Volume XXXVI, Number 1

In This Issue

In the first paper in this issue, "Practice Data from the 2002 SRA-BearingPoint Nationwide Benchmarking Survey," Bill Kirby and Paul Waugaman report on the latest data from the SRA-Bearing-Point sponsored programs administration benchmarking program. The program has collected data on pre-award and post-award workload, staffing, and practices for three cycles of the bi-annual survey to provide comparative sponsored programs administrative data. This paper presents final FY 2002 data on a number of sponsored programs administration institutional policies and practices, including selected comparative data for small, mid-sized, and large institutions. In the FY 2002 survey, the program asked questions to identify the current state of practice in three domains of sponsored programs administration: encouraging faculty to submit proposals to external agencies, developing administrative staff in sponsored programs, and decentralizing administrative functions. The data from the nationwide sample are from the academic and non-profit institutions that represent over 40% of the total US academic research expenditures.

The second paper, "'Deemed Export' Laws Restrict Sharing Information with Foreign Nationals," is a commentary by an attorney practicing in the areas of export control and business litigation. Bruce J. Casino's paper considers the effects of "deemed export" laws that since 9-11 restrict the sharing of research and discoveries with foreign nationals. This paper may help alert research administrators to the unintended effects.

In the next two papers, case studies, research administrators share their expertise with journal readers. One develops a model training program in ethics and responsible conduct in research, while the second illustrates how an institution can manage limited submission programs to improve and increase the institution's external submissions.

"Creating Individual Awareness about Responsible Conduct in Research: A Case Study of One Institution's Approach for Researchers and Administrators," was written by Marie Smith, Valerie Eviner, Kathie Weathers, Maria Uriarte, Holly Ewing, Jonathan Jeschke, Peter Groffman, and Clive Jones, eight investigators and administrators at the Institute of Ecosystem Studies in New York. A forum of discussion groups centered on case studies at the

Institute of Ecosystem Studies (IES) addressed the issues of the potential for misappropriation of funds, the misuse of research subjects, and the falsification of data in an attempt to train researchers in ethical conduct and educate future scientists on what constitutes responsible conduct in

Peggy Harrel, PhD
Editor

research. These case studies, developed by the IES staff, explore much more than the fairly obvious and easily understood ethical breaches such as plagiarism to explore the more complex area of daily behaviors that alienate or exploit colleagues. Responsible Conduct in Research Education can serve as a model for other institutions, either as a standalone resource or as part of a broader educational program. The authors suggest that the topics covered in these discussions should be an integral part of any responsible conduct program. The article contains hyperlinks to the case studies on the IES server.

The second case study, Bob Porter's "Helpful Gatekeepers: Positive Management of the Limited Submission Process," concerns limited submission grant programs that force a sensitive "gatekeeper" role on research administrators. The policies of various sponsors to limit the number of proposals an institution may submit in response to a program announcement shift the initial selection decision to the institutions and reduce the agencies' workloads considerably. This paper recommends ten rules for managing limited submission programs and suggests how research administrators can benefit from the opportunity to provide constructive communications, proposal improvements, and faculty development.

In reviewing David G. Bauer's *How to Evaluate and Improve Your Grants Effort*, Linda Schwarz considers the usefulness and currency of this ubiquitous resource.

Our final article is the second installment of the journal's continuing column of answers to broadly asked questions called "Ask An Expert: Tips and Tools of the Trade" from Chuck Chermside, a member of the journal's Editorial Review Board. This series of questions and answers grew from presentations at SRA-Virginia and SRA Southern Section meetings. Most apply to university research administration and many have been previewed on the resadm-L@hrinet.org mailing list.

Contributors

Bruce J. Casino is a white collar crime and civil litigator with extensive experience in export control issues. He has represented companies, institutions, and individuals engaged in import/export, government contracting, real estate development, newspaper publishing, cable television, aviation, hotel industry, energy, electronics, information services, health care, investment advising, manufacturing and banking, as well as not-for-profit organizations, including universities and churches. Mr. Casino is a member of the District of Columbia Bar and a partner in the law firm Baker & Hostetler LLP. Mr. Casino graduated with honors from Georgetown University Law School in 1988. Since 1993, he has been an adjunct professor at George Washington University Law School teaching the course on white collar crime. Since 2000, he has co-chaired the American Bar Association's Fraud and Abuse Subcommittee of the Health Law Committee, Litigation Section. He is on the Board of Directors of the Council for Court Excellence, the National Law Center on Homelessness and Poverty, the University of Bridgeport, and the International Coalition for Religious Freedom.

Herbert B. "Chuck" Chermside, MA, CRA, has recently retired after 23 years as director of sponsored programs administration at Virginia Commonwealth University (VCU). Mr. Chermside joined SRA in 1969 when he discovered that the new profession of research administration fit his interests and has grown in the profession as the profession itself grew. His career has included service to four universities and one federal agency. At VCU his activities included serving as prime representative to the Council on Governmental Relations (COGR), establishing the technology transfer program, serving on the Conflict of Interest Committee

and creating many institutional policies related to research. His contributions to the profession include founding two chapters of SRA, numerous publications, and presentations and training sessions at many meetings over the last thirty-five years. His efforts to define the profession include six years on the Board of the Research Administrators Certification Council (RACC), where he participated in creating tests for the CRA certification. He holds a B.A. in psychology from San Francisco State University and an M.A. in higher education administration from Virginia Tech. He remains active in the profession as executive director of RACC, consulting, and now serving on the editorial review board of this journal.

