

## 2002-2003 Research, Vice Chancellor

Section	Document Name
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Reallocation Plan	• <a href="#">Campus Reallocation Funds 2003-04</a>
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### Mission

The mission of the Office of the Vice Chancellor for Research and Graduate Education is to promote academic excellence at the graduate level and advance the research activities of the IUPUI campus.

### Goals and Objectives

- ▢ I. Provide a user-friendly sponsored programs research office that provides appropriate reviews and approvals to meet university and funding agency policies requirements
- ▢ II. Provide support and oversight services for an effective research compliance program.
- ▢ III. Strengthen the educational programs on responsible conduct of research
- ▢ IV. Promote the operation of strong centers and institutes on the IUPUI campus
- ▢ V. Achieve national and international recognition of the quality and extent of graduate programs at IUPUI
- ▢ VI. Improve administrative and business practices to better support graduate education
- ▢ VII. Strengthen the activities the support the needs of post doctoral fellows

### Fiscal Health

\*\*\* Fiscal health report for 2003-04 is attached as MS Excel Spreadsheet. \*\*\*

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#### RC Budget Summary and Fiscal Status as of 11/03/03

##### Operational Account 12-707-00

RC Budget Summary and Fiscal Status as of 10/31/03			
Operational Account 12-707-00			
July 1, 2003 Base	\$1,999,769		
Budget Contingency Cut (Capital-LCF)	(\$12,183)		
Additional Base State Appropriation for Research	\$204,381		

Appropriation for Research			
VP McRobbie Additional Base Funding – IDC Funds	\$100,000		
Additional Base Funding Campus Matching Budget Allocation	\$100,000		
New Expected Base		\$2,391,967	
Additional Funding/Expense			
IRB Fee Income	\$10,000		
GND Income	\$16,000		
RUGS Support	\$99,573		
Accreditation Expense	(\$5,000)	\$120,573	
Total Projected Funding			\$2,512,540
Total Projected expenses			\$2,373,183
Projected Balance			\$139,357

**Fellowships 12-701-01.** Current Funding: \$1,419,579 plus \$180,000 restricted to the CEGF (Commitment of Excellence in Graduate Fellowships) initiative. Expected to be fully allocated for student fellowships by end of FY. This is the fourth year of an established plan to fund graduate fellowships with income derived during the current FY.

**Research Support 12-701-05.** Current Funding: \$319,815. All funds expected to be awarded for research initiatives by end of FY.

#### RC Base & Reserves

Operational	12-707-00	\$1,999,769
Fellowships	12-701-01	\$1,599,579
Research Support	12-701-05	\$ 319,815
Total RC		\$3,919,163
3% Reserves		\$ 117,575

#### Fiscal Management

All RC accounts are closely monitored via a budget and accounting system customized for the RC needs. There are a series of interrelated spreadsheets updated regularly to record detailed transactions and current and projected commitments. This detail is aggregated following different criteria (i.e., according to functional area, expense/income category, encumbrances, variability, etc.) to produce standard and ad-hoc reporting. Accurate and timely reporting ensures the fiscal health of the RC and supports the decision-making and planning processes.

#### Fund Balance Use

Planned Use
Continue the support of research projects in this campus, particularly those funding interdisciplinary activities
Continue funding summer research opportunity programs, especially those in the biomedical and science areas, encouraging the participation of students from minority and underrepresented groups.
Continue to support the fellowship programs in this campus via University fellowships and block grants.
Support ERA project on its next phase involving Human Subjects/Compliance activities
Continue to support educational efforts on the responsible



conduct in research
Provide adequate equipment, furniture and supplies to our newly funded positions
Replace necessary equipment based on our Life Cycle schedule

## Other Comments

FY 2002-03 shows under Other Revenue \$126,963. This includes a \$98,004 cash transfer from RUGS and a \$22,500 cash transfer from IRB fees income. These are not our "typical" income source such as GND application fees.

## Reallocation Plan

### Campus Reallocation Funds

We received \$100,000 funds from campus reallocation to match another \$100,000 we received from VP Michael McRobbie as supporting ICR funds for research. This was in response to a request for additional funding totaling \$200,000, submitted in January of this year. The proposal follows and indicates in detail the initiatives it supports.

