

UAMS

UNIVERSITY OF ARKANSAS
FOR MEDICAL SCIENCES



Research Support Information Network (RESIN)

Presented by: Office of the Vice Chancellor for Research

Date: May 5, 2015



Agenda

■ Updates & Timely Information from Research Support:

- ✦ Office of the VCR
- URC
- IRB
- IACUC
- HIPAA
- ✦ Medical Humanities
- BioVentures
- ✦ Finance

- COI
- ✦ ORSP
- ORRA
- DLAM
- OGSP
- TRI
- ✦ Procurement Services
- ✦ Emergency Preparedness



Emergency Preparedness

Wes Manus

UAMS Director of Emergency Preparedness

- **One campus, many accrediting bodies**
 - Joint Commission, IACUC, AAALAC, Clery Act...
 - Why do you care?
 - Compliance = grant(s) = continued research
 - Animals/cultures die = research interruption
 - I'm here to help
 - Research Subcommittee for Preparedness
 - Membership in formation (being updated)
 - Will include broad representation throughout Research



Research Ethics Consultation

Service (RECS) Leah Eisenberg, JD, Medical Humanities, Research & Clinical Ethics Consultant

■ What is it?

- A free service to assist researchers or research participants at UAMS with any ethical concern that arises at any stage of research.
- Consultants can help researchers think through potential ethical issues in study design or they can help resolve concerns that arise in the conduct of research.
- Consultants can also assist in communicating and discussing ethical matters in the study report.



Research Ethics Consultation Service (RECS)

Leah Eisenberg, JD, Medical Humanities, Research & Clinical Ethics Consultant

- **Who can use it?**
 - Anyone involved in research or research regulation at UAMS and affiliated sites
- **When should you call?**
 - Whenever you have an ethical concern about research
- **Why should you call?**
 - The RECS helps investigators identify and proactively address issues that might impede approval by the UAMS IRB.



Research Ethics Consultation Service (RECS) Leah Eisenberg, JD, Medical Humanities, Research & Clinical Ethics Consultant

- **What happens during a consultation?**
 - It depends- a consultation is simply a request for help.
 - A phone call may resolve the issue
 - A more thorough investigation of solutions to a particular problem may be needed.
 - You can ask for an ethics review to be sure your proposal does not raise unforeseen ethical issues.



Research Ethics Consultation Service (RECS) Leah Eisenberg, JD, Medical Humanities, Research & Clinical Ethics Consultant

- **Some reasons for research consultation**
 - You are studying vulnerable populations
 - Your research presents a high risk for enrollees
 - You are storing biological specimens
 - You might learn sensitive medical info about subjects
 - You wonder if your incentives might positively influence people to enroll
 - You want to make sure your enrollment proposal is fair to all populations



Research Ethics Consultation Service (RECS) Leah Eisenberg, JD, Medical Humanities, Research & Clinical Ethics Consultant

- **Who staffs the RECS?**
 - Ethicists from the UAMS Division of Medical Humanities
 - Leah Eisenberg, Primary Research Consultant
- **How do I request a research consult?**
 - Call (501) 661-7970
 - E-mail humanities@uams.edu



Sole Source Justification for Commodities

Suzanne Leslie, Director,
Procurement Services

- **Proprietary or Sole Source Procurement**
 - “Sole source procurements of commodities, equipment, and technical services shall be those procurements which, by virtue of the performance specification, are available from a single source. Brand name or design specifications shall not be sufficient explanation for sole source.”
 - **Procurements may include, but are not limited to:**
 - requirements of performance compatibility with existing commodities or services; or
 - repairs involving hidden damage.



Sole Source Justification for Commodities

Suzanne Leslie, Director,
Procurement Services

- **Approval – Submission of UAMS Sole Source Form with SAP Requisition**
 - Request for approval shall be made in writing and shall include in the justification:
 1. Requisition
 2. Why the service is needed;
 3. Methods used to determine that a lack of responsible/responsive competition exists for the service;
 4. How it was determined that the provider possesses exclusive capabilities;
 5. Why the service is unique;
 6. Whether or not there are patent or proprietary rights which make the required service unavailable from other sources;
 7. What the agency would do if the provider/service were no longer available;
 8. Any program considerations which make the use of a “Sole Source” critical to the successful completion of the agency’s task.