William S. Kirby has over thirty-five years of experience in the management of federally sponsored research, management consulting, executive training, and the application of technology to business and research administration processes. He has been associated with BearingPoint since 1997, specializing in the assessment and improvement of research administration strategy and operations, "best practices" analyses, and the application of technology to improve research administration and grants management processes. He is currently helping to lead BearingPoint's efforts to establish a comprehensive higher education benchmarking and best practices program to facilitate the use of comparative performance data to meet institutional strategic, operational improvement, and change management needs. Prior to his association with BearingPoint, Mr. Kirby was a senior executive at the National Science Foundation where he was the director of NSF's grant management operations and policy development. Mr. Kirby has authored and contributed to numerous articles and publications in research administration and general management. He is the recipient of the 1993 Rod Rose Award for the most outstanding article in the Journal of the Society of Research Admin-

istrators and the 2003 SRA Symposium Best Paper of the Year.

Paul G. Waugaman is a principal and co-founder of the Technology Commercialization Group (TGC), representing clients from Western Europe, Russia, and all parts of the U.S. TCG helps its clients maximize the value of their intellectual property through sound business planning and development, seeking collaborative arrangements, and licensing. Mr. Waugaman has been a member of SRA International since 1977. He is currently the president of the commercial division. He has over 40 years' experience in research management and specializes in academic-business technology transfer services, research program planning and evaluation, and research management policies and procedures. Since 1992, Mr Waugaman has worked on two benchmarking programs, looking at performance and best practices in university-industry technology transfer and research management. He has written and published on performance benchmarking and best practices in the management of sponsored research, technology transfer, and the nature of academic-business research relationships. He is a Senior Fellow of the Southern Growth Policies Board, and he has been active in the Association of University Technology Managers, and the Licensing Executives Society as well as SRA. He has studied at the American University and Indiana University and earned a B.A. in political science and masters degrees in public management and public policy.

Robert Porter, Ph.D., is a program development manager with the research division at Virginia Tech. A former college teacher, Dr. Porter spent nearly twenty years with private consulting firms, specializing in strategic planning, organizational development and grant writing. At Virginia Tech, he assists faculty with proposal development and funding searches and conducts workshops on various topics related to sponsored research. He holds graduate degrees in speech communications from the University of Michigan.

Linda Schwarz has worked at Northern Illinois University in pre-award research administration for more than three decades. During those years she has also been involved intermittently in intellectual property administration. Linda has served the Society as program presenter at annual and regional meetings, as Midwest Section President, as a member of the Board of Directors and the Midwest Section Executive Committee, and as a co-Program Chair of an International Society Annual Meeting.

Marie F. Smith, CRA, is manager of grants administration at the Institute of Ecosystem Studies in Millbrook, New York. Since assuming this role in 1998, she has been responsible for pre- and post award administration, contract negotiation, subaward management, grant accounting, A-133 audits, and assisting with compliance issues. In 2001 she passed the Research Administration Certification Council's certification exam and became a Certified Research Administrator. Recently, Ms. Smith has been charged with leading a series of discussion groups on topics in Responsible Conduct in Research for the Institute of Ecosystem Studies, using the case study approach. Ms. Smith holds associates and bachelors degrees in accounting and management from the State University of New York. Ms. Smith is a board member and board officer of several local nonprofit agencies and is a member of SRA, NACUBO, and NCURA.

Research

Practice Data from the 2002 SRA-Bearing-Point Nationwide Benchmarking Survey

William S. Kirby
BearingPoint
(wkirby@crosslink.net)

Paul G. Waugaman
Technology Commercialization Group, LLC
(Paul@t-c-group.com)

Abstract

The SRA – BearingPoint Sponsored Programs Administration (SPA) Benchmarking Program has completed its third cycle of data collection focused on pre-award and post-award workload, staffing, and practices. The bi-annual survey is the only source of comparative sponsored programs administrative data. In 2004, the authors presented preliminary data on a number of sponsored programs administration institutional policies and practices. This paper presents final FY 2002 data on these practices, including selected comparative data for small, mid-sized, and large institutions. This paper combines Symposium papers presented by the authors at the 2003 and 2004 SRA International Meetings in October, 2003, and October, 2004.

Introduction

Benchmarking has evolved over the past 20 years into a powerful tool for performance analysis and total quality management. Its concept is simple: if you want to know how well your organization is doing at some task or function, you need to know how well others are doing at the same task or function. Benchmarking has been defined as "the systematic comparison of elements of the performance of an organization against that of other organizations, with the aim of mutual improvement." (McNair and Leibfriend, 1992)

In his book Thriving on Chaos, Tom Peters wrote: "… the term 'what gets measured gets done' has never been so powerful a truth." (Peters, 1987) Benchmarking has been embraced by many companies and industries. Companies have seen the value of benchmarking in assessing their competitive positions and adopting "best practices," which improve outcomes and bottom lines.

By contrast, educational and non-profit sectors have been slow to adopt the metaphors and methods of benchmarking, especially in the management and administration of research and other externally sponsored activities. By providing consistent and independent benchmarking and an objective forum for doing comparative analysis, the SRA-BearingPoint Sponsored Programs Benchmarking Program provides the opportunity for institutions to achieve the benefits of benchmarking for very little cost and effort.

