

New Research Faculty and the University Research Administrator

Susan Eckert, PhD
Senior Associate Dean
Emory University School of Nursing
Atlanta, Georgia

Jim Wrenn, PhD
President, Information Technology Works
Raleigh, North Carolina

The Right Start – Building the Complete Vision

Core Values

Purpose

Envisioned Future

Your Work is not Your Life

Your life is about something bigger than yourself

Example of Complete Vision

Merck, 1930's
CORE IDEOLOGY
Core Values

- * Corporate social responsibility
- * Unequivocal excellence in all aspects of the company
- * Science-based innovation
- * Honesty and integrity
- * Profit, but profit from work that benefits humanity

Purpose
ENVISIONED FUTURE
BHAG

To preserve and improve human life

To transform this company from a chemical manufacturer into one of the preeminent drug-making companies in the world, with a research capability that rivals any major university

Jim Collins / Jerry I Porras – Built to Last

A Personal Investment

Understanding Their Past

Understanding Personality

Building Trust

Who Are You Being Compared To?

Stages of a Research Career

Funding for the Individual

Building the Research Team

The Research Portfolio

The Research Enterprise

Enterprise and Team Breakups Statistics



Divorce rates for 1st marriages is 50%

Divorce rates for 2nd marriages is over 60%

Business with fewer than 20 employees have only
a 37% chance of surviving 4 years

Average appointment length of academic
department chairmen is 5 years.

Enterprise and Team Breakups Reasons



Character

Financial

Key Business Concepts

Numbers:

Budget,
Encumbrance,
Balance

Personnel Costs:

