Faculty Workload Concerns assessed by the FDP

Michele Masucci, PHD, Co-Chair FDP
and Vice Chancellor for Research and
Economic Development - USM
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- The Federal Demonstration Partnership's (FDP) mission is to **streamline the administration** of federally sponsored research and **foster collaboration** to enhance the national research enterprise while maintaining high standards of stewardship and accountability.

- FDP provides a **unique forum** for individuals from Universities and research institutes to work collaboratively with federal agents to improve the research enterprise.

- FDP is a cooperative initiative of the National Academies of Science, Engineering, and Medicine in collaboration with PGA and GUIPRR

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FDP MEMBERSHIP

217 Institutional Members

- 22% are Emerging Institutions
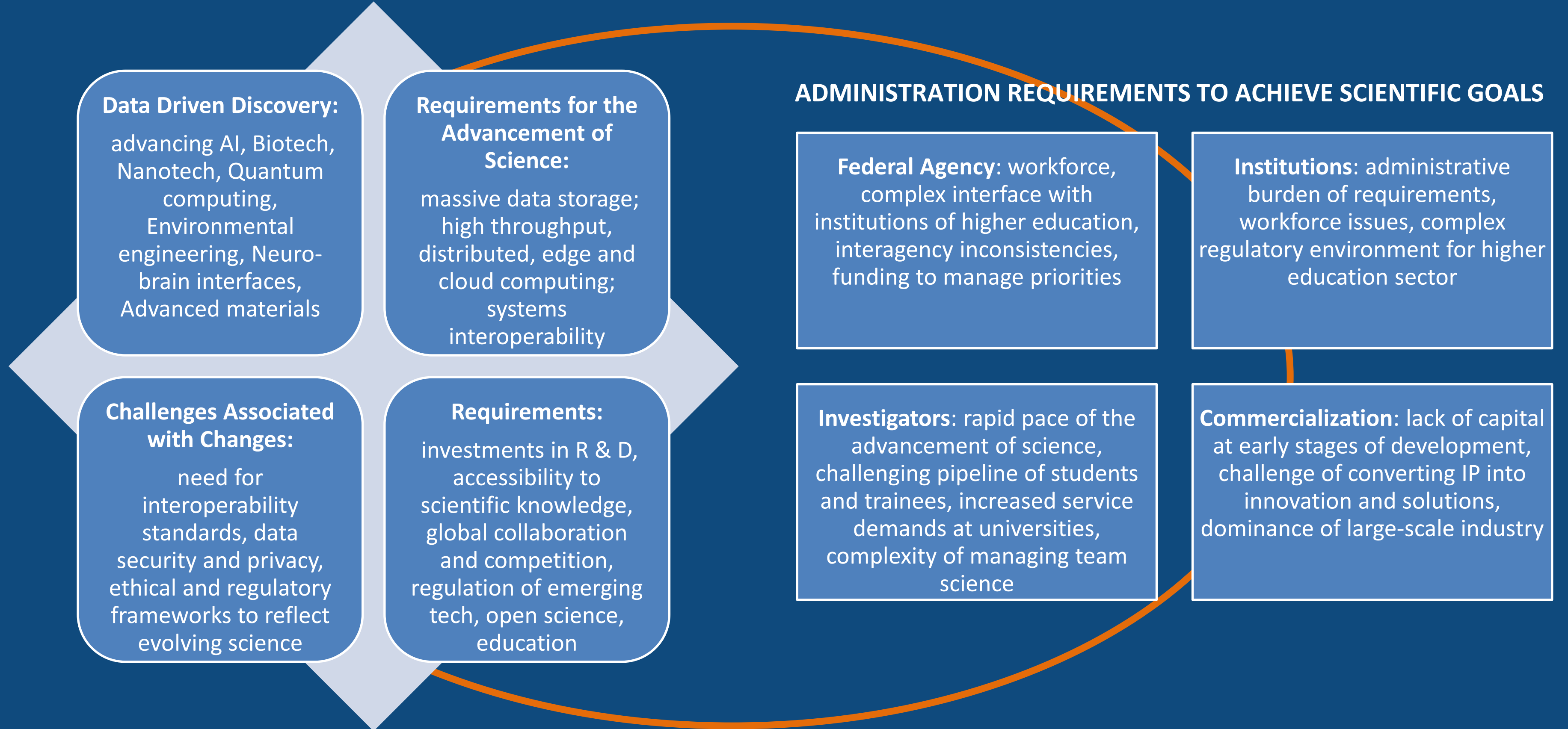- 15% are Minority Serving Institutions

10 Federal Members

- NSF, NIH, ONR, USDA, AFOSR, ARO, AMRMC, NASA, EPA, DHS

- FDP Participants include federal officials, research administrators, faculty members, and electronic research administration managers.
- The FDP format for finding solutions to research burden is through demonstrations.
- FDP Participants **identify, test and advance** new directions in research administration, practice, compliance, and strategies.