The general approach to benchmarking is captured in Figure 1. Benchmarking is a cyclical process using the following sequence of steps: (1) define a domain of key organizational activity (e.g. winning competitive research awards), (2) Identify either via quantitative performance data or reputational information the "best practitioners" in that domain, (3) document and describe in operational detail the practices of "best practitioner" institutions, (4) dissemi-

nate the findings to other organizations who can then replicate the practices of their more developed peers, and finally (5) use the information gained to identify different areas of interest for future efforts.
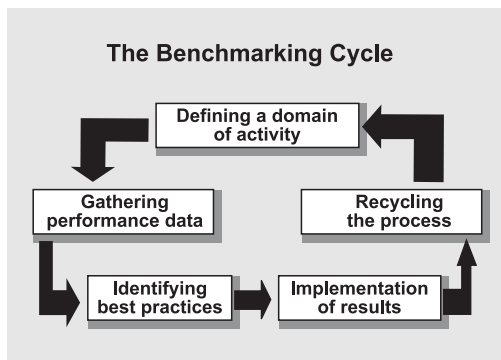

Figure 1: The Benchmarking Cycle

The SRA – BearingPoint Sponsored Programs Benchmarking Program has been in place since 1998. Three rounds (FY 1998, FY 2000, and FY 2002) of data collection focused on institutional sponsored research competitiveness, administrative efficiency, productivity, and organizational practices. A nationwide sample of academic and non-profit institutions representing over 40% of total U.S. academic research expenditures provided the data. The database is available to participating institutions using a web-based reporting and analysis tool. This reporting system allows participants to customize and generate institution-specific peer comparisons in a variety of tabular and graphical formats.

In the FY 2002 survey, the Program began to move from focusing primarily on quantitative performance data to a balance between performance data and qualitative practice data. For the first time, we asked a number of practice questions that identify the current state of practice in three domains of sponsored programs administration:

1. Encouraging and facilitating faculty participation in research and other externally sponsored activity,
2. Preparing and developing sponsored programs administrative staff, and
3. Decentralizing responsibility and authority for sponsored programs administration functions.

Participants can couple information about performance to practices, determine, how their practices in these domains compare to those of other participants, and identify other participants whose practices may be worth adopting.
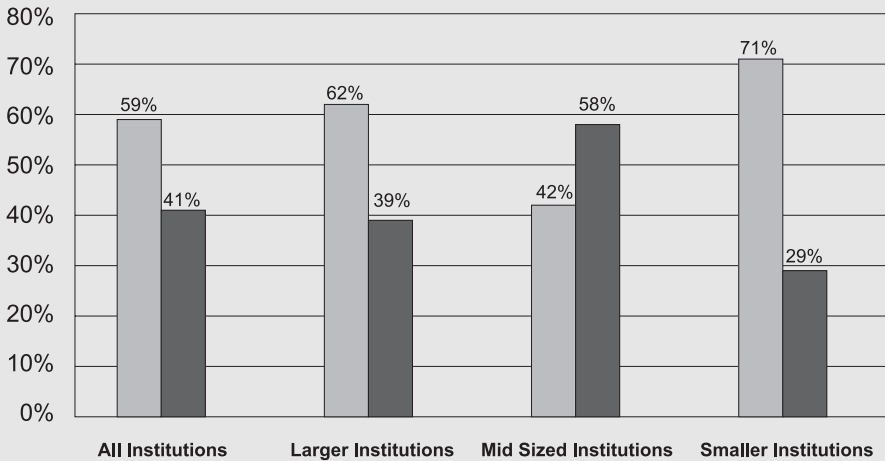
In previous reports, we described the development of the SPA Benchmarking Program, the inclusion of a broader community of participants as independent research institutes were added, the development of a web-based data collection and analysis system, and the results of the 1998 and 2000 surveys (Kirby and Waugaman, 2000-03). This report focuses on findings on institutional practices in three critical research management domains. Data were collected in the FY 2002 survey.

Looking at Institutional Practices

The challenge for most research-intensive institutions is to foster high levels of growth in competitive research consistent with the institution's mission, goals, and financial health. At the same time, the institutions need to maintain institutional accountability, and accountability to Federal agencies and other sponsors, while providing high quality and efficient service to the researchers. Achieving these goals simultaneously requires clarity of purpose and conscious trade-offs in the most stable of environments. However, a confluence of related factors and developments over the past 10 years has transformed the way institutions approach research administration and has complicated the challenge of reaching these goals. These factors include such things as unprecedented competition for federal research support due to the entry of new "competitors (independent research organizations, small companies, etc.)"; continued pressure by the federal government for cost containment, especially in indirect costs; increased regulatory oversight by government agencies; and a technology explosion that has been applied to the business aspects of research administration only piecemeal.

Thus, the effectiveness of an institution's research administration system must be

Chart 1: Traditional Separate Offices Vs Some Form of Combined Office

Institution	Traditional Separate	Combined
All Institutions	59%	41%
Larger Institutions	62%	39%
Mid Sized Institutions	42%	58%
Smaller Institutions	71%	29%

evaluated in four key areas:

1. How well does the institution foster an environment that results in increased research activity and revenue (Competitiveness)?
2. How well does it use and leverage available resources (Efficiency)?
3. How well does it serve its faculty in the support of research competitiveness (Responsiveness)?
4. How well does it maintain requisite sponsor accountability (Stewardship)?