Sole Source Justification for Commodities

Suzanne Leslie, Director,
Procurement Services

- **Approval – Submission of UAMS Sole Source Form with SAP Requisition** (continued)
 - Procurements shall be approved in advance by the head of a state agency having an agency procurement official or the State Procurement Director for all other state agencies, or a designee of either officer above the level of agency procurement official.



Sole Source Justification for Commodities

Suzanne Leslie, Director,
Procurement Services

■ Contact

Suzanne Leslie

Agency Procurement Official
UAMS Director of Procurement Services
Mail Slot 542, (501) 686-6134
LeslieSuzanne@UAMS.edu

■ Questions?



Crowdfunding

Suzanne Alstadt, DPA, Director, ORSP

■ What is Crowdfunding?

The practice of funding a project by raising small amounts of money from a large number of individuals, typically via forms of online media and for a limited time frame.



Crowdfunding

Suzanne Alstadt, DPA, Director, ORSP

■ Why Crowdfunding?

UAMS recognizes that researchers across the country are facing increasing difficulty in securing funding through traditional extramural sources. Crowdfunding presents an opportunity for researchers to raise goal-specific funds directly from the public via the internet



Crowdfunding

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Consano is UAMS selected platform for crowdfunding

- www.consano.org
- Tax-exempt 501 (c) (3) organization
- Dedicated to health research
- No fees for services except for processing fee assessed by PayPal
- Projects reviewed by Scientific Advisory Board



Crowdfunding

Suzanne Alstadt, DPA, Director, ORSP

How to participate:

E -mail info@consano.org with:

1. Name
2. University of Arkansas for Medical Sciences as the academic/research institution affiliation,
3. Provide the health category
4. Provide the name and contact information of the Director of the ORSP.
5. Individual will be issued a researcher login and password.



Crowdfunding

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How to participate:

- All proposals to Consano will be routed through TRACKS for applicable sub-department, department, college, and ORSP approval.
- No published deadlines, so PI/PD will set his/her own deadline
- 7 day draft and 2 day final rules apply



Crowdfunding

Suzanne Alstadt, DPA, Director, ORSP

- First project submitted to Consano on Monday, May 4, 2015.
- UAMS crowdfunding policy being drafted collaboratively by General Counsel's Office, Office of Institutional Advancement, and ORSP.



Crowdfunding

Suzanne Alstadt, DPA, Director, ORSP

Questions?



UAMS Research Shared Services

William Bowes, Vice Chancellor, Finance & Administration

■ Agenda

1. Shared Services Defined
2. Shared Services in Academic Medical/Higher Education Environments
3. The Case for Change
4. General Strategy for Change
5. The Governance Structure and Role
6. Service Level Agreements
7. Project Timeline
8. Project Team
9. Project Website



UAMS Research Shared Services

William Bowes, Vice Chancellor, Finance & Administration

■ Shared Services Defined

- Pooling of resources to perform a function for the benefit of different parts of the organization
- Can be functionally or geographically based
 - Human Resource, Research, Finance
 - Regional Campuses, Departments
- Usually built around administrative, routine transactional functions
- Shared Governance Structure (different from simple consolidation)
- Stakeholder Buy-In



UAMS Research Shared Services

William Bowes, Vice Chancellor, Finance & Administration

■ Who Are Stakeholders? (Examples)

Chancellor's Cabinet	College Deans
University Research Committee	Academic Senate
Department Chairs	Research Faculty
RESIN	Administrative Council
Grants Accounting	ORSP
IRB	Compliance
COI Office	



UAMS Research Shared Services

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■ Shared Services - Academic Health Centers / Higher Education

■ Emory University

- Focused on Research (Pre-Award and Post-Award)
- Goal to improve customer service, compliance
- Standard Operating Procedures
- Building staff competencies
- Use of Performance Metrics

■ Yale University

- Voluntary Program
- Emphasis on cross-training of staff to handle surge needs
- Created a contact center
- Focused on Retained Functions



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■ Shared Services – Universities in Various Stages of Implementation (Examples)

Harvard University

UC Davis

University of North Carolina

UC San Francisco

Johns Hopkins University

Oregon State University

SUNY System

Cornell University

UC Berkeley

Dartmouth

Stanford

University of Michigan

North Carolina State Univ.