RESEARCH ENVIRONMENT – From Science to Administrative Burden

FEDERAL DEMONSTRATION PARTNERSHIP

Data Driven Discovery:

advancing AI, Biotech, Nanotech, Quantum computing, Environmental engineering, Neuro-brain interfaces, Advanced materials

Requirements for the Advancement of Science:

massive data storage; high throughput, distributed, edge and cloud computing; systems interoperability

Challenges Associated with Changes:

need for interoperability standards, data security and privacy, ethical and regulatory frameworks to reflect evolving science

Requirements:

investments in R & D, accessibility to scientific knowledge, global collaboration and competition, regulation of emerging tech, open science, education

ADMINISTRATION REQUIREMENTS TO ACHIEVE SCIENTIFIC GOALS

Federal Agency: workforce, complex interface with institutions of higher education, interagency inconsistencies, funding to manage priorities

Institutions: administrative burden of requirements, workforce issues, complex regulatory environment for higher education sector

Investigators: rapid pace of the advancement of science, challenging pipeline of students and trainees, increased service demands at universities, complexity of managing team science

Commercialization: lack of capital at early stages of development, challenge of converting IP into innovation and solutions, dominance of large-scale industry

EXAMPLES OF DIRECTIONS IN SCIENTIFIC RESEARCH

FEDERAL DEMONSTRATION PARTNERSHIP

STAKEHOLDER ROLES IN IMPLEMENTING FEDERAL FUNDING OF RESEARCH

Institutions With Stakeholder Input: Implementation of federal programs taking into account additional state, local, institution specific requirements

Institution: Institution specific implementation processes, communication, and technical environment for implementing federal awards and programs

Federal With Stakeholder Input: Translation of federal appropriations and requirements into regulations, guidance, agency and program funding, terms and conditions

Institution with Federal Oversight: Oversight and assurance environment for adherence with federal, institutional, disciplinary, and stakeholder requirements connected to funded research

Federal: Appropriation of federal funding; enactment of federal laws pertaining to finance and regulations, budget and compliance requirements; executive public policy

Shared responsibilities environment for implementation of federally funded and regulated research at U.S. colleges and universities

Facilities and administration costs (F & A)

- F & A costs are analyzed by institutions and negotiated with designated federal agencies
- Rates are established for a period of 4 years
- F & A costs include expenses associated with implementing federal (and other) research projects that are not included in direct costs to support a grant
- Typical categories for F & A analysis: operating and managing space allocated to research activities, salary of administrators that manage and oversee compliance connected to research, equipment not paid for by direct costs used in research, insurance, libraries, and other office expenses
- Reimbursement of administrative costs of F & A are capped, leading to **institutional research administration burden**

PLUS

Faculty Administrative Burden
- Time that research investigators spend on the administrative requirements of grants that is not reimbursed through direct costs to the grant or supported by their administration
- Faculty administrative burden includes all aspects of research implementation that are not reimbursed by time and effort covered by federal awards but required to implement the funded project

FACULTY RESEARCH WORKLOAD ISSUES

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In 2006 and 2012, Faculty reported that **42.3%** of their dedicated research time on administrative requirements. In 2018, this percentage of time increased to **44.3%.**

This 2% difference in time spent is statistically significant at (p<.0001)

55.7% Time Dedicated for Research

Variables that Caused a Heavier Requirement-related Workload for Pis

Projects that were in research field other than physics and math	Leading projects funded by more than one agency	If the PI was female and/or not White or Asian
Projects that related to animal or human research	Funding with multiple grants/contacts and/or had >$500,000 in annual direct costs	Research being conducted at public universities

44.3%

~12 hours a week spent on research requirements

WHY IS BURDEN INCREASING?