To answer these questions, institutions need a combination of quantitative data that can help identify strengths and weaknesses in performance when compared to similar or peer institutions, and "practice" information that can provide models for effective change.

In addressing the above performance issues in previous surveys we documented several trends characteristic of highly research-intensive institutions. First is a trend toward decentralization of research administration activities from central administration to academic units. Decentralization may be a key factor in improving responsiveness and fostering an environment that promotes faculty involvement in sponsored research and in return helps faculty recruitment.

A second and related trend is devolution of certain research administration authori-

ties from central offices to administrators in academic units. This movement of authority closer to where decisions are made also may be a key factor in both responsiveness and efficiency.

Finally, the survey data appear to show a trend toward a combination of pre- and post- award functions under a single executive. The reasons for doing so usually include 1) better integration between financial and non-financial aspects of research administration, and 2) improved service by presenting a single face to the "researcher-customer" and creating a more seamless process. Thirty-four percent of the institutions reported a structure that combined central pre-award and post-award financial functions in FY2000. This is up from 25% in FY 1998. In FY 2002 over 40% of respondent institutions reported having a research administration structure with some form of combined pre- and post-award functions (Chart 1), and most of the mid-sized institutions reported combined offices.

While decentralization and combination trends may have contributed to some institutions' improved ability to handle workload and service demands, they are not issue neutral. Many institutions are not making investments in the tools and technology infrastructure to support research and financial information needs in a timely and accurate manner. Their ability to support grants

management functions is often severely constrained by limited integration of key grants management applications with university financial and administrative systems. In a decentralized environment, this limited integration increases the difficulty for PI's and academic units to effectively manage their awards even though the institution expects this has become a delegated responsibility. At some institutions, significant investments in research administration support and staff at academic unit levels and the accompanying decentralization and devolution of authorities results in considerable variation in quality due to insufficient training and lack of necessary oversight. These factors may contribute to increasing federal audit and compliance risk. Thus, clarity about roles and responsibilities, effective training mechanisms, and improved communication and information access have become critical success factors.

The overriding challenge posed by decentralization then appears to be: How do institutions effectively leverage departmental administration resources in a decentralized administrative environment while maintaining quality and compliance? Are there working models that effectively address the corollary issues of defining roles and responsibilities, training, information access, compliance assurance, communication, and quality control?

Practice Question Framework

Our framework for developing information about these practices is based on a set of inter-related domains of interest that includes the following:

1. *Practices to Promote Faculty Participation in Research and Sponsored Activities.* These questions document institutional sponsored project administration practices and policies with respect to incentives for faculty participation in research/sponsored programs. Examples could include such things as release time policies, research initiation programs, proposal develop-

ment assistance, and return of overhead.
2. *Practices for Staff Development for Sponsored Program Administration.* These questions document institutional sponsored project administration practices and policies with respect to the training and career development for research administrators. How do institutions develop research administration expertise and encourage professional development among both central sponsored programs staff and academic unit administrative staff who are involved with the administration of grants and contracts?
3. *Practices for Organizing and Managing Sponsored Program Administration in the Institution.* These questions elicit information about practices for organizing and managing sponsored project administration in a decentralized environment.

Practice questions were comprised of two types which force respondents to make subjective choices about where their practices fit. Respondents were asked to self-evaluate. Such questions explored not only whether a practice is being followed, but how well the practice has been implemented. Questions fell into two categories:

1. *"Who does what" questions*
   These focus on the frequency of various types of activities, policies, practices, etc. No value is attached to a question, but responses permit comparisons of similar institutions. An example from the 1998 and 2000 Surveys is the question asking for the type of organizational structure and reporting lines for sponsored program administration.
2. *Normative questions*
   These questions are based on a normative set of good practices. Thus, a value is attached to practices and doing them well. Respondents are asked to self-evaluate. Such ques-

tions explore not only whether a practice is being followed but how well the practice has been implemented. The following framework is used in eliciting responses about normative questions.

NO: The practice or policy does not exist

CONCEPT ONLY: The practice or policy exists in concept but no formal or systematic approach is being implemented

BEGINNING: A formal and systematic approach has been started, but with major gaps in implementation or concept that inhibit progress in achieving ultimate goals

INTERMEDIATE: A sound systematic approach, responsive to primary objectives. No major gaps in implementation, though some areas in very early stages.

ADVANCED: A sound, systematic approach fully responsive to overall objectives. Approach is relatively well deployed with no major gaps.

The FY 2002 practice questions are included in Appendix 1.

The Responses

The following section reports the findings gained from all responses. Forty-seven institutions participated in the 2002 survey and provided valid responses to the practice questions. A list of participants appears in Appendix 2. Predictably, few significant changes from the preliminary report occur. The same issues are apparent when we look at responses from the entire sample.

The total population was divided into groups of 16 by size of sponsored program expenditures as reported in the survey. These groups are termed "larger," "midsized," and "smaller" institutions. We looked at the effect of size of respondent on the status of adopting good practices and found only a few instances where size seemed to matter; they are noted below. Otherwise, responses from institutions in each of the size groups showed no remarkable differences.

