B-7.pdf	July 2, 2012
E-9-1 Compensation to Research Subjects http://www.uky.edu/EVPFA/Controller/files/BPM/E-9-1.pdf	July 1, 2011

SRC: 2/2/11
Revised: 2/19/11, 5/12/11
FHardin-Fanning

Table 2 Research Management Group

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Nancy Cox	ncox@email.uky.edu	257-3333 S129A Agricultural Science Ctr N	Associate Dean for Research, Agriculture
Alan Daugherty	adaugh@email.uky.edu	323-3512 243 BBSRB	Gill Foundation Chair in Preventive Cardiology, Internal Medicine Cardiology, UKMC
Linda Dwoskin	ldwoskin@email.uky.edu	257-4743 789 S. Limestone St.	Director, National Cooperative Drug Discovery Group, College of Pharmacy
Jeffrey L. Ebersole	Jleber2@email.uky.ed	323-5357 422 Bosomworth	Director, Center for Oral Health Research
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2/18/11: SRC: FHardinFanning