Illinois University



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■ The Case for Change

- Variability of services faculty receive due to differing resource levels and staff capabilities
- Inconsistent processes and duplication across silos
- Lack of back-up resources in some departments
- Unclear roles and responsibilities
- Fragmentation of support
- Need for improved faculty experience
- Need to reduce costs
- Need to decrease organizational complexity
- Need to increase capacity to generate high quality proposals in a more competitive environment



UAMS Research Shared Services

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■ The Operating Model

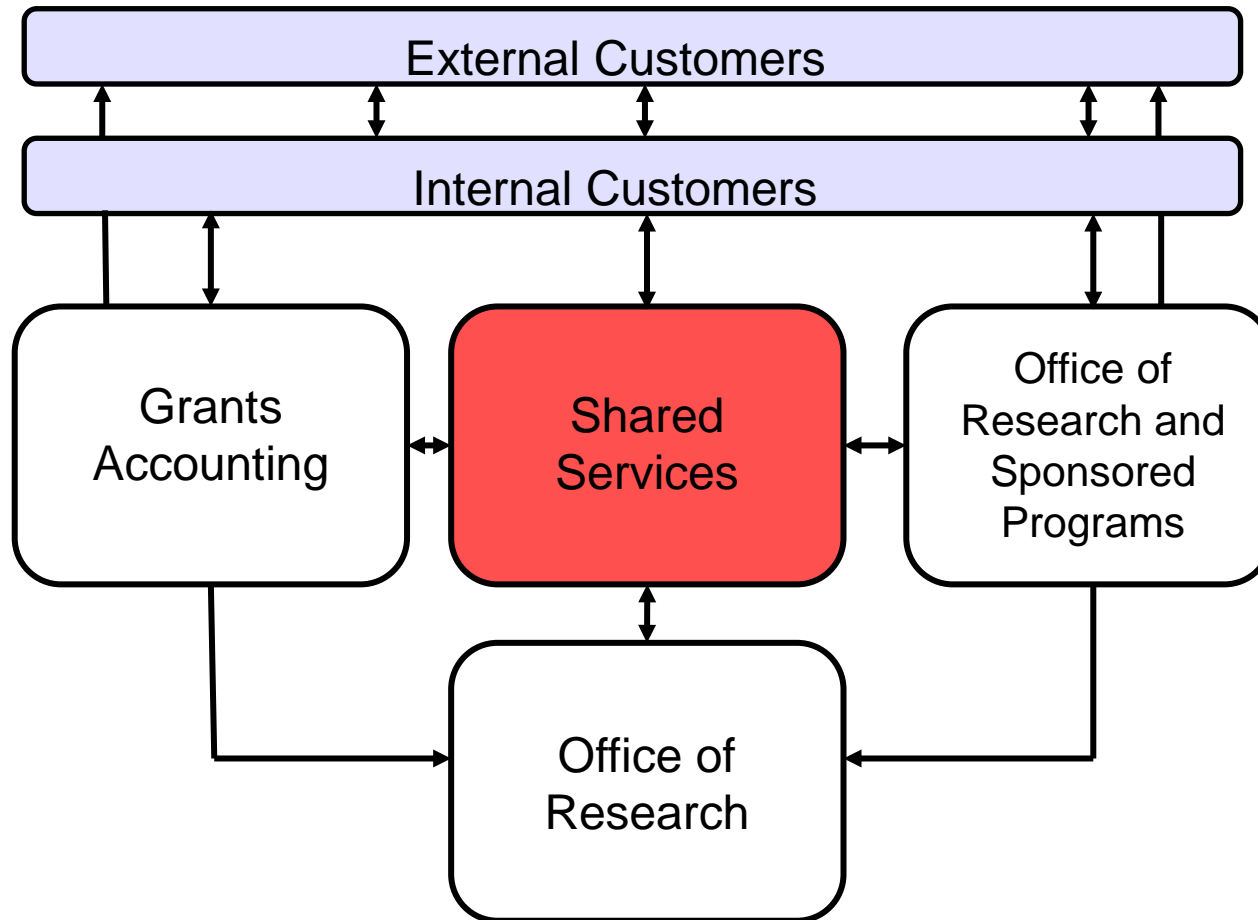
- The first key deliverable in any organizational design
- Describes how organization will operate and interact with its customers and other stakeholders
- Does not define reporting relationships or role descriptions, just shows at a high level how relationships will work.
- Describes the nature of the interactions among these groups
- Interactions include those with:
 - Internal Customers
 - External Customers
 - Other Business Units
 - Senior Management