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January 8, 2003

Dear Michael:

After I talked with you this morning, I had an opportunity to talk with Bill Platter. I told him our working plan is for the School of Medicine to provide the immediate funding and that as the new IDC dollars become available, you would provide 50% of the proposed budget. Further, you expect the IUPUI campus should provide the other 50%. Bill accepts the proposition that the IUPUI should provide 50% of the new resources necessary to cover the expenses for the urgent staffing additions for the Research and Sponsored Programs Office. Bill affirms the notion that the long term funding should come from the campus and not directly from the School of Medicine. I further reported that the School of Medicine assumes their direct responsibility would be removed in a timely manner, hopefully within a year.

Bill asked that I develop within the next week a proposal with several alternatives on how the funds could be generated by the IUPUI campus to cover these new costs. It would be very helpful to learn more about the current practices engaged by the Bloomington campus to help support RUGS. Anything you can do to help me on this would be appreciated.

Since I talked with you, I have further reviewed the specific request for new funding. I believe it is reasonable to reduce the amount I have requested. The following is detail plan for the staffing changes. An important contextual point is the current all funds recurring operating budget for my entire unit has only about \$9,000 of uncommitted funds. Further, our S&E budget is inadequate, but we have been able to manage by capturing funds from open positions. With a staff of 30+, we generally experience some turnover every year. Thus we have no funds to directly contribute to the new staffing needs.

### Director of Corporate/Industrial Contracts

The plan is have Sid Johnson move to this position. He actually had this very position 20+ years ago and did quite well in that capacity. Without question the workload has vastly expanded and companies today seem to be more demanding in their contracts. I have added to the job responsibilities to work closely with the School of Medicine in establishing a Clinical Research Service Office. It is my position that we retain responsibility for negotiating the contracts, but there are elements that should be carried out by staff in the School of Medicine. I also expect Sid to turn around the way the office operates. Not only do we expect contracts to be completely negotiated on average within 30 to 45 days, I would like the office to be proactive rather than reactive. At a minimum I want to see more master contracts with the companies that regularly support research and clinical trials at IU. In addition, I would like Sid to visit some of our major corporate and industrial sponsors to proactively discuss approaches we can pursue to enhance collaborations. I am proposing we provide funds for a lateral move for Sid Johnson.



considerations. I am proposing the premise raised for a lateral move for Sid Johnson.

	Salary Line	Fringe Benefits	Total Compensation
Sid Johnson current salary	\$106,500	\$38,021	\$144,521
Funds available from salary line of the former director	\$73,818	\$26,353	\$100,171
Additional funds required to support Sid Johnson			<b>\$44,350</b>

#### **Add a Contract Administrator to the Corporate/Industrial Contracting Office:**

In the in proposal developed by the School of Medicine, it was suggested we should define the position for a paralegal with a salary of \$60,000. We currently have in a temporary position a fine young man who worked in our office two years as a legal intern. He has now completed his M. BA. and a law degree (he has passed both the Indiana Bar and the Patent Law exams). I believe we can hire him at \$45,000. While I would like to offer more, I am quite concerned about creating a salary imbalance with existing staff. For us to offer him \$60,000 would mean I would have to provide salary increases for of more than \$10,000 for two or three other people. We are presently paying him \$38,000 as a temporary employee.

	Salary Line	Fringe Benefits	Total Compensation
New Contract Administrator	\$45000	\$16,065	<b>\$61,065</b>

#### **Add a Contract Administrator to the Sponsored Program Administration Office:**

Also in the proposal developed by the School of Medicine, it was suggested we should have a second paralegal person. For the same reasons as above, I believe a salary of \$60,000, while very desirable, would cause serious salary imbalances with the existing staff. We propose to "test the market" with a \$45,000 salary. We are optimistic we can recruit someone with this salary. The position would report to Pam Mckeough, the Director of SPA. Responsibilities will include handling educational, and foundation contracts. We desire someone with sufficient skills such that we could delegate signature authority to that person for routine educational and foundation contracts.

	Salary Line	Fringe Benefits	Total Compensation
New Contract Administrator	\$45000	\$16,065	<b>\$61,065</b>

#### **Reclassify and adjust the salary for Pam Mckeough:**

Pam will complete 30 years of service in the SPA office as of this coming September. Both Steve Martin and I believed we would be hard pressed to find anyone in the country more knowledgeable about federal agency grants and contracts. She has a keen eye to spot the important issues and is a tireless and efficient worker. I have complete confidence in her abilities to direct the Sponsored Programs Administration Office. She is currently classified as a PA 16 and has a salary of \$72,666. I assure you it will cost us at least \$90,000 to replace her, and more likely over \$100,000 if we were to do a national search. I know it will be a bitter pill for her to swallow for us to bring Sid back to the office at a salary of \$106,500 if we do not make a significant adjustment in her salary. Frankly, she will still be responsible for 70% of the sponsored dollars and close do 80% of the number of grants and contracts. I propose raising her salary to \$85,000. Pam will have 9 FTE reporting to her, while Sid will have 2.5 FTE reporting to him.