Salary Distribution,
% of Effort,
% of Salary,
% of Budget
Benefits & Hidden \$

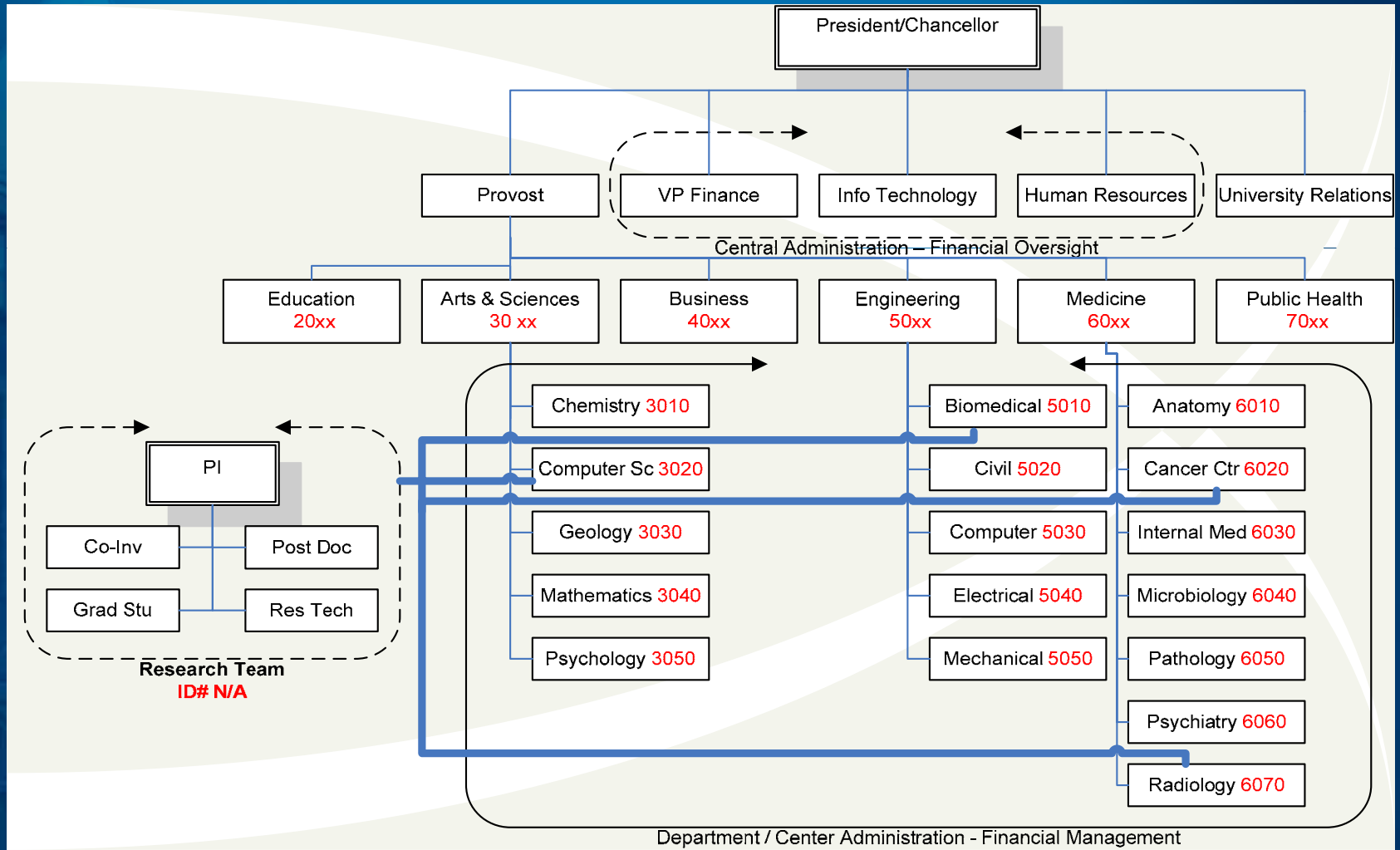
Key Business Concepts

Past, Present, or Future

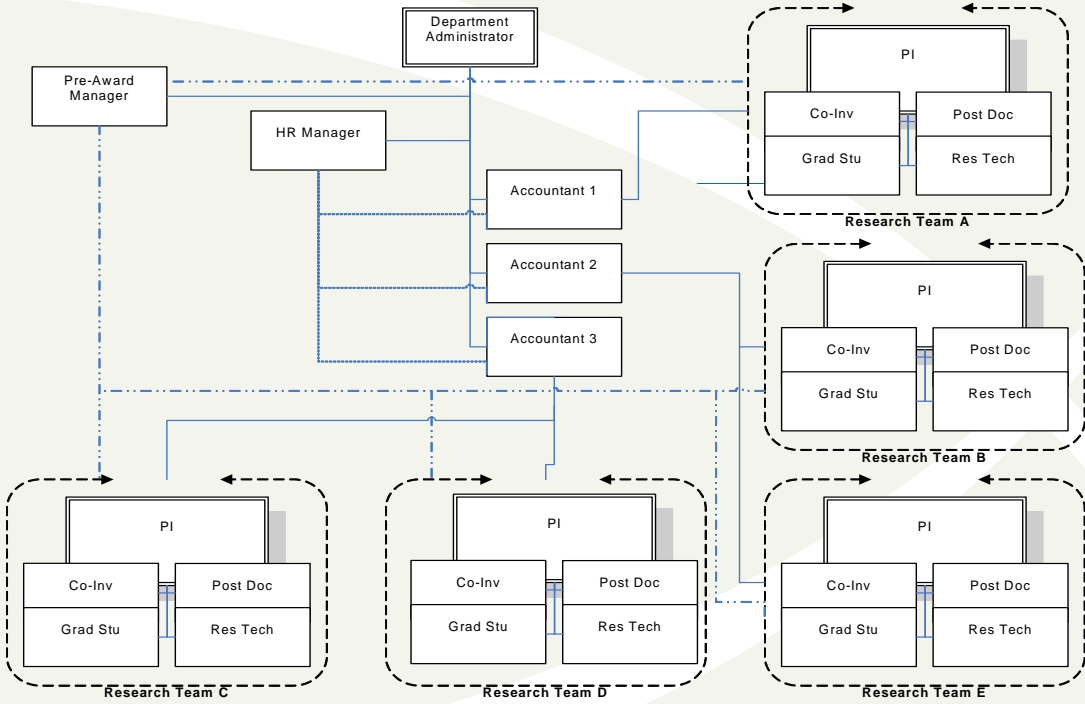
Pipeline

Success and Failure Indicators

Hierarchy of University Research Administration



Hierarchy of Department Research Administration



Administrative Tools for Managing Research Teams

Reports

Information Availability

Information Accuracy

Information Consistency

Individual Project Summary Report

Project#: 5-37088

Title: DNA Sequencing Analysis

Budget Period: 05/01/06 - 04/30/07

PI: Betty R. Lawson

Project Period: 05/01/04 - 04/30/09

Code	Description	Bud.	Enc.	Exp.	Bal.
1000	SALARIES	178,000.00	33,249.53	147,761.71	-3,011.24
1800	FRINGE BENEFITS	33,500.00	6,915.92	28,969.17	-2,385.09
2000	SUPPLIES	15,000.00	3,978.02	6,581.77	4,440.21
3000	TELEPHONE	2,700.00	-298.45	3,254.45	-256.00
4000	TRAVEL	17,500.00	1,604.00	15,987.09	-91.09
5000	CAPITAL EQUIPMENT	23,500.00	0.00	15,343.62	8,156.38
8000	INDIRECT COSTS	85,000.00	21,802.06	73,151.26	-9,953.32
	TOTALS	355,200.00	67,251.08	291,049.07	-3,100.15

Individual Project Summary Report

Project#: 5-37088

Title: DNA Sequencing Analysis

Budget Period: 05/01/06 - 04/30/07

PI: Betty R. Lawson

Project Period: 05/01/04 - 04/30/09

Code	Description	Bud.	Enc.	Exp.	Bal.
1000	SALARIES	178,000.00	33,249.53	147,761.71	-3,011.24
1800	FRINGE BENEFITS	33,500.00	6,915.92	28,969.17	-2,385.09
2000	SUPPLIES	15,000.00	3,978.02	6,581.77	4,440.21