FEDERAL DEMONSTRATION PARTNERSHIP

1 **Exponential Increase in New Regulations & Policies Adopted and/or Substantial Modifications of Existing Regulations/Business Practices**

- **172% Increase** from (2013-2023)
- *Aggregated Regulatory Requirements Impacting Federally Funded Research Since 1991,* COGR (June 2023)

2 **Lack of Alignment Between Federal and Institutional Objectives**

- Data sharing versus data protection
- Results oriented versus fundamental/basic research
- Agency agenda versus research areas of interest
- Compliance with rules easier to measure than success of research endeavors

3 **Lack of Harmonization**

- Differing conflict of interest policies
- Unclear export controls/emerging technologies
- Open Science requirements differ by agency

4 **Increased Complexities in the Research Environment**

- Global cooperation
- National security threats
- Congressional mandates with unrealistic timelines

Faculty Workload Survey – Report History

2018 Faculty Workload Survey - Sandra L. Schneider, PI, USF

Preliminary Result Slides (September 2018)

Detailed Result Slides (January 2019)

Primary Report (September 2020)

2012 Faculty Workload Survey- Sandra L. Schneider, PI, USF

Preliminary Result Slides (August 2012)

Executive Summary

Final Report

2007 Faculty Workload Survey Report – Sara Rockwell, PI, Yale

Survey Report (PDF 205 kb)

Appendix A – Tables of Survey Results by Subpopulations (PDF 188 kb)

Appendix B – Open-Ended Themes and Responses (PDF 84 kb)

Appendix C – Technical Notes (PDF 114 kb)

Appendix D – Survey Instrument (PDF 2.3 mb)

Complete Document – Report & Appendices (PDF 3.07 mb)

Rockwell Paper for NCURA

HIGHLIGHTED ACTIONS TAKEN BY THE FDP TO REDUCE BURDEN

NIH Data Management & Sharing Pilot

Starting in 2023, NIH requires a DMS plan for all NIH-funded projects (previously required for projects with $500K or more in annual costs)

In collaboration with NIH, FDP created and tested potential DMS Plan templates which will help institutions reduce time spent on this plans.

Subaward Templates and Tools

Administrators reported spending large amounts of time negotiating federal subaward and subrecipient monitoring.

FDP created subaward templates, samples, FAQs, guidance documents and other tools designed to expedite and streamline this workload area.

Compliance Unit Standard Protocol

IACUC/Animal Subjects was identified as the workload area with the highest priority for change in compliance requirements in the 2018 Faculty Workload Survey.

In collaboration with NIH, FDP is developing an online resource where participating institutions can share standard procedures used in animal care protocols.

Expanded Clearinghouse

Administrators reported spending large amounts of time sending and reviewing important documents to subrecipients

FDP provides a centralized online repository of entity information to enable pass-through entities to perform essential subrecipient monitoring functions.

Data Transfer and Use Agreements

Data transfer and use agreements were a high priority for change for faculty in the 2018 Faculty Workload Survey

DTUA templates, samples, FAQs, guidance documents and other tools designed to expedite and streamline negotiations between institutions.

SciENcv

Faculty reported a high workload burden associated with creating biosketches and Current & Pending Support forms.

In collaboration with NSF, FDP created a curriculum vitae network to address this issue.

OPPORTUNITIES TO IMPROVE EFFICIENCE AND QUALITY IN RESEARCH

Reduce the Risk of Research

- Create good faith environment to support all parties in research
- EG: Enhance the capacity of SciENcv to guide disclosures and provide consistent requirements that are easy to follow
- EG: Increase education and awareness about the responsible and ethical research goals and requirements

Enhance Harmonization and Standardization of Cross Agency Programs

- Increase consistency in policy interpretation
- Adopt best practices across federal agencies
- EG: Continue to develop agency sponsored training modules (to lower costs to institutions for compliance)
- EG: Use common forms and tools for completing them in a consistent manner

Increase Support for Federal Workforce and Institutional Research Administration

- Increase funding that supports institutions to build capacity
- Build capacity in federal agencies

Maria Koszalka, MS, MBA; Michele Masucci, PHD., Alexandra Albinak, MBA, JD and

Amanda Humphrey, MA, MBA

Chair of the Research Administration Committee

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Northeastern University

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Program Coordinator
Division of Policy and Global Affairs
National Academies of Sciences

Stephanie Scott

Chair of the Communications Committee

Director of Policy & Research Development
Columbia University

Contact Information:

http://thefdp.org

202-334-3994
fdp@nas.edu
500 Fifth Street, NW
WS524
Washington, DC 20001