	Salary Line	Fringe Benefits	Total Compensation
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Pam McKeough's current salary	\$72,666	\$25,942	\$98,606
Proposed salary for Pam McKeough	\$85,000	\$30,345	\$115,345
New Fund Requested			<b>\$16,737</b>

#### **Additional S&E operating money for the new positions:**

As mentioned above, we are already desperately short on S&E funds and adding two new lines and upgrading a third will stretch us to a highly precarious position. I propose adding \$3000.

#### **Travel money of the Director of Corporate/Industrial Contracts.**

I think it essential for Sid to attend two national meetings a year related to this position. One is the National College and University Research Administrators (NCURA) annual meeting and the second is the Association of University Technology Managers (AUTM). In addition, we need to provide travel funds to he may be able to visit a few key sponsors every year. I propose a travel budget of \$7,500 for Sid's office.

#### **Space requirements:**

We believe we can provide space for the additional two people though we are close to reaching our capacity. Frankly, we prefer to keep all of our operations together rather than moving some functions to a second site. There are extensive interactions among our staff, and proximity is very important. We therefore are not requesting any funds for new space.

#### **The future:**

I believe the above proposal is a very reasonable approach to alleviate the current backlog and begin to provide consistent and timely quality service for our researcher for contracts and grants. However, the above proposal does not fully address our needs related to handling awards on new proposals. We are having one of our grant specialists also handle awards. Some of the awards are also handled by one of our legal interns. I believe within the next year we should plan on converting one of the legal intern positions into a full-time award specialist.

The other point that I wish to make is it is important to recognize that we must be prepared to make further investments in staffing as the contract and grant work load expands.

#### **Summary of the Request:**

	Funds Requested
Adjustment in salary line for Sid Johnson	\$44,350
Contract Administrator for Corp/Industry	\$61,065
Contract Administrator for Education & Foundations	\$61,065
Adjustment for Pam McKeough	\$16,737
Additional S&E	\$3,000
Travel funds for Sid Johnson	<b>\$7,500</b>
	<b>\$193,717</b>

I hope the above information provides sufficient detail. I certainly will be happy to discuss this further.

Respectfully,

Mark Brenner



Additionally, state research funds were allocated to fund a joint proposal submitted with the School of Medicine. From this proposal \$204,381 were approved for FY 2003-04 and \$99,857 for FY 2004-05. The details of the funds requested follow:

**IUPUI HEALTH SCHOOLS RESEARCH SUPPORT APPROPRIATION  
PROPOSED ALLOCATION OF FUNDING JUNE 10, 2003**

	<b>FY2004</b>	<b>FY2005</b>	<b>Total</b>	
Environmental Health and Safety	\$132,568		\$132,568	The Indianapolis Campus requires funding to support the additional costs of providing Environmental Health and Safety services in the newly opened BRTC and Research II facilities.
Building Security	\$198,853		\$198,853	The Indianapolis Campus requires funding to support the additional costs of providing security in the newly opened BRTC and Research II facilities.
Associate Director	\$83,100		\$83,100	The Office of Research and Sponsored Programs must recruit an Associate Director for Sponsored Programs Administration. Funding is required to replace the FY2004 budget reduction and to increase the salary to a competitive level.
Contract Administrator - Industry	\$60,352		\$60,352	The Corporate/Industrial Contracts Office work load has continued to grow to the point we are not able to keep up with the work flow. When we compare the number open files our contract administrators handle per person (60 at any one time) to other universities, our people have 1.5 the work load. Thus we anticipate adding one person should be adequate unless the work continues to rapidly grow. To be competitive with other universities, it is essential that we close on contracts as quickly as possible. Our goal is less than 30 days. Failure to close on contracts in a timely manner will mean we simply will not receive contracts from many of the pharmaceutical companies. This would be inconsistent with the Life Science Initiative.
Contract Administrator- Non-Industry		\$62,325	\$62,325	With the continuing growth of the research programs on the Indianapolis Campus, additional staff is required to negotiate, review, and execute contract agreements for research programs funded by non-industry sponsors (as opposed to industry sponsored contracts noted above). An additional Contract Administrator will be required within the Office of Research and Sponsored Programs to accommodate the increased volume
Research Compliance Coordinator – Biosafety	\$47,055		\$47,055	The Research Compliance Office of Research and Sponsored Programs have long provided the staff support for the Institutional Biosafety Committee. With the passage of the Patriot Act (Oct 2001) we had to create a Biohazard Committee to set policies and review research studies that use biohazardous materials. We took on this responsibility without additional staff but the work load now is such that it is reducing our capacity to manage the human subject studies. Since we soon will be site visited for accreditation of our human subject program, we would like to demonstrate institutional commitment for adequate staffing of our compliance programs. It should be pointed out that RESG provides all the staff support for Biosafety policy development