3000	TELEPHONE	2,700.00	-298.45	3,254.45	-256.00
4000	TRAVEL	17,500.00	1,604.00	15,987.09	-91.09
5000	CAPITAL EQUIPMENT	23,500.00	0.00	15,343.62	8,156.38
8000	INDIRECT COSTS	85,000.00	21,802.06	73,151.26	-9,953.32
	TOTALS	355,200.00	67,251.08	291,049.07	-3,100.15

➤ Where there is no vision, the people are unrestrained.

Individual Project Summary Report – Employee Salaries

Project#: 5-37088

Title: DNA Sequencing Analysis

Budget Period: 05/01/06 - 04/30/07

PI: Betty R. Lawson

Project Period: 05/01/04 - 04/30/09

Name	Title	Project Salary	Annual Salary	% Effort
Betty R Lawson	Professor	34,000.00	104,000.00	30.00
William Russell	Research Professor	90,545.00	102,000	88.77
James Thomas	Assistant Professor	5,500.00	75,350.00	7.30
John Smith	Assistant Professor	11,000.00	60,000.00	18.33
Maria Ortega	Accounting Tech. II	28,7500.00	50,750.00	56.65
Michael Campbell	Laboratory Research Sp.	12,240.00	37,240.00	32.87

Individual Project Payroll Report

Project#: 5-37088

Title: DNA Sequencing Analysis

Budget Period: 05/01/06 - 04/30/07

PI: Betty R. Lawson

Project Period: 05/01/04 - 04/30/09

Date	Code	Name / Description	Budget	Encumbered	Expensed
05/01/06	1000	Budget	178,000.00		
03/31/07	1100	William Russell		16,719.11	73,999.21
03/31/07	1100	Betty R. Lawson		5,666.66	28,333.30
03/31/07	1100	James Thomas		833.34	4,166.70
03/31/07	1100	John Smith		1,833.34	9,166.70
03/31/07	1200	Maria Ortega		6,157.08	21,895.80
03/31/07	1200	Michael Campbell		2,040.00	10,200.00
Total				33,249.53	115,261.71