Who Is Helping Researchers Be Competitive? One of the most important practices for increasing success rate for competitive proposals or grant applications is to support pilot research to permit applicants to test hypotheses and show reviewers promising preliminary data. Most large universities and successful research groups have a "float" of support to help researchers move from one competing project to the next. However, new investigators and those moving from one institution to another do not enjoy the benefits of this kind of carry-over support and have to look elsewhere. Question A.3 asks if the institution provides this kind of support for faculty. Over half (58%) of the respondents said such practices were at intermediate or advanced stages of development, and 17% reported that these support practices were non-existent or existed only at the concept stage (Chart 2).
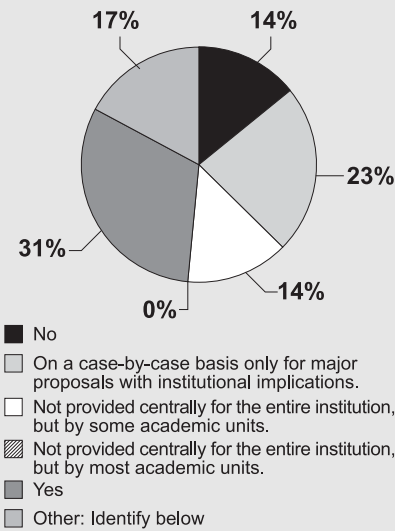
Proposal-writing assistance is also

Chart 2: Does the institution provide funds for gathering early-stage data?

- No 11%
- Concept Only 11%
- Advanced 31%
- Beginning 26%
- Intermediate 26%
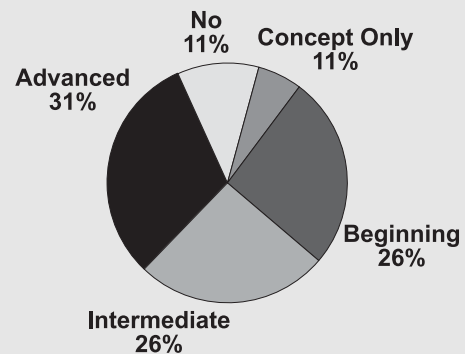
believed to be an important factor in boosting faculty completive success. Question A. 2 asked about these practices. Chart 3 shows that adopting this practice is far from uniform. While 37% reported they provided assistance, 14% of institutions reported doing nothing, and only 14% reported that some academic units provide this service. Even for major proposals with institutional implications, less than 25% said assistance was provided. We believe these responses demonstrate the opportunities for institutions to do more to help their researchers compete better in an increasingly competi-

Chart 3: Does the institution provide proposal writing and editing assistance?

14%
23%
14%
0%
31%
17%

- ■ No
- ☐ On a case-by-case basis only for major proposals with institutional implications.
- ☐ Not provided centrally for the entire institution, but by some academic units.
- ▨ Not provided centrally for the entire institution, but by most academic units.
- ▦ Yes
- ☐ Other: Identify below

tive environment. Looking at size, 46% of the smaller institutions and 33% of the mid-sized institutions responded yes, while only 10% of larger institutions responded yes (Chart 4). Differences for other variations do not appear remarkable.

Training Is Becoming Important but Certification Is Not. Questions B.1 through B.3 inquire about training in research administration and certification

Chart 4: Does institution provide proposal writing and editing assistance? ("Yes" response by size)

Larger Institutions	0.1
Mid Sized Institutions	0.3
Smaller Institutions	0.5
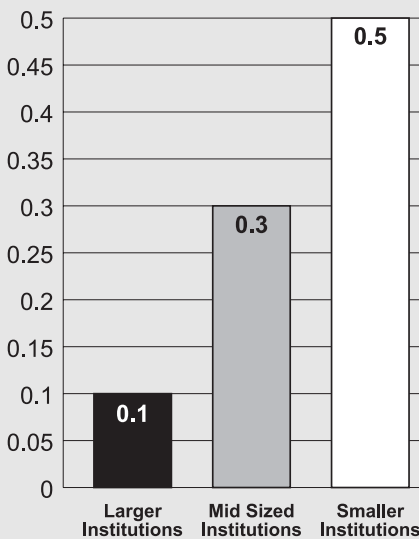
practices. Chart 5 shows response to question B.1., which deals with in-house training. About 45% of the respondents provided some training (at beginning, intermediate and advanced stages), while the other 55% provided none or were just beginning to think about it. While the need for in-service training in research administration is being recognized, the value of certification as a mark of achievement and a qualifier for advancement is missing.

Question B.2 asks about practices for

Chart 5: Does the institution provide a formal in-house or in-service training program for staff with research administration responsibilities?

Advanced 17%
Intermediate 11%
No 29%
Beginning 20%
Concept Only 23%
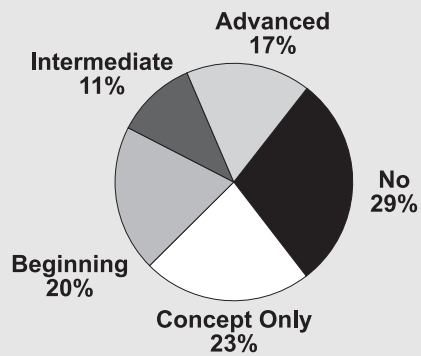
institutional certification or qualification. Only 9% were at the beginning level and 77% responded no (Chart 6).