				and support for research policy development and study management. Environmental Health and Safety provides the staff support for the biosafety officer.
Anticipatory Retention for Director of Research Compliance	\$13,874		\$13,874	Ms. Shelley Bizila has proven extremely effective in directing the Research Compliance Office. She is highly knowledgeable (one of the first individual to pass the national certification test for human subject administrators - only 1/3 pass rate). She brings to the position a wonderful blend of attributes: patience, diplomacy, clear vision, strong leadership, highly ethical, pragmatic, and outstanding management of a complex organization. In addition, she is an excellent communicator (oral and written). I have learned from one of the associate deans of the School of Medicine, that Shelley is confidentially begun exploring other job opportunities. It would be devastating to our research compliance program if she were to leave. I understand there has been a recent informal salary analysis of directors of human subject protection programs. I have request summary information. In the mean time, I am estimating we need to adjust Shelley's salary by \$10,000 to bring her up to the lower 40% level of her peer group.
Support 1/3 Mark Oklak's Appointment		\$29,132	\$29,132	Mark Oklak was hired two years ago to serve as a database specialist and programmer. The SOM agreed to provide 1/3 of his salary from grant funding available for three years (FY04 will be the third year of the agreement). Mark has played a key role in managing our human subject database and created a web-based adverse event reporting system coupled to the human subject data base. Mark is working on campus a system for faculty to report discloses financial interest for our conflict of interest policy.
AAHRPP Accreditation Fee		\$8,400	\$8,400	We have already paid the first year fee for AAHRPP accreditation. The total for the University (IUPUI and IUB) is \$35,000, and the amount we will pay for our share is \$14,000. There will be an on-going annual fee at 60% the initial fee. This means our on-going obligation will be \$8,400. Other contributors include the Lilly Clinic, Methodist Hospital, and IUB.
Biostatistical Services – Infrastructure Support	\$154,000	\$183,274	\$337,274	Additional infrastructure support is required to prepare the Division of Biostatistical Services to effectively support the growing research programs in the IUPUI Health Schools. The additional support will allow Biostatistical Services to provide consultation to investigators during proposal preparation and to recruit the staffing capacity required to support newly funded research programs. For proposals to be competitive in today's environment, they must include a robust statistical component. This must occur at the "front end" so that there is no way to secure extramural support for such costs. This amount represents anticipated cost increases for these services within the next three years. These estimates are based on a formal programmatic review of our biostatistics infrastructure that occurred this year. Note, that many schools at IUPUI utilize this biostatistics core capability.