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■ The Operating Model





UAMS Research Shared Services

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■ Organization Design for Shared Services

- Identify transactional processes/business support activities to be managed by the shared services organization.
- Identify specialist/expert functions to be delivered by the shared services organization (e.g., budget development, review of initial grant drafts)
- Determine what functions will be retained at department unit level
- How will that organization be designed to receive services that the shared services organization is providing?
- How can we establish clarity of input and output to achieve an effective structure?
- Define Governance Layer to manage customer/supplier relationship, including management of service level agreements
- Each has a different job to perform in terms of ensuring success of the shared services initiative



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■ Organizational Design for Shared Services

Retained Functions - defines the strategic direction of the function relative to business requirements



Governance - Defines the requirements of the business unit relative to the shared services center



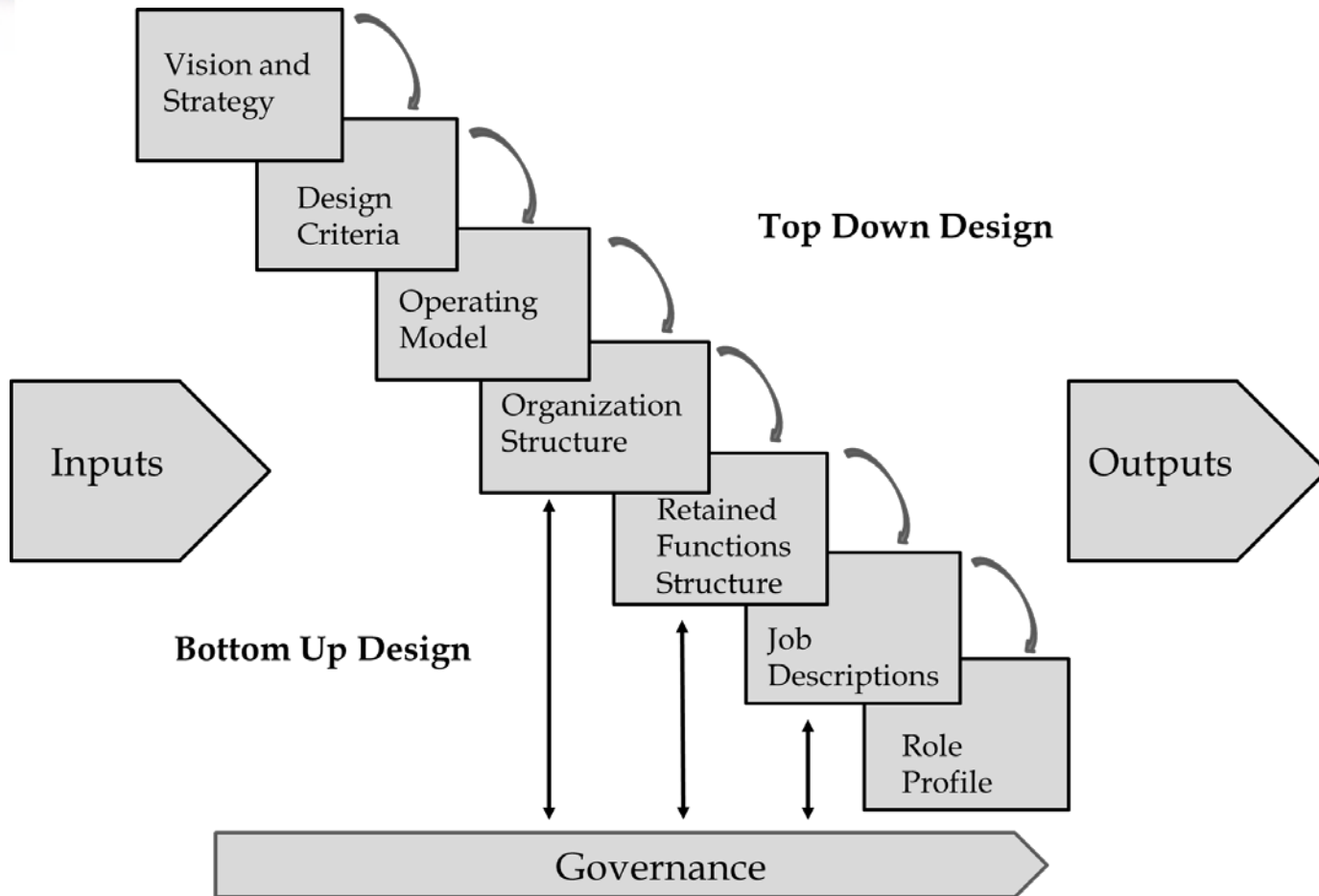
Shared Services - defines transactional and business support services to agreed service levels and cost