Furthermore, national certification does not seem to be a fall-back to limited institu-

Chart 6: Does the institution have an internal certification requirement that must be met in order to exercise varying levels of delegated authority?

Intermediate 3%
Beginning 9%
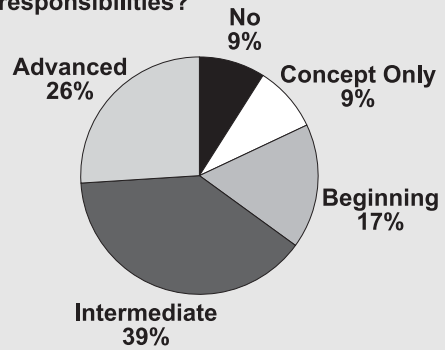Advanced 0%
Concept Only 11%
No 77%
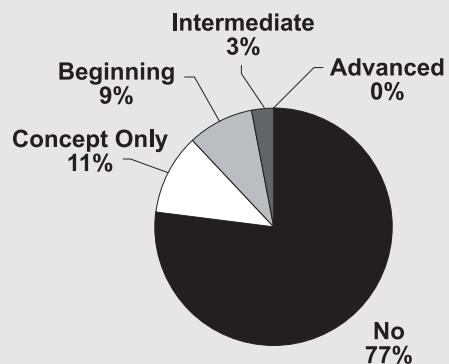
tional capability. Question B.3 asks if national certification is a factor in selection and promotion actions for research administrators. Ninety-four percent said no, and 6% responded positively. Apparently there is little confidence on the part of institutional decision-makers in the ability to evaluate individual performance or achievement and certify competence in the field of research administration.

Devolvement of Central Research Administration Resources and/or Authority is at Very Early Stages. Question C.3 asks if responding institutions fully or partially fund research administration positions at academic unit levels from institutional funds. Fifty-one percent said no, while 9% reported that their practices in this regard were advanced. Question C.1 asks if responding institutions delegate signatory authority for institutional approval of proposals to levels below the institutional level (e.g., schools, colleges, other academic or research units or departments). Eighty-nine percent said no, and only 3% claimed their practices were at the intermediate level. None were advanced. These results suggest that institutional leadership has been willing to delegate research administration responsibility but reluctant to delegate research administration authority to academic units. What's more, the practice of assigning or allocating central resources to support functions in academic units is not widespread.

Roles and Responsibilities Identified, but Little Formal Training. Question C.8 asked respondents if their institution has a comprehensive matrix of roles and responsibilities that identifies the specific roles and responsibilities of individual staff members in the conduct and administration of federally sponsored projects. Forty-six percent of the respondents said their established roles and responsibilities were at the intermediate or advanced levels of development (Chart 7). Larger and mid-sized respondents are consistently better at planning, with 70% and 83% respectively claiming their matrices were at intermediate or advanced levels, while only 39% of smaller institutions claim to be at intermediate or

Chart 7: Does the institution have a comprehensive matrix of roles and responsibilities?

No 9%
Concept Only 9%
Advanced 26%
Beginning 17%
Intermediate 39%

Chart 8: Does the institution Have a comprehensive matrix of roles and responsibilities? (Advanced and intermediate stages by size)

Larger Institutions: 0.7
Mid Sized Institutions: 0.8
Smaller Institutions: 0.4
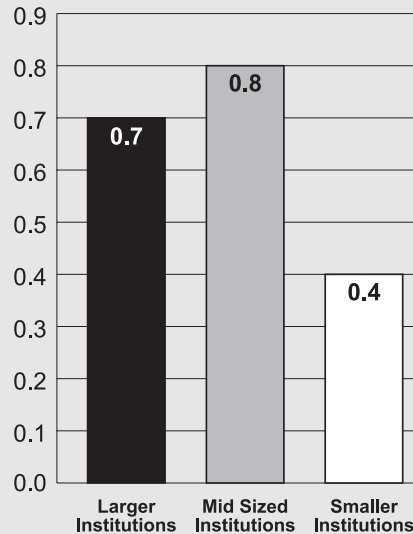
advanced levels (Chart 8).

Question C.7 asked if respondents' institutions have in place and conduct a program of ongoing institution-wide training on grants and contracts management policy and procedures for staff with research administration roles responsibilities and research faculty and staff. Here only 20% claimed their program was at an advanced level, and 26% had no program or were only at the concept level (Chart 9). This pattern of response again shows a disturbing lack of attention to organization and a lack of follow-through to assure that staff is equipped

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Chart 9: Does the institution conduct a program of ongoing training on grants administration?

- No 11%
- Concept Only 14%
- Beginning 29%
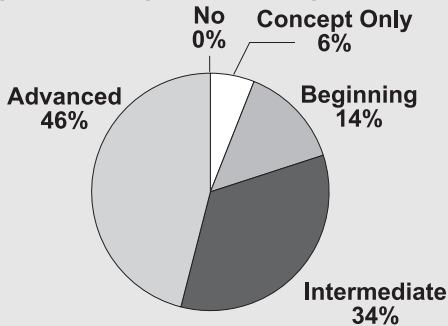- Intermediate 26%
- Advanced 20%
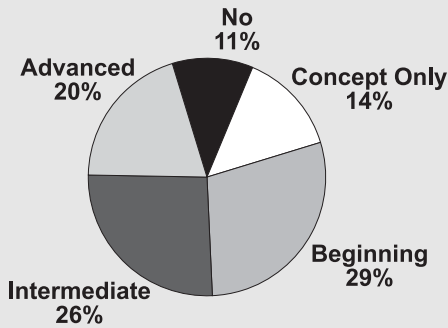
to function in the roles created for them.