Individual Employee Salary Distribution

Employee: James Davis

Title: Associate Professor

Total Salary: \$82,450.00

Fiscal Year: 07/01/06 - 06/30/07

Start Date	End Date	Project	Code	Rate	Cost Share	Effort	Date Source Ends
07/01/06		2-33405	1110	\$16,490.00		20%	
10/01/06		5-23909	1120	\$31,331.00		38%	05/31/07
01/01/07		5-44608	1120	\$30,506.50		37%	12/31/12
01/01/07		2-33405	1120	\$4,122.50	5-44608	5%	
07/01/06	07/31/06	3-22409	1120	\$31,331.00		38%	07/31/06
07/01/06	12/31/06	5-44901	1120	\$24,735.00		30%	12/31/06
07/01/06	12/31/06	5-44902	1120	\$9,894.00		12%	12/31/06
08/01/06	09/30/06	4-78092	1112	\$31,331.00		38%	

Individual Employee Payment Record

Employee: James Davis

Title: Associate Professor

Date	Project	Code	Amount Encumbered	Amount Paid
07/01/06	2-33405	1110	\$16,490.00	
07/01/06	2-33405	1800	\$343.54	
07/31/06	2-33405	1110	(\$1,374.17)	\$1,374.17
07/31/06	2-33405	1800	(\$343.54)	\$343.54
08/31/06	2-33405	1110	(\$1,374.17)	\$1,374.17
08/31/06	2-33405	1800	(\$343.54)	\$343.54
09/30/06	2-33405	1110	(\$1,374.17)	\$1,374.17
09/30/06	2-33405	1800	(\$343.54)	\$343.54
10/31/06	2-33405	1110	(\$1,374.17)	\$1,374.17
10/31/06	2-33405	1800	(\$343.54)	\$343.54

< projection

< payments

Comparing Projected Salaries to Actual Salaries

Project#: 5-37088

Title: DNA Sequencing Analysis

Budget Period: 05/01/06 - 04/30/07

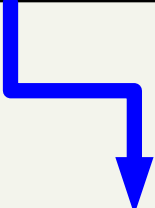
PI: Betty R. Lawson

Project Period: 05/01/04 - 04/30/09

Date	Name /	Actual Salary Exp	Projected Salary (Enc)	Difference
03/31/07	William Russell	0.00	5,573.36	-5,573.36
03/31/07	Betty R. Lawson	1800.00	1800.00	0.00
03/31/07	James Thomas	750.00	750.00	0.00
03/31/07	John Smith	1,833.34	1,833.34	0.00
03/31/07	Maria Ortega	3,489.45	3,157.08	332.37
03/31/07	Michael Campbell	2,080.00	1,040.00	1,040.00
03/31/07	Unknown	4000.00	0.00	4,000.00
Total		13,952.79	14,153.78	-200.99

Moving From the Distribution to the Encumbrance

Start Date	End Date	Project	Code	Rate	Cost Share	Effort	Date Source Ends
07/01/06		2-33405	1110	\$16,490.00		20%	
10/01/06		5-23909	1120	\$31,331.00		38%	09/30/09
01/01/07		5-44608	1120	\$30,506.50		37%	12/31/12
07/01/06	12/31/06	5-44902	1120	\$9,894.00		12%	12/31/06



Date	Code	Name / Description	Budget	Encumbered	Expensed
05/01/06	1000	Budget	178,000.00		
03/31/07	1100	William Russell		16,719.11	73,999.21
03/31/07	1100	Betty R. Lawson		5,666.66	28,333.30
03/31/07	1100	James Thomas		833.34	4,166.70
03/31/07	1100	John Smith		1,833.34	9,166.70
03/31/07	1200	Maria Ortega		6,157.08	21,895.80
03/31/07	1200	Michael Campbell		2,040.00	10,200.00
Total				33,249.53	115,261.71

Creating Salary & Benefit Encumbrances

The salary distribution uses a **rate** of pay.