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■ An Approach to Organizational Design





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■ Governance Structure & Role

- Distinguishing feature of shared services
- Governance structure consists of customers of the service
- Advises on functions to be performed, at what level, use of metrics and budget matters
- Communicates activities to other parts of the university
- Oversees work of shared service director
- Ensures service level agreement is observed and followed

■ Service Level Agreements

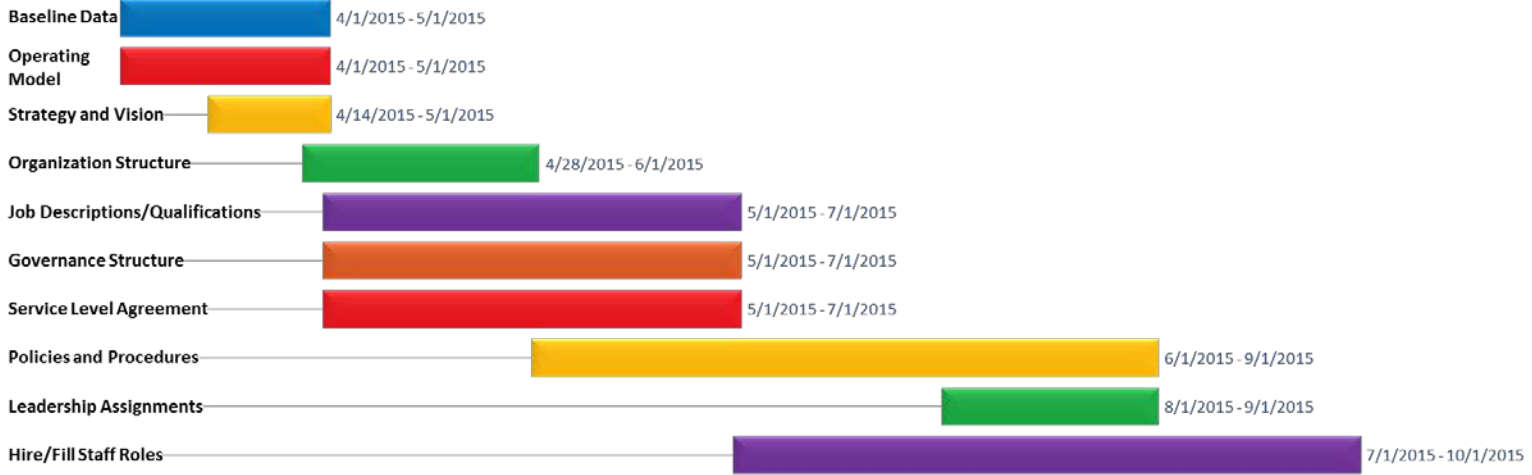
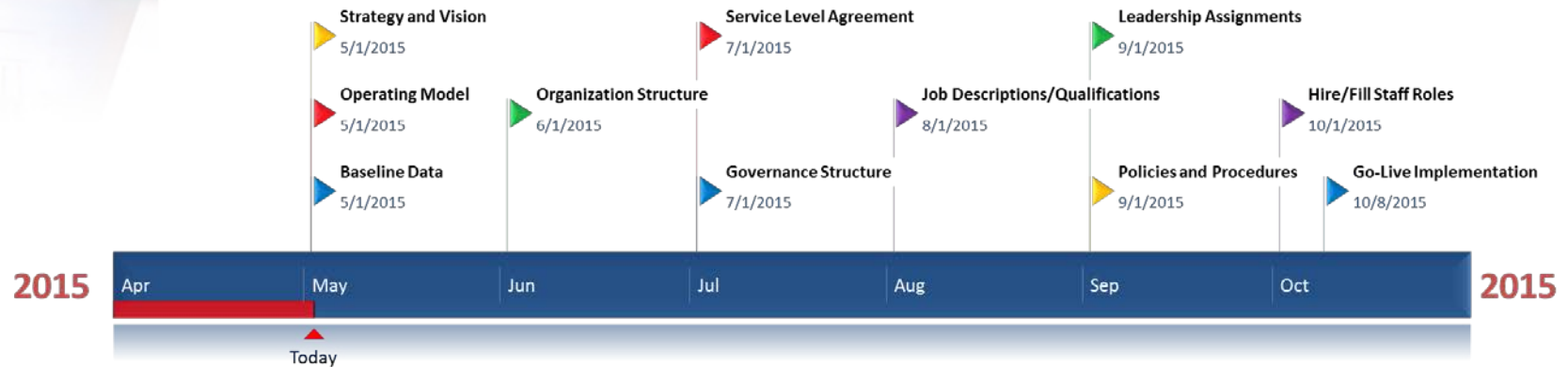
- Summarizes provided services
- Sets forth expectations for all parties, (e.g., roles/responsibilities of the shared service unit, departments, etc.)
- Outlines metrics to be used
- Documents oversight and feedback processes for advisory committee (governance group)
- Creates Effective dates
- May include budget information



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■ Project Timeline



5/6/2015



UAMS Research Shared Services

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■ Project Team

William Bowes, CFO, Project Sponsor

Renee Raines, COM, Project Leader

Suzanne Alstedt, ORSP

Lisa Jackson, TRI

Cynthia Mosely, PRI

Suzy Sun, Institute on Aging, Geriatrics

Lou Forst, Pharmacy

Sterling Moore, Pediatrics

Susan Leon, College of Medicine

Darri Scalzo, Compliance

Staff Support:

- Jeff Risinger, AVC Human Resources
- Stewart Clark, Management Assistant
- Kevin Keen
- Jennifer Rable



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■ Project Website

■ Elements:

- Project Charter
- Baseline Data
- Project Timeline
- Project Strategy
- Project Team
- Achievement of Milestones
- FAQs



UAMS Research Shared Services

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■ **Questions?**



Next RESIN

■ Next RESIN

- **June 2, 2015 @ 12:00 p.m.**
- Location - **Walton Auditorium**, Winthrop P. Rockefeller Cancer Institute, 10th floor
- All RESIN presentations archived on the UAMS Research website
 - http://www.uams.edu/research/RESIN_Archive.asp