Adequate Policies and Procedures but Little Use of Formal Coordination Mechanisms. Question C.6 asked whether the respondent has an adequate system of policies and practices in place as a means of ensuring administrative staff's consistency of treatment in similar situations. The question listed a minimum set of topics that constitute "adequate." Eighty percent responded that their systems of procedures and practices were at advanced or intermediate levels. (Chart 10).

On the other hand, when responding to

Chart 10: Does the institution have an adequate system of grants management policies and procedures in place?

- No 0%
- Concept Only 6%
- Beginning 14%
- Intermediate 34%
- Advanced 46%

question C.5 dealing with formal coordination mechanisms for managing activities at various levels of the institution, 40% responded that their efforts were at advanced or intermediate levels, and 60% responded that they had no mechanisms in place (Chart 11). This suggests that follow-up to assure that decentralized activities are

working to meet the goals and objectives of the institution may be lacking. This is an important element of overall institutional management that should be addressed.

Chart 11: Does the institution have an adequate system of grants management policies and procedures in place?

- Advanced 17%
- No 37%
- Concept Only 0%
- Beginning 23%
- Intermediate 23%
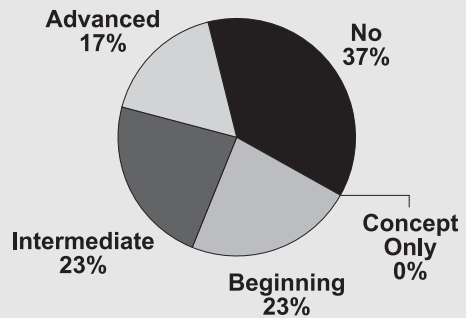
Summary

The FY 2002 SRA-BearingPoint Survey had 25 questions related to the sponsored programs administration practices in three practice areas. For the first time, information about institutional sponsored programs administration practices has been collected in a systematic way. This systematic collection of data has a number of benefits for both participants and the sponsored programs management community.

First, we are able to report the frequency of various practices and the degree of their implementation. Previous surveys have collected information about organizational structures. We are now able to report on 25 practices in the areas of faculty incentives, professional development, communications, training, policies and procedures, etc. The results are disturbing. We began the analysis of data understanding that the questions in each domain spoke to practices generally accepted by research administrators as "best practices." We do not consider the participating institutions to be under-achievers or unsuccessful at research management. Therefore we were surprised that so many institutions had not yet adopted or perfected these best practices in their research management functions.

Second, by having practice information

available along with performance measures, it will be possible for participants to begin analyzing the relationship between institutional practices and performance quantitatively.

Finally, participants will be able to specifically identify institutions that engage in various practices, including how well those institutions report having implemented that practice. Thus, participants will have a way to begin identifying "best practitioners" from among other participants in the survey.

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Appendix 1

Practice Questions, FY 2002 Survey

General Instructions

Practice questions are designed to elicit:
a whether a specific practice or policy exists;
b how fully the practice or policy has been developed; and
c where in the institution responsibility for managing the practice lies.

For most questions, use the following definitions in choosing the level of deployment of the practice:
a NO: The practice or policy does not exist
b CONCEPT ONLY: The practice or policy exists in concept, but no formal or systematic approach is under implementation
c BEGINNING: A formal and systematic approach has been started, but with major gaps in implementation or concept that inhibit progress in achieving our ultimate goals
e INTERMEDIATE: A sound systematic approach, responsive to primary objectives. No major gaps in implementation, though some areas in very early stages.
f ADVANCED: A sound, systematic approach fully responsive to overall objectives. Approach is relatively well deployed with no major gaps.

A. Practices to Promote Faculty Participation in Research and Sponsored Activities

The purpose of the following questions is to document institutional sponsored project administration practices and policies with respect to incentives for faculty participation in research/sponsored programs. _For the purposes of these questions, include only programs or practices that are funded or initiated at the central institutional level (e.g. the institution's chief research or academic officer)._

1. Does the institution have "reassigned time" or relief policies and procedures available for faculty members to cover their other responsibilities when they take on research or other sponsored activities? Check one below:

2. Does the institution provide proposal writing and editing assistance (through contract support or with in-house staff) to support faculty and staff ?
   a. No
   b. On a case-by case basis only for major proposals with institutional implications.
   c. Not provided centrally for the entire institution, but by some academic units.
   d. Not provided centrally for the entire institution but by most academic units,
   e. Yes
   f. Other:_____

3. Does the institution provide funds for gathering early-stage data (pilot projects or preliminary experiments to generate data to make a proposal more competitive) to include in proposals?

4. Does the institution provide "start-up" funds to new faculty members to get their externally-sponsored projects underway?

5. Does the institution provide funds to academic units based on levels of F&A cost recovery from sponsored activities?

6. Does the institution have formal recognition activities to promote faculty participation in research or other sponsored activities?