HIPAA Compliance	\$125,000	\$125,000	\$250,000	The School of Medicine Compliance Office requires additional support to recruit the staff needed to ensure compliance with the new HIPAA requirements in all research programs involving human subjects. Note that there are a number of clinical components to HIPAA compliance; this amount refers only to that related to research. The School is already investing about \$750K in compliance.
Office of Technology Security Analyst	\$76,175		\$76,175	The School of Medicine Office of Technology must recruit a Security Analyst to ensure that the necessary safeguards are in place to comply with the new HIPAA regulations for research subjects.
Research Financial Compliance Coordinator	\$83,100		\$83,100	In consideration of the increasing compliance requirements as well as the increasing volume and complexity of research programs, the School of Medicine must recruit an experienced research administrator to work with the departments to ensure compliance with all applicable regulations.
Additional IACUC Staff	\$76,658		\$76,658	To ensure compliance with all applicable regulations, the School of Medicine must recruit an additional staff member to provide support to the IACUC. Support is also required to appropriately adjust salaries for positions reclassified by Human Resources.
Contract Research Support – Industry	\$133,233		\$133,233	The School of Medicine is achieving considerable growth in industry funded research and must add staffing to facilitate the processing of the associated contracts and agreements. The requested funding will support an experienced research administrator to work with the School of Medicine faculty, the R&SP staff, and companies to assist in coordinating the negotiation and execution of these agreements. With the increasing volume, a support staff member will also be required.
Associate Director for Research Operations	\$125,343		\$125,343	The School of Medicine will be adding substantial research space over the next few years, including the Information Sciences Building, Research Institute III, and space in the Medical Sciences Building that will be vacated by the State Departments of Health and Toxicology. In order to maximize the efficiency of this space, the School must recruit an individual experienced in the programming and layout of research space. Our current facilities office cannot keep up with all these projects. This is a good problem to have and one that we hope will not go away.
Central Research Administration Office		\$200,825	\$200,825	To optimize the efficiency and quality of research proposal preparation, the School of Medicine needs to establish a central research office. The experienced staff recruited for this office will work directly with the School of Medicine faculty to assist with proposal preparation. The largest departments within the School of Medicine provide this capability within the department, but most departments can't justify a dedicated staff to perform this function so it is anticipated that considerable efficiency could be gained by offering this capability centrally. To establish the office, it is anticipated that an Assistant Director will be required to coordinate the activity and two grant specialists will be required to accommodate the activity within the first year.



Central Clinical Trials Office	\$161,891		\$161,891	To promote clinical research and enhance the efficiency of its administration while ensuring compliance with applicable regulations and University policies, the Clinical Trials Program Office needs expansion. This office will identify and disseminate information about new clinical trials opportunities to investigators. Most importantly it will educate and assist them and their clinical trial coordinators in all the infinite number of regulations regarding clinical research and maintaining compliance therein.
Laboratory Animal Resource Center		\$500,000	\$500,000	The School of Medicine Laboratory Animal Resource Center (LARC) supports many of the research programs within the School. With the growth of the research programs, a considerable annual investment is required to provide additional equipment, repair/replace equipment, and maintain the LARC facilities. Funding is required to cover a portion of the increase in the annual costs resulting from additional LARC facilities.
Laboratory Facilities and Equipment Repair and Replacement Funding	\$53,422	\$181,578	\$235,000	The School of Medicine renovates laboratories and makes routine repairs and upgrades to these facilities as needed. In addition, scientific equipment must be maintained and eventually replaced. This amount represents a portion of the increasing annual costs of maintaining these facilities in serviceable condition so that our investigators can maximize their productivity.
Additional Lease Cost for Research Space		\$386,577	\$386,577	The rapid growth of the School of Medicine research programs has required the School to place programs in an increasing amount of leased space. The lease terms for space in Health and Hospital Corporation facilities are currently under renegotiation which will result in a substantial increase in the annual cost for this space. The School of Medicine requires support to partially offset these increasing lease costs.
<b>Total RESG</b>	<b>\$204,381</b>	<b>\$99,857</b>		
<b>Totals</b>	<b>\$1,524,624</b>	<b>\$1,677,111</b>	<b>\$3,201,735</b>	
<b>Additional Requirements Expected to be Funded from Other Sources</b>				
ERA Programmer	\$65,904		\$65,904	While we are still developing the ERA system, we have now entered a phase in program that we need to provide on-going support to revised the applications already written, while we continue developing the remaining modules. Funds for the developing the new modules for FY 2004 will come from IUB, UITS, NIH, and the VA.
Computer Support Person/Network Administrator	\$52,174		\$52,174	Currently, Mercedes Randle serves at the Fiscal Officer, Human Resource Officer, and computer support/network administrator for all of Research and Graduate Education. The total head for the combined office is currently 43 people. Just supporting the computers has begun to approach a full time responsibility. Currently, many staff have to wait one to three weeks to have a computer problem address. Unfortunately,



				considering Mercedes other responsibilities, this is the best she can do. For the same reason, personnel issues cannot always be addressed in a timely manner.
<b>Totals</b>	<b>\$118,078</b>		<b>\$118,078</b>	

Research Infrastructure Requirements 6 5 03:JWT

The above initiatives will contribute to the campus mission of Best Practices.

### Other Question(s)