The rate of pay is for the grant budget period.

The grant budget period does not align with the fiscal year.

- To create the encumbrance, we convert a rate of pay into an **amount**. This is referred to as a salary projection.

Individual Employee Salary Distribution

Employee: James Davis

Title: Associate Professor

Total Salary: \$82,450.00

Fiscal Year: 07/01/06 - 06/30/07

Start Date	End Date	Project	Code	Rate	Cost Share	Effort	Date Source Ends
07/01/06		2-33405	1110	\$16,490.00		20%	
10/01/06		5-23909	1120	\$31,331.00		38%	05/31/07
01/01/07		5-44608	1120	\$30,506.50		37%	12/31/12
01/01/07		2-33405	1120	\$4,122.50	5-44608	5%	
07/01/06	07/31/06	3-22409	1120	\$31,331.00		38%	07/31/06
07/01/06	12/31/06	5-44901	1120	\$24,735.00		30%	12/31/06
07/01/06	12/31/06	5-44902	1120	\$9,894.00		12%	12/31/06
08/01/06	09/30/06	4-78092	1112	\$31,331.00		38%	

Individual Employee Salary Coverage by Month

Employee: James Davis

Title: Associate Professor

Total Salary: \$82,450.00 (\$6,870 Monthly)

Project	Cost Share	End Date	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
2-33405			1,374	1,374	1,374	1,374	1,374	1,374	1,374	1,374
5-23909		05/31/07	2,610	2,610	2,610					
5-44608			2,542	2,542	2,542	2,542	2,542	2,542	2,542	2,542
2-33405	5-44608		344	344	344	344	344	344	344	344
Total			6,870	6,870	6,870	4,260	4,260	4,260	4,260	4,260
%			100	100	100	62	62	62	62	62
Short			0	0	0	2,610	2,610	2,610	2,610	2,610
Pending	NIH R01						2,500	2,500	2,500	2,500
Total							6,760	6,760	6,760	6,760

The Research Portfolio

Example of a PI with a Five Grant Research Portfolio

Project	Name / Description	Budget	Encumbered	Expense	Balance	%
5-12214	Biochemical Transmitters X889	178,000.00	76,982.05	24,003.94	77,014.01	43.27
5-12298	Analysis of Response to Radio....	350,000.00	286,334.66	16,719.11	46,946.23	13.41
5-33892	P-53 Analysis	186,489.00	34,993.50	125,666.66	25,828.84	13.85
5-37088	DNA Sequencing Analysis	355,200.00	64,934.42	291,319.06	-1,053.49	-.030
5-89621	Role of Spinal Cord Injury in	171,450.00	70,583.98	1,833.34	99,032.68	57.76
Total		1,241,139.00	533,828.61	459,542.11	247,768.27	

The Research Portfolio

Example of a PI with a Five Grant Research Portfolio

Project	Name / Description	Budget	Encumbered	Expense	Balance	%
5-12214	Biochemical Transmitters X889	178,000.00	76,982.05	24,003.94	77,014.01	43.27
5-12298	Analysis of Response to Radio....	350,000.00	286,334.66	16,719.11	46,946.23	13.41
5-33892	P-53 Analysis	186,489.00	34,993.50	125,666.66	25,828.84	13.85
5-37088	DNA Sequencing Analysis	355,200.00	64,934.42	291,319.06	-1,053.49	-.030
5-89621	Role of Spinal Cord Injury in	171,450.00	70,583.98	1,833.34	99,032.68	57.76
Total		1,241,139.00	533,828.61	459,542.11	247,768.27	

Are there any projects in trouble financially?