7. Institutional recognition activities are managed by (check all that apply):
   a. Department heads or Center directors
   b. College Deans
   c. Institutional executives
   d. System executives
   e. Other _____

8. How are externally-sponsored activities treated in your institutional faculty promotion and tenure policies? Check any that apply:
   a. Research and other externally sponsored activities are not considered in our policies.
   b. Research is a primary factor in our promotion and tenure policies.
   c. Research is a secondary factor in our promotion and tenure policies.
   d. Other sponsored activity (service, training, demonstration) is a primary factor in our promotion and tenure policies.
   e. Other sponsored activity (service, training, demonstration) is a secondary factor in our promotion and tenure policies.
   f. Other: _____

B. Practices for Staff Development for Sponsored Program Administration

The purpose of the following questions is to document institutional sponsored project administration practices and policies with respect to the training and career development for research administrators. _For the purposes of these questions, include only programs or practices that are funded or initiated at the central institutional level (e.g., the institution's chief research or aca-_

demic officer).

1. Does the institution provide a formal in-house or in-service training program for staff with research administration responsibilities?

2. Does the institution have an internal certification requirement that must be met in order to exercise varying levels of delegated authority?

3. Does national certification of research administrators play a role in selection and promotion of research administrators?
   a. Yes
   b. No

4. Does the institution have formal job classification elements which can be used on positions throughout the organization that cover research administration positions?
   a. Yes
   b. No

C. Practices for Organizing and Managing Sponsored Program Administration in the Institution

The following questions are designed to elicit information about practices for organizing and managing sponsored project administration in a decentralized environment.

1. Does the institution delegate signatory authority for institutional approval of proposals to levels below the institutional level (e.g., schools, colleges, other academic or research units or departments?

2. Does the institution delegate institutional signatory authority for proposals and awards to more than one individual in the central sponsored programs office in addition to the institution's primary authorizing official?

3. Does the institution fully or partially fund research administration positions at academic unit levels from institutional funds?

4. Does the institution's central SPA office employ research administration staff who are assigned to and located within academic units to support activities there?

5. Does the institution have a formal mechanism for coordinating research administration activities at all levels of the institution (e.g., research administration advisory committee, or other representative body)?

6. Does the institution have an adequate system of grants management policies and procedures in place as a means of ensuring consistency of treatment in similar situations? In answering this question an "adequate system" generally includes coverage in the following areas: proposal and application costing, other support, program income, effort reporting, conflicts of interest.

7. Does the institution have in place and conduct a program of ongoing institution-wide training on grants and contracts management policy and procedures for research faculty and staff and staff with research administration roles responsibilities in the conduct and administration of externally supported research and training.

8. Does the institution have a comprehensive matrix of roles and responsibilities that identifies the individuals, e.g., the responsible institutional official, principal investigators, department chairs, departmental administrators, deans, sponsored projects staff, and others who have specific roles and responsibilities in the con-

duct and administration of Federally sponsored projects, especially biomedical and behavioral research and research training supported by federal grants and contracts?

Appendix 2

FY 2002 Benchmarking Participants
Arizona State University (Tempe, AZ)
Dana Farber Cancer Institute
De Paul University (Chicago, IL)
Emory University (Atlanta, GA)
Florida International University (Miami, FL)
Florida State University (Tallahassee, FL)
Georgia Institute of Technology (Atlanta, GA)
Georgia State University (Atlanta, GA)
Medical College of Georgia (Augusta, GA)
Medical University of South Carolina (Charleston, SC)
Memorial Sloan Kettering Cancer Center (NY)
Northeastern University (Boston, MA)
Northern California Cancer Center
Oregon Health Sciences University (Portland, OR)
Purdue University (West Lafayette, IN)
Rhode Island College (Providence, RI)
Southern Illinois University Carbondale (Carbondale, IL)
Southwest Texas State University (San Marcos, TX)
SUNY-College of Env. Sci.-Forestry (Syracuse, NY)
The Hospital for Sick Children (Toronto, ONT, Ca)
Univ of California, Irvine (Irvine, CA)
Univ of Illinois - Urbana-Champaign (Urbana, IL)

Univ of North Carolina at Charlotte (Charlotte, NC)
Univ of Texas Anderson Cancer Center (Houston, TX)
University of Arkansas (Fayetteville, AR)
University of Colorado Health Sciences Center (Aurora, CO)
University of Houston, Clear Lake (Clear Lake, TX)
University of Illinois — Springfield (Springfield, IL)
University of Louisville (Louisville, KY)
University of Massachusetts, Amherst (Amherst, MA)
University of Memphis (Memphis, TN)
University of Michigan - Dearborn (Dearborn, MI)
University of Missouri-Columbia (Columbia, MO)
University of Nevada, Reno (Reno, NV)
University of New Hampshire (Durham, NH)
University of Notre Dame (Notre Dame, IN)
University of Rochester (Rochester, NY)
University of South Dakota (Vermillion, SD)
University of Southern Maine (Portland, ME)
University of Toledo (Toledo, OH)
University of Virginia (Charlottesville, VA)
University of Washington (Seattle, WA)
Virginia Polytechnic Inst & St Univ (Blacksburg, VA)
Western Michigan University (Kalamazoo, MI)
Wright State University (Dayton, OH)