

When a Small Sign is the Beginning of a Big Fix

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4/16/19 Hot Topics in Research Administration

Breakout Session 9:30 – 10:40 and 10:50 – 12:00

Description Overview

- As federal and sponsor-specific rules are issued, research administration teams have a duty to unite their understanding of financial and research regulations. We must prepare to use our training in real life scenarios. The constantly changing landscape of research regulations requires awareness of all topics to identify when subtle signs can lead to fixes for larger concerns. This session will highlight research administration topics to discover ways to build everyday solutions (including how and when to ask for a subject matter expert.) Whether you are new to research administration, or want to use your experience to contribute to the conversation; join us for this interactive breakout session.
- Rules of our presentation today
 - Attentiveness
 - Openness to new ideas

Assessing Strengths and Efforts at Purdue

- How much experience is in your row/table?
- Giant Leaps Research Example
- Annual report
- Involve hard work, collaboration, and sometimes a little risk
- What can we do as research administrators to strengthen these Giant Leaps?

News Reports that Provide Prevention Opportunities

- In March 2019, a major research institution recently agreed to return over 100 million dollars in federal funds due to allegations of data falsification.
- Several universities recently made public decisions to discontinue engagement with telecommunications companies, citing federal investigations regarding violations of sanction restrictions (reference April 2019)
- In 2018, NIH ORI debarred a researcher from receipt of federal funding for allegations of research misconduct. However, some claims of effort reporting and indirect costs are cited.

What might these stories have in common?

- Open ideas/thoughts
- Are they quick fixes?
- They began by someone noticing something!

What are some of the small signs?

- International Activities
- Financial Conflicts of Interest
- Regulated Research
- Transactional

International Research Considerations- Knowing the Need to Collaborate

- International Presence
 - Are any local nationals going to be hired directly by Purdue for in-country work? (individuals employed by subs need not be included)
 - Will travel for any one individual to the foreign country exceed 180 cumulative days throughout a rolling year?
 - Will Purdue enter into any foreign rental or lease agreements (i.e. office space)?
 - Will Purdue need a bank account in country?
 - Will equipment need to be purchased in country (i.e. larger than misc. supplies)? Or are items being purchased that will be assembled into something in country (i.e. to create a ramp or a building)?
 - Will anyone have the authority to close contracts on behalf of the University in country?
- Considerations for Export Controls www.purdue.edu/exportcontrols
- Travel

Financial Conflicts of Interest- Knowing the Need to Collaborate

- Does the activity meet disclosure requirements?
- Promotion of transparency between sponsors, researchers, and the public
- Outside activities or companies

Regulated Research- Knowing the Need to Collaborate

- Human Subjects Research
- Vertebrate Animals in Teaching or Research
- Data Security
- Biosafety
- Radioactivity

Transactional Examples- Knowing the Need to Collaborate

- Effort Reporting
- Compliance with payment schedules
- Equipment and expense charging
- More?

Check-in
Questions so far?

Spot a Small Sign?

- Resist the urge to bury your head in the sand!
- Eliminate “[Imposter Syndrome](#)” or “I am just...” speech
 - Try to help (Examples of what not to do [A.](#) and [B.](#))
- The goal is NOT to place undue scrutiny on activities, only to know the scope of what to expect and identify the strategies needed if something falls outside of that.
- Have you seen this or anything like it before?
 - Process changed?
 - People changed?
- Look for internal assistance and guidance.
- If you get the opportunity to engage with other institutions on their best practices, translate those opportunities to help things in context.

Contributing to Prevention or a Big Fix

- Start with what you know- what information was presented that leaves you with a question?
- Make a “Start Here” and a path (think board game).
 - Draw it out if needed
- Is this an isolated item or could there be something larger and more overarching?
- What is the very minimum and maximum effort needed?
 - Identify any challenges that don’t allow the maximum fix
- Where can you find information internally or externally? Where is subject matter expertise?
 - According to Google, in 2018 #1 searches in categories included: applying magnetic eyelashes, keto diet, Bohemian Rhapsody, and 1980s fashion. If Google can tell us to eat, dress, and sing, it can tell us where to find resources on cost sharing or compliance!

Circling Back to Our Experience

- Let's use our _____ years of experience in the room!
- Find someone and see if you can observe their job for the day (or even an hour!)
- If you've job shadowed before, see if anything you've observed is out of date due to a new system, process, or rule.
- Keep learning!
 - "Wonder is the beginning of wisdom." --Socrates

Let's look at a realistic (but hypothetical) example

- A researcher approaches you because they need your support to assist them with a new initiative. Their team will receive donated mini lapel cameras from a company. Their goal is to use the cameras in everyday situations to travel to different areas of the world and to will ask volunteers to play the streaming videos.
- Categorize yourself based on your current job
 - Financial
 - Compliance/Regulatory
 - Other (Support staff, clerical, technical, other administration)
- Switch the role. See anything?
- Change your role to be the researcher. What changes?

Consider the Interconnectedness of the Research Administration Considerations

Financial	Regulatory	Other
Donation Parameters?	Human Subjects?	Confidentiality
Is a budget needed?	Any FCOI?	Travel?
Funding source/work expectations	Any export controls considerations? What company?	Academic project?
		Material Transfer?

The diagram illustrates the interconnectedness of research administration considerations. It features a table with three columns: Financial, Regulatory, and Other. Arrows show the following connections: 'Donation Parameters?' (Financial) points to 'Human Subjects?' (Regulatory). 'Is a budget needed?' (Financial) points to 'Any FCOI?' (Regulatory). 'Funding source/work expectations' (Financial) points to 'Any export controls considerations? What company?' (Regulatory). 'Human Subjects?' (Regulatory) points to 'Confidentiality' (Other). 'Any FCOI?' (Regulatory) points to 'Confidentiality' (Other). 'Any export controls considerations? What company?' (Regulatory) points to 'Academic project?' (Other). 'Confidentiality' (Other) points to 'Material Transfer?' (Other). 'Travel?' (Other) points to 'Material Transfer?' (Other). 'Academic project?' (Other) points to 'Material Transfer?' (Other).

These are just a few. Yet all of them need to be considered before the project begins. If we don't see outside our area, we miss the opportunity to help this project succeed.

Success in Research Administration is a Team Effort

- Giant Leaps
- Questions?

References

- <https://www.cnbc.com/2019/04/04/mit-terminates-funding-and-research-ties-with-chinas-huawei-and-zte.html>
- <https://www.purdue.edu/newsroom/releases/2019/Q1/how-do-we-know-service-dogs-help-veterans-with-ptsd.html>
- https://issuu.com/purdue-research/docs/evprp_report_single_pages
- https://ori.hhs.gov/content/case_summary
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- <https://trends.google.com/trends/yis/2018/US/>