The Research Portfolio

Making Five Grants Look Like One

Code	Description	Budget	Encumbered	Expense	Balance	%
1000	SALARIES	403,092.00	89,306.66	224,003.94	89,781.40	22.27
1800	FRINGE BENEFITS	134,364.00	29,768.89	74,667.98	29,927.13	22.27
2000	SUPPLIES	41,440.00	34,993.50	13,666.66	17,829.84	43.02
3000	TELEPHONE	24,806.50	813.28	11,094.19	12,899.03	51.99
4000	TRAVEL	27,892.50	10,000.00	16,88.26	1,005.24	3.60
5000	CAPITAL EQUIPMENT	42,500.00	9,101.57	21,319.06	12,079.37	28.42
8000	INDIRECT COSTS	567,044.00	384,894.71	97,903.02	84,246.27	14.86
Total		1,241,139.00	533,828.61	459,542.11	247,768.28	19.96

The Research Team – Salary

Making Five Grants Look Like One

Code	Description	Budget	Encumbered	Expense	Balance	%
1000	SALARIES	403,092.00	89,306.66	224,003.94	89,781.40	22.27
1800	FRINGE BENEFITS	134,364.00	29,768.89	74,667.98	29,927.13	22.27
2000	SUPPLIES	41,440.00	34,993.50	13,666.66	17,829.84	43.02
3000	TELEPHONE	24,806.50	813.28	11,094.19	12,899.03	51.99
4000	TRAVEL	27,892.50	10,000.00	16,88.26	1,005.24	3.60
5000	CAPITAL EQUIPMENT	42,500.00	9,101.57	21,319.06	12,079.37	28.42
8000	INDIRECT COSTS	567,044.00	384,894.71	97,903.02	84,246.27	14.86
Total		1,241,139.00	533,828.61	459,542.11	247,768.28	19.96

22.27% of the Personnel Budget is Uncommitted.

The Research Team

Identifying the Members

PID#	Name	Title	Dept	Annual Salary
P0079901	Michael Campbell	Laboratory Research Specialist	6020	37,240.00
P0030942	Betty R. Lawson	Professor	6070	104,000.00
P0060334	Maria Ortega	Research Tech II	6070	50,750.00
P0043889	Wilson Russell	Research Professor	3020	102,000.00
P0080023	John Smith	Assistant Professor	6070	60,000.00
P0070041	James Thomas	Assistant Professor	5010	75,350.00
P0080181	J. P. Wang	Graduate Research Assistant	3020	24,500.00
P0029360	Rachael Washington	Distinguished Professor	6070	238,008.00

The Research Team

Current Salary Distributions – The “Standard” View

Name	Title	Annual Salary	Fund/Project	Expense Code	Fund/Project Salary	% Effort
Michael Campbell	Lab. Res. Spec.	37,240.00	5-23034	1410	25,000.00	67.13
Michael Campbell	Lab. Res. Spec.	37,240.00	5-37088	1410	12,240.00	32.87
Betty R. Lawson	Professor	104,000.00	2-34091	1120	15,000.00	14.42
Betty R. Lawson	Professor	104,000.00	4-03020	1160	15,000.00	14.42
Betty R. Lawson	Professor	104,000.00	5-23007	1180	50,000.00	48.08
Betty R. Lawson	Professor	104,000.00	5-24991	1180	5,000.00	4.81
Betty R. Lawson	Professor	104,000.00	5-67881	1180	13,500.00	12.98
Betty R. Lawson	Professor	104,000.00	6-45972	1160	5,500.00	5.29
Maria Ortega	Research Tech II	50,750.00	5-37088	1420	28,750.00	56.65
Maria Ortega	Research Tech II	50,750.00	5-24991	1420	20,000.00	39.41
Maria Ortega	Research Tech II	50,750.00	5-67881	1420	2,000.00	3.94

The Research Team – by Funding Type

Past, Present, or Future

Name	Total Salary	State	Dept Grants	Other Grants	Clinical	Contracts
Michael Campbell	37,240		37,240			
Betty R. Lawson	104,000	15,000	55,000	13,500	15,000	5,500
Maria Ortega	50,750		50,750			
Wilson Russell	102,000	30,000	43,150	28,850		
John Smith	60,000	6000				
James Thomas	75,350	6500				
J. P. Wang	24,500		14,000	10,500		
Rachael Washington	238,008	85,000	48,508	39,500	65,000	
Total	692,848	142,500	248,648	92,350	80,000	5,500

The Research Team – by Funding Type

Past, Present, or Future

Name	Total Salary	State	Dept Grants	Other Grants	Clinical	Contracts
Michael Campbell	37,240		37,240			
Betty R. Lawson	104,000	15,000	55,000	13,500	15,000	5,500
Maria Ortega	50,750		50,750			
Wilson Russell	102,000	30,000	43,150	28,850		
John Smith	60,000	6000				
James Thomas	75,350	6500				
J. P. Wang	24,500		14,000	10,500		
Rachael Washington	238,008	85,000	48,508	39,500	65,000	
Total	692,848	142,500	248,648	92,350	80,000	5,500

Internally Sponsored Research

Who controls the accounting processes?

Is there a centrally identified project number?

If not, is the money part of a single, internally controlled, but shared funding source?

Does the money come from several internally controlled funding sources?

Creating Internally Controlled Cost Centers
for Cost Accounting.

The Research Team – by Funding Type Including Internally Sponsored Research

Past, Present, or Future

Name	Total Salary	State	Dept Grants	Other Grants	Clinical	Start Up	Contracts
Michael Campbell	37,240		37,240				
Betty R. Lawson	104,000	5,000	55,000	13,500	15,000	10,000	5,500
Maria Ortega	50,750		50,750				
Wilson Russell	102,000	10,000	43,150	28,850		20,000	
John Smith	60,000	6000					
James Thomas	75,350	6500					
J. P. Wang	24,500		14,000	10,500			
Rachael Washington	238,008	85,000	48,508	39,500	65,000		
Total	692,848	142,500	248,648	92,350	80,000	30,000	5,500

Adding Cost Centers to the Salary Distribution

Employee: James Davis

Title: Associate Professor

Total Salary: \$82,450.00

Fiscal Year: 07/01/06 - 06/30/07

Start Date	End Date	Project	Code	Cost Code	Rate	Cost Share	Effort	Date Source Ends
07/01/06		2-33405	1110	JDSU	\$16,490.00		20%	
10/01/06		5-23909	1120		\$31,331.00		38%	05/31/07
01/01/07		5-44608	1120		\$30,506.50		37%	12/31/12
01/01/07		2-33405	1120		\$4,122.50	5-44608	5%	
07/01/06	07/31/06	3-22409	1120		\$31,331.00		38%	07/31/06
07/01/06	12/31/06	5-44901	1120		\$24,735.00		30%	12/31/06
07/01/06	12/31/06	5-44902	1120		\$9,894.00		12%	12/31/06
08/01/06	09/30/06	4-78092	1112		\$31,331.00		38%	

Adding Cost Codes to the Payment Record

Employee: James Davis

Title: Associate Professor

Date	Project	Code	Cost Code	Amount Encumbered	Amount Paid
07/01/06	2-33405	1110	JDSU	\$16,490.00	
07/01/06	2-33405	1800	JDSU	\$4,122.50	
07/31/06	2-33405	1110	JDSU	(\$1,374.17)	\$1,374.17
07/31/06	2-33405	1800	JDSU	(\$343.54)	\$343.54
08/31/06	2-33405	1110	JDSU	(\$1,374.17)	\$1,374.17
08/31/06	2-33405	1800	JDSU	(\$343.54)	\$343.54
09/30/06	2-33405	1110	JDSU	(\$1,374.17)	\$1,374.17
09/30/06	2-33405	1800	JDSU	(\$343.54)	\$343.54
10/31/06	2-33405	1110	JDSU	(\$1,374.17)	\$1,374.17
10/31/06	2-33405	1800	JDSU	(\$343.54)	\$343.54

< projection

< payments

Maintaining a Pipeline

This is a “Pre-Award” Problem

Track Individual Submissions – Active vs. Pending

Track Amounts to be Paid to Individual Employees

Combine Information with Post-Award Reports

Signs of Failures

Their accounting doesn't match yours

Money Transfers

Recharge Centers

Retroactive Changes

Anything is possible

Finding their own space

